WENHUAYUJINGYUYUPIAN

文化语境与语篇

——从语篇体裁的角度分析《老人与海》

李国庆 著

陕西人民教育出版社

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Contextual Conditioning in Text

——A Genre-Centered Analysis of *The Old Man and the Sea*

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序

李国庆是我1998年招的首批三名“功能语言学”博士生中的一位；和同级的另外一位博士生一样，她硕士期间的研究重点是文学，而不是语言学。但在中山大学几年的学习证明，李国庆在语言学研究方面也能做得非常成功。我在给李国庆的师弟常晨光博士的新著《英语习语与人际意义》（中山大学出版社，2004）写的序中说到，多年来常常有人问我，报考我的博士是否硕士学位论文一定要做语言（学）方面的，而我的简单回答是“不用”，因为我认为，如果一个人的文化功底深，语言修养好，有悟性，有学术研究潜能，得到合适的训练，无论硕士阶段是做语言还是文学、文化、翻译等研究，在博士阶段都可以在语言学研究方面做得很好。在我已经培养出的11名博士生中，就有4位原先是学文学的（李国庆、曾蕾、常晨光、戴凡），他们的成功就证明了我的观点。值得一提的是，当年指导我撰写硕士论文的王多恩教授是美国文学研究方面的专家。

近年来，国内外有越来越多的学者热心研究语篇体裁（genre）的问题。尽管这些学者为这一问题所贴的标签会不尽相同（文体、文类、体裁、语类等等），他们的研究视角也不完全一样（语言学、文体学、文艺学、叙事学等等），但从大体上讲，这些学者似乎都有以下的一些基本共识：1）语篇体裁的研究偏重的是语篇的框架；关注的是怎么说，而不是说什么。2）语篇体裁体现的是思维方式，是一种文化符号。欧洲的骑士文学，中国的田园诗，达翰尔的船歌，无一不是深深扎根于各自的文化土壤之中。3）语篇体裁有历史演变的维度。汉朝的赋，唐朝的诗，宋朝的词，元朝的曲，明清的小说，每个时代都有它

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经典的话语方式。

我很高兴李国庆选择了语篇体裁作为博士学位论文的研究课题。她的研究立足于韩礼德(M. A. K. Halliday)的系统功能语言学。据我所知,系统功能语言学对语篇体裁的关注可以上溯至人类学家马林诺夫斯基(B. Malinowski)对特罗布兰德岛做的文化研究,后来被"伦敦语言学派"的创始人弗斯(J. R. Firth)发展成为"限制性语言"这一经典概念。在弗斯较为年轻的同事中,米歇尔(T. F. Mitchell)曾经运用情景语境的理论框架来研究昔兰尼卡的买卖活动,可谓系统功能语言学传统中完整意义上研究语篇体裁的开山之作。而这一研究传统得到韩礼德、哈桑(R. Hasan)、马丁(J. R. Martin)等人的继承和发展,可谓是薪尽火传,后继有人。

记得我 1985 年在考虑自己的硕士学位论文研究对象(语料)时,导师王多恩教授建议我选择海明威的获奖小说《老人与海》;但限于当时的研究的范围、重点和时间,我最后选择了海明威的短篇小说《杀人者》,所用的理论框架是韩礼德系统功能语言学中的及物性分析。导师同情、理解和尊重我的选择,并给予很大的支持,这对我是极大的鼓舞和鞭策。海明威是大家所熟悉的美国作家,他的《老人与海》所塑造的"硬汉子"形象已经深入人心。作为"迷惘的一代"的代言人,他深沉、含蓄的风格和简洁、明快的文字激动了一代又一代人。他的名字挣脱了阶级、时代的束缚,是人性的理想代表,是正义的化身。《老人与海》中的孤独的老渔夫桑提亚哥不仅仅是条硬汉,他身上所体现的自信、勇敢、刚毅、不屈不挠的精神价值,可以说是古希腊悲剧精神的现代回响。

多年来，我一直对自己当年撰写硕士学位论文时没有研究《老人与海》而感到遗憾，而导师王先生的早逝使我永远失去向他请教《老人与海》有关问题的机会。当我听到李国庆准备在博士论文中研究这部伟大的作品时，我倍感欣慰。她不但使我了却了一件心事，而且也圆了我当年的一个梦想；在某种程度上说，这是延续了导师的学术生命。

李国庆博士在攻读学位期间刻苦耐劳，兢兢业业，学习和工作两不误。为人母，为人妻，还要为女博士，实属不易。她刻苦钻研，孜孜以求。其成绩可圈可点，其精神可钦可佩。李国庆获得博士学位后，很快做出了几件令我们大家非常高兴的事，这也是她多年努力的结果和回报。如今她根据博士论文整理的专著将要出版，作为导师，我自然乐于说几句话。至于李国庆教授学术论著中的精彩之处，我想还是让大家自己去品尝、去体会、去享受。

黄国文

2004 年 9 月 29 日于美国斯坦福大学

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This thesis is the work of mine. But it would be more correct to say that it belongs to many people who have offered me their consideration, comments, and suggestions in many ways.

First and foremost, I would like most sincerely to thank my supervisor, Professor Huang Guowen, who aroused my interest in Halliday's SFG and in text analysis. Over the last four years, he has taught me how to pursue the study during the various stages of my research work, and provided me with many valuable suggestions and insightful comments. Although he is younger than I, he indeed showed me greater patience, kindness, understanding and encouragement than can be described in words. It is no exaggeration to say that my work would have been absolutely impossible without his help. I consider that he is the best supervisor one could wish for.

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My family deserves my special thanks. My parents have given me their consistent encouragement, understanding and loving support for my work. My elder son Jingchen showed a great concern not only for my work but also for my health, and gave me much encouragement. My younger son, Rongchen, gives me spiritual support and happiness all the time.

Finally, I am immensely grateful to Zhao Gang, my husband, who sincerely gives me all the help he can offer, and the support I get from him is so great and important that it is barely describable.

Abstract

The aim of this Ph. D. thesis is to investigate the concept of the generic quality of text and to examine the contextual conditions in text within a systemic functional approach by examining a literary text, which is Hemingway's *The Old Man and the Sea*. The research work on the explanation for the generic variation of text is mainly carried out in the aspect of the generic structure which is cultural context-oriented. The exploration for text typology is carried out within a multi-leveled approach by correlating the choices of the linguistic units in text with those at the particular stages of the generic structures, and thus to genres as a whole. The text interpretation is done by recontexualizing the linguistic choices through the means of setting them in the connotative contextual surroundings.

In order to identify text typology, the thesis places the delicacy on the scale of the micro-register texts embedded in the Complication part of the macro-genre of the novella, which may occur at different stages at the macro-level. In our research on identifying and accounting for different types of text, it is not only practically possible but also theoretically sound to consider the text synoptically in order to discover the underlying systems, which can be described via the functionally-motivated generic structures. In order to interpret and evaluate the text at the macro stratum, it is theoretically reasonable though practically difficult to consider the text dynamically, which is considered to be a complementary system to the synoptic system of text analysis.

The research reported in this thesis can be divided into two parts. The first part in Chapter Two, Chapter Three and Chapter

Four is concerned with the literature review at the theoretical framework employed in the thesis, the focus of which is on Halliday's systemic functional approach to the study of language and genre. Hasan's register model of text and Martin's genre model of text are given a comparatively detailed description, which constitute the primary theoretical models for the ensuing text typology and text interpretation work. In addition, the nature of genre, especially the nature of the literary genre, is discussed in detail. Through the discussion the necessity of employing both synoptic and dynamic systems in the text analysis is accounted for. The second part is composed of five chapters from Chapter Five to Chapter Nine, which is mainly concerned with the practical text typology and text interpretation within the theoretical framework proposed in stage one. Chapter Five to Chapter Eight focus on the practical text typology. In order to achieve satisfying results, the thesis places the delicacy on the scale of the micro-register texts embedded in the Complication part of the novella. The study of practical text typology is carried out in a multi-leveled fashion ranging from the discussion of the genre plane, of the register plane, and of the lexico-grammatical plane, and thus five types of text are identified. They are: narrative texts, opinion texts, descriptive texts, hortatory texts, and observation texts. The finding that different choices in contextual conditions brought about by different purposes can help bring about different choices in the generic structure in text, and thus different types of text proves the general hypothesis that genre gets into text through the generic structure. The finding that to varying degrees choices at the level of context are correlated with and determine the choices of the linguistic units in text in a realizational manner supports the probabilistic model of language in context. The text typology work is mainly carried out in a synoptic manner. Chapter

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Ten focuses on recontextualizing and evaluating the novella, which is carried out from the perspective of the three metafunctions based upon the dual order context theory. The analysis in the present research demonstrates that the deliberately designed balance of the sea wave-like rhythm echoed throughout the novella is in harmony with one of the novella's main themes Hemingway wants to reveal the ecological natural balance of Nature's laws. Then the novella's balanced rhythmical macro-structure achieved through the regular alternation of different types of micro-register text also matches the subject. This finding of the equilibrium between matter and manner, between content and form, foregrounds a semiotic viewpoint on language——language as social semiotic is correlated with the extra-linguistic institutional and cultural connotative context in a metaphorical way, and vice versa. The text interpretation work is mainly carried out in a dynamic manner. Chapter One of the thesis serves as the Orientation, providing a general framework for the thesis, and Chapter Ten as the Coda, making some conclusions and suggestions for further studies.

Key words: systemic functional approach, genre, *The Old Man and the Sea*, context, text

论文摘要

本论文以系统功能语言学为理论框架，以海明威的《老人与海》为语料，研究语篇体裁作为文化语境是如何在语篇中得以实现的。

本论文共分十章。第一章是导言。第二、三、四章是文献回顾及理论框架的阐述。第二章从三个方面回顾了 Halliday 的语言符号观：语言作为系统，语言作为社会习俗，语言作为隐喻。第三章回顾了一些有影响的流派（如民间传说研究，社会语言学，系统功能语言学等）关于语篇体裁的研究。重点介绍了功能语言学者 Hasan 的语域理论和 Martin 的语篇体裁理论。他们的理论构成了本文研究的主要理论框架。在这一章里，我们还讨论了语篇体裁，特别是文学语篇体裁的本质。并对静态和动态两种互补分析系统在语篇分析研究中的重要性进行了阐述。在第四章中，我们回顾了 Labov 的叙事体模式，Hoey 的"问题与解决"模式和 Martin & Rothery 的主题叙事体模式。

第五章至第九章是语篇体裁类别的具体分析部分。分析采用层阶化模式。第五章分析了这一小说中所嵌入的五种不同类型的微型语域：叙述、观点、描述、劝告、观察。它们分别完成五种不同的交际目的，以不同的语篇体裁结构潜势出现在语篇中，并在宏观语篇中充当不同的功能成分。第六章讨论了三个语境变量（语场、语旨和语式）与语篇及语篇体裁构建之间的关系。第七章分析主位系统与语篇体裁的关系，分别考察了概念主位、人际主位和语篇主位在不同语篇中所呈现的不同的分布状况，并对主位推进模式与语篇体裁构建之间的紧密联系进行了分析论证。第八章从及物系统和语篇类型之间的关系入手，对及物性系统在小句层面不同过程类型的选择与语篇分类之间的关系进行了分析论证。第九章重点分析论证了作者如何通过不同的微型语域有规律的切换，来取得《老人与海》这部小说宏观结构上的富有波浪式节奏感韵律的平衡，并就海明威所做的此种语式的选择结合作品内容给予了解释。

第十章是结论部分。本文的基本结论是：语言是一个受语境制约的

符号系统。不同的语境条件下所产生的不同交际目标的选择决定了人们对不同语篇体裁结构的选择。语篇体裁是通过语篇体裁结构潜势进入语篇的。语篇体裁结构选择在词汇— 语法层面得以实现，二者具有相关性，语言因此在本质上具有或然性。语言只有在特定的文化语境中才能得以正确的解释。

关键词：系统功能语法，语篇体裁，《老人与海》，文化语境，语篇

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