

语言研究概论

Introduction to Language Study

刘红艳 著

中国石化出版社

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P 前言

preface

本书是系统介绍语言学研究的基本范畴、基础理论、基本研究方法及语言学主要流派的一本专著。以胡壮麟主编的《语言学教程》中的语言学十二分支为主线,系统融入其他国内外经典语言学著作的相关内容。在对每个部分的相关内容进行研究综述的基础上,对每个章节的术语和知识点进行深入剖析,并给出中英文对照解释及示例。内容深入浅出,对表面抽象深奥的语言学知识总结提炼,将其转化为简单浅显、直击要点的阐释。

本书主要特点如下:

1. 从读者角度出发,语言简单明了,深入浅出解读语言研究各领域的核心内容,适合不同程度和专业背景的读者阅读。

2. 每章第一部分为研究综述,提纲挈领,勾勒整章主线及核心内容,帮助读者全面把握整章脉络。

3. 语言研究中相关术语晦涩难懂,本书选取重点术语进行深入剖析,帮助读者深入理解,配有示例加以说明。

4. 基于对重点术语和知识的剖析,本书注重启发读者对一些热点研究问题进行思考,鼓励读者采用不同的语言学研究方法和手段对相关问题进行思考。

5. 为了帮助读者了解相关语言学领域的前沿研究,本书还设有“文献导引”,列出与专著各章内容密切相关的经典语言学文献,为有志于进一步从事语言学研究的读者提供方向性指导。

6. 本书还配有各章术语大全,给出各章节术语中英文对照列表,有助于读者系统逻辑地掌握相关术语间的关系,进行横向联系记忆。

7. 本书介绍的语言学研究方法可操作性和实用性强,非常适合于从事外语教学的教师、相关专业本科生、研究生学习。

本书编写过程中,得到英国社会科学院院士、英国兰卡斯特大学终身教授 Geoffrey Leech 的指导,在此表示衷心谢意! 刘阳阳、解彤炜、马磊、张璇艺、刘

歌、王翊君、崔锐、刘翔阳参与了书稿的繁琐工作,特此鸣谢!

由于作者才识有限,加上编著时间紧张,书中难免出现谬误和不妥之处,敬请读者批评指正。

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Chapter 1

Invitations to Linguistics

语言学导论

一、研究综述

In chapter one, we will see a general idea of some knowledge related to language and linguistics.

With regard to language, the definition of language, design features of language, origin of language, and functions of language are elaborated. Design features of language refer to the features distinguishing human language from any animal system of communication, specifically, arbitrariness, duality, creativity, displacement, cultural transmission, and interchangeability. In terms of the origin of language, there are six different theories presented, namely, the natural response theory, the sing-song theory, the pooh-pooh theory, the yo-he-yo theory, Ta-Ta theory, as well as the bow-wow theory. The functions of language are specified by different linguists, such as Jakobson and Halliday. However, in this part, we will learn the knowledge of basic language functions.

For linguistics, some main branches of microlinguistics and macrolinguistics are introduced in this chapter. In terms of microlinguistics, there are phonetics, phonology, morphology, syntax, semantics, and pragmatics; while in term of macrolinguistics, there are sociolinguistics, anthropological linguistics, psycholinguistics, and computational linguistics. Moreover, the distinction between descriptive vs. prescriptive, synchronic vs. diachronic, langue vs. parole, and competence vs. performance is illustrated in detail.

在第一章,我们对一些语言及语言学的知识进行了初步了解。

关于语言,在本章中,除了其定义外,我们还将了解语言的定义性特征、起源及功能。语言的定义性特征是指人类语言区别于其他动物交流系统的特

点,主要包括任意性、双重性、创造性、移位性、文化遗传性和互换性。关于语言的起源,主要有六个相关理论,即语言先天反射理论、“sing-song”理论、“噢噢”理论、“呦-嗨-呦”理论、“Ta-Ta”理论和“汪汪”理论。此前,有不同的科学家对语言的功能进行了细化,比如雅各布森和韩礼德,然而在本章中,我们重点要了解的是语言的基本功能。

关于语言学,本章将介绍微观语言学和宏观语言学几个具体的分支。其中,微观语言学包含语音学、音系学、形态学、句法学、语义学和语用学;宏观语言学包括社会语言学、人类语言学、心理语言学和计算机语言学。此外,本章还将区分几组语言学中重要概念,即描写式和规定式、共时和历时、语言和言语、语言能力和语言运用。

1.1 Why study language? 为何研究语言?

1. Language is very essential to human beings.

语言对人类至关重要。

2. In language there are many things we should know.

有很多关于语言的知识是需要我们了解的。

3. For further understanding, we need to study language scientifically.

为了更加深入地了解,我们需要系统地研究语言。

1.2 What is language? 什么是语言?

Language is a means of verbal communication. It is a system of arbitrary vocal symbols used in human communication.

语言是一种口头交流的方式。是人类用以口头交流的任意性的语音符号系统。

This definition has captured the main features of language.

e. g. human-specific, vocal, arbitrary symbolic, systematic.

该定义包含语言的五个要素:人类特有的、口头的、任意性、符号的、系统的。

a. Human-specific: Language is different from the communication systems of other forms of life.

e. g. bird songs, bee dances, animal cries.

人类特有的:语言不同于其他生命所拥有的交流系统。

b. Vocal: For all languages, sound is the primary medium; writing system comes much later than spoken language.

口头的:对所有语言而言,声音是最重要的媒介;书写系统晚于口头形式出现。

c. Arbitrary: There is no intrinsic connection between the word and the thing it denotes.

e. g. “pen” by any other name is the thing we use to write with.

任意性:单词与其所指事物没有内在联系。

d. Symbolic: Words are associated with objects, actions and ideas by convention, "A rose by any other name would smell as sweet."—Shakespeare
符号的:单词与其所指物体、行为以及想法的联系是约定俗成的。

e. Systematic: Language is rule-governed; elements in it are arranged according to certain rules and can't be combined at will.

e. g. bkli, I apple eat are incorrect.

系统的:语言是受规则支配的,语言要素根据特定规则排列,不可随意组合。

1.3 Design features of language 语言的定义性特征

The features that define human languages are called design features, which distinguish human language from any animal system of communication.

语言的定义性特征是指人类语言区别于其他任何动物交流系统的特点。

1.3.1 Arbitrariness 任意性

Arbitrariness refers to the fact that the forms of linguistic signs (sound) bear no natural relationship to their meanings.

This is a core feature of language, which was first discussed by Saussure. There are different levels of arbitrariness: arbitrary relationship between the sound of a morpheme and its meaning; arbitrariness at the syntactic level; arbitrariness and convention.

任意性是指语言符号的形式(即符号的声音)与其意义之间没有逻辑关系。

这是语言的核心特征,索绪尔最先讨论了这个特征。任意性存在于不同的层面:词素音和义之间的任意性关系;句法层面的任意性;任意性和规约性。

e. g. There is nothing in the word "tree" that connects it to the concept of a tree; which is why Spanish can use a totally different sign for the same concept "árbol"; and so on with other languages.

1.3.2 Duality 双重性

Duality refers to the property of having two levels of structures, such units of the primary level are composed of elements of the secondary level and each of the two levels has its own principles of organization.

At the lower or basic level, there is a structure of sounds, which are grouped and regrouped into a large number of units of meaning, which are found at the higher level of the system. Then the units at the higher level can be arranged and rearranged into an infinite number of sentences. Talking about duality, we must notice that language is hierarchical.

双重性是指拥有两层结构的这种特征,底层结构是上层结构的组成成分,每层都有自身的组合规则。底层结构由一些本身没有意义的语音组成,但是它们可以各自组合成有意义的单位,从而形成具有独特、确定意义的上层单位。上层单位能够被组合或重新组合成无限数量的句子。说到双重性,我们必须注意语言的等级性。

e. g. The meaningful English word “cat” is composed of the sounds [k], [æ], and [t], which are meaningless as separate individual sounds (and which can also be combined to form the separate words “tack” and “act”, with distinct meanings).

1.3.3 Creativity 创造性

Creativity means that language is resourceful because of its duality and its recursiveness. *Recursiveness* refers to the rule which can be applied repeatedly without any definite limit. The recursive nature of language provides a theoretical basis for the possibility of creating endless sentences.

Because of duality the speaker is able to combine the basic linguistic units to form an infinite set of sentences, most of which are never before produced or heard. Language is creative in another sense, that is, its potential to create endless sentences.

创造性是指语言具有能产性,因为其具有双重性和递归性。递归性是指可以无限数量反复运用的规则。递归性为创造无穷的句子提供了理论基础。

递归性是指说话者能够结合各个语言单位形成无尽的句子,其中,很多句子是以前没有的或者没有听说过的。从另一种意义上说,语言是创造性的,是指它具有构成无穷的句子潜力。

e. g. A speaker can know what a sentence he has never encountered before means. And such a finite mind can come to know the meanings of infinitely many sentences.

1.3.4 Displacement 移位性

Displacement means that human languages enable their users to symbolize objects, events and concepts which are not present (in time and space) at the moment of conversation.

Displacement benefits human beings by giving them the power to handle generalizations and abstractions. In a word, for human beings, the intellectual benefits of displacement are that it makes it possible for us to talk and think in abstract terms.

移位性是指人类语言可以让使用者来表示在说话当时当地并不存在的物体、事件和观点。

移位性赋予人们概括和抽象的能力,从而造福人类。总之,移位性丰富我们的智力在于它使我们有可能在抽象的层面上说话和思考。

e. g. One can describe in great detail what happened on the day the Declaration of Independence was signed, even though this occurred more than 200 years ago. Humans also have the ability to talk about what they want to do twenty years from now, including where they wish to live or what job they want to have.

1.3.5 Cultural transmission 文化遗传性

Language is not biologically transmitted. Instead, it is culturally transmitted from generation to generation through teaching and learning.

语言不是靠遗传,而是通过教与学,由人们接触的文化代代相传的。

e. g. If some certain kinds of birds spend their first seven weeks without hearing other birds, they will instinctively produce songs or calls, but those songs will be abnormal in some way. Human infants, growing up in isolation, produce no 'instinctive' language. Cultural transmission of a specific language is crucial in the human acquisition process.

1.3.6 Interchangeability 互换性

Interchangeability means that any human being can be both producer and receiver of messages.

互换性是指任何人既可以是信息的发出者,也可以是信息的接收者。

1.4 Origin of language 语言的起源

1. The bow-wow theory “汪汪”理论

In primitive times people imitated the sounds of the animal calls in the wild environment they lived and speech developed from that.

此理论认为语言源于人们模仿动物和其他人们能听到的自然界的聲音。

2. The pooh-pooh theory “噢噢”理论

In the hard life of our primitive ancestors, they utter instinctive sounds of pains, anger and joy which gradually developed into language.

这个理论把语言追溯到原始人类祖先在艰难的生存环境中用来表达痛苦、悲伤和喜悦等思想感情的感叹词。

3. The “yo-he-ho” theory “哟-嗨-哟”理论

As primitive people worked together, they produced some rhythmic grunts which gradually developed into chants and then into language.

这种理论认为语言起源于原始人类共同劳动时发出的有节奏的哼哟声。

4. The natural response theory 语言先天反射理论

The natural response theory postulates that language began with vocal expressions being assigned to objects found in the environment.

这种理论认为人类从外界得到的感受,自然会发出相应的声音与环境相协调。

5. The sing-song theory “sing-song”理论

It holds that language develops from primitive ritual songs of praise.

认为语言源于原始人在举行典礼时有节奏的歌唱。

6. Ta-Ta theory “Ta-Ta”理论

It believes that body movement preceded language. Language began as an unconscious vocal imitation of these movements.

此理论认为人类的肢体运动先于语言产生。语言就是人类在无意识地模仿这些运动的时候产生的。

1.5 Functions of language 语言的功能

For Jakobson, language is, as any semiotic system, for communication. He established a well-known framework of language functions based on the six key elements of communication:

①Referential: to convey message and information;

②Poetic: to indulge in language for its own sake;

③Emotive: to express attitudes, feelings and emotions;

④Conative: to persuade and influence others through commands and entreaties;

⑤Phatic: to establish communion with others;

⑥Metalingual: to clear up intentions, words and meanings.

雅各布森认为,任何符号系统一样,语言首先是为了交流。他在交流系统的六大要素的基础上建立了一套著名的语言功能的框架:

①所指功能:传达信息

②诗学功能:完全就语言而论语言

③感情功能:表达态度、感觉和感情

④意动功能:通过命令和恳求去说服和影响他人

⑤寒暄功能:与他人建立交流

⑥元语言功能:弄清意图、词语和意义

Halliday (1994) proposes a theory of metafunctions of language. It means that language has three metafunctions:

①Ideational function: to convey new information, to communicate a

content that is unknown to the hearer;

② Interpersonal function: embodying all use of language to express social and personal relationships. This includes the various ways the speaker enters a speech situation and performs a speech act;

③ Textual function: referring to the fact that language has mechanisms to make any stretch of spoken and written discourse into a coherent and unified text and make a living passage different from a random list of sentences.

韩礼德提出语言元功能的理论,认为语言有三个元功能:

① 概念功能:指语言具有表达新的信息或是给听话者传递一定未知内容的功能。

② 人际功能:指语言能使说话者充分运用语言来表达社会和个人的关系,包括说话者进入语言情景和实施语言行为的方式。

③ 语篇功能:指语言中存在着一种机制将口头或书面的话语组织成连贯统一的语篇,这种机制使实际的语言区别于一系列随意的句子。

According to Hu Zhuanglin, language has at least seven functions:

胡壮麟认为,语言有至少七种功能:

① Informative 信息功能

The informative function means language is the instrument of thought and people often use it to communicate new information.

The informative function is predominantly the major role of language; it is also called ideational function in the framework of functional grammar. That is to say, language serves for the expression of content, that is, the speaker's expression of the real world, including the inner world of his own consciousness.

信息功能意味着语言是人类思考的手段,人们通过使用语言交流新的信息。

信息功能是语言的最重要的角色,在功能语法的框架里,信息功能也被称为概念功能。也就是说,语言为表达内容服务,这个内容就是:说话者在真实世界的经验,包括他自我意识的内部世界。

e. g. Examples of informative function can be found in newspaper articles and scientific studies, as well as in a simple speech where the person shares a fact. Also, they can be found in poems, novels and plays, where a person shares an opinion or emotion. For example, "Christmas is a holiday", "Five plus five equals 10", "Mondays are my favorite days" and "Her betrayal made me think life wasn't worth living".

②Interpersonal function 人际功能

The interpersonal function means people can use language to establish and maintain their status in a society, which is the most sociological use of language.

人际功能是指人们通过它建立和维持在社会中的身份和地位,这是语言最重要的社会功能。

e. g. At an elaborate banquet a butler might very well invite the guests to enter the dining room by saying "The guests may now proceed to the banquet hall". In one's own home, however, a host is much more likely to say to the distinguished guests: "May I suggest that we all find our places at the table." But at a gathering of close friends a person is likely to say: "Come! Let's eat!" and to members of one's own family a corresponding expression might be "Soup's on!"

③Performative 施为功能

The performative function of language is primarily to change the social status of persons. The performative function can extend to the control of reality as on some magical or religious occasion.

语言的施为功能主要是为了改变人们的社会地位。施为功能可以延伸到在特殊的或宗教的场合中对于事件的支配。

e. g. It can be performed when people are having marriage ceremonies, sentencing criminals, blessing children, naming a ship at a launching ceremony, and cursing enemies.

④Emotive function 感情功能

The emotive function is one of the most powerful uses of language because it is so crucial in changing the emotional status of an audience for or against someone or something. It is similar to expressive function but the latter can be entirely personal and totally without any implication of communication to others.

感情功能用以改变听者赞成或反对某人、某物的态度。它与表达功能相似,但表达功能还包括自言自语。

e. g. A man may say "ouch!" after striking a fingernail with a hammer, or he may utter damn when realizing that he has forgotten an appointment.

⑤Phatic communion 寒暄功能

The phatic communion means people always use some small, seemingly meaningless expressions to maintain a comfortable relationship between people without any factual content.

寒暄功能是指人们使用短小又似乎没有特殊意义的表达方式来维持一种良好的人际关系。

e. g. *Good morning, God bless you, Nice day, etc.*

⑥ Recreational function 娱乐功能

The recreational function means that people use language for the sheer joy of using it.

娱乐功能指语言因为纯粹的乐趣而得到使用。

e. g. *A baby's babbling or a chanter's chanting.*

⑦ Metalingual function 元语言功能

The metalingual function means that people can use language to talk about itself.

元语言功能是指我们可以用语言来讨论语言本身。

e. g. We can use the word "book" to talk about a book, and we can also use the expression "the word book" to talk about the sign "b-o-o-k" itself.

1.6 What is linguistics? 什么是语言学?

Linguistics is the scientific study of language. It studies not just one language of any one community, but the language of all human beings. It is a scientific study, based on systematic investigation of linguistic data, and conducted with reference to some general theory of language structure. The four principles that make linguistics a science are exhaustiveness, consistency, economy and objectivity. As a science, linguistics now has a set of established theories, methods and sub-branches.

语言学是对语言的科学研究。其研究对象并不是某个团体所使用的语言,而是人类所有语言的共性。语言学是科学研究,因为它基于对大量语言材料的观察,这种观察是参考语言结构的基本理论而进行的。语言学研究必须遵循的科学原则:穷尽性、一致性、简洁性和客观性。作为一门科学,语言学现在已经建立了一套理论、方法和分支。

1.7 Main branches of microlinguistics 微观语言学的主要分支

1.7.1 Phonetics 语音学

Phonetics is the study of speech sounds, it includes three main areas: articulatory phonetics, acoustic phonetics, and auditory phonetics. To specify, it includes the production of speech, the sounds of speech, the description and classification of speech sounds, words and connected speech, etc.

语音学主要研究语音,它包含三个主要范畴:发音语音学、声学语音学和听觉语音学。具体地说,包括言语的产生、言语的声音、语音的描写和分类、词语和话语连接等。

1.7.2 Phonology 音系学

Phonology studies the rules governing the structure, distribution, and sequencing of speech sounds and the shape of syllables.

音系学研究支配语音分布和排列的规则以及音节的形式。

1.7.3 Morphology 形态学

Morphology studies the minimal units of meaning-morphemes and word-formation processes.

形态学研究意义的最小单位——词素以及构词过程。

1.7.4 Syntax 句法学

Syntax refers to the rules governing the way words are combined to form sentences in a language, or simply, the study of the formation of sentences. It identifies permissible sequences in a language and the relationships between elements in sentence structure.

句法学研究正确形成句子的规则,简单地讲,就是研究句子的形成。句法规则规定了句子中各词语顺序以及句中各成分之间的联系。

1.7.5 Semantics 语义学

Semantics examines how meaning is encoded in a language. It is not only concerned with meaning of words as lexical items, but also with levels of language below the word and above it.

语义学考查的是意义如何在语言中编码的。它关心的不仅仅是词汇层面词的意义,还有语言中词之上和词之下的其他成分的意义。

1.7.6 Pragmatics 语用学

Pragmatics is the study of meaning in context. It deals with particular utterances in particular situations and is especially concerned with the various ways in which the many social contexts of language can influence interpretation.

语用学在语境中研究意义。它是在特定的场景中处理特定的话语,尤其注重不同社会场景影响语言诠释的方法。

e. g. Pragmatics is the study of how language is used in real life. It is about practical language use. Examples of English pragmatics include saying “Could I have a cookie?” or “Those cookies look good” to express “Give me a cookie”.

1.8 Macrolinguistics 宏观语言学

Macrolinguistics is the study of language in all aspects, distinct from *microlinguistics*, which dealt solely with the formal aspect of language system. The branches of study which relate linguistics to the research of other areas are applied linguistics.