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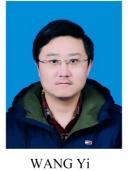
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Scholar Profile

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[Special Contributions]

The Road to Nobel Prize and the Diaspora Classification of African Writers

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The present paper is one of research results of the national key project entitled "History of African English Literature (No. 19ZDA296)" supported and sponsored by the National Social Science Fund of China.

Abstract: When the Tanzanian writer Abdulrazak Gurnah won the Nobel Prize for literature in 2021, many people thought it was another "surprise" of the Nobel Prize, but that is not the case. The Prize has a history of 120 years and has so far been awarded to 118 writers, seven of whom are African writers. The proportion is not high indeed, but it is undoubtedly higher than that in Asia, South America, Australia and some other regions. A careful study of the works of African writers will enable us to perceive the open and broad cultural vision and the inclusive and tolerant humanistic spirit, and to capture the unique aesthetic representation, cultural implication and regional elements in their works. And in comparison with the literature of other regions, diaspora syndrome is particularly prominent. Local diaspora, foreign diaspora and colonial diaspora, so to speak, constitute both the main features of African literature and the three types of Nobel Prize writers. Gurnah's reception of the award once again proves that the richness, inclusiveness and foresight of African literature play a positive role in promoting the diversity of world literature and the real emergence of new forms of human civilization.

Keywords: African literature; Nobel Prize for literature; three diaspora literature theory; diversity of world literature **Notes on the contributors:** Dr. ZHU Zhenwu is a level-two professor and doctoral supervisor at Shanghai Normal University (SHNU). He is currently the head of the Key National Disciplines of Comparative Literature and World Literature, director of Foreign Literature Research Center of SHNU, and his research covers English literature and culture, the relationship between Chinese and foreign literature and translation studies, etc. HUANG Lingya is a master's student of the Key National Disciplines of Comparative Literature and World Literature, and her research interest lies in African English literature and the relationship between Chinese and foreign literature.

非洲作家的諾獎之路和流散類分

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摘 要: 2021年坦尚尼亞作家古爾納問鼎諾貝爾文學獎,許多人認為這是諾獎的又一次「爆冷」,但事實並非如此。 諾貝爾文學獎已經有120年歷史,獲獎者共計118位,其中非洲作家共七人,占比雖然很低,但還是高於亞洲、南美 和澳洲等地區。仔細研讀非洲作家的作品,我們可以感受到作品中開放、廣闊的文化視野和包容、隱忍的人文精 神,以及獨特的美學表徵、文化蘊涵、區域元素特別是流散症候。可以說,本土流散、異邦流散和殖民流散共同構成 了非洲文學的主要表徵,也構成了諾獎作家的三大類型。古爾納的獲獎再一次證明,非洲文學的豐富性、包容性和 前瞻性對世界文學多樣性和人類文明新形態的建構有著積極的促進作用。

關鍵詞:非洲文學;諾貝爾文學獎;三大流散;世界文學多樣性

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引言

2021年10月7日,坦尚尼亞小說家阿卜杜勒拉紮克·古爾納(Abdulrazak Gurnah, 1948-)獲得諾貝爾文學獎,理由是「鑒於他對殖民主義的影響,以及對文化與大陸之間的鴻溝中難民的命運的毫不妥協且富有同情心的洞察」^①。在得知古爾納獲獲獎諾獎消息後,非洲文學界一片歡騰,100多位作家紛紛向古爾納送上祝賀。作為1986年的諾獎得主、第一個獲得諾獎的非洲本土作家沃萊·索因卡(Wole Soyinka, 1934-)評論說:「諾貝爾獎回家了」^②。非洲文學屬於「非主流」文學^③,看似不顯山不露水,實則在沉默中爆發出了蓬勃的力量。諾貝爾文學獎得主歷來多集中在歐美國家,且以英語作家居多,這無疑使大眾質疑起其初衷和權威,而索因卡說的「諾貝爾獎回家了」,正是指諾貝爾獎正視了非洲這塊廣袤大陸上的文人墨客,開始檢視和思考非洲文學的特有魅力和特殊價值。

「真正的文學多樣性被所謂的西方主流文化或者說是強勢文化壓制和遮蔽了。因此,許多非西方文化無法進入世界各國和各地區的關注視野。」^⑤非洲文學的遭遇在這一點上與中國文學的遭遇頗為相似。試想,沒有占世界六分之一人口的中國文學和占全球陸地面積五分之一人口超過 13 億的非洲文學的參與,世界文學怎麼可能具有世界性?而作為「非主流」文學的非洲文學,其最本質的特徵就是流散。在殖民歷史文化各種因素的交織影響下,非洲文學逐漸表現出身份認同、邊緣化處境、種族歧視、性別壓迫和家園找尋等鮮明的流症候征。這一點在非洲獲得諾貝爾文學獎的七個作家的創作中表現得更加明顯。非洲的七個諾貝爾文學獎得主依次是阿爾貝·加繆(Albert Camus,1913-1960)、奈及利亞作家沃萊·索因卡(Wole Soyinka,1934-)、埃及作家納吉布·馬哈福茲(Naguib Mahfouz,1911-2006)、南非作家納丁·戈迪默(Nadine Gordimer,1923—2014)、南非作家 J. M. 庫切(J. M. Coetzee,1940-)、桃莉絲·萊辛(Doris Lessing,1919-2013)和剛剛獲獎的古爾納,分別於1957、1986、1988、1991、2003、2007和2021年獲獎。非洲作家總體來說可分為三大類,即本土流散作家、異邦流散作家和殖民流散作家^⑤,而這七位諾獎得主正是這三類非洲作家的傑出代表。

一、索因卡和馬哈福茲:本土流散中的諾獎得主

那些身處自己的國家,但因文化失根、語言被同化、心靈處於流浪狀態,卻未曾遷徙他國的作家就是本 土流散作家。1986年和1988年先後獲得諾貝爾文學獎的奈及利亞的索因卡和埃及的馬哈福茲就是這類。 本土流散作家並未產生地理位置上的徙移,直接面對的是異質文化的侵襲而造成的精神流散,這種流散在 他們的創作中主要表現為其對待異邦文化的態度和處理方法。

當瑞典文學院將 1986 年的諾貝爾文學獎授予沃萊·索因卡時,其意義遠不止是表彰一位抒寫了黑人理想的文學巨人,更在某種程度上說明非洲文學引起了關注,逐漸進入了大眾視野。索因卡因「廣博的文化視野創作了富有詩意的關於人生的戲劇」^⑥而獲獎。1934 年,索因卡出生在奈及利亞西部阿貝奧庫塔約魯巴族一個督學的家庭,1952 至 1954 年就讀于伊巴丹大學(University of Ibadan),畢業後前往英國里茲大學研讀文學,同時開始計畫出版一部名為《凱菲的生日凶兆》(Keffi's Birthday Threat,1954)的短篇廣播劇,在英國學習工作了近六年後返回祖國。索因卡長期參與奈及利亞政治,大膽直言,以文字為武器針砭時弊,雖因此飽受迫害,但也贏得了聲譽。

身為本土流散作家,民族自豪感以及約魯巴傳統文化認同問題是索因卡作品關注的重心。《雄獅與寶石》(The Lion and the Jewel, 1959)講述了非洲部落之間的衝突,描述了一個黑人青年面對來自西方世界的壓力而產生的焦慮感和孤獨感。在《巴阿布國王》(King Baabu, 1983)、《巨人們》(A Play of Giants, 1981)和《未來學家安魂曲》(Requiem for a Futurologist, 1983)等作品中,索因卡著重關注後殖民時代非洲新生獨立國家獨裁政府的種種惡行,探討殖民創傷,對本民族歷史傳統進行反思與重構,以喚醒非洲人的文化認同感。索因卡創作的主要題材是約魯巴文化中的神秘意象和神話傳說,但吸收融合了現代派文學等西方文學思潮。正是本土文化與異質文化的交流碰撞造就了他。《森林之舞》(A Dance of the Forests, 1960)創造了譬如「烏龜夫人」等具有隱晦象徵含義的半神形象,將叢林中的人神聚會和慶祝儀式化為 1960 年奈及利亞獨立大會的縮影,達到歷史與現實一體化的效果。《癡心與濁水》(The Interpreters, 1965)更是與愛爾蘭作家詹姆斯·喬伊絲的《尤利西斯》(Ulysses, 1922)有異曲同工之妙,具有西方現代派文學的特徵。

索因卡在作品中展示的是一個與異邦文化融合的國度,而不是被異邦文化所奴役的非洲,從中能看出其對待外來文化的態度。面對異邦文化,索因卡選擇樹立約魯巴人的文化尊嚴,以包容的姿態吸收外來文化中的積極元素,促進異邦文化與本土文化的融合。「索因卡的成功再次表明:立足于民族傳統文化,同時具有開放的、廣闊的文化視野,乃是當代世界各民族文學發展的大方向。」^②。沒錯,要有開放的、廣闊的文化視野,同時還要有包容的、隱忍的人文精神。這是自索因卡、馬哈福茲以及其他非洲諾貝爾文學獎得主的共同之處,也是非洲文學的共有特點。

繼索因卡後,1988年的諾貝爾文學獎由埃及的馬哈福茲折桂。馬哈福茲「通過大量刻畫入微的作品洞察一切的現實主義,喚起人們樹立雄心,形成了全人類所欣賞的阿拉伯語言藝術」[®]。馬哈福茲在1930年完成中等教育後,進入開羅大學學習哲學。1936年,他決定暫停學業,當職業作家,並于1939年出版了他的第一部小說《命運的嘲弄》(Fate Mess, 1939)。《命運的嘲弄》通過回顧埃及古老而輝煌的文化,強調了埃及人的民族認同感。此後,馬哈福茲的創作更加轉向現實關懷。在《海市蜃樓》(The Mirage, 1948)之後,馬哈福茲憑藉「開羅三部曲」——《宮間街》(Palace Walk, 1956)、《甘露街》(Sugar Street, 1956)和《思宮街》(Palace of Desire, 1956)——成為埃及最傑出的作家之一,也因此獲得了埃及國家文學獎(Egyptian National Literature Award)[®]。馬哈福茲是土生土長的埃及人,屬於本土流散作家,從創作之始到封筆之作,無一不講述著埃及故事和阿拉伯文化。

馬哈福茲的作品「是現實主義、現代主義及本民族傳統文學融會在一起,共同孕育的產物。因此,它既有民族性,又有世界性,最能體現現當代文學的風采」[®]。在著名的「開羅三部曲」中,馬哈福茲描述了埃及商人家族三代人的命運,以及埃及社會在 20 世紀上半葉與西方接觸的歷程和現代化過程中的變化。故事以引人入勝的情節、樸實幽默的風格以及非凡的洞察力吸引著讀者,反映了 1917 年至 1944 年埃及的社會動盪。作品以小見大,通過一個穆斯林家庭的故事影射了一幅現代埃及的風俗畫卷,以鋒利的筆觸批判了舊社會的陋習。《續一千零一夜》(Morning and Evening Talk,1945)則以魔幻的筆法將十三個關於死亡、欲望和人性的故事娓娓道來,從不同角度揭示了埃及社會諸如黑暗和暴力的問題,充滿政治寓言色彩,記錄了馬哈福茲在中東戰爭失敗後對薩達特執政時期的種種弊端所進行的反思。《我們街區的孩子們》(Children of the Alley,1959)運用獨特的象徵手法和空間敘事來敘述傑巴拉維街區幾代人的救世故事,以此象徵人類歷史的進程。《海市蜃樓》是馬哈福茲另一部明顯運用了西方敘事藝術而寫成的小說,具有顯著的心理分析特徵,通過帶有悲愴色彩的敘事展示現實世界的不可靠性。

『由於殖民者推廣殖民語言、傳播基督教、侵吞土地、實行種族隔離和分而治之的殖民政策,非洲原住民在自己的國土上被迫進入一種「流散」的文化語境。』^⑩。許多非洲作家並沒有經歷空間上的位移,但仍然呈現出一種心理上、精神上的無所適從,成為本土流散者。面對這種困境,索因卡和馬哈福茲這兩位獲得諾貝爾文學獎的非洲本土流散作家作出的選擇都是積極面對,反對固步自封。殖民主義對非洲文化和社會生活的控制不但沒有削弱非洲本土的語言文化特色,反而使作家的作品呈現出鮮明的流散表徵的同時彰顯出強烈的民族色彩和鮮明的民族特性。

二、加繆、戈迪默、庫切和萊辛:殖民流散中的諾獎得主

在遭到殖民人侵後,非洲大陸上逐漸積聚出一種特殊的流散群體——「殖民流散」群體。『「殖民流散」特指前往非洲的殖民者或具有殖民性質的群體及其後代,由於其殖民書寫於殖民地瓦解之後對帝國往昔的複雜情結而表現出與第三世界的流散相似又相異的文化和心理。』[®]。在非洲,「殖民流散」主要是指白人移民及其後裔,加繆、戈迪默、庫切和萊辛是殖民流散作家的代表。殖民流散作家的創作與非洲本土作家的創作存在差異,顯露出與之不同的價值認同和審美差異,但其無根漂泊之感得卻與本土流散作家非常相似。

非洲大陸第一位獲諾貝爾文學獎的作家是 法籍埃及作家阿爾貝·加繆。1957 年加繆因「他的重要文學作品透徹認真地闡明了當代人的良心所面臨的問題」³⁸而問鼎諾獎。這位殖民流散作家出生于非洲北部的阿爾及利亞,父母都是法國人。

阿爾貝·加繆生於阿爾及利亞的蒙多維(Mondovi),父母都是法國人。1914年,加繆剛剛一歲,父親就在馬恩河戰場上飲彈而亡,這使加繆的童年充滿艱辛。母親不得不加繆移居阿爾及爾貧民區外祖母家,靠做傭人勉強維持生計,後來連小學都上不起。早年的艱苦生活使得加繆對非洲人民在殖民高壓下的生存境況產生深深的同情,難怪其多部作品的故事背景都在阿爾及利亞。兒時的加繆連小學都差點中斷,幸虧一個名叫路易·熱爾曼的老師發現了他的天分,並極力勸說其家人。在其影響下,加繆一路從小學讀到中學又到大學,並於1936年在阿爾及爾大學獲得哲學學士學位。加繆早期對基督教哲學家產生了濃厚的興趣,且吸收了尼采、叔本華等人的悲觀主義和無神論思想,這些在其後來的文學創作中都有體現。這期間,加繆負責編輯《阿爾及爾共和報》(Alger républicain),遭封後,於1940年來到巴黎,擔任新的主編工作,同時期完成了小說《局外人》(L'Étranger, 1942)、《西西弗神話》(Le Mythe de Sisyphe, 1942)和劇本《卡裡古拉》(Caligula, 1944)的創作。二戰和二戰之後,加繆與當時的妻子福爾(Francine Faure)幾次往返於阿爾及利亞和法國,並在這其間完成了小說《鼠疫》(La Peste, 1947)和戲劇《誤解》(Le Malentendu, 1943)和《反叛

者》(*L'Homme révolté*, 1951)等名作。1960年1月4日,加繆在森斯附近的維勒布林文小鎮因車禍離世,車禍現場還散落著他仍以自己在阿爾及利亞的童年為背景《第一人》(*Le premier Homme*, 1994)的手稿。加繆一生傾情創作,1957年的諾獎授予他是當時對他的最大肯定。加繆的主要作品還有散文《西西弗神話》(*Le Mythe de Sisyphe*, 1942)、《墮落》(*La Chute*, 1956)以及短篇小說集《流放與王國》(*L'exil et le Royaume*, 1956)等多部。獲得1949年諾貝爾文學獎的美國作家威廉·福克納在為加繆寫的悼詞中這樣說:「當生命之門對他關上時,他已經在這邊寫出了人生的印記,這是每個藝術家隨身攜帶的對死亡的先見之明和仇恨,也是希望做的事情:我在世界上走了一遭。」^個。

加繆是典型的存在主義作家,其作品中主要表現現實世界的荒誕;他又是典型的殖民流散作家,其存在主義作品又表現出與薩特等法國本土作家的不同特徵。一方面,加繆與北非阿爾及利亞的傳統阿拉伯文化格格不入;另一方面,在殖民群體中,加繆又以邊緣人的群體自處。加繆在創作過程中不斷突破傳統,用荒誕手法表現現實世界,《鼠疫》便是其對生活荒誕性的一次大膽探索。作品中的裡厄(Rieux)醫生身為邊緣人,漂泊在疫病成災的城市奧蘭之中,積極救治他人,卻不知自己的妻子已悄然離世。文化背景截然不同的阿爾及利亞與法國的生活經歷為加繆帶來了豐富的想像和靈感,使其從不同角度出發去看待社會問題並表達對荒誕的態度。《局外人》則以一句令人訝異的話開篇,將世界的荒誕本質與人的無能為力娓娓道來,其中滿含加繆知其不可而為之的存在主義哲思。福克納將其精彩傳奇的一生進行了總結,說他「就是不願沿著一條僅僅通向死亡的道路走下去。」^⑤

納丁・戈迪默是第四位獲得諾貝爾文學獎的非洲作家,也是首位獲得諾獎的非洲女性作家,更是一位典型的殖民流散作家。1991 年瑞典文學院授獎時稱讚她「以強烈而直接的筆觸,描寫周圍複雜的人際與社會關係,其史詩般壯麗的作品,對人類大有裨益」^⑩。戈迪默於 1923 生於南非鄉間礦山小鎮斯普林斯(Springs),其創作素材和靈感便來源於那裡得天獨厚的自然環境。南非的種族隔離制度及其帶來的種種惡果構成戈迪默作品的重要主題。雖然出身于一個富裕的猶太白人家庭,但戈迪默一直致力於反對南非的種族隔離制度,並於 1962 年為南非國父、反種族隔離鬥士納爾遜・羅利赫拉赫拉・曼德拉(Nelson Rolihlahla Mandela, 1918-2013)起草了著名的演講詞《為理想我願獻出生命》(*I Am Prepared to Die for an Ideal*)。

納丁·戈迪默的作品對「複雜的社會和人際關係」觀察人微,真實記錄了政治對個人生活的影響,以及一個南非白人婦女在種族隔離制度興衰期間的感受和想像。在《伯格的女兒》(Burger's Daughter, 1979)中,她著重表現了父輩革命者與羅莎(Rosa)等年輕一代革命人之間的複雜社會關係。在創作《無人伴隨我》(None to Accompany Me, 1994)時,戈迪默堅定地站在人道主義立場上支持黑人解放運動,反抗種族壓迫。這位殖民流散女作家在寫作中善於利用多方位的敘事視角來刻畫人物並揭示事件的發展脈絡,善於運用隱喻的手法折射現實世界。戈迪默對南非種族隔離制度的弊病有著深刻理解,她認為這種制度不僅給黑人帶來傷害,同時也為白人帶來了困境。《七月的人民》(July's People, 1981)、《六英尺土地》(Six Feet of the Country, 1956)等作品,透露了普通白人民眾在非洲進退兩難的境地。

J. M. 庫切曾分別於 1983 年、1999 年憑藉作品《邁克爾·K 的生活和時代》(Life and Times of Michael K,1983)與《恥》(Disgrace, 1999)兩度獲得布克獎,且於 2003 獲得諾貝爾文學獎。諾獎評審委員會指出,庫切「精准地刻畫了眾多虛偽面具下的人性本質」^⑩。庫切于 1940 年出生於南非開普敦,是英國和荷蘭移民的後裔,成長于南非種族隔離政策逐漸成形並盛行的年代。在南非開普敦大學就讀期間,庫切就已經開始了寫作生涯。受成長環境,即種族隔離制度的影響,其創作與社會矛盾和衝突緊密相連。1974 年發表了第一部小說《幽暗之地》(Dusk Lands, 1974)後,庫切開始創作《國之中心》(In the Heart of the Country, 1976),並於 1980 年憑藉小說《等待野蠻人》(Waiting for the Barbarians, 1980)進入國際文壇。直至 2006 年,庫切才成為澳洲公民並在阿德萊德大學(University of Adelaide)學院任教。

庫切用獨到的文字功底展現了後殖民時代下南非殖民流散者的邊緣化處境。小說《恥》中的人物盧裡(Lurie)的經歷旨在說明南非人民心中的殖民創傷的不可治癒,以盧裡為代表的非洲殖民流散者在南非流散之感被展現的淋漓盡致。庫切身為生活在非洲的白人,以親身經歷積極討論流散問題,展現了深切的人文關懷。在自傳體作品《青春》(Youth, 2002)中,庫切以溫和的口吻講述了一個名叫約翰(John)的年輕人在尋找自我的道路上進行鬥爭的故事。庫切也善於將創作主題鎖定於個人倫理障礙之中,即文化衝突給人帶來的邊緣化處境。《夏日》(Summertime, 2009)也隱隱透露著白人在非洲無法紮根的無助和迷惘。由於種族血統和成長環境的特殊,J. M. 庫切在創作中還具備了雙重文化視野,「特殊的童年經歷和文化背景使他具備第三只眼睛來審視和剖析當代南非生活的優越和從容,從而使他的作品具有一種特殊的品格。」⁶⁸。《幽暗之地》便是這樣一部作品,以諷刺的筆調闡明早期非洲白人殖民者的傲慢姿態和殘忍的殖民手段。

在非洲生活、學習工作了 20 多年的桃莉絲·萊辛是第五位獲得諾獎的非洲作家[®],授獎時已年近九十,「以懷疑主義、激情和想像力審視一個分裂的文明,登上了這方面女性體驗的史詩巔峰」[®]。頒獎詞稱其作品《金色筆記》(The Golden Notebook, 1962)為「一部先鋒作品,是二十世紀審視男女關係的巔峰之作」[®]。萊辛的父母親都是英國人,但其童年時期和青少年時期均是在非洲度過的,是典型的殖民流散作家。萊辛出生在伊朗克曼沙(Kermanshah),1925 年隨作為殖民官員的父母移居到羅得西亞(Rhodesia)南部(即今辛巴威)。萊辛曾於辛巴威首都索爾茲伯里(Salisbury)的女子中學學習,13 歲時因眼疾輟學,結束了正規教育,後來依靠自學開始寫作。狄更斯、司湯達、托爾斯泰、陀思妥耶夫斯基等作家的作品都是萊辛這期間的重要精神糧食。在非洲生活、工作了二十多年後,1949 年萊辛才攜幼子移居英國。除了名作《金色筆記》,萊辛還創作了《野草在歌唱》(The Grass is Singing, 1949)、《特別的貓》(Particularly Cats, 1967)和《倖存者回憶錄》(Memoirs of a Survivor, 1974)等一系列作品。

萊辛的作品充盈著非洲的自然風光和人文情懷特別是女性體驗和種族衝突,很多作品都與非洲有關,《金色筆記》中的《黑色筆記》《非洲故事集》(African Stories, 1976)和《野草在歌唱》都盡情展示非洲元素。萊辛曾說:「我的腦海中充滿了關於非洲的燦爛記憶,只要我想,我就可以自由重溫和觀看」。萊辛筆下的非洲不僅是一塊陸地,更是一種意象;這樣的非洲也並不是種族衝突的舞臺,而是人類自我不斷嘗試適應的環境。在《野草在歌唱》中,萊辛描繪的非洲就是一個充滿矛盾、徹底失衡的空間。非洲大陸上的殖民主義一方面壓迫了黑人,另一方面也對白人造成了不可磨滅的精神創傷。這也是非洲的白人之所以成為流散一族的重要原因。萊辛在《蟻塚》(The Antheap, 1965)講述了白人男孩托米(Tommy)在一個黑煙滾滾、令人窒息的非洲偏遠礦場中成長的故事,展現了白人的邊緣處境和流散之感,用獨特的寫作風格和敘述視角揭露了殖民話語的實質,「這也是她的作品在白人統治時期的南非等地一直受到排斥,她本人多年來也被禁止進入當時的辛巴威和南非等國家」。

②的主要原因。

殖民流散作家大多擁有西方文化視野,善於從外部觀察非洲人民的生存狀態,在作品中展現對非洲風土人情和社會制度的獨特考量。這些作家在創作呈現出一種多元融合的特徵,既帶有西方特徵,又有濃郁的本土意識和民族精神,表達了對於非洲歷史文化傳統的尊重及對非洲人民現實境遇的同情。無論是對白人殖民者及其後代在非洲被邊緣化的關注,還是對身份認同、精神出路等問題的探索,殖民流散作家都透過作品展現了對人性的質詢和身份困境的關懷。

三、古爾納:異邦流散中的諾獎得主

2021年10月,坦尚尼亞作家阿卜杜勒拉紮克·古爾納獲得諾貝爾文學獎,成為第七個獲得諾貝爾文學 獎的非洲作家。古爾納的小說創作堅持書寫移民經歷、難民記憶和殖民創傷,體現出典型的異邦流散症候。 古爾納的異邦流散記憶來自于他作為難民移居英國以後的種種經歷。1948年,古爾納出生於桑吉巴(現為坦尚尼亞)的一個島嶼,並在此長大。古爾納具有阿拉伯血統,以斯瓦希裡語(Kiswahili)為母語,家中伊斯蘭文化氛圍濃厚,父親和叔叔都是從葉門移民到非洲的商人。年幼的古爾納接觸並閱讀了大量的阿拉伯和波斯詩歌,從《古蘭經》《一千零一夜》等作品中獲得了最初的文學啟蒙。1964年,桑吉巴島發生革命,當地政府對國內的阿拉伯裔與南亞裔展開屠殺。身為阿拉伯裔的古爾納為了躲避迫害,於1968年以學生和難民身份來到英國求學,同時開啟他的創作生涯。最初,古爾納在坎特伯雷基督教會大學研讀,但因他對非洲、印度以及加勒比地區的難民生存現狀有著濃厚興趣,同時在1980年至1983年任了奈及利亞貝耶羅大學(Bayero University)講師與肯特大學(University of Kent)英語系教授,並于1982年獲肯特大學哲學博士學位。這位殖民流散作家善於將自身的流散經歷融入創作中,並把視角置於身份認同、種族衝突、性別壓迫及歷史書寫之上,『展現後殖民時代「夾心人」的生存現狀以及歐洲殖民對於桑吉巴社會的影響,具有重要的社會現實意義』等。

作為典型的異邦流散作家,古爾納在小說中通過對主人公命運的描述反映出了當時非洲的社會意識形態。通過童年期間的所見所聞,古爾納在作品中呈現了一個處於伊斯蘭文化浸淫下的桑吉巴。古爾納善於綜合運用各種藝術方式來刻畫人物性格,他在作品中創造了一系列人物,他們雖然力求適應新環境,直面衝突,但卻無法掙脫社會現實和過去的枷鎖,只能掙扎著保持平衡。古爾納在創作中透過一種冷靜的目光觀察生活,從不刻意去塑造一個完美的形象,而是通過細膩的筆觸,揭示人類生存的困境。

古爾納既是難民命運的見證者與承載者,也是難民記憶的擁有者和敘述者,在創作中更是緊緊圍繞難民主題展開創作。胡恩蘇(Hunsu Folasade)認為古爾納為21世紀非洲文學做出了兩個重要的貢獻,「首先,他表明移民應該被理解為定義非洲人身份的一個重要因素。其次,他將移民因素上升到有利於構建和理解家族和社區歷史的高度」。古爾納的小說《海邊》(By the Sea, 2001)揭示了難民薩利赫(Saleh)到達英國後,在內外衝突和兩種文化夾擊下的命運;《最後的禮物》(The Last Gift, 2011)中同樣敘述了移民主題,講述了移民經歷給移民及其後代造成的影響,利用細膩的筆觸揭露了種族主義下移民的身份認同危機,真實展示了移民遊蕩至異國後的苦難體驗;在代表作《天堂》(Paradise, 1994)中,古爾納則通過去中心化的視角,改用西方成長小說的形式來塑造非裔移民,探討非裔移民的邊緣化處境及其與社會環境之間的關係。《天堂》曾入圍布克獎和惠特布萊德獎的提名,是古爾納創作走向成熟的標誌,它「再現了一個逝去的時代,既有浪漫色彩,但並不感傷過去,比非洲大陸的大多數歷史小說更加嚴酷」。古爾納筆下的移民、難民描寫與他本人的流散經歷密切相關。作為異邦流散作家的古爾納在創作的過程中不斷尋求本國文化與英國文化之間的融合,結合難民問題探索殖民主義對人類生存的影響。『古爾納將小說設置在殖民主義和民族主義的背景之下,結合關係空間,嘗試重新定義「非洲」,這種關係空間不再受排除異己的錯位政治和因民族主義及種族主義產生的暴力所束縛」。。

同古爾納相似的是,索因卡於 1954 年 20 歲時到英國里茲大學求學,畢業後在那裡工作,1960 年才回到 奈及利亞,因此其作品也有較為明顯的流散症候。一定程度上說,索因卡也是異邦流散作家,或更準確地名 之曰「異邦-本土流散作家」。留學期間的所見所聞為索因卡的創作帶來了深刻啟發,説明其利用外部視角來觀察和反思非洲文化。早在英國求學時,索因卡就開始鑽研文學創作,「他認為不僅要對非洲主題予以創作,也不能停留在非洲意象的簡單化用,那僅僅是機械化的模仿」。索因卡主張現代文學創作的目的是尋求對傳統美學的理解,而不是為了取悅外國觀眾而拋棄最本真的傳統藝術價值。小說《反常的季節》 (Seasons of Anomy, 1973)以烏托邦理想的方式描繪了非洲部落埃耶羅(Aiyero),並吸取希臘神話的故事模式和神話原型來隱喻非洲的現實情況與人物形象。索因卡賦予這部作品中的迴圈模式以象徵意義,在西方現代派文藝思潮、希臘神話與非洲傳統文化之間建立聯繫。對當時非洲政府的腐敗進行了尖銳而有力的批

判,字裡行間流露出作者對西方無政府主義和個人主義的批判。索因卡在英國的求學和工作經歷使他在回國後擁有了第三隻眼,能夠看到本土流散作家看不到的問題,從而使他的作品擁有了立體感。

『「流散」之所以成為「流散」,不僅僅是「地理位置的徙移」,也不僅僅是職業、身份、原因等方面的改變,它更重要的是異質文化上的衝突以及由此而來的對流散者靈肉方面的影響。』²⁹。不錯,異邦流散作家的流散症候即來源於此。邊緣化處境、身份找尋的迷失感成為這類作家作品的基調,而移民往往成為故事講述的主要角色,這樣就使得異質文化的交融與碰撞在其創作中得到直接凸顯。在非洲,這類異邦流散作家有很多,奈及利亞的奇瑪曼達·恩戈茲·阿迪契(Chimamanda Ngozi Adichie, 1977-),來自南非的艾捷凱爾·姆赫雷雷(Ezekiel Mphahlele, 1919-2008),以及衣索比亞裔加拿大作家奈加·梅茲萊基亞(Nega Mezlekia, 1958-)等都是代表性作家。異邦流散作家因長期漂泊異鄉,通常在創作中流露出對故土的眷戀之情。然而,這種眷戀之情受異國現實境況的束縛,在文學作品中多體現為審視非洲傳統文化與殖民文化之間的衝突,嘗試重新建立非洲的民族自信和文化自信。異邦流散作家以此為基調書寫非洲故事,與本土流散作家和殖民流散作家共同繪製著非洲文學的版圖。

結語

當下的世界文學『是西方人建構出來的以西方幾個大國為主、兼顧其他國家和地區某個文學側面的所 謂「世界文學」」®。非洲文學也是如此。在相當長的時間裡,我們所看到的非洲文學同其他外國文學一樣, 都是經過西方學者過濾後的非洲文學,相對缺少中國學者自己的判斷和篩選。這有歷史的原因,也有心理 距離的原因,更有主體性的原因。非洲文學是一個不斷流動和不斷變化的文學體系,而不是一成不變的靜 態文本。古爾納獲在 2021 年 10 月獲得諾貝爾文學獎之前,其主要作品都沒有中譯本,只有譯林出版社的 《非洲短篇小說選集》收錄了他的《博西》(Bossy, 1994)和《囚籠》(Cages, 1984)兩篇短篇小說。但獲獎後, 古爾納旋即成為中國文化界、創作界和文學研究領域關注的焦點,上海譯文出版社更是雷厲風行,在短時間 內簽下了古爾納全部長篇小說的翻譯版權,相關報導鋪天蓋地,相關評論也接踵而至。鄉這一方面說明諾貝 爾文學獎的巨大影響力,一方面也說明我們仍然缺少自我判斷和批評自覺。因此,中國學者研究非洲文學, 還是應該從非洲本土視野和文化出發,挖掘名副其實的非洲文學,而不是拾人牙慧,唯人馬首是瞻,為他人 作嫁衣裳。非洲文學以其寬宥的心態面對殖民歷史,並從中汲取自身發展的養分,展現出獨特性、包容性和 前瞻性,這是值得關注和學習的。^②「流散症候」作為非洲文學的獨特表徵,對於正確認識世界各地的文學現 象、創作發生和文化成因,揭示其複雜的源流嬗變和深層的世界文學文化意義,具有重要價值。七位問鼎諾 貝爾文學獎的非洲作家,無一不是身處歷史洪流中,懷著去中心化、去殖民化和打破世界文學僵化和單一局 面的動機進行文學創作,為非洲文學走向世界做出了重要貢獻,為文化多樣性和世界文學新格局的真正形 成做出了重要貢獻。

注釋

- ① Swedish Academy, "Prize motivation", Nobel Prize. org., https://www.nobelprize.org/prizes/literature/2021/gurnah/facts/.
- ② Edoro, Ainehi. 103 African Writers Respond to Abdulrazak Gurnah's Nobel Prize Win, Brittlepaper. (2021–10–12). [2022–02–02]. https://brittlepaper.com/2021/10/103-african-writers-respond-to-abdulrazak-gurnahs-nobel-prize-win/.
- ③「非主流」英語文學主要指除英國和美國以外的國家和地區的英語文學。關於「非主流」英語文學這一概念,請參見朱振武:《中國「非主流 | 英語文學研究的現狀與走勢》、《外國文學動態》2012年第6期.頁45-46。
- ④⑩ 朱振武:《揭示世界文學多樣性 構建中國非洲文學學——從坦尚尼亞作家古爾納獲諾貝爾文學獎說起》、《中國社會科學

- 報》,2021年10月22日第004版。
- ⑤⑩⑫⑳ 詳見朱振武,袁俊卿:《流散文學的時代表徵及其世界意義——以非洲英語文學為例》,《中國社會科學》,2019年第7期,頁135-158。作者在這篇文章中將非洲文學特別是非洲英語文學分為異邦流散(實現了地理位置徙移的尤其是到了發達國家留學、生活、工作的非洲作家)、本土流散(未曾徙移但處於異質文化的包圍而心靈在本土流浪的非洲本土作家)和殖民流散(特指在非洲安居下來的白人及其後代作家)三大類型,並從文學的發生、發展、表徵、影響和意義進行多維論述。在這[三大流散 | 理論的基礎上,作者還可發現一種常見於非洲歸國青年文學(Been-to)的異邦本土流散。
- 6 The Nobel Prize in Literature 1986. (2022). [2022-02-27]. https://www.nobelprize.org/prizes/literature/.
- ⑦ 元華,王向遠:《論渥菜·索因卡創作的文化構成》,《北京師範大學學報(社會科學版)》,1993 年第 5 期,頁 20-28。
- ® The Nobel Prize in Literature 1988. (2022). [2022-02-27]. https://www.nobelprize.org/prizes/literature/.
- ⑨ 這是埃及國家級文學獎項。馬哈福茲在阿拉伯世界聲名遠播,50年代至60年代已在阿拉伯文壇佔有舉足輕重的地位,多次獲得埃及國家文學一等獎、共和國一級勳章和法(國)阿(拉伯)團結協會文學獎等,被譽為「阿拉伯小說之父」和「埃及的狄更斯 |等。
- ⑩ 張洪儀(主編):《大愛無邊——埃及作家納吉布・馬哈福茲研究》,银川:銀川寧夏人民出版社,2008 年版,頁5。
- B The Nobel Prize in Literature 1957. (2022). [2022-02-27]. https://www.nobelprize.org/prizes/literature/.
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(Editors: Joe ZHANG & Bonnie WANG)

Editor's Note:

For the Chinese people, the past decade was epic and inspirational. The country, under the leadership of the Communist Party of China with Xi Jinping at its core, has made great endeavors in boosting its economy, deepening reforms, improving the rights of its people and acting as a responsible power globally.

China has been emphasizing the significance of bringing China-Africa cooperation to a higher level with more extensive fields. Global Times (GT) reporter Yan Yuzhu talked to Gert Grobler (Grobler), a former senior diplomat in the South African Department of International Relations and Cooperation, and senior research fellow with the Institute of African Studies at Zhejiang Normal University, on the significance of China-Africa cooperation, different attitudes toward Africa between China and the West, and how China's experiences can help Africa in the field of poverty alleviation and other areas. This is the sixth of the series.

The West Still Harbors Colonial Attitude Toward Africa

Gert Grobler YAN Yuzhu

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GT: In 2021, President Xi Jinping announced the China-Africa Cooperation Vision 2035, which not only incorporates the China Vision 2035, but also corresponds to the AU Agenda 2063 and the development strategies of African countries. What does this mean for China and Africa to strengthen further cooperation and build a stronger China-Africa community with a shared future?

Grobler: African leaders welcomed President Xi's "community with a shared future" because it is a reality that China and Africa have long forged its own strong community of a shared future. It is therefore nothing new to Africa.

Africa has in fact already adopted President Xi's vision of "building a community with a shared future for mankind" and it represents a key pillar in the rapidly expanding friendship between Africa and China.

What was of significance was that this impressive range of programs announced by President Xi was the result of joint consultation and preparation between China and Africa. This has further enhanced the notion and acceptance on the part of Africa, that it is indeed an equal partner and that China "listens to its voice."

China and Africa with its strong commitment and solidarity will continue to increase the role, influence and cohesion of the FOCAC, as its platform for collective dialogue and a mechanism for practical cooperation, in its endeavors to escalate its strategic partnership to the next level, toward the building of a China and Africa community with a shared future.

GT: Africa is a victim of Western colonization. Do you think the West still maintains a colonial master mentality when it comes to African affairs, even though Africa has been free from colonization for many years?

Grobler: I recently spent a few of years in China at the Institute of Africa Studies at ZJNU in Jinhua, in the dynamic Zhejiang Province which inter alia provided me with enriching insights into China, its culture and how China and its people view Africa.

In fact, from the outset, I sensed a strong fraternal bond and solidarity between the people of China and Africa on a daily basis. I detected a true, genuine feeling and wish on the part of China and its people to work with Africa and deepen its friendship and cooperation with the continent.

I further got the impression that China as a victim of colonialism itself, a developing country which once experienced widespread poverty but which had phenomenal success in lifting its population out of poverty, had a very sound understanding of Africa, its culture, its developmental and economic challenges and that China in fact listened to Africa's voice. As a South African diplomat, I worked in a number of Western countries, some of which were former colonial powers. In my interactions with their leaders and officials on cooperation with Africa, it was unfortunate that I sensed an underlying sentiment from time to time that smacked of paternalism and condescension. An approach that still reflected a "colonial" attitude that "we know what is best for Africa!"

Nowhere in my dealings with those countries, did I ever find the kind of strong and unwavering commitment to work with Africa on a basis of mutual respect, equality, good faith and a win-win basis, as I experienced in China.

GT: Poverty reduction is an important topic for the FOCAC in 2021. What lessons can China's experience offer to Africa?

Grobler: Since the 18th CPC National Congress in 2012, China has launched targeted poverty alleviation initiatives and made remarkable progress.

Africa has witnessed these profound changes and progress which China has made over the past 70 years, under the leadership of the Communist Party of China (CPC). Africa views these people centered policies, which is unmatched worldwide, as a miracle of development and as an essential first step toward the building of a society of Common Prosperity. Such an accomplishment is not only a milestone in the history of the Chinese nation's development and the history of global poverty reduction, but also a vivid illustration of the understanding of human rights with Chinese characteristics that "the rights to subsistence and development are basic human rights of paramount importance."

Africa recognizes China's historic achievements in eliminating absolute poverty and is furthermore aware that China stands ready to strengthen exchanges and cooperation with other countries on poverty reduction.

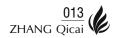
In fact, China's growth model and success have inspired and gave confidence to African countries and other developing countries in their ability to achieve development and continues to give momentum to their approach toward modernization and enhanced prosperity. China's strong opposition to hegemonism in whatever form as well as against unilateralism, protectionism and trade bullying and its consistent position that it will not seek to

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progress at the expense of others, is appreciated by Africa.

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(Editors: JIANG Qing & JIANG Shiyang)



[Studies in Literature]

Ecological Crises in A House for Mr. Biswas from the Perspective of Postcolonial Ecocriticism

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Abstract: This paper analyzes Naipaul's *A House for Mr. Biswas* from the perspective of postcolonial ecocriticism and points out the manifestations of and reasons for the destruction of the ecosystem in Trinidad. Both nature and humans in Trinidad are suffering, which can be mainly attributed to the colonial presence of such colonist countries as America and Britain.

Keywords: A House for Mr. Biswas; postcolonial ecocriticism; humans; alienation

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Written by the Nobel Prize laureate, V. S. Naipaul, A House for Mr. Biswas has received considerable attention from such scholars as Homi K. Bhabha, Zhou Min, etc. Some of the previous research on A House for Mr. Biswas (abbreviated as House) was conducted from the perspective of postcolonialism, focusing on the identity crisis and the tension between the local regions and the west. However, few studies have approached the intricacy of ecological problems in the House from the perspective of postcolonial ecocriticism. Postcolonial ecocriticism, as a new dimension in the development of ecocriticism in recent years, calls on the public to pay attention to the inter-racial relationship, the relationship between the first world countries and the third world countries in the course of studying the relationship between humans, nature, and environment, to scrutinize the

unique situations of ecology in the third world countries once enslaved or being enslaved by imperialism (Huggan, Tiffin). It is from the perspective of postcolonial $^{\odot}$ ecocriticism that the paper approaches the ecological crises in *House*.

1. Wretched Ecological World

In *House*, a wretched ecological world in Trinidad is presented. In this nightmarish scenario, nature is being intruded upon and damaged by humans with seemingly justifiable excuses; humans, as a species in this ecological system, are also subjected to physical ailments and mental sufferings.

Damaged nature

In *House*, the domain of nature is being dramatically reduced. For the sake of themselves, humans are invading the territory of nature, reducing nature to oil derricks, reservoirs, and cities in the name of pursuing development; in the name of seeking survival, they have cultivated lands for farming. When Biswas went back to where he was raised in his childhood:

He saw nothing but oil derricks and grimy pumps [...] The pond had been drained and the whole swamp region was now a garden city [...] The stream where he had watched the blackfish had been dammed, diverted into a reservoir, and its winding, irregular bed covered by straight lawns, streets, and drives. (Naipaul, 1984: 41)

Throughout Biswas's whole life, no matter where he was, be it his childhood hometown, the town where the Hanuman House was located, or the Green Vale, or Port of Spain, he could always catch sight of rice paddies, the sugarcane estates. As industrialization and urbanization are gaining momentum, the intrusion on nature by humans will also escalate, depriving animals and plants of their habitats and posing a threat to their very survival.

A very important component of ecocriticism is the criticism of industry and sci-tech (Wang, 2011: 229). Mechanized industrial production, as represented by railways, coal mines, and oil derricks has a contaminated nature. Humans are also extracting warping amounts of natural resources from nature that are non-renewable. Such artificial projects as reservoirs and roads have changed landscape and weather conditions, posing higher risks of natural disasters like earthquakes and blocking the migration of animals and fish. Rice paddies in a way guarantee food supplies, yet the methane released by them is a considerable reason for global warming. The development of agriculture and industry and the operations relevant to them not only undermine the ecological system on a regional scale but on a global scale at large.

In the course of nature being destroyed, humans dwelling in Trinidad are suffering from their dilapidated dwellings and physical and mental problems. Their interpersonal relationship was filled with coldness and indifference.

One of the keywords in the title of *House* being "house", the houses and the dwellings of people in the work have been portrayed by the author objectively and elaborately that borders on anatomical precision. These houses

and dwellings were either depressing or dirty. Firstly, they were so depressing that people could hardly breathe within. The Hanuman House of the Tulsi family located on the Street of Arwacas seemed "bulky" (Naipaul, 1984: 80), but was in reality "not deep" (Naipaul, 1984: 82). "The side walls were windowless" (Naipaul, 1984: 80). The shabbiness and darkness within the house were depressing enough, which was made worse by the fact that the house was shared by Mrs. Tulsi, her sons, daughters and sons-in-law, and their children, widows in the Tulsi family and the boarders. Moreover, the dwellings depicted in *House* are characterized by squalidness. In Green Vale, "The barrackyard, with its mud, animal droppings and the quick slime on stale puddles" (Naipaul, 1984: 209) was nauseating, while the sight of the slum areas in the Port of Spain with "the stench of cesspits and overloaded septic tanks" (Naipaul, 1984: 441) was simply overwhelming.

Many characters in *House* are physically frail, suffering either physical deformity or strange diseases, many of whom have a premature death. Because of malnutrition, Biswas was born to be six-fingered. Biwas's daughter Savy had bowlegs, while his son Anand had asthma. Mrs. Tulsi had chronic diseases. A favorite topic for the women in the Tulsi's was what medication their husbands should be taking, taking delight in exchanging the effectiveness of such medicines as hartshorn and Dodd's Kidney Pills, which shows the lack or loss of virility of the male in this area. Death was a frequent visitor to the Tulsi's, many women in the Tulsi's witnessed the premature death of their husbands and children. No wonder the number of boarders and widows in the Tulsi's kept swelling who lost source of income.

Most of the characters in House are mentally inert and listless. The assistants in the Tulsi store "were grave and unenthusiastic" (Naipaul, 1984: 82). Hari, the pundit in the house, also a sluggish man of few words, spent most of his time sitting by the side of the long table, "he was obsessed with his illnesses, his food and his religious books" (Naipaul, 1984: 115). Biswas, neither down-to-earth nor celestial, was made to feel "I am not whole" (Naipaul, 1984: 268) by the cruelty of reality and disillusionment in life. He once had an anxiety disorder, and after the recovery spent the rest of his life in disorientation and indifference. For these listless people, alcohol became indispensable, no wonder in pubs or bars "at any time of the day there were people who had collapsed on the wet floor" (Naipaul, 1984: 59).

Indifference, conflicts, and mutual hostility characterize the interpersonal relationship in *House*, the characters in *House* struggle in a beastly fashion. After visiting his sister Dehuti's home, Biswas came to the realization that "the links between Dehuti and himself, never strong, had been broken, that from her too he had become separate" (Naipaul, 1984: 73). After marriage, Biswas was estranged from his mother, not sure "whether she was glad to see him" (Naipaul, 1984: 191). The colossal Tulsi family seemed to be wafting with motherly and sisterly love and filial piety, however, but it was impossible for Shama to derive real emotional and economic support from her sisters and the family (Zhang and Wang, 2015: 71).

2. The Western Colonial Presence

Upon close reading, we may find elaborate depictions of the colonial presence in *House*, which contributes to the ecological deterioration in Trinidad.

Firstly, colonial presence in Trinidad presents itself in the form of military presence. When the Tulsis settled down in Shorthills, the Americans also went there, with the aim of establishing a military base. The military

lorries shuttled in and out. When they were running short of lorries, they even hired lorry from W. C. Tuttle (Naipaul, 1984: 407). In order to facilitate transportation, the Americans expanded the roads. Outside the Port of Spain, "the smooth new American highway" was built, the locals "were checked on entering and leaving the American army post by soldiers with helmets and rifles" (Naipaul, 1984: 503). *House* doesn't directly portray the cruelty of the colonizers, but their atrocities will be recorded in history forever. In *House*, there was a sketchy description of the town Biswas once lived in transformed into an oil field (Naipaul, 1984: 41) and there was no further information of oil fields in Trinidad. In reality, the oil fields had practically been controlled by America and Britain combined before WWII. The Trinidadians launched resistance against the oppression. The year 1936 witnessed the bloody putting down of the oilfield workers' strikes against the colonial rule, and many people were killed (Mei, 1966: 31).

The colonial presence also hampers the economic development in Trinidad and accounts for the economic backwardness in this area. In *House*, we see the sugarcane fields and rice paddies stretching as far as the eye can see, yet somehow we see a little description of other crops, which gives us pause for thought. Is this singular agricultural setup lacking diversity and variety at all reasonable? It is not difficult to find the answer. The dire consequences of such a deformed agricultural pattern show themselves pretty quickly. The production of flour was not adequate in this country, thus placing a premium on imported flour, which is proven by one detail in House. The cranes at the docks were in such a busy operation that an accident happened where a reporter was killed by "a crane load of flour accidentally falling from a great height" (Naipaul, 1984: 325). Moreover, despite the import of flour, the supply was far from enough. "There were fights in shops for hoarded, weevilridden flour" (Naipaul, 1984: 377). This unreasonable agricultural structure is to some degree attributable to the unique geographical features of Trinidad, but to a greater extent has resulted from the colonial rule. Given the excellent natural conditions in the Caribbean areas, e. g., fertile land and ideal weather, the colonizers established over here booming plantations, transforming the Caribbean areas, including Trinidad, into land supplying cash crops and raw materials for the suzerains (Xue, 1987: 14). Under colonial rule, Trinidad became the "plantation" or "farm" for the suzerains, "the former trading cash crops for industrial products and cereals" (Xue, 1987: 16). After WWII, the diversity in agriculture was enhanced in the Caribbean areas, the volume of cereals increased, however, cash crops still dominated agriculture (Xue, 1987: 14).

The influence of American and British industrial products on Trinidad finds good expression in *House*. The sale of cars made in America and Britain was booming. In order to further boost the sale, they printed advertisements on calendars. "The religious pictures on the walls were crowded out by calendars from the distributors of American and English motor vehicles, and an enormous framed photograph of an Indian actress" (Naipaul, 1984: 243). The car bought by Biswas was a Perfect made in the U. K. The publicizing of industrial products may appear in the seemingly unlikely cranny. Biswas bought an exorbitant American book named *Newspaper Management*, however, it "turned out to be an exhortation to newspaper proprietors to invest in modern machinery" (Naipaul, 1984: 341). Apart from the official import of industrial products, there was the thriving hidden illegal smuggling. When Biswas went aboard American ships on the South American tourist route, he "was invited by a ship's cook to join a smuggling ring that dealt in-camera flash-bulbs, declined and was unable to write the story because it would have incriminated his late predecessor" (Naipaul, 1984: 326). The fact that the American and British industrial products may prosper in Trinidad proves "the very poor

industrial development of Trinidad, whose market of industrial products has been encroached upon by the capitalist superpowers" (Jiang, 1983: 25).

Due to the influence of the long colonial rule and the economic influence of America and Britain in Trinidad, the agricultural products in Trinidad lacked diversity, the industrial development was slow and poor, and therefore Trinidad had to rely on imported industrial and agricultural products. "The deformity of a singular economic structure has accounted for the chronic poverty and backwardness in the Caribbean areas" (Xue, 1987: 16). The economic oppression of the Trinidadians and the oppression of nature by introducing this unreasonable agricultural system into Trinidad are closely related. This agrees with environmental racism which emphasizes "the connection, in theory, and practice, of race and the environment so that the oppression of one is connected to, and supported by, the oppression of the other" (Curtin 2005: 145).

Additionally, the military presence and economic influence of America and Britain enabled them to hold sway over the administration and legal system in Trinidad. As the number of Americans grew, there was correspondingly a rise in the number of illegal immigrants who worked for these Americans. In order to guarantee a sufficient workforce there, America forced Trinidad not only to accept the entry of these illegal immigrants from other islands but also to pass laws "against the indiscriminate eviction Shama had so coolly practiced" (Naipaul, 1984: 433).

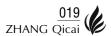
The western colonial presence was also responsible for the cultural identity crisis of the Trinidadians, the immigrants from India included. In the Tulsi's, Christmas was observed as an important festival, while the unique Indian festivals were fading out of sight and mind. Their religion was getting diluted in their lives, "the religious pictures on the walls were crowded out by calendars from the distributors of American and English motor vehicles, and an enormous framed photograph of an Indian actress" (Naipaul, 1984: 243). They look forward to the quality education in suzerains, anxious to send their children to America and Britain. When Owad who had been studying in England planned to return, in the Tulsi's "everyone was excited", "his exact attainments were not known, but were felt by all to be extraordinary and almost beyond comprehension" (Naipaul, 1984: 524). These Trinidadians sent their sons to either America, Britain, or Canada to pursue the career of doctor or dentist. They attached great importance to the suggestions of the American or British magazine editors. They enjoy listening to such American songs as "You Are Always in My Heart" (Naipaul, 1984: 495). They regarded the possession of a set of Morris furniture² as a symbol of status. In order to get more knowledge about staying fit, they made a point of reading That Body of Yours, an American magazine. They regarded decent their children as working for the Americans. The American and British colonizers' influence on these Indians living in Trinidad in terms of religion, education, music, career choice, mode of living, and the ideas concerning health was so huge that the Trinidadians experienced an enormous identity crisis, associating the suzerains with holy paradise. When Anand was depressed, agonizing over what to do for the future, Biswas timely sent a book named *Outwitting Our Nerves* (Naipaul, 1984: 586) written by two American psychologists, willingly and happily submitting his son's mental well-being to the control and manipulation of the Americans. In the course of European conquest and global domination, "not only were other people often regarded as part of nature-and thus treated instrumentally as animals but also they were forced or co-opted over time into western views of the environment" (Huggan, Tiffin 2010: 6). The assimilated Trinidadians are also likely to exploit nature.

Because of the economic and political control of the western colonial powers, the natural exploration and utilization in Trinidad most probably won't be ecology-friendly, for "rapaciousness was one of her people's (American's) faults" (Naipaul, 1984: 532). Therefore, there existed in Trinidad so many sugarcane fields and oilfields that encroached and intruded upon nature. The Trinidadians, living under the yoke of the direct or indirect colonial rule, are bitterly wallowing and struggling because of the resulting economic poverty and wretched lives. They were not adequately fed or clothed, having no guarantee for their health, thus disease and premature deaths would only be commonplace. This is a country where poverty, uneven distribution coexisted simultaneously. Unable to satisfy their basic needs, besides resenting the colonizers, there would emerge an assortment of conflicts among the people themselves. Moreover, *House* seems to express a point of view that living under the tremendous yoke, unless the people can face up to and fight against the oppression, the mutual empathizing would be practically useless. "How ridiculous were the attentions the weak paid one another in the shadow of the strong!" (Naipaul, 1984: 554)

Lu Xun, the famous activist, and satirist in China, once remarked, "I now understand the reason why a dying race remains silent. Silence, oh silence! If we do not explode from the silence, then we shall perish in silence" (2017: 76). There were many dauntless fighters and warriors among the Trinidadians, but there were also indifferent and cowardly onlookers who look up to the mighty colonizers with awe and respect, who had "left a memory of reckless valor" (Naipaul, 1984: 174). They were looking up to the very appropriate spokesperson of colonizing capital, i. e., money, the heaps of silver and copper, the stacks of greenish notes. They "gazed at the coin with awe, then kissed it" (Naipaul, 1984: 443). Brainwashed by the ideology of the American and British colonizers, they followed the lead of the colonizers blindly, only to lose the national quintessence and pride, the very qualities which make them unique. They look listless and indifferent. Some of them partake in the features of A Q in Lu Xun's works, despising their own culture while at the same time waiting anxiously for a permanently unlikely process of assimilation into the foreign culture dominated by the colonizers. They hover around in the limbo-like phantoms, belonging neither to the category of living beings nor to that of ghosts.

3. Conclusion

In *House*, the damaged ecology in Trinidad is presented, where nature has been encroached upon by roads, oil derricks, and profitable crops. Under direct or indirect harm, nature is becoming dilapidated. Suffering from such miserable problems as terrible dwellings, physical ailments, mental inactivity, and mutual indifference, the Trinidadians fail to comfort each other through the alienation between each other. The primary reason for these problems is the control the western countries exert over Trinidad in economy, politics, and culture, leading to the disruption of the whole ecological system. The local Trinidadians who have been assimilated into the western view of nature are also likely to cause further damage to nature. Even though it seems that in *House* Naipaul doesn't seem to come up with a Utopian solution to the complicated ecological problems in Trinidad, the novel certainly reflects Naipaul's serious reflection on the ecological crises in the third world countries in the postcolonial context.



Note:

- ① The definition of the postcolonial era in this paper agrees with the proposition put forward by Ashcroft, Griffiths and Tiffin. They "use the term 'post-colonial', however, to cover all the cultures affected by the imperial process from the moment of colonization to the present day." see Ashcroft, Bill, Gareth Griffiths and Helen Tiffin. The Empire Writes Back: Theory and Practice in Postcolonial Literature. London: Routledge, 2002, 2.
 - 2 Branded furniture manufactured in the U. K.
- ③ In The Analects of Confucius, Confucius regarded that if a country were to prosper, the monarch should be concerned more with the even distribution of resources and unity among the nation than with poverty and scarcity of resources.

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(Editors: Bonnie WANG & Joe ZHANG)



A Corpus-based Study on Stylistic Features of *Lisao*'s English Translations by the Yangs and Xu Yuanchong

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Abstract: Among a number of English translations of *Lisao*, Yang Xianyi and Gladys Yang's version and Xu Yuanchong's version are often regarded as the most representative ones. The article, based on the self-built parallel corpus of *Lisao* and the corpora of English British Romantic Poems, explores the stylistic features of *Lisao*'s English translations of the Yangs and Xu Yuanchong through analysis of the collected data. The findings have shown that the Yang's version is more variable in the use of words, more complex in sentence structures and more difficult in readability than Xu's; The former has the tendency of explicitation while the latter simplification; In addition, the Yang's version is faithful and close to the original structure, and Xu's is simple and smooth in diction and sentence structure. The stylistic differences of the two translations by the Yangs and Xu can be attributed to the translators' different views on translation, their purposes and the strategies they chose.

Keywords: corpus; Lisao; translation styles; comparative studies

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1. Introduction

In the 19th century, Chuci gradually entered the western world through translation, causing a stir and even

leading a trend among the community of sinologists. Lisao, as one of the major texts of Chuci, is the first piece from the anthology introduced to the west. Because of the poem's cultural, historical and artistic significance in addition to its wide dissemination and profound influence, the study on English translations of Lisao is conducive to: a. gaining an in-depth understanding of Lisao, how it is translated, what styles do representative translators use to represent the classic from the East; b. offering a set of epistemological and methodological examples for further studies on other texts of *Chuci* or even Chinese traditional poems and their translation products, strategies, styles, etc. The study, as the title suggests, features translation stylistic criticism which can evidently capture losses and gains of literary works (Zhang, 2002: 54), yet the subjective comparative studies, without objective data, are less representative and objective. At the turn of the 21st century, Mona Baker, who firmly advocated a "corpus-assisted" method to mine translators' "fingerprints", carried out a series of "quantitative" + qualitative" studies on translation stylistics, which somehow made up for the flawlessness born with the introspective way of study, and therefore blazed a new trail for the research of translators' styles. Generally, corpus-based translators' style studies always take the quantitative analysis of the features of the translated works as a point of departure, which, inevitably, incorporate lexical, syntactic and textual aspects (Hu, 2011: 115). Although some scholars may argue poems are based on spirits, aesthetics or forms, the article holds that poetic beauty is, somehow, conveyed through a variety of estrangements from the daily language, and thus poetry can never come to be without wordplays, line designs, and certain textual arrangements. Hence, the study of poetry translation styles should, as those for other literary genres, start from linguistic features.

Therefore, in the sections below, the author used Wordsmith 6. 0, Free Web CLAWS Tagger, and Text Statistics and Readability onAprosto (https://aprosto.com/text-statistics/) to compare the two renderings by Yang Xianyi (2001) and Xu Yuanchong (2009), and the self-built British Romantic Poetry Corpus in terms of STTR (Standardized Type Token Ratio), High-Frequency Words, Sentence/Line Length, and Readability, and, with real examples, interpret the findings from lexical, syntactic and textual elements to find out the style differences and similarities of the two Chinese poet translators.

2. Corpus Building

Based on the requirements for the corpus to be both available and suitable (Hunston, 2002: 26) and the definition that "translators' style is represented by different translations of the same original text" Saldanha (2011: 2), the study created The *Lisao* English Translational Corpus involving Yang's *Li Sao* by Foreign Language Press in 2001 (2,922 words) and Xu's *Sorrow after Departure* published by China Foreign Publishing Corporation in 2009 (2,692 words). After inputting the corpora, the author started the initial process of denoising and unifying text formats so to lay a foundation for later segmenting, tagging and aligning.

To optimize the objectivity and make the study more comparable, corpus-based translator's style studies should, apart from collecting translations, "include original texts that have a comparable and analogous relationship in the target language" (Hu & Xie, 2017: 17). The 18th-century romantic literature in Europe features fantasy, analogy, and direct expression, mostly transcending reality and not confined to detailed descriptions, which, in one way or another, resembles the hyperbolic and romantic styles of *Lisao* (Xie, 2015: 122). With free diction, British romanticism severing itself from the dogmatic tradition chants for freedom. The

school, with great analogous values, is adept at expressing emotions through objects, (Chen & Zhao, 2012: 127), which is similar to "metaphors on plants and beauties" in *Lisao*. In such a conclusion, the study, referring to *The History of British Romantic Poetry* by Wang Zuoliang, built a Monolingual Corpora of the Original British Romantic Poetry consisting of 210 pieces of works by poets like S. T. Coleridge, W. Scott, P. B. Shelley, W. Wordsworth and G. G. Byron, with the total size of 136, 266 words.

Additionally, to extend the paper's academic significance by figuring out the universals of translation, defining linguistic features of romantic poetry, and finding differences between translated poetry and general English texts, the study also referred to statistics of the English Translational Corpus of the Chinese Poetry (Gao, 2015), the Brown Corpus and the British National Corpus.

3. Data Collection and Statistics

3.1 STTR

Translators' styles include typical language use whose basic unit is the word (Hu, 2011: 115), and the richness of lexical application can more or less reflect translators' styles. Type Token Ratio (TTR) is a common parameter for judging text difficulty, and variety of words, and it is positively associated with vocabulary richness (Baker, 2000: 250). Stubbs *et al.* extensively applied TTR in the 80s and the 90s to calculate the lexical density of texts, but with the increase of the word number, there appear more functional words and may consequently lead to a result less objective. Given that, the study used the "Statistics" function in the Wordlist module of Wordsmith 6.0, taking 1,000 words as a unit to make statistics and comparisons on STTR of the three sets of corpora (Yang's, Xu's, and British romantic poetry). Besides, to ensure objectivity, the study took the English Translational Corpus of the Chinese Poetry (Poetry Translated) by Gao Bo (2015) as a reference.

	Token	Туре	STTR
Yang's	2, 922	1,099	50. 25
Xu's	2, 692	905	45. 55
Romantic Poetry	136, 266	13, 591	51.64
Poetry Translated	150, 585	13, 215	48. 23

Table 1 Token, Type and STTR of the Four Corpuses

According to Table 1, Xu's version (45.55) has less lexical richness than Yang's (50.25), English Translation of Chinese Poetry (48.23) lies between the former two, and British romantic poetry (51.64) sees the highest number. From the statistics, four points could be drawn: a. XuYuanchong shows simplification in poetry translation whereas Yang Xianyi's work is more like the English original, and by the reference to the English translation of the Chinese poetry, the two translations are divergent in the aspect of lexical difficulty; b. British romantic poetry is obviously higher in terms of lexical richness than original English poetry of different kinds (46.93) (Gao, 2015: 86), which means that romantic poems are more complex in diction; c. the STTR of the least lexically variable text by Xu Yuanchong is higher than that of translated novels in English (44.63)

(Olohan, 2004), which means that the translations are strongly dependent on genres, and poetry translations have a higher lexical richness than that of narrative works; d. STTRs of both translations by Xu and Yang are lower than that of the original English poetry, which verifies that "translations of the narrative texts are less variable in words than the original" (Laviosa, 1998) is also appliable in poetry, and it also proves the statement that "poems are confined to structures and therefore translators are limited to diction" by Wang Dongfeng (2018).

3. 2 High-Frequency Words

The formality of texts could be revealed by particular high-frequency words. Baker (2000) utilized Translational English Corpus (TEC) to undertake a quantitative analysis of structures of academic language, and the research showed that certain language structures are reflective of translators' styles. Feng Qinghua (2008: 225) pointed out that the frequency of "the" and "of" can reflect the difficulty of phrases and syntactic structures, and the frequency of the above-mentioned two words in translations can demonstrate their formality. When it comes to poetry, Yan Yidan (2011) quantified the styles of the representative English translations of Li Bai's poems by high-frequency words; Xing Jiafeng & Yan Minfen (2016) analyzed the overall stylistic features of Shakespearean sonnets with a keywords list; Peng Lizhi & Liu Zehai (2019) discussed poetry translators' styles with high-frequency words. The study, using the function of "Wordlist" in Wordsmith 6.0 and following the concept by Laviosa (1998): The words that appear over 0.10% in the whole text could be counted as high-frequency words, calculates the top10 highly frequent words in the three sets of corpora of Yang's and Xu's versions and British romantic poetry. Besides, to differentiate the formality of the translations and explore the difference between the original English poetry and general English texts, the study also refers to the 2,000 most commonly used vocabularies in the Brown Corpus to make the list of top 10 words.

NT.		Yang's			Xu's		Ror	nantic Po	etry	В	rown Corp	ous
No.	Word	FRQ	PCT	Word	FRQ	PCT	Word	FRQ	PCT	Word	FRQ	PCT
1	the	175	5. 99	oh	186	6. 91	when	495	0.36	the	69 975	7. 00
2	I	104	3.56	I	130	4.83	are	449	0.33	be	39 175	3. 92
3	and	93	3. 18	the	115	4. 27	so	423	0.31	of	36 432	3. 64
4	my	88	3.01	and	106	3.94	this	422	0.31	and	28 872	2. 89
5	to	81	2.77	my	60	2. 23	thee	417	0.31	a	26 800	2. 68
6	in	52	1.78	to	49	1.82	like	413	0.30	to	26 190	2. 61
7	with	42	1.44	in	33	1. 23	what	413	0.30	in	21 338	2. 13
8	of	38	1.30	a	28	1.04	where	400	0.29	he	20 033	2.00
9	their	36	1.23	of	27	1.00	at	398	0.29	have	12 458	1. 25
10	they	26	0.89	with	25	0.93	who	393	0. 29	it	11 247	1. 12

Table 2 High High-Frequency Words in the Four Corpuses

From the Table 2, it can be observed that Yang's version is, compared to the Brown Corpus, 1.01% and 2. 34% lower in terms of the frequency of "the" and "of" respectively; Xu's work is 1.72% and 0.30% lower in the same aspect.

To further distinguish the texts, the study conducted loglikelihood calculations on different data. The use of "the" and "of" between Xu's and Yang's versions demonstrates a slight difference (LL=8.07, Sig. <0.004; LL=1.08, Sig. <0.299), Xu's work has an obvious difference from the Brown Corpus in terms of frequency of "the" and "of" (LL=33.17, Sig. =0.00; LL=72.36, Sig. =0.00), and the frequency of "the" in Yang's work does not show drastic difference from the Brown Corpus (LL=4.45, Sig. <0.035), but that of "of" stages a tremendous variety (LL=58.49, Sig. =0.00). It means that in terms of textual formality, the Brown Corpus >Yang's >Xu's. In addition, it is known from the high-frequency words of the British Romantic Poetry Corpus that the original English poetry are extremely different from general English texts in style, even without high-frequency words juxtaposed. Many wh-question markers and "like", the indicator of simile, frequently are found in the former, which generally means that questions and rhetorical devices like simile in British romantic poetry frequently appear. As is said, Xu's and Yang's renderings show affinity to the general English texts, demonstrate a proclivity of generalization, and bear less literary styles.

The percentage of high-frequency words in a text goes along with the repeatability of easy words whose frequency indicates the level of readability of a certain text (Zhou, 2019: 27). Therefore, the study calculates the frequency of the top20 words in the four sets of corpora mentioned above in order to discover the difficulty of the two translations.

	Yang's	Xu's	Romantic Poetry	Brown Corpus
FRQ	936	944	7793	36 9678
PCT	32. 03%	35.07%	5.72%	36. 97%

Table 3 Frequencies of the Top20 Words

From Table 3, the top20 words in both translations and the Brown Corpus share quite the same percentage. The percentage of the top20 words in Xu's version is 3.04% higher than that of Yang's, and the Brown Corpus is 1.9% higher than Xu's rendering in the same regard. Surprisingly, the same parameter of the original romantic poetry is 26.31%, 29.35%, and 31.25% lower than the rest, which means words used in the romantic poetry are the least common, and it is followed by Yang's translation. On the other hand, Xu's version and the Brown corpus have the most common words and are strongly communicative. The loglikelihood says that in terms of the percentage of the high-frequency words, the difference between Xu's and Yang's versions is statistically significant (LL=3.85, Sig. <0.050), the difference between the Brown Corpus and Yang's version also bears statistical significance (LL=20.11, Sig. = 0.00), but there is no obvious difference found between the Brown Corpus and Xu's translation (LL = 2.67, Sig. < 0.102). Yang's translation, Xu's translation, and the Brown Corpus have dramatic statistical significance when compared to the British romantic poetry respectively (LL = 1615. 64, Sig. = 0.00; LL = 1767. 68, Sig. = 0.00; LL = 51605. 25, Sig. = 0.00). Laviosa (1998) and Wang Kefei (2004: 183) put forward that "The extensive use of high-frequency words is the representation of translational simplification". From the data, it is known that poetry translation data can justify the hypothesis. Additionally, figures related to high-frequency words in both translations are close to that of the general English texts, and this tells that the "normalization" hypothesis in German-English translations by Kenny (2001) is also proved to be available in the sphere of Chinese-English poetry translations.

3. 3 Word Density

Word density is the proportion that content words take in the whole text, which is a criterion to tell the information load of a text. The higher content words percentage means more information (Baker, 1995: 237), more conciseness in diction, and a lower level of foreignization. Baker found that the word density in TEC is evidently lower than that of the original, and she inferred that this would be the result caused by translators consciously or unconsciously (Baker, cited in Liu *et al.*, 2011: 61), which could explain that the word density is correlated with translators' styles. In China, scholars like Huo Yuehong (2010), Chen Jiansheng, Gao Bo (2011), and Zhao Ying (2015) looked into translators' styles by adopting word density as a parameter, which scored remarkable achievements.

To further verify the styles in word use of the two translations, the study, in this section, takes word density as a parameter and uses Free Web CLAWS Tagger to seg and tag the two translations and original British romantic poetry. For reference, the author, based on the POS classifications of *Chuci* by Qian Zhiyong *et al.* (2014: 106), and monographs such as *Annotations of Chuci* (《楚辭集注》) by Zhu Xi, *Interpretation on Chuci* (《楚辭通釋》) by Wang Fuzhi and *New Thoughts on Chuci Studies* (《楚辭新論》) by Shi Zhongzhen, tags the original Chinese text of *Lisao*, and finally begets the total lexical items of 2, 157. Besides, the article makes statistics on the frequency and percentage of nouns, verbs, adjectives, and adverbs, the four types of content words that have stable meanings (Biber *et al.*, 1999) in the texts, and calculates the word density by the formula first designed by Ure: word density = content words / total words * 100%. The results are seen in Table 4 and Figure 1.

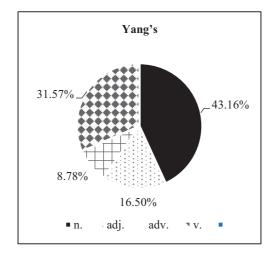
	Noun	Adjective	Adverb	Verb	Total	Density
Yang's	659	252	134	482	1 527	52. 26%
Xu's	582	221	100	408	1 311	48. 67%
Original	31 565	12 426	6 560	16 812	67 363	49. 43%
Lisao	504	114	191	540	1 349	62. 54%

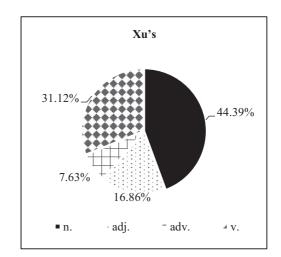
Table 4 Percentage of Content Words

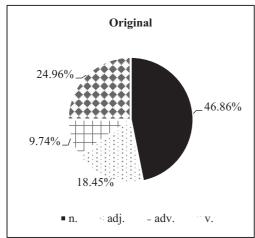
In terms of the word density, it is known that the British romantic poetry (49. 43%) is between Xu's (48. 67%) and Yang's (52. 26%) works, whereas the Chinese original (62. 54%) is the most concise and information-loaded. As for the percentage of each type of the content words selected, Xu's, Yang's, and romantic English poetry are quite the same, but English texts show differences from the Chinese original. Loglikelihoods are seen in Tables 5, 6, 7, 8.

	Yang's	Xu's	Original
Yang's			LL=0. 47 Sig. < 0. 495
Xu's	LL=0.55 Sig. < 0.457		LL=2.78 Sig. <0.095
Original	LL=0.36 Sig. <0.550	LL=1.63 Sig. < 0.202	LL=0.04 Sig. < 0.847

Table 5 Loglikelihood of Nouns







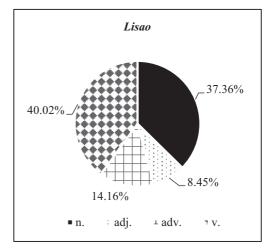


Figure 1 Content Words Percentage

	Yang's	Xu's	Original
Yang's			LL=0.78 Sig. < 0.376
Xu's	LL=0.29 Sig. < 0.593		LL=2.48 Sig. <0.115
Original	LL=19.85 Sig. = 0.000	LL=15. 18 Sig. = 0. 000	LL=40.48 Sig. = 0.000

Table 6 Loglikelihood of Adjectives

	Yang's	Xu's	Original
Yang's			LL=0.31 Sig. <0.575
Xu's	LL=2.56 Sig. <0.109		LL=7.21 Sig. <0.007
Original	LL = 34.81 Sig. = 0.000	LL=52.67 Sig. = 0.000	LL=57.34 Sig. = 0.000

Table 7 Loglikelihood of Adverbs

	Yang's	Xu's	Original
Yang's			LL=36.3 Sig. = 0.000
Xu's	LL=1.59 Sig. <0.208		LL=15.81 Sig. = 0.000
Original	LL=44.35 Sig. = 0.000	LL=59.30 Sig. = 0.000	LL=212. 10Sig. = 0. 000

Table 8 Loglikelihood of Verbs

From the data above, it is known that the two translations by Yang and Xu are almost the same in content words used, but the former has more adjectives, and verbs, especially adverbs account for even a greater proportion. This shows the language use in Yang's text is more dynamic. Compared with British romantic poetry, the two translations have fewer nouns, adjectives and adverbs. English texts are generally higher in proportions of nouns and adjectives than those of the Chinese original. The figure reveals three points: a. Yang's version is better at description, more affected by the "verb-oriented" expressions in the English original, whereas Xu's work inclines to use more nouns, and the latter is more influenced structurally by poetic features of Chinese poems that "generally have a concise diction, and images, especially natural images frequently appear" (Yuan, 2009: 5); b. the two translations are eclectic between the Chinese original and the British romantic poetry in terms of information conveyance, which, somehow, proves the existence of the "third code" in poetry translation (Frawley: 1984/2001); c. in comparison with the English poetry, the Chinese one observes more verb use, with the poetics of "expressing through images", and because of the features embedded in the language of Chinese and Chinese poetry, the two English translations are somehow influenced by the effect of source language shining through (Teich, 2003: 145).

3. 4 Sentences/Lines

Olohan (2004: 149) and Hu Kaibao & Xie Lixin (2017: 14) pointed out that the mean sentence length is one of the indicators of translators' styles. Generally, mean sentence length and standard deviation of sentence length are positively correlated to syntactic structures and variations respectively (Chen & Li, 2016: 24). Poetry is normally presented in form of lines and stanzas. Lines and sentences are different. The former is the structural representation while the latter takes the role of a meaning unit. Therefore, lines, stanzas and the relationship between the two can be counted as important parameters to determine translators' preferences for the content or structure of the original poem. Toivanen *et al.* (2012) built a corpus to analyze the content and form of the poetry, but they, only considered grammar and rhyme in the section on poetic structures, without taking poetic lines into consideration; Wang Feng & Liu Xueqin (2012) investigated the translator's styles of a couple of English versions of *The Ballad of Mulan* from the perspective of sentences, but this study did not involve poetic lines. Given that, except for the total number of sentences (TNS), sentence mean length (SML), and standard deviation of sentence length (SD), the research also includes the number of poetic lines (PL) and their mean length (LML), for the purpose of looking into the extent to which translators prefer structures over the content. Wordsmith 6.0 is the tool used for sentence-related data collection and EmEditor is applied to count the total number of the lines. Results are seen in Table 9.

	TNS	SML	SD	PL	LML
Yang's	145	20. 15	8. 68	374	7. 81
Xu's	366	7.36	1.61	374	7. 20
Original	4 852	28.08	29. 92	19 330	7.05

Table 9 Sentence/Lines

From the table above, the mean sentence length of British romantic poetry is much higher than that of Yang's and Xu's translations, and Yang's work is, in comparison with Xu's, closer to the original English poetry in the syntactic aspect. From the perspective of mean sentence length, it is known that the top-down sequence of the texts in terms of syntactic difficulty is the British romantic poetry, Yang's and Xu's versions. This means the statement that "(The) sentence length of the translated narrative texts is evidently higher than the original" (Laviosa, 1998: 564) is contradictory in the genre of poetry¹, but the figure, meanwhile, proves what Gao Bo (2015: 88) once put forward that: The standard deviation of sentence length of the English translations of Chinese poetry is lower than the original English poetry². The two translations share the same number of poetic lines, but on average, there are more words per line in Yang's version, which means the rendering carries more information in each poetic line. Therefore, it is more complicated and more content- rather than structure-oriented. Ratios of the total sentences to lines of Yang's, Xu's and British romantic poetry are 0. 39, 0. 98, and 0. 25. That could be interpreted that, there are, on average, 0. 25, 0. 39, and 0. 98 sentences in each line of the romantic poetry, Yang's and Xu's versions respectively. It shows the original romantic poetry is more casual in the layout of poetic structures. Additionally, Yang's work is similar to the English original in such a regard, and Xu's translation seems more fixed, nearly remaining the one-sentence-per-line structure as the Chinese original.

3. 5 Readability

The stylistic statistics on the textual level mainly target the readability which is closely related to the acceptability among the target readers, a parameter interrelating with the discourse and translators' strategies. (Huang, 2014: 80) Wang Kefei & Huang Libo (2007: 102) thought that translational simplification can be divided into compulsory and non-compulsory categories, and the latter consists of factors such as the translation process, translators' preferences, and target text norms. From this standpoint, we know that comparing the readability of different translations of the same original text while referring to the original text of the same genre in the target language can, more or less, mine the translators' habits, decisions in the translation process, and the norm of the target text. The study then uses Text Statistics and Readability on the Aprosto website to make statistics on Gunning Fog Index, Coleman-Liau Index, ARI, Flesch Reading Ease of the three corpora involving Yang's and Xu's Lisao and the original British romantic poetry, and respective figures are seen in Table 10.

	Yang's	Xu's	Original
Gunning fog index	8. 48	6. 69	10. 96
Coleman-Liau Index	10. 37	7. 46	10.77
ARI	9. 23	4. 23	11.38
Flesch Reading Ease	56. 87	74. 11	52.72

Table 10 Readability Indexes

The text with a higher Flesch Reading Ease means that it is easier (Flesch, 1948: 221), and except for this parameter, other indexes could be referred to as the grade when native speakers can easily understand the text. For example, provided that the number is 1, the first-grader native speakers could easily understand the specific text. Without any exceptions, the high-low sequence of the textual difficulty is British romantic poetry > Yang's > Xu's, and such a result verifies the statement in previous sections, and the data, as well, demonstrates the translation universal hypothesis of "(translators') unconscious simplification on the ST information" (Baker, 1996: 176).

4. Representations of Translators' Stylistic Features

The two translations are compared on lexical, syntactic and textual aspects, and some examples are made below to explain and demonstrate the data obtained in the previous section.

4. 1 Lexical Styles

Based on STTR, high-frequency words, word density, the study found that: Yang's work is rich in diction, more narrative and literary (less commonly used words). It tries to represent the archaic style of the Chinese original, with more difficult word and more information load per syntactic unit throughout, and chooses to remain the cultural features of the Chinese original, putting much more effort into semantic translation. Xu's rendering is concise in word use, simplified, easy to understand, communicative and carries less information per unit. It puts more emphasis on creating a harmonious relation among poetic structure, aesthetics, rhymes and rhythms, thus considering more the holistic presentation of the poem, because of which sound, structure and meaning are more likely to be intensively and collectively shown in the translation.

Example 1:

Chinese original:

朝搴阰之木蘭兮,夕攬洲之宿莽.

Yang's:

Magnolias of the Glade I plucked at Dawn,

At Eve beside the Stream took Winter-thorn.

Xu's:

At dawn I gather mountain grass, oh!

At dusk I pick secluded one.

It can be feltfrom the example 1 that the difficulty of Xu's version is evidently lower than that of Yang's. It is shown that Yang translates "木蘭" into "magnolias of the Glade" while Xu Yuanchong renders it into "mountain grass". In Xu's version, the translator uses words like "grass" and "the herb", therefore directly generalizing "木蘭花" in order to reduce the time it may take for readers to decode the image, which allows them to quickly capture the herbal image. In Yang's translation, Magnolias refers to the plant from the family of Magnoliaceae and the reason he uses the word is to represent the original meaning of the Chinese poem. Yang

translates "宿莽" into "Winter-thorn", and Xu puts "one" as its translation to refer to "mountain grass" that appears in the previous line, thus semantically unifying the two different plants, obscuring conceptions of different vegetables so as to achieve his previously promoted purpose that target readers can happily read the text "樂之". On the other hand, the translation by Yang for the same plant is "Winter-thorn", making explicit the plant's feature of "winter resistance", and the word winter is also a metaphor for the dark political environment the poet was in. Although Yang's word is slightly less common, it gets to the meaning and expresses the poet's emotion. "胜 (pi)" is a molehill in the south of the Chu State, and Xu's translation of it (omission) seeks the general meaning, whereas "Glade" used in Yang's version refers to the space afront a forest, which is the subjective extension in the meaning of the original. Xu intends to pursue the poetic conception, but the translation is a bit drifted away from the true meaning. Generally, Yang's work is more precise in the lexical aspect, therefore preferring to use the original English name for plant image, which causes more difficulty. Besides, Yang coinages new words on basis of the original poem, and this leads to a less generalized text. Xu's work is indeed simplified, paying more attention to simple images that can easily resonate with western readers, obscuring complicated Chinese images. This justifies the validity of the data of STTR and top20 words in previous sections.

Specifically, in the first line, the only difference could be found in the syntax (Yang's post-position of "unrecognized" and Xu's pre-position of "unknown"). The latter considers the inverted form of the Chinese original, applying a negative inversion to directly translate "不吾知 (me not knowing)", but Yang uses a special question "why should I" to let the poet's personal emotion be easily captured by target readers. In Yang's version, the logic chain between the first and second line stays intact, and this means the second line is still a part of the question and the word "since" leads to the adverbial clause of cause. With the pre-position of the phrase "in my Heart" followed by "Fragrance", "truly", the adverb of degree, and the verb, "rized", the line stressed the act of the Chinese poet's self-inspection. However, Xu's version has shifted the perspective to "my heart" which is taken as the subject, the doer of "fragrance" and "light", and thus a simple S+V structure is formed. Besides, the future tense is applied in order to emphasize the poet's expectation for the days to come. The example reiterates the fact that Yang's work relies more on the sentence structure to express, which is close to English poetry, with more emphasis on degrees, whereas Xu's translation takes more account of direct and simple utterances, and it, with more nouns, shows more features of the Chinese poetry.

Example 2:

Chinese original:

不吾知其亦已兮, 苟餘情其信芳.

Yang's:

Why should I grieve to gounrecognised,

Since in my Heart Fragrance was trulyrized?

Xu's:

Unknown, I care not if it grieves, oh!

My heart will shed fragrance and light.

4. 2 Syntactic Styles

In terms of sentences, Yang's work is prone to be like British romantic poetry, with many run-on sentences, which leads to numerous nested and tree-shaped sentences in the translation. Additionally, Yang chose to translate the Chinese original into an epic, therefore applying comparatively more narratives. Syntactically, Xu's work is closer to the Chinese original, putting emphasis on representing structural features of the Chinese poem, with sentences taking up the parallel form. Apart from this, Xu's translation inclines to convey the structure of the Chinese original in order to get the translation tinted with the generic beauty of Chinese poetry, and therefore, its sentences are antithetical, short, concise, symmetrical, and clear in lay-out.

Although the mean sentence length of the two translations is much lower than that of the British romantic poetry, the parameter of Yang's (20. 15) is also extremely higher than that of Xu's (7. 36), and example 3 presents such a difference. As is clearly demonstrated, Yang's work does not rigidly divide the sentence of the original, betraying the poetic structure of Lisao. From the semantic perspective, Yang's division of the sentence is based on the meaning of the original, which means that if a stanza of the original poem is logically fluent, the translator would, by no means, block the logic stream with punctuations in the translation, for the purpose of maintaining the coherence of the text. In the example, Yang's version is logically consistent, which could be back-translated as: "I hold high the crown and touch my accessories which are bright and brilliant. Perhaps others ruin his own halo and fragrance, whereas my innocence rivals against corruption" (我舉上高冠, 長撫配 飾, 珠光寶氣, 他人或許自毀彩霞與芬芳, 我的清廉是腐朽的對抗). There is semantic consistency between the beginning and the end of the line, and emotion is observed to be rising from the low to high, which is logically and expressively compatible with the Chinese original. However, Xu's version sees a difference here: there is always an interjection "oh" at the end of the odd line, and the exclamation mark trailing behind, naturally, separates different lines within a stanza to become an individual sentence, which is the same as the Chinese original. Due to such a reason, the mean sentence length in Xu's version remains around 7. What needs to be mentioned is that the line length of both translations is quite the same (around 7-8 words), which is also not much different from that of British romantic poetry. Again, according to the example, it is obvious that both translations can keep the basic poetic form in the target poetics and that they divide the lines on basis of the Chinese original. The difference is evident too: Yang's version is comprehensively difficult on word use and sentence structure, less demanding on prosody, more narrative and more flexible on sentence-making, and so there is a much higher mean sentence length than its counterpart. To conclude, the specific example proves the results obtained from the previous section on sentences and lines.

Example 3:

Chinese Original:

高餘冠之岌岌兮,長餘佩之陸離.

芳與澤其雜糅兮, 唯昭質其猶未虧.

Yang's:

My Headdress then high-pinnacled I raised,

Lengthened myPendents, where bright Jewels blazed,

Others may smirch their Fragrance and bright Hue,

My Innocence is roof against Abuse.

Xu's:

I raise my headdress towering high, oh!

And lengthen pendants sparkling long.

My fragrance 'mid the dirt won't die, oh!

My brilliancy ne'er wanesthereamong.

In terms of the standard deviation of sentence length, Yang's and Xu's works are lower than British romantic poetry (Yang: 8.68; Xu: 1.61; English original: 29.92). The degree of Xu's syntactic variation is way lower than that of Yang's and British romantic poetry. The comparison tells that Yang's translation is more flexible than Xu's. In example 4, the four sentences of Xu's rendering follow basic sentence structures such as S-V-O or S-LV-PA, rarely observing grammatical variations or clauses. Contrarily, when it comes to Yang's work, the sentence structure is comparatively complicated. For example, the first sentence in the case "Whylovest thou thy Grace and Purity" should be put as "Why do thou lovest thy Grace and Purity", and the sentence continues with "Alone dost hold thy splendid Virtue high?" (With thou holding thy splendid Virtue high) to form an adverbial clause of company, degrading its syntactic status after analyzing the logic of the Chinese original in order to make the rendering more readable. The third line sees the device of inversion: the phrase "the Rince's Chamber" is put before the verb and the whole line ends with a colon whose function is to transit to the last line of the stanza by connecting with a question led by "why holdest", and what's more, there is also a subordinate part starting with "with" in the question. These all make the whole stanza syntactically interlocked and complicated.

Generally, Yang's translation follows the logic of the Chinese original by which the translator further arranges the syntactic structure to resemble the one in the English original, with, if any, inversions for the poetic form's sake. Xu's translation is certainly simpler and more antithetically structured, which is a betrayal of the typical sentence structure of English poetry but a catering to that of Chinese poetry. Therefore, it well explains the reason why Yang's syntactic variation is greater than that of Xu's.

Example 4:

Chinese Original:

汝何博謇而好修兮,紛獨有此姱節.

薋菉葹以盈室兮, 判獨離而不服.

Yang's:

Whylovest thou thy Grace and Purity,

Alone dost hold thy splendid Virtue high?

Lentile and Weeds the Rince's Chamber fill:

Whyholdest thou aloof with stubborn Will?

Xu's:

"Fond of beauty, why are you straight? oh!

Why hold alone your virtue high?

When thorns and weedso'errun the State, oh! Could you despise them and stand by?"

4. 3 Textual Styles

Textually, the simplification level of Yang's version is lower than Xu's, with lower readability, and this inclines to that of romantic poetry, so readers can completely understand the translation based on their English proficiency and literacy. The work's level of formality is high, which shows a tendency of deviation from the general English style. Xu's rendering, with a lower level of formality, is generally simplified, more readable and easier in diction. Therefore, readers can read it more smoothly and fluently. Besides, Xu's translation, seeing less poetic and linguistic features, is more like general texts in English.

According to what was mentioned above: "the" and "of" are indicators of the level of formality in English texts, there appear, in example 5 alone, "the" for three times and "of" once in Yang's version. As for this phenomenon, the study proposes that the translator consciously puts emphasis on the literariness of the commonly used words by applying the formula of "determiner + image word with the first letter uppercased". Apart from this, the widely applied "the" is correlated to the textual style: Yang's *Lisao* is more like an epic with a magnificent tone and spirit, because of which, the syntactic and textual structures should give way to imposing images in order to fit the genre's narrative feature and solemn style, and this inevitably brings about nominalized structures. This explains why the textual formality of Yang's work is higher than that of Xu's. In the same example, "the" only appears once and goes along with the word "sun" in Xu's version. The entire text tends to list images directly, without consciously devising a method to emphasize or foreignize the image of the original. It rarely witnesses nominalized structures and is more like an English lyrical ballad structurally, with an evident prosodic feature and more commonly used words. Because of it, the text is more colloquial and readable.

Additionally, in terms of the difficulty, it is seen in the example that the tokens of the Yang's and Xu's translations are 33 and 28 respectively. If comparing the words used in the translation with the Longman 2,000 basic words, we know that 23 words in Yang's translation are common, accounting for 69.7%, and 24 words in Xu's version could be found on the word list, taking up 85.7% of the whole stanza. It is evident that the general difficulty of Yang's translation is higher than that of Xu's, and the former features early modern English which brings more formality to the text because of the words rarely seen in contemporary texts. Xu's work is concise for the translator's objective of catering to readers' reading experience of the Chinese original.

5. Interpretations of Stylistic Features

The linguistic feature of Yang's work is eclectic. In the aspect of diction, Yang's work is to translate Chinese poems into an English poetry style, and this is related to the translator's educational background since childhood. When he was 13, he went to a British Christian mission school. Under the authentic English atmosphere, the translator was taught western studies, and he read a lot of European and American literary classics in his teen and early adulthood. Since his high-school year, Yang has begun poetry-to-poetry translation (Xin & Xie, 2018: 144), thus familiar with difficulties in and methods for translating poems from and into

different languages. Yang also preferred to use the traditional way to write Chinese poems, which reflected his preference for tradition or even archaism. As to *Lisao*, a classic Chinese poem, with many rhetorical devices such as simile and symbolism, the translator attempted to draw similarities between the ancient Chinese poem and the early English classics, and the heroic couplet by John Dryden is a match for the epically magnificent and solemn feature of *Lisao*, therefore becoming a model for him to refer to (*Ibid.*, 145). As a result, his English translation of *Lisao* has a great influence. Liang Shiqiu commented that: (The translation) is not only fluent in English but also faithful to the original. The work has, hence, become an exemplary model of Yang's poetry-to-poetry translations and also a material that can never be skipped for the analysis of Yang's poetry translation. Data from the article exactly proves that: his work is linguistically rich, difficult, textually formal and its diction is prone to be like that of English romantic poetry. His early educational background and personal poetic preference can also justify the previous statement that Yang's version is faithful to and governed by the English poetic norms.

Xu's version fully serves his translation purposes for readers' "understanding(知之)", "interest(好之)" and "joy(樂之)". Xu (1998: 37) once said: Faithful translations can only make readers understand it, faithful and fluent translations can make readers interested in it, and translations that are faithful, fluent, and able to display advantages of the TL can make readers joyful. From such a concept, Xu's three purposes are designed for readers' response, and further, we know that Xu's literary translations aim at making target readers accept the text better, and this also shows that Xu emphasizes translation's influence on readers and their resonance. Literary texts, especially narrative poems, are more like serious and imaginative works under the category of expressive and informative texts (Newmark, 1988: 39-40). Translations of informative texts need to achieve the purpose of faithfulness, and the expressive text translations aim at making the recipients receive the texts in a more natural way, which might take the readers' interests, backgrounds and identities into consideration. The first two points of the "three purposes" made by Xu are somehow overlapped with Newmark's text typology and what Skopos theory holds, and this thus reveals the translator's goal of translating Lisao: a. to make his audience know the semantic meaning (informative); b. to convey the sense of beauty in the text in order to attract and appeal the target readers (expressive). Therefore, techniques such as under-translation and amplification in the three aspects of word, sentence and text are rarely seen in Xu's rendering, and meanwhile, more hypernyms are used to avoid mistranslation for faithfulness' sake. In terms of word and sentence use, Xu's translation shows generalization and simplification, which further marks the application of "equating (等化)" and "popularizing (淺化)", strategies upheld by the translator himself, in a bid to turn the difficult text easy linguistically and culturally, to allow the possible readers to know the semantic meaning of the text, and to make them interested in the Chinese poem by offering aesthetic experience.

6. Conclusions

The result shows that: Yang's translation is more variable and difficult in word use, more complex and changeable in sentence structures, and more difficult to read. A higher level of explicitation is observed. Xu's rendering is less changeable and difficult in vocabulary, simpler and more fixed in sentence structures, and more textually readable. An obvious tendency of simplification is displayed. Based on the data-based discussion, it is

also found that Yang Xianyi has a poetry translation style that is precise in meaning, naturalized in structure, whereas Xu Yuanchong has the style of being simple in diction, and fluent in narration. What is worth mentioning is that while discussing the translators' styles, the article also proves other scholars' findings that "translators' use of words is limited to poetic structures", "mean sentence length of the English translation of ancient Chinese poems is shorter than that of the English original", and "translations are generally simplified". Lastly, the article's limitations: a. the ignorance of poetic features such as images, rhymes and structures; b. the failure of devising a poem-specific tagging system serving the quantification of poetic aesthetics and semantic prosody call for more contributions in the field of translation studies.

Note:

- 1. In Core Patterns of Lexical Use in a Comparable Corpus of English Narrative Prose, Laviosa's results on the mean sentence length of the Translational English Corpus and Original English Corpus are 24.1 and 15.6.
- 2. In An Analysis on the Translational Features of the English Versions of Chinese Poems: A Corpus-Based Study, Gao Bo found, based on data, that the mean sentence length and standard deviation of sentence length of the English versions of Chinese poetry are 17.21 and 13.78; whereas the mean sentence length and standard deviation of sentence length of original English poetry are 23.64 and 20.70.
- 3. The article is based on the first author's Master thesis: A Corpus-based Comparative Study on Translator's Styles: Taking English Translations of Lisao by Yang Xianyi and Xu Yuanchong as Examples.

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An Interpretation of A Study of Jewishness in Cynthia Ozick's Fiction

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Abstract: A Study of Jewishness in Cynthia Ozick's Fiction (2021) is a masterpiece of Chinese research circles on Cynthia Ozick, and the latest contribution made by Chinese scholars to the study of American Jewish literature. This book presents an exhaustive overview of Cynthia Ozick's studies at home and abroad, with emphasis on the Jewishness in Ozick's fiction and it follows the principles of Ethical Literary Criticism in analyzing how Ozick inherits and develops the Jewishness in American Jewish fiction and its literary presentation. The author's 'Midrash' of Cynthia Ozick shows great international perspective and nuanced understanding and empathy. There are three impressive features of the book: Firstly, it is rich in materials with a large number of first-hand foreign research materials, and its content is decorous. The monograph is a comprehensive, systematic, and cutting-edge research in this field, which starts a new situation in the study of Ozick; Secondly, it focuses on Jewishness and its artistic expression in Ozick's fiction by combining historical, cultural, and theoretical research with textual analysis, revealing the rich connotation and internal unity of the works, and demonstrating the researchers' profound and thorough understanding of the research object. Thirdly, it features dialectical thinking. It dialectically analyzes writers and works from multiple perspectives such as feminist criticism, new historicism criticism, postmodern narrative research, and cultural research, and makes horizontal and vertical comparisons in the historical context. The monograph demonstrates well the author's penetrating dialectical thinking.

Keywords: A Study of Jewishness in Cynthia Ozick's Fiction; Jewishness; Midrash; dialectical thinking

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As the spokesperson of Jews in the postmodern era, Cynthis Ozick (1928–) is one of the most important Jewish writers in America since the 1970s (2004: 4). Receiving a doctorate in literature from Xiamen University in 2011, Xiao Biao wrote her doctoral dissertation on Cynthis Ozick. Next year, she published a new book: *Highlighting Moral Ethos in Diasporic Space: On the Jewishness in Cynthia Ozick's Fiction*, which is based on her doctoral dissertation. This book profoundly and systematically reveals the connotation and characteristics of

Jewishness in Ozick's fiction by using the theory of diasporic space and combines Ozick's fiction with her view of art, deeply illustrating Cynthia Ozick's literary and cultural significance. It is not only the first English monograph that studies Cynthia Ozick at home, which has changed the situation that "Researches on Ozick have not yet emerged in China" (Yang Renjing preface) but also an important achievement in the study of contemporary American Jewish literature. In 2013, Xiao Biao was approved by the Philosophy and Social Science Foundation of China for the study of Jewishness in Cynthia Ozick's fiction (Project No. 13BWW056). As the final result of this project, the book *The Study of Jewishness in Cynthia Ozick's Fiction* ("Study" for short) was published by the China Social Sciences Press in May this year and has become the latest achievement in the systematic study of Cynthia Ozick's fiction in China, which has made a new contribution to the study of American Jewish literature. In this paper, three impressions of the book will be detailed as follows:

1. Rich First-hand Foreign Research Materials

Choosing 13 short stories, 3 novellas, and 5 novels from Cynthia Ozick's works as the target texts, "Study" reviews the history of contemporary Jewish novels' development and sorts out the main characteristics of Jewish literary expression from the non-Jewish dialectical perspective. Besides, by applying the theory of diaspora criticism, "Study" analyzes the Jewishness in Ozick's fiction and summarizes how Ozick inherited and developed the main characteristics of Jewishness in American Jewish fiction from the perspectives of feminist criticism, new historicism, and postmodern narrative research. (Abstract of "Study", 2. The following quotations are all quoted from the same "Study" unless otherwise specified.) It also interprets Jewishness and its manifestation in Ozick's novels and reveals the Jewish thought and cultural tradition reflected in it. In addition to the introduction and conclusion, the main part of "Study" includes: Chapter one "Contemporary American Jewish Novels and their Jewishness in Literature", which clarifies the research background of Jewishness in Ozick's novels; Chapter two "The Anxiety of Creation", discusses Ozick's anxiety about his dual identity between the "Jew" and "writer" and his performance in the novel; Chapter three "Midrashic Literary Writing", analyzes Ozick's "Midrashic" literary narration and interpretation of Jewish history and stance; Chapter four "The Writing of History and Nature from the Perspective of Pan/Moses", examines Jewish history in a multicultural context and explores the Jewish character reflected in the writing of history and nature from the perspective of Pan/Moses; Chapter five "Eros of Ideas", analyzes the Jewishness of the female representation in Ozick's novels. Compared with other similar monographs, Study has adopted a large number of first-hand foreign research materials as we can find a lot of ink on the part of the literature review. These literature materials are not only diversified in form (including network literature) but also rich and original in content. There are 38 pages in "Cynthia Ozick research overview" in Study's introduction part (from page 10 to page 47) and 38 pages in references (from page 260 to page 297), which make up about a quarter of the book's length (300 pages in total). From the discussion above, it can be said the author of "Study" has done a lot of preliminary research and preparation work for the study of Cynthia Ozick. The collection of materials in "Study" is impressive, especially the foreign resources: 91 foreign books, 23 foreign chapters, 51 foreign dissertations, and 154 foreign journal articles. The frontier research materials alone have greatly expanded the horizons of scholars and laid the foundation for "Study" to become a comprehensive, systematic, and cutting-edge research in this field, which has created favorable conditions for the



new pattern of Ozick research. At the beginning of her writing, Ozick positioned herself as an American writer. A few years later, she redefined herself as a Jewish writer, emphasizing her Jewish identity. Quoting the opinions of many famous Jewish literary critics such as Harold Bloom, Louis Harap, Sanford Pinsker, Alvin Rosenfeld, and Ruth Wisse, "Study" clearly points out: "The distinctive Jewishness is not only the most attractive part of Ozick's fiction but also the limitation of her fiction." (11) "Through maintaining the profound historical and moral consciousness of Jewishness, Ozick superimposes and expands the main features of Jewish literature in contemporary Jewish novels, which inherits and enriches the connotation of Jewish literature." (252) "The driving force of Ozick's literary creation stems from the anxiety generated by her inner conflicts. However, these conflicts are not analyzed and explained further in academic circles." (11) This is precisely where Xiao Biao's research steps in. If Ozick's literary creation "fundamentally changed our definition to American Jewish literature" (1), "Study" changed our comments on Ozick in the final analysis, because it follows the principles of Ethical Literary Criticism, not only illustrating the characteristics of Ozick's creation but also analyzing how and why these features are generated.

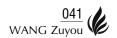
2. Definite Focus on Ozick's Unique Jewishness

Ethical Literary Criticism is a literary criticism method that is formed by integrating literary research methods on the basis of drawing on merits from ethical methods. Ethical Literary Criticism "not only makes a historical and dialectical interpretation to the moral phenomena described in literary history but also insists on making a value judgment on the moral phenomena described in current literature by virtue of realistic moral values." (2012: 48) "By applying the methods of the aesthetic judgment and artistic imagination to the study of literature" (2012: 48), Ethical Literary Criticism is the pursuit of the truth of life depicted in literature, aiming at revealing the complex ethical characteristics of literature. From the standpoint of artistic fiction, Ethical Literary Criticism probes into the ethical and moral phenomena in literary works, focusing on the analysis, interpretation, and understanding of various ethical phenomena depicted in literary works. Its perspective and position are both historical and present. Following the principles of Ethical Literary Criticism, "Study" combines historical, cultural, and theoretical research with text analysis, focuses on the Jewishness and its artistic expression in Ozick's fiction, and reveals the rich connotation and internal unity of the works, fully displaying researcher's profound and thorough understanding to research object. The history of American literature tells us that the "first generation" of American Jewish writers tended to the Jewish traditions in their confrontation with the mainstream culture. While the "second generation" American Jewish writers gradually adapted to the American society and became an important part of it in the continuous contact with the American mainstream society. The "first generation" and "second generation" American Jewish writers have their own generational characteristics, which are formed under the changing social and historical conditions. They shouldered missions and responsibilities of their own times, writing the history of the Jewish nation. In the confrontation with the American mainstream culture, the "first generation" American Jewish writers tended to show the writing characteristics of the Jewish tradition. Compared with the "first generation" writers' works, the "second generation" writers' have a greater and broader influence on American society, because what they discussed are not only the issues of Jewishness, identity, and the trauma caused by the Holocaust but also the crisis that the Jewish people were assimilated

increasingly, which shows that they began to write mainstream literature. With Saul Bellow and Isaac Bashevis Singer winning the Nobel Prize in Literature in 1976 and 1978 respectively, American Jewish literature had reached its peak in the 1970s. Since the 1980s, the works of the "third-generation" American Jewish writers have been published and won prizes, bringing about worldwide attention. The goal of their works is always to promote Jewish ethics. The essence of Jewishness in Jewish literature lies in the digestion and application of the Jewish cultural elements in the manner of literature as well as the comprehensive national quality reflected in it. Among the elements of Jewish culture, the core significance is the thoughts including subaltern identity in nationality, the view of voters and eschatology, the history of vagrancy and its psychological thinking, values, national customs, and so on. (2004: 27) In this definition, Professor Liu Hongyi categorizes religious factors into cultural elements. The practice of interpreting "Jewishness" from the cultural level is likely to confuse the readers with religious "Jewishness" and cultural "Jewishness", resulting in a feeling of ambiguity. In Professor Qiao Guoqiang's view, "Jewishness" reflected in contemporary American Jewish literature mainly refers to:

Generally speaking, an idea, which is expressed in the works of Jewish writers in connection with Jewish culture or religion, mainly reflects the way of thinking, psychological mechanism of a Jewish writer or their characters, and anything that can express the characteristics of Jewish life, character, language, behavior, scene, etc. Therefore, "Jewishness" can be classified into two levels, namely the Jewishness of religious level and the Jewishness of cultural level. (2008: 17–18)

Professor Qiao Guoqiang provides a reference standard for us to investigate the "Jewishness" of specific American Jewish writers from the two aspects of religion and culture. No matter what they write or how they write, the goal of American Jewish writers' works is always to popularize a Jewish ethical relationship. The works of American Jewish writers directly or indirectly express a kind of Jewish complex, reflecting the cultural deposits of their own nation. This is of great importance to the further study of American Jewish literature. As for "Jewishness", "Study" points out: "She (Ozick) believes that 'Jewishness originates from covenant thought', mainly in the form of the following: firstly, historical consciousness; secondly, anti-idolatry; thirdly, identify differences; fourthly, the persistence of learning." (50) "The most fundamental and central feature of Jewishness, in Ozick (3)'s view, is the observance of the covenant, devoutly observing the covenant with God" (50). As one of the representatives of the third generation of American Jewish writers, Ozick's works present "real Jewish characteristics" and "stand out because of his strong Jewish character" (6). "The return of Jewishness is a prominent theme in contemporary American Jewish literature. In this respect, Ozick is the trendsetter and the navigator. Ozick advocates highlighting the nationality through literary practice," and believes that "under the diasporic background, the creation or thought must highlight the Jewish nationality if it wants to be immortal" (8). Continuing to expand the critical keyword "Jewishness" is premised on the full understanding of its complex germination and formation mechanism. Therefore, rooted in the soil of Jewish culture, Ozick extracted materials from the rich national historical books, myths, and legends and creatively combined these materials with the reality of Jewish immigrants' lives, creating "Liturgical Literature" under the new historical conditions. (Based on Jewish morality, Liturgical Literature takes Jewish history as background and New Dish as a carrier). The most typical liturgical literary text can be traced to the Hebrew Bible, which is a 24-volume book born in an era of absolute belief in monotheism. Most of the works are filled with the Jewish thought of "monotheism", nationality, patriotism, and the spirit of martyrdom. Ozick shows a firm attitude on the sensitive



issues of identity, and she is not shy away from being a Jew at all: "Let others strive to be novelists who happen to be a Jew by birth, but I am a Jew at first, then I can begin to write" (1983: 188).

"As for Jews, the best and perhaps the most concise description is that the Jews are the people who reject idols." (77) "As a Jew, Ozick persisted in her resistance to idolatry; As a writer, Ozick is in danger of becoming an idol maker. The duality of identity and the conflict between Jewish ethics and aesthetic practice give rise to the anxiety of Ozick creation" (77). In virtue of Levinas' theory of ethical poetics, we can speculate on Ozick's "creative anxiety": Art creates the environment by image, freezes time in the image, copies existence mechanically and makes existence rigid. Literary characters are imprisoned in an inhuman space, like prisoners in Plato's cave who are lost in the real world when facing images. The dangers of idol worship are revealed in Psalm 115 Verse 8 in The Bible, "They that make them are like unto them; s is every one that trusteth in them." This is the fate of man in the face of images. In Understanding Media: The Extension of Man (1964), McLuhan proposed the concepts of image Extension, paralysis, and servo mechanism. After quoting the commandments of the Bible, McLuhan further explained the inverted subject-object relationship: "Watching these idols...The result is obedience to idols...This is the reality of sensory 'closure'" (1964: 50). Watching idols causes people to obey idols and causes sensory closure. In order to cope with this situation, one must create new extensions and trigger a new round of closure (1964: 46). The relationship between human and image extension forms a closed loop of interactive reflection and circulation. Through novel narration, the existence is claustrophobic in an isolated and insulated constancy, especially the characters in the novel, all becoming claustrophobic existences and trapped prisoners. This is the myth or the violent nature of literary myth.

"Anti-idol" is of great significance to the Jewish community and the survival of Jewish literature in today's America. In Ozick's view, "the same precepts against idolatry apply unconditionally to Jewish American novelists today" (50). In literary writing, Ozick launched into a discussion of "iconoclastic literature". She uses "Pilpul" to disintegrate the elements involved in the creation and "imagine creation as an accident caused by nonsubjective intention" (79). "The images of the creators created by Ozick seem to lack intrinsic motivation and subjective will in their creative behaviors." (79) While criticizing the physical idol, Ozick also intended to discover and ensure the enduring value of American Jewish culture, making American literature reexamine and absorb the Jewish tradition. She put forward such ideas as "literature is an idol" and "Liturgical Literature". Ozick pulls away Puttermesser's subjective well as the creator and the conscious efforts put into, which reflects literary imagination of the possibility from Ozick who trapped into creation anxiety: separating creation, creativity, and subjective will from the conscious efforts invested in it. Contrary to the reason, it is a possibility for her to eliminate creation anxiety (80). Another way to dissolve the anxiety of creation is to negate and deconstruct the identity of the protagonist and the identity of the artistic creator (81). In the early years, Ozick struggled with the conflict between "Jewishness" and the "imagination" necessary for writing. Ozick thought deeply about Jewish literary culture, and she "read mainly to discover...the Jewish mindset" (51). "At the beginning of the career, Ozick identified herself as an American writer; six years later she reidentified herself as a Jewish writer, emphasizing her Jewish identity" (4). It is this Jewishness that sets Ozick apart from other Jewish writers. In a manifesto published in 1970, Ozick launch a scathing attack on some American Jewish writers who ignored Jewish identity and tended to integrate with the American mainstream: "Our voices sound distant. But if we choose the whole human rather than the Jews...Our voices will be completely lost" (1996:

120). Aylan M. Koval said it well:

Our postmodern society is faced with another historical phenomenon—the impulse to assimilate, which will affect not only Jewish history but also American history. Ozick's description of this phenomenon applies particularly to the Jewish experience, and it can also apply to all cultures and a struggle, in which all cultures must wage a war on assimilation to keep traditions alive and make histories meaningful. (1996: x xi)

In an age of declining faith, Ozick advocated "Liturgical Literature" with Jewish values. "It is a form of literature, an idea.... It reflects a common voice: the echo of history" (8), which pointed to the moral direction for Jewish writers' literary writing, and set off a new style of writing with Jewish spirit in the field of Jewish literature in the 20th century. As Ozick advocates the use of "moral imagination" and popularizes the form and function of "Liturgical Literature", the return of Jewishness becomes the new core tension of contemporary American Jewishness literature, promoting the development of contemporary American Jewish literature, which is still thriving. "It shook the 20th-century American literary world with its strong moral force" (2008: 245), and "opened up a new direction" for American Jewish literature. (2002: 267)

The monograph of Xiao Biao studies how Ozick inherits and expresses Jewishness through "putting the study of Jewishness in Ozick's fiction into the context of American Jewish novels and Jewish literature", which not only seizes the individual characteristics of the object and cultural qualities but also reflects the historical context and the wind of age representing Cynthia Ozick's literary creation.

3. Dialectical Thinking from Multiple Perspectives

"Study" dialectically analyzes writers and works from multiple perspectives such as feminist criticism, new historicism criticism, postmodern narrative research, and cultural research, and makes horizontal and vertical comparisons in historical context. The monograph demonstrates well the author's penetrating dialectical thinking.

"Study" discusses three sets of dialectical contradictions in Ozick's fiction: firstly, the inner contradiction between writer and Jewish identity; secondly, the conflict between non-Jewish culture and Jewish culture in the diasporic context, namely the conflict between Pan and Moses; thirdly, the contradiction between feminist thought and orthodox Jewish sexism. "Study" digs deep into the root of the way of expressing contradiction in Ozick's fiction—taking "Pilpul" as the core. "Pilpul" is the "dialectical philosophical approach used to deal with disputes and conflicts by Jewishness," and is characterized by "debates that transcend space and time" (55). "Study" points out that drawing nourishment from the Jewish cultural tradition, Ozick practices the Jewish thinking mode by virtue of Jewish logic wisdom "Pilpul", and dialectically reveals and resolves the three groups of contradictions in her fiction.

"Third-generation" American Jewish writers not only pay attention to the life state and trauma of the Holocaust survivors but also began to review the changes of the times and the influence of the American mainstream society in a rational view. Compared with the former generation, the new generation of American Jews has a weaker sense of identity and national cohesion, but the Holocaust shadows still linger. The new generation of American Jewish writers has a strong sense of national identity. They convey the powerful vitality

of the Jewish nation to readers through their works. Ozick "regards the Holocaust as the central event in Jewish history" and her fiction involves the contents of the Holocaust in various degrees and adds narration and reflection on the Holocaust. After analyzing the two counter figures in "The Suitcase", "Study" writes that "it is the suffering of the Holocaust that separates the Jews from the non-Jews" (173). Stanislav Lushinski in the novella "A Mercenary" "tells Ozick's understanding of Jewish cultural specificity: the historical consciousness of Jewish culture cannot be erased or changed by any external force... Historical consciousness has become the collective cultural gene implanted in the bone marrow of Jews" (177) and "historical consciousness has become the identity symbols of Jews" (189). The Jewishness of the Jewish nation connects the Jews scattered throughout the world in a religious sense. It is for this reason that American Jewish literature is based on the Jewishness of Jews. After analyzing Puttermesser and Xanthippe, Trust, and Puttermesser in Paradise, "Study" concludes:

In Ozick's fiction, the reconstruction of Jewish national history and the imagination of personal history present a contradictory position of both construction and questioning and deconstruction. The position of construction shows Ozick's strong sense of Jewish history. The position of questioning and deconstruction shows Ozick's judgment and interpretation of the fabricated history. It means that Ozick resists the historical art in history writing, and falls into the Jewish position of idolatry through history fabrication. The writing to nature in Ozick's fiction presents the contradictory attitude of resisting and compromising nature and reflects the different stances of Jewish culture toward nature.

In Levitation, Ozick portrays Lucy, a female figure who is suppressed by Jewish marriage. This suppression is disastrous: the power of discourse is lost, the subjectivity is stripped away, and the thought is annihilated. (222) "In the face of the conflict and opposition between orthodox Judaism and feminist thought, on the one hand, Ozick clearly expresses her disagreement with feminist thought, sharing her ideal of pursuing gender equality; On the other hand, Ozick calls for a reformation of the orthodox Jewish view of women and practices the idea that taking thought as the carrier of vitality, the thought of the 'Eros of thought' " (215). Lucy's journey of thought is Ozick's practice and triumph of the 'Eros of thought' (225). Ozick's Jewish Clay Figure "deconstructs the patriarchal nature of the Jewish clay Figure legend and realizes the feminist literary rewrite of the orthodox Jewish view of women" (230). It shows the "powerful self-improvement ability of Jewish culture" (232), and reflects the unique character of Jewish culture: "fusion without melting, fusion without dying" (231). The mother in Cannibal Galaxy is "androgynous" and "represents the defining characteristics of a Jewish women—like a man...has a strong sense and ability of rational thinking" (242). In The Shawl, the Jewish mother Rosa's thinking and judgement under the desperate situation of survival in the Holocaust "presents the features of significant dialectical opposition; ... which rewrites the traditional paradigm of motherhood" (250). The polyphonic features of The Pagan Rabbi are "on the one hand, the result of Ozick's detailed literary interpretation by using Jewish "Pilpul" to realize the potential divergence and opposition between "imagination" and "Jewishness"; On the other hand, are... the judgment and interpretation of the reconstructed Jewish nation history" (258).

In this way, "Study" reviews the Jewishness and the literary expression in Ozick's fiction highlights Ozick's unique Jewishness, and analyses the way to achieve the unity of ideology and artistry on the basis of exploring Ozick's literary view, natural view, and female view. The most important part of literary criticism is the literary evaluation, that is, value judgment, which is rooted in certain values. Ethical Literary Criticism is to interpret

literary works in a positive way, reanalyze and criticize literary works, and write a new literary instruction manual. Ethical Literary Criticism was founded on the basis of inheriting the tradition of Chinese moral criticism and drawing lessons from western ethical criticism, which has also promoted the innovation of Chinese literary criticism theory. The Chinese version of Cynthia Ozick's "Midrash" in "Study" reflects the author's very broad international vision and meticulous understanding and empathy, conforming to the principles of Ethical Literary Criticism. The study of English literature in the Chinese context should "insist on the orientation of China's practical problems and emphasize the applied value of foreign literature research" (2015: 2). "At present, China's literary criticism is lacking ethical and moral values. Therefore, our literary criticism should shoulder moral responsibility to realize the return of literary ethical and moral values, and Ethical Literary Criticism is an important way to achieve this goal" (2012: 47). In the theoretical construction and critical practice of foreign literature research, important issues that literary criticism researchers should keep on paying attention to and thinking about are to criticize what value orientation and standard should be upheld and how to play the value leading role better, making it participate in the construction of Chinese ethics and morality in the new era. In this regard, "Study" gives a convincing answer, that is, "expected to provide a useful reference for realizing the manifestation of national literature" (4).

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The Relationship Between Saul Bellow's Creations and the Chicago School of Sociology

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Abstract: Saul Bellow was determined to be engaged in literary creation at the age of ten, but he majored in sociology and anthropology in university. When he was a postgraduate student, his mentor told him that he lacked suitability to be engaged in social science research, because his essays were easily turned into fictional works, and his intellect was suitable for some areas full of creativity and imagination. Surely enough, he was the first novelist who won the Nobel Prize in Literature among Jewish American writers in 1976, hence he became worldly famous as his mentor expected. Researchers had paid much attention to his literary achievement, but few studies tried to contact his accomplishment with his sociological background. In this paper, I will analyze the influence of Social Science in Chicago on his literary creations and the tendency of sociology in his works, on the basis of his academic background of sociological studies.

Keywords: American literature; Saul Bellow; Chicago School; sociology

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1. The Origin and Main Ideas of Chicago School of Sociology

The University of Chicago was founded in 1890 by John Davison Rockefeller (1839–1937), the country's oil magnate at that time. The next year, William Rainey Harper (1856–1906), a professor of Greek and Hebrew at Yale University, was appointed as the first president. In 1892, Harper invited Albion Small (1854–1926) to University of Chicago so as to prepare the establishment and leadership of the Department of Anthropology and Sociology. Small wrote the first professional sociology textbook entitled *An Introduction of Sociology Research* (1894) together with Vincent, and founded the first academic journal of sociology in the world, *American Sociological Journal*, in 1915. Since then, more and more famous scholars came and joined the Department of

Anthropology and Sociology, the University of Chicago. From 1910 on, it became the main center of sociology teaching and research in the United States. *An Introduction to the Science of Sociology*, co-authored by Robert Park(1864–1944) and Ernest Burgess(1886–1966) in 1921 involved 14 academic subjects, including the study of human nature, human ecology, human socialization and group behavior, which basically established the development direction of American sociological research in the future. At that time, more than 40 relative courses were set up in the Department of Anthropology and Sociology, the University of Chicago, which became the most outstanding sociology discipline in the contemporary American universities. On this basis, the famous Chicago School of Sociology came into being. The sociological research at the University of Chicago maintained its advantages for more than two decades, until a sociologist named Talcott Parsons (1902–1979), along with some others, launched the Academic Fronde in 1935. The leading position for the Department of Anthropology and Sociology, the University of Chicago, in American sociological field was overthrown. However, the Chicago School of Sociology did not withdraw from the historical stage. Instead, it managed to pass on from generation to generation. After the World War II, its second and third generations grew up.

By the time the University of Chicago was founded, Chicago had become one of the three largest cities in the United States. The joint efforts of Midwestern American immigrants and immigrants from the old European continent had made Chicago into a modern industrial city, a commercial center, and a thriving exchange all in one. However, many social issues emerged inevitably in the development of the city. From the perspective of pragmatic philosophy, these practical social problems became the focus of sociologists of the University of Chicago. The first generation of Chicago School of Sociology was mainly concerned with the study of urban society. The symbolic interaction theory of George Herbert Mead (1863–1931), a positivism philosopher, had a profound influence on the Chicago School of Sociology. Emphasizing on the symbolic nature of social life, Mead suggested that social significance should be regarded as the product of interaction between acting persons. Therefore, it was necessary to study society in its sustainable social development or social interactions, because people's ideology, individual behavior and the social activities people participated were all in the process, only the acting persons could constitute the social world. Thus, in the book entitled *The City: Proposals for the Study of the Urban Environment* (1925), Park argued that:

"A city, from the point of view of this paper, is not merely a collection of many individuals, nor a collection of social facilities such as streets, buildings, lights, trams, telephones, etc.; Nor is the city simply a collection of services and management department such as the people of courts, hospitals, schools, police and civil affairs. A city is the state of mind, the whole of customs and traditions, the whole of the unified thoughts and feelings which are contained in these customs and which flow with traditions." "A city has become intimately connected with the vital activities of its inhabitants; it is a product of the nature, especially a product of human attributes." (Robert Park, Ernest Burgess 1987: 1)

In terms of the research contents, the Chicago School of Sociology, from the perspective of social reality, focused on the relationship between immigrants and races, on those illegal gangs in the city of Chicago, on organized crimes, juvenile delinquency, occupational thefts, marriage, and family. In terms of research methods, the Chicago School of Sociology, in fact, was a kind of experience-based and action-based sociology,



which supposed to study the relationship between the acting persons and nature or the social reality in which they were living, to maintain the integrity of the social world in the study in order to optimize the research work, to concern the views of social acting persons, because they would always shape their social world by giving significance to the surrounding objects, persons and symbols in the sense of their social world.

2. The Influence of Chicago School of Sociology on Saul Bellow's Works

Saul Bellow graduated, as an undergraduate, from the Department of Sociology and Anthropology, Northwestern University, in the summer of 1937, but his academic training truly began at the University of Chicago, where he had been deeply affected by the intense learning tradition and free academic atmosphere. The Chicago School of Sociology was still in its heydays when Saul Bellow was on campus, studying at the University of Chicago in 1933. Although the ideal of Saul Bellow was to find a significant life through the means of art, it was clear that his learning experience, especially his major, had made his later creations more or less influenced by the Chicago School of Sociology. This was represented firstly manifested in his critical attitude towards American society. The Chicago School of Sociology was mainly based on the attention of various social issues in American capitalist society, their critical observations and analyses of American society not only described some specific social phenomena, but also involved some of the basic values insisted on by American mainstream society, which were studied and analyzed from the perspective of culture, civilization and humanity. Saul Bellow once remarked: "If he were a novelist, his own books would be a commentary on his contemporaries, showing that he supports certain tendencies and opposes the others." (Song Zhaolin 2002: 203) His meticulous description of the human ecology of American society was regarded as a fusion of the understanding to human and sophisticated analysis to contemporary culture, which was similar to comments made by the Chicago School of Sociology in different fields.

According to William Thomas (1863-1947), a sociologist, the initial motivation for people to engage in sociological research should not be to transform the existing society or to maintain the existing morality, but should be derived from sensitive curiosity and desire to understand the human behavior. Therefore, he put his emphasis on the personality things, when he was observing deep crisis of American society, especially on the tension and conflict between the efforts to seek rationalization and efficiency and the efforts to the pursuit of personal happiness, since the conflict of these two efforts was a paradox produced by the liberalism that American society always flaunted. Saul Bellow maintained his sensitive curiosity throughout his life. What was presented to the reader in his works were the lower Jewish civilian daily life, the destruction and struggle of intellectuals in modern society, the people's desire for wealth and fame in large cities, and all manners of criminal activities. Despite these social issues were partly due to social reasons, more were due to the characteristics of the individuals. For example, in Seize the Day, the hero William looked at the crowd and observed that every face was demonstrating a specific purpose or essence. His works also offered opinions on politics, economy, and social trends, in order to explore more from the deep causes of cultures. In modern American society where money had become the most important element, people's traditional ideas were already swept away, and moral sentiment and goodness were worthless at all in the face of the cruel reality. In one of Bellow's novels, Herzog, a middle-aged university professor at the age of 47 suddenly found that the reality of his life was quite different from his good wishes: democratic politics was fraudulent false illusions with various problems in society. In his personal life, he was framed a madman and was forced to divorce because of the adultery of his wife with one of his friends. All these events made him look for less than his ideal belief and the spiritual pillar. As a result, he became psychologically unbalanced, and his mind was on the brink of collapse. In Herzog's opinion, his profound knowledge in history, which he thought pretty highly of himself, was utterly useless in real life. He was at a loss because he was ignorant of how to comprehend everything around him, how to arrange his life, no longer could he even explore the ultimate significance of life. As a modern American social elite, a senior intellectual, Herzog placed himself above the average person in society, but he was also impacted by the ideology from different backgrounds, and he expressed great boredom to the decadent of the middle class life, though he could not abandon all the components, which meant what this class possessed and insisted upon in terms of real life enjoyment and material wealth pursuit. He was anxious about it, trying to find a middle course that was easy to live in but free from the evils of the times. The description of Herzog's reflection on his inner struggle in the novel was actually a reflection on the paradoxical culture of modern American bourgeoisie.

Actually, this paradox was not only reflected in any single work by Saul Bellow, but ran through his whole creative process. For instance, Augie March pursued a good life which he wanted to live through all his life; the rich man Henderson wanted to return to the primitive life in the plain nature to get rid of the troubles brought by monotonous material life; Benn Crader yearned for a kind of pure love without material benefits, and for a family sharing the happiness of all members; Charlie Citrine went further and further on the road of chasing fame and wealth. Although he tried very hard, the answer was clearly no. Now that they didn't succeed, could you call them losers? The answer was still no. Since the independence from the suzerain in 1776, Americans had an unshakable belief in their minds through the ages that only struggling could deserve a harvest, only unremitting efforts could bring about a better life. This required that the American people should not rely on the assistance of certain social classes or other people, but rely on their self-struggle and continuous innovation to realize their ideals, which had formed an important concept in American culture-----American Dream. According to the study of Lang Mailer, a historian and professor in the University of California, American Dream generally manifested itself in the following aspects: the United States offered everyone an opportunity to succeed; success depended on their own talents and efforts rather than a certain prominent family and fascinating background; equal rights for all; everyone was free in belief. But these aspects were full of historical variability, and they varied with time. In modern society, although the material wealth and spiritual freedom were still the basic contents of American Dream, the material aspects of American Dream were increasingly difficult to achieve due to the limitation of many objective factors, since material pursuits could get a definite guarantee, and for the most part, spiritual freedom was actually no less than a dream. Therefore, the society that was faced by modern Americans was far from the one dreamed of by its founders, though modern America was in a period of total chaos from private life to social behavior, or to public environment. Even so, the protagonists in Bellow's works still maintained their pursuits.

Through the analysis of Saul Bellow's works, we believe that the conclusion drawn by most people that Bellow's works are a revelation of the disillusionment of American Dream, which is not correct. In the end of *The Adventure of Augie March*, Augie March, who had been chasing his own ideals, said: "I may well be a flop

at this line of endeavor. Columbus too thought he was a flop, probably, when they sent him back in chains. Which didn't prove there no America." (Saul Bellow 1967: 557) In these words which represented what he had learned after all his hardships, we can recognize that although people surviving in modern American society had a lot of helpless grief and pathos with sorrow, Saul Bellow did not completely lose his confidence on American society, and the characters in his works also did not go to the end of their lives. Rather, on the way of life, they were still dreaming of something. American Dream was full of values and significance in this pursuit. If Saul Bellow's descriptions of the heroes' pursuit could be defined as the realization of American Dream in his works, which should be attributed to the insistence of social criticism of the Chicago School of Sociology, then, his sober understanding is attributed to the objective research and never the extreme position of the Chicago School of Sociology.

Many members of the Chicago School of Sociology were somewhat different from Thomas who focused on what is the problem of modern American social reality. Instead, they paid much more attention to what the society should be——the issue of social development direction. In their points of view, the actual effect of the academic research of sociology, should come out of the exploration about the knowledge that how a society developed, and should apply this knowledge to American society as a guide to its future social development. As a result, Chicago School of Sociology also regarded social psychology research as an important wing in their work. Correspondingly, in Saul Bellow's works, the introspection, recall, and stream of consciousness drove the development of the plot, and that these writing techniques accounted for a large proportion of the characters' thoughts on society and the real life.

Psychological realismnovels mainly reflect the evolution of social spirit through the psychological description of their characters in the works. Saul Bellow's works are also known as psychological realism because of his detailed analyses of the characters' psychological states and conscious activities. Alan Bloom, also a professor at the University of Chicago, was a friend of Saul Bellow's, analyzed and criticized the high-level spiritual life in democratic America, in his book *The Closing of the American Mind*. In the foreword of this book, Saul Bellow wrote:

"The romantic poets and theorists in the 19th century, who were fond of teaching the people, made an utter mistake—poets and novelists were never human legislators and mentors. If the cause of artists must be interpreted as a purposeful one, then poets-artists should bring human beings a new vision, so that they can comprehend the world from different perspectives, and change their rigid experience mode, which can be regarded as an exalted ambition. The relentless spread of well-trained ignorance and the expansion of bad ideas have made the artist's career rather difficult. If we reveal the authentic colors of life, the fact is that we are living in an ideological world, and the operation of human thinking is really bad. Therefore, artists, whether they regard themselves as intellectuals or not, are inevitably involved in such an ideological struggle." (Alan Bloom 2007: 7)

Although he thought that divorcing from practice and action only depended on thinking and it was impossible to cure the suffering people, he still led people to think in his works. Notwithstanding the introspection, recall and stream of consciousness of these protagonists had big leaps, the thread of their thinking was still traceable.

His stream of consciousness was actually the thought stream, the flow of conscious thought, rather than the modern writer's unconscious clutters of stream of consciousness. The constantly flowing ideas of the characters in the works were to guide people to explore the problem as what American society should be. For example, Augie March's reflection on self-destiny, Mr. Sammler and Herzog's reflections on American social reality, Citrine's reflection on intellectuals, and Corde's reflection on American politics, etc.

Throughout the important works of the Chicago School of Sociology, we can make out that many of them focused on the problems of immigration and how they integrated in American society, wherever they immigrated from Europe: Polish farmers or Irish, German, Russian, and Italian immigrants, or southern blacks settled in the northern large cities and wanted to find jobs there—the real internal migration. After careful investigations, Park found that there was a process of disintegration and reorganization between the native communities and immigrants in the modern industrialized cities, which could be divided into four progressive stages: mutual hostility, conflict, gradual adaptation, and complete assimilation. Bellow's sociological educational background, his Jewish identity, and the reality of the large number of immigrants in Chicago also forced him to pay attention to the social life and development of those immigrants and represented them in his works. Saul Bellow was Jewish, but when he was a child his family lived in the Polish immigrant community of Chicago, so he was familiar with polish immigration. At the beginning of The Adventures of Augie March, the protagonist was a curious child that was the reason why he felt very interesting to the decoration on Polish immigrant kitchen wall, their hanging objects on the door on Easter and Christmas. In Humboldt's Gift, Citrine provides the reader with a more mature and rational perspective: in Polish immigrant community, brick houses are painted bright at the street side, the lawn is elaborately fenced with iron pipes, the air smelled fragrance of home-brewed beer and pickled vegetables, in carnival activities of memorial day to the World War I, the Polish immigrants hand carrying Polish national union flags, marching with American songs, And yet they are very conservative, they prefer to maintain their own societies and tradition in the tide of immigrant assimilation. Compared to other peoples, Bellow concerned the Americanization of Jewish immigrants much more. Augie's brother Simon March, Citrine's brother Julius and some others were all seduced by the material life of the rich American society, with a strong desire to assimilate and classify, found their way in, eventually achieved success, but this success came at the cost of ignoring good and evil and eliminating sense of guilt. In his works, different from the former, there are some Jews are semi-assimilated, they struggled to wandering in the multiple values, on the one hand, they want to modernize and Americanize, on the other hand, they don't want to lose the traditional moral ideas which they stick in the heart, the paradox of this dilemma is authentic depiction of many Jews in the process of being assimilated into the United States, such as Augie March, he could neither beyond human nature, lived in a castle in the air, be otherworldly, nor lack of humanity, indulge himself freely in society, let his destruction down, but only keep the real human nature in order to obtain the balance between assimilation and persistence, thus form bellow's "ideal structure". As for the internal immigrants from the rural south to the northern cities——black people, Bellow showed us the racial differences and barriers in American society in his works, such as slums, lack of trust, crime and so on. His descriptions are not as detailed as the data what sociologists knew, but they are more vivid and convincing.

As the focus of sociologists, city played an important role in the study of the Chicago School of Sociology, who considered city not only a unit in geography or in ecology, but also an economic unit, or the natural home

of civilized man. As urban life and culture, lively changeable, more hidden, more complex, was an organic ecological organization which had its own culture. Therefore, engaging in sociological research was necessary to have an in-depth understanding of modern urban life in the United States. In *The City*, Park and the other coauthors focused on human behavior in urban environments in the United States, and turned their attention to community organization, juvenile delinquency, neighborhood relations and the survival condition of migrant workers in those cities. Similar to the Chicago School of Sociology, one of Saul Bellow's two main objects of literary creation was American cities. The great significance of Chicago and New York to Bellow was that London to Dickens, Paris to Balzac, and Dublin to Joyce.

Bellow was familiar with the gray city of Chicago where he was brought up from an ignorant teenager to a young man. In Looking for Mr. Green, he described the run-down black neighborhood as follows:

"Rebuilt after the Great Fire, this part of the city was, not fifty years later, in ruins again, factories boarded up, buildings deserted or fallen, gaps of prairie between. But it wasn't desolation that this made you feel, but rather a faltering of organization that set free a huge energy, an escaped, unattached, unregulated power from the giant raw place." (Saul Bellow 2002: 186)

To the vibrant New York, he could turn his attention to bustling citycentre such as Greenwich Village, Wall Street, and Broadway, could also found small scene in the street carnival: trolley, accordion and the violin, polished leather shoes, begging, while the dust is rotating flying like women on stilts. With regard to moral order problems that need to be solved urgently in metropolitan life, Chicago School focus on the inner conflict and stable indulgences of individual personality, the latter is also called philistinism of split personality. Indeed, the vast majority of people in modern society had developed this kind illness of philistinism of split personality, and everyone expressed the indignation to the endless stream of urban crime, once mentioned to fight against this kind of phenomena, but often back off, even coldness, as long as things have nothing to do with himself, might as well to let matter drift, even the police agency as the machinery of the state also find a pretext for not stopping urban crime. Young black pickpockets in New York not only brazen their attacks on buses, but also made physical threats and emotional insults against Mr. Sammler as a witness. The police who responded to the reports were vague, didn't accept reports with the reason that police force is not enough, this phenomenon is not unusual and other cases. Mr. Sammler was not depressed by his experience. He wondered what is wrong with society, why many young black people turn to crime, whether popular values are benefit for people's lives. The impact of major social events on the people is also highlighted in Saul Bellow's works, such as the impact of the economic crisis that swept across the United States at the end of the 1920s on teenagers, the feminization of poverty in women's lives, which are vividly presented to readers through the personal experience of Augie March and his mother.

The Chicago School of Sociology had conducted in-depth and detailed studies on the diversity of urban life and human nature. Park believed that people were carriers of double inheritance, both biological and spiritual ones which could be named social and cultural heritage. Therefore, human nature had the characteristics of contradiction and versatility. So, he pointed out:

"Cities magnify, flaunt, and reveal the various faces of personality. These are the things that make city life attractive, even fascinating. At the same time, because of this, the cities have become a place to discover the secrets of the human mind and to study humanity and society." (Yu Changjiang 2006: 172)

Cities also played more than a background role in Saul Bellow's works:

"A novelist is a historian with rich imagination, who can approach the truth of modern times more than social scientists. It's as easy to describe public events as personal trivia—all it takes is more confidence and courage. Although I've merely been an amateur student of history and politics all my life, I began to understand that no one had ever imagined the decadent city in his works. All the ways are from the perspective of technology, economy and political bureaucrats. No one has considered the significance of these people's lives." (Michikokakutani 2007)

Saul Bellow also provided us with such a place to discover the secrets of the human mind and study humanity and society in his works. His descriptions of Chicago and New York showed us the "Tale of two Cities" in America. In Chicago, where he grew up, he gave us a colorful "Falstaff background" of America, a genre painting of American civilian life; In New York, the modern metropolis, he showed us the struggle of conscience and mental torment of the intellectual. When Chicago School of Sociology conducted sociological research, they used to think of social relationships as a form of dynamics, frequent use of the concept of "social forces", but they thought that the social system, organization, etc. were not the basic elements of social forces. In order to research the social forces in-depth, it must be traced to every individual level, focus on the motivations, attitudes, desires and wishes that drove people to act, these four aspects needed to be investigated of content constitute the theory of "four kinds of desires" proposed by Thomas. Later, when Park and the others studied social forces, they were not obsessed with describing the effect of social forces on various social strata and class structure in American society, but also focused on the analysis of factors such as attitude. This was also accepted by Saul Bellow, whose protagonist's desires and attitudes were determined by his life experience and trajectory. Augie March knew, at the very beginning, that man's character was his destiny. In the face of the deep troubles of city life, he had a strong desire from his childhood: to grow into the kind of person he should be, to have a destiny worth pursuing. In the way of pursuit of his own fate, he was disturbed by many of the socalled life coaches—his tenant Lausch, paralyzed middle class boss Einhorn, superior Renling and his wife, headstrong Thea, Frankenstein Basteshaw, all these people wanted to let him live according to his defined direction. He understood, however, if according to the guidance of these so-called good people, he might be able to live well, but only as an experiment in their philosophy which limited his freedom, prevented him from realizing his "self essence." Although there was one sinister crisis after another and deep traps in real life, but for him, the greatest danger was to fall into the trap of the self-righteous, lost his nature, gave up self-control of his destiny. Therefore, even in the face of great wealth and the great temptation of a comfortable life, he still left them firmly in search of "good enough fate." Only in this way did Augie explore his outlook on life after going through hardships: "The axial lines of life, with respect to which you must be straight or else your existence is merely clownery, hiding tragedy." (Saul Bellow 1967: 472) This axis was upholding truth, pursuing love



(broadly speaking), loving peace, being generous to others, being beneficial to society, and achieving world harmony. He believed that people who could get back on this axis.

"He will live with true joy. Even his pains will be joy if they are true, even his helplessness will not take away his power, even wandering will not take him away from himself, even the big social jokes and hoaxes need not make him ridiculous, even disappointment after disappointment need not take away his love. Death will not be terrible to him if life is not. The embrace of other true people will take away his dread of fast change and short life." (Saul Bellow 1967: 472)

In An Introduction to the Science of Sociology, Park and Burgess had made an in-depth discussion on the concept of progress. The center of their discussion was the contradiction in human understanding of the basic problems of society development, or the basic paradox and sense of absurdity involved in human society. What they discussed was the most basic values of social development, they believed that when the progress would make the world a more comfortable, meanwhile, it would also make the world become more complicated, make the most basic living environment of people complicated, and make the survival of losers in social competition become more and more hard. With the basic bottom line of survival continued to improve, for the disadvantaged people, better and faster progress meant that disease, despair, and death. Therefore, progress could not be recognized in the general sense, because for the American society as a whole, retail progress could not guarantee wholesale progress simultaneously. Therefore, the Chicago School of Sociology had always held a pragmatic attitude towards the concept of progress. They believed that sociology should accept the values of the current society and do not object to this belief in practice, but to study the causes of social ills and try to find the means to cure the society. That's pretty much the opinion of Saul Bellow, who deeply steeped in sociological and anthropological thought. In his works, he had an objective description of the progress of American society, and also faced the dilemma brought by such progress. He observed that along with the progress and development of American modern society, the citizens had obtained freedom in general, no longer workday to day like cattle, every day they seemed to have a luxurious life to enjoy, but people found when their suspension in these new comfortable, they don't know why they should enjoy such a comfortable life. In modern society, people are often in a state of anxiety and helplessness, "Orpheus moved stones and trees. But a poet can't perform a hysterectomy or send a vehicle out of solar system. Miracle and power no longer belong to him." (Saul Bellow 1976: 114)

Modern Americans, living in an increasingly prosperous world, but could not grasp themselves at all. Although "Bellow has never neglected the threatened status of value standards in the aggressive real world, which is exactly what he often describes, but he doesn't think that the rapid development of human behavior or science indicates a global catastrophe. In any case, he is an optimist and an opposition leader who believes in the goodness of human nature. Truth, of course, should be exposed, but truth is not always hostile. To face the truth is not necessarily to face death bravely." As he believed, "There may be some truths in the universe, they are our friends after all."

In order to promote the social normal and wholesale progress, the Chicago School of Sociology proposed the theory of "social control" which studied how the society could spontaneously form a self-control mechanism,

therefore, they required sociologists to take upon themselves both tasks: they were not only ordinary social members but also more bystanders at the same time. When they and other ordinary people faced a homogeneous social phenomenon, they must get rid of the average man unconscious intuitive impression to the society, study and explore it in a way that made it easier to establish clear logical relationships. The protagonists in Saul Bellow's works were also both social practitioners and observers. As social practitioners, their joys and sorrows kept pace with social development, but as observers, they watched the society, city, and country in which they lived with calm eyes. Joseph's resignation from his job, which made him wait to be drafted into the army, allowed him to observe society at a distance, to explore the significance of existence, the nature of man and the value of life. Therefore, Augie March established himself as a social observer from the very beginning, because he realized that "all the influences were lined up waiting for me. I was born, and there they were to form me." (Saul Bellow 1967: 46) So he kept reminding himself:

"Look out! Oh, you chump and weak fool, you are one of a humanity that can't be numbered, and not more than the dust of metals scattered in a magnetic field and clinging to the lines of force, determined by laws, eating, sleeping, embodied, conveyed, obedient, and subject. So why hunt for still more ways to lose liberty? Why go toward, and not instead run down, the huge drag that threatens to wear out your ribs, rub away your face, splinter your teeth? No, stay away! Be the wiser person who crawls, rides, runs, walks to solitary effort, who procures for himself and heeds the fear that are the kings of this world. Ah, they don't give you much of a break, these kings! Many a dead or dying face lies or drifts under them." (Saul Bellow 1967: 330–331)

Therefore, he wasn't influenced by the thoughts of these people, and he got rid of them to find his "better destiny". Mr. Sammler and dean Corde were also in such a situation, but also on the sidelines, who had lived in the society from the start but had not integrated with it. Herzog and Citrine were the spectators who had followed the events, the observers who had kept a certain distance from society. As Nadine Gordimer (1923–2014) once said.

"Superior powers of observationmeans abnormally staying out of the way: or rather, the dual process of paying too much attention and approval to other people's lives, while remaining incredibly detached... The tension between inaction and total commitment: that's what makes a writer a writer." (Margaret Atwood 2007: 22)

The same could be said of Saul Bellow and his literary protagonists.

3. The Influence of Chicago School of Sociology on Saul Bellow's Creative Techniques

In order to maintain the effectiveness and objectivity of its academic research, Chicago School of Sociology advocated a series of qualitative research paths, such as history of daily lives, autobiographies, case studies,

personal diaries, correspondences, non-standard interviews, and intervention observations. In order to show the objectivity and directness of life, Saul Bellow used the method of social investigation of Chicago School for reference. In his works, which looked like the autobiographies of the protagonists, the first person was often employed while the author kept silent without a single word. Therefore, the fictional literary figures seemed active in arranging their own destinies or narrating their own stories. Bellow's works depicted a series of vivid characters by demonstrating case studies of American social life. Through the synthesis of these case studies, he completed the overall study of American society.

In the early phase of his literary creation, Saul Bellow analyzed the inner world of the characters in the form of Joseph's diary, by employing the strategy of "inward turning" in his novel Dangling Man. After the United States participated World War II, Joseph, a Canadian youth who was brought up in the United States, enrolled to join the American army so as to fight at the front line. Having resigned from his job, he stayed at home waiting for the notice of enlistment from the authorities. Yet, as he was a foreigner, he had to go through some investigative screenings before joining the army, which would last several months before their completion, since the relevant government departments had issued some certain regulations for married men. Therefore, he still had to wait. In his seven months of waiting at an idle transition state, he began to deliberate life and being, hoping to find out the significance of existence, human attributes, and values of human life. He could not comprehend the reason why the world we seek is not whatsoever the world we see, the world we bargain is not whatsoever the world we get. In that way, he was more and more confused about whom he was, and his own position in American society, so he became gradually a helpless idle man who was "dangling in the air". After the creation of a unique Bellow style in *The Adventures of Augie March*, he carried out a new stylistic experiment in 1964, which was represented through the whole book of Herzog, with 56 unsent letters. Herzog, a university professor, suddenly found that he seemed to be a failure in both social and personal affairs. He was in agony at the betrayal of his wife and friends. In order to find out what was wrong with the world and himself, he began to write letters to the dead and the living and the unknown. Of course, those letters were not intended to be sent. Some of them were impossible to be sent even if they were really intended be sent (the addressees had already passed away). In the letters, Herzog pretended to argue with these addressees, and he put forward opinions and suggestions on the society, so as to free himself from the confusion of life and the collapse of spirit.

After the completion of writing *Herzog*, Saul Bellow terminated his stylistic experiment, since he was already capable of writing further skillfully with the Bellow style established in the creation of *The Adventures of Augie March*, but, anyway, his stylistic reference to the Chicago School of Sociology was undeniable.

For his final work *Ravelstein*, Bellow paid equal attention to technique. "His Midwestern narrator is Zeke, the elder Zeke, an unassuming writer with Bellow's own familiar, confused, trusting, highly deceptive voice, half talking to us, half talking to himself." (Penelope Fitzgerald 2000: 43) The academic circles believe that it has multiple themes, which mainly focus on Bellow's transformation of Jewishness, narrative techniques, the existential crisis of intellectuals in the post-modern society and Jewish identity, but by the time it was published, researchers identified his hero as Bellow's good friend Alan Bloom, the novel is regarded as a biography of Bloom, intended to depict their friendship. Although Bellow once said that the novel was a higher form of autobiography, he never explicitly told people that he was writing Bloom. Although *Ravelstein* is largely considered nonfiction in America—a memoir about Bloom. It is, as Cynthia Ozick points out:

"When it becomes a novel, the author's life becomes the business of the unknown. A novel, even if it is autobiographical, is not an autobiography. If the writer himself says that such and such characters are in fact such and such people in real life, the reader still has the obligation — the 'charming obligation' of fiction — to cover his ears and turn a deaf ear...... Fiction exists underground, not above the ground. Or, as the Taoists say: Tao can be talk, itisn't the ordinary Tao...... The thing is gone, but the phantom, the powerful and fantastic being, remains." (Norman Manea 2015: 3)

Adam Phillips declared, "Ravelstein seems to be more a novel about biography than a biography." (Adam Phillips 2000: 1) As readers, we must not indulge in the gossip that circulates among the masses or in the simplistic preferences promoted by the major literary press. The reason why Bellow said that the novel is a higher form of autobiography is that to emphasize its social effectiveness and objectivity, in order to give full play to the intervention of literature.

American postmodern period arose approximately in the 80s of the 20th century, reached its prosperous stage in the 90s, on the premise of mature electronic information technology, marked by the high commercialization of social life, in the case of increasing public leisure, the society as a whole is running in order to satisfy the mass consumption desire. However, due to the rampant popularity of deconstructive philosophy, it has a profound impact on the post-modern society in America. People deconstruct everything, including people themselves, thus resulting in the continuous wandering of individual life and forming multifaceted individuals. The life of Professor Ravelstein, the protagonist of *Ravelstein*, is in a constant wandering. Correspondingly, in modern American society, where the prevailing reaction is against reason itself, in the void of thought, Saul Bellow's work uses introspection, recollection and stream of consciousness to drive the story forward, he wants to arouse people's attention by analyzing the life of Ravelstein, makes people think about how to better grasp their own problems in the post-modern.

Conclusion

Despite his efforts made on the college campus for several years, Saul Bellow was not turned into a sociologist. It was his belief in becoming a writer that took effect:

"I don't think I'm a very sophisticated man. Chicago is not a city for people with complex ideas. But in Chicago, as I was a child of Jewish immigrants, I had a belief in becoming an American writer." (Michikokakutani 2007)

Nevertheless, his sociological learning experience did have an undoubted impact on his later works, which was reflected in both the ideological contents and stylistic applications in his works. A conclusion can be drawn that Saul Bellow is destined to become a great litterateur because of his learning experience in sociology and anthropology.



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Translation Strategies of the Titles of Ancient Chinese Books: A Case Study of The Brush Talks from the Dream Brook

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Abstract: Ancient Chinese books envelope Chinese culture and wisdom, and the titles of them serve as a window for readers to have a glimpse of their essence. A good title provides information like the topic or theme of a book along with aesthetic reading experience. In cross-culture exchanges, to intrigue the interest of readers or give a clue of the ancient books as to what they are looking for, the good translation of titles of ancient Chinese books finds its significance in this respect. This paper focuses on the translation strategies of the titles of ancient Chinese books from Chinese to English. The paper figures out the definition of ancient Chinese books from the perspective of history before it goes further to explore the classification and features of their titles. Given that the case studies are based on the examples from the complete English version of *The Brush Talks from the Dream Brook* by Wang Hong, this paper briefly introduces the book and its author, followed by the translation principles and strategies of the titles of ancient Chinese books. Semantic and communicative translation strategies are to be discussed with specific translation methods respectively. It is hoped that this paper could help readers realize the importance of title translation and provides some suggestions on the translation strategies of titles of ancient Chinese books in order to be accepted by target readers.

Keywords: Title translation strategies; ancient Chinese books; cross-culture communication; *The Brush Talks from the Dream Brook*

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1. Introduction

Over the past five thousand years, the Chinese culture has stood the test of time and still remains exuberant in vitality today, embodying itself as a miracle in the long history of human civilization. Undoubtedly, the consistent inheritance of ancient classics has made great contribution to the development of Chinese culture. Ancient Chinese books are precious cultural heritage for both China and the world. The translations of Ancient Chinese books are of significance in introducing the world to learn better about China and Chinese culture. Chinese ancient classics, as one of the important parts of Chinese culture, will facilitate readers of different countries to have a better understanding of Chinese people.

Just as a saying goes, the eyes are the window of the mind. A title is the eye of a book, a chapter or an essay. Titles gives readers a glimpse of the topic of a whole book or a whole piece, some of which may offer the main ideas or attitudes of writers. With such clues, readers may decide whether they are interested in reading further. If their interest is intrigued, they can read the full piece and if not, they could save the time to find something else. In this way, titles function as a guidance for generalizing main ideas, and providing important information as well. The translation of titles of ancient Chinese classics is supposed to provide the critical message of main ideas, genres or purposes for foreigner readers, who have less or limited knowledge about Chinese culture and intend to find something interesting them.

2. Definition of Ancient Chinese Books

Ancient Chinese books refer to the various codes and records of Chinese civilization in ancient times compiled or reprinted by later generations. Noteworthily, ancient Chinese books are alternatively named dianji that means all kinds of literature, but dianji doesn't necessarily indicate ancient books.

When dianji appeared remains unknown due to the long ages. As early as the Shang period (17 BC-11 BC), there was dianji in the form of records of decrees and regulations already. Historically, in the Spring and Autumn Period (770 BC-476 BC), Confucius (551 BC-479 BC) reorganized the works written in remote antiquity and compiled them into six books (*The Book of Songs*, *The Book of History*, *The Book of Changes*, *The Book of Rites*, *The Book of Music* and *The Spring and Autumn Annals*) for education. In the Warring States Period (475 BC-221 BC), the transformation of slavery society to feudal society witnessed an impressive social phenomenon that all schools of thoughts contended for attention. However, the terminal time of the ancient Chinese books are controversial in three definitions. Some hold that the terminal time should be 1840, when the First Opium War (1840–1842) moved China into modern history; some regard it as 1911, when the Revolution of 1911 overthrew the rule of the Qing Dynasty (1636–1912), while others argue for 1919, when the May 4th Movement brought China into a country fighting for freedom and democracy.

3. The Classification of Chinese Ancient Books

Ancient Chinese books are remarkably numerous and various in medium. *The Comprehensive Catalogue of Chinese Ancient Classics*, the most inclusive content of ancient Chinese books that was officially sponsored in 1994 and published between 2009 and 2013, has concluded a nearly total 200, 000 types of ancient classics. Statistically, there are more than 50, 000, 000 ancient Chinese books stored in over 3000 libraries in China, according to an official census in 2017.

As for versions, ancient Chinese books could be found in manuscript, hand-copied book, manuscript copy, color hand-painted book, blocks-printed edition, movable tape, movable clay sheet printed book, official seal, stone plate, chinaware sheet printed book, copper sheet printed book, photolithographic edition, stereotype, revised edition, augmented edition and so on.

In terms of content and subjects, ancient Chinese books could be classified as Confucian classics, historical records, philosophical writings, and literary collections. Specifically, they consist of literature, art, law, medicine, agriculture, history, calendar, music, engineering, geography, biography, religion, chemistry, diplomacy, politics, military science, technology, finance and so on. Confucian classics as an independent category is attributed to the political and academical orthodoxy of Confucianism in China's feudal society, mainly including *The Four Books* (*The Great Learning, The Doctrine of the Mean, The Confucian Analects*, and *The Works of Mencius*) and *The Five Classics* (*The Book of Songs, The Book of History, The Book of Changes, The Book of Rites* and *The Spring and Autumn Annals*), as well as books about music and philology. Historical records are abundant in quantity and complex in genre. They are made of a wide range of historical books, such as official history, unofficial history, annals, chronicles, official biography, unofficial biography, laws and regulations, and historical anecdotes, in addition to geography books and bibliography books. Philosophical writings are related to the works of various schools of thought and their exponents before pre-Qin times (before 221 BC), especially in time of the Warring States, like Taoism, Mohism and the Legalism and so on. Literary collections mean classical literature here, including poetry, lyrics, novels, essays and literary commentary and so on.

4. Features of Titles of Ancient Chinese Books

For one thing, the titles of ancient Chinese books are diverse in style. Some are clear and concise, constitutive of names, event, object, season, place, scenery or time and other concrete concepts. Some are ambiguous and obscure, which usually reflect the author's feelings and emotions, or their attitudes and perspectives, and frequently adopt rhetorical means like metaphor, pun, euphemism, and irony. From this respect, it's understandable to find irrelevance of titles with content.

For another, the titles in ancient Chinese books reveal clearly their genres, which indicates that to name a book is to categorize it. For a long time, Chinese people have employed the Four-part Categorization, a book classification system that divides ancient Chinese books into four categorizations, namely, Confucian classics, historical records, philosophical writings and literary collections. Thanks to long practice, some words become

established as well-recognized diction that suggests specific genre. For instance, philosophical writings are used to "X+子 ("子", master in some field)", historical records "史"(history) or "典" (historical book), like *History of the Song Dynasty*, 《宋史》in Chinese, and *History of Liang Dynasty*, 《梁典》in Chinese. Confucian works "經(classic)" 或"書(book)" like *The Classic of Filial Piety*, 《孝經》in Chinese, one of the 13 Confucian classics, and literary collections "集"(collection), such as *The Collection of Wang Linchuan*, 《王臨川集》in Chinese, is a collection of poetry, essays and articles. Noticeably, some well-recognized words in one category may differ in another category in terms of meaning.

What's more, duplication in titles can been seen in some cases. Take historical records for example. To emphasize their orthodoxy and authority, compilers in ancient China were inclined to choose spontaneously certain words that were well-recognized with legitimacy. Especially, when it comes to title the historical book of a dynasty that is a duplicate with previous one, there will be a definite confusion for readers. The same is true with the personal names.

In addition, a title followed with the number of passages or volumes is a popular combination in some way. Ancient scholars before Qin Dynasty (221 BC-207 BC) weren't accustomed to adding titles for books and in some works, even there was no title for a piece of writing. The later generations gave the title for an article based on the first two characters. During the late Warring States Period to the early Han Dynasty (201 BC-220), writings generally possessed titles, but their compilation had no name.

5. Brief Introduction to The Brush Talks from the Dream Brook (Mengxi Bitan)

The Brush Talks from the Dream Brook (Mengxi Bitan) was authored by Shen Kuo, a prominent polymathic statesman in the Northern Song Dynasty (1127–1279) when he was dismissed from office at the age of 58. He spent his late years in Mengxi Garden and threw himself heart and soul into writing The Brush Talks from the Dream Brook, which envelopes his lifetime scientific and academic achievements. The Brush Talks from the Dream Brook has total 609 recollections and observations that are divided into 17 parts, covering a wide area official decrees and regulations, finance, military affairs, diplomacy, history, archeology, literature, art and science and technology (Wang 2011). Joseph Needham, a British authority on the history of Chinese science, acclaimed the work as "a landmark in the history of science in China". By and large, the book presents the level of scientific advancement of the Northern Song Dynasty and Shen Kuo's scientific reflections.

The first complete English translation of *The Brush Talks from the Dream Brook* was accomplished by Wang Hong and Zhao Zheng, and published by Paths International Ltd. in 2011. Wang Hong is a professor at Soochow University, doctoral supervisor, specializing in the translation practice and theoretical research of ancient Chinese Books. The translation examples mentioned in this paper will base on Professor Wang's English version.

6. Translation Principles of Titles of Ancient Chinese Books

Professor Pan Wenguo, a famous linguist and senior translator in China, proposed the guiding translation principles of "understandability, readability and succinctness" (Pan 1998: 394). By understandability, it means

that translation should be easily understandable for ordinary readers. As for readability, it means that translation should be smooth and natural expressive. If the source language is too hard to represent its syntactic structure, translator could deal flexibly with it and try their best to convey meanings in fluent expressions for unmistakable understanding. About succinctness, it means translation by expressing semantic and connotative sufficiency in an economical way, which refuses expressive redundancy. Professor Wang Rongpei, a translation master in ancient Chinese classics, put forward the principle of "vividness on the basis of expressiveness" or "vivid expressiveness" (Wang 2009: 9). Expressiveness is the starting point in the translation of Chinese classics, and translators are supposed to produce accurate interpretation about the original text. Vividness requires translators to convey not only the form of the original language, but also its connotation, including contextual background, implicit meaning and tone.

As mentioned above, to decide the translation principles of ancient Chinese books, translators must take into consideration the cultural and social background, the purpose of translation, the expectations of readers, in addition to the content, style and text type of the source language, and the intention of the author, so as to achieve expressiveness and vividness as well as succinctness if possible.

When it comes to the translation of titles of ancient Chinese books, considering the textual features of diverse style, informative density and dominant nominalization in structure s as well as the functions to imply or indicate main ideas and attract attention of potential readers, translators ought to take the principles of expressiveness and vividness, informativeness and succinctness.

7. Translation Strategies of Titles of Ancient Chinese Books

Translation strategies refer either to a general mode of text transfer or to the transfer operation performed on a particular structure, item or idea found in the source text. In a broad sense, Jääskeläine defines translation strategies as "a set of (loosely formulated) rules or principles which a translator uses to reach the goals determined by the translating situation in the most effective way" (1993: 116). Narrowly speaking, Chesterman relates a translation strategy to procedure or method used to solve a particular kind of problem posed by the text to be translated or linked to the translation task (1997: 92). This paper regards translation strategy as a set of plans to deal with a specific translation problem from the perspectives of text type, language and culture.

The Chinese language belongs to the Sino-Tibetan family while the English language is part of the Indo-European family, which suggests great difference between the two languages. According to Eugene A. Nida, "Translation consists of reproducing in the receptor language the closest natural equivalent of the source language message, first in terms of meaning and secondly in terms of style" (1969: 12). Specifically speaking, the closest natural equivalence in translation is up to a wide range of dimensions. The interlingual transformation between the Chinese language and the English language depends on their equivalence in semantics, form, context, style, image and cultural connotation and other meaning indexes.

Based on the different level of equivalence in these indexes above, there are full equivalence, partial equivalence and none equivalence. Full equivalence means the source language could find same semantic and syntactic counterpart in the target language. Partial equivalence is attributed to lexical polysemy and vagueness in addition to syntactic structure differences that lead to limited overlapping region in semantic field. What's more,



the context, readability and collocations exert an impressive influence on semantic stability. In this case, we need flexible methods to compensate the blank region caused by the partial equivalence. Zero equivalence indicates no counterpart between the target language and the source language. In another word, zero equivalence has to deal with semantic or syntactic vacancy.

In the translation of the titles of ancient Chinese books into English, given that the textual features of the titles of ancient Chinese books and the distinctive language family between Chinese language and English language, semantic translation and communicative translation are advocated as two general translation strategies to deal with different equivalence in the two languages. Semantic translation and communicative translation are proposed by Peter Newmark (1981) to emphasize the role of target-text readers.

7. 1 Semantic Translation

Semantic translation "attempts to render, as closely as the semantic and syntactic structures of the second language allow, the exact contextual meaning of the original" (Newmark 1981: 39), which emphasizes the authority of the source language author.

7.1.1 Literal Translation

Literal translation is a translation strategy or technique involving a choice of target language equivalents that stay close to the form of the original while ensuring grammaticality in the target language.

No matter what language we speak, we must share some experiences, which serve as the common ground for the zero misunderstanding in either semantic translation or communicative translation. When the source language could find its full equivalence in the target language in terms of form, meaning and cultural context, without any semantic or communicative ambiguity, we adopt semantic translation to convey information to the target readers while try to maintain the sound, form and meaning of the source language.

In some ancient Chinese books, the titles are composed of topic + category. If the topic could find full equivalence in English, then literal translation could be employed.

Example 1«木經»: Timberwork Manual

The *Timberwork Manual* is a work on house building methods, and it is also the first wooden structure building manual in the history of China. "木" here refers to wooden structure building instead of wood itself, "經" in this case means a guide or operational procedures. Both Chinese characters could find their English Counterpart, and considering the conciseness of titles, we have 《木經》 translated into *Timberwork Manual*.

«齊民要術»: Manual of Important Arts for the People's Welfare

Example 2«夢溪筆談校證»: The Brush Talks from the Dream Brook: A Variorum Edition

The Brush Talks from the Dream Brook is the masterpiece of Shen Kuo. In his thirties, Shen repeated dreaming about a beautiful garden with a brook flowed with rich susurrus and he fancied it so much. Coincidently, he happened to find such a place a dozen years later and bought it as his residency. When he finished the book in the garden, he gave his sketch book the name "夢溪" or dream brook literally. In consideration of the historical background of the work, it is more reasonable to literally translated "夢溪" into Dream Brook. "筆談" means brush talks in denotation. Ancient Chinese used brush pen for written communication. "校證" here indicates a text with notes. Given the above, the denotations of comprised phrases in the title could represent the original meaning and form, so literal translation is adopted.

Likewise, «新校證夢溪筆談» is corresponded to *The Newly-Edited Brush Talks from the Dream Brook*. There are some other examples such as «夢溪筆談全譯» (A Complete Translation of the Brush Talks from the Dream Brook), «夢溪筆談選註本» (Selected Readings from the Brush Talks from the Dream Brook), «續筆談» (Sequel to Brush Talks from Dream Brook), and «補筆談» (Supplement to the Brush Talks from the Dream Brook).

7.1.2 Transliteration

Transliteration is the act, process, or result of writing letters or words using the corresponding characters of another alphabet or writing system.

As we all know, besides denotation, words or phrases have connotation that has root in the characteristic way of thinking and social traditions of a nation, where the source language finds cultural or lexical vacancy in the target language. The world is supposed to respect the cultural particularity of every nation, for the sake of cultural diversity and justice. What's more, target readers look forwards to some foreignness or an exotic touch in a foreign land to expand their horizon. Thus, transliteration is a way to deal with zero equivalence and show respect to the authority of the source language author, which are usually seen in titles with names, like the name of characters or real persons including family name, given name, style name, the name of places, buildings, ages and dynasties and so on.

Example 3 «莊子»: Zhuangzi

Zhuangzi is a Taoist classic, a complied collection of Taoist doctrines put forward by Zhuangzi (369 BC–286 BC), a representative Taoist philosopher in the Warring States, and his disciples. Zhuangzi as a name is composed of Zhuang, the family name of Zhuang Zhou, and zi, the respectful address. In ancient China, people added zi to the name of figures who had a great social influence and credibility. Zhuangzi as a book title, takes the name of a Taoist master to refer to both the author's name and his thoughts. In this situation, transliteration is appropriate for name translation for the sake of clearness, conciseness and exotic experience for readers.

7.1.3 Literal Translation Plus Transliteration

If we have name + genre mode of titles, we can use literal transliteration plus transliteration to deal with.

Example 4 《趙飛燕外傳》: Stories about Zhao Feiyan

Zhao Feiyan is the beloved empress of Emperor Cheng of Han Dynasty, famous for her charming dance, attractive beauty and slim figure. "外傳" means an unofficial biography or stories.

Similarly, «王莽傳»is translated into The Biography of Wang Mang.

王莽 or Wang Mang is the founder of Xin Dynasty(9 AD -23 AD)after his usurpation of the throne of the Western Han Dynasty. 傳 means official biography or history books written in biographical style, different from a story-oriented biography in authority.

Example 5 «金瓶梅»: Jin Ping Mei, Plum in the Golden Vase

«金瓶梅» or *Jin Ping Mei* is regarded as the fifth Great Classical Novel in Chinese Literature and one of the Four Masterworks of the Ming Novel. It used to be despised due to its vivid erotic depiction. The author, Lanling Xiaoxiao Sheng, literally Scoffing Scholar of Lanling, talks about the romance and lust between a dissolute merchant Ximen Qing with his wife and six beautiful concubines against a corrupted and immortal age. The secularization-featured novel gives impressive depiction on the three of the six concubines, Pan Jinlian, Li Ping-er and Pang Chunmei. *Jin Ping Mei* is a blending term from the names of the three women. Jin means Pan



Jinlian, literally "golden lotus", Li Ping-er, literally vase, and Pang Chunmei, literally spring plum.

Since international readers lack of cultural background of the novel or the names of the three women, they find no semantic meaning in a mere blending name. To improve the understanding and communicative effects, literal translation along with the transliteration is recommended.

7. 2 Communicative Translation

Communicative translation "attempts to produce on its readers the effect as close as possible to that obtained on the readers of the original" (Newmark 1981: 39), which attaches great importance to the target language readers' needs.

7.2.1 Adding

Adding means supply necessary words in translation, making the version grammatically correct, semantically clear, rhetorically sound, logically acceptable and culturally appropriate. (Lian Shuneng 2006: 130)

Example 6 «東京賦»: Ode to the Capital City Luoyang

"東京" today is inclined to refer to Tokyo, the capital city of Japan, while in the Eastern Han Dynasty(25–220), "東京" refers to Luoyang, the capital and the author Zhang Heng meant Luoyang in the title. Therefore, in order to avoid misunderstanding of its ancient denotation and present denotation, the background information is necessary to add. "赋" is an descriptive prose interspersed with verse. To be concluded, 《東京賦》 is translated into Ode to the Capital City Luoyang and the Capital City is added to make clear understanding for readers.

Example 7 «嘉祐本草»: Herbal Medicine Compiled in Jiayou Period

"嘉祐"or Jiayou is one of reign titles of Emperor Renzong of the Northern Song Dynasty (960-1127). Jiayou is a reigning period that lasted from 1056 to 1063. Therefore, in translation, we need add the category word "period" to the transliteration of Jiayou to show readers the general meaning of Jiayou.

Similarly, we may translate«開寶本草»into Herbal Medicine Compiled in Kaibao Period.

7.2.2 Interpreting

Interpreting means annotating the translatable "obstacles" in the source language with interpretive target language, to achieve smooth understanding for readers, which is a common compensating method in bilingual or multilingual transformation.

Example 8 «外臺秘要»: Magic Prescriptions

«外臺秘要»(Waitai Miyao) was compiled by Wang Tao in the middle of Tang Dynasty (618–907). It is a comprehensive medical compilation composed of 40 volumes, with 1104 medical fields and more than 6000 prescriptions that had existed before the Tang Dynasty. As for the title, 外臺 (Waitai) has two popular explanations. First of all, 外臺 is understood as a local official position, based on the fact that the author started to compile the book when he was sent to be a local official who had been an official of the central government. The other explanation believes 外臺 share the same meaning with 蘭臺 (Lantai), a general reference to the imperial library, because Wang Tao had worked for over 20 years in Hongwen Library, the imperial library then, where his abundant readings in medicine offered a great chance for him to make such great compilation. "秘要" means major and essential ideas.

However, the conciseness of titles won't allow rich and lengthy background information. In addition,

besides the different medical theories, in this medical symposium, prescriptions are the dominated composition. On account of the above reasons, «外臺秘要»is interpreted as *Magic Prescriptions* to give readers a gist of the works.

8. Conclusion

As an "eye" to a book, a title plays a significant role in attracting the attention of readers by providing the essential information of a book. The titles of Ancient Chinese books have developed their own distinctive characteristics and naming system thanks to the long history. To translate well the titles of ancient Chinese books, translators are supposed to analyze carefully their features and find out the most appropriate principles to guide their translation. As a cross-culture social activity, the translation of titles of ancient Chinese books has to take readers' reaction and need into serious consideration, which requires translators to try every way to help their readers get through the cultural blocks between the source language and the target language.

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On Raymond's Search for Self in The Desert of Love

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Abstract: François Mauriac's Nobel Prize-winning work, *The Desert of Love*, tells the story of teenager Raymond's development in the context of indifferent family relationships. This paper will analyze the impact of the unhealthy family emotional field on the formation of Raymond's sense of self-worth from the perspective of family system theory, explore how he embarks on a path of self-absence, self-differentiation, disorientation and self-reinvention, and search for the root cause of Raymond's self-identity crisis within the family, with a view to reconstructing an "oasis of love", thus providing some implications for the family crisis and the growth of young people in society today.

Keywords: The Desert of Love; self; family systems theory

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論《愛的荒漠》中雷蒙的自我追尋

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摘 要: 弗郎索瓦·莫襄亞克的諾貝爾獲獎作品《愛的荒漠》講述了在冷漠的家庭關係中,青少年雷蒙的成長故事。本文將主要從家庭系統理論的角度出發,分析不健康的家庭情感場域對雷蒙自我價值感的形成所造成的影響,探究其如何踏上了一條自我缺失、自我分化、迷失直至自我重塑的道路,從家庭內部尋找造成雷蒙自我認同危機的癥結,以期重構「愛的綠洲」,從而為當下社會所出現的家庭危機以及青少年的成長問題提供一定的借鑒意義。 關鍵詞:《愛的荒漠》;自我;家庭系統理論

引言

法國作家莫裹亞克(François Mauriac,1885-1970)於 1952 年憑藉《愛的荒漠》(Le désert de l'amour)一書獲得了諾貝爾文學獎。在該部作品中,看似和諧圓滿的家庭實則分崩離析,內部成員互為孤島,疏離、猜忌與爭吵是家庭關係的主旋律。作者不惜花費大量筆墨描述了青少年雷蒙在缺乏溝通、信任與愛的環境中,產生的心理矛盾和情感衝突,以此揭示了他隱秘的內心世界,凸顯了雷蒙在不健康家庭情感場域中的成長困境。「家庭系統理論(Family Systems Theory)」發端於 20 世紀 50 年代的美國,其核心觀點之一就是「自我概念(Self-Concept)」,即個體本身對自我的感知,認為家庭作為子女自誕生以來就存在且固定的成長環境,對個人自我概念的形成產生了直接影響,主張從家庭關係的角度關照家庭成員個人自我價值感的形成。本文將從家庭系統理論的視角出發,審視在「荒漠般」的家庭關係中,青少年尋找自我的成長經歷:青春期的雷蒙在原生家庭的情感場域中不受關注,自我價值感低下,試圖逃離家庭、追尋自我。在此過程中,因受到家庭外部其他女性的關注,獲得了短暫的自我價值認同感而投入到一段無果的愛情中,再一次迷失自我。成年後的雷蒙最終與昔日情人和父親和解,而原生家庭的修復也給雷蒙提供一個重塑自我的契機。本文試圖通過蹤莫裏亞克筆下主人翁的成長經歷,探討家庭系統對個體成長的影響。

一、自我缺失:家庭關係的異化

青春期的雷蒙無法在異化的家庭關係裏感受到歸屬感和親密感,其低自我價值感的形成首先受到了成 長環境,即家庭的影響。在莫裏亞克的筆下,『作者巧妙地將愛、凝聚力、不信任和敵對等元素混雜在一個家 庭中,這種暗地裏的相互敵對使得整個家庭內部變得「趣味橫生」,讓人無法忍受」^①。在雷蒙家裏,無論是父 母,還是姐姐、姐夫亦或是奶奶,都只是單純靠血緣關係維繫在一起的「陌生人」,他們「既不願意對別人說真 心話,還專愛揣測旁人的秘密…每個人都以為完全瞭解其他所有人,而唯有自己才是別人猜不透的。|②這種 以暗地猜忌和表面衝突為主旋律的家庭模式在飯桌上表現得淋漓盡致。飯桌本該是提供給家庭成員分享 食物、互相交流、增強親密感的物理與心理空間,但小說描寫到的五次餐桌場景卻充滿了戲劇衝突,一個看 似完整的微型社會系統正悄然發生著裂變:庫雷熱老太太是個甩手掌櫃,平日裏存在感不多,即便在兒子和 兒媳婦起衝突時,也只是「埋頭吃飯,似乎沒有聽見」(79)。家庭瑣事纏身的庫雷熱太太則經常借這個全家 人聚在一起的機會,埋怨丈夫用餐「遲到早退」,為家務事和女兒爭吵不休,無暇顧及兒子,甚至在後知後覺 的丈夫終於發現青春期的雷蒙開始注重衣著等變化並提醒妻子時,庫雷熱太太也不置可否,並隨口就把話 題轉移到了傭人的問題上。庫雷熱先生忙於工作,即便在家,「他的座位也長時間地空著।(75),常年缺席父 親、丈夫和兒子的角色。雷蒙的姐姐、姐夫「巴斯克夫婦形成一個充滿猜疑和秘密的孤島」(75),與家庭裏的 其他成員交流不多,餐桌上唯一的話題就是與母親爭搶傭人,並嚴禁家庭其他成員與自己的四個小孩講話, 有意在大家庭內部分隔出自己的子系統。姐姐常把弟弟雷蒙比作一只狗,認為他是「家裏的禍害」,甚至直 言「他將來准是個壞蛋」(74)。在這樣一個不健康的情感場域中,雷蒙幾乎被家人忽視,在少有的那些被注 意的時間,也都只是因為犯錯而受到呵斥。小說中不斷出現的「荒漠」、「孤獨」、「空虛」和「痛苦」等字眼一 次又一次地印證了關愛和交流的缺位,父愛的缺席、母親的無視以及姐姐的語言暴力給小雷蒙帶了極大的 心理創傷,整個家庭猶如冰冷地窖一般。

除了外在環境對自我的排斥以外,內心對自我的不接納更是雷蒙「自我缺失」的重要元素。敏感又自尊

的雷蒙在地窖般冰冷的家庭中篤定自己確實是可有可無,空氣般的存在,是討人厭的髒孩子。他只有在餐桌的角落以及電車黑暗的車廂裹才會感到自在,黑暗仿佛是一道屏障,將他與世隔絕。除此之外,他還喜歡用沉默弱化自己的存在,自我感不斷被吞噬。他既不主動與家人溝通,也沒有朋友可以吐露心聲,在與自己共同生活的人面前,儼然一副「熟悉的陌生人」形象。即便是受到了老師的誹謗或家人的諷刺,他也選擇封閉自己的內心,不主動捍衛自己,不對任何人產生信任,並在潛意識中逐漸接受了「他者」強加在自己身上的「浪蕩子」形象,信以為真,「他以髒和亂自翮,其實少年這是在可憐地虛張聲勢…他是想讓別人相信,他這種不修邊幅是心甘情願的;這還是屬於他這種年齡的可憐的驕傲,絕望的謙卑。」(85)青春期少年的內心極為敏感和自卑,十分注意「他者」對自我的看法,雷蒙這種對自我的不接納直接來源於「他者」對自我的不接納。故事中的雷蒙與學校、家庭之間的隔閡,與同學、老師和親人之間的疏離不僅讓他感到孤獨,更使得其在壓抑的外部環境中否定自我,而這種自我與自我的疏離則造成了自我的缺失。

二、自我分化:家庭關係的分裂

自我缺失所導致的自我價值感低下促使雷蒙試圖與原生家庭「決裂(cutoff)」,到外界環境尋找新的身 份認同。青春期的雷蒙在面對母親的責罵時總是採取不回答的態度,當不善言辭的父親好幾次試圖打破兩 人的沉默時,處於叛逆期的雷蒙也均以裝聾作啞的方式屢屢將意圖示好的父親拒之門外,他拒絕與父母溝 通,讓人無法靠近,即便在能感受到父親些許愛意的情況下,他也選擇閉上眼睛,防止自己流露出屈服和軟 弱的願望,當父親伸手想要拉近兩人的關係時,雷蒙也會及時地抽回手。這種心理和身體上所表現的與外 界的隔絕被系統家庭理論的奠基人莫瑞・鮑文(Murray Bowen)定義為「情緒阻斷(Emotional Cutoff)」,是青 春期孩子[自我分化(Differentiation of Self)]的一個表徵。而在面對姐姐、姐夫帶有攻擊性的冷嘲熱諷時,青 春期好鬥的心理特點使得雷蒙不再沉默,選擇通過暴力溝通撕裂與姐姐、姐夫的同胞關係。姐夫埋怨雷蒙 這個十七歲的未成年人極大地複雜了他們繼承房產的問題,而雷蒙在姐姐姐夫討論財產繼承權的那些夜裏 則經常會流鼻血,「他將黏糊糊的帶血的指頭在胸前擦拭,覺得自己那張血跡斑斑的臉很有趣,他既扮兇手, 也扮被害者。|(94)這裏的鼻血隱喻了雷蒙與姐姐、姐夫同胞關係的斷裂,他既是阻擾同胞獲得金錢的「加害 人」,又是因金錢被同胞拋棄的「受害者」,對金錢無休止的欲望泯滅了姐弟之間血緣所維繫的這一最根本的 人倫感情。「雷蒙三十歲時曾經要求得到像姐姐的嫁妝那樣一份財產,但未能如願;在遭到父母拒絕以後, 他便與他們斷絕了關係。」(69)在成年後的雷蒙眼裏,財產也隨之變成了衡量親情的一個尺規,而父母這套 不公平的財產分配公式再一次驗證了父母對姐姐的偏愛以及自己不被重視的事實,被金錢物化的親情如陽 光下的泡沫,一觸即破。

除了心理空間的決裂,雷蒙更是選擇在用餐時把自己安置到角落,並常常一個人跑到花園,遠離充斥著家人爭吵的餐廳,甚至為了能夠攢錢去西班牙,遠離家庭而認真學習,只為拿到父母給的獎勵金以湊齊路費,試圖實現空間上的決裂。雷蒙無數次想到出走:「每走一步,他就離學校和死氣沉沉家更遠一步,他事先就陶醉在無比興奮之中!」(84),但這種在地理空間的短暫阻斷並非是真正的解脫,無法實現徹底的「自我分化」,因此雷蒙一直在尋找真正的出口,如攢錢周遊世界,「使得自己與家庭之間隔著一段漫長無邊的距離」(84),或在家庭和學校之外的環境中,尋找「他者」對自我價值感的認可,而瑪麗婭的出現正是讓他看到了離家出走以外的另一個曙光:瑪麗婭在電車上對雷蒙的關注使得雷蒙重燃信心,他開始意識到了自我的存在,並由此萌發了一系列想要證明自我,以及反抗外在壓抑環境的意識。

三、自我迷失:兩性關係的異化

城裏富商維克多的姘頭瑪麗婭在沒有婚姻保證的情況下,丈夫角色的缺席以及整個社會在道德倫理上 的施壓,使得她將所有的情感都投注到了孩子身上,可天有不測風雲,孩子的夭折讓瑪麗婭失去了喪夫之後 唯一的生存期望。她所能做的,只有每天堅持去墓地看孩子,「在看望死去的孩子的路上,命中註定,她遇見 了這個活著的孩子」(141),而這個「活著的孩子」就是雷蒙。「他臉上殘留的稚氣使她想到自己死去的兒 子,即使在思想上,她也只是懷著熱烈的廉恥心接近他」(145),在瑪麗婭眼裏,青春期的雷蒙充滿孩子氣,潛 意識將他看作了自己死去孩子的替代品,奉為自己新的情感寄託。從雷蒙的角度而言,早有耳聞的風雲人 物瑪麗婭如今活生生地站在自己面前,眼神一直跟隨著自己,關注著自己,甚至感到對方對自己抱有男女之 情的那種喜愛,這一切都促使雷蒙開始關注自我,他請傭人幫忙一周熨兩次衣服,並決定每天刮鬍子。而雷 蒙在心理、空間上與家庭關係的隔絕以及對自我的關注等一系列「自我分化」的表徵絲毫沒有引起家庭其他 成員的注意,「因為一個過於單調的家庭成員之間是彼此視而不見的 | (100),瑪麗婭如同雷蒙「愛的荒漠 | 中的一片綠洲:「一個女人,不用說一句話,是靠著眼神的威力,就使庫雷熱家的這個孩子變了樣,重新塑造 了他,而家裹人竟沒有在他身上認出被施過著中陌生魔法的痕跡」(100),如此,瑪麗婭不知不覺中反過來也 成為了雷蒙原生家庭的替代品,彌補了雷蒙在家裹從未受到關注的心理空缺,再者,瑪麗婭特殊的異性身份 更是極大地激發了青春期雷蒙的征服欲,他把瑪麗婭比作「戰利品」,與瑪麗婭的交往滋養了雷蒙的自尊,讓 他的身份認同得到了極大的滿足。如此,兩人不惜成為倫理道德的反叛者,一頭栽進了這段夾雜著情欲和 母子感情的畸形兩性關係中。

在雷蒙所生長的家庭環境中,父親對母親愛搭不理,姐夫對姐姐頤指氣使,這種父權至上的婚姻關係直接影響到雷蒙對待異性的態度。在青春期荷爾蒙的作用下,莽撞又衝動的雷蒙決定用暴力征服自己心愛的女人,他將女性物化成證明自己的一個管道,而這種對女性的不尊重使得他又一次遭受打擊:「瑪麗婭無法接受這個外表熱情、純潔的少年是個流氓的事實」^③,冰冷地拒絕了雷蒙的粗魯求愛。雷蒙的空虛和失落在吃了瑪麗婭閉門羹的那一刻全都化為了惱羞成怒的情緒,「這頭青春時期的雄性動物受到了侮辱,失敗使他狂怒,他身上那種已經變得巨大的生理驕傲受到了致命的傷害,而且在流血。」(151)雷蒙性意識的頓悟在瑪麗婭畸形的兩性關係中無疑是一場悲劇,讓他再一次迷失了自我,企圖從其他女人身上尋找愛情的替代品,宣洩內心洶湧澎湃的情感。

莫裹亞克曾評論道,「雷蒙的青春期危機主要表現為痛苦和反抗」[®]。心理上再度失衡、又一次深陷自我缺失痛苦中的雷蒙決意以自我流放的方式進行反抗,他在父親病重時一聲不吭地離家出走了六天,回來的時候變得又瘦又黑,右眼還有受傷的痕跡,破了的袖子露出了刺紋。無論是刺紋的個性化裝扮還是離家出走的叛逆行為,都是雷蒙對家庭和社會反抗的表徵,當初那個在學校自詡為「浪蕩子」、桀驁不馴的青少年如今已真正墮落到社會的底層,擺脫了家庭和學校的管束,最終逃亡到巴黎,沉迷於聲色犬馬。這種「浪蕩子」的自我流放不僅意味著雷蒙與家庭、情人在空間上的決裂,更是一種心理上試圖逃避創傷,產生的自我保護應激性反應,但這種決裂只是一種「虛假解決(pseudosolution)」[®],而決裂一旦發生,施動者的心理將處於更加脆弱敏感的狀態,會試圖求得更多的自我關注與認可。「人一旦被貪婪和縱欲所控制,個體就會失去道德理性甚至泯滅人性,人的本質力量也就被異化」[®],雷蒙在巴黎的縱欲之旅一方面讓他從別的女人身上不斷地證明自我,另一方面也讓他在問題重重的兩性關係中逐漸喪失了愛的能力,在一片虛無中迷失了自我。而他的愛情悲劇如蝴蝶效應般也改變了和他接觸過的其他女人的命運:有人為他墮胎,有人因他死去,有人進了神學院…迷失了自我的雷蒙將內心的空虛和孤獨如荒漠化般地蔓延到整個巴黎,引發了一個又一個家

庭悲劇。

四、自我重塑:親密關係的和解

三十五歲的雷蒙已經明顯感受到自己衰老的徵象,他在一次又一次照鏡子的過程中,送別了青春的逝去。莫裹亞克曾在其三十五歲的日記中寫道,「變老,意味著孤獨,受到的關愛會越來越少直至不再被愛。」^② 故事中三十五歲的雷蒙同樣也意識到了「被人愛的時代已經一去不復返了,現在該你去愛人了,如果你配得上的話」(175)。在身體和心智逐漸走向成熟的過程中,曾以青春為資質在女人堆裹迷失的雷蒙突然頓悟,開始從希冀別人的關注,從別人身上獲取身份認同到正確審視、接納自我,並主動關愛他人。而這種心態上的變化也為他後來與原生家庭、昔日情人的和解埋下了伏筆。[®]

如果說家庭成員以自我為中心是雷蒙缺乏他人認同,並逐步迷失自我的原因,那麼成員之間的相愛相 助則是凸顯雷蒙存在感,幫助他找回自我的一個良好開端。與原生家庭徹底斷絕聯繫的雷蒙在三十五歲時 收到了父親主動寄來的一封信,在父親簡練的語言中,「他確實感受到一種呼喚 | (69),這封信開啟了父子之 間的顯性溝通模式。雷蒙雖怨恨自己的原聲家庭,卻無法仇視父親。在接到父親發出的示好信號後,雷蒙 不再像青春期那樣扭頭回避交流,而是主動打電話向父親求助,請他來診治瑪麗婭的現任丈夫。父子倆一 見面,父親就把雷蒙拉向懷中,這個看似簡單的姿勢充滿了濃濃的愛意,預示了父子關係趨於和好。安頓好 瑪麗婭丈夫後,兩人坐在回程的計程車裏,「雷蒙握著稍稍靠在他身上的老頭的手」,向父親打聽家裏的事 情:關係和好如初的父母,在戰場犧牲、贏得父親讚揚的姐夫以及一心為女兒操勞的姐姐使得原生家庭的關 係逐漸融洽。父親感歎道,「你不會相信的,生活在家庭深處是多麼好呀…在生活中為自己創造一個避難 所,這是很重要的。生活在開始和結束一樣,都需要一個女人來撫育我們。」(183)原生家庭關係的修復明顯 也感染到了雷蒙,在父親向他打聽自己與瑪麗婭的關係時,雷蒙撒謊說「她跟我說話——正是為了打聽你的 消息 | (182),極力撇清自己與瑪麗婭的關係,始終沒有和父親捅破最後—層窗戶紙,承認自己與瑪麗婭之前 的情人關係,以撫慰同樣對瑪麗婭愛而不得的父親。在父親乘車離開巴黎時,雷蒙突然想再一次擁吻自己 的父親,表達作為兒子的關愛,於是他趕在最後一刻跑到月臺和父親見了「最後一面」,「父親用充滿愛的眼 光看著兒子。雷蒙問旅行者還缺不缺什麼…」(187)雷蒙和父親的這一次相遇,雖然短暫,但父子倆的感情 得到了急速增進,無論是熱情的擁抱還是暖心的言語都讓我們看到了父子兩人身上的愛、責任與付出,讀者 似乎在兩人互相關心的愛意中隱約看見了「愛的綠洲」。

酒吧與昔日情人的偶遇成為了雷蒙自我認知的轉捩點,雷蒙在三十五歲遇到昔日情人瑪麗婭之前,一直對瑪麗婭耿耿於懷,想找機會報復她,以彌補自己青春期所受到的心理創傷。但在真正偶遇瑪麗婭後,雷蒙卻奇怪地發現,自己的內心並未喚起「那種夾雜著狂怒的歡樂」(67)。他勇敢地正視了自己當年對待瑪麗婭粗俗的舉動,希望能夠獲得對方的原諒,原本打算報復瑪麗婭的他不僅沒有在瑪麗婭丈夫維克多受傷後落井下石,反倒幫助她安頓好其丈夫,並打電話叫來父親幫忙診斷維克多的病情。時間醫治了雷蒙的積怨,即便在瑪麗婭極力與過去的自己撇清關係,並不希望與雷蒙再有往來時,雷蒙也沒有像年輕時的自己那樣惱羞成怒,與瑪麗婭反目成仇,他把對瑪麗婭的愛放在了心底,試圖慢慢消化,對瑪麗婭的仇恨也在重逢那一刻完全消解。此時的雷蒙不僅不再忙於應付女人,操縱自己的朋友,還在偶遇昔日情人、送別朋友離開的同一個夜晚,奇怪地發現自己開始珍惜同伴,這對他以往的生活來說是一個新鮮事,但對於他以後的生活而言,三十五歲後心理逐漸的趨於成熟已經使他潛意識裏對家人、情人都有了不同的理解。

雷蒙三十五歲之前的愛情觀、家庭觀在一定程度上開始瓦解,如浮萍般在巴黎漂泊的他在三十五歲之 後也開始重新規劃自己的未來,有了新的人生觀,站在個體發展的十字路口,他對父親說,「我不想打雜了, 有人讓我去一家工廠工作,一家菊苣飲料廠,過年他們就讓我當經理」(182)。三十五歲的雷蒙在與父親和昔日情人和解之後,不再繼續以「浪蕩子」的形象自我流放,而是選擇回歸並重塑自我。

結語

同寫家庭題材的日本小說家黑井千次曾表示:「文學必須撕破日常生活厚厚的表皮,揭露家的內幕、家族深處隱藏的東西。在充滿溫情和愛的人與人的關係中,不能漏掉痛苦的吱吱的響聲。或者說在醜惡的深處未必沒有美好的東西。」®莫裹亞克正是將日常小事作為切入點,充分利用雷蒙家的飯桌、花園,瑪麗婭「奢侈與窮困」的客廳,雷蒙與瑪麗婭相遇的電車以及維克多在巴黎的房間這五個地理空間,以及過去與現在不斷交叉的心理時空,層層剝開看似溫馨的家庭外殼,在冷靜細膩的筆調下,通過對家庭成員行為與內心活動的刻畫,講述並剖析了四世同堂的大家庭裏小兒子雷蒙自我缺失、自我分化、自我迷失再到自我重塑的螺旋式成長歷程。正如莫裏亞克在諾貝爾文學獎的獲獎詞中說的那樣,「我們出生在狹小的世界,在那裏學會愛和忍受;小說家的天才就在於他能揭示這個狹小世界的普遍性」,其作品所反應的家庭生活困境不僅僅是20世紀法國資產階級家庭的真實寫照,也是對當代家庭生活模式的審判,作品所反映的家庭問題依舊是當今社會各個家庭需要面對且難以回避的問題,而其中雷蒙的在青春期的叛逆和追求也是人類普遍成長的縮影,其經歷的成長困境更是給當代家庭敲響了一個警鐘。愛、信任、責任與溝通是孩子青春期乃至整個成長歷程中所需要的「綠洲」,構建一個健康良好的家庭系統是每個家庭一直以來都值得反省和深思的問題。®

注釋

- ① Edmond, J. (1933). Le romancier et ses personnages, p. 38. Paris : Buchet-Chastel.
- ② [法]弗郎索瓦·莫里亚克(著),石横山等(译):《莫里亚克精品集(上)》,上海:文艺出版社 2013 年版,頁 80。(下文出自同一著作的引文,将随文标出引文出处頁码,不再另注。)
- ③ Edmond, J. (1933). Le romancier et ses personnages, Paris: Buchet-Chastel.
- 4 Pierre-henri, S. (1982). Mauriac, Paris: Seuil.
- ⑤ Peter, T. (2003). Emotional cutoff: Bowen family systems theory perspectives, New York: The Haworth Clinical practice press. (轉引自顧悅:鮑勃·狄倫、離家出走與60年代的「決裂」問題:歐茨《何去何來》中的家庭系統,《外國文學》2017年第5期, 頁64。)
- ⑥ 唐麗偉,季水河:《消費主義的家庭倫理鏡像》,《當代外國文學》2016年第2期,頁40。
- 7 François, M. (1948). Journal d'un homme de trente ans, Paris: LUF.
- ⑧ 黑井千次:《關於家庭主題》、《作家雜誌》2003年第1期,頁12。
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Critical Reading of *Walden* from the Perspective of Chinese and Western Cultures

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Abstract: Chinese traditional thoughts have a great influence on Western literature and American Transcendentalism. Given Sino-western culture differences and Thoreau's language limitations, by making a comparative analysis of Confucianism-Taoism implied in the essay and Thoreau's transcendentalism, this paper aims to understand and interpret objectively and realistically elements of Chinese traditional culture in *Walden* so as to further think about how to maintain the cultural consciousness and cultural confidence of Chinese traditional culture. To start with the interpretation of the writing background of *Walden* and the author's personal identities, critical reading of *Walden* from different perspectives of Chinese and Western cultures is of great significance for the interpretation of the essence of Chinese and Western cultures, which contributes to guiding positive world views, outlooks on life and values, and better appreciating Chinese traditional culture and transcendentalism involved in Walden.

Keywords: Walden; Sino-Western culture; critical reading

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中西文化視角下的《瓦爾登湖》批評性閱讀

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摘 要:中國傳統思想對西方文學和美國超驗主義產生了一定的影響,但鑒於中西文化的差異和梭羅自身的語言局限性,通過對文本中的儒道思想與梭羅的超驗主義進行比較分析,本文旨在客觀、現實地理解和解讀《瓦爾登湖》所蘊含的中國傳統文化元素,思考如何保持中國傳統文化的文化意識和文化自信。從《瓦爾登湖》的寫作背景和作者的個人身份著手,從中西文化視角對《瓦爾登湖》進行批判性閱讀,對於理解中西文化的精髓,指導世界觀、人生觀和價值觀,幫助讀者更好地欣賞中國傳統文化,理解《瓦爾登湖》中蘊含的超驗主義具有重要意義。

關鍵詞:《瓦爾登湖》:中西文化:批評性閱讀

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引言

《瓦爾登湖》是美國 19 世紀文學自然隨筆的經典,融自敘、觀察、思考、想像、批評為一體。作者亨利·大衛·梭羅通過對瓦爾登湖一年四季大自然情境細緻入微的情節描寫,詳盡地描述了在瓦爾登湖畔度過的兩年又兩個月的生活以及期間他的思考,是一部蘊含了深刻哲理的散文集。一個多世紀後,《瓦爾登湖》仍是最受歡迎的讀本之一並且受到中國讀者的青睞。林語堂曾說:「梭羅對於人生的整個觀念,在一切的美國作家中,可說是最富於中國人的色彩」^①。「中國古代文化思想對梭羅有一定影響」^②。儒家的修身養性、民胞物與等理念,與道家萬物和諧、無為而治等追求,似在《瓦爾登湖》中都有明顯的投映。

但關於《瓦爾登湖》中有關中國傳統文化與超驗主義的關係,中外學者有著不同的觀點。以《瓦爾登湖》引用儒家經典為例,全書引「四書」達十處之多,對此,常耀信認為,梭羅的「每條引言都使用得恰到好處。愛默生和梭羅受孔子影響頗深。」^③劉略昌認為梭羅在其思想形成過程中,通過閱讀英譯本和法譯本的儒家經典及其他途徑,在一定程度上受到了中國古代文化的影響。^④對此,也有學者提出不同意見。西方學者,「我們也必須注意到,大多數時候梭羅是以一種非儒家的方式援引儒家著作的材料」。^⑤陳廣興認為梭羅對中國儒家語錄的引用,並非為了表達對儒家文化的親近或認同,而是為了利用中國「四書」古典、異國的情調來達到點綴、修辭和美文的效果。^⑥同樣的爭議存在於《瓦爾登湖》與中國道教思想的聯繫上。不少學者對梭羅與中國道家思想的關聯持懷疑態度。

鑒於《瓦爾登湖》在世界文學史上的地位及不同的學者們不同的觀點,在欣賞西方文學作品時,一方面 我們有充分理由堅信中國傳統文化對世界文化的影響,另一方面對文本開展批判性閱讀,對於真正做到堅 定文化自信具有重要意義。

一、《瓦爾登湖》的創作背景

亨利·大衛·梭羅(Henry David Thoreau),美國作家、哲學家,超驗主義的代表人物,也是一位廢奴主義

及自然主義者。有「美國的文藝復興」之稱的超驗主義興起於 19 世紀新英格蘭地區,在歐美文學和審美浪漫主義的鼎盛時期蓬勃發展,是美國浪漫主義的一種形式。思想上主張人們可以超越理性和感性,主張依賴自己的直接經驗認識真理,認為人類世界的一切都是宇宙的一個縮影。

超驗主義的產生,在一定程度上是對當時日益增長的工業化的反應。從 1830 年到 1860 年,在美國歷史上是一個以擴張、變革、自我意識增強,社會和地區兩極分化加劇為標誌的時期。工業革命對社會生產力的高速推進,使得傳統的生活方式受到衝擊。這一時期,許多新領土開發和吞並、領地不斷向西遷移、交通和通訊得到顯著改善,美國經濟得以迅速發展。蓬勃發展的工業和商業使得當時的社會大眾為獲取更多的物質財富,過上更好的物質生活而整日忙碌著,拜金主義和享樂主義思想占絕對主導地位。與此同時,人們對宗教的精神缺陷的不滿情緒不斷上升,宗教的狂熱隨之逐漸降溫。超驗主義正是在這種精神的真空中誕生的。

受超驗主義的強烈影響,梭羅對於外在的生活改善能否帶來內心和平與滿足表示一種質疑,他相信人類可以通過教育、自我探索和精神覺醒來實現完美。在其導師拉爾夫·沃爾多·愛默生(Ralph Waldo Emerson)的支持下,開始他的超驗主義實踐。1845年7月4日美國獨立日這天,梭羅住進了自己親手在瓦爾登湖邊的森林中蓋起來的木屋。他在那裡獨立生活了兩年兩個月,觀察、傾聽、沉思,夢想,直接且強烈地體驗自然,用細膩的文筆詳細記述了他在瓦爾登湖居住時所看到的、觀察到的及所思考到的一切,其創作的散文集《瓦爾登湖》出版於 1854年。

二、《瓦爾登湖》中的儒家文化及梭羅的誤讀

閱讀《瓦爾登湖》能明顯地感受到中國古代文化對梭羅影響與啟迪。就儒家而言,超驗主義者與之最大的契合之處在於他們共同關注和提倡自我完善和自我修養。作為一種個人對生活的理解,梭羅勇於反思自己的生活,放棄生活中多餘的東西,從而過上真正屬於自己的生活。梭羅渴望寧靜獨處,但同時又很有責任感,這些思想與梭羅的超驗主義的思想有一定的相似性。中國文化中,靜,不僅是哲學概念,更是一種精神狀態,一種修身養性的方法,一種為人處世之道。在瓦爾登湖,梭羅實現了簡單,使生活豐富而有意義。「我到林中去,因為我希望謹慎地生活,只面對生活的基本事實,看看我是否學得到生活要教育我的東西,免得到了臨死的時候,才發現我根本就沒有生活過。」③這與儒家的核心思想「寧靜致遠,修身養性」也有著極大的相似性。孔子言「仁者靜」。儒家所宣導的修身、立志,治學皆以靜為本。

《論語·學而篇》中,「子曰:君子食無求飽,居無求安。」意思是說,君子要善於抵制物欲,不貪圖安樂,把精力用於追求理想和真理上。同樣,梭羅主張實踐「簡單、獨立、大度、信任的生活」。「a life of simplicity, independence, magnanimity, and trust. $J(Walden, Chapter 1)^{\circledast}$,文中督促我們面對現實生活,拒絕物質主義,擁抱簡單,平靜地培養自我。從 1845 年到 1847 年,梭羅在瓦爾登湖過著簡樸的生活,這證明了物質進步對於豐富的生活來說是不必要的。他在《經濟篇》中說「大部分的奢侈品,大部分的所謂生活的舒適,非但沒有必要,而且對人類進步大有妨礙。所以關於奢侈與舒適,最明智的人生活得甚至比窮人更加簡單和樸素。」『梭羅說,「簡單化,簡單化! 不必一天三餐,如果必要,一頓也夠了;不要百道菜,五道夠多了;至於別的,就在同樣的比例下來減少好了。」『「Simplify,simplify. Instead of three meals a day, if it be necessary eat but one; instead of a hundred dishes,five; and reduce other things in proportion. 」

但正如學者劉略昌的觀點,一方面,梭羅與中國古代文化之間有一定的共同點;另一方面,肯定兩者之間存在的差距是相當大的^④。孔子生活的時代是奴隸制日益衰敗,封建制興起,社會矛盾、社會鬥爭相對尖銳而複雜的時代,以孔子為代表的儒家學派是強調人是以社會為中心的。而由於所處的國家歷史背景的差

異,核羅更加注重對大自然的愛意。[©]「智者樂水,仁者樂山」出自《論語·雍也》,其譯義既可以理解為,智慧的人愛水,仁義的人喜愛山;也可以理解為智者之樂就像流水一樣,閱盡世間萬物,悠然、淡泊;仁者之樂,像大山一樣崇高、安寧。總之,體現了中國文化中人們對山水的熱愛之情。而這種情感中含著社會人的屬性。《瓦爾登湖》「我生活的地方,我為何生活篇」中,核羅記錄了預備造房子時選擇的地方[©]「是一個恰悅的山側,滿山松樹,穿過松林我望見了湖水,還望見林中一塊小小空地,小松樹和山核和山核桃樹叢生著。湖水凝結成冰,沒有完全溶化,只化了幾處地方,全是黝黑的顏色,而且滲透著水。」[©]在梭羅的感悟中,瓦爾登湖的山水風光不是靜止的,她隨著四季的輪回而變化。其中蘊藏的更多的是對大自然純粹的情感。

兩者之間的分歧在《瓦爾登湖》中對儒家經典的引用上也體現得十分明顯。雖然諳熟英語、法語、德語等多門語言,但梭羅卻不懂漢語,一生也從未踏上大洋彼岸的中國的土地。他只是在愛默生的引薦下,通過閱讀英法譯本的有關著作獲得一些中國文化方面的知識。根據梭羅研究專家克萊默(Jeffrey S. Cramer)考證,梭羅在《瓦爾登湖》中所引用的「四書」內容,都是他本人譯自博迪耶(Jean-Pierre-Guillaume Pauthier)的法語譯本《孔子和孟子——中國道德哲學與政治哲學四書》(Confucius et Mencius: Les Quatre Livresde Philosophie Morale et Politique de la Chine, 1841)。由於作者本身對中國語言文化理解的局限性及文化背景的差異性,《瓦爾登湖》中梭羅使用的一些源於《四書》的一些語言表達與作者實際想要表達的意思可能是存在一定的差異。

《經濟》篇中「To know that we know what we know, and that we do not know what we do not know, that is true knowledge. 」(*Walden*: Economy)此處,梭羅引用了孔子的話,但受西方哲學家蘇格拉底思想的影響,梭羅認為智慧來自對知識無止境的追求。因此,其意義我們理解為「知道自己僅僅知道自己所知道的,而不知道自己所不知道的,這是真正的智慧。」梭羅借用的出自《論語·為政》的「知之為知之,不知為不知,是知也。」在中國文化中表達的則是讓人要誠懇踏實,不能虛偽驕傲,要勇於承認自己的無知。

梭羅《孤寂》篇中「Virtue does not remain as an abandoned orphan; it must of necessity have neighbors. 」該句出自《論語. 裡仁》。梭羅所要表達的中心思想是與他人的相處並不重要,經常可以捨棄,而真正重要的是能夠改變自我的「最高法則」,而對這一法則的感悟往往需要獨處。這句引文的意思經過上下文的語境限定,意為一個人即使獨自一人,只要他能夠真正擁有自己的德行,他就不是孤獨的。而出自《論語. 裡仁》的「德不孤,必有鄰」的含義則是指,有德行的人自有追隨者,永遠不會獨自一人。二者所表達的意義因果關係相反。

梭羅在《更高的規律》篇中,引用曾子的話:「The soul not being mistress of herself, says Thseng-tseu, one looks, and one does not see; one listens, and one does not hear; one eats, and one does not know the savor of food. 』」[®] 校羅強調的是追求原始的行列和野性生活的本能,避免貪婪和欲望的衝擊,保持頭腦的時刻清醒,懂得分辨善惡。出自《禮記. 大學》「心不在焉」曾子說過「視而不見,聽而不聞,食而不知其味」。曾子強調的是要端正自己的心思,心思不端正就像心不在自己身上一樣。由此可見,中英所表達的含義也是存有一定的差異的。

超驗主義強調個人的重要性,強調自我完善。梭羅結論篇「From an army of three divisions one can take away its general, and put it in disorder; from the man the most abject and vulgar one cannot take away his thought. 」[®]梭羅表達傳遞的意思是每個人都應該有真正屬於自己的想法,核心在「個體追求」。中國讀者能深切地感受到梭羅的對中國文化的鍾情,但梭羅的表達與出自《論語·子罕》第12章「三軍可奪帥也匹夫不可奪志也」,思想上是存在本質性的差異的。《論語·子罕》中意思是軍隊的首領可以被改變,但是有志氣的人的志向是不能改變的。強調一個人應該堅毅,遵守統治階層封建倫理。《論語》所處的時代所需要堅持的東西是被指統治階級所接受的倫理標準,其核心內容是「仁」。而梭羅用這句話卻是想表明人不能盲從社會

觀念,而應該擁有自己獨特的想法,強調一種自我追求的意識。

梭羅選擇在瓦爾登湖的生活只是暫時性的。絕非一種逃離現實,簡單地追求閒適的生活,而是有一定的個人抱負。如梭羅《經濟篇》「My purpose in going to Walden Pond was not to live cheaply nor to live dearly there, but to transact some private business with the fewest obstacles; \int 俊羅表明自己前往瓦爾登湖去的目的,並非是去節儉地生活,也不是去揮霍,而是去經營一些私事,為的是在那兒可以儘量少些麻煩。因此,我們可以理解梭羅在瓦爾登湖過簡單的生活就是為達到自我實現和精神化目的的一種手段。

梭羅在瓦爾登湖生活期間,他絕非遠離塵囂。梭羅支持廢奴運動,宣導公民權利和「公民的不服從」。 梭羅會經常到康科特去會他的老朋友們並做一些季節性的零散的生意。在一次這樣的旅行中,梭羅因為反 對黑奴制拒交「人頭稅」而被捕入獄。友人在未經他本人同意下替他交了稅款,次日被保釋出獄。獄中的一 夜激發他思考了許多問題。返回瓦爾登湖後,梭羅平靜地沉思著除了政府的干預,生活如何不被任何人打 擾。他認為沒有必要把自己的東西鎖起來,總是歡迎所有來訪者。他說,盜竊只存在於「有些人得到的遠遠 不夠,而另一些人卻不夠」的社會。梭羅相信,「如果所有的人都生活得更我一樣簡單,偷竊和搶劫便不會發 生了。發生這樣的事,原因是社會上有的人得到的多於足夠,而另一些人得到的卻又少於足夠。」^②

在治理朝政上,梭羅在《村莊》篇結尾引用孔子的話「You who govern public affairs, what need have you to employ punishments? Love virtue, and the people will be virtuous. the virtues of a common man are like the grass; the grass, when the wind passes over it, bends. 」®而出自《論語·顏淵》篇的「子為政,焉用殺? 子欲善而民善矣。君子之德風,小人之德草。草上之風,必偃。」孔子認為治理政事,哪裡用得著殺戮的手段。只要行善,老百姓也會跟著行善。在位者的品德好比風,在下的人的品德好比草,風吹到草上,草就必定跟著倒。陳廣興®認為,由於所處的環境不同,二者的觀念是存在本質上的差異的,孔子站在統治階級的立場自上而下地思考問題看來,認為關鍵是統治階級要實行仁政,事情才能得到解決。而梭羅極為反對當時的美國政府支持奴隸制,並對墨西哥發動侵略戰爭。他認為面對這樣的政府,老百姓應該堅決地不服從。梭羅站在被統治階級的立場自下而上地思考問題。在公民(Civil Disobedience)的不服從中,他所宣傳的依靠個人力量,「非暴力抵抗」的鬥爭形式對印度的甘地和美國黑人領袖馬丁·路德金產生了很大的影響。

三、《瓦爾登湖》中的道家文化元素

隨著西方商船和傳教士來華,《道德經》也開始傳入歐洲。根據英國科學家李約瑟(Joseph Needham)考證,《道德經》最早在西方文字譯本是 17 世紀末比利時傳教士 Francois Noel 的拉丁文譯本。儘管由美國人保羅·卡魯斯(Paul Carus)翻譯的《道德經. 譯本》是在 1898 年才出版,但《瓦爾登湖》中的超驗主義思想中,同樣也蘊含了不少道家思想的元素。

道家講求「清淨為天下正」。老子言「致虛靜,守靜篤。」從中國道家文化視角來看選擇隱居追求的是精神生活,而不是物質的名與利。老子主張「萬物和諧」、「無為而治」。這些中國傳統思想在《瓦爾登湖》的描述中均有蘊含。超靈與道家的最高理念「道」有著許多相似之處。超驗主義者強調精神,或超靈,認為這是宇宙至為重要的存在因素。主張人們要回歸自然,接受它的影響,在精神上不斷完善。在梭羅的超驗觀念中,自然有著特殊的意義。「大自然能適應我們的長處,也能適應我們的弱點。有些人無窮無盡的憂患焦慮,成了一種幾乎醫治不好的疾病。」「自然以健康的形象對立於病態的社會,也是人認識宇宙的完美細節,最終達到精神昇華,展示人心中最美好的東西的場所。」『在享受工業革命、科技進步帶來的益處,梭羅追求心靈與自然的和諧,主張追求人性的複歸,在自然中淨化自己的靈魂,在自然中完成人性的返璞歸真,提高自己的思想境界。這種思潮和老子的「少思寡欲」「天下為谷,常德乃足,複歸於朴」(《道德經》,28章)的思

想存在一定的相通性。

道家「日出而作,日落而息」,逍遙於天地之間而心意自得的思想在《瓦爾登湖》中也有體現。Let us spend one day as deliberately as Nature. 我們如大自然一般謹慎地過一天吧,不要因硬殼果或掉在軌道上的蚊蟲的一隻翅膀而出了軌。^①Let us rise early and fast, or breakfast, gently and without perturbation; let company come and let company go, let the bells ring and the children cry - determined to make a day of it. [®] 「讓我們黎明即起,用或不用早餐,平靜得並無不安之感;讓人去人來,讓鐘去敲,孩子去哭,下個決心,好好地過一天。」^①

道家主張寡欲,寡欲不是節制欲望,而是減少那些不必要的欲望。「不欲以靜,天下將自定」(《道德經》 37章)萬事萬物沒有貪欲之心,天下便自然而然達到穩定、安寧。「我無為而民自化,我好靜而民自正;我無事而民自富,我無欲而民自朴」(《道德經》 57章)。主張統治者清靜無為以緩和階級矛盾,這樣便可實現天下統一穩定。與道家一樣,檢羅的無為中暗含著進取。王焱在《一個別處的世界:檢羅瓦爾登湖畔的生命實驗》指出,檢羅真正想擁有的,是隱士和英雄之間的一種和諧,他以退為進,懷著英雄的進取心和使命感,從社會隱退;他去過隱士的孤獨生活,卻代表著整個人類的利益,去探索真正有意義的生存方式,並宣告給世人^⑨。

與愛默生一樣,檢羅認為對自然現實的親密而具體的熟悉對於理解更高的真理至關重要。但是因為二者自然觀的立足點不同,形成的人生觀和政治觀也截然不同。老子宣揚回歸自然,注重內心的需要,追求精神上的自我和自由;順應自然規律,不可做有違背於自然規律的事。而超驗主義者宣揚的是一種激進的個人主義。它打破加爾文教的上帝中心論,強調自立。而老子強調人的自然性,超驗主義更注重人的社會性。居住在瓦爾登湖,通過為自己做事,梭羅保持自己的自由,有意識地生活,培養自己,探索自然和神性。《瓦爾登湖》中《禽獸為鄰》篇通過對動物的描寫,展示了大自然的生態和諧之美。在池塘裡發現的動物,包括鴨子、青蛙、麝鼠、水貂和海龜,都出現在梭羅的記錄中。梭羅以一種暗示更高意義的方式,梭羅著眼於描述池塘的寧靜與安寧。他說,它們超出了人類的描述或知識,而且「比我們的生活美麗得多。梭羅住在森林裡時,是一個好漁夫和獵人,但後來他開始討厭這種運動。他不僅用魚和鳥來做飯,而且讓屋子裡充滿了「所有的異味和景象」,他還曾為殺害它們感到內疚。他避免使用動物性食物、茶、咖啡等,「與其說是因為我發現它們有任何不良影響,不如說是因為它們不符合我的想像」。瓦爾登湖《最高法則》中,梭羅說:「不管我自己實踐的結果如何,我一點也不懷疑,這是人類命運的一部分,人類的發展必然會逐漸地進步到把吃肉的習慣淘汰為止。必然如此,就像野蠻人和較文明的人接觸多了之後,把人吃人的習慣淘汰掉一樣。」^②

在老子「道」的世界裡,「水」是一個重要的元素。老子說:「上善若水,水善利萬物而不爭。」(《道德經》第8章)最高境界的行為就像水的品性一樣,澤被萬物而不爭名利。在老子的哲學思想中,道如水,水即道,「天下莫柔弱于水,而攻堅強者莫之能勝,以其無以易之」。(《道德經》78章)。用水的心態指導我們的行為,調適我們的心態。道家文化中,水是外表最柔弱、最平靜的東西,本質上卻最有力量。水滴石穿,最堅硬的東西,都可以被水磨平、被水擊穿。水含有了一種智慧,水擁有一種力量。瓦爾登湖是一個「水的領域」,水不再是外部景觀的物理部分;它已與人類的天堂靈魂合為一體。瓦爾登湖的水非常透明和純淨,它不僅是一種客觀存在的自然物,而且具有鮮明豐富的象徵意義是啟示、理解和願景的催化劑。它「背叛了空氣中不斷從上面接受新生命和運動的精神」。

瓦爾登湖的水「深邃、純淨」,「是康科特佩戴在自己皇冠上的一顆最璀璨的寶石。」梭羅在文中描述了一百個愛爾蘭人在瓦爾登湖挖冰的過程,他們帶來各種工具,把湖上的冰切成方塊,然後裝車拉到市場上出售。挖冰的人的行為象徵著人類對大自然的掠奪。但大自然最終取得了勝利。因為被搬運走的冰塊中,只有不到25%的冰到達了目的地,其餘的冰在途中融化和蒸發,並返回瓦爾登湖。在梭羅的描述中,冰是瓦爾

登湖唯一有用的產品,它成為自然的社會用途和社會重要性的象徵,是自然資源開發的象徵。在梭羅看來,冰塊(水)不是商品,而是靈性與美的大自然的化身。它會給你啟示,淨化心靈。切冰工是唯一成批來到瓦爾登湖的人,瓦爾登湖上冰人的勞動成為社會與自然對抗的象徵性社會縮影。

在《瓦爾登湖》的「結論篇」中,梭羅再次告誠他的讀者開始一種新的、更高的生活。他指出,我們通過接受外部強加的限制來限制自己和我們對宇宙的看法,並敦促我們有意識地進行生命之旅,向內看,並進行探索的內心之旅。

四、結論

中華民族的精神、氣質、思想、智慧存在于優秀的文化傳統中。其思想精髓對世界文化也有著深遠的影響。《瓦爾登湖》裡有作者對自然界大量細緻入微的描寫及感悟獲得的至上的真理。通過細緻和廣泛概括來表達自然的意義和價值是梭羅作品中最普遍的主題之一。《瓦爾登湖》中宣導儉樸無欲、回歸自然,渴望與自然合而為一的表達,暗合中國道家文化精髓。但因二者自然觀的立足點不同,形成的人生觀和政治觀也截然不同。老子宣揚回歸自然,強調人的自然性,超驗主義更注重人的社會性。鑒於中西語言文化的差異和梭羅自身的語言局限性,從中西文化的不同角度對《瓦爾登湖》進行批判性解讀,對於理解中西文化的精髓,指導人生觀、世界觀和價值觀,幫助讀者更好地欣賞中國傳統文化,理解《瓦爾登湖》中蘊含的超驗主義具有重要意義。

注釋

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Illusion Painting and *TV People*: On the Generative Principle of the Virtual World of *TV People*

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Abstract: Haruki Murakami's short story, *TV People*, reveals the reality that people cannot stand up to the lure of TV media, and are completely dominated by the media in their thinking and actions. Many previous studies argued that the virtual world in the novel is an "imaginary real world" based on the computer network, but such an explanation would make certain plots in the novel unreasonable. Since the novel is full of elements of "illusion painting", the principle of the illusion painting can be used to reasonably explain the plots in the novel on the one hand. On the other hand, the virtual state generated by the illusion painting principle is more in line with the situation when Murakami Haruki wrote the novel

Keywords: Haruki Murakami; TV People; illusion painting; "parallel world"

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錯覺畫與《電視人》

——論《電視人》時空世界的生成原理

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摘 要:村上春樹的短篇小說《電視人》反映了在電視媒體面前人們毫無抵抗力,思考和行動完全受其支配的現實。不少先行研究認為,小說中的時空世界是基於電腦網路的「假想現實的世界」,但這一解釋會使小說中出現的某些情節變得不合理。由於小說中充滿了「錯覺畫」的要素,因此,利用錯覺畫原理不僅可以合理地解釋小說中出現的情節,而且錯覺畫原理所生成的時空狀態也更符合村上春樹創作該小說時的處境。

關鍵詞:村上春樹;《電視人》;錯覺畫;「平行世界|

一、引言

《電視人》是村上春樹在 1989 年發表的一部短篇小說。該小說不僅是村上最中意的兩個短篇之一^①,同時也是讓村上從消沉中走出的恢復之作^②。從內容上講,《電視人》的故事並不複雜,其所要反映的就是在電視媒體面前人們毫無抵抗力,思考和行動完全受其支配的現實。但由於小說採用了現實世界中並不存在的電視人闖入日常現實世界中來的手法來對此進行表現,因此該小說也被認為是一部「使用了魔幻現實主義手法而寫成的作品」^③。

或許正是由於主題明晰,表現手法獨特,所以許多先行研究都試圖對小說中時空世界的生成原理進行解析。其核心觀點就是認為這是一個基於電腦網路虛擬而成的「假想現實的世界」。例如橫尾和博講:「現在,這種假想現實的世界作為網路上的虛擬實境系統就出現在眼前。這一系統借助電腦的力量,在不採取實際行動的情況下也可以在意識中體驗所有事情,(中略)即便把《電視人》視為超前反映此種虛擬世界的小說也並不為過吧。」。此外,利維亞·莫内在《電視畫像性的退行未來和不眠的肉體中》指出:「電視人所在的SF假想世界把現實殖民地化,——實際上已經變得能夠與現實相互轉換——即便現實的自立性還沒有被完全奪走,但也是令現實處於極度危險的狀態。換句話說,所謂的現實就是這個故事投影的幻覺性 SF 的電腦空間,那當然是一個能夠無限(自我)複製或者是模擬的空間。」。

如果單純從《電視人》中「我」與電視人之間所發生的故事來看橫尾和莫內的論述會覺得相當有道理。因為的確可以把「我」和電視人之間所發生的非現實性故事完全視為一種模擬體驗,此種模擬體驗當然可以被稱為「假想現實的世界」,而此種「假想現實的世界」也的確可以借助電腦的模擬體驗功能得以實現。但如果考慮到小說的發表年代,以及小說的內容便會發現該論述存在以下兩個問題:第一是村上的這部短篇寫的是「電視人」而非「電腦人」。電視畢竟與電腦有相當大的區別。而且查閱日本的電腦和電視的發展史便可以知道,1989年前後日本的電視還處於上升期——日本的衛星放送從1989年才開始,1990年高清視頻電視也才開始販賣。與此相對,1994年,面向個人的撥號 IP 連接服務開始,1995年日語版 Windows 95 販賣,

網路在日本剛剛開始爆發式的普及。這也就是說,在發表於 1989 年的小說中,電視人的世界是否來自於電腦網路便會成為疑問。因此,橫尾和莫内的論述很可能是已經生活在電腦世界的人對小說描寫所產生的想像。

另外,村上自己在對該小說進行解說時是這樣講的:「我坐在沙發上一個人茫然地看錄影片段,那時突然想寫短篇小說。宛如頭腦中開啟了某個開關,我站起來走向書桌。然後啪啪地敲打文字處理機的鍵盤,幾乎是自動地寫了這個短篇。」^⑥村上寫作時使用的是文字處理機而非電腦,從這一點也能知道村上看錄影時用的是電視。這些都表明至少村上春樹在寫《電視人》這部短篇小說時與電腦的關聯並沒有那麼緊密。當然,即便在上世紀80年代末,電腦世界還不那麼發達,且村上的生活也並未被電腦侵入時,村上也可以思考電腦所能提供的某種模擬體驗。但這僅僅是一種可能性,或者說是在研究時的一個假設。

與村上寫的是「電視人」而非「電腦人」相比更重要的一點在於,小說中出現了「我」能夠看到電視人,但同事和妻子卻對電視人或者電視人留有的痕跡視而不見的情節。在處於同一時空內,且「我」並不具備超能力的前提下,用基於電腦網路的「假想現實的世界」這一說法很難做出合理的解釋。

以上兩個問題都表明需要重新審視把電腦網路視為小說中時空世界的生成原理這一想法。事實上,揭示小說中時空世界的生成原理非常重要,因為這不僅僅能夠明晰小說中的時空狀況,對小說中的描寫做合理解釋,更重要的是小說中時空世界的生成原理對於理解村上春樹文學中所謂的「平行世界」(Parallel world)具有十分重要的意義。那麼究竟應如何探究小說中時空世界的生成原理呢?其實如果仔細考察《電視人》這一小說便可以發現,解析該小說時空的關鍵就在於小說中所提到的「錯覺畫」。《電視人》中的許多描寫和情節不僅可以從錯覺畫的角度加以解釋,而且從錯覺畫的角度對小說時空狀態加以勾畫也更符合村上春樹創作這篇小說時所處的狀況。

二、小說中的錯覺畫要素

之所以能夠將《電視人》這部短篇小說與錯覺畫聯繫在一起是因為小說本身便提供了這方面的線索。在小說第2節末尾,按照比例越來越小的方式寫了四行字「這便是電視人」[©]。如果只從文字表意的角度來講其實只需要一行就可以了。很明顯,小說在這裡是用四行文字組成一個圖形來表達電視人在視覺上的相關特徵。雖然小說中所描述的電視人最主要的特徵是與人相比仿佛縮尺為0.7,猶如略小於實物的精密塑膠組合模型,但用四行文字組成的圖形所顯示的資訊卻遠遠多於用文字所描寫的主要特徵。因為如果只是想表達其精確縮尺的話,那麼用一行大文字表達正常的尺度,用一行小文字表達縮尺便可以了。而且即便用四行文字,也應該是一行大,三行小,而不是越來越小,因為電視人自身是一樣大的。小說中的文字圖形所要表達的意思應該是在文字圖形出現之前的那段文字,即「也可以說他們看上去好像用透視法畫出的模特。雖說盡在眼前,卻似遠在天邊。又如一副錯覺畫,平面扭曲、上下起伏,本應伸手可觸,然而無法觸及。可觸摸到的是不該摸到的東西」[®]。

結合文字圖形和上述表達可以發現,四行按比例由大到小的文字圖形的確清晰地顯示透視法效果,但很明顯,平面扭曲、上下起伏的特點卻全然沒有顯現。這或許是因為用文字圖形來表達這一特徵的確存在困難。因為如果用文字圖形來表達的話,文字本身和文字整體就要像波浪那樣具有扭曲、上下起伏的效果。如前所述,單純從文字表意的角度來講,四行按一定縮尺比例排列的文字沒有任何意義,但如果從文字圖形的角度來看,這應該在表現電視人的某些特徵,但文字圖形所顯示的特徵卻未將用文字解說部分的特徵完美地表現出來。或許村上本人也意識到了這一點,所以在文字解說中直接使用了「錯覺畫」一詞。那麼如果從錯覺畫的角度來分析小說中的文字圖形和解說便可以發現,文字圖形中的透視法是表達米勒賴爾幻覺版

本的效果,而文字解說當中的平面扭曲,上下起伏應該是螺旋錯覺或咖啡牆錯覺。

儘管村上春樹是否是從錯覺畫的角度來描寫電視人不得而知,但小說中的確出現了「錯覺畫」一詞,而 且其用文字所描寫的電視人的特徵也很符合錯覺畫的原理。此外,從小說的其他描寫來看,也存在能夠讓 人聯想到錯覺畫的地方。例如被電視人侵入後第二天,「我」躺在沙發上做了一個關於電視人的夢之後,電 視人從電視裡來到了「我」身邊的描寫。

不料,電視螢屏竟如夢境那樣映出一個電視人,就是那個同我在公司樓梯上擦肩而過的那個。 (中略)螢屏上的電視人反而越來越大。整個螢屏推出一張面孔,漸漸成為特寫鏡頭,似乎一步步 由遠而近。

繼而,電視人跳到螢屏外面,宛如從視窗出來似的手扶邊框一躍而出。於是螢屏便只剩下作為背景的白光。^⑨

上面這段中,尤其是關於電視人跳出螢屏的描寫很容易使人聯想到 1874 年由西班牙畫家佩雷·波雷爾·德卡索(Pere Borrell del Caso)所創作的布面油畫《逃脫批評》。《逃脫批評》就是在與窗戶同理的畫框上畫上手和腳,利用人的視覺錯覺使小男孩看上去要從畫框中飛出來。一般來講,錯覺畫歸根到底就是一張二次元畫,它即便是能夠利用人的視覺錯覺造成多種立體效果,但也最多是一個鏡頭。這也就是說,作為畫作的《逃脫批評》只能表現小男孩要從畫框中出來的那一瞬間。而小說卻可以利用文字描寫多個連續的場景,上面的引用文便顯示了電視人在電視裡,從電視中出來以及出來後的連續的三個場景。雖然看上去要比畫作多出兩個場景,但就從電視中走出來的那個場景來看與《逃脫批評》所顯示的效果並沒有不同。

通過上面的分析可以明白,小說不僅在對電視人進行描寫時的確顯示出與錯覺畫高度吻合的特點,而且更為重要的是,村上也使用了「錯覺畫」一詞來表達「電視人」的相關特徵。如果村上真的是以錯覺畫的原理來對電視人進行描寫的話,那麼對於小說中所描述電視人的世界就要重新進行認識。比如小說在對電視人進行描寫的過程中不厭其煩地強調其身體各部位與普通人相比是 0.7 的縮尺比例。如果電視人的世界是先行研究所認為的基於電腦網路的「假想現實的世界」,那麼這種比例就應該是真實存在,而其意圖就是為了凸顯電視人是一種異樣的存在,他們處在與人類完全不同的時空世界裡。但如果從錯覺畫的角度來分析,0.7 的縮尺比例應該僅僅是一種視覺上的錯覺,那麼,電視人實際上就應該與普通人相同。他們既不是什麼異樣存在,同時也與我們同在一個空間、一個世界裡。換句話說就是,電視人其實就在我們身邊。

三、錯覺畫與小說中的時空

前文曾經提出,如果從基於電腦網路的「假想現實的世界」這一角度來看小說情節會發現,小說中有令人不解之處。具體來講就是在電視人闖人「我」的世界之後,妻子和同事採取了視而不見的態度。對於這一情節,中村三春認為:「妻子對電視人搬進來的電視及弄亂的房間什麼都沒說。電視人也出現在了公司,儘管同事按理是應該看到的,但卻視而不見。這也就是說,在電視人這個問題上,「我」與別人是無法共用和交換想法的。」[®]小說中的有關情節是否說明了「我」與別人不能共用和交換有關電視人的想法在此暫不評論,但這一結論肯定是在妻子、同事都能看到電視人這一前提下得出的。但是,妻子和同僚真的看到了「電視人」嗎?

閱讀小說可以知道,妻子和同事的情況是有所不同的。因為電視人闖入「我」家時,妻子恰好不在;而電視人闖入公司的會議室時,「我」和同事都在現場。由於小說中並未賦予「我 |某種超能力,而且「我 |自己也

並未進入某個特殊空間,因此「我」與妻子、同事按理應該是一樣的,都是普通人。這當然也是「我」在洗手間中試圖與同事聊有關電視人話題的基本前提,即「我」覺得「我」能看到的東西,同事自然也會看得到。當然,同事是否真的看到了電視人,小說中並未做清晰的交代。雖然小說中有「他們並非沒有看見電視人,肯定看在眼裡,當電視人抬著電視進來時旁邊的人閃開為其讓路便是明證」^⑪這樣的話,但這僅僅是「我」憑藉一個動作做出的判斷,畢竟同事並未說自己看見了電視人。

然而妻子的情況與同事不同。因為「我」並未看到妻子與電視人曾處於同一時空。電視人初次進人「我」家中時,為了把搬來的電視放到有座鐘和一大推妻子雜誌的地櫃上而把座鐘和雜誌移了位置,從而將房間和雜誌弄亂。「妻子最討厭別人亂動房間裡的東西」[®],也「不喜歡別人碰自己的雜誌,一旦堆放的順序出現變化,難免來一陣咆哮」[®]。所以,「我猜想這回她必然大發牢騷」[®],但妻子回家後「對電視機出現在房間中居然未置一詞,居然毫無反應,完全無動於衷,甚至好像沒有察覺」[®]。她「只是在房間裡轉圈巡視。地櫃上有電視機。雜誌顛三倒四地堆在茶几上。座鐘移至地板。然而妻子什麼也沒說」[®]。妻子的行為相當怪異,從正常角度根本無法解釋。首先,妻子巡視了房間,應該看到了房間裡的情景。其次,雖然妻子一定會發火這一點可以歸結為「我」對妻子的誤判,但妻子在看到屋子裡所發生的重大變化後一言不發,這無論如何都是不可思議的行為。尤其是從小說的描寫來看,妻子並不知道屋內的重大變化是電視人所導致,所以在強大的電視人面前妻子敢怒不敢言的結論似乎也無法成立。正是因為上述的不解,因此橫尾和博在論述電視人和妻子的關聯時這樣寫道:「她是裝作沒看到被「電視人」弄亂的房間,還是真的沒有覺察到?總之是沒有任何反應。(中略)妻子不在家和「電視人」的存在是否具有某種因果關係?還是妻子與電視人共謀企圖達到某種目的?(中略)妻子的這種反應,無論怎麼看都只能認為是與「電視人」相互勾結的結果。」[©]

從正常情況看,橫尾的結論很有道理。因為只有這樣才能合理地解釋妻子所表現出的不可思議的行為。由於小說中並未出現妻子與電視人處於同一時空的描寫,因此這只是橫尾的一個推測,當然這一推測也是建立在妻子能夠看到電視人的前提下。但如果妻子看不到電視人的話,那就根本不需要用一個小說中沒有出現的、推測而來的情節來對其一系列不可思議的行為加以解釋了。那麼在何種情況下才會導致和「我」處於同一時空的妻子看不到電視人呢?錯覺畫可以實現此種效果。

所謂錯覺畫其實就是一種視覺陷阱,而能夠導致這種視覺陷阱的方式很多。例如:1. 在牆壁或地板上畫上實際上不存在但看上去卻仿佛存在的門、窗戶、人物以及風景。2. 在平面作品上貼上東西,仿佛畫中的一部分飛了出去。3. 在三維空間內不可能存在的建築。4. 拼湊人體、水果或蔬菜形成一個人的形象。5. 正常來看是人臉但反過來或者轉變方向來看就變成了其它的東西。6. 通過大小或長短引起錯覺。

在以上六種方式中,第五種情況是最有可能在實際狀況中道致有人能看到有人看不到的結果。這類畫作中比較有代表性的就是「魯賓杯」。「魯賓杯」是 1915 年由丹麥心理學家埃德加·魯賓繪製的一個多意圖形,該圖形最重要的特徵就是人們從這幅圖中既可以看到相對的兩張人臉也可以看到一個巨大的水杯(如下圖)。在「魯賓杯」的圖形中,如果把白色部分,也就是水杯部分視爲圖形,那麼黑色部分,也就是兩張人臉就只會被視爲背景,反之亦然。雖然無論是水杯部分還是人臉部分都是真實存在的,但由於二者共用同一邊界線,所以二者不能同時被認知,也就是不能同時被看到。



如果從這一角度來理解小說中的相關情節的話,就可以說雖然「我」和妻子都在看同一個東西,「我」看到電視人相當於「我」認知到了人臉,而與此相對,妻子沒有看到電視人是由於她看到的是水杯。換句話說,正是由於妻子看不到電視人那部分,所以對於妻子來講,家中應該如往常一樣,沒有發生絲毫改變。至此,可以看出運用錯覺畫原理似乎能夠合理地對小說進行解說。不過,這裡還有一個非常重要的問題需要解決,那就是在小說中,為何「我」能看到電視人而妻子和同事卻看不到。事實上閱讀小說可以知道,在小說寫電視人闖入「我」的房間之前,以極為個性化的比喻對「我」在周日傍晚出現的身體變化進行了描寫。這中間,尤為引人注意的是「我」由於頭痛而引發的視野扭曲。

每當周日傍晚姗姗而至,我的腦袋必定開始作痛。 (中略)

而且可以聽到聲響。不,與其說是聲響,莫如說類似厚重的沉默在黑暗中隱約發出的呻吟:哎哟哎哟哟,哎哟哎哟哟,哎哟哎哟哟。聲聲入耳。這是最初徵兆,隨即痛感出現,繼而視野開始一點點扭曲變形。[®]

由於電視人正是在「我」身體產生變化後出現的,因此可以說如果「我」不發生身體上,特別是視覺上的變化,是絕不可能看到電視人的。換言之,能夠看到電視人是需要某種先決條件的,而小說所顯示的先決條件就是由於頭痛而引發的視野扭曲。

用錯覺畫原理來解釋《電視人》這部小說的時空狀態非常重要。由於「我」、妻子以及同事處於同一時空,所以如果用基於電腦網路的「假想現實的世界」來加以解釋的話,那麼就是處於另外一個時空中的電視人闖入到現實世界後,在電視人改變「我」的過程中,妻子、同事與之是一種共謀關係。這也就是說妻子和同事是電視人的幫兇,他們在發揮自己的主觀能動性。但正如前面所論述的那樣,小說中絲毫沒有交代妻子、同事與電視人之間存在此種共謀關係,而且從小說對妻子和同事的描寫中也看不出他們在發揮自己的主觀能動性。而這也是本文在前言中所指出的不合理之處。

但如果從錯覺畫的角度來解釋就會得出以下結果:首先,由於在前面的論述中已經得出電視人其實與 我們是處於同一時空的結論,所以,電視人的世界並非是一個與現實世界不同的另一個世界。相反,它恰恰 是現實世界的一部分,如果說這一部分相當於並沒有被妻子和同事認識到的魯賓杯的人臉部分,那麼它其 實是與被妻子和同事認識到的水杯部分一起組成了現實世界。此種時空性質所要表達的是,電視人的出現 並非是一種對現實世界的侵入,而是電視人就存在于現實世界當中,只是我們是否能察覺得到。其次,在此 種時空構成中來考察妻子、同事與電視人的關係便可以發現,由於妻子及同事並未認識到相當於人臉的電 視人的部分,所以妻子、同事與電視人之間並不是一種共謀關係,他們只是對電視人之于現實世界的影響沒 有察覺罷了。

通過上面的論述可以知道,如果用基於電腦網路的「假想現實的世界」來看待小說的話,那麼不僅要加入小說內容之外的假設情節來對小說進行解釋,而且即便這些假設情節是真實存在的,那它依舊表達的是電視人所代表的媒體力量對人的巨大影響和吞噬力,而妻子及同事所起的作用最多就是錦上添花。該結論所顯示出來的時空世界特點可以概括為:電視人、「我」、妻子、同事不僅處於同一時空也屬於同一個世界。而如果從錯覺畫的角度來看的話,那麼妻子及同事所反映的就不是媒體力量對人的巨大影響和吞噬力,而是媒體對人產生影響時所具有的隱蔽性。由於小說中「我」的經歷和妻子及同事的經歷在性質上截然不同,因此此種結論所顯示出來的時空特點就成了:電視人、「我」、妻子及同事雖然處於同一個時空但卻被分為了電視人與「我」以及電視人與妻子、同事這兩個表面上看似完全獨立的世界。

事實上,造成此種局面的根本原因應該是傳播媒體所構建的擬態環境。擬態環境是一種把事件和資訊 重新加以結構化之後所展示給人的環境,但通常人們卻意識不到這一點,往往把擬態環境作為客觀環境本 身來對待。由於擬態環境並非是真正的現實而是重新構建而成,那麼這其中自然便會加入媒體的判斷與喜 好,但由於人們往往把擬態環境作為客觀環境本身來對待,因此便會在無形中接受傳播媒體的影響,這也就 是前文所說的隱蔽性。「我」之所以與妻子、同事同處一個時空卻分屬於看似獨立的兩個世界是因為,「我」 心裡完全清楚擬態環境與客觀環境存在著本質上的不同。

四、結語

《電視人》發表之前,村上春樹的《挪威的森林》在日本熱銷。身在國外的村上當然高興,但與此同時,卻因失去了若干實貴的東西而進入了一種失落的狀態,且無法寫作了[®]。很顯然,《挪威的森林》在日本熱銷給村上造成了巨大的衝擊。此種衝擊當然讓村上認識到了媒體的吞噬力,以及人在媒體面前的渺小和無力。對此,卡塔林認為:「或許作為一種異常體驗,村上在1988年到89年間親身感受到了日本媒體的吞噬力以及此種吞噬力對個人以及觀念形成所產生的影響,這不僅是現實中的異常同時也具有擁有魔力的一面,村上原封不動地把這些描寫在《電視人》中。|[®]

在《挪威的森林》熱銷前,村上或許與常人並沒有什麼太大區別,但伴隨熱銷而來的種種狀況,卻應該使村上獲得了從未有過的經歷和體驗。或許正是由於此種經歷和體驗是異常的,所以才用現實世界中並不存在電視人來加以表現。但此處需要強調的是,如果村上在小說中只想強調此種異常的話,那構建一個基於電腦網路的「假想現實的世界」就可以。但如果想要在此基礎上,突出此種異常狀態就是現實世界的一部分以及人們並未察覺這種異常狀態的話,那麼只有錯覺畫的原理才能達到這一效果。

錯覺畫的要素並非僅僅存在於《電視人》中,例如在《神的孩子全跳舞》中也出現了錯覺畫一詞及相關要素。

他可以在每個關節點上看清那些複雜的關係。各種各樣的動物如錯覺畫一樣潛伏在森林裡, 甚至見所未見的可怕的猛獸也在其中。不久他將穿過森林,但他已無所畏懼,因為那是存在於我 自身中的森林,是形成我自身的森林。野獸是我自己所擁有的野獸。^②

這是小說主人公通過跳舞來探求自己存在的真實寫照。很顯然,「複雜的關係」代表了現實世界的複雜 狀態,森林代表了主人公善也,而野獸則代表了阻擋自己探求的各種要素。與《電視人》相同,小說不僅在描 述野獸時同樣使用了「錯覺畫」一詞,而且從原理上來講,野獸和電視人也是完全一致的。具體來講就是,野 獸原本就存在,但在此前卻是看不到的。而且有趣的是,在這段內容之前小說也出現了善也頭痛以及摘下 眼鏡等細節。這應該與電視人中「我」的視野發生扭曲一樣,代表著一種視覺轉換。²⁰

在村上春樹的許多小說中都存在著兩個在表面上看似截然不同的世界。此前的研究者們多用「平行世界」(Parallel world)一詞來對此種現象加以描述。但從小說的整體來看,雖然其中的一個世界有時是用非現實的要素來加以表現,但這很可能就像《電視人》中所描寫的時空世界一樣,即有關「我」的部分說明了電視人對人的衝擊與吞噬,有關妻子的部分顯示了人對此種衝擊與吞噬毫無察覺,而二者結合才是現實世界的真實狀態,它們並非毫無關聯,而是同時在反映現實,並一起構成了現實世界的全景。^②雖然村上文學中的時空構成很早便受到了研究者們的關注,但「平行世界」(Parallel world)的說法或許並不能準確揭示此種時空構成的實質。因為此種說法在表達上首先在強調兩個世界在時空上的不同,然後才是在內涵上的不一致。

但借助錯覺畫原理便可以明白,村上所要表達的是:一、兩個世界在內涵上雖有不同,但卻屬於同一時空; 二、與不同相比,明白兩個不同的世界構成了現實世界的全景更為重要,因為這是全面認識現實世界的根本 前提。錯覺畫是解構村上文學時空的重要手段,但此種時空構成的原理只有到了《電視人》才有可能被 察覺。

注釋

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- ⑦⑨⑩⑫⑬⑭ľß⑩⑰ľՖ⑲ћ 朴上春樹:《電視人》,林少華譯,上海:上海譯文出版社,2009 年版,頁 1-11。
- ⑧ 此處原文為:あるいは彼らは遠近法のモデルみたいにも見えるとも言える。手前にいるのに、遠くにいるように見える 人。まるで、だまし絵のように、平面が歪み、波打つ。届くはずのところに手が届かない。届かないはずの物に手が触れる。筆者認為,林少華譯文「又如一幅幻燈片,平面扭曲、騰躍」存在誤譯,因此根據原文進行了調整。
- ⑩ 中村三春:《〈TVピープル〉日常に侵入する不条理の世界》、《村上春樹がわかる》、東京:朝日新聞社,2001年版,頁65。
- ② 村上春樹:《神的孩子全跳舞》,林少華譯,上海:上海譯文出版社,2009 年版,頁 65。此處原文為:彼は要所要所で、それらの複雑な絡み合いを見渡すことができた。様々な動物がだまし絵のように森の中にひそんでいた。中には見たこともないような恐ろしげな獣も混じっていた。彼はやがてその森を通り抜けていくことになるだろう。でも恐怖はなかった。だってそれは僕自身の中にある森なのだ、僕自身をかたちづくっている森なのだ。僕自身が抱えている獣なのだ。由於中文譯本存在部分誤譯,因此根據原文進行了部分調整。
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[Cultural Studies]

Study of Calligraphic Brushwork in Singapore Watercolor Art

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Abstract: This paper investigates the development of Singapore watercolor art. Although watercolor is a western painting medium, Singapore watercolor art adopted its concepts from both the traditional British watercolor and Chinese ink painting. While it inherited its painting techniques from the British watercolor, the concept of calligraphic brushwork was adopted in two diverse directions, one from the British watercolor and the other from the Chinese calligraphy and ink painting due to the diverse backgrounds of artists. The application of various forms of calligraphic brushwork and their developments have shown connections to their origins. However, deviations were observed as compared to contemporary western watercolor brushwork. The study has also uncovered how the abstraction of Chinese character design concept and ink painting compositions were adopted by contemporary regional artists. The outcomes have created potential applications in animation and digital painting, especially in the area of visual simplification.

Keywords: calligraphy, Singapore Watercolour, painting, brushwork

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1. Objective

The calligraphic brushwork used in Singapore watercolor has two main streams of origins, namely, the British watercolor influence and Chinese calligraphy. The study started with the research of both artworks and art-making concepts of three first-generation Singapore watercolor artists, Mr. Lim Cheng Hoe, Mr. Cheng Chong Swee and Mr. Gog Sing Hooi. They were among the pioneers of Singapore watercolor art and had diverse backgrounds, receiving vastly different art education and influence from the East and the West, especially in the



area of calligraphic brushwork. The study has covered the essence of the western watercolor brushwork and Chinese calligraphy in Singapore watercolor art. This calligraphic language used in Singapore watercolor is uniquely local. Therefore, the research also used some connected information from oil painting, Chinese ink painting and ink painting to complement the findings. The outcomes may be inherited and further matured by our new generation of artists in both the fine and applied arts.

2. The Western and Chinese Influence

With the use of digital media, both the skill and significance of handwriting have deteriorated. The beauty of calligraphic mark-making is even rarer in the field of fine art. This is an opportunity for reviving this artistic heritage of Singapore watercolor art. This unique way of applying calligraphy in Singapore watercolor art can be briefly understood by looking into the history of the Singapore Watercolor Society (SWS) and its early exhibitions. The SWS was co-founded on 18 August 1969 by 13 pioneer Singapore watercolor artists, led by Mr. Gog Sing Hooi and two pioneer artists Mr. Lim Cheng Hoe and Mr. Cheng Chong Swee, forming a strong backbone of the society. The first SWS exhibition was held in 1970(1970). The two pioneer artists above had very diverse art backgrounds and worked with watercolor differently, especially in the way how they exerted calligraphic brushwork. Lim had his high school education at Raffles Institute and had a British art teacher Mr. Richard Walker. Mr. Walker was whom Lim learned his early watercolor skills from (1986, p. 4). Mr. Walker brought the traditional British watercolor style, the transparent glazing approach to Singapore and that has had a great influence on Singapore watercolor style till today. Lim who learned under Mr. Walker adopted the same approach and later added his new interpretation. He simplified his subject matters with his very broad brushwork as well as a freer way of applying the watercolor pigments. He reinvented the transparent watercolor style to fulfill the en Plein air need under this tropical weather. His brushwork, though broader and elegantly simplified, has a western painting origin. For the British watercolor artists like Sir William Russell Flint (Lewis et al., 1988) and Edward Seago (Russell, 2014), their brushwork was derived from traditional western oil paintings that serve to enrich the optical interaction of colors and simplify their subject matters. Lim's brushwork also shared some of this quality.

Lim's exertion of calligraphic brushwork in his watercolors was at its height in the 1970s before he passed away in 1979. His brushwork was broader, highly simplified and freer. It deviated from Mr. Walker's more controlled and highly structured approach watercolor style that was adopted from British masters like Thomas Girtin in the 18th century, comparing Figure 1 against Figures 2 and 3. During a face-to-face interview with the founding member of SWS, Mr. Ho Yee Ping, he also confirmed that Lim with his English educated background. Lim adopted the British watercolor style (2020).

Cheng Chong Swee had a vastly different background as compared to Lim. His Chinese education and scholarly training enabled him to master the Chinese calligraphic brushwork. He started as a Chinese ink painting artist. Cheng's calligraphic brushwork used in watercolor was adopted from his Chinese ink painting training (Chen, 2017). His concept of simplification follows the Chinese ink painting approach, which he regards outdoor painting as a process of writing (Chen, 1984). This concept was elaborated in my 2011 publication 'Live and Alive' as writing from life. "En Plein air painting ... It is not 'outdoor painting' but 'writing from



Figure 1: Kampong Hut by Lim Cheng Hoe(Lim, 1973), watercolor on paper.

Acknowledgment: National Gallery, Singapore

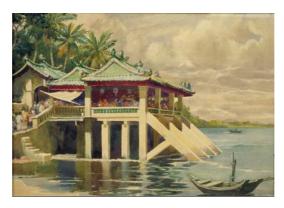


Figure 2: Kusu Island by Richard Walker (Walker, 1950s), watercolor on paper.

Acknowledgment: National Gallery, Singapore



Figure 3: Lancaster Church and Bridge by Thomas Girtin(1856), watercolor on paper.

Acknowledgment: Tate, UK

life'... is to depict the life force of the en Plein air painting process" (Ng, 2011). Cheng as a Chinese scholar followed the concept of why Chinese calligraphy must be one of the most essential elements in his ink paintings. Here is the fundamental difference between the East and West regarding calligraphy used in painting. In history, Chinese ink painters were also scholars and they incorporated calligraphy in their art naturally. They regarded that as a part of scholar presentation. The command of calligraphy was therefore a must. It is vastly different for

western artists. The latter developed it to serve all kinds of painting purposes for the enrichment of textural results and color richness. As discussed by contemporary renowned local calligrapher and Chinese ink painter, Mr. Tan Kee Ser, 'The earliest Chinese characters are pictographs. Pictographs use lines to construct images of objects in simplified forms to express meaning. Therefore, the connection between image and word is inseparable. The same can be said of the origin of calligraphy and Chinese ink painting. '. Both Cheng and the Gog Sing Hooi that will be discussed below with their Chinese educational background worked with this concept in mind. The brushwork that appears in their paintings is an extension of their calligraphy. Gog was influenced by Lim for his earlier watercolor style between the 1960s and 70s. However, with his Chinese education background, he chose the calligraphic concept as the backbone of his form construction in his watercolors (Chia, 1996). Over the years, Gog has developed his watercolor style that incorporated the British watercolor technique and Chinese calligraphic brushwork. This serves as the major contribution to the development of Singapore watercolor art and a new milestone in the history of Singapore watercolor history. At his peak in the 1980s, he created watercolor that had resembled the controlled and transparent British watercolor tradition. However, taking a closer look, the confident exertion of Chinese calligraphic brushwork is evident. In Figure 4, each subject matter from more organic forms like the tent above, the figures and the hanging bananas to more structured and geometrical forms like the boxes, the crisscross metallic gate and the post next to the figures were confidently suggested with calligraphic brushwork. That resembles the Chinese ink art's concept of spiritual interpretation of subject matters.



Figure 4: Chess Players (對弈) by Gog Sing Hooi, 56 x 76cm, watercolor on paper (Caine, 1996).

Acknowledgment: Singapore Watercolour Society, a poster image (printed 1990s)

Gog admired 3 masters, namely Sargent, Lim Cheng Hoe and Yong Mun Sen for their highly simplified brushwork. I sensed it through my regular communications with him between 1992 and 1993 till his unfortunate decease in early 1994. Contemporary renowned British watercolorist Ray Balkwill, while he likes various ways of brushwork execution, from rough and harsh brush patterns by RowlandHilder to broader washes by Edward Seago and Trevor Chamberlain, he still regards Sargent's brushwork as direct (Balkwill, 2021). Sargent's brushwork showcases the essence of how the western watercolor simplifies the observed while the visual dynamics are maintained. Figures 5, 6 and 7 are typical watercolors by Seago, Hilder and Sargent respectively. Their confidence in simplification of their subject matters through brushwork is evident.

Gog's love of Yong's watercolor (see Figure 9) has its connection to the appreciation of Chinese calligraphy and its application in Chinese ink art. Through my one and half years of interaction with Mr. Gog between 1992



Figure 5: Evening after the Storm in Venice by Edward Seago(Seago, Unknown), watercolor on paper.

Acknowledgment: Fine Arts Museums of San Francisco, CA, USA



Figure 6: Grand Harbor, Malta under Air Attack by RowlandHilder (Hilder, 1942), watercolor on paper.

Acknowledgment: National Archives, UK



Figure 7: White ships by John Singer Sargent, watercolor on paper.

Acknowledgment: Brooklyn Museum, NY, USA

to 1994 before his decease, I understood from his position as a Chinese artist that used a western medium, the watercolor. He wished to bring his eastern element, the Chinese calligraphy to his art. Figure 8 is an early work by Yong, a Chinese ink painting with calligraphy scripts that has clearly indicated the origin of Yong's concept of simplification and exertion of brushwork. Gog's appreciation of Yong's watercolors is immediately understood.

Comparing eastern and western applications of calligraphic brushwork using these two groups of master



Figure 8: Orchids by Yong Mun Sen(Yong, 1920). Acknowledgment: Penang State Art Gallery, Penang, Malaysia



Figure 9: Fishing Junks by Yong Mun Sen(Yong, 1945), watercolor on paper.

Acknowledgment: Michael & Saniza Collection

watercolorists, both the Chinese artists (Ye, 1984) and Western artists share the same concept of empowering the images without having to duplicate exactly the observed while still being able to depict its essence. This is the heart of calligraphic simplification that Chinese art regard as the spiritual representation of their subject matters, while western art sees it as an artistic choice of expression based on the artist's personality. The difference also lies in how the brushstrokes are exerted. Brushwork inherited from Chinese calligraphy has forms that conform to

the standard practice of how the brushwork should start and end. Chinese calligraphic brushstrokes suggest a starting movement that presses slightly toward the opposite direction as an initialization of the brushstrokes and ends similarly with the brush moving back. The ending process can be translated as hiding is sharpness (藏鋒).

Through an email interview with Professor PanJianglong from Zhejiang Normal University, he responded Chinese pen and ink (筆墨, 'bi-mo' the brushwork and the richness of ink tones) system comprises an artist's emotional expression, presentation of ideas as well as a Chinese artist's cultural content. This forms the unique form of the Chinese concept of beauty (Pan, 2021). He further argued that Watercolor had gained its popularity among Chinese artists also because it used water as its medium. Chinese art has 2000 years of history in using water as its media and painting images on paper. However, the element that he regarded as more important than the watercolor technique was the Chinese cultural content which would be reflected through the application of 'bi-mo'.

Emeritus Associate Professor Chee from the University of Minnesota at Duluth also elaborated the reason from the materials and practical perspective. He argued that Chinese paintings combine ideas, spiritual quality, brushstrokes and ink-flowing characters, the painted speedy and spontaneously on very absorbing rice paper or silk. Amendments are almost impossible. Western watercolor is painted on sized and heavyweight cotton paper. Some changes are still possible. Moreover, in the process developed by British watercolorists, transparent glazing can be built up progressively (Chee, 2007). Chee also regarded that the fluidity of the Chinese calligraphic lines as the abstract quality of Chinese ink painting.

The face-to-face interview with Mr. Hong Yee Ping (2020) and email interview with Assistant Professor Hung Tung-Piao (2021) further confirmed how the calligraphic behavior was ingrained into students' blood under the traditional Chinese education in Malaysia-Singapore and Taiwan respectively. Both agreed and elaborated that young students at primary school were forced to train with Chinese calligraphy daily. Mr. Khoo Cheang Jin, the president of Penang Water Colour Society also mentioned that he had learned Chinese calligraphy in primary after regular school classes (Khoo, 2021). I personally went through 12 years of educations in Malaysia Chinese primary and independent high school has shared the same experience. In high school, all students were writing Chinese essays directly with Chinese ink brushes. Ho further mentioned that in his watercolors, when a brushstroke was applied, he would refrain from making amendments. If it was necessary, he would just lightly wash and adjust some parts with water to open up the brushwork slightly and allow some connections with the rest of the painted areas. Chinese ink brushes to him were softer and allowed more flexible and spontaneous exertion of brushwork (2020). Tong further also confirmed that because of the long period of calligraphy training, Chinese watercolorists unknowingly apply calligraphic brushwork into their watercolors. He elaborated how he was inclined towards using long hair soft Chinese ink brushes for their flexibility in exerting vastly different brush marks with just a single brush (Tong, 2020).

Hiding of sharpness is evident, especially in Gog's watercolors. Using figure 10 as an example, those brushstrokes that form the green metal gate on the right are firm and with more rounded ends. The directions of movement are from left to right and top to bottom, but brushstrokes have similar round ends. The hiding of sharp ends is shown here. This process is critical in Chinese calligraphy because the calligraphy process aims to meditate oneself, and it has to be subtle and is fully controlled by the calligrapher.

Comparing figures 1 and 7, Lim Cheng Hoe's brushstrokes are seen to be nearer to Sargent's. Although

Yong and Gog worked quite diversely at the end. The former has a highly simplified style while the latter depicted his image with more details, they both showcased the characteristic of the controlled structures of Chinese calligraphic brushstrokes as discussed (see figures 4 and 9). Gog, in the latter part of his artistic journey, during the 1980s, his use of calligraphic models used in watercolors started to mature. He developed the Singapore watercolor style that uses very controlled structures of Chinese calligraphic brushwork to depict especially the commonen plein subject matters in Singapore, the shophouses, heritage architectures and Tongkang boats at the Singapore River. His style as mentioned by Ho depicts more details. Gog also directly used a watercolor brush as his drawing medium which further showcases his level of calligraphic confidence (Ho, 2020).

This working approach and tradition have influenced at least his and my generation of watercolor artists in this region. I am fortunate to have inherited some of his concepts and skills. Hence, I am sharing my interpretation of the knowledge I have gathered over the years of my research study and practice.

3. Calligraphic Brushwork and Abstraction

Since watercolor uses water as its medium, a contemporary artist like Tong Chin Sye also uses design concepts adopted from the design of the calligraphic character as his source of inspiration. Compared with the contemporary application of calligraphy in western watercolors, there is some similarity but there are some fundamental differences as well. Using an influential American watercolor master Frank Webb's concept and artworks as an example, Webb sees calligraphic brushwork as a form simplified and shorthand representation of subject matters, and he further elaborates that it is also artistic handwriting (Webb, 1994, p. 106). This concept aligns partially with Chinese ink painting. Webb sees it as an extended visual tool to bring expressive energy to his paintings. Therefore, he uses calligraphy as direct marks that showcase the artistic economy and beauty (Webb, 1994, p. 107).



Figure 10: Untitled by Frank Webb, watercolor on paper (Webb, Unknown). Acknowledgment: Frank Webb.

The image was provided by the artist on 08 Apr 2021

Webb developed his watercolor style through his focus on design patterns. 'Using nature as a starting point, I create my own shapes, throw my own light, and adjust other elements so that although my work has recognizable objects, they have been altered to initiate a new unified reality.' (Webb, 2021). Using figure 10, as an experienced watercolorist, I could recognize two main types of brushes used in this image, namely flat and

round nylon brushes without sharp tips. While the broader flat patterns were painted with different sizes of flats, the calligraphic marks were likely to be 'written' with rounds. This is very different from Chinese watercolor painters who almost fully expand the possibilities of soft Chinese ink brushes. This practice even expands further when a Chinese watercolor painter uses a watercolor brush. I summarized the main differences between the two before (Ng, 2016).

Here I use examples provided by Professor Hung, a Taiwanese watercolor artist to elaborate the difference. In figure 11, Hung elaborated how round brushes, either a Chinese ink brush or a sable watercolor brush, both can be pressed to achieve flatter brush marks. Generally, the Chinese ink brush is softer though a sable brush is considered soft among the western painting brushes. Therefore, he demonstrated how the Chinese ink brush could be used to general flat and rough textures (see figure 12). He further explained that the flexibility of a Chinese ink brush could come from its ability to hold on to more water, and its softness allows it to form wide and flat shapes as illustrated by figure 11 while it is also possible to form a sharp tip for drawing fine lines (Hung, 2021). However, this level of control requires years of practice.



Figure 11: Pressing of a Chinese brush Vs a watercolor brush.

Acknowledgment: Images provided by Assistant Professor Hung Tung-Piao



Figure 12: Autumn Wind by Hung Tung-Piao, 35x75cm, watercolor on paper, 2019(Hung, 2019).

Acknowledgment: Assistant professor Hung Tung-Piao

Singapore contemporary artist Tong Chin Sye inherits the tradition of presenting his watercolors with calligraphic brushwork as he bags with both western and Chinese paintings skills as well as Chinese calligraphy. While he sees his painting process like writing. He even demonstrated to me during our interview, how he could purposely convert his observed images so that he could include his handwriting into the image (Tong, 2020).

His recent watercolor (see figure 13) shows how he has pushed the application of calligraphic brushwork through the whole painting. It is almost completely a 'writing' experience.



Figure 13: Shophouses by Tong Chin Sye, 56cm x 76cm, watercolor on paper, 2015 (Tong, 2015).

Acknowledgment: Tong Chin Sye

He further explained that Chinese characters were carefully designed through shapes. Therefore, the Chinese had a strong focus on abstract patterns and the concept of visual simplification when different Chinese scripts were developed progressively. To elaborate on this concept, he demonstrated a few times how different Chinese characters could be used to compose his images. He first randomly picked and wrote a Chinese character that almost fill the size of a piece of A4 paper. Then he started to explain how he could use the character to lay out a still life composition. He continued to draw still life objects along the strokes of that character. Amazingly, the layout was quite exciting. I immediately sensed one truly useful outcome. It could easily help beginners cross the barrier of using more formulated composition guidelines like stable triangular compositions, centralized composition or rule-of-one-third design. These design guidelines are overly abused, while beginners are generally not explained with the fundamental concepts behind these designs. He further explained that since the Chinese characters were all abstract patterns when they were designed, the fundamental concept was similar to the western concept of design. He used examples like balance, repetitions and the design of shapes to elaborate his point of view.

Mr. Khoo Cheang Jin, who is the president of the Penang Water Colour Society is another regional watercolorist that adopted Chinese calligraphy as his major form of expression. While Khoo is currently residing in Penang, he has a strong affiliation with the SWS. He was residing in Singapore from 1991 to 1995. He is a trained architect, and his painting interest is in depicting the architectural heritage especially in Georgetown, his hometown, a UNESCO heritage city. His Chinese education background and calligraphy training enable him to incorporate calligraphy brushwork into his watercolors. Overly the years, his watercolor art has evolved strongly and presents a great sense of visual simplification through his mastery of calligraphic brush marks (see figure 14).

His watercolors capture the mood and focus of his subject matters in a representational manner. He prefers natural hair watercolor brushes as He feels these brushes are nearer to Chinese calligraphic brushes while they are still able to pick up enough pigments. He needs more saturated pigments to depict the rougher brushstrokes on watercolor paper as shown in figure 14. While his Chinese calligraphy knowledge enables him to exert



Figure 14: Carnarvon St Corner House, Penang by Khoo Cheang Jin, 18.5×38cm, watercolor on paper, 2020 (Khoo, 2020). Acknowledgment: Khoo Cheang Jin

brushstrokes to simplify his observed subjects, he also adopts the Chinese painting design ideas (Khoo, 2021) which are also aligned with the abstraction of Chinese character design as discussed by Tong (Tong, 2020). Khoo further emphasized that he would keep the white of the watercolor paper as powerful highlights which is another important design concept used in both Chinese ink paintings and western watercolors. This is evident in figure 14, and the image, he used calligraphic brushstrokes to represent big and small elements in his composition.

4. Summary of Calligraphy in Local Watercolour Art

The findings have shown the diverse concepts of calligraphy used by western and Chinese influenced Singaporean and Malaysian watercolorists. These two main streams of calligraphic brushwork application inwatercolour were represented by the 1st generation artists from this region. Lim Cheng Hoe who adopted the traditional British watercolour, brilliantly simplified the forms and brought the Singapore watercolour to a new height, inspired by the tropical subjects of this region. Yong Mun Seng who is the pioneer of Malaysian watercolour and Chen Chong Siew, another 1st generation artist of Singapore, showcased strong Chinese calligraphy influence but worked differently. Yong simplified the forms through his concept of Chinese ink painting. His highly simplified subjects resonate with the spiritual representation of Chinese ink art. Chen took a different approach. He took the process of painting like a writing process, taking the opportunity to perform all possible calligraphical performance through his watercolour art.

Gog Sing Hooi who came slightly after these three masters moved a huge step ahead. He did not directly adopt all the approach though he had Chinese calligraphical skills and a good understanding of British traditional watercolour art. He studied how calligraphical brushwork could be reformed to fulfil the typical Singapore subject matters, especially the heritage shophouses and the bumboats. This major contribution has inspired the Singapore watercolour development from 1980s till now.

Over the years with the rapid exchange of knowledge especially with the help of current social media platforms, a fusion of these concepts is evident. Both Tong and Khoo see the similarity of design abstraction between watercolors, Chinese ink painting and Chinese character design. To summarize, the continuous development, adoption and training of calligraphy in watercolor art locally may contribute to our development of applied arts, especially in the areas that animation and digital painting. Chinese calligraphy application in 3D animation space has been briefly demonstrated in my previous journal (Ng, 2021).



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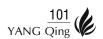
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(Editors: Cherry LU & Bonnie WANG)



The Exploration of the History and Culture of Dali Based on Epigraphy: Reviews on Zhu Annv's Cultural Interpretation of the Bai Nationality's Ancient Documents over Epigraphy

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Abstract: The ancient epigraphy literature of the Bai nationality had been often sorted out, but its comprehensive research is relatively rare. Zhu An'nlu's academic work, which named *cultural interpretation of the Bai nationality's ancient epigraphy literature*, had regarded epigraphy literature as a unique carrier of Bai nationality's culture and carried out cultural interpretation and comprehensive interpretation based on Bai nationality's ancient epigraphy literature, it was unique in the study of the historical traditions of ethnic minorities in Yunnan. This book seemed simple and unadorned, but in fact, it was carefully constructed based on the internal academic and objective reality. It not only enabled the Bai nationality's epigraphy literature and common ancient literature complementary, but also integrated the perspectives of literature, history, philosophy and other disciplines to find cultural concealment, the relevant argumentation was close to the academic frontier, and fully demonstrated the research personality in following the trend. The author had long-term continuous attention to the Bai nationality's epigraphy literature and was superior to an ordinary scholar in academic feelings and humanistic realm, and on the whole, she had shown a relatively rare academic concentration and research level.

Keywords: epigraphy literature; Bai nationality of Dali; cultural interpretation

Notes on the contributor: YANG Qing obtained his PhD degree from Sichuan University and also a professor and doctoral supervisor of Yunnan Normal University.

基於金石學的大理歷史文化尋隱

——朱安女《白族古代金石文獻的文化闡釋》讀評

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摘 要:白族古代金石文獻存量可觀,對其進行整理之作較為常見,相關全面研究則相對稀少。朱安女《白族古代金石文獻的文化闡釋》一書,將金石文獻視為白族文化的獨特載體,基於白族古代金石來進行文化闡釋和綜合解讀,在雲南少數民族歷史傳統研究中獨樹一幟。該書看似樸實無華,實則基於內在學理和客觀實際來用心建構,不僅讓白族金石與傳世文獻達成互證互補之用,而且融匯文史哲等多種學科視閱來進行文化尋隱,相關論證緊貼學術前沿,在順勢而行中充分展示了研究個性。撰者對白族金石文獻進行長期持續關注,在學術情懷和人文境界方面優於常人,整體上展示出了比較難得的學術定力和研究水準。

關鍵詞:金石文獻;大理白族;文化闡釋

一、引言與前人研究情況

作為一個歷史悠久、多元融合且受漢文化影響較深的古老民族,白族主要分佈于雲南、貴州、湖南等省,其中以雲南大理州人口最多,比重約占百分之八十。今天的大理,是白族的族源地、祖居地和主要聚居地,故其在歷史傳統層面印證了白族的輝煌往昔。從春秋戰國時期的昆明夷,到漢魏六朝的郡縣置吏,從唐朝的南詔政權,到宋代的大理國,乃至元明清之際大理路、大理府、滇西道等,大理白族燦爛的古代文化,已在紙質文獻中得到一定程度的彰顯。與紙質文獻相互發明的,則是堅固耐久的金石文獻。早在宋代,趙明誠就指出:「蓋史牒出於後人之手,不能無失。而刻詞當時所立,可信不疑。」①歐陽修亦認為,金石「因並載夫可與史傳正其闕謬者,以傳後學,庶益于多聞」②。大理偏居中國西南一隅,白族在金石文獻中尋找到了記錄歷史的最佳方式。由朱安女撰寫的《白族古代金石文獻的文化闡釋》一書充分吸收前賢治學經驗,是基於金石之學對白族古代文化進行尋隱的匠心之作。

與雲南其他少數民族相比,大理白族的金石文獻不僅存量豐富、種類多樣,而且歷時久遠、內涵深刻。自近古至今,針對白族金石進行文獻梳理或整理者不乏其人。明清以來,雲南不少方志已收錄大理重要碑刻。從李元陽纂《萬歷雲南通志》、劉文徵撰《天啟滇志》,到范承勳修《康熙雲南府志》、周鍾嶽纂《新纂雲南通志》,這種做法已漸成傳統。與此相關,李根源輯《雲南金石目略初稿》、趙成傑編著《雲南石刻文獻目錄集存》、方樹梅輯《滇南碑傳集》、孫太初著《雲南古代石刻叢考》、重慶市博物館編《中國西南地區歷代石刻彙編》、羅二虎主編《西南考古文獻》等書,往往通過著錄、輯錄、叢書等方式,積極關注白族金石文獻。以大理金石為專門對象,則有楊世鈺、張樹芳主編《大理叢書・金石編》,以及段金錄主編《大理歷代名碑》等整理成果。以大理所轄某市、縣、鎮或者某處的金石為考察對象,還有大理市文化叢書編輯委員會編《大理市古碑存文錄》、趙敏主編《大理洱源縣碑刻輯錄》、馬存兆編《大理鳳儀古碑文集》、李毓東主編《祥雲金石》、黃正

發編著《彌渡古代碑刻輯釋》,以及石鍾健撰《大理喜洲訪碑記》、方齡貴撰《大理五華樓新出元碑選錄並考釋》等著作見於當代。要之,大理金石文獻相關整理之作已較為豐贍,藉此證實白族古代文化底蘊深厚,非同尋常,值得後人考察和進一步探尋。

與整理成果相比,當今對白族金石文獻進行系統研究之作畢竟較少。據考察,除了關涉上述部分著作,現有陳子丹《雲南少數民族金石檔案研究》、周祜《大理古碑研究》等著作,直接以雲南金石或大理古碑為研究對象者。也有以白族金石文獻為佐證,從歷史、考古、宗教、文學、人類學等層面具體研究大理文化者,張旭《大理白族史新探》、李霖燦《南韶大理國新資料的綜合研究》、劉光曙《大理文物考古》、田懷清《大理考古與白族研究》、李東紅《白族佛教密宗阿叱力教派研究》、張文勳《白族文學史》、侯沖《白族心史——〈白古通記〉研究》等著作,即可作為代表。與此相關,一些反映大理白族文化的叢書、專著、論文集、學位論文以及單篇文章,亦程度不等地運用金石文獻來進行學術論證。儘管如此,全面關注白族古代金石文獻,藉此從多種視角進行文化闡釋、綜合解讀並且彰顯創新、勒成一部者,朱安女此書尚屬首次。本書將金石文獻視為大理白族文化的獨特載體來進行系統研究,在雲南少數民族歷史傳統研究中獨樹一幟,呈現出了重要的學術意義和價值。

二、全面系統解讀白族金石文獻

迄今為止,全面系統解讀白族金石文獻之作較為罕見,一是因為不少青年學者在學術視野和研究手段 上,往往容易忽視「二重證據」的綜合運用。早在晚清時代,王國維提倡「二重證據法」,認為:「吾輩生於今 日,幸於紙上之材料外,更得地下之新材料。由此種材料,我輩固得據以補正紙上之材料。」③陳寅恪亦概括 王氏「二重證據法 |在二十世紀初的發展,所謂:「一曰取地下之實物與紙上之遺文互相釋證;二曰取異族之 較易獲得的當代社會,部分從事傳統學術研究的青年學者,依然在學術意識方面淡化金石學證據。本書則 以金石文獻為主要載體,同時參照其它證據,在諸多闡述中與前賢大家不謀而合。二是緣於這種學術研究 難度較大,非勤於此道、樂於此事者難以畢其功。換句話說,試圖以金石學為基礎,對白族古代文化進行整 體研究,尚需做出如下種種努力:其一,對大理白族金石文獻進行鳥瞰和全景式把握。這要求撰者借助相關 地方誌、目錄、總集、叢書甚至是通過田野調查,全面吸收前賢梳理或整理成果,扎實做好前期基礎工作。其 二,對這批金石文獻進行文本精讀,認識並掌握其文化內蘊。這不僅要求撰者視閾開闊,思路清晰,而且必 須理解透徹,判斷準確,方能得出確切的學術主題以及主次輕重。其三,對這批文獻的文化內涵進行總結和 歸類,藉此建構某種闡釋框架。這要求撰者以文化為關鍵和核心,根據內在學理和客觀實際,對不同學術主 題進行匯總,對結構體系進行設計,藉此確定章節安排。其四,以章節為單位,以文化闡釋和綜合解讀為方 式,在學術實踐中進一步體悟該研究話題,優化其內容和論點,調整其證據和案例,提升其內涵和特色。這 要求撰者具有統籌兼顧、整合融匯文本的能力。檢讀朱安女《白族古代金石文獻的文化闡釋》,該書之所以 能夠做到高屋建瓴,有條不紊,抑又擘肌分理,勝義紛陳,實際上源於撰者較為嫺熟的研究經驗、優秀的學術 素養以及較為難得的綜合分析能力。

從該書《導論》看,撰者對白族金石文獻了然於心,其學術綜述雖然簡略卻契合前人研究現狀。以此為 基礎,全書分為六章,亦即從文化制度、帝王治世思想、族群意識、儒釋道受容、生命觀、文學價值等六個層 面,來具體闡釋白族古代金石文獻,其主題分類科學合理,結構上呈現出學術性和邏輯性。誠如撰者所言, 本書的研究目的具有雙重性:「首先,考察白族古代金石文獻的起源、興盛、發展與文化制度之間的相互關 係;其次,在歷史、政治、文化、宗教和藝術的背景中來理解這些金石文獻,形成對這些金石文獻多維的文化 闡釋。」。從章節篇幅看,撰者把主要精力放在文化制度和帝王治世思想方面,客觀彰顯出了白族金石文獻的歷史特殊性和功能指向。歷史研究是一切社會科學的基礎,制度建設、國家治理、政權關係及其前因後果,既為探尋白族古代文化提供了宏觀背景,又為具體考證和後續可能提供了某種依據。梁啟超指出:「夫成績者,今所現之果也,然必有昔之成績以為之因;而今之成績又自為因,以孕產將來之果;因果相續,如環無端必尋出其因果關係,然後活動之繼續性,可得而懸解也。」。⑥檢讀具體章節,該書在闡釋文化制度時,從漢地以前說起,一直談到明清之際,宏觀上涵括多種學術內涵,實為簡約型的大理白族文化史。在闡述帝王治世思想方面,則從有唐一代開始,不僅更為具體可感,而且重點相對突出。在闡述族群意識、儒釋道文化受容以及生命觀等方面,則打破前述兩章的撰文體式,不強求用力均勻、整齊劃一,而是依據白族金石文獻本身來進行內容調整和自由發揮,尤其體現出撰者的能動性。在闡述文學價值方面,撰者從文獻體式、文學經典、文本語言、文章審美等方面進行綜合分析,同樣令人信服。一言以蔽之,《白族古代金石文獻的文化闡釋》一書看似樸實無華,實則由朱安女匠心獨運而成。撰者基於白族金石文獻,主要關注大理古代文化,從內在學理和客觀實際來用心構設,而不是空談閱論乃至無的放矢,其例證使用往往呈現出時間邏輯,其具體論證基本上做到收放自如,從容駕馭,其學術風格可謂自然坦誠,總體水準較高。

三、兩類文獻的互證與視閾融匯

大量使用金石文獻的意義,除了其本身昭示豐富的文本內涵,正是在於與紙質文獻和傳統研究達成互 證甚至互補之用。一般來說,金石學價值體現在三個方面,「一曰考訂,統經史小學而言;一曰文章,重其原 始體制;一曰藝術,兼賅書畫雕刻|,其考訂之用,「可以證經史之同異,正諸史之謬誤,補載籍之缺佚,考文字 之變遷」®。從具體章節看,《白族古代金石文獻的文化闡釋》一書不僅以金石證據為主體,藉此昭示大理古 代文明,而且試圖參考傳世文獻,努力實現補證意義,通過把大理文化與漢文化進行有意關聯和緊密銜接, 最終很好地實現了研究宗旨。譬如從帝王治世思想看,該章從南詔閣羅鳳「德化」立國談起,繼而論及異牟 尋對「德化」治世的深化、後又闡述大理段世治國思想、元代治世思想等,主要基於白族古代金石文獻,同時 參考引證《新唐書》《舊唐書》《宋史》《元史》《資治通鑒》《建炎以來系年要錄》《滇史》《滇略》《滇雲歷年傳》 《雲南志》《僰古通紀》《南詔野史》《大理行記》等不同時期的史學著作、讓兩種文獻證據在具體研究中相輔 相成。又如從儒釋道文化受容看,該章分析白族金石文獻「蒼洱境」家園的文化生態書寫,主要使用《南詔德 化碑》《詞記山花詠蒼洱境》《遊天臺觀詩碑》《遊洱海浩然閣燕集臨水亭記》等石刻文獻,抑又引證《論語》 《禮記》《老子》《莊子》等早期儒家、道家文獻、從傳統文化層面來提煉學術主題,試圖凸顯學術創新。又如 從文學價值看,該章以《南詔德化碑》為學術個案,將該碑內容與《左傳》《文心雕龍》等進行比較分析,藉此 論證白族古代金石文獻與漢文學經典之共鳴,無疑充分展示了前者的文學內涵。該章在進行語言研究和審 美研究之際,引證大量常見的傳世文獻,以漢語典故使用為例,詳細論證白族古代金石文獻對漢語的精熟使 用,又以唐代《大周故河東州刺史之碑》為例,通過論證傳統中國碑造型與佛教文化的融合,闡述白族古代金 石文獻審美中的文化交融之象,同樣可謂細緻入微,在同時代著作中較為難得。

本書的特色和優勢,還在於融匯文史哲視閾來集中探尋大理古代文化。作為近年來流行的科學方法, 跨學科交叉研究旨在超越以往分門別類的研究方式,以實現對某個學術問題的整合性探討。基於白族金石 文獻,試圖對大理古代文化進行尋隱,一方面要求研究者具備宏觀的學科視野,另一方面必須注重銜接人文 社會科學內部的學理關聯。文史哲的會通,「就要使文學對人情世事體驗的情感表達與心靈意會、史學對生 活變遷洞察的實踐理性與歷史智慧、哲學對宇宙人生感悟的本體追問與終極關懷等獨特生命領會得以溝通 和共享」[®]。本書不惟以史學為主要視角,從中央政權的體制、制度、政治、外交等層面來聯結和闡釋白族古 代金石文獻,而且專章論及這批文獻與傳統哲學、宗教之時代淵源,同時又揭示其文學本質與藝術內涵,足見撰者通過統攝「四部」和文史哲領域,力求實現某種學術整合。非但如此,本書還以民族學和文化人類學為參照,結合宗教學、社會學以及生態學,考察白族的族群意識、理想家園、生命觀等,又在每個專題論述中糅合各部文獻,吸收不同學科意識。正因為如此,本書各章不是畫地為牢,而是隨意之所至,順勢而為,關注並緊跟學術前沿,充分體現出了撰者的學術個性。譬如,書中指出白族金石文獻對族源的記憶呈現出階段性的變化:「明代以前,「阿姎白」崇拜體現了白族對民族起源的自我意識。明代以來,「觀音的子民」、「九隆(龍)裔」成為人們較為普遍的看法。清代族譜的書寫成為白族對族源追述的重要形式。而在現實的生活中,白族和其他民族通婚的歷史一直伴隨着白族的發展,白族與其他民族血緣、文化的融合不斷強加,形成了民族的真正交融。」。又如,書中認為白族人們對「蒼洱境」的書寫:「無論是寫實的描述還是浪漫唯美的表達,都傳達出自族棲居的大理壩子是一個被蒼山洱海環抱、自然和諧的空間,它是遠離塵世喧囂、人生煩惱的山水田園。在這裡,人們不約而同感受到的是田園生活的和諧與寧靜,而這種和諧、寧靜也是蒼洱境不因時代、歷史變遷的生機與吸引力。」。這些結論,一是基於兩類文獻互證自然得出,二是融匯多種學科視閩以求創新,在繁榮哲學社會科學的當代背景下,客觀上呈現出了學科、學術以及話語價值。撰者以歷史唯物主義和辯證唯物主義為指引,書中不少闡釋論證與主流意識形態不謀而合,具有比較重要的現實意義,必然為後續研究提供某種學術範式。

四、长期的研究實踐與學術情懷

這種研究不可能一蹴而就,而是長期學術實踐的必然結果。顯而易見,撰者有意對白族金石文獻進行 持續地關注,並在循序漸進中推進和深化文本闡釋。從學術經歷看,撰者致力於整理和研究大理金石幾近 二十年,故能達到某種從容之境。茲據調研,試詳言之。2002 年至 2005 年,朱安女求學於西南師範大學,師 從劉明華教授,獲得文學碩士,其學位論文題曰《〈南詔德化碑〉和唐代天寶戰爭詩研究》,已用金石文獻與傳 世文獻進行互證。2008年至2011年,她求學于四川大學,師從劉文剛教授,獲得文學博士,其學位論文題曰 《白族古代碑刻研究》,顯然是在前續研究基礎上,進行了內容豐富和話題拓展。2004 年至 2011 年,朱安女 撰寫兩級學位論文之際,在《民族文學研究》《雲南民族大學學報》等重要期刊,先後發表《〈南詔德化碑〉與 先秦經典文學》(2004)、《「宋揮玉斧」之下的一個慘痛案例——大理國白氏碑與蘇洵散文〈張益州畫像記〉 考釋》(2006)、《白族二爨碑文體與〈文心雕龍〉誄碑理論範式》(2010)、《明清時期白族隱逸文學的文化闡 釋》(2010)、《楊慎復興華夏文學思想的文化解讀——以〈禹王碑〉〈禹碑歌〉為例》(2011)等系列論文,從歷 史、文學、文化等層面,積極思考和挖掘白族金石文獻的學術史意義,充分運用學術互證來進行探幽索蹟,使 之提升到一個新的學術高度,產生了較大影響力。基於博士學位論文,她在 2012 年出版首部著作《文化視 野下的白族古代碑刻研究》,後來獲得重要學術獎勵。2012年迄今,朱安女繼續關注和研究白族金石文獻, 又在《民族文學研究》、《杜甫研究學刊》等重要期刊,先後發表《白族「蒼洱境」理想家園的文化生態書寫》 (2012)《白族古代金石文獻的地域文化特點》(2013)、《南詔「德化」治世與儒學在雲南的傳播》(2013)、 《明清時期白族文人「學杜 | 風尚的文化探析》(2013)、《劍川石窟文獻與南詔大理國時期的佛教信仰》 (2014)、《論南詔大理國時期南方絲綢之路的文化特點》(2015)、《從石刻文獻看魏晉南北朝時期的白族文 化》(2016)、《南詔大理國白族佛教密宗阿吒力教派教育理念及模式初探》(2017)等多篇學術論文。這些文 章的思路更加開闊,內涵更為深廣,橫跨多個學科領域,提出多種新穎的論點,在學術界激了起更大反響。 本書題為《白族古代金石文獻的文化闡釋》(2019),正是在她首部著作《文化視野下的白族古代碑刻研究》 付梓以後,經過多年的沉潛與積累,基於白族金石對大理古代文化進行深度尋隱之作,同時也是研究這一話 題的集大成之作。

這種學術研究還需要情懷和境界。唯有對大理白族滿懷溫情,對中華民族心生敬意,才能綿綿用力,久 久為功,通過銜接地方文明與中央主體,把涓涓細流匯成汪洋大海。大理為風景名勝之地,文獻薈萃之邦。 朱安女正是大理白族人,現就職于大理學院文學院,故其不忘初心,話題如一,長期致力於溯源和發揚大理 文明。從主持承擔的各類項目和出版發表的學術論著看,她一直從事于白族古代金石文獻與文化研究,幾 乎把全部精力和心血奉獻給了大理這片熱土。據悉,就在本書付梓之後,朱安女又出版了學術著作《劍川石 窟文獻研究》(2020)。通過長期的學術實踐,她已經成為研究大理歷史文化不可多得的青年學者。

五、結論

綜上,白族屬於華夏民族不可分割的組成部分,其自身發展的曲折歷程、文明基因以及文化內涵,在增強中華文化認同、鑄牢中華民族共同體意識、促進社會主義新文化建設中發揮着重要作用。試圖對大理古代文化進行尋隱,的確需要廣泛使用白族金石文獻,藉此進行充分闡釋和全面解讀。畢竟,「金石之學,與經史相表裡」,「竹帛之文,久而易壞,手抄板刻,輾轉失真;獨金石銘勒,出於千百載以前,猶見古人真面目,其文其事,信而有徵,故可寶也」^⑩。從很大程度上講,朱安女此書全方位、多視角地闡讀白族古代金石文獻,不失為成功的學術案例。通過文本細讀、用心感悟以及坦誠為文,該書為弘揚雲南優秀傳統文化、加快構建有中國特色的哲學社會科學,貢獻出了一己之力。誠然,白族金石文獻研究尚有一定學術空間,將來更為周詳之作應該可以預期,但不可否認此書在當代學壇的重要意義。

注釋

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Research on the Inheritance, Protection and Innovation of Zhuang Dao from the Perspective of Cultural Memory

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Abstract: Guangxi Zhuang Dao is one of the representative elements of Zhuang culture, and its forging skill is famous for its unique texture patterns. Through direct dialogue and in-depth discussion with the representative inheritor of Zhuang Dao, this paper analyzes Zhuang Dao culture from the perspective of cultural memory. Based on this, the paper analyzes the inheritance and development process of Zhuang Dao and puts forward countermeasures and suggestions to promote the inheritance, protection and innovation of Zhuang Dao from the three aspects of inheritor, government and society, so as to preserve the cultural memory of Zhuang Dao better.

Keywords: Cultural memory; Zhuang Dao; inheritance and protection; innovation

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文化記憶視域下非遺壯刀的傳承保護與創新發展研究

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摘 要: 壯刀是壯族文化的代表元素之一,它的鍛造技藝以其獨特的紋理紋樣著稱於世。本文通過與壯刀代表性 傳承人進行直接對話與深入探討,從文化記憶的角度分析壯刀文化。以此為基礎,分析現階段壯刀的傳承與發展 進程,並從傳承人、政府以及社會三個層面提出促進壯刀傳承保護與創新發展的對策與建議,以更好地存續壯刀文 化記憶。

關鍵詞:文化記憶;壯刀;傳承與保護;創新發展

引言

隨著新時期世界一體化進程加快,我國社會各項事業蓬勃發展,城鎮化、工業化程度加深,促使傳統社會結構發生改變。與此同時,我國建立在傳統社會結構之上的文化形式也發生了變化,傳統文化的存續空間不斷萎縮,傳承與發展面臨難題。非物質文化遺產是傳統文化的精華,其傳承與發展更加迫在眉睫。在這一背景之下,國家對非物質文化遺產的保護與傳承給予了高度重視,政府因此印發了多項文件和通知。2006年,國務院發佈《關於加強文化遺產保護的通知》,要求非物質文化遺產保護要貫徹「保護為主、搶救第一、合理利用、傳承發展」的方針,並決定從2006年起,每年六月的第二個星期六為我國的「文化遺產日」^①。2011年,中國共產黨第十七屆中央委員會第六次全體會議通過《中共中央關於深化文化體制改革推動社會主義文化大發展大繁榮若干重大問題的決定》,提出建設「文化強國」的長遠戰略^②。2017年,中共中央、國務院辦公廳印發了《關於實施中華優秀傳統文化傳承發展工程的意見》,確立了到2025年,基本形成中華優秀文化傳承的發展體系的總體目標。在此趨勢下,壯刀作為壯族文化的代表元素之一,其傳承與發展也迎來了新的機遇,並在2019年被列為南寧市級非物質文化遺產。然而,由於現代社會不斷變遷,在迎來新機遇的同時,壯刀的傳承與發展也遇到了新的挑戰。

本文通過與壯刀的代表性傳承人——黃冬鵬直接對話與交談,從文化記憶視角分析壯刀文化,全面深入瞭解壯刀的發展現狀及其現階段保護與傳承方面仍面臨的難題,共同探究壯刀的創新發展新路徑,以更好的存續壯刀文化記憶。

一、民族技藝:壯刀

「壯族」是中國擁有最多人口的少數民族。《壯族簡史》中曾論述到:「分佈於廣東西部和廣西境內的西甌、駱越等支系,則同壯族有著密切的關係」,「壯族主要來源於土著的西甌、駱越」³。壯族擁有悠久的民族歷史,也孕育出自身獨特而又燦爛的文化。壯刀是壯族文化的代表元素之一,它的花紋鋼鍛造技藝以其獨特的紋理紋樣著稱於世,是壯族先民智慧與力量的象徵。

(一)歷史底蘊

壯刀來源歷史悠久,可追溯到 2000 多年前的戰國時期。在廣西左江的花山岩畫上最早發現了壯刀。位於廣西左江流域的花山岩畫是世界同類岩畫中面積最大、畫面最集中、內容最豐富、保存最完好的一處岩畫,被譽為中國稻作文化的最大標誌、壯族文化的瑰寶和世界岩畫的極品。岩畫上共有接近 2000 個圖像,可分為人物、動物以及器物三類,生動地展現了壯族先民獲取獵物時的圖景。在花山岩畫中,「環首刀」、「扁頸短劍」等器物的圖像隨處可見,而這類刀劍,廣西戰國中晚期至西漢的墓葬中均有出土,當時的環首刀已有獨特和精湛的花紋鋼鍛造技藝。西漢時期,冶鐵業、鑄造工藝有了較高的發展水準,為壯刀的製作提供了堅實的工藝技術基礎;隋唐時期,壯刀在廣西地區越來越得到大量使用,是壯刀生產發展的重要時期,壯刀製作工藝比過去更加精緻;明朝時期壯刀的工藝水準達到鼎盛狀態,出現了以狼兵的壯族土司組建的地方武裝,在抗倭一戰中,狼兵在巾幗英雄瓦氏夫人的率領下英勇善戰,與鋒利的倭刀對陣,壯刀絲毫不落下風。

到了清朝時期,轟動一時的太平天國運動中所使用的刀具兵器均源於日常生活的勞作用具改制而成;近代, 李宗仁帶領新桂系兵(多數為壯族人)在上海與日軍對戰時所使用的為大環首刀,在與日軍搏殺之時,環首 刀的威力強大,在戰爭中起到至關重要的作用。

在歷經西漢、隋唐、明朝、清朝及至近代, 壯刀歷程數千年。 壯族其獨特的地理位置與氣候以及生活習慣及民俗, 還有特定的歷史環境, 造就了本民族對於刀的物質理解與表現, 也在適應與改造自然中得到了對於形制及實用的基本輪廓。而到如今, 在民間環首刀的使用仍沿襲至今, 在祭祀稻作神靈或巫師驅鬼作法時仍在使用。

(二)種類及外形

壯刀有很多種類,外形獨特,大致可以分為六種。不同種類的壯刀在戰爭時期發揮著不同的作用,在如 今用作觀賞或祭祀時,其上不同的花紋和圖騰也有著不同的寓意。

- 1. 環首壯刀,刀身採用古法手鍛花紋鋼,花紋絢麗詭秘,刀柄為草花梨木材質。刀的形狀取材自壯族先民於 2000 多年前創作的寧明花山壁畫小紅人腰間佩刀,刀款拙樸,民族風濃郁,再現了壯刀的風采。
- 2. 壯王刀,刀身為自鍛花紋鋼,刀柄材質為黑檀木,刀柄底部手工刻有代表壯族的民族圖案。此款壯刀為傳統的壯族刀具,與壯族人瓦氏夫人帶領廣西狼兵同倭寇對抗時所使用的為同一款刀具。
- 3. 底鋒壯刀,「底鋒」意為將腰刀佩戴於骶骨位置,這是壯族先民所使用的傳統的佩刀位置。此款壯刀 民族風濃郁,沿襲傳統款式,傳承民族文化。刀身選取自鍛花紋鋼材料,刀柄採用黑檀木,刀鞘手工刻有壯 飾花紋,刀柄底端刻有壯族文化中寓意著吉祥和美好的青蛙圖騰。
- 4. 壯士環首長刀,環首刀誕生於我國西漢時期,是由鋼鐵經過反復折疊鍛打和淬火後製作而成的直刃 長刀。此款環首刀原形為廣西紅水河出水的刀身。刀身材料選取花紋鋼,刀柄材質為紅木並纏以棉質綁 繩,銅飾為手工雕刻的壯飾花紋,式樣獨特。刀柄處的環首部分是一個獨特而又絕妙的設計,已沿襲了上千 年,這一設計既可以起到平衡配重的效果、又可以連繩套掛手穩定握持、還能墜掛飾物和刀穗。
- 5. 駱駝短刀,此款刀具原形為廣西商業船隻打撈出的青銅刀柄,刀身材料選取自鍛花紋鋼,刀柄同樣手工刻有壯飾紋樣。
 - 6. 壯族腰刀,顧名思義即佩戴於腰部的小型刀具,刀身材料同樣為自鍛花紋鋼,刀柄為黑檀木材質。

(三)突出特點

就壯刀而言,其突出特徵主要有以下幾點:

- 1. 工藝特徵: 壯刀的傳統鍛打技藝是花紋鋼的鍛造, 這項技藝歷史悠久, 難度係數高, 具有獨特的地域性和代表性。
- 2. 文化特徵:(1)民族文化內涵豐富,日常使用、節慶習俗、祭祀等是其依存土壤;(2)作為壯族文化的代表元素之一,其獨特性、地域性能夠更好地作為壯族代表性的工藝文化進行多方交流;(3)普及深入廣泛,關涉家家戶戶全民社會。
- 3. 經濟特徵:生產性與市場性,專案(技藝)承載於日常使用、節慶習俗、農耕祭祀、商業流通、展館收藏等,參與文化活動和生產交往等社會功能,彰顯社會經濟交往關係特徵。

二、壯刀的文化記憶

記憶是人類與生俱來的,與人類的生產生活密切相關,任何活動都離不開記憶。人們在生產生活的實

踐過程中積累知識與對事物的思考等,而在事後,其在人腦中會形成一定印象,在一定情況下可重新恢復並加以利用^④。20世紀90年代,德國學者揚·阿斯曼夫婦基於前人的相關研究,將記憶理論引入文化領域,首先提出「文化記憶」理論,是該理論的奠基者。揚·阿斯曼認為「文化記憶」是「關於一個社會的全部知識的總概念,在特定的互動框架之內,這些知識駕馭著人們的行為和體驗,並需要人們一代一代反復瞭解和熟練掌握它們」^⑤。也可以說,文化記憶就是一個民族或國家的集體記憶。壯刀作為在壯族地區擁有數千年發展歷史的一種技藝文化,在不同的歷史階段都發揮著自己的重要作用,成為壯族人民的一種特殊的記憶載體。同時,作為一種器物,其本身就是人類創造出的一種文化記憶符號。壯刀具有文化記憶的特點,其本身就展現著壯族人民過去生活的痕跡,蕴含著製作技藝的記憶以及民族傳統文化的記憶。

(一) 技藝的記憶

壯刀的製作過程中最為獨特也是最為重要的一項工藝便是花紋鋼的鍛造。花紋鋼鍛打技藝歷史悠久,以獨特與精湛聞名於世。早在古代就有對花紋鋼的記載,如《吳越春秋》及《越絕書》記載的龜文、鰻理、流水、芙蓉、深淵、高山、大川、流波、冰釋等紋樣,漢代人叫它松紋劍及蟠鋼劍,是指刀身鑄鍛成天然花紋,深入鋼鐵等金屬之中的各種紋理圖形^⑥。在鍛打花紋鋼的過程中,要選取至少兩種不同含碳量的鋼材,通過半熔化形式,反復折疊鍛打,以此控制材料內部密度與結合處的含碳量,去除雜質後達到鋼材內部不同大小顆粒的結晶體的熔合。由於內部密度、碳含量的不同,實現不同層次的化學性能,從而形成有內部性能差異性的複合式結構以及炫美瑰麗的花紋。然而,隨著歷史流變,這一工藝幾近失傳,國內使用花紋鋼鍛造工藝的企業屈指可數。如今市場上的鑄刀工匠在花紋鋼鍛刀工藝上各持技藝,有拿空氣錘製作,有拿花紋鋼直接打刀,更有的拿鑽床、銑床等來做機械花紋^⑥。黃冬鵬師傅花費近十年時間潛心研究花紋鋼鍛打技藝,立志拾起這項古法鍛打工藝,延續技藝的記憶。經過不懈地探索與研究,嚴格選取鋼鐵材料,控制材料比例,黃冬鵬師傅最終鍛打出自己滿意的花紋鋼,不僅傳承了花紋鋼鍛打技藝的記憶,還創新了花紋鋼鍛打工藝。

(二) 民族傳統文化的記憶

黃冬鵬師傅對壯刀記憶的傳承主要體現在基本器形及裝飾、文化內涵,即在壯民族對刀的形制、裝飾部位、裝飾紋樣等方面進行傳承[®],下麵以三款刀具的設計為例分析壯刀留存的民族傳統文化的記憶。

首先是壯王刀,其造型取自壯族人瓦氏夫人帶領廣西狼兵同倭寇對抗時使用的刀具。在刀柄底部手工刻有距今已有兩千多年歷史的銅鼓圖案,通常搭配太陽紋,暈圈裝飾,圓雕裝飾物,如騎士、龜、鳥和青蛙等。物像紋樣有鹿紋、太陽紋和翔鷺紋等。圖案紋樣有錢紋、席紋和圓圈紋等,這些都是古老的駱越人所熟悉的事物,表現出壯族人民對日月神的崇拜,壯族風格濃郁。

其次是骶峰壯刀,骶峰壯刀對壯族傳統元素記憶的傳承主要體現在其設計上,例如,刀鞘的前部為手工雕刻的花紋,與刀身部位的壯錦圖騰呼應,壯錦則表現出壯族人民對天地的信仰與崇拜以及對美好生活的嚮往。刀柄底端刻以壯族的吉祥動物青蛙圖騰,青蛙圖騰是壯民族的圖騰形式之一,具有生殖崇拜的含義,青蛙後代較多,有民族繁榮昌盛的寓意,同時,取青蛙對天地感應的敏感性,即通天的神性功能,民間寓意吉祥、美好[®]。

最後是駱越短劍,駱越人是壯侗語系民族的祖先,駱越古國曾經創造出許多十分燦爛的文化,例如壯錦文化、稻作文化、祭祀文化、花山壁畫文化等,這些文化對中華文明有著十分重要的影響。駱越短劍的設計上則留存著十分清晰的駱越文化記憶,如劍柄的造型為銅鼓,柄身的紋樣通常為羅圈紋、太陽紋等,這些都展現出古駱越的燦爛文明,使得世人能夠再次領略古老的駱越風韻。

三、壯刀在現代社會的傳承與發展

為了更好地留存壯刀文化記憶,在當今時代發展的背景之下,傳承與創新才是更好的出路。在與黃冬鵬師傅的訪談過程中,我們也從中瞭解到了他對於壯刀在當今時代的傳承與創新發展所作出的努力,以及 現階段仍面臨的一些困境。

(一) 壯刀的傳承與創新

1. 傳承方式的多樣化

(1) 師徒傳承

根據黃冬鵬師傅提供的資料,我們瞭解到歷代部分壯刀傳承人的相關情況(表1)。由於年代相隔久遠, 部分傳承人的詳細情況不得而知,更無法獲取相關資料。從已有資料可以看出,壯刀的傳承方式以家傳和 師傳為主,且傳承人均為男性。

代別	姓名	性別	出生年月	文化程度	傳承方式	學藝時間
1	不詳	男	不詳	不詳	師傳	不詳
2	雷洪盛	男	1932. 09	不詳	師傳	不詳
3	雷桂武	男	1961. 02	初中	家傳	1977
3	雷桂永	男	1971. 01	初中	家傳	1988
4	黄冬鵬	男	1973. 03	中專	師傳	2006
5	黄豐林	男	1983. 04	中專	家傳	2014
	黨壯鑫	男	1986. 09	本科	師傳	2016
	黄立軒	男	2004. 07	高中	家傳	2018

表 1 壯刀製作技藝傳承譜系

近年來,出於對壯刀技藝保護與傳承的考慮,黃冬鵬師傅十分注重廣納賢徒,以師傳為主。黃冬鵬師傅 在訪談中提到他的收徒標準是要對金屬工藝這一門藝術有無盡的熱愛,對工藝的提升有強烈的追求,為人 要誠懇、上進。他十分注重對徒弟們的培養,對他們也提出了許多要求和建議,希望能夠將費盡功夫找回的 壯刀製作技藝繼續更好地傳承下去。

(2) 入校傳承

為確保「絕技絕活」得到有效傳承,黃冬鵬積極與各高校開展合作。2015年,黃冬鵬與南寧學院文學與藝術設計院簽訂了「大師進院校、上講臺」合作協議,成為南寧市第一個進駐高校、開展校企合作、產學研合作的廣西工藝美術大師[®]。期間,黃冬鵬指導徒弟、學生參加工藝美術專業展覽多次獲獎,並配合協助南寧職業技術學院編寫《金屬工藝》實訓指導書 1 本,並多次到廣西藝術學院、廣西民族大學、南寧職業技術學院、廣西二輕技校開展傳統技藝講座。之後,黃冬鵬還在廣西大學藝術學院帥民風院長的邀請下成為廣西大學藝術學院非遺美學研究中心研究員,指導學生的美術設計和金屬工藝製作。

(3) 依園傳承

2015年3月,黃冬鵬在南寧美麗南方老木棉匠園設立的壯刀製作技藝傳承工作室正式開始運作。自此,他將大部分精力都放在了老木棉匠園這邊。這裏不僅有壯刀作品的展覽區,還有製作壯刀的冶煉場地。在建構層面,記憶主體可通過參與體驗和紀念儀式建構文化記憶。在這裏參觀者不僅可以觀賞工藝精湛的

壯刀作品,還可以觀看黃冬鵬師傅及其徒弟們現場製作壯刀,甚至還可以親身參與體驗壯刀的製作,使壯刀成為一種看得見摸得著的傳統技藝,並在參與體驗的過程之中建構自己的壯刀文化記憶。通過這樣的方式,可以讓更多人瞭解和親身接觸壯刀文化以及壯刀製作技藝。值得欣喜的是,2021年底,黃冬鵬師傅在南寧相思湖非遺小鎮又開闢了壯刀展示的另一片天地,本調研團隊也有幸去到現場一睹新館風采。

(4) 托館傳承

作為壯刀非遺專案的保護單位,南寧市西鄉塘區文化館一直致力於壯刀製作技藝的保護和傳承工作。 西鄉塘區文化館於 2012 年成立了城區非物質文化遺產保護中心,擁有專職人員 3 人,負責壯刀製作技藝的 保護工作。為了更好的保護、傳承壯刀製作技藝,西鄉塘區文化館成立了壯刀製作技藝保護工作領導小組, 建立由分管領導為負責人的壯刀製作技藝文化普查工作隊。

2. 傳承價值的挖掘與轉化

壯族獨特的地理位置、氣候、生活習慣及民俗,造就了該民族對於刀的理解與表現。直至今天,刀依然是非常重要的生活工具之一,其利用的廣度以及深度相比以前都有很大的拓寬和改觀,同時在材料、形制、款式、功能等各方面隨著時代的變遷也更融入生活。據李盛唐[®]的論述,從壯刀的歷史起源來看,壯刀最早起源於壯族先民們在日常生活當中所使用的田間勞作用具,而後壯族先民的生活環境社會動盪戰亂爆發,逐步轉變為軍事作戰兵器。進入現代社會,壯刀轉變為人們娛樂觀賞所用。

隨著時代發展,壯刀的傳承價值不斷得到挖掘也隨時代改變有了一定的轉化。壯刀製作技藝,在整個南寧市及其周邊地區民族手工業製作中獨佔一席並成為壯刀文化的遺存。保護、傳承研究壯刀製作技藝這一民間手工藝和民族文化,其價值主要有三點:(1)歷史研究價值。壯刀數千年的發展進程,蘊涵著深厚的歷史文化內涵,這對研究我國壯民族的興起和發展具有重要的參考價值和研究價值;(2)學術價值。傳統的壯刀古花紋鋼鍛打技藝已面臨失傳,此技藝的特點、難度及其唯一性對研究民族特性、民族傳統文化和其本身的民間鍛打技藝,具有較高的學術價值;(3)實用價值。壯刀在傳承與發展的過程中,已不再局限於過去的傳統農用具,在和平年代也不作為冷兵器使用,而更多地將刀具的暴力轉化至美學的視覺形態,使其兼具有實用性、收藏性、把玩性,這就使其具備了一定的市場性和生產性,這將帶動和促進南寧及周邊地區民族手工業文化的弘揚和傳承,對推動地方的經濟發展,構建社會主義和諧社會,都將產生積極的促進作用。

3. 多種創新路徑的探索

(1) 理念創新

壯刀從最初作為農用具到冷兵器再到如今的觀賞品、收藏品,其作用和價值不斷發生變化,賦予了壯刀新的生命。黃冬鵬師傅對於壯刀製作理念的更新給予了壯刀新的發展生機,他認為傳統工藝一定要適應現代社會的發展,要接地氣,不能高高在上給人距離感。在黃冬鵬師傅的努力下,如今,壯刀已從最初單具的實用性轉為如今集實用、收藏、藝術於一體。由此看來,對「刀」的理念創新,助推壯刀技藝及文化持續發展。

(2) 設計創新

在設計方面,黃冬鵬師傅既傳承了壯刀本身帶有的壯族傳統文化元素,又注入了新想法,賦予壯刀新的發展活力。傳統文化記憶的傳承雖遇到了障礙,出現過斷裂,但新產品的問世卻以現代文化記憶的方式做出了相應補充。2009 年初,黃冬鵬打造出「壯刀王」品牌,增添了很多壯刀的新品種與新樣式,擴大了壯刀的知名度。黃冬鵬還開發出一系列具有壯族文化的精美禮盒包裝,如「夢緣花山」環首壯刀禮盒,刀身為花紋鋼鑄造,刀柄採用草花梨木裝配,設計構思源於廣西古代土著民族遺留下來的珍貴文化遺產一廣西寧明花山岩畫為創造題材,盒內軟裝圖案以花山人物圖像為主,配以其他器物圖像。該禮盒蘊含著「天人合一、生生不息」壯族文化之精髓,體現了壯刀文化之價值理念,贏得市場歡迎。該作品參加廣西第二屆工藝美術展並榮獲「八桂天工獎」金獎(同上)。實踐可以證明,在繼承與發展壯族傳統文化元素的同時,走品牌設計創

新之路必要而且可行。

(3) 宣傳創新

在發展宣傳壯刀製作技藝及其文化之路上,黃冬鵬師傅帶領他的團隊也做出了許多新的嘗試,比如與高校合作、展館收藏、參加比賽以及利用現代社交媒體等。在南寧老木棉匠園,黃冬鵬還特地開設了開放式的展覽館和工作室,讓參觀者能夠更加近距離地觀賞精緻的壯刀作品、觀看和體驗壯刀製作技藝,這些多維度的宣傳途徑能夠更好地推動壯刀走向人們的視野。

(4) 研究創新

如今,學界對壯刀的關注還比較少,與壯刀相關的文獻研究還比較缺乏。近年來,黃冬鵬及其團隊關注 到了這一問題,開始挖掘壯刀相關的研究,併發表相關文獻(論文),為其他學者及讀者瞭解和關注壯刀及其 文化提供了實貴的材料,也將吸引更多的學者將關注點放在壯刀上,深入壯刀的相關研究。

(二) 壯刀的傳承困境

1. 新生代傳承人缺乏

傳承過程中存在的主要問題之一是人才。唯有人才,方能為非遺傳承與發展注入源源不斷的「新鮮血液」^⑤。然而現代社會的年輕人由於受到多種多樣文化的衝擊,對於傳統文化漸漸失去了興趣,傳統文化只得停留在老一輩人那裏,無法得到傳承,一些非遺產業因此缺乏新生代的傳承人,面臨著失傳的危險,壯刀也難逃此困境。一方面,社會結構快速轉型升級,現代人以追求經濟利益為主,而學習傳承壯刀這類傳統技藝無法快速地帶來經濟效益,致使大多新生代年輕人並不願意去學習這類傳統技藝;另一方面,類似壯刀這類傳統技藝的學習與傳承需要花費大量的時間刻苦鑽研,並不是一朝一夕就能快速掌握的。現代越來越快節奏的生活使得年輕人的心態變得更加急躁,不再願意靜下心來耐心鑽研和學習傳統技藝,這也就產生了難以培養新生代傳承人的難題。據黃冬鵬師傳敘述,他每年都會收大量不同的學徒到這裏來學習壯刀製作,但是能一直堅持下來的人非常少,總是來了又走,有些甚至只能堅持很短的時間。他認為,現在的年輕人都比較浮躁,很難靜下心來堅持學習一門技藝。由此看來,新生代傳承人的缺乏是傳統技藝傳承與發展需要解決的一個棘手的難題,隨著時間發展,這一難題會越來越緊迫。

2. 生產與需求難匹配

壯刀製作需要十幾道工序,從構思設計到準備材料(五種以上不同的高碳鋼和低碳鋼),折疊鍛打、刀坯成形、切割、熱處理、抛光打磨、雕刻、手工精研磨、顯影、刀柄製作(造型、雕刻等)以及刀鞘製作。每一把壯刀均為黃冬鵬師傅及其徒弟全手工精心打造。隨著近年來在黃冬鵬師傅及其團隊的努力下,壯刀的各項產品及宣傳創新促使壯刀的知名度不斷提高,越來越受到人們的歡迎,各類商業大亨、政屆要領紛紛向他訂購。目前,黃冬鵬的客戶越來越多。一些客戶已經預定了明後兩三年的金獎作品。然而黃冬鵬表示,由於是純手工打造,工序又十分繁雜,做一把刀快的要十幾天,慢的要一個月甚至更久,難以滿足市場需求。此外,為了推廣壯刀,使壯刀產品更接地氣,黃冬鵬師傅還研製出了其他許多精美的壯刀文創產品,也同樣受到了市場的歡迎,但這也同時更加拉大了生產與需求之間的差距,使得二者之間逐漸失衡,這也成為了阻礙壯刀傳承與發展的一個問題。

3. 政府支持力度不足

我國非遺工作一直以來是由政府主導和管理,雖然社會參與的廣度和深度正在逐步增加,但是政府仍然扮演著幾乎全能的角色,既直接推進非遺的保護與傳承,也統籌非遺資源的利用。在壯刀的保護傳承與發展方面,政府給予的一定的支持與保護是不可否認的。但是,在訪談過程中,黃冬鵬還提到了目前仍然存在一些問題希望能夠得到政府進一步的支持與重視。例如,黃冬鵬師傅在老木棉匠園精心打造了壯刀展覽

區和製作體驗區,向遊客免費開放,希望能夠吸引更多人認識和瞭解壯刀,而近幾年來,老木棉匠園景區開始收取門票,直接影響了景區的人流量,大大削弱了展館的吸引力,這也使得宣傳效果大打折扣。此外,黃冬鵬師傅最近在相思湖非遺小鎮又開闢了壯刀展示的另一片天地,但遺憾的是,由於各種條件限制,非遺小鎮的壯刀展示基地無法修建冶煉場地,因此無法為遊客提供親身接觸壯刀製作的機會,這就使得傳承與發展壯刀又失去了一個極好的機會。由此可見,壯刀的保護傳承與創新發展離不開政府的支持,但目前政府的支持力度尚有很大的提升空間。

四、對策與建議

(一) 傳承人視角下的對策與建議

傳承人是傳統工藝保護、傳承與發展的主體,他們精通技術,敢於創新,是工藝技術的活態載體。傳承 人不論是在帶徒傳藝方面,還是在創新技藝發展方面都起著關鍵作用。

首先,傳承人應緊跟時代潮流,繼續挖掘非遺宣傳新路徑。擴展宣傳路徑、加大宣傳力度能夠讓更多人認識和瞭解非遺專案,引發他們對非遺的關注,在一定程度上還有助於傳承人發掘更多的「潛在傳承人」,這對非遺的傳承與發展將會產生極大的積極作用。例如,隨著全媒體時代新媒體的持續發展,短視頻在社會化傳播中爆發式增長,為大量傳統音樂、舞蹈、戲劇、曲藝、體育遊藝與雜技、技藝和民俗等動態展現的非遺專案提供了新的展示空間。在這一背景之下,傳承人可以利用各種新媒體拓寬非遺宣傳路徑,由此獲得更多的關注。

其次,傳承人要高度重視對後續傳承人的支持與培養,這是接續非遺傳承的長遠之計。傳承人要注重 後續傳承人的發掘與培養,給他們創造更多更好的機會學習和鑽研非遺傳統技藝,使他們深切感受到傳統 技藝的魅力,還可以在政府的支持下給予他們一定的生活補貼,為他們營造更好的學習環境,接續非遺傳承 與發展。

最後,傳承人應積極參與申報工作,保存好非遺基因。參與非遺專案申報與立項工作不僅可以使傳承 人對自身的非遺專案擁有更加全面的認知,還能夠得到相關部門更加全面、系統的保護舉措。就壯刀而言, 目前只申請到了南寧市級非遺專案立項,後續還可以繼續積極申報區級、國家級乃至世界級的專案。保存 好非遺基因,為日後非遺的傳承與保護提供重要的前提和保障。

(二) 政府視角下的對策與建議

首先,政府對非遺的保護不僅是要從政策上予以支持,更要加大財政方面的投入,缺少足夠的資金支持,非遺的傳承就難以繼續開展。對於壯刀來說,政府應該給予一定的資金支持,吸引更多年輕一輩的人來學習壯刀製作,培養後續傳承人,為他們提供一定的生活保障,以此激發他們學習的積極性,鼓勵更多人加入到壯刀學習的隊伍之中。此外,政府還應加大扶持力度,增強文化空間再造,為非遺展示、創作提供更好的空間以及更便利的優惠政策,還能為非遺創收提供更好的條件。

其次,政府可以從宏觀層面,加強文化傳播,提升人民的非遺保護傳承意識。非物質文化遺產保護和傳承,是一項任重而道遠的任務,既需要在文化理論學習,也要從實踐中探索。政府可以首先從教育入手,在學校原有課程的基礎之上向學生傳播民族傳統文化。可以開設新的民族文化課程以及課外體驗活動,這樣的安排不僅能夠更好的發揮教育的作用,使學生更加深刻的瞭解民族傳統文化,認識到保護與傳承傳統文化的重要性,還能豐富學生的課外活動。政府還可以聯合相關部門,定期舉辦非遺展示和體驗活動,組織廣

大市民參與進來,讓他們在切身體驗中深刻瞭解非遺傳統文化,並以此為契機意識到非遺保護與傳承的重要性,提升自身的保護意識。

最後,可以以政府部門為依託,加強對外宣傳與交流。在訪談中,我們從黃冬鵬師傅處瞭解到,目前,壯刀只是在廣西區內有一定的知名度,但是在區外鮮有人知道壯刀,更不用說國外了,他其實有意願希望能夠聯繫到比較權威的報社來為壯刀作專題報導,以打開壯刀的知名度,加強對外宣傳。在這一方面,政府可以為其提供一定的幫助,例如幫助聯繫報社、搭建交流平臺、組織作品巡展等,加強壯刀對外宣傳與交流,促進非遺的傳承與發展。

(三) 社會視角下的對策與建議

社會層面存在多項主體,這些主體若能相互配合,共同聯動,也能為非遺的傳承與保護添磚加瓦。

首先,在企業層面,企業不僅可以為非遺的發展提供一定的資金和技術支持,還能優化非遺行銷模式,為傳承人增加非遺創收。壯刀傳承人黃冬鵬在採訪中表示,他很希望可以與相關企業合作,為壯刀的發展提供新路徑。企業可以與非遺傳承人開展協同發展模式,為非遺產品製作提供設備與場地等的支持,在促進非遺創收,擴展非遺宣傳路徑的同時,也能為企業自身帶來一定的經濟效益。如此看來,這將是一種雙贏的策略。

其次,學校層面可以從青少年教育的角度出發,定期統一組織學生參觀非遺展覽館,觀看非遺產品製作,深化相關理論知識學習;還可以創設條件,與非遺傳承人協作為學生提供親身體驗的機會與場所,不僅可以提升學生對非遺專案的興趣,還能使學生更加深刻的認識到非遺背後的歷史文化底蘊。

最後,非遺的傳承與發展需要激發主體「人」的自覺性,「人」才是文化的創造者和傳承者²⁰。在個人層面上,只有自己始終堅持文化自覺與文化自信,堅守內心,保持對非遺傳統文化的好奇心與敬畏心,從內心深處愛護非遺,帶動身邊的人關注非遺文化與精神,為非遺的保護傳承與發展獻出自己的一份力量,才能從根本上延續非遺的保護與傳承,使得各種各樣的措施真正落實到實處,取得實際的效果。

注釋

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Review and Prospect of the Study on the Image of the Communist Party of China During the Anti-Japanese War

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Abstract: Studying the image of the CPC during the Anti-Japanese War is helpful to reflect and tell the history of the CPC. Through combing, it is found that the existing domestic research results involve many disciplines such as politics, history, communication and linguistics, and discuss the image building and communication of the CPC during the Anti-Japanese War from two aspects of self-shaping and others-shaping. The domestic researches focus on the influence of newspapers, songs, commemorative activities, international friends, mainstream foreign newspapers and the US military observation group on the image building of the CPC. Foreign research has gone through three stages of development due to different historical background, and the research orientation has gradually moved from macro to micro perspective. In the future, in terms of the research trend, the integration of multi-disciplines is promising. In terms of research methods, we can try to use big data and statistics methods to carry out empirical research on the image of the CPC during the Anti-Japanese War. In terms of the materials used in the study, the application of foreign research achievements remains to be further explored.

Keywords: Anti-Japanese War; The image of CPC; Image research; overview

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抗戰時期中國共產黨形象研究回顧與展望

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摘 要: 研究抗戰時期中國共產黨的形象有助於講述和反思中國共產黨的歷史和現實故事, 通過梳理發現, 已有的國內研究成果涉及政治學、歷史學、傳播學和語言學等多個學科領域, 從自塑和他塑兩個面向來探討抗戰時期中國共產黨的形象塑造和傳播, 關注報刊、歌曲、紀念活動、國際友人、國外主流報刊、美軍觀察組等對中國共產黨形象塑造的影響。國外研究則因時代背景的不同歷經了三個發展階段, 研究取向也從宏觀逐漸走向微觀。就未來的研究趨勢而言, 在研究視角上, 多學科的交叉融合大有可為; 在研究方法上, 可嘗試運用大資料、統計學的方法, 對抗戰時期中國共產黨形象開展大資料實證調查研究; 在研究使用的材料上, 他者材料的運用有待進一步挖掘。

關鍵詞:抗日戰爭;中國共產黨;形象研究;研究綜述

隨著社會的發展和進步,在選擇日趨多樣化、主觀化的當今,形象之於個體及組織的價值魅力凸顯,構成人們對個體或組織進行評價、選擇的重要依據。而政黨形象指政黨的屬性、政黨符號、黨員隊伍及政治參與能力給黨內外公眾留下的相對穩定的綜合感知和整體印象^①。在現代政治體系中,政黨作為最有效的政治組織,其形象問題日益受到多方關注。良好的政黨形象不但能影響人民對黨的認可與支援,還可以提升黨的國際形象和地位,是展現政黨號召力和影響力的重要指標。

作為抗日戰爭的中流砥柱,中國共產黨(以下也簡稱「中共」)在抗戰時期構建了富有生命力的政黨形象。從國內來說,中國共產黨在敵後戰場取得了輝煌成就,在國人面前樹立了一個團結、抗日、民主的先進善治政黨形象。從國際來看,中國共產黨為世界反法西斯戰爭做出了重要貢獻,贏得了國際社會的重視和認可。對國內外關於抗戰時期中國共產黨形象的研究成果進行梳理,有助於我們深刻理解抗戰期間中國共產黨壯大的多維面向,管窺中國革命成功的要訣,一定程度上也可為當下中國共產黨的執政黨形象塑造與傳播提供歷史借鑒和啟示,以便在新時代更好地講述中國共產黨的治國理政故事。

一、國內研究述評

(一)領域和視角多樣

對抗戰時期中國共產黨的形象研究一直是國內研究的熱點,涉及多個學科視角。一是政治學框架下的研究。主要論述了在抗戰時期樹立和改善我黨形象的理念、途徑、機制等問題。如王建華梳理了抗戰時期中國共產黨塑造的革命形象,認為是多重力量的交互作用影響了革命政黨的形象塑造^②。二是傳播學框架下的研究。主要論述了抗戰時期中國共產黨在國際媒體上的形象演變、傳播策略、技術路徑等問題,如熊忠輝以傳播學為研究視角,分析了中共如何通過各種力量將自身的良好形象有效地傳播給全國人民和國際社會^③。三是以歷史學為框架的研究,主要探討了抗戰時期我黨形象塑造的經驗、特點和對外傳播思想等問題。如李玲主要討論了抗戰時期中國共產黨在根據地的形象構建的方式,認為這些舉措在客觀上對建構黨



的形象產生了重要促進作用^④。四是語言學框架下的研究,主要探討了抗戰時期中國共產黨在形象構建中 的語言、文本特點和翻譯活動。如廖華英、陳勇通過敘述延安時期語言翻譯的特點,體現了翻譯活動中意識 形態的重新構建對中共形象的對內和對外傳播作用(5)。

從研究的領域來分類,在抗戰期間,可分為中共領導下的抗日根據地、國民黨控制下的大後方、日偽控 制下的淪陷區這三大政治板塊。其中學者對抗戰期間根據地中共形象塑造的研究成果最為豐富。如李豔 全面深入的分析了中共延安時期局部執政形象的構建,梳理了党加強執政形象構建的關鍵因素®。趙耀宏 考量和分析了中共在陝甘寧邊區的執政形象,得出了政黨要塑造良好的執政形象必須要有一套好作風的深 刻啟示^①。相比之下,大後方的中共形象研究略顯不足。學者洪富忠一直致力於中共在大後方的形象研究, 發表了一系列研究成果。如《抗戰時期中國共產黨國際形象的建構——以大後方為中心的考察》這篇文章 重點分析了大後方這一區域在戰時中共國際形象的建構中所扮演的角色,認為中共國際形象能夠成功構建 的根本原因在於中共是抗戰中的中堅力量®。《抗戰時期陝甘寧邊區形象在大後方的塑造及國共博弈》一文 則重點論述了中共在大後方所發行的刊物對中共形象的影響,作者認為這些刊物起到的宣傳作用有力提升 了中共的政治形象®。由於淪陷區中共的資料最為缺乏,目前學界對於中共在淪陷區的形象塑造研究尚未 涉及。

(二) 自塑與他塑並舉

更多學者根據形象的形成過程,從形象的自塑和他塑兩個面向來研究抗戰時期中國共產黨的形象問 題。自塑方面,既有關於抗戰期間中共形象塑造系統性宏觀研究,也有從不同形象載體切入的微觀局部性 研究。在中共形象塑造系統性宏觀研究方面,陳興豔研究了延安時期中國共產黨塑造宣傳自身正面形象的 策略方法,探討了中共國際形象宣傳的意義和影響®。付華豔論述了抗戰時期党的形象建設目標及路徑,分 析了其過程中的歷史經驗及其對現實帶來的深刻啟示⑩。史翠芬探讨了中共在抗战时期形象塑造的成功要 诀,认为其对当前中共提高自身执政能力、保持好同人民群众的血肉联系具有重要的借鉴意义[®]。以上這 幾篇文獻都是從中共形象塑造系統性宏觀研究方面探討了抗戰期間中共對自身良好形象的積極傳播,認為 中共在其形象塑造上的作為改善了國際和國內對中共的偏見和誤讀,加強了外界對中共的援助,也為抗戰 勝利奠定了堅實的基礎。

報紙、歌曲、國恥紀念、「七一」紀念、展覽會、國民參政會、晉西北士紳參觀團等等都是塑造中國共產黨 形象的不同載體,它們都為抗戰時期中共形象的提升添上了濃墨重彩的一筆。其中關於報紙的研究頗多, 學者研究最集中的是《新華日報》。如劉興旺,林志彬研究了《新華日報》多樣化的報導策略,認為中共在抗 戰時期通過《新華日報》在國統區樹立的政黨形象是親民、民主的®。張培星認為《新華日報》作為中共的黨 報,在傳播中共的親民形象過程中發揮了舉重若輕的作用母。石瑾則是從歌曲這一文藝視角切人,圍繞《東 方紅》的歌詞內容探討延安時期黨群關係的變化,認為中共通過抗戰歌曲進行的宣傳動員樹立了其在民眾 心中的形象 6。熊斌, 周勇研究了民主革命各個時期中共主題一致但內涵不同的國恥紀念活動, 認為其有著 激發國人救國雪恥的熱情且在一定程度上提升了中共政治形象的重要意義®。夏松濤梳理了民主革命時期 中共開展的多種形式的展覽工作,總結了其產生的深遠意義及對中共形象塑造產生的影響[©]。国民参政会成 立于中国抗战时期,由各抗日党派代表和无党派人士组成,在当时属于中国国家最高咨询机关。李向洋,王 建华研究了中共在国民参政会上的政治话语,发现中共凭借国民参政会在某种程度上塑造了公正廉洁的政 党形象且展示了自我革命的政党品质®。另外,作為抗戰時期中共的一個重要團結物件,開明鄉紳也是中共 努力爭取的[中間力量 | ,開明鄉紳對延安及根據地的參訪,也對中共良好形象的塑造起到了幫助作用。蘭 雨彤圍繞延安時期中共形象塑造的基本內涵,例舉了抗戰時期中共對晉西北士紳這一群體的力爭事實,分 析並總結了中共關於塑造自身政黨形象的技術路徑和影響中共形象塑造的諸多因素,總結出一些中共形象塑造的歷史經驗[®]。

他塑方面,很多學者關注著名國際友人在抗期間對中共形象的宣傳、塑造起到的重大作用和突出貢獻,研究成果頗為豐富。如盛開放等分析了海倫·斯諾等外國記者在陝北的經歷,認為斯諾夫婦的報導擊碎了外界對中共紅軍的一些不公報導,讓國際國內社會重新客觀公正地認識了中共及在中共領導下的紅軍隊伍³⁰。胡龍通過闡述三位著名國際友人「三 S」在抗戰期間訪問延安並向世界傳遞了中共及領導人和中國人民堅決抗戰的公正事實,論述了他們對中共形象的宣傳塑造方面起到的重要作用和貢獻²⁰。王冬梅研究了抗戰期間外國記者對中共領導的陝甘寧邊區和其他抗日根據地進行的的考察,總結了這些報導對中共形象宣傳產生的影響²⁰。陈磊研究了抗战期间访问根据地外国记者对中共的抗战报道,认为外国记者当时对中共的抗战报道细致还原了中共及其领导的根据地和军队戮力抗战的真实面貌²⁰。

外媒對中共形象的塑造也是許多學者頗為關注的一方面。為了滿足美國國家的自身利益和某些戰時目標,外媒對共產黨的宣傳必然帶有傾向性,有些觀點難免片面,但是其中的許多真切見解也讓外界頗為客觀地認識了中共。因此,國外主流報刊能夠在一定程度上提供研究中國共產黨形象的一個視角,引起了一部分學者的關注。如朱瀟瀟,徐宇以《華盛頓郵報》和《紐約時報》兩個美國大報為語料,研究了1930至1937年間這一時間段關於中共的213篇相關報導,探討了他者筆下的中共的形象和成因³³。姜怡文以《大美晚報》為語料,研究了太平洋戰爭時期該報對中共進行的報導,發現該報由於立場原因具有一定的意識形態色彩,但也不妨礙外界在一定程度上加強了對中共的正確認知³⁵。

另外還有學者以美軍觀察組的視角來考察這一問題。美軍觀察組在戰時因為美國自身利益需要訪問了敵後抗日根據地,與中共進行了有效合作。觀察組的一些真知灼見不僅打破了國際社會對中共的偏見,也在一定程度上體現了中國是抗戰中的一股中堅力量,從而正面影響了外界對中共的看法。如舒文、嚴曼一深入研究了抗戰時期美軍觀察組對中共的認識,認為其認識成果有助於駁斥當今減損甚至全然否定中國共產黨在抗戰中的作用及其地位的歷史虛無主義觀點。彭波分析了美軍觀察組塑造中共抗戰形象的原因和過程,作者認為這一次與美軍觀察組的接觸和合作增進了中國共產黨和世界對彼此的瞭解,讓中國共產黨逐漸走向了國際舞臺[©]。

二、國外研究綜述

國外學術界很少直接研究抗戰時期中國共產黨的形象建設,但對中國共產黨在抗戰中的歷史作用有許多研究,在論述中國共產黨的歷史作用中會涉及到黨的形象問題,這在一定程度上間接研究了抗戰時期党的形象建設。對於抗戰時期中國共產黨形象這一主題的探索,可以大致分為三個階段。

(一) 抗戰時期國外記者的「中共熱 |

抗日戰爭時期很多到過陝甘寧邊區的西方記者、作家、學者以自己的親身經歷和見聞,寫下了大量的作品,這些都是研究抗戰時期中國共產黨形象的原始材料和基礎文本,促成了國外對中共的最早認知。如愛德格·斯諾(Edgar Snow)的《西行漫記》³⁸、艾格尼絲·史沫特萊(Agnes Smedley)的《中國的戰歌》³⁸、合眾社、倫敦《泰晤士報》記者哈里森·福爾曼(Harrison Forman)的《北行漫記》³⁸、美聯社、《基督教科學箴言報》記者岡瑟·斯坦因(Stein Gunther)的《紅色中國的挑戰》³⁸、《紐約時報》《同盟勞工新聞》記者伊斯雷爾·愛潑斯坦(Israel Epstein)的《中國未完成的革命》³⁸以及外國記者發表在《泰晤士報》、《紐約時報》等報刊上的報導等。總的來說,這些作品的基調幾乎都是認可、讚揚、肯定中共領導下的根據地建設和抗日戰爭,勾畫



出了一個條件刻苦,正義、民主和鬥志昂揚的中共形象。雖然西方國家對中國共產黨「赤匪」的排斥心理遠 未徹底消除,但是這些著作對中共的正面宣傳架起了一道理解的橋樑。

(二)冷戰背景下正式研究開始起步

從抗戰結束到冷戰時期,中國與西方的關係急劇惡化,鑒於在意識形態、文化等方面上的差異,西方學者對某些歷史事件和歷史人物的評價難免有失偏頗。同時,這一時期,國外學者獲取中共資料十分困難,研究大都是基於理論上的宏觀探討。如查爾默斯·詹森(Chalmers Johnson)所著的《農民民族主義與共產主義力量》是一本很有影響力的著作,雖肯定了農民戰爭在抗戰中的重要性,卻狹隘地認為中共的成功得益於日本人侵激起的農民民族主義。³⁸肯尼士·休梅克(Kenneth E. Shewmaker)的《美國人和中國共產黨人》記述了1927年至1945年間中國國內發生的重要政治事件,不過在一些地方上存在著對事實的歪曲,如:他指控斯诺的报道为「红色宣传」,抹黑史沫莱特是个「幼稚的左派」³⁸。當然,這一時代也不乏客觀公正的學者。如卡羅爾·卡特(Carolle J. Carter)所著的《延安使命:1944-1947美軍觀察組在延安963天》詳細地介紹了「迪克西使團」的真實經歷:觀察組成員們紛紛對蔣介石十分失望,而對中共抗戰的努力印象深刻³⁸。比安科(Bianco L.)認為中共成就的偉大之處是共產黨領導人把中國農民團結成了一個革命者³⁸。

這一時期,國外正式對中共研究開始起步。不能否認,國外研究具有嚴謹的態度、豐富的論證材料,對問題的分析較為嚴謹,較為客觀的論述了中共與國民黨兩大陣營在抗戰問題上所存在的分歧。但由於受制於研究材料的匱乏和意識形態鬥爭,這一時期國外學者對中共的認識不免帶有偏見或停留在比較淺顯的層次,所以這一時期的中國共產黨形象在其後的研究中必然得到進一步修正與重構。

(三)中美關係正常化,研究深度空前

20世紀80年代至今,西方學者開始以客觀公正的態度和和多元化的視角來審視抗戰時期中國共產黨的形象問題。至此,海外中共形象研究進入黃金期。保羅·法蘭奇(Paul French)著的《鏡裡看中國:從鴉片戰爭到毛澤東時代的駐華外國記者》[©]、麥金農(Stephen R. MacKinnon)和弗利森(Oris Friesen)合著的《中國報導:20世紀三四十年代美國新聞口述史》[®]以及彼得·蘭德(Peter Rand)著《走進中國——美國記者的冒險與磨難》[®]都批評了麥卡錫主義對抗日戰爭時期來華記者的迫害,讚揚了斯諾、史沫萊特等來華記者是那個時代富有才華,冒險精神的一群新聞記者。彼得·紫羅(Peter Zarrow)在《戰爭與革命交織的近代中國,1895-1949》的後幾章中展示了中共是如何在矛盾的思想和政治運動的漩渦中,適應中國國情最終取得勝利的[®]。史蒂芬·萊文(Steven Levine)通過關注中國東北地區,提出中國革命是「革命組織的勝利。」萊文通過對內戰這一部分的描述,推翻了早期對共產主義勝利的分析中所表現出的革命浪漫主義[®]。持同樣觀點的還有戈迪温(Steven M. Goldstein)和賀康玲(Kathleen Hartford),在其合著中他們用「比較革命」的方法總結了前人的五篇研究,進而駁斥了「中共的勝利是偶然」的看法[®]。約瑟夫·W·埃謝裡克在《戰爭與革命;20世紀40年代的中國社會》中提到了中共對婦女解放的突出貢獻,給予中共形象公正的評價。[®]費正清弟子易杜強(John Israel)所著的《戰爭與革命中的西南聯大》講述了在抗日戰爭時期,國民黨的種種行為讓一向不問政治的聯大學生產生了抗議,而中共呼籲建立聯合政府和共同抗日的主張則贏得了學生群體的廣泛支持[®]。

這一時期,隨著中美關係走向正常化和中國經濟的騰飛,中國引起了世界的矚目,國外對於抗戰時期的中國共產黨形象研究進入一個成熟期。這一代學者的研究主題發生了重大變化,從求解中共何以在戰爭中致勝,擴大到了探索與闡釋中國的發展方向問題。研究視角或主題的變化也帶動了研究方法由宏觀敘事向微觀分析的遞進,由此,一個更生動、客觀、真實的中國共產黨形象展現在我們的面前。

三、總結與啟示

以上學術史梳理表明,國內外學界對抗戰時期中共形象塑造的研究已有相當成果,從概念、方法、視角等方面為今後的深入研究奠定了基礎。綜上所述,中國共產黨形象與媒體傳播方面的研究成果豐碩,對黨的媒體形象建設進行了可貴的探索,但仍存在一些不足:首先,從研究的領域來看,研究的領域相對比較單一,多學科交叉融合研究的成果較少。僅僅具備某一學科的知識背景很難對抗戰時期中共形象有深入和全面的研究。正是因為存在跨學科的難度,一定程度上也制約了目前對這一課題的深入研究。其次,從研究的方法來看,思辨研究多,實證研究少,僅有的實證調查也多採用人工統計的方式,在研究路徑、研究範式等方面還有很大的提升空間。學界可嘗試運用大資料、統計學的方法,對抗戰時期中國共產黨形象開展大資料實證調查研究。第三,從研究使用的材料來看,中共方面的材料相對豐富,而「他者」材料明顯不足。研究執政黨的國際形象不能僅限於主體自身的「自語」狀態,也需要使用他者材料從「他者」視角予以觀察,才能使研究成果更具有生命力和說服力。

應當指出,目前的研究還不足以還原中國共產黨在抗戰時期被具體構建的過程和這一時期的完整形象,且難以把握中國共產黨形象的變化趨勢。媒體、大眾傳播與國際關係、執政黨形象的構建之間的互動關係,將繼續成為學界亟待解決的重要問題和熱點。

注釋

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[Technical Translation & Technical Communication]

欄目主持人語(劉世英[教授、博士、重慶郵電大學外國語學院院長]):

本期推出的「技術翻譯與技術傳播」專欄,基於技術傳播視閱下譯寫融合研究視角,聚焦用戶體驗和可用性,探討如何提升企業及其產品和服務的對外傳播效果。王怡、鄧佳敏的《技術傳播視閱下重慶制造業英文網站的標準適用性研究》一文以重慶制造業企業網站的「企業介紹」板塊為例,探究譯員翻譯網站時的身份、網頁文本信息呈現方式的處理、文本內容的翻譯以及文本邏輯結構的處理等問題,總結了制造業網頁翻譯的流程。賈川、劉世英的文章《技術傳播視域下用戶角度思維對於技術寫作的啟示》指出,對標產品用戶群體來精準畫像、對標不同層次需求來策劃內容和對標地域用戶喜好來打磨表達,創作出符合企業規範和滿足客戶要求的技術文檔。楊羚箐的文章《軟件本地化翻譯原則與策略研究》以電信運營商運營支撐系統海外英語國家市場交付為例,提出了軟件本地化翻譯的原則與策略,總結了軟件本地化翻譯的流程。

Enlightenment of User's Thinking on Technical Writing from the Perspective of Technical Communication

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Abstract: Technical communication started relatively late in China, but the market demand for talent in this industry is increasing. At present, the training system for domestic technical communication talents is not perfect, and the level of technical writing document delivery in the market is uneven, which affects the related development of enterprises to a certain extent. This paper analyzes technical writing from the perspective of users, answers three questions: who is the target user of technical writing, what is the demand of the target user and how to meet the demand of the target user, and concludes with three inspirations, aiming at providing some reference for the development of technical communication industry. These three inspirations are: technical writing must accurately depict the user groups, plan the content according to the needs of the users, and polish the expression according to the preferences of people from different countries.

Keywords: technical communication; user's thinking; technical writing; usability; readability

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技術傳播視域下用戶角度思維對於技術寫作的啟示

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摘 要:技術傳播在國內的起步較晚,但市場對技術傳播人才的需求量正不斷增加。就目前而言,國內技術傳播人才培養體系還不甚完善,市場上的技術寫作文檔交付件水準層次不齊,一定程度上影響了企業的相關發展。本文從用戶思維對技術寫作進行了分析,回答了技術寫作的目標使用者是誰、目標使用者的需求是什麼以及技術寫作如何滿足目標使用者的需求三個問題,並由此得出了三個啟示,即:對標產品使用者群體來精准畫像,對標不同層次需求來策劃內容和對標地域使用者喜好來打磨表達,旨在為技術傳播行業的發展提供些許借鑒。

關鍵詞:技術傳播:用戶角度思維;技術寫作:可用性:可讀性

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引言

寫作是人類在日常生產生活中常用到的一項技能。由於寫作目的、面向群體和應用場景的不同,常將 寫作分為創意寫作、商務寫作、公文寫作、文案寫作、科學寫作和技術寫作等。其中,技術寫作是伴隨工業時 代的到來而產生的一個類別,其核心是給特定用戶提供相關、有用和準確的資訊,以此來説明用戶完成特定 的任務。苗菊和高乾認為:技術寫作涵蓋一切傳遞技術資訊的文本類型和文本格式,包括技術報告、操作手冊、商品目錄、各種說明書、圖表、廣告宣傳、招商材料、企業介紹、產品說明、信件、備忘錄、建議書、商務策劃書、可行性研究報告、培訓方案、商業文件報告、科技文獻等文本寫作^①。

技術傳播則為技術寫作在新媒體時代的擴展。王怡,劉世英將技術傳播定義為通過各種管道,如電子郵件、播客、印刷或線上出版物和社交媒體,並借助各種形式,如印刷或數位版使用手冊、報告和網頁等,把有關產品或服務等資訊盡可能清晰、易於理解地傳遞給目標受眾等過程^②。

「傳播」一詞出自于《北史·突厥傳》:宜傳播天下,咸使之聞。在漢語中一般解釋為廣泛散佈。國內學者邵培仁先生認為:「傳播是人類通過符號和媒介交流資訊以期發生相應變化的活動」;國外學者霍夫蘭認為:「傳播是某個人(傳播者)傳遞刺激(通常是語言的)以影響另一些人(接受者)行為的過程」。由此可以看出,無論是國外學者還是國外學者,都認為傳播是發生在兩個人或者兩個群體之間的一種互動行為。因此,傳播者在發出互動資訊時,需要考慮接受者的狀況,考慮其對於發出資訊的接受度,也就是傳播者要有用戶角度思維。技術傳播本就產生於新技術和新產品層出不窮的時代背景之下,此時僅僅依靠客服人員的電話支援和技術人員的現場支援已無法應對使用者在產品使用過程中遇到的各種問題,因此對產品文檔的需求和要求上升到了一個前所未有的高度。技術傳播從業者在進行技術寫作時,除了要準確無誤的傳遞產品本身及其使用方法的同時,還要充分考慮使用者的各種情況,以使用者角度思維來進行文檔設計,如此才能實現傳播目的。

一、用戶角度思維的理論淵源

用戶是行銷學上的概念,指某一種技術、產品、服務的使用者,或被服務的一方³。「使用者角度思維」 指要求服務提供者站在服務使用者的角度上來考慮問題的思維模式。用戶角度思維最早出自互聯網界,確 切地說,它們是由業界人士提出來的,所以,它們有濃厚的業界背景,具體地說,就是技術背景和行銷背景³。

從 1969 年網際網路在美國創立開始,互聯網便以其自身去中心化、扁平化、自組織等特性,不斷結構並重構著社會結構,不斷創造出新的組織方式和組織形態。其在經濟領域對生產方式和生產要素進行的重組使商業模式產生了翻天覆地的改變,由此而產生的互聯網思維不僅推動了互聯網行業的發展,在其他業界也發揮著重要作用。在互聯網思維的九個維度中,「用戶角度思維」居於首要位置^⑤。簡單說來,使用者角度思維主要需要回答三個問題: Who, What, How。即:我們的目標使用者是誰?我們的目標使用者需要什麼服務?我們如何為目標使用者提供他們所需要的服務?

劉宏和狄萌認為:用戶角度思維的實質主要在於三點。一是有明確的受眾群體概念,二是注重用戶體驗,三是使用者角度思維也是一種產品思維。筆者在知網上以「用戶思維」為檢索詞進行搜索,結果顯示使用者思維被多位元學者應用到各種各樣的研究之中,其領域包括期刊媒體、資訊檢索、高校教育、市場服務、網站設計、圖書引進等等。發文量在2005-2021年期間總體上也呈不斷上升趨勢,由此可以看出研究者對用戶角度思維的關注度越來越多,用戶角度思維的應用也越來遠廣。

二、技術寫作的用戶角度思維分析

技術寫作強調實用性,這就要求它必須以服務目標讀者為根本宗旨。同時技術寫作涉及的行業和工作領域多種多樣,需要根據讀者的閱讀偏好制定合理的寫作策略[®]。中國標準化協會規定,技術寫作文檔具備如下特點:一是面向特定讀者,二是幫助讀者解決問題,三是集體寫作而成,四是注重資訊呈現的方式,五是

承擔法律責任。這五個特點中有三個都與用戶直接相關,由此看出用戶角度思維對於技術寫作的重要性不言而喻。但根據李雙燕和崔啟亮所做國內技術寫作發展現狀調查顯示:就技術寫作文檔合格標準來看,國內按需要改進的迫切程度依次為:可用性(71.74%)、準確性(60.87%)、可讀性(55.43%)、一致性(51.09%)、可查性(48.91%)和可譯性(11.96%)^①。其中可用性的迫切程度高達 71.74%說明技術寫作文檔已嚴重影響到了用戶的使用,60.87%的準確性說明技術文檔很大程度上誤導了用戶的使用。這些資料表明,當前的技術寫作沒能很好的運用用戶角度思維,現行技術寫作文檔的品質與中國標準化協會的要求以及與客戶需求之間的鴻溝還有待彌合。

(一) 技術寫作的目標使用者是誰

進行技術寫作的用戶角度思維分析,首先要明確技術寫作的目標客戶是誰。2017年中國技術傳播發展 現狀調查報告顯示:對於技術寫作需求比較大的行業主要有通信/電腦軟硬體、互聯網、機械設備、醫療設備 和工具/服務提供者等等。那麼由此可見,這些行業的客戶群體就是技術寫作的目標使用者。除此之外, 2021年中國企業成長報告中指出:中國企業國際化的推進,是一個「走出去」和「拿進來」並行的過程[®]。這 意味著我國技術寫作的目標使用者還包含上述相關行業「走出去」的目標國家的服務使用者和「拿進來」的 外國產品在國內的服務使用者,這其中還涉及到了技術寫作中的雙語轉換問題,筆者將會在下文進行說明。

(二) 技術寫作的目標使用者需要什麼服務

對技術寫作進行用戶角度思維分析,其次要明白目標使用者需要什麼樣的服務。根據 2017 年中國技術傳播發展現狀調查報告統計,技術傳播的主要工作內容為使用者手冊的編纂與設計,占比高達 86.73%,其次是安裝實施指南和線上說明,分別占比 62.83%和 61.95%,由此可以看出,我國目前大部分的技術傳播工作都幾種在用戶手冊上。就以使用者手冊為例,那麼目標使用者需要的是一份什麼樣的手冊呢? 答案是一份能清楚明瞭、準確無誤地實現使用者購買產品的功能的手冊。技術寫作基本原則也體現出了用戶的需求,即:準確性,清晰性,簡明性,一致性,客觀性,可用性®。一般情況下國內單語的技術文檔寫作能夠很好的踐行這些原則,但在進行雙語轉換時對於其中的某些原則可能會有一些違背,當然,這不是技術寫作從業者有意為之,而是受跨文化交際過程中文化的差異性和對於目標使用者所使用語言的掌握情況所影響。這就要求技術寫作從業者要有較強的跨文化交際意識和熟練的雙語轉換能力,如此一來才能在技術文檔的當地語系化過程中提供目標使用者理想的服務。

(三)技術寫作如何滿足目標使用者的需求

明晰了目標使用者是誰和需要什麼樣的服務後,就要考慮如何滿足目標使用者的需求。鑒於技術寫作 文檔多以書面形式呈現,要創造出目標使用者滿意的技術文檔,也只有在文字、語言、排版和設計上下功夫。 字體恰當、字型大小適中,語言能夠被使用者所理解,排版舒適,設計得當,查找方便,沒有歧義,就是一份用 戶滿意的技術文檔。因此在進行技術寫作時,就要設身處地的為用戶著想,站在用戶的角度來進行相關部 署和安排。

三、用戶角度思維對於技術寫作的啟示

使用者對產品的滿意程度除了與產品本身有關之外,與其相關聯的技術文檔的品質高低也關係密切。 在對上述三個問題進行了解析後,自然而然的得出了用戶角度思維對於技術寫作的三個啟示。

(一) 對標產品使用者群體來精准畫像

通常使用者的需求資訊是多方面的、動態的、模糊的、猶豫的和主觀的,很少有用戶具有清楚地自我需求資訊描述能力,並且使用者之間還存在較大的差異性®。技術寫作從業者在進行技術文檔創作時,首先要對自身所處行業有清晰的瞭解,對文檔相對應的產品要了然於心,正如葉子南先生所說,只有自己完全理解了的東西才能將其表達出來。在此基礎之上,技術寫作從業者要對目標使用者群體進行精准畫像,瞭解使用者群體的特徵。比如:用戶群體受教育程度的高低,用戶群體的審美傾向,用戶群體的閱讀習慣,用戶群體的主要年齡分佈情況等等,以此來進行文檔設計。此外,還可以創建一個使用者回饋資料庫,用來記錄使用者對於當前或者已發行文檔的滿意之處和建議,以便於在後續的文檔設計中揚長避短。

比如,巨人網路集團股份有限公司在進行校園招聘時[®],其招聘網站的設計就對用戶進行了精准畫像。 巨人網路是一家以網路遊戲為發展起點的綜合性互聯網企業,遊戲是其主要業務。此次招聘面向的是高校 應屆生,用戶為21-25 歲左右的學生,且崗位主要是遊戲開發工程師、資料開發工程師、遊戲美術設計師等 跟遊戲相關的崗位,因此該公司在招聘網頁設計時以遊戲介面來作為主調,其資訊佈局、崗位查詢方式和簡 歷投遞方式都以遊戲的形式來體現。這樣的資訊傳播方式一方面一改傳統的官方資訊發佈形式,讓應聘人 員眼前一亮,能吸引更多的優秀人員應聘;另一方面符合公司的文化宗旨,以此方式招聘進來的員工多為認 同該公司文化的人員,也有助於公司的長遠發展。

(二) 對標不同層次需求來策劃內容

馬斯洛需求層次理論將人類的需求從低到高分為了五個層次,分別是生理需求、安全需求、社交需求、 尊重需求和自我實現的需求。現階段,馬斯洛需求層次理論已運用到生活中的方方面面,比如企業管理、高 校教育、文學作品分析和社區規劃等等[®]。技術寫作工作者在文檔設計的過程中,也可以將馬斯洛需求理論 運用到其中,根據目標使用者不同層次的需求來策劃內容,一方面可以降低文檔寫作過程中的成本,另一方 面可以降低用戶在使用文檔時產生困惑的幾率,讓使用者能夠根據自身的需要快速匹配到相應的服務,提 升文本可用性和準確性。

比如,蘋果公司官網在進行旗下產品 MacBook 筆記型電腦宣傳時,就很好地根據目標使用者不同層次需求來策劃相應內容[®]。首先 Mac 系列有三款產品,分別為 MacBook Air、MacBook Pro 13 英寸和 MacBook Pro 14 英寸/16 英寸。這三款筆記型電腦的配置不同,其主要用途和面向群體也不同,因此蘋果公司官網就這三款電腦放在同一個介面,每款電腦下方依次對應相關的配置,因此使用者在選購時可根據自身需求來直接選擇心儀產品,而不用反復流覽不同介面,節省了使用者的時間和精力,也提升了用戶體驗。其次蘋果公司還在該頁面設置了 Apple at work 和 Apple 與教育兩個專欄,專欄裡分別介紹了該公司不同產品在商務和教育領域的優勢,方便不同領域的使用者選擇合適自己的產品。最後針對首次使用 Mac 系列產品或者對於 Mac 系列產品還不是很熟悉的用戶,蘋果公司還專項設計了 Today at Apple 線上課程欄目,欄目裡有蘋果公司培訓師線上教學 Mac 的基本使用技巧,方便用戶學習。

(三) 對標地域用戶喜好來打磨表達

在文化視域下,思維支配其語言,語言決定其思維,二者相互作用、水乳交融、錯綜複雜,構成了多姿多彩的語言形式和內容[®]。我國國內有 56 個民族,每個民族都有自己的習俗;全世界有 233 個國家和地區,每個國家和地區也都有自己的文化。對此,技術寫作工作者在進行文檔開發當地語系化時,既要考慮產品文案的特定情境語境,又要考慮目標客戶的文化語境,瞭解目標客戶的文化背景,選擇符合其思維模式的表達

方式^⑤。如此一來,一方面能夠拉近與目標使用者之間的距離,在情感上引發共鳴;另一方面以使用者習慣的表達方式來組織行文,能夠減少使用者的閱讀障礙,提升使用者對產品的認可度。

在這方面,華為公司的網站宣傳設計就是一個很好的典範。每個消費者都在一定的文化環境中生活和成長,其思想意識必然受到不同文化環境的薰陶,而且這種薰陶是潛移默化、根深蒂固的。因此在進行廣告宣傳的時候,廣告物件的文化背景都是一個不能忽視的因素®。華為公司的官網在進行產品宣傳時,針對產品面向的不同市場使用者設計了專門的介面。在語言選擇介面中共有 125 個國家和地區可供選擇。對於同一種產品,不同國家和地區的宣傳側重點和宣傳標語都有所不同;即使是對於使用同一種語言的國家,華為公司的網頁設計和宣傳語的表達也有所差距(詳情可見華為公司官網:https://www.huawei.com/cn/?ic_medium=direct&ic_source=surlent),這背後體現的就是華為公司以目標使用者為中心,對標不同地域使用者的喜好來進行產品宣傳。

四、結語

互聯網時代的到來使資訊產生了爆炸式增長,互聯網技術的不斷發展也使得資訊獲取越來越便利,但 與此同時,繁複的資訊也增加了人們檢索符合自身所需要資訊的難度。技術傳播從業者在進行技術文檔寫 作時,應樹立用戶角度思維,要清楚自身的目標使用者是誰,目標使用者的需求是什麼和如何為目標使用者 提供需求,在此基礎之上對標產品使用者群體來精准畫像、對標不同層次需求來策劃內容和對標地域使用 者喜好來打磨表達,創作出符合企業規範和滿足客戶要求的技術文檔。

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A Technical Communication Approach to Website Technical Translation of Chongqing Manufacturing Enterprises: A Case Study of *About Us*

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Abstract: In the era of globalization and internetization, a growing number of manufacturing enterprises in Chongqing plan to "go global". The enterprise webpage, the online portal of the enterprise, plays an important role. At present, domestic translators' understanding of webpage translation is still limited to text translation due to the influence of traditional translation ideas, resulting in poor readability and usability of English webpages of Chongqing manufacturing enterprises. Therefore, this paper compares the English webpages of local manufacturing enterprises in Chongqing with those of well-known foreign manufacturing enterprises. From the perspective of technical communication, taking the *About Us* as an example, this paper explores the relationship between technical communication and the English webpages of manufacturing enterprises, the presentation of webpage text, the translation of text content and the standard of the logical structure of the text, in order to help translators more accurately understand the task and the process of webpage technical translation.

Keywords: technical communication; *About Us*; technical translation; readability; usability

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技術傳播視閾下重慶製造業網站英譯的 技術翻譯研究

——以「企業介紹 |板塊為例

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摘 要:在全球化和互聯網化的時代,越來越多的重慶製造企業計畫「走出去」,而企業對外的門戶——企業網站在其中起著重要作用。當前國內譯者對網站翻譯的認識受傳統翻譯思想的影響,仍局限于對文本的翻譯,導致重慶製造業企業英文網站可讀性和可用性較差。因此,本文對比了重慶本地製造業英文網站以及國外知名製造業企業的英文網站,並在技術傳播視閩下,以重慶製造業企業網站的「企業介紹」板塊為例,探索技術傳播與製造業英文網頁的關係、網頁資訊的呈現形式、文本內容的譯寫以及文本邏輯結構標準等問題,以期說明譯者更準確地認識網頁的技術翻譯任務和流程。

關鍵詞:技術傳播;企業簡介;技術翻譯;可讀性;可用性

基金專案:2021年重慶市社會科學規劃專案(2021WYZX23):技術傳播視閩下製造業外宣網頁技術翻譯研究;2021年重慶市教育委員會人文社會科學研究專案(21SKGH075):全球治理視閩下語言+技術傳播人才培養的理論與實踐研究;2021年度重慶市年高等教育教學改革研究重點項目:技術傳播助推行業高校新文科外語專業高品質特色發展的探索與實踐(212063);2021年重慶市研究生教育教學改革研究專案(yjg213086):「新基建」驅動下「英語技術寫作 |線上線下專案式教學模式研究。

引言

在當今全球化和數位化的大背景下,越來越多的中國企業正走向世界。在這一過程中,企業外宣網站起著至關重要的作用,是企業走向世界的視窗,更是各國客戶對企業的第一印象,因此,一個好的外宣網站對企業「走出去」有著舉足輕重的作用。

重慶是西南地區最大的工商業城市、國家重要的現代製造業基地,正成為聯通「一帶」和「一路」的內陸國際貿易物流樞紐。據 2019 年第二屆「一帶一路」國際合作高峰論壇上的資料顯示,截至 2019 年 3 月底,中歐班列(重慶)已累計開行 3552 班次,占全國中歐班列的 25%,總貨值 1340 億元,位居所有中歐班列前列; 2019 年第一季度,中歐班列(重慶)開行班次更是同比增長 2.4 倍。

近年來,關於企業外宣網站的英譯研究越來越多,但大多是以學校、旅遊景點、文化企業等機構的網頁為研究物件,以目的論、功能論、生態翻譯學等角度進行研究(俞德海,2018;邢傑,張群,莊慧慧,2017;範勇,2005;範勇,2009;焦豔偉,2019)^{①②③④⑤}。現有的研究主要聚焦於對等反應、原文譯文修辭、重新語境化、語料庫等宏觀視角,從技術傳播的視角研究外宣網頁翻譯較少,未能提及受眾分析、資訊的體驗性、可用性、頁面設計、譯後編輯等微觀可操作、可移植層面,缺乏研究的全面系統性。本文在技術傳播視角下,以重慶市製造業企業英文網站的「企業簡介」板塊為研究物件,探討企業技術傳播過程中其製造業網站的技術翻譯。

一、技術傳播與重慶製造業企業英文網站

技術傳播的過程涉及到兩個方面的內容,一個是技術,一個是傳播。技術是指其涵蓋的主要物件和方式,即技術傳播的內容是技術或專門領域的各種相關資訊,如技術支援的產品、服務介紹、產品使用說明、操作指南等,技術傳播的方式往往依託現代技術,如軟體技術、互聯網技術、人工智慧等;傳播指將資訊從一方運送到另一方,其中的媒介包括網頁、手冊等。可見,技術傳播的目的是讓受眾能夠高效地使用、理解、接受某一技術、產品或服務,達到受眾的某一目的或說明受眾完成某一任務,讓受眾滿意。技術翻譯不僅僅是局限于翻譯科學技術類專業文字,而是對一切在技術傳播中所使用的媒介文本的翻譯,可以說科技翻譯只是技術翻譯中的一小塊,二者不能畫上等號。

重慶是我國重要的智慧製造業基地。根據重慶市政府印發的《重慶市發展智慧製造實施方案(2019-2022年)》,計畫到2022年,累計推動5000家企業實施智慧化改造,創建25個行業級智慧製造標杆企業。英文網站是重慶製造業在發展過程中主要的外宣視窗,在向國外使用者展現重慶智慧製造企業良好形象的過程中起到至關重要的作用。

通過研究重慶市 2016—2019 年製造業年度百強企業名單,發現我市製造業企業大多對其英文網站建設意識淡薄,前十榜單中只有一半的企業有英文網站,且主要是汽車製造業,如長安、力帆、宗申等企業。此外,我市製造業企業的英文網站存在水準參差不齊的現象。機車製造企業如長安、力帆、宗申的英文網頁較為規範美觀,而電腦製造企業達豐公司和控股集團隆鑫公司的英文網站則稍顯遜色,有許多可改進之處。目前重慶智慧製造企業英文網站文本建設現狀令人堪憂,主要表現為:直接把中文網站涉及文本的資訊架構、內容翻譯成英文;忽略目標受眾在流覽閱讀過程中的實際需求,可讀性、可用性、資訊體驗差。因此,大力加強英文網站文本的分析與構建尤顯必要。

企業網站是企業在互聯網上進行行銷與企業宣傳的平臺,是企業在網路上的對外視窗,其建設目的是服務網路行銷,所以不僅發揮宣傳作用,同時發揮產品行銷功能。企業可通過企業網站進行企業、產品資訊的發佈,吸引潛在客戶,從而為企業創造更多商業機會[®]。對外經濟貿易大學博士生自正權[®]曾對中國深滬兩市 A 股上市公司中的 200 家來自不同地區的製造業企業進行研究調查,發現企業出口績效與企業是否擁有外文官方網站顯著正相關。Logistic 回歸結果中,企業出口強度的係數是 0. 195,顯著性為 0. 001,說明企業的出口強度對企業是否擁有外文官方存在顯著的影響,即出口強度越大的企業,越傾向於擁有外文官方網站。語言翻譯與企業出口績效正相關。語言翻譯與企業出口銷售的相關係數為 0. 267,在 1%顯著性水準上顯著相關;與企業出口利潤的相關係數是 0. 312,在 1%顯著性水準上具有顯著的相關性。語言翻譯對企業出口銷售的影響之回歸係數是 1. 33,對企業出口利潤的影響之回歸係數為 1. 398,均在 5%顯著性水準上影響顯著。在語言翻譯的兩個評價指標中,內容全面性與企業出口銷售的相關係數為 0. 265,在 1%顯著性水準上果有顯著的相關性;內容全面性與企業出口利潤的相關係數為 0. 337,在 1%顯著性水上上呈現出顯著的相關性。內容全面性對企業出口到價的相關係數為 0. 337,在 1%顯著性水上上呈現出顯著的相關性。內容全面性對企業出口銷售的影響之回歸係數為 0. 427,對企業出口利潤的影響之回歸係數

為 0.545, 都是在 5% 顯著性水準上呈現出顯著的影響。文本易讀性對企業出口銷售的影響之回歸係數為 1.568, 對企業出口利潤的影響回歸係數是 0.887, 均在 5% 顯著性水準上具有顯著影響。

因此,製造業網站的翻譯對企業「走出去」具有舉足輕重的影響。這也是製造業企業建立英文網站的主要原因之一,即吸引潛在用戶,讓網站流覽者迅速瞭解企業、接受企業產品或服務,並對企業產品和服務產生興趣和好感。因此,製造業網站的翻譯可以說是傳播、推廣製造業企業相關技術產品、以吸引受眾/客戶為目的,以互聯網技術為依託的一種技術傳播。國內製造業的英文網站不僅僅是英譯中文文本,而是屬於一種以英語為語言的技術傳播平臺。

Byrne 認為,技術翻譯是一種交際服務,以滿足對技術資訊的可理解性、清晰度以及交付速度的明確要求,使技術資訊更易於獲取®。可見,技術翻譯的目的是為了讓資訊更易於獲取,是文本清晰易懂。而資訊和文本都是服務于並且作用于讀者的,因此,技術傳播的第一步,便是確定目的和受眾。技術傳播的首要特點也是與特定讀者溝通、幫助讀者解決問題。技術傳播是傳遞科學、知識工程、技術或其他技術資訊的一種方式,其中包括人們發現、塑造和傳遞資訊的一系列活動。然而,由於整個過程涉及的人員情況的複雜性,以及這整個過程的核心是與人合作等緣故,技術傳播的形成具有很大的挑戰性。該過程涉及三個因素,分別是與受眾、目的和文檔相關的因素。技術傳播中的技術寫作和其他類型的寫作最大的區別就在於,技術傳播的受眾和目的非常不同。因此,技術傳播者應以不同的方式呈現關鍵資訊,從而去滿足特定受眾的需求®。

在這一視角下,製造業英文網站首先要以用戶為中心,為用戶流覽網站創造最佳體驗是網站翻譯的核心要求。也就是說,英文網站要以英美國家用戶為中心,適應英美國家用戶的需求,這就要求企業在英譯時對網站的內容、排版、格式等方面作出調整再進行翻譯。而國內的很多製造業企業缺乏這方面的意識,英文網站大多僅是翻譯文字。這對英美用戶的流覽不友好,網站不能有效地發揮宣傳、行銷作用。使用者在閱讀技術類文本時通常有以下四個障礙¹⁰:

- 干擾因素過多
- 讀者沒有耐心找到所需資訊
- 讀者缺乏相關專業知識
- 多個讀者共同決策

其中,前三個障礙既是受文本自身特殊性的影響,也是譯者翻譯不當引起的。在網站翻譯中,用戶需求和體驗感的重要性更加明顯,譯者的責任也更加突出。譯者要將技術傳播的思維和標準運用到中國製造業企業的英文網站製作上,排除國外用戶流覽網站的干擾因素,合理處理網站資訊,簡化專業用語等幫助網站更好地發揮作用,促進企業「走出去」。

二、重慶製造業網站英譯的資訊呈現形式

企業在製作英文網站時,首先要進行需求分析——企業製作英文網站的需求以及網站目標使用者的需求。企業的需求是通過網站對企業進行宣傳、吸引國際客戶,擴大其在全球的業務範圍,促進企業的進一步發展。而英文網站的目標使用者往往都是外國人,受文化因素的影響,國內和國外網站的佈局和設計有一定區別。影響網站設計可用性和易用性有6個設計維度,包含18個常見屬性(見表3-1)^⑪,中英企業網站的設計在這些屬性方面有明顯的不同,而不同文化背景的用戶對這些設計有不同的看法和審美。

设计维度	属性	释义
	文本集群数量	根据颜色、边框或列表等分隔开的文本区域数量,排除超链接集群。
	动画元素数量	动画、移动的文本或图形元素的数量
页面加载速度	主页图片数量	主页中的图像、图片等,包括具有超链接的图片,排除徽标
	背景音乐	是否存在背景音乐
	开始 Flash	是否存在进入主页需要点击的 Flash 动画
	主页颜色数量	主页中使用的颜色的数量(同色系不同色调也被认为是多种),排除徽标,图片、图像中的颜色
11 da 1 aba	主页背景纹理	主页的背景纹理是否平坦(没有花纹或单种颜色视为平坦)
业务内容	联系方式	是否有联系组织的方式(电子邮件),或给站点与组织提供建议的选项
	Logo	主页中是滞有 Logo 徽标
	客户服务	主页是否提供在线客户服务
	搜索框	主页是否具有搜索引擎功能
	网站地图	是否有可以访问的网站地图
导航效率	弹窗广告	是否有弹窗广告
1 7000	一致的设计	指定站点中的所有页面是否具有相似的设计特征,例如相同的颜色或相同的项目排列
	超链接的数量	构成元素或图形或图像元素的超链接数
安全性	网站安全	是否提供有关站点安全性的信息
女王庄	版权声明	是否有版权声明
营销/客户关注	语言选择	除了默认使用的语言之外是否可以使用其他语言

表 3-1 常用網站設計屬性

因此,在技術傳播的視角下,技術翻譯首先應該以用戶為中心。由於中外文化具有差異,企業中文網站是依據國內用戶所特有的閱讀習慣、審美標準以及文化背景而設計的,並不適用於國外的用戶,因此譯員作為中間媒介,其任務就是要將源文內容清晰準確地傳遞給用戶,使其符合用戶的閱讀習慣、審美標準、文化背景等。Coe 的洋蔥理論(見圖 3-1)將使用者正確接收源文內容所需要的過程進行了總結[®]。讀者處於洋蔥最核心的位置,距離使用者最遠的才是內容層,讀者需要撥開好幾個潛層(subtext)即媒介層、導航層、呈現層才能抵達內容層。技術傳播就需要為讀者選擇合適的媒介,設計清楚直觀的導航,創立支援性的呈現方式,讓內容能夠明晰通達地傳遞到讀者。當讀者接觸新內容時,他們期待新內容的提供者能尊重理解他們世界中原有的組成元素。內容提供者被看作是受邀客人到訪讀者世界,讀者希望內容提供者和所提供的內容都能順應吻合這世界原有的習慣特徵。要滿足讀者這樣的期待需要借助技術傳播和技術寫作規範才能有效實現。譯者要為使用者選擇一個恰當的媒介,製作直觀清晰的導航,設計既能夠支援內容又易於理解的呈現形式。

基於此,企業英文網站在傳達資訊時不宜以幾段甚至長篇的文字為形式向國外使用者進行介紹、宣傳或說明,而是將原有的中文文本資訊進行適當視覺化處理,提高英文內容的可用性和可讀性。本文以企業網站中的企業介紹板塊為例,對比了7家重慶製造業企業和8家外國製造業企業的網站頁面配置,見表3-2

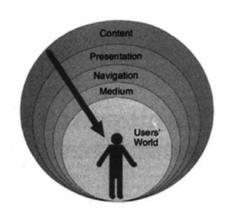


圖 3-1 用戶世界洋蔥圖

和表 3-3:

	企業介紹板塊 名稱	該板塊目錄下 是否再分成 多個欄目	板塊內容	板塊風格	網頁主要部分 是否有超連結 設計
重慶機電控股有限公司	重慶機電	集團介紹 董事長強 組展歷 發展歷 全 業 衛 大 作 下 等 十 十 十 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一	文字、靜態圖片、結構 圖、時間軸、視頻	無特殊風格	無
隆鑫控股有限公司	關於隆鑫	公司介紹 發展歷程 領導關懷 隆鑫事業創始人 隆鑫榮譽 聯繫我們	文字、靜態圖片	字體凹凸效果設計、固定位置的導航	無
重慶小康集團	走進集團	集團概況 發展歷耀 集團文化 党群建設 社會責任	文字、靜態圖片、時間軸、示意圖	大尺寸的底部	無
重慶京東方科 技集團股份有 限公司	關於我們	概覽 公司介紹 管理團隊 企業榮譽 社會責任 BOE 全球	文字、圖片、清單	豐富的使用者動態交 互設計、扁平化設計、 大尺寸的底部	有

续表3-2

	企業介紹板塊 名稱	該板塊目錄下 是否再分成 多個欄目	板塊內容	板塊風格	網頁主要部分 是否有超連結 設計
重慶平偉科技有限公司	走進平偉	集團簡介 發展歷程 資質榮譽	文字、靜態圖片、時間軸	大背景圖、大尺寸的 底部、類比化視窗	無
重慶惠科金渝 光電科技有限 公司	公司概況	集團簡介 公司介紹 發展歷程 企業榮譽 企業文化	文字、靜態圖片、示意圖、時間軸	簡單的使用者動態交 互設計	無
東方鑫源集團有限公司	走進鑫源	公司介紹 集團榮譽 發展歷程 聯繫我們	文字、靜態圖片、時間軸、視頻	無特殊風格設計	有

表 3-2 重慶製造業企業網站「企業介紹」板塊情況

	企業介紹 板塊名稱	該板塊目錄下是否 再分成多個欄目	板塊內容	板塊風格	網頁主要部分 是否有超連結 設計
Lippert Components	Company→ About Us	無	圖片、文字、 視頻	圖片輪播效果設計、大字體排版、扁平化設計、 深布流式佈局、大尺寸 的底部、固定位置的 導航	有
General Motors	Our Company	About GM Leadership Inclusion Advisory Board GM in the U. S. Sustainability Report Social Investment	圖片、文字、 清單	大字體排版、使用者動態交互設計、動畫效果	有
General Electric	About Us	GE leadership History ESG FAQs Contact us COVID-19	圖片、文字、 散點圖	豐富的使用者動態交互 設計、圖片輪播效果設 計、大字體排版、大背景 圖、類比化視窗、大尺寸 的底部	有
Ford	About Us	Our Purpose Our Leadership Our History Our Culture Our Brands	文字、圖片、 示意圖、視 頻	扁平化設計、瀑布流式佈局	有

续表3-3

	企業介紹 板塊名稱	該板塊目錄下是否 再分成多個欄目	板塊內容	板塊風格	網頁主要部分 是否有超連結 設計
Daimler	Company	Company Strategy Business Units Corporate Governance Compliance Tradition Locations	文字、圖片、表格	扁平化設計、瀑布流式 佈局、大尺寸的底部、簡 單的使用者動態交互設 計、類比化視窗	有
IBM	About IBM	Annual report; Career opportunities; Corporate social responsibility; Diversity & inclusion; Investor relations; News & announcements; Thought leadership; Security, privacy & trust;	圖片、表格、 文字、動畫、 視頻	扁平化設計、使用者動態交互設計、類比化視窗、大量豐富的多媒體板塊、大尺寸的底部	有
Boeing	Our Company	GENERAL INFORMATION; BOEING DEFENSE, SPACE& SECURITY; EXECUTIVE BIOGRAPHIES; BOEING GLOBAL SERVICES; CORPORATE ORGANIZATIONS; KEY GOVERNANCE; BOEING COMMERCIAL AIRPLANES; TOURS	文字、圖片、清單、示意圖	簡單使用者動態交互 設計	有
Hewlett Packard	About Us	無	文字、圖片	大字體排版、使用者動 態交互設計	有

表 3-2 國外著名製造業企業網站「企業介紹」板塊情況

觀察這兩個表格可以看出,雖然重慶製造業企業網站和國外製造業網站基本都是由文字、圖片和表格等構成,但網頁風格有較大差距。前者的「企業介紹」板塊網頁風格特點並不明顯,網頁內沒有超連結,基本上就是在大段文字中鑲嵌圖片和表格;而後者在「企業介紹」板塊的一級頁面中含有豐富的使用者動態交互設計,可以吸引網站用戶的注意。一級頁面只呈現了主要資訊,以文本或圖片為超文字,創建超連結連接到二級甚至三級頁面,以供使用者瞭解更多資訊;或者設計按鈕符號,將詳細資訊的文本放入可折疊或展開的文字方塊中。這種佈局和設計更直觀地呈現了企業介紹的最基本資訊,能讓使用者更快瞭解企業最重要的資訊,更方便地找到有用資訊,使網站更具可讀性和可用性。因此譯者所擔任的角色不僅僅是一個翻譯人員,也是一個網站的設計工程師。譯員要跳出源文的束縛,對源文的基礎上進行二次創作,使譯文兼具可讀性、可用性和視覺美觀。這就是在技術傳播視閱下對網站進行技術翻譯與傳統翻譯視角下英譯最大的差別。

三、重慶製造業英譯網站文本的技術翻譯

(一) 文本内容的譯寫

呈現方式問題確認後,譯者在翻譯文本時,也要秉承用戶為中心的原則。為此,譯者要清楚中英企業網站文本的差異,使英文網站的文本符合英美國家的語言習慣。本文以網站企業簡介板塊的文本為例進行探討。

從語言層面來看,首先,中國企業簡介常常用概括性的陳述。中國屬於高語境文化,企業簡介往往是概括性地說明企業的地位、實力和發展歷程,例如說明公司的發展歷程時,公司通常概括性說明創立之初的業務範圍以及當前的業務範圍,較少陳述具體的資料。而英美企業更偏向於用直接的數位和直觀的圖表,如企業的營業額、員工數、已有客戶群體等。此外,中國的企業常常使用複雜的中國式套話,如「……被授予/榮獲/秉承優良傳統/成為了……」,英美國家的企業簡介等更喜歡用簡單化的口語表達,讓客戶或消費者易於理解。其次,中文喜歡用豐富華麗的詞藻,並且喜歡用鬆散句、短句和流水句,常常使用比喻、擬人、排比、對偶等修辭手法,文本內容朗朗上口;而英文則更傾向用客觀地簡單詞和嚴謹的主謂結構的句子,使文本顯得客觀簡潔。

從文化層面看,中國人深受集體主義文化的薰陶,而英美國家尊崇個人主義,因此中國的企業在網站上往往會說明其所屬,強調合作和社會福利;而英美國家的企業更喜歡介紹其創立者、品牌和公司起源。中國文化屬於高語境集體價值觀文化,因此除了說明公司的產品、技術和服務以外,還會列出企業所獲得的獎項和稱號,以強調企業的成就和實力;而英美國家文化屬於低語境個人價值觀文化,企業簡介更傾向於介紹拳頭產品、相關資料、客戶回饋和科技創新成果。

從文體層面看,中國企業在其網站上的文本表達一般以說話者為中心,通過重複企業名稱時文本看起來客觀,同時強調了企業名稱;而英美的企業往往是以讀者為中心,多使用「we」、「us」、「you」這類第一人稱和第二人稱的表達,拉近與客戶的距離。並且,由於中國人屬於綜合性思維,中國企業網站文本邏輯大多是從分到總的歸納式推理,而英美人屬於分析性思維,企業多是從總到分的演繹式推理,讓流覽者直接獲取最重要的資訊。

因此,譯者在翻譯網站的文字時,不能照字全翻,而是要以英美用戶為中心,對源文進行當地語系化處理。以此為基,筆者流覽調查了2020年重慶製造業前30強企業的中英文網站。各個公司的網站英譯水準參差不齊,其共同特點是逐字翻譯全文,基本沒有刪改,甚至不少企業缺失英文版網站。其中最為典型的是重慶小康集團公司網站中的「公司簡介」頁面,中英文介紹如下:

【案例一】

重慶小康工業集團股份有限公司(以下簡稱集團)是一家成立於 1986 年的混合制制造型企業,從一根彈簧,發展到一支減震器,到一台摩托車,到一輛汽車,公司秉承「推動汽車能源變革,創享智慧移動生活」的使命,深刻踐行「一切為了用戶,超級奮鬥,擁抱改變,誠信可靠,價值共用」的核心價值觀,正由傳統汽車向智慧汽車、由傳統製造向智慧製造轉型升級,追求高品質發展,為實現「成為全球智慧汽車品牌企業」的願景而努力前進。員工超過 10000 人,A 股上市公司,中國企業 500 強。

Chongqing Sokon Industrial Group Co., Ltd (hereinafter referred to as the Group) is a mixed-ownership manufacturer founded in 1986. Starting from a spring to a shock absorber, a motorcycle and a car, the Group adheres to the mission of "driving the automotive energy transformation and creating an intelligent mobility

lifestyle", and puts into practice its core values of being "user-centric, diligent, change-oriented, trustworthy and value-sharing". It is promoting transformation and upgrading from traditional vehicles to intelligent vehicles and from traditional manufacturing to intelligent manufacturing, and pursuing high-quality development so as to realize the vision of "becoming a global branded enterprise of intelligent vehicles". The Group is an A-share listed company and one of the top 500 companies in China, with over 10,000 employees.

上述中文文本首先介紹了公司的所有制類型,接著概括了公司的發展歷程,說明了公司的理念、當前任務和最終目標,最後簡述公司成就。文中多次用到四字詞和排比,且先說理念、做法再說目標,屬於歸納式推理。而在企業的英文版網站中,對企業的介紹很明顯是按照中文版文本全部直譯,並且所有文字冗雜在一起,基本沒有任何調整,顯得比較生硬無趣,不能吸引用戶的注意。從技術傳播的視角來看,這種翻譯沒有做到以用戶為中心,國外潛在客戶或消費者流覽網站時獲取資訊困難,不利於企業對外宣傳和發展。為了探究重慶企業英文網站是否符合用戶需求,筆者流覽了多家美國企業的英文網站進行對比,其中美國著名汽車公司通用汽車公司網站中的文字節選如下:

【案例二】

Our goal is to deliver world-class customer experiences at every touchpoint and do so on a foundation of trust and transparency.

WHY WE'RE HERE

Our mission is a world with zero crashes, zero emissions and zero congestion.

Our diverse team of 155, 000 employees brings their collective passion for engineering, technology and design to deliver on this ambitious future. And the bold commitments we've made are moving us closer to realizing this vision.



WHO WEARE

Together, for everyone

Headquartered in Detroit, Michigan, with employees around the world, General Motors is a company with global scale and capabilities.

- Employing over 155, 000 people
- Serving six continents
- Operating across 22 time zones
- With a diverse workforce speaking 75 languages

HOW WE ACT

These are the behaviors by which we measure ourselves

We aspire to be the world's most inclusive company and to conduct ourselves with fairness and transparency toward everyone we interact with.



可以看出,通用公司在介紹企業時,在組織方式上,使用了小標題加模組化的形式,把簡介分為了 WHY WE'RE HERE,WHO WE ARE,HOW WE ACT 三個模組,行文簡潔,多次用到第一人稱,同時使用了清單清單式語言,多用平行結構,減少了讀者閱讀時的認知努力。通用公司首先介紹目標,再介紹公司的現狀,最後是做法和計畫等,為演繹式推理。重慶製造業企業英文網站文本應該以英美使用者為中心,以英美企業網站文本特點為標準。重慶製造業企業網站英譯時,其文本應符合技術傳播的要求,以英美使用者的語言習慣為標準進行翻譯,注意語言簡潔、靈活,資訊有效直觀,充分考慮中英文化差異。

(二)文本邏輯結構標準

邏輯結構的譯寫是技術翻譯中非常重要的一步,也是最體現譯者能力的環節。譯者需要充分理解源文的邏輯關係並進行資訊加工,在此基礎上對源文進行視覺化處理,使譯文邏輯關係清晰直觀。換言之,在進行翻譯時,譯者應該有策略地進行創譯,以突出文本結構,吸引網站流覽者的注意力。

為此,譯者需要瞭解在技術傳播中常見的邏輯結構,筆者總結 Markel 在 Technical Communication 中提到技術資訊常見的組織模式有 8 種[®],見下表:

時間順序	正序或倒序: • 使用指示性語言或符號 • 借助圖表,如時間軸、流程圖 • 對某一時間段所發生的事情或者操作說明進行適當描述
空間順序	選擇一個空間組織原則,如從上到下、從左到右、由裡及外: • 使用指示性語言或符號 • 借助圖表,如示意圖、圖示、照片和地圖 • 對某一空間或物體進行適當描述
概括→具體	首先總述主要資訊,再做具體闡述: ● 使用指示性語言 ● 借助圖表,如關係圖、層次結構圖
重要→次要	首先陳述最重要的資訊再說明次要,再到次次要或者省略次要資訊,以此類推,如在介紹新產品;產品特色(→價格→市場······): ● 使用指示性的語言或符號 ● 借助圖表,如示意圖、清單

续表4-1

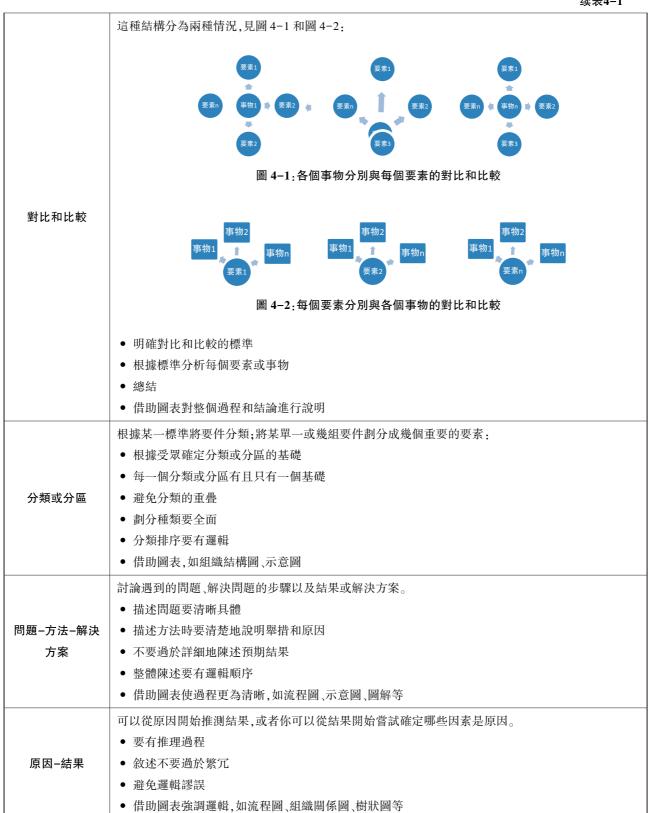


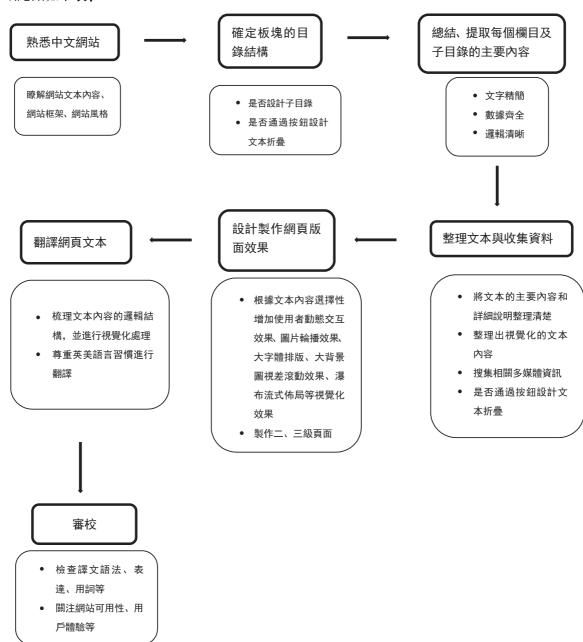
表 4-1 技術資訊的組織模式

在英譯企業的網站時,譯者應該將原有的中文文本按照上述表格進行視覺化處理,突顯文本邏輯結構,

使網站內容直觀清晰,便於使用者獲取資訊,提高效率,優化流覽感受,給用戶留下良好印象。值得一提的是,譯員在翻譯完成後應注意檢查網站翻譯結果,關注用戶回饋。譯後對英文網站的使用感進行檢驗時,可使用 Tomlin[®]提出的使用者感優化步驟對英文網站的使用感進行定性和定量的分析,即定義使用者、行為使用者體驗資料分析、使用者體驗和可用性測試、分析結果並進行優化,以期取得最佳的技術傳播效果。

四、結論

綜上所述,重慶製造業企業要「走出去」就要優化其英文網站的翻譯,而在技術傳播的視閾下,譯員實際上是一名技術傳播者,其工作不僅是翻譯文字,而是資訊架構師、技術寫作者、技術編輯、技術繪圖師等多重角色^⑤,要確保網頁的可讀性、可用性,滿足用戶需求。基於以上討論,本文對整個製造業網頁翻譯流程及注意事項總結如下表:



注釋

- ① 俞德海:《立頓美國網站對中國茶企網站翻譯的啟示》,中國科技翻譯 2018 年版,頁 22-24+35。
- ② 邢傑,張群,莊慧慧:《粤港臺旅遊景點英漢雙語網站對比分析》,廣東外語外貿大學學報 2017 年版,頁 57-64。
- ③ 範勇:《目的論觀照下的翻譯失誤——一些大學網站英文版例析》,解放軍外國語學院學報 2005 年,頁 70-72 版+88.
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- ⑤ 焦豔偉:《生態翻譯學視角下政府網站外宣翻譯研究——以陝西省各級人民政府網站為例》,南昌教育學院學報 2019 年版, 頁 111-115。
- ⑥ 譚曉林,趙定濤,謝偉:《企業電子商務採納的影響機制研究——以企業網站建設仲介效應為例》,中國軟科學 2017 年版,頁 184-192。
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- @ Marlana, C. (1996). Human factors for technical communicators. Hoboken, New Jersey: John Wiley & Sons, Inc.
- (3) Mike, M. (2015). Technical Communication. London: Macmillan.
- ① Craig, W. T. (2018). UX optimization: Combining behavioral UX and usability testing data to optimize websites. New York: Apress.

(Editors: LI Ruobing & LENG Xueyuan)

Research on Principles and Strategies of Software Localization Translation:

A Case Study of the English-Speaking Market Delivery of Operation Supporting System of Telecom Operators

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Abstract: Software localization translation is an important factor in software globalization. However, due to the complexity of the product, the diversity of users, and different social and cultural backgrounds, software localization faces many challenges in the overseas delivery process. Based on the delivery characteristics of the domestic telecom operators' operation supporting system, combining the translation and technology communication approaches, this paper analyzes the principles of software localization translation and puts forward the relative strategies. On the basis of textual translation strategies, wide knowledge and good application abilities of computer-assisted translation technologies, structured writing technologies, and user interface redesign are the key points to guarantee the textual accuracy and clarity, and task orientation, usability, and uniformity of deliverables so as to improve the product utility and enhance user experience as well as satisfaction.

Keywords: software localization translation; operation support system of telecom operators; technical communication; principle and strategy

Notes on the contributor: YANG Lingqing is a teaching assistant at the School of Foreign Languages, Chongqing University of Posts and Telecommunications, Chongqing, China. She has a six-year of working experience in software localization translation. Her major research interest lies in translation studies and technical communication.

軟件本地化翻譯原則與策略研究

——以電信運營商運營支撐系統海外英語國家市場交付為例

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摘 要: 軟體當地語系化翻譯是軟體產品走出本國市場的重要環節。由於軟體產品海外交付內容複雜多樣,使用者群體多元,目標市場社會文化背景不一,當地語系化過程面臨諸多挑戰。本文以國內電信運營商運營支撐系統海外交付為例,基於其交付特色,將文本翻譯與技術傳播理念結合分析軟體當地語系化翻譯原則並提出其翻譯策略。在採用不同的文本翻譯方法基礎上,通過文本結構重構、使用者介面佈局調整並結合電腦輔助翻譯、結構化寫作技術等策略確保軟體當地語系化翻譯中語言的準確性與簡明性,以及交付件的任務導向性、使用者可用性與一致性,以提高產品效用,更好服務使用者,提升使用者體驗。

關鍵詞:軟體當地語系化翻譯;電信運營商運營支撐系統;技術傳播;原則與策略

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一、引言

隨著全球化經濟的不斷發展,以及習近平總書記提出的「一帶一路 | 政策的進一步深化,越來越多的中 國企業「走出去」開展跨國商務活動,並將經營範圍擴展到世界各地。資訊技術產業的迅速發展,使其無一 成為了全球化浪潮中的主力軍,進一步推動了當地語系化的發展。軟體產品由於生命週期短、產品升級換 代頻繁、技術變化激烈、最終產品由為數眾多的中間產品構成,使其成為了當地語系化服務的主要物件。^①所 謂當地語系化是將一個產品按特定國家/地區或語言市場的需求進行加工,使之滿足特定市場上的使用者 對語言和文化的特殊要求的生產活動。當地語系化實質是一系列活動,包括:當地語系化專案管理、軟體介 面和文檔翻譯、手冊的桌面印刷排版、當地語系化軟體編譯、測試和品質保證等方面。2而在這些活動之中, 當地語系化翻譯是尤其重要的環節。當地語系化翻譯不同于傳統的翻譯,不單單是源語與目的語之間的語 言轉換,還要充分考慮目的語市場的文化差異、用戶特色等多方面因素。當地語系化翻譯更是一種服務,要 同時兼顧目的語市場的使用者體驗。當地語系化翻譯不僅僅是滿足資訊的語言轉換,同時是技術傳播的載 體。Mike Markel 指出技術傳播是查找、使用資訊和分享原意的過程以及對所寫檔進行應用的過程。³在產品 交付中,技術傳播交付件作為產品的組成部分涉及各種技術類資訊,代表性的類型包括用戶手冊、維護手 冊、參考手冊、培訓手冊、故障排除、技術規格、FAO等等。技術傳播作為當今經濟全球化發展下的重要領 域,力求以恰當、便捷、高效的方式為目標受眾提供有關技術性產品、軟體或服務及伴隨其全部生命週期的 所有資訊,以滿足受眾需求,優化受眾體驗,達到推廣產品或服務的目的。每通過技術傳播,使資訊更為準確, 更易獲取,更易被使用。因此,基於技術傳播理念,以使用者為中心,服務為目的的當地語系化翻譯能給客 戶帶來更多利益,降低企業服務成本,從而成為提升產品品質、使用者體驗、企業競爭力的有效途徑。

二、當地語系化翻譯研究現狀

目前國內外學者對當地語系化翻譯的研究均有一定的成果。國外學者對當地語系化翻譯的研究內容呈現多樣性,主要包括網站或互聯網(網際網路)當地語系化、對外傳播、全球化、距離、翻譯教學等。如:Roturier, J. 從應用程式當地語系化方面介紹了翻譯活動在軟體當地語系化過程中的作用、當地語系化流程及其策略。[®]Brashi 就當地語系化翻譯中的挑戰指出以用戶為中心的當地語系化翻譯方法的重要性,並提出通過敏捷翻譯專案管理方法以確保當地語系化滿意度並適應當地語系化翻譯過程中各種可能變化。^{©而}相比之下國內學者對當地語系化翻譯研究範疇較為局限,主要集中在,當地語系化翻譯活動對比、翻譯品質管制、人才培養方面。如:劉明從發起者、工具、文本、譯者、翻譯技術、翻譯教育等多個方面分析了當地語系化翻譯與其他翻譯實踐的區別。[®]羅慧芳,任才淇從當地語系化和機器翻譯的視角指出在機器翻譯等技術的協助下,當地語系化逐步應用于對外文化傳播的動態構建,以促進對外文化傳播。[®]邢浩通過對金融類文本的翻譯技巧、策略和原則進行分析強調加強金融類當地語系化翻譯實踐探索、應用型當地語系化翻譯教學和人才培養力度的重要性。[®]總的來說,相較于其他翻譯研究,當地語系化翻譯研究的規模仍然較小,且在中國期刊全文資料庫(CNKI)中以「當地語系化翻譯」和「技術傳播」為關鍵字檢索結果為 0,表明目前國內就當地語系化翻譯與技術傳播相結合的研究仍然不足。

同時劉明,馬曉雷表示當地語系化翻譯研究一方面要開展理論研究,一方面要開展應用研究以服務於我國社會經濟發展需求。^⑩目前國內一些研究者在軟體當地語系化、遊戲當地語系化等方面已有一定的應用研究。應用案例多為中文當地語系化,其應用研究物件為 Mac OS X 系統^⑫, Blender 三維動畫製作軟體^⑬、SDL Passolo、Alchemy Catalyst^⑪等國外單一軟體。面向國際市場的當地語系化翻譯研究物件主要集中于國內知名大眾應用軟體如:微信^⑥、支付實^⑥。而面向國際市場的國內通信領域軟體元件當地語系化翻譯研究十分缺乏。隨著越來越多該領域的企業走出國門,對通信領域軟體的當地語系化翻譯研究有助於企業更好的站穩國際市場,提升影響力。因此本文將以國內電信運營商運營支撐系統的海外英語市場交付當地語系化翻譯為例,依託技術傳播思想,基於當地語系化翻譯原則探討軟體當地語系化翻譯的策略。

三、電信運營商運營支撐系統交付特點

運營支撐系統(Operation Supporting System,以下簡稱 OSS 系統)是在電信運營商業務開通過程中,服務供應商管理、監控、控制、分析網路中的服務的軟體元件。如圖 1 所示,OSS 系統通常與業務支撐系統(Business Supporting System,以下簡稱 BSS 系統)集成。業務通過 BSS 系統生成並下發訂單後,將定單資訊扭轉送 OSS 系統,首先經 OSS 系統中的服務開通系統進行訂單分解,將客戶的定單群拆解為子定單後,送入 OSS 系統中的資源管理系統進行電信資源配置,而後啟動系統進行資源配置和相應的設備、埠、鏈路等啟動操作。^⑩同時 OSS 系統中的其他子系統支援對業務和網路的監控。OSS 系統龐大又綜合的功能使軟體交付相較其他大多數軟體更加複雜並獨具特色。以下將分別基於系統架構、終端使用者和當地語系化交付件方面分析 OSS 系統交付特點。

(一) 基於中繼資料架構的多方合作交付

OSS 系統是一個集服務開通系統、資源管理系統、啟動系統、外線管理系統等多個子系統為一體的綜合系統。各子系統通過介面相互關聯和交互,但各子系統又在系統功能上互相獨立。因此在實際交付中,考

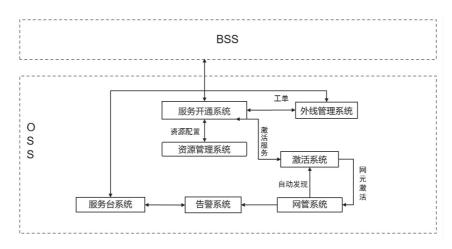


圖1 OSS 系統集成

慮到系統的複雜性和技術人員的專一性,往往一個完整的 OSS 系統將交由一個以上公司或者一個公司的不同部門進行研發和交付。跨公司和跨部門的合作在海外交付中就可能是跨國的合作。相較其他多數軟體由一個公司獨立完成的情況,在 OSS 系統交付中,不用公司間或者不同部門間的合作與聯調也是交付過程中不可或缺的重要環節。

從系統的軟體技術實現架構來看,不同於其他軟體的前後端獨立實現,OSS 系統前端介面中如功能表列、功能表樹、功能表子項、表單、表格、標籤頁等元件是基於業務中繼資料構建並存儲在資料庫中。前端代碼讀取資料庫中的資料後同其他前端代碼共同構建使用者介面。前端介面各元件和詞條展示內容均符合業務中繼資料規範並儲存在資料庫相應的表中,資料庫中的資料條目與介面各元件標籤一一映射。因此,介面的當地語系化翻譯實則是對資料庫中儲存資料條目的具體屬性值進行翻譯。

(二)面向跨文化的境外用戶交付

不同于大眾化應用軟體,OSS 系統為後端運營系統,業務和功能隱含了通信領域的較多專業知識。其使用者為具有一定通信領域專業知識的業務運營、業務維護人員。雖然用戶對通信運營商業務有一定基礎,但因各個國家的通信技術規範不盡相同,在基於通用標準的基礎上各個國家又有因地制宜的獨特性,加之不同國家專業人員的教育背景也存在差異,因此在交付和當地語系化翻譯時要充分考慮並適應目的語市場的文化背景、法律法規、風俗習慣和社會背景等因素,從目的語使用者的角度換位思考。同時要求當地語系化翻譯人員儲備通信專業知識,並深入理解各產品功能及其業務邏輯.

(三)形式内容多樣的交付件翻譯

軟體當地語系化是將軟體產品的使用者介面和其他輔助材料(文檔資料、線上說明等)從源語向其他語言轉化,包含功能表、使用者介面、線上說明檔、讀我檔案、用戶操作手冊、部署手冊、維護手冊等內容。[®]由於OSS系統的綜合性、複雜性、專業性和可定制化,整個交付過程往往持續時間長,前期調研、部署、測試階段用戶參與度高,交付文檔眾多。因此,當地語系化交付件及翻譯物件除系統介面外,還涉及系統部署文檔、需求說明文檔、產品設計文檔、使用者測試用例、用戶操作手冊、維護文檔等多種形式和內容。通常系統還需要與其他目的語市場甚至與非目的語市場的其他公司對接業務服務或技術服務,對應語種的當地語系化活動也必不可少。本文將對英語語種的當地語系化翻譯進行討論。

四、軟體當地語系化翻譯原則與策略

當地語系化翻譯的標準因地而異,自 2002 年起中國就翻譯服務行業制定國家標準,分別是:《翻譯服務規範》和《翻譯服務譯文品質要求》,而美國、加拿大、歐洲也有各自的標準。[®]但在產品海外交付中不僅僅要從文本翻譯規範的角度考慮,還要因地制宜地以目的市場使用者為中心,深入考慮使用者需求,符合目的市場使用者風俗和使用習慣。總的來說,軟體的當地語系化翻譯不同于純文字的技術翻譯,是以文本為載體,以傳播技術為目的,要求翻譯時既要擺脫源語的思維習慣符合目的語的思維習慣,又要從目的語使用者使用習慣、文本目的的角度出發思考如何更好滿足使用者需求服務使用者。因此,在當地語系化翻譯時要克服文化差異、產品特性帶來的影響,以保證當地語系化翻譯中語言的準確性與簡明性以及交付件的任務導向性、使用者可用性與一致性為基本原則,綜合不同的翻譯和技術策略進行當地語系化翻譯工作。結合OSS產品的境外交付特點,本文確定了以下四種當地語系化翻譯策略。

(一) 專業詞彙意譯與省譯結合

在 OSS 系統軟體當地語系化翻譯中,受專業性、文化性以及用戶習慣的影響,同樣的內容在中英不同語言間存在差異。翻譯時,在充分理解語言所處的語境,忠實原文,不出現語義上的曲解和差錯。經研究發現,受文化和行業背景的影響,大量的專業詞彙無法通過簡單的直譯達到語言準確性和簡明性的要求,因此將轉而採取意譯和省譯的策略。

例如:「用戶」一詞大量出現在交付文檔中,但在當地語系化翻譯中卻不能直接將「用戶」統一翻譯為「user」。通過仔細研讀各交付文檔和深入理解軟體各項功能後發現,在不同的語境下,「用戶」實質有 2 種含義。一種代指 OSS 系統軟體的使用者,另一種則表示電信運營商的使用者,即系統所管理的業務的訂閱者。因此,在翻譯中要分別根據目的市場使用者習慣將其按不同場景分別意譯為「user」和「subscriber」。如表 1 所示,類似的專業詞彙也需要在完全理解其含義的情況下通過意譯做到準確翻譯。

原文	譯文			
停複機	temporary deactivate and reactive			
回單	response			
端子	connector			
業務開通	service provisioning			
會話	session			

表 1 專業詞彙的意譯舉例

此外,在通信行業中,受國外先進技術的影響,國內技術文檔中大量的專業詞彙實則是由英文縮寫加注釋的形式表達。例如:RAC集群,英文表達為 RAC(Real Application Cluster),是引用的國外技術。但在中文表達中會在原詞後附加其解釋,即「集群」以便國人理解。但在當地語系化翻譯中,需瞭解語言背後的技術淵源,根據國外使用者表達習慣,省略「集群」的翻譯,即譯為 RAC。如表 2 所示縮略詞,均應需採用省譯的方法策略。

原文	縮略詞完整表達	譯文
OTN 網路	Optical Transport Network	OTN
NGN 網路	Next Generation Network	NGN
C 網	Code Division Multiple Access	CDMA
BSS 系統	Business Supporting System	BSS
SQL 語言	Structured Query Language	SQL

表 2 縮略詞的省譯舉例

(二)翻譯的靈活轉換與拆分

從當地語系化的角度出發,軟體翻譯涉及介面翻譯,包括功能表、表單、表格或提示語文本的翻譯,以及交付文檔的翻譯,翻譯的最終目的是説明使用者能方便的使用軟體,快速完成任務。因此,在翻譯時,除了保證文本自身的準確性,還應以使用者視角重新審視文本的表達是否清晰明瞭,是否有助於降低使用者的認知負荷,讓使用者第一時間理解需要的重要資訊,能快速正確完成工作。基於此,OSS系統的交付中採取了語序調整、語態轉換以及長句拆分的翻譯策略

例 2: 當前組織機構下有使用者,不能被删除!

譯文: Cannot delete the organization: It associates with users.

例 2 為 OSS 系統介面操作提示語。使用者在錯誤刪除系統中的組織機構時,該提示語以彈窗形式出現,旨在提示使用者操作錯誤。該原文用到了被動的表達,同時將操作結果置於句尾。而在當地語系化翻譯過程中,為了讓讀者以最短時間理解句意獲取操作結果資訊,採取逆序翻譯和語態轉換的策略。翻譯時將此句的重要資訊,即操作結果,置於句首,而將解釋部分放之其後。同時將被動表達轉為主動表達以便於讀者理解。類似地,「局站下存在纜段,刪除局站失敗!」這一提示語在當地語系化翻譯中同樣應調整語序,將重要資訊放於句首,即譯為「Delete failed: The site contains cable segments.」

軟體交付涉及的文檔形式多樣,內容豐富,以任務為導向。在使用過程中使用者通常是以查找的方式, 為完成某項任務選擇性閱讀,而非通讀全文。使用者需要在盡可能短的時間通過閱讀文檔解決問題或完成 任務。因此簡潔明瞭的文本無疑能大大提升使用者的閱讀體驗,提升工作效率。對於原文的長句、複雜句、 通過拆分的策略進行翻譯。

例3:產品調測指產品在完成系統硬體及軟體安裝後,對系統進行一系列的調試與驗證,以確保系統按設計要求投入使用,並能穩定、可靠、安全地運行。

譯文: Product commissioning refers to a series of commissioning and verification on the system after the hardware and software are installed. It ensures that the system can be in use according to the design requirements and can run stably, reliably, and securely.

例 3 句子較長,有 65 個中文字元,為了避免譯文句子較長導致的閱讀困難,在翻譯時採取拆譯的策略, 將其分為兩個相較更短的句子。拆譯後用 it 做主語,句子用詞簡單不累贅,每句句長不超過 25 個單詞,使用 戶閱讀起來更加清晰明瞭,以更好幫助用戶解決問題、完成任務。

(三) 用戶可用性檢驗與調整

1. 系統介面

在系統介面功能表、表單、表格等元件的標籤中,受專業術語和不同語言詞彙長度不同的影響,有時中文文本翻譯後譯文較長。如圖 2、3 所示,「服務資源規格」的英譯結果為「Service Resource Specification」。 其在介面上展示的長度是中文的 2.5 倍,冗長的標籤名稱佔據大量介面空間,造成表單控制項間相互擠壓。 此時,由於介面佈局不合理,經譯後測試發現軟體功能也極易受到影響,如介面無法展示全部表單內容、表單元件名稱顯示不完全等,導致使用者可用性降低,使用戶體驗大打折扣。



圖 3 當地語系化翻譯後介面的部分表單展示

因此在文本翻譯的同時,也要考慮頁面配置的適當調整。如圖 4 所示,通過將標籤名稱與表單控制項從 左右佈局方式更改為上下佈局後,可以輕鬆支援文本較長的表單名稱,同時符合用戶從左到右的閱讀習慣, 使用戶更易識別和操作。



圖 4 當地語系化翻譯表單重新佈局

同樣地,在時間選擇器、日曆和日期展示中,因不同國家習俗不一致,展示格式也要做出相應調整。例如原文為:「2022-01-20」的日期,若面向美國市場應變換為「01-20-2022」,若面向英國市場則應變換為「20-01-2021」,從而避免使用者理解錯誤,增強軟體的可用性。

2. 交付文檔

文檔的可用性主要體現為文檔的易讀性。易讀性是指通過從詞語、段落、句子以及對圖、表、項目列表等方面出發,保證讀者能夠容易的讀取文檔內容,不需要分析句子語法或者邏輯關係,解讀含糊難懂的內容以及猜測挖掘隱含的意思。[®]但國內的軟體文檔常有內容描寫不夠完善,部分文檔只追求形式,忽略實際效用的不足。[®]因此在當地語系化過程中應盡可能地彌補和完善現有產品文檔的不足,滿足用戶需求,提升效用,增強易讀性。由於軟體交付的當地語系化文檔多為任務嚮導性文檔,如操作指南、維護手冊、安裝手冊等,旨在指導用戶完成某項任務。因此,在當地語系化翻譯中,應以目的語使用者視角檢驗文檔,分析譯文是否能有效指導用戶完成任務,並通過一定的調整盡可能的提升文檔易讀和可用性。

筆者認為可通過調整原文句式和段落結構,重新對譯文編譯以滿足目的語言用戶的閱讀需求。除了對 文本編譯,為了更好的引導使用者,還可以從視覺上通過添加符號、字體加粗、顏色調整、添加標籤、陰影等 形式進行對比和強調。

例 4:通信設備應處於良好的運行環境中。通信機房選址不宜在溫度高、有灰塵、有有害氣體、易爆及電壓不穩的環境中:應避開經常有大震動或強雜訊的地方:應遠離變電所。

譯文:The communications equipment should run in a favorable environment. The equipment room should be located at a place:

- free from high temperature, dust, toxic gases, explosive materials, or instable voltage;
- away from strong vibrations and noise;
- far from power transformer stations.

例4為通信機房選址管理說明。原文以平鋪形式展開,句子較長,讀者閱讀時很難抓住重點,給讀者造成資訊雜、亂、多的印象。在當地語系化翻譯中,通過調整句式,簡化長句,並將句子以無序列表的形式展開,強調重點。平行結構的清單能讓讀者閱讀起來更加輕鬆愉快,快速理解並完成對應任務,從而提高文本可用性。

例 5:

步驟3

連接 IM 伺服器,檢查應用環境目錄,並對現有應用備份,之後停止現有應用

cd /home/jboss7/standalone/deployments

Cpim. war im. war. bak

jstack -l 'ps -u jboss -f | grep java | grep im | awk ' | print \$ 2 | ^ | grep BLOCKED

譯文:

Step 3

- 1) Connect IM server.
- 2) Run# cd /home/jboss7/standalone/deployments to check the application environmental directory
- 3) Run# Cp im. war im. war. bak to back up the application package.
- 4) Run# jstack -1 'ps -u jboss -f | grep java | grep im | awk ' {print \$2}' ` | grep BLOCKED to stop IM application.

例 5 為軟體維護手冊節選。雖然原文已按邏輯順序描述了任務過程,並給出了對應指令,但原文並沒有對子步驟進行特別處理,子步驟與其操作指令間關係缺乏聯繫,即使是具有一定專業素養的讀者也需要仔細分析後才能理解每個子步驟與其對應的具體指令,文檔可用性不佳。基於此,在當地語系化翻譯時,重新對原文的結構進行調整。如譯文所示,將步驟 3 下的子步驟進行拆分,每個子步驟以有序列表形式展示,並將操作說明與對應指令結合。除此之外,通過加粗指令的形式,達到視覺上的區分與強調,清晰指引用戶操作。但這種結構上的調整實則對譯員的跨學科綜合素質提出了較高要求。譯員只有在熟悉並精准理解產品,以及掌握一定通信行業和軟體行業知識後,才能做到準確的文本結構調整。

(四)翻譯技術與標準應用

OSS 軟體產品在當地語系化翻譯過程涉及到多個子系統介面以及眾多文檔的翻譯,而交付是將整個軟體系統元件作為整體交付。在當地語系化的過程中,由於 OSS 軟體的多方合作交付特點,當地語系化翻譯工作也是多團隊合作。但整體交付後,軟體使用者卻可能一人同時負責多個子系統的操作與管理。子系統

間介面和文檔描述的不一致,會給用戶帶來極大困擾,極易導致操作失誤,甚至引發生產事故。因此,在當 地語系化翻譯時不僅要保持系統間介面的統一性,包括術語詞條、語言風格的一致性,同時還要保證各文檔 內以及文檔間內容的統一性。此時,將通過電腦輔助翻譯技術和翻譯技術行業標準來確保當地語系化翻譯 品質。

首先,在使用者介面元件標籤和詞條方面,由於專業術語較多其重複率高,可通過使用電腦輔助翻譯技術建立翻譯記憶庫,保證翻譯統一性與實效性。由於 OSS 系統是基於中繼資料框架的系統,介面元件標籤和詞條均可在資料庫找到對應儲存。因此,通過資料庫後臺將各個系統介面涉及的標籤和詞條資料全部提取匯出後,通過電腦輔助翻譯軟體,如 Trados、SDLX、Transit、memoQ、Omega T等,建立翻譯記憶庫。系統通過精確搜索或者模糊搜索翻譯記憶庫,對未翻譯的原文匹配後給出參考譯文。對精確匹配的詞句直接採用原有譯文,對模糊匹配的詞句通過人工比對後選擇採用或修改以避免重複翻譯,確保同義詞句的一致性。同時,通過局域網共用記憶庫形式,實現多方協同合作的當地語系化翻譯工作,提高翻譯效率,即使是多團隊合作,也能確保不同子系統介面中相同或同義詞條和專業術語統一。

其次,在用戶文檔方面,通過翻譯技術行業標準中的達爾文資訊分類體系架構標準 DITA 實現結構化技術文檔發開,確保當地語系化中文檔內和各個文檔間的統一。各子系統的用戶手冊、維護手冊等技術文檔任務嚮導性強,各子系統與業務扭轉環環相扣,業務調度過程中使用者需要系統內各功能間或各系統間切換操作。因此,用戶手冊在描述不同任務時,也常有相同的段落在文檔內穿插使用或文檔間重複使用的情況。基於此,DITA 結構化寫作中主題模組化創作模式正好可以滿足這類文檔需求。DITA 寫作以主題為最基本單位,通過架構分析、重用分析、術語分析和寫作大綱設計將內容拆分成不同主題,再基於主題進行創作。根據不同的業務場景創建 DITA 映射並將獨立的主題模組與其關聯。通過重用,將同源內容應用到不同映射中,從而保證內容全域一致,避免複製粘貼過程的人為錯誤,降低內容更新不同步的風險,提高後期文檔維護的效率和品質。基於 DITA 一次編輯多格式發佈的特點,可確保單一來源文件在交付成 PDF、線上說明文檔、HTML 格式等不同格式時的統一。即提高當地語系化翻譯工作的效率,有提升用戶的使用體驗。目前支援 DITA 結構化寫作技術的軟體有 Oxygen、Adobe FrameMaker、Epic Editor、Arbortext Editor等,可廣泛適用于部署文檔、用戶測試用例,用戶操作手冊以及維護檔等任務性較強、重複性較多的技術文檔。

五、結語

軟體當地語系化翻譯是一項綜合性極強的活動,其不僅僅是文本翻譯,更是以翻譯促服務。考慮到軟體產品的中繼資料架構模式、多方合作交付現狀、跨文化使用者特點和翻譯物件多樣化等綜合因素,在軟體當地語系化翻譯過程中,要從文本翻譯和使用者使用兩方面綜合考慮。文本翻譯方面,要瞭解使用者的工作方式、思維方式和行為方式,在詞句的處理中通過意譯、省譯、逆序、拆譯等翻譯策略使譯文表達準確,清晰明瞭,符合用戶文化和思維習慣。其外,還要充分考慮用戶的使用感受,以使用者為中心確保當地語系化軟體介面元件標籤以及各配套技術文檔之間的可用性。不同于一般的科技翻譯,當地語系化翻譯中可「大膽」對文本和使用者介面進行結構調整,甚至重構使之提升文檔效用。同時,借助電腦輔助翻譯軟體,基於DIAT資訊體系架構使用結構化文檔開發工具也是軟體當地語系化翻譯的關鍵策略。通過「翻譯+創造+技術」的有機結合實現資訊的有效傳播。綜合以上原則和策略,本文將軟體當地語系化翻譯流程總結如圖5所示。

從流程圖可以看出,當地語系化翻譯人員不僅要有扎實的語言功底,同時還要求譯員具備一定的軟體 產品所在行業的基本素養,能全面分析用戶需求,精准理解文本含義。同時良好的翻譯輔助軟體和寫作技

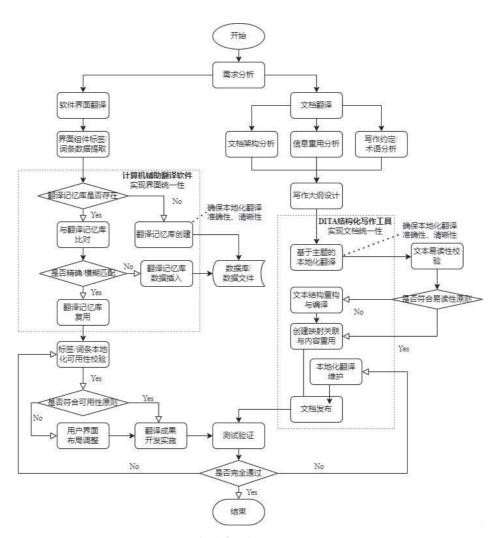


圖 5 軟體當地語系化翻譯流程

術軟體操作能力以及使用者介面設計思想也在當地語系化翻譯過程中起到重要作用。可見軟體當地語系 化翻譯對譯員的綜合素質,跨學科能力提出較高要求。OSS 系統綜合性強,當地語系化翻譯涉及內容繁雜, 其當地語系化翻譯策略為其他軟體產品更好在國際市場交付提供了有力支撐。

注釋

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(Editors: Bonnie WANG & Joe ZHANG)

[Pedagogy]

A Study on the Training Paradigm of MTI in the Perspective of Inter-subjectivity

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Abstract: In order to meet the development of higher education in the new era, the Ministry of Education released "The Program for the Development of Professional Degree Postgraduate Education (2020–2025)", expanding the enrollment scale of professional degree postgraduates and adding 54 new MTI authorization points in 2021. How MTI professional degree education can better serve the national development strategy and the demand for high-level and application-oriented talents from industries has become a common challenge faced by each and every MTI degree program in universities. As a result of analyzing the intersubjectivity in MTI professional degree education and its derivatives such as interlinguality, interculturality, intermediality, intertextuality and interdisciplinarity, the intersubjectivity-oriented paradigm of the MTI talent cultivation construction is proposed, and the concept of collaborative education and interactive symbiosis of MTI based on intersubjectivity as well as the cultivating path of interdisciplinarity-oriented professionalization is elaborated. The study also puts forward the teaching strategies of multilingualism, interculturalism, multimodality, professionalization and educational ecology based on inter-subjectivity and other derivatives of inter-subjectivity. The study of the inter-subjective paradigm of MTI talent cultivation aims to deepen the innovation and quality improvement of the professional degree cultivation model with Chinese characteristics by focusing on the cultivation of practical ability and the integration of industry, education, government and research as a means.

Keywords: Master of Translation and Interpreting (MTI); philosophy of inter-subjectivity; talent development paradigm

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主體間性視域下翻譯碩士人才培養範式研究

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摘 要: 為適應新時代高等教育發展,教育部發佈《專業學位研究生教育發展方案(2020-2025)》,擴大專業學位研究生招生規模,2021年新增54個 MTI 授權點。MTI 專業學位教育如何更好地服務國家發展戰略和行業產業對高水準、應用型人才的需求,成為高校 MTI 學位點共同面臨的考驗。從主體間性哲學視角出發,通過分析 MTI 專碩人才培養中的主體間性及其語言間性、文化間性、媒體間性、文本間性、學科間性等衍生間性,提出了基於主體間性的MTI 人才培養範式構建模型,闡述基於主體間性的 MTI 協同育人、互動共生理念,基於學科間性的學科交叉融匯MTI 人才培養路徑,以及基於主體間性其他衍生間性的多語種、多模態、跨文化、職業化、教育生態化等教學策略。研究 MTI 人才培養的主體間性範式,旨在深化以實踐能力培養為著力點、以產教政研融合為途徑的中國特色專業學位培養模式創新和品質提升。

關鍵詞:翻譯碩士(MTI);主體間性哲學;人才培養範式

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引言

專業學位研究生教育是培養高層次應用型專門人才的主渠道。自1991年開設專業學位教育試點以來, 以實踐能力培養為著力點、以產教融合為實現途徑的中國特色專業學位培養模式不斷深化和創新,國家主 導、行業指導、社會參與、高校主體的專業學位研究生教育發展格局基本形成。2020年9月25日,教育部印 發了《專業學位研究生教育發展方案(2020-2025)》,明確了專業學位研究生教育發展指導思想和發展目標, 面向國家發展重大戰略、面向行業產業當前及未來人才重大需求、面向教育現代化的專業學位教育開啟了 新的發展階段。

翻譯碩士專業學位(MTI)試點教育始於 2007 年,截止 2019 年全國有 253 家高校開設 MTI,2021 年又新增 54 家,全國共計 307 個 MTI 學位點。2020 年 MTI 專項評估表明,翻譯專業碩士學位的人才培養取得了

喜人成績,但人才培養方案不完善、課程體系不健全、偏重語言能力培養、翻譯實踐少、缺乏針對市場需求的本地化、實習基地建設不力、教學品質不高、人才同質化等問題嚴重,不能滿足目前語言服務日益增長、翻譯教育職業化的需要(趙軍峰、魏晉,2021;王華樹,2017)^{①②}。

中國特色社會主義新時代對翻譯碩士專業人才培養提出了新要求,翻譯人才的培養品質關系到中國同世界各國的交流互鑒、更關係到中國參與全球治理體系的改革建設(吳岩,2019)³。應對新時代新要求,深入系統研究翻譯碩士專業學位人才培養範式的轉型和創新發展,是一個需要迫切解決的問題。

一、MTI 專碩人才培養中的主體間性

(一) 主體間性理論研究概述

主體間性(intersubjectivity)源自間性(intersexuality)研究,「間性」一詞發源於生物學的研究,其後備受神經心理學、認知科學等學界關注,並被引入哲學等人文學科研究領域,並逐步成為 20 世紀西方哲學的一個重要範疇。作為一種反主體性、反主客二分的哲學思想和思維模式,主體間性強調主體與客體之間的共在、共生與平等關係,關注主體間的對話、溝通、融合及不斷生成的動態過程(鄭德聘,2008)^④。主體間性具有強大的衍生性,基於主體間性哲學的「你中有我,我中有你」等基本思想,研究者逐步探索了語言間性(interlinguality)、文本間性(intertextuality)、文化間性(interculturality)、媒體間性(intermediality)等,這些間性可以看做是主體間性的衍生間性(郭萬群,2015)^⑤。主體間性哲學的衍生性,為我們提供了廣闊的學術創新空間,本研究除了探討 MTI 人才培養中的主體間性及其上述衍生間性,還將結合 MTI 學科建設實際,把學科間性(interdisciplinarity)也納入研究範疇。主體間性理論對於翻譯學理論建構具有重要的指導意義(陳大亮,2005)^⑥。

(二) 主體間性思想在 MTI 專碩人才培養中的體現

21 世紀高等教育從主體性逐步走向主體間性(馮建軍,2006)^②。中國特色的專業學位研究生教育具有國家主導、行業指導、社會參與、高校主體的多主體協同特點,這種特點就是主體間性哲學思想在 MTI 研究生教育中的重要體現。MTI 研究生教育主體自然以學生、教師為主,師生自主間性始終是教育管理、教學實踐與研究的核心目標,翻譯碩士專業學位研究生培養的教師主體呈現出多樣性的特點,既包括校內教師,也包括校外導師,而且培養品質在很大程度上受制於校外行業導師主體的實踐和理論水準及其參與程度;另外,基於 MTI 翻譯專案化教學的特殊性,高年級學生對於低年級學生來說往往在一定程度上也肩負著「師者」的主體職能。其次,翻譯必然還要涉及譯者、審校者、出版者、讀者等主體之間的互動。可見,MTI 人才培養具有豐富的主體性和顯著的主體間性,這也是 MTI 人才培養的重要特徵。這就要求 MTI 人才培養必須充分發掘主體間性。

主體間性教育思想不僅表現為教育教學主體之間的互動共融共生,而且也體現在翻譯活動以及翻譯教學實踐的語言、文化、媒介、文本、學科等衍生間性上。

首先,翻譯就是把相關資訊從一種語言轉換為另一種語言的專業行為,翻譯活動的語言間性不言而喻。 譯者必須同時駕馭母語和目標語兩種語言,學生的母語水準和外語水準相得益彰。語言間性還包括翻譯過程中根據翻譯內容的專業領域、讀者對象等實際情況在語言風格上做出的不同選擇。鑒於翻譯行為的主體間性,MTI人才培養必須兼顧學生的母語和目標語語言文化水準全面提升。

其次,作為一種跨文化交流行為,翻譯具有深厚的文化間性,體現了從屬於兩種不同文化的主體之間及

其生成文本之間的對話關係,表現出文化的協同共存、交流互動和意義生成等特徵(鄭德聘,2008)[®]。MTI 人才培養必須高度重視跨文化素養的提升。

其三,人類進入新媒體時代後,翻譯活動以及翻譯教學實踐的媒體間性越來越顯著。媒體間性也稱媒體相互性,既指不同媒體的綜合與配合(即多媒體),或者媒體之間相互融合、相互依賴的關係,也指同時運用幾種模式的多模態交流(Nelson, 2010)[®]。多媒體、多模態等都是媒體間性的重要體現,在機器翻譯、智能翻譯日益發達的當今時代,媒體間性改變著人類關於翻譯實踐的界定和標準,因而也改變著翻譯教學的理念、手段和方法。所有媒體都兼具個性與共性,媒體間性就是媒體以共性為基礎的個體差異性之間的橋樑(Elleström, 2010)[®]。媒體間性的研究有助於媒體的組合、配合、融合與創新,有助於多媒體技術與翻譯實踐的深度融合,有助於改進多媒體、多模態翻譯效果。

其四,翻譯活動是人類創造文化知識的重要實踐,具有典型的文本間性,亦即一個確定的文本與它所引用、改寫、吸收、擴展或在總體上加以改造的其他文本之間的關係,涉獵文本與副文本、超文本以及文本之間的互動共生性。換言之,任何一個文本中,都包含著以各種可辨認的形式而存在的其他文本。廣義的文本間性不僅包含「文本關涉性」(某一文本通過記憶、重複、修正而向其他文本產生的擴散性影響),也包含「跨文本性」(transtextuality,即不同特定文本之間的關係)(周流溪,2013)^①。文本間性被用於翻譯、話語學等領域,並在理論闡釋上不斷創新。

最後,MTI 的學科間性是由翻譯碩士學科的工具性、服務性所決定的。翻譯面向所有需要國際化傳播的學科,每個 MTI 學科點都具有特定的學科專業服務領域。換言之,由於學科專業的多樣性和學科翻譯的複雜性,MTI 學科點也必須依託地域和校本特色,確立明確的學科方向作為校本 MTI 特色領域,形成具有顯著的「外語+學科」翻譯人才培養方向。例如:培養知識產權翻譯特色方向的 MTI 人才,必須重視翻譯學與法學以及知識產權所涉及領域等學科之間的間性,亦即通過各種途徑,強化相關學科之間的交流互動共生關係,培養兼具知識產權和涉及領域學科知識的複合型翻譯人才。

二、主體間性哲學視域下 MTI 專碩人才培養範式建構模型

(一) 實踐性孕育著 MTI 翻譯人才培養範式的創新

根據庫恩範式理論,範式是一個結構化的概念體系,包括哲學、學科、實踐三個層面(Kuhn, 1970)^②。 MTI 人才培養範式指特定時期教育共同體在 MTI 教育教學本體論、認識論和方法論基礎上所形成的關於 MTI 人才培養的基本信念、理論體系、研究方法、教學政策和教學模式、方法與策略等(李爽、林君芬, 2018)^③。從 2007 年開始的 MTI 試點教育開始,各學科點都在積極探索 MTI 人才培養範式。例如,廣東外 語外貿大學的翻譯專業人才培養強調分層次、分類指導的原則,在全國率先建立了包括翻譯本科專業、MTI 碩士、翻譯學博士在內的完整翻譯人才培養體系(仲偉合、穆雷,2018)^④;並根據時代發展需要,積極探討職 業化時代背景下的 MTI 教育創新與本地化人才培養(王華樹,2017)^⑤。

(二) MTI 專碩翻譯人才的主體間性培養範式建構模型

本研究將主體間性哲學理念引入到 MTI 人才培養範式的建構實踐。基於主體間性的 MTI 人才培養範式包括哲學層、學科層(教育理論、技術和政策)和實踐層,實踐層是核心,學科層是支撐,哲學層是關鍵(見圖1)。哲學層指教育教學共同體在一定世界觀基礎上形成的關於教育教學本質、教學內容、教學方法等基本問題的共同信念,它決定著 MTI 人才培養範式的理念;學科層不僅包括 MTI 人才培養的學科領域和理論

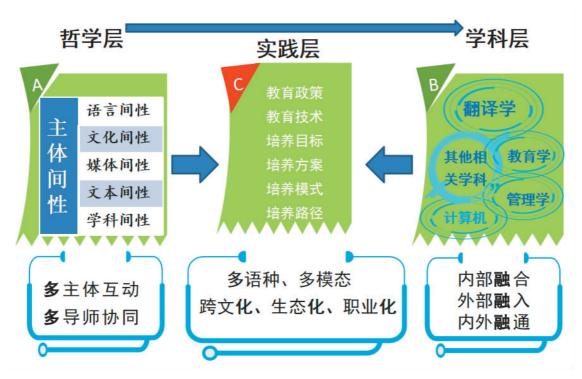


圖 1 「2-3-5 | MTI 人才培養範式建構模型

基礎,也包括 MTI 人才培養的跨學科屬性和各相關學科交叉、融合特徵;實踐層則是主體間性教育理念及其語言、文化、媒體、文本和學科等衍生間性在 MTI 人才培養實踐中的應用。

備註:(A)哲學層「2多」理念(多主體互動共生、多導師協同育人)是主體間性哲學應用於 MTI 人才培養的基本理念;(B)學科層「3融」(學科內部融合、外部學科融人、學科內外融通)是 MTI 學科建設的實施路徑,直接指導 MTI 人才培養實踐;(C)實踐層「2多3化」(多語種、多模態、跨文化、生態化、職業化)是制訂校本 MTI 教育政策、培養方案以及建設校本課程體系、教育教學模式、學科特色的具體內涵。

三、基於主體間性的 MTI 人才培養基本理念、路徑和方略

「2-3-5」MTI 專碩人才培養範式建構模型(見圖 1)涉及哲學、學科和實踐三個層面,為 MTI 專碩人才培養提供了基本理念、路徑和方略。

(一) 基於主體間性的翻譯碩士人才培養 [兩多]理念

主體間性培養範式以各類教學活動為載體,在突出教師主導、行業協同、學生實踐的同時,引入主體間性的理念,強調多主體在教學過程中的互動、共融、共生的關係,促進學生通過主動參與各類學習實踐活動體驗學習的成果和自身的成長(Wong, 2012)[®]。MTI人才培養中的師生主體間性,首先表現為多主體互動,包括師生之間的互動、生生之間的互動,以及學生與其學習實踐活動相關的其他主體之間的互動。師生之間的互動既包括傳統的學生與校內教師(學位導師、MTI 課程教師及特色方向非外語專業教師)之間的互動,也包括學生與校外行業導師及其他相關主體之間的互動;生生之間的互動既包括同班級學生在學習和實踐過程中的互動,也包括低年級學生與高年級學生之間的互動;學生與其學習實踐活動相關的其他主體之間的互動則指學生與其教師和同學以外的相關主體之間的互動,比如,作為譯者與翻譯專案主管、審校之間的互動則指學生與其教師和同學以外的相關主體之間的互動,比如,作為譯者與翻譯專案主管、審校

者、出版者乃至讀者等主體之間的互動。MTI 專碩研究生培養過程中,上述各種主體之間都應該達成一種 交流互動共生的關係。

MTI 人才培養中的師生主體間性還表現為多導師協同。《翻譯碩士專業學位研究生教育指導性培養方案》明確要求吸收企事業部門具有高級專業技術職務的譯員參加,實行學校教師與有實際工作經驗和研究水準的資深譯員或專業人員共同指導研究生的雙導師制,發揮集體培養的作用。翻譯碩士專業學位人才培養離不開 MTI 學科點和業界的協同努力,也急需 MTI 教指委和中國翻譯協會等翻譯主管單位及組織的指導與引領,政產學研進一步加強合作、協同創新是 MTI 專業學位研究生培養的根本出路(黃正夫、易連雲,2014;陶李春、黃友義,2021)^{①®}。

(二) 基於學科間性的翻譯碩士人才培養 [三融]路徑

教育部學位工作鼓勵學科交叉,在 2021 年批准學位授予單位自主設置的二級學科和交叉學科(按照二級學科管理)名單中,外國語言文學一級學科下新增自主設置的二級學科共 39 個(其中 24 個單位設置「翻譯學」、7 個單位設置「國際傳播學」,北京語言大學則設置了「國際語言服務」二級學科);外國語言文學一級學科參與自主設置的交叉學科點共 13 個,例如:四川大學的「中華文化國際傳播」。

MTI 學位點培養高級應用型、複合型外語人才,具有顯著的交叉學科屬性。首先,翻譯碩士專業人才培養的學科間性體現在本學科自身的學科交叉屬性,即:翻譯碩士學科點本身就是翻譯學與語言學、文學、電腦科學與技術、管理學等學科的交叉融合。其次,翻譯碩士專業人才培養的學科間性還體現在它的服務屬性,即:翻譯實踐的目標內容涉及的學科無所不及,「沒有哪一個學科不是以翻譯的方法進行知識積累」(楊楓,2021:2)[®],換言之,任何一個學科都可能成為MTI校本特色凝練的一個方向。再次,翻譯碩士專業人才培養的學科間性依賴並造就MTI學科點人才培養目標的學科多樣性,因此,翻譯教指委通過頒佈《翻譯碩士專業學位研究生教育指導性培養方案》鼓勵具有不同學科和專業背景的生源報考MTI。例如,南京師範大學的MTI(英語筆譯)分為本地化翻譯與技術傳播、財經翻譯兩個特色方向;杭州師範大學的MTI(英語筆譯)則分為跨境電商翻譯、商務會展、翻譯與媒體翻譯三個特色研究領域。

翻譯碩士專業人才培養的學科間性為 MTI 學位點的校本特色凝練和本地化語言服務提供了非同質化發展平臺,例如,政法類大學 MTI 學位點可以把法律翻譯作為校本特色方向,由於法律翻譯人才需要同時具備語言、法律、經濟、國際關係等方面的綜合能力才能夠勝任法律翻譯實踐工作, MTI 法律翻譯人才培養必須深度融合法學學科理念及特定領域的知識和技能(許多,2017)³⁰。

翻譯碩士專業人才培養的學科間性也賦予新文科建設以豐富的內涵。新如火如荼的新文科建設為新時代翻譯碩士專業人才培養指明了方向:新工科、新農科、新醫科、新文科「四新」建設是一盤棋,交織融合。推進新文科建設就必須注重工文結合、醫文結合、農文結合。高校要主動回應新文科建設之需,構建大外語格局,培養「一精多會」「一專多能」的國際化複合型人才,服務國家發展(吳岩,2021)^②。學科融合創新、全過程協同育人、教學模式多元不僅是新文科建設的抓手,也是翻譯碩士專業學位人才培養模式創新的根本驅動。

綜上,鑒於 MTI 的學科間性,每個 MTI 學位點都要緊扣學科「三融」的培養路徑:一是加強翻譯碩士學科點的內部學科融合,包括翻譯學與其所在一級學科(外國語言文學)中的外國文學、外國語言學及應用語言學、比較文學與跨文化研究、國別與區域研究等主幹學科領域之間的有機融合;二是加強外部學科的融入,著力建立健全與翻譯學密切相關的電腦科學、管理學以及該學位點特色方向所在學科(如法學、服裝藝術、航空技術等等)融入 MTI 人才培養的機制;三是內部學科和相關外部學科之間的融通,即:在 MTI 人才培養全過程注重翻譯學內部學科和相關外部學科之間的融合貫通和發展創新。「三融 |是 MTI 人才培養目

標優化、特色凝練、模式創新、品質提升的重要途徑。

(三)基於主體間性及其衍生間性的 MTI 人才培養方略

主體間性為翻譯碩士多語人才培養指明了努力方向,學科間性為翻譯碩士人才培養的本地化、校本化明確了職業化路徑,媒體間性、文化間性和文本間性則為 MTI 人才培養提供了重要的教學策略。

1. 基於語言間性的翻譯碩士多語人才培養導向

翻譯碩士學專業位人才培養的語言間性要求每個翻碩學科點至少具備某一種外語(如英語)的筆譯或口譯人才培養條件,前期授權翻譯碩士點主要包括英語、法語、日語、俄語、德語、朝鮮語等六個外語語種。隨著「一帶一路」建設的深入,國家對 MTI 多語種翻譯人才的需求日益迫切,鑒於翻譯理論和實踐的趨同性、多語交流的普遍性以及每個學科點自身外語師資積累等因素,每個翻碩學科點可以在申報的學科方向(如英語筆譯)基礎上,結合校本實際招收培養其他語種翻譯人才(如泰語筆譯等)。全國翻譯專業學位研究生教育指導委員會非常重視翻譯碩士多語種人才培養,2014 年出臺《翻譯碩士專業學位新增外語語種培養點審核辦法》([2014]7號),明確了審核工作堅持「服務需求、深化改革、動態調整、保證品質」的基本原則,鼓勵高校根據自身辦學特色和社會需求,在翻譯碩士專業學位下增設外語語種。在宏觀層面,翻譯碩士多語人才培養原則反映了國家發展戰略的需求,要求翻譯教指委在全國高校翻碩學科點全局引導多語種招生培養,服務中國文化走出去戰略和「一帶一路」建設;在中觀層面多語人才培養原則反映了各高校 MTI 校本特色和區域對外發展需要;在微觀層面,各高校也為學生成為多語種翻譯人才創造了個性化培養機會,比如攻讀英語筆譯 MTI 的學生可以把泰語作為自己的第二外語選修課,以便畢業後有機會從事與泰國語言文化相關的工作。

語言間性不僅體現在翻譯碩士專業學位多語種人才培養導向上,也體現在兼顧目標語和母語的培養實踐中。所以,翻譯教指委從 MTI 招生培養的試點階段就非常重視母語素質教育,2011 年 8 月通過修訂《翻譯碩士專業學位研究生教育指導性培養方案》,明確要求各 MTI 學科點開設《中國語言文化》公共必修課以及服務特色方向培養目標的中國文化選修課。

2. 基於學科「三融 |的 MTI 人才培養職業化策略

根據上述主體間性「兩多」理念、學科間性「三融」路徑,各培養單位要積極探索職業化的 MTI 人才培養特色,職業化特色往往又體現為本地化、校本化。

職業化是翻譯碩士專業學位人才培養的必然要求,也是翻譯學研究「社會學轉向」的重要體現。目前, 我國翻譯職業化仍處在中級階段,亟需通過語言服務行業立法和翻譯專業學位建設實踐,提升我國翻譯職 業化的水準和品質,更好地服務國家發展戰略和地方經濟文化建設(趙軍峰、寇瑩瑾,2017)。作為 MTI 人才 培養的必要環節,學生在符合資質要求的政府部門和企事業單位專業實習不低於一個學期,通過規範、有效 的培訓和實踐,提高自己的翻譯技能和職業操守。

本地化是國際化的必然產物,國際化的深入發展引發本地化行業的發展壯大,需要大批專業化、職業化和技能化的翻譯人才(王華樹,2017)。本地化與職業化是翻譯碩士的必由之路,是支撐翻碩碩士學科點成長和騰飛的兩翼。

校本化則是各 MTI 學科點貫徹翻碩人才培養本地化與職業化的具體選擇和特色凝練。《翻譯碩士專業學位研究生教育指導性培養方案》明確指導各 MTI 學科點根據本專業的培養目標、校本辦學特色以及地域對外開放好經濟文化建設實際,自行設置若干門特色課程,作為限定性選修課。

3. 基於媒體間性的 MTI 課程多模態教學策略

進入新媒體時代,掌握一定的翻譯技術是職業翻譯人才的一項必備技能。資訊時代的翻譯,已經是融

合了各種翻譯技術的翻譯,翻譯技術不僅解放了譯者一定量的勞動力,而且也給譯者完成更高標準的翻譯提出了新要求。面對語言智能背景下 MTI 人才培養的挑戰,MTI 教育必須積極對接語言智能發展,從職業化翻譯人才的培養目標、本地化培養特色,到突出實踐、產教融合的教學體系、教學模式,再到 MTI 師資隊伍建設和校本 MTI 資源建設,都要正確定位翻譯技術,高度重視翻譯技術的應用,發揮媒體間性的促進作用,充分運用多模態教學策略,探討 MTI 課程教學模式,構建適應語言智能發展需求的 MTI 人才培養體系(胡開實、田緒軍,2020;崔維霞、王均松,2018)

4. 基於文化間性的 MTI 課程跨文化教學策略

在世界經濟全球化、交流資訊化、文化多元化、語言多樣性的時代背景下,翻譯碩士專業學位是國家培養參與世界治理人才的重要途徑之一。翻譯就是不同文化之間的交流對話,這就是翻譯的跨文化交際的屬性。一方面,譯者必須對本民族語言文化有深厚的瞭解,具有高度的母語文化自覺;另一方面,又必須對目標語語言文化高度熟悉,任何翻譯行為都不是也不能自說自話,譯者必須具有高度的目的語文化自覺。在翻譯碩士專業學位人才培養中,跨文化教學原則不僅體現在教學材料選取和本地化專案制定,更體現在教學和翻譯實踐的全過程。

5. 基於文本間性的 MTI 課程生態化教學策略

文本間性實質上就是主體間性在語言和話語實踐之中的反映,正確認識文本間性有利於我們重新認識 文本、傳者(作者/譯者)和受眾(讀者)之間的關係(羅雯,2006)^②。文本間性不僅是MTI人才培養中的重 要教學手段,也有助於開發新媒介時代的國際傳播生態環境。翻譯實踐中,要善於通過技術變革,融通文本 與副文本、超文本,發揮文本間性的互動共生性能,打通文本與譯者、傳者、受眾等主體之間的通道,創新中 國文化對外傳播的敘事手法和表現形式,提升跨文化傳播品質,不斷打造跨文化傳播生態環境。

根據文本間性,建設語料庫、案例庫以及本地化語言服務生活環境對於提升 MTI 人才培養品質具有重要的作用。

四、基於主體間性及其衍生間性的 MTI 教師專業發展

根據主體間性及其衍生間性,MTI 師資隊伍建設要把重點放在實踐能力、跨學科知識、跨文化素養以及教學水準的提升。

首先,根據 MTI 人才培養的職業化、本地化和校本化要求以及師生主體間性理念,應當通過各種手段提 升師資隊伍的翻譯實踐水準和協同育人素養。 MTI 教師必須在翻譯實踐方面做學生的表率,並能夠為指導 的學生創造充分的翻譯實踐機會,在與學生的互動中共同進步;同時,還要加強與行業導師的協同,共同指 導學生高質量完成培養目標所規定的翻譯實踐任務量,實現與政企等合作培養單位的雙贏。

其二,基於學科間性的學科「三融」也要求各學科點及時引導和支持 MTI 教師專業發展。教師應當根據校本化特色和個人興趣及優勢,有計畫地開展本地化翻譯專案,加強跨學科知識學習和翻譯實踐,並在專案化教學和育人實踐中不斷提升個人的跨學科翻譯水準。

其三,鑒於 MTI 人才培養的高標準嚴要求,各學科點要加強基層教學組織建設,貫徹教改、教研、校企校 政協同育人的一體化師資隊伍建設方針; MTI 教師必須加強個人教學能力提升,重點通過教學改革與實踐 研究,全面提升跨文化教學、多模態教學和生態化教學水準。

五、結語

高等教育已經邁入中國特色社會主義新時代,高等外語教育工作者要把握新時代高等教育發展大勢,

加快推進新文科建設,主動回應國家發展需要,主動服務地方經濟文化建設,促進高質量 MTI 人才培養。 2019年11月19日,教育部高等教育司吳岩司長在四川大學舉行的創新創業教育能力提升專題研修班上題 為「創新創業教育—人才培養範式的深刻變革」的主題報告中,呼籲大學人才培養範式的深刻變革。

MTI 人才培養的範式轉型具有重要的指導意義和實踐價值。MTI 人才培養要進一步主動服務國家和社會需要,通過以目標定位、特色凝練、課程體系建設、學位論文寫作、培養過程、導師評聘為抓手,創新構建翻譯碩士專業學位研究生人才培養品質標準與評價體系,從而推動人才培養模式改革,提高人才培養品質(彭青龍,2017)。

高素質人才是本地化競爭力的關鍵所在。針對當前 MTI 專業人才培養模式方面存在的問題, MTI 教育機構必須及時回應社會和市場的需求, 調整培養定位, 創新培養模式, 發揮區域經濟發展優勢, 堅持產學研協同發展路徑, 整合校內外優勢資源, 打造本地化專業特色, 為行業持續輸送職業化、多元化的本地化專才, 這樣才能滿足國家職業化人才發展的戰略需求, 積極推進國家語言服務建設和國家語言能力建設(王華樹, 2017)。

注釋

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An Empirical Study of College English Smart Teaching Driven by Intelligent Technology

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The present study entitled "An Empirical Study of College English Smart Teaching Driven by Intelligent Technology" is supported by the Foundation of 2021 Higher Education Teaching Reform Project of Lingnan Normal University, China.

Abstract: With the continuous integration of artificial intelligence technology and foreign language education, the entire educational ecology, including traditional foreign language education concepts, education models, management structures and governance systems, is undergoing profound changes. This study uses the Rain Classroom Smart Teaching Platform for online-and-offline foreign language teaching, providing a virtual intelligent learning environment for learners. This pedagogy supports the construction of a learning community through the establishment of an online learning space, which seamlessly connects different learning scenarios and forms a multi-way interactive relationship between teachers and students. The questionnaire survey showed that students were more satisfied with this hybrid smart teaching module (88. 78%) and were significantly more motivated to learn English (87. 6%). The results of the pre- and post-tests conducted before and after the teaching experiment showed a significant increase in students' scores (p<. 05), confirming the effectiveness of the teaching model. This study has implications for the practice of EFL teaching in higher education.

Keywords: Technology empowerment; Rain Classroom; EFL smart education; education informatics; Online-to-Offline

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智慧技術驅動下高校外語智慧教學實證研究

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摘 要: 隨著人工智慧技術與外語教育的不斷融合,傳統的外語教育理念、教育模式、管理架構、治理體系等整個教育生態正在發生著深刻的變化。本研究利用雨課堂智慧教學平臺進行線上線下外語教學,為學習者提供虛擬的智慧學習環境,通過建立網路學習空間來支援學習共同體建設,不同學習場景的無縫街接,形成師生、生師、生生的多向互動關係,發揮課堂生態的整體功能,形成完整的學習閉環。問卷調查表明學生對於混合式智慧教學滿意度較高(88.78%),學習積極性顯著提升(87.6%)。教學實驗前後分別進行測試,結果顯示學生的後測成績有顯著提高(p<.05),證實了該教學模式的有效性。本研究對高校外語智慧教學實踐具有一定啟示意義。

關鍵詞:技術賦能:雨課堂:外語智慧教育:教育資訊化:線上線下

基金項目: 2021 年嶺南師範學院高等教育教學改革專案《智慧技術驅動下高校外語大規模測試數據挖掘研究與改革實踐》。

引言

隨著人工智慧、大數據、雲計算等新興資訊技術的發展與應用,互聯網與教育的融合不斷深入,教育資訊化在方法和技術上也在不斷發展,智慧教育成為備受關注的焦點和未來發展方向。教育領域資訊化的腳步不斷加快,以智慧教育為核心的各類應用場景不斷以新的模式出現,帶來了教學方式的巨大改變。近年來,國內外諸多學者從不同視角對智慧教育內涵特徵和具體方法提出不少獨到見解。早在 2008 年,IBM 的執行官 Samuel Palmisano 在報告中首次提出智慧地球(Smarter Planet)的概念,描述了 IBM 如何採用先進的資訊技術構建新世界運行模型的美好期望^①。祝智庭等(2012)指出智慧教育的真諦就是通過利用智慧化技術(靈巧技術)構建智慧化環境,讓師生施展靈巧的教與學方法,使其由不能變為可能,由小能變為大能,從而培養具有良好價值取向、較高思維品質和較強思維能力的人才^②。人類智慧與機器智慧協同的模式迅速向外語教育領域延伸,建立外語教學互動新空間,重構了師生關係,體現協同開放性、多維共生性、智慧增強性,形成全新的數位化學習生態系統。何蓮珍(2020)認為資訊技術、智慧技術為大學英語教學提供了全新的教學方式和前所未有的豐富資源,高校應充分利用資訊技術實施混合式教學模式,積極創建多元教學與學習環境^③。

一、研究背景

智慧教育是運用 5G、人工智慧、大數據、雲計算、區塊鏈等新技術新手段,形成智慧學習環境支撐,通過資訊技術與教育主流業務的深度融合,讓教師能夠施展高效的教學方法,讓學習者能夠進行泛在學習、個性化學習,獲得美好個人發展體驗的應用場景。《教育資訊化十三五規劃》提出,在全面提升教育品質,在更高

層次上促進教育公平以及加快推進教育現代化進程等教育資訊化諸多方面進行努力。《教育資訊化 2.0 行動計畫》也指出實施智慧教育創新發展行動,以人工智能大數據,物聯網等新興技術為基礎,依託各類智慧設備及網路,積極開展智慧教育創新研究和示範,推動新技術支援下教育的模式變革和生態重構^④。《大學英語》課程作為高校全體學生的公共必修課,覆蓋面廣,涉及人數眾多,肩負著普及和深化英語語言應用和培養跨文化交際能力的重要作用,在眾多公共課中佔有非常重要的一席之地。這次新冠疫情是危機也是契機,它無疑將資訊化教學按下了快進鍵,全國師生無不進行了一場資訊化教學的普及,開展線上線下混合式智慧教學大大推進了大學外語教育教學改革,深度融合外語課堂教學和現代資訊技術。目前國內鮮有基於雨課堂教學平臺探討高校外語智慧教學的實證研究,因此本研究從實踐出發,探究智慧技術與高校外語教學融合的具體操作方法,具有一定的啟示意義。

二、基於雨課堂的外語智慧教學設計

(一) 資源準備

雨課堂是清華大學與學堂在線共同研發的智慧教學解決方案,可以有效提升課堂教學體驗,讓師生互動更便捷,是連接師生的智慧終端機,將課堂每個環節都賦予全新的體驗,融和 PowerPoint 到微信,教師課前推送可以嵌入 MOOC 視頻和語音的預習課件到每位學生的手機;課堂上即時簽到、答題、投稿、彈幕互動;課後佈置作業或者測驗鞏固知識。全面地覆蓋課前——課中——課後的各環節,豐富多樣的教學形式,活躍課堂氣氛,生成課堂報告,方便高效。

(二)課前預習

線上學習是學習的初始階段,預習能讓學生提前熟悉課程知識點,帶著自己的理解和思考走進教室有利於優化學習效果,所以授課前兩天教師通過雨課堂發佈預習課件給學生,在課件插入相關的網路視頻或者 MOOC 慕課資源,觀看視頻熟悉話題作為引發學習興趣的導入,佈置幾個與課文有關的主旨問題和細節問題,督促學生認真預習,完成初階知識學習,為課堂討論做準備,教師在後臺查看預習任務完成情況。整個教學設計流程見圖 1。

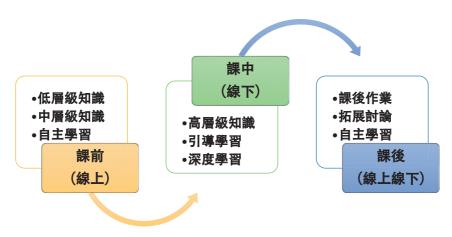


圖 1 基於雨課堂的外語智慧教學設計流程

(三)課堂面授

線下在實體教室面授是第二學習階段。面授課時,教師首先發起考勤簽到,學生掃描由雨課堂隨機生成的二維碼進行簽到,然後進入課堂學習。教師精心設計豐富的課堂教學活動,完成對學生線上預習成果的檢驗、協助學生完成知識的內化和遷移,是引導學生實現高階學習的重要階段。教師在課件中插入隨機點名或小測驗的方式來抽查學生預習效果,隨後開始講授課程,分析篇章的結構和寫作方法,講解重點詞彙及句型,提出拓展問題引發學生思考和討論。學生在手機端使用彈幕或者投稿方式回答問題,自由表達自己的見解,與全班同學分享交流相互學習,參與度很高,學生非常喜歡這個環節,能滿足了他們的表達欲,有助於長時間保持學生的注意力,不至於被動聽講而走神。教師根據學生的即時回饋適時調整教學進度,師生配合比較默契。開展討論、報告等多元課堂任務,在教學中提升學生多維技能,巧妙有機地融入思政元素,培養學生人文素養及愛國情懷。課堂面授是優化學習效果的關鍵環節,是實現課堂高階性、創新性和挑戰度的最主要場景。

(四)課後拓展

課後,教師利用雨課堂發佈作業或小測鞏固知識點,後臺監測每位學生完成情況,追蹤學習效果。授課結束,教師佈置線下小組討論任務,就課文主題進行拓展延伸,讓學生自行組織騰訊會議線上討論,方便高效易操作。根據教材涉及到的環保問題、男女平等、正確的交友觀、科學的審美觀、成功人士秘訣等熱點話題,安排學生進行深入的小組討論,學生自行搜集資料來製作精美的 PPT,然後用錄屏的方式彙報總結小組成員的觀點和見解,第二次上課時播放給全班同學觀看。通過觀看多姿多彩風格各異的視頻解說,同學們既深化了對文章內容的理解,又拓展了思維,迸發出新火花。他們旁徵博引地分析和深入探究既鍛煉了思辨能力,又活躍了課堂氣氛,同時合作學習也有效提升了團隊的凝聚力。更重要的是,該作業促使學生主動學習如何使用錄屏軟體錄製解說過程,有的小組使用 PPT 自帶錄屏功能,有的則使用 EV 錄屏軟體,間接地普及了全班同學的錄屏軟體知識,一箭雙雕。

(五) 評價手段

本實驗採用形成性和終結性相結合的評價體系,重視學生平時的學習表現。平時成績占 60%,包括考勤 5%,作業 10%,課堂表現 10%,小組展示 10%,視聽說 10%,口語訓練 10%,教師自主設置 5%等指標;期末筆試占 40%。開學初即告知學生各項指標的比例,其中課堂表現的 10 分是用於鼓勵課堂積極回答者,每次課答題者獎勵 10 個課程幣,上限是 100 個,滿 100 個幣即可得到課堂表現的 10 分,以此激勵學生積極參與課堂活動。同時使用 U 校園和 FIF 口語訓練手機 APP,學生在教材配套的 U 校園平臺自覺完成各單元的練習題,鞏固強化重點詞彙和句型的掌握。學生每週在 FIF 口語訓練手機 APP 上完成口語訓練任務,借助人工智慧評分,系統自動識別錯誤的發音和漏讀的單詞,極大地改善學生的發音從而提升口語表達能力。這種智慧教育是基於應用場景智慧化情景感知,將資訊傳輸至控制中心,使用大數據,雲計算等方式進行科學分析與評價,使受教育者享受隨時隨地的智慧化服務。

總之,外語智慧教學環環相扣構成完整的教學週期,形成貫穿「課前+課中+課後」的學習閉環。這種模式構建的正是這樣一個師生、生師、生生的多向互動關係。智慧學習的核心目標是促進學習者個性化的發展,為學習者提供虛擬的智慧學習環境。通過建立以連接課堂與社區、家庭與校園為重要載體的網路學習空間來支援互幫互助、協作交流的學習共同體建設,形成不同學習場景的無縫銜接^⑤。利用智慧化動態化的學習評估與回饋,即時瞭解學習者學習狀態,激發學習興趣,構建網路交流社群,促進學習者之間經常性的



交流與溝通,發揮課堂生態的整體功能。

三、教學效果分析

(一)研究設計

本次教學實驗採用問卷調查、前測、後測的方式收集數據。問卷調查用於對學生在教學實驗後對該模式的滿意度進行分析;前測後測是對學生在實驗前和實驗後的英語綜合能力進行分別測試。研究对象為嶺南師範學院 2019 級非英語專業大二學生,涉及人文、經管、理工等多個專業,學科覆蓋面廣。本實驗包括 16 學時的線上自主學習和 32 學時的課堂面授,實驗進行了一個學期,共計 16 周。

(二) 結果與分析

1. 問卷調查

在智慧教學改革實踐結束後,對實驗班學生進行問卷調查,共發放問卷 265 份,回收有效問卷為 261 份,問卷回收率為 98.49%。問卷內容包括教學設計、教學內容、教學效果等方面,採用李克特五級量表(即「非常滿意」5 分、「滿意」4 分、「一般」3 分,「不滿意」2 分、「非常不滿意」1 分)來收集學生評價。其中,高達 88.78%的學生對外語智慧教學模式持滿意態度(見表 1)。90.82%的學生認為線上線下互相融合的教學設計很合理,學習內容豐富多樣而且充實,信息量大。89.73%的學生認為課堂互動性好,課前課後師生和生生交流充分,課堂氣氛比較活躍。87.60%的學生表示自己學習英語的積極性有顯著提高。整體結果表明,學生對外語智慧教學模式滿意度較高。

評價指標	滿意	一般	不滿意
對大學英語智慧教學模式的態度	88. 78%	8. 21%	3. 01%
上課認真投入,準備充分,思路清晰,解答準確,有啟發性	92. 48%	5. 13%	2. 39%
教學設計合理,線上線下內容豐富充實,信息量大	90. 82%	7. 62%	1. 56%
資訊技術手段運用自如,多媒體課件製作精美	93. 84%	3.65%	2. 51%
課堂互動性好,師生交流充分,氣氛活躍	89. 73%	7.98%	2. 29%
學習英語的積極性有顯著提高	87. 60%	8. 43%	3. 97%

表 1 學生對外語智慧教學模式滿意度調查

經過一個學期的訓練,學生對於線上預習方法掌握較好,逐漸形成提前預習的好習慣。對問卷數據用單樣本 t 檢驗分析,結果顯示(見表 2),教學實驗後學生的自學能力得以顯著提升(P=0.001<0.05)。

學習階段	自我評估	均值 M	標準差 SD	t	P
課前預習	規劃學習	3. 43	0.74	10. 357	0.001
	完成預習	4. 46	0. 82	11. 792	0.001
課堂面授	參與課堂活動	4. 64	0.76	17. 428	0.000
	選擇學習策略	4. 59	0.71	16. 062	0.001

续表2

學習階段	自我評估	均值 M	標準差 SD	t	P
課後作業	反思學習效果	3. 44	0.80	10. 348	0.000
	完成作業	4. 50	0.73	12. 694	0.001

表 2 學生自學能力調查

2. 前測後測成績對比

為了保證測試的信度和效度,筆者採用往年四級真題重新組合後用於測試,教學實驗前和實驗後分別進行一次。測試卷總分設為100分,其中客觀題70分,包括聽力20分,閱讀理解40分,完形填空10分;主觀題30分,包括翻譯15分和作文15分。客觀題使用機器閱卷,主觀題由一位經驗豐富的教師批改。樣本數為265份,前測和後測成績呈正態分佈,經 SPSSAU軟件統計分析,利用配對t檢驗去研究實驗資料的差異性。表3可以看出:配對數據呈現出差異性(t=3.359,p=0.002)。具體對比差異可見,英語水準後測成績的平均值(72.83),明顯高於前測的平均值(65.85)。

配對 t 檢驗分析結果								
万 平亚	配對(平均值±標準差)		关佐/然则 益测)	4				
名稱 	後測	前測	差值(後測-前測)	ι	р			
後測 配對 前測	72. 83±6. 83	65. 85±7. 71	6. 98	3. 359	0.002 * *			

表 3 學生英語水準測試成績

表 4 數據顯示,後測閱讀理解成績與前測閱讀理解呈現出差異性(t=2.257, p=0.030),後測閱讀平均分 29.49,遠高於前測的 22.34。

配對編號	項	平均值	標準差	平均值差值	t	p
並」 称↑ ▼	後測閱讀理解	29. 49		2.15	2 257	0.030 *
配對 1	前測閱讀理解	22. 34	5. 12	2. 15	2. 257	0.030 *

表 4 前測後測閱讀理解成績對比

從表 5 可見,兩次測試的作文成績對比也呈現出顯著性(t=3.322,p=0.002),後測平均分 11.98 稍高於前測的 10.98。說明通過課堂引導同學們進行高階問題的討論,以及課後小組成員的頻繁交流增強了學習者的思辨能力,對相關話題的思考更加深入透徹,批判性思維得到了鍛煉和提升,閱讀和書面表達能力也相應有所提高。

配對編號	項	平均值	標準差	平均值差值	t	p
配對 1	後測作文	11.98	1. 18	1 00	2 222	0.002 *** **
	前測作文	10. 98	1.70	1.00	3. 322	0.002 * *

表 5 前測後測作文成績對比

四、結果討論

疫情期間凸顯了互聯網和資訊化技術縮短時空距離的強大優勢,保證師生健康安全的前提下維持正常的教學進度和教學秩序,極大優化了教學管理效率,減輕了教師負擔。後疫情時代,教師應繼續借助雨課堂等類似的智慧教學平臺,對每位學生在各個教學階段進行即時追蹤,掃碼自動考勤省時省力,課後自動生成課堂報告、教學管理電子包、課程重播等,方便因故未能及時到課的學生查看重播視頻,自學課程,跟上進度。祝智庭(2016)指出智慧學習空間需要借助 O2O(Online to Offline)理念搭建無縫學習環境,這樣學習者可以線上上的虛擬空間中享受優越的、人性化的學習服務,完成知識的傳授與內化,線上下的實體空間中,完成知識的外顯與遷移⑥。同時,基於智慧化場景,智慧教育還可根據使用者需求提供個性化、獨特化的學習,具有按需推送的特性。根據過程資料,教師還可以精准地分析評價每位學習者的短板弱項,精准地推送定制的複習資料,滿足其個性化學習需求。智慧分析、預警學生各方面學情表現,助其打造高效學習新捷徑。通過激勵和遊戲化學習方式提高學習積極性,課堂回答問題獎勵課程幣和 FIF 口語的通關模式都是很好的範例。

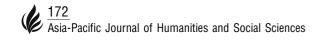
這次疫情期間湧現了很多線上教育的實踐創新,無論從教學組織方式、資源供給模式、評價和管理、教與學的關係等都有了重大的變革。因此,互聯網推動了知識觀的演變發展,依託群體智慧和網路環境,互聯網將之前傳統的有限書本知識、靜態客觀知識、普通抽象知識逐步轉變為海量網路資訊、動態主觀知識和綜合碎片知識。當今學習過程是三個網絡相互作用的過程:神經網絡、概念網絡、資訊網絡。疫情後,互聯網成為教育的新空間,新時代的外語教師首先在線上的虛擬空間安排學生進行課前預習和思考課程的初階問題;接著在實體教室的物理空間組織學生進行高階的思維拓展和深入討論;然後教師在大數據構建的互聯網學習社區給學生佈置作業或測驗以鞏固知識。

實踐證明,本實驗中採用的多維度智慧評價是基於新一代資訊技術的智慧評價手段,能有效地對學生進行全方位、全過程、動態化、客觀真實地評估學習成效。對各類教育資料(教學質量、教師發展、學業情況、學科情況、學生綜合素質等)進行全方位的採集,存儲,實現準確的定量評價。通過大數據技術建立多元、多維、多指標的評價模型,對教育評價數據進行深度挖掘分析形成學習者的評價報告。

該模式也存在一些不足:首先,教師需要全程跟蹤並有效地監管學生線上學習,對自律性較差的學生要及時提醒,督促其按時完成線上預習任務和線下討論活動。其次,電腦操作能力較弱的學生無法很好地完成指定任務,線上學習需要同學幫忙,容易出現挫折感從而降低學習興趣。再次,個別學生在小組合作和討論時偷懶,沒有積極主動地參與其中,依賴其他組員完成任務。這些問題都需要教師在今後教學過程中思考如何更好地協調,保證線上線下教學效果。

五、結語

互聯網+教育時代下的高校外語教師需要靈活運用資訊技術,適時更新教育理念,變革教育模式方能跟上時代的步伐。當今人類進入萬物互聯的智慧時代,彈性教學時空是未來教育的基本標誌。雨課堂在全國高校的覆蓋面非常廣,而作為一門量大面廣的《大學英語》課程採用線上線下智慧教學設計,在後疫情背景下對於高校外語教師們具有一定的推廣意義。目前高校外語教學越來越受關注,外語教學不會完全回到以前的模式,勢必會融合資訊技術手段來增加師生互動,增強授課效果。以疫情觸發的線上教學新常態為契機,全力推進高校外語智慧教學模式,有效融合傳統教學和資訊化教學,為學生搭建一個合作學習、探究式



學習、自主學習的平臺,促進高等教育的教學內容、教學方法、授課模式和教學管理體系的機制改變,探索如何更有效地進行線上線下教學的互動融合,對優化高校外語教學教育品質具有深遠意義。

注釋

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目前是浙江師範大學非洲研究院法語研究中心高級研究院法語研究中心高級館員、執行主任和非洲博物館館長。他擁有法國巴黎第一大學國際關系博士學位,以及兩個博物館學和非洲歷史的碩士學位。他曾是馬裏國家博物館的學上是法國巴黎國際博物館理事會全國委員會主席。

他在馬裏外交和國際合作 部擔任外交官長達22年。他曾 任部長參贊,後來在馬裏駐塞 內加爾共和國大使館擔任第二 參贊, 然後擔任第一參贊, 負 责岡比亞共和國、幾內亞比紹 共和國和佛得角共和國的事務。 2011年,他率領馬裏代表團作 為團長出席了在中國杭州舉行 的首屆中非智庫論壇。2011年 至2013年間,他曾擔任馬裏外 交部駐加納、幾內亞比紹、利 比裏亞、塞內加爾、塞拉利昂 和多哥西非國家 (西非經共體) 總統選舉特派團經濟顧問的代 表。2013年至2016年間,他是 馬裏駐北京大使館負責中國、 朝鮮、越南、老撾和柬埔寨外 交事務的第一參贊。

自2017年公職任滿以來, 他一直在浙江師範大學工作, 在非洲博物館從事教學、科研 和文物鑒定工作,並積極推 新江師範大學「中國非洲研究」 和「非洲中國研究」的建 國家發表了數十中國 國家發表了數十中國與 對文文章,主題包括中國與世 以文文 中非/中馬合作等,積極向貧 對 中非/中屬的發展和合作。

[Scholar Profile]

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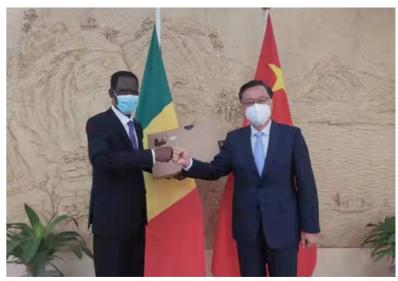
AFFILIATION: The Ministry of Foreign Affairs, Mali

INTRODUCTION:

Yoro Diallo is currently a senior researcher and executive director of the Center for Francophone Studies, and director of the African Museum at the Institute of African Studies of Zhejiang Normal University in Jinhua, China. He holds a PhD degree in international relations and two Master's degrees in museology and African history from Université Paris I (Panthéon-Sorbonne), France. He was a professor at the National Museum of Mali, and president of the National Comity of the International Council of Museums in Paris, France.

He used to work as a diplomat at the Ministry of Foreign Affairs and International Cooperation of Mali for 22 years. He was the counselor of the Minister, and later on he served as second counselor and then as first counselor at the Embassy of Mali in the Republic of Senegal in charge of the Republic of Gambia, the Republic of Guinea-Bissau and the Republic of Capo Verde. In 2011, he led the Malian delegation as the director to the First China-Africa Think Tanks Forum held in Hangzhou, China. He was a representative of the Ministry of Foreign Affairs of Mali to the Economic Counsel of West African States (ECOWAS) Presidential Election Missions in Ghana, Guinea-Bissau, Liberia, Senegal, Sierra Leon and Togo between 2011 and 2013. He was the first counselor at the Embassy of Mali in Beijing in charge of foreign affairs with China, Democratic Republic of Korea, Vietnam, Laos, and Cambodia between 2013 and 2016.

Since his term of office expired in 2017, he has been working at Zhejiang Normal University (ZJNU), undertaking teaching, scientific research and cultural relics verification in the African Museum, and actively promoted the construction and development of "African Studies in China" and "Chinese Studies in Africa" at ZJNU. He has published dozens of articles in both English and French on such topics as China and the world, Communist Party of China, China-Africa/Mali relationship, China-Africa/Mali cooperation among others in many African, Asian and European countries, actively introducing China's experience in governance, poverty reduction and development to the people of the world, and striving to promote China-Africa/Mali development and cooperation.



Yoro Diallo (on the left) had friendly exchanges on China-Mali relationships with Chen Zhihong (on the right), China's ambassador to Mali.



[Scholar Profile]

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正在主持國家重大項目「非洲英語文學史」, 已經完成國家重點項目「當代漢學家中國文學英 譯的問題與策略」等4個國家級課題和其他各類 科研項目20多種;獲得「第八屆高等學校科學研 究優秀成果一等獎」、上海市哲學社會科學優秀 成果獎 (三次) 和全國寶鋼教育基金優秀教師獎 等各類獎項30多種。在《中國社會科學》《文學 評論》《外國文學評論》《中國翻譯》等重要雜 誌發表學術論文200多篇;出版著作(中英文)、 編著和譯著100多種;在《人民日報》《解放日 報》《光明日報》《文匯報》《文學報》《文藝 報》《中華讀書報》等重要報紙發表時評100多 篇; 另發表小說、詩歌和散文等文學創作幾十種。

主持譯介的《達·芬奇密碼》《天使與魔鬼》 《數字城堡》《騙局》《失落的秘符》等丹•布 朗系列文化懸疑小說及相關中英文著作在國內外 引起較大反響, 中央電視臺、中央電臺、鳳凰衛 視等100多家主流媒體對他在中外文學文化教學、 研究和翻譯等方面的工作做過專門報道。先後次 為國家文旅部官員和外交部新任官員做培訓講座; 曾擔任國家文化部與歐盟聯合舉辦的「文化之都 國際會議」的大會雙語主持和大會總結發言; 曾 為上海圖書館等各地公益部門做公益講座50多場; 所著《當代漢學家的中國文學英譯歷程》入選「 2020年中華學術外譯書目」; 上海翻譯家協會評 其為「20年5人」和「30年10人」,《社會科學 報》評其為「30年30人」, Shanghai Daily評其 為「20年20人」。

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Dr. ZHU Zhenwu is a level-two professor and doctoral supervisor at Shanghai Normal University (SHNU). He is currently the head of the Key National Disciplines of Comparative Literature and World Literature, director of Foreign Literature Research Center of SHNU, head of Shanghai World Literature Diversity and Civilization Mutual Learning Innovation Team, and a member of China Writers Association. In addition, he is also the president of the Novel Professional Committee of the Chinese Society for the Comparative Study of Chinese and Foreign Languages and Cultures, vice president of the China Association for the Comparative Study of Chinese and African Languages and Cultures, vice president of the China Foreign Language Teaching and Research Association, vice president of the China's Cognitive Translation Research Association, deputy secretary general of the China's Foreign Literature Society, and distinguished professor of Peking University, etc. He serves as an editorial board member or consultant for more than a dozen important journals such as Asia-Pacific Journal of Humanities and Social Sciences, Journal of Shanghai Normal University, Journal of Zhejiang University, etc.

At present, he is presiding over the national major research project titled "History of English Literature in Africa", and has completed more than 20 kinds of national projects such as the national key project titled "Problems and Strategies of Contemporary Sinologists in English Translations of Chinese Literature" and among the other research projects. He has won more than 30 kinds of awards such as "The First Prize of the Eighth Outstanding Achievements in Scientific Research in Colleges and Universities", the Shanghai Philosophy and Social Science Achievement Awards (three times), and the National Outstanding Teacher Award sponsored by the Baosteel Education Fund, etc. And he has published more than 200 academic papers in important journals such as China Social Sciences, Literary Review, Chinese Translators Journal, etc. and over 100 works including edited and translated works in Chinese and English, and more than 100 reviews in important newspapers such as *People's Daily, Guangming Daily*, etc., as well as dozens of literary creations such as novels, poems, and essays.

In recent years, he has delivered over 200 academic lectures and public lectures, and attended more than 100 important academic conferences at home and abroad and made keynote speeches. In addition, he has been leading his team to translate Dan Brown's series of novels such as Da Vinci Code, Angel and Devil, Digital Castle, Deception, Lost Secret, and some other related Chinese and English works at home and abroad. Such media as CCTV, Phoenix Satellite TV and other mainstream media reported his success in research on, translation and teaching of Chinese and foreign literature and cultures.

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