



· 语言学论丛 ·

# 批评性跨文化阅读的 主体间评价研究

唐丽萍 ©著

*APPRAISAL Research: An Intersubjective Model of Critical Intercultural Literacy*

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著 唐丽萍

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网址 <http://www.pup.cn>

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电子邮箱: [fd@pup.pku.edu.cn](mailto:fd@pup.pku.edu.cn)



**唐丽萍** 1972年12月生，河北保定人。1994年毕业于河北师范大学外语系，获得学士学位，留校任教；1998年考取该校英语语言文学专业硕士研究生，师从田贵森教授，2001年毕业，获得硕士学位；2002年考取北京师范大学英语语言文学专业博士研究生，师从胡壮麟教授，2005年毕业，获得博士学位。现为河北师范大学外国语学院英语系副教授，硕士生导师，河北师范大学中青年骨干教师，中国功能语言学会和中国话语语言学会会员。研究方向为系统功能语言学、话语分析和外语教学。近年来，在《外国语》、《外语学刊》、《国外外语教学》等国家级核心刊物上发表论文多篇，主编教材一部，已经主持完成河北师范大学青年基金课题一项，目前正在主持河北师范大学博士基金课题一项，主持河北省哲学社会科学规划课题一项。

## 前言

本书基本定位于系统功能语言学与英国英语教育两个研究领域之间的对话。本书通过构建“批评性跨文化阅读”(Critical Intercultural Literacy, CIL)的主体间模型,以评价理论(APPRaisal theory,系统功能语言学内部正在发展中的人际元功能理论)为语篇分析工具,以2004年《纽约时报》和《华盛顿邮报》上的六个媒体语篇和十个中国大学二年级英语专业学生的信件语篇为语料,研究中国英语学习者身份的阅读主体与英语写作主体在跨文化阅读中如何相互定位彼此的立场,从而通过提供语言证据来为培养CIL这一教育目标提出启示。

“批评性阅读”(Critical Literacy, CL)是Fairclough建立在系统功能语言学基础之上的批评性话语分析(Critical Discourse Analysis, CDA)在教育领域中的应用。在中国英语教育和CDA两个研究领域中存在的问题就成为本研究的出发点。文献表明中国的英语教育对于全球化的历史新环境所带来的机遇和挑战缺乏敏锐深刻的认识。研究CL的文献十分有限,而且还存在三个主要问题:(1)对于什么是CL概念模糊;(2)对于为什么要提倡CL还有待哲学理论的支撑;(3)对于如何培养CL还停留在对CDA话语分析工具的简单零碎地介绍和例示,还没有深入到对中国英语学习者的跨文化阅读实践的研究和系统的框架构建。从语言学的层面来看,CDA存在的两个问题与本研究密切相关:(1)CDA一直将研究重点放在语篇的生产过程,赋予CDA分析家们以解释的权威,而未将读者在解释过程中的主动性和差异性纳入到CDA的实践;(2)CDA主要将单一的社会作为分析目标,几乎还没有触及全球化的历史新环境所带来的语言和文化身份的问题以及与后殖民主义文化研究的对话。另外,评价理论,作为在系统功能语言学内部新发展起来的分析框架,与CDA的对话还有待进一步加强,与后殖民主义文化研究的对话还基本没有开始。

本书的第一章是前言。第二章是综述。第二章在批评社会理论,后现代主义和后殖民主义的哲学理论基础之上,对CIL做出清晰的定义,并且阐释了为什么21世纪的中国英语教育应该将CIL作为培养目标。CIL建立在将语言和文化看做是在政治、经济、文化不平等分布的跨文化语境中建构的

观点之上。它是一种使英语学习者超越基本的阅读技能,识别语言中隐含运作的权力,使他们从西方霸权话语的控制之下解放出来的一种能力。

第三章针对 CDA 的主要问题,受到 Bakhtin 的“对话理论”和 Habermas 的“主体间理性”的启发,在 Fairclough 的三维框架基础之上,融入主体间视角构建了 CIL 的主体间模型,来研究跨文化语境下围绕语篇进行的批评性的教育实践。在该模型中,语篇的生产与解释过程被构建为写作主体与阅读主体之间的动态的相互定位。除了“作者”和由作者产生的“语篇”两个节点之外,该框架将读者置于中心,并且将其进一步具体化为三个节点——“读者”、“理想读者”、“一系列可变的阅读立场(顺应、漠视、抵抗)”,每三个节点之间的相互作用代表语篇生产或解释的一个过程。在 CIL 的主体间模型中,读者被赋予了积极参与的角色,阅读立场的问题被突出。该模型将跨文化阅读体现为一种平等的、开放的、具有解放作用的对话。本书中应用到该模型的分析工具为评价理论。

第四章对话语篇的生产过程,通过对六个媒体语篇做评价分析,研究英语写作主体是如何使理想读者立场中立化的。研究发现态度定位和介入定位的相互作用可以在很大程度上实现对潜在读者的人际控制。本章从评价理论中抽选出来的态度定位下的“评价范畴”、“评价方式”、“评价取向”,以及介入定位下的“单声”、“对话关闭”、“对话开放”可以作为新的批评性话语分析工具来加强 CDA 的研究。

第五章对话语篇的解释过程,以第四章中对中立化读者过程的分析作为参照点,与十个中国的英语学习者身份的阅读主体所持的实际阅读立场进行了对比研究。在对样本语篇进行评价分析和数据分析的基础之上得出以下发现:(1)研究对象基本上不能通过持“积极的顺应阅读立场”达到 CIL 的起点——“理想读者”。他们对于态度评价的韵律特点与介入资源的对话功能没有意识很可能是问题所在;(2)研究对象缺乏批评性跨文化意识。他们没有认识到阅读是社会文化构建过程,不能对媒体语篇中的权力运作提出挑战;(3)与西方经济话语和文化话语相比,研究对象对其政治话语更加敏感警惕。他们对于英语的全球化和西方文化的优越性缺乏批评性的认识,反映出现行的一些英语教学实践可能已经无意识地加强了西方的文化霸权;(4)除了所发现的上述问题之外,另外一个很有意思的发现是该研究还在一定程度上反映出中国的教育重视道德的培养,赋予了中国的阅读主体一种强烈的道德责任感来更多地关注伦理道德方面的对与错;(5)该研究基本上证实了 CIL 不会随着基本阅读技能的提高而自动获得,因而,中国的英语教学迫切需要有意识地进行 CIL 的培养。这些发现对在当前全球化

的历史环境下如何培养 CIL 具有启示意义: (1) 提高中国英语学习者的批评性跨文化意识, 为破除西方霸权, 使他们有意识地掌握西方的权力话语, 例如后殖民主义话语, 资本主义的政治话语和经济话语; (2) 将评价理论作为新的 CDA 工具融入到教学实践; (3) 将英语教育重新定位为赋予权力的解放实践。

本书在第六章的结论部分, 对该研究在批评性话语分析、评价理论以及批评性阅读几个研究领域中有望做出的贡献总结如下:

从理论构建的层面来看, 本研究通过融入主体间视角, 构建了描述和培养 CIL 的主体间模型, 赋予了读者在解释过程中更为积极参与的权力, 在一定程度上消解了 CDA 一直以来遭遇的主要批评之一, 即 CDA 一直将研究的重点放在语篇的生产过程, 赋予 CDA 分析家们以解释的权威, 而未将读者在解释过程中的主动性和差异性纳入到 CDA 的实践, 从而使 Fairclough 的三维模型得到加强。另外, 从本研究要解决的具体问题来看, 新模型将 CIL 的本质进一步明确为以语篇为媒介的跨文化主体之间相互定位彼此立场的意义协商, 将其体现为一种平等的、开放的、具有解放作用的对话, 这为研究在跨文化语境下围绕语篇进行的批评性教育实践提供了非常理想的模式。

从语言学话语分析的层面来看, 本书对于批评性话语分析和评价理论两个领域的研究都有所拓展和丰富。Chouliaraki 和 Fairclough 在 20 世纪末出版的著作《对批评性话语分析的再思考》(1999) 中, 明确指出 CDA 应该在新世纪向后现代方向发展的趋势, 例如, CDA 应该将“话语是如何被解释的(话语解释的多样性)问题纳入到分析之中”(1999: 61), 以及 CDA 应该加强与后殖民主义文化研究的对话, 将殖民化/反殖民化、全球化/本土化、控制/反思、同一/差异等问题纳入新的研究议程(1999: 93-97)。本书将长期以来一直被很多种语篇分析方法所忽略的阅读立场的问题推到前台, 研究在中国英语教学语境下的跨文化阅读主体之间的对话协商, 这些都是对将 CDA 向后现代方向推进的积极响应。另外, 一直以来, CDA 对于评价资源的处理都是一带而过的, 评价理论的构建和发展使得系统深入地揭示如何利用评价资源来实现对潜在读者的人际操纵成为可能, 这是本研究加强 CDA 的另外一个方面。当然, 这种拓展和丰富是相互的。本研究在加强评价理论与批评性话语分析和后殖民主义文化研究之间的对话的同时, 也为检验和拓展新近发展起来的评价理论提供了平台。

从英语教育实践的层面来看, 宏观上, 本研究通过梳理评述西方的批评性哲学理论及其批评性教育实践, 为将 CIL 定位为 21 世纪中国英语教育的

培养目标,将英语教育重新定位为解放权力的教育实践,提供了哲学理论的支撑,为英语教育改革提供参考;微观上,本研究通过对中国英语阅读主体的信件语篇进行详细的话语分析和数据分析得出具体发现,例如,中国英语学习者缺乏批评性跨文化意识,对于人际意义缺乏敏感把握等发现将为第一线的英语教师如何在课堂上培养 CIL 提供启示。

当然,由于受到具体的研究目的、研究方法、书写篇幅和笔者水平所限,本书在使一些问题得到解决的同时,也不可避免地在以下一些方面存在局限和缺憾:

本研究中所构建的 CIL 的主体间模型,将语篇的生产与解释过程构建为写作主体与阅读主体之间相互定位彼此立场的动态过程,在加强 CDA 的同时,也有可能忽略掉语篇生产与解释过程中的其他社会行为者。需要指出的是,本研究中所构建的模型并无意取代 Fairclough 的三维分析模型。新模型是针对本书中具体的研究目的和研究问题所构建,只是通过融入主体间视角,在一定程度上对 CDA 和 CL 的研究有所加强。要解决 CDA 现存的问题,还需要做出更多的努力和修正。

本研究以评价理论为分析框架应用到新构建的主体间模型,重点从人际元功能的角度研究阅读立场的问题,还有待从概念元功能和语篇元功能的角度对阅读立场的问题进行更为全面的研究。

本书以评价理论为分析框架,采用的是定性的话语分析研究方法。该方法使得研究语篇是如何通过纵横交错的词汇语法选择网络,来动态多重地实现意义成为可能,从而获得了用其他的诸如访谈、问卷等研究方法无法获得的具有启示意义的发现。但是,受其所限,该研究的语料数量,在一定程度上局限了研究发现的普遍性。尽管为了避免该研究方法所带来的这种局限性,本研究在语料的选择上,尽量保证其代表性和有效性,而且事后通过将所得发现放回到由 65 个写作样本构成的更大原始语料库中进行检验,已经基本上证明本研究发现并非是偶然所得而是具有一般意义的。但是,需要指出的是,话语分析与语料库研究的联姻将是话语语义学研究的发展趋势,也是其面临的一个巨大挑战。

本研究已经通过构建 CIL 的主体间模型和提供一些语言实证来为培养 CIL 进行有效的教育干涉提出了具体有益的启示。但是,如何使本书中所提出的主体间模型为第一线的英语教师在课堂上应用,如何培养学生的批评性跨文化意识,如何使得学生掌握评价资源作为批评性话语分析的工具,都还需要更多实证研究的支持。本书认为以培养发展 CIL 为目标的教师行动研究将是得到具体的可操作的教育方法的有效途径。

## 前 言

在我的博士论文写作、评审、答辩、出版的过程当中,我深切地感受到学术界前辈对后生的殷殷期待之意和拳拳爱护之心。这将永远激励着我去继续解决本研究未能解决的问题。本书中诸多纰漏和不妥之处,敬请各位前辈、学界同仁批评指正、不吝赐教。

唐丽萍

2006年6月

于河北师范大学

## Preface

When Beijing Normal University hosted the 2006 National Systemic Week in April, I was excited to find the presence of Liping, who had been awarded a doctor degree under my supervision in the capacity of guest professor of that university. The distance between Shijiazhuang and Beijing is not very far, a matter of a 3-hour drive, and contemporary digital communication enables us to send greetings at whatever time we like, yet nothing is more valuable and meaningful than having a vis-à-vis rendezvous. Liping was as young and pretty as before, yet added with a touch of maturity in her academic stance. She is now an associate professor and M. A. supervisor of Hebei Normal University, lecturing a series of courses for students, such as Writing, Systemic-Functional Linguistics and Discourse Analysis, etc., getting some of her articles about classroom code-switching and APPRAISAL theory published, and to that workshop bringing a team of young scholars. Life is always a challenge, and she has met it whole-heartedly, efficiently, and successfully. Sure, this involves the planned publication of this book: *APPRAISAL Research: An Intersubjective Model of Critical Intercultural Literacy*, based on her doctoral dissertation.

To save time and space, there is no point for me to go through the whole book. Being a witness to the whole process of its generation, what I want to do here is to make some general remarks.

The book is a manifestation of Liping's 3-year hard work, during which she still had to teach some courses in order to enrich herself with inspirations and first-hand data from her students in conjunction with selections from American media texts.

## Preface

Being trained in the tradition of systemic-functional linguistics in general, Liping paid special attention to its new developments in critical discourse analysis, especially the APPRAISAL theory. The theory is relatively new among the Chinese functionalists, and I am proud that Liping has ranked herself as one of the early birds.

Liping has also managed to marry the theory with EFL education in China. Her research efforts will, undoubtedly, throw light on Chinese intercultural literacy. Thus I am glad to see that Liping has succeeded in proving that SF linguistics is an applicable linguistics. If a theory is not applicable, it cannot go very far, and scientificity will be merely a castle in the sky.

Apart from learning through her own reading, Liping knows how to learn from various sources. She benefited greatly from her encounter with Professor Shi-xu and Professor Wu Zongjie, and through the two distinguished scholars, she had chances to hold dialogues with Professor Fairclough, Professor Galasinski, and others. I would like to take this opportunity to express my gratitude to all the scholars who played a role in guiding her on the right track.

Hu Zhuanglin

School of Foreign Languages  
Peking University

June 6, 2006

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Tang Liping

Hebei Normal University

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## Abstract

This book is located at the intersection of Systemic Functional Linguistics (hereafter SFL) and EFL education in China. The aim of this book is to explore, from a linguistic perspective, how positioning and repositioning is negotiated between Chinese EFL reading subjects and English writing subjects in the intercultural reading encounters, in order to provide linguistic evidences for illuminating effective pedagogical interventions for Critical Intercultural Literacy (hereafter CIL) in Chinese TEFL context. The aim will be centrally achieved by constructing an intersubjective model of CIL and by drawing on APPRAISAL theory, a framework of interpersonal metafunction recently developed within SFL. The data for the study include 6 media texts taken from *The New York Times* and *The Washington Post* published in 2004 and 10 letter samples written by 10 Chinese sophomore English majors.

Critical Literacy is a pedagogical arm of Fairclough's CDA approach, which is based on SFL. This book with CIL as the research focus takes some problems existing in the domains both of EFL education and of CDA as points of departure. My examination of the published papers reveals that EFL education in China has been too slow to recognize the opportunities and challenges brought about by the new historical context of globalization. The existing limited literature of Critical Literacy in Chinese TEFL context has three major problems: (1) What means to be "critical" reading remains ambiguous; (2) Why Critical Literacy should be advocated remains to be solidly grounded on the philosophical frameworks; (3) How to develop Critical Literacy remains at the stage of briefly and superficially introducing a few CDA tools without being supported by any empirical evidences of the reading practices in particular local Chinese TEFL context and no one has attempted to propose a systematic model for describing and developing CIL. Two major criticisms of CDA most relevant to the present study are:

(1) The focus of CDA has been on the process of PRODUCTION, the authority of the interpretation has been ascribed to CDA analysts, the active role of audiences and the diversity of their interpretive practices has not been treated as an integrated part in CDA; (2) CDA has been mainly taking a particular society as the object of analysis. It has been almost untouched by the postcolonial theory and the issue of language and cultural identity brought about by the historical context of globalization remains very rare in CDA. With respect to APPRAISAL theory, a framework recently developed within SFL, its potentials for strengthening CDA and postcolonial cultural studies remain to be further tapped.

Chapter 1 is introduction. Chapter 2 is literature review. Based on the philosophical frameworks of Critical Theory, postmodernism and postcolonialism, Chapter 2 clearly defines CIL and justifies why CIL should be set as a valued educational goal to pursue in Chinese EFL education in the 21st century. CIL is based on the view of language and culture as socially constructed within intercultural contexts, where access to political, economic and cultural power is structured unequally. It is defined as taking EFL learners beyond the rudimentary reading skills to identify hidden power in language and empowering them from the manipulation of the Western hegemonic discourses.

Based on Fairclough's three-dimensional model and integrated into the orientation of intersubjectivity, which is inspired by Bakhtin's "dialogism" and Habermas's "intersubjective reason", a framework—an intersubjective model of CIL, is proposed in Chapter 3 in an attempt to counteract the major criticisms on CDA and explore the critical educational practices around the text in intercultural context. In the proposed model, the process of PRODUCTION and the process of INTERPRETATION are reconfigured as the dynamic intersubjective re/positioning between the writing subject and the reading subject. Besides the node of "writer" and the node of "text" produced by writer, the model puts reader at the center, which is further diversified into three specific nodes—"reader", "ideal reader" and "a range of reading positions (compliant, negligent, resistant)". Every three of the five nodes represent a process of PRODUCTION or INTERPRETATION. Within this model, reader is