

高等院校英语语言文学专业研究生系列教材

总主编 戴炜栋

功能语篇分析

Functional Discourse Analysis

Huang Guowen & Ghadessy Mohsen

黄国文 葛达西 编著


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总 序

近年来,随着我国经济的飞速发展,社会对以研究生为主体的高层次人才的需求日益增长,我国英语语言文学专业的研究生教学规模也在不断扩大。各高校在研究生培养方面,形成了各自的特色,涌现出一批学科带头人,开设出自己的强项课程。但同时我们也认识到,要使研究生教育持续健康地发展,要培养学生创新思维能力和独立研究与应用能力,必须全面系统地加强基础理论与基本方法方面的训练。而要实现这一目标,就必须有一套符合我国国情的、系统正规的英语语言文学专业研究生主干教材。

基于这一认识,我们邀请了全国英语语言文学专业各研究领域的知名专家学者,编写了这套《英语语言文学专业研究生系列教材》,旨在集各高校之所长,优势互补,形成合力,在教材建设方面,将我国英语语言文学专业的研究生培养工作推上一个新的台阶。我们希望通过这套教材的出版,来规范我国的英语语言文学专业的研究生课程,培养出更多基础扎实、知识面广、富有开拓精神、符合社会需要的高质量研究生。

在内容上,本套系列教材覆盖了英语语言文学专业各学科的主要课程。我们总的编写指导思想是:结合我国英语语言文学专业研究生教学的实际情况与需要,强调科学性、系统性、先进性和实用性。力求做到理论与应用相结合,介绍与研究相结合,中与外相结合,史与论相结合,广泛搜集资料,全面融会贯通,使每一本教材都能够反映出该研究领域的新理论、新方法和新成果。本套教材的这些特点,使其有别于单纯引进的国外同类原版教材,是国外教材所不可取代的,两者的作用是相辅相成的。也正是由于这些特点,本套教材不仅可以作为我国英语语言文学专业研究生的主干教材,也可作为中国语言文学专业的教师与学生的参考用书。

在编写体例上,我们参照了国家标准局的有关标准以及国际上的通行做法,制定了统一的规范。每章后面,都列出了思考题和深入阅读书目,以便启发学生思考和进一步深入研究。

教材建设是学科建设的一项重要基本建设,对学科发展有着深远的影响。我们相信,正如国外剑桥和牛津大学出版社出版的语言学、应用语言学教材和丛书对推动国际语言学和应用语言学的发展起了巨大作用一样,在世纪之交推出的这套系列教材,也必将大大推动我国 21 世纪英语语言文学专业研究生教育事业的发展,促进我国英语语言文学研究水平的提高。

戴炜栋

2000 年 9 月

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INTRODUCTION

Since the pioneering work of Sinclair and Coulthard at Birmingham University in the 1970s and the consequent literature (Sinclair and Coulthard 1975; Coulthard 1977), a number of volumes have been published on **Discourse Analysis** by researchers in other institutes of higher education (Brown and Yule 1983; Hoey 1983; Stubbs 1983; van Dijk 1985; McCarthy 1991; Hatch 1992; Schiffrin 1994; Georgakopoulou and Goutsos 1997; Gee 1999). In the Chinese context of English language teaching and research, a number of books entitled "Discourse Analysis" have been published since the late 1980s (Huang Guowen 1988; Hu Zhuanglin 1994; Wang Dexing 1998; Ding Yanren 2000; Li Yue'e and Fan Hongya 2002; Webster 2002; Cao Chunchun, Song Wei and Yang Bin 2003). These books have different theoretical assumptions with different focuses in their description and analysis of language in use, though they all are functionally oriented. Both theory and practice have been addressed in most of these volumes for would-be researchers in this field. The present volume differs from these works in several ways.

Firstly, the title of the book needs some explanation. The word *functional* connects the book to a functional approach to the analysis of language in English texts. More specifically, the Systemic Functional Linguistics of Michael Halliday (1985a, 1994), which has gained great momentum in the last three decades, has been used as a major analytical tool. This does not mean that traditional terminology such as Nouns, Verbs, Adjectives, Adverbs, etc. of formal linguistics have been totally neglected in our analyses but that we have also introduced, where and when possible, the functional

terminology of Systemic Functional Linguistics (SFL).

Some approaches to the analysis of discourse have used as their investigation tools elements of structure that are below the sentence level (Biber 1995; Biber and Finegan 1986). Though useful, the results of such analyses provide a “thin” description of the discourse types under investigation. For example, analyses based on morphemes, words and phrases do not provide the elements of structure inherent in every discourse type. On the other hand a functional analysis gives a “thick” description of the registers/genres and many more questions can be answered by the obtained results.

Secondly, the present volume has been created out of some notes and material for lectures and tutorials prepared by one of the present authors for undergraduate and postgraduate students in some universities in Southeast Asia. For this purpose, many relevant papers and chapters in books by the present authors and from other original sources have been rewritten, summarized, or partially copied to make the varied and widespread content on discourse analysis accessible to the students. As far as possible, all the sources have been acknowledged when and where appropriate. There may be a few exceptions where full examples and their analyses from other sources have been reintroduced to make a particular approach or a discussion point clearer.

The third and last point relates to the format of the book. In **Part One** some of the fundamental concepts of Discourse Analysis such as **text, texture, structure, cohesion, coherence, context, situation, register, genre**, as defined by Systemic Functional practitioners are introduced and discussed. This part complements the introduction in Chinese, which tries to introduce and discuss the basic concepts and terminology for understanding the Systemic Functional Approach to language analysis. All the topics in Part One draw heavily on works by Halliday and Hasan (1985) and Halliday (1985a, 1985b, 1994). The rest of the volume, **Part Two**, is divided into an analysis and discussion of different types of discourse, i.e.

Informative and Evaluative Discourse, Informative and Persuasive Discourse, Business Communication Discourse, Unequal Discourse, and Academic Discourse. Of necessity only a few sub-types or registers have been introduced for each type of discourse. Finally each chapter finishes with a summary and further examples for analysis and discussion by students.

We can talk of two perspectives in our analysis of language. The first considers it as knowledge and the second deals with it as behavior. They are technically called the **intraorganism** and the **interorganism** perspectives, respectively. In the 1960s the major emphasis was on intraorganism studies, on the investigation of language as knowledge, of what the speaker knows. As Halliday (1978) says: "... this ran parallel to, and probably was caused by, the relative neglect of man's social environment. There has now been a move back towards a greater concern with the social aspect of language, a restoring of the balance in linguistic studies, with account once more being taken of the interorganism factor — that of language as social behavior, or language in relation to social man."

Crystal and Davy (1969) talk about the *illusion* of language as a single homogeneous phenomenon. We can easily notice the differences between spoken and written English. People living in different parts of the same country will have their own regional dialects. Variations can be established by looking at the social class of individuals, e.g. working class English, middle class English, etc. and we can have variations based on how language is used in various contexts (e.g. English for advertising, English for science and technology, legal English, etc.). According to them, linguistic diversity is underestimated.

Stubbs (1982) talks about other *pressures* on English like "mass literacy and massive printing and publishing technology resulting in a standardized literary language, the mass media resulting in a standardized form, and many other social developments which cre-

ate linguistic diversity." For example the feminist movement has changed some address terms like *Miss*, *Mrs*, *Ms*, and created non-sexist codes of practice. There are now guidelines for the equal treatment of sexes in many book company publications.

In the study of variation in English, therefore, we have to consider both the language and the situations in which the language is used. Although there may be a number of variables such as different times, different places, different participants and purposes, we often talk about the *same situation*, e.g. receiving a letter from our bank manager, going to a sermon, attending a political rally, reading the *China Daily*, etc. There is a close match between language and social context. In this respect, Catford (1965) talks about the concept of a **whole language** and classification of **sub-languages** or varieties.

The three crucial aspects of a language event are (1) the substantial (i.e. audible sounds or visible signs); (2) internal meaningful structures (e.g. syntax, morphology, vocabulary); and (3) the situational (e.g. the environment in which a text comes to life). The constant features of this environment are (a) permanent characteristics of the user in language events and (b) the user's use of language in such events. Then according to Catford (1965), "language variety is a subset of formal and/or substantial features which correlates regularly with a particular type of socio-situational feature."

The purpose of this book is to focus on the situational aspect of a language event — the environment in which the language comes to life and the user's use of language in such events, i.e. the functional varieties involved. The analysis, description and classification of the relevant linguistic and discoursal features by using the Systemic Functional Linguistics tools are referred to here as **Functional Discourse Analysis**.

The project of writing the present book was initiated and directed

by Dr. Huang Guowen, and the first draft of the English part was written by Dr. Mohsen Ghadessy, which was revised based on comments made by Huang Guowen, who was responsible for the Chinese part and who also looked after the final manuscript.

本书是“语篇分析”(Discourse Analysis),也称“话语分析”或“篇章语言学”(Text Linguistics),方面的教材。之所以用“功能语篇分析”(Functional Discourse Analysis)作为书名,是因为本书的理论基础和理论根据是“功能语言学”(Functional Linguistics),它与“形式语言学”(Formal Linguistics)相对而言。我们曾先后(黄国文 2001a, 2002)对功能语篇分析的一些问题作了初步的探讨。本导读将从两方面讨论功能语篇分析问题。首先,对本书的内容作些简单介绍,方便读者了解本书的概貌和大致内容,这是第一部分;然后把我们两篇有关“功能语篇分析”的文章的主要内容进行梳理,勾画出功能语篇分析的框架,这是第二部分。从内容的技术性和学术性来说,第二部分所讨论的问题可能会比本书各章节中所涉及的问题更为复杂深奥,故建议语言学基础较为薄弱的读者在阅读完全书各章节的内容之后,再回过头来阅读“导读”的第二部分。

一、《功能语篇分析》的主要内容简介

在这一部分中,我们将简单介绍本书《功能语篇分析》的主要内容。主要讲两点:(1)本书的结构;(2)书中各部分的内容。

1 本书的结构

本书主要由两部分共 13 章组成,外加一个简单的全书“简介”(Introduction)。第一部分是理论基础,讨论的是功能语篇分析方面的一些基本问题。这一部分共有 8 章: