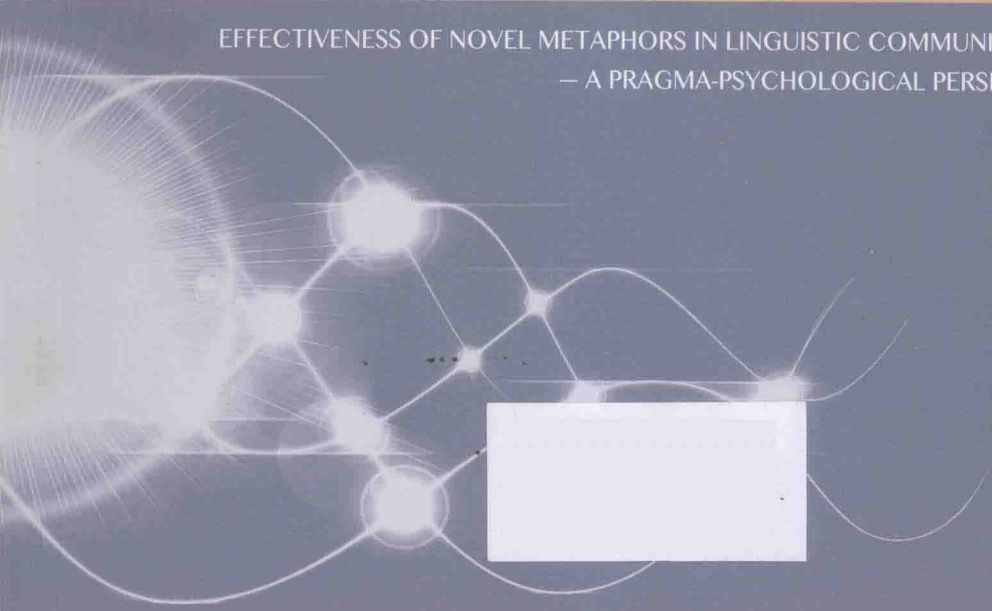
◎ 邱舟艳 著

新奇隐喻在语言交际中之效力

——语用和心理视角

EFFECTIVENESS OF NOVEL METAPHORS IN LINGUISTIC COMMUNICATION
– A PRAGMA-PSYCHOLOGICAL PERSPECTIVE



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内 容 提 要

本书旨在构建一个关于新奇隐喻在语言交际中之效力的理论。在 Geoffrey Leech 有效语言交际的理论框架之上，主要将采用语用和心理这两个视角来广泛深入地探讨新奇隐喻体现在语言交际中的效力。本书适合中英文语言学方向和文学方向的研究者参考阅读。

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To see a world in a grain of sand
and a heaven in a wild flower,
Hold infinity in the palm of your hand
and eternity in an hour.

William Blake, Auguries of Innocence

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For any errors or infelicities that may occur along the journey, none of the people mentioned is to blame. The responsibility entirely lies with me.

Qiu Zhouyan

2014.12

Preface

Metaphor is truly a multifaceted phenomenon. Such aspects as the nature, the genesis, the working mechanism, the comprehension, and the role of metaphor constitute the major themes of the research on this topic. It is found that only scanty and sporadic attention has been paid to the aspect of effectiveness as manifested by metaphor in linguistic communication. This dissertation aims at constructing a theory of novel metaphors' effectiveness in linguistic communication.

This study is based essentially on Geoffrey Leech's framework of effective communication and specifically on the Expressivity Principle within the Textual Rhetoric and the Politeness Principle within the Interpersonal Rhetoric. The perspectives from which to look at the effectiveness aspect are primarily a pragmatic and secondarily a psychological one. There are chiefly three tasks that this study attempts to fulfill — to discover what novel metaphors' effectiveness is, to account for novel metaphors' effectiveness, and to explain how novel metaphors' effectiveness is achieved.

The findings reveal that there are basically four kinds of effectiveness for novel metaphors in linguistic communication—codec, aesthetic, affective and interpersonal effectiveness. In an attempt to elucidate novel metaphors' effectiveness in the light of the Expressivity Principle within Leech's Textual Rhetoric, the researcher finds that this principle is somewhat inadequate. Therefore, a "Metaphor Maxim" is added to the Expressivity Principle together with three sub-maxims showing codec effectiveness, aesthetic effectiveness and affective effectiveness respectively. When applying the Politeness Principle to novel metaphors, the researcher finds that the use of novel metaphors characterized by indirectness is a good example of observing the

Tact Maxim under the Politeness Principle. Nevertheless, it is found that the principles within the Interpersonal Rhetoric are also inadequate in that they fail to account for novel metaphors' power in promoting intimacy in linguistic communication. Therefore, a new principle is added to the Interpersonal Rhetoric and it is called the "Intimacy Principle". In addition, an appeal to the Relevance Theory helps offer a reasonable account of novel metaphors' aesthetic effectiveness.

Our findings also suggest that novel metaphors' codec effectiveness originates in their cognitive mechanism; that "poetic effect", the imagic vividness and the pleasure derived in the process of comprehension constitute the mechanisms for novel metaphors' aesthetic effectiveness; that the imagery aspect, the subsidiary awareness as suggested by Polanyi, and the initial suspension of judgment in meaning interpretation serve as the major potential mechanisms for novel metaphors' affective effectiveness; and that novel metaphors' interpersonal effectiveness originates from indirectness in the use of novel metaphors and the "shared awareness" between the speaker and the hearer in linguistic communication.

What is worth mentioning in passing is that our study uses Leech's theoretical framework in the account of novel metaphors' effectiveness, and meanwhile modifies Leech's theoretical framework. Moreover, our study presents a systematic attempt at discussing both the manifestations and mechanisms for novel metaphors' effectiveness.

It is believed that the present study has both practical and theoretical implications. A systematic and thorough understanding of novel metaphors' effectiveness can help people use novel metaphors more consciously and skillfully. Theoretically and practically, the study is expected to contribute duly to such fields as metaphor study, pragmatics, psychology, rhetoric and aesthetics.

Qiu Zhouyan

2014.12

前　言

隐喻实属一种多面性的现象。隐喻的本质、起源、工作机制、理解和功能构成了隐喻研究的主题，而人们对隐喻在语言交际中的效力关注甚少，在这方面的探讨也较为零散。本书旨在构建一个关于新奇隐喻在语言交际中之效力的理论。

本书建立在 Geoffrey Leech 有效语言交际的框架之上，具体基于其中篇章修辞的表达力原则和人际修辞的礼貌原则，以语用视角为主、心理视角为辅探讨了新奇隐喻体现在语言交际中的效力。本书试图完成三项任务：探寻新奇隐喻的效力是什么，如何阐释这些效力，探究这些效力何以产生。

研究结果表明，新奇隐喻在语言交际中体现出四种基本的效力：编解码效力、美学效力、情感效力和人际效力。在用 Leech 的篇章修辞中的表达力原则阐释新奇隐喻的效力时，笔者发现该原则有其不足之处，于是在表达力原则下又添加上了一条“隐喻准则”（该准则下含三条次则，各自体现新奇隐喻的编解码效力、美学效力和情感效力）。在用 Leech 人际修辞中的礼貌原则阐释新奇隐喻的效力时，笔者发现新奇隐喻所体现的间接性恰是遵守礼貌原则下策略准则的一个很好的例证。然而人际修辞中的其他原则却无法阐释新奇隐喻在语言交际中所体现的亲和功能，于是在人际修辞中添加了一条新的原则并将其称为“亲和原则”。此外，关联理论的引入为新奇隐喻的美学效力提供了更为合理的阐释。

该研究表明，新奇隐喻的编解码效力源于其认知机制；“诗学效果”、意象之生动性以及在隐喻理解过程中产生的愉悦构成了新奇隐喻美学效力的产生机制；意象性、Polanyi 式次意识和隐喻释义时起初的判断悬置主要促成了其情感效力的产生；新奇隐喻的人际效力源于其使用的间接性和在语言交际中说话者与听话者之间的“共享意识”。

值得一提的是本书借用了 Leech 的理论框架探讨了新奇隐喻的效力，而同时在探讨的过程中又对 Leech 的理论框架作了修正。另外，本书也是对新奇隐喻效力的表现和产生机制所作的一次较为系统的尝试。

本书具有一定的实践和理论意义。对新奇隐喻效力系统的认识有助于人们更有意识并熟练地使用新奇隐喻。本书对隐喻研究、语用学、心理学、修辞学和美学等相关领域的研究均有一定的理论贡献和实践价值。

邱舟艳

2014 年 12 月

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Chapter One

Introduction

As a language teacher, I have been teaching freshmen English reading course for these consecutive years. I find it necessary to make my students aware of the difference in the way they read a text between university and middle school English classrooms. In order to drive home this point graphically, I have invented a metaphor listed in (1) and a related one listed in (2):

(1) A text is a forest.

(2) Before you step into the forest, I'd like to ask you to board a helicopter just over that stretch of forest.

The points I intend to get across are as follows:

(1) Before you get down to a text, you should have an overall view and a general impression of the text, just as when you are in the helicopter, you enjoy a bird's-eye view of the forest.

(2) Before you get down to a text, you should also make out the structure of a text or have a rough idea of the thread of thought on the part of the author, just as when you are on board, you make an effort to identify the track you can follow so that you may not get lost in the forest.

(3) With the structure in mind, you now begin to read the text section by section, just as when you begin to step into the forest, you travel from this part of the forest to that part on the identified track for guidance.

(4) When you are reading a particular part of a text, you should pay attention to certain sentences and words, just as when you come to some part of the forest, you spend some time observing the trees, flowers and animals.

(5) When you are reading a particular sentence worthy of attention, you read

it more carefully by noting how the sentence is structured and what it is composed of, just as when you linger somewhere around a tree or flower, you put it under close observation.

(6) You may look at a word or phrase, savor it and commit it to memory when you find it well used in the text, just as when there is a beautiful flower or tree coming into view, you may appreciate it, pick a petal or leaf for storage and memory's sake.

The two related metaphors are amazingly effective in a number of aspects—effective in couching my ideas of the proper way that a university student should read an English text, effective in making my ideas readily accepted by the students, and effective in rendering the message vivid and aesthetically appealing on the receiving end. Deeply impressed by the metaphors' effectiveness, I want to theorize about this experience in language teaching.

1.1 Rationale for the Study

Metaphor is such an engaging and inexhaustible subject that, for over two millennia, scholars from different theoretical backgrounds have been drawn to this "magnet" and have contributed significantly to this realm of study. In reading the literature on metaphor, I find this is truly a multifaceted phenomenon. Such aspects as the nature, the genesis, the working mechanism, the comprehension, and the role of metaphor constitute the major themes of the research on this topic. Due to metaphor's multidisciplinary identity, these various aspects are investigated by different scholars from different perspectives.

Why metaphor's effectiveness?

It is universally acknowledged that no single type of theory is capable of accounting for this multidimensional phenomenon. As Raymond Gibbs puts it, "The complexity of metaphor in language may require several types of theories to explain how people think of and interpret such language."

(Gibbs, 1999: 36) Therefore, one sensible way to approach the subject, it seems to me, is to grasp one aspect and inquire into it from a certain perspective. It is the above-mentioned linguistic experience in my language teaching that prompts me to carry out a research on one particular aspect—the effectiveness of metaphors, novel metaphors to be precise.

Moreover, the aspect of effectiveness seems to have not been so well treated as metaphor's other much-explored facets. Having surveyed the literature, I find only sporadic attention has been paid to it. On hearing this, the ancient rhetoricians might be feeling restless even in their resting-places, arguing that what they were solely and ultimately concerned with in their treatment of metaphor was its rhetorical effect. The rhetorical effect that metaphor achieves is presumably the narrowest construal of the term "effectiveness". However, the "effectiveness" that this dissertation seeks to elaborate on is far broader in scope and, more importantly, we examine it in a new light—a pragma-psychological vantage point. Hopefully, our endeavor in this respect will put the restless at rest.

My claim that only scanty attention has been paid to metaphor's effectiveness may also trigger disagreement in that much research focuses on the role or function of metaphor and "effectiveness" and "role/function" have much in common. In my view, the study of the role/function of metaphor in the relevant literature includes its role/function in various aspects ranging from rhetoric to cognition (such as Aristotle, 335 B. C.; Cicero, 55 B. C.; Quintilian, 1995; 刘勰, 501—502; 陈骙, 1170; 陈望道, 1932; Richards, 1936; 钱钟书, 1937, 1979, 1984; 王瑶, 1942; 朱光潜, 1943; Langer, 1951; Cassirer, 1954; Jakobson, 1956, 1960; 王力, 1962; Black, 1962, 1979; Ortony, 1975, 1980, 1989; Goodman, 1976; Ricoeur, 1977; Cohen, 1978; Lakoff & Johnson, 1980; Cooper, 1986; Johnson, 1987; Bontekoe, 1987; 赵沛霖, 1987; 耿占春, 1993; 林书武, 1995, 2002; 赵艳芳, 1995, 2000; 束定芳, 1996, 2000; Goatly, 1997; Cacciari, 1998; 季广茂, 1998, 2002; 严世清, 2000; 胡壮麟, 2004; 张沛, 2004; Punter, 2007; 谢之君, 2007; Semino & Steen, 2008; Kövecses, 2008). Unlike the existing studies in the metaphor

literature which merely touch on metaphor's role/function in so many various aspects, the present study makes an effort to present a thorough inquiry into its positive role in just one single aspect. If there are some thorough investigations focusing on one particular aspect, the aspect of linguistic communication is still an area to be further explored. What the present study focuses on is metaphor's role/function in linguistic communication. More valuably, the study attempts to discover the mechanism whereby novel metaphors can achieve their effectiveness.

Now that metaphor prevails in language use, it is essential for us language users to have a fine understanding of its effective role played in linguistic communication. A systematic and thorough understanding of metaphor's effectiveness regarding what is its effectiveness and how these different aspects of effectiveness come into being in linguistic communication will help interlocutors and writers use metaphors more consciously and skillfully. This is the practical importance of finding out the effectiveness of metaphor. On the other hand, "effectiveness" in linguistic communication proves an indispensable facet of metaphor, so theoretically speaking, delving into this particular aspect will contribute duly to the metaphor theory and a better understanding of metaphor itself.

Why the term "effectiveness"?

Since "effectiveness" of metaphor has much in common with "role/function" of metaphor, the question that naturally arises will be: why do you bother to choose a novel term——effectiveness, a term which is not so commonly found in metaphor literature. The reasons why I take particular care to choose this term are as follows: firstly, the study I carry out differs from the role/function study in that the present study attempts to make an in-depth investigation into one aspect—linguistic communication. Secondly, the very term "effectiveness" originates from Geoffrey Leech's framework of effective communication in his *Principles of Pragmatics* (1983). Moreover, the interpretation of the effectiveness of novel metaphors in the present study is based essentially on Leech's framework and specifically on the Expressivity

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