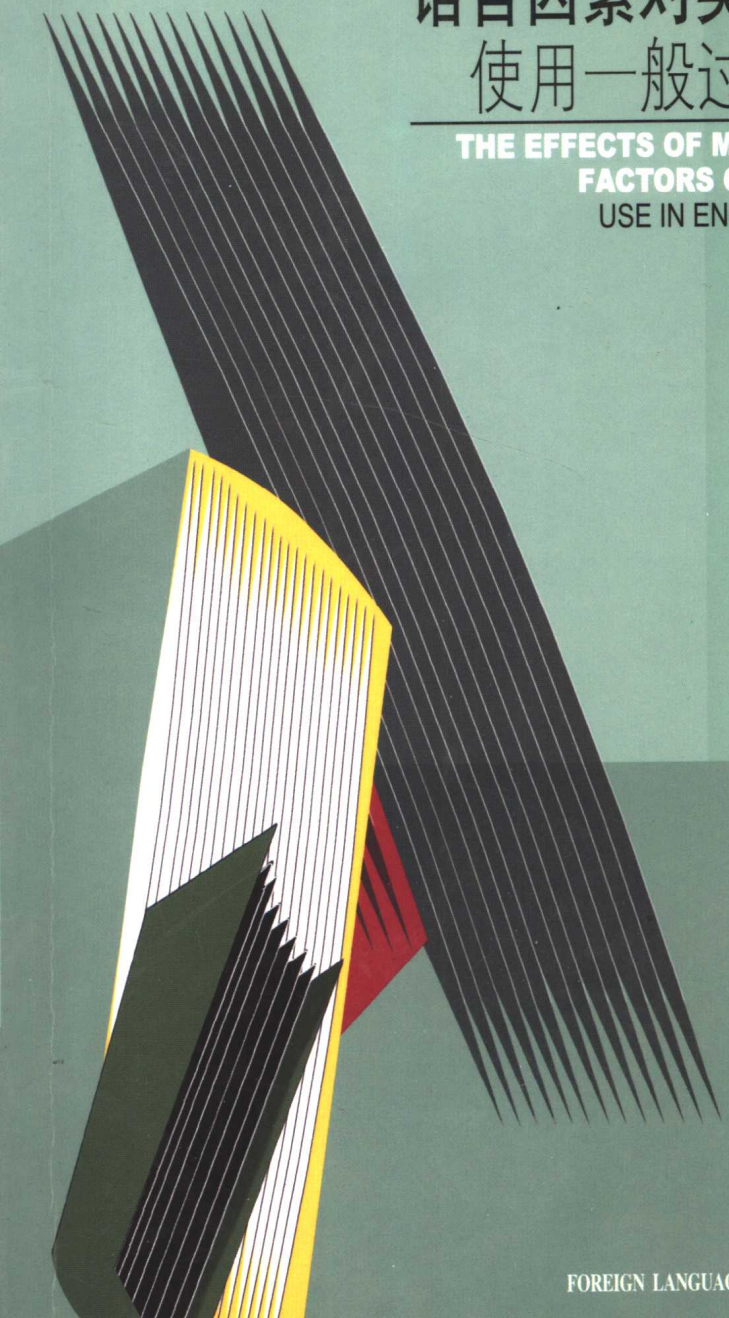
教育部人文社会科学重点研究基地
北京外国语大学中国外语教育研究中心·学术著作系列

语言因素对英语过渡语中使用一般过去时的影响

THE EFFECTS OF MULTIPLE LINGUISTIC FACTORS ON THE SIMPLE PAST USE IN ENGLISH INTERLANGUAGE

蔡金亭 著



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总 序

中国外语教育研究中心决定将其专/兼职研究员近几年的个人科研成果及课题成果组成学术著作系列，由外语教学与研究出版社（外研社）出版。外研社社长李朋义同志请我讲讲这套系列学术专著的来龙去脉以及其性质、特点，为丛书做个总序。

我先简要介绍一下中国外语教育研究中心的基本情况。北京外国语大学中国外语教育研究中心成立于2000年3月。学校投入百万余元装修了近300平米的办公用房和图书资料室，累计购买了数十台计算机和其他各种科研设备。当年7月，中心通过了教育部专家组的检查验收，9月教育部正式下文，批准中心为全国高校人文社会科学100个重点研究基地之一。

中心的研究人员构成主要是北外外国语言研究所、英语学院、高级翻译学院和应用英语学院的多名教授、副教授，中心同时还聘请了本校日本学研究中心和俄语学院的两位教授，北京大学、社科院语言所、解放军外国语学院、华南理工大学、南京大学等单位的几位教授为兼职研究员。大部分研究员具有博士学位，其中有几位是剑桥大学、香港中文大学和其他国外知名大学毕业的博士。研究人员实行流动管理，带科研项目进入中心，完成项目后可以离开，有新的项目可以延聘。专职和兼职研究员各保持在8－10人左右。

该中心的总体任务是，除语言基础研究外，还系统研究中国外语教育中的各种问题：从外语政策、规划到发展策略，从外语教育理论到教育实践，从教材编写到课程设置，从课堂教学到测试评估，从中小学外语教学到高校的专业外语和公共外语教学。中心的发展目标是建成外语教育的科研攻关基地，外语研究人才的培养基地（硕士生、博士生和博士后），资料图书和信息交流基地，为有关部门提供相关咨询的基地。中心力图成为全国第一的外语教育问题研究机构。

目前，中心承担一项国家社会科学基金项目和六项教育部的重大项目，与加拿大合作开展一项国际研究，其中包括中国高校外语教学改革现状与发展策略研究、英汉平行语料库的创建与应用研究、英语能力测试的理论研究和试题开发、高校英语教师教育与发展研究、二语习得理论研究、网络技术在外语教育中的应用、英语学习词典的研编等。这些项目，有的已经发表；

有的已经完成，成果不久即可问世；有的将写出咨询报告。目前中心招收硕士研究生40余名，博士生20余名，博士后1名。这些学生在校期间必须参加中心的部分研究工作，必须有论文发表；博士生和博士后的研究成果必须达到出版水平。

从建立之日起，中心就与外研社有着密切的合作关系。外研社给予中心大力支持，中心通过外研社的研究发展中心为社里提供咨询服务、项目策划、作者联系、稿件终审等。3年来，中心协助外研社举办了多期大学英语教师的暑期培训班（共约3万人），中心研究员每期都提供几个学术报告，同时也对教师进行问卷调查和小组访谈，双方都收到良好效果。更值得一提的是，中心与外研社合作，设立“中国英语教育研究基金”，外研社提供50万元科研经费，每年都组织课题的招标活动，课题内容与中心重大项目相联系，中心负责审查批准立项的项目，培训主持人，最后对报告进行终审等。项目的研究报告将与中心的主题报告同集出版。同时，中心与外研社达成协议，中心的一切科研成果，由外研社独家出版。

这套学术著作系列包括四种科研成果形式。首先是中心承担的重大科研项目的成果，或者以专著形式，或者以系列论文形式，总之是围绕一个课题而展开的。这种研究的优点是：全部为实证研究，是有组织、有计划、规模较大的调查研究；全部是有学术意义的课题，有极大的探索性；这类成果也包括给教育主管部门的咨询报告，为决策者出谋划策。其次就是专/兼职研究员们自选课题的科研成果。这些项目虽然没有在科研主管部门立项，但都是研究员们最感兴趣的课题，有的是多年积累沉淀的最后结晶，有的是把当年的博士论文继续修改、完善，使之与当今研究接轨的成果。第三类是，我们自己培养的博士生和博士后的成果，修改之后，通过评审，达到出版水平，也被纳入这个系列。第四类是学术会议论文集。中心每年举行一次学术研讨会，通过评审的优秀论文由中心编辑加工并加上适当的评介后结集出版。因此，这套系列专著的内容将十分广阔丰富，既有理论性很强的成果，也有突出实用性的成果，形式多样。我们的学术著作丛书是个开放的系列，首批已经成形的有9种，但随着中心研究工作的深入和发展，将会有更多有价值的专著问世。

我非常高兴地向读者推荐这套学术著作系列，我相信它会对语言研究者、外语教育研究者、外语教师、语言学硕士生和博士生及对我国外语教学有兴趣者，都有一定的参考价值。

我谨代表中国外语教育研究中心向外研社表示诚挚的谢意。

刘润清

2003年3月于北京

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中文摘要

时体作为重要的语法范畴，一直是理论语言学家和应用语言学家的研究重点。对中国的广大英语学习者和研究者而言，英语的时体既是重点又是难点。以前的研究表明，在英语过渡语中，时体的使用是复杂的变异现象。在某一种时体的必要语境（obligatory context）中，学习者既可能选择要求的时体，也可能使用其它时体类型。那么，这些变异有没有规律可循，又受哪些因素影响和制约呢？

以前的时体习得研究经常探讨某一种语言因素对英语时体使用的影响，但是时体使用实际上同时受到多种因素的影响，因此有必要进行多变量研究。作者考察了近年来为数不多的多变量研究，努力探索克服它们缺陷的新途径，提出了一个新的理论框架——过渡语变异模型（interlanguage variation model）。这个框架提出，多种因素可能同时影响一种变异现象，多种因素之间也可能有交互影响。

为了深入探讨时体变异的规律和特点，本书首先使用中国学习者语料库做了一个先导研究（preliminary study），发现英语中的一般过去时不仅使用频率高，而且也是最容易出错的时体之一，所以作者选择了一般过去时作为研究的焦点。本书集中探讨了六种语言因素对中国大学生在英语过渡语中使用一般过去时的影响。这些因素包括五种语言内因素（intralingual factor）：即动词突显度（verb salience）、情状体（lexical aspect）、时间状语（temporal adverbials）、小句类型（clause types）和语篇结构（narrative structure）；以及一种语言间因素（interlingual factor），即汉语体标记“了”。

本研究要解决的六个问题是：（1）一般过去时变异对哪些语言因素来说是有规律的，对哪些语言因素是没有规律的？（2）五种语言内因素对英语学习者使用一般过去时分别有什么影响？（3）这些语言内因素对英语学习者使用一般过去时有什么交互影响（interactive effects）？（4）一般过去时的变异对汉语的体标记“了”来说，是不是有规律？（5）汉语的体标记“了”对使用一般过去时有什么影响？（6）在英语学习者使用一般过去时的时候，语言间因素与语言内因素之间有没有交互影响？

本研究所用的语料是英语学习者就三个题目所写的120篇英语记叙文和与这些英语文本对应的汉语文本。调查的受试来自中国国内四所普通高校

(大连医科大学、曲阜师范大学、山东科技大学和莱阳农学院)的英语学习者。采集语料时,他们处于本科阶段第三学期的第一个月内。在英语记叙文中,作者选定所有一般过去时的语境作为分析的对象,标出使用的各种时体形式,特别是一般过去时的形式,包括正确的和不正确的。在本研究中,英语学习者使用一般过去时实际包括两种情况:正确使用一般过去时(the appropriate simple past use)和一般过去时标记(the simple past marking)。另一方面,我们也针对这些动词形式对所研究的六种语言因素进行了相应编码。本研究用到的语料处理方法包括各种统计方法,如卡方检验、交叉表、T-检验、方差分析、对数线性分析、Z-检验。

针对提出的六个问题,本研究得出的结论如下:

(1)一般过去时变异(simple past variation)对动词突显度、情状体、时间状语和语篇结构来说是有系统性的,但对小句结构来说是自由的。进一步的分析发现,一般过去时变异对语言因素间的某些交互作用来说是有系统性的。具体来说,对语篇结构和动词突显度之间的交互作用以及语篇结构和情状体之间的交互作用来说,一般过去时变异同样具有系统性。

(2)除小句类型外,其它四个语言内因素都对使用一般过去时有显著影响($p<.05$)。第一,规则动词用作一般过去时的比例显著高于不规则动词($p<.05$)。突显度假设(the saliency hypothesis)在规则动词内部和不规则动词内部都成立,即动词突显度越高,用于一般过去时的可能性就越大。这个假设可以用认知语言学中的图形与背景(figure and ground)理论加以解释。第二,情状体类型在一般过去时的使用方面有显著差别($p<.05$),但只有动态动词(包括活动动词、完结动词、达成动词)用于一般过去时的比例显著高于静态动词(即状态动词)($p<.05$)。这个发现部分地支持体假设(the aspect hypothesis)。第三,有时间状语修饰的动词用于一般过去时的比例显著高于没有时间状语修饰的动词($p<.05$),反映了时间状语对时体使用的提示作用。详细的时间状语分类对一般过去时的使用也有显著影响($p<.05$)。其中,对比型状语(adverbials of contrast)的促进作用最强,定量型状语(adverbials of quantity)的促进作用最弱。第四,在语篇结构中,前景部分中使用一般过去时的比例显著高于背景部分($p<.05$),支持语篇假设(the discourse hypothesis)。这个假设可以用图形与背景理论及其它几个认知原则加以解释。

(3)对数线性分析发现,动词突显度、情状体、语篇结构对一般过去时的使用有双向和三向的交互影响。针对它们的影响强度而言,语篇结构 > 情状体 > 动词突显度。

(4)一般过去时变异不仅对体标记"了"是系统的,而且当这个体标记

和动词突显度、时间状语、语篇结构分别发生交互作用时，它也是系统的。

(5) 体标记“了”能显著地帮助学习者使用一般过去时（$p < .05$）。它的作用可以运用连通论加以解释。

(6) 语言间因素体标记“了”和动词突显度、时间状语、语篇结构这三个语言内因素有交互作用，但和情状体没有交互作用。

本书对英语教学和外语学习研究具有比较重要的理论意义和实际意义，它提出的理论框架、使用的研究方法、得出的研究结果对第二语言习得和外语学习的变异现象，尤其是时体的研究，具有重要的启发作用。

English Abstract

One of the characteristics of tense/aspect use in English interlanguage is that the ways verbs are inflected in obligatory contexts are highly variable. It is a controversial issue whether such variable patterns are systematic or free. This study aims to investigate the effects of several linguistic factors on the simple past use in English interlanguage of Chinese-speaking learners. In a corpus-based preliminary study, simple past was identified as the topic of the main study, as it had both higher frequency and higher error rate. The linguistic factors involved in the main study comprise five intralingual factors (verb salience, lexical aspect, temporal adverbials, clause types and narrative structure) and one interlingual factor (the aspect marker *le*). These factors have been respectively found to affect tense/aspect development in various univariate studies, but this is the first study that incorporates all these factors in one project and explores both their individual effects and interactive effects on the simple past use based on the English data from college students in China. The theoretical framework adopted in this study is called interlanguage variation model. It is proposed by the present author for variation studies in SLA to avoid the limitations of other models.

This study addresses six research questions: (1) Is the simple past variation systematic with regard to some of those intralingual factors? (2) What individual effects do those intralingual factors exert on the simple past use? (3) What interactive effects do those intralingual factors exert on the simple past use? (4) Is the simple past variation systematic with regard to the Chinese aspect marker *le*? (5) What effects does the aspect marker *le* exert on the simple past use? (6) Does the aspect marker *le* interact with the intralingual factors?

The interlanguage data analyzed consisted of 120 English narrative compositions together with their Chinese versions produced by native Chinese speakers learning English (high-intermediate level) with a formal instructional background in P. R. China. As for the dependent variable, all kinds of tense/aspect forms in the obligatory contexts for simple past were coded so that the proportions of the appropriate simple past use and the simple past marking (all simple past forms

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including targetlike and non-targetlike forms) were computed. As for the independent variables, the six linguistic factors were coded following reliable classifications. The statistical methods such as Chi-square test, Crosstabs, T-test, ANOVA, loglinear analysis, Z-test were utilized during data processing and results presentation, and so were bar graphs and pie graphs.

Corresponding to the research questions, this study has obtained the following findings:

(1) The simple past variation was found to be systematic with regard to such factors as verb salience, lexical aspect, temporal adverbials and narrative structure, but free with clause types. Further analyses of the interactions among the four significant intralingual factors discovered that the simple past variation is systematic for some interactions but not for the others. Specifically, it is systematic regarding the interaction between narrative structure and verb salience and that between lexical aspect and narrative structure, but unsystematic in terms of the interaction between verb salience and lexical aspect and that among verb salience, lexical aspect and narrative structure.

(2) Except for clause types, all the other four intralingual factors have significant effects on the simple past use ($p<.05$). First, regular verbs are significantly favored more than irregular verbs in being used in simple past ($p<.05$). The saliency hypothesis holds true within either regular verbs or irregular verbs, namely, the more salient verbs are, the more likely they are marked in simple past. This hypothesis may be accounted for by the theory of figure and ground. Second, lexical aspectual classes differ significantly in the simple past use ($p<.05$), but only dynamic verbs (activities, accomplishments and achievements) show significantly higher percentages of simple past than stative verbs (states). ($p<.05$), so the aspect hypothesis is partly supported. Third, the presence of temporal adverbials significantly facilitates the simple past use ($p<.05$), reflecting their role of tense reminder. The detailed classification of temporal adverbials also significantly affects the simple past use ($p<.05$). Among them, adverbials of contrast show the strongest beneficial role, and adverbials of quantity the weakest. Finally, compared with the background, the foreground is significantly preferred for the simple past use ($p<.05$), which completely confirms the discourse hypothesis. It is motivated by the theory of figure and ground and other cognitive principles.

(3) The loglinear analysis revealed that there are both two-way and three-way

interactions among verb salience, lexical aspect and narrative structure with regard to the simple past use. In other words, every two and all the three of these factors have significant interactive effects on the simple past use. Comparatively speaking, narrative structure has stronger influence than lexical aspect that is stronger than verb salience.

(4) The simple past variation is systematic not only with regard to the existence of the aspect marker *le*, but also when this interlingual factor interacts respectively with verb salience, temporal adverbials and narrative structure.

(5) The presence of the aspect marker *le* was found to facilitate the simple past use significantly ($p < .05$). This finding can be accounted for with connectionism.

(6) The aspect marker *le* interacts with three intralingual factors, namely verb salience, temporal adverbials, and narrative structure, but does not with lexical aspect.

This study has both important theoretical and pedagogical implications. Its theoretical framework and research methods have enriched the research on tense/aspect use and can also shed light on the study of other variation phenomena in English interlanguage.

Abbreviations

ACC	accomplishments
ACH	achievements
ACT	activities
Asymp. Sig	Asymptotic Significance
AUSP	appropriate use of simple past forms
Basilang	the earliest stage of second language development
BEV	Black English Vernacular
CAH	contrastive analysis hypothesis
CCH	creative construction hypothesis
CL	classifier
CLEC	Chinese Learners' English Corpus
CT	clause types
DCVS	detailed classification of verb salience
df	degree of freedom
Dur	durative verbs
EFL	English as a poreign language
ESL	English as a second language
FLL	Foreign language learning
GCVS	general classification of verb salience
L1	first language
L2	second language
L_a	approximative language
L_s	source language
L_T	target language
MD	Mean Difference
MDH	markedness differential hyothesis
NL	native language
NS	narrative structure
NTSP	non-targetlike simple past forms

PAST	past tense and perfect aspect
PDP	parallel distributed processing
Prog	progressive forms
RCVS	refined classification of verb salience
RORs	reverse-order reports
SD	Standard Deviation
SLA	second language acquisition
SP	simple past
SPr	simple present
STA	states
TA	temporal adverbials
TAC	temporal adverbials of contrast
TAD	temporal adverbials of duration
TAP	temporal adverbials of position
TAQ	temporal adverbials of quantity
TAS	temporal adverbials of sequence
TL	target language
TOEFL	Test of English as a Foreign Language
VARBRUL	variable rule
Vs	verb salience

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