# The Cambridge Encyclopedia of Language

# 剑桥语言百科全书

Second edition

David Crystal

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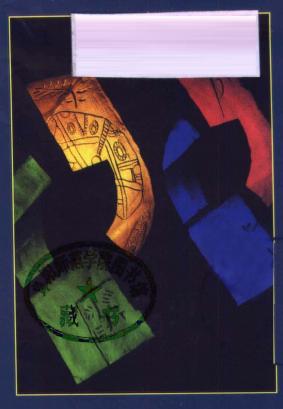
# The Cambridge Encyclopedia of Language

## Second edition

*David Crystal* 著

马壮寰 王克非 导读

# 当代国外语言学与应用语言学文库

# 出版前言

《当代国外语言学与应用语言学文库》首批 54 种自 2000 年 9 月问世以来,取得很大成功,首印 5000 套供不应求,10 月份便开始重印 6000 套。能在短短的几个月内出版发行如此宏大规模的语言学著作,这在我国学术出版发行史上是不多见的。自出版以来,许多单位和个人争相订购,研究生和大学生把《文库》视为良师益友,教师无论老中青都把《文库》视为知识更新的源泉。实践证明,外研社推出的《文库》受到了国内语言学界和外语教学界的普遍好评,它将成为推动我国语言学教学与研究和外语教学与研究的一个宝库。

在成功出版《文库》首批 54 种的基础上,外研社现在又推出《文库》第二批 58 种。《文库》第二批具有五大特色:一、由 58 部英文原著组成,所覆盖的学科从首批的 26 个增加到现在的 33 个,新增学科包括语言学史、语言哲学、认知语言学、人类语言学、语言的起源、语法化学说等,能更广泛地满足读者的需求;二、收入了当代语言学大师索绪尔、萨丕尔、布龙菲尔德、韩礼德、乔姆斯基、奥斯汀、格莱斯、利奇等名家的最有影响的作品,具有更高的权威性;三、增加了牛津大学出版社、哈佛大学出版社等世界知名出版社出版的语言学经典著作;四、依然配有专家导读,专家的队伍比首批更为强大;五、世界著名语言学家乔姆斯基教授和我国著名语言学家沈家煊教授作序。

本《文库》是一个大型的、开放性的系列丛书,它将对我国语言学教学与研究和外语教学与研究起到积极的推动作用。今后,外研社还将继续引进,争取把国外最新的、最具影响的语言学和应用语言学著作不断地奉献给广大读者。

外语教学与研究出版社

语言学与辞书部

2001 年 8 月

# Preface by Halliday

Foreign Language Teaching & Research Press is to be congratulated on its initiative in making these publications in linguistics available to foreign language teachers and postgraduate students of linguistics in China.

The books are a representative selection of up-to-date writings on the most important branches of linguistic studies, by scholars who are recognized as leading authorities in their fields.

The availability of such a broad range of materials in linguistics will greatly help individual teachers and students to build up their own knowledge and understanding of the subject. At the same time, it will also contribute to the development of linguistics as a discipline in Chinese universities and colleges, helping to overcome the divisions into "English linguistics", "Chinese linguistics" and so on which hinder the progress of linguistics as a unified science.

The series is to be highly commended for what it offers to all those wanting to gain insight into the nature of language, whether from a theoretical point of view or in application to their professional activities as language teachers. It is being launched at a time when there are increasing opportunities in China for pursuing linguistic studies, and I am confident that it will succeed in meeting these new requirements.

<div align="right">
M. A. K. Halliday<br>
Emeritus Professor<br>
University of Sydney
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# 王宗炎序[①]

近年来，国际交往日益频繁，国际贸易急速发展，出现了一种前所未有的现象：学外语、教外语、用外语的人多了；研究语言学和应用语言学的人多了；开设这方面专业的高校也多了，语言学硕士生和博士生也多了。就是不以此为专业，学习语言学和应用语言学的也不乏其人。为了给从事这个专业的师生提供便利，同时又帮助一般外语教师、涉外工作者以及汉语研究者开阔思路，扩大视野，提高效率，我们献上这套内容崭新而丰富的丛书——英文版《当代国外语言学与应用语言学文库》。

文库首批推出54部外国英文原著，它覆盖了语言学与应用语言学26个分支学科。这批书是我们与各地有关专家教授反复研究之后精选出来的。出版这样大规模的语言学与应用语言学丛书，这在我国语言学界和外语教学界是破天荒第一次。

我们这样做，抱着什么希望呢？总的说来，是遵循教育部关于加强一级学科教育的指示，在世纪之交，推出一套书来给中国的外语教育领航，同时也给一般外语工作者和汉语研究者提供信息，拓宽思路。

我们希望这个文库能成为进一步带动外语教学改革和科研的发动机；我们希望它能成为运载当代外国语言学理论、语言研究方法和语言教学方法来到中国的特快列车；我们希望，有了这套书，语言学与应用语言学专业师生就能顺利地进行工作；我们希望，通过读这套书，青年外语教师和外语、汉语研究者能迅速把能力提高，把队伍不断扩大。

以上是我们的愿望，可是从广大读者看来，这个文库是否真的有出台的必要呢？我们想，只要大家看一下今天的客观情况，就知道这套书有填空补缺的作用，是让大家更上一层楼的扶梯。

我们跟许多人一样，认为国内的外语教学和语言学与应用语言学研究是成绩斐然的，但是某些不足之处也无庸讳言。

在语言研究方面，有大量工作还等着大家去做。汉语语法研究，过去由于结构主义的启示，已经成绩卓著，可是现在虽则引进了功能主义，还看不出什么出色的成果。语料语言学是新兴学科，在我国刚刚起步，机器翻译从50年代就有人搞，然而其进展至今不能令人满意。

在语言理论方面，我们不时听到一些片面的、所见不全的论调。有人说，1957年前西方根本没有什么理论语言学，其创始者是Chomsky；也有人说，语言纯属社会文化范畴；还有人说，搞语言研究只有量化方法才是科学方法，定性方法不值得一提。

谈到外语教学，某些看法做法是分明不值得赞许的。有人以为交际教学只管听说，不管读写，也有人以为教精读课就是教阅读，不管口语。在分析课文时老师满堂灌，学生开口不得，

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是常见的；教听力课时老师只管放录音，对学生不给半点提示点拨，也并非罕有现象。

上述这些缺点，我们早有所知，现在我们更加明白，必须力图改进，再也不能安于现状了。为了改进，我们就得参考国外的先进理论，借鉴国外的有效措施。眼前这个文库，就是我们上下求索的结果。

在编辑这个文库时，我们在两方面下了功夫。

一方面，在选书时，我们求全，求新，求有代表性和前瞻性。我们不偏爱一家之言，也不只收一家外国出版社之书。语言学与应用语言学的主干学科固然受到了应有的重视，分支学科可也不忽视。语料语言学、语言统计学是新兴学科，我们收入了专著；句法学、语义学久已有人研究，我们也找到了有关的最新著作。

另一方面，我们邀请了国内知名的博士生导师、硕士生导师为各书撰文导读，为读者铺平道路。语言学和应用语言学专著包罗宏富，初学者读起来可能觉得茫无头绪。为了助他们一臂之力，本文库中每一种书我们都请专家写了一万字左右的导读材料。哪怕书中内容比较陌生，谁只要在读书前看一下导读材料，读书后把材料再看一遍，一定能弄清脉络，掌握要点。

在结束本文时，我们想向爱好泛读的人们提个建议。语言和社会生活息息相关；我们靠语言与他人协作；通过语言继承传统文化，接受外国先进思想和科学知识；利用语言来教育下一代，帮助他们创造美好的未来；语言又反过来表达着我们的个性和我们充当的各种角色。学一点语言学和应用语言学，有助于增强我们的语言意识，对我们的工作和生活都是有利的。我们不妨把此事作为一个项目，列入自己的日程。持之以恒，必有所获。

王宗炎

中山大学教授
博士生导师

# Preface by Chomsky

It is about half a century since the study of language undertook a rather new course, while renewing some traditional concerns that had long been neglected. The central change was a shift of attention from behavior and the products of behavior (texts, corpora, etc.) to the internal mechanisms that enter into behavior. This was part of a general shift of perspective in psychology towards what became known as "cognitive science," and was in fact a significant factor in contributing to this development.

With this departure from prevailing structuralist and behaviorist approaches, the object of inquiry becomes a property of individual persons, my granddaughters for example. We ask what special properties they have that underlie an obvious but nonetheless remarkable fact. Exposed to a world of "buzzing, booming confusion" (in William James's classic phrase), each instantly identified some intricate subpart of it as linguistic, and reflexively, without awareness or instruction (which would be useless in any event), performed analytic operations that led to knowledge of some specific linguistic system, in one case, a variety of what is called informally "English," in another a variety of "Spanish." It could just as easily been one of the Chinese languages, or an aboriginal language of Australia, or some other human language. Exposed to the same environment, their pet cats (or chimpanzees, etc.) would not even take the first step of identifying the relevant category of phenomena, just as humans do not identify what a bee perceives as the waggle dance that communicates the distance and orientation of a source of honey.

All organisms have special subsystems that lead them to deal with their environment in specific ways. Some of these subsystems are called "mental" or "cognitive," informal designations that need not be made precise, just as there is no need to determine exactly where chemistry ends and biology begins. The development of cognitive systems, like others, is influenced by the environment, but the general course is genetically determined. Changes of nutrition, for example, can have a dramatic effect on development, but will not change a human embryo to a bee or a mouse, and the same holds for cognitive development. The evidence is strong that among the human cognitive systems is a "faculty of language" (FL), to borrow a traditional term: some subsystem of (mostly) the brain. The evidence is also overwhelming that apart from severe pathology, FL is close to uniform for humans: it is a genuine species property. The "initial state" of FL is determined by the common human genetic endowment. Exposed to experience, FL passes through a series of states, normally reaching a relatively stable state at about puberty, after which changes are peripheral: growth of vocabulary, primarily.

As far as we know, every aspect of language — sound, structure, meanings of words and more complex expressions — is narrowly restricted by the properties of the initial state; these same restrictions underlie and account for the extraordinary richness and flexibility of the systems that emerge. It is a virtual truism that scope and limits are intimately related. The biological endowment that allows an embryo to become a mouse, with only the most meager environmental "information," prevents it from becoming a fly or a monkey. The same must be true of human higher mental faculties, assuming that humans are part of the biological world, not angels.

We can think of the states attained by FL, including the stable states, as "languages": in more technical terminology, we may call them "internalized languages" (I-languages). Having an I-language, a person is equipped to engage in the "creative use of language" that has traditionally been considered a primary indication of possession of mind; by Descartes and his followers, to cite the most famous case. The person can produce new expressions over an unbounded range, expressions that are appropriate to circumstances and situations but not caused by them, and that evoke thoughts in others that they might have expressed in similar ways. The nature of these abilities remains as obscure and puzzling to us as it was to the Cartesians, but with the shift of perspective to "internalist linguistics," a great deal has been learned about the cognitive structures and operations that enter into these remarkable capacities.

Though the observation does not bear directly on the study of human language, it is nevertheless of interest that FL appears to be biologically isolated in critical respects, hence a species property in a stronger sense than just being a common human possession. To mention only the most obvious respect, an I-language is a system of discrete infinity, a generative process that yields an unbounded range of expressions, each with a definite sound and meaning. Systems of discrete infinity are rare in the biological world and unknown in non-human communication

systems. When we look beyond the most elementary properties of human language, its apparently unique features become even more pronounced. In fundamental respects human language does not fall within the standard typologies of animal communication systems, and there is little reason to speculate that it evolved from them, or even that it should be regarded as having the "primary function" of communication (a rather obscure notion at best). Language can surely be used for communication, as can anything people do, but it is not unreasonable to adopt the traditional view that language is primarily an instrument for expression of thought, to others or to oneself; statistically speaking, use of language is overwhelmingly internal, as can easily be determined by introspection.

Viewed in the internalist perspective, the study of language is part of biology, taking its place alongside the study of the visual system, the "dance faculty" and navigational capacities of bees, the circulatory and digestive systems, and other properties of organisms. Such systems can be studied at various levels. In the case of cognitive systems, these are sometimes called the "psychological" and "physiological" levels — again, terms of convenience only. A bee scientist may try to determine and characterize the computations carried out by the bee's nervous system when it transmits or receives information about a distant flower, or when it finds its way back to the nest: that is the level of "psychological" analysis, in conventional terminology. Or one may try to find the neural basis for these computational capacities, a topic about which very little is known even for the simplest organisms: the level of "physiological" analysis. These are mutually supportive enterprises. What is learned at the "psychological level" commonly provides guidelines for the inquiry into neural mechanisms; and reciprocally, insights into neural mechanisms can inform the psychological inquiries that seek to reveal the properties of the organism in different terms.

In a similar way, the study of chemical reactions and properties, and of the structured entities postulated to account for them, provided guidelines for fundamental physics, and helped prepare the way for the eventual unification of the disciplines. 75 years ago, Bertrand Russell, who knew the sciences well, observed that "chemical laws cannot at present be reduced to physical laws." His statement was correct, but as it turned out, misleading; they could not be reduced to physical laws in principle, as physics was then understood. Unification did come about a few years later, but only after the quantum theoretic revolution had provided a radically changed physics that could be unified with a virtually unchanged chemistry. That is by no means an unusual episode in the history of science. We have no idea what the outcome may be of today's efforts to unify the psychological and physiological levels of scientific inquiry into cognitive capacities of organisms, human language included.

It is useful to bear in mind some important lessons of the recent unification of chemistry and physics, remembering that this is core hard science, dealing with the simplest and most elementary structures of the world, not studies at the outer reaches of understanding that deal with entities of extraordinary complexity. Prior to unification, it was common for leading scientists to regard the principles and postulated entities of chemistry as mere calculating devices, useful for predicting phenomena but lacking some mysterious property called "physical reality." A century ago, atoms and molecules were regarded the same way by distinguished scientists. People believe in the molecular theory of gases only because they are familiar with the game of billiards, Poincare observed mockingly. Ludwig Boltzmann died in despair a century ago, feeling unable to convince his fellow-physicists of the physical reality of the atomic theory of which he was one of the founders. It is now understood that all of this was gross error. Boltzmann's atoms, Kekule's structured organic molecules, and other postulated entities were real in the only sense of the term we know: they had a crucial place in the best explanations of phenomena that the human mind could contrive.

The lessons carry over to the study of cognitive capacities and structures: theories of insect navigation, or perception of rigid objects in motion, or I-language, and so on. One seeks the best explanations, looking forward to eventual unification with accounts that are formulated in different terms, but without foreknowledge of the form such unification might take, or even if it is a goal that can be achieved by human intelligence — after all, a specific biological system, not a universal instrument.

Within this "biolinguistic" perspective, the core problem is the study of particular I-languages, including the initial state from which they derive. A thesis that might be entertained is that this inquiry is privileged in that it is presupposed, if only tacitly, in every other approach to language: sociolinguistic, comparative, literary, etc. That seems reasonable, in fact almost inescapable; and a close examination of actual work will show, I think, that the thesis is adopted even when that is vociferously denied. At the very least it seems hard to deny a weaker thesis: that the study of linguistic capacities of persons should find a fundamental place in any serious investigation of other

aspects of language and its use and functions. Just as human biology is a core part of anthropology, history, the arts, and in fact any aspect of human life, so the biolinguistic approach belongs to the social sciences and humanities as well as human biology.

Again adapting traditional terms to a new context, the theory of an I-language L is sometimes called its "grammar," and the theory of the initial state S-0 of FL is called "universal grammar"(UG). The general study is often called "generative grammar" because a grammar is concerned with the ways in which L generates an infinite array of expressions. The experience relevant to the transition from S-0 to L is called "primary linguistic data" (PLD). A grammar G of the I-language L is said to satisfy the condition of "descriptive adequacy" to the extent that it is a true theory of L. UG is said to satisfy the condition of "explanatory adequacy" to the extent that it is a true theory of the initial state. The terminology was chosen to bring out the fact that UG can provide a deeper explanation of linguistic phenomena than G. G offers an account of the phenomena by describing the generative procedure that yields them; UG seeks to show how this generative procedure, hence the phenomena it yields, derive from PLD. We may think of S-0 as a mapping of PLD to L, and of UG as a theory of this operation; this idealized picture is sometimes said to constitute "the logical problem of language acquisition." The study of language use investigates how the resources of I-language are employed to express thought, to talk about the world, to communicate information, to establish social relations, and so on. In principle, this study might seek to investigate the "creative aspect of language use," but as noted, that topic seems shrouded in mystery, like much of the rest of the nature of action.

The biolinguistic turn of the 1950s resurrected many traditional questions, but was able to approach them in new ways, with the help of intellectual tools that had not previously been available: in particular, a clear understanding of the nature of recursive processes, generative procedures that can characterize an infinity of objects (in this case, expressions of L) with finite means (the mechanisms of L). As soon as the inquiry was seriously undertaken, it was discovered that traditional grammars and dictionaries, no matter how rich and detailed, did not address central questions about linguistic expressions. They basically provide "hints" that can be used by someone equipped with FL and some of its states, but leave the nature of these systems unexamined. Very quickly, vast ranges of new phenomena were discovered, along with new problems, and sometimes at least partial answers.

It was recognized very soon that there is a serious tension between the search for descriptive and for explanatory adequacy. The former appears to lead to very intricate rule systems, varying among languages and among constructions of a particular language. But this cannot be correct, since each language is attained with a common FL on the basis of PLD providing little information about these rules and constructions.

The dilemma led to efforts to discover general properties of rule systems that can be extracted from particular grammars and attributed to UG, leaving a residue simple enough to be attainable on the basis of PLD. About 25 years ago, these efforts converged in the so-called "principles and parameters" (P&P) approach, which was a radical break from traditional ways of looking at language. The P&P approach dispenses with the rules and constructions that constituted the framework for traditional grammar, and were taken over, pretty much, in early generative grammar. The relative clauses of Hungarian and verb phrases of Japanese exist, but as taxonomic artifacts, rather like "terrestrial mammal" or "creature that flies." The rules for forming them are decomposed into principles of UG that apply to a wide variety of traditional constructions. A particular language L is determined by fixing the values of a finite number of "parameters" of S-0: Do heads of phrases precede or follow their complements? Can certain categories be null (lacking phonetic realization)? Etc. The parameters must be simple enough for values to be set on the basis of restricted and easily obtained data. Language acquisition is the process of fixing these values. The parameters can be thought of as "atoms" of language, to borrow Mark Baker's metaphor. Each human language is an arrangement of these atoms, determined by assigning values to the parameters. The fixed principles are available for constructing expressions however the atoms are arranged in a particular I-language. A major goal of research, then, is to discover something like a "periodic table" that will explain why only a very small fraction of imaginable linguistic systems appear to be instantiated, and attainable in the normal way.

Note that the P&P approach is a program, not a specific theory; it is a framework for theory, which can be developed in various ways. It has proven to be a highly productive program, leading to an explosion of research into languages of a very broad typological range, and in far greater depth than before. A rich variety of previously-unknown phenomena have been unearthed, along with many new insights and provocative new problems. The program has also led to new and far-reaching studies of language acquisition and other areas of research. It is

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doubtful that there has ever been a period when so much has been learned about human language. Certainly the relevant fields look quite different than they did not very long ago.

The P&P approach, as noted, suggested a promising way to resolve the tension between the search for descriptive and explanatory adequacy; at least in principle, to some extent in practice. It became possible, really for the first time, to see at least the contours of what might be a genuine theory of language that might jointly satisfy the conditions of descriptive and explanatory adequacy. That makes it possible to entertain seriously further questions that arise within the biolinguistic approach, questions that had been raised much earlier in reflections on generative grammar, but left to the side: questions about how to proceed beyond explanatory adequacy.

It has long been understood that natural selection operates within a "channel" of possibilities established by natural law, and that the nature of an organism cannot truly be understood without an account of how the laws of nature enter into determining its structures, form, and properties. Classic studies of these questions were undertaken by D'Arcy Thompson and Alan Turing, who believed that these should ultimately become the central topics of the theory of evolution and of the development of organisms (morphogenesis). Similar questions arise in the study of cognitive systems, in particular FL. To the extent that they can be answered, we will have advanced beyond explanatory adequacy.

Inquiry into these topics has come to be called "the minimalist program." The study of UG seeks to determine what are the properties of language; its principles and parameters, if the P&P approach is on the right track. The minimalist program asks why language is based on these properties, not others. Specifically, we may seek to determine to what extent the properties of language can be derived from general properties of complex organisms and from the conditions that FL must satisfy to be usable at all: the "interface conditions" imposed by the systems with which FL interacts. Reformulating the traditional observation that language is a system of form and meaning, we observe that FL must at least satisfy interface conditions imposed by the sensorimotor systems (SM) and systems of thought and action, sometimes called "conceptual-intentional" (CI) systems. We can think of an I-language, to first approximation, as a system that links SM and CI by generating expressions that are "legible" by these systems, which exist independently of language. Since the states of FL are computational systems, the general properties that particularly concern us are those of efficient computation. A very strong minimalist thesis would hold that FL is an optimal solution to the problem of linking SM and CI, in some natural sense of optimal computation.

Like the P&P approach that provides its natural setting, the minimalist program formulates questions, for which answers are to be sought — among them, the likely discovery that the questions were wrongly formulated and must be reconsidered. The program resembles earlier efforts to find the best theories of FL and its states, but poses questions of a different order, hard and intriguing ones: Could it be that FL and its states are themselves optimal, in some interesting sense? That would be an interesting and highly suggestive discovery, if true. In the past few years there has been extensive study of these topics from many different points of view, with some promising results, I think, and also many new problems and apparent paradoxes.

Insofar as the program succeeds, it will provide further evidence for the Galilean thesis that has inspired the modern sciences: the thesis that "nature is perfect," and that the task of the scientist is to demonstrate this, whether studying the laws of motion, or the structure of snowflakes, or the form and growth of a flower, or the most complex system known to us, the human brain.

The past half century of the study of language has been rich and rewarding, and the prospects for moving forward seem exciting, not only within linguistics narrowly conceived but also in new directions, even including the long-standing hopes for unification of linguistics and the brain sciences, a tantalizing prospect, perhaps now at the horizon.

<div align="right">
Noam Chomsky<br>
Institute Professor at MIT
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# 沈家煊序

刚刚过去的一个世纪是现代语言学在我国诞生、成长和发展的世纪。发生这样的情形是跟我们学习和借鉴国外语言学的理论和方法紧密相关的。我国传统的语言文字学科是小学，进入二十世纪以后，这门学科吸收了西方语言学的理论，引进和发展了新的方法，在继承传统的基础上进行了一番更新改造，从而获得了新的旺盛的生命力，走上了现代语言学的大道。拿我国传统的音韵学来说，由于欧洲历史比较法和内部拟测法等方法的引进，加上采用效果良好的标音工具——国际音标，这门传统的学科有了重大的转变和进展，我们得以构拟出古音的音值，同时也更好地区别古音的音类。汉语语法的研究，众所周知，我国学者自己撰写的第一部语法著作《马氏文通》正是直接学习和模仿西方语法的结果。上世纪中叶结构主义语法理论和分析方法的引进，使汉语语法研究提高到一个更加精深的层次。至于实验语音学、计算语言学、心理语言学这些跟自然科学联系密切的语言学分支，它们在我国的诞生和发展跟学习和借鉴西方更是分不开。尤其是改革开放以来，我国语言学界解除了长期的思想禁锢，学术空气空前活跃，国外语言学理论和方法的引进也随之出现了繁荣的局面。在新的世纪里要发展我国的语言学，我们在继承传统遗产的同时还需要继续学习和借鉴国外好的理论和方法，这一点是无庸讳言的。

外语教学与研究出版社引进并出版《当代国外语言学与应用语言学文库》，首批54本自2000年9月问世以来，取得很大成功。许多单位和个人争相订阅，研究生和大学生把《文库》视为良师益友，教师无论老中青都把《文库》视为知识更新的源泉。这次引进和出版的第二批58部，覆盖的领域比第一批又有所扩大，新增加了语言学史、语言哲学、人类语言学、认知语言学、语言的起源、语法化学说、音系学的优选论等内容。此外还增加了汉语研究的专著，如汉语方言的连读变调模式，汉语的形态学。《文库》第一批是导论书和教科书为主体，专著和经典著作较少；第二批增加了不少经典著作，包括索绪尔、萨丕尔、布龙菲尔德、乔姆斯基、奥斯汀、格莱斯等人的作品。另外还有一些重要的专著，如斯珀伯和威尔逊的《关联论》，舍尔的《言语行为》，泰勒的《语言范畴化》，韩礼德的《英语的衔接》等。第二批还增加了不少语言教学和测试方面的著作，语言教学和语言理论应该是一个互相促进的关系。总的来说，第二批的出版可以更好地适应不同层次不同方面的读者的需要，也说明我们引进工作的广度和深度都有提高。第二批依然配有专家导读，专家的队伍也更为强大。

引进和借鉴的目的是要结合我国自身的语言研究和教学而有所创新。西方语言学理论和汉语及国内少数民族语言的实际相结合，和我国的语言教学实际相结合，这是《马氏文通》以来中国语言学的一条基本发展道路。中外结合，任重而道远，问题还不少。王宗炎先生指出，对国外语言学的学习和借鉴"搜集采购之功多，提炼转化之功少"。汉语界和外语界两股力量的汇合，小有进步，成效不大。外语界的学人"搜集采购"功不可没，但是有不少人言必称外

国，对国外的理论讲得头头是道，问到自己母语里的情形就一问三不知。近年来不少人在论文中也开始举一些汉语的例子，但是蜻蜓点水，不痛不痒，有的甚至削足适履，拿汉语的事实去迁就国外的理论。汉语界的学人由于语言的障碍，大多只能通过别人的介绍和翻译来了解国外的动态，了解谈不上全面深入，视野不够开阔，思路比较闭塞。另外就是把眼光过分集中于汉语，忽视对语言普遍规律的探究，有人认为这是我国语言学长期落后的一个重要原因，我十分赞同。因此《文库》的引进还只是第一步，今后还有艰苦的跋涉。

在阅读和吸收《文库》的内容时，我想提这么几点建议：一是要由浅入深，循序渐进。一般来说，教科书较浅显，专著较精深，但教科书和专著也都有程度深浅之别。二是要去粗存精，去伪存真。国外的东西要虚心学习，但是也不要迷信。一部书读下来，要静心想一想，哪些是真有道理，哪些是貌似有理，哪些是精华，哪些是糟粕。（现在还有另一种倾向，为了表明自己有独立的思考和创见，曲解别人的观点。）三是联系实际，融会贯通。只攻一点不及其余的做法当然不可取，但有的人面对国外林林总总五花八门的理论和学派，书是读了不少，却始终理不出个头绪来。其实就《文库》而言，其中许多内容都是互相贯通的。比如，"语法化"的问题是近来语言学研究的一个热点，它牵涉到许多方面。要真正对这个问题有透彻的了解，既要有历史语言学的一般知识，还要了解功能语言学、认知语言学、语用学、语言类型学的相关研究成果，最好还要知道生成语言学的理论背景。融会贯通不够的一个主要原因是联系语言的实际不够，因此阅读时最好能联系你最熟悉、语感最好的语言（首先是你的母语）进行比较和思考。后面两点说起来容易做起来难：我自己也不能真正做到，提出来希望和广大读者共勉。

我们正处在一个信息时代，语言是人类最重要的信息载体。新兴的认知科学又把语言作为主要的研究对象，因为语言是人类最高级最重要的认知能力。新的世纪我国的语言学正面临新的挑战，《文库》的出版可以说是迎接这个挑战的第一个回应。

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# 导　读

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编撰百科全书这样的鸿篇巨制要求极深的学养，且费时费力，非一般人所能为。但语言百科对人们了解语言和语言学知识，促进语言学发展所发挥的作用是不言而喻的。常被引用和推荐的语言类百科包括布赖特（William Bright）主编的《国际语言学百科》（*International Encyclopedia of Linguistics*. 4 vols. New York: Oxford University Press, 1992.）、阿谢尔（R.E Asher）主编的《语言和语言学百科全书》（*The Encyclopedia of Language and Linguistics*. Tarrytown, N.Y.: Pergamon Press, 1994. 10 vol.）以及戴维·克里斯特尔（David Crystal）主编的这部《剑桥语言百科全书》。几部百科各有特点。《国际语言学百科全书》为四卷本，容量极大。它主要提供有关当今语言学所有分支的理论性描写和介绍，由长短不等的署名文章组成，学术性很强。《语言与语言学百科全书》包括由一千多人撰写的两千多篇文章，涵盖面更宽，除了语言学各分支的介绍，许多与语言有关的跨学科题目也尽在其中。与上述两部百科相比，本百科内容较新，也较为浅显。下面就本书作些简要的介绍。

本书的编者戴维·克里斯特尔是著名的语言学家，出色的语言教育家，同时还是成绩斐然的百科、词典编撰家。在他丰硕的学术著述中，除了这部百科，还有由他编著或参与编著的《剑桥英语百科》、《剑桥百科》、《剑桥传记百科》、《语言学与语音学词典》等多部大型工具书。这些成就有赖于他深厚的学术功底，也受益于他所从事的大量相关的学术活动，如他曾担任的《今日英语》、《语言学摘要》、《儿童语言教育与治疗》等国际学术刊物的顾问编辑工作。

本书是享誉很高的《剑桥语言百科》（1987 年第一版）的第二版。在保持第一版的主要内容和编排体例等方面不变的前提下，本书作了部分增加和修订。第一版出版十年之后，人类语言自然会有某种程度的变化，包括世界政局变化给语言带来的影响，同时人类对语言的研究在十年中也有所发展。修订主要体现在第二、第九部分和附录的第三项。作者还在第 26 章、61 章及 65 章分别增加了有关言语合成及识别、世界上处于消亡中的语言、自然语言处理等内容。

## 本书主要特点

本书有许多称道之处值得读者留意。一方面它具备百科全书的特征，另一方面又有别于一般的百科。具体表现如下：

（一）丰富的知识含量。如同其他百科一样，本书内容丰富，信息量大，综合性、全面性尽显其中。虽然本书只是一本关于语言知识的专业百科，比起一般的人文百科范围要狭窄些。然而由于语言兼具社会、心理、生理、物理等多种属性，是人类所独有的特殊现象，语言知识自然成为一个非常宽广、宏大、复杂的领域。在书中，有关语言的方方面面都给予了一定程度的介绍。从语音、语法、到语义、语用；从语言自身的内部结构到语言的使用、功能等外部因素；从实用性较强的语言常识到抽象的理论探索等等都囊括其中。人类迄今为止对语言作的大量研究在书中也得以展现：上至古希腊、古罗马的先哲，下至当代非同凡响的语言学家；从传统语法到转换生成；从欧洲学派到美国学派，既有闻名遐迩的语言学大师也有鲜为人知的医生、速记发明人及词典编撰者；既有深奥的理论也有饶有兴味的实例、数据和趣闻。特别值得一提的是，本书还展示了诸如言语合成及辨认、机器翻译、自然语言处理等当今语言研究的崭新方面。当然一本 500 页左右的

书要真正做到"无所不包"是不可能的也没有必要。正因为如此，作者谦虚地说，在一定意义上，他宁愿称本书为"萌芽状态的百科"。

（二）独具匠心的编排。首先，本书的编排极富系统性。与一般的百科全书按字母顺序排列条目不同，本书的组织是从语言科学的视角，在一定程度上参考语言构成的若干层面加以展开。同时基本上遵循先总体后局部、先概括后具体的思路。书中先概要地介绍了语言的本质、作用、功能等有关语言的宏观认识，接着谈语言的结构、机制等；先谈语言的总体结构然后再作分项处理，谈语音、语法、语义等。先谈语言自身再谈与语言相关的应用或引申等其他内容；先谈语言知识再谈语言学状况。总之，全书脉络清晰，逻辑性强，各部分之间，尤其是每部分中的章节之间的联系隐约可见，有浑然一体之感。这种系统性和整体感无疑增加了可读性，使得本书颇似一部有关语言的专著，对全面系统地了解语言知识十分有益。

然而，百科毕竟不同于专著。多数情况下人们使用百科仅仅为了查找某一点知识。也就是说，百科主要被当作工具书来使用。在这一方面，本书也丝毫没有疏忽，而是通过以下几种方式确保了工具书的特性。

第一，在兼顾系统性、整体性的同时，本书的每章每节都保持了各自的独立和完整，紧紧围绕一个题目。这样一来，既有合又有分，每一个小的单位都可以单独阅读。另外，几乎每一节都包含许多彩印的加框的插入部分。这个插入部分既跟本节内容有关又相对独立，不属于正文。

第二，为了查寻方便，除了目录——目录并不能展示所有细小的题目，本书在附录中列有专题索引。近三千个有关语言的小题目及其相应的页码一一开列出来。读者通过索引可以立即找到目录里不包括的东西。除了索引，附录中还有一个含一千三百多个术语的术语解释表。这些术语都是在本书中出现过的一些关键词，每条解释后面附带相应页码，以便进一步参考。

（三）准确、翔实、客观是本书的又一特点。百科如同词典一样，通常被赋予极高的信任和权威性，所含信息应准确、充分。本书出色地做到了这一点，其中提供的每一条内容都有出处。全书参考书籍文献多达三百多种。

本书虽然不是语言学百科而是语言百科——六十五章中只有最后一章专门介绍语言学理论，但是语言知识来源于语言学研究，语言学观点在本书中随处可见，二者不可截然分开。当今人们对语言的研究仍在不断深化，仍有许多未知的迷团和不一致的观点，在这种情况下完成一部语言百科的难度是可想而知的。本书遇到有争议的观点时采取了一种客观、公允的态度。例如，第七部分的第三十八章中的"语言习得理论"一节对几种不同的有代表性的理论模式，如行为主义的模仿理论、心智主义的天赋论、以皮亚杰为代表的认知派等等，都分别作了简单的描述，而未加任何倾向性的评论。因为正如编者在"结论"中所说，就目前的知识水平而言，有关语言习得方面的普遍性、确定性的事实还为数不多，不可能在这些理论流派中作明确的取舍。

（四）作为知识性很强的语言百科，本书同时巧妙地兼顾了趣味性、可读性。这是本书另一独到之处。这种可读性来自多种原因，除了编者独具匠心的选材、编排，更与本书的行文密不可分。对许多人来说，语言（学）知识抽象艰深，甚至令人生畏。而本书读起来却简明、易懂、兴趣盎然，原因之一在于编者的语言表述生动、明白、顺畅。

除此之外，书中插入的多达六百多幅的图片、地图、表格、肖像、照片等也为本书增添了吸引力。例如第九部分"全世界的语言"的"语系"一章中附有一幅彩色的世界各语系的分布图，所标示的内容一目了然。这对有关研究一定很有用处。本书最后一章"语言学"里还收有多幅令人敬仰的文化名人或学者的图片，包括作于公元一世纪的柏拉图头部雕塑、作于十四世纪的亚里士多德的画像、早期创作的古罗马学者西塞罗和尼罗的版画头像，以及索绪尔、布龙菲尔德、萨丕尔、叶姆斯列夫、雅各布逊、弗斯、丹尼尔·琼斯、乔姆斯基等多位现代语言学大师的照片。在关于语音的第四部分里，读者也可以见到许多彩色插图，其中有

发声器官、听觉器官的解剖图，声谱图，还有用于有关研究的仪器图片等，可谓图文并茂。

## 本书主要内容

本书共含 11 部分，外加 8 个附录。每部分包括若干章节，全书总共 65 章，统一排序。各部分的题目及内容要点如下：

第一部分"对语言的一般认识"讨论了一些广为语言学界接受的重要观点，这些是进一步学习语言的前提。本部分由 5 章组成。第 1 章 "规定性传统"：对语言学的权威和正确性的通常看法；语言纯粹主义和语言变化；语言描写的作用。第 2 章 "语言的平等"：原始语言的神话；所谓优秀语言。第 3 章 "语言的神奇"：语言迷信和词语禁忌；专有名词的神秘力量。第 4 章 "语言的功能"：感情表达功能，社会互动功能，声音力量功能，对现实控制功能，记录事实功能，思想功能，认同表达功能。第 5 章 "语言与思维"：语言与思想之间的复杂关系；语言相对论的含义。

第二部分"语言与特征"介绍语言以多种方式标志着人的生理、心理个性和社会的诸多特征。本部分共含 7 章（第 6 章——第 12 章）：第 6 章 "身体特征"：语言与年龄、性别、体态、身体状况等的关系；嗓音特征；男女言语。第 7 章 "心理特征"：语言与性格，智慧及其他心理因素的关系。第 8 章 "地理特征"：说话人的地理背景；方音、方言、语言区域及方言学研究。第 9 章 "种族和民族特征"：语言、种族学和民族主义；少数民族语言和方言的问题。第 10 章 "社会特征"：语言和社会阶层、阶级、地位、角色、凝聚和距离；性别歧视问题。第 11 章 "语境特征"：由条件引起的口语和笔语的变体；秘密语言；语言艺术和词语游戏。第 12 章 "文体特征和文学"：风格的概念；作者特征和法用语言鉴别；诗歌、戏剧和散文的文学语言。

第三部分"语言结构"从语言各个层面描述语言的构成，即介绍用以分析语言的多重维度。共含 9 章（第 13 章——第 21 章）。第 13 章 "语言的层面"：语言分析中各种成分之间的关系；语言结构的模式。第 14 章 "区分与共性"：语言之间的异同。第 15 章 "语言结构的统计"：语言中规律现象的统计研究；语音、字母、词汇的频度。第 16 章 "语法"：句法和词法；词、短语、从句和句子的结构。第 17 章 "语义"：语言意义的研究；词、句的语义分析。第 18 章 "词典"：词典的使用和评估；词汇学的过去、现在和未来。第 19 章 "命名"：人名使用中的习惯和趋势；地名及其历史。第 20 章 "话语和篇章"：超句子的口头或书面语言的研究；对话的本质；语篇分析。第 21 章 "语用"：社会交往中制约语言选择的因素；言语行为及分析。

本书的第四、第五、第六部分有相似的标题，分别是：第四部分 "语言的媒介：说与听"、第五部分 "语言的媒介：写与读"、第六部分 "语言的媒介：手势与看"。人们通常认为语言的媒介是声音，书写符号是记录语言的一种方式或手段。而本书将声音、书写符号和手势语中的手势都视为语言的媒介，并认为它们各自有独特的属性，因此用三部分来分别介绍这三种媒介。

第四部分占了比较大的篇幅，页数比其他两部分的总数还多，显然是重心所在，尽管编者也指出了 20 世纪存在着对语言的声音形式的研究过于偏重的倾向。这部分内容相当丰富，主要围绕着语音学和音位学知识。首先介绍了发音器官的解剖和生理，语音的生成、传播和接收的过程，接着阐述了语音的物理属性及某些用于语音声学和语音生理研究的科学仪器。另外有关语音合成及机器的语音识别等这些随着现代科技发展而取得长足进步的知识也作了介绍。传统的语音学和音位学知识在本部分各占一章，对相关的教学活动有着直接关系。本部分结尾还谈到了超语段因素和声音象征主义。每章的标题是：第 22 章 "言语的解剖和生理"、第 23 章 "言语的声学原理"、第 24 章 "言语的仪器分析"、第 25 章 "言语接受"、第 26 章 "言语与机器"、第 27 章 "语音"、第 28 章 "声音在语言中的使用"、第 29 章 "超语段"、第 30 章 "声音象征"。

在第五部分可以看出编者这样的主导思想：首先，书面语和口语虽然不同但都同样是语言的表现形式，

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