

SELECTED WORKS OF  
on Applied Linguistics

M. A. K. HALLIDAY

# 韩礼德 应用语言学自选集

M. A. K. Halliday (英) 著

Selection Series  
of World-Famous  
Applied Linguists

世界应用语言学  
名家自选集

These were the four preferences I had found: learning by ear, or learning by eye; working from the top down (generalization), or working from the bottom up (instances); actively performing, or passively absorbing; approaching through the meaning, or approaching through the form. Most learners were likely to be located somewhere around the mid-point, on most of these, without a clear preference either way; but in one or two of the four they might tend towards one particular pole—as I had found with myself, being very markedly an ear learner. It seemed to me that, if you teach a foreign language, or are involved in some other role in the learning process—designing courses, preparing materials, testing proficiency and so on—it would be helpful to be aware of these variables: you try to cater for all learning styles; and also, as far as you can, for the special cases, those who have difficulty because they lie towards the extreme on one or other of these four dimensions.

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# 出版前言

“世界应用语言学名家自选集”丛书收录世界知名应用语言学家的学术论文和专著章节，结集成书。本丛书的出版可填补两方面的空白：1. 以世界知名应用语言学家为主线的自选集；2. 以应用语言学学科为主题的系列丛书。

应用语言学有狭义和广义之分，狭义的应用语言学指跟语言教学密切相关的学科，如二语习得、教学法、语言测试等；广义的应用语言学则指利用语言学的理论解决社会生活的实际问题的边缘学科，如社会语言学、翻译学、词典学、文体学等。本丛书除有些学者的研究集中于狭义的应用语言学概念之外，一般采用广义应用语言学的概念。

本丛书选用的文章多散见于国外学术期刊、论文集和专著，时间跨度较大，读者不易觅得。这些文章汇集成自选集，充分展示了诸位名家对应用语言学各分支学科的研究脉络，是应用语言学研究领域不可多得的材料，可作为英语教师、英语专业研究生、师范院校英语本科生等从事科研、撰写论文的参考文献。

丛书编写体例如下：

一、收录发表于学术期刊、论文集中的学术论文以及学术演讲，文章字数无严格限制。专著中的章节酌情收录。

二、所收论文的语言仅限英语。

三、所收论文的内容须与应用语言学有关，纯语言学理论、文学研究、国情研究类论文不收录。

四、所收论文大多为原已发表过的文章，基本保持原貌以尊重历史的真实。文章一般注明论文发表的时间和发表刊物的名称（或论文集、专著书名）和期号（或出版社名）。文章格式也基本保持发表时的原貌。未在刊物上发表过的文章，如演讲等，则注明对外发布（成稿）的时间、地点和场合。

五、作者可将新的观点以尾注的方式放在相应论文的后面，表明作者目前的观点与当时有所不同。

六、每部选集作者撰写自序，详细地记录作者求学、教学、治学的经历和感悟。书后附有作者主要学术著述的目录。

世界应用语言学名家自选集编委会

2009年2月18日于北京

# 世界应用语言学名家自选集

## 编委会

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# 序

韩礼德 (M. A. K. Halliday) 是享誉国内外的著名语言学家, 我们对他并不陌生。他的很多著作都被中国的出版社重印出版, 其中包括: Halliday (1978/2001, 1985/2012, 1994/2001, 2002-2007/2007, 2008)、Halliday & Hasan (1976/2001, 1985/2012)、Halliday & Matthiessen (1999/2008, 2004/2008)、Halliday & Yallop (2007/2009)、Matthiessen & Halliday (2009); 其中的 Halliday (1994/2001)、Halliday (2002-2007/2007)、Halliday & Hasan (1976/2001) 和 Matthiessen & Halliday (2009) 还有汉译版 (分别见彭宣维等 2010, 2015; 张德禄等 2007; 黄国文、王红阳 2009)。2015 年 1 月 14 日, 我们查阅 CNKI 后发现, “韩礼德”、“Halliday”、“系统功能语法”和“系统功能语言学”等关键词共出现了 2032 次。外语教学与研究出版社的“世界应用语言学名家自选集”丛书中有《韩礼德应用语言学自选集》一书, 我应邀作序, 深感荣幸。

韩礼德所创立的“系统功能语言学”(Systemic Functional Linguistics, SFL; 也称“系统功能语法”)是一个普通语言学理论, 它同时也是一个“适用语言学”(applied linguistics)理论。作为普通语言学理论, 它被用来研究、揭示、解释语言的共性问题, 找出语言的潜在规则, 对语言现象作出解释。作为适用语言学理论, 它是用来解决各种问题的, 这点与其他普通语言学理论是不相同的。韩礼德多次 (Halliday 2015: 1, 7) 说到, 他的理论是用来探索问题和解决问题的。他 (如 Halliday 2009: 61) 明确指出, 系统功能语言学可以说是“以问题为导向的理论”(a problem-oriented theory), 它的建构是为帮助语言学“消费者”解决所面临的各种问题的; 用 Coffin (2001: 94) 的话说, “One of the main purposes for Halliday ... in developing SFL has been to create a theory for solving a range of problems faced by potential ‘consumers’ of linguistics.” 据我们的理解, 这里所说的“各种问题”(a range of problems) 除了应用语言学 (如语言教学) 方面的问题外, 还包括与语

言和语言使用有关的其他问题。在韩礼德看来，语言学就是用来处理问题的一种资源。

由于系统功能语言学也是适用语言学，所以韩礼德认为，（理论）语言学与应用语言学是密不可分的，或者说是一个硬币的两面。用他的话说，就是“there could be no real separation between theoretical linguistics and applied linguistics”（Halliday 2015 : 9）。关于应用语言学的研究途径，可以从理论出发，再应用到实践，即遵循“理论——实践（研究）——理论——实践（研究）……”这样的路径，也可先从实践入手，再升华到理论，沿用“实践（研究）——理论——实践（研究）——理论……”途径。韩礼德采用的是从理论到实践的方法，他多次（如 Halliday 2015 : 9）明确指出，虽然理论要从实践中获得帮助，但没有理论就没有应用。也就是说，我们首先要有理论，然后才能谈应用；通过应用，我们再修正、完善理论。语言学家的任务之一就是提供一个全面的理论框架来解决实际问题。因此，韩礼德指出，要把语言学与应用语言学泾渭分明地区分开来是不可能的，因为理论与实践是同一事物的两个方面。

正是基于这种认识，在韩礼德看来，很多大家认为是独立的研究领域（如社会语言学、话语分析）事实上都属于他所说的语言学的范畴。比如说，很多人认为话语（语篇）分析是语言学理论的应用，或是独立于语言学之外的学科，但韩礼德（2008 : 192）认为，话语分析是语言学的的一个组成部分，它涉及的是语言描述和分析，因此，分析语篇不是语言学的应用，而是语言学理论建构的基本内容。

韩礼德这本自选集共有 13 篇论文，分为 4 个部分，每一个部分都有一段简介。全书还有一篇自传式的文章，从十几个方面介绍自己的治学生涯，其中所谈的既有他的职业生涯、成长过程及研究重点，也有他的治学思想和语言观；特别值得细读的是“语言学与马克思主义”、“语言学和意义学”和“语言是怎样工作的”这三节。

自选集第一部分（“学习母语”）有 3 篇文章，都是围绕着儿童语言发展（语言习得）的早期阶段的有关问题而展开的。韩礼德认为，对于 12 个月至 18 个月大的儿童，他们主要是学习怎样表达意义和理解别人

所表达的意义；通过与周围的人（尤其是母亲）互动，儿童的语言表达潜能得到体现和发展。韩礼德指出，儿童没有“生来固有的”（built-in）语法模式；在与别人的互动中，产生了自己的“原始语言”（protolanguage）。小孩出生一两年后，头脑就慢慢发育成熟，这样就会逐步使用大人的语言（母语）来替代原始语言。第一部分的三篇文章主要是讨论儿童学习语言经历的第二个阶段，即从原始语言朝母语发展的过程。

第二部分“学习其他语言”有3篇文章，讨论学习母语以外的语言问题。儿童一旦学会说自己的母语，用母语表达意义，如果有机会和条件，他们就有潜能学习其他语言；获得学习其他语言的机会或条件可以来自教育机构（如小学和中学），也可以来自与操其他语言的人的接触。这一部分的文章探讨学习其他语言问题，其中一个问题就是：学习母语与学习外语的差异究竟有多大？这个问题学界一直存在争论；韩礼德认为，要回答这个问题，关键要看外语学习的环境，即是在什么环境和条件下学习外语。这一部分的第三篇文章是专门探讨中国语境下的大学英语教育的。

第三部分“教育中的语言”有3篇文章，主要围绕着语言教育问题，讨论教育过程中语言角色的变化和语言本质的变化。儿童成长为大人的过程中，教育的形式与知识的形式是同步发展的。儿童在入学前，他们有着“常识性知识”（commonsense knowledge）；进入小学读书时，他们开始学习阅读和写作，常识性知识重新组合和扩展，发展为“教育知识”（educational knowledge）；到了中学阶段，他们就学会使用隐喻，因此也就学会了“技术知识”（technical knowledge）。这样就学会了使用各种各样的语言表达了。

第四部分“论英语语法”有3篇文章，讨论所涉及的核心问题是理论语言学与应用语言学的融合。三篇论文的共同点都是基于语篇的语法分析。第一篇主要分析“The teacher taught the student English”这个句子，并通过语法分析来说明语言分析与语言教学方法之间的重要关系。第二篇讨论科技英语的语法问题，通过语法分析揭示科技英语的特点，同时说明语法分析在语篇理解、语篇分析和语篇评估中的可操作性和重

要性。这一部分最后一篇文章讨论的是“疼痛”(pain)的语法。文章通过对人们日常生活中关于“疼痛”的表达进行语法分析,说明自然语言的词汇语法事实上是一个关于“人们体验的理论”(a theory of human experience)。在日常生活中,疼痛可以表达为一件事情,一种感觉,一种过程,等等。对于喜欢语法分析的读者,这一部分的三篇文章都非常值得细读细嚼。

韩礼德是位理论建构者(当然同时也是一位理论的应用者),他的《韩礼德文集》(十一卷)(Halliday 2002-2007/2007, 2013)所涉及的问题包括语法、语篇和话语、语言和语言学研究、婴幼儿的语言、科学语言、计算机与定量语言、英语语言研究、汉语语言研究、语言与教育、语言与社会、翻译研究等。

谈到韩礼德的语言学习、学术研究、治学生涯和学术影响,就不得不提及他与中国的关系。据韩礼德回忆(见 Webster 2005: 3),他从小就有两个愿望,一个是来中国,另一个是学习和研究语言。

17岁那年(1942年),韩礼德开始学习汉语,为期一年半。然后他就去参军,并在部队里讲授汉语。他多次提到,第一次教汉语的时间是1945年的5月13日,那时他刚满20岁。1947年离开英国部队后,韩礼德被录取为伦敦大学本科生,同时获得奖学金来到北京大学中文系学习汉语。1948年6月,他参加了伦敦大学的远程考试,并获得了学士学位。之后,他继续留在中国,并在一个新西兰人办的“中国工业合作社”工作了大约半年时间。1948年底,他获得了英国的奖学金并被北京大学录取为研究生。在北京大学期间,韩礼德得到罗常培的指导,学习历史语言学。当罗常培得知韩礼德的兴趣在于汉语方言研究后,便建议他到广州的岭南大学跟随王力学习共时语言学。1949年5月,韩礼德离开北京,当时华中地区内战还在进行,他不得不绕道从天津经朝鲜转香港到广州,到达时已经是8月份,那时广州还没有解放。韩礼德跟随王力研究珠江三角洲地区的广州方言。这些年来韩礼德多次谈到,王力给了他很多学术帮助,他的语法研究基础是王力帮他打下的。1950年,韩礼德回到英国。由于了解中国共产党,他打算告诉别人关于新中国的事情。而当他在伦

敦大学东方与非洲研究院申请工作面试时，考官问他是否是共产党员，他回答说不是，却又拒绝承诺不加入英国共产党。应该就是因为这个原因，他的工作申请失败了。韩礼德后来去了剑桥大学攻读博士学位，从语言学角度研究《元朝秘史》。从此以后，韩礼德写出了多篇研究汉语的论文。他对汉语的研究对他后来建构系统功能语法（语言学）起到了无可估量的作用。

韩礼德再次与中国的亲密接触应该是中国改革开放后的 1979 年。当时，我国公派了外语留学生到澳大利亚，韩礼德指导的第一批学生就有胡壮麟等人，紧接着又有了第二批、第三批，等等。我国的功能语言学领头人胡壮麟、方琰、朱永生、张德禄、杨信彰等人都是从澳大利亚学成归来的。我第一次与韩礼德接触是 1985 年，我的第二个博士论文的指导老师 R. P. Fawcett 早年曾跟随韩礼德攻读博士学位（现在每年召开的“国际系统功能语言学大会”是 R. P. Fawcett 1974 年发起召开的）。我在英国留学期间，还有幸与 M. Berry、C. Butler 以及 R. P. Fawcett 合编了 *Meaning and Form: Systemic Functional Interpretations. Studies for Michael Halliday* 一书献给了韩礼德（该书 1996 年在美国由 Ablex 出版公司出版）。

在过去的二十多年里，韩礼德几乎每年都来中国参加学术活动，我国的大江南北都留下了他的足迹。在中国，有一批学者在过去的三十多年里一直在传播、普及、研究和应用韩礼德的语言学理论，并做出了可喜的成绩。我们相信，《韩礼德应用语言学自选集》的出版，将会继续推动我国系统功能语言学和应用语言学的发展。

今年的 4 月 13 日是韩礼德先生的 90 周年华诞。我们祝福他健康长寿，永葆学术青春！

黄国文

2015 年 1 月 20 日

中山大学康乐园

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# A Fragment of Autobiography

## 1. Introductory

I am asked to write my personal history, as a scholar—researcher and teacher—but presenting it in the context of the papers that are brought together in this volume. There is no very coherent theme running through these papers; almost all my writings have been produced in response to some particular occasions or requests: “Please give a talk at our forthcoming conference”, and then, when the talk has been given, “Now can we have it for publication in our conference volume?”

So my way of working was always reactive rather than proactive. Also, by nature I am dilettante rather than obsessive—but also stubborn, in holding on to and following through a particular line of thought if I find it productive, enabling me to explore critical questions and to engage with particular problems that need to be solved.

I had no definable ambition, and no consistent plan of academic work. After studying in China, I would have been happy to spend my time researching into the lexicogrammar and phonology of Modern Chinese with its vast array of dialectal varieties. But before I had ever made such a design explicit, even to myself, it was thwarted by the political upheavals of the mid-twentieth century world.

When I first came to be employed as a linguist, in the late 1950s, “applied linguistics” was just appearing prominently as a distinctive label. This meant taking up the relevant aspects of linguistic theory—and of other disciplines as well, but with linguistics leading the way—and drawing lessons from them to apply to real-life tasks, both research and practical tasks, so that they could be more effectively pursued. The founders of AILA, the International Association of Applied Linguistics, had a number of such tasks on their agenda. Among these was included the teaching of foreign languages—but only rather grudgingly: the organizers of the first congress, held in Nancy, France, in 1964, were very doubtful whether it deserved a place (cf. Halliday 1990). In practice, however, for most of the remainder of the century, the

principal domain for applied linguistics turned out to be foreign language teaching, especially the teaching of English to speakers of other languages. In 1987, at the eighth congress in Sydney, Australia, out of 548 abstracts sent in, half were on some aspect of second language teaching and learning. For many students and teachers around the world, “applied linguistics” came to mean simply the principles and practices of foreign language pedagogy.

## **2. Teaching Chinese as a foreign language**

For the first decade and more of my working life I was a foreign language teacher—but not a teacher of English. I had been trained in Chinese by the British army for Chinese intelligence work; and after a year’s service in that capacity I was transferred to work as a language instructor, in the unit where I myself had been taught. After I came out of the army and got my degree in Modern Chinese Language and Literature, it seemed natural to take a job as a teacher of Chinese. I taught adults: university students, and other groups of people who were interested in learning the language.

From the start it seemed clear to me that, in order to teach a foreign language, especially one which was quite unrelated to the mother tongue of the learners, you needed to understand how it works. Adult language learners, especially beginners, need explanations, for what they will find strange and difficult in the language they are trying to learn; and they need to be able to make comparisons with their own mother tongue. And they need instructions, guidance in phonetics, phonology, lexicogrammar and semantics, along with informed feedback which assesses their own performance. I became very aware of how far we fell short in providing these essential resources, grounded in reliable descriptive studies of the grammar and phonology of Chinese.

Such material was not available in the linguistic books and journals that we had in the 1940s (I taught my first Chinese class on 13 May 1945). Of course at that stage I didn’t even know what to look for; it was only after I returned to England five years later, after three years’ study with two distinguished Chinese linguists, that I started to compile what I knew into some kind of coherent account of Chinese grammar and phonology such as I could incorporate into my own teaching practice. From studying with Wang Li, at Lingnan University in Guangzhou, I felt I had gained an insight into the workings and the characteristics of Chinese; and I was beginning to recognize

that my PhD supervisor, John R. Firth, was providing the framework of a powerful general linguistic theory, and that I needed to master his ideas about language, and his key concepts of system and structure, meaning, exponence and the like, if I was going to organize what I knew about Chinese into an applicable body of descriptive materials.

Learners also need texts, carefully compiled collections of data that they can work on, and that they recognize as relevant to their own learning tasks. During my first stint as a teacher, I had transcribed a quantity of Chinese writings into roman script, using Gwoyeu Romatzyh (Guoyu Luomazi, “National Language Romanization”) as devised by Yuenren Chao—*pinyin* had not yet been adopted, but in any case GR was better for foreign learners (*pinyin* is lacking in redundancy). These included short stories, bits of plays, items from newspapers and magazines, showing a little, but not too much, stylistic variety. What was lacking was an indication of what everyday conversation was like—how language functioned in the typical informal exchanges of daily life. I had tried to collect Chinese equivalents of discourse fragments such as “what’s that?”, “this is for you”, “there isn’t any left”, “I can’t tell the difference”, “that’s not quite right”, “what a good idea!”, “I’m not convinced”; as well as strategies for keeping the conversation going, and getting your interlocutor to repeat something you haven’t understood without switching off altogether because they think you simply can’t speak their language.

My own first teacher of Chinese, Walter Simon, who was the director of the course given on behalf of the War Office at the School of Oriental & African Studies, University of London, had been strongly influenced by the ideas of Francois Gouin, and had adopted these in the series of textbooks that he produced together with his colleague C. H. Lu (Simon & Lu 1942). Gouin set out his ideal for teaching materials that would “exhaust the phenomena of the objective world”. This seemed somewhat implausible! But at least the teaching of a foreign language might be expected to enable the learners to put into words the common experiences of their daily lives—and their strategies for getting along with those around them.

### **3. Language and the learner**

The experience of trying to organize and make explicit my understanding of Chinese grammar showed me the need for constant recourse to a model, a frame of description which was both general and abstract. It was no good

offering an elegant account of one corner of the language if it didn't fit in and make sense with what you were saying about all the rest. Hence the need for comprehensiveness in the description. At the same time, "making sense with" implies a kind of resonance, and this occurs at a high degree of abstraction; hence the need for theory. The model had to be both comprehensive and theoretical; not only within one stratum (e.g. the whole of the grammar, from the clause complex to the single feature), but also across all strata from phonetics to eco-social context (cf, from that time, Halliday, McIntosh & Strevens 1964; cf. also Halliday 2005).

This then helps us to define the elusive notion of "explanation". Explaining a feature of a language means showing how it relates to other features; not by superficial resemblance but by underlying function within the whole. This does not mean fitting every feature into one overarching general plan—because a language has no such general plan. Each language has its own special character, distinct from other languages; but that is not made up of an assembly of parts that all work together as a team. Some features may indeed converge towards some more general pattern, of meaning or of sound; but others will be found that contradict, or simply occur in isolation—a language will often contain relics of earlier patterns, lying around while their original context has been superceded. But features which seem to make no sense in their immediate environment may relate to others in a different region of the language; and some internal correlations will lend themselves to a more general interpretation, and it is these which will figure in an explanation that is couched in functional terms.

Adult language learners typically respond positively to explanations of this kind. They feel "empowered" by them, and will use them as a basis for extending their competence in the language. But they need to be genuinely thought out, not ad hoc; and they need to be value-free, not based on facile cultural stereotypes.

Not all learners find the same value in explanations—because not all learners learn in the same way. This seems very obvious, though it does not appear to have been a maxim of all foreign language teaching. It took me a long time as a teacher to sort out the parameters along which learning styles could vary, starting from my own experience in adolescence when I slowly came to realize that I could never master a language from only its written form. I could look up words in a dictionary, but they never penetrated into my memory; whereas if I heard a language spoken around me I found it relatively