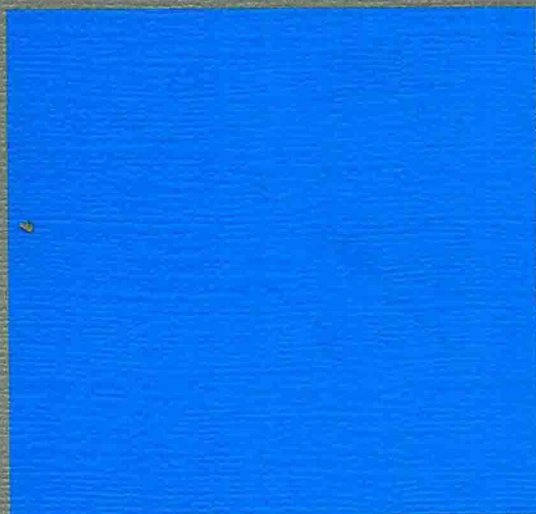


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安桂清 周文叶 主编

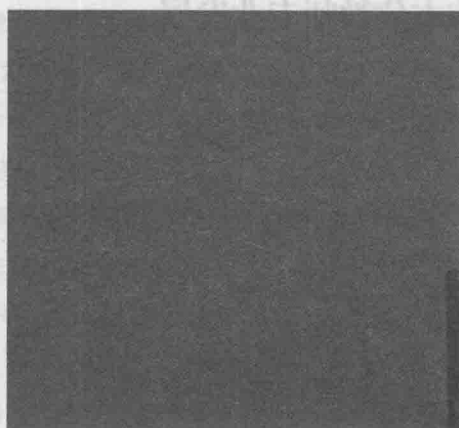
教育改革时代的
学校本位教师专业发展



School-based Teacher Professional Development in an Educational Reform Era

安桂清 周文叶 主编

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序言

迈克尔·富兰曾说：“教育变革的成败取决于教师的所思所为，事实就是如此简单，也是如此复杂。”^①中国社会渐次加剧的社会转型和深度推进的教育变革使得教师专业发展成为基础教育内涵发展的一个极为明确的论题。但同时面对不同利益群体对教育的多元诉求及其不断向教师转嫁的趋势，在职业生涯中，如何应对这些多样化的社会诉求，又如何寻得安身立命之本，成就作为教师的自己，教师专业发展所面临的挑战可以说是史无前例的。

在教师专业发展的路径方面，由于教学本质上是一种反思性实践而非技术性实践，教师无法通过运用现成的原理和技术实现好的教学，只能通过审查反思课堂的事实和工作的具体经验来学会教学，因而教师的成长离不开学校所提供的实践场景。要实现专业发展，教师就必须在学校这一教育现场系统地得到锤炼和提升。基于此，学校本位教师专业发展受到广泛关注，并随着我国基础教育课程改革的展开日益勃兴。

为促进学校本位教师专业发展的理论探索与实践研究，构建学校本位教师专业发展的国际交流平台，教育部人文社会科学重点研究基地——华东师范大学课程与教学研究所于2013年11月1日至3日举办了“第十一届上海国际课程论坛：学校本位教师专业发展”。十余位来自美国、英国、法国等地的教师专业发展领域的专家，中国教育学会副会长、上海市教委巡视员尹后庆先生，上海市教委基础教育处倪闽景处长，以及来自全国十几个省市的200多位专家、学者、研究生、校长、教研员和教师参与了本次论坛。尤为值得一提的是，国际知名教育心理学家、教师教育专家、卡内基教学促进基金会荣誉退休主席、美国教育研究协会(AERA)和国家教育学会前主席、斯坦福大学荣誉退休教授 Lee S. Shulman 和美国圣弗朗西斯科非营利教育机构 WestED 前高级研究员 Judith H. Shulman 欣然接受本次会议的邀请，并为大会提交了高水平的论文。此外，Lee S. Shulman 教授还作为“大夏讲坛”的主讲作了题为“预设与意外的碰撞：专业形象的教学法”的学术报告，Judith H. Shulman 女士为我所师生开展了主题为“教师教育中的案例教学法”的工作坊活动。

与会专家从不同视角对“教师专业”和“教师专业发展”提出了新的思考，同时对如何在学校背景下促进教师专业发展亦各抒己见。本书即是对上述思考和观点的集中展现。这些严谨的理论探索和丰富的实践理解为我们把握中国教师专业发展的时代使命与前进方向提供了珍贵的理论资源与实践经验。限于篇幅，本书精选部分论文，按照教师专业发展的理论、行动

^① 迈克尔·富兰：《教育变革新意义》，赵中建、陈霞、李敏译，北京：教育科学出版社，2005：121。

和保障的逻辑将其汇编为三个主题：“教师专业发展理论”、“教师学习与发展”和“教师评价与管理”，以期惠及对本论题感兴趣者。

本书由我所两位年轻的学者安桂清博士和周文叶博士编辑而成，在此向他们的辛勤工作表示感谢，同时感谢华东师范大学出版社彭呈军先生的支持与帮助！

华东师范大学课程与教学研究所所长 崔允漷

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目录

专题一 教师专业发展理论

Forgive and Remember: The Challenges and Opportunities of Learning from Experience	Lee S. Shulman	003
标志性的专业教学法:给教师教育的建议	李·舒曼	013
Case Methods in Teachers Education	Judy Shulman	024
论名师的教学主张及其研究	余文森	033
教师专业发展即专业实践的改善	崔允漭 王少非	043
PCT 对教师专业发展的影响	刘良华	050
中规中矩——一位中学语文教师的教学意象研究	董江华	056
近三十年来教师实践性知识研究的脉络与走向	李莉春	068
“局外”与“局内”:多元文化学校情境中教师的跨文化适应及其课程实施取向探究	王艳玲	078

专题二 教师学习与发展

我国教师研修的新挑战	钟启泉	095
Meaning-Making of Chinese Teachers in the Curriculum Reform	CHEN Xiangming	101
Representations and Implications of Teacher's Pedagogical Content Knowledge: A		

Longitudinal Study on a Mathematics Teacher in Chinese Elementary School	WEI Ge	123
教师专业发展和学习为何要走向“校本”?	陈向明	147
我国中小学教学研究组织的发展与困境	胡惠闵 刘群英	159
以组织文化变革提高校本教研有效性的探索	邵水潮	173
校本研修的实践嬗变	张 丰	180
“把井口开大”——对一条备课原则的隐喻性分析	王 倩	192
教育实习指导教师的角色与指导策略研究——以 UGS 中学实习指导教师为例	张博伟 吕立杰	202
拓展性学习:教师专业发展的共同体视角与实践意涵	张立平	211
开展基于表现性评价的教师研修	周文叶	222
国际比较视野下的课例研究:背景、现状与启示	安桂清	230

专题三 教师评价与管理

Immigrant students in the United States: Preparing Teachers to Teach Them	Patricia Gándara	243
美国洛杉矶教师发展和评价框架(TDEF)述评	冯翠典	257
从考核到管理:教师绩效评价的一种视角	洪志忠	266
基于电子档案的区域性教师专业发展评价研究	恽敏霞 刘 辉	277

Forgive and Remember: The Challenges and Opportunities of Learning from Experience

Lee S. Steiner

Visiting Professor, The Carnegie Foundation for the Advancement of Teaching

Charles E. Quisenberry Professor in Education Policy and Leadership, Stanford University

专题一

教师专业发展理论

I want to talk to you this morning about a challenge that all professions face. Teachers and physicians, engineers and architects, the disciplines in the profession learn to practice their craft without educating their clients. Indeed, how do even experienced practitioners improve their work or learn new practices without educating their clients? Whether it is the period of teacher education, or medical education, or engineering education, or internship for engineers, some kind of strategy for protected practice is part of the system of educating professionals, and it raises a couple of important questions.

The first question is, How is learning from experience possible? We sometimes laugh and say that there are two kinds of teachers. Some teachers have twenty years of experience. Other teachers have one year of experience twenty times. If you think about it for a moment, learning from experience is a miracle. The odds are that only a tiny minority of experiences really lead to learning. Therefore, what is the essence of learning from experience? What's the secret that distinguishes an educative experience from an experience that someone just undergoes? What are the barriers to learning from experience that make this process particularly difficult?

The second question refers to the problem I just alluded to. How do we deal with the fundamental ethical and moral question of what enables those of us who teach and who teach others to teach, to expose children, hospital patients, or clients to the services of someone who is, by definition, not yet ready to practice? How do we justify that? Do we simply say, "Well, it's the only way they can learn." That may be part of it, but it is a little more complicated than that.

I should also say that in this talk I'm drawing quite consciously on research that my colleague and I conducted for more than ten years at The Carnegie Foundation for the Advancement of Teaching. We studied how people are educated and prepared for a variety of

Forgive and Remember: The Challenges and Opportunities of Learning from Experience

Lee S. Shulman

President Emeritus, *The Carnegie Foundation for the Advancement of Teaching*

Charles E. Ducommun Professor of Education Emeritus, *Stanford University*

I want to talk to you this morning about a challenge that all professions face — teachers and physicians, nurses and engineers. How do beginners in the profession learn to practice their craft without endangering their clients? Indeed, how do even experienced practitioners improve their work or learn new practices without endangering their clients? Whether it is the period of teacher induction, of medical residencies, of clinical experiences for lawyers, or internships for engineers, some kind of strategy for protected practice is part of the system of educating professionals, and it raises a couple of important questions.

The first question is: How is learning from experience possible? We sometimes laugh and say that there are two kinds of teachers. Some teachers have twenty years of experience. Other teachers have one year of experience twenty times. If you think about it for a moment, learning from experience is a miracle. The odds are that only a tiny minority of experiences really lead to learning. Therefore, what is the essence of learning from experience? What's the secret that distinguishes an educative experience from an experience that someone just undergoes? What are the barriers to learning from experience that make this process particularly difficult?

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I should also say that in this talk I'm drawing quite consciously on research that my colleagues and I conducted for more than ten years at The Carnegie Foundation for the Advancement of Teaching. We studied how people are educated and prepared for a variety of

professions — as lawyers, engineers, teachers, nurses, physicians and members of the clergy like ministers or priests. There are some fascinating parallels and some exciting contrasts among these fields. This work continues to remind me of the extraordinary challenge it is to help new teachers learn to teach, as well as helping experienced teachers continue to grow in their work. It also shows me that we are not alone. In every one of the learned and service professions, similar problems are encountered.

This brings me to the title of this morning's talk, "Forgive and Remember". *Forgive and Remember* is the title of a book more than thirty years ago (1979) by a sociologist named Charles Bosk. The phrase "forgive and forget" is quite familiar in English. It describes the virtue of forgiving someone else's bad behavior by being willing to forget about it rather than remembering and remaining angry and unforgiving. However, if the goal is to improve behavior and prevent the poor behavior from occurring again, then "forgetting" is not the best thing to do.

Bosk's book is a study of the surgical residency. The focus of the book is on the management of error in the surgical residency. He begins with the observation and the recognition that in a residency (which can include any form of professional residency) errors, surprises, and mistakes are inevitable. He doesn't actually go so far as to make the assertion — which I would make — that if during the period of residency, you have structured the experience so tightly that there are no errors, you have also structured the experience to guarantee there will be no learning.

This is the dilemma: How do you manage the inevitability and even the necessity of error in the surgical residency — or any other kind of protected professional learning experience? One of the questions he asks is: What kinds of errors can be forgiven? His basic insight is that errors that are due to gaps in knowledge are forgivable — *if you don't forgive and forget*, but rather you must forgive and *remember*. His rationale is that this is a situation where you are concurrently serving clients and serving society by educating the next generation of those who will be able to serve the clients. And, since error is inevitable, the forgiveness for it rests in their being able to learn from the experience. I'm going to make the same argument that learning from experience is justifiable if what accompanies it is real memory, real learning, real understanding.

Consider the character of the induction experience in any profession, whether you think of it as part of student teaching in teacher education, in a traditional sense, or as a residency or induction year. Think about not only the inevitability, but also the necessity, for error —

and also for surprises, some which may be pleasant. In this light, what kinds of experiences are most likely to be opportunities to learn?

One of the reasons that error is so critical to understand is that it is related to the broader notion of surprise — the unexpected or the unpredicted. While predictability may be a highly desirable condition to be in, *learning* begins with accidents. It's fascinating to think about how in our earliest days of life, surprise is one of the developmental challenges that we learn to deal with. Think about playing "peek-a-boo" with a four-month-old baby. What happens? You do your peek-a-boo and the baby cries. The baby is frightened but signals, "Do it again!" You do it again, and the baby cries some more. By the third or fourth time, the baby is *inducing* surprise, and you notice that the tears are punctuated with little giggles. Talk about the management of surprise! The baby has started doing what we as a species do when we are working at our best — to seek surprise, to seek uncertainty, to seek complexity, and even though it is initially frightening, we figure out a way to manage it. We don't eliminate the surprise; we learn how to deal with it. We develop a variety of strategies. What better description can there be of learning to teach?

I am quite certain that many of the teachers in this room probably prefer forms of discovery learning, project-based learning, and problem solving by groups over constantly using a highly-structured, highly-scripted curriculum. Novices do the same thing. They want to take risks, they want to try complex, group-based, problem-solving discovery learning, and they want to do it right away. Young teachers think they are super heroes like the ones they see in the movies. Teachers who teach in that adventurous manner-whether they are young or old-are guaranteed surprise. If you want to teach in way where you will know where the kids will be, what they will know at the end of day or the week, you teach a highly-controlled curriculum. It's often a good idea. But if you want to ensure that life will be filled with surprises, keep teaching open-ended kinds of curricula.

The quest for surprise, the valuing of surprise over the predictable is really quite central to what we do as professional teachers and teacher educators. And we do it in large measure because we intuitively understand that responding to the unpredictable may be the best way for our students and ourselves to learn and to grow. We know that growing in understanding entails becoming ever more capable of dealing, not only with the predictable — we can design machines to deal with many things that are predictable — but in dealing with uncertainty and the unexpected. It's also why jokes are one of our favorite forms of communication because what is a joke? A joke is a peek-a-boo with words. Funny stories delight us because they are

designed around surprises.

This is also true with respect to invention and creativity in entrepreneurship, technology and science. As Louis Pasteur observed, great discoveries are often the result of serendipity, of chance discoveries. But chance does not bring benefits to everyone. "Chance favors the prepared mind," said Pasteur. Our challenge as teachers is to prepare the minds of our students to learn from accidents, to gain new knowledge from the unexpected. And for those of us who train teachers, that is our responsibility as well, to prepare teachers who will learn from the surprises with which students regularly challenge us.

Indeed, when your teaching is going very well, one of the indicators is that you surprise and even delight your students and they in turn surprise you. And the delight in each of your surprises is what propels the learning forward. Good research always has some form of surprise in it. Nothing is duller than a study that confirms what everybody believed already. It may be important, but it won't remain on your radar screen for very long. Good research, good jokes, and good learning experiences have the unpredictable at their center. Good science and good technology are built around a nugget of surprise, a core of serendipity. So is good teaching.

If learning from experience is so valuable and important, why is it so difficult, so unusual and so rare? I explain that learning from experience has a number of enemies that make it quite a problem. Indeed, were I speaking in the language of medicine, I would say that learning from experience encounters "diseases" that we must cure if we wish to make teacher professional development truly possible. These "diseases," these enemies of learning from experience, are Amnesia, Fantasia, Inertia and Nostalgia. They stand as daunting barriers against our goals. We shall examine each of these barriers.

Amnesia is the problem of forgetting. Even when an experience is vivid and important, it is natural that its details are forgotten soon after it occurs. Memory is difficult to accomplish. Memory is even more elusive when we are expected to remember an event that did not go well for us, that surprised us and may have been judged a failure; even those are exactly the kinds of memories from which we can learn the most. So the first enemy we must defeat is amnesia, the tendency to forget what we have experienced.

Fantasia is the second enemy of experience. This occurs when we do remember what happened to us... but not correctly. Mis-remembering what has happened is a natural and frequent experience, and it has serious consequences for the goal of learning from those experiences. I have gathered a number of examples — in medicine and in teaching, — of

professionals who are very sure they remember what they did when something either went well or did not go well, except that they have not remembered the incident accurately.

Inertia is the third enemy of learning from experience. In this case, we do remember correctly what we did, precisely and without any distortion. However, our memories are “inert”, they are like feet that have been locked into wet concrete, because we do not know where to go with the memory, we have the experience but are unable to build a new idea from it or solve a new problem based on that experience. All of you who teach mathematics know well the problems of students who remember a mathematical formula or algorithm but cannot apply it correctly when faced with a new story problem. That is the problem of inertia.

The fourth barrier to learning from experience is Nostalgia. This is an “illness” that grows more serious as adults grow older, especially among educators. Nostalgia is a state of mind in which what occurred many years in the past, when the individual was younger, grows increasingly more attractive and enlightened than it appeared to be when it first occurred. “When I was a student at school, all the teachers were much better, all the students were more serious and well-behaved, and everyone learned their lessons much more successfully.” When you “remember” how wonderful things were in the past, you also know that there is no need to reform or re-design education, one need only return to wisdom of years gone by, the genius of the past.

When all four of these barriers work together to fight against learning from experience, the challenge is great. The cure for nostalgia is better history and better information that can contradict the happy memories of a past that never was. The cures for amnesia and fantasia are systems of reflection, analysis, documentation and collective review that help fill the gaps of memory and repair the distortions of recollection. The cure for inertia is the development of better forms of professional development that support teachers to document and analyze their experiences more critically, reflectively and collaboratively and to use those analyses to make their experiences more instructive and their memories more illuminating.

At the heart of these processes is the mindful development of “artifacts of teaching and learning” to support memory and reinforce reflection and self-analysis. The Chinese practices of “lesson study” are one example of the creation of interactive artifacts as aids to memory and reflection. We shall now examine some examples of what these artifacts might be.

Artifacts Support Learning from Experience

Let’s keep that in mind as we ask: “What makes learning from experience difficult?”

One thing that makes learning from experience terribly difficult is that experience is like dry ice: it evaporates at room temperature. As soon as you have it, it's gone. So one of the big problems we have in learning from experience is that we need to be able to examine, to analyze, and to reflect on the experience, but experiences fade. They not only fade, they get distorted. How many times have you been in a situation where you were absolutely sure you did something, and it turned out you didn't? Why don't we think that happens when we are learning from experience as we learn how to teach? Even if we know what we did, it's very hard to know what the consequences were for the students. But learning from experience implies that we not only have a way of looking at what we did, but at what the students learned. Too often what the students experience and learn is more invisible to us than our own ability to recount what we did.

My question to you is: How can we learn from experience if what we're supposed to be learning from disappears from view as soon as it happens? I think an answer to this question is contained in a word that engineers use all the time. The word is "artifacts." Artifacts are things — objects, tools, instruments that human beings construct because they need them and they don't exist in nature. Constructing an artifact is by definition an unnatural act. It's an act that is an artifice, it's artificial. And yet, it is in the artifacts that we find the key to learning from experience. Videos are artifacts, stories are artifacts, and cases are artifacts.

Judy Shulman's work with teachers constructing narratives about the surprises and challenges of their own practice and then writing those as cases and producing casebooks exemplifies this principle, as does her work with teachers who must prepare portfolios of their work. Every one of those teachers learns from having reflective and analytic conversations about his or her practice; the subsequent writing of a case produces an artifact that others learn from. That's an example of "forgive and remember." Judy Shulman will be discussing this work in her keynote address later today.

One of the things that creating an artifact does is to force us to stop what we were doing, to interrupt the flow of our daily work. That's why it's often so annoying. Nurses are often utterly annoyed by the necessity of having to enter all that stuff into the patient's chart. But let me ask you: Wouldn't you love it if every teacher who was serving the children you are teaching entered onto a common chart what they had done and what they observed during their time with the student? But it's annoying. You have to stop what you were doing previously to create the artifact.

The anthropologist Elinore Ochs at UCLA studied a group of physicists, and one of the

things that surprised her was how annoyed the physicists were about having to “stop doing physics” because it was time to prepare a paper for the next research conference of physicists. In order to make their presentations, they had to stop and review and ask themselves: What did we really learn? How can we represent what we have learned in a more compressed, elegant and economical fashion? They almost always had to invent new artifacts — diagrams that compared and illuminated things they had done, figures that summarized what they had learned. Ochs reports a fascinating finding — they didn’t really *stop* doing physics in order to prepare their paper. They stop doing *one kind* of physics in order to do an absolutely necessary *other kind* of physics. They start asking themselves, “What have I really learned? How can I talk about it in ways that will educate the rest of my community?” By stopping and creating new artifacts that didn’t naturally emerge from what they had been doing, they elevated their their own understanding of what they were doing, and raised it up an order of magnitude. Simultaneously they learned and their community learned. But again, this happens only if they’re prepared to stop. So in a very paradoxical sense, you can only make progress by stopping. And often an artifact — a case, a portfolio entry, a new diagram or article — is the product of that stoppage. Indeed, the teaching has not really stopped. It has continued productively in the empty classroom (Jackson, 1968).

One of the most vivid demonstrations of this was in a study done by Anna Richert from Mills College. Anna explored the conditions under which the reflections of people learning to teach become most vivid, most powerful, and most fruitful. She found there were two conditions that were important, if not necessary, for that to happen: (1) The richer the set of artifacts that represented the practice or the experience that had been undertaken, the more powerful was the reflection; (2) Having a partner to reflect *with* you. These two conditions are related because if all the partner has to work with is the dry ice of memory, and it’s *your* memory not the partner’s memory, it’s a much less powerful experience than if you’re sitting there with a video of the class, with samples of student work, or with a piece of the journal you wrote immediately after the class. Suddenly reflection becomes, not grasping for the fading wisps of memory, but working together on the shared artifacts that are now available to all members of the conversation. And I guess I would argue that these are principles that can be generalized: that learning from experience almost always entails learning from, with, and through the artifacts that are generated to capture and display and preserve the experience. If you do artifact construction self-consciously, learning is much more likely to occur in the conversations that follow.

Here again, as is the case with Judy Shulman's work on having teachers stop and create artifacts of memory, reflection and shared analysis, learning from experience is supported by creating things that are visible, critically examined and interrogated in collaboration with peers, and can be preserved so others can learn from them.

Second-Order Artifacts: Beyond Reflection and Conversation

But I am not prepared to stop there because we still have to address the question of professional integrity, the moral or ethical question that I raised earlier. Let's say the artifacts capture a really messy bit of teaching you have engaged in. Is the fact that you can learn from those artifacts sufficient moral justification for your students and you to have undergone that experience? I would argue "not quite." There is one more piece of the puzzle that must be filled in. It rests on the notion that learning from reflection on your own practice cannot possibly be the major source of professional learning.

Think about it for a moment. You are one teacher, and you teach one classroom at a time to a particular group of students. If your professional development was wholly dependent on what *you* learned from your experience, who would ever trust a professional? Would you like to go to a physician who only knew what she was able to learn from her experience? Or to a surgeon who only knew what he knew from the mistakes he had made? Don't you have to go further? I would say "yes." For us to justify learning from experience as an explicit strategy of professional education, those experiences not only must be educative through reflective analysis and conversations, they must also be transformed into a second-order artifact, an artifact of scholarship.

What is scholarship? It is what human beings do to create organized ways to learn from one another. Scholarship is a communal activity whose fundamental premise is that what we can learn as individuals is only a tiny sliver of what we need to understand as a community. Therefore we must create new artifacts that represent, explain, and project what we have learned in ways that others can learn from. If our experience begins as a benign surprise for an embarrassing error, whatever we come to understand through looking at first-order artifacts can in turn be transformed into second-order artifacts. Those could be cases, teacher portfolios, or videos of different kinds. Only then are we in the realm of "forgiving and remembering."

People make fun of the fact that scholars pepper their manuscripts with footnotes and references. But every footnote and every reference reminds us that our piece of individual