英汉学术语篇中作者身份构建的对比研究

唐建萍
著

■ A Comparative Study of Authorial Identity in
■ English and Chinese Academic Discourse

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List of Abbreviations

ChiChem	Chinese Chemistry
ChiLing	Chinese Linguistics
EAP	English for Academic Purposes
EngChem	English Chemistry
EngLing	English Linguistics
ESP	English for Specific Purposes
FPPs	First person pronouns
FPPPs	First person plural pronouns
FPSPs	First person singular pronouns
RAs	Research articles

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Abstract

Identity refers to the distinctive character belonging to any given individual, or shared by all members of a particular social category or group. The issue of identity is attracting increasing attention in linguistic research. Halliday's view of language mentions identity as one of the aspects of social life which is bound into grammar. It is generally accepted that language is a means of expressing social identity.

As a means of social practice, academic writing plays a significant role in the development of science. Recent research clearly indicates that academic writing is not a uniform body of discourse but varies according to disciplinary conventions, cultural expectations and writers' professional status and experience. In the process of academic writing, writers may take into considerations of these conventions and expectations to make themselves accepted as qualified insiders in their respective communities. The production of writing is a manifestation of the writers' identity.

Based on the above assumptions, this study focuses on the construction of authorial identity in academic discourse. Methodologically, it is a corpus-based descriptive analysis and the discussion is set against the background of contrastive analysis between English and Chinese. The data chosen for the study are published research articles (RAs) of Linguistics and Chemistry, representing the disciplines which belong to the 'soft' and 'hard' sciences respectively. The contrastive approach helps to examine the influencing factors in identity construction. The research investigates various linguistic resources which writers utilize for

signaling their identities in claim-making and in the interaction with the readers. The investigations show that these resources project authorial identity in different degrees, from explicit to implicit.

The explicit representation of authorial identity is realized through first person references which express the utmost visibility of writers in academic writing. In presenting themselves, writers of RAs may strategically use first person singular pronouns (FPSPs) or first person plural pronouns (FPPPs). Use of FPSPs is the most direct way to stress the authority of writers. Use of FPPPs is comparatively complex in the sense that the referents of the pronouns may be ambiguous. In this study, FPPPs are classified into four sub-categories. They are collective *we*, editorial *we*, inclusive authorial *we* and generic *we*.

With the help of context, different rhetorical roles of the first person authorial pronouns are recognized. The rhetorical roles demonstrate the activities of writers in academic writing. These roles include discourse-organizer, researcher and opinion-holder. The role of discourse-organizer foregrounds the writer's responsibility of framing the text for the readers. The researcher role highlights not only the writer's familiarity with his/her disciplinary practices, but also the attempt to gain the readers' trust by validating his/her research framework. The role of opinion-holder emphasizes the interactive nature of academic writing. As an opinion-holder, a writer may open a dialogue with the readers to negotiate claims.

The authorial identity is implicitly projected by means of agentless constructions and stance markers. Agentless constructions include constructions with inanimate subjects and anticipatory *it*-clauses. The investigation indicates that agentless constructions, though construct less powerful and overt identities, do not obscure the authorial identity completely. Instead, these linguistic means allow writers to maintain a balance between overt evaluative positioning and detached claim-making when illustrating claims, constructing a convincing argument or drawing tentative conclusions. Thus writers could construct an identity that is likely to persuade community members to accept the validity of their research.

Stance markers are widely recognized as a key resource through which the

authorial viewpoint is indirectly conveyed, projecting a textual "voice" or community recognized personality. The stance markers investigated in the present study include hedges and boosters. Hedges and boosters are interpersonal aspects of language use. As regards authorial identity projected in RAs, they work as the ways that writers intrude to stamp their personal authority onto their arguments or step back and disguise their involvement. The findings show that hedges help project writers' personae of caution, modesty and deference, while boosters highlight writers as competent members of the discourse communities. The rhetorical employment of these stance markers enables an academic writer to seek a balance between the researcher's authority as expert-knower and his/her humility as disciplinary servant.

Considering the results of the comparison both between languages and between disciplines, three potential influencing factors are identified. These factors are cultural conventions, disciplinary variability and pragmatic considerations. These factors may overlap or work independently for the accounts of the results of the study.

The investigation of authorial identity in academic discourse has theoretical and pedagogical implications. Theoretically, the proposed theoretical framework reveals the relation between the socio-cultural factors and linguistic devices with the modulation of genre theory in academic writing. The linguistic resources examined for the construction of authorial identity and the findings about the explicit and implicit projection of authorial identity enrich academic writing theory and research. Pedagogically, this study is a useful starting point to raise writers' awareness of the explicit/implicit linguistic resources available for the projection of authorship. The comparative analysis provides teachers and students with knowledge of preferred patterns in academic writing.

前　言

身份是指某个个体或同一团体中的所有成员区别于其他个体或成员的特征。对于身份的研究越来越被语言学界所关注。韩礼德的语言观认为，作为社会生活的一部分，身份注定离不开语法。语言作为社会身份的表达手段已被人们普遍接受。

作为一种社会实践，学术写作对推动科学的发展起着举足轻重的作用。研究表明，学术写作不是一成不变的，而是随学科规范、文化期待以及写作者的职业和经验而发生变化的。在写作的过程中，作者会充分考虑这些因素，为自己在其特定的领域赢得“合格的圈内人”的身份。因此，学术语篇自然呈现作者的身份。

本书关注英汉学术语篇中的作者身份构建，旨在考察构建作者身份的语言资源。所选语料是英汉语本族语者发表在人文社会科学和自然科学领域学术期刊上的研究论文。从研究方法上来说，本研究是基于自建语料库的双重对比，即语言文化的对比和学科对比。这种对比研究有助于探讨影响作者身份构建的因素。

研究显示，用于构建作者身份的语言资源丰富多样。本书把这些语言资源分为显性和隐性两类。呈现作者身份的显性形式主要是第一人称指代语，即作者以直接的“自我”来呈现自己。隐性的语言手段包括非施事者结构和态度标记语，这些语言形式虽然没有明示作者的存在，但间接地映射出作者在语篇中的“声音”以及与读者的“对话”。

第一人称指代语有单复数两种形式。单数第一人称代词是最直接的表达作者身份的语言手段，表征权威、自信的作者自我。复数第一人称代词因其指代主体的复杂性而被进一步分为集合的 we，编者的 we，包含作者

的 we 和类指的 we。这些不同的指称反映了作者的语篇修辞策略，通过建立合适的作者与读者的关系，从而呈现作者身份。

作者的身份体现在作者在写作活动中所承担的角色。通过考察与第一人称代词搭配使用的动词，我们发现作者在学术语篇中主要扮演三种角色：语篇组织者、研究者和观点持有者。语篇组织者的作用在于为语篇构架，从而为读者提供清晰的语篇发展脉络；研究者是学术语篇最主要的角色，因为学术语篇的主要任务是开展学术研究。研究者角色不仅凸显作者对学科实践的熟练程度，而且反映作者试图通过自己的研究工作而得到读者的认可。观点持有者角色强调学术语篇的互动性。学术研究是作者与读者或其他研究者进行协商的过程。在这个过程中，作者对前人的研究进行评价，提出自己的观点，从而产生学术对话，以此推动学科发展。

采用无灵主语结构是写作者间接地呈现作者身份的有效方式。研究发现，这些无灵主语结构虽然不能明晰地构建极具权威的作者身份，却并没有完全忽略作者在语篇中的存在。作者的身份不是凸显，而是隐含在这些看似客观的语言表达中。这样的语言表达手段有助于作者以客观公正的态度表达对命题或读者的评价。从语用策略的角度看，作者使用这样的语言资源可以使评价行为客观化，避免因断言有误而承担责任，从而使研究结论更客观公正。

态度标记语是用来间接地表达作者对命题或读者的态度和评价的语言资源。本书重点考察了模糊语和增强语两种态度标记语。从语言的元功能来看，模糊语和增强语体现人际意义，是作者对命题或读者的介入或疏离。就学术语篇中的作者身份而言，模糊语有助于构建一个谨慎、谦虚、对读者持尊重态度的作者形象；而增强语则通过对命题的确定，凸显作者作为学术社区中的有能力的研究者身份。从语用策略的角度来看，这些态度标记语有助于学术语篇的作者在塑造权威的内行人或学科社区的仆人时适时调整自己的身份。

综观对比研究所得的结果可以看出，文化传统、学科差异和语用策略是影响作者身份构建的主要因素。这些因素单独或者共同作用于写作者在特定语篇社区中的身份构建。

本书通过考察学术语篇中用以构建作者身份的语言资源，较为全面地揭示了学术语篇中的作者呈现方式以及对语篇发展的作用，为我们研究学术语篇提供了新的视角，有助于提高写作者的学术意识。对学术写作教学而言，本书的比较分析为学术语篇的构建模式提供了参考。

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