

**Acquisition, Assessment and
Application: Theory and Practice of
Teaching Chinese in Higher Education**

**Applied Chinese
Language Studies VII**

Edited by
Binghan ZHENG
Zhiyan GUO



Acquisition, Assessment and Application: Theory and Practice of
Teaching Chinese in Higher Education

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Selected papers from the British Chinese Language Teaching Society
The 2015 International Conference

Acquisition, Assessment and Application: Theory and Practice of Teaching Chinese in
Higher Education

Applied Chinese Language Studies VII

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Preface

The 13th BCLTS International Conference at Oxford University has attracted more than 170 participants from all over the world, with over 120 papers presented concerning topics of teaching and learning Chinese in higher education. It was the first time ever in the history of BCLTS that 33 parallel sessions have been delivered across the three-day conference. After the conference, we have received about 50 submissions, with 24 papers being accepted and herein presented after rigorous peer-review practice. In this volume entitled *Acquisition, Assessment and Application: Theory and Practice of Teaching Chinese in Higher Education*, the 24 papers were divided into three parts under the headings of “Lexical-Grammatical Acquisition Research and its Application”, “Assessment and Affection of International Chinese Education”, and “Skill-based Pedagogical Research and Teaching Practice”.

Part I includes eight papers concerning the topics of lexical-grammatical acquisition research and its application. The first chapter compares the English structures with their Chinese translation where *ba-sentences* (把-sentences) must be used, in order to study the classification and teaching strategies of Chinese *ba-sentences* in second language acquisition. The paper suggests that the order of different types of *ba-sentences* should be taken into serious consideration and that it might confuse learners of Chinese as a foreign language (CFL) if the order of teaching different types of *ba-sentences* is made according to the length of the sentences. The authors explain the grammatical and semantic structural features of the English sentences whose Chinese equivalents must be expressed by *ba-sentences*, in order to make English-speaking CFL learners realise the necessity of using this structure and increase the accuracy of using them. As an implication for teaching *ba-sentences*, the paper points out that the structure “S + *ba* + O + V + *dao* + a place” should be taught first.

In Chapter 2, Hongbo Sun and Changli He investigate the syntactic derivation of Mandarin conditionals. Based on the analysis of previous attempts on conditionals, they propose a merger approach and argue that conditional operator which locates at the linker position (i.e. head of CondP) between antecedent and consequent clause functions to check out the matching of conditional markers of both clauses, albeit it cannot be phonetically realized at surface. Conditional markers locate at their respec-

tive [C, CP] positions. The authors further argue that the antecedent is base-generated at its original position, against the idea that it is moved out from the consequent clause. The syntactic operation is merger instead of adjunction between antecedent and consequent, semantically it is conjunction. Both parts of the sentence merge in syntax, which completes a conjunction projection in meaning, followed by a matching checkout of conditional markers, thus to achieve the conditional reading of the sentence as a whole. They raise two empirical evidences, i.e., speaker-oriented adverbs in conditionals and the comparison between temporal adverbials and conditionals, to show that the merger approach complies with homomorphism principle between syntax and semantics, and the conditionals are actually conjunction phrases in nature.

In Chapter 3, Lingfei Wu studies on the boundary function of “*le*” from the perspectives of Chinese verb classification and its pedagogical effects. The author firstly divides the Chinese verbs into three categories, i.e., zero motion-unit verb, single motion-unit verb and multi motion-unit verb. He then points out that there are two kinds of boarder in linguistic phenomena: the boarder of motion unit of a verb and the boarder of the event. “*Le*”, when following a verb means the end of the motion unit, while at the end of the sentence it means the end of the event. Moreover, “*le*” has two kinds of different functions: the left direction function and the right direction function. In a sentence, the function “*le*” mainly depends on what kind of verbs it matches. As a result, it is not necessary to divide “*le*” in to “*le1*” and “*le2*”, and pedagogically it will be much easier for foreign students to learn and use “*le*”.

Chapter 4 investigates how Belgian and Danish learners of CFL use comparative sentences in their writing, by collecting samples produced by 83 students and then identifying the errors there. The paper categorises the errors into different types, including comparative item-related errors, comparative result-related errors and blending of both. The authors find that comparative structures such as NP1 跟 / 和 NP2, NP1 比 NP2 and NP1 没有 NP2 are used most frequently with a quite high error rate, but the highest error rate actually occurs in using 不比 and this was also what students tend to avoid using in their writing. Therefore, the authors recommend that the teaching of such comparative structure should be arranged at the intermediate stage, rather than at the beginner level.

In Chapter 5, Kaizhen Ge explores the semantic meanings of *qishi* (其实) in different registers and their relations to its pragmatic functions. This research is undertaken on the basis of CCL corpus of Peking University and the media texts from a TV programme called *Luyu Youyue* (鲁豫有约). The author verifies that in formal writing, the main function of *qishi* is to make an explanation, and secondly, it serves as a logical link between topics of conversation or as a mark of turning to a different topic, whereas in spoken genres it mainly works as clear articulation, acting as a mark of interpersonal discourse to express an interlocutor’s attitudes, or to allow a speaker some time in organising his or

her utterances.

Chapter 6 looks into the phonetic, grammatical and semantic features of *chimi* (痴迷) as suffixes for words of people in modern Chinese, using the data relating to *mi* (迷), *kuang* (狂), *chi* (痴), *gui* (鬼), *chong* (虫), *kong* (控), *fen* (粉) in the CCL corpus of Peking University and the Baidu website. The author finds that *mi* appears to be the prototype of this type of suffix and is used most frequently in the actual communication due to its characteristics such as variety in collocation, unambiguity in expressing the meaning of ‘fascination’, neutrality in word colouring and high productivity in word formation. The other six suffixes with the similar meaning play apt descriptive roles with their different semantic functions such as commendatory or derogatory. In teaching these words to CFL learners, practitioners should clarify their pronunciation, meaning and grammatical usage to help lead to accuracy in production.

In Chapter 7, Bing Hao points out the lack of grammar syllabus in developing country-specific textbooks. The paper suggests that some textbooks may not have followed a crystal clear syllabus in their development. The author finds out that the teaching of *ba* (把) sentence in the three commonly used textbooks including *Boya Chinese*, *New Practical Chinese Reader*, and *Chinese Jiaocheng* is arranged in roughly the same sequence, i.e., the structure S + ba + O + V + zai/dao/gei... is taught before the structure S + ba + O + V + result complement. However, Vietnamese students are found to grasp the latter structure more easily than they do to the former due to their L1 influence. Therefore, it appears necessary to pay more attention to the diversity and individuality of material development in teaching Chinese as an international language.

Chapter 8 analyses Korean students’ errors in using different types of complements in Chinese and revisits these types according to Korean students’ specific needs. In order to increase the effectiveness of teaching, the author suggests to re-categorise complements into three groups including complements of degree, direction and prepositional sentences, rather than seven (including complements of result, direction, possibility, degree, modality, quantity and prepositional sentences) as in many grammar books currently used.

Another seven papers have been selected for Part II, mainly focusing on assessment and affection of international Chinese education. Professor Hongyin Li from Peking University contributes the first chapter, in which he revisits the subject attributes and the sustainability of international Chinese education based on a comprehensive review of previous understanding on this discipline. Borrowing some concepts from science and philosophy, and observing the nature of this discipline from its basic structure, Li points out that the international Chinese education should be given humanity, empirical, sharing, inheritance and narrative attributes. He argues that an insightful understanding of its attributes is the basis of sustainable development of international Chinese education. The article critically points

out that the brand new understanding toward this discipline will contribute greatly to the training of international Chinese teachers as well as the promotion of professionalism of international Chinese education.

Dongshuo Wang and Minjie Xing in their chapter investigate the relationship between anxiety, self-efficacy and emotional competence, and how they affect language learning achievements. By utilizing the three instruments of *General Anxiety Scale*, *New General Self-efficacy Scale* and the *Short Profile of Emotional Competence*, the study draws upon the quantitative data triangulated with qualitative data from a focus group interview. They find that anxiety is negatively correlated with self-efficacy but positively related to emotional competence. A significant trilateral interaction occurs between anxiety, self-efficacy and emotional competence. Pedagogical implications for foreign language learning and teaching are suggested.

Chapter 11 investigates Chinese language learning in the university context, guided by the expectancy-value theory and achievement goal theory. Different from most motivational studies that used the quantitative methodology, this study adopts a qualitative approach, conducting classroom-based research to investigate adult learners' achievement motivation across one academic semester. Influenced by the process-oriented principles and the context-dependent nature of motivation, this study tracks the motivational developments of four language learners during a Chinese language course over four months. The findings show that students' achievement motivation undergoes great changes during the entire semester, due to the evolving perception of comparison among peers at different learning stages. Those developmental changes could give insights to the establishment of class activities and teacher feedback at corresponding learning stage, in order to enhance students' engagement, performance, and persistence in Chinese language courses.

Chapter 12 explores how a social context underpinned by the Vygotskian concept of Zone of Proximal Development (ZPD) helps the interaction between teacher and students by taking students' in-class writing compositions during the 12-week course as a formative assessment tool. The author finds that students' learning happens in a classroom setting where they are guided by their teacher to complete composition. Meanwhile, the same setting allows the teacher through the mediation of compositions to be aware of how effective his own instructional practices are and to continue to improve the overall course development.

Chapter 13 investigates the demotivation factors that affect learners' attitudes and behavior towards their learning of Chinese characters, exposes the characteristics of these factors in different learning periods and offers possible solutions. Data has been collected through surveys and interviews with students from University College Dublin over two years. Results show that local teaching methods and educational concepts need to be further adopted by native Chinese teachers. Learners'

ability to learn Chinese characters needs to be assessed and learning strategies need to be properly guided. This chapter also reveals the changes of these factors with Information and Communications Technology becoming more integrated into the Chinese teaching and learning process.

Enlightened by the ideas of “assessment for learning” and “assessment as learning”, Chapter 14 explores a new style of oral examination through the perspectives of assessment and guidance on competence enhancement, including the construction of structure of spoken language competence, the strategies of oral communication, the application of authentic topics, the design of multi-perspective oral interactions, and the development of comprehensive oral tasks. The chapter also refers to the practice of public and within-school examinations to discuss the directions, contents and approaches of improving oral language examinations.

The last chapter in Part II adopts both quantitative and qualitative approaches to analyse the dataset consisting of characters and words of different grades which CFL learners should study at beginners, intermediate and advanced stages. This paper points out a promising direction, which grading of character and words in relation to textbook development could be heading towards.

Part III includes nine papers about skill-based pedagogical research and teaching practice. It starts with Chapter 16 which tries to explore the importance of including translation exercises in teaching materials for non-Chinese learners in higher education. The author argues that Chinese teaching materials should include translation exercises in lexical, sentential and textual level. Non-Chinese learners could master the principles to follow in making sentences through translation exercises and comparing the grammatical differences between their native language and Chinese. Hence, contrastive analysis and translation strategies are two major learning approaches in international Chinese education, which should be widely adopted in editing teaching materials.

In Chapter 17, Zhiyan Guo applies the notion of natural translation and the concept of language brokering and cultural mediation to the curriculum design for the advanced level of teaching Chinese as an international language. Broadly speaking, translation in both daily life and professional contexts could be taken as mediation between the two parties who may not understand each other without the intermediary role played by a translator. This paper gains insights into how a translation module can be taught to students of non-language majors, having reviewed some pedagogical research on translation in universities inside and outside the UK, and suggests that a module of cultural translation be a good option for the higher level of CFL learners.

Chapter 18 explores how culture schema can be constructed and eliminated in the process of translation, by analysing examples from literary translation practice. The author argues that translation can be perceived as a process of intercultural communication where the translators with bilingual linguistic and cultural capacities could make cultural adaptation, revision, addition and reduction to

codes and pragmatic functions of source texts due to the differences in culture, means of communication, ways of thinking, value system and social conventions.

Chapter 19 studies on teaching strategies of general culture and literature with the course run by the Chinese University of Hong Kong as a case study. By taking the course *Chinese Culture and Literature* as an example, the author explains his pedagogical approaches in teaching such module, including unit teaching, close reading and culture interpretation. Apart from detailed discussion, this chapter also provides readers with questionnaire survey data for further reference, in helping them with designing relevant modules.

In Chapter 20, Ying Su lists the key points in developing ancient Chinese textbooks for CFL learners and how to teach them more effectively. The author illustrates how to enable the teaching of grammar points to be connected with each other, how to explain new words in class by comparing ancient and modern Chinese vocabulary items, as well as how to design exercises at different stages outside class to enhance the application of ancient Chinese knowledge to practice in modern contexts.

In Chapter 21, Gang Li and Xiaolei Bie base their study of teaching Chinese characters on the analytic thinking model of Western students. They review the literature on the current situation and problems in teaching characters to CFL learners and suggest a series of principles in developing textbooks focusing on characters, including prioritising orthography, emphasising regularity, concentrating on radicals and components. They also advise on how to teach characters according to the logic within characters.

To meet the challenges from the age of new media, teachers have tried different online platforms to engage their students outside of the traditional classroom setting. Yifan Chong in Chapter 22 explores the possibility that the new media makes the learning personalised for students, from lesson plan, material preparation to course administration, assessment and evaluation. Based her study on the MOOC in Beijing Language and Culture University, the author aims to construct a model of individualised learning to enhance the learning of Chinese outside contact hours.

Chapter 23 first of all briefly reviews Error Analysis (EA) in theory and reports on authentic practice. Errors from class, coursework and test sources are categorised, analysed for likely causes and then strategised for future treatment. This paper establishes a ‘live’ taxonomy of its small population’s error processing, including details of teacher interventions. EA experienced as an ongoing learning process appears to offer scaffolding and assurance, as well as a potentially enjoyable and ‘thinking’ journey towards accuracy.

In the last chapter of this volume, Ruth Herd seeks to suggest the way in which the application of the detective fiction genre can be applied to language teaching, not just in the creation of reading materials, but also when taken as the basis upon which to construct entire courses. The chapter also il-

lustrate how this genre format has been successfully applied at the university setting to the assessment of oral competence.

At this point, we would like to take the opportunity to express our appreciation firstly to Ji Xianlin Foundation (季羨林基金会), Universities' China Committee in London (UCCL) and Sinolingua London Limited for their generous funding supports to the success of this conference, and publication of this edited volume. Secondly, great appreciation goes to BCLTS honorary advisors, committee members and Oxford organising team who have contributed enormously to the organisation of the conference, and to Ms Ranran Du for her meticulous editing of this volume. Finally, we sincerely appreciate our review team for their valuable and constructive feedbacks, and to the authors, who were open to and grateful for the input from their peers. As editors, we have also grown through our involvement in editing this book, and feel that we are all moving towards a higher level in understanding theories and practice of teaching Chinese in Higher Education.

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April 2016

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Dr Zhiyan Guo is Senior Fellow of Higher Education Academy, UK, Principal Teaching Fellow at the University of Warwick and the current Editor of British Chinese Language Teaching Society. She is the author of the book *Young Children as Intercultural Mediators: a Study of Mandarin-speaking Chinese Families in Britain* published by Multilingual Matters in 2014. After completing her PhD with the UK Oversea Research Scholarship, she has worked on projects concerning Internationalisation, e-learning, teaching and assessment. Having been review editor of journals, published articles and edited books on Chinese pedagogy, she also co-authored a chapter with Prof. Nigel Hall on Child Language and Child Brokering in *Interpreting Brian Harris: Recent Developments in Translatology*, published by Peter Lang in 2012. Her research interests include intercultural communication, language acquisition, Chinese characters and reading, and language teaching and technology.

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|第一部分|

Part 1

The Classification and Teaching Strategies of Chinese *ba*-sentences in Second Language Acquisition

面向二语习得的汉语“把”字句类型 研究和分类教学策略^{*}

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摘 要: 针对母语为英语的汉语学习者使用“把”字句时的实际困难, 我们从汉英双语的角度研究“把”字句的语法意义及其在跟“把”字句对应的英语句子中的实现方式, 从中发现“把”字句的语义类型及其对制定相应教学策略的指导意义。我们首先从语法结构和语法意义两个方面总结跟“把”字句对应的英语句子的规律。接着, 我们重点分析他们的构式类型与情状类型。研究发现, 跟“把”字句对应的英语句可以区分出不同的构式小类, 而且其中动词及动词短语具备有界性的特点。在此基础上, 我们利用跟“把”字句对应的英语句子来帮助学生

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更好地理解“把”字句的语法意义，进而帮助他们学会正确地使用不同类型的“把”字句。

关键词：“把”字句；语法结构；语法意义；有界性；二语习得

1. 引言

汉语“把”字句对于英语为母语的学习者来说是一个看似简单，但是难以掌握的语言现象。具体来说，母语为英语的第二语言学习者在学习“把”字句时遇到的实际困难主要体现在两个方面：一是回避使用“把”字句。例如在李宁和王小珊（2001）设计的“阿凡提测试”中，学习者在复述故事时，将故事中的“把”字句都用非“把”字句代替。二是过度使用“把”字句。靳洪刚（1983）指出，以英语为母语的学习者在“把”字句的补语使用中容易犯错误，如：

（1）a.* 请你把那杯桔子水喝

b.* 请你把酒喝吧

c.* 他没把小猫头鹰吃一吃

从这些病句可以看出，学习者不知道什么时候该用“把”字句，而什么时候又不该用“把”字句。要想回答什么时候该用“把”字句，什么时候不该用“把”字句这个问题，实际上并不容易。因为这一方面要求仔细了解“把”字句内部的句法语义限制，另一方面要求了解“把”字句的语篇和语境限制。结合前人的研究成果，我们重点从“把”字句的句法语义限制这一方面进行研究。

（一）“把”字句的复杂性

在“把”字句的本体研究中，有关“把”字句的成立条件、语法意义和生成方式是讨论最为集中的三个方面。以处置说为例，胡附、文炼（1955）指出，“我把那五十块钱丢了”并没有处置义。对此，沈家煊（2002）认为，这其实是表示了一种主观上的处置，即指说话人主观认定主语甲对宾语乙作了某种处置，用来解释表示出乎意料、不如意或追究责任的“把”字句。相较于集中在语法意义方面的激烈讨论，王占华（2012）则“主张淡化语义因素，主要从结构项目和时间顺序的角度解析‘把’字句”。王璐璐（2013）也倾向于从形式上区分出“把”字句的不同语义小类。我们认为，“把”字句是一种复杂的语言现象，其语法意义的复杂性与其结构的复杂性是相辅相成的。本文重点考察“把”字句在英语中的表达方式，为“把”字句的分类提供一个明确的参照系。

(二) 汉英语言之间的差异

在汉英对比的文献中,有代表性的有柯飞(2003)、王蕾(2008)和胡开宝(2009)。这些研究分别从翻译技巧与策略,汉英表达方式的差异以及文化表现等方面考察了“把”字句的英语表达的特点。本文重点从汉英对齐语料^①中总结出跟“把”字句对应的英语句子在形式与意义上的特点。如下所示:

(2) a. 我把它拉动了(《老人与海》)(源语言)

b. I moved him

(3) a. Or someone took him. (《阳光下的星期一》)(源语言)

b. 有人把他带走了。

上面的(2b)和(3a)分别是以汉语和英语为源语言的句子。根据这些例句,我们可以考察出什么样的英语句子一定要翻译成“把”字句。按照这个思路,我们在汉英双语平行语料库的基础上,重点考察跟“把”字句对应的英语句的语法规律与语义规律,以反观“把”字句的句法语义特点。

(三) 教学设计存在的问题

在“把”字句的教学实践中,常规的说明是将主动宾句的动词后宾语成分前移到“把”字的后面,即“提宾说”。但是,实际的情况是,并不是所有的“把”字句都有对应的主动宾句。照此,学习者容易过度使用“把”字句,如前例(1a-c)。对此,我们倾向于采用分类教学的策略。但是,有些分类标准存在一些问题。如下所示:

表 1.《语法等级大纲》中“把”字句的分类

类别	句型	例句	频率 ^②
甲级	主+把+宾+动+一/了+动	你把你的意见说一说。	2%
	主+把+宾+动+补语	我把信寄走了。	28%
乙级	主+把+宾1+动(在/到/给)+宾2	他把那件上衣放在床上了。	36%
	主+把+宾+动+了/着	他把大衣丢了。	4%

可以看出,《语法等级大纲》对“把”字句教学的顺序安排是有些问题的。甲级中的“主+把+宾+动+一/了+动”这类“把”字句的结构虽然比较简单,但是使用频率只有2%,

^① 语料选自《人民日报》汉英双语对齐语料中的200句“把”字句句对和CCL双语对齐语料库中电影字幕的200句“把”字句句对。

^② 语料选自北大中文树库中抽取的2545句“把”字句。

而且这类“把”字句的语法意义并不是典型的处置或者致使。如果把它放在初级阶段,学习者容易对“把”字句表示的语法意义产生困惑。

综合上面的讨论,本文在汉英双语平行语料的基础上,重点考察跟“把”字句对应的英语句子的语法规律与语义规律。我们期望,这些研究不仅可以反观“把”字句的语义类别,也有利于“把”字句的实际教学策略的制订。

2. 跟“把”字句对应的英语句的语法规律

一般而言,“把”字句可以表示为“X+把+Y+VP (Verb Phrase)”的格式。其中,绝大部分的“把”后名词(Y)可以充当谓语的宾语成分(如“我把信寄走了。”),只有少量“把”后名词只能作谓语部分的主语(如“这盆水煮鱼把他吃得满头大汗。”)。此外,“把”字句谓语部分的构成类型复杂。崔希亮(1995)根据谓词性结构的形式特点将“把”字句分成不同的小类:

表 2. “把”字句的类型

	类型	例句
1	VP=(AD 状语)+VR (R 是结果补语)	她把台布仔细地扫干净
2	VP=(AD)+VR (R 是趋向补语)	我使劲地把我的精神拉回来
3	VP=VR (R 是由介词短语构成的述补结构)	她把水递到我面前
4	VP=VR+ _{VP} (VP 是包括述补结构的连谓结构)	我把手表摘下来交给她
5	VP=一+V	他把帽子往桌上一摔
6	VP=V (一) V	你把桌布洗一洗
7	VP=(AD)+VR (R 是数量补语)	你把稿子先过一遍
8	VP=0 或 VP=idiom	我把你这小蹄子!!
9	VP=V	不然也要当场将你逮捕

其中,前四类是典型形式;后五类是非典型形式。可见,虽然“把”字句可以简单概括出一个统一的形式,但是它实际上涵盖了不同的类型。这点可以从跟“把”字句对应的英语句中得到证实。

根据对 400 句“把”字句的汉英对齐语料的分析,我们将跟“把”字句对应的英语句子分为三种类型:一是只能作主语的“把”后名词“Y”也作英语句的主语,如例(4);二是可以作宾语的“把”后名词在英语句中作被动式的主语,如例(5);三是可以作宾语的“把”后名词在英语句中作主动式的宾语,如例(6)。

(4) a. 整理这些报纸,把我忙乎了整整一天。(《人民日报》)

b. I was busy all day rearranging the newspapers.

(5) a. During the war, many of our villages and towns were burned down by the invaders. (《5000句》)

b. 战争中，侵略者把我们的许多村庄和城市烧为平地。

(6) a. Give me the ring, Sam. (《指环王》)

b. 把戒指给我，山姆。

在这三类中，第三类是最为常见的，其谓语类型也是最为复杂的，如下表所示：

表 3. 跟“把”字句对应的英语句子的谓词性结构类型^①

	VP 类型	频率（汉语为源语言）	频率（英语为源语言）
1	V+baNP ^②	15%	27%
2	V+baNP+ADV/A	25%	33%
3	V+NP2+baNP	5%	12%
4	V+baNP+PP	50%	28%

如上所示，不管是以汉语还是英语为源语言，跟“把”字句相应的英语句中的谓词性结构都可以归纳为这四类。实际上，每一类都对应于“把”字句的一种或几种不同的谓词性结构。那么，为什么英译句可以归纳出相对简单的四种类型？这将是我们的下一节需要解决的问题。

3. “把”字句英译句的语义特点

关于“把”字句的语法意义的讨论，主要的观点有处置说和致使说。考虑到这两大观点的复杂性与争议性，我们在此暂不作深入的讨论，而是从英语句的构式意义的角度来反观“把”字句这一结构所表示的语法意义。

(一) 跟“把”字句对应的英语句的构式意义

Goldberg (2007: 4) 对构式的定义是：C 是一个构式当且仅当 C 是一个形式—意义的配对 $\langle F_i, S_i \rangle$ ，且 C 的形式 (F_i) 或意义 (S_i) 的某些方面不能从 C 的构成成分或其他先前已有的构式中得到完全预测。^③ Goldberg 认为论元结构构式是构式的一个特殊子类，并将其总结为五种基本类型，包括双及物构式、致使 - 移动构式、动结构式、非及物构式和意动构式。我们拟

① 由于语料来源于汉英双语对齐语料库，所以上表中分别以汉语为源语言和以英语为源语言来统计。

② baNP 是指“把”后的名词性成分。

③ 该定义摘自吴海波译文，原文是“C is a CONSTRUCTION iff def C is a form-meaning pair $\langle F_i, S_i \rangle$ such that some aspects of F_i or some aspects of S_i is not strictly predictable from C's components parts or from other previously established constructions.”。

从英语句的构式意义来反观“把”字句的意义。考虑到构式是一个形式意义对儿，我们结合上一节的讨论，总结出英语句的构式类型，如下所示：

1) 双及物构式及其介词解释句

句法结构：主 + V + 宾 1 + 宾 2；主 + V + 宾 2 + 介词 (to) + 宾 1

语义解释：X 致使 Y 收到 Z

例：Give me the ring, Sam. (《指环王》)

把戒指给我，山姆。

2) 致使 - 移动构式

句法结构：主 + V + 宾 + 介词结构

语义解释：X 致使 Y 移向 Z

例：Put it in the kitchen. (《月亮爸爸；月亮情人》)

把它放到厨房。

3) 致使 - 关系构式

句法结构：主 + V + 宾 + 介词结构

语义解释：X 致使 Y 与 Z 具有某种关系

例：这意味着，俄已把以美国为首的北约看作是自己的“头号假想敌”。(《人民日报》)

This means that Russia now regards US - led NATO as its “no. 1 imaginary enemy.”

4) 动结构式

句法结构：主 + V + 宾 + 形容词 / 副词

语义解释：X 致使 Y 变成 Z

例：一次就把事情做好 (《人民日报》)

do everything successfully at one stroke

5) 动宾构式

句法结构：主 + V + 宾

语义解释：X 处置 Y

例：Shut your eyes. (《抢劫》)

把眼睛闭起来

需要说明的是，“动宾构式”还可以囊括那些非典型的“把”字句，如“把头一抬”、“把桌子抹抹”等。

6) 外部使动构式

句法结构：主 + V + 宾

语义解释：X 由于某种原因 Z 变成 Y

例：整理这些报纸，把我忙乎了整整一天。(《人民日报》)

I was busy all day rearranging the newspapers.

以上是从论元结构构式的角度对跟“把”字句对应的英语句的构式结构与意义进行的归纳与总结,下面再深入探讨每一种构式内谓语动词的语义类和谓词性结构的情状类型,以明确各类句式的语义限制。

(二) 跟“把”字句对应的英语句的语义限制

在有关“把”字句的语义限制的研究中,“有界性”是一个较为普遍的标准(Liu 1997)。在情状类型相关的文献中,“有界性”(boundness)和“终结性”(telicity)这两个术语经常交替使用。根据Declerck(1989: 277),终结性的判断决定于动词是否有潜在的终结点,而有界性则必须要基于实际的时间界限来进行判断^①。Moens(1987:57-58)也指出,事件之所以叫作“有界”是因为他们在时间轴上都有相对明确的起始点和终结点^②。李云轩(2015)观察到:“翻译成汉语‘把’字句的英语句法结构必须具有[+有界]的语义特征。”但是,“有界性”在“把”字句及其英译句中是如何得到体现的呢?结合前面对“有界性”和“终结性”的区分,我们认为,需要区分出谓语动词与谓词性结构的情状类型。Vendler(1967)和Smith(1991)对动词的情状类型分类最具有代表性。前者将动词分成四大类,包括“活动类(activities)”、“完结类(accomplishments)”、“状态类(states)”、“达成类(achievements)”。Smith(1991)在此基础上增加了瞬时活动类(semelfactive)。我们以此为标准,逐一判断每一构式中谓语动词及整个谓词性结构的情状类型,详见下表。

表 4. “把”字句英译的谓词性结构的情状类型

英译句类型	谓词性结构的情状类型			
	谓语动词的情状类型	例子	其他部分	例子
1. 双及物构式	+ 达成	tell	直接宾语 [+ 终点]	Wang Yongzhi
2. 致使 - 移动构式	+ 活动	push	介宾结构 [+ 终点]	to the other shore
	+ 完结	separate	宾语 [+ 结果]	Taiwan
3. 致使 - 关系构式	+ 状态	regard	介宾结构 [+ 终点]	as its “no.1 imaginary enemy”
4. 动结构式	+ 活动	push	副词 [+ 结果]	forward
5. 动宾构式	+ 完结	build	宾语 [+ 结果]	the no. 2 plant project
	+ 瞬时活动	stamp	宾语 [+ 结果]	his feet
6. 外部使动构式	+ 瞬时活动	end	主语	the day

① 原文是“a classification based on potential endpoints, which is labelled (a)telicity, and one based on actual temporal boundaries, captured by the label (un)boundedness.”。

② 原文是“Events will be referred to as ‘bounded’ in that they are supposed to start and end at relatively precise points in time.”。

如上表所示,“达成”和“完结”类动词都具有有界或终结的属性,所以是运用的最多的两个小类。另外,“状态”、“活动”以及“瞬时活动”这三类都不具有有界性,但是我们看到,英语句中同样有其他成分来表示“结果”或“终点”,从而明示出有界的属性。所以说,跟“把”字句对应的英语句是具有“有界性”的。由此,我们可以推断出“把”字句也具有“有界性”这一属性。

4. “把”字句的分类教学策略

正如第一部分所讨论的,“把”字句在教学内容与教学顺序两个方面都有需要改进的地方。一方面,传统的“提宾说”容易造成学习者过度使用“把”字句的情况;另一方面,在初级阶段就介绍非典型的“把”字句使得学习者难以掌握“把”字句的语义,从而不愿意使用“把”字句。针对这两个问题,我们认为,有必要对“把”字句采取分类教学的策略,并注重教学顺序的设计。

有关“把”字句的分类研究众多,分类标准也多种多样。最为常见的是将“把”字句的谓语部分作为分类的标准来进行划分,如崔希亮(1995)等。而有关“把”字句的语法意义的研究侧重于在一种整体意义的框架下来对其语法意义进行细致的划分,如郭锐(2003)、袁毓林(2012)等。也有学者将句法结构与语法意义两方面综合考虑来进行分析,如王璐璐(2013)、吕文华(2014)等。王占华(2012)则主张“对“把”字句的解析应以形式(=长度)为基准”。对于汉语作为第二语言的学习者而言,分类越细致,往往学习更困难;而分类较笼统,也不易区分出正确的用法。我们认为,吕文华(2014)和王占华(2012)的三分类系统与排序策略有一定的可操作性,对学习者来说较为容易接受。而在二语习得过程中,学习者难免会受到母语的影响,尤其是在初级和中级阶段。由此,我们将考察的视角放在跟“把”字句对应的英语句的语法语义特点上,并从英语句的角度来看“把”字句所表示的语法意义。此外,这些英译的语料也可以为学习者提供更为直观的语言证据。

基于上述研究,我们将“把”字句的英译句的构式类型与王璐璐(2013)总结的“把”字句的语义类进行比对,如下表所示:

表 5. “把”字句的语义类与英语句的构式类

	英语句构式类	结构类型	“把”字句语义类	结构类型	例子
1	双及物	S+V+O1+O2	处置 - 转移	S+ba+O2+V+O1	Give me the ring, Sam. 把戒指给我, 山姆。
2	致使 - 移动	S+V+O+PP	处置 - 位移	S+ba+O+V+PP	Put it in the kitchen. 把它放到厨房。

3	致使 - 关系	S+V+O+PP	处置 - 关系	S+ba+O+V (作) +O	这意味着,俄已把以美国为首的北约看作是自己的“头号假想敌”。 This means that Russia now regards US - led NATO as its "no. 1 imaginary enemy."
		S+V+O+PP	处置 - 变成	S+ba+O+V (成) +O	No one will ever manage to turn him into a human being. 没有人可以把他变成人。
4	动结	S+V+O+A/ ADV	处置 - 结果	S+ba+O+V+A/ ADV	一次就把事情做好。 do everything successfully at one stroke
5	动宾	S+V+O	处置 - 结果 (隐含)	S+ba+O+V+DV(趋向动词)	Shut your eyes. 把眼睛闭起来。
6	外部使动	S _小 +V+O	致使 - 结果	S _大 +ba+S _小 +V+O	整理这些报纸,把我忙乎了整整一天。 I was busy all day rearranging the newspapers.

如上表所示,“把”字句的英译句的构式类型与“把”字句的语义类有一定的对应关系。其中,只有“把”字句的“处置 - 关系”和“处置 - 变成”这两类都对应于英译句的“致使 - 关系”类。由此,我们可以根据英语句的构式类型来对“把”字句进行分类,包括致使 - 移动、动结、动宾、双及物、致使 - 关系与外部使动这六类。

在教学内容的设定上,我们可以按照这六大类具有不同构式意义的“把”字句进行分类教学,并在每一类的基础上给出相应的英译句例子来给学生们提供参考。而在教学顺序的设定上,一般遵循由易到难、由简到繁的原则。结合“把”字句各类型的使用频率,我们将教学顺序制订为:致使 - 移动>动结>动宾>致使 - 关系>双及物>外部使动。即先讲“致使 - 移动”类“把”字句,在此基础上顺序讲解其他类型的“把”字句。

5. 结论

母语为英语的第二语言学习者,在学习“把”字句的过程中,面临的实际困难有:(1)“把”字句本身的复杂性,(2)汉英之间的差异,以及(3)现有教学设计上的缺陷。我们认为,从汉英双语的角度来研究“把”字句的语法意义在英语中的表达方式,并从中发现“把”字句的语义分类会对实际的教学活动有一定的借鉴意义。在这个思路的指导下,我们认真比对分析了400句汉英双语对齐对儿(包括书面语与口语),并总结跟“把”字句对应的英语句在语法结构和语法意义这两个方面的翻译规律。我们将“把”字句的语义类及其英语句的构式类进行比对发现,基本上可以找到相应的不同构式意义的英译句小类,由此,我们可以进而证明“把”字

句也分属于不同的语义类。接着,我们重点分析汉译英语料中动词的语义类与句子的情状类型。研究发现,英语句中动词及动词短语也需要具有“有界性”,由此进一步证明相应的“把”字句也需要具有有界性。在此基础上,我们探讨了“把”字句的分类教学策略,即在将“把”字句分类的基础上,结合“把”字句的英译让学生更好地理解“把”字句小类的语法意义,进而学会正确地使用“把”字句。

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Condition and Conjunction: A Syntactic Derivation of Mandarin Conditionals

条件与合取：现代汉语条件句的句法推导

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摘 要：本文探讨现代汉语条件句的句法生成机制，认为 1) 在句法操作上，条件句的前件并不是从后件移位而来，而是在原始位置基础生成。前件和后件之间不是附加，而是合并。2) 条件算子处于连接前件和后件的连接项位置，它虽然不实现为语音形式，但是具有负责核查前后件条件标记的功能。因此，在语义操作上体现为对前件和后件的合取。3) 条件意义的解读是对前后件合取并经过条件标记的核查之后才获得的。条件短语在本质上其实是合取短语。本文的理论假设遵守了句法语义之间的同构原则，为相关现象提供了统一的理论解释。

关键词：条件句；连接项；合并；移位；合取

1. 序言

条件句是两个命题之间因具有条件关系而组成的句子。条件小句在分析中通常称为前件 (protasis /antecedent)，而具有主句效应的句子则称为后件 (apodosis/consequence)。后件的命题在前件命题所指出的（情态）条件下为真。如 (1)，前件的指谓是“胡波回家晚”的可能世界，而该可能世界同时也是使得“陈红会担心”为真的可能世界。像 (1) 这样的条件句叫做假设条件句 (hypothetical conditional)，是最为经典也是文献中较为常见的一种条件句，因此，本文的讨论就先从假设条件句开始。

(1) 如果胡波回家晚，陈红会担心的。

除假设条件句外，条件句还包括关联条件句 (relevance conditional) 和事实条件句 (factual conditional) (cf. Iatridou 1991)，其中后者在 Haegeman (1503) 的分析中，被称为前提条件句

(premise conditional)。分别如 (2a,b) 所示。

(2) a. 如果你渴了，冰箱里有啤酒。

b. 如果张三（真地）聪明，为什么他没有获得那个职位？

(2a) 是关联条件句，前件所指出的可能世界并不能保证后件命题为真，但是 (2b) 与此相反，后件命题为真是依据前件为真的可能世界而做出的判断。需要注意的是，从言语行为 (speech act) 的角度观察，(2a) 中，前件命题为真的可能世界与使得后件命题为真的可能世界是相关的。在关联条件句中，表层的主句部分内嵌着一个施为句 (performative)。因此，(2a) 就可以解释为，“如果你渴了”与告诉你“冰箱里有啤酒”之间是具有相关性的。需要指出的是，关联条件句在本质上也是假设条件句。

关于什么是条件句这一问题，Bhatt & Pancheva (2005) 认为，条件句指的是这样的复句结构，该结构中的状语从句表明主句命题为真的条件，或者是该条件与主句的真值具有相关性。前者是他们所划分的事实条件句，后者则是相关（假设）条件句，如上面的 (2) 所示，但是该定义遗漏了 (3) 这样的条件句。

(3) 如果 $1+1=3$ ，那么青蛙长着六条腿。

首先，该句的前件并不能表明后件为真的条件，因为从世界知识 (world knowledge) 出发，前件和后件本身都不为真。事实条件句的基本要求是后件为真，但 (3) 显然不符合。其次，前件与后件的真值不具备任何的相关性，它们分属于不同的知识范畴。因此，Bhatt & Pancheva (2005) 的定义无法解释为什么 (3) 也是条件句这一问题。

本文从形式语义学的视角，将蕴涵式的真值条件作为判断条件句的基本标准，如 (4) 所示。

(4) 蕴涵式的真值条件表

P	Q	$P \rightarrow Q$
1	1	1
1	0	0
0	1	1
0	0	1

根据该真值表，第一行的前后件均为真，则该条件句为真，即 Bhatt & Pancheva (2005) 所说的事实条件句。第三行前件为假，后件为真，则条件句为真，即相关（假设）条件句。但是，他们所忽略的如 (3) 这样的句子，在前后件均为假的情况下，(3) 仍为条件句。因此，(4) 作为判断条件句的标准，要比 Bhatt & Pancheva (2005) 的分类标准更准确、也更全面。在结构上，条件句指的是一个状语从句合并到主句特定位置而形成的能够表达条件意义的复句结构。

2. 当前的理论困难

生成语法虽然取得了如此的成绩，但是在面对条件句这样的复句时，仍然有许多的困难。第一、生成语法主要是用来处理单句，处理复句时理论上的不足较为明显。但是按照理想化的生成语法的理论追求，一套成熟的语法是可以用来处理任何语言现象的。因此，像条件句这样的复句如何处理就成为了理论难题。

按照 Chomsky (1995) 的思想，附加语似乎是一种理想的处理方案。附加语是指句子主谓论元结构之外的那些边缘成分，主要包括副词、介词短语和状语从句（孙洪波 2009）。传统汉语学界把条件句作为状语从句之一（邢福义 2001），似乎可以用附加语方案来处理。

条件句的前件和后件都是命题 TP，连词“如果”和“那么”都分别引导一个命题，这两个连词就是标句词（complementizer）C。这样，该条件句的前后两部分就是两个 CP，但是该句的条件义还没有投射出来，该如何投射条件义呢？按照空语类（empty category）的思想，我们假设前后件之间有一个隐现（covert）的空算子（null operator），该空算子表达的是由前件所必能推导出后件这一结果的必要性。本文称之为必要性算子（necessity operator）。这样前件位于必要性短语的 Spec 位置，而后件则处于该必要性短语的 Comp 位置。这看起来非常完美。但是，仔细观察，这一方案仍然有三个问题无法解决。

第一个是句子的基础生成（base generation）问题。假设（5）和（6）一个为基础生成的底层句，另一个是推导后的表层句，那么哪一个才是它们的基础底层句呢？

（5）如果武松喝了酒，那么他就不能过景阳冈了。

（6）他就不能过景阳冈了，如果武松喝了酒。

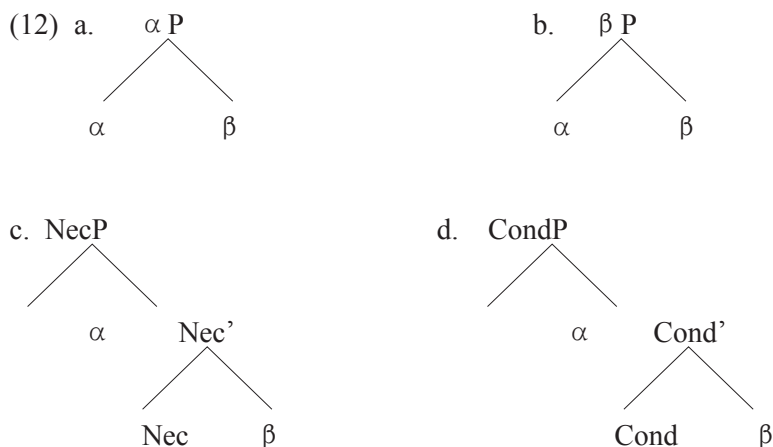
如果假设（6）为底层句，那么（5）是如何生成的呢？“如果武松喝了酒”作为附加语处于（6）的后半部分，理论上的要求是它必须出现于一个功能语类（functional category）的边缘，附加在该功能语类并且不改变该功能语类的性质。因此，该附加语必须上移至必要性短语的左缘（left periphery），但是该移位的动因绝不是出于特征核查（feature checking），而很可能是语用上的要求，从句中的自然焦点的位置移至句首形成对比焦点。而该语用上的要求势必要求有语境（discourse）的参与，因此，在操作的过程中就需要加入 D-Linking。这样无疑增加了操作的成本，不符合经济性原则（economy principle）。

而根据本文所做的数据统计，（5）的出现频率要高于（6），如果假设（5）为底层句，那么（6）是如何生成的呢？它的生成过程同样面对上述的问题。但是因为操作的过程中只需要将后件上移至句首位置，在操作环节上比第一种思路要简约，也应该更为可取。同时这种思路也更符合人们的语言直觉。根据王春辉（2010）的观点，在汉语这种核心居前的 VO 语序的语言中，条件句的形式标记往往出现于条件小句之前，而在核心靠后的如日语这样的 OV 语序中，

则处于小句后。因此，本文将（5）作为基础条件句的形式也是具有类型学的证据。

另外一个问题是必要性算子。必要性算子所表达是条件句的条件义，该条件义的显性形态标记就是“如果……那么……”。所以一个理论内部问题是，“如果-那么”是否就是必要性算子的显性形式。如果是，就要回答下面的问题，在句法上，“如果”是如何成为条件句的前件的一个成分，而“那么”则是后件的成分的？如果不是，那么该空的必要性算子是如何投射的？

这就引发第三个问题，即该最大投射的标签（label）应该是什么。按照生成语法的观点，中心语（head）投射为该最大投射的标签。那么条件句的中心又是什么呢？从逻辑的角度考察，条件句的最大投射的标签应该有四种可能性。第一、以前件（antecedent; A） α 为核心，投射为 αP ，见（7a）。第二、以后件（consequent; C） β 为核心，投射为 βP ，见（7b）。第三、以条件关系的承载者必要性算子为核心，投射为 NecessityP，见（7c）。第四、既不以前件和后件为核心，也不以必要性算子为核心，而条件句的条件义除了必要性外，还由其他功能性算子所承担，因此，该最大投射的标签就是 ConditionalP，见（7d）。



条件句的前件为条件，后件是该条件所引发的结果。因此，邢福义（2001）将条件句归入广义因果复句之列。如果以后件为核心，就体现不出前件的重要意义，该条件句也就混同于其他因果复句了。若是以前件为中心，条件句的最大投射的性质也不完全等同于前件。要是以必要性算子为核心，就需要解释条件句标记“如果-那么”是怎么与前件和后件分别合并的问题。若是以条件义作为最大投射的标签，就要说明条件义除了必要性算子所体现的必要性条件外，还包括其他条件义。

本文认为条件句的最大投射是条件短语（ConditionalP），核心是条件关系算子。条件句在传统的汉语研究中，与因果复句和转折复句等一样，被看作是复句的一个子类，所表达的意义一般是非现实的条件意义，因此得名。要考察条件句的句法性质和地位，一个可能的思路是将条件句与其他的状语从句相比较，从而探寻条件句的独立个性和与其他句式之间的相似性。本文以此为路线图，首先，以时间状语从句为例，考察条件句与时间状语从句之间的异同；其次，

观察条件句中说话者指向副词的情况；再次，在最简方案的理论框架下，分析条件句可能的句法生成机制；最后，结合汉语条件句的语言事实，验证本文所提出的条件句的句法生成机制的适应性和解释力。

3. 条件句与时间状语从句

条件句与时间状语从句在很多方面具有相似性，二者在句法上都是由两个部分组成，且都表明了前后两部分之间具有某种关系，因此，很多学者（邢福义 2001；黄伯荣 & 廖旭东 1996；张斌 2000 等）都将二者归为汉语的复句系统。

国外很多学者（Bhatt & Pancheva 2002,2006; Arsenijevic 2009; Tomaszewicz 2009）也对二者之间的比较有很大的学术兴趣，并获得了丰硕的成果。他们认为时间状语从句的生成是移位而来，并且通过类推（analogy）进一步认为，条件句也是由左向的算子移位（leftward operator movement）推导而来。这种移位分析的优势在于能解释根据阻断效应（intervention effect）而产生的主句现象（main clause phenomenon; MCP）和条件小句（即前件）之间的不兼容（incompatibility）现象，但是处于句首位置的境况附加语（circumstantial adjunct）却能在条件句中出现应如何解释呢？

3.1 汉语的时间状语从句是基础生成而非移位

首先，看英汉时间状语从句的比较。在文献中，一些学者（Geis 1970, 1975, Enç 1987:655, Larson 1987, 1990, Dubinsky and Williams 1995, Declerck 1997, Demirdache and Uribe- Etxebarria 2004:165-170, Lecarme 2008）坚持“算子移位说”。他们认为，时间状语从句是把时间算子移位到句子的左缘位置形成的。其主要证据是类似于（8）这样的句子是歧义的，它有两种不同的意义解读。高结构解读和低结构解读分别如（9a,b）所示。

（8）I saw Mary in New York when [_{IP} she claimed [_{CP} that [_{IP} she would leave]]].

（i）high construal: at the time that she made that claim;

（ii）low construal at the time of her presumed departure.

（9）a. I saw Mary in New York [_{CP} when_i [_{IP} she claimed [_{CP} that [_{IP} she would leave]] t_i]]

b. I saw Mary in New York [_{CP} when_i [_{IP} she claimed [_{CP} t_i that [_{IP} she would leave t_i]]]]（例句来自 Haegeman (2010)）

再观察汉语时间状语从句的例子（10）。

（10）朱全在宋家村见到了宋江_i，当 [_{IP} 他_i 打算 [_{CP} PRO_i 到县衙自首]] 的时候。

（i）高位解读：他打算的时候。

(ii) * 低位解读：到县衙自首的时候。

(10) 只能解释为宋江做出这个打算的时候，而不能理解成他到县衙自首的时候。也就是说，汉语的时间状语从句只能具有高位解读，而不能像英语的时间状语从句那样，具有低位解读。那么，既然汉语时间状语从句不具备低位解读，时间算子又如何实现从低位到高位移位呢？

显然，汉语的时间状语从句并不适用算子移位方案。一种可能的解释是汉语的时间算子标记“当……的时候”只能出现在 [Spec CP] 位置，从而获得更类似于高位算子的解读，它是以整个的从句 CP 作为其辖域 (scope)。所以，汉语时间算子标记应该是原位基础生成 (base generation)，而非移位而来。

支持移位说的第二个证据来自 Haegeman (2007, 2009)。她认为，算子的移位加上移位的局部性条件 (locality for movement) 能够预测出时间状语从句不能和 MCP 兼容。比如论元前置 (argument fronting) 也是移位所产生的结果，但是论元前置后，时间算子就无法完成移位过程。也就是说，前置以后的论元对时间算子的移位形成了阻断效应，见 (11)。

- (11) a. *When this column she started to write last year, I thought she would be fine.
 b. *When this song I heard, I remembered my first love.
 c. When last year she started to write this column, I thought she would be fine.

(11a) 不合法是因为时间状语从句中的论元 this column 前置，从而影响了时间算子移位到从句的左缘位置，即前置的论元对时间算子的移位形成了阻断效应。(11b) 也是同样的情况。而 (11c) 所表现出来的是，表示时间的境况附加语 last year 也进行了前置，但是并不阻断时间算子的移位。算子移位可以跨越附加语，但是却不能跨域论元。这表明了论元和附加语之间的不对称性 (asymmetry)。

但是，并不是在所有的语言中，论元前置都能产生阻断效应。在罗曼语系中，以法语为例，它的论元 cette chanson 前置后，并不影响时间算子移位到句子的左缘位置。见 (12) 所示。这种前置论元的现象，在文献中 (Haegeman 2010: 597) 称之为左向粘着错置 (clitic left-dislocation; CLLD)。

(12) Quand cette chanson je l'ai entendue, j'ai pensé à toi.

when this song I it have-1_{SG} heard_{PART-FSG}, I have-1_{SG} think_{PART} on you

'When I heard this song, I thought of you.'

英语中的论元前置会造成对时间算子移位的阻断效应。但是在法语中的左向粘着错置 (CLLD) 并不会对时间算子的移位造成阻断。这是因为 CLLD 在法语中并不阻断主语的提取 (cf. Rizzi 1997; Delfitto 2002)。CLLD 现象表明，在状语从句中至少存在着一些左缘投射 (left-peripheral projection)。英语的时间状语从句和主句现象 (MCP) 不兼容 (Hooper and Thompson 1973, Green 1976, Emonds 1976, 2004)，如例 (13) 所示。

(13) a. * We were all much happier when upstairs lived the Browns. (Hooper and Thompson

1973:495 (253))

b.* When present at the meeting were the company directors, nothing of substance was ever said.

c.* When passed these exams you have, you'll get the degree.

(13a) 时间状语从句中的处所副词 *upstairs* 倒装, 违反了主句现象 (MCP)。(13b) 时间状语从句中, 表语成分倒装同样也是违反了 MCP。而 (13c) 则是因为时间状语从句中的 VP[*passed the exam*] 的倒装不符合 MCP。所以, 时间状语从句不能与 MCP 兼容。

英语中时间状语存在的这些现象, 在汉语的时间状语从句中是否也存在呢? 接下来看汉语的例子, 如 (14) 所示。

(14) a. 当 [[这篇文章]_i 他去年开始写 t_j] 的时候, 我觉得他一定能写好。

b. 当 [[这首歌]_i 胡波听 t_j] 的时候, 他总是很激动。

c. 当 [[去年]_i 他 t_j 开始写这篇文章] 的时候, 我觉得他一定能写好。

英语中的时间状语从句不能允准论元前置, 但是, 汉语的时间状语从句中却能允准“这篇文章”(14a) 和“这首歌”(14b) 的论元前置 (argument fronting), 这并不影响了时间按算子的移位, 所以也就产生不了阻断效应。究其原因, 还是因为汉语时间状语从句中的时间算子并不是从较低的位置移位到较高的位置, 而是时间状语标记“当……的时候”为整个时间状语从句所表达的命题提供了一个辖域, 即整个命题都受到该时间算子的限制。更深层次的原因在于汉语时间算子的性质与英语的不同, 因为汉语时间算子没有低位解读 (low construal reading)。因此, 作为命题的组成成分, 前置的论元受到话题化 (topicalization) 的作用, 从而形成如 (14a-b) 这样的句子也就不足为奇了。

同样, 表示时间的境况附加语“去年”能实现附加语前置, 这是因为汉语的时间附加语并不能像英语那样在句尾出现, 而是本来就只能出现在 VP 之上这样的较高位置。与论元前置的情况相同, 时间附加语前置只是出于话题化 (topicalization) 或焦点 (focus) 的需要而移位。这表明了, 在汉语的时间状语从句中, 不存在论元和附加语的不对称性 (asymmetry)。在这一点上, 与英语的情况截然不同。

再来观察汉语时间状语从句和 MCP 的兼容情况。如 (15) 所示。

(15) a. 当 [监狱里跑了两个犯人] 的时候, 村民们都紧张起来了。

b. 当 [[带头干活的] 是主任] 的时候, 大家的积极性就高涨了。

c.* 当 [[考完试]_i 你已经 t_j] 的时候, 就开心地玩吧。

尽管 (15a) 中存在着英语中所谓的处所倒装结构 (locative inversion construction; LIC), 但是处于时间状语标记“当……的时候”之间的是一个标准汉语存现句。汉语中存现句的典型特征是允许表示处所的名词短语或介词短语位于句首的位置, 比如“村里死了两个老人”、“墙上挂着画”或者“屋顶上飘着一面红旗”。(15b) 相当于英语里边的表语成分前置, “带头干活的”是表语, 在汉语时间状语从句中能够进行前置, 句子仍然合法。但是 (15c) 中的 VP “考完试”

前置的情况就不合法，这表明 VP 前置现象与时间状语从句是不兼容的。

汉语时间状语从句与 MCP 的兼容情况与英语不同。汉语的时间状语从句可以与典型的存现句和判断句等兼容。这是因为，在汉语中，存现句（15a）就是以这种处所结构处于句首为经典代表的结构。既然如此，处所结构在句首位置，就是基础生成而非像英语那样移位而来。也就是说，汉语的存现句遵守了主句效应，当然也就不存在阻断效应了。汉语的判断句（15b）也是同样的情况，这是判断句的基本句型结构，尽管表语成分在左缘位置，但是它仍然是主句现象。既然不存在时间算子移位，当然也就无法形成阻断效应，因此判断句是与时间状语从句兼容的。这样，也就容易解释为什么（15c）不合法。进行 VP 前置操作后形成的句子结构 [考完试你] 不是主句现象，违反了主句效应，因此该句不合语法。综上所述，汉语的时间状语和英语的不同，前者允准存现句和判断句出现在状语从句中，而后者则不允许。

3.2 汉语条件标记是移位还是基础生成？

首先观察英语中条件句。英语时间状语从句中存在的论元 - 附加语不对称性在条件句中也同样存在。（16a）是论元 *these exams* 前置，按照 Bhatt & Pancheva (2002, 2006), Arsenijevic (2009) 和 Tomaszewicz(2009) 的条件算子移位的分析，认为论元前置影响了条件算子移位至左缘位置，从而形成了阻断效应。（16b）之所以合法是因为表示时间的境况附加语并不阻断条件算子移位，条件算子可以跨域境况附加语，从而实现移位至句子左缘的目的。在英语条件句中同样是存在着附加语和论元的不对称性。

(16) a. * If these exams you don't pass, you won't get the degree.

b. If on Monday the share price is still at the current level then clearly their defence doesn't hold much water. (Observer, 11.7.4, Business, p. 22 col. 5) (该例选自 Haegeman 2010:599(9))

再来观察英语条件句与主句现象的兼容问题，见（17）。（17a）是处所副词前置；（17b）是表语成分前置；（17c）是 VP 前置。以上三种情况都不能与条件小句兼容。这是因为根据条件算子移位的说法，它们前置后阻断了条件算子移位至左缘，形成了阻断效应。

(17) a. * If upstairs live his parents things will be much simpler.

b. * If present at the party are under age children, they won't be able to show the X-rated films.

c. * If passed these exams you had, you would have had the degree.

汉语条件小句的情况与英语的是否一致呢？先观察论元与附加语在汉语条件句中的句法表现，如（18）所示。

(18) a. 如果 [这篇文章]_i 他去年开始写 _{t_i}，我觉得他一定能写好。

b. 如果 [这首歌]_i 胡波刚开始听 _{t_i}，他可能还唱不好。

c. 如果 [[去年]_i 他 t_i 开始写这篇文章], 我觉得他一定能写好。

(18a,b) 都是论元前置的情况, 都是合法的句子。如果按照条件算子移位的方案, 那么在理论上, 这些前置的论元就会阻断条件算子的移位, 从而形成阻断效应。但是, 这两句在汉语中完全是合法的句子, 并未形成应有的阻断。因此, 处理这样的句子时就出现了问题: 为什么没有阻断效应产生? 逻辑上, 还有另一种思路, 即假设条件算子并不是移位而来, 而是在原始位置上基础生成的。基础生成的方案也完全可以解释为什么 (18a, b) 的合法性问题。既然是在原位置上基础生成, 当然也就不会形成阻断效应。

再来观察 (18c) 这一合式。表示时间的境况附加语“去年”前置后并不影响整个条件句的合法性。这是因为附加语本身的性质所决定, 附加语附加在某个最大投射上并不改变原有投射的性质。并且, 表示时间的附加语在位置改变后, 也不会产生其他的语义解读。综合来看 (17), 论元前置和附加语前置在条件从句中都是成立的, 也就是说, 它们的前置情况否定了条件算子移位的可能性, 因而条件算子只能是原始位置基础生成的。

接着来考察汉语条件句与 MCP 兼容性。观察例 (19)。(19a) 是处所在前的情况; (19b) 是判断句的表语在前; (19c) 是把 VP 提前。

(19) a. 如果 [监狱里跑了两个犯人], 村民们就都紧张起来了。

b. 如果 [[带头干活的] 是主任], 大家的积极性就高涨了。

c. * 如果 [[考完试了]_i 张三已经 t_i], 就开心地玩吧。

处所在前的存现句 (19a) 是汉语存现句的标准表达形式, 类似的比如“桌子上有一本书”、“山上架着炮”、“黑板上写着字”。尽管汉语的存现句在语序上似乎是与其他语言的标准存现句不同, 但是就汉语本身来讲, 这种语序形式就是汉语存现句的主句现象。因此, 表示处所的“监狱里”只能在句子的左缘位置。所以, 存现句符合 MCP, 并且和条件句兼容。(19b) 是句子的表语成分在前的判断句。汉语的判断句以“是”作为判断词, 类似于英语的系动词 be。表语成分在前, 初看似乎是违反了句子的 MCP。但是, 在汉语中, 它却就是句子的 MCP。因此, 条件句和判断句的 MCP 也是兼容的。(19c) 是句子的 VP 前置现象, 它违反了汉语一般陈述句的语序形式, 不是 MCP, 也与条件句不兼容。

综合来看 (20), 标准表达形式的汉语存现句和判断句都是 MCP, 并且与条件句兼容, 而不是正常表达语序的 (20c) 不是 MCP, 也不能与条件句兼容。如果假设条件算子是移位来的, 那么按照该假设, (20a,b,c) 应当不合法, 因为这三种句式都牵涉到成分的移位, 这会阻断条件算子的移位, 出现阻断效应。但是这一分析方案不能解释, 为什么 (19a, b) 却合法的问题。

并且, 如果假设条件算子是移位而来, 那么这必定要考虑它是从哪儿移位来的这一问题。目前的证据是条件从句并不具有低位解读, 见 (20)。这句话只能解读为“吴用告诉卢俊义这件事是一个条件”这样的处于较高位置的意义, 而不具有处于较低位置的“宋江一定要先打下东昌府是一个条件”这样的意义。这也是不支持汉语条件算子移位方案的一个证据。既然否定了条件算子移位的方案, 那么可能的思路只能是条件算子在原始位置上基础生成。

(20) 如果_{IP} 吴用告诉卢俊义_{CP} 宋江一定要先打下东昌府]], 那么卢俊义就不会奋力攻打东平府了。

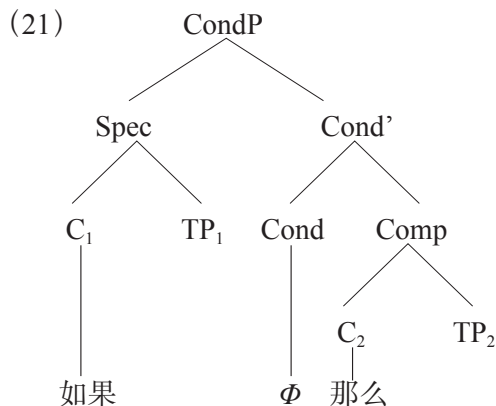
- a. 高位解读：条件是吴用告诉卢俊义这件事
- b. * 低位解读：条件是宋江一定要先打下东昌府

4. 条件句的生成机制

本文认为条件标记是在原始位置上基础生成的，条件句的前件和后件在语义上是合取关系，在句法上是前后件之间的合并。它们二者的合并并非是直接合并，而是后件先和条件算子合并，合并后的部分再和前件合并。该条件算子是空语类 (empty category)，只具有功能语类 (functional category) 的特点，并不实现为具体的词汇项。条件算子将前后件两个命题合并之后，即在完成狭义句法部分的演算之后，在进入 LF 的时候，获得条件意义，同时获得语音实现。

4.1 条件标记在 C 位置

上文论述了条件标记是合并而非移位，那么条件标记“如果……那么……”在句法结构上处于什么位置呢？本文认为条件标记分别处于前件和后件所表达的命题前面的标句词 (complementizer; C) 的位置，即条件标记分别触发一个命题性质的 TP 作为其补足语 (complement)。由于条件算子这个功能节点作为条件短语的核心，那么条件算子的指示语 (specifier; Spec) 是前件，同理，条件算子的补足语 (complement; Comp) 成分就是后件。条件句的基本结构如 (21) 所示。



如 (21) 所示，本文认为条件标记分别处于前件和后件的标句词 C 的位置。标句词的主要功能是触发 (trigger) 其后的一个命题作为其补足语。条件标记“如果”的补足语是后边

的 TP1, 而后件搭配使用的条件标记“那么”则触发 TP2 作为其补足语, 这两个条件标记分别处于前件和后件的标句词位置, 引导两个命题作为其后续成分。平行的证据是英语的条件标记 if 也是处于条件句的标句词位置。因与本文论述重点不一致, 不再详述这一点, 可参考 Haegeman(2002, 2006, 2010) 的文献。

4.2 条件算子是连接项 (linking item; linker)

上一小节所述的条件算子连接前件和后件, 分别作为条件短语的指示语和补足语。条件算子在功能上就是连接两个命题, 它的作用相当于连接项 (linker)。尽管本文假设它在语义上为空, 但这并不表示它不具备任何功能。相反, 条件算子是一个功能语类 (functional category), 它首先是连接两个命题, 表现在语义操作上就是合取 (conjunction), 对两个命题的语义进一步的加合 (sum), 这符合形式语义学的首要原则, 即语义推导的组合格性原则 (principle of compositionality of meaning)。按照 Partee (2010) 的定义,

(22) 组合格性原则: 句子的意义等于句子各组成部分的意义以及它们组合方式的函数。

条件算子的作用体现在对条件句的前件和后件的组合方式上, 即条件算子把前件和后件作为两个命题进行合取运算。本文进一步假设, 条件句的语义组合方式,

(23) 条件句的语义组合方式是合取 (conjunction), 条件意义是在合取完成后获得的。

因此, 功能语类核心 Cond(conditional) 在本质上具备加合算子的功能。那么为什么该功能语类为什么不假设为 Conj(conjunction) 呢? 这样处理是因为 Conj 在文献中 (Niina Zhang 2010) 往往是用来处理并列句, 为避免不必要的名实之争, 本文未采用 Conj 这一术语。但是, 条件算子 Cond 完全继承了合取算子 Conj 的性质, 因为它们都是连接了两个并列的成分。

条件算子不承担任何实现为语音的语义内容, 那么它的连接项的功能是如何实现的呢? 本文认为条件算子的连接项的功能体现在对条件标记的搭配核查 (collation checking) 上。该核查主要是对条件标记的配对使用情况进行检验。如上文所述, 有标记的条件句有 16 种情况。条件标记成对出现, 本文认为这些条件标记的核查都应该在条件算子 Cond 下完成, 前件和后件的条件标记分别与条件算子下的条件标记集合中的元素匹配, 条件句的推导才能顺利进行。

4.3 理论优势

综上所述, 条件句的生成不是附加, 而是合并。附加不改变其核心语类的性质, 但是条件句是由两个命题合并, 从而形成一个新的命题的过程。条件标记“如果”和“那么”分别处于前件和后件的标句词 C 的位置, 标句词 C 的具体功能就是引介一个句子做 C 的补足语。条件算子的功能是连接两个命题的连接项, 将二者连接起来, 体现在语义上就是合取。

在理论上, 该生成机制的好处是将条件句的前件和后件能够进行内句法 (inner syntax) 的

处理。并考察前件和后件中分别存在的一些内句法 (inner syntax) 现象, 如, 说话者指向副词、NPI、情态副词等限制条件。

5. 余论

本文主要是探讨条件句的句法生成机制, 认为条件算子处于连接前件和后件的连接项 (linker) 位置, 它虽然不实现为语音形式, 但是具有负责核查前后件的条件标记的功能。条件句的前件并非是从后件移位而来, 而是在原始位置基础生成。前件和后件之间的句法操作不是附加, 而是句法合并。该理论假设遵守了句法语义之间的同构原则, 因此, 前件和后件在语义操作上, 体现为对二者的合取。合取并经过条件标记的核查之后, 条件句才具有条件意义的解读。因此, 在本质上, 条件短语其实是合取短语 (conjunctionP)。

本文同时考察了时间状语从句与条件句之间的异同。汉语的时间状语从句和条件句都不具有低位解读 (low construal reading), 并且在句法操作上二者相似, 都不是移位而来, 而是基础生成。所谓的后件在前, 前件在后的非常态条件句, 本文认为这或许是出于话题化 (topicalization) 要求, 或者是焦点化的问题, 该问题值得以后继续探索。

另外, 本文未涉及条件句与否定极项词 NPI 现象, 以及少数学者 (赵元任 1968; Haiman 1978; 王春辉 2013) 关于条件小句是话题的论述, 这些都值得以后另文研究。

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On the Boundary Function of “le” from the point of view of Chinese Verb Classification and Its Pedagogical Effects

汉语动词分类与“了”的边界效应及其教学应用

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摘 要: 作者首先定义出单元动量, 即动词成立时所包含的动量。并以此为出发点, 将动词分类为零单元动量动词, 一单元动量动词和多单元动量动词。然后指出语言描述对象中存在两种不同的边界, 一种是单元动量的边界, 另一种则是事象的边界。并认为“了”具有标示这两种边界的功能。根据动词类别的不同, 在实际的语言使用中, “了”或者显示出其左边界效应, 或者显示出其右边界效应。通过这种分析, “了”可以不必要区分为“了1”和“了2”, 从而避免汉语对外教学中出现的让学生区分“了1”和“了2”而引起的混乱。

关键词: 单元动量动词, 边界, 左边界效应, 右边界效应

1. 前言

本篇文章主要有两个目的。一个目的是致力于探讨“了”在语法意义上的内在含义。另一个目的是讨论是否有必要将“了”区分为“了1”和“了2”。解决了这两个问题, 既可以使我们从语法上对“了”有一个更深入的认识, 也可以使我们在对外汉语教学过程中, 避免教学生如何去区分“了1”和“了2”。实际上, “了1”和“了2”的区别, 即使对于汉语语法专家来说也是一个比较棘手的难题。

2. 相关研究

以往关于“了”的研究主要集中于探讨对“了”的语法意义的解释, 比较著名的结论有赵元任(1968)的“完成”, 吕叔湘/朱德熙(1979)的“结束”, 刘勋宁(1988)的“实现”。

日本汉语学界则一般将“了”的语法意义解释为“完了”。与以往不同,本文力图跳出这种对“了”的语法意义给出精确解释的竞赛,而从汉语动词分类的角度出发,分析“了”与动词分类的关系,将“了”的语法功能定格为一种对边界的标示,并且注重“了”的边界效应及其语用特征,进而探讨这种边界效应在教学中的应用。

关于汉语动词的分类,常见的一般有以下几种。一种是从动词及其所带宾语的关系这样角度进行考察,区分出及物动词和非及物动词。比如动词短语“学习汉语”中,“学习”可以带宾语“汉语”,因此“学习”称之为及物动词。而动词“生活”则不可以带宾语,因此称之为非及物动词。另一种是从“动”和“静”的角度加以考察,区分出静态(状态)动词和动态动词。比如“有”是静态的,属于静态动词或者状态动词,“吃”是动态的,属于动态动词。还有一种是对动词本身所包含的语义进行区分,也可以把动词分作很多类。然而,这种分类方式比较主观,并且难以确定区分的标准,不容易形成共识。除此以外,还可以见到从事象中动作的周期性的角度对动词进行的分类(吴凌非 2002)

与以上的分类有所不同,本研究从“动量”这一角度对汉语动词进行分类,并且认为这种分类对于“了”的分析也有很大的助益。

“动量”是本研究对汉语动词进行分类的一个关键词,在此定义为:“动词所描述的事象(event)中,动作或者变化的量”。这种动量,我们可以通过一种“思想试验”来得到某种感性认识。假设我们对动词所描述的事象进行一种类似于CT(computerized tomography)切片式的扫描,其结果,如果过程中包含有不同的画面,则说明该动词所描述的事象中存在变化,这个变化就可以用动量加以表述。对于这种动量作进一步深入分析,我们还可以发现其具有一些重要的特征。举例来说,“说”和“唱”,“哭”和“笑”,“走”和“跑”,“蹦”和“跳”为一组特征类似的动词,然而在日常语用中我们仍然可以将两者严格地区分开来。这说明两者在动量上具有不同的特征。一般而言,语言中语义完全相同的两个以上的动词是不必要的,每一个动词都具有其独自の语义。换言之,我们可以认为,每个动词都有一个不同的“核”(core)由一组具有典型特征的动量所构成。这样的一组具有典型特征的动量,我们在此定义为“单元动量”。由单元动量所构成的“核”,反映出动词的原形(prototype)。根据这种原形,我们从而对各个不同的动词加以区分。下面我们试用“单元动量”这一概念对汉语动词作一个分类。

有一类动词,比如“听”“说”“弹”“唱”“吃”“喝”“游泳”等所描述的事象,从开始到结束,由一系列动作所构成,理所当然在这一系列的动作当中,我们可以发现一组典型动作,这一组典型动作即该动词的“单元动量”,也即该动词的“核”。具体而言,比如动词“吃”所描述的事象中,从某个时间点开始到某个时间点为止,理应有一组动作让我们判断出动词“吃”的成立。假设“吃”的成立由“吃一口”具现出来,那么“吃一口”所包含的动量就可以认为是“吃”的单元动量。进一步而言,“吃”的整个事象可以看作是“吃一口”的不断反复。比如,我们可以认为“吃一顿饭”所描述的事象是从某个时间点开始到某个时间点为止的“吃一口饭”的不断再现。同样,“写一封信”所描述的事象是从某个时间点开始到某个时间点为止

的“写一个字”的不断再现。这类整个事象是由其“单元动量”的反复再现的动词，我们在此称之为“多单元动量动词”。

还有一类动词，比如“闪”“破”“倒”“停”“生”“死”等所对应的事象中，至少开始和结束分别为不同的“画面”，说明这类事象包含着“动量”。与“多单元动量动词”所不同的是，在整个事象中，仅存在一组“动量”，而且是不可重复的。对于这样的动词，我们在此称之为“一单元动量动词”。

再有一类动词，比如“是”“在”“等于”“耸立”“忠于”等所描述的事象中，从某个时间点开始到某个时间点结束，所有的画面都是静态的，我们观察不到任何动态的画面。也就是说，这种事象不包含任何动量，当然也就不存在“单元动量”。我们在此称这类动词为“零单元动量”。

需要加以补充的是，汉语中的形容词，有些属于短周期的，比如“红”“老”“大”“小”等，其状态是可以在相对短的时间内发生变化，这类形容词具有“一单元动量动词”的特征，与“了”搭配的时候，按“一单元动量动词”处理。另有一些形容词，周期比较长，比如“美”，这类形容词更接近于“零单元动量动词”，在分析其与“了”的关系的时候当作“零单元动量动词”处理。

3. “了”的边界及其边界效应

在现代汉语里，助词“了”几乎可以说已经研究透了。然而无一例外的是，所有研究都是力争对“了”的语法意义作出一个更精确的解释，以覆盖更大范围的语言事实。然而我们知道，“了”与不同的动词搭配，置于不同的语境之中，所能表达的语义是繁多的。任何一种对“了”的解释要想覆盖所有的语言事实都是一件很难的事情。对此，本研究着重强调“了”最中心的语法功能，认为其最中心的语法功能是对“边界”的标示。需要指出的是，这里所说的“边界”不仅仅有一种，而是有两种不同的“边界”。下面我们来就这两种不同的“边界”作更进一步的说明。

3.1 两种不同的边界

本研究认为语言事实中有两种不同的“边界”，针对不同的“边界”需要用不同的语法标记加以标示。下面我们根据动词的类别对这两种不同的“边界”进行说明。

如果我们将多单元动量动词所描述的事象在时间序列上加以考察，从事象的开始，一定会有一个时间点对应于第一个动作单元完成的瞬间。我们可以称这个瞬间为特征点。特征点以后的事象全部是第一个动作单元的再现。这个特征点本研究称之为“边界”，也即单元动量的“边

界”。这个“边界”在汉语中使用“了”加以标示。随着时间的推移，总会有一个时间点对应于事象结束的瞬间。这也是一个重要的特征点，本研究也称之为“边界”，但是是事象的“边界”。这个边界在汉语中也用“了”加以标示。也就是说，在汉语里，一个“了”标示了两种不同的边界。这是“了”产生歧义的根本原因所在。一般情况下，这种歧异用“了1”和“了2”加以区分。对此，吴凌非(2002)有过论述。关于“了1”和“了2”的区别还将在后面论及。

同样，对于一单元动量动词所描述的事象在时间序列上加以考察，从事象的开始，也一定会有一个时间点对应于第一个单元动量完成的瞬间。然而与多单元动量动词描述的事象有所不同的是，一单元动量动词描述的事象的第一个单元动量完成的瞬间也同时是整个事象完成的瞬间。这样，两个不同的边界就在同一个点上重叠了。如同下例，在语言表述上，通常也只用一个“了”加以标示。

(1) 车坏了。

但是，如果我们让单元动量的边界和事象的边界发生错位，则需要两个“了”加以表述。第一个“了”标示单元动量的边界，第二个“了”标示事象的边界。见下例。

(2) 车坏了一个星期了。

对于零单元所描述的事象而言，由于整个事象中不存在单元动量，当然也就不存在单元动量的边界，同样也不可以也不需要“了”对单元动量的边界加以标示。例(3)是坏句子的原因也在此。

(3) *小王是了大学生。

然而任何事象都是有边界的，因此需要对事象的边界加以标示。比如下例。

(4) 小王是大学生了。

至此，我们可以从上述论说中得出以下两个结论。

1 包含有动量事象中有两种边界，一种是单元动量的边界，一种是事象的边界。不包含动量事象中，仅有事象的边界而没有单元动量的边界。

2 在汉语语言描述上，对于这两种边界都用“了”加以标示。

由于两种边界所指的对象是不同的，而用同一个“了”加以标示，这样就产生了歧义性。大多数研究者都承认“了”的歧义性，并且将动词后面的“了”用“了1”表示，将句尾的“了”用“了2”表示。比如，例句(5)中“吃”后面的“了”为“了1”，而例句(6)中句尾的“了”为“了2”。

(5) 小王吃了苹果。

(6) 小王吃苹果了。

然而对于例句(7)这种既接在动词的后面，同时又接在句尾的“了”到底是“了1”还是“了2”，即使是以汉语为母语的人也很难判断，对于汉语非母语的学生而言就更是难上加难了。

(7) 小王吃了。

实际上,只要我们分清了事象中存在两种不同的边界,对于“了”而言,是不需要,用“了1”和“了2”去加以区别的。因为标示单元动量的边界的“了”只能接在动词(包括很多形容词)的后面,标示事象的边界“了”只能句子的末尾。对于例句(7)的情形我们可以如此解释。即例(7)所对应的事象中的两种不同的边界依然是存在的,只不过单元动量的边界与事象的边界重叠了。因此在语言表述的时候,标示事象边界的“了”是显性的而标示单元动量边界的“了”是隐性的。如果对于例句(7)换一种方式进行表述,则两个边界的标示都成显性的了。

(8) 小王吃了苹果了。

以上对“了”与两种不同的边界的对应给与了说明。下面通过边界效应这一概念来对“了”的语法意义加以说明。

3.2. “了”的边界效应

首先我们将“边界效应”定义为,以界点为起始点所辐射的范围。由于辐射具有方向性,因此与时间序列逆向的方向称之为左边界效应,与时间序列相向的方向称之为右边界效应。从语义的角度来讲,左边界效应突出的是动量单元的完成,而右边界效应强调的是状态的持续。下面按动词的类别分别探讨“了”的边界效应。

对于零单元动量动词而言,相应的事象中不存在单元动量,当然也不存在单元动量的边界,因此不可能也不需要用“了”来标示这种不存在的边界。这也是“了”不可以直接接在零单元动量动词后面的原因。我们只需要考虑“了”标示事象边界的情形。见下例。

(9) 小王是大学生了。

例中的“是”属于零单元动量动词,表示一种状态,“了”接在句子末尾标示出事象的边界,表示事象的成立。汉语句型“是…了”所表达的语义应当是,“从事象的成立开始,该状态将持续到将来某个时间点”,据此,其边界效应应当是,以事象成立的瞬间为界点,辐射范围是投向与时间相向的直至该事象的状态被打破的一段区间。也就是说,例(9)中的“了”的边界效应为右边界效应。据此,我们可以下一个结论,即“了”接在零单元动量动词为谓语的句子末尾时,其边界效应均为右边界效应。

对于一单元动量动词而言,由于其整个事象所包含的内容只有一个单元动量,因此单元动量的边界与事象的边界是重叠的。这也是一单元动量动词相应的句子中只出现一个“了”的原因所在。见例(10)。

(10) 墙倒了。

但是,如果需要描述单元动量完成的瞬间的状态的持续到某个时间点,则单元动量的边界与事象的边界错开,这时则需要两个“了”来加以描述。见例(11)。

(11) 墙倒了好几个月了。

一单元动量动词所表述的事象一般可以分为两类。一类事象中有结果的残存，比如“倒，结束，破，死，停，，，”等。而另一类事象中则没有结果的残存，比如“开始，爆炸，闪，沸腾，，，”等。对于有结果残存的一单元动量动词，“了”突出的是右边界效应。而对于没有结果残存的一单元动量动词，“了”突出的是其左边界效应。

对于多单元动量动词而言，一般可见下面三种类型的句子。

(12) 小王吃了饭。

(13) 小王吃饭了。

(14) 小王吃了饭了。

例(12)中，“了”直接接在动词“吃”的后面，标示出单元动量的边界。如果，我们假设动词“吃”的单元动量为“吃一口”，那么，(12)必须在“吃一口”这个单元动量完成后才成立。但是在实际的语言描述中，一般所表达的动量是大于一个单元动量的。从这个意义上讲，“了”表达的是刘勋宁所指的“实现”，而非赵元任，王力所说的“完成”，也非吕叔湘，朱德熙所说的“动作的结束”。例(13)中，“了”接在句子的末尾，标示出事象的边界，表示事象的结束。从这个意义上讲，赵元任，王力所说的“完成”，或者吕叔湘，朱德熙所说的“动作的结束”更准确一些，而刘勋宁的“实现”则不全面。例(14)中出现两个“了”即标示出单元动量的边界，又表示出事象的边界。这种用法不同于例(13)，更强调动作的发生。其区别见下例。

(15) ? 小王吃饭了，不用吃了。

(16) 小王吃了饭了，不用吃了。

就边界效应而言，多单元动量动词所描述的重点在于动作的发生，其边界效应一般表现为左边界效应。

4. “了”的边界效应在教学中的应用

上述论述总结一下，主要有以下几个方面可以在对外汉语教学中加以应用。

(1) “了”的语法意义及其语用与动词分类是密切相关的。

本研究将动词分类为零单元动量动词，一单元动量动词和多单元动量动词。“了”出现于不同动词类别的句子中，所表现出来的边界效应也是不同的。特别需要指出的是，“了”可以出现在形容词之后。形容词可以分为长周期形容词，比如“美，好吃”等，这类形容词与“了”的结合对语境的要求很严格，短周期形容词，比如“大，小，高，低”等，这类形容词所描写的状态是容易发生变化的，其特征与一单元动词极为相似，在具体的教学中可以将之与一单元动词作为同类看待。

(2) 左边界效应与右边界效应的实际语义

左边界效应的投射范围既可以是单元动量，也可以是事象整体，其实际语义都是强调“发生过”；而右边界效应的投射范围是投向未来，其实际语义强调的是“开始+持续”。需要指出的是，“将,,,了”，“快,,,了”，“要,,,了”，“不,,,了”等句式中，“了”同样表现出的是右边界效应，但是其语义是“接近开始”。

(3) 不提倡将“了”区分为“了1”及“了2”

如何区分“了1”及“了2”对于专家来说也是一个很棘手的问题。如果让学生去区分“了1”及“了2”将会出现混乱，或许还会致使学生产生畏难情绪。事实上也没有必要使用“了1”及“了2”这种提法。只需要指出，当“了”接在以动词或者形容词结尾的句尾时，标示单元动量边界的“了”与标示事象边界的“了”重叠了，标示单元动量边界的“了”为隐性，而标示事象边界的“了”为显性。所表现出的边界效应为左边界效应还是右边界效应视动词的类别而定。

5. 结论

本研究初步得出结论认为，动词可以分为三类，即零单元动量动词，一单元动量动词，多单元动量动词。动词的分类与“了”所表达的语义密切相关。“了”所表达的语义通过左边界效应和右边界效应反映出来。在实际的汉语教学中间，没有必要教学生如何区别“了1”与“了2”，而是应该教会学生分清动词的类别与“了”的边界效应的关系，从而掌握“了”的语法特征。

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An Investigation of Belgian and Danish Learners' Use of Chinese Comparative Sentences in Written Production

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Abstract: The current study investigated CFL learners' use of comparative sentences in written production. Two cases studies were conducted at University of Leuven, Belgium, and Aarhus University, Denmark during the academic year of 2014 to 2015. There were altogether 83 students (N= 54 students from Leuven; and N= 29 students from Aarhus) participating in the studies. Students' writing samples were first collected and the errors on the use of comparative sentences were then identified and described. The study results reveal that the use of 'bǐ - 比' has a very high error rate regardless of task types, proficiency level and learners' first languages. After analyzing all the learner errors, a categorization framework of the grammatical errors with using comparative sentences is developed, which include comparative item-related errors, comparative result-related errors and blend errors. Finally, pedagogical implication of CFL is discussed and future research is suggested.

Keywords: error analysis, comparative sentences, comparative structure 'bǐ - 比', Chinese as a foreign language (CFL), written production

Introduction

Error analysis is a type of linguistic analysis that focuses on the errors learners make. The collection, classification, and analysis of errors in the written and spoken production of second or foreign language learners have a long tradition in language pedagogy. Since Corder (1967) first raised the significance of error analysis, a great deal of work was carried out within the field of second language

acquisition (e.g. Richards, 1974; Schachter, 1974; Corder, 1992; Ellis, 1994; Ellis & Barkhuizen, 2005). The general consensus from previous research is that errors are not just to be seen as something to be eradicated, but rather they provide evidence of the state of a learner's knowledge of the L2. As evidence of learners' underlying rule-governed interlanguage systems, errors can be of great significance to both the researchers and the teachers.

In recent years, Mandarin Chinese has become one of the most popular foreign languages, and the number of L2 Chinese learners has been increasing. Many countries have started investing in programmes geared towards developing their citizens' Chinese language competency. However, it is also widely acknowledged by both researchers and learners that for non-native speakers, Chinese is considered one of the most difficult languages to learn (Goh, 1999; Wu, 2012). At present, research in Chinese L2 acquisition does not match the increasing demand to learn Chinese as an L2 and the need for understanding the difficulty of L2 Chinese learning. It is important that the existing research findings from SLA can be extended and applied to study L2 Chinese development. The purpose of the current study is to examine the theoretical and practical relevance of the error analysis approach in CFL by investigating two cases - (i) Belgian (L1) learners' use of Chinese (L2) comparative sentences in written production; and (ii) Danish (L1) learners' use of Chinese (L2) comparative sentences in written production through a cross-sectional design.

Literature Review

Error Analysis Research on the Use of Comparative Sentences in L2 Chinese Production

Prior to the current study, we conducted a literature review on the error analysis of the use of comparative sentences in L2 Chinese on the database of China Academic Journals (CAJ). Using combinations of the following keywords "error analysis", "comparative sentences" and "Chinese as a foreign language", we searched online and selected scholarly journals up to 2014. This search resulted in the retrieval of 240 hits. However, going through these published articles, unfortunately we found that the majority of the articles on error analysis do not report empirical studies, and it is difficult to find any kind of empirical data from these articles. In the next selection phase we went through the abstracts of the found articles, and selected those that met the following criteria: (1) the study reported in the paper has to be an empirical study with descriptions of the research method; (2) the study has to be about Chinese language learning as L2; (3) Error analysis has to be the approach used in the study.

In the end, we found five articles (Chen & Zhou, 2005; Liu, 2009; Qian, 2012; Song, 2011; Xiao, 2012) that roughly meet our criteria, which will be discussed below.

Firstly, studies on L2 learners' use of comparative sentences have increasingly been paying attention to the role of learners' L1 backgrounds. Learners with different L1s tend to have different error productions. In Song's study (2011), she found Cambodian students of Chinese tend to have sequencing errors when using comparative sentences, e.g. * 金边很热比中国 (Phnom Penh is very hot than China). This kind of wrong word order remains problematic even when students reach an advanced level. Based on the relevant linguistic data, Xiao (2012) analyzed the Vietnamese students' most frequent errors in using the comparative structure 'NP1+ comparative marker 比 + NP2 + AV'. In Chinese, intensifiers cannot occur before the adjectival verb in the 比 comparison pattern. Vietnamese students frequently add intensifiers, e.g. 很 'very', 非常 'extremely', 太 'too', wrongly in front of the AV. Similar errors are also produced by Korean, Japanese students (Qian, 2012).

Chinese comparative sentences employ various structures and words, and are often used in complex pragmatic conditions. This brings problems not only in learners' written and oral productions, but also in selecting and arranging these grammatical items while teaching (Chen & Zhou, 2005; Zhou, 2007). Recent studies also start to pay attention to analyse errors on the semantic and pragmatic levels instead of merely focusing on syntax. This shift of attention is particular important when analyzing the error productions of learners from intermediate and advanced levels. Liu's study (2009) shows that when using comparative sentences, intermediate level students produced more semantic and pragmatic errors than learners at the beginning level. Chen and Zhou's study (2005) found that learners at the beginning and lower intermediate levels used the comparative structure 'NP1 + comparative marker 比 + NP2 + AV' and its negative form with 没有 more often than learners at the higher intermediate and advanced levels. Interestingly the error rate when using the same structure was also quite high among learners at the beginning and lower intermediate levels. According to Chen and Zhou (2005), it was because of the influence from L1 and the mixed use of affirmative and negative sentences of 比 structure. For example, * 上海的天气比北京不冷。 (The weather of Shanghai is colder than Beijing not.) By further comparing the use of comparative sentences of Chinese native speakers and L2 Chinese learners, Chen and Zhou (2005) revealed a striking difference. The native speakers used the 不比 structure up to 87.5% in the contexts where they considered it necessary. In contrast, even for the advanced L2 Chinese learners, the use of 不比 structure in the same contexts was only 27.3%; for the rest groups of learners, it was all below 20%. The L2 Chinese learners, on the contrary, used the structure more often in the contexts where a native speaker would not use.

According to Jiang (2009), previous error analysis studies of Chinese L2 have been limited in many ways, and one of the main concerns is about the research methodology. Studies were rarely

conducted by employing a clear research method and by collecting empirical data. The five studies reviewed basically reported empirical data, which provide us with at least some evidence on the acquisition of comparative sentences by L2 learners. Nevertheless methodology remains an issue. In these studies, the categories of errors are often prescribed rather than deduced from empirical data. The next section reviews the methodology generally employed for conducting error analysis.

Review of Error Analysis Methodology

Error analysis, as a research tool for understanding interlanguage development, has been widely used, and meanwhile, it has also attracted criticisms. One of the major criticisms was that error analysis only presents a partial picture of a learner's L2 linguistic behaviour because of its emphasis on errors to the exclusion of correct sentences (Gass & Selinker, 2001). When L2 learners have difficulty in using certain grammatical structures, they may choose to avoid using them. In this case, error analysis cannot study those structures because of its reliance on error production. However, it is also argued that these limitations are not relevant since error analysis is not the only perspective of L2 research anymore as it was in the 1970s, and it does not claim to be a research method that aims to provide a full picture of L2 interlanguage development (James, 1998). While these limitations are acknowledged, error analysis remains a valid and important research method in helping L2 researchers and teachers to deal with learner errors (Jiang, 2009).

When conducting an error analysis, there are a number of steps that have been widely used in L2 research (Ellis & Barkhuizen, 2005; Gass & Selinker, 2001). This includes collection of a sample of learner language, identification of errors, classification of errors, explanation of errors and evaluations of errors. When collecting data one should consider what the purpose of the study is and the factors that can bring about variations in learners' language production. These factors include language factors, such as written or oral production, the form and content of production, and learner factors, such as learners' proficiency level, L1 background and language learning experience (Ellis, 1994). After production samples are collected, it is important to set error identification criteria. Two criteria should be considered when identifying a grammatical error. One is whether it is grammatically correct; the other is whether it is appropriate in a certain context. After errors have been identified, one has to specify how a learner's error differs from that of a native speaker. A categorization of the errors needs to be developed, which may include interlingual, intralingual, teaching-induced and communication-strategy-based errors. In order to find out why the error was made in the first place, one has to establish the source of the error, which often includes L1 transfer error, teaching induced error and overgeneralization error. This step of error explanation is the most important stage of error analysis. The last step

in error analysis is to evaluate and draw a conclusion based on the category and frequency of an error type. Often in this last step, pedagogical interventions are proposed to remediate problems.

Research Questions

The current study aimed to investigate Belgian and Danish learners' use of Chinese comparative sentences. The following specific research questions are raised.

- What are the most frequent grammatical errors made by Dutch L1 and Danish L1 learners of Chinese (L2) when using comparative sentences in their written production?
- Are there any differences regarding types and frequencies of errors between learners at different levels of proficiency?
- Are there any differences regarding types and frequencies of errors between Dutch and Danish learners of Chinese at free written productions and controlled written productions?

Method

Participants

All together 83 students from Belgium and Denmark participated in the study. The Belgian students ($N = 54$) were from the Sinology Department, University of Leuven. The Danish CFL learners ($N = 29$) were students enrolled in the China Studies at the Aarhus University. Considering the acquisition of comparative structures maybe different for students from different proficiency levels, two different proficiency levels were included in the study: 2nd year students and 3rd year students. They were all native Dutch- /Danish-speaking Chinese L2 learners in their early twenties. The Belgian and Danish students all used *Integrated Chinese* as the textbook.

Data Collection

Given the same writing tasks and teaching instructions, data collection started in the spring semester 2015 at two universities. Students' written samples were collected through two writing tasks. The first writing task was done during normal class hours of their writing courses. In order to ensure the comparability of the writing tasks, all groups were given the same task. In this writing task,

students were required to write a passage that makes a comparison of two subjects. They were free to choose their own subjects for comparison, such as two people, two countries or two sports teams. Students worked in groups of two. They first brainstormed what two subjects are that they would like to compare. Once the subjects were chosen, they had to find at least two or three points of comparison and organize the points into a paragraph. A list of comparative structures was provided in this task to help students to express comparisons. There was a time limit of 40 minutes to finish the writing task in the class. The second writing task was to write a comparative essay of about 400 words. This task was one of the regular homework writing assignments that are included in the teaching syllabus. In this task, students worked individually. Again, they were free to pick any two subjects that have enough similarities and differences to be compared in a meaningful way. They were asked to clearly structure the text by using comparison points. No list of comparative structures was provided in this task.

Data Analysis

Following Ellis and Barkhuizen's (2005) method of error analysis, the data from the valid written samples were analyzed. The error identification procedures were carried out independently. Inter-rater reliability was calculated. In case of any discrepancy in identifying errors, the authors re-examined the sentences together through discussion. In this study, among other types of errors, only errors of comparative sentences were identified. We selected the sentences with obvious comparative markers, such as the following sentences:

- 1) NP1 跟 / 和 NP2 一样 (不一样, 差不多等) illustrating the differences or similarities between two persons or two things.
- 2) NP1 没有 NP2 indicating one thing is of a lesser degree than another with 没有 .
- 3) NP1 比 NP2 Comparing the difference in property or degree between two persons or two things. The property can be expressed as an adjectival verb, a stative verb, or a verb phrase with a modal verb.
- 4) NP1 不比 NP2 indicating the two things being compared may be equal or one thing is of a lesser degree than another by using 不比 bu bi, what is specifically stated is that NP1 is no more than NP2.
- 5) NP1 不如 NP2 indicating one thing is of a lesser degree than another with 不如 .
- 6) 更 / 最 +Adj./V indicating a comparative degree by placing the intensifier 更 or indicating a superlative degree by placing the intensifier 最 before the stative verb or adjectival verb.
- 7) 越来越 +Adj. /V denoting a progressive change over time of more and more of the adjective or V.

8) 跟 NP1 比起来, NP2... This structure means 'in comparison with NP1, NP2....'. It is used to tell the result of comparing.

Results

Comparative Sentence Error Rates across Proficiency Levels

Table 1 shows an overview of error rates that were found in both Belgian and Danish students' written production. The results show in general the 3rd year students made less errors compared to the 2nd year students when using comparative sentences. The comparative sentences produced by both Belgian and Danish students are more focused on the use of three most common structures (1) NP1 跟 / 和 NP2, (2) NP1 比 NP2 and (3) NP1 没有 NP2. Accordingly, students also produced more errors when using these structures. The error rate on the use of structure (5) NP1 不比 NP2 and (6) 更 / 最 + Adj./V are also considerably high.

Table 1 Error rates across proficiency levels

Comparative Structures	Belgian Students						Danish Students					
	2nd Year			3rd year			2nd Year			3rd year		
	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Er-rors</i>	<i>Total</i>	<i>Rate</i>
1) NP1 跟 / 和 NP2	12	86	14%	5	52	10%	8	32	25%	12	50	24%
2) NP1 比 NP2	60	201	29.9%	18	68	26.5%	15	29	51.7%	17	85	20%
3) NP1 没有 NP2	26	33	78.8%	8	24	33.3%	0	62	0%	4	38	10.5%
4) NP1 不如 NP2	3	11	27.2%	2	15	13.3%	3	8	37.5%	1	15	7%
5) NP1 不比 NP2	2	2	100%	5	6	83.3%	0	2	0%	5	12	41.67%
6) 更 / 最 + Adj/V	11	13	84.6%	4	12	33.3%	2	5	40%	3	26	11.54%
Total	114	346	32.9%	42	177	23.7%	28	138	20.3%	42	226	18.59%

Comparative Sentence Error Rates in both Controlled and Free Written Productions

The results also reveal a similar pattern of error rates in both controlled and free writing conditions (see Table 2). Either in the condition of group-work with time constraint in the classroom or in the condition of individual writing without time constraint, students' use of comparative sentences is consistent, which also reflects the students' actual level of acquisition. Structures (1), (2) and (3) were used more frequently. The error rate when using (5) and (6) was also quite high among students.

Table 2 Error rates in both Controlled and Free Written Productions

Comparative Structures	Free Writing Production						Controlled Writing Production					
	2nd Year			3rd year			2nd Year			3rd year		
	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Errors</i>	<i>Total</i>	<i>Rate</i>	<i>Errors</i>	<i>Total</i>	<i>Rate</i>
1) NP1 跟 / 和 NP2	13	85	15.29%	12	80	15%	7	33	21.2%	5	22	22.7%
2) NP1 比 NP2	43	150	28.67%	24	109	22.02%	32	80	40%	11	44	25%
3) NP1 没有 NP2	26	88	29.55%	10	48	20.83%	0	7	0%	2	14	14.3%
4) NP1 不如 NP2	3	7	42.86%	1	13	7.7%	3	12	25%	2	17	11.8%
5) NP1 不比 NP2	2	3	66.67%	5	11	45.5%	0	1	0%	5	7	71.4%
6) 更 / 最 + Adj./V	12	14	85.71%	5	29	6.9%	1	4	25%	2	9	22.2%
Total	99	347	28.5%	57	290	19.7%	43	137	31.4%	27	113	23.9%

Comparative Sentence Error Rates according to Categories

After analysing all the learner errors, a categorization of the grammatical errors with using comparative sentences is developed, which include three main categories, i.e. comparative item errors, comparative result errors and blend errors. Comparative item errors are errors related with the comparee NP1 (i.e. what is compared) and the standard NP2 (i.e. to what the comparee is compared). Comparative result errors are the problem with the use of a predicate that describes the positions of comparee and standard. When the learner is uncertain of which structure to use, they may blend two different phrases or sentence patterns. These errors are categorized as blend errors. Figure 1 presents

the error rates for all the writing samples according to categories. In the coming section, different categories of errors are explained; and the possible causes of the errors are discussed.

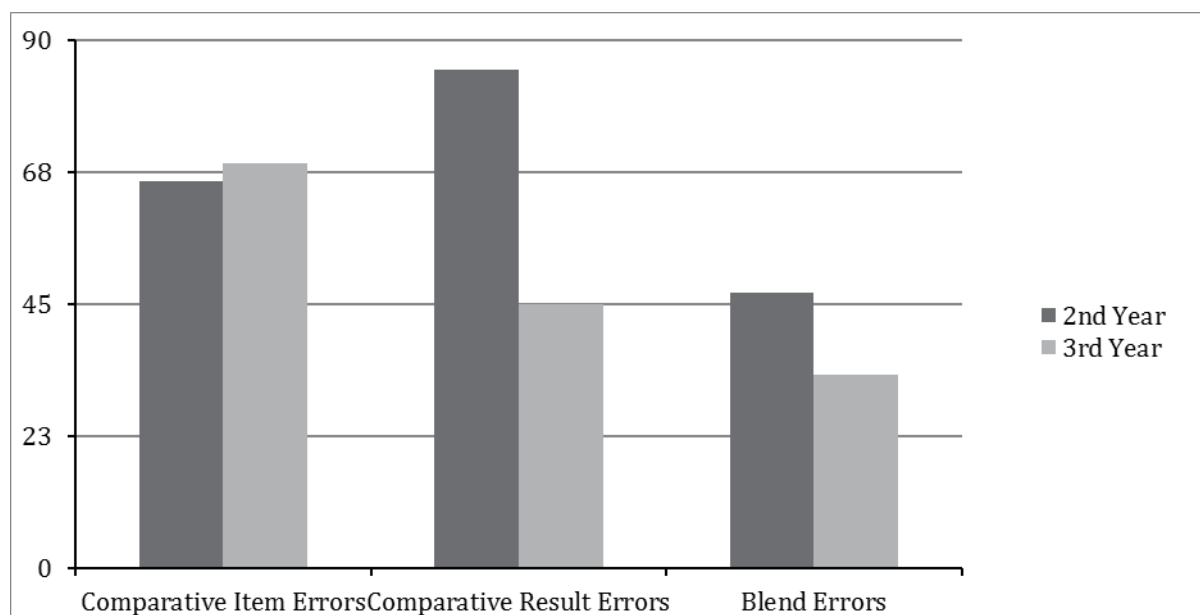


Figure 1. Overview of all error categories as percentage of the total number of errors in both groups.

Discussion

As mentioned previously, interlingual, intralingual, teaching-induced and communication-strategy-based errors are the four main categories of errors mentioned in the literature. Although these four sources of errors are theoretically enlightening, there are still problems when using them to explain errors (James, 1998). It is not always easy to distinguish transfer error from intralingual errors. Besides, an error could have more than one source. More importantly, these four categories are too general to be applied to classifying Chinese comparative sentences errors in the current study. Therefore in order to clearly describe and explain errors, a categorization of comparative item errors, comparative result errors and blend errors is developed, as presented in the result section. Based on the data, this approach of classification grouped learners' production errors mainly from the perspective of grammatical principles for producing correct comparative sentences. The established sources of interlingual and intralingual, as well as teaching and material induced errors were also considered in analyzing the sources of errors.

Comparative Items Errors

Comparative items related errors mainly include two types of errors. The first type of error is the items being compared, i.e. comparee NP1 and the standard NP2 are semantically equivalent for comparison. Comparison structures are used to indicate that things are similar to or different from each other. Words or phrases both before and after the preposition 比 are generally of the same type. Therefore NP1 and NP2 should be semantically equivalent for comparison. The following sentences produced by students are syntactically correct; however, semantically, they are not acceptable.

- 1) * 单身比结婚的人自由得多。

Danshen bi jiehun de ren ziyou de duo.

Single bi married people much more freedom.

Single people have much more freedom than married people.

- 2) * 中国人比丹麦矮。

Zhongguoren bi danmai ai.

Chinese bi Denmark shorter.

Chinese is shorter than Danish.

- 3) * 中国人比比比利时努力。

Zhongguoren bi bilishi nuli.

Chinese bi Belgium more diligent.

Chinese is more diligent than Belgians.

This type of error could easily happen because of a careless mistake. However, the high frequency of such errors leads us to believe it is more than just a slip of the tongue. The direct mental translation of the L1 word when producing L2 sentences could be the direct cause of using semantically non-equivalent words for comparison in the sentence (1). This type of error could also result from learners' neglect of the accuracy of comparative syntactic structure in the pursuit of comprehensibility, like in sentence (2) and (3).

The second type of error with regard to the use of comparative items is error of omission. When the two elements for comparison both before and after the preposition 比 or 跟 are nominal endocentric phrases and the modified nouns are identical, the modified word in the nominal endocentric phrase after 比 or 跟 is often omitted. What the students omitted in sentence (4) is the modified words before

和 . If the attributive indicates the relationship of possession when the modified word is omitted, the structural particle 的 must be used. In example (5), learners wrongly left out 的 after 男人 .

4) * 我以为比利时和荷兰的荷兰语差不多一样。

Wo yiwei bilishi he helan de helanyu chabuduo yiyang.

I thought that Belgium and the Netherlands' Dutch are almost the same.

I thought that Belgian Dutch and the Netherlands' Dutch are almost the same.

5) * 女人的身体没有男人那么强大。

Nuren de shenti meiyou nanren name qiangda.

A woman's body is not as strong as a man.

A woman's body is not as strong as a man's.

This type of error might be induced by teaching as well as the intralingual overgeneralization of simple comparative structures. If the teacher or the learning tasks do not clearly present the rules of omission when using nominal endocentric phrases for comparison, learners are likely to overgeneralize what they have learnt to omit elements in comparative items.

Comparative Result Errors

In the comparative sentences, the predicate of a 比 sentence indicates the result of comparison. The result of the current study found that learner errors on the comparative result are mainly about the use of adjectives and certain verbs.

Our result shows that students were familiar with the use of an adjectival predicate in a comparative sentence. However, errors often occur when students want to express the difference between the objects being compared, e.g. (6).

6) * 同居比结婚比较好。

Tongju bi jiehun bijiao hao.

Cohabitation is more better than marriage.

Cohabitation is a bit better than marriage.

Another type of error we observed within the comparative result category is the addition of adverbs 更 or 还 in front of the predicate. The adverb 更, 还 or 还要 as adverbial adjunct can be used after the 比 phrase and before the predicate to denote a further degree. Therefore, sentences like (7) and (8) are correct if they are examined purely from a syntactic perspective. However, if we look at the

contexts where these sentences appeared, we can see that the problem is in the addition of 更 before the predicate. The sentence 意大利的天气比比利时的更好 implies that the Belgian weather is good, and the Italian weather is even better, i.e. 比利时的天气很好, 而意大利的更好. What the student really meant in his/her text is that Belgian weather is terrible, and in his/her opinion, the weather in Italy is better.

- 7) * 单身的生活比结婚的生活更孤独。

Danshen de shenghuo bi jiehun de shenghuo geng gudu.

Single life is even lonelier than married life.

- 8) * 意大利的天气比比利时的更好。

Yidali de tianqi bi bilishi de tianqi geng hao.

The weather in Italy is even better than the weather in Belgium.

Blend Errors

Belgian and Danish students' mixed use of different sentence patterns frequently occurred in the following structures: a) NP1 比 NP2 and NP1 跟 / 和 NP2; b) NP1 不比 NP2, NP1 没有 NP2 and NP1 不像 NP2. Blending arises when two alternative grammatical forms are combined or misused to produce an ungrammatical blend. This study shows that the blend errors that are related to the use of comparative sentences are often the confusion with the use of different comparative markers. The first type of blend errors that students tend to make is to mix the comparative marker 比 *bi* and 跟 *gen*, e.g. sentence (9) and (10).

- 9) * 中国人比丹麦人差不多。

Zhongguoren bi danmairen chabuduo.

Chinese people are almost the same than Danish.

Chinese people are almost the same as Danish.

- 10) * 中国人的生活比比利时人的生活不一样。

Zhongguoren de shenghuo bi bilishiren de shenghuo buyiyang.

Chinese people's lives are not the same than Belgian people's lives.

Chinese people's lives are not the same as Belgian people's lives.

The second type of blend errors is the use of 不比, e.g. (11) and (12). When students wanted to express a negative comparison, they tended to use 不比 rather than 没有 or 不像. 不比 and 没有

are all considered as the negative forms of 比 structure. However, they are used under quite different pragmatic conditions. Students are often not aware that 不比 is the negation of 比 in form, but it is not necessarily its negation in meaning. The context where 不比 structure would be used is to refute the interlocutor's argument. Examining students' written samples, often there was no such kind of pragmatic necessity to use this structure. Or in some cases, it would be more appropriate to use 没有 or 不像 structures. The result from this study verifies the findings from the previous study on L2 Chinese learners' use of 不比 structure (Chen & Zhou, 2005). The pragmatic requirements of using 不比 are more difficult for learners than other negative sentences of comparative structures.

11) * 单身的人不比夫妇吵架吵得多。

Danshen de ren bu bi fufu chaojiao chaodeduo.

Single people bu bi married couples quarrel that much.

Single people do not quarrel as much as married couples.

12) * 男人不比女人那么乱说话。

Nanren bu bi nuren name luan shuohua.

Men bu bi women that gossip.

Men are not as gossip as women.

Conclusions

The main findings obtained from students' written samples are summarized as the following. Firstly, regardless of learners' L1, task type and proficiency level, structures like (1) NP1 跟 / 和 NP2, (2) NP1 比 NP2 and (3) NP1 没有 NP2 structure have been found to have the widest application in students' written productions, and meanwhile the error rate when using these structures are also among the highest. Secondly, the use of 不比 structure is very problematic. It is reported as having the highest error rate or being completely avoided by some students in their written production. Finally, among the three categories of errors, the comparative item related errors have been found to have the highest error rate for third year students, the comparative result related errors for 2nd year students.

The findings from the current study suggest that the teaching of the most frequently used comparative structure requires strengthening from time to time. It needs to be reinforced when learners reach an advanced level when they are able to use longer and more complex structures and vocabularies in the target language to express comparison. It is possible that more errors could occur due to the

increase in complexity of the language used, as suggested by this study. It is also recommended that the teaching of negative form 不比 structure start at later stage of learning instead of at the very beginning. Providing 不比 structure together with the teaching of 比 structure at the beginning of learning can confuse learners and lead to inappropriate use. 不比 structure is recommended to be taught to learners with higher intermediate level or even an advanced proficiency level of Chinese, because this structure functions at the pragmatic level, requiring a higher proficiency in the target language. When introducing the grammatical function of making comparisons in Chinese, in addition to the 比 structure, it is also advisable to provide other sentence patterns at the same time, such as NP1 跟 / 和 NP2. The over-indulgence of the form of 比 structure in L2 Chinese acquisition can occur as a result of intralingual processes such as overgeneralization, which could lead to blend errors of confusing functions of NP1 比 NP2 and NP1 跟 / 和 NP2.

While acknowledging the significance of the current descriptive error analysis on the Belgian and Danish CFL learners' written production, the results from the current study should not be generalized as a comparative study in strict experimental controlled settings. It is advisable for future research to examine the instruction effect of different designed tasks by comparing data obtained from different groups of learners in an experimental study, so as to allow more solid evidences and conclusions to be drawn.

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The Pragmatic Functions of “qishi” in different Styles and Its Pedagogical Implication

不同语体中“其实”的语用功能研究及其教学启示

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摘 要: 本文首先讨论了“其实”分别作为副词和话语标记时的界定标准,进而分析其基本语用功能及各个功能之间的关联,在此基础上对“其实”在书面语体和口语体中的语用功能作了统计分析,发现“其实”在书面语中主要作为副词对前文所述内容进行修正或补充;在口语中主要作为话语标记体现人际功能,表达交际双方的主观态度,加强话语连贯,为话语的理解提供提示、引导作用。本文通过语料分析证实语体对词语使用确有影响,指出在汉语研究与教学中应重视语体的作用。

关键词: 其实;语用功能;语体;教学

1. 引言

关于“其实”,学界主要从两个方面来进行研究。一是语义方面,如张谊生(1996)认为“其实”可分为两个,一个表示否定性解说,一个表示补注式转折。许娟(2002)认为“其实”可体现两种语义关系,即显性共现式和隐性推断式。王江(2005)指出“其实1”对上文进行更正,具有转折意义;“其实2”对上文进行进一步补充、说明,不具转折意义。二是语用功能方面,如崔蕊(2008)通过分析“其实”的主观性和主观化指出了其有话语标记功能,包括话语组织功能(话题转换、话题延续和话轮转接)和缓和语气的人际功能。张水香(2009)则提出“其实”的语用功能有三个:一是强化“A,其实B”的信息内容;二是加强“A,其实B”对信息的表达语气;三是突破受众心理预测防线。孟祥尧(2011)认为“其实”的语用包括否定评价功能、断言功能、话轮更替功能和舒缓语气功能。Wang等(2010)通过对比“其实”和“事实上”指出“其实”可引导听话人注意说话人所表达的特殊含义;具有交互主观性,在彰显修辞策略的同时也照顾到了听话人的面子。在正式口语语境下使用得更为频繁,如电视/广播

访谈,因为此时需要礼貌策略。Wang 等(2011)进一步指出“其实”指向听话人,标示一致与否,用来表达主观评价。

从前人研究可看出,“其实”的语义多体现在转折和补注两方面,而语用功能则未形成较为统一的观点,主观评价、强调、话题转换、舒缓语气等提法不一而足。我们需要思考的是,“其实”的基本语义功能是什么,不同的语用功能之间有何关系,不同的语体之间功能是否存在差异,何时可将其视为话语标记,这些问题形成了本文研究的动因。

本文的语料来源有两个,一是北京大学中国语言学研究现代汉语语料库中的当代应用文议论文中的 166 篇语言学论文,语料规模是 250 多万个字节,以此作为书面语语料的分析对象。一是中国传媒大学文本语料库检索系统中《对话》栏目的媒体文本,包括 100 个文本,语料规模为 159 多万个字符,以此作为口语语料的分析对象。

2. “其实”的语义及其界定问题

关于“其实”的本义已有学者作出阐释,如朱冠明(2002)、董秀芳(2002: 156)、崔蕊(2008)等,都认为“其实”是一个偏正式名词短语“其+实”,“其”是代词,“实”最初指“果实”,后来虚化为“实质、实际的情况”,“其实”的意思就是“它的实质、实际的情况”。学者也都认同其表转折、对比的功能与其本义有关。我们认为具体说来,与实际情况相对的有两种:一为非实际情况,此时与实际情况形成显性对比,表示转折;二为不完全实际情况,此时需要进行补充,即表示补注。但需要注意的是,无论是表示转折还是补注,都表示的是一种语义关系,这种语义关系是在具体语境中体现出来的,而非“其实”一词本身所传达的。从其本义上来讲,我们认为,它所表达的基础功能是阐释,而非对比或转折。事实上,“其实”具有解释功能在《高等学校外国留学生汉语言专业教学大纲》中已有提及,在这本大纲的附表 4 功能项目表中,有一项为“解释”,在细目表中“其实”出现在“解释”这一功能项目中。从语义上讲,副词“其实”是从偏正词组“它的实际情况”发展而来的,这一语义与阐释功能是相匹配的。因此我们认为副词“其实”的基本语用功能是阐释。在阐释的功能下,可以从“其实”前后的语义关系分为转折和补注两类。

关于“其实”词类归属问题,各家的说法也各有不同。传统观点都将其视为副词,一般词典也将其归在副词之列。但也有学者从其他角度对“其实”进行了重新归类。廖秋忠(1986)从篇章角度将其归为实情连接成分;王江(2005)也将其视为篇章关联副词;崔蕊(2008)通过分析其主观化的发展过程提出它作为话语标记的功能;Wang 等(2011)认为“其实”与“actually”和“in fact”相似,都可作为认识立场标记(epistemic stance markers)。那么,“其实”在句中的语法地位到底该如何界定,作为副词与话语标记时分别有哪些形式和功能上的不同,则是我们下文需要探讨的问题。

在讨论这个问题之前,我们需要回顾一下前人对话语标记的认识。第一位将话语标记进行系统讨论的是 Schiffrin(1987),她认为话语标记就是依存于前言后语、划分说话单位的界标;是为进行中的话语提供语境坐标的语言手段。话语标记可以增加连贯性,但并不是必不可少的连贯手段。之后不同的学者对话语标记做出自己的界定,虽然各位学者对话语标记的界定还未形成共识,但在语音、语义、句法特点上已达成某些共识。语音方面,有独立的语调单位(intonation unit);语义方面,没有命题意义,只有程序意义;句法方面,具有独立性和灵活性,表现在三点,一是可省略,其有无不影响句子的合法性,二是不与任何其他前后成分组成更大的句法单位,三是句法位置多位于句首,但也可以出现在句中和句尾。关于话语标记是否只限于口语中使用,学界还未达成共识。大多学者认为话语标记必须是口语,但也有学者提出口语体偏向使用并列连词和插入语,副词性连词只能在书面语中使用(引自殷树林,2012:60)。本文的观点是基于所分析的具体语料而提出的,认为就书面语中的“其实”而言,也有话语标记的用法,具体语料详见后文。

那么,如何区分副词与话语标记呢?事实上,国外学者在副词与话语标记问题方面已有一些研究成果。如 Traugott (1999:177)总结了副词语义演变的结构化路径为谓语副词>句子副词>话语标记。Traugott 和 Dasher (2002)详述了英语“indeed, in fact, actually”都经历了从句内副词到表示认识转折(epistemic adversative)的句子副词再到话语标记的演变过程。这些研究成果表明副词与话语标记之间存在一个渐变的连续统,不过这些都是在历时层面来描写分析这些词从副词到话语标记的演变,而我们则分析一个词语的不同功能在共时层面的界定及分布情况,以此反观语法化、主观化在某一共时层面的影响及其表现。

通过语料分析,我们以是否可以省略,省略后对句子的影响程度为标准,参考张谊生(2000)的现代汉语副词分类系统,将“其实”分为关联副词和话语标记。张谊生(2000:19-20)指出,关联副词充当状语时有两重性:就其限制或评注的成分而言,它们仍保留原来的功用,就其前后的成分以及整个句子或句段而言,它们就具有了连接功能。它实际上是一个动态的、不定的副词小类,同其他副词之间并没有明确的界限,只要某个副词在句子中、篇章中起到了关联作用就是关联副词。据此,我们认为,当“其实”在句中不能省略,或省略后影响语句的连贯性时,是关联副词;当“其实”省略后完全不影响语句的连贯与理解时,为话语标记。例如:

(1)乍看起来,汉语“泛时式”跟英语“现在时”差不多,其实并不相同。

(语言学论文 031)

(2)郭宏超:然后就是说,刚才您也分析了就是说您对这个产业非常看好,然后也有技术的支持,但是我想这个股东是需要回报的,而且这个环保产业是需要一个很长的周期,您怎么去说服我们的股东。

陆致成:其实₁从2001年以后,同方的经营状况其实₂是在有一段时间是在下滑的,那么这下滑当然有各方面的原因,其实₃对我们对一些新产业的投入,在投入的孵化期其实₄是很

主要的一个原因。

(对话 2009-02-17)

例(1)中“其实”不能省略,省略后影响篇章的连贯性,而且也不可以前移或后移,因此是关联副词;例(2)中的“其实_{2,4}”都可以省略,且省略后并不影响语句的连贯与理解,都是话语标记。据此,本文主要以形式和意义两条标准来区分语气副词和话语标记,如果其在语义上仍表达其概念意义,且在句法上不能省略,即为副词;如果在语义上已失去其概念意义,只表达程序意义,且省略后对语篇连贯性没有影响,即为话语标记。

3. “其实”的语用功能及其在不同语体中的体现

上文说到,“其实”的基本功能是阐释功能,这一功能与其本义“实质、实际的情况”相关,当其为关联副词时,主要体现阐释功能,即“其实”后所表达的实际情况是对前文的解释,包括修正和补充,如例(1)中“其实”衔接内容是对前内容的修正。当“其实”前后语义仍有转折或补注关系,但语义成分通过其他手段衔接时,“其实”的概念义及逻辑义逐渐消失,此时即转变为反预期功能。当“其实”衔接的内容在语义上没有体现与期望值之间的关系时,其表反预期的功能逐渐淡化,但突显信息焦点的功能仍延续下来,成为信息突显功能;当“其实”后所衔接的实际情况并不是对上文的修正或补充,并没有解释而是对前文话题的延展时,它的功能则由阐释功能发展到语义延展功能。这几个功能在例(2)中都有所体现。

例(2)中“其实₁”是副词,后面衔接的新的内容是对提问者问题的回答,即对这个话题的延展,所以这里表达的是语义延展功能。“其实₂”表示的是与期望值相反,因为“说服股东”期望的是“经营状况良好”,而“经营状况下滑”超出了期望值,与期望相反,此时“其实”的功能为反预期。此时“其实”常位于句中,其前常与“但/但是”这样的转折连词连用,或有形式主语,即虽然其前后语义呈现转折对比关系,但语篇衔接时不需要由它来承担这个转折功能,而是有专门的连词或主语承担,它的出现主要是说话人或作者在预估信息超出期望值时给信息做了一个铺垫,使听话人或读者更容易接受这个具有反预期特点的信息,所以“其实”的有无并不影响语篇的连贯性,应视为话语标记。而且当这个超出期望值的信息对听话人可能造成面子上的损伤时,“其实”的加入缓和了对听话人面子的侵犯,所以已有研究也常将人际缓和功能作为话语标记“其实”的功能之一。但我们认为人际缓和功能与反预期功能具有相关性,而且是因为反预期才导致它有人际缓和功能,前者是因,后者为果,不把人际缓和功能单列出来的原因是因为它与反预期功能是相辅相成的。

“其实₃”和“其实₄”都位于信息结构之间,其后内容表达的是说话人对这一命题的评论,“其实”的加入突显了评论这部分内容,此时其功能为信息突显功能,常位于句中,表达说话人或作者对所述话题的一个主观判断或评论。

当语义延展功能中逻辑义逐渐淡化,主观互动性逐渐增强时,即发展为信息引导功能。当

信息引导功能其后的信息组织出现问题时,即发展为信息填补功能。二者都关注信息在交际双方之间的传达度,不同的是信息引导功能其后所表达的信息在语义上是连贯的,在结构上是完整的,而信息填补功能其后所衔接的信息或是结构不完整,或在语义上与前文不存在直接关联。例如:

(3) 迟福林: 改革开放 30 年,中国长期处在一个解决吃饭的这种生存型社会,开始进入到一个以人的发展为目标的发展型社会,这是一个伟大的历史性跨越。

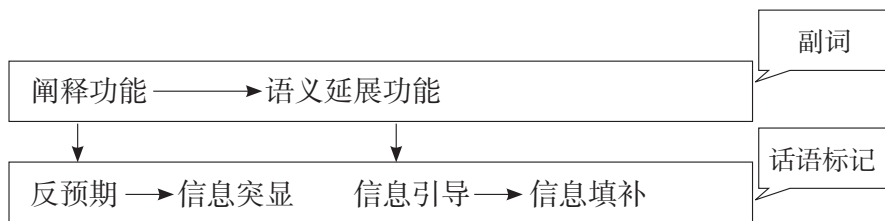
主持人: 其实我想在前面各位真诚的对话和热烈的讨论当中,我们会收获这样一个共识,那就是改革开放其实是决定当代中国命运的一个抉择,而且它应该也是我们 13 亿中国人共同的抉择。
(对话 2008-04-19)

(4) 白云峰: 我的一个朋友在四川,他在成都,地震对他其实,家里,他说家里的柜子也摔得乱七八糟的,但是另外一个朋友给我打电话,说你要打电话劝他一下,我说为什么?
(对话 2008-07-11)

例(3)中“其实”位于话轮转换时的开头,引导听众对其后信息的注意,此时表信息引导功能的“其实”常与“我想”“我觉得”这样表达主观观点的短语连用,也有可能位于“因为”、“那么”等连词后面,引出后面所传递的信息。在《对话》中,这种功能的“其实”主要出现在三个语境中:一,主持人通过它来引出对之前所讨论话题的观点或总结;二,主持人通过它来引出与前文话题相关的一个新的话题,或者是一个问题;三,嘉宾在回答主持人的问题时用它来引出回答的内容。例(4)中“其实”后有短暂的空白,其紧接的语义和结构是不完整的,它在这里填补了这一信息空白,为说话人组织语言争取更多的时间。

我们将“其实”各语用功能之间的关联用图示展现出来,如图 1 所示。总的来说,话语标记“其实”的功能是从副词“其实”的功能发展而来的,而在副词“其实”的功能中,语义延展功能是从阐释功能发展而来的,因此阐释功能是“其实”的基本功能。

图 1 “其实”的各语用功能之间的关联图



在明确“其实”的功能及其之间的关系之后,我们根据语料分析考察了“其实”在不同语体中的语用功能分布情况。书面语以 CCL 语料库中的语言学论文为代表,共检索出 145 条有效语料;口语以媒体语料库的《对话》文本为代表,共检索出 1700 条有效语料。

通过语料分析,我们发现,在书面语中“其实”的功能主要是阐释,在书面语语料中共有 68 条,占总数的 47%。其次是表语义延展功能,语料数为 47,占书面语语料总数的 32%。书

面语中“其实”的信息突显功能有 30 条语料，占总数的 21%，相对于阐释功能和语义延展两种功能，信息突显功能在书面语中的比例最少。

与此形成鲜明对比的是在口语中“其实”主要表达信息引导功能，占总数的 67.5%；其次是信息突显功能，占总数的 26.6%；表反预期功能的很少，占总数的 2.6%；表阐释功能的也很少，占总数的 2%；表语义延展和信息填补功能的极少，分别占 0.7% 与 0.2%。

通过上文分析，我们将“其实”在两种语体中的语用功能分布情况总结为表 1:

表 1 “其实”在书面语和口语中的语用功能分布情况

语料数 及百分比 %		书面语		口语	
		语料数	百分比 %	语料数	百分比 %
副词	阐释功能	68	47	37	2
	语义延展功能	47	32	13	0.7
话语标记	信息突显功能	30	21	453	27
	信息引导功能	0	0	1148	67.5
	反预期功能	0	0	45	2.6
	信息填补功能	0	0	4	0.2
总数		145	100	1700	100

从表 1 可看出，“其实”在书面语中的主要表达阐释和语义延展功能，而在口语中的主要表达信息引导和信息突显功能，反预期和信息填补两种功能只出现在口语中。从“其实”的语法性质来看，“其实”在书面语中主要是副词，表达阐释或语义延展的功能；而在口语中主要是话语标记，体现人际功能，表达交际双方的主观态度，加强话语连贯，为话语的理解提供提示、引导作用。

4. 余论及其教学启示

从以上分析可看出，不同语体中语用功能有不同的侧重。在以往的研究中，“其实”表转折、补注、反预期功能常为人所注意，认为这是“其实”的主要功能或特征，但根据我们所分析的语料显示，这些功能在口语中所占比例并不高。之所以有这样的偏差，主要是因为阐释功能内部可根据前后语义逻辑关系可分为转折和补注关系，而据前文分析，阐释功能是“其实”的基本功能，所以人们会有这样的认识。但在实际语言运用中，前后语义逻辑关系呈转折或对比的语义关系多已淡化，而其表信息突显或引导功能的用法逐渐增多。即当“其实”作为话语

标记时,其语用功能主要体现为信息突显功能和信息引导功能,这两者在口语中出现的比例更大。因此在汉语教学中,也应注意词语使用的语体差异。目前教学上所用的语法规则或使用方法多基于书面语而得来,这也与汉语口语研究较为薄弱有关。本文通过对“其实”在不同语体的使用情况进行分析,证实了语体对词语使用确有影响,而且它在口语中作为话语标记的使用情况更为丰富,值得进行进一步研究,以便更好地应用于汉语口语教学。

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The Categories of “chimi” as Suffix of Mankind in Modern Chinese

现代汉语痴迷义表人类后缀的范畴分布

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摘要：本文通过全面考察“迷”“狂”“痴”“鬼”“虫”“控”“粉”7个痴迷义表人类后缀的组配成分在音节、语法性质和语义类别上的特点，确定“迷”为该范畴的原型，其特点为：组配成分多样化，且以名词性组配成分、具体事物义为主；痴迷义明确，程度适中，无色彩倾向；能产性强；范畴化程度高。同时，以“迷”作为该范畴的参照探明其他6个痴迷义表人类后缀的分布倾向和范畴特征。而“书X”和“电脑X”所体现的重叠和交织则是对不同类后缀派生倾向的推测印证。

关键字：类后缀 痴迷 组配 词缀化 范畴分布

一、引言

现代汉语表人方式众多，其中最显著的一个特点是运用词缀和类词缀表达某类人的特点。李华（2003）、齐焕美（2010）、马晶晶（2010）等人对表人后缀或类后缀都进行过专题研究，他们在源义的制约、内部差异和认知基础等方面都做了深入的探讨。但这些研究大多是对整个表人类后缀范畴泛泛而谈，并没有针对某一语义范畴的表人类后缀进行深入挖掘。翟甜、孟凯（2013）讨论了表人类后缀“迷”和“狂”在表示痴迷语义中的范畴分布。她们将痴迷义作为此种类后缀具有的共性，从而探讨以语义为标准的表人类后缀范畴。然而，除“迷”“狂”以外，“虫”“痴”“鬼”“粉”“控”等也同属于表痴迷义范畴。此范畴中，“迷”“痴”表人的痴迷义已十分成熟，《现代汉语词典》（第六版）（下文简称《现汉》）已立了义项；“虫”“鬼”的表人义项也已出现，却没有明确提及它们含有痴迷、沉迷等意义，“狂”“粉”“控”的痴迷义尚

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未在《现汉》中有所体现。这就说明，在该范畴中成员的地位存在较大不同。那么，该范畴的原型是什么？其他成员是如何分割痴迷范畴的？这需要进一步分析和探讨。

二、痴迷义类后缀组配成分在音节、语法性质、语义方面的分布倾向

痴迷义类后缀范畴中，与各成员组配成词的成分在音节、语法性质和语义方面都有其特点，而这些特点在一定程度上反映了痴迷义类后缀使用条件的倾向，从中可观察到该范畴中的不同成员的分布。因此，我们利用北京大学现代汉语语料库（下文简称 CCL）语料库检索，对研究对象进行穷尽性搜索。由于本文研究的部分痴迷义类后缀用法较新，如在 CCL 中未找到充足语料，则依靠百度搜索引擎进行补充。^①

2.1 类后缀组配成分的音节分布

“迷”、“狂”、“虫”、“痴”、“鬼”、“粉”、“控”的组配成分在音节上主要分为单音节、双音节和多音节，其分布如下：（见表 1）^②

表 1：痴迷义表人类后缀组配成分的音节分布表

类后缀	组配成分					
	单音节		双音节		多音节	
	数量 / 比例	词例	数量 / 比例	词例	数量 / 比例	词例
迷	11/12.8	画迷 狗迷	59/69.6	书法迷 手绘迷	15/17.4	侦探小说迷 机械表迷
狂	0	——	36/94.7	生存狂 工作狂	2/ 5.3	上网自诊狂 维基百科狂
虫	5/38.5	房虫 车虫	8/61.5	办公虫 电脑虫	0	——
痴	30/88.2	戏痴 棋痴	2/5.6	电脑痴 算账痴	2/5.6	黄梅戏痴 占便宜痴
鬼	5/83.3	烟鬼 酒鬼	1/16.7	吝啬鬼	0	——
粉	7/70	奥粉 果粉	3/30	宇宙粉 IG 粉	0	——

① 百度搜索时间截至为 2012 年 9 月 20 日，取搜索结果的前 70 页作为研究材料，进行甄别筛选。共查到表痴迷于某事物的人用法的“X 迷”86 个、“X 狂”38 个、“X 虫”13 个、“X 痴”34 个、“X 鬼”6 个、“X 粉”10 个、“X 控”44 个。将这些词分类整理作为研究对象。

② 数量单位：个，比例以百分比（%）计算，保留至小数点后一位。下同。

控	4/9.0	车控 足控	35/79.6	微博控 衬衫控	5/11.4	美少年控 英雄联盟控
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整体而言，各组配组配成分在音节上与单音节、双音节的组配能力比多音节强，与多音节组配能力普遍较弱。具体特点为：

- (1) “迷”（17.4%）和“控”（11.4%）在与多音节组配时，能产性较高，其他 5 个类后缀所能组配的多音节较少（如“狂”、“痴”），甚至不能与多音节组配（如“虫”、“鬼”、“粉”）。
- (2) 双音节组配成分以“狂”（94.7%）最高；依次下来为“控”（79.6%）和“虫”（61.5%）。
- (3) 单音节组配成分所占比例以“痴”（88.2%）和“鬼”（83.3%）为最高。

2.2 类后缀组配成分的语法性质分布

与“迷”“狂”“虫”“痴”“鬼”“粉”“控”的组配的主要是词和短语，且可分为名词性、动词性和形容词性三种（见表 2）。

表 2：痴迷义类后缀组配成分语法性质分布表

类后缀	组配成分					
	名词性		动词性		形容词性	
	数量 / 比例	词例	数量 / 比例	词例	数量 / 比例	词例
迷	75/86.2	火车迷 数学迷	11/12.6	摄影迷 画画迷	0	——
狂	10/26.3	蕾丝狂 奥数狂	26/68.4	购车狂 搜房狂	2/5.3	偏执狂 纠结狂
虫	7/53.9	车虫 电脑虫	5/38.5	购物虫 瞌睡虫	1/7.7	懒虫
痴	32/94.1	茶痴 虎痴	2/5.9	算账痴 占便宜痴	0	——
鬼	2/33.3	酒鬼 烟鬼	1/16.7	赌鬼	3/50	吝啬鬼 懒鬼
粉	7/70	IG 粉 果粉	0	——	3/30	活粉 僵尸粉
控	39/88.6	包包控 格子控	3/6.8	自拍控 下载控	2/4.5	可爱控 唯美控

整体上看，痴迷义表人类后缀的组配成分在语法性质上呈现较强的互补分布。痴迷义类后缀普遍能与名词性成分组合成词，如“痴”（94.1%）、“迷”（86.2%）、“控”（88.6%）和“粉”（80%）；但“狂”、“虫”与动词性成分组配的比重较高，尤其是“狂”（68.4%）；与所有痴迷义表人类后缀与形容词性成的组配比最低，“迷”、“痴”均无此类组配成分，

“狂”“虫”“鬼”“粉”“控”成词的数量也很少，只出现了两三个与人的状态特点有关的词，如纠结狂、吝啬鬼等。

2.3 类后缀组配成分的语义分布

痴迷义表人类后缀组配成分在语义上可为事物用品、文学艺术等 10 个语义类（见表 3）。^①其中“迷”和“痴”的组配成分涉及的语义类最多，“鬼”和“粉”只在 3、4 个语义类中构词。“控”、“狂”和“虫”组配成分的语义类别数量依次递减，处于中间位置。具体排序如下：

迷（9 个）/ 痴（9 个）> 控（8 个）> 狂（7 个）> 虫（6 个）> 粉（4 个）> 鬼（3 个）

表 3：痴迷义类后缀组配成分语义类别表

语义类别	组配成分的数量 / 比重						
	迷	狂	虫	痴	鬼	粉	控
事物用品	27/31.4	3/7.9	5/38.5	7/20.6	2/33.3	2/20.0	17/50.0
文学艺术	24/27.9	4/10.5	1/7.7	10/29.4	0	0	4/9.1
电脑科技	7/8.1	3/7.9	1/7.7	2/5.9	0	2/20.0	2/4.5
体育	6/7.0	1/2.6	0	0	0	0	0
人物	4 / 4.7	0	0	2/5.9	0	2/20.0	10/22.7
自然	3/3.5	0	0	5/14.7	0	0	1/2.3
动物	3/ 3.5	0	0	2/5.9	0	0	1/2.3
抽象事物	1/1.2	3/7.9	1/7.7	4/11.8	3/50.0	4/40	5/11.4
行为动作 1	11/12.8	8/21.1	4/30.8	1/2.9	0	0	4/9.1
行为动作 2	0	16/42.1	1/7.7	1/2.9	1/16.7	0	0

由表 3 可知，事物用品类是整个痴迷范畴中各个类后缀都普遍能产的语义类别。而各个类后缀组配成分的语义类分布也有其倾向性。具体来说，“迷”（58.3%）和“痴”（50.0%）在事物用品和文学艺术方面的构词力都较强。而行为动作这一语义类各成员特点略有不同，可再分为两类：一类为行为动作 1，是大众所共有的、正常的人类行为动作，如集邮迷、购物狂、办公虫、跑步控等；另一类为行为动作 2，较前类而言不具有普遍性，是比较特异的人类动作行为，多含有【- 正常】的语义特征，如杀人狂、占便宜痴、赌鬼等。在行为动作 1 类中“迷”

^① 事物用品类主要指组配成分为日常生活中存在或使用的具体事物，如鞋迷、蕾丝狂、烟鬼、茶痴等；文学艺术包括广义上的文学、大众广播电视艺术与艺术领域的技能，如音乐迷、动漫狂、画痴等；电脑科技类包括电脑技术、网络技术及其衍生品，如 QQ 迷、英雄联盟控等；体育类主要指与运动、竞技比赛相关的体育技能，如体操迷、运动狂等；人物类包括各类明星、名人及具有某种特点的人的集合，如歌迷、影星、美少年控等；自然类、动物类包括自然界出现的自然事物、自然现象和生物等，如地震迷、狗迷、山痴等；抽象事物包括人类社会抽象的事物，如官、农、医等职业分类，还包括表示人的情感、特点等较为抽象的状态，如官迷、懒鬼、可爱控等。

(12.8%)比“痴”(2.9%)的构词能力更强;而“狂”(63.2%)和“虫”(39.5%)在行为动作的两类语义类中的构词能力都比较突出。但“狂”更倾向于同表示非正常人类行为或者状态的行为动作2类组配(42.1%),而“虫”则倾向于与正常人类行为的行为动作1组配(30.8%);“鬼”和“粉”的构词能力都较弱,但在抽象事物这一语义类中构词较集中,二者的组配成分并不是具体的事物,多是痴迷者的特性,如“吝啬鬼”中的吝啬,“僵尸粉”则是像僵尸一样没有活力的痴迷者。“控”作为能产性较高、语义类别丰富的类后缀在事物用品这一语义类别中的比重(50%)甚至超过了“迷”(31.4%),在人物类别上(22.7%)也比其他类后缀更凸显。

通过上述对类后缀组配成分在音节、语法性质和语义类上的分析,我们可以得到痴迷义表人类后缀的构词特点:

(1) 音节上,痴迷义表人类后缀选择多样,但以双音节组配为主。“狂”“控”“迷”“虫”同双音节组配的比例依次递减,但都达到百分之五十以上,以“狂”为最强(94.7%);“痴”“鬼”在与单音节组配上表现突出。痴迷义表人类后缀与多音节的组配能力整体较弱,除“迷”和“控”外,其他类后缀与多音节组配的比例都小于百分之十。

(2) 语法性质上,痴迷义表人类后缀组配成分的语法性质以名词性成分为主,但也有以动词性成分占优势的类后缀(如“狂”),这与其他类后缀形成分布上的互补性,形容词性组配成分则为弱勢。

(3) 语义上,各表人类后缀语义类别的数量相差较大,总体来说,类后缀比较倾向于同具体事物组配以表示对某物或某类人(包括用品、文学艺术、电脑科技、体育、人物、自然、动物)的喜爱和痴迷,但在“行为动作”这一语义中,“狂”的组配优势明显,尤其在表示非正常行为状态的行为动作2中的构词能力非常强。“粉”和“鬼”倾向于同抽象事物进行组配。与“狂”和“鬼”组配的成分多是人类的不良嗜好,都有非正常的语义特征。可见,在痴迷范畴中,表人类后缀同不同语义类的组配成分的构词也有选择性分工,倾向性明显,呈现出互为补充、偶有交叉的情形。

三、痴迷义表人类后缀范畴原型及成员分布

通过上文的分析,我们从痴迷义表人类后缀组配成分的语音形式、语法性质,语义类别的分布得出该范畴各成员的分布特征为:

迷:名词性组配成分、具体事物义为主、能产性高、中性色彩、痴迷程度中。

狂:非正常语义、动词性组配成分、痴迷程度高、贬义。

虫:类似虫的语义色彩(令人厌恶、卑微、有破坏性)、贬义。

痴:单音节名词性成分、痴迷程度高。

鬼:贬义、不良嗜好、痴迷者形象不佳。

粉：电子产品或网络相关衍生品领域、有背景信息、随意性较大。

控：日本漫画、游戏及其相关领域、随意性大。

一个范畴的原型是这个范畴的典型成员，它具有最大的家族相似性，与同一范畴成员有最多共同的特性。人们在感知整个范畴，最易选择它作为整个范畴的代表。“迷”不仅在派生上十分能产，同时兼具痴迷义类后缀的最多的特征类型，它是痴迷义范畴中，最典型的成员。它满足了成为这一范畴中的原型的条件。我们认为“迷”是痴迷义表人类后缀的范畴原型，原因如下：

(1) 派生词结构稳定，能产性强。

与语料中其他痴迷义表人类后缀相比，“迷”的能产性最强，共产生了 86 个派生词。它派生的结构稳定，一直处于派生结构的后位，位置固定。

(2) 痴迷义明确，痴迷程度适中。

“迷”表示“沉醉于某一事物的人”的意义在实际语言运用中十分成熟，已被词典收录，得到广泛认可和接受。它是由本义直接引申出“迷恋、沉迷”的意义，而其他类后缀痴迷义的产生都不是由本义直接引申的，这就说明“迷”在表示痴迷义时具有天生的优势，更符合语言使用者的语感，易成为表痴迷义的优选对象。

同时，“迷”的痴迷程度适中。“迷恋、喜欢某事物或某行为”是人类的普遍情感诉求，大部分人在“迷恋”的程度上都没有那么极端，而是处于一种适度的层次上。这使得“迷”适用于大部分痴迷情况，且无贬义色彩，这也促使“迷”的能产性增强。

(3) 组配成分多样化。

“迷”在音节上既可以与双音节组配，又可与单音节、多音节、字母词^①组配，涵盖了所有语音形式，并且每种形式的派生词数量都不少。在组配成分的语义类别和语法类属上也较全面，它几乎涵盖了所有语义类，这表明“迷”可以满足不同组配成分的搭配要求。“迷”组配成分的多样程度很高，最大限度地体现了痴迷范畴的特征。

(4) 范畴化程度高。

“X 迷”的语义结构常可还原出一个或多个动词，如“京戏迷”可以理解为“痴迷于听京戏的人”或“痴迷于唱京戏的人”。宋作艳（2010）指出，高度范畴化的词才倾向于把动词隐含起来。在痴迷义范畴中，“迷”及其占有优势的名词性组配成分都把动词隐含了起来，可见，“迷”的范畴化程度要高于其他不能将动词隐含起来的类后缀（如“狂”“鬼”“虫”“粉”“控”）。因而更能成为范畴中的原型，其派生能力也就大大高于其他范畴成员了。

另一方面，该范畴的成员形成的词语会有空位或重叠交织的产生。如：“书 X”和“电脑 X”。“书”和“电脑”在语法成分上都是名词性的，且都是具体事物。二者应该可与痴迷类中所有成员进行组配。但实际组配上，却形成了空位（小括号内表示空位）：

书迷 (书狂) 书痴 书虫 (书鬼) (书粉) (书控)

电脑迷 电脑狂 电脑痴 电脑虫 (电脑鬼) (电脑粉) (电脑控)

^① 字母词是指由西文字母和汉字共同构成的词语，如：QQ 迷。

空位的形成与类后缀的范畴特征有关。上文总结出的特征表明“狂”易与动词性成分组配。这是由于当名词性成分与“狂”搭配时普遍会选择“为+N+（而）狂”结构来表达，如“为画而狂、为梦想而狂”。这一结构将“狂”的名词性组配成分分化出来，形成了“狂”多与动词性成分组配，鲜有与名词性成分组配的格局，因此“书狂”就没有出现。而“电脑狂”虽然收集的语料中里出现，没有形成空位，但是，在实际运用中，使用度低（百度搜索中仅发现两例），更成熟的用法倾向于“为电脑狂”这样的表达方式。而“鬼”的派生倾向则是同不良嗜好相组配，且痴迷者的形象上有贬义含义。书和电脑都不是典型的不良嗜好。“粉”和“控”的派生倾向集中在新兴科技及其衍生物上、媒体动漫和游戏上。书和电脑与它们派生倾向的领域不一致，所以空位形成。

同时，范畴内部交织的部分也印证了前文推断的范畴分布特征。我们推断“迷”是痴迷义范畴的原型，是派生的优选对象。所以，“书迷”、“书痴”和“书虫”这三者中，“书迷”必然是人们表达对书的痴迷时，使用度较高的。通过语料可以验证这一点，在北大 CCL 语料库中，“书迷”共出现 93 次，“书痴”出现 43 次，“书虫”出现 47 次。“书迷”出现的频率几乎是“书痴”和“书虫”的两倍。这就证明了“迷”的确是派生时的优选。“书迷”、“书痴”和“书虫”同一组配成分“书”与不同类后缀组配后成词的效果也是不同的，体现了它们分布的特征。以下几例可以看出“书痴”比“书迷”的痴迷程度更高：

（1）有个名叫刘源的书痴，“生平无他嗜，惟专一于书”。（《读者》）

（2）“书痴”曹聚仁自幼酷爱读书，一年除夕，外面鞭炮声声，他却置若罔闻，独守阁楼，通宵读他心爱之书。（人民文化网）

（3）《书痴对书迷说的话》

再来看“书虫”：

（4）书虫诚然是无用的东西，但读书读到死，是我所乐为。（《读书》）

（5）梅汝风趣地形容自己的生活说：“我像书虫一样，整日在堆积如山的数万页法庭记录中钻来钻去。”（《读者》）

（6）由于众人的围观，拿棍子的男孩更是不肯因为这个瘦巴巴、慢吞吞的书虫而丢脸。（《龙枪传奇》）

如果将上例中“书虫”换为书迷，实为不妥。说话人希望带有的贬义色彩和虫的形象义（可像虫一样钻来钻去）是“迷”不能体现的。

相应地，从“电脑 X”的电脑迷、电脑狂、电脑痴、电脑虫等词中同样可以看出痴迷义类后缀的分布特征。作为原型的“电脑迷”适用范围最广。而电脑狂、电脑痴、电脑虫则体现了各自的语义特点。

总之，痴迷义类后缀范畴中空位的产生并不是语言的空缺，而组配成分与类后缀成词的交织部分也并非词语的冗余，不与语言的经济性原则相悖。它体现了不同的表达效果，印证了本节开始我们总结的不同类后缀派生分布特征。

五、结语

本文将“痴迷义类后缀”作为一个范畴进行研究。主要探讨了痴迷义范畴中组配成分的语音、语法、语义类别；对一个范畴各成员进行了细致的描写，并对其范畴分布特征进行了探索；从而确立了痴迷义范畴的原型，并得到了痴迷义各成员分布特征，利用这些分布特征对范畴内部的空位与交织现象加以解释。

这样的工作在对外汉语教学中，是十分有意义的。留学生在接触这一范畴时，由于对各个成员的范畴分布特征、分割界限不甚了解，有可能对其语言产出的精准性和地道性产生影响。然而，如果能利用这些分布特征，譬如在类后缀“迷”和“痴”的教学中，教师若能有意识地引导学生意识到“迷”是表人痴迷于某物的主要手法，它主要的组配成分是名词性的，而“痴”则多与单音节组配，且痴迷程度高于“迷”，并带有“非正常”的语义色彩，这将大大提高留学生输出符合汉语语感的词语的能力。因而，本文的研究有望为对外汉语词汇教学提供参考和帮助。

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The Country Specificity of Chinese Grammar for TCFL: A Case Study of “ba” Sentence

试论对外汉语教学语法大纲的国别化——以把字句为例

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摘 要: 编写教材应该以一定的教学大纲为依据,但目前对外汉语国别化教材的编写存在着“有教材而无大纲”的尴尬局面。笔者试图以把字句为例,探讨制定国别化语法大纲的必要性和可行性。通过对比《博雅汉语》、《新实用汉语课本》和《汉语教程》等三套通用型教材,我们发现它们对于处所类和结果类把字句的教学顺序是一致的。然而,越南学生对把字句的习得顺序刚好相反。对此,我们从对比分析和语言类型学的角度解释了出现这种差异的根本原因。最后,我们认为教材编写应该坚持以“学生为中心”,深入研究不同国家学生语言习得的特点,编写符合其学习规律的国别化语法大纲,然后再去编写国别化教材,这样的教材才能从本质上提高对外汉语教学的针对性。

关键词: 国别化 语法大纲 教材编写 把字句

一、引言

“国别化”或者“本地化”一直是近年来对外汉语学界讨论的热点话题之一(沈庶英, 2012)。笔者在知网中以“国别化”为关键字,搜索到篇名包含这一关键词的论文共计 88 篇,时间横跨 2004 年到 2014 年,内容涵盖诸如“国别化教材”、“国别化词表”,“国别化教学”、“教师国别化培训”、“国别化中介语料库”等方面的讨论,可见关于“国别化”问题的研究成果已有不少。其中,有关“国别化教材”编写的论文有 65 篇,约占整个检索结果的 74%,所占比例最大。可以说,“国别化教材”研究是当前关于“国别化”这个问题最热门的研究领域。自甘瑞媛(2004)提出拟定国别化的“对外汉语教学用词表”以来,学界对“国别化”这一问题的研究已有整 10 年的时间,纵观目前关于国别化教材编写方面的研究成果,我们发现宏观上的理论探讨很多,但对国别化教材如何“落地”,即“如何实际编写国别化教材”这一问题

的微观讨论还略显不足。因此笔者试以把字句这一教学项目在国别化教材中的安排顺序为例，浅析国别化教材在编写过程中应注意的几个问题。

二、国内三套通用教材中的把字句考察

我们调查了发行量较大的三套通用型对外汉语教材《博雅汉语》、《新实用汉语课本》和《汉语教程》中把字句这一语法项目的教学顺序安排。根据崔希亮（1995）对于把字句的语义分类，我们发现对于①表位移的“S+ 把 +O+V+ 在 / 到 / 给……”和②表结果的“S+ 把 +O+V+ 结果补语”这两个句型来说，三套教材的编写者所安排的教学顺序是一致的，即应该先教①，然后再教②。

首先，我们参照了刘利（2009）对《博雅汉语》、《新实用汉语课本》、《汉语教程》这三套教材中把字句语法项目切分及安排的调查统计，统计结果参见下文表 2.1,2. 2,2. 3 示）。

表 2.1 《博雅汉语》把字句句式教学顺序安排

句式	出现时间	出现顺序
主 + 把 + 宾 + 动 + 在 + 宾（处所）	初级起步篇Ⅱ第 41 课 P79	1
主 + 把 + 宾 + 动 + 到 + 宾（处所）	同上	1
主 + 把 + 宾 + 动 + 给 + 宾（对象）	同上	1
主 + 把 + 宾 + 动 + 成 + 宾	同上	1
主 + 把 + 宾 + 动 + 了	同上	1
主 + 把 + 宾 + 动 + 复合趋向补语	同上	1
把字句与连动句等复句套用	同上	1
主 + 把 + 宾 + 动 + 结果补语（形）	同上	1
主 + 把 + 宾 + 动 + 结果补语（动）	同上	1
主 + 把 + 宾 + 动 + 时量 / 动量补语	同上	1
主 + 把 + 宾 + 动 + 做 + 宾	中级冲刺篇Ⅰ第 7 课 P116	2

表 2.2 《新实用汉语课本》把字句句式教学顺序安排

句式	出现时间	出现顺序
主 + 把 + 宾 + 动 + 了	第二册第 16 课	1
主 + 把 + 宾 + 动 + 给 + 宾（对象）	第二册第 18 课	2
主 + 把 + 宾 + 动 + 处所宾 + 简单趋向补语	同上	2
主 + 把 + 宾 + 动 + 到 + 宾（处所）	第三册第 27 课	3

主 + 把 + 宾 + 动 + 在 + 宾（处所）	同上	3
主 + 把 + 宾 + 动 + 成 + 宾	同上	3
主 + 把 + 宾 + 动 + （了 / 一）动	第三册第 29 课	4
主 + 把 + 宾 + 动 + 结果补语（形）	第三册第 29 课	4
主 + 把 + 宾 + 动 + 结果补语（动）	第三册第 32 课	5
主 + 把 + 宾 + 动 + 得 + 情态补语（形）	同上	5
主 + 把 + 宾 + 动 + 时量 / 动量补语	同上	5
主 + 把 + 宾 + 动 + 简单趋向补语 + 宾（处所）	同上	5
主 + 把 + 宾 + 动 + 复合趋向补语	同上	5

表 2.3 《汉语教程》把字句句式教学顺序安排

句式	出现时间	出现顺序
主 + 把 + 宾 + 动 + 在 + 宾（处所）	第二册下第 12 课	1
主 + 把 + 宾 + 动 + 到 + 宾（处所）	同上	1
主 + 把 + 宾 + 动 + 给 + 宾（对象）	同上	1
主 + 把 + 宾 + 动 + 成 + 宾	同上	1
主 + 把 + 宾 + 动 + 结果补语（动）	第三册下第 13 课	2
主 + 把 + 宾 + 动 + 复合趋向补语	同上	2
主 + 把 + 宾 + 动 + 时量 / 动量补语	同上	2
主 + 把 + 宾 + 动 + （了 / 一）动	同上	2
主 + 把 + 宾 + 动 + 结果补语（形）	同上	2

如上面三个图表所示，三套不同教材中的把字句都涵盖了诸如“S+ 把 +O+V+ 在 / 到 / 给……”、“S+ 把 +O+V+ 趋向补语”、“S+ 把 +O+V+ 结果补语”等典型句式。同时，编者们都根据初、中、高三个不同教学阶段，按照一定的顺序把不同类型的把字句分散安排在不同级别的教材中。这种教材编写理念一方面体现了把字句习得的阶段性和系统性（王建勤，1995），另一方面，也反映了把字句的不同句式在习得难度上确实存在差异。

表 2.4 三套通用教材中把字句句式教学顺序安排

教材	《博雅汉语》	《新实用汉语课本》	《汉语教程》
句式总数	11	13	10
安排课数	2（10；1）	5（1；2；3；2；5）	2（4；6）

项目顺序	① <u>在 / 到 / 给</u> 复合趋向补语 ② <u>结果补语</u>	简单趋向补语 ① <u>在 / 到 / 给</u> ② <u>结果</u> 复合趋向补语	① <u>在 / 到 / 给</u> ② <u>结果补语</u> 复合趋向补语
新项目	把字句和连动句等复 句套用	—	—

具体到表 2.4, 我们可以看出①类把字句和②类把字句(在表格中已用下划线标出)在这三套教材中出现的先后顺序是一致的, 这也符合施家炜(1998)中对两种不同类型的把字句习得顺序的研究, 即学生先习得“S+ 把 +O₁+V (在 / 到 / 给) +O₂”句式, 再习得“S+ 把 +O+V+RC”句式的研究成果, 反映了教材编写的科学性以及对各语言要素进行研究的必要性。这样看来, 不管是已有对外汉语教材的编写, 还是过去第二语言习得方面的论研究, 这两种把字句的教学顺序似乎已成学界定论。

三、国别化的把字句习得研究

施家炜(1998)以 Chomsky 的普遍语法理论为基础, 预期假设不同国家的学生在 22 类汉语句式上存在一致的习得顺序, 并最终通过实验结果论证了这一假设的正确性。然而, 在其研究中对“外国学生”样本的分类为“韩语组”、“日语组”、“印欧组”和“其他组”等四大类, 我们并没有看到“越南组”这个组别, 如下表所示。

表 3.1 主客观习得顺序的 Spearman 等级相关分析与 T 检验一览表

样本名称		主客观习得顺序的 Spearman 等级相关(R=)	T 统计量(T=)
留 学 生 样 本	全体	0.929* *	11.260* *
	韩语组	0.895* *	8.969* *
	日语组	0.889* *	8.667* *
	印欧组	0.876* *	8.133* *
	其他组	0.760* *	5.225* *
	男生组	0.905* *	9.522* *
	女生组	0.940* *	12.368* *
	北语- B 组	0.819* *	6.388* *
	北语- C 组	0.902* *	9.341* *
	华师大组	0.885* *	8.514* *
	人大组	0.838* *	6.862* *

众所周知, Chomsky (1957) 的普遍语法理论假说认为所有人类语言在深层结构上是一致的。并且, 在学习语言的核心句法时, 人们的认知顺序也是一致的。但是正如 Chomsky 提出了普遍语法理论假说一样, Greenberg (1966) 则认为人类不同的语言之间是存在差异的, 只有系统地研究了这些相同点和不同点之后, 我们才可能判断这些语言之间是否存在普遍的共性。胡壮麟 (2006) 也指出在普遍语法理论发展的后期阶段, 来自不同语言并不与普遍语法完全一致的证据越来越多, 导致 Chomsky 不得不多次修改自己的理论, 从而产生了后期的“标准理论”、“扩展标准理论”、“管辖论”和“最简方案”等诸多版本。可以说, 这个理论到现在也并不是一个非常完美的理论, 迄今为止它仍然是假说性质的, 很多观点仍待人们的后续研究。

通过分析近期把字句研究的相关成果, 我们发现上述教材中把字句的教学顺序, 对一些特定国家学生来说可能并不适用。武阮明诗 (2008) 以越南胡市科学、社会与人文大学中文系的在职班的学生为测试对象, 通过试卷测试的方式考察了越南学生对三类把字句的掌握情况。首先考察的是“带简单补语、助词”的把字句, 有 825 条。如:

- (1) 把要带的东西都准备好了。
- (2) 你把剩下的胶卷用完了。
- (3) 昨天他把这些句子全都记住了。
- (4) 他把茶碰倒了。

通过统计发现, 在 825 条语料中, 正确的句子有 557 条, 占 65.38%; 错误的句子有 295 条, 占 34.62%。

然后是“带否定词、能愿动词”的把字句, 得到的语料中有 583 条。如:

- (5) 他决定不把这件事告诉母亲。
- (6) 他没把钱用完。
- (7) 我哥哥还没有把照相机拿回来。
- (8) 他提醒我别把明天的约会忘了。

结果表明, 该类把字句中正确的句子有 345 条, 占 59.18%; 错误的句子有 238 条, 占 40.82%

同样, 作者最后考察了“带介词结构作补语表示位移”把字句的习得情况, 得到语料 322 条。如:

- (9) 他把全家福挂在墙上。
- (10) 我把作业拿给老师了。
- (11) 哥哥把邮品送到邮局了。

其中, 正确的句子有 153 条, 占 47.52%; 错误的句子有 169 条, 占 52.48%。

根据上面的调查, 可以看出越南学生习得这三种类型的把字句, 偏误率由高到低的顺序是: 带简单补语、助词的把字句; 带否定词、能愿动词的把字句; 带介词结构作补语表示位移的把

字句，也是说越南学生先习得带简单补语、助词的把字句，其次带否定词、能愿动词的把字句，最后是带介词结构作补语表示位移的把字句。因此，对于越南学生把字句的学习，我们应该按照学生对把字句掌握的情况，根据错误率的高低，遵守从简单到复杂，从低级到高级的过程来安排教学。具体的教学顺序见表 3.2。

表 3.2 越南学生把字句的教学顺序

编号	句式
第一阶段	带简单结果补语、助词的把字句
	S + 把 + N + RC (RC 表示结果补语)
	S + 把 + N + V +(RC)+ 来 / 去
	S + 把 + N + V + 得 + 补语
	S + 把 + N + V + 数量补语
第二阶段	带否定词、能愿动词的把字句
	S+ 不（没、没有、别）把 + N1 + V + 其他
第三阶段	表示位移的把字句
	S + 把 + N1 + V 在 + N2 ；
	S+ 把 + N1 + V 到 + N2 ；
	S+ 把 + N1 + V 给 + N2

从表 3.2 中，我们不难发现在进行教学安排时，应该把最容易习得的表示结果类的句式②“S+ 把 +O+V+RC”安排在第一阶段，而学生最早接触的表位移类的句式①“S+ 把 +O+V（在 / 到 / 给）……”反而应该安排在第三阶段。

这一结论也得到了汉越语言对比研究的有力佐证。王凤璋（2008：110）在《汉语“把”字句的汉越对应及翻译问题》一文中指出，在翻译汉语中表示结果的“S+ 把 +O+V+RC”句式时，“像汉语一样，汉语的结果补语译成越语之后一般也位于动词的后面，大多数情况下成为越语动词的状语（是给动词补充意义的附加成分，如时间、地点、目的、原因、结果等）”。由此可知，在越南语中存在与汉语把字句“结果义”句式近似度较高的结构；而对于表示位移的“S+ 把 +O₁+V（在 / 到 / 给）……”句式，越南语中是没有对应的翻译的，必须去找越南语中的“趋向词”进行对译。根据 Eliss（1997）语言难度差异等级排序，我们也可以很清楚地看出两者之间是存在较大难度差异的，所以越南同学认为“位移类”把字句难学也是可以理解的。综上所述，我们认为不同国家的学生在汉语学习过程中一定有共性的特点，但我们也不能忽视其个性的规律。并且，在目前对外汉语教学的研究中，我们对不同国家学生学习的个性研究是非常缺乏的，教学现状基本上是“一本通用教材就能打遍天下”，这样的现状应该有所改变。

四、编写国别化教学语法大纲的必要性

教材的编写一定是以大纲为依据,但对外汉语教材市场的现状却是“有国别化教材,而无国别化大纲”。造成这种尴尬局面的原因有两个:首先是市场需求迅速膨胀。随着孔子学院在世界范围内的推广,来自不同国家强大的市场需求必然会催生出大量的以国别化为亮点的特色教材;其次是制定国别化教学大纲本身是一个需要投入大量人力、物力、财力的系统性研究工程,不可能一蹴而就,比起现阶段强大的市场需求,它一定会有滞后性,虽然这项工作也十分耗时耗力,但这并不能成为我们避而不谈的理由。

从加强教学的针对性出发,我们也不难看出越南学生的把字句习得与我们过去一直认为的外国学生对把字句的习得顺序之间是有差异的。因此,在我们编写对越汉语教材时,就应该考虑到越南学生习得把字句的特定顺序,调整其在教材中的顺序,在结构上按照“先结果,后位移”的顺序编制教材。当然,本文对越南学生把字句习得顺序方面的思考,只是我们设想开展国别化教材编写的一个起点,并以此为例,说明开展国别化教材编写的必要性和可行性。如前所述,在语法研究方面,如果我们能够得到越南学生对汉语中其他语法项目如“趋向补语”、“了、着、过”、“离合词”等的习得顺序,编制出“对越汉语语法大纲”、“对越汉语词汇大纲”,然后再着手编制针对越南学生的国别化教材,那时也许才能更好地满足越南学生学习汉语的需求。从当前教材市场的现状来看,我们发现相当一部分的国别化教材均以通用教材为母版,只是在课文注释语言方面进行了两种语言的对译,在练习部分进行不同程度的增减,并没有涉及到对两国语言的对比,学习者汉语习得顺序等方面的深入挖掘。正如李禄兴、王瑞(2008)指出,国别化的对外汉语教材具备表层特征和深层特征。其表层特征包括四个方面:1.书籍的装帧与设计;2.注释语言为本国语言;3.课文适当照顾本国的一些基本情况(本国的事物、现象、文化、风情、建筑、自然等);4.符合所在国汉语学习者的实际情况。而国别化教材的深层特征是指:1.充分利用汉语与所在国语言的对比;2.符合所在国学习者的思维和学习习惯;3.符合所在国第二语言教学活动的特点;4.符合所在国的文化特征,进行相关的文化对比。可以看出,我们现存国别化教材在深层特征上还是有所欠缺的。

五、余论

从现存大纲的价值上看,词汇等级大纲(1992)和语法等级大纲(1996)只能解决教师应该“教什么”的问题,对于学生是“怎么学”的问题,我们则应该注意吸收近年来学界对第二语言学习者各领域的研究成果。吕必松(1993)认为这些领域可以分为两大类:一是研究学习

者的母语与第二语言的,有汉外对比、认知语法、第二语言习得和语言类型学等;二是研究学习者本身的,包括对其学习策略,认知风格、母语背景和社会文化背景等方面进行的研究。总之,不管是编写通用型教材还是国别化教材,我们都应该以学习者为中心,以其学习规律为编写教材的依据,这是教材针对性的重要反映。其实,早在十年之前,甘瑞媛(2004)便提出了制定“国别化词表”的想法,这是一套十分具有可操作性的国别化词汇研究方案,但之后的国别化研究虽多,却始终处在理论探讨的阶段。十年来,我国学者在上述各领域都有丰硕的研究成果。对此,我们可以广泛地加以吸收和利用,以推动对外汉语国别化教材编写实践工作的深入发展。

我们认为未来应该把编写教材的重心向学习者方面偏移,重视学习者本身的特点以及所处的语言环境,社会文化环境等。只有从学习者出发,针对其母语特点,其自身学习特点编写国别化教材(甚至于个性化的教材)我们的对外汉语教材才能做到“由浅入深”,才能真正地落实以“学生为中心”的编写理念,从本质上提高教材的科学性。

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An Investigation of Korean Students' Errors in Learning Chinese Complement and Revisiting of Categories of Complement in Chinese Teaching

韩国学生汉语补语学习偏误 调查及汉语教学中补语的再分类

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摘 要: 汉语语法成分主要分为主语、谓语、宾语、定语、状语及补语六种, 韩国语语法成分主要为补语以外的五种。因此对于韩国汉语初学习者来说, 补语部分是难中之难。补语是位于动词或形容词后, 起补充说明作用的成分。众所周知, 根据语言学的形态分类, 汉语为孤立语, 语序是非常重要的。而韩国语为黏着语, 主要靠丰富的词尾变化来表达语义, 位置上相对自由灵活。《王力语言学词典》中将补语划分为四类, 即“解释性补语”、“结果补语”、“程度补语”、“数量补语”。大部分现代汉语语法书将补语主要分为结果补语、趋向补语、可能补语、程度补语、情态补语、数量补语、介词句补语等七种。笔者认为, 在语法研究过程中详尽固然好, 但在汉语教学过程中简约也不失为一种良策。笔者利用韩国语自身特点, 结合语序、语义与语境三要素, 对各类汉语补语句进行翻译与剖析, 在此基础之上, 将汉语补语成分重新划类, 从而达到提高汉语教学效率及效果的目的。

关键词: 汉语 韩语 补语 重新划类

一、问题的提出

补语的使用始于先秦时代, 随着时代的变迁, 补语的形式也随之改变。自《马氏文通》之后, 学者对于补语的研究结果宛如雨后春笋, 层出不穷。根据分类标准的不同, 对补语的分类也不尽相同。以是否有“得”及功能与意义为标准, 将众多学者的意见归类如下:

(一) 是否带“得”分类

丁声树在《现代汉语语法讲话》中提到,汉语应该分成两大类;一类是补语前头有“得”字的,一类是补语前头没有“得”字的(结果补语、程度补语、趋向补语)。

徐枢(1985)认为常见的补语由①不用“得”引进的补语②用“得”引进的补语③中插“得、不”的述补词组三大类型构成,并以此细分为八种常见的补语①结果补语②程度补语③趋向补语④动态补语⑤状态补语⑥可能补语⑦时间补语⑧数量补语。其中“动态补语”主要表示动作行为或性质状态的变化情况,由趋向动词中的“起来、下去、下来”充当。述语和补语中间无“得”,直接组合。

缪锦安(1990)认为补语是一个语法概念。它是紧接在述语后面的动词词组,在层次上是谓语的组成部分。根据有无插入成分“得”将补语分为简单式与复杂式两种。简单式由介词词组、数量词组、动词及形容词词组三类组成。复杂式补语包括联合动词及形容词词组、重叠的形容词、述宾结构、带状语的动词及形容词、主谓结构、以及代词“怎么样”。

总结上述学者意见,主要都是讲谓语后面的成分根据“得”的存在与否进行分类,丁声树与徐枢主要是根据语义进行细分,而缪锦安主要依据结构形式进行划分。在语义分析上,由于我们个体对事物的理解是有差别的,因此丁声树与徐枢在分类上亦存在差异。

(二) 依据结构与意义分类

本文旨在探究针对韩国学生如何更加高效地教授补语,知己还应知彼,因此,笔者分别查阅了汉语著作与韩语著作。选择标准主要是在汉语研究方面具有一定影响力或在对外汉语教学过程中比较普遍采用的汉语语法教材。其中汉语著作作为8部,韩语著作作为7部。依次以书名、作者、分类依据、补语数量及补语分类五个要素归类如下,部分作者虽然没有明确说明其分类依据,但笔者根据其补语分类认定其为依据结构或意义进行的分类。如汉语著作梁鸿雁的《HSK 应试语法》、葛如诚的《现代汉语语法表解》,韩语著作《实用中国语语法》等等。

	书名	作者	分类依据	补语数量	补语分类							
汉语著作	HSK 应试语法	梁鸿雁		8	结果补语	可能补语	程度补语	趋向补语	动量补语	时量补语	情态补语	介词短语补语
	实用现代汉语语法	刘月华	意义和结构	6	结果补语	可能补语	程度补语	趋向补语	数量补语	介词短语补语		
	现代汉语	黄伯荣、廖旭东	补语与中心语的关系	7	结果补语	可能补语	程度补语	趋向补语	数量补语	情态补语	介词补语	
	中国现代语法	王力	意义与结构	6	使成式的末品	能愿式的末品	程度末品	数量末品	处所限制之后置者	关系位之后置者		
	汉语语法三百问	邢福义	语义和语词性质	8	结果补语	可能补语	程度补语	趋向补语	评判补语	时地补语	数量补语	关系补语
	图示汉语语法	耿二岭	述语与补语结合而成的结构	6	结果补语	可能补语	程度补语	趋向补语	数量补语	状态补语		
	HSK 语法指要与训练	韩志刚、张文贤	意义和作用	6	结果补语	可能补语	程度补语	趋向补语	时量补语	动量补语		
	现代汉语语法表解	葛如诚		6	结果补语	可能补语	程度补语	趋向补语	数量补语	处所补语		
韩语著作	文井我中国语语法教科书	文井我	意义	6	结果补语	可能补语	程度补语	趋向补语	数量补语	介词短语补语		
	中国语语法 / 写作升级	林友庆	意义和结构	6	结果补语	可能补语	程度补语	趋向补语	数量补语	介词短语补语		
	中国语语法和作文	朴弘寿	意义和结构	6	结果补语	可能补语	程度补语	趋向补语	动量补语	时量补语		
	牢牢掌握中国语语法	金洛喆		5	结果补语	可能补语	程度补语	趋向补语	数量补语			
	实用中国语语法	姜聲調	补助成分	6	结果补语	可能补语	程度补语	趋向补语	数量补语	介词短语补语		
	轻松跟随中国语语法	金珍我、曹秀玲		8	结果补语	可能补语	程度补语	趋向补语	数量补语	动量补语	时间补语	判断补语
	实用中国语语法	姜允玉		5	结果补语	可能补语	程度补语	趋向补语	数量补语			

通过上表,我们可以发现中韩学者一致赞成“结果补语、可能补语、程度补语、方向补语”的存在。其中对于数量补语是否细化为“时量补语、动量补语”存在分歧,梁鸿雁、韩志刚与朴弘寿认为应划分为“时量补语与动量补语”,而其余著作作者均归为“数量补语”。梁鸿雁、刘月华、黄伯荣、文井我、林友庆及姜声调等人认定存在“介词短语补语”,刑福义与金珍我分别提出了“评判补语”和“判断补语”概念,但二者在实质上是相同的,补语反映的是说话人的心理感受。比如:起得太早、睡得太晚、绿得可爱、得意得太早等等。刑福义(2004)认为程度补语表示心语行为性状的程度,评判补语表示对心语行为性状的评议和判断。评判补语不同于结果补语,亦不同于程度补语,尽管它包含有程度因素,但又有特定的评议内涵。笔者对于该观点不敢苟同,笔者认为评判补语,尽管具有评判意义,但其包含程度因素,因此亦可归入程度补语范畴。具体论述详见下文。

二、韩国留学生补语错误类型

笔者通过北语 HSK 动态作文语料库,以国籍“韩国”为条件,分别针对“残缺补语”及“多余补语”选项进行搜索。分别获得 299 条与 212 条例句。但经过排除一些不符合条件及重复出现的例句后,最终获得残缺补语例句 212 条,多余补语例句 182 条。调查结果统计如下:

缺少补语成分:

经考察例句可以发现,在缺少补语成分例句中,“点”、“活”、“极”、“开”、“满”、“明”、“少”、“是”、“在”、“下来”、“一点”、“一番”、“以后”、“在内”、“多了”、“太长”、“出来”、“得起”、“很久”、“不好”、“不良到”、“见了”、“起了”、“上来了”、“得更多”、“给我听”、“到医院”、“给高中学生”、“得到处都是”和“在我梦里”分别出现一次,而“到”缺失高达九十八次,是缺少最多的补语成分。(具体见下表)

缺少补语成分	频率
点、活、极、开、满、明、少、是、在、下来、一点、一番、以后、在内、多了、太长、出来、得起、很久、不好、不良到、见了、起了、上来了、得更多、给我听、到医院、给高中学生、得到处都是、在我梦里	1
懂、给、见、来、入、下、住、着、一次	2
饱、掉、下去	3
会、一下	4
起	5
好	6
成、去、起来	7
上、完	12

出	13
过	15
了	46
到	98
总和	212

多余补语成分：

通过对语料库所呈现的多余补语例句进行调查，获得了 182 条合法例句，其中“一些”、“一来”、“一次”、“上”、“不着”、“些”、“会”、“在一起”、“对你们”、“开”、“点儿”分别出现一次，“得了”、“得好”、“得很”、“掉”分别出现两次，“多”、“起”分别为四次和五次，“一下”和“好”均为八次，“来”、“过”为九次，“出”为十二次，“下去”出现十五次，而超过二十次的分别为出现二十二次的“起来”、二十五次的“到”以及四十次的“了”。（具体见下表）

多余成分	一些	一来	一次	上	不着	些	会	在一起	对你们	开	点儿	得了	得好	得很	掉	住	得多	多	起	一下	好	来	过	出	下去	起来	到	了	总和
频率	1	1	1	1	1	1	1	1	1	1	1	2	2	2	2	3	3	4	5	8	8	9	9	12	15	22	25	40	182

观察上表可以发现，出现的对象从左至右呈现出数量补语→程度补语→趋向补语→结果补语结构趋势，其中结果补语是多余补语中出现频率最高的补语成分。孟琮（2003：12）曾指出六个意义比较虚化的动结式，其中“了”表示①有无可能或能力进行；②能否尽数解决，此处读“liao3”，而笔者通过对例句逐一调查发现，其发音应为“le”，实为文章动态助词，表完成。应该排除“了”，因此，“到”应为在多余补语中出现频率最高的补语成分。

考察上述残缺与多余例句后，笔者选出部分例句，①、②、③、④等分别为在本文中例句序号，【14】、【18】、【20】等分别为该例句在语料库中的编号。{CJ-}：句子成分残缺错误标记，用于标示由于成分残缺造成的病句。在短横后边标明所缺成分的名称，该名称用小写代码表示；在小写代码之后填写所缺的具体词语。标在成分残缺之处。{CJ+}：句子成分多余错误标记，用于标示由于成分多余（赘余）造成的病句。后边用小写代码标明多余成分的名称，并把所多余的具体词语移至该名称的后面。标在成分多余之处。{CJ-/ +buy}：表示补语残缺或多余。例 1~11 为补语缺失，从例 12 至例 17 为补语多余。为行文简洁方便，已将例句中存在的其它错误予以纠正。例如：原文为“不过 {CJ+zy 越} 听 {CJ-buy 多了} 她的主意，我也同意了。”为了明确表明本文研究立场，笔者将其改为“不过听多了她的主意，我也同意了。”

补语残缺

- ①【14】 不过 {CJ+zy 越} 听 {CJ-buy 多了} 她的主意, 我也同意了。
正: 不过听多了她的主意, 我也同意了。
- ②【18】 现 [C] 在 [C] 回忆 {CJ-buy 起来} 可以 {CC2 敢} 说, 老师 [C] 对我 [C] 很好。
正: 现在回忆起来可以说, 老师对我很好。③
- ③【20】 妈妈也没说 {CJ-by 什么} [BQ,] 没表现 {CJ-buy 出} 什么样子。
正: 妈妈也没说什么, 没表现出什么样子。
- ④【36】 长车司机没送 {CJ+zy 到} 他 {CJ-buy 到医院} {CJ-zy 就} 逃走了。
正: 长车司机没送他到医院就逃走了。
- ⑤【49】 所以他们三个和尚都不 {CJX} {CD 能} 喝 {CJ-buy 到} 水。{CJ-zhuy 这个故事}
正: 所以他们三个和尚都不能喝到水。
- ⑥【51】 肯定不能维持 {CC 持续} {CJ-buy 下去} 这个世界 {CJX}。
正: 肯定不能维持下去这个世界。
- ⑦【54】 有一天, 他发现了一个井, 他在这个井里看 {CJ-buy 到} 了那个女人的脸, 他心里 [B 理] 很高 [C] 兴。
正: 有一天, 他发现了一个井, 他在这个井里看到了那个女人的脸, 他心里很高兴。
- ⑧【59】 每一个人当一天的抬水员, 比如, 我当今日的, 你当明天的, 你当后天的, 如此隔 [C] 两天当 {CJ-buy 一次} 抬水员, 不是很方便吗?
正: 每一个人当一天的抬水员, 比如, 我当今日的, 你当明天的, 你当后天的, 如此隔两天当一次抬水员, 不是很方便吗?
- ⑨【69】 随着人口的增长, 以前忽略 {CC 轻视} 的问题日渐严重 {CJ-buy 起来} 了。
正: 随着人口的增长, 以前忽略的问题日渐严重起来了。
- ⑩【108】 妈妈你想像 {CJ-buy 一下} 我们的将来多么美丽啊!
正: 妈妈你想像一下我们的将来多么美丽啊!
- ⑪【203】 不使用化肥和农药, 农作物的产量会大大降低, 但我们会 {CJ-buy 上} 吃无害于健康的食品。
正: 不使用化肥和农药, 农作物的产量会大大降低, 但我们会吃上无害于健康的食品。

补语多余

- ⑫【18】 如果 [BD,] 别人情愿做 {CJ+buy 好}, 那没问题。
正: 如果别人情愿做, 那没问题。

- ⑬【29】谁有高见 [F 见] 尽量说 {CJcd} {CJ+buy 一次}。

正：谁有高见尽量说。

- ⑭【44】我劝行人们还说，你们过马路的时们，请你们仔细看一看是不是过来车呢，然后安全 [L] 地过马路 {CJ+buy 一下儿}。

正：我劝行人们还说，你们过马路的时们，请你们仔细看一看是不是过来车呢，然后安全地过马路。

- ⑮【65】几个月前，您住院的时候，{CD 我} 家人都 {CQ 很} 担心 {CJ+buy 得多了}。

正：几个月前，您住院的时候，家人都担心。

- ⑯【68】如果我在你们的身边，我一定好好照顾你们，可是情况如此，你们自己保重 {CJ+buy 一下}！

正：如果我在你们的身边，我一定好好照顾你们，可是情况如此，你们自己保重！

- ⑰【74】学校的老师们、同学们都对我 {CJ-zy 很} 照顾 {CJ+buy 得好}。

正：学校的老师们、同学们都对我照顾得好。

根据上述错误例句，我们可以将错误类型归为八类。

第一类：漏用趋向补语。②例中漏用“起来”；在此表示的是回忆起曾经知道的事。③例漏用“出”；“出”在此呈现的是其结果意义，表示由无到有，由隐蔽到显露。⑥例漏用“下去”；“下去”在此表示继续进行某种动作或保持某种状态。⑨例漏用“起来”。刘月华（1998）认为可以与“起来”结合的形容词面很广，凡描摹事物的性质、状态的，大都可以与“起来”结合。在一部分表示性质的形容词中，有正向与负向的区别。通常“起来”更多的是与正向形容词结合。表示状态意义的“起来”通常用来描写正在发生的变化。⑪数据库标注错误，应置于吃的后面，漏用“上”。“吃”是表示具体意义的动作行为动词，其后所加的“上”表示实现了预期目的或希望实现的目的。

第二类：关联词误用。①例漏用“多了”，实际的文章中使用了“越”，作者的意思应该是程度的增加，因此误用了“越”字。

第三类：结果补语缺失。⑤⑦例均缺失“到”，表示动作的结果。

第四类：介词的误用。④例中缺失介词短语“到医院”。作者写了“送到他”，书写者应当知道介词后加名词，但却疏忽了介词应置于处所、方位词前。因此，正确为“送他到医院”或“送他送到医院”。

第五类：数量补语缺失。⑧⑩例分别缺失“一次”和“一下”。两者均可以理解为动量补语，但“一下”有其特殊性，可以从动作时量“短”，动作分量“轻”以及说话口气“轻松、随便”三个方面进行考察。

第六类：结果补语赘用。⑫例中赘用结果补语“好”。“好”表示的是出现了满意的结果。

第七类：“得”字补语与“很”的混用。⑮例中“很”与“得多了”混用；⑰例中“很”与

“得好”混用，两例句作者都是要表达程度高，但是忽略了“得”字补语句表达程度高时所满足的条件，从而出现了误例。

第八类：数量补语赘用。⑬中赘用“一次”，⑭例及⑯例中多附加使用了“一下”，因为“一下”的特殊含义，在此使用是不恰当的，因此应当删除。

可以将上述八类简单归纳为下表：

编号	偏误名称	偏误项
1	趋向补语漏用	②、③、⑥、⑨、⑪
2	关联词误用	①
3	结果补语缺失	⑤、⑦
4	介词的误用	④
5	数量补语缺失	⑧、⑩
6	结果补语赘用	⑫
7	“得”字补语与“很”的混用	⑮、⑰
8	数量补语赘用	⑬、⑭、⑯

综合上述病句，我们可以发现韩国留学生在汉语表述过程中，在补语方面出现的问题主要概括为如下四类：首先，他们对汉语补语类型掌握得不完整。汉语补语有几类？各类之间划分的标准是什么？位于动词后面的成分是宾语还是补语，区分的标准是什么？程度补语和状态补语之间到底存在何种本质性的差异？等等问题都是干扰学生掌握补语类型的典型性因素。其次，对“得”字补语混淆使用。程度补语与可能补语句型中都允许“得”的加入，因此，容易混淆两种补语用法。再次，受母语语法规则负迁移影响，由于在韩国语中不存在补语语法成分，因而，学习者往往疏漏补语成分。第四，对“趋向补语”隐身义用法掌握得不全面。最后，常常以韩语中的副词来表示汉语补语相应的意思。

三、补语错误原因分析

鲁健骥（1994）通过对以英语为母语的初学汉语的学生为对象，按照偏误的性质把它们分为遗漏、误加、误代和错序四大类。笔者在对韩国学生在习得汉语补语过程中所出现的错误进行整理后发现，主要发生遗漏、误加、误代三种错误。笔者将其归纳为以下三点原因。

首先，韩语语法成分中，无补语成分。除此以外，韩语中充当状语的副词种类丰富。台湾学者杨人从（1986）将韩语的副词分为性状副词（性态副词）、指示副词、否定副词、接续副词等四大类及二十四小类。因此在韩译汉过程中，常常将补语译为汉语的副词。而有些词语既可以做补语，又可以作状语，例如：“他今天来晚了。”与“他今天晚来了。”在翻译上是相同

的,均为“그 사람은 늦게 왔어요.(那个人晚来了。)”因此对于韩国汉语学习者来说,既是难点又是重点。

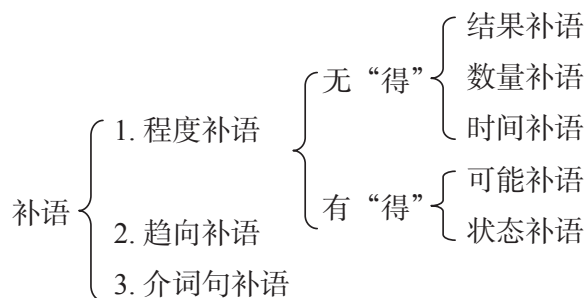
其次,根据众多学者对补语的分类,可以将补语大体上分为5~8种。对于一个语法成分来说,这个差别数量为数不少。对于韩国学生来说,补语种类的不确定,直接影响了其对汉语补语种类的理解。应该将对外汉语教学与汉语语法研究区分开来。繁冗复杂的概念是不利于学生进行学习的。

最后,名称的多样化。一些韩国学者在其著作中,对汉语的名称有人采取音译,有人采取意译,亦或是根据自己的研究成果重新定义。例如汉语中的趋向补语,有人译为趋向补语,有人译为方向补语。这些都会引起学生对补语的误解。俗话说:“无规矩不成方圆。”因此,笔者建议建立一套对外汉语教学的规则与方案,大到世界,小到拥有共同语言的某几个国家,甚至一国,针对某一语言的特点,制定具有特色的语言教学规则方案。

四、对补语重新归类

遵循教外国人汉语语法的一些原则问题时,赵金铭(1994)提出了如下六点原则①是教学语法,而不是理论语法。②是教外国人的语法,而不是本族人的语法。③是从意义到形式,而不是从形式到意义。④不仅是分析的语法,更是组装的语法。⑤不仅是描写的语法,更是讲条件的语法。⑥不是孤立的讲汉语语法,而是在语际对比中讲汉语语法。孙德金也曾提出过,对于成年人学习第二外语,应该在有限的时间内,尽快掌握所学语言的语法规则。因此笔者认为在对外汉语教学中应当提倡“低、准”,反对“高、精”。秉持该理念,笔者对众多学者所认同的八类补语(结果补语、程度补语、状态补语、趋向补语、数量补语、时间补语、处所补语、可能补语)进行了重新的归类。

笔者首先将补语归为程度补语(即描述谓语所达到的程度,包括可量化或相对量化两种。)、趋向补语(主要表示事物运动发展方向,尽管某些趋向补语引申义可表示结果补语,但在本文中均依据其基本义进行划分,归其为趋向补语类。)、介词句补语(利用介词组成介词词组置于动词或形容词之后,表示时间、方向、处所等。)三类。其次,根据有“得”无“得”为标准,将程度补语划分为“结果补语”、“数量补语”、“时间补语”、“可能补语”和“状态补语”六类。至于“状态补语”是否可有可无,“时间补语”与“数量补语”是否可以并为“数量补语”等问题均不在本文探讨范围之内,本文仅从“表程度”、“表方向”及“介词介入”三个标准将补语归为三大类。由于“趋向补语”与“介词句补语”同其他论者观点并无二异,因此在此将不再赘述,仅对程度补语的归类原则、标准展开详细论述。



根据程度范畴的特点，我们可以进行另一种分类。蔡丽（2010：48）认为程度范畴具有主观性、模糊性、相对性、抽象性、等级性、连续性、依附性等特点。并认为在模糊性特征中表达同一事件，说“这次考试他考得很好”与“这次考试他考了98分”，这两句话的信息特征不同，前者是模糊概述，后者是精准概述。与此不同的是，笔者认为不论是模糊概述还是精准概述，都应归入程度范畴。精准概述自不必多言，模糊概述作用于人脑中，通过语境可以表现出一定的程度。结果补语、数量补语、时间补语都可以归入为主观性、模糊性与等级性，而可能补语与状态补语更倾向于相对性的程度范畴。莱考夫（引自童小娥，2009）曾说：“如果一个物体固定在地上的某一个位置，我们就很容易抓住它进行仔细的观察，从而能比较好地认识和掌握它；如果它漂浮在空中，我们就难以对它进行仔细的观察，从而不能很好地认识和掌握它。”对于无“得”程度补语“结果补语”、“数量补语”及“时间补语”，我们可以较为精确地确定其范围，把握其尺度，但对于有“得”补语的“可能补语”和“状态补语”描述的是一种具有相对性、模糊性的程度范畴，因此，人们不能从直观上认识和掌握它。对韩国学生授课时，结果补语、数量补语、时间补语、可能补语、状态补语都可以以某种程度的形式转换成韩国语，具体如下：例句选自李义善（2002）：

1. 结果补语

院子里种满了花木。정원에 꽃나무를 가득 심어놓았다.

→ 정원안에 꽃나무를 꽉 찰 정도로 심었다.

院子里 花木 满 程度 种了

(院子里种了花木，达到了满的程度。)

2. 程度补语

班长高兴得笑起来。반장은 기뻐서 웃음이 나왔다.

→ 반장은 웃음이 나올 정도로 기뻐다.

班长 笑 出来 程度 高兴

(班长高兴得达到了笑出来的程度。)

3. 状态补语

他们吃得饱饱的。그들은 배불리 먹었다.

→ 그들은 배가 부를 정도로 먹었다.

他们 肚子 饱 程度 吃

(他们吃到了肚子饱的程度。)

4. 数量补语

我们跟老师一起看过两次中文电影. 우리는 선생님과 함께 중국 영화를 두 번 본적 있다.

→우리는 선생님과 함께 중국 영화를 두 번 정도 본적 있다.

我们 老师 一起 中国 电影 两次 程度 看过

(我们和老师一起看过两次左右的电影。)

5. 时间补语

马克思和恩格斯合作了四十年. 마르크스와 엥겔스는 사십년 동안 협력했다.

→마르크스와 엥겔스는 사십년 정도 협력했다.

马克思 恩格斯 四十年 程度 合作

(马克思和恩格斯合作了四十年。)

6. 可能补语

他做的好事说不完. 그가 한 선행들은 말로 다 할 수 없다.

→그가 한 선행들은 말로 다 할 수 없을 정도로 많다

他 做的 善行 话 都 不能说 程度 多

(他做的善行多到说不完的程度)

因此在“补语”教学时,以三大补语“程度补语、趋向补语、介词句补语”为切入点,逐步深入教学。前人对补语的详细分类固然好,但笔者认为由简至繁,由浅入深,不仅可以提高教学效果,亦可以提高教学效率。

五、不足与缺陷

首先,中国有句古语“事实胜于雄辩”,在本文中,主要是以韩国留学生为调查对象,以北京语言大学语料库为研究资源,进行分析并提出三大补语观点,笔者认为,应对此进行量化研究,通过对比学生前后的教学效果,才能真正充分有力的说明本文观点。

其次,韩国留学生在习得补语过程中,应该了解并掌握其中介语(即动态语言系统)的发展与变化。针对该问题应采取个案研究还是量化研究还值得商榷。个体存在差异,不具有普遍性和大众性,但却可以详细准确掌握其变化。本文应当补充该方面的研究。

最后笔者仅对补语进行了三大类的划分,结果补语、数量补语、时间补语、可能补语、状态补语中在程度范围内必然存在差异,存在何种差异?怎样产生的?怎样更加有利于韩国留学生吸收理解?对这样一系列问题还有待于进一步研究。

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|第二部分| Part 2

Revisiting the Subject Attribute and the Sustainability of International Chinese Education

学科属性再认识与汉语国际教育可持续发展

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摘 要：本文在回顾前人有关对外汉语教学学科属性认识基础上，跳出学界争执的“语言”“文化”“教学”“教育”等表层现象，借鉴科学哲学的思路和概念，从学科“底层”结构来透视学科的本质属性。本文提出对外汉语教学具有人文性、经验性、分享性、传习性和叙事性等学科属性，认为学科建设、属性认识是汉语国际教育可持续发展的支撑。文章分析了学科属性新认识对教师共同体建设、教师培养、教师专业化发展及学科知识表达及传播方式的意义，指出这些都是汉语国际教育可持续发展的重要方面，应予以重视。

关键词：对外汉语教学 汉语国际教育 学科属性

1. 引言

本文同时使用“对外汉语教学”和“汉语国际教育”两个术语来讨论学科属性及相关问题。用“对外汉语教学”时侧重指中国大陆的外国留学生汉语教学和学科，用“汉语国际教育”时多指海外的汉语教学。

新中国对外汉语教学伊始，就遇到“小儿科”“只要会说汉语，就能教外国人学汉语”的

非议（引自吕必松，2007：19），至今非学历汉语教学还存在着难“上户口”和没有“学科名分”的问题（李泉，2014：17）。专家们就学科属性和定位问题多次召开会议，发表看法，寻求共识。（详见程裕祯，2005：217-226；编后记，2013）今天看来，前人对学科属性的认识仍有局限，需要调整视角，再做认识。

汉语国际教育在新世纪面临着可持续发展问题。靳洪刚（2015）从学习角度分析了汉语国际教育可持续发展问题，指出可持续发展的一个方面就是如何将汉语国际教育的领域建设、课程规划与21世纪全球变化及学习需求接轨。此外我们认为还有两个重要方面，一是从事业和工作角度推进，如在世界各地进一步办好孔子学院、孔子课堂，编写出版更好的汉语教材，组织好更有效率的课堂教学等；二是从学科建设角度推进，如进一步厘清学科属性，推进从业人员即广大一线教师的专业化可持续发展及本专业研究生师资人才的专业化培养等。

本文拟在重新认识对外汉语教学学科属性基础上，论及汉语国际教育的可持续发展问题。

2. 前人关于学科属性的观点及我们的评论

2.1 前人的观点

对外汉语教学学科自确立起就没有停止过学科属性和学科定位的争论，观点针锋相对。如其核心是语言还是文化？定位是语言学还是教育学？学科是独立的还是从属的？等等。（详见程裕祯，2005：217-226；吕必松，2007：5-13,19-20；赵金铭，2013；李红印，2013；李泉，2014；崔希亮，2015）我们把前人的观点概括如下：

（1）“语言学”本质说，认为学科属性或本质是语言学。如赵金铭（2013：14）认为“国际汉语教育学科中，虽有‘教育’二字，在学科归属上，却并不属于教育门类。既然是第二语言教学，自然归属于语言学及应用语言学门类”；孙德金（2015：421）指出“汉语作为第二语言教学学科属于应用语言学，其本质属性是语言学”。

（2）“语言教学”本质说，认为对外汉语教学的核心是教学，属性是汉语教学。如吕必松（2007：8）认为“我个人一直认为‘对外汉语教学’这个术语的中心在‘教学’”“‘对外汉语教学’要把‘教学’作为主要的研究对象。只有把‘教学’作为主要的研究对象，才能通过研究跟教学有关的问题，揭示教学的客观规律”；赵金铭（2013：13）也认为“国际汉语教育的本旨依然是汉语教学”。

（3）“教育学或语言教育”本质说，主张对外汉语教学应从属教育学，是语言教育学科的一种。如刘珣认为“对外汉语教学”的学科归属应该归入教育学（引自崔希亮，2015：405），吕必松（2007：9）认为“对外汉语教学理论属于第二语言教学学科。再往上归，就属于语言教

育学科”。

(4) 其他看法,如认为“文化”是对外汉语教学的核心(详见程裕祯,2005:217-219),甚至还有把对外汉语教学归为传播学的新提法(参见崔希亮,2015:406)等。

2.2 前人的视角和立场

李红印(2013)指出学界在学科建设方面形成了“从内看”和“从外看”两种视角,我们这里进一步把这两种视角明确为“由外到内”和“由部分到整体”的视角。“由外到内”是指由与对外汉语教学相关的学科如语言学、教育学、心理学乃至传播学等来看学科属性;“由部分到整体”是指由对外汉语教学的某一部分如语言、文化、学习等来看学科属性。两种视角所体现的都是一种“专家立场”,即专家们多从自己专业背景出发,来阐释和解读学科属性。例如,专业背景为语言学的专家几乎无一例外地主张对外汉语教学的属性是“语言学”或“应用语言学”,汉语本体知识与研究(即“教什么”)是对外汉语教学最重要的内容;专业背景为师范教育的专家大多主张对外汉语教学的重心是“教学”(即“怎么教”);专业背景是文学的专家多主张应加强“文化”在对外汉语教学中的地位和作用,甚至认为汉语教学的目的是传播中华文化而非汉语语言本身;专业背景为心理学、心理语言学的专家则强调“学习”(即“如何学”)是决定“教什么”和“怎么教”的关键因素。

2.3 我们的评论

前人学科属性讨论有积极作用,推动了学界认识走向深入,带动了相关领域的研究和发展,繁荣了学术争鸣,但也存在诸多问题。李红印(2013)曾把存在的问题概括为“五个忽视”,在此基础上我们进一步指出,学科属性讨论还存在以下三个大的问题:

一是观察未触及学科“底层”,难以揭开学科属性面纱。“由外到内”和“由部分到整体”的观察视角虽也揭示了一些现象,但仍是“盲人摸象”,囿于局部,且未触及学科内部“底层”,对学科属性的提炼也不够系统和抽象,难以揭开学科属性的面纱。观察者所持立场也使他们多从自己熟知的专业领域出发,对学科属性做突出本专业特点的“话语建构”,因而难以在专业背景不同的教师心中产生共鸣,也难以为专业背景不同的全体教师所共同接受。

二是目前各种主张虽都是专家提出的,但从实际效果看,并未统一学界认识。揭示学科属性的目的是学科建设,但当前的一些观点和主张并未很好发挥推动学科良性建设的作用,也未能很好促进本学科全体教师凝聚共识。从这一角度说,各学科属性的主张虽各有一定道理,但就对外汉语教学学科整体而言却是不充分的甚至是偏狭的。

三是目前的观察缺乏哲学层面的思考。学科属性探讨本质上是把学科作为对象进行研究的活

展规律，从中提炼具有哲学意义的一般性认识，以指导人们对具体某一学科进行审视、研究和分析。当前的学科属性探讨恰恰缺乏这种科学哲学的关照，所做分析大多就事论事、见树木不见森林。

3. 对外汉语教学学科属性再认识

3.1 学科属性再认识的出发点

3.1.1 从哲学层面来关照学科属性

本文拟借鉴美国物理学家、科学哲学家、科学史家托马斯·库恩在《科学革命的结构》一书中的思想和概念如“范式”“科学共同体”等来观察对外汉语教学学科属性；也参照美国当代著名思想史家、历史哲学家、文学批评家海登·怀特在《元史学：19世纪欧洲的历史想象》一书中对历史学的分析思路、提出的重要概念等，如对历史学学科做深层结构（构建“元史学”）分析的思路，对史学作品做文本话语分析的做法，以及提出的“叙事化”“文学性”“诗性”等概念。

3.1.2 从学科“底层”结构观察来概括学科属性

海登·怀特（2013）拨开历史学家纷繁思想的表面，构建历史学科的深层结构（“元史学”），以此阐释各家历史学著作的话语风格与思想表达范式，深刻揭示了历史学科的本质属性，给人以极大的哲学启发。反观对外汉语教学，在学界各家强调的“语言”“文化”“教学”“学习”要素下面，我们认为或许也存在着一个对外汉语教学学科“底层”结构，从这里入手来剖析学科属性或许才是正途。

本文理解的对外汉语教学学科“底层”结构主要由这些方面组成：本学科的“科学共同体”，本学科的学科知识表达，本学科的研究“范式”等。用业界熟悉的话说就是：对外汉语教师、教师的教学言行、教师获取和分享教学知识和技能的方式以及他们从事教学研究的样态等，这些方面构成了该学科的“底层”结构。我们拟通过对这些方面的观察，来抽象和概括对外汉语教学的学科属性。

3.2 学科“底层”结构观察

3.2.1 学科“科学共同体”观察

李红印(2010)曾提出“谁来教”是对外汉语教学研究的核⼼,强调“人”(语言教师)在对外汉语教学中的核⼼地位,今天我们认识学科属性时仍须抓住“人”这个核⼼。无论事业还是工作,汉语教师始终都是对外汉语教学的活动主体,也是学科“科学共同体”的主要构成成员。教学对象——外国留学生也重要,但他们只是语言的学习者,并不直接进入到学科“科学共同体”中来。

汉语教师这一庞大的群体又可细分为新手教师、熟手教师、专家教师等,若把在读研究生算上,还⼾有“准教师”这一类。对外汉语教学的“科学共同体”正是由这样一个庞大的语言教师群体构成的,这与其他学科如语言学、教育学、心理学等很不一样。后者的“科学共同体”主要由从事学术研究的专家学者构成,尽管不少专家学者也在大学教书当老师,但性质与语言教师不同。

由此看来,对外汉语教学的“科学共同体”实际上是“教师共同体”而非“专家共同体”。“教师共同体”中当然也有“专家”,但却是少数,不足以改变该共同体的“教师”性质。据此我们判定,对外汉语教学学科的基本构成成分是“语言教师”,这一类人的活动充斥着对外汉语教学学科的各个领域,他们的言行特点也影响到了整个学科,赋予学科以很强的“人”(教师)的特点,我们称之为对外汉语教学的“人文性”。

3.2.2 教师教学言行观察

3.2.2.1 经验性

对外汉语教学的活动主体是教师,且以广大⼾线教师为主。广大⼾线教师在进行教学活动和交流教学心得时,最显著的特点是经验性强。教学观摩、教学交流乃至教学研讨会上,教师们所谈的主要是教学经验而非学术问题。我们在评价⼾位好老师时,其中⼾条就是这位教师“教学经验丰富”,在点评⼾位新手教师时也常常说他“教学经验缺乏”等。毫无疑问,“经验性”在对外汉语教师的教学言行中占据了重要而显著的地位,是语言教师所有教学活动的一个突出特点。

3.2.2.2 分享性

对外汉语课堂教学的样态之⼾是任课老师分工合作,从听说读写不同⼾⼾来帮助学习者提高语言技能,老师个人很难单独完成所有教学任务。语言教学需要语言教师搭班上课,分工合作,同时⼾需要分享教学经验,提高教学质量。相比之下,其他学科如语言学、教育学、心理学等,任课教师可以独立承担⼾门专业课程,所教内容即是⼾己的研究成果,⼾般不需要经常

与其他老师交流,要探讨的只是学术问题而非教学经验,这一点与语言教师有明显不同。语言教师必须经常交流经验、分享心得,否则很难进步,无法成长。这一点构成了对外汉语教师共同体的“分享性”特征。

3.2.2.3 传习性

语言教师的教学能力是怎样提高的?新手教师是怎样成长的?又是怎样从有经验教师那里学到教学本领的?这些问题是语言教学界最感兴趣的,也是语言教师们经常谈论的。虽然教育学、心理学、语言学方面的学术研究成果有助于教师成长,但业界的一个常识是,教学观摩、“师徒带”等才是最有效的学习教学经验、提高教学水平的办法和途径。而教学观摩、“师徒带”是一种“沉浸式”学习,最大特点是学习和教学是“传习”的,即有经验的教师通过“传帮带”把自己教学中的一招一式、一言一行传给新手教师,新手教师通过对有经验教师的教学进行观察、揣摩和实践,一点一点加以研习。因此我们说,对外汉语教师的教学言行还具有“传习性”的特点。

3.2.3 教学知识表达与教学研究范式观察

语言学、心理学等学科的学科知识通常主要通过学术论文、学术著作和学术性教科书来表达和体现。对外汉语教学是“跨学科”的,学科知识表达存在着多种方式,但就该学科中最主要的知识——教学知识而言,其表达方式和话语表达是“叙事性”的,这一点与语言学等学科非常不同。

关于教学知识的叙事性表达,《第二语言学习与教学》丛书主编 Donald Freeman 在其撰写的丛书前言中有所阐释。Donald Freeman 通过大雪天开车所听到的两则天气预报指出信息发布有不同的方式。那些“为信息提供了明确的时间和地点”的发布“能更好地帮助人们意识到他们在做什么”(Karen E.Johnson, 2006: 丛书前言 1)。Donald Freeman (Karen E.Johnson, 2006: 丛书前言 1) 又指出“在有关教学的书籍和文章中,很少能找到以作者经验或作者视角为中心的叙述”,而《第二语言学习与教学》系列丛书就为读者“提供了一个关于第二语言/外语教学的视角。”(Karen E.Johnson, 2006: 丛书前言 1-2) 该丛书译丛主编董奇(Karen E.Johnson, 2006: 译丛总序 2) 也指出这套丛书“每本书的作者都是以自己的经验或视角为中心进行叙述,把自己鲜活的实践经验以叙事的方式呈现给读者”。

“教无定法”是对外汉语教学界一个经典的教学知识,要表达的实际上并不是“教学没有方法”,而是教学具有很强的个人色彩、主观经验性强,不同的教师运用同一种教学方法有很大差别等。换言之,同一方法在不同教师那里有不同的“叙事”和表达,具有很大的灵活性。有经验的教师也都知道,给外国留学生上课时,老师是不能用专门的语言学术语来讲述教学内容的,也不能把“语言”课上成“语言知识”课。那怎么教呢?最常见的处理就是把所教内容“叙事化”,用学习者容易理解的话语表达出来。

对外汉语教学学科在研究范式上因“跨学科”也存在着多种范式,其中“语言学”范式最

为常见。但有关教学的研究和表述,“叙事”仍是最恰切的范式。厦门大学郑启五老师(2009, 2010)就用叙事和案例的方式,生动活泼地分析了自己在土耳其的大学和中学组织汉语教学的情况,令人耳目一新,使人很受启发。叙述第二语言教学知识的专业教科书在行文表述方面也很适合用“叙事”的方式,如上文提到的《第二语言学习与教学译丛》。对外汉语教学这方面的教科书值得一提的是邱政政、史中琦(2009)编著的《中文可以这样教——海外汉语辅导通用手册》,这本小书以叙事的方式,加入了作者丰富的经验与真实的教学体验及视角,对语音、词汇、语法、汉字和文化教学做了很好的叙述,使读者如临其境,印象深刻。

对外汉语教学的教学知识表达与教学研究范式很适合采用叙事表达的方式,具有很强的“叙事性”。叙事性的本质是“故事性”“文学性”(“诗性”),而非“科学性”,这与语言学等学科的学科知识表达追求“学术性”“科学性”的情况有很大不同。

3.3 学科属性概括

以上我们对对外汉语教学“底层”结构的几个方面做了观察与分析,看到对外汉语教学学科具有这样几个突出的特质和属性,概括起来就是:人文性、经验性、传习性、分享性和叙事性。

4. 学科属性再认识对推进汉语国际教育可持续发展的意义

前文谈到,汉语国际教育可持续发展有两个重要方面,一个是事业和工作层面的推动,另一个是学科建设、学科属性认识方面的支撑。这里谈谈学科属性认识对汉语国际教育可持续发展的意义。

汉语国际教育可持续发展的关键因素仍然是“人”,即教师共同体中的语言教师。人发展了,事业就发展,工作就持续了。因此学科属性再认识对汉语国际教育可持续发展的意义主要体现在以教师培养和教师专业化发展为龙头的一些方面。

4.1 教师培养方面

要十分明确地意识到,对外汉语教学“科学共同体”就是以语言教师为核心和主要构成成员的教师共同体,各项工作都应紧紧围绕着语言教师这一核心来维护好这一共同体。要深刻体会这一共同体的“人文性”,理解透语言教师所思、所想、所为的“经验性”,为该学科及教师的“经验性”“主观性”正名,认识到这并非学科不成熟的标志,而正是学科的本质属性表现。

要克服“教育和分离的生活”这种“恐惧文化”(帕克·帕尔默,2005:36),使教师生活在

“志同道合的共同体”（帕克·帕尔默，2005：170-173）中，自信、没有压力地交流教学经验、分享教学心得、传习教学技能，最终实现自身的专业化发展。

因此，在新的学科属性认识基础上，打造一个恰切的教师共同体，使每一位语言教师都能实现自己的价值，实现自身的专业化发展与成长是非常重要的。在这样一个有良好氛围、定位恰当的共同体中，本专业研究生培养、新手教师成长、在职教师培训等才有保障。教师培养和自身发展有了保障，汉语国际教育可持续发展也就有了基础。

4.2 学科知识表达与教师专业化发展方面

汉语国际教育可持续发展还需要编写大量合适的教材、工具书、学习材料、专业知识教科书等。所谓“合适”是指本专业的出版物一定要关注本学科教学知识的表达与传播方式，在面向学习者的教材编写、学习词典编纂、各类辅导材料、课外读物编写与出版方面一定要突出本学科的“叙事性”“文学性”“诗性”的特点。特别是面向广大一线教师专业化发展的各类专业教科书，在撰写和出版时更应该突出本学科知识表达的“叙事性”特点。

当前出版的学科专业书籍绝大多数都是没有作者经验和视角的“科学定义”式、“理论讲述”式的叙述风格，没有突显对外汉语教学自身的特性和特点。今后要突出本学科属性，扭转用“科学”来裁定对外汉语教学一切的局面。学科建设需要的是科学精神不是“科学主义”，“叙事”“文学”“诗性”等不属于科学的范畴，不应该由科学来衡量和裁定。为此在今后汉语国际教育可持续发展阶段，要彻底革新当前有关学科知识的话语表达和叙述方式，鼓励编写出版以叙事表达为主、把作者经验和视角摆进去的本学科专业教科书，让欲推动自身专业化发展的准教师（在读研究生）、新手教师、在职教师等喜欢读、容易读并能快速吸收。他们阅读了、吸收了、发展了，汉语国际教育事业就后继有人了，其发展也就有可持续性了。

5. 结语

本文构建了对外汉语教学学科“底层”结构，从“底层”结构观察入手，抽象概括出对外汉语教学学科的5个属性：人文性、经验性、分享性、传习性和叙事性。

我们的分析与前人不同的是，跳出学界争执的“语言”“文化”“教学”“教育”等表层现象，借鉴科学哲学的思路和概念，从学科“底层”结构来透视学科的本质属性。

我们认为，汉语国际教育在新世纪面临可持续发展问题，其中来自学科建设方面的支撑是发展不可或缺的方面。文章分析了学科属性新认识对教师共同体建设、教师培养、教师专业化发展及学科知识表达及传播方式的意义，这些都是汉语国际教育可持续发展应予以重视的方面。

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The Impact of Language Anxiety, Emotional Competence and Self-efficacy on Language Learning

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Abstract: The present study investigates the relationship between anxiety, self-efficacy and emotional competence, and how they affect language learning achievements. By utilizing the three instruments of *General Anxiety Scale*, *New General Self-efficacy Scale* and the *Short Profile of Emotional Competence*, the study drew upon the quantitative data which were triangulated with qualitative data from a focus group interview. It was found from this study that anxiety is negatively correlated with self-efficacy but positively related to emotional competence. A significant trilateral interaction occurred between anxiety, self-efficacy and emotional competence. Pedagogical implications for foreign language learning and teaching were suggested.

Key words: Language anxiety, self-efficacy, emotional competence, affective filter, psychological barrier

1. Introduction

Facing unfamiliar scripts, alien sound systems and seemingly exotic cultural materials, it is not uncommon to experience sweaty palms or feel tensed when using a foreign language (Xiao & Wong, 2014). Considerable research has demonstrated that language anxiety is negatively associated with various measures of academic achievements, especially for oral presentations (Dewaele et al. 2008).

To fully understand language anxiety, it is necessary to take into consideration the affective filters, including self-efficacy and emotional competence (Krashen, 1985; Yoon, 2012), as self-efficacy and emotional competence make a difference in how students learn and what they learn (MacIntyre and Gardner, 1994; Myres and Myres 1980). As students perceive the world and interpret it in different ways, different students may respond to the same language learning task differently (Liu and Zhang, 2008). Low self-efficacy can cause a psychological barrier in language learners' mind which may stifle

input from being acquired as intake essential for successful language acquisition (Yoon, 2012). The emotional competence of language learners is vital in their learning process. This psychosomatic relationship between language learning and language production is contemplated by Young (1999) who maintains that to study the language learning process is to study how the body, mind, and emotions fuse to create self-expression. If the students' affective filters are up, regardless of how well-designed the materials are or how attractive the lessons are delivered, the students will be unable to turn into language acquisition. Therefore, this study will explore the relationship between the body, mind and emotions during the language learning process with the aim of discovering how anxiety, emotional competence and self-efficacy are interrelated and how they affect students' language learning process and learning achievements.

2. Literature Review

The literature review in this study centres round language anxiety, emotional competence and self-efficacy.

2.1 Generalized anxiety and language anxiety:

Generalized anxiety is the feeling of tension, apprehension, nervousness and worry, and it is a complex psychological construct consisting of many variables (Dornyei, 2005). Among these variables are trait anxiety, state anxiety and situation-specific anxiety. Trait anxiety is the general trait of a person or one's personality. Certain personality variables such as extroversion, assertiveness, emotional stability, and conscientiousness are conducive to positive language learning because of the willingness to speak out and interact (Riding and Banner 1986; Robinson et al. 1994). One crucial aspect in trait anxiety is social evaluation which measures an individual's predisposition in situations where one is being observed or evaluated by others (Endler and Kocovski, 2001). State anxiety describes the experience of unpleasant feelings when confronted with specific situations, demands or a particular object or event, and the two most important components of state anxiety are cognitive-worry and autonomic-emotional component (Endler, et al, 1991). Situational anxiety appears when one feels significantly inferior to others (Brown, et al, 2001). Generalized anxiety might be better conceptualized as a personality issue, as it affects the individual's many aspects in life. Physiological symptoms of anxiety include worry, dread, sweating, palpitations, shaking, headache, stomach-ache, and weeping (Von Worde, 2003). Additional signs are forgetfulness, not interacting with others, and avoidance of

speaking aloud in front of an audience (Torres and Turner, 2014).

Language anxiety is defined as “the feeling of tension and apprehension specifically associated with second language contexts, including speaking and listening” (MacIntyre and Gardner 1994: 284). It is the fear or apprehension occurring when a learner is expected to perform in a foreign language (Na, 2007). As a distinct complex of self-perceptions, beliefs, feelings, and behaviours related to classroom learning arising from the uniqueness of the language learning process, language anxiety has been viewed as one of the most accepted phenomena in psychology and education (Horwitz, 2001). High levels of language anxiety in the classroom can cause students to drop out of the language course or continue the course with negative attitudes (Dewaele and Ip, 2013; Lu & Liu, 2011). It has been shown to be a significant predictor of oral performance achievement in particular (Woodrow, 2006). While high-anxious students appear unwilling to take part in communicative activities in the classroom, low-anxious students are confident and feel interested in oral communication, and their speech also tends to be faster and have fewer unnatural pauses than that of high-anxious students.

Students who experience language anxiety display a range of symptoms: they tend to sit at the back of the classroom in an attempt to ‘hide’ in their seats, hoping that their language tutors will not call on them and thus avoid communication in the target language. Relatively low class attendance rates, and delayed assignment, and broken utterance in oral performance task are notable feature of this group of students.

According to Horwitz, et al (1986), the first component of language anxiety is communication apprehension, which relates to individuals’ fear or anxiety, reflected in information processing, and response rate. To give a presentation, especially when facing large audience or in front of classmates can be very stressful. Next to oral presentation is test anxiety, which is commonly related to lack of preparation, poor test history or fear of failure. The third dimension is fear of negative evaluation from others. High anxiety tends to be negatively associated with language achievement (Awan, et al, 2010).

2.2 Self-efficacy:

Self-efficacy refers to an individual’s belief in the capacity to master the cognitive, motivational and behavioural resources required to perform in a given situation (Bandura, 1997). A successful performance enhances one’s perceived self-efficacy, which ensures future proficiency. In contrast, the perception that a performance has been a failure weakens self-efficacy and leads to the expectation that future performance will also be inefficient. Arrays of studies have demonstrated the importance of self-efficacy in language learning (Schunk & Ertmer, 2012; Tompson & Dass, 2000). If students are dissatisfied with their language skills or feel uncomfortable in putting the language to use, they

are considered as having low self-efficacy in language learning. Those with low self-efficacy will be hampered in the language learning process.

Scholars proposed that students' learning and their academic achievement are substantially influenced by their sense of self-efficacy (Ghanizadeh & Moafian, 2011). Graham (2007) argued that learners with high self-efficacy seem to exercise more control over their learning on the grounds that "self-efficacy beliefs guide people's choices, efforts and degree of persistence with tasks" (p.82). Lee and Bobko's (1994) study also suggested that students with a strong sense of self-efficacy in a certain situation were inclined to devote their attention and effort to the demands of the situation. In coping with the uncertainty that comes with unfamiliar linguistic rules and sociocultural contexts as well as performing in front of an audience, students' self-efficacy seems to be vital to language learning experience.

Bandura (1997) postulated mastery experience, also referred to as enactive self-mastery. The perception that performance was successful increases perceived self-efficacy and would ensure future proficiency. Vicarious experience provides people with ideas of success by observing other people, who are similar to oneself, perform behaviour successfully to enhance their own confidence and performance. Other's persuasion which will foster people to believe in their capabilities, and psychological and affective states, such as stress, anxiety, and excitement, all boosts feelings of proficiency. Hence, trying to reduce students' anxiety plays a key role in enhancing one's self-efficacy.

2.3 Emotional competence

Emotional competence describes the capacity of social intelligence that involves the ability to monitor one's own and others' emotions and to use the information to guide thinking and actions (Salovey & Mayer, 1990). A plethora of studies (Hen & Goroshit, 2014; Palomera, & Brackett, 2006; Pishghadam, 2009) have shown that emotional competence is associated with language learning achievements in listening, reading, speaking and writing. Emotional competence has also been identified with a facilitative role in enhancing language learners' critical thinking ability (Ghanizadeh & Moafian, 2011). The implication put forward by these studies is the need to integrate emotional elements into the language learning context in order to help students be in more control of their emotions appropriately, shift undesirable emotional states to more productive ones, and understand the link between emotions, learning outcomes and learner's self-efficacy.

The literature above has theoretically illustrated the effects of anxiety, self-efficacy and emotional competence on language learning respectively. However, how these factors are interrelated and how they affect language learning process and achievements is still underdeveloped. The present study is to

investigate anxiety, self-efficacy and emotional competence and their interactive effects on students' performance in learning Chinese at the tertiary level. Three research questions are thus formulated: 1) What factors are related to students' language learning anxiety? 2) How do language anxiety, emotional competence and self-efficacy interact with each other? 3) What is the impact of language anxiety on students' language learning performance and achievements?

3. The study

3.1 Participants

Altogether, 111 British students learning Chinese from a UK university were involved in the study, with the age range of 18-34 ($M = 21.69$, $SD = 2.59$). There were 66 females and 33 males; while another 12 participants did not specify their gender.

3.2 Instruments

Three questionnaires were employed for the quantitative data, including a Self-Efficacy Survey, a General Anxiety Disorder, and an Emotional Competence Test.

Self- Efficacy Survey: *The New General Self- Efficacy Survey* designed and standardized by Chen et al. (2001) was utilized in this research based on the consideration that all the questions in this questionnaire are focused on self-efficacy and for promoting self-efficacy. The questionnaire establishes the self-efficacy constructs via scores obtained on 8 items ranging from strongly disagree to strongly agree on a five-point Likert Scale. The internal reliability (coefficient alpha) was .905 in the current study.

General Anxiety Disorder: The *General Anxiety Disorder (GAD-7)* developed by Spitzer, et al (2006) was used to measure students' level of anxiety. The reason to use the general anxiety disorder questionnaire rather than language anxiety questionnaire is that researchers have previously focused on language anxiety specifically, which ignored the possibility that students are unlikely to be only anxious about language and they might be anxious about other aspects of life, and that the main measure of language anxiety is based on psychological measures of anxiety. By focusing on GAD which is common and chronic, it is possible to find out that students scoring high on GAD measures might be more likely to perform poorly across a range of academic and social activities, apart from language learning. This scale consists of 7 statements with strong criterion validity for identifying probable

cases of GAD with demonstrated severity measure. The Cornbach's alpha coefficient was .968 in this study.

Emotional Competence Test: *the Short Profile of Emotional Competence (S-PEC)* developed by Mikolajczak, Brasseur and Hauwel in 2014 as a short form of the *Profile of Emotional Competence* was used to evaluate students' emotional competence. S-PEC is a self-report measure of 10 dimensions, loading on two higher-order factors: intra-personal emotional competence and interpersonal emotional competence, forming together a single emotional competence score. The test measures the identification of one's own and others' emotions; the understanding of one's own and others' emotions; the expression of own emotions and listening to others' emotions; the regulation of self' emotions and of others' emotions; the use of own and the others' emotions. Each item has the value of 5 ranging to 1.

In addition to the three instruments above, a focus group interview was arranged to triangulate the quantitative data. In the context of this research, the focus group interview offered an indispensable means for gaining access to knowledge about how the students themselves feel about the factors of anxiety, self-efficacy and emotional competence, with the students' own voices being heard.

3.3 Quantitative data collection:

At the end of the academic year of 2014-2015, the participants completed the *New General Self-Efficacy Scale*, *Generalized Anxiety Disorder* and the *Short Profile of Emotional Competence* questionnaires. The responses of each participant to every question on the scales were entered into SPSS version 20, with students' ID being coded to assure confidentiality, and later matched with the end-term achievement scores.

3.4 Qualitative data collection:

Six participants were selected for a focus group interview based on their end-term language exam results: two with the highest scores (S1, S2), two with the lowest scores (S3, S4) and two in the middle (S5, S6). The researcher explained the purpose of the research and the participants kindly agreed to have their interview recorded. The interview lasted for 45 minutes in the researcher's office where consent forms were signed and Chinese tea and refreshments were served.

The taped interviews were transcribed verbatim by the researcher and double checked by the language tutors. The transcriptions were analysed according to categories around research questions: factors believed to cause language anxiety, manifestations of anxiety, the relationship between

language anxiety, self-efficacy and emotional competence, and how these factors affect their language learning process and achievements. The factors were then extrapolated from the dialogue portions and where appropriate, subcategories were also developed. Concomitantly, the transcriptions were analysed to seek out commonalities and patterns emerging from other interview questions.

4. Results

4.1 Results from quantitative data

Table 1 summarises the descriptive results of the three instruments- anxiety, emotional competence, and self-efficacy.

Table 1 Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
Anxiety	101	0	35	14.05	10.997
Emotional competence	101	9	86	64.95	8.837
Self-efficacy	103	15	40	30.99	5.373
Valid N (listwise)	99				

Table 2

	Self- understanding	Self- regulation	Other- identification	Other- Use	Anxiety	Self- efficacy	Marks	Mean	SD
Self- understanding	1.00							6.05	1.58
Self-regulation	.15	1.00						6.39	1.46
Other- identification	.36	.03	1.00					6.85	1.91
Other-Use	-.16	.09	-.06	1.00				6.34	1.48
Anxiety	.17	-.19	.39	-.14	1.00			-.02	1.02
Self-efficacy	-.09	.07	.06	.37	-.22	1.00		30.88	5.47
Marks	-.10	.14	-.38	.06	-.45	.16	1.00	63.80	18.75
								6.05	1.58

Note: N=95, Correlation is significant at the 0.05 level (2-tailed).

Table 2 shows a negative correlation between students' anxiety and their language learning achievements ($r = -.454^{**}$ $p < 0.01$), which indicates that the more anxious students are, the lower achievement scores they are likely to get. Anxiety is also negatively related with self-efficacy ($r = -.203^{*}$ $p < 0.05$), which means the stronger self-efficacy students possesses, the less anxious the students would be. Anxiety is positively related with self-understanding ($r = .198^{*}$ $p < 0.05$) and 'identification other's emotion' ($r = .391^{**}$ $p < 0.01$). Students' language learning achievement scores are strongly positively related with self-emotion regulation ($r = .275^{**}$ $p < 0.01$), which means if students can handle their emotions, e.g. easily find way to calm themselves down, they are more likely to have better achievements. Self-efficacy is strongly positively related with self-identification ($r = .305^{**}$ $p < 0.01$), indicating that if a student has self-emotion identification or if a student can immediately tell how he feels about an event or situation, this student's self-efficacy is likely to be high. Self-efficacy is strongly positively related with use others' emotions ($r = .364^{**}$ $p < 0.01$), which implies that if a student can easily get what s/he wants from others, or if s/he can easily affect other people's mood, the student is likely to have strong self-efficacy.

4.2 Results from qualitative data

Most participants, including higher achievers and low achievers were worried about exams "I always feel worried before exams no matter how well I have prepared" (S4). "When I haven't fully prepared for my exams, I fear that I may not have sufficient vocabulary to express myself" (S3), "I am particularly nervous when speaking in front of my classmates because and I cannot decide which words to use" (S2), "When I am extremely nervous, my mind goes blank, and I look stupid" (S5). "It is difficult to express my ideas orally because I can forget even the most common words" (S6). "There are lots of rules. I forget what I will write while concentrating on the rules" (S4). "The pressure of writing characters in the exam makes me panic" (S3). "While sitting in the exams, I feel too much pressure on myself that makes me forget even the easiest words" (S5). "The tutors in China compared my work with those produced by Korean and Japanese students which made me embarrassed and I was reluctant to talk any more" (S4). It can be seen that the failure in the past, the negative evaluation, and the feeling of being inferior to other students tend to be the causes of language anxiety, particularly prior or during exam times.

As for the relationship between anxiety and emotional competence, students commented that "I do not always understand why I respond to my tutor or my buddy in the way I did" (S4). "In the oral exam, I knew the answer to the tutor's question, but we were in a group of three, and one of our peers

took the lead in answering the question. I was so frustrated that I stormed out. I knew I was emotional, but I couldn't stop myself" (S3). People with state anxiety are more likely to get frustrated, leading to cognitive worry and anxiety.

Regarding self-efficacy and emotion competence, students narrated that "My friends in this language class are active, cheerful, and highly-motivated, so to do dialogues and role plays with them, I become active as well" (S1, S2). "Whenever I am stuck, my buddies give me a hint; and I immediately know how to continue" (S5). "When I am not sure about a new word, I raise my tones and my peers give me confirmation and then we can move on" (S6). Another student added To be more specific about self-understanding and self-emotion identification, students reflected that "When I am feeling good, I can easily tell and I will use this time to do something creative like writing an essay. When I am feeling low, I try to avoid interacting with others, but do something repetitive on my own such as practising characters" (S1). Those with low situational anxiety can control their feelings appropriately, and shift their undesirable emotional states to more productive ones. Those who understand the link between emotions and learning outcomes can purposefully reduce anxiety and raise self-efficacy.

Students with different personalities expressed different ideas, "I always listen to my friends when I am not sure whether or not I have understood the instruction or requirement of the assignment" (S3), but another student gave a completely different account "I can understand my tutors quite well and I also understand my peers so I am always confident with what I am doing and I trust myself more than anyone else in the class" (S2).

When asked what they would suggest to reduce anxiety and raise self-efficacy, students poured out their opinions "It will be great if teachers can test communicative competence rather than the accuracy of vocabulary and grammatical structures" (S2). "If we know our communicative competence will be rewarded, we will be happy to produce in the target language" (S1). "Humour, metaphor, wit, fancy and other imaginative devices in the classroom will be interesting and stimulating" (S6). "Techniques such as brainstorming, journal writing, peer-discussion, cooperative learning, self-assessment, and creative writing will be highly appreciated" (S5). "If tutors treat us as people, not as recipients of the language, we will be much more happier to learn and use the language" (S4), and "I know I am introvert in personality, but I would like to become more and more extrovert because I can see that my buddies who are brave and keep talking are doing better" (S3).

5. Discussion

In answer to research question 1) what factors are related to students' language anxiety? The

results revealed that anxiety is negatively related with self-efficacy, but positively related with self-understanding, self-efficacy and with others' emotions. Qualitative data confirmed that exams, speaking before an audience, fear of humiliation, negative feedback, failure of past experience are the main factors that predominately make students anxious. This result is consistent with previous studies that most students find it very hard to stand before their peers presenting what they potentially know but fail to perform dynamically. Some even get deeply concerned when they feel they are being evaluated (Eysenck, 2013) and that large proportions of language students think of the foreign language class as anxiety provoking suffering from alarming levels of debilitating anxiety (Liu, 2007).

This study suggests choosing from among the various anxiety-removal strategies whereby a low-anxiety environment is created. Language learners can be encouraged to adopt attitudes and strategies that pay off in terms of low anxiety, high motivation, and ultimately in the ability to convey information and communicate ideas and feelings. Language tutors can build a classroom atmosphere where students feel comfortable to talk to each other. To lessen students' exam anxiety, alternative assessment methods might be considered such as a dossier portfolio for which students can choose a topic to write, including current affairs, film comments, learning experience with language partners etc. Unlike exams, the dossier portfolio can be completed throughout the academic year thus reducing students' time pressure. Speaking tests could possibly take the form of pair work or group work, as this might allow anxious students more flexible time to practice before they present in front of all others on the course (ETS, 2005). In addition, the instructions and marking criteria for exams could be made available online for students' access. The language learners would thus be more relaxed and less anxious to practice the target language with someone who is of similar age and share the topics they are interested in. The 'natural helper model', originally from health research and is designed to enhance the individuals' ability to help others through their own personal social networks (Tessaro et al, 2000) can have a constructive role to play in their language learning. The NHM can be strategic as having representation from each network provides support and education to individuals that are of similar backgrounds (Tessaro et al., 2000). Topics and themes relevant to students' own lives and interests can also reduce anxiety. Multimedia, micro-film making using the target language, singing with the original video playing on Youtube, and encouraging students to play stage drama can be used in the language class. Students find it particularly helpful to do role play, which enables them to read the lines in the target language, being able to 'hide behind' the characters (Tompson, & Dass, 2000).

With regard to research question 2) how do language anxiety, self-efficacy and emotional competence interact with each other, the results show that students' anxiety is negatively related to emotion regulation and self-efficacy. To lessen students' anxiety and to enable students develop the skills to better self-regulate their emotions and build up their self-efficacy, the strategies such as persuasion

and witnessing other success (Houston, 2010) can be employed. The persuasion of others will foster students to believe in their capabilities, and the perception that performance was successful increases perceived self-efficacy and ensures future proficiency. Vicarious experience provides students with ideas of success by observing other students, who are similar to themselves, thereby controlling behaviour successfully to enhance their own confidence and performance. Among the components of emotional competence, self-identification and use-others have the highest positive correlation with efficacy. Students with low self-efficacy are reluctant to cooperate with peers and tutors in class and will probably, as a result of repressed fear or anxiety, avoid appropriate challenges. These abilities are all manifestations of students' emotional competence. If the students are extremely sensitive to their own feeling, or the feeling of others, they are more likely to be anxious. To reduce students' anxiety, language tutors might advise students to use a counselling service to enhance their self-emotion regulation skills. To boost students' engagement and to enhance satisfactory learning experience, educators need to make the students aware of their emotional competence by identifying and understanding their emotions.

As for research question 3) what is the impact of language anxiety on students' language learning results, the data in this study show that there is a negative correlation between students' anxiety and their achievement scores. Anxious students are more likely to get lower scores. This is in line with previous research by Bailey, et al (1999), MacIntyre & Gardner, (1991), and Price (1991) that high-anxious students receive lower grades than their less anxious counterparts. The results of the current study also confirm that language anxiety is one of strong predictors of learning achievement.

One way to enhance students' awareness on language anxiety might be to offer seminars and individual consultations, providing practical suggestions for reducing anxiety and clarify reasons and causes of language anxiety. As the accounts from the qualitative interviews suggest, most students frequently encounter language anxiety but the anxiety is often left untreated. Students may have found that anxiety interferes with their personal and academic goals but have to fight against it on their own. This is probably due to a lack of awareness on what truly constitutes an anxiety, and therefore faculties, departments, and language tutors should be able to recognize that a student may not be functioning well academically and/or emotionally. Language tutors are in a good position to recognize students' anxiety and work out ways to enhance their confidence and self-efficacy. If students realise it is common to experience anxiety in the language learning process, they may be more likely to face up to it and share their coping strategies. Self- efficacy can also be achieved via breaking down complex tasks into constituents that are easier to accomplish in order to ensure a high level of initial success. Building self-efficacy via mastery experience or enactive mastery entails organising situations that will offer students rewarding success and avoid their experiencing repeated failure.

6. Conclusion

Having explored the relationship among language anxiety, self-efficacy and emotional competence, this study suggests that maintaining the development of communicative competence is a tool to help learners lower their level of anxiety. Language tutors need to be aware of students' language anxiety and adopt an interactive communication styles in the classroom with a relaxing atmosphere, and to encourage judicious use of purposeful group work or collaborative activities. Outside the classroom, language tutors can possibly check students' language production in various portfolio assessments that help learners cooperate and depend on their peers foster an environment conducive to the development of language community. Learners will feel more at ease and willing to be engaged in language learning activities in a more relaxing environment.

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Developments of university students' achievement motivation within a foreign language course: A qualitative study of attitudes and behaviours

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Abstract: There has been a burgeoning interest in motivational constructs in shaping students' achievement behaviours – such as choice, performance, and persistence in the recent decades. Previous studies have focused on the children and adolescents in the STEM (Science, Technology, Engineering, and Mathematics) subjects, adopting expectancy-value theory. However, insufficient research has been conducted to investigate university students in the domain of foreign language learning, particularly Chinese learning. The current study aims at filling this gap by investigating Chinese language learning in the university context, guided by the expectancy-value theory and achievement goal theory. Different from most motivational studies that use the quantitative methodology, this article adopts a qualitative approach, conducting classroom-based research to investigate adult learners' achievement motivation across the academic semester. Influenced by the process-oriented principles and the context-dependent nature of motivation, this study tracked the motivational developments of four language learners during a Chinese language course over 4 months. The findings showed that students' achievement motivation undergoes great changes during the entire semester, due to the evolving perception of comparison among peers at different learning stages. Those developmental changes could give insights to the establishment of class activities and teacher feedback at corresponding learning stage, in order to enhance students' engagement, performance, and persistence in Chinese language courses.

Keywords: Achievement Motivation, Chinese as a foreign language, university students, classroom-based research,

1. Introduction

It has been noted for long that although aptitude is a critical factor in language learning, motivation can actually go beyond those constraints to a large extent in language achievement (Gardner & Lambert, 1972). Among the extensive research in achievement motivation, expectancy-value theory has been commonly adopted to investigate how students' expectations for success and their perception of task values in learning tasks influence individual behaviours in three aspects: choice, performance, and persistence (Wigfield, 1994). To investigate this phenomenon, longitudinal studies with younger students in primary school and secondary school have been conducted, attempting to track children's and adolescent's age-related changes on a yearly basis, mainly in the STEM (Science, Technology, Engineering, and Mathematics) subjects (Eccles et al., 1983; Wigfield & Eccles, 2000).

Those previous studies did provide a macro view of younger learners' change patterns across ages, but obvious limitations can be seen as follows. Firstly, the change of student's achievement motivation could take place in a time frame much shorter than a yearly basis. 'Even within the duration of a single course, most learners experience a fluctuation of their enthusiasm commitment, sometimes on a day-to-day basis' (Dornyei, 2000, p. 523). Therefore, the dynamic developments or changes of students' motivation in different contexts have not been sufficiently investigated (Wigfield & Cambria, 2010), such as the context of exam preparations during particular review weeks. The present research will attempt to solve the problem of understanding how students' achievement motivation changes overtime by tracking the developments of learners' achievement motivation within a language course during one academic semester.

Secondly, there is still a need for more work to understand adult learners' motivation such as university students. As noted above, the majority of previous studies were investigating students' achievement attitudes and behaviours in the primary or secondary school. However, very few studies focused on university students in the context of higher education, which detracts from 'the generalizability of these results in different settings, countries, and age groups' (Marsh, Trautwein, Lüdtke, Köller, & Baumert, 2005, p. 412). Therefore, the present study will potentially contribute to the research of achievement motivation by investigating international students in higher education.

Thirdly, since most of the previous studies focused on STEM subjects, further investigation is needed in language learning, especially Chinese learning as a foreign language (CFL). The current research is characterised by a semester-long longitudinal study in a Mandarin Chinese language course

for international students in Hong Kong. Hence, the subject of CFL would be addressed accordingly, to add to the previous knowledge in this research area.

2. Literature Review

2.1 Expectancy-value theory

Expectancy-value theory (Eccles et al., 1983) contended that students' expectations for success and their perceived values generally represent their achievement attitudes, which will directly determine their achievement behaviours: choice, performance and persistence (Figure 1).

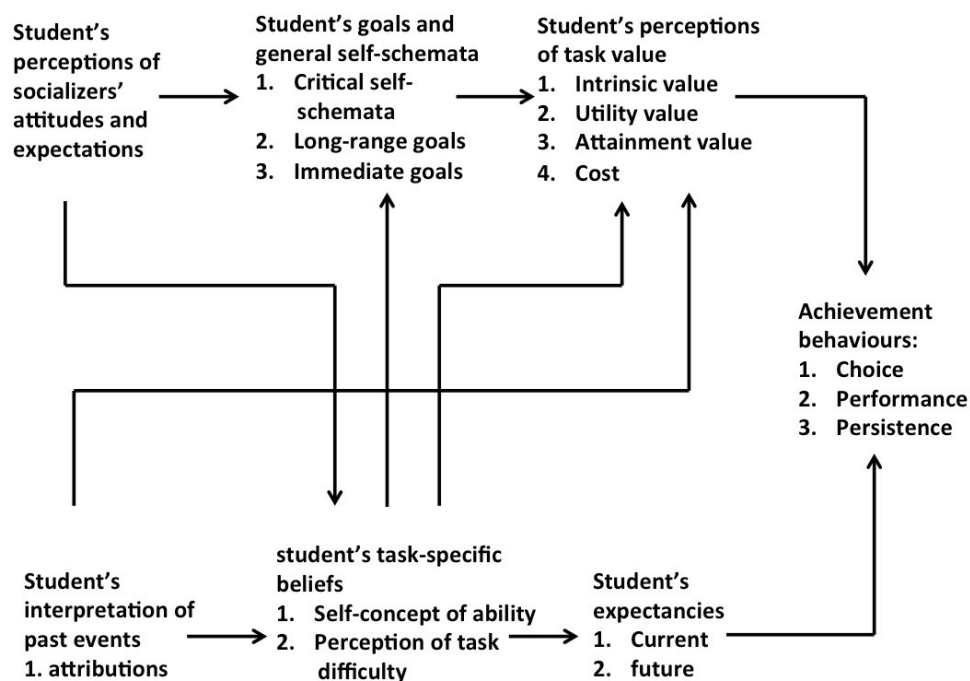


Figure 1: Psychological model of achievement attitudes and behaviours
(Eccles et al., 1983, p. 100)

As for the two components of achievement attitudes, expectancy (also called efficacy expectancy) refers to the student's estimated probability to achieve success, while task values refer to the qualities of learning tasks and how those qualities attract students to perform the task (Eccles, 2005; Wigfield & Eccles, 1992). Accordingly, student's perceived value towards learning tasks is classified into four components: intrinsic value (inherent interest or pleasure students obtain), attainment value (students'

perceived importance in performing well on a given task), utility value (usefulness of a task to help students to achieve short-term or long-term goals), and cost (the sacrifice to make in order to perform a task, including time, effort and emotional cost). When it comes to achievement behaviours, three aspects have been commonly examined: choice (course enrolment), performance (exam score) and persistence (intended future enrolment).

Regarding how the achievement behaviours are determined by expectancies and perceptions of task values, scholars have different opinions. On one hand, certain scholars believe student's efficacy expectancy for success will be salient to determine their behaviours (Graham & Williams, 2009; Schunk & Pajares, 2009). That is to say, if students believe they are able to succeed at learning tasks or activities, they will be more likely to choose them, persist in front of difficulties, and perform well on those tasks. On the other hand, it is argued that student's perception of task values is more influential – if individuals see little value for doing a task or an activity, they would probably not choose to do it or persist doing it even if they might feel competent to do it (Wigfield & Eccles, 1992; Wigfield, Tonks, & Klauda, 2009). This disparity is likely caused by the different contexts in which the previous research was conducted. However, contextual factors have not been sufficiently explored yet, considering the classroom setting could develop across time within the academic semester, which would lead to the corresponding change in students' expectancies and task values.

In order to understand students' expectancies and task value, individual goals are claimed to be influential (Eccles et al., 1983; Eccles & Wigfield, 2002). Nevertheless, expectancy-value theory mainly compared students' immediate and long-range goals, focusing on age-related changes in the long term. However, it lacks in-depth investigation of students' particular goal orientations. The present study will try to fill in this gap by integrating the achievement goal theory (Elliot & McGregor, 2001), as discussed in the following section.

2.2 Achievement goal theory

Students' achievement goals are classified into four types, namely mastery-approach goal (focusing on mastering skills to obtain success), mastery-avoidance goal (escaping from the situation of not being able to acquire sufficient knowledge), performance-approach goal (focusing on demonstration of ability), and performance-avoidance goal (avoiding participation to escape from the demonstration of inability) (Elliot & McGregor, 2001). Remarkable consistency has been found in the previous studies, regarding the benefits of mastery goals, such as learning interest (Harackiewicz, Barron, Tauer, Carter, & Elliot, 2000), engagement and persistence in learning activities (Pintrich, 2000). On the other hand, consensus has not been reached concerning the influence of performance-approach goal. To resolve

this debate, it is necessary to specify under what contexts performance-approach goals could be helpful. The present study will investigate students' goals over time within a language course, and identify how different goal orientations contribute to students' language learning under different contexts.

3. Research Method

3.1 Research methodology: a multiple-case study

Case studies are defined to examine 'a contemporary phenomenon in its real-life context, especially when the boundaries between phenomenon and context are not clearly evident' (Yin, 2003, p. 13). As discussed in the literature review, student's motivation is a dynamic, process-oriented and context-dependent construct (Dornyei, 2000), requiring in-depth investigation. Therefore, case study fairly serves as the research methodology in a classroom setting, to identify the language phenomena and contextual influences upon it. Individual interviews, class observations and stimulated recalls were the major research instruments for data collection. Reviews of relevant documents such as student's study logs, exam papers and teacher's report of students learning will also be included, to supplement the data analysis.

3.2 Research participants

A Mandarin Chinese course at elementary level is selected, to fully show the emergence and developments of students' achievement motivation across time. Initially, a narrative survey concerning students' demographic information and language backgrounds was distributed to all the 20 students in the class, and based on the purposeful sampling for information-rich cases, four students were selected for further in-depth investigation within the academic semester. However, one student quit the course in the middle, leaving three student participants in the current research.

All the three participants are international students in a university in Hong Kong. In particular, Mark is a postgraduate student who has been working as a lawyer for few years in his home country - Czech Republic. With half year's learning experience in Chinese, his major purpose to enrol in the current course is to pick up basic Chinese for daily communication in Hong Kong. The second participant, Tim, is also from Czech Republic, but is currently a PhD student with no experience of Chinese learning previously. He is the only participant with a long-term goal for Chinese learning – learning

Chinese until being able to pass the language exam in Taiwan and work there. The last participant, Alice, is from Spain, and has been learning Chinese for 6 months. After several years' work in a European research centre, she came to Hong Kong for her PhD research. Alice enrolled in the current Chinese course to facilitate research work with colleagues from China mainland.

3.3 Research Procedure

Four rounds of individual interviews with each participant were conducted at different learning stages throughout the academic semester, in order to explore the developments of students' attitudes – namely their expectancies, perceived task values and the factors shaping them. In particular, the four rounds of interviews were taking place in the 1st week (beginning of the course), in the 5th week (mid-term), in the 8th week (exam period), and in the 11th week (one week after the course). The length of each individual interview was about an hour; interviews questions (Appendix 1) were developed based on the standardized questionnaires of expectancy-value theory (Wigfield, 1994; Wigfield & Eccles, 2000) and achievement goal theory (Elliot & McGregor, 2001).

In addition to interviews, class observations followed by stimulated recalls were conducted as well, to capture students' actual behaviours in the classroom setting. All the 20 classes (40 hours) were observed and audio recorded, followed by reflective discussions (stimulated recalls) with individual participants. During each round of stimulated recalls, participants were invited to recall and discuss about the recorded lesson, regarding their task choice (why they chose particular tasks over other alternatives in their active and voluntary participation), performance (the accuracy rate of their task completion) and persistence in front of difficult tasks (whether they carried on trying or avoided participation after underperforming).

The protocol to investigate students' behaviours is provided in Appendix 2. Data collected from observations, stimulated recalls, interviews, and documents were all analysed thematically, by looking for emerging patterns or themes in the qualitative data (Braun & Clarke, 2006).

4. Research questions

It is essential to understand university students' developments of motivational perceptions and behaviours across the academic semester. This could give insights to the teacher, concerning how to design class activities and give feedback accordingly at different learning stages. Therefore, research questions in the current study are as follows:

(1) How the students' achievement attitudes (expectancies and perception of task values) develop within the academic semester while taking a Chinese language course?

(2) How do those developmental perceptions shape students' achievement behaviours (choice, performance and persistence) at different learning stages within the academic semester?

(3) How can the teacher help to improve students' engagement, performance and persistence at corresponding stages within the academic semester?

5. Findings and discussions

This chapter presents the research findings observed during the four learning stages within the academic semester, regarding the developments of students' achievement attitudes (expectancies and perceived task values), as well as their achievement behaviours (choice, performance and persistence). Based on those developments, corresponding pedagogical suggestions would be put forward to the teacher, in order to enhance students' engagement, performance and persistence while learning Chinese as a foreign language.

5.1 Learning stage 1: beginning of the semester

5.1.1 Students' achievement attitudes: expectancies and perceived task values

At the beginning of the academic semester, when students were not well aware of their classmates' language abilities, or not yet receiving much feedback from the teacher, the major consideration for individual expectancies was based on their previous learning experiences, consistent with existing research (Pajares & Schunk, 2001). Therefore, Tim, who was a complete beginner of Chinese learning, showed quite uncertain attitude concerning how well he expected himself to learn Chinese in the upcoming course. In contrast, expectancies of the other two participants, Mark and Alice – who ranked themselves as 'around the average' and 'above average' were comparatively high.

In contrast, the task values students perceived at this stage were quite consistent among all the three participants – utility value being the salient role. The value of Chinese language as a 'tool' was mentioned by Mark, Alice and Tim, aiming at using Chinese to 'better integrate to Hong Kong life', 'facilitate current work', and 'pass the language exam in Taiwan and work there', respectively. No obvious intrinsic value was indicated by any of the participants, in support of the predictable trend drawn from previous studies with children, that perceived values of utility in learning tasks would

become increasingly significant as students get older and gain a better understanding of themselves, their career plans, and the relationships between their plans to the learning activities (Wigfield & Eccles, 1992).

5.1.2 Students' achievement behaviours: choice, performance and persistence

Students' choice of particular tasks in the class was evidently shaped by the dominant role of utility value at this stage, so the participants were all more likely to choose activities they perceived as useful to either their work or life. Most of Mark's and Alice's voluntary participation in class activities were observed to be conversation tasks, since 'speaking Chinese with friends' (in Mark's case) and 'talking to Chinese colleagues' (in Alice's case) was considered as a priority, according to their first round of interviews. In comparison, Tim's voluntary participation was more related to characters, because 'to pass the future language exam in Taiwan and be able to work there afterwards, a very high requirement of characters should be achieved', as Tim explained in his first interview. Cost value was indicated by the time and effort students were willing to devote outside class (according to their study logs after class), leading to good performance in certain preferred tasks over others.

Persistence at this stage was also dominantly shaped by the perceived utility value, on the grounds that students were observed to persist longer in front of certain difficult tasks, as long as those tasks were deemed useful to master language skills.

If I can learn from the mistakes, then it can help me to speak better Chinese in daily life. That is why I am here, to learn.

(Mark/Interview)

...Sometimes I get stuck but it is part of learning. After the teacher corrected me in the classroom, I will not make the same mistake when I use it with friends.

(Tim/Interview)

As can be seen from the interviews above, mastery-approach goal was driving students' achievement perceptions, in shaping the salient role of utility value, which in turn, determined students' subsequent behaviours.

5.1.3 Insights for pedagogy

As indicated in previous studies, 'the extrinsic nature of utility value makes it amenable to intervention from teachers' (Hulleman, Godes, Hendricks, & Harackiewicz, 2010, p. 3). Therefore, at the beginning of the semester, when students' achievement motivation was instrumental and mastery-approach driven, the teacher could design certain activities connected to learners' study, work or life, and highlight the utility value of those learning tasks in the class. After the perception of utility value

was discovered among students, it could subsequently promote their active participation in the learning activities, as well as encourage stronger persistence in front of challenges. As for performance, students' time and effort devoted after class were found to be directly influential, so rather than ability feedback, the teacher was suggested to offer more effort feedback.

5.2 Learning stage 2: middle of the semester

5.2.1 Students' achievement attitudes: expectancies and perceived task values

As students were increasingly informed of classmates' language abilities, social comparison among peers started to emerge and strengthened across time. As a result, both Mark's and Alice's high expectancies were obviously decreasing at this stage. In particular, Mark who ranked himself as 'around average' in the previous interview described himself as 'definitely below the average' then. Similarly, Alice who had been extremely confident at the beginning of the course, was having the feeling of 'getting lost in the class'. This change of ability beliefs and expectancies was consistent with the previous studies with younger learners such as adolescents (Watt, 2004) as well as children (Jacobs, Lanza, Osgood, Eccles, & Wigfield, 2002, p. 522), in that students' self-concept of abilities would generally decline 'in the pecking order', giving rise to decreasing learning expectations. In stark contrast, the remaining participant Tim who had no prior Chinese learning experience and who held a rather low level of expectancy in the first learning stage, started to build up his self-concept of abilities, leading to increasing expectancies for Chinese learning. 'I think I'm around top 25% in class now', as Tim stated in his second interview.

With the emerging social comparison at this stage, students' focus was switching from developing skills (mastery-approach goal) to demonstrating ability (performance-approach goal) and avoiding the situation of demonstrating inability (performance-avoidance goal). Hence, attainment value was also shaping students' achievement behaviours, in addition to utility value at this stage.

5.2.2 Students' achievement behaviours: choice, performance and persistence

Consistent with students' perceptions of task values at this stage, their achievement behaviours were shaped under the impact of both utility value and attainment value. Students' choice of tasks in class was mainly based on those two psychological factors – the belief that a task could be useful for future plans (utility) and the concern of performance on a given task (attainment). To exemplify, during the observed session of group activities, all the three participants chose the particular tasks they felt useful and in which they felt competent; Mark chose phonetic tasks (pinyin), Alice chose writing

tasks (characters), and Tim chose translation tasks (vocabulary). Mark and Alice specially emphasized their concern on performance in class in the following stimulated recalls.

Pinyin is the only part I feel confident with, so I chose it. You do not want to choose your weakest part and do it badly.

(Mark/Stimulated recall)

Obviously I'm better in writing than any other parts, so I chose to do it. Characters are always my advantages.

(Alice/Stimulated recall)

Unlike Mark and Alice, the emphasis on performance in class was not so strongly indicated by Tim, who was already holding higher level of efficacy expectancy, and hence paying less attention to demonstrating abilities.

Notably, the common pattern for all the participants was that they were more willing to spend time and effort in the tasks at which they feel competent, and this resulted in good performance afterwards, according to the class observation. Good performance and following positive feedback from the teacher would immediately enhance participants' efficacy expectancy, while occasional bad performance would instantly undermine it. This change of expectancies would subsequently influence students' persistence in learning. For instance, Alice, who had been quite active in phonetic tasks despite occasional under-performance at the beginning of the course, was now intentionally avoiding speaking in class.

I cannot understand what they are talking in class, so you might see me very silent now. I just don't want to sound silly in class...

Mark was under the same stress, but towards Chinese characters instead.

Characters are just impossible for me, and I don't want to be bothered much now. I'm not sure whether I'm in the right course now, not to mention the next one.

This supports Carver and Scheier (2000) who maintained that external feedback and expectancies for success would provide important foundation for decisions of persistence.

5.2.3 Insights for pedagogy

Considering the emerging and strengthening attainment value at this stage, the teacher could consider adding certain activities to satisfy students' needs for performance goals, particularly in the session of group activities when students are put 'in the pecking order' (Jacobs et al., 2002, p. 522). In this way, the majority of students could find the tasks they feel competent in, and hence participate more in class. Compared to the beginning of the course, students' skills already develop to some extent at this stage, so the teacher's feedback concerning ability becomes more important (Hattie &

Timperley, 2007), especially when other sources of ability feedback such as exam outcome are not yet available.

5.3 Learning stage 3: exam period

5.3.1 Students' achievement attitudes: expectancies and perceived task values

Compared to the previous stage when students' major source to build efficacy expectancy was the teacher's feedback towards their performance in class, during this period of final exams, primary consideration became the outcome of exam. This 'official recognition' by 'the formal assessments', unanimously described by all the participants, was evidently influential to students' expectancy. As soon as Mark, Alice and Tim received their exam outcome – pass with distinction, their expectancies were all boosted, and in this round of individual interviews, their self-rankings of language abilities in the class all climbed up to 'upper average', 'top 25%', and 'top 3', respectively.

Under the influence of final exams, social comparison and peer competition reached the peak within the semester, leading to the salient role of attainment value in this specific period. The focus was switched from 'performance in class activities' to 'performance in final exams', addressed consistently by all the three participants, as 'authoritative'. Students' major focus on performing well in the final exam subsequently increased the importance of cost value, which was evident from the increase in their Chinese learning time. Previous research had similar findings, showing 'task-specific importance was the single biggest predictor of test-taking effort' (Cole, Bergin, & Whittaker, 2008, p. 620).

5.3.2 Students' achievement behaviours: choice, performance and persistence

At this stage of exam preparations, only performance-approach goal was demonstrated. Students were no longer avoiding their weakness during class activities, as long as those tasks could be beneficial to their performance in the final exams. Mark, for example, who was weak in Chinese characters and was avoiding any activities related to writing in the previous stage, was now actively engaging in characters-related tasks.

I'm catching up with characters now because characters will be an important part in the final assessment, obviously.

Likewise, Alice contacted me to arrange an extra tutorial for her exam preparation, which was all about the review of phonetic tasks such as Pinyin pronunciation and tones.

Listening is a big part but I cannot distinguish those Pinyin and tones yet. I have to make up for

what I have missed. Otherwise I'm not sure about the final exams...

In the meanwhile, Tim also contacted me for tutorials to 'fix the weaknesses', weeks before the exam. This perception of task values for the final exams directly determined students' devoted time and efforts (based on their study logs), which in turn affected their performance in the final exam. After receiving the outcome of the final exam, students' expectancy was changing accordingly, leading to stronger persistence.

5.3.3 Insights for pedagogy

Considering students' full attention to the exam preparation at this stage, the teacher is suggested to design the class activities based on the exam topics and to inform the students of this connection. By doing this, students' attainment value in the upcoming exam would be satisfied, and they would be likely to participate more in class, as well as show stronger persistence when encountering difficulties. The teacher could even encourage social comparison or competition among students at this particular learning stage close to exam period, and impose the performance-approach goal in class. This would promote students' willingly efforts, and hence their performance. Since the findings show that exam outcomes would directly influence students' expectancies and their learning persistence for the future learning, the teacher could specially give more positive feedback regarding language ability to those students who did not obtain excellent scores in the exams.

5.4 Learning stage 4: end of the semester

5.4.1 Students' achievement attitudes: expectancies and perceived task values

After the language course was just completed, the major contextual factors were moving from the classroom setting to the real-life setting, which has not been much investigated in the previous research. Different from the previous learning stage when students' efficacy expectancies were dominantly based on the exam outcome, at this stage the major consideration seemingly shifted to real situations in students' daily life. This was especially evident when students tried to use what they had learnt in class with Chinese speakers. Both Mark and Alice encountered continuous problems while attempting to talk to Chinese people, which substantially undermined their high expectancies.

People cannot understand me. I was quite confident after the exam, but I'm not using Chinese well in my life now. I will have some trips to China soon but I don't think I can handle any Chinese there.

(Alice/Interview)

I still have problems talking to people in Chinese. I cannot even make a complete conversation. The exam score might not mean anything...

(Mark/Interview)

This was the time when both of them began to reconsider the exam outcome, and switched their learning focus from exam performance to language usage again. On the other hand, Tim was actually handling the situation quite well by using the limited Chinese he knew in daily life. As a result, Tim's expectancy was still high.

I was buying the train tickets to China in the station last time, and the staff there did not speak good English, so I used Chinese. It was no problem at all.

Despite the difference of expectancies between Tim and the other two participants – Mark and Alice, the common consideration among them all was whether this language course had been 'useful' to the real use in daily life situations, namely the utility value.

5.4.2 Students' achievement behaviours: choice, performance and persistence

With the weakening social comparison among classmates after the course, students learning focus was switched from performance back to skills. Hence, with the mastery-approach goals, students were more likely to engage in the tasks that could be useful to develop language skills, as well as showing stronger persistence. This was especially true if the learning tasks could be useful in the short term, such as for participants' trips to China. However, concerning their persistence in continuing the course, intention for future enrolment was more about their potential long-term usage of Chinese. To illustrate, potential usage of Chinese in the long term for Tim ('desired job in Taiwan') and Alice ('cooperative research with Chinese colleagues) directly determined their intended future enrolment in the next semester, irrespective of Alice's decreasing confidence in her Chinese at this stage.

5.4.3 Insights for pedagogy

Based on the discussion above, it is suggested that in the last learning stage, the teacher could design certain activities that could help students to complete some daily conversations in Chinese, and that students could immediately use in real life, such as asking for directions while travelling to a Chinese-speaking region. This way, students' would consider the language course useful, which would in turn enhance their learning engagements and persistence in the learning activities even after the course. In particular, to encourage students' continuous enrolment in future courses, it is important for the teacher to highlight the usefulness of the language course by informing learners how it could help them to achieve future goals, especially in the long term.

6. Conclusions

The present study contributes to previous knowledge since it is one of the few studies to integrate expectancy-value theory with achievement goal theory, and apply them in the real-life context – a classroom setting, especially in higher education with adult learners. The study develops the previous research of expectancy-value theory by emphasizing the importance of contextual factors while investigating students' achievement perceptions, as well as their actual behaviours. As shown in the current findings, with changing contexts at different learning stages, students' achievement motivation changes accordingly within the language course. This extended the existing knowledge by investigating within-semester developments among Chinese language learners. Although the current research adopted multiple case studies with the focus on in-depth investigation during the entire semester, three participants as the sample size was a limitation for generalization to a larger number of students. To respond to that, Lincoln and Guba (2000, p. 32) argued, "If the generalizations are accepted, they should be as indeterminate, relative and time and context bound" because generalizations are claimed to be substantially dependent on context, which is usually tentative. It was in agreement with Yin (2009, pp. 38-39) who put forward the term "analytic generalization" (to connect the same theoretical proposition in the investigated cases to other situations involving similar concepts, constructs or events), in comparison to "statistical generalization". Therefore, further research is suggested to investigate whether similar patterns in the current case studies will also be shown in the future case studies.

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Appendix

Appendix 1. General interview questions

- (1) In general, do you find Chinese learning interesting? If so, which part in particular is most interesting to you? If not, which part in particular is most boring to you?
- (2) How much do you like learning Chinese?
- (3) How important is it for you to be good at Chinese? Why?
- (4) In general, how useful is what you learn in Chinese?
- (5) Why did you choose to learn Mandarin instead of Cantonese in Hong Kong?
- (6) How frequent do you spend time on Chinese learning after class, and what is the duration each time?
- (7) If you don't use the time to learning Chinese, what alternatives would you do instead?
- (8) Do you ever feel anxiety during any tasks such as speaking it in public or taking an exam?
- (9) How good at Chinese are you now? How well do you expect to do in Chinese learning this year?
- (10) If you were to order all the students in your Chinese class from the worst to the best in Chinese, where would you put your self?
- (11) Do you desire to completely master the material presented in this class?
- (12) Are you ever afraid that you may not understand the content of this class as thoroughly as you'd like?
- (13) Is it one of your goals in this class to get a better grade than most of the other students?
- (14) Do you ever fear of performing poorly in this class? If so, is this fear often what motivates you, or the other way around?
- (15) What do you think is the cause of your successful/unsuccessful performance?

Appendix 2. Protocol to investigate achievement behaviours

Aspects of Achievement behaviours	Research Instruments	Data to be collected and analysed
Choice	Interviews	(1) Choice of course (enrolment)
	Observations, Stimulated recalls	(2) Choice of task A. In class a. Frequency and content of voluntary participation/initiated questions/active discussion b. Frequency of distractions (more than 10 seconds) B. After class (e.g. requested tutorials) Frequency, time and content of Chinese learning after class
Performance	Documents review (exam papers and teacher reports), interviews	(1) Performance of course – Outcomes of exams A. Written test (score and error distribution) B. Oral presentation (score and teacher report)
	Observations, Stimulated recalls	(2) Performance of task A. In class a. Teacher feedback – number of accurate answers and incorrect answers in task performance b. Discussion with the teacher – after each observation regarding each participant c. Reflective discussion with each student participant B. After class (e.g. requested tutorials) a. Researcher feedback – number of accurate answers and incorrect answers in task performance b. Reflective discussion with each student participant
Persistence	Documents (attendance reports, reports of future enrolment) reviews, interviews	(1) Persistence of course A. Attendance rates B. Intention for future enrolment
	Observations, Stimulated recalls	(2) Persistence of task A. In class a. Instant reaction after performance and feedback b. Number of persistent participations in the challenging tasks B. After class (e.g. requested tutorials) a. Instant reaction after performance and feedback b. Number of persistent participations in the challenging tasks

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Assessing students' learning progress through their in-class writing compositions

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Abstract: The study reported here explores how university students of Chinese can be assessed through their in-class writing compositions (WCs). It analyses students' WCs both within a group cohort and as individuals. At the group level, the whole class is considered as a community and the commonalities among students are emphasised. The paper analyses students' learning with a special focus on what their mistakes are construed by and how they are construed. Not only do the findings at this level outline the dynamics of student learning as a group at different stages, but also demonstrate a development of the group through the term. At the individual level, students' personal characteristics and personalised progression are highlighted. The comparison between individuals' WCs in different weeks and the analysis on their similarities and differences provide insights into individual learning process. The mutual interaction between the teacher and students is conducted in a social context, underpinned by Vygotsky's Zone of Proximal Development. The findings suggest that WCs as classroom assessment are critical in this intervention, functioning as a catalyst for students' learning activities. Not only does the study strive to explore how students actively respond to the teacher's feedback on each of their WCs and, but also increases awareness of their fossilised errors to abandon some of them accordingly.

Keywords: Chinese language, Classroom assessment, the ZPD, Writing compositions

1. Introduction

This study explores how classroom assessment can be used as a tool for assessing the learning progress of a group of students of Chinese. In university settings, formal assessments are often

employed as exercises or procedures to help both students to learn and teachers to teach. They are specifically designed to tap into a storehouse of students' skills and knowledge when "systematic, planned sampling techniques [are] constructed to give teacher and student an appraisal of student achievement" (Brown & Abeywickrama, 2010: 7). The information which is made through assessments about students and their learning can be used by teachers to improve instruction, by students to control their own learning, or both (Frey, 2014). However, existing research has not extensively focused on the use of writing compositions (WCs) as classroom assessment to evaluate students' formative learning outcomes. The current study attempts to address this gap by recording students' learning both as individuals and as a group. The paper aims to find out how critical the current type of classroom assessment is in this intervention and how beneficial it is to help both students and the teacher to raise their awareness of what they will need to continue to work on. Section 2.1 outlines the concept of classroom assessment with a special focus on formative assessment in general and formative assessment of L2 writing in particular. Following on from this, Vygotsky's ZPD is highlighted to demonstrate both students' potential maturation under the teacher's guidance and the teacher's possible improvement by reading students' WCs. Section 3 focuses on the methodology of the study in detail. Sections 4 presents the data of the study. Section 5 discusses the findings from the study, identifying students' learning, the mutual interaction between the teacher and students, and the operationalization of the ZPD. The contributions, limitations and implications for the study are set out in Section 6.

2. Literature Review

2.1 Formative assessment

Formative and summative assessments are two prevalent types among various ways of categorising classroom assessment (Chappuis *et al*, 2012; Popham, 2014). Summative assessment typically takes place at the end of a course. It is employed to measure, or summarize, how well that student has accomplished learning objectives (Brown & Abeywickrama, 2010) and helps to make a judgment about the effectiveness of already completed courses (Chappuis *et al*, 2012; Popham, 2014). When summative assessment is closely related to a summation of a student's learning and the effectiveness of a course, the very process of learning throughout the course is mostly neglected. In order to know more about the process of learning, formative assessment is conducted when data collection occurs during instruction (Frey, 2014).

Two functions of formative assessment are acknowledged by Bachman and Palmer (2010) who argue that teachers can use formative assessment to collect information about the effectiveness of their teaching and make changes in their instructional practice, or in the learning activities they present to their students, or in the way in which they present the content to be learned. The information from assessments may also provide formative feedback to students, who can use it to make decisions about their own learning, i.e. what areas they need to focus on, how they can make better use of learning strategies, or how they can more effectively spend their time learning. The argument of Bachman and Palmer is echoed by Popham (2014) who also suggests the assessment-elicited evidence of students' status be "used by teachers to adjust their ongoing instructional procedures or by students to adjust their current learning tactics" (p.290). Frey (2014) also points out that formative assessment benefits both teachers and students. According to him, not only can formative assessment guide the teacher on instructional effectiveness, but also can let students know where they are and how they are doing and enable them to monitor and control their own learning. McMillan (2014) suggests that formative assessment is cyclical in nature. According to him, such a cycle moves from gathering evidence of learning to evaluating evidence, to giving feedback to students, to making instructional adjustments by teachers and to the next cycle. As he continues, the results of previous formative assessments can be used by teachers "to reflect and determine the next most appropriate instructional activities" (p.133).

In terms of classroom assessment of L2 writing, Ferris & Hedgcok (2014) are in line with Anton (2012) who suggests that individual learners' learning potential be gauged and advanced and educational strategies be devised. They also point out the benefits of the assessment for teachers. According to them, when performed responsibly, such assessment "informs teachers of their effectiveness, as reflected in their students' increasing proficiency and their achievement of programmatic and individual writing goals" (p.197). Weigle (2012) gives three reasons why teachers may choose to assess writing in the form of classroom assessment. First, teachers may want to see what students can do without any resources and to ensure that the writing they submit is their own. Second, students are given opportunities to become familiar with writing assessments which are meant to finish with a certain period of time. Third, from the perspective of second language acquisition, such assessments may function as a measure of automatized language and demonstrate students' language proficiency to a greater extent.

Formative assessment, including formative assessment of L2 writing, which involves both teachers and students and establishes an interactive relationship between them, improves teachers' professional practices and enhances students' learning. This socially oriented approach represents Vygotsky's zone of proximal development (ZPD) which will be reviewed next.

2.2 The zone of proximal development

The zone of proximal development (ZPD) is described by Vygotsky as “the distance between the actual developmental level as determined by independent problem-solving and the level of potential development as determined through problem-solving under adult guidance or in collaboration with more capable peers” (1978: 86). It has become a more established theoretical framework in a rich and diverse range of contexts. However, central to the ZPD are three components.

The first component is when more capable people’s involvement “impels or wakens a whole series of functions that are in a stage of maturation lying in the zone of proximal development” (Vygotsky, 1987: 212). As Lake elaborates, such a relationship in an education context would be formed by the teacher and students. According to him, the ZPD “is an environment out of which the teacher and the student co-construct and create knowledge together rather than just moving in the ‘top-down’ approach” (2012: 39). In line with Lake, Levykh’s focus is also placed on the mutual relationship between the teacher and students. As he argues, the ZPD “establishes creative teaching-learning environments in the here and now that promote mutual respect and trust... Both students and teachers are part of this collaborative educational inspiration” (2008: 99). The second component is referred to as mediation. According to Vygotsky, mediating tools may include “language; various systems for counting; mnemonic techniques; algebraic symbol systems; works of art; writing; schemes; diagrams, maps, and mechanical drawings; all sorts of conventional signs” (1981: 137). When learning needs to be mediated by appropriate forms, it “is a dynamic process that emerges as a result of the appropriation of cultural and psychological tools that mediate behavioral mastery, thus leading to the development of personality” (Levykh, 2008: 94). The third component is associated with learners’ maturation. When Vygotsky suggests that more capable people waken a whole series of functions in less capable people, he argues that those functions “have not yet matured but are in process of maturation” and “will mature tomorrow but are currently in embryonic state” (1978: 86). Vygotsky’s distance between an embryonic state and future maturation is further elaborated by Bodrova and Leong (1996), according to them, Vygotsky chooses the word *zone* to conceive of development as a continuum of behaviours or degrees of maturation. And the word *proximal* indicates that “the zone is limited by behaviors that will develop in the near future” and, however, refers to “those closest to emergence at any given time” (p 35).

The ZPD will serve as a framework and guide this study when underpinning the concept of formative assessment of L2 writing whereby the process of preparing and conducting WCs generates students’ linguistic distance between their current language level and their potentially developed level.

The teacher's professional development is also generated when students' WCs enable them to increase their awareness of his teaching and students' learning.

3. Methodology

The approach taken was of a qualitative case-study to explore how students arranged themselves in the current learning context and how their WCs allowed the teacher to socially communicate with them. This course in question took place in an Irish university. Five second year students were engaged in a Chinese degree course in 2015 and were coded as Alice, Barry, Collette, Den and Elisa. This course consisted of 12 weeks, including 11 teaching weeks and 1 reading week. There were four weekly class contact hours. According to the course objectives and the teaching plan, students were required to write five WCs as their formative classroom assessment. Each of the WCs consisted of 150 to 200 Chinese characters. The topics were announced approximately a week and a half before the date for their WCs. The first WC was completed by students at home. Students prepared for other WCs at home and completed them in class within 30 minutes. Books or notes were not allowed to use in order to check what they could do without any resources (Weigle, 2012). Written feedback was given to students after each of their WCs was marked. The teacher also met students at a given time to answer questions if they had any. The five WCs accounted for 25% of the total marks of the module, along with 15% for the oral exam and 60% for the end of term exam. Figure 1 reveals the overall marks of the five students. Alice and Barry were absent for the second WC and fifth WC respectively.

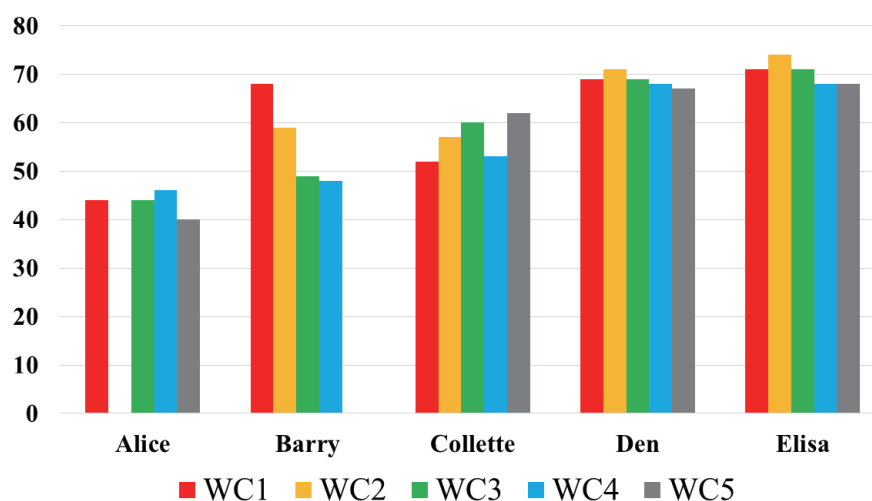


Figure 1. The overall marks of the five students across five WCs.

The data of the current study was derived from students' WCs. The quotations were referred to

with a student's name and the sequence of the WCs (e.g. 'Alice: 1' refers to the first WC by Alice). The current research study was guided by the following questions:

- Can the WCs help students to enhance their knowledge of Chinese?
- Can the WCs generate the teacher's professional development?
- Can the WCs create a social context whereby the teacher and students can interact mutually?

4. Findings

Three major themes relative to students' participation in this study are outlined below and Section 5 goes on to synthesise them.

4.1 Characters errors

As Table 1 indicates below, all the five students made Chinese characters errors in their WCs, regardless of the venue where they completed their WCs. It was evident that Alice, Barry and Collette created much less errors at home than they did in class, although they also had a small number of character errors in one of the remaining in-class WCs. Den managed to minimise his character errors in all his WCs, apart from those in his WC3. Elisa had the least character errors both at home and in the class and her consistency remained through her WCs. The errors of the same character in the same WC were regarded as one error in this study.

Table 1. Number of errors of Chinese characters

Student \ WCs	WC1	WC2	WC3	WC4	WC5	Total
Alice	3	n/a	10	4	10	27
Barry	1	10	2	8	n/a	21
Collette	4	7	7	14	5	35
Den	3	4	12	5	2	26
Elisa	2	1	2	3	4	12

Apart from Elisa, the other four students had errors of the same characters in different WCs. As Table 1 demonstrates, when both Alice missed WC2 and Barry missed WC5, they both had one repeated character error. The character 都 remained problematic for Alice in all her four WCs. Barry

miswrote 喜 in his WC2 and WC4 (i.e. his last WC). Five miswritten character were repeated twice in Collette's different WCs. Among them, 年 occurred in her WC2, WC3 and WC4. 欢 was seen in her WC2 and WC4. 再 was used in her WC2 and WC3. 柏 appeared in WC1 and WC4. 妈 was repeated in her last WC4 and WC5. 得 appeared wrongly in Den's WC2 and WC3. The ratio of students' repetition of errors of characters varied among them, i.e. Alice: 3.7%; Barry: 4.8%; Collette: 14.3%; Den: 3.8%; Elisa: 0%).

Some errors of the same characters were shared by different students. At the group level, the repetition of the same miswritten characters in one or more than one WCs of the same student' was regarded as one error. As the data indicated, 11 characters were miswritten by two different students. Among them, 都 and 更 remained in students' last WCs. There were no repeated errors of the same characters which were made by three or more than three students.

4.2 Grammatical mistakes

Table 2. Number of grammatical mistakes

Student \ WCs	WC1	WC2	WC3	WC4	WC5	Total
Alice	6	n/a	10	7	5	28
Barry	5	6	6	4	n/a	21
Collette	7	5	2	2	3	17
Den	5	4	10	9	5	33
Elisa	6	5	5	4	7	27

As Table 2 indicates, grammatical mistakes appeared in all the five students' WCs. Within their four WCs, Alice and Barry made 28 and 21 grammatical mistakes respectively. Among the five students, Collette had the least grammatical mistakes, numbered 17. Den made 35 grammatical mistakes when Elisa made 27 mistakes. All the five students repeated grammatical mistakes which were referred to as the mistakes of the same grammatical points in different WCs. Alice's three repeated mistakes all appeared twice among her four WCs. Her mistakes included the wrong usage of the modal complement 得 in her WC1 and WC4. She also overused the verb 是 before adjectives in her WC1 and WC3, but did not use the adverb 很 before adjectives in her WC4 and WC5. Like Alice, Barry's repeated grammatical mistake was associated with the verb 是. He used it before adjectives in all his four WCs. Collette repeated three mistakes. She did not use the particle 了 properly in her WC2, WC4

and WC5. She also had difficulties in using the structure 是……的 in her WC1 and WC2, and the word 过 indicating a past experience in her WC 2 and WC3. Den repeated four mistakes. He misused the particle 了 in all his WCs. He was not sure about the structure 是……的 in his WC3 and WC4. He also mistakenly used 过, indicating a past experience, in his WC2 and WC3. His last repeated mistake was linked with verbs serving as attributive in his WC1 and WC2. Like Den, Elisa had difficulty in mastering the particle 了 in all her WCs. The structure 是……的 was problematic for her in her WC1 and WC5. She also overused 的, such as 大学的队 [大学队] in her WC1, and 京剧的演员 [京剧演员] in her WC2. In terms of the repetition of grammatical mistakes, the ratio varied as well, i.e. Alice: 10.7; Barry: 4.8%; Collette: 17.6; Den: 12.1%; Elisa: 11.1.

At the group level, the repeated grammatical mistakes were counted against each student, regardless of the number of mistakes which they repeated within their own WCs. The data showed that the five students all misused the modal complement 得 and the particle 了. Four out of the five students had issues with directional complements, 过 indicating a past experience, and the position of adverbials of time. Three students overused 的. Three students had difficulties in using the structure 是……的. The verb 是 was presented before adjectives by three students. The comparative pattern using 比, the 被 sentence and 没 or 没有 negating past actions were wrongly repeated by three out of the five students. Among the twice repeated grammatical mistakes were the negative form of 要, the use of 着 indicating the continuous aspect of an action or a state, verbs serving as attributive, resultative complements, and measure words. In students' last WCs, among the above mentioned mistakes in this paragraph were the misuse of the particle 了 by three students, 着 by two students, the 被 sentence by two students, the modal complement 得 by one student, and the structure 是……的 by one student as well. It needs to point out that the 被 sentence and the use of 着 were new grammatical points for WC5.

5. Discussion

Section 4 set out the main themes which emerged from an analysis of the data from this case study. The WCs as classroom assessment served as an intervention which had a strong impact on students' learning of Chinese and their reflection on learning. It also allowed the teacher to give feedback to students and raise awareness of students' learning as well as his own teaching. The mutual interaction between the teacher and students was operationalized under Vygotsky's ZPD.

5.1 Students' learning and reflection

As Figure 1 indicated, Alice showed a consistent performance both at home and in class, however, her overall results made her the weakest student. Barry's first WC was successful, however, his marks declined from week to week. Collette, Den and Elisa were also relevantly consistent across the five WCs. Den was ahead of Collette. Elisa took the lead in the group although the distance between her and Den was not significant. As set out in Section 4.1, all students made mistakes in terms of their writing of characters, regardless of the venue where they completed their WCs. However, the degree of errors varied among them. First, when the WC was written at home, the weaker students, including Alice, Barry and Collette, miswrote much less characters than they did in the classroom when they were not allowed to rely on any resources. Conversely, Den and Elisa showed a different scenario. Apart from Den's WC3, errors were minimised by them both at home and in class. Therefore, the classroom assessment did not have a clear impact on the stronger students' capacity of writing Chinese characters.

As Section 4.1 indicated, Collette repeatedly miswrote five characters. However, there was a sign of her potential to make self-correction and improvement. Apart from 妈, the rest of the five miswrote characters did not appear in her WC5. Alice, Barry and Den all repeated one error. Alice and Barry kept their mistakes until their very last WCs as opposed to correcting themselves. However, Den only repeated the same mistake in his WC2 and WC3. The ratio of students' repetition of character errors also indicated that students' repeated errors of characters did not account for a big portion of their overall miswrote characters. That is to say, most of the errors were one-off mistakes. As set out in Section 3, all the five students received the teacher's feedback on their WCs. They were all made aware that they had miswrote a certain number of characters. When students managed to avoid repeating same mistakes, the conclusion was enhanced that students had an ability to take responsibility for their learning and work on their demerits.

As set out in Section 4.2, unlike the errors of characters, the difference in the number of grammatical mistakes between homework and classroom assessment was not significant for any of the five students. That is to say, books or notes would not change much of their already formed structures in terms of grammatical knowledge. According to Table 2, Collette made much less grammatical mistakes from WC3 to WC5. This made her differ from the other four students who made a similar number of mistakes (Barry's 21 mistakes from 4 WCs would be equivalent to 26 for five WCs). However, according to the ratio of students' repetition of grammatical mistakes in Section 4.2, all the five students managed to correct themselves after reading the teacher's feedback. The data also

indicated that the students repeated certain grammatical mistakes. Although a number of grammatical mistakes remained until students' very last WCs, such as Alice's 很, Barry's 是, Collette, Den and Elisa's 了, and Elisa's 是……的, many of other mistakes were corrected by students themselves as well. Included in these mistakes were self-corrections of Alice's 得 and 是, Collette's 是……的 and 过, Den's 是……的, 过 and verbs serving as attributive, and Elisa's 的.

The above discussion may lead to an understanding that the five students had the ability to deal with both the character errors, including the repeated errors of characters, and the grammatical mistakes, including a number of the repeated grammatical mistakes, with the teacher's feedback. As a result, they were able to improve their language competences, although such ability varied among them. This was verified by Anton's (2012) who claimed that individual learners' learning potential could be gauged and advanced.

5.2 Mutual interaction between the teacher and students

Based on the data from Section 4.1 and Section 4.2, students and the teacher who guided them together created a context where a mutual relationship was highlighted. The teacher's way of dealing with students' WCs provided him an opportunity to interact with his students. Such interaction was based on the efforts which student put into their learning and the teacher put into his teaching. When reading students' WCs, the teacher enhanced his understanding of students. When giving students feedback, the teacher communicated with them and informed them what they were doing and how well they were doing it (Frey, 2104). The interaction with students also enabled the teacher to collect information about the effectiveness of their teaching (Bachman & Palmer, 2010; Ferris & Hedgcok, 2014). This process would also allow the teacher to trace individual students' learning process throughout the term when the teacher analysed each student's WCs as a thread. Therefore, he would obtain the key to help individual students with a focus on their progression rather than result. When the teacher summarised the learning outcomes at the group level in accordance with each biweekly WC task, he was presented a picture of students' collective learning process. The learning situation of the whole class would be received by the teacher and enable him to understand how successfully he had transmitted knowledge to students at each unit of the teaching content. Such understanding was derived from students' WCs, however, would further encourage the teacher to reflect on his teaching and possibly adjust his own instructional practices (Bachman & Palmer, 2010; Frey, 2014; Popham, 2014).

5.3 The operationalization of the Zone of Proximal Development

Section 4.1 and 4.2 revealed a context which was underpinned by Vygotsky's ZPD in terms of students' learning as well as the teacher's development as a professional. The teacher and students worked together and co-constructed knowledge under the framework of the ZPD (Levykh, 2008; Lake, 2012). As set out in section 3, students were required to complete continuous assessments in the form of WCs every two weeks as part of their total marks. In order to complete their WCs successfully, students would have to make enough efforts during the process of preparing for the WCs at home. This process would involve both acquiring new knowledge and reviewing learnt knowledge. When the teacher marked the WCs and gave them back to students with his feedback, students had a chance to re-evaluate their merits and demerits, and would make decisions about their leaning (Bachman & Palmer, 2010) and adjust their current learning tactics (Popham, 2014). To a great extent, WCs become a tool of helping students to communicate with the teacher and receive timely feedback from him. As discussed in Section 5.1, students demonstrated their capacity for progression and, indeed, managed to learn from mistakes. Therefore, it may suggest that students matured under the teacher's guidance through the mediation of WCs and the teacher's feedback.

As discussed in Section 5.2, this assessment approach allowed teacher to gain updates on students' learning process through reading their WCs both as individuals and as a group. Especially, at the group level, the teacher was constantly notified if he had actually taught the class well or what he would need to further improve. In this sense, students' learning outcomes became a mirror which would reflect the teacher's teaching outcomes. The very process of giving feedback required the teacher to read students' WCs carefully and critically. His endeavour would help him to enrich his understanding of students' mistakes and accumulate knowledge on teaching Chinese as a foreign language. Not only did this process enhance his knowledge and experience as a teacher, but also raised his awareness of the essence and beauty of both working with students together and learning from them. As a result, students' WCs in this context played an important role in generating the teacher's professional development through the mediation of him reading the WCs and giving students feedback.

6. Conclusion

This paper has revealed how WCs as formative assessment were used as a tool for assessing students' learning progress as well as for generating the teacher's professional development. On one

hand, the WCs helped students to learn Chinese and served as a mechanism to encourage them to engage in their learning process and self-development. On the other hand, the students' learning activities were also closely linked with the teacher's professional development, as marking students' WCs and providing feedback to them enabled the teacher to better understand what knowledge the students had grasped or had not managed to achieve.

One essential component of this study was the exploration of a social context underpinned by the Vygotskian concept of the ZPD. The teacher and students mutually interacted with each other through WCs. On one hand, the whole learning process was developed in a setting where students learnt from the teacher and were guided by the teacher to complete their WCs and make efforts to improve their language level. On the other hand, the teacher benefited from the same classroom setting whereby the WCs as the mediating resources effectively increased his awareness of students' learning and, as a result, reminded him of his own instructional practices and the possibility for both parties to improve. These two aspects together built a sense of group solidarity and ensured the progression of the course throughout the term. Although this study was contextualised in this specific setting with a group of five students of Chinese, the pedagogical potential of this model in communicating the teacher and students could be exploited in any Chinese classroom.

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Demotivation of Learning Chinese Characters: A Study of Overseas Chinese Learner

海外汉语学习者汉字学习负动机研究

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摘要: 缺乏汉字使用环境的海外汉语学习者，汉字学习的动机很容易被削弱。大量针对汉字本体和教学法的研究，仍未能解决汉字难教难学的现状。从负动机研究的角度来看，汉字本体难度仅是导致学习者缺乏学习热情和持久性的因素之一。汉字难度的负面作用被夸大，而一些实际重要的负面因素则被忽略了。本研究经过两年半的跟踪调查，结合 202 份问卷结果与前后 25 位学习者的访谈记录，对影响汉字学习的负动机进行探讨，以期揭示这些负动机因素的来源和特征，并提出可能的应对措施。

关键词: 动机、负动机、汉字、汉字教学

海外汉字学习者由于客观缺乏汉字使用环境，汉字学习动机更容易衰退和下降。因此研究汉字学习的负动机，规避或降低这些负面因素的影响，有着现实意义和科研价值。然而现存中西方语言教学方面的负动机研究多针对整体语言学习，尚未有针对语言内部各个要素的负动机研究。考虑到汉语语言的特殊性与汉字教学的现状，汉字学习的负动机也值得单独进行探讨和研究。

1. 研究综述

负动机研究始于教育传播学。Gorham & Christophel (1992) 对不同学科的课堂教学进行研究分析，整理出致使学习者产生负动机的各项因素，并指出相比于利用各种教学方法正向引导学习动机，在课堂教学中规避诱发负动机的因素对保持及促进学习动机更加有效。其后在 20 世纪末，负动机研究发展至语言教学领域。Chambers (1993) 首先在外语教学领域展开负动机

研究,其后 Dörnyei (1998)、Ushioda (1998) 等,以专项作文和访谈作为主要研究手段,进行了一系列针对语言教学的负动机实证研究。Dörnyei (2013: 138-139) 首次描述负动机为“削弱尚未进行的行为意图或正在进行的行为动机的外部力量”。

21 世纪初期,负动机研究开始在亚洲受到关注,主要研究对象为以英语为目的语的第二语言学习者。除 Trang & Baldauf (2007) 在越南进行的负动机研究之外,日本学者的研究最为广泛,以 Falout et al (2009, 37: 403-417) 为代表的多位日本学者开展了大规模的量化研究。自 2007 年起,负动机研究也开始在中国的语言教学领域受到重视。2005 年至 2014 年期间,有 54 篇研究负动机的文章和论著来自中国学者,但研究对象均是英语学习者 (Boo et al., 2015)。与此同时,中西方学者在影响语言学习的主要负动机因素上也有不同的看法。随着研究的深入,教师因素 (teacher incompetence) 作为最显著的负动机因素已在西方学界获得越来越多的认可,而由于学生的文化背景差异,以研究亚洲学生为主的东亚学者们则不完全支持这一观点。

目前负动机研究在在汉语教学上的关注和应用仍然较少。除一些可参考的综述性研究 (刘宏刚, 2009; 赵鸣霄、张立杰, 2015) 外,比较有代表性的是俞玮奇 (2013) 针对来华留学生的负动机因素研究。她总结出针对汉语学习的 10 个主要负动机因素,并根据其负面作用进行了排序,其中最主要的负动机因素为“对汉语学习的负面态度”。这一研究结果与针对英语学习的 9 个负动机因素 (Dörnyei: 2013:141) 在分类和排名上均有较大差异。与此同时,汉字的本体难度仍被许多教师和研究者认为是阻碍汉字学习的主要原因。考虑到汉语与英语两种语言的差异、海外汉语教学与国内汉语作为外语教学的差异以及目前海外汉字教学的实际现状,进行以海外汉语学习者对象的负动机研究,对揭示汉字学习负动机的成因和影响,以及改善教学和课程设置都有着重要意义。

2. 研究问题与研究方法

2.1 研究问题

本文有三个研究问题。

- 1) 海外汉语学习者学习汉字的主要负动机因素有哪些? 这一问题讨论本文与以往研究结果之间的异同,以及汉字学习负动机在不同汉语学习阶段的特点。
- 2) 以“电写”¹为主要输出方式和教学目的的汉语教学对汉字学习负动机有何影响? 这一问题用来揭示“电写”对降低汉字学习负动机的实际作用,以及不同的“电写”处理方式所产生的影响。
- 3) 海外汉语学习者的短期赴华留学经历对汉字学习负动机有哪些影响? 这一问题讨论汉

语社区作为目的语环境的实际作用，并对在海外开设的汉语相关专业中赴华学习的安排提出一些建议。

2.2 研究对象

本次研究自 2012 年 11 月开始，至 2015 年 6 月结束。调查对象为爱尔兰都柏林大学“商学与中国学”专业大学一年级至四年级的本科学生。这些学生主体年龄为 17 至 25 岁不等，其中男生 96 人（47.52%），女生 106 人（52.48%）。除个别国际生外，作为主体的爱尔兰学生以英语和爱尔兰语作为母语（爱尔兰语为必修科目，但日常交际语言为英语）。他们以汉语作为辅修科目，一年级第一学期每周有三学时汉语课程，自一年级第二学期开始每周有六学时的汉语课程，大学三年级赴中国留学一年，期间会进行半年集中汉语学习。

2.3 研究方法

研究采用问卷调查和访谈相结合的方式。调查问卷分为两个部分。第一部分为负动机调查问卷，共 25 个问题，采用李克特 5 点量表²。第二部分为 6 个问题，主要用来收集调查对象的背景信息。研究期间共发出纸质问卷 287 份，在线问卷 74 份。问卷回收 246 份，其中有效问卷 202 份。在每次对调查问卷进行回收分析之后，针对分析的结果拟定或修改采访问题。其后抽取不同背景的研究对象进行访谈，并根据采访对象的背景和研究问题进行二次分析。对于个别未参加问卷调查的访谈对象，访谈过程增加了背景信息收集的内容，并加大了受试主观陈述的比重。研究期间共采访学生 25 名。

3. 调查结果及分析

本文在调查汉字学习的负动机因素时，主要参考了 Dörnyei (2013) 和俞玮奇 (2013) 的负动机因素研究。根据上述研究归纳的主要负动机因素，结合海外汉字学习者的特点，设定了 8 个汉字学习的主要负动机因素。调查结果如下：

表 1 主要的汉字学习负动机因素

因素分类	平均值	标准差	排序	问卷题号
1. 对汉字学习的负面态度	3.272	1.080	7	1-5
2. 对中国人 / 文化的负面态度	3.968	0.974	8	6-7
3. 自信心减退	3.267	1.120	6	8-10

4. 学习者的学习策略	3.202	1.081	5	11-13
5. 教师	3.129	1.040	4	14-16
6. 教材及学习内容	2.927	1.020	3	17-19
7. 拼音的干扰	2.508	1.174	1	20-22
8. 对待同学的态度	2.790	1.098	2	23-25

3.1 最主要的汉字学习负动机因素

从负动机研究的角度来看,汉字的本体难度只是学习者汉字学习负动机因素之一,它不能解释所有学习者汉字学习动机削弱的原因。根据本文的研究,这一因素的负面作用并没有预想的严重。通过对比本研究与以往不同研究中,相同负动机因素的不同排名,可以发现一些问题。

Dörnyei (2013) 在以英语作为二语学习的研究中,归纳了 9 种主要的负动机因素。而俞玮奇 (2013) 针对来华留学生汉语学习动机减退的原因,归纳了 10 个影响因素。以上研究与本研究总结的负动机因素在因素数量、分项设置和各因素排名上均有一定的差异,具体如下表:

表 2 负动机因素分类及排名

排名	Zoltán Dörnyei (2013)	俞玮奇 (2013)	张昶、王红斐 (2015)
1	教师	对汉语学习的负面态度	拼音的干扰
2	学校设施不足	自信心减退	对待同学的态度
3	自信心减退	学校设施不足	教材及学习内容
4	对二语学习的负面态度	教材及学习内容	教师
5	二语学习的强制性	教师	学习者的学习策略
6	正在学习的另一门外语的干扰	考试成绩	自信心减退
7	对所学二语社区的消极态度	对中国人/文化的负面态度	对汉字学习的负面态度
8	对待同学的态度	缺乏内在动机	对中国人/文化的负面态度
9	教材	学习其他课程或语言	
10		对待同学的态度	

观察表 2 中“对二语学习/汉语学习/汉字学习的负面态度”这一因素,在俞玮奇 (2013) 的调查结果中,该项的排名第一。这一结果也符合既定印象,即学习者的厌学情绪及汉语本体难度在削弱学习者的动机上起最主要的作用。但是根据本文的研究结果,“学习汉字的负面态度”在 8 个主要负动机因素中排名第 7,说明汉字的本体难度和学习汉字的难度并不是学习者产生负动机的最主要因素。

根据调查问卷的结果,63.86% 的学习者支持“我认为汉字是汉语最难的部分”,但 83.67%

的学习者也表明“我不会因为知道汉字如此难而选择放弃汉语学习”。由此可见，虽然汉字学习有一定的难度，但这并不是最主要的原因。学习者在选择汉语相关专业前，会对汉语及汉字学习进行信息收集，评估学习难度和收益。因此对这些“有备而来”的学习者们，汉字学习的难度并非完全未知。根据调查，拼音的干扰作用，尤其是初期学习汉字和拼音的难度对比才是最重要的负动机因素。

为了在教学初期缓解学习者的畏难情绪，一些教师会延后汉字教学，以拼音作为暂时的汉语符号替代品进行教学。这种做法会影响初级阶段的汉语学习者建立汉语音形义之间的联系，在未大量接触同音字之前造成汉字无用的假象。学习者容易以拼音为基础建立汉语知识的储备框架，非常不利于汉语学习的延续性。随着学习的深入，从初级到中级的学习者逐渐有 48%、56.25%、81.08% 和 94.11% 表示“我会选择从最开始进行汉字学习”。但是未了解汉语学习全貌的初级阶段学习者，出于短期学习效率及口头表达的需要，会偏重于直观感受更接近母语的拼音学习。因此，教师应当从最初就引入汉字教学，平衡拼音与汉字在初期的学习比重，以保证汉语学习的可持续性。

3.2 汉字学习负动机在不同学习阶段的表现特征

按照学习者所处的不同学习阶段进行分组，通过纵向比较发现中级初级阶段的负动机现象最为显著，每个学习阶段也均有特点，详见下表。

表 3 不同学习阶段的特点

学习阶段	表现突出的因素	表现特征
初级	拼音的干扰	影响最小，增强至中级初级阶段到达峰值，其后回落至接近初始状态
	汉字学习的负面态度	影响最小，之后持续增强
初级中级	学习者的学习策略	缺乏任何汉字学习策略
中级初级	学习者的学习策略	掌握的汉字学习策略有效性和实施方式欠佳
中级及以上	教材及学习内容	汉字阅读材料中的拼音标注干扰阅读，并且不利于接受汉字信息

针对汉字学习的负面态度，为了提高学习者的兴趣，初级阶段的汉语教师常会采取各种方式缓解其畏难情绪。这些方法在一定程度上达到了短期目的，但在使用时要注意尺度的把握。针对阅读材料所含汉字的“2500 常用字覆盖率达 97.97%”（山石，2001）等统计数据可以作为鼓励学生的参考信息，但这并不能与学习者的实际阅读能力直接对等。学习者以字构词、辩词的能力与母语者均有较大差异，这类数据实际很难适用并且容易误导海外汉语学习者。因此这类数据的使用有其积极作用，但不宜过度及反复强调。另外，学习初期强调象形字的造字法和

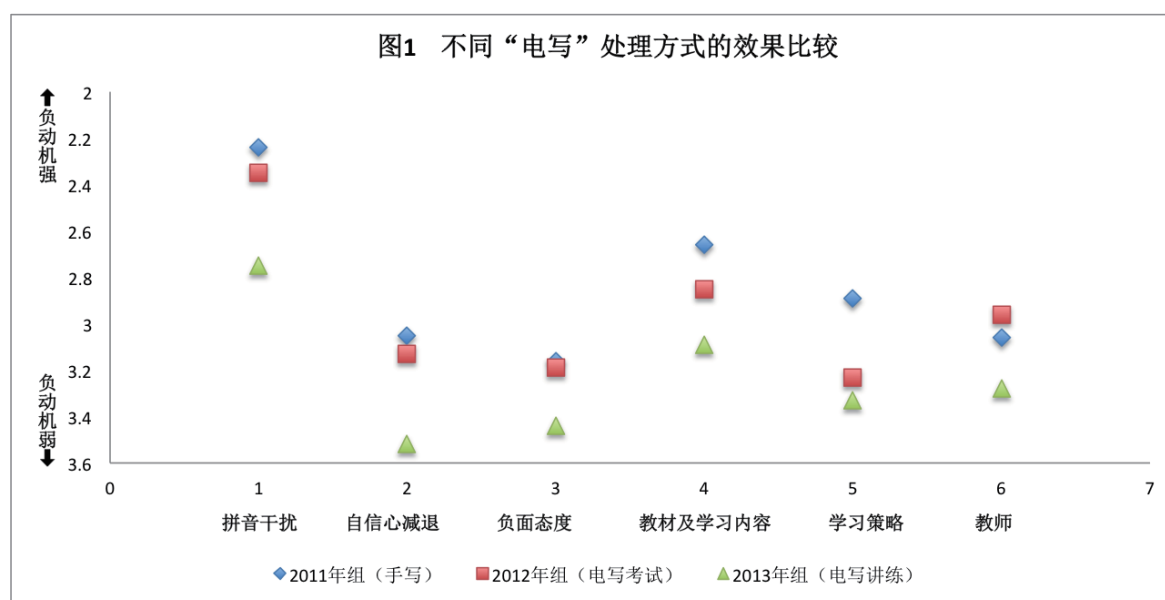
合体字的理据性,可以在直观上降低学习的难度。但针对系统汉语学习的对象,这些讲解不能以偏概全,阻碍学习者了解真实的汉字系统,对汉字学习的难度预估过低。否则在其后的学习阶段会进行反弹,产生逆反心理。除此之外,“汉字学习的负面态度”这一因素初期主要针对学习难度,但自中级初级开始,主要指向汉字的交际性收益。因此,在初级阶段降低学习汉字的畏难情绪,应在汉字学习的重要性和实用性上加强说明,让学习者了解汉字学习与系统学习汉语之间的关系,汉字对书面交际和阅读的必要性,给学生树立一个正确的汉字学习态度。

针对学习者的学习策略,除抄写和制作字卡等传统方式外,辅助汉字学习和记忆的网站以及电脑软件和手机应用的使用也日趋流行。虽然资源众多,但对资源的筛选及实际应用的效果还不甚理想。在学习方法的发现和养成上,教师的介入和指导较少。汉字难学的现状很大程度上不是因为本体难度,而是缺乏方法。对汉语教师而言,想要总结行之有效的办法,必须经常和学习者沟通,积极和耐心地进行交流和收集,推广试验后进行总结,并反哺给学习者。就简单的抄写为例,根据访谈的结果,在排除学习态度的前提下,母语为英语的学习者倾向于将汉字记忆为以笔顺为基础的代码,他们喜欢在前几次大量地进行抄写,形成肌肉记忆,而后少量地抄写作为复现加强这些记忆代码。而母语为非英语,或者有多语种背景的学习者,倾向于以抄写作为一种观察方式,通过少量多次的抄写,以部件义及其组合逻辑记忆汉字。使用这两种方式的学习者在各个成绩段都有。教师布置的抄写作业,可能因为学习者具体实施方式的不同导致效果大相径庭。针对现如今众多的学习资源,要注意师生间的互动和收集,将受到学习者实际好评的资源进行收集和分享。与此同时,资源应以有效性为主导,切勿盲目求新求量,而忽略了现有资源,尤其是一些经典稳定资源的利用。另外,教师应对新资源的使用有一定的监控,从而避免游戏性过强和学习者对辅助工具过早产生依赖。

3.3 “电写”对汉字学习负动机的影响

以“电写”作为学习者书面输出的主要方式,是海外汉语教学的新培养目标。本节从负动机的角度讨论对“电写”的不同处理方式所产生的实际作用。根据学习者接受“电写”训练的不同方式对调查问卷分成三组,2011年组接受的是以手写为输出方式的教学;2012年组是以“电写”为主要的输出方式进行考核,有部分针对性的练习,但没有对应的教学配合;2013年组在教学、练习和考核上均以“电写”为手段和目的。

总体来看,仅以“电写”作为考核方式,或是将汉字输入法软件完全交给学习者自学及应用,对降低汉字学习的负担而言基本没有收益。然而如果有与之相匹配的教学及辅导,“电写”的作用还是比较明显的。



分组后对差异因素进行分析。如图 1 所示,“教材及学习内容”和“学习者的学习策略”两类因素,只要以“电写”作为汉字输出方式,就能有效降低其负面作用。这归功于拼音输入法对结合拼音和汉字两种符号,在书面表达和学习者的记忆方式上统一音形义的被动收效。初级阶段的学习者在使用有拼音标注的教材时,关注点不再着重于拼音,而是将拼音与汉字整体阅读,因为这与他们进行汉字输入时的过程十分类似。与此同时,语言内部要素的联系更加紧密,学习“两种语言”的感受大大削弱,输出方式上也与学习者进行母语输出更加相近。学习者可以更多地将自身学习表音文字的经验方法,应用到学习汉语中,从一定程度上缓解了缺乏汉字学习策略的问题。

“拼音的干扰”、“自信心减退”和“对汉字学习的负面态度”三类因素在引入“电写”后均呈现下降趋势。但是仅以“电写”作为输出和考试手段,收效却并不明显。有了配套的讲练以后,“电写”的优势才被明显地发挥出来。这首先与学习者对汉字键盘输入的适应性有关。拼音输入法对学习者而言,比手写要求更精准的语音,加强了同音近音字词的干扰作用,同时也对字形辨认的能力要求更高。如果教学不做相应的调整,而只将其作为考核方式,并不能够有效减轻学习者的畏难情绪和课业压力,也不能够充分发挥其学习作用。“教师”因素的表现也说明,学习者对传统教学方式下的新型考核方式不太适应,以致对教师产生负面情绪。而有了配套教学后,这类因素的负面作用就被明显削弱了。因此,教师应该调整教学安排,有针对性地训练学习者的“电写”能力。从语音基础阶段开始注意同音近音字词的辨析,帮助学习者建立以词和语块为最小键盘输入单位的习惯,多利用各种平台设置长短兼有的书面交际练习,以新的教学模式应对新的教学目标。

3.4 汉语环境对降低汉字学习负动机的影响

本次研究的另一个关注点,是短期的留学经历对汉字学习负动机的影响。对调查问卷进行分组,“去过中国”有124份,“尚未去过”有78份。问卷结果显示,汉语学习环境并没有在整体上削弱汉字学习的负动机,而是在一些因素上有不同表现。“教师”因素对有过赴华留学经历的学习者所起的负面作用下降,而“对中国人/文化的负面态度”和“对汉字学习的负面态度”两类因素的负面作用则呈现上升趋势。

“教师”因素的负面作用下降,主要有教学方法和教学态度两方面的原因。海外学习者认为国内教师缺乏对作业的反馈,并且对汉字精准度的要求过高。但是在教学方法上,学习者接受的是中式的教学和讲练,配合汉语环境,是相对协调的一套模式,因此评价相对较高。这说明海外汉语教师在教学本土化上需继续努力。本土化的汉语教学,不仅需要海外教学实践,更需要与当地其他语种的教师进行沟通学习。而就教学态度而言,海外汉语教师相对缺乏建设性批评,并且有鼓励过量的问题。海外教师队伍年轻化,有过度关注师生关系的因素,对褒贬方式和比重缺乏把握,易导致学习者长期缺乏批评。除此之外,中方教师因“患不均”思想对整个群体进行鼓励,会消除鼓励的意义,同时也是学习者麻木甚至逆反的诱因。从动机角度来说,透过针对态度而非能力的适当批评,对避免负动机产生有积极作用。教师可尝试采用多次针对不同目标进行鼓励,以达到间接激发整个群体的目的。

“对中国人的负面态度”这一因素的负面作用明显上升。没去过中国的学习者有12.82%表示“我不喜欢一些中国人的行为”,而去过的学习者则上升到了39.52%。通过访谈了解到原因主要有两个。首先是学习者在赴华前对汉语社区的印象和实际感受有一定的落差。学习者留学前从教师和海外华人处获得的信息很难避免受到文化中心主义的影响。其次,这种负面态度并非来源于自身交往,而是旁观中国人内部的交往,以及一些社会不良现象。

“对汉字学习的负面态度”主要来源于对其交际性的质疑。45.16%有赴华留学经历的学习者认为“汉字对于与中国人进行交际不是必要的”,而没有赴华经历的学习者只有28.21%。即使身处中国,除了生存交际外,很多场合的交际学习者可以主要使用英语完成。学习者没有太多实际的书面交际任务,加上翻译引擎的日渐强大,负面态度反而比留学前更为强烈。

上述调查结果应与学习者赴华留学时所处的学习阶段有关。目的语环境对汉字学习负动机的削弱应有其发挥作用的主要阶段,而本研究大部分的调查对象可能已经错过了这一时机,因此导致调查结果并未能充分显示目的语环境的作用。

本文的调查对象赴华留学的时间是本科三年级。经过初级阶段,目的语环境对抑制汉字学习负动机的作用会持续衰弱。学习者对中国的印象开始趋于固定,留学环境的吸引力下降。生存交际没有障碍,被动学习速度和环境的挑战性也逐渐削弱。这时面临汉字学习,三个成绩分组(成绩优异、成绩中等和成绩偏差)的学习者们会有不同的倾向。这一分组并不单指汉语成

绩,而是学习者的整体课业表现。

大部分成绩优异组的学习者不会倾向于在中国就职,他们学习汉语和汉字的动机趋向于绝对的工具型动机。一位高材生这样总结汉字的交际性,“只有与中国人在中国进行交流时(才有用)”。实际感受过中国的工作和生活环境,这类学习者在此阶段学习汉字的动机会被削弱。成绩中等组在面临就职时的压力相对较大,部分会考虑以其汉语语言能力为助力,在中国谋求工作。因此这组学习者此时学习汉字的负动机程度最低。成绩偏差组会根据实际的学习和生活感受对以汉语进行谋职的可能性进行重新评估,评估结果倾向于投入远超回报,学习汉字的积极性受挫,负动机作用增强。

反观初级阶段的学习者,上述诸多消极因素的影响要小得多。根据教学实践来看,凡是在初级阶段有过短期留学经历的学习者,学习热情都相对增长并比较持久。然而过早接触汉语环境会影响汉字感知,不能最大化被动学习效果。因此,从降低汉字学习负动机的角度,安排初级中级阶段的学习者赴华留学是最佳选择。

4. 结语

总结本文的研究结果,汉字本体难度并不是最主要的负动机因素,教师应重视其它因素的作用并采取相应措施。从初级阶段起平衡汉字与拼音教学的比重,客观适度地进行降低畏难情绪的措施。教学的同时也要注重汉字学习方法的传授,合理设计“电写”作为教学、练习和考核的教学目标及教学安排。参考汉语环境的实际作用及作用时间区间,合理安排学习者的留学时间。希望本研究能对海外汉字的教与学带来不一样的视角。

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注释

1 这里的“电写”采取谢天蔚（2011）对“手写”和“电写”的定义，即“手写就是用笔在纸上或者电脑（如在 iPad, 或者 iPhone 等手机）屏幕上书写（hand writing），电写（electronic writing, e-writing）就是在键盘上以语音为基础，键入（keyboarding）文本。”

2 李克特量表（Likert scale）属评分加总式量表，由美国社会心理学家李克特（Rensis Likert）于 1932 年创造。该量表由一组陈述组成，每一陈述有“非常同意”、“同意”、“不一定”、“不同意”、“非常不同意”五种回答，分别记为 5、4、3、2、1，每个被调查者的态度总分就是其对各道题的回答所得分数的加总，这一总分可说明其态度强弱或在这一量表上的不同状态。

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Developing Oral Examination through the Perspectives of Assessment and Guidance on Competence Enhancement

从评核及引导学生重视提升能力角度发展口语测试

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摘要: 口语测试是语文评价中的重要内容,其目的方面是客观地评核学生已有的口语水平,另一方面是引导学生重视适当的口语能力、运用测试结果改进学习活动。然而,经典的口语测试,往往更重视各种口语微技能的考核、评分的客观性,这不易评到学生的实际口语能力,也不易为学生提供适当的反馈信息,从而引导学生改进学习。随着促进学习的评估 (assessment for learning)、作为学习的评估 (assessment as learning) 理念的推行,我们应更重视发挥第二个方面的测试作用。本文围绕如何评核及进一步提升学生在实际生活、工作中所需的口语交际能力问题,讨论口语测试的改进措施。如,建构口语能力框架、关注口语交际策略、采用真实性主题、设计多向口语互动活动、发展综合性口语任务等。文章会结合公开考试、校本测试等实践,具体讨论改进口语测试的思考方向、具体内容与方法。

关键词: 口语能力、测试、改进学习

口语是口头交际时使用的语言,包括作为发言者的说话,与作为听者的聆听。它是对话者运用口头与体态语言等交际手段,相互交流信息、观点和情感的过程。目前国际上的中文评估,无论是作为第二语的中文评估(如美国 AP 中文考试及台湾华语文能力测验),还是作为母语的中文评估(如香港中学文凭试、全港性系统评估及新加坡会考高级华文),都十分重视口语评估。对于言语交际,Canale & Swain(1980)提出语言、社会语言、语篇、策略等能力因素。此后,Bachman(1990)提出言语交际由语言能力、策略能力和心理生理机制三部分组成。语言能力及策略能力是普遍强调的两种能力。口语测试需明确评核这两种能力,并采取措施落实。在促进学习的评估理念下,本文结合公开考试、校本测试中口语经典测试的不足,讨论如何客观地评核实际生活、工作中所需的口语交际能力,并引导学生进一步重视、提升这些能力。

一、建构听说认知与口语互动能力框架

聆听和说话是口语交际的两个重要元素，这是人们普遍认同的。然而，在现实口语情境中，沟通双方需要互为听说，积极互动，共建话语意义，才能达成完整的口语交际目标。为此，除了独立的听与说，我们还要重视口语互动能力。

（一）侧重于从认知角度把握听说能力

我们可以从多方面把握学生的听说能力，如语言学、认知表现等。一般地讲，认知表现具有更广的适用性。即在一种语言范畴中形成某种认知能力，这种能力可迁移运用于其他语言范畴中。然而，我们应认识，受结构主义语言学、标准化考试等影响，过往口语测试偏重从语法、语音、词汇、句子等微技能角度考察学生的表现，强调评分的客观性，欠重视口语交际活动中的认知能力。

在语文教学领域，对于聆听与说话已有部分侧重认知角度的分析。如对于侧重认知的聆听能力，Weir(1993)提出聆听能力包括：直接理解意思、推断理解意思、理解各组成部分意思，以及聆听并作笔记的技能。Wagner(2002)提出：寻找特定的信息与事实、辨识话语之间的关系（如总体观点和支持性的观点）、总结说话者的总体内容、基于文本进行信息推理、推测说话者的态度和语用含义、猜测词义。在中文聆听方面，祝新华(1995)从信息处理角度总结聆听能力，包括辨别语音、重组语言、理解语义、品评观点。此后，结合普通话聆听研究修订成六层次聆听能力（祝新华，2012a）：记述、解释、重整、伸展、评鉴、创意。有关侧重认知的说话能力，张敏(1991)归结为：语言材料与法则的内部储存、言语组织、说话方式的抉择、言语形式的表现、体态语言的应用。王世堪(1998)认为说话过程中的认知因素有：组织内部言语、进行快速的语言编码、运用语音表情达意、语音的控制。上述研究，为我们认识听说活动中的认知能力提供了一定的基础，但从评估角度看，我们仍需进一步分析不同学段学生的口语认知能力结构。特别是在制定评估标准、等级描述时，我们要为厘定不同水平的口语认知能力特征进行很多实证分析（祝新华，2014a）。

（二）重视口语互动能力

对于互动能力，欧洲理事会(Council of Europe)的“欧洲语言参考框架：学习、教学、测试”(Common European Framework of Reference for Languages: Learning, Teaching, Assessment, 简称CEFR)提出了“语文活动与策略”，其中互动型活动与策略有“口语互动”、“面对面互动

(可包括听说读写)、“人机互动沟通”和“互动策略”(Council of Europe, 2001)。美国外语学会(American Council for Teaching of Foreign Languages, 简称 ACTFL)提出的“国家外语学习标准”具体包括:交际(communication)、文化(cultures)、贯通(connections)、比较(comparisons)、社群(communities),简称“5C 标准”。其中,“交际”包括面对面的、书面的和阅读的方式,是外语学习的核心内容(content),而文化、贯通、比较和社群为学习与评估提供语境(context)。在中文课程方面,以 5C 为基础发展起来的美国大学先修课程(Advanced Placement, 简称 AP),评核内容包括交际型(interpersonal)、理解型(interpretive)、表达型(presentational)沟通,其中“交际型沟通”最具互动沟通能力特点。新加坡华文课程检讨中,把华文的教学范畴分为听、说、读、写、互动等部分。它们是一个很好的探索。CEFR、5C 值得我们参考与借鉴,以进一步落实“口语互动”。

对于什么是互动能力,Long(1996)提出被广为引用的概念,它主要指意义协商,即必要时会要求对方澄清或自己作出澄清。Celce-Murcia 等提出的互动能力包括:行动能力(如交换信息、表达意见与感受)、会话能力(如启动或结束对话、提出或转换话题、插话)、非言语的/附属语言的能力(如眼神接触、手势)(Celce-Murcia et al, 1995; Celce-Murcia, 2007),前面两个分别是内容交流、话题互动。Kasper(2006)基于会话分析研究文献提出互动能力包括:理解与产出社交行为;应接话轮;利用言语、体态语等形成行为、话轮,产生认识与感情;修正在听说时出现的问题;通过有序组织、互动行为及符号学资源,共建社会与其他身份;识别及形成活动之间的边界,包括由沟通到缺乏沟通的过渡,以及持续沟通中活动之间的过渡。O'Sullivan 等(2002)认为以交际能力(口语互动)为重点的口语测试可评定以下三方面能力:(1)信息类功能(informational functions):提供个人的信息、表达观点、详细阐述、证明观点、对比、推敲、分段讲述、描述、总结。(2)互动性功能(interactional functions):赞同、反对、修正、询问观点、说服、会谈、协商意义。(3)互动管理(managing interaction):启动、改变、互动。如此细致划分,有利于设计评价内容,从而诊断学生说话中存在的问题。

参考上述研究,同时考虑语文教学要求,祝新华(2012b)提出以下“口语互动能力”因素,现根据实际情况作了微调:

1. 确保理解(语言):检查、表明各方的理解情况(问自己/问对方);被听错或误解时,自己主动澄清或要求对方澄清;纠正不正确/准确的话语。

2. 深化观点(内容):查询各自的观点、寻求信息;赞同某说话人的主张,并作说明;反对某说话人的主张,并作说明;试图说服某人接受自己的观点;修正某人的主张或评论,消除互动障碍。

3. 推进过程(话题):提出话题,引出互动;为持续与加强沟通各尽其力(如让步);适时转换话题/找新话题;做出结论(小结/总结)等。

二、关注口语交际策略

在语言交际中,策略能力是十分重要的一项能力 (Canale & Swain, 1980; Bachman, 1990),是口语交际评估的内容之一,是评估的重要途径 (祝新华, 2014b)。口语策略指运用各种交际策略应付和解决由于外在条件或其他方面能力欠缺所导致的交际困难问题 (Canale & Swain, 1980)。由于口语策略直接影响沟通效果,因此对策略使用情况的评估既是沟通评估的目的,也是评核沟通水平的途径 (祝新华, 2014b)。二语学习研究发现,在语言教学过程中融入策略指导,有助学生学习,只不过学生策略的使用与学习表现的关系是复杂的 (Cohen, 1998; Cohen et al, 1998)。

现行的口语交际能力研究,比较重视两种口语策略。第一,是心理语言学的策略 (psycholinguistic strategies),强调透过感知、计划和执行来解决自我表达的问题。它聚焦于解决由词汇知识引起的自我表达上的问题,是以学习者为中心的个人内部补偿。根据对话者遇到沟通困难时所采取的行为,心理语言学的策略又可分为缩减策略 (reduction strategies) 和成就策略 (achievement strategies) (Færch & Kasper, 1984)。“缩减策略”是采取回避的行为,即放弃原来的部份或全部沟通目标;如为确保正确使用语言而避免运用一些自己不熟悉的句式。“成就策略”是采取达成的行为,即尝试找出替代的方法,以达成原来的沟通目标。如创造一个新的词语 (word coinage)、语际迁移 (interlingual transfer)。第二,是互动的策略 (interactional strategies),指两个对话者不能共享必要的意义结构时,互相尝试达成一致的意义 (Tarone, 1980)。它聚焦于对话者之间的理解,意义协商 (negotiation for meaning) 是互动策略的中心 (Færch & Kasper, 1984)。协商意义的过程让对话者接收可理解的输入、产出可理解的输出,以及得到对自己行为的回馈 (Oliver, 1998)。对于意义协商具体表现,Long (1981) 提出如下内容: (1) 说者“理解检查” (comprehension checks),指说话者检查听话者是否理解自己所说话语,如“你明白吗?”; (2) 听者“确认检查” (confirmation checks),指听话者检查自己是否理解说话者的所说话语,通常透过提高声调、部分或全部重复对方先前的话语来确认; (3) 对话者提出“澄清要求” (clarification requests),指要求对话者澄清先前的话语,如提供新的信息。不论非母语或母语学习者,在口语沟通中,都会运用到协商策略 (Williams et al, 1997)。

上述策略研究有两个特点:第一、更多针对低水平的口语交际,特别是 L2 学习者的口语交际;第二、聚焦于语言现象,特别是用适当词语表达意思,以及对所说的话语的相互理解 (意义协商)。

值得我们关注的是,Bejarano 等 (1997) 对课堂互动的观察研究后提出两类策略:首先是“调适互动策略” (modified-interaction),如:检查理解 (checking for comprehension)、澄清 (clarification)、寻求帮助 (appealing for assistance)、提供协助 (giving assistance)、修正 (repairing)。其次是

“社交互动策略”(social-interaction), 包括:(1) 详述 (elaborating), 通过举例等扩展话语单位;(2) 促进对话展开 (facilitating flow of conversation), 使用起促进作用的话语, 鼓励对话持续下去;(3) 回应 (responding), 对同组成员提出的与内容有关的问题作出回应, 回应可以是表达同意或不同意;(4) 寻求信息或意见 (seeking information or an opinion), 询问对话者的意见, 或寻求相关或更详细的信息;(5) 改述 (paraphrasing), 以自己的话语确认或澄清先前说话者所说的话。

Bejarano 等的研究在以下两个方面是值得肯定的: 第一, 对二语学习者较高互动水平的评核 (作了改进的课堂互动)。第二, “调适互动策略”与语言运用相关, 非母语学习者面对语言欠缺时, 这些策略有助于意义协商。“社交互动策略”则不受语言限制, 有助学生投入连贯的、有组织的互动过程, 从而较为有效地互动, 成为更好的沟通者, 这对于过往太关注于语言研究是一个很好的补充。同时, 我们认为, 可增补新的要求, 如主动说观点、提出不同观点等。为此, 强调发展如下“拓展性策略”。“拓展性策略”(elaborative strategies) 从认知能力角度看, 强调评价、提出个人观点 (创意) 等, 其目的是在追求相互真切理解的基础上, 主动交际, 深化内容, 并富创意。

根据口语测试与问卷结果的定量分析发现, 口语互动策略包括以下九种 (如用于评估, 则用前七种):

1. 自己主动说想法。在适当的时候大胆地、主动说出自己的想法。例如:

- 与其他人沟通时, 一有想法就会尽快说出来。
- 在别人还没有说出想法时, 就会大胆地说出自己的想法。
- 当大家都不说话时, 会主动找话说, 以打破冷场。

2. 邀请别人说想法。在适当的时候要求或鼓励别人说想法, 以令交谈更流畅。例如:

- 当自己没有想法时, 会邀请别人说一说。
- 在想了解别人的想法时, 会邀请别人说一说。
- 当大家都不说话时, 会邀请某人说一说, 以打破冷场。

3. 表态赞同或反对。明确表示自己赞同或反对别人的说法, 需要时会说明理由。

例如:

● 当自己赞同别人的说法时, 会通过点头或话语来明确表示, 如“我同意你的说法”、“你说得对”等等。

● 当自己反对别人的说法时, 会通过摇头或话语来明确表示, 如“我不同意你的说法”、“可是我觉得……”。

- 有需要时, 会说明赞同或反对的理由。如“我同意 / 不同意你的说法, 因为……”。

4. 修正错误。对于别人的错误 (包括观点与语言表达), 学生会作出修正, 或要求别人修正。例如:

- 对于别人说错的地方, 会加以更正。如“你这样说不对, 应该是……”
- 如有需要, 在更正别人说错的地方时, 会说明理由。

- 如果发现别人说错了，会要求他自己改正。
 - 如果对方不愿意改正错误，会请他说出理由。
5. 澄清与补充自己或别人的说法。在适当的时候，会澄清与补充自己或他人的不足。例如：

如：

- 在说话后，如果别人露出疑惑的表情，会加以补充或说明。
 - 如果别人没听明白自己说什么，会改变自己的语速、重音，或停顿下来，然后再讲一次。
 - 如果发现别人说得不全面，会加以补充或说明。
 - 如果别人误解了自己的意思，会作出澄清，例如：“我不是这个意思，我的意思是……”。
 - 如果别人提出疑问，会加以补充或说明。
6. 要求别人澄清与补充。在适当的时候，学生会要求他人作出补充或说明。例如：
- 当没听清楚别人说什么时，会要求他再说一次。
 - 当没听清楚别人说什么时，会要求他说慢一点。
 - 如果不明白别人说什么，会要求他补充或说明。如“我不太明白你的意思，你可以说清楚一点 / 举例说明一下吗？”。

7. 善用体态。与别人沟通时，会使用体态语来帮助自己表达意思。

- 在说话时，会与别人保持眼神接触。
- 在说话时，会用手势来帮助自己表达意思。
- 在说话时，会用表情来帮助自己表达意思。
- 在说话时，会用身体姿势来帮助自己表达意思。

在教学中，可引导学生掌握如下两种策略，以提高学生的口语能力：

8. 管理话题。话题管理包括转换话题 / 提出新话题、纠正偏离主题的话题、作出全面总结及结论等。例如：

- 转换话题：在讨论过程中，大家争论不休或无话可说，会提出新的讨论角度或内容。如“刚才我们谈了 X，接下来我建议讨论 Y”。

- 紧扣话题：当大家的讨论偏离了方向时，会带领大家回到原来的话题。如“我们今天讨论的重点是 X，我们还是回到这主题吧”。

- 全面总结：在讨论了一段时间后，会尝试总结大家的各种看法。如“刚才大家提出了不同的看法，A 和 B 认为……，我和 C 则认为……”。

- 作出结论：会根据大家的讨论作出决定。如“对于是否要取消期中考试，大家提出了不同的意见，但多数人赞成取消，我会作出结论：建议学校取消期中考试”。

9. 善用语言。与别人沟通时，会注意自己的发音、语调、语气和词句是否正确或恰当。

- 在说话时，会注意发音是否正确。
- 在说话时，会注意说话的语调、语气是否恰当。

- 在说话时，会用适当的词句清楚地表达自己的意思。

上述策略，总结起来说是通过自己主动说、要求他人说的形式推动互动沟通，对他人的意见有明确的态度（赞同或反对）并说明理由，要求他人或自己修正、澄清与补充，适当使用身体语言等。最近香港有专门的口语策略教学实验，学生参与积极性高，在观点互动、推进方面有明显的进步（祝新华等，2015）

三、采用生活化的沟通话题

传统的口语评估重视发音（音量、重音、语调、语气）、表达准确性（语法、用词及说话方式）、流利程度（语速、长短句搭配）等语言形式。这是重要的，但这些内容不能长期孤立地学习。我们要引导学生在交际情境下完成语言互动任务，或在有意义的语境中掌握这些技能。

在促进学习的评估的理念下，为了有效地评核真实的交际能力，应注意采用生活化话题。如使用日常话题、新闻话题、同学关心的热点问题等进行评核。关于日常话题，包括个人或家庭情况、学习、学校、体育活动、业余爱好、书籍、电影、交通、购物、交友等。

新加坡初级华文口试中常会使用会话题型，与完成生活、学习中的具体交际任务有关。下例在医院发生的事情是学生在生活中会遇到的情境。

例1 主考员根据以下问题提问，跟学生进行对话。(1)图中有两个孩子在病房里玩耍，他们这么做，对不对？为什么？(2)图中的病人能够安静地休息吗？为什么？(3)照你看，这家医院对病人的照顾，好不好？为什么你会这么认为？

香港全港性系统评估(The Territory-wide System Assessment, 简称 TSA)小六、中三考察的“个人短讲”与“小组讨论”的主题直接与生活相关，重视语言交际功能。如：

例2 请你把一次与家人庆祝新年的经过和感受报告出来。(2012年小六 TSA 个人短讲题目)

例3 有学校推行“学兄学姊”计划，所有中三同学都必须参与，以帮助中一新生适应新环境，解决学业问题。身为学兄学姊，你同意这项计划吗？为甚么？(2014年中三 TSA 小组讨论题目)

四、设计双向或多向互动活动

以往的说话评估以单向沟通为主，多为独白，如朗读短文、口头报告、看图说故事、个人短讲等。我们应重视口语的交际性特点，重视对互动进行考察。双向或多向的口语任务可更好地评核学生的实际沟通效果，预测学生日后语言水平，同时，引导学习提升实际能力。以下是

一些可参考的形式(祝新华, 2014c)。

1. 会话 (interview)。指主考与考生之间面对面的谈话。新加坡近年的华文口语评估改革,体现了口语交际性发展趋势(祝新华, 出版中)。如 PSLE 进行了 2006 年的过渡性修订和 2010 年的正式修订,其中一个变化是“看图说话”之后添加“会话”项目。主考员提出一个和“看图说话”有关的话题,与应试者进行一段对话,考核考生的口语交际能力(新加坡教育部课程规划署, 2006; 新加坡教育部, 2008)。

同样的,新加坡 O-level 华文考试在 2006 年进行过渡性修订、2014 年完成修订。测试的重点由独立的听说转移至交际性的口语考核。将“新闻话题”和“日常话题”合并为“对话”。主考员提出话题,并与考生进行对话,考核口语交际能力。考生应对话题说出自己的看法、提出适当的论据;语言准确、顺畅有条理,应对得当。

以上都是主考者与应试者间面对面进行的考试,容易评核学生的实际口语能力。美国大学先修课程(AP)(口语)在计算机上的“对话”题型,要求学生参与对话并能做出正确的回应,以考核学生基本的口语交际能力。以下是一个实例。

例 4 简短对话(The College Board, 2009)。题目说明:你将同李兰有一个简短对话。李兰是一个新闻记者,希望了解你学习中文的一些经验:(1)我知道你在学中文。在中文课上,你们都做些什么?(20 秒)(2)中文的听、说、读、写,你觉得哪方面最难?为什么?(3)学习中文的时候,你喜欢自己一个人练习呢,还是跟同学们一起练习?为什么?(4)中文当中有很多成语和俗语。你最喜欢的是哪一个?请解释一下是什么意思。(5)请你谈谈,中文和英文有什么不同。(6)如果我是刚开始学中文的学生,请你给我提几个建议,怎么学好中文。

2. 信息差 (information gap) 任务。通常在完成交互性任务时,缺少一些信息(信息差),应试者通过询问、聆听获取这些信息,最后完成交流信息的交际任务。信息差活动的特点是:(1)学生的注意力集中在信息上,而不是语言形式上;(2)交流信息的目的在于达成任务目标(祝新华, 2014c)。

例 5 信息差任务。假设,你从姑姑那里得到消息,你的表弟要来广州,请你去火车站接他。你从来没有见过你的表弟。你可以向主考员询问有关细节,如车次、表弟的相貌等,获得足够的信息,以便完成去火车站接人的任务。最后,请你说明你将如何接表弟回来(程可拉、刘津开, 2003: 92-93, 略有调整)。

3. 角色扮演 (role play)。主考官提供给应试者一个大致情境,应试者需要假设自己是某一特定事件中的某一角色,与其他角色的扮演者进行交流。

例 6 角色扮演。学习完课文《皇帝的新装》之后,全班成为若干小组,每组分别派同学扮演皇帝、裁缝、说真话的小孩,另派一位同学进行旁白讲述。

4. 小组讨论 (group discussion)。提供一组话题,让考生选择自己感兴趣的话题,组成 4-6 人的小组进行讨论。这种讨论形式不期待考生得出一致的结论,重点观察讨论过程中个人的表现。考生在讨论中进行对话、提问、表达意见、连续讲话,首先要求有思想或看法,同时要把语言

组织得合乎逻辑，还要不停顿地表达出来，可以反映出在较单一的情景中更高级的口语能力。

例 7 香港 TSA 小学六年级小组讨论考试，以三人为一组，主考先与学生闲谈两分钟，再根据话题，引导学生交谈两分钟。学生须依据话题，与别人交谈。“小组讨论”旨在评估学生与别人讨论和运用词语两方面的能力，话题主要是与学生的日常生活相关的（香港考试及评核局，2009）。

5. 辩论 (debate)。综合运用陈述、对话、演讲、讨论、辩驳等多种形式，甚至还可以利用现场听众的回应，来进行交流。辩论题能较好地考查考生的思辨和语言表达等实际能力。

五、发展综合性口语任务

语文综合测试以阅读、聆听为输入语言，以说话或写作为输出语言，要求学生在一个语言任务中同时使用两种或以上的听说读写技能，以评核其解决实际语言问题的能力。其中，“综合说话测试”是先聆听、阅读后说话的测试，如美国 TOEFL 的“聆听—说话”、“阅读—说话”测试；TOEFL iBT 的“聆听—阅读—说话”测试。

1. 先听后说。在实际生活中，聆听后往往要作回应。具体地说，学生听别人说话、朗读或者对话后，按要求口头回答问题。从评估角度看，这不是单纯的聆听或说话测试，但的确可体现学生的实际口语能力。如中国汉语水平考试 (HSK[高级]) 口语试卷第一部分是听后回答问题：首先听一段讲话或对话的录音，可边听边做笔记，听完再整理一下笔记，最后根据题目要求口头回答问题。

例 8 听后口答 (中国汉语水平考试高级口语样题)

(1) 聆听语料

女 1: 你好。我是从西安来的。这次女儿考上北京交通大学，我就是来送她报到的。

女 2: 我有两个问题比较好奇，第一个她上大学，你为什么要送她啊？

女 1: 也就是想她还是一个小孩，第一次出门吧。

女 2: 是不是她们班同学都有家长送啊？

女 1: 是的，一个孩子至少由两个家长送来。(以后略)

(2) 问题

对父母亲自送孩子去大学报到，你有什么看法？谈谈你的理由。

2. 先听读后讨论。读后或听读后讨论需要应试者将输入的信息进行转换加工，成为口头表达的材料。它难度较大，但综合性很强，可以体现学生理解、讨论、表达等能力。这种方式一方面能让学生展现实际能力，体现了真实性评估理念。另一方面，可避免学生呆读死记，引向活学活用的学习模式，体现促进学习的评估理念。

例 9 读后讨论 (香港中学文凭考试中文科“口语沟通”样本试题)。5 人为一组，10 分钟

准备,以理解所提供材料。全组讨论时间为15分钟,每位考生设有1分钟首轮发言时间。题目:有人认为,随着时代变迁,“街市”环境卫生欠佳,经营方式不合时宜,应该淘汰;也有人认为,“街市”是传统文化的一部分,有必要保留。你们对这两种意见有什么看法。附设两段阅读材料,一段有关“街市”值得保留的原因,一段有关超级市场受欢迎的原因。

尽管学界大力提倡培养学生的口语交际能力,但对学生口语交际能力的评估通常都是采取听与说孤立进行(祝新华,2014c)。此外,有的口语互动评估未配合学生发展的需要,如只教学和考核学生的交际礼仪,如招呼客人、接听电话等,而实际上交际礼仪属于最基本的互动应对能力,而且学生通常已有一定的基础(丁炜,2002;李倩,2003)。这些情况是有待进一步克服的。

完成综合性口语任务,应试者需要在理解别人口头话语意思、书面文本意义的基础上,通过口头语表达自己的理解或观点。避免学生呆读死记,引导学生综合性的,引导学习提升实际口语能力。以综合性写作任务为例,它可较好地保证写作测试的公平性、效度(避免部分学生写作时欠缺相应的背景信息)、较好地体现真实评估的特点。为此,综合写作测试在国际公开考试越来越受重视(祝新华,2015)。

从整个口语交际测试而讲,为降低侧重语言学元素的测试、聆听与说话孤立测试的不足,我们要更多地采用真实性、综合性的评估,重视评估听说中的认知能力、口语互动能力、策略能力。除了相互真切理解对话所表达的意义外,更要重视评估交际内容,如深化内容,并富有创意。

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Towards the Grading of Chinese Characters and Vocabularies: A Study based on Applied Corpus of TCFL.

基于对外汉语应用语料库之汉字与词汇分级研究

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摘 要：对外汉语教材之汉字与词汇依据汉语实际使用情境分级，有助于学生的学习。现有对外汉语教材的汉字与词汇分级大都是编著者以专家的观点分级，难以反应语文实际的使用情境。语料库收录各类语料可反应语文的实际使用情境，然而目前并无应用汉语语料库进行汉字与词汇分级之研究，因此，本研究目的为应用汉语语料库之汉字与词汇分级之探讨。本研究使用国家教育研究院所建置之「华语文语料库」，采用定性与定量分析方法，运用计算语言学方法进行分析，接着，采用书签标准设置法参考分析结果进行汉字与词汇分级，并对照现有的汉字与词汇表，例如华语八千词、新汉语水平考试 5,000 词，以调整分级标准的内容；最后，将其结果再请专家审核与验证。

关键词：华语文语料库、计算语言学、汉字与词汇分级、书签标准设置法

1. 研究动机

由于全球华人经济的崛起，汉语在国际间成为优势的语言之一，进而带动汉语学习的热潮 (Chen 等, 2013)。语言与文字的学习对于汉语学习者而言是不可分割的，汉字、词汇是汉语学习的基础，若缺乏汉字、词汇的基础，学习者将无法阅读与更进一步的学习。石定果 (1997) 亦提到以汉语为二语的学习者，汉字的掌握程度是与其汉语能力的高低相关，汉字与语音、词汇、语法等能力结合才组成了汉语的言语能力。对外汉语教材之汉字与词汇依据汉语实际使用情境分级，有助于学生的学习，故汉字与词汇教学的量与分级规范一直是受到重视的课题。然而，现有对外汉语教材的汉字与词汇分级大都是编著者以专家的观点分级，难于反应语文实际

的使用情境，反观语料库则收录各类语料，忠实反应语文的实际使用情境。台湾师范大学国语中心与国家华语测验推动工作委员会（华测会）在 2003 年合作研订词汇分级，编制〈华语八千词〉，且在 2013 年推出新版，其词汇来源包括中央研究院（中研院）核心词汇、通用词汇、华语文能力测验（TOP）词汇表、以及汉语水平词汇（HSK）表等（曾文璇，2014）。虽然〈华语八千词〉收录了中研院平衡语料库与现代汉语对话语音语料库衍生之词汇表，但此语料库主要目的为语言学研究使用，且收录语料之年份为 1981 年到 2007 年间，距今已有一段时日。另外，目前华测会只研发了词表，并未编制字表。因此，国家教育研究院（国教院）于 2013 年开始建置汉语应用语料库与标准体系，目标除建置汉语应用语料库之外，并以语料库为基础建置汉字、词汇、语法、篇章之分级，以提供未来对外汉语教学在正体字课程之规划与教材编制之参考。因此，本研究使用国教院汉语语料库进行汉字与词汇之分级。

2. 研究目的

本研究目的为应用汉语语料库之汉字与词汇分级之探讨，使用国教院所建置之正体字应用语料库，运用计算语言学方法进行分析与分级，再根据本研究建置之六级能力指标，由初等、中等、高等，划分一级、二级、三级、四级、五级、六级等，所制定汉字与词汇分级内容之初探，研究成果将能提供对外汉语教学教材编排与课程设计之参考。

3. 字、词挑选来源

在国际汉语教学中对于学习汉语者应该先学哪些汉字，相关研究甚少。在使用简化字方面有中国大陆汉语水平考试汉字分级之《汉语水平词汇与汉字等级大纲》，其收字分为 4 个级别，甲级字 800 个，乙级字 804 个，丙级字 601 个，丁级字 700 个，共收汉字 2,905 个。反观正体字目前虽有相关字量的研究，例如，张莉萍（2008）对汉语学习者学习的字量提出 A2（基础级）500 字，B1（初等考试）900 字，B2（中等考试）1,800 字，C1（高等考试）3,000 字，但是并无明确的分级字表。

在词方面，不论在正体字与简化字目前都已有明确词的分级与词表，如正体字〈华语八千词〉，对照 CEFR 研订 5 个等级的词汇量，A1（入门级）500 词、A2（基础级）498 词、B1（进阶级）1,503 词、B2（高阶级）2,496 词、C1（流利级）2,992 词，共 7,989 词（曾文璇，2014）。其所收词汇最主要是以教材的情境词为主，此外，收录中研院核心词汇、通用词汇，以及中国大陆国家对外汉办的汉语水平词汇等级大纲，这些词表虽有收纳语料库的词汇，但参考之语料词汇距今已超过 10 年以上，并非是目前实际使用情境语料的词汇。在简化字方

面,新汉语水平词汇(新 HSK)规划六个等级,一级 150 词、二级 300 词、三级 600 词、四级 1,200 词、五级 2,500 词、六级 3,000 词,其词汇收录是在旧 HSK 的词汇表基础上进行了调整。旧 HSK 于 1984 年开始研制,1991 年开始推广,以专家经验判定收词,虽然新 HSK 将旧 HSK 的等级依学习者可达到的能力从四级调整为六级,并将词汇数由 8,821 词删减调整为 5,000 词,但收词来源并非以具客观性的语料库为基础。

本研究收录字、词的来源是以真实情境材料的汉语语料库为主,字、词的选用以频率为基础。部分人士认为频率高低多取决于语料库的文本,会有部分语料偏多的态势(张莉萍、陈凤仪,2005),为顾虑部分语料偏多的趋势,本研究在语料库的建置上,广泛收集各项近十年的书面语、口语、与汉语文教材等相关语料,使取材达到平衡,截至目前已收集 5,600 万字,表一是选字、词之语料库来源列表如下。

表一 汉语文应用语料之语料收录来源

来源	类别	内容说明
国教院电子报	书面语	每期内容包含研究及研习分享。
各类出版之文本	书面语	涵盖近十年之纪实报导、科普、慈善关怀、心灵启发、教育与亲子、人文与艺术、生活环保、医疗健康等多元文章类型。
国教院与世界华语文教育学会出版品	汉语文教材	初、中、高各级汉语教材
侨委会出版之汉语文教材	汉语文教材	初、中、高各级汉语教材
新版实用视听汉语	汉语文教材	初、中、高各级汉语教材
影音媒体	口语	近十年之纪实报导、科普、慈善关怀、心灵启发、教育与亲子、人文与艺术、生活环保、医疗健康、品德教育、性别平等、社会科学等主题之内容。

4. 研究方法

本研究目的为使用国教院所建置之正体字「华语文语料库」,运用计算语言学方法进行分析与分级,再根据本研究建置之六级能力指标,由初等、中等、高等,划分一级、二级、三级、四级、五级、六级等,制定汉字与词汇分级内容。语言教学为了提高实际效能,需结合专家与现代的工具,量化分析是现代社会科学重要分析数据的方法,语言教学研究也需考虑量化分析,应当采用更精确的方法,以便对语言教学所涉及的因素进行量化分析。在进行语言能力的量化分析时,应当结合定性分析与定量分析。因此,本研究以国教院的汉语应用语料库为本,并结合书签标准设置法(the Bookmark standard-setting method)(Lewis, Miztel & Green, 1996)进行汉字、词汇分级。本研究方法为定性与定量分析的结合,研究步骤是先透过量化分析,藉

由频率、构词率、权重、累计频率、篇章分布率等统计分析，并同时对照相关的汉语字表、词表，进行汉字、词汇的分级排序。最后，再进行书签标准设置法。本研究的实施步骤详细叙述如下：

4.1 字、词的统计分析

量化分析方面，统计频率、构词率、权重、累计频率、篇章分布率、覆盖率等作为计算汉字与词汇的分级排序依据，其进行内容如下：

4.1.1 字、词频率

字频是个别汉字出现于语料库中之次数，词频则是每一个单词出现之次数，字、词频率是制订字、词表的主要依据。

4.1.2 汉字构词率

汉字学习的三个目标为掌握收字多、字义明显的部首；掌握组字力强的部件；掌握构词率高的单字（黄沛荣，2001），显见字的构词率在进行字的分级方面是很重要的参考依据，因此本研究采用构词率为汉字分级的其中一个统计数据，构词率的计算方式为凡一个字能构成一个单音节词，计构词率为 1，构成一个双音节词，计构词率为 1/2，构成一个三音节词计构词率为 1/3，构成一个四音节词计构词率为 1/4，构成一个五音节词计构词率为 1/5，构成一个六音节词计构词率为 1/6（张凯，1997），所以构词率依下面公式计算：

构词率 = 单字构词数 + 双字构词数 / 2 + 三字构词数 / 3 + 四字构词数 / 4 + 五字构词数 / 5 + 六字构词数 / 6

4.1.3 字、词权重：

为了解语料库的词汇在汉语教材中出现的权重，单独汉字与词的总值为分级的参数之一。总值的计算是加权值 + 相对频率值（张莉萍、陈凤仪，2005）。加权值的给定是对于教材级数的初级、中级、高级，分别指派 4、3、2 的值。相对频率是单字、词在各级教材语料库出现的次数除以单字、词出现于全级教材的总数。

4.1.4 字、词汇的分级：

许多学者在进行词汇分级时，都会采用使用频率和累计频率值作为参考，如叶德明（1995）收集教材的词汇，依词汇在教材中的出现使用频率排序，约取前 8,000 笔词汇，再经由专家学者审核，订定由易至难的五个等级。郑昭明（1997）也对常用字（4,583 字）和常用词（44,908 词），依其累积频率总次数的 50%、70%、95%、99%、100%，分为 5 个不同程度的等级。张

郁雯（2003）依照词的累计频率值设立为 75%、85%、90%、95% 作为分界点，将词汇分 5 个等级，经由张莉萍、陈凤仪（2005）及张莉萍（2012）的研究验证，此为较客观的参考依据。因此本研究采用张郁雯（2003）所提出的词汇的累计频率分级法，作为单字、词在各级教材与所有教材的语料库的累计频率值分级之依据。

4.1.5 篇章分布率

选词时需要考虑的另一个重要的统计资料是篇章分布率。有些词出现频率很高，但可能只集中在一篇特定的文章，或一个特定的专业领域中。另一些词则在各个领域出现频率都很高。显然后者应给予优先考虑。因此篇章分布率为本研究字、词分级的统计资料参考之一。篇章分布率的计算公式如下：

$$H(X) = -\sum_{i=1}^n p(x_i) \log(p(x_i))$$

由于字、词在文档中的出现都是散列的数值，在计算熵时使用的频率采用在各个篇章中的频率（郭志立，2003）。

4.1.6 相关字、词表之对照：

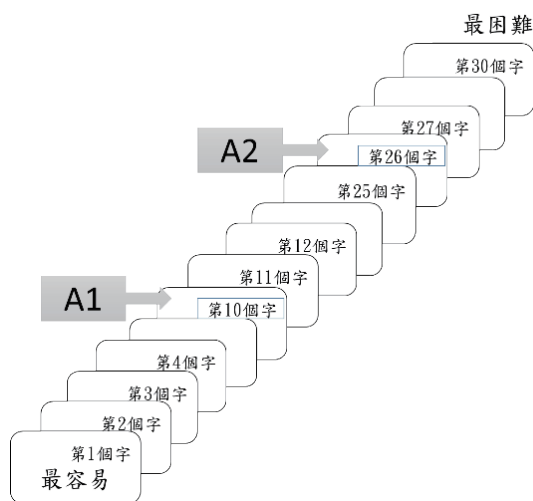
在字、词表的制订中，必须运用定性和定量的结合，进行必要的调整，因此需参考现有国内、外汉语教学的字、词表，对常用字、词进行一定范围的专家检视与调整，其目的为增补一定数量的常用词，也需扩充这些常用词的字种（王敏、王晓明，2012）。基于此，本研究参考的字、词表如下列表二。

表二 相关参考字、词表

	汉字、词表名称	字词量
字表	汉语八千词	2,555 字
	新 HSK	2,716 字
	台湾教育部〈常用国字标准字体表〉	4,808 字
	法国学校中文教学大纲所公布的对外汉语字表	805 字
	日本中国语教育学会所制定之《中国语初级阶段学习指导大纲》	1,006 字
	新加坡〈小学华文字表〉	1,826 字
词表	汉语八千词	7,989 词
	新 HSK	5,000 词
	汉语教学基础词库	2,080 词

4.2 书签标准设置法 (the Bookmark standard-setting method)

标准设置是建立测验衡量分数区别的过程,即是适当依循订定好的、合理的规则或程序,达成特定一个数字以辨别两种或两种以上的表现等,因此标准设置即是一种标记(Cizek, 2006)。标准设置是常用于判断测验分数的方式,这个分数能支持受试者知识、能力、精熟度或预备度等标准的决定(Tannenbaum & Wylie, 2008)。常用标准设置方法包括安戈夫法(Angoff)和书签标准设置法(the Bookmark standard-setting method)。本研究运用书签标准设置法进行汉字与词汇分级,此法的训练流程与安戈夫法(Angoff)相似,但作法较为简单易懂(林宜臻, 2010; 蓝佩君、许嘉凌、陈柏熹, 2014)。书签标准设置法是结合定性与定量分析。先由专家审核,以本研究建置之能力指针所制定等级,将统计出汉字与词汇的频率、构词率、权重、累计频率、篇章分布率及参考相关字、词表列出汉字与词汇的分级排序,如图一;最后,将其结果再请专家审核与验证。



图一 书签标准设置法示意图

书签标准设置法的步骤,每个等级分为三阶段,在进行专家审议之前,本研究小组先以语料库汉字、词汇分级的统计信息,与本计划能力指标,提供与会专家各个等级置入卷标的区间的依据。接着,进行第一阶段审议,请与会专家依据本计划能力指标,审核每个区间的汉字、词汇,完成第一阶段判断后,请与会专家讨论分享每一级的判断依据,待与会专家皆陈述意见后,再进行第二阶段的判断,针对有差异性的判断提至第二阶段讨论,请专家说明或讨论书签放置的理由,最后,进行第三阶段的判断,针对有差异性的判断提至第三阶段讨论,达成该等级最终内容的定稿。据此,每个等级的汉字、词汇都将经过三阶段的专家校阅、讨论及调整。

5. 研究成果

本研究还在进行中,但经过前述选字、词排序原则等定性与定量初步处理,目前结果已完成一级约有 400 个汉字与对应词汇,二级约有 500 个汉字与对应词汇,三级约有 900 个汉字与对应词汇,四级约有 1,800 个汉字与对应词汇,五级约有 2,500 个汉字与对应词汇,六级约有 3,000 个汉字与对应词汇。以一级为例,其字表与对应词汇范例如表三。

表三 一级字表的前 100 个汉字与其对应词汇范列

字表	对应词汇
的我一了是不你有好们	的我一了是不有好我们
在小要来生个去这天人	在小要来学生个去这个人
大看上很到太他先子王	大看上很太他先生儿子国王
以家可吗也都什儿多没	可以家吗都也什么儿子多没有
吃学方那时下立想起爸	吃学地方那个时下立刻想起来爸爸
点真呢年欢谢中喜美老	三点真呢年纪喜欢谢谢中喜欢美丽老师
打十明请把吧对地和为	打十明天请把吧对地方和为什么
再做西给后快着三车平	再做东西给后来快着三车平常
高心候能东书些两出又	高兴小心时候能东西书这些两出来又
走见长用买怎文玩水五	走看见长用买怎么中文玩水五

本研究的字、词特色:

(1) 涵盖汉语学习者和母语者在真实情境的使用字与词汇:

依据收录真实情境材料的汉语语料库进行汉字、词汇分级与编制,可兼顾汉语学习者与母语使用者在真实情境中常用的正体汉字与词汇。以语料库收录汉字与词汇具有科学性、客观性、全面性、真实性,不会受限于以往选字与词方式的片面性与主观性。

(2) 涵盖书面语、汉语文教材、口语用语:

本研究语料库收录范围广,涵盖书面语、汉语教材、口语,避免了一般纯以汉语教材,或者以书面语语料库选词的片面性,因此本研究的汉字与词汇收录较具全面性及代表性。

(3) 涵盖汉字与词汇的广度与深度

汉字与词汇的语用范例应当呈现实际生活中使用的例句与表达方式,并非只是呈现教材中模拟的句型。透过本研究建置的语料库进行汉字与词汇的分级内容,除了呈现真实情境下使用的汉字与词汇,并能针对其分级提供现代语用方式的真实范例句型,兼顾汉字与词汇分级延伸

的广度与深度。

6. 结论

本研究为以汉语应用语料库为基础而建置汉字与词汇分级之初探,呈现主要研究方法、步骤与初步研究结果。现今全球学习汉语人数不断增加,结合现代科技提升汉语教学质量,已为必然的趋势。随着科学技术和语料库语言学的快速发展,已可实现大规模语料的收集、整理和标注加工,针对语料库呈现的自然语言现象应用于语言教学,则是现今汉语教学重要的课题。因此,本研究运用汉语语料库协助建置适用于汉语教学、学习、测验的汉字与词汇分级标准内容,藉由真实语料库的验证,并经由严谨的定性与定量分析,汉语教材的分级标准才能符合语文实际使用的情境,进而教学能力认证考试及汉语能力测验才有实证的依据。此外,经由参考语料库所建置之汉字与词汇,未来可运用在多元的汉语教学与学习之工具开发,例如编撰语文学习教材、学习者辞典、易混淆字词表、汉字拼字、易读性自动分级、汉语写作评分、搭配词检索、汉语例句及试题自动产生等教学辅助工具,及应用在汉英双语检索及翻译辅助等面向。

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|第三部分|

Part 3

The Importance of Translation Exercises of the Chinese Teaching Materials to Non-Chinese Learners in Higher Educational Institutes for Mastering the Characteristics of Chinese Vocabulary, Syntax and Word Order

汉语教材的笔译练习对大专非华裔生掌握汉语词汇、句法特点与语序的重要性

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摘 要：本文提出的汉语教材的编写理念，应涵盖词汇、句子和语篇的翻译练习。非华裔生可以通过笔译练习，对比其母语与汉语的语言规则的异同，进而了解建立汉语的词汇和句子应遵循的语言规则，以及这些语言规则如何帮助他们更好地掌握汉语的构词和造句能力。在编制汉语教材时也应该考量不同区域的文化、语言圈的学习者对汉语的学习的认知差异，协助学习者使用母语的负迁移来加强他们掌握汉语的习得方法。语言对比分析和翻译策略是两个重要的学习策略，因此汉语教材的笔译练习应该采用这两种方法传达汉语的知识、语法、构词法和语序的特点，使非华裔的学习者能够通过笔译的实践提升他们的汉语水平能力。

关键词：语言规则、母语迁移、翻译策略、对比分析、笔译

引言

马来西亚一个多元文化的国家，学习汉语的非华裔生从小就生长在一个多元多语的国家，学习者除了要掌握自身的母语以外，在受教育的过程中，还得学习国语马来语、国际语言英语，然后才可以选择其他的外语作为选修的科目来学习。在这样的语言环境之下学习汉语，存在的主要问题是要如何让二语或外语的汉语学习者在拥有了一套马来语和英语的语言系统之后，还能容得下另一套与这两种语言不同的汉语系统。汉语是表义型的语言，而马来语和英语则是表音的语言。前者属于孤立语、后两者分别属于黏着语和曲折语，这三种语言属于不同的语言类型。因此，要让非华裔生掌握汉语的语言系统，必须先灌输他们学习汉语知识和方法。限于篇幅，本文仅讨论教材中的笔译练习对灌输二语或外语的汉语学习者掌握正确的汉语词汇、语法和语序知识的指引和辅助。

1. 母语迁移对非华裔生掌握汉语词汇、语法和语序的干扰

Oxford (1989:69) 指出翻译策略隶属于认知策略，是认知策略的其中一种学习策略。Oxford (1989: 84-5) 认为这种策略对于学习一种新的语言而言还是有它的功用的，但需要谨慎地使用这种方法。使用翻译策略要考虑的问题包括两种互译语言的词汇差距，以及语言结构、语序的差异，仅仅依靠翻译策略是无法完全地解决语法、语序错误导致的表述偏差或误差的问题。

杨连瑞 (2009: 228) 指出“双语者对二语词汇意义的提取需要先词汇层面将二语词转换成一语中的翻译对等词 (translation equivalents), 然后再从概念系统中提取意义”，这反映了翻译方法对二语学习者提取目的语词义的作用，但是要如何从概念系统中建构正确的、符合汉语词汇表征的翻译对等词是汉语教学法中应关注的问题。杨氏 (2009: 239) 认为有效的二语词汇教学，应让学习者重新建立二语词汇语义网络，也就是说二语的词汇语义的联系不是通过母语翻译相联系的。实施这个教学法必须具有一个成熟的条件就是学习者对汉语词汇和词义的联系已经掌握到一定的熟练度，才能办到，我们所接触到的母语非汉语的学习者的汉语水平还不能达到这种程度。

本文在观察我国学习汉语为外语的非华裔生在学习汉语的初步阶段，大多都有这样的汉语习得方法，即按照母语的思维译出母语和目的语的词汇概念，并依照这些概念建构出不符合汉语词汇表征的译词。因此，汉语的教材编写必须考量翻译策略的使用与这种语言策略如何能够有效地协助二语者意识到母语与目的语语码转换的耗损 (switching code) 和不对称，或意识到词汇表征与概念表征不相符合汉语词汇表述的问题。

非华裔生对汉语词汇概念的理解,经常出现理解偏差的问题,例如以“下午”一词造句,有的被试者将“下午”译为“tengah hari”,这个译词在马来语意为“中午”。虽然他可以造出符合汉语语序正确的句子:“今天下午我去食堂吃饭”,但是他却不理解汉语词汇“下午”的时间概念。更糟糕的情况是被试者在不了解汉语词义情况之下,用母语来译写汉语的词义,如“也”误译成“awak”(他);“明天”误译为“semalam”(昨天);“中午”误译为“petang”(下午);“炒饭”误译作“mi goreng”(炒面);“鸡蛋汤”误译为“sup sarang burung”(燕窝汤);“五百”误译作“lima ribu”(五千);“电话”误译作“hand phone”(手机);“银行”误译为“change”(换)等等,可见被试者掌握和理解两语的对等词汇概念,翻译法不能帮助他们更好地、准确地理解汉语词汇的概念。

有些被试者在写汉语作文时,作文中句子是依照其母语的思维模式建构汉语的句式,汉语程度好的学习者,可以不受母语句法模式的干扰,造出符合汉语语法和语序的句子;而汉语程度弱的被试者,却是依据母语的句法模式造出汉语的句子,这些被试者不管汉语程度的强弱,都需要依赖翻译方法来造出汉语作文的句子。

两语语言对比的知识和认知,对非华裔生认识和掌握汉语的句法和语序特别的重要,没有这些语言对比知识的掌握,他们可能就会根据其母语的句法模式与语序来处理汉语句子的语序:

1. * 你去找玛丽星期几? (✓ 你星期几去找玛丽?)
(Anda pergi cari Mary hari apa?)
2. * 玛丽学汉语在北京? (✓ 玛丽在北京学汉语。)
(Mary belajar bahasa Cina di Beijing.)
3. * 一共橘子三斤四块三毛。(✓ 三斤橘子一共四块三毛。)
(Semua limau tiga kati empat ringgit tiga puluh sen.)
4. * 这是我爸爸的杂志中文。(✓ 这是我爸爸的中文杂志。)
(Ini adalah majalah bahasa Cina ayah saya.)
5. * 玛丽去换人民币中国银行。(✓ 玛丽去中国银行换人民币。)
(Mary pergi menukar Renminbi Bank China.)

(1) 至(5)的例句都有语序错置的部分,第(1)句子语序错置的部分出现在“星期几”这个疑问词,“星期几”应该置于主语“你”之后,导致这种语序错置的发生,原因在于被试者根据其母语马来语的句法模式和语序来处理汉语句子的语序。对比马来语的名词疑问句,时间短语“星期几”是置于句末。第(2)句子的语序错置的部分出现在地点词组“在北京”,依照汉语的语序,“在北京”是动词“学”的状语,说明学习汉语的地点,应置于“学汉语”之前。被试者母语的语序正好与汉语相反,动词的状语都置于动词之后,可见这种语序错置的情况是受被试者母语的句法模式与语序所干扰,用马来语来对译汉语的“在北京学习汉语”要译成“belajar bahasa Cina di Beijing”。第(3)句子中的“一共”,被试者将之理解为“all together”(英语),意为汉语的“所有”,“all together”与“一共”并非对等词,两者的词义

有别,“一共”的英译词是“total”。在例句(3),“一共”不与“橘子”配搭组成数量名词词组,而是与橘子的价钱“四块三毛”配搭说明要付的价钱总额。例句(3)的汉语句式是被试者根据其母语的句法模式与语序来处理的,即:“一共橘子三斤四块三毛”是按照马来语的句子“Semua limau tiga kati empat ringgit tiga puluh sen”的语序仿写出来的。

第(4)句子出现语序错置的部分为“杂志中文”,这个名词词组的正确语序是“中文杂志”,为偏正式的词组。马来语的词组语序一般是修饰语或限定语置于中心语之后,汉语的“中文杂志”译成马来语为“majalah bahasa Cina”,修饰语“bahasa Cina”置于中心语“majalah”之后。因此,例句(4)的“中文杂志”的语序错置为“杂志中文”的现象,是被试者受其母语文序的干扰。第(5)句子出现语序错置的部分“去换人民币”,根据汉语句法模式和语序,动词₁“去”与地点“中国银行”配搭,形成第一组述宾词组₁“去中国银行”;而动词₂“换”与特有名词“人民币”配搭,组成另一组述宾词组₂“换人民币”。根据汉语的语序,主语需要先抵达目的地才能在目的地进行他想要进行的活动,先要“去中国银行”,才能完成“换人民币”的任务。因此,正确的汉语语序,述宾词组₁“去中国银行”须置于述宾词组₂“换人民币”之前。例句(5)用马来语的句式来表达,被试者会将它译写成“Mary pergi menukar Renminbin Bank China”,汉语句子中的两个述宾词组在此马来句子中只保留第一个述宾词组“pergi menukar Renminbi”,动词₁“去”和动词₂“换”并列,这是依照马来语的句式“pergi menukar”模拟出来的语序,而例句(5)的述宾词组₂“换人民币”在马来语的译句中不再是“述宾词组”,而变为偏正式的名词词组“中国银行”。根据马来语的语序,通常先说明主语要进行的活动后,才指出进行此活动的地点。因此,被试者之所以将例句(5)的两个述宾词组的语序颠倒,马来语的句法模式和语序对他们形成的干扰是不容忽视的问题。

2. 翻译策略和对比分析

Oxford (1990: 69) 把翻译 (translating) 视为认知策略 (Cognitive strategies) 的其中一项学习语言的策略。这种策略使用分析 (analyzing) 和得出因果 (reasonning) 的方法来学习语言。此方法还包括演绎法 (reasoning deductively)、表达分析 (analyzing expressions)、跨语言的对比分析 (analyzing contrastively across language), 以及转写 (transferring)。隶属于认知策略的这些方法都可以与翻译法相互配合, 用来设计教材中的笔译练习。在笔译练习的教学目标, 汉语教师不只要观察汉语学习者如何进行跨语言的转写, 他们还得评估学习者所转写出来的汉语词汇、句子、甚至语篇是否符合汉语的表达。对目的语表达能力的掌握就涉及到学习者是否了解汉语语言的规则、语序和语感等知识的认知。

Christoffels, De Groot 和 Kroll (2005) 认为学习者在进行跨语言的解析时, 语码转换的得当取决于对双语熟练的程度, 母语对熟练双语的学习者的影响相对较弱。当学习者在理解一种

语言的句子时,并试图产出另一种语言的句子时一系列的认知行为。Macizo 和 Bajo (2004) 的研究指出,当学习者为了翻译的目的而去阅读一种语言的信息,在理解的过程中就会有目标语的信息激活。本文在分析语料时,发现非华裔生在理解汉语的词汇时,经常会先用母语对译汉语的词汇,这种跨语言的译写,存在的问题有两个:一、语码转换失误,或用非规范的汉语词汇去替代/填补;二、不熟悉目的语的句法规则,汉语语码的转换不能体现目的语的语序。

跨语言的翻译是认知策略中用来处理和分析语言信息的方法 (Oxford, 1989: 19), 通过笔译练习非华裔生可以将一种语言的词汇和句子所承载的语言信息转换为目的语的语言信息。在认知的策略中,学习者要先掌握和熟悉这两种语言的词法、句法和语序,才能正确地把他们从一种语言理解的语言信息转换为目的语的语码。跨语言的转写,如学习者将其母语的词汇、句子和语篇转写为目的语汉语的词汇、句子和语篇,不能依靠逐字翻译来完成转写的任务,因为从词汇进入到句子,再从句子组成语篇,当中牵涉到了转写语言的语言规则、句法和语序。

周小兵 (2009: 221) 指出“对比分析是第二语言习得研究的重要方法之一”。它的重要性在于这种研究方法重视“语言差异”,并能针对语言之间的表层结构特征进行对比,对比所得出的语言特征的差异,正好可以给汉语教学实践方法提供重要的信息,用它来设计语言对比的练习,对学习者来说可以更有效地使用这种策略来说和写汉语的句子。Ellis (1999) 提出对比分析的差异有等级之分,所谓的语言项目指的是语言表层结构的特征。也就是说,我们可以通过语言的对比分析,得出语言之间语言项目共同的表层结构,这有助于学习者使用本身母语的负迁移来学习与目的语有共同之处的语言项目。

第一语言的两个语言项目等于第二语言的一个语言项目。这种差异尤其体现在汉语与马来语构词法的差异上。汉语的语言特点属于孤立语,而马来语的语言的特点属于黏着语,有丰富的词缀,词根可以通过各种词缀而达到构造新词的手段,这与汉语的构词手段有别。马来语的词缀表示的是语法意义,这些意义要附在词根前后才能显示新的语法意义,而对比汉语词语,却是以不同的构词手段来构造新词,能清楚地显示新词的语法结构,如定中结构、述宾结构和状中结构,而马来语的词无法显示其构词的语法结构,只能表示一个语言项目的音节组合结构和其表示的语法意义。这是汉语和马来语语言属性的差异,没有通过语言的对比分析,难于让学习者捕捉孤立语和黏着语在构词法上的不同。

3. 对外汉语教材笔译练习对提升汉语学习者的汉语基础知识的重要性

对外汉语的教材中设有笔译练习最大的功用,就是提供母语非汉语的学习者意识到其所学习的汉语词汇、句法和语序与他们的母语体系存有差异。笔译练习的目的在于增强非华裔生的学习者对汉语基础知识的认识,以及其母语与所学习的汉语有哪些共同的语言规律,可作为学习汉语的正迁移 (positive transfer),学习者也能使用学习母语的习得方法来学习汉语;同时通过笔译的

练习, 加强学习者对汉语与其母语差异的认知, 减低母语负迁移 (negative transfer) 的干扰。

周小兵 (2009: 265) 指出通用汉语教材的语言技能应包括“听、说、读、写、译”这五种语言技能。其中听和读是输入技能, 说和写是输出技能, 译则是综合技能。译的综合技能在编制汉语教材中所占的分量, 往往比不上听说读写这四种语言技能。对外汉语教材所设置的笔译练习一般也没有说明这种练习对辅助汉语学习者对听说读写汉语能力的关联, 以致汉语教师和学习者都忽略了“译”这种综合技能对掌握汉语基础知识的重要性。

3.1 编写汉语教材笔译练习应考虑的因素

在汉语课程教学与实践里, “译的综合技能”牵涉的就是本文前言所说的不同语种的对比分析的技能, 而且这种技能可以通过不同语种的口语翻译、书面语翻译、听写翻译的实践方式来培养学习者掌握汉语的能力。编制汉语教材能把译技能纳入到教学的活动和练习当中, 并与听说读写的语言技能相辅, 对不同种族的非华裔学生在学习汉语的辅助如下:

译的综合技能可以帮助学习者了解本身母语与所要学习的目的语的差异, 两者的差异从学习者的母语和汉语的构词法、句法和语序得到反映。通过不同语种的对比分析让学习者掌握汉语构词组句的规则和特点, 可以有效地协助学习者使用母语的负迁移来学习汉语, 也可以减低他们按照母语的思维来仿写汉语句子, 进而减少母语负迁移对汉语学习产生的干扰。

笔译练习设置的理念主要参考对外汉语研究的学者提出的翻译策略、母语迁移、语用习惯、语言认知和对比分析的理论, 并以从事对外汉语教学语料和数据分析所观察到的非华裔生学习汉语常出现的词汇、句法和语序偏误的问题作为编写、设计笔译的参照, 并从日常教学活动观察非华裔生所采用的学习策略和方法, 融合我们多年进行的对外汉语教学的体验, 而构思出了笔译练习的模式, 让非华裔生可以通过翻译方法和语言对比分析认识汉语的特点和差异, 进而了解汉语和其母语的词汇构词法、句法和语序的异同。

在设计具有本土化特色的汉语教材, 对比学习者本身母语与汉语语序的差异, 以帮助他们了解和掌握这两种语言在语序上的共同和差异之处, 对提高学习者对汉语的句法结构和语序的特点, 尤其重要。Odlin (1989) 认为语言迁移是一种跨语言的影响 (cross-linguistic influence), 它的影响可以是学习者母语对目的语的影响, 又或者是学习者所习得的其他语言对目的语的影响。

Channel (1990) 和 Meara (1982, 1984) 指出第二语言学习者在学习目的语的过程中, 会建立起一个与母语心理词典不同的第二语言心理词典。Ellis (1985: 29) 认为母语干扰是第二语言习得中普遍存在的现象。Faerch 和 Kasper (1986) 指出这种现象的发生在于学习者通过激发母语知识去发展或使用中介语。Schachter (1994: 32-46) 认为学习者在学习二语或外语受到的语言迁移可以分为四个层面来看, 一、母语知识对他们学习目的语的影响; 二、有关其他语言的知识对他们掌握目的语语言规律的影响; 三、学习者已掌握的第二语言 / 外语的知识, 以及四、学习者对目的语的看法等等。Corder (1994) 与这些学者持有不同的看法, 他认为在二语习得的过

程中,母语的作用只是“启发”和“促进”的作用,“当两种语言相近时,母语起促进作用”;“当两种语言差别大时,母语不起作用”,母语影响的干扰就不能发挥它干扰目的语语言规律的影响,那么 Schachter 所提出的第二、第三和第四个因素就会发挥它们的影响。笔译练习所布置的习题,不管是词汇、句子、段落或语篇都应该考虑到这四种因素对学习者正确地掌握汉语词汇、句法和语序的影响。

Taylor (1971) 提出了“共同存储”的假说,他认为学习者的母语和第二语言这两套语言信息是分别进行信息编码,进而形成不同的词汇系统和句法分析系统,但两个通道的语言信息储存在一个语义系统中。有较高汉语水平的非华裔学生,能够意识到本身母语和汉语的词汇和语法系统的异同,所以他们可以在进行汉语信息的编码时,不受到其母语信息编码的干扰。要掌握 Taylor 假说中提出的这种语言思维的模型,可以通过翻译策略和语言对比分析的方法,让学习者了解母语和第二语言对于信息编码的相同与差异之处。由于汉语不像印欧语言有表时态的特点,动词无屈折的变化,因此要掌握汉语的句法,语序是重要的途径。

马来西亚高等学府所采用的汉语教材,一般只是用学习者的母语或通用语来翻译汉语的词汇,便于学习者理解汉语词汇的词义。汉语教材中出现的译文纯粹是为了辅助学习者理解汉语的词义,但却没有对比学习者的母语或通用语(如英语)和汉语在构词法上的差异。这种编制教材的方法,虽然注意到了翻译方法对理解汉语词义的辅助作用,但学习者却无法从译文进一步了解汉语构词法的特点。

3.2 笔译练习的语言训练

在马来西亚高等学府选修初级汉语课程的非华裔生,几乎都是从零基础学习汉语,他们的汉语习得方法,尤其是在理解汉语的词汇和句子所传达的信息,主要依靠语音转录(inner language)和翻译策略(strategy of translation)这两种方法,尤其是句子的表述可以明显地反映他们受到母语思维的干扰。为了说明马来西亚的非华裔生学习汉语的情况,本文采用汉语词句重组的测试成绩来说明被试者如何理解汉语词汇和句子所传达的信息,以及他们学习汉语的习得方法与正确地重组汉语句子是否存在相关。

参与此项测试的被试者共有 32 位非华裔生,他们都是在我国高等学府选修汉语作为外语的本科生。词组重组测试被选为研究的工具,因为这种测试既涉及词汇和句子层面的理解,也牵涉汉语语序的排列,能够检测被试者在理解词句重组的词汇的意义后,是否可以根据汉语的语序组词成句。词句重组的题目共有 8 题,每题两分。测试的句子都属于单句,单句中的词汇分单纯词、合成词和词组。被试者须按照正确的语序将有关的词汇组合成句子。

为了便于给被试者的测试分数分等级,他们的得分将按以下方式计算:

$$\frac{(\text{答对的试题数量} \times 2)}{16} \times 100$$

被试者测试的成绩如表 1 所示：

表 1：词句重组测试：被试者成绩的百分比

		频率	百分比	有效百分比	累积百分比
有效	1.00 (<39, F)	6	18.8	18.8	18.8
	5.00 (50-54, C)	4	12.5	12.5	31.3
	6.00 (55-59, C+)	2	6.3	6.3	37.5
	7.00 (60-64, B-)	2	6.3	6.3	43.8
	8.00 (65-69, B)	1	3.1	3.1	46.9
	10.00 (75-79, A-)	6	18.8	18.8	65.6
	11.00 (80-100, A)	11	34.4	34.4	100.0
	合计	32	100.0	100.0	

按照本测试的评分分等级的要求，少于 39 分的成绩为不及格 F；分数介于 40-43 为 D 等成绩；分数介于 44-46 为 D+ 等成绩；分数介于 47-49 为 C- 等成绩；分数介于 50-54 为 C 等成绩；分数介于 55-59 为 C+ 等成绩；分数介于 60-64 为 B- 等成绩；分数介于 65-69 为 B 等成绩；分数介于 70-74 为 B+ 成绩；分数介于 75-79 为 A- 等成绩，以及分数介于 80-100 为 A 等成绩。被试者在此项测试所获得的成绩分等，分别有：A（11 人）、A-（6 人）；B（1 人）；B-（2 人）；C+（2 人）；C（4 人）及 F（6 人）。

32 位被试者当中，有 11 位在此测试中获得 A 等的成绩，其得分介于 80 至 100，获 A 等成绩的学习者占百分比 34.4%，也就是说有将近三分之一的被试者获得此佳绩。有 6 位获得 A-，其得分介于 75 至 79，占百分比 18.8%；只有一位被试者获得 B 等成绩，其得分介于 65 至 69，占百分比 3.1%；各有两位被试者分别获得 B- 等和 C+ 等的成绩，B- 等的分数介于 60 至 64，而 C+ 等的分数介于 55 至 59，所占的百分比各为 6.3%；有四位被试者获得 C 等成绩，其分数介于 50 至 54，占百分比 12.5%；有六位被试者获得 F 等不及格的成绩，其得分少于 39，占的百分比是 18.8%。总的来说，获得 A 等和 A- 等成绩的被试者总共有 17 位，占百分比 53%。也就是说约有半数的被试者在词句重组测试中考获佳绩。

从被试者的测试答卷上，本文得出有 9 位被试者是完全依靠翻译的方式（用被试者熟悉的语言译写汉语的词汇）来提取词汇的词义信息；有 3 位被试者是完全依靠语音转录的方式来提取词汇的词义信息；有 20 位被试者同时依赖语音转录和翻译方法来理解汉语词汇和句子传达的信息。本文采用 SPSS 的软件进行 Pearsan “相关性” 的检测，分别测试语音转录和译写汉语词汇的方法，是否都对被试者在词句重组测试所得的分数，存在相关性的影响。此项相关性测试的结果如表 2 及表 3 所示：

表 2: Pearson 相关性检测

		词句重组的成绩	语音转录的字数
词句重组的成绩	Pearson 相关性	1	.293
	显著性 (双侧)		.104
	N	32	32
语音转录的字数	Pearson 相关性	.293	1
	显著性 (双侧)	.104	
	N	32	32

表 2 共有两个变量 (variables), 自变量 (independent variable) 是语音转录的字数, 而依变量 (dependent variable) 是词句重组的成绩, Pearson 相关性检测的结果显示这两个变量之间不存在相关性。换句话说, 语音转录的字数越多, 与词句重组所得的分数越高不相关, 也就是说词句重组的成绩好坏与被试者将测试中的汉字转为拼音的多寡没有关系。或者说, 将汉字或词汇转为拼音来提取字义或词义的方法, 对被试者可以在词句重组的测试中获取好成绩没有关系, 其显著性为 .104, $p>.05$ 。

表 3: Pearson 相关性检测

		词句重组的成绩	词语译写的字数
词句重组的成绩	Pearson 相关性	1	-.722**
	显著性 (双侧)		.000
	N	32	32
词语译写的字数	Pearson 相关性	-.722**	1
	显著性 (双侧)	.000	
	N	32	32

** . 在 .01 水平 (双侧) 上显著相关。

表 3 所示的 Pearson 相关性的检测结果显示, 自变量词语译写的字数对依变量词句重组的成绩有显著性的负相关, 显著性 (双尾) 为 .000, $p<.01$, 其 Pearson 相关性值为 -.722**, 其后的两个星号 (**) 表示 $p=.01$ 之显著水准下两者显著相关, 其下的显著性为 0.000, 表示词语译写的字数与词句重组的成绩存有高度的负相关。换句话说, 词语译写的字数增加, 与被试者在词句重组测试中所得的分数不是成正比的, 如图 1 所示:

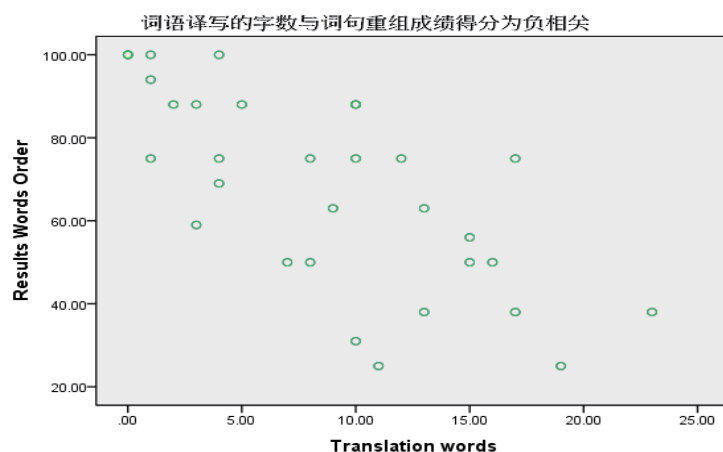


图 1：词语译写的字数与词句重组成绩得分为负相关的散布图

通过以上的相关性（双尾）检测，本文得出以下的结论，被试者虽然采用翻译方法来译写汉语的词汇，尽管这种方法有助于被试者理解汉语词汇的词义，但是纯粹只是提取汉语词汇的词义还不足于辅助被试者理解词组和句子层次的词义。即使通过翻译方法，被试者可以完全理解构成汉语句子的所有词语的词义，这种方法不能保证可以促进被试者能够正确地将句子的成分按照汉语语序排列出来。因此，这项相关性的检测正好说明要被试者掌握汉语的语序，词汇层面的词义提取还不够，他们还得接受汉语构词法、句法和语序的基础知识的训练，才能够提升他们的汉语能力。而这些有关汉语语言基础知识的灌输，可以通过语言的对比分析进行，所以汉语教材的编写不能只强调翻译策略的功用，而忽视汉语学习者的母语迁移和对汉语学习的干扰。因此，后文将会讨论被试者在建构汉语句子如何受到自身母语迁移和习得方法的影响，这些母语迁移的问题，实际上也可以通过跨语言的对比分析，即被试者的母语和汉语的对比分析得到解决。

有鉴于此，本文提出的笔译练习包括了一系列双语的词汇和句子的翻译，对译的语言涉及马来语和汉语的双语翻译和语言对比的分析。笔译练习提供学习者有关其母语马来语的词汇和句子，学习者须根据所提供的马来语词汇和句子译写出符合汉语规范的词汇和句子。每个练习后都附上简短扼要的笔记以说明汉语的句法与学习者的母语句法有何异同之处，通过笔译词汇和句子的练习，让学习者更好地掌握汉语的句法规律。本文提出的笔译练习的编制应考虑以下的问题：

3.2.1. 汉语偏正式词组的语序

根据本文对语料的分析与统计，以马来语为母语的华裔生经常弄错汉语偏正结构词组的语序，如“电话号码”、“汉语老师”、“学校图书馆”、“汉语发音”等词组的语序错置，修饰语或限定语置于中心语之后，如“号码电话”、“老师汉语”、“图书馆学校”和“发音汉语”，这些汉语词组的语序与非华裔生的母语，即马来语的语序正好相反。换句话说，与汉语构词法语

序不同的马来语词组的构词法语序,影响了非华裔生正确地掌握有关汉语词组的语序。

要决解非华裔生错置汉语语序的问题,在编写笔译练习时就必须考虑语言对比分析对学习者掌握汉语与其母语语序差异的辅助。

3.2.2 汉语合成词和词组的语素组合

根据语料的统计和分析,非华裔生对汉语合成词和词组组合的语素没有整合的概念,所以在他们书写的合成词或词组,往往会遗漏了合成词和词组的某个语素,如下所示:

- (1) 你喜欢吃馒头还是吃包子? 合成词“馒头”遗漏了第二个语素“头”。
- (2) 张东和田芳都是国留学生。词组“中国留学生”遗漏了第一个语素“中”。
- (3) 星期日玛丽和家人一起去超买东西。合成词“超市”遗漏了第二个语素“市”。
- (4) 我朋友的姐姐是我的同班。词组“同班同学”遗漏了最后两个语素“同学”。
- (5) 她妈妈是学校师。词组“学校老师”遗漏了第三个语素“老”。

以上的这些例子说明,非华裔生仅仅依靠记忆策略来记认汉语词汇是不足的,当从记忆的词库中输出汉语的信息不完整时,就会产生这种语素遗漏的词汇。通过笔译练习,对比汉语和学习者母语构词的语素数量和组合语素的概念,有助于警惕学习者在译写汉语的合成词和词组时不要遗漏当中的语素,并且每个语素义都有助于组合合成词或词组的词义概念。笔译练习还是有它实际操作意义,学习者在掌握了目的语汉语和其母语名词词组的构词规则和语素数量有所差异后,对使用母语的语法规则对译写汉语词汇的干扰和错误率就可以减低。

3.2.3. 汉语动词的使用

汉语句子中出现的动词可分为两类:一、支配式动词;二、非支配式动词。非华裔生要辨识汉语的动词属支配式和非支配式有一定的困难,对于支配式动词与宾语的配搭是否得当,更是他们学习汉语的难点之一。本文根据语料分析发现,非华裔生依照其母语的动词来模拟汉语的动词,所模拟出来的汉语动词,与其支配的宾语不配搭,如以下这些句子出现的述宾结构词组:

- (1) 我和我的兄弟姐妹一起玩羽毛球。

句中的“玩羽毛球”是根据马来语的述宾结构词组“main badminton”译写的。正确的词语应是“打羽毛球”。

- (2) 我妈妈喜欢煮。

句中的动词“煮”是根据马来语的动词“masak”译写的。“煮”在汉语属于支配式的动词,后面要带宾语。

- (3) 他喜欢读报纸。

句中的动词“读”是根据马来语的动词“baca”译写的。正确的词语应是“看报章”。根据此句的语境,“读报纸”用得不贴切,但是“买了一份报纸”可以,因此正确的动词是“看”,

而宾语是“报章”。

(4) 我们在公园一起拿照片。

句中的述宾结构词组“拿照片”是根据马来语的动词“ambil gambar”译写的，正确的词语是“拍照”。“拿照片”与“拍照”是两个不同概念的词组。

(5) 他在足球场玩足球。

句中的述宾结构词组“玩足球”是根据马来语的“main bola sepak”译写的，支配宾语“足球”的动词是“踢”，并非“玩”。

以上的例句中有的动词使用不当，有的动词与它所支配的宾语不能匹配，有的述宾结构词组没有动词，这些句法的问题说明非华裔生如果依照其母语句法的规则模拟汉语句子中的动词是无法仿写出准确的汉语动词。

结论

在编制汉语教材中，“译的综合技能”必须配合语言对比分析的技能，才能让汉语学习者更好地从其语言的正迁移学习汉语，避免其语言的负迁移干扰了他们学习汉语的效度。译的这种技能可以通过不同语种的口语翻译、书面语翻译、听写翻译的实践方式来培养学习者掌握汉语的能力。编制汉语教材能把译的综合技能纳入到教学的活动和练习当中，并与听说读写的语言技能相辅，对不同种族的非华裔学生在学习汉语的辅助如下：

译的综合技能可以帮助学习者了解本身母语与所要学习的目的语的差异，两者的差异从学习者的母语和汉语的构词法、句法和语序得到反映。通过不同语种的对比分析让学习者掌握汉语构词组句的规则和特点，可以有效地协助学习者使用母语的正迁移来学习汉语，也可以减低他们按照母语的思维来学习目的语，减少母语负迁移对汉语的干扰。

中介语系统的形成，其中一个明显的特征，在于它对汉语词汇和语法结构的干扰，而且这种干扰不是无迹可寻的，而是学习者有意识地依据母语系统的规则和思维来编制汉语信息的语码。这种系统的形成很大因素是受母语系统和思维的干扰，因此在汉语教学中，尤其是汉语教材的编制，不能忽略翻译策略和语言对比分析的实践方法和练习活动，以协助学习者掌握目的语的信息编码系统，而这种编码系统与词汇和语法结构与组织有密切的联系。

在设计具有本土化特色的汉语教材，对比学习者本身母语与汉语语序的差异，以帮助他们了解和掌握这两种语言在语序上的共同和差异之处，对提高学习者对汉语的句法结构和语序的特点，尤其重要。因此，语言的对比分析方法对来自不同语种的学习者掌握目的语的语序特点有所帮助。汉语教材中的教学活动就可以通过语言对比分析法来说明汉语与马来语语法结构与语序差异的问题。而翻译策略在汉语教材中能发挥它的作用有一定的条件，也就是学习者必须先了解目的语的构词法、句法结构和语序的特点，才不会受到母语思维的干扰译写汉语的句子。

非华裔生要掌握的汉语知识,不仅是构词法和句法的规则,还有语言成分在句子中的语法关系,这将决定其在句子中的语序。所以,汉语教材的编写如果能够关注到学习者本身母语和汉语构词法、句法和语序的对比分析,同时能点出使用翻译策略来造句所应注意的两语差异的问题,那么母语习得经验干扰目的语学习的程度将会减低,并且还可以缩短学习者建立的中介语系统与目的语系统的差距。

编制汉语教材时,能够把这两个语言对比之后得出来的句法规则纳入练习中,通过汉语的造句和母语的翻译,比较两语的句法、语序的共同和差异之处,对于学习者具体地掌握目的语的句法规则和语序,是有很大的帮助的。因此,在国外要推行对外汉语的教学,如果采用统一的汉语教材,对于那些没法在汉语环境之下学习汉语的学习者而言,这种教材恐怕难于提高他们对汉语遣词造句的掌握,更不用谈什么汉语构词法和句法的规则,而学习者也难于在学习汉语上取得较好的进展和效果。所以,在马来西亚的语言环境里,要把对外汉语的教学工作做好,本地语言和教育的工作者一定要联手编制属于本土性适用于本地非华裔生所使用的汉语教材。

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Natural Translation and Curriculum Design at the Advanced Level of International Chinese Teaching

自然翻译与国际汉语教学高级班课程设置

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摘要: 自然翻译是指日常生活中由非专业双语人士所进行的翻译,学术界又称为文化调解或语言中介;而传统意义上的翻译也可被理解成是两种文化和语言之间的调解。在英国高校很多非语言专业的英汉双语的毕业生进入职场后,无论他们的专业是什么,他们都可能会做涉及英汉两种语言文化的工作。而这些学生在校期间几乎没有课程帮助他们提高翻译技能,因为高校的翻译课大部分是开设给语言或翻译专业的本科生和研究生的。针对此种情形,笔者在非语言专业的高级汉语选修课的学生中开设了文化翻译课。本文回顾自然翻译领域的相关文献,借鉴翻译教学的实践研究,解释此课程设计的内容及课程评估情况。希望可以为国际汉语高级阶段课程设置开辟新路,也为自然翻译研究提供不同的视角。

关键词: 自然翻译、文化调解、翻译教学、国际汉语

引言

翻译一直被认为是高级的双语技能,是两种语言均发展到高级阶段时才能学习的一门学科。在很多高等院校翻译作为专业课或者学位课,开设在本科、硕士和博士研究生的课程中,此课程的学生有的以未来从事翻译职业为目标,而有的却不一定从事翻译工作 (Schaffner 2004, Séverine 2007)。的确,在现实职场的求职过程中,做专职翻译的人还是有限,不过他们在翻译课中学到的技能的确成为他们工作的一部分,即他们只在做别的工作的同时做一些翻译。而且很多受聘于跨国公司的毕业生们大多具备良好的双语水平,在实际工作中也充当着翻译的角色。近年来,笔者就职的英国高校内英汉水平均较好的留学生越来越多,他们来自于世界各地,或者是在海外长大并受教育的华裔,由于地缘或家庭的影响,他们英语和汉语这两种语言的水平均较高,可以说达到了熟练掌握的程度,即欧洲语言框架中的最高级。为满足他们的学习和

求职的需求,笔者开设了高级汉语文化翻译课,从学生感兴趣和适合未来职业需要的话题出发,以英译汉的方法和策略为技能培养的主要目标,突出英汉两种语言的比较,以学生较为迅速地实现从英语到地道得体的汉语的转换为最终目的。开设这一课程的理论依据是‘自然翻译’的理念。本文回顾自然翻译领域的相关研究,分析其与职业翻译的关系,同时借鉴翻译教学的实践研究,解释本研究课程设计的内容及课程评估情况。

自然翻译的概念和存在的普遍性

自然翻译的概念最早见于 Harris 和 Sherwood 发表的文章,即指:在日常生活中由未经专业训练的人士所进行的翻译 (Natural translation refers to ‘translating done in everyday circumstances by people who have had no special training for it’ (Harris 和 Sherwood 1978: 155)).由此可见,做自然翻译的人是在日常生活中能够用两种语言进行交流并对两种文化都较了解的人,通过他们的中间作用使原来无法沟通或沟通不太顺畅的双方能够在信息和文化上进行更好的交流,这一现象又被称为文化调解 (cultural mediation)。文化调解人不同程度地参与两种文化,联结其他两个或两组在语言与文化方面不同的人,其纽带作用有助于这些人之间的沟通、理解及付诸行动 (Taft 1981: 53)。从这一定义我们可以看出:能够进行文化调解的人可以是在童年或人生的某个阶段经历过双重文化,熟练掌握两种语言或方言及其文化的人。

广义而言,文化调解这一现象和文化调解人在世界各地各行各业无处不在,且自古有之。即使在同一个国家里,从一个地方迁居到另一个地方时,总会遇到与自己从前熟悉的文化不同之处,此时就常出现起到连接两种文化的使双方的交流顺畅的个人或组织,在进行着文化调解。文化调解人有助于商务往来,可以负责解释外交和政治方面的概念 (Hinderaker, 2002),帮助在地方和中央之间建立有效的沟通 (Robin, 1996)。文化调解人在一个国家之内、在社会、文化、宗教和政治观点不同的群体之间也起着维持稳定关系的作用 (Bochner, 1981)。虽然职场中可能没有文化调解员这一称法,但不能否认的是有些职业的确具有文化调解的特征,比如说,在为一个宗教或教育组织工作时,为商务或政府部门工作中,在国际教育交流互访活动中,有些人的确发挥着处于中间地位的文化调解作用。

在不同的文化、社会和政治环境中,文化调解员的社会地位、教育背景和年龄均不同。比如有的促进了另外两方的贸易 (Szasz, 1994),有的在移民社区帮助语言技能不好的人理解书面文字,并在日常交际活动中帮助这些人获取信息 (Baynham, 1993; Baynham and Masing, 2000) 等等。当人们从一个国家迁居到另一个国家时,两种截然不同的语言和文化似乎使文化调解的必要性更加凸显。不容忽视的是,在有孩子的移民家庭中,孩子会成为一个重要的文化涵化资源。其实在移民家庭中不同年龄的儿童或青年为父母做文化调解的亦司空见惯,但是父母和儿童本人并不一定意识到这一文化调解的存在,尤其是在父母的语言水平比较高,可以在主流社

会里从事正常的工作的情形中,更易如此。

父母和孩子一同进入到一个新的国家,接触到一种新的文化,由于在接受语言和文化的速度方面的差异,常常是儿童先于父母习得了当地的语言,融入了当地的文化(Garcia Coll 和 Magnuson, 1997)。因为他们日常生活中与主流社会接触的机会比父母多,从而优先获得的知识和对社会的了解就使他们很自然地在父母与主流社会之间做文化调解,这几乎成为移民家庭生活中必不可少的部分,也是适应主流文化和社会的方式之一(Valdés, 2003)。即:移民环境这一客观因素也促成了文化调解的普及存在,但是由于儿童在家庭和社会的从属地位,这种文化调解人的身份和地位并没有得到足够的重视。即使在学术界对这种文化调解——非专业的翻译研究也有待深入。

自然翻译的目前研究

在自然翻译的提法刚出现时,其术语的用词本身引起了争议,除了文化调解这一术语外,语言中介一词也被广泛采纳。

语言中介

如前所述,自然翻译的概念首次见于学界是二十世纪七十年代英国学者的文章,他们描述了一些孩子们为其父母做笔译或口译的情形。这些孩子中最小的一个只有3岁,她在跟父母一起看电视的时候,告诉父母电视中出现的某个意大利语的词语的意思。虽然从那时起此种翻译才稍微引起了研究者的注意,但是由于其数据收集的难度等方面的原因,之后的二十年中,学术文章对其记载寥寥无几。直至Shannon(1990)在研究拉丁美洲移民社区的时候,偶然的会知道她认识的一对母女将去看足科医生,由于母亲的英语不太好,她想让11岁的女儿陪她一起去,经允许,母女与医生的对话得以录音,并转写成文字进行了分析,这是儿童语言中介(child language brokering)的开始,从此也拉开了对自然翻译进行实证研究的序幕。也许因为当时所载文章的期刊规模较小,知道的人并不多。五年后,McQuillan和Tse(1995)在较知名的国际学术期刊发表了他们的文章并正式使用了语言中介(language brokering)一词之后,这一现象才引起了学界更多的注意。在最近的二十年以来,越来越多的学者开始关注这一领域。

语言中介行为专指儿童帮助语言和文化不同的双方(通常是成人)进行交流的行为(Tse, 1996: 485)。与职业的口笔译者不同的是,这些语言中介人既传递信息,又为双方的顺利沟通进行调解。

移民在文化涵化过程中可能有各种资源,但自己的孩子似乎是家庭需要时父母最值得信赖的帮助。正如Hall(2004: 286)所说:“年轻人(在移民家庭中)起着这样的强大的作用,虽然

常依赖于特定场合和某个孩子本身，但是不管怎样，这样的角色确实是由儿童担当的。”

由此可见，文化调解和语言中介所描述的现象同出一辙：即未经专业训练而进行的翻译行为。文化调解人或语言中介人的行为包括笔译 (translation)、口译 (interpreting)、解释说明 (explanation)、转述或换言之 (paraphrasing) 等。即使他们在进行语言之间的转换，也会伴随文化等方面的解释说明。他们所处理的可能是律师、医生或学校的来信，也可能就是邮到家里的账单等生活中所接触的文件或日常琐事。虽然做自然翻译的人年龄各不相同，他们为其家庭的正常运行的确起着不可或缺的作用。

文化调解的无意识性

虽然如前所述，文化调解或自然翻译是普遍存在的，而且其作用不容忽视，但是人们并没有完全认识到其存在。有的文化调解人会意识到自己的身份和作用，而有的却不会，因为这些调解活动都伴随在日常工作和生活的过程中，常不易被察觉。Alred 和 Byram (2002) 研究发现，在国外生活和学习一年的本科生们实际上已经成为文化调解人，并且在国外的经历影响了他们的职业选择，但这些学生本人并没有意识到自己身份和作用的改变。

自然翻译无意识性的特点也对其研究方法有一定的影响。目前已有的研究多用反省式访谈的方式来搜集数据。McQuillan 和 Tse (1995) 访问了儿童时期曾经做过语言中介的成年人，调查他们是如何进行‘翻译’和‘调解’的。还有的研究涉及主流社会中的不同民族社区，探讨语言中介或文化调解对操作人本身身心情感等各方面的影响 (Weisskirch *et al*, 2011; Jones *et al*, 2012)。Orellena (2009) 对美国的西班牙语社区的文化调解的研究揭示不同年龄的儿童如何为家庭做贡献及他们的感受。Guo (2014) 采用民俗学的研究方法捕捉家庭中实际的文化调解的情景。Valdés (2003) 关于青年人给父母和家人语言中介的研究中提出，应给予这些语言中介者提供一定的培训，以使他们的语言中介更加准确。虽然她的研究没有记录培训的过程等，但含有语言技能方面的提高和培养，以便提高语言中介行为的准确性，在这一点上与国际汉语高级班课程的目标恰好契合。

翻译教学的实践研究

自然翻译和翻译或职业翻译之间有冲突吗？两者之间的共同和差异何在？下面在我们简单回顾一下翻译教学的实践研究中回答这两个问题。

自然翻译与职业翻译的关系

关于翻译的定义, Cook (2010) 指出: 翻译可以理解成是一种调解 (Translation can, ...be interpreted in a very loose sense to mean all types of mediation between different languages, p. 136), 是在独立单一的文化和语言之间的调解 (Translation mediates between monolithic cultural and linguistic blocks, p. 79)。由此可见, 翻译和文化或语言调解或语言中介是相通的。如前所述, 自然翻译的研究者们采用了各种研究方法, 比如访谈、问卷、观察记录等, 以期了解文化调解和语言中介的过程和特点, 可以说在研究方法方面与职业翻译有相似之处。另外, 语言中介行为的发生和结束均有时间和地点等界定元素, 这一点是也与职业翻译相同的。比如说, 去医生的办公室通常时间和地点是提前确定的, 所以语言中介的开始和结束的时间界限分明。但是文化调解即自然翻译通常发生在日常生活中并且非常随机, 不是提前计划好的, 所以其起止时间常并不分明, 往往是在跟家人一起的时候, 文化调解在父母与孩子的讨论和信息交流的过程中随机就发生了。从这一点来看, 与职业翻译不同。

除此以外, 职业翻译与文化调解还有其它不同之处: 第一, 对准确性的要求不同。文化调解更注重信息的传递, 不像职业翻译那样强调用词和语法的精确, 只要语言的交际作用实现了, 被调解的双方达到理解的目的就可以了, 可以说, 对语言准确性的要求相对低于职业翻译, 而在实际应用中却能够满足被调解人至少一方的情感要求, 比如父母会比较信任自己的孩子, 孩子可以帮助父母解决当时的语言困难, 父母宁愿不用自己不认识的职业翻译员。第二, 客观性要求不同。职业翻译以客观准确、完全忠实原文等为原则, 即译员尽可能没有任何偏袒地在另两方之间传达信息。但是在文化调解中, 比如由于儿童与父母之间的关系, 恐怕无法脱离主观的感情色彩, 又加之他们常常对父母的意图比较了解, 可能会有不问父母而直接做决定的时候, 而职业翻译人员通常不能替被翻译的双方做任何决定, 而只能传递两方的信息和决定。可以说, 职业翻译是文化调解的规范化、职业化的一种体现, 但绝不是文化调解的最高目标和唯一存在形式。文化调解人翻译的实效性比准确性更重要。第三, 两者在年龄和专业知识结构方面的差异。不同年龄包括孩子、不同社会地位和不同语言文化、知识背景的人均在进行着文化调解或语言中介的行为, 他们的语言水平和翻译技能参差不齐, 社会经验多寡不一, 主要由于家庭的需要而为之, 基本没有金钱方面的回报; 而职业翻译则不同, 一般是经过专业培训并具有较丰富的社会经验的成年人, 从翻译中得到报酬。

翻译与语言教学

翻译在的语言教学中的应用可以追溯到语法翻译法, 这一在注重语言知识学习的外语教学中广泛应用的传统方法, 受到其后出现的所有教法包括交际法的批判和冲击。然而学界在尝试

了各种教学法之后,又开始重新审视和思考翻译在外语教学中的作用(Witte 和 Harden, 2009; Cook, 2010; Laviosa, 2014)。研究和实践证明,语法翻译法,跟其它教学法一样有其优缺点,在语言教学中使用翻译也是将其作为一种工具而已(Cook, 1998),不必过多强调或过分贬低其作用。用于外语教学中,翻译可以是第二语言教学和测试的手段,从第一语言到第二语言的翻译是为了检验第二语言的输出能力,而将第二语言译成第一语言则是检验对第二语言的理解能力(Schjoldager, 2004),这样的作用可以发挥在外语作为选修课或作为专业课的教学中。

虽然学界对翻译在高校课程设置中的地位说法不一,但是学者们都认同的是翻译作为一门学科的教学应纳入到高校的课程设置中,并且应该包含翻译技巧和不同类型文章的翻译。翻译大体有三种课型。第一种是在语言本科或研究生学位课中,翻译作为一门课只在一年或一个学期内开设(比如 Schaffner, 2004);第二种是语言本科或研究生学位中含有一部分翻译,比如占 25% 或 50%(比如 Tan, 2008);第三种是完全的翻译本科或研究生学位专业课(比如 Davies, 2004; Schjoldager, 2004; Séverine, 2007; Liu, 2009)。在这些专业教学中,虽然翻译仍是第二语言教学和测试的手段,但是给与翻译活动更多的空间,即:使翻译本身成为教学目的。翻译不仅是门语言课,而且是门技能课。不仅如此,如果教授和发展得适当,翻译还有助于培养其他技能,从而加强总体语言能力。因此,翻译可以说是目的,也是提高外语语言水平的方法(Cordero, 1984)。

Beeby (2004) 研究了西班牙翻译专业的学生在语言学习方面如何以翻译为出发点设计教学大纲,以篇章分析和文体分析为基本内容,采取任务型的教学方法进行教学,如何在提高语言能力的过程中提高翻译能力。Schaffner (2004) 阐释了英国阿士顿(Aston)大学针对语言专业开设的两种翻译课程。一种是语言专业的本科学生在最后一年学习高级翻译课,因为此时学生已在目的语国家学习了一年,语言水平较高。而由于总课时只有 24 小时,翻译课的目标是介绍专业翻译的同时,发展翻译能力,主要通过学生将目的语的文章翻译成学生的第一语言,来考察他们是否理解了目的语的文章,译文是否符合第一语言的语法和规范,以及从第一语言翻译成目的语时,是否译文符合目的语的语法和规范。这门课所选择文章包括法律、政治和文学等方面。另一种是语言专业和翻译的本科学位课,学生从第一年在目的语的水平还不很高的时候就给他们介绍翻译研究的基本概念和翻译方法,使他们初步了解翻译的系统分析和决策过程等翻译理论,然后在之后三年的学习中不断发展翻译能力。在这后三年的学习中翻译课注重翻译方面的文本分析,包括文内特征和文外特征的识别和讨论及其与翻译的相关性,了解翻译在语用、跨文化、语际等方面可能出现的问题及如何解决等等。通过四年的学习,学生逐渐发现并认识到翻译的决策过程是不断反思和推敲的过程,以便译文符合其目的、使用场合和不同类型文章的规范,可以说这是在了解翻译能力复杂性之后,同时发展语言、文化、文本研究和翻译能力。Liu (2009) 则认为在外语专业和翻译专业开设口笔译课程应强调职业化的特点,注重翻译过程中培养翻译技能,同时在阶段性的训练中注重培养译者的翻译直觉,为达到这样的目标,课程应先注重培养学生适合翻译的思维方式,然后再选取适当类型的文章进行操练使学生

熟悉各种题材的翻译,以最终使翻译技能和语言水平共同提高。

Cordero (1984) 还对文章的选择及各类文章在翻译课程中出现的顺序提出了一些建议。比如课程刚开始的时候先用科普类文章,因为这类文章多是描述性或事实性的,有助于学习者领悟两种语言在句法结构和段落构成方面的差异,同时这类文章的翻译主要突出信息转换;稍复杂些的文章类型包括报纸或杂志中的文章或社论,政治性的居多,虽然句法和语义方面的难度加大,但是由于学习者对报纸文章的题材和语言相对熟悉,翻译起来还会相对容易;而最难的就是文学翻译,因为翻译过程不但涉及信息传递,而且译者需将作者用源语言编码的个人情感和思想解码,然后再重新编码成新的目标语词,并希望这一词语跟源语言的在主观情感方面保持一致,文学翻译的这种过程在某种程度上使译文成为译者与作者合创的作品 (Cordero, 1984)。

在所读及的研究中,几乎所有的翻译课都是针对语言专业的学生而开设的,而几乎没有对于非语言专业的学生开设翻译课的文献。然而对于自然翻译、文化调解和语言中介的论述、其与职业翻译的异同,以及翻译教学的实践研究成为我们为非语言专业学生开设汉语文化翻译选修课的理论依据和操作指导。

国际汉语高级班文化翻译课

翻译的职业性特点使人们聚焦于翻译的准确性,当然这是无可厚非的。况且在全球范围内,双语人才越来越多的情况下,职业翻译的需求也许并未降低,然而不能否认的是很多未经过专业训练的人在双语环境中实际上做着翻译的工作,很多高校毕业生,尤其是有过国外留学经历并取得国外大学学位的年轻人,在初入职场的时候,双语优势不仅是他们求职时的敲门砖,而且在实际工作中,他们的双语技能的确可以得以发挥。他们无论就职于中国境内的外资或合资企业,还是世界各地的跨国公司,由于中国与世界的各方面的交流日益频繁,他们时常会做英译汉的笔译和口译,虽然不是职业翻译,但是却既要求信息转换基本准确,又要使双方的交流 and 理解顺畅。为提高这些人的实际文化调解能力,笔者基于文化调解和职业翻译二者之间的相互关系,将二者结合起来,并从翻译教学实践研究中获得本课程教学大纲和内容设计方面的指导。即:将文化调解的广泛性和随机性与职业翻译的准确性结合起来,使广泛存在的文化调解人能具备一些职业翻译的准确性的特点,以提高信息传递的质量,提高学生的语言使用能力。

在笔者任教的高校内有很多来自于中国香港、马来西亚、新加坡等国的留学生,他们的英语水平足可以使他们完成本科的学业,在他们成长过程中对汉语的掌握也达到了比较高的水平,他们中有很多学生把去中国工作纳入自己的职业选择中。他们在入职场之前的大学学习中,也有强化语言的需求,而在此阶段给他们开设的高级课程应适应他们未来的需要。另外,进入这个课程学习的学生还有海外(主要是欧洲)长大的华裔,他们以在家跟父母学习或去社区中文学校学习等方式学习汉语并达到了较高的水平,虽然他们可能已经学习了其它欧洲语言比如法

语、德语、西班牙语、意大利语等，但是从未进行过任何的英汉双语转换的训练，他们也可以从这门课的学习中受益。

高级汉语文化翻译课时长一年含三个学期，共 46 小时。根据选修文化翻译这门课的学生需求和专业特点，教学大纲和课程内容设计从学生感兴趣和适合未来职业需要的话题出发，以英译汉的方法和策略为技能培养的主要目标，突出英汉两种语言的特点，以学生较为迅速地实现从英语到地道得体的汉语的转换为最终目的。教学过程中，强调既注重信息的传递，又体现源文的文化要素，并关注目的语受众的文化取向和接受能力。从材料选取上，我们还发现：学生比较偏爱经济、金融、社会福利等方面的文章，对政治、历史和文学类的内容不太有兴趣，又因为对文学翻译难度方面的考虑，没有纳入教学内容。同时，扼要地讲解了目的论、异化和归化等学生易懂的常识性的翻译理论。

课程测试方面，一年中共有三次笔试和一次口试，笔试以英译汉为主，同时要求学生写明自己所使用的翻译方法，以便了解学生的翻译过程，并给予一定分数；口试含口头总结和问答两部分，从内容和语言两方面进行考察。课上使用的方法也较灵活，虽然以翻译知识和技巧为主，但是也用听说读的方法提高学生的语言技能。除语言方面的讲解和操练外，也有对社会行为、法规等相关文化知识的介绍，使学生在语言和文化两方面受益。

通过学习此门课程，学生们可以较有信心地进入到前面所述的文化调解人群中，使他们在工作和生活中进行较高质量的自然翻译活动。课程评估时，学生对课程的满意度为 100%，认为此课程的实用性强（“useful to real life”），课程内容安排灵活，适合学生需求（“flexible & catered to students' needs”）。经过几年的尝试，我们发现：从教学角度讲，此门课教学准备量很大，内容涉及面比较广，批改学生作业的时间长，对教师翻译和英汉双语的水平等方面的要求均高。然而，学生的确可以在一年的时间内掌握英汉语言不同特点，并有意识地使用适当的翻译方法将英语转换成较通顺的汉语。

结语

本文梳理了自然翻译的理念、特征及其与职业翻译的关系，回顾了翻译教学的实践研究，阐释了这些研究如何为国际汉语国际班开设文化翻译提供理论基础和实践指南。由于本课程的开设还处于初级阶段，将在今后的教学实践和研究中不断加以改善。当然，翻译技能的培养跟语言水平的提高一样，不可能一蹴而就，而是需要长期积累。一个学年的选修课对这些学生来说是提高翻译技能的良好开端，为他们日后的职场只能做一些准备工作。面对高级汉语学习者越来越多，而高级阶段语言课只限于语言教学可能流于枯燥的情况，也许文化翻译课可以提供一条国际汉语高级阶段课程设置的新路。值得一提的是，此课程的尝试也为自然翻译研究提供了不同的视角。

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The Construction and Elimination of Culture Schema in Translation

翻译中文化图式的构建和消弭

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摘 要：作为社会人的作者和译者毫无疑问都会在自己的作品中构建或者强化自己的文化图式，以期得到读者的响应。在跨文化交际活动中，这种现象尤为突出。从理论上说，译者在翻译中就是对原语文化进行消弭和构建的一个过程。如果原语文化同译入语文化发生冲突，译者就要在这两种文化中通过改写、叙述和创造等方式取得一个交际功能上的优化和交际效果上的最大化。除此之外，新构建的文化图式会或多或少的反应译者的文化价值观和价值取向。本文试图通过文本分析的方法，检视几个典的英译汉和汉译英的例子来说明译者是通过什么方式来实现文化图式构建的。

关键词：文化图式 跨文化交际 文化价值观 文化取向

一、引言

图式的形成是人们生活经验和知识富集的结果，然而人们又利用业已形成的图式来检视和构建以往的生活经验，即，运用形成的一套规则去看待和理解周围的事物 (Bartlett, 1932)。而这种规则具有抽象化和概括化的特点，它会根据个人经验的发展和变化而产生相应的变化 (Nishida, 1999)。除此之外，它还具有普适性 (universal) 和特质性 (idiosyncratic)，即人们对事物的理解和看法是相同的，但是每一个人又具有特定的视角。位于这个两极中间的就是文化图式，它是形成世界观不可缺少的图式 (Rice, 1980)。

Hong (2010: 93) 把文化图式定义为“每一个文化价值观、规范和信念的知识的总和”而这种知识是熟悉的或者是生活经验中所储备的知识。当新的信息来临之后，它就激活了人的应答系统，通过提出翻译新信息的方案和继续收集与图式有关的信息等方式，处理新的信息。这个过程是建立在原有知识基础上的，目的是吸收、储存或者构建信息 (Rice, 1980)。在双语环境下，就要进行文化图式的转换，这种转换又相应地对描述和记忆社会现象的语言选择产生影响

(Nishida, 1999; Hong, 2010; Benet-Martinez, Lew, Lee, & Morris, 2002)。

近年来,文化图式与翻译这个领域大多关注的焦点在图式的具体层面即语言和语意的跨文化处理上,例如,刘明东(2003)提出的A-A对应法、A-B对应法和A-Zero对应法就是比较典型的研究,而很少有人去关注语用层面和符号层面上文化价值观在翻译中的影响和作用。

本文试图通过典型的汉英和英汉翻译语料研究,来说明在跨文化交际中译者是如何通过翻译这个载体传达或者改变自己原有文化价值观(default values),从而起到吸收异域文化和传播自己文化的作用。要说明这个问题,首先就要考察译者或者两种文化的调停者(Katan, 2004)在翻译过程中是如何通过实现文本结构(texture structure)的功能来达到自己翻译的目的,然后考察实现文本结构的制约因素是什么,最后揭示在翻译过程中文化图式构建和消弭的轨迹。

二、研究方法和选材

Hatim & Mason (1990)在功能语法的框架下提出了一个以交际、语用和符号三个维度为主的文本分析方法,揭示了译者在翻译过程中对原文文本结构进行修饰和改编的最高原则。正如Baker (1992)讲的,“对等”并不是一个翻译理论,可见在翻译过程中每一位译者都会自觉或不自觉地把“对等”看成翻译的一个操守,因此,在交际功能方面译者总是尽最大努力在语场、语旨、语式等方面契合源语文本。但是由于两种语言的差异,译者会在表达语用功能,即原文意图(intentionality)和符号功能,即原文互文性(intertextuality)等方面决定了如何去对原文结构进行修饰和改编,以便通过译文传递自己的文化取向和价值观。换句话说,译者在翻译过程中总是有一个先后次序的问题,他首先要考虑的就是符号概念(semiotic construct)以及意图,然后才考虑信息的传递,最后再考虑语言概念意义的延伸(Hatim & Mason, 1990)。

在文本分析方面,Hatim & Mason (1990)强调的是文本、体裁和话语之间的互动关系,也就是说,社交场合或者事件最终是要通过带有交际目的的文本来实现的,然而文本一定是要受到体裁,也就是社会约定俗称的东西和话语交际的态度的限制。从另外一个角度来讲,社交场合或者社交事件也反映在体裁上,通过话语态度来表达,最终通过文本来实现。这就为文本分析奠定了基础。

具体来说,本研究所要采取的方法就是要解析原文和译文文本结构,探索文本主题链,通过对文本构架和文本类型的掌握寻求文本的意图和符号意义,以达到决定文本文化取向和价值观的目的。这种分析方法实际上就是绘制原文文本轮廓和译文文本轮廓,再考察它们之间的位移(shifts)或者改变(modifications)情况。

本研究试图通过文学翻译中英译汉和汉译英译例的分析来考察文化图式在翻译中的构建和消弭过程,以揭示文化图式在文学翻译中的作用。

三、英译汉译例分析

本研究选取了英国十九世纪杰出的批判现实主义小说家萨克雷的《名利场》最精彩的开场白中的一段作为原文，而译文则是著名翻译家杨必所译。正如王宏印（2007：82）所说，这是一篇“赋予了作品以见解和灵魂”的译作，因此对此原文和翻译进行文本分析能够反映中国文化以什么样的方式去影响译文的产生。

例一：原文

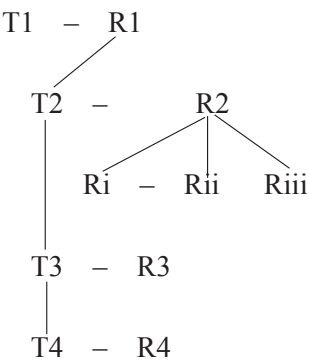
A man with a reflective turn of mind, walking through an exhibition of this sort, will not be oppressed, I take it, by his own or other people's hilarity. An episode of humour or kindness touches and amuses him here and there - a pretty child looking at a gingerbread stall; a pretty girl blushing whilst her lover talks to her and chooses her fairing; poor Tom Fool, yonder behind the waggon, mumbling his bone with the honest family which lives by his tumbling; but the general impression is one more melancholy than mirthful. When you come home you sit down in a sober, contemplative, not uncharitable frame of mind, and apply yourself to your books or your business.

这一段是萨克雷小说《名利场》开篇第二段，描述了一个旁观者对所看到的景象的感受。作者在这一段中所反映的主题链是：

a man with a reflective turn of mind >>> an episode of humour or kindness >>> general impression >>> you

从结构上来说，作者用被动句设置一个场景，然后再去描述和说明。文中使用了代词“I”和“you”，说明作者试图提出问题并加以解决，这是一个作者和读者协商的过程并在协商中带有情感。另外用被动句设置场景，目的是要强调 a man with a reflective turn of mind 的重要性，以及同“hilarity”之间的关系。第二句用比喻的方式增加了文本的跳动性。

整段的主位推进模式则是被朱永生（1995）称之为的（1）延续型，即前一句的述位或述位的一部分成为后一句的主位，这里 T 代表主位，R 代表述位，用公式表述为（T1-R1；T2（= R1）- R2）；（2）主位同一型，即前后两句主位相同而述位不同，用公式表述为（T1-R1；T2（= T1）- R2）；（3）述位同一型，即前后两句主位不同而述位相同，用公式表述为（T1-R1，T2-R2（= R1））的混合体。这说明人们在读这一段的时候期望从述位中挑选一些新的信息并且能够转换一些场景，加强阅读体验，而每一句都保持逻辑上的紧密联系，一脉相承。很显然，破折号之后的述位成分，不但使用同一类型的分词结构，而且前后长短错落有致，同时也为读者提供了大量新的信息（见图一）。



图一、原文主位推进模式

很显然这是一个阐述型的文本，而这一段所要表达的一个社会场景是通过同作者写作意图相适应的阐述型文本来实现的，它的态度表述是通过下面一些词句和短语表达的。

表一、原文的态度表述

I/a man: a reflective turn of mind	The fair
Hilarity	Hilarity
Sober, contemplative, not uncharitable frame of mind	Humour and kindness
Being touched and amused	A pretty child
Melancholy	A pretty girl
	Poor Tom Fool/honest

从表一可以看出，萨克雷刻画了两种完全不同的景象。有思想的人在看到这种表面上热闹非凡的场面之后，他的心情是凝重的，因此在用词方面都比较正式，以表达这种心情。相反，在描述市场中人物的活动时，用词比较随意，甚至出现了方言词，如“yonder”，并且产生了一些声学效果上营造出来的热闹景象，如“mumbling”和“tumbling”。

从图一可以看出，原文主位推进模式比较简练，层级不多，很直观，逻辑主线很明确。在描述方面更侧重于对事实的刻画，这个故事的主线是：一个很有思想的人在看到这样一个热闹的市场之后，心里却感到很不是滋味，然而他在回味和考虑之后，又悠然地读起书或者做起事来了。这同在基督教熏陶下的英国人处事不惊的态度又是何等的相似啊！从符号学角度来说，是不是也反映了一种文化心理。

然而杨必的译文则是以轻松活泼的形式，恰当地体现了原文中的讽刺和幽默的效果：

例二、译文

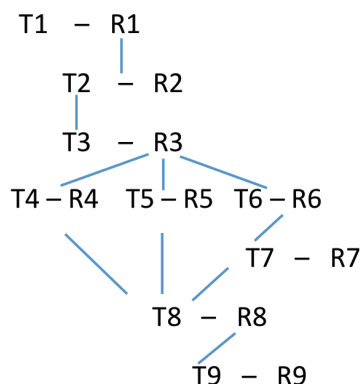
我想，凡有思想的人在这种市场上观光，不但不怪人家兴致好，自己也会跟着乐。他不时的会碰上一两件事儿，或是幽默得逗人发笑，或是显得出人心忠厚的一面，使人感动。这儿有一个漂亮的孩子，眼巴巴的瞧着卖姜汁儿面包的摊儿；那儿有一个漂亮的姑娘，脸红红的听她的爱人说话，瞧他给自己挑的礼物；再过去是可怜的小丑汤姆躲在货车后头带着一家老小啃骨

头，这些老实人就靠他翻筋斗赚来的钱过活。可是话又说回来，大致的印象还是使人愁而不是逗人乐的。等你回到家里坐下来读书做事的时候，玩味着刚才所见的一切，就会冷静下来，对于别人的短处也不太苛责了。

译文所呈现的主题链跟原文略有差异，即

我想 >>> 他碰上事 >>> 这儿有 >>> 那儿有 >>> 再过去是 >>> 大致印象 >>> 玩味

从结构上来看，译文中没有使用原文中的被动结构，而是使用了主动结构。这一段以“我想”开头，更加凸显了个人情感的描述，随后解释其产生的原因和对那个具体场景的描写，最后话锋一转，表达了局外人对此种市场的看法。从词语使用上来看，口语词的使用并没有一个特定的分布，比如“乐”、“逗人”、“眼巴巴的瞧着”、“脸红红的听”、“啃骨头”、“过活”等等这些词都用在了“有思想的人”和市场中出现的人物身上。总体上来说，译文比较轻松活泼，以不经意的态度表达了一种幽默和讽刺。不像原文那样对比明显，泾渭分明。这固然同汉语特点有关，但也反映了对待事物的态度。



图二、译文主位推进模式

图二显示同原文相比，译文虽然在文本类型上没有发生多少变化，但其主位推进模式具有很大差别。译文是在 T1-R1 统领下推进的模式，具有一个上下层级的关系。首先出现的是一个主位同一型，然后出现了一个述位分裂型，正如图二所示 R3 分裂成了三个不同的主位述位结构，随后又出现了一个延续型推进模式，再出现的是一个述位综合型模式，最后又是一个延续型模式。跟图一相比，显然这是一个具有层级结构的、既有分裂又有综合的一种模式，很大部分的原因是汉语本身的短句和意合的特点造成的。一个有意思的变化出现在了原文的主位同一型变成了译文的延续型。也就是说英文的阐述（见图一）是以相互关联的 T2、T3、T4 为重点展开的，尽管 T3 和 T4 之间是一种隐含的关系。而翻译中明示化手段的使用明确了 R8 和 T9 的关系，这样一来译文就变成了以延续型为主的主位推进模式。

表二、译文的态度表述

我 / 有思想的人	市场
观光	幽默
不怪人家	人心忠厚
跟着乐	漂亮孩子眼巴巴
逗人发笑	漂亮姑娘脸红红
使人感动	可怜的小丑躲在车后
使人愁	
玩味	
冷静	
不太苛责	

从表二可以看出，译文表达了“有思想的人看到这些可怜的人让人愁但也不怪人家”这样一个思想。具体来说就是，我这个有思想的局外人、看客，别人乐我也乐，看到这个场景觉得感动，但又好笑，同时也有一些让人发愁的滋味，但是冷静下来以后也就不苛责这些人了。

原文中的“not be oppressed”、“melacholy”和“not uncharitable”变成了“不怪”、“愁”和“不苛责”。“oppress”强调的是“让人情绪低落和不高兴”而“uncharitable”则是“对人不善不宽恕”。在这里原文中带有的基督教文化就被消弭了，取而代之的就是一种“同情”与“怜悯”的文化态度，集中反映在“眼巴巴”、“脸红红”和“可怜”这些词上。这种流露于字里行间的“悲悯”之情是基督教文化中不曾有过的，而更多的是佛教文化或者是儒家文化的体现。上面谈到的原文述位同一结构到译文延续型结构的变化，也更加体现了中国人对一件事情的处理态度。

原文中那种波澜不惊的描述和处事态度，在译文中发生了质的变化。译者使用了“不但不……，也……”和“还是……，而不是……”等表示强调的句型，活脱脱地表明了自己的观点和看法。那么从微观上来看，带有中国思维的总分总结构也体现在了这一句中：

他不时的会碰上一两件事儿，或是幽默得逗人发笑，或是显得出人心忠厚的一面，使人感动。

尽管但从主位述位结构来看，这只是一个简单的 T-R 结构，但却是一个典型的套管式话题链（telescopic chain）（Chu, 1998），而这是汉语中独有的（王建国，2008）。

总之通过这个译例的分析，我们可以看到译者在一定合理的范围之内总是通过语言和文字在不知不觉的情况下传递了自己的文化图式，这个传递的过程就构建了自己的文化图式。这正如中国话剧演员来到英国给英国观众演出了一场莎翁的剧作《查理三世》一样，它的改变带有很强的中国体验和文化一样。

除了文化价值观的差异和文学夸张效果的体现之外，译文和原文在文本类型和逻辑思维上的变化都不大。

另外，在下面的译文中杨必完全演绎了中国文化对一个“人”的追求。

例三、

...yet, as it sometimes happens that a person departs his life, who is really deserving of the praises the stone-cutter carves over his bones; who is a good Christian, a good parent, a good child, a good wife or a good husband; who actually does have a disconsolate family to mourn his loss;

例四、

不过偶尔也有几个死人当得起石匠刻在他们朽骨上的好话。真的是虔诚的教徒，慈爱的父母，孝顺的女儿，贤良的妻子，尽职的丈夫，他们家里的人也的确哀思绵绵地追悼他们。

四、汉译英译例分析

文化图式的构建和消弭过程同样存在于汉语小说的英译例子中。这不但体现在交际功能上，也体现在语用功能和符号学意义上。汉语是以意合为主的语言，而英语是形合为主的语言，英语中词汇丰富的形态变化、多样的同义词和近义词，以及丰富的语篇衔接手段（Baker, 1992；郑鸿芹，2015），形成了英语“求新求异”的特点，即不愿意固守过去的表达或盲从他人的言辞用语，如习语、典故、名人名言等。相反，汉语方块字没有丰富的形态变化以及同义词和近义词，因此在语篇表达方面就要“趋古求同”，利用汉语二字结构、三字结构、甚至四字结构，且引经据典来强调语言的诗韵化美学功能（王宏印，2007；熊莉清 & 李英军，2007），这样以来，重复现象就不可避免。

正如 Pellatt & Liu（2010：117-118）总结的那样，汉语行文比较正式，追求华丽的词藻和含蓄的美；而英文语言使用比较通俗易懂，尽量不使用艰涩的词汇，目的是要拉近同读者的距离。因此在汉译英的时候就存在一个在话语中彰显哪一种文化图式的问题。

温家宝 2003 年在世界旅游组织 15 届全体大会上的致辞中有这么一句话：

例五、

在古代，中国先哲们就提出了“观国之光”的思想，倡导“读万卷书，行万里路”，游历名山大川，乘天地之灵气，接山水之精华。

这句话完全具备了汉语的一切特点，它不但引经据典，而且也有意义上的重复，只不过句子后半段的三个“六字结构”是对前边“读万卷书，行万里路”的具体化和扩展。

中国外交部的正式翻译，保持了原文的结构，并且在英文中也相应地使用了引号。而在 Pellatt & Liu (2010) 看来，这个翻译不仅累赘、句子拖沓，而且使用了在英文语境中往往会产生讽刺或者戏虐效果的双引号。自然官方翻译的句型都采用了 SVO 结构，没有句型上的变化。在主位推进模式上也只有主位同一型一个类别，读者的阅读体验不强。下面是 Pellatt & Liu (2010：118) 建议的英文翻译：

例六、

In olden times, Chinese philosophers spoke of the joy of travelling in China. For them it was as important to travel, visiting famous mountains and great rivers, absorbing the spirit of nature and the essence of the landscape, as it was to read many books.

那么, 这个翻译在句式上, 产生了变化不再是单一句式的重复, 利用分词结构的形式来翻译汉语中六字对仗结构。去掉了引号, 删除了“思想”这个词, 把“提出”和“倡导”这样很正式的词汇, 合成了一个非正式的口语词“spoke of”。另外, 也在行文中化解了汉语中的熟语, 也就是把原文中有“迷思”色彩, 并能够激活文本之外知识和信念的引文变成了英语语言对文本连贯性的一个基本要求, 这就更加凸显了英语文化和价值观的作用 (Barthes, 1970)。自然也把原文中的主位同一型推进模式变成了延续型模式。

在处理张贤亮的小说《小说中国》中的一段翻译中, Pellatt & Liu (2010) 更是在原文中构建了英语文化图式, 把一个英国人人熟知的小丑形象加入了汉语原文。

例七、

试想, 每家每户每人, 天天月月年年, 都必须仔仔细细地将自己的支付能力在一大堆表明各种数字的票、券、证中作出最合理的支配, 将货币形式的工资在各种票、券、证之间作出最经济最符合数学的搭配, 力求使自己在维持生命的基础上尽可能活得好一些, 在这样的数字化生存中, 他们哪还有精力和心思关注各种票证数字之外的事? 怎么能再去关心“国家大事”?

Pellatt & Liu (2010:139) 提供了这样的翻译:

例八、

Think about it: every single person, day in day out, year in year out, had to scrutinize their finances painstakingly, making the most sensible use of the great pile of coupons, certificates and cards. They had to make the most economical, arithmetically feasible allocation of their cash wages, juggling wages and coupons. Spending every ounce of their energy scraping together a decent life, how could they find the strength and motivation to consider things beyond the world of coupons? How could they find the wherewithal to think about the great affairs of the nation?

汉语原文反映了一个在改革开放之前的一种普通城市居民的生活场景, 这自然描述了那个时期人的思想和价值观。从“数学搭配”这个比喻方式, 也体现了作者本人对这个历史时期一种讽刺和调侃, 文中对“票、券、证”和时间的重复以及并列句型“将……作出……”加强了这种效果。而翻译也采用了一个并列句型, S + had to + -ing 和由一个分词结构引出的两个问句。原文的主位同一型推进模式在数量上发生了变化, 而没有本质上的区别。然而原文的讽刺效果在译文中通过增加的 scrutinize painstakingly, spending every ounce of their energy scraping together a decent life, 以及 find the wherewithal 来得以实现, 为了使译文具有画面的质感, 又增加了“juggling wages and coupons”, 在美学效果上采取头韵的方式把“票、券、证”翻译成了“coupons, certificates and cards”。

这种通过对自己文化图式的构建和原语文化图式的消弭来在读者中引起共鸣的例子，也出现在了美国翻译家 Cathy Silber 对美籍华人作家严歌苓作品《扶桑》的翻译中。严歌苓在自己的小说里描述了女人对男人或者弱者对强者的宽恕以求最终达到女性主义的胜利，而西方女性主义话语中，两性天生是平等的，因此 Cathy Silber 就把带有菩萨意向的“宽恕”就给删除了（陈丽娟，2011）。

例九、

他想，那个跪着的扶桑之所以动人，是因为她体现了最远古的雌性对雄性的宽恕与悲悯；弱势对于强势的慷慨的宽恕。

例十、

He thought, what made the image of Fusang kneeling so moving was the fact that it embodied the age-old compassion of women for men.

五、分析和结论

翻译从本质上来讲，就是跨文化交际。在翻译过程中，译者为了有效地实现言语行为就要考察语言中带有文化因素，受交际方式、思维范式、价值观和社会规约的影响势必要对原文中的一些符号和语用参数加以修改或者替换删除，而这种修改和替换删除都不是有意识进行的，而是一种权宜之计。所以翻译本身就像是“引用”或者“引文”，那么“等效翻译”是不存在的（Kallia, 2009）。换句话说，在跨文化交际中改写和替换删除就变成了最主要的书写手段（Sun, 2014），其根本原因在于译者的文化适应是双向的，所以在这个过程中没有产生价值观上的变化（Nishida, 1999）。

然而，这种文化图式上的构建和消弭不总是在无条件的情况下进行的，首先要受到社会话语的制约，比如在当时的社会条件下译者的观念和社会观念的契合程度以及译者同他周围的人（出版社等等）协商妥协的情况。再次要受到体裁范式的限制，这些都最终反映在文本结构和语言使用方面。

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Teaching Strategies of General Culture and Literature with Examples from the Course in CUHK

通识文化与文学教学策略初探——以香港中文大学“中国 文化与文学”通识课程为例

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摘 要：中国文学与文化关系密切，可以说阅读中国文学作品，是了解中国文化特征的主要途径之一。香港中文大学通识课程中就设有“中国文学与文化”科目，希望透过教授中国文学篇章，引导学生认识作品中的文化义蕴，从而提高学生的人文关怀。本文以笔者所设计的“中国文化与文学”课程为例，探讨如何利用单元教学，在文本细读与文化阐释交互的过程中，达至通识文化、文学教育的实践。本文希望借着主题式的专题介绍及“文本”与“文化”对话的教学策略，提高学生认识中国文学与文化之兴趣，并由此培养学生文学赏析与文化内涵的素质。在具体讨论后，本文会附以教学问卷调查，以作出全面的检讨，期望能为日后相类的课程提供适切的参考。

关键词：中国文化、中国文学、教学策略、课程设计

1. 引言

不少学者指出中国文学是了解中国文化的一种重要途径，如钱穆先生〈中国文化与中国文学〉（1998：33）一文曾分析中国文学与文化之关系，其云：“文化乃指人类生活多方面的一个综合体而言，而文学则是文化体系中重要之一部门。欲求了解某一民族之文学特性，必于其文化之全体系中求之。换言之，若我们能了解得某一民族之文学特性，亦可对于了解此一民族之文化特性有大启示。”可见钱先生认为中国文学是中国文化其中一种重要的组成部份，要了解中国文化的特点，可从中国文学作品中加以探究。香港中文大学通识课程就设有“中国文学与文化”科目，其宗旨在于透过教授中国文学作品，让学生认识中国文化的特点，以提升他们对中国文化的了解及鉴赏文学作品的能力。笔者曾于二零一四至一五年度下学期任教此科，由于

课程的对象是非中文系的本科学生，他们大都较少接触汉语及中国文化知识，而且来自不同学院与学系，这就引起笔者思考如何配合不同水平与背景的同学之需要。为了提升教学质素，笔者重新设计此科教材及教学方法，其具体内容与教学策略如下：

2. “中国文学与文化” 课程设计

有关“中国文化”的专著非常丰富，如谭家健《中国文化史概要》（1988）概括了中国古代的典章制度、各体文学、哲学宗教、文化艺术等的数据。又张岱年、方克立《中国文化概论》（1994）全面地介绍了中国历史、文化、政治、经济、文学、艺术等方面的知识，可见前人对于中国文化的特点作出了多种概括。但以文学作品为主要阅读教材，并深入分析文学中的文化元素的论著并不多见。当然，不少中国文化的论著都或多或少地提及中国文学的文化特点，如李中华《中国文化概论》（1994：62-67）指出中国文学的基本特征为：一、带有浓厚的人文气息；二、性情与道德合一，文学与人格合一；三、委运知命的乐天精神。李先生的概括的确有助我们了解中国文学的精神面貌，然而在论述的过程中，碍于篇幅，李先生只能以简明的文学例子去论证其观点。由于本课程的对象是非中文系本科生，他们较少阅读中国文学作品，亦对中国文化传统缺乏认知，故此，这种宏观概述虽可参考，但亦未必能够帮助学生深入地掌握中国文学与文化具体的特点。有鉴于此，“中国文化与文学”课程以介绍中国古典文学作品作主线，包括了不同的文学名著，如《诗经》、《楚辞》、汉乐府诗、陶渊明诗、杜甫诗及元杂剧等，希望透过作品的研读，让学生认识不同时代中各种文学体裁中的文化义蕴，以加强他们对中国文化与文学的感性认知。

2.1 课程的基本设计

本课程的教学目标是希望学生透过接触中国古典文学，从而了解中国文化及中国文学的特点，并认识时代、地域文化、汉语的特点、哲学思想等文化因素对中国文学的影响，以扩阔其视野。据此，笔者所设计的课程希望让学生认识中国古典文学的不同类别、形式及写作技巧，并引导学生讨论其中的文化观点。授课方式讲求讲授与讨论并重，课程内容可分为两部份，第一部份着重介绍文学作品的背景资料，如朝代、作者、文学体裁、前人评论等，藉以使学生能“知人论世”，打下了解文本的基础。如在“陶渊明诗与酒”之单元，讲授内容先由作者生平、前人评价、作品基调等数据开展，其后才进入文本阅读。第二部份利用专题形式，选读若干相同主题的作品，并由作品出发，重新引证前人对中国文化特点之论述，如上述陶渊明之单元，在讲解陶诗文本后，再具体阐释陶诗中“酒”的意象在中国文化史上的意义。在讲授的过程中，笔者不时在所选取篇章中提出若干问题，以在课堂中与同学互相讨论，加强课堂的互动性。

本课程的单元一为导论，以论述“文学”与“文化”之内涵，其他单元则采取主题式的设计，每一单元以一文化焦点作中心，从而组织不同文学篇章，具体如下：

图表一：课程大纲

周次	讲课内容
一	单元一：中国文学与文化导论
二	单元二、《诗经》与情
三	单元三、屈原与九歌
四	单元四、《史记·游侠列传》及其文化意义
五	单元四、《史记·游侠列传》及其文化意义
六	单元五、《孔雀东南飞》与中国悲剧意识
七	单元五、《孔雀东南飞》与中国悲剧意识
八	单元六、陶渊明诗与酒
九	单元七、杜甫诗与中国学术思想
十	单元七、杜甫诗与中国学术思想
十一	单元八、《王粲登楼杂剧》及其文人文化精神
十二	单元八、《王粲登楼杂剧》及其文人文化精神
十三	课程总结

（香港中文大学每一学期的上课时间约为十三周，而本课程的课时为每周两小时）

单元一、中国文化与文学导论

本单元为导论，主要论述“文学”与“文化”之关系，并引导学生认识以下问题：1. “文学”的含意？2. 我们为何需要文学？3. 文学有什么功能？4. 文学与文化之关系。在此导论中，本课程特别强调我们应该从文学的功能去了解人生、文学与文化之关系。如钱穆先生在《世界局势与中国文化·文化与生活》（1998：61）指出“人生”与“文化”关系密切，“人生”是“文化”的组成部份，同时“文化”又是“人生”的生存空间。当我们了解“人生”与“文化”的关系后，那么“文学”又如何与“人生”、“文化”产生联系？简言之，“文学”就是连系“人生”与“文化”的桥梁，这可从“文学”的功能作引证。朱寿桐《文学与人生十五讲》（2006：93-100）曾分析文学的功能，分别是“体认人生”、“延展人生”及“滋养人生”。当我们利用“文学”去探讨“中国文化”的特征时，所注重的是文学“体认人生”的功能。而在阅读中国古代文学作品的过程中，学生亦可享受到文学“延展人生”及“滋养人生”的作用。透过以上的导论，可让学生了解到中国文化与文学的性质及两者与“人生”之间的关系。

单元二、《诗经》与情

本单元主要探讨人情与中国文学作品之关系。《诗经》乃中国第一本诗歌总集，距今已有三千多年的历史，其中以民间的民歌为主，加上士大夫及庙堂的祭歌所组成。《诗经》作品中的一大主题就是“人情”，其中包括亲情、爱情、友情等都是《诗经》的描写对象，由此可反映中国文化中重情之特点。

单元三、屈原与九歌

本单元主要探讨地域文化对文学之影响。屈原之《九歌》乃改编自楚地民间的祭歌，其中的内容来源楚地的神话传说，有强烈的楚文化特点，故此研读《九歌》对了解地域文化与文学作品之关系有更深入的认识。而屈原对神话、传说的吸收与转化，实为文人创作的一大贡献，有重要的文学及文化地位。

单元四、《史记·游侠列传》及其文化意义

本单元主要介绍司马迁生平、《史记·游侠列传》的内容及其文化意义。司马迁创立中国第一本纪传体通史，上至帝王将相，下至平民百姓都见载于《史记》中。而《史记》特立〈游侠列传〉，把游侠作为专门的描写对象更是史迁的创见。〈游侠列传〉使我们对“游侠”这一阶层有更深入的认识，并能了解史迁对游侠的特殊看法，从而掌握西汉前期的游侠风尚，故此〈游侠列传〉在文化学上有其特别的意义。此单元亦结合后世歌咏侠士的文学作品，如李白〈侠客行〉等，加以介绍，以见“任侠”观念之演变。

单元五、〈孔雀东南飞〉与中国悲剧意识

本单元主要介绍〈孔雀东南飞〉的内容及其所展现的悲剧意识。前人认为中国小说戏曲并无西方之悲剧，而中国的悲剧亦不及西方的凄美。唐君毅先生认为中国悲剧自有其特点，当与西方悲剧别而论之，才可了解中国的悲剧意识。本单元以古诗〈孔雀东南飞〉的故事情节来比照唐君毅先生的观点，以见中国式的悲剧意识，从而反映中国文学的精神面貌。

单元六、陶渊明诗与酒

本单元主要介绍陶渊明的生平及其诗作，并说明陶诗对“酒”的描写在中国文化上的意义。陶诗的主题以山水田园为主，其中反映出作者归隐自然、平淡自适的生活态度，这种志向对历代文人有很大的影响，可以说陶渊明已经是隐逸诗人的象征。而“酒”在其诗中并非只是一个普通的描写对象，而是将其生活意志诗意地展现的工具，故陶诗中的“酒”具有特别的文化意义。

单元七、杜甫诗与中国学术思想

本单元主要介绍杜甫生平及其诗作，并尝试指出汉语特点与唐代近体诗格律之关系，最后

探讨中国哲学思想对杜甫诗作之影响，以见中国学术思想与文学作品之关系。

单元八、《王粲登楼杂剧》及其文人文化精神

本单元主要探讨元代特殊背景对元杂剧创作之影响。元代是蒙古人以异族身分统治中国的第一个朝代，其中歧视汉人的政策，令汉族文人多失意于仕途，而将毕生精力投入于杂剧创作。故此，杂剧中的情节就是文人抒发其郁闷的最佳媒介。《王粲登楼》亦不例外，作者透过对历史上王粲事迹的改造，表达出其怀才不遇的感叹，道出了当代文人的精神面貌，反映了作家的文化背景与其创作风格的关系。

以上七个单元，皆从不同体裁的文学作品说起，既注重文本的阅读，亦重视其中的文化精神的阐释，从而展开中国文学与文化的多元论述，以提升同学对中国文学与文化特点感性的认识。

2.2 主题式单元设计

黄美铃〈通识文学教育的核心能力培养——以交通大学文学经典课程为例〉(2010: 40)指出“主题式单元设计即是以主题作为学习核心，用主题来组织教材，以相关性内涵引出整体单元学习目标。主题式的课程设计，由相关的主题链接、解发，见树见林，经由这些主题带出该单元学习的核心要素。”可见主题式单元教学之好处。

上述的课程设计，基本就是以不同单元作主线，串连各种教材。例如，在“《诗经》与情”单元中，笔者以“人情”作为线索，在三百零五篇的诗歌中选取三首不同情感的作品向学生进行导读。在讲授之先，笔者先以现代学者吴森〈情与中国文化〉(1978: 27-52)一文作引子，让学生了解中国文化精神中有重情的特质，文中以儒家思想讲求“三年之孝”为例，指出古人对父母有情，其后吴氏更举出多个中国文学的例子，如潘岳、杜甫、苏轼等的作品，以证明“中国人对情的重视，不只是对父母兄弟子女夫妇朋友之情，也不只是对一般贫苦大众之情，而且对死人有情，进而对古人有情”，可见中国文学作品中的情意。

其实早于西周的《诗经》已经有大量描写人情的作品，包括亲情、友情、爱情等的描绘，而《毛诗·大序》云：“诗者，志之所之也。在心为志，发言为诗。情动于中而形于言，言之不足，故嗟叹之；嗟叹之不足，故咏歌之；咏歌之不足，不知手之舞之，足之蹈之也。”所谓《毛诗》乃指西汉时期鲁国人毛亨注解《诗经》的著作，其中解释了诗与歌、舞的关系，而“情动于中而形于言”就指出情意人在心中活动，如果通过语言表达出来，那就形成了《诗经》的作品，可见古人认为《诗经》就是情意的反映，而《诗经》的篇章就是中国早期文化中人情味的表达，其中亦可以显示中国文化中重情的特点，从而引证吴说。

《诗经》中有大量描写人情的作品，笔者以亲情、爱情及友亲作主题，介绍《诗经》的篇

章,从而让同学了解中国早期文学作品中对各种人情的表达:一、亲情:《小雅·蓼莪》;二、爱情:《卫风·木瓜》;三、友情:《小雅·伐木》。除了感情的线索外,笔者选这三篇亦在呼应《诗经》三种的表达技巧——“赋”、“比”、“兴”。如《小雅·蓼莪》首句:“蓼莪者莪?匪莪伊蒿。哀哀父母!生我劬劳。”清人马瑞辰《毛诗传笺通释》(1989:328):“莪蒿即茵陈蒿之类,常抱宿根而生,有子依母之象,故诗人借以取兴。”可见《蓼莪》首句用以莪、蒿、蔚等植物作起兴,利用了蒿类植物的特性,以抱根而生的莪与散生无用的蒿、蔚作对比,把自己对父母的思念形象化,并由此物象联想到父母的劳苦,将其人生的境遇与自然景物合一。

而《卫风·木瓜》:“投我以木瓜,报之以琼琚。匪报也,永以为好也。”全诗三章,每章只换入个别字眼,以诗人口吻反复咏唱两家互相赠答之情谊,明显用“赋”,直接描写出赠答双方的情意。又《小雅·伐木》:“伐木丁丁!鸟鸣嚶嚶。出自幽谷,迁于乔木。”近人林义光《诗经通解》(2012:182)云:“伐木,喻朋友相切直也。凡木枝有时须伐之以促其木之成长,朋友切直之言逆耳而有益,如伐木反可以益木。”可知林氏以为《伐木》首句即用“比”。钱穆《中国文学论丛·中国文化与中国文学》(1998:34-36)曾经指出《诗经》这种比、兴技巧不单止是一种文学的手法,更是一种将“人生”与“自然”融为一体的艺术呈现,最能体现中国传统思想中“天人合一”的精神。由此可见,透过教授《蓼莪》、《木瓜》、《伐木》等三篇作品,学生既可以体味中国古代不同类型的情思,又可深入了解中国传统诗歌各种基本的表现手法及其文化精神。

又如,另一单元“杜甫诗与中国学术思想”,以中国学术思想对文学作品的影响作主题,选取杜诗中不同内容、风格的作品,从而显示中国文化与文学互融的特点。本单元先介绍杜甫生平,又以杜诗为例,简介唐诗之体制,以指出唐诗格律与汉语特点的关系,让学生加深对杜甫与唐诗之认识。其后以儒家思想、道家思想、佛家思想为线索,重点介绍杜诗与中国学术思想之关系。邓小军《论中国传统诗歌的文化精神》(1989)指出中国古典诗歌中包含了丰富的人文精神,诸如以仁为根本、民胞物与、国身通一以及天人合一等,其中可以显示出中国文化的特点,而文中更多以杜诗为例,加以阐释,反映杜诗的文化精神面貌。而杜诗这些文化精神其实源于不同的哲学思想,如儒家、道家、佛教等,此单元将分别举例说明,以见各种哲学思想与杜诗之关系,从而了解杜诗文化精神的根本:在“儒家”主题下,本单元选取了《奉赠韦左丞丈二十二韵》、《无家别》;在“道家”主题下,本单元选取了《立秋后题》、《题张氏隐居》;在“佛教”主题下,本单元选取了《游龙门奉先寺》、《江亭》,一共六首作品。此六首作品亦包含了唐诗不同的体裁,如五言古诗、五言律诗及七言律诗等,既可丰富学生对唐诗体制的了解,亦可反映杜甫“兼善众体”的艺术才华。

为了能做到具体的讲解,此单元的教材力求深入浅出地表达杜诗与中国学术思想之关系,如在讲授《奉赠韦左丞丈二十二韵》后,教材罗列儒家文献材料以引证杜诗中的儒家取向,如《论语·阳货》:“子曰:夫召我者,而岂徒哉!如有用我者,吾其为东周乎?”孔子以为若有上位者用他,他必藉此以复兴周道。而诗中杜甫透露自己的志向是“致君尧舜上,再使风俗淳”,

与孔子的志向相同，明显是儒家入世，欲以治国治民之思想。又《孟子·公孙丑下》：“如欲平治天下，当今之世，舍我其谁也？吾何为不豫哉？”孟子这种自信能治世的奋发精神，与杜诗中“自谓颇挺出，立登要路津”的论调颇为一致，可见孟子与杜甫均有积极向上之志，这些书证皆可反映儒家思想对杜甫之影响。

总而言之，主题式的单元教学，可以避免单调、单向的文本教授，而透过不同主题重新组织教材，以突出各种中国文化与文学的特点，更容易让同学们掌握课程中的内容。

2.3 “文本”与“文化”对话——学生课堂参与的多元教学模式

为了引起学生的课堂参与，并提高他们对该科的兴趣，本课程不单利用单元主题组织教材，并利用“问题”及“文化现象”作中心，引起同学参与，深入地讨论相关的论题。如单元五“〈孔雀东南飞〉与中国悲剧意识”，在教授篇章后，笔者以唐君毅先生对中国悲剧之论述作讨论的焦点，从而启发同学思考。唐君毅《中国文化之精神价值》（2000：349-353）曾讨论中西文学作品悲剧意识之差异，云：

中国文学之缺点之一，常言为缺西方之悲剧。莎士比亚之悲剧中，罗密欧与朱丽叶只相遇于坟墓。在中国之牡丹亭中，则必有杜丽娘之还魂。在歌德之浮士德中，马甘泪被焚，即魂飞天国，一去不还。而中国之长生殿中，则必求杨贵妃之重返人间。一般中国小说戏曲，大皆归于大团圆。……西方悲剧之使人有解脱感，并使人对纯粹精神价值或纯善，有一直觉的观照，乃西方文学之最能提高人类精神境界之处。至于西方悲剧恒不免过于激荡人之情志之流弊，亦不足以掩其提高人类精神境界之功。唯中国文学之未有此种悲剧，其故亦可得而言。即依中国文化精神，恒不愿纯粹精神价值之不得现实化，亦不忍纯精神世界，不得现实世界之支持是也。欲使精神世界得现实世界之支持，则人之德性，宜与福俱。百备之谓福。则人之行善而犯小过，终于悲剧，即不能使人无憾。……然自己为善而意在求乐求福，固非真纯之求善者。若对他人之为善者，皆使之终于得乐得福于现世，则亦可谓出自吾人使福乐随德行以俱往，以使现实世界隶属于精神世界之大愿与深情，所以免精神世界之寂寞虚悬于上者也。若中国文人之作小说与戏剧者，……若出于后一动机，以使悲剧归于喜剧，归于团圆，又可以表现百备无憾之人生要求。夫然，西厢记之“愿天下有情人皆成眷属”，亦无私之至仁精神之表现。而续红楼梦、续西厢、续水浒之意，亦未可厚非者也。

唐氏解释中国无西方悲剧之原因，在于中国文学作品出于对善人的鼓励，希望其精神境界得到现实世界的支持，从而发挥人的德性。唐氏（2000：353-361）又曾分析中国之悲剧意识云：

中国小说戏剧中，虽少西方式悲剧，然亦非全无中国式之悲剧意识。……中西悲剧意识之不同，吾意为西方之悲剧，皆直接关涉个体人物或人格之悲剧。中国之悲剧意识，则为“人间文化”之悲剧意识。故红楼梦之悲剧，非只宝玉、黛玉二人之悲剧，乃花团锦簇之整个荣、宁

二府之悲剧。七十回本水浒传，收束于一梦，实亦使整个水浒，笼罩于一中国式之悲剧情调中。……吾人读西洋之悲剧性之小说戏剧，恒见其悲剧之所以形成，一方由悲剧主角之沈酣于其理想或幻想，力求所以达之，而坚执其行动与事业，终以其性格缺点之暴露、客观宇宙社会之力量与内心要求之冲突，而形成悲剧。故西方式之悲剧，实即主观之力与客观之力二者相抗相争之矛盾之所成，而悲剧之结局，则归于自我意志之解脱，与精神之价值之凸显，如吾人上之所论。然在中国，则根本缺乏此种形态之悲剧意识。

可见唐氏认为中国的悲剧不同于西方，因中国的悲剧不单止牵涉主角一人的命运与性格，而是整个社会、文化、背景所形成的。又唐氏分析了西方悲剧的特点在于主角个人与社会之矛盾冲突所形成，而中国则欠缺这种凸显个人意志解脱的悲剧。

唐先生的分析重于中国的小说戏曲，不及古诗〈孔雀东南飞〉。笔者在课堂中，引导学生从〈孔雀东南飞〉的内容去引证唐先生的观点，希望透过学生参与，令“文化”与“文学”进行多元对话，从而进一步培养学生对中国文化的感性认知。

首先，在课堂中，教师可以引领学生讨论〈孔雀东南飞〉的结局是否属于“悲剧”。在诗中，主角焦仲卿及刘兰芝因焦母、刘兄的反对与迫婚，最终殉情自杀，表面上，诗的剧情属悲剧无疑。然故事最后“两家求合葬，合葬华山傍”，以家人赞成合葬作为全诗之结局，使死者得以同死，这未尝不是“有情人终成眷属”的另一形式。如是看，此与唐氏所言，即中国悲剧倾向大团圆结局的观点相合。

又教师可以让学生探讨诗歌中的鉴戒意味，如诗最后两句言：“多谢后世人，戒之慎勿忘！”可见诗的作者希望世人以此爱情悲剧为戒，劝导后世为人父母兄长者不应再压迫儿女，使之轻生，反映全诗是以唐氏所言“使精神世界得现实世界之支持”为目的，以免此种悲剧再重蹈覆辙，则此点又可与唐氏的观点相参照。

最后，教师可以引导学生讨论诗中悲剧发生的原因。上述唐氏认为中国悲剧剧情的产生在于社会、人间文化，而非单纯地由主角推动，这亦可从〈孔雀东南飞〉中引证。如上所言，焦、刘二人的悲剧，皆非纯粹个人对爱情的追求而产生，先是焦母对刘女的不满，而令仲卿休妻再娶。再者，刘女被弃回家后，又被长兄迫婚而再嫁，可见两人最后殉情，是由于中国传统的封建观念而引起的，这即唐氏所言之“人间文化”。

又如在“《史记·游侠列传》及其文化意义”单元中，笔者先详细地向学生介绍《史记·游侠列传》的内容，使他们知悉司马迁对游侠的定义及其评价，并了解《传》中各游侠的行事与形象。其后，笔者指出自《游侠列传》标举“游侠”此一阶层后，历代不乏歌颂“游侠”的文人，“游侠”已成为后代文学作品主要题材之一，如唐代的李白即以“任侠”自居，其诗作中不少题材都是刚健爽朗的侠客之士。笔者以李白《侠客行》为例，指出中国文学作品中有“尚侠”的文化现象，并引导同学讨论李白诗中的“侠”与《史记·游侠列传》中的“游侠”在形象、行事上的异同，从而启发学生思考“侠”在中国历史中的演变。

经过以上多角度的讨论，既把教学重点变成不同问题，引起学生思考，又把讲述方式从

“单向讲授”走向“集体讨论”，加强同学的参与。在这过程中，学生不单阅读文本，更学懂从文本中引证学者对于中国文化特点之论述，并运用其批判思维令“文本”与“文化”产生对话。

2.4 利用多媒体资源引入主题

在课程中，教师亦可以利用不同的媒体资源，如舞台剧、电视剧集等，来引入主题，从而增加课程的趣味性。如在“屈原与九歌”的单元，笔者在讲解〈湘君〉、〈湘夫人〉迎神、送神的情节后，继而介绍台湾剧团“云门舞集”近年以现代舞重新演绎《九歌》中的“湘夫人”，由此反映屈原作品的魅力至今不衰。又如在“〈孔雀东南飞〉与中国悲剧意识”的单元中，笔者以内地剧集《孔雀东南飞》的情节引入原文的讲授中，引导学生讨论剧集情节与原文的差异，以见后人如何改编原作，此亦可加强学生的投入感。以上的示例，除了可以增加趣味外，亦可侧面反映中国古典文学的生命力，显示古典文学与现代文化的关系其实非常密切。

3. 本课程的教学问卷调查

上述“中国文化与文学”课程曾在香港中文大学二零一四至一五年度下学期推行，当时修读的人数为 49 人。课程的评核方式为：出席率 10%、论文 40%、期末开卷考试 50%。论文字数要求为 1500 字或以上，题目自定，内容可呼应教学单元。

香港中文大学向来重视教学质素，因而每个课程都需要经过教学问卷调查，以确保教师与课程的教学成效。本科教学问卷由香港中文大学通识部门统计，其中所得出之数据或能帮助审视本课程的教学成效。教学问卷详情如下：

图表二：教学问卷基本资料：

修读人数	49
参与问卷人数	38
回应百分比	77.55%

图表三：教学问卷结果（节录与课程设计相关的部份）：

教学问卷项目	本科调整平均数	中大其他通识课程的调整平均数
教学例子能否有助学习 (Examples relevant to learning)	5.68	5.28
学生参与度 (Class participation encouraged)	5.56	5.06

课程趣味性 (The course was interesting)	5.29	5.05
课程是否具启发性 (The course was stimulating)	5.26	5.10
学科知识能否加强 (Subject knowledge is enhanced)	5.53	5.53
课程安排是否完备 (The course was well-organized)	5.47	5.01
教学目标是否清晰 (Clear learning outcomes)	5.44	4.99
评核方法是否得宜 (Appropriate assessment method)	5.41	5.00
教学内容难度是否得宜 (Appropriate workload amount)	5.27	4.81
课程满意度 (Satisfaction with course)	5.47	5.05

(教学问卷以6分为满分, 而该调整平均数移除了最低10%的有效数值)

以上可见, 修读此科的学生普遍对本课程的编排、教学内容、评核方式等方面都感到满意, 亦认为本课程具趣味性, 并能加强他们相关的学科知识。其中值得注意的是, 以上所有项目的评分都较中大其他通识科目为高, 反映学生基本肯定本课程的设计。另外, 在能否鼓励学生参与一项 (Class participation encouraged) 达 5.56 分, 显示本课程的内容及教学策略能够引发同学参与。总括上述教学问卷结果, 本课程的设计与推行得到了初步的成功。

4. 结语

本文介绍了香港中文大学通识文化与文学的教育理念, 并详细讨论了笔者对“中国文化与文学”课程的具体设计, 其中希望借着主题式单元教学组织, 以突出不同的教学重点, 并利用“文本”与“文化”的对话, 加强学生在课堂上的参与, 启发他们思考不同论题, 从而提高通识文学与文化的教学效果。笔者希望本课程的设计, 能为日后不同大专院校中的相类课程, 提供适切的参考。

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Ancient Chinese Textbook Development and Teaching Strategies for Learners of Chinese as a Foreign Language

关于留学生古代汉语教材编写的探讨 ——兼谈课堂教学策略

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摘 要：留学生古代汉语教材编写和课堂教学需注意以下几点：一、合理选编篇目。篇目的遴选要兼顾实用性和专业性；篇目的安排要考虑有利于知识点的衔接和巩固。二、巧妙解释生词。词语的解释应贯彻“以今带古，以熟带生”的原则——以已掌握的现代汉语词为接点；以成语为联系古今汉语的纽带；运用文字学知识帮助理解词义。三、灵活应对语法。对虚词的功能做出统一解释；将复杂的语法现象“化整为零”；语法点的讲解要精准、易懂。四、革新课后练习。将理论知识的巩固和语言交际实践并重；必须加入阶段性练习；可以适当设置延伸阅读和课前热身。

关键词：留学生，古代汉语，教材，教学

古代汉语课一直是中国对外汉语本科教学的重要组成部分，是来华学习汉语言专业留学生（单独编班、单独授课）的必修课。该课程旨在进一步提高他们的汉语水平，同时了解中国的传统文化。长期以来，由于将汉语言专业留学生的培养目标与中国学生等同，留学生古代汉语教材的编写一度走入“过偏”或“过难”的误区，课堂教学也陷入尴尬的境地。

自本世纪初开始，有学者注意到这一偏误。苏瑞卿（2003）呼吁留学生古代汉语教材革新，指出留学生学习古代汉语的目的是能更得心应手地运用现代汉语进行口头和书面上的交际，认为编写教材应该遵照“古为今用”的原则。

如今，编者们已经越来越注重“今用”，有的教材从篇目的选择到课后练习的编排都体现出“古为今用”的特点（如李禄兴主编《今用古代汉语》），突出教材的实用性和趣味性，这是留学生古代汉语教材的革新和进步。但总览时下通用的教材，仍然存在一些弊端。如：篇目的选编不甚合理；一篇课文中语法介绍过多，讲解过深；缺乏对知识点适时的总结和梳理；等等。

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针对以上问题，结合作者自身的教学实践，本文提出留学生古代汉语教材编写的几点设想，同时尝试探讨课堂教学的相关策略。

1. 合理编排篇目

1.1 篇目的遴选要兼顾专业性和实用性

关于这一点，苏瑞卿（2003）也有论及，他认为遴选篇目应该遵循实用性、趣味性和专业性原则，三者的重要性递减。我们则认为，专业性和实用性在留学生古代汉语教学中同等重要，应该兼顾。首先，不管对留学生还是中国学生而言，古代汉语都是一门专业性很强的课程，因此，编写教材时必须保证其专业性，尽量选择典范的文言著作。同时还要注意照顾留学生的汉语水平和学习目标，兼顾实用性——所选篇目不能是艰深晦涩的，而要是易懂实用的，要选择那些能够体现汉语词汇古今传承性的篇目。这样才能切实帮助留学生提高汉语水平，尤其是能帮助他们提高运用书面语的能力。

1.2 篇目的安排要有利于知识点的衔接和巩固

编排篇目时，除了要遵循内容上由浅到深循序渐进的原则之外，还应做到使已学知识点得到及时巩固，使复杂知识点得以前后衔接。如：

寓言多以“有……者”开头，教材可以将几篇寓言编在一起，学生学习时便能及时巩固这个结构。

又如“以（…）为”结构。这是古代汉语的高频句法结构，用法繁杂，是教学的重点，亦是难点。“以（…）为”有隔开式“以…为”和紧缩式“以为”两类，每一类都有不同的表现，紧缩式中有一大部分是隔开式的变体。编写教材时可将该结构的诸多格式和用法分放至不同的篇目，使逐个出现，先讲隔开式，再讲紧缩式。这样可以大大降低难度，能够使留学生在循序渐进的过程中完成对这一句式的整体掌握。在整个学习过程中，后一步既是与前一步的紧密衔接，又是对前一步的巩固。

总之，编排篇目是编写留学生古代汉语教材最基本、最重要的一步，也是难度最大的一步，要求编者有全局观和历史观，有扎实的古代汉语专业功底。抛去这些条件，不可能编出一部好教材。

2. 巧妙解释生词——兼谈课堂词汇教学

在语音、词汇、语法三方面，古今汉语的词汇差异最大，因此在留学生古代汉语教学中，词汇教学是关键。古今汉语词汇的变化可总结为下表（整理自侯云龙 2010）：

表 1. 古今汉语词汇的纵向关照

异同表现			例
古用今废 (词的有无)	客观事物消亡		天子，左司马
	客观事物存在，替换以新词。		悟，股，复
古今沿用 (词义的异同)	义同		旱，雨，天，地
	义 异	迥异	偷，谅
		微殊	劝，走

以上五类词，第一类所反映的客观事物已经消亡，阅读时无需翻译，只需对该词在当时所指示的事物稍作了解即可，不会造成理解上的障碍。第三类是汉语的基本词汇，意义经久不变，表现出强烈的稳定性，正是因为有这类词存在，古今汉语才得以沟通，对留学生来说，大多数基本词的意义已经掌握，亦不构成学习障碍。学习的难点在于余下三类：第二类词已不见于现代汉语口语，只在部分书面语中得以留存，且失去独立使用的特征，只能作为构词语素存在。如“悟”只存在于“领悟”“恍然大悟”等词语之中。第四、五类词属性相同，虽然沿用至今，但意义发生了变化，留学生不知其变，常用该词的现代汉语义去释读，结果造成文义不通或对文义的误解。如“兔走触株，折颈而死”（韩非子·五蠹），其中的“走”，古义为“跑”，与今义有微殊，若不知“走”的古义，就会陷入“走何以导致折颈”的困惑。因此应给予这些词足够的重视。值得注意的是，这三类词的古义尚未消亡，大多能在现代汉语书面语中找到使用痕迹。

上述二、四、五三类词是留学生古代汉语词汇教学的重点和难点所在，也是教材课后注释的核心内容。对于这些词，当下教材普遍采用以现代汉语词对译或下定义的注释方法，与中国学生的教材无异。这样的注释不失简洁，但大片生词容易使留学生望而生畏，从而失去学习的兴趣。我们认为，对于古代汉语词汇，无论是课后注释还是课堂教学，都应该抓住古今同源这一本质特点，贯彻“以今带古，以熟带生”的原则，充分利用学生已掌握的现代汉语词汇，力求将词汇教学的难度降到最低。

从对表 1 的分析中不难发现，二、四、五三类词虽不容易掌握，但它们在现代汉语中并不是无迹可寻，这些词的文言用法多留存在书面语词中，这些“存古”的书面词就是古代汉语词

汇教学的切入点,是探寻古诗词古义的关键所在。课后注释中可在每个生词的解释后面附上若干以该词为词素、并保留了该词素在文中意义的现代汉语词(包括成语),课堂教学中就以这些现代汉语词为入口。

2.1 以已掌握的现代汉语词为接点

文言文中的很多词,乍看陌生,实则熟悉,只是很多词随着词汇系统的更迭改变了身份,由古代汉语独立使用的词降格为现代汉语词(多为双音节)的词素。如副词“复”,作为一个古代汉语的高频虚词,它后世逐渐被“又”取代,现代汉语中不再单独出现,留学生初次接触时很容易将其视为生词。但实际上,“复”在现代汉语中得以保存,其后接动词,构成新的双音节复合词,具有超强的组合能力,如“复习”“复试”“复发”等,这些复合词多为学生所熟知。教学时,可通过这些词让留学生轻松掌握“复”的意义,并能让他们直接感受古今汉语的源流关系。

2.2 以成语为联系古今汉语的纽带

成语是古代汉语词汇和语法特点直接保留在现代汉语中的活化石。在留学生古代汉语词汇教学中,成语的地位不可小觑。教师可以帮助学生借助学过的成语掌握词的古义,也可以反之,在学习某词的古义之后,用类推法掌握多个含有该词的成语。以上举“走”为例:“走”的古义“跑”保存在成语中,如“走马观花”“东奔西走”等。若学生已知这些成语,便可借助它们完成“走”的词义教学;若学生不知,则可先教习“走”的古义,然后利用这一新习得的知识进一步学习带有“走”的成语,如此可取得事半功倍的成效。

2.3 充分发挥文字学知识在释词中的作用

汉字教学贯穿于整个对外汉语教学之中,有着举足轻重的作用。诸如汉字结构等文字学常识也早早在课堂上讲授。这些文字学知识可以运用到词汇教学中,引导留学生通过分析汉字结构加深对词义的理解。以“涉”为例:“涉”本义为“淌水过河”,常见于文言文,如“楚人有涉江者”(吕氏春秋·察今),由此引申出一系列新义,为现代书面语所用,如“涉世不深”“关涉”“交涉”等。不管从古今哪个角度出发学习“涉”字,都绕不开它的本义。“涉”为合体字,由“水”“步”二字会意而成,“水”和“步”都是学生熟知的词,“水”+“步”=在水里行走=趟水过河,如此,“涉”的本义可以轻松掌握。此外,还可以使用偏旁类推的方法帮助记忆形声字,李禄兴主编《今用古代汉语》中每课课后都选两个偏旁做详细讲解,并充分举例,就是对这一方法的运用。

3. 灵活应对语法——兼谈课堂语法教学

较比词汇，汉语语法系统虽稳定得多，但古今语法仍有诸多相异之处。当下的留学生古代汉语教材普遍将语法系统分为若干专题（有关于句法结构的，也有关于虚词的），然后将这些专题分列于相关课文之后。比如一篇课文中出现了被动句的某一表现形式（如“于”字式），则课后会对被动句作专题讲解，包含被动句的所有形式（“于”字式，“见”字式，“为”字式，“被”字式）。这样编写的好处是一目了然，保持了语法点的完整性，但其弊端也很明显，那就是一次传递给学生的新信息过多，无形中加大了学习难度。

我们认为，对待语法，手段要灵活，语法点的设置有时需要“以简驭繁”，有时需要“化整为零”。

3.1 以简驭繁——以连词“而”为例

连词“而”是先秦汉语的超高频词，用法极为丰富，可以出现在各种结构中。传统教材（包括针对留学生和中国学生的）写“而”，多对其用法进行分类，各家分类不尽相同，总的来说可以概括如下：

- (1) 表示并列关系。如：敏于事而慎于言。（论语·学而）
- (2) 表示顺接关系。如：入而徐趋，至而自谢。（战国策·赵策四）
- (3) 表示转折关系。如：至之市而忘操之。（韩非子·外储说左上）
- (4) 表示偏正关系。如：不可同世而立。（韩非子·难一）
- (5) 表示递进关系。如：余不满百，而皆扶病。（答苏武书）

如上对连词“而”的分析极尽其细，但不必要，“并列”“顺接”等专业性很强的术语更是足以让留学生迷失其中。写“而”讲“而”如此，必定收不到满意的效果。实际上，“而”的功能是单一的，远没有传统语法描写得那么复杂。杨荣祥（2010：95）认为：“汉语的虚词都应该有其最基本的功能”，“‘而’的基本功能就是连接‘两项陈述’”。尽管有人对“而”是否一定连接两个陈述性成分持不同看法，但“而”的基本功能是连接前后两项则是无人质疑的。“而”就是一个用于连接的词，它所连接的可以是两个词、短语或句子。至于前后两项的关系怎样，不是由“而”决定，而是由句子本身来决定，即使没有“而”，前后项也还是保持原来的关系。因此，对于“而”，只需要交代它是个连词、作用是把前后两部分连接在一起就足够了。“而”所在句子的逻辑关系可以让学生通过翻译来体会，不必也不应强加在“而”的头上。

3.2 化整为零——以“之”为例

“之”兼属几个词类，其用法更为复杂，一直是古代汉语教学的重点。现将“之”的词性归属（关于后两类“之”的词性，各家说法不一致，此处取郭锡良等《古代汉语》的观点）、句法表现等特点归纳如下表：

表 2. 文言“之”的用法

词性	句法位置	对译	例句
动词	谓语	去	吾欲之南海。
代词	宾语	他 / 它（们）	虎求百兽而食之。
连词	定中之间	的	以子之矛，攻子之盾。
连词	主谓之间	不译	吾盾之坚，物莫能陷也。

对“之”的用法进行编写和讲授，就不能使用 3.1 “以简驭繁”的策略，因为它没有一个单一的语法功能，而且除了虚词用法外，还有实词用法，故而应该一一说明其意义和功能。但这种说明不能是“一股脑”的，应该将“之”的各个用法置于不同的篇目，按照由易到难的顺序逐一呈现给学生，是为“化整为零”。

实际上，此处讨论的问题与 1.2 谈到的知识点的衔接同理，都是对繁杂的语法现象做阶梯式分解，这要求在选编篇目时就给予充分考虑。

3.3 讲解必须精准、易懂

有的教材在语法点的讲述上出现不够明晰和准确的情况。如李禄兴主编《今用古代汉语》写到“‘所’+ 动词 + ‘者’”结构时，称该结构中的“所”只起指示作用，“者”起称代作用，称代动词的对象。这样的表述不仅艰涩难懂，而且不准确。“‘所’+ 动词 + ‘者’”与“‘所’+ 动词”一样，起称代作用的都是“所”，动词后“者”的作用是指示其前的“所”+ 动词，并不称代任何事物，整个结构指代动作行为的对象。如果“者”具有称代性，那么“动词 + ‘者’”称代的是动作的发出者，而不是对象。如“所见”和“见者”，前者指见到的东西，后者指见到东西的人。

“‘所’+ 动词 + ‘者’”是“所”字结构诸多表现形式的一种。编写教材时，应将该结构安排在基本格式“‘所’+ 动词”之后，以便于知识点的巩固和衔接。讲授该结构，只需说明其用法和意义与“‘所’+ 动词”相同即可，至于“者”的作用，则不必详说，以免画蛇添足，给学生带来困惑。

4. 继续革新练习

4.1 课后练习应将理论知识的巩固和语言交际实践并重

以往的教材，课后练习偏重理论知识的巩固，忽视了语言交际实践的练习，也就是没有做到“古为今用”。关于这一点，苏瑞卿（2003）也谈到了，并提出课后练习“古今兼顾”的观点。现在的教材已经越来越注意到这个问题，编者开始打破传统的课后练习模式，有意识地加入“古语今用”的环节（如徐宗才、李文《古代汉语》），有的教材甚至将所有练习都设计成古今对接的模式（如李禄兴主编《今用古代汉语》），帮助留学生将课堂所学的古代汉语知识融入到现代汉语的实际应用中来。

4.2 加入阶段性练习

阶段性练习即单元练习。在留学生古代汉语教材中设置阶段性练习是必要的，一来可以照应讲解语法时运用的“化整为零”，在阶段性练习中将之前散存的知识点“零存整取”，使学生在头脑中形成清晰的知识系统；二来能够梳理本阶段所学字词，如汉字结构、一词多义、近义词辨析、古今词义异同等，这些都是字词学习的重点。有计划、有步骤地进行阶段性练习，可以在很大程度上避免边学边忘的现象发生。

4.3 可以适当设置延伸阅读

延伸阅读可以是与所学课文相关的古今故事、衍生成语等，旨在帮助留学生活学活用，同时扩大他们的阅读量。

比如：很多教材都会选编几篇寓言，由于这些寓言本身是虚构的，故而难免会给学生造成诸如“不可思议”“难以置信”之类的困惑。但寓言不是凭空捏造的，每个寓言都指向特定的社会现象，有其现实意义。因此在学完一篇寓言之后，可以在课后安排相关的延伸阅读，可以是文言文的，也可以是现代汉语的，用来使学生加深对寓言的理解，并能在语言交际中灵活运用。

以《郑人买履》为例，这则寓言透过一个郑国人买鞋的故事，讽刺了社会上一些死守教条的人和现象。2011年有一则“西安考生陈晓原因忘带身份证被拒绝进入研究生考试考场”的新闻，被一些人认为是“郑人买履”的现代翻版。可以将这则新闻设置为《郑人买履》的课后阅

读材料,引导学生阅读和分析,帮助他们彻底消化“郑人买履”的内涵。

4.4 利用课前练习热身

课前热身(如讨论等)的意义在于能够激发学生对即将学习的内容的兴趣,提高他们的学习积极性。比如,《孟子谓戴不胜》(选自《孟子·滕文公下》)是说明关于环境对人的重要性的一段对话,对话以如何学好外语为开头,这是留学生感兴趣的话题。学习课文之前可以以学外语为话题进行热身讨论,调动起他们的学习热情之后再讲解课文,这样便拉近了留学生与中国古代经典文献之间的距离,让他们觉得学习古代汉语确实有用,并且乐在其中。

5. 结语

总之,编写出一部优良的留学生古代汉语教材绝非易事,编写之前要做充分考虑,编成之后也要经过反复实践和打磨。本文仅尝试对教材的编写提出几点设想,包括篇目的遴选、知识点的布排、练习的设计,同时也探讨了课堂教学的相关策略。其中,知识点的布排是核心问题,但要通过合理遴选篇目才能得以实现,课堂教学和练习则是巧妙连接古今汉语的通道,每一环节都对编者和教者有着极高的要求。以上只是一些粗浅的看法,还要接受教材编写和教学实践的考验。

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Teaching Chinese Characters: A Study based on Analytic Thinking Model of Western Students

基于西方学生分析性思维的汉字教学研究

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摘 要: 针对目前 HSK 汉字教材普遍过分强调汉字表意性、字义理据性和过多汉字历时嬗变内容等简单移植中国国内教材特点, 以及教学理论针对性缺失等现象, 本文以对外汉语汉字教材编写为研究对象, 遵照教材编写与教学对象一致性原则, 结合 Choi 开发的 AHS 量表 (Analysis-Holism Scale) 中关注点、因果观、变化观和矛盾观四个维度, 针对欧美学生分析性思维特点, 提出把教学重点转向共时、平面、结构层次和书写规则几个主要方面, 使西方学生对于汉字的认读和书写具有一定的可操作性, 并据此提出共时主导、字形优先、部件核心、规则贯彻等教学原则; 最后提出汉字平面性分析、字形逻辑关系、模块分析、组字规则、书写规则等几个方面的汉字教学建议。

关键词: 汉字, 分析性思维, 教学, 模块

以赵金铭 (2001)、李红印 (2010) 的观点为代表, 当前学术界对于对外汉语教学大多以“教什么”或“谁来教”为中心, 但“如何学”或者“谁来学”从来都不是中心。要摆脱汉字“难教、难学”的尴尬局面, 转换教学观念, 重视“学”的因素, 探索针对外国学生思维特点的教学理念和方法不失为一种新的途径。

当前对“如何学”不多见的研究多从微观着眼, 更加宏观的教学模式还有待建构。而“谁来学”也开始受到人们关注。在汉字教学实践中, 我们注意到这样一个事实: 西方学生中, 分析性思维者似乎占大部分, 这与中国人综合性思维有较明显的不同。按照 Nisbett 等 (2001) 的观点, 分析性思维是一种注重逻辑性而非意会性的、关注个体属性而少关注整体背景性的、基于直觉推理和规则的思维方式。他们在总结以往大量研究成果基础上, 通过研究揭示了关于东西方思维方式差异及其原因。在他们看来, 东方人倾向于整体性思维, 而西方人倾向于分析性思维。他们进一步认为, 这些显著的文化差异不仅会影响人们对世界本质整体认识的概念,

而且还会从深层次影响着人们内在的知识论、知识框架以及认知过程特性。这是本研究的理论前提。当然, Nisbett (2001) 等的研究是从主要方面作的区分, 并未绝对化。他们承认作为个体的东、西方人分析/整体性思维都有, 陈曦 (2010) 的研究还表明个体对分析/整体思维的运用与年龄阶段有关, 甚至与人们面对的任务难度和指示语强度相关。不过就目前多数相关研究看, 这个基本区分还是被普遍认可的。

从学习者的思维特点入手去开展汉字教学研究很有必要。汉字教材是课堂教学基本依据, 同时也是反映学科性质、教学指导思想、汉字本体理论的一面镜子。因而, 通过对汉字教材的分析管窥汉字教学的总体设计, 是一种经济有效的研究途径。

一、对外汉语教学汉字教材现状和问题

施正宇等 (2015) 认为, 90 年代以前, 汉字教学还处于初创时期。90 年代中期, 汉字教材编写问题一度成为关注焦点, 独立的汉字教材大量涌现。至今, 北大出版社、北语出版社和华语教学出版社出版的代表性汉字教材达到数十种。相比于依附型教材, 专门服务于汉字教学的独立型教材已经成为当前高校对外汉语教学主要采用的教材。

从教学框架上划分, 有“词本位”教材和“字本位”教材。据李香平 (2011) 对 1990 年至 2010 年出版的 43 种汉字教材的分析, “词本位”教材和“字本位”教材的比例大致为 4:1。从使用对象上划分, 分为通用教材和国别化教材。国内教材以通用型为主, 海外教材则越来越强调国别化特点, 郑通涛等 (2010) 认为自 2009 年起召开的“汉语国别化教材国际研讨会”最能反映这一趋势。按照教材载体划分, 分为纸质教材和多媒体教材。多媒体教材以郑艳群等编写的《多媒体汉字字典》(HSK·甲级·英文版) 为代表。

当前汉字教材存在的问题首先是与其他教材的配套问题。刘婷婷 (2014) 调查发现, 汉字课多作为选修课, 即使是必修课, 教材也不固定, 且内容与其它课型重复, 利用率低。其次是教学理论缺失的问题。汉语教学长期套用西方的二语习得理论。后来即使出版了《汉语语言文字启蒙》, 提出了“字本位”理论 (徐通锵 1994a, 1994b), 但面临学习者的数量和结构在短时间内急剧变化的新形势, 教学指导理论的探索还要加快步伐。第三, 在教材内容结构方面, 教学内容设置缺乏计划性, 重要观点不统一; 侧重理论阐释, 实用性不足。最后, 在教材针对性方面的突出问题是, 通用教材广而不专, 国别化教材又过于专门化。所以本研究针对分析性思维为主的学生所用教材, 既包括欧美地区学生, 也包括其他地区以分析性思维为主的学生所用教材。除李禄兴、王瑞 (2010) 和李泉、宫雪 (2015) 等少量分析外, 当前介于通用和国别两端之间的研究甚为少见。

二、对外汉语教学中汉字教学的几个理论问题

关于汉字性质的误区。不少人认为汉字是表意文字。其实作为意音文字的汉字与汉语的关系产生之初是约定俗成的，其后才有了理据。最早的表意的汉字是从图形文字演化来的，还保留了直接描摹事物形体的特点。后来，随着汉字形体的演变、造字法的多元化，汉字的表意变得复杂化、字形化、符号化，与图形文字有了质的不同，单纯表意的汉字占汉字总数的比重越来越小。东汉许慎《说文解字》中形声字占 80% 以上，到清代《康熙字典》已超过 90%。形声字形符表意和音符表音都具有模糊性。现行汉字体系中，绝大部分传统认为的象形、指事、会意、形声字都不能“见形知意”。

教学指导思想上的误区。特别突出的是教学中拒绝区分分析性思维与综合性思维。石定果、万业馨 (1998) 的调查发现，欧洲学生和东亚学生在汉字学习的兴趣及难点上都呈现出很大的差异。对于东西方学生差异何在、差异怎样对汉字习得造成影响等问题还缺乏深入分析。但是，不针对学生思维特点进行教学是普遍现象。

把文字教学看作语言教学的附庸。表现在一是随文识字，缺少独立的汉字课，二是“词本位”为主的教学框架掩盖了对汉字自身规律的认识，三是教学与学生的兴趣相背离。沈敏和唐贤清 (2013) 的调查显示：欧美学生对汉字的兴趣高于东南亚学生，远高于日韩学生。这启示我们要以更加科学的态度对待西方学生的汉字学习。

教学指导理论的缺失。法国学者白乐桑 (1996) 大力呼吁人们重视汉字自身特点和汉字与汉语特殊联系。其背后所隐藏的事实是，对外汉语教学关注的重点长期停留在文化和语言两个维度上。顾安达 (2007) 开始注意到汉字教学的文字维度。国内学者近年来在汉字书写偏误分析、汉字认知机制分析、错字别字语料库建设等方面取得了一些研究成果，但还缺乏系统性，更重要的是这些研究主要还是建立在西方二语习得理论基础上。

三、基于分析性思维的汉字教材编写原则

Nisbett 等 (2001) 运用实验法发现，东西方思维方式存在整体性和分析性的差异。Choi 等 (2007) 基于 Nisbett 等的理论，从实证入手，选取了因果观、关注点、矛盾观和变化观四个维度作为两种思维方式的基本组成结构，结合探索性因素和验证性因素分析编制了整体性 / 分析性思维方式差异量表 (Analysis-Holism Scale)，简称 AHS 量表。通过对量表中题项表述方式的控制，Choi 等使受测者只能选择一种思维加工方式，因而整个量表能有效地区分两种思维方式。

AHS 量表的四个维度可以作为两种思维分歧的观测点，因此可以作为本文汉字教学分析依

据。Nisbett 等认为这四个因素与思维方式一致,四个因素之间成正相关,表现出聚合关系。

1、共时主导原则

因果观可看作是整体性/分析性思维在事物相互联系的普遍程度轴上的截点。前者较多地探究事物的相关关系和相互影响,或者说关系和影响形成事物本身,而后者则比较关注因果归因中一些稳定的因素。Morris & Peng (1994) 的研究表明,美国人具有内隐的特质中心倾向。Choi 等 (2003) 的实证研究也显示,东方人习惯从事件相关因素推因,西方人多从人格内隐的特质寻求因果关系。在汉字教学中,汉字形声字占比极大,但教学难度也很大。形声字形旁声旁不仅位置组合关系多种多样,而且据林涛 (1994) 研究,其中存在着大量的两属偏旁,在一些环境中充当形旁,在另一些环境中充当声旁,功能不定,运用灵活。换句话说,“形”与“声”并不固定,相对存在,并不属于字符的特质。在具体教学中,要解释这种现象首先要解释为什么两用偏旁以象形为主,其次要分析从形旁演变为声旁的过程,最后也是最重要的是,要教会学生在具体的汉字中,如何根据结构关系来判别是形旁还是声旁。这种传统的历时导向的、过于强调环境作用和事物相互关系的传统教学方式必然很难被分析性思维所接受。

我们主张对西方学生的汉字共时教学作为主要框架,历时教学作为补充。汉字历史信息丰富,系统的汉字文化学的发展时间短,普通教学者素质欠缺,都是汉字教学坚持共时主导原则的客观条件。

2、字形优先原则

Nisbett 和 Peng (2001) 认为,分析性思维认为事物独立存在,可以从具体环境中抽离。只要把握研究对象的特性,就能认识该事物并对不同事物进行分类。Nisbett 等形象地把东西方思维方式关注点的差异比喻为“东方人看见森林,西方人看见树木。”

汉字是汉语的视觉载体,可直接根据字形对汉字进行操作。潘景景 (2007) 汉字刺激呈现的实验表明,初级阶段的欧美学习者在短时记忆中的汉字识别所使用的主导加工策略都是字形策略,到高级阶段才变为形音混合的策略。字义策略始终不是主导加工策略。江新、柳燕梅 (2004) 通过实证研究证明,拼音文字背景的汉语初学者在汉字书写中字形的作用大于字音的作用,当识字量增大后,字形作用才减弱。因而,面向西方学生,特别是初中级学生的汉字教学应该优先使用形式分析法,等到条件成熟才逐步过渡到多元分析的方法上去。

3、平面化原则

整体性思维认为事物之间彼此依存,事物与环境的联系复杂多样,个体受其他事物的影响而不断变化。分析性思维认为事物孤立存在,个体的特性相对稳定,不会随外界产生根本改变。由于分析性思维认为事物的变化依照本身特性线性发展,因此他们将变化总体归结于可预测性和可通约性。

汉字特质主要是平面性、孤立性和文化性。汉字变化可归纳为形变和势变。形变即字形结构的改变;势变即书写的笔画形态的变化。理论上说,现代汉字在结构上定型是隶化的结果,即隶书的出现,是汉字形体结构的根本改变。现代汉字字体,包括楷书、行书、草书等都只是

笔画粗细、扁窄等的不同，属于势变。

势变较好教学。然而结构性的形变，牵涉汉字形、音、义的整体联系。要向西方学生解释某个汉字之“本”，常常采用的办法是从籀文甚至甲骨文字形，以及会意造字法切入。这种历时教学极大地增加了西方学生的学习成本。

既然汉字形体演变大体是从象形化、图形化到平面化、符号化的转变，那么，牢牢立足于现行汉字的平面化特质展开教学，才能删繁就简，提高教学效率。

4、规则化原则

整体性思维认为对立的两方面都有其合理性，存在共通点。分析性思维认为，对立的两方面非此即彼，不能共存。分析性思维更倾向于从逻辑法则出发，以推导和解释的方式去处理学习材料。如果条件不完备或存在错误，推导的结果就是错的。

仍以形声字为例，讨论声符表音、形符表义的情况。形声字看似理据性强，便捷易学，实则不然。许慎讲，“形声者，以事为名，取譬相成”。这是个高度模糊的定义。分析性思维的矛盾观崇尚非此即彼，不接受含糊的中间状态。据种一凡（2008）研究，《汉语水平词汇与汉字等级大纲》1945个可分析形声字中，介于表音/不表音模糊状态者接近50%，介于表义/不表义模糊状态者占76%。综合考虑，不能严格贯彻形符表义声符表音的占总数94.2%。这对于分析性思维矛盾观来说，规则何在？形声字的意义何在？黎锦熙曾说“例不十，不立法”，两千年前许慎提出的“形声”这一造字法，今天是否还应当继续作为教学内容值得思考，而对于分析性思维的学生是否有价值更加值得思考。

从教学需要说，传统的汉字知识必须用规则加以约束。既要制定一系列最具有概括性和解释力的规则，又要对各种例外情况作出说明。

5、部件核心原则

部件核心原则是上述诸原则的共同要求。从字形上看，部件介于笔画和整字之间，大于或等于笔画，小于或等于整字。所以，部件是笔画、部件、整字三级结构的轴心。部件内部的笔画之间具有笔顺关系，将笔画“化零为整”，同时又将汉字“化整为零”，调和了从笔画到整字跳跃性过大的矛盾，有利于提高教学效率。引导学生将汉字作为若干部件的组合来识记，也比依靠笔画识记的记忆负荷量小得多。因此，部件应当是字形教学的核心和重点。

值得注意的是，汉字的部首、偏旁、部件关系混乱，外国学生难以理解。教师应避免具体讲授这些概念，以免给学生造成不必要的负担；应以图形拆分、多媒体辅助等生动直观的方式来教学，逐渐培养学生对汉字部件结构的独立分析能力。

四、基于分析性思维的汉字教学建议

关于汉字教学的时段建议。按照Choi等（2007）的观点，分析性思维和整体性思维虽然

是两种独立的维度,但 AHS 量表的题项通过某种负相关的关系把二者设置为单一模式的两极,以便于施测(引自白帆,2011)。Nisbett 等(2001)则认为两种思维方式在个体中是同时存在的,但人们倾向于使用更熟悉的一种。而陈曦(2010)根据“双加工模型”理论进一步研究指出,整体性思维相对简单和“省力”,分析性思维相对复杂,耗费更多“资源”,因而更加“费力”。所以应当设立专门的汉字课程,但建议放到 HSK 三级中开设。

关于汉字平面性教学建议。施正宇(1998)指出,现代汉字具有向量特征和拓扑性质,向量特征存在于汉字书写的过程中,指汉字各组成要素的书写是有方向和大小的;书写完成后,显现于字形平面的是拓扑性质。拓扑是指汉字字符在字体、字号的变化中保持不变的某些性质,它考虑的是各书写元素之间的相对位置,而不是它们的大小和距离。教学重点应当在前者而不是后者。

关于字形逻辑规则教学。笔画与笔顺是汉字字形的基元,部件和整字都是由笔画按特定的方向和顺序书写而成的。由于这部分内容在各种汉字教材中叙述十分详尽,限于篇幅,这里只列提纲,不作赘述。

1) 笔画的图形分布规则:包括笔画的基本笔形规则(如横、竖、撇、点、捺、提的基本书写形态);笔画的笔形变体规则(如横改为提、捺改为点、避重捺、竖弯钩改为竖提、撇改为竖、竖改为撇、缩短笔画长度都是笔形变体。在特定印刷字体中,还存在着笔画倾斜度的改变,如宋体中的斜横、斜竖);笔画的组合分布规则(如笔画与笔画组合的位置关系分为相接、相交、相离三种。多数汉字的笔画组合关系是复合式的。

2) 笔画的分类原则和分类。建议分类不宜过细,形体相近笔画适当归并;命名通俗简洁,便于教学。根据汉字教学的需要,可以从笔形出发,把汉字笔画分为横、竖、撇、捺、点、提 6 种,称基本笔画。基本笔画以外的折笔称合成笔画。

3) 重视笔顺。笔顺是汉字模块的基元汉字的平面性决定了笔顺规范的重要性。笔顺包含笔画的走向和次序两个方面。汉字的书写,不管是部件还是整字,一般都是按照笔顺将笔画依次组合起来。

4) 模块化教学。部件、独体与合体:部件组合的有效结果是构成整字,分为独体字和合体字。汉字层级装置中部件与整字在形式上的重合部分主要是成字部件和独体字的重合。笔画与部件:笔画是构件单位,部件是构字单位。二者有时在形体结构上重合,表现为单笔部件由一个笔画构成。部件分类原则:部件分类主要依据其组合功能和构字能力。按部件有无直接组字功能,分为成字部件和非成字部件。按照部件系统内部的组合关系,分为单一部件和复合部件。按照部件组字能力的强弱,分为通用部件和特殊部件。汉字切分原则:汉字切分有两种方法,平面切分和层次切分。相比之下,后者更符合汉字的层级结构和教学需要。汉字切分研究的困境之一是,各家分类没有一个统一的结果。汉字教学的汉字切分有别于文字学研究和汉字信息处理,应以对教学有利为根本原则。

5) 模块平面构成规则。独体字的结构单一,所以在这里我们只考虑部件构成合体字的规

则。根据汉字内部部件的位置关系，合体字可以分为上下型、左右型、嵌入型和特殊型。嵌入型分全嵌入型和半嵌入型。全嵌入型是四面嵌入，如“国”。半嵌入型分两面嵌入型（如“启”）和三面嵌入型（如“函”）。特殊型又叫对称结构，如“乘”、“噩”等。

6) 模块组字规则。汉字模块组字必须依据形、音、义组合审视的规则。从这一规则出发，我们可以对模块组合的结果进行分类。音、义皆无是无效字，一形一音无义是连绵字，一形一音一义是语素字，一形二音二义是多音字。规则内的连绵字、多音字和规则外另计的同音字的形音义关系都比较复杂，都不是一形一音一义，教学上应加以注意。

7) 书写规则。《现代汉语通用字笔顺规范》可以作为笔顺教学的参考。一些特殊的笔顺规则教学上要格外重视。此不细说。

本文主要研究字形教学，字音和字义教学的研究同样重要。与字形教学研究相比，后两者的研究还十分欠缺。

五、结语

本文结合心理学上整体性 / 分析性思维差异的研究成果，探讨了汉字教学的若干原则，并就重点知识提出了几条操作性强的具体规则。这样的汉字教学模式，一方面调和了通用型教学和国别化教学的矛盾，兼具覆盖面广和针对性强的优点，另一方面充分尊重了学生的学习特点，实现教学相长。本文的关注重点在于教学实践的应用和有效性。

另外，有两个重要问题需要提出。一是关于分级教学。HSK 本身是一个分级系统，划分了不同的学习层次。根据上述第四点“建议”开始时的讨论，作为个体的学习者虽然存在两种不同的思维特点，但其运用的思维特点会随着学习难度不同而发生变化，因此初、中级阶段教学以共时分析为主，中、高级阶段适当引入历时、理据分析。二是关于汉字检索问题。基于汉字教学的部件核心原则，以教学常用的基础部件为对象，编写部件理据字典是汉字教学的迫切任务。北京语言文化大学《多媒体汉字字典》的编制经验值得借鉴（赵金铭，2000）。

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The Construction of Chinese Learner's Personal Learning Model at the New Media Age

新媒体时代汉语学习者个性化学习模型构建的思考与实践

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摘 要: 新媒体的应用给汉语教学带来的最本质变革是使学生个性化学习成为可能。学生的个性化学习需求和教师对个性化学习的教学设计、材料准备之间需要一个对接的桥梁。综合性的网络学习平台可以通过网络技术模拟传统教学中的课程管理、学习考试、成绩评定,网聚各类课堂和课外学习资源,并可分析学生行为数据进行教学方法和教学模式的观测与创新,实现个别化和异步化学习。本文基于“北语模课”在线学习平台,从网络辅助教学入手以探索个性化学习模型的构建。

关键字: 新媒体、个性化学习、在线学习平台

一、引言

新媒体时代是利用数字、网络技术通过互联网的渠道及电脑、手机、数字电视等终端,向用户提供信息和服务的媒体形态。新媒体应用于教育领域,作用在于可以把不同的教学方法和更多的教学内容在一个综合化的新媒体平台上结合使用和同步展示,通过网络,可以跟踪学习者的学习过程,总结和分析学习数据,展开新媒体时代下的教学研究。当前世界范围内掀起学习热潮的 MOOCs 和 SPOC 正是基于网络平台。从课程角度看,它们具有网络化、知识单元化、富媒体等特点,并且 SPOC 的教学更具针对性;从学习者角度看,它们借助新媒体形式,增加了趣味性,丰富了学习形式,在一定程度上也满足了学生个性化的学习需求,学习者可以不受时空限制得到优质教学资源。

汉语教学在汉语国际教育发展的大形势下,如何利用新媒体,创新教学方法、优化教学内容,如何适应背景日益多元化的汉语学习者的学习需求,是亟待思考和解决的问题。本文借助北京语言大学“北语模课”在线学习平台(北京语言大学大规模在线公开课的简称),进行了

新媒体应用于教学、学生个性化学习模型建设的初步尝试,并对过程中遇到的问题进行了分析。同时,也积累总结了多元化学习资源利用、汉语教学视频制作、学习平台使用等方面的经验。

二、新媒体应用与个性化学习

2.1 汉语教学的新特点

网络等新媒体手段的介入,给传统课堂注入了活力,制作多媒体课件、建立微信公共账号推送资料,使用微信群增进交流、设立公共邮箱存储学习资源等,使教学手段丰富、学生学习兴趣增加,学习效果加强。与此同时,也为满足不同学习者不同的学习需求提供了可能。

传统的语言教学课堂采用按学生语言水平编班的方式组织教学、进行管理,在统一的学习、交流、练习、考试的基本流程操作下,学生的个体性差异虽然在课堂练习交流中有所表现,但学习效果或能力的评判依据基本上还是考试成绩,至于取得该成绩的原因如学习方法、学习时间等学习者个体差异性因素很难得到有效关注。这是由课堂时间、班级容量、学生学能、学习方式、师生沟通方式、教师精力分配等多方面原因综合作用的结果。虽然“因材施教”是一直以来倡导的教学准则,但是在实际教学中操作难度较大。而新媒体给汉语教学带来的变革主要表现在四个方面:第一,为学习者拓展出学习的第二空间;第二,教学内容的同步存储量增大,呈现形式也得以丰富;第三,学生的学习行为在学习过程中可以得到更及时、合理的调控;第四,基于前三项,学习者的学习自由度和学习需求满足度加大。从中不难看出,新媒体的应用给汉语教学带来的最本质的变革就是使学生个性化学习成为可能。

个性化学习是指以反映学生个性差异为基础,以促进学生个性发展为目标的学习范式。个性化学习过程应是针对学生个性特点和发展潜能,采用恰当的方法、内容、评价方式等塑造教学,促使学生各方面获得自由充分的发展。在网络学习时代,学习者可以根据自己的个别化目的和背景,决定个性化的参与路径、选择和定制个性化的课程。(杨玉芹,2014,6:6)

2.2 个性化学习的实现条件

学生的个性化学习需求和教师对个性化学习的教学设计、材料准备之间需要一个对接的桥梁。虽然各种新媒体形式丰富了教学,在一定程度上满足了学生课下的学习需求,但目前新媒体与传统语言课堂的结合还处于零散、个别、功能单一的状态,集中在一个网络平台利用新媒体的各项技术和资源展开教学的情况较少。综合性的网络学习平台可以在网上虚拟传统班级,通过网络技术模拟传统教学中的课程、管理、学习、考试、学习评价反馈及成绩评定,网聚各

类课堂和课外学习资源,并可分析学生行为数据进行教学方法和教学模式的观测与创新。

2.3 网络学习平台和个性化学习

通过网络学习平台实现学生个性化学习,从实践操作上可以分为几类,一是网络平台辅助教学,二是开设 SPOC (Small Private Online Course) 小规模限制性在线课程,三是通过 MOOCs (Massive Open Online Course) 大规模在线开放课程。三者从线上和线下的学习比例和课程教学安排的比例方面得以区分。网络平台辅助教学,以线下教学为主,线上学习材料为课堂教学提供辅助;SPOC 是以网上课程为主,在线下开展教学活动;MOOCs 则通过网上课程实现在线学习。虽然表现形式不同,但三者都可以实现学生个性化学习。

三、个性化学习的实践

基于网络平台实现个性化学习,从操作性上,可以先不打破原有教学班级,从与传统教学关系最为密切的网络辅助教学入手,在材料和经验有一定积累后,再进行重心在线下的网络辅助教学到重心转移线上的个性化学习尝试。本文学生个性化学习模型建设就是以北京语言大学汉语速成学院的短期留学生为教学对象,利用“北语模课”在线学习平台,在汉语综合课常规教学中加入网络辅助部分开展的。

3.1 “北语模课”在线学习平台功能

“北语模课”在线学习平台为学生个性化学习提供了网络支撑,教学功能包括通知、资料、作业、考试、讨论、统计、PBL 教学等。通知版块用于发布课程相关通知;资料版块用于存储学习资料包括课程 PPT、要点归纳、分类练习、与课程相关的视频音频材料等;作业和测试版块用于发布课程作业及测试;有关课程和作业或课外问题等都可以在讨论版块进行交流;PBL 教学版块可以开展以问题为导向的学生主动学习活动;最后,学生的学习进度、学习轨迹、作业分数、视频观看次数及参与讨论数都可以在平台技术支持下得到跟踪统计。

从学习者角度,查看网络平台上的学习资料没有严格的顺序限制,完成课程作业的时限也相对自主,可以实现学习的异步化;从教师角度,教学主题或活动练习的组织相对自由,也不必预先规定严格的学习顺序,学习者可以按照的多样化、个别化学习需求自行组织学习。

3.2 基于平台的个性化学习资源建设

影响学生个性化学习的因素很多,我们根据前文提到的新媒体时代汉语教学的特点,主要从学习环境、教学主体、学习主体、教学内容、学习过程五个方面考虑。由于我们的教学对象已确定,学习环境就锁定为针对在校汉语学习者的传统课堂和教学辅助网络。“北语模课”是学习者的第二学习空间,除教师提供的学习材料外,平台直接对接大量在线学习资源如卡片汉语等,可以作为学生课堂之外的学习补充。教学主体除了传统课堂的教师之外,助教在课下和线上均承担一些配合教学的任务,如线下面对面辅导和线上答疑、课程相关材料的收集整理等。教师也不同于传统课堂的角色,从知识传授者变成了学习的促进者和指导者(张金磊等,2012:4:46),要从单纯传授内容向如何更好地分配资源转变,以满足学生的各类学习需求。

教学内容的个性化设计从两个方面展开,一是课程必学知识,二是课外补充知识。如何设计,必须要考虑学习主体的特点。学习者个体差异是决定个性化学习的重要因素。除性别、年龄、国籍、学习时长等基本信息外,学习动机、认知风格、学习策略也会影响个性化学习。由于我们的尝试处于起始阶段,主要从影响网上资源建设的因素考虑个性化学习设计。当然,在学习进程中,教师也会根据通过网络平台追踪到的学生出现的问题,提出针对性的解决方案。

3.2.1 语法点讲解的个性化设计

在课程必学知识方面,以前的教学内容需要进行再处理。传统课堂在知识讲授时兼顾不到每个学生的学能和接受程度,网络平台可以弥补这个不足。我们选取了作为综合课教学重点之一的语法点进行尝试。具体操作办法是制作语法讲解 PPT 或语法教学视频,上传至在线学习平台,要求学生课前预习并完成相关练习题,课堂上教师先简单说明所学语法点的相关知识,然后重点就学生练习中集中出现的问题进行梳理和讲解,而后进行语法点的应用练习。

课程涉及的语法点中,我们选取了 5 个有代表性的项目(助词“过”、“着”、介词“被”、“把”、可能补语),借鉴当下流行的 MOOCs 课程微视频方式,制作出每段时长不超过 10 分钟的教学视频集合,并配有相应的自测题。每个语法点的讲解视频按难度等级划分,学习者可以先完成该语法点自测题,然后根据自身水平选择合适的讲解视频。

在学习可能补语时,由于部分学生对结果补语知识有缺失,可能导致可能补语的学习出现问题,所以我们在平台放置了结果补语知识点讲解材料及相应的练习题,以便学生查缺补漏,加强新知识点学习效果。

因为语法教学视频是需要学生自学完成的,在制作时,我们参考了一些翻转课堂的教学案例,不单纯是按照教学内容、安排制作视频,更重要的是怎样对学生进行个别化的需求分析,探究他们在理解教学内容上的误区,真正实现学生的个性化教育。(王红等,2013:8:7)

3.2.2 练习题的个性化设计

与知识性教授内容相配套,我们制作了针对同样的教学内容难度等级不同的练习和测试题。如语法点助词“过”的讲解视频几乎涵盖初中级阶段“过”所有的结构格式,对学有余力的学生而言,除了掌握本课中“过”的结构以外,还可以自学难度更高的部分,并用配套的练习题自我测试。为增加学习兴趣、加强学习效果,测试题目配有图片,视频讲解中还设置有知识节点过关问题,以促使知识的即时内化。

3.2.3 课外学习资料的个性化设计

按照 Dornyei 的外语学习动机三层次说,学习动机可以概括为工具动机、融入动机和成功动机(许秋寒等,2008,12:55)。北京语言大学汉语速成学院留学生的学习动机也分属以上三类。工具动机,即通过汉语学习得到回报,如为用汉语从事某种工作或者用汉语谋职,或通过汉语水平考试,也有国外大学中文专业的学生来中国短期进修;融入动机,即留学生对中国文化和民俗有浓厚的兴趣,来中国游学,想通过学习汉语融入中国文化,在中国定居,或为跟中国家人沟通而学习,也有很多华裔学生是受父母之命来学汉语;成功动机,即学生受某种驱动而学习,对语言天分较高的学生来说,学习语言是一种爱好,学习的成功可以使他们获得满足感、成就感和骄傲感。

我们根据学生不同的学习需求,在资料版块,充实内容包括中国成语及历史故事视频、中国文化视频、中文歌曲及歌词、中文电视节目精选、中文新闻精选、中国古诗欣赏、中国社会流行语、汉语学习视频、资料等。汉语学习视频、资料的内容涉及汉字学习、HSK 考试、商务汉语学习、旅游汉语学习等方面。所有的资料均经过可学性处理,标注拼音或配相应翻译、说明,学生可根据兴趣选择学习。此外,在讨论版块,可就某问题与老师、助教、同学进行探讨。

3.2.4 合作学习与学习反馈

根据学生学习需求和学习水平,参考个体认知风格的差异,我们将学生分组,如汉字学习组、语音学习组,或者 HSK 学习组等等,并为独立学习和合作学习的学生分设任务。在任务完成过程中,教师和助教提供线上或线下的帮助。

“北语模课”在线学习平台可以实现对学生自学过程的观察、监控,教师在查看学生在线学习内容、某项内容浏览时间、视频观看次数,或者批改作业过程中,能够发现、收集学生学习中出现的问题,归类并做出分析,对学生的自学方法进行及时有效的指导和建议,也因此能够更有针对性地设计课堂教学活动。

3.3 “北语模课”在线学习平台使用调查

经过两个学期的使用和建设,我们在每学期末都向学生发放“‘北语模课’在线学习平台的使用情况及反馈意见”调查问卷。第一次调查共发放问卷 30 份,获得有效问卷 28 份。内容包括留学生被试个人信息的采集、对“北语模课”在线学习平台各学习版块的使用评价等。根据北京语言大学汉语速成学院张倩老师提供的数据,78.6% 的被试认为平台是课堂教学的一种有效补充;认为借助网上的多媒体学习资料,可以在课前自学重要的语言点,这是一种更高效的学习方式;针对作业版块,89.3% 的被试认为网上练习有针对性,很有帮助;60.7% 的被试认为自己在网上做的练习能得到助教及时的、有帮助的反馈;57.1% 的被试考虑将来会通过平台的网上课程继续学习汉语。

第二次调查相比第一次,增加了个性化学习内容需求的调查问项,如对网络平台自学及课堂学习内容、学习方式的选择等。本次调查对象为 14 名留学生,测量工具为 Likert 六度量表,调查结果显示,平均分最高的前四项为:“如果可能的话,我将会通过‘北语模课’在线学习平台继续学习汉语。”(4.89)、“‘北语模课’在线学习平台是课堂教学的一种有效补充。”(4.71)、“‘资料’版块提供的多媒体学习资料,比如教学课件、要点归纳、参考视频等很有帮助。”(4.71)“在‘讨论’版块中,我愿意在网上跟老师和同学们分享一些信息和观点。”(3.36)。在学习风格问项中,倾向独立学习的有 8 人,合作学的 6 人。在视觉、听觉、触觉三种学习类型中,触觉型学习者占 64%。

从两次调查的结果可以看出,学生对在线学习平台辅助学习的总体评价是积极肯定的。“北语模课”学习平台上学生最感兴趣的内容前三项为多媒体教学课件、语法分类练习、中文电视节目精选,学生认为课前可以自学的内容有语法和生词,这些结果表明,学生对我们个性化学习的最初设计持认可态度。此外,问卷中的反馈意见为学习平台使用和个性化学习的进一步完善提供了指导和数据支持。

四、结语

在网络辅助教学的实践中,还有一些问题是需要尽快解决的。例如,网络资源的丰富为学生提供了更多的学习选择,在学生自主学习之外,教师有效引导必不可少,对教学者来说,应该设计有效的学习指导并提供及时的学习支持(姜蔺等,2013,11:58);在线上和线下结合方面,怎样适当调整学习内容的比例,使学生在线上自学的内容在线下课堂也能够得到有效检验和巩固,也是值得探索的问题;此外,对学生来说,新的学习方式增加了自由度,同时也是对他们学习的自主性和协作学习能力的考验,这需要一个适应过程,在另一方面,教师也需考虑

如何结合新的学习模式调整常规的课程评价系统,增加个性化的特点;从总体上看,汉语网络学习所需要的环境分为内容系统和服务支持系统(郑艳群,2013,2:78),内容是基础,服务是保障,在确定课程内容之后,怎样结合新媒体进行数据统计分析、优化教学设计从而更好地体现在教学中的个性化等等还需要进一步思考和实践。

我们从网络辅助汉语教学入手,展开汉语学习者个性化学习模型的构建,通过不断的材料积累和数据收集以及经验总结,教学模式上也会向汉语 SPOC 或者 MOOCs 扩展,学生个性化学习模型也会在此过程中逐步清晰,我们期望通过分析学习者学习的大数据,总结出一套针对不同学习者学习特点和需求的个性化学习解决方案,设计出适用于个性化学习的学习模型。

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Error Analysis and CFL Learning in Northern Ireland: Error Processing by Beginners

北爱尔兰汉语初学者偏误辨析及其对策

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Abstract: Error Analysis (EA) is a cognitive process that complements language learning. While EA research literature has drawn mostly from English as a Foreign Language (EFL) contexts for its data, Chinese as a Foreign Language (CFL) learner errors also prove a rich resource which, understood and turned to the learner's advantage, offer a means to create informed personalised cognitive approaches to learning and 'honing' one's Chinese. This paper explores the strengths and limitations of an EA approach among beginner-level learners of Chinese in an English-medium university in Northern Ireland. Learners are found to have much to gain by activating cognitive learning processes as early and as effectively as possible, allowing momentum and motivation to be maintained despite the potentially daunting prospect of acquiring an unfamiliar 'new' linguistics of tones and characters. The paper briefly reviews EA in theory and reports on authentic practice. Errors from class, coursework and test sources are categorised, analysed for likely cause and then strategized for future treatment. The study establishes a 'live' taxonomy of its small population's error processing, including details of teacher interventions. EA experienced as an ongoing learning process appears to offer scaffolding and assurance, as well as a potentially enjoyable and 'thinking' journey towards accuracy, an educational strategy this group of beginner CFL learners in a Northern Ireland university responded to very positively.

Keywords: Teaching Chinese as a foreign language (TCFL), error analysis (EA), error treatment strategies, cognitive linguistic error processing.

1. Introduction

Not only is CFL relatively younger than EFL as a research field, the language of its concern is not the predominant international medium of academic discourse. CFL draws upon established theoretical expertise that remains relevant to all second language learning. In recent years, CFL's relationship with Chinese linguistics has begun to attract the attention of experimental and theoretical linguists (eg. Jiang, 2009; Morbiato, 2014) as the pace and scope of research into specifically Chinese language learning and teaching grows. A train of academic thought is cohering around the centrality of word order not just to the cognition of Chinese but also to its acquisition. Chinese syntax principles and their interplay with acquisition processes are increasingly attracting the attention of CFL researchers and practitioners.

The two most spoken languages in the world today are gigantic in different ways, one internationally, the other domestically. And yet, as the number of human beings studying Chinese as an additional language rapidly rises, the 21st century is witnessing Chinese language and culture internationalise as never before. In the wake of this massive wave of Chinese learning, more theoretically integrated research and specialisation is likely to be seen. In obvious contrast with EFL, Chinese tones and characters present a different set of learning challenges across the four skills than those presented by the phonology and alphabet of English; it is widely acknowledged that a great deal remains unknown about the acquisition of Chinese characters (Chen, Wang, and Cai, 2010).

Few in the field of second language (L2) learning research would doubt that the practical application of error analysis (EA) is of genuine interest to L2 teachers everywhere, whereas an unresolved theoretical debate about the potential contribution of cognitive linguistic error processing to second language acquisition perhaps less so. In this paper, the error processing of 68 learners at beginner level is analysed and tabulated into a pragmatic 'live' taxonomy of the processes and strategies individuals undertook in the course of their early acquisition of Chinese. Practical tools and helpful strategies are sought rather than ideological progress in Second Language Acquisition Theory (SLA). In short, it is versions of EA that individual learners will actually find personally effective that interests this research. The aim of this work was to gain deeper insights into the benefits and limitations of individualised, personalised language error processing. The cognitive functional aspects of developing skill in an additional language suggest strategies such as heightened awareness and conscious noticing of one's own errors, using self - analysis and self - correction strategies, are not only effective but also, interestingly, can be supported and facilitated by another's intervention, or 'teaching'. The

personalised taxonomic approach adopted in this action-based study is offered as one tool from the many available in TCFL, not as a fixed ideology of learning.

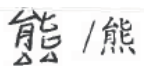
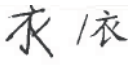
2. Study data

This paper reports on the errors made by CFL beginners at the School of Modern Languages, Ulster University (SML of UU) in Northern Ireland. The data was gathered from notes, recordings and samples of class activities, regular language assignments, quizzes, class tests, and both oral and written examinations. Errors that exemplify type and cause are tabulated, showing what the error was and how it was processed. The table presents a human being - sourced taxonomy that attempts to succinctly capture the EA process individual learners engaged in. It includes their actual errors, with analysis of type, cause, nature and treatment strategies, which may include teacher interventions and scaffolding to assist the learning process, especially at beginner levels. The data was collected in the academic years 2013/2014 to 2014/2015. The total number of learners was 68, of whom only 5 did not come from Northern Ireland's culturally complex society. They were working with a core textbook, *Discover China, Book One* (Ding, 2010). In addition to the common and predicted errors such as omission, addition, misuse, or misordering caused by MT negative transfer or different learning strategies (eg Li, 2012, Xu, 2011, Xing, 2007), a range of errors appeared whose nature and cause could not necessarily be fully described within predicted frameworks, and yet of course, as individual errors, were absolutely predictable in the sense that 'to err is human'.

3. Error processing among 68 beginner-level undergraduate learners in Northern Ireland

Taxonomy of error processing 2013/14 to 2014/15 School of Modern Languages Ulster University			
Speaking			
Error / correct form	Identification/type	Nature and cause	Processing strategies / teacher's scaffolding in students' MT (italics)
菜 : zài/cài 餐 : z ā n/c ā n	Initial error	Mispronunciation of consonant 'c' as 'z' Mismatch between pinyin phonology and MT. Misreading of pinyin a form of interlanguage	Sound discrimination practice for both reception and production of target item as required. For early beginners, continuous familiarization with pinyin system, teacher using learners' MT to discuss and present correct phonology: examples in italics below <i>Try thinking of the pinyin 'c' sounding like the 'ts' in 'meets' and the 'z' like the 'ds' in 'beds',...</i>
师 : shī/sh ĭ	Initial error	Mispronunciation of 'sh' as 's' Explicable only really at individual level as possible conflation of Chinese as an additional language with other additional modern language(s)	<i>... the 'sh' like the 'sh' in 'shirt, wish' and 's' like the 's' in 'sir',...</i> Sound discrimination practice for both production and reception of the target item; confirmation that individual learner recognises close resemblance with MT system
人 : yín/rén	Initial and final errors	Mispronunciation of 'r' as 'y', and 'en' as 'in', for 'r' MT phonological interference: tip of the tongue is not curled up	<i>... 'r' in English this is like the 'r' in 'ray', 'y' like 'y' in 'yell', 'en' like; 'un' in under, 'in' like 'in' in 'pink'; ...</i> Sound discrimination practice
厨 : chú/qú	Initial error	Mispronunciation of 'ch' as 'q'; MT phonological interference	<i>...this is the Chinese 'ch' which in English is like the 'ch' in 'church',...</i> Sound discrimination practice
买 mǎi : ài or m ě i/ ě i	Final and tone error	Mispronunciation of 'ai' as 'ei', the 3rd tone as 4th Misreading of pinyin a form of interlanguage	<i>...the Chinese 'ai' in English like the sound of 'y' in 'sky', 'ei' like 'ay' in 'play',...</i> Sound and Tone discrimination practice

西安 : Xian/Xi'an 天安 门 : Tiananmen / Tian'anmen	Two separate syl- lables liaison error	Syllable-dividing marks ' ' had been ignored Misreading of pinyin a form of interlanguage	<i>Notice something: Chinese characters are monosyllabic... that punctuation indicates a division, not a merging together...</i>
不是 : bù shì/bú shì	Tone sandhi of '不'	Misled/confused by the textbook: pinyin gives the character's original tone 不 bù unchanged	Teacher imparts knowledge of Tone sandhi '不'; in discussion students are encouraged to identify the wrong tone mark and correct it
一 双 : y ī shu ā ng/yī shu ā ng 一 条 : y ī tiáo/yì tiáo 一 起 : y ī q ī /yì q ī 一 件 : y ī jiàn/yí jiàn	Tone sandhi of '一'	Misled/confused by the textbook: pinyin unchanged, showing the character's original tone 一 y ī	Teacher imparts knowledge of Tone sandhi '一'; in discussion students are encouraged to identify the wrong tone mark and correct it
Word order: speech errors / correct forms			
您好, 老师李! / 您好, 李老师!	Word disorder	MT negative transfer Unfamiliarity with Chinese word order principles	Knowledge of 'surname + title' in Chinese, and self-correction
进, 请! / 请进!	Word disorder	MT negative transfer Unfamiliarity with Chinese word order principles	Knowledge of 请 being always placed at the beginning of an expression to make a polite request, and self-correction
我有二弟弟。/ 我有两个弟弟。	Misuse of 二 and 两, and a missing measure word	MT negative transfer Unfamiliarity with Chinese principles	Knowledge of different usage of 二 and 两 (followed by a MW and representing a single digit); self-correction
Character writing			
木 / 不	Similar-looking but different sound and meaning	Wrongly written characters	Knowledge, familiarity and engagement with the two different characters, elicit self-correction
有 / 友	Same pronunciation, different meaning and appearance	Wrongly written characters	Knowledge, familiarity and engagement with the two different characters, elicit self-correction Knowledge of the two difference characters, self-correction
名 / 明	Same pronunciation, different meaning and appearance	Wrongly written characters	Knowledge, familiarity and engagement with the two different characters, elicit self-correction Knowledge of the two difference characters, self-correction

问 / 间	Similar-looking but different sound and meaning	Wrongly written characters	Knowledge, familiarity and engagement with the two different characters, elicit self-correction Knowledge of the two difference characters, self-correction
欢 (又-欠) 明 (日-月) 饭 (饣-反)	Separation of characters by hyphenating the right component to the next line	MT interference: English language punctuation conventions transferred to Chinese	... Chinese characters should not be separated by using a hyphen... Elicit self-correction
 人 / 人	人 (KaiTi), 人 (SimSun)	Minor details of different textbook fonts perceived as integral to writing when in fact merely font style	Impart knowledge, discuss individual's understanding, elicit self-correction
 为 / 为	Omission of a single stroke (a dot)	Level of cognitive engagement	Impart knowledge, discuss individual's understanding, elicit self-correction
 困 / 困	Addition of unnecessary stroke	Level of cognitive engagement	Impart knowledge, discuss individual's understanding, elicit self-correction
 熊 / 熊	Drawing rather than writing '灬'	Pictographic rather than orthographic perception of Chinese characters	Impart knowledge of the character '灬', discuss individual's understanding, elicit self-correction
的 / 的; 我 / 我	Misdirection of downward left stroke	Possible left hand/ right hand issues for some individuals; Level of cognitive engagement	Impart knowledge of stroke direction and elicit written self-correction
 衣 / 衣	Misdirection (to the left instead of the right) of vertical upward stroke	Possible left hand/ right hand issues for some individuals; level of cognitive engagement with the details	Impart knowledge of vertical upward stroke writing, discuss individual's understanding, elicit self-correction

很/很	(彳) wrong radical	Level of cognitive engagement with the details	Impart and discuss knowledge of the radical ‘ 彳 the double-standing person side’, elicit self – correction
往/休	(彳) wrong radical	Level of cognitive engagement with the details	Impart and discuss knowledge of the radical ‘ 彳 single-standing person’, elicit self - correction
性/住	Miscollocation: (inappropriate right component)	Intralingual overgeneralisation of component writing principles; level of cognitive engagement with the details	Impart knowledge of appropriate two component relationships in writing, discuss to confirm individual’s correct understanding, elicit self - correction
Punctuation			
学校附近有一个公园。 / 学校附近有一个公园。 他买了一条裤子，一件T恤，两双鞋和一件大衣。 / 他买了一条裤子、一件T恤、两双鞋和一件大衣。 我有很多要做的事...	Improper use of the full stop ‘ 。” Improper use of the dun-comma ‘、’， the slight - pause mark Improper use of the Ellipsis ‘……’ 6 dots	MT negative transfer Unfamiliarity with Chinese principles	...a Chinese full-stop is a hollow dot, not a solid one as in English; and the ‘、’ dun-comma is peculiar to Chinese punctuation ...it is used for listing items in a series: 他 买了一条裤子、一件T恤、两双鞋和一件大衣。 Ellipsis in Chinese language with 6 dots, not 3. Students mindfully observe and correct themselves.
Sentences			
我是学生，我是不老师。 / 我是学生，我不是老师。	Misordering of 是 不，不是	MT negative transfer ‘I am not...’ Unfamiliarity with Chinese principles	Knowledge of Grammar structures and word order principles, practice in using sentence patterns
他不有姐姐。 / 他没有姐姐。	Misuse of negator 不	Confusion of the two negators 不和有 Unfamiliarity with Chinese principles	Knowledge: the negative form of 有 is 没有, not 不有
今天是很冷。 / 今天很冷。	Improper use of 是	MT negative transfer ‘be’ Unfamiliarity with Chinese principles	Knowledge of a distinctive feature of Chinese: Adjectives used as predicates (or stative verb) without being preceded by the verb 是 (to be), and are normally modified by a degree adverb

谁是他? / 他是谁?	Misordering	MT negative transfer	Knowledge of word order in questions with an interrogative pronoun
他去了中国和朋友。 / 他和朋友去了中国。	Misordering	MT negative transfer	Knowledge of coverb or preposition 和, the usage of coverbal phrases
我做运动在学校。 / 我在学校做运动。	Misordering the location expression	MT negative transfer of word order in a sentence Unfamiliarity with Chinese word order principles	Knowledge of a particular feature in Chinese: location expressions are placed before the verb in conjunction of a coverb, not at the end of a sentence
我现在去家。 / 我现在回家。	Misuse of 去 in the word 'to go home' (to return home)	MT negative transfer 'go' Unfamiliarity with Chinese	Knowledge of the expression 回家
我早上七点起床, 八点出家。 / 我早上七点起床, 八点离开家。	Inaccurate use of 出	出 translated into English as 'go/come out' Unfamiliarity with Chinese principles	Knowledge of the expression 离开家 leave home
我叫 Daniel Brown。 / 我叫 Brown Daniel。	Misordering of the expression: Family name + given name	Cultural unfamiliarity with Chinese	Notice cross-culturally influenced expressions; self-correction
我喜欢打篮球和我也喜欢打网球。 / 我喜欢打篮球, 也喜欢打网球。	Misuse of conjunction 和	MT negative transfer 'and'	Knowledge of conjunction 和 'and' is used to link words and phrases, but never linked to clauses...
你喝茶或者喝咖啡? / 你喝茶还是喝咖啡?	Misuse of conjunctions 或者 and 还是	The word 'or' in English has multiple uses	Knowledge of 还是 'or' in a question, 或者 'or' in a statement Ding, A., Jing, L., Chen, X. (2010). In alternative-question 'or' rendered as 还是, and never as 或 or 或者 (Yip and Rimmington, 1999)
我最喜欢动物是熊猫。 / 我最喜欢的动物是熊猫。	Missing the attributive marker 的	Use of attributive '的' particular to Chinese	Knowledge of structural particle or syntactic marker 的, forming Attributive./modifying phrases

4. Literature-informed discussion

4.1 Chinese teaching traditions

Chinese civilisation has a long history of pragmatism, wisdom, and categorisation. Responsible, caring Chinese teachers of an additional language can be proud of an immemorial cultural tendency among Chinese pedagogues to insist on being well - equipped with a range of teaching strategies at their disposal rather than just one or two. This expertise arose from long experience of learners' struggles, successes, and failures. Teachers everywhere are often well - disposed towards taking a completely un-ideological approach to their teaching, seeking simply to apply what works well. There is wisdom in old Chinese sayings about teachers, and this wisdom is worth sharing, because it profoundly respects the individual, whose learning lies at the heart of his or her teacher's concern:

'An ineffective teacher uses 1 strategy with 50 students, whereas an effective teacher uses 50 good strategies with one student.'

4.2 Error analysis and pedagogy

The collection, classification and analysis of errors found in the written and spoken production of learners in L2 pedagogy offers the clear benefits of a systematic approach, and a rich pedigree has developed for many different language systems. Error analysis, or "determining the incidence, nature, causes and consequences of unsuccessful language" (James, 1998, p.62) can be seen as a stage in the processing of errors in which someone thoughtfully attempts to understand how and why a certain error was made, often referring to a taxonomy which may help that someone understand and explain better how the target language works, or how it differs from another language, in particular the first language or mother tongue (MT) of the learner. Should that error be systematic in some way, the benefit of analysis is that the learner can cognitively extrapolate upon it to predict, or rather consciously avoid, further errors of that type in future (Corder, 1967). The 'someone' is often the teacher, whose error explaining and correcting role is the norm in many contexts. In many teaching contexts around the world, learners expect correction from their L2 tutors, and place stronger trust in their corrections when their experienced, qualified human resource's MT is their TL, actively requesting such

knowledge (of the target language's system and any mismatch of their own individual performance with that system). The teacher's knowledge is a resource many learners like to engage with, especially as beginners. Learner-centred CFL teaching warmly welcomes being a useful resource the learner can interact with, whatever level of Chinese already attained; EA need not be construed as negative in philosophy, nor need it take anything but a deeply respectful attitude to all students, at all stages of their learning. Young adult learners at the School of Modern Languages (SOM) of Ulster University (UU) often possessed already well-formed autonomous learning styles, and knew how to discuss their learning in an intelligent way with their teacher using their MT (English).

4.3 Characters and alphabets

Pinyin (literally 'spell sound') is a Romanised alphabetical system used to indicate the pronunciation of Chinese characters. Pinyin was created and introduced in 1958 as a method of Chinese phonetic instruction. Chinese people use characters rather than pinyin in their daily lives; its main domestic use is in helping children learn the sounds of Chinese characters. Whilst felt to be important and interesting, 'Chinese is often perceived as a difficult language in Europe, especially Chinese characters, but its difficulty lies primarily in the fact that it is so different from European languages' (Zhang, 2005, p.3). When the teacher intervenes in error processing, it may involve an explanation of characters or other Chinese conventions, delivered in a way that communicates simply and unprescriptively. Pattern drills and memorising key linking words, if performed knowingly and mindfully, are very useful and effective cognitive approaches that may not immediately appear thus on the surface. For example, students may be encouraged to imagine the character '弟' shows a younger brother like a naughty rabbit (Li, 2013); fundamentally, methods for teaching Chinese characters seem to benefit from enjoyment aims over complicated, dull explanations (ibid.)

4.4 Taxonomies

Taxonomic classification is an ancient cognitive tradition which continues to serve human civilisation well. The fact that ancient China was a cradle of sophisticated categorisation will surprise few readers of this publication; the polymath Zou Yan devised a 5-point taxonomy of animals during the Han Dynasty (Needham, 1978). Meanwhile in the western world, two thousand years before Linnaeus' famous taxonomy of living things was published as *Systema Naturae* in 1735, Aristotle had created a taxonomy of animals (what was later known as *de Historia Animalum*). Taxonomies and the thinking behind them are a feature of human civilisation itself. Globalised digital smart technology would not

be possible without them and, interestingly, to computer science theorists, “to cognize is to categorize: cognition is categorization...cognition and categorisation are one and the same” (Harnad, 2009, p.1). The error-strewn interlanguage (Selinker, 1972) our learners produced conforms generally to predicted beginner errors but can also be highly individual in character. Krashen’s (1982, 1989, 2003) distinction regarding a second language between natural acquisition (where there is little if any error correction) and conscious learning (embracing error correction) seems a pragmatically reasonable (if theoretically debatable) perspective on the difference between learning that is teacher-planned and involves guided instruction, and learning that is the result of natural and spontaneous processes. So, although experienced CFL practitioners will confirm that a degree of predictability pertains regarding the types of errors typically produced at various stages in the process of learning Chinese, as teachers they may instinctively reject the potentially depersonalising effects of applying a ‘one size fits all’ taxonomy. To be able to provide a clear and systematic category or code for every incorrect L2 learner utterance is ultimately unnecessary. Predestined taxonomic labelling of what are surely always individual errors as merely the exposition of group behaviour risks missing the underlying pedagogic purpose of the taxonomic approach. A ‘live’ taxonomy would be more individualised and personal, containing errors that are in the process of being eliminated, together with raised cognitive awareness of the possible sources and remedies for such errors. As a learner progresses in Chinese, the types of errors change as do the specifics of the system and the cognitive processing required to make progress through such barriers or potential areas of fossilisation (whereby errors become permanent), which Selinker (1972) pointed out is the major danger of unattended errors.

4.5 Historical development of EA theory

The bulk of the international literature relating theory to practice in second (or ‘additional’) language teaching has been seeded in English language learning/acquisition contexts. In terms of historical development, the academic mainstream has followed some clear lines of thought about the role of errors in teaching and learning an additional language. In brief, these lines of late twentieth century thought began with a contrastive analysis (CA) perspective (Lado, 1957) that predicts areas of learning difficulty will arise when the learner’s mother tongue (MT) is very different with respect to the particular language point at hand in the target language (TL). Correspondingly, CA also predicts that it will be relatively easy for a learner to acquire aspects of the TL which systematically resemble the MT. As a common sense theory (with a small ‘t’) CA reflects that truth of the second language teacher’s experience, that the MT is a significant source of errors and that learners inevitably compare, contrast and translate between what they know and what they are trying to learn. It is reasonable to

set down as a matter of commonly observed human behaviour that the MT is important in Chinese language teaching (CLT) just as it is in English language teaching (ELT). But this is not to imply that teachers tend to be structuralist theorists for whom all learners are essentially the same animal. The same types of errors do indeed reoccur, especially at beginner level, but a key point to emphasise is that these familiar errors occur at the individual level. Prediction, in its efforts to apply generalised patterns that repeat at group level, can be insensitive to individual differences in this context, and may fail to capture the diverse range of particular preferred learning strategies and cognitive processing that an individual may employ to learn more effectively. CA focused on predicted areas of difficulty and saw interference from the mother tongue as the principal cause of errors. From this basic starting point of comparison flowed the later realisation that errors could also be caused by the learner overgeneralising or mis-extrapolating in their production of new language – these are the intralingual errors of Corder (1967). In L2 or FL learning, making errors is considered inevitable and how they are processed has significant value for learners; there are extensive studies on learners' errors in ESL/EFL (Corder, 1967, 1981). By the late 1990s, cognitive research and theory had appreciated the role of noticing and being facilitated to notice (Van Patten, 1996; Skehan, 1998) in learning. A teacher might draw an individual's attention to a particular meaning and form relationship in the target language successfully. By cognitively engaging with the individual about her interlanguage, the teacher can help a learner develop powerful personal analytical and processing abilities that can then become part of the learner's psycholinguistic 'armory', that is, their own personal error processing strategies.

The world of ELT engaged in an extended theoretical debate about Krashen's hypotheses and model of SLA. He does not advise teachers to engage in EA: "Improvement comes from supplying communicative and comprehensible input, and not from forcing and correcting production" (Krashen, 1982, p.7). Long and Larsen-Freeman (1991) pointed out the essential improbability of Krashen's theory that acquisition depends on comprehensible input. Theorist critics of Krashen have offered alternatives such as the Incomprehensible Input Hypothesis (White, 1987) and The Product Hypothesis (Swain, 2005) that serve to remind how multi-faceted and empirically mysterious the common act of learning a second language has been found to be. Most teachers would agree in a common sense way that input is essential to learning and that motivated learners naturally try to comprehend the input they receive: it would therefore seem reasonable to most L2 teachers that input that contains both comprehensible and incomprehensible elements presents learners with a gap they may be conscious of and able to process in some way. Knowing an error has been made is also a gap that the learner may wish to fill with cognitive understanding. Focusing consciously on a specific language point at the individual level may involve the teacher supporting the individual's mindful return to an incorrect form s/he produced by imparting knowledge of the TL and discussing what the individual thinks is

causing the error from his or her perspective.

4.6 Chinese cognitive models: word order and acquisition

Chinese applied linguistics has been developing principles of word order and language acquisition, and the potential for applied research into such principles is huge. And yet, few studies have been made either to define the ‘error’ in a pedagogically insightful way or to empirically investigate the occurrence of errors either in linguistic or pedagogical terms (Wu, 2015). A clear relationship between Jiang’s (2009) cognitive word order principles of Chinese can be seen with the ways that many CFL errors do not marry with these very principles. Jiang claims that both inter-linguistic (sourced in the MT) and intralingual (sourced in ideas about the TL) errors can be explained by the breaking of syntactical principles, which are rooted in psychological hierarchies that are specifically Chinese. Jiang’s word order principles are briefly listed here: 1. The Greenberg Pattern Principle; 2. The Principle of the Modifier before Head; 3. The Principle of Temporal Sequence; 4. The Principle of Whole before Part; 5. The Principle of Container before Contained; 6. The Principle of Trajectory landmark 7. The Principle of Communicative Dynamism 8. The Principle of Focus and 9. The Empathetic Principle. Morbiato (2014) traces the development of this line of thought and research back to 1960’s Chinese linguistics, and sees Jiang’s principles as part of the cognitive functional perspective on second language acquisition. She (ibid) confirms that acquiring accurate Chinese appears to involve the acquisition of word order patterns rooted in cognitive functionalism rather than behaviourist structuralism. Such theorising and the evidence in support of it is extremely interesting and informative to the CFL teacher. Should it be irrefutably established that Chinese word order follows a natural order of second language acquisition, then it may be expected that language courses and textbooks will be at least partly designed around such principles (Jiang, 2009).

4.7 Practice, cognition, and recognition

Through our error identification and analysis, it was clear that extra support for character recognition and writing would be beneficial. First, an assessed character writing element was built into modules in order to empower individuals to produce accurate characters without relying on pinyin. In addition, pinyin-free reading practice (Li, 2013) was integrated into every session. The Chinese word *beishu*, “memorisation”, literally means “to recite the book from memory”, and literal recitation is very common practice in Chinese learning styles, where it still holds regard because it is considered one of the most effective ways of reviewing; it is an active learning activity, neither mindless nor

behaviourist in its processing. By reciting what has just been ‘learnt’, there emerges a consolidation of knowledge and deepening of understanding. As the old Chinese adage goes: “When a person memorises 300 Tang poems, s/he is sure to be able to compose poems of her/his own even though s/he is not a poet”. Students, like most individuals, respond well to recognition and respect for their talents and efforts. Ulster CFL students participated in the UK National Chinese Calligraphy Competition and all won prizes (out of total 685 competitors). The effect of public recognition on the confidence, motivation and courage of many individuals was tangibly positive, reflected in high levels of personal engagement with their learning.

5. Conclusions

This action research-based study, drawing on interlanguage produced by current beginner – level learners of CFL at the School of Modern Languages, Ulster University, confirmed the predictability of many of their errors in Chinese as commonly found in other studies of beginners. The taxonomy which was established in this study records the incidence of individual errors, their causes and nature, and details of treatment strategies involving both teacher intervention and also individual cognitive processing. Not all the errors were of a predictable nature, however. The study found unique errors that can only really be explained on the individual level or through other perspectives on their natures and causes. Encouragingly, the positive attitudes and learning outcomes that resulted from the approach taken suggest that personalised, individual EA offers students a useful scaffold. It is found that EA, although it focuses on mistakes, is not necessarily a negative process. Rather than discouraging or disappointing our learners, EA that respects the individual can be inspiring and uplifting, generating confidence and faith in the learner’s own capabilities.

6. Limitations and implications

This action research-based study drew on a small, quite un-generalizable sample. While the focus of the current study was limited to beginners, as individuals progress, there should be opportunities to investigate error processing at higher levels. Chinese linguistics may provide insights into word order acquisition that will influence course design and pedagogy in the future, but at the beginner level, with many errors comprising isolated words or characters, syntax is unlikely to be the only source of mismatches with target forms. There is an enormous amount of work to be done to fully appreciate

personalised, cognitive error processing.

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The Use of the Detective Story Format in Teaching Chinese as a Foreign Language

侦探小说在汉语作为外语的教学中的应用

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Abstract: Two main strands in the application of the detective story format to the foreign language classroom may be identified: the use of authentic materials selected from widely-recognised masters of the genre, which may be annotated and/or edited for use by learners, and original materials tailor-made for use by foreign learners based on that format. This paper focuses on the latter.

While there appear to be few examples as yet of the application of this format to the creation of original materials for the teaching of Chinese, its use in TEFL has a long history, *Fiction in Action: Whodunit* by Adam Gray and Marcos Benevides (winner of the 2010 HRH the Duke of Edinburgh English Speaking Union Book Award) being only one example. This paper takes up as a case study another notable work, *Troll i Ord*, a course in Norwegian by Anne Bjørnebek. In addition, a selected text, taken from the *Chinese Breeze* Graded Reader Series (2007), provides the material on which to conduct a comparative analysis with specific reference to Chinese. Aspects covered in the paper include vocabulary, grammar and cultural context.

The paper seeks to demonstrate the way in which the application of the detective fiction genre to language teaching can be extremely valuable, not just in the creation of reading materials, but also when taken as the basis upon which to construct entire courses. The paper also sets out the way in which this genre format has been successfully applied at the university where the author teaches to the assessment of oral competence.

Keywords: detective fiction; course materials; graded readers; oral assessment

1. Introduction

The term “detective story format” as used in this paper has been loosely applied and should be understood as a “catch all” term for any narrative that contains a mystery at its core. The mystery may stem from the commission of a crime and subsequent need to identify and apprehend the perpetrator. Responsibility for solving the case may rest with a professional police officer, private detective or amateur sleuth, or a partnership between some or all of those characters. This category may also include such works as “I Really Want to Find Her” (我一定要找到她 ...) (*Chinese Breeze Series*: 2007). No crime is committed in the course of this narrative, but it is still a mystery, a “missing person’s enquiry” of sorts. In the manner of a detective story, it raises questions of ethics and morality, albeit briefly and somewhat superficially. The term “quest” may also be used to describe such narratives, if only in the metaphorical sense.

The ability to engage the reader is one aspect of detective fiction that has recommended its use in the foreign language classroom. This characteristic is, of course, to be found in literature generally, but Pollock (2003) asserts that the way in which the mystery story demands the exercise of cognitive skills, coupled with its strong emotional impact on the language learner, has a particularly beneficial effect on foreign language acquisition.

Experimental research carried out by Rafatbakhsh and Alavi (2013:87) demonstrated that the subject group was able to assimilate more vocabulary through reading “whodunits” than through simple memorization. The “whodunits” used in their experiments included the first part of *Fiction in Action: Whodunit?* by Gray and Benevides. Rafatbakhsh and Alavi (2013: 81) quote Lazar’s assertion that, “...in order to reach the final disclosure of the whodunit, the reader is forced to pay more than usual attention to the language, especially words which create a set of interlocking meanings, and clues.” (see Lazar, G. Using novels in the language-learning classroom. *ELT Journal*, 44(3), 204-214). They also cite research carried out in Japan by Day, Omura and Hiramatsu (1991), which demonstrated the way in which reading for pleasure can result in enhanced acquisition of incidental vocabulary. While the focus of Day, Omura and Hiramatsu’s research was not specifically the mystery story, it so happens that the reading text selected for use in their study, an adaptation of a short story entitled *The Mystery of the African Mask* by Swinburne and Bank, did, in fact, fall into that category.

While there can be no doubt that detective fiction can be both absorbing and exciting, this paper focuses less on the genre’s ability to engage the reader than upon the way in which its inherent characteristics mark it out as being particularly valuable in the context of the language classroom.

While there appear to be few examples as yet of the application of the detective story format to the creation of original materials for the teaching of Chinese, its use in TEFL has a long history. It is now well over forty years since Longman published the highly-regarded *Kernel Lessons Intermediate* by Robert O'Neill, Roy Kingsbury and Tony Yeadon (1971). The format continues to be applied to the creation of English language textbooks to the present day, a relatively recent example being *Fiction in Action: Whodunit* (2010) by Adam Gray and Marcos Benevides, cited above, which won the 2010 HRH the Duke of Edinburgh English Speaking Union Book Award.

The principal non-Chinese language textbook to be examined in this study is a course in Norwegian entitled *Troll i Ord* (1991), written by Anne Bjørnebek. *Troll i Ord* takes the form of a main course book and accompanying exercise book, together with recordings. An updated version of the course was published in 2000, and it has been reprinted several times since then. Shortly after completing *Troll i Ord*, Anne Bjørnebek collaborated with Tonelise Hustad on a French textbook, based on the format of *Troll i Ord*, entitled *Voyage en France* (1994). *Voyage en France* was nominated for the Brage Prize - an annual Norwegian literature prize awarded by the Norwegian Book Prize Foundation - in the textbook category of the 1994 competition. The detective story format has also been applied to the production of graded readers. The series *Chinese Breeze* (2007 onwards) has made a noteworthy contribution to the field of teaching Chinese as a foreign language. The series is primarily intended as a means of furnishing foreign learners of Chinese with suitable texts for extensive reading, but this paper will examine the extent to which, in the present absence of course books utilizing the detective story format, the graded readers in this series offer material suitable for classroom use.

2. The use of detective stories in teaching Norwegian

Troll i Ord (English translation: *Magic in Words*) presents the story of a young French journalist, Annie Clavel, who has come to Norway to write articles and take photographs. When a student she meets on a train is found murdered, Annie unwittingly becomes entangled in a drug trafficking operation. There are 24 lessons in all and the story consists of approximately 10,000 words; of the first 11 lessons none has a core text in excess of 400 words, while none of the remaining 13 lessons falls below 400 words in length, the longest lesson being 748 words long. The course is designed for beginners in Norwegian and introduces all the main parts of speech, including the principal verb conjugations. (N.B. The total word count of *Troll i Ord* obtained by running the text through *Sketch Engine* is slightly at variance with that quoted in the published course. However the statistics quoted here should be considered an accurate reflection of the frequency with which vocabulary items appear.)

2.1 Vocabulary

Many everyday situations are encountered in the narrative, including travelling, illness, using a post office, and booking into a hotel. The number of vocabulary items given in a range of different categories is large, and items frequently appear more than once. For example, eight different colours are mentioned, many of which appear several times. The Norwegian word for “yellow” (*gul*) appears a total of ten times. There are at least nine different words for items of clothing or things worn on the body, such as spectacles, and at least forty different words describing the domestic environment. (In compiling figures I have sometimes disregarded variations on basic vocabulary, e.g. *bukse* means “trousers”, while *olabukse*, meaning “jeans”, also appears. Therefore, lists should not be regarded as exhaustive.)

No fewer than nine principal modes of transport appear: *tog* (train), *ferge* (ferry), *bus* (bus), *bil* (car), *fly* (aeroplane), *motorsykkel* (motorcycle), *sykkel* (bicycle), *drosje* (taxi), and *båt* (boat), as well as *ambulanse* (ambulance), *volkevogn* (Volkswagen), *jet-fly* (jet-plane), *helikopter* (helicopter), and *lastebil* (lorry). Other travel-related words and phrases include *køye* (berth), *dekk* (deck), *tur* (trip), *ferie* (vacation), *gate* (street), *vei* (road); *om bord* (on board), *å overnatte* (to spend the night), *retning* (direction), *reiseplan* (travel plan/schedule), *plass* (seat/place), *inngang* (entrance), *hotel* (hotel), *landskap* (landscape), *tollseddel* (customs declaration), *vogn* (railway carriage); *dekk* (tyre); *hylle* (shelf, rack), *bagasjevogn* (luggage trolley), and *avgangshall* (departure hall). Items falling under a category which might be termed “the human body” include *ansikt* (face), *arm* (arm), *hode* (head), *mage* (stomach), *fot* (foot), *øye* (eye), *øre* (ear), *skulder* (shoulder), *hånd* (hand), *kne* (knee), *skjegg* (beard), *bart* (moustache), *øyenbryn* (eyebrow), *stemme* (voice), *frisk* (healthy), *syk* (sick), *arr* (scar), *blintarmsbetennelse* (appendicitis), *feber* (fever), and *å kaste opp* (to vomit).

A word list was compiled using *Sketch Engine* (www.sketchengine.co.uk), which indicated that lexical items appearing only once in the text accounted for approximately 6% of the total. According to the list, some 65 items appear twenty times or more (6.5%); 156 items appear ten times or more (15.6%); and 944 items appear twice or more (94.4%). The course can thus be said to achieve both breadth and depth of vocabulary, where “depth” implies the frequency with which lexical items appear.

Excluding from the list most of the typically Scandinavian items of food and drink, the following may be considered a representative sample of culturally and/or geographically specific items: *troll*, *fjord*, *isbre* (glacier), *isbjørn* (polar bear), *tregrense* (tree line), *midnattsol* (midnight sun), *oljefelt* (oilfield), *stavkirke* (stave church), *smørbrød* (open sandwich), and *vikingskip* (Viking ship). If all the

remaining culturally specific items (mostly related to food) were included, the total number of items in this category would still not rise much above 1%. By breaking down some of the words, other, less culturally specific terms, emerge; for example *grense* in *tregrense* means “border”, *bjørn* in *isbjørn* means “bear”, *sol* in *midnattsol* “sun”, *kirke* in *stavkirke* “church”, *brød* in *smørbrød* “bread” and *skip* in *vikingskip* “ship”. In this way, even culturally and/or geographically specific words may be broken down into words with a much wider application. This means that the number of wholly culturally, or geographically, specific items is in fact even smaller; since “fjord” is a term that has been adopted into English in order to describe a particular type of coastline not confined to Norway, it may be argued that the list should only contain the word *troll*. *Troll i Ord*, as its title implies, is, to a certain degree, imbued with a Norwegian cultural sensibility, but it is in no way encumbered by a culturally-specific lexis; rather, it provides the learner with the comprehensive vocabulary necessary for truly cross-cultural, i.e. *bilateral*, exchange. While it may be argued that this is relatively easy to achieve in a language such as Norwegian, especially in the case that the learner’s L1 is another European language, it may prove more difficult in the case of materials created for the Western learner of Chinese. This point will be returned to at the end of section 3, which discusses the currently perceived need for graded readers in Chinese that are less localised in terms of content than has been the case in the past. Also relevant to discussion of Chinese is the technique of extracting the maximum number of lexical items from any given pool. In the case of Chinese, it may be argued that the aim of any given course book should be to extract the maximum extended use from the minimum number of Chinese characters. This implies that certain vocabulary items will have to be excluded on the basis that the characters used to express them offer little scope for extended application but merely increase to an unreasonable extent the burden of acquiring basic reading competence in the target language.

As well as providing the learner with the tools necessary to describe concrete objects, *Troll i Ord* also equips the learner with the means to express a range of emotions or mental states, including sadness, fear, resignation, unease, agitation, impatience and madness. It may be argued that abstract concepts are as essential to meaningful communication as concrete nouns.

Lastly, it should be noted that the information gaps set up by detective stories constitute a means by which to supply the student with further linguistic input. The format can also replicate and, therefore, reinforce, certain strategies that learners may draw upon in order to achieve successful communication. For example, in the case that a suspect has yet to be identified, he or she may be referred to by means of a simple description. Thus we find that in Ed McBain’s 87th Precinct series the detectives’ arch enemy is known only as “the Deaf Man”. One eight-year old boy who encounters the Deaf Man in the novel *Fuzz*, describes him not as “wearing a hearing aid”, but as having “a thing in his ear”. In this way the child, whose vocabulary has yet to include such items, is able deftly

to circumvent the problem of naming the object. (McBain, 1970: 69) In the case of *Troll i Ord*, the suspect is referred to at first as “the mysterious man in the yellow Volkswagen” (*den mystiske mannen i den gule folkevogna*), much more useful in terms of linguistic input than simply using his name.

2.2 Course structure

A combination of dialogue and narrative, the course book includes examples of a variety of registers. The protagonist, Annie, has conversations with friends and acquaintances, with a hotel landlady, a police officer, a doctor, a man working on an oil platform, and a hardened criminal. She composes a letter and a postcard, and the course book includes the texts of both a newspaper and a television report. Realistic dialogue requires the use of colloquial expressions. *Troll i Ord* includes the Norwegian expressions equivalent to the English *at any rate*, *first and foremost*, *with pleasure*, among a number of others. On the other hand, dialogue alone cannot equip the learner with all the structures he/she will need. Extended passages of narrative text provide a context in which to present more complex structures and inculcate flexibility of expression. While ample resources are provided for the practice of grammar, the emphasis of the course is on the communication of meaning. That is to say, the story unfolds smoothly, easily and naturally, giving no indication of having been squeezed into rigid conformity with a pre-determined sequential progression through the main grammatical structures of the language.

3. *Chinese Breeze* (汉语风)

Published by Peking University Press, the *Chinese Breeze* series of graded readers first appeared in 2007. It was anticipated that the series would eventually consist of 60 different titles at eight different language levels, and that the majority of texts would be a collaborative effort involving both experienced teachers of Chinese as a foreign language and professional authors. As of July 2015, 17 texts at three levels have been produced: Level 1 (300 word level) (6 titles), Level 2 (500 word level) (7 titles), and Level 3 (750 word level) (4 titles). Not all the stories in the series conform to the detective story format, but examples of its use can be found at all three language levels in the series.

Liu Wenhui (刘文辉 2012: 39), commenting on the series as a whole, notes that the books are written using practical vocabulary; that they are easy to read and understand; that a large number of words are repeated; that their stories are original and intended to capture the reader's interest; and that the language is natural and authentic. It may be argued that these characteristics derive in large

measure from the detective stories that form a substantial part of the series. It is worth pointing out that the detective story, unlike many other forms of literature, tolerates a degree of repetition in the text that in other literary genres would most probably render the writing style tedious and bland. If we accept that repetition is key to the acquisition of vocabulary in general and, moreover, that it is crucial to the acquisition of Chinese script, the detective story's potential to foster acquisition of the Chinese language becomes clear. Writers such as Orwell and Hemingway notwithstanding, literature intended for native speakers will, by and large, aim for complexity of expression, the use of unusual metaphors, and the avoidance of repetition. In simplifying literary texts a great deal can be lost. Tailor-made materials such as those in the *Chinese Breeze* series can arguably provide the language learner with a richer reading experience than simplified versions of Chinese literary masterpieces by writers such as Lu Xun, as nothing has been "lost" in their preparation. Granted, they are simplified versions of the genre, but they belong to a genre that is arguably far less resistant to successful simplification than other literary genres.

Zhou and Qian (周小兵、钱彬) (2013) conducted a comparative analysis of four graded readers and concluded, on the basis that its vocabulary was the easiest of the four, that *Chinese Breeze* best served the needs of non-specialist learners of Chinese. Their findings included other aspects relevant to the present research, e.g. that *Chinese Breeze* contains the greatest percentage of dialogue of all four readers examined in the survey. (A high proportion of text devoted to dialogue is a factor they hold to be the key to ensuring that texts are not too difficult for the foreign learner.) Here, it is worth pointing out that a relatively high proportion of dialogue is also a distinguishing feature of the detective story genre.

Perhaps the most salient point advanced by Zhou and Qian (2013) is that Chinese readers have a tendency to be too "localised". Zhou and Qian attribute the success of *Chinese Breeze* to the fact that the authors have had experience of teaching Chinese overseas and are familiar with the needs of learners outside China. They cite research conducted in the field of EFL that indicates that learners are less receptive to material that is strongly imbued with the target culture and prefer material that incorporates aspects of their own culture. In this respect, the *Chinese Breeze* series, in selecting topics of common interest to Chinese and foreigners alike, caters well to the needs of the learner. Time setting is also found to be a key factor: Zhou and Qian quote Luo Yixue's (罗艺雪) (2013) assertion that students think stories set in the Chinese past uninteresting; students were found to prefer a contemporary setting. For this reason, Zhou and Qian (2013: 110) are of the view that a graded readers such as 《汉语分级读物》(史迹. 华语教学出版社. 2009), which contains pieces by Chinese authors that describe the changes occurring in the Chinese countryside during the 1980s, are unlikely to arouse the interest of present-day learners. (It should be noted that Zhou and Qian distinguish between the needs

of specialist students of Chinese at tertiary level, who may have the opportunity to study in China, and those who are studying the language non-intensively overseas, and who do not have the benefit of being surrounded by a Chinese-speaking environment.) They cite 《错! 错! 错! 》 and 《电脑公司的秘密》, two of the detective story titles in the *Chinese Breeze* series (2007-), as being more suitable as reading texts, on account of their contemporary setting and use of action and suspense to engage the learner.

In the light of this research, it would seem clear that, as long as detective stories adopt a contemporary setting, they constitute an effective means of avoiding the potential barriers to engagement with the text that arise from unfamiliar social experience and an unfamiliar cultural context. By furnishing learners with the tools with which to describe both their own everyday experience and the world of the target culture, they also facilitate bilateral cultural exchange.

Can I Ask You to Dance? 《我可请你跳舞吗? 》 (*Chinese Breeze* Series: 300 word level), was selected as the most suitable textbook in the series for inclusion in the Mandarin Chinese programme at the university where the author teaches. Incidentally, although the subject matter of the narrative is the contemporary phenomenon known as cybercrime, in essence it employs the same storyline as that adopted by O'Neill *et. al.* (1971), in *The Man Who Escaped* (*Kernel Lessons Intermediate*), i.e. the protagonist is forced to go on the run from the police on account of having been framed for a crime he did not commit. For the purposes of the following analysis, it was assumed that students using *Can I Ask You to Dance?* will have studied up to the end of Lesson 12 of T'ung and Pollard's *Colloquial Chinese* (1982), together with certain supplementary materials produced in-house, or be able to demonstrate that they have attained that level by other means.

4. Applying detective stories to the teaching of Chinese at tertiary level

Chinese has been offered as a course option to undergraduate students at the university where the author teaches since 2002. In recent years, contact hours have been cut back, and there is now only one two-hour lesson per week instead of the three separate lessons of fifty minutes each. The majority of students now study the language on a non-credit basis, rather than for degree credit, which had been the case in the past. Students are now far more wary of devoting time to language learning, since this must be done at the expense of time that could be used to advance their study of their degree course. We, as language tutors, are under even greater pressure to use contact hours effectively and to be creative in finding ways of sustaining student motivation.

4.1 Course design

In order to conduct a detailed analysis of the lexis used in *Can I Ask You to Dance?*, a word list set out in order of frequency was first compiled using *Sketch Engine*. A technician at *Sketch Engine* then assisted in the task of compiling a list of frequency of occurrence for each of the 366 individual characters that formed the text. A random search using the “Find” function in *Word* confirmed the accuracy of the results obtained.

It was considered more useful to understand how the textbook could be used to help students consolidate their existing *character* knowledge, rather than how it might help them expand their *vocabulary*, although the importance of the latter is undeniable and, indeed, the two categories of knowledge are inextricably linked. An extremely limited number of contact hours is available (40 per academic year, slightly below the usual number of contact hours available to option courses in Chinese at HEIs in the UK). The crucial point was the extent to which the text would fit into the existing course structure. The character survey generated the following results:

- a. Only 57 of the 366 characters would be unfamiliar to our students, i.e. 15.6%, meaning that 84% are characters that students will have studied before.
- b. 5.5% of the characters appear only once in the text, 14.5% twice only, and 15% either 3 or 4 times. This means that just over a third of characters offer somewhat limited opportunity for consolidation through repetition, although they might well impress themselves on the students’ memory through their having been embedded in an engaging story.
- c. 65% of characters (approximately two thirds) appear 5 times or more, allowing ample opportunity for consolidation through repetition. Some 177 characters, or 48% (nearly half) of the total appear 10 times or more.

It is clear from the analysis that this text offers ample opportunity for consolidation of script. It can also be used effectively to expand grammatical knowledge, as it includes a range of structures that will be new to students, including V- 着 used to express continuous action, and a range of complements (resultative, directional, etc., including V+ 起来). The research has demonstrated that *Can I Ask You to Dance?* is an extremely good fit in terms of the progression of our Mandarin language programme at the university where the author teaches. It is to be anticipated that the sense of suspense generated by the detective story will engage students, while the relatively low occurrence of new characters should mitigate the fatigue engendered by having to memorize an unfamiliar script over a number of years. Moreover, the high incidence of repetition of words and characters should allow a degree of consolidation that will, in the end, produce students who are confident in using and

understanding the target language.

On the other hand, the disadvantages in using a text originally intended for use as a graded reader are clear. While the authors of the *Chinese Breeze* series have included brief vocabulary lists, a limited number of exercises, and passages designed to test global understanding of the story, there will still be a great deal that the tutor must do in order to adapt the text for classroom use. This is in sharp contrast to the Norwegian course, *Troll i Ord*, which, in addition to a thrilling detective story, provides copious resources for the practice of grammar and vocabulary.

It will be seen that the challenge posed to us by a course such as *Troll i Ord* lies in the extent to which the same kind of course can be created for learners of Chinese. Given the difficulties that the Chinese script presents the Western learner, the creation of a course book constructed around a detective story that takes students from beginner level all the way through the main sentence patterns of the colloquial language may prove to be too ambitious an endeavour. Still, the evidence indicates that we in the Chinese language classroom are as yet a long way short of having exploited the full potential of the detective story format in our language teaching. Surprising developments may lie ahead.

4.2 Assessment

The detective story format has also been successfully applied to oral assessment at the university where the author teaches. A question and answer session based on a police interview has been incorporated into the end of term oral examination for students who have already completed Lesson 14 of T'ung and Pollard's *Colloquial Chinese* (1982). Students will at this stage have completed approximately 126 contact hours' worth of tuition. The structure of the assessment is as follows:

- a. The candidate is supplied with a brief paragraph of text setting out a scenario involving either the commission of a crime or the details of a missing person's enquiry.
- b. The candidate is told that he/she will be taking the part of a police officer interviewing someone connected with the crime or enquiry, e.g. a suspect or a witness. He/she is told who that interviewee will be and that the examiner will play the part of that person.
- c. The candidate is then informed of the nature of the information sought and told that there will be eight minutes' preparation time in which to think of how to obtain the information using the target language, Mandarin Chinese. He/she is also told that it is not necessary to translate the questions he/she will ask *directly* into Chinese.
- d. The examiner is provided with a list of examples of questions to expect. This is for orientation purposes only, i.e. in order to mitigate the stressful conditions created by the examination and its attendant time pressure. As indicated above, direct translations are unnecessary: all questions posed by

the candidate using acceptable Chinese will receive credit. The examiner also has a list of responses that he/she may provide during the course of the interview in order to move the conversation along. These are kept as short as possible in order to maximise the time available to the candidate for production of the target language.

This examination occurs at the point at which students ought to have acquired the structures needed to describe past events, i.e. sentence particle *le*, verb suffix *le*, experiential *-guo* and the *shi...de* construction. Police investigations, focusing as they do on the circumstances of past events, provide an excellent and, indeed, challenging context in which to practise those very structures. The scenarios used in this oral examination can all be described using the everyday vocabulary that students have already encountered. They may, for example, call for a description of the physical appearance of a suspect, the mental state of the victim or witness, the location of objects and places, the appearance of the crime scene, the sequence of events that took place on the day of the incident or crime, and so on. It may be argued that few, if any, literary genres allow the same degree of scope for practising a vocabulary consisting of everyday concrete nouns; commonly-used action, modal and dispositional verbs; and adjectival and adverbial forms, including those describing mental and emotional states. This form of oral assessment, illustrating as it does the virtues of the detective story format from the learner's perspective, vividly highlights the role that the genre can play in the task of foreign language acquisition.

5. Conclusion

There has not yet been time fully to assess the way in which our students have responded to the use of *Can I Ask You to Dance?* as a classroom reader, although initial indications bear out the supposition that students find the material both easy to absorb and engaging. The text in question has clearly provided an avenue through students are able to enjoy their study of Chinese just at the stage at which more complex grammatical patterns are being introduced, and has both mitigated the fatigue of assimilating those new patterns and presented them in an accessible way. From the tutor's point of view, engaging material is essential to the retention of option course students at tertiary level in the UK, an environment that is often hostile to providing sufficient resources for effective language acquisition. The use of the detective story format in the assessment of oral competence has, in particular, proved extremely effective and will certainly be retained for use in the future.

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