



张
毓◎著

学术文本概指名词的 特征性型式与局部功能

(英文版)

Characteristic Patterns and Local Functions
of General Nouns in Academic Texts



上海交通大学出版社
SHANGHAI JIAO TONG UNIVERSITY PRESS





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本书受到北京市支持『双一流』高校建设项目资助，经费代码为ZF20281806

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内容提要

本书是“当代外国语言文学研究前沿文库”之一,基于大型学术英语可比语料库 Beijing CARR(Beijing Collection of Academic Research Essays),以 Sinclair 的语料库语言学理论和 Mahlberg 的局部文本功能为理论框架,探索中国学者学术文本中的高频概指名词及其复现的共选型式和特征性意义或局部功能。本书采用多种对比分析方法,发现概指名词通过与局部环境中的局部文本要素共选,实现多种语篇功能和评价功能。此外,研究还发现概指名词的评价功能具有双重性特征:概指名词的评价行为可出现于多种语篇型式中,成为构成各语篇型式必不可少的组成部分。本书为理解学术文本概指名词的本质与特征尤其是双重和多重功能研究提供了新视角,对学术英语写作教学具有潜在的重要启示意义,可促使相关人员及学习者关注概指名词的共选型式、特征性意义以及其双重功能。本书可供语料库语言学以及学术写作等领域的研究人员使用。

图书在版编目(CIP)数据

学术文本概指名词的特征性型式与局部功能 / 张毓

著. —上海:上海交通大学出版社, 2020

ISBN 978-7-313-22300-5

I. ①学… II. ①张… III. ①科学名词—名词术语—研究 IV. ①H03

中国版本图书馆 CIP 数据核字(2019)第 256090 号

学术文本概指名词的特征性型式与局部功能

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出版发行: 上海交通大学出版社

邮政编码: 200030

印 制: 江苏凤凰数码印务有限公司

开 本: 710 mm×1000 mm 1/16

字 数: 278 千字

版 次: 2020 年 2 月第 1 版

书 号: ISBN 978-7-313-22300-5

定 价: 92.00 元

地 址: 上海市番禺路 951 号

电 话: 021-64071208

经 销: 全国新华书店

印 张: 15.25

印 次: 2020 年 2 月第 1 次印刷

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前 言

概指名词(*general nouns*)指确切、完整意义须在共现语境中才能确定的一类名词,具有广泛的指称意义和特殊的语内意义属性。近年来,概指名词在组织语篇及表达态度意义方面的作用受到了持续的关注。

以往研究采用不同的概念界定、分析路径和研究方法,讨论了其多方面的意义、功能与分类范畴。其中,Mahlberg (2005)采用自下而上的语料库驱动路径,深入语境内部,观察概指名词在局部环境内的共选型式,揭示了其局部文本功能。与传统语言学描述中的一般功能(*generic functions*)不同,这些局部功能已经进入到语言使用的语境深层,所有的功能认定和范畴化都是临时设定的,在传统语言理论体系中没有现成的表述。毋庸置疑,Mahlberg 的研究突破了现有语言学理论对概指名词功能的概念藩篱,开启了概指名词局部功能研究的先河。

但是,当前对概指名词局部功能的研究大多聚焦于普通文本,而概指名词在学术文本中的特征性型式和局部功能却较少在以往研究中涉及。同时,学术文本有其特征性的篇章结构、信息配置与意义方式(Swales, 1990; 卫乃兴,2002)。这些篇章结构、信息配置与意义方式的制约使得文章作者采用特定的语言形式表达特征性的意义,并由此产生大量语篇行为。因此,我们有必要系统探究概指名词在学术文本中不同于一般功能的特征性意义与表达型式。

秉承 Sinclair 的语料库语言学理论和 Mahlberg 的局部文本功能理论,本书采用语料库驱动路径,选取了 Beijing CARE (Beijing Collection of Academic Research Essays)语料库之中国学者子库中的 25 个高频概指名词,并将其分为 6 个语义组,深入观察概指名词在学术文本中反复出现的特征性型式,进而揭示其表达的局部功能。

研究发现,学术文本中的概指名词与语境中的局部文本要素共选,可表达多种语篇功能和评价功能。其中,语篇功能主要由概指名词与研究行为动词、报道动

词、介词短语以及其他要素共选实现。在实施语篇功能的四类共选型式中,概指名词与研究动词的共选最为频繁,主要用于描述研究行为,包括处理结果或效应、提出方法和描述方法等。概指名词与报道动词共现所形成的型式则实施回顾以往研究和评述研究发现的两项功能。而言据及构造功能和定位时间、地点、条件要素等功能则由概指名词与介词短语共选得以实现。同时,这些语篇功能还是构建学术文本微观结构必不可少的手段,能够有效组织语篇。此外,一些语篇策略,包括声言责任策略和一致策略,也通过概指名词的语篇功能得以充分展现。这些策略对于帮助作者获得读者认可具有十分重要的作用。

本书通过 Hunston & Sinclair(2000)的评价局部语法路径发现,概指名词在实施评价功能时可以作为评价载体、被评实体和评价范畴。概指名词作为被评实体时,所占比重最大。语料库数据还表明,与各语义组概指名词共现的形容词通常也来自不同语义范畴,反映了学术社团中的社会及意识形态规范。

本研究还发现了极具价值的局部语义韵及其特征。数据揭示,METHOD 组和 EFFECT 组的概指名词与积极语义韵密切相关,倾向于表达积极评价意义。而且,这些名词的积极语义韵大多出现在学术文本而非普通文本中。这表明本研究中概指名词的共选型式本质上表达局部语义韵,且该局部语义韵仅在特定体裁中出现,被某些特定群体用于构建局部知识。局部语义韵与普通语义韵相关,但并不相同,是局部功能的重要内容。简言之,局部语义韵是适用于特定语境的语义韵。语义韵在语料库语言学中具有至关重要的地位,而与特定体裁相关的局部语义韵分析在一定程度上为揭示语义韵的局部性本质和评价功能提供了新的见解和进一步验证。

概指名词评价功能的另一重要特征是双重性。我们可以看到概指名词的评价行为很有可能出现在多种语篇型式中,成为构成各语篇型式必不可少的组成部分。概言之,概指名词的评价功能和语篇功能密不可分,使局部语篇环境成为有机整体。

本书的证据表明,概指名词的特征性意义或局部功能是学术文本所特有的功能,并与语境中的真实语言使用紧密关联。它们具体体现为概指名词与局部文本环境中的局部文本要素共选所形成的复现型式。从另一个角度看,这些共选型式指向不同层面的共选关系,即词汇与词汇之共选、词汇与语法之共选以及型式与意义/功能之共选。

在本书即将付梓之际，往事扑面而来，让我思绪万千。

首先，我要感谢北京航空航天大学的卫乃兴教授。承蒙恩师不弃，将我引入语料库语言学的研究领域。博士研究的每个阶段都离不开恩师的悉心培养，亦是 he 教导我要脚踏实地，真做学问，做真学问。在本书撰写的过程中，他提出了大量富有建设性的意见，并不辞辛劳地耐心审阅书稿。我由衷钦佩恩师认真严谨的治学态度和孜孜不倦的治学精神，这也成为鞭策我不断前进的动力。

浙江工商大学的李文中教授、北京师范大学的苗兴伟教授、北京第二外国语学院的林允清教授以及北京航空航天大学的梁茂成教授和王义娜教授为我的研究提供了诸多帮助与指导，在此表示诚挚感谢！

在求学过程中，我的家人一直坚定地鼓励我、支持我、包容我。当我迷茫无助时，他们耐心地开导我，为我指点迷津；当我失意消沉时，他们默默地温暖我，帮我走出低谷。多年来，我得到了来自家人的无穷关爱，却甚少为他们付出，每念及此，便深感内疚。我十分感激他们为我所做的一切，他们是我的最爱，是我永远的牵挂。

著者

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List of Abbreviations and Signals

ADJ. :	Adjective
Beijing CARE:	Beijing Collection of Academic Research Essays
EAP:	English for Academic Purposes
ESP:	English for Specific Purposes
GN:	General Noun
MI:	Mutual Information
PREP. :	Preposition
V-reporting:	Reporting Verb
V-research:	Research Verb
V-result:	Result Verb
X:	Authors or Research Entities

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