

SELECTED WORKS OF
on Applied Linguistics

SUSAN GASS

盖 苏 珊
应用语言学自选集 ①

Susan Gass (美) 著

Selection Series
of World-Famous
Applied Linguists

世界应用语言学
名家自选集

I was always drawn to topics that allowed me to approach linguistic issues from the perspective of second language learners. In fact, my Ph.D. dissertation (1979) reflects this and the articles that I have chosen to include in this volume begin with studies that strongly reflect this interest.

Altogether 43 journal articles and book chapters are selected for this book. These papers are divided into four categories: 1) Linguistics and Processing. These papers reflect my early interest in formal linguistics. 2) Language in Context. There are two general areas that I have published in in this area: Input & Interaction and Speech Acts. 3) Research Methodology and 4) Papers of a General Nature.

That is, they are often position papers that deal with SLA in relation to other disciplines, or are papers that make theoretical statements about the field as a whole.

Each section reflects the chronological order in which they were published. As can be seen, some of the strands of my research actually moved along in parallel fashion. As I continue my writing, my current research is beginning to focus more on psycholinguistics topics.

Susan Gass

外语教学与研究出版社

FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS

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**Dedicated to those who have been with me
for this journey**

**Josh Ard
Gertrude Zemon-Gass
H. Harvey Gass**

出版前言

“世界应用语言学名家自选集”丛书收录世界知名应用语言学家的学术论文和专著章节，结集成书，共10部。本丛书的出版可填补两方面的空白：1. 以世界知名应用语言学家为主线的自选集；2. 以应用语言学学科为主题的系列丛书。

应用语言学有狭义和广义之分，狭义的应用语言学指跟语言教学密切相关的学科，如二语习得、教学法、语言测试等；广义的应用语言学则指利用语言学的理论解决社会生活的实际问题的边缘学科，如社会语言学、翻译学、词典学、文体学等。本丛书除有些学者的研究集中于狭义的应用语言学概念之外，一般采用广义应用语言学的概念。

本丛书选用的文章多散见于国外学术期刊、论文集和专著，时间跨度较大，读者不易觅得。这些文章汇集成自选集，充分展示了诸位名家对应用语言学各分支学科的研究脉络，是应用语言学研究领域不可多得的材料，可作为英语教师、英语专业研究生、师范院校英语本科生等从事科研、撰写论文的参考文献。

丛书编写体例如下：

一、收录发表于学术期刊、论文集中的学术论文以及学术演讲，文章字数无严格限制。专著中的章节酌情收录。

二、所收论文的语言仅限英语。

三、所收论文的内容须与应用语言学有关，纯语言学理论、文学研究、国情研究类论文不收录。

四、所收论文大多为原已发表过的文章，基本保持原貌以尊重历史的真实。文章一般注明论文发表的时间和发表刊物的名称(或论文集、专著书名)和期号(或出版社名)。文章格式也基本保持发表时的原貌。未在刊物上发表过的文章，如演讲等，则注明对外发布(成稿)的时间、地点和场合。

五、作者可将新的观点以尾注的方式放在相应论文的后面，表明作者目前的观点与当时有所不同。

六、每部选集作者撰写自序，详细地记录作者求学、教学、治学的经历和感悟。书后附有作者主要学术著述的目录。

世界应用语言学名家自选集编委会

2009年2月18日于北京

世界应用语言学名家自选集

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Preface

Putting this book together turned out to be more interesting than I thought it would be when I was first approached to put these papers together. The project forced me to think about where I started and how I got to where I am today. My thinking has been influenced by many individuals, among them the excellent students that I have had over the years who have questioned various aspects of my work and who have, as a result, forced me to tighten up my thinking. Jennifer Behney, in particular, helped with the introduction to this volume, providing summaries of my works. I am grateful to her for undertaking this task.

My parents, Gertrude and Harvey, had confidence in my abilities to complete my degree and to fulfill myself. They stood by me and supported me all the way through my memorable academic career. My brother, Roger, took most of the creativity in the family, but was kind enough to leave a little bit for me. I have always admired his abilities to see things from an artist's perspective. My children, Aaron, Seth, and Ethan were always supportive of their mother and, even though they might not always have wanted to admit it, were proud of my accomplishments. I am grateful to have three such wonderful sons who always provided me with more intellectual stimulation outside of my academic work than I could ever have imagined. They kept me on my toes. And, now, to the mix have been added two incredible daughters-in-law, Kerry and Rabia. Both are brilliant in their own academic areas, but beyond that they bring their own intellectual perspectives to the family and make family gatherings more interesting. I feel blessed for the general environment that they have all given me. But, most of all, I owe my husband, Josh, more than I can express. He has stood by me during all of the ups and downs of academia. Being there was all I ever asked. I got that and much much more. Thanks to all of you. I love you and am grateful for each and every one of you.

Susan M. Gass
Williamston, Michigan
November 24, 2006

序

在应用语言学和二语习得研究领域，无人不知盖苏珊。她担任国际应用语言学会主席多年，2008 年才卸任。仅凭这点便知国际学者们对她学术成就的推崇。提起盖苏珊，人们很自然联想到她的二语习得研究。她与 Selinker 合著的《二语习得概论》于 1994 年出版，后来再版两次，是迄今全面了解二语习得研究的重要参考书，也是相关领域的研究生通用教材。她是应用语言学和二语习得国际权威期刊上曝光率和引用率最高的学者之一。此自选集里的论文多半发表在这类学术期刊上，始于 1970 年代中后期，时间跨度约 30 年。也正是在这 30 年间，二语习得研究作为一门独立的学科，从发展的初级阶段逐步走向成熟与兴盛。可以说，盖苏珊的学术研究经历与二语习得学科的发展几近同步。她在二语习得领域所开展的研究、所取得的成果、所做出的贡献、所累积的认识，无不打上了学科各个发展时期的烙印。反映这位学科知名人物学术成就的研究论文集可谓是一部学科发展史的缩影，读来启迪颇多。

从盖苏珊在书中所叙述的个人学术经历来看，要在二语习得这个领域里取得像她那样的学术成就，有三个条件是必要的：一是有比较丰富的外语（第二语言）学习体验，二是对外语学习过程有浓厚的兴趣和好奇心，三是有良好的语言学基础。成人一般难以忆起儿时学习母语的经历，虽可从旁观察，但要想破解一门语言的奥秘，学好这门语言，必须重新体验语言的学习过程。语言学习的真实过程不是在课堂里能够完全体验到的，最好到目的语国家去，在真实的语境里与当地人互动，实实在在体验语言的鲜活使用。盖苏珊在中学时期学习意大利语，两次前往直意大利，在那里生活过一年，意大利语说得很流利。大学三年级再次到意大利时，她常常反思自己的意大利语为什么学得成功，反思他人为什么不成功，反思自己到底做了些什么而学会了意大利语。之前她也学过法语，但自认法语学得 not 怎么样，相信她做过对比，从而领会到了成功的因素。学习意大利语的经历和反思无疑为她后来的理论探索提供了经验支撑和印证，不至于偏离常识去搞研究，堕入迷途，使得成果经不起科学的推敲和历史的检验。由于她对外语学习研究有着浓厚的兴趣，即使当时二语习得研究未如今普及，即使她读研究生时大学里连个二语

习得学科都不存在,即使她最初只能选择理论语言学专业,她也未曾放弃对二语习得的深入思考和研究。她后来转入二语习得研究正是得益于系统学过语言学。毕竟二语习得研究是跟语言打交道,研究的是学习者的语言。没有语言学基础,是不可能对学习者的语言有深刻的认识并进行科学的描述的,更不可能在二语习得的研究道路上走得很远。

正因为盖苏珊对第二语言学习过程有着浓厚的兴趣和好奇心,又有过外语学习的互动体验,对互动的重要性有着比较深切的体会,当她专注于二语习得研究时,便把研究的重点放在了互动上,此书中的大部分论文均与互动研究有关。早在1980年代,她把人际互动中促学的因素进行了深入细致的实证研究,其中包括非本族语说话者之间、非本族语说话者与本族语说话者之间、男女学生之间的互动差别,语境对互动的影响,语言输入与互动之间的关系等等。例如,盖苏珊通过实证研究发现,互动有助于本族语说话者理解非本族语说话者,互动之后接下去提供输入,促学作用更加显著。她对互动的执着研究给我们一个重要启示:互动过程很可能潜藏着促进语言学习最重要的机理,要揭示第二语言是如何学会的,研究的重心理应落在互动上。人们会问,为什么互动对促进外语学习有如此大的作用呢?这可能与语言的使用本质有关。语言的使用离不开语境,而互动总是发生在语境里,同时互动本身也在不断创新语境。互动是动态的,伴随互动而生的语境自然也是动态的。学习语言是为了学会使用,只有在动态的互动语境中学习,才能学会用语言、学好语言。是互动凸显了语境对外语学习的重要性。因此,盖苏珊将互动研究的论文划归到语境中的语言(Language in Context)部分下面是顺理成章的。

迄今为止,对二语习得的互动研究至少也有30年了,研究是否已经到头了呢?答案应该是否定的。过去的研究只反映了以往的认识,而人类的认识是无止境的。随着研究的深入,加上交叉学科的影响,有关互动研究的新发现还在不断冒出来。例如,近年心理语言学领域关注结构启动的研究,研究成果为深入探讨二语习得中的互动促学现象带来了新的启示。盖苏珊不仅注意到了,而且正如她在介绍自己研究经历时所提及的,她正在进行句子启动的研究。

除互动研究外,盖苏珊对二语习得领域的其他方面也进行了深入研究,并取得了非凡的成就。例如,她对二语习得研究工具的探讨和开

发，对整个二语习得领域全局性的理论研究，均有独到的见解和创新之处。特别值得一提的是，盖苏珊曾与 Selinker 合作，将第一次语言迁移国际会议的论文于 1983 年精选结集出版，第二次语言迁移国际会议之后于 1992 年又更新了原来的版本。时至今日，这两本书仍被学者们广泛引用，是推进语言迁移现象研究的重要参考书。迁移现象是二语习得的内在特征，几乎所有二语研究都难以完全回避，是永不枯竭的研究课题。盖苏珊对语言迁移研究的贡献不会被人忘记。总之，她的研究成果，无论是论文还是专著，都为推进二语习得学科的发展做出了突出贡献，为人类认知自身行为留下了宝贵的知识财富，也为后来者找准研究课题提供了视野开阔的指南。

王初明
广东外语外贸大学教授
2009 年 2 月

Autobiographical Statement and Research History

Introduction

My interest in language goes back many years, probably to about 1955 when I first started to study French. Although my French today is not particularly good and despite a language-teaching methodology that reflected the era, my interest in language and in other peoples was piqued. In 1960 I had the extraordinary opportunity to spend a summer in Italy. It was my first trip abroad and I became even further fascinated by how other cultures lived and, of course, spoke. Following my graduation from high school in 1961, I had a life-changing experience—living in Italy for a year. The family that had hosted me during the summer of 1960 invited me back to live with them for a year. I attended an international school in Rome, but also spent a significant amount of time studying Italian, speaking Italian, listening to music in Italian and eventually became quite fluent in the language.

I returned to the United States in 1962 to begin my university work. I continued my language study in French (there were no Italian courses at my university) and began to study German. I was fascinated by language, but there were few opportunities at that time to do much with language other than study literature. After flirting with a major in physics at Wheaton College in Norton, Massachusetts, I found myself at the University of California at Berkeley in 1963 with a large number of possibilities for coursework, including the possibility of majoring in Italian. At that time, I discovered the field of linguistics and took an introductory course. It was precisely what I wanted because of its emphasis on language and not literature, but in order to do a study-abroad year in my third year of university, I had to continue with my major in Italian.

My junior-year found me in Italy once again where I continued to study Italian, particularly Italian literature. My reasons for studying literature were utilitarian—it was the only field of study that would allow me to spend time in Italy. But, despite my formal study of Italian literature, art, and history, I continued to be fascinated by language and spent a considerable amount of

time thinking about what I was doing as I was learning Italian. Why was I successful and others not?

After my 1966 graduation from the University of California at Berkeley, I enrolled in Middlebury College's Master Degree program which included a year in Italy. Once again, I was studying Italian literature, art, and history despite my growing interest in language *per se*. My studies were interrupted by the flood in November in Florence, but during that time, I took the opportunity to continue my focus on language and language learning.

Following my graduation from Middlebury, I took a hiatus from my studies, primarily because the programs that were available to me focused more on the humanistic areas of Italian rather than purely on language. I worked for Pan Am Airways. I worked as a translator and an interpreter, and I taught Italian to young children in an international school in Rome. This latter experience was a turning point in my life and, to this day, I am not certain why I continued to be involved in language teaching. With no teaching experience, I was put into a classroom of approximately thirty six-year olds as an Italian instructor. But, it was not an ordinary homogeneous language class because there was an enormous amount of variation in language abilities and language experience among the children in the class. Approximately 1/3 had been born in Italy and had lived there their entire lives. Hence, they were essentially native speakers of Italian with bilingual abilities. Another 1/3 had come to Italy about two years before and were quite fluent in Italian although not quite as good as the other group. And then there was a third group of students who had just arrived and had no knowledge of Italian. With this as a backdrop, a wide range of language abilities and a teacher with no teaching experience whatsoever, it is easy to imagine that this was not a happy position. At this distance from the event, I think that it caused me to think seriously about what is involved in language learning and particularly what is involved in language teaching.

A few years later I enrolled in graduate school—having discovered the discipline of linguistics. At this point (late 1960s to early 1970s), there was not an identifiable discipline of second language acquisition. I was at UCLA in the department of linguistics and at UCLA at that time there was a TESOL program with faculty members like Evelyn Hatch doing work that I found quite interesting. But that program and Evelyn were in a different department and there was virtually no connection between that department and the

Department of Linguistics where I was enrolled.

Finally, in 1975 I transferred to Indiana University where my husband had a position teaching in the Linguistics Department. Even though there were no courses in second language acquisition, there were courses in so-called Applied Linguistics which interested me. I took a course in language testing and fell in love with everything related to second or foreign language learning. I enrolled in the Ph. D. program at Indiana University and the rest is history as far as my interest is concerned.

As my graduate research progressed, I was always drawn to topics that allowed me to approach linguistic issues from the perspective of second language learners. In fact, my Ph. D. dissertation (1979) reflects this and the articles that I have chosen to include in this volume begin with studies that strongly reflect this interest.

The papers are divided into four categories: 1) Linguistics and Processing, 2) Language in Context, 3) Methodology and 4) Papers of a General Nature. Each section reflects the chronological order in which they were published. As can be seen, some of the strands of my research actually moved along in parallel fashion.

Linguistics and Processing

The papers in the first section, as mentioned above, reflect my early interest in formal linguistics. In addition to these articles, I have published three books that relate to these topics:

- 1992 *Language Transfer in Language Learning*. (Ed. with Larry Selinker). Amsterdam: John Benjamins. Paper back available, 1994.
- 1989 *Linguistic Perspectives on Second Language Acquisition*. Cambridge: Cambridge University Press. (Ed. with J. Schachter).
- 1983 *Language Transfer in Language Learning*. Rowley, MA: Newbury House. (Ed. with L. Selinker).

The following papers are included in this first section.

No.	Year	Article Title	Place of Publication	Volume and Page Numbers/ Publisher	Co-Author (if any)
1	1979	Language transfer and universal grammatical relations	<i>Language Learning</i>	29, 327-344	
2	1980	L2 data: their relevance for language universals	<i>TESOL Quarterly</i>	14, 443-452	Josh Ard
3	1982	From theory to practice	<i>On TESOL '81</i>	Washington, D. C. : TESOL. pp. 129-139	
4	1982	Sentence processing by L2 learners	<i>Studies in Second Language Acquisition</i>	2, 85-98	
5	1984	Second language acquisition and the ontology of language universals	<i>Second Language Acquisition and Language Universals.</i> Ed. by W. Rutherford	Amsterdam: John Benjamins. pp. 33-68	Josh Ard
6	1984	Development of speech perception and speech production abilities in adult second language learners	<i>Applied Psycholinguistics</i>	5, 51-74	
7	1984	A review of interlanguage syntax: Language transfer and language universals	<i>Language Learning</i>	34, 115-132	
8	1986	An interactionist approach to L2 sentence interpretation	<i>Studies in Second Language Acquisition</i>	8, 19-37	
9	1987	Lexical constraints on syntactic acquisition	<i>Studies in Second Language Acquisition</i>	9, 233-252	Josh Ard
10	1987	The resolution of conflicts among competing systems: a bidirectional perspective	<i>Applied Psycholinguistics</i>	8, 329-350	
11	1989	Language universals and second language acquisition	<i>Language Learning</i>	39, 497-534	
12	1991	Accounting for interlanguage subject pronouns	<i>Second Language Research</i>	7, 181-203	Usha Lakshmanan
13	1999	Incidental vocabulary learning	<i>Studies in Second Language Acquisition</i>	21, 319-333	
14	2003	Differential effects of attention	<i>Language Learning</i>	53, 495-543	Ildiko Svetics & Sarah Lemelin

The volume opens with papers based on linguistics or processing. As mentioned earlier, my interest in second language acquisition began following my involvement in the study of linguistics. The first paper stems

from my dissertation research. I started from some very interesting work by Keenan and Comrie (1977) which attempted to characterize relative clauses in the world's languages. This research emphasized cross-linguistic universals. At this point, I was concerned with second-language data and I attempted to determine if and if so, to what extent interlanguages manifested the same properties as so-called natural languages. In other words, if the characterization of relative clauses that Keenan and Comrie claimed held for the world's languages was valid, would it be equally valid for interlanguages? I set out to investigate precisely that question. The results suggested that second language data, for the most part, follow the same universal principles as do natural languages, suggesting an implicational relationship among relative clause types. The first paper and another one that does not appear here are based on that dissertation research.

The second paper appeared in the *TESOL Quarterly* and built upon the research reported in the first. Again I considered the role of language universals in second language acquisition. In this study we considered effects of cognitive development on first and second language acquisition of relative clauses and found that while first language acquisition is influenced by stages of cognitive development, second language acquisition is much less so. Because of this difference we suggested that second language acquisition provides a much better source of data for the study of language universals than first language acquisition. This research strengthened my belief that SLA should be instrumental in the development of new theories of language.

The third paper also built upon the findings of the first paper taking my dissertation research into the classroom. The research asked the following question: If there is an implicational relationship that holds for second language data, is there a way that a pedagogical intervention can take advantage of that implicational relationship? This study finds that, indeed, there are ways that we can take advantage of what we know about second language acquisition when planning classroom curricula. In particular, by providing instruction on relative clause types that are lower on the Accessibility Hierarchy, benefits accrue to relative clause types that are higher on the hierarchy, that is, to relative clause types that are implicated by those on which instruction was provided.

The fourth paper looked at sentence processing of native speakers, advanced non-native speakers, and beginning non-native speakers. As much research had been conducted on L2 speakers' productive behavior but

comparatively little on their perceptive behavior, I set out to investigate the learners' perception of clicks superimposed on sentences in order to better understand the learners' parsing of sentences into chunks. I found that native speakers tend to perceive the click on syntactic boundaries in sentences regardless of where it actually fell, implying that native speakers use syntactic boundaries to process sentences. Interestingly, I found that non-native speakers, unlike native speakers, used word stress as an important factor in perception of the click and therefore in breaking the sentence into chunks. Syntactic processing was not a factor in the L2 learners' parsing of the sentences.

My interest in language universals continued, however, and my next paper "Second language acquisition and the ontology of language universals" written with Josh Ard reflects this. This paper considered how language universals influence second language acquisition processes and how this influence is revealed depending on the type of universal. We discussed various sources of language universals including physical basis, perceptual/cognitive basis, language acquisition device, neurophysiological basis, diachronic basis, and interactional basis. We also presented various examples of language universals, including the aforementioned Accessibility Hierarchy of relative clauses in syntax, the devoicing of final obstruents in phonology, predictions of word order based on the placement of verbs and direct objects, and the semantics of tense/aspect systems. This article proposed a framework for considering how language universals can be used to explain the patterns that we see in second language acquisition.

The next paper "Development of speech perception and speech production abilities in adult second language learners" departs from most of my work by considering the area of phonology, in particular, focusing on production and perception of voice onset time of /b/ and /p/. What I argued in this paper is that non-native speaker perception differs from native speaker perception in that for the former group, sounds are perceived continuously rather than categorically. Not surprisingly, learners are influenced by both the native and the target language, but as a function of time (there was a longitudinal component to this study), learners either adopted a more categorical approach to perception or they were influenced less by both native and target language perceptual boundaries. Another important finding was the nonparallel development of perception and production.

My next article "A review of interlanguage syntax: Language transfer and language universals" appeared in *Language Learning* in 1984. In this

article I reviewed the literature in two of the areas that affect the acquisition of the syntax of a language, namely language transfer and language universals. I detailed the history of language transfer research beginning with contrastive analysis and continuing through more recent ideas about the part that transfer plays in the acquisition process. This was followed by a summary of the research that had been carried out on language universals. I concluded the paper with the assertion that second language acquisition could be an even more important avenue for research into language universals than first language acquisition, a point also emphasized in earlier work.

The eighth paper highlights my continuing interest in L2 sentence processing. In this paper I found that second language learners acquire syntax, semantics, and pragmatics as an interactive phenomenon. I found that when syntactic and semantic information in a given sentence diverge, beginning level non-native speakers rely heavily on semantics to judge the subject of a verb in a given sentence, whereas more advanced learners and native speakers rely more on syntactic information. For example, in the sentence “The dog told the man to go”, less proficient speakers would choose the actor of the second verb based more on meaning while more proficient learners would choose the actor of the second verb based on the word order in the sentence. Here too I found that language universals affect second language acquisition, in particular acquisition of syntax; the semantically-based Topicality Hierarchy—which shows that human, then animate, then inanimate nouns respectively are more likely to be considered topics in a given construction—was supported by my research.

The ninth paper also looked at acquisition of syntax, in particular how it is affected by lexical constraints. The paper reported the results of a grammaticality judgment test given to low level and high level non-native speakers. We found less differentiation among lexical items among lower level students, more semantically based differentiation among higher level learners, and greater non-semantically based lexical differentiation at lower levels.

In 1987 I wrote the article entitled “The resolution of conflicts among competing systems: A bidirectional perspective” which appeared in *Applied Psycholinguistics*. This paper was based on a study that I conducted comparing how native English speaking learners of Italian and native Italian speakers of English judged the subject of a sentence. Italian is a language which is more sensitive to semantics than English which is more syntactically based. L1 Italian EFL and ESL students and L1 English IFL and ISL