语言学论丛

中介语发展的话题突出类型学研究

Topic Prominence in Typological Development of English

杨连瑞 著

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序

连瑞教授的专著《中介语发展的话题突出类型学研究》是在他的博士论文《中国学生英语中介语发展话题突出的类型学研究》基础上经过两年多修改和润色而成的，即将由北京大学出版社付梓出版。作为他的博士论文指导教师，我自感高兴，故乐于为他的著作出版作序。这是我第二次为连瑞的著作作序。第一次是为他和张德禄教授的《二语习得研究与中国外语教学》(上海外语教育出版社，2007)作序，那是他还在撰写博士论文期间完成的著作。

我的学术研究领域主要为二语习得、社会语言学、语言教学等，我的已毕业或未毕业研究生的论文选题，也主要属于这个范围。近50年的教学实践和学术研究，使我对这几个学科了解得相当透彻，选择博士学位论文题目时也得心应手、胸中有数。我的选题原则有四。一是选题要有恒久的理论意义和学术价值，不选那些跟风赶潮、就事论事、没有学术生命力的题目。二是选择国内外学术界没有涉及过的论题，起码是没有系统研究过的，自主创新余地大。博士生认真完成论文就能够站在一个学术制高点上，在该论题及其相关问题上就有发言权。三是选题能够通过撰写博士论文，进入问题语境，洞达理论思想，把握研究方法，扩大学术视野，为后续研究奠定坚实的基础。四是选题大都是我本人一般做过的研究，知道题目的深浅和大致思路。

连瑞的博士论文选题就符合以上几个原则。中介语概念的提出可以看作二语习得研究作为独立学科的标志，中介语的研究是二语习得研究的核心问题，是国际应用语言学研究的前沿阵地，因而该选题具有重大理论意义和应用价值。我本人曾发表过几篇有关中介语研究的论文，之前也指导了多名博士生侧重研究中介语这种语言体系。目前国际学术界对于中介语的研究有两种趋势：一种认为中介语的发展过程不受母语影响，对所有学习者来说都是相同的；另一种则认为中介语发展受学习者母语特征的影响。尽管近年来对于普遍语法的研究不再强调母语对第二语言习得的影响，但越来越多的研究表

明，第二语言习得在不同程度上受到学习者母语类型学迁移的影响和制约。国内外以往的研究侧重于对语言现象的描述，通常是从纯句法方面探讨话题突出和主语突出(TP/SP)问题，忽视使用句法—语用相结合的方法分析这些语言类型结构。

连瑞的博士论文就是在二语习得和语言类型学理论的关照下，使用句法—语用相结合的方法，研究中国英语学习者话题突出和主语突出类型特征习得和语用限制之间的相关性。本研究采用问卷调查的方式，有三组被试分别代表初级、中级和高级三种不同的英语水平，共90名学习英语的中国学生参加了实验。该研究主要关注三组中国学生在即时口头任务和谨慎翻译任务中出现的六类(双主语结构、存在结构、假被动语态、零成分、迂回结构和主谓不一致)不同的中介语话题突出类型结构。该研究揭示了中国学生在习得具有主语突出特征的英语句法结构时，其中介语话题突出类型学发展的一般特点。本研究提出并证明了中介语"话题—主语转移的假设(Topic-to-Subject Hypothesis)"、话题突出结构难度等级假设(Hierarchy of Difficulty Hypothesis)，并主张中国学生英语中介语TP/SP类型学特征的发展是一个句法化和语用化的双重过程。该研究最后还挖掘总结了产生这些结构的三个方面原因：母语类型学迁移、语用目标优先权和传统教学失当，并对中国外语教学提出了建设性意见。迄今为止，学术界缺乏比较完整、比较详尽的关于中国学生在习得具有主语突出特征的英语句法结构时其中介语话题突出类型学发展的研究。从这个背景上看，连瑞的博士学位论文《中国学生英语中介语发展话题突出的类型学研究》，可以说正好填补了这方面的学术空白。

连瑞曾经教过中学、大学，指导硕士研究生，乃至博士生，他自己的学历也是从中专、专科、本科、硕士学位、博士学位一步一步提升起来的，如今他担任中国海洋大学外国语学院的教授、院长、博士生导师，2008年入选教育部新世纪优秀人才支持计划。他自己始终潜心于探讨新知、传授知识、培养学生、与学生共同成长，边教学、边学习、边研究。作为他的博士论文指导教师，我对他的严于律己的态度、勤学苦学的毅力、好学乐学的境界和不断进取的精神，表示钦佩。近年来他曾两次获得国家留学基金委的资助，先后到美国做访问学者，到澳大利亚做高级访问学者，系统地研究语言学和应用语言学理论。他于2006年进入上海外国语大学攻读博士学位，选择二语习得研究方向，

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边工作边攻读博士学位。在上外，他阅读了大量的理论书籍，聆听了诸多名家的教诲，跟随我做博士论文。经过两年的不懈努力，他提前完成了博士论文。这篇博士学位论文整体框架合理，概念准确，思路清晰，层次分明，史论结合，逻辑性强。此外，全文论证严谨，叙述流畅，语句通顺，我认为这是一篇比较好的博士论文。由于论文质量过硬，事先准备充分，他在2008年6月1日的答辩会上成竹在胸。面对质疑问难，他一一作答，顺利过关，最后受到答辩委员会诸位专家的一致好评。

多年来我指导研究生十分强调做人和做学问，这是读书人一辈子的两件大事。做人靠事事克己，做学问靠天天积累。克己能产生智慧，积累才能有学问。做学问要先做人，二者要统一起来，都应该求真务实，注重创新。一个过于功利、急于求成的人往往耐不住学习的艰辛和学术的寂寞，也很难在学业和事业上取得很大的突破。因此，在外语学习中，对中西文化传统、不同流派、各种观点等要有兼容并蓄、虚怀若谷的态度，切实融会贯通所学知识。在进行教研的过程中，要提倡踏踏实实做学问的风气，一方面力求创新，在研究理论、研究方法、研究结果等方面有所突破；另一方面要尊重具体的教学研究实际，不故弄玄虚、盲目跟风。

如何做博士学位论文实际上是如何做人的集中表现。连瑞做博士论文则十分严肃认真，对自己要求很高，他有过思路理不清楚的苦恼，也有过豁然开朗的喜悦，他敢于坚持自己的见解。正因如此，我在指导他的博士论文写作过程中，也受到启发，有所获益，教学相长，和连瑞建立了亦师亦友的情谊。

我国是13亿人口的大国，应用语言学研究的成果与学习英语的学生数量相比，还很不相称，我国外语界学者撰写的二语习得研究专著还很有限，《中介语发展的话题突出类型学研究》的出版是件令人鼓舞的事情。连瑞教授年轻有为，在实践与理论上都打下了相当好的基础。我相信他会在外语教育实践和理论上不断探索，为我国外语教育事业的发展作出新贡献。

戴炜栋

2012年2月于上海外国语大学

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Figure 4.11 The Topic-to-Subject Hypothesis

Abbreviations

ADV	adverb
AH	accessibility hierarchy
CA	Contrastive Analysis
CA	Contrastive Analysis Hypothesis
CM	Competition Model
DN	Double Nominative
DO	Direct Object
EA	Error Analysis
EC	Existential Constructions
EFL	English as a foreign language
ESL	English as a second language
FL	foreign language
FLL	foreign language learning
FTFA	the Full Transfer/Full Access Hypothesis
GEN	genitive
GWO	grammar-word-order
HDH	Hierarchy of Difficulty Hypothesis
IL	interlanguage
INV	inversion
IO	indirect object
L1	first language
L2	second language
LSC-system	Language-Specific Cognitive system
NE	Null Element
Neg+V	negative+verb
NL	native language
NNV	noun+noun+verb
NP	noun phrase

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NVN	noun+verb+noun
OCOMP	Object of comparative
POREP	Object of preposition
PP	Pseudo Passives
PS	Periphrastic Structures
PSC-system	Problem-Solving system
PT	Processability Theory
PWO	pragmatic-word-order
SLA	second language acquisition
SOV	subject+object +verb
SP	subject-prominence
SPD	Subject-predicate disagreement
S-procedure	sentence procedure
SOT	Spontaneous Oral Task
SU	Subject
SV agreement	subject-verb agreement
SVO	subject+verb+object
TL	target language
Topi	topicalization
TP	Topic-prominence
TSH	Topic-to-Subject Hypothesis
CTT	Careful Translation Task
UG	universal grammar
VP	verb phrase
VSO	verb+subject+object
WO	word order
ZPD	zone of proximate development

Conventions

Symbols	Stands for
[]	missing element
/	or
“”	quotation
Ø	empty category
,	phonological pause when indicated
()’	co-indexed sentence under discussion
*	ungrammatical or unacceptable sentence
Bold italics	element under discussion

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in the book.

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Abstract

English and Chinese, as two distinct languages, belong to different language typological systems respectively. Chinese is a topic-prominent language in which topic plays an important role in the formation of a sentence whereas English is a subject-prominent language in which subject is an indispensable element that determines the English sentence pattern.

Currently there are two interlanguage study tendencies in the research of second language acquisition. One is that interlanguage development proceeds along lines that are common to all learners; the other is that any interlanguage is shaped by features of the learner's native language. Though recent concerns on universal grammar have tended to lead to a de-emphasizing of the influence of native language on the acquisition of second language, there is more and more evidence available which indicates second language acquisition may be shaped and colored in varying degrees by the transfer of typological features from native language (Rutherford 1983; Trevise 1986; White 1987; Chaudrion & Parker 1990; Yip & Matthews 1995; Yang 1999; Xiao 2002; Jung 2004). The previous studies usually explore the TP/SP issue in a pure syntactic way, focusing on the phenomenon description and they scarcely touch these typological structures in terms of a syntax-pragmatic approach, which would be more workable in identifying the interrelations between the pragmatic constraints and the acquisition of TP/SP typological features by Chinese learners of English.

This current study is made up of a questionnaire, with thirty sentences of Chinese-English Translation. The design of the tasks aims to elicit the interlanguage data with the Spontaneous Oral Task and Careful Translation Task in terms of TP structures. There are

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