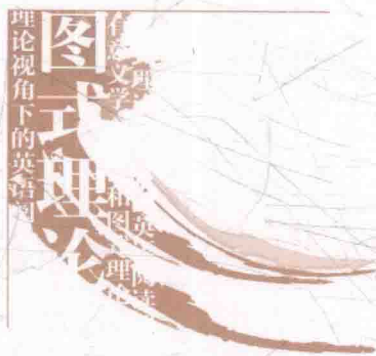


“十三五”国家重点出版物出版规划项目

 转型时代的中国财经战略论丛 

有意义学习理论 和图式理论视角下的英语阅读理解

刘艳梅 著



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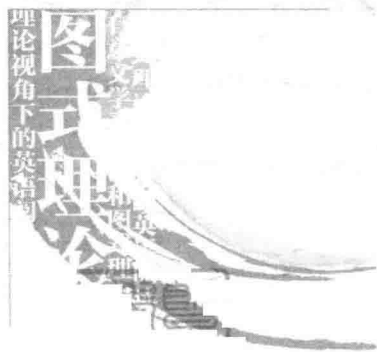
经济科学出版社
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图书在版编目 (CIP) 数据

有意义学习理论和图式理论视角下的英语阅读理解/刘艳梅著.
—北京:经济科学出版社,2017.12
(转型时代的中国财经战略论丛)
ISBN 978-7-5141-8802-8

I. ①有… II. ①刘… III. ①英语-阅读教学-教学研究
IV. ①H319.4

中国版本图书馆 CIP 数据核字 (2017) 第 312339 号

责任编辑:于海汛 胡蔚婷

责任校对:徐领柱

责任印制:潘泽新

有意义学习理论和图式理论视角下的英语阅读理解

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经济科学出版社出版、发行 新华书店经销

社址:北京市海淀区阜成路甲 28 号 邮编:100142

总编部电话:010-88191217 发行部电话:010-88191522

网址:www.esp.com.cn

电子邮件:esp@esp.com.cn

天猫网店:经济科学出版社旗舰店

网址:http://jjkxbs.tmall.com

固安华明印业有限公司印装

710×1000 16开 9.25印张 150000字

2017年12月第1版 2017年12月第1次印刷

ISBN 978-7-5141-8802-8 定价:26.00元

(图书出现印装问题,本社负责调换。电话:010-88191510)

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总 序

转型时代的中国财经战略论丛

《转型时代的中国财经战略论丛》(以下简称《论丛》)是山东财经大学“特色名校工程”建设的特色项目和重要成果,也是经济科学出版社与山东财经大学合作推出的系列学术专著出版计划的一部分,更是山东财经大学近年来致力于学术兴校战略一批青年学者在经济和管理研究方面的部分成果汇报。

山东财经大学是一所办学历史悠久、财经特色鲜明、综合实力突出,在国内外有一定影响的普通高等财经院校。学校于2011年由原山东经济学院和原山东财政学院合并组建而成。2012年成功实现财政部、教育部、山东省人民政府三方共建。2013年获得博士学位授予权,并入选山东省“省部共建人才培养特色名校立项建设单位”。山东财经大学还是中俄经济类大学联盟创始高校之一、中国财政发展2011协同创新中心和会计改革与发展2011协同创新理事单位。学校的发展为教师从事科学研究创造了良好环境和宽广平台。近年来,学校以建设全国一流财经特色名校为目标,深入实施“特色名校工程”,大力推进改革创新,学校发展平台拓宽,办学层次提高,综合实力增强,社会声誉提升,学校进入了内涵发展的新阶段。为推进“特色名校工程”建设,学校修订了科研成果认定和奖励制度,完善了科研评价与激励机制,同时实行“优秀青年人才特殊支持计划”和“青年教师境外研修计划”等,为青年教师脱颖而出和学术成长提供了政策保障。

随着经济全球化、区域一体化、文化多样化深入发展,新一轮科技革命和产业变革蓄势待发,我国经济发展进入新常态,但发展方式粗放、创新能力不强、资源环境约束加大等不平衡、不协调、不可持续问题依然突出,迫切需要更多依靠创新驱动谋求转型发展的出路。为了应

对当今世界的深刻变革，我国启动了“双一流”建设，对财经学科发展提出了严峻挑战，同时又面临难得的机遇。作为以经管学科为主的财经类大学，如何坚持科研服务社会、服务人才培养的方向，主动适应实施创新驱动战略的要求，自觉对接国家和区域重大战略需求，充分发挥在经济和管理研究领域的优势，为国家和区域经济社会发展提供更大智力支持、培养更多高质量人才，一直是财经类大学更好履行使命的重要职责。《论丛》的出版，从某种程度上应和了这种趋势和需求，同时，展现了山东财经大学“特色名校工程”的建设成效和进展，对激励学者潜心研究、促进学术繁荣发展、加强对外学术交流和扩大学校社会影响具有重要推动作用。

作为山东财经大学从事财经教育和人文社科研究的青年学者，都要积极应对和研究时代赋予的重大命题，以求是创新的精神风貌，遵循科研规律，坚持教研相长，长于独立思考，善于团结协作，耐得住寂寞，放得下功利，才能不断推进学术创新，勇攀科学高峰，孕育无愧于时代的精品力作，努力成为社会科学创新的新生力量。

《论丛》的出版凝结了山东财经大学青年学者的心血和汗水，尽管可能存在一些不足，但是正如哲人所言“良好的开端就成功了一半”。相信只要青年学者们持之以恒，不辍耕耘，必能结出更加丰硕的成果。伴随着中国经济发展、改革和转型步伐的加快，我们期待着有更多更好的学术成果问世！真诚欢迎专家、同行和广大读者批评指正。

山东财经大学校长



2016年5月17日

前 言

转型时代的中国财经战略论丛

培根在《论读书》一文中说道：读书足以怡情，足以博彩，足以长才。阅读作为一项重要的技能，不仅仅是学习者获取知识的重要手段，同样也是启迪思考、优化自身知识结构的重要途径。外语阅读的重要性可以从各类考试中所占比例窥见一斑。外语阅读虽然备受重视，但是一直以来人们对于阅读理解的过程如何产生，理解之后意义又如何保持，以及如何来促进学习者的阅读理解并没有达成一致的认识。

作为一线大学外语教师，笔者从事大学外语教学数十载，期间也目睹了学生在阅读理解过程中的种种困惑。老师，为什么我读得很流利，但是却没理解文章的含义？老师，为什么我单词基本都认识，阅读的效果却不好？老师，我觉得生词挺多的，有些地方不是很理解，但是题都做对了。老师，我到底应该怎么样去读？……

面对学生的种种疑问，笔者也在反思如何才能有效地教授阅读理解课程。长期以来，人的大脑被认为是一个神秘的“黑匣子”，对于里边发生了什么，人们无从得知。但是，随着认知科学的发展，人们逐渐在走近那个看似神秘的区域，大脑思维的过程也越来越可测可见。要想知道如何教授阅读理解，我们首先需要弄清楚有哪些因素会影响到阅读理解的过程。

有意义学习理论是奥苏贝尔在 20 世纪 60 年代提出来的一种学习理论，强调了学习的有意义性，以及学习者已有的认知结构对学习新知识的重要性。奥苏贝尔从认知的视角，在该理论中系统阐述了接受性学习中，学习者是如何获取意义的，并如何来对意义进行保持，以及哪些因素会造成学习者对新学知识的遗忘。由于奥苏贝尔强调接受性学习对学习者的的重要性，也被学界指责为过分强调学生的被动接受，而不注重学

生在创造性及发现性方面的学习，因而，很长一段时间受到了冷遇。

随着认知科学的兴起和社会文化理论的发展，近年来学界有由结构主义走向建构主义的倾向。建构主义秉承这样的理念：知识是学习者自己主动建构的，而非他人传递的。在这样的理论背景下，有意义学习理论再次成为研究的热点。有意义学习理论被认为是许多学科学习的理论基础，学习者原有知识结构成为学习者学习新知识的有力支撑，并被认为是基于概念的学习的理论基石。

有意义学习理论强调了原有认知结构的重要性，但是具备了支撑新知识学习的知识结构并不代表该结构就会自动发挥作用。学习过程中，学习者有没有利用原有知识结构？他们又是如何来利用的？这需要图式理论来帮助我们更好地阐释阅读的过程。

图式是储存在学习者头脑中的，从以往经历中得来的，对反复出现的情况的概括认识，它省略了细节而概括了一些相似情况的共同特点。图式理论借助格式塔完形心理学，对阐释阅读理解过程中学习者的主动性有更好的作用。众所周知，作者在进行写作时并不会把每一个细节都写出来，有很多信息是需要读者借助头脑中已有的关于某些事件的图式来进行引申和推理，建立命题和命题之间的关联，从而取得意义的连贯性。

学习者引申、推理、建立关联的过程，实际上反映了学习者积极主动融入阅读过程的状态。从这种意义上说，图式理论能更好地阐释学习者原有知识结构如何被激活并被积极运用到学习者的意义获取和记忆中去。也就是在这一点上，有意义学习理论和图式理论形成了某种相辅相成的关系，共同解释了学习者的阅读理解过程。

本书正是基于两种理论的相互兼容性和前人相关研究的不足，设计了两个实验研究。两个实验中阅读材料均以万圣节作为主题，采用对照组和实验组对比的研究方式。其中实验组被提前教授背景知识，而对照组对该主题背景知识知之甚少。第一个实验以高中生为受试，阅读文章为记叙文；第二个实验以大学生为受试，阅读文章为说明文。两个实验遵循相同的程序：阅读文章；之后收回文章，要求学生回忆文章内容（为保证受试充分回忆，允许受试使用母语）；一周之后，要求受试再次回忆文章内容。受试所回忆内容被分成意义单位，进行量化分析；受试回忆文本作为定性分析的依据。

研究发现,两种理论对于学习者的意义获取和意义的记忆有很强的解释力。有意义学习理论很好地解释了学习者原有知识结构对于学习者获取和记忆阅读材料中的意义的重要影响,而图式理论则从另一个方面阐释了学习者是如何积极主动地通过阅读材料来建构意义的。同时,本书还发现,在强调学习者原有知识结构的同时,学习者语言水平也不容忽视。语言水平太低会阻碍学习者激活相应的知识结构,换言之,学习者语言水平需要达到一定的临界值,背景知识方才能在意义获取和记忆中发挥作用。另外,本书还发现,体裁的不同也会影响到学习者对原有知识结构的利用程度。学习者在对记叙文的意义保持中,背景知识的作用要远远强于对说明文的意义保持。这与体裁差异带给学习者的任务难度可能存在关联,同时说明了在意义保持中及时巩固的重要性,尤其对于有一定学习难度的新知识。

本书为外语阅读教学提供了重要启示。外语阅读教学不仅仅需要关注教学材料中的词汇和结构,而且意义的产生以学习者是否将所学知识纳入到原有知识结构为标准。所以在阅读教学中,学习者认知水平、现有知识结构、语言水平等多种因素都应被考虑在内。外语阅读教学应该以有意义学习为根本,由关注文本转向关注学习者与文本的互动;由关注阅读结果转向关注意义产生的过程。

最后特别感谢为本书最后得以出版提供了很多帮助的人。首先感谢李学珍教授对本研究的设计和实施的给予的宝贵意见;感谢顾征老师和裴丽丽老师及她们的可爱的学生们积极参与了本实验;感谢出版社老师们的指导和对本书稿的编辑和校对。此外,感谢懂事的女儿给予了我莫大的理解和支持,让我深感欣慰。

限于本人水平,难免有疏漏不妥之处,敬请各位同仁和专家指正。

本书为山东省社会科学规划研究项目(编号16CZWJ32)的阶段性成果之一;是山东省教育科学“十二五”规划2015年度课题(编号YB15035)的阶段性成果之一;是山东财经大学校级教学研究课题(编号jy201529)的阶段性成果之一。

刘艳梅

2016年2月16日

于学景

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Introduction

It may be difficult to single out only one language skill as more important than others, but if we have to make a choice, comprehension would be a “prime contender for the honor” (Reed, 1982: 257), because much of what people learn depends on their ability to comprehend or understand written material. That is why Carrell (1988) claimed that the most important purpose to learn a foreign language is to read. Given the paramount importance of reading in daily life as well as in classroom, there should have been enough understanding on the nature of reading. Unfortunately, however, as many works have revealed, too much has been said in the field of reading without knowing exactly what reading is.

What is reading? According to *American Educators' Encyclopedia* (Dejnozka & Kapel, 1991: 469), reading comprehension refers to the “process of discriminating visual features that appear on a printed page and inferring meaning there from.” From this definition, it can be said that reading is composed of two interrelated stages: (1) The recognition of the graphic words in the print, which is only the first step to comprehend a text; (2) For the understanding of meaning, there must be the extraction of meaning from these graphic words, which, inevitably, will involve the effort of comprehenders.

However, for rather a long time, ignorant of these two interrelated stages, scholars of traditional teaching methods held two improper assumptions of reading: (1) They tended to equate reading to the visual process of identifying the graphic words in the print, thus explaining reading as merely a perceptual process; (2) As for the emergence of meaning, they preferred to

take it as the natural consequence of the recognition of the input, thus neglecting the role of comprehenders. In other words, in the traditional view, mastery of the linguistic forms of a text would guarantee the comprehension of the text.

Guided by these assumptions, the common practice in traditional teaching was to fragment the whole passage into isolated components and make a detailed analysis of them and then stopped at that. Reading, in this way, was reduced to a means of language acquisition, leaving the main purpose of reading—to extract meaning or to understand the content of the text—neglected. When it came to the 1960s, this view got even enforced, with the influence of behaviorism and structuralism and the ensuing T - G Grammar, which all laid great stress on language itself and took text as an autonomous entity.

It should be admitted that the acquisition of language is one important purpose of reading, especially for readers of a foreign language. However, as Goodman and Niles (1982: 103) have pointed out “language is always a means, and only rarely an end in itself”. So the acquisition of language in reading should serve as a means of attaining information at last, not an end in itself.

However, where is meaning from? Does it reside in the medium—the language, as the second assumption implies? If it were, with the detailed analysis of the vocabulary and grammar of the text, students should have got a rather full understanding of the text. Contrary to the expectation of some scholars, even with the full competence of the words and structures, most students fail to read adequately in the foreign language as Alderson (1984: 1) has reported. Very frequently, students reading in a foreign language seem to read with less understanding than one might expect them to have. Obviously, language itself does not generate meaning automatically for readers. Besides the problem of knowing words and grammar of the language, there must be other causes of difficulties learners would confront.

What are the other factors? As is known, in the reading process, there are no more than two factors in play: one is the text, the other being the reader. If there are difficulties apart from language, they are from the reader.

After the 1970s, especially with the development of cognitive psychology, scholars gradually realized that reading is Neither simply a language problem, nor a mere visual process, but a cognitive one as well.

Cognitive psychology views reading in light of readers and acknowledges that the cognitive readiness or the prior knowledge of readers will exert great influence on the reading process as well as on the reading product. By adopting a cognitive perspective, more attention is paid to what goes on within the internal recesses of the readers' mind where lies the sense of the printed page, instead of merely examining the events external to individuals as traditional teaching has done. This shift represents a marked divergence from the traditional form or text centered teaching to a content or meaning oriented reading and is expected to bring about great improvement in the teaching and learning of EFL reading.

In this study, the author would adopt two theories-meaningful learning theory and schema theory-to highlight the influence of readers' prior cognitive structure, or schemata in helping readers' meaning acquisition and meaning retention. Meaningful learning theory stresses the importance of readers' prior cognitive structure in acquiring new knowledge and schema theory stresses the process that learners actively use the cognitive structures in reading. These two theories both conform to the cognitive and constructivist view and they are complementary to each other.

To summarize, in view of the negative effect of traditional assumptions on the current teaching, this study is an attempt to explore where meaning comes from and how readers acquire and retain meaning by adducing meaningful learning theory and schema theory. The purpose of this study is two-fold: (1) To reveal the nature of reading from meaningful learning theory and schema theory so as to enhance teachers' as well as students' understanding; (2) To testify the effectiveness of meaningful learning theory and schema theory by carrying out a survey. The outline of this book is as follows:

Apart from Introduction and Conclusion, this book includes the following parts:

Chapter 1 is an exploration on the nature of reading. In this part, the study is first concerned with some dichotomies in teaching and learning of reading. Then further explorations on the nature of reading from psychological, cognitive and interactive perspective are reviewed, and finally the nature of reading was concluded from these perspectives.

Chapter 2 is a full account of meaningful learning theory. The following topics were covered in this chapter: what meaningful learning is, how meaningful learning helps in meaning acquisition and meaning retention, how forgetting happens in meaningful learning, the implication of meaningful learning and review of previous studies on meaningful learning theory abroad and at home and the shortcoming of meaningful learning theory.

Chapter 3 is the introduction to schema theory. The origin of the theory, the theory itself, what roles it plays in the reading process and how it enhances comprehension and retention are first analyzed. After the theoretical justification of this theory, relevant empirical studies abroad as well as at home are reviewed.

4 Chapter 4 is the methodology of this empirical study. Theoretical and empirical rationale for this study is analyzed and then research questions are put forward. What follows is the research design, in which the participants, instruments, procedures, scoring are all given concise but detailed descriptions.

Chapter 5 is concerned with the results and discussion. Results from these two experiments analyzed by SPSS are shown and explained. Quantitative as well as qualitative analysis is carried out in detail to answer the three research questions.

Chapter 6 explores the pedagogical implications drawn from this study and puts forward some suggestions for the current teaching of EFL reading.

Chapter 1 Exploration on the Nature of EFL Reading

1.1 Disputes on the Nature of EFL Reading and Manifestations in Practical Teaching

Behaviorism and structuralism together with the ensuing T – G Grammar, with their prevalence and dominance in the linguistic field from the turn of the 20th century to the 1960s and 1970s, had exerted great impact on various aspects of language teaching. Reading teaching was no exception. Manifested in reading practice, the basic point of this trend was that text itself contained meaning and meaning was in the text. Under the influence of this view, there have arisen many misconceptions in teaching practice. In fact, these misconceptions have such a far-reaching influence on reading teaching that they have not only affected teaching practice of the structuralism and the T – G Grammar time, but also produced an influence on the current teaching and harmfully impeded the development of the learning and teaching of reading. These disputes can be summarized (though maybe not exhaustive) as mainly due to the following six pairs of confusion among scholars.

1.1.1 Form or Meaning

Driven by the misconception that reading was a matter of recognizing or identifying a series of words and phrases, traditional teaching viewed the

meaning of a sentence as the sum total of discrete words, and paragraphs the sum of sentences, thus in practical teaching segmenting whole paragraphs into discrete sentences, and sentences into discrete words or phrases. Reading problems, accordingly, were regarded solely from deficiency in language and the teaching of reading was reduced to mainly an instrument of language instruction. Manifested in teaching practice, rather than offering a mix of comprehension based instruction, textbooks were unduly overemphasized, the idea that mastery of textual vocabulary and structures was the requisite for reading in a foreign language was promoted, and exercises were designed to treat vocabulary and grammar as entities in themselves, distinct from functional use. Rarely is attempt made to connect grammar with meaning. Consequently, learning the formal properties of language has become the priority in traditional teaching.

6 However, as Goodman (1982a: 127) has put it, too much emphasis on formal properties of language and the practice of segregating the process into constituent bits or skills for the purpose of research or instruction “qualitatively changes not only the process, which through its interrelationships is much more than the sum of its parts, but also changes the nature of the parts, since they normally function as part of a complex process.” In fact, “words in isolation or sentences out of context are hard to determine what meanings they have” (Goodman, 1982a: 127). Words only get meaning as a virtue of occurring in sentences (Smith, 1971: 36), and sentences, in context. To separate words or phrases in sentences for the convenience of analysis is no different from breaking up a table into logs. Even students can understand the isolated forms, what they get is not a picture of the whole table, but pieces of logs used to structure the table.

Therefore, word for word emphasis is an unsuccessful strategy if meaning extraction is the goal (Barnett, 1988b). This emphasis will divert the focus of students' attention to surface details rather than communicative substance, and condition learners to think of foreign language reading as a mechanical activity in which the task is to fit in with all the parts of the puzzlement together rather than using the pieces to create a picture.

1. 1. 2 Focus-on Form or Focus on Forms

Followed the dispute between form and meaning comes the debate between “focus on forms” and “focus on form”. Focus on forms is the traditional and older method, which calls for exclusive focus on the linguistic forms when teaching a target language, often consisting of drill-type exercises such as conjugation exercises. The sole application of this teaching method leads to students’ learning of words, phrases or structures in isolation and their inability to use in larger context.

In view of the drawbacks of this method, Long (1991) put forward another contrasting term-focus on form. Different from focus on forms, focus on form entails bringing linguistic elements (e. g. , vocabulary, grammatical structures, and collocations) to students’ attention within the larger context of a meaning-based lesson in order to anticipate or correct problems in comprehension or production of the target language.

The distinction between the two, according to Ellis (2001), has something to do with how students view themselves and the language: In a “focus on forms” approach, students view themselves as learners of a language and the language as the object of study; while in “focus on form”, on the other hand, learners view themselves as language users and language is viewed as a tool for communication.

1. 1. 3 Recoding or Decoding

This is a distinction made by Goodman. According to Goodman (1982b: 53), “decoding” implies that one is going from code to something other than code—that is meaning or message in reading, while “recoding” refers to a process from code to code.

Reading, as its definition implies, should undoubtedly be a process of decoding rather than one of recoding, because anything, as Goodman (1982b: 52) has put it, short of meaning extraction is not reading at all. Evident as the