

语言的人际元功能新探

—— 自传话语的人际意义研究

Coming to Grips with Interpersonal Meaning in Autobiography

李战子 著

autobiography

autobiography

autobiography

autobiography

autobiography

autobiography

军事谊文出版社

图书在版编目(CIP)数据

语言的人际元功能新探/李战子著. - 北京:军事谊文出版社,
2000.4

ISBN 7-80027-989-8

I.语… II.李… III.英语-功能(语言学)-研究 IV.H31

中国版本图书馆 CIP 数据核字(2000)第 21482 号

书 名:《语言的人际元功能新探》

著 者:李战子

出版发行者:军事谊文出版社(北京安定门外黄寺大街乙一号)
(邮编 100011)

印刷者:北京天利华印装厂

开 本:850×1168 毫米 1/32

版 次:2000 年 4 月第 1 版

印 次:2000 年 4 月第 1 次印刷

印 张:11.1875

字 数:280 千字

印 数:1-1000

书 号:ISBN 7-80027-989-8/C·87

定 价:18.00 元

序

1995年7月战子来北大参加第22届国际系统功能语言学大会,我们首次见面,从此结下师生之缘。三年寒暑,她已完成学业,回到南京。我则身边少了一人,有些冷清,幸亏电子邮件和国内长途弥补了这个缺陷,信息常通,我们在学术交流上似乎从来没有分开过。如今战子要我为她的论文做序,我欣然从命。

战子入学前以写文体学和语篇分析的论文见长。她的博士论文是对传记语类的语言学分析,无疑从广度和深度看,都上了一个新的台阶。

近几十年来,国内外出版了较多的传记和文章,但对传记文学这一语类的语言学研究在我国还只是起步阶段。因此战子的论文对自传体如何表达人际意义进行研究,是一个良好的开端。她深入分析了20部自传著作和20篇自传体论文,积累了大量原始资料,使本论文的材料工作有了保证。

战子采用的理论框架为系统功能语法的元功能理论,特别是其人际元功能部分。但她不拘于一家之言,也学习消化了叙述学、修辞学、文体学、语用学、语篇分析等理论,以及布拉格学派,巴赫金的作者和读者的互动理论,维根斯坦的游戏理论等学术观点,这拓宽了她的视野,使本论文有较扎实的理论指导,并具有较多的新意。

就自传体的人际意义来说,战子总结了3个功能,即对细节

叙述的肯定性，边述边评，和对读者的激发。就系统功能语法的人际功能来说，作者对“人际”做了新的界定，她认为人际意义应包括个人的，群体的和社会文化的三个方面。其次，传统理论的人际部分在语言层体现时，过去仅包括语气和情态两个系统，战子则列举大量语言事实，提出 5 个范畴的框架，即认知情态，人称代词，现在时态，直接引语和反身表达。

在完成理论部分建设的同时，战子在学生中进行了实验，以检验自己的理论假设。这提高了理论的可靠性和实际教学效果。

难能可贵的是战子持实事求是的态度，提出自己模式的不足和进一步研究的方向，如，不论是从历时的或共时的角度，材料分析工作还可扩大；自传体分析中传记作者在作者读者关系中所起的主导作用，应当不同于会话分析中的说话人和听话人的关系，但如何说明其不同点和实质还有待进一步研究，等。战子如此谦虚，没有为自己封顶，说明她来日方长，前途无量。我愿她有更大的进步。

战子之所以能取得上述成就，是与她的优秀品质和自我严格要求分不开的。她在南京国际关系学院的表现已有定论，据说在该校教学区的橱窗中报道了她的先进事迹。我想说的是她在北大学习期间，从不在我面前对他人说三道四，而是致力于参加这样那样的学术活动。我也从来没有为她能否按时完成论文而发愁。她把她的爱倾注在她的事业，倾注在她的家庭。这部论文的问世就是一个明证。我再次祝贺她的成就！

胡壮麟

1999 年 10 月 20 日于
北京大学畅春园

Acknowledgment

I am greatly indebted to Prof. Hu Zhuanglin, my supervisor, for his consistent encouragement, support and help throughout my doctoral studies and particularly for his meticulous reading of several drafts of this thesis and several other papers related to the thesis. I appreciate his invaluable advice concerning the revision. I have particularly good memories of the time when I attended his lectures on pragmatics and stylistics, and his talks on functional grammar and research methodologies at the Linguistic Salon. His profound scholarship is what I have benefited most from within the three years in PKU.

I would like to thank Prof. Shen Dan, whose thought-provoking lectures on narratology virtually led me into the temple of narrative studies. She has been kind and helpful in reading several of my papers in which I rehearsed some ideas of the thesis and I especially like the meticulous and critical way she pointed out the problems in my thesis draft and got me over some troublesome spots.

Special thanks go to Prof. Gao Yihong for her help with the thesis with a wonderful combination of friendly encouragement and honest acute criticism. She provided numerous suggestions for improvement and gave me opportunity to talk about the thesis at the Linguistic Salon in the English department of PKU, which enabled me to rethink and clarify some of my positions. I have profited immensely from her help.

I would also like to thank other professors in the English de-

partment — Prof. Wang Fengxin, Prof. Jiang Wangqi, Prof. Qian Jun, and Prof. He Wei for patiently listening to my thesis outline and presentation at preparatory oral-defense and engaging in an illuminating dialogue.

I am grateful to Dr. David Parker, Prof. Leone Krammer, Prof. Geoffrey Thompson, Prof. Hu Wenzhong, and Prof. Zhao Baisheng for helping with the research in various ways. Rather than elaborate details here, I let their names stand as my tribute to them.

I am also grateful to my friends Wang Lan, Fan Wenfang, Wang Liya and my teachers and colleagues back in Nanjing who are a source of constant assurance I can fall back on. Without their help, the study in PKU and the writing of the thesis would have become a tedious task instead of an enjoyable voyage as it has been.

My greatest debt of gratitude is to my husband, without whose love and support this dissertation could not have been written. And thanks also go to my parents for the love they have been giving me all these years.

Abstract

This thesis has two major concerns. Conceptually, I attempt to bridge the gap between functional grammar's approach of studying mood and modality as the major exponents of interpersonal meaning and the extensive existence of linguistic elements which realize interpersonal meaning at the discourse level. I set up a discourse-based two-level model of studying interpersonal meaning to incorporate the multiple means of realizing interpersonal meaning, and to perceive them ultimately in a discourse context. Meanwhile, I have readjusted the semantic elements in the original model to make the expanded model better suited to the task of being applied to analysis of full-length written discourse. In this way I build up the theoretical basis for the ensuing analysis of five elements that contribute to interpersonal meaning in autobiography. The model can be summarized as micro-social level and macro-social level interpersonal meaning, realized by epistemic, evaluative, and interactive expressions.

The main body of the thesis is an exploration of the interpersonal features of autobiography through down-to-earth discourse analysis. I conduct my application of the model principally through an analysis of twenty full length autobiographies and 20 pieces of autobiographical writings. The five elements contributing to interpersonal meaning are: epistemic modal expressions, personal pronouns, especially the use of the second-person 'you', present tense, direct discourse and reflexive expressions. A separate chapter is devoted to each of the five elements for the convenience of presentation, though they are interrelated to a certain extent, especially tense, person and

reflexive expressions.

Based on what I have studied, the writer-reader relationship as we can envision is implicit authority on the writer's part, in response to the underlying challenge on the reader's part. And as a result of the tension between these two tendencies, the autobiographer has to balance a reassuringly authoritative display of his memory with a concern to be accepted by the reader as true or accurate and to show appropriate consideration for the reader on an interpersonal level. What lies behind this is the desire to make explicit and implicit evaluations that motivates the act of autobiographical writing. This impacts on a number of different kinds of lexical-grammatical choices. The writer tries to modify his memory to claim different degrees of certainty so as to make the narration convincing as well as revealing; he addresses the reader as 'you' or use 'you' in the textual world to create the pull for the reader to get into the same social-cultural milieu; he uses present tense to turn to the reader intermittently and to make implicit evaluations along the way; he uses direct discourse to create vividness and more significantly, to make or endorse evaluations; last, but not the least, he resorts to reflexive expressions to realize a large amount of interpersonal functions such as directing, convincing, and evaluating.

The significance of the thesis is three-fold. First, it is an attempt to adopt the multi-disciplinary approach to do discourse analysis instead of relying on one single theory or model. To be specific, it exploits the insights of narrative studies, rhetorical studies, stylistics, and theories of autobiographical studies to a considerable extent and incorporates them within the general framework of interpersonal meaning in functional linguistics, enriching the theory in the process

by setting up a discourse-based two-level model. The model that I propose may facilitate the study of interpersonal meaning in long full-length discourse, especially such narratives as autobiography. Secondly, it treats autobiography as textual constructs and works out its writer-reader relationship through substantive linguistic analysis instead of theorizing on features of autobiography in an impressionistic or purely philosophical manner. The application of the expanded model of studying interpersonal meaning to discourse analysis of autobiography proves to be fruitful. Thirdly, the thesis is educational-oriented in that it chooses as its starting point discrete grammatical items, (except reflexive expressions, which can be considered among the prominent generic features of autobiography), proceeds with their broader discourse functions and comes out with their prosodic interpersonal functions in the autobiographical discourse as a whole. This approach will facilitate teaching of advanced reading and writing by acquainting students with insights about the relationship between grammar and discourse meaning, and by enabling them to perceive the potentially complex relationship between the writer and the reader.

自传话语的人际意义研究

摘 要

本论文属于话语分析的跨学科研究,以功能语法对人际意义的研究为出发点,融合叙事学、文体学和话语分析理论,拓展了人际意义的研究范围,调整了研究要素,并用改进后的模式对自传这一边缘性话语体裁的人际意义进行了深入的探索,证实了改进模式的必要性和自传人际意义的丰富性与复杂性。

本论文有两个主要目的。理论上试图建构以话语为出发点的微观社会和宏观社会两个层面的人际意义模式,突破功能语法把小句范围的语气和情态作为人际意义主要成分的模式,并把人际意义的组成成分调整为认识论性的、评价性的、和互动性的三个因素。同时,本文应用这一改进了的模式对 20 部自传和 20 个自传性语篇进行了细致的话语分析,探讨了以下五个语法项目和语言特征对构筑自传话语的人际意义的功能,它们分别是:认识论性的情态表达、人称代词特别是第二人称代词“你”、现在时、直接引语和反身性表达。

研究发现,自传中作者和读者的关系基本呈现为:作者享有隐含的权威,同时须回应来自读者的潜在的质疑,由于这两股趋势形成的张力,作者须在展示记忆的权威性和使读者接受作品的真实性之间寻得平衡,在这后面是驱使他写作自传的一种动力——对经历和观点作评价。具体表现为:作者通过各种认识论性的情态表达造成不同程度的确定与不确定,从而使叙事即有揭示性又保持可信度;他/她称呼读者为“你”或者在篇章世界中使用“你”对读者造成向里的拉力,使他们得以进入自传篇章中的社会文化情境;

他使用现在时不时地在叙事中直接对读者说话,或者在叙事的同时作隐性的评价;他用直接引语造成生动的印象,更重要的是用来作评价或认可评价,特别是关于意识形态和文化的评价;此外,他用大量的反身性表达实现诸如引导、说服、和评价等多种人际意义。

本论文的贡献主要在于以下四方面。首先,它通过两层三元素模式的建立,在理论上丰富了功能语法对语言的人际元功能研究的内容和范围,使人际意义的研究得以更好地在书面话语层面展开。第二,本文试图采用跨学科方法进行话语分析,而不是仅仅局限在某一个模式或框架中,具体地说,本文较多地汲取了叙事学、修辞学、文体学和自传研究理论,并把它们融入系统功能语言学对人际功能研究的框架。第三,本文将自传作为话语,通过深入切实的语言学分析描述出其作者读者关系的基本图景。以功能语法为主要框架对自传人际关系的语言学聚焦在自传研究中尚无先例。第四,本文的研究价值取向紧密结合教学意义,因此它以离散的语法项目或语言特征为出发点,通过分析它们在具体话语中的功能,探讨其在整个自传话语类别中如何帮助实现人际功能。这一研究方法有助于高级阅读教学,使学生把握语法和话语意义的关系;同时,两个层面的人际意义模式有助于创造性写作的教学,使学生通过写作自传性语篇了解作者与读者关系的复杂性。

关键词: 人际意义 人际功能 人际关系 自传 话语分析
功能语法 叙事学

CONTENTS

Acknowledgment

Abstract

Chapter One Introduction /1

- 1.1. Purpose of the dissertation /1
- 1.2. Interpersonal meaning (IP) in functional grammar and beyond /2
 - 1.2.1. IP in the framework of functional grammar /2
 - 1.2.2. Significance of studying IP — a critical survey /5
- 1.3. A discourse-based two-level model of studying IP /12
 - 1.3.1. Four arguments about IP /12
 - 1.3.2. A two-level model of studying IP /23
- 1.4. IP features of autobiography /28
 - 1.4.1. Autobiographical study in general /28
 - 1.4.2. Interpersonal features of autobiography /31
- 1.5. Approach /41
 - 1.5.1 Functional linguistics' cutting edge of IP in autobiography /41
 - 1.5.2. Narratology's cutting edge of IP in autobiography /44
 - 1.5.3. Interdisciplinary approach /47
- 1.6. Data /47
- 1.7. Organization of the chapters /49

Chapter 2. Epistemic Modal Expressions and Their Interpersonal

	Functions in Autobiography	/51
2.1.	Purpose of the chapter	/51
2.2.	Theoretical survey	/51
2.2.1.	Types of modality	/53
2.2.2.	Modality as a major exponent of IP meaning	/53
2.2.3.	A broadened understanding of modal expressions- modality metaphor	/55
2.2.4.	Modal values and modal responsibility	/57
2.2.5.	Global modality orientation of autobiography	/58
2.2.6.	Focalization: narratology's perspective of IP relationship	/59
2.3.	Modality in focalization — a close look at autobiographical writings	/61
2.4.	How epistemic modality expressions contribute to the first-person limited views of autobiography	/62
2.4.1.	Simpson's modal grammar and A positive vs. A negative mode	/62
2.4.2.	Epistemic modality in autobiography and its functions	/63
2.5.	Pseudo temporary transgressions of mode	/70
2.5.1.	Transgressions of mode in narrative studies	/70
2.5.2.	Studying transgressions of mode in autobiography through verba sentiendi and epistemic modality	/71
2.5.3.	Using epistemic modals to legitimize brief transgressions of mode	/75
2.5.4.	Zero epistemic modals in the interplay of the experiencing self and narrating self's focalization	/85
2.6.	Brief near-omniscience at the beginning of autobiography	/89

- 2.6.1. Brief near-omniscience at the beginning of autobiography /90
- 2.6.2. Attribution expressions as expressions of epistemic modality /91
- 2.6.3. Scope of modal expressions and the prosodic nature of IP /96
- 2.7. Summary /97

Chapter 3. Present Tense and Its Interpersonal Functions in Autobiography /99

- 3.1. Purpose of the chapter /99
- 3.2. Theoretical survey /99
 - 3.2.1. Tense as grammatical category /100
 - 3.2.2. Tense as part of ideational meaning /101
 - 3.2.3. Tense and linguistic modality /102
 - 3.2.4. Tense as interpersonal relationship marker /103
 - 3.2.5. Two time frames of autobiography /104
- 3.3. Tense patterns in autobiography /105
- 3.4. Speaker-now present tense (PRE) /106
 - 3.4.1. PRE in 6 patterns of clauses /106
 - 3.4.2. Beyond syntax /123
- 3.5. Story-now PRE /136
 - 3.5.1. PRE creating consonance /136
 - 3.5.2. grammatical relativity of PRE /139
 - 3.5.3. PRE canceling retrospectivity /142
 - 3.5.4. PRE making internal evaluation /144
- 3.6. "Thick present" in autobiography /145

- 3.7. Categorization of autobiographies according to PRE /147
- 3.8. Summary /148

Chapter 4. Person and Its Interpersonal Functions in Autobiography /150

- 4.1. Purpose of the chapter /150
- 4.2. Theoretical survey /150
 - 4.2.1. Person as a grammatical-bordering-on-pragmatic category /151
 - 4.2.2. Person being deictic and anaphoric in functional grammar /151
 - 4.2.3. *You* as indicating 'listener' in stylistics /153
 - 4.2.4. Narratee in narratology and audience in rhetorical studies /154
- 4.3. Scheme description /157
- 4.4. Who are the 'you's? — classification of *you* in autobiographies /159
 - 4.4.1. *You* as rhetorical posture /160
 - 4.4.2. *You* in generalizations /165
 - 4.4.3. *You* in imaginary projection /167
 - 4.4.4. *You* in dramatic narration /169
 - 4.4.5. *You* as *I* in self-addressed interior dialog /174
 - 4.4.6. *You* as a member of the group of which the autobiographer is the spokesperson /176
 - 4.4.7. *You* in indirect and free indirect discourse /179
 - 4.4.8. *You* addressing intradiegetic narratee /183
- 4.5. Indeterminate *you* and inconsistent *you* /189

- 4.6. The overall pull of *you* /195
- 4.7. Other pronouns — *we*, *I* and *he/she* /197
 - 4.7.1. *We* — varying range of inclusion /197
 - 4.7.2. Splitting *I* to *I* and *he/she* /199
- 4.8. Summary /202

Chapter 5. Direct Discourse and Its Interpersonal Functions in Autobiography /208

- 5.1. Purpose of the chapter /208
- 5.2. Theoretical survey of the nature of direct discourse (DD) /209
 - 5.2.1. DD in functional grammar /209
 - 5.2.2. DD — writer's conscious choice /211
 - 5.2.3. DD in fictional and non-fictional works /212
 - 5.2.4. DD and its interpersonal functions /214
- 5.3. DD contributing to the epistemic certainty of autobiographical discourse /215
 - 5.3.1. Creating truthfulness /215
 - 5.3.2. Direct discourse fallacy /216
 - 5.3.3. Analysis of the fictional nature of DD in autobiographies /218
- 5.4. DD making evaluations /230
 - 5.4.1. Occurring in summary rather than in scene /231
 - 5.4.2. By unimportant or even anonymous speakers /236
 - 5.4.3. Occurring in scene but with the evaluation foregrounded /238
 - 5.4.4. Delayed evaluation, character zone and cohesive ties

	/245
5.4.5. Evaluation as evaluation of ideology	/247
5.4.6. Self-quotation enhancing writer-reader rapport	/249
5.4.7. DD as a way of foregrounding	/252
5.4.8. Scare quotes and unreliable narration	/254
5.5. Summary	/258
 Chapter 6. Reflexive expressions and their interpersonal functions in autobiography	 /259
6.1. Purpose of the chapter	/259
6.2. Theoretical survey of reflexives	/259
6.3. Defining reflexives in autobiography	/263
6.4. An intensive study of 'I remember' as reflexive markers	/265
6.4.1. Reflexive markers vs. pragmatic markers	/266
6.4.2. 'I remember' expressing epistemic modality	/267
6.4.3. 'I remember' achieving evaluative emphasis	/283
6.4.4. 'I remember' as intimacy signal in oral story telling	/286
6.5. More on type I: claiming truth and certainty	/287
6.6. Type II: reflexives indicating difficulties, reservations and frustrations in writing	/290
6.7. Type III: reflexives seeking justification for local and global organization of autobiography	/291
6.8. Type IV: reflexives striking on the significance and uniqueness of memory	/299
6.9. Summary	/303