中文社会科学索引（CSSCI）来源集刊

语言学研究

Linguistic Research

第十六辑

北京大学外国语学院外国语言学及应用语言学研究所 编

教育出版社

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高等教育出版社·北京

图书在版编目（CIP）数据

语言学研究．第16辑 / 北京大学外国语学院外国语言学及应用语言学研究所编．-- 北京 ：高等教育出版社，2014.12

ISBN 978-7-04-041263-5

Ⅰ．①语… Ⅱ．①北… Ⅲ．①语言学－文集 Ⅳ．①H0-53

中国版本图书馆CIP数据核字(2014)第284444号

策划编辑 贾巍巍	责任编辑 王代军	封面设计 赵 阳
责任校对 张 凯	版式设计 魏 亮	责任印制 毛斯璐

出版发行	高等教育出版社	咨询电话	400-810-0598
社 址	北京市西城区德外大街4号	网 址	http://www.hep.edu.cn
邮政编码	100120		http://www.hep.com.cn
印 刷	北京中科印刷有限公司	网上订购	http://www.landraco.com
开 本	787mm×1092mm 1/16		http://www.landraco.com.cn
印 张	15.25	版 次	2014年12月第1版
字 数	323千字	印 次	2014年12月第1次印刷
购书热线	010-58581118	定 价	30.00元

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邮政编码　100120

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视点专刊稿件

“视点专刊稿件”主持人语

Point-of-View Principles in Sentence Formation

“视点”纵横谈

视点等级体系下英汉语主语的选择机制对比
——一项基于句子对齐语料库的研究

关于日语母语者和以英语为母语的日语学习者在语篇叙事中的视点研究

「シテイタアト」和「シテイテカラ」的历史演变（下）

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“视点专刊稿件”主持人语

特约栏目主持　彭广陆

作为语言学研究对象的“视点”又叫“视角”，它与英语的“perspective”、“point of view”、“viewpoint”、“vantage point”以及日语的「視点」、「視座」、「観点」相对应，具体指“说话人对客观情状的观察角度，或是对客观情状加以叙说的出发点”（沈家煊，2001）。

语言学中有关“视点”的系统研究始于20世纪70年代，日本学者独着先鞭，成就斐然。日本的语法学家关于视点的研究始于日语与英语的对比研究，两种语言中视点的表现形式的差异引起了学者们的关注，并以此为契机开始了相关研究。随着认知语言学的兴起，视点研究日益受到语言学家们的重视，它已经成为语言的主观性研究的重要内容，也成为语言学研究的热门话题之一。

在这种背景下，北京大学外国语学院日本语言文化系和北京大学外国语学院外国语言学及应用语言学研究所于2013年10月19—20日在北京大学举办了“跨语言视点研究国际研讨会”，这也许是世界上第一个以视点研究为专题的国际研讨会，共有来自中国、美国、日本、韩国、越南等国家的50余名代表与会并进行了研讨。本栏目所收录的5篇论文都是在该研讨会上所宣读的论文的基础上修改而成的。下面对其主要内容做一简单介绍。

哈佛大学久野暲（Kuno Susumu）教授是最早从事视点研究的语法学家之一，他的“移情理论”和“视点理论”为语言学界所熟知并经常被引用，此次他在《句子构成中的视点原则》（*Point-of-View Principles in Sentence Formation*）一文中建构了原形移情理论（或曰句子生成的相机角度理论），经过验证证明这个理论同样适用于日语、韩语、汉语和土耳其语。此外还证明了日语在某些条件下强制说话人使用明确标记其生成句子时所采用的相机角度的语法手段，这使得日语在类型学上具有特殊性。

彭广陆的《“视点”纵横谈》从视点的定义出发，指出视点的表现形式在语言编码时会反映在词、词组、句子、语篇等各个不同的语言单位上，而且其表现形式会因语言而异，进而从语言类型学的角度提出汉语属于视点移动型的语言，日语属于视点固定型的语言这一假说，并对视点的分类进行了探讨。

曹依民、张璐璐的《视点等级体系下英汉语主语的选择机制对比——一项基于句子对齐语料库的研究》通过对语料库中的例句的考察发现：英汉两种语言总体都

遵循视点等级体系；当某种制约条件（侧重的效果、语态、背景与参与者关系）需要突显时，两种语言的视点会产生差异，汉语更倾向遵循等级体系，而英语则以侧重关系重置、语态选择以及背景与参与者关系调整为机制，在视点等级上向下选择，表征为物称主语。

奥川育子的《关于日语母语者和以英语为母语的日语学习者在语篇叙事中的视点研究》通过调查搞清了日语母语者和以英语为母语的日语学习者在讲故事的时候表现出来的识解上的差异，即日语母语者倾向于主观识解，说话人置身于事件之中，将视点始终放在主人公身上，不轻易改变；而以英语为母语的日语学习者倾向于客观识解，表现为视点不固定，说话人采取旁观者的立场。以汉语为母语的日语学习者也表现出与英语母语者相同的倾向性。

杨文江的《「シテイタアト」和「シテイテカラ」的历史演变（下）》分析了「シテイタアト」和「シテイテカラ」两个结构中动词的语义特征，并通过对几个近代语料库的调查，初步判断它们产生于20世纪初，可能是由于西文日译所诱发。它们产生的语言内部原因是动词语义与整体结构的相宜性，即主体为人的变化动词和静态动作动词的「シテイル」形式可以表达动作终止界限达成的外部视点。另外，该文还从语法体对立历史演变的角度分析了这两个结构后来使用频率下降的原因。

语言学中的视点研究大有可为，还有各种可能性有待发掘。

❑ 沈家煊，2001，语言的“主观性”和“主观化”。《外语教学与研究》(4)：268-275。

Point-of-View Principles in Sentence Formation

KUNO Susumu*

Harvard University

Abstract: In describing an event, the speaker can represent his attitude, or camera angle, towards its participants in numerous ways. For example, given a situation in which a college student named John hit his roommate Bill, (s)he can describe this situation in the following ways: (1a) John hit Bill; (1b) John hit his roommate; (1c) Bill's roommate hit him; (2a) Bill was hit by John; (2b) Bill was hit by his roommate; (2c) ??John's roommate was hit by him. These sentences are identical in their logical content, but they differ from each other with respect to camera angles. What requires special attention is the fact that (2c) is marginal or unacceptable without any special context. Using sentences (1a—c) and (2a—c), this paper first establishes a set of principles that control camera angles in sentence formation. It examines various English sentence patterns whose acceptability/unacceptability status cannot be accounted for without these principles. It then shows not only (i) that Japanese is a language that can use various grammatical devices which overtly specify the camera angles that the speaker has taken in sentence formation, but also (ii) that Japanese is a language which must use such devices under certain conditions. The paper concludes with observations on the cross-linguistic nature of the camera angle principles, although where these principles play a role in syntax might be different from language to

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I would like to thank Nan Decker for editing this paper and giving me invaluable comments on its contents.

language.

Keywords: perspective; point of view; empathy; discourse principles; long-distance reflexives; word order principles; passivization; reciprocal verbs

❶ Camera Angles in Film Shooting

In shooting a scene in a film, perhaps the most important task of the film director is to determine the angle of the camera. The so-called "point of view" camera angle shows the viewer the image of the scene as viewed by the main character of that scene. The scene taken with this camera angle does not show the main character because the camera has become the main character, so to speak. Also, the camera might be placed much closer to the main character than to, say, the secondary character of the scene, without totally identifying itself with the main character. The scene taken with this camera angle would show the main character as the main player of the scene, with the secondary subject playing a secondary role. The scene taken with this camera angle shows that the director is signaling to the viewer that the scene has been shot with a point of view much closer to that of the subject than to that of the secondary player. Let us call this camera angle a "partial point-of-view camera angle." Alternatively, the director of the film might choose to place the camera at a long distance from both the main and the secondary characters. The scene taken with this camera angle shows the viewer the image of the scene as seen by a spectator who is detached from both the main and the secondary characters.

❷ Camera Angles in Sentence Formation

A speaker, in verbally describing an event or state that he has observed, either explicitly or implicitly, either unambiguously or ambiguously, and most probably unconsciously, conveys to the hearer with what camera angle he has observed the event or the state. Take for example an event in which John hit Bill, given that John and Bill are roommates. Let us first examine what kind of sentences the speaker would produce in describing this event. The following is a list of typical sentences that the speaker might use:

(1) Active Sentences

a. John hit Bill.

b. John$_i$ hit his$_i$ roommate.

c. Bill$_i$'s roommate hit him$_i$.

(2) Passsive Sentences

a. Bill was hit by John.
b. $Bill_i$ was hit by his_i roommate.
c. ??$John_i$'s roommate was hit by him_i.

(2c) is marginal in isolation, and accounting for this fact is one of the objectives of this paper.

I hypothesize that (1a): *John hit Bill* is ambiguous between (i) a sentence that is produced with a camera angle closer to John than to Bill, and (ii) a sentence that is produced with a camera angle closer to Bill than to John, although it is more likely to be the former than the latter. I also hypothesize that (1a) might be a sentence with a long-shot camera angle in which the speaker plays a role of a spectator who is detached from both John and Bill. That is, (1a) is multiply ambiguous with respect to the camera angle of the speaker. In contrast, I hypothesize that (1b) and (1c) are not that ambiguous — that is, I hypothesize that (1b): *$John_i$ hit his_i roommate* is unambiguously a sentence that the speaker has produced with a camera angle much closer to John than to Bill because he has referred to Bill not as *Bill*, but as *John's roommate*. Likewise, I hypothesize that (1c): ??*$Bill_i$'s roommate hit him_i* is a sentence that the speaker has produced with a camera angle much closer to Bill than to John because he has referred to John not as *John*, but as *Bill's roommate*.

Now, moving on to the passive sentences in (2), I hypothesize that (2a): *Bill was hit by John* is unambiguously a sentence produced with the camera angle closer to Bill than to John. That is, I hypothesize that passive sentences are sentences that the speaker uses to overtly signal to the hearer that he is taking a camera angle closer to the referent of the new subject *Bill* than to the referent of the old subject *John*. (2b): *$Bill_i$ was hit by his_i roommate* is a sentence whereby the speaker has doubly expressed his close-to-Bill camera angle by referring to John as *Bill's roommate*, and by using the passive sentence pattern which places the original non-subject *Bill* in subject position. As already mentioned, (2c) is marginal or unacceptable.

❸ Proto-type Empathy Theory

I will now formalize the above loosely stated hypotheses, and build a theory of camera-angle in sentence formation that would make it possible to account for the marginality or unacceptability of (2c), which otherwise would remain unaccounted for. The proof of a linguistic theory for a given set of sentences for some linguistic phenomenon lies in whether it can account for why unacceptable sentences in that set are unacceptable, as well as why acceptable sentences in the set are acceptable. So if I succeed in accounting for the marginality or unacceptability of (2c), as well as the acceptability of the five other

sentences, I will have produced a justifiable proto-type theory of camera-angle in sentence formation.

The theory of empathy or point of view in linguistics is a theory that I constructed over several years beginning in 1977 (Kuno and Kaburaki, 1977; Kuno, 1978; Kuno, 1987).

I define the term "Empathy" in the following way.

(3) **Empathy**: Empathy is the speaker's identification, which may vary in degree, with a person/thing that participates in the event or state that he describes in a sentence.

Collins Cobuild's *English Language Dictionary* (1987) defines the non-technical meaning of the word "empathy" as given in (4):

(4) Empathy is the ability to share another person's feelings and emotions as if they were your own. (*English Language Dictionary*, Collins, London and Glasgow, 1987)

But throughout this paper, I will use the word in a technical sense, as defined in (3).

I define the term "degree of empathy" as stated in (5) :

(5) **Degree of Empathy**: The degree of the speaker's empathy with x, E(x), ranges from 0 to 1, with E(x) = 1 signifying his total identification with x, and E(x) = 0 signifying a total lack of identification.

The illustration given in (6) shows the relationship between camera angles and resulting sentences:

(6) **Camera Angles and Resulting Sentences**

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