

## 摘要

随着 21 世纪知识经济和信息时代的到来，全球经济一体化进程加速，国家之间在政治、经济、文化、军事等各个方面的竞争、合作、交流日益频繁和加深，国与国之间的依存性与日俱增，各个国家将教育改革与发展列入国家发展战略的高度。各国开始重新审视本国的教育目标、教育理念、教育方法和教育内容，审慎思考本国的人才培养目标是否能够适应 21 世纪世界政治、经济、科技和文化的飞速发展，重视语言教育对于人才培养和国家发展的意义和价值。本研究立足于我国基础教育课程教材改革的大背景，对我国中小学外语教育政策的执行现状和执行效果进行调查，深入探究影响外语教育政策执行的主要因素。

本研究旨在回答以下四个研究问题，包括：（1）上海市外语教育政策文本链的衔接性如何？（2）基层执行者视角下，上海市外语教育政策执行现状如何？

（3）哪些因素影响了外语教育政策的执行？上述因素是如何影响外语教育政策执行的？（4）基于上述因素，如何构建我国义务教育阶段外语教育政策执行路径？根据研究问题，分别对本研究所采用的文献研究法、理论分析、文本分析法、历史逻辑分析法和个案法等对研究问题进行探究，通过问卷、访谈和文本材料等数据的三角验证，总结本研究的主要发现，凝练本研究的结论。

从现状研究发现，上海市中小学外语教育政策执行取得了良好的效果，外语教育政策得到了较好的贯彻实施，外语教育政策链条运行顺畅，上位政策对于下位政策具有统领作用，体现出较强的政策效力和良好的政策衔接性，但是政策话语较为抽象，可操作性较弱。外语教育政策执行机构设置合理、并能够根据教育教学实践进行及时的调整，执行机构责权范围明确，执行机构所开展的政策活动以提升教育质量为核心要务，政策活动形式多样、内容丰富，具有较强的系统性，但是执行机构及其工作人员与基层执行者教师间的沟通有待加强。外语教育政策执行者自身的专业素养较高，如学科专业知识、教学技能、政策素养、教育理念等，同时具有较高的自主性和能动性，为外语教育政策“落地创生”奠定了良好的人力资源基础。外语教育政策执行的人力资源、物力资源和财力资源丰富，但也有待进一步优化配置。上海市正在全力将上海打造为国际经济中心、国际金融

中心、国际贸易中心和国际航运中心的国际化大都市，此城市发展目标和发展战略为上海市外语教育政策的执行营造并奠定了良好的政治、经济、文化环境。

依据问卷所收集的数据分析表明，影响政策执行者教师执行上海市中小学外语教育政策的因素主要包括政策、政策执行机构、政策执行资源和政策环境四个因子，按照影响的大小排序分别是政策执行机构、政策执行资源、政策和政策环境，通过多元回归分析，因子模型达到了较好的拟合度。由此可知，以上四个因素对于执行者教师执行外语教育政策具有正面促进作用。继而，通过对定量数据和定性数据的分析，笔者从政策、执行机构、执行资源和政策环境四个方面，探讨适合我国国情的外语教育政策执行路径。

本论文共分为八章：第一章为绪论，主要包括研究背景、研究缘起、研究目的、核心概念、研究意义、研究路径、论文框架以及论文的整体结构等；第二章为文献综述，回顾语言教育政策研究的国内外发展历程，探讨了国内外“外语教育政策（语言教育政策）”、“外语教育政策执行（语言教育政策执行）”两个核心概念相关文献综述，总结研究的重点和热点，分析当前研究存在的不足；第三章为理论基础，厘清核心概念“语言教育政策”和“语言教育政策执行”，并从政策体系、政策执行模式入手，分析本研究的理论依据；第四章为研究设计。首先，本章以第三章厘定的核心概念框架为基础，划分语言教育政策执行的阶段，结合公共政策执行模式和教育政策执行的特点，厘定本研究语言教育政策执行分析框架；其次，详述研究对象、研究问题、研究方法、研究过程；第五章为上海市中小学外语教育政策链衔接性分析，回顾上海市中小学外语教育政策制定的背景，介绍和分析政策链上的政策文本内容，剖析政策效力和政策链的衔接性，客观评价政策链发展状态。第六章为外语教育政策执行现状调查结果与讨论，围绕上海市初级中学外语教育政策执行现状和影响因素两大主要问题对调查问卷、访谈和文本资料进行分析和讨论；第七章为适合我国国情的外语教育政策执行路径建构，从政策本身、政策执行机构、政策执行资源和政策环境等方面探讨对教师执行外语教育政策的影响，结合以上因素间的互动关系，总结适合我国国情的外语教育政策执行路径；第八章为结论，总结和回顾本研究的主要研究内容、研究结论，阐述本研究的创新点和局限性，最后对未来研究进行展望。

**关键词：**外语教育政策；政策执行；英语教育

## Abstract

With the development of the knowledge economy and the information age, the globalization has accelerated in the 21<sup>st</sup> century. And the competition, the cooperation and the exchanges between countries have become increasingly frequent and deepening. Hence, countries have placed the educational reform, particularly the education development, as one of the national development strategies. Paying much attention to the value of language education, countries have begun to re-examine their educational goals, educational ideas, educational methods and content, and meanwhile the majority carefully consider whether their national talent cultivation objectives can adapt to the rapid development of global politics, economy, science and technology and culture. Based on the domestic elementary education curriculum reform, this study investigates the status quo and effects of foreign language education policy(FLEP) enactment in primary and middle schools in Shanghai, and explores the main factors influencing the enactment of FLEP.

The following four research questions are addressed: (1) How does the chain of Shanghai foreign language education policies work? (2) What is the enactment of FLEP like in Shanghai from the perspective of teacher actors? (3) What factors affect the enactment of foreign language education policy? How do the above factors affect the enactment of foreign language education policy? (4) Based on the above factors, how to construct the foreign language education policy enactment path? Accordingly, this paper explores the research questions with literature research, theoretical analysis, text analysis, historical logic analysis and case study, and conclude the research findings of this study.

The analysis of status quo of FLEP enactment in Shanghai primary and secondary schools from the perspective of teacher actors shows that FLEP has been well enacted, and the FLEP chain runs smoothly. Particularly, the superior policy has a leading role in the lower policy with good policy enforcement. Even though the policies are coherent in a linear way, the policy discourse is more abstract and less operational. The structure

of FLEP institutions can be adjusted timely to meet the needs of the education practice and the clear administration and division of respective institution ensure the policy activities to enhance the quality of education. But for the policy implementation, the communication and collaboration between institutions and actors within them needs to be strengthened. The FLEP actors, i.e. teachers, have their own professional accomplishment, such as content knowledge, pedagogical skills, policy literacy, and educational philosophy, etc.. More importantly, teacher actors have high autonomy and self-efficacy for foreign language education policy ‘enactment’, which has laid a good human resources foundation. Even though the human, material and financial resources are rich in Shanghai, all of them need to be further optimized. The fact that Shanghai is striving to become an international metropolis of international economic center, international financial center, international trade center and international shipping center has laid a good political, economic and cultural environment for the FLEP enactment.

From the perspective of teacher actors, there are four factors affecting the FLEP enactment in Shanghai primary and secondary schools and the sequences from strong to weak are as follows: the executive institutions, the policy implementation resources, the policy and the policy environment. Through the multiple regression analysis, the factor model achieves the good fit degree. It can be seen that the above four factors have a positive role in promoting teacher actors to enact FLEP. The author explores the path of FLEP enactment which is suitable for China, based on the analysis of the interaction among the factors of teacher actors, policy, executive institutions, policy resources and policy environment.

This paper is divided into eight chapters: The first chapter is the introduction, which includes the research background, the research purposes, the core concepts, the research path and the overall structure of the paper; the second chapter is the literature review, which probes into the relevant researches on the two core concepts of language education policy and FLEP enactment. The third chapter is the theoretical foundation, which clarify the core concept of language education policy and language education policy implementation, and elaborates the policy enactment framework. The fourth

chapter is the research design. In this chapter, the research questions, research methods, research process are clarified. The fifth chapter is the analysis of FLEP chain in Shanghai primary and secondary schools, which examines the background of foreign language education policy formulation, introduces and analyzes the policy texts, and policy enforcement and policy coherence as well as evaluates policy chain development objectively. The sixth chapter is the results and discussion part. Data from questionnaires, interviews and text materials about the status quo and affecting factors of FLEP enactment are carefully observed and explained. The seventh chapter discusses the influence of teacher actors on FLEP enactment and how to establish the paths to enact FLEP in China. The eighth chapter is the conclusion part. It includes the conclusion of the research, the innovation and limitations of this research and finally looks into the future research of FLEP.

**Key words:** Foreign Language Education Policy; Policy Enactment; English Education