

论语境对语篇的影响

ON THE IMPACT OF CONTEXT UPON TEXT

王全智 著



《暨南外语博士文库》

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总 序

暨南大学创办于 1906 年，是我国第一所由国家创办的华侨高等学府，是目前在全国招收港澳台和海外华侨学生最多的高校，是国家“211 工程”重点综合性大学。“暨南”二字出自《尚书·禹贡》篇：“东渐于海，西被于流沙，朔南暨，声教讫于四海。”意即面向南洋，将中华文化远播到五洲四海。

暨南大学外国语学院的前身是创办于 1927 年的外国语言文学系，历史上曾有许多著名专家、学者在该系任教，如叶公超、梁实秋、钱钟书、许国璋等。1978 年复办后，外语系在曾昭科教授、翁显良教授的主持下，教学与科研成绩斐然，1981 年外国语言文学系获国家第一批硕士学位授予权，成为暨南大学最早拥有硕士授予权的单位之一。当时的英语语言文学硕士点以文学为主、专长翻译，翁显良、曾昭科、张鸾铃、谭时霖、黄均、黄锡祥等一大批优秀学者先后担任硕士研究生导师，他们治学严谨，成绩卓著，为我们今天的发展奠定了坚实的基础。

如今，外国语学院已拥有专任教师 138 人，其中教授 10 人，副教授 46 人，讲师 70 余人。教授中有博士生导师 2 人，硕士生导师 37 人。学院教师中获博士学位者 36 人，在读博士 20 余人。现有英语语言文学系、商务英语系、日语系、法语系和大学英语教学部等 5 个教学单位，有外国文学研究所、应用语言研究所、跨文化及翻译研究所、日本语言文化研究所及外语教学研究中心等 5 个专门的研究机构。学院现有外国语言文学硕士学位一级学科授权点，有英语语言文学、外国语言学及应用语言学、日语语言文学 3 个二级学科，以及翻译硕士专业（MTI）学位授权点。英美文学方向主要为华裔美国文学研究、英美女性文学和英美后现代文学研究；外

国语言学及应用语言学方向以理论语言学、功能语言学和音系学为研究特色；日语语言文学方向侧重现当代日本文学、日中比较文学、日语语言及中日文化研究；翻译方向从语言学、文学和文化等多个层面探讨翻译理论与实践，突出翻译的实践性。研究生导师大多数具有海外大学或学术机构从事教学、科研和进修的经历。目前，学院教师主持国家社科基金项目 6 项，教育部、广东省社科规划项目数十项。

《暨南外语博士文库》丛书（以下简称《文库》）是暨南大学外国语学院部分获博士学位教师的研究成果，它的编纂主要基于以下目的：首先，是对近十几年来我校外语学科获博士学位教师研究成果的梳理；其次，为我校中、青年外语学人搭建展示团队科研成果的平台，以显示本学科发展的集群效应；第三，旨在激励暨南外语学人不断进取，勇攀教学、科研的新高峰，再创新辉煌。《文库》主要收录了 2000 年以后我校外语学科博士学位获得者尚未正式出版的博士论文，这些论文均经本人反复修改和校对，再经相关方向博士生导师的认真审阅后提交出版社排版付梓。《文库》涵盖了语言学、外国文学、翻译、文化及其他相关学科，涉及语种包括汉语、英语、日语、法语、西班牙语等。《文库》第一批拟出版 8 部，其他教师的博士论文将在此后陆续编排、出版。

《文库》的成果是新一代暨南外语学人孜孜不倦、努力奋进的结晶，是他们宁静致远、潜心治学的象征。这些成果代表了暨南外语学科的进步与发展，预示着我们的未来和希望，这也是我们献给暨南大学 110 周年校庆和外国语学院 90 周年华诞的一份厚礼。

《文库》的出版得到了广东省优势重点学科建设项目和我校重点学科建设项目的支持，此外世界图书出版公司在本套丛书的编辑、设计等方面付出了大量心血，在此我们一并表示衷心感谢！

编 者

2013 年 12 月 16 日

序

1999年，王全智在厦门大学杨信彰教授的指导下取得硕士学位后，报考复旦大学，以优异的成绩被录取。他天生的憨厚为人，艰苦的三年寒窗，敏锐的思维方式，不变的学术守望，都给我留下了深刻的印象。2002年，他以优异的成绩和质量较高的博士学位论文顺利毕业，如期获得复旦大学博士学位。毕业后去暨南大学执教至今。在完成教学任务和做好行政工作的同时，在功能语言学领域继续钻研，不断耕耘，先后在核心刊物上发表了多篇论文，在语言学界产生了一定的影响。最近，他在当年博士学位论文的基础上，又对语境与语篇相互关系作了进一步的思考，完成了专著《论语境对语篇的影响》。按照暨南大学的传统做法，付梓之前，需要导师作序。

王全智的博士学位论文是11年前完成的，而这11年中，功能语言学又取得了长足的发展。因此，我最关心的是他即将出版的这本专著与当年的博士学位论文相比是否有所创新。带着这个疑惑，我通读了全文，欣喜地发现他的新作在以下三个方面还的确有些新意。

首先，该书对系统功能语言学中的语境三要素即语场、基调和语式进行了更深一层的切分，同时指出了现有相关研究中对某些语境要素界定的失当之处，并对其进行了重新界定。

其次，该书突破了韩礼德的语境三要素与语篇的三种意义即概念意义、人际意义和语篇意义——对应的局限，指出语境要素在对与之相应的语篇意义产生影响的同时，还可以对语篇的其他两种意义产生影响。比如，语场不仅影响语篇的概念意义，而且可以影响语篇的人际意义和语篇意义。

最后，该书揭示语境诸要素各自对语篇施加影响的同时，彼此之间也相互作用，并且也影响到语篇的生成与发展。

这些年来，我本人以及我指导过的部分博士生（如现任北京师范大学外语学院副院长、博士生导师苗兴伟教授，现任长安大学外语学院院长、硕士生导师徐玉臣教授等）也对语篇与语境之间的关系做过一些探讨。如今阅读王全智博士的新作，仍深感开卷有益。希望该书出版后，广大读者也能产生同样的感觉。

在庆贺王全智博士的新作出版之际，我热切期盼他每隔几年就能给我们带来新的惊喜！

是为序。

朱永生

2013年6月于上海三湘世纪花城

前 言

众所周知，语境既决定语篇的产生，又制约语篇的进展。然而，语境中到底有哪些因素对语篇产生影响，以及这些因素通过何种方式对语篇施加影响，人们则不甚了了。这正是本研究所要探讨的内容。

本研究以系统功能语言学为理论框架，多角度、全方位地探讨语境对语篇的影响。全文共分七章。

第一章讨论本研究的原理、目标、研究方法以及论文的总体结构。

第二章对现有的有关语境和语篇的研究进行了综述。第一部分评述各派语言学家对语境的定义，并将所有派别按照其对语境定义的不同分为两类：客观语境派和认知语境派。作者强调指出：认知语境依赖于客观语境而存在，而非独立于客观语境之外；从而为本研究采纳韩礼德的语境模式为原型来探讨语境对语篇的影响提供了理论依据。第二部分简要介绍各派语言学家对语篇的界定。通过比较，本文确定采用术语 *text* 来指代各类语篇，并提出语篇的五个使成条件。

第三章探讨语场对语篇的影响。Eggins 以专门性为标准将语场分为专业语场和非专业语场。在肯定其贡献的同时，本文指出其在语场切分方面的局限性使得我们无法采取其语场切分作为探讨语场对语篇的影响的模型。与 Eggins 不同，Leckie-Tarry 从语场的构成着眼，认为语场包括三个成分，即：场景、参与者和主题。本文认为，由于客观世界的无限多样性，语场亦呈现无限多样的特性。故而，Eggins 将语场笼统地划分为专业语场和非专业语场不可取。有鉴于此，本章采用 Leckie-Tarry 的语场概念，通过语场的三个成分

即场景、参与者和主题的变化对语篇的作用的分析探讨了语场对语篇的影响。

第四章旨在探讨基调对语篇的影响。在介绍了 Gregory, Poynton, Leckie-Tarry, Martin 等人的基调概念之后, 本文指出基调包括三个参数: 权势、接触和感情投入; 并依次探讨了各个参数之细微变化可能对语篇产生的影响。

第五章分析语式对语篇的影响。作者指出, 语式作为语境因素之一, 应当将其看作单独实体, 方可探讨其之于语篇的影响。因此, 在探讨语式对语篇的影响时, 作者不采纳 Leckie-Tarry, Martin 等人的语式概念。作者认为, 语式可以归结为两种: 口头语式和书面语式。每种语式又有若干体现形式。本章详细比较了网络即时通信语篇和面谈语篇, 并揭示网络即时通信的若干特点。

第六章分析语境因素之间的相互影响以及这种互动可能对语篇产生的影响。作者指出: 语境因素不仅单独直接对语篇产生制约, 而且彼此之间也相互作用, 并表现于语篇之中。

第七章总结了本研究的贡献, 同时指出不足之处, 并对未来研究提出若干建议。

本书脱胎于本人的博士论文。从选题到成文, 撰写过程中每一个环节都得到导师朱永生教授悉心指导。而今付梓之际, 又承蒙先生拨冗作序。先生对后学的提携, 学生永志不忘。

借此机会, 感谢厦门大学的杨信彰教授、河南大学的刘辰诞教授、苏州大学的严世清教授、北京师范大学的苗兴伟教授、中山大学的丁建新教授等。他们一直以来的督促和鼓励, 给本人提供了前进的动力。

限于水平, 书中谬误在所难免, 恳请广大读者批评指正。

Foreword

It has been long noticed that context both contributes to and conditions the production of text. However, what contextual factors are influential to, and in what way they exert their impact upon text, remain unclear. It is against this background that this current research is conducted.

The current study mainly explores the impact of context upon text by taking Hallidayan Systemic Functional Linguistics as its theoretical framework.

This research falls into seven chapters.

Chapter 1 discusses the rationale, objectives, research methodology and the overall structure of the research.

Chapter 2 conducts an overview of the existing researches with regard to context and text. In its first part, different definitions of context given by different schools of linguists are reviewed and then classified into two kinds: objective context and cognitive context. Then the current author points out that cognitive context is dependent upon objective context, rather than independent of the latter. In this research, the current author takes the theory of context established by Halliday and other systemic functional linguists as the paradigm in the exploration of the impact of context upon text. In the second part, different definitions of text are given and compared, and the term “text” is chosen to cover the existing terms such as conversation, discourse, and dialogue. Moreover, in order to avoid the confusion engendered by the wide variety of

prevalent definitions, the current author proposes five enabling conditions for text.

Chapter 3 addresses the impact of field on text. While pointing out the contributions made by Suzanne Eggins in her division of field into technical and non-technical in accordance with the technicality of one and the same field, the current author argues that its limitation makes it impossible for us to take it as a model in analyzing the impact of context upon text. Different from Suzanne Eggins, Leckie-Tarry approaches field from its composition and contends that field is composed of three variables: arena, participants and subject matter. The current author argues that owing to the infinitude of the objective world, it is not appropriate to conduct studies in just one and the same field. Field can be limitless. Therefore, Leckie-Tarry's field is taken in exploring the impact of field on text. And the three components of field she proposed are redefined. Setting refers to the particular locations of the interaction, both in terms of their inherent features, and in terms of the social institutions which determine them. Participant is mainly concerned with the inherent features of the participants, i.e., their physical and mental attributes and the knowledge they bring to bear on the setting and events. Subject matter refers to what the spoken or written communication is about. Any change in any of these three variables is likely to lead to the corresponding change in the text.

Chapter 4 deals with the impact of tenor on text. Just like field, tenor has also been defined by a large number of systemic functional linguists. In this chapter, the current author has quoted Gregory, Poynton, Leckie-Tarry, and Martin. Gregory divides tenor into two kinds: personal tenor and functional tenor. Poynton, different from Gregory, mainly deals

with the components of tenor and argues that tenor comprises power, contact, and affective involvement. Leckie–Tarry points out that tenor involves three elements: formality, role and focus. The elements of tenor defined by Martin are status, contact and affect. Since tenor, according to Halliday, refers to the interpersonal relationship in context of communication, the current author takes the definitions given by Poynton and Martin as the paradigm in probing into the impact of tenor on text.

Chapter 5 investigates the impact of mode on text. Not convinced of Leckie–Tarry’s and Martin’s analyses of mode, the current author points out that mode, as one of contextual factors, should be dealt with ontologically as an objective entity; and holds that there are two modes: spoken, written. Every mode has its own realizations. For example, face-to-face conversations and telephone conversations are realizations of spoken mode and letters are realization of written mode. In this chapter, the author has conducted a detailed discussion on the difference between face-to-face conversation and Internet relay chat, with the former being a realization of spoken mode and the latter a realization of written mode.

In Chapter 6, the author contends that contextual factors not only exert their influence on text respectively, but they also influence each other, and this influence also finds full expression in text. On this ground, Chapter 6 explores tentatively the interaction between contextual factors and attempts to reveal their impact on text. The interaction between contextual factors can be divided into five kinds: the influence of field on mode, the influence of field on tenor, the impact of tenor on mode, the impact of tenor on field, and the impact of mode on tenor. By depicting how a certain change in the elements of one contextual factor is likely to cause a change in a certain element of another contextual factor and how

this change can bring about changes in the ongoing text, the author draws a clear picture of internal interaction between contextual factors and its impact on text.

Chapter 7 summarizes the contributions of the present research and at the same time points out its drawbacks. Moreover, it has made some suggestions for future research.

To conclude, the current research has conducted an extensive study into the impact of context upon text and has revealed that text is subject to the influence of context.

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