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郑志进◎著

# 模糊限制语的语用功能及其话语生成 和理解的认知语用学研究

◆ 苏州大学出版社

东吴外国语言文学文库

本书获得贵州师范大学博士科研基金资助

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## 图书在版编目(CIP)数据

模糊限制语的语用功能及其话语生成和理解的认知语  
用学研究 / 郑志进著. —苏州: 苏州大学出版社,  
2012. 8

(东吴外国语言文学文库)

ISBN 978-7-5672-0227-6

I. ①模… II. ①郑… III. ①英语—语用学—研究  
IV. ①H31

中国版本图书馆 CIP 数据核字(2012)第 205512 号

书 名: 模糊限制语的语用功能及其话语生成和理解的认知语用学研究

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作 者: 郑志进

责任编辑: 谢永明

封面设计: 刘 俊

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出版发行: 苏州大学出版社(Soochow University Press)

社 址: 苏州市十梓街1号 邮编: 215006

印 装: 丹阳市兴华印刷厂

网 址: [www.sudapress.com](http://www.sudapress.com)

E - mail: [yanghua@suda.edu.cn](mailto:yanghua@suda.edu.cn)

邮购热线: 0512-67480030

销售热线: 0512-65225020

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开 本: 880mm × 1230mm 1/32 印张: 9.25 字数: 265 千

版 次: 2012 年 8 月第 1 版

印 次: 2012 年 8 月第 1 次印刷

书 号: ISBN 978-7-5672-0227-6

定 价: 29.00 元

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凡购本社图书发现印装错误, 请与本社联系调换。服务热线: 0512-65225020

## 序

郑志进教授是一位勤奋的学者。长期以来,他在教学之余笔耕不辍,发表了不少学术论文,也出版了学术专著。他用力最勤的一个研究领域是语用学,本书是他在该研究领域的又一项新成果。

本书的研究对象是英语交际中模糊限制语(hedges)的使用问题。根据 Lakoff(1972:195)的经典定义,所谓“模糊限制语”,是指那些“将事物表述得模糊一些或不那么模糊的词语”。在言语交际中之所以要使用模糊限制语,是因为事物本身或事物之间的界限是模糊的,因而表示这些事物的概念和范畴也是模糊的。如果话语中的陈述涉及这些模糊的概念和范畴的话,那么其表达的命题并不总是能作出真、假两分的判断,也就是说真和假有程度之分。下面是 Lakoff(1972)的一个经典例子:

- (1) a. A robin is a bird.
- b. A chicken is a bird.
- c. A penguin is a bird.
- d. A bat is a bird.
- e. A cow is a bird.

(Lakoff, 1972: 185)

如果(1a)的命题完全为真、(1e)的命题完全为假的话,那么(1b)的真实程度不如(1a), (1c)的真实程度又不如(1b);而(1d)则为假,或至少离真实很远。如果在上述语句中添加一个模糊限制语 *sort of*, 那么其中一些命题的真值特性会发生改变,例如:

- (2) a. A robin is *sort of* a bird.  
 b. A chicken is *sort of* a bird.  
 c. A penguin is *sort of* a bird.  
 d. A bat is *sort of* a bird.  
 e. A cow is *sort of* a bird.

(Lakoff, 1972: 195)

添加了模糊限制语 *sort of* 后, (2a) 为假, (2b) 为真或非常接近真, (2c) 也为真或接近真; (2d) 则接近假, 但假的程度要比 (1d) 低一些。这是因为, “鸟”是一个模糊的概念, 人们通常将最常见的知更鸟和麻雀等视为鸟的典型代表, 或者说是“鸟”这一范畴的中心成员, 鸡和鸭等为边缘成员, 企鹅则是更为边缘的成员。模糊限制语 *sort of* 的作用是允许说话者较为宽泛、不精确地使用一个概念, 因而含有 *sort of* 的 (2b) 和 (2c) 两句话的表述要比不含 *sort of* 的 (1b) 和 (1c) 更为恰当一些, 命题的真实程度更高一些。而原本为真的 (1a) 在添加了 *sort of* 变为 (2a) 之后反而为假, 是因为知更鸟至少对于英语文化背景的人来说是一种典型的鸟, 或者说是严格意义上的鸟, 因而不能说“有点像鸟”, 或“在某种程度上是鸟”。

与 *sort of* 相反, *strictly speaking*, *technically* 等一些模糊限制语的作用是表明说话者在较为严格、精确地使用一个概念, 如见下例:

(3) A bat is *strictly speaking/technically* a mammal, but it is also *sort of* a bird.

在 *a mammal* 前的模糊限制语 *strictly speaking* 或 *technically* 意在表明, 说话者在这句话中用的是 *mammal* 在生物学中的严格定义。此例也说明, 在交际过程中, 言语引导下的临时概念的建构 (如“生物学意义上的严格的哺乳类动物”和“宽泛意义上的鸟类”) 在很大程度上依赖语境。例如, 脱离语境单就命题的真实性而言, (2d) 接近假, 一般不能接受。但放在例 (3) 这样的语境中, 却较容易接受和

理解,因为前半句陈述的是蝙蝠的严格意义上的生物学归类,后半句意在表明,与绝大多数哺乳类动物不同,蝙蝠像鸟一样会飞。

由此可见,模糊限制语对概念的模糊性具有双向调节的作用,是话语交际中的缓冲剂,使说话者得以在具体的语境中把话说得更确切周全一些,避免给人以唐突武断的感觉,从而也可以规避责任,给交际双方留有面子。因此,虽然 Lakoff (1972) 的早期研究主要关注的是模糊限制语的逻辑语义学意义,但是模糊限制语很快成为语用学研究的一项主要内容,许多学者从会话的合作原则、言语行为、礼貌原则、交际策略、话语标记语、元语用意识等角度对模糊限制语进行了研究。

本书在前人研究的基础上,将认知语用学作为研究的整体理论框架,采用真实语料,详细分析了模糊限制语的语用功能,以及各类模糊限制语在语料中的分布和出现频率,阐释了模糊限制语在言语交际的具体语境中使用和理解的认知机制。

与其他同类研究相比,我觉得本书的创新性和贡献集中体现在如下两大方面。

第一,我觉得本书所采用的整体理论框架较为合理,是国内首次从认知语用的角度对模糊限制语进行的一项全面系统的研究。在话语交际中,我们之所以需要使用模糊限制语,是因为话语交际使用的语言符号所表达的概念和语义范畴具有模糊性,而语言符号的模糊性从根本上来说是人类对世上万物(包括抽象和具体的事物)的范畴化认知的产物。因此,研究模糊限制语不能不结合认知。况且,在实际话语交际中,交际双方的认知历史不同,因此作为一种话语标记语,模糊限制语在改变和构建特定的认知语境的过程中发挥了独特的作用,使交际双方得以按照某种交际模式成功地实现交际。这些也都需要结合认知语用来进行研究。

第二,在整体研究设计和研究目标方面,本书在致力于理论探

索的同时,注重对语言事实的梳理和发掘。作者采用美国杨伯翰大学建立的“现代美国英语语料库”,对语料中出现的常用英语模糊限制语,按口语、小说、报刊、杂志和学术语篇等不同的语体,分门别类地进行了详细的定量统计分析,并对模糊限制语在实际话语交际中的语用功能进行归纳分类。据我所知,这也是国内首次采用大型规范的语料库对英语模糊限制语进行的一项全面系统的实证研究。正是这种对实际使用中的英语模糊限制语深入细致的定量分析和定性研究,使得本书得出的结论较为可信。

语言理论探索和语言事实发掘永远是语言学研究的两大最为重要的任务。本书在这两个方面都作了有益的尝试,我相信读者是可以从中获益的。

许余龙

上海外国语大学 语言研究院

2012年2月1日

## 内 容 提 要

模糊限制语是语言交际中重要的语用标记语,是交际者常用的语用策略和手段之一。在口语交际和学术语篇等文本形式中,模糊限制语常常出现在话题敏感、说话人欲躲避自己责任、或令听话人不快或于其不利的语言交际场合。很多学者对这一语言现象从语义学和语用学的角度进行了较为全面的分析。本论文作者拟从认知语用学的视角对英语交际中的模糊限制语的语用功能及其在话语生成和理解方面进行较全面的探索性分析和研究,应用了 Sperber & Wilson 的关联理论(Relevance Theory)和 Verschueren 的元语用意识理论(Metapragmatic Awareness Theory)作为本研究的理论框架,对交际中经常出现的模糊限制语语用功能的认知性及其在话语生成和理解的具体语境中产生的认知机制、话语命题和认知语境的关系、语境效果与关联性的关系以及推断话语意义的努力程度与关联性的关系等进行分析 and 研究。按形式划分,模糊限制语可分为词语形式模糊限制语和句法结构形式模糊限制语两种。从语义学的角度,模糊限制语可分为四类:第一类由某些形容词和副词构成(如: maybe, almost, somewhat, sort of, a little 等);第二类是指构成形容词或副词的后缀(如:-ish, -like 等);第三类是指由连词 as if, as though, so ... that 等引导的方式状语从句或程度状语,表达说话人对某事犹豫不决或不确定的情况;第四类由一些句法结构或短语构成(如:I think, I believe, as far as I know, according to, in my opinion, I may be confused, but ... 等)。从语用功能上划分,模糊限制



语被分为缓和型模糊限制语和变动型模糊限制语。前者用于说话人对话题内容直接作出主观推测,或引用他人之看法、观点,间接表达说话人的态度,使话语的语气趋于缓和;后者用于对话题的真实程度和涉及范围作出修正,改变话语结构的意愿。本文拟从认知语用学的视角对英语交际中的模糊限制语进行较全面的探索性分析和研究。

从认知语言学的角度来看,语言的运用不能脱离人的认知;语言是认知的窗口,从这个窗口,我们可以深刻地了解到人们在运用语言进行交际时的心理状态、观点和态度等。人们对事物有所了解和意识才会运用语言进行恰当地表达。当说话人意识到某话题会对听话人造成一定负面影响或担心自己会处于不利情况时,常常用模糊限制语来缓和由于不快的话语造成的语气或出于礼貌等,同时又希望通过这种语言手段来表明自己对所谈及的话题的态度或观点。本研究运用了美国 Brigham Young University 的 Mark Davies 设计的“现代美国英语语料库”(Corpus of Contemporary American English),对英语中常用的模糊限制语在实际交际的语境中的应用,包括口语、小说、报纸、杂志以及学术语篇等进行了调查。论文中大部分的实例来源于此语料库。经过认真的分析和研究,我们得出如下研究成果:第一,在言语交际中,模糊限制语的语用功能受言语交际的认知性所驱动。说话人在开口说话之前,必须考虑言语交际中的各种认知因素,比如:交际双方的社会关系、礼貌程度、承担责任的可能性、受批评的危险,等等,并小心地对交际语言进行选择。在言语交际中,从话语交际的间接性、负面礼貌以及面子威胁行为三个方面的分析论证表明,模糊限制语在用于遵守交际原则(会话合作原则和礼貌原则)时发挥了重要的作用。说话人和听话人的认知语境总是在相互影响、相互作用、相互趋同,进而实现交际意图。第二,在言语交际中,模糊限制语的应用明确了说话人的交际意图,发

挥了语用标记语的功能,以一种明示的形式表达了说话人对谈论话题的态度或观点,从而有助于改变听话人原先的认知语境。第三,模糊限制语的应用受保护面子行为的考虑所驱动。几乎所有应用模糊限制语的言语交际总是与敏感的、直接的、令人不快的、难以接受的或说话人持有否定态度的话题有关。说话人总是运用一些类似模糊限制语的礼貌策略,实施维护面子的行为,以便使听话人有机会留住面子、摆脱困境。第四,模糊限制语在话语结构中实属一个相对独立的成分。它可以是一个单词,一个短语,也可以是一个句法结构。在话语中,它所出现的位置是灵活的:可能在句首、句中或句尾,即模糊限制语具有语法结构多变性、句法结构的灵活性以及语用结构的可释性。第五,模糊限制语不仅有助于解码话语的概念信息,而且也传递了话语的程序信息。在交际中,模糊限制语有助于使听话人了解话语的命题意义以及说话人的交际意图。第六,从语料库中对模糊限制语的应用频率调查来看,模糊限制语较多应用于口语语境。第七,模糊限制语在交际的话语理解中能够有助于减少话语处理时所做的努力。

## ACKNOWLEDGEMENTS

In the process of writing this dissertation, I have obtained much help from my teachers, colleagues and friends as well as my family. By this opportunity, I would like to express my heartfelt thanks to them. The dissertation is not an isolated project accomplished all by myself, in fact many people have helped me during the writing of this dissertation. Their contributions actually cannot be measured or described in words.

First of all, I am greatly indebted to my supervisor, Professor Xu Yulong, for his wisdom, intellect, and critical acumen which have been guiding the writing of my dissertation from its inception to its completion, for his close reading and continuous improvement which have enabled me to have a clearer train of the thought for the present research, and also for his instructive and witty lectures which have greatly benefited my understanding of linguistic studies. He has read through the dissertation and he is so kind that he doesn't in the least show any hesitation in offering his suggestions on the revision of many aspects in the dissertation and on collecting some reference books for my research. He has kindly given me some precious advice on the choices of words and the writing style of my dissertation.

I also owe all the teachers and colleagues the great thanks for what they have done for the writing of this dissertation. Without their help and support, it is impossible for me to finish writing this dissertation.

I am grateful to Professor He Zhaoxiong whose theories about pragmatics and instructive lectures greatly enlightened me in the research of pragmatics.

Thanks are also due to Professor Li Weiping for his acute criticism of modernism and postmodernism which have deepened and widened my insight about British and American literature, and also to Professor Yu Jianhua for his academic mind which has notably facilitated my work. I am also particularly grateful to Professor Chen Xinren, working in School of Foreign Studies, Nanjing University, for his practical help and endurable encouragements over quite a few years since I worked on my dissertation, and also for his astute criticism and invaluable advice from the initial writing to the final revision of the dissertation. Particular thanks should also go to Professor Wang Zhiyun and his wife, Professor Xing Xiaomin, teaching in College of International Studies, Guizhou University, for their hopeful encouragements during the most difficult moments. Furthermore, I must give my special thanks to my postgraduate students who have collected some priceless materials and the latest researches related to the topic in question and who have made some suggestions on the improvement of my dissertation. I would also like to thank all my colleagues and my undergraduate students who have given me great spiritual and physical supports so that my dissertation can be completed in the end. I will never forget what they have done for the completion of my dissertation.

I am greatly indebted to my friends and classmates, who studied together with me in Shanghai International Studies University. They are Jiang Yujiao, Qiao Longbao, Liu Fengge, etc. for their kind helps

and encouragements at the critical moments.

I also deeply appreciate the materials collected from the Library of Shanghai International Studies University, Shanghai Library, the National Library of China, and the Library of the Chinese Academy of Social Sciences, and the library of Guangzhou University of Foreign Studies. Without them I cannot complete my dissertation.

I owe a great deal to Guizhou Association of Foreign Languages, including Professor Ding Tingsen, Professor Mao Guo'an, Professor Xiao Tangjin, and Professor Yang Shanqing, etc. as they have encouraged me to make unremitting efforts to continue my linguistic research and provided me with some chances to meet some scholars like Professor Hu Zhuanglin, Professor Huang Guowen, etc. whose lectures have enlightened me most in the linguistic research. I would also like to give my thanks to Professor Tang Ruoshui, who has given me the greatest inspiration and encouragement for further development in my life so that I can overcome varieties of difficulties and achieve my established goal in the research. And great thanks should also go to all the predecessors' achievements in the study of linguistic hedges, which have supplied me with a source of inspiration and academic support.

Last but not least, I would express my heartfelt thanks to my family who have always been there. I am first indebted to my parents for their ever-lasting love and encouragements. I will never forget, in my life, the smiling and kindly face of my father though he passed away during the writing of my dissertation. I will simply dedicate this dissertation to my dearest father. I am also grateful to my mother for her ever-lasting love and concerns when I am busy writing my

dissertation. I would like to thank my wife, Tian Yuzhi, for her constant companionship, tolerance and unfailing support during these years. Throughout the writing of this dissertation, she has taken much labor and responsibility for the family; and my lovely daughter Zheng Tianxin has also given her special attention and care to me when I was working hard on my dissertation.

Despite the assistance of all the people referred to, I am solely responsible for all the misinterpretations and errors in this dissertation. Any comments, suggestions or criticisms will be highly appreciated.

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