

“语境

——纯理功能耦合假说”
的多维关系研究

徐玉臣 著



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“**陆·境**”

——地理功能耦合假设”
的多维关系研究

杨 永清 著



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**A Multivariate Perspective
on CMH Hypothesis**
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序

今天,徐玉臣博士从长安大学发来电子邮件,告诉我他的博士论文即将由西安交通大学出版社出版。听到这个消息,我欣喜不已,在向他表示祝贺的同时,接受了写序的任务。

在徐玉臣来复旦读书之前,我不认识他,也没见过他,只是从南京大学的同行们那里听到过对他的赞誉。2001年,他以优异的成绩考取了复旦大学英语语言文学专业博士,投到我的门下。第一次见面,给我的第一印象就是一个文静、诚实、坐得起冷板凳的读书人。入学后,他的一言一行,都印证了我最初的判断。

徐玉臣是一个十分自觉的人。他用不着导师督促和鞭策。不敢说他在复旦三年期间读破了万卷书,但他的阅读面的确是很广的。有许多书他读过,我没读过,他的同学也没读过。

徐玉臣是一个勤于思考的人。他时常问一些别人不大会问的问题,其中有些是他自己解决了,有些是我们一起琢磨找到了答案,还有一些只能留待今后再做研究。

徐玉臣还是一个勇于创新的人。他为博士论文挑选了一个理论价值很高、但难度很大的题目。在论文中,他在肯定 Halliday 有关语境因素与语义结构之间对应关系的观点的同时,指出了这种观点的局限性,并通过实证分析,局部地修正了 Halliday 的理论。

在读期间,徐玉臣除了撰写博士论文以外,还参加了由复旦大学、上海外国语大学、华东师范大学和上海师范大学的合作项目《综合(英语)教程》,为其中第四册的顺利完成作出了重要的贡献。

复旦校训云：“博学而笃志，切问而近思。”徐玉臣的身上充分体现了校训的精神。

徐玉臣毕业之际，面临择业的困惑。就人才的走向而言，全国都是“孔雀东南飞”，甚至“麻雀东南飞”。已经在南京工作多年的他，却婉言谢绝了江苏两三所高校的邀请，选择了千里之外、地处西安的长安大学。这不仅令同学们困惑，也使我感到费解和担忧。直到 2005 年我有机会访问长安大学外国语学院，看到了他的工作环境，看到了学院领导对他的重视和关心，看到了同事对他的认可和赞许，才放下一颗不安的心。如今，学院帮助他出版论文，更加证实了领导和同事对他的支持和信任。

我为长安大学外国语学院的英明之举喝彩，为徐玉臣的博士论文即将问世而欢呼。常言道：“是金子总会发光。”我坚信，徐玉臣博士在新的工作岗位上一一定能做出更大的成绩，在语言学研究上一一定能取得更大的进展。与此同时，我也真诚地希望，徐玉臣博士几年之后能拿出分量更重、创新成分更多的学术成果来，让同行们和广大读者分享。

朱永生

2006 年 2 月 1 日于复旦大学

Acknowledgments

I am grateful to all those who have helped me in the preparation of this book.

First and foremost, my sincere gratitude goes to my supervisor, Professor Zhu Yongsheng for his academic guidance during my three years of study and research at Fudan University and for his insightful comments on and constructive criticism of the earlier drafts of this book. I also owe a great deal to him for his help in my other academic achievements, including my publications and my better understanding of Systemic Functional Linguistics and discourse analysis.

My heart-felt gratitude extends to Professor Chu Xiaoquan and Professor Xiong Xueliang, whose thought-provoking lectures have broadened my horizons, intensified my interest in linguistics and helped me in my academic pursuit. I am particularly grateful to Prof. Lu Guoqiang and Prof. Lu Xiaoyong for their valuable comments and suggestions on the improvement of this book.

Preface

The relationship between text and context has been one of the major concerns of Systemic Functional Linguistics (SFL). It is reified as the Context Metafunction Hook-up Hypothesis (CMH Hypothesis). Although the theory is well grounded, it is descriptively inadequate to a certain extent. The present study aims to amend CMH Hypothesis by presenting the multivariate relationships between contextual variables and language metafunctions. It is propounded that each contextual variable, by means of interacting with the others, determines, or is construed by, not merely the corresponding metafunction as was suggested by CMH Hypothesis, but the other metafunctions as well. Specifically, this research, on the basis of validating the general tenets of CMH Hypothesis, further investigates the systematic interactions between the contextual variables and the multivariate relations of each variable with the language metafunctions, which are in turn manifested by linguistic choices. The study results in a revised model of CMH Hypothesis: the Contextual-Configuration Metafunction Hook-up Hypothesis (CCMH Hypothesis).

The present book comprises seven chapters. Chapter One introduces the theoretical backgrounds, the objectives and the organization of the book. Chapter Two contrasts the notion of

context in SFL with those in other branches of linguistics for the theoretical positioning of the key construct in SFL, viz. context of situation. In Chapter Three, language metafunctions in SFL and their realizations are discussed against the background of other views of language function.

The new model has been established on the argument for the validity and the descriptive inadequacy of the theory. Chapter Four verifies the validity of the hypothesis by confirming the associations between the contextual variable and the metafunction predicted by the theory, with the two sides as independent variables. It is also argued in Chapter Four, however, that CMH Hypothesis seems descriptively inadequate. It only captures part of the relationships between contextual variables and metafunctional choices in language. Hence the necessity of the amendment of the theory.

Chapter Five presents a thorough discussion of the interactions between contextual variables. The impact of field upon tenor is three fold. Firstly, the subject matter has been found to influence the tenor of discourse. A change in the subject matter is likely to cause emotional and attitudinal changes in the participants and change the social distance between the two speakers. Secondly, arena impacts on the choices in tenor in that social institutionalization determines the choice of role relationships between the speakers and that the arena continuum has a decisive influence upon the positioning along the power continuum and along the affective involvement continuum. Finally, the impact of semantic domain upon tenor is manifested with respect to the affective involvement. Specialized discourse is typically associated with low degree of affective involvement in contrast with the

non-specialized discourse which is usually associated with relatively high degree of affective involvement.

The impact of field upon mode is discussed from three perspectives. First of all, the nature of the subject matter imposes constraints upon the selections in the category of mode. Secondly, the arena of social activities has a certain influence upon the selection of the communication media. The more institutionalized the social activity, the greater the possibility of employing the written medium. Finally, the impact of semantic domain upon mode is manifested in the influence of specialization on the selections along the spontaneity continuum and the semiotic role continuum. The degree of specialization tends to be negatively associated with the degree of spontaneity and positively with the degree of reflexivity of genre.

The impact of tenor upon field is manifest in three aspects. Firstly, the constraints imposed on the selection of subject matters by tenor are reflected not only in the general tendency that the smaller the social distance between the speakers, the larger the range of the subject matters to choose from, but also in the observation that the subject matter must be appropriate in accordance with the social distance between the speakers. Secondly, the index along the power continuum has a noticeable impact upon the range of subject matters and the degree of specialization of the subject matter. Finally, the affective involvement also influences the selection of the subject matter.

The impact of tenor upon mode is explored from two perspectives. For one thing, the emotional states of the speakers and their attitudes to each other have an effect on the selection of the medium and the channel of communication. For another, the

social distance influences the selections in the category of mode, the communicative media in particular. The larger the social distance between the speakers, the greater the possibility of employing the written medium.

The impact of mode on field is discussed with the three elements of mode. Firstly, the impact of the semiotic role of text is reflected in the fact that genre can be employed to mold the social meanings in particular ways as intended by the language users. Secondly, the presence or the absence of immediate feedback has an influence on the field of discourse. Finally, the counteraction of mode on field also finds an expression in the fact that the selection of the communicative media and channels plays an active role in shaping the ideational meaning.

The impact of mode upon tenor is also discovered. For one thing, it has been found in the influence of spontaneity on the relationship between the participants. For another, the impact of genre upon tenor is manifest in the observation that the tampering of the generic structure of a text affects the tenor of discourse.

Chapter Six further explores the multivariate relationship between a contextual variable and the choices in the other two metafunctions in addition to the one predicted by CMH Hypothesis. It is found that although a contextual variable prescribes the gamut of potential corresponding metafunctional choices as CMH Hypothesis suggested, the actualized choices from the gamut are largely determined by the other contextual variables.

The impact of the field of discourse upon interpersonal choices is found in the actualization of the choice of vocatives, code-switching, mood and modality. Firstly, choices of vocatives and mood structures vary with arena. Secondly, in bilingual or

multilingual communities code-switching occurs when the speakers move from one type of social activity to another. Finally, the subject matter as well as the semantic domain determines the speaker's accountability for the truthfulness of what he says, which is expressed by choices in modality, and the actualized interpretation of modality choices.

The field of discourse is also found to actualize textual choices, particularly Thematic and nominalization choices. The semantic domain shapes the actualized choice in the thematic structure. Specialized discourse tends to contain multiple themes that are nearly devoid of interpersonal elements whereas interpersonal elements are not rare in the multiple Theme in non-specialized discourse. The sub-variable also determines the actualized choice of nominalization. Discourse positioned toward the specialized end heavily employs nominalization, whereas non-specialized discourse has less need for nominalization than specialized discourse does.

The tenor of discourse is found to actualize ideational choices. The selection of the process per se from the whole range of the potential is so often inspired by the social distance between the speakers and the affective involvement. The affective involvement also impacts on the actualized choices of the participants and the circumstances of the process from the potential.

This contextual variable also motivates the actualized choices in the textual metafunction. It has been found that the actualization of nominalization in discourse is again determined by the value of power and that the affective involvement and the social distance actualize the choices of interpersonal themes of the Multiple Theme.

The mode of discourse is found to actualize the ideational choices from the gamut of the potential. Of the elements of mode, spontaneity and the semiotic role of text both impact on the actualization of ideational choices in that they help to shape the choices of words and expressions which serve as the process per se, the participants and the circumstances.

Finally, the mode of discourse is found to impact on the actualization of interpersonal choices, the gamut of which though is set by the tenor. The choice along the spontaneity continuum shapes the actual choices in the mood structure. The planned/written discourse and the spontaneous/spoken discourse are distinct in the employment of what is called the "expedient mood structures" of interrogatives. The value along the spontaneity dimension also impacts on the actualized choice of what is called the "partial mood structure". Only in spontaneous discourse is the "partial mood structure" possibly utilized.

Therefore, it is concluded in Chapter Seven that a contextual variable, which interacts with the other two variables, has a multivariate relationship with the metafunctions rather than the one-to-one relationship with a certain metafunction as CMH Hypothesis proposed. In other words, the choices in one metafunction are determined not merely by one contextual variable alone, but by the other contextual variables as well. Considering the interactions between and the synergy of contextual variables, it can be said that the metafunctional choices are determined by the configuration of contextual variables. Thus it is suggested that Context Metafunction Hook-up Hypothesis be revised as Contextual-Configuration Metafunction Hook-up Hypothesis (CCMH Hypothesis).

前 言

语篇和语境的关系一直是系统功能语言学研究的主要课题之一。这一论题在系统功能语言学中具体化为“语境与纯理功能耦合假说”(CMH Hypothesis)。虽然这一假说具有内部效度,但它的不足同样是不容忽视的。本课题的研究目标在于,通过探讨语境诸变量之间的相互作用以及每个语境变量和语言纯理功能之间的多元关系,对“语境与纯理功能耦合假说”加以修正。本文认为,一个语境变量,因其与其他两个语境变量的相互作用,不仅决定“耦合假说”所规定的那一纯理功能,而且对其他两个纯理功能也起着决定作用。具体来说,本研究在论证“耦合假说”效度的基础上,进一步探讨语境诸变量之间的相互作用关系以及每一个语境变量对其他两个纯理功能的多维作用关系。本研究通过对“语境与纯理功能耦合假说”的修正,建立了语篇和语境之间共生关系的新的模型,即“语境构型与纯理功能耦合假说”(CCMH Hypothesis)。

全文共有七章。第一章介绍本研究的理论背景、研究目标、以及论文的总体结构。第二章首先将系统功能语言学中的语境概念与其他语言学派的语境概念进行比较和区别,并进一步细化各语境变量,赋予其更强的可操作性,从而为下文的分析论证做好概念上的准备。第三章系统阐述了语言功能的概念,将系统功能语言学中的语言纯理功能与传统的语言功能概念加以比较,并对纯理功能在语言系统中的实现形式在原理论的基础上作了必要的补充。

第四章首先把语境变量和纯理功能作为两个独立变量,揭示了每个语境变量对相应的纯理功能的决定作用,从而系统地论证了“耦合假说”的效度。其次,本章还阐明了这一假说描写性的不完备性。它忽视了语境变量之间的相互作用关系,因而忽视了语境变量与纯理功能之间的多元关系。因此,“耦合假说”需要进一步补充、完善。

第五章系统讨论了语境变量之间的相互作用关系。话语范围对话语基调的作用表现在三个方面。首先,话题影响着话语基调,话题的变化会造成说话者情感、态度的变化,也会影响参与者之间的社会距离。其次,场景影响话语基调的选择。话语的社会机构化程度在很大程度上决定着说话者的角色选择,并影响着参与者之间的权势关系和感情投入。此外,话语的语义范畴对话语基调的影响表现在感情投入方面。专业话语通常与低度的感情投入相联系,而非专业话语中感情投入的程度往往较高。

话语范围对话语方式的作用有三个方面。第一,话题的性质影响着话语方式的选择。一般日常话题决定着无标记的话语方式的选择,即口头媒介和听觉信道。第二,场景对交际媒介的选择也有很大影响。话语的社会机构化程度越高,选择书面媒介和视觉信道的可能性越大。第三,话语的语义范围对话语方式的影响在于专业化程度对自发性程度和语类的内省程度的作用。专业化程度越高,则自发性程度越低,而语类的内省程度越高。

话语基调对话语范围的作用从三个方面研究。首先,话语基调对话题选择的影响表现为:(1)说话者之间的社会距离越小,话题选择范围越大;(2)话题的选择必须与说话者之间的社会距离吻合。其次,说话者之间的权势关系对话题选择的范围和话语的专业化程度有明显的影响。第三,说话者的感情投入程度也影响着话题的选择。

话语基调对话语方式的作用体现在两个方面。其一,说话者的情感状态及彼此的态度影响着交际媒介和信道的选择。其二,

说话者之间的社会距离影响着话语方式的选择,尤其是交际媒介的选择。社会距离越大,选择书面交际媒介的可能性越大。

话语方式对话语范围的影响从三个方面进行研究。首先,话语的符号角色对话语范围的影响表现为,语类可以按照说话者的意图来塑造社会意义。其次,即时反馈信息的有无对话语范围的选择也有着不可忽视的影响。第三,交际媒介和信道的选择能够起到对概念意义进行重塑的作用。

话语方式对话语基调的影响表现为两个方面。首先,自发性对参与者之间的关系有明显的作用。口语交际中的得体 and 流畅能够为说话者赢得对方的尊重。其次,对语类结构的篡改影响着说话者之间的关系。

第六章在前一章的基础上,探讨了每一个语境变量对其他两个纯理功能的多维作用关系。本章研究发现,虽然一个语境变量决定了相应纯理功能选择的范围,但是实现这种纯理功能的语言选择在具体语篇中的实际选择同时受到其他两个语境变量的影响。

话语范围对人际功能选择的作用表现在它影响着语篇中称呼语的选择、语码转换、语气和情态系统中的选择。首先,称呼语和语气结构的选择受到场景因素的决定性影响。其次,在双语社会环境中,随着说话者从一种社会活动转向另一种社会活动,语码也会随之转换。此外,话题和语义范畴决定着话语中情态系统的选择。

话语范围对语篇功能中的选择,尤其是主位和名物化的选择,起着重要作用。话语的语义范畴影响主位结构的选择。专业性话语中小句所包含的多重主位结构中人际主位极其罕见,而人际主位在非专业性话语中的发生率则高的多。话语的语义范畴同时影响着名物化的选择。话语的专业化程度越高,名物化的发生率则越高。

话语基调影响概念意义的实际选择。过程中的过程本身

(process per se)的选择受到说话者之间的社会距离和感情投入程度的影响。而说话者的感情投入也影响到过程中参与者和环境成分的选择。

话语基调对实际的语篇功能的选择也起着决定性作用。名物化的实际选择受到说话者之间权势关系的影响;说话者之间的社会距离和感情投入影响着多重主位中人际主位的选择。

话语方式影响概念意义的实际选择。自发性和语篇的符号角色都对概念意义的实际选择产生影响,它们可以决定过程中过程本身、参与者和环境因素的实际选择。

话语方式对人际功能的实际选择的影响也是非常显著的。自发性影响语气结构的实际选择。计划的/书面的语篇与自发的/口头的语篇在疑问句“权宜的语气结构”(expedient mood structures)的选择方面有显著差异。自发性同时影响“部分语气结构”(partial mood structure)的具体选择。这种语气结构通常只有在自发性话语中才得以出现。

第七章对本课题的研究成果作出总结,认为语境变量因彼此之间的相互作用而与纯理功能之间存在多元决定关系,而不是像“语境与纯理功能耦合假说”所述的一一对应的关系。换言之,一个纯理功能中的选择不是仅仅决定于相应的那个语境变量,而是同时受到三个语境变量的共同作用。考虑到语境变量之间的相互影响和协同作用,本文认为纯理功能中的选择是由语境构型决定的,而非某一个语境变量决定的,因而建议由“语境构型与纯理功能耦合假说”取代“语境与纯理功能耦合假说”,以求更精确地阐述系统功能语言学对语篇和语境之间共生关系的观点。

关键词:语境;纯理功能;语境变量;相互作用