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A Socio-functional Study of
Interpersonal Meanings of Apology

王 梅 / 著



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特此致谢

序

王梅博士的《道歉语人际意义的社会功能研究》的专著就要出版了，请我写序，我感到非常高兴。愿与作者和读者一起分享她的成功和喜悦。王梅本科毕业于河北师范大学外语系，当时我还在河北师大任教，我第一次认识王梅，是参加她们的英语口语试，王梅准确的英语发音，流利的英语口语，扎实的英语知识给我留下很好的印象。后来，她考取河北师大的硕士研究生，我是她的指导教师。她刻苦勤奋、认真读书、踏踏实实的学风，以及敏而好学、不断进取的精神也给我留下很深的印象。2008年王梅考入北京师范大学外国语言文学学院攻读博士学位，研究方向为社会语言学。读博期间，她一直集中精力读书钻研，是一个不偷懒、肯吃苦、勤于读书、善于读书的学生，在同届同学中，有年轻有为、精力充沛的优势，展示出很强的学术研究能力和发展潜力。

王梅研究的内容是道歉语的人际意义。她的研究题目是“道歉语人际意义的社会功能研究”。道歉语是日常交际中一个非常普遍的语言现象，也是社会语言学和语用学研究中都比较关注的题目。近年来，尽管学术界对道歉语的界定及其功能存在不同意见，但仍有不少有关道歉语研究的专著和文章出版和发表。这些研究成果对道歉语的形式、使用、影响以及态度等方面进行了深入探讨，涉及社会学、社会心理学、语言学等不同领域。以往对道歉语的社会语用研究侧重于分析其本身作为言语行为的合适条件、语用策略及社会变量对道歉语使用的影响，很少有人关注其人际意义实现层面。这是王梅拓宽道歉语研究的一个创新。除此之外，王梅博士的这本研究专著有两个突出特点和

创新之处：一是功能语言学研究视角，二是解释性研究方法。

首先，王梅运用功能语言学的有关理论和观点阐释了道歉语的人际意义和社会功能，并构建了道歉语人际意义社会功能的分析模式。她认为人们使用道歉语时有两种态势：积极道歉态势和消极道歉态势。积极道歉态势的目的是承担责任，进而迎合交际对方的面子需求；而消极道歉态势的用意是推卸责任，进而保护交际者本身的利益。另外，根据功能语言学的评价理论，进入社会交际的语言都具备表达情感的功能。道歉语在表达情感过程中，呈现出道歉语形式与社会功能一致性表达或隐喻性表达（不对应）两种情况，如：一致性表达方式，即积极道歉表达积极情感，消极道歉表达消极情感；或隐喻性表达方式，即积极道歉表达消极情感，消极道歉表达积极情感。在王梅的分析模式里，她还分析了道歉语在人际交往中的身份建构功能。王梅认为人们使用道歉语时，常常可以通过使用道歉这种言语行为拉近或疏远交际关系，进而调节人际关系。作者在书中描述了道歉语在日常交际中的不同实现方式。作者认为语言和社会是相互影响、相互建构的。交际中不同道歉语言的选择既反映了静态的社会范畴，同时，选择过程也不同程度地折射出说话者的主观能动性。

其次，王梅采用了解释性研究方法探究道歉语人际意义的社会功能，运用演绎方法探讨道歉语人际意义和社会功能的关系和类型，并对人际意义社会功能的特性、内在联系和规律做出明晰的理论说明和阐释。解释性研究首先既要有适当的理论指导，又要基于对例证的提炼和分析，提出概括力强、解释力强、有新意、容易操作的分析模式，然后精选例证，分步演示自己的分析模式。王梅基于大量阅读的基础，综合语境理论、杜·波伊斯的“态势三角”理论与马丁的评价理论，提出道歉语人际意义的分析模式。在她的分析模式中，道歉语的人际意义建构体现在三个方面：表明交际态势、表达交际情感、调节人际关系。另外，王梅花了一年半的时间收集了八百多个道歉语的例子，从中精选一百多个例证，分类筛选和分析，反复检验和调整分析模式，然后分章演示分析模式的应用。王梅采用这种方法揭示道歉语人际意义的社会功能，解释道歉语的言语行为意义，这是一种研究思路和方法。

法的创新，是一篇整体思路清晰、例证选择得当、分析演示严谨的解释性研究论文。

王梅的研究对我们认识道歉语的人际意义、社会功能、得体使用道歉语，以及进一步探究道歉语的规律具有重要指导意义。她在这个领域取得了可喜的成绩。借她的学术专著出版之际，祝愿她以这本论著为出发点，继续关注道歉语以及道歉行为的发展，进一步拓展和深入推进有关道歉语的理论研究和应用研究，在社会语言学研究领域做出新的贡献。

田贵森

北京师范大学京师园

2013年3月8日

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issues and matters in everyday life. Thanks also go to my dear classmates and friends, doctoral candidates Wang Wen'e, Yang Chunhui, Tian Li, Zheng Xiaodong, Chai Wenzhu, Ma Defeng, and Li Xu for their warm support and encouragement, and my former colleague, Shang Jing, who kindly sent me relevant materials from England.

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摘 要

道歉语是日常交际中经常出现的语言现象，对道歉语的研究涉及社会学、社会心理学、语言学等不同领域。以往对道歉语的社会语用研究侧重于分析其本身作为言语行为的合适条件、语用策略及社会变量对道歉语使用的影响，很少有人关注其人际意义实现层面。

本书从社会功能视角对道歉语的人际意义进行研究。综合语境理论、杜·波伊斯的“态势三角”理论与马丁的评价理论，我提出道歉语人际意义分析模式。在这一分析模式中，道歉语的人际意义建构体现在三个方面：表明交际态势、表达交际情感、调节人际关系。

首先，道歉不仅仅是说声“对不起”，道歉语会表明交际者的交际态势：维护交际对方的面子需求或维护交际者本身的面子需求。我把这两种态势命名为积极道歉，即道歉是为承担责任，进而迎合交际对方的面子需求，与消极道歉，即道歉是为推卸责任，进而保护交际者本身的利益。

其次，进入社会交际的语言都会表达一定的情感。道歉语作为一种表达型言语行为在纷繁的情感表达过程中表现出形式与功能或对应或不对应，因而产生了交际情感的一致性表达方式，即积极道歉表达积极情感，消极道歉表达消极情感，或隐喻性表达方式，即积极道歉表达消极情感，消极道歉表达积极情感。我将评价理论应用在对道歉语情感表达的分析上。

最后，道歉是道歉双方的互动行为。在人际交往中，道歉语通常会与具有不同权势与同等关系的个人的身份相符合。而道歉者为了满足自己的交际目的，更可以通过道歉这种言语行为拉近或疏远交际关

系，进而调节人际关系。

本书描述了道歉语在日常交际中的各种实现方式，而不是局限在受礼貌原则控制的互动上。我认为语言和社会相互建构，交际中语言的选择既反映静态的社会范畴，又不同程度地含有说话者的主观能动性。

本书对道歉语研究的贡献在于从说话者角度出发采用社会功能视角对语言进行研究，提出并区分了积极道歉和消极道歉的概念，并分析了道歉行为中情感表达方式与人际关系建构的特点与规律。本书提出的道歉语人际意义分析模式为道歉语解释型研究提供了新思路。

关键词：道歉语 人际意义 社会功能 态势 情感 人际关系

ABSTRACT

Apologies are common utterances in everyday life. Sociologists, social psychologists, and communication researchers have all explored the role of apology in various social contexts. The study of apology from socio-pragmatic perspective mainly concerns the felicity conditions of apology as a speech act, apology strategy, and the co-occurrence and co-variation between apology and relevant social, cultural, and psychological variables. Few studies follow the issue of the realization of interpersonal meanings of apology.

The present work studies the interpersonal meanings of apology from a socio-functional perspective. Applying theories of context, Du Bois' theory of Stance Triangle, and Martin's Appraisal Theory, I propose an integrated model for the analysis of interpersonal meanings of apology. In my model, the interpersonal meanings of apology can be constructed on three dimensions: positioning stance, expressing affect, and adjusting social relations.

Firstly, apology is not only to say "I'm sorry". Apology positions the apologizer's communicative stance: to maintain the face wants of the apologized, or to meet the face wants of the apologizer. I classify these two communicative stances as Positive Apology, namely to acknowledge the responsibility and satisfy the face wants of the apologized, and Negative Apology, namely to evade the responsibility and protect the benefits of the apologizer.

Secondly, any utterance in language use conveys certain affect. Apology as an expressive speech act manifests the congruent or incongruent correspondence between the language form and language function in the realization of the diversities of affect. I name them congruent realization of affect, namely positive apology expressing euphoric affect and negative apology expressing dysphoric affect, and the metaphorical realization of apology, namely positive apology expressing dysphoric affect and negative apology expressing euphoric affect. I apply Appraisal Theory in my analysis of the realization of affect in apology.

Thirdly, apology is the dyadic interaction between both the apologizer and the apologized. Apologizers from different power and solidarity relations usually produce different kinds of apologies in accordance with their identities. To achieve the communicative purposes, the apologizer can also solidify or alienate social relations and adjust interpersonal relationships.

The present work studies the realization of apologies of various kinds in our daily communication and is not limited to the interaction under the control of politeness principle. I maintain that language and society are co-constructed. Not only does language reflect the static social categories, but it also involves the speaker's own agency in daily communication.

The contributions of the present work to the study of apology are that by adopting a socio-functional perspective, I put forward and distinguish the concepts of positive apology and negative apology, and analyze the characteristics and regularities of the realization patterns of affect and the construction of interpersonal relationships in apology. The integrated model proposed in the book opens a new way to the explanatory study of apology.

KEY WORDS: apology, interpersonal meaning, socio-functional study, stance, affect, social relationship

List of Abbreviations

CCSARP:	Cross-Cultural Speech Act Realization Project
FTA:	Face-Threatening Act
H:	Hearer
IFID:	Illocutionary Force Indicating Device
S:	Speaker
SFL:	Systemic-Functional Linguistics

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