

# 英语专业学生 语际语用能力及其 培养模式研究

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ILPCD Model:  
A Case Study of BEU

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# 序 一

我和马腾相识是在十几年前，即 20 世纪 90 年代中期，上海市教委有一个针对西部贫困地区的教育扶贫项目，我受上外教务处之托前往宁夏大学给宁夏地区高校的英语教师做了一个语用学方面的系列讲座。对当时的宁夏高校教师来说语用学还是个陌生的词汇，前来听讲的年轻教师个个都十分认真，对知识的追求十分迫切，马腾就是其中之一。第二次和马腾相遇则是在上外的同等学力硕士研究生班。在繁忙的教学和工作中，马腾勤奋努力、刻苦钻研、矢志追求学业进步的执着精神令我感动，我最终决定把他收入门下。第三次再见马腾则是在上外研究生部为同等学力博士生所办的课程班上，我没有想到这位年轻人在拿到硕士学位后仍不满足，还是不依不饶地瞄准下一个更高的目标。我收下了这个学生，他也如期拿到了博士学位。我和马腾的三次相遇恰好标出了他个人在学术追求和成就方面的三个台阶。十多年前一个青涩的青年教师如今已是一名相当成熟的中年教授了。

这本题为《英语专业学生语际语语用能力及其培养模式研究》的专著是以马腾的博士论文为基础的。语际语语用学是 20 世纪 80 年代兴起的语用学分支。我国是一个英语教学大国，学生在英语学习过程中语用能力的习得和培养自然成为外语教学研究的一个热点，因而自 20 世纪 80 年代以来国内这方面的研究和论文、论著等大量涌现。但是马腾所做的这个研究在某种意义上可以说是独树一帜的，因为他所研究的是民族院校英语专业学生语际语语用能力及其培养，而迄今国内

大量的语际语语用研究几乎都是以汉族学生为对象展开的,但少数民族学生和汉族学生相比,在语言背景、文化背景方面的确存在明显的差别,在外语习得方面遇到的困难更大。马腾开展这方面的研究具有他得天独厚的有利条件,他本人是回族,曾长期生活和工作在宁夏回族自治区和民族高校,对少数民族学生就汉语和自己民族语言的掌握程度、汉语文化和自己民族文化的了解程度以及由此对其学习英语这门外国语所产生的问题和困难都有最直接的了解。马腾对自己的研究提出了三个问题:(1)民族院校英语专业学生语际语发展的现状如何?(2)民族院校英语专业学生语际语语用能力发展过程中的问题或薄弱环节究竟在哪里?(3)如何改进现有教学以有效提升民族院校英语专业学生的语际语语用能力?可见马腾的目标不仅包括对现状的调查,还包括提出针对问题的解决办法。通读全书我们不难发现马腾通过自己的深入调查和对调查结果的细致分析在很大程度上达到了自己的既定目标。

如何培养和提高我国广大英语学习者的语际语语用能力是个大课题,有难度;而如何培养和提高我国少数民族英语学生的语际语语用能力虽然涉及的学生人数要少得多,但是难度要大得多。马腾的这部专著为这方面的研究开了先河,引起了学界对这个问题的关注和重视,为今后同类研究提供了一个范例;从更广的意义上来说,这一研究对民族院校外语专业教学大纲的制定、教材的编写、教学方面的改革以及教师的教育和发展都具有理论价值和指导意义。

祝贺马腾这部专著见版,预祝他一如既往地学术上孜孜以求、再接再厉、取得更大的成就。

何兆熊

2013年1月写于上海外国语大学

## 序 二

语际语语用学 (interlanguage pragmatics) 是 20 世纪 80 年代兴起的语用学分支, 开山之作是 Kasper (1981) 的《语际语的语用学方面》(*Pragmatische Aspekte in der Interimsprache*)。语际语语用学是一门二语习得和语用学的交叉学科, 该研究以语际语语用学为基础, 一方面探讨学生 (非母语使用者) 语际语中的语用现象和特征以及这些现象和特征形成和发展的规律; 另一方面探究母语使用者通过语言接触而形成的跨文化语际语语体、语际语形成和变化的条件、语际语和源发语的关系和语际语的交际效果等。纵观近 30 年来的国内外语际语语用学研究, 成绩斐然。但研究重点多集中于二语使用者的目的语语用特征, 而对其语用能力的形成和发展以及三语语用能力的形成和发展, 即语用能力的习得研究较少。人们渐已明确外语语用能力的培养十分重要, 但在传统外语教学中却被长期忽视, 语用教学还没有得到充分的重视。至于汉语语境下民族院校英语专业学习者的语际语语用能力发展的专题研究尚属空白。鉴于此, 本选题运用言语行为说、会话原则 (合作原则、礼貌原则) 说、饰面工作说、语际语说、语用迁移说、语用石化说、认知说、顺应说和跨文化交际说等作为立论根据, 以北方民族大学为个案, 就民族院校英语专业学生的语际语语用能力及其培养模式进行了定性一定量相结合的截面性专门研究。

民族院校是具有中国特色的, 民族院校的英语专业教学更是具有中国特色的。在中国 55 个少数民族中, 53 个民族有自己的本民族语



言, 29 个民族有自己的文字。横跨汉藏、阿尔泰、南亚、印欧和南岛 5 个语系, 另有两种语言的语系尚未确定 (参见附录四)。文字体系涵盖表意文字、音节文字和字母文字。有的民族甚至不止一种文字。譬如, 蒙古族使用两种文字、傣族使用四种文字。从历时和共时的角度来看, 各民族语言文化之间和各民族与汉民族语言文化之间都有民俗文化方面的交流和影响。其间存有共性, 但因语系的多样, 差异固存。加之, 即使在同一语系, 也因不同语族和语支存有差异。这些语言类型学上的差异和民俗文化学方面的迥异必然在英语作为二语或三语的语用中表现出其寄生性和迁移性。换言之, 就少数民族整体而言 (除在语言方面已汉化了的回、满、土家等民族外), 在英语作为三语学习中, 既要受母语文化的干扰, 也要受汉语语言和文化的影响。因此, 民族院校有民族院校的特点, 民族院校的英语专业教学有其自身的特点和复杂性, 无前人铺就的道路可走, 也无一个惯一或统一的模式去遵循。如 Thomas (1983), 本研究认为民族作为一个变量影响英语学习、影响学习者英语语用能力的养成, 民族院校英语专业学生语际语发展现状总体不容乐观。基于以上假设, 本研究主要回答了以下三个问题:

- (1) 民族院校英语专业学生语际语发展的现状如何?
- (2) 民族院校英语专业学生语际语语用能力发展过程中的问题或薄弱环节究竟在哪里?
- (3) 如何改进现有教学以有效提升民族院校英语专业学生的语际语语用能力?

本研究支持了预期的假设。根据拟建的语际语语用能力培养终极目标 (准确性、适切性、流利性和跨文化语用敏感性), 研究表明民族变量和语用能力成绩之间存在明显的相关性; 单语汉族学生总体上优于单语和双语少数民族生, 即汉族学生优于单语少数民族生, 单语少数民族生优于双语少数民族生; 但局部而言, 单语少数民族生和双语少数民族生在语用语言和社交语用方面存在不确定性。这也进一步证明了民族院校英语教学的复杂性。同时, 亦表明受试的语用语言失误和社交语用失误在语际语语用能力模式中的套语语言能力、以言行事交互能力、隐喻能力、社交文化能力、语篇能力和策略能力等子能力方面存在一定困难。研究认为, 民族院校英语专业学生语际语语用能

力方面的差异并不说明种族的优劣,亦无意于实施文化帝国主义,从根本上改变其民族文化身份,而是说明民族是影响外语学习的一个主要因子,民族院校英语专业学生语际语用能力的培养需要语用教学的干预,以便学习者在跨文化交际中更加有效地顺应于目的语语言文化。鉴于此,本研究提出了基于主题的教学模式和相应的教学策略以有效培养民族院校英语专业学生语际语用能力。

中国少数民族居住地占 67% 还要多的国土。然而,他们多分布在老少边穷地区。因此,本研究不仅具有深远的现实意义,而且对民族院校这一多元文化群体的英语专业教学、大纲修订、教材编纂、教师教育和发展以及教学改革等具有一定的理论价值和指导意义。

马腾

2013 年 1 月

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## Abstract

**I**nterlanguage pragmatics (ILP) was a newly arising subject in the 1980s, pioneered by Kasper's *Pragmatische Aspekte in der Interimsprache* (1981). As a second-generation hybrid of two different disciplines—SLA and pragmatics, it, on the one hand, investigates the pragmatic phenomena and features together with the formative and developing rules concerned in non-native speakers' interlanguage (IL), and on the other hand, explores native speakers' stylistic varieties of intercultural IL formed through language contact, the conditions for interlanguage formation and change, the relationship between IL and the source language, the communicative effects of IL, and the like. The past three decades have witnessed a promising increase in ILP research. But the focus is mainly on nonnative speakers' pragmatic features of the target language rather than on the formation and development of their pragmatic competence (PC), or on that of L2 and/or L3. Though it is evident that the development of such competence is of paramount importance, it has been neglected in traditional foreign language teaching and learning practice for a long time and the development of students' pragmatic competence has not been paid due attention to, to say nothing of the research of English majors' interlanguage pragmatic competence development (ILPCD) in ethnic

universities (EU) in the Chinese context. Considering this, this research is intended to be a cross-sectional case study of Beifang Ethnic University on the ILPC of English majors and its development model in EU, applying the theories of speech acts, conversational principles (CP & PP), face-work, IL, pragmatic transfer, pragmatic fossilization, cognition, adaptation, intercultural communication, and so forth.

Ethnic universities are definitely a unique feature of tertiary education in China, and so is the teaching and learning of the English specialty concerned. Out of the 55 ethnic minorities, 53 have their own ethnic languages and 29 have their own writing systems. The language family covers at least five ones, i. e. the Sino-Tibetan, the Altai, the South Asiatic, the Indo-European, and the South Island. Besides, there are even two ethnic languages whose identities have not been determined (cf. Appendix IV). Their writing systems vary from the logographic, the syllabic, to the alphabetic. Some even have two or four writing systems (e. g. Mongols and Dai, respectively). Diachronically and synchronically, all the ethnic minority groups have experienced mutual ethnographic communication, influencing one another, including the Han Chinese, both in language and culture; thus some cultural features are found to be shared. Meanwhile, due to typological differences, deep-rooted variations are also in existence. Even within the same language family, branch, or group, there exist differences both in language and subculture. And these fossilized typological differences and ethnographic variations are endowed with the features of parasites and transferabilities in the pragmatic aspects of the English language as an L2 and/or L3 for ethnic learners of English in EU. In other words, for ethnic minority learners of English as a whole (excluding the linguistically acculturated Hui, Manchu, and Tujia learners in this study), they are doomed to suffer both the mother tongue interference and that of the official language, Chinese, linguistically and culturally. As a result, ethnic universities have their special characteristics, and accordingly the teaching and learning of the English specialty has its own unique features and complexities. Thus, there is no established model for us to



follow. In tune with Thomas (1983), the present research hypothesizes that ethnicity is a key factor affecting English language learning and the ILPCD at issue and that the overall PC of English majors' in EU is far from satisfactory. Based on such hypotheses, the research is conducted with the following three questions as the key issues:

1. What is the current situation of the IL pragmatic development of English majors in ethnic universities?
2. What problems and weaknesses are there in the ethnic minority English majors' development of their IL pragmatic competence?
3. How can the problems and the weaknesses identified be dealt with?

The findings of our research provided answers to the above three questions as expected and supported our hypotheses. With reference to the established terminal objective in ILPCD, i. e. accuracy, appropriateness, fluency, and intercultural pragmatic sensitivity, the research revealed that there is a significant correlation between ethnicity and PC performance, and that globally the monolingual Han learners of English outperformed the other monolingual and bilingual ethnic minority learners, i. e. HAN > HMT > OTH, but locally the monolingual HMT and the bilingual OTH varied in pragmalinguistic aspect (PM) and/or sociopragmatic aspect (SP), which proved further the complexities of English language teaching in EU. The research also illustrated that learners' pragmatic failure in PM and SP varies with regard to formulaic linguistic competence, interactional competence, metaphoric competence, socio-cultural competence, discourse competence, and strategic competence. The present research holds that the differences and variations examined do not reveal that there exists established superiority of a certain ethnic group in learning a foreign language or that it is fundamentally necessary to change the ethnic learners' ethno-cultural identity with an intention of cultural imperialism, but that it is urgent to develop ethnic English majors' ILPC in terms of pragmatic teaching intervention so that they would adapt themselves efficiently to the target language and culture in intercultural communication, since ethnicity is a key factor affecting ILPCD. Thus, to effectively

improve ethnic learners' ILPC, the present research proposes the theme-based instructional model and some corresponding strategies.

As a large unified multi-national state, China has 55 ethnic minority groups covering more than 67% of its total territory. But for historical and geographical reasons, they usually reside in the thinly populated and isolated rural regions or areas. It is an obligation of ethnic universities to train intellectuals for ethnic minority groups and ethnic minority regions to promote their development. Therefore, the present research is not only significant in practice but valuable in theory, for teaching, learning, syllabus revision, coursebook compilation, teacher training and development, and teaching and learning reform, in ethnic universities.

**Key words:** English teaching and learning of English specialty in ethnic universities, interlanguage pragmatic competence, developmental model, teaching & learning strategies, pragmatic transfer



## Abbreviations

Adv	advanced learners
ANOVAs	analyses of variance
Begin	beginners
BEU	Beifang Ethnic University
C	city
CALL	computer-aided language learning
CC	communicative competence; capital city
CCSARP	Cross-Cultural Speech Acts Realization Projects
CP	cooperative principle
DCTs	discourse completion tasks
EFL	English as a foreign language
EQ	Ethnicity information questionnaire
ELT	English language teaching
EMs	English majors
ESL	English as a second language
EU	ethnic universities
F	female
FL	foreign language; first language
FLL	foreign language learning
H	the hearer
HAN	learners from the Han ethnic group
HMT	learners from the Hui, Manchu, and Tujia ethnic