



外语·文化·教学论丛

Identity Construction
in English and Chinese Research Articles:
A Contrastive Study

英汉学术论文中的 作者身份构建对比研究

吴格奇 著



ZHEJIANG UNIVERSITY PRESS
浙江大学出版社



外语·文化·教学论丛

Identity Construction
in English and Chinese Research Articles:
A Contrastive Study

英汉学术论文中的 作者身份构建对比研究

吴格奇 著



ZHEJIANG UNIVERSITY PRESS
浙江大学出版社

图书在版编目(CIP)数据

英汉学术论文中的作者身份构建对比研究 / 吴格奇
著. —杭州: 浙江大学出版社, 2013.10
ISBN 978-7-308-12375-4

I. ①英… II. ①吴… III. ①英语—论文—对比研究
—汉语 IV. ①H315

中国版本图书馆 CIP 数据核字(2013)第 240080 号

英汉学术论文中的作者身份构建对比研究
**Identity Construction in English and Chinese Research
Articles: A Contrastive Study**
吴格奇 著

责任编辑 张 琛
责任校对 赵 坤
封面设计 刘依群
出版发行 浙江大学出版社
(杭州天目山路 148 号 邮政编码 310007)
(网址: <http://www.zjupress.com>)

排 版 杭州金旭广告有限公司
印 刷 杭州杭新印务有限公司
开 本 710mm×1000mm 1/16
印 张 14.5
字 数 400 千
版 次 2013 年 10 月第 1 版 2013 年 10 月第 1 次印刷
书 号 ISBN 978-7-308-12375-4
定 价 38.00 元

版权所有 翻印必究 印装差错 负责调换

浙江大学出版社发行部联系方式 (0571)88925591; <http://zjdxcb.tmall.com>

浙江省社科联2012重点项目

“英汉学术论文中的元话语对比研究”（编号：2012z68）

杭州师范大学人文社会科学振兴计划

“望道青年文科学者激励项目”

序 言

Foreword

欣闻吴格奇博士的专著《英汉学术论文中的作者身份构建对比研究》将由浙江大学出版社出版,我感到由衷的高兴。近年来,学术论文中的作者身份构建成为语篇分析的热点。不过,很少有研究对比不同语言的学术论文中作者身份的构建方式,对英汉两种语言学术论文的这一侧面的对比则更为少见。当今的学术界全球化趋势非常明显,跨文化学术交流日益频繁,论文作者呈现自我的不同方式必将影响甚至妨碍国际间学术交流的顺利进行,因此,不同语言的论文作者很有必要了解不同文化中学术规范和语言策略的异同,以促进跨文化学术交流的顺利进行。对于汉语论文作者来说,用英语撰写学术论文已非常普遍,了解英汉学术论文中作者身份构建的差异有助于促进我国学术精品的海外推广,增强我国的国际学术话语权和国际影响力。本书的作者吴格奇将她的博士论文的中心议题确定为英汉学术论文中的作者身份构建对比分析,选题颇具新意,对于改进学术论文写作和教学均具有很好的理论意义和实践价值。

吴格奇在撰写其博士论文和这本书时表现出的勇于挑战的勇气和求真求严的态度打动了我。首先,对学术论文的人际互动侧面进行分析目前尚未有很多的研究成果,在学界尚属开拓性的研究,尤其是国内学者的论述并不多见,研究框架并不系统完善。吴格奇在经过多次与老师、同学、同行专家学者的讨论之后,几经曲折迂回,终于确定了理论框架和分析方法。她有机结合了 Hyland (2005)的学术交流分析模式和语类分析理论,结合论文每一部分的具体目的来观察作者如何选择语言实现该部分的目的以及如何一步一步地构建作者身份。两种分析框架的结合兼顾了微观与宏观两个层面,使分析结果更有说服力。其次,研究所涉及的语料采集和数据分析工作量大,但吴格奇在这方面所做的工作颇为精细,考虑因素周全,对语料的选择从论文作者身份、语篇长度、语篇结构等方面制定了严格的标准。她在撰写博士论文时确定了共 70 篇英汉学术论文作为语料,为了使研究成果更具说服力,在准备本书的出版过程中,她又增添了 20 篇学术论文作为语料,进行了第二轮的统计和分析。她设计的分析程序和步骤科学、客观,既有量的显性比较,又有对文本质的深度分析,以数据分析为依据,主要侧重于定性分析,避免了语料库容较小对研究可信度的影



响,从表层和深层得出了令人信服的结论;她能够在有限的时间内完成如此繁琐的数据分析,实属不易。

如前所说,对英汉学术论文中的作者身份构建的对比目前还处于起步阶段,尝试和创新很难做到尽善尽美,总会有一些不足之处。但总的来说,吴格奇所做的尝试是比较成功的,我相信她会继续研究下去,不断完善对这一领域的研究。我衷心希望吴格奇在学术和教学研究领域取得更多更丰硕的成果。同时也希望她的这一尝试能起到抛砖引玉的作用,有越来越多的学者能涉足这个研究领域,把学术论文中的作者身份构建这一课题引向深入。

俞东明

2013年6月于上海外国语大学

前言

Preface

传统的观念认为学术论文是对独立的外部客观现实的研究报道,其主要目的是阐释真理,具有“非人格化”特征(impersonality)。学术论文的语言是客观的,与作者的个人情感无关。近年来,这种观点受到越来越多的质疑。学术论文的社会现实性表明论文作为一种出版物不是处于理想静止状态的,而是一种作者参与的社会性言语行为。学术论文的目的决定了论文不只是作者单向地向读者报道客观事实,而是作者与读者交流的过程,作者通过与读者的交流构建自己的身份。

随着人们对论文交际性的普遍接受,学术论文中的作者身份(authorial identity)构建成为近二十年来语篇研究的热点。不过,较少有研究对比分析不同语言的学术论文中作者身份构建方式的异同,迄今为止还未发现有研究对比分析英汉学术论文中作者身份的构建方式。

本书通过实证研究,对比分析英汉学术论文中的人际特征,探讨作者身份构建的方式。研究建立了一个小型语料库,包括90篇语言学及应用语言学的实证性研究论文,共计705 364字(词)(英语387 923词,汉语317 441字),应用Hyland(2005)的学术交流分析模式(Model of Academic Interaction)并结合语类理论(Genre Analysis Theory)对比分析英汉论文中立场(stance)和介入(engagement)两大语言资源的使用频率及分布特点,在此基础上对英汉论文中作者身份构建方式的异同进行对比。

立场和介入资源的对比分析表明英汉论文的人际特征存在明显差异。在立场资源方面,英语论文作者比汉语论文作者更积极地呈现自己的立场。首先,英语论文作者倾向于使用单数第一人称自称(self-mention)来介绍研究方法、呈现研究结论以及表达论点。他们还通过使用各种态度标记语(attitude markers)来表达情感和对命题的评价,希望引起读者的共鸣。此外,英语论文作者充分使用边界模糊语(hedges)、确定表达语(boosters)等来表达自己的观点,试图增强论点的说服力,让读者更愿意接受,这也反映了英语论文作者的“自我推销”(self-promotion)意识。相反,汉语论文作者没有用单数第一人称自称,而用复数第一人称自称,说明他们不愿在论文中凸显自己个体,而是希望借助集体的

力量来呈现自己的观点。汉语论文作者很少使用态度标记语来表达情感,说明他们试图保证论文的客观性。此外,汉语论文作者喜欢用表示肯定的动词来呈现研究结果(如*研究表明*),说明他们试图保持论文的客观性,同时也拉远自己与研究本身的距离。

在介入资源方面,英语论文中作者与读者的对话性较强,而汉语论文更像作者的独白。首先,英语论文作者试图用各种介入资源,如语篇指令词(textual directives)、旁白(personal asides)、共有知识(appeals to shared knowledge)等与读者开展对话,把读者引入到论文中。其次,英语论文作者通过使用设问句(rhetorical questions)、读者指称(reader pronouns)等来引导读者参与到研究过程中,促进他们对研究结论的理解。汉语论文作者避免在论文中使用语篇指令词,较少使用旁白和设问句,说明他们希望保持与读者的距离。

英汉学术论文中立场和介入资源的差异反应了两种语言的论文中作者身份构建方式的差异。笔者认为,学术论文中的作者身份由四个侧面构建而成:话语构建者身份(discoursal self)、社会文化身份(socio-cultural self)、专业身份(professional self)和机构身份(institutional self)。话语构建者身份指论文作者需要预测读者的背景知识、可能的反应等,然后根据这些因素构建自己的话语;社会文化身份指社会文化规范、价值观等在作者写作中的体现;专业身份指论文作者向读者展现自己作为研究者的形象;机构身份指论文作者在相应的学术机构中体现的地位。英汉学术论文中的作者身份构建呈现出以下特点:第一,英语论文作者的语篇构建者身份较为明显,反映在作者愿意认同读者,在文本中引导读者等方面;汉语论文作者的语篇构建者身份却比较弱,作者在论述过程中很少用言辞来引导读者。第二,英语论文作者的社会文化身份主要体现在凸显个体;而汉语论文作者的社会文化身份主要体现在强调集体,凸显自己是学术团体中的一员。第三,就论文作者的专业身份而言,英汉论文作者都注重自己的研究者身份,他们希望呈现自己作为研究者的形象来增强论文的客观性和可信度。第四,由于凸显个体,英语论文作者机构身份的呈现比较弱;汉语论文作者机构身份的呈现则比较显著,他们希望强调自己在学术团体中的地位来增强研究结论的权威性。从社会心理的角度来分析,身份构建方式的差异反映了英汉论文作者对社会伦理规范、话语产生和理解的原则、礼貌概念的不同理解,以及实施学术规范的不同方式。

本研究结果对学术论文写作及其教学有一定启示。当今的学术界全球化趋势非常明显,了解不同文化中学术规范和语言策略的差异有助于跨文化学术交流的顺利进行。虽然本研究力图全面系统地对比英汉学术论文中作者身份构建的特点以及背后的社会文化因素,但仍然存在一些有待加强研究的地方。希望本书能够引发更多的学者参与到学术论文中的作者身份构建的讨论中来,以便更深入细致地研究英汉学术论文中作者身份构建的特征。

致 谢

Acknowledgements

The present book is revised based on my Ph.D. dissertation which I finished in 2010. I wish to acknowledge and thank numerous people for helping me in the completion of this book.

My greatest intellectual debt is to Prof. Yu Dongming, my supervisor, who provides continual encouragement in my study of pragmatics. During the evolution of this dissertation, Prof. Yu offered me valuable reference materials and detailed comments. His advice has contributed significantly to the shaping of this dissertation, and his patience has led to my enjoyment of the research process.

Thanks are also due to Prof. He Zhaoxiong, Xu Yulong, Shu Dingfang and Shi Zhikang for their informative lectures at Shanghai International Studies University. Particularly I would like to thank Prof. He Zhaoxiong and Xu Yulong. Prof. He's lectures on pragmatics have cleared up my confusion about pragmatic issues, and his rigorous attitude towards academic study has impressed me deeply. Prof. Xu's lectures on Contrastive Linguistics have provided me with the essential education for doing contrastive study. His comments on my pilot study have triggered many ideas in my dissertation.

I would like to record my debt of gratitude to the members of my dissertation committee: Prof. He Zhaoxiong, Xu Haiming and Li Xin from Shanghai International Studies University, Prof. Qu Weiguo from Fudan University, and Prof. Wang Zhenhua from Shanghai Jiao Tong University. Their valuable questions and reflective comments on my dissertation have been helpful in the preparation of the manuscript of this book.

I would also extend my gratitude to my fellow Ph.D. candidates at Shanghai International Studies University: Zuo Jin, Xue Chunxia and Yan Jianhua. They are my true friends who have given me practical advice and



moral support. I am also very much obliged to Dr. Zhang Ren and Prof. Li Huadong for their suggestions on handling the data and typesetting the book.

I am grateful to Prof. Ken Hyland from the City University of Hong Kong and Prof. Shi Xu from Zhejiang University for their insightful suggestions, and Prof. Linda Gajdusek from the USA for her positive encouragement and careful proofreading of the abstract. I would thank Dr. Xu Hongying for providing me with reference materials. I would also thank those research article writers who answered my enquiry about their personal information.

I have to thank the publisher, Zhejiang University Press, for its agreement to publish this book. Special gratitude goes to Ms. Zhang Chen who provides me with continuous help during the publishing process. I would also like to thank Hangzhou Normal University for its financial support in publishing this book.

Finally, I would thank my family. I owe a lot to my husband for his love and support. He has been offering me strong support in my study of pragmatics all these years, and sharing the joys and sorrows in my research journey. I would thank my mother-in-law for taking care of the family. Moreover, I have to thank my son for his understanding why Mom spent so little time with him. His love has always been the source of my inspiration.



Contents

Chapter 1 Introduction	1
1.1 The Social View Towards Research Articles	1
1.2 Objectives of the Study	3
1.3 Significance of the Study	4
1.4 Outline of the Book	6
Chapter 2 Key Concepts Defined	8
2.1 The RA Genre	8
2.1.1 The Concept of the RA	9
2.1.2 Characteristics of the RA	9
2.2 Identity	12
2.2.1 The Concept of Identity	12
2.2.2 Discoursal Construction of Identity	14
2.2.3 Writer Identity in Academic Writing	15
2.3 The RA Genre and Authorial Identity	16
Chapter 3 Literature Review	17
3.1 Interaction in Academic Writing	17
3.1.1 Under Different Terms	18
3.1.2 On Different Aspects	23
3.2 Interaction in RA Genre	25
3.3 Identity Construction in Academic Discourse	28
3.3.1 Theoretical Research on Identity Construction in Academic Writing	28
3.3.2 Practical Research on Identity Construction in Academic Writing	30
3.4 Identity Construction in RA Genre	32



Chapter 4 Theoretical Framework	35
4.1 Hyland's Model of Academic Interaction	35
4.1.1 Stance and Writer-oriented Interaction	35
4.1.2 Engagement and Reader-oriented Interaction	39
4.2 Genre Analysis	41
4.2.1 Traditions of Genre Analysis Theories	41
4.2.2 Genre Analysis of RAs	42
4.3 The Framework Used in This Study	44
4.3.1 Motivations for the Present Framework	44
4.3.2 The Framework for Analyzing Interactional Features in RAs	45
Chapter 5 Research Design	50
5.1 Data Selection and Corpus Building	50
5.1.1 Data Selection	50
5.1.2 Corpus Building	53
5.2 Data Analysis	55
5.2.1 Annotation	55
5.2.2 Method of Analysis	58
Chapter 6 Frequency of Stance and Engagement Markers in English and Chinese RAs	60
6.1 Frequency of Stance Markers in English and Chinese RAs	60
6.1.1 Hedges in English and Chinese RAs	61
6.1.2 Boosters in English and Chinese RAs	74
6.1.3 Attitude Markers in English and Chinese RAs	79
6.1.4 Self-mention in English and Chinese RAs	85
6.1.5 Summary of Stance Markers Used in RAs	94
6.2 Frequency of Engagement Markers in English and Chinese RAs	95
6.2.1 Reader pronouns in English and Chinese RAs	96
6.2.2 Personal Asides in English and Chinese RAs	102
6.2.3 Appeals to Shared Knowledge in English and Chinese RAs	107
6.2.4 Directives in English and Chinese RAs	112
6.2.5 Questions in English and Chinese RAs	120
6.2.6 Summary of Engagement Markers Used in RAs	124
Chapter 7 Distribution of Stance and Engagement Markers Across Generic Structure in English and Chinese RAs	126
7.1 Distribution of Stance Markers Across Generic Structure in English and Chinese RAs	126
7.1.1 Hedges Across Generic Structure	127

7.1.2	Boosters Across Generic Structure.....	131
7.1.3	Attitude Markers Across Generic Structure.....	135
7.1.4	Self-mention Across Generic Structure.....	138
7.1.5	Summary of Stance Markers Across Generic Structure in English and Chinese RAs.....	141
7.2	Distribution of Engagement Markers Across Generic Structure in English and Chinese RAs.....	142
7.2.1	Reader Pronouns Across Generic Structure.....	144
7.2.2	Personal Asides Across Generic Structure	146
7.2.3	Appeals to Shared Knowledge Across Generic Structure in RAs	150
7.2.4	Directives Across Generic Structure	152
7.2.5	Questions Across Generic Structure.....	157
7.2.6	Summary of Engagement Markers in English and Chinese RAs.....	160
Chapter 8	Manifestations of Authorial Identity Construction	161
8.1	Manifestations of the RA Writer's Identity.....	161
8.2	Social and Psychological Features Influencing Authorial Identity Construction.....	165
8.2.1	Reconciliation Between Ethical Canons and Cognitive Constructs	166
8.2.2	Beliefs About Utterance Production and Interpretation.....	170
8.2.3	Perceptions of Face.....	172
8.2.4	Implementation of Academic Norms	175
Chapter 9	Conclusion	177
9.1	Summary of Major Findings	177
9.2	Implications of the Current Research	180
9.2.1	Implications for RA Writing	180
9.2.2	Implications for the Teaching of Academic Writing.....	181
9.3	Limitations of the Research.....	183
9.4	Recommendations for Future Research.....	185
	Bibliography	186
	Appendices	197
	Appendix 1 English and Chinese RAs Used as Data of This Study.....	197
	Appendix 2 Excerpts of English and Chinese RAs.....	201
	Index.....	215

表 目 录

List of Tables

Table 5.1	Number of RAs and Words in English and Chinese Data	52
Table 5.2	Number of Words in Each Section of the RAs	55
Table 6.1	Frequency of Stance Markers in English and Chinese RAs	60
Table 6.2	Frequency of Hedges in English and Chinese RAs	65
Table 6.3	Frequency of HA Devices in English and Chinese RAs	68
Table 6.4	Frequency of HC Devices in English and Chinese RAs	70
Table 6.5	Frequency of Boosters in English and Chinese RAs	76
Table 6.6	Frequency of Attitude Markers in English and Chinese RAs	81
Table 6.7	Frequency of Self-mention in English and Chinese RAs	88
Table 6.8	Frequency of First Person Types in English and Chinese RAs	89
Table 6.9	Frequency of Engagement Markers in English and Chinese RAs	96
Table 6.10	Frequency of Reader Pronouns in English and Chinese RAs	98
Table 6.11	Main Discourse Functions of Reader Pronouns in English and Chinese RAs	99
Table 6.12	Frequency of Personal Asides in English and Chinese RAs	103
Table 6.13	Frequency of Appeals to Shared Knowledge in English and Chinese RAs	111
Table 6.14	Frequency of Directives in English and Chinese RAs	114
Table 6.15	DPA Modals in Chinese RAs	117
Table 6.16	Frequency of Questions in English and Chinese RAs	122
Table 7.1	Distribution of Stance Markers Across Sections of English and Chinese RAs	127
Table 7.2	Distribution of Hedges Across Sections of English and Chinese RAs	128
Table 7.3	Distribution of Boosters Across Sections of English and Chinese RAs	133
Table 7.4	Distribution of Attitude Markers Across Sections of English and	

Chinese RAs.....	135
Table 7.5 Distribution of Self-mention Across Sections of English and Chinese RAs.....	138
Table 7.6 Distribution of Engagement Markers Across Sections of English and Chinese RAs	143
Table 7.7 Distribution of Reader Pronouns Across Sections of English and Chinese RAs.....	144
Table 7.8 Distribution of Personal Asides Across Sections of English and Chinese RAs.....	146
Table 7.9 Distribution of Appeals to Shared Knowledge Across Sections of English and Chinese RAs.....	151
Table 7.10 Distribution of Directives Across Sections of English and Chinese RAs	153
Table 7.11 Distribution of Questions Across Sections of English and Chinese RAs	158



List of Figures

Figure 4.1	Key Resources of Academic Interaction	35
Figure 4.2	A Model of Scientific Hedging	36
Figure 4.3	Typical Sections of the Experimental or Data-based RA	43
Figure 4.4	Main Sections of the RA	45
Figure 4.5	Resources of Interaction in RAs	49
Figure 6.1	Types of Hedges and Devices of Realizing Hedging Functions	63
Figure 6.2	Frequency of Hedges in English and Chinese RAs	66
Figure 6.3	Frequency of HA and HC in English and Chinese RAs	66
Figure 6.4	Frequency of Boosters in English and Chinese RAs	77
Figure 6.5	BFA Types in English RAs	77
Figure 6.6	BFA Types in Chinese RAs	77
Figure 6.7	Frequency of Attitude Markers in English and Chinese RAs	82
Figure 6.8	AME Types in English RAs	83
Figure 6.9	AME Types in Chinese RAs	83
Figure 6.10	Author Roles in English RAs	90
Figure 6.11	Author Roles in Chinese RAs	92
Figure 6.12	Means of PAI in English RAs	104
Figure 6.13	Means of PAI in Chinese RAs	104
Figure 6.14	DTA Verbs in English RAs	115
Figure 6.15	Positions of DTA in English RAs	116
Figure 6.16	Positions of DTA in Chinese RAs	116
Figure 7.1	Frequency of Accuracy-oriented Hedges in English Method	

Sections	129
Figure 7.2 Frequency of Accuracy-oriented Hedges in Chinese Method Sections	129
Figure 7.3 Realization of Significance in English RA Conclusion Sections ...	137
Figure 7.4 Realization of Significance in Chinese RA Conclusion Sections...	137
Figure 7.5 Distribution of the First Person Pronoun in the Conclusion Section in English RAs	139
Figure 7.6 Distribution of the First Person Pronoun in the Conclusion Section in Chinese RAs	140
Figure 7.7 Distribution of DTA in the Method Section of English RAs	154