学校代码：10246
学　　号：000132

復旦大學

博 士 学 位 论 文

语言转述现象的认知研究

A Cognitive Study of Language Reports

院系(所)：外文系
专　　业：英语语言文学
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藏书章

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Acknowledgements

First and foremost, I am grateful to my academic supervisor. Professor Xiong Xueliang, for his untiring guidance and support through my three-year study as a ph.D candidate at Foreign Languages Department, Fudan University. He initiated me into the study of cognitive linguistics and his superior intelligence, enthusiasm in scientific research has great influence on me. I owe to him much of my understanding of cognitive linguistics and its implications for linguistic study. I have benefited a lot from the three courses he delivered: Theoretical Linguistics, Cognitive Linguistics and Linguistics: Theory and Practice. After I made the proposal, he generously spent time discussing with me the problems I was likely to confront and offering me a lot of valuable and constructive suggestions. He has influenced my work as much through personal help as through his printed works on cognitive linguistics. Without his constant encouragements, and penetrating comments on various versions of this work. this dissertation could never have been produced. Secondly, I owe my debt to Professor Qu Weiguo, Professor Chu Xiaoquan. for their insightful ideas on how to improve my research and constructive criticism about my first draft of this dissertation and their valuable advice on how to refine my ideas. I also owe a debt of gratitude to my friend, Dr. Sun Yu, in Shanghai Foreign Languages Education Press, for his helpful suggestions and examples, to friends too many to mention for many hours of discussion.

We wish to acknowledge the contribution of our interviewees in chat rooms online, who have responded to much of the problems encountered in the first stages of carrying out research, dispatched material to me. and provided accounts of their understanding of language reports. I cannot hope to have cited every work that has influenced my own, let alone to have acknowledged those who contributed to the development of this work in conversations. I single them out. but I thank all the people who have given me advices that I incorporated in my paper. Finally, I want to avail myself of this opportunity to extend my thanks to my family for suffering through the birth pangs of this paper. Special thanks go to my elder sister. for she

spares no efforts in assuming the filial piety to my mother for me. I hope they will regard the result as worth the effort.

The above part acknowledges some of the persons who shared in the preparation of this dissertation, but only I am solely responsible for the errors of both omission and commission.

Abstract

The initial research on language reports was restricted within the grammatical descriptions, which place emphasis on direct and indirect speech and the transformational relationship between them. In grammar books and language textbooks, there seems to be a general agreement that they refer to a clear linguistic category which needs little definition. However, the non-canonical use of language reports prove that such descriptions fail to provide a comprehensive explanation for this phenomenon. These years the emergence of stylistics, pragmatics and discourse analysis has given rise to some new developments in the study of language reports. In contrast to the traditional approaches which are constrained by their focus on the syntactic changes, recent researchers have increasingly turned their attention to the rhetoric and pragmatic functions of language reports. Among them are Leech and Short(1985), Coulmas (1985), Tannen (1989),Baynham (1996), Thompson (1996), 申丹（1991）徐赳赳（1996），辛斌（1998），李战子（2000）,贾中恒（2000）, et al. They all have made great contributions to the discussion of language reports, but there have been few explicit studies addressing the cognition-related aspects of these reports. Tannen explores the conversational functions of reported speech in oral communication. Baynham suggests us to study reported speech in a specific discourse or context. 申丹 is concerned with the different forms and their functions in literary works. 辛斌 makes a critical study of the discourse-pragmatic functions of reported speech in news reports, and investigates in what way the reporter uses it to convey his/her own point of view. 贾中恒 focuses his attention mainly on the pragmatic functions of reporting speech only. However, he points out in his paper that in specific context, reporting speech itself may evoke some of its potential speech act. It can be seen that he has already noticed some of the aspects related to human cognition in the process of language reporting. Theoretically, however, he fails to make a deep and detailed study on this phenomenon.

Based on previous research, the present paper is mainly intended to take as its

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subject the cognitive features involved in the use of language reports. To be specific, it explores further the nature of language reports and how the cognitive factors affect the production of language reports. For example, how human beings' perception, experience and their ways of observing the world affect the use of language reports? Particularly, other things being equal, how can we choose different reporting modes to express those nonlinguistic meanings? How the meaning of language reports is construed in human mind? All these questions need to be answered in the present study. It is argued that since language reports are shaped by the interplay of linguistic and non-linguistic factors, they can be best explained in a theoretical framework which represents a knowledge-for-use conception. A cognitive approach to language reports reveals that cognitive mechanisms are responsible for the meaning of reported language and can also account for the meaning structure of these linguistic expressions.

Our first task is to define the term 'language report' for the purpose of this dissertation. To overcome the inadequacies of previous approaches as reviewed in chapter 2, language reports are redefined from cognitive perspective in Chapter 3. They are identified according to whether another voice is evoked, whether by language schema or other knowledge structures. Following this idea, we define language reports as a particular form of discourse where the reporter intends to evoke another voice in the hearer/reader's mind, through language schema or other knowledge structures to achieve his communicative or extra-communicative goals in a given context.

Chapter 4 attempts to combine the insights of cognitive psychology, cognitive sciences and cognitive linguistics, and apply cognitive theories extensively to the study of language reports. It is not solely concerned with direct speech and indirect speech in the traditional sense; rather it moves towards the interplay between human cognition and linguistic representation of speech events which is based on the assumption that human cognition influences the use of language reports, and the latter reflects the former. The cognitive analysis of language reports shows that human cognition plays a vital role in the production and interpretation of language reports in

a text-based situation.

Chapter 5 is mainly intended to discuss implicit modes of reporting from the connectionist perspective, which is a new movement in cognitive science which aims to model the neural organization and processes of language and explain human intellectual abilities using artificial neural networks. In actual communication, as is shown in our data, language reports are not always signaled by linguistically explicit markers. Rather they are represented in a more implicit way. The implicit form of reported speech is a particular form of speech so often quoted, or, to borrow a connectionist term, "well-trained" that they have become detached from their sources. It is the oblique and entirely legitimate reference to a source, which is usually brief, appropriate to a situation, and belongs by more or less general agreement to a shared cultural tradition.

Chapter 6 explores various functions of language reports in situated discourse and the role they play in a variety of communicative contexts. The context in which language reports are used include the speaker's communicative intention, the speaker-hearer relationship, the extra-linguistic setting of the utterance, the linguistic setting of the utterance and other areas of background knowledge. In a specific contextual situation, language reports can be used to express evaluation, manipulate distance, indicate stance, create vividness and expressiveness, build solidarity or Alliances, suggest degrees of epistemic certainty, convey ridicule or irony, represent perspectives, express indirect speech act and recontextualize utterances, enhance persuasiveness, etc.

Chapter 7 chooses three longer texts as the object of analysis, which include academic discourse, news discourse and advertising discourse. We attempt to analyze how language reports are used in each of these discourses, e.g., in which case, for what reason, and in what modes language events are reported.

Chapter 8 includes conclusions of this dissertation and implications for further research. Emerging out of what is discussed in the above chapters are the following conclusions:

1) Any reported language represents another voice.
2) The language reports are shaped by the interplay of linguistic and nonlinguistic knowledge (e.g., metaphor, conventional knowledge, and psychological factors), and their meaning and meaning structure can be best accounted for in the framework of cognitive linguistics.
3) To judge whether a stretch of language is a report, we need to make references to three aspects: (1) the logical relationship between the reporting signal and reported message as realized through structural dependencies; (2) the nature and position of the signal itself, which construes how the report fits in with the surrounding texts and the broader context of situation; (3) cognitive mechanism related to language reporting.
4) To understand the nature of language reports requires not only language schemas, but also other knowledge structures.
5) Speakers/writers have available a wide range of ways in which they can choose to introduce language reports into their text. However, the choice of a specific reporting form is subject to their communicative goals.
6) Language reports can be used to perform different communicative functions in different situated discourses and situations of context.
7) The present study is of practical value for the correct use and understanding language reports in daily communication.

Finally, based on the results of the study in this dissertation, it is argued that the cognitive study of language reports has provided implications for further research into such areas as translation, language learning and teaching, bilingual communication.

Key words: language report; cognitive analysis; connectionism; function; discourse
Classification: H0H31

论文摘要

过去人们对语言转述现象的研究大多局限于对其进行语法描述，重点放在直接引语和间接引语的转换关系上。在语法书和语言教科书里语言转述一般被认为是一种不需定义的语言学现象。然而，语言转述的非典型用法证明这种描述方法过于简单，对包罗万象的转述行为难以给予全面而充分的解释。近年来随着文体论，语用论和谈话分析的兴起，有关转述语的研究也有了一些新的发展。与传统上只关注句法变化的研究方法不同，最近的研究者逐渐将他们的注意力转向转述语言的修辞和语用功能上。其中代表人物有Leech & Short(1985)，Coulmas(1985)，Tannen(1989)，Baynham(1996)，Thompson(1996)，申丹（1991）徐赳赳（1995），辛斌（1998），李战子（2000）贾中恒（2000）等。他们从不同的角度对转述语做了深入的讨论，但是目前鲜见有人运用认知理论全方位地对转述语进行专项研究，以探讨与此现象有关的认知方面的特征。Tannen 探讨的是口头会话中转述语的功能。Baynham 建议我们的研究应建立在具体的语篇和语境上。申丹研究的是文学作品中引语的表现形式及其功能。辛斌主要从批评语言学的角度分析了新闻报道中转述语的语篇语用功能和新闻语言结构背后隐藏的意识形态和社会权利关系，从中可以看出报道者是如何使用转述语言来传达自己的观点的。贾中恒关注的仅仅是对转述内容起着引导和介绍作用的转述导引语及其语用功能，但其中提出：引语本身……只要具备一定的语境因素，其潜在的某些言语行为就可能被激活。可见，他注意到了语言转述过程中与认知心理有关的方面，但他并没有从理论上做更加深入和细致的探讨。

语言交际实际过程实质是一种认知过程。我们完全有理由从认知角度重新考察和解释语言转述现象。本文的主要课题就是研究转述语使用过程中所涉及的有关认知方面的特征和规律。特别是探究语言转述的性质和认知因素是如何影响转述语言的生成和使用的。比如，人对世界的感知、经验、观察事物的方式是如何影响人们对转述语的使用的？特别是在同样符合语言规范的条件下人们该如何选择不同的转述语句来表达非客观的意义？转述语言的意义在大脑中究竟是怎样构建的？等等。

我们针对过去国内外研究中的对转述语认识的局限性（第二章），在第三章

我们尝试着从认知角度对“语言转述”这一术语进行了重新界定。本文把所有设计“另外一种声音” 的任何语段都视为语言转述。换言之，衡量某一语段是否是转述语主要考察它是否来自另一种声音，而这种声音可能由语言图式激活，也可能由其他知识结构激活。所以我们把转述语看成是一种特定形式的语篇，转述者想以人类大脑共有的知识结构在听者/读者大脑中激活另外一种声音，最终实现自己特定的交际意图。

第四章在结合认知心理学，认知科学和认知语言学的成果基础上运用认知理论对语言转述现象进行了广泛的研究。它不再局限于对直接引语和间接引语的研究，转向了人类认知和言语事件的再现形式的互动关系上。即人类的认知影响和制约着转述语言的使用和解释，后者反映前者。语料分析表明，语言转述行为是语言因素和非语言因素共同作用的结果，它们只有在语用知识的有关理论框架内才能得到有效而合理的解释。转述语言的意义及其意义结构可以通过认知机制来加以解释。

第五章主要运用认知科学中又一新的理论---连通理论对语言的隐型转述现象做出解释。连通理论是研究以人工神经网络（建立在模拟大脑神经元及其连接力度基础上）解释人的认知能力的新兴理论。在现实交际中，语言转述行为并非总是由传统认定的转述信号来表明的。相反，它们有时以某种模糊或隐蔽的方式而存在的。我们可以把类似隐型转述视为一种特殊的引述方式，由于经常被引用，或借用连通理论的术语，由于得到了良好的训练，所以一经提及，属于特定语言群体的人就会在自己的大脑中激活相应的表达。在这种情况下，转述内容的来源是间接指称的。隐型转述语通常是用于某一特定情景的较短语段，该文化所属成员早已形成默契，因此无需使用明显的转述信号。

第六章探讨语言转述的功能及其在不同交际语境下发挥的作用。语境包括说话人的交际意图，听说双方的关系，话语使用的语言和非语言场景，和其他有关的背景知识等。在特定的语境中，转述语可以用来表示人的评价，操纵距离，表明态度，加强表达力和亲和力，表达情态，传递嘲讽，表达间接言语行为和增强说服力等。

第七章选择三类若干较长的文本，包括学术语篇，新闻语篇和广告语篇，并分析其中转述语在不同语篇中的用法和特点，例如转述的场合，使用转述语的理

由和所选择的转述形式等。

第八章是全文总的结论，包括结论和启示。通过前面几章的讨论，我们可以归纳出如下结论：

1） 转述语段表征的是另外一个声音。

2） 语言转述是语言因素和非语言因素（如隐喻、常规知识和心理因素）的互相作用的结果。它们的意义及其意义结构均可以在认知语言学的理论框架中得到充分而有效的解释。

3） 判定某语段是否是在转述应依据以下三条：（1）转述信号和转述信息之间的逻辑关系在结构上是如何实现的；（2）信号本身的性质与位置；（3）与语言转述有关的认知机制。

4） 认识和理解语言转述的性质不仅需要语言图式，还需要其他知识结构。

5） 说者/作者可以以各种方式对语言事件进行转述，但转述形式的选择最终还是取决于其交际的目的。

6） 转述语在不同的语篇和交际场合中实施不同的交际功能。

7） 从认知的角度来探讨转述语从产生、使用到理解的过程可使我们更加清楚地了解转述现象的本质，对我们在日常交际中正确使用和理解转述语具有重要的现实意义和借鉴价值。

最后，在本文研究成果的基础上我们认为，语言转述的认知研究对英汉翻译，语言学习和教学，双语交际等均有重要的借鉴意义。

关键词：语言转述；认知分析；连通主义；功能；语篇

分类号：H0H31

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Chapter 1 Introduction

1.1. A survey of the existing studies on language reports

The review of literature shows that "reporting" is a vague and umbrella term which may cover reported thought and perception as well as reported speech. As a result, the terms such as "reporting", "reported speech", and "representation" are problematic especially where there has not been a prior speech event. The oldest reference of "reported speech" in linguistics may be traced to Ullmann (1957). Traditionally, the term "reporting" is often used to refer to one of the more specific categories (i.e. indirect forms as opposed to direct ones); while "report" tends to get used by the grammarians, who by and large use made-up examples and so the issue of accuracy of report never really arises. The term "presentation" used by Leech & Short (1981) and Short (1996) is considered more convenient than "reporting". Short, Semino, Culpeper (1996) have developed the Leech and Short model of categories of "reporting", and have found it necessary to talk about "speech, thought and writing presentation", as there are specific forms and functions associated with reports of written language. Their works prefer to stress the specificity of the different modes such as "thought presentation" (for thought events), "narration of internal states" (for cases of perception, emotion and other psychological processes and states). Thompson (1994) uses "reporting", and Janssen and Wurff (1996) (and many others) employ "reported speech". Other examples of the terms are "indirect discourse" (including "free indirect discourse") in romance language circles, "projection" (reports, ideas, facts) as a clause type discussed by Halliday (1994), "representation" (either through "resemblance" or interpretation of a speaker's opinions or thoughts) in Relevance Theory (Sperber & Wilson, 1986). Volosinov (1973) and Bakhtin (1981) treat language use as contextualized utterances which are polyphonic or dialogic in that different voices are incorporated. The CDA (critical discourse analysis, e.g. Fairclough, 1992) scholars use "representation" because they want to stress variations with respect to so-called "report" which they claim are there for unreasonable reasons

- strategies of discourse engineering etc.

Over the past years, analyses of verbal interaction have substantially broadened our understanding of language reports. Previous conceptualizations tended to view direct reported speech as the faithful reproduction of prior utterances in the context of conversational narrative-with "faithful" understood here as referring to both content and form. Recent analyses, however, have pointed to some of the complexities and ambiguities inherent in this form of speech, and to the displays of creative agency that it frequently involves. Thus we have moved from what Clark and Gerrig (1990) have termed the "verbatim assumption" towards a view of reported speech as "constructed dialogue," in Tannen's (1989) phrase---that is, a discursive resource that allows for intricate, strategic manipulations of voice in both narrative and non-narrative contexts (see also Alvarez-Caccamo, 1996; Baynham, 1996; Vincent and Perrin, 1999).

Chinese scholars have also attached great importance to the phenomenon of language reports. For example, 申丹（1991）investigates the different modes of speech reporting in Chinese novels from a stylistic perspective. 徐赳赳 (1996) emphasizes that the use of reported speech should be considered from the perspective of both rhetoric and our needs. 辛斌 explores how the reporter uses reported speech to convey his/her point of view in news reports. Their discussions offer some insights into the effects associated with the different reporting modes.

1.2. Research objectives of the present study

Many linguists have provided different explanations for the reporting phenomenon. It is clearly seen that the theory of language reports is still under construction. An effort is made in this paper to make some contributions to the establishment of a more complete and reasonable theory in this field. The current view is contrast to most traditional research in this field. My reason for choosing the cognitive approach for this analysis is that cognition is a study of the activities of our intellect. Language is part of our overall cognitive capacity. Because previous conceptions of language reports are inadequate, both in methodology and in topics of study and fail to take into account the cognitive aspects of language reports, the

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