新编
第二语言习得概论

A New Course on
Second Language Acquisition

张宏武◎编著

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ACQUISITION

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Foreword

In recent twenty years, there has been a rapid development in the study of second language acquisition (SLA), which is partially the result of globalization, and, above all, the outcome of the fast-increasing number of people learning a second language. In line with this trend, China has incorporated a growing number of research centers and faculties engaged in SLA research, and has also imported a large number of academic books on this area. However, these academic books do not seem to cater to the "mass market" in Chinese universities, especially to the large population of undergraduate students majoring in foreign languages, because these books are difficult in light of both concept and language. Students are daunted even when they start reading the first page. Actually, most of these academic works are written for researchers, mainly intended for careful perusal, but unsuitable for classroom instruction. The course book written by my colleague, Mr. Zhang Hongwu, fills the gap in the "mass market".

First, the course book gives a brief introduction to the most influential achievements in the field of second language acquisition research in the past forty or so years. Mr. Zhang has been engaged in research and teaching of second language acquisition for quite a few years, and has a good command of the fundamentals in the field. This can be seen in the organization of the book. The first chapter is reader-friendly, intending to appeal to students' interest in SLA. The second chapter focuses on interlanguage and relative findings in interlanguage studies. The main part of the book, from Chapter Three to Chapter Six, presents a brief and comprehensive introduction to linguistic, psychological, socio-cultural, and pedagogical aspects of second language acquisition. Chapter Seven is on second language data and data analysis. The whole book can be used as a textbook for classroom instruction in one academic semester.

Second, the course book is tailor-made for undergraduates, as well as graduate students who have little or no prior knowledge of SLA. The language is less complicated in grammar and contains the smallest possible number of technical jargon. In spite of this, it has not missed the mention of the latest development in SLA research. For example, interlanguage pragmatics discussed in Chapter Two is one of the most appealing issues in SLA research in recent years, which touches upon the use, not the usage, of learner language in real contexts. The connectionist/emergentist model of second language acquisition discussed in Chapter Four is an up-to-date model loaned from cognitive science. Usage-based model of language, which is gaining popularity among SLA researchers in recent years, is included and introduced in Chapter Four.

Third, the creative and inspiring exercises designed at the end of each chapter may help readers review the essential points in the same chapter. The mini-discussion corner provides

readers with a chance to explore relevant issues in SLA research. Most of the questions in the assignment are open and suitable for both teachers and students to discuss in and/or after class.

The author, Mr. Zhang is a hardworking and intelligent teacher. While teaching second language acquisition, he is capable of stimulating students' interest in this subject with his wise and insightful remarks, as well as his rational and logical thinking. Mr. Zhang has been working on the book for twenty or so months, and most of the contents are based on the elaboration of his teaching materials. Personally, I am full of confidence that the book will be of theoretical and practical value in both the teaching and learning of a second language.

Liu Hongmei
Professor of Applied Linguistics
October, 2016

前　言

第二语言习得作为一门独立学科始于 20 世纪 60 年代，它的历史不算太长，但在近四五十年间，该学科取得了快速发展。学者们从不同的视角、在不同的层面、以不同的方法对第二语言习得进行了大量研究，出版了大量文献，提出了大量宝贵的理论假设和习得模式。随着研究的不断深入，第二语言习得与语言学、心理学、社会学、教育学、认知科学、哲学等学科的关系日趋密切，从而逐渐发展成一门跨学科的科学。掌握和了解一定的第二语言习得知识，不仅对英语专业的学生来说必不可少，而且对从事外语教学、科研工作的教师，包括从事汉语作为第二语言教学的教师来说也十分必要。近年来，虽然从国外引进了许多原版著作和介绍第二语言习得的书籍，但是由于偏重理论、内容深奥、术语繁多等原因，这些原著往往使本科生或初次接触该学科的学生望而生畏，对第二语言习得产生畏难情绪。为此，我们编写了这本教程，供初次接触第二语言习得的中国学生，尤其是英语专业的学生使用。

本书在暨南大学出版社 2012 年出版的《第二语言习得概论》的基础上修订而成，在原有内容的基础上做了必要的调整和补充，增加了新的知识和理论；对一些重要术语，如输入、输出、习得、交际策略、差错、语际语用学、互动修正、关注形式教学等的解释补充了新的诠释和观点；增添了第一语言习得、基于使用的语言习得模式、语法习得等新内容。

本书用英文编写而成，讲解过程主要以英语为例，间或借用汉语、法语、西班牙语的例句，但都有英文解释。全书共有七章：第一章介绍第二语言习得的概念、研究目的以及相关术语；第二章呈现了中介语的特点、中介语及其语用学研究成果；第三、四、五章分别从语言学、心理学、社会学的视角介绍第二语言习得领域取得的研究成果、重要的理论知识以及第二语言习得模式；第六章涉及课堂教学与第二语言习得的关系，主要探讨关注形式教学、外显教学/内隐教学、增强意识、加工教学、语法讲解等课堂教学行为对第二语言习得的作用和影响；第七章简介第二语言习得研究中的数据收集和数据分析的方法。各章之间既存在有机的联系，又各自具有相对的独立性。为帮助读者克服理解上的困难，本书采用通俗易懂的语言撰写而成，并在书后附有英语术语的解释及其汉语翻译。为便于自学，还增添了部分练习的参考答案。由于目前许多术语尚无统一的标准翻译，该书中专业术语的翻译仅供参考。

第二语言习得的研究成果颇丰。作为一本入门教程，本书只是选择性地介绍较有影响的、较有代表性的理论和语言习得模式，使初学者能够对该学科的基本知识和研究状况有

一个概括性的了解和宏观的认识，同时也期望为我国外语教学与研究带来有益的启发。

第二语言习得研究经历了半个世纪的发展，内容浩瀚，不同流派对语言习得过程和习得机制又有不同的解释和描述。要为初学者编写一本简明扼要的读本，绝不是一件容易的事情。我们尽自己最大努力作了尝试，但由于水平有限，难免出现错误，诚恳期望读者不吝指正。

作　者

2016 年 10 月

Introduction

This book is intended for both undergraduates and graduate students majoring in English language and literature. There are three main reasons for me to write this course book.

Firstly, I feel necessary to give a brief introduction to the studies in second language acquisition (SLA) for English majors, especially those who are going to be, and have the potential to be English teachers after graduation. I have learned from my own teaching experience that knowing the basic rationale in SLA is of great help for second/foreign language teaching. SLA is the right course to acquaint us with such fundamental principles so that we can be competent in second language teaching. SLA offers us with different perspectives in the process of learning a second language, and knowing this enables us to have an integrative concept of what it is to be learned, how to learn it and why some learners are more competent than others.

Secondly, while teaching this subject, I have found it hard to cope in one semester with all those wonderful achievements in the field of SLA research. Also, I think it unnecessary to do this, especially for undergraduate students, because it is impossible for them to master everything within such a short period of time. A brief introduction, then, is necessary. The reason is that few undergraduates will be SLA researchers; many of them will be English teachers after graduation. In addition, having a better understanding of SLA may as well pave the way for further in-depth research in the future. Therefore, it is my goal to make the course book more concise so that it is suitable for one-semester classroom teaching.

Thirdly, it is related to the difficulty of the subject. Many books are imported directly from English speaking countries, and most of them are strongly theoretical and are written for researchers in the field of SLA. They are excellent academic works, but not suitable as textbooks for Chinese students, who learn English mainly for communicative purpose. In most cases, students are daunted by the difficulty in comprehending the contents, either because it is too technical or because it gives too detailed an account of the development in SLA research. These books are thick, even containing more than 500 pages, which is a great challenge for readers, who spend endless hours wrestling with special terms and complex syntax in them. This is why I was determined to write this short course book.

When I had the idea of writing a course book on SLA, I realized I needed to touch upon this subject in a way that differs from the academic way of dealing with linguistic issues. Rather than discussing in great detail, I intended to introduce briefly the main findings in SLA research from four major perspectives: linguistics, psychology, sociology, and pedagogy. The goals of this course book can be summarized as follows: it is concise and reader-friendly with little jargon. If there are

special terms, they are given clear definitions.

This book can be used as the textbook for one semester. However, the major points in the field can be covered two periods a week, for eighteen weeks or so in a semester all together.

The textbook has seven short chapters. The first chapter gives a brief introduction to the study of SLA, and presents some fundamental terms in SLA. The second chapter discusses the characteristics and the major findings in the study of interlanguage. A brief introduction is also given to interlanguage pragmatics, which has become a major concern in recent years. Chapter Three, Four, and Five are the major parts of the book, discussing SLA from linguistic, psychological and socio-cultural perspectives respectively. The sixth chapter covers the relationship between classroom instruction and SLA. The last chapter is about second language data collection and analysis. This final part is specially designed for those whose jobs are related to SLA research.

The features of the book can be briefly summarized as follows:

(1) Short and concise. The principle I followed throughout the whole course of writing is brevity and conciseness. Each chapter is designed to introduce briefly the major and the most recent findings in the field of SLA, so that the readers may feel easy to have a quick glimpse of the recent contributions made by devoted SLA researchers. It will also be rather comfortable for classroom instruction in one semester.

(2) Easy for comprehension. Another principle I followed while writing this book is that the language is made easy for readers to understand. Without losing, or distorting the theme of each SLA theory, I tried my best to make the language as plain as possible, so readers will not be daunted by linguistic barriers and will have easy access to the content.

(3) Well-designed assignment. In order for readers to have a better understanding of the thoughts and ideas presented in each chapter, I have designed different kinds of exercises at the end of each chapter, including translation (usually of an important quotation from some famous scholars in the relevant field of study, or a short epigram from an authority, either an expert or a book), blank-filling, question-answering, and mini-discussion corner. These exercises are intended to bring readers a refreshing review of the key issues touched upon in the chapter. The open questions in the mini-discussion corner are especially designed for those who are interested in research after reading the text. These questions provide them a chance for further exploration.

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Author
October, 2016
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Chapter One   Understanding Second Language Acquisition

When you turn to this page, you are approaching the field of second language acquisition (SLA). In this opening chapter, you will get an overall understanding of what SLA is and what the objectives of SLA are. What's more, you will also gain some knowledge of those basic terms in the field of SLA.

1. 1   Definition of SLA

A second language (L2) can be defined as any language that is learned after the acquisition of the mother tongue. In this context, learning of a second language can refer to the learning of a third, a fourth or even a fifth language. An L2 is commonly called a target language in a learning situation. But what does it mean by SLA, or what does an SLA researcher do in this field? Before we define this term, let us examine the following quoted definitions:

> "Second language acquisition research" refers to studies which are designed to investigate questions about learners' use of their second language and the processes which underlie second language acquisition and use.
>
> (Lightbown, 1985)
>
> SLA is thought of as a discipline devoted to discovering and characterizing how it is that a human being is able to learn a second language: what pre-knowledge does he or she bring to the task, what set of learning procedures does he or she use, what strategies are appropriate for certain phenomena and not others, etc.
>
> (Schachter, 1993)
>
> (SLA) is concerned with what is acquired of a second language, what is not acquired of a second language, what the mechanisms are which bring that knowledge (or lack thereof) about and ultimately, an explanation of the process of acquisition in terms of both successes and failures.
>
> (Gass, 1993)
>
> By SLA we mean the acquisition of a language after the native language has already become established in the individual.
>
> (Ritchie & Bhatia, 1996)

From the above definitions, it is easy for us to see a duel purpose in SLA: all definitions agree that the goals of SLA are to study, discover and characterize what is acquired of an L2 and how it is acquired. This book focuses on three elements. The first two are the same as the above: what and how. First, we focus on the developing knowledge and use of the L2 being learned. The

scope of SLA includes informal L2 learning taking place in naturalistic contexts, formal L2 learning taking place in classrooms, and L2 learning that involves a mixture of these settings and circumstances. In addition to what is learned of an L2, we are equally interested in what is not learned in these contexts. Second, we focus on the study of how an L2 is learned. We are interested in how learners create a new language system with limited exposure to an L2, and how they make hypotheses about the rules of an L2. Considering how the rules are constructed in the learner's mind, the study of SLA is closely related to other areas of study such as linguistics, psychology, psycholinguistics, sociology, sociolinguistics, discourse analysis, conversational analysis, education, and so forth. Besides the questions of "what" and "how", our third concern in this book is "why": why some learners make more proficiency than others do. It is a fact that in any situation, there must be some learners who are more successful in learning an L2 than others. The research of "why" tries to answer this question.

This field of SLA research has both theoretical and practical importance. The theoretical importance is associated with our understanding of how language is represented in mind and whether or not there is a difference between the way language is acquired and processed and the way other kinds of information are acquired and processed. It is assumed that understanding how languages are learned will lead to more effective teaching practices. To speak broadly, a knowledge of SLA may help educational policy makers set more realistic goals for programs for both foreign language courses and the learning of the majority language by minority language children and adults (Spada & Lightbown, 2008).

1.2   Objectives of SLA research

SLA research covers not only the study of those people who are learning an L2, but also the process of learning that language. In trying to probe into the process of learning an L2, researchers are seeking to answer the following three fundamental questions:

(1) What does the L2 learner come to know?
(2) How does the learner acquire the knowledge?
(3) Why are some learners more successful than other learners?

(Saville-Troike, 2008: 2)

SLA research aims to seek answers to the above questions. In order to answer the first question, researchers collect samples of learner language and try to describe their features. Generally speaking, the learner language is full of errors, and researchers usually start their study by classifying these errors. Also, researchers may record learners' speeches while they are communicating with native speakers or other learners, and then produce transcriptions of the recordings. By studying the transcriptions, researchers identify specific grammatical features such

as negatives or interrogatives in the data, and describe the "rules" which could account for the learner's productions. The goal of research is essentially descriptive, that is, to record the learner language, to try to establish whether it manifests regularities of some kind, and to find out how it changes over time.

The second objective of SLA is to explain how the learner acquires the L2 knowledge. For example, does the learner depend on his innate ability to acquire L2 rules? How does he process language input? How does restructuring of L2 system take place? Does the learner acquire L2 knowledge by explicit or implicit means? How does he learn from interacting with others? Why do learner produce the L2 in the way they do? Why does learners' language exhibit marked "rules"? Why does the learner language change systematically over time? In order to answer these questions, researchers may consider both external and internal factors which affect SLA. The external factors are concerned with the social situation in which learning takes place. Researchers who are searching for external explanations of learner language make comprehensive use of ideas and methods from the sociolinguistic study of language. The internal factors which also make contributions to SLA are rooted in the mind of the learner, who employs mental processes to convert input into knowledge. The mental processes can be regarded as learning processes. By means of the learning processes, the learner constructs his L2 knowledge.

Another objective of SLA is connected with the third question, which focuses on individual language learners. Although the basic assumption in SLA research is that learner language offers evidence of universal learning processes, learners do vary significantly in their rate of learning, their approach to learning, and especially in their final achievements. The study of individual learner differences seeks to document the factors which contribute to different kinds of variation.

1.3　Basic terminology in SLA

The main purpose of this chapter is to set the scene for the rest of the book. We have discussed what is meant by the term second language acquisition, and declared the main objectives of the study of SLA. Here we think it necessary to examine a few key terms relating to the research of SLA. Understanding these terms may pave the way to a better knowledge of what SLA is about.

1.3.1　Native language and target language

Native language refers to the mother tongue, or the first language (L1) spoken by native speakers. For example, English is the native language for American and British people; Chinese is the native language for Chinese people; Japanese is the native language for Japanese people. Native language is "picked up" in naturalistic environment and in an informal manner. People generally learn to speak and use the language in real communicative contexts, and the primary focus is on meanings instead of linguistic forms. Native language is also tightly bound to native culture, and because of this, it is often difficult to decode for a person from another

culture. Target language refers to any language that is the aim of learning. A second or foreign language which is being learned can be called a target language. A target language, unlike native language, is often learned in classrooms in a formal way. People learn to speak it in an unauthentic context. While people are learning it, their primary focus is on linguistic forms first, and then move on gradually toward interactive communication.

1.3.2　Second language and foreign language

An L2, in a broad sense, refers to any language learned after one has acquired his native language. However, when compared with a foreign language, it refers more narrowly to a language which plays a dominant role in a particular country or region though it may not be the first language of many people who use it. An L2 is often acquired by minority group members or immigrants who speak another language natively. However, a foreign language is not the native language of large numbers of people in a particular country or region. It is not used as a medium of instruction in schools, nor is it widely used as a medium of communication. A foreign language is typically taught as a school subject for the purpose of communicating with foreigners or for reading printed materials in that language. English, for instance, is an L2 for Chinese immigrants in the U. S. A. , but it becomes a foreign language for Chinese people in China.

Similar distinction should also be made between the L2 context and foreign language context. In an L2 context, the language is spoken in the country or area where it is being learned. In a foreign language context, the language is not normally spoken outside the classroom, as is the case of learning English in China. In this book and in the field of SLA in general, an L2 refers to any language other than a person's first language. Therefore, for a learner of English in China, the field of SLA research would say that English is an L2 being learned in a foreign language context.

1.3.3　Bilingualism and multilingualism

Bilingualism refers to the use of two (or at least two) languages either by an individual, or by a group of speakers, such as the inhabitants of a particular region or a country. Bilingualism is the normal linguistic phenomenon in most of the countries in the world. In everyday use, a bilingual person is one who can speak, read, or understand two languages equally well. But the ability to read and write a second language or foreign language does not necessarily imply a degree of bilingualism. That is, bilingual is an end point, usually referring to someone who can use two languages with some degree of proficiency. However, SLA researchers are interested in individuals who are in the process of learning.

Multilingualism refers to the use of three or more languages by an individual, or by a group of inhabitants of a particular region or country. Usually, a multilingual person does not know all the languages equally well. For example, he or she may speak and understand one language best, or may be able to write in only one of them; or he or she may use each language for different