



## 改进中国和东亚地区的教师发展和教育质量

### 政策概要

### Improving Teacher Development and Educational Quality in China and East Asia

### Policy Brief

#### 背景介绍

#### Introduction

在包括英美等国在内的广泛国际环境下所展开的调查研究表明，专业学习共同体（英文原文“professional learning communities”，可简称为“PLCs”）对于提升专业实践能力发挥了重要的价值和作用 (Stoll & Louis, 2007)。越来越多的证据体现了学校作为专业学习共同体所产生的积极效用 (Lomos et al, 2012; Thomas 2010)。因此，丝毫不令人惊讶的是，在国际上尤其是在中国和其他东亚地区，对这一概念的研究趋势愈发凸显 (Hannum et al, 2007; Sargent & Hannum, 2009; Wong 2010a; 2010b)。自引入市场经济体制以来，中国中央政府将实现经济增长与应对全球化之挑战所需的教育改革相结合。这其中涉及到越来越多一系列的课与评价改革。中国的十年计划《国家教育改革发展规划纲要》（CMOE，2010）特别强调了提高教学质量、方法和途径的必要性。此外，在其他东亚国家，类似的挑战也存在，且改革也正在进行。

Research studies in a range of international contexts such as USA and UK have emphasised the value and role of professional learning communities (PLCs) to enhance professional practice (Stoll & Louis, 2007). There is also growing evidence of the positive outcomes of schools operating as professional learning communities (Lomos et al, 2012; Thomas 2010), and so it is not surprising to find increasing interest in exploring the concept internationally, and specifically in China and East Asia (Hannum et al, 2007; Sargent & Hannum, 2009; Wong 2010a; 2010b). Since the introduction of a market-based economic system, the central government in China has linked achieving economic growth and a need for educational reform designed to meet the challenges of globalization. This has involved an accelerating series of reforms of curriculum and assessment. The Chinese ten-year plan National Plan for Education Reform and Development (CMOE, 2010) highlighted in particular the need to improve teaching quality, methods and approaches. Moreover, similar challenges exist and reforms are underway in other East Asian countries.

然而，在中国大陆，这一主题的实证研究匮乏，虽然一些研究者表示，专业学习共同体是教育体系组织结构当中的一部分，且主要以学校教研组的形式存在 (Teddlie & Liu, 2008)。其他研究迹象表明，专业学习对于许多中国的教师来说发展尚不成熟，且教师对于继续教育发展的满意度偏低 (Zhao et al, 2009)。此外，种种迹象表明，教师获得持续职业发展的机会不平等，欠发达、农村地区的教师更加缺乏真正参与专业发展的机会 (Robinson, & Yi, 2008)。鉴于提高教育质量和实现减贫在中国的重要意义 (Zhang & Zhao, 2006)，我们亟需思考教师专业发展的本质与现状，以及专业发展共同体这一概念在提升教师质量与学校效能方面所发挥的效用。

However, in mainland China, little empirical research exists on this topic although some researchers have argued that PLCs typically exist as part of the formal organisational structure of the education system, largely in the form of teaching and school research groups (Teddle & Liu, 2008). Other research indicates that for many teachers in China professional learning is underdeveloped and that their satisfaction with CPD activities is low (Zhao et al, 2009). Moreover, there are indications that teachers' access to CPD is not equitable, with those in disadvantaged and rural areas having fewer opportunities to participate meaningfully in professional development (Robinson, & Yi, 2008). Given the importance of raising educational quality to reduce poverty in China (Zhang & Zhao, 2006), it is timely and essential to consider the nature and reality of teachers professional development as well as the utility of professional learning communities concept to enhance teacher quality and school effectiveness.

在这一情况下，“改进中国教师发展和教育质量”项目（即 Improving Teacher Development & Educational Quality in China，下文简称为“ITDEQC”）所提供的数据证实，发展成为有效的专业学习共同体的中国学校可以在真正意义上促进教育改革目标的实现，促成所预期的变化(Thomas et al 2015)。因此，本政策简报以及 ITDEQC 教师工具包希望提供中国案例学校在实践中专业学习共同体过程中所产生的经验教训以及实践范例，促进专业学习共同体的发展。此类专业学习共同体的素材与中国教师密切相关，然而，它们也可能同样惠及东亚其他深受儒家思想影响的地区的教师们。

In this context, the evidence from the ITDEQC project indicates that Chinese schools developing as effective professional learning communities could meaningfully contribute to achieving the desired educational reforms and change (Thomas et al 2015). Therefore, this policy brief and the ITDEQC teachers' toolkit seeks to support the development of PLCs by providing lessons learned and best practice exemplars from PLCs in Chinese case study schools. These PLC materials are relevant to Chinese teachers but are also designed to be potentially useful to teachers in other Confucian heritage countries in East Asia.

## 改进中国教师发展和教育质量 (ITDEQC)

### Improving Teacher Development and Educational Quality in China (ITDEQC) Project

我们所引用的证据来自于英国援助指导计划/英国国际发展部 UKAID / DfID (IEEQC / ITDEQC, 2017) 资助的英中联合研究项目“改进中国教师发展和教育质量”的研究成果。研究调查了专业学习共同体的存在和相关意义，旨在提升中国高中学生的学习结果和教师发展。本项目收集和分析了定量和定性的数据，其中包括对 90 多位利益相关者的访谈和焦点小组访谈以及覆盖三个地区 17,000 多名教师的问卷调查。基于“增值效益”和农村或城市的地理位置，本研究从国家层面的决策者和四所参与本研究学校的案例中明确了在中国学校推广和持续推行 PLC 的方式。总体而言，该项目旨在提供优质的数据，从而帮助大家更加深入地理解教师发展与学习，理解这些方面如何与学校效能和改善相关联，以及如何促进可持续的教师发展。

The evidence we draw on comes from the findings of a joint UK-China research project “Improving Teacher Development and Educational Quality in China” funded by UKAID/DfID (IEEQC/ITDEQC, 2017). The research investigated the existence and relevance of professional learning communities (PLCs) to promote student outcomes and teacher development in Chinese senior secondary schools. Both quantitative and qualitative data were collected and analysed including interviews and focus groups with 90+ stakeholders and a survey of 17,000+ teachers in three regions. The ways PLCs are promoted and sustained in Chinese schools were identified from national policy makers and four detailed case study schools, selected on the basis of “value added effectiveness” and rural/urban location. Overall, the project sought to provide quality data to enhance understanding of teacher development and

learning, how these aspects relate to school effectiveness and improvement and how sustainable teacher development can be promoted.

ITDEQC 项目中对专业学习共同体的定义如下：“专业学习共同体是指，具有全纳性的一群人享有共同的学习愿景，相互支持和共同工作，在当下共同体的内部和外部，探讨教学实践，共同探寻有助于所有学生学习的新颖、更好的途径。”

The definition of PLC used in the ITDEQC project was as follows: *“A professional learning community (PLC) is an inclusive group of people, motivated by a shared learning vision, who support and work with each other, finding ways, inside and outside their immediate community, to enquire on their practice and together learn new and better approaches that will enhance all students’ learning.”*

这一定义取自给学校领导和专业学习共同体领导的《的专业学习共同体手册》(Stoll et al, 2006)，这套手册是一项由英国政府资助、调查如何创造与持续拥有有效专业学习共同体的项目之研究成果(Bolam et al 2005)。ITDEQC 项目的关键目标是探索与检验在中国环境下 PLC 的八个特点和四个过程的存在以及利益相关者对它们的看法。此促进 PLC 持续发展的八大特点和四个过程由 Bolam 和他的同事提出，具体如下：

**专业学习共同体的八个特点：**共同的价值观和愿景，对学生学习所承担的共同责任，聚焦于学习的合作，基于组群和个人的专业学习，反思性的专业探究，开放，良好的人脉关系和合作伙伴关系，具有全纳性的成员制度，相互信任、尊重与支持。

**发展专业学习共同体的四个过程：**优化资源与组织结构以推动 PLC 的发展，推动专业学习，评估和推动 PLC 的持续发展，领导和管理以推动 PLC 的发展。

This definition was taken from the *source materials, for school leaders and other leaders of professional learning* (Stoll et al, 2006), produced from UK government-funded research into creating and sustaining effective professional learning communities (Bolam et al 2005). A key aim of the ITDEQC project was to explore and test out in the Chinese context the existence and stakeholder perceptions of eight PLC characteristics and four processes which promote and sustain them, as identified by Bolam and colleagues:

**Eight Characteristics of a PLC:** Shared values and vision, Collective responsibility for students’ learning, Collaboration focused on learning, Group as well as individual professional learning, Reflective professional enquiry, Openness, networks and partnerships, Inclusive Membership, Mutual trust, respect and support.

**Four Processes to develop a PLC:** Optimising resources and structures to promote the PLC, Promoting professional learning, Evaluating and sustaining the PLC, Leading and managing to promote the PLC.

专业学习共同体和与之相关的概念“学校学习共同体”有一个关键区别，即 PLC 主要聚焦于教师发展和教师学习对学生学习结果的影响。这两个概念总体来说有重合之处，但是“学校学习共同体”是一个更加宽泛的概念，强调了学校共同体当中所有个体的学习环境和过程。

A key difference between PLCs and the related concept of “school learning community” is that PLCs are primarily focused on teacher development and the impact of teacher learning on student outcomes. Overall the two concepts overlap, but the idea of a “school learning community” is a broader concept highlighting the learning context and processes of all individuals in the school community.

## 从中国的 PLC 案例当中可以汲取什么经验教训？

### What are the lessons learned about PLCs in China?

ITDEQC 的研究结果表明，专业学习共同体这一概念在中国的环境下与现实相关且发挥了作用，成熟的以学科和年级作单位的小规模的专业学习共同体（教研组）和以整个学校为规模的专业学习共同体似乎都存在。然而，受访者对于这一概念的理解以及在看待专业学习共同体的诸多特色能在多大程度上体现于他们自己的学校或者更加普遍意义上的中国学校这一问题上有不同的观点。与过去的研究结果(Wong, 2010)相一致的是，利益相关者将专业学习共同体关联于教研组教师的已有实践，他们同时也对其他现有的专业发展机制（例如辅导、合作和范例课）给予大力支持。虽然所有的案例学校将教研组视为管理的组织机制，但是这些教研组的运行方式不同，参与者所描述的参与方式和参与目的也不同。然而，所有四个案例校的学生均表示自己感受到了老师的支持，虽然他们都是毕业班的学生且正在准备高考。他们都提到自己会定期给老师的教学实践提供正式反馈。他们期待转变，并且看到了自己的反馈所带来的转变。

The findings from the ITDEQC study indicate that the concept of PLCs is relevant and useful in the Chinese context, both established sub-PLCs, as well as whole school PLCs seem to exist. However, participants understanding of the concept varied, as did their view of how far features of a PLC were evident in their own schools or more generally in Chinese schools. Typically and in line with previous research (Wong, 2010), stakeholders linked PLCs with their established practice of teachers working in teaching and research groups, and other existing professional development mechanisms such as strong support for mentoring, collaboration and model lessons. Although all the case schools used teaching groups as an organising mechanism for management they differed in the ways these groups operated and in the ways participants described their involvement and purposes, for example involving more or less meaningful reflective enquiry. Nevertheless, students in all four case study schools said they felt supported by teachers – though these were all final year students and preparing for the college entrance exam. They all referred to giving regular formal feedback on teachers' practice. They expected, and saw, changes as a result of their feedback.

PLC 的八个特点是在英格兰的学校当中研究得出的(Bolam et al, 2005)，而在这八个特点当中，有四个特点在中国的环境下从数位政策制定者和四所高中那里得到了一致且强有力的佐证。这四个在国内学校发展较为成熟的特点包括：

- 共同的价值观和愿景
- 对学生学习所承担的共同责任
- 聚焦于学习的合作，
- 团体和个人的专业学习。

In terms of the eight particular PLC characteristics identified in English schools (Bolam et al, 2005), there was generally strong consistent evidence from policy makers and across the four senior secondary schools on four out of eight characteristics. The most developed PLC features comprised:

- *shared value and vision,*
- *collective responsibility for student learning,*
- *collaboration focused on learning,*
- *group and individual professional learning.*

与此同时，与“相互信任、尊重与支持”和“开放，良好的人脉关系和合作伙伴关系”这两个专业学习共同体的特点相关的证据颇为混杂，学校员工将后一个特点直接与资金支持的力度联系起来。相比而言，实现起来最具挑战性的 PLC 的特点是：

- 反思性的专业探究
- 具有全纳性的成员制度

Meanwhile, the evidence was more mixed for two PLC features: *mutual trust, respect and support and openness, networks and partnerships*, with the latter feature clearly linked by school staff to the extent of funding opportunities. In contrast, the most challenging PLC features were found to be:

- *reflective professional enquiry*
- *inclusive Membership*

全纳性这个概念最不容易理解。不同的学校对这一概念的理解各有不同，此分歧主要集中在支持性员工所承担的各种责任本质上是分开的。反思性的专业探究在中国的学校高度程式化，且受到高度监管，一些利益相关者因此认为教师反思过于肤浅或者过度关注于学生考试上的成功。教师管理常常论资排辈，分散式的领导制度则缺少发展的机会，这导致教师主要受到如晋升标准等外在激励制度的影响。颇有意思的是，初级教师和一些非教师人员似乎表达了更加激进的想法，但是社会和组织结构的等级制度可能会使他们的贡献受阻。这一点在多大程度上成立，取决于各个学校的情况，且与如何看待相互信任、尊重和支持相关。这一因素似乎在各所中国学校当中情况各有不同，但是在更加成熟的专业学习共同体中作用更加显著。

Inclusiveness was the least easily understood concept. The response of schools to this idea varied but typically was focused on the separate nature of support staff responsibilities. In terms of reflective professional enquiry, this appears to be highly formalized and monitored in Chinese schools and some stakeholders consequently considered teachers reflections to be rather superficial or much too focused on examination success. The management of teachers is typically hierarchical and lacks opportunities for distributed leadership, which may result in teachers' being motivated mainly by external incentives such as promotion criteria. Interestingly junior teachers and some non-teachers seemed to express the more progressive ideas but the social and organizational hierarchy may impede their contribution. The extent to which this is evident varies between schools and links to ideas of mutual trust, respect and support, a factor which also seemed to differ between the four Chinese schools but nevertheless is clearly evident in more mature PLCs.

PLC 的发展如何更好地在中国的环境下得到支持，教师和政策制定者表示，各个层级（学校、地区和全国层面）的领导者和教育行政部门是关键，而且这与评价教师专业发展以及学生学习结果的政策和方法息息相关。这一问题十分重要，它说明专业学习共同体这一概念要根据中国的环境进行调整。完善在中国环境下的专业学习共同体这一概念需要考虑以下几点：

In terms of how PLC development could be better supported in the Chinese context, teachers and policy makers indicated that the activity by leaders and educational administrative departments at all levels (school, region, national) was key and closely involved the policy and method of evaluating teacher's professional development and student outcomes. This issue is important and suggests that the PLC concept needs to be adapted to the Chinese context. Aspects that need to be considered in refining the PLC concept in China include acknowledging:

- 在深受儒家思想影响的环境下，许多学生、家长和更广泛的社会通常将高风险考试成绩的重要性至于所有其他教育成绩之上。
  - 东西方以及城市和农村地区在社会经济发展和传统观念上存在巨大的差异，这意味着诸如专业学习共同体这样的新理念更难落地。
  - 现有的教学方法、合作机制以及等级制度和竞争机制势力强劲，这削弱了非教职员工和家长所扮演的角色，不利于分散式领导力的发展。
  - 需要政府和地区的强力政策，支持专业学习共同体在学校的发展，以及筹措经费就专业学习共同体对教师和其他利益相关者进行培训。
- A Confucian heritage context, where many students, their parents and society more broadly, typically value high stakes examination results above all other educational outcomes.
  - Large differences exist in socio-economic development and traditional perspectives between east and west and rural and urban contexts; consequently new ideas such as PLCs may be more difficult to implement in some poorer areas.
  - The strength of existing pedagogies and collaboration, as well as hierarchies and competition, which typically down plays the role of non-teaching support staff and parents and does not facilitate distributed leadership.
  - The need for explicit government and regional policy to support PLC development in schools as well as funding for training teachers and other stakeholders in the PLC concept.

最后一点至关重要，因为整个地区和国家政府的负责人的领导力和支持直接关系到为教师赋权，从而让他们为自己的学习和学校发展承担更多的责任。充分的时间和培训是行程习惯的必要条件，虽然很有可能不同地区和学校投入的资金所存在的巨大差异需要被更加妥善地处理，从而为农村地区的学校和教师提供更多的机会，让他们更加积极地参与到 PLC 的发展进程中来。

The last point is crucial given the leadership of the head and support from the whole district and national government is key to empower teachers to take more responsibilities themselves for their own learning and school improvement. Adequate time and training is also necessary for new habits to be cultivated, although it is likely that large variations in funding across regions and schools needs to be better addressed to provide more opportunities for rural schools and teachers to be actively engaged in PLC development.

综上所述，ITDEQC 所提供的证据表明，推动以教师发展和提高学生学习结果为核心的教育改革可以通过践行在中国或者相似东亚环境下调整过的专业学习共同体理念来实现。各利益相关者明确表示，专业学习共同体的评价工具和训练能促进专业发展和教师的能动力。参与 ITDEQC 的学校表示，参加过相关培训的员工能够更加深入理解更有效的专业学习共同体的特征，例如反思性教学实践和分散式领导力。在一些案例当中，参与 ITDEQC 的学校后来引入了更加有效的策略，如让非教职员工有更多的参与，从而推动和维持学校专业学习共同体的发展进程。本项目重要的一点经验教训是，当专业学习共同体的发展根据深受儒家思想影响的社会环境和国家的政策重点进行调整，很有可能在中国或者类似的东亚教育体系之内促成转变，提升教育质量与教育公平。然而，如果没有来自政策制定者和学校领导直接的资助和支持，这是不可能实现的，如果无法更加公平地在不同的学校和地区之间分配资源，影响将十分有限。

Overall, we would argue that the ITDEQC evidence indicates that educational reforms around teacher development and improving student outcomes could be enhanced through PLC development tailored for the Chinese or similar East Asian contexts. Stakeholders clearly indicated that PLC evaluation tools and training could improve professional development practices and teacher agency. ITDEQC schools

reported that staff who had received such training had developed a better understanding of the features of more effective PLCs, such as reflective teaching practices and distributed leadership. In some cases ITDEQC schools had also subsequently introduced more effective strategies to promote and sustain the school as a PLC, such as greater involvement of non-teaching support staff. The important lesson learned is that PLC development adapted to Confucian heritage contexts and country priorities has the potential to be very powerful in bringing about the changes needed to improve quality and equity in the Chinese and similar east Asian education systems. However, this is unlikely to be achieved without explicit endorsement and support from policy makers and school leaders and impact may be limited without a fairer distribution of resources across schools and regions.

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详情请见项目主页: <http://www.bristol.ac.uk/education/research/sites/ieeqc/>。

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## Further Reading

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