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剑桥英语教师丛书

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# 情感与语言学习

Jane Arnold 编

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## 情感与语言学习

Jane Arnold 编

程晓堂 导读

\* \* \*

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# 总序

刘润清

外研社和人教社联合推出这套“剑桥英语教师丛书”,以配合全国中小学英语教师的培训工程。付印之前,他们把这套丛书拿给我看,并让我写个总序。说实话,一看到这20个书名,我就十分喜欢,因为它们是外语教师培训中经常提到的题目;再看作者,大部分是应用语言学领域里颇有名气的研究者,如 Gillian Brown, William Littlewood, Jack C. Richards, David Nunan 等,于是我就愉快地接受了他们给我的任务。

我翻阅了这20本书,并阅读了《面向21世纪教育振兴行动计划》和其他有关中小学骨干教师的培训计划和实施方案。可以说,“剑桥英语教师丛书”涉及的知识面广(包括外语教学理论、外语教学实践、外语测试理论、外语教学研究中的方法),内容实用,文字通俗易懂,是中小学英语教师培训的好教材,它的引进出版必将加强外语专业的教材建设,一定会推动基础外语教育的改革。

细心的读者会发觉,在英语文献中,师资培训这个概念已变化三次。开始,人们都使用 teacher training 一词,但后来许多人认为,training 一词更多是指技术、手艺上的培训,是培训教书工匠的,对教师的通才教育和智力开发是不加过问的。于是出现了 teacher education(师资教育)这一用法,意思是说,这种培训不再只教给老师明天的听力课或阅读课如何如何去上,而是开设普通语言学、应用语言学、语言测试和评估、科研方法等课程,提高教师的理论意识,扩展他们的思维空间,很像我们讲的素质教育。但是,后来人们还是觉得“师资教育”对教师限制多了一些,因为这仍然只是把现成的理论或发现告诉教师。于是,最近常使用的概念叫 teacher development(师资发展),更加强调在“教育”的基础上,鼓励教师去反思自己的教学,观察自己的课堂行为,评估自己的教学效果,开展“教学行为中的科研”(action research),也就是说,教给教师如何在教学实践中验证别人的发现,形成自己的信念、反思自我,使每一次决定都有根有据,每一

个判断都有理论支持。此外,还有一个中性的词叫 teacher preparation。这里不妨引用两段话加以说明。在 *Beyond Training* 一书中,作者强调说: Without discounting the importance of basic teaching skills in teacher preparation, the orientation to teaching discussed in this book is an attempt to look beyond these dimensions of teaching to the beliefs, knowledge, and thinking that underlie their successful use. The argument pursued throughout the book therefore is that teacher education needs to engage teachers not merely in the mastery of rules of practice but in an exploration of the knowledge, beliefs, attitudes, and thinking that inform such practice。在 *Second Language Teacher Education* 一书中,作者说: An alternative approach to the study of teaching and to the development of goals for teacher preparation programs is the examination of the total context of classroom teaching and learning in an attempt to understand how the interaction between and among teacher, learner, and classroom tasks affect learning. This can be called a holistic approach, since it focuses on the nature and significance of classroom events and involves both low-inference and high-inference categories. Such an approach implies different goals for teacher preparation: “Holistic approaches work towards training goals not all of which can be broken down into individually verifiable training objectives, and they stress the development of personal qualities of creativity, judgement and adaptability... The formulation of prescriptivist nature of a mere ‘Vocabulary training’ approach to [teacher training in TESOL] is contrasted by holists with an ‘education’ in more general principles” (Britten, 1985a: 113)

“中小学骨干教师国家级培训方案”恰好符合“师资发展”这个基本精神。文件规定的培训内容包括:1. 教育理论与教学技能。着眼于提高中小学教师的理论文化素养,开拓视野,更新知识结构,提高职业成熟度,增强学术能力和自我提高能力;2. 教育教学实践与考察。着眼于提高中小学教师在教学中实施素质教育的能力,加强理论指导教学实践的能力,为形成教学风格和教学特色打基础;3. 课程研究。着眼于提高中小学教师的科研意识和研究能力,善于发现和掌握教育教学规律,善于反思性地总结,增强创新能力。这套“剑桥英语教师丛书”为这个实施方案的落实提供了教材上的保证。这20本书中,有几本是关于外语教学理论的,如 *Foreign and Second Language Learning*、*Psychology for Language Teachers*、*Affect in Language Learning*、*The Context of Language Teaching*,有几本是

关于语言教学技能和实践的,如 *Teaching Listening Comprehension*、*Developing Reading Skills*、*Beginning to Write*、*Lessons from Nothing*、*Teaching the Spoken Language* 等;有两本是关于语言测试与评估的: *Testing for Language Teachers* 和 *Classroom-based Evaluation in Second Language Education*;有两本是关于外语教学中的科研方法的: *Understanding Research in Second Language Learning*、*Action Research for Language Teachers*;还有三本是关于师资发展的: *Second Language Teacher Education*、*Beyond Training* 和 *Reflective Teaching in Second Language Classrooms*。有关教师培训的这三本书也可以看做是有关教育理论和外语教学理论的著作。对一项中小学英语教师培训工作来说,这样几种内容就是足够用的了。

我建议,本套丛书的使用者注意两点:第一,这套书不仅仅传授技巧,更重要的是提供思想和方法;不是提供对问题的现成答案,而是告诉你各种理论观点和看法;阅读它们的最终目的不是要知道一篇课文如何来教,而是要知道如何进行创造性的思维。换句话说,这套书不是培训“教书匠”的,而是培训善于思考的教师和研究者的。每位语言教师对外语应该如何教和如何学都是有自己的信念的,只是有的教师的信念不可明白而已。学习语言教学理论,就是把你的信念理论化,让你在见到多种不同看法之后,根据自己的经历,形成自己的、有根有据的、可以言明的教学观点,并在实践中不断完善这种观点。只有这样,你在将来的实际工作中所作的决定才不是盲目的,而是有根据的,有一种自我反思和自我纠正的机制。

第二,本套丛书的读者应该努力初步掌握外语教学中的科研方法,学会设计小型的科研项目,学会进行课堂观察,设计问卷,经常写教学日志,会抽样、会收集各种数据、会统计和分析数据等。一旦学会进行研究,教学过程就不会再那么枯燥(因为你随时都在反思眼前所发生的一切),学生的语言错误不再那么令人愤怒(因为学生的中介语系统能告诉你许多鲜为人知的学习理论)、教、学、科研将会成为一个有机的整体(教与学不断向科研提出新的问题;科研不断反馈于教和学)可以设想,如果我们的绝大部分中小学英语教师都能做到以上两点,我国的基础英语教育会出现质的变化。

祝贺“剑桥英语教师丛书”在我国的出版!

祝中小学英语教师国家级培训工程圆满成功!



This book is dedicated to Earl Stevick. For many foreign and second language professionals, much of our information about language teaching has come to us from his work. But, more importantly, our attitude towards language teaching, our relationship with the people in our classrooms and our vision of what we would like to achieve as language teachers have all been influenced by his thinking. And I stress the word *thinking* – deep, experience-based thinking – because in Earl Stevick’s writing what predominates is not the little statistic, although it may also be there to inform us, but the big idea to inspire us. In his dialogue with the reader, we find ourselves in the presence of a philosopher and a master storyteller, as well as a great language teacher and teacher trainer. For many of us Earl Stevick’s work has been not only a significant factor in the origin of our interest in the affective aspects of language learning and teaching but also a continuing source of wisdom for our minds and our hearts as we strive to develop our students’ second language abilities and their potential as human beings. It has touched and enriched our lives.

Jane Arnold, Seville, 1999

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‘Why There Can Be No Best Method for Teaching a Second Language’, pp. 38–41 from *The Clarion, Magazine of The European Second Language Association*; Figure 1, p. 49 from *Working with Teaching Methods: What’s at Stake?* by Earl Stevick © Heinle & Heinle; ‘I like you, you’re different’, ‘Fortune cookies’, ‘How strong I am’, pp. 190–1, from *Caring and Sharing in the Foreign Language Class: A Sourcebook on Humanistic Techniques* by Gertrude Moskowitz © 1978 Heinle & Heinle; Figure 1, p. 252 from *Visionary Leadership Skills* by R. Dilts © Meta Publications, P.O. Box 1910, Capitola, CA 95010, USA.

## Preface

The term 'feeling' is a synonym for emotion, although with a broader range. In the older psychological literature the term 'affect' was used. It is still used to imply an even wider range of phenomena that have anything to do with emotions, moods, dispositions, and preferences.

(Oatley and Jenkins 1996:124)

As an English teacher in Singapore, Bob is concerned with creating materials that are of relevance to his students' lives in order to increase the motivational effectiveness of his classes and to develop his learners' potential on both linguistic and personal levels. Janice, a textbook writer and teacher in the UK, feels it is important to communicate positive messages in the classroom to enhance students' self-esteem since their beliefs about their abilities strongly influence their performance. In his intermediate-level English classes in Argentina, Vicente considers very carefully his treatment of errors in order to maintain a relaxed atmosphere in which his students are not afraid to speak. Meg, a researcher in the USA, has found that personality factors are closely related to how language learners' feelings affect their learning behaviours. As she trains ESL teachers in Australia, Donna encourages them to expand their awareness of the person behind whatever method they use in the classroom. Working in very different contexts, all of these educators are involved with affect in language learning.

When dealing with a topic as varied as the affective aspects of second and foreign language learning, we can recall the well-known fable of the blind men who come across an elephant. One touches a leg and says, 'Ah, ha. An elephant is like a column'. Another touches the trunk and says, 'No. An elephant is like a thick rope'. A third, touching a large, rough ear, says, 'Oh, that can't be. An elephant is like a carpet'. Each, touching only one part, conceived of the whole in a very different way. None was entirely wrong in his perception, and yet none really understood what an elephant was.

Likewise, the affective domain in language learning can be ap-

proached from several quite different but not mutually exclusive perspectives, such as the mainly theoretical, the empirical, the humanistic or the experiential. This book aims to bring together some of the many varied facets of the whole picture for the reader. Both novice and experienced second and foreign language teaching professionals can find much in *Affect in Language Learning* to guide their classroom practice. Similarly, those involved in the planning of language courses, materials developers and students of applied linguistics can benefit from a greater knowledge of the role of affect in language learning.

Specialists in language teaching often do not agree about the relative importance of theory and practice. Writing of educators in general, Howard Gardner, Harvard professor and creator of the influential theory of multiple intelligences, notes that 'theorists wish that their methods could be instantly transferred to the untidy and unpredictable classroom, while practitioners search for the generative power of an appropriate theoretical base for their techniques' (Gardner 1993:120). In this book the place of both theory and practice is recognized since neither should be ignored when dealing with language learning. Thus, a basic theoretical introduction to each topic is generally provided, and then some practical applications for the foreign and second language classroom are included.

The authors in this volume are not proposing that attention to affect will provide the solution to all learning problems or that we can now be less concerned with the cognitive aspects of the learning process, but rather that it can be very beneficial for language teachers to choose to focus at times on affective questions. Countering allegations that these matters are not part of teachers' obligations, Underhill (1989:252) points out that 'teachers who claim it is not their job to take these phenomena into account may miss out on some of the most essential ingredients in the management of successful learning'. Indeed, from one point of view we are abdicating our responsibility if we do not address these questions. Bruner (1996) reminds us that if our educational institutions do not deal with values and affective issues, such as self-esteem, which are the basis for healthy value systems, learners will turn to a myriad of 'anti-schools' that will certainly provide them with models – though very probably not the most socially desirable ones.

Affective language learning fits within what appears to be an emerging paradigm that stretches far beyond language teaching. There is evidence from a wide variety of fields which indicates that attention to affect-related concepts is playing a very important role in the solution to many types of problems and in the attainment of a more fulfilling way of life. British law enforcement officers are making use of contributions from Neuro-Linguistic Programming to be more 'affectively' sensitive.

Olympic ski teams and other sports participants incorporate visualization techniques as a regular part of their training to put themselves into optimal affective states. Stress management programmes are blossoming in business centres all over the world. British architect Norman Foster is known for designing buildings which, while using the most advanced technology, are especially adapted to transmit feelings of tranquillity and well-being to the people who will use them. Violinist Yehudi Menuhin, working with MUS-E International, a multicultural educational project, has pointed out that education today is directed towards training learners' thinking rather than their emotions. He stresses that there is a need to create a voice to give a vehicle for emotion and calls for a change in the present educational system (Fancelli and Vidal-Folch 1997). Fritjof Capra (1982) has documented further signs of this paradigm shift in areas such as physics, medicine, psychology and economics.

In very diverse areas of experience there is a growing concern for humanistic approaches and for the affective side of life. Perhaps the common ground upon which all rest – both in language learning and the greater whole of society – is a desire to contribute to the growth of human potential.

In this book *diversity* is indeed a key word. Diversity in the areas of learning experience covered. Diversity in the backgrounds of the contributors – geographic diversity (from Europe to North and South America and Asia) and professional diversity with contributors involved in foreign or second language research, teaching and teacher training in state and private educational facilities, on primary, secondary and tertiary levels. Yet within this variety there is a communality among the authors, a sense of unity in the commitment to a type of teaching that makes the book in a very real sense the product of a gathering of friends.

After the first chapter, in which Jane Arnold and H. Douglas Brown present an overview of affective factors related to language learning, our incursions into the domain of affect are within three main spaces. The first deals with aspects located within the learner, such as memory or personality traits, the second is mainly in the realm of the teacher, and the third brings us to the interactional space, where the resources at our disposal are put to use. However, these 'spaces' are, of course, not elements which can be topographically circumscribed. The chapters within them are rather like dunes in the desert which shift positions around a few permanent oases that serve as orientation. In the concluding chapter, Joy Reid takes a brief look at several general issues, including learning styles, an area that has been touched on in several parts of this volume, and points to directions for future research.

After each of the three main parts there is a list of questions and tasks. This is offered as a way to bring the reader into dialogue with the authors, either through individual reading or in classroom group discussion. Hopefully, additional questions will be raised and will lead researchers to illuminate new areas of affective language learning.

With whatever I have done to prepare *Affect in Language Learning* – thinking, planning, writing, editing, revising – work and pleasure have, at every moment, been indistinguishable, indeed a perfect example of flow. At different stages in the maturation of the volume, I have been fortunate to have received a good deal of assistance. In the Mesón del Moro in Seville, in what were once Moorish baths, working lunches, first with Mario Rinvoluti and later with Doug Brown, provided the occasion to reflect on the direction the volume was to take and to clarify aspects of its development. Grethe Hooper Hansen injected enthusiasm and vision into the project when she was in Seville in 1995 for a conference on Humanistic Language Teaching. At the same conference I had the undeniable pleasure of spending many hours throughout the week conversing with Earl Stevick about the book and language teaching and learning in general. All four have provided invaluable continued support. Both at the 1997 TESOL Convention in Orlando and later, Madeline Ehrman offered many useful suggestions. My colleagues in the English Language Department at the University of Seville have also helped in several ways; a special thanks to Mary O’Sullivan. My gratitude also goes to Tim Murphey and Leo van Lier for their helpful ideas and to Tammi Santana and Jo Bruton for proofreading. Financial support for aspects of the preparation of the book was made available by the Junta de Andalucía.

Alison Sharpe at Cambridge University Press provided encouragement from the very beginning. Had it not been for that, this book might have been just another good idea which never got off the ground. Mickey Bonin’s editorial assistance in the later stages and comments on the manuscript from the reviewers were most appreciated.

Facing the beginning of the third millennium, all evidence points to the fallacy of Pangloss’ advice to Candide; this certainly does not seem to be the best of all possible worlds. Thus, change is advisable, though not easy. Margaret Mead said, ‘Small groups of thoughtful concerned citizens can change the world. Indeed it is the only thing that ever has’.

It is my hope that this book, written by a number of thoughtful, concerned authors, may contribute to the process of change by reaching out to a special group of people – the worldwide language teaching community

## 导 读

语言学习中的情感问题越来越受到重视。很多一线教师和研究者都从不同角度和侧面对语言学习中的情感问题进行了大量的研究。但目前的情况就像盲人摸象,大家都摸到了一部分,得到的认识虽说不算错误,但都不太全面。作者编撰本书的主要目的之一就是把情感研究方面有代表性的研究结果综集起来,以更读者对语言教学中的情感问题有一个较为全面的认识。本书结集的文章既有探讨理论问题的,也有交流实践经验的。

不管是在东方还是在西方,以往及目前的教育在情感方面都有两个误区。第一,重视知识和智力的发展,忽视情感发展,以致于出现“情感空白”(emotional illiteracy)。其后果是使受教育者人际关系淡薄、精神方面不健全,身心不能得到全面、健康的发展。第二,忽视情感与认知之间不可分割的关系。在教育中,过于重视认知能力的培养,而且在培养认知能力的过程中,忽视情感的影响。研究表明,当人处于某种消极的情感状态时,认知活动自动停止。即使不停止,认知活动也不会有实际效果。

对语言学习中情感问题的关注其实由来已久,只不过人们对它的态度时冷时热。过去先后出现的教学法如暗示法、沉默法、社团语言学习、全身反应法、自然法等都特别强调语言学习中的情感问题。但在这些方法受到冷落以后,情感问题也就不再提及。20世纪70年代以来,语言教学研究的重点从研究教师如何教转向学习者如何学。其中一个重要研究领域是关于造成学习结果差异的学习者个体因素(individual differences)。在这一背景下,研究人员又开始关注情感因素对语言学习的影响,讨论较多的情感因素有态度、动机、个性、焦虑、移情、自信心等。应该说,对情感问题的研究目前已经取得不少成果,有些研究成果已经应用到语言学习和语言教学实践中。

值得注意的是,研究和解决情感问题并不意味着解决语言学习中的所有问题。关注情感问题也并不意味着否认学习中认知活动和认知能力



的重要性。事实,研究情感问题的主要目的之一就是探讨情感对认知过程的影响。语言学习主要还是通过认知过程实现的。当然,情感的意义并不只是局限在语言教学中,它是人的发展的一个重要方面。本书各章节的论述有两个共同点:第一,如何在语言学习和语言教学中发展学习者积极、健康的情感,促进人的全面发展;第二,如何研究和解决语言学习和语言教学中为情感问题,提高语言学习和语言教学的效果。

本书多数章节的理论基础是人本主义心理学(humanistic psychology)和以人为本的教育思想。在教育中,受教育者首先是人,然后才是学习者。要解决学习问题,首先要解决人的问题。举一个很简单的例子,如果一个人最基本的生理和心理需要得不到满足,就不可能全身心地投入学习。情感不仅是人本身的需要,也是其他生理和心理活动的前提条件和操作平台。研究表明,语言学习和语言教学中的情感是绝对不可忽视和回避的问题。

本书共分A、B、C、D、E 5个部分。第一部分(即第一章)是导论,主要综述与情感有关的一系列因素,如焦虑、抑制、个性、动机、学习风格、移情等。第二部分(第二至六章)主要是从学习者的角度探讨情感对语言学习过程和结果的影响。第三部分(第七至十章)主要探讨教师在语言教学中如何处理自己的情感问题。第四部分(第十一至十七章)主要讨论教师与学习者相互关系中的情感问题以及课堂教学中的情感问题。第五部分(第十八章)为后记,是全书内总结,同时也提出了情感研究中的一些问题。

在第二、第三和第四部分的前面,编者对本部分章节的主要内容进行了概括性介绍,以便让读者有重点地阅读。在这几个部分的后面,编者还设计了一些理论结合实际的思考题。

本书的撰稿者都是语言教学专家。其中的 Douglas Brown、Rebecca Oxford、Mario Rinvolucri、Earl W. Stevick 以及编撰者 Jane Arnold 都是语言教学界的权威人士。全书写作严谨认真,深入浅出。在大力提倡素质教育的今天,相信本书对我国外语教育实践的改革有很大的指导作用。本书适合从事外语教学和研究的教师、大学外语专业的本科生及研究生阅读。