



Cognitive Linguistics  
and Studies on Chinese



# 认知语言学 与汉语研究

廖光蓉 著

湖南师范大学出版社

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# 前 言

认知语言学在我国经历了引进、应用和发展三个阶段,现在仍然是语言学研究的一个热点。名以“认知语言学”的著作先后有 *An Introduction to Cognitive Linguistics* (F. Ungerer & H. J. Schmid, 1996)、*Cognitive Linguistics: An Introduction* (David Lee, 2001)、《认知语言学概论》(赵艳芳, 2001)、*Cognitive Linguistics* (William Croft & Alan Cruse, 2004)、*Cognitive Linguistics: An Introduction* (Vyvyan Evans & Melannie Green, 2006) 和 *Cognitive Linguistics: An Introduction* (Vyvyan Evans, 2016)。上述无论哪一部著作,其内容均较为繁复且艰深,研究对象明显印欧化,而我国读者最需要的是,建构一个承接之前的语言学流派理论、内部体系清晰、结构层次分明、理论要点突出、应用性强的知识系统,用以指导其研究,尤其是对汉语的研究。认知语言学是一个理论集合,故而首先分列出其子集,共 17 个专题;相应地,本书共辟有 17 章。每一章均设有读前问题、读中问题和读后研究实践;读前问题突出承上启下、知识之间的联系,读中问题突出挑战难点,纵向深入、横向拓展,读后研究实践突出巩固理论基础、掌握研究动态和发展理论应用的能力。每一章尽可能增加汉语语料,读后研究对象以汉语为主。本书力争理论介绍详略得当、体系性较强,应用本土化,且通俗易懂、可操作性强。

本书由五部分组成:第一部分简述认知语言学的语言观和研究承诺、语言的认知基础以及工作假设;第二部

分讨论概念化、概念和概念结构与范畴化和原型范畴理论；第三部分介绍知识结构理论，包括图式、认知模式、文化模式、概念域、百科知识网络、形式单位概念框架、心理空间和语境框架；第四部分介绍认知操作/机制/概念化理论，包括概念隐喻、概念转喻和概念合成；第五部分介绍形式与意义的研究范式，包括汤米的语法研究范式、兰盖克的认知语法、构式语法和语法化理论。每一章由三大板块组成：读前问题、主体板块（包括读中问题）和读后研究实践。本书另有三个附录：读前问题答案要点、读中问题答案要点和读后研究主要参考文献。读前/中问题一般只提供答案要点，旨在启发、激活读者的知识结构和给其提供复习巩固的机会；读后研究主要参考文献有学位论文、期刊论文和专著，旨在给读者提供思辨、批评的机会和确定方向、选题的引导。

本人对语言认知研究的理解有必要先提供在此，即针对语言现象，基于其所激活的知识结构，回溯其生成机制，也就是依靠知识结构中生成所需的必不可少的那部分，关联与顺应语境，追求可理解性、经济性等，范畴化、概念化经验对象。概念化时，可相对直陈，可类推，可隐喻、转喻或合成；概念隐喻时，需在特定的文化模式下进行联想、想象；概念转喻时，需突显与隐略；概念合成时，需概括抽象。同时探究语言形式结构与概念结构的对应。

语言认知研究的主要方法即内省/反思法也需在此先强调一下。内省法在认知语言学的发展中起核心作用，在研究可及性高的语言方面具有独特优势，有时甚至是唯一可行的方法。但建立在语言直觉之上的内省法有其固有的一些缺陷，需辅之以下三个方面：（一）注重揭示语言的本质、规律、功能；（二）注重结合自我、群体和文化；（三）综合运用其他新兴的研究方法：语料库研究法、多模态研究法、跨语言和历时分析法、心理实验法以及神经实验法。

本书的读者主要为语言学方向的研究生、语言教学和研究工作者翻译方向的研究生、翻译教学和研究工作者，文学方向的研究生、文学教学和研究工作者，等等。

廖光蓉

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# Part I Views, commitments, foundations and assumptions

This part provides a brief introduction to the following issues: cognitive linguistics' birth, definition, characteristics and branches, its views of language and research commitments, and its foundations and assumptions of language.

Cognitive linguistics originally emerged in the early 1970s out of dissatisfaction with formal linguistics. It is also firmly rooted in the emergence of modern cognitive science in the 1960s and 1970s, particularly in work relating to human categorization, and in earlier traditions such as Gestalt psychology. It is not a specific theory. Instead, it is an approach that has adopted a common set of guiding principles, assumptions and perspectives which have led to a diverse range of complementary, overlapping, and sometimes competing theories. It has two main branches: cognitive semantics and cognitive approaches to grammar.

The focus of this part is to make cognitive linguistics' views, commitments, foundations and assumptions better understood by setting this approach within a broader context and identifying how it develops from the previous approaches, such as transformational-generative grammar and systemic-functional grammar.

This part consists of two chapters: Chapter 1 Views and commitments and Chapter 2 Foundations and assumptions.

# Chapter 1

## Views and commitments

### Pre-reading questions:

- (1) What are the linguistic views and research commitments of traditional grammar, structural linguistics, transformational-generative grammar and systemic-functional grammar?
- (2) What are the subjective-objective experientialism's views of human thought?
- (3) What are the basic principles of human cognition?

This chapter briefly introduces cognitive linguistics' three views of language and two commitments of linguistic research.

### 1.1 Three views

Language view refers to how language is looked at or recognized from various aspects such as its nature, properties, characteristics, functions, formal structures, meaning structures, intralingual elements' interrelations, relations to extralingual elements. Cognitive linguistics has three views as follows: the experiential, the prominent, and the attentional, which are all from the extralinguistical perspective, and the first of which involves how formal and semantical structures are controlled, while the last two involve how the linguistic representation of a conceptual component/frame element and its position are determined.

#### 1.1.1 Experiential view

Experiential view is a view that formal and semantical structures are controlled by human experience, especially, that the basis of semantic meaning is the concepts of things or events, while the basis of concept is experience which also indirectly at least supports human conceptual knowledge structure being addressed later. Things are subdivided into the concrete and abstract (the abstract also covers relations), and events into

action, possession, existence and appearance, and state. Two examples are given here for the concrete thing and the action event. DOG<sup>①</sup> is a concrete thing concept, which has physical attributes, can be associated with bodily experience and be impressed by human beings. The attributes, such as animacy, independence, guard, etc. seem to reflect the way we become aware of or perceive the natural and social environment and interact with it. The wide and varied experience that we have of dog is also helpful when it comes to be identifying dog-like objects that we encounter for the first time, for instance, fire-dog(薪架)in Britain and 木狗子(旧时木制刑具的一种。装于犯人两腿间,使两腿不得自由伸缩离合) in China. The other is EAT action event. Its components such as agent, action, object/patient, purpose, time, place, process, result, means, instrument, etc. also seem to reflect the way we perceive the natural and social environment and interact with it. The experiential view of linguistic units provides a much richer and more natural description of their meanings. (Ungerer & Schmid, 1996:F37) Our shared experience of the objective world is stored in our everyday life and can thus be gleaned from the way we express our ideas. One's experience may influence his construal of the semantic meanings of linguistic units, and it may also control the generation of his utterance. Consider the following example:

(1) 鸡不撒尿,各有一便吗。(2012-02-04,22:21:27 新浪博客)

As for (1), a folkloric saying, without the experience or knowledge structure that “鸡无肾。肾是脊椎动物的一种器官,属于泌尿系统的一部分,负责过滤血液中的杂质、维持体液和电解质的平衡,最后产生尿液经由后续管道排出体外。人大小便即排泄体内废物其实是不方便”<sup>②</sup>(百度百科) it could not have been produced.

### 1.1.2 Prominent view

Prominent view is a view that the unconsciously or consciously noticed component of an entity (including event and the abstract thing) occupies a position or a prominent position by the degree of its prominence in the

① The capitalized linguistic unit in English indicates concept in this book.

② The Song typeface in Chinese with double quotation marks indicates concept/proposition in this book, but not excluding its other functions.

linguistic representation. (Ungerer & Schmid, 1996: F38) Put differently, in the linguistic representation of an entity, there are always the prominence and hiding of its components. This is why the conceptual knowledge structure and linguistic structure are seldom correspondent. Consider the following examples:

(2) Linguistic representations of the concept “做食物用的小而嫩的鸡”

① 小鸡

② 笋鸡

(3) Linguistic representation of the concept “身上有淡黄色绒毛的小鸡”: 鸡黄

In (2) ①, only the definite component “年纪小”, which is unconsciously noticed, is prominent, while the others are hidden. In (2) ②, only the definite component “嫩”, which is consciously noticed, is prominent, while the others are hidden. Here the unit 笋<sup>①</sup> is a metonymy, the possessor “笋” for the possession “嫩”, one of the characteristics of the possessor. In (3), only the one definite component “黄色”, which is consciously noticed, is prominent and represented as the central element (which could also be unconsciously noticed if not represented as the central element), while the central component “鸡” is represented as a definite element of “黄”, and the other definite component is hidden. The prominence and hiding of the components in the linguistic representation of an entity conforms to the principle of economy and therefore controls linguistic structure.

### 1.1.3 Attentional view

Attentional view is a view that in human experiences, some components of entities are noticed unconsciously, while some are noticed consciously from a certain special angle, and the results of both are prominence. So roughly there are two types of human attention, one is objective, attributing to components of the entity themselves, and the other is subjective, owing to one's preference, familiarity or emphasis. The subjectively-noticed is always prominent in the linguistic representation, and always has the functional meaning. Consider the instance below:

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① The underlined Song typeface in Chinese and Japanese indicates linguistic unit/form in this book.