



A Study of Non-finite
Clauses in English:
A Systemic Functional Approach

英语非限定小句之 系统功能语言学研究

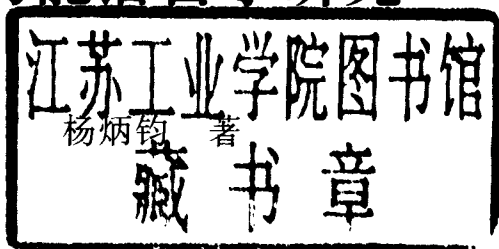
杨炳钧 著



外语教学与研究出版社
FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS

**A Study of Non-finite Clauses in English:
A Systemic Functional Approach**

**英语非限定小句之
系统功能语言学研究**



外语教学与研究出版社
FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS
北 京 BEIJING

(京)新登字 155 号

图书在版编目(CIP)数据

英语非限定小句之系统功能语言学研究/杨炳钧著. —北京:外语教学与研究出版社, 2003

ISBN 7-5600-4056-X

I. 英… II. 杨… III. 英语—句法—研究 IV. H314.3

中国版本图书馆 CIP 数据核字(2003)第 023584 号

英语非限定小句之系统功能语言学研究

杨炳钧 著

* * *

责任编辑: 胡伟春

出版发行: 外语教学与研究出版社

社 址: 北京市西三环北路 19 号 (100089)

网 址: <http://www.fltrp.com>

印 刷: 北京外国语大学印刷厂

开 本: 850×1168 1/32

印 张: 5.75

版 次: 2003 年 12 月第 1 版 2003 年 12 月第 1 次印刷

书 号: ISBN 7-5600-4056-X/H·1996

定 价: 7.90 元

* * *

如有印刷、装订质量问题出版社负责调换

制售盗版必究 举报查实奖励

版权保护办公室举报电话: (010)88817519

序

1997年我在第5届全国功能语言学研讨会第一次见到杨炳钧时,印象最深的是他的腼腆、好学和谦虚。这一美好的印象使我和炳钧结下了师生缘。后来当我知道炳钧是来自云南的白族,中学时才开始学习普通话后,我一面对他的语言天赋表示惊讶和赞赏,另一方面又仿佛找回了年轻时的自己——我也是十几岁才开始学讲普通话的;后来我发现,我们有很相似的童年。

炳钧1999年秋到中山大学后,我发现他除了好学和谦虚以外还有很多优点:他悟性好,做学问特别认真、严谨,甘于寂寞,能静下心来看书、学习,钻研理论问题。

1999年前后,我曾对功能句法问题非常感兴趣,也做了一些研究。那时我很希望有博士生和我一起在这方面探索。我曾有意无意地与我的研究生谈到功能句法问题和对这些问题研究的理论价值和实践意义。炳钧很快就明白我的良苦用心,开始静静地阅读这方面的论文和著作,最后决定把研究范围定在英语非限定小句方面。对于这种善解人意的学生,哪位老师会不喜欢呢?

炳钧3年的刻苦学习不负大家对他的厚望,2002年夏天顺利获得“英语语言文学”哲学博士学位。他母校师长及其家人和我们一样,都为炳钧的成功感到骄傲和自豪。

得知他的学术专著《英语非限定小句之系统功能语言学研究》即将出版,作为导师,我感到十分欣慰。

炳钧是一位学术成果丰硕的年轻学者,攻读博士学位期间就在国内学术刊物上发表10余篇学术论文,其中的一篇 *Towards the criteria of non-finite clause identification: a systemic-function approach* 发

表于荷兰出版的 Language Sciences 杂志 2004 年第 3 期上。在校学习期间,由于注意全面发展,炳钧荣获 2000 年度“南粤优秀研究生一等奖”,2001 年度“光华教育奖学金”。毕业之际又获 Freeman 基金资助,于 2002 年 7 月至 2003 年 7 月赴美国伊利诺大学做访问学者。

炳钧这本书探讨的是英语的非限定小句问题。实际上,非限定小句的频繁使用是英语语言的一个重要特征。炳钧的研究表明:由于系统功能语言学者对非限定小句缺乏认真研究和充分考虑,有关“句子”与“小句复合体”,“短语”与“词组”等语法单位的区分仍然存在一些争议。

在充分考虑非限定小句的基础上,炳钧对韩礼德的级阶模型提出了一些改进,并以此为理论基础对非限定小句深入研究。全书分 9 章。第一章指出了研究非限定小句的重要意义,并且提出该研究要达到的目的,其中包括对所提出的问题、数据资料收集等的有关说明。第二章首先简要综述了语言学界对非限定小句的研究状况,着重回顾传统语法和系统功能语法界的研究并指出存在的问题,尤其是级阶划分中存在的问题以及由此导致的元功能分析中的不确定性问题。由于级阶划分是功能分析的基石,第三章进一步阐述了这些问题的原因并提出经过适当改进的级阶模式,在充分考察非限定小句的前提下探讨系统功能语法中语法单位的界定。

第二、三章的理论探讨是揭示非限定小句的本质之理论基础,而要揭示非限定小句的本质特征,如何判断非限定小句就成为首要解决的问题。依据系统功能语法,第四章提出非限定小句的 4 条判断标准:过程标准;参与者标准;连接词标准;人际功能标准。依据这些标准,一方面可以判断非限定成分是否构成小句复合体,另一方面可以对其中的非限定小句进行较为深入的系统功能语法分析。

第五章以第二、三章的理论探讨为基础,以第四章的判断标准

为手段,考察了非限定小句与“元现象”(meta-phenomenon)和“宏现象”(macro-phenomenon)之间的关系。指出心理过程中的认知类往往与宏现象相关,而感知类带有的非限定小句往往与限定小句构成一种融合(fusion)。这种融合不应当与使役结构中的动词词组复合体相混淆。

第六章考察了在划分语法范畴中特别需要注意的概念,即“渐变群”(cline)的概念。“渐变群”的思想在韩礼德的早期著作中被提到较为重要的位置加以讨论,这说明虽然在划分语法范畴时要清楚地区分各个范畴,但也不能抹杀它们之间的相似性。非限定小句中的一些语法结构进一步说明了该概念的重要意义。鉴于语言的丰富很大程度上靠各种语法隐喻得到实现,第七章探讨了非限定小句与语法隐喻间的关系,发现非限定成分和一些非限定小句可以成为语法隐喻,而大多数非限定小句属于隐喻与非隐喻之间的中间层次。依据第三章中的级阶划分以及第四章中提出的判断标准和五、六、七 3 章的讨论,对非限定小句的本质可以有更好的理解。第八章则是对前面章节的系统概括,非限定小句的系统网络在本章中也得到初步描述。最后一章是对全书的总结。

对非限定小句的系统功能语言学研究有助于建立一个更加合理、更不受表面形式约束的语言分析成分级阶,并有助于更好地理解并掌握英语语言。炳钧的专著在这方面做出了可喜的成绩,相信会给语言学界的广大师生提供有益的参考。

希望炳钧再接再厉,在语言学的研究方面继续努力,拓宽研究方向,吸收别的学科的研究方法,在语言与语言学习的研究方面做出新的成绩。

黄国文

2004 年 4 月 18 日

于中山大学康乐园

Foreword

Non-finite clauses have not received the attention they deserve. I certainly believe this study is worthy. It defines non-finite clauses and their position on Halliday's rank scale model. It divides the clauses by types of phenomena and clarifies their effects. It accepts clines and allows for variations and multiple or ambiguous meanings. Of great benefit to readers not conversant with Systemic Functional Grammar (SFG) is its outline of the concept of the systemic network, along with its discussion of some basic types of metaphor. This monograph also proposes some refinements of Halliday's rank scale model.

I assume that the intended audience is linguists, largely linguists who follow the systemic functional tradition but also student linguists and other types of linguists not fully committed to SFG. This work needs its repetitions and academic statements about its organization and the discovery of a niche with a problem to solve. Broader audiences have further needs and expectations that must be considered; wider audiences need more background. Enhancing ESL instruction is mentioned as a distant goal. It is definitely a valuable topic, and the need for further research on it must be emphasized.

This book shows a good understanding of Halliday's *An Introduction to Functional Grammar* (1994). It gives appropriate background on SFG with quotations from Halliday and references to others such as Fawcett, Butler, and Hudson. These are essential. Some readers might benefit from even more examples of Halliday's points and fuller explanations than mere reference to them. Likewise, an American reader like me needs a summary of the work of Chinese authors whose work we do not know. It is not always clear when Dr. Yang is citing ideas of another whom I do not recognize and when he is developing his own new point. Dr. Yang should claim credit for all of his innovations.

The point of this study is to expand on the treatment of non-fi-

nite clauses in SFG. What this book is doing is much more than solving problems; it is expanding, enhancing, elaborating, extending, clarifying, developing, disambiguating, etc. what had been omitted. SFG is still relatively new, incomplete, and therefore open to scholars like Bingjun Yang to develop it. As a devoted Hallidayan, I personally believe that a more consistent respect for its treatments would resonate better with other Hallidayans. Perhaps academic evaluators are looking for a problem to be solved, and perhaps opponents of SFG take delight in recognizing weaknesses, but this is a book that furthers knowledge about non-finite clauses in many ways that are not problematic. Dr. Yang has recognized a new, undeveloped topic and gathered together discussions of it and therefore given it prominence. He presents innovative ideas, and his criteria of non-finite clause identification may motivate further studies that extend knowledge of this topic even further.

Carolyn G. Hartnett
Emeritus Professor
College of the Mainland
2027 Bay Street
Texas City, Texas 77590
U.S.A.
Phone and Fax: 409-948-1446
cbhartnett@cs.com

前 言

刚到中山大学,我常常思考这样一个问题:离开语义探讨的纯句法学研究为什么没有多大实际意义?为什么没有实际意义的研究又如此盛行?后来,我悟出了一个道理,我的这些疑问都没有意义,重要的是采取什么样的研究理念。于是,我决定做一项紧密联系语义关系的句法学研究,而以语义研究为核心的系统功能语法正可以满足这个目的。

英语与汉语的一个重要区别是,前者有限定与非限定之分,而后者没有。由于英语和汉语有这种差异,对非限定小句研究恰好可以深入揭示英语句法现象。同时,英语国家的学者司空见惯的语言现象未必就会受到应有的重视,选择非限定小句有助于开启新的研究视角。这样,本研究以系统功能语法为理论基础,对非限定小句进行了多角度研究。

本书得以出版,首先要感谢恩师黄国文教授。恩师渊博的知识、严谨的态度、敏锐的思维、可亲的教导都时时刻刻打动我,促我上进。多年来,恩师不厌其烦指点迷津;我遇到难题陷入困境时,恩师对我谆谆教导再三勉励。对于被难题所困的学子,那是多么地幸运呀!在为本书作序时,恩师虽然繁忙却利用午夜时分与我联络,又是电话又是电子邮件。恩师扶持、提携后辈的殷切之情,学生终身难忘。

本书的成功写成,还要感谢美国的系统功能语法学者 Carolyn Hartnett 教授审阅了全书初稿,提出了一些宝贵意见。秦秀白教授、雍和明教授、林连书教授、冯之林教授、梁锦祥教授也提出了宝贵意见,胡壮麟教授、陈治安教授、李力教授、张正东教授、张美芳教

授、徐建辉先生多方面提供帮助,一并表示感谢。吴增生教授、何安平教授、肖洁文教授、林裕音教授和 Mohsen Ghadessy 博士在选题时也提出了一些意见。没有这些师长的指点,本书就不可能如此顺利地写成。

此外,常晨光博士、于晖博士、曾蕾博士、范文芳博士、严世清博士提供了有关资料,何伟博士和潘小燕阅读了本书初稿并提出了一些修改意见,李国庆博士和丁建新博士也给予了无私帮助,在此一并致谢。黄老师的其他博士生和硕士生也对我提供多方面帮助,表示感谢。

本书能够出版离不开西南师范大学外语学院的大力支持,向雪琴书记和李力院长多年来对我热心帮助,支持我做研究。外语教学与研究出版社的李朋义社长、徐建中副社长、许家金先生为本书的出版付出了辛勤劳动。在此表示衷心感谢。

我的父母、家人一直无私地支持我,尤其是妻子李雪梅和儿子杨子卿的无私支持,没有他们的支持,我就不可能静下心来思考与写作。

因水平有限,书中肯定有缺点甚至谬误,敬请读者不吝指正。

杨炳钧

2003年9月27日于
西南师范大学桃花山

Notational Convention

α	the dominant clause
β	the dependent clause
	boundary symbol of a clause complex
	boundary symbol of a clause
{	“both...and...” relation
[“either...or” relation
+	extending
=	elaborating
x	enhancing
“	locution
‘	idea
/	conflated with
^	followed by
\	realised by
BROWN	Brown Corpus
ICE	International Corpus of English
LOB	Lancaster-Oslo/Bergen Corpus
SFG	Systemic Functional Grammar
TG	Traditional Grammar
TGG	Transformational Generative Grammar

Contents

黄国文序

Hartnett's Foreword

前言

Table of Contents

List of Figures

List of Tables

Notational Convention

1. Introduction	(1)
1.1 Background to the Study	(2)
1.2 The Significance of Non-finite Clauses in English	(3)
1.3 Purpose of the Study	(4)
1.4 Research Questions	(5)
1.5 Data Collection	(7)
1.6 Organisation of the Book	(8)
2. Towards the Non-finite Clauses in English	(10)
2.1 Introduction	(10)
2.2 A Brief Review of Research on Non-finite Clauses	(11)
2.2.1 The Traditional Approach	(11)
2.2.2 The Systemic Functional Approach	(13)
2.3 The Rank Scale: basis of functional description	(14)
2.4 Three Metafunctions: actualisation of functional description	(18)
2.4.1 The Interpersonal Function	(18)
2.4.2 The Ideational Function	(19)
2.4.3 The Textual Function	(22)
2.4.4 The Indeterminacy in Functional Analysis	(23)
2.4.5 A Hypothetical Solution	(26)
2.5 Summary	(27)
3. The Rank Scale Revisited: implications from the non-finite clause	(29)
3.1 Introduction	(29)
3.2 Principles of Functional Analysis	(30)

3.3	Indeterminate Elements in Halliday's Rank Scale Model	(31)
3.3.1	Prepositional Elements	(31)
3.3.2	Conjunctive and Vocative Elements	(35)
3.4	Grammatical Units to Be Reconsidered	(37)
3.4.1	"Sentence" and "Clause" in Non-systemic Treatment	(37)
3.4.2	Distinction between "Sentence" and "Clause Complex"	(39)
3.4.3	What is the Highest Unit in the Rank Scale?	(40)
3.5	An Improved Model of the Rank Scale	(44)
3.6	Summary	(46)
4.	Identifying Non-finite Clauses: functional	(48)
4.1	Introduction	(48)
4.2	Preparatory Investigation	(50)
4.2.1	The Relation between Processes	(50)
4.2.2	Embedding	(52)
4.2.3	Hypotactic Verbal Group Complex	(54)
4.3	Criteria of Non-finite Clause Identification: ideational	(56)
4.3.1	Process-oriented	(57)
4.3.1.1	"Number of Processes" as Criterion	(58)
4.3.1.2	"Order of Processes" as Criterion	(61)
4.3.2	Participant-oriented	(62)
4.3.3	Relator-oriented	(65)
4.4	Criteria of Non-finite Clause Identification: interpersonal	(67)
4.5	The Textual Function of Non-finite Clauses Revisited	(70)
4.6	Summary	(72)
5.	Non-finite Clause as Phenomenon: logico-semantic	(74)
5.1	Introduction	(74)
5.2	Non-finite Clauses: expansion and projection	(76)
5.3	Types of Phenomenon	(80)
5.3.1	Phenomenon	(81)
5.3.2	Macro-phenomenon and Meta-phenomenon	(82)
5.4	Non-finite Clause as Phenomenon	(84)
5.4.1	Non-finite Element as Phenomenon	(84)
5.4.2	Non-finite Clause as Macro-phenomenon	(85)
5.4.3	Non-finite Clause as Meta-phenomenon	(87)
5.4.4	Kinds of Phenomenon Revisited	(90)
5.5	Summary	(95)

6. Cline in Non-finite Clause: by delicacy	(97)
6.1 Introduction	(97)
6.2 Approaches to Categories	(98)
6.2.1 The Traditional Approach	(98)
6.2.2 The Cognitive Approach	(99)
6.2.3 The Systemic Functional Approach	(100)
6.3 Clines within Non-finite Clauses	(102)
6.3.1 The Grammatical Aspect	(102)
6.3.2 The Metafunctional Aspect	(105)
6.3.3 The Logico-semantic Aspect	(108)
6.3.3.1 Clines in Expansion	(109)
6.3.3.2 Clines in Projection	(111)
6.4 Clines Starting from Non-finite Clauses	(114)
6.5 Summary	(117)
7. Non-finiteness as Grammatical Metaphor	(119)
7.1 Introduction	(119)
7.2 Metaphor in Systemic Functional Grammar	(120)
7.2.1 Lexical Metaphor and grammatical metaphor	(120)
7.2.2 The Subcategories of Grammatical Metaphor	(121)
7.2.3 Textual Metaphor and Cline in Grammatical Metaphor	(126)
7.3 Non-finite Elements as Grammatical Metaphor	(128)
7.4 Non-finite Clauses as Grammatical Metaphor	(130)
7.4.1 Non-finite -ing Clauses	(131)
7.4.2 Non-finite -ed Clauses	(133)
7.4.3 Non-finite to-clauses	(136)
7.5 Summary	(138)
8. System of Non-finite Clause	(139)
8.1 Introduction	(139)
8.2 The System of Non-finite Clause: preparatory	(140)
8.3 The System Networks of Non-finite Clause	(143)
8.4 Summary	(150)

9. Conclusions	(152)
9.1 A Summarising Overview	(152)
9.2 Further Research to Be Explored	(156)
References	(157)

List of Figures

- 2-1 Halliday's rank scale model
- 2-2 Minimal bracketing in relation to the scale of rank (Halliday 1994/2000: 24)
- 2-3 Mood of non-finite clause with Subject
- 2-4 Modal Adjunct in non-finite clauses (Halliday 1994/2000: 90)
- 2-5 The ideational function of non-finite clauses
- 2-6 Interpersonal analysis of Adjunct in non-finite clauses
- 2-7 Indeterminacy in the textual analysis of non-finite clause
- 3-1 The improved rank scale model
- 4-1 The system of element (group) (Halliday and Matthiessen 1999: 177)
- 4-2 Clauses combined by the relator
- 4-3 Finite and non-finite clauses combined by the relator
- 4-4 Hypotactic verbal group complex: phase (Halliday 1994/2000: 280)
- 4-5 Non-finite element as conflation
- 4-6 Clause complex construed out of two processes
- 4-7 Thematic reanalysis of a non-finite clause with conjunction
- 4-8 Thematic analysis of a non-finite clause with preposition
- 5-1 Taxis and type of interdependence (Matthiessen 1995: 129)
- 5-2 Phenomenon in different types of mental process (Halliday 1994/2000: 118)
- 5-3 Non-finite clause as Macro-phenomenon
- 5-4 Non-finite -ing clause as Meta-phenomenon
- 5-5 Analyses to be reconsidered
- 5-6 Reanalysis of some constructions
- 6-1 The manifestation of traditions in the study of meaning (Halliday and Matthiessen 1999: 418)
- 6-2 Ideational cline in non-finite -ed clauses in (46)
- 6-3 Textual cline in non-finite -ed clauses in (47)
- 6-4 Ideational cline in non-finite to-clauses in (49)
- 6-5 Textual cline in non-finite to-clauses in (49)
- 6-6 Ideational cline in non-finite -ing clauses in (50)
- 6-7 Textual cline in non-finite -ing clauses in (50)
- 6-8 Cline in the restriction of participant roles
- 6-9 Cline in non-finite to-clauses as projection
- 6-10 Cline from clause to clause complex (Halliday and Matthiessen 1999: 118)
- 6-11 Cline starting from non-finite -ing clause up to clause complex
- 6-12 Clinisation
- 6-13 Clinisation between units
- 7-1 A comparison of lexical metaphor and grammatical metaphor

- 7-2 Grammatical metaphor in Halliday's thinking (Hu 2000a: 88-94)
- 7-3 Semantic units and the corresponding grammatical units
- 7-4 Double transitivity analysis of predicated Theme (Thompson 1996/2000: 176)
- 7-5 Text base as the realisation of interaction base and ideation base
- 8-1 The system of non-finite clause in Quirk et al. (1985)
- 8-2 Hudson's system of non-finiteness (Hudson 1971: 138)
- 8-3 Halliday's first system network of finiteness (Kress 1976: 125)
- 8-4 Halliday's recent system network of finiteness in English (Halliday 2002)
- 8-5 System network of Mood in non-finite clauses
- 8-6 System network of Theme in non-finite clauses
- 8-7 System network in non-finite clause identification
- 8-8 System network of logico-semantic features of non-finite clauses
- 8-9 System network of non-finite types of phenomenon