

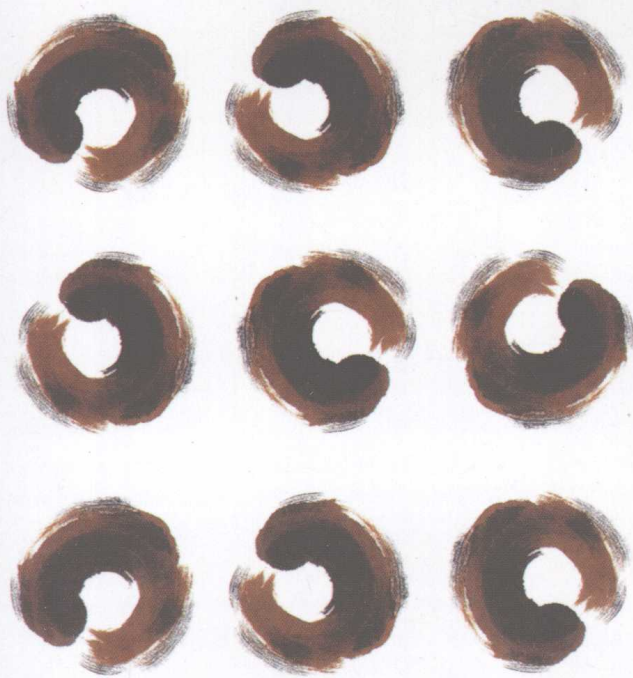
● 田学军 著

隐

喻的语用视角研究

Metaphor in the Pragmatic Perspective

吉林大学出版社



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Acknowledgements

In 1990, I took the national MA examination and was recruited by Beijing Normal University. For my father's illness, I tore myself away from BNU. Twelve years later, I became a doctoral candidate of the renowned University, under the supervision of Professor Zhou Liuxi, with whose acceptance I have realized my dream to pursue further study. On the lively campus here, I have had a wonderful time for three years. Hence heartfelt respects and thanks go first to my supervisor, who has guided and trained me, and offered insightful instructions in my pursuit of pragmatics.

When I was admitted to BNU, the teachers recommended that I study in Macao University as a Ph. D. candidate. I felt wholeheartedly grateful to their kindness and such an opportunity. Impossible to resist the temptation of BNU, I declined the offer, because my preference was concluded even in 1990. During the happy days in BNU, numberless teachers have helped

me a lot in one way or another, among whom quite a few have to be thanked very much: Prof. Hu Zhuanglin, Prof. Tian Guisen, Prof. Peng Xuanwei, Prof. Chen Daxing, Prof. Wu Tieping, Ms. Hu Jun, Ms. Lu Peiwen, and Ms. Pan Jun. My sincere thanks also go to those scholars from whom I have benefited a lot: Prof. Shen Jiaxuan, Prof. Jiang Wangqi, Prof. Gao Yuan, Prof. Liu Shisheng, Prof. Xu Jiujiu, Prof. Shu Dingfang and Prof. Zhang Hui.

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Now the research in question is ready for print as a book, which surely constitutes one mark in my academic career. To its publication, many friends have contributed a lot, among whom the following deserve my heartfelt thanks and gratitude: Dr. Xu Ming, Dr. Zhao Xiuming, Ms. Zhang Yanjun, Ms. Chen

Hong, Ms. Gao Tianyu, Mr. Liu Yunfeng and Mr. Zheng yang. Without their full support, the book may well have remained a doctoral dissertation, even though it quite deserves a careful reading for those interested in the pragmatic study of metaphor.

Since I was engaged in the Ph. D. entrance examination, my family has been caught in numerous unimaginable misfortunes, my wife and my daughter having endured what ordinary man cannot conjure up. Without their backing-up, I may well lose hope for life. My father, mother, brothers and sisters have loved me so much that when my father was having an operation in November of 2004, they did not even tell me for not to bother me. For the past years, I have fallen deep in self-accusation from time to time, because I have brought forth too much suffering to them. Now I will have the research findings published, the book is, I think, the best gift that I could give them. Actually I owe to my family all that I have as well as all that I will have. I love them with all my heart, forever.

Abstract

Metaphor is ubiquitous as an indispensable and unavoidable part of man's language as well as language use, for which it has attracted the attention of philosophers, rhetoricians, literary critics, psychologists and linguists over the past two thousand years. Anyhow theorizing about metaphor is usually believed to have started with Aristotle whose many influential works include such ones as *Rhetoric and Poetics*.

Metaphor can be approached from four perspectives: the rhetorical, the semantic (static), the pragmatic (somewhat dynamic) and the cognitive. There exist four most critical defects for the overall study of metaphor in question. Firstly, there is no unified and satisfactory definition embracing all the researches undertaken. Secondly, there is no feasible and convincing overall theory, which explains the generation, functions and interpretation of metaphor. Thirdly, the focus of the researches into metaphor has been, more or less, on the static aspects and the ontology of metaphor. Nearly all the views have, largely, dealt with the easiest metaphors, without having really

gone into novel metaphors and the creation of similarity, let alone successfully coping with them. Fourthly, metaphor study in the pragmatic perspective is scanty and unsystematic. There is no assumption on the real working mechanism (or interaction) between metaphor and context. Metaphor is mainly a topic of quite a few scholars and experts, who have not cared for the building up of a systematic and convincing framework for the pragmatic study of metaphor. That is why I have preferred to carry out my metaphor study, theory-oriented, particularly in the pragmatic perspective.

In the present book, metaphor is defined as *a linguistic resource/means/strategy, explicitly false but implicitly appropriate, for more effective communication*. It falls, mainly, into two categories: (*quasi-*)*internalized metaphors* (固化隐喻) and *newly-conceived metaphors* (新创隐喻). Herein pragmatics and communication converge, for my notion of pragmatics runs the following way: "What pragmatics studies is the generation, negotiation and inference of interactive and dynamic meanings, with the participants as the leading figures, the context as the backbone, the utilization of the linguistic resources as the means/strategies, and the strategic and successful communication as the target." Now comes naturally the necessity of integrating metaphor and context in question, because context and meaning are the two pillars of pragmatics (communication). In order to sketch a panorama of metaphor (for both the broader and the narrower pragmatic perspectives as well), Communication Adaptation Theory (CAT) has been constructed, for which the demonstration model has been presented as

Fig. 12. In CAT, there come four critical components; communication, adaptation, relevance and strategy. Here strategy constitutes the engine as to whether the communication in question is strategic or not, the decisive factor for their division lying in whether there arises implicature. Thus Strategy Maxims for Implicature Manipulation (SMIM) has been suggested, which embraces Relevance Maxim, Quality Maxim, Economy/Quantity Maxim, Clarity Maxim and Politeness Maxim, each consisting of two sub-maxims, one generating implicature and the other not, the implicature figure of which being demonstrated as Fig. 17. As a matter of fact, SMIM constitutes the core, the starting engine and the driving force, of CAT as well as any other strategic communication. To guarantee the communication anticipated on the right track, come to rescue immediately the different dimensions of adaptation such as the participants, context, choice-making, strategy, dynamic adaptation, and salience in adaptation. Since metaphor constitutes the exemplary of (the mechanism and process of) implicature generation and inference through strategy, the overall model for the book has been brought to light in Fig. 8.

The process of metaphor generation can be demonstrated as Fig. 20, whether at the macro-level, the mid-level or the micro-level. The most essential factors involving the macro turn out to be language, society and cognition, the relationship between which can be shown as Fig. 26. In fact, what we are lacking most is metaphor generation at the mid-level, which is actually where pragmatics will come to rescue and catch up. Herein the mechanism and process of metaphor generation un-

der CAT has been summarized as Fig. 21. Strategy for Metaphorical Implicature with Cooperation (SMIC) has been suggested for illustrating what implicature may be engendered and in what way. Applying SMIM in metaphor, implicature manipulation through metaphor features somewhat different properties from that via plain language, the resultant version of which crops up as Strategy Maxims for Metaphorical Implicature Manipulation (SMMeIM), consisting of Strategy Maxims for Metaphorical Implicature Generation (SMMeIG) and Strategy Maxims for Metaphorical Implicature Inference (SMMeII). Concerning the dynamics of metaphor generation at the micro-level, have to be taken into account the working mechanism, (dynamic) interaction, chained-and-netted cognitive schema, similarity and analogy, assimilating and mapping, metaphorical meaning and implicature, emotion, image and salience. The view of mine on the working mechanism, which also serves as (and paves the way for) the ontology of metaphor generation in this respect, has been concluded as Fig. 23. Moreover, a view has been strongly held that in similarity-based metaphors there is no such thing as similarity, which, in the final analysis, turns out to be what has actually been called analogy. The relationship between the source and the target is not that simple as has been depicted by mapping alone; on the contrary, the process involved is “assimilating + mapping”. Put in greater detail, mapping contains, in fact, three componential parts: mapping, assimilating, and (the guidance of) context (the initiator’s pre-suppositions/attitudes/emotions or/and the communicative intentions/ends), in which the successful mapping and assimila-

ting is finally determined by the context, the track of which has been demonstrated as Fig. 25.

Metaphor, as a linguistic resource/means/strategy, implicitly appropriate though explicitly false, for more effective communication, shares not only meta-functions of language (informative, behavioral, interpersonal and metalingual functions) but also functions of rhetoric (poetic, cognitive, logical-expressive, emotive, euphemistic, and interpersonal functions). On the other hand metaphor features its own properties, with its functions classified into: (1) Explicit functions: notion/concept easy accessibility (cognitive), language enhancement (word/notion filling, economy, discourse/coherence and expressive/poetic functions), emotive, interpersonal and culture-laden functions; (2) Implicit/mis-match functions: either positive metaphorical meaning with negative implicature and emotion, or negative metaphorical meaning with positive implicature and emotion; (3) Vagueness of metaphorical meaning, implicature and emotion. All the above illustrations are undertaken from the perspective of language use for better and more effective communication, in which converge the notions of metaphor, pragmatics and communication.

Since CAT and its working mechanism of SMIM have already been expounded in comparatively greater detail, the angle/focus of interpreting metaphor has thus been shifted a bit to interpreting metaphor under different contexts: cognitive context, co-text, conversation, social context (change). Their (macro-) models and (micro-) working mechanisms are all demonstrated respectively as Fig. 32, Fig. 34, Fig. 35 and Fig.

36; Fig. 39, Fig. 43, Fig. 44 and Fig. 45. All the metaphor models under contexts are in accordance with or simply derivatives of Fig. 8 (The Overall Model for the Book), which has, in turn, originated from Fig. 9 (A General Model Under All Communication). Why such a way? The research in question copes with human verbal communication, which is taken as both the start and the homing, for which metaphor serves as a linguistic means/strategy for more effective communication.

In conclusion, the present book has somehow made my Shangrila available, for its comparatively more exhaustiveness, greater consistency, stronger interpretability and wider applicability of the pragmatic study of metaphor, which might well constitute one componential part for the panorama of metaphor study as well as the overarching theory for the metaphor study in the (broader) pragmatic perspective.

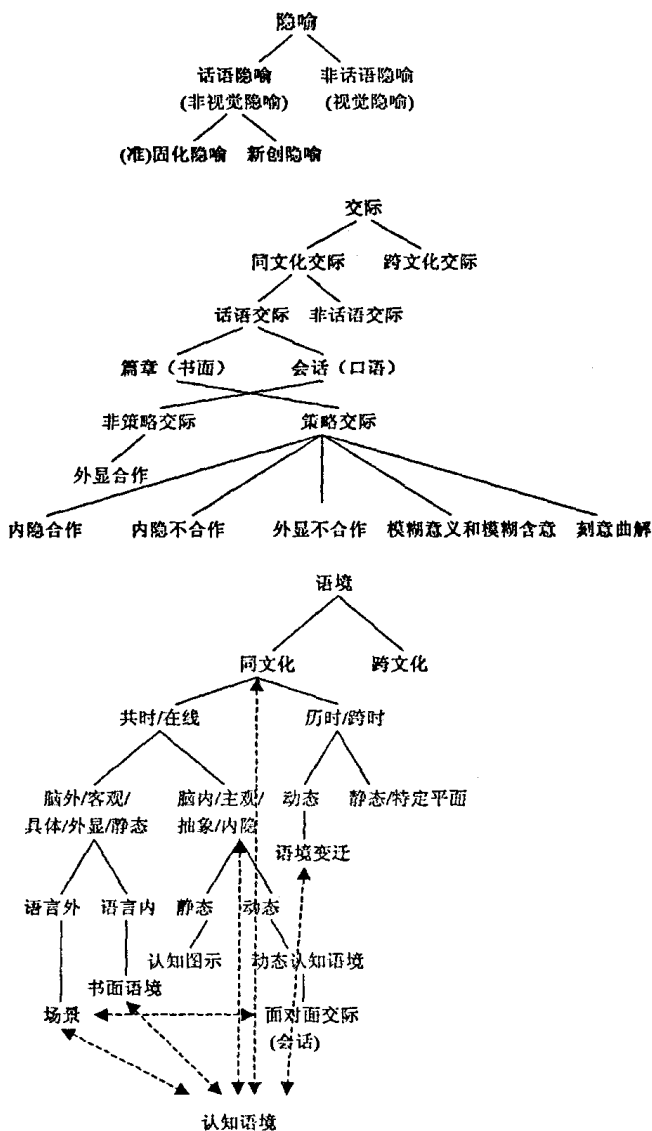
中文摘要

隐喻在我们的语言(运用)、心智思维和日常生活中无处不在,无时不在。两千多年以来,她以其独特的魅力引起哲学家、修辞学家、文学批评家、心理学家和语言学家们的注意。人们普遍认为,隐喻是开启人类概念形成、心理表征和语言运用奥秘之门的钥匙。虽然隐喻研究的历史绵延数年,但真正意义上的理论研究却是源发于亚里斯多德和其影响至今也挥之不去的《修辞学》和《诗学》。

隐喻的总体发展大致划分为三个阶段。第一阶段从亚里斯多德延展至二十世纪三十年代,研究的重心是对隐喻的修辞现象进行探讨,最著名的学者是亚里斯多德、昆提良和理查兹。第二阶段绵亘于二十世纪三十年代和七十年代。学者们的目光主要集中在语言隐喻(包括语义隐喻和语用隐喻)。语义隐喻可以划分为两大派:所指观和描述观,前派之代表学者有享乐、莫伊、弗格林,后派中最著名的当属布莱克、别兹利和古德曼。对隐喻进行语用视角探索最重要而且收获最丰的语用学家无疑是塞尔,其他的著名学者有格莱斯、斯珀波和威尔逊、奥特尼、戴维森、莱昂斯和莱文森。第三阶段从二十世纪七十年代持续至今,是隐喻的多视角研究时期,其中哲学、心理学、语言学和认知科学扮演了重要角色。这期间,以雷柯夫和约翰逊为代表的概念派像一股股热浪频频拂打我

们的面庞,并且给我们留下了许多极有见地的观点。尤其是他们合著的《我们赖以生存的隐喻》更是把欧美的隐喻研究带入了“疯狂”有加的新时期。透过这一简短的分析不难发现,对隐喻的研究和探讨基本挣脱不出这样四个视角:修辞、语义(静态)、语用(动态)和认知。在审视隐喻流金岁月并为之欢呼雀跃的同时,我们不妨也冷静地反思一下它所遗存的缺憾。以笔者之见,我们大概可以将其框入四个方面:(1)隐喻,不论从哪个视角探讨,都是隐喻,都涉及到隐喻使用,然而迄今为止却无任何统辖所有视角而且比较令人满意的隐喻定义;(2)时至今日,依然没有可行而且令人信服的一统理论,对隐喻的生成、功能和解释进行全面、系统的分析;(3)隐喻研究的重心基本逃脱不出对隐喻本体和静态研究的樊篱。几乎所有的隐喻观和探讨皆沉湎于最易隐喻(即所谓的死隐喻),并没有真正深入到新隐喻和相似性的创建等细节,当然更谈不上对其深层机制的探讨和解释;(4)隐喻语用视角的探讨凌乱破碎,不成系统。对于隐喻和语境相互作用的深层机制缺乏假说和构拟。难怪过去隐喻被相当多的学者和专家包容在语义隐喻之中;建构起系统的、令人信服的隐喻之语用视角研究理论就更谈不上了!有鉴于此,笔者选取了隐喻语用视角的理论研讨作为当前研究的核心。

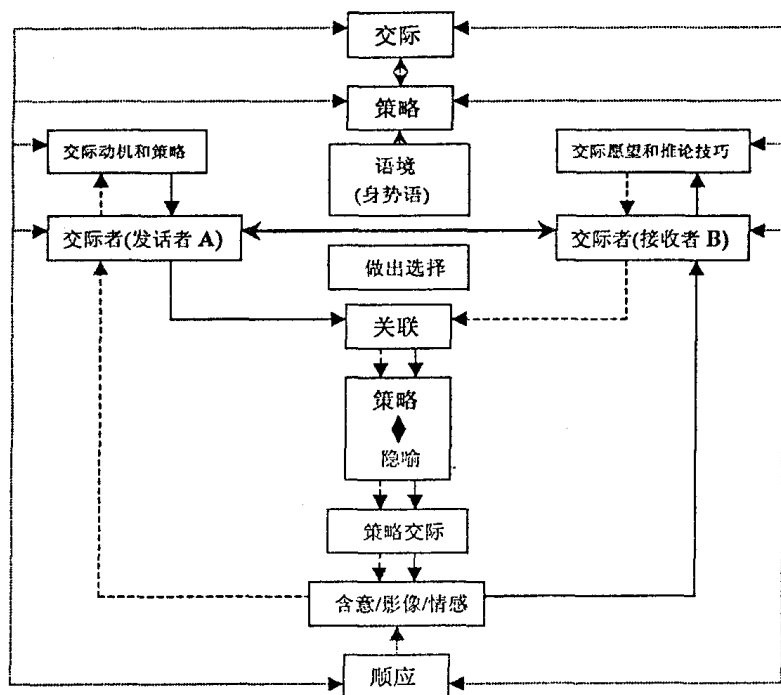
在进行深入的理论探讨之前,笔者对相关的概念和定义进行了梳理,提出了渗透着自己见解的观点。隐喻被定义为表面错配而内隐契合的有益于更有效交际的语言手段和策略。语用学研究的是:以交际者为主体,以语境为依托,以运用和理解语言为手段,以策略、成功的交际为目的的互动意义的建构和磋商。隐喻、交际和语境的组合因子和归类分别展示为了下页的树形图;由此把隐喻、语境和语用/学(交际)紧密联系在了一起,这一点在隐喻和交际的分类中愈加凸显。这些前期准备工作为隐喻(特别是宽式)语用视角的探讨奠定了基础。



① 周流溪提出:含意原应称隐含话意 (implicature), 在需要联系 implied/implicated/implication 的对译语时, 仍然可用“隐含话意”。

笔者在建构隐喻语用视角研究之支撑理论交际顺应论(CAT)和统辖全文之整体模式的时候,参阅并借鉴了维索尔伦之著作《综观语用学》(或《语用学综观》)^①中的观点:语用学是对语言的一种综观;语用(学)研究的是语言的选择和顺应;语言具有变异性、商讨性和顺应性,这是进行语言选择和顺应的必备前提;对于语用的描述和解释,可以从语境关系的顺应、语言结构的顺应、顺应的动态性和顺应过程的意识程度等四个方面入手深化。正是受此启发,更为使所建构的理论具有较强的解说力(包容尽量多的隐喻和类似的语言素材/现象),笔者亦采用了同样的综观视角。鉴于语用和交际是当前研究仰仗并贯穿始终的红线,顺应和交际又是魂牵梦萦地缠绕在一起,故所建构的理论被命名为交际顺应论。其核心成分是:交际、顺应、关联和策略。交际、顺应无需赘言。关联的重要性在合作原则(CP)和关联理论(RT)中已被广泛认可,如今笔者依然将其视为CAT中不可或缺的四要素之一,就是因为无论是策略交际还是非策略交际,都必须以关联为初衷,否则就是言不由衷,拟或是胡言乱语。策略是决定现时交际是以策略为导向还是以平淡无奇收场的枢纽所在。况且隐喻本身就是上演策略交际和抵达所盼之彼岸的最有效手段之一。这样的四大要素无疑会成就CAT美妙的梦想。策略交际的相关因子和过程可以展示如下:

^① 英文书名是 Understanding Pragmatics.



策略在 CAT 中占据着举足轻重的地位,因为策略交际和非策略交际的最终分水岭是含意的产生与否。含意调控准则就是在这种情况下应运而生的。它是现实交际最基本需求、最核心机制的提炼和升华。含意调控准则是 CAT 以及任何策略交际的发动机和内驱力。它总共包括五项准则:关联准则、质准则、经济/量准则、明晰准则和礼貌准则。每一准则都细化为两个次准则,第二次则产生含意,第一次则不产生含意。这五项准则还可以从含意生成和含意推论两个角度进行破译。当然生成和推论在绝大部分情况下是一对肩并肩、手挽手的孪生兄弟。人为地把它一分为二只是为了便于从不同的侧面进行论述、分析和理解。