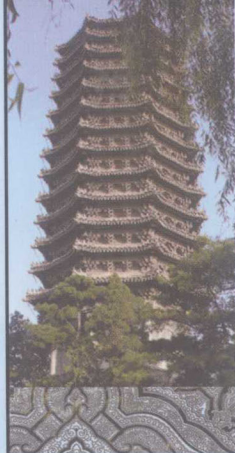


21 世纪英语专业系列教材

《语言学高级教程》(第二版)内部语言学与外部语言学并重,理论语言学与应用语言学兼顾。各章节作者均为国内知名语言学家,畅销十余年,是语言学教材的经典之作。此次修订在第一版的基础上,充分汲取了国内外语言学研究的最新理论和成果,更为全面而系统地阐述了当代语言学及其应用学科领域的内容和新发展。各章节脉络清晰,相互渗透;语言明快,阐述方式深入浅出。既利于教师课上教学,又利于启发学生课下独立思考和研究。



# 语言学

Linguistics  
An Advanced Course Book

# 高级教程

第二版

胡壮麟 姜望琪 主编



北京大学出版社  
PEKING UNIVERSITY PRESS

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## 第二版前言

在《语言学高级教程》(*Linguistics: An Advanced Course Book*)第二版付梓之际,我们谨在此汇报此次修订的过程和改动细节。

《语言学高级教程》第一版出版于2002年。随着岁月的流逝,有些内容逐渐陈旧,不再适应读者的需要。为此,我们从2011年秋天开始筹划该教程的修订。我们联系了各位作者,征求了修订意见,确定了修订方案。为了不增加读者的负担,这次修订的总原则是不增加篇幅,增添新内容,而且要相应地删减部分旧内容。

在各位作者的努力下,2013年5月完成修订,大多数章节都有一些改动。除了改正一些错误以外,变动比较大的是,原来的第二章(Phonetics)和第三章(Phonology)被合并成了一章,缩减了语音学的一些内容,更名为Phonological Analysis;第七章Linguistic Comparison(原第八章)增加了对比语言学一节;第九章(原第十章Psycholinguistics)改成了Cognitive Linguistics,以反映当代语言学新近的发展;第十章Pragmatics(原第十一章)删减了一些内容,增加了一个新小节;第十二章Computational Linguistics(原第十三章)删除了两个小节,充实了一个小节;原第十五章整章删除。

作者也略有变动,具体如下:

第一章	李战子	南京国际关系学院
第二章	史宝辉	北京林业学院外语学院
第三章	张维友	华中师范大学外语学院
第四章	何卫	北京大学外语学院
第五章	钱军	北京大学外语学院
第六章	姜望琪	北京大学外语学院
第七章	张德禄	同济大学外语学院
第八章	杨永林	清华大学外语系
第九章	卢植	宁波大学外语学院
第十章	姜望琪	北京大学外语学院
第十一章	刘世生	清华大学外文系
第十二章	胡壮麟	北京大学外语学院
	李德俊	南京国际关系学院
第十三章	王初明	广东外语外贸大学
第十四章	封宗信	清华大学外文系

有人说,一部词典问世之日就是其内容老化之时。学术著作何尝不是如此?在信息爆炸的今天,在科学研究迅猛发展的语言学领域,著书永远赶不上研究的

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步伐。因此,我们衷心希望语言学界各位朋友,使用本教程的各位老师、同学,一如既往关心、爱护我们。发现教程存在的问题、不足,能毫不留情地予以指正,以便下次修订能做得更好。

编者

2015 年 1 月

# 第一版前言

*Linguistics: An Advanced Course Book*《语言学高级教程》(以下简称《高级教程》)是为我国英语专业研究生,特别是国外语言学与应用语言学专业的研究生编写的语言学教材。这类教材在我国基本上处于空白,例如我国一些大学的研究生课程在较长时期内采用了从国外引进的教材,或是使用我们十余年前为本科生编写的《语言学教程》(以下简称《教程》)。《教程》虽经修订,在内容上对研究生终究显得单薄一些,不很合适。随着我国外国语言学与应用语言学硕士点、博士点和英语语言文学博士点的逐步增多,老师们期待着在我国出版适合于研究生层次的教材。其次,这也多少反映了汉语语言学与应用语言学的师生的需要,他们也需要了解国外语言学的现状、基本观点和学术动向。再者,我们认为培养研究生,与培养本科生比较,在要求上应该有所不同。如果给本科生教材以传授基本知识和着重操练为主,那么,供研究生用的教材应提供有关语言学各有关学科前沿性的最新进展的信息,让学生比较不同语言学理论和流派的利弊得失,启发学生独立思考和研究,从素质上提高有关专业研究生的水平。最后,对《语言学教程》的修订,也为我们对两本教材统筹安排和合理分流提供了良机,有的专题(如语音学、句法学、心理语言学、第二语言习得、外语教学等)可以比《教程》讲得细一些;有的专题根据培养的要求从《教程》移至《高级教程》(如历史语言学和比较语言学);有的做了一定的补充(如计算语言学、语言学理论和流派)等。

语言学教材的选题可窄可宽。本教材着眼于后者,内部语言学和外部语言学并重,理论语言学和应用语言学兼顾,尽管做得很不够。我们是这样考虑的,让我国的研究生有机会接触当代语言学及其应用学科的新进展,站在新世纪的高度去学习和思考本领域的主要问题。使用本教材的老师可以根据培养要求和教学时间,学习者完全可以根据个人的兴趣择要而学。本教材的使用者会发现,有些理论,有些观点,在不同章节中都有出现,一方面它们是在不同视角下出现的,另一方面我们相信这种章节之间的互参,反映了现代语言学多学科互相沟通的趋向,也可以起到触类旁通、加深影响的积极效果。

对象改变了,内容增多了,难度提高了,这必然要求对《高级教程》的编写方针有些调整。例如,问题和练习部分取消了,英汉词汇解释和索引去掉解释部分,推荐书目和参考文献合二为一,直接附在各章之后。此举是为新增章节和内容提供篇幅;降低印刷成本和书价。同时,也是基于这样的认识:研究生在入学或应考前应该已经熟悉《教程》和一些基本词汇,并动手做过一些练习,讨论过一些问题。

语言学的覆盖面很广,靠一个人的智力和精力难以胜任或保证质量,而这十多年来,在我国高校已形成了一批对某一学科颇有造诣的中青年学者,我们在《教程》的修订本中已反映了这个趋势。在《高级教程》中,我们保持这个做法,又邀请了国内更多专家学者参与编写。今后还要这样做。这里介绍一下《高级教

## 2 语言学高级教程

程》的众作者,以各章序次排列。

第一章	李战子	南京国际关系学院
第二章	史宝辉	北京林业大学外语学院
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第十二章	刘世生	清华大学外语系
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第十六章	封宗信	清华大学外语系

应该承认,我们的知识和经验毕竟有限,撰稿者又是在较短时间内完成编写任务,他们还被告知,要勇于当枪靶子,尽量发表自己的哪怕是不很成熟的观点,以及适当地结合一定的汉语资料。这样,不论从内容和编排上都会有不足。当局者迷,旁观者清,我们希望语言学界的前辈们,各高校中使用本教材的老师和同学们,以及研究部门的有关专家将意见及时反馈我们,这既是参与了本教材的建设,也是对我们,特别是编者的鞭策。我们谨在此代表全体作者预致谢忱。

编者

2002年3月

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## Linguistics—A Pilot Science

We danced round in a ring and suppose, but the secret sits in the middle and knows.

—Robert Frost

### 1.1 Why Study Linguistics?

Very generally speaking, LINGUISTICS is the study of language. For some, language does not seem to be a worthy subject for academic study. It is treated as a tool for access to some other fields rather than as a subject in and of itself. This instrument fallacy hinders the public understanding of linguistics as the systematic study of language, though linguistics has been a field of academic enquiry in universities for many years now.

As a branch of science, linguistics has developed its own full fledged series of methodologies, which qualify it as “a pilot science.” According to Saussure, the forefather of modern linguistics, linguistics is a radically interdisciplinary and self-reflexive enterprise and should not remain the business of a few specialists. (Saussure, 1959) It is indeed necessary to reconsider how much we really understand the nature of language and its role in our life. And one will be surprised to realize that some of our most damaging racial, ethnic, and socio-economic prejudices are based on our linguistic ignorance and wrong ideas about language.

With the advance of computer technology, linguistics has an increasingly important role to play in today’s information age; and its educational implications can never be underestimated. We can all note that language plays a central role in our individual and social lives. However, if we are not fully aware of the nature and mechanism of our language, we will be ignorant of what constitutes our essential humanity. The understanding of language should not be confined to linguists, as it is a vital human resource that all of us share.

For instance, why does Chomsky’s linguistic theory have such a great influence on humanities and social sciences? How is it that he makes the unknown to the public linguistic theory become the foundation of cognitive science, psychology, computer technology and artificial intelligence? We will

have to acquire a systematic knowledge of the basic theories, research methodology, object and scope of the study, and main findings of linguistics in order to answer such questions. Two things need to be mentioned here to pave the way for our ensuing introduction. First, readers may refer to *Linguistics: A Course Book* (Hu et al., 1988/2001) for details of some relevant topics which are dealt with quite briefly in this new edition. Secondly, the problems discussed in this chapter involve varied approaches and viewpoints and it is our hope that readers will judge for themselves and delve further into the field. The journey of further exploration is bound to be rewarding, as a deeper understanding of language in general is fundamental for many sciences.

### 1.2 What Is Language? —Defining the Object of Study

When we discuss what is language, we face a problem of focus. Language involves at least three activities. It is a neural activity in the human brain and a muscular activity of the human body. More important, it also involves social activities which engage individuals interacting with one another and with the written language. Following Halliday and Matthiessen (2004: 20), we use “language” to mean natural, human, adult and verbal language. Natural as opposed to mathematics and computer languages, human as opposed to animal languages, adult as opposed to infant protolanguages, verbal as opposed to music, dance and languages of architecture and fashion, etc. All the other systems have some features in common with language proper, but none of them has all the features.

Different outlooks on language can lead to different research methods. For example the NATURALISTIC view of language held by the famous German philologist August Schleicher looks at language as an organism in the natural world. Consequently language has its growth and decay. He proposes to use Darwin’s theory of the origin of species to study language and classify linguistics as belonging to natural sciences. Perceived in a more MENTALISTIC fashion, language is the capacity of one individual to alter, through structured sound, gesture or visual emission, the mental organization of another individual. (Mc Neill, 2000) The literary descriptions of the functions of language are beyond enumerating, e. g. in Chinese, we have “言为心声,” etc.

To give the barest of definition, language is a means of VERBAL COMMUNICATION. It is rule governed in that speakers of the same language follow the grammar and communicative conventions. It is instrumental in that communicating by speaking or writing is a purposeful act. It is social and conventional in that language is a SOCIAL SEMIOTIC and communication can only take place effectively if all the users share a broad understanding of human

interaction including such associated factors as non-verbal cues, motivation, and socio cultural roles. Language learning and use are determined by the intervention of biological, cognitive, psychosocial, and environmental factors. In short, language distinguishes us from animals because it is far more sophisticated than any animal communication system.

Here let us refer to a definition of language proposed by the famous Chinese linguist Chao Yuanren (赵元任, 1980/1999: 3): “人跟人互通信息,用发音器官发出来的,成系统的行为的方式。” He emphasizes the systematic aspect of language and by treating language as a BEHAVIOURAL pattern, he shows signs of being influenced by Bloomfieldian behaviorism. Perceived in today's views, Chao was correct in everything except that the focus now shifts from language as a behavioral pattern to language as an INTERACTIONAL pattern. We will dwell more on this in Section 1.6.4.

### 1.3 Origin of Language

Tracing the ORIGIN OF LANGUAGE is always an intriguing task as some scientists say that language is the very thing that makes us human. But when did we first start talking and how did language evolve over the millennia into the diverse form of communication it is today? In religious canons we can find stories or parables about the origin of language. And various theories are proposed to account for or speculate about its origin, such as the *bow-wow theory*, the *pooh-pooh theory*, and the *yo-he-ho theory*, etc. Readers may refer to *Linguistics: A Course Book* (Hu et al. 1988/2001) for details of these theories.

William C. Stokoe (in McNeill, 2000) proposes a new interpretation of language origin: language may have begun with gestural expression. Instrumental manual actions may have been transformed into symbolic gestures, and vision would have been the key of language evolution: humans could have begun to represent the world they saw (namely, things and actions) by their own means. Vision would have been the key for syntax to slowly come up because of its great capability of parallel processing.

A more dynamic view of the origin of language holds that to trace the origin of language we must first ask ourselves “do we conceive of language as having sprung into existence full blown or as the result of the accretion of elements gradually coming to constitute something recognizable as language?” (McNeill, 2000)

Following this view, tracing the stages in the development of human language is not such an important inquiry. Instead of aiming for a precise dated origin of language, “we should recognize that language capacity was composed of mosaic of structural, anatomical, neural, behavioral and environmental

features and be concerned to propose a plausible sequence of events in the evolutionary history of language.” (McNeill, 2000) This of course goes beyond the limited space of our introductory chapter here. Readers may refer to Algeo and Pyle’s *The Origins and Development of the English Language* (5<sup>th</sup> edition) (2009) for a very good introduction.

### 1.4 Design Features of Language

It is generally agreed that language is an intrinsic aspect of human inheritance. It thus differs in kind from other acquired but less essential skills such as chess playing, cycling and calculus. It is also advantageous over animal “languages.” As a philosopher once observed, “No matter how eloquently a dog may bark, he cannot tell you that his parents were poor but honest.” So what makes human language so complicated and flexible, so unrestrained by the immediate context and so capable of creating new meanings, in a word, so distinctive from languages used by other species? The features that define our human languages can be called DESIGN FEATURES. The following are the frequently discussed ones. We will have a more extended discussion on arbitrariness and mention others in passing, as there have always been some interesting arguments about how to understand arbitrariness

#### 1.4.1 Arbitrariness

The widely accepted meaning of this feature, which was discussed by Saussure first, refers to the fact that the forms of linguistic signs bear no natural relationship to their meaning. Saussure’s initial definition of the principle of ARBITRARINESS and its relationship to the sign is as follows:

The link unifying signifier and signified is arbitrary or, even more, since we understand by the sign the total result of the association of a signifier with a signified, we can say more simply: the linguistic sign is arbitrary. (Saussure, 1959: 100)

For instance, we cannot explain why a book is called a /buk/ and a pen a /pen/. Recently some arguments have been going on in the surge of re-reading Saussure. Some scholars argue strongly in favor of non-arbitrariness of language while others insist on the total arbitrariness of language. Instead of going to extremes, more would agree that there seems to be different levels of arbitrariness.

##### 1.4.1.1 Arbitrary Relationship between the Sound of a Morpheme and Its Meaning

ONOMATOPOEIA refers to words which are uttered like the sounds they

describe, e. g. in Chinese “叮咚” “轰隆” “叽里咕噜” seem to have a natural basis. But in English, totally different words are used to describe the same sound. For example, dogs bark “bowwow” in English but “汪汪” in Chinese. As Sapir (1921/2004:4) put it succinctly, “They do not directly grow out of nature, they are suggested by it and play with it. Hence the onomatopoeic theory of the origin of speech, the theory that would explain all speech as a gradual evolution from sounds of an imitative character, really brings us no nearer to the instinctive level than is language as we know it today. ”

So there are some misunderstandings about the onomatopoeic effect. As a matter of fact, arbitrary and onomatopoeic effect may work at the same time. Widdowson cites a line from Keats’ “Ode to a Nightingale” to illustrate this point:

(1) The murmurous haunt of flies on summer eves.

When reading it aloud, we may feel the connection between the sounds and the meaning. But the effect does not really result from the whispering sounds themselves, for we will have to know the meanings of the words “murmurous” “summer” “eves” before setting up such a connection. To test this, just think of using the similar sounding word “murderous” to substitute “murmurous,” and no connection whatsoever will be established between the sounds and the little noises of the flying mosquitoes. “It is only when you know the meaning that you infer that the form is appropriate.” (Widdowson, 1996:6) This also applies to many cases of the so called onomatopoeic words.

Some linguists in re-reading Saussure also hold that onomatopoeia is not really an exception to the general principle of arbitrariness. (Thibault, 1997: 280ff.) Words such as “tick tock” “clang” “buzz” and so on are fully conventional in English. Linguistically, it is misleading to assume that these are motivated by a mimetic relationship with real world sounds, although there is a relationship of some kind, that needs to be explained by using many other words. For instance, it is not self evident why “轰隆” in Chinese means the sound of thunder or cannonballs. But after all, these examples of onomatopoeia, and many others, fully conform to the type categories of both Chinese phonology and lexicogrammar. Saussure has this to say about onomatopoeia:

As for authentic onomatopoeia, not only are they not very numerous, but their choice is already to some extent arbitrary, since they are only the approximate and already half conventional imitation of certain noises. Furthermore, once introduced into the language system, they are more or less entrained in the phonetic, morphological, etc. evolution which other words are subject to... (Saussur, 1959: 102)

One of the challenges to the view of arbitrariness comes from the French

linguist Pierre Guiraud. He studied the bunch of words with associative relations, such as “whirl” “twirl” “furl,” and found that these words share the meaning “whirling” and that they have the same pronunciation with the corresponding parts of other words. But rather than a serious challenge to Saussure’s views, his efforts appear more like an attempt to explore the degree of inner association and organization in lexis. (Gordon, 1996: 89)

#### 1.4.1.2 Arbitrary at the Syntactic Level?

According to some functional linguists (Halliday, 1985/1994), language is not arbitrary at the syntactic level.

By SYNTAX we refer to the ways that sentences are constructed according to the grammar of arrangement. As we know, the order of elements in a sentence follows certain rules, and there is a certain degree of correspondence between the sequence of clauses and the real happenings. In other words, syntax is less arbitrary than words, especially in so far as word order is concerned. Compare:

- (2) a. He came in and sat down.
- b. He sat down and came in.
- c. He sat down after he came in.

When we say (2)a, we mean the actions occurred in this order; if we say (2)b readers will take it as meaning the opposite sequence of real happenings—perhaps he got into his wheelchair and propelled himself into the room. In (2)c with the help of the word “after” we can reverse the order of the clauses. Therefore functionalists hold that the most strictly arbitrary level of language exists in the distinctive units of sounds by which we distinguish pairs of words like “pin” and “bin,” or “fish” and “dish.”

However, the opposite view underscores the AUTONOMY of syntax. “Human cognition embodies a system whose primitive terms are non-semantic and non-discourse derived syntactic elements and whose principles of combination make no reference to system external factors.” (Newmeyer, 1998: 18) In other words, to these people, syntax is purely arbitrary.

#### 1.4.1.3 Division of Reality Is Arbitrary

What is the relationship between the arbitrariness of the linguistic signs and the way language is used to classify reality? Let us look at Whorf’s account:

In English we divide most of our words into two classes, which have different grammatical and logical properties. Class 1 we call nouns, e. g. “house, man”; class 2 verbs, e. g. “hit, run.” Many words of one class can act secondarily as of the other class, e. g. “a hit, a run,” or “to man