

# *Journal of China-ASEAN Studies*

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**Chinese International College**  
**Dhurakij Pundit University**

## Policy

*JCAS* (Journal of China-ASEAN Studies) is an open-access, peer-reviewed bi-annual journal of Chinese International College, Dhurakij Pundit University. It is the premiere forum for global researchers, teachers, policy makers, leaders, managers and administrators, interested in all aspects of Southeast Asian countries and China.

*JCAS* will publish two volumes in June and December annually, which aims to support and inform researchers, scientists, and scholars, administrators, educators, emerging and established researchers, and policy makers interested in all facets of business, education, tourism, and arts related to Southeast Asian countries and China through the publication of original research that advances knowledge, theory and practice in the field include, Thai-China, Business Innovation, Marketing, Business & Management, Finance and Accounting, Economics, Education & Teaching, Poverty in Education, Humanities, Arts & Design, Languages, Applied Science and Engineering and Social Sciences.

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*JCAS* aims to support and inform researchers, scientists, and scholars, administrators, educators, emerging and established researchers, and policy makers interested in all facets of business, education, tourism, and arts related to Southeast Asian countries and China through the publication of original research that advances knowledge, theory and practice in the field. *JCAS* publishes articles exploring concepts, strategies, approaches and issues related to China-ASEAN which contributes to theory and practice significantly and originally.

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- **Review article:** The manuscripts should be about 1500-3500. The manuscripts must include the current state of understanding on a particular topic about studies of Southeast Asian countries and China by analyzing and discussing research previously published by others

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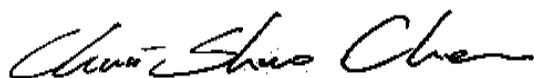
Dear Sir / Madam,

We are delighted to officially announce that the 1st issue of Volume 3 of China-ASEAN Studies (JCAS) has been published. Adopting the post-pandemic academic environment, the staunch and conscientious members of JCAS defend their positions and demonstrate leadership in an endeavour to present the most cutting-edge and influential research to all readers and scholars. JCAS aspires to become a scholarly leader in the study of China and ASEAN-related themes between 2023 and 2024, while simultaneously and solidly moving forward with the ultimate objective, making JCAS an elevated levels journal that is indexed in massive international academic databases such as TCI1, TCI2, and Scopus. As a result, we anticipate that all academics and researchers will always be vital components of our main academic event.

It is a new, comprehensive, and outstanding journal that covers a variety of fields of study, such as Future Workforce, Thai-China, Marketing, Business & Management, Wellness, Tourism, Hospitality, Leisure Studies, Information Technology, Finance, and Accounting, Communication Arts, Economics, Education & Teaching, Humanities, Arts & Design, Languages, Applied Science and Engineering. This journal aims to provide even a venue for scholars, practitioners, and students to publish high-quality conceptual and research papers based on both theoretical and empirical studies in both Chinese and English. It also aims to promote knowledge sharing in related fields and to publish notably valuable academic contributions. Furthermore, JCAS operates as a premier forum that enables readers to learn, discuss, and share indispensable information about the latest research and best practices.

Simply put, JCAS is perceived as a protracted academic voyage from nowhere in the past to someplace in the present. Without the substantial work, commitment, and involvement of each and every member of the associated committee, JCAS would never become a reality. Furthermore, we would like to extend our deepest appreciation to all of the individuals who participated and contributed, and those who managed to help JCAS strengthen its image and reputation.

Your sincerely



Editor-in-Chief  
Assist. Prof. Dr. Chun-Shuo Chen  
Journal of China-ASEAN Studies

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# Systematic Literature Review: The Relationship between FDI and Carbon Dioxide Emissions

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## Abstract

This article provides a systematic and comprehensive review of the existing empirical literature on FDI and carbon dioxide emissions for 2000-2021. The review covers articles published in the Web of Science and SCOPUS, provides a content analysis of their study, the findings show that it as a more popular cross-disciplinary research area in recent years. The field (a) emphasizes quantitative analysis, relevant modelling through data, and causal research design; (b) focuses on single-country studies, mainly conducted in Asia and Europe; (c) tends to use relatively large samples; and (d) uses relatively complex models for analysis. This report provides guidelines for researchers to focus on the relationship between FDI and Carbon Dioxide Emissions and suggestions for potential new research topics.

**Keywords:** Foreign Direct Investment; CO<sub>2</sub>; Global Economy; International Trade; Climate Policy

## 1. Introduction

In recent years, carbon dioxide emissions from the massive consumption of fossil energy have been increasing year by year, resulting in a more pronounced greenhouse effect and increasingly frequent climate disasters worldwide. Low carbon economy is a socio-economic form based on market mechanism, using efficient energy technology, renewable energy technology, greenhouse gas emission reduction technology and industrial transformation to reduce the consumption of energy with high carbon content as much as possible and achieve the synergistic development of economic development and environmental protection. All countries have recognized the importance and urgency of carbon emission reduction. The global economy has shifted from the stage of high-speed growth to the stage of high-quality development, and the pressure of high energy consumption and carbon emission reduction has put forward new requirements for the adjustment of current foreign trade policies. Specific emission reduction policies are widely divergent among countries, and the delay in reaching international carbon emission reduction agreements has seriously hindered the achievement of global emission reduction targets. Therefore, studying the relationship between climate policy, trade, and carbon emissions is of great theoretical and practical significance. In this paper, based on the review of related literature, a descriptive statistical analysis of the climate policy



status of FDI and carbon emissions are conducted. In turn, we construct an analysis of the impact of climate policy, trade and carbon emissions.

## **2. Methodology**

### *2.1 Source of database*

This study uses a qualitative systematic literature review (SLR) as a research method to assess existing research based on research questions. As this paper aims to review the literature on FDI and CO<sub>2</sub> relationship through research questions, and a systematic literature review. Based on this field, the questions related to how to address sustainable economic development between countries or regions in the future are realized. The systematic literature review approach is particularly useful because it meticulously summarizes the existing studies' responses to the research questions. In addition, the search strategy database used by researchers is more organized and can serve as a good basis for their research (Bell, 2018).

In this paper, the systematic literature review (SLR) immensely helped in the search scope of the literature in this field by narrowing down the selection after searching for relational information (Shaffril, 2018). More precisely, the study explained five (5) subparts are PRISMA, which is resources, systematic evaluation process (identification, screening, and eligibility), quality assessment, and data abstraction and analysis. Overall, the steps of the systematic methodology provide a strong justification for the large number of articles in this field. Shaw and Watson (2019) argue that complete and perfect electronic databases do not exist and that a combination of at least two databases is sufficient for research. Therefore, two academic databases, Scopus and Web of Science (WOS), were used in this study. The Web of Science (WOS) series covers more than 12,000 real-time journals, 23 million patents, 148,000 congressional meetings, more than 40 million and 760 million references consisting of various disciplines such as environmental studies, science, social sciences and technology 1945. Bibliographic database covered in 1996 Scientific, multidisciplinary and international literature (Sánchez & García, 2016).

### *2.2 Preferred reporting items for systematic review and meta-analysis (PRISMA)*

For this review, all articles were searched using Scopus and Web of Science (WOS), two databases that helped to make the search more accurate and logical. To enhance the systematic review and overall evaluation of the literature (Moher & Liberati, 2009), the purpose of using this method is to be able to categorize the methods, variables, and analyses of each article (Shaffrild, 2018). More precisely, PRISMA explains the resources of the study, the systematic evaluation process (identification, screening, and eligibility), the quality assessment and the data abstraction and analysis. Overall, the steps of the systematic methodology provide a strong justification for the large number of articles in the field.

### *2.3 A Systematic review process*

Firstly, it involves identifying the research questions. For this scoping review, two research questions were asked: (1) What is the relevance of FDI to CO<sub>2</sub>? (2) What are the themes in the context that are closely related to FDI and CO<sub>2</sub>?

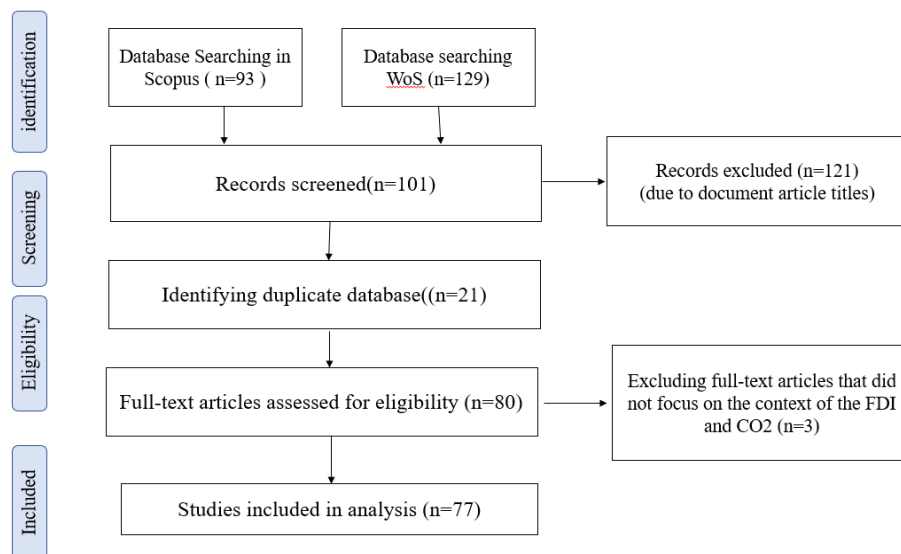
Secondly, it involved identifying relevant studies. Researchers were conducted from the Web of Science (WoS), Scopus databases. The search strategy included: a comprehensive keyword search for (1) FDI related to CO<sub>2</sub>, i.e. (1) FDI, CO<sub>2</sub>, economics (Combining OR and AND), the selected literature is in English, this selected categories in economics and management, with a time cut off of 2000-2021. (see Table 1)

**Table 1**

*The inclusion and exclusion criteria*

Criterion	Eligibility	Exclusion
Literature type	Journal (research articles)	Journal(review), book series, book, and Conference articles
Language	English	Non-English
Timeline	2000-2021	> 2000
Subject area	Economics, Management Finance	Environmental Sciences Environmental Study Engineering Environmental

Thirdly, it involves screening to remove redundant articles. To perform operation, the first selection of criteria for the correlation between FDI and CO<sub>2</sub> was the focus of this study. For the depth of the survey, only journal articles were studied as the main source of evidence for analysis and all selected publications were in English. Since the research direction is interdisciplinary and the focus is on economics, the categories selected are economics and management, and the timeline of published articles spans the period 2000 to 2021. According to the search of both repositories, 222 articles on related topics were available. Based on the titles of the articles, 121 articles were excluded. The literature from both databases was further excluded for duplicate literature, and 21 papers were further excluded for two rounds of elimination, resulting in a target of 80 articles constituting the results of this review. Based on the focus of the full text combined with the correlation between FDI and CO<sub>2</sub>, three more articles were excluded from these 80 articles, so the final number of articles that could be analyzed was 77, ranging from 2012 to 2021. the steps involved are identification, screening, eligibility and the steps involved are identification, screening, eligibility and included as per Figure 1. The findings are obtained in the next section.

**Figure 1***Process in Systematic Literature Review*

### 3. Review and Discussion

#### 3.1 Review of articles database

##### 3.1.1 Review of articles in Scopus database

Based on the screening and analysis of the papers, combined with the titles of the articles, this section focuses on the 101 articles that meet the subject matter requirements.

The process of browsing journal articles in the Scopus database used several keywords to find journal articles 53 articles. These keywords were searched based on the characters in Table 2, the focus of the query was based on the relationship between the two and the alignment with the theme of economic development.

**Table 2***Criteria Search in Web of Science Database*

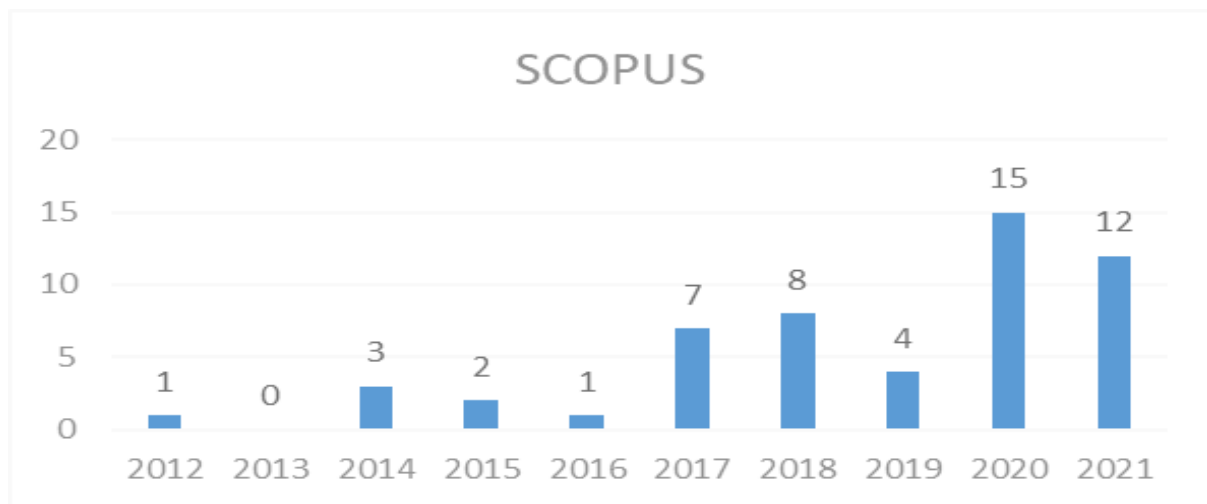
Database	Query string search
Scopus	TS= ("FDI AND CO <sub>2</sub> " OR "Foreign Direct Investment" OR "Economic Growth" OR "CO <sub>2</sub> Emissions")

The 53 articles found according to Scopus are shown in Figure 2. Starting in 2012, one paper was published, and from 2013 to 2016, the overall number of articles was low, including none in 2013. However, the number of articles rose significantly from 2017 and continued to

rise from 2017 to 2018, but only four relatively few articles conformed to the topic in 2019. 2020 saw a linear upward trend in the number of articles, with 11 more than in 2019, and although there were three fewer articles in 2020, the overall number was still above ten, and it is worth mentioning that after 2020 The number of articles on this topic is relatively high, which can also be seen that this topic is a relatively popular research area in the past two years.

**Figure 2**

*Number of Articles in Scopus Database*



### 3.1.2 Review of articles in Web of Science database

The process of browsing the journal articles in the Web of Science database used several keywords to find journal articles 48 articles. These keywords were searched based on the characters in Table 3, and the focus of the query continued to be based on the relationship between the two and the alignment with the theme of economic development, with the addition of economic growth.

**Table 3**

*Criteria Search in Web of Science Database*

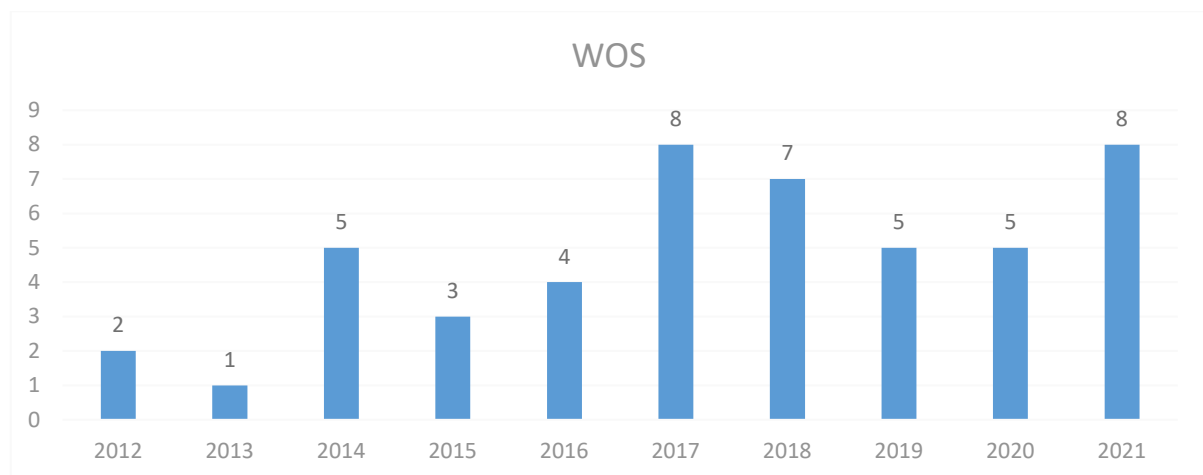
Database	Query string search
Web of Science	TS= ("FDI AND CO <sub>2</sub> " OR "Foreign Direct Investment" OR "Economic Development" OR CO <sub>2</sub> Emissions")

According to Web of Science, the number of 48 articles found is shown in Figure 3. From 2012 to 2021, the overall number of articles showed an increasing trend, but the number of publications in the middle part of the year was relatively small. Among them, there was only

one article in 2013. But there was an increase of 4 articles in 2014. From 2015 to 2017, the number of articles showed an upward trend, increasing twofold. However, the number of articles from 2017 is on a downward trend, including five articles in both 2019 and 2020. the number of articles on this topic in 2020 is the same as in 2017, both of which are eight. It can be seen that the number of Web of Science literature releases is generally relatively stable, and there is no sudden increase in the number of many articles.

**Figure 3**

*Number of Articles in WOS Database*



### 3.2 Analysis of article's citation number

The number of citations is used as an indicator of success in research, indicating the effectiveness or consistency of the research analysis (Langfeldt, 2019). Tables 4 and 5 list the top 10 cited articles in Scopus and Web of Science in this article. Lau and Eng (2014) "Investigation of the environmental Kuznets curve for carbon emissions in Malaysia: do foreign direct investment and trade matter?" in Web of Science is 323 citations. In contrast, Shahbaz and Roubaud (2018) "Environmental degradation in France: the effects of FDI, financial development, and energy innovations." was cited 303 times in SCOPUS.

According to the analysis, Articles in the year of 2016 are more highly cited in Web of Science, with 4 of them, followed by the 2014 articles with three. The articles from 2017 have a higher citation rate in SCOPUS with 3 papers. Among these top 10 cited articles, it can be seen that the articles from the Web of Science repository are concentrated before 2017, while the articles from the SCOPUS repository are concentrated after 2017.

Based on the number of citations, one similar article in both databases is "Causal interactions between CO<sub>2</sub> emissions, FDI, and economic growth: Evidence from dynamic simultaneous- equation models. equation models." (Omri & Rault, 2014).

**Table 4**  
*Number of Citations in Web of Science Database*

Author/Year	Title	Number of citations
Lau and Eng (2014).	Investigation of the environmental Kuznets curve for carbon emissions in Malaysia: do foreign direct investment and trade matter?	323
Zhu and Yu (2016)	The effects of FDI, economic growth and energy consumption on carbon emissions in ASEAN-5: evidence from panel quantile regression.	286
Shahba and Roubaud (2018).	Environmental degradation in France: the effects of FDI, financial development, and energy innovations.	284
Lee (2013)	The contribution of foreign direct investment to clean energy use, carbon emissions and economic growth.	277
Omri and Rault (2014)	Causal interactions between CO2 emissions, FDI, and economic growth: Evidence from dynamic simultaneous-equation models.	247
Ren and Chen (2014)	International trade, FDI (foreign direct investment) and embodied CO2 emissions: A case study of China's industrial sectors.	200
Paramati and Apergis (2016)	The effect of foreign direct investment and stock market growth on clean energy use across a panel of emerging market economies.	156
Baek (2016)	A new look at the FDI–income–energy–environment nexus: dynamic panel data analysis of ASEAN	128
Gökmenoğlu and Taspinar (2016)	The relationship between CO2 emissions, energy consumption, economic growth and FDI: the case of Turkey.	117
Zhang and Zhang (2018).	The impacts of GDP, trade structure, exchange rate and FDI inflows on China's carbon emissions	115

**Table 5**  
*Number of Citations in SCOPUS*

Author/Year	Title	Number of citations
Shahbaz and Roubaud (2018)	Environmental degradation in France: the effects of FDI, financial development, and energy innovations.	303
Omri and Rault (2014)	Causal interactions between CO2 emissions, FDI, and economic growth: Evidence from dynamic simultaneous-equation models.	280
Sun and Xu (2017)	Investigation of pollution haven hypothesis for China: an ARDL approach with breakpoint unit root tests.	130
Paramati and Ummalla (2017)	Financing clean energy projects through domestic and foreign capital: The role of political cooperation among the EU, the G20 and OECD countries.	90
Haug and Ucal (2019)	The role of trade and FDI for CO2 emissions in Turkey: Nonlinear relationships.	84
Abdouli and Hammami (2017)	Investigating the causality links between environmental quality, foreign direct investment and economic growth in MENA countries	79
Kutan and Zakari. (2018)	Financing renewable energy projects in major emerging market economies: Evidence in the perspective of sustainable economic development.	70
Le and Taghizadeh-Hesary (2020).	Does financial inclusion impact CO2 emissions? Evidence from Asia.	53
Kim and Adilov (2012)	The lesser of two evils: an empirical investigation of foreign direct investment-pollution trade-off. .	51
Xie and Cong (2020)	How does foreign direct investment affect CO2 emissions in emerging countries? New findings from a nonlinear panel analysis	42

### 3.3 Analysis of study settings

According to Table 6, the researchers use the country as the setting for the research analysis. This analysis shows that the region where more attention is paid to the direct relationship between FDI and carbon emissions is in China, because China is the world's factory and its carbon emissions are among the highest in the world, so the analysis of the relationship between FDI and carbon emissions has also become the most important concern for scholars in this country. The development of environmental sustainability and green economy has also become a hot spot for scholars. In addition, the second most studied country is Tunisia, as it is one of the regional energy countries that has to commit to the world organization to reduce carbon emissions in its economic development and as a country rich in natural gas energy, energy development, and economic issues have also become an important direction for scholars in this country. As a developed country with good economic development, scholars in the United States are gradually focusing on the relationship between foreign direct investment (FDI) and carbon emissions, as many manufacturing industries in the United States require FDI. In addition, India, UK, and Malaysia also account for a certain proportion of the articles' attention in the two databases. It can be seen that the research on the relationship between OFDI and carbon emissions is not only a concern for countries with more developed economies and larger areas, but it is an issue of continuous concern for all regions of the world; therefore, scholars from Turkey, Vietnam, South Korea, Arab countries and other regions have relevant studies.

**Table 6**  
*Number of Study Based on Country*

Country	Database	
	SCOPUS	WOS
China	12	13
Tunisia	8	9
United States	7	6
India	6	5
Malaysia	5	3
Turkey	5	3
United Kingdom	2	4
Viet Nam	3	2
Taiwan	2	1
South Korea	2	1
Saudi Arabia	1	1
Total	53	48



### 3.4 Methodology of study

In each study, a method is used to conduct analysis or a strategy is used for classification, processing, and interpreting information about the selected topic. Quantitative research uses mainly empirical measurements, statistical analysis, and modeling methods, expressed as data, patterns, and graphs; qualitative research uses mainly logical reasoning, historical comparisons, and other methods. Qualitative research is the basis of quantitative research and is its guide, but only when quantitative research is also applied can qualitative research be accurately characterized on the basis of precise quantification. In this analysis, the quantitative methods were used in the entire study, because the research in this field must be studied by building models and statistical analysis methods.

### 3.5 Unit of sample

In the context of the study, the sampling frame is part of the research methodology. According to this study, as shown in Table 7, the sample units that were mainly used for the topic of this study are regions. The sample size of regions in Scopus is mainly concentrated between 11-20, accounting for 81% of the total studies, and a total of 27 studies in Web of science have a sample size concentrated between 21-30, accounting for half of the total studies. It can be seen that the number of samples in both databases is concentrated between 11-30, and it can also be seen that this sample is more specific in terms of analyzed data. In the sample sampling of both repositories, more than 80% of the samples were selected from countries, which helps to study from a global perspective, and the data is more widely available and has a useful effect on different regions, and the samples of selected provinces and cities are mainly from the study in China, because of the large area of China and the existence of certain differences among regions.

**Table 7**  
*Sampling Frame in Database*

Sampling	WOS	SCOPUS
1-10	2	3
11-20	22	15
21-30	17	27
> 30	8	8
Sampling Scope		
City	3	5
Province	6	8
Country	39	40

### 3.6 Underpinning theory in study

This research area uses quantitative research analysis, so all literature relies on economic model analysis with multivariate variables. Further investigation is required by combining different mathematical models with multiple variables.

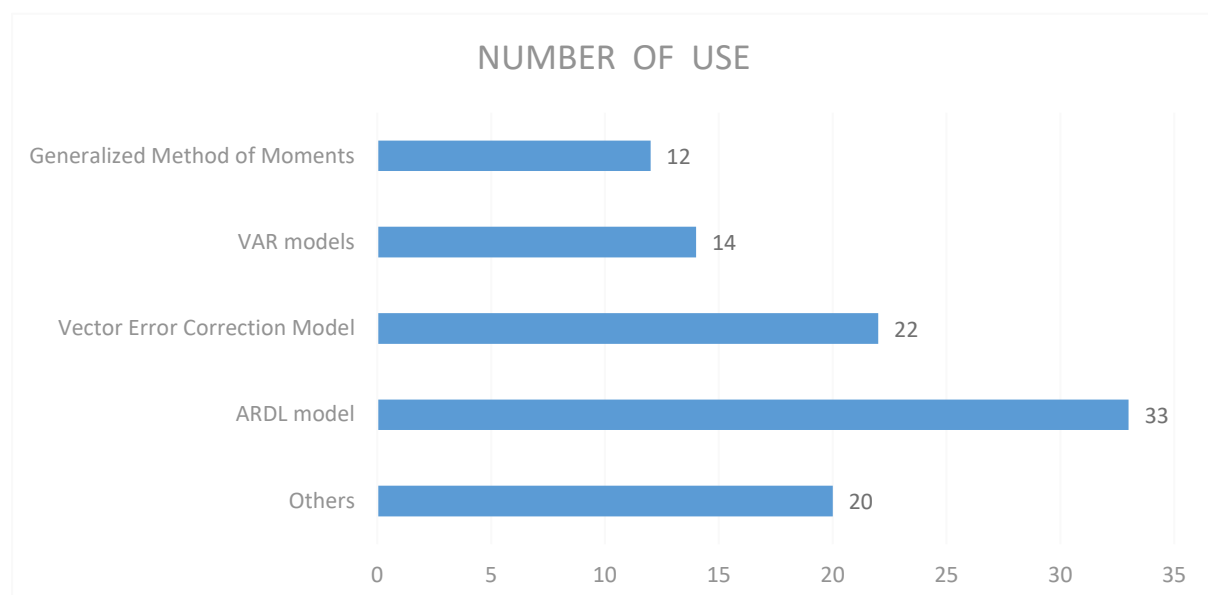
The ARDL model is one of the more commonly used models in this field of study, with 33 studies using it, especially during 2019-2021, when almost a third of the articles used it. There are also 14 and 12 of articles using the VAR model and the Generalized Moment Method, respectively. The second most commonly used model is the Vector Error Correction Model, especially in 2015-2019, which incorporates allows for cross-sectional specific coefficient vectors and cross-sectional correlations in the residual. (E.g. Kim, 2019).

It is worth noting that there has been an increase in the use of other types of mathematical models in the last two years to analyze the field. 20 articles use different methods. For example, Chen (2021) constructs a multi-period DID model to study, and Udemba (2021) based on the STIRPAT model.

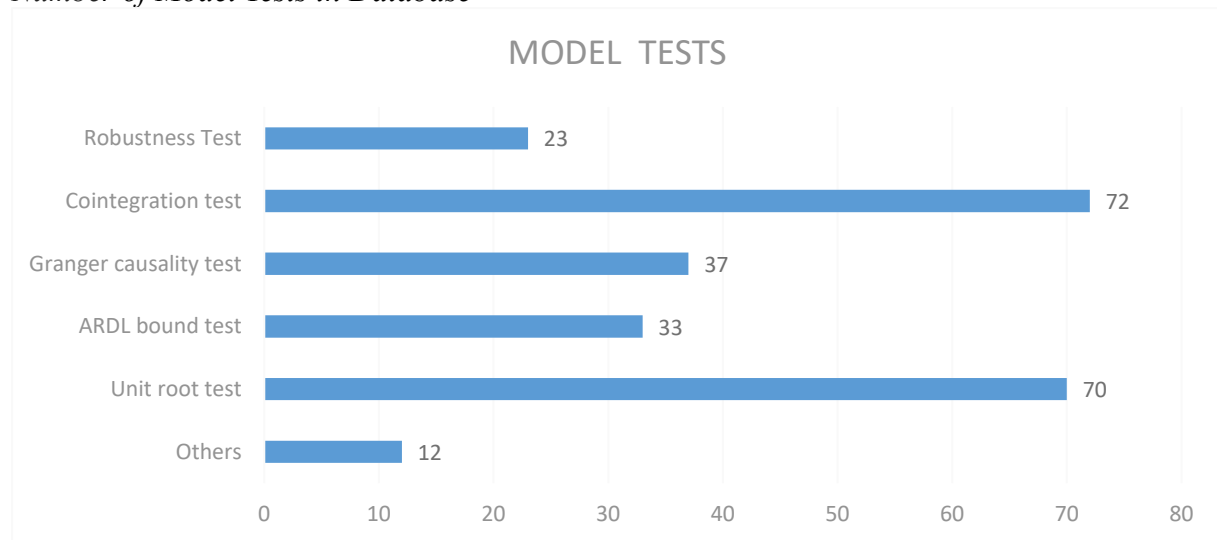
Since all the models are quantitative, the collected data need to be purified and tested by analyzing of the stability and correlation of the data, etc. for a better analysis. Depending on the model, 77 articles used the unit root test according to the model, the articles underwent the application of this test was most used in the articles during 2015-2019. The Granger causality test and the Cointegration test are also more commonly applied due to the more frequent use of the ARDL model and the Vector Error Correction Model. In particular, 72 articles used the cointegration test, and 37 articles also use Robustness Test to check its robustness because of the need of some specific variables. (see figure 4&5)

**Figure 4**

*Number of Model Use in Database*



**Figure 5**  
*Number of Model Tests in Database*



#### 4. Limitations and recommendations

Every study has limitations. This study does not exclude its limitations either. This study focuses on a systematic literature review to explore and develop future research abilities. Although the overall findings found that CO<sub>2</sub> emissions affect the total amount and industrial structure of OFDI in some regions, the variability is significant. First, in terms of the scope of studies, there are no large-scale studies, but rather more detailed studies even focused on one country. Although the scope of research is covered in each country, many articles still focus on the Asian region and the European region, especially China in the Asian region, because China's CO<sub>2</sub> emissions are higher in the global ranking, so many Chinese scholars study this area more, and other neglected (but important) countries, such as the United States and Canada, still need to be expanded with multiple approaches. This will help to compare the results of studies from different regions. Also, the CO<sub>2</sub> emissions sample should be chosen for a longer period of time, which will help to get a more accurate comparison and analysis in future studies. The existing studies are based on official data from various countries or organizations, and the samples are also more biased towards countries, and it is not possible to obtain more accurate local data. In the future, the scope of the data can be narrowed down a bit, so that the analysis will be more specific and representative, and the scope of OFDI can be better determined.

In terms of data analysis, this study is mainly a quantitative study, and many scholars choose different mathematical models to analyze, except for the ARDL model which is a common model, the rest of the models are slowly tried and improved, and some scholars add new variables to the study, such as GDP, which can effectively measure the influence of CO<sub>2</sub> on FDI, which is also the positive significance of this study. In addition, some model evaluations were also conducted to ensure the accuracy of the data, which provides references for future studies.

## 5. Conclusion

This literature review shows that the study of the FDI-CO<sub>2</sub> relationship, a popular cross-disciplinary area in the last two years, has been largely influenced by global regional economic policies and sustainable economic development policies. The relationship and its characteristics have a causal effect on the relationship. However, a more complete research system has not yet been formed in this field, and there is still room for expansion of in-depth research ideas in this field, which is influenced by regional economic, political, and cultural aspects, as well as some of the studies. The results can help individual countries or regional organizations develop specific measures suitable for the region's development.

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# **The Contradictory Relationship between Corporate Social Responsibility (CSR) and Corporate Performance: An Empirical Study of the Asian Employee Perspective**

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## **Abstract**

Most entrepreneurs understand CSR. However, recent CSR occurrences in China are concerning. The corporate reputation was harmed, and it suffered losses and failures. So this research looks at how CSR affects organizational performance. Moreover, corporate reputation and organizational citizenship behaviour (OCB) are presented to examine the impact of CSR on organizational performance from the workers' perspective. This research collects data through convenience sampling and subjects are mostly Chinese workers. A total of 419 valid samples were gathered and 82.6% of effective questionnaires were recovered. The data analysis and comparison uses confirmatory factor analysis and hierarchical regression. In summary, CSR has a significant positive impact on organizational performance and corporate reputation; corporate reputation has a mediating effect on the relationship between CSR and organizational performance; and OCB has a positive moderating effect on the relationship between CSR and organizational performance. Finally, both academic and practical on CSR could be benefited from this study.

**Keywords:** CSR; Corporate Performance; Corporate Reputation; OCB; Employee Perspective

## **1. Introduction**

CSR have become an international trend (Hsu et al., 2011; Wang et al., 2015; Chen, 2022) and is acquiring increasing importance in company management (Guerrero Medina et al., 2021). Businesses should develop and execute a corporate social responsibility plan as soon as feasible to avoid unfavourable publicity in the future (Chen et al., 2016). According to research that used text analysis to analyse the CSR reports of listed firms in China, 79 percent of corporations had a favourable attitude toward social duties (Gao, 2011). Meanwhile, according to Hoogewerf (2020), China's advanced firms spend over 2,500 hours in corporate social responsibility operations in 2018. However, there have been a number of recent cases in China involving corporate social responsibility violations, such as the 2008 Chinese melamine-adulterated milk scandal and the 2019 Luckin Coffee fraud controversy. Corporate social responsibility execution continues to be exceedingly dubious. While some academic research on corporate social responsibility has been conducted, very few empirical studies on the effects of corporate social responsibility on organizational performance have been conducted, and

none have reached a consensus (Inoue & Lee, 2011; Omar & Zallom, 2016; Flammer & Luo, 2017).

According to Singh and Misra (2020), organizational CSR has either a detrimental or beneficial influence on corporate performance (Crisóstomo, Freire, & Vasconcellos (2011); Malcolm, Khadijah, & Ahmad Marzuki, 2007). Otherwise, Deng, Kang, and Low (2013) and Bae et al., (2021). The link between corporate social responsibility and company organizational success, or firm value, has also been examined, with mixed results. To summarize, the current relevant research would explore and focus mostly on the relationship between corporate social responsibility and the ethical, consumer, or enterprise external environment (Jia & Zheng, 2007). Additionally, relatively few attempts have been done in industrialized countries to explore the relationship between CSR and organizational success (Lindgreen, Swaen, & Johnston, 2009; Petrenko et al., 2016). Corporate reputation's function as a mediator and OCB's position as a moderator between CSR and organizational performance is also unknown. Thus, to assist corporations in comprehending the implementation of corporate social responsibility from an internal perspective to obtain substantial management direction, this study analyzes the impact of corporate social responsibility on organizational performance from an internal perspective. And the present research examines whether intermediary or adjustment effects exist for the current study by using business reputation as the mediator (intermediary) variable and organizational citizenship behavior (OCB) as the moderator (adjustment) variable.

This research explores the use of corporate social responsibility in organizational management using empirical evidence and research conclusions. Numerous studies, both domestic and international, have revealed that the effects of CSR on company performance are not uniform. This current study uses empirical research to explore China's corporate social responsibility to be implemented and recognized inside the organization alongside its status quo to broaden the impact of corporate performance factors to provide a new direction. The current study's findings have some value and reference relevance in terms of corporate social responsibility implementation, organization, and management. It may also help employees better understand corporate social responsibility and promote their own personal role responsibility.

## **2. Literature review and hypothesis development**

### *2.1 Effects of CSR on corporate performance*

Stakeholders are increasingly recognizing the value of CSR (Guerrero Medina et al., 2021). According to Pulka, Ramli, and Mohamad (2021), firms that actively participate in charitable activities do better. Moser and Martin (2012) concluded that the majority of research identified a favorable association between corporate social responsibility and company performance. A study of 384 general enterprises in Rajasthan, India, by Jain, Vyas, and Roy (2017) demonstrated the favorable influence of CSR on corporate performance. Singh and Misra (2020) and Petrenko et al. (2016) agree that CSR improves organizational performance. Guo and Ye (2017) examined the influence of CSR and technological innovation on company performance and discovered a substantial positive correlation between the two. On the basis of the aforementioned literature, this study infers that Hypothesis 1 as follows:

H1: CSR has a positive impact on corporate performance.

### *2.2 Effects of CSR on corporate reputation*

Lee, Kim, and Kim (2021) found that active corporate social responsibility may improve



customer perceptions of businesses. Halkos and Nomikos (2021) concluded that corporate social responsibility, community duty, environmental responsibility, and employee responsibility had a considerable beneficial influence on business reputation. According to Leiva, Ferrero, and Calderón (2016), stakeholders should see the benefits of CSR positively. Using the automobile sector as a case study, Garca-Madariaga and Rodriguez-Rivera (2017) discovered that CSR positively impacts business reputation. Pham and Tran (2020) claim that CSR disclosure improves corporate reputation. On the basis of the aforementioned literature, this study infers that Hypothesis 2 as follows:

H2: CSR has a positive impact on corporate reputation.

### *2.3 Relationship between corporate reputation and corporate performance*

Ramos and Casado-Molina (2021) emphasize the crucial role of an online business reputation in a company's sustainability. According to Fombrun (2005), corporate reputation not only enhances an enterprise's performance by encouraging staff productivity, but also contributes to the enterprise's competitive advantage. Fombrun and van Riel (2003) discovered that manufacturing suppliers were more likely to provide long-term contracts to respectable enterprises, which resulted in decreased production risks and enhanced company performance via risk and cost reduction. Zhu, Sun, and Leung (2014) demonstrate that a company's reputation has a measurable effect on business performance. Chen (2016) conducts an empirical examination of the link between corporate reputation and life insurers' financial performance and demonstrates that corporate reputation has a considerable beneficial effect on profitability. According to Ramos and Casado-Molina (2021), controlling an organization's online corporate reputation is becoming more important for boosting economic performance. On the basis of the aforementioned literature, this study infers that Hypothesis 3 as follows:

H3: Corporate reputation has a positive effect on corporate performance.

### *2.4 The mediating effect of corporate reputation*

The research model of the CSP-FP link proposed by Neville et al. (2005) demonstrates the intermediate function of corporate reputation between company social performance and financial performance. Using the automobile sector as a case study, Garca-Madariaga and Rodriguez-Rivera (2017) find that corporate social responsibility positively impacts business reputation, which in turn impacts corporate market value. For example, Saeidi et al. (2015) discovered a favourable link between CSR and business performance when examining the role of corporate reputation as a mediator. According to Swaen et al. (2020), business reputation impacts CSR views on trust. On the basis of the aforementioned literature, this study infers that Hypothesis 4 as follows:

H4: Corporate reputation has a mediating effect on the relation between CSR and corporate performance.

### *2.5 Moderating effect of OCB*

Akbari et al. (2020) found a substantial link between CSR and OCB. The perception of CSR by employees toward social and non-social stakeholders also affected their OCB. To achieve organizational objectives, OCB is critical (Taşkıran, & YGÜN, 2019). They argue that intrapreneurship is related to OCB towards the environment. Popescua et al. (2015) claim OCB level boosts SME performance. The research indicated that high-level citizenship personnel may actively manage business image and increase social responsibility (Katz & Kahn, 1978).



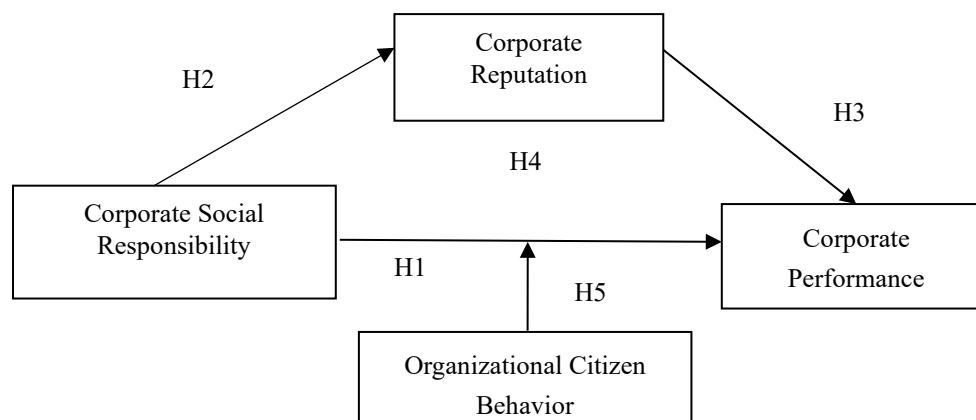
Based on the previous research, this paper asserts that organizing civic behaviour may impact the link between CSR and company performance. On the basis of the aforementioned literature, this study infers that Hypothesis 5 as follows:

H 5: OCB has a moderating effect on the relationship of CSR and corporate performance.

## 2.6 Research framework

The internal employee perspective of the organization is used to analyze the impact of corporate social responsibility on corporate performance, to determine the extent to which corporate social responsibility affects corporate performance when corporate reputation is used as an intermediary variable, to determine the impact of corporate social responsibility on corporate performance when the moderating variable is omitted. The following Figure 1 illustrates the research framework for this study.

**Figure 1**  
*Research Framework*



## 3. Research methodology

### 3.1 Measurement

For data analysis and comparison, the SPSS and AMOS were employed. Cronbach's alpha was used to determine if the variables measured in this article met the consistency criteria. The convergent and discriminant validity were assessed using composite reliabilities (CR) and extracted average variances (AVE). The hypotheses were tested using stepwise regression analysis. The current study adopts Magan and Ferrell's (2000) definition of corporate social responsibility, which states that CSR is the fulfillment of enterprises' expectations and requirements of stakeholders, as well as the awareness and behavior of enterprises to participate actively in social affairs in addition to their economic responsibilities.

Additionally, this study used the research conclusions summarized by Davids and Blomstrom (1971) and Thompson and Zakaria (2004) to conduct CSR measurements across the four dimensions of employee, consumer, environment, and society, and its scale index is more appropriate for the Chinese cultural environment. The current study uses Poole and Warner's (1998) definition of enterprise performance, which, when combined with the study's actual needs, defines enterprise performance as the enterprise's performance over a specified

time period as determined by its production and operation mode, employee performance, resource volume, governance capacity, external environment, and other factors resulting from operational and non-financial benefits. The business performance assessment examined in this research is mostly based on Vekatraman and Ramanujam's (1986) subjective enterprise performance evaluation scale, which measures both financial and non-financial performance. Additionally, this study refers to Fombrun's (2005) definition of corporate reputation, which is a subjective and comprehensive assessment of an enterprise's development status and operational capability based on the enterprise's overall performance in terms of business status, management, resources, and external environment over time. Schwaiger (2004) produced a scale based on competence and emotion that has been altered to take into account the Chinese cultural context and has shown high reliability and validity. As a result, the Schwaiger (2004) measures were used to assess company reputation in this research. Organ's (1988) definition of OCB is used in this study to define organizational civic behavior as "organization members performing voluntary acts beneficial to the operation of the organization for the purpose of social exchange that are not covered by the organization's formal compensation system or code of conduct." In this research (2002), the scale of OCB created by Aryee, Budhwar, and Chen was employed.

### *3.2 Procedure and participants*

Due to the study's Chinese cultural context, it includes Beijing, Shanghai, Heilongjiang, Sichuan, and other regions in China. To conduct a more thorough investigation of Chinese enterprises' and employees' social responsibility performance, this study surveyed employees of various grades (high school and low management, as well as general employees), enterprise sizes, and industries, in order to ascertain employees with varying levels of corporate social responsibility awareness and varying levels of corporate social responsibility performance.

To increase the universality and relevance of samples, to increase the total recovery rate of sample questionnaires, and to reduce inquiry costs, this survey gathers data by distributing electronic questionnaires over the Questionnaire Stars network (Wen-Juan Xing as translated into Chinese spelling). 48 questionnaires were used in the investigation. The research examined 48 questionnaire-based goal items. Tinsley and Tinsley (1987) recommend that the ratio of questions to samples be between about 1:5 and 1:10, and that the survey sample size be eight times the number of questionnaire questions, i.e.,  $48 \times 10 = 480$ , implying that the survey actually distributed 507 questionnaires, excluding logical contradictions, incomplete questionnaire information, and other invalid questions. 88 valid questionnaires were collected out of 419, and a successful questionnaire recovery rate of 82.6 percent was achieved.

### *3.3 Descriptive statistics*

The gender variable is binary, with 1 indicating male (44.15 percent) and 2 indicating female (55.85 percent). Age was determined on a four-point scale, with 1 equaling 26 (5.01 percent), 2 equaling 26 to 35 (57.04 percent), 3 equaling 36 to 45 (24.575 percent), and 4 equaling above 45 (10.5 percent). Education was quantified on a four-point scale, with 1 indicating completion of senior high school (4.3 percent), 2 indicating completion of junior college (20.04 percent), 3 indicating completion of college/university (69.93 percent), and 4 indicating completion of graduate school (5.73 percent). On a four-point scale, 1 equaled staff (24.58%), 2 equaled managers (38.19%), 3 equaled mid-level manager (22.94%), and 4 equaled senior managers (4.3%). On a four-point scale, 1 represents a state-owned firm (27.45

percent), 2 represents a foreign corporation (7.88 percent), 3 represents a joint venture (13.37 percent), and 4 represents a private enterprise (51.31 percent). The size of the firm was determined on a four-point scale, with 1 indicating a micro-enterprise (3.1 percent), 2 indicating a tiny enterprise (31.1 percent), 3 indicating a moderate-to-medium-sized company (49.19 percent), and 4 indicating a big organization (16.71 percent).

#### 4. Data analysis

##### 4.1 Reliability, validity, and correlations

Cronbach's  $\alpha$  was used to assess dependability in this research. According to Guelford (1965), a number greater than 0.7 implies strong measurement reliability. The assessment findings in Table 1 indicate that the Cronbach's  $\alpha$  value for each variable is more than 0.7, suggesting that each variable has a high degree of reliability and reasonably strong internal consistency.

**Table 1**  
*Reliability of Questionnaire*

Variables	Cronbach's $\alpha$	Items
CSR	0.921	24
Corporate Performance	0.900	9
Corporate Reputation	0.833	6
OCB	0.782	9

Confirmatory factor analysis (CFA) was performed to determine the scales' dimensionality, reliability, and validity. The values of  $\chi^2 = 1945.66$ , d.f. = 1031, and  $\chi^2/\text{df} = 1.887$ , as well as the AGFI, GFI, and CFI in the CFA model, all surpassed 0.80 (AGFI = 0.81; GFI = 0.833; CFI = 0.898; RMSEA = 0.046; SRMR = 0.0505; PGFI = 0.731; NFI = 0.807), suggesting that these variables adequately match the data, as (1992). The CRs were estimated in accordance with Fornell and Larcker's recommendations (1981). The CR values varied from 0.874 to 0.918, all of which were more than 0.70, the threshold of acceptable CR proposed by Bagozzi and Yi (1988). According to the figures shown in Table 2, we find clearly the relationship between variables in this study shows a highly positive correlation and the mean value of each variable are greater than median value. Also, the AVE values are always greater than the given shared variances, and the square root values of the AVE for each construct are much greater than the correlations.

**Table 2**  
*Correlation Matrix and Descriptive Statistics*

Variables	CSR	C.P.	C.R.	OCB
CSR	<u>0.755</u>			
Corporate performance	0.686**	<u>0.779</u>		
Corporate reputation	0.751**	0.716**	<u>0.760</u>	
OCB	0.644**	0.510**	0.573**	<u>0.708</u>
Mean	3.898	3.797	3.906	4.049
SD	0.494	0.615	0.621	0.442
Skewness	-0.399	-0.682	-0.693	-0.343
Kurtosis	0.304	0.663	0.939	0.681

Note: C.P. means corporate performance; C.R. means corporate reputation; SD means standard deviation; the value of the diagonal is the square root values of the AVE for each variable; \*\*means  $p \leq 0.01$

#### 4.2 Results

To test the hypotheses, the data gathered in this research were submitted to stepwise regression and multi-regression analysis. Six stepwise regression models ranging from model 1 to model 6 were created for the purpose of evaluating direct effect hypotheses, and the findings are summarized in Table 3.

**Table 3**  
*Stepwise Regression Analyses of Direct Effect*

Variables	Model 1	Model 2 (C.P.)	Model 3	Model 4 (C.R.)	Model 5	Model 6 (C.P.)
Gender	-0.150*	-0.012	-0.075	0.078	-0.150*	-0.096*
Age	-0.051	-0.059	0.018	0.009	-0.051	-0.064*
Education	0.004	0.010	0.044	0.051	0.004	-0.028
Position	0.151***	0.093***	0.135***	0.070**	0.151***	0.055*
E.S.	-0.019	-0.045	0.067	0.038	-0.019	-0.066*
CSR		$\beta = 0.841$		$\beta = 0.936$		
C.R.						$\beta = 0.711$
F	4.176***	58.001***	3.950***	84.269***	4.176***	70.137***
R <sup>2</sup>	0.057	0.497	0.054	0.589	0.057	0.544
Adj-R <sup>2</sup>	0.044	0.488	0.041	0.582	0.044	0.537
O.P.	0.000	0.000	0.000	0.000	0.000	0.000

Note: E.S. means enterprise size; C.R. means corporate reputation; C.P. means corporate performance; O.P. means overall model p value; the independent variable of model 1 to 4 is CSR; the independent variable of model 5 to 6 is C.R.; the dependent variable of model 2 and 6 is C.P.; the dependent variable of model 4 is C.R.; \*\*\*means  $p \leq 0.001$ ; \*\*means  $p \leq 0.01$ ; \*means  $p \leq 0.05$

The results of the tests for model 2 suggest that the p value for goodness of fit is 0.0000.001, indicating statistical significance. As a result, identifying CSR operations has a variety of consequences for corporate performance. The regression coefficient of 0.841 demonstrates that identifying CSR initiatives positively impacts corporate performance significantly. Additionally, the adjusted R<sup>2</sup> value of 0.488 indicates that CSR may account for 48.8% of the variance in corporate performance. As a result, hypotheses 1 and 2 are supported. On the other hand, the results of the tests for model 4 suggest that the p value for goodness of fit is 0.000<0.001, indicating statistical significance. As a result, identifying CSR operations has a variety of implications for corporate reputation. The regression coefficient of 0.936 implies that identifying CSR initiatives improves corporate reputation significantly. Furthermore, the adjusted R<sup>2</sup> value of 0.582 suggests that CSR may account for 58.2 percent of the variation in corporate reputation. As a result, hypotheses 2 and 3 are supported. Last but not least, the results of the tests for model 6 suggest that the p value for goodness of fit is 0.000<0.001, indicating statistical significance. Thus, corporate reputation identification has a different influence on corporate performance. The regression coefficient of 0.711 reveals a considerable positive effect of corporate reputation on corporate performance. Additionally, the adjusted R<sup>2</sup> value of 0.537 indicates that corporate reputation may account for 53.7 percent of the variance in corporate performance. As a result, hypothesis 3 is validated. This study is based

on the method of verifying the mediating effect mentioned by Baron and Kenny (1986). Four regression models from model 7 to 10 were developed for hypotheses testing of corporate reputation mediating effect, and the results of testing are shown in Tables 4.

**Table 4**

*Results for Mediated Regression Analyses (Mediator: C.R.; Outcome Variable: C.P.)*

Variables	Model 7 (C.P.)	Model 8 (C.R.)	Model 9 (C.P.)	Model 10 (C.P.)
Gender	-0.150*	0.078	-0.012	-0.049
Age	-0.051	0.009	-0.059	-0.064*
Education	0.004	0.051	0.010	-0.014
Position	0.151***	0.070**	0.093***	0.060*
E.S.	-0.019	0.038	-0.045	-0.062*
CSR		$\beta = 0.936$	$\beta = 0.841$	$\beta = 0.404$
C.R.				$\beta = 0.467$
F	4.176***	84.269***	58.001***	73.230***
R <sup>2</sup>	0.057	0.589	0.497	0.588
Adj-R <sup>2</sup>	0.044	0.582	0.488	0.580
O.P.	0.000	0.000	0.000	0.000

Note: E.S. means enterprise size; C.R. means corporate reputation; C.P. means corporate performance; O.P. means overall model  $p$  value; the dependent variable of model 7, 9 and 10 is C.P.; the dependent variable of model 8 is C.R.; \*\*\*means  $p \leq 0.001$ ; \*\*means  $p \leq 0.01$ ; \*means  $p \leq 0.05$

The test findings in Table 4 demonstrate that the  $p$  value for goodness of fit in model 8 is  $0.000 < 0.001$ , indicating statistical significance. Thus, corporate reputation is affected differently when CSR is identified. The regression coefficient is 0.936, which indicates the existence of the association path A.  $p = 0.000 < 0.001$  in model 9, suggesting that the pattern is statistically significant. The value of 0.841 indicates the existence of the connection path C. Finally, the coefficient of the C.R. on the C.P. is 0.467 ( $p < 0.001$ ) for Model 10. This result establishes the existence of the connection route B, and the coefficient for the influence of CSR on the C.P. is 0.404 ( $p < 0.001$ ), which is less than the model coefficient (0.841). At this point, the C.R. exerts a considerable and beneficial partial mediating impact. Furthermore, the adjusted R<sup>2</sup> is 0.58, indicating that CSR and C.R. can explain 58 percent of the variation in C.P. This finding implies that Hypothesis 4 of this research is supported, and that the C.R. is exerting a considerable and beneficial partial mediating impact at this moment.

This research is based on the approach used by Baron and Kenny (1986) to validate the mediating effect. Four regression models ranging from 11 to 14 were created to investigate the moderating impact of OCB, and the results are reported in Tables 5.

**Table 5**  
*Results for Moderated Regression Analyses (Outcome Variable: C.P.)*

Variables	Model 11	Model 12	Model 13	Model 14
Gender	-0.150*	-0.012	-0.016	-0.022
Age	-0.051	-0.059	-0.063*	-0.061*
Education	0.004	0.010	0.016	0.016
Position	0.151***	.093***	0.091**	0.092**
E.S.	-0.019	-0.045	-0.044	-0.043
CSR		$\beta = 0.841$	$\beta = 0.739$	$\beta = 0.736$
OCB			$\beta = 0.177$	$\beta = 0.188$
CSR×OCB				$\beta = 0.151$
F	4.176***	58.001***	52.562***	47.487***
R <sup>2</sup>	0.057	0.497	0.506	0.511
Adj-R <sup>2</sup>	0.044	0.488	0.497	0.500
O.P.	0.000	0.000	0.000	0.000

Note: E.S. means enterprise size; OCB means organizational citizenship behavior; O.P. means overall model  $p$  value; \*\*\*means  $p \leq 0.001$ ; \*\* means  $p \leq 0.01$ ; \* means  $p \leq 0.05$

The results of the tests for model 14 indicate that the  $p$  value determining fitness is 0.0000.001, demonstrating statistical significance. Thus, CSR and OCB are inextricably linked. Meanwhile, the regression coefficient is 0.151 suggests that enhancing CSR has a positive influence on OCB's effect on corporate performance. As a result, hypotheses 5 and 6 are supported.

## 5. Conclusion and Implication

### 5.1 Research results

As indicated below, the research findings were obtained by validating the hypothesis in this study. (1) CSR has a significant positive impact on both corporate performance and reputation; (2) corporate reputation has a significant positive impact on corporate performance; (3) corporate reputation serves as a partial mediating effect between CSR and corporate performance; and (4) CSR a positive moderating impact on corporate performance.

### 5.2 Theoretical implications

This study establishes a link between CSR and corporate performance, strengthens the impact of corporate reputation and OCB on corporate performance, and confirms the positive impact of CSR on corporate performance from the perspective of organizational employees. Additionally, this study analysis the impact of CSR on corporate performance, the mediating effect of corporate reputation, and the moderating effect of OCB, and establishes a more comprehensive mechanism for CSR to address the associated effects on corporate performance across enterprise society. The research sheds light on how corporate reputation and OCB influences the effects of CSR on corporate performance and how a failure to include such elements might account for prior studies' contradictory conclusions.



### *5.3 Management implications*

This study confirms the positive impact of corporate social responsibility on corporate performance from the perspective of employees within the organization and makes business managers fully aware of the importance of fulfilling CSR because it truly is associated with the overall corporate performance. Therefore, corporations should take the initiative to assume responsibility for employees, consumers, the environment, and the community on the basis of CSR, but also pay attention to the implementation of the business community's will be the status of the announcement, in order to enhance the reputation of the enterprise. It is proved that the regulating effect of organizing citizen behavior can provide the implementation path for enterprise business strategy and corporate social responsibility implementation strategy, provide more support for employees, provide social and environmental support and rescue channels to the outside world, and make the targeted use of employees' OCB. Some corporates believe that social responsibility will increase the cost of enterprises, increase the burden of enterprises, and reduce corporate performance. But while taking on social responsibility to provide financial, human, and material support to other members of the social network (e.g. employees, consumers, communities, the environment, etc.), it also receives resources such as support, trust, and reputation from other members of society. In addition, since CSR is in line with the preferences of the community, the public, the socially vulnerable, and the government, enterprises can gain the recognition of the above-mentioned members of society. At the same time, when these resources embedded in the enterprise relational network are acquired by the enterprise, the accumulation of its resources can generate profits and thus ultimately improve the corporate performance.

According to this study, OCB has a positive moderating effect on the relationship between CSR and corporate performance, and when employees feel the enterprise's concern and support, they will give back to the enterprise by implementing an organizational culture of civic behaviour, which can be accomplished through social responsibility implementation in addition to production and personnel management. Thus, enterprises will collaborate to develop a harmonious corporate culture, will lend assistance to one another, will recognize employees and departments that contribute positively to unit interpersonal harmony and work performance, will foster the development of a positive cultural environment to promote employees' OCB, and will strengthen the corporate to have a positive effect on overall corporate performance.

### *5.4 Limitations and future direction*

This research has the following two limitations: (1) The results have limited generalizability due to their origin in a sample of Beijing, Shanghai, Heilongjiang, Sichuan, and other Chinese provinces. (2) This research analysis just the OCB as a moderator and the C.R. as a mediator, and so eliminates the possibility of additional moderators and mediators in this connection. This study focuses mostly on individual workers, with few research control factors. Thus, it is advised that, in the future, the link between corporate social responsibility and business performance be further examined in conjunction with organizational aspects such as competitive intensity, company culture, and so on.

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# To What Extent has the Gaokao “Changed My Destiny”? A Qualitative Longitudinal Study of the Impact of the Gaokao on Social Mobility in China

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## Abstract

Is the Gaokao an engine for social mobility in China? Despite extensive studies on higher education expansion and social mobility in China, limited research has adopted a qualitative longitudinal approach to trace the travels from social origin to destinations via higher education. Using longitudinal interviews with individual research participants, 14 years apart from their university to labour market transitions, this study argues social mobility is highly complex and should be examined from the lens of individual agency and positionality. Findings reveal the limitations of quantitative approaches in explaining absolute and relative social mobility. A qualitative longitudinal approach offers an opportunity for scholars to examine the complexity of social mobility across socioeconomic and geographical hierarchies as well as assess the effect of higher education on different life trajectories in the context of China.

**Keywords:** China Higher Education; Social Mobility; Meritocracy; Socioeconomic Stratification; Geographical Inequality

## 1. Introduction

Is the Gaokao<sup>1</sup> an engine for social mobility in China? There is a growing volume of research on the massification of higher education and its effects on social mobility (Liu, 2016; Marginson, 2016; Shavit et al., 2007). We know that higher education in Mainland China has expanded immensely since the Reform and Opening up, with gross enrolment ratios of tertiary education rising from 0.99 in 1979 to 62.4 per cent in 2018 (World Bank, 2016). We also know that as higher education becomes massified, it tends to become increasingly diversified and differentiated (Carnoy et al., 2013; Marginson, 2016). Research in global north societies, for instance, shows an increasing hierarchical differentiation of pathways by types of institution and fields of study (Shavit et al., 2007). Theories of ‘Maximally Maintained Inequality’ (MMI) (Raftery & Hout, 1993), and ‘Effectively Maintained Inequality’ (EMI) (Lucas, 2001), have been developed to capture the impact of this increasing diversification of higher education on social mobility. The greater heterogeneity in quality across institutions is already reflected in the global north contexts in the ever-increasing differentiation in the

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<sup>1</sup> The Gaokao refers to the National College Entrance Examinations in China. It was re-established in 1977 as the main selection criterion to higher education after the ten-year Cultural Revolution.

labour market value of degrees from different institutions and in different subjects (Green & Zhu, 2010; Reimer et al, 2008).

However, there remain many unanswered questions in the research on the impact of higher education on social mobility in the Chinese context. We know that access to higher education varies for people from different social and geographical origins (Liu, 2015) and that the wage premium for graduates from elite universities is significantly higher than that for graduates from non-elite universities (Li et al., 2012; Hartog et al., 2010). However, much less is known, in detail, about how higher education qualifications are translated into different destinations in varying socioeconomic structures. In other words, how have higher education opportunities affected social mobility? Equally important, how to measure social mobility in the Chinese context?

Literature in global north contexts on social mobility analyses differences in educational levels, occupational status, and mid-career incomes of children and their parents and has been assisted by the availability of longitudinal and panel datasets on the life course of these generations (Torche, 2013; Mitnik et al., 2013). By comparison, existing research on social mobility in Mainland China recognizes rapid change in social mobility both in absolute and relative terms but lacks consistent and reliable longitudinal datasets with which to measure (Hao, 2013). Previous research on social mobility in these contexts has been innovative in exploring limited and fragmented datasets to examine patterns of social mobility during changing socio-political circumstances (Liu, 2016). The surname and its related kinship are used to measure historical trends of elite mobility from the Late Imperial China to the Republican era and to Communist China (Hao, 2013). Moreover, measures of income, educational level, Chinese Communist Party membership, and household registration status (the Hukou) are also used to examine patterns of intergenerational social mobility (Chen et al., 2010; Wu & Zhang, 2010; Wu, 2017). However, these studies are subject to various limitations. They often use pseudo cohorts which are unable to capture the life course of the parental generation and their children in the same families. The measures of occupational status are often inconsistent and tend to elide political status and socioeconomic status. Most importantly, there is a lack of in-depth analysis of individual agency and positionality in the travels between social origin and social destinations via higher education.

This article, therefore, addresses these gaps by proposing a qualitative longitudinal approach using the data from the survey study and interviews with university students conducted between 2007 and 2008 and follow-up interviews in 2021 with three representatives from different Gaokao outcomes. This article asks; 1) How has the Gaokao affected individuals' life chances? 2) What are the characteristics of social mobility from social origin to life destinies via university attendance? 3) How do individuals perceive social mobility through their own journeys?

## **2. The Chinese context**

My previous project investigated the extent to which the Gaokao selection was based on meritocracy by drawing from first-hand data collection between 2007 and 2008 in Anhui and Zhejiang – two provinces in East China (Liu, 2016). Since my previous project, higher

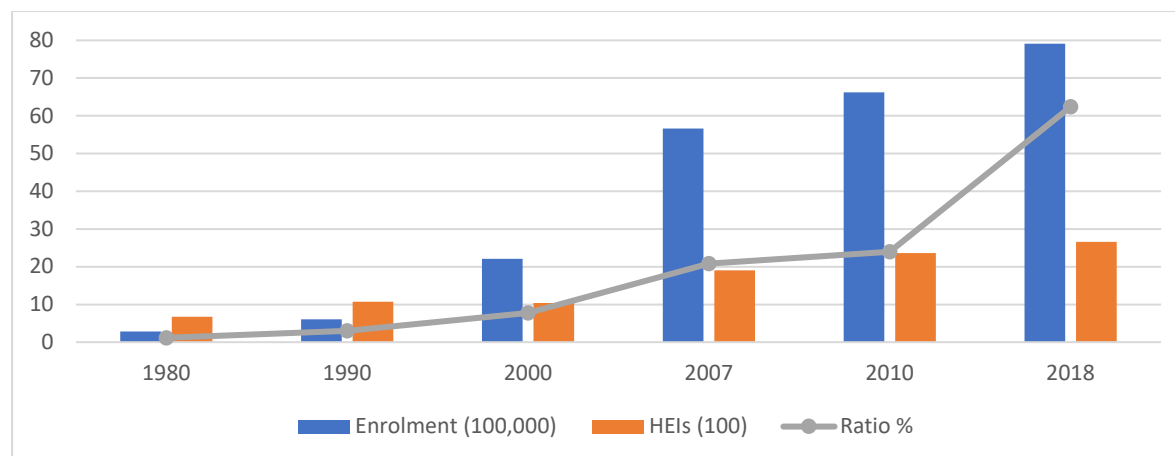


education has continued to expand at an unprecedented scale. The whole system has become more stratified with the government's new flagship programmes of establishing world-leading universities with the 985 universities<sup>2</sup> at the top of the pyramided system and massive recruitments into less prestigious institutions at the provincial level (Shen, 2018; Liu, 2018). To capture the dramatic changes that have occurred in the last decade, I shall first use overtime data to document the expansion of higher education in terms of a few selected measures including, the total number of new entrants to all higher education institutions (HEIs), the total number of public HEIs, and the gross enrolment ratios to higher education in Figure 1.

Figure 1 shows the dramatic increase in enrolment numbers between 2000 and 2018. This massive expansion of student recruitments was a response to the government's binggui policy<sup>3</sup> which ended the era of free education and introduced the tuition fees in the late 1990s (Liu, 2016). Since the 2000s, the recruitment to higher education still rose steadily between 2007 and 2018. To accommodate the growing demand of higher education during this period, the supply of public HEIs also grew from 1,908 in 2007 to 2,663 in 2018. Yet, the most dramatic change is the enrolment ratio increase from 20.84 per cent in 2007 to 62.4 per cent in 2018. It means that two-thirds of eligible population, mostly secondary school graduates, entered higher education in 2018.

**Figure 1**

*The Expansion of Higher Education in China in Terms of Total Number of Enrolments, the Number of HEIs and the Gross Enrolment Ratios between 1980 and 2018*



<sup>2</sup> The 985 Universities refer to elite universities selected to be part of the project of building world-class universities by the Chinese government. By identifying these elite universities, the government prioritised the provision of funding and resources to these selected institutions.

<sup>3</sup> The binggui policy was a substantial reform concerning the recruitment, fee charges, and job assignment in higher education in China. This policy was initially introduced as a pilot reform in around 40 higher education institutions in 1994, and then it was extended to around 100 universities in 1995. The essence of the binggui policy was to end the era of free higher education and job security for university graduates. It marked a new era of fee-charging and free mobility in the labour market after higher education. By 1997, the binggui policy was implemented in majority of higher education institutions, which is detailed in *Achievements of Reforming Higher Education in the Past 30 years* by the Ministry of Education.

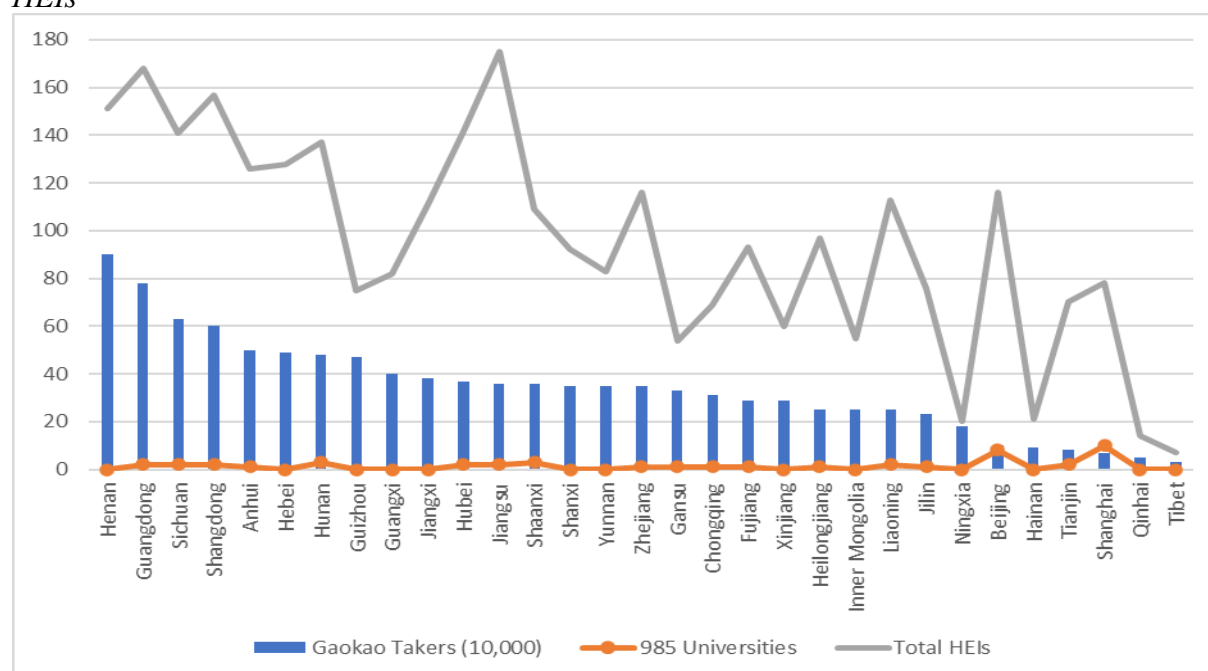
Sources: Data on the number of enrolments and HEIs are from China Statistical Year Book 2019: <http://www.stats.gov.cn/tjsj/ndsj/2019/indexeh.htm>; Data on enrolment ratios between 1980 and 2010 for tertiary education are from Our World in Data: <https://ourworldindata.org/tertiary-education>; Data on enrolment ratio for 2018 are from China Statistical year book 2019: <http://www.stats.gov.cn/tjsj/ndsj/2019/indexeh.htm>

This dramatic increase in enrolment ratios raises two important questions. First, despite all the changes, what remains constant is the Gaokao as the main channel of access to higher education. To what extent has the Gaokao facilitated upward social mobility? To answer this question, I shall focus on two key stratifiers-geographical origin and socioeconomic status identified from my previous project (Liu 2016; 2018), in addition to assessing the nature of the Gaokao selection. Figure 2 provides a snapshot of geographical stratification of higher education selection through the Gaokao. It shows a geographic landscape of unevenness in terms of the Gaokao takers and the number of HEIs as well as that of elite universities. In Figure 2, majority of elite universities are concentrated in Beijing, Shanghai, and other eastern provinces. Twenty-five percent of all elite universities are in Beijing and another 13 percent in Shanghai. In contrast, only 3 elite universities are located in Western provinces: two in Sichuan province and one in the municipality of Chongqing. As far as the total number of higher education institutions is concerned, more than 77 percent of universities are concentrated in eastern provinces. Even economically, more developed areas in western China such as Chongqing, Sichuan, and Shaanxi only account for 7 percent of a total number of higher education institutions. As far as the distribution of all higher education institutions is concerned, eastern provinces such as Liaoning, Jiangsu, Shandong, and one province and one municipality in the West – Shaanxi, and Chongqing – have more higher education institutions than all other provinces, except for Beijing and Shanghai.

Yet, the distribution of HEIs and elite universities do not correspond to the student population. For instance, Henan has the highest number of the Gaokao takers but there is no university granted 985 statuses in the province although the total number of HEIs is relatively high compared to the majority of the provinces. Similarly, Guizhou in the western region has one of the highest numbers of Gaokao takers but there is no 985 universities, and it also has only 75 HEIs in total. By contrast, there are 167 and 116 HEIs in Shanghai and Beijing respectively but the Gaokao takers are the lowest among all provinces.

**Figure 2**

*Geographical Landscape of the Gaokao Takers, the Elite Universities and the Total Number of HEIs*



Source: The data on the Gaokao takers are dated in 2018 from the NBSC 2019. The data on the number of 985s and the total HEIs are from the list of higher education institutions with four-year undergraduate programmes (Ministry of Education 2011).

Apart from geographical inequality, I shall present data on the socioeconomic and demographic picture of HE student population and that of elite universities over fixed periods. Table 1 demonstrates the pattern of socioeconomic participation in my original survey study between 2007 and 2008, the Beijing College Students Panel Survey (BCSPS) 2009 and from the Peking University Survey in 2017 and to that of the general population. It shows a persistent socioeconomic selectivity particularly into elite universities like PKU and universities based in Beijing. In my original survey, around 5.5 percent of surveyed students came from elite social statuses such as leading cadres and senior executives but the proportion increased to 18.5 percent in the BCSPS survey and to around 43 percent in the PKU survey.

Similarly, around 20 percent of surveyed students from my original survey were from professional backgrounds but the proportion increased to a third in the BCSPS students survey and nearly a third among surveyed PKU students. By contrast, only 11 percent and 7 percent of the surveyed PKU students are from urban working-class families and agricultural families, respectively. There were around a third and 18.4 percent from these two backgrounds in the BCSPS survey. This representation of students from working-class and agricultural backgrounds contrasts with around 40 percent of each social group in the total population. In my original survey, students from working-class and agricultural families counted for 36 percent and 39 percent, respectively. This difference in representation by working class and agricultural origin between my survey and the surveys in Beijing may suggest that students from privileged backgrounds are more likely to go to elite universities and/or universities in



Beijing. These statistical data provide a picture of socioeconomic and geographical patterns of participation in higher education. But we still do not know how higher education experiences and qualifications affect students' lives. Qualitative longitudinal data is used in the next section. to illuminate the complexity of social mobility through higher education in China.

**Table 1:**

*Overtime Changes in Socioeconomic Patterns from My Original Survey, to the BCSPS (2009) and to the Peking University Survey (2018)*

The Lu Xueyi's SES	The Survey Study by the author conducted between 2007 and 2008 (N=960) **	Beijing College Students Panel Survey 2009 (N=4,749)	PKU Survey 2017 (N=1,367)	Percentage in population
01-02 Leading cadres, governmental officials in managerial roles, and executive personnel	5.5	18.5	42.8	6.2
03. Professionals	18.4	32.2	26.9	15.8
04 Urban working class	36.7	32.4	11.6	31.8
05 Agricultural workers	39.2	18.4	7	40.3
06 Unspecified	0.2	0	11.7	5.9

Sources: the data on the composition of the corresponding population come from Lu Xueyi (2010).

Note: \* The first two socioeconomic groups are combined together, that is, the leading cadres/governmental officials and executive personnel.

\*\* The data is from Liu 2016.

### **3. Data and methods: A qualitative longitudinal approach**

To investigate the long-term impact of the Gaokao on people's life potentialities, I traced my research respondents over the course of 14 years from universities to the labour market. In the original research project, I conducted a survey study involving around 960 first-year undergraduate students in eight different types of universities in two provinces (Anhui and Zhejiang) between 2007 and 2008. Following up the survey study, I further conducted 63 in-depth individual interviews from the survey sample. The respondents were born between 1986 and 1989. There were three different "identities" associated with different types of outcomes of the Gaokao examinations which were discussed by my research participants in the original sample. These include Gaokao champions, Gaokao losers, and Gaokao mediocres.

In 2021, I conducted follow-up interviews with three respondents matching each category in my original sample. The main challenge of a longitudinal method is attrition management. During the 14 year gap, there have been significant changes in communication modes and further development in social media in China. My original contacts were kept in QQ records and QQ email accounts. Yet, WeChat has been a dominant mode of communication replacing QQ since my original fieldwork. I experienced difficulties in converting the original QQ contacts into WeChat accounts. Instead, I used QQ emails to reach out to my respondents. Unsurprisingly, the respondent rate was low at only 11 per cent. A total number of 7 original participants responded to my requests to be re-interviewed. Among these, I selected 3 matching each category of Gaokao champions, losers, and mediocres.

Interviews in the original project and in 2021 were semi-structured and lasted approximately one and two half hours each. The original interviews were conducted in person at public places such as university canteens, sports centres, and empty lecture rooms. The follow-up interviews in 2011 were conducted remotely online. All interviewees provided informed consent to be digitally recorded and all were transcribed in Chinese. The original study was approved by the Research Ethics Committee at the Institute of Education, University of London in 2006. The follow-up interviews were conducted in full compliance with research ethics codes and practices established in King's College London Research Ethics Policy (Ethics Clearance No.: MRA-20/21-26171).

Personal identifiable characteristics were removed, and the data were anonymised through pseudonyms and number codes. Three stages of coding were used in this study. First, open coding was applied to identify the three outcomes of the Gaokao in relation to meritocracy from the original interview transcripts. The second round of coding mapped their original perceptions on the Gaokao with their subsequent university experiences and labour market transitions to provide a full picture of the travels from social origin to university to social destinations. In the third round of coding, I assessed the different patterns of travels among these respondents and analysed what social mobility means to each individual.

#### **4. Findings**

In the first section, I revisited original interview transcripts dated between 2007 and 2008, as noted. The Gaokao champion passed the competitive examination and achieved her dream to study in an elite university despite her unprivileged rural family background. The Gaokao loser failed to be accepted by her first choice of university in the Gaokao and settled at a lower-tier university in Anhui. The Gaokao mediocre had poor academic performance in the Gaokao but managed to go to university by navigating the complex quota systems with the assistance of his family's extended networks. In the second section, I detailed my follow-up interviews with participants when they were in their early 30s. In the following segment, I mapped out the trajectories of the interviewees, from different Gaokao outcomes to their current labour market destinations, socioeconomic status, and reflections on the extent to which the Gaokao has changed their 'destiny'.

##### *4.1 The destiny children birthed by the Gaokao-the champion, the loser, and the mediocre*

#### *4.1.1 The Gaokao champion*

Huang was a Gaokao champion by all standards; she received the top 10 highest Gaokao scores in the whole province of Anhui in the year 2007 and an offer from one of the most prestigious universities – Peking University. She was living proof of meritocracy. Her parents were agricultural workers from a deprived rural area in central Anhui, who moved to a nearby county and supported themselves as street vendors. Despite her humble origin, she had always been a straight-A student at PKU. At the age of 11, Huang received 3 different offers to study in elite middle schools in neighbouring cities and counties. All headmasters predicted that she would be a Tsing Hua or PKU material. Huang was the best example of meritocracy and featured in the headmaster's monthly motivational speeches regularly. By her own account, she spent most of her time in high school studying and revising. She was a perfect meritocratic model. All her hard work paid off when she received the offer letter from Peking University, one of the best universities in China. Hardly a surprise, she was the toast of the county. The headmaster used Huang as a perfect example of rural kids changing their destiny by working hard. The Gaokao changed Huang's destiny as a peasant's daughter, in that typically her destiny might be one of either spending the rest of her life working in the fields like her parents and grandparents or being one of the millions of migrant workers flooding into the cities for low-skilled and low-paid jobs without entitlements or security. Yet, the Gaokao changed her destiny with many promises at Peking University. She swore by the codes of meritocracy. Hard work warranted success.

#### *4.1.2 The Gaokao loser*

The term loser might sound harsh, but it was used frequently by my research participants. The term captured the deep emotional and psychological impact of the Gaokao on individuals. There were primarily two types of the Gaokao losers. The obvious meaning refers to poor Gaokao performance and the subsequent failure to be enrolled in any public university. The second type of loser refers to those who are accepted by a public university but not by their preferred choice. My sample did not include the first category of 'losers' since my respondents were all enrolled in universities, but I had many respondents call themselves a "Gaokao losers", which meant they failed to go to their chosen universities. Interviewees from this category were prone to interpret the "Gaokao failures" either as a lack of merit or as a victim of the wider structural constraints, more specifically, the discriminatory nature of the cut-off policy and the quota system.

Cheng, a soft-speaking girl of 19, was born in a small city in Anhui. Both her parents worked in one of the largest agriculture manufacturers in the local area. She found it difficult to describe her family's backgrounds. Although both parents did manual work in the factory from the 1980s to the 1990s, her mother then got promoted to the accounting department while her father was leading a team of apprentices. As a single child, Cheng is the "pearl on the palms" of her parents. Her father believed "daughters can have as much strength and independence as sons". By investing in her education and extra-curriculum tutors, Cheng's parents provided unconditional support for her to go to university and leave Anhui. Cheng's story, as an empowered sibling-less daughter, is representational in the well-documented

research on the one-child generation (Kim et al., 2017; Wang & Fong, 2009; Fong, 2004). “Home-leaving for university” was a dream for many kids in Anhui at that time. A province, which experienced chronic poverty since the country’s Reform and Opening-up in 1978, massively lagged in the modernisation that transformed coastal provinces and big cities (Arrighi, 2007).

Going to a university outside Anhui means much better learning opportunities, better job opportunities after graduation, and better quality of life. Life in a small post-Communist county in Anhui can be stifling, there was one large manufacturer and nothing else, and there was no cultural life except a barely functional Anhui traditional opera group underfunded by the state. A lack of job opportunities and cultural life made Cheng dream about a life in a vibrant city: “My dream is to work in an international company where I can meet people from different places. I would love to be able go to a concert or an exhibition for which only big cities could offer”. Cheng dreamed big but when it came to university choices, she was realistic about her chances. Instead of choosing highly competitive places in Beijing, Shanghai, or Guangzhou, she aimed for a foreign language degree in a prestigious university in the neighbouring province Jiangsu.

Cheng was highly aware of the rules of the Gaokao game and how they were determined by the quota and the cut-off point systems. Why can we not talk about the Gaokao without discussing the two selection systems? How can we make sense of these in relation to students’ merits? The National Gaokao results are valid across all provinces in China; however, each province sets a minimal level of points (or “cut-off” points) for entry to different types of universities after the Gaokao within that province. Moreover, each institution then adjusts its own cut-off points against the provincial guideline for entry to different fields of study. This quota policy is calculated and published annually by each university prior to the Gaokao, in each province. In theory, the quota represents the total number of new places available each year in a university, and these places are open to all students. However, the evil twin of the quota and cut-off points is local protectionism and geographical discrimination.

For instance, Cheng’s dream university in Jiangsu published a total quota of 25 new recruits to the foreign languages department in 2007. Of the 25 new enrolments, only one was assigned to Anhui and other provinces but there were 5 given to the Jiangsu native candidates. Similarly, according to a media report on the representation of new recruits from different provinces to the 9 most elite universities in 2013, Peking University provided 408 quotas to a total number of 72,736 Beijing candidates whilst only assigned 124 quotas to a total number of 685,000 candidates who sat in the Gaokao in Henan Province (Li, 2013). Li reported that the chances of going to Peking University for a native candidate are 31 times more than that of a student from Henan (2013).

For Cheng, the quota did not favour her. The only way possible to her was to work very hard to achieve high Gaokao performance to make her more competitive. She certainly did not disappoint in the 2007 Gaokao, presenting a stunning performance with an overall score of 620 out of 750 and English at 145 out of 150. According to a published booklet a year later,

this university recruited a total number of 47 students from Anhui to the Arts, Humanities, and Social Sciences. Among them, the highest score was 620, the lowest score was 605 and the mean score was 606. The published data suggested that a student from Anhui with a Gaokao result of 606 could be enrolled in this university. For any new recruits to Foreign Languages, the higher the English score, the more likely the candidate could be accepted. Cheng seemed to tick all the boxes for her dream university.

However, Cheng was rejected by her first choice of field of study and her first choice of university despite having achieved the highest score among enrolled students from Anhui in 2007. It was a mystery about her rejection by her dream university. Like millions of other Gaokao candidates every year, there was no way to find out the truth due to a lack of transparency during the recruitment procedures. Cheng was a Gaokao “loser” despite her stunning academic performance in the Gaokao. She consented to be assigned to any field of study and any university where there is an available place. Thus, she was picked by the English Department in a comprehensive university in the capital city of Anhui. The promise of the Gaokao to allow her to leave Anhui was broken.

Reflecting on her “failures” in attending her dream university and the dream of a life outside Anhui, Cheng believed it was all her fault. She blamed herself for being too ambitious and for being too unrealistic about the game of the Gaokao: “I was blind by my academic records in my school. But I was only small fish in a big pond. There were many more brilliant and hard-working students in Anhui.” What was worse for her was to let down her parents: “my parents took it very hard for my Gaokao rejection. They were used to me being an outstanding student. I was their hope. I was their pride. But I disappointed them in the most crucial time.” Without much power and money, Cheng’s parents, like many other parents in China, believed in upward social mobility through higher education by investing their time and savings in their only daughter.

Upward social mobility has different meanings in the context of China, with the influence of geographic mobility being key. For rural kids, upward social mobility means leaving the poverty-stricken countryside. Even working in a manual job in a small county meant some advances in income and quality of life. For kids like Cheng, it is about a secure professional job in a big city preferably outside Anhui. Cheng internalised her failure as a lack of merits, but she seldom questioned the flaws in the evil twin system of the quotas and the cut-off points. How could she blame the ‘system’? She was aware of the rules of the quota game all along. “When you entered the Gaokao game”, as she calmly told me, “you accepted the rules. Only sad losers would blame the system.” Meritocracy is so hard-wired in Chinese culture that Cheng accepted the rules of the game.

#### *4.1.3 The Gaokao mediocre*

The word mediocre was used by my respondents to describe the scale of academic performance in the 2007 Gaokao. By no means did I imply their personalities or individual attributes. Xiong was from Hangzhou, the capital city of Zhejiang. He self-assessed as “not academically talented”, nor were they “working hard” during his schooling years but both confessed to be the ‘lucky ones through the Gaokao nets’. Xiong, a native Hangzhouer, is a

single child from a well-off family. He lived in a ‘bubble’ with kids like him, spending his allowances for a new iPhone and a cool Nike trainer, and going to various trendy bars and restaurants. When asked about this schooling years and his journey to university, he told me about “all the crazy classmates working for more than 12 hours a day”, “long school days with only an afternoon off per week”, and “his skipping lessons for basketball games.” He confessed that he was never a good student, academically, since his primary school years. Like many middle-class parents in China, his parents tried to push him to work harder and hired private tutors for almost all subjects for extracurricular support. But private tutoring did not seem to help him. He was always at the bottom of the class.

Going to university was part of Xiong’s coming of age and figuring out what he wanted to do in the future rather than a cut-throat competition. Recognising his academic mediocrity, his parents were in discussions with his schoolteachers about which university to choose, or to be more accurate, about how to go to a university with his academic record. There was a clear line between choosing a university and attending a university. The former implies outstanding academic performance which guarantees freedom of choices of universities and fields of study, whilst the latter means you can only go to the university which accepts your grades. However, this notion is a sham. The previous stories on the Gaokao losers illustrated the lack of freedoms provided by the quota policy along with the cut-off points which prevented students from less privileged backgrounds or from less desirable regions from utilizing the elite opportunities offered by prestigious universities.

Xiong’s parents clearly planned some “strategies” to choose a university for him even before the Gaokao. They were realistic about his poor track record of academic performance. This acknowledgement made them narrow their search for universities only in Zhejiang, preferably in Hangzhou where they had vast networks and social capital. Given the enormous investments in their son’s education, Xiong’s parents did not just want a bachelor’s degree from him, but they were also concerned with the prestige associated with his degree. After carefully vetting a handful of key institutions in Hangzhou, his parents found a key university which would be suitable for their family’s social status, and which also offered a variety of fields of study including some regarded as “vanity ones” such as philosophy and arts. But the key issue was whether his academic performance in the pending Gaokao would meet the lowest thresholds for this university. Their strategy was “to get in any field first”.

During the Gaokao, Xiong’s performance was predictably mediocre. He chose history as his field of study in his first-choice university. The History Department was one of the least competitive fields of study in this university, therefore the entry to this department was consistently low over years and one of the comparatively lowest among all entrants across different disciplines. But his parents’ strategy worked. He got into a key university. Given his academic record, it was almost an impossible dream. Was it just luck? Not really. His parents had been investigating the university’s recruitment plan for months. They even found a family friend who acted as a “middleman” to set up a social gathering with someone from the senior management team of this key university. They had a lot of inside information about the university’s recruitment and quotas across different disciplines.



Xiong did not feel anything unethical about his parents' networking strategy. Instead, he justified his parents' intervention as common practices in China: "everyone uses their Guanxi. It's not like they bribed our way into university. It's not possible. Everyone has to pass the Gaokao." He laughed it off as a minor offence of "zouhoumen" (走后门), which literally means backdoor practices. The "zouhoumen" is a colloquial term which describes using contacts to get favours behind the scenes. The "zouhoumen" is a vague but comprehensive phrase. It could mean someone using monetary resources to gain access to an important contact, which could be considered bribery; it could also mean someone using his/her personal contacts to get access to certain information which is not publicly available. Xiong was right about the "zouhoumen". His parents did not use bribery as no money exchanged hands. But he was wrong about 'everyone using their guanxis' and 'a minor offence' since this kind of practices are not available for those students whose families had no contact to access important information such as the recruitment quotas for different disciplines. This information was crucial for decision making about university and fields of study. The "zouhoumen" gave him unfair advantages in the competitions for limited places in this key university.

#### **4.2 To What Extent Has the Gaokao Changed Their "Destiny"?**

Huang, the Gaokao champion who went to Peking university and graduated with a Master's in International Relations, is now a 33-year-old senior sales manager in a large national insurance company based in Shanghai. For Huang, the 2007 Gaokao was a watershed moment in her life, which allowed her to achieve upward social mobility from her humble origin of being a daughter of agricultural workers in rural Anhui. In her own words, "the Gaokao gave me the only opportunity in life. It's the only fair opportunity where my own capabilities matter." She recalled her university life and subsequent setbacks of "achieving her dream". Attending an elite university, like Peking University, was difficult at times, however, as she was constantly reminded of her disadvantages – the family background of agricultural workers and a lack of economic and social capital in a metropolitan city like Beijing. Her "celebrity" status in a county in Anhui turned into that of a 'nobody' in Beijing as "PKU was packed with academic geniuses like her".

Furthermore, her lack of financial means isolated her from social life, holidays, and even "summer schools" where her privileged peers were preparing for the GRE and TOEFL tests to study in Ivy League universities. Instead, she spent every holiday working as a private tutor to earn living expenses. Huang's experiences in PKU confirmed the findings from previous research in China and elsewhere about a lack of "belonging" and "identity crisis" among those underprivileged in elite universities (Reay et al., 2009; Liu, 2018). My research also details the accounts on a hardening sense of inferiority among the rural students in urban universities (Liu, 2016). However, for Huang, this sense of inferiority cannot be softened by a glossy certificate from Peking University. As her peers who had financial means or social capital pursued postgraduate degrees abroad, Huang had to find a job immediately after graduation to support her two younger siblings and her parents.



She drifted from various professional jobs in Beijing, which were completely unrelated to her degree in International Relations. Since 2014, she started working for a large insurance company in Shanghai: “I stayed here because the pay is good and they offered some odd jobs for my parents.” She never participated in high-profile events for PKU alumni in Shanghai mainly because she “had nothing to show off” when compared to her peers. She further pondered the value of education and elite university experiences: “people put too much emphasis on education. If you don’t have money or social contacts (*guanxi*), no matter how brilliant you are in studying.” Although Huang was a Gaokao champion, she did not become a champion in her profession or in her social status. In her own words, she is a “Gaokao champion turned salesman” and a “loser” for not achieving professional success or “making big money”.

Cheng is now an associate professor in English and Linguistics at a provincial university in Anhui. She is married with a 7-year-old daughter. When asked the extent to which the Gaokao changed her destiny, Cheng’s answer was philosophical: “probably it did not change my destiny, but it definitely steered the course”. The Gaokao failure “killed her dream” of being a professional interpreter in a multinational enterprise in a metropolitan city like Shanghai or Beijing. However, the Gaokao allowed her to achieve upward social mobility in terms of occupational status and income in a medium-sized city in Anhui when compared to her parents’ blue-collar manufacturing jobs and “average” working-class salary. She also had more assets than her parents when they were her age because she and her husband jointly owned two properties. Her secure job and proximity to her parents gave her some advantages in balancing work-family conflicts: “if I had worked in Shanghai, how could I manage childcare with a full-time job? I must have to be rich to hire a nanny or have a big enough house to accommodate my parents”. Cheng was a Gaokao loser but she achieved certain upward social mobility through having a university degree which subsequently secured a professional job and urban professional status.

Xiong is now an e-commerce entrepreneur in Hangzhou who owns several companies with millions, as evaluated on Shanghai Stock Exchange Index. He is married with two kids and a plush apartment overlooking the West Lake, a premier property location in Hangzhou. It took him a while to find a gap in his calendar to be interviewed as “the pandemic did not stop him from working”. I asked him the same question I asked Xiong and Cheng, regarding to what extent the Gaokao changed his destiny. He blurted a laugh: “the Gaokao was like going through the motions or a formality. It did not change anything,” although he admitted that having a university degree “looks nice socially”. That explains why, several years ago, he did a stint in a business school in Australia; he wanted to add a “glaze of gold” to his reputation.

Yet, he was highly suspicious of the “value” of education. He further criticized the problems of China’s highly selective education system: “it’s too narrow. I was not good at studying, but I am good at business. My classmates were good at exams, but they are nowhere significant now. That’s the failure of the education system. It does not select talents.” Reflecting on his business successes, he acknowledged that he did not make it on his own as his parents invested in his start-ups and were always his “lifeboats” when his business went

through stagnation periods. Xiong is a Gaokao mediocre-turned-millionaire. The Gaokao did not blaze a new trail of upward social mobility for him because he was already socioeconomically privileged. Instead, his parents' social capital and assets paved a way for him to become a risk-taking and successful entrepreneur with considerable assets and high social status.

## 5. Conclusions

This article is a modest attempt to capture the extent to which the Gaokao affected social mobility. Using a qualitative longitudinal approach, I assessed the long-term impact of the Gaokao on people's life possibilities, by tracing three respondents with 14 years gap between their transitions to university and subsequently to the labour market. I first identified three different outcomes of the Gaokao examinations and coded them into the categories of Gaokao champion, Gaokao loser, and Gaokao mediocre. By tracing their career trajectories and subsequent social status, I highlight the complexity of social mobility from the lens of individual agency and positionality. By her own account, the Gaokao champion became a "loser" by not achieving any success measured by professional, material, or status terms. The Gaokao loser became a university professor with reasonable social status and income in her native province of Anhui. The Gaokao mediocre became a highly successful millionaire.

The Gaokao seemed to have left some marks on their life courses or in Cheng's terms "steered" different courses. However, the Gaokao failed to transform life potentialities in such a way that one's social origin does not matter in determining long-term life course transitions to the labour market or to achieve upward social mobility. The Gaokao did allow students like Huang with extraordinary academic performance and talents to move upward from a daughter of street vendors in Anhui to a professional job in Shanghai. This mobility is both socially and geographically upwards, which are two important markers to success and social mobility in the Chinese context. However, for Cheng and Xiong, the Gaokao was only a blip in their life course and did not define who they were by academic outcomes in the long run. Maximizing her academic credentials in her native province, Cheng managed to achieve upward social mobility in terms of occupational status and income. Yet, she failed to realise her dream of geographical mobility through the Gaokao because the discriminatory quota system locked her out of elite opportunities. Unlike Cheng or Xiong, Huang travelled little "socially" from his social origin to current social status with a few detours in universities in China and Australia. It was almost a case of social 'immobility'. This is because he was already privileged in terms of socioeconomic status and geographical origin. His professional success seemed to have little to do with his university experiences. It was his parents' powerful social networks, socioeconomic status, and financial assets that allowed him to venture out in the business world and to take risks when the odds were against him.

The longitudinal in-depth individual interview has significant advantages over more common methods such as national panel surveys used to capture patterns of participation in higher education. This method allowed my interviewees to tell their stories from university to the transitions to the labour market. However, it is subject to some limitations. For example, it

is extremely difficult when managing attrition rates, particularly in the last decade, whereby significant social media platforms migrated from my original project. Therefore, it might be challenging to extend this method to large-scale representative samples. Building on the insights of the current study, future scholarship on social mobility in the Chinese context should address several additional questions. First, to what extent can the Gaokao outcomes identified here be generalized to different fields of study? Second, can social mobility research combine cohort variations and university outcomes? Distinguishing cohort variations will increase our understanding of the effects of higher education participation on different life opportunities. Future research could investigate how the socialisation patterns by different social groups affect their labour market outcomes.

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## Research on the Relationship between Internet and Digital Economy and Human Resource Demand

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### Abstract

With the advent of the Internet age, network information technology is maturing, which has had a profound impact on every aspect of society. Human resources are the focus of enterprise management, and the new management paradigm has more stringent requirements. It must be integrated with Internet technology, as traditional human resources cannot gradually adapt to the current state of affairs. The evolution of an organization's human resources should reflect the current zeitgeist, and the mode of human resources should be modified accordingly. This paper begins with the significance of the Internet era, analyzes the efficient management mode and its advantages brought by Internet technology using a unitary regression model, compares the traditional management mode, analyzes the changes in the Internet environment, predicts the future human resource demand, and summarizes the innovative thinking of enterprise human resource management in order to increase the efficiency of enterprise human resources.

**Keywords:** Internet Economy; Digital Economy; Human Resource Need; Regression Analysis

## 互联网和数字经济与人力资源需求关系研究

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### 摘要

随着互联网时代的到来,网络信息技术越来越成熟,给社会各个方面带来了极大的改变。企业人力资源是企业管理的重点,新时代环境下的管理模式相较之前有了更多的要求,理应与互联网技术相融合,传统的人力资源逐渐无法满足当下的需求。企业人力资源发展应该顺从时代发展的大潮流,人力资源的模式也应该随之改变。本文章从互联网时代的重要性着手,通过一元回归模型来分析互联网技术带来的高效管理模式及其优势,对比传统管理模式,分析互联网环境下的变化,预测未来人力资源需求,总结企业人力资源管理的创新思维,以此来提升企业人力资源方面的效率,减少了就业方面的成本。

**关键词:** 互联网经济; 数字经济; 人力资源需求; 回归分析

## 1、引言



互联网时代的到来，给经济社会的发展带来了机遇，也带来了挑战。企业要想长远稳定地发展，满足未来遇到的一系列需求，其人力资源发展就必须符合新时代的环境，积极的改进和加大创新力度。Lee et al. (2020) 对 300 多篇文章的分析后总结道，商业环境和实践正在迅速变化，大部分原因是数字技术的加速发展和部署。但就目前来看，中国仍有部分企业没有重视人力资源管理，或没有适应互联网时代新型的管理模式，造成了部分或整体的工作受到了一定程度上的阻碍。

近几年，随着网络技术的迅速发展，社会的各个方面得到切实的改善。基础设施建设的不断完善，教育、医疗水平的快速提高，经济社会的飞速发展，都得益于互联网技术的推动。对于企业人力资源也是如此，在互联网时代和数字经济发展浪潮中，通过互联网技术的发展和随着数字经济规模的扩大，人力资源需求不仅要求更精细，数量也在随之增加。王佐（2017）提出信息系统成为经济社会的基础设施，网络联系成为商业的普适价值，大数据管理成为知识和市场创新的战略资源，由大数据驱动的现代供应链已经成为实体经济发展新的增长点，并对企业管理创新提出了挑战。在依靠互联网技术和数字经济发展的趋势下，人力资源的需求会偏向于具体化、数据化。罗庆与罗忍（2021）提出数字化的人力资源管理体系的构建，将会对员工所创造的价值进行数字化表达、数字化呈现、数字化衡量、数字化价值的核算为企业经营者提供更直观，更公平的决策参考信息。由此可见，未来企业人力资源的发展是朝向数字化、精确化发展。

近年来，越来越多的专家学者对企业在向互联网和数字经济的模式转型方面关注密切，仅对于人力资源行业部分的互联网与数字经济未来发展需求的分析匮乏，想进一步为企业数字经济转型提供人力资源需求量的变化分析。

## 2、文献综述

### 2.1 互联网时代

互联网是当下时代人与人之间互通互联的最重要的方式和载体。最开始的时候互联网改变了人们了解信息的方式，让人们通过网络能够实时了解信息动向，很好的化解了信息差的问题。在互联网广泛运用之前，人与人的沟通互联十分有限，大部分受限于距离问题；互联网让人与人之间的联系更加快捷方便，链接所消耗的资源也大幅度减少。

姚涟漪（2015）指出：互联网技术的发展，加剧了资源的整合，淡化了行业、产业的边界，传统社会中，隔行如隔山，而今天的市场上，各行各业都在进行着跨界整合的工作，主要盈利手段，正在加速往网络化、服务化靠拢，并产生了多种多样的互联网平台。互联网的大数据驱动已经成为最有效的信息载体，在现在这个信息流通爆炸的时代以能够迅速得知劳动雇佣招聘信息的先驱 LinkedIn 为例，上面有五亿多个用户的信息，互联网的大数据资源得到整合后的效果有利于实现各种从前耗时耗力的问题，能够在各个领域进一步的实现技术创新和效率最大化。王佐（2017）指出大数据来源于我们对自身行动目标及其评价标准的设定，来源于我们对行动过程的管理和控制以及对下一步行动的预期和计划。

计算机自动化程度高和通用性强以及可以储存大量数据拥有“记忆”功能的几大特点都是成为互联网实体载体的原因。2015 年 1 月 16 日我国首个《企业互联网化指数》白皮书由中国两化融合服务联盟携手用友网络科技股份有限公司、工信部电子科技情



报所共同研究与发布,其中调研数据显示,我国企业互联网化转型当时尚处起步期:2015年中国企业互联网化指数为30.8。现如今已是2022年,我国大中小企业发展迅猛之势不容小觑,互联网的使用优势也愈加明显。2022年9月9日,在工业和信息化部举行的主题新闻发布会上,工业和信息化部信息通信管理局一级巡视员王鹏介绍,工业互联网产业联盟调查数据显示,83%的企业表示应用工业互联网后生产经营效率明显提升(中国工业和信息化部,2022),由此可见企业对计算机和互联网的依赖正在逐步增加,也因此企业对计算机的使用可以直接反映企业对使用互联网进行数字化管理的紧密关联性。朱子剑等学者(2018)总结了互联网时代对于企业的人力资源管理模式带来了“互联网时代为人们的沟通和交流工作提供了很大的便利”、“互联网时代下可以实现信息的有效共享”、“互联网时代可以实现人力资本时代”的三大影响特点。

所以互联网时代下不仅仅是生活得到质的提升,也可以使用最低廉的成本来得到效率的至高提升,因此互联网对企业各个方面的发展和影响都是巨大的,就仿佛站在巨人的肩膀上俯瞰世界。其中互联网对人力资源管理方面的影响尤为深远,雷雪柔(2018)指出在互联网时代,以信息数据为核心的互联网生态,给人力资源动态化、智能化管理提供了发展的动力。人事管理是企业最早使用计算机来减少成本的其中之,与管理类其他领域相比较,信息化人事管理这方面大不如从前。张建辉(2002)认为,人事管理向人力资源管理的转变和互联网应用于企业管理,成为企业管理发展的两大主流。而互联网的特点,使其能够很好地满足人力资源管理信息化的需要,互联网与人力资源的结合就成为必然。

H1: 对互联网的需求影响了人力资源需求的增加。

## 2.2 数字经济

陈世清(2015)解释数字经济作为经济学概念的数字经济是人类通过大数据(数字化的知识与信息)的识别—选择—过滤—存储—使用,引导、实现资源的快速优化配置与再生、实现经济高质量发展的经济形态。基于互联网和大数据的技术能力,数字经济早已成为一种眼下最新、最高效的经济模式。

经过数年时间推移和时代发展的人力资源行业,它的行业理论最基础来源依旧是工业时代那时候留下的科学管理积累的经验,由此慢慢的建立了以人为本的管理主导。但是最近几年来看数字经济势头猛烈冲击,一切环境都是不可预测瞬息万变的,科技技术迅速更新换代,白君贵与王丹(2018)指出,大数据时代,随着信息化建设进程的加快与深化,要求企业各层面业务流程随之变革,以适应时代发展,但目前不少企业信息处理与信息系统的使用还存在与大数据时代信息化建设要求不相适应的问题。企业员工的流动趋势显著加强,企业发展的未来趋势对人力资源效率和组织战略规划的要求也同步增加。皮武良(2018)指出企业管理需要大数据。企业需要大量数据作为管理依据,借助网络和计算机技术,能让企业利用大数据构建完善的商业生态系统,这对提升企业市场竞争力极为重要。这一样的大势所趋之下,传统企业都正在面临着互联网数字化转变进步的关卡,而一些新发展的企业则能够在他们成立开始时就赶上时代发展的“新潮流”,能够使用互联网数字化的新技术,以来来抵抗时代发展带来的“新考验”,从而成为他们的“新盔甲”。

而在企业人力资源管理的领域，不同规模和行业的企业他们都顺应处于着不同的发展情况，更在面对着许许多多不一样的挑战等待面对和解决，而现在正是需要一个适当的新兴模式和工具来辅助这些企业成功实现进阶的时候，眼下互联网时代数字经济模式发展能够完美的辅助企业进行降本高效。王毅（2022）指出数字经济时代下的技术突破了人资管理模式的封闭状态，并在此基础上实现了资源、主体、活动领域的进一步拓宽。数字经济是一种超高度依赖数字技术和互联网技术来服务和协调供需平衡的模式，而各个行业到他们的组织内部的职能工作，现今全都以互联网的大数据内容资产做靠山，以此让各个企业他们的战略目标能够得到最高程度，高精密的数字技术为其实现提供了非常重要的分析参考的依据和保障。

而在数字经济时代下解决就业问题非常有益于当代求职者更全面的根据自身的条件选择适合自己的工作岗位，提升对自己的认识能力。

H2：数字经济规模及占 GDP 比重与人力资源需求量呈正相关。

### 2.3 人力资源的需求发展

人力资源管理是把人们当作一种待开发的资源，进而适当的分配利用和对其进行各方面的法律保护。在管理的整个过程中，人力资源管理会让这种以“人”为本的重要资源充分的开发价值，甚至增值。牛锋（1996）指出与其他资源相比，人力资源又是一种特殊资源，取之不尽，用之不竭，并且有巨大的潜能，对人员合理配置和教育培训以及恰当的管理措施是使人力资源不断升值的重要条件。Dessler (2017) 在《Human Resource Management》一书中对人力资源管理定义为：人力资源管理 (human resource management, HRM) 是一个获取、培训、评价员工以及向员工支付薪酬的过程，同时也是一个关注劳资关系，健康和安全以及公平等方面问题的过程。

王毅（2022）指出从目前企业的实际经营情况来看，由于企业高层管理人员深受中国传统观念思想观念的影响，在进行人力资源管理工作时仍然以传统的管理模式入手，没有意识到数字经济时代下优化人力资源管理的价值与重要性，导致现有的人资管理模式无法充分符合数字经济环境下的基本特征，管理观念存在较为严重的滞后性。合理又科学的进行配置优化和融会贯通是人力资源现在所需要的。有关于人才市场的种种需求，会提高供给需求；网络教育和人才入职培训的发展进程，一定程度会大力加大社会上人力资源要求需求的提高；张娟（2021）指出可以通过有效的使用信息化技术手段，为企业人力资源的规划与管理开辟出新的发展路径。而互联网的基本功能，能极大限度的让人们供求需要的信息快速流通传递，互联网的这种能够改变和优化人力资源管理大环境的能力，对企业的人力资源管理有着非同一般的巨大影响。

周小刚等（2021）三位学者提出人力资源是推动经济社会发展的第一资源，人力资源服务业是为企业提供人力资源外包服务的生产性服务业，有利于提升企业经营绩效和促进企业转型升级，具有深远的经济效益和社会效益。善用互联网的大数据的人力资源管理能力需要与企业想要达成的战略目标吻合，善用了互联网，补充当代人力资源管理的需求，人力资源这一方面就会发展的更加迅猛。

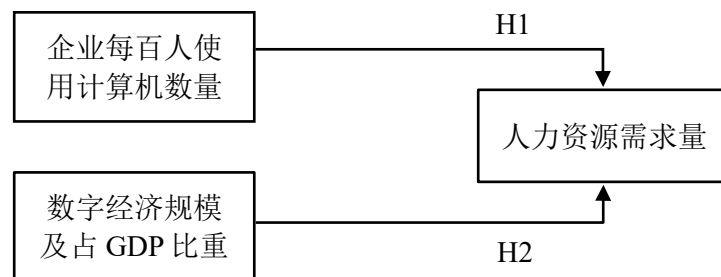
## 3、 研究方法

### 3.1 研究框架

本研究探讨企业在互联网技术、数字经济发展方面与人力资源需求量的关系，以陈世清（2015）对数字经济的定义为理论基础，以企业每百人使用计算机数作为企业

互联网普及的指标，以数字经济规模及占 GDP 比重作为企业数字经济发展指标，两者为本研究的自变量，以城镇就业人数作为人力资源需求量，为研究中的因变量。本研究认为数字化发展、数字经济发展与人力资源需求具有相关性，所以本研究对此进行分析讨论，研究思路框架详见图一。

互联网和数字经济发展程度



图一 研究框架图

### 3.2 研究工具

研究利用一元线性回归分析法，通过其中影响因素的变化对研究对象的影响，分析因变量随着自变量的改变而改变的关联形态。根据自变量和因变量之间的影响关系，建立两者之间的线性回归方程进行分析和预测。在本研究中针对企业每百人使用计算机数、数字经济规模及占 GDP 比重与人力资源需求量分别建立模型，通过 EViews 计算出其之间关系，得出回归方程，并生成回归方程对应图像，分析和预测人力资源发展。

## 4、 研究方法

### 4.1 研究结果描述

本研究主要对 2013 年至 2020 年中国城镇企业人力资源发展的需求进行分析。数据通过中国统计年鉴和国家普查结果中得到。通过借助企业每百人使用计算机数量、数字经济规模及占 GDP 比重与人力资源需求量之间存在的线性关系，从而得出支撑互联网时代数字经济发展与企业人力资源发展呈正相关这一观点。针对人力资源需求的影响因素，本研究做出以下假设：

H1：对互联网的需求影响了人力资源需求的增加。

H2：数字经济规模及占 GDP 比重与人力资源需求量呈正相关。

在模型 1 中，企业每百人使用计算机数可以解释 97.25% 的人力资源需求量，说明具有高度的线性相关。 $t$  值为 14.56，在  $p(t > 2.447)$  达显著，表示相关系数是显著的，两变量间存在线性相关关系。该模型中参数的  $F$  值所对应的  $P$  值为 0.000007，说明由样本构建的回归方程显著有效；在模型 2 中，数字经济规模及占 GDP 比重可以解释 98.02% 的人力资源需求量，同样具有高度线性相关性。模型中  $t$  值为 17.23，在  $p(t > 2.447)$  时。相关系数显著，表明两变量间存在线性相关关系。在此模型中构建的回归

方程中，参数 F 值所对应的 P 值为 0.000002，表明由样本数据构成的回归方程显著有效。

#### 4.2 数字化程度、数字经济发展与人力资源需求之相关分析

本研究通过一元线性回归模型进行分析互联网时代企业人力资源的发展，利用企业每百人使用计算机数、数字经济规模及占 GDP 比重之数据，与人力资源需求量分别进行回归分析，从而研究和预测互联网技术、数字经济对人力资源的影响。

一元线性回归分析的模型为：

$$Y=a+bX$$

模型中，X 为自变量；Y 为受自变量影响的因变量。a 为回归模型中直线在纵轴上的截距；b 为模型中直线的斜率，在该模型应用中表示，自变量每变动一个单位时，因变量 Y 随之改变的程度。得出回归方程后，要对估计出的参数进行检验，验证其代表程度、显著性等方面。

模型 1：企业每百人使用计算机数和人力资源需求量

首先对企业每百人使用计算机数和人力资源需求量进行分析，为了解其两者之间关系，现根据国家统计局数据和《中国统计年鉴》，得到如下数据：

表一 中国近 8 年企业每百人使用计算机数与人力资源需求量（城镇就业人数）统计表

年度	2013	2014	2015	2016	2017	2018	2019	2020
企业每百人使用计算机数(X <sub>1</sub> )	20	22	23	25	26	29	32	34
人力资源需求量(Y)	38240	39310	40410	41428	42462	43419	44247	46271

假设企业每百人使用计算机数为自变量 X<sub>1</sub>，人力资源需求量为因变量 Y，则得出回归直线方程式：

$$Y = \beta_0 + \beta_1 X_1$$

根据表一中的样本数据编制参数基础数据表：

表二 计算各参数的基础数据表（X<sub>1</sub> 与 Y）

年度	X <sub>1</sub>	Y	x	y	xy	x <sup>2</sup>	y <sup>2</sup>	μ	μ <sup>2</sup>
2013	20	38240	-	-	23800.27	40.64	13938088.9	-	109919.3
			6.375	3733.38				331.54	
2014	22	39310	-	-	11652.27	19.14	7093566.4	-	108098.2
			4.375	2663.38				328.78	
2015	23	40410	-	-	5276.39	11.39	2444141.4	237.60	56451.9
			3.375	1563.38					



2016	25	41428	-	-545.38	749.89	1.89	297433.9	188.35	35477.2
			1.375						
2017	26	42462	-	488.63	-183.23	0.14	238754.4	688.73	474353
			0.375						
2018	29	43419	2.625	1445.63	3794.77	6.89	2089831.6	44.87	2013.3
2019	32	44247	5.625	2273.63	12789.14	31.64	5169370.6	-	529974.4
								727.99	
2020	34	46271	7.625	4297.63	32769.39	58.14	18469580.6	228.76	52333.2

通过表二中的数据，按照回归方程：

$$\widehat{\beta}_1 = \frac{\sum(X_i - \bar{X})(Y_i - \bar{Y})}{\sum(X_i - \bar{X})^2}$$

$$\widehat{\beta}_0 = \bar{Y} - \widehat{\beta}_1 \bar{X}$$

计算得出  $\widehat{\beta}_1 = 533.62$ ， $\widehat{\beta}_0 = 27899.12$

故一元线性回归方程为

$$Y = 27899.12 + 533.62X_1$$

通过计算出回归常数  $\beta_0$  和回归系数  $\beta_1$ ，将数据带入回归模型中，对人力资源需求进行预测。对于得到的一元回归方程，需要经过以下检验的验证：

#### ① 拟合优度检验

利用检验样本数据在模型中的分布，分析其在模型周围的密集程度，从而可以分析得出回归方程对样本数据的代表程度。 $R^2$  越趋近于 1 表示两者关系越强，相反，如果  $R^2$  越趋近于 0 则说明两者关系越弱。

拟合优度通过下面的公式计算：

$$R^2 = 1 - \frac{\sum(y - \hat{y})^2}{\sum(y - \bar{y})^2}$$

通过计算可以得出  $R^2=0.972485$ ，可以得知两者之间有高度的线性相关性，说明企业数字化程度和人力资源需求量存在正线性相关关系。

#### ② 回归系数的显著性检验

$$t = \frac{\widehat{\beta}_1}{SE(\widehat{\beta}_1)} \sim t(n - k - 1)$$

其中  $n$  为样本数， $n-k-1$  为自由度， $SE(\widehat{\beta}_1)$  为  $\widehat{\beta}_1$  的标准误差。

此研究使用的数据中样本数为 8，自由度为 6； $SE(\widehat{\beta}_1)$  为 36.64。

对于  $df=6$ ， $p(t > 2.447)=0.025$ 。本研究样本中  $t=14.56$ ， $14.56 > 2.447$ ，说明相关系数显著不为 0，进而两变量  $X_1$  和  $Y$  之间存在确定的相关关系。

#### ③ 回归方程的显著性检验

回归方程的显著性检验是对自变量和因变量之间的线性相关是否显著的检验。一般采取 F 检验。

$$F = \frac{\sum(\hat{y} - \bar{y})^2 / (k - 1)}{\sum(y - \hat{y})^2 / (n - k)}$$

其中  $n$  为样本数， $k$  为自由度。根据计算的结果进行分析，与给定值对比判断，自变量和因变量是否存在显著关系，进而判断回归方程是否显著。

本研究通过 EViews 计算得出 F 值为 212.06，对应的 P 值为 0.000007，表明由样本构建的回归方程显著有效。

综上检验所述，企业每百人使用计算机数和人力资源需求量正向线性关系，企业每百人使用计算机数，即企业互联网发展程度可以在一定程度解释企业人力资源需求。

模型 2：数字经济规模及占 GDP 比重和人力资源需求量之间的关系

对数字经济规模及占 GDP 比重和人力资源需求量进行分析，为了解其两者之间关系，采取的方法与企业每百人使用计算机数和人力资源需求量之间的关系相同。现根据国家统计局数据和《中国统计年鉴》，得到如下数据：

表三 中国近 8 年数字经济规模及占 GDP 比重与人力资源需求量（城镇就业人数）统计表

年度	2013	2014	2015	2016	2017	2018	2019	2020
数字经济规模及占 GDP 比重(X <sub>2</sub> )	13.6	16.2	18.6	22.6	27.2	31.3	35.8	39.2
人力资源需求量(Y)	38240	39310	40410	41428	42462	43419	44247	46271

假设数字经济规模及占 GDP 比重为自变量 X<sub>2</sub>，人力资源需求量为因变量 Y，则得出回归直线方程式：

$$Y = \beta_2 + \beta_3 X_2$$

根据表三中的样本数据编制参数基础数据表：

表四 计算各参数的基础数据表 (X<sub>2</sub> 与 Y)

年度	X <sub>2</sub>	Y	x	y	xy	x <sup>2</sup>	y <sup>2</sup>	μ	μ <sup>2</sup>
2013	13.6	38240	-	-	44660.	143.1	13938088.8	-	132154.9
	6	0	11.9	3733.6	5	0	9	363.53	8
2014	16.2	39310	-9.36	-	24935.8	87.66	7093566.39	-25.95	673.55
	2	0		2663.4					
2015	18.6	40410	-6.96	-	10885.0	48.48	2444141.39	397.97	158376.63
	6	0		1563.4					
2016	22.6	41428	-2.96	-545.4	1615.7	8.78	297433.89	289.16	83615.30
	6	8							
2017	27.2	42462	1.64	488.6	800.1	2.68	238754.39	27.34	747.49
	2	2							
2018	31.3	43419	5.74	1445.6	8294.3	32.92	2089831.64	-	29115.40
	3	9						170.63	
2019	35.8	44247	10.2	2273.	23276.	104.8	5169370.64	-	372447.9

9	8	7	4	6	2	1		610.2	8
								9	
202	39.	4627	13.6	4297.	58608.	185.9	18469580.6	455.9	207874.6
0	2	1	4	6	9	8	4	3	4

计算得  $\widehat{\beta}_3 = 281.70$ ,  $\widehat{\beta}_2 = 34772.40$

故一元线性回归方程为

$$Y = 34772.4 + 281.7X_1$$

对其进行与上面相同的验证

#### ① 拟合优度检验

通过拟合优度公式计算得出  $R^2=0.980197$ , 说明数字经济规模及占 GDP 比重与人力资源需求量呈高度线性相关。由此回归方程可以 98.02%解释两变量之间的关系。

#### ② 回归系数的显著性检验

此研究使用的数据中样本数为 8, 自由度为 6;  $SE(\widehat{\beta}_3)$  为 16.35。

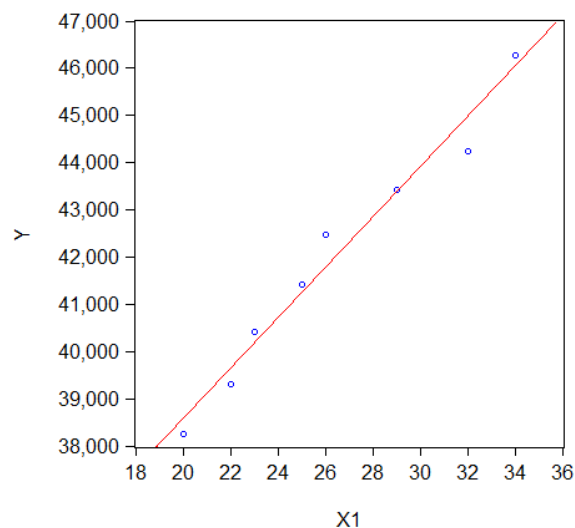
对于  $df=6$ ,  $p(t>2.447)=0.025$ 。本研究样本中  $t=17.23$ 。  $17.23>2.447$ , 说明相关系数显著不为 0, 进而两变量  $X_1$  和  $Y$  之间存在确定的相关关系。

#### ③ 回归方程的显著性检验

本研究通过 EViews 计算得出 F 值为 296.99, 对应的 P 值为 0.000002, 表明由样本构建的回归方程显著有效。

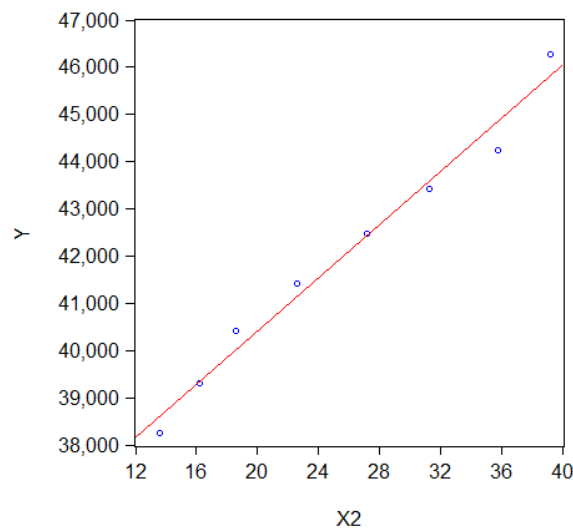
综上检验所述, 数字经济规模及占 GDP 比重和人力资源需求量正向线性关系, 数字经济规模及占 GDP 比重, 即数字经济发展可以在一定程度解释企业人力资源需求。

通过计算得到的回归方程, 可以用于分析历史发展中互联网技术、数字经济发展对人力资源带来的影响, 也可以用于预测未来人力需求的发展趋势。利用 EViews 可以得出其之间关系的图表。



图二 企业每百人使用计算机数和就业人数的关系图





图三 数字经济规模及占 GDP 的比重和就业人数的关系图

#### 4.3 未来人力资源需求量预测和分析

本研究结果显示企业每百人使用计算机数、数字经济规模及占 GDP 的比重分别与城镇企业就业人数呈正向显著影响。说明互联网和数字经济发展程度越高，对人们就业更有针对性，进而提升了企业方面的就业人数，而时代在朝着数字化发展的方向进步，在这个时代的变革点上，对人力的需求量也会增大，随着互联网和数字经济的发展，未来可能会需要更多能够适应数字化办公的人才。企业数字化转型、与互联网技术的结合，不单提高了企业的工作效率，且提供了更多的就业机会，进一步说明了互联网时代的企业人力资源相较于传统人力资源模式的优势。

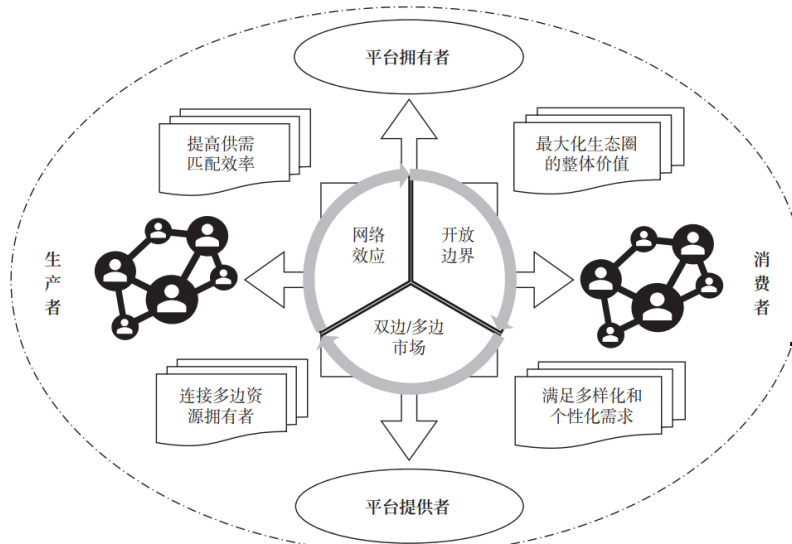
根据企业每百人使用计算机数和就业人数的关系  $Y=27899.12+533.62X_1$  可以得知，随着企业每百人计算机使用量每提高 1 台，城镇企业就业人数就平均随之提升约 533.62 万人。2013 年至 2020 年企业计算机使用量增速约为 2 台/年，因此我们可以根据此数据推断 2023 年城镇就业人数可达 49243.92 万人；由数字经济规模及占 GDP 比重和人力资源需求量的关系  $Y=34772.4+281.7X_1$  可以得知，随着数字经济规模占 GDP 比重每增加 1 个单位，城镇企业就业人数会平均随之提升约 281.7 万人。2013 年至 2020 年数字经济规模及占 GDP 比重增速约为 3.66 万亿，因此可以推断 2023 年城镇就业人数可达 47015.08 万人。从模型 1 和模型 2 预测结果分析，2023 年的城镇就业人数会继续增加。从此研究结论可以预测，未来随着互联网技术和数字化的发展，中国城镇就业人口会继续增长，就业问题会逐步削弱。

#### 4.4 未来人力资源协助企业平台化转型发展

通过基于互联网技术的发展，“互联网+人力资源服务”发展特征规律、趋势的研究，构建相关人力资源平台建设，全面提升人力资源针对企业内部整体服务水平。平台化建设服务人力资源管理离不开互联网和大数据发展的支撑，和当前较为可靠的信息安全管理技术。实现互联网技术与人力资源管理深度融合，相关数据的整合及共享、资源互联，是推进人力资源及企业高质量发展的关键性步骤。

平台型组织 (Platform-based Organization) 最早由 Ciborra (2009) 提出，其组织管理模式有助于更迅速、更敏锐的搜寻、定位到个性、动态的市场需求。通过互联网

技术、人工智能、大数据等技术高效地调动和运用不同方向的可用资源，来对内部的管理组织工作中提供支撑。企业完成上述相应的工作需要整合和搭建数据库和转变发展战略，同时在内部中进行积极的配合机制的变革，从而实现平台化转型。



图四 平台型组织的核心特征以及相对优势

## 5、结论

本文通过一元线性回归方程，以企业管理的数字化程度、数字经济发展对人力资源需求量的正向相关来研究分析互联网和数字经济时代与人力资源需求关系，相比传统模式下的企业人力资源模式，改进后的互联网时代的企业人力资源管理能最大限度的为企业降低成本的同时达到和以前相同成本的更高效工作，能够成功转型互联网时代的企业人力资源需求将会更加充足。互联网时代的企业管理，不应该只是人力资源管理这一行业需要做的事情，它同时也应该是企业进行互联网数字经济转型的一部分，是用于提升企业数字化战略能力的一个过程，也是时代对待企业能否顺应时代发展进化的一大考验。首先要从企业的制定的一系列战略目标和需要切实考虑的自身问题出发，互联网时代的企业人力资源管理不仅仅是可以大大进步制定决策和整体的统筹管理等等一系列的质量和效率，也能够更好的让内部协作体验感提升，同时也是对企业的高层领导力和源远流长的企业文化下“新战书”。

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## Research on the Training path of teachers under the Transfer Opportunity of Independent College

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### Abstract

Independent college as our country's higher education system reform and innovation of new things, by the requirements of the Ministry of Education, related documents, turn set is a key way for the independent college, as a result, in turn, have an opportunity to accelerate the construction of independent college teachers are under it to the transition of denotative development to connotative development is an urgent need to solve the problem, and further optimize the structure of teachers, The key to the construction of teachers is to improve the level of teacher education and promote the transformation of the construction of teachers to high-quality development. This paper puts forward the path and strategy of teacher training by combing the current situation of independent colleges and objectively analyzing the existing problems.

**Keywords:** Independent College; Faculty; Transformation

## 独立学院转设契机下师资队伍培养路径研究

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### 摘要

在中国高等教育发展历程中，独立学院作为教育体制改革创新的新生事物，按照教育部的政策部署，转设这一举措成为了独立学院的必经之路。因此，在转设契机下加快独立学院教师队伍建设是其由外延式发展转向内涵式发展的转型期迫切需要解决的问题，进一步完善教师结构梯队、努力提升教师教育教学水平、促进独立学院走向高质量发展是师资队伍建设工作重点。但是因为受诸多因素的制约，当前独立院校师资建设尚在起步阶段，存在不少困境和挑战，如何有效破解这些困境，成为了摆在独立院校面前的一项重要课题。文章通过梳理独立学院发展现状以及师资情况，重点思考独立学院转设脱离母体院校后师资可能会出现的问题，在客观归纳剖析其中存在问题的基础上，有针对性地提出有关师资队伍培养途径和策略，进一步强化其师资队伍的整体素质，提升教育教学质量，以此促进独立学院办学水平的提升。

**关键词：**独立学院；师资队伍；转设



## 1、绪论

在中国，高等教育历经了从“精英教育”向“大众化教育”的转变阶段，民办高等教育在此阶段中发挥着举足轻重的作用。独立学院作为民办教育的组成部分，是中国高等教育体制改革和创新发展的新生事物，也是高等教育大众化和普及化进程中的见证者与参与者。独立学院对于扩大教育资源供给、深化教育办学体制、优化教育区域布局、培养应用型人才、推动社会进步和经济发展、满足人民群众，多样化教育需求等方面，均起到重要而积极的作用（杨新春等人，2021）。首先对于现代化建设的多样化需求与有限的高等教育规模的矛盾在一定程度上起到了缓解作用，其次对于确保社会安定与减轻就业压力也起到了关键作用。但是独立学院在快速发展的进程中，也存在着各种各样的问题，如法人地位不清晰、财产权落实不到位，法人治理结构不完善、治理方式模糊，办学条件不达标且定位不明晰，师资数量不足且结构不合理等等（钟秉林与周海涛，2019）。

独立学院的形成与发展经历了三个阶段，即萌芽探索阶段、规模扩张和规范发展阶段、内涵建设与质量提升阶段（张琦英、朱跃，2021）。为促进高等教育协调发展，教育部在《关于“十一五”期间普通高等学校设置工作的意见》中首次将独立学院转设工作列入政策议题，要求“独立学院视需要和条件按普通高等学校设置程序可以逐步转设为独立建制的民办普通高等学校”。为促进独立学院规范管理和质量提升，教育部颁布《独立学院设置与管理办法》，标志着转设工作正式启动，要求现有独立学院充实办学条件。为推进独立学院转设进度，随后教育部发布了《关于加快推进独立学院转设工作的实施方案》（以下简称《实施方案》），该方案要求所有独立学院在2020年底前编制转设工作方案，并明确提出独立学院需要按照《普通本科学校设置暂行规定》的标准开展转设工作，文件中对师资队伍建设和提出了明确的要求。当前形式下，转设从根本上给现有独立学院解决教师队伍结构不合理、流动性大、专业发展路径不畅、管理制度不健全等问题提供了良好机遇（苏睿先等人，2021）。转设后的高校摆脱了对原母体校的过度依赖，以新的办学定位和人才培养目标为牵引，组建或重构专业教师队伍。教育部发展规划司最新统计数据显示，截止到2019年，全国共有独立学院241所，占全2688所普通高校的9.56%，占全国756所民办高校的33.99%，占全国43所民办本科院校的59.22%（原珂等人，2020）。2008年以来，如何推动独立学院转设成为重要议题并引发广泛关注，尽快顺利完成转设不仅涉及独立学院的未来发展，还涉及高等教育办学体制的改革创新和层次类型结构的调整优化。独立学院转设为独立设置的普通高校是其进一步发展的必然趋势，是未来独立学院的发展方向所在（杨新春等人，2021）。

刘红飞与张志平（2021）指出独立学院当前处于外延式发展向内涵式发展的转型阶段，由主要依靠规模扩大向质量提升转变。在独立学院内涵式发展进程中师资队伍是起着至关重要的作用，因为教师又是保证教学质量的关键所在，教师队伍的素质直接决定着独立学院的办学质量和社会影响力以及知名度，更是提升独立学院内涵建设水平的重要保障（徐支青，2019）。因此，培养和建设一支政治立场坚定、业务素质过硬、育人能力突出、专兼结合稳定性强的高素质高水平高质量教师队伍是独立学院可持续发展核心竞争力所在（任友群，2019）。本研究旨在厘清独立学院在教师队伍建设方面存在的突出问题，并站在新时代带来的机遇与挑战的角度，提出转设背景下教师队伍建设未来的发展路径和引导政策，以期推动转设后的高校明确思路方向，完善制

度体系,进一步优化教师队伍结构,着力提升教师教育教学水平,推动教师队伍建设向高质量发展转变,从根本上解决学校教师队伍建设这一内涵发展进程中问题。当师资队伍符合独立学院提升核心竞争力和转型发展的需要时,培养的应用型人才越容易得到社会的认可,独立学院也就可以获得较好的发展和社会的认可,教师在精神和物质方面的需要比较容易得到实现,独立学院人才培养的能力得到一个更好的提升。反之,亦然(刘显林与黄小玲,2015)。

综观国内外独立学院的发展,从严格意义来说,国外并没有类似我国这样的独立学院。有研究证明,在高等教育大众化与普及化进程中,国外主要是通过“第二种高等教育”来实现的,即国家投资建立了一批独立于精英大学系统之外的应用定向型高校(原珂等人,2020)。但这些应用定向型高校都是根据各自国家的实际情境探究并形成各具本土特色的高校发展与管理模式,这对新时期我国独立学院的重新定位、规范发展及转型等有一定的借鉴价值。国内学界关于独立学院师资的研究整体而言比较广泛,但是多数是针对某一个学院、某一专业进行分析研究(马超玲,2021;刑冬洁,2021),没有针对转设这一背景条件带来的机遇与挑战进行分析。有的只是对转设中独立学院面对的发展困境进行分析并提出解决策略(钟秉林、景安磊,2021),师资队伍只是一带而过。有的只是对独立学院师资结构特征(周丽梅,2019)、专任教师教师数量问题(张传国,2019)进行分析并提出对策。因此相关研究缺乏全局性。为此,本研究力图有所突破:一是在转设背景下系统的审视当前独立学院师资队伍发展中所遇到的现实困境,二是以全局视角探索新时期独立学院教师队伍发展应着力从哪些方面协同推进。

## 2、独立学院师资队伍的现状

自中国共产党的十八大召开以来,教师队伍建设被列为党中央的一项重点任务,因此为推动全国各地各高校加快高校教师队伍建设步伐,加快推进了中国高等教育从外延式发展向内延式发展转变,系列重大决策部署应运而生。

独立学院转设必须对标新设普通本科学校的办学条件,其中最为突出的问题就是师资队伍建设(方大胜,2022)。中国独立学院的教师基本上都是专任教师与外聘教师共同构成的,根据统计,截止2019年中国独立学院专任教师为99474名,外聘教师63217名。教师队伍结构是学校教师队伍建设水平的重要体现,在国家、地方政府、高校自身的推动下,独立学院教师队伍在年龄结构、学位结构、职称结构不断优化,整体呈持续向好发展。

### (一) 年龄结构

从年龄结构看,2019年各独立学院20岁以下专任和外聘教师占比各为0.008%和0.01%,21-35岁专任和外聘教师占比各为37.74%和24.00%,36-45岁专任和外聘教师占比各为35.55%和39.31%,46-55岁专任和外聘教师占比各为16.21%和24.93%,56岁及以上专任和外聘教师占比各为10.49%和11.74%。这表明,专任教师当中占比较多的是中青年教师,外聘教师当中占比较大的是中年教师。总的来看,青年教师作为主体在目前独立学院师资队伍中处于主要地位。

### (二) 学位结构

从学位结构看,2019年各独立学院专任教师和外聘教师最高学历为博士学位教师占比分别为15.45%和25.26%,最高学历为硕士学位教师占比分别为63.20%和47.39%,



最高学历为学士学位教师占比分别为 18.31%和 24.17%，无学位教师占比分别为 2.66%和 3.18%。由此可见，具有研究生学位及以上的教师占主体，教师素质更有保障，这在一定程度上也为建设高质量教育体系提供了有力保障。但是自有的专任教师中博士学位的教师占比仅为 15.45%，可见高层次人才依旧比较缺乏。

### （三）职称结构

在职称结构方面，2019 年度所有独立学院专任教师与外聘教师之间，正高职称教师占比分别为 10.34%和 13.42%，副高职称教师占比分别为 26.13%和 33.41%，中级职称教师占比分别为 42.18%和 38.24%，初级职称教师占比分别为 12.02%和 6.66%，其他未评级教师占比分别为 9.34%和 8.26%。由此可见，具有中级职称的教师占主体，高级职称的教师依然比较缺乏。

表 1 全国独立学院专任教师年龄、学位、职称结构表<sup>4</sup>

结构	类型	专任教师	外聘教师
年龄结构	20 岁及以下教师占比	0.008%	0.01%
	21-35 岁教师占比	37.74%	24.00%
	36-45 岁教师占比	35.55%	39.31%
	46-55 岁教师占比	16.21%	24.93%
	56 岁及以上教师占比	10.49%	11.74%
学位结构	最高学历为博士学位教师占比	15.45%	25.26%
	最高学历为硕士学位教师占比	63.20%	47.39%
	最高学历为学士学位教师占比	18.31%	24.17%
	无学位教师占比	2.66%	3.18%
职称结构	正高职称教师占比	10.34%	13.42%
	副高职称教师占比	26.13%	33.41%
	中级职称教师占比	42.18%	38.24%
	初级职称教师占比	12.02%	6.66%
	其他未评级教师占比	9.34%	8.26%

## 3、独立学院师资队伍的现状

长期以来，独立学院师资力量薄弱是其主要的短板，这是历史原因造成的结果。独立学院自建设之初，就是依存母体院校的优质办学资源，师资来源更是依赖于母体院校，随着办学规模的不断扩大，母体院校师资无法满足办学需求，才开始引进自有专任教师。因此，独立学院教师队伍建设方面一致以来都存在制约其发展的“软肋”，虽然目前已经有所改进，但是与其迅速发展和不断壮大的规模相比，当前的教师队伍建设依然存在滞后性，其问题具体表现在以下几个方面：

### （一）教师总量不足，双师型教师缺乏

目前，各级教育主管部门支持独立学院能转快转、能转尽转，转设成为民办高等学校。要完成转设工作，学校的办学条件必须满足《普通高等学校设置暂行规定》，而对师资的要求及有关专任教师数量和结构的指标是转设的重要指标。根据该办法，生

<sup>4</sup> 表 1 数据根据《全国普通高校本科教育教学质量报告（2019 年度）》整理所得。

师比不高于 18:1 成为制约独立学院转设师资方面的首要障碍。另外独立学院学生管理队伍专职人员匮乏,部分院校严重超出教育部 24 号令规定的师生比不低于 1:200 标准设置辅导员岗位的规定,甚至有的院校部分辅导员所带学生数超过 400 人(方华军, 2017)。如果独立学院能借助转设时机促使教师数量达标,那么学历和职称结构以及各专业和课程师资配备问题将迎刃而解。

出于独立学院培养应用型人才的定位,“双师型”教师是独立学院实现应用型人才培养的关键。教育部颁布《关于地方本科高校转型发展的指导意见》强调,“双师型”教师占专任教师的比例需逐步达到 50%以上(王艺玮, 2020)。根据统计表明:应用技术大学一般“双师型”教师占 30%以上,然而大部分独立学院“双师型”教师只有 10%左右,其数量远远不能满足转型发展和应用型技术人才的培养的需要。独立学院“双师型”师资的不足,将成为独立学院提高核心竞争力的障碍,进而影响独立学院形成教学特色,以及其培养高级应用型人才的目标达成。

## (二) 师资队伍稳定性差,流动性强

边培养、边流失是目前独立学院教师队伍建设中面临的最大问题,严重影响了独立学院教师队伍建设,制约了独立学院的发展(王凤华、张晓雪, 2019)。究其原因,主要体现在一下四方面:

其一,独立学院属于民办高校范畴,难以提供与公办高校同样的保障性政策与措施,其社会保险金缴纳标准按照企业单位性质执行,低于按事业单位标准执行的公办高校。独立学院因其性质导致专任青年教师与学校签订的只是长期的劳务用工合同,关系基本上体现为临时雇佣关系,这使得学院教师普遍存有随时被解聘的担忧,导致教师长期服务学校的组织承诺度不高。马超玲(2021)指出,某学院最近两年自有专任教师辞职率高达 40%,辅导员队伍的辞职率更是高达 60%。由此可见多数青年教师仅仅是将独立学院作为中转站,找到合适的有编制的学校就立即跳槽离职。这对实践教学的延续性、创新性都产生消极影响。

其二,由于独立学院专业扩张过快,招生规模扩大,导致各专业的师生比出现不平衡的局面,为了满足教学需求,几乎所有教师都在超额负担教学任务。吴亮(2021)经调研分析,仅教学工作量,400 节以上占 20%,300-400 节占 47.5%,而 300 节仅占 32.5%。教师工作负荷对离职倾向存在显著的正向影响,工作负荷越大,教师的离职倾向越高(肖林生, 2017)。与此同时,在薪资待遇与工作负荷量不成正比的影响下,选择离职的就是就更多。

其三,从整体来看,青年教师是民办高校提高办学质量,保持可持续发展的第一资源(吴陈亮, 2021),而青年教师多是刚毕业的学生,他们在步入工作岗位之后的很长一段时间都处于起步与摸索阶段,对自己的职业规划还不明确。另外,由于国家对人才培养的要求以及高校教师职业的特点,这些青年教师在职业初期不仅要保证教学科研工作,还要考虑自身的提高与发展,容易产生规划目标多,定位不清晰,路径不明确等问题(钟嘉懿, 2020)。

其四,多数独立学院受资本主导,缺乏政府财政支持,经费来源于学生的学费,还需自负盈亏,生存较为艰难,因此大部分精力都在关注成本以及如何生存下去,独立学院存在企业化的管理思维与管理行为,因而多数独立学院都缺乏人文关怀制度,忽视教师成长,这促使教师缺乏归属感。所以独立学院“以人为本”及“以师为本”的理念还需要进一步提升,要将教师从“人力”向“资源”转化(罗丽、连瑞瑞, 2022)。

## (三) 高层次人才引进难度大,自有教师缺乏职业锻炼

目前独立学院拥有的高层次人才大多数是从公办高校退休的教授中返聘回来的，这些老教授虽然有丰富的教学科研管理经验，但是其长期处于公办体制，其教学思想和理念与独立学院的办学机制和管理理念可能会不适应，因此难以发挥“传、帮、带”的作用。从外部因素看，高校之间对于人才的争夺历来都是非常激烈的。近年来，由于全国普遍高校扩招，整个教育行业都面临着师资短缺的问题，高校人才竞争日趋激烈。全国不同层次高校发展失衡的态势更是加重了这种情况，对于高级职称教师或高端人才来说，公办、重点院校具有雄厚的经济实力与优越的科研平台，更加具有吸引力（周丽梅，2019）。而独立院校由于建校时间短、历史基础薄弱，办学经费总量不高、来源单一，没有国家的支持，所有开支只能自给自足，再加之科研平台的建设也不够完善，这就失去了竞争的机会。另外，独立学院与公办高校在社会保障方面、社会认可度方面相比是处于劣势的，因此在高层次人才引进时的竞争力就明显不足。基于这几个方面，独立学院对有影响力的高层次人才完全没有吸引力。

多数高校为了满足国家对生师比的要求，大量招聘新教师，这部分新教师多是应届的硕士研究生，且师范专业毕业的教师占少部分，大多数都是没有进过系统培训的非师范类毕业生，他们缺乏系统的教学理论和技能知识的学习。在应聘上岗后，由于师资缺乏，基本上只是经过简短的培训便直接上岗，因此其只能在教学过程中自行摸索，在缺乏“传、帮、带”的机制下，他们难以迅速适应学生到教师之间角色的转换，难以合理使用教学技能和教育理论应对教学，再加之其自身在对教学特点方面的了解以及教学经验积累是完全缺乏，因此从一定程度上直接影响了其教学质量和水平。

#### （四）师资建设缺乏规划性，培养培训体系不健全

独立学院管理层对师资队伍的建设发展存在认识不足，缺乏规划。转设前，独立学院主要依赖母体院校的师资，有母体院校丰富的师资队伍做后盾，管理层对师资建设的规划考虑不多，对师资队伍的要求更多停留在保持基本课堂教学的正常运转。管理层也存在对师资队伍的培养投入可能产生风险的认识，致使对师资队伍建设存在犹疑，止步不前（罗丽、连瑞瑞，2022）。

首先，对教师培训大多集中于岗前培训，内容和形式极度单一，且培训多数未落到实处，仅仅是“走过场式”的对相关政策文件进行解读以及对纪律规范的了解。部分学校也会进行一些培训，但总体上缺乏战略性的规划，只是针对一时出现的问题进行培训，没有形成长远机制。其次，随着教育体制的不断改革，教师必须不断学习，优化知识结构，更新知识体系提高教学水平，以适应不断发展变化的社会。但是多数独立学院的专任教师因学校师资短缺，负担着巨大的教学压力，无法抽身进行高层次研修和接受再教育。

另外，资金短缺是致使独立学院在师资队伍建设中投入较少财力、物力的主要原因，这一因素促使其对教师“重引进、轻发展，重使用、轻培养”（王丹、柳薇，2021）。所以大多数独立学院对于教师的管理与培养基本上只是停留在传统的人事管理，即人事档案、职称评定、福利待遇的管理，对教师培养结果的动态衡量指标以及考核评估结果的使用、奖励与激励的机制并不完善，因此，教职工缺乏主动性、创造力和潜力。

### 3、独立学院师资队伍培养策略

#### （一）做好顶层设计，建立教师资源科学配置机制



独立学院正处于转型发展、内涵发展、创新发展的关键期，而师资是独立学院在未来保持竞争力增强发展潜力的关键一环，因此必须将其纳入到战略发展规划的总体部署中。独立学院管理层应当从以下几方面着手发力：

第一，确立师资队伍建设的战略地位。坚持“师资兴校、师资强校”的理念，深刻领悟并明确师资队伍规划建设对于学校内涵式发展、学科专业建设、教育教学质量提升等方面的重要意义。加强对师资队伍建设的领导性，将师资建设分解为具体计划，分阶段分层次有步骤地开展师资队伍建设。认真落实。充分发挥校、院两级在师资队伍建设上的应有作用，实施两级管理，对师资队伍建设实行目标责任制与过程性考核。第二，制定教师资源配置规划。对教师资源的总体需求做好预测，充分考虑学院未来的发展规模以及师资的数量结构，加大对教师发展的专项支持力度，使独立学院发展目标与教师资源配置相匹配。以办学层次和特色为依据，以学科结构和重点专业为核心，以重点人才为梯队，以学校发展的阶段性需求为立足点，建立科学合理的教师发展先行制度。第三，建立校外教师信息资源库。运用独立学院制度的优越性，与国内外专业适配性强的院校建立合作关系，与企业管理人才、专业技术人员、名师工作室等高级人才建立联系与合作，建立人才档案打破资源限制，缓解独立学院对于高层次人才招聘难的问题。通过校外教师信息库的教师资料，为建设师资队伍提供了后备保障。

## （二）优化人才引进体系，制定双师型教师培养制度

高层次人才引育是促进学院更好发展的重要步骤。因此独立院校应当大胆改革创新，打破人才招聘的传统模式，建立健全独立学院现有的人才引进机制，既要引进高级人才作为学科带头人，促进学科专业发展，也要为打造一支双师型的教学型师资队伍而储备力量。

第一，坚持“内培外引”，优化师资结构。一是营建有助于青年教师迅速成熟与崭露头角的制度环境，创建以提升教师教育教学能力、科研水平的培养体系，与此同时，为青年教师快速成长搭建好平台，采取将青年教职工“送出去、请进来”的形式，对青年骨干教师进行计划性和目的地培训。努力实现青年教职工教学水平、科研能力、管理能力的全面提升。二是拓宽人才引进渠道，制定科学合理的政策。根据专业需求，设立一定比例的流动岗位，加强准聘与长期相结合的制度建设，健全人才甄选机制，增强人才引进与学校专业和学科的匹配度，在保证教师数量的同时提高质量。围绕学校学科专业需要，建立高层次人才引进工程，积极引进具有海外学习工作经历、应用型教学能力强的人才和高水平的教师。针对引进人才的不同岗位制定相应的引进协议以及岗位职责，另外在人才引进的政策中可以明确其所能享受到的薪酬和服务的优惠政策，增加吸引力。可以采取顾问聘请、挂职指导、兼职或合作引进、退休特聘等灵活的柔性引进形式，增加高层次人才引进力度，为高校高质量发展提供强有力的人才支持，把人才强校战略落到实处。

第二，拓宽发展路径，转变教育培养理念。首先，学校应改变以往的引进模式和引进标准，结合学校应用转型，专门出台文件，制定专项政策重点选拔有企业背景、实践经验的工程技术人才来校担任专业课、实践课教师，选拔条件打破学历、身份限制，重点考核实践能力，加强专业技术人员与学校教师的交流与学习，按“不为所有，但为所用”的方针，强化“双师型”教师队伍建设工作，优化专兼职教师队伍结构。其次，学校应出台奖励措施，鼓励广大教师考取本专业以外的职业资格证书，鼓励教师对外开展专业技术开发和服务，有计划地选派中青年骨干教师进行培训，提高教师的双师素质，发展完善“双师型”教师的培训制度，鼓励教师在承担教学任务外，积极开展校企合作交流，密切联系社会实践到企业挂职锻炼，提高双师型综合素养。从企事业单位中聘请优秀的名师专家、高级技术人员来校举办专题学术报告，介绍行业或专业最新的生产工艺、技术水平、设备装置和发展趋势，拓宽本专业教师的知识视野。多措并举、多点发力，加大对“双师型”教师、高层次专业技术人员、高素质管理人才的引进力度，推行“双师”工程，打造校企、校地、校校结合的协同育人中心，促进教师与优秀企业人员的交流，学校与企业可以互派互聘，加快建设产教融合的师资队伍，提高高校人才培养与对接社会需求的能力。

第三，构建评价体系、制定考核标准等方式，加强对高层次人才的日常考核和绩效考核，创新人才的考核评价机制。通过实施“学科专业带头人引育工程”，采取引进和培养相结合的“双轨”机制，选拔和培养学科专业带头人。设立专项经费，制定培养规划，分阶段、分层次地对学科专业带头人进行培养。围绕服务地方经济社会发展需要，以本科专业和特色课程、精品课程为依托，切实加强团队主持人培养，通过立项建设名师工作室，加大中青年学科专业带头人的遴选和培养力度，建设教学团队、科研团队。实施“中青年骨干教师培养计划”，密切跟踪《教师个人发展五年规划》的实施情况，强化导师的引领作用，根据个人不同特点有针对性地制定培养计划，包括个人发展定位、教学工作、科研方向、在职进修、职称晋升等打破传统思维的束缚，进行前瞻性规划，在引进高层次人才的同时，对校内人才资源进行扶持，探索出有自己特色的发展道路，培养出新时代和社会所需的专业人才。

### （三）强化保障机制，增强师资队伍凝聚力

稳定的师资队伍是保证独立学院提升核心竞争力和转型发展得以成功的重要生态因子，这就要求独立学院必须尽快完善保障激励机制，给所有的教师成长的空间和平台。

国家层面，首先，加大对独立学院师资队伍建设扶持力度，强化相关制度出台力度，明确青年教师编制身份，提升独立学院专任教师的社会地位，增强其职业认同感和荣誉感，明确未来独立学院教职工退休福利待遇情况，以确保独立学院在建设过程中师资队伍的稳定，为进一步打造强有力的师资队伍奠定基础。其次，加大对独立学院师资队伍的政策倾斜，力争打破目前在职称评定、职务晋升等方面不公平现状，在培养培训、资格认定、职务评聘、课题申报，学术培养等方面给予独立学院专职教师享有相同的权利。

学校层面，第一，建立健全职工福利保障体系。按时足额支付工资、缴纳社会保险费和住房公积金，积极探索制定并完善教职员工企业年金制度，切实落实教师待遇保障长效机制。建立科学合理的工资增长机制，确保薪酬的内外公平性，不断提高教师的薪酬水平，以满足青年教师最基本的生活需求、安全需求和社交需求，要坚持用待遇留住人（罗莉、连瑞瑞，2022）。第二，建立有效的激励机制。教师作为知识分子，具有较强的成就意识，对自己的能力、价值、声誉特别关注，学校应制定有效的激励措施，激励教师想干事业、能干事业、干成事业，为他们实现人生职业理想创造条件。以绩效分配为导向，灵活运用经济杠杆，贯彻“以岗定薪、岗变薪变、多劳多得、优劳优酬”的分配原则，根据工作性质、贡献大小，合理拉开分配差距，将教师的贡献度与报酬紧密结合在一起，进一步发挥工资和岗位津贴的激励和导向作用，提高薪酬内部分配的公平性（蔡海云等人，2015）。第三，强化经费保障机制，逐年增加师资队伍建设和科研经费的投入。通过设置专项课题、教改项目、质量工程等研究课题，不断提升青年教师的科研素养。同时，应引导对专项费用使用规范化、合理化，做到专款专用并予以监督，为师资队伍建设提供有力保障。

#### （四）构建教师培训机制，提升教师专业素质

重视高校青年教师的职业生涯规划是提高高校核心竞争力，促进高校可持续发展的重要途径（钟嘉懿，2020）。学院层面应当成立教师发展中心或教师工作部，组建青年教师职业规划互助小组，一方面组织经验丰富的教师帮助青年教师制定职业规划，另一方面定期聘请心理学、教育学等方面的专家培养青年教师的职业素养、沟通意识、团队意识、工作意识等。青年教师个人层面，首先应根据自身实际情况制定职业规划，正确了解自己的能力和自身优缺点，挖掘潜在优势，明确定位，实现自身职业生涯的稳定发展。其次，应把日常教学和科研工作作为提高能力的辅助手段，在工作中兼顾自身能力、兴趣的发展，对职业生涯规划形成动态调整和完善。在本科教育教学改革全面深化进程中，要着眼于提高人才培养质量的需要，开展岗前及在岗专业科目培训，促进教师培养培训的常态化；健全教师发展中心的建设，促进教师专业能力的成长与发展，持续改进教师教育教学水平。除此之外，还可以制订“导师制”的相关实施办法，强化落实中青年教师队伍建设的有关要求，以提升其业务本领和教学水平为核心，健全教师教育教学发展的机制。

首先，积极创建平台，如构建教师发展中心和教学学术社区，开展多种形式的教学学术交流互动，激发教师的质量意识和教学热情。依托平台创新培养机制，整合优质教学资源，形成系统化的培养体系。转变培养理念，关注教师个性化需求。拓宽渠道，如邀请国内外专家、兄弟院校，开展教师教学发展沙龙、教学发展工作坊，共同探讨教师发展之道，有效推动教师教学理念与教学能力的转型升级与科学引导。其次，转变培训对象与方式，对所有在职教师实行周期制的全员培训制度，通过国内外访学、培训进修、挂职锻炼、社会实践、校本研修等方式加强教师在职培训，健全校企和校社合作机制，建立教师企业实践流动站并联合建设若干教师企业实践岗位。促进广大教师在教学、科研、社会实践中锻炼成长，激发教师工作动力，引导其明确职业发展



方向, 以此不断提升教师队伍整体素质。最后, 转变培训内容, 分层次分专业对教师定期培训, 进行多主题多模块的培训, 由单纯的基本培训拓展到教育技术、教学方法以及行业前沿信息, 有效促进了教师立足行业前沿, 提升专业知识与实践能力, 掌握行业最新科技信息发展动态, 并适时适当的将这些信息融入到教育教学工作中, 以此拓展课堂内容的深度和广度, 更好地服务教育教学。

## 5、结论

总的来说, 独立学院师资队伍的建设是保障独立学院更好发展的基础, 也是支撑地方独立学院转设发展的重要指标与保障。根据教育等部门对师资队伍的建设要求, 各独立学院都投入大量精力推动师资队伍建设。但目前教师队伍仍存在师资总量不足, 双师型教师缺乏; 师资队伍稳定性差, 流动性强; 高层次人才引进难度大, 自有教师缺乏职业锻炼; 师资建设缺乏规划性, 培养培训体系不健全等问题。因此, 通过分析梳理, 建立行之有效的培养策略, 对加强独立学院师资队伍建设、推动独立学院发展具有现实意义。独立学院应做好顶层设计, 建立教师资源科学配置机制; 优化人才引进体系, 制定双师型教师培养制度; 强化保障机制, 增强师资队伍凝聚力; 构建教师培训机制, 提升教师专业素质, 以此推动学院师资队伍内涵建设。

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