取效行为

诗歌语篇

刘风光 著

认知语用文体学研究

Perlocution and Poetic Discourse

— A Cognitive Pragmastylistic Study

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进入新世纪,界面(interface)研究成为语用学关注的焦点。根据《语用学概览》(The Handbook of Pragmatics, 2004)的分类,所谓"界面"既指同一学科两个领域的交叉层面,如语用学和语义学的界面、语用学和语法的界面、语用学和词汇的界面,也指两个不同学科的交叉层面,如语用学和二语习得的界面、语用学和语言哲学的界面,等等。如此看来,前者指的是跨领域的(intersectional)交叉层面,而后者指的是跨学科的(transdisciplinary)交叉层面。但无论是哪两个领域的界面研究,都涉及语言的使用问题。

语用学和文学的结合无疑可以看作是一种跨学科的界面研究。那么,言语行为和文学语篇有什么关系?具体而言,取效行为与诗歌语篇之间存在着怎样的内在联系?从传统的视角看,这两者似乎是风马牛不相及,但从界面研究的视角看,两者构成了语用学和文学的交叉层面,便可纳入语用文体学的研究范围。刘风光教授即将出版的新作《取效行为与诗歌语篇——认知语用文体学研究》一书,基于认知语用文体学研究方法,将奥斯汀言语行为理论中"取效行为"这一概念应用于分析文学诗歌语篇,为文学语篇分析提供了新的语言学视角。阅读此书,读者便会找到前面提出的问题的答案。此书内容充实,视角新颖,不但对语用学的拓展有理论意义,而且对文学研究及教学也有启示作用。

语言学和文学在外语教育中长期以来各立门户、各走各的路,其结果出现了"重语轻文"的现象,也就是重语言技能的培养,而忽视文学文化素质的培养。实际上,文学语言是语言的精华,可为语言能力的发展提供食粮。丰富的文学体裁和鲜活的文学语篇理应为语言学研究提供分析的语



料。因此,开展语言学和文学的交叉研究可以拓宽语言研究的范围,也有利于激活文学语言的魅力,更有利于激发对文学的兴趣和加深对文学的理解。从这个意义上讲,对于高素质外语人才的培养也显得非常重要。

刘风光教授的学习经历,从学士学位到硕士学位再到博士学位,主要就读于东北师范大学。作为她的硕士和博士学位指导老师,我对她有着特殊的偏爱。她是一个有理想、有追求、有责任的女性,是我教过的最优秀的学生之一。她的天性、勤奋、刻苦终于使她走上了学术道路,并取得了令人满意的成绩。她第一步走得坚实,前面的学术道路还很长,然而,千里之行始于足下,第二步、第三步……会走得更高更远!我相信,一个青年学者只要去除功利,守住治学之道,终将有耕耘有收获!

借此书出版之际,发感慨于心怀,愿师生共勉。

张绍杰 2012 年 5 月于东北师范大学



Abstract

This study makes a poetic discourse analysis from a cognitive pragmastylistic perspective based on the notion of perlocution within the framework of speech act theory. It first proposes a model of perlocution by considering poetry as a discourse whose effects are produced in the interaction between the poet and the reader. Then it uses this model of perlocution for a detailed analysis of poetic discourse at the three levels of perlocution, namely, the explicative perlocution, the implicative perlocution and the receptive perlocution. It is clearly indicated that the notion of perlocution in speech act theory is of high value in its application and sheds new light on the analysis of literary texts.

The book is divided into seven major chapters.

Chapter One presents a general introduction to the study including the preview, the rationale, the objectives and methodology as well as the organization of this study. The research questions are proposed as follows: (1) What is the nature of perlocution? (2) How is perlocution internally related to poetic discourse? (3) How can poetic discourse be accounted for through the application of the notion of perlocution within the framework of speech act theory?

The study has three objectives: (1) to elucidate the nature of perlocution and deepen the understanding of pragmatic mechanism; (2) to analyze the internal relationship between perlocution and poetic discourse and construct a model of perlocution; (3) to explore a new dimension of the interpretation of poetic discourse at the interface between cognition, pragmatics and literature within the field of cognitive pragmastylistics.

Chapter Two begins with the current research in the context of relevant theories and orients the research towards poetic discourse and perlocution. The related studies include the relationship between linguistics and literature, pragmatics and literature, and perlocution and poetry. The chapter also summarizes different



theoretical perspectives, points out the limitations of current research and paves a way for the study of poetic discourse from a new approach. Traditionally, the studies of language and literature have pursued divergent paths and have been regarded as separate areas of study. The problem of integrating them within a single discipline has been called the 'lang-lit' problem (Leech, 1969:2). Linguistics and literature are neighbouring disciplines, both drawing heavily on language and communication. A poem is a particular kind of speech act, which is deeply rooted in the ordinary use of language. Hence, pragmatics offers new perspectives on the production, interpretation, reception, and evaluation of poetry.

Chapter Three sets up the theoretical framework for the analysis by proposing a model of perlocution. The model of perlocution offers a comprehensive and integrated way of interpreting poetic discourse from three levels. The focal points in this model are the three levels of perlocution, namely, explicative perlocution, implicative perlocution and receptive perlocution. The model demonstrates the explanatory power of perlocution in its application in the analysis of poetic discourse. This study maintains that perlocution is, in nature, transcational. Since perlocution can be divided into explicative perlocution, implicative perlocution and receptive perlocution, the relationship among the speaker and the hearer, the content, the intention and the consequences of the utterances are all integrated into one single concept, namely, perlocution. At the first level, perlocution is the consequences of locutions. The effects come from the listener's recognition and acceptance of the form or the textual features of the utterance; at the second level, perlocution is the consequences of illocutions. The hearer maneuvers himself/herself to the understanding of the speaker's intention; at the third level, perlocution is the multiple consequences brought about by the hearer in terms of his/her psychology and cognition.

Chapter Four discusses the relationship between poetic form and explicative perlocution through the three features of poetic discourse, namely, response-inviting vision, sound and diction. Poetry is above all an art of 'immediate effects'. Poetic discourse has its own internal regularity and structural features. The interpretation of poetic discourse depends on the textual context. Examining textual features of a poem is an intrinsic part of the interpretative process. The appreciation of poetic form at the level of explicative perlocution is crucial to the reading of poetic discourse.



Chapter Five illustrates the interplay of poetic force and implicative perlocution. A poet has a particular intention about how that poem should act on a reader and how it should be interpreted. Authorial intended meanings are fundamental to the construction of poetic meaning. The goal of the reader's interpretative efforts at this level, it is assumed, is to discover the author's intention. A poetic discourse is considered as the site of an interaction between a poet and readers which the poet controls. Readers restore poetic texts to their original contexts in order to recapture their intended meanings. This chapter illustrates the relationship between implicative perlocution and poetic force through the general conventionalized conceptual metaphors in poetic discourse.

Chapter Six combines poetic evocation with receptive perlocution. In constructing a reading of a poetic text, the interpreter can always make inferences that will not have been in any way intended by the poet. In other words, readers have their own interpretations of poetic discourse. They provide multiple interpretations of the same poetic discourse. This chapter mainly concerns the subjectivity of the reader in his/her interaction with the text and the author.

Chapter Seven is the conclusion of the study. It summarizes the major ideas of the research and briefly and succinctly points out certain trends and orientations concerning the discipline. The limitations and implications of the study are also highlighted.

This study has made the following three contributions: First, the study is the first attempt to employ the notion of perlocution to analyze poetic discourse within the framework of speech act theory. Second, the notion of perlocution is tentatively broadened by proposing the three levels from which poetic discourse is analyzed in details. Third, the study proves the feasibility and validity of speech act theory's role in the interpretation of poetry, which adds a new pragmatic dimension to stylistic analysis and thus broadens the scope of cognitive pragmastylistics. It provides a new approach for both speech act theory and literary criticism.

Key words: perlocution; poetic discourse; model of perlocution



摘 要

本研究采用认知语用文体学视角,在言语行为理论的框架内,将取效行为的概念应用于诗歌语篇分析,旨在研究诗歌作为特殊的文学语篇与取效行为之间的关系。在文献综述的基础上,本研究梳理出取效行为概念的本质,进而提出取效行为模式,并从该模式的三个不同层面来分析诗歌语篇的形式、语力和呼唤功能。研究表明,言语行为理论中的取效行为这一概念不仅具有较高的应用价值,而且为文学语篇分析提供了新的研究视角。

本书共分七章。第一章是引文,主要概述本研究的理论基础、目的、方法以及组织结构。研究问题主要包括: (1) 取效行为的本质是什么? (2) 取效行为和诗歌语篇有什么内在联系? (3) 如何在言语行为理论的框架内,应用本研究构建的取效行为模式解释诗歌语篇?

本书研究目的如下: (1) 梳理取效行为本质,深化对语用机制的理解。(2) 分析取效行为与诗歌语篇的内在联系,构建取效行为模式。(3) 在认知语用与文学交叉界面,即认知语用文体学范畴内,探讨诗歌语篇阐释的新维度。

第二章主要对相关理论进行文献评述,为取效行为模式的提出奠定理论基础。相关理论包括语言与文学的关系问题、语用学与文学的互补问题以及取效行为与诗歌语篇的解释问题。在此基础上,作者归纳了不同理论和观点,指出现有研究的局限性,进而提出新的方法。语言一文学之争(the 'lang-lit' problem)由来已久。语言和文学各走各的路,一直处于Leech(1969)所言的"分家"状态。事实上,语言研究和文学研究互相依存,密不可分。诗歌语篇虽然有其独特的言语行为模式,但是此种文学交际与其他类型的言语交际没有本质的不同。诗歌语言源于"日常语言的运用"(Leech,1969),是人们言语交际的一种方式。从语用学的角度来研究诗歌语篇更有助于探讨其意义生成机制和方式。

第三章梳理出取效行为的本质并建立了本研究的理论框架,提出诗歌 语篇分析中作者、文本与读者互动的取效行为模式。该模式从三个层面为



阐释诗歌提供了全面、统一的方法。这三个层面分别是明示取效、隐性取效和受动取效。该模式能够验证取效行为应用于诗歌语篇分析的解释力。本文认为,取效行为本质上具有"交互性"(transaction)(顾,1992)。取效行为可分为明示取效、隐性取效和受动取效,因此说话人和听话人的关系以及说话内容、说话意图和说话结果可统一纳入取效行为的概念之中。在明示取效层面上,取效行为是说话行为的结果,效果产生于读者对诗歌表面内容及形式的识别和接受;在隐性取效层面上,取效行为是施事行为内在而直接的结果,是作者及文本的意图被读者识别而产生的影响;在受动取效层面上,取效行为是读者在解读诗歌语篇时在文化、社会、认知等方面表现出来的多重影响。

第四章讨论诗歌形式和明示取效之间的关系。诗歌是"瞬时效果"的 艺术。诗歌语篇有其内在特殊的规律性和结构特征。在明示取效层面上诗歌语篇的解读依赖于文本语境。本章从视觉艺术、听觉艺术和措词艺术等 三个方面探讨诗歌形式与明示取效之间的关系。

第五章主要解析诗歌语力和隐性取效之间的关系。诗人的创作意图是 诗歌语篇构建的基石。在此层面,读者释读的目的就是要发现作家的创作 意图。在此过程中,诗歌语篇意义即成为作者主导下的与读者互动的产 物。读者把诗歌语篇置于作者的创作语境下,以期探究作品的含义。本章 主要以规约概念隐喻统摄下的诗歌语料加以阐发。

第六章探讨诗歌呼唤功能和受动取效之间的关系。在构建诗歌文本意 义时,阐释者会做出多重推理和解读。换言之,读者由于文化、社会、认 知等方面的不同导致其对诗歌的理解各异。本章节主要探讨读者在与文本 及作者交互作用时的主体性和多重性。

第七章为结论部分。对本研究进行全面总结,再次阐释取效行为模式 对诗歌语篇研究的重要意义,提出二者结合所引发的一些相关课题思考。 同时指出研究的主要贡献和不足之处并对今后认知语用文体学的发展研究 作出展望。

本文的创新之处体现在:其一,首次在言语行为理论的框架内采用取效行为的概念分析诗歌语篇。其二,对取效行为概念加以扩展,构建了取效行为模式,并从三个层面详实分析诗歌语篇。其三,验证了取效行为模式应用到诗歌语篇分析的可行性,拓展了认知语用文体学研究范畴,为言语行为及文学批评理论提供了一种全新的方法。

关键词: 取效行为; 诗歌语篇; 取效行为模式



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Chapter One Introduction

1.1 Preview

Roman Jakobson's famous essay Closing Statement: Linguistics and Poetics published in 1960 has attained the status of a true semiotic 'classic' and an indispensable starting point for later discussions of 'poetics'. In the paper he made the following famous statement about the relationship between linguistics and literary studies:

If there are some critics who still doubt the competence of linguistics to embrace the field of poetics. I privately believe that the poetic incompetence of some bigoted linguists has been mistaken for an inadequacy of the linguistic science itself. All of us here, however, definitely realize that a linguist deaf to the poetic function of language and a literary scholar indifferent to linguistic problems and unconversant with linguistic methods are equally flagrant anachronisms (Jakobson, 1960: 377).

This comment made half a century ago is still relevant today. The study of style and the language of literature is one of the most traditional applications of linguistics, one which has been given new impetus by the rapid new developments in linguistics since the development of generative grammar.

Stylistics follows closely the trends of literary criticism. The history of modern literary theory has been characterized as occurring in three stages: a Romantic preoccupation with the author that dominated early in the twentieth century; a New Critical concern with the text that became prominent in the 1920s; and the more recent shift of attention to the reader (Eagleton, 1983). At the present time, linguistic analysis of literature is one of the most active and creative areas



of literary studies. Stylistics has traditionally focused on the formal properties of style. It used to employ a formalist approach. Literature was looked upon as a self-contained enterprise. Extra-textual matters were disregarded; the meaning was only to be found in the words on the page. Such an approach provides no way of talking about the author and the reader.

Pragmatics, which is the study of language in use, offers a powerful tool for the analysis of literature. Pragmatics changes the formalist view by requiring that a text be viewed not as an object but as an act of communication between a writer (speaker) and a reader (hearer) and accounts for elements that are not present "on the face" of the utterance, but have to be inferred (Dahlgren, 2005:1081). Some of the subdivisions within pragmatics—such as speech act theory, the study of politeness, metaphor or irony from the point of view of relevance theory are within the interest of stylisticians. A new and explicit concept for this area of the discipline named 'pragmastylistics' or 'literary pragmatics' has been ushered in. Literary pragmatics is the study of the writer and the reader's roles in the societal production and consumption of texts. Literary pragmatics is concerned with the kind of effects that authors, as text producers, aim to obtain, using the resources of language in their efforts to cooperate with their audiences, the consumers of the texts. Such efforts rely on a precise understanding of the context of those resources, when directed at a particular audience among the consumers of the literary work (Mey, 1999:12). 'Austin and Searle's speech act theories have been used as a cornerstone for literary analysis, with varying success' (Petrey, 1990). 'It is not until the publication of Sperber and Wilson's work on Relevance Theory that pragmatics has been consistently applied to the field of literature' (Dahlgren, 2005: 1082).

From a pragmatic perspective, all use of language orients toward the user. Hence the language of aesthetics, such as the literature of art is also user-oriented. Poetic creation is one use of language. Therefore it, too, is dependent on social conditions (Mey,1987:288). Poetry is the most intense literary genre. Poetic analysis has rarely been pursued within the context of modern pragmatic theory. The study of poetry has focused on almost exclusively on elements of language. Phonology, semantics, and syntax direct our attention to the formal properties of a poetic text, and tend to view the text as a self-contained object. The emphasis on the rhetorical devices, diction, and verbal structures has misled us