



李满亮 著

A Systemic Functional
Study of the English Nominal Group
英语名词词组之系统功能
—— 语言学研究

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序

我是2002年秋认识李满亮的,当时他是刚考进中山大学外国语学院“英语语言文学”的硕士研究生。知道他来自内蒙古时,第一感觉是,这是一个来自很遥远但很神奇的地方的学生,这大概是因为我听了很多关于内蒙古的传奇故事但又没有去过那里的缘故。接触满亮后,慢慢地对他有了一些了解,通过他我获得了更多关于内蒙古有关的历史、地理、文化等知识。2008年7月初,我应邀到内蒙古大学(国家“211工程”重点建设高校)外国语学院给他们的“外国语言学及应用语言学”硕士研究生讲授“系统功能语言学”这门课,整整10天。这个经历不但让我对内蒙古有了初步的体验,也了解了内蒙古地区的外语教学与研究的一些情况。慢慢地对我来说内蒙古也没有那么陌生了。

满亮2002~2005年在中山大学攻读硕士学位期间我是他的指导教师。2005年夏天他学成后回到了内蒙古大学,两年后的2007年他进入了国家教育部的“少数民族高层次骨干人才计划”项目,考取了博士生,再次来到中山大学求学,跟我攻读“功能语言学”博士学位。他入学时告诉我,据他们学校的人事处说,他是内蒙古大学第一个,也是内蒙古自治区第一个考取“英语专业”博士研究生的人。由此可见,李满亮是优秀的,也是肩负重任的。2010年秋冬满亮完成博士学习获得学位后第二次回到内蒙古大学,受到了学校的重用,35岁被任命为内蒙古大学外国语学院副院长兼英语系主任,为功能语言学在内蒙古的传播和研究发挥了更大的作用,其中特别值得一提的两点是:(1)在内蒙古大学的研究生培养方案里,有了“系统功能语言学”这样的必修课和“加的夫语法”这样的选修课,当然也就有硕士研究生撰写功能语言学方向的毕业论文;(2)由中国功能语言学会主办的第13届全国语篇分析研讨会2012年6月15日~18日在内蒙古大学召开,来自全国(包括香港和台湾地区)的150多名代表参加了会议;这次会议是中国功能语言学者第一次在内蒙古地区进行大型的学术交流,也是内蒙古大学外国语学院成立30多年以来召开的第一次全国语言学会议。

满亮的博士学习期间研究的重点是系统功能语言学的“词汇语法”(lexico-grammar)问题,这也是我多年的研究兴趣所在。根据 M. A. K. Halliday (1994, *An Introduction to Functional Grammar*. London: Arnold, p. 15) 的观点,语言是个由多个层次构成的复杂的意义系统;在这个系统中,中心层就是语法(A lan-

guage is a complex semiotic system composed of multiple levels, or strata... The central stratum, the inner core of language, is that of grammar.)。在我看来,无论是在哪里,在什么时候,语言研究的重点之一就是语法研究,古今中外的语言研究状况已经清楚地表明了这一点。从某种程度上说,满亮读博士期间研究课题的选择对他的后续研究和发展帮助很大,其中包括他2012年获得国家社会科学基金项目“系统功能语言学视角下英汉名词词组对比研究”。

知道满亮在博士论文的基础上完成了专著《英语名词词组之系统功能语言学研究》,并将由内蒙古大学出版社出版,感到很欣慰。该书在系统功能语言学的理论框架中对英语名词词组进行了认真的论述,讨论的问题包括:英语名词词组中不同类型的挑选,介词短语充当后置修饰语的英语名词词组的功能结构,英语名词词组和语法隐喻的关系等等。书中的有些讨论特别值得注意。例如,在分析含有 a number of 的英语名词词组过程中,提出把 a number of 作为数量限定语来分析,把 of 看作是结束成分(finisher);这种分析深入细致,耐人玩味。也只有喜欢语法研究、能做语法研究的人才有兴趣去深入研究这些问题。

大概是10年前,作为中山大学外国语学院院长,我对学院的毕业生说过这么一段话:“在我的词典里,有一个重要的词条,那就是‘选择’。我们每天都在做选择,而每一次的选择都对我们的生活带来了影响,可能是正面的,也可能是负面的。几年前你选择了中山大学外国语学院,这个选择所带来的影响将伴随你一生。我希望,也相信,你当年的选择对现在的你也是最佳的选择。在大多数情况下,选择是在一定的范围内进行的。在做选择时,要找最适合你自己的,千万不要盲从、随大溜,One man's meat is another's poison,道理就在这。无论你到哪里,做什么事情,都要知道自己的长短,认识到自己的优劣,这样才能扬长避短,百战百胜。一旦做出了选择,就要珍惜、爱护它,为它尽心、尽力、尽职。人生如此,事业、友谊和爱情也是这样。”

看到满亮过去这10年的有关选择和所取得的进步,我更加自信:上面这段话是有些道理的。一个人的进步、成功所涉及的因素是很多的,但有一点是清楚的:机会是留给有准备的人的。你根据自己的情况,选择了合适自己的路,然后往下走,你就会成功。

《论语·雍也第六》有这么一章:子曰:“知之者不如好之者,好之者不如乐之者。”孔子在这里是说:对于任何学问和事业,懂得它的人不如喜爱它的人,喜爱它的人不如以它为乐的人。这里也可以理解为读书和做事的三层境界:知、好、乐。我在这里引用孔子的话,与满亮共勉,也祝他学问和事业蒸蒸日上,更上一层楼!

黄国文

2013年1月4日于珠海

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I am also grateful to the School of Foreign Languages, Sun Yat-sen University, for providing an opportunity to have face-to-face talks about this research with many world-famous linguists, including Professor M. A. K. Halliday, Professor Robin Fawcett, Professor Christian Matthiessen, Professor Ruqiyi Hasan, Professor James Martin, and others. From them, I received special and novel insights and inspirations. This research owes much to them.

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Last but not least, I am indebted to my wife Du Hongyuan and my son Li Jiarong for their unfailing love and support. During the whole process of studying for my Ph. D. degree, Hongyuan took all responsibility for our son who was born a month after I began my Ph. D. studies at Sun Yat-sen University. She has meanwhile undertaken all family tasks. It is she who accompanied and supported me to conquer the hardships of these years. My son gives me love, joy and strength. When I have heard his voice at the other end of the telephone, I have been refreshed and made ready. It is to them that I dedicate this book.

Abstract

This book concerns itself with a detailed study of the English nominal group from a systemic functional perspective. The literature to date suggests that, compared with the application of the Systemic Functional Linguistics (SFL hereafter) theory to discourse analysis and translation studies, systemic functional syntax has not received sufficient attention. In syntactic study, groups do not receive as much attention as clauses do. Yet, the study of the group is a core component in functional syntax on the lexicogrammatical stratum in SFL.

The nominal group in English has complex structures and various functions in the clause, and traditional grammar, the transformational grammar, and the corpus-based grammar have all undertaken studies thereon. When looked into further, however, these studies are practically restricted in exploring the internal structure of the nominal group, and they discuss little of the function of elements within the group from the semantic perspective. In a sense, these approaches merely provide the traditional knowledge of the English grammar of this kind, and the analyses are even prescriptive in some aspects.

The SFL approach deals not only with structure but also with the function of each element in the nominal group. Regrettably, in SFL, the studies of the nominal group are far from being comprehensive. Thus, the present study is an attempt to contribute to the development of SFL in general and to its syntactic analysis of the English nominal group in particular.

The introductory part of this book consisting of the first four chapters offers a brief overview of the research background, the literature review, the theoretical framework, and the basic systemic functional approach to the English nominal group. The central part falling upon the six subsequent chapters treats three issues: a discussion on the selection of various types in the English nominal group, an exploration of the functional structure of the English nominal group with the prepositional phrase

as the Qualifier, and an examination of the connection between the English nominal group and grammatical metaphor. The last chapter summarizes the argument and points out key implications and suggestions for further studies of the English nominal group.

The data used in the present study were obtained mainly by observations from the literature of English grammar and some literary works. The research method is basically qualitative, descriptive and explanatory. It is found that selection is an indispensable concept in depicting the English nominal group, but the Head identification and the functional structure of the nominal group containing selection deserve further examination from an alternative perspective. The item of in the nominal group functions as a selector, a minor process, a structure marker, and a finisher in numerical expressions and typic expressions. Besides, grammatical metaphor is a property of the English nominal group, and can be investigated from the experiential, the interpersonal, and the textual perspectives. Based on these findings, it is argued that the embedding or the dependency relationship is a crucial factor in determining the functional role of an element in particular constructions. In addition, the lexical factors may determine the role of either as a minor process or as a structure marker.

This study is an exploratory one and in view of its tremendous complexity it has only dealt with a small part of the English nominal group. Thus, for any further studies of the same structure, we offer suggestions in three aspects: (1) many nominal group constructions can be investigated from an alternative perspective; (2) the connection between the English nominal group and grammatical metaphor can be further explored in connection with specific contexts; (3) the actual realizations of the nominal group across registers can be examined.

Keywords: Systemic Functional Linguistics, the English nominal group, selection, embedding, Qualifier, grammatical metaphor

摘 要

本书拟对英语名词词组从系统功能语言学角度进行深入研究。从文献上看,相对于系统功能语言学的其他方面,例如运用系统功能语言学理论进行语篇分析或者翻译研究,功能句法的研究在系统功能语言学作为功能主义阵营的主流普通语言学理论体系中没有得到足够的重视。在句法研究中,词组的研究相比小句的研究来说没有同等的地位,而词组的研究是系统功能语言学句法研究中词汇语法层次的核心部分。

英语名词词组具有复杂的内部结构,并且在小句中承担各种功能。传统语法,转换生成语法以及基于语料库的语法都对名词词组进行研究。而这些研究大多限制在对名词词组内部结构的探讨,很少从语义角度涉及词组中每个成分的功能。某种程度上讲,这些研究只提供此类英语语法的传统知识,有的分析甚至是规定性的。

相对于这些方法,系统功能语言学不仅研究名词词组结构,同时也分析词组中每个成分的功能。可是,系统功能语言学对于名词词组的研究不够全面深入。因此,有必要从系统功能语言学角度对英语名词词组做进一步精密度研究。本书试图对系统功能语言学总的发展,特别是对于英语名词词组的系统功能句法研究做一点贡献。

本书总体由三部分组成。介绍部分包括前四章,简要介绍了研究背景,相关文献回顾,理论框架,以及系统功能语言学对英语名词词组的总体描述方法。主体部分由接下来六章组成,主要涉及三个方面的问题:讨论英语名词词组中不同类型的挑选,探讨介词短语充当后置修饰语的英语名词词组的功能结构,考察英语名词词组和语法隐喻的关系。结语部分概括全书主要内容并且提出对英语名词词组进一步研究的一些建议。

本书所用的数据主要通过观察法从英语语法文献和英语文学作品获得,研究采用定性研究,并且是描述性的和解释性的研究。研究表明,挑选是描述英语名词词组绝对必要的概念,但是对于与挑选相关的名词词组中心语确定以及其功能结构值得换个角度重新审视。形式项 of 在名词词组中的功能包括挑选语,

次要过程,结构标记,以及数量语和类型语的结束成分。此外,语法隐喻也是英语名词词组的一个重要特征。研究同时表明,嵌入或者依赖关系是决定一个成分在名词词组结构中功能角色的一个至关重要的因素,而词汇因素也可能决定形式项 *of* 作为一个次要过程还是结构标记。同时,和英语名词词组相关的语法隐喻可以从经验,人际和语篇的角度进行探讨。

本书的研究是探索性的研究,鉴于英语名词词组的复杂性,研究只涉及了其中很小的一部分。因此,对将来相关的研究,本书提出如下建议:对许多特定的名词词组结构可以从新的角度进行考察,而名词词组作为语法隐喻可以联系特定语境做进一步探讨。另外,名词词组在不同语域的具体体现也是重要的研究方向之一。

关键词:系统功能语言学;英语名词词组;挑选;嵌入;后置修饰语;语法隐喻

Abbreviations

A	Adjective
ADV	Adverb
ADVP	Adverbial Phrase
AP	Adjectival Phrase
C	Complement
D	Determiner/Determinative
Deic.	Deictic
M	Modal
N	Noun
Nom	Nominal
NP	Noun Phrase
P	Preposition
PP	Prepositional Phrase
Pro.	Process
Prep	Preposition
SFL	Systemic Functional Linguistics
V	Verb
VP	Verb Phrase
a	apex
ad	adjustor
adj	adjective
am	amount
cv	completive
dd	deictic determiner
det	determiner
f	finisher

fd	fractionative determiner
g	genitive element
genclr	genitive cluster
h	head
h2	secondary head
h3	tertiary head
m	modifier
n	noun
ngp	nominal group,
num	numeral
od	ordinative determiner
p	preposition
p. p.	prepositional phrase
pd	partitive determiner
pgp	prepositional group
po	possessor
q	qualifier
qd	quantifying determiner
qid	qualifier-introducing determiner
qld	quality determiner
qlgp	quality group
qtd	quantity group determiner
qtf	quantity group finisher
qtgp	quantity group
qtm	quantifying modifier
rd	representative determiner
sd	superlative determiner
sf	selected from
t	temperer
td	typic determiner
th	thing
tngp	typic nominal group
tod	totalizing determiner
v	selector

Notational Conventions

$\wedge$ followed by

$\searrow$ realized by

$a \rightarrow \left[\begin{array}{c} x \\ y \end{array} \right]$ if a, then either x or y

$a \rightarrow \left\{ \begin{array}{c} x \\ y \end{array} \right\}$ if a, then both x and y

$/ \mid \backslash$ composed of

$—$ filled by

$\triangle$ expounded by

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