

牛津
语言学入门丛书

丛书主编 H.G.Widdowson

Historical Linguistics

历史语言学

Herbert Schendl



上海外语教育出版社




牛津语言学入门丛书

丛书主编 H.G.Widdowson

Historical Linguistics

历史语言学

Herbert Schendl 著

上海外语教育出版社  外教社[®]

图书在版编目 (CIP) 数据

历史语言学=Historical Linguistics / (澳) 辛朵尔 (Schendl, H.) 编著. —上海: 上海外语教育出版社, 2003

(牛津语言学入门丛书)

ISBN 7-81080-659-9

I. 历… II. 辛… III. 语言学史—研究—英文 IV. H0-09

中国版本图书馆CIP数据核字 (2003) 第000570号

图字: 09-2002-382号

出版发行: **上海外语教育出版社**

(上海外国语大学内) 邮编: 200083

电 话: 021-65425300 (总机), 35051812 (发行部)

电子邮箱: bookinfo@sflep.com.cn

网 址: <http://www.sflep.com.cn> <http://www.sflep.com>

责任编辑: 李健儿

印 刷: 常熟市华顺印刷有限公司
经 销: 新华书店上海发行所
开 本: 850×1092 1/32 印张 4.625 字数 141千字
版 次: 2003年2月第1版 2003年2月第1次印刷
印 数: 5 000 册

书 号: ISBN 7-81080-659-9 / H · 260

定 价: 8.50 元

本版图书如有印装质量问题, 可向本社调换

出版前言

在语言研究方面不乏详尽权威的导论。但这些学术专论都趋于冗长且学术性太强,对初学者来说大有泰山压顶之势。于是,“牛津语言学入门丛书”,这套让人们循序渐进、轻松地掌握复杂概念的过渡性简明教程,就应运而生了。

人们在对语言的特定细节进行剖析之前,应该对语言整体有个大致的了解。作为供语言学研究方向的学生进行深入研究之前的热身阅读,这套丛书的主旨是为人们理解那些学术性强的语言学专著奠定理论基础。因为这套丛书浅显易懂,对那些感兴趣却并非专门从事语言研究的人进一步了解语言也大有裨益。

本套丛书采用了统一的结构模式,在“前言”之后,由“概述”、“阅读材料”、“参考书目”和“术语表”四个部分构成。第一部分概述是全书的主体,也是有关该领域研究的导论。第二部分提供与书中各章节内容相应的深入阅读的材料,其后所附的问题极具启发性,有助于读者形成对有关领域研究的独立见解。第三部分提供相应章节的参考书目,并对它们的主要内容作了点评,以便有兴趣的学习者深入学习。第四部分列出术语表,帮助初学者了解有关术语的定义。

《历史语言学》为本丛书之一,出版于2001年,是一部介绍历史语言学有关语言变化的研究方法和研究成果的导论性著作。作者H·辛朵尔(Herbert Schendl)是奥地利维也纳大学的英语语言学教授。

本书的主体(概述部分)分为八章。第一章简要论述了各历史时期人们对语言变化这一不可避免的事实的不同态

度以及当前历史语言学研究的目的是范围;第二章介绍历史语言学家如何采用比较重构等研究方法,根据现存的语料,对语言之间的关系及语言变化规律进行研究;第三、四、五章分别从语言系统的词汇、语法和语音三个层面讨论了语言演变的过程;第六章专门论述了语言变化的一个主要原因——不同语言之间的接触与交流,这一现象使不同语言相互影响,从而产生了借词,甚至出现了新的语言变体,如洋泾浜语与克里奥耳语,但也导致了一些语言的消亡;第七章探讨了语言变化的形式和原因,介绍了该研究领域中出现的主要观点;第八章论述了近年来历史语言学研究的最新发展,介绍了该领域研究中较为热门的课题。

本书对于历史语言学这门学科的介绍简明清晰,深入浅出,使读者对人类语言的形成与发展规律、各主要语言的亲缘关系、语言发展和语言所处的社会历史环境的关系等,有一个较为全面的认识,从而有助于我们更加深刻地认识人类本身及人类社会的发展史。

本套丛书的读者对象是英语专业高年级学生、语言学、应用语言学与相关专业研究生以及对相应领域感兴趣的人员。欢迎读者对我们的工作提出宝贵意见。

本社编辑部

2002年12月

Oxford Introductions to Language Study

Series Editor H.G. Widdowson

Contents

Preface

SECTION I
Survey

Language change

Attitudes to language

Language and society

The aims and scope of historical linguistics

1 Reconstructing the past

The data of historical linguistics

The written evidence

Sources of evidence

Comparing and reconstructing language

Correspondence

Laws of change

Internal reconstruction

2 Vocabulary change

Coining new words

Changes of meaning

Why do word meanings change?

3 Grammatical change

Morphological change

Syntactic change

4 Sound change

How sounds are changed

Phonetic change

Phonemic change

Historical Linguistics

Herbert Schendl

OXFORD
UNIVERSITY PRESS

OXFORD
UNIVERSITY PRESS

Great Clarendon Street, Oxford OX2 6DP

Oxford University Press is a department of the University of Oxford. It furthers the University's objective of excellence in research, scholarship, and education by publishing worldwide in

Oxford New York

Athens Auckland Bangkok Bogotá Buenos Aires
Calcutta Cape Town Chennai Dar es Salaam Delhi
Florence Hong Kong Istanbul Karachi Kuala Lumpur
Madrid Melbourne Mexico City Mumbai Nairobi Paris
São Paulo Shanghai Singapore Taipei Tokyo Toronto Warsaw

with associated companies in Berlin Ibadan

OXFORD and OXFORD ENGLISH are registered trade marks of Oxford University Press in the UK and in certain other countries

© Oxford University Press 2001

The moral rights of the author have been asserted

Database right Oxford University Press (maker)

First published 2001

No unauthorized photocopying

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, without the prior permission in writing of Oxford University Press, or as expressly permitted by law, or under terms agreed with the appropriate reprographics rights organization. Enquiries concerning reproduction outside the scope of the above should be sent to the ELT Rights Department, Oxford University Press, at the address above

You must not circulate this book in any other binding or cover and you must impose this same condition on any acquirer

ISBN 0 19 437238 3

Printed in Hong Kong

This edition of *Historical Linguistics*, originally published in 2001, is published by arrangement with Oxford University Press.

本书由牛津大学出版社授权上海外语教育出版社出版。

Preface

Purpose

What justification might there be for a series of introductions to language study? After all, linguistics is already well served with introductory texts: expositions and explanations which are comprehensive, authoritative, and excellent in their way. Generally speaking, however, their way is the essentially academic one of providing a detailed initiation into the discipline of linguistics, and they tend to be lengthy and technical: appropriately so, given their purpose. But they can be quite daunting to the novice. There is also a need for a more general and gradual introduction to language: transitional texts which will ease people into an understanding of complex ideas. This series of introductions is designed to serve this need.

Their purpose, therefore, is not to supplant but to support the more academically oriented introductions to linguistics: to prepare the conceptual ground. They are based on the belief that it is an advantage to have a broad map of the terrain sketched out before one considers its more specific features on a smaller scale, a general context in reference to which the detail makes sense. It is sometimes the case that students are introduced to detail without it being made clear what it is a detail *of*. Clearly, a general understanding of ideas is not sufficient: there needs to be closer scrutiny. But equally, close scrutiny can be myopic and meaningless unless it is related to the larger view. Indeed it can be said that the precondition of more particular enquiry is an awareness of what, in general, the particulars are about. This series is

designed to provide this large-scale view of different areas of language study. As such it can serve as preliminary to (and precondition for) the more specific and specialized enquiry which students of linguistics are required to undertake.

But the series is not only intended to be helpful to such students. There are many people who take an interest in language without being academically engaged in linguistics *per se*. Such people may recognize the importance of understanding language for their own lines of enquiry, or for their own practical purposes, or quite simply for making them aware of something which figures so centrally in their everyday lives. If linguistics has revealing and relevant things to say about language, this should presumably not be a privileged revelation, but one accessible to people other than linguists. These books have been so designed as to accommodate these broader interests too: they are meant to be introductions to language more generally as well as to linguistics as a discipline.

Design

The books in the series are all cut to the same basic pattern. There are four parts: Survey, Readings, References, and Glossary.

Survey

This is a summary overview of the main features of the area of language study concerned: its scope and principles of enquiry, its basic concerns and key concepts. These are expressed and explained in ways which are intended to make them as accessible as possible to people who have no prior knowledge or expertise in the subject. The Survey is written to be readable and is uncluttered by the customary scholarly references. In this sense, it is simple. But it is not simplistic. Lack of specialist expertise does not imply an inability to understand or evaluate ideas. Ignorance means lack of knowledge, not lack of intelligence. The Survey, therefore, is meant to be challenging. It draws a map of the subject area in such a way as to stimulate thought and to invite a critical participation in the exploration of ideas. This kind of conceptual cartography has its dangers of course: the selection of what is significant, and the manner of its representation, will not

be to the liking of everybody, particularly not, perhaps, to some of those inside the discipline. But these surveys are written in the belief that there must be an alternative to a technical account on the one hand, and an idiot's guide on the other if linguistics is to be made relevant to people in the wider world.

Readings

Some people will be content to read, and perhaps re-read, the summary Survey. Others will want to pursue the subject and so will use the Survey as the preliminary for more detailed study. The Readings provide the necessary transition. For here the reader is presented with texts extracted from the specialist literature. The purpose of these Readings is quite different from the Survey. It is to get readers to focus on the specifics of what is said, and how it is said, in these source texts. Questions are provided to further this purpose: they are designed to direct attention to points in each text, how they compare across texts, and how they deal with the issues discussed in the Survey. The idea is to give readers an initial familiarity with the more specialist idiom of the linguistics literature, where the issues might not be so readily accessible, and to encourage them into close critical reading.

References

One way of moving into more detailed study is through the Readings. Another is through the annotated References in the third section of each book. Here there is a selection of works (books and articles) for further reading. Accompanying comments indicate how these deal in more detail with the issues discussed in the different chapters of the Survey.

Glossary

Certain terms in the Survey appear in bold. These are terms used in a special or technical sense in the discipline. Their meanings are made clear in the discussion, but they are also explained in the Glossary at the end of each book. The Glossary is cross-referenced to the Survey, and therefore serves at the same time as an index. This enables readers to locate the term and what it signifies in the more general discussion, thereby, in effect, using the Survey as a summary work of reference.

Use

The series has been designed so as to be flexible in use. Each title is separate and self-contained, with only the basic format in common. The four sections of the format, as described here, can be drawn upon and combined in different ways, as required by the needs, or interests, of different readers. Some may be content with the Survey and the Glossary and may not want to follow up the suggested References. Some may not wish to venture into the Readings. Again, the Survey might be considered as appropriate preliminary reading for a course in applied linguistics or teacher education, and the Readings more appropriate for seminar discussion during the course. In short, the notion of an introduction will mean different things to different people, but in all cases the concern is to provide access to specialist knowledge and stimulate an awareness of its significance. This series as a whole has been designed to provide this access and promote this awareness in respect to different areas of language study.

H. G. WIDDOWSON

Author's acknowledgements

The fact that the *Oxford Introductions to Language Study* include a volume on historical linguistics bears witness to the fact that this time-honoured linguistic discipline has taken up a central place within the field again. This book tries to make the subject accessible to the uninitiated reader and to show how closely historical linguistics is linked to the other linguistic areas covered in the series. My thanks go to Oxford University Press and the series editor, H.G. Widdowson, for including this volume in the series.

Quite a number of people have provided me with valuable input and have helped to make this a better and more readable book.

First and foremost, I owe a very special debt of gratitude to H.G. Widdowson for his continuous support and invaluable advice through all the stages of my writing; he has made numerous proposals for improvement, both in regard to the overall

structure of the book and to countless details, and has painstakingly read through the various drafts of the manuscript.

The following friends and colleagues have read the whole or substantial parts of the manuscript in various stages and have made valuable suggestions: Clausdirk Pollner, Hans Platzer, Angelika Hirsch, Ute Smit, Barbara Seidlhofer, Gunther Kaltenböck. Nikolaus Ritt provided me with valuable information on neo-Darwinian evolutionary theory. My heartfelt thanks to all of them. I am much indebted to the people at Oxford University Press for all their support. Last, but not least, my special thanks go to my wife, who has not only read both the manuscript and the proofs, but has also been a constant source of encouragement.

HERBERT SCHENDL
London, October 2000

Contents

Preface	vii
SECTION I	1
Survey	
1 Language change as a matter of fact	3
Attitudes to language change	6
Language state and process	8
The aims and scope of historical linguistics	9
2 Reconstructing the past: data and evidence	11
The data of historical linguistics	11
The written evidence	12
Sources of evidence	14
Comparing and reconstructing languages	15
Correspondences between languages	17
Laws of change	20
Internal reconstruction	22
3 Vocabulary change	25
Coining new words	26
Changes of meaning	29
Why do word meanings change?	32
4 Grammatical change	35
Morphological change	35
Syntactic change	39
5 Sound change	45
How sounds are produced	45
Phonetic change	46
Phonemic change	50

6	Language contact	55
	Borrowing from other languages	55
	Convergence and linguistic areas	58
	Language birth: pidgins and creoles	59
	Language death	62
7	How and why do languages change?	67
	Functional explanations	68
	Psycholinguistic explanations: language acquisition	70
	Sociolinguistic explanations	71
	The origin and spread of changes	76
8	Postscript: further developments	81
	Socio-historical linguistics and historical pragmatics	81
	Evolutionary linguistics	82
	Standardization and language planning	83
	Conclusion	85
	SECTION 2	
	Readings	87
	SECTION 3	
	References	115
	SECTION 4	
	Glossary	123

SECTION I

Survey

of fact

All physical aspects of the universe and all aspects of human life are subject to change, and languages are no exception. Individual changes can be quite abrupt and obvious, as when new words make an appearance and become popular. Normally, however, language change is gradual, almost imperceptible, as with the slow alterations in pronunciation when one generation speaks slightly differently from another. Linguistic changes tend to be the result of two equivalent forms coexisting as variants for some time, and one giving way to the other. Two words, or two ways of pronouncing the same word, may coexist in the same speech community for some time, but may be used by different subgroups or on different occasions. However, for reasons to be discussed later, such variant forms may begin to compete, and finally one will dominate and the other decline.

Small linguistic changes may be evident in everyday experience, and people may notice (and sometimes disapprove) when words are used or pronounced in different ways; but language change is not so obvious on a large scale when we look at older texts of a particular language, and the further back we go in history, the more obvious the changes become. Here is an example of Old English, taken from the time of King Alfred the Great (late ninth century AD), for which a translation in modern English is given below:

(1) *Elfred kyning hæted gretan Wæferð biſceþ his wintun
iudice ond freondlice ond ðe syðra hæte, ðæt me com swið
oþt on gemynd, hwelece wiotan iu wæron giord Anwekynt
ægðer ge godcundres hada ge woruldacundra, eal þu
geostlicra nida ða wæron giord Angelcynn.*

SECTION I

Survey

1

Language change as a matter of fact

All physical aspects of the universe and all aspects of human life are subject to change, and languages are no exception. Individual changes can be quite abrupt and obvious, as when new words make an appearance and become popular. Normally, however, language change is gradual, almost imperceptible, as with the slow alterations in pronunciation when one generation speaks slightly differently from another. Linguistic changes tend to be the result of two equivalent forms coexisting as variants for some time, and one giving way to the other. Two words, for example, or two ways of pronouncing the same word, may coexist in the same speech community for some time, but may be used by different sub-groups or on different occasions. However, for reasons to be discussed later, such variant forms may begin to compete, and finally one will dominate and the other decline.

Small linguistic changes may be evident in everyday experience, and people may notice (and sometimes disapprove) when words are used or pronounced in different ways; but language change is most obvious on a large scale when we look at older texts of a particular language, and the further back we go in history, the more obvious the changes become. Here is an example of Old English, taken from the time of King Alfred the Great (late ninth century AD), for which a translation in modern English is given below:

- (1) *Ælfred kyning hateð gretan Wærferð biscep his wordum luflice ond freondlice ond ðe cyðan hate, ðæt me com swiðe oft on gemynd, hwelce wiotan iu wæron giond Angelcynn ægðer ge godcundra hada ge woruldcundra, ond hu gesæliglica tida ða wæron giond Angelcynn.*