

英汉疑问句比较研究

**A Comparative Study of English and Chinese
Interrogatives: A Generative Perspective**

王瑞昀 著

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王瑞昀, 1963年生, 河南郑州人。

1980年考入华中师范大学外语系英语专业, 1984年毕业, 获学士学位。毕业后任教于郑州大学外语学院。1986年考取该校英语语言文学专业硕士研究生, 1989年毕业, 获硕士学位。1996年晋升副教授。2002年考取上海外国语大学现代语言学博士研究生, 师从梅德明教授, 2005年获博士学位。现主要从事语言学与翻译学研究。已发表学术论文近20篇, 参加编写教材五部, 主持与参与完成科研项目近10项。

序

《英汉疑问句比较研究》系作者王瑞昀在上海外国语大学就读现代语言学专业时在我指导下完成的一篇优秀博士学位论文。

《英汉疑问句比较研究》以现代语言学主流派生成语法的“原则-参数理论”为理论框架，全面研究并深入探讨了英汉两种语言的疑问句系统，并以严谨的论证和充分的论据充实了旨在揭示人类自然语言共性与异性的普遍语法学说。

《英汉疑问句比较研究》立足于生成语法“原则-参数理论”的成熟内核“管约论”，在运用“管约论”经典理论的同时，还汲取了“原则-参数理论”的新发展“简约论”（又称“最简方案”）的最新成果，对英语疑问句和汉语疑问句的生成手段和实现形式进行了全面的分析、对比和梳理，得出了如下结论：自然语言疑问句通过“移位”、“添加”和“重叠”这三大手段而产生，通过“句首添加”、“谓头添加”、“句尾添加”、“谓头移位”和“谓头重叠”这五种

方式而实现。

为了验证这一结论的普遍意义，作者突破英汉语言的界限，对多种语言的疑问句句法特征进行了类型分析。结果表明，所分析的语料全都支持上述结论，进而证明自然语言的疑问句确实是通过“移位”、“添加”和“重叠”而产生，通过“句首添加”、“谓头添加”、“句尾添加”、“谓头移位”和“谓头重叠”而实现。

王瑞昀的研究成果具有十分积极的理论意义，不仅系统地阐明了英语与汉语在疑问句表现形式上的参数值变异原则，同时也进一步论证了“原则-参数理论”的统一解释力和普遍适用性，为普遍语法研究作出了有意义的贡献。

在我国现代语言学研究领域，以生成语法为理论框架研究自然语言的博士论文十分难得，而能有效运用体现语言学成熟发展阶段的“管约论”和最新发展阶段的“简约论”的著述更是凤毛麟角。王瑞昀的著作十分难得。这是作者三年来潜心专研、甘于寂寞、乐于拼搏、勇于创新的科研成果。

在我国语言学界，形式句法学一直被视为十分艰辛的学科，非意志坚强者不敢碰。而王瑞昀就是这样一名意志坚强的斗士，一名敢啃硬骨头的学者。《英汉疑问句比较研究》是其学术生涯中的一件科研精

品，但决不会是一部终结性的著作。我期待着学生在语言学理论研究领域里继续拼搏，不断有新的精湛之作面世。

梅德明

2005年7月

于上海外国语大学

前言

本书对英汉疑问句进行了全面而深入的研究。所运用的理论框架为乔姆斯基在 1981、1986、1995 和 2000 年等著作中提出的生成语法之“原则——参数”理论。该理论认为世界上所有的语言尽管表面上千差万别，但却具有共同的深层结构，都同样受到“普遍语法”原则与参数的制约。在“原则——参数”理论的框架下，语言间的差异是因参数设置不同所致。

尽管疑问句普遍存在于自然语言中，但是语言间表达疑问范畴的结构式却有所不同。在“原则——参数”理论框架下，我们对疑问句系统的研究紧紧围绕以下问题：表达英汉两种语言差异的疑问句参数是什么？这些参数存在于哪些句子成分中？寻找这些参数对于整个自然语言的意义如何？

本书以英语是非疑问句、特殊疑问句、选择疑问句、间接疑问句和汉语是非疑问句、特指疑问句、选择疑问句、正反疑问句以及间接疑问句为语料，在“原则——参数”理论框架下对它们的生成进行了统一的

解释，证明了 Chomsky 生成语法理论的解释力；找出了表现英汉两种语言疑问句类型学差异的句法参数，即：英语使用移位；汉语使用添加和重叠。在本书中，这些参数在法语、日语、彝语和其他多种语言中得到了进一步的验证，证明它们在自然语言的疑问句中具有普遍适用性。本书对英汉疑问句进行句法处理的句位分布进行了研究，发现自然语言进行句法处理的句位有三个，即：句首、谓首和句尾。当这三种句法手段分别应用于这三个句位上时，在九种可能的句法表达式中有五种实现式：句首添加、谓首添加、句尾添加、谓首移位和谓首重叠。自然语言中的任何疑问句法结构式都是在这个参数范围内的选择。

原则——参数理论认为，每种语言都有一个语法运算系统和一个词库。语法运算系统产生语言描写式；词库则为其中的每个词条标注词汇特征。据此，本论文讨论了跟“疑问”有关的词汇特征。研究结果表明疑问句式是句法手段与一些跟疑问有关的词汇特征相互作用或实例化的结果。

运用比较的方法来研究疑问句的跨语言差异，不仅有利于对英汉疑问句的生成进行统一的解释，而且还有利于从一个更广阔的范围认识这些差异。

本论著为英汉疑问句的研究提供了一个新视角，研究结果有助于揭示人类表达疑问的深层结构之奥

秘，对于疑问句的习得与语言教学都有着非常重要的意义。

本书是在笔者博士论文的基础上修改而成的。它的写作与出版离不开许多老师和朋友的指导、关心、支持和帮助。他们的教诲和帮助使我终生受益。借本书付梓之际，我首先向我的导师梅德明教授表示真诚的谢意。是他引导我对现代语言学的研究，激发我对句法学的兴趣，体味探索和耕耘的艰辛与乐趣，并给我以悉心的指导。没有他的支持、鼓励和鞭策，我就不可能在学术研究上取得进步。我还要感谢培养和教育过我的一大批德高望重的上外老师们：何兆熊教授、许余龙教授、冯庆华教授、李基安教授、束定芳教授、胡曙中教授、王德春教授、金立鑫教授、花东番副教授等，他们的授课使我收获颇多，为我撰写本书和今后的科研教学提供了宝贵的知识储备。在完成本书的过程中，我还受益于许多专家教授和同学朋友直接和间接的无私帮助。我或是聆听过他们的讲座，或是跟他们中有些人作过有益的交流。他们的启发、鼓励和帮助使我受益非浅。这里我要特别感谢徐杰教授、陈宏薇教授、黄为崑教授、蔡维天教授、李宇明教授、李行德教授、陆俭明教授、朱全红副教授等。本书的出版得到了中国人事出版社的大力支持，在此特向他们的领导和本书的责任编辑曲英丽老师致以诚挚的感

谢。我还要感谢我的父母和家人，他们的激励、支持和帮助给我从事学术研究以极大的动力。

限于本人的水平，错误和纰漏在所难免。恳请专家同行批评指正。

王瑞昀

2005年7月

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Chapter 1

Introduction

1.1 Some General Assumptions

Within the framework of the Principles and Parameters Theory (PPT) developed around 1980s (Chomsky, 1981, 1986; Chomsky and Lasnik, 1993), it is assumed that human beings are born with the initial state of the biologically determined language faculty known as Universal Grammar (UG), a system of innate principles combined with a certain number of parameters whose values are not genetically fixed. What, then, are the defining characteristics of the language faculty?

According to generative grammar, the innately determined principles are part of the genetic blueprint for language with which we are biologically endowed at birth. They allow the child to develop a grammar of any language on the basis of suitable linguistic experience. A restricted set of options or values associated with an invariant principle of UG are technically called parameters. "Language differences should be reducible to choice of values of parameters" (Chomsky, 1996: 6). In seeking to determine the nature of the

language faculty, we are in effect looking for universal principles which determine the very structure of language — principles which govern the kinds of grammatical operations which are permitted in natural languages, principles of such an abstract nature that they could not plausibly have been learned on the basis of experience. Language acquisition is then a process of parameter setting and the essential properties of a language are determined by the way the language fixes the values of parameters associated with invariant principles of UG.

Under this approach UG remains in the simplest form, only comprising a set of innate principles like X-bar Theory, Theta-Theory, Case Theory, etc. and a restricted set of parameters. These extracted general principles ultimately eliminate the need for rules of particular languages entirely, deducing the apparent rules in the sense that the interaction of these invariant principles with the parametric and perhaps morphological options available in the language would yield the grammars of particular languages.

"A genuine theory of human language has to satisfy two conditions: 'descriptive adequacy' and 'explanatory adequacy'" (Chomsky, 2000: 7). The grammar of a particular language satisfies the condition of descriptive adequacy insofar as it gives a full and accurate account of the properties of the language, of what the speaker of the language knows. "To satisfy the condition of explanatory adequacy, a theory of language must show how each particular language can be derived from a uniform initial state under the 'boundary condition' set by experience. In this way, it provides an explanation of the properties of language at a deeper level." (Chomsky,

2000:7). The PPT approach, revealing the intimate relationship that holds between the structure of language and the innate properties of the mind, has thus achieved the goals of both descriptive and explanatory adequacy: accommodating at the same time the widest range of particular grammars and the fact that language is rapidly acquired. "This means the principles of UG exist in all languages with a limited range of parameter variation" (Wang, 2004:81). This approach, which shows how the grammar of a particular language formerly derived via a 'rule system' can be deduced from the invariant principles of UG with parameters set in one of the permissible ways, has set a new horizon in linguistic inquiry. The apparent syntactic variety of human languages is the result of variations in idiosyncratic morphological features originating in the lexicon: inflectional morphemes or functional elements, such as tense and case. This implies a radical methodological shift in linguistic study. From this new perspective, the rule systems for particular languages no longer count as ultimate results. Instead, the structure of any particular human language should be studied through uncovering the principles of UG and through the identification of parameters whose settings account for linguistic variation. "The notion of construction, in its traditional sense, effectively disappears; it is perhaps useful for descriptive taxonomy but has no theoretical status. Thus, there are no such constructions as Verb Phrase, or interrogative and relative clause, or passive and raising constructions. Rather, there are just general principles that interact to form these descriptive artifacts." (Chomsky, 1996: 25-26)

It is further assumed that the language (i.e., I-language as termed in Chomsky and Lasnik, 1993) has two components: a computational system and a lexicon, whereby the former generates the form of structural descriptions (SDs), and the latter characterizes the lexical items that appear in them. Apart from the lexicon and computational system, we postulate four representation levels for each SD: the D-structure, S-structure, Phonetic Form (PF) and Logical Form (LF). These representational levels form a system shown in the following diagram:

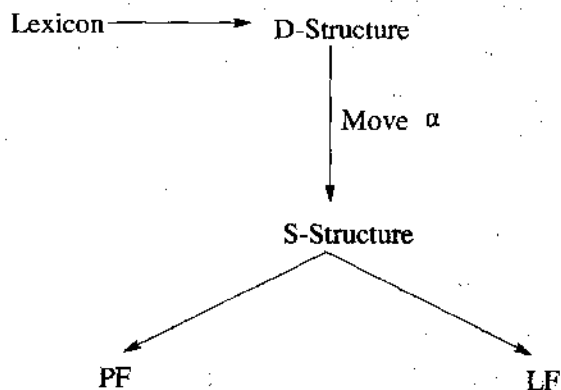


Fig. 1.1

In this computational system, the D-structure and S-structure are two intermediate levels. D-structure, at which lexical items are inserted, expresses the properties of lexical items drawn from the lexicon in a form accessible to the computational system. The two interface levels are phonetic form and logical form specifying aspects of sound and meaning respectively. Each SD contains three interface