

英汉语篇表征的 批评隐喻研究

● 张 蕾 / 著

*A Critical Metaphor Analysis of
Representation in English and Chinese Discourse*

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序

听到张蕾的《英汉语篇表征的批评隐喻研究》即将出版的消息，作为她的导师，我感到无比高兴。本书是在张蕾的博士论文基础上整理而成的，因此当她让我为本书作序时，便欣然答应下来。

曾经有一段时间，我对隐喻的语篇功能很感兴趣，阅读了一些相关文献，后来与廖美珍教授合作撰写了《隐喻的语篇功能研究》一文，发表在《外语学刊》2007年第6期上。本文以隐喻概念的系统性和概念域之间的互动为出发点，把隐喻看作是一种重要的语篇策略，探讨了概念隐喻的语篇功能。我在阅读了更多的文献后发现，隐喻作为人类组织概念系统的重要基础，不仅是一种语篇组织策略，而且通过概念化、范畴化以及概念域之间的映射关系，在思想的表达和现实的表征过程中发挥着重要的作用。也就是说，隐喻具有重要的意识形态功能。在这一方面，有许多问题值得思考和研究：人们为什么用隐喻的方式来表达概念或表征现实？概念域之间的映射是如何实现的？为什么人们可以选择不同的隐喻概念来表征相同的现实？隐喻概念背后的动机是什么？诸如此类的一系列问题都可以在语篇分析，特别是批评语篇分析的理论框架内，通过具体的语篇分析找到答案。

当许多问题还悬而未决的时候，张蕾于2007年考入山东大学攻读博士学位，她逐渐对隐喻产生了兴趣，并开始关注隐喻的范畴化和概念化功能，将目光聚焦于隐喻在现实表征中的作用问题。张蕾不但勤奋好学，而且善于发现问题。在第29届奥林匹克运动会于2008年在北京举行之际，“奥运经济”一时成为国内外媒体报道和讨论的热点话题。张蕾从中发现，媒体在表征“奥运经济”时不仅大量使用隐喻，而且中西媒体在隐喻概念的选择上既有相似之处又有差别。那么这些相似或差异说明了什么？有什么样的理论价值？如何从纷繁复杂的隐喻现象中归纳出具有理论意义的模式？一个个的问题随即浮现出来，也正是带着这些问题，张蕾进行了系统的语料收集和分析工作。语料主要是主流媒体关于“奥运经济”的报道和评论。汉语语料来自《人

民日报》和《中国经济周刊》，英语语料来自美国的《纽约时报》和《经济周刊》。语料收集只是研究的第一步，接下来的语料分析是极富挑战性的工作，因为隐喻的识别需要遵循严格的标准，否则就会影响研究的信度和效度。张蕾在前人研究的基础上确立了切实可行的隐喻识别标准，虽然这一点算不上是开创性的工作，但对语篇中的隐喻识别具有一定的启发和借鉴意义。有了隐喻识别的标准并非意味着接下来问题就能迎刃而解，因为从大量的语料中寻找隐喻的实例并逐一归类的确是一件苦差事。要出色地完成这项任务不但需要研究者的细心和耐心，更要有毅力。对范畴的分类是在语料分析的过程中逐步形成的，而且随着分析的深入要不断做出调整，每走一步都需要对分析的结果进行反复的检验，以保证分析数据的内部一致性。值得庆幸的是，张蕾克服了一个个困难，圆满地完成了研究任务。本研究一方面揭示了英汉大众经济语篇在表征“奥运经济”时所采取的隐喻化方式和策略及其异同，另一方面又从社会认知的角度阐释了隐喻表征背后的社会文化及认知动因。

从认知的角度看，概念隐喻是人们认识和感知事物的一种思维方式，是人类运用语言将世界概念化和范畴化的重要手段。从语篇组织的角度看，隐喻是人类将思想和意义组织为连贯的语篇的重要策略。因此，对隐喻现象的研究是语言学的一个弥久常新的课题，许多隐喻现象以及与隐喻相关的语言现象还值得我们做进一步的研究。希望张蕾在这一领域能够取得更具创新意义的研究成果。

在攻读博士学位期间，张蕾付出了很多，既要全力以赴地投身学业，又要照顾年长的父母和年幼的孩子。但她以坚强的毅力克服了一切困难，顺利完成了学业。这一方面得益于她的扎实功底，另一方面也得益于她勤奋好学和勇于探索的学品。我相信，张蕾在未来的学术研究的道路上一定会走得更远。

是为序。

苗兴伟

2011年1月22日

前言

表征世界的语篇并不总是纯客观地反映所谓的“现实”。拥有权力的语篇生产者会控制被表征信息的大小和性质,从而左右接受者对有关事件的理解和看法。隐喻涉及不同概念域之间具有选择性的映射,它的使用和理解伴随着与其他认知元素的互动,同时它又是进行隐性评价的途径之一。隐喻的这些特性使它在语篇表征过程中发挥着重要的作用。

现有的隐喻表征研究将隐喻的语篇功能与对人类行为中最核心元素的阐释联系起来,包括语言与意识形态的关系,以及隐喻表征对社会现象的感知和看法的阐释功能。多数研究者都采用了批评话语分析的研究框架,主张对隐喻表征进行批评隐喻分析。不过在研究中完全依赖莱考芙和约翰的概念隐喻理论,忽略了传统隐喻之外的新奇隐喻的语篇功能,使研究结果绝对化。另外,语篇中认知过程和认知表征与社会群体之间的相互作用并没有得到清晰的阐释,无法驳斥隐喻表征分析中存在着过度解释的说法。实践方面也鲜有研究涉及发生在“第一世界”之外的社会现象,如处于高速发展中的中国经济。

本书尝试把认知语言学对隐喻的研究融入到 van Dijk 的社会认知模式中,对比分析英汉语篇中奥运经济的隐喻表征,揭示对同一经济现象的语篇表征是否存在着不同经济价值观的融合与冲突。书的主体部分由以下九章组成:第一章“导论”简要介绍了本研究的理论背景、研究目的、研究意义以及本书的结构;第二章“综述”介绍了认知语言学对隐喻的研究,并在隐喻实证研究转向的背景下对语篇表征研究,尤其是经济语篇中隐喻表征的意义建构功能进行了回顾和评析,旨在强调本研究的研究背景;第三章“理论框架”首先评析了批评话语分析的传统分析方法和最新兴起的批评隐喻分析方法。受到后者的启发,探讨如何把对隐喻的描述、阐释和说明与 van Dijk 的社会认知模式相融合,使隐喻作为思维方式,成为思维模式和支配思维模式的意识结构的中介面,作为语言现象,成为语篇与具体语篇中隐喻实现的中介

面；第四章“方法论”介绍了语料的收集和分析过程，涉及对隐喻概念和分析单位的界定、语境在隐喻识别和分类过程中的作用以及隐喻研究中的主观性问题；第五章至第八章是本书的核心，主要运用前面构建的理论框架和介绍的研究方法对英汉语料中相同和独特的隐喻模式、同一模式中的不同概念场景以及各自概念合成和浮现意义的实现和功能进行了描述，并结合语篇和社会背景进行阐释和说明；第九章概述了本研究的结论和意义，并且对存在的不足及后续研究作了思考。

研究显示，两国媒体拥有共同的奥运经济思维模式，即发展模式 and 竞争模式，主要通过占支配地位的“生物体”、“旅途”、“战争”以及“体育游戏”隐喻模式来实现，其中概念源域均来自包括个体身体、心理和情感状态的人类内部现象，或源自各种社会经验的人际间现象。共同的思维模式反映了双方都把奥运经济看作不同经济主体间激烈、公开、透明的竞争，在竞争中注重策略、努力、忍耐与付出。另外，发展模式与竞争模式在隐喻表征过程的并存包容强调了奥运经济中的竞争对经济主体发展的重要性。这些共同点主要是由奥运经济作为体育商业事件的国际性所决定的。同时，以上反映自由市场观念的隐喻模式在中国媒体中大量存在，反映出迈向现代化的中国与世界逐渐融合的过程。然而，不同词汇在同一概念域内激活的各种场景，针对相同目标域采用的不同隐喻模式，以及相同隐喻模式或场景发挥的不同功能都折射出两国媒体思维模式上的差异以及它们对待相关事物不同的立场和观点。中方构建的竞争模式更加复杂，强调了奥运给当地经济带来的不仅是竞争，还有机遇。对中国经济的不同看法，以及北京奥运会对中国而言重大的政治和经济意义导致了双方发展模式上的差异。经济主体的隐喻表征差异还反映出不同的经济价值观和文化因素对隐喻使用的影响。总体上，美方在使用隐喻对奥运经济进行表征的过程中，对负面现象给予了更多的关注，例如对当地企业竞争力的质疑、大型建筑项目引发的争论，以及对中国经济的担忧。相反，中方构建了相对乐观的意象，把现实与企业未来的发展相联系，在报道中突出正面评价，对各种问题进行了弱化。

本研究的意义体现在以下三个方面：首先，研究结果显示了隐喻

表征在揭示语篇隐含意义方面发挥的重要作用，充实了批评话语分析框架中的社会—认知分析模式。在把隐喻作为一种富含价值理念的认知语言现象进行分析的过程中，进一步弱化了传统隐喻与新奇隐喻的界限，强调了它们在表征现实中的相同作用。其次，研究在强调语言层面分析的同时，突显出历史文化元素、政治背景和经济价值观等社会结构对隐喻表征的隐含意义、评价意义和情感效应以及正负面态度意义的阐释作用。最后，研究中所采用的对比分析方法突显了不同国家由于意识形态和价值理念不同在使用隐喻中出现的差异，主张批评话语分析应该考虑社会的多样性。

本书的出版倾注了很多人的心血。首先，我要衷心地感谢我的导师苗兴伟教授。在我攻读博士期间，我始终得到他的细心指导和热情鼓励。导师严谨踏实的治学精神、深刻敏锐的学术眼光，还有他宽容待人的的人文情怀，让我终身难忘。

其次，我要感谢在山东大学攻读博士研究生时的老师张德禄教授和刘振前教授。让我难以忘怀的还有我在南开大学攻读硕士研究生时的老师张迈曾教授、马秋武教授、苏立昌教授和李艺教授。是他们为我开启了语言学研究的大门，为我的研究奠定了语言学，尤其是功能语言学、语篇分析和认知语言学的理论基础。

感谢曾经主持我博士学位论文答辩的南京国际关系学院的张辉教授，南京大学的陈新仁教授，山东大学的刘世铸教授和马文教授。他们都为我的博士论文提出了宝贵的修改意见。

另外，天津外国语学院英语学院院长程幼强教授和许多同事在我求学期间提供了大力支持。为此，我向他们表示由衷的谢意。同时要感谢的还有我在山东大学的同学刘杨锦博士、崔凤娟博士和戴理敏博士等。

最后，我要特别感谢我的家人。没有他们的爱和支持，本书的出版是不可能的。

限于本人的研究水平，书中难免出现诸多纰漏和不妥之处，敬请各位前辈、学界同仁批评指正。

张蕾

2010年12月于天津外国语学院

Abstract

Discourses are produced to represent the world. However, the representation is not always objective reflection of the “reality”. The size and nature of the represented information are manipulated to reveal specific views of the producers in power and influence receivers’ perception of the event concerned. Owing to its cross-domain conceptual and selective projection, interaction with other cognitive factors in its use and understanding, and its implicitly evaluative functions, metaphor is particularly involved in this function of representation.

A large amount of literature about metaphorical representation links the study of metaphor in discourse with understanding of something very central to human behavior, including the relationship between language and ideology in various political worlds, and the perception of specific domains within the socio-economic world. It is especially useful in exploration of the inner subjectivity of journalists of popular business discourse. Most of the existing studies in this field are carried out in the paradigm of Critical Discourse Analysis (CDA), which has contributed to the emergence of the fairly new approach of Critical Metaphor Analysis (CMA). However, its total reliance on Lakoff and Johnson’s theory is so determinative and it ignores that discourse could guide us to both novel and conventional conceptual metaphors. In addition, the interface between cognitive processes as well as representations in discourse on the one hand and the social groups on the other hand is not constructed clearly enough to refute the criticism of over-interpretation. Practically, few studies concern economic events in fast developing countries, such as China, which is the region outside of the First World.

The present research establishes an integrated framework on the basis

of metaphor studies in cognitive linguistics and CDA, especially the socio-cognitive approach developed by van Dijk. This proposed framework regards metaphor as both conceptual and linguistic phenomena that work as interface not only between the mental model and ideological structure dominating it, but also between discourse and its metaphoric realizations in text. The research is set in the case of a concrete business issue—Olympic Economy in the 2008 Beijing Olympic Games. As a fast-developing socialist country with a mixed economic system, China was put under the spotlight of the world thanks to the international sports event. This dissertation intends to test the hypothesis that Olympics-related economic activities will witness the integration of and clash between different economic ideologies by carrying out a comparative study of metaphorical representations of the 2008 Beijing Olympic Economy between Chinese and American media. For this purpose, two separate small size corpora were established on the basis of data collected from one authentic business magazine and one broadsheet newspaper in China and the United States respectively within the time range from September 1, 2001 to December 31, 2008. The relation between various aspects of the target domain and a set of source domains was established and special attention was given to realizations and functions of conceptual scenarios within each conceptual domain and some conceptual blending.

The results indicate that the two media share common mental model of Olympic Economy. Their developmental and competitive models of this international business event are realized by predominant metaphorical patterns—LIVING ORGANISM, JOURNEY, SPORT and GAME and WAR metaphors that are drawn from concepts concerning intra-phenomena of the human being, mainly the physical, mental and emotional states of individuals and the inter-phenomena of human beings, mainly their social experiences, including war, sport and game and journey. These similarities reveal their common thinking of Olympic Economy as a

fierce and open competition between opposite sides, requiring patience, strategies, hard work and sacrifice. The compatibility of these two models highlights the contribution of competition in Olympic Economy to the development of the entities concerned. This is largely decided by the nature of Olympic Economy as an international sports business with mature mechanism and to some extent shows the effect of China's integration with the international market in its process of modernization, which is marked by the frequent presence of those metaphors adhering to free-market ideology.

However, diverse conceptual scenarios activated by lexical choices within the same conceptual domain, different or even particular metaphorical patterns for the same entity or event and different functions of the same metaphorical pattern or scenario reveal differences in their mental models and their different views on participants and events. A more complicated competitive model is created by Chinese media to imply the juxtaposition of challenges and opportunities for local economy. Different views on China's economy as well as the political and economic significance of Beijing Olympics for China lead to different developmental models between the two media. In addition, different economic ideologies, plus cultural elements drive them to consider participants differently. All in all, American media give more space to critical voice in metaphorical representations of various aspects of Olympic Economy, indicating its negative evaluation of the competitiveness of Chinese companies, megaprojects and problems caused by the fast development of China's economy. Differently, Chinese media construct optimistic images in linking economic events with the political and social background in China. It also associates the current situation with companies' development in the future and attempts to tone down the current problems.

This research demonstrates the vital role linguistic analyses play in the revelation of metaphor functions, but we need to look further into

societal structure, including historical, cultural, as well as political factors and economic ideologies in order to give full explanation. Historical and cultural factors facilitate the understanding of implied meaning, embedded evaluation and emotional effect of a metaphor. The political factors justify the salience of the positive tone in Chinese media and its obscurity in the representation of troubles. Dominance of free-market ideology in American society and the mixture of free-market and socialist ideologies in China also give rise to their diverse thinking of Olympic Economy, which in turn reinforce their ideologies and influence the opinions of the readers and their perception of business activities relating to Beijing Olympics.

The findings support some basic ideas about metaphor, including its experiential motivation, conceptual and ideological nature and simultaneously demonstrate its function in exposing covert meanings in language use. Most importantly, this study enriches social-cognitive research under the paradigm of CDA. The study of metaphor as ideologically tainted language further blurs the boundary between conventional and novel metaphors, both of which can reveal the users' specific perspective to think of entities and events. Even one-shot metaphors with quite low frequency could perform the similar function and thus warn against the total dependence on statistics in the analysis of metaphorical representations. The comparative method adopted in the research clearly foregrounds underlying ideologies that nurture the diversity of metaphor use across different countries and thus advocates the idea that disparity across societies should be taken into account in the study of discourse in contemporary world. As a cognitively robust study in the paradigm of CDA, the present research enhances the belief that media discourse, including popular business discourse, is not always complete and neutral representation of the reality, but an effective channel to manipulate the public's understanding of significant events, such as Beijing Olympics and related business activities.

Contents

Chapter 1 Introduction	1
1.1 Background of the Present Research	1
1.2 Rationales for the Present Research	3
1.3 Objectives of the Present Research	7
1.4 Outline of the Book	8
Chapter 2 Literature Review	11
2.1 Introduction	11
2.2 Cognitive Approaches to Metaphor	12
2.3 Discourse Approaches to Metaphor	23
2.4 Metaphorical Representation	26
2.5 Metaphorical Representation in Economic and Business Discourse	29
2.6 Summary	39
Chapter 3 A Proposed Theoretical Framework for the Present Research	41
3.1 Introduction	41
3.2 Theoretical Foundations for the Proposed Model	41
3.3 The Proposed Theoretical Framework	52
3.4 Summary	57
Chapter 4 Methodology	59
4.1 Introduction	59
4.2 Data Collection	60
4.3 Identification of Metaphorical Expressions	63
4.4 Categorization of Metaphorical Expressions	66

4.5 Analytical Procedures of the Research.....	67
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Chapter 5 Analysis of Frequent Common Metaphorical

Patterns	70
5.1 The Overview of Metaphorical Patterns	70
5.2 Representation of Olympic Economy as a Living Organism	71
5.3 Representation of Olympic Economy as a Journey.....	108
5.4 Representation of Olympic Economy as Sports and Games	136
5.5 Representation of Olympic Economy as a War.....	150
5.6 Summary	170

Chapter 6 Analysis of Less Frequent Common Metaphorical

Patterns.....	176
6.1 Representation of Olympic Economy as a Machine	176
6.2 Representation of Olympic Economy as a Physical Environmental Phenomenon	186
6.3 Representation of Olympic Economy as a Building	191
6.4 Representation of Olympic Economy as a Performance	194
6.5 Representation of Olympic Economy as Natural Resources.....	199
6.6 Summary	201

Chapter 7 Analysis of Particular Metaphorical Patterns

7.1 Particular Metaphorical Patterns in Chinese Discourse	202
7.2 Particular Metaphorical Patterns in English Discourse	209
7.3 Summary.....	212

Chapter 8 Discussion.....

8.1 Shared Mental Model of Olympic Economy	214
8.2 Differences in the Mental Model of Olympic Economy	221
8.3 Summary	231

Chapter 9 Conclusion	233
9.1 Major Findings of the Present Study	233
9.2 Implications of This Study.....	237
9.3 Limitations and Suggestions for Further Studies	238
References	240

List of Tables

Table 4.1 Data from Chinese media	62
Table 4.2 Data from American media	63
Table 5.1 Source domains in metaphorical representations	70
Table 5.2 Distribution of LIVING ORGANISM metaphors	72
Table 5.3 Chinese metaphorical representations of Olympic Economy as a physical agent	74
Table 5.4 English metaphorical representations of Olympic Economy as a physical agent	76
Table 5.5 English metaphorical representations of companies as rational agents	82
Table 5.6 Chinese metaphorical representations of companies as rational agents	84
Table 5.7 Metaphorical representations of business phenomena as rational agents	89
Table 5.8 Chinese metaphorical representations of Olympic Economy as a social being	93
Table 5.9 English metaphorical representations of Olympic Economy as a social being	95
Table 5.10 Grammatical modification of Growth	102
Table 5.11 Growth as affected participant	104
Table 5.12 Quantity of main conceptual scenarios in JOURNEY metaphors	109
Table 5.13 Chinese metaphors for the PATH scenario	110
Table 5.14 English metaphors for the PATH scenario	112
Table 5.15 Chinese metaphors with the character bù as a noun	115
Table 5.16 Metaphoric phrasal verbs with Chinese characters mài, zǒu and bù	117

Table 5.17 Other Chinese metaphors conveying mobility	119
Table 5.18 English metaphors conveying mobility	120
Table 5.19 English metaphoric nouns for the DEFACILITATING FORCE scenario.....	131
Table 5.20 English metaphoric verbs and adjective for the DEFACILITATING FORCE scenario	132
Table 5.21 English and Chinese metaphors for the BALL GAME scenario	144
Table 5.22 Chinese WAR metaphors for the BATTLE scenario	154
Table 5.23 English WAR metaphors for the BATTLE scenario	158
Table 6.1 Chinese MACHINE metaphors	177
Table 6.2 English MACHINE metaphors	184
Table 6.3 Chinese PHYSICAL ENVIRONMENTAL PHENOMENA metaphors	187
Table 6.4 English PHYSICAL ENVIRONMENTAL PHENOMENA metaphors	188
Table 6.5 Chinese PERFORMANCE metaphors.....	195
Table 6.6 English PERFORMANCE metaphors	197
Table 7.1 Particular metaphorical representations in Chinese discourse.....	202
Table 7.2 Particular metaphorical representations in English discourse.....	210