

学校编码: 10384

分类号 _____ 密级 _____

学号: 20051402805

UDC _____

厦 门 大 学

博 士 学 位 论 文

英语学术论文摘要中的情态配置

Modal Configurations in English Research Article Abstracts

指导教师姓名: 杨信彰 教授

专业名称: 英语语言文学

论文提交日期: 2009 年 05 月

论文答辩日期: 2009 年 06 月

学位授予日期: 2009 年 月

答辩委员会主席: _____

评 阅 人: _____

2009 年 05 月

厦门大学学位论文原创性声明

本人呈交的学位论文是本人在导师指导下,独立完成的研究成果。本人在论文写作中参考其他个人或集体已经发表的研究成果,均在文中以适当方式明确标明,并符合法律规范和《厦门大学研究生学术活动规范(试行)》。

另外,该学位论文为()课题(组)的研究成果,获得()课题(组)经费或实验室的资助,在()实验室完成。(请在以上括号内填写课题或课题组负责人或实验室名称,未有此项声明内容的,可以不作特别声明。)

声明人(签名):

年 月 日

厦门大学学位论文著作权使用声明

本人同意厦门大学根据《中华人民共和国学位条例暂行实施办法》等规定保留和使用此学位论文，并向主管部门或其指定机构送交学位论文（包括纸质版和电子版），允许学位论文进入厦门大学图书馆及其数据库被查阅、借阅。本人同意厦门大学将学位论文加入全国博士、硕士学位论文共建单位数据库进行检索，将学位论文的标题和摘要汇编出版，采用影印、缩印或者其它方式合理复制学位论文。

本学位论文属于：

1. 经厦门大学保密委员会审查核定的保密学位论文，
于 年 月 日解密，解密后适用上述授权。

2. 不保密，适用上述授权。

（请在以上相应括号内打“√”或填上相应内容。保密学位论文应是已经厦门大学保密委员会审定过的学位论文，未经厦门大学保密委员会审定的学位论文均为公开学位论文。此声明栏不填写的，默认为公开学位论文，均适用上述授权。）

声明人（签名）：

年 月 日

厦门大学博硕士学位论文摘要库

Abstract

This dissertation conducts a corpus-based study on modal configurations in English research article abstracts based on a functional framework of modality. It is found that abstract authors mainly use modal auxiliaries of probability with the low value and the implicit subjective orientation to show that they assume much responsibility for their tentative arguments.

Modality has long been a hot topic in text analysis, and scholars have been approaching this issue from different angles. However, there are still areas for further exploration, such as modal attitudes, interrelationships between modal systems, and modality in academic texts.

With this background, this dissertation puts forward a functional framework of modality and examines modal configurations in English research article abstracts.

In this framework, there are three systems at three strata: the system of modal attitudes at the contextual stratum, the system of modal meanings at the semantic stratum, and the system of modal forms at the lexicogrammatical stratum. Modal attitudes include the speaker's modal role, modal commitment, and modal responsibility. Modal meanings consist of types, values and orientations of modal meanings. Modal forms include modal clauses, phrases, words, and unfree forms.

Modal configurations refer to configurations of modal systems, including systems (sub-systems, sub-sub-systems, and so on) of modal attitudes, meanings and forms. They fall into two types: inter-stratum modal configurations and intra-stratum modal configurations. Inter-stratum modal configurations are configurations of modal systems at different strata, that is, configurations of modal attitudes, meanings and forms. Intra-stratum modal configurations are configurations of modal systems at the same stratum, including configurations of modal attitudes and those of modal meanings.

Based on this framework, this dissertation uses a corpus of 1,600 English research article abstracts randomly chosen from 40 academic journals of 8 disciplines

to examine modal configurations quantitatively and qualitatively.

Research results show that modal configurations in English research article abstracts as a whole and in different generic elements and disciplines have much in common. Most modal forms are auxiliaries, and they realize probability, the low value and the implicit subjective orientation. Besides, nearly all clauses containing modal forms are declarative. These features show that abstract authors chiefly offer modal judgments on how likely propositions are true. They only commit themselves slightly to the validity of these judgments, but take much responsibility for them.

Differences between modal configurations in different generic elements and disciplines lie in their distribution. Roughly speaking, modal configurations occur frequently in the generic elements of conclusion and introduction, less frequently in the results, and rarely in the method, and they are commoner in soft disciplines than in hard disciplines. In addition, abstract authors only use the interrogative mood to demand modal judgments on probability and obligation in the introduction of soft disciplines.

This study will deepen one's understanding of modality in English research article abstracts. What's more, it makes contributions to academic fields like modality, functional linguistics, text analysis, and language teaching. It is hoped that more research can be done on modal configurations in texts of different genres in the future.

Key words: modal configurations; English research article abstracts; functional linguistics

摘要

本文以英语学术论文摘要为语料,从功能的角度研究摘要中的情态配置。研究发现,摘要作者主要选用表示可能性、低值和隐性主观取向的情态助动词来判定摘要中的观点成立的可能性低,而且,他们对此种判断承担较多责任。

情态一直是语篇分析中的热门话题,而且学者们对其进行了多方探究。然而,该话题仍有急待探明之处,例如,情态态度、情态系统间的内部联系以及学术语篇中的情态。

在此背景之下,本文从功能的角度提出情态系统框架,并在该框架下研究摘要中的情态配置。

该框架包含位于三个层次的三个情态系统:位于语境层次的情态态度系统,位于语义层次的情态意义系统和位于词汇语法层次的情态形式系统。情态态度包括说话人的情态角色、情态承诺和情态责任。情态意义包括意义类型、值和取向。情态形式包括情态小句、情态短语、情态词和非自由情态形式。

情态配置是指各个情态系统和子系统间的配置关系,分为跨层和层内情态配置两类。跨层情态配置指位于不同层次的情态系统之间的配置关系,即情态态度、情态意义和情态形式之间的配置关系。层内情态配置是指位于同一个层次的情态系统之间的关系,包括情态态度之间的配置关系和情态意义之间的配置关系。

在此框架下,本文利用任选自8种学科40种学术期刊的1,600篇摘要,结合定性和定量的方法探究情态配置。

研究表明,摘要中情态配置的总体特点以及各语类成分和各学科中情态配置的特点具有较多共性。摘要中绝大多数情态形式是情态助动词,它们体现可能性、低值和隐性主观取向。另外,几乎所有含有情态形式的小句都是陈述语气。这些特征表明,摘要作者主要利用情态形式来判定命题成立的可能性较低,但是他们愿意对这些判断承担较多的责任。

不同语类成分和学科中情态配置的差异主要在其分布。总的来说,各类情态配置常常出现在结论和引言部分,较少出现在结果部分,很少出现在方法部分,而且它们在软学科中出现的频率高于硬学科。另外,摘要作者仅仅在软学科的引言中利用疑问语气来求取情态判断。

本研究将会深化人们对摘要中情态的认识。此外，本研究成果可以广泛地应用于情态、功能语言学、语篇分析和语言教学等研究领域。同时，本文希望能够吸引更多对不同语类的语篇中情态配置的研究。

关键词：情态配置；英语学术论文摘要；功能语言学

厦门大学博硕士论文摘要库

Contents

Abstract.....	I
List of abbreviations	XI
List of figures.....	XII
List of tables.....	XV
Chapter 1 Introduction.....	1
1.1 Research backgrounds	1
1.2 Research objectives and questions	2
1.3 Corpus and methodology	3
1.3.1 Corpus	3
1.3.1.1 Genre selection	4
1.3.1.2 Discipline selection	4
1.3.1.3 Journal selection	5
1.3.1.4 RAA selection	6
1.3.2 Methods.....	7
1.4 Terminology	8
1.4.1 MC and RAA	9
1.4.2 Core concepts of SFL.....	10
1.4.2.1 Metafunction and function.....	10
1.4.2.2 System and structure.....	11
1.4.2.3 Stratification.....	12
1.5 Organization of the dissertation.....	14
Chapter 2 Literature review	15
2.1 Studies on MCs	15
2.1.1 Studies on modal attitudes	15
2.1.2 Studies on modal meanings	22
2.1.3 Studies on modal forms	33
2.1.4 Studies on inter-stratum MCs	35
2.1.5 Studies on intra-stratum MCs	37

2.2 Studies on modality in RAAs	38
2.3 Advantages and limitations of previous studies	42
2.4 Summary	43
Chapter 3 Theoretical framework	45
3.1 Modal systems	45
3.1.1 System of modal attitudes.....	45
3.1.2 System of modal meanings	55
3.1.3 System of modal forms	63
3.1.3.1 Modal clauses	63
3.1.3.2 Modal words	65
3.1.3.3 Modal phrases.....	69
3.1.3.4 Combination of modal forms.....	72
3.1.3.5 Unfree modal forms	74
3.1.3.6 Summary	78
3.2 MCs	80
3.2.1 Inter-stratum MCs	80
3.2.1.1 Inter-stratum MCs of attitude × meaning	80
3.2.1.2 Inter-stratum MCs of meaning × form.....	83
3.2.1.3 Inter-stratum MCs of attitude × meaning × form	87
3.2.2 Intra-stratum MCs.....	88
3.2.2.1 Intra-stratum MCs of role × commitment × responsibility.....	89
3.2.2.2 Intra-stratum MCs of meaning type × value × orientation	90
3.3 Summary	92
Chapter 4 Overall features of MCs in RAAs	94
4.1 Modal forms in RAAs	94
4.1.1 Modal forms in the corpus	94
4.1.2 Modal attitudes realized by modal forms in RAAs	98
4.1.3 Modal meanings realized by modal forms in RAAs.....	100
4.2 Inter-stratum MCs in RAAs	102
4.2.1 Inter-stratum MCs of attitude × meaning in RAAs	102
4.2.2 Inter-stratum MCs of meaning × form in RAAs.....	111
4.2.3 Inter-stratum MCs of attitude × meaning × form in RAAs	118
4.3 Intra-stratum MCs in RAAs	120
4.3.1 Intra-stratum MCs of role × commitment × responsibility in RAAs.....	120
4.3.2 Intra-stratum MCs of meaning type × value × orientation in RAAs	131
4.4 Summary	141

Chapter 5 MCs in different generic elements of RAAs.....	144
5.1 Generic structure of RAAs	144
5.2 Modal forms in IN, ME, RE and CO of RAAs	150
5.3 Inter-stratum MCs in IN, ME, RE and CO of RAAs.....	154
5.4 Intra-stratum MCs in IN, ME, RE and CO of RAAs	161
5.5 Summary	180
Chapter 6 MCs in RAAs of different disciplines	182
6.1 Modal forms in RAAs of different disciplines	182
6.2 Inter-stratum MCs in RAAs of different disciplines.....	184
6.3 Intra-stratum MCs in RAAs of different disciplines.....	191
6.4 Summary	211
Chapter 7 Conclusion	212
7.1 Findings of the study	212
7.2 Significance of the study	213
7.3 Limitations and suggestions for further research.....	215
Appendix 1 Inter-stratum MCs of attitude × meaning in examples in	
Section 3.2.1.1	218
Appendix 2 Inter-stratum MCs of meaning × form in examples in	
Section 3.2.1.2	220
Appendix 3 Data samples	224
Bibliography	231
Acknowledgements	240

目 录

摘要.....	I
缩写说明	XI
图表.....	XII
表格.....	XV
第一章 绪论	1
1.1 研究背景	1
1.2 研究目的和问题	2
1.3 语料和研究方法	3
1.3.1 语料.....	3
1.3.1.1 语类选择.....	4
1.3.1.2 学科选择.....	4
1.3.1.3 期刊选择.....	5
1.3.1.4 学术论文摘要选择.....	6
1.3.2 研究方法.....	7
1.4 术语	8
1.4.1 情态配置和学术论文摘要.....	9
1.4.2 系统功能语言学中的核心概念.....	10
1.4.2.1 元功能和功能.....	10
1.4.2.2 系统和结构.....	11
1.4.2.3 分层.....	12
1.5 论文结构	14
第二章 文献综述	15
2.1 对情态配置的研究	15
2.1.1 对情态态度的研究.....	15
2.1.2 对情态意义的研究.....	22
2.1.3 对情态形式的研究.....	33
2.1.4 对跨层情态配置的研究.....	35
2.1.5 对层内情态配置的研究.....	37
2.2 对摘要中情态的研究	38
2.3 以往研究的优势和不足	42
2.4 小节	43
第三章 理论框架	45
3.1 情态系统	45

3.1.1 情态态度系统.....	45
3.1.2 情态意义系统.....	55
3.1.3 情态形式系统.....	63
3.1.3.1 情态小句.....	63
3.1.3.2 情态词.....	65
3.1.3.3 情态短语.....	69
3.1.3.4 情态形式的组合.....	72
3.1.3.5 非自由情态形式.....	74
3.1.3.6 小节.....	78
3.2 情态配置.....	80
3.2.1 跨层情态配置.....	80
3.2.1.1 态度和意义的跨层情态配置.....	80
3.2.1.2 意义和形式的跨层情态配置.....	83
3.2.1.3 态度、意义和形式的跨层情态配置.....	87
3.2.2 层内情态配置.....	88
3.2.2.1 角色、承诺和责任的层内情态配置.....	89
3.2.2.2 意义类型、值和取向的层内情态配置.....	90
3.3 小节.....	92
第四章 摘要中情态配置的总体特点.....	94
4.1 摘要中的情态形式.....	94
4.1.1 语料中的情态形式.....	94
4.1.2 摘要中情态形式体现的情态态度.....	98
4.1.3 摘要中情态形式体现的情态意义.....	100
4.2 摘要中的跨层情态配置.....	102
4.2.1 摘要中态度和意义的跨层情态配置.....	102
4.2.2 摘要中意义和形式的跨层情态配置.....	111
4.2.3 摘要中态度、意义和形式的跨层情态配置.....	118
4.3 摘要中的层内情态配置.....	120
4.3.1 摘要中角色、承诺和责任的层内情态配置.....	120
4.3.2 摘要中意义类型、值和取向的层内情态配置.....	131
4.4 小节.....	141
第五章 摘要中不同语类成分中的情态配置.....	144
5.1 摘要的语类结构.....	144
5.2 摘要的引言、方法、结果和结论中的情态形式.....	150
5.3 摘要的引言、方法、结果和结论中的跨层情态配置.....	154
5.4 摘要的引言、方法、结果和结论中的层内情态配置.....	161
5.5 小节.....	180
第六章 不同学科的摘要中的情态配置.....	182
6.1 不同学科的摘要中的情态形式.....	182
6.2 不同学科的摘要中的跨层情态配置.....	184
6.3 不同学科的摘要中的层内情态配置.....	191

6.4 小节	211
第七章 结论	212
7.1 研究发现	212
7.2 研究意义	213
7.3 研究的局限性和对未来研究的建议	215
附录 1 3.2.1.1 部分的例句中出现的态度和意义的跨层情态配置....	218
附录 2 3.2.1.2 部分的例句中出现的意义和形式的跨层情态配置....	220
附录 3 语料范例	224
参考文献	231
致谢.....	240

List of abbreviations

MC	modal configuration
RAA	research article abstract
SFL	systemic functional linguistics
GSP	generic structure potential
IN	introduction
ME	method
RE	results
CO	conclusion
his.	history
ling.	linguistics
edu.	education
eco.	economics
psy.	psychology
eng.	engineering
phy.	physics
math.	mathematics

List of figures

- Figure 1.1 System of polarity
- Figure 1.2 System of polarity, next step in delicacy
- Figure 1.3 Stratification and realization
- Figure 2.1 The engagement system
- Figure 2.2 Modal responsibility and modal orientations
- Figure 2.3 System of meaning types
- Figure 3.1 Realization of modal roles at the semantic stratum
- Figure 3.2 Modal responsibility and modal orientations
- Figure 3.3 System of modal attitudes
- Figure 3.4 System of modal meanings provided by Halliday (1994: 360)
- Figure 3.5 System of modal meanings
- Figure 3.6 Representation of the prepositional phrase
- Figure 3.7 Structure of declarative, yes-no interrogative and WH- interrogative
- Figure 3.8 System of modal forms
- Figure 3.9 Inter-stratum MCs of attitude \times meaning
- Figure 3.10 Inter-stratum MCs of meaning \times form
- Figure 4.1 Occurrences of inter-stratum MCs of meaning type \times form
- Figure 4.2 Occurrences of inter-stratum MCs of value \times form
- Figure 4.3 Occurrences of inter-stratum MCs of orientation \times form
- Figure 4.4 Occurrences of intra-stratum MCs of giving probability \times commitment \times responsibility
- Figure 4.5 Occurrences of intra-stratum MCs of giving probability \times responsibility \times commitment
- Figure 4.6 Occurrences of intra-stratum MCs of giving obligation \times commitment \times responsibility
- Figure 4.7 Occurrences of intra-stratum MCs of giving obligation \times responsibility \times

Degree papers are in the "[Xiamen University Electronic Theses and Dissertations Database](#)". Full texts are available in the following ways:

1. If your library is a CALIS member libraries, please log on <http://etd.calis.edu.cn/> and submit requests online, or consult the interlibrary loan department in your library.
2. For users of non-CALIS member libraries, please mail to etd@xmu.edu.cn for delivery details.

厦门大学博硕士论文摘要库