



中国石油大学（北京）学术专著系列

A Cognitive Approach to
Discourse Perspective Representation
—Reference as Perspective Marker in Stream-of-consciousness Discourse

语篇视角语言表征 的认知研究

——指称在意识流语篇中的视角标记作用

赵秀凤 著



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丛书序

大学是以追求和传播真理为目的,并为社会文明进步和人类素质提高产生重要影响力和推动力的教育机构和学术组织。1953年,为适应国民经济和石油工业发展需求,北京石油学院在清华大学石油系并吸收北京大学、天津大学等院校力量的基础上创立,成为新中国第一所石油高等院校。1960年成为全国重点大学。历经1969年迁校山东改称华东石油学院,1981年又在北京办学,数次搬迁,几易其名。在半个多世纪的历史征程中,几代“石大”人秉承追求真理、实事求是的科学精神,在曲折中奋进,在奋进中实现了一次次跨越。目前,学校已成为石油特色鲜明、以工为主、多学科协调发展的“211工程”建设的全国重点大学。2006年12月,学校进入“国家优势学科创新平台”高校行列。

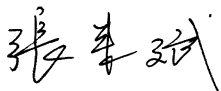
学校在发展历程中,有着深厚的学术记忆。学术记忆是一种历史的责任,也是人类科学技术发展的坐标。许多专家学者把智慧的涓涓细流,汇聚到人类学术发展的历史长河之中。据学校的史料记载:1953年建校之初,在专业课中有90%的课程采用前苏联等国的教材和学术研究成果。广大教师不断消化吸收国外先进技术,并深入石油厂矿进行学术探索。到1956年,编辑整理出学术研究成果和教学用书65种。1956年4月,北京石油学院第一次科学报告会成功召开,活跃了全院的学术气氛。1957~1966年,由于受到全国形势的影响,学校的学术研究在曲折中前进。然而许多教师继续深入石油生产第一线,进行技术革新和科学研究。到1964年,学院的科研条件逐渐改善,学术研究成果以及译著得到出版。党的十一届三中全会之后,科学研究被提到应有的中心位置,学术交流活动也日趋活跃,同时社会科学研究成果也在逐年增多。自1986年,学校设立科研基金,学术探索的氛围更加浓厚。学校始终以国家战略需求为使命。进入“十一五”之后,学校科学研究继续走“产学研相结合”的道路,尤其重视基础和应用基础研究。“十五”以来学校的科研实力和学术水平明显提高,成为石油与石化工业的应用基础理论研究和超前储备技术研究以及科技信息和学术交流的主要基地。

在追溯学校学术记忆的过程中,我们感受到了“石大”学者的学术风采。“石大”学者不但传道授业解惑,而且以人类进步和民族复兴为己任,做经济时、关乎国家发展的大学问,写心存天下、裨益民生的大文章。在半个世纪的发展历程中,“石大”学者历经磨难、不言放弃,发扬了石油人“实事求是、艰苦奋斗”的优良传统,创造了不凡的学术成就。

学术事业的发展犹如长江大河，前浪后浪，滔滔不绝；又如薪火传承，代代相继，火焰愈盛。后人做学问，总要了解前人已经做过的工作，继承前人的成就和经验，在此基础上继续前进。为了更好地反映学校科研与学术水平，凸显石油科技特色，弘扬科学精神，积淀学术财富，学校从2007年开始，建立“中国石油大学(北京)学术专著出版基金”，专款资助教师们以科学研究成果为基础的优秀学术专著的出版，形成《中国石油大学(北京)学术专著系列》丛书。受学校资助出版的第一部专著，均经过初审评议、校外同行评议、校学术委员会评审等程序，确保所出版专著的学术水平和学术价值。学术专著的出版覆盖学校所有的研究领域。可以说，学术专著的出版为科学研究的先行者提供了积淀、总结科学发现的平台，也为科学研究的后来者提供了传承科学成果和学术思想的重要文字载体。

“石大”一代代优秀的专家学者，在人类学术事业发展，尤其是石油石化科学技术的发展中确立了一个个坐标，并且在不断产生着引领学术前沿的新军，他们形成了一道道亮丽的风景线。“莫道桑榆晚，为霞尚满天”。我们期待着更多优秀的学术著作，在园丁们灯下伏案或电脑键盘的敲击声中诞生，展现在我们眼前的一定是“石大”寥廓辽远、星光灿烂的学术天地。

祝愿这套专著系列伴随新世纪的脚步，不断迈向新的高度！

中国石油大学(北京)校长 

2008年3月31日

序

本书作者赵秀凤博士是中国石油大学(北京)外语系教授。2003年考入北京师范大学外文学院攻读博士学位。在同届同学中,秀凤有一些独特的优势。她本科和硕士阶段的学习是在山东大学完成的。本科成绩优秀,通过保研免试攻读硕士学位,她英语语言基本功熟练、专业知识扎实。到大学任职后,又有机会去国外进修,对研究生如何学习和研究有较多的经验。读博前,她已发表多篇文章,具备较强的学术研究能力。她在科研期间,认真刻苦,十分投入,进展比较顺利,完成并发表学术论文9篇。她的博士论文和论文答辩曾受到匿名评审专家和答辩委员的一致好评。今天,她又有机会将自己所做的研究系统地呈现给读者。作为她在北师大攻读博士学位期间的指导教师,我感到非常高兴。也向她表示衷心的祝贺。

作者的研究方向是语篇分析,主要探讨“语篇视角语言表达的认知研究:指称作为意识流语篇的视角标记”。视角研究一直是叙事学研究、文学语篇分析和文学批评领域中的重要研究课题。在这些领域中,视角被视为重要的叙事手段,研究人员通过分析叙事视角探讨叙述者对聚焦人物的控制和干预方式。在该书中,“语篇视角”是一个狭义的概念,指叙事语篇中所嵌入的人物视角,即语篇中人物的立场、观点、态度和评价。作者的研究从认知语言学理论的角度出发,以Langacker的“话语场景”和Fauconnier的“空间理论”为依据,运用语篇分析和文体学的研究成果,大胆构建了“以话语场景为基础的认知构建模式”(简称为“话语场景模式”),并用它来揭示虚构叙事语篇中语篇视角的构建方式与其常规化语言表达式之间的关系。该研究精选英语意识流小说语料为例证,对所提出的模式进行了很有说服力的演示和验证。该研究提出的认知构建模式融语篇视角的功能动因和认知操作于一体,对多种视角化现象具有较强的阐释力。

从研究成果看,本书作者对语篇视角的探索有以下三个比较突出的亮点。

首先,该研究选题和切入点有独到之处。以往研究对叙事语篇中体现人物视角的分析多集中在对语言形式的探究;或语言表达形式在句法结构上的差异;以及不同语言体现形式的文体效应。近20年来,随着叙事学研究和语篇分析研究的深入,语篇视角这一概念受到越来越多人的关注。有关语篇视角的研究也成为比较热门的研究课题,有不少研究人员探究语篇视角与语篇衔接、语篇视角与人际意义、语篇视角与文

体风格和语篇视角与跨文化翻译等方面的课题。也有学者从认知语言学角度探讨语篇视角,认为体现他人言语和思想的语言形式不是句法转换而来,而是说话人根据语境、交际目的等因素进行“图式化”认知构建的结果。如何在诸多研究的基础上有所创新?经过大量阅读和研究,作者发现,以往研究对具体的认知构建过程和认知机制缺乏系统的研究,对很多语言体现方式没有给予系统的语言学阐释。这正是作者研究的主题,也是她在语篇视角研究方面拓宽领域的一个创新。

其次,作者在语篇视角研究方法方面所作出了贡献。作者对语篇视角的研究是解释性的探究。解释性研究的亮点是:理论要有创新;其解释力、概括力要强;理论框架要简洁、易懂、便于操作。作者以言语场景为核心的认知构建模式紧扣“默认场景”和“替代场景”在语篇构建过程中的交互作用,以人称、时间、地点、认知立场(水平)四个语篇视角参数为分析维度,以指称形式为切入口,以意识流语篇为典型语类,清楚有力地揭示了语篇视角在叙事语篇生产与交流过程中的功能动因和认知操作规律,并具体演示了作者所建立的模式如何解释指称形式在意识流语篇中的视角标识作用;系统归纳了视角化程度较高的语篇中指称语的规律性特征。作者整体研究思路清楚,有独到见解,分析模式可操作性强,演示例证丰富,是解释性研究的一个范例。

另外值得指出的是,作者的研究成果对英语语言文学的教学有很强的指导意义,特别是对英语文学教学有帮助:有利于提高学生对视角频繁转换的叙事语篇(如意识流作品)的解读和赏析能力,培养相应的阅读策略;有利于帮助学生了解语篇视角化的认知构建过程,减少因语篇视角转换给学生阅读带来的困难,并降低语篇解读的难度,加深对语篇主题意义的理解;具有很强的应用价值。这正是该学术研究的发展方向。

科研攻关是一个艰苦的拼搏过程,需要时间、情感和精力的巨大付出。从2003年到2006年,秀凤克服了工作和家庭中的种种困难,一方面细心研读语篇分析、叙事学以及认知语言学理论知识,一方面阅读大量意识流文学作品,广泛收集语料,进行分析演示和验证。她治学态度认真,也吃得起苦,取得了非常优秀的成绩。她博士研究生毕业后,除了教学工作外,还承担了教学管理工作的领导责任。借她的新书出版之际,我希望她能够把握好科研、教学和行政之间的平衡关系,并以这本专著为出发点,逐步拓展,精益求精,进一步推进语篇视角的认知研究,在语篇分析的跨学科研究领域作出新的贡献。

田贵森

2008年9月18日

于北京师范大学京师园

自序

视角被视为重要的叙事手段，一直是叙事学研究、文学语篇分析和文学批评领域的重要研究课题。在这些领域，研究人员通过分析叙事视角探讨叙述者对聚焦人物的控制和干预方式。在本书中，“语篇视角”是一个狭义概念，指叙事语篇中所嵌入的人物视角，即人物的立场、观点、态度、评价等主观性因素，语言表达的信息的真实性由人物承担。本书把语篇视角纳入语言学研究范畴，利用认知语言学的研究成果，结合语篇分析、叙事学和文体学的相关理论，深入探讨语篇视角的语言表征及其背后的认知运作过程。

本书所探讨的主要问题包括：(1) 在虚构叙事语篇中语篇视角是如何构建的？经过哪些可及路径？(2) 在一定的语篇语境中，某一路径的选择受什么因素的推动和制约？即认知操作的动因何在？(3) 认知操作的典型语言体现形式有哪些？有什么常规化的(conventionalized)结构模式？其背后的认知操作是什么？为解答这些问题，本书以Langacker的“话语场景”和Fauconnier的“心理空间理论”为依据，结合虚构叙事语篇的语类特点，提出一个以话语场景为基础的认知构建模式，以流程图的方式把功能动因、认知操作过程、典型语言体现手段、常规化结构模式整合成一个完整的构建体系；然后，以指称为视角标识语，运用真实语料，对所建立的模式进行验证，验证该模式的可行性和实用性。

认知构建模式的核心是“默认场景”(default ground)和“替代场景”(surrogate ground)在语篇构建过程中的交互作用。“话语场景”是一个多维指示场，包含四个语篇视角参数：人称、时间、地点、认知立场(水平)。在虚构叙事语篇中，叙述者的叙事情景是“默认场景”，人物在故事内的体验情景构成潜在的“替代场景”，这两个场景在四个维度上的动态组合(统称为“场景构形”ground configuration)是导致语篇视角语言体现形式多样化的关键所在。场景构形的动态变化直接体现在一些典型的语言手段上，如指称、时体、情态、语气、指示等。本书集中选取指称形式为切入点，对所建立的认知构建模式进行阐述。对同一实体，不同的视角主体会有不同的识解方式，用不同的编码形式去指称。因此，通过指称形式可以识别视角主体。

语篇视角的表达方式与语篇体裁的特征有关，本书选择意识流语篇为典型语类，考察指称在该类语篇中的视角标识作用。通过对不同构形操作下的指称形式进行分

析,总结归纳视角化程度较高的语篇中指称语的规律。通过分析指称形式在长语篇中的分布特征,发现标记性指称形式,并利用提出的认知构建模式加以阐释,能够从宏观上把握语篇视角的动态变化轨迹,区别叙事语段和视角化语段。

本书共分7章,主要包括研究背景、模式建构和实证分析几部分内容。其中4、5、6章为实证分析,占据了全书三分之二的篇幅。通过分析指称形式与场景构形建构之间的关系,本书得出结论:语篇视角的语言表征不是语法形式转换的结果,而是语篇生产者动态调节场景参数在语言形式上的体现;同时本研究指出,语篇视角是一个程度概念,叙述者参数和人物参数的消长组合导致语篇视角化等级的变化。

本书立足于语篇,结合认知语言学理论和叙事语篇的语类特征,对语篇视角化的不同语言表征提出一个统一的理论阐释,扩大了研究范畴,加深了对这一现象的理解。本书的认知语言学研究视角对文学教学具有指导意义,有利于提高对复杂叙事语篇(如意识流)语篇的解读和赏析能力,培养相应的阅读策略。这一以认知语言学为理论框架的叙事语篇视角研究反映了作者近几年的学术研究兴趣,希望能为文学研究和语言学研究的借鉴和融合作出一点贡献。

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赵秀凤
2009年3月

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Introduction

1.1 Discourse perspective

Perspective initially refers to the standpoint in perceiving, one of the basic properties of visual perception. The perceptual standpoint in relation to the object perceived directly affects the resultant perception, so perspective as the perceiver's position in space or time is indispensable for the construal of first-order entities. Out of such perceptual experience, perspective is employed as a synonymous term for "point of view" in speaking and writing. The notion is used to highlight a speaker's subjective stance towards the entities in his utterance, as one and same entity can be viewed, evaluated or construed from more than one viewpoint. As stated by Ensink & Sauer, for something to be represented (in communication, or in texts) it implied a point of view from which it is represented (2003: 9). Strictly speaking, perspective is a ubiquitous phenomenon as few can speak or write without taking a certain vantage point, which affects a speaker/writer's choice of language forms at all levels.

Being aware of its important role in language production and comprehension, many linguists employ the notion "perspective" to investigate diverse language phenomena. For example, it is used by Caenepeel (1989) in relation to aspect, Clark (1990) in language acquisition and Cornelis (1997) in passive structure, to name but a few. Irrespective of the diversity in the precise sense of perspective, the studies on perspective effect on language performance demonstrate that perspective is thoroughly pervasive in language.

So far, a series of linguistic studies have been conducted on the relation between perspective and language forms at different levels. First of all, perspective is considered as a syntactic notion; syntactic perspective is found to directly affect the choice of verb and grammatical subject (Siewierska 1991). For example, the

verb *buy* would be used to describe a commercial event when the speaker is empathically identified with the buyer. With respect to lexical choice and grammatical structure, Kuno's empathy perspective study (Kuno 1987) is systematic and comprehensive. He defines empathy as "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" (1987: 206). He employs an analogous term "angle of camera" to illustrate the empathic variation in different grammatical structures and particular choice of lexical encoding. For example:

[1.1] Mary's husband needs her only when he is hungry.

(Kuno 1987: 209)

The speaker of [1.1] expresses more empathy with Mary than with her husband by referring to the wife with an independent pronoun *her* and a proper name *Mary* and to the husband with a dependent description *Mary's husband*. In this way, Mary is treated as a person while the husband is treated as the role of a husband.

Besides empathy, more general aspects of perspective have been studied with a view of deictic center, as any description of an event, activity, process, or state implies a deictic center involving time, space and person. So various temporal, spatial and personal deictic expressions and even some verbs of motion like *come*, *go*, *borrow*, *lend*, *give*, *take* are taken as perspective markers signaling deictic anchoring (Fillmore 1982).

In cognitive linguistics, perspective is taken as an essential cognitive operational mechanism in construing for conceptualization, though an array of related terms¹ have been employed. Typically, in Cognitive Grammar, Langacker (1987: 122-26) associates the idea of perspective with two interconnected and inseparable aspects: vantage point—the viewpoint from which something is represented, and orientation—the resulting specific representation of objects once a particular vantage point is taken. Langacker uses vantage point as a metaphorical specification of a more general concept of reference point: the conception of one entity for purpose of establishing mental contact with another (1993: 1). Perspective, as a basic cognitive mechanism for conceptual construal, is employed to explain a variety of grammatical structures in Cognitive Grammar, mostly at the clause level.

¹ Somewhat similar and overlapped terms are *point of view*, *viewpoint*, *reference point*, *starting point*, *empathy*, *attention*, *subjectivity*, etc. Langacker's viewing arrangement, reference point, window of attention, Talmy's imaging system, fictive motion and Lakoff & Johnson's conceptual metaphor all highly value the role of perspective.

Beyond the above-mentioned lexical and syntactical studies, at the discourse level, perspective has been applied to describe a wide range of discourse phenomena. In this regard, literary studies of narrative perspective, or narrative “point of view”, a term more commonly adopted, are the early attempts. Despite its frequent occurrences in literary criticism, “point of view” is far from unambiguously defined. It is variously employed to refer to vantage point from which a story is told or the narrator’s ideological position in making judgments or evaluations. Diverse notions such as perceptual, conceptual and psychological point of view in different planes are often talked about under the term narrative “point of view” (Fowler 1986; Simpson 1993; Lanser 1981). On account of the elusiveness of the term, Genette (1980) the structural narratologist distinguished between “who speaks” and “who sees”, and he coined a new term “focalization” exclusively referring to the focalizer’s perception at story level. Regardless of such definitional ambiguity of the notion, literary scholars share one aim in common in examining point of view in narrative discourse: measuring narrative distance or narrative control over the story. Generally, they are more interested in writing techniques or thematic implications than in language performance.

In view of the elusiveness of the notion of “perspective” in various disciplines, clarification of the term adopted in the present study is believed a prerequisite. Basically, we follow Cognitive Grammar in defining “perspective” as a vantage point in construing during the process of speaking and writing. And we are also concerned with the interrelations between “vantage point” and resultant conceptualization (i.e. orientation). However, we differ from the practices in Cognitive Grammar (CG) in many aspects. In CG, perspective is primarily used to explain structures at the sentence level. Langacker’s work largely examines data comprising individual sentences. Although suggestive for discourse² analysis, it provides only a broad indication of how perspective shift affects discourse management (Langacker 2001). The present study will make full use of the cognitive sense of perspective as a mechanism of construal to conduct discourse analysis. Specifically, we attempt to integrate discourse elements with cognitive operations into a unified framework by investigating perspective’s effect on language performance, particularly on reference choice. And we will use narrative fiction as our primary data for theoretical exploration. However, perspective in narrative discourse is far

² “Discourse” is used interchangeably with “text” in this thesis, to refer to a stretch of language occurring at super-sentential levels. However, “discourse” is preferred, predominantly used on account of its dynamic connotation.

broader and more complicated than syntactical perspective. So the present study, following Sanders & Redeker (1993: 69), narrowly defines “discourse perspective” as “*the introduction of a subjective viewpoint that restricts the validity of the presented information to a particular person in the discourse*”. In other words, discourse perspective in narrative discourse is the character’s subjective vision embedded in the narrator’s discourse reality. This definition is close to the narratological concept of “focalization” that is defined as subjective vision distinct from narration (Genette 1980; Bal 1985). “Subjective” means the vision, perception or conception bound to a subject, specifically, to character in the fictional story world rather than to the narrator. In this line of thinking, the narrator’s and character’s subjectivity³ should, at least theoretically, be distinguished in narrative fiction, hence the painstaking efforts made by literary scholars for categorical distinction (Chatman 1978, 1986; Genette 1980; Bal 1984, 1985, etc.). But there is no easy way to handle them without resorting to systematic linguistic theories.

The present study will take cognitive linguistics as its primary theoretical framework combined with other cognitively oriented studies like cognitive discourse analysis (e.g. Emmott 1994, 1997b, 1999), cognitive narratology (e.g. Fludernik 1993) and cognitive stylistics (e.g. Stockwell 2002; Semino & Culpeper 2003) for explorations of the desired distinctions on the basis of language performance, in particular on reference performance in discourse. The major goal is whose vision is represented where and how.

1.2 Discourse perspective representation

Discourse perspective as embedded subjective vision in discourse is an embracing notion, as in terms of experience per se, subjective vision is embodied in diverse types of mental experience such as speech, thought, perception, sensation,

3 The notion of subjectivity is widely used under distinct labels and in diverse context (Shen [沈] 2001). However, in linguistics, it is generally defined in terms of the role the speaker plays in linguistic production. Finnegan defines it as “...expression of self and the representation of a speaker’s point of view in discourse—what has been called a *speaker’s imprint*” (1995: 1). In Langacker’s *Cognitive Grammar*, subjectivity is described as pertaining “to the observer’s role in viewing situations where observer/observed asymmetry is maximized” (1985: 107). The more involved a conceptualiser is in conceptualizing as offstage subject, the more subjective the conceptualization is. This cognitive view of subjectivity is in consistence with the above-mentioned general sense: the involvement of a subject in a discourse. In this dissertation, such a cognitive view is adopted. One point worthy of mention is that subjectivity in language is not simply about representing the speaker’s imprint; rather it is about the representation of some designated experiencer’s imprint, which may or may not coincide with the identity of the speaker. What we are most concerned with is the linguistic representation of character’s subjectivity, called by Mushin (2001: 11) “displaced subjectivity”.

emotion and so on. The study of discourse perspective representation (DPR) is concerned with the linguistic ways to represent a character's mental experience in discourse. But so far only speech and thought, the high-leveled mental activities, have received extensive attention in multiple disciplines, while others, which are more implicit, are largely ignored and assumed to be marginal. The present study is meant to close this gap by broadening the scope of traditional speech and thought representation⁴ (abbreviated as STR). Initially, grammatical rules concerning various forms of STR, particularly direct and indirect speech and thought, are taught within the paradigm of prescriptive grammar within which all the other forms are assumed grammatically transformed from the original direct speech. Traditionally, a tripartite model including direct, indirect, and free indirect speech/thought was proposed on the basis of grammatical criteria. Unsatisfied with the sentence-based mechanical transformation practice in prescriptive grammar, many scholars turn to investigate diverse STR performances at the discourse level, such as Fowler (1986), Leech and Short (1981), Fludernik (1993), to name only a few. These studies mostly developed within the literary realm claim that syntactic criteria are not always criterial for STR renderings, and that semantic/functional/pragmatic considerations can sometimes override syntactic criteria (Semino et al 1997: 36). Accordingly, a scale model is proposed to cover more speech and thought representation categories by advocating that STR is a continuum. This is an obvious improvement over the former tripartite one for its inclusiveness and semantic orientation. And yet again these studies are predominantly preoccupied with explicitly marked speech and thought, leaving aside those implicit ones less explored.

The study by Leech and Short (1981) casts new light on categorizing STR on the basis of explicit linguistic categories; for instance, the past tense and third person pronoun are assumed to be indicators of free indirect speech. However, their study is more descriptive than explanatory, leaving why those linguistic forms suggest free indirect reading intact. And their primary concern is the stylistic effects of diverse forms of speech and thought representations interre-

⁴ An array of terms often interchangeably used in literature: *presentation*, *representation*, *report*. Somewhat overlapped, and yet the three terms emphasize different aspects of what is involved. Report is more concerned with the matches or faithfulness between anterior discourse and a posterior one, so report is mainly used to deal with non-fictional discourses, while representation emphasizes the nature of re-production, i.e. a re-presentation of others' speech and thought, as argued by Fairclough (1982) even in the case of direct speech or free direct speech, the reporting of speech is a re-presentation, because the writer can choose "what parts of the speech reported to include, in what order, and within what discorsal matrix"(quoted Short 1991: 77). To be in the same line with this re-production view, this dissertation prefers the term *representation* to other terms.

lated to “mind styles”.

Irrespective of the linguistic orientations underlying those aforementioned studies within the literary realm, a purely linguistic study based on systematic linguistic theories is conducted by Banfield (1982), who initiates a brand-new start to bring the study of STR into the linguistic paradigm. Her linguistic analysis over free indirect discourse, in her words, “represented speech and thought,” deepens the understanding of the subtle phenomenon. However, she sets her foot in rigorous transformational grammar, and proposes a series of rules to explain the linguistic organization. Her strict formalistic approach fails to provide accounts for many data in authentic discourse.

In view of these previous studies, the present research proposes that new vigor be injected into the traditional study of STR to overcome the limitations of descriptive inadequacy and provide a unified account for *how* rather than *what*. Specifically, representations of other types of mental activities reflecting character’s subjective vision should be integrated into the scope, as in literary discourse, character’s implicit perceptions also comprise a large portion of subjective vision, besides explicitly marked speech and thought. On this account, a more embracing term “discourse perspective representation” is adopted to substitute the conventional “speech and thought representation”. Moreover, attention should be diverted from exhaustive descriptions about the linguistic criteria for categorizations to explanatory analysis over the constructional nature and processes in discourse. In this fashion, a unified theoretical explanation is likely to work out and provide an account for various manners of linguistic representations of subjective vision in narrative discourse. However, constructed DPR is explicitly manifested by miscellaneous linguistic elements, such as reference, tense, mood and modality, deixis and syntactic structures as well; cognitive analysis over all of them would be overwhelmingly overloaded for a single research, so it is preferable to single out one of them for illustration. Finally, analytical study over the construction of DPR in authentic discourse would be impossible to carry out without taking text types into consideration. This point has been well confirmed by empirical researches (e.g. Sanders 1994, 1996; Short 1991, 1997, 2002), according to which the choice of representational mode has much to do with text genre⁵.

For instance, Sanders’ studies (1994) of various perspectivization phenomena in two narrative genres—news reports and biblical narratives—reveal that biblical narratives show many but only simple cases (direct mode) of perspectivization

5 In the thesis, genre roughly equals to text (discourse) types.

compared to oral stories and fictional narratives, whereas in news reports, highly subjective perspective types such as direct and free indirect mode are in contrast with the objective/informative function of this text genre. Similarly, corpus comparative studies of fictional and non-fictional, typically newspaper texts, made by Short conclude that categories commonly found in fictional narratives are not evenly distributed in non-fiction and the categories based on fictional discourses are not sufficient to account adequately for all the data in newspaper corpus. Short (1991) convincingly suggests that an intricate relationship may exist between a speaker/writer's selection of a particular mode of speech representation and his own position and attitudes vis-à-vis the text's topic. In line with these studies, we hold the assumption that the choice of DPR representational mode is one way to control readers' viewpoints and mental models, which in turn has much to do with discourse generic structures or discourse conventions.

Considering all these factors, the present study, meant tentatively to be explanatory rather than descriptive, intends to explore the backstage cognitive operations for variations in representing character's subjective visions by adopting a cognitive linguistic approach. In this respect, we are in agreement with those scholars who openly claim that representation of others' speech and thought (subjective vision in general) is essentially a process of re-production on the part of a representer⁶ motivated by various communicative purposes (Fludernik 1993; Thompson 1996; Tannen 1987). For lucid exploration, a typical linguistic element—reference will be singled out to demonstrate the constructional nature of DPR. In this respect, reference serves as a window for us to peep into the nature and processes of DPR construction. By investigating the cognitive operations underlying various referential forms, it aims at demonstrating that diverse linguistic representations of character's subjective vision are not derived or grammatically transformed from a source utterance; instead they are cognitively constructed by a representer driven by discourse communicative purposes. In cognitive analysis of reference, other language elements such as mood and modality, tense and deixis will also be taken into account, for they are concomitant linguistic devices to reference, which are jointly instructional for DPR construction. So as to the discourse type, we choose stream-of-consciousness (hereafter SOC) fiction, which is presumed to typically display the subtlety and complexity of DPR construction in narrative fictional discourse, and in which the reference forms are heavily affected

⁶ This is a key term coined in this thesis for consistency with the notion of re-presentation. It refers to the person who represents another's subjective viewpoint; in the case of narrative fiction, it primarily refers to the narrator.

by perspective location.

1.3 Discourse perspective representation in stream-of-consciousness fiction

The choice of stream-of-consciousness fiction as the discourse genre for our investigation from a cognitive linguistic perspective is motivated by two reasons. In the first place, SOC fiction is the typical type that makes overwhelmingly extensive use of various DPRs and gives supreme priority to the non-intrusive representation of character's subjective viewpoint. The SOC novels distinguish themselves primarily by their predominant concern with characters' "consciousness", the inner reality ranging from inchoate pre-consciousness to rational mental activities. Emphasizing exploration of the psychic being of the characters, SOC novels resort to creative techniques distinct from conventional realistic novels, among which the integration of "objective"⁷ narration with less explicitly signaled subjective perspective representation is a typical one. Different from conventional realistic novels or even common psychological novels such as written by Henry James psychological novels, SOC novels unfold themselves along constant dynamic perspective switches from narrator's to character's or from one character's to another's. Regardless of the predominance of subjective figural perspectives, narration is not completely dispensed with in SOC fiction. Either in James Joyce's *Ulysses* or Virginia Woolf's *To the Lighthouse* and *Mrs. Dalloway*, the pervasive subjective perspectives are all embedded in a third-person narrative medium. As stated by Cohn (1978: 16), "wherever the monologue⁸ technique appears in *Ulysses*, it alternates with narration." In this light, a schematic pattern can be traced underlying the seemingly chaotic and incoherent surface across long stretched discourse. Close scrutiny reveals that character's workings of consciousness tend to be triggered by entities in the physical "reality" (fictional reality) world and they weave in and out roughly in the following pattern:

7 Here "objective" highlights narrator's description of the situation in fictional world at narrative level. It does not bear the implication of photographic record of the facts. Narration is also construed on the part of the narrator. It is contrasted with "subjective" as in the phrase "subjective vision" in the definition of DPR, which means a given representation is connected to a subject in the fictional world. In this line, a statement is objective when it is not bound to a subject in discourse.

8 "Monologue" is a literary term for directly (or free indirectly) represented DPR.

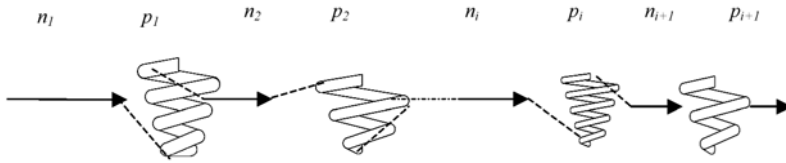


Figure 1.1 Schematic patterns of narration and DPR in SOC fiction

In the figure, n_i and p_i respectively represent narration and DPR representing certain character's perspective at given narrating time t_i . Shown by the figure, "objective" narration constantly alternates with representations of characters' subjective viewpoints. And the different shaped spirals represent the radial property of character's consciousness triggered by reality. Here one point deserves attention: p_i and p_{i+1} do not necessarily refer to one and same character's subjective visions at successive times. They may be different characters represented successively. The pattern is only a generic schema; the actual switches are somehow more subtle and intricate. With these constant alterations or movements, what is present is juxtaposed to what is seemingly absent, exterior physical happening to interior mental flowing. In representing character's mental experience, including both the outward perceptions and the inward sensations, SOC fiction deconstructs the former clear-cut boundaries between "outside", the world of facts or actuality, and "inside", the visions perceived by the inner eyes. Consequently, the former clear demarcations among speech and thought or narration and dialogue are blurred; they are interwoven and mingled together, which escalates the complexity and perplexity of SOC discourse. To make matter more complicated, the shifts are less explicitly marked than those in conventional realistic or psychological novels. In this type of discourse, context-based cognitive operations over linguistic markers such as reference forms are believed to play a critical role in discourse perspective attribution in particular and coherent mental representation in general.

In the second place, SOC discourse is deliberately chosen for the exploration of DPR construction for another reason: a common ground in their pursuit shared by SOC novelists and cognitive linguists. Irrespective of their divergence in discipline, the SOC novelists and the cognitive linguists share something in common in respect of the basic tenets about the roles of language and the truth of reality. The SOC novelists are reformers and explorers to disclose the relations between consciousness and language expressions, naturally in the way of experimental literary practice. A central problem persistently haunting them is how the linear language can be used to capture the capricious nature of mind, especially the unconscious-

ness, which, by definition, is devoid of language. They creatively employ language as signs for triggering readers' reproductions and interpretations of the represented consciousness. To those writers, language is a system of symbols which can be manipulated to simulate or symbolize rather than photographically record the process of mental activities. Linguistic expressions in SOC fiction are taken as stage directions for an imaginative reconstruction of the intended content (Steinberg 1958/1973). For example, Joyce uses the following linguistic expressions to suggest Bloom's preverbal visceral sensations: startled by the fear that Boylan, who will surely become his wife Molly's lover that afternoon, might infect her:

[1.2] That quack doctor for the clap used to be stuck up in all the greenhouse...just the place too. POST NO BILLS. POST NO PILLS. Some chap with a dose burning him.

If he...

O!

Eh?

No...No.

No, no. I don't believe it. He wouldn't surely?

No, no.

Mr. Bloom moved forward raising his troubled eyes. (Ulysses: 193)

Here the italicized expressions simulate Bloom's ongoing consciousness. The elliptical syntax, such as *If he...* suggests the abrupt, unexpected occurrence of the thought as Bloom is caught up short. *O!* and *Eh?* are the analogues of visceral sensations as his fear expresses itself pre-verbally. These analogous expressions are signals invoking reader's imaginative reconstruction of the startled response based on their common embodied experiences. It is just on the common human experience that Joyce relies for simulation of Bloom's inner preverbal startled state. Such practical treatment of language in conveying meaning somewhat coincides with the theoretical views about the relation between language and meaning held in cognitive linguistics, wherein linguistic forms are believed instructions for constructing interconnected domains with internal structure: "Language does not carry meaning, it guides it" (Fauconnier 1994: xxii).

As for the truth of reality, the SOC writers find that the traditional materialist writers fail in capturing the true essence of life. In their view, the reality of life does not lie as much in the absolute outside facts as in man's mental experience,

his subjective interpretation of the outside world. So fiction as a recreation of the complexities of experience can be employed to comprehend and delineate the essence of life in terms of the numerous impressions received by the mind. Virginia Woolf describes her view of life as “a luminous halo, a semi-transparent envelope surrounding us from the beginning of consciousness to the end”. She calls upon writers to “record the atoms as they fall upon the mind in the order in which they fall. ...trace the pattern, however disconnected and incoherent in appearance”(1948: 189-190). Their preoccupation with character’s psychic being is driven by their philosophical views about reality. Deeply influenced by modern psychological theories on human’s experience and consciousness, they no longer believe in the “naïve realism”, a common-sense assumption about our perceptual experience, according to which man’s vision is just the unmediated photographic picture of the objective world. Instead they adopt “projectivism”: all perceptual experience is nothing but mental projection into external space (Dainton 2000: 15-17). This view of perceptual experience reveals the general idea of experiential realism. It is in line with this experiential realism that the SOC writers construct their fictional world with characters’ mental experience as the focus and medium to explore the nature of life. Similarly, the cognitive linguists take experiential realism as their philosophical foundation. They are in strong objection to the entrenched presumption of objectivism in traditional linguistic paradigm, on which language provides symbols directly referring to the entities in the objective reality indicated by the “referential model of language”, (Silverstein 1977: 149, quoted Epstein 2002a: 73). Cognitive linguists discard the absolute objectivism and believe in what Putman (1988) calls internal realism, which does not deny the existence and role of reality out there in the world, and yet man’s subjective cognition or interpretation of the reality admittedly plays a significant role in the representation of the world. In this view, any representation involves not only re-presenting but also interpretation of the reality. This view is apt to explain the nature of subjective construal that we can construe certain situations alternatively. In brief, cognitive linguists, in a fashion similar to the SOC writers, highly value man’s subjective construction of reality. Certainly they are different in orientations: the SOC writers apply it to their practical writings with creative techniques, while cognitive linguists apply it to theoretical studies of language.

1.4 Reference

As previously mentioned, reference in the present study is primarily employed as a manifestation of dynamic DPR construction, a perspective marker in discourse. Some preliminary clarifications concerning what we mean by reference must preface the main discussions. Above all, we adopt a cognitive view about reference. Against the traditional view that reference is the relation between the linguistic expression and the object in the extra-linguistic reality to which the expression refers, the cognitive view of reference emphasizes the role of speaker/conceptualizer in construing the entity the reference form refers to. In this light, Werth (1999: 156) claims, “speakers refer so that, in the first place, they can establish some particular entity in a mental representation, and then maintain the same entity in the minds of the addressees”. Thus reference forms are linguistic designations of entities in the conceptualizer’s mental representations⁹. Defined as such, then the notion of reference contains two inseparable aspects: deictic and anaphoric in discourse communication. There is no clear-cut boundary line between them; they only differ in emphasis depending on many contextual factors. The deictic character of linguistic form to an entity is analogous to pointing in interactive communication, serving to anchor the entity in relation to some reference point, guiding the addressee to single out and establish appropriate mental representations about the referent. This process of pointing and designating is terminologically called grounding by Langacker (1987, 1990a, b, 1999, etc.), incorporating discourse participants and discourse situation into a whole.

The deictic nature of reference is typically manifested by nominal grounding predicates such as demonstratives, personal pronouns, definite or indefinite articles, etc. Beyond that, the deictic construal of the referent is also manifested in lexical choice of the designation or epithetic modifications. Cognitively, the deictic aspect of reference is substantially epistemic in the sense that it has not so much to do with the real objective qualities of the referent as with the conceptualizer’s subjective representation. For an instance, even a man is physically proximal to the conceptualizer; s/he can still designate the man by *that man*, *that guy*, or *that idiot*. These sorts of designations surely convey the subjective stance of the speaker/conceptualizer towards the referent. It implies that examination over ref-

⁹ Here “representation” refers to the imagistic conceptualizations in mind, while in the term DPR, it refers to linguistic expressions of conceptualizations. These two senses are interrelated, and yet they are substantially different.

erence forms in discourse assists in clarifying who is the possible backstage conceptualizer, i.e. in relation to what the referent is construed. It is in recognition of the epistemic nature of reference that we are tempted to conduct systematic investigations of the reference forms in DPR with a view of identifying whose subjective viewpoint is represented and how; and beyond that we intend to go further to answer why such a manner of construal is adopted. Out of this concern, our analysis will be initially preoccupied with nominal referring expressions before turning to the role of the anaphoric reference to DPR construction in long stretches of discourse.

As to the anaphoric aspect of reference, it has been a major concern of studies at the discourse level. And it is believed to be an important avenue for exploring the character of discourse structure and underlying functional principles. The term “anaphora” means carrying back; it is used to describe a relation between the antecedent and one or more co-referring expressions within a discourse. Accordingly, the interpretation of an anaphor is assumed to be determined by a nearby antecedent; and correspondingly anaphoric relations are understood as relations between linguistic items within discourse. This static textual view of anaphoric reference is problematic as it misses the nature of reference. An anaphor does not refer back to the antecedent; instead, it co-refers to the mental representation of the entity already activated by the antecedent. Meanwhile, specific choice of an anaphoric form among a pronoun, zero, or a full nominal phrase (NP) in discourse is equally deictic in nature, depending on epistemic construal of the conceptualizer, motivated by many factors revolving around communicative purposes. In this way, we say both the deictic and anaphoric reference forms are epistemically construed, evoking the existence and relative location of the backstage conceptualizer.

On the basis of the preceding understanding of the nature of reference, we are justified to presume that investigation over individual reference forms in context would be hopefully instructive for local viewpoint attribution by evoking the anchor for the referent, while the tracking of reference continuity or reference distribution co-referring to the same entity across sentences and/or segments would facilitate the tracing of viewpoints maintaining or shifting at the macro level. With such expectations, the present study will treat the two aspects of reference separately, which does not mean we theoretically advocate clear-cut separation of these two, but just for the sake of analytical convenience for our enterprise of DPR construction in long authentic discourse. In a word, reference performance in dis-

course is believed adequately illuminating for our DPR construction and categorization by investigating the backstage construal of the referent in question.

1.5 Objectives of this study

We have two general objectives: 1) to establish a cognitive model for DPR construction in fictional narrative discourse to demolish the transformational fallacy, 2) to use a language element to provide illustrations for the model, to demonstrate the effect of perspective taking on language performance.

First, to be specific, unsatisfied with the limited scope of traditional studies of speech and thought representation and their descriptive *ad hoc* treatment, we intend in this study to depart from them in several ways. First, we are no longer confined to the explicit simple types of speech and thought as representations of embedded characters' subjective viewpoint; we enlarge the scope by embracing other implicit types such as implicit perception into the domain of DPR. Further elaborations on the components and structures of DPR will be offered in Chapter 3. In this way, the term "DPR" is more comprehensive than the former "STR", and a great many "marginal" and subtle data are incorporated into the scope. The present study takes a broader view with regard to character's subjective viewpoint incorporating various forms of mental activities into one umbrella term "consciousness". We are concerned with manners of consciousness representation in narrative fictional discourse, specifically, their cognitive construction and distinctive attributes from narration. We attempt to answer the following questions: at a given moment of discourse, who is speaking? Who is thinking? Who is responsible for the validity of the information and in what sense, the content or expression? What respective roles do the narrator and character play in the linguistic representation? These questions are interrelated and all are concerned with the most fundamental problem: the constructional path of characters' mental states in fiction.

Second, we redirect our attention from descriptive differentiation of DPR types to explanations over their backstage cognitive operations and motivations. We set our feet firmly in the cognitive linguistics for unified theoretical explanations. A cognitive model will be built to explicate diverse access paths responsible for variations in DPR categories. Against rigorous categorization on the basis of formal criteria, we propose DPR varies along a scale from reportive to expressive; correspondingly DPRs constitute a continuum along which the degree of perspec-