英语语言文学博士论丛

言据性的系统功能研究

房红梅 著

苏州大学出版社

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A Systemic-Functional Approach to Evidentiality

房红梅 著

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序

苏州大学自2000年起，每年拨专款资助出版博士学位论文，既为博士们解决了学术著作难以正式出版的问题，又为广大读者提供了学习和交流的内容，真是为推动学术研究做了一件极有意义的实事。

继严世清、苗兴伟和徐健之后，房红梅博士和高明强博士最近也获得了这样的机遇。在论文付梓前，她要我写几句话为序。作为导师，我很愉快地接受了这个任务。

房红梅是2002年9月进入复旦大学攻读博士学位的。在此之前，她在苏州大学学习、工作，硕士阶段得到了严世清教授的悉心指导，加上自己的刻苦努力和天赋，在语言学方面打下了扎实的理论基础，掌握了基本的研究方法。进入复旦之后，除了在功能语言学方面有了进一步的长进之外，她还通过听课、看书、参加学术沙龙、写文章等多种方式，涉猎了认知语言学、语用学、符号学等诸多领域，开阔了学术视野，提高了理论修养和独立研究能力。2005年夏天毕业后，她回到苏州大学继续执教。一年来，我始终关注着她的境况。令我欣慰的是，传来的都是好消息！博士论文即将出版，便是其中之一。

房红梅论文的题目是“言据性的系统功能研究”。所谓言据性，就是指说话人对信息/知识来源以及对信息/知识可靠程度的说明。言据性研究始于西方，得到了广泛的关注，但我国国内的研究可谓凤毛麟角，博士论文以此为题这还是第一次。仅从这一点来看，房红梅的论文就具有开拓性的意义。此外，她第一次尝试着将Halliday的系统功能语言学理论（尤其是人际功能理论）应用于

言据性研究，并重点讨论了系统功能语言学与言据性研究之间的互补性。在讨论了 Halliday 和 Martin 等人的相关研究与言据性研究之间的联系之后，指出认知不确定性也是人际意义的一个重要方面。这不仅加深了对言据性的认识，而且反过来丰富了Halliday的人际功能思想。从这一点来看，她的论文更加具有创新价值。

写论文拿学位，只是个人得益的事。论文公开发表，供他人争论、学习和借鉴，则会促进学术事业的发展和社会的进步。正是出于这个想法，我向房红梅表示祝贺，并希望她的论文出版之后能得到一定的回应。同时，我也热切地希望她继续努力，在科学研究的道路上上下求索，永不止步。

朱永生

2006 年 6 月于上海三湘世纪花城

前　言

言据性是指说话人对信息/知识来源以及对信息/知识可靠程度的说明。言据性在语法层的体现被称为“据素”或“据素标记”，其表现形式主要有两种：形态据素和词汇据素。

本书旨在在系统功能语言学的框架下探讨言据性问题。这里所涉及的系统功能语言学，既包括韩礼德的系统功能模式，也包括马丁等人的新兴的、被视为系统功能语言学新发展的评价理论。近年来，越来越多的语言学家开始关注并致力于言据性问题的研究，言据性问题似乎正趋向为语言学研究领域的一个新热点。尽管如此，系统功能语言学还没有把言据性的语言现象纳入同一个独立的范畴之下进行研究。言据性是一个新兴的研究课题，目前的研究尚处于上升阶段，因而不可避免地存在许多需要完善的地方。鉴于此，本书指出，言据性研究和系统功能语言学在研究言据性语言现象方面是可以相互补充的。系统功能语言学的理论框架与成果可以改善言据性研究目前“琐碎”的研究现状。对于这一点，书中主要是从言据性的本质及其人际功能两个方面来探讨的。与此同时，言据性研究的某些成果也可以成为系统功能语言学的必要补充。言据性研究认为，对信息来源的说明往往暗示说话人对信息可靠性的不确定性。因此，笔者认为，及物性过程不仅体现评价人际意义，某些及物性过程还体现认知不确定性这一重要的人际意义。这一点在目前系统功能语言学的人际意义研究中并没有被涉及。

第一章简单介绍了什么是言据性以及言据性在语言中的普遍存在性。

第二章主要是对目前的言据性研究作简单的介绍与总结。首先回顾了言据性研究几十年的发展历程，继而探讨了言据性的定义、分类、目前研究的特色与方向等问题。其次，言据性与认知情态、主观性等的关系也被分别作了阐释。最后，对目前的言据性研究进行了评价，指出了其目前所存在的优势与不足之处。笔者认为，目前言据性研究的最大不足之处就在于其理论构建方面非常薄弱，其研究过于具体与琐碎，没有达到元理论的层次。

第三章表明，系统功能语言学虽然没有把言据性作为独立的范畴来研究，但言据性的语言现象已被从不同的角度进行了阐释。韩礼德主要从及物性系统、情态、人际隐喻等方面来研究言据性语言现象；马丁等人从评价理论的角度也对言据性语言现象作了一定的阐释。在介绍韩礼德模式与评价模式的过程中，笔者把它们与言据性研究都分别作了简单的比较，逐一剖析了两种模式的优点和缺点，并认为，系统功能语言学与言据性研究在探讨言据性语言现象方面是可以优势互补，相互完善的。本章还对它们之间互补的具体方面作了尝试性探讨。

第四章主要是根据系统功能语言学的理论来探讨言据性的本质问题，着重于以下四个方面。首先，言据性揭示了语言、语言使用者、世界这三者之间的互动关系，反映了语言使用者对世界的认知角度。第二，言据性在本质上是主观性的。任何言语都刻有显示说话人主观视角的烙印。第三，言据性是一种动态而非静态的语言现象，反映说话人与听话人在特定语境中动态的言语交流。第四，言据性体现语言的人际意义，协调交际双方的人际关系。

第五章指出，与其他两种语言元功能相比，人际功能的构建似乎相对不足，需要进一步完善与补充。就具体的研究而言，韩礼德认为，人际意义主要是通过语气与情态系统来体现的。而笔者认为，除了语气与情态系统以外，及物性系统也体现人际意义，尤其是那些在言据性研究中被视为表达信息来源的及物性过程。这一

点评价理论从评价的角度探讨了某些及物性系统的评价性人际意义，但对于及物性系统中有关认知不确定性方面的人际意义仍没有涉及。因此，言据性在这方面的研究成果可以进一步补充完善系统功能语言学的人际意义框架。此外，本章还讨论了据素的三种具体的人际功能：协商人际关系的功能、疏远与信息之间距离的功能、分享或逃避责任的功能。

第六章是全书的总结，得出了一些尝试性结论，同时也指出了本书尚未解决、有待以后解决的一些问题。

房红梅

2006 年 3 月于苏州大学

Foreword

Evidentiality is about the speaker's expression of source of information and his commitment to the reliability of information. The linguistic forms of evidentiality are termed evidentials or evidential markers.

This book aims to approach evidentiality within the systemic-functional framework. It includes M. A. K. Halliday's model as well as J. R. Martin's appraisal theory, which is regarded as a new development of the systemic-functional linguistics. Although recent years have witnessed a surge of interest in evidentiality, the linguistic phenomena of evidentiality are still not dealt with as an independent category in systemic-functional linguistics. As evidentiality is a recently rising research topic, evidential studies are unavoidably in great need of further improvements. Accordingly, it is argued in this book that the evidential approach and the systemic-functional approach are mutually complementary in certain respects. The theoretical concern and achievements in systemic-functional linguistics may improve the "trivial" research status of evidentiality, which will be explored primarily in two respects, namely the nature of evidentiality (Chapter 4) and the interpersonal functions of evidentiality (Chapter 5). In the meantime, evidential studies may also help to improve the systemic-functional linguistics. The epistemic uncertainty in some expressions of the transitivity processes, though significant in negotiating interpersonal relationships between interlocutors, is disregarded in both Halliday's interpersonal model and Martin's appraisal theory.

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With a brief introduction to evidentiality and the universal and pervasive nature of evidentiality in languages, Chapter 1 provides the objectives and the general framework of this book.

A critical review of the study of evidentiality is made in Chapter 2 while introducing issues concerning current studies of evidentiality, namely the definitions and classifications of evidentials, and current research features and orientations, with a historical account of the development of the studies of evidentiality as the point of departure. The relationships between evidentiality, epistemic modality, and subjectivity are also tentatively discussed here. After a critical evaluation of the present study of evidentiality, its advantages and inadequacies are revealed. Being good at detailed explanations of particular evidentials, the present studies of evidentiality seem to be weak in the theoretical generalization at a metatheoretical level.

As a matter of fact, the phenomenon of evidentiality is a meeting ground for different theories. Adopting different terminologies, different theories approach the phenomenon of evidentiality from different perspectives aiming at different theoretical goals. Halliday approaches the phenomenon of evidentiality from the perspectives of the transitivity system, modality, and interpersonal metaphors. With a brief introduction to the appraisal theory initiated by Martin and some others of the SFL School, a tentative comparison with evidentiality is made. The systemic-functional approach, either Halliday's model or Martin's model, has its advantages and disadvantages in handling the evidential phenomena. It has been argued in Chapter 3 that the current evidential approach and the Hallidayan approach are mutually complementary. The specific aspects of complementarity are tentatively explored.

Chapter 4 offers an investigation into the nature of evidentiality

within the systemic-functional framework. First, evidentiality serves as the linguistic means to reveal the relationship between language, language user and the world, reflecting the language user's epistemological stance towards the world. Second, it will be argued that evidentiality is inherently subjective. Every utterance is imprinted with the speaker's subjective point of view. Third, the nature of evidentiality lies in the fact that it reflects the dynamic properties of the verbal communication between the speaker and the hearer in specific communicative contexts. Fourth, evidentiality realizes the interpersonal meanings of language.

The construction of the interpersonal metafunction in SFL seems to be comparatively inadequate as compared with the elaborations of the other two metafunctions. According to Halliday, the interpersonal meaning is mainly realized through the mood and modality system. It is proposed in Chapter 5 that in addition to the mood and modality system, evidentiality, especially those expressions of information source, can also realize the interpersonal functions, which seems to have been neglected in Halliday's framework. The interpersonal value of epistemic uncertainty in some transitivity processes is pointed out and explored. In echo with Chapter 3, this chapter is devoted to the explorations of the interpersonal functions of evidentiality within the systemic-functional framework. In addition to the functions of expressing the information source and the uncertainty of the speaker, evidentiality can also have functions of negotiating interpersonal relations, distancing the speaker from the stated information, and sharing or shifting responsibility.

Chapter 6 is intended to offer some tentative conclusions and some suggested topics for future researches.

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Chapter 1
Introduction

1.1 What Is Evidentiality?

> The Wintu never say it is bread. They say, 'It looks-to-me-bread' or 'It feels-to-me bread' or 'I-have-heard-it-to-be bread' or 'I-infer-from-evidence-that-it-is-bread' or 'I-think-it-to-be-bread', or 'vaguely and timelessly, according-to-my-experience-be bread'.
>
> (Lee, 1959: 137)

The quotation above illustrates a linguistic phenomenon that in many languages, as in the above-mentioned Wintu language, the source of information is grammatically or lexically marked in utterances. This is called *evidentiality*, which is about the speaker's expression of source of information/knowledge and/or the speaker's commitment to the reliability of information/knowledge. The linguistic forms of evidentiality are termed *evidentials* or *evidential markers*.

Evidentiality is actually a kind of representation of the speaker's epistemological coding of the source and reliability of information or knowledge. As we know, there are things people are sure of, either because they have reliable evidence for them, or probably more often because they have unquestioning faith that they are true. There are things people are not sure of, and some things they think are only

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