

程 工 / 主编

解放军外国语学院英语博士文库

The CLE Mental Lexicon:
Nature and Developmental Pattern

张淑静 著

中国英语学习者心理词汇：
性质与发展模式

河南大学出版社

*Monographs by Ph.D Holders,
English Department, PLA UFL*

程 工 / 主编

解放军外国语学院英语博士文库

The CLE Mental Lexicon: Nature and Developmental Pattern

张淑静 著

中国英语学习者心理词汇：
性质与发展模式

河南大学出版社

*Monographs by Ph.D Holders,
English Department, PLA UFL*

图书在版编目(CIP)数据

中国英语学习者心理词汇:性质与发展模式/张淑静著. 一开
封:河南大学出版社,2004.12

(解放军外国语学院英语博士文库.第二辑/程工主编)

ISBN 7-81091-293-3

I. 中… II. 张… III. 英语-心理语言学-英文 IV. H31

中国版本图书馆 CIP 数据核字(2004)第 124945 号

书 名 中国英语学习者心理词汇:性质与发展模式
作 者 张淑静

出 版 人	王刘纯	责任编辑	王超明
责任校对	皓 月	责任印制	苗 卉
装帧设计	张 胜·生生书房		

出 版	河南大学出版社		
	地址:河南省开封市明伦街 85 号	邮编:	475001
	电话:0378-2864669(行管部)	0378-2825001(营销部)	
	网址:www.hupress.com	E-mail:	bangong@hupress.com
经 销	河南省新华书店		
排 版	河南大学出版社印务公司		
印 刷	河南第一新华印刷厂		
版 次	2004 年 12 月第 1 版	印 次	2004 年 12 月第 1 次印刷
开 本	650mm×960mm 1/16	印 张	17.5
字 数	268 千字	印 数	2500 册

ISBN7-81091-293-3/H·130 定 价: 29.00 元

(本书如有印装质量问题,请与河南大学出版社营销部联系调换)

序 言

张淑静博士的大作《中国英语学习者心理词汇：性质与发展模式》即将付梓，张博士与文库主编程工博士均嘱我作序。张博士作为我的学生，让我说上几句，自在情理之中；程博士与我过从甚密，闲暇常小酌，更有学术之交流，受益匪浅，不敢违命。我欣然应之。

1987年，蒙恩师桂诗春教授厚爱，招至门下，我作为桂先生的“开门弟子”赴广外研修心理语言学，倾时五载，幸得先生学术心得之一二。一晃近20年过去了，虽也得些虚名，却无大建树。如今，我的“开门弟子”张淑静博士顺利完成学业，且其刻苦钻研、潜心向学的精神为同事所称道，其论文深得学界大家首肯，这是值得我自豪，也是让我深感宽慰的。

心理语言学是一门年轻的学科，在中国的发展不过二三十年，虽经众多学者的努力，已取得很多学术成果，但研究所及，不过冰山一角。而在众多有待深入研究的领域中，心理词汇当属热点之一。研究心理词汇，可从不同角度切入：既可研究单语者，也可研究多语者或二语学习者；既可静态地研究心理词汇的结构特征，也可动态地跟踪其形成过程。张淑静博士用实证的方法研究了中国英语学习者的心理词汇，其所主要关注的三个方面——结

构特征、与英语母语者心理词汇的差异、发展变化规律——均为心理词汇研究中的薄弱之处。以我看来，更值得肯定的是，其研究不乏独创之见，颇具理论价值：有助于解决有关二语心理词汇性质的语音观和语义观之争，有助于解决二语心理词汇结构与母语心理词汇结构的异同之争，有助于增进对二语心理词汇发展模式的了解，进而有助于丰富和发展心理词汇（尤其是二语心理词汇）的研究理论。此外，该研究对于如何科学高效地开展二语词汇教学也有许多真知灼见。鉴于词汇教学历来是外语教学中的瓶颈或难以逾越的障碍，张博士的研究定会给外语教师和学生以诸多启发。

以上当否，相信读者读过张博士的著作后自有鉴别。打住。
是为序。

李绍山

2004年6月

前 言

本研究旨在：(1) 通过调查二语学习者的心理词汇表征并比较二语心理词汇和母语心理词汇之间的差异，来发现二语学习者词汇知识结构是否合理及二语词汇习得过程中存在的问题；(2) 通过调查二语心理词汇的历时变化来找出二语心理词汇的发展规律。

随着心理词汇研究逐步发展成为一个独立而又热门的学科，心理词汇的研究大量涌现出来。但这些研究主要集中在母语心理词汇上，相对而言，对二语心理词汇的研究要少得多，很多问题还没有加以研究或还没有定论；而鉴于二语习得的复杂性，我们又不能想当然地把母语心理词汇的研究结论硬套在二语心理词汇上——二语心理词汇的问题需要独立的研究加以澄清。对二语心理词汇的发展变化的跟踪研究则更少。本研究正是出于这一需要而设计的。

本研究要调查的三个问题是：

- 1) 二语心理词汇是语义的还是语音的？
- 2) 二语心理词汇中的词汇联系与母语心理词汇中的词汇联系是否有着系统的差异？
- 3) 随着词汇知识的不断增加，二语心理词汇是否会逐步由语

音向语义发展?

本书由七章组成。第一章简略介绍词汇在语言学及语言教学中地位的变迁。

第二章综述心理词汇研究领域中的相关文献。心理词汇的研究始于对母语者心理词汇的调查。主要问题包括:心理词汇中储存的是什么?这些内容是如何组织的?人们又是如何提取相关内容的?双语心理词汇的研究问题主要集中在双语者的两种语言的储存方式上:这两种语言到底是储存在一起呢还是分别独立储存呢?二语心理词汇的研究领域中的一个重要问题是:二语心理词汇与母语心理词汇到底是相似还是相异?就母语心理词汇而言,目前已有定论:母语心理词汇本质上是语义的。而就二语心理词汇的性质还存在争议:既有研究表明它是语义的,也有证据表明它是语音的。

第三章介绍本研究的设计。本研究由三个实验组成。实验 1 包括一个词汇联想测试(要求受试给出一个反应词)和一个词汇知识深度测试。受试为 40 名解放军外国语学院四年级英语本科生和 19 名以英语为母语者。实验 2 是一个词汇联想测试,与实验 1 所不同的是,此实验要求受试给出三个反应词,以更全面地调查二语心理词汇中的词汇联系。来自解放军外国语学院的 30 名三年级英语本科生和 30 名具有硕士学位的年轻英语教师及美国佐治亚州的奥古斯塔州立大学的 30 名学生(以英语为母语者)参加了本实验。实验 3 是一项跟踪调查。该实验历时 9 个多月,共有三次测试,解放军外国语学院的 33 名二年级英语本科生参加了所有的测试。

第四章报告实验 1 得出的结果及对这一结果的分析。通过对实验数据的统计分析,本研究得出下列结论:

第一,整体而言,二语学习者产出的语音反应比例最高,而母语者产出的聚合型反应比例最高,表明语音联系在二语心理词

汇中起着主导作用。第二,就非常熟悉的词而言,二语者和母语者一样,产出的聚合型反应比例最高。但二语者产出的语音反应比例仍然比母语者高得多。第三,就中等熟悉的词而言,二语者产出的语音反应比例最高,而母语者产出的聚合型反应比例最高。第四,就不熟悉的词而言,二语者和母语者都产出了大量的语音反应,而且他们都有误认的现象。

实验结果表明,二语学习者还没有在二语词汇之间建立起语义联系,或者说,即使有了某种语义联系,这种联系也还不够强,导致受试一时想不起语义上相关的联想词。语义联系的缺乏或联系强度不够会导致词汇提取失败,或提取过程缓慢,以至于二语者无法自如地表达自己。因此,二语心理词汇需要重组。导致二语词汇中缺乏语义联系的主要原因是母语的介入。

第五章报告实验2得出的结果及对这一结果的分析。实验数据完全支持假设2,即二语心理词汇中的词汇联系与母语心理词汇中的词汇联系有着系统的差异。导致这些差异的因素既有语言上的也有非语言上的。语言因素主要包括:二语者对目标词的词义理解不准确;二语词汇缺乏足够的语义联系,因而导致了大量语音反应的产生。非语言因素主要包括环境、文化、经济、宗教因素及重大事件的影响等。

第六章报告实验3得出的结果及对这一结果的分析。实验数据完全支持假设3,即随着词汇知识的增加,二语心理词汇中的词汇联系逐步由语音向语义发展。但本研究同时也表明,这一趋势不会一直持续到二语心理词汇达到母语心理词汇的水平,因为二语心理词汇的发展会停止。而且,虽然二语心理词汇发展总的趋势是由语音到语义,但倒退现象时有发生。对个体词的发展路径及个体受试的表现的分析充分说明了这一点。这表明,二语词汇习得不是呈线性发展的。

第七章是对全书内容的一个总结。该章首先总结了本研究的

理论价值。第一，本研究有助于解决二语心理词汇的语音观和语义观之间的争议，其结果为语音观提供了进一步的实验证据。第二，本研究有助于解决关于二语心理词汇与母语心理词汇的结构是否相同或相异的争议。研究表明，二语心理词汇与母语心理词汇之间存在着系统的差异。第三，研究发现，词族在二语、母语心理词汇中的储存方式有所不同——在母语心理词汇中，同一词族的成员储存为一个整体单位，而在二语心理词汇中，它们分别独立储存。第四，本研究发现了二语心理词汇的发展模式，即二语词汇习得并非按线性发展。其次，本章总结了本研究对二语词汇的教学与学习的重要指导意义。这包括：二语词汇习得过程中应尽量减少母语的介入；二语学习者要重组二语心理词汇以加强二语词汇联系；要习得不同类型的词汇知识；要精确掌握词义；要丰富词汇联想知识；等等。

由于水平有限，疏漏在所难免。恳请同行专家批评指正。

张淑静

2004年6月

List of Abbreviations

ANOVA	analysis of variance
CLE	Chinese learners of English
COD	The Concise Oxford Dictionary
COBUILD	Collins Birmingham University International Language Database
EFL	English as a foreign language
L1	first language
L2	second language
NS	native speaker
NNS	non-native speaker
PWL	prompt word list
SLA	second language acquisition
SPSS	Statistical Package for Social Science
TOEFL	test of English as a foreign language
TOT	tip-of-the-tongue
VKS	vocabulary knowledge scale

Contents

Chapter 1 Introduction: Shift in Attitude Toward the Lexicon	(1)
Chapter 2 Literature Review: Studies of the Mental Lexicon	(12)
2.1 Introduction	(12)
2.2 Studies of the L1 Mental Lexicon	(13)
2.3 Studies of the Bilingual Mental Lexicon	(31)
2.4 Studies of the L2 Mental Lexicon	(38)
Chapter 3 Experimental Design	(63)
3.1 Goals, Research Questions and Hypotheses	(63)
3.2 Experiment 1	(65)
3.3 Experiment 2	(82)
3.4 Experiment 3	(87)
Chapter 4 Experiment 1: Results and Discussions	(91)
4.1 Introduction	(91)

4.2	The Overall Response Patterns of the Native Speakers and the L2 Learners	(91)
4.3	Response Patterns of the L2 Learners and the Native Speakers for Words That Elicited a Score of 5	(95)
4.4	Response Patterns of the L2 Learners for Words That Elicited a Score of 4	(96)
4.5	Response Patterns of the L2 Learners and the Native Speakers for Words That Elicited a Score of 3	(97)
4.6	Response Patterns of the L2 Learners and the Native Speakers for Words That Elicited a Score of 2 and 1	(98)
4.7	Comparison with the Results of Different Studies	(103)
4.8	Problems in L2 Vocabulary Acquisition	(106)
4.9	Conclusion	(121)
Chapter 5	Experiment 2: Results and Discussions	(123)
5.1	Introduction	(123)
5.2	The Overall Results of Comparison Between the NS and the L2 Learners	(124)
5.3	Comparison of the NS and L2 Responses to Individual Words	(126)
5.4	Analysis of the Differences in the Responses of the NS and the L2 Learners	(142)
5.5	Comparison of Responses of the L2 Learners	(152)
5.6	Summary	(153)
5.7	Different Aspects of Word Meaning	(154)
5.8	Reorganization of the L2 Mental Lexicon	(157)
5.9	Differences Between the L1 and L2 Mental Lexicon	(161)
5.10	Conclusion	(167)

Chapter 6 Experiment 3: Results and Discussions	(169)
6.1 Introduction	(169)
6.2 The Overall Pattern of Change in Response Types	(169)
6.3 The Overall Pattern of Change in the Status of the Prompt Words	(174)
6.4 Comparison with the Results of Experiment 1	(175)
6.5 L2 Lexical Fossilization	(177)
6.6 Summary	(182)
6.7 An Analysis of Individual Words	(183)
6.8 An Analysis of Individual Subjects	(191)
6.9 Further Discussions	(194)
6.10 Conclusion	(199)
Chapter 7 Conclusion	(200)
7.1 Introduction	(200)
7.2 Summary of Findings of the Present Study	(200)
7.3 Theoretical Significance	(203)
7.4 Pedagogical Implications	(204)
7.5 Limitations of the Present Study and Suggestions for Future Studies	(218)
Appendices	(221)
References	(242)
后记	(266)

Chapter 1

Introduction: Shift in Attitude Toward the Lexicon^①

Now it is generally accepted that vocabulary is central to language and is of critical importance to the language learner, and lexical knowledge is now known to be an absolutely crucial factor across the whole spectrum of L2 activities (Kelly, 1991; Koda, 1989; Laufer, 1992; Laufer & Nation, 1995). Paradoxically, however, it has long been neglected by linguists, applied linguists and psycholinguists, who used to prioritize syntax or phonology as central to linguistic theory and more critical to language pedagogy.

Theoretical linguists have regarded syntax, which involves combinations of words, as more important than the words themselves (Aitchison, 1987:25). The principal task of linguistics, Brown

① There are two different uses of *lexicon*. It refers, first, to the overall system of words. In this connection, it is often used roughly in the same sense with *vocabulary*, which refers to a list or set of words for a particular language. The term is also used to refer to the way that forms might be systematically represented in the brain, the mental lexicon (Hatch & Brown, 2001:1).

(1984:10) has noted, is to investigate and describe the ways in which words can be combined and manipulated to convey meaning. Bloomfield (1933:274) expresses a similar view, which regards the lexicon as an appendix of the grammar, a list of basic irregularities. Only recently has this viewpoint been challenged, and much that was ignored or placed elsewhere in a grammar is now being shifted back into the lexicon (Aitchison, 1987:26).

In language teaching, vocabulary used not to occupy such an important position as it does today. In fact, vocabulary used to be referred to as Cinderella or a poor relative and has been largely neglected or undervalued throughout the varying stages of second language acquisition. The secondary status of vocabulary can be traced back to the traditional grammar translation method. As its name indicates, the focus of this method is grammar, and its primary goals were to prepare students to read and write classical materials and to pass standardized exams (Howart, 1984; Rivers, 1981). Students using this method studied literary language samples that used primarily archaic structures and obsolete vocabulary. They were exposed to a wide literary vocabulary (Rivers, 1981) that was selected according to its ability to illustrate grammatical rules, and direct vocabulary instruction was included only when a word illustrated a grammatical rule (Kelly, 1969).

The Vocabulary Control Movement in the 1930s echoed a similar neglect of vocabulary. The two most influential works related to the movement are *Basic English* of C. K. Odgen (1930) and I. A. Richards (1943) and *A General Service List* of Michael West (1936/1953). Odgen and Richards' *Basic English* was a project designed to provide a basic minimum vocabulary for the learning of

the English language. The project involved a word list of 850 words and it was claimed that these words would both serve to express complex ideas and be in themselves easy and fast to learn. West's *A General Service List* was developed along similar lines to *Basic English*. The list consisted of 2000 words with semantic and frequency information drawn from a corpus of 2 to 5 million words. It was claimed that knowing these words gives access to about 80% of the words in any written texts.

In the 1940s to 1960s, structuralism pushed vocabulary further back into the background and relegated its importance to a secondary level in the teaching and learning of foreign languages. In his *Teaching and Learning English as a Foreign Language*, Fries (1945) claimed that the problem of learning a new language was not learning its vocabulary but mastering its sound system and its grammatical structure, and that all the learner needs at first is enough basic vocabulary to practice the syntactic structures. Almost at the same time, the audio-lingual method, which grew out of structuralism, contrastive analysis and behavioral psychology, was also against the teaching of much vocabulary. With grammar or structure as its starting point and the belief that language learning is a process of habit formation, this method paid systematic attention to pronunciation and intensive oral drilling of basic sentence patterns. It was suggested during this period that learning too much vocabulary early in the language learning process gives students a false sense of security (Zimmerman, 1997).

The 1960s saw a shift to Chomsky's Transformational Generative Grammar. But this shift only served to reinforce the idea that lexis was somewhat peripheral, an irritating irregularity to an

otherwise ordered grammar. Chomsky assumed that language is represented in the speaker's mental grammar by an abstract set of rules that is most clearly reflected in a speaker's unconscious intuitions about language (Chomsky, 1965).

So for nearly 30 years, the argument for teaching heavy doses of syntax went largely unchallenged. In the 1970s, however, some researchers began to voice their discontent against the prevailing view about vocabulary. Wilkins (1972) lamented the neglect of vocabulary in the audio-lingual years. His much quoted statement about the importance of vocabulary runs as follows: "Without grammar, very little can be conveyed, without vocabulary nothing can be conveyed." Similarly, Widdowson (1978) found that native speakers can better understand ungrammatical utterances with accurate vocabulary than those with accurate grammar and inaccurate vocabulary. In the mid-1970s, more researchers became concerned with the relations between vocabulary and the learning task and with vocabulary teaching. Among them was Lord (1974), who argued that vocabulary should no longer be the Cinderella of language teaching. Lord's arguments represent a further shift from the vocabulary-control approach. Interest in vocabulary continued and more articles were appearing (see Brown, 1974; Anthony, 1975; and Nilsen, 1976). And in 1978, Judd reiterated that we should give vocabulary the status of a skill in its own right and that not only should it not be seen as subservient to syntax, but it should not be seen as an appendage to reading and listening comprehension either. By the end of the 1970s, vocabulary teaching was coming of age.

And since the early 1980s, there has been a positive explosion of publications on vocabulary. Among them were the three significant