廖巧云 著

C-R-A 模式
言语交际的三维阐释

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and adaptation the regulatory mechanism. In spite of their functional diversity, we hold that communication is a process of the interaction among cooperation, relevance and adaptation.

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Acknowledgements

This book is a real team effort—everyone has contributed something to the completion of the project.

First and foremost, I owe a great debt of gratitude to my beloved supervisor Prof. He Zhaoxiong, for his well-informed guidance and his unfailing attention to this research project during the past three years of my study and research in the PhD. Program at Shanghai International Studies University. It is his insightful advice and his constructive comments, especially his painstaking scrutinizations of every draft of every chapter of this book, that not only make my theorization more possible and plausible, but also add much to the readability of this book. Moreover, over the past three years, it is his warm encouragement, penetrating judgment and constant strictness that are greatly conducive to the progress that I have made in the linguistic studies. Without his guidance and encouragement, the accomplishment of the present endeavor would be hardly possible. The profit that I have gained from his profound knowledge, remarkable expertise and intellectual ingenuity will be of everlasting significance to my future research. What has impressed me most is his amiable manner towards his students and his enthusiasm for his work, which have been and will be worth my admiration forever.

My great gratitude should also be given to Prof. Shu Dingfang, Prof. Mei Deming, Prof. Xu Yulong, and Prof. Feng Qinghua, for their informative lectures and enlightening seminars, which have benefited me a great deal during my three-year doctorate studies.

My special thanks also go to Prof. Xu Shenghuan and Prof. Gu

Yueguo, for their illuminating suggestions and for their kind offer of their own papers as well as some relevant materials.

I wish to thank Dr. Hou Guojin, one of my colleagues, Dr. Jiang Yong, my former colleague, and Prof. Xiang Chengdong, for their invaluable suggestions and enlightening discussions of this book. Also worthy of mention are the insights and joys that I have obtained from my doctoral classmates and friends: Xu Lijie, Han Geling, Mei Meilian, Song Jie, Liu Jiangang, Fang Chuanyu, Zhan Quanwang, Li Huadong, Gong Weidong, Yao Jun, Wang Wenbin, Cao Bo, Feng Jianming, to name but a few.

My thanks are also due to the authors from whom the citations in the book are derived.

Last, but not the least, I would like to express my special thanks to my family: my husband Li Peiyuan, who has given me endless support for my academic pursuit and continuous encouragement in my study and shoulders the task of taking care of our son during my absence, and my son Li Xianjie, whose excellent performance in his studies relieves me of anxiety so that I could concentrate on the pursuit of my academic study at SHISU. I also want to express my heartfelt thanks to my father, who passed away 8 years ago, and my mother for their unselfish love and endless support for my studies in the past of my life.

Despite the assistance of others, I remain solely responsible for all the misconceptions and misinterpretations in the present book.

序

　　语用学的最终目的是解释语言交际的过程，也就是说话者是怎么说话的，听话者是怎么理解所听到的话的。为了从理论上解释这个亿万民众都参与其中的、普通得不能再普通的人类日常生活现象，许多学者绞尽脑汁，煞费苦心。在过去的几十年间，相继出现了三个分别由美国、英国和欧洲学者提出的理论，即 Grice 的合作原则、Sperber & Wilson 的关联论和 Verschueren 的顺应论。这三个理论具有不同的理论前提，采取了不同的视角去解释交际过程，但它们的目标是一致的，可以比喻为通往同一个目的地罗马的三条不同的道路。但不得不指出的是，这三条路都不坦直，都存在不同程度的崎岖和曲折，甚至陷阱，令试图运用它们的许多语用学研究者既爱之，又恨之，于是出现了许多对它们的批评和修订建议。本书作者廖巧云女士所做的工作也属此类。但廖女士提出的方案较为大胆，较为激进，别具新意，即一个避三个理论各自之短、扬它们各自之长的合三为一的 C-R-A 模式。在国内的许多语用学研究中，仿效国外研究的多，独立创新的少；对现有理论小修小补的多，提出全新设想的少。廖女士提出这样一个具有创新意义的模式可以说在我国的语用学研究领域里向前迈出了大胆的一步。

　　"新"固然可贵，但"新"必须要有理据，"新"必须要有说服力。C-R-A 模式的根据在于它把三大理论的优势有机地结合起来，使哲学、认知和社会这三个视角互补，以达到比原来任何一个单一的理论都更有力、更全面的解释水平。用当今经济活动中的一句时髦话来说就是"资源共享，优势互补"，以达到更大的效益。在建立了新的理论框架之后，廖女士已经把她自己的这个新模式用于一些日常会话和一些文学、戏剧文本中的对话分析，初

步验证了它的解释能力。

当然,任何新的理论、新的模式在提出之时总会存在这样那样的缺陷,总会有这样那样的不足。我想 C-R-A 模式也同样如此。正如一种新产品推向市场后,它究竟是不是真的比原来的产品好,它本身还有没有可以再继续改进的地方,类似的问题只有让用户在使用的过程中去发现。我想这个新模式的提出一定会引起语用学研究圈内人士的注意和兴趣。我希望有更多的同人能对它评头论足,把它应用于更多的语料以测试它的解释能力。其结果无非是对它的肯定,或部分肯定部分否定,或完全否定。我想不论是哪一种结果,都应该被认为是我国语用研究的一种进步。如果因为怕被人否定而不敢提出新的想法,那么就永远不会有学术上的进步。所以,不论是哪一种结果,我想都应该是大家,包括廖女士本人所愿意看到的。

何兆熊

2005 年 6 月
于上海外国语大学

Abbreviations

A	adaptation
AT	Adaptation Theory
C	cooperation
CE	contextual effect/effects
CGT	classic Gricean Theory
CP	Cooperative Principle
H	hearer/listener/addressee
NGT	Neo-Gricean Theory
p	utterance/proposition
PE	processing effort/efforts
PP	Politeness Principle
q	speaker's intended interpretation
R	relevance
RT	Relevance Theory
S & W	Sperber and Wilson
S	speaker/addresser

English Abstract

The development of various pragmatic theories, Cooperative Principle (henceforth CP), Relevance Theory (henceforth RT), Adaptation Theory (henceforth AT), to name the main ones, provides a tremendous opportunity for our and any new investigation into communication, whose linguistic, cultural, social, functional, and pragmatic complication calls for more studies for a common, if not identical, understanding of it. The previous researches from philosophical, cognitive, and societal perspectives, however, indicate that none of them can be considered comprehensive or all-encompassing enough, let alone perfect. Consequently, the three representative theories—CP, RT and AT—can only cover a proportion of communication investigation, and in spite of their advantages in accounting for verbal communication, they each have their limitations and deficiencies. To be more specific, CP does not tell us exactly and clearly by what means we can reach the right implicature. RT tells us how to infer implicature by claiming that the first interpretation that comes into H's mind is the proper choice, but it seems to be too subjective. However, the problem does not lie in its subjectivity, but in the fact that it provides no means to lessen or weaken its subjectivity, namely it has no solution to the indeterminacy of H's interpretation. AT only stresses that language use means making linguistic choices, viz. making adaptations to a given context. But what is the basis for such adaptations and what is the direction of adaptation are not made clear. All these problems need to be solved. After analyzing their advantages and disadvantages, we have identified their mutual

complementarities and the necessity and possibility of a synthesis of them, which is what this book aims at.

This work, therefore, on the basis of the framework of experiential realism, is intended to integrate their merits to construct a new theoretical explanatory framework, called the Cooperation-Relevance-Adaptation Model (C-R-A Model for short) in this book, to account for verbal communication, while minimizing, if not overcoming fundamentally, their respective and common drawbacks. The thesis is inspired by and derived from the following ideas and findings: (1) the limitations of the pragmatic theories; (2) the philosophical basis from the theoretical framework of experiential realism (which is developed into an experiential approach to pragmatics by Marmaridou (2000)); (3) the implication from a new approach in scientific research, namely understanding complicated matters by drawing support from several theoretical systems or adopting a complex approach covering simple methods in the study of human beings and their real and mental world (陈一壮, 2004). Methodologically, this study is mainly qualitative, and theory-driven.

This book is divided into seven chapters. Chapter 1 provides a general introduction to our research; Chapters 2-4 lay the foundation for the study, discussing the definition of communication, the theoretical strengths and inadequacies of CP, RT and AT, and the theoretical basis; Chapter 5 formulates a tentative synthetical model, the C-R-A Model; Chapter 6 offers detailed analyses of a variety of utterances and conversations to demonstrate the applicability and efficiency of the C-R-A Model in accounting for communication; Chapter 7 provides the concluding remarks.

The focus of this study is on the establishment of the new model

for a more efficient account of communication. The three theories to be reviewed are CP, RT, and AT, hence the name of the model: C-R-A Model. As can be seen from the term proper, it is a tripartite model, which draws upon the rich nutrition from the philosophical, cognitive and societal studies in this regard. In this new model, the three key notions play different roles, with cooperation being the prerequisite for successful communication, relevance the necessary condition, and adaptation the regulatory mechanism. In spite of their functional diversity, we hold that communication is a process of the interaction among cooperation, relevance and adaptation.

The model consists of two versions: the primary version and the extended version. The former is mainly meant for simple communication processes, covering the account of single utterances, and the latter is employed for explication of complicated communication processes, particularly talk exchanges. Besides, the inferential process, the Quadratic Duet of Ostensive Inference, of the new model we have created on the basis of the ostensive-inferential model of RT, is capable of interpreting the process of inference in which explicatures and implicatures are deduced.

The C-R-A Model is based on the three maxims, i.e. maxims of Quality, Quantity and Manner (abstracted as ostension, see Chapter 5). If an utterance abides by the three maxims, then the interpretation of it undergoes an easy, one-step inference; if the utterance violates one maxim or more, the interpretation of it is bound to go to the stage of searching for relevance. These two stages of interpretation mainly rely on the hearer's experiential framework. If the interpretation is still indeterminate, the hearer resorts to an adaptation, usually initiated by the hearer but conducted by both sides. The adaptation works as a

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regulatory mechanism to guarantee the validity of inference. The three key notions, cooperation, relevance and adaptation are investigated in detail, which bear somewhat different implications in our model from their original meanings (see 5.4.2.2).

In our model, we also demonstrate that communicators can have either of the two main attitudes: *cooperative* and *non-cooperative*, between which different degrees of indefinite attitudes are subsumed under the heading of *less cooperative*. In the same vein, the degrees of relevance can also be roughly classified into three: *optimally relevant*, *less relevant*, and *irrelevant*; the types of adaptation can be categorized as *explicitly adaptative*, *implicitly adaptative* and *non-adaptative*. Based on these different attitudes, degrees and types, verbal communication can be viewed as being *successful, less successful* and *unsuccessful*. Theoretically, cooperation and relevance, via explicit or implicit adaptation, can lead to successful verbal communication; cooperation or less cooperation and less relevance can lead to successful communication via explicit adaptation, but improper adaptation may result in failure; non-cooperation, irrelevance and non-adaptation are bound to cause failure; cooperation and non-relevance theoretically will be doomed to result in failure; cooperation, relevance and non-adaptation may result in failure; and so on and so forth.

We find that this model can, to some extent, resolve the main problems that the three main theories have each faced: (i) it answers the question of how H reaches the implicature, namely searching for relevance; (ii) it is found that adaptation is the right way to make sure that the relevant interpretation is the intended one; (iii) cooperation and relevance become the basis and direction for adaptations. We

approach adaptation from both S's and H's perspectives; both S and H make adaptations, when necessary. Therefore, taking into account the three factors (cooperation, relevance and adaptation) together, our new model can account for communication better and more persuasively. Besides, the application of the C-R-A Model to analyses of daily utterances and conversations indicates that the new model, with the two versions complementing each other, can account for verbal communication in a more adequate way.

This attempted integration of the pragmatic theories can be regarded as a proof of the validity of the complex approach covering simple methods. It is a trial of putting the scientific approach into practice; it is also the practice of applying the philosophical idea of experiential realism to the study of language use; it is our belief that the C-R-A Model can be extended to the explanation of more complicated communication processes, such as the written form.

Key words: communication; C-R-A Model; tripartite account; experientialism

中文摘要

交际是个复杂的社会现象，语用学理论的发展为研究这一现象提供了契机。但是，目前的研究，包括从哲学、认知和社会视角进行的研究，还远不能说尽善尽美，所以进一步研究显得很有必要。语用学的三大代表性理论，即合作原则（CP）、关联理论（RT）和顺应论（AT），只能部分地描述或阐释交际（过程）。它们在描述交际方面均有自己的优势，但同时又囿于自身的局限，所以三大理论均不能全面有效地解释言语交际问题。具体说来，CP 未能说明人们通过何种手段获取含义；RT 回答了获取含义的手段问题，但主观性过强而且缺乏降低主观程度或减少理解或然性的手段；AT 只强调语言使用就是语言选择，即作出适合特定语境的顺应，但是缺乏顺应的基础和方向。我们的研究试图解决这些问题。通过对其优势与不足的分析，我们发现这三大理论具有互补性，并具有整合研究的必要性和可行性。

本研究主要目的在于：以经验现实主义为理论指导，将三大理论的优势结合起来，重建一个新的阐释性理论框架，称为"C-R-A 模式"，试图克服，至少减少三大理论之缺陷与不足。本研究之出发点如下：（1）现有语用理论在描述交际时存在不足；（2）经验现实主义这一哲学框架为我们提供了理论基础，特别是 Marmaridou（2000）将它用于语用学研究给了我们启发；（3）科学研究的一个新倾向，即包纳简单性方法的复杂性方法给我们的启示和指导。这一方法借助于两个以至多个并列的彼此独立的理论系统使不同的认识结果互相补充。（陈一壮，2004）第三点反映了科学研究的新倾向，也是本项研究的理论意义所在。本文主要采用定性研究方法，偏重理论探讨。

全书共分 7 章。第一章为本研究的总体介绍。第二至四章为

整个研究奠定基础：讨论交际的工作定义，三大理论的优势与不足，以及本研究的理论基础，亦即经验现实主义。第五章构建综合性模式，即 C-R-A 模式。第六章是关于 C-R-A 模式的应用，详细分析各类简单话语、会话，以说明该模式在交际阐释中的实用性和有效性。第七章为结论，以总揽全文。

如前所述，本研究的核心部分是建立一个能更有效、更全面地阐释成功交际的新模式，而我们综合研究的始发理论是 CP，RT 和 AT，因此我们取其名为"C-R-A 模式"。这是一个集哲学、认知和社会三大视角的研究优势于一体的三维模式。其中，三大理论的三个核心概念在该模式中起不同的作用：合作是成功交际的先决条件，关联是其必要条件，顺应是其调节机制。虽然其作用不同，我们认为交际是合作、关联、顺应相互作用的过程，成功的交际过程其实就是合作、关联和顺应的过程。

该模式包括两个二级模式，亦即"初级模式"和"扩展模式"。前者主要用于简单的交际，即单个话语或简单交际过程的阐释；后者则用于复杂的交际，即完整的复杂的交际过程，特别是（多个话轮的）会话的阐释。此外，建立在"明示——推理模式"（Sperber & Wilson， 1995/2001）基础上的推理过程，即"多级—二步明示推理模式"既能解释显义又能解释含义。

CP 的三个准则，即质准则、量准则和方式准则（抽象为"明示"，参见第五章）是该模式的基础。当话语遵守这三条准则时，话语理解只需做简单的一步推理；当话语违反其中一条以上准则时，话语理解必须进入寻求关联的阶段。这两步主要取决于听话人的经验框架。假如两步后仍然是或然不定的，那么就必须求助于顺应，这一过程通常是由听话人发起而由双方共同完成的。所以顺应成为保障准确的推理结果的调节机制。

我们认为，交际者有两种主要态度，要么合作，要么不合作；两种态度中间还有不同层级的模糊态度，这里统称为欠合作。同

样地，将关联分为最佳关联、欠关联和不关联；将顺应分为显性顺应、隐性顺应和不顺应。以此为基础，言语交际也分为成功、准成功和不成功三种情况。凡是合作又关联的，通过隐性顺应或显性顺应，理论上均可促成交际成功；合作或欠合作的弱关联话语，理论上必须通过显性顺应才能促使交际成功，顺应不当也可能失败；不合作、不关联、不顺应的话语，理论上必然导致交际的失败；只合作而不关联的话语，理论上必然导致交际失败；合作又关联而不顺应的话语，理论上也有交际失败的可能性；等等。

　　C-R-A 模式在一定程度上解决了三大理论所面临的问题：寻求关联成为获取含意的手段，以补 CP 之不足；顺应成为听话人正确理解讲话人含义的保障，以补 RT 之不足；合作和关联成为顺应的基础和方向。我们从讲话人和听话人的角度讨论顺应，必要时，双方都将作出顺应。所以，结合了三种因素的模式对话语的阐释更具说服力。在日常话语和会话的分析中，因为有两个二级模式相互补充，该模式能比较合理地阐释言语交际过程。这一语用理论的结合研究"方法"，说明了包纳简单方法的复杂方法的有效性，是将经验现实主义的哲学方法应用到语言使用研究中的初步尝试，C-R-A 模式对言语交际的解释可以扩展到更加复杂的交际过程，比如巨大书面语篇。

关键词：言语交际；C-R-A 模式；三维阐释；经验现实主义

Contents