

 21 世纪英语专业系列教材

General Linguistics for Beginners

普通语言学基础

马壮寰 主编



北京大学出版社
PEKING UNIVERSITY PRESS

140
148

General Linguistics for Beginners

普通语言学基础

马壮寰 主编



北京大学出版社
PEKING UNIVERSITY PRESS

图书在版编目(CIP)数据

普通语言学基础/马壮寰主编. —北京:北京大学出版社,2010.8
(21世纪英语专业系列教材)
ISBN 978-7-301-17684-9

I. 普… II. 马… III. 普通语言学—高等学校—教材 IV. H0

中国版本图书馆CIP数据核字(2010)第163770号

书 名: 普通语言学基础

著作责任者: 马壮寰 主编

责任编辑: 黄瑞明

标准书号: ISBN 978-7-301-17684-9/H·2621

出版发行: 北京大学出版社

地 址: 北京市海淀区成府路205号 100871

网 址: <http://www.pup.cn> 电子信箱: zpup@pup.pku.edu.cn

电 话: 邮购部 62752015 发行部 62750672 编辑部 62755217

出版部 62754962

印 刷 者: 北京宏伟双华印刷有限公司

经 销 者: 新华书店

890毫米×1240毫米 A5 7.875印张 290千字

2010年8月第1版 2010年8月第1次印刷

定 价: 22.00元

未经许可,不得以任何方式复制或抄袭本书之部分或全部内容。

版权所有,侵权必究

举报电话: (010)62752024 电子信箱: fd@pup.pku.edu.cn

《21 世纪英语专业系列教材》编写委员会

(以姓氏笔画排序)

王守仁 王克非 申 丹

刘意青 李 力 胡壮麟

桂诗春 梅德明 程朝翔

总 序

北京大学出版社自 2005 年以来已出版《语言学与应用语言学知识系列读本》多种,为了配合第十一个五年计划,现又策划陆续出版《21 世纪英语专业系列教材》。这个重大举措势必受到英语专业广大教师和学生的欢迎。

作为英语教师,最让人揪心的莫过于听人说英语不是一个专业,只是一个工具。说这些话的领导和教师的用心是好的,为英语专业的毕业生将来找工作着想,因此要为英语专业的学生多多开设诸如新闻、法律、国际商务、经济、旅游等其他专业的课程。但事与愿违,英语专业的教师们很快发现,学生投入英语学习的时间少了,掌握英语专业课程知识甚微,即使对四个技能的掌握也并不比大学英语学生高明多少,而那个所谓的第二专业在有关专家的眼中只是学到些皮毛而已。

英语专业的路在何方?有没有其他路可走?这是需要我们英语专业教师思索的问题。中央领导关于创新是一个民族的灵魂和要培养创新人才等的指示精神,让我们在层层迷雾中找到了航向。显然,培养学生具有自主学习能力和能进行创造性思维是我们更为重要的战略目标,使英语专业的人才更能适应 21 世纪的需要,迎接 21 世纪的挑战。

如今,北京大学出版社外语部的领导和编辑同志们,也从教材出版的视角探索英语专业的教材问题,从而为贯彻英语专业教学大纲做些有益的工作,为教师们开设大纲中所规定的必修、选修课程提供各种教材。《21 世纪英语专业系列教材》是普通高等教育“十一五”国家级规划教材和国家“十一五”重点出版规划项目《面向新世纪的立体化网络化英语学科建设丛书》的重要组成部分。这套系列教材要体现新世纪英语教学的自主化、协作化、模块化和超文本化,结合外语教材的具体情况,既要解决语言、教学内容、教学方法和教育技术的时代化,也要坚持弘扬以爱国主义为核心的民族精神。因此,

今天北京大学出版社在大力提倡专业英语教学改革的基础上,编辑出版各种英语专业技能、英语专业知识和相关专业知识课程的教材,以培养具有创新性思维的和具有实际工作能力的学生,充分体现了时代精神。

北京大学出版社的远见卓识,也反映了英语专业广大师生盼望已久的心愿。由北京大学等全国几十所院校具体组织力量,积极编写相关教材。这就是说,这套教材是由一些高等院校有水平有经验的第一线教师们制定编写大纲,反复讨论,特别是考虑到在不同层次、不同背景学校之间取得平衡,避免了先前的教材或偏难或偏易的弊病。与此同时,一批知名专家教授参与策划和教材审定工作,保证了教材质量。

当然,这套系列教材出版只是初步实现了出版社和编者们的预期目标。为了获得更大效果,希望使用本系列教材的教师和同学不吝指教,及时将意见反馈给我们,使教材更加完善。

航道已经开通,我们有决心乘风破浪,奋勇前进!

胡壮麟

北京大学蓝旗营

前言

这本《普通语言学基础》主要是为英语专业本科学生编写的教材。

或许有人要问,目前还需要再编写这类教材吗?诚然,在当今开放的中国可以用作普通语言学教材的书籍已不再罕见。既有国外原版的,也有国内出版部门从国外引进之后在国内再版的;国内作者编写的同类教材也有若干。这些都为普通语言学课程的开设创造了有利的条件,其中有些,譬如由胡壮麟主编的《语言学教程》,已被广泛使用,并深得好评——本书作者所讲授的语言学课程就曾从中获益。

然而,多年来的教学经验告诉我们,就英语专业本科高年级学生的实际水平和该课程的特点而言,仍然需要更简明扼要、难度和篇幅更为适合的普通语言学基础读本。普通语言学尽管是一门领域相当宽广、内容极为丰富的学问,但是在英语专业本科课程设置中,它仅仅是一门必修的入门课程或导论课程。因此,它通常只开设一个学期,一周仅有二学时,一个学期总共不过四十来个学时。不仅如此,而且学生在学习该课程之前对普通语言学知识几乎一无所知。在这种情况下,符合实际需求、可以直接拿来使用的教材很难得到,教师不得不对教学内容加以筛选或编排。正是出于对这种实际情况的了解和思考,我们才决定着手编写了这本《普通语言学基础》。

在编写时,我们努力做到:(1)以英语专业本科高年级学生为主要对象,在内容含量和难易程度等方面,尽量顾及他们的水平及该课程有限的学时等特点;(2)在参考多种国内外文献的基础上,尽力用相对直白的语言表述某些理论观点,以求清晰易懂;(3)以语言学中的基础部分——即对语言本体的研究——为主,其他与语言有关的、属于广义语言学范围的包含不多;突出普通语言学中相对成熟的、被普遍接受的理论观点,适当提及某些新近的发展。

本书虽然是主要为英语专业本科学生编写的教材,但同时也完全可以作为一本普及读物,为那些喜欢语言学知识或初学语言学的一般读者所用。

本书是合作的成果,由以下几位作者承担并完成了数量不等的工作:

马壮寰(第一、二、三、四、六章)

周长银(第五章)

吴建设(第七章)

刘永厚(第八、九章)

齐振海(第十章,并下载附录部分)。

作为本书的主编,马壮寰除了承担多章的编写,还自始至终负责各个环节的工作,包括最初内容的总体设计和最后的审稿、统稿及定稿。在交稿前,还进行了一次集体校阅。为了完成本书,本书主编曾召开多次会议,布置工作,提出问题,交流经验,克服困难,一步一步得以推进。

本书能够顺利面世,得益于多方面的帮助。首先,本书有幸作为北京第二外国语学院院级精品教材的项目得到一定的资助。另外应该提及的是,本书还得到北京第二外国语学院副院长邱明教授的有力支持。为此,我们深表谢意。在编写本书的初期,李炜炜等同学还曾帮助马壮寰录入过某些相关的教学讲稿,也间接地予以了帮助。当然更令我们感激的是,北京大学出版社及该社外语编辑室。若没有徐万丽编辑的热情帮助,没有黄瑞明编辑耐心、细致的工作,本书将不可能付梓。

由于编写者水平所限,书中恐怕还存在错误、疏漏或不足之处。我们真诚希望使用本书的师生和其他读者能够提出宝贵的意见或建议,以利于今后的修订和改进。

愿这部小书能为全国英语专业的广大师生在选用普通语言学教材时增加一个选择,提供一份有益的参考。如能得到他们的使用或关注,我们工作的价值和意义便得以体现,我们将会感到莫大欣慰。

马壮寰

2010年4月

北京第二外国语学院英语学院

CONTENTS

Chapter 1	An Overview of Language and Linguistics	(1)
1.1	What Is General Linguistics?	(1)
1.1.1	Defining Linguistics	(1)
1.1.2	Principles of Linguistic Science	(1)
1.1.3	A Natural Science or a Social Science?	(3)
1.1.4	What Is Meant by "General"?	(4)
1.1.5	Some Basic Distinctions in Linguistics	(6)
1.1.6	What Is the Use of Linguistics?	(8)
1.2	What Is Language?	(10)
1.2.1	Defining Language	(10)
1.2.2	Design Features of Language	(14)
1.2.3	Functions of Language	(18)
Chapter 2	Phonetics	(25)
2.1	Aim of Phonetics	(25)
2.2	Different Types of Phonetics	(25)
2.3	Vocal Organs	(26)
2.4	Two Major Types of Speech Sounds	(28)
2.4.1	Consonants	(28)
2.4.2	Vowels	(33)
2.4.3	Cardinal Vowel System	(35)
Chapter 3	Phonology	(39)
3.1	Aim of Phonology	(39)
3.2	Phonemes and Allophones	(39)
3.3	Minimal Pair	(42)
3.4	Three Criteria for Grouping Phones into Phonemes	(43)
3.4.1	Free Variation	(43)
3.4.2	Complementary Distribution	(44)
3.4.3	Phonetic Similarity	(45)

3.5	Distinctive Features and Natural Classes	(46)
3.6	Phonological Processes	(50)
3.6.1	Co-articulation Effects	(50)
3.6.2	Elision	(50)
3.6.3	Assimilation	(50)
3.7	Phonological Rules of English	(52)
3.7.1	Nasalization	(53)
3.7.2	Nasal Assimilation	(54)
3.7.3	Aspiration Rule	(54)
3.7.4	Rule Ordering	(55)
3.8	Syllable and Stress	(56)
Chapter 4	Morphology	(61)
4.1	Aim of Morphology	(61)
4.2	Word and Morpheme	(61)
4.2.1	What Is a Word?	(61)
4.2.2	Classifications of Words	(62)
4.2.3	What Is a Morpheme?	(63)
4.3	Morpheme and Allomorph	(68)
4.3.1	Phonetically Conditioned Allomorphs	(68)
4.3.2	Lexically or Grammatically Conditioned Allomorphs	(70)
4.4	Relation between Morpheme and Phoneme	(70)
4.5	Word Formation	(72)
4.5.1	Compound	(72)
4.5.2	Derivation	(72)
Chapter 5	Syntax	(76)
5.1	What Is Syntax?	(76)
5.2	The Traditional Grammar	(78)
5.2.1	The History of the Traditional Grammar	(78)
5.2.2	Syntactic Elements and Their Defining Properties ...	(80)
5.2.3	Syntactic Relations Between Words	(85)
5.2.4	The Ways Words are Organized Into Sentences	(86)
5.3	The Structural Grammar	(88)
5.3.1	Saussure and His Linguistic Theory	(88)

5.3.2	American Structuralist Linguistics	(89)
5.4	The Generative Linguistics	(92)
5.4.1	Chomsky and Generative Linguistics: What "Generative" Means	(92)
5.4.2	Five Stages of Generative Linguistics	(94)
5.4.3	The Classical Theory (1957—1965)	(95)
5.4.4	The Standard Theory (1965—1972)	(97)
5.4.5	The Extended Standard Theory Model (1972—1981)	(99)
5.4.6	The Government and Binding Theory Model (1981—1993)	(101)
5.4.7	The Minimalist Program Model (1993—)	(104)
Chapter 6	Semantics	(109)
6.1	An Overview of Semantics	(109)
6.1.1	Aim of Semantics	(109)
6.1.2	Semantics at Different Levels	(109)
6.1.3	Difficulty of Semantics	(111)
6.2	Some Semantic Theories	(112)
6.2.1	Referential Theory	(112)
6.2.2	Mentalist Theory	(113)
6.2.3	"Use" Theory	(114)
6.3	Classification of Meaning	(115)
6.3.1	Seven Types of Meaning Proposed by Leech	(115)
6.3.2	Sense, Reference, and Denotation	(117)
6.4	Sense Relations	(120)
6.4.1	Synonymy	(120)
6.4.2	Antonymy	(122)
6.4.3	Hyponymy	(126)
6.5	Simple Logic and Semantics	(127)
6.5.1	Simplified Form of Predicate Calculi	(127)
6.5.2	Simple Propositional Logic	(130)
6.6	Ambiguity	(134)
Chapter 7	Pragmatics	(140)
7.1	Defining Pragmatics	(140)

7.2	Pragmatics: Past and Present	(141)
7.2.1	Focus on Change: Three Stages of Development ...	(141)
7.2.2	Tasks in Hand: Two Components of Pragmatics ...	(142)
7.3	Critical Concepts and Theories in Pragmatics	(143)
7.3.1	Between Semantics and Pragmatics	(144)
7.3.2	Beyond Semantics	(149)
7.4	Pragmatics in Development	(156)
7.4.1	Relevance Theory	(157)
7.4.2	Horn's Bipartite System and Levinson's Tripartite System	(159)
Chapter 8	Language and Society	(165)
8.1	The Relatedness between Language and Society ...	(165)
8.1.1	Possible Relations between Language and Society	(165)
8.1.2	Sociolinguistics	(166)
8.2	Variable, Variant and Variation	(168)
8.3	Regional Dialect and Its Semantic Extension	(169)
8.4	Language Use and Social Factors	(171)
8.4.1	Sociolect	(171)
8.4.2	Genderlect	(173)
8.4.3	Agelect	(176)
8.4.4	Ethnic Dialect	(177)
8.5	Language Change	(178)
8.5.1	Language Change in Progress	(179)
8.5.2	Forms of Language Change	(179)
Chapter 9	Language, Culture and Thought	(187)
9.1	The Relations between Language, Culture and Thought	(187)
9.1.1	Language and Culture	(187)
9.1.2	Language and Thought	(188)
9.1.3	Sapir-Whorf Hypothesis	(188)
9.2	Some Cultural Items	(192)
9.2.1	Politeness and Cross-cultural Communication	(192)

9.2.2	Greetings	(193)
9.2.3	Taboo and Euphemism	(195)
9.2.4	Address Terms	(195)
Chapter 10	Language Acquisition	(200)
10.1	First Language Acquisition	(200)
10.1.1	Three Views on First Language Acquisition	(200)
10.1.2	Characteristics of First Language Acquisition ...	(202)
10.1.3	Stages of First Language Acquisition	(203)
10.2	Second Language Learning	(208)
10.2.1	First Language Acquisition versus Second Language Learning	(209)
10.2.2	Contrasts between First Language Acquisition and Second Language Learning	(210)
10.2.3	Stages of Second Language Learning	(216)
Appendix	(220)
Index	(230)

Chapter 1

An Overview of Language and Linguistics

1.1 What Is General Linguistics?

1.1.1 Defining Linguistics

Linguistics is usually defined as the scientific study of language or the science concerned with language. Clear as it sounds literally, the simple statement may prompt further questions like “What does science mean?” “Why is ‘language’ rather than ‘the language’ or ‘a language’ studied?” “Is it necessary to treat language that way?” and so on.

The simple definition really needs some explanations. To begin with, the term “language” without any modification, either “a” or “the,” presupposes that all human languages have something in common; instead of any specific languages, though specific languages are used for exemplification from time to time, general linguistics aims to study the common qualities of all languages. The term “science” is likely to remind people of some other sciences such as mathematics, physics, chemistry, etc., which are studied in certain special ways in order to formulate some rules. Similarly, in this context, the term “science” or “scientific,” before being elaborated, suggests at least that the linguistic view of language is rather special or quite different from that held by a layman; some systematic methods are to be employed in linguistics. First, let us have an account about the term “science” at length.

1.1.2 Principles of Linguistic Science

What is meant by “science”? To answer this question, you

may simply say it means that language is studied in a scientific way. Right, but still indefinite or insufficient. If linguistics is regarded as a science it should be conducted in certain manners as most scientific activities are. Or they should follow certain principles which are adopted by scientific activities in general. Some linguists believe linguistics should be guided by the canons as follows (Robins 2000:7):

(1) Exhaustiveness, the adequate treatment of all the relevant material;

(2) Consistency, the absence of contradiction between different parts of the total statement; and, within the limits imposed by the two preceding principles;

(3) Economy, whereby, other things being equal, a shorter statement or analysis employing fewer terms is to be preferred to one that is longer or more involved. This is sometimes referred to as the "capturing of generalizations."

In addition, there are another two principles to be emphasized: first, "linguistics should be empirical, rather than speculative or intuitive." (Lyons 1981:38) According to this principle, linguistic research should be based on "verifiable data obtained by means of observation or experiment" (ibid:38). Its findings or conclusions should be repeatable and testable. Second, linguistics should be objective, which is closely related to the preceding one. Being empirical and being objective are interdependent in a sense. In order to keep objective, linguists have to do their researches in an empirical way, and vice versa. However, it is not easy to follow the principles in practice. People living in certain environments are inevitably affected by cultural, social and other factors. People, especially laymen, sometimes, have a bias toward or against some languages. They are usually partial to their mother tongues. They may believe that one language is superior to others, or think that one language is more beautiful or precise than another, etc. Some people even say that certain languages are backward or primitive. Views of this kind definitely violate the principles of linguistic

science discussed above. Modern linguistics holds the view that all languages are equal in terms of function because each one can perfectly meet the needs of its users, and no language is primitive today. It is dangerous to guide linguistic studies with personal or subjective likes or dislikes. Linguistic research cannot be done scientifically with emotional or subjective attitudes.

Apart from the principles of linguistics, proper methodologies are also necessary for linguistic studies. Empirical evidence and sound logic are equally important; inductive reasoning and deductive reasoning are both indispensable.

1.1.3 A Natural Science or a Social Science?

Since linguistics is defined as a science and guided by certain principles of science at large, is linguistics similar to physics, chemistry and the like? The answer should be “yes and no,” probably. On the one hand, linguistics overlaps with such “hard” sciences as physics and anatomy, for instance, in the study of speech sounds. On the other hand, language, the object of linguistics, is a social phenomenon after all, and therefore linguistics is somewhat different from the purely scientific disciplines like physics, chemistry and so on. In brief, linguistics is partially a natural science and partially a social science.

“Every discipline has its own technical vocabulary. Linguistics is no exception.” (Lyons 1981:46) In linguistics, just like in other disciplines, many special terms (and sometimes notations) are used. They are coined and used because they are needed. Each jargon has its own specific reference or meaning. For instance, *phone*, *phoneme*, *allophone*, etc. are all related to “speech sound,” but each of them has a unique usage in phonetics and phonology. Without such special terms, linguistic studies could not be carried out in a precise or academic way. The multiplicity of special terms in linguistics indicates that linguistics is a specialized and complicated discipline.

Linguistics does have a feature, which other disciplines do not

have. That is, linguistics studies language as its object and meanwhile fulfils its task by means of using language.

As is defined above, linguistics is aimed at probing into the nature of language in general, but linguists have to observe specific languages to pursue this aim. So, in this sense, linguistics is often specific to a language. That is, the study of each language is different. Most examples or illustrations in this book are taken from English. In short, linguistics tries to explore the nature of language at large by means of observing phenomena of specific languages.

1.1.4 What Is Meant by “General”?

“General” is used to modify “linguistics” to “emphasize the universal applicability of linguistic theory and method” (Crystal 1985:134). In this sense, general linguistics is in contrast with the interdisciplinary fields in which linguistic theories are combined with or applied to other disciplines related to language, that is, applied linguistics in a broad sense, which includes sociolinguistics, the study of the relationship between language and society (see Chapter 8); anthropological linguistics, the study of languages in relation to social or cultural patterns and beliefs; clinical linguistics, the application of linguistics to the analysis of disorders of spoken, written, or sign language; neurolinguistics, the study of brain structure and function in relation to language use, acquisition, and disorder; psycholinguistics, the study of language in relation to psychological processes; educational linguistics, the application of linguistics to language teaching and learning in schools and other education settings; computational linguistics, the application of the concepts and techniques of computer science to the analysis of language; and so on and so forth. These language-related fields are alternatively called macrolinguistics sometimes. In order to be distinguished from the applied linguistics, general linguistics is also named “theoretical linguistics” or even “linguistic linguistics” (Corder 1973: 9). In brief, general linguistics