Introduction to Linguistic Theories and Schools

语言学理论与流派

□ 胡壮麟　叶起昌　编著

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总　序

　　随着全球化的加速发展、文化全球化和经济全球化的深入推进，高等教育，特别是英语专业教育在新的历史转型期的文化交融层面肩负着越来越大的社会责任。为了培养具有扎实的英语基本功、相关的专业知识和文化知识、较强的英语综合应用能力和创新思维的人才，为大学英语教学改革和发展培养和提供师资，立足于中国语境，用全球化的理念和视角进行教材设计，我们组织编写了"高等院校英语专业立体化系列教材"。

　　实现这一具有时代意义的战略任务需要广大英语专业教师树立执著的敬业精神，制订科学的、高水平的、切合实际的英语专业教学大纲，编写出版能充分体现大纲要求的有关课程（必修和选修）的配套教材，开发为课堂教学和学生自主化学习服务的、与新型电子化教学仪器设备配套的教学软件系统。由高等教育出版社策划并陆续出版的"高等院校英语专业立体化系列教材"作为"普通高等教育'十一五'国家级规划教材"，就是为实现英语专业教学改革这一历史任务服务的。

　　本系列教材的主要特色有以下方面：

　　1. 注重培养学生的跨文化交际能力和文化鉴赏与批判能力。在教材设计时体现"全球视野，中国视角"的理念。这就是说，本系列教材在保持各门课程的思想性和批判性的优良传统外，既向学生提供西方文化背景知识，也引导学生鉴赏和学习我国的优秀文化传统。让学生在多元文化背景下，熟悉掌握中外文化的共同点和差异。在这个基础上，培养学生的鉴别和比较能力，启发和诱导学生进行创新思维。

　　2. 科学安排，系统设计。经过多年来对教学模式改革的探讨，我国英语专业教学已总结出良性的教学规律，一般将四年的教学过程分为两个阶段，即基础阶段（一年级和二年级）和高年级阶段（三年级和四年级）。按照此教学规律，本系列教材分为基础阶段教材和高年级阶段教材，同时悉心设计了基础阶段和高年级阶段的衔接。基础阶段教材的主要任务是传授英语基础知识，对学生进行全面的、严格的基本技能训练，培养学生实际运用语言的能力、良好的学风和正确的学习方法，为进入高年级学习打下扎实的专业基础。高年级阶段教材的主要任务是在继续打好语言基础的同时，学习英语专业知识和相关专业知识，进一步扩大知识面，增强对文化差异的敏感性，提高综合运用英语进行交际的能力。同时，根据《高等学校英语专业英语教学大纲》的课程设置，本系列教材将适用课程分为英语专业技能课、英语专业知识课和相关专业知识课三种类型，全面培养学生的语言能力、思维能力和终身学习能力，拓宽学生的知识面，同时帮助学生树立正确的人生观和价值观。

　　3. 时代性。这不仅表现在选材方面能反映当代人民的生活内容，更重要

的在于对它的"立体化"要求。21世纪的教材不再拘泥于传统的纸质教材,而是能培养学生多元识读能力 (multiliteracy) 的基于多媒体 (multimedia) 的多模态 (multimodality) 教材。本系列教材在建设传统纸质教材的同时启动建设一个开放性、超文本化的网络系列课程,构建全国英语专业英语自主学习体系,实现优秀教学资源共享,充分体现"以人为本"的教学理念。当前英语专业招生人数的不断扩大,英语专业的传统教学模式已不能满足当前专业教学的需要。本系列教材采用立体化配套,将各种多媒体手段运用到教学中来,这是英语专业教学发展的需要,也将为我国英语专业教学改革和发展作出重大贡献。

4. 可教性。在编写过程中,反复强调教材的可教性。在选材上,讲究趣味性,让学生喜欢学。在内容安排上,力争让学生在较少的课时内学到该学的内容,从而体现当代先进的模块化教学思想。在习题设计上,做到有针对性、形式丰富,便于教师和学生课内课外操作。充分体现教学过程以学生为中心的教学理念,通过教师与学生互动、学生之间互动的教学活动,把语言、文学、文化、翻译等方面的教学内容转化成为学生能掌握的技能和知识,着力培养学生分析问题和解决问题的能力,传授基本研究方法,增强学生的研究意识和问题意识,同时提高学生的学术素养,提升学生综合素质。

5. 适用性。本系列教材集中全国著名大学的一批专家编写,凝聚了他们多年教学经验的精华,体现了我国英语专业教学的最新理念和先进水平。入选系列教材的初稿均在不同重点高校教学中使用过至少三轮,深受学生喜爱,能够真正反映当前英语专业教学改革的思路和教学的实际情况。

综上,本系列教材反映了当代新的教学理念。为此,编委会也作出了大量努力。一方面,编写工作中强调协同性。在编写策划层面,出版社与编委会之间、编委会与编写者之间反复协商,制订计划,讨论样章;在使用者层面,充分考虑到师生之间以及学生之间的互动和协作。另一方面,教材致力于构建良好的英语学习平台,为学生的自主性学习、独立思考和创新思维创造条件,同时向作为教学各个环节的咨询者、组织者、监督者的教师提供指导。

多年以来英语专业教材,特别是专业高年级教材的出版比较零散,一直没有相对配套完整的系列教材。我们深信本系列教材的出版对于推动英语专业的教学改革和建设,对于进一步提高英语专业人才的培养质量将起到积极的作用。同时,我们衷心希望听取广大师生的意见和建议,使本系列教材的出版日臻完善。

"高等院校英语专业立体化系列教材"编委会
2007年10月

Foreword

Hurrah! The compilation of the textbook *Introduction to Linguistic Theories and Schools* has finally come to an end. At the sight of the light flashing at the end of the tunnel, I can not help rejoicing over the sudden release of burden while recalling all the hardships I have encountered in this journey.

About 3 years ago, Mr. Jia Wei, Miss Zhang Xinqiu, and later, Mr. Zhang Kai, the editors of HEP, approached me with the proposal of writing this textbook. My answer was a definite "no". This is not a matter of whether I assumed an authority stance or not. As a matter of fact, I know from the bottom of my heart that I am not qualified for this project. Firstly, my knowledge of linguistics, especially generative linguistics and cognitive linguistics, is very limited.

Secondly, after my retirement in 1996, I have been kept busy writing papers for various conferences concerning systemic functional linguistics, discourse analysis, stylistics, semiotics, FL teaching methodology and Australian Studies every one or two years, which says nothing of compiling English textbooks for primary, secondary and tertiary education. In other words, I have my own interests and I simply have no time to carry out such a task. Thirdly, I have failing eyesight due to my severe diabetes and prolonged sitting before the monitor.

Hereafter, invitations and declinations were repeated for almost a year. This tug of war would not come to a stop until a compromise was reached. The editors persuaded me to find some young scholars to help with the job. This is how Dr. Ye Qichang was brought into the picture. I was honored to supervise Qichang's doctoral dissertation when I served as a visiting professor of Beijing Normal University for the past decade. Qichang is to be praised for providing me with many new insights, such as the grouping of various topics into structuralism, functionalism, formalism and cognitivism. Qichang is also to be praised for taking the lead in writing Chapters 3, 5, 6, 7, and 9, which encouraged and impelled me to finish the remaining chapters (Chapters 1, 2, 4, 8, 10-16). Without Qichang's active participation, this book, I am afraid, would never have been published. Since I have read all the chapters and made certain adjustments, I should be responsible for all the issues arising from this book.

As there are so many theories and schools in linguistics, past and present, all we can do is just to give a brief introduction to the book, that is to say, the feature of this book is to help the reader "grasp" the basics and "think" about and "weigh" them against each other, rather than to "analyze". For those readers who want to learn more and set to work on a particular theory, they may resort to the Bibliography and Further Reading at the end of each chapter. Some readers may find this book useful, whereas others may find it vague and uninteresting. Come what may, I promise to make revisions and improvements if this textbook shall be given a chance to survive.

After the first draft was ready, I sought help from my friends and scholars in various domains. I should take this opportunity to express my sincere thanks to the following professors:

Ch.1   Peng Xuanwei (Beijing Normal University)
Ch.2   Peng Xuanwei
Ch.3   Zhang Delu (Tongji University)
Ch.4   Zhang Delu
Ch.5   Qian Jun (Peking University)
Ch.6   Zhang Delu
Ch.7   Zhu Yongsheng (Fudan University)
Ch.8   Zhu Yongsheng
Ch.9   Zhu Yongsheng
Ch.10 Zhu Yongsheng
Ch.11 Zhu Yongsheng
Ch.12 Shen Yang (Peking University)
Ch.13 Shen Yang
Ch.14 Li Fuyin (Beijing Aeronautics and Astronautics University)
        Cheng Qilong (Shanghai University)
Ch.15 Li Fuyin, Cheng Qilong
Ch.16 Li Fuyin, Cheng Qilong

My sincere thanks go to all these scholars for their critical reviews and valuable comments.

Last but not least, I owe a lot to Prof. James Martin of Sydney University for writing the preface to this book, and sharing with me his brilliant ideas as well as valuable materials. From 1979 to 1981, I had the chance to attend James' lectures on courses such as "Text Linguistics" and "Register Theory" at Sydney University. When Prof. Michael Halliday was away on study leave in Stanford in 1980, he was authorized to look

over my work. I can still remember when I once asked him about one of my dilemmas in writing my dissertation. On the one hand, my dissertation should follow the path of my supervisor, on the other hand, the dissertation requires creation and new ideas to go beyond one's supervisor. James gave me an understanding smile. Prof. Martin's 7 Volume Collected Works are going to be published by Shanghai Jiaotong University Press. Readers will know more about his genre theory, appraisal theory, Sydney School, discourse semantics etc. through his publications of which I am not able to give a comprehensive review in this textbook.

I do not know how to fully express my gratitude to the editors of this book. Maybe they are right in striking upon the idea of providing students with a textbook about linguistic theories and schools, but maybe they are wrong in finding me to do the job.

Hu Zhuanglin
Peking University
September, 2009

Preface

J R Martin

Department of Linguistics, University of Sydney

It is indeed an honour to be asked to write a preface for such a courageous book as this introduction to the history of linguistic thought by Hu and Ye. And a very daunting honour it is, to say the least, given the scope and depth of their ambitious undertaking, which makes the idea of an overview or summary an impossible dream. More possible, I surmise, is the possibility of suggesting some overarching parameters with reference to which the contributions of the many generations of linguistics surveyed here might be assessed. And there is perhaps no better place to start than with some thoughts of M A K Halliday, who is both Hu's mentor and mine.

Halliday founded the Department of Linguistics at the University of Sydney, arriving in Australia in late 1975. His inaugural lecture was entitled "Ideas About Language". Reaching far back into the history of the discipline, to the Sophists and Aristotle, Halliday proposes two traditions of inquiry, the philosophical-logical and the descriptive-ethnographic. The main thrust of his characterisation of these traditions is summarised in Table 1. Halliday admits that he is idealising and that few linguists belong squarely to one tradition, and that the traditions drift closer together and further apart from one era to another. But reading through this volume it is intriguing to see how often theories and schools lean towards one pole or the other, at times in reaction to philosophical-logical or descriptive-ethnographic extremes.

Philosophical-logical tradition	Descriptive-ethnographic tradition
Linguistics as part of philosophy	Linguistics as part of anthropology
Grammar as part of logic	Grammar as part of culture
Stresses analogy	Stresses anomaly
Prescriptive or normative in orientation	Descriptive in orientation
Meaning in relation to truth	Meaning in relation to rhetorical function

Language as thought	Language as action
Language as rules	Language as resource
Formal analysis of sentences	Semantic interpretation of discourse
Grammaticality according to rule	Acceptability according to usage
High degree of idealisation	Lower degree of idealisation
Decontextualised examples	Real examples
Absolutists	Relativists

Table 1 Halliday's philosophical-logical and descriptive-ethnographic traditions

Martin (2000) returned to these oppositions in his introduction to appraisal theory, in his discussion of invoked attitude. My point there was that even technical terms from a discipline like linguistics carry an evaluative loading, depending on which of the above traditions a given linguist belongs to. In Karl Maton's terms the oppositions are axiologically loaded, and combine to form a constellation of morally infused symbolisation (Maton to appear). It is of course around these condensations of feeling that communities of linguists align, with more or less cooperative orientations to one another. This reminds us that Halliday's traditions are populated by people, something to keep in mind as we undertake the conceptual journey Hu and Ye have mapped out for us. My elaboration of Halliday's pendulum follows and can be read as follows: Rule is to resource as cognitive is to social etc. (notated as rule/resource:: cognitive/social).

Philosophical-logical/descriptive-ethnographic::
rule/resource:: cognitive/social:: acquisition/development::
syntagmatic/paradigmatic:: form/function:: language/parole::
system/process:: psychology & philosophy/sociology & anthropology::
cognitive/social:: theory/description:: intuition/corpus::
knowledge/meaning:: conceptual/semiotic:: syntax/discourse::
pragmatics/context:: parsimony/extravagance:: cognitive/critical::
technicist/humanist:: truth/social action:: performance/instantiation::
categorical/probabilistic:: contradictory/complementary::
proof/exemplification:: reductive/comprehensive:: arbitrary/natural::
modular/fractal:: syntax/grammar:: typology/topology::
universalist/relativist:: intuition/corpus:: theoretical/applied...

Maton's work develops the sociology of education inspired by Basil Bernstein, who late in his career turned his attention to the structure of knowledge. Developing his earlier notions of common and uncommon sense, Bernstein distinguishes between everyday horizontal discourse and the vertical discourses of the humanities, social science and science.

A **horizontal discourse** entails a set of strategies which are local, segmentally organised, context specific and dependent, for maximising encounters with persons and habitats....This form has a group of well-known features: It is likely to be oral, local, context dependent and specific, tacit, multi-layered and contradictory across but not within contexts (Bernstein, 2000: 157).

...a **vertical discourse** takes the form of a coherent, explicit and systematically principled structure, hierarchically organised as in the sciences, or it takes the form of a series of specialised languages with specialised modes of interrogation and specialised criteria for the production and circulation of texts as in the social sciences and humanities (Bernstein, 2000:157).

Then, within vertical discourse, he distinguishes between the hierarchical knowledge structures characteristic of science and the horizontal knowledge structures of the humanities. Bernstein uses the image of a triangle below to symbolise hierarchical knowledge structure (definitions from Maton & Muller, 2007).

A **hierarchical knowledge structure** is "a coherent, explicit and systematically principled structure, hierarchically organised" which "attempts to create very general propositions and theories, which integrate knowledge at lower levels, and in this way shows underlying uniformities across an expanding range of apparently different phenomena" (Bernstein, 1999: 161, 162).
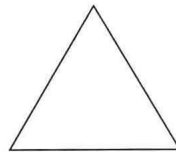
A **horizontal knowledge structure** is defined as "a series of specialised languages with specialised modes of interrogation and criteria for the construction and circulation of texts" (Bernstein,1999: 162).

L1 L2 L3 L4 L5 L6 L7... Ln

Bernstein's indefinitely extendable listing of languages is meant to characterise the proliferation of theories in a field like linguistics, where a theory such as Systemic Functional Linguistics (SFL) co-exists with related "functional" models such as Lexical Functional Grammar (LFG), Role and Reference Grammar (RRG), Functional Grammar (FG) and Cognitive Linguistics (CL), alongside various formalist paradigms (Gonzálvez-Garcia & Butler, 2006). Because individual linguistic theories share many characteristics of hierarchical knowledge structures, more so perhaps in the philosophical-logical tradition than the descriptive-ethnographic, Wignell has referred to them as warring triangles (cf. Wignell, 2007).
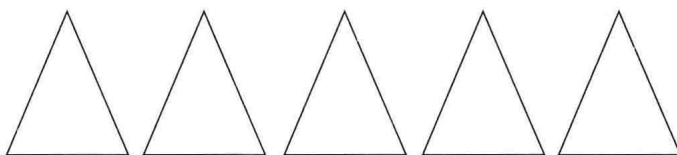
Muller (2007) proposes the term "**verticality**" to describe progression in the development of theories via even more integrative or general propositions (extending Bernstein's notion of strong vs weak internal grammars of description). In his terms, hierarchical knowledge structures (canonically physics) would exhibit more verticality than the more aspirational languages of social science — a process we might image as follows:
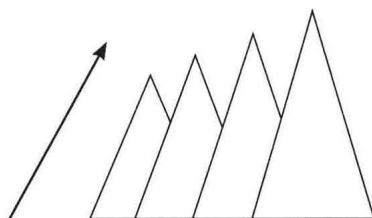

Proliferating segments in the humanities on the other hand would exhibit very little verticality at all, since they progress via the introduction of a new language which constructs a "fresh perspective, a new set of questions, a new set of connections, and an apparently new problematic, and most importantly a new set of speakers" (Bernstein,1999: 162).

$$L^1 \, L^2 \, L^3 \, L^4 \, L^5 \, L^6 \, L^7 \longrightarrow L^n$$

In addition, Muller proposes "**grammaticality**" to describe how

theoretical statements in knowledge structures deal with their empirical predicates (extending Bernstein's conception of strong vs weak external grammars of description). The stronger the (external) grammaticality of a language in these terms, the more stably it is able to generate empirical correlates and the more unambiguous its claims because of a more restricted field of referents.
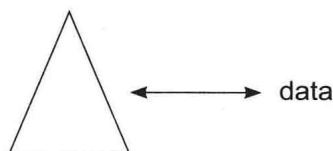
$$\triangle \longleftrightarrow \text{data}$$

For Muller, segments of horizontal knowledge structures would have a much weaker relation to data, which might, as in the case of cultural studies or literary criticism, afford divergent readings no one of which can be shown to be empirically more adequate than another.

$$\text{L} \longleftrightarrow \text{texts}$$

These perspectives from the sociology of knowledge give us additional tools for thinking about linguistic theories as they have evolved to consolidate uncommon sense models of language. How wide has the gap grown between folk linguistics (horizontal discourse) and academic linguistics (vertical discourse)? Within vertical discourse, how much like an idealised hierarchical knowledge structure has a given theory become? Does a specific theory evolve, increasing Muller's "verticality"? Or do theories simply come and go, as the discipline as a whole designs new languages of description — as horizontal knowledge structures tend to do? How does a specific theory put its propositions on the line, and test them in relation to empirical correlates? And what kind of data (e.g. grammaticality judgements or corpora) is involved in relation to Muller's concept of "grammaticality"? And in relation to all of these questions, what is the role of technology in relation to the verticality and grammaticality it affords — the significance of the invention of writing for example, the tape recorder, and more recently computational tools for investigating corpora of language use? To what extent does the next break — through depend on being able to compute meaning — to automatically analyse texts as discourse in context? Is this still a generation or even two generations away?

Finally there is the issue of social responsibility, which has been flagged by Halliday in relation to his notion of an applicable linguistics, defined as follows:

"Appliable" linguistics — a comprehensive and theoretically powerful model of language which....would be capable of being applied to the problems, both research problems and practical problems, that are being faced all the time by the many groups of people in our modern society who are in some way or another having to engage with language (Halliday, 2008: 7).

This is a source of genuine tension in linguistic theorising. Linguists concerned with maximising verticality and grammaticality have often seen applications as something which may or may not be available, after the fact as it were; designing theory with applications in mind is seen as compromising, even tainting, the quest for the re-birthing of lingusitics as a hierarchical knowledge structure. For other linguists an orientation to application is an important design feature, in the interests of which they are prepared, in the short or medium term, to compromise on verticality and grammaticality (by letting meaning and discourse into the picture for example). This brings us to one more important dimension of Bernstein's thinking, his distinction between disciplinary singulars and regions:

A discourse as a **singular** is a discourse which has appropriated a space to give itself a unique name... for example physics, chemistry, sociology, psychology... these singulars produced a discourse which was about only themselves.... had very few external references other than in terms of themselves... created the field of the production of knowledge...

...in the twentieth century, particularly in the last five decades... the very strong classification of singulars has undergone a change, and what we have now.... is a regionalisation of knowledge... a recontextualising of singulars... for example, in medicine, architecture, engineering, information science... any regionalization of knowledge implies a recontextualising principle: which singulars are to be selected, what knowledge within the singular is to be introduced and related... **regions** are the interface between the field of the production of knowledge and any field of practice... (Bernstein,1996: 23)

Seen in these terms, regions are the disciplinary spaces in which linguistics can be recontextualised into practice. Which linguistic theory is selected, and which aspects of that theory are selected, depends of course on appliability. Alongside Pike, Halliday was one of the few linguists

who made their mark in the 20th century to insist on appliability as criterial. And far from compromising his theory, one could argue that it is precisely this criterion which has pushed the verticality and grammaticality of his conception of language along (Halliday, 2008, Halliday & Webster, 2009; Hasan et al. 2005, 2007).

By way of prefacing this book I have tried to give readers a glimpse of how the chapters might be read through Halliday, Bernstein, Muller and Maton's eyes — and inevitably, something of my own gaze as well. Hu and Ye have offered us more than any of us can fully understand, and I am sure they would be the first to agree that there is nothing more humbling than engaging with the collective wisdom of all our elders. We are forever in their debt for grounding future generations of scholars in the rich legacy it so behoves us to respect, cherish and continue to share.

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Contents