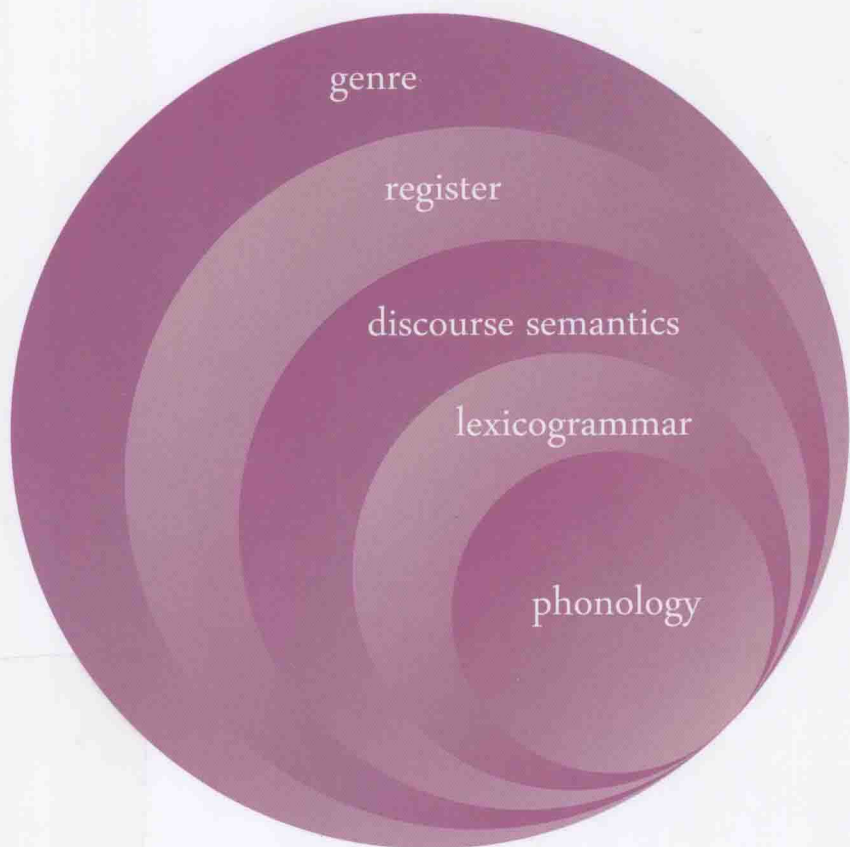


新编系统功能语言学教程

SYSTEMIC FUNCTIONAL LINGUISTICS:
A Course Book

主编 王振华



华东师范大学出版社

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主 编 王振华

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2001年引介“评价系统”(Appraisal Systems);2003年提出“介入‘三声说’”;2009年提出“一个范式、两个脉络、三种功能、四种语义、五个视角”语篇语义研究路径;2012年建构“个性化意义”系统。

在 *Semiotica* 和《外语教学与研究》等国内外学术刊物上发表学术论文60余篇,出版著作(包括教材)19部,主编《马丁文集》1—8卷,主编《当代外语研究》特刊一期(2010年第10期),主编《马丁学术思想研究》(北京大学出版社2012年版)。

主持国家和省部级社科项目3项,主持教育部重大项目子项目1项,参与项目5项(均结项),其中国家社科项目《语篇语义研究的理论体系建构与实践》结题成绩为良。

兼任中国功能语言学研究会副会长,中国语篇分析研究会副会长,中国法律语言学研究会副会长,中国文体学研究会常务理事,金博大律师事务所上海分所专家顾问; *The International Journal of The Semiotics of Law* 外籍顾问; *The International Journal of Language, Law and Discourse* 编辑;《当代外语研究》、《外文研究》和《功能语言学与语篇分析研究》编委。 *Discourse & Society*; *The International Journal of Speech, Language and the Law*; *Classroom Discourse*; *Journal of Multicultural Discourse*, 《现代外语》,《上海交通大学学报(哲社版)》,《福建师范大学学报(哲社版)》等10余家期刊稿件审阅人。

主要研究兴趣有系统功能语言学、法律语言学、评价性语言研究、语篇语义学、教育语言学。现阶段主要研究作为社会过程的法律语篇。

序

系统功能语言学是功能语言学的主要流派之一,因其既有独特的研究视角和与众不同的研究方法,又有广泛的适用性(appliability),可应用于教学、翻译、文学批评和话语分析等诸多实践领域,在整个语言学界产生了巨大的影响。60年来,该学派取得的成就有目共睹,但以 Halliday 为代表的学者们并没有就此满足,而是求索不止,与时俱进,常有新的研究成果推出,推动着系统功能语言学不断向前发展。

1989年,胡壮麟、朱永生、张德禄合著的《系统功能语法概论》由湖南教育出版社出版,首次向国内读者系统地介绍了系统功能语法的理论和方法。2005年,因系统功能语言学取得了许多新的进展,三位作者加上南京国际关系学院的李战子教授紧跟时代的步伐,又合作编写了《系统功能语言学概论》一书,由北京大学出版社出版。该书出版至今已有8年之久,编写一本合适的新教材,将系统功能学派提出的具有普遍解释力的经典理论(如系统理论、元功能理论、语境理论、衔接理论等)以及近年来提出的新概念(如评价系统、语篇格律、语篇意韵等)及时传授给我们的高校学生,是摆在国内系统功能语言学家面前一项光荣而艰巨的任务。最近,上海交通大学外国语学院王振华教授及其三位弟子通力合作,编写了一本这样的教材,可谓雪中送炭,可喜可贺!

通读之后,发现该教材具有以下三个特点。

第一,内容丰富。该教材大致分为两个部分:第一部分围绕小句和小句复合体的结构和功能展开;第二部分则重点介绍大语篇的语义理论和观点,包括衔接与连贯、篇章格律、大语篇的概念意义、语域、语类、评价性语言理论等。

第二,评介结合。该教材除了对系统功能语言学的相关理论和方法进行的介绍外,也不乏编者自己的评论和观点。

第三,深入浅出。该教材使用真实而幽默的语料讲述抽象的术语和概念,语言轻松活泼,能以令人愉悦的方式消除学生的畏难情绪,以循序渐进的方式逐渐提供学生的理论水平。

另外一个特点,是权威学者的介入和支持。James R. Martin 和 David Rose 两位国际系统功能语言学界研究语类的顶级专家允许王振华将他们对语类的经典论述改编成章,彰显了两位学者的无私与大度。

综上所述,王振华教授等学者为系统功能语言学在中国的传播和发展做了一件十分有意义的工作。我向他们表示由衷的敬意和祝贺,相信该教材问世之后能得到同学们的热烈欢迎。

是为序。

朱永生

2013年12月25日于上海

自序

编写一本适合中国学生使用的《系统功能语言学》教程的想法由来已久。1997—1999年间,我在澳大利亚悉尼大学语言学系攻读硕士学位,学成后回到出国前的工作单位河南大学继续任教。所幸,回国后第三年所在学院安排我担任硕士研究生系统功能语法课程的教学任务。当时,在国内,除胡壮麟、朱永生、张德禄三位老师编著的由湖南教育出版社1989年出版的《系统功能语法概论》之外,可以参考的相关书籍和教材并不多。2003年8月,第八届全国系统功能语言学研讨会(秦皇岛)期间,我和胡壮麟老师谈起这件事,他鼓励我编一本这样的教材。前辈的鼓励就是动力,之后的岁月里胡先生的鼓励一直激励着我。2005年,上述三位老师编著的《系统功能语法概论》由北京大学出版社出版了修订版,书名改为《系统功能语言学概论》,作者增加了李战子教授,内容也增加许多,除补充原有章节的内容外,还增加了“复句与词组”、“语域与语类”、“语法隐喻”和“评价理论与意识形态”,是一部涉及面广、论述深入的著作,对我产生了深远的影响。该书用汉语写成,便于学者阅读、理解和参考,但不宜作为研究生教材。2006年我完成了复旦大学博士后流动站的研究任务,到上海交通大学外国语学院任教,时任英语系主任的胡全生教授除安排我承担两门博士研究生的课程外,还安排我给硕士研究生上系统功能语言学这门课程,我喜出望外。2008年下半年,华东师范大学出版社的张春超同志约我编这样一本教程,我就欣然答应。于是,有了这本教程。

系统功能语言学作为当代主流语言学之一,已有60年左右的历史,它涉及诸多其他学科知识,解释力强,理论博大精深,体系完善但纷繁复杂。想用一本教程将其囊括其中确实有一定难度。我们认为,编写这样一部教程至少要考虑两方面的问题。一、选什么,不选什么,依据什么选?二、系统功能语言学中有些术语或概念对中国学生来说较为陌生或晦涩难懂,如何将它们深入浅出地给学生讲清楚?针对第一方面的问题,我们凭借多年的教学经验和对学习者的需求分析,确定我们对内容选择的原则为八个字:历久弥新,与时俱进。所谓“历

久弥新”，是选择那些历经数载被验证具有普遍解释力、迄今依然可以进一步发展的经典理论，如系统思想、元功能思想等。所谓“与时俱进”，是选择那些近年来在系统功能语言学范式下发展创立的新理论和新观点，如评价性语言理论 (Appraisal) 等。针对第二个方面的问题，我们的原则是十二个字：实例先行、深入分析、导入理论。也就是说，在介绍一个概念或理论时，在多数章节中我们以典型的实例（多数为真实文本）为分析对象，然后对文本中相关语言现象进行深度分析，最后通过分析引出概念或理论。另外，对有些观点，我们也纳入了我们自己的看法，提出了我们的观点，便于读者思考。

根据内容选择原则，本教程分两部分共 13 章。第一部分围绕小句，介绍小句、整句、零句，三个元功能，小句复合体，短语和词组，逻辑语义关系等。第二部分重点介绍大语篇的语义理论和观点，包括衔接与连贯，篇章格律，大语篇的概念意义，语域，语类、评价性语言理论等。某些观点或理论因其难度或复杂性需要大篇幅解释的，书中予以略去，与此同时，我们为感兴趣并意欲进一步跟进的学习者提供了推荐书目 (Further Readings)。

参加本教程编写工作的有上海交通大学外国语学院王振华（第 1, 2, 3, 11 章，第 4 章（与张先刚））、南昌大学外国语学院张大群（第 5, 8, 9 章）、上海交通大学外国语学院 2008 年级博士刘成博（第 6, 7 章）、2009 年级博士张先刚（第 10, 12 章，第 4 章（与王振华））。第 13 章经 Martin 和 Rose 两位学者同意，由王振华参考 Martin & Rose (2008) *Genre Relations: Mapping culture* 和 Martin & Rose (2012) *Genres and Text: living in the real world* 写成。

系统功能语言学家、悉尼大学 James R. Martin 教授解答了本书编者的疑问。上海交通大学外国语学院 2007 年级—2013 年级选修“系统功能语言学”课程的硕士研究生对该课程的教学内容和方法提供宝贵意见和建议。感谢他们对本教程的支持和贡献。同时感谢华东师范大学出版社张春超同志的策划和李恒平主任的鼓励。

虽经数载努力，但书中定有不尽人意之处，恳请专家同行和读者惠予批评和指正。

王振华

2014 年 3 月，上海

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Chapter 1

Introducing Clause

1.1 Introduction

People use language to communicate with each other for the purpose of constructing and maintaining their interpersonal relations and the social order that lies behind them (Matthiessen & Halliday 2009: 41). Read the following passage and see how the interpersonal relations are constructed and maintained.

Text 1 – 1 Coincidence

A woman was singing. One of the guests criticized the singer to the man beside him.

“What a terrible voice.” He said. “Do you know who she is?”

“Yes.” The man beside him answered. “She is my wife.”

“Oh, I’m sorry.” He said. “Of course her voice is not bad, but the song is too bad. I wonder who wrote that awful song.”

“I did,” said the man.

[Retrieved from <http://www.jest365.cn/yingyuduanxiaohua/403.html>]

In this passage, there are three characters: a female singer, a guest and a man beside the guest. The interaction took place between the guest and the man. The guest started the conversation, trying to build a temporary relation with the man, by saying:

“What a terrible voice.” “Do you know who she is?”

And the man answered,

“Yes.” “She is my wife.”

In this way, the guest and the man initiated their interpersonal relation in the interaction. And this relation was maintained when the guest went on with the conversation:

“Oh, I’m sorry.” “Of course her voice is not bad, but the song is too bad. I wonder who wrote that awful song.”

And this was followed by the man’s reply:

“I did.”

The transient interpersonal relation was thus built and maintained. But, unfortunately, the kind of relation built in such a way was embarrassing, for it threatened each other’s face. By criticizing the singer (*terrible voice*) and the song writer (*the song is too bad; that awful song*), the guest threatened the face of the singer’s husband. By revealing the truth (*She is my wife; I did*), the singer’s husband made the guest feel embarrassed. (For face theory, see Brown & Levinson 1987, and Goffman 1967.)

This interpretation of the interpersonal relation is the result of the rough analysis of the turn-taking and the discourse semantics (such as Appreciative meanings, which will be dealt with in Appraisal Chapter in this volume). If we interpret it from the grammatical perspective, our focus may be shifted to the sentence. When we analyse the sentence, we may want to know who does what to whom and why and what follows. The sentence may provide us clues so that we know the information and its structure, and all functions vested in the elements of the sentence. Therefore, to study sentences is primary for language analysis. But sentences are named differently in Functional Grammar (hereafter FG). This is explained in the following section.

1.2 Clause, Major Clause, and Minor Clause

1.2.1 What is a clause?

In traditional grammars, a clause is usually defined as a sentence that is part of a larger sentence (Palmer 1971: 80), or more clearly as “a unit that can be analysed into the

elements S(ubject), V(erb), C(omplement), O(bject), and A(dverbial).” (Quirk *et al.* 1972: 342) Hence, *A guard was about to signal his train to start when he saw an attractive girl standing on the platform by an open door, talking to another pretty girl inside the carriage* (see Text 1 – 2) is a sentence with two clauses. The first clause consists of a Subject (*a guard*), a Verb (*was about to signal*), an Object (*his train to start*), and an Adverbial (*when-* clause). The second clause is the *when-* clause with *he* as the Subject, *saw* as the Verb, *an attractive girl* as the Object, and *standing on the platform* and *talking to another pretty girl* as Adverbials. *By an open door* is Adverbial to *standing*, and *inside the carriage* is Adverbial to *talking*. This kind of grammatical analysis treats clauses in a linear way, chiefly looking at the logical meanings of the structure.

In FG, a clause is a constituent in the grammar system (Halliday 1994: 16). It is a “grammatical unit of the highest rank on the lexicogrammatical rank scale” (i. e. clause — group/phrase — word — morpheme; also see the five principles of constituency in lexicogrammar below, cf. Matthiessen *et al.* 2010: 71, 170). In terms of composition, a clause is composed of a group(s)/phrase(s), which in turn is composed of a word(s) composed of a morpheme(s). *Yes* in Text 1 – 1 as a clause consists of a group, which consists of one word, which consists of one morpheme. Each rank has its own function. And each rank is realized by the rank below. The functions of clause are realized by the functions of group/phrase. Group/phrase functions are realized by the functions of word.

1.2.2 What is a proposition clause and what is a proposal clause?

Clauses in FG are used to express **propositions** and/or **proposals**. **Proposition** indicates that “language is used to exchange information” (Halliday 2004: 110). When a clause is used to express a proposition, it is a proposition clause. **Proposal** indicates that language is used to exchange goods-&-services (ibid: 110 – 111). When a clause is used to express a proposal, it is called a proposal clause.

A proposition clause is concerned with information. It can be used to make a statement. For example, in Text 1 – 1 *A woman was singing*, and *One of the guests criticized the singer to the man beside him*, are two statement clauses. These statements convey information to the listener. They are the means through which the information is conveyed. Besides, a proposition clause can be used to ask a question. For example, in

Text 1 – 1, *Do you know who she is?* is used to ask a question. The speaker requires the listener to supply the information. This clause is used as not only the means to ask a question but also the end to require the answer from the listener. Therefore, when a clause is used to express proposition, it is “the end as well as the means” (Halliday 2004: 107).

A proposal clause is used to exchange goods-&-services. “Goods-&-services” is a metaphor used by Halliday in his *Introduction to Functional Grammar* (1985, 1994, 2004) to mean that language is used to get someone to do something for you (Halliday 2004: 107). See Text 1 – 2 below:

Text 1 – 2 I’ll See to the Rest

A guard was about to signal his train to start when he saw an attractive girl standing on the platform by an open door, talking to another pretty girl inside the carriage.

“Come on, miss!” he shouted. “**Shut the door**, please!”

“Oh, I just want to kiss my sister goodbye,” she called back.

“**You just shut that door**, please,” called the guard, “and I’ll see to the rest.”

[Retrieved from <http://wenku.baidu.com/view/6b5902aad1f34693daef3eb2.html>]

In Text 1 – 2, “*Shut the door, please!*” as well as “*You just shut that door*” are clauses used by the guard to order the girl to do something (*to shut the door*). Here language is used only as the end.

One of the differences between proposition clauses and proposal ones is that a clause expressing proposition is used as both the means and the end of the exchange, while a clause expressing proposal is used only as the end of the exchange. Besides, there are some other differences. Halliday holds that proposition clauses are “something that can be argued about — something that can be affirmed or denied, and also doubted, contradicted, insisted on, accepted with reservation, qualified, tempered, regretted and so on.” But proposal clauses are something that “cannot be affirmed or denied.” (Halliday 1994: 70)

1.2.3 Why is the rank of clause the central unit in lexicogrammar?

In Systemic Functional Linguistics (hereafter SFL), language is a system of strata. This is illustrated in Figure 1 – 1.