

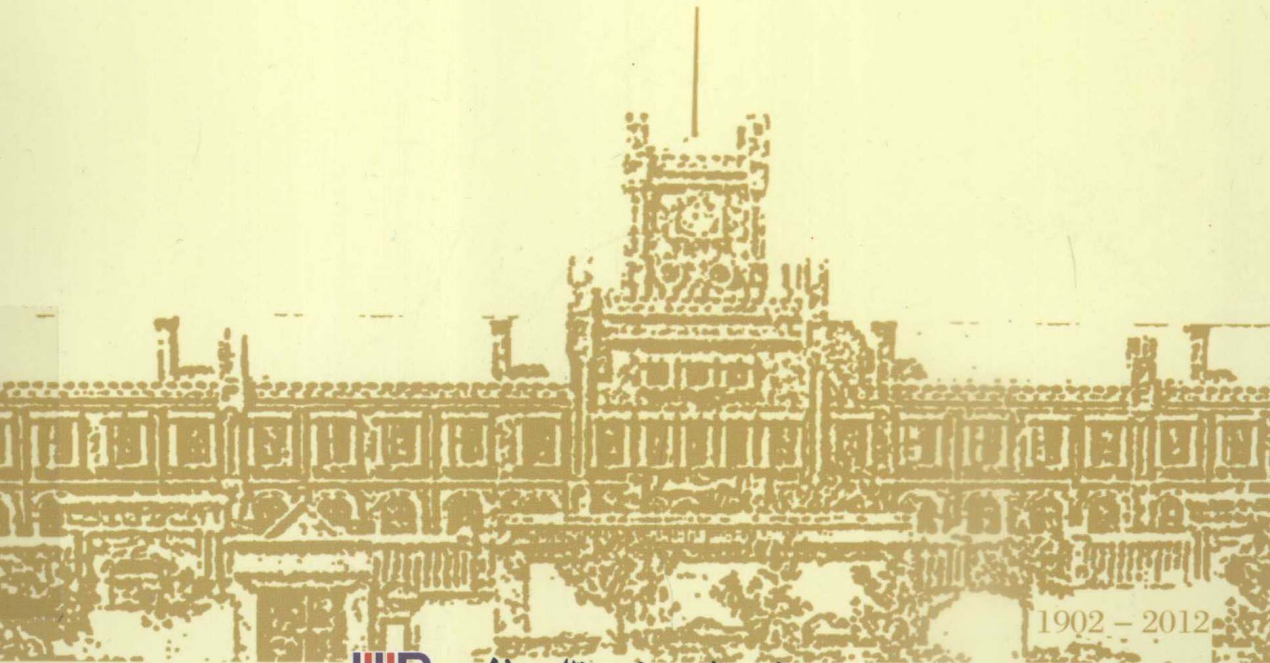


山西大学建校 110 周年学术文库

形成性评价在中国之 原理、政策及实施 ——基于英语学科的社会文化视角

Formative Assessment in China: Principles, Policy and Practice
—Sociocultural Perspective from English as a Foreign Language (EFL)

陈秋仙 著



1902 - 2012



科学出版社

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北 京

内 容 简 介

本书探讨形成性评价在中国之原理、政策及实施,其宗旨是为形成性评价在我国的有效实施提供实证性借鉴。它以教育部 2007 年颁布的《大学英语课程教学要求》中提出的课程评价新政策为基点,并以从第一线收集的实证性数据,调查研究了形成性评价在两所大学中的实施状况。该研究采用的是定性的研究方法,以一个重点大学和一个非重点大学为案例,数据源广涉学校的高级管理者、教师及学生,有个人及小组访问、课堂观察等数据收集方式。该研究在了解形成性评价实际实施状况的基础上,从社会文化的视角分析了在中国的特定情境下影响形成性评价实施的各个主要因素。

本书可为国家和学校层次的英语教育政策制定者提供参考意见,也可对高等学校及其他层次的英语教师的课题评价行为做出切实的指导。此外,从研究的角度讲,本书也适合博士、硕士研究生及本科生阅读。

图书在版编目(CIP)数据

形成性评价在中国之原理、政策及实施:基于英语学科的社会文化视角 = Formative Assessment in China: Principles, Policy and Practice—Sociocultural Perspective from English as a Foreign Language (EFL): 英文 / 陈秋仙著. —北京:科学出版社,2012.4

(山西大学建校 110 周年学术文库)

ISBN 978-7-03-033993-5

I. ①形… II. ①陈… III. ①英语—教学研究—高等学校—英文 IV. ①H319.3

中国版本图书馆 CIP 数据核字(2012)第 063088 号

责任编辑:阎 莉 / 责任校对:刘凯晶

责任印制:赵德静 / 封面设计:李恒东 无极书装

联系电话:010-6403 0529 电子邮箱:yanli@mail.sciencep.com

科学出版社出版

北京东黄城根北街 16 号

邮政编码:100717

<http://www.sciencep.com>

中国科学院印刷厂印刷

科学出版社编务公司排版制作

科学出版社发行 各地新华书店经销

*

2012 年 5 月第 一 版 开本: B5 (720×1000)

2012 年 5 月第一次印刷 印张: 12 3/4

字数: 340 000

定价: 45.00 元

(如有印装质量问题,我社负责调换)

总 序

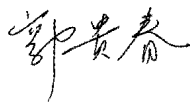
2012年5月8日，山西大学将迎来110年校庆。为了隆重纪念母校110年华诞，系统展现近年来山西大学创造的优秀学术成果，我们决定出版这套《山西大学建校110周年学术文库》。

山西大学诞生于“三千年未有之变局”的晚清时代，在“西学东渐，革故鼎新”中应运而生，开创了近代山西乃至中国高等教育的先河。百年沧桑，历史巨变，山西大学始终与时代同呼吸，与祖国共命运，进行了可歌可泣的学术实践，创造了令人瞩目的办学业绩。百年校庆以来，学校顺应高等教育发展潮流，以科学的发展理念引领改革创新，实现了新的跨越和腾飞，逐步成长为一所学科门类齐全、科研实力雄厚的具有地方示范作用的研究型大学，谱写了兴学育人的崭新篇章，赢得社会各界的广泛赞誉。

大学因学术而兴，因文化而繁荣。山西大学素有“中西会通”的文化传统，始终流淌着“求真至善”的学术血脉。不论是草创之初的中西两斋，还是新时期的多学科并行交融，无不展现着山大人特有的文化风格和学术气派。今天，我们出版这套丛书，正是传承山大百年文脉，弘扬不朽学术精神的身体力行之举。

《山西大学建校110周年学术文库》的编撰由科技处、社科处组织，将我校近10年来的优秀科研成果辑以成书，予以出版。我们相信，《山西大学建校110周年学术文库》对于继承与发扬山西大学学术精神，对于深化相关学科领域的研究，对于促进山西高校的学术繁荣，必将起到积极的推动作用。

谨以此丛书献给历经岁月沧桑、培育桃李芬芳的山大母校，祝愿母校在新的征程中继往开来，永续鸿猷。



二〇一一年十一月十日

Preface

Formative Assessment in China, Principles, Policy and Practice—Sociocultural Perspective from English as a Foreign Language (EFL), brings prominence to English language education and the established status of English in academic, commercial, scientific, technological, and political domains throughout the world. Qiuxian Chen claims that in *Expanding Circle* countries (Kachru, 1996), the status of English education as a Foreign Language is perceived as a means to gaining a competitive edge. She develops her argument in this book by focusing on how in China, with the Open Door policy of 1978, English language proficiency is considered vital to national modernization and global development efforts. Further, the advent of globalization is seen as precipitating the requirement for higher standards of English as a Foreign Language (EFL) education to meet China's competitiveness in the global market and in world affairs.

The fields of English Language Learning, assessment for the improvement of learning and teaching, and sociocultural theories of learning and assessment are brought together. Educational reforms of the China Ministry of Education (CMoE) for the improvement and enhancement of the teaching, learning and assessment of English Language Learning, such as the College English Reform Program (CERP), provide the research context and the basis for this book. A sociocultural theoretical perspective was adopted to investigate the implementation of the assessment policy that was intended to develop the practice of the formative use of assessment. The book details the experiences of local educators at institutional and classroom levels within two universities (one Key and one Non-Key university).

What will be of considerable interest to readers will be the findings from the detailed analysis of the contextual factors and implementation strategies. The lack of professional development and sociocultural factors, such as the traditional emphasis on the product of learning and the hierarchical teacher/student relationships, were influential in the uptake of this reform. Interestingly, the differences in the type of university did not appear to have a major impact on how the policy was implemented. Significant implications for assessment reform in the

Chinese context have been identified.

The view of assessment and learning that is adopted in this work is derived from sociocultural theorists such as Lave & Wenger (1991), Wenger (1998; 2000) and Rogoff (1995) who appreciate how a community of practice can foster learning and identity development when learners participate and interact with one another in social contexts. Quixian Chen articulates how from this view of assessment and “learning a community is understood to involve the ‘competences of a learning system that shares cultural practices and reflects a collective learning’ and holds ‘the very core of’ (Wenger, 2000 p. 229) meaning making within its given context”. She goes on to emphasise that “learning at the community level, also referred to as *apprenticeship* metaphorically, focuses on the mutual embedded relationship of the individuals and the communities. The community level of analysis is used in sociocultural studies, to examine ‘the institutional structure and cultural technologies of intellectual activities’ (Rogoff, 1995 p. 143), such as the negotiation of the meaning of formative assessment” as in the study on which the book is based (Chen, 2012, 127-28). These insights have helped to establish and explain why the uptake of policy is not always possible.

By negotiating with sociocultural theory, research, and practice the affordances and the constraints in the implementation processes of the policy change are outlined. The book provides readers with some understanding of how assessment policy change in relation to English language teaching and learning in the two Chinese universities has occurred. There are also suggestions and implications for future assessment practices and policy in the Chinese higher education context. It is a valuable contribution to the field of assessment in China and will help to suggest future efforts for improved learning and teaching of English as a Foreign Language in higher education.

Val Klenowski

Professor of Education

Queensland University of Technology

11 March 2012

前 言

本书以教育部 2007 年颁布的《大学英语课程教学要求》中提出的课程评价新政策为基点,并以从第一线收集的实证性数据,调查研究了形成性评价在两所大学中的实施状况。该研究采用的是定性的研究方法,以一个重点大学和一个非重点大学为案例,数据源广涉学校的高级管理者、教师以及学生,有个人及小组访问、课堂观察等数据收集方式。最后,在了解形成性评价实际实施状况的基础上,从社会文化的视角,探讨分析了在中国的特定情境下影响形成性评价实施的各个主要因素。

本书的选题与我当年苦涩的英语学习生涯以及后来从事的英语教学工作都有着密切的联系。二十世纪八十年代末期,无论是从乡村中学艰难地考到县城的重点高中,还是在当时高考升学率 3% 的情况下从高中考到在省城的大学,英语都是颇受我钟爱,也让我引以为豪的学科。这当然也是我当年报考了英语专业的主要缘由。可是这点骄傲在大学生活开始的同时轰然倒塌。原因就是老师的全英文上课时,我只能偶尔抓得住一两个简单的词,其余的全然听不懂,用英语交流更是无从谈起。我继续发挥高考前拼命三郎的精神用了近两年时间才摆脱了这种状况,追赶了上来。我明白这种状况当然是和应试教育分不开的。不过,我同时也对我国英语评价的方式方法产生了质疑:看来,考试结果的好坏并不一定能代表考生英语能力的高低。

大学毕业后我被分配到了当地的一所大学教公共英语。站在英语教育的第一线,我从切身体验教导我的学生着重提高自己的综合语言能力,不要只盯着分数。而学生们的回答却让人无语:“老师,我们也知道你是为我们好,可是过不了四级(CET4)就拿不到学位证呀!”我明白恐怕只有英语的评价方式发生根本的改变并且与各种高风险分离开来才有可能让这种以考试为第一倾向的状况发生变化。所以,当 2005 年教育部专门召开新闻发布会倡导大学英语四六级考试与学位脱钩,并于 2007 年颁布了《大学英语课程教学要求》,要求将形成性评价引入大学英语的课程评价时,我的兴奋自是无以复加。自然地,评价政策的改革也成为我在 2007 年获得国家留学基金委和澳大利亚昆士兰科技大学的联合奖学金(CSC-QUT Scholarship)后的博士研究的首选题目。

虽然最终的数据表明,由于我国根深蒂固的社会文化环境以及教育状况,形成性评价以一种特有的具有地方特色的形态呈现出来,它的向学功能也因此被打

了折扣。而且,应试倾向还在强烈地影响着我国的英语老师的教以及学生的学,但是向学的倾向也正悄然滋长着。这些喜人的变化的正在发生需要更大的推动力,那就是对教师的研究以及教师在形成性评价方面的素质培养。之所以将本书借山西大学 110 周年校庆之际出版,是因为我认为本书的这些发现不仅对我国高等教育层次的英语教育领域有意义,而且对我国基础教育正在如火如荼进行着的教育评价改革可能有一定的借鉴作用。让这一作用发挥的越早,对我国的教育评价改革的顺利进行的意义越大,以慰我以及更多有着同样感受的同行之心。

本书的付诸印梓首先有赖于山西大学的大力资助。我对此表示衷心的感谢,并向山西大学即将到来的 110 年校庆表示深深的敬意。愿这个百年老校在新世纪焕发自己独特的光彩。其次,本书的出版文稿及数据皆基于作者的博士学位论文 *Assessment Policy Change in Relation to English Language Teaching and Learning in China: A Study of Perspectives from Two Universities*。在此,感谢对我的博士研究提供经济资助的中国国家留学基金委和昆士兰科技大学 (CSC-QUT Scholarship)。另外,感谢我的三位导师: Val Klenowski 教授、Margaret Kettle 博士和 Lynette May 博士的悉心指导和谆谆教诲。最后,感谢两个数据基地及所有参与这项研究的老师和学生。是你们宝贵的时间和深刻的见解使这本书有了其理论和实践的意义。

陈秋仙

2012 年 3 月 28 日

于山西太原蕴华庄

Abstract

In response to concerns about the quality of English Language Learning (ELL) education at tertiary level, the Chinese Ministry of Education (CMoE) launched the College English Reform Program (CERP) in 2004. By means of a press release (CMoE, 2005) and a guideline document titled *College English Curriculum Requirements* (CECR) (CMoE, 2007), the CERP proposed two major changes to the College English assessment policy, which were: (1) the shift to optional status for the compulsory external test, the College English Test Band 4 (CET4); and (2) the incorporation of formative assessment into the existing summative assessment framework. With the two changes put into practice, research on their implementation and effect in local settings become a top priority.

This study focused on the interactions between the College English assessment policy change, the theoretical underpinnings, and the assessment practices within two Chinese universities (one Key University in a major city and one Non-Key University in a provincial city). It adopted a sociocultural theoretical perspective to examine the implementation process as experienced by local actors of institutional and classroom levels, that is, the insitutional policy-makers, teachers and students. First-hand data such as individual interviews on a senior administrator, focus group and individual interviews on teachers, individual interviews on students, classroom observation and artefacts were collected in each university to inform the findings of this study.

Constant comparative method (Merriam, 1998) Systematic data analysis revealed that differences did exist between the two settings, which related to varied weightings and insitutional cultures. These differences, along with other contextual factors such as the key or non-key status of the two universities, the different teacher qualifications and student levels, however, did not seem to lead to significant differences in the classrooms of the two local settings. Teachers' lack of training in assessment and the sociocultural factors such as the traditional emphasis on the product of learning and hierarchical

teacher/students relationship are decisive and responsible for the limited effect of the reform. Based on these findings, implications were identified for policy-making at the national and institutional level, EFL teaching and learning at the classroom level.

List of Abbreviations

CECR	College English Curriculum Requirements
CERP	College English Reform Program
CHC	Confucian Heritage Culture
CMoE	China Ministry of Education
EEHE	Entrance Examination of Higher Education
ELL	English Language Learning
EFL	English as a Foreign Language
ESL	English as a Second language
HEC	Higher Education Commission
IELTS	International English Language Testing System
MCALL	Multimedia Computer Assisted Language Learning
MCQ	Multiple Choice Questions
NCETC	National College English Test Committee
NMET	National Matriculation English Test
RWT	Reading, Writing and Translating
SFL	Systemic Functional Linguistics
SILL	Strategy Inventory for Language Learning
SL	Speaking and Listening
SLA	Second Language Acquisition
SLL	Second Language Learning
TAO	Teaching Administrative Office
TOEFL	Test of English as a Foreign Language
WTO	World Trade Organization

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