



Functional-cognitive Stylistic Approach to Grammatical Metaphor:

A Case Study of English Metalinguistic Texts
语法隐喻的功能 – 认知文体学研究

——以英语元语言语篇为例

刘承宇 / 著



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序

得知刘承宇博士将根据其学位论文出版《语法隐喻的功能——认知文体学研究》一书,感到非常高兴。刘承宇同志在攻读博士学位期间本着科学的态度,认认真真做学问,广泛阅读语言学的各类书刊,刻苦钻研,学科理论基础知识扎实,给人留下深刻的印象。

语法隐喻是一个值得关注的语言现象,反映了人们认识世界的一个过程。韩礼德在《科学语言》一书中认为语法隐喻能创造虚拟的实体和过程,能增强语言的抽象力。语法隐喻在科学语篇的发展过程中成为人们组织语法的新策略,在语篇中有助于论证的展开和构建技术术语之间的相互联系。它是系统功能语法的一个重要概念,因此近年来有许多学者对其进行研究和探讨,但是对语法隐喻在英语元语言语篇中的分布特征和文体价值的研究并不多见。

刘承宇博士的这本书能以系统功能语言学为视角,结合认知文体学的理论,阐释语法隐喻的本质和文体价值,说明语法隐喻存在的理据,并且用认知心理学的原型理论解释了一致式。刘承宇博士在书中把语法隐喻在语篇中的失协和失衡的分布看作一种有动因的文体标记,能产生前景化的语境效果。该书在回顾学者对语法隐喻研究的基础上,能够进行归纳和评析。此外,书中还阐述了自然语言和元语言的同源性。为了说明语法隐喻在不同类型的元语言语篇的文体特征,该书在搜集元语言语篇语料的基础上,把元语言语篇分为入门类和学术性元语言语篇,详细地统计和分析了语法隐喻的分布,说明语法隐喻在使用上的差别,得出了很有意义的结论。

刘承宇博士的研究很好地阐明了语言三大元功能之间的相互作用,把功能语言学理论和认知理论结合起来,充分结合量化分析方

法,颇具新意,不仅提供了研究语法隐喻的新视角,而且丰富了隐喻研究的内容,使人们对语法隐喻现象有了更深刻的认识。

几年来,刘承宇博士不仅承担了国家社科基金项目等各种科研课题的研究,而且还在本学科的刊物上发表了多项研究成果,是一个很有潜力的年轻博士。我相信刘承宇博士今后能再接再厉,出更多的科研成果。

杨信彰

2008 年 1 月于厦门大学



前 言

“语法隐喻”是系统功能语法及功能文体学的核心概念之一,自韩礼德 1985 年提出该概念以来,一直是功能语言学界的研究热点之一。近年来,部分学者开始讨论语法隐喻的文体价值。随着过去二十余年认知语言学和认知语用学的迅猛发展,认知文体学应运而生,成为研究语篇文体特征的一种新的研究范式。与此同时,系统功能语言学界近年来也出现了认知转向。

毋庸讳言,围绕“语法隐喻”这个概念本身及其范围、划分一致式和隐喻式的标准等问题,系统功能语言学界迄今仍是众说纷纭。对语法隐喻文体价值的零星研究一般仅限于文学语篇和少数专门用途语篇(如广告、新闻、法律和科技语篇等),很少有人对英语元语言语篇中语法隐喻的分布特征及其文体价值进行系统的实证研究。人们对概念隐喻和人际隐喻在级转移上的逆向性及其所反映的语言的概念功能与人际功能之间内在的张力关注不够,尚未揭示这种张力对语义发生和语篇文体特征的意义。而这正是本研究的主旨所在。

本书试图将功能文体学与认知文体学理论相结合,通过分析各种类型的语法隐喻在英语元语言语篇中的分布特征及其文体价值,回答以下三个方面的问题:(1)如何整合功能文体学和认知文体学理论,以阐释语法隐喻及其文体价值?(2)各种类型的语法隐喻在英语元语言语篇中的分布特征如何?有何文体价值?(3)如何结合语言概念功能和人际功能之间内在的张力来解释概念隐喻和人际隐喻级转移的逆向性?这种张力对语义发生和文体演变有何影响?

本书内容包括主体部分、注释、参考文献、附录和索引。主体部分由以下七章组成:

第一章“导论”简要介绍了本研究的理论背景、研究意义、研究

方法与语料收集以及本书的结构。

第二章“文献综述”首先对本研究所涉及的一些基本概念(如隐喻和语法隐喻、文体和文体价值、元语言和英语元语言语篇等)进行了界定;其次,对前人在这些领域以及功能文体学、认知文体学等方面的研究成果进行了回顾和评析,旨在阐明本研究的理论背景。

第三章“理论框架”首先在功能文体学框架内分析了语法隐喻及其文体价值,接着从认知文体学的角度对该问题作了进一步的探讨。

第四至六章为本书的核心部分,旨在运用定性研究和定量研究相结合的方法,统计分析语法隐喻的三种类型(即概念隐喻、人际隐喻和语篇隐喻)在英语元语言语篇中的分布模式,以揭示其文体价值。

第四章“英语元语言语篇中的概念隐喻及其文体价值”首先统计分析了及物性隐喻和名词化等两种类型的概念隐喻在英语元语言语篇中的分布情况,特别彰显概念隐喻中的自上而下的级转移;接着从认知文体学的角度,运用象似性、原型、前景化和可及性等认知语言学理论,以阐释概念隐喻的词汇语法特征及其文体价值。

第五章“英语元语言语篇中的人际隐喻及其文体价值”首先统计分析了语气隐喻、情态隐喻、被动语态和人称转移等四种类型的人际隐喻在英语元语言语篇中的分布情况,着重彰显人际隐喻中常见的自下而上的级转移;进而通过比较概念隐喻和人际隐喻,以突出这两种主要类型的语法隐喻中的级转移的逆向性;接着分析了语言的概念功能和人际功能这两种主要的元功能之间内在的张力,以阐释概念隐喻和人际隐喻在级转移上的逆向性。作者指出,语言的概念功能和人际功能之间的相对张力,从本质上看反映了 Zipt (1949)提出的“最小努力原则”的两个方面(即说者经济性和听者经济性)之间的内在矛盾。本章最后讨论了语言的概念功能和人际功能之间的相对张力对语义发生和文体演变的启示。

第六章“英语元语言语篇中的语篇隐喻及其文体价值”首先在系统功能语言学理论框架内论证了“语篇隐喻”这一概念的合理性。本章接着统计分析了隐喻性主位结构和隐喻性信息结构在英语元语

言语篇中的分布情况,最后运用认知文体学理论,着重从象似性和前景化的角度,阐释了语篇隐喻的文体价值。

第七章“结语”首先概述了本研究的结论和意义,最后对本研究存在的不足及后续的研究作了思考。

本书的主要研究结论是:(1)系统功能语法中的语法隐喻这一概念,源于词汇语法与语义之间的“自然联系”。这种“自然联系”反映了语言系统和人类概念化模式之间的象似性。系统功能语法中的所谓“一致式”,可以运用认知心理学中的原型理论重新加以阐释。(2)语法隐喻在语篇中的失协和失衡的分布模式往往作为一种有动因的突显手段,因而成为一种文体标记,产生前景化的语境效果。(3)人类语言的一个重要属性,就在于具有反射性和层次性等特征。自然语言和元语言的同源性,使英语元语言语篇在语法隐喻的分布模式方面与其他学术语篇有一定的区别,因而构成其文体特征的一个重要方面。(4)对英语元语言语篇中语法隐喻的分布情况的统计分析表明:名词化、被动句和非人称主语在英语元语言语篇中使用频率较高,及物性隐喻、语气隐喻、情态隐喻、人称主语、隐喻性主位结构和隐喻性信息结构的使用频率较低。这说明英语作为学术语篇的一个分支,一般具有词汇密度高、语气中性客观、语言朴实、句法结构较为单一等文体特征。(5)研究同时表明,入门类英语元语言语篇和学术性英语元语言语篇在语法隐喻的分布模式上呈现出显著差异。总的来说,名词化、被动句和非人称主语在前者中的使用频率低于后者,及物性隐喻、语气隐喻、情态隐喻、人称主语、隐喻性主位结构和隐喻性信息结构使用频率较低。这种差异反映了语篇的可及性,体现了作者对预期读者认知环境的一种顺应。(6)语言的概念功能和人际功能之间存在着一种内在的张力。这种张力在词汇语法层体现为概念隐喻与人际隐喻级转移的逆向性,浸淫于语义发生的三个时间框架,对语法隐喻的发展和文体演变有着深刻的影响。

本研究的意义体现在以下三个方面:首先,通过整合功能文体学和认知文体学理论,阐释了语法隐喻及其文体价值的存在理据,从而在一定程度上弥合了建构主义隐喻观和非建构主义隐喻观之间的分

歧。其次,通过统计分析各种类型的语法隐喻在英语元语言语篇中的分布模式,探讨了语法隐喻的文体价值。最后,通过分析概念隐喻和人际隐喻在级转移上的逆向性,揭示了语言的概念功能与人际功能之间的内在张力及其对语义发生和文体演变的影响。

本书的付印倾注了很多人的心血。首先,我要衷心地感谢我的导师杨信彰教授。从确定题目到完成博士学位论文,无不凝结着他的辛勤汗水。导师严谨治学的精神,深刻敏锐的学术眼光,还有他和师母对学生们博爱宽容的人文情怀,让我永生难忘。

其次,我要感谢我在西南大学(原西南师范大学)攻读硕士研究生时的老师陈治安教授和刘家荣教授,以及北京大学的胡壮麟教授、中山大学的黄国文教授、中国海洋大学的张德禄教授等。是他们为我开启了语言研究的大门,为我的研究奠定了语言学,尤其是系统功能语言学和语篇分析的理论基础。

感谢曾主持我的博士学位论文答辩的中山大学的黄国文教授,南京师范大学的辛斌教授,厦门大学的连淑能教授、吴建平教授和胡兆云教授。他们都为我的博士学位论文提出过宝贵的修改意见。

让我永远难以忘怀的还有西南大学外国语学院院长李力教授和向雪琴书记,感谢他们在我求学期间提供的大力支持和帮助。同时要感谢的还有我在西南大学的同事文旭教授和杨炳钧教授,在厦门大学的同窗李力博士、肖唐金博士等,在美国伊利诺伊大学访学时的同事、南京大学的陈新仁教授和厦门大学的韩宇博士,以及其他许多曾经鼓励和支持过我的朋友、同学和同事。

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限于本人的研究水平,书中出现的不当之处敬请读者批评指正。

著 者
2008 年 1 月
于西南大学

Abstract

The notion of *grammatical metaphor* has long been a hot issue since it is first proposed by Halliday (1985a) as one of the core concepts of systemic-functional grammar and in turn of functional stylistics. Recent years have witnessed some tentative efforts to investigate the stylistic value of grammatical metaphor. Meanwhile, with the rapid development of cognitive linguistics and cognitive pragmatics, cognitive stylistics arises as a new interdisciplinary perspective on the style of the text. Likewise, systemic functional linguistics has undergone a cognitive turn in recent years.

So far, controversy still exists over the demarcation between congruent and metaphorical variants as well as the scope of grammatical metaphor. The sporadic literature on the stylistic value of grammatical metaphor is generally confined to literary texts and a narrow scope of specialized genres, such as advertising, journalistic, forensic, scientific and technical discourses. Little systematic empirical study has ever been conducted to investigate the distribution of grammatical metaphor in EMTs and its stylistic value. The opposite rank-shifts in ideational and interpersonal metaphors and the underlying tension between the ideational and interpersonal metafunctions of language have not received due attention so as to reveal its semogenic and stylistic implications. This is where the focus of this project resides.

This book seeks to apply an integrated functional-cognitive stylistic approach to investigating the distribution of various grammatical metaphors in EMTs and their stylistic value, with an aim to address the following issues: (a) How can the systemic notion of grammatical metaphor and its stylistic value be expounded from an integrated perspective of functional stylistics and cognitive stylistics? (b) In what

patterns are various types of grammatical metaphor distributed in EMTs and what stylistic value does it embody? (c) How can the opposite rank-shifts in ideational and interpersonal metaphors be interpreted in relation to the inherent tension between the ideational and interpersonal metafunctions of language? And what implications does this tension have on semogenesis and stylistic variation?

The major findings of this work include:

- (i) The systemic notion of grammatical metaphor is derived from the "natural" relationship between lexicogrammar and semantics. This "naturalness" reflects the iconicity inherent in the language system and human conceptualization. The controversial notion of congruence can be revisited in light of the prototype theory.
- (ii) The incongruent and/or deflected distribution of grammatical metaphor in the discourse generally functions as motivated prominence. This renders grammatical metaphor to serve as style markers to engender the contextual effect of foregrounding.
- (iii) Human language is characterized with reflectivity and hierarchical stratification. The general agnation of natural language and metalanguage attributes EMTs with some distinctive features from other academic texts, particularly in the use of grammatical metaphor, thus constituting a significant aspect of the stylistic characteristics of the text.
- (iv) The empirical study of the use of grammatical metaphor in the EMT corpus indicates that nominalization, passivization and impersonal subjects are densely distributed in EMTs, whereas transitivity metaphors, mood metaphors, modality metaphors, personal subjects, metaphorical thematic structures and metaphorical information structures are more or less sparsely distributed in them. This suggests that as a sub-genre of academic discourse, EMTs are stylistically characterized with lexical density, impartiality and objectivity, plain language and syntactic simplicity.
- (v) The empirical study also reveals significant differences in the distribution of grammatical metaphor in introductory EMTs and academic

EMTs. Generally speaking, nominalization, passivization and interpersonal subjects are less frequently used in introductory EMTs than in academic EMTs, whereas transitivity metaphors, mood metaphors, modality metaphors, personal subjects, metaphorical thematic structures and metaphorical information structures are more frequently distributed in introductory EMTs than in academic EMTs. This reflects the accessibility of the discourse and primarily results from the author's accommodation towards the cognitive environment of the intended readership.

(vi) The inherent ideational-interpersonal tension is instantiated lexicogrammatically as the opposite rank-shifts in ideational and interpersonal metaphors. It permeates the three time frames of semogenesis and has great impact on the development of grammatical metaphor and stylistic variation.

The significance of this work are three-fold: (a) The systemic notion of grammatical metaphor and its stylistic value is justified from an integrated perspective of functional stylistics and cognitive stylistics, thus bridging the gap between the constructivist and non-constructivist approaches to metaphor; (b) The distribution pattern of various types of grammatical metaphor in the EMT corpus is empirically investigated so that their stylistic value is revealed; (c) By analyzing the opposite rank-shifts in ideational and interpersonal metaphors, this work illuminates the ideational-interpersonal tension as well as its implications on semogenesis and stylistic variation.

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Chapter 1

Introduction

This book purports to address the stylistic value of grammatical metaphor from an integrated perspective of functional stylistics and cognitive stylistics. A corpus-based analysis of the distribution of various grammatical metaphors in English metalinguistic texts (hereafter abbreviated as EMTs) will be conducted as a case study to illuminate the central argument of this work, i. e. the incongruent and/or deflected distribution of incongruent lexicogrammatical resources can be employed as a significant means of foregrounding, thus constituting an important aspect of style markers. This chapter will start with the background, rationale, and purpose of the current study, followed by a brief introduction of the methodology and data collection adopted in this project and finally the organization of this book.

1.1 Background of the study

Metaphor has long been a fascinating and controversial issue in linguistics. In Western countries, strenuous study of metaphor dates back to the Aristotle-Plato debate. To Aristotle and his followers, metaphor is merely an adornment to language (i. e. a trope); to Plato and his associates, however, it embodies the nature of language (and even of human beings). This controversy, as Ortony (1979) notes, has developed into modern linguistics as the distinction between nonconstructivism and constructivism. Whereas non-constructivists, by following the tradition of rhetoric, view metaphor as a figurative device to

refine language, constructivists tend to envisage it as a means to interact between language, reality and thought, which simultaneously embodies the nature of language and the working mechanism of human mind (Ortony 1979, 1983; Zhu & Yan 2001).

In traditional rhetoric, metaphor is defined as a figure of speech parallel to simile, synecdoche and metonymy, which exploits the substitution of the expression of one thing for a similar notion. In modern linguistics, as in Richards' s Interaction Theory (1933), metaphor is not merely a verbal matter, a shifting and displacement of words; rather, it is the by-product of human thought which involves the attribution of certain features from one thing (i. e. vehicle) to another (i. e. tenor). In recent decades, this constructivist view of metaphor prevails in many disciplines, like cognitive psychology, phenomenology, semiotics and cognitive linguistics. Lakoff & Johnson (1980), for instance, define metaphor as an inseparable mechanism whereby human beings conceptualize their experience of the world, thus contextualizing metaphor in human communication and cognition.

As a whole, however, traditional approaches to metaphor are generally confined to the lexical level. But as Halliday (1985a: 320) argues, metaphorical variation is in most cases "lexicogrammatical rather than simply lexical." Halliday (1985a: 321ff) thus proposes the notion *grammatical metaphor* to designate metaphorical expressions involving lexicogrammatical transferences of one kind or another. As Halliday & Matthiessen (1999: 233) argue, lexical and grammatical metaphors are not two different phenomena; instead, they are "both aspects of the same general metaphorical strategy by which we expand our semantic resources for construing experience".

In the subsequent literature, Halliday' s early tentative yet unsystematic theory of grammatical metaphor has been developed and elaborated by Halliday and other systemists (e. g. Martin 1992; Halliday & Martin 1993; Matthiessen 1993; Halliday 1998a, 1998b; Halliday & Matthiessen 1999, 2004; Hu 1996, 2000a, 2004; Zhu &