

中国外语博士文库

构建外语环境下的 中介语发展认知心理模式

任庆梅 著



高等教育出版社
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序（一）

中国正在全面地融入经济全球化的浪潮之中，国际竞争日益激烈，其核心在于人才竞争，人才竞争的根本落脚点是教育。在我国经济持续发展并面临进一步扩大开放的历史新阶段，外语教育发展已经成为我国新一轮经济与社会持续发展的基础和动力。因而，开放的时代背景为我国外语教学提供了广阔的展示空间，同时，也促使外语教学进行更深层次的研究与变革。

我国的外语教育发端较早，正规英语教育也有百年多的历史，在新中国成立后的50多年中取得了长足的进步。尤其是改革开放以来，我国高等外语教育规模不断扩大，先后在外语语言学基础理论、外语教学法、教材与课程建设、师资队伍培养、外语教育技术运用、人才培养模式探索等方面都取得了令世人瞩目的成绩。应当指出，我国外语教学效果虽然不断得以提高，也积累了丰富的经验，培养了大批优秀的外语人才，但尚不能令人满意。其中的重要原因就是我们对外语教育的复杂性、科学性和体系性等特点尚缺乏全面而深刻的认识，在很大程度上忽略了结合所处具体教育环境所展开的事实求是的研究。学习和掌握一定的国外外语教学理论和教学实践的研究成果，批判性地借鉴和汲取其中的有益成份并积极付诸于具体教学实践，有助于广大外语教师结合我国外语教学现状，摸索出一套具有中国特色的外语教学模式。

正是本着这样的宗旨，我的博士生任庆梅教授在对我国外语教学现状进行积极调查研究的基础上，密切结合国内目前外语教学实践，系统地借鉴和吸收多个领域的新理念、新观点和新方法，以严密、合理的逻辑体系和简洁、流畅的语言，经过三年多的勤奋和努力，终于完成了《构建外语环境下的中介语发展认知心理模式》这部专著，为构建适合我国国情的外语教学理论和实践体系作出了积极而有益的尝试。

归结起来，这本专著的基本思想具有三个主要特点：第一，本书从构建外语环境下中介语发展认识心理模式的视角全面吸收了哲学、教育学、应用语言学、认知心理学、心理语言学、二语习得等诸多学科的观点，并加以批判性的评述，讨论和概括了它们与构建外语环境下中介语发展认知心理模式的联系，引导读者基于自身的教学体验理解语言科学研究和语言教学实践之间的相辅相成的关系。第二，本书强调理论知识在外语教师专业发展中的重要指导作用，从中透射出的理念是：有效的教学实践是建立在把握优秀的教学理论的基础上的，缺乏理论知识必然要削弱外语教师的动机、责

任、专业地位及专业意识，教师持续性专业发展必须依靠充实的理论知识从而使教师获得学术独立性。当然，作者并非要求读者照搬现成的理论，而是期望读者通过阅读本书能够对构建外语环境下的中介语发展认知心理模式逐步形成比较全面而成熟的理念，从而有助于指导读者具有个性化特点的教学实践，使他们在设计和开展具体教学活动时获益。第三，本书并非为阐释外语环境下的中介语发展认知心理过程提供现成的答案，而只是提供一个能用来分析外语环境下中介语发展认知心理过程的理论框架，以培养和提高读者的自我判断能力和创新意识。同时，更倡导教师继续参与以外语课堂为基础的调查研究，本着尊重事实的客观态度，反思其正在或已经形成的教学理念，从而不断提高教学效果，并促进其专业发展。

总之，本书论述脉络清晰，遵循理论与实践相结合的论证体系，引导读者采取批判性思维方式，领会书中精髓，倡导既要用理论指导实践，同时也要不断用实践来完善理论。我深信，阅读本书，一定会让读者从中受益匪浅。

是为序。

戴炜栋

2008年3月于上海外国语大学

序(二)

无论是在外语环境下,还是在二语环境下,学习母语以外的语言,都要经历一个重要的过程,那就是中介语的发展过程。中介语是外语或二语学习者在学习语言的过程中产生的语言系统。这种语言既不同于学习者的母语,也不同于学习者正在学习的目的语,而是一种不太完善、不断变化和发展的语言系统。只要学习者不终止学习过程,中介语就不会停止发展。

语言学习的环境对语言学习的过程和结果有重要影响。在外语环境下和在二语环境下,学习者的中介语发展过程是有区别的。目前,有关中介语发展过程的研究大多数是以二语环境下的语言学习者为研究对象。关于外语环境下中介语发展过程的研究不多见;系统研究中国英语学习者的中介语发展过程的研究更是少见。任庆梅教授的专著《构建外语环境下的中介语发展认知心理模式》是这方面研究的得力之作。

全书共有九章。第一章从理论角度对中介语概念、构成中介语系统的外显知识和内隐知识等重要问题加以梳理,同时阐述了本项研究的目的和方法。第二章系统地回顾了国内外中介语认知心理研究的成果,尤其是国内研究者在该领域取得的成就及存在的问题。在此基础上,第三章从输入和互动的角度探讨环境因素对中介语发展的影响。第四章论证了在外语课堂环境下“聚焦于形式的教学”(focus on form)对中介语发展的重要促进作用。第五章聚焦于语法教学,探讨语法教学的概念、元语言意识与学习策略的关系、外显式教学与内隐式教学的作用等问题。第六章讨论了学习者如何借助于更多的语言输入以及在语言输出中得到的反馈来检验自身形成的语言假设,从而不断地重新组织逐渐发展的中介语规则。第七章关于学习任务的讨论主要涉及在吸收和借鉴二语习得理论的基础上设计和执行学习任务。借助于以上各个章节所探讨的内容,第八章尝试构建外语环境下的中介语发展认知心理模式,并提出该模式对外语教学的新要求。最后一章是对全书主要观点和结论的回顾和总结。

可以看出,本书在考察研究我国外语教学环境特点的基础上,借鉴国内外中介语发展的具有代表性和前瞻性的理论观点和研究成果,探究外语环境下中介语发展的认知心理过程,归纳总结出目前国内外语学习的认知心理基础和特点。同时,整合多家理论之长,结合实证调查,探索和研究符合我国国情的外语环境下中介语发展认知心理模式的构建理据。本书并非只是向读者提供一个构建外语

环境下中介语发展认识心理模式的理论框架，而是提供一个思考和探索研究的园地，一个鼓励外语教师结合自身的具体教学环境提高自身专业素养的阶石，踏上去后会发现一个更广阔的通过思考和探索能够对教学理论、教学方法和技巧等进行自主选择和再创造的专业发展空间。

本书作者是一位优秀的外语教师。她结合自己的教学进行本项目研究，展示出了一种非常值得肯定的教师教育理念：一名优秀的外语教师，不仅要具备扎实的语言基本功，掌握必要的语言学科知识和语言技能，具有较强的跨文化交际能力，而且也要掌握丰富的教学知识，能够根据所处具体教育环境的实际需要选择恰当的教学方法和技巧，并开展相应的科学研究。而以上所有这些能力和素养的形成都基于对外语作为语言发展系统的认识 and 对外语学习过程特点的研究。

本书中的调查研究既是对构建适合我国国情的中介语发展认识心理模式的一次有益尝试，同时也是为促进广大外语教师专业发展提供了一个值得借鉴的学习资源。我深信，该书的出版一定会受到广大外语教师的欢迎。

程晓堂

2008年5月于北京师范大学外文学院

Acknowledgements

This book was completed at the College of English Language and Literature, Shanghai International Studies University in 2007. Many people have helped me during my study in Shanghai International Studies University. They have given a great deal of intellectual and personal help in the process of writing the book. Professionally, I am definitely the product of the very stimulating environment of Shanghai International Studies University. It is the teaching, lecturing and help of a lot of scholars there that have bettered my understanding of the second language acquisition (SLA) study and its relevant subjects.

First and foremost, a special debt of gratitude goes to my supervisor, Professor Dai Weidong, who fueled my interest in SLA study from the very beginning. His continued support and encouragement has propelled me through the whole study. His critical readings of my term papers and informative advice have been of utmost significance in my becoming academically trained. His serious scholarly and academically practices and his agreeable personalities have influenced me immensely. He helped me acquire the confidence to undertake this project and he has been extremely helpful in his very constructive criticism of the earlier drafts of the book. I am very fortunate to have him as my supervisor. I have benefited a lot not only from the numerous discussions I had with him, but also from his enlightening lectures on SLA study and sociolinguistics, the two courses which have paved the way for the selection and determination of the present topic. Without him this work would have been impossible. To him, I owe much more than words.

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continually refresh my curiosity about SLA study and applied linguistics. A partial list would include Shu Dingfang, Zou Shen, Xu Yulong, Zhang Xuemei, Zhang Yigang, Cheng Jianlin, Yu Dongming, Feng Hui. Their contribution to my work in general and this study in particular has been extremely valuable.

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Last, but not least, thanks should go to my family. My family has given me the greatest encouragement and support all through my school studies and research work. Particularly, my husband and my daughter have given me the deepest love to support my work. Without their help and support, the completion of this book would not have been possible.

To conclude, it needs pointing out that, although I have incorporated many an invaluable and suggestive view, any errors of misjudgment or oversight in this study, however, are solely my own responsibilities.

A List of Abbreviations

CA	Contrastive Analysis
CMC	Computer-mediated Communication
CR	Consciousness Raising
CPH	Critical Period Hypothesis
EFL	English as a Foreign Language
ELT	English Language Teaching
ESL	English as a Second Language
FFE	Focus on Form Episode
FL	Foreign Language
FT	Foreigner Talk
IE	Interaction Enhancement
IL	Interlanguage
LAD	Language Acquisition Device
LAP	Language Acquisition Process
L1	First Language
L2	Second Language
NL	Native Language
NNS	Non-native Speaker
NS	Native Speaker
OE	Output Enhancement
PDP	Parallel Distributed Processing
SD	Standard Deviation
SLA	Second Language Acquisition
TEFL	Teaching English as a Foreign Language
TESOL	Teaching English to Speakers of Other Languages
TL	Target Language
UG	Universal Grammar

内容摘要

本研究的意义在于通过分析中介语发展所涉及的认知心理学发生因素,结合我国目前外语教学环境的特点,尝试建立外语环境下的中介语发展认知心理模式,目的是寻求一个既在理论上站得住脚、又在实践上行得通的位置,为我国目前外语课堂环境下中介语发展研究提出一个新视角,也为我国外语教学提供一个具有较高解释力的框架,从而为改善外语教学实践、促进教师专业发展提供新的思路和理论依据。

任何语言教师都具有支配其教学活动的关于语言学习的一套理论原则,这种理论或许并不明晰,即教师并未意识到这些原则对自己教学行为的支配作用。事实上,正是依靠这些明晰的或隐含的理论,教师进行课堂决策的选择(如教学方法和教学内容的组织等)来驾驭语言教学过程。本书试图通过对中介语发展过程所涉及的认知心理学因素的研究探讨,帮助外语教师将自身关于中介语发展的内在理论加以外显化,因为充实而前沿的理论知识在外语教师持续性专业发展中的重要性已经得到国内外语言教学研究者的广泛认可和支持(如, Furlong et al 1996; Lightbown 2000; 2003; Wilkin 1999; Mitchell 2000; Lawes 2003; Kramsch 2003; 戴炜栋2001a)。缺乏理论知识会削弱外语教师的动机、责任、专业地位以及个人专业意识,教师持续性专业发展必须依靠充实的理论知识从而使教师获得学术独立性(intellectual independence)。当然,本书虽然强调丰富而扎实的理论知识在外语教师专业发展中的重要性,但决不主张理论可以脱离实践,因为“只有将这些理论——付诸于教学实践才能真正理解它们对教学语境的意义”(Lightbown 2003:10)。

本书共由九个章节组成。第一章从理论角度对中介语概念、构成中介语系统的外显知识、内隐知识分类等若干重要问题加以梳理,为以后的论述做好充分铺垫。同时,还阐述了本项研究的目的、方法,并对全书的整体构架进行大致说明。第二章综合回顾有关国内外中介语认知心理研究的理论和观点,尤其是我国在该领域内取得的成就及存在的问题,并且在此基础上采用理论整合的方法,通过对文献的综述和归纳,概括出这些理论所共同涉及的影响中介语发展的若干重要方面以及它们之间的关系,并指出,文献综述概括出的因素之间的关系作为本书的基本理论框架。

语言输入和教师与学习者以及学习者之间的互动活动是中介语发展必不可少的前提。因而,第三章着重从输入和互动的角度探讨环境因素对中介语发展的影响,主要涉及语言输入的作用、语言输

入的有效处理、FT的动态性特征、否定反馈对语言输入处理的影响、学习者注意“信息沟”、显度与非显度、输入的真实性等问题。

当语言学习完全以意义为中心时,即使接收有意义的语言输入多年并参与互动交流活动,学习者对于某些语言特征的掌握最终仍不能够达到本族语者的语言水平。学习者的内部因素,尤其是对语言形式的注意程度和对语言形式的意识持续时间,都会对中介语的发展产生影响。在语言信息处理过程中,如果学习者对语言形式的注意程度提高,则有助于发展其对语言知识的归纳能力,更有利于目的语系统的构建。基于这样一种观点,第四章着重探讨在外语课堂环境下“聚焦于形”式教学对中介语发展的促进作用。

然而,中介语发展趋势并非单向性的,因此学习者也不可能按照某种线形序列掌握语法大纲中的语言项目。教师可以采用各种教学手段强调输入中的新项目、规则或规律,使之更简化或细化。第五章聚焦于语法教学,通过对语法教学的概念介绍、元语言意识与学习策略的关系、外显式教学与内隐式教学以及母语的作用等问题的探讨,得出结论认为,鉴于中介语发展的非线性特征,教师应当引导学习者积极参与课堂学习任务的完成,鼓励其通过对语言例证的思考,得出关于目的语系统如何起作用的结论,以此来提高学习者对要掌握的语言特征的意识。

当学习者反复注意到某个语言项目时,他们就会产生对该语言项目的感知,并且有意识地构建新的假设来接纳所注意到的信息与他们目前的中介语水平之间的差异。第六章认为,学习者借助于更多的语言输入以及在输出中使用新的语言项目而得到的反馈来检验自身形成的新假设,这些逐渐发展的中介语规则在语言使用过程中不断得以重新组织,学习者对这些规则的运用更加有效。在这个过程中,假设验证、认知比较、注意到中介语系统与目的语系统之间的差异以及中介语系统自身的不足,皆被视为引起重构发生的“催化剂”。

学习者能够得到输出目的语的机会并接受反馈对于促进中介语系统的发展极为重要,学习者可以借此了解他们要输出的目的语形式与自身目前中介语系统的局限性之间的差距。对于外语环境下的学习者来说,这些输出机会必须借助于学习任务来得以实现。第七章关于学习任务的讨论主要涉及在吸收和借鉴二语习得理论的基础上设计和执行学习任务。当然,关于任务特征和设计原则的讨论必须考虑在内。但是,即便是设计良好的任务在执行过程中也会有不同的形式,因而本章还包括在外语环境下学习任务的实施。

借助于以上各个章节所探讨的内容,第八章尝试构建外语环境

下的中介语发展认知心理模式，并提出该模式对外语教学实践的新要求，如输入和互动中的篇章与任务的真实性、利用语料库丰富语言事实、采用OE和IE设计具有“聚焦于形”特点的学习任务、利用更多的技术支持创造最佳学习环境、促进学习迁移、培养语言意识、对外语教师专业发展的新要求等等。最后一章是对全书主要观点和结论的总结，从理论和实践角度分别提出该模式对外语教学的指导意义以及本项研究的局限性，并指出本课题有待进一步研究的方向。

不可否认，研究影响中介语发展过程必然要涉及多个变量。而本书并无意于对其中所有的变量加以探讨，而是力图从认知心理学角度探讨涉及中介语发展的重要观点和因素，构建基于我国外语教学环境特点的中介语发展认知心理模式，目的是帮助外语教师丰富自身理论素养并且增加教学技巧，不是简单的授之以鱼（具体的教学方法和技巧），而是授之以渔（教学方法所基于的本质和原理），从而赋予外语教师以批判性思维，不断发现和解决问题，使教学目的和过程与不断更新的教育理念达到统一，这正是本书的主旨所在。倘若本书能够帮助广大外语教师结合所处的具体教学环境对自身已有的理论知识加以重构，即便只是微小的程度，那么笔者认为在本研究过程中的一切努力和付出都是值得的。

事实上，关于外语课堂环境下的中介语发展模式所涉及的各类认知心理因素研究仍有待于进一步深入，直到得出科学的结论。从理论角度看，随着应用语言学、认知心理语言学和二语习得研究等领域的不断发展，各种理论和观点层出不穷，关于外语课堂环境下的中介语发展认知心理模式的争论在将来的研究中仍是一个热点。从教学实践角度看，对于在语言课堂中如何从认知心理学角度促进学习者中介语发展这样一个复杂的问题，鉴于教育环境的复杂性，如教学大纲、教材的不同、学习者的学习风格、动机的不同、学习者的语言水平、教师的理论素养、学校以及学习者的要求不同等等，不可能有一个简单的解决办法。然而随着研究的不断深入，笔者相信关于中介语发展的认知心理模式会越来越全面、越来越有解释力和指导意义，而从这些不断涌现的理论和原则中，教师一定能够发现有助于自己在教学实践中做出决策的依据。

Abstract

The purpose of this book is to provide a model from the perspective of cognitive psychology for IL development in EFL setting and to find a pedagogically sound and empirically grounded position as guidelines for EFL instruction. As far as possible, the book will not consciously project any single approach or theory concerning IL development as received opinion. Indeed, this is not possible at the moment, as the study concerning IL development is still in its initial stage and there are still more questions than answers. And my own views on what cognitive and psychological factors are concerned in this model for IL development in EFL setting will necessarily color the account provided in this book.

It is envisaged that many readers of this book will be EFL teachers and hence the book has been written to afford them a clear idea of what happens cognitively and psychologically during the development of IL system, mainly inside the classroom. Undeniably, all teachers have a theory of language learning, i.e. they teach in accordance with a set of principles about the manner language learners perform. This theory, however, may not be explicit. As not all the teachers are aware of these implications, the book attempts to help EFL teachers make their theory of language learning explicit via an examination of the developmental process of language-learner language, i.e. IL system, and those cognitive and psychological factors concerned during this process. It is based on the conviction that teachers will be better off with explicit set of ideas about IL development (e.g. Furlong et al 1996; Lightbown 2000; 2003; Wilkin 1999; Mitchell 2000; Lawes 2003; Kramsch 2003; Dai Weidong 2001a; Wang Qiang 2003). Those merely with an implicit theory that may ignore what learners actually do. They may be not only uncritical in their intellectual engagement but also resistant to change as classroom practitioners. Gradually, they will lose the intellectual independence for their professional development. Certainly, the state of knowledge is insufficient to warrant firm pedagogical applications, that is, greater consciousness of the complex process of IL development will not guarantee more effective teaching. However, such state of knowledge about a cognitive and psychological model for IL development in EFL setting can stimulate critical

thought, challenging old principles, and maybe suggest a few new ones. And EFL teachers will become more able to read and interpret the changing dynamics of the teaching as well as learning context.

The whole book is composed of nine chapters, including the introduction at the outset and the conclusion at the end. Chapter One sets the scene for the discussion of the cognitive and psychological model for IL development as the introduction. It provides a general introduction of sources of the current research and why the present topic is chosen. In addition, what has been mentioned is a theoretical explanation of a series of focus terms and key issues as the foundation for further discussions in the following chapters. Only when we have a clear picture of what others have done in this field can the topic be well developed. Thus, Chapter Two delineates the background of the present study for the purpose of providing a theoretical framework for building a model for IL development in EFL setting from the perspective of cognitive psychology.

Chapter Three examines research that concentrates directly on the role of environmental language in promoting TL acquisition, in the shape of language input received by the EFL learners and interaction between the learners and some other conversational partner(s). Findings of a wide range of immersion and naturalistic acquisition studies suggest that when SLA is totally focused on communicative success, some linguistic features fail to develop to targetlike accuracy. This occurs in spite of years of meaningful, comprehensible input and opportunities for interaction. The inclusion of some degree of focus on form has been proposed recently in classrooms. Therefore, an exploration of focus on form in EFL classroom setting is attempted in Chapter Four on the belief that form-focused instruction is in nature an efficient approach to redirecting learner attention during input processing both within and across utterances.

Progress during IL development is not necessarily unidirectional. So it is unrealistic to master items in the grammatical syllabus in a linear sequence. And learners can be made aware of new TL items, rules, or regularities by highlighting them in the language data provided, more or less concisely or elaborately. Focusing on grammar teaching, Chapter Five suggests that what teachers can do should be to raise consciousness of particular TL features by providing learners with

activities which encourage them to think about samples of TL and to draw their own conclusions about how TL system works.

Chapter Six proposes that when a language item is noticed frequently, learners can develop awareness of it and unconsciously constructing new hypotheses to accommodate the differences between the noticed information and their current IL competence. Then they test these new hypotheses by attending to further language data and also by getting feedback on their output using the new TL item. These developing IL rules are reorganized to be most effectively deployed during language use and, eventually, to be closer to and ultimately incorporated into the TL system. During this process, hypothesis testing, cognitive comparison, noticing the gaps between IL and TL system and knowing IL deficiencies, are considered as the catalysts for restructuring.

Chapter Seven turns to learning tasks which can supply learners with opportunities to produce the TL forms and obtain feedback which has been considered particularly important for it enables learners to notice the gap between the TL system they are required or want to produce and the limitations of their current IL system. Much of the work on tasks has focused on the design of learning tasks, drawing on theories related to cognitive psychology. Thus, task features and principles that are drawn on should be taken into account. Of equal importance is a consideration of the way in which these tasks are implemented in EFL setting. Even the well-designed tasks can be used in various ways.

The intention of this study is not to develop a radically new account of how IL development is influenced by instruction but rather to provide an economical explanation which is consistent with the theoretical positions and researches discussed in previous seven chapters. Drawing on the discussions in the previous chapters, Chapter Eight seeks to construct a model for instructed IL development in EFL setting from the perspective of cognitive psychology.

Chapter Nine is the conclusion. It includes the retrospect and prospect of the whole book, in which the author summarizes the central themes of book, addresses its limitations and points the way for future book. Some conclusions and implications for pedagogy are presented. It is suggested that the model established can be appli-

cable in EFL teaching as well as learning and benefits especially those teachers who intend to obtain intellectual independence. In particular, it is pointed out that there is a pressing need for a further empirical as well as theoretical base for establishing the cognitive psychological model in EFL setting. To sum up, although the study has nowhere exhausted the topic at issue, it does add an important dimension to the understanding of IL development in EFL setting, which enables us to recognize the limitations in conceptualizing teaching only in terms of methodology and teaching content transmitting.

Undoubtedly, there are actually many variables affecting the IL developmental process. However, the study in this book has consciously not attempted to cope with all these variables. What this study has tried to mention are those factors which are believed by the author of this book to be significant for building a cognitive psychological model in EFL setting, for the purpose of assisting teachers enrich their theoretical knowledge as well as broaden their repertoire of teaching techniques. Based on a critical intellectual engagement with language teaching and learning and education in general, teachers with a strong sense of professional identity will not only wish to improve their practical teaching techniques collaboratively with their colleagues, but also want to continue to develop their theoretical knowledge to enhance their capabilities as classroom practitioners. If the book is able to help our readers reconstruct their theoretical knowledge as well as teaching practices in some way critically as a result of the endeavors made here, then the author of this book would consider the writing to have been well worthwhile.

As to factors which are cognitively and psychologically related to the model for IL development in EFL setting, the debate will continue with much more ample evidence. Theoretically, with the development of many disciplines such as applied linguistics, cognitive psychology, psycholinguistics and SLA study, more theories and ideas about the model for IL development in EFL classroom setting will emerge to make this topic keep being a focus of discussion. Practically, there is not, and probably never will be, any single solution to the intriguing problem of building a model for IL development from the perspective of cognitive psychology in EFL setting. Nonetheless, with more researches to be carried out, the author of this book believes that the