

湖南科技大学英语语言文学学术专著系列

互文性的语篇语言学研究

A Text Linguistic Approach to Intertextuality



刘金明 著

外语教学与研究出版社

FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS

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总序

湖南科技大学外语学院一批中青年教师刻苦攻博，学有所成，其博士论文展现了他们在各自学术领域的研究成果。湖南科技大学及其外语学院决定把他们的作品汇编成“湖南科技大学英语语言文学学术专著系列”丛书出版，这是繁荣学术研究、提高学术水平的一个重要举措，也是为我国的人文学科学术发展作出的贡献，值得庆贺。

我读这些博士论文最大的感受是：作者都比较注意吸收国内外同行的相关的新思想、新理论，注意研究方法，特别是注意跟上研究范式的转换，所以论文中新意不少。该系列现在出版的这几本，都明显地表现出这一长处和特点。这也许是作者受到正规的学位训练和当代人文学科研究方法的熏陶的结果。我认为，作为博士的培养，这是极为重要的，是这些博士们得以成长的重要学术养分，也是他们今后学术发展的重要基础。

上世纪 50 年代以来，人文学科研究有了迅猛的发展。文学、语言学的研究同其他一些人文学科一样，着重解释性取向的研究，努力探索文学现象和语言现象表层背后的机理。这是人文学科研究范式的一次重大的转换。对这些现象的机理进行解释性研究的路子是多方面的。无论是什么路子、什么角度，都离不开两个方面：一、文学/语言的本体；二、文学作品/语言的生成者和接收者以及围绕着他们而与该产品有关的各种各样关系的总和。对于一项具体研究来说，这两个方面的研究是会有侧重的，例如着重文学或语言文本的本体、着重生产者/接受者、着重文本产生的社会推动力、着重文本的社会功能，等等；但是，文本总是人生产和使用的，文本各种各样的特点总是直接

或间接折射出使用者明显或隐蔽的认知特征和心态活动以及相关环境。这样，多方面的路子集中到一点：文学/语言学的研究，特别是解释性的研究，不能只顾作品不顾人；就是着重文本本体研究的，也是要以人为视角，才不会成为一堆冷冰冰的素材。这些博士论文的研究令我们耳目一新，注意到了研究范式的这一转换也许是一个重要的原因。

人文学科的研究强烈地受到世界观的影响。对世界怎样看直接影响到对文学和语言怎样看，从而折射到我们的研究中来，成为研究的方法论。

上世纪四五十年代出现的系统科学给我们提供了观察世界的一种新视角。但是当时的认识还受机械论、还原论的影响，所以在上个世纪六七十年代发展起来的第一代系统科学的研究范式还明显地表现出这样的倾向。文学研究、语言学研究中的某些机械论、还原论的倾向不能说同这样的认识毫无关系。随着系统论研究的深入，协同论、耗散结构理论、突变论给我们展示了一个更为复杂的世界的新图景；复杂性理论、非线性理论成为观察世界的一种新思维。部分地由于受复杂性理论的影响，系统科学研究出现了范式的转换，其多元的范式包括连通主义、新行为主义、复杂系统理论、动力系统理论等。当代认知科学研究扩展到心理语言与神经语言的转换、人的意识生成机制、大脑对内外世界的解释性假定性模型、意识性体验、心身互动关系等重要的前沿问题。它们共同的理论假设是：认知是涉身的、情境化的、发展的、是涉及复杂的脑神经动力系统的。当将人类的大脑及认知系统看作复杂系统来研究的时候，认知过程就被看作是动态的、生成的、开放的、表现出自组织的特性，而不是由一部分一部分简单相加构成的，是不可以还原为物理过程的。

这些研究的成果直接或间接地深刻影响着当前的人文学科的研究，明显地或潜移默化地成为人们思考问题的方法论。既然认知过程是动态的、生成的、开放的、表现出自组织的特性，人们大脑中的知识的形成和发展也必然表现出这样的特性；从研究的方法论来说，也就必然要体现生成整体论的方法论。大体说来，最重要是把整体性作为基本原则彻底贯彻下来，以整体、动态、生成的观念把握人类知识

的形成、变化和发展。用这样的观点和方法来观察文学现象、语言现象，就会把文学文本、语言文本看成动态生成的、丰富生动的、由多方面作用力形成的产物；把这些文本的使用者的大脑看成是涉身的、情境化的、发展的，因而他们对文本的影响也是情景化的、复杂的；把这些文本产生的周围环境看成是动态的、开放的，因而其影响也会是多方面的。

以生成整体论作为文学作品和语言研究的方法论是个大问题，值得我们关注。我这个简短的序只是把问题提出来，供大家参考。我希望我们做文学、语言学研究的博士研究生朋友们充分注意这个重要的学术倾向。也许可以这样期待：谁能较早地在自己的研究中恰当地、灵活地、充分地把握体现生成整体论思想的研究方法论，谁就有可能较早地在自己的研究中做出新的突破。

随着湖南科技大学外国语学院攻读博士并学有所成的人越来越多，这套丛书必然越来越充实。我期待有更多更好的著作问世。

徐盛桓谨识

2007年3月29日于重庆

序

互文性（intertextuality）理论，如果追本穷源的话，是当代西方后现代主义文化思潮中产生的一种文本理论。它突出了文本内容之间与形式之间的相互作用，突出了文本与文化表意实践之间的关系，因此拓宽了文学研究的视野。这是互文性理论最具特色和最富贡献的一面。

然而，从其问世起，互文性理论就一直被认为非常复杂。其复杂性主要表现在两个方面：一是从一些主要互文性理论家的不同论述中可以看出，他们对互文性的界定、阐释以及在此基础上的实践运用各有其侧重点或理论兴趣点；二是从互文性理论的发展过程来看，符号学、结构主义、后结构主义等不同文化理论对互文性内涵的界定和阐释并非一致。

随着 20 世纪语言论转向，互文性已成为语篇的一个基本特征，互文性分析构成了语篇分析的一个重要方面，这些已成为语篇语言学家的共识。互文性理论不仅仅是一种文学理论，只局限于文学批评，它的语言论转向也开始受到了关注。

然而，进行互文性的语言学研究必定会面临诸多难题。首先，互文性并不表示一种稳定的、界限分明的关系。其次，互文性不一定局限于各种表义系统在特定语篇中的表现形式。再者，迄今为止，对互文性的分类尝试仍然不尽如人意。

就国内语言学者对互文性的研究成果而言，它们大多为理论的应用性研究。真正把互文性作为一种语言学理论体系进行构建，刘金明博士的《互文性的语篇语言学研究》一书可以说是开山之作。

他的研究所提供的不仅是视角的变换,也是一种观念的变换。从语言学角度研究源于文学批评的互文性概念,从总的研究背景上来看,契合于西方语言论转向的理论转换的历史与现实,开拓了新的研究领域。

刘金明博士的论著,是我国第一次从语言学角度较全面地论述互文性的大胆尝试,也是第一本在真正意义上对语篇语言学理论有所建树的力作。作者以语篇交际构成原则为经、以话语理论为纬,融合了当代诸多显学的研究精华,较好地解决了互文性的语言学界定、分类、理论体系、功能、阐释和应用等问题,较为完整地构建了一种互文性语言学。

刘金明博士的研究是十分艰巨的任务,是开创性的工作。无论是对于理论转换的尝试,还是对于语篇分析理论的探索,都作出了相当扎实的贡献。

这一研究融合创发,独辟蹊径。其理论转换的特色,正在引起国内语言学界的广泛关注,并对语篇语言学的进一步发展起到了实质性的推动作用。其研究成果,已经开始应用到我国外语研究与教学的相关领域,并已取得了可喜的成效。

胡曙中
上海外国语大学
2008年10月

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What's more, I want to thank those scholars and authors whose works I have consulted. In particular, I owe a great deal to Beaugrande and Bakhtin whose theories of text and discourse provide the theoretical basis for the present study.

Finally, I am indebted with the greatest gratitude to my wife, Zeng Xiaoli, whose love and understanding are so essential and substantial to me during my study in Shanghai. And thanks also go to my mother and my wife's parents. All these years they have been giving me the continued support and encouragement. Thus, it is my great pleasure to dedicate this book to all of them above.

Preface

Intertextuality is a term coined by the French semiotician Julia Kristeva in the late 1960s. Since then, intertextuality has become one of the most important key words of literary theory and cultural studies, and also one of the central research issues in these fields. Over the past twenty years, linguists have embraced Bakhtin's dialogism and extended the study of intertextuality beyond the literary domain. In 1981, Beaugrande and Dressler brought the notion of intertextuality into text linguistics—the study of how people manage to communicate via texts. They defined intertextuality as the “ways in which the production and reception of a given text depends upon the participants' knowledge of other texts” and treated it as one of the seven standards of textuality that a text must meet, which provided new theoretical perspectives for linguistic studies of intertextuality. However, not much attention has been devoted to intertextuality in text linguistic research. From literature review, we can see that a lot of research has been done in many different fields. But not much research has been conducted on intertextuality within the theoretical framework of text linguistics. This is why we venture into this field.

Within the theoretical framework of text linguistics, and mainly in light of the constitutive principles of textual communication and the theory of dialogism, the present study approaches intertextuality from the perspectives of shared knowledge and intertextual cues, intertextuality and genre, intertextuality and evaluation, and textual functions of intertextuality, attempting to reveal its linguistic, social, evaluative, and

cognitive dimensions which are represented in the text, and to demonstrate that intertextuality is not simply the semantic relationship formed between texts and other texts but an interactive process that has linguistic, social, evaluative and cognitive dimensions. We hope that this study will broaden our current understanding of intertextuality, open up new possibilities for intertextuality research, and make a moderate contribution to the building of theories of intertextuality as well as text and discourse studies.

This book consists of eight chapters.

Chapter 1 states the background of the present study, the research goals and methodology, and also gives an overview of the whole organization and structure of the book. Chapter 2 begins with a discussion of the origins of intertextuality from Plato, Saussure, Bakhtin, to Kristeva, in which we analyze the influence of Plato, Saussure and Bakhtin on Kristeva's articulation of intertextual theory. Then we outline the definitions, types, and degrees of intertextuality. In the final part of this chapter we present a brief literature review of some influential linguistic and critical linguistic studies of intertextuality. Chapter 3 is an introduction to text linguistics, including the definition of text linguistics, major schools of thought in text linguistics, definitions of text and discourse, principles of text linguistic research, as well as the related theories such as constitutive principles of textual communication, and voice and communication. This chapter is to provide a theoretical framework for the present study.

Chapter 4 to Chapter 7 are the backbone of this book.

Chapter 4 argues that a text linguistic approach to intertextuality lays significant emphasis on the notion of shared knowledge and the active role of the reader. In a sense, intertextuality is not a feature of the text alone but is activated and realized through the reader's reading and interpretation of the text. Shared knowledge is the basis for recognizing and interpreting intertextuality. Then it discusses some common intertextual cues in the text, such as quotation, parody, irony, negation,

stylization and text allusions. The intertextual cues are the linguistic manifestations of intertextuality which represent the linguistic dimension of intertextuality in the text. They cannot be effective if readers lack the shared knowledge needed to recognize and interpret these cues. Chapter 5 is an attempt to probe into the intertextual nature of genre by examining the notion of genre and generic intertextuality. From the angle of textual communication, genres refer to the relatively fixed text types that are associated with particular recurrent communicative purposes. Without genre communication would be impossible. Meanwhile, genre is dynamic and intertextual. In a community, genres usually influence each other and new genres may develop through combination of existing genres for new communicative purposes. Therefore, generic intertextuality and genre change reveal the social dimension of intertextuality in the text. Chapter 6 is chiefly concerned with intertextual evaluation. We argue that, given that texts are intertextual, evaluation then can be carried out intertextually, and that intertextual evaluation can be achieved through specific genres or through intertextual positioning. Generally, intertextual evaluation is related to the function of genre and the communicative purpose. Thus, we propose a new notion “intertextually evaluative potential of genre” for our purposes. Intertextual evaluation embodies the evaluative dimension of intertextuality in the text. Chapter 7 discusses textual functions of intertextuality. We argue that from the perspective of text understanding, intertextuality, one way or another, may perform at least three functions: evoking schemas, providing intertextual context, and inducing coherence. In text understanding intertextuality plays an active role, for text understanding is a dialogic process but not static unidirectional reception of information. We think that textual functions of intertextuality reveal the cognitive dimension of intertextuality in the text. Chapter 8 is a summary of the main points and a brief discussion of pedagogical implications as well as suggestions for future research.

Intertextuality is the fundamental nature of all texts. Texts are not meaningful individually; they are made meaningful only through their interconnection with other texts, different genres and so forth on which they draw, and the nature of their production and reception. In textual communication, text producers and receivers are influenced or constrained by intertextuality directly or indirectly. The present study suggests that intertextuality is crucial for textual communication. It is not simply the semantic relationship formed between texts and other texts but an interactive process that has linguistic, social, evaluative and cognitive dimensions. In this multidimensional interactive process, we can gain a deep insight into the interactive nature of text. And most importantly, we may further recognize that people are linguistically, socially, and culturally interdependent in communication via texts.

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