



《外国语言文学研究丛书》 郭涛 主编

功能语用视角的 言语交际研究

陈文芳 许保芳 / 著

*A Functional Pragmatic Perspective of
Language Communication*



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前 言

北方工业大学外国语言文学一级学科下设日语语言文学、外国语言学及应用语言学、英语语言文学三个二级学科,涉及的研究领域有语言学、文学、语言与文化、外语教育与教学、翻译理论与实践。现有导师20人,教授8人,副教授12人,还聘任了日本大阪大学古川裕教授、美国密西西比大学陈卫星教授、美国东田纳西州立大学 Roz Gann 教授等兼职教授5名。

近年来科研成果显著,2011—2015年共承担了国家、省、市各类科学研究课题40余项,出版专著和教材54本,在各类学术杂志上发表论文368篇,一批优秀专著、论文和教材获国家、省部级奖励。外国语言文学一级学科与文法学院中文专业、法律专业相互融合、相互支撑,已形成以法庭同传研究为特色的翻译研究、以文艺批评为特色的中西方文艺理论研究、以中国学生外语习得研究为特色的外语教学理论与实践研究、以句式与隐喻研究为特色的中外语言研究团队。其中,文艺理论研究团队和翻译研究团队的学术成果在国内外产生了一定影响,获得了鲁迅文学奖和国家社会科学基金资助。外语教学理论与实践团队获得了北京市创新团队奖,中外语言研究也发表了不少高水平论文,形成了自己的特色。

外国语言文学学科每年招收10—15名硕士研究生,和国外大学联合培养,设有优厚的奖助学金制度;遵循因材施教、个性化培养的原则,根据每一名学生的特点制定个性化的培养方案,培养德、智、体全面发展,具有坚实的基础理论和系统的专门知识,严谨、求实的学风,综合素质较高的能胜任学校外语教学与研究的研究型人才或综合能力较强的能胜任外事、旅游、新闻、出版、翻译等行业

工作的应用型人才。

此次外国语言文学研究的系列学术成果能够出版，得到了学校出版基金的资助，研究内容涉及了语言、文学、翻译以及教育等方面，作者均为我校外国语言文学学科青年教师。该书的出版，既能检阅我校外国语言文学学科师资队伍建设和研究成果，也将促进我校外国语言文学学科的发展。

北方工业大学外国语言文学学科

2015年6月

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Part 1

The System and Dimensions in Speech Communication

—A Quasi-Dynamic Model

Chapter 1 Introduction

This is an inter-disciplinary study, with an introduction of Habermas's linguistic view and exploration on the unresolved issue of rationality in Grice's theory. The methodologies in this thesis are adopted for theoretical analysis in comparative discussion and practical analysis in speech communication.

In this chapter, there will be research backgrounds, major questions, objectives, research methodology and general outline of the thesis.

1.1 Research background

Historically, there are two main approaches to pragmatics: Anglo-American school and Euro-Continental school. Grice, as a representative of the Oxford school, focuses on the micro-study in the Anglo-American tradition. He has been regarded as a great contributor to pragmatics for his development of cooperative principle (CP) and conversational implicature (CI) with the addition of intention. So in this field, his theory has been developed into Neo-Gricean theories and Post-Gricean theories, and has been applied to analyze numerous phenomena in communication.

1.1.1 Grice's theory

Grice labeled CP as a general principle, "namely: Make your contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged" (Grice, 1989: 26). Then he specified four maxims associated with CP:

The maxim of Quantity:

- (i) Make your contribution as informative as is required (for the current

purposes of the exchange).

- (ii) Do not make your contribution more informative than is required.

The maxim of Quality: Try to make your contribution one that is true.

- (i) Do not say what you believe to be false.

- (ii) Do not say that for which you lack adequate evidence.

The maxim of Relation: Be relevant.

The maxim of Manner: Be perspicuous.

- (i) Avoid obscurity of expression.

- (ii) Avoid ambiguity.

- (iii) Be brief (avoid unnecessary prolixity).

- (iv) Be orderly.

(Grice, 1989: 26-27)

However, Grice is actually more a philosopher than a linguist. He took his start from the treatment of logic and finally came to his unexhausted end in the pursuing of rationality, in terms of reason and value. Indeed, one of the motivations Grice had in giving an account of meaning was to distinguish between what is meant—M-intended—and what is not M-intended but implied. Grice's conversational maxims are sub-principles of cooperation in rational communication that audiences use to construct and in inferential bridge from what is meant to what is implied.

He tried to resolve the issues of rationality in communication through analysis on language meaning, but "his defence of value 'bristled' with problems unsolved or incompletely solved" (Grice, 1991: 21). Moreover, Grice uses this general account of reasoning to investigate moral reasoning and moral reasons. He emphasizes the connections between reasons, actions and freedom. For our better understanding on the connection, it is necessary to divide Grice's approach into two stages (although he does not do so).

The first stage grants that the concept of unrelativized value requires defense; after all, things have value only relative to ends and beneficiaries. So how is unrelativized value to be understood? Grice defines unrelativized value "in Aristotelian style [as] whatever would seem to possess such value in the eyes of a duly accredited judge; and a duly accredited judge might be identifiable

as a good person operating in conditions of freedom" (ibid.: 119). In order to answer why a duly accredited judge would see value in the free rational adoption and pursuit of ends, and where such value is not ascribed because of the contribution that activity makes to some other end, Grice has developed the views on commonsense psychology. He thinks that commonsense psychology exhibits two features: parts of it are self-justifying; and, it contains principles for evaluating thought and action, where some of those principles are self-justifying. When he turns to ethics, Grice adds that commonsense psychology represents us as exercising rationality in freely adopting and pursuing ends; moreover, this view of ourselves is self-justifying in the sense that we cannot coherently conceive of ourselves in any other way. Grice's very plausible claim is that a "duly accredited judge" operating from within the theory of commonsense psychology would take the rational, free adoption and pursuit of ends as having unrelativized value. Hence, it does have such value.

The second stage starts with the principles a free adopter and pursuer of ends must embrace in order to qualify as rational. Grice addresses this issue most fully in *Aspects of Reason* (2001) and *The Conception of Value* (1991). The idea is that the combined requirements of rationality (outside ethics), freedom and happiness impose substantive constraints on all persons. Grice develops this theme with great insight and subtlety; however, he did not complete the project, and the intricacies of his views are best left to the detail of his own works. It is suggested that the conversational principles can be interpreted and explored from the perspective of value and rationality (Lin, Y. 2007; Chapman, 2005).

Thus, it is worthy of study to see how Grice's philosophical opinions are related to the other ideas in pragmatics, especially the Euro-Continental school, because his later concern on rationality is closely related to the macro-notions in flavor of Euro-Continental school, which discusses in aspect of society.

1.1.2 Habermas's theory

Similar to Grice, discussing the micro-communicative rules and macro-motivational rationality, Jurgen Habermas has also been appreciated in the field of pragmatics for his promotion of Universal Pragmatics, or in his own preference Normal Pragmatics. Habermas's analysis of

communication seeks to provide norms for non-dominating relations to others and a broader notion of reason. Hence he has been greatly studied in the realms of sociology and philosophy, but in fact his basic ideas are language-oriented, employing the notions of communicative competence and speech act, especially illocutionary force. However, his opinions on language haven't been explored adequately, let alone the application to ordinary language analysis. After discussion to some extent in present thesis, it will be found that both Grice and Habermas mentioned the pragmatic rules, rationality and the world for language. With the introductive comments and explorative application of Habermas's linguistic views, Grice's problems might be examined and mended.

Moreover, the integrated study of pragmatic theories has been once discussed (Liao, 2006), referring to its necessity, feasibility, methodology and rationale. That implies a promising project and triggers some enlightening ideas for the present thesis. With the dimensions, systems (Ma, 2004) and exploring principles (Zeng, 2003) concerned and reconsidered, a Quasi-Dynamic Model will be set up in this thesis.

1.2 Major questions, objectives and research methodology

Since the topics mentioned are somewhat metaphysical, this thesis should be developed step in step with the major questions, including:

(1) What are the similarities and differences between Habermas and Grice? That is the comparison of Grice's and Habermas's points of view on speech communication and their drives behind their theories.

(2) How to combine the two to get a better understanding of the whole process of speech interaction, especially the initiating speech act? That is the combination of the Grice's treatment to pragmatic principle of communication and Habermas's dealing with the dimensions of communication, both of which aim at the notion of rationality. With the discussion of the questions above, an improvement will be expected on the understanding of speech interaction, including system from initiating part to proceeding communication and the all-sided dimensions. It is the semi-objective of this thesis that Grice's problems in the uncompleted issues of rationality could be answered.

(3) With the combining project, how to carry out the evaluation of other pragmatic models and

analysis of ordinary speech communication? This is the final-objective of this thesis.

As to the research methodology, it is more theoretical than practical. So adequate reasoning is highly demanded. Interweaving pragmatic issues with sociological insights and philosophical pursuit, this is an inter-disciplinary one. As advocated in Grice's own work, the philosophical rationality can be reached through pursuing language communication. This is a big project, for which, we should turn outward as well as inward in its search for new theoretical resources as complementary part, and to be a heterogeneous rather homogeneous conceptually.

1.3 General outline

After an introduction to the thesis in this chapter, the critical review of Chapter 2 is followed, including my understanding and appraisal of the foregone studies on Grice and Habermas respectively and the other researches on pragmatic rules and rationality integrally.

Then in Chapter 3, the first question will be discussed in detail, with the hope that the merits and demerits of each can be concluded in figures. As to Chapter 4, there will be an intensive exploration on a promoted suggestion of a Quasi-Dynamic Model to deal with the analysis of system and dimensions of speech communication, and at the same time the second major question listed in this thesis will be settled. Meanwhile, the significances of the tentatively developed model will be noticed in brief. Afterwards, Chapter 5 will focus on the application of the Quasi-Dynamic Model, both in theoretical evaluation and practical analysis, in which the answer to the third question lies.

Finally in Chapter 6, as a conclusion, the self-reflection of the proposal in this thesis is available, and the limitation of the newly promoted model and further researches implied will be followed to end the work at present.

Chapter 2 Critical Review

This chapter will explicate some key notions, with a thorough literature review on the issues of rationality and pragmatic rules, especially related to Grice's theory and Habermas's project. After the overviews of Grice's viewpoints on rationality and Habermas's ideas about pragmatics, the related researches will be followed in order to clear the way for the adoption of definitions in my discussions.

2.1 Overview of Grice's concern on rationality

Grice's well-known works *Studies in the Way of Words* (1989, based on the 1967 William James Lectures), *The Conception of Value* (1991, based on the 1983 Carus Lectures) and *Aspects of Reason* (2001, based on the 1979 John Locke Lectures) reflect the philosophical grounds for his theories. Towards Grice's philosophical efforts and pragmatic effects, there are two major perspectives. One regards the researches on rationality and the studies on words as parallel parts; the other one considers them a correlation of goal-and-means. Both of these perspectives accept Grice's treatment and develop further. By contrast, some latest improvement poses dissatisfactions.

2.1.1 Rationality: paralleled with studies of words

In some comments, philosophical grounds for Grice's theories can be presented in three aspects: his meaning theory, the notion of "value" and "rationality" (Chen & Ma, 2007). Here, reason has been degraded into the notion of "rationality".

Comparatively, Feng (2006) defines the notion of "rationality" mainly according to the aspect of reason, exemplified explaining the alethic reasons and practical reasons. He stresses

that "cooperation must be principle" against the misinterpretations which terms from a neglect of Grice's philosophical thinking. He concludes his discussion by pointing out that "rationality is intimately connected with demands for decision-making and justification, which are in turn intimately associated with the notion of a person" (Feng, 2006: 112). In a word, both of them have made great efforts on the study of rationality, though conveying only a little flavor in terms of original momentum in Grice's theory. They seem to parallel rationality with conversation theory.

The corresponding Chinese translation of the book *Studies in the Way of Words* also take such kind of interpretation: the "way" is understood as "use" to link with "words". However, reading through the whole book, we may find that Grice's purpose of language exploration is his philosophical pursuit, which is rationality from Kant's project. And in this book, he displays somewhat mention. So, for my part, it will be better to apprehend the "way" as "the method" or "the means". That is to say, he approaches his philosophical studies through words.

Fortunately, we also get abundant fruitful discussions similar with my understandings. Let us come to them in the following part.

2.1.2 Rationality: in the way of words

About the role of rationality in Grice's theory, some viewpoint regards it as the motivation for the conversation, and remarks that "cooperation is the realization of rationality applied at the level of discourse" (Liu, 2005). Feng (2005) takes more care at this point when he is claiming that "cooperation must be principle". His claims correct some misunderstandings about cooperative principle, such as Lesinson (1983), Fais (1994), Stenstrom (1994), Bensen and Dybkjer (1996), Sperber and Wilson (1986), Clark (1996), Taylor and Cameron (1987), Qian (2002), and so on. Such kind of review (Feng, 2005: 109-110) is appreciated very much.

Besides, there are some thorough explorations into the whole system of Grice's ideas. The most significant one, in my opinion, is what Chapman has done (2005). Sooner than expected, the introductory comments on Chapman's book by Lin, Y. (2007) provide us very valuable information additionally, both about background of the book and Grice. Before Chapman, the relatively systematic studies (Stanford University, 2006) on Grice's rationality are mostly about intention and the intended meaning.

What is more, the comparatively brief biography, of course including Grice's philosophical thoughts, is available in *Key Thinkers in Linguistics and the Philosophy of Language* (Chapman & Routledge, 2005: 108-114). The identical tenet can be found again that rationality is both the jumping-off place and ending result of Grice's investigations.

Anyway, there are always reasonable comments since they are doing rational reasoning. But compared with other related theories, such as Neo-Gricean or Post-Gricean ones, it is necessary to keep consistent justification, though manifestations are different.

2.1.3 Latest improvement

Different from the previous two perspectives, Herbert (2007) showed the dissatisfactory remarks and commented that "In the model of language use proposed by philosopher H. Paul Grice, people in conversation recognize 'a common purpose or set of purposes, or at least a mutually accepted direction', and they cooperate in contributing to those purposes. Grice went on to argue, 'Talking [is] a special case or variety of purposive, indeed rational, behavior'. But Grice tacitly assumed a type of omniscient rationality: People in conversation have perfect knowledge of the language and the current common ground, and they have an unlimited processing capacity in choosing what to say. In reality, people's rationality is bounded, and that leads to quite a different view of language use." He takes up some of the consequences of bounded rationality in language use. Perhaps, he is the one of minor group who not only research Grice's ideas but also search for Grice's limitations and improvements, in terms of both philosophical issues and conversation. I value this kind of work highly. And from these remarks, we may tell that different awareness of language can be a factor in conversation. Especially in nowadays cross-cultural communication, the speaker may be from different language community and when they come into conversation, the starting step is particularly crucial. But, the point of how to deal with the initiating part of speech communication has not been paid enough attention before. After the theoretical exploration, it will be discussed in later part of this thesis.

In a word, research on the philosophical grounds of Grice's theories provides us not only with a unified framework for Grice's theory on meaning, value and rationality but also the way of studying how the philosopher in a philosophical manner explores language and in a linguistic

manner explores philosophical issues. At the same time, problems of thinking and reality can be solved. Another distinguish figure, Jurgen Habermas, has made great contribution in such field, and also has been commented abundantly, to some degree.

2.2 Overview of Habermas's concern on pragmatics

Jurgen Habermas is the leading scholar of the second generation of the Frankfurt school, a group of philosophers, cultural critics and social scientists associate with the Institute for Social Research, founded in Frankfurt in 1929. The Frankfurt school is best known for its program of developing a critical theory of society. Habermas's analysis of communication seeks to provide norms for non-dominating relations to others and a broader notion of reason. Hence he has been greatly studied in the realm of sociology and philosophy (e.g. Rasmussen, 1990; White, 1995), but in fact his basic ideas are language-oriented, in the name of Universal Pragmatics (Habermas, 1979).

Universal Pragmatics is different from other linguistic studies, for "it concerns utterances of expression instead of sentences, and for it takes the perspective of social communication and non-constrained expression in communicative action" (Outhwaite, 1996; Shen, 1999: 42). At the beginning of Habermas's "What is Universal Pragmatics?" he puts forward that:

The task of universal pragmatics is to identify and reconstruct universal conditions of possible understanding. In other contexts one also speaks of "general presuppositions of communication", but I prefer to speak of general presuppositions of communicative action because I take the type of action aimed at reaching understanding to be fundamental. Thus I start from the assumption (without undertaking to demonstrate it here) that other forms of social action—for example, conflict, competition, and strategic action in general—are derivatives of action oriented to reaching understanding. Furthermore, as language is the specific medium of understanding at the socio-cultural stage of evolution, I want to go a step further and single out explicit speech actions from other forms of communicative action. I shall ignore nonverbalized actions and bodily expressions. (Habermas, 1979: 1)