

英语写作
原版影印
系列丛书

8th Edition

Writing the Research Paper
A Handbook
学术论文写作手册

(第8版)



[美] Anthony C. Winkler 著
Jo Ray Metherell



北京大学出版社
PEKING UNIVERSITY PRESS

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Anthony C. Winkler, Jo Ray Metherell

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总序

北京大学出版社2008年最新引进了一套国外畅销的《英语写作原版影印系列丛书》，并邀请我为这套丛书写序，谈谈我对英语写作教学与研究的一些认识。我仔细翻阅后，觉得这套书特色十分鲜明，其中有几本再版达十次以上，经久不衰，非常乐意在此推荐给我国的广大读者。

在经济全球化和网络高度发达的今天，学好英语已变得十分重要，英语口语与书面语的表达能力已逐渐成为当今的核心竞争力之一，从第二语言学习的社会文化观看，能否流利地运用外语进行口头或书面交流已直接关系到学生的就业和未来发展。中国的英语写作教学有许多问题需要深入探讨，引进国外优秀的英语写作教学与研究成果，对于更新我国的英语写作教学观念和方法，改革当前的英语写作教学具有重要意义。

一、国内外二语写作研究概览

第二语言写作的教学与研究在国际上一直受到重视，国外的写作教学研究十分活跃，以美国为例，美国普度（PURDUE）大学每年定期召开二语写作学术研讨会，2008年6月6—7日召开的第7届写作年会的主题是：外语写作教学：原理与实践。二语写作拥有自己的研究队伍、研究机构、学术期刊。概括起来，国际二语写作研究集中在四个领域：（1）写作过程研究，重点关注认知操作模型、写作构思策略、学习者的个体差异以及写作过程的阶段性变化；（2）写作结果研究，采用文本分析、错误分析、对比分析、对比修辞分析、语料分析等方法；（3）写作社会文化因素研究，影响写作的社会结构、语域知识、动机和需求等因素；（4）写作教学研究，如教学过程、学习策略、语言水平发展、课堂教学环节、写作测试、网络写作课件开发等。国际二语写作研究近期关注四个热点：（1）批评对比修辞学，（2）母语写作迁移，（3）写作教师教育，（4）计算机辅助写作与研究。

我国的英语写作教学与研究历史较长，近年来发展迅速，据不完全统计，从2003—2007年，国内的外语类核心期刊上发表的英语写作研究的论文就有一百多篇；出版的学术著作主要有：

1. 《英语写作研究》（文秋芳、王立非，2003）
2. 《以写促学：英语写长法的理念与操作》（郑超等，2003）
3. 《汉语语文能力向英语写作的迁移的路径与理据》（王立非，2004）
4. 《影响二语写作的语言因素研究》（马广惠，2004）
5. 《母语思维与英语写作》（王文宇，2004）
6. 《英语写作认知心理研究》（王俊菊，2005）
7. 《英语写作教学与研究的中国视角》（王立非、张佐成，2008）

英语写作的专题学术研讨会发起于2003年，先后在广外、西外、武汉大学、对外经贸大学、贵州大学召开，每次会议主题各有侧重，关注我国写作中的热点问题，每次会议都出版了文集。中国英语教学研究会还接受申请，成立了英语写作教学专业委员会，34所高校成为常务理事单位，会员近百人。我国的英语写作研究的特点是：（1）英语写作研究呈逐年上升趋势；（2）关注英语写作篇章结构、影响写作的因素、写作教学法、写作评估与测试，写作与相关课程或学科的关系、写作语用以及写作错误等；（3）实证研究正逐步增加；（4）研究开始从对客体转向对主体的研究；（5）开始借助语料库研究写作。我国学生的英语写作特点是：（1）学生写作依靠母语思维，母语思维参与二语写作的全过程，母语在二语写作中正面和负面影响都有。（2）学生写作句法单调，过度使用某些词汇，表现出较强的口语文体特征，语篇模式受母语思维影响特征显著，语体意识不强。（3）二语水平、母语写作能力、写作任务与条件、写作练习频率、情感等因素对二语写作的质和量影响大。

二、写作理论与教学的发展

西方的写作理论经历了一个从“写作结果论”到“写作过程论”再到“元认知论”和“社会认知论”的不断发展阶段，多年来，东西方学者试图从内在和外在等不同视角去理解和解释写作这一十分复杂的思维活动。就外在而言，写作教学“支架”理论（scaffolding）从维果斯基的“最近发展区域”理论出发，强调写作教学要辅助以教师、教材、范文等，分阶段和分解写作任务，逐步让学生脱离辅助的“支架”，独立写作。写作教学语域理论根据韩礼德的功能语言学理论，强调语境知识的作用以及写作语场、语旨、语式三要素。语场决定写作以共核词汇及结构为主；语式决定写作的口头语和书面语的差异；语旨决定写作的语气和态度。Bhatia等人的体裁（genre）理论认为：（1）体裁是一种可辨别的交际事件；（2）体裁是一种内部结构特征鲜明、高度约定俗

成的交际事件；(3)建构语篇必须受到某种特定体裁要求的制约；(4)作者可在体裁规定的框架内传达个人的意图或交际目的。一些学者从社会认知的视角看待二语写作，并提出写作教学的社会认知模式，确定了写作中作者、主题以及读者三者之间的动态交互关系，将写作过程看成一个循环的非线性过程和劝说活动。就内在而言，写作过程论强调写作是一个发现意义的过程，包含不同的阶段，各阶段又相互联系和交错。Flavell等人提出了元认知写作理论，强调元认知从主体知识、任务知识和策略知识三方面对写作认知活动进行调控。这个理论对理解母语和二语写作认知模式、评估二语写作者的元认知发展和分析二语写作知识具有重要意义。

三、英语写作教材的问题与对策

我国的英语写作教材在改革开放后出现了空前繁荣的景象，取得了显著的成绩，据不完全统计，共涵盖6大类：(1)英语专业，(2)大学英语，(3)研究生英语，(4)ESP英语，(5)考试英语，(6)自学辅导英语。

目前国内已出版大量的本科英语写作教材，以及(1)研究生写作教材2套；(2)专升本写作教材1套；(3)写作考试辅导书2套；(4)全国公共英语等级考试写作辅导书2套。我国已出版的写作教材的总体特点是：(1)模仿西方写作理论较多，关注思维发展不够；(2)英语专业写作教材约占28%，集中于普通英语写作，而ESP英语写作(如商务英语写作、法律英语写作、金融英语写作、科技英语写作、旅游英语写作、医学英语写作等)不平衡；(3)针对大学英语写作的教材只占4.7%，四、六级写作考试辅导教材占38.9%。

针对目前的写作教材现状，我们应采取以下几个对策：

(1) 全面评估现有写作教材

我们应组织专家对现有的主要教材进行评估，对编写原则、教学对象、目标、计划、内容、教学法、教学条件等方面分析，保留一些高质量的教材，对一些教材进行局部改造。

(2) 引进一批高水平原版教材

组织专家对外国高质量的写作教材进行筛选，引进一批经典教材，通过这些教材的编写思想，学习国际先进的写作教学方法，在这方面，北大出版社带了个好头。

(3) 编写立体化的英语写作教材

充分利用先进的教育理念和现代化教育技术，从目的性、科学性、先进性

和知识服务的完备性等入手,建设英语写作资源库,开发网络写作课程和教材,创建写作学习中心,大力发展计算机辅助英语写作评测,全面支持信息技术与课程整合。

四、今后关注的重点

今后关注的重点应集中在几个问题上:

(1) 深刻认识二语写作的认知思维过程,关注学生英文写作中的构思、成文、修改策略。(2) 探索影响二语写作能力发展的因素。(3) 改革二语写作教学方法,使国外先进的写作教学方法本土化,特别关注计算机多媒体在写作教学中的应用。(4) 研究大规模写作测试的评分信度与效度,加强研制电脑评分系统。(5) 加强写作教材开发等。

本套教材首批出版8本,邀请了部分专家撰写中文导读,对教材的作者、特色、使用对象和方法介绍,就各章节主要内容进行简述,具体如下:

《公司管理写作策略》(王立非导读)

《数字时代写作研究策略》(程晓堂导读)

《分析性写作》(张佐成导读)

《实用写作》(严明导读)

《成功写作入门》(战菊导读)

《跨课程论文写作》(许德金导读)

《毕业论文写作与发表》(王俊菊导读)

《学术论文写作手册》(苏刚导读)

本套丛书可供全国大专院校的学生、社会读者和写作爱好者学习英语写作使用,也可以作为英语写作教师开设写作课的参考书。

对外经济贸易大学英语学院院长

教授、博士生导师

王立非

2008年5月于北京

导 读

学术论文一般是指人们对从事某项科学活动取得的创新性观点、成果或结论进行的阶段性（有时也可能是全面性）的客观记录、理论分析和科学总结的、具有逻辑体系的书面报告或文件。一篇完整的研究论文应该包含该项研究的选题背景、立论基础、科学内容、研究方法、探索过程、现象描述、结果分析、观点结论、后续展望，以及可能的应用等方面的内容。

研究论文有时也称为学术论文。中国国家标准GB7713-87对学术论文是这样定义的：

学术论文是某一学术课题在实验性、理论性或观测性上具有新的科学研究成果或创新见解和知识的科学记录；或是某种已知原理应用于实际中取得新进展的科学总结，用以提供学术会议上宣读、交流或讨论；或在学术刊物上发表；或作其他用途的书面文件。学术论文应提供新的科技信息，其内容应有所发现、有所发明、有所创造、有所前进，而不是重复、模仿、抄袭前人的工作。

研究论文通常包含研究报告、学位论文、学期作业论文等几类。从事研究工作的科研人员、教师和学生等，都会由于各种原因要撰写不同要求、不同规范和不同形式的研究论文。

对于科技工作者来说，研究论文的写作与发表是科学研究过程中不可缺少的重要一环。研究人员只有将自己的研究成果以研究论文的形式，通过正式的科技期刊或学术会议发表，才有可能得到科学共同体的承认和接纳，提出的观点和研究成果才有可能被其他科技工作者共享，才有可能在推动人类认识自然的过程中占据一席之地。

对于学生来说，一般涉及两类论文。一是在课程学习或实践过程中，授课教师或指导老师为了增强学生对学习或实践内容的理解与掌握，强化学生的创

新思维与创新意识，提高学生的综合分析能力与创新能力，通常会要求学生在学期中间或学期末提交由老师布置的、学生个人或小组合作完成的相关作业论文；二是在毕业时，学生必须按要求提交自己在完成某项科学研究后，以取得的创造性结果和观点为内容而总结撰写的毕业论文，或申请学位时所需的学位论文。

由此可见，如何提高自己的研究论文写作能力，更有效地、规范地、高质量地撰写研究论文，清晰地表达自己的学术观点和见解，科学地记录和总结自己的研究发现，是写论文时必须面对和解决的问题。唐朝大诗人杜甫的名句“文章千古事，得失寸心知”极其深刻，并富有哲理地指出了文章写作的重要性。“作者皆殊列，名声岂浪垂？”曹丕在《典论·论文》中有云：“盖文章，经国之大业，不朽之盛事。”然而，我国目前的本科和研究生教育中，在研究论文写作的教学方面比较薄弱和欠缺。虽然近年来在一些高校，不同程度地开设了有关学术论文写作方面的课程，但总体说来，我国研究生的研究论文写作能力，相较国际一流大学的学生仍有待加强。

我们欣喜地看到，最近北京大学出版社通过引进一系列国际上通行的、广受欢迎的学术论文写作与规范等方面的著作或教材，在提高我国青年学子的研究论文写作能力，掌握研究论文、学位论文和作业论文的撰写技巧等方面，具有十分积极的促进作用。

由安东尼·温克勒和乔·麦克奎·曼思雷尔合著的《学术论文写作手册》，是为了帮助人文社科和自然科学领域从事研究的学生（本科生或研究生）提高研究论文写作水平的一本工具书。这本书是在首次出版的基础上，不断修改和增加相应新的内容后，以第8版与读者见面。

本书系统地介绍了写作研究论文的基本要求、格式规范和方法技巧，从如何有效选题开始，介绍了如何应用图书馆查询、收集和整理资料，如何确定论题和写作大纲，如何有效地在写作过程中使用计算机和互联网，如何找寻相关的研究信息资料，如何将记录的卡片和笔记写成论文初稿，到如何修改初稿，如何合理引用文献和避免剽窃，如何引用参考文献等。该书还介绍了三种研究论文的体例格式，并列举了研究论文的样本。该书与其他同类书籍的一个显著区别是，它没有涉及更多的说教性内容，而是直接给出了写作研究论文各部分

的基本技巧、步骤、方法和规范，并采用了大量实例分析，就像一本手册，随查随用，实践性和可操作性俱佳。

本书内容丰富，各部分相互独立，读者可以根据实际需求，阅读学习与自己相关的内容。同时，本书对广大初学者具有指导作用，也可作为高校学术论文写作教学教材或学习参考书。

1 Basic Information about the Research Paper

1a	History of the research paper	中国科学院研究生院副院长
1b	Definition of the research paper	教授、博士生导师
1c	History of the research paper	苏刚
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Preface

The eighth edition of *Writing the Research Paper: A Handbook*.

Writing the Research Paper: A Handbook is a book designed to be consulted not read. A regular book builds from topic to topic in a steady accumulation of ideas and facts. This book, in contrast, treats each topic as an independent unit. You do not need to understand the material in Chapter 2 to progress to Chapter 3. When you want information on, say, how to document a website, you simply go to the appropriate chapter or section of the book and copy the model given there. An exhaustive index and table of contents take a reader instantly to where the particular material on a particular subject is to be found. Whether the student chooses to hop from topic to topic, like a feeding butterfly, or to burrow like a determined mole through every explanation depends on the individual. *Writing the Research Paper: A Handbook* can be used either way. In 1979 when the first edition was published, we wrote that “no part of this book is dependent for continuity upon another,” adding, a few sentences later, that the aim was for students to use “as much of the book as they need, or as little.” That is still the basic principle behind this book.

This eighth edition of *Writing the Research Paper: A Handbook* makes no assumptions about its potential users. No other prerequisites are required to use this book other than enrollment in a class that requires the writing of a research paper. Whatever the student needs to know about how to use the library or how to explore a search engine for ideas on a particular subject will be found in this new edition.

This new edition was made necessary by changes in the protocols of research paper writing and documentation made in 2009 by both the Modern Language Association (MLA) and the American Psychological Association (APA). Most of these changes were admittedly microscopic, but they nevertheless have to be observed. Every new trait or shift in style, now the law of the land of research, is faithfully covered here with many examples. We have added a new paper written in MLA style and updated the APA example. The CMS paper has also been tweaked to reflect changes, even minor ones, in the *Chicago Manual of Style*.

In this edition, we finally bid goodbye to the familiar card catalog that had come down to us through the ages. In earlier editions we felt obliged to pay lip service to what was in its day the best classification technology available. This edition, however, concentrates on the computer and the vast opportunities for research it has bestowed on the researcher, professional or amateur.

We have rearranged some of the earlier chapters merely as an extension of the logic of the presentation rather than of any compelling necessity. The particulars do not really matter, and the book is not altered in any way by these shifts. Everything you need to know about the research paper is still present here in a non-sequential way.

In revising for the eighth time a book that is known for its simplicity of presentation, we have become conscious of the fact that sometimes we occasionally provide too much information on a topic, making it seem more complex than it is. We have been very careful in this edition to thin out overly dense explanations and to provide, in the words of one popular TV detective, “just the facts, Ma’am” The student does not need to know how a search engine works in order to use it, for example, and many instances of this kind of simplification will be found scattered throughout the text, making *Writing the Research Paper: A Handbook*, eighth edition even more accessible and useful than its predecessors.

The eighth edition retains the use of vignettes that illustrate the wonders and marvels that research has bequeathed the human race over the centuries. Illustrations preceding each chapter also help enliven the ponderous reputation that research has, fairly or unfairly, accumulated. The spiral binding makes the book easier to open and lie flat for consulting in tight places.

Finally, we have spent most of our time doing what every editor knows is the most unappreciated work because it is the least visible—namely, the word for word and line by line editing of text. Every word, sentence, paragraph, and page of this edition has been aerated by the most painstaking editorial pen we can wield with benefits which, if not plainly obvious to the reader, will be implicit in the increased clarity throughout the text. The spectacle of a felled tree in a garden will immediately draw the eye; however, the sight of a laboring gardener kneeling in the dirt to dig up a patch of dandelions suggests nothing but unglamorous toil and drudgery that only a few would appreciate. Appreciated or not, we have done the necessary weeding to make this book the best edition ever.

A textbook is a collaborative effort. This one is no exception. Among the many people, some unnamed, who contributed suggestions for this edition, we would like to acknowledge the excellent help of our editors, who encouraged us to reach for creative ideas while remaining focused and on course: Lyn Uhl, Senior Publisher, Kate Derrick, Acquisitions Editor, Elizabeth Reny, Editorial Assistant, Kelli Strieby, Senior Assistant Editor, and Trish O’Kane, Project Manager.

To them we extend our heartfelt thanks. The blame for everything wrong we reserve for ourselves:

We also wish to acknowledge the following reviewers whose insightful suggestions helped shape this edition, with special thanks to Scott Douglass, *Chattanooga State Technical Community College*, and Linda Smoak Schwartz, *Coastal Carolina University*:

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Anthony C. Winkler and Jo Ray Metherell

Nicolaus Copernicus (1473–1543), a Polish astronomer, used his research into planetary movement to write a book that revolutionized philosophy and theology. After careful observation of the stars, he published his masterpiece, *De Revolutionibus Orbium Coelestium* (1543), in which he argued that the earth orbits the sun, and not vice versa. His ideas formed the basis of the heliocentric sun-centered Copernican system in which the sun was thought to be stationary and the planets its orbiting satellites. This revolutionary conception broke sharply with the ancient Ptolemaic system, which placed earth and humanity at the center of the universe. Approved by the church, the Ptolemaic view of the universe ceased many of its practical problems and was invaluable in calculating accurate time for one good reason: it was flatly wrong. Yet to embrace the Copernican picture, which removed the earth from the center of creation, was for centuries after the publication of *De Revolutionibus Orbium Coelestium* regarded as mortal sin. With the passing of the generations, however, researchers have depicted the Ptolemaic universe into the rubbish bin of history, where it belongs. It is almost curiously like last year's Christmas tree. Moral: research not only finds truth, it also tends to be self-correcting.

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