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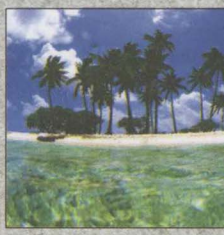
郭继东 著

中国EFL学习者过渡语交际策略研究



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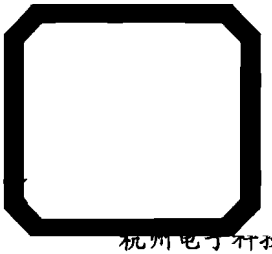

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内容简介

本书采用定性分析和定量分析相结合的方法，对中国EFL学习者的过渡语交际策略进行了研究，研究问题基本涵盖了中国学生英语口头交际的主要情况。

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前　言

如果从 Selinker 于 1972 年率先在《过渡语》一文中提出“交际策略”(communication strategies)这个概念算起,人们对二语交际策略的研究已有 40 年的历史。其间,学者们从不同角度对交际策略进行了比较全面、系统的研究,取得了一系列成果,对丰富和完善二语习得和应用语言学等领域的研究、提高语言教学和学习的效率做出了重要贡献。本书在系统回顾和分析上述相关成果的基础上,结合中国英语教学的实际情况,对中国 EFL 学习者的过渡语口头交际策略进行了研究。本研究的选题主要基于以下几个方面的考虑。

首先,交际策略是二语学习者过渡语系统形成的重要认知因素之一(Selinker, 1972),反映了学习者过渡语的发展状况;另外,第二语言教学和学习的基本目标是培养学习者使用目的语的交际能力,而策略能力是交际能力的重要组成部分。所以,对二语学习者的过渡语交际策略进行研究,对于丰富过渡语研究和改善二语教学与学习都有重要的理论和实践意义。

其次,交际策略研究本身存在一定的不足。尽管研究者已经进行了多年的研究,但对一些相关问题的看法存在分歧(刘乃美,2006),研究视角有待进一部拓宽,有些观点缺乏系统的论证和分析。例如,很多学者(Tarone, 1977, 1983; Corder, 1981; Færch & Kasper, 1983; Nakatani, 2006) 都认为交际策略用以解决学习者遇到的交际问题, Dörnyei 和 Kormos (1998) 还列举了 4 种典型交际问题的成因,但是关于交际策略与交际问题的具体相关性的成果并不

多见,相关定量研究成果尤其缺乏。语言交际有多种形式和情境,但现有的研究成果多集中于一般的口头交际,对于口译和口试等情况下的交际策略研究成果非常鲜见。另外,中国的交际策略研究相对不足(刘乃美,2006;张荔,2008),有的还仅停留在对交际策略理论的引介和分析方面(刘乃美,2006)。鉴于此,本书对中国 EFL 学习者的过渡语交际策略进行探索性研究,以期为丰富和完善交际策略研究,提高外语教学和学习效率,做一定的贡献。

最后,研究中国 EFL 学习者的过渡语交际策略是提高他们 EFL 交际能力的需要。中国 EFL 学习者人数众多,但是大多数学习者经过多年的英语学习后,依然不能有效地用英语与人交际(吴庄,文卫平,2009;刘俊,肖亮荣,2011)。许多已通过 CET4 或 CET6 考试的学生也严重缺乏交际能力(刘国辉,2009)。就英语专业的学生而言,情况也不容乐观。刘芹(2008)的研究表明,甚至在通过 TEM4 的学生中,有相当一部分人的英语口头交际能力薄弱。中国外语教育重知识积累,不重交际能力的培养,是造成大部分英语学习者语言应用能力较低的原因之一(戴炜栋,张雪梅,2001)。事实上,语言技巧的培养并不能保证获得交际能力,过分强调句子的操练或练习反而容易抑制交际能力的发展(Widdowson,1999:67)。因此,学习者不仅要学会语言,而且也应该掌握在具体交际场合运用所学语言的策略(Littlewood, 1990:4)。所以,把中国学生的外语过渡语分析、错误分析等与交际策略和学习策略等研究相结合,必将有助于更深刻地揭示中国学生学习外语的特点,有助于中国外语教育改革的实践(戴炜栋,束定芳,1994),对于提高中国外语教学水平,促进中国学生外语交际能力的发展,具有重要意义。

本书采用定性分析和定量分析相结合的方法,对中国 EFL 学习者的过渡语交际策略进行了研究,研究问题基本涵盖中国学生英语口头交际的主要情况,主要包括三个方面的内容:一是中国

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EFL学习者学习和生活中的一般性口语交际策略、交际问题以及二者的相关性；二是口试交际策略；三是口译交际策略。定性分析主要用于对交际策略和交际问题的确定和分类以及对定量分析结果进行补充，定量分析用于明确交际策略的分布及其与相关变量的关系。研究工具主要包括问卷、访谈、课堂讨论和观察等。除了作者观察、访谈或与之进行相关讨论的学生以外，参与问卷调查的被试共728名，他们分别来自我国东北、华北、华中和华东等区域的7所高校。本书的主要研究发现如下。

首先，就交际策略和交际问题而言，中国EFL学习者使用频率最高的交际策略是求助、回避和拖延策略，他们遇到的最大的三个交际问题是目的语文化不足、相关专业知识不足和缺乏交际技巧。令人深省的是，目的语能力不足在被调查的9个交际问题中排第四位。回避、求助和母语策略与绝大部分交际问题存在统计意义上的显著正相关，即学习者遇到的交际问题越多，就越频繁使用这三个交际策略，而其他策略很少与交际问题呈显著正相关，个别策略与交际问题呈负相关。所以整体而言，中国学生不擅长运用交际策略，策略能力不理想。另外，学习者所学专业（英语和非英语专业）、性别、目的语水平和使用英语交际的经历对交际策略的使用和交际问题的程度以及类别也有不同程度的影响。

其次，中国学生在英语口语测试中使用的交际策略依次是回避、拖延、目的语策略、非语言策略和母语策略。他们的英语综合水平与回避和母语策略呈显著负相关，口语水平与母语策略呈显著负相关，即他们的综合英语和口语能力越强就越少用这两种策略。另外，相对非口试的情形，中国学生在口试的情况下使用更多的回避策略，较少地使用其他策略，而且差异显著。但整体而言，他们在口试时使用的交际策略比在非口试情况使用的交际策略明显少很多。

最后，鉴于有关口译交际策略的直接研究成果尚不多见，仅有的几个相关研究也是基于一般意义的交际策略分类，本书首先

探索性地把口译交际策略分成了6大类别：主旨信息获取策略、主旨信息表达策略、求助策略、使用预制模式策略、结构重组策略和记忆与检索策略。由于大部分在校生没有或很少有实际口译经历，口译课堂上的练习机会也不多，对很多口译交际策略只停留在是否应该使用的认识层面，所以本书随后只对中国学生口译交际策略的观念进行了调查。结果表明，整体而言，被试对口译交际策略的一般性认识比较统一，持比较肯定的态度；对于大部分具体口译交际策略，被试都比较趋于认同，尤其认同预制模式策略；求助策略观念与被试的目的语水平呈现非常显著负相关。女生更接受预制模式策略，较不接受求助策略。

除了摘要、参考文献和附录以外，本书在结构上由五部分组成。第1章是导言部分，介绍本研究的理据、目的、主要研究问题和本书框架；第2章是文献综述部分，回顾、对比和分析了交际策略研究的相关文献；第3章也是本书的第三部分，集中介绍了本研究的主要方法；第四部分是研究结果和讨论部分，由第4章、第5章和第6章构成；最后，第7章是第五部分，是本书的结论。

本书是在作者博士学位论文的基础上完善、扩充而成的。在本书即将付梓之际，首先由衷地感谢我的博士论文导师，上海外国语大学英语学院梅德明教授，梅老师渊博的学识、严谨的治学态度和睿智幽默的沟通方式，无不使我受益匪浅。还要感谢我的硕士论文导师，吉林大学外国语学院伊秀波教授，作为我的学术启蒙老师，伊老师指引我走上了学术研究之路。另外，在三年多的构思、定题、写作和修改过程中，作者得到过国内、国外多名专家学者、教师和学生的不同形式的指导和帮助，在此一并表示真诚的谢意。

由于作者水平有限，书中难免存在不足之处，希望专家和同行不吝指正。

作者

2012年元月于杭州

Abstract

Research on L2 (second language[①]) communication strategies (CSs) has a history of 4 decades starting from 1972 when Selinker coined the term of interlanguage, the product of five central cognitive processes, one of which is communication strategies. Studies on CSs have contributed a lot to both the development of some fields such as applied linguistics and second language acquisition, and L2 teaching and learning. Based on the systematic review and analysis of the previous studies on CSs, this book mainly explores the Chinese EFL learners' strategies in interlanguage communication. The selection of this research topic comes out of following considerations.

First, learner's employment of CSs is a reflection of both the degree of their interlanguage development and their communicative competence. The study of CSs can provide insight into how interlanguage changes and develops as language learners become increasingly proficient in the target language (Corrales and Call, 1989). In addition, it's universally acknowledged that the ultimate goal of the second language learning and teaching is to develop learners' communicative competence, one of whose components is the learners' strategic competence. Therefore, it is of great importance to study learners'

① This term refers, in the present study, to both second language and foreign language.

CSs in interlanguage communication.

Second, previous studies on CSs are inadequate. CS research has been carried out for many years, but there are sill controversies over relevant issues (Liu Naimei, 2006); CS research in the Chinese EFL learning environment is relatively rare (Zhang Li, 2008:14), and the focus of some studies is only on introducing and analyzing theoretical aspects (Liu Naimei, 2006). Many researchers such as Tarone (1977, 1983), Corder (1981), Færch and Kasper (1983) and Nakatani (2006) claim that CSs are what the second language learners take to deal with the communication problems they encounter; Dörnyei and Kormos (1998) distinguish 4 main sources of L2 communication problems: resource deficits, processing time pressure, perceived deficiencies in one's own language output, and perceived deficiencies in the interlocutor's performance, but there is still a lack of quantitative research exploring how communication strategies and communication problems are related. Furthermore, verbal communication takes several forms and occurs in different situations; however, previous CS studies both at home and abroad mainly focus on learner's oral communication in general; few explore CSs in oral tests and very few touch upon CSs in interpreting, although both of them are also forms of communication. Thus, there remains much room for exploration and improvement in the field of CS research.

Third, since strategic competence is one of communicative competence, it is necessary to study Chinese EFL learners' CSs in order to know more about and improve their communicative competence. Now in China, the quality of English education is recognized, to some degree, as important as national successes especially after China's entry into WTO (Yang Jun and Li Xiaoxiang, 2008: 6). There are a large

number of EFL learners in China, but vast majority of them are still not able to communicate effectively in English which they have been learning for many years (Wu Zhuang and Wen Weiping, 2009). Chinese students start English learning in their childhood, and many of them have never stopped learning English until they obtained their bachelor's degrees, master's degrees or even doctor's degrees, but most of them can not open their mouths and make themselves understood in English (Zhang Yaoxue, 2008). Many students who have already passed the CET4 and CET6 are still deficient in the ability to communicate in English (Liu Guohui, 2009). Some other studies (Wen Qiufang et al., 1999; Wen Qiufang, 2001; Liu Qin, 2008) have also found out that a fairly high percentage of English majors failed to attain a satisfactory level of oral English proficiency. Thus, there must be some problems in China's EFL education.

One of the problems in EFL education in China is that greater importance is attached to the accumulation of knowledge rather than the development of EFL learners' ability to use the language (Dai Weidong, 2001; Dai Weidong and Zhang Xuemei, 2001). According to Widdowson (1999: 67), linguistic skills are one of the components of communicative competence, but not the reverse; the acquisition of linguistic skills does not seem to guarantee the consequent acquisition of communicative competence and even over-emphasis on drills and exercises for the production and reception of sentences would tend to prevent communicative competence from development. Therefore, "the learner needs to acquire not only a repertoire of linguistic items, but also a repertoire of strategies for using them in concrete situations." (Littlewood, 1990: 4)

In view of the above situations, this study examines the Chinese

EFL learner's strategies in interlanguage communication. To be more exact, it focuses on Chinese EFL learner's strategies in oral communication rather than written communication, since the former is in much greater need of improvement than the latter. Thus, this study addresses research questions on CSs from 3 perspectives: (1) Chinese EFL Learners' communication strategies, communication problems and their correlations; (2) communication strategies in the oral test; (3) communication strategies in interpreting. The major findings are as follows.

First of all, with regard to CSs and CPs, of the 9 investigated categories of CSs, the most frequently used CSs are appealing, avoidance and stalling; the first three biggest problems the subjects reported having are DSLC, DTPK and DCS. DSL is ranked the fourth of all 9 types of communication problems, which is really a thought-provoking phenomenon. Avoidance, appealing and L1-based strategies have significant positive correlations with most of the CPs, suggesting that the more CPs the learners have, the more frequently they employ these strategies. Few of other strategies are positively correlated with the CPs. Therefore, to a certain extent, Chinese EFL learners are strategically unskilled in EFL communication. Furthermore, CSs and CPs also vary in terms of the learner's major, gender, proficiency of English and communication experience.

Secondly, in the oral test, avoidance and stalling are used most frequently; non-verbal and L1-based strategies are employed least and L2-based strategies fall in between. The learners' general proficiency in English has significant negative correlations with avoidance and L1-based strategies and their oral English proficiency is significantly and negatively correlated with L1-based strategies. The subjects reported

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using avoidance very significantly more and other CSs less in the testing situation than in the non-testing situation. Moreover, the total CSs were used in the oral testing situation with very significantly lower frequency than in the non-testing situation.

Finally, this study classifies CSs in interpreting into six categories: gist-delivering, gist-obtaining, asking for help, using prefabricated patterns, and memorizing and retrieving. Based on this classification, the Chinese EFL learners' beliefs are investigated. On the whole, the learners tend to accept the general beliefs about CSs in interpreting, and they also hold positive beliefs about specific CSs in interpreting, especially the strategy of using prefabricated patterns, but the strategy of asking for help is an exception. The strategy of asking for help correlates negatively with L2 proficiency and the correlation is very significant. Females and males differ significantly in the beliefs about some strategies which are more acceptable to females than to males. But females reject the strategy of asking for help more than the males do.

Based on these results, this book discusses the theoretical and pedagogical implications of this study and presents some suggestions for further research.

List of Abbreviations

CS	Communication strategy
CSs	Communication strategies
CET4	College English Test Band-4
CET6	College English Test Band-6
CP	Communication problem
DCS	Deficiencies of communication skills
DSL	Deficiencies of L2
DSLC	Deficiencies of L2 culture
DTGK	Deficiencies of topic-related general knowledge
DTPK	Deficiencies of topic-related professional knowledge
EFL	English as a foreign language
FL	Foreign language
FP group	Group of fewer problems
IL	Iinterlanguage
L1	First language
L2	Second language
MP group	Group of more problems
NTFC	Negative transfer of L1 and culture
TEM4	Test for English Majors Band-4
TEM8	Test for English Majors Band-8
TEM4-Oral	Test for English Majors Band-4 Oral Test

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