西安外国语大学文丛

语言学

英语指称语的焦点化心理空间模型分析

侯建波◎著

中国社会科学出版社

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序

本书作者西安外国语大学侯建波博士、副教授，于2005年至2009年在北京大学外国语学院英语系攻读博士，前期由姜望琪教授指导，后期由我指导，2009年获得博士学位。

我和建波接触后，便注意到他对本世纪前后发展起来的认知语言学情有独钟。我感到我和建波之间不是简单的传统的师生关系，而是两种思潮两种理论相互融合的关系。此话怎讲？就当时的建波来说，这体现了年轻人对新思潮、新理论的追求，我应该放手让他去闯荡这个学术空间；就从学习系统功能语言学成长起来的我本人而言，不仅我对认知语言学所知甚微，我还要摆脱不同学术理论门户之见的束缚。有困难的时候，我便会请教他原来的导师，姜望祺教授。很高兴，我和建波合作得很好，他顺利地完成了学习任务，获得博士学位。

建波当年的博士论文研究英语指称语在语篇中的分布。他将认知语言学和系统功能语言学结合作为理论指导，在方法上有前沿性。在写作过程中，他能对先前研究的不足提出评论，如：先前的研究对同一类语言现象没有采用统一的分析方法，也没有给出动态原因来解释选择指称语的动机。最后，该论文主要论证了：（1）理想的焦点化心理空间可以作为语篇的一个抽象单位。（2）对指称表达式的选择是由观察聚焦时的方式和认知客体的突显程度两种因素共同决定。（3）指称表达式在语篇中的分布不但体现了意向内容，而且体现了聚焦者的意向内容。这些观点均具有一定新意。

如今建波在该论文基础上完成本书，令人欣喜。不难发现，建波认真地对原书稿做了修正和补充。从《英语指称语的焦点化心理空间模型分析》的书名看，他突出了本书的核心思想，“认知分析模型”的构建。他对具体的研究目标做了清晰的归纳，即本书旨在解释英语指称语在语篇中的分布，追寻选择指称语的过程中聚焦者的意图。我们从中可以看到作为

本项研究的理论基础——认知语言学和功能语言学结合框架的形成过程。本书除了保持原来的观点：指称表达式是对焦点化心理空间中结构化认知客体的体现外，对“元意向”，特别是不同层级中聚焦者的“元意向”有着精彩的论述，从而使我们了解元意向的建构功能。

建波离开北大后在西安外国语大学任教，除开设语言理论课程外，还承担一定的教学管理工作，注意全面发展。我也有机会看到他的一些优秀论文，如“评 Tomlin 的认知功能语法”，“语法隐喻：新解与反思”等。作为他的导师，在我有生之年能看到他的健康成长，此情此景，难以言表。有一次我在西安开会期间，与建波曾在西安高高的辽阔的城墙上漫步畅谈，几乎转遍整个城墙，不愿止步。愿建波继续奋勇前进！

胡壮麟

2014 年 9 月

北京大学蓝旗营寓所

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Acknowledgements

This study has grown out of my Ph. D. thesis, which was completed at the Department of English, Peking University in 2009. Now a chance arises to have the revised version published. I would like to take this opportunity to show my appreciation to those who have helped me a lot in the research journey and in this revising process.

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During these years at Peking University, the convenient facilities helped me more than a lot. When there was a need for physical exercise, the comfortable Wusi Playground, and the beautiful lane around the Weiming Lake were frequently visited. It is the physical exercise on these comfortable places that kept me not only fit and well but also sharp and fresh. The grand and magnificent library was my favorite place during this research journey because it was very happy to read, very comfortable to write, and very fruitful to think in the quiet reading rooms.

In these four years Ph. D. program, I contributed nothing to my family. From the facial expressions of my parents, I felt the great parental love of encouragement. My parents-in-law gave me more than support and encouragement

willingly. When I was absent from my home, it is they who gave a helping hand to us. Without the help of my parents and my parents-in-law, I could not have pursued this study. To the treasure of my heart, the light of my hope, and the momentum of my life, my lovely son, Hou Xianwen, I owed him a lot. He was born soon after I began to study at Peking University. I have spent very few days and hours with him. From his babyish question about my study at Peking University, I know and understand his feelings: A baby needs his father by his side, and his father should be a person in the baby's real life rather than just a voice over the phone. To my best friend for 20 years, the love of my life, and the faithful supporter of my decisions and ideas, my wife, Sun Jingyi, I am more than grateful for her heartfelt understanding and considerate support, for her deepest blessing and keen anticipation, and for everything she has done willingly for me, for my son, and for my family.

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To all these helping hands, to all these expecting hearts, I dedicate this book, which is a conclusion of my years' full-time, yet significant journey, resolutely, but earnestly made with heart and soul.

Symbols

In this research, referring expressions in the examples are marked with different symbols, which are explained as follows.

➢ (1), (2), …

This symbol (an Arabic numeral in parentheses) is to mark different referring expressionsin a single textual slot.

➢ (a), (b), …

This symbol (alphabetic letters in parentheses) is to label different textual slots, in which there is only one referring expression for each textual slot.

➢ (a1), (a2), …

This symbol (in parentheses, an alphabetic letter followed by an Arabic numeral) is to mark different referring expressions in the same textual slot when there are other textual slots in the same referring chain.

➢ (Aa), (Ab), …; (Ba), (Bb), …

This symbol (a capitalized letter is followed by a one in low case) is to mark textual slots in referring chains so that people can make a distinction between different referring chains.

➢//

This symbol is to mark the boundary between different focalized mental spaces in a referring chain.

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Chapter One Introduction

This research will propose a cognitive explanation for the selection of referring expressions in English texts. As an introduction to this research, this chapter will bring forward the research topic, explain the concept of referring expression, present the research background, phrase the research questions, elucidate the methodology and the data collection, and explain the organization of this research.

1.1 Emergence of the research focus

Please read the following three examples first and pay attention to the underlined words and phrases.

[1.1] *And I would not be standing here tonight without the unyielding support of* (1) *my best friend for the last* 16 *years*, (2) *the rock of our family*, (3) *and the love of my life*, (4) *the nation's next first lady*, (5) *Michelle Obama.*

Barack Obama: *Change Has Come to America*

[1.2] "*Tell* (*a*) *me something about your sister*, " (*b*) *Newman began abruptly. Bellegarde turned and gave* (*c*) *him a quick look.* "*Now that I think of it*, (*d*) *you have never yet asked me a question about her.* "

Henry James: *The American*

[1.3] *They shot the six cabinet ministers at half-past six in the morning against the wall of a hospital. There were pools of water in the courtyard. There were dead leaves on the paving of the courtyard.*

Ernest Hemingway's short story①

In example 1.1, there are five successive nominal phrases, which refer to the same person, "Michelle Obama". The speaker used five nominal phrases to emphasize different aspects of "Michelle Obama". In example 1.2, the same person is mentioned by different linguistic expressions: *me*, *Newman*, *him* and *you*. The same entity is positioned differently as different parties. Example 1.3 is taken from the beginning of a short story written by Hemingway. The unidentified group of people are linguistically encoded by the pronoun, "they". Throughout this short story, they are not identified. As a result, the writer implies that it is what "they" have done rather than who they are that matters.

These linguistic phenomena in these three examples are "marginalized" or "ignored" to "be pushed away" from textual analysis to other approaches, such as stylistics, pragmatics, etc. Because they share the same topic: selecting a linguistic expression for its referent, it would be better if they could be studied in a consistent method. These phenomena should be analyzed among other issues within text analysis. In other words, these "unusual" referring expressions should be studied among other linguistic phenomena within a consistent framework instead of ignoring their existence. As it would be shown in Chapter Two, these phenomena pose a problem to many scholars who studied the distribution of referring expressions. This research is to explain the distribution of referring expressions, including the linguistic phenomena in these examples.

To account for the distribution of referring expressions in English texts, the author would draw up a cognitive model to explain linguistic phenomena. Although most referring expressions are "normal" in natural English texts, there are really some referring expressions which are quite "abnormal". Furthermore, this research holds that it is inadequate just to study the superficial relation between different linguistic expressions. Because the relation at the conceptual level determines the paradigmatic or syntagmatic relation between different referring expressions, it is better to study the relation between different "identi-

① Originally this short story is several sentences long without a title. Throughout this short story, the unidentified group of people is mentioned by the third person pronoun, "they".

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