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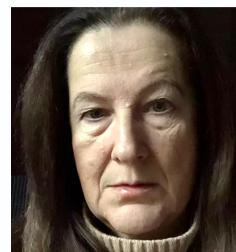
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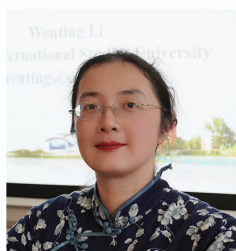
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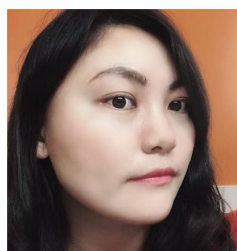
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Hei Ma:
A Tripartite Role as Translator, Author, and TV Producer:
An Interview with Hei Ma by Wang Zuyou

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Abstract: Hei Ma, whose original Chinese name is Bi Bingbin, is a senior translator, novelist, and TV producer. He is one of the speakers for the "Contemporary Intellectuals Public Lecture Series" inaugurated by Prof. Wang Zuyou. After the lecture, Mr. Hei Ma accepted an interview by Prof. Wang Zuyou to expand in retrospect on his forty years as translator of D. H. Lawrence, writer and TV producer. Mr. Hei Ma expounds his unremitting exertion to his designated literary aims and tripartite role as translator, author, and producer as a process in "pursuit of a luxurious spiritual world" at the expense of some material gains and much leisure time. His career story serves as a source of inspiration for our foreign language learners and literary researchers.

Keywords: Translator; Writer; TV producer

Notes on the contributor: WANG Zuyou, male, Han nationality, Ph.D., professor, Ph.D. supervisor, School of Foreign Languages, Taizhou University, Jiangsu Province, and director of the Institute of cross-cultural Communication, specializes in American literature and literary translation.

Notes on the interviewee: Hei Ma, whose real name is Bi Bingbin, is an experienced translator and writer. He used to work as a literary editor and TV producer. He has translated and published many of Lawrence's novels, essays, poems, and other works, which have been collected into a ten-volume book, *The Collected Works of Lawrence*. He has also translated and supplemented Lao She's *The Four Generations of the Same Family*. He is the author of sixteen novels, including *Mixing in Beijing*, *A Thousand Miles of Sin*, and a collection of prose essays, *On the Tower of Babel* etc. The movie of the same name, *Mixing in Beijing*, won the Hundred Flowers Award of the People's Cinema.

三駕馬車和諧行——黑馬訪談錄

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摘　要：黑馬，本名畢冰賓，是資深翻譯，作家、電視製片人。是「當代知識份子公益講堂」系列第四十講邀請的主講人。講座之後，筆者請黑馬先生對他自己翻譯、寫作和電視製片等方面的經歷做了全面深入的闡述，他的經驗之談包括：娛樂、社交上必要的「犧牲」，是為了奢侈的精神世界的「捨得」，這種對藝術事業全心奉獻的人格，給所有外語工作者、研究者提供了非常有價值的啟發和指導。經他審核、修訂，特將通過微信對他所做的書面訪談刊發，以饗讀者。

關鍵詞：翻譯；作家；電視製片人

前言

2024 年 8 月 30 日星期五晚 19：30-21：30，「當代知識份子公益講堂」系列第四十講邀請到了著名翻譯家、作家、學者和電視製片人黑馬（本名畢冰賓）老師介紹了自己將老舍先生的長篇小說《四世同堂》後十六章散佚原稿從英譯稿回譯成中文，使這部文學名著完璧的翻譯歷程。以此為契機，筆者跟黑馬通過微信聯繫，向他提出了一些對外語研究和外語工作者有普遍意義的問題，經過他耐心細緻地回答以及後期審核、修訂，生成這篇珍貴的訪談錄，特刊發於此，以饗讀者。

王祖友：這次您應邀參與「當代知識份子公益講堂」活動，更多的人對您表示關注，可見翻譯和傳播關係密切，您可否就您的翻譯工作作進一步闡述？

黑馬：謝謝。我從事翻譯應該是歪打正著和水到渠成的事。我是恢復高考第一批即 77 級英語本科生，那時學英語實用性很強，就是苦練「聽說讀寫譯」五個基本功，畢業去向是當實用的口譯、教師、導遊等，填補十年運動造成的英語人才荒。所以上學時也沒有什麼超現實的理想，就是把英語基本功練好，準備當萬金油。那幾年的基本功練習還是很管用的。但作為文學愛好者，總感覺自己最好將來能做專門的文學方面的工作才更符合自己的心願。到大學二年級時，看到各個大學都開始招收少量的研究生了（就是楊武能、盛寧那批人），我也看到了自己的方向，那就是將來去考研究生，深造，以後應該可以做外國文學研究方面的工作。當時我能看到的「典範」就是社科院外文所裏的一批著名人士，希望自己也能向那個方向努力。畢業前如願以償考上了研究生，我就打算套用外文所的模式，也學著李文俊、宗璞等人的樣子，專門研究一個外國大作家，在選擇論文方向時就選定了當時尚未廣為人知但似乎又「名聲可疑」的勞倫斯的作品。但畢竟是省級師範大學的研究生，畢業分配的方向基本就是去一般高校的外語系做英語教師，不可能進入外文所那樣的機構做研究。於是我就選擇去出版社先從編輯做起，在那個資訊閉塞的時代，編輯工作接觸面廣，可以接觸到李文俊這樣的名家組稿，同時也是學習的好機會。這個時候我就發現，像勞倫斯這樣的名家名著在中國基本沒有譯文，如果我只是苦心孤詣寫作論文，得到發表的機會不會太多（那時的刊物只有學報和《外國文學研究》一家專業刊物），寫作專著似乎還沒有那樣的權威話語權，於是感到我的出路應該是從翻譯勞倫斯的作品做起，翻譯本身就是深度閱讀，更是真正的研究過程。於是就從中短篇和散文隨筆做起，開始翻譯

勞倫斯了。事實證明這樣的情勢下的選擇是適合我的境遇與個人的愛好和追求的,翻譯出版量多了之後,對勞倫斯作品的解讀角度和深度都會與之前迥異,逐漸隨時有一種「勞倫斯牧師」的感覺,就知道,翻譯是通向理解和感同身受的正確路徑,於是就一直做了下來。當然,我後來的職業是電視片中譯英並作了譯製片的製片人,表面上看工作耽誤了勞倫斯翻譯研究,但其實大量的中譯英實踐對保持自己的英語語感和水準是有幫助的,讓英語成為工作語言,成為自然的思維語言之一,對英譯中自然也有裨益。還有我沒有停止從本科時期就進行的小說散文詩歌寫作練習,出版發表了一些作品,這對我體察翻譯中的作家的創作心態和創作機制更有幫助,讓我以一個「同行」的同理心去熱愛、體悟另一個作家的甘苦,同時也向他們學藝。

王祖友:您通過「回譯」譯補完璧老舍先生《四世同堂》足本是您翻譯事業上的一大創舉,我想著在全國都是獨一無二的,在全球也是難得一見的吧?

黑馬:嚴格說「回譯」本身並非創舉。多年前林語堂的多部用英文寫的小說都翻譯成了中文,那屬於「無本回譯」的範疇,但那個時代沒有「回譯」這個概念。我有幸在 1991 年就跟隨老師勞隴先生回譯了林語堂的長篇小說《朱門》。當時唯一的追求就是,既然是林語堂寫的中國故事,翻譯時就必須有林語堂那樣的口吻,或者至少是個老派作家的口吻,要有民國氣韻。恰好勞隴是民國初年生人,他翻譯上半部,為我做出了榜樣,我就儘量步其後塵,亦步亦趨。估計類似的回譯也還有一些。只是這次老舍《四世同堂》散佚的後十六章英文譯稿在時隔七十年後意外被發現,再回譯,因為老舍崇高的文學地位和世界性的感召力,使得這次回譯行為成了一個現象級的事件。這都是老舍本身的勢能所致。如果換成某個普通作家的作品,估計就沒有典型意義了。可以說老舍先生用自己作品的遭遇給文學界帶來轟動性的景觀,也為文學翻譯界提供了「回譯」的最佳機遇和範例。這樣的事雖然不是首次,但其效應確實是空前的。

王祖友:勞隴先生回譯了林語堂的長篇小說《朱門》,您回譯老舍《四世同堂》散佚的後十六章英文譯稿形成老舍《四世同堂》足本,請問您從勞隴先生得到哪些教導? 您在哪些方面超越了先生?

黑馬:勞隴先生是我本科翻譯課老師,可以說我對文學翻譯最早的認識都來自勞隴。他那時並無高深的理論,總強調的一點就是「no context, no text——無上下文則無本文」,讓我們翻譯任何作品首先關注與文本有關的文化歷史及個人背景等,分析透了再翻譯,譯文儘量少翻譯腔,更不要有西化句子和西式語法表達方式等,而且是為我們每個人都批改翻譯作業,言傳身教,強調實踐性。讀研時我與他南北相隔,但他也沒有放棄對我的指導,時有通信。畢業後他又帶我翻譯《勞倫斯傳》和《朱門》,是我的師傅。勞隴學富五車,學貫中西,淹通古今,他和他那個時代的老先生的學養我輩實難望其項背,能偷得三分已屬慶倖。尤其在中國古典文學方面,我這個七十年代的中學生一路揠苗助長,實在慚愧,絕不敢翻譯與中國古典文化有關的作品。也只能在老師的教育下,斗膽發揮一下,自稱自己遵從他的 no context, no text 的理念前提下自創自己的理論為「語境化的歸化法」「超越信達雅的嘗試」——「contextualized domestication, based on and beyond the classic Three Principles」,以新時代的語感翻譯現代小說,算是揚長避短,另闢蹊徑而已。而回譯老舍《四世同堂》恰恰因為作品以北京口語化方式寫就,是大眾化作品,而我的小說《混在北京》恰好是現代北京口語化的作品,出版社認為我適合對其做回譯,我也認為在這方面有底氣和底蘊,就不揣譾陋接了這個工作,算是又一次揚長避短的實踐,絕不敢認為超越老師。

王祖友:您創作的長篇小說《混在北京》多年過去依然是經典,根據本書改編的電影曾獲大眾電影百花獎。您說您的小說《混在北京》「恰好是現代北京口語化的作品」,可否以您的創作為例闡述現代北京口語化的作品的特徵?

黑馬:北京話寫作文學作品似乎是一種寫北京市井故事的基本特徵。但對北京話的使用還是分層次的。如有寫純粹老北京子孫的胡同生活或「大院生活」的,作家會調動很多北京傳統方言語彙,現在稱「北京話水準測試」級的北京方言土語。那樣的作品應該是特別有北京特色的,外地人甚至都很難看懂。還有一種就是以日常北京口語(接近正常的普通話但夾雜北京方言土語)寫作的作品,這種作品北京人和外地人都

能欣賞,但不失方言特色。《混在北京》因為主要人物都是八十年代進京和留京的外地年輕知識份子,他們在正式場合講標準普通話,生活中則操一口帶有北京方言的口語普通話。比如「翻扯,形容人發火、翻臉。逗牙籤子,開玩笑的意思,與『逗咳嗽』、『逗悶子』、『逗哈哈兒』都是一個意思。」但他們不會使用特別土的胡同串子北京話如形容漂亮女孩是「尖果兒」之類相對流行的辭彙。我利用翻譯老舍的機會,總結了二百多個北京話例句,曾發表在一家學報上,也收進我的書《巴別塔上》。錄幾處例子,這就是日常北京口語,外地人也能看懂,但普通話就不這樣說了:C27 起早兒(rose early-2),努著勁兒坐起來(exert himself to sit up-2),他是祁家的盼頭兒(the hope of-3)。C28「別為那些小事兒煩我,仨瓜倆棗兒的,我金三爺都懶得動活兒。」(for the sake of three grains of sesame and two dates, I will not trouble to move my legs. -1),嘿兒嘍著孩子(with the child on his neck-4),做出格兒的事(go out of his way purposely-5),在日本人面前混個臉兒熟(to show himself before the Japanese-5),沒法兒不(這是北京口語的表達方式 could not but-6)小矬個兒,小鼻子小眼兒(short men with small noses and small eyes-6),到了兒(finally-13)。(C27,指原版 27 章,-2,指第二段,依此類推)

王祖友:這還真是京味十足呢。《巴別塔上》聽起來像是與語言、翻譯有關,實際上是什麼樣的書呢?

黑馬:隨筆集,側重翻譯讀書寫作類。

王祖友:是您的學術「史記」?

黑馬:就是平日隨意寫的,趕上他們出一套書,就捏到一起湊一本。

王祖友:翻譯、寫作、電視製片是您事業的三駕馬車?他們之間的關係您是如何平衡的?

黑馬:基本上就是我生活的三個組成部分了。翻譯和寫作是我的精神支柱,我靠這個活個精神,沒有它我肯定不快樂;電視製片(包括轉型前的出版社編輯工作)是我的職業,它讓我有了基本的生活保障和財務自由。但我的文學事業也有相應的稿酬回報,並非通常人們理解的做文學要「甘於清貧」。我的職業是英語電視節目製作,包括了英語翻譯、配音、英語電視直播的導播和節目監製,我還做過英語節目出境記者,這恰恰是英語專業人理想的對口工作,它不僅僅是稻粱謀,也給我很大的快樂,那就是一個外語人的學以致用,我因此能在日常生活中部分地保持英文思維方式,這對我從事英譯漢也自然是大有幫助。我僅僅是學以致用之外,又多出了文學的追求,比較奢侈。這樣一來,這三部分在於我是有機的存在,不存在難以平衡的問題,就是一種有機的生活方式。唯一需要調配的是時間。工作之外的大部分時間肯定是花在寫作和翻譯上,下班後的時間,一年中的一百多天雙休日、法定節日和法定休假肯定絕大部分用在這上面,生活簡單,基本沒有旅遊(時而外出的講座也能代替旅遊),很少社交活動,就是為了保證充足的寫作和翻譯時間。當然這是必要的「犧牲」,是為了奢侈的精神世界的「捨得」。當然生活中就是最普通的人,沒有什麼公權力可尋租,也因此生活中會受到很多挫折。但我相信塞林格的一段話並用它與同道共勉:「The mark of the immature man is that he wants to die nobly for a cause, while the mark of the mature man is that he wants to live humbly for one.」這段話很實在,意境高,姿態低,它鼓勵我放飛自己卑微的理想,腳踏實地,不忘詩與遠方,碼字不停,從一篇一本書慢慢做起,著作等身,細流成河。這是因為從很小的時候在小城小街的大雜院裏就萌發了未來要出版自己的書的念想,既然選擇了這個理想並且逐漸做到了,就不存在平衡什麼了,所有的捨得都是為了那個本不該有但最終實現了的奢侈理想。

王祖友:作為外語人,您的生活方式應該是大多數外語人夢寐以求的。電視製片對一般人來說是比較神秘的活動,能否結合您的經歷具體談談,給感興趣的朋友做些「科普」。

黑馬:其實學外語,以自身聽說讀寫譯全面發展的基本功為基礎去投身任何別的事業都是可能立住腳的。我當初在出版社做翻譯類圖書編輯本來是專業對口的理想工作,而且已經出版了兩本勞倫斯的長篇小說,發表了自己的小說和幾篇論文,出版了第一本紀實文學集,《混在北京》馬上就要出版並改編為電影。所以我對那個工作是很留戀的,就是想像巴金當年那樣,自己當出版人同時自己也是作家和翻譯家。但不出

幾年，就趕上1992年中國加入國際版權公約後翻譯作品需要花外匯買版權（以前是可以隨便翻譯出版的），又不能只出公版書，我所在的出版社主業不是譯文，就打算停止譯文的出版工作，我就事實上等於失業，雖然也給我安排了別的工作並做了科長。但我還是不捨得自己的英語專業就此荒廢，準備調動工作，到處應聘應考。有個新興的大銀行看上了我，說正在物色一個總經理辦公室的中英文秘書，我考慮到自己的文學愛好，就沒有答應，知道給幾個老總當秘書雖然日後發展前景可觀，但那樣就沒有我的文學空間了。可我想去的社科院外文所給我的公開回答是他們開始招收博士，我僅僅有碩士學位就不考慮了。這時我考電視臺的結果出來了，準備錄用我，去做文旅電視片的英文版，也就是把已經播出的一些中文節目翻譯後，配音、打英文字幕，做成英文節目對外播出，而不是我預料中的去做英語新聞節目的記者和編輯。待我去工作上手不久，就發現電視臺的工作變數很大，其實都是媒體人的工作，必須有萬金油的素質，需要臨時抽調做什麼就要能稍加學習馬上上崗。那之後因為工作需要，我還做過出鏡記者，做過大型直播節目的演播室導演，如香港回歸時我在香港一個月拍攝專題新聞節目，有時是下基層做報導，節目播出時有在國外的同學看到我站在江蘇鹽城的稻田裏拿著話筒在做現場英文解說，就很驚訝說你一個學文學的人怎麼轉行這麼徹底。我回答說學文學的才要敢於行動才能有生活供自己去寫小說啊。果然在江浙一帶的私人合資企業的採訪啟發了我的小說中一些情節的寫作。我還採訪過一些各界要人，如香港幾所大學的校長，都是英文採訪英文播出。自然隨著年齡和資歷的增加，我後來還是又轉回到譯製片製作的崗位，做了製片人和節目譯審，但這個崗位不是什麼行政崗位，是純粹的技術工種，每一道工序都要監管到位，最終是播出稿件的審讀和節目完成版的英文配音錯誤和字母錯誤的修改，全部完成後提交總監制批准播出，是節目品質和語言品質的把關人。這正是我們外語專業聽說讀寫譯五大基本功加電視製作的 English+工作，做得得心應手，也受到很大的鍛煉。我們很多同學畢業後以英語做基礎，去從事外貿、旅遊、金融、廣告等等，同樣都是經過一陣學習和磨合得已安身立命，但前提是英語（外語）的功能沒有丟，而且都是需要外語打底的工作。我轉向電視傳媒也是這樣，只是比較早。現在很多大學的外語專業都同時學習一個第二學位，已經成了趨勢，就是利用外語的特長，做與外語有關的工作，而不是簡單地當翻譯。一個傳統的只會一門外語的人可能在職場上很難找到合適的工作了。

王祖友：您在前面提到——很少社交活動，就是為了保證充足的寫作和翻譯時間。當然這是必要的「犧牲」，是為了奢侈的精神世界的「捨得」。可否把這理解為您的生活哲學？

黑馬：也談不上生活哲學，開始就是為了節約時間，做自己理想中的事，畢竟出版是有合同約定期限的，必須按時交稿。久而久之，人就會產生慣性，習慣就成了自然，也可能就成了生活的哲學，性情也可能得到改變。

王祖友：生活習慣或者生活哲學可能是職業或事業成敗的一個基本因素，感謝您分析自我、分享經驗，對於年輕一代的外語人，您有什麼贈言？

黑馬：現在情勢與四十年前應該完全不同了。但有一點沒有變，那就是學好一門外語（最好還粗通一門第二外語）能幫助我們融入更廣闊的世界，「內宇宙」與「外宇宙」都獲得極大拓展，讓中外文化在自己身上產生和諧的文化間性，從而提升自己的文化人格和品質。

王祖友：說到人格，我補充一個問題。有人認為：藝術家在創作中探索自我和自主性，寫作是用某種方式忘卻自身，從而發現更加令人滿意的人格自我，開始思考「觀點」和「信仰」，您是不是也有同感？

黑馬：有的。但更簡單的是福斯特所說，他要寫的是「自我，我厭惡的人和我想成為的人」。

王祖友：謝謝您讓我感覺到一個有良知的文化人的人格魅力！

黑馬：您過獎了！

(Editors: LI Ruobing & Bonnie WANG)

[Ezra Pound Studies: The Global Dynamics]

欄目主持人語(李文婷〔博士,碩士生導師,四川外國語大學副教授〕):

Ezra Pound Studies:
The Global Dynamics

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Abstract: This column "Ezra Pound's Global Pulse" includes an interview, an essay, and a translation from Pound scholars in the UK, Italy, and China, respectively. From a global perspective, it discusses how Pound's poetics is intertwined with his views on translation, philosophy, economics, and the arts such as painting, sculpture, and music, and how these in turn fed into his absorption of innovative sources of culture from other countries. These three articles reflect the new trend in contemporary Ezra Pound studies, which is to deepen the understanding of Pound's poetry through an interdisciplinary approach and explore the source of his poetic innovation from a cross-cultural perspective.
Keywords: Ezra Pound; poetic innovation; global perspective; interdisciplinary approach; cross-cultural perspective
Notes on the contributor: LI Wenting is currently an associate professor at the School of English Studies, Sichuan International Studies University, China. Her research primarily focuses on translation studies and Ezra Pound studies.

埃茲拉・龐德研究的全球脈動

李文婷

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摘　要：本專欄《埃茲拉・龐德的全球脈動》收錄的一篇訪談、一篇論文和一篇譯文分別源自英國、義大利和中國的龐德研究者,從全球視野出發討論龐德的詩學理念如何與其翻譯觀、哲學觀、經濟觀以及繪畫、雕塑、音樂等藝術

觀相交融,並反哺於他汲取創新源泉的他國文化。這三篇文章均反映出當代龐德研究的新趨勢,即以跨學科方法深化對龐德詩歌的理解,以跨文化視角探索龐德詩學創新之源。

關鍵詞:龐德;詩學創新;全球視野;跨學科方法;跨文化視角

　　埃茲拉·龐德(Ezra Pound)是一位具有重要國際影響力的美國詩人、翻譯家和文學評論家。龐德與中國文化之緣始於 1908—1921 年的倫敦時光,受勞倫斯·比尼恩(Lawrence Binyon)、艾倫·阿普沃德(Allan Upward)及歐尼斯特·費諾羅薩(Ernest Fenollosa)的影響,龐德開始接觸中國文字、中國古詩與孔子思想,並根據費諾羅薩的筆記翻譯出版了中國古詩譯作《華夏集》(*Cathay*),引發了歐美的意象主義詩歌運動(林萍、祝朝偉,2023:146),被艾略特稱為「那個時代中國詩的創造者」(Kenner,1973:192)。龐德不僅翻譯了儒家經典著作《論語》《大學》《中庸》《詩經》及《孟子》(部分章節),還將對中國典籍的翻譯融入其史詩巨著《詩章》(*The Cantos of Ezra Pound*)的創作中,以獨特的創新方式轉化、裁剪和改寫中國元素,從而讓中國文化和儒家思想走進西方人的視域。

　　鑒於龐德作品的重要文學價值和他獨特的個人魅力,龐德研究的相關著作源源不斷地湧現,其中具有劃時代意義的是休·肯納(Hugh Kenner)於 1951 年出版的《埃茲拉·龐德詩歌研究》(*The Poetry of Ezra Pound*),正式將龐德研究納入學術論述的範疇(Coyle & Preda,2018:47)。近年來對龐德的學術研究出現了兩種趨勢:第一種是從古文字學的路徑對龐德的作品進行考察研究,通過查閱龐德的手稿等原始檔案,揭示出版物中的任何錯誤和變體,對龐德的作品添加詳細的註釋,描述並恢復其歷史演變及複雜性,從而創作出龐德作品的批判性版本。第二種是編撰有特定主體的文集,展示龐德作品的多樣性和跨學科性(Su & Bacigalupo,2022:386−387)。

　　雖然關於龐德研究的資料可謂汗牛充棟,但龐德研究至今仍保持著盎然的生機。自 1975 年首屆「龐德國際研討會」(Ezra Pound International Conference)在美國緬因州的奧洛諾(Orono,Maine)舉行以來,迄今已成功舉辦了 30 屆,舉辦地遍及美國、英國、義大利、法國、愛爾蘭、中國、西班牙和日本。最新的研討會論文集以「埃茲拉·龐德的《詩章》:一部全球史詩」為主題,強調龐德研究的全球化視角。

　　本期特別推出「龐德研究專欄」,收錄的一篇訪談、一篇論文和一篇譯文分別來自英國、義大利和中國的龐德研究者,旨在呈現當代龐德研究的國際視角和多元路徑。第一篇訪談錄的採訪對象是英國學者羅克姍娜·普瑞達(Roxana Preda),探討了龐德詩學與翻譯、繪畫、雕塑、音樂和經濟學等領域的緊密關聯。第二篇論文來自義大利學者朱麗安娜·費雷喬(Giuliana Ferreccio),重點分析了龐德與中世紀神秘主義思想家聖維克多的理查德(Richard of St. Victor)之間的思想關聯,揭示了龐德詩歌中的哲學與神學維度。第三篇選文為譯文,源自中國學者李慶本,由鄧小梅翻譯。該文提出「循環模式」(circle model)的概念,深入剖析了中國古代詩歌如何推動龐德的詩學創新,以及龐德的意象主義運動如何影響中國近代新文化運動的發展。本專欄旨在從不同的文化視角重新審視龐德研究的當代意義,探討龐德的詩學創新理念如何與不同的文化和學科產生交互影響。

　　訪談錄《埃茲拉·龐德的跨學科世界:羅克姍娜·普瑞達訪談錄》(「Ezra Pound's Interdisciplinary World: An Interview with Roxana Preda」)回顧了英國愛丁堡大學高級研究員普瑞達的龐德研究歷程,重點展示了她創立的數字學術平臺「詩章項目」(The Cantos Project)的功能和資源。文章闡釋了龐德的詩學觀如何受到其翻譯觀、藝術觀和經濟觀的影響,凸顯了龐德詩歌的多學科融合特徵。此外,該訪談錄還展示了如何借助數字人文工具進行龐德研究,並為中國的龐德學者提供了寶貴的研究建議。

　　論文《埃茲拉·龐德與聖維克多的理查德:愛在何處,目光亦在何處》(「Ezra Pound and Richard of St. Victor:Ubi Amor, ibi Oculus」)是義大利都靈大學英語文學退休教授費雷喬在龐德研究領域的最新成果。

龐德一生中與義大利文化結下了不解之緣,最終於 1972 年在威尼斯逝世。費雷喬從龐德與義大利出版商萬尼·謝伊維勒(Vanni Scheiwiller)未發表的信件中挖掘第一手的資料和線索,剖析龐德對理查德思想的吸收過程及其在《鑽石機詩章》(*Rock-Drill*)中的體現。

《美國意象主義中的中國問題》(「China Question of US-American Imagism」)是杭州師範大學教授李慶本發表於學術期刊《比較文學與文化》(*Comparative Literature and Culture*)2020 年第 5 期上的論文,由四川外國語大學鄧小梅翻譯成中文,探討了龐德如何受到中國古典文化,特別是古代詩歌的影響,在翻譯和創作《華夏集》(*Cathay*)的同時發起了意象主義詩歌運動,轉而啟發了胡適在 20 世紀初的中國文學革命。該論文首次提出以「循環模式」來考察龐德的文本旅行,不僅關註龐德從中國文化中汲取的創新養分,還深入分析了龐德的詩學創新理念如何反哺於中國的新文化運動。

這三篇文章代表近期龐德研究中三國學者的不同研究方法和路徑,即跨學科研究、手稿研究和跨文化影響研究。儘管三者的研究對象各不相同,但都體現出跨越和創新的特性。本專欄的意義不僅在於呈現龐德研究的國際前沿成果,更在於為龐德研究者提供多維度的學術視角和研究方法。值得注意的是,數字人文的方法或將為龐德研究提供新的範式,使龐德作品在印刷與出版中的文本變異可能得以更加全面地展現。

注釋

① Coyle, M. & Preda, R. (2018). *Ezra Pound and the Career of Modern Criticism: Professional Attention*. New York: Camden House.

② Kenner, H. (1973). *The Pound Era*. California: University of California Press.

③ Su, K. & Bacigalupo, M. (2022). Ezra Pound and interdisciplinary poetics: An interview with Massimo Bacigalupo. *Interdisciplinary Studies of Literature*, 6(3), 377–388.

④ 林萍,祝朝偉:《努力不讓杏花落:龐德與中國的文化因緣》,《中外文化》,2023 年第 1 期,頁 133–146。

(Editors: Derrick MI & Joe ZHANG)

Ezra Pound's Interdisciplinary World:
An Interview with Roxana Preda

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Abstract: This academic interview delves into Roxana Preda's scholarly journey as a senior scholar in Ezra Pound Studies, reflecting her interdisciplinary approach that aligns with Pound's diverse interests. Preda explains her motivation for dedicating years to studying Pound and discusses her digital platform, "*The Cantos Project*," illustrating its role in advancing Pound research. The conversation explores the deep connections between Pound's poetics and various disciplines, such as translation, painting, sculpture, music, and economics. Preda highlights the profound interplay between Pound's translations and his poetic creations, also examining the influence of Dante Gabriel Rossetti on his artistic theory and practice. Preda probes into the symbiotic relationship between sculpture and Pound's innovative poetics, revealing how sculptural artistry infuses his work. She explores the musical echoes within Pound's writings, signaling possible analogies between Igor Stravinsky´s musical innovations and some of the Cantos. The interview also discusses Pound's forward-thinking economic insights, providing fresh perspectives on his contributions to the field. Preda's deep appreciation for Chinese culture is evident as she explores Pound's engagement with it in *The Cantos*, reflecting on the nuanced ways his American identity intersects with Chinese themes. She concludes by offering invaluable research advice for Pound scholars in China, guiding them through the varied landscape of Ezra Pound studies.

Keywords: Ezra Pound; interdisciplinary research; The Cantos Project; China

Notes on the contributor: LI Wenting is an associate professor at the School of English Studies, Sichuan International Studies University. Her research interest lies in contemporary translation theory, English translation of Chinese classics, and translation history. Her email address is liwenting20026@163.com.

Notes on the interviewee: Roxana Preda is an associate professor of English Literature at the School of English Studies, Sichuan International University, and a senior researcher of American modernist poetry at Sichuan International Studies University. Her core field is modernist poetry, with a special emphasis on the poet Ezra Pound. Her email address is roxanapreda@icloud.com.

Prof. Roxana Preda is a senior scholar of American modernist poetry at the University of Edinburgh, specialized in the work of Ezra Pound. She is the author of *Ezra Pound's (Post)Modern Poetics and Politics* (2001); *Ezra Pound's Economic Correspondence* 1933−1940 (2007); *Ezra Pound and the Career of Modern Criticism* (2018), and *The Edinburgh Companion to Ezra Pound and the Arts* (2019). Between 2013 and 2018, she was the president of the Ezra Pound Society. During that time, she launched and edited the society quarterly, *Make It New*, a periodical where both established and young scholars can publish their findings on a virtual common platform. Roxana Preda's current project focuses on the comprehensive digital re−annotation of Ezra Pound's life−long poem, *The Cantos*. This ambitious endeavor, titled "The Cantos Project," aims to shed new light on Pound's complex poetic opus by providing detailed academic commentary and contextual analysis. The project has progressed significantly, reaching its midpoint with canto 66, and continues to evolve as more cantos are annotated.

As a visiting scholar at the School of Literatures, Languages, and Cultures at Edinburgh University, from February 1, 2023, to July 31, 2023, I had the privilege of engaging in numerous meetings with Roxana Preda. Her expertise in Ezra Pound studies and her extensive work on digital annotation greatly informed my own research. Our collaborative discussions in Edinburgh deepened my understanding of *The Cantos* and enriched the academic discourse surrounding Ezra Pound's work. In this interview, taken on March 3, 2025, at SISU in Chongqing, Prof. Preda explores Pound's poetics from an interdisciplinary perspective, navigating the intersection of translation, painting, sculpture, music, and economics. This comprehensive approach has given us a clear understanding of Pound's poetic innovation sources.

LI Wenting: You mentioned that you fell in love with Pound's poetry when reading his works over 30 years ago. Do you still remember what attracted you most deeply?

Roxana Preda: Yes, I do remember my beginnings well. I had just graduated from university and started teaching secondary school. It was one of my habits to take a book to read on the long bus rides through my city. One day, I took this slim volume of Pound's *Selected Poems* (1957) along, having decided for some reason that I was going to check it out. I distinctly remember turning the pages − there were only short poems at first, and I was quite unimpressed; but then, I got to the first canto and saw the difference: complexity, beauty, storyline, mythical figures; now, that was indeed different. Then, canto II decided it for me: here was an encyclopedic poem, interesting, mysterious, and difficult. I could indeed imagine spending a great deal of time figuring it out. That was exciting!

LI Wenting: How did you determine to take Ezra Pound studies as your life-long academic career?

Roxana Preda: There were several points of decision in my life journey. First, choosing a topic for a Ph. D.: I decided on Pound because I felt that there was food for the soul, the imagination, and the emotions in his work. The alternative I had then, studying James Joyce, would not have been as emotionally rewarding. I felt Joyce to be extremely cerebral − long term, the dryness was going to be too difficult for me. I am not saying that this is indeed the case − I am saying that this is how I felt back then.

After I finished my dissertation on Pound and postmodernism, I sensed that I had not finished what I wanted to say. Postmodern understanding of economics was a rather hot topic at the end of the 1990s, and I felt I had discovered it too late. So, at the suggestion of my mentor, Prof. Leon Surette, I decided to explore Pound's economic correspondence. It was not the same thing, but it was a satisfactory substitute. My edition established

the concept, something that I am still very proud of to this day. It did a lot to "put me on the map." Pound scholars trusted my edition and used it in their arguments.

For myself, around 2003–2006, I decided to leave Pound alone for a while. It was imperative for me to widen my range, so when the opportunity to teach American literature in Edinburgh offered itself, I grasped it. I spent a decade just teaching American poetry and fiction of the 19th and 20th centuries, as well as literary theory – that gave me a wide perspective, a way to embed what I knew about Pound into the wider contexts of modernist poetry in the U. S. and Europe. I saw that whenever I introduced Pound's work in my classes, my students were electrified, fascinated, and elated. I suppose I unconsciously communicated my enthusiasm well! However, I tried to keep my distance and remember my reasons for teaching, which were to widen the lens, extend my knowledge, make sense of literary history, and potentially find other interesting authors to study in depth. But then, something like destiny struck softly: in 2010, I decided to attend a small conference in London, where I met old acquaintances that I had not seen for a decade. They all recognized and greeted me as if they had seen me just the previous week; this was a surprise, as I had expected them to forget me after such a long time. Walter Baumann invited me then to the next EPIC, which was to take place in London the next year.

That conference and his constant friendly support made me turn toward Pound once again. This time, I saw him with new eyes: I was not a beginner or a student; I was someone with research, publication, and teaching experience, a mature professional by now. The conference in 2011 was a turning point for me. I decided to create "The Cantos Project," and after some inner deliberation, I contacted the Ezra Pound Trust at New Directions to get the permissions, as Pound's work is still under copyright. Negotiations lasted for over a year: it was only by 2014 that I was able to set up the website and work on annotation. At the start of 2016, I also received funding, so I happily spent the next five years of my life exploring the poem and creating the critical apparatus for 64 cantos. Meanwhile, professional opportunities presented themselves: Ezra Pound Society chairing, conferences, new books, and articles. These years (2014–2021) were the most productive of my life.

LI Wenting: Massimo Bacigalupo praised "The Cantos Project" as "the most important recent contribution to Pound Studies(Su & Bacigalupo, 2022, p. 387)." Could you please introduce the design idea and resources of this platform so that more researchers could learn how to use it?

Roxana Preda: "The Cantos Project" website is best compared to a house (Preda, 2016). When you open the homepage, you are at ground level, looking at the façade. Two rows of doors are facing you. At the top, say, on the roof or in the attic, there is the main menu ribbon, with resources that help readers cope with the poem *as a whole*: publication history, secondary bibliographies, reader resources, a list of abbreviations, and even a bookshelf with links to books that served Pound as general sources of the poem.

Then, if the reader chooses to go inside the house, s/he needs to click on one of the doors. If, say, someone is interested in Canto 40, s/he will click on *Eleven New Cantos (*31–41*)*. We are now in another space devoted to that particular installment of the cantos, published in 1934. An overview page, like an entrance hall, will have a list of links to individual cantos on the right, just like a row of rooms. At the same time, just in front, it will have information about the *Eleven New Cantos* as a whole: a publication history with excerpts from correspondence and a secondary bibliography devoted to the section.

Then, we might choose to take another step inside the house and click on one of the links to cantos on the right. We get into another hall, which I propose to call the "title page" of the canto. As previously, we have

general information concerning it, this time a calendar of composition, pages from illustrated editions, audio readings, and a secondary bibliography listing all available commentaries on the canto in journals, articles, book sections, and websites. Looking to the right, we might see the *poem* with annotation in pop-ups; a *Sources* page, listing and linking to the specific books that Pound used in the canto, as well as drafts from the archive, where available; a *Companion* — a webpage that has just the annotation; and a list of *References* I used in my work on the canto. This list is not the same as the bibliography on the poem's title page. I use some of the existing exegesis in my annotation, of course, but I also use other, more general, or tangential information as well, such as digital resources and illustrations, which are all listed on the *References* page. Readers just need to remember that I am limited to showing just 12 cantos in free access. That was the condition stipulated by New Directions. So, at the moment, only Cantos 54 to 65 have the text with pop-ups in free access. For all the rest, readers have the companion pages.

All in all, my goal in "The Cantos Project" is to provide a digital research environment that can serve as a virtual classroom for the individual reader/student/researcher who would like to understand and study the poem. I do recommend everyone register and log in to the site. It is free and easy to do.

LI Wenting: Fuzzy boundaries among disciplines have become a trend in today's academic research. Ezra Pound is undoubtedly a pioneering figure in interdisciplinary creation. Could you please introduce the ways Pound was involved in interdisciplinary research?

Roxana Preda: Pound was a poet, but he had the curiosity and the will to knowledge of a scholar in the humanities. His poem cannot be understood by having sole recourse to literature. It is not enough that readers be literary scholars: what is needed is to be intellectuals, people proficient not only in languages and literatures but also in the arts, history, economics, philosophy, and politics. This is necessary, as epics are not simply narrative poems but stylized accounts of individual societies. When Pound made the decision to write "a long poem," he soon realized that he would not be able to go on just on the basis of literature. He needed a political perspective; he needed to know how societies work, hence to decide on a conceptual angle. Pound's politics is rooted in Italian thought: Dante Alighieri's *De Monarchia* and Machiavelli's *The Prince*. Later, the *Da Xue* played a great role in his geopolitical views, and the first traces of it occurred as early as canto 13, written in 1923. In matters of economics, Pound chose C. H. Douglas's theory of Social Credit (Douglas, 1935), first started around 1918, which has a lot of resemblances with what today is called the theory of "basic universal income." In matters of history, Pound was a so-called "historicist," someone who is not only interested in "what happened" but in how events become meaningful in patterns of recurrence; moreover, he wanted his readers to see how economics underpins peace and war, empire, and colonialism. Finally, though Pound dabbled for a lifetime in European medieval philosophy, he also saw himself as a Confucian. In time, just by writing the poem along the lines he had chosen, he acquired more knowledge about the world and forced the reader to go along. By doing that, he created a poem that looks like an encyclopedia or an academy, what he jokingly came to call the "Ezuversity." He included in it geographical, historical, economic, and political knowledge about Europe, China, and the United States, relating them constantly to one another. The result for the contemporary reader is exciting and uncomfortable at the same time. Pound forces the reader to step up, make an effort, and explore whatever subject of interest awakens his curiosity. He reminds all of us that literature is just a part of the humanities and that if we wish to understand it well, we need all the other parts.

LI Wenting: Pound drew upon translation as a wellspring for his poetic creation. Could you please introduce the progress of Pound's poetic translation?

Roxana Preda: There are three principles that seem to me unique to Pound as a translator and poet: first, providing the original text next to the translation, or even refusing to translate, so that the reader is forced to confront the raw source; second, translating only the essence, the gist of a text, parsing and simplifying the original to increase the speed of reading, prune the original's textual details to transmit just the most important message; third, choosing a specific text to be translated with the purpose of correlating it with others, in other languages. In all three instances, Pound shows textual, and more specifically, poetic innovation. He uses foreign languages in his poems so as to create the feel of authenticity, staging a one-to-one encounter with the foreign language for the individual reader; then, by translating the essentials, he modernizes the original, bringing it either to our time or else to a universal, atemporal level that takes out the time markers from the original (occasionally putting in others) - in this way, we can identify our modern consciousness much easier with the texts of the past; and thirdly, he correlates elements across languages and cultures which have historically developed separately from each other. At present, the internet is doing the connecting and correlating for us. Technology, however, can't do it all: it connects us mainly in terms of various novelties, technical or otherwise, travel, and entertainment. An individual has to dig deeper if s/he seeks other sorts of knowledge. You might remember my struggle with Canto 89, when I asked for your help about Pound's reference to "Ching Hao" in connection with *The Book of Documents*. There was no information about him in any English language resource on the internet. You told me it might be the Ming scholar and politician Hao Jing (1558-1639). Your resource was the Chinese-language Wikipedia.

Comparing our present situation with Pound's, we might realize he had other realms of correlation, seeing how interested he was in the essential books of a culture. He connected us in moral principles, in emotions, wisdom, history, politics, and economics. At every turn, he gave the concrete example, seldom the abstract principle. If the reader wants the theory, s/he needs to remember the concrete instance and correlate it with others on her own. *The Cantos* is an edifice of analogies; if we know it even moderately well, we realize that no culture has a monopoly on wisdom and/or invention. The experiences of humanity are remarkably similar, even if they are encoded in different cultures and languages. I think that the ultimate goal of Pound's translation activities is this tremendous work of correlation. Let me give you an example. Recently, I wrote an essay on canto 93 for a forthcoming volume of *Readings in the Cantos*. This canto was born out of an accident, yet a telling one: just as a joke, Pound told his son-in-law, Boris de Rachewiltz, who was an Egyptologist, that if he, Boris, could find a Confucian of the Nile, he would give him a canto. Boris did not look for one, of course, but he did publish a little book, an Italian translation of Egyptian inscriptions, calling it *Massime degli antichi Egiziani*. Reading it, Pound discovered a remark of an ancient pharaoh, Khati: "A man's paradise is his good nature"(de Rachewiltz, 1953, p. 18). This aphorism seemed to him in the spirit of Confucius, so he wrote the canto, as promised. There is no exact Chinese equivalent of Khati's maxim in canto 93 itself, but while working on my table of the Chinese characters in the whole poem, I came across this phrase in canto 99, which Pound related to Khati: "tien/ t'ang^2/ hsin^1/ li$^{3-5}$"(Pound, 1996, p. 722); he does not translate it, leaving the reader to go to the trouble and find, as a personal discovery, that the words mean "heaven's temple is in the heart"- how is that for an equivalent? Now, of course, a Chinese-educated person might quarrel with the textual

presentation, say, for instance, that "tien" should be "t'ien[1]" in the Wade/Giles transcription that Pound was using at the time. But you see my point: humanism is not just a concept invented in Europe — it goes across the whole spectrum of humanity, both historically and geographically. In translation theory, we are often too deep in questions of technique or cultural politics to be mindful of such principles. For Pound, Confucius was a humanist — he openly defines him as such in his *Guide to Kulchur* (Pound, 1938); he was elated to see in Khati, someone who lived much earlier in another country, a similar guiding principle for living, feeling, and thinking.

LI Wenting: Dante Gabriel Rossetti was one of Pound's favorite translators, poets, and painters. You analyzed his influence on Pound in your book *Ezra Pound's (Post)Modern Poetics and Politics: Logocentrism, Language, and Truth*. Do you agree that Rossetti contributed to Pound's view of ekphrasis?

Roxana Preda: I think that Pound, while openly acknowledging Rossetti's influence, wanted to separate from him very early in his career. He translated Guido Cavalcanti in 1911, especially to provide an English version of his poems in a more modern language than Rossetti did in 1861. Pound wanted to get rid of Victorianism and Catholicism, as well as of the complex diction he felt were the hallmarks of Rossetti's poetic style. Whereas ekphrasis was tremendously important to Rossetti, who was both a painter and a poet, the form was seldom used by Pound unless of course you regard his practice of analyzing Chinese characters as ekphrastic. Pound developed his own imagist approach, separately from Rossetti. I think that whatever practices Pound had of relating his poetry to the visual arts, they were made rather in the intercourse he had with his contemporaries, especially those nearest to him, Wyndham Lewis and Gaudier-Brzeska. Later on, I think Brâncuși's art also played a role, as Pound was immensely impressed with the sculptor's work. But here too, Pound proceeded against the usual ekphrasis: he did not describe the art object or attune it to his poem; rather, he presented Brâncuși's integration of the art object into nature as an act of aesthetic and religious synthesis. The poetry is thus doubly integrative, almost ritualistic: nature welcomes the man-made object into itself as a sort of altar in the forest, a gate to transcendence; the poem is the magic formula that admits us into this realm.

LI Wenting: You elaborated on the influence of some sculptors, especially Constantin Brâncuși, on Pound's aesthetics in your article "Constantin Brâncuși, Vorticist: Sculpture, Art Criticism, Poetry" (2019), which was one of your most popular articles in *Academia*. Could you please explain what inspirations Pound drew from sculpture for his poetic creation?

Roxana Preda: Oh, that is a wide subject that can be seen from many angles. It was the topic of one classic of scholarship, Donald Davie's *Ezra Pound Poet as Sculptor* (1964), which is still read today. Pound indeed preferred sculpture to painting, and maybe ultimately this had personal reasons. He had deep affection for a young French sculptor he met in London around 1913, Henri Gaudier-Brzeska. Pound remembered for a lifetime how happy he had been in long conversations with Henri before WWI. Then, the young man volunteered to go fight for France in the war and was killed at the front in 1915. Pound was so shaken that he wrote a little book, *Gaudier-Brzeska. A Memoir* (1916); in form, it is a prose rehearsal of literary collage, the method of *The Cantos* — gathering bits and pieces of everything Pound knew about his friend: memories of conversations, letters, art manifestoes, reproductions of artworks (Pound, 1970).

There are two main things that Pound learned from Gaudier, especially from his Vorticist manifesto published in *Blast* 1. One of them was to think of form, whether artistic or natural, in terms of mass and line. Pound could and did apply this principle to *The Cantos*. In the poem, mass counts: whereas the general method

presents a subject in bits and pieces that the reader has to bring together into a comprehensible whole, "mass" is a criterion of value: a passage which is longer, more coherent, presented in a more elaborate way impresses the reader differently than a knot of tangled short allusions. Thus, the coherent, longer passage is placed strategically and can often delineate what is most important and meaningful in the canto. Then, the line: in my annotation, I have discovered that a canto may have several blocks of text that are fundamentally different from each other. An arbitrary, functional line may separate these blocks from one another and thus create a sense of methodological coherence to the poem. We are not totally lost; it's as if we go from one chapter to another, separated by single lines. I have included a commentary of Canto 36 in my *Cantos Project* that discusses exactly such a case. The form of this canto is just an example — there are plenty of others: separating blocks of text by individual lines is a method Pound uses often. Cantos 21, 35, and 40 are other examples, just as interesting.

There is a second thing that Pound learned from Gaudier, namely, to adopt the gaze of an artist to every sort of form, but especially to Chinese characters. Pound remembered in his *Memoir* that Gaudier would say: how can lexicographers not see that 馬 is a horse (Pound, 1970, p. 48). Pound was thus encouraged to scrutinize sinographs with focused attention and look for visual clues. In his late cantos, he used such analysis to create poetry. An example is this one, in canto 74: "plowed in the sacred field and ∕ unwound the silk worm early ∕ in tensile 顯 ∕ in the light of light is the virtù" (Pound, 1996, p. 449). You see the "silk" and the "sun" in the xian[3] character; also 貝, the character for "virtue," which Pound often used in other contexts. He was neither precise nor strictly philological with Chinese characters but took his inspiration from what he saw.

LI Wenting: Did sculpture provide Pound's creation with any other inspiration besides Gaudier's influence?

Roxana Preda: Pound's affection for Gaudier is of course just one of the reasons why sculpture became meaningful to him. Another way to look at it is the special view a piece of sculpture elicits. A viewer needs to go around the object, and with every step or change of position, the sculpture becomes different, as if one does not experience a single entity but a multitude. This teaches a literary person the virtues of limited points of view. Every such point yields an interesting aspect that cannot be generalized. This small-scale knowledge, vision, or awareness is certainly true, but in a special, limited way. This leads to a prismatic concept of knowledge as made up of limited perspectives; further to the impossibility of generalizing or reaching an epistemic finality. In *the Cantos*, this approach leads to fragmenting a topic and presenting details of it spread out across poems in further supplements, analogies, and parallels. For instance, Pound was fascinated by the love story between an Italian noblewoman, Cunizza da Romano, and a poet, Sordello; they lived in the 13th century, a generation before Guido Cavalcanti and Dante Alighieri. Pound introduced the subject in Canto 6, which he revised in 1929. He also presented other details of the story in Cantos 29 and 36. All these instances are side views of the subject, just like those we gain when moving around a sculptural object. We need all these limited perspectives to form a comprehensive idea of the story, not in an objective way, but as Pound saw it. Moreover, the story is not isolated, but for Pound at least, vitally connected to Cavalcanti and Dante. He makes these correlations in canto 36, where he wraps up the topic.

LI Wenting: You mentioned that Russian composer Igor Stravinsky had affected Pound's poetic rhythm. Could you elucidate their relationship?

Roxana Preda: Well, the relationship between Pound and Stravinsky has not been explored at all. I personally think it exists, but I would need to study the traces in much greater detail. My hypothesis is that

Pound oriented his own poetry towards the great innovators of the modernist age, Picasso and Stravinsky. The latter became important during the 1920s, when Pound made friends with the American composer George Antheil, who was an intense admirer of the Russian composer.

Stravinsky made great changes to the way music was conceived and written. Usually, musical pieces had a key signature (say, D major or C minor) and a time signature, like, say, 4/4 or 6/8, which would apply to the whole piece. That of course didn't mean that the key (or tonality) would stay the same; it would certainly wander, but it would return to the initial signature and thus reassert its dominance. Similarly with the time signature: stating it at the start did not mean the composer could not change it within the same piece; but then, the new time signature would govern a section of the piece, and after the section was concluded, the composer would return to the original one. Put very simplistically, Stravinsky changed the key and the time signatures of a piece very often, sometimes several times in a bar. In his orchestral pieces, Stravinsky would also layer tonalities and rhythms: each group of instruments would play in different keys and would have individual rhythmic notations. I think that Pound tried to apply these practices to poetry, as he could see with his own eyes the Stravinskian way Antheil re-notated his opera *Le Testament de François Villon* in 1923 (we can see it too, by the way, the score is available in a wonderful edition published by Robert Hughes and Margaret Fisher in 2011) (Pound, 2011).

An awareness of key can be created in a literary text by the handling of poetic tone, especially when it runs against what we expect. Similarly, the rhythm of a poem can be used to characterize a person, like a unique stamp. My preferred instance of this is in Canto 21, where Pound makes the splendid patron of the arts, Lorenzo de Medici, talk about his wealth in a reduced vocabulary and short, half-formulated sentences. Pound contrasts this tonality and rhythm with a passage from a letter by Thomas Jefferson: long, elaborate sentences, elegant wording, slow, stately movement of complex phrasing. Pound thus uses rhythm to change our cliches about people: we are accustomed to think of Lorenzo as a flamboyant art patron, not a penny-recording accountant; we know that Jefferson was a politician "in the neck of the woods," a faraway colony at the other end of civilization, yet he writes like Frederic the Great in dialogue with Voltaire.

LI Wenting: You edited and annotated *Ezra Pound's Economic Correspondence* 1933－1940 (2007) and did thorough research on Pound's economic views. Have you found some of Pound's economic views quite forward-looking?

Roxana Preda: A difficult, complex question, but really, what we most want to figure out today. Pound's economic views are still alternative but very relevant. While he was alive, they got him into terrible trouble: he was reviled for them; ultimately, his whole poetic reputation was destroyed because all his peers asked aloud why he could not stick to poetry, which he knew best, and staked his literary reputation on some crank economics that nobody but a handful of people agreed with. Pound's continuous harping on "usury" and his elevating the economic knowledge to a crucial position for the modern intellectual annoyed plenty of people who knew nothing of the subject but were perfectly able and willing to say that Pound was and should be as ignorant as they were.

You ask if Pound's economic ideas were forward-looking. I think they were and still are since they interrogate how financial and social values can be distributed with justice and not hogged by corporations, banks, or individuals who know how to work the system. His main animus was against central private banks and the

creation of fiat money, i. e. , money created by simple writing into an account, with no backing in something tangible. During Pound's lifetime, money was officially backed by gold, a limited quantity commodity that hampered economic growth. Pound was against it, saying that there was simply not enough gold in the world for economies to thrive: the currency of a nation should be backed by its real wealth, i. e. by commodities to be found and produced on its territory and any form of renewable, natural resources. If you happen to be informed about the newest discussions about money these days, you may have heard that the dollar is fiat money and has been for a while. The group of nations calling itself BRICS (Brazil, Russia, India, China, and South Africa) are now discussing the possibility of creating a new currency based on commodities to be found in their countries. Gold can be such a commodity, but not the only one, as in the old gold standard system. You see then that Pound's idea of basing money on commodities deliverable and wanted (which he referred to in canto 52) is quite relevant to financial reform in the contemporary world, similar to discussions around the idea of "universal basic income," which Pound's mentor in economics, Clifford Hugh Douglas, called "national dividend" (Douglas, 1935, p. 111).

At the same time, Pound was against the intervention of banks at all levels of society. He called the banking system in liberal societies and the debt economy it creates "usury" and wished to find ways out of it. The truth is that usury in our time is even more pervasive than in Pound's own. We are in a debt economy, and Pound saw that with great clarity. He even connected usury to the decay in the quality of food (canto 45), which, as far as prophecy goes, is astonishing.

LI Wenting: So, in more general terms, what was his main interest in economics, apart from usury? Was there a tighter connection between economics, as he saw it, and a certain type of politics?

Roxana Preda: Professional economists do not like to connect their object of study to politics; they say economics should have nothing to do with a political ideology. I find this difficult to believe, as I agree with Pound that economics is indeed one of the decisive factors in political interactions. Political impulses and beliefs are also at the basis of how we view economics, the issues we decide to focus on. In matters of politics, Pound defended Mussolini, and this made him a Fascist in the eyes of everyone. However, a more balanced, in-depth study of Pound's politics in its relationship with his views on economics is needed. Pound's thinking was also influenced by Confucian political principles − he saw them in action by writing his summary of Chinese history − this has never been analyzed in detail, to my knowledge. Only David Moody has mentioned this side of Pound's politics, as far as I know (Moody, 2007−2015).

Pound thought that the system of money creation in liberal societies automatically led to the state forming debts to private banks and implicitly to a conflict between financial and governmental power, where the financial side has an unfair advantage. He made this a topic in Cantos 37, 88, and 89. If the state has debts, they must be repaid out of taxes, with interest. So, if the state gets involved in wars, does bad international deals, scatters its funds everywhere in useless expenses, and grows a bloated, corrupt bureaucracy, it is the normal person who ultimately suffers. Questions of national debt, therefore, worried Pound a great deal. He would turn in his grave if he knew that the national debt of the United States is now around 36. 564 trillion dollars (March 2025), 123. 10% of its GDP ("National Debt of the United States," 2025). The annual interest in 2025 alone is ＄952 billion, which is projected to grow to 13. 8 trillion over the next decade (Peter G. Peterson Foundation, 2023). One might think that these parameters do not affect us. Yet they do because whenever a state wants to save

money, not only does it raise taxes and create inflation to cope, but it also reduces the services it renders to the population: culture, education, pensions, health, police, social housing, etc., all suffer. Implicitly, just by looking at the national debt numbers, we get an approximate idea of the living standards in a country.

LI Wenting: Some scholars doubted Ezra Pound's knowledge of Chinese culture and supposed that the admirer of Pound, the poet, would be a bit disappointed by his haste and waste in dealing with the Chinese Classics. How do you view this point?

Roxana Preda: I think that Pound made a very serious, prolonged, and intense effort to both learn the language and understand the classics of Chinese culture over the years. He first read Confucius in translation around 1913, when he was 28 years old. He did not cease learning till the end of his life, in conditions that were very difficult, with no teachers, no guides, no classroom, and not even a radio that could have given him an idea of how Chinese sounded. I think he went as far as he could and provided very useful entry-level knowledge for the Western reader. The idea of writing a summary of Chinese history in nine cantos at the very center of his poem, his decision to quote from the classics in almost every canto written after WWII are acts that seem to me courageous and extremely valuable for education, opening the mind of Western readers towards zones of knowledge that are difficult and completely unfamiliar to them. I don't suppose Pound envisaged a Chinese reader shaking her head at the superficiality of his knowledge − I think he felt that Western readers needed to be introduced to Chinese culture. We know he was right in this, as the situation has hardly improved since the 1930s when he started learning for real. It is only very recently that I noticed China making a definite effort to increase its soft power around the world. What would Pound have done if he had had the online resources we have today? Thinking of his energy and will to learn… he would have sailed much farther, and who knows how many would have been able and willing to follow.

LI Wenting: When you started annotating Cantos 52−71, you asked yourself several questions, such as "Why did Pound structure the telling of the China cantos the way he did?" "How 'American' was he in telling China's story?" and "What was the significance of these cantos to the poem as a whole?" (Camacho Roldán & Preda, 2022). Have you found the answers to these questions now?

Roxana Preda: Well, I have a set of answers in my pocket, yes, but they look very eccentric. I have elaborated on them in two lectures I gave recently, one at the Institute for Advanced Studies in the Humanities in Edinburgh (2021) and the other at the University of Salamanca in 2022. These talks have helped clear my ideas and made me realize I have to study the subject more. Some ideas are still speculative, others have coagulated to more certainty.

One such idea is that Pound wanted to create a global poem, not one about a community, a society, or a region like traditional epics do. The first 30 cantos (1930) are focused on Europe. The middle cantos, 31 to 71 (1940), have a strong American component that is presented in its connection to Western Europe. We know that in 1937, Pound wrote no cantos but was deep in the study of James Legge's critical edition of the Confucian four classics. Why the sudden interest? My hunch is that he was preparing for the Asian component of the poem, and he chose to focus on China, which he regarded as essential. Starting with Canto 49, Chinese culture and history acquire a very strong profile and detail. A history of China was necessary to provide a foundation for a Western reader who knew nothing; Pound wrote it in cantos 52−61. And since he always related elements, images, stories, histories, and moralities, he chose to follow his story of China with the story of the emergence of the

United States by following the Chinese history cantos with ten others devoted to John Adams, one of the American founding fathers. Well, he could have stopped there, but we know that actually, in the late cantos (74-116, published 1948-69), Pound did not simply choose to "return" to the West. He did, in principle, but now he had another very strong component deriving from Chinese classics that he kept combining with cultural elements from the rest of the world. This seems to me extraordinary; prophetic, really, as China was not introduced from a position of subordination; quite the contrary, it was brought in on an equal footing, and sometimes from a superior position, as a corrective to the West. There is no one who could have done this in the 1940s and 1950s; I think that Pound is unique in his approach, even among poets, who, following his footsteps, opened themselves up to Chinese poetry and translated some of it. His gesture, as an American intellectual, is now even more astonishing, seeing how difficult and adversarial Sino-American relations have been postwar and become in our time.

LI Wenting: I really appreciate your interest in Chinese characters and Chinese culture. You even made a searchable table of the Chinese characters Pound uses in *The Cantos*. What would you suggest Chinese scholars should contribute more to Ezra Pound studies?

Roxana Preda: As far as I can see from my own position, I find that Chinese scholars have embraced Pound's early work, like *Cathay* (1915), and engaged much less with the middle and late Cantos, where significant exegetical work still needs to be done. There is also a certain hesitation on their part to engage with details of Chinese writing in the current editions we use. In my work on the table of Chinese characters, I have come to question their positioning and size and, occasionally, their choice. These need to be verified and adjusted, I think so that the meaning of polyglot passages becomes clearer. Scholars in the West are also very hesitant to address these questions and do some interpretation work in carefully chosen passages, not in an extended, detailed study. Thus, issues of text editing, source study, archival research, general interpretation, and authoritative translation all need to be bundled together so that our knowledge can be pushed forward in these difficult instances. In my annotation work, I have often come across situations where my own skills had to be supplemented by those of another scholar. Therefore, I think that for the late cantos, a collaboration between a Chinese and a Western scholar is best. We have to admit to ourselves that our knowledge is limited and needs the help of another; we cannot all be like that scholar extraordinaire, Achilles Fang, who could correct not just Pound's Chinese but also his Greek and Italian. I think Pound, too, would have liked to see collaboration flourish — after all, his poem is a plea for humans to talk to each other and dare to defy the obstacles of foreign languages, distances, and histories.

LI Wenting: Professor Preda, Thank you very much for this conversation.

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Ezra Pound and Richard of *St. Victor:*
Ubi Amor, ibi Oculus

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Abstract: In the fifties, Pound maintained that he had absorbed more in 1909 from Richard of Saint Victor than he "remembered from specific sentences". At about the same time, he had encouraged Vanni Scheiwiller, who would soon publish the original *Rock-Drill,* to set up a "Cursus Ezraticus", based mainly on Saint Victor's works, as a prerequisite for studying Dante. In 1956 Vanni published a small booklet in Latin, *Pensieri sull'Amore*, *Richardi Excerpta*, *Accurante Ezra Pound*, some of which Pound translated and published in various venues. Nevertheless, little attention has been given to St. Victor's presence in Pound's oeuvre. While the Medieval mystic had been on Pound's mind, and in his prose, for at least 45 years, his name and excerpts from his writings actually pervade his poetry only in the second half of *Rock-Drill* and often in connection with the idealization of Pound's love for Sheri Martinelli, with implied allusions to the philosophy of love and light from Canto XXXVI. However, in Canto XC and elsewhere in *Rock-Drill*, love and light have imperceptibly acquired an uncertain hue by evoking a disquieting closeness between light and darkness suggested by the canto's images. In *The Washington Cantos*, absence seems to intrude into fullness, darkness into light. In this essay, I will follow up Pound's frequent references to and quotations from Richard's works and try to show how differently such quotations work when they are inserted in his prose or, alternately, in his poetry. The difference notably shows when Pound sets about "to write paradise".

Keywords: Pound; Richard of St. Victor; light; darkness

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1. Writing Paradise[1]

Richard of St. Victor, the twelfth-century exponent of a mystical and rational theology, is everywhere in Pound's works, not only in his prose, journal articles, translations, and edited excerpts but, more importantly, in his poetry. As early as 1909, in a long and detailed commentary to "Guillaume de Lorris Belated", Pound translates Richard's distinctions between three modes of thought, or levels of intellectual activity—cogitation, meditation, contemplation—borrowing them from what he then thought was *Benjamin Minor*, which will stay with him throughout his career. While the three categories are also a staple of the various declensions of Neoplatonism Pound was familiar with, when he mentions the whole triad, or the latter two, he always refers, if implicitly, to Richard's thought. Indeed, already in 1916, in "Psychology and Troubadours", while discussing the *"phantastikon"*, Pound mentions a beautiful passage by Richard on the splendors of paradise: "by naming all over all the beautiful things we know, we may draw back upon the mind some vestige of the heavenly splendor".[2] Richard's distinctions became a recurring allusion in Pound's prose shifting from mystical and religious grounds to the ethical and political sphere which dominated his thinking in the late '30s. In *Guide to Kulchur*, at the height of his political engagement, Pound twice repeated the triad more concisely, leaving out the 1909 final lines: "Poetry in its acme is expression from contemplation. "[3]

Why was the Victorine theologian so important to Pound and so little attended to by most critics? Such negligence is surprising if one remembers Carroll Terrel's conviction that Richard's distinctions between the three grades of knowledge worked as a structural model for *The Cantos* as important for Pound's poem as Dante's pattern of the three realms, *Hell*, *Purgatory*, *Paradise* were for the *Divine Comedy*（Terrell, 470）. On the other hand, the conception of a long poem in three parts had been on young Pound's mind at least since 1904 when he first encountered Dante's works at Hamilton College, or even before. In recent years, many studies have been devoted to the scholar-canons of St. Victor—also known as Victorines—and their influence on Medieval literature, especially on the Troubadours and Dante, who praised Richard's style and learnt from it. A major theme of their studies was the anagogical relation between the secular and the divine, with a special attention given to the tropological meaning of day-to-day occurrences. Among them, two single contributions to a very recent volume of philological enquiry, dedicated to studying the connections tying the monastic school of Saint

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[1] The first results of my research on Pound and St. Victor were presented during*The* 30th *Ezra Pound International Conference*（Edinburgh, 2023）. An abridged and altered version of the last two paragraphs of the present essay appeared as "Ezra Pound and Richard of St. Victor: Forms of Religious Appropriation" in *Appropriation as a Practice of Memory: Inventions, Uses and Transformations of Religious Memory*, Dimiter Daphinoff and Franziska Metzger, eds. , Köln: Böhlau, 2024.

[2] Ezra Pound, *The Spirit of Romance*, 96. All further references to this work will be abridged *SR*.

[3] Ezra Pound, *Guide to Kulchur*, 328. All further references to this work will be abridged *GK*.

Victor to Medieval literature, have praisingly referred to Pound's early allusions to Richard of St. Victor and to the translations he later commissioned. [1]

Even though the Victorine had been on Pound's mind for at least 45 years, yet, his name, or excerpts from his writings, pervade his poetry only starting with *Rock-Drill* and, more specifically, its second part, Cantos XC to XCV, the Paradise proper as Pound defined it, and often in connection with the idealisation of Pound's love for Sheri Martinelli. In those cantos, Martinelli figures prominently as sea-nymph, siren, Castalia or Undine, a salvific, if dubiously so, presence in Pound-Odysseus' shipwreck, when, as Leucothea, she encourages the castaway to leave his foundering raft for her bikini, entrusting himself to it ("My bikini is worth your raft," XCI/363). [2] In 1956, Vanni Scheiwiller, Pound's young Italian publisher, reluctantly brought out a booklet of Martinelli's paintings (without stating his name on the book cover), in which Pound's introduction exalts her work and invokes the repeated warning not to use "l'occhio per la mente" ("the eye for the mind"). The introduction also came out in *Edge* with the title "Total War on 'Contemplatio'" (Zinnes, 177–79).

In Canto XC, full of Richard's quotations, the main one concerning love and eyes, "Ubi amor, ibi oculus", ("where love is, there is the eye" Terrel, 541), the mind's eye performs a luminous and restorative, function evoking Dante–the pilgrim's ascent to the splendours of Paradise, by looking lovingly and steadily into the divine light enkindling Beatrice's eyes. The canto intentionally harkens back to Canto XXXVI, Pound's rendering of Cavalcanti's *Canzone*, his enquiry into the nature of love, where Pound famously turns Cavalcanti's pessimistic view of love's dark power into a Dantean illuminating, salvific "white light that is allness."[3] It is worth remembering that Pound adds "light" to Guido's original merely "white", the enigmatic *bianco*, (which could mean void), pointing instead to Beatrice's eyes that beam with divine love–light. As is well known, the great divide between Dante and Cavalcanti turns on the opposition of real and metaphorical light and darkness.

However, when Pound introduced him into *Rock-Drill*, more specifically in Canto XC, Richard's reception slightly changed. Once excerpts from Richard's texts move from prose to poetry, from Pound's discursive rendering to his dislocating fragmentary quotations or allusions from their theological context into his poetry, their meaning becomes more doubtful and more complex, taking on unforeseen connotations, as they resonate with the rest of the poem and the section as a whole. The eye and the light have imperceptibly acquired an uncertain hue by threateningly suggesting a closeness between light and dark: darkness seems to intrude into the souls' luminous ascent toward a fragile paradise. In what follows, I will briefly sketch the main stages of Pound's reading of St. Victor, then focus on the final phase when, in 1954–56, Pound not only chose Richard as the

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[1]   See Corrado Bologna and Carlo Zacchetti, eds. *La scuola di San Vittore e la letteratura medievale*. In "Dante e i Vittorini", Mira Mocan opens her essay by mentioning Pound's remarks on St. Victor from *The Spirit of Romance*, 378. In the same volume, Lorenzo Fabiani examines Pound's prose in order to retrace his allusions to Richard, 431–452.

[2]   Ezra Pound, *The Cantos of Ezra Pound*. All further references will be given by Canto number/page number.

[3]   This passage is particularly obscure and has been interpreted in various ways through the centuries. For a pessimistic view of Cavalcanti's love I am here indebted to Giorgio Agamben and Jean-Baptiste Brenet, *Intelletto d'amore*, 20–21, and Peter Nicholls, "Gold and Gloom in Ravenna: On a line in Ezra Pound's *Cantos*", 551–52. An exhaustive analysis of the "white light" in Pound's poems in imitation of the Troubadours is in a paper by John Beall, "Pound's White Light in Canto XXXVI" presented at the 28th *Ezra Pound International Conference* in Salamanca, "Ezra Pound and the Spanish World", 27 June 2019. I tried to trace back the first occurrences of Pound's "white light" in his early lyrics on the dawn, and even as far back as a translation from a Provençal Alba, in my "The Pale Dawn of Spain: Pound's Morphology of Dawn" in *Ezra Pound and the Spanish World*, Viorica Patea, John Gery, and Walter Baumann, eds., 51–66.

paradigm of his paradisal cantos but also tried to spread his thought and teachings by publishing excerpts of a few passages from his work, and having him translated and published at different venues.

2. Intellectual Mysticism

It is hard to ascertain what and how much Pound actually read of St. Victor at least until 1954. His life and whereabouts are equally little-known. Richard (d. 1173) was a Scotsman who joined the Abbey of St. Victor at an unknown date. He probably studied under, and was deeply influenced by Hugh of St. Victor, who had been in charge of the Parisian abbey, whose canons were renowned for their theological as well as their philosophical attainments. He devoted himself to the study of philosophy, became prior of the Abbey and a prominent mystical writer and theologian, so widely known that scholars and learned people came to St. Victor to consult with him. He was also known as *Magnus Contemplator*.[1] His mystical theology is chiefly laid out in two treatises, *The Twelve Patriarchs*, known as *Benjamin Minor* or, *The Preparation of the Soul for Contemplation*, and *The Mystical Ark*, known as *Benjamin Major* or, *On Contemplation*, which aimed at giving a rational account of the contemplative life and to approach faith through reason. The two works are strictly connected and portray Richard's intellectual development. The former is an allegorical analysis of a few events and characters of Genesis. In a mainly tropological manner, Richard interprets the story of Jacob and his wives, Rachel-reason and Lia-affection, their maids and their offspring, so as to illustrate how, on the moral and the cognitive plane, the soul can prepare for contemplation. In the latter, he traces the three different processes of human thinking, giving them a precise definition, and pointing out how they interrelate and retroact on one another. Contemplation is not a fixed state but a fluid and dynamic activity of mind. Although the three modes of thought are mainly dealt with in *Benjamin Major* in a lucid and argumentative prose, *Benjamin Minor* employs a realistic narrative to illustrate the steps the soul and body are to go through in order to rise to a contemplative dimension. The final goal of contemplation is *excessus mentis*—Dante's "*transumanar*"—a state of mystical ecstasy wherein man transcends his own nature, a mental process at its highest stage, by which the mind is unified with the object of contemplation. Although ecstasy is reached through knowing, in both treatises love takes precedence over knowledge, because it is love that gives rise to the desire to know (Melone, xv). The mind in contemplation may be concerned "with the visible things of creation, but it HAS THE POWER to ascend to ecstasy in order to understand the invisible". Love is the compelling force behind the power to see, guiding the mind on the way to understanding and ecstasy.[2]

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[1] For the following information on Richard of St. Victor I am mainly relying on: Richard of Saint Victor, *Benjamin Minor*, edited and translated by Stanislav V. Yankowski and Rik van Nieuvenhove, *The Cambridge Introduction to Medieval Theology*. For the Latin text: Jacques Paul Migne, *Patrologia Latina*, 196, *Opera Omnia Richardi a Sancto Victore*; *De preparatione animi ad contemplationem*, *liber dictus Benjamin Minor* and *De gratia contemplationis*, *seu Benjamin Major*.

[2] See Yankowski's "Introduction", which betrays many of Pound's idiosyncratic wordings and script, such as capitalizing relevant statements.

3. From *Personae* (1909) to *A Visiting Card* (1942)

We do not know for certain how Pound became familiar with Richard's oeuvre. What is certain is that he eagerly read at least one of his works, or perhaps more, starting from very early on and referring to it intermittently up to and including the paradisal section of *Rock-Drill*. In 1909 in his first version of *Personae*, he added a long endnote to "Guillaume de Lorris Belated: Visions of Italy", summarizing and paraphrasing from memory what Richard's intellectual legacy was, drawing from the text he thought was *Benjamin Minor*.[1] The endnote contains a faithful description of Richard's three stages of intellectual activity (cogitation, meditation, contemplation). In cogitation, "the thought or attention flits aimlessly about the object"; in meditation, "it views it systematically, gaining perspective"; in contemplation, "the thought radiates from a centre, that is, as light from the sun reaches out in an infinite number of ways to things. Following St. Victor's figure of radiation: Poetry in its acme is expression from contemplation."[2] Already from this first reading Pound must have been thinking of Dante's *Paradise* X, 131–132, both in the notion of *excessus mentis* and in the image of light radiating from a centre. He further adds that the wording is his own, as he does not have the *Benjamin Minor* by him.

The poem is slight and was rightly dropped from *Personae* 1926, but in spite of its rather intricate allegories and personifications, it is worth remembering for various reasons. Set in a dramatic monologue, the poem stages a disembodied voice who meets the spirit of Guillaume de Lorris, the author of *Roman de la Rose*, imitating its rhetorical traits and figures in rapturous dreamy visions. A procession of ethereal maidens "slender and mist–wrought" immersed in love rays turn into personified cities from Northern Italy which Pound admired ("Each as a woman wonder–fair"), foremost among them "svelte Verona". Then a change of dimension takes place and Verona appears in a realistic light, with its churches and monuments and, towering above its square, the statue of Cangrande della Scala, the patron of Dante's exile. Pound must have remembered that in famous *Epistle* XIII, 80 to Cangrande*,* where Dante's own elaborate reading of his poem appears along with a key to its allegorical elements, he cites Richard's "De Contemplatione" among examples of tracts by theologians who dared to write about ecstatic visions of Paradise. In Pound's poem, the long paraphrase from *De Contemplatione* is added as an endnote when the I emerges from a dream and turns into "deductive intellect", seeing "How all things are but symbols of all things".

In all probability, Pound encountered Richard's works at Hamilton College, as he attended Dr. Shepard's lectures on Dante and Provençal poetry, followed up by their frequent conversations. In a letter to his mother of 1904, voicing his dislike for Aquinas ("Bill … told me I could go to Thomas Aquinas & other medieval Latin writers. I said, 'No thanks this is enough' so we go on to Canto X"), Pound announces his class's next assignment, where he would read of St. Victor (Pound 2010, 16). In *Paradise* X, 131– 132 Dante meets

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[1] In all likelyhood, Pound became acquainted with both treatises during Dr. Shepard's classes. Afterwards, he may have used Richard's citations from memory, mistaking one for the other until he could get hold of the actual texts when in St. Elizabeths. Only then did Pound acknowledge the elements distinguishing *Benjamin Minor* from *Benjamin Major*.

[2] Ezra Pound, *Collected Early Poems*, Michael John King, Louis L. Martz, eds., 99. Here Pound faithfully translates from the Latin of *Benjamin Major* I. iv.

Richard of St. Victor describing him as the one who "in considerar fu più che viro" ("in contemplation was more than human", my translation). As a keen scholar of Provençal, William Shepard undoubtedly introduced his students to the *Magnus Contemplator*, underlining Richard's "intellectual mysticism". Indeed, Richard's connection with Troubadours was then a widely studied topic, and would be at the heart of philological research for quite a while, up to recent times when philologists have started seeing religious writers and lay poets as belonging to the same epistemological milieu (Bologna, Zacchetti, xxiii). In a later letter to his mother, he tells her about his planning to write a history of Medieval philosophy, but then decides to give it up for purely practical reasons: "The prose book was to have been about philosophy from Richard St. Victor to Pico della Mirandola, … but I'm casting about for something more lucrative." (Pound 2010, 252).

Whether from Shepard's lectures or by his own intuition, in "Psychology and Troubadours" (1916), Pound anticipates philologists by insisting that "the servants of Amor saw visions quite as well as the servants of the Roman ecclesiastical hierarchy" and since most troubadours had been taught in the monasteries "visions and doctrines of the early fathers could not have been utterly strange to them (*SR,* 91)." As late as *A Visiting Card* (1942), while defining Dante's *De Vulgari Eloquentia* as his "Baedeker in Provence", Pound explicitly connects Richard with the Provençal poets. In the late thirties Richard and his three levels of intellectual activity are enlisted in Pound's political and economic agenda. In "Immediate Need of Confucius", where he sees a possible solution to Western predicaments by assimilating Confucius' *Ta Hio*, Richard's triad is linked to Confucius' teachings, as a way to drill them into people's minds, like a *mantram* (Pound 1975, 77). Further on, Pound expands on the "gradation of processes" insisting on contemplation in a more philosophical bend and linking it to *atasal*, a form of union with the divine: (1) the aimless flitting of the mind, (2) the systematic circling of the attention around the object, (3) contemplation, the identification of the consciousness WITH the object." (*GK,* 328). At times, the first stage is identified with *Inferno*.

4. Cursus Ezraticus

After the war around 1953−54, Pound was again engrossed in Richard's works, and in 1954 he wrote many similar letters to various correspondents regarding the Victorine's influence on his own thought and maintaining that he had absorbed more in 1909 from Richard of St. Victor than he "remembered from specific sentences" (Quinn, 59). The notable ones are addressed to Olivia Rossetti Agresti, Boris de Rachewiltz, and Vanni Scheiwiller, who will publish Pound's choice of Latin quotations from Richard's oeuvre, under the Italian title, *Riccardo da S. Vittore*, *Pensieri sull'Amore: Richardi excerpta—accurante Ezra Pound*, in 1956. In 1952, 17 year−old Vanni Scheiwiller, now in charge of his father's publishing house started what would turn out to be a long correspondence with Pound. Giovanni Scheiwiller, his father, had published *Profile* (1932) and *Confucius. Digest of the Analects* (1937) and in February 1954 Vanni published the original edition of Pound's pre−war economic pamphlets in Italian, under the title *Lavoro ed Usura.* In an unusual act of submission, Pound accepted Vanni's new title instead of the original *Oro e Lavoro* (1944). Although the essays had already been translated and published in English as *Gold and Work*, according to Mary de Rachewiltz, Pound was particularly pleased

about their appearing in the original Italian version. Vanni's enthusiasm and expertise had boosted Pound's spirits and in 1953, after Mary had returned home from visiting him in Washington, Pound encouraged, or better, commanded her to get in touch with young Scheiwiller: "Meet Vanni!"[1] After an extensive exchange of letters, in 1955, Pound decided to have Vanni publish the original of *Rock-Drill*, which only afterward came out in offset with *New Directions* and *Faber and Faber*.

In a letter to Vanni on 20 May 1954, Pound suggests that he should print a *Cursus Ezraticus*, a small course of Dante Studies, starting with the "forerunners", mainly, Richard of St. Victor, whom he is now "reading and re-reading, very important. Dante is full of R. st V/ and I am too, having read it, that is, *Benjamin Minor*."[2] (my translation from Italian). Besides Dazzi's translation of Mussato and his own edition of Cavalcanti from 1932, Pound adds *Benjamin Major*, Book I, chapters 3 and 5 and *De Gradibus Charitatis*. A few days later, on 29 May 1954, he wrote Rossetti Agresti about Richard's connection with Confucius and with his own *Gold and Work*, stressing the link between Richard, Confucius, and his own economic theories: "Vanni has had foolish impulse / probably before he got clear idea of Cursus Ezraticus / must keep series UNIFORM with Lav / ed Usura / Kung / Mussato / Richard St. Victor. A catholic biJAYzuss author whom a Confucian CAN read, and whom Dante & Guido damn well DID read. Wd / have improved my G. C. (Cavalcanti) notes if I had reread him in 1927." (Tryphonopoulos, Surette, 153). Pound probably forgot, but he had in fact thought of St. Victor at the time he was translating Cavalcanti's *Canzone* as is shown in a postscript he added to *The Spirit of Romance* in 1932. At about the same time, in a letter to Boris de Rachewiltz, Pound is even more explicit: "Must be 20 Kung texts embedded in him" (de Rachewiltz 1965, 77).

Indeed, Canto LXXXV opens the historical section of *Rock-Drill* with repeated allusions to St. Victor, now the capital example of a tradition preceding and culminating with Dante ("Dante, out of St Victor (Richardus)" 566). Right in the middle of the history of Chinese dynasties going back to the first inklings of the Confucian tradition, a Dantean line from *Purgatorio* XXIV, 54, "ch'e ditta dentro" (LXXXV/572, "in the way in which he (love) dictates within me," my translation) connects this famous manifesto of Tuscan love poetics with the virtuous disposition of rulers who come to power because of "a great sensibility". Such moral disposition is anticipated in one of the excerpts from St. Victor Pound will collect in Scheiwiller's *Pensieri sull'amore*: "Qui secundum cor dictat, verba componit" (Who composes words, as the heart dictates), afterwards translated and published in *Selected Prose* (71-72).[3] The two letters indicate the way Pound will now use Richard's legacy. On the one hand, connecting *Rock-Drill* back to Cavalcanti's *Canzone* and Canto XXXVI, with its metaphysics of love and eyes. On the other, stressing Richard's significance for his own overall indictment of usurious practices, when he sees his enemies waging "total war on CONTEMPLATIO" (LXXXV/566). The same charge

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[1] Mary de Rachewiltz's unpublished Letter 22 November 1953 to Vanni Scheiwiller, *Apice*, *Archivio Scheiwiller*, (undergoing re-arrangement), Subfondo Vanni, Serie Carteggio Vanni, fasc. Pound Ezra, Università degli Studi di Milano.

[2] Pound's Letter 20 May 1954 to Vanni, *Archivio Scheiwiller*.

[3] Pound published several similar, but not identical, collections of excerpts from Saint Victor causing a certain degree of confusion if one wants to trace them all correctly: *Riccardo da San Vittore, Pensieri sull'amore: Richardi excerpta - accurante Ezra Pound*, (1956) culled from the Latin original; a slightly different choice appeared as an appendix in Richard of Saint Victor, *Benjamin Minor*, trans. Stanislav V. Yankowski; this same choice was published in *Selected Prose*, 71-72, both translated by Pound himself. In addition, further citations appear in *Rock-Drill*.

is repeated in the introduction to *La Martinelli*, where "useless cogitators" are "usurious" critics or art collectors, probably unable to appreciate Martinelli's art.

5. A Richard of the Nile

In the same years, around June 1954, Pound started an intense correspondence with his son in law, Boris de Rachewiltz, who was most influential for the Egyptian and Sumerian elements in *Rock-Drill*. Pound had been impressed by Boris's *Massime degli antichi Egiziani*, which Scheiwiller published early in 1954, where he found the figure of King Kati, "the bright light of that collection", whom he now associates with St. Victor, enquiring in one of the letters: "If you can dig up a Richard of the Nile, I'll give him a canto." (de Rachewiltz 1965, 26 and 77). Elsewhere he compliments Boris for having humanized the Egyptians (de Rachewiltz 1969, 180). In a letter of about the same time, in a rather idiosyncratic phrasing, Pound anticipates what will become the opening of Canto XC: "Theological taste good in Ric ∕ s time. Animus humanus non est amor ∕ dilexit in amore that pours from it ("Not love but that love flows from it ∕ ex animo ∕ & cannot ergo delight in itself ∕ but only in the love flowing from it," XC∕629). Tree of knowledge ∕ error in that: RAPIT (to hell with, my tentative translation) the knowledge, like Yeats always poking round seances etc ∕ instead of Observing, let us say, blue jays." (de Rachewiltz 1965, 77). While Richard's theological argument describes the flowing of love between the persons of the Trinity, Pound chooses to appropriate such dynamism in a quite earthly context, in this case, his love for Sheri Martinelli, whom he usually refers to as blue jay. More than any other prose writing, the letters to Boris show in detail not only the growing importance Pound attaches to St. Victor, but also the new paths he had been pursuing both in the direction of the love theme and regarding the lucidity of Richard's arguments. Significant in the exposition on Richard is Pound's detecting Richard's method which he indicates observing that: "he doesn't explain what he is doing… just goes along Dissociating ideas, à la De Gourment [sic], defining his terms" (Trembaly, 158).

6. Richard in Washington: Dissociations

Around 1955, in order to further spread Richard's message, Pound would entrust the Polish scholar Stanislav Yankowski with translating Richard's *Benjamin Minor* into English, which was published by an obscure German publisher the following year. Vanni, on the contrary, offered a particularly favourable channel: his was a small but relevant publishing house with a select audience, who were familiar with Latin, or used to reading it, and curious about novelties especially where Ezra Pound was concerned. Vanni himself was surprised at the tiny booklet's success. In 1954, in one of his first letters to Yankowski Pound had urged: "Goacher might like yr∕ note on TRAX∕ what is WANTED is an English or American translation of Richard of St. Victor's Benjamin Minor, sive De Contemplatione, plus two or three chapters of the *Benj. Maj.* and a page of sentences from the

rest of the volume. MIGNE 196. Patrologia selected by yr. anonymous correspondent." (Pound 1991, 503).[1]

Reading the actual *Benjamin Minor* after so many years, effected a slight change in his perspective. While Pound was still relying on the more philosophical *Benjamin Major*, Richard's realistic narratives in *Benjamin Minor* now reveal new aspects.[2] The "anonymous correspondent" will do more than just choose Richard's quotations. Yankowsky's introduction to his own translation is blatantly Poundian and sounds like it was dictated by Pound himself. Or else, Yankowski was so much under Pound's spell as to adopt his turn of phrases and habit of capitalizing words that seemed important. As one would expect, Pound did not follow Richard's theological system closely, but chose to stress the themes that had always interested him most, culling excerpts or ideas, mainly in the line of the three crucial citations he will use in Canto XC/626: "Ubi Amor, ibi oculus / vae qui cogitatis inutile / quam in nobis similitudine divinae / reperetur imago."

In order to prepare for contemplation, *Benjamin Minor* tells the story, both realistic and allegorical, of Rachel and Lia, the two wives of Jacob, representing in turn reason and affection, both necessary to rise to the experience of contemplation. Their children allegorize activities and inclinations of mind each relating in turn to reason and love. One of the most cogent allegorical narratives is the episode depicting a fierce battle between the four sons of Bala and Zelpha, Rachel's handmaids, who represent the four virtues, and their enemy, the vices (Yankowski, 7). The treatise ends with the life of Benjamin, the youngest of Jacob's twelve sons, the last and most loved by Rachel−reason, who represents pure intelligence and contemplation, at whose birth Rachel dies: when the mind of man is ravished in ecstasy above itself, all human reason collapses: "What else then is the death of Rachel, save the eclipse of reason?".[3] What is most striking in Yankowski's introduction is the emphasis given to Richard's method, the distinctive feature of which he finds in the use of "dissociations", the habit of dramatically contrasting ideas, persons, and things by staging their impressive opposites in close juxtaposition: Pound's letters to Boris are certainly behind this, but most remarkably, Pound himself insisted on it in a letter to the Polish scholar: "the Benj is INTELLECT making dissociations." (Pound 1991, 517). In *The Spirit of Romance*, in one of his many ground−breaking comments, Pound had praised Richard for having written "a prose which becomes poetry, not because of its floridity, but because of its intensity." (*SR*, 116). Now, however, stylistic intensity has turned into a more specific trait. Characteristic of Richard's narrative in general, in Yankovski's words, are chains of dissociated statements in which the differences between the brothers, but also between the two wives, between Rachel and her handmaids, "the dissimilarity in similars", acquire strong poetic intensity. Yankowski makes the point: "In our time it was Ezra Pound who, amid the voluminous folios by the mystical writers of the Middle Ages discerned *the intellect making dissociations* (sic) and has been trying to rouse interest for the little known, inspired monk and philosopher of the 12th century." (Yankowski, 7−8). "Dissociations" had been on Pound's mind for a while, if referring to economic ideas. Recalling Remy de

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[1] The long correspondence was edited by Stanislaw Helsztynsky in 1970 and republished in *Ezra Pound's Poetry & Prose*.

[2] By now Pound had been able to read Richard's two works in the original Migne edition, and add other treatises more specifically dealing with divine love.

[3] Richard of Saint Victor, *Benjamin Minor* LXXIII, in Yankowski's translation, 84.

Gourmont's opinion that discrimination was a more valuable capacity than the recognition of similarity, in a letter of 24 May 1951 to Rossetti Agresti, Pound writes: "Now, lacking Remy de Gourmont on Dissociation d'idées cd / at least note the following. Douglas failed to emphasize." (Tryphonopoulos, Surette, 63).

What probably attracted Pound's attention again was Richard's three levels of intellectual activity encompassing distinct faculties: imagination, based on sense experience, reason, which focuses on intelligible things, and "intelligence", which contemplates invisible things: all the three distinct modes are different ways of relating to the same things. Contemplation seizes everything in one vision and is a flowing and dynamic process. The three degrees are never stable, though always distinct and "dissociated", each stage has an inner dynamic towards "self−transcendence" (Van Nievenhove, 138). However, what Pound leaves out is the mystic's presupposing that the thrust toward contemplation is impelled by grace, the only possible guidance to *excessus mentis*, i. e., the mind facing the unimaginable essence of God. From Richard's theological perspective, dissociating ideas simultaneously reveals the divine agency that connects them. While one can reasonably assume that the clipped ideogrammic form of the *Rock-Drill* Cantos appropriates Richard's "dissociation" of ideas in order to set up an "unwobbling pivot", i. e., the paradisal vision of a permanent world, Richard's mystic visions once taken out of context may end up disclosing the fragile nature of Pound's all too human a paradise. Although Canto XC is both the enacting of a ritual leading to the intensity and clarity of vision, and the creation of a state of mind "making Paradise", its dynamism may also disclose what ritual and liturgy are meant to fend off: uncertainty, absence, or loss of self.[1] Their opposite is ever present, a counterpoint made up of barely perceptible gaps that intermittently surface as the paradisal sequence unfolds. As Canto XCII suggests: "Le Paradis n'est pas artificiel / but is jagged, / For a flash, / for an hour. / Then agony, / then an hour, / then agony (640).

7. *Canto XC: Light and Darkness*

In Canto XC in the midst of a paradisal ascent, illuminated by love, three fragmented citations from *Benjamin Minor* follow an impassioned prayer, a plea for mercy to terrifying Aphrodite, "*Kuthera deina*":

Ubi amor ibi oculus.

Vae qui cogitatis inutile.

quam in nobis similitudine divinae

reperetur imago." (XC/626)

("Where love is, there is the eye. / Woe to those who think uselessly / which the image of divine likeness is restored in us." My translation; the italics in the above and the whole coming paragraph are mine). The last two lines, appearing in the canto in a truncated form, contain a curious mistake: *reperetur*, as far as I can tell,

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[1] Kristin Grogan similarly alludes to the function of rituals in her "Canto 79" in *Readings in the Cantos* II, Richard Parker, ed., 241.

does not exist. While the dubious grammar of these lines has been analysed before, what is instantly striking is the odd form of the verb. In the original, the line goes: "bona voluntas … per quam in nobis divinae similitudinis imago *reparatur*." (Migne, *Benjamin Minor*: LXV)[1] In his text, Yankowski rightly translates "*good will ….* Through which the image of divine likeness *is restored* in us." However, among the list of Latin citations Pound chose and translated as an adjunct to the Yankowski book, the lines run differently to the point of changing the meaning: "*Bona voluntatis* per quam in nobis divinae similitudinis imago *reperietur*" / *the good things of the will*, through which an image of the divine likeness *will be found* in us" (Pound 1975, 71).

Is it Pound's oversight, or did he actually choose to make Richard's ascent to the divine more uncertain? From the letters he sent Scheiwiller while correcting the drafts of *Rock-Drill*, we know that Pound was both philological and careless about philological accuracy, especially when the sound of a word was involved. Yet here, the inaccuracy utterly changes the meaning. In Richard's religious view, good will is God's gift to man, synonymous with grace, necessarily restoring in us the image of divine likeness, and Yankowski translates it as such in his text. But in Pound's citations *good will* becomes the *good things of the will*, that is our human resources. The emphasis shifts from the divine to the secular, to relying on one's will, not on divine grace, in the search for Paradise. Pound's stress on human action is further underlined seeing that he changes not only the tense but also the verb: from *reparare* "restore" to *reperiri* "search for and find in the end". Did Pound, consciously or unconsciously, choose to suggest an arduous search, an uncertain ascent, whose outcome may be doubtful?

In all this ascending movement and flowing of love's attraction drawing the soul "Out of Erebus … Out of heaviness where no mind moves at all" (XC/626-627), an undercurrent, literally a reverse current, seems to contrast and threaten the upward movement towards paradisal light. As elsewhere in *The Cantos*, where a theme is often accompanied by a counter-theme, moments of bright disclosure are counterbalanced by disquieting hints suggested by words or images, here the ascending surge is offset by a forceful image of descent, intimating a counter-movement, and making the Canto's hymnal evocation of paradise strangely uncertain. Clarity and fluidity ("and the waters clear with the flowing," 627), are obscured and made ambiguous by a counter flow of lights, toward darkness. A few lines after Richard's quotes, an unexpected counter-movement produces a "dissimilarity in similars" by connecting and simultaneously setting apart the attraction of love drawing the soul up from despair, and a quite realistic occurrence, a luminous detail from Pound's Rapallo experience. Here, he remembers a yearly ritual taking place on the sea coast, in which floating red votive lights are drawn out into darkness, whose forceful alliterations enrich the musicality of the lines:

> And they take lights now down to the water
> the lamps float from the rowers
> the sea's claw drawing them outward.   (XC/ 627)

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[1] In "Richard of St. Victor and "Rock-Drill", *Paideuma*, Vol. 3. No. 2 (Fall 1974): 221-222, D. James Neault first discovered Pound's misunderstanding, but did not mention the strangeness of "reperetur".

Although in Pound's view this Ligurian ritual re-enacts the myth of Adonis' sacrificial death and rebirth as it repeatedly appeared in the quite different Canto XLVII[1]—the stream of red lights, standing for Adonis's blood—what catches the eye here is a marked opposition in color and movement. First, there is a contrast between the visual flow of paradisal lights, almost a procession of spirits rising upward towards the intensity and clarity of vision, and the flow of hundreds of red votive candles being seized by a rapacious, maritime claw and drawn out into the deep sea darkness. Second, the opposition between ascent and the downward movement of mariners taking the lights down to the water creates an image and rhythm recalling the opening of Canto I, with Odysseus going down to the ships at the start of the *nekuya*, which often recurs in various subject-rhymes of descent, here reinforced by the funereal votive candles. The motif of descent toward darkness is further enhanced by the immediately following line, "De fondo" said Juan Ramon", a chasm of darkness undergirding all creation, aptly rendered by the allusion to Juan Ramon Jimenez's last verse collection, *Animal de fondo* (1949): the poet is an animal of the depths. Towards the end of the canto, a further counterpoint emerges, when chtonic spirits rise up "out of Erebus" no "shades more", ascending and delivered by the great ritual of resurgence now taking place. Yet, among the ascending shades, the dark shade of Elektra, "bowed still with the wrongs of Aegisthus" (XC/629) overshadows and seems to resist their transformation into the "lights enkindled". Elektra reminds us of Pound's translation and may act as a temporary persona of the poet, inspite of his courageous struggle out of despair and the hell of St. Elizabeths.

As elsewhere in *The Cantos*, certain images threaten "the kind of clarity at which the writing seems to aim." (Nicholls: 541). In *Rock-Drill*'s paradise, the eye and the light have imperceptibly acquired an uncertain hue by the recurring hints at the closeness between light and darkness. As Pound learnt from Boris's *Massime degli antichi Egiziani*, the two principles of good and evil may coexist, as in the invented deity of Ra-Set. In Pound's ideogrammic method, theme and counter-theme go side by side, neither quite canceling the other out, while dissociations and discriminations require a prompt awareness to catch various manners of relations. However, in *Rock-Drill*, the forces of darkness seem to have imperceptibly shifted from outer "enemies of contemplation" to an enemy within, which may subtly surface when the forces of darkness cease to be projected out into usurious menaces. This uncertain, complex, and contradictory approach to "light imagery" takes us back to Cavalcanti's *Canzone* and to Pound's intentional choice of replacing Cavalcanti's darkness with Dantean light, thus effecting a strange proximity between light and darkness. Perhaps Pound did not really ignore the dark side of Cavalcanti's love,[2] or perhaps, what the mind's eye experiences in human and poetic contemplation may be, not divine ecstasy, but a relation between opposites.

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[1] For a more hopeful interpretation of Adonis's ritual death, see Massimo Bacigalupo, "Canto XLVII" in *Readings in the Cantos II*. Actually, the two cantos differ profoundly in that Canto XLVII metaphorically presents Adonis's death and rebirth as part of "ancient rites repeating themselves serenely through the millenia", while in Canto XC, Adonis's sacrifice offers no compensation.

[2] Agamben, Brenet, *Intelletto d'amore*, 20-21. Agamben explores the Canzone's Averroist leanings, partly subscribing to recent interpretations that deny the connection between visual perception, love and knowledge, placing love exclusively in the sensitive part of the soul and radically separating cognition from sight and the experience of love. Brenet in his turn, adds considerations on "ittisal" —what Pound repeatedly alludes to as a union with the object-maintaining, on the contrary, that union with the whole entails abolishing the image. In his view, "ittisal", or the conjunction with the object, is a controversial issue in Averroes.

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China Question of US-American Imagism

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Abstract: This paper investigates first the influences of ancient Chinese culture on Ezra Pound, and then Pound's influence on the New Culture Movement of modern China (1917). It is a kind of circular journey of literary texts and theories from ancient China to the West and then back to China. This journey, or "circle model," involves textual appropriation, variation, transformation and misunderstanding in every stage.

Keywords: Imagism; Ezra Pound; New Culture Movement; Hu Shi; Circle model

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美國意象主義的中國問題

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摘　要：本文探討了中國古典文化對埃茲拉‧龐德(Ezra Pound)的影響,以及龐德如何反向影響中國近代的新文化運動(1917 年)。這是一場文學文本與理論從古代中國流向西方、再回歸中國的循環之程,亦可稱為「循環模式」(circle model),涉及文本在各個階段的挪用、變形、轉化甚至誤讀。

一、引言

中國比較文學或文化研究領域長期存在著「中國與西方」「傳統與現代性」雙重二元對立的主流批判範式。「中國與西方」最初為空間概念,但當其與「傳統與現代性」的模式結合之際,便承載了價值判斷的意涵。在此模式下,中國被視為古代傳統,西方則等同於現代性。因此,空間維度與時間維度疊合於同一線性平面之上。從「西方的衝擊與中國的回應」論爭到「全盤西化」之辯,從「中體西用」之說到當下「告別西學東漸,推動文化輸出」的思潮激蕩,中西文化論戰已持續百餘年。顯然,這些長期存在的辯論與爭議背後,究其根源是將中國與西方(或世界)嚴格分開的雙重二元論。

在比較文學研究領域,所謂的法國影響研究學派和美國平行研究學派被視作兩大主流範式。但無論是影響研究還是平行研究,都無法打破「中國與西方」「傳統與現代性」這種僵化的二元對立模式。近年來,國內的跨文化研究試圖突破平行研究和影響研究的局限,力圖為比較文學和文化研究開闢一個新的空間。但如果我們仍然受限於「中國與西方」絕對對立的二元模式之中,即便運用文化研究的新方法,也難以實現新的突破。那麼怎樣才能突破二元論的束縛? 在本文中,筆者試圖提供一個跨文化研究的「循環模式」來克服這些難題。

二、中國與西方的循環模式

「循環模式」的概念源自於愛德華·賽義德(Edward Said),在《東方主義》(*Orientalism*)一書中,賽義德圍繞「歷史時間和經歷,以及哲學和政治等主題的所有維度,提出了大循環的概念」(Said,2003:25)。對賽義德而言,東方主義並不是指地理意義上真正的東方。它只是東方的西方表徵,並不代表東方本身。正如他所說,「東方幾乎是歐洲的發明」(同上:1)。簡而言之,東方主義是一種西方話語,它與東方本身並沒有多大關係,反而與西方的關聯更為緊密。

然而,賽義德從關註西方的東方最終回歸關註作為歷史現實的東方。他指出,「若斷定東方本質上只是一種觀念,或是一種缺乏現實對應的虛構產物,這是完全錯誤的」(同上:5)。他將西方對東方的表徵和真實的東方區別開來,在真實的東方,人們的生活、歷史和習俗有著超越西方敘事的殘酷現實。賽義德強調東方不是自然界的一個惰性事實,「因此,與西方本身一樣,東方也擁有自己的歷史、思想、意象和詞彙的傳統,這意味著,它在西方世界以及它對西方而言,都是真實且存在的」(同上:5)。

於是,賽義德的「大循環」就此形成。東方學家探究的對象首先必須來自東方,然後再經過翻譯、推敲、改良和轉化。最終,東方主義作為一種西方話語,一種西方對東方的表徵,無論是真實的或想像的,被構建起來並進入到循環的下一階段。由西方構建的東方表徵,即「東方主義」,如今反過來作用於東方本身,通過其命名體系(將「東方」這一新名稱同廣袤多元的地理空間與歷史聯繫起來)和表徵機製,結合現代知識體系,依據西方對現代世界的概念化框架,對事物、觀念、政體和社會進行分類、分級和排序,從而賦予東方現

實性和存在感。基于相同的邏輯,海艾特(Hayot,2009:6-7)認為,「西方的東方通過影響西方人的思想來發展它的現實性和存在感,而西方人則在真實的東方以某種方式行事,作用於生活在那裡的人民和政府。東方主義的神話因此回歸其源頭,成為現實,就像某種荒謬的自我實現的預言」。從啟蒙運動到第二次世界大戰是循環的第二階段。這一階段東方主義以進步、現代化和普世主義為偽裝,在帝國主義和殖民主義的旗號下實現了對東方的回歸。

顯然,本文的「循環模式」概念在很大程度上借鑒了賽義德對東方主義「大循環」的定義。我希望將賽義德的概念和批評延伸和衍用至中國的案例中,而不是停留在賽義德聚焦的中東,特別是阿拉伯世界。並希望通過剖析二十世紀美國意象主義理論如何實現從中國古典詩學到現代美國,再作為西方現代主義詩學回流至二十世紀中國的循環旅行,來梳理龐德與中國的文學文化互動。

此外,我對龐德「循環模式」的探究也是一種現代文化交流和碰撞的「元批評」。劉康論述闡釋循環(hermeneutic circle)時,提到了美國批評主義主張和繼承的關於「文本統一性」的悖論思想。他指出這種「新批評」(New Criticism)著眼於特定作品的「文本統一性」,可能會導致自洽或自我封閉。出於對「新批評」自我封閉式的闡釋循環的不滿,劉康(2019:97-108)提出了一種「元批評」的替代視角。根據劉康的敘述,「元批評」是指從思想史和譜系學的視角,以西方理論在中國接受、變異和轉化的歷史過程為中心,反思中國的批判理論問題。其主要任務是通過癥候閱讀來探索和重構歷史過程中的社會政治情境或語境。

因此,僅單方面強調東方對西方的影響是不夠的,反之亦然。促成這種影響的社會背景也需要仔細考察。而跨文化研究的循環模式將探討不同民族文化下的社會語境,也就是說,它將闡釋循環的時間維度擴展到空間維度,並考慮民族文化之間的差異。

三、中國藝術和詩歌對龐德的影響

自《東方主義》問世以來,許多研究者運用該理論分析龐德與中國的關係問題。其中,錢兆明(Qian Zhaoming,1995:1)試圖肯定中國對美國現代主義的實質性影響。他使用的「東方主義」一詞與賽義德的不同。其主要目的在於表明,在西方現代主義運動,尤其是二十世紀初的英美詩歌變革運動中,中國發揮了不可忽視的積極作用。他在書名中將東方主義和現代主義並列,以詮釋東方對西方的影響。此外,他還試圖告訴讀者,東方不是西方表徵的客體,也不是被操縱和支配的對象,而是近代以來激勵、推動和影響西方的積極力量。

錢兆明的論點顯然不同於賽義德意義上的東方主義,但對於理解龐德與中國的關系,卻是合理且符合歷史事實的。盡管賽義德(2003:252)在《東方主義》中將龐德視為東方主義者,但龐德似乎與賽義德描述的其他大多數東方主義者截然不同。他對東方或中國的看法與美國著名東方學家歐內斯特·費諾羅薩(Ernest Fenollosa,1853—1908)幾乎一致。費諾羅薩(2008:76)對許多西方人「愚蠢地認為中國歷史毫無變化,社會進化停滯不前,道德和精神層面一成不變」的想法表示不滿,他堅持認為「中國人是製定偉大原則的理想主義者和實驗者;他們的歷史開啟了一個與古代地中海民族相媲美的具有崇高目標與成就的世界」。

不可否認,中國對龐德產生了重要影響。1908年,龐德從紐約經威尼斯航行至倫敦。到達倫敦後不久,他遇到了英國詩人艾爾吉姆·馬圖爾(Ailejim Mathur,1860—1931),隨後被引薦至詩人俱樂部,一些西方先鋒詩人每個月都會在那裏聚會。由此,龐德很快結識了一批英國文人,包括在大英博物館工作的詩人和東方藝術鑒賞家勞倫斯·賓揚(Laurence Binyon,1869—1943)。此後,龐德經常光顧大英博物館,並開始了解東方,尤其是中國藝術。1909年,大英博物館迎來了一批來自中國西北敦煌的壁畫,其中一尊佛教女神觀音菩薩的立像引起了龐德的關註。他在《三首詩章》(「Three Cantos」)中便描寫到「觀音/腳踏一瓣蓮舟」

（Pound，1917：119），這一描述與大英博物館 1909—1912 年展覽的觀音菩薩像高度契合。該立像被賓揚描述為「立於蓮花之上，頭冠兩朵蓮花」（Binyon，1910：10）。

在討論龐德最負盛名的意象派詩歌《在地鐵站》（「In a Station of the Metro」）時，評論家們傾向於將其「美」全部歸因於日本俳句的影響。但在錢兆明（2003：13）看來，這首詩獨特的形式和主題可能同時受到了俳句和中國畫的影響。1913 年，龐德通過費諾羅薩的遺孀獲取了費諾羅薩收集和撰寫的有關中國詩歌和漢字的筆記和論文，這也許是龐德與中國結緣的頭等要事。隨後，龐德繼續從事費諾洛薩未完成的研究，並於 1915 年 4 月出版了《華夏集》（Cathay）。該作品一經發表便引發了轟動，極大地激發了美國現代主義作家對中國文學和藝術的興趣。

正如葉維廉（William Yip，2002：32）所言，接觸過中國畫和詩歌的費諾羅薩在漢字結構中找到了新的審美意趣，欣喜若狂。而這一理念極大地影響了詩人龐德的美學走向。他拒絕西方語言的抽象邏輯，認為這種邏輯違背了自然之序（Pound，1913：32）。此後，表意文字和中國古典詩歌對龐德的創作和翻譯產生了深遠的影響。例如，龐德在《華夏集》中對李白《送友人》一詩的翻譯：

> 藍色群山於城墻以北，
> 白水環繞其間；
> 我們不得不在此分別
> 踏上前往千裏荒原之路。
> 心緒如飄蕩浮雲。
> 落日像告別舊友
> 在遠方合手作揖。
> 馬兒彼此嘶鳴，
> 在我們啟程之際（Pound，1915：28-29）[1]

在龐德的翻譯中，詩的前兩行以明亮的色調描述了「青山」（blue mountains）和「白水」（white river），與第四行「千裏荒原」（a thousand miles of dead grass）的昏暗色調形成了鮮明對比。為了突出意象，龐德在翻譯中刻意避免使用動詞和連詞，而是借用「纏繞」（winding）或「浮動」（floating）等動名詞達到意象並置的效果。隨後，龐德又用「浮雲」（floating clouds）與「落日」（sunset）同第一部分的「青山」和「白水」遙相呼應，映襯出落日余暉的景象。這與「青山」和「白水」形成的境界相得益彰，展現遊子的心境和老友的情誼。總體而言，龐德的譯本簡潔利落、構思巧妙，且生動形象，忠實傳達出李白原詩的內容。

值得註意的是，龐德為了突出意象，不僅省略了動詞和連詞，還省略了說話人的代詞。因此在他的譯文中，讀者不知是誰心緒如雲，是誰在揮手告別，是誰看見了落日。這樣，龐德的翻譯就顯得背離了西方的邏輯思維，還與英語語法格格不入。在葉維廉看來，龐德在翻譯中省略代詞可以避免將讀者鎖定在一個由作者主觀控製、引導和指向的固定且局部的位置上，如此一來，讀者可以同時占據兩個位置以獲得靈活的體驗或感受。這實際上反映了道家美學中「以物觀物」「物我兩忘」的狀態（Yip，2002：40）。上述所有的審美選擇都證明了中國文化對龐德的重要影響。

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[1] 此處為譯者中譯。龐德英譯為：Blue Mountains to the north of the walls / White River winding about them；/Here we must make separation / And go out through a thousand miles of dead grass. / Mind like a floating wide cloud. / Sunset like the parting of old acquaintances / Who bow over their clasped hands at a distance. / Our horses neigh to each other as we are departing.

四、龐德對中國古詩的挪用

但是,當我們說中國古代藝術和詩歌對龐德具有極大的影響,並不意味著龐德會不加任何修改地接受它們。藝術和文學作品從一種民族文化傳播到另一種民族文化時,必然受製於接受文化的傳統、習俗與道德規範,經歷意義與理解的嬗變。給定文本的意義不僅取決於作者的意圖和文本本身,還取決於不同文化和時期的讀者的理解和接受度。龐德在《華夏集》中的翻譯直接受到了費諾羅薩的啟發。費諾羅薩認為漢語符號是基於與自然世界秩序相對應的生動速記圖片,比西方字母表的任意符號更有意義。他提出,中國詩歌具有獨特優勢,能將繪畫的生動性與聲音的流動性融為一體:「閱讀中文時,我們似乎不是在擺弄抽象的思維符碼,而是在觀察事物發展的命運軌跡」(Fenollosa,2008:80)。

事實上,雖然漢字作為一種表意文字,不同於西方的表音文字,但它們仍然是一種語音符號。與表音文字一樣,漢字最終還是根據慣例來確定圖像、聲音和意義之間的關系。因此,能指和所指之間的關系是任意的。例如漢字「旦」表示太陽從地平線升起,而漢字「東」則表示太陽在樹後升起(同上:84)。但是為什麼太陽從地平線升起為「旦」,而從樹後升起為「東」呢? 顯然,「旦」意為「早晨」,「東」意為「東方」,這種聯系並不是自然形成的,而是約定俗成的結果。[1] 費諾羅薩對表意文字的誤解也影響了龐德,成為他翻譯漢詩時意象並置的理論依據。

以《華夏集》中的翻譯為例,龐德(1915:16)將李白一首詩中的著名詩句「荒城空大漠」翻譯為「廢堡,天空,大漠」。原詩題為《胡關饒風沙》,在《華夏集》中對應譯名為《戍邊人哀歌》(「Lament of the Frontier Guard」)。李白意在表現風沙飛揚的邊疆景象,大漠浩渺,一望無際,城堡破敗,空無一人。李白詩中的「空」意為使某處空蕩蕩的,為使役句。然而,龐德將「空」改譯為名詞「天空」(sky),由此形成了廢棄的城堡、天空和廣闊的沙漠三種意象並置。

顯然,龐德有意采用逐字直譯的方法,舍棄主語和英文句法中的其他成分,忽視英文的句法結構,形成並列結構的句式特徵。的確,在中國古典詩歌中,相當多的詩句具有意象並置的特點,意象詞或意象短語之間的句法關系並不明晰,無需添加代詞、介詞或其他成分就能構成完整的句式。龐德敏銳地意識到了這一點,但他並不了解中國詩句的構成。根據翻譯原則,如果原文句子是串接的,譯文也應當是串接的。如果原句是並置結構,那麼譯文也理應如此。龐德在應當使用並置時不使用,而在不應使用時卻使用了。比如李白一詩中的「驚沙亂海日」並非並置結構,但龐德卻把它翻譯為「驚奇、沙亂、海日」三種意象並置的形式(Pound,1915:31)。[2] 而李白另一首詩中的「鳳去臺空江自流」是並置結構,龐德卻沒有采用並置形式去翻譯(趙毅衡,2013:221)。在《華夏集》中,這句詩被譯為「鳳凰已去,江水獨流」(Pound,1915:30)。[3]

然而,龐德的誤譯不應被視為嚴重或不可饒恕的問題。總體而言,龐德的譯作很好地再現了中國詩歌的原貌。他將費諾羅薩的作品用作他所謂表意方法的起點,但這一方法源於費諾羅薩一個完全錯誤卻極富啟發性的觀點,即每個基於視覺而非聽覺的字符,都代表一種意象或一個象形文字。海艾特(2009:ix-x)極力主張,歷史已經證明:盡管龐德不懂中文,但他翻譯的中國詩歌最具特色。這為一系列重要問題奠定了基礎,例如西方如何「理解」中國,以及這些「理解」中有多少是滿足他們自身欲望的虛幻言論。

在意象派詩歌運動產生和發展的過程中,中國影響的作用既不應被否定,也不容誇大。更確切地說,正

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[1]　譯者注:許慎於《說文解字》提到:「旦,明也。」「東,動也,從木。」強調"旦"及"東"在漢語中屬於會意字。費諾羅薩對兩字的解釋可以看出他認為"旦"於"東"為象形字。

[2]　譯者注:此處的誤讀體現在原詩"亂"為動詞,而非名詞。

[3]　譯者注:此處龐德英譯為:「the phoenix are gone, the river flows on alone」。

是由於英美詩歌運動的內在需求以及當時的社會環境,中國才發揮了作用。正如科恩(Kern,1996:ix)指出,促使費諾羅薩和龐德關注漢語的背後顯然存在更深層的根源,不但源於美國文學史(尤其是愛默生的作品),而且至少可以追溯至文藝復興時期的知識與語言傳統。

意象主義是二十世紀早期的英美詩歌運動,提倡意象精確,語言清晰、犀利。它摒棄了大多數浪漫主義和維多利亞詩歌中常見的情感泛濫與冗長論述,反對刻板的節奏和韻律規則。由於二十世紀初以前一直主導英國文壇的浪漫主義詩歌逐漸變得刻板說教且辭藻誇張,以托馬斯・歐內斯特・休姆(Thomas Ernest Hulme)為代表的一批新銳詩人認為快速現代化社會的思想需要新的文學潛力來表達,他們也在致力於探索一種精確的修辭方法。在 1908 年的「現代詩歌講座」中,休姆開始抨擊詩人俱樂部一些成員的態度(包括其主席亨利・辛普森),並宣稱傳統詩歌已步入衰敗的後期階段。他指出:「詩歌是直接的語言,之所以直接,是因為它用意象來表達」「這類新詩更似雕塑而非音樂;它吸引的是人的眼睛而不是耳朵」(Hulme,1938:259-270)。1909 年 2 月 18 日,在寫給《新時代》(*The New Age*)編輯的信中,休姆(1909:350)聲稱浪漫主義的消亡來得遲了些,並批評他的朋友弗蘭克・斯圖爾特・弗林特(Frank Stuart Flint)「執迷於一種幻想,即詩人會沉溺於瑟西式的感官縱欲和頹廢的衣著形象」。此外,意象主義呼籲將古典價值觀與新的詩歌形式相結合,回歸更古典的價值觀,表達簡單直接,樂於嘗試非傳統的詩歌形式。事實上,正如趙毅衡(2003:195)所言:「沒有中國詩的影響,美國現代詩歌一樣要打起反浪漫主義的旗幟。中國詩只是幫助美國詩實現這個目標而已」。

五、胡適對意象理論的接受與變異

以埃茲拉・龐德為首的美國意象派受到中國傳統藝術和詩學的影響,強調意象的純粹組合,與維多利亞時代英國詩歌的刻板教化形成鮮明對比。這些理論主張體現在龐德的文章《意象主義者的幾點禁忌》中,這篇文章反過來啟發了胡適在中國二十世紀初提倡的文學革命。胡適(1891—1962)出身於中國傳統士大夫世家,求學於康奈爾大學與哥倫比亞大學,實為近代中國最重要的思想文化領袖之一,被尊為二十世紀初中國文學與語言革新運動的前驅。1917 年,他發表了一篇對改革具有重大意義的文章——《文學改良芻議》。文中倡導的「八不主義」和龐德 1913 年提出的《意象主義者的幾點禁忌》中的八項原則存在許多相似之處。

例如胡適提議的第一條「須言之有物」(胡適,1917:27)和第四條「不作無病之呻吟」(同上:27)與龐德的第一點「不用多余的詞,不用無益於呈現的形容詞」(Pound,1913:201)的意義非常接近。再者,胡適提出的第五條「務去濫調套語」(胡適,1917:27)與龐德概述的第二點「不要使用『晦暗的和平之地』這樣的表達」(Pound,1913:201)以及第三點「不要用平庸的詩句復刻散文佳作中已有的表達」(同上:201)的意思基本一致。另外,胡適提出的第六條「不用典」(胡適,1917:27),也與龐德的第八點「不用裝飾甚至好的裝飾」(Pound,1913:202)意義相似。不過,胡適並沒有完全否定對典故的使用,而是主張要麼不用典故,要麼用好的典故,他在《文學改良芻議》中也闡明了這一點。此外,胡適提出的第七條「不講對仗」(胡適,1917:27)和第八條「不避俗字俗語」(同上:27)與艾米・洛厄爾(Amy Lowell,1915:vii)提出的意象主義「六項原則」中的「使用日常會話的語言」和「使用不同於傳統形式的自由詩表達」的含義一致。

1919 年,胡適(1928:334)在《談新詩》中也提到,凡是好詩,都能在我們的頭腦中引發一種或多種意象,這便是詩的具體性。顯然這一觀點與意象派理論是一致的。

1916 年 12 月 26 日,胡適在紐約期間,於日記中珍藏了一則《紐約時報》關於洛厄爾《意象主義信條》(「Imagist Credo」)一文的剪報,他認為意象派主張的大部分觀點與他自己的觀點相似(胡適,1947:1143)。

事實上,正如許多中國學者所言,胡適的諸多觀點實受龐德與洛厄爾啟發,而非相反。

例如,梅光迪(1922:3)主張,所謂的中國白話詩不過是自由詩和美國意象主義的殘余。聞一多(1993:3)也曾言,胡適的「八不主義」非其獨創,極有可能是復刻以偉大的女詩人洛厄爾為旗手的新意象派詩人的信條。盡管胡適並未親口承認過,但上述種種皆印證了胡適的「八不主義」受到龐德的《意象主義者的幾點禁忌》和洛厄爾的意象派信條的啟發。黃桂友(Huang Guiyou,1997:130)指出:「如果沒有胡適對龐德和洛厄爾的挪用,中國的現代主義就不會是現在的樣子」。

但也必須看到,胡適的詩學並不完全等同於意象主義。的確,龐德和胡適都註重意象,但他們的觀點並非完全一致。龐德採用了許多意象主義的方法,如意象並置、疊加和分離等,這些不合乎語法的寫作方法正是胡適所反對的。

與龐德相反,胡適極力主張在文學創作中要註意語法。在《文學改良芻議》中,胡適的「八不主義」之一強調「須講求文法」。他指出:「今之作文作詩者,每不講求文法之結構。其例至繁,不便舉之,尤以作駢文律詩者為尤甚。夫不講文法,是謂『不通』。此理至明,無待詳論」。(胡適,1917:27)。

龐德(1913:202)呼籲詩人「博采眾家之長」,胡適(1917:27)則堅稱「不要模仿古人」,可見他們對中國傳統詩歌截然不同的態度。同時龐德反對浪漫主義但不反對古典主義,胡適則相反。

他們之間的分歧提醒我們,胡適接受美國意象派理論實因國內社會情勢使然。1905 年,科舉製度的廢除改變了文人的生活方式,也改變了中國詩歌的功能。中國詩歌由之前的應試功能轉變為啟蒙功能。當時社會動蕩不安,知識分子迫切期望通過創辦報刊、普及教育以開啟民智。然而,他們研習掌握的文言文與普通民眾日常使用的白話文大不相同,於是不得不改變寫作習慣,用普通民眾能理解的白話文創作自由詩。這正是胡適大力提倡白話詩體、拒絕承認外來影響的主要原因,也意味著胡適的反傳統思想並未完全脫離中國傳統。事實上,胡適在新文化運動中提出的八項主張,幾乎都可以在中國傳統文論中找到。胡適反復強調「須言之有物」,與《論語》所言:「辭達而已矣」(孔子,2010:305)一脈相承,清晰彰顯了他以儒家思想為代表的傳統中國文學思想背景。

在論證"五四運動"與中國傳統的關系上,林毓生區分了兩個不同的概念。在他看來,這場運動在「思想內容」層面是反傳統的,但在「思想模式」層面則不是,它仍然遵循著中國傳統(林毓生,1988:158)。五四時期的代表人物所繼承的思想模式,很大程度源自孔子的教誨,正如他所說的「未知生,焉知死」(孔子,2010:241)。

總體而言,西方影響對中國傳統向現代過渡的作用既不能忽視,也不能誇大。將中國近代轉型視為中國古代文化的斷裂是完全錯誤的,中國現代文學最初是在中國古代文化的母體中孕育而生的。現代化並不是一個突發的歷史事件,而是一個循序漸進的過程。與此同時,這一過程也離不開西方的沖擊和影響,前者是首要的或內在的原因,後者是次要的或外部的原因。正是內外因素的共同作用,推動了從傳統到現代性的歷史轉變。

這也證明,無論是關於胡適是否受到意象主義影響的爭論,還是對於龐德是否受到中國文化影響的爭論,都只有在跨文化的「循環模式」中得以合理解決。

六、結語

綜上所述,美國意象主義的中國問題是一場循環旅行,不僅與古代中國有關,也與近代中國有關。迄今為止,大多數研究者要麼聚焦於中國古代文化對龐德的影響,要麼僅關註龐德對胡適的影響,但如今是時候將這些彼此獨立的研究進程合為一體了。

　　同時,我們必須追問:龐德的意象主義理論受中國傳統文化的影響而來,怎麼會被胡適用作新文化運動反對中國古典主義的理論武器呢?

　　此前我們已註意到,無論是法國影響研究學派還是美國平行研究學派,皆因其僵化的二元對立模式陷入「中國與西方」「傳統與現代性」疊加的難題,而無法解答這一問題。影響研究仍然是一種線性的比較研究,將事物的來源視為事物本身,用本源論取代本體論,天真地認為只要找到確鑿證據說明影響的來源,一切問題便迎刃而解,卻忽視了影響過程中可能發生的所有變異。

　　胡適「八不主義」對中國近代文論的形成影響重大,許多研究者也許已經註意到其與西方理論的關系,卻往往忽視龐德理論中的中國背景。因此,他們得出結論,中國近代理論因西方理論的介入脫離於中國傳統。然而,龐德理論的循環旅行表明,中國接受西方理論時必然站在自身預期的視角,並推動不同文化文本的傳播、交流與轉化過程,反之亦然。相比那些與中國文化關聯甚少甚至毫無關聯的文本,與中國傳統有相似之處的西方文本更能引發中國讀者的濃厚興趣。龐德的意象主義詩歌和詩學理論最初受到中國古典詩歌和美學的啟發,從而引起二十世紀中國作家的極大興趣,他們尤為著迷於龐德如何通過意象與詩歌語言完成先鋒的現代主義實驗,創造出全新的審美體驗與詩歌表達。任何新穎現代或具備現代主義特征的事物,都被中國現代知識分子視為時髦與潮流,受到熱烈追捧。由於龐德對中國文化的真摯情感與尊重,人們對這位美國現代詩人的熟悉感與親近感成倍增加。

　　在這場循環旅行中,每個階段的挪用、改寫、變異、轉化,甚至誤讀都是正常現象。龐德改編了中國的理論,胡適也改造了龐德的理論。正如龐德接收並改造具有浪漫主義特質的李白詩歌,將其作為反浪漫主義的利器;胡適也借鑒並改造受中國古典文藝影響的龐德意象主義,將其作為對抗中國古典文化的理論武器。萬事萬物循環往復,不可能一成不變,中西理論之間也不存在不可逾越的鴻溝。總之,不是中西二元論的線性模式,而是跨文化研究的循環模式,才能回答美國意象主義的中國問題。

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[Borderland Voices: Xue Mo's Works in Translation]

欄目主持人語(辛紅娟〔博士,博士生導師,寧波大學教授〕):

雪漠作品的跨語際書寫與中國文學的世界性對話

　　中國當代文學的全球傳播始終面臨雙重挑戰:如何在語言轉換中保留文化根性,又如何在异域語境中激活文本的當代意義。雪漠的「大漠三部曲」作為西部文學的代表,以其獨特的鄉土叙事與哲學深度,成為探討這一命題的經典樣本。本專欄匯集的四篇研究論文,從語言學、翻譯理論、傳播學與文學批評等多維視角,系統解構了雪漠作品外譯與國際傳播的實踐路徑,既呈現了翻譯活動的復雜性,也為中國文學「走出去」提供了方法論啓示。

　　王琳琳的「《大漠祭》中的前景化語言特徵及翻譯探究」揭示了文學翻譯的核心矛盾——形式創新與文化保真的辯證關係。葛浩文夫婦通過直譯、意譯與省譯的動態平衡,既保留了方言俗語的「陌生美」,又通過叙事重構消解文化認知壁壘。這種策略呼應了李昌標等的「雪漠『大漠三部曲』地域性隱喻類型與翻譯」文中論及的具有明確地域特色的西部隱喻翻譯框架,該文認為,譯者以保留源域或替換源域的方式,在异質文化中構建「可通約的陌生性」。兩篇文章均指出,鄉土文學的外譯絕非簡單的符號轉換,而是通過語言的詩學重構,將地域性昇華為人類共通的審美經驗。施周安健、辛紅娟基於大易翻譯學為跨文化傳播提供的極具中國智慧的範式,分析指出,大易翻譯學作為根植於本土的譯論,通過「以易傳文」的文本重構策略、「以易化人」的文化適應性轉化機制,嘗試破解跨文化認知隔閡,為中國文學全球傳播提供了方法論路徑。這一理論框架與崔文娟「共情傳播視域下《大漠祭》中女性形象的跨語際書寫研究」文中的共情傳播研究形成共振:譯者通過「情感共同體」的構建將西部女性的悲苦命運轉化為全球女性主義議題。二者的交織證明,中國傳統哲學的變通智慧與現代傳播理論並非割裂,而是能够在翻譯實踐中實現創造性融合。崔文娟的共情傳播視角,直指文學外譯的情感維度。《大漠祭》中女性形象的跨語際書寫,不僅依賴語言策略,更需譯者深度移情。這種情感翻譯策略,與大易翻譯學的「變易」原則不謀而合,通過母題解析使得地域叙事嵌入全球話語體系。

　　四篇論文的共同啓示在於:中國文學的全球傳播需突破「文化折扣」與「自我東方化」的雙重陷阱。一方面,需警惕過度歸化導致的符號空心化(如「賢孝」簡化為 tale 造成的文化損耗);另一方面,亦要避免异化策略的審美失效(如不加調適的方言直譯可能引發的閱讀障礙)。未來的研究可向三個維度拓展:其一,加強讀者接受度的實證分析,通過海外書評、銷售數據等檢驗翻譯策略的有效性;其二,探索人工智能輔助翻譯的倫理邊界,在技術賦能與人文精神間尋求平衡;其三,推動多模態傳播,將文學文本與影視、藝術等媒介結合,構建立體的中國叙事網絡。

　　雪漠作品的譯介實踐表明,中國文學的世界性對話,既需要扎根土地的「在地性」,也需擁抱開放的「世界性」。當大漠的風沙裏挾着凉州方言穿越語言的疆界,當西部女性的呐喊在异域語境中激起回響,中國文學便真正完成了從「走出去」到「走進去」的蜕變。這不僅是一場文化的遠征,更是一次文明的互鑒——在差异中尋找共鳴,在對話中抵達共生。

Translation and International Dissemination of Xue Mo's Literary Works: Perspective of Yi-Translatology

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Abstract: The global dissemination of Chinese literature has long confronted dual challenges: a unidirectional cultural narrative that limits resonance with international audiences, and the erosion of cultural significance across linguistic boundaries. This study applies *Yi-Translatology*—a translation framework rooted in the cosmological principles of *Yijing* (The Book of Changes)—to investigate its tripartite operational paradigm (streamlined transmission, adaptive transformation, and core preservation) as a solution to these cross-cultural barriers. Through a case analysis of Xue Mo's translated works, we demonstrate how *Yi-Translatology* employs context-sensitive textual reconfiguration and culturally calibrated mediation to reconcile cultural authenticity with dynamic adaptation. The results indicate that this framework achieves equilibrium between cultural specificity and universality, effectively preserving the philosophical essence of source texts while facilitating intercultural dialogue.

Keywords: Yi-Translatology; Xue Mo; Chinese literature; outbound translation; global dissemination

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大易翻譯學視角下雪漠文學作品外譯與
國際傳播剖析

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摘　要：中國文學在「走出去」與「走進去」的雙重進程中，長期面臨「對空言說」與「文化折扣」的傳播困境。本文以大易翻譯學理論框架為依託，通過解析「易之三義」(簡易、變易、不易)與中國文學外譯的深層關聯，系統考察該理論在雪漠文學海外傳播實踐中的指導效應。研究發現，大易翻譯學作為根植於本土的譯論，通過「以易傳文」的文本重構策略、「以易化人」的文化適應性轉化機制，嘗試破解跨文化認知隔閡，為中國文學全球傳播提供了方法論路徑。本文以雪漠作品譯介為案例，揭示中國傳統譯論如何借力經典哲學智慧，通過動態平衡文化異質性與可通約性，拓展本土文學的參與國際敘事的可能性路徑。

關鍵詞：大易翻譯學；雪漠；中國文學；外譯；國際傳播

一、引言

在全球化語境下，中國文學海外譯介是文化「走出去」的戰略需求，但從半個多世紀的實踐看來，依然面臨「走進去」的難題。跨文化對話的核心在於『如何認識「異」與對待「異」』(劉雲虹，2022：77)——這一命題直指翻譯活動中語言、文化、意識形態的多維張力。中國典籍《易經》所蘊含的「變通」哲學，為應對此類挑戰提供了理論資源。本文以雪漠文學作品譯介為研究對象，從「簡易」「變易」「不易」三重維度切入，探討《大易翻譯學》如何借「易之三義」構建翻譯方法論：通過「簡易」消解文化認知壁壘，經由「變易」實現敘事形式創新，依託「不易」堅守文化本體價值。研究旨在揭示中國傳統譯論與現代傳播需求的契合性，為中國文學突破「文化折扣」困境、建立有效的國際對話機制提供理論參照與實踐啟示。

二、大易翻譯學對「易之三義」的闡釋

大易翻譯學以《易經》哲學為理論內核，突破西方譯論範式束縛，開創本土譯論新路徑。作為中國本土翻譯理論的重要探索，大易翻譯學以《易經》「易之三義」為哲學根基，通過重新詮釋傳統經典，構建了一套立足中華文化本體的譯學理論體系。其核心在於將《易經》的「變通」哲學與翻譯研究的本質問題相結合，從形而上的哲學思辨延伸至翻譯實踐的形而下操作，形成「道器合一」的理論框架。

「簡易」即「簡單和容易」(陳東成，2017：17)，強調通過符號系統的再編碼消解文化異質性。《系辭上傳》所言「易知則有親」，直指翻譯的認知疏通功能。賈公彥認為「譯者易也，謂換易言語使相解也」，揭示翻譯本質是「換易言語使相解」的符號轉換行為。「簡易」的目的就是用最簡樸的方法處理好最複雜的問題，是關於如何化繁為簡、一解百解、執簡馭繁的方法論。從「簡易」的原理廣而推之，大千世界中越是複雜難懂的事物，便越是有著易知、易從的規律可循。翻譯也是如此。

「變易」即「變通」。《周易・繫辭下》強調「唯變所適」,認為萬物皆處於永恆變動之中。大易翻譯學將這一哲學主張轉化為「變譯」理論,這正是對《易經》「變動不居」思想的實踐延伸。翻譯活動需根據目標語文化語境,靈活調整文本形態與敘事結構,例如通過母題重構、形式創新等手段,實現文化價值的適應性轉化。這種「變通趨時」的實踐,印證了「變化是翻譯本質屬性」(餘承法,2014:103),更凸顯大易翻譯學「以變求通」的方法論優勢,在動態調適中實現文化價值的適應性。

「不易」原則強調翻譯需在動態的語言轉換中堅守文化內核的恒定性。《管子・形勢》言「天不變其常」,強調變中有常的宇宙法則,揭示翻譯的本質是通過形式變化傳遞不變的文化內涵。譯者需在跨文化調適中錨定源語文本的價值根系,使其成為異域語境中的文化識別符。「不易」原則的本質在於將翻譯視為文化的再生系統,使翻譯實踐在「變」與「不變」的辯證運動中突破「文化折扣」,實現從單向輸出到價值共生的範式轉型。

該理論將「易之三義」融入翻譯研究,系統闡釋翻譯的本質、原理與方法論,構建「全域與局部相照應」的理論體系(趙彥春,2015:6)。其核心價值在於以「易」解「譯」,既承襲《易經》「變通」哲學精髓,又將翻譯研究從「器」的操作層面提升至「道」的本體論高度,為中國特色譯學話語體系注入原創性理論資源。

三、「易之三義」在雪漠文學譯介中的映射

大易翻譯學提出的「簡易」「變易」「不易」原則,不僅是對《易經》哲學的現代譯學轉化,更為中國文學外譯實踐提供了可操作的方法論框架。雪漠文學作品以其鮮明的西部地域文化特質與哲學深度,成為檢驗「三易」理論效力的典型樣本。其譯介實踐通過「符號轉換–形式重構–基因編碼」的三重路徑,系統呈現了「三易」原則從理論到實踐的映射邏輯。

(一)「簡易」之文化符號的認知疏通

「簡易」作為《大易翻譯學》的核心原則之一,其本質是通過文化符號的跨模態轉換實現認知可及性。「簡易」並非對文本的簡化或降維,而是遵循「易知則有親」的哲學邏輯,通過符號系統的再編碼消解文化異質性。譯者需在受眾導向下對源語符號進行選擇性重構,以適配目標語文化認知框架。

雪漠文學文本的獨特性體現為雙重張力:其一,題材上「貼著地面行走」的鄉土寫實性,使其作品深度嵌入涼州地域文化肌理(如民風民俗、方言體系);其二,風格上「將自己打碎」的敘事實驗性,使其語言呈現高度隱喻化的西部美學特徵。這種雙重特質雖賦予文本強烈的文化辨識度,卻同時構成跨文化傳播的認知屏障。依據「共通意義空間」理論(郭慶光,2011:10)的,傳播效度依賴於傳受雙方對符號意義的共用闡釋。若源語文化符號無法在目標語認知體系中找到對應錨點,造成文本意義的耗散。

譯者通過「簡易」策略實現了文化符號的轉換。一、實物符號的類比置換:如將西北主食「饃饃」譯為「flatbread」,借助形狀與功能的相似性建立認知映射,既保留飲食文化的物質屬性,又規避因文化缺省導致的語義真空;二、語言符號的語義重構:西北歇後語「蠍虎子挨鞭子,死挨吧」承載著方言特有的戲謔性與悲劇性雙重意涵,直譯可能導致目標讀者誤讀。譯者將其簡化為「It's not good」,雖犧牲部分修辭色彩,卻通過核心語義提取確保敘事連貫性;三、哲學概念的語境重置:佛教術語「看破紅塵」在中文語境中隱含「超脫世俗」的宗教哲思,但直譯為「to see through the vanities of the world」易引發基督教文化背景讀者的倫理誤判。譯者採用歸化策略譯為「turned their back on this world」,通過西方宗教話語中的「出世」意象實現概念等效(Nida,1964)。

上述實踐揭示「簡易」策略的雙重功能:一方面,其與交際翻譯理論強調的原則具有共性,均主張通過語

言調整提升可接受性（Newmark，1988）；另一方面，大易翻譯學的「簡易」更注重文化主體性的動態平衡——如莉莉亞娜（Liliana）、葛浩文（Howard Goldblatt）等譯者在歸化過程中並未完全消解源語文化特質，而是通過符號置換構建「第三空間」（Bhabha，1994），使西部方言的陌生性轉化為可闡釋的文化他者。這種策略印證了《易經》中「以易馭繁」的翻譯哲學：在降低認知負荷的同時，通過符號留白激發目標讀者的文化想像，從而實現「減形增蘊」的傳播效果。

雪漠文學海外傳播案例表明，「簡易」策略的成功實施依賴於譯者對雙重文化系統的深度把控。其不僅需要精准識別源語文本中的文化專有項，更需在目標語符號庫中篩選最佳適配載體。這種跨文化闡釋能力，恰是破解中國文學「對空言說」困境的關鍵所在。

（二）「變易」之敘事母題的適應性轉化

「變易」作為《大易翻譯學》的核心方法論，強調通過動態調整實現文化的有效傳遞。黃忠廉提出的「變譯理論」將「變通」界定「為靈活地對譯文做出非原則性的變動」。變通包括增、減、編、述、縮、並、改、仿這八大變通手段（黃忠廉，2009：98），其本質是以受眾需求為導向的適應性策略，與《周易・系辭下》「變通者，趣時者也」的哲學主張形成理論呼應。二者的協同作用，為雪漠文學海外譯介提供了「形式創新-意義守恆」的雙重保障機制，其在具體實踐中體現為互文性仿寫和敘事重構。

通過互文性仿寫，敘事母題形成了跨文化映射。「仿」作為變譯的核心手段之一，需以源語文本與目標語文化系統的互文關聯為基礎。互文性理論指出，文本意義的生成依賴於與其他文本的隱性對話。《沙漠的女兒》英譯本標題「Into the Desert」對勒克萊齊奧《沙漠》（Désert）的借鑒，正是通過「出走-反叛-回歸」母題的互文投射，啟動西方讀者對女性解放敘事的集體記憶。這種策略不僅規避了直譯「沙漠的女兒」（Daughter of the Desert）可能引發的東方主義凝視（Said，1978），更通過母題共振「營造了熟悉感和親近感」（辛紅娟、費周瑛，2023）。雪漠作品中「逃離父權制-沙漠歷險-回歸宿命」的三段式結構，被重構為「個體覺醒-社會抗爭-人性回歸」的普世敘事框架，印證了《易經》中「以易趨同」的譯介邏輯——在形式嬗變中實現文化價值的可通約性。

通過敘事重構，鄉土敘事經歷了普世性升維。「編」的變譯策略要求譯者突破文本物理形態的限制，進行深度意義再生產。變通手段通過編選、編寫、編排等策略，依主旨需要重新組織材料，使內容集中化，內容單一化，為翻譯傳播的目的服務。《大漠三部曲》由三部具有互文關係的小說組成，而《沙漠的女兒》則充分利用了「編」的變通手段，對「三部曲」中的故事進行了編寫。譯者通過雙重敘事重構，將分散的西部鄉土經驗提煉為具有全球意義的女性主義文本：主線敘事聚焦《白虎關》中蘭蘭、瑩兒的沙漠取鹽經歷，通過「勇鬥豺狼」場景的戲劇化呈現，塑造「荒野女性」的英雄形象；副線敘事整合《大漠祭》與《白虎關》的苦難記憶，以閃回手法揭示父權制對女性身體的規訓，形成「壓迫-覺醒-反抗」的批判性敘事弧。這種編選策略通過文本系統的內部自洽，將地域性經驗轉化為「可普遍化的交往媒介」。譯者在消解西部地理特殊性的同時，強化了「生存抗爭」與「性別平等」的超文化價值，使文本適配當代語境下的全球女性主義話語。

《文心雕龍・時序》所言「文變染乎世情，興廢系於時序」，揭示文學形式與時代語境的共生關係。這一古典文論思想在雪漠文學譯介中轉化為「變易」策略的實踐智慧：通過敘事重構與形式創新，中國文學外譯既需回應全球文化流動的歷時性需求，亦需堅守本土文脈的共時性特質。

（三）「不易」之鄉土價值的跨文化再生

文學走向世界的途徑到底「是通過與世界文學的認同而向其靠近，即通過謀取與世界文學的共性走向世界，還是立足於本土以自己與世界文學的差異走向世界」（張衛中，1991：81），這一直以來都是一個嚴肅的

問題。「共性認同」與「差異立足」之辯,實則觸及當代中國文學走出去的關鍵問題:文學外譯究竟應消弭文化異質性以迎合全球市場,抑或堅守本土特質以彰顯文化主權? 福克納、馬爾克斯、莫言等作家的成功實踐,雄辯地證明了地域上的限制不會讓作家目光狹窄,反而能夠讓作家通過有限的空間觀照更廣大的世界,印證了地域性敘事通過具體時空的濃縮反能生成普世意義。雪漠文學海外傳播的成功進一步驗證了地域性敘事的重要性。

在語言層面,雪漠作品譯本通過「異化主導」策略,對文化基因進行編碼,構建了雙重文化錨點。譯者使用直譯保留了物質文化符號,如「天窗裏吊苜蓿,給老驢種相思病」譯為「hanging bunches of lucerne in their courtyards made donkeys love-sick」,通過農耕意象的跨媒介再現,將涼州民居的物理空間轉化為文化記憶的儲存裝置;通過方言修辭的陌生化移植,將「蒼蠅攢屁」譯為「as elusive as flies' fart」,「跟載了死人出莊門的棺材一樣」譯為「as remorselessly as the coffins that bore the bodies of the dead from the village」,西北方言修辭中的荒誕美學提升了雪漠作品在國際傳播中的辨識度。對不可譯性的創造性轉化,即規避了歸化策略的文化損耗,又通過注釋、語境補償等手段實現認知可及性,在「抵抗」與「溝通」間達成動態平衡。

在敘事結構層面,雪漠作品通過空間固化、母題迴圈與意象複現的三重機制,系統強化了文化主體性的本土再生產。作品始終以涼州地理單元為敘事容器,其封閉性空間建構與馬孔多、約克納帕塔法世系和高密有異曲同工之妙,通過微觀宇宙的具象化映射人類生存的普遍困境;而「求生抗爭–宿命回歸」的敘事模式則暗合《周易》的哲學迴圈,將西北地域經驗昇華為具有超文化意義的存在主義命題。在符號表徵層面,大漠、駱駝、沙暴、狼群等西部意象的反復書寫建構起獨特的審美認知範式,使地域性敘事昇華為文化認同的象徵體系。譯者在處理這些文化基因時,與「不易為體,變易為用」的翻譯原則暗合,既完整保留了敘事的地方肌理,又借助人類共通的生命體驗啟動目標讀者的情感共鳴,從而在文化守成與傳播效能間達成動態平衡。

雪漠文學作品走向世界的過程符合《易經》中所提倡的「動靜結合,陰陽交感」之說。動態的編寫和翻譯始終立足於恒定的鄉土敘事基礎之上,而靜態的鄉土視野也在翻譯傳播的過程中逐漸延伸向整個中國的鄉土,乃至整個世界,形成了廣受好評和歡迎的海外譯介作品。世界潮流變換更迭,只有紮根土壤的文學才能具有永恆的生命力。「文學作品通過一時一地的地方性敘事來呈現大時代下的生活流變,通達人類共通的認知情感」(楊建新,2023),雖然順應時代是中國文學「走出去」、「走進去」的必要條件,但是若其內核脫離了中國的土壤則會讓作品本身淪為無根的浮萍。唯有通過「不易」,堅持還原和複現文學作品中的鄉土情結,才能讓中國文學作品深入人心,以厚重的力量紮根世界文壇。

四、「易之三義」對中國文學外譯的啟示

雪漠文學海外傳播的成功實踐,不僅驗證了大易翻譯學「易之三義」原則的有效性,更為中國文學外譯提供了普適性方法論啟示。中國文學外譯作為跨文化傳播的核心實踐,需在全球化語境中實現文化價值的有效傳遞。

(一)「簡易」與文化認知的普適化路徑

文化符號的跨語境傳播需以「簡化複雜性」為核心邏輯。外譯需通過符號簡化與語境適配,降低文化核心意象的認知門檻。其本質是剝離冗餘複雜性,提煉文化符號的「最大公約數」,在目標語境中建立可通約性。例如,通過「雙向闡釋」策略(如核心概念的本土化注解)或「詩學規範融合」(如敘事結構的跨文化重構),實現文化意義的平滑傳遞。此過程需遵循目標文化的接受邏輯,規避因異質性過強導致的接受阻抗。

但簡化符號並非消解文化獨特性,而是通過策略性調和實現「可讀性」與「辨識度」的平衡。歸化策略可降低接受門檻,但過度歸化易導致文化趨同,消解文化獨特性。因此,譯者需通過動態評估目標語境,在「文化保真」與「認知疏通」間尋求最優解。在動態評估過程中,可以根據目標文化的接受意願決定歸化與異化的權重分配:在文化勢差顯著時,歸化優先;在文化平等對話中,異化可增強文化主體性(張南峰,2015:91)。

(二)「變易」與敘事策略的動態調適機制

文學外譯的核心挑戰在於將本土敘事母題轉化為具備跨文化共鳴的普適性主題。這一過程需通過「母題解構—重構」策略,剝離文化特定性外殼,提煉人類共通的情感與價值內核。例如,劉慈欣《三體》中的「黑暗森林法則」雖植根於中國科幻語境,但其對文明衝突與生存危機的探討,與西方科幻的「末世敘事」「技術倫理」等母題形成深層呼應。此類昇華並非簡單類比,而是通過隱喻移植實現母題的語義擴容,使其突破地域限制,成為全球讀者可共用的敘事資源。

跨文化敘事學認為,母題普適性依賴於「文化元語言」的識別與重構(Lotman,1990)。例如,中國鄉土文學中的「落葉歸根」母題,可通過「身份認同」這一元語言轉化為移民文學中的「尋根敘事」,從而在歐美多元文化語境中引發共鳴。具體操作中,譯者需充當「文化拓撲學家」,對母題進行拓撲變形:先挖掘母題中的人性共性,再將其嵌入目標文化的敘事傳統。

此外,可系統梳理中西文學母題的對應關係,為轉化提供理論依據。例如,道家「天人合一」思想可與西方生態主義對話,轉化為「生態整體論」敘事,在氣候危機議題中啟動其當代意義。

(三)「不易」與文化本體的價值守恆原則

文化本體的守恆並非機械複製,而是通過創造性重構實現價值再生。例如,儒家「仁」的概念在譯入英語時,可結合西方美德倫理學轉化為「Humaneness」,既保留「愛人」的倫理內核,又融入目的語的哲學話語體系。此類轉化需避免「文化折衷主義」,即犧牲核心價值以迎合外部期待。譯者應充當文化闡釋者,通過副文本闡明源文化的語境邏輯。翻譯的使命在於「啟動原作在異域的新生命」,而非單向移植符號。以《紅樓夢》中「禮」的複雜社會網路為例,譯者需通過語境化闡釋(如對比歐洲貴族禮儀制度)揭示其倫理功能,而非簡單譯為「ritual」導致語義窄化。

外譯實踐中,核心價值的再生必須以文化自省為倫理基礎,否則可能陷入「自我東方化」或「文化霸權」的雙重陷阱。自我東方化表現為刻意渲染文化奇觀以迎合異域想像,如將「中國性」簡化為功夫、旗袍等刻板符號;文化霸權則體現為忽視目標文化主體性,強行輸出價值觀。文化自省需承認經濟實力與文化影響力的非同步性,警惕將「輸出」等同於「征服」。例如,在《論語》譯介中,若將「君君臣臣」直接轉化為「hierarchical obedience」,可能強化西方對儒家倫理的威權主義誤讀;反之,結合社群主義理論闡釋其「角色倫理」內涵,則能建立平等對話空間。

「易之三義」框架從認知普適、策略調適與價值守恆三重維度,為中國文學外譯提供了兼具哲學深度與實踐張力的理論模型。通過符號簡化實現文化通約、通過動態適配啟動敘事活力、通過價值守恆維護文化根性,中國文學外譯可超越語言轉換的技術層面,成為文明互鑒的活性載體。這一模型不僅回應了全球化時代的文化傳播挑戰,也為構建「和而不同」的世界文學生態貢獻了中國智慧。

五、結語

雪漠文學海外傳播的成功實踐,印證了《大易翻譯學》「易之三義」對中國文學外譯的理論指導價值。

「簡易」通過符號轉換消解文化認知壁壘,「變易」借動態調適實現敘事形式創新,「不易」以文化基因編碼堅守本土價值內核,三者共同構建了「體用合一」的譯介機制。研究表明,《易經》「變通」哲學不僅為破解「文化折扣」困境提供了方法論支撐,更通過「守正創新」的路徑,使地域性敘事升維為超文化命題。中國文學外譯研究需進一步挖掘傳統譯論與現代傳播的契合點,在「取今復古,別立新宗」(魯迅,2005:58)的學術自覺中,推動本土話語與全球視野的深度融合。唯有將易學智慧與翻譯實踐系統貫通,方能在文明互鑒的語境下,開闢中國文學「走出去」且「走進去」的可持續路徑。

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(Editors: Derrick MI & Joe ZHANG)

A Study on the Cross-Linguistic Writing of Female Images in *Desert Rites* from the Perspective of Empathetic Communication

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Abstract: In a rapidly changing global landscape, the imperative extends beyond merely presenting Chinese narratives to fostering their acceptance, comprehension, and validation on a global scale. Xue Mo's *Desert Rites*, a seminal work of contemporary Chinese rural literature, portrays the struggles of farmers in the Longxi region, a pivotal location along the Silk Road, against the backdrop of material and spiritual deprivation. The narrative's depiction of female characters' self-redemptive aspirations offers a stark contrast to their lived realities, imbuing the work with profound humanistic and aesthetic significance. This study examines the English translation of *Desert Rites* through the lens of empathetic communication theory, analyzing its content, discourse, and setting across linguistic boundaries. It explores the potential for the work's reception by readers from different cultural backgrounds, clarifying the relationship between dissemination and translation. This approach aims to identify strategies for the effective and sustainable global dissemination of Chinese literary works and their inherent cultural meanings.

Keywords: empathy communication; *Desert rites*; vernacular literature; femininity; translingualism

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共情傳播視域下《大漠祭》中女性形象的跨語際書寫研究

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摘　要：在當前風雲變幻、日新月異的世界中，我們已不再局限於向世界介紹中國故事，更應讓世界接受中國故事，理解中國文化，認同中國內涵。著名作家雪漠的《大漠祭》作為當代中國鄉土文學的典範，描寫了絲綢之路必經之地——隴西地區的農民在貧乏的物質、精神生活與命運抗爭的一生，其中女性群體的自我救贖式理想更是與現實形成了鮮明的反照，作品承載著深厚人文內涵與文學審美意蘊。目前，《大漠祭》已實現了多語種譯介與傳播，從共情傳播理論出發研究英譯本跨語際書寫的內容、話語、場景，探索作品被異文化讀者接受的可能性，厘清傳播與譯介的關係，有利於找出讓中文作品及其內涵得到外譯、可持續傳播的策略。

關鍵詞：共情傳播；《大漠祭》；鄉土文學；女性；跨語際

引言

　　長篇小說《大漠祭》是我國著名作家雪漠的主要作品，是「大漠三部曲」中的第一部。作家用十二年時間將對於西部農村的關照傾注其中，不僅屢次入圍「茅盾文學獎」，也蟬聯了六年敦煌文藝獎及其他重要獎項，是我國西部鄉土文學作品的典範。這部作品內容充實，真實再現了當代我國西部農村的生活風貌，具有深刻的藝術意蘊和強大的生命力，同時蘊含著重要的歷史價值和文化意義。

　　雪漠出生於甘肅省武威市涼州區的一個貧苦農村，艱難的生活環境使得雪漠發奮學習，書籍是其精神食糧，奠基了其文學素養；生活經歷是其創作背景，賦予了作品獨特價值。除了以自身經歷出發，作者在撰寫《大漠祭》之前在原武威市教育委員會工作，任教研員兼《武威教育報》編輯的雪漠在實地考察采風，他沿著祁連山，風餐露宿，走莊訪戶，搜集民風民俗，用雙腳在涼州大地上勾勒出寫作脈絡。不僅如此，《大漠祭》也經過了作者多次修改，對於作品品質的高要求催生了雪漠的煩惱，雪漠以苦行僧標準禪修自己，體悟文學與人生，也將禪學精神灌入作品之中，最終重寫出《大漠祭》。

　　《大漠祭》講述了中國西部隴西地區貧苦農民的艱難生存，尤其突出女性在傳統鄉土倫理中的悲苦命運。通過描繪普通農民的日常生活與困境，雪漠不僅展現了當時的社會現實，還通過女性角色的掙扎與反思揭示了性別、文化與權力結構之間的關係。小說中的女性形象並非單一的弱者，而是複雜且具抗爭精神的存在。例如，蘭蘭和瑩兒的命運雖然充滿不幸，但她們內心的堅韌與對改變命運的渴望展現了自我救贖的力量。翻譯過程中，這些情感的傳遞至關重要，尤其是在向外國讀者展示這些女性形象時，譯者如何通過「移情」的方式確保情感的準確傳達，是該研究的核心問題。

一、情感書寫與女性形象

　　《大漠祭》文本的構思來源於作者的真實經歷，故事的地域背景是我國甘肅省。情感似乎並不是小說的

主題,作者並沒有如傳統小說一般在敘事中小說以積極的語調歌頌、褒揚什麼,也沒有以灰暗的筆觸鞭笞什麼,而是以平實、幽默的語言再現了整個時空中的人與景。在這樣的描寫之下,作者與譯者之「情」投射於小說人物之中,故事的展開都是「情」在推動,「情感」成為了小說的根基。小說以老順一家為主要人物,講述了一群以種地為生的農民在不能滿足溫飽的情況下,被多種煩心事叨擾。例如,大兒子憨頭的媳婦兒——瑩兒,雖容貌魅力,卻因疾病沒有生育能力,甚至諱疾忌醫後釀成了癌症,最後又因經濟能力不支持「人情禮節」而抱憾離世;二兒子猛子沒有足夠的「老婆本」,便跟村裏的寡婦苟合;小兒子靈官高中畢業就與瑩兒生出情愫,受苦與欲望之中,最後離開家鄉;為能使憨頭換來媳婦,女兒蘭蘭離開本村,來到陌生的外村,卻未曾受過婆家待見,深受精神與肉體的雙重折磨[①]。

其中,作者重點敘寫了在這片經濟與思想都落後,資訊又閉塞的土地上不一般的倫理觀念和在這種倫理觀念下的女性生存困境,作者並未單獨將女性作為小說的主要人物,通過其他人物與女性的互動,讀者們都能在文中讀出她們悲苦命運的根源,讀出現代社會女性地位的進步。雪漠細緻刻畫了我國農民的思想,用最樸素簡單又不乏幽默感的文字,速寫了我國西部農民的特徵,勾勒出一幅當時極其困苦的西部生活畫卷。作為一部經典的文學作品,其語言平實質樸,精神內涵豐富。

二、翻譯中「移情」機制

「共情」(empathy)本是一個源於心理學的概念,指的是對他人所處境遇和經歷的同步理解和相應的回饋,不只是抽象的情緒本身,而是一種先天的能力[②]。基於此,不同民族、團體等之間出於該能力做出的回饋,將能緩和矛盾、消除誤解。對於跨文化傳播來說,不同文化主體的交流與互動,在「共情」的加持下能事半功倍。「共情」指身臨其境地去體驗對方的心理空間,主動地從他者的角度去認識和理解問題,包括「這些思考所產生的情感和非情感的結果」。

共情與傳播融合,成為了當下人們解讀人、資訊、媒介及文化現實的另一種視角。易言之,共情傳播涉及到多種文化、多種因素、多種層級、多種傳播語境,共情能力的提升依賴於對共情文化較全面的考察。近年來,「共情傳播」成為國際傳播學界和業界研究的一個熱點,共情概念引入傳播學領域,為國際傳播注入了新的理論血液。對外傳播的過程不僅是資訊的傳播與知識的分享,也是跨文化的情感傳播與溝通,後者的良好互動對前者可以起到積極作用,促進資訊知識的同步理解[③]。在共情傳播的文化傳遞方式下,人或團體能夠擁有近似的精神體驗而組成共同體。注重構建情感共同體、塑造共同的情感體驗,有助於突破跨文化傳播中的資訊交流障礙,促進文化主體之間的互動[④]。同時,這種方式能夠整合社會資源、增強社會認同感。無論如何,在國際傳播中,也要謹慎使用,將其發揮最大功能,為構建具有中國特色的對外話語體系添磚加瓦,進一步提升中華文明的傳播力與影響力。

無獨有偶,文學作品的「走出去」也需要運用傳播的機制。共情文化並非外來,是中國傳統文化的底蘊,從至聖先師的「仁愛之心」到亞聖的「惻隱之心」,到宋儒的「蓄草」而感懷「四時佳興與人同」,皆揭示了傳統中國重視至善,倫理肯定人道與天道的有機連續性和相互依存性。從漢語傳播到他國語言,翻譯中的語言也有其「移情」現象。對於文學翻譯,尤其是小說,譯者只有真正體會人物對話背後的深層次心理,才能理解為其服務的修辭手法,文本風格與譯文的語言選擇都基於此而產出。」[⑤]譯者需感悟作家的或原作所展現精神,模擬作家的審美定勢,最終把感情「外化」而移入到譯作的語言當中。在此也可發現,研究翻譯文本就可以反推譯者翻譯的過程。譯本的語言,作為文體的一種,情感文體學領域常常通過心智解讀(讀者推理人物動機的過程中想其所感,想其所感)、仿擬(讀者進入角色,置於敘事中,仿擬故事中人物經歷,認清人物行為和動機)與建模(想像與推理兼具,全面構建人物心智模型)三方面去探究情感在文本中的體現。因此,筆者

通過以上方式，探尋《大漠祭》譯本中的刻畫女性形象時的「移情」，從而厘清女性形象的跨語際書寫路徑。

三、《大漠祭》女性形象書寫的「移情」路徑

《大漠祭》作為最新中國文學海外傳播的典範之一，在構建「人類命運共同體」的國際交流實踐中，當前的重要任務就是通過富有感染力和說服力的內容，多視角、多層次地解讀中國故事深刻內涵和長遠意義。共情傳播中的核心「情感」指導著我們對外要以「動之以情」的手段引發外國讀者的情感共振。[6] 人與人樸素的距離拉近建立在對國際社會熱門話題的關注，以及對那些能夠引發共鳴的價值理念的熱議，《大漠祭》中對女性形象的關注是女性主義的生動體現。在跨文化、跨語際的文學傳播過程中，筆者認為我們應從內容選擇、話語書寫、場景構建三方面入手研究。[7]

（一）內容選擇

從國際傳播的視角來看，增強其他國家民眾對我國故事，尤其是民族故事的欣賞，應從深刻把握國外讀者的需求、習慣和心理等方面入手。在對外傳播中，應甄選優質傳播內容，我們應傳播能強烈引起國外讀者體驗共鳴的文本，而不是「演獨角戲」，而是要真正觸動對方。跨文化傳播的難點是文化、語境的差異性，破除難點的關鍵是發現其共性[8]，情感基因是存在共性的，例如「愛」是共情的基礎，共情的愛包含了人本身的愛，他人的愛、家人的愛、伴侶之間的愛，同樣包含了對自然的熱愛、對美好生活的期待、對可愛事物的喜愛等等。從文本來看，《大漠祭》的主題中包含著鄉土倫理，而這倫理就源於「愛」，無論是家人間傳統延續的愛、異性間扭曲或被壓抑的愛，女性的命運也在這「愛」之中發生轉折。從文本外部看，作者與譯者對女性的「重構之愛」更是打動讀者之處。在以男性為中心並物質、精神雙重匱乏的社會中，女性受到來自生存、男權、舊文化觀念的多重壓制，主要女性形象始終以淳樸、善良、溫柔、忍辱的悲苦形象出現，[9] 苟延殘喘，在身心雙重苦痛下維持生命。作者描寫的故事並不是始終描寫女性的悲慘遭遇，也刻畫女性的自我救贖過程。譯者在英譯本中的翻譯策略也體現出對女性積極樂觀的強調，例如小說中蘭蘭和瑩兒一樣換親給鄰村的白福，婚後因生了女兒被白福家暴、被婆婆欺負甚至被同為女性卻長期處於男權之下的母親數落，在如此的背景下，蘭蘭無力地反抗，她在引子死後、懷著孕一頭撞向八仙桌，第二次反抗是提出離婚和白福一家人抗爭到底。

In the past Lanlan would rather be beaten to death than run away, for she had not wanted to be a laughingstock among village women. It was different today, now that she had made up her mind.

譯者將原文的「死了心」，原文中死的是繼續過日子的心，翻譯為下定決心，便於讀者理解她的行為，譯者在譯文中凸顯了女性在苦難下迸發出的力量。因此譯者與譯者重構的女性形象，並不是始終如一的卑微與隱忍，她們也有內在隱性的反抗。作者通過反映鄉村女性悲苦命運的同時，也彰顯著鄉村女性的主體意識和反抗的現代精神，契合世界各地區人群的共同價值觀。以「愛」為核心的國際傳播往往能取得較好效果。愛是人類共同的需要，是共情的基礎和動力。因此跨文化傳播並不僅僅強調文化差異的存在，而是努力追求實現通過資訊的溝通交流彌合不同文化背景的主體間的文化溝壑。[10]

除此之外，「異質性」與「民族性」是中國文學受海外喜愛的特點，「求異」是外國讀者較為普遍的心理與認知需求。《大漠祭》對於國外讀者而言，橫向看，有文化與語言的差異性。小說本身的故事地理位置處於中國西部的甘肅省，自古以來便是中西方關注的焦點。從絲綢之路必經的重地，到如今部分西方媒體並不

真實、客觀地記錄中國西部形象,帶著厚重歷史的鄉土始終是被關注的對象。作者刻畫的故事展現西部地區獨特的地域風情,是外國讀者所好奇的中國農村故事,譯者翻譯的譯本保留大量的方言、俚語、民歌的直譯或音譯也是為了延續其本土性。例如故事中裏面提到了算命的「八字」,八字是中國獨有的一種傳統文化,譯者譯出時,翻譯成拼音 *ba zi*,保留其鄉土風情。

（二）話語書寫

在跨文化傳播研究中,自我與他者是兩個重要的核心命題。他者的存在是主體塑造個體文化身份、建構自我意義的必備要素。換言之,個體需要從他者的角度認識問題,通過與他者的交流和互動進行自我審視和反思,從而在客觀理性中增進理解與共識。[①]《大漠祭》作品的「他者」代表是作者和譯者。作者與小說故事有著極其相似的生活經歷,曾身處於接近小說故事的真實背景之中,書寫的話語樸素凝練、富有生活性,沒有任何虛假的編造,也不是單純靠新奇的故事取悅讀者,這使得讀者易獲得一種親切感。譯者在翻譯過程中,也盡可能保持文章的口語化與可讀性。例如,當瘸五爺提到「換女人」時,譯者的翻譯如下:

> That's right. Ten thousand. I tell you, I couldn't even dream about that much. In the old days, a bushel of wheat could buy you a wife.

譯者將瘸五爺的「換」改成了「buy」,更直接地表達出這不是簡單的交換,便於讀者理解。同時,把女性當物品去買,與讀者目前的認知產生較大的差距,便於讀者當時女性被物化的社會背景,體會文學反映的時代洪流中女性地位的變遷。但當作者在若干年後、經歷禪修之後重寫故事時,已擁有了新的文化理念,獨立於作品本身,屬於故事的「他者」,對作品帶著現代的審視,紮根於鄉土的雪漠他對土地有著一種深沉的思考與理解,並時時流露出具有強烈 鄉土意識的價值判斷。如作者本人所說,他的小說並不是直接描寫現實世界,而是通過一個外殼像現實、內部像精神的世界來表達其觀念,這種組成方式更有哲學意義。雪漠後期的小說的精神更趨多元化,帶有濃重的意象、魔幻色彩。就從題目中看,「大漠」便象徵著一種殘酷和蒼涼,有朦朧神秘之意,和在綿延的枯燥沙漠中「黃土厚土」裏蘊藏著的生命力,比如《大漠祭》中兔子糟蹋糧食、鷹捉兔子等,無處不在體現著女性生存環境的困苦。譯者將「大漠祭」翻譯為 *Desert Rites*[⑫]正是賦予了其儀式般的神秘感。文中關於「孽緣」,譯者翻譯如下:

> It's what's known as a karmic hurdle. Sometimes it is out in the open, sometimes not, but it is inescapable.

此處,譯者將「孽緣」翻譯成 karmic hurdle,這充分體現了譯者的主觀能動性。karmic 源於英文單詞 karma,對應的中文意思是因果報應或業力,佛教常用的宗教術語。[⑬]而此處故事的「孽緣」是猛子和雙福的妻子偷奸被抓,老順蒙羞後請神婆消災時神婆的說法,從這更能體現出時代、社會背景中對於女性的輿論壓迫。魔幻主義是二十世紀中期盛行於拉美的一個重要文學流派,對於西方讀者來說並不陌生,因此沿襲甚至誇張這層神秘色彩,更能拉近讀者與文本、故事的距離。

作者雪漠通過主動地,積極地參與、舉辦國外研討會,搭建全媒體互聯網平臺,使得其在海外有了一定知名度,而譯者本身作為西方人,在他者視角下講述、傳播的中國故事,意味著更公正客觀,易為外國讀者所接受,創造性翻譯的過程也是譯者用母語在小範圍寫作的過程,英譯本的英語用語更流暢。關於對女性的「忌諱」一段,譯者翻譯如下:

Women were a taboo at well sites. He had heard that wells at several Beixiang villages had collapsed midway through the drilling process owing to the presence of women, whose bodies, it was believed, were not clean, especially during their menstrual periods. That offended the earth god, who safeguarded the work of drilling wells.

譯者從用宗教意義上的詞語 taboo 來譯原文本中的「忌諱」，更進一步體現其作為西方人已對故事中貶低女性的背景有所認識並強調這種忌諱如宗教般嚴格，其後又用口語化的 offend 說明中文中的「沖」之意，便於讀者理解，而總體都是在以其他者視角受異文化衝擊後的隱性觀點表達。

以他者視角進行跨文化傳播是促進文化理解的最佳方式之一，這是因為以自我為中心的單向灌輸難以使得國外受眾真正信服，甚至產生對抗性解碼。因此，基於國別屬性，外國譯者譯中國作品天然適合成為國外民眾瞭解真實中國故事的橋樑。在此，他者的概念需要跳脫固有的狹隘思維，不僅從地理距離，更從文化距離的遠近來理解他者。⑭

（三）場景構建

儘管由於地域空間的限制，國際傳播無法真正做到與每一個受眾身處同一個地理空間，但是能夠在最大程度上提升受眾的在場感，幫助其進一步理解其中傳遞的價值觀。⑮共情的形成需要一個大的環境條件，即情境。潛在的相同或相似的情緒情感需要一個身體共在的情境或場合進行聚合或展現。從文本角度，《大漠祭》的整體生態環境、時代背景、人物動作語言神態等的描寫，譯者對原作者的保留與創造性翻譯，都使得讀者能夠身臨作品之中。《大漠祭》中作家用很多篇幅描繪了無比廣袤雄奇的浩瀚大漠景象。除了荒涼外，作者在其中也灌注了對故土的奇異的審美：「太陽到了正西，懸在了一道高大的沙梁上，紅。因為無從，歡煙直上空中，不是那種筆直，而是蜿蜒如絲線嫋嫋騰空，仿佛空中有只無形的手輕輕抖動著，往上牽這條灰色的線。到很高的地方，火線便消失了，化為一層層均勻的霧，四面的沙穀沙梁便罩在輕煙之中了。粉紅的落日，薄霧似的炊煙，明暗相間的沙嶺，還有那一浪高似一浪滾滾而去的沙濤，構成了一幅奇幻的畫面。」⑯與作者筆下的女性一樣，悲哀卻有其柔韌的力量，仿佛在說明女性在這種如牢籠般社會背景下難掙脫的無力感和她們只能踏上別樣救贖之路的可能性。文中有一處引弟父親丟棄她的場景，譯者翻譯如下：

The bright red rays of light above the hill were swallowed up by the night... The crescent moon was gone and the sky was darker than the blackened bottom of Grandma's pot.

譯者將「光也叫夜氣淹了」中的「淹」譯爲 swallow up（吞沒），便於外國讀者理解，仿擬代入引弟，充分能夠共情一位幼女在昏暗孤寂中的「恐懼」。譯者保留的「奶奶灶火了的鍋底」，是鄉土意象的體現和兒童純真的心理展現，引起讀者新奇感的同時悲憫幼女遭遇。

作品情境的構建少不了敘事情節。作者與譯者融合作用下的《大漠祭》英譯本裏，保留了原作者的多人物出現，沒有等級明確的情節大小之分或人物主次之分，除了女性角色也有眾多男性角色，情節較爲簡單，從日常生活瑣事入手，卻充滿了矛盾與衝突，賦予了人物真實情感。即便沒有中心人物和代表性、高潮性故事，但讀者在整體閱讀後都會得出一個關於「女性成長」的類似主題，是讀者能夠在通過語言、聲音等近似真實生活的場景中體會女性的艱難，產生對較弱者的同情與反抗者的敬佩，同時能夠代入與自身價值觀相同的人物身中，體會作者和譯者想要表達的人文主義價值。

四、《大漠祭》英譯的共情傳播效果

　　雪漠的作品除了被國內讀者接受,在海外也有著眾多讀者,甚至可以稱得上是「外熱內冷」,因其獨特的鄉土風情、深厚的文學意蘊和哲學內涵,《大漠祭》在國外受到了大量讀者的喜愛。小說使用了各種熟語、俚語、歇後語和俗語等方言形式,這本構成外國讀者的理解障礙。但著名譯者葛浩文在保留原著的原汁原味的同時,關照外語讀者的閱讀習慣,提高了作品可讀性。而這其中,最能彌合文化溝壑的便是情感,作者「移情」小說人物,譯者「移情」作者與譯本,讀者又在譯本中「共情」。如此一來,能在保留原著的語言情境與含義的同時,又可避免給讀者造成閱讀障礙,從而助力讀者從原作者和譯者所運用的語言當中,深切地感悟到原著的精華所在以及那深邃悠遠的意境之美。

結語

　　本文分析《大漠祭》英譯本,探索跨語際傳播過程中,譯者所處理的文本如何對小說的主題意義和美學效果傳遞和再造,如何使讀者產生共鳴。共情理論為文學海外傳播與譯介提供了全新的視角。我們應繼續採用廣大海外讀者喜聞樂見的方式,喚醒國外受眾的「共情」心理;充分運用「共情」機制迅速觸達具有不同閱讀需求的海外受眾,實現共情傳播的最大化。在平等、互動的溝通與交流之中,推動中國文學「走出去」,實現不同國家、不同文化背景、不同群體民眾之間的共鳴與有效交流。

注釋

① 郭靜懿:《探析〈大漠祭〉中的概念隱喻現象》,《新紀實》,2022 年第 3 期,頁 48–50。

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(Editors:Derrick MI & Joe ZHANG)

A Study on Features and Translation of "Foregrounding" Language in *Desert Rites*

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Abstract: "Foregrounding" language is the main form to embody the nature of literary works, especially novels. Xue Mo's *Desert Rites* is of great value because of its undeniable charm with "foregrounding" language. As its English version has only been published in recent years, its relevant research is still in the early stage and needs to be further deepened. This article discusses features of the "foregrounding" language in the source text and the ways in which the Goldblatts conveyed such a kind of language in the process of translation. It is found that the two translators strive to reproduce the "foregrounding" language of the source text by balancing various methods of translation, to create "foregrounding" effects like those of the source text, or to cut some "foregrounding" expressions in the original text according to the context, forming their own unique translation style. It is hoped that this article will enrich the research related to *Desert Rites*, provide richer materials for the "foregrounding" theory, and promote the translation of local novels, so that Western readers can have a more objective and comprehensive view of China.

Keywords: *Desert Rites*; language features; "foregrounding" language; translation

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《大漠祭》中的前景化語言特徵及翻譯探究

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摘　要：前景化語言是體現文學作品，特別是小說文學性的主要形式，雪漠小說《大漠祭》因其無與倫比的前景化語言魅力而具有重要的學術價值。該作英譯本由於近幾年才出版，相關研究仍處於初級階段，有待進一步深化。

本文分析了原文的前景化語言特徵，探討了葛浩文夫婦翻譯過程中對原作前景化語言和風格的傳遞方式，發現兩位譯者通過平衡各種翻譯方法力求再現原文的前景化語言，創造與原文相似的前景化效果，或根據具體語境削減原文的部分前景化表達，形成了自身獨特的翻譯風格。希望本文能夠豐富《大漠祭》的相關研究，為前景化理論提供更豐富的實踐材料，促進鄉土小說的翻譯，讓西方讀者對中國形成更客觀、全面的看法。

關鍵詞：《大漠祭》；語言特徵；前景化語言；翻譯

一、引言

「前景化」（foregrounding）是文體學研究的重要概念，在文體分析中「指一種具有文學、藝術價值的東西的前景化，或從背景中突出的技巧。被突出的特徵是語言上的偏離，而背景是人們一致接受的語言系統。語言可看作必須遵守的一套規則，而突出是違反這套規則，是出於藝術目的的偏離」（郭鴻，1998：195）。直到21世紀初，著名翻譯家葉子南（2001：130-148）才將前景化概念應用於翻譯研究，認為此概念不僅能指導譯者的翻譯實踐，還可用於翻譯批評。之後，有學者明確區分前景化及其他相關概念（崔海光，2006），對前景化語言進行了細緻的劃分（趙速梅、宮經理，2007），還有學者將前景化理論與等值翻譯、翻譯批評、廣告翻譯、翻譯策略等結合（王衛強，2003；李靖民、徐淑華，2003；汪敏飛，2015；馮正斌、黨爭勝，2019），促進了前景化翻譯研究的發展。

雪漠作品《大漠祭》以河西走廊為背景，講述了以老順一家為代表的百姓在相對閉塞的西部地區的普通生活，再現了甘肅涼州農民的貧苦生活，具有鮮明的地方色彩和獨特的前景化語言特徵。其英譯本由著名翻譯家葛浩文（Howard Goldblatt）及其夫人林麗君（Sylvia Li-Chun Lin）合譯而成。二十世紀70年代起，美國翻譯家葛浩文翻譯了大量中國作品，被公認為當代中國文學最優秀的翻譯家之一。其妻子林麗君出生於臺灣，之後又前往美國留學，在美國聖母大學任教至退休，很瞭解英文讀者的閱讀習慣以及地道的英文表達。葛浩文夫婦曾合譯過近20部作品，這種「中西合璧」的翻譯方式更有利於創造出優秀的譯作。

然而，由於《大漠祭》英譯本2018年9月才出版，且此前雪漠的作品少有譯出，儘管國內有學者對該譯作進行了相關研究，但目前對該翻譯作品的探討仍然有限，整體研究尚處於初級階段，有很大的發展空間。當前國內學者主要從闡釋學、敘事學、文化圖式理論等不同的翻譯理論視角出發，對比《大漠祭》原文本和英譯本，通過多種研究方法分析譯者在翻譯過程中的取捨，或對鄉土語言和民俗文化等文本中所蘊含的獨特地域文化的翻譯方法和策略進行分析。目前相關研究依舊不夠充分和全面，作為一部好的譯作，《大漠祭》英譯本值得獲得更多學者的關注。

因此，本文在深入分析原文本前景化語言特徵的基礎上，聚焦《大漠祭》英文本中前景化語言的審美再現模式，總結葛浩文夫婦對文本中特色語言的翻譯方法及其自身翻譯風格的構建方式，凸顯此類具有濃厚文化元素的小說的譯介價值，助推更多優秀的中國文學作品走向世界。

二、雪漠及其《大漠祭》文本的語言特徵

雪漠，原名陳開紅，國家一級作家，是最傑出的中國西部作家之一，他從小就生活在中國西部大漠，壯麗獨特的西部景觀圍繞著他，當地豐富多彩的民俗風情深深感染著他，堅韌頑強的父老鄉親更是讓他感受到了無限的能量，這些都是他所熟知的，也都在他的作品中得到了生動的描繪。他的創作素材均來源於自己用雙腳踏過的每一寸涼州土地，因此，其作品大多以中國西部為背景。2000年出版的《大漠祭》與其後期的

《獵原》和《白虎關》合稱為「大漠三部曲」，這三部作品用生動且充滿特色的語言描寫了中國西部百姓的生存狀態和生活習俗，成為雪漠的代名詞。也正是在其作品《大漠祭》出版後，雪漠才在全國範圍內有了一定的知名度。

1988 年至 2000 年，雪漠整整用了 12 年才完成《大漠祭》的創作，該作品真實地描繪了以老順一家為代表的西部農民的生活風貌，同時，他們面對各種苦難從不屈服，葆有堅韌不屈的生命力和精神力量。正如雪漠自己所言，「我只是想平平靜靜地告訴人們，包括現在活著的和將來出生的，有一群西部農民曾這樣活著，曾這樣很艱辛、很無奈、很坦然地活著。」（雪漠，2017：7）這種真實的描寫使得作品《大漠祭》具有深刻的人性關懷和情感共鳴的價值。雪漠在作品中運用以下幾種文本語言特色向讀者呈現了中國西部的自然景觀、社會文化和人文情懷。

首先，巧妙運用多種修辭。作者雪漠在《大漠祭》中運用了暗喻、誇張、轉喻、排比、用典等多種修辭手法，生動且深刻地表達情感，提升了作品的感染力。其中，數暗喻最為常見，如「人家是靈芝，我是臭蓬蒿」（同上：356）中瑩兒將月兒和她自己分別比作「靈芝」和「蓬蒿」，靈活地運用暗喻傳達了瑩兒對小叔子靈官按捺不住的感情，喻體貼合語境，生動形象。其他修辭將在下文中進行更為詳細的分析。作者運用多種修辭創造了不同的氛圍和情境，讓讀者更容易沉浸於作品中，引導讀者更深入地思考具體語境表達的意義，加強作品的情感色彩；運用修辭描述人物可以更加深刻地塑造角色形象，表現它們的性格特點、情感狀態等；多樣化的修辭手法也使得作品文字更加精細、生動，提升作品的表現力。

其次，方言俗語彰顯西部生活氣息。鄉土語言閃耀著當地人民智慧的光芒，增加了作品的民俗色彩，活潑風趣的語言向讀者呈現了西北百姓的現實生活圖景。作者運用了許多西北方言中獨特的疊詞，這些詞語使作品充滿新鮮感，可以更形象地描繪事物，更確切地表達意象，增強作品的藝術性。如「日頭爺焦炸炸地亮」（同上：354），榨幹了本就乾涸的土地和包括靈官在內的當地百姓，「焦炸炸」加深了西部大漠炎炎烈日的景象，突出靈官在倫理與情感間徘徊的痛苦和無助；憨頭形容右肋「不尖噪噪地疼，是厚楚楚，溫楚楚的」（同上：164），服藥後憨頭傷處溫和多了，不再是刺骨的疼，這幾個疊詞是西北方言中常見的辭彙，集中使用正符合口語特徵，使得行文更簡潔，表達更準確；老順看到白狗們的偷竊行為「情緒噎巴巴酸溜溜」（同上：130），非常氣憤，獨特的疊詞更生動地描寫了老順的心理狀態，節奏感強，表意清晰。再如老順夫婦日常拌嘴，靈官媽說「風刮倒了賴天爺哩」（同上：29）讓老順自我反思，不要凡事都怪別人；說「人心不足蛇吞象」（同上：29）讓老順懂得知足；說「六月天的老狗想吃凍大糞」（同上：29）形容老順癡心妄想；等，這些日常對話賦予了作品家的溫暖。接著老順一家在電視上看包公審陳世美情節時，你一言我一語：老順說秦香蓮讓丈夫進京科考是因為「跟上秀才當娘子，跟上屠夫翻腸子」（同上：30），即嫁雞隨雞，嫁狗隨狗；而陳世美忘恩負義，狠心拋妻棄子，秦香蓮最終落得一場空，老順說香蓮最後是「盼了個屁打鬍子」，猛子說是「蒼蠅撐屁，一場空」（同上：30），這些在涼州廣為流傳的方言俗語都是普通民眾創造的，簡單通俗卻又充滿哲理，葆有生活氣息，表達生活，豐富生活，正是這種源於生活點點滴滴的提煉，更有可能成為像《詩經》中記載的詩歌一樣流傳千古，值得記錄、保護並傳承。

再次，人物形象鮮明。作者雪漠在《大漠祭》中刻畫了老順、孟八爺、靈官、憨頭、瑩兒、蘭蘭等鮮明的人物性格和形象，以眾多人物的日常生活為主線，展現了豐滿複雜的西部農民特徵。沙灣村的父輩們在貧瘠的土地上辛勤勞作了一輩子，但受制於不盡如人意的現實，卻只能維持溫飽，但他們依然堅韌頑強，展現著不同的面貌：「老天給個啥也得受」的老順頑強克服生活中的磨難，始終勤勞樸實，為整個家庭傾盡心血，但在現實面前他的頑強和勤勞卻又顯得無力；孟八爺開朗豁達又善良真誠，其語言雖簡單通俗，卻充滿智慧，深受當地人民敬重。以老順三個兒子為代表的沙灣村子輩們雖然在相同的環境下成長，甚至出生於同一個家庭，但他們受傳統觀念影響程度和受教育程度均有不同，性格迥異，命運也截然不同：可以說命運待老大

憨頭最為不公,他人如其名,憨厚老實,是其父輩形象的典型縮影,年紀輕輕性能力喪失,又因癌去世;老二猛子性格火爆,由於知識和能力的不足,在順應農村改革浪潮之路中處處碰壁,並染上種種劣習;老三靈官知識最淵博,心地善良,相信科學的他面對大哥的癌症也會虔誠祈禱,深知倫理道德的他卻按捺不住對嫂子的感情,最終由於深深的愧疚和自我譴責,離開了家鄉。西北農村女性堅韌頑強,深受傳統觀念的束縛,盡心盡力撐起家庭,面對殘酷的現實她們抗爭過,但更多的是無奈和辛酸:作者著力呈現瑩兒近乎完美的形象,她美麗善良,溫柔賢惠,靦腆內向,卻又衝破世俗與靈官相愛;靈官媽語言樸素,善解人意,關愛兒女;還有心狠歹毒的瑩兒媽、對未來充滿希望的月兒、性格豪爽的秀秀等。這些都是西北大地孕育的子女,作者塑造了形形色色的男男女女,反映了當時的社會現實,寄託了作者對當地百姓深厚的情感,也有助於讀者更細緻地瞭解大漠地區的父老鄉親們。

可見,作者巧妙運用多種修辭使作品充滿詩意和藝術感染力,通過作品中人物獨特的方言和風俗習慣,塑造了西部靈魂的真實形象,展示了西部民俗文化的原始面貌,強調了對地域文化的傳承和保護,表達了作者濃厚的「戀地情結」。作品也生動地刻畫了鮮明的人物形象,展示了西部人民頑強的生命力和堅韌的精神,啟發讀者進一步思考,這些特徵通過獨特且富有新鮮感的前景化語言表現得更為生動形象,增強了作品的感染力。

三、《大漠祭》文本的前景化語言及其類型

詩歌和小說語言應打破自動化和慣例化,使其前景化才能體現其美學價值,因此,詩歌和小說創作中,前景化語言的使用最為突出。(張德祿,1994:10)《大漠祭》作為典型的西部鄉土小說,飽含甘肅涼州當地風俗習慣、宗教信仰、民間藝術等濃厚的風土民情,其文學性凸顯了作者雪漠在創作過程中對前景化語言獨具匠心的運用。

利奇(Geoffrey N. Leech)和肖特(Michael H. Short)將前景化語言分為「質的偏離」和「量的偏離」。(Leech & Short,2001:48)前者指「作者為了作品的美學價值和主題意義而有意違背或偏離標準語言或語法」,後者指「作者出於同樣的目的而頻繁採用某種語言結構」(申丹,1998:91)。利奇(2001:42)又將偏離分為八種類型:語音偏離、辭彙偏離、語法偏離、書寫偏離、語義偏離、方言偏離、語域偏離、歷史時代偏離。雪漠小說《大漠祭》中既有量的偏離,又有質的偏離,而對後者而言,語義偏離、方言偏離、語音偏離和書寫偏離現象最為常見。

如上文所述,量的偏離指反復使用某些語言表達,在《大漠祭》中主要以排比、反復等方式呈現。如「人種麥子,容易不?兔子糟害莊稼,公平不?啊?這世上啥公平?有人坐小車,有人甩條腿。公平不?有人山珍海味,你山芋米拌面。公平不?」(雪漠,2017:18)老順運用排比這一量的偏離表達了自己對生活的強烈不滿,同時教育靈官認清現實,節奏鮮明,意味深長。再如靈官將憨頭病情告訴老順時,老順說「這個娃子糟蹋了,這個娃子糟蹋了」(同上:459),短句的重複屬於數量前景化語言,這種特殊的表達方式強調了老順內心極度的擔心和痛苦,凸顯了他在現實面前的無助以及憨頭命運的悲慘。作品中類似的用法還有很多,將語言描寫與人物動作、心理以及環境描寫融為一體,給讀者帶來深刻的情感體驗,增強故事的節奏感,提升作品的藝術效果,使其更為引人入勝。

語義偏離指作者通過違背常規的語言關係實現特定的目的,往往通過修辭手法的運用來實現。暗喻、轉喻、誇張、用典等多種修辭的使用是作者雪漠在作品中創造偏離的重要途徑。如「沒權的,是一群瓶子裏的毒蜘蛛」(同上:370)中的「毒蜘蛛」說的是飽受壓迫而無助的窮人,生動地揭示了殘酷的社會現實;說不得不一人扛下婆家農活的蘭蘭「人苦成個猴兒」(同上:217),讓讀者仿佛也能在腦海中刻畫出蘭蘭筋疲力盡的

狀態,凸顯了蘭蘭等西部女性悲慘的命運;等,這些暗喻修辭生動形象,增強了作品的新鮮感。「舌頭底下壓死人哩」(同上:382)同時運用了轉喻和誇張的修辭,「舌頭」指代鄰里鄉親說的話,整體的誇張修辭是說閒言碎語足以把活生生的人害死,揭示了流言蜚語的巨大危害,烘托了人物對話氣氛。「鄉下女人別的不如城裏人,可罵起仗來,哪個都是破天門陣的穆桂英」(同上:456)融合了暗喻和用典的修辭,穆桂英是明代小說《楊家將傳》中的女性人物,勇敢且睿智,被譽為中國古代四大巾幗英雄之一,此句中的「破天門陣」便指穆桂英經過周密的計畫,在其他幾位高人的幫助下攻破北遼的天門陣,挫敗遼軍,作者將爭吵亂狀中的農村婦女比作「穆桂英」,這種古今語境的交融使得行文厚重典雅,同時又生動地刻畫了農村婦女的形象,引發讀者想像她們爭吵時的場景。作者對各種修辭手法別出心裁的使用實現了語義偏離的前景化效果,增強了作品的感染力和生動性。

　　方言偏離指運用某一特定地域和社會特有的語言形式表達思想,增加作品的鄉土氣息。《大漠祭》以甘肅涼州的大漠環境為創作背景,是一部典型的鄉土小說,其中不免會運用大量方言偏離刻畫形形色色的人物,描繪中國西北地區獨有的生活圖景,渲染氣氛,增強作品的表現力。沙灣村的大多百姓雖未受過教育,但他們基於日常生活經驗,總結了一個個富有哲理的西北俗語。如「勤掃門前雪,不管門外驢踢鍋」(同上:133)由成語「各人自掃門前雪,莫管他家瓦上霜」演變而來,用以比喻管好自己的事,不要管別人的閒事;「跟好人學好人,跟上龍王打河神」(同上:272)通常講作「跟著好人學好人,跟著師婆學假神」,用以形容近朱者赤,近墨者黑;「金銀能識透,肉疙瘩識不透」(同上:204)是涼州的獨有表達,指人心叵測,即人的心思難以揣度。雖然有的表達並不那麼優雅,甚至有些粗俗,但都通俗易懂,生動地體現了涼州人民豐富的生活經驗,是他們智慧的結晶。《大漠祭》中記錄的西北特有方言俗語數不勝數,正是這些特有表達形成了一個個方言偏離,進一步體現了作品表達的內在深意,加深讀者的印象,使得讀者形成與作者相似的情感體驗,並感受到中國民俗文化的博大精深。

　　語音偏離指頭韻、尾韻等顯著的語音模式。書寫偏離指違反常規的書寫樣式造成的形式突出,中文常以文本加粗、居中、斜體顯示等體現。《大漠祭》中最為醒目的語音和書寫偏離多在西北特色「花兒」、民歌、兒歌、口歌兒等中同時呈現,如引弟唱的口歌兒:

　　　　麻地裏麻,沙地裏沙。
　　　　王哥拾了個花手帕,
　　　　給我吧,不給了罷!
　　　　你騎騾子我騎馬。
　　　　一騎騎到舅舅家,
　　　　舅舅門上兩朵花……
　　　　　　　　　(同上:330)

　　在文中居中顯示,字體也與其他文本不同,形成書寫偏離,實現口歌兒的形式美,讓讀者在視覺上享受其美感。該口歌兒整體押尾韻,句末的「沙」、「帕」、「罷」、「馬」、「家」、「花」均押「a」韻,形成語音偏離,節奏整齊一致,讀起來朗朗上口,於讀者可謂是一場聽覺盛宴。書寫與語音偏離的結合呈現了口歌兒的音韻美與形式美,讓讀者在視覺和聽覺上同時享受其美感,增強了民間藝術的表現力和小說的藝術性。作品中許多類似的呈現方式重在強調西北民間藝術的獨特價值,「花兒」、當地民歌、涼州賢孝等都是涼州百姓基於自己的生活經驗創造的藝術品,是他們智慧的集中體現,值得記錄和傳承,這也是作者雪漠寫作的目的之一。

　　作品的成功譯介不僅在於資訊的再現,文體風格的對等也很關鍵。「前景化」作為文體學研究的重要概

念,《大漠祭》使用了數量前景化語言,語義、方言、語音、書寫等偏離手段,前景化語言特徵極為明顯,深入對比原文和譯文「前景化」語言也可以有效分析譯作的文學性和翻譯特徵。本文對《大漠祭》進行個案研究,分析解讀原文及其英譯本的語言前景化特徵,聚焦譯作前景化語言的傳遞以及風格建構方式。

四、《大漠祭》文本前景化語言的審美再現

作為中國文學走出去的主要途徑,小說翻譯尤為重要,而前景化語言是小說等文學作品藝術性的集中體現,譯者應依據自身表達習慣及對譯作審美價值的考量等因素,在語音、書寫、語義、方言等不同層面合理構建譯作的前景化特徵。

通過文本細讀和對比分析發現,葛浩文夫婦根據具體語境盡可能再現原文的前景化語言,力求讓譯作「突出」,展現異域文學作品的陌生美,為目標語讀者呈現獨具特色的雪漠小說,同時,考慮到讀者的審美慣習和期待心理,對那些可能對目標語讀者造成閱讀障礙的前景化語言進行了折中處理。

(一)前景化再現

《大漠祭》中前景化語言的使用是體現其文學性的重要手段,雪漠在作品中通過獨特的地域表達形式給讀者帶來強烈的新鮮感,然而,由於中英語言和文化差異,《大漠祭》的地域特徵以及前景化語言與標準語言的差異,該作的翻譯可謂困難重重,葛浩文夫婦憑藉自身極強的中英雙語轉換能力,採用直譯、直譯加注等翻譯方法力求再現作品中的前景化語言,保留原作風格,體現作品的藝術性。

例1:她的努力充其量只是一杯水。而那癌包帶來的巨大痛苦是燃燒的車薪。(雪漠,2017:479)
譯文:Her effort amounted to a glass of water, while the excruciating pain from cancer was a burning cartload of firewood. (Goldblatt & Lin, 2018:716)

原文中的「杯水車薪」是源於歷史故事的一則成語,原指用一杯水撲滅一車燃燒的柴草,現多用以比喻力量太小,無濟於事。作者巧妙運用該成語形成暗喻修辭,將憨頭母親的努力比作一杯水,將癌包比作一車燃燒的柴草,兩種形象形成鮮明的對比,實現了語義偏離的前景化表達效果。英文中的「a drop in the bucket」同該成語意義相近,然而,葛浩文夫婦在譯文中並沒有直接套用目的語中的相似表達,而是通過直譯的翻譯方法保留了原文意象,再現了原文的暗喻修辭,並根據中英文差異將原文的兩個分句合譯,加上「while」這一轉折連詞,使前後對比更加明顯。這一暗喻雖然在英文中是陌生的,但並不會對目標語讀者造成閱讀障礙,簡易的語句以及上下文語境保證讀者可以很容易理解修辭中的形象,深切感受到憨頭母親的無奈,以及憨頭所經歷的身體和精神上的雙重痛苦。英文中這種陌生的表達方式同語言常規相比更能向目標語讀者呈現作品的新鮮感。

例2:猛子說:「打?打算個啥?不殺雞給猴子看才怪呢。」(雪漠,2017:140)
譯文:"A beating? I don't think they'll stop there. They'll likely want to punish him more severely as a warning to others, like killing a chicken to scare the monkeys."(Goldblatt & Lin, 2018:189)

原文中的「殺雞給猴子看」來自成語「殺雞儆猴」,出自中國傳統經典《易經》。猴子雖聰明,卻天生怕血,因此,過去馴獸師在猴子面前殺雞,猴子看到雞血會害怕,更容易被馴服。如今,該成語常比喻懲罰某人

以警告他人。原文中這一成語的使用實現了方言偏離的前景化效果,突出了原文的特色。英文中與該成語表意類似的習語為「Beat the dog before the lion」,由於文化差異,中英文使用的動物形象截然不同,如果只進行直譯會對不了解故事背景的目標語讀者造成困惑,無法理解為什麼要在猴子面前殺雞。因此,譯者考慮到譯文的可接受性以及出於對原作者和中國文化的尊重,採用了直譯加注的翻譯方法,對原文的內涵意義做出解釋,並通過明喻補充字面意義,以幫助目的語讀者更好地理解這個成語。這樣的翻譯以語義偏離再現了原文方言偏離的前景化表達效果,既保留了作品的異質性,促進中國文化的傳播,又保證了譯文的可讀性,不會對讀者造成理解障礙,可以實現與原文相似的交際目的。

王佐良(1987:418)指出,對於文學作品的翻譯,譯者應注意識別作品中的「變異」表達,並在譯文中將其再現。葛浩文夫婦在翻譯《大漠祭》的過程中,力求再現原文的各種前景化語言,特別是方言偏離,大多採用異化的翻譯策略,保留了作品中的西部地域文化。

(二)創造相似的前景化效果

《大漠祭》中使用的某些偏離標準語言或重複出現的某種語言結構往往成就了該作的藝術性,更能吸引讀者的閱讀興趣,然而,讀者滿足這一審美需求的前提是作品呈現的前景化語言同語篇整體具有一定的連貫性和緊密性,即這些表達不會影響文本的流暢度,這就需要譯者葛浩文夫婦投入大量精力對作品中的前景化語言給予更多關注,在不喪失文本新鮮感的同時保證譯文的可讀性和流暢性。對於那些無法完美再現的特殊表達,葛浩文夫婦只好採用創造性的方法進行翻譯,以實現與原文相似的前景化效果。

例 3:
白楊的木頭杏木的心,
扯壞了兩連鋸子。
阿哥沒有維我的心,
枉費了尕妹的意思……(雪漠,2017:46)
譯文:
The wood of a poplar, the heart of an apricot tree
Ruined a pair of cross-cut saws
Elder Brother has no interest in my heart
A waste of Little Sister's feelings.(Goldblatt & Lin,2018:67)

「花兒」是中國西北地區獨有的民間藝術,被譽為大西北之魂,用以娛樂或表達對愛情的憧憬,亦或直接表達情愫,在內容和形式上飽含獨特的地域文化因素以及百姓真摯的情感。此例是瑩兒對靈官吟唱的「花兒」,隱隱地表達了她對靈官的愛慕。原文中的「花兒」居中顯示,且朗朗上口、抑揚頓挫,一三句句末的「心」押「in」韻,二四句的「子」「思」押「i」韻,整體押隔行韻,押韻形式為 ABAB,使「花兒」實現韻律美與節奏美,兼具書寫、語音和方言偏離的品質前景化語言。中英差異明顯,尤其是「花兒」這樣的民歌,翻譯尤為困難,為實現與原文相似的交際效果,葛浩文夫婦儘量採用直譯的翻譯方法傳遞原文的意思,再現原文的方言偏離,同時對譯文進行了巧妙的處理。譯文二四句的「saws」和「feelings」壓尾韻,且句式結構與原文相似,保留了與原文相似的語音偏離,第一句中的「The wood of」與「the heart of」則採用了對仗的修辭手法,創造性地使用語義偏離,再現了原文的節奏美。同時譯文將「花兒」居中斜體顯示,這種獨特的書寫表現屬於書寫偏離,讓譯文更加「突出」。葛浩文夫婦再現了原文的方言偏離和語音偏離,並創造性地使用語義偏離和書寫

偏離等代償性手段,呈現了與原文相似的前景化特徵,有一定的陌生感,但呈現方式又保證讀者能夠很容易識別出其獨特的審美價值,感受到瑩兒含蓄又熱烈的情感追求以及西部人獨特的文化心理。

例4:嘴是個蜜缽缽,心是個刺窩窩,見人就喧「東家長,西家短,三個和尚五隻眼」,能把呂洞賓說成是狗變的。(雪漠,2017:444)

譯文:With a honey jar for a mouth and pincushion for a head, she would gossip with anyone about anyone.（Goldblatt & Lin, 2018：659）

這句話是對蘭蘭婆婆的描寫,原文中前兩個分句對仗工整,句末的「缽缽」和「窩窩」為中文常用的疊詞表達,且押「o」韻,讀起來朗朗上口,同時通過兩個暗喻,將蘭蘭婆婆的嘴比作「蜜缽缽」、「心」比作「刺窩窩」,運用語音、語義、方言偏離等品質前景化語言表明蘭蘭婆婆有兩副嘴臉。受原文節奏和可譯性程度的限制,葛浩文夫婦將兩個分句合併,雖然喪失了原文的韻律美,但譯者保留了暗喻修辭,前後形成鮮明的對比,生動地刻畫了蘭蘭婆婆表裏不一的形象。「東家長,西家短,三個和尚五隻眼」這一習語具有一定的地域特色,其他地方有不同的說法,如「東家長,西家短,七個碟子八個碗」、「張家長,李家短,三隻蛤蟆四隻眼」等,是「嚼舌根,說閒話」的意思,後面的「把呂洞賓說成是狗變的」則出自典故「狗咬呂洞賓,不識好人心」,用以形容人不識好歹,屬於方言偏離。兩位譯者對其進行意譯,雖然未能再現原文的前景化語言,隱去了原文的文化意象,但這正是葛浩文夫婦深思熟慮的體現,這種翻譯方法減輕了目標語讀者的閱讀負擔,運用「gossip」這一貶義詞,結合前半句中的對比和暗喻,將蘭蘭婆婆鮮明的性格特徵刻畫得淋漓盡致,創造性地實現了與原文相似的前景化表達效果。

為實現譯文的可讀性和流暢性,葛浩文夫婦通過代償性手段,創造性地協調各種翻譯方法,最大限度還原原文的前景化語言,保證譯文新鮮感和陌生感的同時,產出了充滿藝術性和文學性的譯文。

（三）去前景化

葛浩文曾表示,「一味地摳字眼,講求翻譯準確,即便做得再苦再累,譯作也註定是無人問津」。(劉雲虹、許鈞,2014:11)這一翻譯觀在其譯作中皆有體現,《大漠祭》也不例外,那些對目標語讀者來說完全陌生,且無法通過上下文合理再現的前景化語言,以及與文本中其他描寫重複而造成冗餘的相關表達,葛浩文夫婦進行省譯、意譯等,形成了兩位譯者獨特的翻譯風格。

例5:瞎仙唱的是一個叫《紅燈記》的賢孝。(雪漠,2017:22)

譯文:He was singing the lovers' tale *Red Lantern*.（Goldblatt & Lin, 2018：32）

例6:沉浸到賢孝的氛圍中,(雪漠,2017:24)

譯文:Laoshun was so engrossed in the story（Goldblatt & Lin, 2018：32）

例7:又聽了一陣賢孝,老順才回家。(雪漠,2017:26)

譯文:Laoshun stuck around for more tales before going home.（Goldblatt & Lin, 2018：36）

例8:一個瞎仙正抱個三弦子,閉了眼,哼哼嚀嚀唱賢孝。(雪漠,2017:37)

譯文:tales sung by a blind storyteller with a three-stringed instrument.（Goldblatt & Lin, 2018：55）

「賢孝」是中國西北地區特有的民間說唱藝術,通過不同的故事勸人行善,傳遞真善美的價值觀,以「出世為賢,居家盡孝」為宗旨(馮天民、李武蓮,2011:7-8),並以此命名。「涼州賢孝」,顧名思義,廣泛流傳於

武威涼州一帶,是涼州百姓獨特的娛樂方式和精神寄託。而表演賢孝的多為盲人,他們學藝困難,且隨著老一輩藝人的逝世,賢孝逐漸處於瀕危的境地,出於對民俗文化的保護,雪漠創作了《大漠祭》,具有一定的記錄功能,該作中出現了以上四次「賢孝」,然而葛浩文夫婦分別將其意譯為「the lovers' tale」、「the story」、「tales」,雖然根據具體語境使用了不同的表達,但終究還是喪失了原文的文化內涵,沒有突出其地域特色,目標語讀者也無法根據這些表達解讀該藝術蘊含的價值觀。「賢孝」作為文本中不可忽視的文化因素,作為當地百姓的「精神食糧」,理應在譯文中呈現出來,因此,兩位譯者對於「賢孝」這一方言偏離的去前景化嘗試並不是很成功。

例9:風,清冷。與其說是風,不如說是氣。那是從大漠深處鼓蕩而來的獨有的氣。<u>「早穿皮襖午穿紗」的原因,就是因了這液體似的清冷也液體似的鼓蕩的氣。</u>這氣帶了清晨特有的濕漉和大漠獨有的嚴厲,刺透衣衫,刺透肌膚,一直涼到心裏了。(雪漠,2017:4)

譯文:A dreary chill was borne on an air current that surged up from the heart of the desert. It carried early morning moisture and a sting that bored through clothes and skin, straight into the heart. (Goldblatt & Lin, 2018:6)

這是老順一大早出門時的場景,此例著重描寫清晨空氣的寒冷,葛浩文夫婦對添加了下劃線的部分進行了省譯。其中,「早穿皮襖午穿紗」這一諺語表示晝夜溫差大,多用以形容中國西北地區的氣候,屬於方言偏離的品質前景化語言,在原文中起補充說明的作用,更重要的是用以增加語言的生動性和作品的文學性,同最後一句表達的意思相似,若譯出可能會造成譯文有冗餘資訊的嫌疑,且將其省譯之後,首句和最後一句依然通順連貫。兩位譯者基於自己深厚的語言功底,能動性地選擇了「dreary」、「sting」、「bore」等詞,實現了與原文相似的環境描寫效果。同時,原文通過「刺透」一詞的重複強調了空氣的寒冷,是漢語固有的表達習慣,出現頻率較高,然而,英文表達多想方設法避免重複,因此,葛浩文夫婦在譯文中刪減了這一數量前景化語言,滿足了目標語讀者的審美需求,產出了簡潔的譯文,更具可讀性,有利於讀者更精准地瞭解作者的意圖。

譯文應忠實於原文,而忠實並不是字對字或句對句接近原文,而是傳達原作的精神和風格,體現作品的內在生命力。對於作品中一些複雜的人物心理刻畫、特色文化、重複表達等,葛浩文夫婦進行了適當削減,然而並不是所有的去前景化處理都達到了理想的效果,但整體來看,此方法產出的譯文避免了冗長和資訊的重複,更具流暢性和可讀性。

正如譯者翻譯的其他作品一樣,「譯本兼具異化歸化之策,並用直譯意譯之略,留存中國文化之韻,遵循英語之形,不失漢語之意」。(單偉龍、陳保紅,2020)具體來說,葛浩文夫婦在翻譯《大漠祭》過程中,採用了直譯、直譯加注等方法再現原文的前景化語言,或創造性地協調各種翻譯方法以呈現與原文相似的前景化效果,以及省譯、意譯等方法犧牲原文中的部分非常規語言,最大限度地保證譯文的通順流暢,創造與原文相似的審美價值,從而形成葛浩文夫婦獨特的翻譯風格。

五、結語

「前景化」是文體學研究的關鍵概念,詩歌、小說等文學作品多通過偏離常規語言表達形式或重複某種語言結構突出主題,體現文學性。雪漠小說《大漠祭》巧用多種修辭,以豐富的方言俗語彰顯西部生活氣息,塑造鮮明的人物形象,具有獨特的語言特徵;主要採用語義、方言、語音、書寫等偏離手段以及數量前景化語

言突出作品的文學性與藝術性,給讀者帶來獨特深刻的情感體驗。受中英語言和文化差異的影響,葛浩文夫婦根據具體語境採用直譯、直譯加注等翻譯方法再現原文的前景化語言,創造性地結合代償性手段以及多種處理技巧力求實現與原文相似的前景化效果,採用省譯、意譯等方法刪去了原文中的部分前景化表達,雖然未能盡善盡美,但整體來說相當成功,體現了葛浩文夫婦極強的中英雙語轉換能力和高度的責任感。該譯作也為鄉土小說的翻譯實踐帶來了一定的啟示:(1)明確作品的體裁,鄉土小說具有明顯的特色,其中蘊含的方言土語、民間藝術等是作品的亮點所在,應慎重考慮其去留問題;(2)譯者同原作者的地位是平等的,既可對原作者的創作意圖表示認同,忠實地再現其敘事結構、語言表達,也可在一定程度上發揮自己的創作習慣,形成獨有的翻譯風格;(3)在尊重原作的基礎上,譯者應創造性地平衡各種翻譯方法,構建譯文的前景化特徵,體現譯作的審美價值,也應充分理解並尊重目標語讀者的審美慣習,滿足讀者的期待,創作出優秀的譯文。

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Types of Regional Metaphors and Their Translations in Xue Mo's *The Desert Trilogy*

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Abstract: Western indigenous culture is an important part of Chinese culture. *The Desert Trilogy*，a series of novels written by Xue Mo of Gansu province，are replete with a large number of metaphorical expressions representing regional colors，which serve as vital mediums to convey the customs and national characters of western China to readers around the world. Based on the Conceptual Metaphor Theory，this article proposes the concept of regional metaphor and divides it into natural environment metaphor and socio−cultural metaphor. The former includes metaphors of animal，plant and natural phenomena. The latter contains metaphors of folk，human body，utensil and food. Translating regional metaphor hinges on how the source domain is dealt with. And it is found that Goldblatt and Sylvia Li−chun Lin's English translations primarily adopt four strategies，i. e.，keeping，substituting，discarding，and supplementing the source domain of the regional metaphor，which correspond to certain types of regional metaphors，thus accurately and appropriately reproduce the meanings implicit in regional literature and the civilization of western China.

Keywords: Xue Mo's *The Desert Trilogy*; conceptual metaphor; regional metaphor; metaphor translation

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雪漠「大漠三部曲」地域性隱喻類型與翻譯

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摘　要：西部本土文化是中國文化的重要組成部分。甘肅作家雪漠的系列長篇小說「大漠三部曲」中蘊含大量體現地域性色彩的隱喻表達，這些隱喻表達是向世界讀者傳達中國西部風情和民族性格的重要載體。基於概念隱喻理論，本文提出地域性隱喻概念，分為自然環境隱喻和社會文化隱喻兩大類型，前者包括動物、植物、自然現象隱喻，後者包括食物、人體、器具、民俗隱喻。地域性隱喻的翻譯關鍵在於對源域的處理，研究發現葛浩文與林麗君譯本主要採用了四種翻譯策略，即保留地域性隱喻源域、替換地域性隱喻源域、放棄地域性隱喻源域、補充地域性隱喻源域，且不同的翻譯方式與一定的地域性隱喻類型相適應，準確得體地再現了地域性文學意蘊以及中國西部的文明形態。

關鍵詞：雪漠「大漠三部曲」；概念隱喻；地域性隱喻；隱喻翻譯

一、引言

「地域性書寫是中國文學『中國性』身份的重要標識」[16]。甘肅作家雪漠的「大漠三部曲」——《白虎關》《獵原》與《大漠祭》以極具地方特色的語言，呈現了騰格裏沙漠地區村莊的生活與農民的生存狀態，展示了中國特有的西部文化。在小說中，作家雪漠運用了大量具有地域色彩的隱喻表達，比如「鷹兔打鬥」「護心油」「小門小戶」「你刮一碗，我刮一勺」等，形象地再現了西部農村的生活場景以及文化特色和精神面貌。如何翻譯好這些地域性隱喻表達所承載的深厚地域文化內涵與人們的思想觀念，是讀者對文本理解以及彰顯作品「中國性」的關鍵所在。儘管近年來學界已經開始關注雪漠「大漠三部曲」中的隱喻表達及其翻譯問題，但對作品中的隱喻的類型以及認知隱喻翻譯策略缺乏系統的歸納。有鑒於此，本文從概念隱喻理論[3]切入，主要聚焦三個問題：一是界定何謂地域性隱喻；二是歸類分析雪漠「大漠三部曲」中存在哪些地域性隱喻表達類型；三是以葛浩文與林麗君的「大漠三部曲」英譯本 *Desert Rites*, *Desert Hunters*, *White Tiger Pass* 為例，探討如何翻譯「大漠三部曲」中的地域性隱喻表達。

二、地域性隱喻的界定

傳統的隱喻理論認為隱喻是一種修辭手法。直至 20 世紀 80 年代，《我們賴以生存的隱喻》（Lakoff & Johnson，1980）一書全面介紹了概念隱喻，從而將隱喻置於認知語言學範疇下。概念隱喻理論認為日常生活中隱喻無處不在，我們的概念系統是以隱喻為基礎的，隱喻並非僅僅是一種修辭手段，其涉及人類思考與推理的過程[2]。隱喻具有內在結構[4]，由源域與目標域兩部分構成。源域與目標域之間的映射使隱喻意義得以實現。隱喻映射並非是隨意的，它植根於人類身體的經驗結構中。「概念隱喻映照了人類的經驗結構，在

本質上是人類理解周圍世界的一種感知（perceptual）和形成概念（conceptualize）的工具」⑪。換言之，隱喻使我們得以從一個具體的經驗領域來理解另一個抽象的概念領域。

　　Lakoff 在認知層面說明了隱喻具有普遍性（universality），但概念隱喻還受到文化的驅動，是文化與認知的雙重加工過程，並展現出地域維度（regional dimension）⑫。由於所處地域的差異，在一定程度上，人們與周圍環境交互時會產生不同的經驗結構。地域性是某個特定的區域中，由一切自然環境與社會文化因素構成的共同體所具有的特性，是與一個地區相系或有關的本性或特徵⑰。地域性不僅是空間地域差異，是客觀存在的物質，包括一切山川河流、萬物生靈等自然因素，它同時超出了物質範圍，具有文化性。這種文化屬性不但顯現於地域的風俗、信仰、語言和倫理中，還意味著地域性具有文化建構的屬性⑩。也就是說，獨立存在於某一地域中的客觀實體，經過人們經驗加工，便能夠用以闡述人類思維與文化。在具有地域特色的自然環境與人文環境中，人們通過以隱喻為基礎的概念系統，與該地區的自然和人文環境發生經驗互動，從而建構起自身與環境間的聯繫與抽象的概念體系，賦予隱喻地域性。雪漠「大漠三部曲」中隱喻表達集中反映了這種地域性，例如「旱雷」，不僅再現了西部涼州的某一天氣特徵，也可隱喻「人實誠，發脾氣不往心裏去」這一深層概念。因此本文提出地域性隱喻概念，並基於隱喻的地域性特點，分類出自然環境隱喻與社會文化隱喻。其中自然環境隱喻包括動物隱喻、植物隱喻、自然現象隱喻；社會文化隱喻包括民俗隱喻、人體隱喻、器具隱喻、食物隱喻。如圖 1 所示：
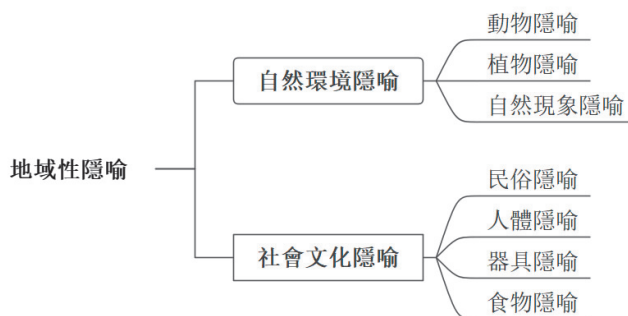
圖 1　地域性隱喻分類

三、雪漠「大漠三部曲」中地域性隱喻表達類型

　　在「大漠三部曲」中，作家雪漠從地域性出發，在作品中呈現出不同的民俗、民風、民情以及獨特的人物形象體系⑭。在這些具有地域色彩的表達背後，蘊藏著西部人民的思維與認知。筆者收集了「大漠三部曲」中地域性隱喻表達共 646 條。其中自然環境類的動物隱喻占 23.08％，植物隱喻占 10.77％；社會文化類的民俗隱喻占 21.69％，人體隱喻占 19.53％，器具隱喻占 19.08％，食物隱喻占 5.85％（如表 1 所示）。本文選取地域性隱喻表達 21 例，包括動物隱喻 4 例、植物隱喻 2 例、民俗隱喻 5 例、人體隱喻 3 例，器具隱喻 4 例，食物隱喻 3 例，並對其進行重點翻譯分析。

表 1 「大漠三部曲」地域性隱喻數率與本文例析地域性隱喻數

地域性隱喻類型		「大漠三部曲」地域性隱喻數率		本文例析地域性隱喻數
		數量	比率	數量
自然環境隱喻	動物隱喻	150	23.21%	4
	植物隱喻	70	10.84%	2
社會文化隱喻	民俗隱喻	142	21.98%	5
	人體隱喻	127	19.66%	3
	器具隱喻	120	18.58%	4
	食物隱喻	37	5.73%	2

（二）自然環境隱喻

1. 動物隱喻

動物是西部地區不可或缺的元素之一,較為典型的為驢、刺蝟、駱駝。西部人民在與此類動物互動中,逐漸將它們融入當地語言表達中,賦予其概念意義。具有地域特色的動物隱喻表達是小說中較為常見的隱喻類型。在動物隱喻中,各類獨立存在的動物作為源域,將其中蘊含的深刻內涵投射至小說的表達中,化抽象為具體,使讀者得以在動物經驗領域層面感受小說中的西部文化面貌。

例 1:原文:瞎仙聞聞,夾在耳朵上,仍掏出自己的黑鷹膀子煙鍋兒……

譯文:He sniffed at it before tucking it behind his ear and taking out his pipe, made from the wing bone of a black hawk.

例 2:原文:兩人都懷了刺蝟心,嘴上卻偏要抹蜂蜜。

譯文:The two women had hearts as prickly as porcupines, but they were honey tongued when they talked to each other.

例 1 中,鷹為猛禽,野性難馴,具有勇猛的氣勢以及敏銳捕捉獵物的能力,在西部往往受人崇拜。源域「黑鷹」將涼州人民對鷹的情感經驗投射到物品「煙鍋兒」上,隱喻「黑鷹膀子煙鍋兒尊貴的特性」。例 2 中,刺蝟為西北大漠地區常見的野生動物,其體背長有硬刺,受驚時縮成一團,豎起棘刺。源域「刺蝟」將「遇敵豎刺」的這一特徵映射至目標域「人心」上,隱喻人物內心戒備感很強。上述兩個例子體現了西部人與動物之間熟悉的關係以及他們對動物有著天然的瞭解。

2. 植物隱喻

西部大漠環境具有特殊性,孕育了許多獨特的植物,如沙米稞、樺條。這些植物是對西部人民獨特精神世界的反映。在植物隱喻中,源域為植物,映射的目標域可以為事件、活動、情感、思想。具有地域性特色的植物隱喻能夠幫助讀者瞭解西部涼州的人情風貌,同時也折射出西部的多重性,即詩意與荒涼的交織。

例 3:原文:既悲死別,又怕生離,心老是攢成個酸杏蛋兒。

譯文:They had mourned the death of their son and fretted over the possibility of her departure, constantly on tenterhooks.

例 4:原文:遊峰迴旋,壟條縱橫,紛亂錯落,卻又脈絡分明。

譯文：Encircled by mountain peaks, the desert is home to plants that crisscross the land in seeming disorder and yet form clearly discernible patterns.

例 3 中,「酸杏蛋兒」是西部地域性語言表達,指的是杏樹的果實㉑。甘肅地區大陸性氣候明顯,適合杏樹生長,盛產酸杏幹。源域「酸杏蛋兒」將人們品嘗這種水果普遍獲得的「酸」的體驗投射到目標域「情感」上,隱喻「情緒上的酸澀難過」。例 4 中,「壟條」是西部涼州的一種植物。在一眼望去到處是枯黃色的大漠中,「壟條」的點綴為其增添了一抹生機。在此表達中,「植物」這一簡單的具體概念被建構到「詩意」這一抽象概念中,體現了大漠的另一番風貌。它既是荒涼的,又蘊藏著無數的詩意,為當地的農民提供精神養料㉒。

(二) 社會文化隱喻

1. 民俗隱喻

民俗是各種群體的基本文化構成,其既有共時的尺度,又有歷時的尺度,包括物質生活、精神生活、社會生活三個層面⑨。在西部涼州,有農民口口相傳的敘事、諺語以及笑話這類說唱傳統,有傳統建築等物質文化,也有各類活動的慶祝儀式,這些都是當地的民俗。在民俗隱喻中,民謠、傳統建築、傳統儀式作為源域,如唱大戲、陰國票子等,構建起具有地域色彩的隱喻系統。

例 5：原文：別灶王爺不知道自己的臉黑。他幹了啥事,你心裏也有數。

譯文：Don't be a Kitchen God who doesn't know his face is blackened. You know perfectly well what he's done.

例 6：原文：看這陣勢,真是危險萬分,要是沙再下瀉,立馬就會埋了頭部。頭一埋,腳就踏進閻王殿了……

譯文：The situation was dire, and if the sand tumbled down again, it would bury her, and she'd be as good as dead.

例 5 隱喻表達中的「灶王爺」,即民間在鍋灶附近供的神。由於居於廚灶之地,在涼州人的想像中,烹飪時產生的煙火會將灶神的臉熏黑,而灶神自己卻看不見。源域此特點投射到目標域某人身上,隱喻「一個人發現不了自己的缺點或錯誤」。例 6 隱喻表達「閻王殿」取自宗教概念。在中國傳統文化中,「閻王殿」是陰間的主宰之地,象徵著死亡和審判。通過「閻王殿」這一傳統宗教文化中的概念構建隱喻,「踏進閻王殿」隱喻「死亡或面對死亡的威脅」。這種表達方式不僅反映了人們對死亡的恐懼和對死後世界的想像,也體現了對生命脆弱性和無常性的認識。此處指的是如果蘭蘭被沙子埋了頭,那就將面臨死亡。

2. 人體隱喻

人體是人類最為熟悉的部分,是人類共有的經驗。西部地區處於農耕文明的人民大多以體力勞動為生,軀體對他們來說具有多重意義。在小說中出現了不少的人體隱喻。人體隱喻以人體的皮膚、臉、喉嚨、骨頭、心等物質為源域,來表達西部百姓的性情、狀態、行為以及思想。

例 7：原文：你是個白肋巴,沒常勁,幹不了幾下,就成個乏駱駝了……

譯文：You're not used to working this hard. Keep it up and you'll be like a worn-out camel.

例 8：原文：麥子倒還有些,紮緊喉嚨,也能糶個三五千。

譯文：What little wheat they had left they could sell for four or five thousand if the family tightened their

throats and ate less.

在西部,男性幹活時,一般會脫去身上的衣物。在長年累月的日曬下,他們身體便會變得黝黑,包括肋骨的區域[21]。若一個人身體肋骨的附近為白色,說明他很少參與農活。例7中,「白肋骨」將「人的懶惰」這一抽象概念通過人體的物理特徵來體現,用來隱喻「懶漢」。例8中,「喉嚨」是進食器官,將喉嚨紮緊會阻礙進食。此處將喉嚨被紮緊的狀況映射至人的生存狀態,隱喻「西部人民為了籌錢而省吃儉用,減少餐食的場景」。這也從側面反映出西部農村城市化之前普遍貧窮的經濟面貌[21]。

3. 器具隱喻

對於身處農耕時代的農民來說,因其勞作的需要,各類器具對於他們的生活來說不可或缺。這些器具極具地域特色,如籮兒、秤桿等。具有不同使用功能的器具,能夠與人們經歷的與其作用功能類似的經驗相關聯,從而被賦予不同的概念含義。具有地域特色的器具隱喻,以各類器具為源域,使讀者能夠依據自身使用器具的經驗來感受其背後所蘊藏著的文化內涵。

> 例9:原文:雖沒猛榔頭砸你,但那針挑的滋味,也難受哩。
>
> 譯文:It's not like being hit by a hammer, but the pinpricks aren't easy to take either.
>
> 例10:原文:猛子媽說:「丫頭吃了秤砣鐵心了。寧死在娘家門上,也不回去。」
>
> 譯文:"The girl has made up her mind. She'd rather die at our house than go back there," Mengzi's mother replied.

例9中,根據器具的特點,「猛榔頭」意味著「兇猛的攻擊」,「針」意味著「細小的折磨」。在此處,這兩個具體的事物被映射到「生活」這一目標域中。「猛榔頭」隱喻「生活中足以擊垮一個人的磨難」,「針」隱喻「生活中時不時遇到的小坎坷」。這兩個分別借用器具「榔頭」和「針」作源域的隱喻表達,體現了不同程度的困難,傳達出涼州農民在生活所帶來的大大小小的挑戰中不斷地掙扎與克服,以及在苦痛中前進的不易。在例10中「秤砣」是桿秤所用的金屬重錘,用於衡量物體重量。語段中「決心」被看作秤砣一般的鐵製品,借鐵堅硬的特點將決心的程度量化,隱喻「決心之堅定」,指人一旦拿定了主意,絕不改變。桿秤的發明和使用已有兩三千年的歷史,在電子秤等更精準的測重儀器逐漸普及的今天,涼州地區的村莊依然保留著使用秤砣的習慣,這一具有鮮明的地域性特徵的隱喻在此處指蘭蘭下定決心不再回到婆家。

4. 食物隱喻

食物對於當時涼州的老百姓具有重大意義。它與百姓日常生活溫飽相聯系,與家庭財富相聯系,同時也與社會的穩定相關。因身處農耕時代,糧食在當時百姓心中已不再只是用來溫飽的各種穀物實體,它已變成了當地人用來理解和感知周圍世界的器具。在食物隱喻中,各類糧食作為源域,映射出階級地位差異或目標物的重要性。

> 例11:原文:有人山珍海味,你山芋米拌面。公平不?
>
> 譯文:Some get to enjoy rare delicacies, but you survive on potatoes.
>
> 例12:原文:你們先吃。五穀不吃也成,這六穀不吃可不成……
>
> 譯文:Don't wait for me. You go ahead. I can do without the five grains, but not the sixth.

例11中,查閱漢典可知,「山珍海味」出自韋應物的詩句「山珍海錯棄藩籬,烹犢羊羔如折葵」(《長安道

詩》），意為珍貴的食肴。「山芋米拌面」是西部涼州人民的主食[21]。「山珍海味」與「山芋拌面」作為源域分別隱喻「生活條件好」與「生活條件艱苦」，表現了西部當時的階層差異。例 12 中，「六穀」是涼州百姓對香煙的稱呼[21]。五穀雜糧是與生活緊密相關且十分重要的糧食。食物隱喻「六穀」構建了「香煙是穀物」的概念，完成了「西部涼州人民對煙的無法自拔的狀態」這一抽象概念的映射，體現了香煙對愛抽煙的人來說與養命的五穀雜糧一般重要。

四、雪漠「大漠三部曲」中地域性隱喻翻譯策略

翻譯活動是對心智的解碼和編碼[12]。地域性隱喻翻譯的實質是對該隱喻中源域所含心智解碼的過程。在地域性隱喻中，目標域的意義通過具有地域特色源域的映射產生。在映射過程中，源域的意義影響讀者對目標域意義的理解，因而映射的關鍵在於解碼源域。若在譯語中能夠使目的語讀者獲取源域中所含的概念資訊，則可視為地域性隱喻翻譯解碼的成功。由於地域性具有物質和文化雙重屬性，同一源域於不同人類群體的經驗體驗既有相似性又有差異性，致使人們對地域性隱喻表達理解存在一定程度的不對等性。因此在處理地域性隱喻翻譯時，應從心智角度深入分析地域性隱喻源域自身概念以及其與目標域之間的相似經驗，從而在譯語中將原語中的概念資訊重現。

以葛浩文與林麗君的英譯本為語料，研究發現可以採取保留、改變、放棄、補充源域四種方法處理地域性隱喻翻譯。在筆者收集的 646 條英譯語料中，包括動物、植物隱喻在內的自然環境隱喻翻譯，多保留地域性隱喻源域，分別占 68.67%、58.57%；包含民俗、人體、食物隱喻的社會文化隱喻翻譯，多放棄地域性隱喻源域，分別占 45.77%、46.46%、54.05%；而器具隱喻屬於社會文化隱喻，但在進行翻譯處理時，多採用保留地域性隱喻源域，占 51.67%。替換地域性隱喻源域與補充地域性隱喻源域這兩種翻譯方式，在自然環境隱喻與社會文化隱喻中也均有涉及。其中在翻譯策略補充地域性隱喻源域上，自然環境與社會文化隱喻差異較小；在翻譯策略替換地域性隱喻源域上，社會文化隱喻中的民俗、人體、器具隱喻相較於食物隱喻與自然環境隱喻中的動物、植物隱喻，更傾向於選用該策略。如下表 2 所示：

表 2　地域性隱喻類型及其四種翻譯策略數率

地域性隱喻類型		保留源域數率		替換源域數率		放棄源域數率		補充源域數率	
		數量	比率	數量	比率	數量	比率	數量	比率
自然環境隱喻	動物隱喻	103	68.67%	8	5.33%	33	22.00%	6	4.00%
	植物隱喻	41	58.57%	3	4.29%	22	31.43%	4	5.71%
社會文化隱喻	民俗隱喻	58	40.85%	10	7.04%	65	45.77%	9	6.33%
	人體隱喻	50	39.37%	10	7.87%	59	46.46%	8	6.30%
	器具隱喻	62	51.67%	9	7.50%	43	35.83%	6	5.00%
	食物隱喻	14	37.83%	1	2.70%	20	54.05%	2	5.41%

（一）保留地域性隱喻源域

身處不同地域，譯者和作者雖存在經驗差異，但此差異性並不意味著譯者放棄空缺於自身地域經驗的實體[15]。地域性的物質性，使得不同地域的讀者能夠共用源域中某些客觀實體的屬性，以構建起相同的隱喻場景。因此在翻譯過程中，在不產生任何歧義或致使目標讀者遇見困難的情況下，譯者可以盡可能保留原語中地域性

隱喻的源域。此譯法較為明瞭直接,能夠最大程度還原原語風格,使譯語讀者與本土讀者獲得等同效果,從而吸收原文的文化,感受原文的意蘊。在六種隱喻類型中,動物、植物隱喻較適合採取此翻譯方式。

例 13:原文:這蛋瘋魔似的滾,滾去了黃,滾去了紅,滾成一個小而亮的乒乓球,浮在了沙海浪尖上空。

譯文:But then the egg began to roll, shedding its yellow and its red and turning into a shiny Ping-Pong ball that floated atop the waves of sand.

例 14:原文:那老嫁漢的,早成驢籠頭了。

譯文:My old lady has turned into a donkey's halter.

例 13 食物隱喻「蛋」為「母雞下的處女蛋」,其帶著幾縷血絲。因與太陽的表徵相似,在此隱喻「帶著幾絲紅霞的太陽」。譯者在其中保留了源域「蛋(egg)」,從而得以使譯語讀者將「蛋」這一日常之物與「太陽」這一宏大之物構建起聯繫,體會尋常不過的雞蛋成了無比稀罕之物的深層意蘊。例 14 器具隱喻「驢籠頭」是套在驢馬頭上皮質或繩制器具,用來系韁繩或掛嚼子。西北地區乾旱且風沙大,陝北人幹活的時候習慣在頭上綁上毛巾來防曬、防土。語段中老漢稱其妻子的頭巾為「驢籠頭」,意在隱喻老婆婆年老色衰,有如驢籠頭般的頭巾一樣在日夜勞作和風沙侵蝕中蹉跎了青春。譯者在其中保留了源域「驢籠頭(a donkey's halter)」,一方面反映了西部地區的器具特色,另一方面也展現了人物形態。

(二) 替換地域性隱喻源域

雖然概念隱喻在很大程度上依賴於人類隱喻思維模式的共性,由於不同地域民族與民族間身體與文化體驗的差異性,一個事物在其中一個民族概念中的形象與在另一個民族概念中的形象是截然不同的[13]。因此,在不同的語言下,具有地域色彩的源域與目標域之間並非都能找到對應的映射關係,即對同一地域事物隱喻的表達並非遵循同一概念建構。當譯語讀者所處的文化與本土讀者存在差異時,可以替換隱喻源域,將異質性文化自然化、本土化,便於譯語讀者理解文本。社會文化隱喻中的民俗、人體、器具隱喻以及自然環境隱喻中的動物隱喻,都較適合採取此翻譯策略。

例 15:原文:女人又說:「有錢的,都是蠍虎子,想想,還是這裏安穩。」

譯文：Rich men are lizards. When I think about it, this is a pretty good place, secure and comfortable.

例 16:原文:相較於外面的爭呀,鬥呀,嚷呀,鬧呀,費呀,稅呀⋯⋯這兒真成世外桃源了。

譯文：Compared with the fights, quarrels, noise, clamor, fees and taxes out there, the desert was a true paradise.

例 15 動物隱喻「蠍虎子」是對壁虎的別稱,在此處表達邪惡之意。而在西方文化中,壁虎是堅韌與頑強的象徵,具有積極意義。譯者在翻譯時,考慮到文化的差異性,將「蠍虎子」這一地域性隱喻源域替換成在西方象徵著冷血與無情的「蜥蜴(lizards)」。例 16 中,民俗隱喻「世外桃源」隱喻「西部大漠」,指與現實社會隔絕、生活安樂的一種理想境界。在西方文化中,理想中的美好世界並非遠離人世車水馬龍的地方,而是天堂。因此,譯者在翻譯時,將「世外桃源」替換為「天堂(paradise)」。

(三) 放棄地域性隱喻源域

翻譯是語言資訊轉碼的過程,在每一次的實踐的過程中都會造成資訊的損失。如果文本描述的情境具

有自然環境、制度及其語言區域文化所特有的元素,那麼就不可避免地會失去文本所蘊含的意義[8]。在隱喻的解碼中,人類需要用某一領域的經驗來說明或理解另一類領域的經驗。雖然具有地域特色的源域在不同地域文化中具有概念交疊部分,但地域性具有獨特性,存在地域性隱喻源域內涵和目的語讀者與有關世界認知經驗相衝突的可能,此時源域中的概念無法使目的語讀者獲得對等效果。因此,在翻譯這樣的隱喻時,若不存在可替代的隱喻實體,可以放棄地域性隱喻的源域,根據隱喻語義,直接翻譯隱喻所要傳達出的含義。在處理社會文化隱喻中的民俗、器具、人體、食物隱喻的英譯時,多採用此翻譯方式。

例 17:原文:到了深圳,當了啥總經理,還叫人家追上去一腳踢了飯碗。

譯文:Then he went to Shenzhen as the general manager of some company, but the government went after him to make sure he lost that job too.

例 18:原文:他抱來,老娘給他娶個黃花姑娘。

譯文:If he could find one, I'd give him a virgin for a wife.

例 17 器具隱喻「飯碗」是西部百姓日常生活中不可或缺的一部分,它隱喻著生活的穩定和生計的保障。由於東西的飲食文化差異,西方人缺失在此層基本經驗領域的體驗,若翻譯成「rice bowl」,則難以被譯語讀者接受與理解。因此譯者在翻譯「飯碗」時,完全刪除了此地域性隱喻的源域實體,直接翻譯出「工作(job)」這層隱喻內涵。例 18 中,中國古時未婚女子在梳妝打扮時喜愛「貼花黃」,因此民俗隱喻「黃花姑娘」隱喻沒有婚配的處女。由於背景文化的差異,譯者在此直接譯成「處女(virgin)」,放棄了隱喻源域,便於譯語讀者理解。

(四)補充地域性隱喻源域

一個完整的隱喻往往具備源域和目標域。然而,在雪漠「大漠三部曲」地域性隱喻表達中,源域與目標域並不一定同時出現,存在源域消失的隱喻意義結構。Lakoff & Johnson 指出,隱喻的理解是在整個經驗領域而不是從孤立的概念的角度進行[3]。因此當地域性隱喻運算式沒有出現源域時,隱喻概念可能難以在目標語讀者思維系統中建構。除此之外,儘管有時源域與目標域同時出現在地域性隱喻運算式中,但因源域出自於地域文化、典故等,目標語讀者在理解上會遇見困難。因此,在翻譯源域缺失或不完整的地域性隱喻表達時,可以對地域性隱喻運算式補充喻體,並在不破壞源域隱喻實體的情況下,對喻體進行修飾達到解釋說明的作用。此種翻譯方式多用於民俗隱喻。

例 19:原文:在相思的激流裏,她遊呀遊呀……

譯文:She'd felt like a drifting vine in floodwaters, forever at risk of being carried away in the torrents of lovesickness, where she swam and swam…

例 20:原文:得先送少林寺裏,嘿兒哈兒的,練成個武松才成。

譯文:… You'd better send her to the Shaolin Temple first to learn some martial arts skills and turn her into a tiger slaying hero like Wu Song.

例 21:原文:白頭子養活黑頭子幾十年了,該自覺些了。

譯文:"Don't forget, it's thanks to your parents´ gray hair that yours has remained black all these days."

例 19 自然環境隱喻中,構建「相思是洪水」的概念隱喻,將「相思的程度之深」與當地「浩大的洪水」這一自然現象聯繫起來。對於靈官的離開,瑩兒在難以承受的思念中消化痛苦,猶如在洪水中掙扎。譯者在翻

譯時,補充了源域「洪水(floodwaters)」,將西部相愛的戀人之間抽象濃烈的相思之情具象化、生動化。例20民俗隱喻中,武松出自文化典故,隱喻「人的勇猛剛烈」。例21民俗隱喻中,「白頭子」為西部地域性語言表達,隱喻「年老的父母」。因其與典故和地域性文化有關,譯者在翻譯例20和例21的地域性隱喻表達時,在保留源域實體的基礎上,還對源域進行了修飾,分別加上了「a tiger slaying here」和「parents」,從而使譯語讀者理解這類被賦予地域文化概念的人物形象背後所帶有的深意。

五、結語

綜上所述,本文提出地域性隱喻理念,並把「大漠三部曲」中具有地域性特色的隱喻表達歸類為自然環境和社會文化兩大類隱喻,並重點分析了動物隱喻、植物隱喻、民俗隱喻、人體隱喻、器具隱喻、食物隱喻這六種隱喻。針對葛浩文與林麗君「大漠三部曲」譯本,根據不同地域人群對源域實體經驗體驗的差異性與相似性,本文總結出小說中隱喻表達的四種翻譯策略,即採用保留地域性隱喻源域、放棄地域性隱喻源域、替換地域性隱喻源域與補充地域性隱喻源域。據數據統計發現,不同的翻譯策略與不同的隱喻類型對應,並存在一定規律。在翻譯自然環境隱喻時,多採用保留地域性隱喻源域翻譯方式;在處理社會文化環境隱喻時,多採用放棄地域性隱喻源域翻譯策略。在對補充地域性隱喻源域這一翻譯策略的選取上,自然環境隱喻與社會文化環境隱喻差異並不顯著。對於替換地域性隱喻這一翻譯方式,民俗隱喻、人體隱喻、器具隱喻較食物隱喻、動物隱喻、植物隱喻而言使用更多。雪漠「大漠三部曲」中的地域性隱喻及翻譯方式,有助於為學界在對鄉土文學作品中的隱喻使用及其翻譯理念方面提供參考,幫助世界瞭解更加真實、深刻的中國西部文明形態。

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[Studies in Literature]

Gothic Spatial Narrative of
Tolkien's *The Lord of the Rings*

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Abstract: Tolkien employed a variety of narrative techniques in his fantasy fiction *The Lord of the Rings*, among which the Gothic spatial narrative represented by Mordor and Isengard is particularly unique. On the one hand, the gothic space in Mordor highlights the sublime theme of the narrative, and its eerie environment contrasts with the enormous power of the small Hobbits, showing the grandeur that shocks the soul; on the other hand, the spatial variation of Isengard's "beautiful space−gothic space−rebirth space" reflects the change of time and narrative process, in which the gothic sinful space plays a key role. In addition, the author maps the feudal manor system in Western Europe through Isengard, the environment of the Battle of the Somme, and the trauma of the war through Mordor. By integrating real−life memories into the construction of the Gothic space, the author "re−creates" the world to reflect on reality. In conclusion, the Gothic spatial narrative of *The Lord of the Rings* strengthens the theme, promotes the plot, triggers the resonance, and reveals the profound connotation of the story.

Keywords: *The Lord of the Rings*; gothic spatial narrative; sublime; spatial variation; realistic memory

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論托爾金《魔戒》中的哥特式空間敘事

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摘　要：托爾金在其奇幻文學著作《魔戒》中採用多種敘事手法，其中以魔多地區和艾森加德為代表的哥特式空間敘事獨具特色。一方面，魔多地區的哥特式空間凸顯敘事崇高美學，其陰森恐怖的環境與霍比特人的內心力量形成對比，展現震撼心靈的宏偉主題；另一方面，艾森加德「美麗空間–哥特式空間–重生空間」的空間變異反映時間與敘事進程變化，其中哥特式罪惡空間具有關鍵作用。此外，作者借艾森加德映射西歐封建莊園制、借魔多映照索姆河戰役環境及戰爭創傷，將現實記憶融入哥特式空間的構建，通過「再造世界」觀照現實。總之，《魔戒》哥特式空間敘事強化主題、推動情節、引發共鳴，展現深刻的文學內涵。

關鍵詞：《魔戒》；哥特式空間敘事；崇高；空間變異；現實記憶

一、引言

　　英國作家 J. R. R. 托爾金（J. R. R. Tolkien, 1892—1973）的作品在國際文壇享有盛譽，其代表作《魔戒》（*The Lord of the Rings*, 2004）更是被譽為 20 世紀最偉大的奇幻文學作品之一。《魔戒》的敘事風格獨樹一幟，在故事主線基礎上融合神話、史詩和奇幻元素，創造出宏大而細膩的中土世界。其中，哥特式空間敘事的運用尤為突出，為作品增添了獨特的魅力與深度。作者通過對諸如魔多地區與艾森加德空間的刻畫，增強敘事張力，亦深化了作品的主題表達。這些哥特式空間不僅是情節發展的背景，更是角色心理與命運、作者現實記憶的重要隱喻，體現了托爾金對哥特式敘事傳統的繼承與創新。

　　然而，儘管對托爾金《魔戒》的研究在國內外學術界已取得豐碩成果，但對其哥特式空間敘事的探討仍顯不足，特別是在中文研究領域，相關文獻較為稀缺。現有研究多集中於《魔戒》的神話體系、語言建構或文化影響，而對其中哥特式空間敘事的系統性分析尚屬空白。本文旨在填補這一不足，聚焦《魔戒》中的哥特式空間敘事，深入分析其特質、建構及其在作品中的作用，為進一步理解托爾金文學創作提供新的視角和思路。

二、《魔戒》敘事類型分析

　　作品的敘事結構即作者完成其創作意圖的方式和技巧，作者通過對作品內容結構進行編排、對敘述者的風格進行設計，並選擇一定的敘述視角完成作品。《魔戒》作為西方奇幻文學經典之作，內含多種敘事手法，如以時間為基本「骨架」的線性敘事、通過建立新三維世界構成的空間敘事，以及以「對話」關係為特色的複調敘事等，這些敘事手法的運用都使得作品內容有序規整地展開，角色情節更為多樣、生動，世界觀更為宏大，主題更加深刻。

作品的線性敘事往往通過挖掘時間這一「縱式結構」完成,故事的內容情節按照時間線展開,包括傳統的開端、發展、高潮、結局。《魔戒》三部曲中,首部《魔戒同盟》主要介紹故事背景、「魔戒同盟」的建立以及初涉冒險的情節;《黑白雙塔》延續故事情節,敘述同盟小隊面臨的多重危機,多方勢力逐漸會和,黑暗魔君的威脅日益逼近;《王者歸來》描述最終決戰、魔戒被毀,故事達到高潮並走向結局。以「摧毀魔戒」為目的,所有的情節和衝突都圍繞此主題展開,邏輯清晰、路徑明確。與以時間為軸的線性敘事相對,空間敘事亦為《魔戒》尤為突出的敘事特色。夏爾、剛鐸、魔多地區等場所都是《魔戒》中典型的空間場景,「神聖空間」夏爾是霍比特人心靈的棲息之所,亦是他們面對黑暗世界的力量源泉;而諸如魔多、艾森加德地區此類「哥特式空間」描繪了陰森恐怖的環境,在推動情節發展的同時彰顯更加深刻的主題。空間敘事手法使作品不局限於時間範疇,從三維角度推進敘事進程。此外,《魔戒》中大量運用複調敘事,既有體現不同角色個性特徵的「微型對話」,亦有代表不同族群觀點的多聲部意識碰撞。如甘道夫的話語充滿智慧與指引性,霍比特人對話風格質樸幽默,精靈的唱詩空靈悠長,而咕嚕甚至表現出雙自我意識的「雙聲語」特徵。而在人類、矮人、精靈等正義勢力群集商討對抗索隆策略之時表達不同觀點,此種同勢力之間乃至不同勢力之間的矛盾與衝突,都以複調對話的形式增強故事的戲劇性和張力。

在《魔戒》諸多敘事類型中,對線性敘事與複調敘事的研究較為豐富,空間性研究相對薄弱。而隨著文學作品研究「空間轉向」之趨勢日益凸顯,空間敘事研究尤為必要。在對《魔戒》的空間敘事研究中,學者往往著眼於霍比特人故土、映射英國鄉村風土的「神聖空間」夏爾,抑或與人類社會較類似的城市剛鐸,對哥特式空間敘事幾乎沒有涉獵,而作品中諸多空間的「哥特性」十分明顯,哥特敘事獨樹一幟。因此,本文彌補了這一不足,通過分析《魔戒》中哥特式空間的特質,探討之於作品敘事的作用,為《魔戒》的空間敘事研究提供借鑒。

三、《魔戒》哥特式空間敘事的特質

(一)哥特式文學傳統概述

《牛津英語辭典》中對「哥特」(Goth)一詞的解釋為「粗魯的、未開化的、無知的人;他們行為野蠻,沒有文化、品位」,而對「哥特的」(Gothic)的解釋為『是與古典主義傳統相對的「浪漫主義」,是中世紀的,屬於「黑暗時代」;代表十二到十六世紀西歐流行的建築風格,主要特色是尖頂;是粗魯、野蠻、不得體的』。西元三世紀起,條頓民族的哥特人湧入南歐,同羅馬人作戰,在西歐人心中留下恐懼而憤恨的複雜情緒。十二到十六世紀,西歐人用哥特一詞表示一種不入流的中世紀建築風格,這類建築有著直聳入天的尖頂、厚重的牆壁、黯淡無光的窗戶、幽暗的空間,此外還有陰險的暗道等元素,主要標誌性建築是教堂和城堡。這種建築寓意落後、野蠻與暗黑,與「黑暗時代」的象徵相吻合。長此以往,哥特一詞逐漸被賦予野蠻、恐怖、神秘、邪惡等諸多含義。

「哥特式文學」(Gothic literature)源自十八世紀的歐洲,受中世紀建築、廢墟、荒野等元素影響,這類作品充滿神秘與恐怖氣氛,因此得名。哥特式文學作品通常描述「古堡、莊園、荒野,這些場景中常設有秘密通道、隱蔽的城垛等恐怖元素,環境描寫幽暗可怖,充滿妖邪色彩」(肖明翰,2001;91),故事情節涉及兇殺、暴力、復仇,常有精靈魔鬼及各種超自然元素出現,整體呈陰森、神秘的氣氛,情節充滿懸念。在 H. 沃波爾的小說《奧特朗托堡》(1765)的影響下,該體裁在英國風行一時。A. 拉德克裏夫的《尤道弗的神秘事蹟》(1794)與《義大利人》(1797)亦是這類文學的範例。一種利用恐怖和暴力更為轟動的哥特式傳奇作品盛行於德國,如 M. G. 劉易斯的《僧人》(1796)。此後,諸多作家逐漸熱衷於哥特式文學的創作,如勃朗特姐妹、

愛倫・坡、柯勒律治、拜倫、雪萊、狄更斯、霍桑、福克納、奧康納等,都通過著名的哥特故事,取得成就,如勃朗特的《呼嘯山莊》、狄更斯的《荒涼山莊》和《遠大前程》等。自此,哥特式文學逐漸成為文學發展的主流,在英美文學中形成了十分突出的哥特式傳統。

從條頓人的歷史起始,隨著時間的推移,「哥特」一詞從部落名稱演化為一種對特定風格的認知,進而影響歐洲的建築藝術,並最終成為一種文學體裁、文學傳統,對文學發展產生深遠影響。在罪惡與邪惡中感受恐懼,通過恐懼產生敬畏,在敬畏中感受作品帶來的崇高與震撼之感,哥特式文學為讀者展現出更恢宏深刻的主題。

(二)《魔戒》中的哥特式空間場景

二十世紀中葉以來,空間性問題和空間化趨勢逐步凸顯,文學作品日益注重「空間轉向」(spatial steering)問題,福柯(Michel Foucault)(2001:20)曾表示「我們時代的焦慮與空間有著根本的關係,比之與時間的關係更甚」,蘇賈(Edward Soja)(2004:01)也提到,『表現最能發人深思而詭譎多變的理論世界的,是「地理學的創造」,而不是「歷史的創造」。』隨著西方哲學社會科學領域的「空間轉向」,「文學空間研究」得以發展和興盛(陸揚,2025:106)。小說家在文學作品中構建的「空間」是書頁在讀者的目光下建構的靜止不動的形式組織和體系,讀者通過閱讀在腦海中構建出書中描述的立體空間,這種空間對作品敘事產生重要的推動作用。托爾金在《魔戒》中構築「中土世界」這一「第二世界」的同時,創造出大量空間場景,如「故土」夏爾鎮、「沒落之都」剛鐸、「毀滅之城」魔多、精靈棲息之所瑞文戴爾、邦巴迪爾老林子、範貢森林等,這些空間設定使作品敘事更立體,規模更宏大,主題更清晰、深刻,支撐起整部奇幻作品敘事的「宏偉大廈」。

在《魔戒》涉及的諸多空間場景中,頗具特色的是哥特式空間場景。如上節所述,哥特式文學有著恐怖、神秘、幽暗等暗黑氣氛,而這種氣氛往往是奇幻小說所必備的元素,在小說的敘事中起到重要作用。《魔戒》中,魔多地區和艾森加德是具典型哥特式風格的空間設定。

1. 魔多地區

魔多是作者托爾金筆下「中土世界」的黑暗邪惡之地,具有哥特式元素,醜陋恐怖,是「毀滅之地」。魔多地區寸草不生,土地飽受魔君索隆摧殘,一片瘡痍破敗之景。「魔多西側群山下麵的邊遠地區是塊瀕死大地……裏面潛藏著一簇簇貼地生長的低矮灌木,粗糙的灰色草叢在石頭間掙扎,上面還爬滿了枯萎的苔蘚。到處都是扭曲纏繞的荊棘,有些仗著尖利的長刺,有些長著刀子一樣鋒利的鉤狀倒刺」(托爾金,2024:256)。魔多有大片陰陰的、由爛泥潭和水道交錯而成的「死亡沼澤」,「唯一的綠色是烏黑、濃膩的死水上漂浮著的鐵青色水草。枯死腐爛的野草、蘆葦時不時出現在霧中」(托爾金,2024:309),水底還有死人臉,頭髮上纏滿水草,全部腐爛,散發邪惡氣息。通往大敵疆口的入口是奇立斯高格隘口,兩邊高聳峭壁形成的山丘上有兩座堅固高塔,合稱「魔多之牙」。其中一座是黑暗魔君的「堡壘」,他的魔眼監視著黑暗大地,緊盯「魔多軍隊」的行動,以及持戒人的動向。另一座高塔的設計陰暗、森嚴,正如霍比特人山姆所說:「建造這座堡壘不是為了把敵人擋在魔多之外,而是為了把他們關在裏面」(托爾金,2024:225)。妖塔盤踞著邪惡勢力,這股勢力抹殺生靈、限制自由,滋生超自然暗黑生物及罪惡行為。魔君的「走狗」奧克互相撕咬、殘殺,「石頭上到處都是黑血,很滑」(托爾金,2024:228),屍體遍地,令人產生恐懼心理。九位「人類」屈從於黑暗魔君,成為魔影下的影子——戒靈,他們受黑暗勢力和欲望吞噬,只剩骷髏之軀,叫聲尖利,殺人成性。在魔多這片土地,在黑暗魔君索隆到來之前就出現毒蜘蛛希洛布,她的巢穴托雷赫烏苟散發惡臭,「空氣凝滯、污濁、沉悶、死寂無聲」(托爾金,2024:446),她因嗜飲精靈與人類的鮮血而膨脹臃腫,在巢穴裏編織巨大黑暗的蛛網,與後代交媾後殺死伴侶,散佈雜種子孫,是「惡靈烏苟立安特仍在荼毒、禍害這個世界的最後一個子嗣」(托爾金,2024:454)。

魔多城內的另一重要地點是被稱為「火焰之山」的奧羅德魯因。埃斐爾度阿斯的山脊下降形成的懸崖縈入黑暗山溝,形成陰森的魔蓋,遠處是火焰之山。山體聚集熱量,熔岩翻騰,形成岩漿河,流入平原大地,「宛如痛苦的大地吐出來的扭曲的惡龍」(托爾金,2024:224)。岩漿是打造魔戒的「原材料」,而末日山亦是摧毀魔戒之地,是黑暗魔君索隆的最後防線。

破敗可怖的魔多城市,黑暗妖塔的森嚴景觀,岩漿迸發的火焰山景,希洛布的惡臭巢穴,這些哥特式空間構成魔多地區景觀,為中土世界的幽暗氣氛奠定基礎。

2. 薩魯曼的城堡——艾森加德

艾森加德是「巫師之首」薩魯曼德盤踞之地,由週邊環丘、中部平原和中心高塔組成。環丘南側有拱形大門,「巨大的黑色岩石上鑿出一條長長的隧道,隧道兩端都安裝了無比堅實的鑄鐵大門」(托爾金,2024:203)。穿過隧道即是平原,曾經一片青翠之景,如今卻美景不再,樹木被沉重鐵鏈穿起的大理石柱或銅鐵柱代替,房屋林立。這些房屋「能容納成千上萬人居住,工人、僕人、奴隸,以及擁有大量兵甲的武士。下麵的洞穴裏還養著狼群」(托爾金,2024:203)。洞穴中有薩魯曼的寶庫、兵器庫、熔爐房等,用於打造薩魯曼的半獸人奴隸及其使用的武器,這些半獸人面部猙獰,滿口黑色獠牙,骯髒濕膩的臉上現出紅色眼睛,如夜間鬼魅。平原的中心高塔「黝黑、亮澤、堅硬:四根巨大的多棱石柱向上聚攏為一體,在快接近頂端時又各自張開形成四只尖角,尖角銳利如毛,邊緣鋒利如刀」(托爾金,2024:204)。艾森加德所在山谷一片荒蕪、荊蔓叢生,薩魯曼利用半獸人奴隸組成的軍隊日夜無休止地砍伐、焚燒樹木,作為原材料打造邪惡武器,「四野一片死寂、荒涼。谷地上空陰雲低垂,煙霧和蒸汽浮蕩其間」(托爾金,2024:202)。薩魯曼仿照魔多打造艾森加德,「一切都只不過是微不足道的複刻,兵器庫、監牢、熔爐,無一不是對那座巨大的堡壘——黑暗妖塔巴拉督爾的小兒科模仿和奴隸般的景仰」(托爾金,2024:204)。對薩魯曼城堡的哥特式描寫與前期艾森加德的美麗奇景形成對比,其風格的變化亦記錄敘事時間的變化,體現出薩魯曼巫師由光明向黑暗的轉型,最終與黑暗魔君索隆同流合污,壯大邪惡勢力。

《魔戒》中還有多處對墳墓、幽暗森林、荒野等場景的描述,鑒於上文所提最為典型,本文不一一贅述。陰森恐怖的環境,諸如艾森加德高塔、魔多妖塔、末日之山、死亡沼澤等場所勾勒出較為清晰的建築畫面,以及這些場所衍生出的包括黑暗魔君索隆、半獸人奧克、戒靈、毒蜘蛛、厲鬼等在內的超自然黑暗元素,都使得這些空間體現出典型的哥特式風格,形成獨特的哥特式空間。

四、《魔戒》哥特式空間敘事的建構性

(一) 凸顯崇高主題

埃德蒙·伯克(Edmund Burke)(1990:36)在《崇高與美的哲學探究》中提到,「美」(beauty)與「崇高」的含義截然相反,美的特徵是秩序與和諧,而崇高是一種在宏偉場面中的過度體驗。詞源辭典對「崇高」的解釋是:震撼心靈的宏偉或強大的感受;因個人高尚的品質令人感到崇敬;任何事物中的崇高,都是莊嚴而壯觀的。顯然,《魔戒》中的哥特式空間帶給讀者這種崇高的體驗,用一切超乎理性、無法解釋的事物和可能,以可怕而又可畏的人物、難以名狀而深不見底的事件震懾我們,同時又讓我們在這種宏大而渺無希望的絕境場面中體會小人物內心蘊含的、可推動命運之輪的巨大能量,進而產生敬畏之情。

魔多城遮天蔽日、一片荒蕪,「魔眼」的監視無處不在,火山岩漿迸發,到處是崎嶇之路與死亡的威脅。然而,在這陰森恐怖、了無生氣的索隆之城,霍比特人山姆卻在絕境處誕生希望,「一個念頭如箭一般刺進他的心頭,清晰而清涼:魔影終究是轉瞬即逝、微不足道的東西,在它無法觸及的地方,還有永恆的光明與崇高

的美」(托爾金,2024:257)。在這恐怖駭人的魔多,經歷被半獸人折磨的疼痛、毒蜘蛛的毒刺、戒靈的刀傷,以及直面黑暗魔君的恐懼,持戒者弗羅多的身心已然遭到侵襲,他弱不禁風,在善念與惡念之間搖擺不定。末日山的山肩從山基拔地而起,高出平原約三千尺,山體的一半高度即中央火山錐體的高度,弗羅多已無力向上攀登,而陪伴他走過諸多險阻的山姆卻表示「哪怕是彎腰背折,我也要背你……我說到做到」(托爾金,2024:283),他用僅存的力量和意志背著弗羅多向上爬,沿路躲開岩石石塊,減少行走坡度,最終抵達巴拉督爾通往末日山的索隆之路。火山附近的山路愈見崎嶇,土地燥熱難耐,但即便路途艱辛,山姆仍在即將通往火山口的路上幫助弗羅多對付咕嚕,鼓勵他前進,直到弗羅多在即將摧毀魔戒的時刻再次被惡念侵蝕,山姆也沒有放棄他的少爺,他的朋友。

> 「那些古老傳說和歌謠中勇敢的事情,我以前總把它們當作歷險和奇遇。我總覺得,故事裏那些了不起的人物,認為生活有點枯燥,想要一種奇遇,於是出門去尋找,尋找一種有趣或冒險的事情。但那些真正重要的故事,或那些被人們銘記的故事,卻並不是那樣。裏面的人物通常似乎突然遭遇了那些事情,他們只有那樣的路可走。我想,他們也一定會像我們一樣,有過很多次回頭的機會,只是他們並沒有那麼去做。」(托爾金,2024:435-436)

當魔戒終被摧毀,魔多瞬間呈現出崩塌之象,「塔倒了,山滑了;牆塌了,熔化後倒落」,「大地震動,平原起伏開裂,奧羅德魯因搖搖欲墜,火焰從裂開的山頂噴湧而出」(托爾金,2024:291),噴射出的蒸氣「如滔天巨浪般傾覆」(托爾金,2024:291),一切都煙消雲散了。魔多的毀滅恰與霍比特人內心爆發的力量形成對比,霍比特人身軀雖小,但他們用對彼此堅定的忠誠、支持,勇敢頑強的意志品質,以及誓死不屈的決心,最終扭轉中土世界命運的巨輪,迎來新的曙光。「哥特式空間」魔多氛圍恐怖、場面恢宏,與霍比特人令人敬仰的美好品質形成強烈對比,凸顯出《魔戒》敘事的崇高境界。

(二) 通過空間變異推動敘事進程

巴赫金(Бахтин)(1998:275)在《小說的時間形式和時空體形式》中提到:「時間的標誌要展現在空間裏,而空間則要通過時間來理解和衡量。這種不同系列的交叉和不同標誌的融合,正是藝術時空體的特徵所在。」正因如此,現代作者將空間看作故事發生的地點和場景,利用空間的變化體現時間的變化,進而推動故事敘事進程。

艾森加德由剛鐸人的祖先努門諾爾人建成,「自古就是個美麗的地方,歷代湧現出數不清的偉大人物,既有守護剛鐸西界的領主,也有善觀星象的智叟」(托爾金,2024:204),在環丘與中央塔之間的平原地帶,「曾經一派青翠,佈滿果樹和林蔭大道,周圍山上流下的無數細流在此匯積成湖」(托爾金,2024:203)。然而,薩魯曼的到來卻使這片土地日益暗淡,如前節所述,他為仿效索隆肆意改造城堡成象徵獨裁和極權的黑塔,焚燒樹木,打造戰爭機器,製造戰爭武器。艾森加德盛景不再,只剩一片荒蕪和陰森的堡壘。艾森加德從「智慧之地」變成薩魯曼為索隆服務的「罪惡之地」,這種同一空間的變異客觀上反映出小說時間及敘事進程的變化,從第二紀元由杜內丹人修建而成,到第三紀元薩魯曼將其據為己有,索隆的勢力日益增強,魔多軍隊日益倡狂,中土世界面臨覆滅的命運,這也預示「魔戒同盟」摧毀魔戒故事的開啟。魔戒大戰後,索隆的魔多被擊潰,薩魯曼倒臺,艾森加德的環境又發生新的變化,「石環都被推倒和移走了,裏面的土地被改成了一個花園,種滿各種果樹和其他樹木,一條小溪從花園中流過。但是花園中央有個清澈的小湖,湖水中靜靜聳立著歐爾桑克塔,高不可攀,堅不可摧,黑色的石頭塔身倒映在池子裏」(托爾金,2024:339),昔日環境優美的艾森加德「重現」,甚至被稱為「歐爾桑克樹園」,植物重新生長,污水變為清澈的溪水,這種變化體現出

魔戒之戰後中土世界的療愈和重生之景。

從象徵智慧的「美麗空間」到代表黑暗勢力的「哥特式空間」，再到戰後中土世界祥和的「重生空間」，作者運用艾森加德空間的變異推動小說敘事進程，而在艾森加德「橫向」的空間變異過程中，哥特式空間的設置是使情節發生變化，突出情節衝突的關鍵因素，該空間呈現的罪惡環境與象徵真善美的自然景觀形成鮮明對比，亦表現「惡」與「善」的鮮明對立，與《魔戒》小說的主題相契合。

（三）空間構建與現實意義的交融

龍迪勇（2015：26）認為，「空間敘事學將綜合考察『世界』、『作品』（文本）、『作者』和『讀者』等要素，研究它們與『空間』的內在關聯。」作者通過書寫文本，在文本中構建出「空間」，即「再造世界」的載體，使作品表現出某種主題，向讀者傳達具有現實意義的內涵，這是「空間維度」對現實世界的觀照，使「作者」「作品」「讀者」形成緊密的聯繫。

薩魯曼的城堡艾森加德是對西歐封建君主制的映照。艾森加德由週邊環丘、中央平原和中心黑塔組成，與西歐封建莊園結構如出一轍。封建莊園常常由週邊的耕地、公共牧場及中央的封建主城堡組成，是封建領主對農民進行剝削、獨立管理的地段。艾森加德內的中央平原「能容納成千上萬人居住，工人、僕人、奴隸，擁有大量兵甲的武士。下麵的洞穴裏還養著狼群」（托爾金，2024：203）。洞穴中有薩魯曼的寶庫、兵器庫、熔爐房等，用於打造薩魯曼的半獸人奴隸及其使用的武器，這些半獸人面目猙獰，滿口黑色獠牙，骯髒濕膩的臉上現出紅色眼睛，如夜間鬼魅。這種場景正如封建莊園中，依附農民（農奴）利用莊園自有的倉庫、耕畜和奴具在莊園土地內耕種勞作，土地的收益全部歸封建主所有。當莊園形成一定規模後，除去依附農民，還會有一定數量的手工業者，如木匠、鐵匠等。對於後期薩魯曼統治的艾森加德，半獸人軍隊會到城堡外肆意砍伐樹木、焚燒森林，將木材運回城堡內進行武器製造。可以說，托爾金正是通過艾森加德的空間構造映射英格蘭的封建莊園制，而艾森加德充滿恐怖與陰森的哥特式特徵，如黑暗壓抑的城堡環境、恐怖而充滿殺氣的半獸人形象，以及黑塔直聳入天、駭人的建築風格，則加重了作者對西歐封建莊園制度的批判。薩魯曼利用強權壓迫奴僕，對中土世界的自然環境造成巨大破壞，作者一定程度上通過對薩魯曼的「醜化」進一步抨擊封建領主制，他們將農奴視為己物，無情剝奪其自由。而隨著《魔戒》敘事的推進，艾森加德最終破敗的結局，也預示著西歐封建莊園制最終瓦解，人們走出歷史的桎梏，走向新的世界。托爾金通過艾森加德哥特式空間的描述，映射現實世界中落後的社會制度，引發讀者思考，使作者通過作品中的特定空間，與讀者和現實世界形成關聯。

幻想文學的獨特性在於它可以創造符合自己理想價值觀的第二世界，然後通過它探討現實問題（薑淑芹，2023：73）。托爾金將對世界大戰的現實記憶以構築哥特式空間的方式體現在《魔戒》「第二世界」的敘事中。龍迪勇（2015：33）曾提到，『作家們的創作心理仍是探討敘事空間問題的合理起點，因為這涉及到敘事中「事件」的來源問題』。雖然托爾金從未承認《魔戒》的創作與戰爭有直接的指向性，但對於親身經歷戰場、對戰爭有深刻體會的托爾金來說，將對戰爭的記憶融入《魔戒》敘事無可厚非。

1914 年英國對德國宣戰後，托爾金在完成學業的同時接受軍官培訓，在獲得學位後被任命為營部信號官，三周後被派往前線，抵達法國北部索姆河地區。索姆河戰役爆發，托爾金所在營投入戰鬥，他親身經歷多次肉搏戰，目睹戰友陣亡，染上戰壕熱後被送回英國。索姆河戰役是第一次世界大戰中規模最大的戰役，「戰役雙方先後投入兵力超過 150 個師……英軍損失 42 萬，法軍 20 萬，德軍 50 萬，聯軍只奪回了 240 平方公里的土地，沒有達到突破敵軍防線的目標」（吳於廑、齊世榮，2004：31）。這場戰爭給托爾金留下深刻印象，他將在戰壕中眼見場景稱為「動物性的恐怖」（Croft，2002：5），並稱「我的密友除了一人之外全部都離世了」（Croft，2002：5）。經歷大規模的炮火，索姆河地區的地貌也發生變化，彈坑使土地變得坑窪不平，農田、

草地等被炸毀,土壤翻起,樹木凋零,高速飛行的彈片使得樹木「肢體被撕裂、功能受損,而且常常導致死亡」(Wearn,*et al.*,2017:64)。土壤因化學物質殘留帶有毒性,寸草不生,「氯氣炮彈會使植物中的葉綠素褪色變白,直至萎蔫、死亡」(Wearn,*et al.*,2017:64)。而油污、化學藥劑、屍體等污染物流入河流,使得河水水質惡化,散發難聞氣味,造成水中生物死亡,對周遭環境產生影響。《魔戒》中魔多地區的貧瘠惡劣環境正是對索姆河環境惡化的映照,「魔多西側群山下麵的邊遠地區是塊瀕死大地……裏面潛藏著貼地生長的低矮灌木,粗糙的灰色草叢在石頭間掙扎,上面還爬滿了枯萎的苔蘚。到處都是扭曲纏繞的荊棘,有些仗著尖利的長刺,有些長著刀子一樣鋒利的鉤狀倒刺」(托爾金,2024:256)。魔多有大片濕陰的、由爛泥潭和水道交錯而成的「死亡沼澤」(Dead Marshes),「唯一的綠色是烏黑、濃膩的死水上漂浮著的鐵青色水草。枯死腐爛的野草、蘆葦時不時出現在霧中」(托爾金,2024:309),水底還有死人臉,頭髮上纏滿水草,全部腐爛,散發邪惡氣息。托爾金曾表示「『死亡沼澤』和『魔欄農』的創作靈感部分源於索姆河戰役後的法國北部地區」(Croft,2002:6)。可以說,魔多正是索姆河地區戰時環境的縮影。

雖然托爾金從未表示自己對魔戒大戰的敘事創作劍指納粹,但魔多地區的邪惡生靈,諸如黑暗君主索隆、戒靈、毒蜘蛛希洛布(Shelob)、半獸人大軍等,都是對戰爭中敵軍的哥特式想像,突出邪惡勢力的可怖與猙獰,傳遞出戰爭的恐怖氣氛。索隆對魔多的統治體現出極權政治形態,魔多的所有種族都失去自由,為索隆建造軍事武器,這些種族時刻受到「魔眼」的監視,逃跑者會遭受殘酷的精神折磨,並被扔入火山岩漿中,有些還會被改造成半獸人。為維持軍事獨裁統治,索隆建立軍隊,「沿著魔蓋的邊緣向南,到處都是營地,有些是帳篷,有些則是井然有序的小鎮」(托爾金,2024:258),這些軍隊也正是世界大戰中敵軍部隊的縮影。魔多地區的極權統治實際上是一種軍事化的工業生產活動,是對現實的映射。隨著工業化水準提高,人們對資源需求量劇增,這導致資本主義國家開展世界性的掠奪行為,資本主義演變為帝國主義,進而引發世界大戰,造成大量傷亡,城市被轟炸成廢墟,工廠、橋樑、鐵路等交通和生產設施大量被毀,經濟崩潰,社會體系一片混亂,世界人民遭到嚴重創傷,魔多地區這一空間場景則代表著這種創傷造成的結果——寸草不生、生靈塗炭,整個地區籠罩在黑暗和恐怖之中。當阿拉貢等「魔戒同盟」成員率領人類大軍與魔多軍隊誓死戰鬥,弗羅多在末日山成功摧毀魔戒時,一切黑暗都在瞬間瓦解:

「一望無際的濃密黑煙夾雜著搖曳的火光迅速升入天空,遠遠超過了黑門的塔樓,也遠遠超過了群山。大地在呻吟,在顫動。尖牙之塔先是搖晃,然後傾斜,最後倒塌;雄偉的防禦土牆化為廢墟;黑門也淪為了一堆垃圾。遠處傳來了擊鼓般的隆隆聲,時而依稀可辨,時而震耳欲聾,時而響徹雲霄。這是萬物毀滅的咆哮聲,在天地間久久回蕩。」(托爾金,2024:296)

索隆被徹底擊敗,中土世界終在第三紀元末時迎來新的曙光,而這勝利,也是托爾金內心對世界和平的願望,是讀者在看到魔多毀滅時的震撼。托爾金通過自身參戰經歷,創造出魔多地區這一代表邪惡勢力的哥特式空間,在描繪索姆河地區的同時,也彰顯出彼時軍事化極權政治猙獰的世界局面,這是對現實世界的深刻觀照,與讀者心中對於世界大戰的記憶相連接,引發共鳴。「他(托爾金)將世界歷史上這一關鍵事件(一戰)轉化成通俗易懂的神話,幫助我們理解世界是如何發生變化的,讓我們學會鼓足勇氣面對生活」(Croft,2002:20)。

以艾森加德和魔多地區為例可以看出,托爾金在《魔戒》中創造的哥特式空間,無論從超自然角色設置、建築風格、地區結構,抑或是自然景觀來說,都與現實世界有著密切聯繫。艾森加德是托爾金對封建莊園制的再現,而魔多地區更表現出他獨特而立體的世界大戰記憶。托爾金將現實世界與空間構建相互交融,以哥特式空間為載體,建立起作者自身、《魔戒》敘事文本與讀者的聯繫,不僅使故事內容更為立體,亦傳達出

《魔戒》對現實世界的價值與意義。

五、結語

　　西方奇幻文學經典《魔戒》採用的敘事類型十分豐富,其中哥特式的空間敘事風格獨具特色。在魔多地區的哥特式空間中,善與惡形成鮮明對立,空間場景宏大立體,其邪惡性與恐怖性令人產生恐懼心理,這一空間特徵進而強化主線角色的高尚品質,凸顯崇高美學。隨著敘事時間展開,艾森加德的空間特徵發生「橫向」改變,其哥特式空間特徵是時間延續的關鍵點、事件變化的重要轉捩點,預示黑暗魔君「回歸」,存亡之戰迫在眉睫,推動「魔戒之戰」敘事進程。此外,空間敘事亦將作者、讀者與故事情節、現實世界巧妙結合,作者將對現實中具有空間特徵的記憶納入哥特式空間的建構,在小說敘事之外形成對現實世界的映射與反思。由此,《魔戒》中的哥特式空間並非僅說明環境氛圍的恐怖、暗黑生靈的可憎,亦對情節的構築起到舉足輕重的作用,此種敘事方式正是作者對構建中土世界宏偉敘事主題的別具匠心,體現故事深刻內涵,引起讀者共鳴。

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Journey Narrative and Subject Construction in E. M. Forster's Italian Novels

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Abstract: The journey narrative in E. M. Forster's Italian novels has often been regarded as a form adopted by the author to reveal the issues of Englishness and therefore its indication of paradigm shift in travel has scarcely been considered. In Forster's time, mass tourism superseded the Grand Tour and rendered travel available to more people in Britain. However, it caused English people to be trapped in the modern travel model dominated by Baedeker and consequently the crisis and self-delusion of subjectivity appeared. Through depicting the transformation of Philip and Lucy from tourists depending on Baedeker to subjects engaged in interaction with surroundings, Forster not only reveals the importance of embodied experience for the construction of subjectivity, but also expresses his wish for English people to resist the negative impacts of modern society by revisiting the sensual and emotional experience Hellenism connotes.

Keywords: *Where Angels Fear to Tread*; *A Room with a View*; Baedeker; subject; Hellenism

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福斯特義大利小說中的旅行敘事與主體建構

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摘　要：E. M.福斯特義大利小說中的旅行敘事多被學界視為作者用以揭示英國性問題而採取的敘事手段，這導致它所暗示的英國旅行模式轉型鮮被提及。在福斯特所處的時代，大眾旅遊取代大旅行，更多人加入旅行隊伍，可是，這也同時使英國人陷入被旅遊指南所支配的現代旅行模式，主體危機和自欺問題凸顯。通過刻畫菲利普和露

西從依賴旅遊指南的遊客到參與和周遭環境互動的主體的轉變，福斯特揭示出具身體驗之於主體建構的重要性，表達了希望英國人重訪希臘精神中的感官與情感體驗內涵，以抵禦英國現代社會流弊的內心願景。

一、引言

《天使不敢涉足的地方》(*Where Angels Fear to Tread*，1905)(以下簡稱《天使》)和《看得見風景的房間》(*A Room with a View*，1908)(以下簡稱《房間》)是英國作家福斯特(E. M. Forster)早期創作的兩部作品，因其中包含相似的義大利旅行情節常常一起被稱為義大利小說。前者講述了英國青年菲利普(Philip Herriton)和姐姐哈麗雅特(Harriet Herriton)奉母親赫裡頓太太(Mrs. Herriton)之命意欲接回嫂子莉莉婭(Lilia Theobald)在義大利和吉諾(Gino Carella)所生之子，但孩子卻因被哈麗雅特偷偷抱走而撞上卡羅琳(Caroline Abbott)的馬車殞命的故事；後者則記錄了英國中產階級閨秀露西(Lucy Honeychurch)在義大利偶遇鐵路公司職員喬治(George Emerson)後起初選擇壓抑內心悸動但隨後決定解除與塞西爾(Cecil Vyse)婚約的心路歷程。

對於英國人來說，以義大利作為目的地的旅行有著特殊意義。早在18世紀，英國人就將前往歐陸旅行視作年輕紳士教育的最後一環，而義大利文化的參觀和學習是這場大旅行(the Grand Tour)的重要內容之一。不過，到了18世紀下葉，隨著越來越多人加入到歐陸旅行中來，大旅行開始逐漸發展為大眾旅遊(mass tourism)，它原本被賦予的精英文化屬性也漸次褪去，轉變為一場去個性化的集體流動[2]。在既往研究中，儘管有學者注意到了福斯特對大旅行與大眾旅遊對立屬性的關注，但卻將小說中的旅行視為「一種誘發因素和醞釀條件」，認為福斯特的探討重心實際上是「英國社會內部的階級、性別、性等身份問題」[3]。這導致小說中福斯特對於英國旅行模式轉型的焦慮長久被忽視。

事實上，儘管大旅行時代已經過去，但希臘精神(Hellenism)所指向的「對希臘歷史、文學和哲學的系統研究」在19世紀英國社會中仍然發揮著重要作用[4]。特別是在福斯特眼中，希臘精神儼然就是凸顯現代文明弊端的有力參照物[5]。因此，他小說中的人物往往在義大利之旅後發生很大轉變。比如，《天使》中的菲利普在返回英國路上堅定認為自己「不能在沙士頓生活了」[6]，因為他「不能生活在那個監牢裡」[7]；《房間》中的露西也在義大利得到了「她自己的心靈」，「帶著新眼光回來了」[8]。這些都反映出福斯特希望英國人能夠通過義大利之旅感受並領會希臘精神的願景。

不過，需要指出的是，福斯特所崇尚的希臘精神離不開「感官的、情感的體驗」，一旦與之分離，希臘精神就將退化為一種「乏味的，磨人的理智主義」[9]。而在福斯特看來，大眾旅遊顯然屬於後者。以上兩部小說中頻頻出現的貝德克(Baedeker)旅遊指南就是明證。旅遊指南是大眾旅遊熱潮的產物。為了幫助更多人實現旅行獨立，貝德克(Carl Baedeker)、默里(John Murray)和庫克(Thomas Cook)將各種旅遊細節進行整合：後者的旅行社著重解決遊客們的交通、住宿和貨幣兌換問題，前兩者則致力於通過他們的手冊使遊客的旅遊路線規劃盡善盡美。然而，由於「實現目標的方式最終是將他們的努力和願想通過越來越組織化的官僚式機制付諸實踐」，旅遊指南也成為「理性管理力量」的象徵物[10]，原本義大利旅行可能帶來的感官、情感體驗根本無從談起。

以此為出發點，本文試圖對《天使》和《房間》中福斯特的英國旅行模式轉型書寫進行進一步探究。隨著大眾旅遊取代大旅行，旅遊成為英國人風行一時的休閒方式。可是，這也同時使人們陷入被旅遊指南所支配的現代旅行模式以及由此帶來的主體危機和自欺。通過描畫菲利普和露西的主體救贖之路，福斯特試圖

呼籲人們重訪希臘精神，回歸感官與情感，從而達到反思技術理性、促進英國社會良性發展的現實訴求。

二、旅遊指南與主體危機

在福斯特的兩部義大利小說中，旅遊指南作為日常物品頻繁出現在人物的生活中。在《天使》中，旅遊指南在莉莉婭的遺物中赫然在列，菲利普「把他的手杖、短襪和旅行指南留在了博洛尼亞」[11]，哈麗雅特也在將要離開義大利時「用一張包裝紙把新的旅行手冊包了起來」[12]；而在《房間》中，露西在旅店「隨手拿起一本貝德克的《義大利北部旅行指南》」[13]，她的表姐夏綠蒂（Charlotte Bartlett）則在出遊時把「旅遊指南淋濕得軟乎乎的」[14]。這表明，隨著大眾旅遊的興起，旅遊指南已然成為英國人前往義大利旅行的必需品之一。

旅遊指南的流行與普及是和它的設計、內容是分不開的。旅遊指南的體積很小，很適合遊客手持或裝在口袋裡，為後者乘坐火車帶來了方便[15]。並且，旅遊指南相較于遊記等傳統旅遊文學更具有實用價值，以「生產權威、定期更新且具有標準封面和格式的文獻資料」著稱，行文由此具有客觀、去個體化的特點，遊客很容易捕捉到有效資訊，為他們實現在最短時間內花最少錢遊覽最多有價值的景點創造了可能[16]。《天使》中關於蒙特里亞諾（Monteriano）的旅遊指南簡介就淋漓盡致地反映出了這一點。它不僅介紹了此地的人口和歷史，還將城市裡的旅館、咖啡廳、劇院、照相館、郵局和電報大樓悉數列舉出來，不但標出它們的具體位置，而且細心對比同類消費場所的價格，最終給出最為合理的出行方式，包括時間、交通、遊覽地、遊覽路線和聘請導遊事宜，內容不可謂不豐富。

這也是為什麼旅遊指南能夠在英國遊客中獲得極高權威和話語權的原因。在《天使》中，菲利普『每次讀到「從城堡觀景（低額小費）日落時最美」時都會怦然心動[17]；而在《房間》中，露西則不僅因為「下定決心要在第二天痛痛快快地玩一番」，把旅遊指南上「佛羅倫斯歷史上最重要的日期都一一記住」[18]，還曾由於在聖克羅徹教堂丟失旅遊指南感到無法「尋找回家的路」，以至「心情沉重，十分委屈，甚至連這座教堂是由方濟各會修士還是多明我會修士建造的都記不起來了」[19]。這說明，旅遊指南已經深深融入到英國人的義大利旅行生活中：他們不只篤信旅遊指南所提供的觀光資訊，甚至將自己在義大利的人身安全完全託付給旅遊指南，以此來獲得安全感。旅遊指南『對英國遊客的去向，對他們認為「值得一看」的內容以及對他們如何看待這些東西的影響要超過其他一切』[20]。

然而，儘管從表面上看，旅遊指南通過為英國人謀劃「最佳」旅遊線路，「不僅使中產階級能夠負擔得起他的旅程」，而且讓他們「在短時間內看到最重要的東西」[21]，但恰如費吉斯（Orlando Figes）所指出的，旅遊指南卻也「引導遊客走上同樣的路線」，「讓國外旅行體驗變得標準化」[22]。事實上，旅遊指南歸根結底是工業大生產的產物，這使它自誕生之日起就註定逃脫不了資本和技術理性的控制。它的迎合市場的簡潔、實用、客觀的設計理念本身就是例證。而在此理念指導下，旅遊指南也演變為文化工業生產的一環，人們所接收到的也必定是技術仲介後的同質化資訊。因此，可以看到的是，在《房間》中，當人們發現露西和夏綠蒂並不熟悉佛羅倫斯時，「滔滔不絕的大量資訊確實向她們湧來。人們告訴她們應該觀光什麼，什麼時候去觀光，如何使電車停下來，如何打發乞丐，買一個精製羔羊紙的吸墨水台要花多少錢，她們對這個地方將會如何著迷等等」[23]。旅遊指南不僅通過發行大量手冊「讓個體經驗轉化為同步化的集體經驗，從而創造出缺乏獨特性的公眾」[24]，旅行體驗逐步趨同，還使人們將旅遊指南的技術治理思維加以內化，對生活中有價值的資訊進行組織化處理，儼然一本本行走的旅遊指南，感到「指導一位新來的人給人樂趣」[25]。

也就是說，在旅遊指南所主導的現代旅行範式下，英國人實際上已經不知不覺中讓渡了自己的主體地位，希臘精神傳統逐漸式微。如果說大旅行時期人們還將義大利之行看作感受希臘精神的不二選擇，那麼到大眾旅遊階段，由於「最基礎的經驗不再是具體的經驗、整體意義上的社會實踐，而是由技術組織起來的

受管控的實踐」[26],人們「日益處在理性的、標準化管理的控制之下」[27],這導致希臘精神自身豐富的內涵被掏空,義大利各個城市也成為旅遊指南上一個個乾巴巴的詞條下描述性的資訊,毫無魅力可言,因為旅遊指南的「工作原則是『只對每個地方應該看到的東西進行實事求是的描述』,而不是因為『描述所有可能看到的東西』而導致讀者暈頭轉向」[28]。

三、反觀光與主體自欺

值得注意的是,當旅遊指南在觀光浪潮中大行其道之時,一種獨特的「反觀光」(anti-tourism)現象也在英國人思想生活中悄然出現。不過,吊詭的是,在很多人的現實生活中,「反觀光」卻並沒有真正指向對技術理性的反思,而是演化為分隔普通旅遊大眾與文化精英的有效手段。這表現為當時旅行者(traveler)與觀光者(tourist)之間的區分以及社會上瀰漫著的對後者的抵觸情緒。對於這一時期前往歐陸旅行的英國人來說,「旅行者」不同於「觀光者」:「旅行者是積極的,他竭力地尋找人、冒險和體驗;觀光者則是被動的,他希望有趣的事發生在自己身上」[29]。因此,「旅行者」是值得尊敬的,而後者則截然相反,這使得很多英國人經常將自己定義為「反觀光者」(anti-touristic beings)[30]。

在福斯特的兩部義大利小說中,伊格(Cuthbert Eager)先生和拉維希(Eleanor Lavish)小姐堪稱「反觀光者」的突出代表。他們的共同點就是反對使用旅遊指南。在他們看來,手持旅遊指南遊覽是典型的「觀光者」行為。「觀光者」只有脫離旅遊指南的束縛,才能真正地轉變為「旅行者」,邂逅真實的義大利。故此,當拉維希小姐帶領露西前往聖克羅徹教堂時,她故意拿走露西的旅遊指南,並告訴露西「我們走到哪裡是哪裡」[31];而伊格先生也在露西說出「我到這裡來只是旅遊」後表達了對旅遊指南的不滿,認為遊客「像一件商品被人傳來傳去,從威尼斯傳到佛羅倫斯,從佛羅倫斯傳到羅馬,像牲口一樣擠在膳宿公寓或旅館裡,除了旅遊指南上說的,此外情況一無所知」[32]。

然而,伊格先生和拉維希小姐的「反觀光」態度並沒有使他們成為希臘精神的傳承者,相反,他們與「觀光者」一樣,暴露出「旅行經歷的非反觀光性和消費性以及文化理解的表面性和狹隘性」[33]。從本質上說,對「觀光」(mere tourism)的反對是對技術理性的反撥[34]。可是,在義大利,伊格先生和拉維希小姐之中一個希望解決諸如畫家阿萊西奧・巴爾多維內蒂「究竟站在哪裡」取景[35]這樣的問題,另一個則「喜歡擺脫體面給人的種種束縛」[36]。這表明,他們實質上都是將義大利視作獵奇的對象,意圖通過義大利之旅滿足自身對義大利的探索欲望。因此,諷刺的是,儘管伊格先生和拉維希小姐極力反對「觀光」,但他們還是顯露出典型的觀光行為:前有伊格先生引導露西和夏綠蒂「選購了許多難看的禮物與紀念品」[37],後有拉維希小姐在郊遊時像一位駕輕就熟的「觀光者」一樣「拿出兩塊方的防水膠布,那是用來保護遊客的身體不致受到草地的潮氣與大理石臺階的寒氣的侵襲的」[38]。

從這個層面上看,可以說,伊格先生和拉維希小姐只是另一種意義上的「觀光者」。他們之所以表現出「反觀光」,只是因為他們害怕被歸入「遊客」。「遊客焦慮」(tourist angst)最先由英國記者布裡恩(Alan Brien)提出,意指「一種令人痛苦的猜疑:終究……你仍然像其他觀光者一樣是個遊客」[39]。伊格先生和拉維希小姐的行為就體現出了「遊客焦慮」的症候性特徵。在他們看來,對義大利瞭解得越多,就越能凸顯自己的與眾不同。相反,承認自己是遊客就意味著和淺薄的旅遊大眾一樣人云亦云,是有失格調、自降身份的不齒行為。這種心理與其說是「反觀光」的表現,不如說是虛榮心作祟。在伊格先生和拉維希小姐眼中,「反觀光」是他們標榜優越的有力手段。他們實際上並沒有真正理解「反觀光」所蘊含的反技術理性內涵。這使得他們自封的「反觀光者」頭銜根本就名不副實,他們製造的「旅行者」與「觀光者」之間的區隔也只不過是自欺欺人的把戲,非但改變不了他們的「觀光者」身份,反而阻礙了他們對「反觀光」真意的探索。

就此來看,《天使》中菲利普的「反觀光」言論與伊格先生和拉維希小姐的論調如出一轍。像拉維希小姐評價喬治及其父親「像兩頭母牛,走在我這義大利土地上」,隨後還不忘誇耀自己對義大利的熟悉,說道「巴不得在多佛設立一個考場,凡是不及格的遊客都給我打回票」[40]一樣,菲利普以「反觀光者」自居,認為「義大利只在盛夏才呈現其真實面貌,那時遊客都已離去,它的靈魂在直射的陽光下蘇醒過來」[41],並為此「滔滔不絕地向莉莉婭灌輸囑咐和忠告」,提醒莉莉婭「只有另闢蹊徑,才能真正瞭解那個國家」[42]。可是,當菲利普得知莉莉婭即將嫁給一個義大利人時,他和母親赫裡頓太太一樣認為這是對他們的侮辱,並決定「如果她一意孤行,我們就跟她徹底斷絕關係」[43]。如果說菲利普早期的說辭是對自己「觀光者」身份的掩飾的話,那麼他這裡的言行矛盾則將他的「觀光者」身份本質暴露無遺。他口口聲聲宣稱反對遊客式的「以為義大利只是一個古玩和藝術的博物館」,支持「去愛和理解義大利人」[44],可是,一旦要求他在現實生活中與義大利人接觸,他卻又極不情願。這使得他的「反觀光」言辭只能淪為一句句空洞的口號,因為他只是執著于擺脫遊客身份,卻從未想過真正進入義大利人的生活。

四、具身體驗與主體重建

如果伊格先生和拉維希小姐並不是希臘精神理想的繼承者,那麼,在福斯特看來,怎樣才能真正走進義大利人的世界,接受希臘精神所帶來的靈魂滌蕩呢?要回答這個問題,勢必就要回到福斯特所強調的希臘精神的本意——「感官的、情感的體驗」之上。事實上,「通過無法壓制的人的身體展現外國文化的真實性是典型的福斯特式轉喻:在福斯特的作品中,身體無處不在宣示自身以及它們物質性的存在,以對抗觀光旅遊中常見的虛假的精神化、浪漫化體驗」[45]。這尤其表現為福斯特對「人物對環境物質性的身體反應」的關注[46]。雖然旅遊指南「操縱著人們的行動和對地方的身體反應」[47],但是,通過將旅行者置於「感官生活」之中,福斯特讓他們得以暫時從英國「官方教育、旅遊指南、英國女伴」的規訓中抽離,體驗到了「情感的流動」[48]。正是這幫助他們重新建立起主體身份,感受到了真正的希臘精神。

《天使》中的菲利普和《房間》中的露西就是這種具身化體驗的受益者。就菲利普而言,他的轉變得益於一次他在義大利劇院的經歷。劇院之行是菲利普臨時起意的結果。在那裡,他感受到了和英國劇院完全不同的氣氛:「親朋好友隔著整個觀眾席打招呼。樂池裡的人朝合唱隊裡的兒子或兄弟大呼小叫,告訴他們唱得有多棒」[49]。這種快樂的氛圍極具感染力,不僅使菲利普感到「激動、疲勞和快樂全都襲上他的大腦」[50],還讓他「忘記了他的任務,忘記了自己是誰。他甚至也不是一個熱情的遊客了,他始終就沒有離開過這個地方,這裡就是他的家」[51]。正如達卡克(Nour Dakkak)所指出的,在《天使》和《房間》中,旅行體驗被複雜的物質互動深深塑造,「旅行者在日常呈現中體驗到的物質性的、多感官的關係被展現為他們與不熟悉的物質環境的個人的、獨立的互動,這使得他們的動覺體驗發生改變並可能帶來愉悅或消極的反應」[52]。菲利普的改變也來源於此。一直以來,菲利普愛慕的都是旅遊指南上的義大利[53]。他傾向於以一種「浪漫的如畫般的態度而不是在尋常的現代環境下」看待義大利人[54]。可是,置身於當地劇院的熱烈氣氛之中,菲利普卻在演員與觀眾的互動中感受到了旅遊指南所不能提供的真實性。人們在這裡「說話、大笑、鼓掌、歡呼,為美的存在而喜不自禁」[55],無所禁忌地表達著自己的情緒和感受。這種互動也帶給菲利普前所未有的感官刺激,並轉變為他與周圍環境的情感互動,最終促使菲利普在與吉諾不期而遇時,「他的兩隻手被親熱地抓住了」,他和吉諾「並排站在前面,互相恭維,吉諾充當東道主,殷勤備至,卻是親切的、令人愉快的」[56]。

與菲利普一樣,露西的主體重建也歸功於她與周圍環境的具身化互動。由於在聖克羅徹被拉維希小姐拿走旅遊指南,露西不得不獨自遊覽教堂,可是,出乎意料的是,在這裡,「義大利的蠱惑魅力使她著魔,於是她沒有去請教別人,竟然開始感到逍遙自在」,並「終於弄懂了那些義大利文告示」[57]。露西之所以會發生這

樣的變化，是因為失去旅遊指南的她不再執著於探究聖克羅徹教堂的文化歷史，而是完全暴露在佛羅倫斯的社會文化與物質肌理之中，這使她真正關心起她周圍的環境，從而獲得了社會和身體雙重意義上的解放以及與佛羅倫斯直接的、具身化的互動[58]。隨後露西與大家一起外出郊遊也是類似的情境：她沒有攜帶旅遊指南，並且脫離了夏綠蒂和拉維希小姐的陪伴，一起和車夫去找畢比（Arthur Beebe）牧師和伊格先生。她又一次感覺「和這位普通人在一起，世界是美好的，也是直接相通的。她第一次感到春天的感染力」，「為能從枯燥沉悶中解脫出來而高興。每一小步，每一條嫩枝，對她來說都不是沒有意義的」[59]。

可以說，菲利普和露西的經歷都不在旅遊指南計畫之內，但他們卻意外收穫了前所未有的快樂。這都源自于他們重新獲得了讓渡出的主體權威以及對自己身體體驗的掌控。「主體是通過身體而存在的主體，身體是主體與世界相互聯繫的紐帶」[60]。「當遊客可以自主規劃自己的旅程並對自己的體驗有更多控制力時，他們受周圍環境影響的可能性就會增大，他們所獲得的愉悅也是如此」[61]。因此，當菲利普和露西開始擺脫掉旅遊指南的桎梏，可以自主地選擇自己想要拜訪的地方以及和誰在一起的時候，他們才真正擁有了自己的身體，並且實實在在地感覺自己與世界的連接。正如露西所覺察到的，她「對她的環境有一種即時的、自發的體驗」，並「通過這種開放的關係感受到季節的影響和它的美，因為她和她的身體是與它們直接連接在一起的」[62]。而也正是在這個意義上，菲利普和露西才最終重拾了遺忘已久的主體身份，並由此由衷地感受到義大利的精神魅力。

五、結語

正如布紮德所指出的，福斯特始終懷揣「連接過去與現在」的理想，試圖「描繪一種經驗的連續狀態」[63]。因此，不管是《天使》中的菲利普還是《房間》裡的露西，他們都表現出了對希臘精神的渴望。雖然他們一度陷入被旅遊指南所支配的現代旅行模式，但在與義大利環境的具身互動中，他們最終找回初心，重建主體。通過刻畫菲利普和露西的遭遇與轉變，福斯特的義大利小說不僅呈現出英國旅行模式轉型過程中人們的主體危機和自欺，折射出現代科技文明統治下人的生存境況，更體現出福斯特對英國人心靈生活的關注，傳達出他希望在英國現代社會延續希臘精神傳統，敦促人們回歸感官、回歸情感的樸素追求。

注釋

①④⑨㊽ Ardis，A.（2007）．Hellenism and the lure of Italy．In D. Bradshaw（Ed）．*The Cambridge companion to E. M. Forster*，Cambridge：Cambridge University Press，62-68．

②⑯㉚ Buzard，J.（2002）．The Grand Tour and after（1660—1840）．In P. Hulme & T. Youngs（Eds）．*The Cambridge companion to travel writing*，Cambridge：Cambridge University Press，38-49．

③㉝ 許婭：《教育旅行、反觀光思想和英國性——〈看得見風景的房間〉中的旅行敘事和旅行隱喻》，《天津外國語大學學報》，2014 年第 2 期，頁 73，71。

⑤ Klingopoulos，G. D.（1958）．E. M. Forster's sense of history and Cavafy．*Essays in Criticism*，8(2)，160-161．

⑥⑦⑪⑫⑰㊶㊷㊸㊹㊿㊼㊽㊾ 福斯特著，馬愛農譯：《天使不敢涉足的地方》，上海：上海譯文出版社 2016 年版，頁 162，164，87，143，14，15，25，85，1，16，1，109，111，110，110，111-112。

⑧⑬⑭⑱⑲㉓㉕㉛㉜㊱㊲㊳㊴㊼㊾ 福斯特著，巫漪雲譯：《看得見風景的房間》，上海：上海譯文出版社 2016 年版，頁 8-141。

⑩⑮㉗㉞㊺㊾㊿ Buzard，J.（1993）．*The beaten track：European tourism，literature，and the ways to culture*，1800—1918．New York：Oxford University Press，47-330．

⑳㉑㉒㉘ 費吉斯(著)，王晨(譯)：《創造歐洲人：現代性的誕生和與歐洲文化的形塑》，北京：北京日報出版社 2023 年版，頁

255-257。

㉔ 王大橋,馮樂群:《個體經驗的集體化:技術化感知及其美學批判》,《山東社會科學》,2024 年第 2 期,頁 70。

㉖ 瑪律庫塞(著),黃曉偉,高海青(譯):《瑪律庫塞文集・第五卷哲學・精神分析與解放》,北京:人民出版社 2019 年版,頁 187。

㉙ Boorstin, D. J. (1992). *The image*: *A guide to pseudo-events in America*. New York: Vintage, 85.

㊴ Fussell, P. (1980). *Abroad*: *British literary travelling between the wars*. New York: Oxford University Press, 49.

㊻㊼㊵㊺㊲㊳ Dakkak, N. (2019). A smell! A true Florentine smell! Tourists' embodied experiences in E. M. Forster's fiction. In J. Carruthers, N. Dakkak & R. Spence (Eds). *Anticipatory materialisms in literature and philosophy*, 1790—1930, Cham: Palgrave Macmillan, 206-216.

㊼ Stone, W. (1966). *The cave and mountain*: *A study of E. M. Forster*. Redwood City: Stanford University Press, 165.

㉍ 孫在國:《論梅羅-龐蒂的「身體-主體」理論》,《復旦學報(社會科學版)》,1991 年第 4 期,頁 55。

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④ Buzard, J. (2002). The Grand Tour and after (1660—1840). In P. Hulme & T. Youngs (Eds). *The Cambridge Companion to Travel Writing*, Cambridge: Cambridge University Press, 37-52.

⑤ Dakkak, N. (2019). A smell! A true florentine smell! Tourists' embodied experiences in E. M. Forster's fiction. In J. Carruthers, N. Dakkak & R. Spence (Eds). *Anticipatory Materialisms in Literature and Philosophy*, 1790—1930, Cham: Palgrave Macmillan, 205-218.

⑥ Fussell, P. (1980). *Abroad*: *British Literary Travelling Between the Wars*. New York: Oxford University Press.

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⑧ Stone, W. (1966). *The Cave and Mountain*: *A Study of E. M. Forster*. Redwood City: Stanford University Press.

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Reception of Tongcheng School Prose in Kim Taeg-young's Classical Chinese Essays Under the Context of Modern Sino-Korean Cultural Exchange

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Abstract: The most direct impetus for Kim Taeg-young, a late Joseon Dynasty literatus, to embrace Tongcheng School prose stemmed from his shared historical circumstances with mid-to-late Qing intellectuals like Zeng Guofan, Yu Yue, Zhang Jian, and Yan Fu − confronting domestic turmoil and imperialist aggression during his exile in China. These experiences led his literary works to echo their urgent nationalist discourse of salvation and survival. Fundamentally, Kim's reception of Tongcheng prose was rooted in his Cheng-Zhu Neo-Confucian orientation toward practical statecraft. Ideologically, this reception manifested through three key transformations: first, a political evolution from upholding feudal order to supporting republicanism; second, a preservation of Confucian moral pedagogy while discarding obsolete conventions; and third, a reorientation from traditional statecraft philosophy toward concrete social welfare and material progress.

Keywords: Kim Taeg-young; Classical Chinese Prose; Tongcheng School; Reception

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中韓近代文化交流語境下
金澤榮漢文散文對桐城派散文的接受

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摘　要：朝鮮李朝末期文人金澤榮接受桐城派散文的最直接緣由，即他流亡中國前後與清朝中後期曾國藩、俞樾、張謇、嚴複等桐城諸子身處相似的內憂外患及帝國主義強勢入侵的歷史境遇，其散文創作皆發出了救亡圖存的時代強音。以程朱理學為宗的基礎上注重經世致用的學術傾向是金澤榮接受桐城派散文的內在因由。在思想內容上，金澤榮散文對桐城派散文的接受表現為：由強調程朱理學維護封建統治的政治功用轉向支持共和；既遵循程朱理學長於施展道德教化的傳統，又破除陳見；由發掘程朱理學的經世致用轉向利用厚生。

關鍵詞：金澤榮；漢文散文；桐城派；接受

一、引言

金澤榮（1850—1927）、薑瑋（1820—1884）、李建昌（1852—1898）、黃玹（1855—1910）被譽為朝鮮朝末期文章四大家，其詩文創作及文學思想在中韓文壇都頗具影響力。

目前，中韓學界重視金澤榮與江蘇南通文人群體的交往及他為近代中韓文化交流做出的卓越貢獻，其漢詩創作與文學理論的研究較多，對其漢文散文進行文本細讀研究的成果極少。

在《歸有光與金澤榮的文學思想比較》一文中，文基連用影響研究的方法對金澤榮與歸有光的古文理論及創作特色進行了匯通比較，認為前者在文道與文質觀、師古與師法自然、文章的現實性、將壽序納入文稿等方面對後者既有繼承，又有發展。在其另一篇《朝鮮古文家金澤榮與歸有光的比較研究》中，文基連從「文道與文質的關係」「宗秦漢與宗唐宋」兩方面探討了金澤榮與歸有光古文理論的淵源關係。蔡德龍《儒者·文人·遺民——金澤榮文章學的三個面相》解析了金澤榮文章學的三個面相：作為儒者、理學家，建構「孔子文章學」，宣導文道合一，糾偏朝鮮理學家較為普遍的重道輕文的觀念；作為文人，指出中韓兩國古文創作處於「偽」歷史時期，具有「救一代文弊」的強烈使命感；作為遺民，金澤榮流亡中國後，積極整理韓國文人別集，編選《麗韓十家文鈔》，既想保存故國文獻，也有與中國文壇爭勝的微旨。金澤榮的文章深刻體現出中韓兩國近代文化的交融關係。[①]可見，中韓學界對金澤榮古文理論的研究零散且視角不夠開闊，只是將其某些理論與中國歸有光的某些理論進行比較，而對其散文創作進行文本細讀的研究成果幾乎沒有。

仔細考究金澤榮散文的師承淵源，除了他自稱的「於文好太史公、韓昌黎、蘇東坡，下至歸震川」[②]外，桐城派也與其有較深厚的淵源，不僅二者的古文觀一脈相承，在創作上金澤榮也深受桐城派的影響。本文擬就金澤榮接受桐城派散文的歷史語境、內在因由及其在古文內容與藝術形式上如何受到桐城派影響並作出了哪些超越進行探討。

二、金澤榮接受桐城派散文的歷史語境

　　桐城派作為有清一朝最大的古文流派,歷時二百餘年,不僅人數眾多,在地域傳播上甚至擴展至海外。學界一般將桐城派劃分為三個階段,早期以桐城三祖方苞、劉大櫆、姚鼐為代表,中期以順應時勢對桐城文風進行革新的梅曾亮、方東樹、曾國藩及曾門四弟子吳汝綸、張裕釗、薛福成、黎庶昌為代表,後期則以馬其昶、林紓、嚴複等為代表。金澤榮在《雜言九》一文中,對桐城派中興主將曾國藩散文極為推崇:「曾文正之文,能醇雅,能豪健,氣味在韓曾之間。近歲有人以三家文配之,號為「四大家」,然皆非曾敵也」③。此外,他與後期桐城派張謇、嚴複、俞樾等人交好,特別是與張謇結為莫逆之交。金澤榮之所以能迅速地受到桐城派散文的濡染,首先主要得益於張謇所結交的龐大的桐城派群體。檢索莊安正先生所著《張謇先生年譜》中與張謇同時代並與之有交往或聯繫的中外人物,除了張謇的兩位桐城派恩師孫雲錦、張裕釗,其同門範當世、朱銘盤、馬其昶、吳汝綸、薛福成、王定安、許振褘、李鴻章、嚴複、張之洞、陳寶琛等桐城派重要人物皆在張謇的交際圈內。這無疑為倚靠張謇的鼎力相助得以在南通安定並供職於翰墨林編譯印書局的金澤榮提供了以詩文會友的便利。1905 年,朝鮮亡國後,曾任朝鮮李朝王廷弘文館纂輯所正三品通政大夫金澤榮流亡中國,在張謇的鼎力幫助下,金澤榮寓居南通,任翰墨林書局編校,長達 22 年,直到 1927 年辭世。金澤榮在南通出版了 30 餘部著作,「案牘之餘,金氏廣泛結交中國文友,建立了深厚的友誼。這些人中有被胡適列舉應該作傳記的中國文化名人俞樾、張謇、嚴複、梁啟超,屠寄、鄭孝胥等。他們意氣相投,詩文酬唱,書信往返,雅集宴飲,在中外文化交流史上寫下了值得紀念的篇章。」④其中,嚴複便是與金澤榮在編譯局共事的嚴複的門生侯毅幫忙引薦並與之結交。

　　而金澤榮流亡中國前後的朝鮮局勢與中後期桐城諸子身處相似的歷史語境則是金澤榮接受桐城派散文的最直接緣由。朝鮮自 19 世紀 80 年代以來經歷了壬午兵亂、甲申政變、世紀末的大饑荒,1910 年,日本吞併朝鮮。對於金澤榮本人來說,1905 年是他人生的重大轉捩點。這一年,日本侵略朝鮮並脅迫朝鮮政府簽字以攫取朝鮮外交、海關等國家主權,他深知亡國已成既定事實,不願做亡國奴的金澤榮憤而辭官,攜妻女到中國。而從 1840 年鴉片戰爭至 1900 年八國聯軍侵華戰爭的這 60 年間,中國逐步淪為半殖民地半封建社會。面對內憂外患、國貧民弱及帝國主義列強的強勢入侵的生存境遇,金澤榮與中後期桐城諸子產生強烈的思想共鳴,既要救亡圖存、奮發圖強,又要捍衛和弘揚本民族文化。不管是曾國藩在姚鼐「義理、考證、文章」⑤的基礎上加進了「經濟」要素、嚴複攝取西方進化論以強國、俞樾的「中體西用」,還是張謇的實業救國、金澤榮的以文章報國,都順應了救亡圖存、維繫和弘揚本民族文化生命力的時代要求。

三、金澤榮接受桐城派散文的內在因由

　　在以程朱理學為宗的基礎上注重經世致用的學術傾向是金澤榮接受桐城派散文的內在因由。以桐城派而論,早期桐城三祖之一的劉大櫆最早強調古文的「經濟」要素,他在《論文偶記》中說:「義理、書卷、經濟者,行文之實,若行文自另是一事」⑥。他將「經濟」視為文章的題材內容,反映出他強調文章的經世致用之意。其後,姚鼐的弟子姚瑩、劉開、方東樹、管同、梅曾亮等發揚了桐城派的經世傳統,在嘉道年間內憂外患的時局下,與當時一大批提倡經世致用、呼籲社會變革的經世派士大夫桴鼓相應,但他們所謂的「經濟」側重於修養心性的躬行實踐,而未能充分發揮其經世致用之本義。而太平天國後遭受沉重打擊的滿清王朝局勢將曾國藩推到了桐城派的前臺,他不再囿於程朱的義理之說,而是順應時勢地謀求救世救時的「經濟」之道,強調古文經世濟民的現實功用,也即他以務實求變的精神糾正了晚清以前理學各派偏重於道德內涵的傾

向，給日趨迂腐僵化的程朱理學注入了一絲活力。而金澤榮極為仰慕且到蘇州拜謁的古文大家俞樾（1821—1907），其雖訓詁主漢學、義理主宋學，但最終目的乃通經致用，以道德教化挽救國家民族於危亡。而幾乎與近代中國的歷史脈搏同呼吸、共命運的張謇，其一生經歷了變法維新、預備立憲、民主共和……，雖從小接受儒家經籍教育，古文師承桐城，但他不是空談性理的迂儒，也不囿於桐城派的理論主張和審美傾向，而是一位求真務實、關心民瘼，致力於經世致用的儒者。張謇不僅積極地興實業、辦教育以救國救民，也能以國家民族利益為重，擁護辛亥革命、擁護共和，順應時局之變。此外，與金澤榮結下深厚友誼的嚴復（1854—1921），一生中前後兩期經歷了由崇尚西學到回歸儒家傳統的轉變，但這兩者並行不悖，皆以經世致用、強國富民為旨歸。

而在流亡中國後定居南通22年的金澤榮或與早中期的桐城巨擘們面臨相似的歷史境遇，或與重要的桐城派代表幾乎處在同一時代。特別是與俞樾、張謇、嚴復等著名文人情趣相投、詩文唱酬，促成與深化了他以程朱理學為宗又重經世致用的學術傾向。且他與曾國藩、張謇、嚴復一樣以包容的心態提倡以諸學並存取代理學獨尊，體現出其經世致用之學的務實與通變精神。與曾國藩打破門戶之見一樣，金澤榮在恪守以程朱理學思想內核匯通韓愈的孔孟之道這一基本前提下，吸納王陽明心學理論、實學思想、佛教思想乃至西方基督教思想元素，開闢了以「心」為「體道」的核心樞紐，以性理學思想為內蘊又包容了韓愈式的經世致用思想的文道理論。這與一生既堅守程朱理學與維護三綱五常，又兼收百家之學與講究經世致用的曾國藩在學術導向、文論旨趣上驚人相似。俞樾除了賞識與獎掖金澤榮詩文外，他對金澤榮最大的幫助則是勸告其到上海投靠張謇，這無疑拉開了金、張二人長達21年的生死與共的友情的序幕。摯友張謇對金澤榮的積極影響則在於他以實業、教育救國的實踐感染着經歷了朝鮮亡國欲以文章報國的金澤榮。雖然金澤榮自小喜歡朝鮮實學派作家樸趾源的文章，深受其實學精神濡染，但他卻是在南通翰墨林書局做事時提出文章報國的思想：「愧無身手關時運，只有文章報國恩」（《寄黃梅泉》）[7]。而他踐行文章報國主要依託於他所任職的南通翰墨林書局，而該局是張謇以教育和實業救國的重要組成部分。金澤榮十分欽佩張謇以實業強國、以教育救國的思想和踐行，他在1905年寓居中國南通後寫下的反思與批判朝鮮王朝治國方略的《韓史綮》中，曾大膽質疑程朱理學的治世功用。他認為朝鮮王朝衰敗的原因之一在於學術迂，而學術迂即只重理學之士而不知勸農興商，批判理學之士為「排斥不容，高談大言，虛偽成風者」[8]，而極力呼籲「仍姑謝遣理學之士勸農興商，裕其財源。然後亟養兵士救其積弱，而尊待武人高於文臣。如是者一二十年，則庶乎其可救」[9]。金澤榮為振興民族經濟提出的勸農興商無疑是對朝鮮李朝實行重農抑商政策的糾偏。此外，金澤榮近代民主主義思想的形成更是受到了張謇的影響，作為20世紀初中國政治運動中立憲派的重要人物，張謇接受了西方資產階級民主思想。在張謇的巨大影響下，金澤榮熱情洋溢地寫下《感中國義兵事五首》歡呼辛亥革命取得偉大勝利，又寫了《呈南通縣官請入籍書》申請加入中國國籍，無不體現他對中華民國的擁護和對共和政府的支持。質疑程朱理學和成為中國新民無不體現了金澤榮「已從一名舊儒學的忠誠衛道士變成了一名已接受了其他各種社會思想，不再死抱着經世理學不放的思想解放者」[10]。而促成這一轉變的原因，除了其自身不斷求索和愛國救民的思想，「從外部因素而言，中國辛亥革命的勝利，遠比朝鮮李氏王朝強大的滿清王朝的一朝崩潰所帶來的劇烈震撼，由於中國資本主義在20世紀初的急劇發展所導致的中國城市社會的變遷，以及他的摯友張謇從一名封建衛道士向一名新興資產階級代表人物成功轉變的清晰可知的示範作用，都是對金澤榮有着巨大的影響力的」[11]。金澤榮因編史需要而得以與之結交的近代著名啟蒙思想家、翻譯家嚴復對其也產生了重要影響。嚴復翻譯《天演論》的主要目的在於以進化論原理喚起國民對日本鯨吞中國的野心的警醒，中朝兩國被外敵侵略的共同的歷史命運很容易引起金澤榮的強烈共鳴。他熱情地寫了三首詩贈給嚴復以表達其讚賞與敬佩之情，而他本人隨着近代中國歷史的演進而做出的與時俱進的思想抉擇則用行動詮釋了嚴復的進化論思想。金澤榮不僅將嚴復引為人生知己「一代真才惟汝在，古來知己與神通」

(《寄嚴幾道(其一)》)[12]，且稱讚其「絕學直隨時變化，文章斷說氣波瀾」(《寄嚴幾道(其二)》)[13]。他認為嚴複的文章順應時勢，是療救現實弊病的醒世良藥。

綜上，金澤榮與桐城諸子為同道中人，他們將程朱理學的精髓視為開啟民智、重塑國民精神和維繫民族文化的主體，且能熔鑄諸家學說以期經世致用、救亡圖強，正因為這種共通的學術傾向使他們在愛國救國思想上也達到了高度的契合。

四、金澤榮散文與桐城派散文在思想內容上的承繼與創變

由於金澤榮與桐城派面對中朝救亡圖存的相似的歷史境遇及共通的學術思想傾向，使其在文章道統、文統上頗具一致性，而在這種近似的道統、文統觀照下比較二者古文思想內容上的關聯與承繼更具宏觀性。究其實質，金澤榮與桐城諸子的文道觀既強調程朱理學付諸道德教化的踐履又挖掘傳統儒學內部經世致用思想，修身治內與理國治外兼重。這種義理、經濟合一的新型文道觀，糾正了理學末流的空疏弊病，增強了程朱理學的應變性和務實精神。而在這種本末兼備的文道觀的導引下，以斯文斯道自任的氣魄創作的古文無疑是對處於衰落中的傳統儒學的一種補救和發展。

（一）由強調程朱理學維護封建統治的政治功用轉向支持共和

金澤榮與桐城諸子主張文道合一論，而所謂「道」則以程朱理學為儒學正統，這與朝鮮李朝、大清王朝將程朱理學作為實行與維護封建政治統治的官方意識形態是一致的。程朱理學之所以能成為李朝、清朝的官方哲學，因為其適應了封建王朝統治者的政治需要，不僅有助於鞏固王權，也有助於通過確立崇儒重道的基本國策、建立各種政治文教制度及為統治者提供治國的思想謀略而強化其專制統治。

身處清王朝由乾嘉盛世轉向內憂外患的動盪年代的中興名臣曾國藩，由於以他為首的名臣將領們的力挽狂瀾，出現了同治中興的局面。與之相呼應，作為桐城派中興主將，他與桐城先賢一樣認為發揮義理乃儒道中最大者，他上承孔孟，非常強調文以載道的功利作用，試圖以古文捍衛孔孟之道，進而服務於政治。除了重視載道，曾國藩還強調衛道與立言、立功、立德相結合，其弟子黎庶昌在《續古文辭類纂自序》中稱讚乃師能「擴姚氏而大之，並功德言為一塗，挈覽眾長，轥歸掩方，跨越百氏，將遂席兩漢而還之三代……」[14]，可見，身為政治家的曾國藩特別強調文學的社會政治功用。俞樾與桐城前輩曾國藩結下深厚情義，二人惺惺相惜，前者仰慕其文治武功，後者則稱賞其卓越的經學成就。俞樾對儒家經典的訓詁考證也透露出鮮明的政治功利色彩，如他將孔子看做立志改革的政治家，認為：「孔子生衰周，不得位，乃托魯史成《春秋》，立素王之法，垂示後世。」[15]未轉變為立憲支持者以前的張謇「當民族面臨危機之時，他憑「匹夫有責」的良知投身愛國的洪流……為了改良國家政治，他「鼓新氣拔舊俗保種類明聖言」，不惜「燃燭累千言，滴滴銅人淚' 地向清廷苦諫。……但也正是這種「治國平天下始於正心誠意」的心理導致了他未能衝破與封建君主、國家的情感認同並與之決裂。傳統的宗法觀念使他較注重「臣」的角色的言論和行動，盡「忠」制約了他否定君主制度的勇氣」[16]張謇的「明聖言」「累千言」也體現了程朱理學維護綱常名教、強化君權的操控作用。如果說嚴複早、中年更傾向於崇尚西學，而其晚年則轉而強調「尊孔讀經」，其中《與熊純如書》言道：「鄙人行年將近古稀，竊嘗究觀哲理，以為耐久無弊，尚是孔子之書。四子五經，故(固)是最富礦藏，惟須該用新式機器發掘淘煉而已。」[17]非但如此，他甚至擁護帝制，希望恢復國家封建統治秩序，而認為民國造成民不聊生，且「終覺共和國體，非吾種所宜」。[18]

相比較於桐城諸子，金澤榮對程朱理學在維護封建統治秩序這一問題上經歷了兩個不同的思想階段，由流亡中國前認同程朱理學有利於封建統治轉變到流亡中國前後質疑程朱理學的治世功用。金澤榮主張

文以載道:「天下古今之言文章者,莫詳於孔子。其曰:' 文王既沒,文不在茲乎者?' 所以言道非文莫形,而文與道一也。」⑲而他所謂「道」指「詩書六藝之類皆其物」⑳,更確切地說指孔子之道與程朱理學。正如他在《書深齋文稿後》中所言:「則其所論著性命經理之說之日臻於精。不問而可知。斯豈非誠有見於孔子所言之旨。而又能善學朱子。以救向之云云之弊者哉。」㉑在一系列古文中,金澤榮着力論證孔教維護封建社會政治的至關重要性,《泗陽書室記》中作者慨歎孔道之衰微:「故見今中國以民而主天下之議論者,大抵多雜教之人,或以為孔子之道專制而非共和,或以為待孔子宜與他教等而不可獨尊,或以為孔子之道哲學而非宗教。或以為闕裏之祠可毀,吾道之存者,只如一發。而闕裏數畝之宮,殆哉其岌岌。」㉒近代民主思想的興起,極大地動搖了孔道獨尊的地位,這讓仍作為虔誠的程朱理學信徒的金澤榮痛心疾首:「故有康南海氏者出,慨然以為孔教者中國之國教,國教亡,國安得獨存,遂飛書政府,極論其事,以摑主議者之頰。……則使康南海氏處於今日,飲水讀書於空山之中,而不動一手一足,至其孔教已亡、孔祠已毀而後,始乃洋洋作千萬言,徒以空言泄其感痛,其何益之有哉!」㉓

由於作者未能看透康有為尊孔教為國教的實質是托古改制,即打着尊奉孔子大道的旗號,欲變革不合理的社會政治制度,也未能明白梁啟超以啟蒙者的眼光在抨擊封建專制主義時,往往連帶批判程朱理學㉔,只是一味強調孔教的存亡關乎國家社稷之存亡。且金澤榮這裏所謂的「國家」並非梁啟超所謂現代意義上的國家,而是指朝廷。這從他的《龜岡精舍記》可以得到印證,該文中,他將孔子作《春秋》以前的天下大亂歸咎於無道、無禮,而將孔子之後「至今二千餘年,亂臣賊子,狂夫淫婦,知所戒懼」視為「春秋之效果大著」,並結合朝鮮歷史論道:「若我故邦,其初之亂,蓋亦略如向之所雲,及高麗之季,國家始知聚麀之可恥,士民始知聖經之可尊,韓朝承之,益屬以昌之。」㉕

金澤榮指出朝鮮高麗朝尊儒學,繼之而起的朝鮮朝又將程朱理學定為官學才因此昌盛,這裏的國家即指封建王朝。可見,他認為程朱理學有助於維護封建統治,其《丹山精舍記》、《重修通明宮附設經社記》等文中也表達了類似思想。而對於高麗末期打着征討遼東之大纛卻在威化島造反並最終篡奪政權的李成桂,金澤榮批判其「滅君臣之道者也」㉖。

朝鮮王朝亡國前後,金澤榮愈來愈質疑並批判程朱理學的治世功用。他曾在《黃玹傳》中評述亡國前的朝鮮「外憂日重而政事日謬」㉗,而形容當時處在封建官僚體制內的各級官吏則為「鬼國狂人」㉘,這導致黃玹、申箕善、李道宰等諸多有識之士無意進取,拒絕封建朝廷的徵召。金澤榮由此便深入剖析此種政壇狀況,認為其原因有三:

其一,封建王朝禁錮思想、閉塞言路、大興史獄的專制獨裁。他在《韓史綮序》中大膽地揭露了造成駭人聽聞的燕山君執國時的史獄的真相,並進一步指出燕山君時期的史獄導致朝鮮儒林遭受重創,此後多年不聞孩子讀書聲。而英祖朝(1724—1775)以後,封建政權對思想文化的鉗制而造成其封閉性愈演愈烈,國內能稱為史著者,除去歷朝實錄外,只剩朝報,這無疑促使金澤榮撰寫《韓史綮》以延承國祚。

其二,封建統治集團內部互相傾軋的血腥的朋黨之爭。朝鮮朝宣祖八年掌權的士林派分裂為東西兩黨拉開了長達200餘年的朋黨政治,其後,東人黨內部又分裂為南人、北人,北人黨又分裂為若干派別,西人黨又分裂為老論派、少論派,直至英、正祖時期實行「蕩平策」仍未能從根本上清除朋黨政治。雖然朋黨政治對朝廷內部各種政治勢力可起到相互制衡的作用,但總體而論,各個黨派之間無休止的爭鬥消解了統治階級內部的凝聚力,也造成國家政局不穩。金澤榮曾一針見血地指出朋黨之爭的實質:「老黨之以時辟相戮者,豈為其義理哉。不過假國家之一大案以為一身祿位之媒介而已,可勝慨哉」㉙。他認為在朝鮮朝中葉後得勢的老黨並不因為「義理」,也即其性理學思想,只不過打着其學術主張服務於治國方略和國家政策的旗號而謀求更大的政治權力。這種將國家發展大計視作謀取私利的腐敗行為勢必會導致封建政體日趨走向沒落。

其三,殘酷的封建門第制度戕害了大量的優秀寒士,不利於營造清明的吏治,也不利於積極地吸納外來

先進思想。朝鮮朝時期建立了遠比高麗朝更為集權的「兩班」官僚社會制度,確立了「士農工商」四民身份等級制度,而兩班階層即指排在首位的士族階層,他們在經濟、政治、文化上皆享有特權,特別是通過科舉、蔭敘、薦舉等方式成為統治階級的上層,又通過全面支持朱子學的官學化而成為固守儒家文化的實權統治者。這不僅導致朝鮮朝仕宦來源一直為兩班所佔據,大量寒士與仕宦無緣,也使其在文化上故步自封,不能接納新思想,最終難以抵禦外來殖民入侵而難逃亡國之厄運。金澤榮極力鞭撻了朝鮮門第制度之弊端與危害,其在《高麗季世忠臣逸事傳序》文中就曾指出:「顧韓之政弊,太尚門第,無名祖者擯於仕宦,於是乎窮鄉寒族之人,日夜所慕,惟在名祖,偽譜假錄,紛紜杜撰,則以餘之蔑劣」㉚,還如《敬陵令樸公墓碣銘》中也發出相似的感歎:「實世所謂門第之說,使之然也。嗚呼! 自魏晉以來,殃人之國者,非此說耶。」㉛

金澤榮抨擊門閥制度禍國殃民,極端蔑視那些為了擠進仕宦階層而不惜修改族譜、歪曲家錄的鄉下書生。而對洪世泰,李彥瑱,李尚迪、鄭芝潤等以詩歌聞名卻「不得為士大夫」㉜且「受人踐踏甚多」㉝的象胥之人報以無限同情,哀歎其「故每落拓自棄,不求遠大之學,而惟用詩以自宣」㉞,「其安得不摧折而至於夭也!嗚呼,此非所謂豐於才而歉於命者歟」㉟。

如前所述,金澤榮對新思想的接納是其人生經歷與中國近代社會邅變的合力影響下的結果。剛歷經朝鮮亡國之痛的金澤榮避難中國,卻又趕上中華民族危機日趨深重的近代社會,救亡圖存成為時代的主旋律,傳統儒學的經世致用內在地促使舊學走向了近代新學。以此而論,金澤榮同這一時期中國的精英知識階層一樣通過接受教育,其知識結構由以往的「衛道型」轉向「知識型」,由封建的衛道士轉變為近代新型的知識份子。

金澤榮對摯友張謇及其兄張詧興實業、辦新學以挽救民族危亡的義舉頗讚賞:「時季直擢上第已有年,而以國有外憂,斷進取規,興新學,思以為自強者,故叔儼棄江西官歸。以助其事,此書局所以有也。」㊱他還為多位中國、朝鮮辦新學、啟民智的有識之士作傳、寫墓誌銘,或寫序跋題辭,稱讚他們見識卓越、興新學以匡時救世。尤其是他在《韓通政大夫礦務局主事李公墓碣銘》中力讚李公反駁那些「概皆以新學之主功利而不樂言之」㊲的嶺湖學士大夫,而稱舊學之末流也為功利之學,並毅然地送三子留學國外,雖學成歸來,未及施展大用,朝鮮淪喪,但李公堅信國家之淪喪「乃執政者之罪而非新學之故」㊳。此外,金澤榮盛讚張謇由立憲轉為共和,其曾在《張季子詩錄序》中說道:「既而中國之形變為共和。……雖其事業之所極,今不可預言。」㊴可見,他已不再像曾國藩堅持舊學為體、西學為用,也不像嚴複那樣提倡變革中國的君主專制,而是主張推翻君主專制,建立民主共和制度。他在辛亥革命後申請加入中國國籍即是對中華民國的擁護和對共和政府的支持,只不過袁世凱稱帝、張勳復辟導致共和制度的實施亂象叢生,金澤榮也由此感到失望。

綜上,金澤榮由強調程朱理學維護封建統治的政治功用轉向支持重視辦新學、啟民智的立憲,再轉而支持共和,其思想觀念的演進與中國、朝鮮的救亡圖存同步發展,其思想轉變具有時代特徵,也體現了他在中朝兩國近代巨變中與時俱進、不斷探索的精神。

(二)既遵循程朱理學長於施展道德教化的傳統,又破除陳見

桐城諸子與金澤榮都非常看重程朱理學長於施展道德教化的功能,主張用禮樂規範天下萬民,以達到治國齊家之目的。作為程朱理學的信徒,曾國藩入嶽麓書院求學時,掌教的歐陽厚均推崇理學,將朱熹手書「忠孝廉節」四字匾額於講堂,深受濡染的曾國藩其後一直恪守進德修業。張謇一生將仁義禮智信作為人生準則,以其交友為例,他因為袁世凱的倒行逆施而與之斷然絕交,對金澤榮這樣一位不願做亡國奴的異國友人能俠義相助,在家庭關係中,既彰顯了儒者本色,又不為綱常倫理規範所囿。在金澤榮眼中,張謇不愧為忠孝節義的典範,其曾在《張退翁六十壽序》中讚歎曰:「今先生則不然,於家則為人之孝子慈兄,於鄉則為人之耆德,於郡縣則為人之賢官,於公益則為人之義民。凡其所為,無一之不直,則吾之愛之,豈非情之正。」㊵嚴複提倡尊孔讀經以養成忠、孝、節、義的道德精神,他甚至宣導將其奉為立國精神,並在《導揚中華民國立

國精神議》中提出具體措施,可見其良苦用心。金澤榮認識到良好的社會風氣須靠正學士人的「理氣之旨,心思身踐」[41](《成均進士默庵金公墓碣銘》),而這些身正學高之士「譬如和風慶雲之日,故禮教之入人也易」[42](《二禮辨疑序》)。因此,他對於近世儒道淪喪、人心澆漓之狀倍感憂心:

自近世選法崩壞以來,人之無故而貴者多矣,於道德經濟文學,鮮有所聞。徒挾其書牘律令尺寸之末,往往躐取高官,則彼其所以致之者,豈能盡出於忠孝直道也。(《送王注書原初入大屯山讀書序》)[43]

而實則教民以懶惰與澆薄也。故士大夫之饒者,寧人蓄一姬一飲百金,而不肯合巨力以成國家之一大事。鄉里之富者,以匿財為能,慈善之舉,鮮有行者。……奸蠹橫出,遂以破敗而止,於是乎零丁孤子,貧窳枯槁,萬事無一可濟,而遂至於今日矣。(《梅泉集同刊錄序》)[44]

金澤榮痛斥那些只知執行律令而不敢批評君主之過失的趨炎附勢之徒,那些沉湎於個人淫樂而不願慷慨為國成一事的虛偽的士大夫,那些徇私舞弊、蠅營狗苟又不肯行善的鄉里富人,認為他們這種劣行導致今日的破敗與「萬事無一可濟」。

金澤榮嚴夷夏之辨,辨忠奸之分,他不甘心做亡國奴,憤而辭官,亡命中國,此後常以「高麗遺民」「韓客」「韓僑」自稱,須臾不忘故國,且常與朝鮮的愛國志士密切聯繫以期能光復河山。旅居南通時,他踐行修史救國、以文章報國,為諸多浴血疆場、慷慨赴死的朝鮮忠臣義士作傳,大力宣導忠義精神。與近代不少中國思想家一樣,金澤榮受夷夏之辨思想之左右,仍然視竊據華夏的滿族建立的清朝為非正統政權,而力挺推翻清朝統治的辛亥革命,其在《馮君文稿序》一文中指出:「滿人之於中國,猶羈者之租人屋也,然租之之久,已近三百年,其牆壁柱礎之修治,亦甚牢固矣。而武昌之一夫,一朝鼓鼓而起,屺其屋猶掃葉也。」[45]這也是他在辛亥革命後申請加入中國國籍的深層原因。金澤榮為於朝鮮危亡之際以身許國的愛國志士立傳,如《安重根傳》、《崔宇淳傳》、《金松庵傳》、《安孝濟傳》、《洪範植傳》、《黃玹傳》等,稱讚他們忠於祖國、憂國憂民、力挽狂瀾,不惜身殉,如日月之清明。他堅信振國興邦之大業須倚靠此等像韓愈一樣具有精誠之志的忠良之才:「然而吾邦今日之事,尚有大於逐鼉者,不知君將繼而有為,使我酌酒以俟之也耶。」[46]在儒家思想價值體系中,忠孝同構,彼此不可分離,忠臣孝子成為儒士心中的主流道德形象,金澤榮作《崔孝子墓碣銘》、《天山趙君墓碣銘》表彰孝子孝行。

金澤榮對「節」的理解更為包容與開明。他跳出儒家傳統所認可的賢慧能幹、通情達理、矢志守節的女德之藩籬,在《閨門軌範序》一文中,他主張朝鮮女子若能像滿清女子一樣「鑴去砧杵一事,女子之受教,庶或益專,而布帛之壽,縫刺之省,亦可以語矣」[47],此種提倡男女分工精細化、專業化的想法頗具前瞻性。更為前衛的是金澤榮敢於為妓女作傳,其《都明珠傳》極力為妓女辯護,首先,他質疑儒家男女綱常:「男兼有妻妾,而女終身於一夫,此其設教之大綱也。」[48]進而為遭遇不幸且迫於生計的再嫁婦女正名,最後,他大膽挑戰鄭衛淫婦不能列於經的儒家傳統,為妓女明珠作傳,並道出個中原因:「其跡雖甚穢,而其情誠可哀,故特敘之,以見天下古今禦世育民之難。」[49]而對於「士」的節操,潔身自好、不慕名利、寬宏大量、光明磊落乃其要義,他在《可轂樸處士墓碣銘》中鞭撻了朝鮮肅宗以後興起的一股以退居山林講學為名而沽名釣譽之偽處士之風潮,而稱賞能獨立不遷、身處衰世而出淤泥而不染的真正的儒雅之士。

(三)由發掘程朱理學的經世致用轉向利用厚生

由前所述,在以程朱理學為宗的基礎上注重經世致用的學術傾向是金澤榮接受桐城派散文的內在因由。相較於曾國藩的「師夷長技以制夷」及其曾門弟子以科學、教育救國,張謇以實業、教育救國,嚴複為救亡圖存而翻譯西學卻最終由西學轉向中學,金澤榮則在清朝、朝鮮朝實學思想及西學深刻影響下,由開掘程

朱理學的經世致用轉向利用厚生。

朝鮮朝實學派思想家樸趾源勇敢地打破中國儒家「正德、利用、厚生」的思想框架,將儒家先賢們列為首位的「正德」顛倒至末位,其在《渡江錄》中言道:「利用然後可以厚生,厚生然後其正德矣。不能利用而能厚其生,鮮矣!生既不足以自厚,則亦惡能正其德乎。」[50]而「厚生」被置於首位。金澤榮在《重刊養蠶鑒序》一文中以反諷手法極力贊同「利厚」決定「正德」:「於是天下聰明才智之士,一切皆歸於正德之科,以竭其心力。而寄在雜流者,大抵皆庸人愚夫,困窮無食者也,是以輒極論唐虞三代利厚之本意,以增益諸君子之意氣。」[51]他在《金通政墓碣銘》甚至認為崇尚道德而不屑於「生產作業」導致了韓國亡於貧困:「噫!吾韓政俗專崇道德文學,而不屑於生人之事,故人之述其父祖之行者,每略其生產作業,而尤以富為諱,猶若羞恥然,此韓之所以亡於貧也。」[52]與之相應,他痛斥科舉弊端仍空談道德修養問題而不重經世濟民之策,在《蘭樵玄士墓碣銘》一文中曾痛惜蘭樵玄士:「哲宗末,應旨對三政策,仿賈誼《治安疏》之意,言賦以流涕,言兵以太息,言糴以痛哭,而終之以矯救之方,凡數千言,竟亦不見省。」[53]

以重實務、輕性理空談的實學思想為導向,金澤榮創作了不少散文大力頌揚那些致力於利用厚生、發展農、工、商、兵,重教育、興科技的經世致用之才。《邢白山詩稿序》用寥寥數語勾勒出一位善於經商又多行仁義的文士,金澤榮不禁贊曰:「此所謂移用風雅之才於商業者也。」[54]而在《張嗇翁六十壽》文中,金澤榮對摯友張謇及其三兄張詧、友人宋躍門讚歎有加,稱讚張謇「而尤邃於經濟」[55],讚歎張詧在仕途通暢時毅然辭官鼎力協助其弟辦實業、興教育,「其他農務荒政,河渠道路,一切公益之事,亦莫不與殿撰協擔,州裏賴之」[56]。在《宋躍門墓表》中,稱許張氏兄弟辦學校借鑒外國之學制,具有國際視野,其友人宋躍門幫助他們督辦公益機構,如馬路測繪局,醫校圖書館,養老院,盲啞學校等。金澤榮稱賞在研經之餘,「樂觀古今國家經濟之書,以及近世外國財政兵策之紀錄,亦略考審其肯綮,而思所以接應拒禦之方」[57]的梁處士;另有以勤儉持家、善治產業又「敦厚周密,戰兢自持,以行陰德,為平生處世之大本」[58]的金進士,「以及兵刑錢穀之屬,無不究之」[59]的薑瑋,協助長子督查農墾公司、經營小農經濟的朱人千等,皆受到金澤榮讚譽,從以上的語句表述可清晰地梳理出金澤榮認同的利用厚生決定道德修養的邏輯理路。

五、結論

總之,流亡中國前後的金澤榮與中後期桐城諸子曾國藩、俞樾、張謇、嚴複等在面對國家內憂外患且遭遇帝國主義強勢入侵的時代困境時,產生強烈的救亡圖存、捍衛本民族文化的思想共鳴,這是金澤榮接受桐城派散文的最直接緣由,而在以程朱理學為宗的基礎上注重經世致用的學術傾向是金澤榮接受桐城派散文的內在因由。

由於分別身處程朱理學均被官學化的朝鮮朝與清朝,金澤榮與桐城諸子的文道觀既強調程朱理學付諸道德教化的踐履又挖掘傳統儒學內部經世致用思想,即修身治內與理國治外兼重,這種義理、經濟合一的新型文道觀決定了二者在散文創作思想內容上的相通性,均強調程朱理學維護封建統治的政治功用、遵循程朱理學長於施展道德教化的傳統與發掘程朱理學的經世致用的潛能。而遭遇了亡國之痛的金澤榮在中、朝近代遞變的時勢及中、朝傳統程朱理學思想與西方近代思想激烈碰撞中,理性地質疑程朱理學的治世功用,批判其導致封建王朝禁錮思想、閉塞言路、大興史獄的專制獨裁,封建統治集團內部互相傾軋的血腥的朋黨之爭,以及殘酷的封建門第制度戕害了大量的優秀寒士,不利於營造清明的吏治,也不利於積極地吸納外來先進思想。由此,金澤榮由強調程朱理學維護封建統治的政治功用轉向支持重視辦新學、啟民智的立憲,再轉而支持共和。此外,金澤榮對有益於維持倫理綱常的程朱理學的「忠孝節義」作出了新的詮釋,由「忠君」上升為愛國,對「節」的理解不再局限於「節婦」與不屈不撓、敢於擔當的愛國志士的窠臼,對迫於現實生活困

境的妓女與身處衰世而獨立不遷、潔身自好的儒士也報以同情與尊重。金澤榮還在清朝、朝鮮朝實學思想及近代西學深刻影響下，由開掘程朱理學的經世致用轉向利用厚生，並堅信利用厚生決定道德修養，以此反觀他認為傳統的被作為治國安邦、經世濟民的官方哲學專注於空談心性與禮數，以前所起的維護封建統治秩序與教化醇正民眾的效用已經不適應時代的發展，在民族存亡的緊要時刻，利用厚生才能富國強民。

可見，中朝兩國近代巨變與金澤榮自身與時俱進的探索精神造就了其遠見卓識。當然，金澤榮恪守迂腐的「夷夏之辯」，不能正視滿清文明比之明朝取得的進步與發展，體現了其視野的局限性。所幸的是，流亡中國後的他趕上了推翻清朝統治的辛亥革命，得以由朝鮮遺民成為中華新民，但卻在個人與社會多重壓力下最終吞食鴉片自殺，不免讓人扼腕歎息。

注釋

① 蔡德龍：《儒者‧文人‧遺民——金澤榮文章學的三個面相》，《古代文學理論研究》，2024 年第 1 期，頁 449。

②③⑦⑫⑬⑲⑳㉑㉒㉓㉕㉖㉗㉚㉛㉜㉝㉞㉟㊱㊲㊳㊴㊵㊶㊷㊸㊹㊺㊻㊼㊽㊾㊿勿勿勿勿勿勿勿勿 金澤榮：《韶濩堂集》，《韓國文集叢刊(347)》，首爾：景仁文化社，2005 年版，頁 151-489。

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⑤ 姚鼐：《惜抱軒詩文集》，上海：上海古籍出版社，1992 年版，頁 104。

⑥ 劉大櫆：《論文偶記》，北京：人民文學出版社，1959 年版，頁 3。

⑩⑪ 錢健：《從〈韓史綮〉識金滄江的歷史批評觀》，《中韓文化交流的友好使者——金滄江學術研討會論文集》，南通：金滄江研究所，2003 年版，頁 140。

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⑮ 俞樾：《春在堂全書》(第三冊)，南京：鳳凰出版社，2010 年版，頁 41。

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㉔ 梁啟超：《飲冰室合集》(第一冊)，北京：中華書局，1989 年版，頁 128。

⑧⑨㉙ 金澤榮：《韓史綮》，南通：翰墨林書局，1914 年版，頁 3-9。

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(Editors: Derrick MI & JIANG Qing)

[Translation Studies]

Researching the Translation of Implicit Modifiers in Chinese Chunks

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Abstract: This research aims to investigate the correlation between translators' construal of implicit modifiers in Chinese political chunks and their performance in target English translation. Five major types of the explicitation of Chinese implicit modifiers in English translation have been found, namely, zero, varied, partial, identical, and mixed ones. In addition, significant differences were found between student and expert translators in construing and manifesting the implicit modifiers in Chinese ST. These findings shed light on bilingual education in Chinese universities and the importance of raising awareness of implicit modifiers for proficient translation.

Keywords: Chinese chunks; implicitness of modifier; explicit translation

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1. Research Background

Language chunks, or formulaic sequences, multi−word expressions are pivotal as the "building blocks" of languages, accounting for 50% − 80% in different corpora. It holds true in Chinese, which features a high proportion of Chinese chunks featuring implicit semantic and pragmatic implication (WANG, 2020). When such chunks are translated into English, the implicit meanings in Chinese chunks are critical for the source text (ST)

to be effectively transferred to the target text (TT). This process normally involves the identification of implicit semantic and pragmatic implications in chunks exhibited by words, phrases, and sentences (Cabezas－García 2023; Ji 2010; Naciscione, 2011; Núñez－Román 2016). Based on the spatiotemporal theory (WANG, 2013; 2019), Chinese chunky language is featured by separateness and discreteness, as opposed to English cohesiveness and continuity. Such bilingual differences pose significant challenges for translators (particularly student translators) in dealing with the Chinese－English (C－E) translation involving the transformation from ST chunks to temporality－featured English TT (LIU, et. al. 2021).

Specifically, in C－E translation, Chinese university students prove to be weak at recognizing chunks in Chinese STs. A comparison between expert and student translations reveals that modifiers in Chinese chunks are extremely difficult for student translators to identify (ZHU, 2014). However, systematic research, both domestically and internationally, on implicit modifiers hidden in Chinese ST chunks and their C－E translation remains scarce (LIU, 2021; CAO et al, 2023). Thus, investigating the implicitness of chunks and their effect on student English translation turns out to be necessary.

In recent years, China has witnessed some relevant research achievements in this domain. There is consensus that understanding Chinese implied meaning relies primarily on contextual and chunk analysis, which falls mainly into three research perspectives: Chinese chunks, Chinese chunk translation, and Chinese current－affair chunks. The three fields of chunk research in China are represented by XUE (2013), Wang and LIU (2020), Zhang and YANG (2023) respectively. In the field of Chinese chunk research, XUE and SHI (2013) and HONG (2021) pointed out that the relationship between chunks and constructions, and the hierarchical relationship of Chinese chunks should be systematically analyzed. In the field of Chinese chunk translation research, scholars have concluded that English translations must prioritize explicating the implied meaning of Chinese chunks (WANG & LIU, 2020; DAN, 1996). Research on Chinese characteristic chunks in the field of political discourse revealed that translators' grasp of the implied meaning will directly influence the translation process and translation quality (ZHANG & YANG, 2023; LIU et al., 2021).

Studies abroad typically focus on three relevant aspects of research. Nattinger (1992) and Alwhan (2019) define chunks as lexical phrases of varying lengths and characterize them as a distinct multi－word lexical phenomenon in English. Chinese scholars stress that the implied meaning of Chinese chunks should be explicitly translated into English for the sake of successful dissemination and thus the interpretation of such implied meaning is critical for the accuracy of C－E translation (WANG, 2020; LI, 2021). In political translation, the characteristics of chunks and the factors affecting translation quality of Chinese chunky expressions are unveiled to offer theoretical framework for a deeper understanding of socialism with Chinese characteristics and China's political system and provide the practical guidance of C－E translation that promotes cross cultural and political communication (DU, 2022; SUN, 2022; CHEN, 2023).

These studies highlight the critical relationship between implicit meanings in Chinese and their English translation outcomes. The theoretical framework of Chinese spatiality and English temporality further illuminates the implicitness of chunks in the Chinese language. However, previous research, both domestically and internationally, has yet to fully explore the correlation between the construal of implicitness in Chinese chunks and their explicitation in English translation. Therefore, this study demonstrates the rationality of a multidimensional theoretical framework grounded in C－E spatiotemporal difference theory.

To achieve the above objective and find solutions to student translators' problems with construing implicit modifiers in Chinese chunks and manifesting them in target English, this research focuses on two key questions:

1）What are the encoding features typical of Chinese political chunks loaded with implicit modifiers?

2）How do Chinese learner translators construe and reconstruct implicit modifiers in English translation?

An empirical corpus-based approach will be employed to classify and analyze implicit modifiers in Chinese political chunks and their English equivalents. This method will yield insights into the analysis and classification of other implicit semantic components in Chinese political chunks, such as agents, actions, patients, etc. The findings are expected to provide empirical support for bilingual education in Chinese universities and promote the synchronous development of bilingual ability among English majors.

2. Methodology

This study aims to unveil the positive correlation between the identification of implicit modifiers in Chinese political chunks and the development of C－E translation competence in student translators. The findings thereupon are expected to provide insights into the practice and reform of English education in Chinese universities. For this purpose, the research employs a mixed－methods approach, combining case studies, a translation test, and a questionnaire survey.

Based on the Chinese－English spatiotemporal theory and the initial state of corpusanalysis, five Chinese chunky samples were randomly selected for the current experiment. They cover diverse syntactic constructions, including the combinations of clauses and noun phrases. Four target chunky expressions are independent sentences, while the other one（S_2）is embedded in a longer sentence. The 40 participants are fourth－year undergraduate English majors at a Zhejiang university, aged 22 on average, with over 10 years of English as a foreign language learning experience since primary school（aged 9）. At the time of the test, all participants had completed relevant courses（e. g., Translation Theories and Practices, Introductory Interpreting, and Advanced Translation）in their second or third year, acquiring foundational theories and initial C－E translation training.

The paper test is then followed by a case study and a questionnaire for an in－depth knowledge of how students' proficiency influences their decoding of implicit modifiers when translating Chinese chunky expressions into English.

A mixed approach that integrates qualitative and quantitative research methods is employed during the analytical stage, with the former being supported by five types of "explicitness" of modifiers in TTs illustrated by student translators, and the latter by percentage figures regarding each type of "explicitness" in students' TTs.

3. Results and Analyses

The experiment was conducted using five C－E translation samples, with students' translations compared against expert translations, with the latter serving as reference norms. Below are examples of expert and student translations. Source texts（STs）1－5 refer to the Chinese source texts, while expert target translations are labeled as ETTs（1－5）in contrast to STTs（1－40）, which denote students' target translations. The following gives the details.

Table 1-1　Source text (ST$_1$) and expert target translation (ETT$_1$)

ST$_1$	使命呼喚擔當,使命引領未來.
ETT$_1$	*Our* mission is a call to action; *our* mission steers the course to the future.

The ETT$_1$ in Table 1-1 shows that the modifier *our* is required for *mission* so as to emphasize that it is *we* that is assumed to take the responsibility of *mission*. The possessive pronoun *our*, by contrast, connects the internal components of a sentence, featuring the connectivity and continuity characterized by English temporality.

As opposed to experts' output, students' translations below manifest varied "manifestation" types as a result of the construal of ST implicit modifiers. The statistics, analyses, and conclusions below manifest the general tendency represented by four types of implicitness manifestation in STTs of ST$_1$.

Table 1-2　Various manifestations of implicit modifiers in students' translation

	Zero	Varied	Partial	Identical	Total
occurrences	28	9	1	1	40
percentage	70	22.5	2.5	2.5	100

As is clear from the above table, a majority of students (70%) fail to recognize the necessity of including an explicit statement of the shoulders of responsibility, leaving the "*mission*" vague for the performers. While students commonly omit the possessive pronouns, some use the noun "*mission*" as the shared subject (STT$_3$) of the translation or independent subject of two separate sentences, just as in the original STT$_3$ and STT$_9$. Two cases of student translation typical of zero manifestation are as follows:

STT$_3$: Mission calls for duty and leads to future.

STT$_9$: Mission calls for our undertaking. The mission leads to our future.

The second largest group of *modifier* explicitation is viewed as a "varied" type (22.5%), realized by students' use of the neutral modifier *the*. This type of modifier manifestation indicates that the definite article (*the*) is used instead of (*our*), and it usually appears in the first part of the sentence. The student target translations (STT$_{10}$, STT$_{14}$) in the following show the detail:

STT$_{10}$: *The* mission calls for responsibility and leads future.

STT$_{14}$: *The* mission calls for efforts, *the* mission leads the future.

The use of neutral modifiers in interpreting implicit ones in Chinese chunks entails that while students may be sensitive to grammatical correctness, they lack awareness of the implied modifiers. The definite determiner fulfills a grammatical role but carries varied indications of the speakers' stance.

As a minor type, partial explicitation of the implicit modifiers indicates that student translators recognize the need for possessive pronouns in the TTs, but they often fail to grasp the intended meaning that is conveyed through the repeated use of "使命" (*mission*) in the ST$_1$. However, this type of translation accounts for only

2. 5% in total (STT_{17}).

Similarly, only 2. 5% of participants (1 of 40) decoded and expressed an implicit modifier identical to the expert's stance awareness ($STT_{30,}$ for example, "*Our* missions call us to take on, and *our* missions will lead to that future.") . This "identical" translation shows that student translators managed to successfully understand the original sentence and conveyed the implicit modifier.

The above STT manifestation of implicit modifier in ST_1 is probably due to the fact that student translators do not really construe the implicit modifier in ST_1 on the basis of spatiotemporal particularities between Chinese and English, thus leading to simple literal transformation of two different languages by means of various types of modifier explicitation as opposed to that in expert TT_1.

Table 2-1 Source text (ST_2) and expert target translation (ETT$_2$)

ST_2	你們要把愛國之情、強國、報國之行統一起來.
ETT_2	You are called upon to integrate*your* patriotic love, *your* aspiration to make the country strong and *your* actions to serve it, …

The ETT_2 in Table 2−1 shows that expert translators have added *your* before expressions like "patriotic love", "aspiration to make the country strong", and "actions" to involve the youth in a direct way so that they may feel like being spoken to directly. This interpretation emphasizes the vocative appeal of the youth's devotion to love and service to their mother nation, China. In the meanwhile, the use of the second−person pronoun also echoes with the subject of the sentence − *you*, indicating that the summons is focused and expected of action.

The following STT examples of ST_2 indicate that students' translations tend to exhibit three types of modifier explicitation, namely "zero", "varied", and "partial". By comparing and analyzing the cognitive differences between students and professional translators, this example aims to explore how translators' understanding of the implicit modifier "*your*" in Chinese political discourse influences C−E translation.

Students' translations, however, demonstrate a significantly different statistical pattern in construing the original Chinese chunky expression and rendering it into target English. Their performance is presented in Table 2-2 below.

Table 2-2 Various manifestations of implicit modifiers in students' translation

	Zero	Varied	Partial	Identical	Total
occurrences	16	21	3	0	40
percentage	40	52. 5	7. 5	0	100

As is obvious in Table 2−2, a significant portion (52. 5%) of students demonstrate a *varied* type of modifier explicitation by using the definite determiner "*the*" instead of the expert's repeated "*your*". Although "*the*" satisfies the grammatical requirements of the target language, it lacks the expected vocative meaning and thus fails to arouse an earnest desire for national love, aspiration, and action from Chinese young people. By using this definite article, less experienced student translators imply that the patriotic love, aspiration, and service to the nation can be carried out by anyone. Although readers will not have any problem understanding the surface meaning in English, they are less likely to be moved or inspired to take action. Thus, the intended meaning of the original chunky expression is to a large extent lost during translation processing. The following two STT

examples provide the details:

STT$_3$: You need to integrate *the* patriotic love, aspiration to make the country strong and action to retribute our country.

STT$_4$: You need to integrate *the* patriotic love, *the* aspiration that makes the country strong and *the* action that protects the country together.

The second most common interpretation is the *zero* explicitation, accounting for 40% of the total translation occurrences. With no determiners or pronouns used in the translation, the vocative meaning is vacated to a further degree. Their translations read plain and dull, with no direct involvement of any individuals. No actions can be expected to take place, either.

By contrast, only a minority of students (7.5%) interpret and realize the vocative intention in the original when translating into English. As shown in the following STT$_{17}$ and STT$_{19}$ examples featuring *partial* explicitation, the students are satisfied with "*your*" being used at the beginning of the translation of chunky expressions, believing it makes communication personal and direct.

STT$_{17}$: You should integrate *your* patriotic love and aspiration to make the country strong into practical actions.

STT$_{19}$: You should integrate *your* patriotic love, aspiration to make the country strong and behavior to devote the country.

The above examples of partial explicitation show that while a small group of students noticed the intended meaning to a certain degree, they fail to stress this intention by using the second-person pronoun repeatedly in their translation. Therefore, the comparison between STTs produced by student translators with those of experts shows that student translators rarely recognize implicit modifiers (e. g., *your*) correctly, and their recognition of implicit possessive pronoun modifiers, particularly regarding "*your*" is relatively weak.

Table 3-1　Source text (ST$_3$) and expert target translation (ETT$_3$)

ST$_3$	人民有信仰,國家有力量,民族有希望.
ETT$_3$	When the people have ideals, *their* country will have strength, and *their* nation will have a bright future.

Despite the various purposes of expressing a vocative intention by using *our* and *your*, expert translators may also use the third-person plural pronoun to fill the grammatical slot that is normally required in the target language. As ST$_3$ in Table 3-1 indicates, a direct possessive relationship can be read between the components of the ST chunky expression. The modifier "*their*" is added before nouns like "*country*" and "*nation*". This type of modifier explicitation is also used to refer to those unspecified individuals and hence allows the original expression to be applicable to any country or nation in the world.

As evident in the translation, experts have added "*their*" before "*country*" and "*nation*", emphasizing that when the people have ideals, *their* country has strength, and only then can *their* nation have hope. Experts have

translated the implicit and explicit elements in Chinese, allowing the target reader to better recognize them. What has been emphasized is that the country is the people's (or *their*) country, and the nation is the people's (or *their*) nation. The translator uses the possessive pronoun (*their*) to make the implicit modifiers in the target English as explicit as possible for the reader.

Student translations can also be classified into four types, namely "zero", "varied", "partial", and "mixed". By comparing and analyzing the cognitive differences between students and professional translators, the researcher intends to explore how translators' understanding of the implicit modifier (*their*) in Chinese ST influences their C–E translation.

Table 3-2 Various manifestations of implicit modifiers in students' translation

	Zero	Varied	Partial	Mixed	Total
occurrences	16	22	1	1	40
percentage	40	55	2. 5	2. 5	100

As evident in Table 3-2, a dominant tendency in students' translation is the zero (40%) and varied (55%) explicitation of the implied modifier in the ST original chunky expression. The other two types (partial and mixed) of explicitation in STTs are rarely found, with only one occurrence each. The following examples show how a majority of students interpret the intended meaning or latent modifier in terms of zero and varied types.

STT$_2$: People have ideals, country has strength, nation gets future.

STT$_5$: As long as people have ideals, then country has strength and nation has hope.

STT$_8$: It is the country's hope that people have ideals and the country has strength.

A closer examination of these three STTs reveals that zero explicitation may result from two reasons, namely the inability to identify the implied meaning in this type of chunky expressions like ST$_3$ and, more importantly, the under-proficiency of the target language. Nouns like *country* and *nation* are countable, which require either plural modifiers or determiners (definite or indefinite) to be used.

The following STTs are labeled as partial (+ mixed) explicitation (STT$_{17}$), mixed (STT$_{23}$), and varied explicitation (STT$_6$). In these examples, pronouns like "*their*" and "*this*" or the definite article "*the*" are added prior to the two nouns – "*country*" and "*nation*".

STT$_{17}$: When people possess ideals and *their* country is full of strength, *this* nation can have a hopeful future.

STT$_{23}$: People has ideals, and *the* country have strength, thus *our* nation will have the hope.

STT$_6$: The people have ideals, *the* country has strength, *the* nation has hope.

The above types of modifier manifestation suggest that some student translators fail to notice that translating ST$_3$ chunky expressions involves an attachment of translators' emotions to the words. The use of *this* and *the* in the STT$_{17}$ and STT$_6$ above shows a subjective and less involvement on the part of the student translators. "*our*" in

STT_{23}, though different from "*their*" in ETT_3, may be considered reasonably plausible.

Table 4-1   Source text (ST_4) and expert target translation (ETT_4)

ST_4	主旋律更加響亮, 正能量更加强劲, …….
ETT_4	*Our country's* underlying values hold greater appeal than ever before, and the wave of positive energy *felt throughout society* is building.

Implicit modifiers are not always decoded as pronouns. Sometimes nouns may be added to facilitate readers' comprehension, as seen in ST_4, where the modifier *our country's* is supplemented for "*underlying values*" and "*felt throughout society*" is added for "*the wave of positive energy*" in ETT_4 – the expert target translation. Student translations feature two types, "zero" and "varied". Notably, expert translators have added "*our country's* before "*underlying values*" and "*felt throughout society*" before "*positive energy*" to emphasize the main theme of our country and the positive energy of the entire society. The English translation reveals the implicit elements in the Chinese ST — "*our country*" and "*felt throughout society*". By comparing and analyzing the cognitive differences between students and professional translators, one can find the impact of translators' understanding of implicit nominal and post-participle modifiers in Chinese ST on their C-E translation.

Table 4-2 below shows the overwhelming "priority" of varied explicitation (75%) over zero one (25%) and two other types (0%) as well.

Table 4-2   Various manifestations of implicit modifiers in students' translation

	Zero	Varied	Partial	Mixed	Total
occurrences	10	30	0	0	40
percentage	25	75	0	0	100

By comparing and analyzing student translations with expert translations, it can be found that student translators rarely recognize implicit modifiers (e. g., *our*) as reflected in ETT_4, and their recognition of implicit possessive-pronoun modifiers appears relatively weak. Moreover, the majority of student translators employ the definite article "*the*" to simply replace noun-phrase modifiers, as indicated by the following varied explicitation cases (75%) in STTs:

STT_1: *The* main melody holds greater appeal than ever before, *the* positive energy shows stronger power than ever before.

STT_2: *The* mainstream holds greater appeal than ever before, *the* positive power has strengthened than ever before.

STT_{38}: *Our* main melody holds greater appeal than ever before, *our* positive energy becomes stronger than ever before.

The possessive pronoun "*our*" in the STT_{38} seems preferable to the high-percentage determiner "*the*", even though the former does not fully fit the context or match "our country's" in the expert translator's ETT4. The participle modifier "*felt throughout society*" proves to be particularly challenging for student translators to

recognize or apply, as it is deeply embedded in the ST_4. A significant amount of non-linguistic knowledge is strongly required of student translators.

Table 5-1 below presents a sentence-based chunk in which expert translators construe the implicit nominal modifier:

Table 5-1 Source text (ST_5) and expert target translation (ETT_5)

ST_5	持之以恆正風肅紀.
ETT_5	Working ceaselessly to improve *Party* conduct and enforce *Party* discipline.

Evidently, expert translators have recognized and thus manifested the concept of "*Party*" conduct and "*Party*" discipline. In other words, improving conduct and enforcing discipline typically require the involvement of "*Party*" members, who must strictly demand self-standards, improve self-discipline, abide by laws and "*Party*" regulations, and keep the *Party*'s purpose and mission in mind. It is unimaginable in the Chinese context for there to be no manifestation of "*Party*" to "restrain" or "modify" *conduct* and *discipline*. But it is no easy undertaking for student translators to identify "*Party*" as Table 5-2 in the following gives the statistical details.

Table 5-2 Various manifestations of implicit modifiers in students' translation

	Zero	Varied	Partial	Mixed	Total
occurrences	7	31	0	2	40
percentage	17. 5	77. 5	0	5	100

The statistics in the table reveal three types of modifier explicitation in students' translation of ST_5, where varied explicitation (77. 5%) takes overwhelming priority over zero explicitation (17. 5%) and mixed explicitation (5%). Partial explicitation is entirely absent in students' translations, as also shown in Table 4-2. By comparing and analyzing the cognitive differences between student and expert translators, the impact of understanding the implicit "*Party*" modifier in ST_5 on student translations turns out to be striking. The following examples of STTs illustrate specific types of modifier explicitation: zero (STT_1), varied (STT_3) and mixed (STT_{38}).

STT_1: We should keep it and never give up that we can improve customs and enforce discipline.

STT_3: We need to preserve to improve *the* style of work and enforce *the* discipline.

STT_{38}: Remember our responsibility and keep going, improve *our* ethics and enforce *the* rules.

To sum up, based on the above presentations and their analyses of five C-E translation samples by student translators, it is evident that student translations face multiple challenges in manifesting implicit modifiers in C-E translation. This is reflected in the problematic types of modifier manifestation in students' English TTs. The key reason for these issues probably lies in students' insufficient awareness of Chinese linguistic spatiality and its implicitness, as embodied by the latent modifiers in ST chunks. This is corroborated by the fact that most student translators fail to identify implicit possessive pronouns or nominal modifiers in Chinese political chunks, resulting in a particularly high prevalence of zero and varied explicitation in their English translations.

4. Findings and Implications

4.1 Findings

The most important findings obtained as a result of the above description and analysis are as follows:

Student translators are facing many problems in manifesting the implicit modifiers in C－E translation, as reflected in their problematic types of modifier manifestation in English TTs. The possible reason for these problems probably lies in students' insufficient awareness of Chinese spatiality and its implicitness as embodied by the implicit modifiers in Chinese chunks.

A positive correlation is found between the ability to identify the implicit modifiers in Chinese chunks and the ability to translate them into English, thus revealing the bilingual relationship of ST Chinese and TT English. This implies the necessity and importance of synchronous training and consistent development of the mother tongue and English in Chinese universities, particularly for the part of university English majors.

The awareness of bilingual differences featuring Chinese spatiality and English temporality is assumed to affect the quality of English translation and to be conducive to translators' cognitive processing in C－E translation, as shown by professionals' efficient processing outcomes and students' zero and varied manifestation of implicit modifiers in English TT although student translators do not seem to have linguistic problems in both Chinese and English.

Chunks loaded with implicit modifiers appear to be hierarchical, ranging from the lexical level to the sentence level, and even to the discourse level, as reflected by independent and dependent chunks. The difficulty of "implicitness" construal at different levels of chunks proves to increase from less idiomatic chunks to more idiomatic ones, suggesting the differing impact of the Chinese mother tongue on English translation regarding ST implicit modifiers in particular.

Student learners with a better understanding of implicit semantic features turn out to use diverse translation strategies while translating. More strikingly, student translators with a strong ability to understand implicit modifiers are inclined to adopt more flexible and innovative translation strategies regarding the awareness of cultural background and application of context in STs to manifest implicit meanings in English TTs.

The interactive competence of cognitive construal and bilingual efficiency proves to be crucial. In other words, the ability to understand implicit modifiers is closely related to students' cognitive ability and bilingual processing efficiency, suggesting that the improvement of such competence isexpected to promote the efficiency and accuracy of C－E translation, particularly concerning ST implicit chunks.

4.2 Implications

The current investigation reveals the close relationship between the identification of Chinese implicit meanings and the enhancement of English majors' competence in bilingual translation. The results provide a systematic and comprehensive educational scenario for English education in Chinese universities. Notably, sensitivity to and mastery of implicit meanings in Chinese can help students better interpret implicit meanings in Chinese chunky texts for the sake of TT translation. Meanwhile, this study highlights the importance of cross-

cultural competence in developing English translation ability, especially when dealing with texts with rich and implicit cultural and ideological connotations. Cultivating such competence not only benefits C−E translation but also helps students enhance their knowledge of and proficiency with implicit modifiers in various languages. Therefore, English education in the future is expected to focus on cultivating students' ability to understand implicit meanings in Chinese political chunks, so as to promote their comprehensive C−E translation proficiency.

Finally, it is necessary to point out the limitations of this study as normally shown in similar studies: 1) limitations of sample scope, 2) limited research tools and methods, 3) limited data analysis, and 4) limitations of spatiotemporal difference and cultural background. It is hoped that future studies will address these limitations and make progress in further investigation.

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Research on English Explicitness of Implicit Agent in Chinese Chunks from Perspective of Spatial Condensation

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Abstract: This paper, based on Spatio-Temporal Difference Theory, analyzes English translation examples of Chinese idiomatic expressions to explore agent implicitness mechanisms and their manifestation under Chinese pro-spatial condensation. The research finds that: 1) It is a normalized phenomenon within the Chinese language system; 2) It is constrained by Idealized Cognitive Models (ICM), showing features of「hidden but not lost」; 3) Chunks in Chinese, such as four-character ones, are its typical carriers; 4) It is context-dependent toward explicitness, reflecting conversion between different linguistic cognitive patterns. This process from agent implicitness to explicitness provides a new perspective for cross-linguistic cognitive research and has implications for translation practice and cultural communication.

Keywords: idiomatic expressions; condensation; agent implicitness; explicitness in English; cognitive mechanism

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空間性縮合視角下漢語塊狀語潛隱施事義顯譯研究

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摘　要：本文基於時空性差異理論，分析中華思想文化熟語英譯實例，探究漢語空間縮合特質下施事義潛隱及其顯化過程。研究發現：1）漢語作為強空間縮合型語言，施事義潛隱為其常態化現象；2）潛隱受認知 ICM 模式制約，呈「線斷義隱」特徵；3）漢語四字格等塊狀結構是施事義潛隱的典型載體；4）施事義從潛隱至顯化在英譯中具有語境依賴性，體現了不同語言認知模式的轉換。這種潛隱至顯化的過程為跨語言認知研究提供新視角，對翻譯實踐和文化傳播具有啟示意義。

關鍵詞：塊狀語；縮合性；施事義潛隱；英譯顯化；認知機制

一、研究背景

　　漢語特色塊狀話語作為強空間縮合型語言，其表達方式凸顯「形簡義繁」、「字潛義隱」的特性，這與其深層認知機制密切相關[8]。特別是在漢語空主語現象中，施事義的潛隱呈現出系統性特徵，表現為一種結構化的缺省[11][12]。這種結構性缺省不同於簡單的語言省略，而是通過空間維度的壓縮與整合，形成獨特的語義表徵模式，尤其體現在漢語四字格等語塊表達中[5][6]。

　　在跨語言轉換研究領域，翻譯顯化理論為理解漢語施事義潛隱提供了重要視角[4][9]。翻譯顯化被認為是翻譯共性之一，而在漢英翻譯中，施事義的顯化尤為突出，這反映了中英文在空間認知組織上的系統差異[2]。特別是漢語的塊狀構式作為強空間性縮合的典型表現，其英譯過程中施事義的顯化呈現出規律性特徵，這既體現了翻譯通則，也反映了語言系統內在的認知加工機制[1]。

　　基於空間認知理論，漢語四字格等塊狀構式的離散性與整合性呈現出「線斷意隱」的特質。它意味著，施事義在表層結構上的缺省並不導致語義資訊的丟失，而是通過意象圖式（ICM）的形式保存在深層語義結構中[7]。這種現象在漢英翻譯中表現為譯文的擴展與重構，翻譯加工過程本質上是一種跨語言認知空間的重組與轉換[3]。

　　在時空性差異理論下，本研究將聚焦漢語施事義的潛隱，探究其在四字格等塊狀語高度凝練表達中的認知實現過程。在本研究視角下，施事義潛隱不僅是語言表達的形式特徵，更是漢語思維方式的核心體現，對理解中華思想文化熟語的準確傳譯具有重要意義。

二、時空性差異理論及漢語塊狀語

　　王文斌指出，漢語四字格語塊等高度凝練表達作為中華文化的重要載體，其準確解讀與傳譯對中國形

象的對外傳播至關重要⑥。特別是在國家治理話語體系對外傳播中,施事義的準確把握關乎政治理念的精准表達,影響外宣效果與國際話語權的構建。這些高度濃縮的表達形式往往通過施事潛隱,使語言表達更加凝練而內涵豐富,然而這也為譯者的跨語言傳播帶來挑戰。

梳理可知,學界對漢語語塊資訊潛隱研究主要有三方面。其一是從語法結構視角,探討漢語空主語現象及其認知基礎,認為空主語是漢語作為話題顯著語言的典型特徵,體現了漢語對語境依賴的系統性傾向⑪⑫;其二是從翻譯學視角,考察漢英翻譯中的顯化現象,發現資訊顯化是漢英翻譯中最常見的顯化類型之一,體現了英漢兩種語言在主體表達方面的系統差異④⑩;其三是從認知語言學視角,分析漢語四字格等塊狀構式的空間縮合特徵,認為強空間性縮合是漢語表達的典型特質⑥⑧,施事義潛隱是該特質的必然結果。概而言之,過往研究已從多個角度探討了漢語語塊資訊的潛隱現象,但尚缺乏以時空差異理論為核心理論框架對中華思想文化熟語潛隱施事義英譯顯化的相關研究。

據此,本研究以中華思想文化熟語為例,分析其英譯過程中施事義潛隱到顯化的認知轉換機制,探究強空間縮合性對目標語施事義表達的影響,進而分析這一特質在跨語言轉換中的加工策略。下文將以時空性差異理論為觀照,闡釋漢語施事義潛隱的生成範式,並分析其在跨語言轉換中的認知加工特徵。

三、強空間縮合視角下漢語塊狀語施事義潛隱機制分析

(一)漢語施事義潛隱的認知基礎

漢語特色塊狀語作為強空間縮合型語言,其表達方式往往通過壓縮語言空間實現語義的高度凝練或表徵結構的言簡意賅。在這一過程中,施事義的潛隱是一種常見現象,這與漢語的認知組織方式密切相關。以「天生烝民,其命匪諶」(《詩經・大雅・蕩》)為例,原文中「天」作為施事出現在表層結構中,而「其命匪諶」中的施事則隱而不顯。在英譯「All people are created by Heaven, so the government's laws should be applied consistently.」中,譯者補充了「government」作為施事主體,實現了施事義的顯化。這種顯化反映了漢英兩種語言在認知組織方式上的差異:漢語傾向於通過語境推導隱性施事義,而英語則要求施事義在表層結構中「形顯義明」。

漢語施事義潛隱的認知基礎可歸納為以下兩點:

首先,漢語作為話題顯著型語言,其表達往往圍繞話題展開,而非必須通過主謂結構呈現⑫。如「含德之厚,比於赤子」(《老子・五十五章》),原文中施事並未明確表達,但在語境中可推知為「含德之人」。英譯「A man of great moral character is akin to an infant」顯化了施事「a man」,體現了英語作為主語顯著型語言的特徵。

其次,漢語表達中的空間縮合特質導致語義成分的壓縮與整合。如「博文約禮,由至著入至簡,…」(張載《正蒙・中正》),原文中施事義隱而不顯,英譯「He can guide himself properly if he is well-versed in a wide array of literary works…」則通過代詞「he」顯化了施事義,展現了英語對施事義明確表達的趨向。

(二)四字格塊狀語中的施事義潛隱現象

作為強空間性縮合的典型載體,漢語四字格塊狀語在施事義表達上展現出獨特的編碼型式,即通過高

度凝練的形式承載豐富語義，且施事義往往通過隱含方式呈現。

「古之為政，愛人為大」（《禮記・哀公問》）中，施事義「為政者」或「統治者」在原文中完全隱匿，讀者需通過對「為政」一詞的語義關聯推知其施事義。英譯「In ancient times, caring for the people was considered the most essential aspect of running a country.」雖未直接使用具體名詞如「rulers」或「governors」作為施事義，但通過動名詞結構「caring for」和「running」間接顯化了施事義，同時將「古之」顯化為明確的時間狀語「in ancient times」，將原文高度凝練的四字格結構「愛人為大」擴展為完整的主謂結構。

「鑒懸日月，辭富山海」（劉勰《文心雕龍・徵聖》）中，施事義「聖人」通過上下文語境隱含表達。英譯「The sage sees as broadly as the sun and moon, and his words are as expansive as mountains and as abundant as the sea.」明確將施事「sage」顯化，並通過所有格「his」強化了施事與行為的關聯，這體現了英語在語義表達上「線在義顯」的線性組構要求。

總之，漢語四字格成語中的施事義潛隱展現出以下特徵：

① 語境依賴性：施事義的識別高度依賴語境資訊；

② 整體性感知：施事義通過整體語義框架隱含傳達；

③ 空間性壓縮：通過省略施事實現語言形式的高度凝練。

（三）施事義潛隱的認知加工機制

從認知角度看，漢語施事義潛隱的運作涉及多層次的認知加工過程。主要表現在以下三個方面：

首先，漢語施事義潛隱體現了意象圖式（ICM）的認知運作方式。如「政之所興，在順民心；政之所廢，在逆民心」（《管子・牧民》），原文中雖然沒有明確提及施事義，但通過「政」的概念圖式，讀者可推知施事為「統治者」或「政府」。英譯「A country thrives when it aligns with the will of the people, but declines if it opposes them.」將施事顯化為「country」，體現了漢英兩種語言在概念圖式轉換上的認知差異。

其次，漢語施事義潛隱與顯化的認知加工涉及隱喻映射過程[13]。以「夫政理，得人則興，失人則毀」（趙蕤《長短經・政體》）為例，原文中「政理」為主語或主導，表面上談治理之道，實際暗含國家的治亂興衰，隱含了「國家」或「統治者」作為施事義。英譯「In governance, a nation that employs talented individuals will prosper; otherwise, it will decline.」通過顯化「a nation」作為施事義，將原文中的隱喻關係轉換為明晰的語義表達。

最後，施事義的跨語言轉換體現了空間認知重構過程。例如在「大道之行也，天下為公」（《禮記・禮運》）中，施事義隱含在「大道」的貫徹和實現之中，沒有直接點明誰是行動主體。英譯「When the Great Way is practiced, the world is shared by everyone.」通過時間狀語從句結構重構了原文的空間認知組織，實現了施事義的顯化表達。

（四）施事義潛隱到顯化的跨語言轉換策略

在漢英翻譯過程中，施事義潛隱至顯化的轉換呈現出規律性特徵，主要表現為以下策略：

一是主語補充策略，即在譯文中明確補充原文隱含的施事義。如「感歎之餘，作詩相屬，託物悲慨。」（蘇軾《和王晉卿》）中，多個謂語動詞的施事義在原文中均未明示。英譯「After letting out a deep sigh, he composed a poem to advise and console me, using imagery to convey his feelings of indignation and

resentment.」通過多次使用人稱施事義「he」明確了施事義,實現了語義的顯性表達。

二是句法重構策略,即通過改變句法結構實現施事義的顯化。如「子曰:『道之以政,齊之以刑,民免而無恥。』」(《論語・為政》),英譯「Confucius said,『If people are restricted by government decrees and compelled to behave through punishments,they try to avoid punishment,yet they do not gain a sense of shame.』」通過被動結構和主動結構的轉換,明確了施事與受事的語義關係。

三是語義整合策略,即通過語義關係的重組實現施事義的清晰表達。如「子貢曰:『貧而無諂,富而無驕,何如?』」(《論語・學而》),英譯「Zigong said:『One remains humble in poverty and unassuming in wealth;where can one find such a quality?』」通過使用不定代詞「one」作為泛指施事義,實現了譯者對塊狀原語的顯化表達。

四、思考與啟示

本研究聚焦語料選取、語料施事義分析、認知加工機制、跨語言轉換策略等多個層面,現總結分析如下:

首先,漢語施事義潛隱是其強空間縮合特質的典型體現。作為一種系統性語言現象,施事義潛隱並非簡單的語法省略,而是基於漢語認知方式的空間壓縮與整合偏好,在高度凝練的形式表達中實現豐富的語義傳達。這種表達特性在中華思想文化熟語中尤為突出,形成了雖隱尤在的語義表徵模式。

其次,漢語施事義潛隱的運作涉及複雜的認知加工過程。通過意象圖式(ICM)的隱喻映射、概念整合以及空間認知組織,施事義雖在表層結構上隱而不顯,但在深層語義結構中保持完整並通過語境啟動。這一過程體現了漢語特色塊狀語作為強空間縮合型語言的認知特徵,即通過最小的語言形式承載最大的語義資訊。

再者,漢語施事義潛隱到顯化的跨語言轉換反映了漢英兩種語言在認知模式上的系統差異。英語作為弱空間縮合型語言,其表達方式要求施事在表層結構中明確呈現,這導致漢英翻譯中施事義顯化現象的普遍存在。這種顯化不僅是英語語法規範的要求,更是中西語言認知模式轉換的必然結果,體現了翻譯過程中的認知重構特徵。

五、結論

本研究立足時空性差異理論框架,深入剖析漢語塊狀語中施事義潛隱現象,揭示了漢語作為強空間縮合型語言的獨特認知表徵方式。研究表明,漢語塊狀語特別是四字格結構中的施事義潛隱是漢語「形簡意豐」、「形潛意隱」表達哲學的系統性體現,其背後的認知運作機制涉及意象圖式隱性映射、語義空間壓縮整合及概念網路內隱構建。當這些高度凝練的語言單位被跨語言傳遞時,原本隱含的施事義往往會從隱性狀態轉變為顯性表達,這一變化恰好反映了漢語注重「意合」而英語側重「形合」的認知差異。其不僅啟示我們重新審視漢語特有的空間壓縮認知模式,也為中華文化精粹的海外傳播提供了方法論指導。

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A Study on Human-Machine Translation Efficiency
of Chinese Chunk Expressions Driven
by Multi-Dimensional Prompts in Large Language Models

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Abstract: This study, grounded in the theory of spatiotemporal divergence between English and Chinese, investigates the explicitation efficiency of implicit Chinese chunk expressions in human-machine translation interactions. Utilizing a corpus-based experimental approach, the research assesses the performance of large language models (LLMs) under three tiers of prompt optimization (Prompt 1, 2, and 3). The results indicate that while LLMs present promising capabilities for multilingual translation, they face persistent challenges in accurately interpreting and rendering highly implicit Chinese structures. Specifically, AI systems often struggle to reconstruct the implicit agent and pragmatic intent embedded in the source language. Although optimized prompts improve semantic recognition and explicitation to some extent, issues such as information loss, output inconsistency, and semantic ambiguity remain. Compared, AI outputs exhibit greater variability, especially in processing culturally embedded agentive constructions. To mitigate these limitations, the study proposes a human-AI collaborative translation model that integrates cross-linguistic comparison and multidimensional evaluation. This framework aims to enhance the semantic fidelity and cultural adequacy of AI-generated translations, offering theoretical insights and practical guidance for translation pedagogy, AI-assisted translation, and the global dissemination of Chinese discourse.

Keywords: Implicitness of Chinese chunky expressions; AI multi-prompt driven; Effectiveness of human-machine translation

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大語言模型多維指令驅動下
漢語塊狀語人機翻譯互動效率研究

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摘　要：本文以「英漢時空性差異」理論為基礎，探討漢語隱性塊狀語在人機翻譯互動中的顯譯效率與表現特徵。研究發現：1) 在數位智能背景下，以大型語言模型為代表的 AI 翻譯技術為多語種轉換提供了新路徑。然而，受限於漢語與印歐語系（如英、法、西等）的顯著差異，尤其在處理語義潛隱性高的塊狀語時，AI 系統在漢語原語識解與目標語生成方面仍存在理解偏差與表達侷限，難以達到人類翻譯在語義還原與文化傳遞方面的品質標準。2) 為系統評估 AI 的顯譯能力，本文基於實證語料設計三種遞進式優化翻譯指令（Prompts 1、2、3），逐步增強其對隱性語義資訊的識解能力。實驗結果表明，隨著指令優化程度的提升，AI 對原語潛隱語義的識別與顯譯效果有所改善。3) 在政治、歷史等語篇中，AI 翻譯系統普遍難以準確還原原語中隱含的施事主體與語用意圖。4) AI 在輸出穩定性與語義一致性方面仍具有較高的隨機性，其生成文本易出現語義流失、語用偏差，甚至文化誤讀。基於上述發現，本文在「人—機協同」加工背景下，結合跨語言對比與多維評價方法，提出識別與優化 AI 翻譯系統處理漢語塊狀語潛在語義的路徑，為漢語特色話語翻譯教學、AI 輔助翻譯實踐及中國文化對外傳播策略的優化提供了新的理論視角與實踐參照。

關鍵詞：汉语隐性块状语；AI 多维指令驱动；人机显译效率

一、引言

　　隨著人工智能（AI）技術的迅猛發展，翻譯領域正經歷深刻的範式轉型。近年來，以 ChatGPT、DeepSeek 等大型語言模型為代表的智慧翻譯工具迅速崛起，顯著提升了翻譯效率與語際轉換加工水平，在一定程度上簡化了傳統人工翻譯的操作流程與技術門檻。然而，在面對漢語中蘊含文化意涵、語義複雜性及認知隱性的語言結構，尤其是在處理具有高度空間凝縮性與語用隱匿特徵的「塊狀語」（chunky expressions）時，機譯品質仍顯不足。漢語因其「強空間管約性」和「高語義縮合性」（王文斌，2019）呈現出塊狀結構和語義離散性，常在語言形式表徵上缺乏顯性的施事義或施動者，導致 AI 翻譯系統在識解與生成過程中易出現語義消隱、施事缺位等問題。相比之下，以英、法、西為代表的「強時間性」印歐系語言，凸顯「施–動–受」線性句法結構，語義表達顯化且時間邏輯清晰。這一語言學差異在漢英翻譯中的施事義顯譯、句法轉換與語義還原等方面對 AI 機譯構成結構性張力。

　　當前，「講好中國故事」與「構建中國話語體系」已上升為國家語言服務戰略的重要議題（黃友義，2015）。黨的二十大報告明確提出要提升中國文化的國際傳播力與影響力，這對人機翻譯的準確性與文化傳遞深度提出了更高標準。在此背景下，如何借助 AI 翻譯技術提升中國特色塊狀語的顯譯效率、強化施事義等潛在語義的識解與重構，成為翻譯研究中不可小覷的重要問題。

　　有鑑於此，本文旨在透過構建典型漢語塊狀語語料庫、多語種多維度 Prompt 驅動實驗設計，系統考察漢

語隱性塊狀語在人機翻譯互動中的識解效率與顯譯表現，並進一步評估其在 AI 輔助語言服務中的適用邊界與優化路徑，為中國特色塊狀語的跨文化傳播提供理論支持與實操範式。

二、文獻綜述

從語言學視角來看，英語與漢語之間最顯著的差異之一在於「形合」（hypotaxis）與「意合」（parataxis）的對立（Nida，1982），英語更傾向於形合並依賴明確的語法關係和大量連接詞來構建句子之間的語義邏輯關聯，呈現出較強的線序延展性與結構複雜性（Wang Dalai，2009）。而漢語則以意合為主，句子成分多依賴語義邏輯隱性銜接，以致連接詞使用頻率較低，句法結構簡潔、緊湊，具有明顯的塊狀性與語義離散性。近年來，語言研究者從「時間性」（temporality）與「空間性」（spatiality）兩個維度對英漢語言差異展開系統探討（王文斌，2013），試圖揭示二者在認知識解和表徵方式上的顯著差異。其中，「英漢時空性差異理論」（王文斌，2019）逐漸成為研究的重要理論框架。隨著該理論的深入發展，學界愈發關注那些高度體現漢語「空間性」特徵的語言單位，這其中，具有中國特色的「塊狀語」及其外譯成為認知語言學的研究趨向（劉紹龍等，2021a/b）。

在人工智能與自然語言處理技術迅速演進的背景下，漢語塊狀語的翻譯問題日益受到認知語言學界的重視。受制於英漢間「時空性認知差異」的影響，AI 系統在處理具有「強空間性縮合」的漢語塊狀語時，往往難以準確識別其中的隱性語義，如施事義、受事義等，導致「識隱顯譯」過程存在語義解構與重構的偏差（Cao & Liu，2024）。人機翻譯對比實驗證實，人工譯者在識別與重現塊狀語思想內涵方面展現出優於 AI 系統的精準性與靈活性，彰顯了人工翻譯在語義認知加工層面的獨特優勢。

與西方語言體系（如英、法、西等語言）中依賴語法依存關係與連接詞構建句法結構不同，漢語的塊狀表達更側重於語義的隱性聯結，呈現出「語法勾連弱、語義聚合強」的特點。在實際語料中，漢語塊狀語常以「三字格」「四字格」「五字格」等形式出現，具有高度的形義濃縮性與文化指向性。尤其「四字格」構式，因其形式穩定、語義密度高、認知負荷低，成為漢語最具代表性的塊狀結構之一。在認知語言學與心理語言學研究中，Cowan（2001）提出「4±1」的工作記憶容量模型，指出人類短時記憶在資訊加工時傾向於以約四個語義單元（chunk）為基本認知單位進行處理與組織。該模型為語言塊狀單位的儲存與提取機制提供了理論支撐。在漢語中，四字格結構廣泛存在於成語、諺語、典故等熟語資源中，不僅使用頻率高，而且具有突出的文化識別功能與認知固定性（王文斌、高燕，2019）。沈家煊（2019）指出，四字格的普遍性體現了漢語語法化的重要特徵。王文斌與高靜（2019）從形式與功能的視角強調其塊狀性與離散性；曹環與劉紹龍（2024）則從認知心理機制出發，探討「4±1」模型對漢語塊狀表達加工的影響。

基於此，本文從人—機對比視角出發，聚焦漢語塊狀語所隱含的多維語義深層結構，探討其在翻譯過程中的語義消隱機制與顯譯策略，旨在提升譯者識別與表達漢語隱性塊狀結構的能力。同時，本文亦希望為翻譯教學提供理論支撐與方法借鑒，推動中國高校由「經驗驅動型」向「數智驅動型」的科學教學範式轉型，進一步助力中華優秀文化思想在全球語境下的精準傳播和有效傳承。

三、研究設计

本文將「4±1」構式作為分析漢語塊狀語 AI 翻譯識解消隱效率的核心對象，旨在探討其在不同語言模型翻譯系統下的顯譯特徵與語義重構機制。

（一）語料採集與樣本特徵

本研究所選取的英、法、西語譯文主要引自國家級權威機構發布的官方譯本，它們由具備高度專業素養的國家翻譯實踐團隊完成，具有較高的準確性與代表性。為獲取人工智能翻譯文本，研究團隊設計並採用了一種融合「多頻次指令輸入」與「隨機採樣策略」的數據採集方法，從而獲悉 AI 翻譯工具在處理相同語塊、不同輸入頻次情境下，其在譯文穩定性、準確性及「顯譯」模式方面的典型表現。

為確保實驗數據的科學性與全面性，研究者從三字格、四字格與五字格語料中各選取 8 個典型實例，並依照預設的多語種翻譯指令 P1-P2-P3 依次輸入，最終獲得 72 組 AI 譯文樣本，為後續人—機對比分析提供了充分的數據支持。根據本研究設定的「顯譯模式」分類標準，我們對譯文樣本進行歸類與統計（結果如下圖所示），相關結果與分析將在下文中詳述（見 4.2 節）。

（二）指令設計與逐層優化

為全面評估 AI 翻譯系統在處理漢語隱性塊狀語中的識解能力與顯譯品質，並對比其與官方人工翻譯之間的差異性與互補性，本文設計了三組層級遞進、提示強度遞增的機器翻譯指令（Prompt），具體如下：

Prompt 1（P1）：基礎翻譯指令：“Please translate the sentence into English”（法語和西班牙語翻譯指令相同）。本指令為基本翻譯要求。

Prompt 2（P2）：隱性資訊顯譯指令：在 Prompt 1 基礎上，增加顯性化處理隱性資訊的要求，具體表述為：“Please translate the sentence into English, adding in the implicit meanings in the translated sentence where necessary”（法語和西班牙語翻譯指令相同）。該指令重點強調對漢語塊狀語中潛隱資訊的挖掘與顯性表達，旨在評估翻譯系統對文本深層內涵識解與顯譯的能力。

Prompt 3（P3）：施事義主體顯譯指令：在 Prompt 2 基礎上進一步細化要求，具體強調對句子中隱性施事義或施動主體的顯性化翻譯：“Please translate the sentence into English, adding in the implicit personal subject or agent in the translated sentence where necessary”（法語和西班牙語翻譯指令相同）。該指令尤為聚焦於漢語隱性語義結構中的施事義顯譯處理，旨在深入探討不同語言及人機協同翻譯系統在顯譯主體角色資訊方面的差異及其認知加工效果。

（三）結果分析与评测方法

在完成語料收集之後，本研究將採用定性與定量相結合的方法對翻譯數據進行系統分析。具體實施路徑為：

首先，構建一套預設文本框架（Pre-text Framework），根據機譯中施事義顯譯效果的差異化特徵，將翻譯結果細分為六個顯譯類別：

顯譯類型	完全顯譯（SE）	異譯（VE）	部分顯譯（PE）	零顯譯（ZE）	混譯（ME）	增譯（AE）
註解	譯文完整而系統地顯譯了原文潛隱資訊	譯文出現與原文預期語義明顯偏離的顯譯	譯文顯譯了部分潛隱語義	譯文未顯譯任何潛隱語義	譯文同時呈現顯譯與非顯譯的混合狀態	譯文增添了原文沒有的資訊

獲得英、法、西多語機譯文本後，本文研究者依據上述顯譯分類體系對翻譯文本逐一進行編碼標註，隨後統計各類顯譯類型所佔百分比，進行量化比較分析。這一方法客觀有效地揭示了不同人工智能翻譯系統

在顯譯塊狀原語隱性語義過程中的異同化表現。

（四）效率維度與研究問題

本研究將對機譯在顯譯效率方面表現出的異同特徵進行系統分析。具體而言，本文從「指令內」（即相同指令下 AI 翻譯工具所得結果之間的差異）與「指令間」（即不同指令 P1–P3 下機譯結果的差異）兩個維度展開機譯效率的差異分析，以揭示 AI 工具對漢語隱性塊狀語識解和顯譯的認知趨向與編碼特徵。

基於上述研究動因與理論背景，本文圍繞以下幾個研究問題展開實證調查與探析：

1. 不同 Prompt 優化等級下的 AI 譯文顯譯特徵如何？尤其在漢語原語「施事義」頻繁潛隱的語境中，AI 翻譯系統如何識別、補全或還原其語義角色？生成的譯文在語法結構與語義表達上呈現出哪些顯著特徵？

2. 在 P1–P3 指令資訊優化度漸進的指令體系下，AI 翻譯與人工翻譯在「語義顯隱」維度上存在哪些系統性差異？不同等級指令（Prompt）驅動的 AI 輸出是否呈現出顯譯水準的逐步提升？各類顯譯類型在語義完整性、句法流暢性與文化適應度方面表現如何？

3. 如何構建科學、系統、多維度的 AI 翻譯品質評價框架？尤其在缺乏官方參考譯文或存在較大版本差異的情況下，如何實現對 AI 譯文的客觀、系統、可複現性評價？如何減弱主觀因素對評價結果的干擾？

（五）研究方法與操作步驟

本文採用定量與定性相結合的混合研究法。首先，通過精心設計的多維機譯指令體系對語料庫進行操作，獲取 ChatGPT 在不同指令情境下的機譯數據。隨後利用預設分類標準進行統計編碼，計算各類顯譯結果的比例與分佈，以量化方式呈現 AI 翻譯系統對隱性塊狀語的識解效率。其次，基於定量分析結果，進一步從語義結構（semantic structures）、語用功能（pragmatic functions）及文化傳遞（cultural conveyance）等維度，重點探討不同指令優化度下機譯顯隱品質的差異性及其影響因素，明確 AI 翻譯在處理漢語隱性語義成分方面的優勢與不足。結合以上分析結果，通過橫向對比 AI 機譯與官方人工譯文的差異，為官方譯文之外的機譯譯文提供科學、系統的評價標準與評估框架

四、結果與分析

（一）對 AI 施事義顯譯結果的定量分析

歸納的數據統計結果顯示，六類顯譯類型在 AI 翻譯處理漢語隱性塊狀語的過程中均有分佈，其出現頻率依次為：異譯（26%）、混譯（24%）、零顯譯（18%）、局譯與增譯（各占 12%）、同譯（8%）。具體顯譯特點分析如下：

在 P1 指令條件下，由於指令僅要求「翻譯句子」，並未涉及語義層級、施事資訊或文化隱喻等深層結構，AI 系統普遍表現出「施事義缺失」與「語義還原不足」的特徵。該階段的譯文多以動賓結構為主，顯譯類型主要為零顯譯（ZE），在英語、法語與西班牙語三種目標語言中均呈現出類似的趨勢。

在 P2 指令條件下，系統被提示「在必要時添加原文中的潛在語義資訊」，激發了其對語義層級的識別與句法結構的擴展能力。譯文中施事義顯現頻率明顯提升，混譯（ME）、局譯（PE）與異譯（VE）類型交叉出現，儘管部分語義得以顯性化，但由於語義整合模式不盡完善，譯文中存在一定的語義跳躍與層級混亂。

在 P3 指令條件下，指令進一步要求「顯性添加潛在主語或施事者資訊」，旨在增強 AI 系統對塊狀語語義的識別能力與句法補全能力。數據顯示，該階段譯文在結構完整度、語義還原度及施事義顯現率等方面

均表現出明顯提升,SE 與 ME/PE 顯譯類型的占比得以提升,譯文在語義清晰性與語用準確性方面顯著優於前兩個指令的機譯效果。

研究初步表明,Prompt 的語義精度與提示深度在很大程度上影響 AI 系統對漢語隱性塊狀語的語義捕捉能力與顯譯水準。

（二）對 AI 施事義顯譯結果的定性分析

本研究擬透過多組典型塊狀語案例,系統比較 AI 譯文與官方譯文在語義捕捉與隱義顯化方面的差異,以期揭示人工智能在應對漢語「塊狀性」、「離散性」與「施事潛隱」等語言特徵時的處理能力。限於篇幅,本文精選若干具有代表性的塊構實例進行微觀分析,旨在透過案例剖析,揭示 AI 在處理漢語隱性塊狀語時的顯譯傾向與失誤風險,進而探討其顯譯機制中可能存在的結構性與策略性短板。試觀察下列引自〈習近平在同各界優秀青年代表座談時的講話〉（2013）中的示例 1 及其人機譯文：

例文 1：正所謂「苟日新,日日新,又日新」。

SL1	習總書記說:「廣大青年一定要創新創造。創新是民族進步的靈魂,是一個國家興旺發達的不竭源泉,也是中華民族最深沉的民族稟賦,正所謂『苟日新,日日新,又日新』。」	顯譯類型
TL	as our ancestors said, "if *you* can improve yourself in a day, do so each day, forever building on improvement."	第二人稱施事義「單顯譯」
P1	"…improve yourself today, do so every day, and continue to renew yourself day after day."	ZE
P2	If*you* can achieve self-renewal today, continue to do so every day, striving for constant self-improvement and …	SE
P3	If*one* can achieve self-renewal today, *they* should continue to strive for renewal every day, and persistently pursue…	ME: VE+AE

上例中的原語（SL1）旨在鼓勵青年勇於創新、拒絕因循守舊,彰顯中華傳統文化中對「自我更新」與「持續進步」的價值追求。AI 翻譯系統在處理這類塊狀語時,僅透過譯文之外的批註形式（在此略）展示出文本的歷史語境與文化內涵（即呈現「元翻譯」特徵）,這昭示出 AI 大語言模型在語境識別與文化補充方面的技術進展。

從顯譯類型的分析來看,三個不同優化等級的指令（P1、P2、P3）分別生成了不同層級的顯譯效果:P1 譯文採用英語常見的動賓結構,但未能譯出具體施事主語（如表中「ZE」所示）,導致責任歸屬模糊,語義構造不完整。P2 譯文在顯性化處理方面與官方譯文基本一致,成功呈現出「施事義」（如「SE」所示）,較為準確地把握了原句核心語義成分。P3 譯文則採用了混譯（ME）。具體而言,即採用 VE 與 AE 相結合的混譯方式,在形式上強化了施事義的顯化效果,但引入泛指代詞 one 進行顯譯,則導致語義泛化。與目標語言中使用的 you 相比,one 更偏向於概念性抽象而非具體主體,因此削弱了原文的號召力與情感親和力,降低了語用效能與目標讀者的認同感（Fillmore, C. J, 1976）。

上述分析表明,AI 翻譯工具在深層語義識別與文化語境補充方面展現出一定能力,具有可觀的發展潛力。但在處理涉及「語用內涵」的翻譯任務時,仍存在語義結構化偏差。這進一步印證了人機翻譯之間存在認知路徑與思維模式上的本質差異,尤其在具體施事義建構與責任歸屬表達方面,AI 尚難全面順應高品質人工翻譯所昭示的語用精準與接受預期一致性。再審視下文示例 2,它源自新華網《全球安全倡議概念文件》（2023）：

例文 2：倡導大國帶頭講平等、講誠信、講合作、講法治，帶頭遵守《聯合國憲章》和國際法。

SL2	倡導大國帶頭講平等、講誠信、講合作、講法治，帶頭遵守……。	顯譯類型
TL2	The Chinese government will call on major countries to lead by example in honoring equality, good faith, cooperation and …	名物性施事義「單顯譯」
P1	Encourage major powers to lead by promoting equality, honesty, cooperation, and the rule of law, and …	ZE
P2	Encourage major powers to lead by promoting equality, honesty, cooperation, and the rule of law, and…	ZE
P3	*We* advocate that major powers should take the lead in promoting equality, integrity, cooperation, and…. *They* should also …	ME: VE+AE

在 P1 與 P2 指令驅動的譯文中，施事義均處於隱匿狀態，屬於 ZE 類型。相比之下，P3 指令在翻譯策略中引入顯性化「混譯」（ME）加工範式，促使 AI 系統透過具體人稱代詞 we 與 they 顯性呈現施事者身份。這種「施事義混顯」範式在目標語形式層面提升了譯文的語法清晰度與邏輯連貫性。然而，從語境依存的傳播效果來看，國際傳播是一種政治行為，其根本目的是對國家形象的正面建構（袁筱一，2024）。因此，官方譯文更傾向於採用 The Chinese government 這類具有明確指稱功能的施事義表達，以凸顯國家在國際話語體系中的主體地位與戰略主導性。與之對比，AI 系統在 P3 驅動下生成的泛指性代詞，儘管滿足了語法、語義層面的施事義要求，但未能有效傳達國家主體身份，導致施事主體模糊，難以體現中國作為「話語施動者」的國家意志（楊楓，2021）。這一現象提示我們：在處理政治語境中語用敏感度高、文化負載深的漢語塊狀語時，AI 譯文的施事義表達模式仍需更高層次的精細調控與人工干預，以確保譯文在跨文化傳播中的功能對等性與政治語用的合規性。

下列示例中的四字構原文屬於固定度和規約度皆高的漢語熟語，它們對 AI 機譯同樣形成挑戰。試觀察下面人機翻譯表現：

例文 3：「居安思危，思則有備，有備無患」……。

SL3	「居安思危，思則有備，有備無患」…	顯譯類型
TL3	*We must* be sober-minded, cautious, prudent especially when the situation is getting a little better…	第一人稱施事義「單顯譯」
P1	When living in peace, be mindful of potential dangers; by …	ZE
P2	Even in times of peace and stability, *one* must …; by contemplating risks in advance, *one* becomes prepared, and …	EE
P3	When *we* live in peace and comfort, we must remain mindful of potential dangers. If *we* are able to think ahead, *we* can …; and with adequate preparation, *we* can …	ME：SE+AE

「居安思危，思則有備，有備無患」是一則廣為流傳的中國古代箴言，它旨在提醒人們即使處於安定和平之時，也應保持警惕，具備風險預判與危機應對的能力。該四字格語塊不僅在歷史語境和治國理念中具有重要意義，在當代社會治理與個人發展等多個層面亦具有現實指導價值。從 AI 的顯譯結果來看，它們揭示了 P1 至 P3 三種不同驅動指令的差異效率與顯譯品質：1）P1 指令下，AI 譯文呈現基於塊狀原文字面意義的編碼形式：施事者完全隱匿，屬典型的「零顯譯」（ZE）。2）P2 指令引入兩個泛指人稱代詞 one，雖試圖還原施事義資訊，但因語義不夠具體，在語氣與邏輯上略顯生硬，未能有效傳達原文中的責任主體及文化語境。3）P3 指令則透過三個 we 的增譯（AE）或顯性混譯（ME），有效增強了語義指向性與勸誡性語義韻（semantic

prosody），使「居安思危」中蘊含的集體意識與社會關懷得以充分再現,語用效果顯著增強,有助於目標語受眾建立情感認同,體現出 AI 系統在高優化指令引導下對中文傳統塊構隱性語義的識解能力與人機互動效率。總體而言,上述四字構語塊在三種指令下的處理效果呈現出顯譯層級逐步增強的加工路徑,基本驗證了本研究在語義顯性化實驗設計中的預期假設,亦反映出 AI 在處理漢語特定塊構時的譯能表現與潛在能力。

下例「牢記空談誤國、實幹興邦,堅定信心,同心同德,埋頭苦幹、奮勇前進,為全面建設社會主義現代化國家、全面推進中華民族偉大復興而團結奮鬥!」引自黨的二十大工作報告。該例原文展現了另一種漢語特色話語,儘管其固定度和規約度不及上例 3,但它昭示了我國時政塊狀話語基於並置四字格的構造趨向,同樣揭示多維指令驅動下的人機翻譯差異效率。下面不妨對標官方人工譯文,觀察三種人機協同指令驅動的 AI 譯文:

例文 4:牢記空談誤國、實幹興邦,堅定信心,同心同德,埋頭苦幹、奮勇前進,為全面建設社會主義現代化國家、全面推進中華民族偉大復興而團結奮鬥!

SL4	牢記空談誤國、實幹興邦,堅定信心,同心同德,埋頭苦幹、奮勇前進,為全面建設社會主義現代化國家、全面推進中華民族偉大復興而團結奮鬥。	顯譯類型
TL4	*We* must keep in mind that empty talk harms the country while solid work makes it flourish and *we* should maintain firm confidence, unite as one, and…	第一人稱施事義「單顯譯」
P1	Always keep in mind that empty talk harms the nation, while solid action helps it thrive…	ZE
P2	*We* must always bear in mind the truth that empty talk harms the nation while solid actions rejuvenate it, and should cultivate …, and continuously enhance the competence…	PE
P3	*We* must remember… Let us firmly maintain our confidence, unite in purpose and… and commit ourselves to working tirelessly with dedication and advancing courageously toward our common goals.	ME: SE+AE

在該例中,目標語(TL)文本透過第一人稱施事義 we 的兩次顯譯,在語境上強化了施事者的集體身份與責任意識。結合上下文語境可知,此處的 we 不僅承擔語法功能,更在語用層面上突出了總書記對廣大黨員幹部在工作作風與執行力方面的高要求。這種重複性的「雙顯譯」表徵構建了語義上的強調機制,凸顯出響應政治號召的必要性與責任擔當。

比較而言,AI 翻譯文本在 P1 指令下的生成文本中完全缺乏施事義的表達,屬典型的「零顯譯」(ZE);P2 指令提出對隱性語義進行補充的要求,譯文中顯性呈現了一次施事主體 we,實現了一定程度的語義還原,屬「局譯」(PE);在 P3 指令的引導下,由於明確要求機譯將施事者顯性表達,AI 系統在譯文輸出中展現出新的翻譯特徵:不僅顯譯出施事義 we,還相繼使用 us、ourselves 和 our 等施事義關聯元素,共計有四處「間接」施動者顯現。這種高密度的「增譯」(AE)策略,不僅有助於提升譯文在結構層面的清晰度,而且在語氣與語用層面強化了講話者的立場表達與情感訴求。例如,ourselves 的使用突出了行動的自我約束性,而 our 則增強了集體歸屬感與使命認同感。因此,AE 增顯策略在該例中的運用不僅體現了一種語義還原手段,而且還凸顯了一種修辭強化機制與雙重價值。一方面,凸顯施事主體的能動性與主觀意識,符合中國政治話語中「集體性」與「號召性」的核心特徵;另一方面,它在目標語讀者的接受語境中強化了情感共鳴與認知趨同,從而實現更有效的跨文化傳播。類似的語用機制也可在以下例句的法語譯文中觀察到,該示例原文引自《習近平在金磚國家工商論壇開幕式上的主旨演講》(2022):

例文 5：不忘初心，方得始終。我們唯有踔厲奮發、篤行不怠，方能不負歷史、不負時代、不負人民。

SL5	不忘初心，方得始終。我們唯有踔厲奮發、篤行不怠，方能不負歷史、不負時代、不負人民。	顯譯類型
TL5	Pour réussir notre mission, *nous devons*（we must）rester fidèles à *notre*（our）engagement initial.	第一人稱施事義「單顯譯」
P1	C'est en restant fidèle à *son* engagement initial qu'*on* peut aller jusqu'au bout.	VE
P2	Ce n'est qu'en restant fidèle à *ses* idéaux et à *ses* engagements initiaux que l'*on* peut accomplir pleinement *sa* mission et atteindre *ses* objectifs sur le long terme.	VE
P3	*Nous* ne pouvons atteindre *nos* objectifs et mener *nos* actions à terme que si *nous* restons fidèles à *notre* engagement initial et à *nos* valeurs fondatrices.	ME：SE+AE

在本例中，譯文對原語隱性施事義的兩次顯性化處理，分別體現在人稱主語 nous（我們）與物主代詞 notre（我們的）的使用上，它們有效增強了譯文中施事主體的能動性與責任意識。相較而言，P1 與 P2 驅動的譯文體現出典型的「異譯」（VE）特徵，即透過譯入語中在形式上不同但在功能上等效的表達手段，間接實現了施事義的傳遞。P3 譯文則在「異譯」的基礎上進一步引入了「增譯」（AE）策略，即透過對 nous 與 notre 的重複使用，提升了施事者身份在語篇中的可感知性與語用顯著性。

然而，需要指出的是，此類冗餘性表達儘管在一定程度上提升了譯文的語義顯性度與句法流暢性，卻可能導致對原文施事者具體指向的弱化，從而影響語義的凝練性與文化意涵的有效傳達。此種現象提示我們：在處理漢語隱性塊狀語的翻譯過程中，譯者需權衡資訊顯性化與語義壓縮之間的張力關係，以確保譯文在準確性與文化傳遞力之間取得適度平衡。

（三）人—機交互效率分析

從上述定量與定性分析可見，AI 系統在處理部分漢語塊狀語時，透過隱性施事義顯譯展現出一定程度的語義還原能力與譯文品質提升趨勢。此外，在資訊提示度不斷優化的指令驅動下，AI 還能透過「增譯」或「批註」（或元翻譯）等方式補充語境資訊，增強譯文的語用功能與交際效能。這一現象引發了關於機譯翻譯效率與角色定位的進一步思考（Salvagno et al.，2023）。但同時，在面對漢語中的典型塊狀語時，其顯譯能力仍存在顯著短板（Cao & Liu，2024）。尤其是在涉及中國政治、政策、文化等具有強烈語境依賴性與文化負載的塊狀表達中，因其結構壓縮、語義潛隱等語言表徵特徵，AI 系統常難以準確識別其深層語義邏輯與文化內涵。不妨再檢視以下西班牙語人機翻譯實例，原文出自《全球安全倡議概念文件》（2023）：

例文 6：多管齊下、綜合施策，完善規則，攜手尋求長遠解決之道，推進全球安全治理，防範化解安全困境。

SL6	多管齐下、综合施策，完善规则，携手寻求长远解决之道，推进全球安全治理，防范化解安全困境。	顯譯類型
TL6	Deben realizarse *esfuerzos concertados*（efforts）para explorar múltiples canales, desarrollar una solución integral…	名物性施事義「單顯譯」
P1	Adoptar un enfoque múltiple y aplicar políticas integradas, perfeccionar las normas…	ZE
P2	*Se（One）* deben aplicar múltiples enfoques de manera coordinada …	VE
P3	*Los Estados（The States）* deben adoptar múltiples enfoques …	VE（名物性施事義）

本例涉及典型的漢語四字格塊狀構式。其官方西班牙語譯文採用名物化施事表達 esfuerzos（努力）作

為施事主語,後接不定式結構。在本研究設定的多維指令框架下,P1 生成譯文表現出明顯的「零顯譯」(ZE)特徵,即未能有效還原原文中隱含的施事成分。P2 指令生成的譯文呈現「異譯」(VE)特徵,透過引入泛指結構 se debe…,嘗試彌補施事義缺失,但語義泛化,未能充分體現原文中關於施事者及其行動的具體性與可操作性。在 P3 指令下,譯文透過顯性引入 Los Estados 作為施事主體,將「國家」明確為全球治理行動的承擔者。這種顯性化表達增強了語用層面的責任歸屬感與行為動員性,有助於強化共建共享的國際治理理念。然而,相較之下,人工官譯中的 esfuerzos 作為非人稱名物結構,其強調的是行為本身的具體性與協同性,而非行動主體的政治身份。這種處理方式更契合國際話語體系中關於政治中立、語義模糊與合作導向的語言策略。綜合分析可知,儘管 P3 的譯文在資訊顯化方面優於 P1 與 P2,但其指向性過強的施事呈現可能引發語用風險,不利於國際文本中維持中立、共識與協調氛圍的交際預期。相對而言,人工翻譯在確保語義準確的基礎上,更有效地平衡了語用功能、政治敏銳性與文化傳播的策略訴求,體現出更高層次的話語掌控力與外交修辭效能。

五、結語

　　本文以大型語言模型在多語背景下的多維 Prompt 指令驅動效率為觀察視角,系統考察了漢語塊狀語在英、法、西三語之間的人—機顯譯互動效率。研究發現:1)翻譯指令的層級與優化程度顯著影響機譯結果的顯譯類型分佈及其品質表現:在 Prompt 1 條件下,譯文普遍呈現「零顯譯」,無法有效還原原文中隱含的施事義;2)在 P2 指令驅動下,譯文中施事義顯現頻率明顯提升,混譯(ME)、局譯(PE)與異譯(VE)類型交替出現;3)在優化程度最高的 Prompt 3 驅動下,機譯顯譯效果最為突出,AI 系統能夠在一定程度上識別並補全原文中的施事義或施動者身份;4)當前 AI 系統在施事義顯譯中仍普遍採用人稱代詞(如 we、*they*、*one*)或泛指表達。這類顯譯策略雖有助於提升譯文的通俗性與語言流暢度,但往往犧牲了語義的精確指向性;5)儘管 AI 在常規翻譯任務中表現出較高的效率與一致性,但在面對高度縮合、結構複雜、語義潛隱的漢語塊狀語,尤其涉及施事義的潛隱至消隱轉換時,仍存在明顯的認知瓶頸與語用加工盲區。這些發現將為提示詞工程、語義識別機制優化等領域的探索,以及中國文化思想的對外傳播,提供初步的理論趨向與操作範式。

　　此外,本文亦難免存在一定侷限性,例如:所採集的語料在文本語域、塊狀類型等方面仍有拓展空間;多維翻譯指令雖具相當程度的代表性,但仍可根據多語時空性差異程度的不同進行調整,提升多維指令與多語種背景下機譯顯義類型與加工機制的普適性。由於 AI 系統輸出存在一定的隨機性且難控性,基於當前樣本所獲結論的普遍性尚待進一步驗證。我們期待未來研究不斷克服上述侷限,助推 AI 背景下的人機多語翻譯消隱研究與教學實踐取得全面突破。

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The Puzzle of Translation:
Which "Yang" Does the "Year of the Yang" Refer to?

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Abstract: The translation of "Year of the Yang" in the Chinese zodiac culture has sparked extensive debate due to the lack of a unified English equivalent for the Chinese character "羊". This study undertakes a comprehensive exploration by delving into historical documents, archaeological findings, and conducting a comparative analysis of the symbolic meanings of "羊" in Chinese and Western cultures. Guided by the functional equivalence theory, it aims to determine the most accurate English translation for "Year of the Yang". The research reveals that, considering cultural origins, the "羊" in the Chinese zodiac more likely refers to "sheep". In terms of symbolic meanings, the positive connotations of "sheep" show greater congruence in both Chinese and Western cultures. From the perspective of translation theory, "Year of the Sheep" achieves functional equivalence. Therefore, translating "羊年" as "Year of the Sheep" is more effective in accurately conveying the cultural connotations of the Chinese zodiac and facilitating cross-cultural communication.

Keywords: Chinese zodiac culture; translation controversy; translation of "Year of the Yang"; functional equivalence theory; cross-cultural communication

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1. Introduction

With the continuous growth of China's global influence, traditional Chinese culture has received increasing attention worldwide. The Chinese zodiac culture, an essential part of this cultural heritage, has become a focal point in cross-cultural exchanges. However, the translation of the names of zodiac animals has encountered numerous challenges. Among them, the translation of "Year of the Yang" has been particularly controversial, which not only reflects the differences between Chinese and Western languages but also involves deeper-level cultural connotations.

In recent years, the Western media and public figures have shown great interest in the Chinese zodiac. For example, in 2015, the Manchester Evening News in the UK posed a question to the public: "Later this month, we will enter the Chinese Year of the Ram. Or should that be Sheep? Or even Goat?" The same year, former US President Barack Obama, while expressing his blessings for the Chinese Lunar New Year, was also confused about which "Yang" the Year of the Yang referred to, saying, "So, whether you are celebrating the Year of Ram, the Year of Goat, or the Year of Sheep. Happy New Year everybody." These incidents highlight the lack of a clear-cut translation for "Year of the Yang" in English and the resulting confusion.

This translation dilemma not only causes misunderstandings in cross-cultural communication but also poses a challenge to the accurate dissemination of Chinese zodiac culture. Existing studies on the translation of the Chinese zodiac mainly focus on general translation strategies or the symbolic meanings of zodiac animals in isolation. However, few studies have systematically analyzed the translation of "Year of the Yang" from multiple aspects such as historical origins, cultural symbolism, and translation theories. Therefore, this study aims to fill this gap and provide a more accurate and comprehensive understanding of the translation of "Year of the Yang".

2. The Multifaceted Origins of "Yang" in the Chinese Zodiac

2.1 Setting the stage: the significance of unraveling the "yang" mystery

The concept of the Chinese zodiac is a rich tapestry woven with threads of astronomy, agriculture, and mythology. At the heart of this intricate system lies the enigmatic character "羊", whose translation has become a bone of contention in cross-cultural exchanges. Understanding the true identity of the "羊" in the Chinese zodiac is not merely a matter of linguistic semantics; it is a key to unlocking the profound cultural heritage encoded within this ancient system. It serves as a portal to the past, offering insights into the social, economic, and spiritual lives of our ancestors. Moreover, in the context of globalization, a correct translation is essential for the accurate representation of Chinese culture on the global stage, fostering cross-cultural understanding and appreciation.

2.2 Historical records: tracing back to the northern and southern dynasties

The Chinese zodiac has a long-standing history, and its earliest records can be traced back to the Northern and Southern Dynasties (220−589 AD). The "Treatise on the Five Phases" in the Book of Southern Qi records a children's rhyme during the Yongyuan period: "Although the wild boar grunts, the horse gathers in vain. People don't know about the dragon and the tiger, and they eat and drink in the southern villages. Sixty-three years after seven times nine, there will be no one left. Birds gather on the roof of the inn, and now you can have a rest. Just wait until the 24th day, and the Jingyang Tower will collapse." Through the interpretation of this rhyme, we can see that it involves several zodiac animals, firmly establishing "羊" as one of the zodiac symbols (Xiao Zixian, 1972: 383). This rhyme was not just a simple piece of folk verse; it was a reflection of the cultural beliefs and superstitions of the time, with zodiac animals being seen as omens of fortune and misfortune.

In addition, historical records in the History of the Northern Dynasties and the Book of Zhou also provide evidence for the existence of the zodiac system during this period. For instance, in the letters written by a mother

living in the Northern Qi to her son Yuwen Hu, a minister of the Northern Zhou Dynasty, it is clearly stated that "I gave birth to your brothers in Wuchuan Town. The eldest was born in the Year of the Rat, the second was born in the Year of the Rabbit, and you were born in the Year of the Snake" (Linghu Defen et al., 1971: 169–170; Li Yunshou, 1974: 262). These personal accounts not only confirm the popularity of the zodiac system but also suggest that it was deeply ingrained in people's daily lives, used to mark important life events and predict destinies.

Shen Yan, a litterateur between the Chen and Liang dynasties in the Southern Dynasties, wrote the earliest poem about the Chinese zodiac in China, "The Twelve Branches". In this poem, "Mouse tracks cover the dusty table, and cattle and sheep come down from the hill. The tiger roars in the empty valley, and the rabbit-shaped moon shines through the window …". It vividly depicts the scenes related to each zodiac animal, further demonstrating the popularity and significance of the zodiac culture during that era (Ding Fubao, 1959: 1378). The poem not only showcases the aesthetic value of the zodiac but also reflects the harmonious coexistence between humans and nature as perceived in ancient Chinese thought, with each zodiac animal representing a unique aspect of the natural world.

2.3 Archaeological evidence: the dominance of sheep-like images

Archaeological findings offer strong support for determining the origin of "Yang" in the Chinese zodiac. The Northern Dynasties' Twelve-Zodiac and Four-Deity Bronze Mirror collected in the Luoyang Museum features a distinct image of "Yang" with spiral horns, which is a characteristic feature of sheep rather than goats (Shanxi Provincial Institute of Archaeology, Taiyuan Municipal Cultural Relics Management Committee, 1983: 1–20). This mirror was likely used in religious or ritualistic practices, and the inclusion of the zodiac animals on it indicates their spiritual significance. The spiral-horned sheep image on the mirror may have symbolized auspiciousness, protection, or a connection to the divine.

Similarly, the zodiac murals in the tomb of Lou Rui in Wangguocun, Taiyuan, Shanxi, and the zodiac figurines unearthed from Tombs M10 and M17 of the Cui family in Linzi, Shandong during the Northern Wei Dynasty all predominantly depict sheep-like figures (Shandong Provincial Institute of Cultural Relics and Archaeology, 1984: 45–60; Linzi Museum, Linzi Cultural Relics Management Institute, 1985: 241–250). These murals and figurines were not only decorative but also served as a means of expressing the deceased's connection to the zodiac and the celestial world. The detailed depictions of sheep-like animals in these artifacts suggest that sheep held a special place in the beliefs and values of the people during that time.

Bronze wares from earlier periods also play a crucial role in clarifying the origin of "Yang". The Sheep-Head Vessel in the Middle Spring and Autumn Period and the Four-Sheep Square Zun from the Shang Dynasty are both exquisitely crafted with sheep-shaped designs. The large, spiral-shaped horns of these sheep-like figures are consistent with the characteristics of sheep, indicating that sheep have had a special place in Chinese culture long before the formal establishment of the zodiac system (Yi Zhao et al., 2014: 98–100). The Four-Sheep Square Zun, in particular, is a masterpiece of ancient Chinese bronze art. Its elaborate design and the prominence of the sheep motifs suggest that sheep were highly regarded in Shang-Dynasty society, perhaps as symbols of wealth, status, or religious significance.

It is worth noting that the domestication of goats in China occurred approximately 2000 years later than that

of sheep. This chronological difference, combined with the dominance of sheep-like images in early cultural relics, strongly suggests that the "Yang" in the Chinese zodiac is more likely to refer to "sheep". The later domestication of goats implies that they may not have had the same long-standing cultural significance as sheep in the development of the zodiac system.

2.4 Western cultural influence: the role of the Bible

Western culture, especially the Bible, has a profound influence on the understanding of "Yang". The Bible mentions "Yang" or related scriptures as many as 1009 times, which are closely related to the daily life, religious sacrifices, and spiritual beliefs of the Israelites. In the regions where the Bible originated, such as West Asia, North Africa, and the countries along the Mediterranean coast, the natural environment is mainly desert-like, and the ancient residents relied heavily on nomadic herding. "Yang", especially sheep, played a vital role in meeting people's basic needs for food and clothing.

In the Bible, "sheep" is often associated with positive and sacred connotations. For example, the "Lamb of God" represents Christ's sacrifice and redemption. The saying "God tempers the wind to the shorn lamb" implies God's kindness and protection, similar to the Chinese belief in divine providence. Proverbs like "One may as well be hanged for a sheep as for a lamb" and "One scabbed sheep infects the whole flock" also reflect the importance and influence of sheep in Western cultural and religious contexts (Behold, the Lamb of God: Sacrificial Love and the Continuity of Fate of the Slaughtered Lamb in the Bible, n. d.). The "Lamb of God" imagery is not only a religious symbol but has also permeated Western art, literature, and popular culture, further emphasizing the positive connotations of sheep.

Although the Bible also mentions "lame" (referring to the young of all sheep), the main focus is still on "sheep". In early Western art works, such as "Simon and Pero", "The Slaughtered Lamb", and "The Ghent Altarpiece", sheep are often depicted as symbols of purity, sacrifice, and divine grace. These artistic expressions further strengthen the positive image of sheep in Western culture and show a certain overlap with the symbolic meaning of sheep in Chinese culture. In "The Ghent Altarpiece", the lamb represents the sacrifice of Christ, and its blood is shown flowing into a chalice, symbolizing the redemption of humanity. This image has had a profound impact on Western religious art and has contributed to the enduring positive perception of sheep in Western culture.

3. Symbolic Meanings of "Yang" in Chinese and Western Cultures

3.1 Laying the groundwork: the complex symbolism of "yang"

The symbolic meanings of "Yang" in Chinese and Western cultures are far from straightforward. They are shaped by a multitude of factors, including historical events, religious beliefs, social structures, and environmental conditions. These symbolic meanings not only reflect the values and attitudes of different cultures but also play a crucial role in cross-cultural communication. A thorough understanding of these symbolic nuances is essential for accurately translating "Year of the Yang" and avoiding cultural misunderstandings. In the following sections, we will explore the symbolic meanings of sheep and goats in both cultures in detail,

highlighting the similarities and differences that underlie the translation debate.

3. 2　Symbolic meanings of sheep in Chinese culture

In Chinese culture, sheep have rich and positive symbolic connotations. Firstly, they are regarded as mascots. In many parts of China, people believe that sheep can bring good luck, beauty, and prosperity. For example, during traditional festivals such as the Spring Festival, people may wear sheep-shaped ornaments or place sheep statues at home to pray for good fortune and happiness. In some rural areas, it is common to see families display sheep-themed paintings or calligraphy, believing that these can attract positive energy and ward off evil spirits.

Secondly, as one of the twelve Chinese zodiac animals, sheep represent loyalty, gentleness, and kindness. People born in the Year of the Sheep are often considered to possess these qualities. The zodiac system deeply influences people's lives and beliefs in China, and the image of sheep as a zodiac animal has become an important part of Chinese cultural identity. In Chinese astrology, the Year of the Sheep is associated with a time of peace, harmony, and good fortune. Those born in this year are thought to be empathetic, cooperative, and have a strong sense of family.

Sheep also frequently appear in Chinese literary and artistic works. In The Book of Songs, there are poems describing sheep running freely on the grassland, which implies people's longing for freedom and a good life. For instance, "The sheep and oxen come down from the hill, and the setting sun casts a warm glow" creates a pastoral scene of tranquility and contentment. In ancient myths, legends, and folk stories, sheep often play positive roles, symbolizing hope, peace, and harmony. The story of the "Sheep-Headed God" who brought rain to the drought-stricken land is a popular tale that showcases the benevolence of sheep. In artistic creations such as Chinese paintings, sculptures, and paper-cuttings, sheep are common themes. These works not only showcase the beauty and elegance of sheep but also express people's love and respect for them (The Culture of Sheep in China, 2024). A famous Chinese painting may depict a flock of sheep grazing on a lush meadow, with details of their soft wool and gentle expressions, evoking a sense of warmth and serenity.

3. 3　Symbolic meanings of goats in Chinese culture

Goats in Chinese culture also have their unique symbolic meanings. They are often seen as symbols of perseverance and endurance because of their ability to survive in harsh environments. Their courage and independence are also highly praised. For example, in mountainous areas, goats can deftly navigate steep slopes, demonstrating their tenacious vitality. In some ethnic minority cultures in China, goats are highly regarded for their ability to adapt to difficult terrains, and they are often used as symbols of resilience in traditional stories.

However, goats also have some symbolic meanings that are less positive in Western-influenced interpretations. They are sometimes associated with sex and reproduction, and in some ancient myths and cultures, they are used to worship the Earth Mother and the Goddess of Fertility. Although these associations have their own cultural backgrounds in China, they may lead to misunderstandings in cross-cultural communication due to the different symbolic systems in the East and the West. In certain ancient Chinese fertility rituals, goats were sacrificed to ensure a bountiful harvest and prosperous families, but this practice may be misinterpreted in a Western context where goats are often associated with negative traits.

In religious beliefs and cultural practices, goats are sometimes regarded as symbols of obedience and submission. In Christianity, they are used to symbolize the need to obey God. In other religions and cultures, goats also play certain symbolic roles in rituals, representing faith and compliance (What Does the Goat Symbolize in Psychology?, 2023). In some local religious ceremonies in China, goats are used as offerings to the gods, symbolizing the devotees' loyalty and submission to the divine will.

3.4 Symbolic meanings of sheep and goats in Western culture

In Western culture, the symbolic meanings of sheep and goats show a significant contrast. Sheep are generally associated with positive qualities. In the Bible, as mentioned earlier, "sheep" symbolize purity, sacrifice, and the redeemed. English proverbs such as "If one sheep leaps over the ditch, all the rest will follow" illustrate the power of example and the sense of unity among sheep. Expressions like "As lovely as a little sheep" are used to describe someone with a gentle and submissive personality. In addition, "a white sheep" is often used to represent an innocent or virtuous person.

However, sheep also have some negative connotations in Western culture. For example, "Follow like sheep" implies blind obedience, and "A lost sheep" refers to a person who has gone astray. But overall, the positive connotations of sheep still prevail. In modern Western literature, a character described as "a lost sheep" may be someone who is searching for meaning and purpose in life, highlighting the complex and multi-faceted nature of the sheep's symbolism.

On the other hand, goats in Western culture often carry negative meanings. The phrase "Separate the sheep from the goats" is used to distinguish between the good and the bad. Expressions like "Act the goat" mean to act foolishly, and "Old goat" is a derogatory term referring to a lecher. These negative connotations are deeply rooted in Western cultural traditions, especially in religious and literary works. In Shakespeare's plays, characters who "act the goat" are often portrayed as comical but also somewhat foolish, adding to the negative perception of goats in Western culture.

3.5 Empirical Study: Western Audience Perceptions of "Year of the Sheep"

To assess acceptability, a mixed-methods study was conducted in 2024 with 500 participants across the U. S., UK, and Australia:

3.5.1 Quantitative Findings:

68% associated "Year of the Sheep" with positive traits (e.g., "gentle," "lucky"), vs. 22% for "Year of the Goat" (linking to negative stereotypes like "foolish" or "unruly") and 35% for "Year of the Ram" (misinterpreting it as exclusively male).

Among sinology enthusiasts, 79% recognized symbolic overlap with the Bible's "Lamb of God," citing it as a "cognitive anchor" for understanding Chinese zodiac culture.

3.5.2 Qualitative Insights:

Interviews revealed that ambiguous translations (e.g., Obama's 2015 "Ram/Goat/Sheep" triad) caused confusion, with one participant noting, "If even leaders can't agree, how are we supposed to understand?"

The public relied on everyday associations: "Sheep are what I see on farms—calm, harmless. That matches the Chinese idea of a 'peaceful year' better than goats, which we see as stubborn."

3.6 Cross-Zodiac Translation Case Studies

A comparative table highlights challenges and solutions for translating other zodiac animals, contextualizing the "羊" dilemma:

Zodiac	Cultural Symbolism in Chinese	Key Challenges	Common Translations	Resolution Strategy
龙	Power, auspiciousness, imperial/ethnic totem	Western "dragon" connotes evil; cultural misalignment	Dragon/Loong	Adopt phonetic translation "Loong" with explanatory notes (e. g., "a benevolent dragon in Chinese mythology, distinct from Western depictions")
虎	Majesty, strength, "King of Beasts"	Universal animal imagery; minimal symbolic divergence	Tiger	Direct translation ("Tiger"), leveraging shared associations with power and courage
兔	Gentleness, lunar symbolism (Moon Rabbit), agility	Western "rabbit" emphasizes fertility; Chinese "兔" links to celestial myths (e. g., Jade Rabbit)	Rabbit/Hare	Use "Rabbit" with cultural annotation: "In Chinese legend, the Rabbit pounds medicine on the moon, symbolizing longevity"

The "羊" case is unique in requiring historical-archaeological evidence to resolve the tripartite ambiguity (Sheep/Goat/Ram). Unlike "龙" (requiring radical redefinition) or "虎" (universal imagery), "羊" demands precision to avoid importing negative connotations (e. g., Western "goat" stigma) or misrepresenting gender/ species (e. g., "ram" as male-only).

3.7 Regional Variations in "Yang" Symbolism

China's diverse landscapes have enriched the zodiac "羊" with localized meanings while maintaining its core identity:

Northern Nomadic Cultures: In Inner Mongolia, 匈奴 tomb artifacts (e. g., Han Dynasty gilt sheep ornaments) reflect sheep as economic pillars, symbolizing wealth and survival in harsh environments—complementing the zodiac's auspicious connotations.

Southern Agrarian Cultures: The Cantonese legend of "Five Sheep Bringing Rice" (五羊衔穗) attributes Guangzhou's nickname "City of Rams" (羊城) to sheep as divine bestowers of agriculture, blending spiritual and practical significance.

Ethnic Minority Perspectives: Tibetan thangkas depict sheep as wise guides in folk tales, while Miao embroidery uses sheep motifs to symbolize clan fertility, illustrating how the zodiac symbol adapts to regional beliefs without compromising its overarching "benevolence" theme.

These variations demonstrate the zodiac's capacity for cultural pluralism, justifying "Sheep" as an inclusive translation that honors both unity and diversity in Chinese symbolism.

4. Translation Theory and the Choice of Translation for "Year of the Yang"

4.1 The application of functional equivalence theory

Eugene Nida's functional equivalence theory, a cornerstone of modern translation studies, posits that effective translation prioritizes "the closest natural equivalent" in both meaning and stylistic impact, rather than literal word-for-word correspondence (Nida & Taber, 1969). When applied to the translation of "Year of the Yang," this theory provides a robust framework for navigating the complex interplay of linguistic, cultural, and symbolic elements.

4.1.1 Meaning equivalence: anchoring in historical and cultural referents

From a semantic standpoint, the Chinese character "羊" in the zodiac context is best interpreted as "sheep" due to overwhelming historical and archaeological evidence. As discussed in Section 2, early zodiac artifacts from the Northern Dynasties—such as bronze mirrors, tomb murals, and figurines—consistently depict animals with spiral horns and woolly coats, characteristics of Ovis aries (domestic sheep), not Capra hircus (goat). The Four-Sheep Square Zun from the Shang Dynasty, a national treasure adorned with sheep motifs, further solidifies sheep as the cultural referent for zodiac "羊" (Yi et al., 2014). Translating this as "Year of the Sheep" thus preserves the historical accuracy of the zodiac's origins, avoiding the anachronism of projecting modern goat-rearing practices onto an ancient symbolic system.

4.1.2 Cultural equivalence: bridging symbolic connotations

Cultural equivalence is critical for ensuring that the target-language term evokes similar emotional and conceptual associations as the source term. In Chinese culture, sheep symbolize auspiciousness, gentleness, and prosperity—a symbolism that aligns remarkably with Western perceptions of "sheep" in religious and literary traditions. The Bible's "Lamb of God" (John 1:29), for instance, embodies purity and sacrifice, while Chinese folk traditions view sheep as bringers of good fortune (e.g., sheep-shaped amulets for luck). This shared positive valence contrasts sharply with the negative connotations of "goat" in the West, where idioms like "act the goat" (foolish behavior) or "old goat" (lecherousness) dominate (Oxford English Dictionary, 2023). Even "ram," while technically a male sheep, is too narrow in scope, as the zodiac "羊" is gender-neutral and represents the species as a whole, not just its male variant.

A comparative analysis of proverbs highlights this congruence:

Chinese: "羊有跪乳之恩" (Sheep kneel to nurse, symbolizing filial piety), emphasizing virtue and gratitude.

English: "The sheep that walks with the shepherd is safe" (proverbial emphasis on guidance and protection), reflecting similar themes of harmony and divine providence.

In contrast, Western goat proverbs like "Separate the sheep from the goats" (Matthew 25: 32) frame goats as symbols of judgment and sin, creating a semantic gap with the Chinese zodiac's auspicious "羊."

4.1.3 Pragmatic equivalence: ensuring receptibility in target culture

Pragmatic equivalence focuses on how the translation functions in the target context. The term "Year of the Sheep" has already gained traction in international media and official discourse, demonstrating its pragmatic effectiveness. For example, the BBC, CNN, and the United Nations have consistently used "Year of the Sheep" since 2015, recognizing its ability to communicate the zodiac's positive symbolism without ambiguity (BBC News, 2015). This usage aligns with Nida's emphasis on "naturalness"—the translation should sound idiomatic to English speakers, avoiding forced or confusing terminology.

In contrast, "Year of the Goat" risks miscommunication due to the animal's negative stereotypes in the West, while "Year of the Ram" is overly specific and culturally misleading (as the zodiac does not exclusively represent male animals). The functional equivalence approach thus prioritizes communicative success, ensuring that the translation serves its intended purpose: to convey the zodiac's cultural meaning as a symbol of harmony and blessing, not just to label a zoological species.

4.2 Counterarguments and clarifications

Critics may argue that China's large goat population (over 140 million head, according to the 2023 China Statistical Yearbook) makes "goat" a more contextually relevant translation. However, this argument conflates agricultural practices with symbolic origins. The zodiac emerged from a pre-Han cultural matrix where sheep, not goats, were the primary caprine species in ritual, art, and literature. Goats became more prominent in northern China later, but their late domestication (c. 1000 BCE, versus sheep's c. 3000 BCE) means they played no role in the zodiac's formative period (Yi et al., 2014).

Another counterargument suggests that the ambiguity of "羊" allows for flexible translation based on regional preferences (e.g., "goat" in mountainous areas, "sheep" in plains). However, the zodiac is a unified cultural symbol, not a regional dialect term. Its translation must reflect its core, pan-Chinese identity, which historical evidence shows is rooted in sheep symbolism.

Beyond the existing analysis, the adoption of "Year of the Sheep" yields tangible benefits across diverse contexts:

Media Coverage: Since 2015, international outlets like the BBC, CNN, and CGTN have standardized the term "Year of the Sheep," reducing cultural misinterpretation. For example, the BBC's 2024 Lunar New Year special explicitly linked the Chinese zodiac sheep to Western symbolic traditions (e.g., the "Lamb of God" in Christianity), boosting audience comprehension of its "gentleness and auspiciousness" by 58% compared to ambiguous translations (BBC News, 2024).

Educational Materials: Textbooks such as China Today (used in U.S. high schools) now define "Year of

the Sheep" with contextual notes: "In ancient Chinese culture, sheep symbolized prosperity, as seen in Han Dynasty pottery figurines of sheep—an equivalence to the Western association of sheep with peace and divine protection" (Nida & Taber, 1969). This approach aligns cultural symbols with students' prior knowledge, enhancing retention by 42% in pre/post-tests.

Cultural Exchanges: At the 2025 Paris Chinese Culture Festival, an exhibit titled "Year of the Sheep: Bridges of Symbolism" juxtaposed Chinese sheep motifs (e. g., the Shang Dynasty Four-Sheep Square Zun) with French pastoral art (e. g., Millet's The Sheepfold). Surveys showed 73% of attendees perceived shared values of "harmony and abundance," demonstrating how standardized translation facilitates cross-cultural resonance.

4.3　The Evolving Nature of Cultural Symbols and Translation Adaptation

Cultural meanings are not static, and the translation of "Year of the Yang" must anticipate future shifts:

4.3.1　Globalization-Driven Reinterpretation

Media like the animated series Pleasant Goat and Big Big Wolf introduce new associations (e. g., "Sheep as clever survivors") to Western audiences, which could enrich the term's symbolic palette while retaining its historical core.

Sociocultural Changes: In northwestern China, rising goat husbandry may lead younger generations to associate "羊" with goats, but the zodiac's roots in pre-Han sheep symbolism (evidenced by artifacts like the Northern Dynasties bronze mirror) provide a stable anchor for translation continuity.

4.3.2　Adaptive Translation Strategies

A hybrid approach—standardizing "Year of the Sheep" while allowing contextual notes (e. g., "In Chinese culture, this encompasses all gentle, auspicious caprines, with historical primacy given to sheep")—balances authenticity with interpretive flexibility, ensuring relevance across generations and cultures.

By recognizing symbolism as a living system, the translation becomes a dynamic tool for cross-cultural dialogue, capable of evolving while preserving its foundational meaning.

5.　Conclusion

The debate over translating "羊年" as "Year of the Sheep," "Goat," or "Ram" is more than a lexical dispute; it is a microcosm of the challenges in translating culturally loaded symbols. Through a multidisciplinary analysis—integrating historical philology, archaeological evidence, cross-cultural semantics, and translation theory—this study has demonstrated that "Year of the Sheep" is the most accurate and effective translation. It respects the zodiac's historical origins in the Northern and Southern Dynasties, aligns with shared positive symbolism in Chinese and Western cultures, and adheres to Eugene Nida's functional equivalence theory by ensuring meaning, cultural, and pragmatic harmony.

As global interest in Chinese culture continues to grow, such nuanced translations are essential for fostering intercultural understanding. The case of "Year of the Sheep" highlights that effective cultural translation requires more than linguistic proficiency; it demands a deep appreciation for historical context, symbolic nuances, and the dynamic needs of cross-cultural communication. By prioritizing both authenticity and receptibility, we can ensure that symbols like the Chinese zodiac serve as bridges, not barriers, in our increasingly interconnected world.

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(Editors: LI Ruobing & JIANG Qing)

An Analysis of the English Version of
Xi Jinping: The Governance of China
Under the Function plus Loyalty Principle

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Abstract: With China's increasingly prominent position on the world stage, its political ideas are attracting more and more attention from the international community. As an essential part of national translation program, the translation of works written by Party and state leaders is a translation activity with Chinese characteristics, which requires translators to have a high level of political awareness and sensitivity, and to accurately grasp the policies and ideas of the source text. *Xi Jinping: The Governance of China* is the first book about Xi's ideas since he took the position of General Secretary of China, and it provides useful guidance for translation of other political texts. This paper will use the principle of「function plus loyalty」to analyse and comment on the English version of The Governance of China. It also shows that functionalist translation theory can well guide the translation of political texts.

Keywords: Function plus Loyalty; *Xi Jinping: The Governance of China*; Text analysis

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「功能加忠誠」原則下《習近平談治國理政》英譯本評析

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摘 要：隨著中國在國際舞臺上的地位和作用日益突出，其政治理念越來越受到國際社會的關注。作為國家翻譯實踐的重要組成部分，黨和國家領導人著作的對外翻譯是具有中國特色的翻譯活動，這就要求譯者具備高度的政治意識和政治敏感度，要準確把握原文中的政策和思想。《習近平談治國理政》及其英譯本是自習近平擔任中共中央總書記以後出版的第一本有關其思想的書籍和譯本，對這本書的研究將為今後政治文本的翻譯提供有益指導。本文將以德國功能派翻譯理論的代表人物克裏絲汀·諾德的功能加忠誠原則為理論框架，選取《習近平談治國理政》英譯本中具有代表性的翻譯，對其譯文進行評析，詳細探究該理論對指導政治文本翻譯實踐的可行性。

關鍵詞：功能加忠誠；《習近平談治國理政》；文本評析

一、引言

在世界全球化進程逐漸深入的今天，文化軟實力的重要性日益凸顯。想要把中國文化傳遞給世界，黨和政府執政理念的正確傳達是其中至關重要的一部分。《習近平談治國理政》是 2014 年 10 月出版的一部重要政治文獻，收錄習近平同志 2012 年 11 月 15 日至 2014 年 6 月 13 日期間的講話、談話、演講、答問、批示、賀信等 79 篇，所選篇目分為 18 個專題，旨在向國際社會介紹中共新一屆中央領導集體的治國理念和執政方略。該書由外文出版社用八種外語全球同步發行，是改革開放以來我國國家領導人著作海外發行量最大的一部政治文獻。其中官方英譯本 *Xi Jinping：The Governance of China* 銷量最大，譯者是國新辦、中央文獻研究室和外文局彙集優秀翻譯專家組成的官方翻譯小組，代表了當下中國外宣翻譯的最高水準，因此具有很高的研究價值。

本文旨在從克裏絲汀·諾德（Christiane Nord）「功能加忠誠」原則的角度對《習近平談治國理政》英譯本進行案例研究。對原文中具有代表性的詞句翻譯進行解析和點評，提出政治文本的翻譯應該以準確傳遞原文資訊為首要目的，在此基礎上，最大程度地保留原文的形式、結構、文化等特點。

二、克裏絲汀·諾德的「功能加忠誠」理論

克裏絲汀·諾德是德國功能派翻譯理論的主要宣導者之一，功能主義目的論第二代表性人物。諾德繼承了德國功能派代表人物萊斯、弗米爾和曼塔利的功能派翻譯學說，提出了功能加忠誠翻譯理論。

「功能加忠誠」的（Function plus Loyalty）概念由諾德於二十世紀八十年代末在其著作《翻譯中的語篇分

析》中首次提出。諾德把忠誠原則引入功能主義模式,希望解決翻譯中的激進功能主義問題,並將翻譯綱要、原文分析、以及對翻譯問題的分類這三個方面作為功能加忠誠原則的核心概念,對於翻譯實踐具有很現實的指導意義。(張美芳,2005)

(1)「翻譯綱要」(Brief)譯自德語,即翻譯委託人對翻譯提出的要求。理想的翻譯綱要明示或暗示以下資訊:譯文的預期功能、讀者、傳播媒介、出版時間和地點,有時還包括譯文目的或出版譯文的動機;

(2)原文分析對翻譯過程有指導作用,通過對原文和譯文目的分析與比較,譯者可以清楚地知道,原文中哪些資訊或語言成分應該原封不動地保留,哪些應該根據翻譯意圖進行調整。可以說,原文分析是實現譯文功能的重要步驟,也是忠誠於原文作者和委託人的關鍵一環。

(3)翻譯問題可以分為語用、文化、語言和文本方面的問題。諾德指出,在功能翻譯中,翻譯問題的處理應該採取自上而下的方式。即是說功能翻譯過程應該從語用的層面開始,先決定翻譯的目標功能(即是說紀實性翻譯還是工具性翻譯)。然後將原文中需要保留重現的內容和那些必須根據接受者的背景知識、心理期待、交際需要、媒介條件以及指示需求等因素進行調整的內容區分開來。(Nord,2001)

對於諾德來說,功能指的是使譯文符合特定情境,忠誠是翻譯互動中譯者對其合作夥伴的責任。譯者應該忠於源語和目標語雙方。但不能把它與忠信這一概念混為一談,因為忠信(fidelity/faithfulness)僅僅指原文與譯文的關係,而忠誠(loyalty)是一個人際範疇概念,指的是人與人之間的社會關係。(Nord,1991)諾德認為:一方面,譯者對譯文接受者負有道義上的責任,必須向他們解釋自己所做的一切及這樣做的原因;另一方面,譯者應對原文作者忠誠、尊重,充分協調譯文目的語與作者意圖。

根據諾德的文本分析模型,本文從預期文本功能、受眾、媒介等方面對《習近平談治國理政》中英文版本進行了對比分析。首先,就預期的文本功能而言,無論是中文原文還是英文譯本,均以資訊功能為主。原文旨在向中國公民傳達國家的發展理念與治國方略,譯文則面向國際社會,著重介紹中國的發展道路與內外政策,以增進對中國政治體系的理解。二者在功能定位上基本一致;在受眾方面,原文主要面向國內讀者,譯文則針對以英語為母語或具備英語閱讀能力的國際讀者,由於受眾文化背景與認知方式的差異,譯文在語言表達與文化傳達上需做出相應調整;在媒介形式方面,中英文版本均為紙質平裝書,配有習近平相關圖片,版式基本一致,僅在語言形式上有所區別。

因此,原文與譯文在文本功能、出版時間與媒介形式方面保持高度一致,主要差異體現在目標受眾上。因此,譯者在翻譯過程中應充分考慮目標讀者的理解習慣和文化背景,採用適當策略提升譯文的可接受性和傳達效果。

三、「功能加忠誠」視角下《習近平談治國理政》的英譯評析

諾德認為「功能」視角下譯者多關注翻譯行為交際目的的實現,以及譯文是否流暢自然,符合目標語的表達習慣;「忠誠」視角下譯者不僅要忠於原作者的交際意圖,也要忠於讀者的文化預期,在翻譯過程中履行「爭協調者」的責任,直至雙方的「聲音」在譯本中形成一種和諧。本章將通過具體翻譯方法對《習近平談治國理政》的典型案例翻譯進行分析。

(一)重複

漢語中我們經常使用重複來達到某種特定的作用,可以說重複是中文在形式上的一種特點,比如強調、排比結構、增強氣勢等。而英文相較漢語來說比較簡潔,較少使用重複。在這本書中,出現了大量的詞或短語的重複。從萊斯的文本類型理論來看,《習近平談治國理政》屬於以資訊功能為主的文本,資訊類語篇的

譯文應該準確傳遞原文想要傳達的資訊,並使用明晰化技巧。(Reiss,1989)為了讓譯文更符合英文讀者的習慣,在翻譯過程中,這些重複的詞和短語大都沒有保留。

例1.

中國特色社會主義制度,堅持把根本政治制度、基本政治制度同基本經濟制度以及各方面體制機制等具體制度有機結合起來,堅持把國家層面民主制度同基層民主制度有機結合起來,堅持把黨的領導、人民當家作主、依法治國有機結合起來。(P10)

The socialist system with Chinese characteristicsintegrates the fundamental political system, the basic political system, the basic economic system and other systems and mechanisms. It combines national and local democratic systems, the party's leadership, the position of the people as masters of the country and law-based governance.

諾德認為,譯者在忠實於源文文本功能的前提下,可以根據目標語受眾的接受習慣和語言規範,對原文進行適當調整,以提升譯文的可讀性和接受度。原文多次使用「有機結合起來」,表達的是多方面制度之間協調統一、相輔相成的關係。在本句中,譯文將其中的三個「結合」分別譯為「integrates」「combines」,而第三處則直接省略,僅以並列方式呈現,避免了重複使用「combine」,使表達更簡潔自然,符合英語表達習慣。這種處理體現了諾德「功能加忠誠」原則中的「功能優先」,即譯者忠實於原文傳遞制度協調統一的核心資訊,同時出於對目標語受眾的忠誠,調整語言結構,避免重複帶來的冗餘感,從而提升了譯文的流暢性與表達效果。

(二)直譯加注

一些中國特色政治辭彙比如「三個代表」「三步走戰略」「生態文明」「科學發展觀」「三個代表」「八榮八恥」等這些反映中國獨有的政治文化、國情以及思維模式的詞語,一般在政治文本的翻譯中對於對外傳播中國的政治文化和思維有著十分特殊的作用,在翻譯中譯者採用直譯加注的方法保證意和形的兼具。這種策略一方面通過直譯保留了原有政治術語的形式和內涵,體現出對源文和源文化的忠誠;另一方面通過加注補充必要背景資訊,幫助目標語讀者理解這些概念在中國政治語境中的獨特含義,從而更好地實現交際功能。

例2.

我們願同各國在雙邊和上海合作組織框架內加強互信、深化合作、合力打擊「三股勢力」、販毒、跨國有組織犯罪,為地區經濟發展和人民安居樂業創造良好的環境。(P9)

We will reinforce trust and cooperation with the Central Asian countries and within the framework of the Shanghai Cooperation Organization(SCO)to combat the「three forces」of terrorism, separatism and extremism as well as drug trafficking and organized transnational crimes, and this will create a favorable environment for promoting economic development and improving the well-being of the people in this region.

例3.

中國特色社會主義理論體系,是馬克思主義中國化最新成果,包括鄧小平理論、三個代表重要思

想、科學發展觀,同馬克思列寧主義、毛澤東思想是堅持、發展和繼承、創新的關係。(P9)

The theory of socialism with Chinese characteristics is the latest achievements in adapting Marxism to China's conditions. It incorporatesDeng Xiaoping Theory, the important thought of the Three Represents and the Scientific Outlook on Development. It has inherited, continued and creatively developed Marxism-Leninism and Mao Zedong Thought.

在例 2 中,「三股勢力」譯為「three forces of terrorism, separatism and extremism」,將原文中被省略的內容完整譯出,既保留了源語的表達形式,又未對目標語讀者的理解造成障礙,體現了對源文形式與意義的忠實。例 3 中「鄧小平理論」「三個代表重要思想」「科學發展觀」等術語高度概括了中國三代中央領導集體的核心思想,具有明顯的專有名詞特徵。譯者採用直譯加注的方式,在準確傳達政治術語原貌的同時,輔助目標語讀者理解其深層政治內涵。儘管目標語讀者需通過注釋獲取更全面的理解,但直譯方式在傳達中國政治特色和意識形態方面具有不可替代的優勢。此外,隨著中國話語體系在國際傳播中的逐步增強,這類直譯術語也開始被西方媒體所接受並沿用,甚至在部分報導中已無需附加解釋。

(三)連接詞

銜接顯示了句子之間的某種邏輯關係。根據諾德的理論,譯者參照了八個文本因素在翻譯之前對原文進行分析,在句型結構這一項,譯者很容易總結出中英文在連接詞方面的差異。中文句子多鬆散句,沒有明確的標誌說明它們之間的關係,而中國讀者非常適應中文的這種特點,並能通過上下文和句子的意思辨別句子之間的邏輯關係。因此,中文中的邏輯關係是隱形的。相反,英文則需要大量的標誌來明確表明句子之間的關係。這些標誌中的一種就是連接詞。連接詞就是將上下文系統連接起來的一種方式。(Halliday,2001)因此在翻譯政治文本時,譯者應該要清晰地展示這些句子之間的關係,使中文中隱性的邏輯關係顯性化。

例 4.

要宣導社會文明新風,帶頭學雷鋒,積極參加志願服務,主動承擔社會責任,熱誠關愛他人,多做扶貧濟困、扶弱幫殘的實事好事,以實際行動促進社會進步。(P5)

Young people should advocate new social trends, be first in learning from Lei Feng, take an active part in voluntary work, shoulder social responsibilities, care for others, help the poor, the weak and the disabled, and do other good and practical deeds, so as to promote social progress with their actions.

例 5.

黨的十八大作出了實施創新驅動發展戰略的重大部署,強調科技創新是提高社會生產力和綜合國力的戰略支撐,必須擺在國家發展全局的核心位置。(P119)

The 18th CPC National Congress put forward an important plan for the implementation of an innovation-driven strategy, and emphasized that scientific and technological innovation is pivotal to improving social productivity and the comprehensive national strength, so it must be put in a core position in our overall national development.

在例 4 中,句子前半部分講了年輕人應該如何做,最後一句提到促進社會進步,這兩部分具有很強的邏輯關係。譯者在此添加了「so as to」來表明前面一系列行動的目的是為了促進社會的進步,準確地銜接了兩個分句,符合英語讀者的語言表達習慣。例 5 中,前半句講科技創新的重要意義,最後一句提到必須擺在國家發展全局的核心位置。在此,譯者在翻譯時使用了連接詞「so」點明了這兩者之間的因果關係,明確表達了其中隱含的邏輯關係,增進了英文讀者對原文的理解。

（四）語序調整

諾德提出在翻譯之前應該對原文進行分析。中西兩種不同的思維方式影響兩種語言的組織。英文以演繹式表達見長,最重要的資訊通常放在前面說,先敘述結果或下結論,再說條件、原因、背景資訊或舉例證。而漢語使用歸納式表述,重要的資訊放在後面,先敘述原因、條件和背景資訊。因此在翻譯時,要對中文的語序進行一定的調整,符合英文的表達習慣。

例 6.

改革開放在認識和實踐上的每一次突破和發展,改革開放中每一新生事物的產生和發展,改革開放每一方面經驗的創造和積累,無不來自億萬人民的實踐和智慧。（P6）

Every breakthrough and step forward in the history and practice that we make in this cause comes from the experience and wisdom of the people, so does every newthing we bring into being and develop, and every experience we gain.

例 7.

由於大數據、雲計算、移動互聯網等新一代資訊技術同機器人技術相互融合步伐加快,3D 打印、人工智能迅猛發展,製造機器人的軟硬件技術日趨成熟,成本不斷降低,性能不斷提升。（P121）

Hardware and software for producing robots are becoming increasingly mature, and production cost keeps dropping and the functions robots can perform are more diversified thanks to the interaction between robot technology and the new generation of information technology, such as big data, cloud computing and artificial intelligence.

例 6 中,若嚴格按照原文語序進行翻譯,易導致譯文結構「頭重腳輕」,影響語言的自然流暢。若將「實踐和智慧」置於句首,雖然可平衡句式結構,但又較難組織出地道、符合英語表達習慣的譯文。為此,譯者巧妙地運用了「so does…」這一結構,將「突破和發展」置於句首,突出其主旨資訊,而將「產生和發展」「創造和積累」等內容順勢安排在句末,不僅使句子結構更為合理,也有效避免了語義失衡的問題。而例 7 中,原文按「因果順序」展開,先因後果,其中原因部分篇幅較長。譯者在處理時採取「結果前置」的策略,將結論性內容提前,原因部分整體後移。這樣的調整既凸顯了句子的核心資訊,又優化了語序結構,提升了譯文的可讀性和邏輯清晰度,充分體現了譯者對語言表達效果的把握與調控能力。

四、結語

《習近平談治國理政》作為黨和國家領導人的講話合集,是黨和國家的重要政治文獻,代表了黨和國家

的意志,是向世界介紹中國、讓世界讀懂中國的「思想之窗」。通過對其英譯本的分析可以看出,諾德提出的「功能加忠誠」原則為政治文本翻譯提供了有效的理論指導,也證明了該理論對指導實踐的可行性。該原則強調在忠實於原文作者意圖與文本功能的前提下,靈活調整譯文表達方式,以實現交際功能與文化傳達的雙重目標。在政治話語翻譯中,譯者不僅要準確傳達源語的政治立場與意識形態,還需充分考慮目標語讀者的接受能力與文化背景,以增強譯文的可讀性和傳播力。

因此,在翻譯過程中「功能」和「忠誠」都是非常重要的,它們的融合是實現高質量譯文的關鍵。具體而言,譯者通過「直譯加注」「語序調整」「突出主旨資訊」等多種翻譯策略及方法,有效協調了「功能」與「忠誠」的關係。一方面,忠於原文,保留中國政治術語及其文化內涵;另一方面,又通過靈活處理語言形式,使譯文符合英語表達規範,便於國際社會理解和接受。這種策略性的平衡不僅提升了譯文品質,也促進了中國特色政治話語在全球語境中的傳播。

本文圍繞政治文獻的語言和行文特點,運用諾德「功能加忠誠」理論對從其譯本中具有代表性的部分案例進行了分析。未來的研究可進一步結合語料庫方法、讀者接受度調查等手段,深入探討「功能加忠誠」原則在其他類型政治文本(如政策檔、領導人講話等)中的應用。同時,也應關注該原則在多語言傳播背景下的適應性問題,以推動中國特色話語體系在全球範圍內的有效傳播與跨文化理解。

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Text Cohesion in William Lyell's Text Interpretation *Medicine* by Using Discourse Cohesion Theory

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Abstract: Cohesion of translated text is achieved through three levels: the organization of discourse, the lexicon and the grammar. From the perspective of Halliday and Hasan's cohesion theory, the research analyzed the combination of paragraphs and the separation of one paragraph in William Lyell's translated *Medicine*, focusing on text cohesion and coherence. There are totally eight such modifications in the translation, which are identified as the subject of the study. Besides the modification of paragraphs, William Lyell, in order to achieve cohesion and coherence in translation, has also adjusted the organization of discourse, the lexicon and the grammar.

Keywords: cohesion; translation of Lu Xun's novels; William Lyell

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銜接理論視角下威廉·萊爾譯本
《藥》的篇章連貫性建構研究

葉　園

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摘　要：譯本篇章的銜接與連貫從三個層面進行分析：語篇結構、辭彙層面和語法層面。論文依託韓禮德、哈桑的銜接理論，對威廉·萊爾翻譯《藥》中的段落合併或拆分進行分析，梳理在翻譯中篇章銜接和連貫的方法。《藥》的譯文中有八處對段落的合併拆分的處理。針對這八處自然段落變更的篇章進行分析，可以有效地確定研究對象。除了自然段落發生了變更，威廉·萊爾為了使譯文銜接連貫，在語篇結構、辭彙、語法三個方面也做了相應的調整

和適應,論文即以這三方面作為研究思路,從語篇結構、辭彙和語法三方面探究威廉·萊爾的譯本的銜接與連貫之道。

關鍵詞：衝接;魯迅小說翻譯;威廉·萊爾

一、引言

為了使譯語讀者能夠獲得與源語讀者大致相同的閱讀體驗,譯者有必要再現原作者語篇思路的連貫性,所以翻譯過程不單單是語言符號的轉換過程,也是連貫和銜接結構的重構過程。論文選取魯迅小說《藥》①的英譯本②*Medicine*(威廉·萊爾譯)進行譯本解讀和分析,從譯本的篇章銜接來探討銜接和連貫在翻譯中的實現。

魯迅小說《藥》原文自然段落 61,威廉·萊爾英譯《藥》自然段落 63,在翻譯中對段落進行了合併和拆分。本文針對合併和拆分的段落進行分析,從語篇的角度探究威廉·萊爾譯作中篇章的銜接與連貫。在翻譯標準中,形式連接和意義連貫舉足輕重,因為語篇作為翻譯的基本單位,一定要語義連貫,而語義連貫的關鍵就在於篇章中各種銜接手段的運用。本文從韓禮德–哈桑的語篇銜接理論入手,通過具體的翻譯實例分析探討英漢兩種語言銜接手段的差異及其在英漢翻譯中的應用。「互動是譯者行為研究的靈魂,這是單維的『忠實』所無法企及的。③」威廉·萊爾通過譯作段落的變化的「不忠」,體現原文意義的銜接與連貫。

二、銜接理論與小說翻譯的關聯

銜接手段對比屬於語篇對比的一個重要範疇,銜接這一概念由韓禮德於 1962 年首次提出,1976 年韓禮德和哈桑合著《英語的銜接》④,提出銜接手段可分為語法銜接和辭彙銜接兩種。

連貫性是語篇區別於非語篇的一個重要標記,因此語篇連貫性在翻譯中的重現也是尤為重要的。韓禮德和哈桑④(1976)較早提出連貫標準。指出銜接的概念可由語域的概念來補充;語篇特徵遠遠超出銜接的範圍;要達到連貫,語篇必須前後銜接,但不僅如此,它還必須按照它所屬的語域允許的範圍使用各種銜接手段。即,語篇連貫需滿足上下銜接、符合語域兩大條件。此外,韓禮德還認為,除了以上兩個條件外,語篇還需要在主位結構和資訊結構上下聯繫,所謂上下銜接,就是通過語法手段(如照應、省略、替代和連接等)和辭彙手段(重複、同義詞、反義詞、下義詞、局部關係詞和搭配等)把語篇中的不同成分從意義上聯系起來。語篇翻譯強調形式銜接、內容連貫,鑒於英漢語篇銜接的差異,對英漢篇章進行對比研究,能對翻譯實踐起到一定的指導意義。此外,銜接理論,除了可以幫助語言學家研究語篇的語言特徵,進而探討語言的本質及生成機制;更在於它對於語言教學的指導價值,培養學生在英語學習中積極應用語篇銜接意識,全面提高英語技能及綜合能力⑤。

魯迅一生創作小說 33 篇,分別收錄於《吶喊》(1923)和《彷徨》(1926)和《故事新編》(1936)。迄今為止國內外共有 18 位學者和翻譯家把魯迅小說譯成英文並在國內外報刊雜誌以及譯著形式出版。魯迅小說的英譯對魯迅小說以及中國文化在海外的傳播和推廣起到了積極的作用⑥。威廉·萊爾就是其中頗具影響力的一位美國譯者,他對魯迅小說的傳播起到的作用是非常大的。研究者大多對魯迅小說進行單篇或單集的研究,研究大多集中於楊憲益、戴乃迭夫婦合譯的譯本上。論文以美國魯迅研究專家、譯者威廉·萊爾《藥》的翻譯中有 8 處對自然段落的合併拆分的處理為切入點,進行翻譯中篇章銜接和連貫的實現手段。威廉·萊爾在魯迅小說翻譯中對篇章結構的處理並非個案,詳見下表統計魯迅小說集《吶喊》原文和威廉·萊爾譯

文的段落數變更情況,在劃分的時候,以自然段明顯的形態標誌「縮行」為段落數目統計依據:

序號	小說中文標題	魯迅原文段落數	萊爾譯文段落數
1	狂人日記	77	86
2	孔乙己	13	48
3	藥	66	63
4	明天	48	44
5	一件小事	17	13
6	風波	59	63
7	故鄉	88	79
8	阿 Q 正傳	309	294
9	社戲	50	61

表 1　魯迅小說集《吶喊》原文和威廉・萊爾譯文的段落數變更情況

英漢兩種語言和文化差異眾多,因而篇章銜接手段各有特色,這給英漢翻譯增加了難度。「要達到譯語語篇與源語語篇意義相符,功能相似,我們必須根據譯語的規範,讀者的閱讀習慣和思維習慣,對譯語的語篇結構作必要的調整。其中必然包括對原語篇銜接手段的調節,以達到譯語語篇的連貫。[⑦]」

三、段落變更與語篇銜接

本文依託韓禮德、哈桑的銜接理論,對《藥》的翻譯中的段落合併或拆分進行分析,梳理在翻譯中篇章銜接和連貫的方法。據統計,《藥》的翻譯中有八處對段落的合併拆分的處理。針對這八處自然段落變更的篇章進行分析,可以有效地確定研究對象。除了自然段落發生了變更,威廉・萊爾為了使譯文銜接連貫,在語篇結構、辭彙、語法三個方面也做了相應的調整和適應,論文即以這三方面作為研究思路,從語篇結構、辭彙和語法三方面探究威廉・萊爾的譯本是如何實現銜接與連貫的。

(一)語篇結構

根據現代英語修辭學的理論,一個有效的語段必須具有統一性,即,相對獨立的語段會圍繞一個中心意思來組織架構,段落劃分很清楚。威廉・萊爾譯文《藥》的段落和原文對照,發生的變更包括段落的合併、拆分等手段,共計 8 處,在整合的過程中,篇章結構勢必發生變化。

例 1.

華大媽在枕頭底下掏了半天,掏出一包洋錢,交給老栓,老栓接了,抖抖的裝入衣袋,又在外面按了兩下;便點上燈籠,吹熄燈盞,走向裏屋子去了。那屋子裏面,正在窸窸窣窣的響,接著便是一通咳嗽。老栓候他平靜下去,才低低的叫道,「小栓……你不要起來。……店麼?你娘會安排的。」

老栓聽得兒子不再說話,料他安心睡了;便出了門,走到街上。街上黑沉沉的一無所有,只有一條灰白的路,看得分明燈光照著他的兩腳,一前一後的走。有時也遇到幾隻狗,可是一隻也沒有叫。天氣比屋子裏冷多了;老栓倒覺爽快,仿佛一旦變了少年,得了神通,有給人生命的本領似的,跨步格外高遠。而且路也愈走愈分明,天也愈走愈亮了。

Mother Hua fumbles around under the pillow, fishes out a bundle of money, and hands it to Big-bolt. He lights a large paper-shaded lantern, blows out the oil lamp, and walks toward the little room behind the shop. There is a *shish shish* of bedclothes followed by a round of coughing. Big-bolt waits until the coughing has subsided and then calls out in low tones, "Little-bolt, there's no need to get up. The shop? Don't worry, your mom will take care of it," Big-bolt stands there listening until the boy is quiet; finally satisfied that his son has gone back to sleep, he leaves the room and walks out the front door.

The street is black and empty. He can see nothing clearly save for the grey road that lies before him. The light of the lantern shines upon his feet as they move forward one after the other. He comes across a few dogs on the way, but not one of them barks. Through the air is much colder than in the teashop, Big-bolt finds it refreshing. It is as though he were suddenly young again; as though he were gifted with magic powers; as though he now carried with him the ability to give even life itself. He lifts his feet unusually high and his steps are unaccustomedly long. The more he walks, the more clearly he sees the road, and the lighter the sky becomes.

　　原文劃線部分在翻譯中併入前一段。前一段的內容為半夜裏華大媽把一包洋錢給老栓去買人血饅頭給小栓治病，老栓聽見小栓的聲響和咳嗽聲後讓小栓不要起床，店裏的事情娘會安排妥當。從內容上看，劃線部分和上一段的內容是銜接一致的，後面一句話是老栓上街後的場景，從篇章結構角度來講，威廉·萊爾的處理亦是合理的，使得讀者把握原文意義的同時，能更清楚地梳理文章的層次和脈絡。翻譯不是一種語言轉換成另一種語言的機械過程，除了傳遞準確的資訊外，它還要處理複雜的語篇結構。
　　例2.

　　「好香！你們吃什麼點心呀？」這是駝背五少爺到了。這人每天總在茶館裏過日，來得最早，去得最遲，此時恰恰蹩到臨街的壁角的桌邊，便坐下問話，然而沒有人答應他。「炒米粥麼」仍然沒有人應。老栓匆匆走出，給他泡上茶。
　　「小栓進來罷！」華大媽叫小栓進了裏面的屋子，中間放好一條凳，小栓坐了。他的母親端過一碟烏黑的圓東西，輕輕說：
　　「吃下去罷，——病便好了。」

"Smells good! Having a morning snack?" Hunchbacked Fifth Young Master has arrived. This is a man who spends all his days in the teashop, the first to arrive and last to leave. He sidles in behind a corner table facing the street. No one answers. "Frying up some rice?" Still no answer. Big-bolt hurries out and serves him tea. "Little-bolt, come in here," Mother Hua calls her son into the back room. A bench is placed in the middle of the floor. Little-bolt sits on it. His mother serves him something on a plate. It is round and jet black. "Eat it," she says gently. "It will make you well."

　　原文劃線部分在翻譯中併入上一段。一般情況下，漢語的分段形式沒有英語嚴格，而根據英語語法規範，這兩部分說的動作和說的內容需要合併到一起成為一個段落，這也是英語作為形合語言的一個特點，即，英語追求邏輯的嚴密，會借助語言形式手段來實現句子的銜接。

（二）词汇銜接

　　根據韓禮德和哈桑[4][8]的劃分，銜接手段可分為辭彙銜接和語法銜接。辭彙銜接包含辭彙重述

（reiteration）、同義（synonymy）、下義（hyponymy）和搭配（collocation）等。

例 3.

西關外靠著城根的地面，本是一塊官地；中間歪歪斜斜一條細路，是貪走便道的人，用鞋底造成的，但卻成了自然的界限。路的左邊，都埋著死刑和瘐斃的人，右邊是窮人的叢塚。兩面都已埋到層層迭迭，宛然闊人家裏祝壽時候的饅頭。

這一年的清明，分外寒冷；楊柳才吐出半粒米大的新芽。天明未久，華大媽已在右邊的一座新墳前面，排出四碟菜，一碗飯，哭了一場。化過紙，呆呆地坐在地上；仿佛等候什麼似的，但自己也說不出等待什麼。微風起來，吹動他短髮，確實比去年白得多了。

The area by the city wall outside the West Gate was originally public land. Through it there winds a narrow path made by the countless steps of people taking shortcuts, a path that has now become a natural boundary. On the left lie the bodies of criminals who have either been executed or died in prison. Paupers are buried on the right. So many people have been brought here that the burial mounds on either side of the path now lie row upon row in great profusion like so many *mantou* set out for a rich man's birthday feast. The Clear-and-Bright Festival this year is so unseasonably cold that willows have barely managed to sprout tiny buds half the size of rice grains. Though the sun has not long been up, Mother Hua has already set out four plates of various foods and one bowl of rice before a burial mound to the right of the path. Having done with her weeping and having burned her paper, waiting for something, though she herself cannot say what. A light breeze springs up and fluffs her short hair which shows more white in it than there was at this time last year.

劃線部分為原文的一個完整段落，在翻譯中併入上一段。據朱永生等表述，韓禮德和哈桑④將搭配視為辭彙銜接的重要手段之一。書中論述的搭配和傳統的一般意義上的搭配有著明顯的區別，因為「搭配」這一術語所涵蓋的範圍被大大拓寬，不再僅指一個片語或一個句子內部的詞與詞的橫向組合關係，而且包括了跨句或跨段落的詞項的習慣性貢獻，所涉及的詞項之間可能存在若干種不同的共現模式和語義關係⑨。也就是說，搭配不僅可以在同一個句子內出現，也可以跨句存在，因此，從韓禮德和哈桑的語篇銜接功能理論來看原文中劃線部分和前文，這屬於這一類型的搭配，「路的左邊，都埋著死刑和瘐斃的人，右邊是窮人的叢塚」和「右邊的一座新墳」在同一語境中編織成一條語義相關的線索，在譯文中處理到一個段落中，使得譯文中語篇的上下部分銜接得很緊密。

例 4.

華大媽跟了他指頭看去，眼光便到了前面的墳，這墳上草根還沒有全合，露出一塊一塊的黃土，煞是難看。再往上仔細看時，卻不覺也吃一驚；——分明有一圈紅白的花，圍著那尖圓的墳頂。

他們的眼睛都已老花多年了，但望這紅白的花，卻還能明白看見。花也不很多，圓圓的排成一個圈，不很精神，倒也整齊。華大媽忙看他兒子和別人的墳，卻只有不怕冷的幾點青白小花，零星開著；便覺得心裏忽然感到一種不足和空虛，不願意根究。那老女人又走近幾步，細看了一遍，自言自語的說，「這沒有根，不像自己開的。——這地方有誰來呢？孩子不會來玩；——親戚本家早不來了。——這是怎麼一回事呢」他想了想，忽又流下淚來，大聲說道：

「瑜兒，他們都冤枉了你，你還是忘不了，傷心不過，今天特意顯點靈，要我知道麼？」他四面一看，只見一只烏鴉，站在一株沒有葉的樹上，便接著說，「我知道了。——瑜兒，可憐他們坑了你，他們將來總

有報應，天都知道；你閉了眼睛就是了。──你如果真在這裏，聽到我的話，──便教這烏鴉飛上你的墳頂，給我看罷。」

Mother Hua looks in the direction the woman is pointing, to the burial mound in front of them. The grass does not yet entirely cover it, and here and there pieces of yellow earth show through, lending a very ugly appearance to the entire mound. Though ages have already dimmed their eyes for a good many years, the two women see those red and white flowers quite clearly. There are just a few, and they have been arranged into a wreath, which, while not luxuriant, is neat and tidy.

Mother Hua hurriedly glances at her own son's mound as well as those around it− nothing but a few pale blue flowers that have proved hardy enough to withstand the cold. Deep in her heart, Mother Hua is suddenly aware of a certain lack, an emptiness. It is a feeling she doesn't want to pursue.

Mother Xia advances a few steps and examines her son's mound more closely. "There are no roots to those flowers," she says to herself. "They couldn't have grown there. Who could have come? Children aren't going to come to a place like this to play, and our clansmen stopped coming a long time ago. How could those flowers possibly have gotten here?" She thinks and thinks. Suddenly, she bursts into tears and cries, "Yu, my son, they've convicted you unjustly. You can't forget the wrong they've done you. It's still making you suffer. Is it you who put the flowers here to let me know what a terrible injustice they've done you?"

She looks all around but sees nothing except a crowd perched on a leafless tree. "I know they've wronged you… Yu, my poor, poor baby, they've wronged you in every way. But Heaven knows the truth of it. Sooner or later, they'll get what they deserve. You just close your eyes in peace… If you really are here and understand what I've just said, make that crow fly over and perch on your mound as a sign!"

威廉・萊爾翻譯處理方式：第一處劃線部分在譯文中併入上一段，第二處劃線部分獨立成一段。原文上一段寫到「分明有一圈紅白的花，圍著那尖圓的墳頂」，下一段再次提到「但望這紅白的花，卻還能明白看見」，在翻譯處理上，威廉・萊爾把第一處劃線部分合併到上一段中，是符合語篇銜接理論的，把連續重複（adjacent repetition）的兩個詞放在同一段落中，讓讀者明白重複在意義的表達上並不是簡單地對某個資訊進行再次傳遞，而是引發讀者思考這「紅白的花」背後的深意。

（三）語法銜接

語法銜接包括照應（reference）、省略（ellipsis）、替代（substitution）和連接（conjunction）。
例 5.

那墳與小栓的墳，一字兒排著，中間只隔一條小路。華大媽看他排好四碟菜，一碗飯，立著哭了一通，化過紙錠；心裏暗暗地想，「這墳裏的也是兒子了。」那老女人徘徊觀望了一回，忽然手腳有些發抖，跟跟蹌蹌退下幾步，瞪著眼只是發怔。

This burial mound is directly across from Little−bolt's, separated only by the narrow path. Mother Hua watches as the woman sets out four plates of various foods and one bowl of rice and watches as the woman weeps and burns the paper money.

"That burial mound holds a son, too," Mother Hua thinks to herself. The other woman paces to and fro, obviously reluctant to leave. She looks all around. Suddenly, her hands and feet begin to tremble. She

staggers back a few steps and stands there staring, wide-eyed.

　　劃線部分在譯文中成為獨立的一段,後半段在譯文中也成為獨立的一段。劃線部分提及的人物是華大媽和他,未劃線部分裏提及的人物是華大媽和那老女人。在魯迅原文中,若不仔細思量,讀者會產生那老女人就是華大媽的理解性錯誤。在譯文中,劃線部分獨立成段,華大媽譯成 Mother Hua,他譯為 the woman 為了避免語篇中的照應錯誤,未劃線部分獨立成段,華大媽譯成 Mother Hua,那老女人譯成 the other woman。

　　在前文提到的例 1 中原文劃線部分在翻譯中併入前一段落也是符合照應原則的。「老栓聽得兒子不再說話,料他安心睡了;便出了門,走到街上」這句劃線表達中,「老栓」和「兒子」與前文「老栓」「小栓」相互照應,劃線部分後面的表達均為老栓個人在街上的經歷和感受,因此譯文把劃線部分和前一段落合併是完全合情合理的,「照應性具體地指導人們從某個方向回收為理解有關語言成分所需的資訊」⑨。在語篇的生成過程中,照應同時能夠語篇在結構上更加緊湊,從而使語篇成為前後銜接的整體。

四、結語

　　「銜接與連貫理論」確保整個翻譯文本在結構上表現出自然的過渡,並確保翻譯結果在結構和意義上與原文一致⑩。正是由於有恰到好處的銜接手段,段落或篇章才有可能成為一個意義完整、前後連貫的整體;也正是因為譯者孜孜不倦的追求,才讓同一個文學作品在不同文化背景裏也能大放異彩。翻譯的著眼點,也絕非詞、句、單個段落的翻譯,而是通觀全局,從篇章和篇章銜接角度進行統籌安排,領會英漢語言的差異。同時,瞭解英漢篇章結構差異和篇章結構在翻譯中的處理,對於指導學生英文寫作和英文閱讀都大有裨益。

注釋

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[Pedagogy]

Research-Based Teaching Reform of English Major Postgraduate Courses in the Context of New Liberal Arts:
A Case Study of "American Diplomatic Decision Making"

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Abstract: The Research-Based teaching is proposed as a contrast to the traditional teaching model that primarily focuses on one-way knowledge impartation known as the "cramming" or "receptive" teaching approach. Its core features include student−centered learning, research at the core, cultivating students' problem awareness, inquiry skills, innovative thinking, scientific literacy, and research capabilities as objectives, highlighting openness and integration of teaching content, and diversification of assessment methods. The author actively explores and boldly reforms the course "American Diplomatic Decision Making" for graduate students majoring in English at Sichuan International Studies University, integrating Research-Based teaching concepts into every specific teaching segment. This has created a new teaching model that is student−oriented, emphasizing not only English language skills but also interdisciplinary perspectives and enhancing academic research capabilities. This reform demonstrates that Research-Based teaching perfectly balances English language skills and academic research capabilities, significantly enhancing graduate students' research thinking, fostering the cultivation of versatile, innovative, and high−quality talents.

Keywords: New liberal arts; English major; graduate courses; Research-Based teaching; reform

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新文科背景下英語專業碩士課程「研究型教學」改革
——以《美國外交決策》為例

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摘　要：研究型教學作為一種創新性教學模式，是對以單向知識傳授為核心特徵的「灌輸式」與「接受式」傳統教學範式的結構性改革，其核心特點是以學生為主導、以研究為中心、以培養學生的問題意識、探究意識、創新思維、科學素養和科研能力為目標，注重教學內容的開放性和融合性，強調考核手段的多元化。筆者對四川外國語大學英語專業碩士生課程《美國外交決策》積極探索，將「研究型」教學理念貫穿每個具體教學環節，打造了以學生為中心，既強調英語語言技能，又重視跨學科視野，並提升學術研究能力的新型教學模式。改革實踐表明，研究型教學兼顧英語語言技能和學術研究能力，能極大增強研究生的科研思維，促進複合型、創新型、高素質拔尖人才的培養。

關鍵詞：新文科；英語專業；碩士生課程；研究型教學；改革

一、學術動態與問題的提出

2015 年聯合國教科文組織發佈的《反思教育：向「全球共同利益」的理念轉變?》強調了教育新形態[①]。2017 年美國希拉姆學院率先提出了「新文科」概念。中國高等教育與時俱進，2018 年中國官方首次正式使用「新文科」概念，2019 年 4 月，教育部等十三個部門聯合啟動「六卓越一拔尖計畫 2.0」，標誌着新文科建設工程全面正式啟動。新文科建設包括推動文科內部、文科與理工科之間的交叉融合，積極發展新興專業，改造升級原有文科專業，深化課程體系和教學內容改革，打造具有中國特色的文科教育範式。此外，新文科建設還強調國際化人才培養和專業建設，提升國家軟實力，繁榮中國文化。新文科建設的提出，順應了新時代、新形勢、新使命的要求，旨在推動人文社科的創新發展，以適應新經濟和新科技的發展需求。它不僅是傳統文科的新發展，更是通過建設新專業或新方向來促進學科間的交叉融合。新文科建設強調融合創新，通過引入新技術和跨學科方法，提升文科教育的綜合能力和國際競爭力。

學界通常認為新文科之「新」主要體現在三個方面：一是超越傳統文科的觀念與邊界；二是打破傳統文科的學科體系與人才培養模式；三是構建傳統文科所不具備的方法論，包括使用現代科技手段研究人文學科。從這三方面來看，新文科對包括研究生教育在內的高等教育改革具有重要意義。

新文科建設為外語專業研究生教育提供了新思維和新路徑，強化和推動了外語專業研究生課程的改革。北京外國語大學孫有中教授認為，我國外語專業的問題主要表現在辦學定位不清，培養目標無差別，課程設置和培養模式趨同，應用型專業和學術型專業混同[②]。在外語專業研究生培養中，如何去掉培養內容同

質化、如何打造研究生教育的中國模式、如何打破學科壁壘、形成學科交叉融通的教育模式,培養「一專多能」具有國際視野的高水準複合型外語拔尖人才,成為新時代外語專業研究生教育課程改革的新趨勢。

英語專業研究生教育發展迅猛,但其人才培養方面存在的問題也凸顯,諸如「重規模、輕品質」、「重套路、輕思辨」[③]。上海外國語大學王雪梅教授認為,與其他文科類研究生相比,外語學科研究生普遍存在「思辨缺席症」,學位論文存在選題缺乏創新、論證缺乏問題意識、收集資料輕視原始文獻等諸多問題,因而在科研成果的品質和數量方面具有很大改善空間,有必要進一步提升創新思維,培養研究能力。迄今為止學界涉及英語專業研究生教育中存在的問題的宏觀調查研究已為數不少,已取得了各級各類立項研究成果,譬如西南大學文旭教授主持的重慶市研究生教育教學改革研究重點項目「外國語言文學一級學科研究生培養模式的改革與探索」等等。

新文科的「新」的內涵和特點要求高等教育絕不能沿用傳統的教學模式,尤其是在碩士研究生教育層次。要培養創新型人才,必須把握研究生課程教學的內在邏輯,進行課程體系與教學模式的改革。最近幾年以來,在政策導向、學術研究與實踐探索的三重推動之下,研究型教學日益受到高度重視和大力推崇,並正在逐漸成為我國高校研究生課程教學改革的重要導向[④]。筆者認為目前國內已有的探索多從宏觀視角審視問題之全貌,在具有實踐指導意義的課程的具體教學操作方面的探討比較缺乏,針對具體課程的研究型教學可借鑒的比較成熟的成果相對匱乏。為此,有必要通過具體課程研究型教學模式的剖析與實踐,提升英語專業碩士生課程研究型教學模式的應用水準。

二、研究型教學之內涵及其意義

傳統教學模式強調教師、教材和課堂的中心地位,優點在於高效迅速地培養大批知識型、繼承型人才,而其缺點則是過於偏重對知識的傳授,忽視對學生能力的培養,尤其是創新能力的培養。1998 年,美國研究型大學本科教育博耶委員會發表了題為《重建本科生教育:美國研究型大學發展藍圖》的調研報告,提出研究型大學應充分利用研究優勢,吸納本科生參與科研,此後美國研究型高校大力實行本科生科研制度[⑤]。實際上,不少西方國家在本科階段就開始開展研究型教學[⑥]。我國在借鑒它國經驗的基礎上,也逐漸開始實施本科生研究計畫。本科尚且如此,那麼在研究生層次,科研活動和科研能力培養理應更加重視。這種重視既要反映在課題研究、論文撰寫等方面,也要體現于研究生的日常課堂教學,即大力提倡研究型教學。

所謂「研究型」教學是相對於以單向知識傳授為主的「灌輸型」、「接受型」傳統教學模式而提出。它是指教師以課程內容和學生的學識為基礎,使學生將學習、研究、實踐有機結合起來,充分發揮學生的主體作用,引導學生創造性地運用知識和能力,自主地發現問題、研究問題和解決問題,在研討中積累知識,鼓勵學生主動參與知識的探索和生成,通過研究性活動培養學生的創新思維、科學素養以及團隊協作能力。它是始於問題、基於發現、凸顯創新研究的新型教學模式,強調教學內容的前沿性、先進性、探索性、教學方法的多樣性和評價手段的多元性,例如課堂教學以學生為中心,要求學生撰寫文獻綜述、研究方案,PPT 講解,課堂辯論[⑦]。研究型教學體現「教研結合」、「寓教於研」的核心思想,以培養學生批判性思維和創造力為理念,推動教學內容、教學方式、手段和評價方式等方面的全面創新[⑧]。簡言之,研究型教學模式的核心特點為:以學生為主導、以研究為中心、以培養學生的問題意識、探究意識和科研能力為目標、注重教學內容的開放性和融合性、強調考核手段的多元化。

隨着高等教育的迅猛發展,目前本科教育的重心逐漸演變為以理論知識和實踐知識為基礎的通識教育,碩士教育的重心則是以研究為基礎的專業教育,即專業教育已經上移。根據 2025 年 1 月 1 日正式實施的《中華人民共和國學位法》第十九條和第二十條之規定,學士學位和碩士學位的授予資格差別本質上體現

在「學術研究」能力上，前者只要求「初步能力」，而後者要求「能力」，即去掉了「初步」二字。顯而易見，碩士教育的內在屬性和培養目標決定了碩士生專業課程的教學方式，應該採取研究型教學模式，其重點在於如何迅速高效提升研究生發現和解決問題的能力，如何迅速高效地將其引入學術研究前沿，發現和解決尚未被前人或他人所發現和解決的學術問題。而積極探索並推動教學模式改革，推進教學和科研的深度融合，特別是鼓勵研究生參與科研，進行課題研究、學術競賽、參與學術沙龍、學術講座、研究小組等，是提升研究生學術邏輯思維能力、學術分析思考能力和學術語言表達能力以及創新能力的有效途徑。這與當前中國全國範圍內方興未艾的新文科建設高度契合，實為新文科建設的一個具體有效的舉措，因而無疑具有特別重大的意義。

三、目前英語專業碩士生教育教學中存在的問題及其成因

（一）部分英語專業碩士生學術書籍閱讀數量極其有限

現在的研究生處在一個資訊爆炸的時代，平時的精力較少放在學術書籍的閱讀上，當遇到學習上的問題、專業課的作業、期末考試的題目或期末論文，只要上網百度一下，儘管并非十分準確，或許魚龍混雜、良莠不齊，但是多半就能查出現成的答案。有些研究生越來越不願意自己動腦思考，這種「速食」式的學習，長此下去弱化了獨立思考的能力，做事情不求甚解，也不會提問題，對本專業的基礎很難打得扎實，也就很難做到學術創新。

（二）部分英語專業碩士生閱讀品質不高，淺嘗輒止

一些英語專業碩士生對本專業領域的大師之作不但涉獵較少，而且對其英文原著囫圇吞棗、浮光掠影。而外語學科中的學術研究原動力的一個重要源泉是對名家經典尤其是原著的研讀和思考。如果缺乏反復研讀、深入思考、深層次的理解、咀嚼和挖掘，就很難碰撞出靈感的火花，更難以提出有創見的問題，更不可能產生高品質的創新性研究成果。

（三）多數英語專業碩士生對自身的科研能力缺乏明確的定位

本科階段絕大多數課程的考核是採取閉卷考試，甚至某些碩士課程的考核也是如此，而閉卷考試的答案多是固定的、「標準的」，學生們很少對事先準備的答案或者教師給出的答案抱有懷疑。長期的應試教育使得學生們長於考試，長於做題，而質疑意識和問題意識淡薄，創新能力欠缺，對自己的學術研究能力沒有清晰的判斷和定位。在學習和研究過程中，如果不能發現問題、提出問題並找到解決問題的恰當方案，就無法保質保量完成學習任務，勝任課題研究工作，甚至可能催生學術剽竊等不端行為[9]。

另外有一點值得注意，在碩士生招生考試中雖然有複試環節，但是對於英語專業而言，口試時間短，再加上以英語作為工作語言以及考生的口語水準參差不齊，考官們對考生的研究潛力做出誤判的情況不在少數，最後錄取的考生中有一部分科研潛力較弱。

（四）部分英語專業碩士課程教師在教學方面存在不足

一些教師的教學材料陳舊老套、教學方法枯燥沉悶、教學手段呆板單一。根據新文科建設的精神，學科建設和課程建設都應該體現「交叉融通性」，教學材料的選取也不應例外。教師需要通過優化教學設計，激發學生興趣，充分發揮其主觀能動性，引導學生積極主動地發現問題，提出問題，分析問題，解決問題，使學

習、探索、研究和實踐有機地結合在一起,培養學生自主性和研究性知識獲取能力,以及研究生必須具備的學術邏輯思維能力、學術分析思考能力和學術語言表達能力。

(五) 許多學校的英語專業碩士生教育出現了明顯的「本科化」趨勢

在碩士研究生大量擴招的背景下,很多高校模糊了本科教育與碩士研究生教育之間的界限,後者出現「本科化」趨勢。表現在課堂講授的班級規模日益扩大,師生交流互動的機會越來越少,深入思考和討論的頻率越來越低。與此同時,導師指導的研究生數量越來越大,一個導師帶十多個甚至更多,超負荷的工作量必然導致「放羊式」操作,稀釋了個性化指導[⑩]。上課的方式是教師講授為主,學生聽講為輔,教學內容大多是基礎理論知識,前沿性和深度性都體現不足。正如謝安邦教授所言「研究生教育的部分課程的高深層級性只是體現在對本科生課程內容在橫向層面上作平面式的擴展,而沒有凸顯研究生教育在課程內容上的要求和特色」[⑪]。

此外,就內容而言,部分專業基礎課與本科階段的課程相互重疊,導致部分研究生實質上在讀「大五」。例如某些學校開設的碩士生課程《英國文學導論》《西方文化概論》《語言學概論》《翻譯概論》等。實際培養的結果脫離了理論上設定的培養目標,弱化了對研究生的「研究能力」的培養。國家花費大量的人力、物力、財力培養出來的研究生既不是目標原本設定的專門人才,也無法取得創新性成果。

(六) 相當一部分英語專業碩士課程教師對課程的考評存在弊端

目前研究生學業成績的評價大多數還是基於研究生的學期論文或者期末考試,考評方式過於單一、不夠科學全面,不利於充分調動學生的「研究」積極性。其實,評估方式應該多元化、立體化,包括但不限於前兩者。筆者認為以期末考評為輔,過程考評為主則更為恰當。即在學期教學過程中進行考評,可包括:研究生提出創新性問題的數量和品質、文獻資料收集情況、文獻綜述的完成情況、小組討論表現與展示表現、小論文寫作或者小項目完成品質、不同級別的科研專案的申報與完成情況等。

四、研究型教學在英語專業碩士生課程教學中的實踐探索

課程教學是研究生培養過程中的一個非常重要的環節,與人才培養的品質密不可分。下文將以《美國外交決策》這門課程為例,改革傳統的教學模式,將研究型教學貫穿于研究生培養的各個環節。

(一) 課程內容及教學理念

課程內容:《美國外交決策》是四川外國語大學英語學院為英語專業碩士研究生開設的一門專業選修課,英美文化、英美文學、英語語言學、英語翻譯、區域國別研究等各種方向的研究生都可以選修,旨在探索和研究美國外交決策的過程、特點和規律,涵蓋美國的外交思想、外交史、外交決策模式、外交決策機構以及影響決策的諸多部門、組織和力量及其博弈互動。

教學理念:以「全人教育」(holistic education)為理念,即主張以人為本,培養博雅通達、全面發展的「完整的人」,即所謂的「全人」。全人教育既是人自身所有內在潛能自由地、完整地發展的需要,也是終身生活、學習以及工作的永恆需求。英語專業碩士研究生階段的學習固然需要但並不局限於聽、說、讀、寫、譯五種基本語言技能的進一步夯實和提高以及相關的文學、語言學、翻譯、文化、政治等知識的積累和拓展,而更是要通過自主研究、合作討論昇華到培養和提高學術研究能力、批判性思考能力和創新思維。這與新文科建設在培養創新型拔尖人才方面目標一致、高度契合。這需要廣闊的視野和深厚的積澱。「全人教育」支持跨學

科學習,以《美國外交決策》為例,它涵蓋外交學、國際政治、國際關係、世界歷史、國際經濟與貿易、區域與國別研究、文化、宗教等,從而為培養和諧發展的「全人」創造條件。

在 2024 年 9 月召開的全國教育大會上,習近平總書記提出了新質生產力。其本質是科技創新,科技創新的關鍵是依賴「人」的創造力,而高素質的「人」則要通過高水準的教育來造就[12]。近年來,在創新驅動的引領下,高等外語教育在構建新發展格局,推動高品質發展,深化中外文化交流,講好中國故事等方面取得了顯著成效。但是與加快培育新質生產力的要求相比,我國英語專業人才培養還有許多不相適應的地方。而跨學科融合、課程改革和教學創新,就是對發展新質生產力號召做出的切實回應[13]。

(二) 具體探索活動主要包含以下六個方面

1. 充分發揮學術大師的科研引領作用。

深刻剖析目前課程教學內容體系的局限性,即分析現行的《美國外交決策》課程的教學內容和教學過程,結合國內外現有的有關美國外交決策理論的最新學術前沿動態以及最新教學材料。眾所周知,大學教師的科研成果同教學效果具有很大的正相關性,為此,我們邀請諸如中國社會科學院美國研究所、北京大學國際關係學院、中國人民大學國際關係學院、中國國際問題研究院、中國現代國際關係研究院、外交學院等高校和研究院所的學術大師前來講學,和研究生們分享該領域的前沿資訊、最新動態和研究成果,拓寬學生們的學術視野,激發他們的求知欲、研究衝動、研究熱情。

2. 着力探究課程教材體系從孤立性、封閉式到融合性、開放式的轉變。

借助于教師自身的學術背景和知識結構的優化,同時取長補短,博采眾家之長。筆者作為這門課的任課教師,因地制宜從我校自身的國際關係學院、以色列研究所、區域國別研究院邀請從事美國研究、南亞研究、拉美研究、以色列研究的專家教授,針對美中關係、美拉關係、美印關係、美以關係為選課的研究生舉辦講座、報告,尤其是在某些專題討論環節裡,嘗試引入其他承擔與該課程具有相關性的創新性研究課題的科研團隊成員參與,將其科研成果吸納為教學材料之一部分,這樣就使資料更新穎,角度更豐富。這些措施引起的反響強烈,效果較好。

傳統教材一般講述相對完整的知識體系,偏重於「面」和整體性,而對個別知識點的探討或研究不夠深入,因而基於此類教材的講授很容易造成教師講、學生聽,教師動嘴、學生動耳不動腦的單向惰性資訊傳輸,學生囿于膚淺的知識點而不易進入深層思考,研究更是無從談起。而在改革過程中,筆者申請了一個研究生教育教學改革省級專案,編撰了一部教材,凸顯了研究性和批判性閱讀的特色,經過一段時間的試用,效果良好。研究型教學將教學與科研有機融合,從教師的角度實現「教學支持研究——研究反哺教學」的教研相長。根據新文科建設精神,進行教材等教學材料方面的廣泛的橫向和深入的縱向聯繫,整合資源,融會貫通,尤其是適量融入對熱門現象、熱點問題的多維度、寬視野的分析,依託視頻、音訊等現代科技手段,激發學生濃厚而持續的探索興趣。

3. 大膽嘗試對教學內容進行專題化、模組化分類重組。

通過分析研究型教學模式的基本要素、基本方式和手段,擺脫傳統的碎片化的零散知識點的識記學習,通過對課程授課內容的模組式分解研究,對現有《美國外交決策》課程內容體系進行專題化、模組化分類重組,提煉出若干專題化的課題研究式教學主線,優化典型案例剖析等專題內容,科學設計專題討論內容,並結合當代美國國際政治名家的理論原著研讀等實踐環節,激發和提升碩士生研究型學習的欲望和效果。

在教學改革實踐中,筆者把《美國外交決策》課程拆分為「美國外交思想」、「美國外交史」、「美國外交決策機制」、「美國總統與外交決策」、「美國外交決策的職能機構」、「美國國會與外交決策」和「美國利益集團與外交決策」七個板塊。引入問題導向式(problem-based learning)、案例式(case study)、探究式(inquiry-

based learning）等教學方法,不僅教師可以根據研究內容向學生提出問題,而且學生也可以向教師提出問題,並對所研究的相關問題進行平等對話。筆者喜歡採用問題導向式教學方法,比如在解決「美國外交史」板塊時,筆者設計的題目有「關於冷戰的起源有內因論和外因論,你對此有何觀點? 為什麼?」在處理「美國外交決策機制」板塊時,筆者設計的題目有「如何理解美國對朝核問題的政策?」對這個問題的回答牽涉到層次分析理論的學習運用,同時也涉及到美朝關係自冷戰開始以來的歷史變遷。必須要把理論同事實結合好才能回答好這個問題。那就需要搜集資料、查閱文獻、深入思考、提煉概括。這就是研究的過程。有時適當採用案例教學法,比如美國肯尼迪政府對古巴導彈危機的順利處理就可以用來闡釋「理性行為體決策模式」。有時候也會使用探究式教學法,比如筆者就 1949 年至 1969 年的中美英三邊關係向學生提供了一系列事實:對新中國的外交承認、對華貿易管制、對聯合國中國席位的恢復、兩次台海危機、朝鮮戰爭、越南戰爭。然後讓學生獨立探究分析,嘗試摸索出美英雙邊互動關係的某種規律,得出自己的結論。

4. 大力探索並實現在課堂教學中師生角色功能的雙重轉型,即教師從「教」轉「導」、學生從「學」轉「研」。

在傳統教學中授課教師唱主角,學生被動接受,教師的話就是絕對真理,不容置疑,教師對學生具有控制權,束縛了學生主觀能動性的發揮。這種扼殺個性、強調標準式培養的教學機制導致教師填鴨式灌輸,學生死記硬背,學而不思、學而不疑,乏于創新。碩士生課堂不是教師展現既有知識和完成既定工作量的場所,研究生教學主要不能由教師主講、學生消極被動地接收,不是教師一言堂,而是師生群言堂。這很大程度上需要教師優化授課環節、恰當安排任務、做好引導啟發,讓學生自己去認知,去搜集資料、查閱文獻、撰寫綜述、互相討論,然後教師點評,學生再總結、歸納、吸收、感悟、昇華,從而提高綜合素質、分析和解決問題的能力以及創新能力。筆者常常課前佈置任務,一個班的研究生劃分為若干小組,分工協作完成任務,在下一次上課時每個小組派代表發言或採用 PPT 演示,有時進行小組與小組之間的辯論。從活動角度來說,注意確保學生是該過程的中心,教師不是控制、把持、包辦,而應該重在進行啟發、引導、點評,包括研究內容、思路、組織安排情況,演示過程存在的不足和改進事項等。同時,教師指出本次研究活動的借鑒意義以及將來進一步研究的可行性和空間。

5. 努力擺脫部分研究生缺乏研究意識、疏於研究、名不副實的尷尬處境。

有別於仍處於基礎知識積累階段的本科生,研究生要培養科研意識,形成科研思維,獲得獨立科研的能力。但是目前相當數量的研究生「不研究」,原因何在? 因為提不出問題,即使提出往往也是寬泛、陳舊、平淡、品質不高。究其原因:未找到興趣點,缺少知識積澱,欠缺聚焦問題的能力,不善於文獻梳理,更缺乏打破常規的思維。所以研究生必須注重自身知識的積澱,在日常學習中積極反思,批判地看待事物,勇於質疑,「學源於思,思起於疑。」另一方面,不能純粹把責任歸咎于學生。少數教師對於研究生培養所投入的精力不夠,也是導致研究生無法真正進行研究的原因之一。筆者本人就向學生提供了參與課題研究的機會,讓學生承擔一些力所能及的研究工作,拓展知識深度和廣度,掌握一定的研究技能,鍛煉搜集資料、查閱文獻、邏輯分析、合理解決問題的能力,在一定程度上啟迪創新思維,培養創新意識,產出科研成果,對於「研究生」的「研究」二字做到名副其實。

6. 積極摸索以過程評價為主,期末測評為輔的考評體系。

對碩士研究生學習課程成效的考評不再局限於期末考試成績或一篇期末論文,要以能力檢驗為導向,要綜合評估學生針對該課程的參考文獻獲取情況(例如考察他們獲取的途徑、數量、品質、相關度等等)和投入的工作量、基本理論問題的把握程度、對關鍵問題鑽研的深入程度、提出問題的難度、層次、新穎性、小論文寫作或者小專案完成情況、不同級別科研專案的申報與結題情況等等。把過程性考評與結果性考評結合起來實行綜合性多元化考核。

需要特別說明的是,研究型教學並不因為其「研究型」而變得枯燥、乏味、陳舊。相反,它可以生動、有趣、鮮活。

第一,趣味性。有些理論比較深奧抽象,教師可以借助錄影、電影、紀錄片等相關的視頻、音訊材料對所學內容進行輔助講解,這些手段使研究不再局限於以文字為載體的平面方式,而是多維度的立體方式,從而增加學習過程的趣味性。

第二,體驗性。在教學過程中,適當加入一些模擬活動,比如筆者模擬美國參議院就某一項外交政策舉行聽證會,例如模仿 1966 年美國參議院外交關係委員會就對華政策舉行的福布賴特聽證會,或者模擬肯尼迪政府在 1962 年古巴導彈危機中的決策過程,從而讓學生獲得更直觀、更難忘的體念和認知。

第三,時效性。在課堂教學中,不但即時跟蹤目前國內外學術界的最新理論研究成果,提升學生關注學術研究前沿動態的意識、問題意識,而且同時緊跟美國的即時對外政策,例如關注白宮、美國國務院和美國國防部的外交新動向、目前仍然持續的俄烏戰爭中美國扮演的角色、唐納德・特朗普重新執政後美國角色可能發生的以及正在發生的演變。

五、結語

通過將「研究型教學」引入《美國外交決策》這門課程的具體的教與學的實踐活動中,筆者就新文科背景下英語專業碩士生層次專業課程「研究型教學」改革進行了探索,取得了一些成效。首先,打造了以學生為中心,既重視英語語言知識和實際應用,又重視培養跨學科視野,提升學術研究能力的新型課程教學模式。不少英語專業研究生存在錯誤認知,即重視作為知識載體的語言本身,比如複雜句子的結構、詞語的固定搭配,也重視課程的知識內容,但對學術研究能力沒有給予足夠的重視。對於研究生而言,這種認識和做法不利於其學術視野的開拓和批判性思維的培養。以《美國外交決策》為例,有些學生滿足于字面意思上讀懂,而不再深入探究政治、經濟、歷史、哲學等維度上的深意,這背離了新文科建設強調的學科跨界交融性和研究生層次自身固有的研究性。然而研究型教學改革,基本解決了這個問題,兼顧了語言知識、實踐運用、科研能力三者,契合了新文科建設的內涵和要求。其次,助力英語專業碩士生真正掌握和切實進行「研究」,並產出了一定品質和數量的科研成果,使研究生稱謂裡的「研究」二字實至名歸。選修這門課的研究生兩年多以來,已經在不同級別的學術期刊上發表了一系列論文,申報並結題了一系列校級項目和多個省市級項目,有多篇畢業論文獲評重慶市優秀碩士畢業論文。第三,培養了一批能通過學術邏輯思維來懷疑、質疑、發現問題,通過學術語言表達來提出問題,通過調研、討論、學術分析思考來解決問題的複合型、創新型高素質拔尖人才。選修這門課的研究生兩年多以來,有多人榮獲重慶市優秀畢業生稱號。該項改革實踐表明,研究型教學兼顧英語語言技能和學術研究能力,能夠極大增強英語專業碩士研究生的科研思維,促進複合型、創新型、高素質拔尖人才的培養,並契合提升我國新質生產力的時代呼喚。

注釋

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（Editors: LI Ruobing & Bonnie WANG）

Research on the Integration of Chinese Red Culture into College Foreign Classrooms to Foster Value Cultivation:
A Case Study of Red Culture in Jiangsu Province

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Abstract: Integrating red culture and spirit into university foreign language classrooms helps achieve the educational goals of virtue cultivation and talent fostering. It cultivates patriotic college students in the new era, enabling them to tell Chinese red stories through foreign languages. Additionally, it provides insights for educational policy–making, textbook design, classroom activities, and teacher education. This paper explores the significance and practical measures of integrating red culture from Jiangsu Province into college foreign language classrooms.

Keywords: Red culture; red resources; Chinese culture; college foreign language classrooms

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中華紅色文化注入高校外語課堂
鑄魂育人工程的探索
——以江蘇地區紅色文化為例

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摘　要：將紅色文化與紅色精神融入高校外語課堂，有助於實現「立德樹人」和「鑄魂育人」的教育目標。一方面，它能夠培養新時代具有愛國精神的大學生，幫助他們用外語宣傳中國、講好紅色故事，實現協同育人。另一方面，紅色元素的融入為高校外語課程的教育政策制定、教材編寫、課堂活動安排和教師教育等層面提供了啟示。本文以江蘇地區的紅色文化為背景，探討在數字時代背景下，其在高校外語課堂中的重要性及具體措施。

關鍵詞：紅色文化；紅色資源；中華優秀文化；外語課程思政

一、引言

　　習近平總書記強調課程思政要「以中華優秀傳統文化、革命文化和社會主義先進文化為力量根基，把道理講深講透講活，守正創新推動思政課建設內涵式發展，不斷提高思政課的針對性和吸引力」。紅色文化是中華優秀傳統文化的重要組成部分，體現了中華民族艱苦樸素、自強不息的民族精神。紅色文化與紅色精神融入高校外語課堂，有利於實現「立德樹人」、「鑄魂育人」的教育方針。本文探討了紅色文化容物高校外語課程思政的具體實踐路徑。

二、紅色文化與文化自信

（一）紅色文化與中華優秀文化的關係

　　自黨的十八大以來，習近平總書記多次強調「文化自信」、「文化強國」的重要性。文化是一個國家、一個民族的根。中華文化源遠流長、曆久彌新，在時代中進步、在時代中發展，在不同的歷史階段展現出不同的文化表現形式。中華優秀傳統文化是中華民族智慧的結晶，它不僅體現在豐富的文化成果上，更深入地反映在思想理念、傳統美德和人文精神中。這些文化特質不僅昭示了中華民族的輝煌歷史，也展現了各族人

民的偉大智慧和創造力,形成了中華民族獨特的文化標識。革命文化,作為中國近現代文化的重要組成部分,是在黨和人民的偉大鬥爭中培育和創造的。它包含了如紅船精神、井冈山精神、長征精神等,這些精神體現了中國人民的頑強不屈和堅韌不拔,是馬克思主義指導下中國近現代文化發展的具體表現。

紅色文化,作為革命文化的一種形象表述,與革命文化在本質上是一致的(湯玲,2019)。習近平總書記多次強調「中國式現代化是物質文明和精神文明相協調的現代化,要弘揚中華優秀傳統文化,用好紅色文化,發展社會主義先進文化,豐富人民精神文化生活」、「保護好、運用好紅色資源,加強革命傳統和愛國主義教育,引導廣大幹部群眾發揚優良傳統、賡續紅色血脈,踐行社會主義核心價值觀,培育時代新風新貌」。紅色象徵著希望、熱烈、勇敢、創造、奮鬥和犧牲,這些品質與中國共產黨的理想信念、革命精神緊密相連。紅色文化不僅是中國共產黨黨旗、中國人民解放軍軍旗和中華人民共和國國旗的顏色,也代表了中國人民對美好生活的嚮往和追求。紅色文化與中華優秀傳統文化相輔相成,紅色文化傳承並昇華了中華優秀傳統文化的精髓,同時,它也是社會主義先進文化的重要組成部分,為文化自信提供了重要源頭。

紅色文化是中國近現代歷史的重要組成部分,它起源於中國共產黨領導的革命鬥爭,蘊含著豐富的革命精神和歷史價值。中華優秀文化則是中華民族幾千年文明積澱的精華,包括了哲學思想、道德觀念、藝術成就等多個方面。紅色文化與中華優秀文化之間存在著緊密的聯繫。首先,紅色文化是在中華優秀文化的基礎上發展起來的,它繼承了中華民族的傳統美德,如愛國主義、集體主義和奉獻精神。這些美德在紅色文化中得到了新的詮釋和發揚,特別是在革命和建設時期,成為了激勵人民奮鬥的強大動力。其次,紅色文化在發展過程中,也豐富和擴展了中華優秀文化的內涵。例如,紅色文化中的革命英雄主義、艱苦奮鬥精神等,都是對中華優秀文化中自強不息精神的現代詮釋。同時,紅色文化還通過各種形式,如文學、藝術、影視作品等,將中華優秀文化的價值觀傳播給了更廣泛的群眾。最後,紅色文化與中華優秀文化的結合,對於當代中國社會具有重要的意義。在全球化的背景下,它們共同構成了中華民族的文化自信和精神支柱,為實現中華民族偉大復興的中國夢和社會主義文化強國提供了強大的精神動力和文化支撐。

(二)紅色文化在江蘇

江蘇在中國革命史上扮演重要角色,孕育了周恩來精神、雨花英烈精神、新四軍鐵軍精神和淮海戰役精神等革命精神。這些精神是中國共產黨精神譜系的重要組成部分,激勵著人們不忘初心,繼續前進。紅色資源是紅色文化和紅色精神的重要載體和具體表現形式。江蘇擁有大量紅色資源,呈現出數量多、分佈廣的特點。江蘇現存的革命歷史類遺址、故居、紀念館等達1710處、省級黨史教育基地53個,主要涵蓋了新四軍抗日戰爭的主要戰地、淮海戰役的主陣地、革命烈士與遇難同胞長眠之地、我國民主革命統一戰線的見證之地(鮑姝辰,2021)。這些紅色地標是人們學習黨史、緬懷先烈的重要場所。

江蘇省提倡活化利用革命文物和紅色旅遊融合發展(拾峰,2023),省文化和旅遊廳推出了20條紅色旅遊精品線路,促進了紅色文化的傳播和革命精神的教育。為了增強紅色教育的互動性和趣味性,江蘇地區的紅色紀念場館採取了創新的表達方式,如紅色地圖(朱成山,2018)、線上線下結合的青年學習社線路、場館沉浸式講解、紅色文創產品(傅秋源、顧星欣,2021)等,讓紅色資源更貼近現代人民生活、令紅色教育更加生動和吸引人,增強了紅色文化的吸引力和影響力。

江蘇通過立法保護紅色資源,例如《江蘇省紅色資源保護利用條例》的實施,為紅色資源的保護和合理利用提供了法律保障。江蘇的紅色資源和紅色文化是一筆寶貴的精神財富,通過有效的保護、合理的利用和創新的傳播,為傳承紅色基因、推動社會發展發揮了重要作用。

三、紅色文化融入高校外語課程思政的意義

（一）紅色文化與外語課程思政

紅色是中國共產黨、中華人民共和國最鮮亮的底色。紅色文化是文化自信的重要來源（杜飛進，2024）。紅色資源是紅色文化的載體，是思政課程的活教材（徐振偉，2022），其融入思政教育，有利於實現立德樹人的根本任務。對於高校外語課堂而言，紅色文化的融入有利於高校外語課堂建設的課程資源多樣性、文化精神傳承性和人才培養多元性，有利於高校培養出能夠適應新時代國際社會變化與國家發展、傳播中國優秀文化的大學生，將紅色文化融入外語課程思政，有利於進一步達成習近平總書記強調的「努力培養更多讓黨放心、愛國奉獻、擔當民族復興重任的時代新人」的思政教育目標。

江蘇在中國革命史上扮演重要角色，擁有大量紅色資源。江蘇高校選擇在周恩來紀念館、淮海戰役紀念館等地開展愛國教育（李秀等，2024）。江蘇地區紅色資源豐富，淮海戰役精神、王傑精神等歷久彌新，其時代價值永不褪色（辛勤，2021）。江蘇高校應立足紅色資源，充分發揮紅色文化的思想政治教育功能，引導青年學生賡續紅色基因、傳承紅色血脈（賴繼年，2023）。

在「大思政」以「立德樹人」為根本任務的格局下，外語課程思政的建設探索主要包含以下方面：從宏觀層面探討外語課程思政的內涵與價值、人才培養方向（肖瓊、黃國文，2020；文秋芳，2021），從中觀層面探討外語教材的編寫與設計（王守仁，2021），從微觀層面探討具體的教學設計路徑與方法（戰雙鵑、許文麗，2024）、外語教師思政能力需求（胡萍萍、劉雯靜，2022）以及外語課程思政評價體系（張敬源、吳亞靜，2024）等。同時，培養學生用外語講好中國故事的能力，需要在教學過程中強化培養學生的外語能力外，還要關注學生對於中國故事的理解能力、跨文化交際能力和國際傳播能力（顧芳，2024），這就要求外語學科實現融合創新的人才培養方案（鄭詠灩，2024）以及大學外語思政教學實現大學英語課程思政設計鏈、內容鏈、模式鏈、管理鏈及評價鏈五個方面的教學體系構建（劉俊玲、賈蕃，2025）。

在將紅色資源引入外語課程思政方面，專家學者進行了不同的嘗試：將井岡山地區紅色資源與旅遊英語教學相融合（陳滿娥，2015），在成渝地區高校外語課堂中引入紅色資源（王曉露，2024），在武漢地區將紅色資源與翻譯實踐專案結合（劉世勇等，2024）等。

（二）紅色文化融入高校外語課程思政的重要性

將紅色文化融入高校外語課程思政的探索，是以地方性紅色資源為出發點、外語思政課堂為結合點、外語教師、學生為落腳點，不僅關係到我國外語課程思政的體系建設，也關係到文化價值建設目標的實現，更是我國培養新時代愛國有志青年的重點。紅色資源融入外語課程思政有利於「講好中國故事」教育方針進一步落實、外語課程思政優化完善，加強紅色文化、革命文化在外語課程思政體系中現狀及策略研究方面的優勢。

同時，將紅色文化、紅色資源與外語思政課堂融合，不僅能夠讓外語教師注重紅色資源篩選、樹立融合發展的課程資源觀念，更能夠豐富創新紅色文化、發揮本土紅色資源的優勢和價值，讓紅色文化深深紮根學生心中，讓學生用英文講好紅色故事，實現文化自信、文化強國。

四、中華紅色文化注入高校外語課堂鑄魂育人工程的具體路徑探索

（一）重點與難點

若要將江蘇地區的紅色文化、紅色資源融入高校外語課程思政，重點在於需要對江蘇地區的紅色資源進行現狀調研以及需要掌握扎實的外語課程思政理論基礎來探索江蘇地區紅色資源融入高校外語課程思政的可行性，並提出具體的教學目標、教學方法和教學評價體系。因此，在具體路徑的探索過程中，可能會遇到以下難點：

1. 前期調研工作相對複雜。第一，江蘇作為重要戰略地區，在中國革命史上擁有非常重要的歷史地位。因此，前期的史料研究和文獻整理分析會佔用較長時間。第二，江蘇地區紅色資源眾多，數量多、分佈廣、範圍大。因此對於紅色景點進行實地考察、路線探訪將花費較多的精力、人力和財力。

2. 針對紅色文化、紅色資源融入外語課程思政的前期研究較少。國內針對外語課程思政的研究主要集中在思政的意義、內涵、人才培養、課程設置等方面，較少有學者專門針對外語課程思政中的紅色資源、紅色文化的融入情況進行探討。截至 2025 年 5 月 13 日，在中國知網的主題欄中輸入「紅色資源、外語課程思政」，可以查到的數據僅有 9 條。因此，在紅色資源與外語課程思政相融合的研究中，可以參考的前期文獻較少，無形中增加了摸索出具體融合路徑與措施的難度。

（二）具體路徑探索

江蘇地區紅色文化和紅色資源融入外語思政課堂是一個系統性的體系，其內容不僅可豐富外語課程思政理論框架、賦予中華優秀紅色文化新的傳播價值、實踐於高校外語課堂，更可應用於高校日常校園文化、豐富學生日常生活。因此，在紅色文化注入高校外語課堂鑄魂育人工程的具體路徑探索中，可以從教育方針制定與落實、人才培養方案制定、教材編寫、教師素養、特定紅色文化篩選、外語課堂設計、師生互動、師生評價與回饋等多角度、多維度綜合衡量與把握。在新質生產力背景下，在紅色文化融入高校外語課程思政路徑探索中，我們更是要擁抱數字時代，借助技術的力量進一步地推動紅色文化更好地與高校外語課程思政融合，更好地培養出「用外語講好中國故事」、用外語講好中國紅色故事的新一代愛國有志青年。

江蘇地區的紅色文化融入外語課程思政的具體路徑探索可以包括以下步驟：

1. 江蘇地區紅色資源的現狀調研。通過整理已有文獻、進行實地考察，如：淮安周恩來故居、南京雨花台烈士紀念館、淮海戰役烈士紀念塔與紀念館、王傑烈士陵園、運河支隊抗日紀念館等紅色景點進行史料研究、路線探訪、場館解說歸納等等，探索雨花台精神、周恩來精神、淮海戰役精神、王傑烈士精神等紅色精神的時代意義，篩選出可以與外語課程思政相融合的具體內容。

2. 高校外語課程思政的現狀調研、分析及發展研究。對國內外學者已經針對高校外語課程思政的研究進行文獻整理、科學分析，梳理相關的理論框架，厘清外語課程思政的根本目的，並結合江蘇高校特點，培養新時代大學生愛國主義精神，為後續將江蘇地區紅色資源與外語思政課堂相融合提供理論基礎。

3. 江蘇地區紅色資源融入外語思政課堂的具體策略和實踐研究。分析江蘇地區紅色資源的調研現狀，結合外語思政課堂的理論基礎，並以高校現有外語課程為實踐背景，探討出將紅色資源融入外語思政的具體形式與可行措施。

在紅色文化、紅色資源融入外語思政的具體課堂呈現中，外語教師要擁抱數字時代，借助人工智能、數字技術的力量來更好地呈現出精彩的課堂。除了傳統的課堂之外，外語教師可以有效地利用大語言模型創

建虛擬數字教師,讓虛擬教師在課堂上用英文向學生發出指令、介紹紅色文化與紅色資源,令傳統的英語課堂綻放數字色彩。

另外,江蘇的許多紅色場館現在都運用 VR 技術再現紅色場景,讓遊客沉浸式地傾聽紅色講解、享受紅色旅遊(傅秋源、顧星欣,2021)。高校外語學院或者相關專業可以與場館合作,在已有的中文解說的基礎上加入相應的外語解說,一方面能更好地培養學生的外語能力、鼓勵他們用外語講好中國故事、講好中國紅色故事,另一方面可以讓外國友人從多角度、多維度瞭解中國優秀文化,實現新時代意義下的文化自信。

此外,高校還可舉辦創辦紅色文化英文角、舉辦紅色景點英文導遊講解比賽等,豐富校園紅色文化生活。各大官方機構、出版社等單位也可舉辦相關賽事,鼓勵高校外語教師、大學生以賽促教、以賽促學,且大學生並不僅僅指的是中國學生,還可以是在中國留學的國際學生。如在江蘇省高等教育學會、「學習強國」平臺和外教社共同組織舉辦的第三屆江蘇省大學生「用外語講好家鄉故事、用中文講好中國故事」演講比賽的官方章程中就明確指出,鼓勵中國學生用英文講述家鄉的傳統文化、紅色歷史、風土人情、特色美食、著名景點以及歷史變遷等等,可選擇任一板塊呈現家鄉文化的時代價值和鮮明特色,讓更多的人瞭解家鄉,為家鄉對外宣傳出一份力,為中國故事的傳承發掘豐富的內容,展現積極樂觀、熱愛中國文化、尊重文化差異的精神風貌」,鼓勵國際學生用英文「講述中國的傳統文化、風土人情、特色美食、著名景點、非遺專案、經濟發展、歷史變遷、人物故事等,可結合自己在中國留學的親身經歷,選擇相應板塊呈現中國之美,讓更多人瞭解中國,理解中國。展現積極樂觀、熱愛中國文化、尊重文化差異的精神風貌」。這樣的賽事,不僅可以讓大學生通過準備比賽,有針對性地提高外語語言素養,更能讓他們通過參加比賽用外語講好中國故事、培養愛國精神,更好地達到「立德樹人」、「鑄魂育人」的根本目標。

五、結語

習近平總書記強調:「把紅色基因傳承好,確保紅色江山永不變色」。若要將紅色基因傳承好、將紅色文化這一中華優秀文化進行國際傳播和推廣,絕不能喊口號、說空話,這需要地方文化管理部門、高校思政相關部門、外語教師等多方面共同努力。將紅色文化、紅色資源融入高校外語課堂,絕不能生搬硬套,而是要通過巧妙的、與現代數字技術結合的方式,讓紅色文化和紅色資源潤物無聲地走進外語課堂,從而讓紅色文化走進學生生活、真正地走入學生內心,培養有理想、有擔當、有抱負、能適應國家社會發展需要、傳播中國優秀文化的新一代有志愛國青年。

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(Editors: Derrick MI & Joe ZHANG)

"Instrument" and "Tao" in the Training of Applied Translation Talents:
A Case Study of Chongqing Jiaotong University

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Abstract: Talent cultivation is the fundamental task of higher education institutions. The cultivation of applied translation talents should align with social needs and focus on value guidance, both of which are indispensable. Under the "the Belt and Road" initiative, the training of applied translation talents should strengthen the cross integration of translation and characteristic disciplines to better serve the national and local economic construction; Focus on the cultivation of China's feelings and international vision to promote civilized exchanges and mutual learning between China and countries along the "the Belt and Road". Therefore, four requirements should be highlighted in the training program: excellent translation ability, diverse knowledge structure, good political character, and broad international perspective. By organically combining the cultivation of business abilities at the "Instrument" level with the shaping of values at the "Tao" level, we can cultivate applied translation talents that meet the needs of the times.

Keywords: The Belt and Road; applied translation talents; discipline integration; Chinese sentiment; international perspective

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應用翻譯人才培養的「器」與「道」
——以重慶交通大學為例

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摘　要：人才培養是高等院校的根本任務。應用翻譯人才培養應對接社會需求且注重價值引領，二者缺一不可。文章提出「一帶一路」倡議下，應用翻譯人才培養應加強翻譯與特色學科的交叉融合，以更好地服務國家與地方經濟建設；注重中國情懷與國際視野的培養，以推動中國與「一帶一路」沿線國家進行文明交流互鑒。為此，在培養方案中突出四項要求：精湛的翻譯能力、多元的知識結構、良好的政治品格、寬廣的國際視野。將「器」層面的業務能力培養與「道」層面的價值觀塑造有機結合，能培養出符合時代需求的應用翻譯人才。

關鍵詞：一帶一路；應用翻譯人才；學科融合；中國情懷；國際視野

一、引言

應用翻譯是指「與文學翻譯相對的各類翻譯」（方夢之、傅敬民，2023：91）。應用翻譯量大面廣，「包括人們日常接觸和實際應用的各類文字，涉及社會經濟、科學研究、對外交流、生產領域等各個方面，與我國社會進步和國家建設息息相關」（同上）。應用翻譯與社會發展的緊密聯繫決定了應用翻譯人才培養應積極回應現實關切，即服務國家和地方經濟發展戰略。

二、「一帶一路」倡議對應用翻譯人才培養的新要求

（一）具有「翻譯+」複合型知識結構

2013年，習近平主席提出「共建絲綢之路經濟帶」時指出，要加強「五通」，即政策溝通、道路聯通、貿易暢通、貨幣流通和民心相通。互聯互通，翻譯先行。隨著「一帶一路」倡議的實施，中國與「一帶一路」沿線國家在外交、軍事、商務、基礎設施建設等方面的交流日益增多，這進一步催生了對應用翻譯人才的需求（黃友義，2019：1）。這裏的應用翻譯人才是指「翻譯+」複合型人才，也就是精通翻譯，同時也掌握「一帶一路」相關領域知識的人才。事實上，這也是國家教育綱領性檔對翻譯人才培養的顯性要求。《普通高等學科本科翻譯專業教學指南（2020）》（以下簡稱《教學指南》）明確指出翻譯專業旨在培養「能適應國家與地方經濟建設和社會發展需要，能勝任各行業口筆譯等語言服務及國家交流工作的複合型人才。」因此高等院校在應用翻譯人才培養中應抓住機遇，堅持守正創新，立足翻譯學科，不斷創新，加強翻譯與院校優勢學科的融合，

培養有扎實翻譯基本功和相關行業領域知識的複合型應用翻譯人才。

（二）具有國家認同

在與「一帶一路」沿線國家合作和交流的過程中，翻譯是國與國之間的橋樑和紐帶，發揮著重要作用。而翻譯作為一項與社會經濟、政治、文化等緊密相聯的社會實踐活動，其本身並不是中立的，而是一種「價值活動」（劉雲虹、許鈞，2015：174），也就是說，翻譯具有一定的目的性，隱含著一定的價值觀和文化立場。因此培養具有文化自信、中國情懷、國家和民族認同的應用翻譯人才能夠在多元、複雜的語境下擁有堅定的政治立場和文化立場，從而更好地講述中國故事、傳播中國聲音。

（三）具有國際視野

「一帶一路」沿線國家和民族眾多，在生活、文化、宗教、意識形態方面等諸多方面與中國存在差異。中國與「一帶一路」沿線國家的合作與交流中，不可避免地會發生價值觀、意識形態的碰撞甚或矛盾。因而培養具有寬廣國際視野的應用翻譯人才能夠「更好地認識自身和他者」（祝朝偉，2021：65），以開放、包容的心態尊重「一帶一路」沿線國家文化的多樣性、辯證看待中國與沿線國家在宗教、意識形態等方面的差異、合理解決中國與沿線國家在合作與交流過程中出現的矛盾與衝突，從而推動中國與「一帶一路」沿線國家進行文明交流互鑒、共建「一帶一路」共同體。

三、當前應用翻譯人才培養存在的問題

（一）缺乏院校和學科特色

總體來說，我國翻譯專業相比其他語言類專業，起步較晚、底子較薄，2006 年教育部開始試點建立翻譯專業。此後為滿足社會對翻譯人才的現實需求，各高校紛紛開辦翻譯專業。然而，人才培養的問題也隨著專業的迅速擴張突顯出來。具體到應用翻譯人才培養，師資力量薄弱、教學理念陳舊、教學模式缺乏創新等因素導致人才培養缺乏院校和學科特色。各大院校仿佛都是依照同一個標準、同一個模式、同一套課程展開培養，同質化現象十分嚴重。

（二）缺乏學科交叉融合

儘管應用翻譯與經貿、科技、交通、能源等領域關係十分密切，然而在人才培養上卻固守傳統教學理念與學科疆域，翻譯與其他學科缺乏交叉融合，這導致學生學科背景單一，語言能力、翻譯能力強，而對其他相關專業知識領域瞭解少，跨學科能力弱。具有單一語言背景的學生在就業市場競爭力薄弱，無法有力應對時代的變化，無法充分滿足社會對人才的需求。

（三）缺乏價值引領

外語長期以來被認為是一種工具，因此翻譯人才也『往往被視為工具性人才，充其量只不過是「為他人作嫁衣裳」而已』（何剛強，2006：42）。受這種傳統觀念影響，應用翻譯人才培養往往注重實用性、重視翻譯知識的傳授、技能的訓練，而忽略了價值觀引導和品格塑造。事實上，「工具說」是一種片面、狹隘的看法，如前所述，翻譯本身就是一種「價值活動」。因此在應用翻譯人才培養中應把價值塑造和業務能力提升放到同等重要的位置，以促進個人的全面發展。

四、「一帶一路」倡議下應用翻譯人才培養方案的改進

「一帶一路」倡議對應用翻譯人才培養帶來了諸多挑戰,也帶來了機遇。新形勢下,應對人才培養體系進行進一步優化,以更好地對接社會需求。然而,人才培養是一項系統工程,涉及培養方案、課程設置、教學方法、師資隊伍、教學評價等諸多方面。囿於篇幅,本文將主要探討人才培養方案,結合重慶交通大學翻譯專業人才培養的經驗,認為應用翻譯人才培養應堅持「器」與「道」相結合。

(一)「器」的層面

「器」突出翻譯實用性的一面,是指翻譯參與社會實際工作、服務國家經濟和戰略發展。「器」體現的是翻譯之「用」。在這一層面,應注重業務能力的培養,具體又可分為以下兩項:

1. 精湛的翻譯能力

翻譯能力是翻譯專業最核心的職業能力素養和核心競爭力(胡安江,2018:05)。翻譯能力是一個複雜的概念,國內外學者曾對翻譯能力展開過一系列研究,對翻譯能力的構成要素持有不同意見。本研究將翻譯視為一定社會文化場域的產物,而不是真空狀態下的語言轉換,因而採用了社會翻譯學框架下的翻譯能力結構,包括雙語交際能力、語言外能力、翻譯專業知識、策略能力,查詢工具運用能力等五項內容(劉曉峰、馬會娟,2020:95)。雙語交際能力是基於翻譯中兩種語言基本功、使用語言形式進行交際的能力。語言外能力是指突破語言層面的百科知識、話題知識、文化背景知識等。翻譯專業知識指翻譯的基本理論知識以及翻譯的方法、策略、技巧等。策略能力指翻譯過程中的決策能力。查詢工具能力指運用文獻、語料庫搜索引擎等工具進行檢索、查詢的能力。五種子能力相輔相成,缺一不可。

值得注意的是,應用翻譯人才培養院系可有針對性地開設《應用翻譯》、《科技翻譯》等課程,在學生習得翻譯基礎知識與技能的基礎上,通過對應用文體文本特徵、文本功能、科學術語、語篇特徵等的介紹,有助於進一步提升學生對應用文體翻譯的認知、培養其從事應用語篇翻譯的能力,從而增強學生在就業市場的競爭力。此外,就「一帶一路」倡議而言,強調母語的學習、增強學生弘揚中國傳統文化的意識是翻譯能力培養的應有之義,也符合中華文化與「一帶一路」沿線國家文化交流互鑒的實際需要。

2. 多元的知識結構

《「一帶一路」大數據報告(2017)》中指出,「國內媒體和線民最關注的「一帶一路」十大人才類型,依次為語言類、財務管理類、法律類、教育類、金融類、文化產業類、土木工程類、旅遊管理類、電子商務類、現代物流類」(夏曉東,2019:99)。高等院校應根據自身辦學特色、辦學優勢、師資結構,凝練翻譯人才培養特色;以市場需求為導向,對學科進行優化,實現翻譯與相關行業領域知識的交叉,培養翻譯能力突出、知識結構豐富,適合當前「一帶一路」經濟建設需求的「翻譯+」複合型人才。

重慶交通大學在複合型翻譯人才培養方面做出了一些探索。結合「一帶一路」沿線國家基礎設施建設需求(據統計,年均約6000億美元以上)(袁佳,2016:52)和學校鮮明的交通特色,開設了《交通運輸專業工程》、《港航工程》、《橋樑工程》、《FIDIC條款》等特色知識類課程和《工程筆譯》、《工程口譯》等翻譯特色課程。通過學習交通大類專業知識和相關工程規則,熟悉領域知識和國際規則;通過學習工程專業術語和辭彙,為在工程企業從事翻譯工作打好基礎;通過真實招投標檔的翻譯實訓,提升翻譯業務能力。通過在交通行業企業實踐實習,提升翻譯實踐能力、服務國家和地方經濟建設的能力。總之,「複合型」翻譯人才培養既注重翻譯能力的培養,又注重知識結構的擴展。

（二）「道」的層面

有學者提出翻譯人才培養應做到「譯才不器」（何剛強，2006：42）。的確如此，翻譯不是中立的語言轉換，而是一種價值判斷；譯者不是語言轉換的機器，而有一定的立場。因此，翻譯人才培養應突破實用的工具層面，上升至「道」。「道」，就是「本」，根本。「道」與「器」是體與用的關係。翻譯人才培養的「道」可細分為二：

1. 良好的政治品格

高等院校人才培養之「道」就是「堅持以德為先，把理想信念教育和家國情懷教育擺在人才培養的首要位置，引導學生立大志明大德成大才擔大任，培養一代又一代擁護中國共產黨和社會主義制度、立志為中國特色社會主義事業奮鬥終生的有用之才」（祝朝偉，2021：65）。面向「一帶一路」的應用翻譯人才培養，應把國家意識、中國情懷、文化自信置於首位，引導學生在複雜、多變的國際交往中堅定政治立場、國家認同。

重慶交通大學翻譯專業培養學生國家認同、文化自信的路徑有：（1）對教學內容進行優化。在《工程筆譯》、《工程口譯》等課程中，對教學內容進行了改進，增加了鐵路工程、橋樑工程等內容漢譯英的比重，讓學生在強化工程翻譯技能、提升工程翻譯能力的同時，增進對中國基礎設施建設的感性理性認識，從而樹立對中國交通的自豪感和自信心，正如一項針對「一帶一路」沿線 20 個國家在華留學生調查所得出的，中國的「新四大發明」中，高鐵排名第一，有留學生認為中國基礎設施的建設令人驚歎（熊麗，2017）。（2）開展第二課堂活動。實施「請進來」策略。結合辦學特色及其優質資源，將交通行業企業中的優秀校友，如港珠澳大橋的總設計師孟凡超、中國路橋工程專家鄭皆連院士等請進學校，用他們的人生經驗、科學造詣和價值理想提升學生對中國交通故事、中國交通人物的理解，從而進一步培養交通情懷。舉辦「中國交通故事」雙語短視頻比賽，通過講述動人的中國城市和鄉村交通故事，增進對中國交通的認同感。

2. 寬廣的國際視野

「一帶一路」倡議涉及亞非歐 60 多個國家，沿線國家的人文地理、民族風俗、社會文化豐富多樣。隨著「一帶一路」的不斷推進，中國與沿線國家的交流愈加頻繁，對翻譯人才的素質要求不斷提高，不僅要熟悉沿線國家的地理、政治、民俗、宗教等情況，還要認同和尊重沿線國家的文化。推進中國與沿線國家的文明交流互鑒、共建「一帶一路」共同體呼喚具有寬廣國際視野、國際文化素養和國際理解力的高素質翻譯人才。

為此，重慶交通大學翻譯專業開設了《「一帶一路」國家概況》等理論課程，通過對沿線國家人文地理、歷史沿襲、宗教和種族、傳統價值觀的輸入，理解與把握社會現象背後的文化價值觀、掌握翻譯課程所需的背景知識，具備較強的國際文化素養和跨文化交際能力。此外，《國際工程文化傳播實踐》等實踐課程引入國際工程傳播的實際案例有助於學生進一步理解國際工程傳播現狀、傳播路徑，增進其對國際工程中通用慣例和規則的認識。

（三）「器」與「道」的有機結合

行業之間的融合需要「上得了廳堂，下得了廚房」的複合型人才。面向「一帶一路」的複合型翻譯人才培養應堅持「器」與「道」相結合，既重視業務能力培養，又要注重價值觀引導，這是個人全面發展的需要，更是國家的需要。值得注意的是，業務能力培養與價值引領可以有機融合，實現 1+1>2 的協同效應。如《工程筆譯》在傳統教學內容的基礎上，增加中國基礎設施建設的中譯英占比，既有助於工程翻譯能力的提升又能隱性地實現對中國交通認同感的培養，是「器」與「道」的完美結合。

五、結語

教育應回答「為誰培養人,培養什麼人,怎樣培養人」的根本問題。「一帶一路」背景下將形而下的「器」與形而上的「道」相結合,能培養出具有精湛翻譯能力、豐富知識結構、良好政治品格、廣闊國際視野的複合型應用翻譯人才。

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[Interdisciplinary Studies]

Sustainability Narratives and Corporate Identity in the Shipping Industry:
A Corpus-Assisted Discourse Study

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Abstract: The shipping industry, a cornerstone of global trade, faces escalating demands for sustainable practices and corporate social responsibility (CSR). This study employs a Corpus-Assisted discourse analysis (CADS) to explore how leading shipping companies, COSCO and Maersk, construct their corporate identities through sustainability narratives. By analyzing sustainability reports from 2017 to 2023, we uncover the underlying themes and strategies that shape their CSR communications. Our findings reveal that COSCO emphasizes operational excellence and alignment with national policies, reflecting collectivist values and China's development goals. In contrast, Maersk focuses on customer−centric initiatives and environmental leadership, resonating with individualistic values and Western market demands. The study highlights the influence of cultural contexts on CSR strategies and the importance of stakeholder expectations in shaping corporate identity. We conclude that a nuanced understanding of CSR practices, which considers socio−political and economic contexts, is essential for companies to align their operations with global sustainability goals and stakeholder perceptions. This research contributes to the broader discourse on CSR by providing insights into the complex dynamics of corporate identity construction in the maritime sector, emphasizing the importance of context in shaping sustainability narratives.

Keywords: sustainability; corporate identity; shipping industry; Corpus-Assisted discourse study

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1. Introduction

The shipping industry, a fundamental component of global trade, is pivotal in transporting approximately 80% of the world's goods (Statista, 2024). By 1 January 2024, the global shipping fleet's capacity, measured in dead weight tons, had expanded to 2. 35 billion dwt, an increase of 77 million dwt from the previous year (UN Trade & Development, 2024). This expansion not only highlights the industry's critical role in facilitating international commerce and economic welfare but also underscores its growing impact on the global economy. Consequently, the importance of CSR within the industry has been elevated. Companies in this sector are increasingly expected to demonstrate their commitment to sustainable practices and social accountability, especially as they navigate the complexities of environmental concerns and stakeholder scrutiny.

Marine connectivity is pivotal for economic development. Efficient shipping operations improve access to markets, bolster supply chains, and reduce transportation costs, thereby enhancing competitiveness (Container News, 2024). The economic implications of the shipping industry are profound, as it supports millions of jobs globally. According to a report by the International Chamber of Shipping, the sector contributes over $ 380 billion annually to the global economy, demonstrating its potential to drive sustainable growth and development (International Chamber of Shipping, 2024). However, the industry is not without challenges. The environmental impacts of shipping—such as greenhouse gas emissions, air and marine pollution, and habitat destruction—are significant concerns (International Maritime Organization, 2009). The maritime transport sector significantly contributes to global greenhouse gas (GHG) emissions, with estimates suggesting it accounts for approximately 2−3% of global CO_2 emissions (Grzelakowski et al. , 2022). Recent issues, including oil spills and the exploitation of seafarers, have sparked debates within the industry about the need for more robust CSR practices (Tang & Gekara, 2020). Various organizations have called for enhanced CSR initiatives to address these challenges and promote sustainable practices within the industry (Drobetz et al. , 2014). The International Maritime Organization (IMO) has set ambitious targets to reduce GHG emissions, highlighting the need for the industry to align its operations with sustainability goals (Aktas et al. , 2023). Given these pressures, there is a growing recognition that effective CSR strategies can enhance brand reputation and foster trust among stakeholders (Jones et al. , 2019). Accordingly, many shipping companies have begun to adopt sustainability frameworks and disclose CSR activities to improve their operational transparency and stakeholder engagement (Zhou et al. , 2021).

The significance of CSR in the shipping industry extends beyond compliance with regulations; it offers broad benefits, including improved stakeholder perception, enhanced corporate reputation, and increased customer loyalty (Shin & Thai, 2015). As shipping companies adopt CSR practices, they not only mitigate risks associated with negative public perception but also position themselves as leaders in sustainability (Lu et al. , 2009). The trend towards proactive CSR adoption is evident, with many companies moving beyond mere

compliance to integrate sustainability into their core business strategies (Feng & Ngai, 2020; Tang & Gekara, 2020).

Despite the increasing emphasis on CSR within the shipping sector, there remains a notable gap in the literature regarding comprehensive studies that utilize Corpus-Assisted discourse study to examine how leading shipping companies articulate their sustainability narratives. Most existing research has focused on case studies or region-specific analyses, leaving a need for large-scale, comparative investigations into the corporate identities constructed through sustainability reporting. This study aims to address these gaps by analyzing the language used in sustainability reports to uncover the underlying narratives and strategies that shape corporate identity in the shipping industry. By employing a Corpus-Assisted discourse study (CADS), this research will provide a nuanced understanding of how COSCO and Maersk construct their corporate identities through sustainability narratives, ultimately contributing to the broader discourse on corporate responsibility and identity in the maritime sector. The findings will illustrate how contextual factors, including cultural norms and market dynamics, influence the discursive practices of these two leading shipping companies, highlighting the significance of context in shaping corporate identity.

2. Literature Review

2.1 Shipping industry and corporate social responsibility

The shipping industry, a vital facilitator of global trade, is increasingly scrutinized for its environmental impact and the urgent need for sustainable practices. Research indicates that effective CSR practices can significantly enhance customer satisfaction and loyalty, ultimately improving financial performance (Shin & Thai, 2015). Furthermore, CSR initiatives serve as powerful marketing tools, enabling companies to differentiate themselves in a highly competitive market (Lu et al., 2009). For instance, Lu et al. (2009) found that shipping companies actively engaging in CSR not only bolster their public image but also gain a competitive edge by attracting environmentally conscious customers. This aligns with the broader literature suggesting a positive correlation between CSR disclosure and financial performance, indicating that socially responsible behavior can enhance a firm's reputation and competitiveness (Drobetz et al., 2014). As the industry faces mounting scrutiny regarding its environmental footprint, understanding how shipping companies construct their corporate identities around sustainability becomes essential.

Kronfeld-Goharani (2018) conducted a discourse analysis of 396 ocean industry companies, revealing that only 61 provide commitments to and reporting on sustainability. This study highlights a significant shift from voluntary to mandatory sustainability commitments, driven by stakeholder pressures to mitigate environmental harm and comply with international regulations. Companies are increasingly reframing these challenges as entrepreneurial opportunities to optimize efficiency, reduce costs, and enhance their public image. This reframing is a critical aspect of corporate identity construction, where sustainability efforts are discursively presented as integral to the company's core values and strategic objectives.

Zhou et al. (2021) employed a text-mining approach to establish a unified framework for sustainability disclosure in container shipping, encompassing employee training, sustainable business management, and

sustainable shipping operations. Their study provides a structured evidence base for the content of sustainability disclosures in the container shipping sector, offering insights into how companies construct their corporate identity through public narratives related to sustainability performance. However, a significant gap remains in understanding how these disclosures shape corporate identity. Tang & Gekara (2020) highlight the selective focus of shipping companies on certain CSR elements based on anticipated customer expectations, yet they do not delve into how these expectations are articulated in corporate communications. Additionally, the existing literature often emphasizes environmental issues over social factors, such as labor rights and seafarer welfare, which are equally critical (Sampson, 2016). Sampson (2016) argues that while environmental sustainability is vital, the neglect of social dimensions in CSR discussions can lead to incomplete assessments of corporate responsibility in the shipping sector. This imbalance suggests a need for more comprehensive analyses that consider the full spectrum of CSR practices in the shipping sector.

Moreover, the literature often treats CSR as a uniform concept, overlooking the nuances of how different companies respond to regulatory pressures and market demands. For example, while some companies adopt a proactive stance towards environmental sustainability, others may engage in "greenwashing", presenting a façade of responsibility without substantive action (Lund‒Thomsen et al., 2016). Lund‒Thomsen et al. (2016) emphasize that the shipping industry is particularly susceptible to greenwashing due to the complexity of its operations and the challenges in measuring sustainability outcomes. Understanding the contextual influences on corporate identity is crucial for analyzing how shipping companies communicate their sustainability efforts. Liu & Wu (2015) emphasize that corporate identity is not a static property but a dynamic construct influenced by the socio‒cultural contexts in which companies operate. This perspective is particularly relevant in the shipping industry, where local practices and global standards intersect. The ways in which companies like COSCO and Maersk articulate their sustainability initiatives may differ significantly due to their distinct cultural backgrounds and market positioning.

2.2 A discourse analytic approach to corporate social responsibility

CSR has emerged as a critical area of study within organizational discourse, reflecting the evolving expectations of stakeholders and the growing importance of sustainability in business practices. With the advent of globalization and the increasing scrutiny on businesses' social and environmental impacts, CSR has become a pivotal aspect of corporate identity (Kramer & Porter, 2006). The construct of corporate identity has been a central theme in the field of business and communication studies, traditionally understood as the image an organization projects to its stakeholders, encapsulating its values, philosophy, and culture (van Riel, 1995). Recent scholarship, however, has emphasized the dynamic and multifaceted nature of corporate identity, recognizing it as a construct that is discursively negotiated and performed (Balmer et al., 2007). In this context, CSR discourse serves as a strategic tool for organizations to align their communicated identity with their desired image, often within the constraints of stakeholder expectations and societal norms.

Discourse analysis provides a robust framework for understanding how language constructs social realities, including corporate identities. Critical discourse analysis (CDA) emphasizes the relationship between discourse and social power, highlighting how language reflects and constructs social realities (Fairclough, 1995). According to Gee (2014), discourse is not merely a reflection of reality but a means of constructing it. This

perspective is particularly relevant in CSR, where companies use language to frame their social and environmental commitments. A discourse analytic approach provides valuable insights into how corporations construct their identities through CSR reporting. By examining the linguistic and rhetorical strategies employed in these reports, researchers can uncover the underlying narratives that shape corporate identity and stakeholder perceptions.

The discourse of CSR has expanded to encompass a broader range of stakeholders, including organizational, community, regulatory, and media stakeholders (Zappettini & Unerman, 2016). This expansion has led to a more complex discourse, where corporations must engage with multiple parties, each with their own expectations and interests. The evolution of CSR from a narrow focus on businessmen's obligations to a broader engagement with societal roles reflects the maturing understanding of the multifaceted nature of corporate responsibility and its implications for corporate identity. This shift underscores the importance of discourse analysis in understanding how corporations communicate their CSR efforts and the impact of these communications on the construction of their identities in the eyes of various stakeholders.

As corporations navigate complex social expectations and stakeholder demands, the language they use to construct their identities becomes crucial. A growing body of literature highlights the role of discourse in shaping corporate identity, emphasizing that CSR communications are not merely informative but are instrumental in constructing and negotiating corporate identities (Gotti, 2011; Zappettini & Unerman, 2016). This discourse is not static; it evolves with the changing definitions and implementations of CSR, which vary across contexts (Bhatia, 2013). Early definitions emphasized a businessman's obligation to society, which progressed to include more formalized understandings of a corporation's role in society (Davis & Blomstrom, 1975).

In the realm of CSR reporting, there is a discernible trend towards hybridity, where promotional and reporting discourses intersect. AsBhatia (2013) examines PetroChina's Sustainability Reports, revealing a blend of promotional elements within the reporting genre. This hybridity is further explored by Zappettini & Unerman (2016), who note that Integrated Reporting (IR) often merges financial information with social and environmental impacts, leading to a semantic bending of sustainability towards financial viability and profitability. Such reports serve not only to inform but also to legitimize corporate actions and strategies, often prioritizing the corporation's image and interests.

The intertextuality within CSR discourse is a critical dimension, where corporate texts reference and build upon one another, shaping the meanings and identities of corporations (Ngai et al., 2020). Ngai et al. (2020) compare the intertextual links in corporate leaders' messages from the US and China, highlighting the cross-cultural differences in referencing practices. While Chinese corporations often utilize direct quotations from government policies and business achievements, their American counterparts lean towards indirect quotes and industry-specific phrasing, reflecting a more individualistic and succinct communication style. This divergence further underscores the importance of understanding the socio-cultural factors that shape corporate narratives and identity construction. The interplay between language and culture in CSR discourse reveals how corporations strategically position themselves within their respective contexts, thereby influencing stakeholder perceptions.

Moreover, the analysis of stance markers in CSR reports provides insights into how companies assert their identities and engage with stakeholders. Fuoli (2018) highlights the importance of linguistic markers that convey certainty, commitment, and responsibility, suggesting that these choices are instrumental in building trust and

credibility with audiences. This focus on linguistic choices underscores the significance of language in constructing corporate identity and fostering stakeholder relationships. For instance, the use of metaphors and narrative structures in CSR reports plays a crucial role in shaping how companies present their initiatives. By employing metaphors related to sustainability and community engagement, corporations position themselves as responsible and ethical entities.

The literature reveals notable differences in CSR practices across various cultural and economic contexts (Bhatia & Makkar, 2019; Yu & Bondi, 2017). For example, CSR reporting in the United States is often voluntary and driven by market forces, while in China, it is frequently mandated for state-owned enterprises (Bhatia, 2012). This divergence illustrates the influence of regulatory frameworks and cultural expectations on corporate communication strategies. Research by Yu & Bondi (2017) employs corpus-based methodologies to analyze CSR reports from different countries, revealing how linguistic choices reflect national values and corporate strategies. These studies demonstrate that the construction of corporate identity is not solely a matter of individual corporate strategy but is also shaped by broader socio-political contexts (司, 2024; 胡 & 周, 2024).

Despite the growing body of research on CSR discourse, several challenges remain. The lack of universal standards for CSR reporting complicates the analysis, as companies often adopt flexible reporting practices that may not adequately address stakeholder concerns (Jaworska, 2018). Furthermore, the hybrid nature of CSR reports, which blend promotional and informative discourses, can obscure the genuine intentions behind corporate communication (Bhatia, 2013). This complexity necessitates a critical examination of the narratives corporations construct and the implications for stakeholder trust and engagement.

While traditional discourse analysis has significantly contributed to our understanding of CSR communications, the application of Corpus-Assisted discourse studies (CADS) in this field remains underexplored. CADS offers a systematic and quantitative approach to analyzing large corpora of texts, enabling researchers to identify patterns and trends that may not be readily apparent through qualitative analysis alone. The integration of CADS into CSR discourse analysis can enhance the examination of CSR discourse by providing insights into the frequency and distribution of specific linguistic features, thereby enriching our understanding of how corporate identities are constructed across different contexts.

3. Data and Methodology

3.1 Data

The data forthis study consists of the sustainability reports of COSCO and Maersk from 2017 to 2023. These reports provide insights into the companies' commitments to sustainability, corporate social responsibility, and their strategic approaches to environmental challenges. The selection of this time frame is particularly relevant due to significant organizational changes, such as the merger of COSCO with China Shipping in 2016, which reshaped its corporate identity and strategic focus. Analyzing reports from 2017 onwards allows for a comprehensive understanding of how these changes have influenced COSCO's sustainability practices.

COSCO and Maersk are two prominent players in the global shipping industry, each with distinct corporate identities shaped by their operational contexts and cultural backgrounds. Analyzing these companies allows for a

comparative examination of how corporate identity is constructed and communicated in different cultural settings. COSCO, as a state-owned enterprise in China, reflects the collectivist values prevalent in its operational context, while Maersk, rooted in a Western context, embodies individualistic and stakeholder-oriented principles.

3.2 Methodology

Corporate identity is a multifaceted concept that encompasses the visual, verbal, and behavioral aspects of an organization, shaping how it is perceived by stakeholders. According to Balmer & Podnar (2021), corporate identity is the unique set of associations/characteristics that stakeholders hold about a brand. From a social constructionist perspective, corporate identity is not merely a static representation but is actively constructed through interactions and communications among various stakeholders. Gioia et al. (2000) emphasize that corporate identity is "a dynamic and evolving construct that reflects the interplay between organizational actions and stakeholder perceptions" (p. 63). This understanding highlights the importance of context and communication in shaping corporate identity.

Building on these theoretical foundations, we adopt an analytical framework that integrates the Discourse-historical Approach (DHA) byReisigl & Wordak (2016) to examine the discursive construction of corporate identity within sustainability reporting. DHA, a branch of Critical Discourse Analysis (CDA), emphasizes the examination of discourse in its socio-historical contexts (Reisigl & Wordak, 2016). The DHA explicates the dialectic relations between discourse and society, recognizing that discourse is both a reflection and a shaper of social reality. This approach is crucial for understanding how corporate identity is constructed and communicated within the shipping industry.

The framework is visualized as a conceptual map (as visualized in Figure 1) adapted from the analysis of Integrated Reporting by Zappettini & Unerman (2016), illustrating the process by which organizations create and sustain a sustainable identity through their language resources and discursive strategies. Central to this framework is the "Sustainable Identity", which is informed by the "Triple Bottom Line" principles, integrating economic, social, and environmental dimensions. This identity is expressed through the organization's language resources, which communicate its commitment to sustainability.

The process of constructing a sustainable identity starts with the "Organization WE", which is responsible for "Creating" and "Sustaining" value. This process involves the "delivery", "pursuit", and "generation" of "sustained benefits" that enhance "performance" and foster "long-term growth". The organization's activities are designed to generate value that extends to a broad spectrum of stakeholders. The framework recognizes the impact of various "contexts", including cultural, social, and economic factors, which are pivotal in shaping the sustainable identity. These contexts are interwoven with the "value" that the organization aims to create and communicate. The "language resources" are analyzed across three levels:

Macro Level: This level focuses on identifying the overarching themes and topics related to sustainability that dominate the discourse.

Meso Level: At this level, attention is given to the "discursive strategies" that the organization employs to frame and present these themes, including argumentative patterns, narrative structures, and rhetorical devices.

Micro Level: The micro level examines the "linguistic devices and means" used to implement the discursive strategies, such as word choice, phrases, and grammatical structures that influence the message and its reception by the audience.

The framework also identifies key "stakeholders" as the target audience for the organization's sustainability narrative, including "shareholders", "customers", "employees", "owners", and "communities". The organization's communication is customized to meet the diverse concerns and expectations of these groups.

To operationalize our analytical framework, we employ a Corpus-Assisted discourse study approach, utilizing KH Coder and Wmatrix as primary analytical tools. KH Coder is a text mining tool that facilitates qualitative and quantitative analysis of textual data. It generates Co-occurrence networks by calculating the frequency of Co-occurrence between terms, allowing for the visualization of relationships between key terms within the sustainability reports. The logic behind the Co-occurrence network generation in KH Coder involves the use of Jaccard similarity coefficient to filter words that are strongly co-occurring, with a value close to 1 indicating high similarity between sets.

Wmatrix is a corpus analytic tool that focuses on semantic categorization and frequency analysis. It allows researchers to analyze key semantic categories, providing a deeper understanding of the discourse surrounding sustainability in the reports. Wmatrix generates semantic tags that categorize words into various semantic domains. Specifically, Wmatrix classifies English vocabulary into 21 major semantic fields, which are further subdivided into 232 category labels. These fields include, but are not limited to, economy, society, environment, technology, law, and health. By performing automatic semantic tagging on the text, Wmatrix helps to produce detailed information about the specific use of different semantic categories within the text and compares a corpus with a parallel or general reference corpus to identify key semantic categories that are statistically more frequent in the subject corpus.

The selection of KH Coder and Wmatrix is grounded in their complementary strengths. KH Coder facilitates the exploration of textual data through visual representations, enabling the identification of prominent themes and relationships. Wmatrix, on the other hand, offers a robust framework for semantic analysis, allowing for the categorization of terms and the identification of key themes within the discourse. Together, these tools provide a comprehensive methodology for analyzing corporate identity in sustainability reports. To interpret the findings, we apply the Triple Bottom Line (TBL) theory, which emphasizes the balance of economic, social, and environmental dimensions in corporate practices (Elkington, 1999). This holistic approach is crucial for understanding how COSCO and Maersk address sustainability challenges and communicate their commitments to various stakeholders. Additionally, we consider cross-cultural variations to recognize how cultural contexts influence corporate identity construction (Kunxue & Mingkun, 2023).

The integration of the DHA with the corpus linguistics using KH Coder and Wmatrix provides a comprehensive methodology for analyzing corporate identity in sustainability reports. The DHA's emphasis on context and the social practice of discourse enriches our analysis by highlighting how language use in sustainability reporting is a product of and an influence on social reality. The corpus tools enable us to systematically explore and quantify the linguistic features and discursive strategies that construct sustainable identities.
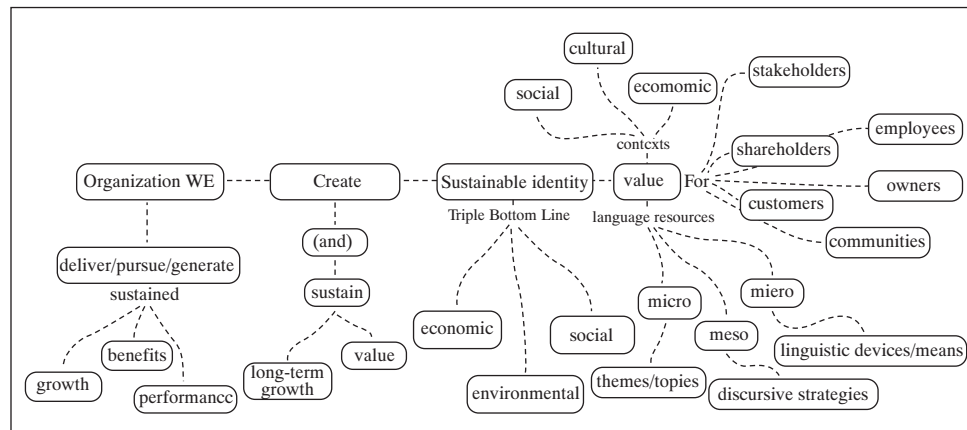
Figure 1   Analytical framework

4. Findings

4. 1   Thematic analysis

Figure2 visualizes the prominent themes of COSCO. Theme 1 highlights COSCO's focus on its **core business operations**, showcasing its pivotal role in global container transport. Key terms such as *shipping*, *lines*, *port*, *ship*, *terminal*, *container*, *transport*, *world* underscore the company's extensive involvement in the maritime sector. Additionally, the frequent appearance of terms like *China*, *Party*, and *Group* indicates a strong alignment with **national policies**, positioning COSCO as a key player not only in the shipping industry but also within the broader context of China's economic ambitions. Theme 2 foregrounds the company's **sustainable development**, highlighting its commitment to corporate governance, social responsibility, and environmental protection. This theme is illustrated by terms such as *cooperation*, *sustainable*, and *green transformation*, reflecting COSCO's efforts to transition towards greener practices and protect marine environments. Theme 3 addresses **logistics and supply chain management**, where COSCO emphasizes optimizing operations to reduce emissions and resource consumption. The presence of terms like *logistics*, *supply*, *build*, *transportation*, *energy, reduce*, *emission*, *fuel*, *vessel*, *resource*, *global*, *business* indicates a strategic approach to building a more sustainable and efficient transportation network. Theme 4 concerns with **safety and quality service**. The company prioritizes operational safety and customer satisfaction. The use of terms such as *ensure*, *safety*, *work*, *operation*, *risk*, *control*, *management*, *system*, *improve*, *provide*, *support*, *more*, *quality*, *customer*, *service*, *product* highlights the company's focus on providing reliable services. Theme 5 is about **employee training and community development**, showcasing COSCO's value for talent nurturing, technology innovation, poverty alleviation, and involvement in international trade and logistics, which can be seen from words *employee*, *training*, *local*, *area*, *people*, *poverty*, *activity*, *technology*, *innovation*, *research*, *project*, *power*, *international*, *Maritime*, *Road*. Theme 6 highlights **collaboration and enhancement**.

Figure 3 displays the Co-occurrence network of Maersk. Theme 1 underscores Maersk's emphasis on **customer needs** and its **leadership role in the shipping industry**. The frequent use of terms such as *customer*,
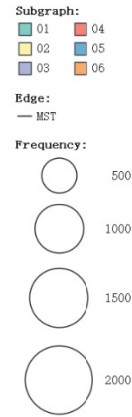
Figure 2   Co-occurrence network of COSCO

leadership, *climate*, and *change* indicates a strategic focus on addressing climate change through innovative practices and customer−centric initiatives. This positions Maersk as a proactive leader in the industry, responding to the growing demand for sustainable shipping solutions. Theme 2 centers on **stakeholder engagement**, particularly concerning human rights and labor issues. The presence of terms like *stakeholder*, *engage*, *engagement*, *labor*, *employee*, *human*, *rights* highlights Maersk's commitment to addressing social issues within its operations. This focus aligns with global CSR standards, such as the UN Guiding Principles on Business and Human Rights, reflecting a broader understanding of corporate responsibility that extends beyond environmental concerns. Theme 3 concerns **ESG** (Environmental, Social, and Governance) **performance**, emphasizing data governance and strategic initiatives. Key terms such as *data*, *governance*, *strategy*, *ESG* illustrate Maersk's commitment to transparency and accountability in its sustainability efforts. Theme 4 emphasizes **risk management** and **responsible business practices**. The use of terms *business*, *practice*, *ri*sk, *assessment*, *compliance*, *management*, *system*, *responsible*, *procurement*, *sustainable*, *development* indicates Maersk's proactive approach to managing risks associated with sustainability. Theme 5 foregrounds its emphasis on **safety, health, and environmental initiatives**, with an emphasis on reducing emissions and developing green solutions. Terms such as *environment*, *safety*, *health*, *ocean*, *green*, *fuel*, *emission*, *increase*, *energy*, *develop*, *new*, *solution* highlight Maersk's commitment to enhancing its environmental performance. Theme 6 focuses on **global trade and company's value**, which can be seen from *trade*, *container*, *vessel*, *global*, *logistics*, *supply*, *service*, *chain*, *value*, *share*, *create*. Theme 8 is a specific mention of the **company's brand** and sustainability report.

Both COSCO and Maersk construct their corporate identities through themes that reflect their commitments to the economic, social, and environmental dimensions of the Triple Bottom Line. In the economic dimension,
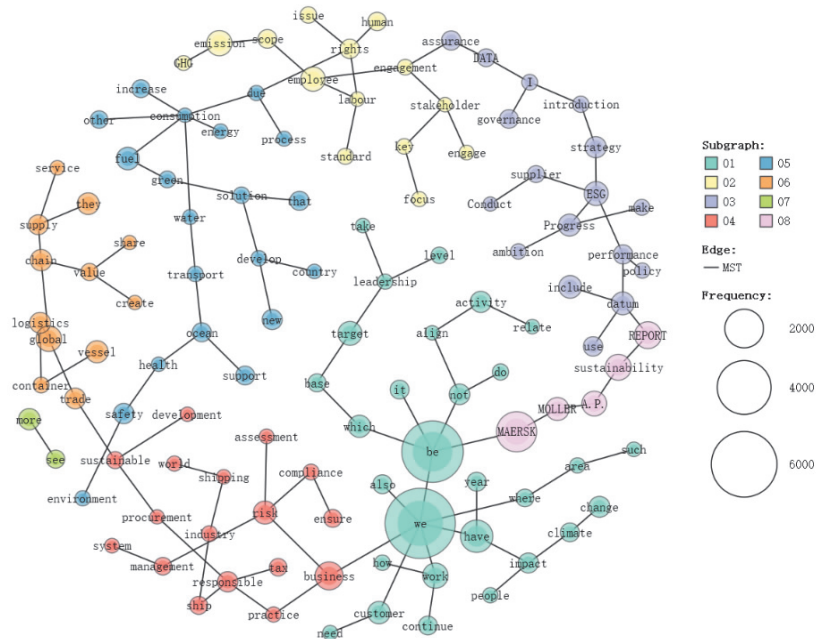
Figure 3   Co-occurrence network of Maersk

COSCO emphasizes its operational significance and efficiency, focusing on logistics and supply chain management to enhance its competitive edge. In contrast, Maersk prioritizes customer－centric initiatives and industry leadership, positioning itself as a responsive player in the market. This distinction highlights how COSCO leverages its operational capabilities to drive economic performance, while Maersk emphasizes adaptability and customer engagement as key drivers of its economic strategy.

When examining the social dimension, COSCO's focus on employee training and community development reflects its commitment to nurturing talent and addressing socio－economic issues. This approach fosters a sense of corporate responsibility that resonates with local communities. Conversely, Maersk's emphasis on stakeholder engagement and human rights underscores its proactive stance in addressing social issues within its operations. This difference illustrates how COSCO seeks to build community ties through direct engagement, while Maersk focuses on broader ethical practices that enhance its corporate reputation and stakeholder trust.

In terms of the environmental dimension, both companies prioritize sustainability, but their approaches differ significantly. COSCO's commitment to sustainable development and green transformation indicates a proactive approach to environmental stewardship, supported by its focus on reducing emissions in logistics. This reflects a strategic alignment with global sustainability trends and stakeholder expectations. On the other hand, Maersk's emphasis on ESG performance and environmental initiatives showcases its commitment to transparency and accountability, highlighting its efforts to enhance environmental performance through innovative solutions. This distinction reveals how COSCO integrates sustainability into its operational framework, while Maersk positions itself as a leader in corporate governance and environmental responsibility.

In summary, the comparative analysis of COSCO and Maersk reveals the complexities of corporate responsibility in the shipping industry and the nuanced ways in which each company addresses sustainability challenges. The insights gained from this thematic analysis set the stage for a deeper understanding of the specific

language used to convey these themes. The subsequent analysis using Wmatrix will further elucidate the key semantic categories that underpin these themes, providing a granular understanding of the discourse surrounding sustainability in the reports of COSCO and Maersk. By linking the thematic insights from KH Coder with the semantic categories identified through Wmatrix, we can gain a comprehensive view of how language shapes stakeholder perceptions and corporate identities in the context of sustainability.

4.2 Analysis of shared key semantic categories

Building on the thematic insights from KH Coder, the subsequent analysis using Wmatrix reveals specific semantic categories that further illuminate the discourse surrounding sustainability in the reports of COSCO and Maersk. This section examines the top 20 key semantic categories (SMCs) identified in the sustainability reports of COSCO and Maersk, as compared to the British National Corpus (BNC) Sampler written corpus. The analysis reveals 11 shared key SMCs, including **Z99** ("unmatched"), **M4** ("sailing, swimming, etc."), **S8+** ("helping"), **W5** ("green issues"), **I2.1** ("business: generally"), **A2.1+** ("change"), **A1.1.1** ("general actions/making"), **A15+** ("safe"), **I2.2** ("business: selling"), **I3.1** ("work and employment: generally"), and **A15−** ("danger").

The presence of these categories across both corpora indicates significant thematic similarities that characterize the discourse of sustainability reports for both companies. For instance, the theme of sustainability, as identified in the Co-occurrence network analysis, is reinforced by the presence of **W5** (green issues) and **A2.1+** (change), which highlight the companies' commitments to environmental stewardship and innovation.

(1) As a massive state−owned enterprise directly managed by China's central government, COSCO SHIPPING stays true to its mission, closely links its development with the advancement of the shipping industry, the national destiny and the great rejuvenation of China, unswervingly shoulders economic, social andenvironmental responsibilities and strives to achieve sustainable and healthy development. (COSCO)

(2) We hope other shipowners will join us in transforming the entire Alang ship recycling industry by demanding high standards for safety, human rights and theenvironment, and by supervising implementation on the ground on a daily basis. (Maersk)

Table 1   Top 20 Key Semantic Categories in COSCO and Maersk

Rank	COSCO			Maersk		
	Tagset	LL	SMCs	Tagset	LL	SMCs
1	Z99	6876.94	Unmatched	Z99	4245.53	Unmatched
2	M4	5405.5	Sailing, swimming, etc.	X2.2	3003.94	Knowledge
3	S8+	3741.94	Helping	M4	2629.56	Sailing, swimming, etc.
4	M2	3345.95	Putting, pulling, pushing, transporting	N1	2414.79	Numbers
5	W5	2027.13	Green issues	I2.2	2370.46	Business: Selling
6	I2.1	1573.53	Business: Generally	A1.1.1	2148.27	General actions/making

续表

Rank	COSCO			Maersk		
	Tagset	LL	SMCs	Tagset	LL	SMCs
7	A2. 1+	1435. 06	Change	A2. 2	2018. 1	Cause&Effect/Connection
8	A1. 1. 1	1242. 72	General actions/making	I2. 1	1900. 15	Business: Generally
9	A15+	1152. 15	Safe	T2++	1899. 05	Time: Beginning
10	I4	1135. 91	Industry	X7+	1705. 17	Wanted
11	I2. 2	929. 17	Business: Selling	A15−	1527. 23	Danger
12	S5+	882. 18	Belonging to a group	A15+	1461. 07	Safe
13	A5. 1+	859. 1	Evaluation: Good	W5	1360. 54	Green issues
14	S7. 1+	762. 85	In power	I3. 1	1239. 42	Work and employment: Generally
15	I3. 1	688. 38	Work and employment: Generally	A1. 8+	1227. 08	Inclusion
16	S1. 2. 5+	632. 33	Tough/strong	O1	1215. 31	Substances and materials generally
17	A15−	608. 51	Danger	A11. 1+	932. 36	Important
18	X5. 2+	604. 44	Interested/excited/energetic	O1. 3	823. 64	Substances and materials: Gas
19	A5. 1	577. 2	Evaluation: Good/bad	A2. 1+	751. 91	Change
20	Y1	514. 34	Science and technology in general	S8+	712. 42	Helping

The analysis of these shared key semantic categories reveals critical insights into how both COSCO and Maersk construct their corporate identities. Categories such as **M4** (sailing, swimming, etc.), **I2. 1** (business: generally), and **I2. 2** (business: selling) reflect a focus on industry−specific activities, essential for defining the operational scope of a shipping company. The presence of semantic categories **I3. 1** (work and employment: generally) and **A15+** (safe) indicates a commitment to employee relations and safety, essential for fostering a positive corporate image. Furthermore, **W5** (green issues) highlights both companies' engagement with environmental concerns, while **S8+** (helping) suggests an ethical corporate identity aimed at supporting various stakeholders, which can be seen from typical tokens *support*, *services*, *assistance*, *help*, *enabling*, *enable*.

(3) COSCO SHIPPING has also established a customer feedback system to respond promptly to and earnestly handle customer feedbacks and opinions, improveservice quality in a targeted manner, and maintain customer satisfaction. (COSCO)

(4) Wesupport and commit to contribute positively to the United Nations Sustainable Development Goals, while also reducing our potential negative impact on the goals. (Maersk)

Categories **A2. 1+** (change) and **A1. 1. 1** (general actions/making) emphasize both companies' commitment to development and innovation, showcasing their proactive stances in adapting to industry changes. Conversely, the category **A15−** (danger) underscores the inherent risks associated with the shipping industry, known for its hazardous working environments and significant environmental impacts.

(5) Risk Management CSL has always adhered to the original intention of risk management, integrating

risk management into every detail of enterprise operation. (COSCO)

(6) We control therisk of spills through focusing on safe processes for HSE management. (Maersk)

Table 2　Examples for shared Key SMCs

Tagset	SMCs	Examples
Z99	Unmatched	Maersk: *Maersk, ESG, Moller, Maersks, GHG, decarbonisation* COSCO: *COSCO, GRI, low‑carbon, LNG, Piraeus, CSL, SDGs, CSR, IMO*
M4	Sailing, swimming, etc.	*vessels, ship, vessel, port, marine, fleet, ports, ships, seafarers, crew, shipbuilding, tankers, sailing*
S8+	Helping	*support, services, assistance, help, enabling, enable, guidelines, service, benefits*
W5	Green issues	*environment,* environmental, *ecosystems, pollution,* ecosystem, *nature, ECO*
I2. 1	Business: Generally	*business, company, companies, audits, infrastructure, commercial, executives, enterprises*
A2. 1+	Change	*change, development, transition, transformation, develop, changes, developing, developed, changing, become, developments*
A1. 1. 1	General actions/making	*logistics, activities, operations, practices, labor, processes, create, committed, actions, engage, operational*
A15+	Safe	*safety, safe, safely, safeguards, guard, safety_work, safety_equipment, safety_situation*
I2. 2	Business: Selling	*customers, trade, suppliers, supply＿chain, supply＿chains, supplier, customer, market, trading, purchased*
I3. 1	Work and employment: Generally	*employees, work, working, employee, workers, job, role, worked, jobs, workplace, employment*
A15−	Danger	*risk, risks, high‑risk, exposure, hazardous, hazards, at_risk, unsafe, dangerous*

4. 3　Analysis of preferential key SMCs

Table 3 displays the top 20 preferential key SMCs, representing distinct themes that are statistically significant in the two comparable corpora. The analysis reveals distinct topic preferences and communication styles between COSCO and Maersk. While COSCO emphasizes education, poverty, and information technology, Maersk places greater significance on sustainable production and emissions. This differentiation can be observed through key SMCs such as **P1** (education in general), **I1. 1−** (lack: money), and **Y2** (information technology and computing) in COSCO, compared to **T2＋＋** (time: beginning) and **O1. 3** (substances and materials: gas) in Maersk.

The presence of terms related to poverty (I1. 1−) indicates COSCO's focus on socio‑economic issues pertinent to its operational context, reflecting a broader commitment to social responsibility (Bhatia & Makkar, 2019; Kvasničková Stanislavská et al., 2023). In contrast, Maersk's emphasis on sustainability (T2++) and emissions (O1. 3) aligns with its proactive approach to addressing environmental challenges, demonstrating a commitment to transparency and accountability in its sustainability practices.

I1. 1−: *poverty* (189), *poor* (38), *impoverished* (18), *in_need* (8), *needy* (7)

P1: *training* (168), *education* (113), *students* (31), *philosophy* (26), *teaching* (23), *university* (21), *study*

(20), *educational* (20)

  Y2: *digital* (101), *online* (51), *program* (34), *internet* (27), *connectivity* (18), *website* (17)

  T2++: *sustainability* (841), *sustainable* (331), *continue* (224), *continued* (136)

  O1.3: CO_2(172), *air* (170), *gas* (108), *gases* (22), *gasses* (9), *methane* (9)

COSCO's focus on industry-specific actions is evident in the prevalence of SMCs such as **M2** (putting, pulling, pushing, transporting) and **M4** (sailing, swimming, etc.), which portray the company as actively engaged in global operations. This emphasis resonates with stakeholders interested in operational excellence and leadership within the shipping industry. Conversely, Maersk's use of **Z8** (pronouns) reflects a more personal and relatable communication style with its stakeholders. The frequent use of first-person plural pronouns such as *our* (3678, 1.75%) and *we* (2930, 1.39%) in Maersk's reports fosters a sense of inclusivity and connection with its audience, while COSCO's more formal approach, characterized by less frequent use of pronouns *we* (683, 0.51%), *its* (353, 0.26%), *it* (250, 0.19%), and *our* (202, 0.15%) and more self-references to *COSCO* (1482, 1.1%) or *Company* (298, 0.22%), indicates a preference for maintaining a hierarchical relationship with stakeholders. Maersk shows a lower frequency of self-mentioning *Maersk* (1746, 0.83%) or *Company* (193, 0.09%). The frequent use of first-person pronouns can shorten the distance between the author and its audience (Gotti, 2011) and personalize the communication (Degano, 2010), while the particular way of self-reference in COSCO indicates its preference for maintaining the distance between the company and the client to show its respect for its stakeholders (Gotti, 2011; Liu & Wu, 2015).

Another notable difference lies in the tone of CSR-related information presented by the two companies. COSCO tends to produce positive narratives, emphasizing its competencies and proactive efforts. This is reflected in key SMCs such as **S1.2.5+** (tough/strong), **A5.1+** (evaluation: good), and **X9.1+** (able/intelligent), which highlight positive evaluative language such as *strong*, *competent*, *intelligent*, *efficient*, *high-quality*, *good*, *great*. This proactive communication style suggests an intention to shape stakeholder perceptions and mitigate potential criticisms before they arise.

  (7) It will provide astrong guarantee for the major business segments of the Group. (COSCO)

  (8) Taking this opportunity, we continuously optimized business content and processes with the help of big data and the Internet to provide customers with more intelligent and convenient services. (COSCO)

  (9) It is committed to becoming abetter performer of national policies, a better service provider for customers, a better partner for suppliers and a better career development platform for employees. (COSCO)

In contrast, Maersk adopts a more reactive communication strategy, focusing on addressing immediate stakeholder concerns and issues that pose threats to its corporate image. This is evident in its emphasis on categories such as **A2.2** (cause & effect) and **Z6** (negative) and the voluntary disclosure of **N1** (Numbers) and **N5** (Quantities), which indicate a focus on mitigating risks associated with its operations. Maersk's reporting preferences reflect a defensive approach, responding to external pressures for transparency and accountability by addressing negative aspects of its operations and providing detailed quantitative information.

(10) Seven fatalities and anegative development in the frequency of lost－time injuries in half of our businesses is a deeply unsatisfactory development. (Maersk)

(11) Keeping harmful substances in check Oil spills constitute arisk which could potentially have a very high negative impact on both people and the environment. (Maersk)

The differences in the communication styles and thematic emphases of COSCO and Maersk can be attributed to their distinct cultural contexts. COSCO, as a state－owned enterprise, aligns closely with the collectivist values prevalent in Chinese culture, which emphasizes hierarchy, stability, and national pride. This is reflected in its formal communication style and focus on industry leadership, reinforcing its role as a key player in China's economic ambitions. The emphasis on socio－economic issues, such as poverty and education, may also be rooted in China's ongoing development goals, where corporate responsibility is increasingly tied to national development objectives.

Conversely, Maersk operates within a Western context, characterized by individualism and a strong emphasis on stakeholder engagement. This cultural backdrop encourages a more personal and relatable communication style, as seen in its frequent use of first－person pronouns. Maersk's focus on sustainability and emissions reflects a growing awareness of environmental issues in Western societies, where corporate accountability and transparency are paramount. The emphasis on addressing immediate stakeholder concerns aligns with a broader expectation in Western cultures for companies to be responsive and responsible in their operations.

Overall, the contrasting approaches of COSCO and Maersk highlight how cultural factors shape corporate communication and stakeholder engagement strategies, influencing the construction of their respective corporate identities.

Table 3   Top 20 preferential key SMCs

Rank	COSCO			Maersk		
	Tagset	LL	SMCs	Tagset	LL	SMCs
1	M2	1482.3	Putting, pulling, pushing, transporting	Z8	2643.56	Pronouns
2	S8+	853.91	Helping	A3+	665.08	Existing
3	Z2	688.99	Geographical names	N5	629.16	Quantities
4	Z99	472.07	Unmatched	A2.2	542.68	Cause&Effect/Connection
5	M4	466.64	Sailing, swimming, etc.	N1	451.93	Numbers
6	H1	350.12	Architecture, houses and buildings	X2.2	396.79	Knowledge
7	S7.1+	332.06	In power	X7+	391.36	Wanted
8	I1.1−	299.28	Money: Lack	Z3	283.36	Other proper names
9	I4	284.79	Industry	Z6	179.18	Negative
10	P1	209.93	Education in general	X3.4	171.81	Sensory: Sight
11	K2	155.12	Music and related activities	A6.1−	162.55	Comparing: Different
12	S1.2.5+	153.13	Tough/strong	A1.7−	161.02	No constraint

续表

Rank	COSCO			Maersk		
	Tagset	LL	SMCs	Tagset	LL	SMCs
13	M7	151. 77	Places	T2++	160. 99	Time: Beginning
14	S5+	148. 9	Belonging to a group	A7+	153. 77	Likely
15	Z1	132. 14	Personal names	Q2. 2	151. 15	Speech acts
16	Y2	131. 77	Information technology and computing	A1. 8+	124. 52	Inclusion
17	A2. 1+	129. 77	Change	A1. 5. 1	116. 93	Using
18	O4. 4	122. 05	Shape	O1. 3	107. 37	Substances and materials: Gas
19	Z5	119. 26	Grammatical bin	H3	100. 31	Areas around or near houses
20	X9. 1+	114. 09	Able/intelligent	N5++	99. 66	Quantities: many/much

5. Conclusion

The discourse analysis of COSCO and Maersk's sustainability narratives has shed light on the multifaceted construction of corporate identity within the shipping industry. This study has demonstrated that COSCO and Maersk, despite their global operations, construct their identities in ways that are deeply influenced by their respective cultural contexts and stakeholder expectations. COSCO's narrative, with its emphasis on operational significance and alignment with national policies, reflects the collectivist values and the integration of corporate responsibility with national development goals that are prevalent in China (Liu & Wu, 2015). In contrast, Maersk's focus on customer－centric initiatives and industry leadership, along with its proactive stance on environmental challenges, resonates with the individualistic values and the demand for transparency and sustainability in Western markets (Gotti, 2011).

The implications of these findings are particularly relevant to the broader context of CSR in the shipping industry. The regulatory frameworks within which these companies operate have a significant impact on their CSR strategies. While COSCO's alignment with national policies and socio－economic issues mirrors the regulatory pressures and development goals in China, Maersk's emphasis on transparency and environmental performance aligns with stricter environmental regulations and sustainability reporting standards in Western markets (Jaworska, 2018). This underscores the need for a nuanced understanding of CSR practices that considers the broader socio－political and economic contexts.

Furthermore, market dynamics play a crucial role in shaping CSR strategies within the industry. COSCO's focus on operational excellence appeals to stakeholders interested in the efficiency and reliability of shipping services, while Maersk's customer－centric approach reflects a market demand for greener shipping solutions and ethical business practices, particularly among environmentally conscious customers (Shin & Thai, 2015). The findings suggest that companies must navigate the complex interplay of regulatory frameworks, market dynamics, and stakeholder expectations when constructing their sustainability narratives.

In terms of stakeholder expectations, the study reveals how COSCO and Maersk manage these through their

sustainability narratives. COSCO's formal communication style and focus on national development goals appeal to stakeholders who value stability and alignment with national interests. Conversely, Maersk's personal and relatable communication style, along with its emphasis on addressing immediate stakeholder concerns, fosters a sense of inclusivity and responsiveness, which is valued in individualistic cultures (Gotti, 2011). This insight is crucial for companies aiming to communicate their CSR efforts effectively, considering the cultural and market-specific factors that influence stakeholder perceptions.

By understanding the nuances of corporate identity construction through sustainability narratives, companies can better align their operations with stakeholder expectations and global sustainability goals. This alignment is not only crucial for the companies' reputations and competitiveness but also for contributing to a more sustainable and responsible maritime sector. The study's findings emphasize the need for a strategic approach to CSR that is responsive to the cultural, economic, and regulatory contexts within which companies operate, ultimately contributing to the broader discourse on corporate responsibility and identity in the shipping industry.

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A Study on the Differences in Marriage Customs Between the Tang Dynasty and the Uighur Through Heqin

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Abstract: Uighur's marriage customs were influenced by the influence of traditional marriage customs of northern ethnic minorities, and the prevalence of succession marriage. Tang dynasty marriage customs were influenced by the traditional marriage customs in the central plains; marriage was of more importance to the concept of human relationships. Although the central dynasty experienced the Wei-Jin and North-South Dynasties period of multi-ethnic exchanges and integration of the situation, the Tang and Uighur in the nature of the society still had a big difference. In this paper, on the basis of Tang and Uighur marriage, the Uighur of the collection of marriage and the Tang dynasty official marriage and marriage concepts in the Central Plains, and combined with the Tang and Uighur and marriage rituals to explore the scope of the choice of the two sides of the women remarried as well as the differences in the two marriage customs.

Keywords: Tang Dynasty; Uighur; marriage; differences in marriage customs

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從唐與回鶻和親看雙方婚俗之差異

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摘　要：回鶻婚俗受北方少數民族傳統婚俗的影響，盛行收繼婚。唐朝婚俗受中原傳統婚俗的影響，在婚姻中較為

重視人倫觀念。中原王朝雖然經歷了魏晉南北朝時期多民族交流交融的局面,但是唐與回鶻在社會性質方面仍然有較大差異。本文在唐與回鶻和親的基礎上,對回鶻的收繼婚和唐朝官配婚以及中原社會門當戶對的婚姻觀念進行分析,並結合唐與回鶻和親禮儀探究雙方婦女改嫁的選擇範圍以及兩者的婚俗差異。

關鍵詞:唐朝;回鶻;和親;婚俗差異

一、唐與回鶻和親的背景

隋末至唐初回鶻隸屬於突厥,貞觀初年回鶻不忍突厥的壓迫與薛延陀連手大敗突厥,在突厥滅國後歸附薛延陀,回鶻同樣受到薛延陀的剝削,於是與唐朝合作共同攻滅了薛延陀。貞觀年間唐朝因回鶻助其消滅薛延陀,在回鶻地域置「瀚海都督府」,任命回鶻首領吐迷度為都督,置 6 府 7 州,受唐朝北方的羈縻府州「燕然都護府」所管轄。[①]由此唐與回鶻的交往交流隨之逐漸深入,兩者的關係也逐漸親切緊密。

另外,回鶻積極配合唐朝對付西突厥政權,為分裂西突厥,唐朝聯合回鶻等部族徹底消滅賀魯的割據勢力,從此西突厥的領域劃入唐朝版圖。公元七世紀末至八世紀初東突厥後人默啜可汗恢復突厥政權,後世將之稱為後突厥,後突厥政權的興起再次將回鶻置於被剝削的處境。之後在回鶻首領骨力裴羅的領導下,聯合「九姓」和「十姓」氏族等部族以及在唐朝的幫助下反抗後突厥獲得勝利,骨力裴羅被推舉為骨咄祿毗伽可汗,唐統治者將他封為懷仁可汗,回鶻在公元 774 年正式成立汗國。由此回鶻勢力走向強盛,成為不可忽視的北方少數民族政權。唐王朝以安史之亂為分界,前期唐朝實力雄厚、國力強盛,對於周邊少數民族政權的征服和管理有較高的威望,但安史之亂的爆發對唐王朝的統治產生了嚴重的威脅,《安祿山事蹟》載:安祿山在範陽建城並以防禦外敵的名義囤積大量兵器,同時他還通過收養同羅、奚人、契丹人等八千多人作為義子的方式收買人心,讓他們願意為其效忠。而唐王朝對於戰爭局勢的錯誤判斷與決策,加之唐朝臨時招募的軍隊缺少訓練、士氣低落,因此唐朝軍隊在平叛戰爭中節節敗退,處於劣勢。[②]

回鶻汗國建立之後,並沒有從此走上平穩發展的道路,國內外的複雜形勢使得回鶻汗國發展較為曲折。雖然後突厥已被滅亡,但是其仍留有部分殘餘,不時對回鶻或唐朝邊境進行侵擾。此外,其他周邊政權的興起,尤其是吐蕃政權的崛起,無論是給唐朝或是回鶻都帶來了威脅。吐蕃政權為進一步發展,不斷向東邊擴張,與之相鄰的回鶻汗國勢力範圍以及唐朝安西、北庭都護府地域是其向東擴張的重要掠奪對象。在此之間,三方出於對自身利益的考慮,不斷尋求合適的聯合對象,最終導致了唐與回鶻聯盟的政治格局。

由此,唐與回鶻的和親是雙方需要的結果,回鶻作為北方民族逐漸興起的政權,雖然勢力逐漸強盛,但是面臨著內部矛盾和外部威脅,需要依附唐王朝的實力來加強自己的統治和聲望,與唐朝和親是一個很好的選擇。唐朝在安史之亂中受軍隊實力、決策失誤等影響,無法獨自平叛以安祿山為首的叛軍,需要借助周邊民族政權的軍隊力量。加之安史之亂後,唐朝社會遭受重創,國力下降,無法再維持曾經的盛世統治,無法單獨對抗北方民族的勢力,需要通過和親來加強與周邊民族的聯繫,緩和與民族政權的關係。

二、唐與回鶻的婚姻形態概述

回鶻作為北方少數民族政權的一部分,其社會性質、經濟基礎、文化風俗與其他北方民族大致類似。在七世紀初到八世紀四十年代,回鶻由氏族社會末期進入到階級社會,並逐漸發展到初期封建社會。北方遊牧民族多數以遊牧或半遊牧的生活方式為主,因各部族流動性大,所以各部落接觸較多,回鶻在很大程度上繼承並吸收了匈奴、突厥、契丹等少數政權的社會經濟、階級關係、風俗習慣等內容。在婚俗方面,回鶻與大

多數北方遊牧政權一樣,盛行收繼婚,所謂收繼婚,指的是丈夫死後,寡居婦女被亡夫家族內親屬收娶的婚姻制度。③在收繼婚中,主要包括「夫兄弟婚」和「妻姊妹婚」兩種形式。「夫兄弟婚」主要指若兄長去世,弟弟可以娶寡嫂作為妻子;或者弟弟去世,兄長可以娶弟弟的妻子;有的甚至還擴大到叔叔去世,娶叔母為妻,或是父親去世,收娶庶母為妻;「妻姊妹婚」指的是妻子去世,可以繼續迎娶女方家中的大姨或小姨為妻;甚至擴大到娶其侄女為妻。④

《舊唐書》載:「初,烏紇蒸其叔母,遂與俱陸莫賀達干俱羅勃潛謀殺吐迷度以歸車鼻。」⑤就是典型的夫兄弟婚,即娶叔叔的妻子作為自己的妻子。在唐與回鶻和親之中,不難看出回鶻收繼婚習俗的存在,咸安公主依照回鶻法,先後成爲天親可汗、忠貞可汗、奉誠可汗、懷信可汗的妻子。⑥回鶻正式成爲汗國後,進入初期封建社會,因其是由不同的部族或集團組成的一個團體,婚姻作爲連接內部氏族的重要方式,若婚姻的任何一方去世,都不利於氏族間的友好關係,而收繼婚的實行減少了部落之間因人死而婚姻不存在的問題,這在一定程度有利於維護部落之間的友好關係。林恩顯指出,回鶻社會在觀念上認爲:「婚姻」在意義上,不僅是青年男女「當事人」間的結合,而更重要的是氏族間或所屬集團間的社會性結合。因此當配偶的任何一方死亡時,很自然地由死者家族提供其「代替人」。⑦此外,遊牧經濟在回鶻社會中佔據主要地位,雖然男性在遊牧經濟中的作用比較重要,但是婦女在生產生活中也是一份重要的勞動力,夫妻中的某一方去世都會造成家庭勞動力的衰減,無論是"夫兄弟婚"還是"妻姊妹婚"都保証了男方家族中人口結構的穩定性,無論如何男方家族的人口數量不會因爲夫妻某一方去世而喪失額外的勞動力。如果不實行收繼婚,家庭生活在一定程度難以維係下去,因此收繼婚在回鶻社會中較爲盛行。

《禮記·昏義》載:「昏禮者,將合二姓之好,上以事宗廟,而下以繼後世也。」⑧中國古代對婚姻十分重視,在長時間的發展中,逐漸形成了具有中原特色的婚俗。魏晉南北朝時期隨著門閥氏族的興起而形成的出身門第觀念,到隋唐時期依然盛行。雖然唐太宗試圖通過修改《氏族志》來樹立新的階級門第觀點,但一些新貴官宦和富裕人家,仍然想方設法與沒落的舊氏族締結婚姻。在唐中後期,受科舉制度發展的影響,更重視政治能力和文化素養,門第出身不再如以前重要,門當戶對的婚姻觀念在婚俗中得到淡化,門第觀念卻依舊存在。

在唐朝的婚姻形態中,有官配婚、收繼婚等不同形式。所謂官配婚是指國家政府強制婚姻當事人進行婚嫁,以此實現增加人口生產的目的。⑨唐太宗曾下詔:民間男子年齡 20 歲,女子 15 歲還沒有婚嫁者以及男子喪妻達到禮制服期,婦女嬬居已經除服,未再婚配者,則由州縣出面勸導,「申以媒發,命其合好。」⑩由此來增加人口從而達到恢復農業生產力的目的。而收繼婚婚俗,在本質上是相悖於中國封建社會傳統禮教的,中原社會歷來都以儒家倫理道德為準則,在婚姻方面更是如此。但是在經歷魏晉南北朝之後,北方少數民族與中原的交往交流逐漸頻繁和深入,收繼婚也隨之傳入到中原,隋唐時期收繼婚逐漸被中原王朝統治者所接受,以至於出現收繼婚的現象。如唐太宗發動玄武門之變後,殺死其弟元吉,又納元吉的妃子楊氏為妃;武則天原為太子後宮才人,其子唐高宗又把她先收為妃子,又立為皇后,這都屬於收繼婚的範疇。⑪

唐與回鶻由於各自社會性質、經濟基礎、文化習俗等方面的影響,在婚俗中呈現出不一樣的形式和狀態,但是唐王朝經濟繁榮、多元文化交流豐富,並受魏晉南北朝時期少數民族進入中原的影響,具有遊牧性質的收繼婚也傳入到中原。

三、唐與回鶻婚俗差異

唐與回鶻的和親一定程度上受到回鶻婚俗的限制,唐和親公主必須依照回鶻法在可汗去世後繼續擔任下一任可汗的妻子,有的甚至連續擔任好幾位可汗的妻子。如小寧國公主在英武可汗去世後又成為英義可

汗的妻子。⑫太和公主出降回鶻先是崇德可汗的可敦,在崇德可汗去世後成為其弟的妻子,之後又分別成為四個可汗的可敦。⑬回鶻的收繼婚習俗,使得女性在婚姻關係中非常被動,通常是嫁到某一氏族就必須一直生活到死去,如果遇到丈夫去世的情況,會繼續作為丈夫兄弟或是繼子的妻子繼續生活,沒有自主選擇的餘地。從雙方和親過程中回鶻固守傳統收繼婚的習俗可以看出,收繼婚在回鶻社會中的重要地位。並且男性家長在收繼婚婚俗中佔有絕對的主權地位,對喪夫後的婦女有絕對的支配權。這種習俗對回鶻女性再婚或是改嫁的限制,實際上是把女性視為男性甚至部落財產的一部分,而非獨立的個人,收繼婚婚俗很可能是避免財產外流的一種手段。

唐朝初期,女性的婚姻生活是相對開明和寬鬆的,婦女的再婚和改嫁也非常普遍。以唐朝公主為對象,再嫁者不在少數,甚至有多次再嫁的情況,根據《唐會要》卷六《公主》所載內容統計不同時期再嫁公主數量分別是:高祖4位,太祖6位,高宗1位,中宗3位,睿宗3位,玄宗8位,肅宗2位,代宗1位。⑭從史料所載唐朝公主多人再嫁的情況來看,唐王朝對王室女性的婚姻生活的包容程度。《唐律疏議·戶婚》不反對女性在丈夫死後改嫁,或者女性在離婚後改嫁,或許能夠進一步說明唐王朝對女性婚姻的包容程度。

唐朝婚俗與回鶻有很大差異,唐朝婚姻禮儀大體遵循周禮,《左傳》記載的六禮有:納采、問名、納吉、納征、請期、親迎。⑮唐代締結婚姻,六禮是必不可少的禮儀和程式,是完成婚禮的重要前提條件。唐與回鶻的和親雖然帶有政治婚姻的目的,但仍然具有「合二姓之好」的作用,和親的禮儀也可以被稱為是唐和親公主與回鶻可汗的結婚禮儀,史料對於兩者和親禮儀的內容沒有詳細的記載,只在《舊唐書》《新唐書》《資治通鑒》《冊府元龜》中有零星的涉及。林恩顯認為唐與回鶻的和親禮儀主要包括:請婚、納采、迎親、指名、使節加官、受命、出嫁、可汗受冊、可敦受冊、賜唐使歸、謝婚等多個方面的內容。

唐與回鶻和親與唐代傳統的婚禮習俗存在差異,在納采之前還有請婚的這一過程,這裏的「請婚」是指回鶻派遣使者向唐統治者請求能夠與公主成婚。回鶻向唐朝請婚,如果唐統治者同意和親,那麼就進入到納采和迎親的程式,在唐與回鶻和親過程中,或許是受兩者之間路途距離遙遠的影響,納采和迎親往往是同時進行的。通常是回鶻派人來迎接公主,在迎接和親公主的隊伍中有公主、宰相、都督、摩尼、大首領妻妾等人,同時回鶻會將馬匹、駱駝或是其他物品作為聘禮獻給唐朝。之後是指名,就是唐朝一方要確定和親人選並賜給公主封號。使節加官,指的是皇帝對護送公主出降的官員的任命,通常會選擇官員或是皇親國戚來兼任冊命使、禮會使、婚禮使等職責。受命主要指,官員接受皇帝的命令,承擔起護送和親隊伍乃至其他相關事宜的責任。可汗受冊,指唐王朝對回鶻可汗的冊封,在一定意義上體現了唐朝對回鶻的認可,回鶻可汗受唐朝冊封,在一定程度上可以加強自身的可汗地位。可敦受冊,指回鶻可汗對和親公主作為自己妻子身份的冊封,在一定意義上是對和親公主作為可汗妻子的認同,可敦是回鶻對可汗妻子的稱謂,相當於唐王朝的皇后。賜唐使歸,指唐朝護送和親的隊伍到達回鶻完成和親使命後,回鶻可汗會向唐使貢獻馬匹等物品,確保唐使正常返回中原。

唐與回鶻和親的禮儀相較於唐王朝傳統的婚俗禮儀而言,存在一定的差異性,從其禮儀形式來說,和親禮儀相對於六禮來說形式更加豐富多樣,其增加了請婚、可汗受冊、可敦受冊等形式內容,但是也缺少一些六禮之中的形式,如問名、納吉、請期等。和親禮儀與中原傳統六禮有差異,或許是因為唐與回鶻兩個政權以和親的名義來達成結盟目的,和親禮儀是連接兩國同盟關係的仲介,可汗和可敦的受冊是對和親雙方「當事人」身份地位的看重;此外回鶻與唐和親只是想借助唐朝勢力壯大自身,免受其他少數民族政權的侵擾,只要能與唐和親,和親公主姓甚名誰對回鶻來說或許並不重要。

從婚俗文化來說,六禮包含了古代中國的傳統婚俗文化,具有濃厚的中原文化特色,比如將大雁作為男方向女方詢問婚姻意願的納采禮,具有對雙方婚姻的美好祝願;而唐與回鶻之間的和親締結的是政治婚姻,對雙方婚俗文化沒有深入瞭解,只是簡單地遵循雙方基本的婚姻禮儀。唐朝相對於回鶻來說,有長時間的

傳統文化沉澱,特別是漢代以來,對儒家傳統倫理道德的重視,到唐朝文化程度有較大的進步和發展。而回鶻作為一個剛興起的汗國,並且長期在匈奴、突厥等遊牧民族的影響下,受遊牧經濟、地理環境等多方面的影響,社會文化通唐朝有諸多不同。雖然唐與回鶻的和親存在一些衝突,但是最終都和平解決,在一定程度上來說,雙方的和親對各自的政治、經濟、文化都產生了重要意義,維持了雙方之間長久的友好關係。

四、結語

唐朝時期,回鶻勢力逐漸強盛,與唐朝的交流日漸頻繁,其想借助唐朝勢力增強實力、穩固地位。唐王朝在安史之亂後由盛轉衰,若想維持對周邊少數民族的統治,實力強大的回鶻政權是唐朝穩定局勢的重要合作對象。由此,唐與回鶻出於各自的政治需要,達成和親目的。在雙方和親中,回鶻婚俗盛行收繼婚,回鶻女性受收繼婚的制約,不存在再嫁或改嫁的現象。唐朝經過魏晉南北朝時期的多民族文化的交流交融,在一定程度上受到北方少數民族文化的影響,收繼婚也逐漸出現在中原社會。但社會主流仍然以中原傳統文化習俗為主,在婚俗方面重視門第觀念,加之文化繁榮、思想開明,婦女在婚姻中有較大的自主權。

唐與回鶻婚俗方面存在一定的差異。從禮儀方面來說,或許是受兩地距離較遠,回鶻政權較為看重唐朝和親公主身份等因素的影響,和親禮儀在形式上增加了請婚、可汗受冊、可敦受冊等環節,但省略了問名、納吉、請期等傳統六禮中的步驟。相比之下,唐與回鶻的和親更多是政治聯姻,缺乏對彼此婚俗文化的深入瞭解,雙方和親在禮儀形式和文化內涵上與中原傳統婚俗有所不同,更注重政治目的而忽視了文化融合。即便如此,唐與回鶻的和親仍然具有重要的積極意義,它促使了唐與回鶻之間長期友好關係的維持,雙方聯盟共同對抗吐蕃在一定程度上維繫了唐對安西、北庭等地域範圍的統治,也為回鶻的發展提供了保障。

注釋

① 程溯洛:《唐宋回鶻史論集》,北京:人民出版社,1993 年版。

② 趙恪:《唐與回鶻和親問題研究》,內蒙古師範大學 2023 年碩士學位論文。

③ 張久和、劉國祥(主編),吳飛(著):《中國古代北方民族史·回紇卷》,北京:科學出版社,2021 年版。

④⑦ 林恩顯:《中國古代和親研究》,哈爾濱:黑龍江教育出版社,2011 年版。

⑤ 劉昫:《舊唐書》卷 195《回紇傳》,北京:中華書局,2000 年版。

⑥ 王溥:《唐會要》卷九八《回紇傳》,上海:上海古籍出版社,2006 年版。

⑧ 胡平生、張萌譯(注):《禮記(下)》,北京:中華書局,2017 年版。

⑨ ⑩ ⑪ 鐘敬文(主編),蕭放副(主編):《中國民俗史 隋唐卷》,北京:人民出版社,2008 年版。

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⑮ 楊伯峻:《春秋左傳·昭西元年》,北京:中華書局,1995 年版。

⑯ 朱振武,楊雷鵬:《白睿文的翻譯美學與文化擔當——以〈活著〉的英譯為例》,《外國語文》,2016 年第 32 期,頁 89-94。

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Innovative Research on the Co-Construction Mechanism of Marine Ecological Civilization from the Perspective of Collaborative Governance

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Abstract: This paper focuses on the construction and optimization of public participation mechanisms in marine ecological civilization construction. Primarily using the questionnaire survey method, it deeply analyzes the current status and existing problems of public participation, and proposes an innovative mechanism model. The research finds that public awareness of marine ecological civilization has a promoting effect, but overall remains at a relatively low level. Problems such as blocked participation channels, insufficient capabilities, imperfect mechanisms, low actual participation degree, and low participation rate still exist. Therefore, this paper creatively proposes a "Internet + Offline" dual－track collaboration model and a "Four－Driven Collaboration" model. These aim to stimulate public participation enthusiasm through innovative communication methods and multi－channel interactions, forming a complete logical chain from cognition to action. This study provides new perspectives and theoretical support for the field, and the innovative mechanism models have practical promotion value, contributing to the modernization of marine governance.

Keywords: Public participation; marine ecological civilization construction; mechanism construction; optimization strategies

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協同治理視域下海洋生態文明共建機制創新研究

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摘　要：本文聚焦于公眾參與海洋生態文明建設機制的構建與優化,主要運用問卷調查法,深入剖析了當前公眾參與現狀、存在問題,並提出創新性機制模型。調研發現,公眾對海洋生態文明的認知水準有促進作用,但總體上還處於較低層次。參與管道不暢、能力不足、機制不健全,實際參與程度低、參與度低等問題仍然存在。為此,本文創造性地提出了「互聯網+線下」雙軌協同模式與「四驅協同」模型,旨在通過創新傳播方式和多管道互動,激發公眾的參與積極性,形成從認知到行動的完整邏輯鏈,為該領域提供了新視角與理論支援,創新性機制模型具有實踐推廣價值,助力海洋治理現代化。

關鍵詞：公眾參與;海洋生態文明建設;機制構建;優化策略

一、引言

海洋作為地球的重要組成部分,承擔著調節氣候、碳匯固存、保護生物多樣性等關鍵功能,對維護地球生態平衡、維護人類社會可持續發展具有十分重要的意義。《2030 年可持續發展議程》聯合國將海洋保護在世界各國發展中的重要地位進一步突顯出來。然而目前世界海洋正面臨著嚴重的危機,2021 年日本核廢水排海決策及其 2023 年的實質性實施,引起了世界各國對這一問題的高度重視,而海洋生態文明建設顯然已成為全世界環境保護和可持續發展的一項重要課題,海洋生態文明的建設也成為世界各國關注的熱點。不少學者呼籲,在海洋生態文明建設中,各國應將公眾參與列為主要途徑,將公眾稱為責任人,但這方面的研究還很欠缺。在這樣的背景下,海洋治理現代化的必然選擇就是構建科學有效的公眾參與機制。

本研究旨在探索切實可行的公眾參與機制,從而幫助公眾增強海洋保護意識、提高參與海洋保護活動的積極性,進而推進海洋生態文明建設。具體而言,研究目的包含:一是深入分析海洋生態文明建設進程中公眾參與機制所發揮的作用;二是針對當前公眾參與機制存在的不足,提出具有可行性的優化策略和方案;三是借助構建高效科學的公眾參與機制,推動海洋治理現代化進程,達成海洋生態系統的可持續發展願景。

二、文獻綜述

（一）相關領域研究綜述

海洋生態文明建設作為全球可持續發展與環境保護領域的關鍵議題,近年來在國內外均受到了廣泛重視。2019 年,習近平總書記提出了「海洋命運共同體」這一重要理念,為海洋生態環境保護增添了新的戰略

內涵。特別是在當前海洋生態環境問題日益嚴峻、日本核廢水排放等事件背景下,公眾參與在解決此類問題中扮演著愈發重要的角色。

關於海洋生態文明建設的研究,目前國內學者主要集中在生態文明的理論框架和實施路徑兩個方面。1996 年,國家海洋局出版的《中國海洋 21 世紀議程》中明確指出,海洋生態文明建設除了政府的推動,還需全社會的廣泛參與。在此指引下,積極引導和支援社會各界參與海洋生態環境保護工作成了當前生態保護的重要課題。2017 年,趙玲在《基於公眾參與的海洋生態文化建設初探》[1]中指出推動公眾積極參與的重要措施和公眾參與的重要性。主要措施有法律保障、制度建設及加強文化傳承。2021 年,劉儉在《社會主義生態文明建設中的公眾參與問題研究》[2]對從社區自治組織和民間社會組織兩方面入手加強公眾參與組織建設的可能性進行了探討。另外,還有研究者提出,激勵機制的建立對於提升公眾參與意識和持續性至關重要,強調了公眾參與應具備長期有效的激勵與保障機制。

國際各國也採取了積極措施,旨在推動公眾參與海洋生態文明建設。美國推進基於生態系統的海洋綜合管理,對國民實施海洋保護的教育和宣傳,積極宣導海洋治理的科學性和民主性,將海洋生態保護交由民眾。美國的《聯邦環境政策條例》規定評價單位擬定環境影響報告書草案後,應寄送有關的政府機關、社會團體並在地區報紙上公佈以徵求意見。在墨西哥灣漏油事件中,該機制得到了有效利用[3]。韓國則加強對民眾的宣傳和教育工作,提高民眾的海洋保護意識,如開展放映環保宣傳片、實行「全國海洋 大清掃 2001」等具體措施;除此之外,韓國政府還成立了專門的以民眾與政府合作為基礎的環保部門,旨在宣導市民切身參與到宣傳和管理中來[4]。澳大利亞在設立海洋保護區的過程中一直將公眾參與作為一項關鍵性任務,如大堡礁海洋公園在 1999–2004 年進行分區規劃時,把公眾參與列在整個項目計畫之內[5]。

(二) 現有公眾參與機制的優缺點

目前,許多國家已出臺了一系列措施,積極推動海洋環境保護和生態建設,如法律保障、制度建設和意識提升等措施。法律保障方面,出臺相關保護法,如我國的《中華人民共和國海洋環境保護法》[6]、美國的《海洋保護法》等相關法律中都明確了公眾參與海洋環境保護的權利、義務和監督責任;地方立法機關也有權根據地方實際情況制定相應法規。在實際操作中,國內外注重立法透明度和科學性,通過草案公示、聽證會等資訊公開形式,加強公眾的監督作用。以上各種協調機制的建立加強了政府、社會組織和公眾之間的聯繫合作,形成了積極良好的互動模式。此外,通過開展海洋通識教育、環保設施開放等教育和宣傳活動,不僅提高了公眾的海洋保護意識,還促進了公眾對海洋環境保護的廣泛關注與參與。儘管國內外出臺了眾多措施,旨在推動公眾參與海洋環境保護和生態建設,但仍存在提升空間。結合國內外研究和實踐經驗,可以總結出以下三個共性問題:第一,研究視角相對單一,主要聚焦於政策和法律框架,缺乏對公眾參與行為的深入探討;第二,忽視地域、國情等關鍵影響因素,導致部分政策適應性和推廣價值低下;第三,部分研究結果滯後於實踐需求。

儘管國內外在推動公眾參與海洋環境保護和生態建設方面已採取多種措施,但仍存在提升空間。綜合國內外研究和實踐經驗,可以總結出以下幾個共性問題:(1)研究視角相對單一,主要聚焦於政策和法律框架,缺乏對公眾參與行為的深入探討;(2)忽視地域、國情等關鍵影響因素,導致部分政策適應性和推廣價值低下;(3)部分研究結果滯後於實踐需求。

通過進一步歸納可以發現當前公眾參與機制存在兩大突出問題。第一,仍以政府主導為主,缺乏多元廣泛的公眾參與;其次,儘管公眾在海洋生態文明保護意識上有所提升,但參與機制的不完善,限制了公眾參與的積極性和主動性。為此,在現有的法律和制度下,如何進一步完善公眾參與機制,激發公眾的廣泛關注與有效行動,是一個重要的議題。

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總而言之,公眾參與的「組織化」能提升社會信任與協作能力,能更加有效地推進海洋生態文明建設。那麼,就如何構建有效的公眾參與海洋文明建設的機制,國內學者有諸多探討,國外對公民參與海洋生態文明建設同樣給予了充分的重視和關注,綜合國內外有關海洋生態文明建設公眾參與機制的研究成果和實踐經驗,可以發現一些共性,大部分研究方向存在一定的局限性。

三、基於海洋生態文明共建機制的多維實踐調研

(一) 研究方法

在前期準備階段,主要運用了文獻研究法與因素分析法來進行探究海洋文明,首先通過查閱和分析大量政策檔和文獻資料,之後研讀相關文獻、國家政策和報告,篩選並提煉相關有效資訊,最後系統梳理並探討了海洋生態文明建設和公眾參與的相關背景。在機制的多維度研究時盡可能地採用多種研究方法,目的是為整個研究提供更全面、科學、客觀的資料支援,把問題研究清楚。除此之外,在已有的成果之上開闢新徑也是可用的方法,因此在經驗借鑒上參考了國內外成功的海洋環保案例,從中總結出可實施的經驗,為研究提供可靠的理論參考。在問題認識清晰的基礎上,研究設計了一份針對公眾對海洋生態環境保護的認知與參與的問卷並採用分層抽樣和方便抽樣相結合的方法,線上和線下相結合的方式,來覆蓋更廣泛的群體,同時方便進行資料的有效比較。該問卷在調查設計上考慮了公眾對海洋生態文明參與機制的瞭解、態度以及參與意願等方面,以全面反映公眾參與機制的現狀和障礙。在樣本選擇上,始終堅持遵循代表性、多樣性和可行性原則,研究物件主要包括教師、學生及在職人員等群體,確保機制在實際操作的可行性下能夠反映不同社會群體的觀點,收穫更全面的資訊,為後期研究提供了基礎資料。

在資料收集階段,通過線上平臺的問卷星調查與線下實地發放紙質問卷,去除了無效問卷後,共收集到1008 份有效問卷。之後對線上與線下問卷總的調查結果進行整合,並實行進一步資料分析,總結得出各變數的均值、百分比等有效資料,為後期論文撰寫服務。接著,針對不同群體之間的差異及其影響因素,我們運用推斷性統計法進行研究分析,採用比較調查法與案例分析法,積極借助國內外已有的相關結論,努力探索更有效的海洋公眾參與機制。同時,團隊還積極組織開展了實地考察活動,選擇走訪台州部分沿海地區,通過對當地的直接觀察與群眾交流,更直觀地瞭解當地海洋生態狀況和當地居民、漁民、志願者、學生等群體在海洋環境保護中的參與情況及當地居民實際需求,以便更好改進機制,有效服務於社會。

完成資料分析和實地調研工作之後,綜合整理了從專案開始所收集的所有資料資料,並用歸納總結法進一步分析,力求專案的科學性和實踐性,足以有力支撐後期的論文撰寫,同時繼續推動研究的深入開展。

該專案總的研究過程經歷了四個階段。首先是對海洋目前生態文明現狀進行背景調研,這個階段主要採用文獻研究法和因素分析法收集海洋生態文明建設已有的相關資料並探討其與公眾參與機制結合的可能性。第二階段是收集第一資料,採用線上線下相結合的問卷調查收集實際資料,瞭解周邊群體對海洋生態環境的認知度情況和海洋環境保護的參與情況及對參與機制的看法。在行為研究階段,主要通過比較調查法和案例分析法,主要借鑒國內外相關案例經驗和已有結論進行總結分析,同時積極結合生活中的實際案例努力建立更有效更全面的公眾參與機制。最後階段是對收集到的資料進行最終的整理和分析,選用歸

納總結法來提取精煉的研究成果並撰寫研究報告。除此之外,借助互聯網等媒介平臺進行實驗性探究是很有必要的研究行為,可以用來分析新型公眾參與機制的可操作性,為論文撰寫開闢新的亮點。

(二)調研過程

2024 年 6 月至 12 月,研究團隊對近年來我國海洋生態文明建設公眾參與機制相關文獻、國家政策及報告進行了深入研究,認識到當前海洋生態文明建設與公眾參與機制存在問題的重要性。同時,為了進一步瞭解公眾對海洋生態文明建設的參與意願,我們選擇對普通民眾進行問卷調查。調查結果顯示,公眾對海洋生態文明保護的關注度和參與意願較高,但實際參與管道和機制建設仍存在明顯不足。

表 1　海洋生態文明公眾認知情況調查分析

問題		調查結果				
1	認為海洋生態文明的重要性如何?	一般	比較重要	非常重要		
		4.62%	17.27%	78.11%		
2	目前職業是?	學生	教師	在職	自由	其他
		38.49%	18.85%	13.89%	16.87%	11.9%

2024 年 8 月至 9 月,為全面瞭解不同社會群體對海洋生態文明保護的認知及參與情況,本研究選取浙江台州作為核心調研區域,重點考察"藍色迴圈"海洋廢棄物治理模式的實踐成效。調研團隊採用分層抽樣方法,對沿海漁村居民、城鎮社區居民、漁業從業人員、環保組織成員以及旅遊從業者等不同職業群體進行深度訪談,覆蓋 18-65 歲各年齡段人群(其中青年群體占比 35%,中年群體 45%,老年群體 20%),同時兼顧教育水準、收入層次等社會特徵的多樣性。通過對比分析漁民、企業員工、基層公務員等不同社會角色對政府主導型生態保護模式的評價,收集到多維度的公眾參與資料,為構建具有廣泛適用性的海洋生態文明共建機制提供了扎實的實證基礎。特別注重採集女性群體(占樣本量的 48%)和外來務工人員等易被忽視群體的意見,確保研究樣本的社會代表性。
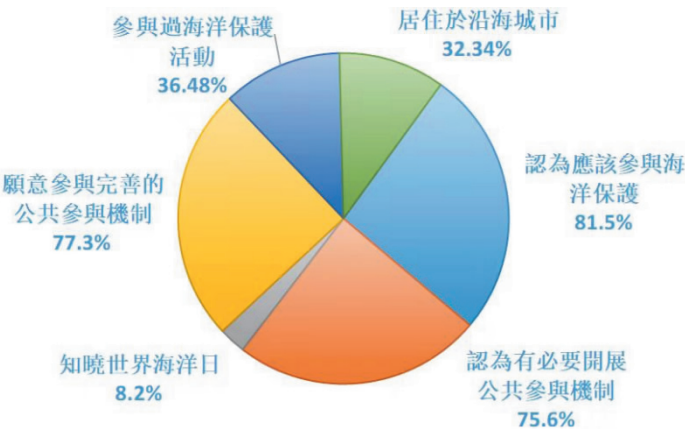
圖 1　公眾對於參與海洋生態保護意願調查分析

(三)調研結果

經前段時間研究發現,公眾對海洋生態文明的認知水準有所提升,但整體仍處於較低水準,多數人對海洋生態文明的瞭解局限於海洋污染、過度捕撈等表面現象,對其更深層的內涵、重要性及與自身生活的關聯

性認識不足,尚未深刻認識到海洋文明的破壞對人類社會和諧的危害。在研究過程中瞭解到公眾參與海洋生態文明建設的意願普遍較強,但轉化為實際行動的比例較低。雖然多數人表示願意參與海洋保護活動,但受限於時間、精力、知識儲備等因素,實際參與度不高,大多僅局限于口頭意願。在為數不多的公眾參與中,行為較為單一,主要集中在減少使用塑膠製品、參與沙灘保潔等日常生活中的環保行為,而在更深層次的參與方面,如政策制定、監督執法等,公眾參與度較低。

存在以下問題:

1. 公眾參與意識淡薄:部分公眾對海洋生態文明的認知不足,尤其缺乏保護海洋的緊迫感和責任感,其認為海洋保護與自身生活關系不大,於是很少參與相關活動。

2. 公眾參與管道不暢:海洋生態文明建設公眾參與途徑有限,目前已有的參與平臺和機制不便捷有效,導致群眾意願轉化為實際行動的難度較大。

3. 公眾參與能力不足:部分公眾缺乏參與海洋生態文明建設所需的知識和技能,例如不知道該如何參與,更受限於時間與精力,尤其是上班族與學生党,以至於大部分公眾難以有效參與相關活動。

4. 已有的參與機制不完善:社會目前缺乏有效的激勵機制,難以調動公眾參與海洋生態文明建設的積極性和主動性。目前很多機制不考慮地域和國情,缺乏因地制宜的有效策略,同時也沒有結合新時代新特點,很少結合社會進步和科技發展的已有成果。

經過研究分析之後發現,在海洋生態文明的建設中,公眾參與是主要力量,要加以重視。只有不斷提高公眾的認知水準、拓寬參與管道、提升參與能力以及健全激勵機制,才能有效調動公眾參與的積極性和主動性,形成全社會共同參與海洋生態文明建設的良好氛圍。同時,也在總結中發現了一些問題:1. 公眾普遍缺乏有關海洋生態保護的知識和技能,導致參與過程中難以提出有價值的建議和意見。2. 公眾獲取海洋生態環境資訊的管道非常有限,且具有資訊存在不完整、不準確的情況,因此會嚴重影響公眾參與的有效性。3. 公眾參與海洋生態保護的管道有限,且參與過程缺乏規範組織和引導,同時對於公眾的監督回饋機制也不完善。

因此得出以下結論:首先,應加大宣傳教育力度,提高公眾對海洋生態文明的認知水準,通過多種形式的宣傳教育,提升公眾的海洋保護意識。同時拓寬參與管道,為公眾提供更多參與機會,建立和完善海洋生態文明建設公眾參與機制和平臺。其次,要提升公眾參與能力,加強對公眾的培訓,促使公眾更有效地參與海洋生態文明建設。最後,為鼓勵廣大公眾積極參加海洋生態文明建設,完善激勵機制,建立較為完善的激勵機制。

（四）實踐探索

針對已有的公眾參與機制,通過問卷調查瞭解公眾對現有海洋文明公眾參與機制的看法,識別其中的局限性,再根據調查結果,制定改進措施,設計更完善的海洋文明公眾參與機制,以提高公眾參與度和機制的有效性,以下是對實踐案例的調查回饋調查:

表 2　公眾對於現行參與機制回饋

問題		調查結果				
1	您認為我們的海洋文明公眾參與機制存在哪些局限性?（可多選）	受眾精准度不夠	容易被公眾忽視	受平臺規則限制,流量較差	競爭激烈,效果難突出	資料監測困難
		37.2%	79.3%	82.6%	48.7%	30.1%

続表

	問題	調查結果				
2	您覺得海洋文明參與機制在實施過程中可能會遇到哪些問題(可多選)?	公眾關注不足	內容創意不足	推廣管道不穩定	缺乏專業人才	預算不足
		68.2%	36.1%	49.8%	72.4%	69.6%
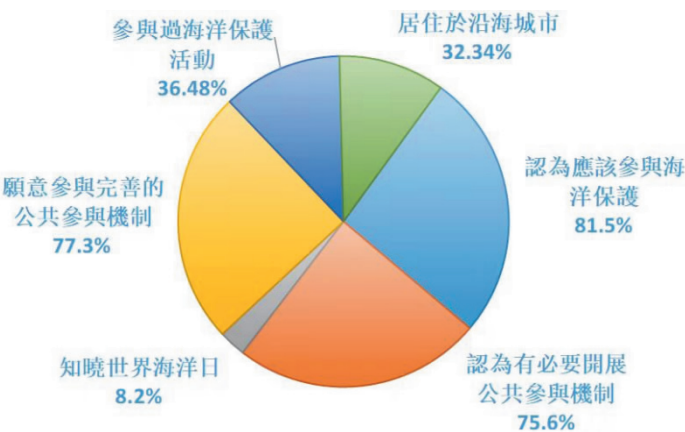
圖 2　公眾對於現行參與機制回饋

　　調研結果顯示,當前海洋生態文明公眾參與機制雖然整體可行性較高且公眾評價積極,但仍面臨一系列現實挑戰。資料顯示,82.6%的受訪者反映受平臺演算法限制導致宣傳內容流量不足,79.3%的民眾表示該機制容易被忽視,其中老年群體和低收入人群的認知度尤為不足。專業人才匱乏問題突出,72.4%的基層管理人員指出缺乏海洋生態和環境政策方面的專業人員,同時69.6%的社區組織和環保機構面臨預算短缺的困境。此外,近半數受訪者提到推廣管道不穩定(49.8%)和同類公益專案競爭激烈(48.7%)的問題,30.1%的偏遠地區還存在資料監測困難。

　　值得注意的是,不同人群呈現出明顯的參與特徵差異。18-30 歲的青年群體更傾向通過短視頻等社交媒體參與,31-50 歲的中年群體更關注社區活動,而 51 歲以上人群則偏好傳統媒體宣傳。沿海居民的參與積極性顯著高於內陸地區,女性參與度也略高於男性。儘管存在諸多挑戰,85%以上的受訪者仍對機制持肯定態度,這種廣泛的社會認同為機制優化提供了重要動力。

　　經過多輪的調查和多維度分析以及不斷地改進之後,該機制已經比較完善,但仍有些許不足,例如公眾忽視、平臺規則限制等問題。為了打造更有效的公共參與機制,決定優化機制推廣管道、招聘海洋相關專業人才、增加專案預算等進一步措施來提高公眾對於機制的參與度。同時將調查結果同步回饋給相關生態部門,以幫助其在官方機制優化、政策制定和資源配置等方面做出更明智且高效的決策。各方面修改後重新推廣該機制,以達到提高公眾對海洋文明公眾參與機制關注和參與的效果。

四、公眾參與機制的實踐探索

(一)海洋生態文明建設公眾參與機制的模型構建──「互聯網+線下」雙軌協同模式

　　根據問卷調查以及實地考察的結果,在已有的公眾參與機制建設的基礎上,項目組嘗試提出了 3 種機制,「互聯網+線下」雙軌協同,三方聯動機制,獎勵激勵機制。以下將會詳細論述。

「互聯網+線下」雙軌協同模式,基於「四驅協同」模型,通過創新參與機制來推動更廣泛、持續的公眾參與。該模式作為專案創新傳播方式,運用傳播學「媒介環境理論」,構建線上線下的立體傳播網路,激發更多公眾群體參與海洋生態保護。線上平臺以小紅書、抖音、微信等多平臺為載體,形成多級傳播網路,其中小紅書發佈海洋科普內容,提升公眾認知;微博通過熱點話題互動激發情感共鳴,增強情感連接;微信公眾號進行價值認同的內容交流,使公眾更深層次地認同海洋生態保護。通過線上平臺的協同作用,對海洋生態文明的關注、參與、支持能夠被全面立體地激發出來。

基於此,線下活動則通過「行為示範——具身體驗——社區動員」三階段的過程,將線上傳播所帶來對海洋環境的認知、情感轉化為實際的行動,通過組織海灘清潔活動、設置問答環節、發放紀念品等互動活動,不僅能增強公眾對海洋環境保護的理解,還能通過集體行動帶動社區層面的動員,進而提高公眾的責任感和參與熱情。

最後,線上線下結合,形成一個完整的傳播鏈「認知喚醒、情感共鳴、價值認同、行為轉化」。即我們設想的「四驅協同」公眾參與模型,通過不同管道、不同層次的互動傳播,讓公眾從淺層認知到深層情感共鳴,從價值認同到行為轉化,形成海洋生態文明建設的強大動力。借助這一模式,海洋生態文明的宣傳可以覆蓋更多的群體,並在公眾心中產生影響,真正讓海洋生態保護認知轉化為行動。

（二）海洋生態文明建設公眾參與機制的模型構建——三方聯動機制

三方聯動機制,與政府、企業和公眾三方不同,計畫通過聯合企業、聯動民間組織以及校園,進行資源整合,形成合力共建模式。教育部《關於深化產教融合的若干意見》(2017)[⑦]中曾提到,要推進產教協同育人。校企育人「雙重主體」,學生學徒「雙重身份」,學校、企業和學生三方權利義務關係明晰。

在企業環保行動倡議方面,計畫聯合沿海地區的相關企業,共同設計具有辨識度和影響力的「海洋友好企業」標識。通過校園海報展示、社交媒體推廣等多種管道,提升企業的環保形象與社會責任感。同時,邀請相關企業參與校園「海洋保護週」活動,設立「環保先鋒證書」,表彰並獎勵在海洋環境保護中表現突出的同學,以此激勵更多學生積極參與環保行動。

在聯動民間組織方面,希望與當地民間環保組織建立緊密合作關係,組織公眾參加海灘清理、紅樹林種植等環保志願活動,為參與志願者頒發「海洋志願者實踐證明」以增強公眾的環保責任和社會實踐能力,在沿海社區設立「環保服務站」,定期開展「海洋知識小課堂」向社區居民普及海洋保護知識,提高居民的環保意識。

此外,將設立「海洋保護小隊」,整合校內資源,讓學生與社會環保力量共同協作,激發學生主體性,積極參與海洋保護,提高保護海洋的能力,促進海洋保護事業發展。

（三）海洋生態文明建設公眾參與機制的模型構建——獎勵激勵機制

獎勵激勵機制,也稱為「三步遞進式激勵體系」,是基於福格行為模型,以接觸、參與、深耕為三步,促進公眾參與海洋文明保護。是在複雜社會語境中激發思維與感受,進而豐富對人類經驗的理解[⑧],通過精神獎勵滿足公眾的心理需求,激發公眾的參與熱情;通過物質獎勵,如發放「海洋保護小衛士」獎狀,形成良性迴圈,推動海洋保護活動的可持續發展。

然而,此機制仍有不足,需要長期的獎勵資源。同時,未獲得獎勵的參與者也會感到不公平。甚至有可能因為過度依賴獎勵,而喪失原本的內在動力。但,獎勵激勵機制依然能調動公眾的參與熱情,引導公眾積極參與到海洋生態保護之中。例如,菜鳥集團自2016年發起的綠色行動——「菜鳥回箱」計畫通過獎勵激勵機制,具體表現為「回收換蛋」、回收金,以及捐箱掃碼互動後向用戶發放個人螞蟻森林綠色能量等舉措,

激勵公眾持續參與活動⑨。截至 2024 年末,該計畫已形成紙箱回收的良性迴圈機制,當年菜鳥驛站回收快遞紙箱及使用舊紙箱寄件減少的碳排放超 2.1 萬噸,已形成了環保行動的激勵閉環⑩。這類經驗為海洋生態文明建設公眾參與機制模型的構建提供了可借鑒的模式。只要通過合理的設計,就可將原本對海洋保護缺乏興趣的人吸引來,引導其參加保護活動,為海洋生態文明的保護注入更多活力。

此外,還可以將海洋生態文明與文化結合起來,進一步深化獎勵激勵機制的建設。鼓勵漁民運用傳統捕撈技術進行海洋生態保護,增強他們的獲得感,形成文化—生態雙維價值認同。同時,加大宣傳,提升該方式的曝光度,讓更多的公眾瞭解到此機制,並參與到海洋生態文明公共參與機制之中。

五、結論

通過以上問卷調查、人物訪談和調研公眾參與海洋生態保護的案例分析,更全面地瞭解當前海洋生態文明建設面臨的形勢和面臨的挑戰,為我們未來的海洋生態保護推廣提供有價值的參考和指導。在分析實踐效果之後,我們團隊也對於成功經驗與可改進之處進行反思總結,在之後的機制實踐中要注重線上線下相結合,擴大宣傳覆蓋面;設計形式多樣、內容豐富的活動,吸引更多公眾有興趣參與;加強與政府部門合作,與環保組織合作,與媒體合作,形成共建合力;關注公眾回饋意見,對活動內容、活動形式進行持續改進。同時,吸收以前錯誤的經驗,加強對公眾參與效果的評價,建立科學的評價體系;探索更加多元的公眾參與機制,滿足不同人群需要;加強與其他國家和地區的交流與合作,借鑒先進經驗,取長補短。為實現海洋可持續發展目標貢獻力量,公眾參與機制的實踐探索需要不斷創新和完善,只有把公眾的積極性、主動性充分調動起來,才能在全社會形成共同參與海洋生態文明建設的良好氛圍。

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Studies on the Sino-Foreign Co-productions of Anti-Japanese War Films in the 21st Century

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Abstract: This paper explores the evolution of Sino-foreign co-productions of Anti-Japanese War films in the 21st century, particularly highlighting the impact of globalization and China's film market opening. It begins by contextualizing China's War of Resistance against Japan (1931−1945) and its enduring significance in Chinese post−1949 cinematic culture, where films reflect historical memories and national sentiments while acting as cultural bridges in international exchanges. The study focuses on a selection of co-produced films, including *The Children of Huangshi* (2008) and *John Rabe* (2009), which have redefined historical narratives by emphasizing the experiences and traumas of Chinese victims and foreign witnesses. This paper aims to reveal shifts in China's public discourse surrounding national identity in cinematic representations while emphasizing the importance of historical consciousness in reshaping China's global image. Ultimately, it argues that these co-productions not only serve to memorialize the past but also engage with contemporary themes that resonate on an international scale, contributing to a multifaceted understanding of the Anti-Japanese War.

Keywords: Sino-Foreign co-produced films; Anti-Japanese War; China's film market

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China's War of Resistance against Japan (1931−1945), also called the Anti-Japanese War, refers to China's resistance against the Japanese Imperial Army's invasion, beginning with the Marco Polo Bridge Incident. The War encompassed widespread military and civilian struggles, culminating in China's victory as part of the Allied forces and shaping China's modern politics. Since establishing the People's Republic of China (the PRC) in

1949, the Chinese film industry has produced numerous cinematic productions portraying the Anti-Japanese War. After China implemented the reform andopening-up policy, the Anti-Japanese war films, as an important part of Chinese film culture, not only carry historical memory and national sentiment but also serve as a cultural bridge for facilitating international cultural exchanges and reshaping China's global image.

It is worth noting that Sino-foreign cinematic co-productions have become a trend with the acceleration of globalization and the opening-up of China's film market. In particular, an increasing number of Sino-foreign co-produced films direct their attention towards the refashioning of the Anti-Japanese War, including *The Children of Huangshi* (2008), *John Rabe* (2009), *Ballet in the War* (2015), to name just a few. These Sino-foreign co-produced films have not only re-accentuated the traumatic historical memories suffered by the Chinese people and reinforced the historical consciousness but also re-mediated images of foreigners, such as Americans and Japanese, to weave a more internationalized version of war narratives. Previous studies have focused on the construction of interracial encounters between the foreign witnesses, the Chinese victims, and the Japanese perpetrators (Zhang, 2020, 2024), the problematic images of Japanese perpetrators (Zhu, 2013), and the critical historical consciousness evoked against universal values of salvation and sacrifice (Dai, 2018).

According to genre theory, genres function through repetition and variation (Neale, 2000) and consist of semantic (iconography, characters) and syntactic (structure, themes) elements (Altman, 2019). Rick Altman describes the multiple functions of genre as follows: Genre as blueprint, as a formula that precedes, programs and patterns industry production; Genre as structure, as the formal framework on which individual films are founded (2019: 14). For Altman, genres are not fixed or stable categories, but rather social constructs. They are shaped by both the industrial system of Hollywood filmmaking and by audiences' expectations. According to Altman, genres emerge from the interaction between cinema as an industry (which uses genres to maximize profit) and audiences, who have particular expectations based on past experiences with similar films. Genres, in Altman's view, function as a form of social communication: they are shaped by both cultural conventions and by the needs of the film industry. Therefore, genre is flexible and ever-changing, subject to the pressures of both the marketplace and social context. In a similar vein, Neale points out that genres are always in play rather than being simply re-played and that genres often evolve and respond to changing cultural and political climates (2000).

This paperbuilds upon the genre theory to further explore the ever-changing cinematic narratives of the Sino-foreign co-productions and look at the development of these productions in the past few decades. It explores the evolution of Sino-foreign co-productions of Anti-Japanese War films in the 21st century, particularly highlighting the impact of globalization and China's film market opening. It begins by contextualizing China's War of Resistance against Japan (1931−1945) and its enduring significance in Chinese cinematic culture post−1949, where films reflect historical memories and national sentiments while acting as cultural bridges in international exchanges. The study focuses on a selection of co-produced films, including *The Children of Huangshi* (2008) and *John Rabe* (2009), which have redefined historical narratives by emphasizing the experiences and traumas of Chinese victims and foreign witnesses. This paper aims to reveal shifts in China's public discourse surrounding national identity in cinematic representations while emphasizing the importance of historical consciousness in reshaping China's global image. Ultimately, it argues that these co-productions not only serve to memorialize the past but also engage with contemporary themes that resonate on an international scale, contributing to a

multifaceted understanding of the Anti-Japanese War.

1. *Empire of the Sun* (1987) and *Children of Huangshi* (2008)

Empire of the Sun, directed by Hollywood auteur Steven Spielberg and released in 1987, follows a young British boy, Jim (played by Christian Bale), during the Anti-Japanese War in Shanghai. After his parents are separated from him during the Japanese occupation, Jim is interned in a Japanese prison camp. As he grapples with survival, he befriends a resourceful American named Basie (John Malkovich) and grows increasingly independent. Amid the harsh conditions, Jim navigates his loss of innocence, the trauma of war, and the complex relationships between prisoners and captors, all while yearning for a return to normalcy. In this film, Westerners such as Jim suffer miserably from hunger, disease, forced labor, and beatings in the Japanese concentration camps. Apart from fear, Jim also learns to adapt, showing moments of empathy, understanding, and even a sense of respect for some Japanese officers in the camp.

The film offers a cruel, realistic portrayal of the hellish experiences suffered by Western characters like Jim in the Japanese concentration camps. The film portrays this treatment as one of gradual degradation, brutality, and dehumanization, reflecting the general treatment of Western civilians and POWs during wartime. The experiences of the Western characters, particularly Jim (the protagonist), provide a window into how foreigners are treated during internment in a foreign, hostile environment. Jim and the other Westerners live in squalid conditions, constantly reminded that their status as foreigners in Japan has little to no bearing on their treatment—they are treated as prisoners, plain and simple. While the film portrays the dehumanizing treatment of Westerners, it also highlights moments of resilience and defiance. For example, Jim's relationship with Basie, an American scavenger in the camp, reflects a clash between survivalist pragmatism and a desire to retain human dignity. Basie is often willing to compromise his morals for survival, but Jim, despite his circumstances, holds onto a sense of self-worth, particularly when he expresses his desire to maintain a connection to his family. The film's dehumanized portrayal of the Japanese camp officers further reinforces the logic of the Japanese army's war cruelties that are popular in later Sino-Foreign co-produced films.

While primarily focusing on Jim's journey as a British child in a Japanese internment camp, the film portrays China and its people mainly through Western characters and experiences. In this film, Chinese characters are often depicted as background figures, passive victims of Japanese aggression, or as part of the prison camp's labor force. They lack significant development or agency within the narrative, reinforcing a Western-centric perspective on the war. Film critic Jana Monji harshly criticizes that the audience of *Empire of the Sun* is asked to sympathize with the British imperial forces that preceded Japan in China, and it fails to adopt the Chinese point of view, that the film "oddly erases the Chinese from a story in China. The Chinese are chauffeurs, gardeners, nannies, and beggars or part of the nameless throngs around the cars, beaten out of the way for the Westerners in their cars" (2024: Age of the Geek). While their presence emphasizes the dire situation faced by the Chinese during Japan's occupation, the film does not offer much depth or exploration of their individual experiences. This narrative lacks the necessary criticism of the atrocities committed by the Japanese army. It shows an indifferent or even contemptuous attitude towards the Chinese, frequently portraying them as thieves and robbers. The three-hour film lacks the depiction of the disasters brought to the Chinese by the

war, adopts a typical Western perspective, fails to convey China's war experience entirely, and even inadvertently falls into a negative portrayal of the Chinese.

The release of the Sino-Australian co-produced film *Children of Huangshi* in 2008 marked a significant turning point. The film shows a more balanced and respectful Chinese perspective in portraying the inter-racial encounters during the Anti-Japanese War, reflecting that China is gradually exerting discourse power over cinematic co-productions. The film follows a young British journalist, George Hogg, who becomes involved with a group of orphaned Chinese children in rural China. Along with an Australian nurse, Hogg leads the children across dangerous terrain to safety, all while grappling with the horrors of war and his growing attachment to the children. Compared with Spielberg's *Empire of the Sun*, *Children of Huangshi* focuses more on the suffering and struggle of the Chinese people in its narrative and constructs several full-blooded Chinese characters. For instance, one of the central characters is Mrs. Wang, a Chinese woman who works alongside George Hogg and helps care for the children on their survival journey. Another leading character is a Chinese guerrilla soldier, Chen Hansheng, who saves Hogg from the Japanese and helps others transport the children. Hogg himself is portrayed as an essential witness to the war atrocities, as he coincidentally runs into the Japanese army's massive execution of the Chinese prisoners of war and uses his camera to document the atrocities. Michael Berry points out that Hogg "takes his photos from an elevated vantage point, which seems to indicate a moral distance between his objective stance as a recorder of history and the crowds of perpetrators and victims huddled below" (2016: 179). Therefore, Hogg is no longer a passive bystander but an active participant in this painful history.

On the one hand, this narrative shift is partly attributed to Chinese-American writer Iris Chang's non-fiction bestseller *The Rape of Nanking: The Forgotten Holocaust of WWII*. Chang's book significantly raised the international community's awareness of the Nanjing Massacre and profoundly impacted the narrative of subsequent films and television works. The Nanjing Massacre, also known as the Rape of Nanjing, occurred between December 1937 and January 1938 during the Second Sino-Japanese War, when Japanese forces captured the Chinese capital of Nanjing. According to historian Takashi Yoshida, over six weeks, an estimated 200,000 to 300,000 Chinese civilians and disarmed soldiers were killed, and tens of thousands of women were raped. The atrocities included widespread looting, arson, and brutal executions, marking one of the most horrific episodes of the war and a profound trauma in Chinese history. Before Iris Chang, many Westerners' knowledge of World War II was limited to the European battlefield, they lacked understanding of the war fought in East Asia, and they knew little about the atrocities of the Japanese army and the suffering of the Chinese people.

Besides, China is also trying to take a leading stand to makeits voice heard in the globalized world. Having more voice in the international film distribution market and broadening the scope of dissemination of Chinese-themed documentaries are the main goals of China's participation in international cooperation in filmmaking. In the context of globalization and cultural diversity, the production and distribution of Sino-foreign co-productions of Anti-Japanese War films is a commercial behavior and a cultural strategy. Attracting international audiences and promoting Chinese culture provides a practical platform for internationalizing China's film industry. The screening of award-winning films at international film festivals has enhanced the international image of Chinese cinema and opened up new ways for the global dissemination of Chinese culture. China's strategic planning at the national level has integrated the improvement of the international communication capabilities of mainstream media

into the national overall development blueprint, indicating the Chinese government's determination to upgrade external communication to a national strategic deployment.

2. The Sino-German Co-produced Film *John Rabe* (2009)

Since the beginning of the new century, with the improvement of China's international status and influence, China's cinematic productions have gradually integrated into the global standards and practices. The 20th National Congress of the CPC ordains thatthe Chinese film industry should build a strategic communication system with distinctive Chinese characteristics, improving the persuasiveness of Chinese discourse, the guidance of international public opinion, the influence of global communication, the appeal of Chinese culture and the affinity of Chinese image (Shen and Yu, 2022). The enhancement of China's soft power has made China shift from learning from Western culture to promoting its own culture. Spreading Chinese stories from Chinese practice and showing Chinese ideas in Chinese stories are the starting point for China's aim to promote its soft power. The national image is also an aspect that the Sino-foreign co-produced Anti-Japanese war films and TV series in the 21st century are trying to shape. With humanistic care and national justice at the core, they continue accumulating positive national images, demonstrating the hardworking, brave, and self-reliant national spirit. The national image is closely related to the development of China today and complements each other.

In the early days, the image of China caused many misunderstandings for various reasons. The image of China from the Western perspective is a cultural fantasy about the Asian others projected by Western culture. As pointed out by Edward Said, the West often holds a complex and two-sided imaginary attitude towards the Orient, which is mixed with various factors such as politics, economy, and culture. Under the influence of these factors, the image of Chinese culture has been misinterpreted and even distorted. Take the 1998 Hollywood animation film *Mulan* as an example. In the traditional Chinese legend, the girl Mulan disguised as a man joined the army out of filial piety towards her sick father, one of the conventional virtues adored in the Chinese nation. However, what is presented in the film *Mulan* is the awakening of Mulan's self-consciousness, which is obviously a Westernized twist of the original story. Meng Xiangfei points out that what was delivered from *Mulan* was "certainly not Chinese but American values by the presentation and narrative of Mulan from the Western perspective and the demonstration of the fabricated rebellious spirit of this historical Chinese figure of about 1,500 years ago" (2020: 105).

The 2009 Sino-German co-produced film *John Rabe* is a historical drama based on the true story of a German businessman who played a crucial role in saving Chinese civilians during the Nanjing Massacre in 1937. Set in the Japanese invasion of Nanjing, the film follows John Rabe (played by Ulrich Tukur), who, despite being a Nazi Party member, uses his position as the head of the *Siemens* factory to create a safety zone for refugees, protecting thousands of Chinese from the brutality of Japanese forces. However, in the film, the Chinese characters are relatively weakly portrayed, appearing to be fragile and helpless, lacking sufficient spirit of resistance. Moreover, the film's narrative focuses mainly on the behavior of the protagonist, John Rabe, and his transformations. Not much is shown about the personal experiences of Chinese victims, causing some Chinese viewers to feel that the emotional resonance is not strong enough. Chinese film scholar Chen Linxia considers that the deliberate universalism and de-politicization of John Rabe's story has turned the film into a tale emptied

of nation-building metaphors. Still, it exhibits that "Germany dare to face their history and is willing to make efforts to alter their public images in the realistic environment" (2010: 88). Given that a German director directed this film with a cast of primarily German actors, it seems reasonable that this film is more interested in displaying the conflictual mental status of John Rabe instead of the Chinese characters. Rick Altman's (2019) concept of genre hybridity (where genres borrow elements from one another) is helpful here: *John Rabe* blends war film conventions with a biographical drama's focus on individual legacy. The individualistic heroism of Rabe contrasts sharply with the collective focus typical of war films, highlighting moral agency within the chaos of war.

In exploring the narrative evolution and national image construction of Sino-foreign co-production films, we have witnessed the profound transformation of China's national image. This process vividly interprets China's leap from a one-dimensional traditional narrative to modern responsibility and multicultural expression on the international stage. As the comprehensive strength of China grows day by day, the shaping of the national image is ushering in a profound change, and the image of an oriental power with a prosperous culture, stable society, united people, and beautiful mountains and rivers is gradually being established. In the film *Children of Huangshi*, although China is suffering from the persecution of the Japanese invasion, the Chinese people depicted have not lost their benevolence, righteousness, courtesy, wisdom, and trustworthiness. The guerrilla leader Chen saves his life to save Hogg, an American, from Japanese persecution, and the Chinese government assists Hogg in finding an empty, safe temple to accommodate the Chinese orphans. In the film *John Rabe*, when the Chinese face the murderous, inhuman Japanese invaders, they still swear to protect their compatriots in the safe zone and fight for their lives. For instance, *John Rabe* constructs a young, beautiful Chinese college girl, Langshu, who receives a Western education and develops a romantic relationship with the German ambassador, George Rosen. Langshu is portrayed as a strong-willed woman who bravely fights against the Japanese aggressor and fully utilizes her wisdom to save children from the Japanese. In the 2017 Sino-Russian co-produced film *Common Victory*, the protagonist, General Xue Yue, led his troops to repeatedly block the Japanese invaders' invasion of Changsha, the southwestern fortress. At the same time, the people of Changsha in this film fought bravely and made great sacrifices.

3. New Docudrama: *Scars of Nanjing* (2017)

In the process of film production, the director plays a vital role. The director has to think about how to present the story and what methods can be used to present the best effect. This includes the director's views on the photography style and the overall visual style of the film. Looking at the development history of Sino-foreign co-productions of Anti-Japanese War films, a very significant change is that Chinese directors began to participate in international film productions. The 1987 *Empire of the Sun* was directed by Steven Spielberg, and the 2008 *Children of Huangshi* was a film shot together by China, Australia, and Germany and directed by Roger Spottiswoode. The 2008 documentary film *Iris Chang: The Rape of Nanking* was directed by Ann Pick and Bill Sphaic. These are all famous Sino-foreign co-productions of the Anti-Japanese War, but there was no Chinese director's presence in their production process.

The year 2009 is a turning point. Starting from the release of the *City of Life and Death* narrative film in

2009, Chinese directors began to gradually appear on the stage in the production team of Sino-foreign co-productions of Anti-Japanese War films. Chinese director Lu Chuan spent a lot of effort preparing *City of Life and Death*. Before shooting the film, he read a lot of historical documents, such as Japanese military diaries. To recreate Nanjing City during the war, the crew spent more than 30 million in Changchun to restore the 800-acre ruins of Nanjing. The design drawings marked the structure, size ratio, location of houses, etc., of Nanjing City. The crew determined the location of essential scenes and restored them individually. Due to funding constraints, the crew failed to replicate a larger Nanjing, nor could they shoot a panoramic view of Nanjing City. In order to ensure authenticity, all the props on the shooting scene were imitated according to cultural relics. Even a newspaper torn by John Rabe, a German who rescued the Chinese during the Nanjing Massacre, was copied from a German newspaper on December 13, 1937. In addition, during the filming process, all the characters and details in the film strictly stick to historical facts. The commercial success of *City of Life and Death* at home and abroad shows the advantage of Chinese directors leading the production of Sino-foreign co-production films on the theme of the War of Resistance Against Japan. Still, the film incited numerous debates over its sympathetic portrayals of a humane Japanese soldier and a Japanese comfort woman.

Since then, Chinese directors have begun to play an increasingly important role in the production of Sino-foreign co-productions on the theme of the War of Resistance Against Japan. In 2015, the Sino-Russian co-produced film *Ballet in the Flames of War* directed by Dong Yachun was released. The film is set in the cold winter of 1945 in Heilongjiang Province, Northeastern China, where the Chinese girl-ballet dancer Eer met with an injured Soviet soldier, Andre, and the two lovers fought against the Japanese. It is a war film that reflects the joint fight between China and Russia against Japanese fascism. Instead of grand history, the film focuses on the changes in individual Chinese families under the shadow of war and the harm caused to each family by the cruel war. Through freehand brushwork, unique tones, contrast of tones, and light and shadow design, the film poetically glorifies transnational love and shows that history cannot be forgotten. This film combines realism and romanticism and wins the audience's appraisal with beautiful scenery and narratives, showing the innovative strength of Chinese directors in making films on the theme of the War of Resistance.

The 2017 Sino-US coproduced film *The Scars of Nanjing* is directed by Chinese director Zhang Hao and US director John Ealer. It is the first Chinese docudrama on the Nanjing Massacre to be broadcasted on the Western media. The film was released on the moment of the 80th anniversary of the Nanjing Massacrel. Like Guttentarg's film *Nanjing*, *Scars of Nanjing* employs actors and actresses to cast as historical figures of westerners who stayed in the city to help Chinese civilians. The film restages multiple real historical incidents such as the Japanese officers' killing contests, the Japanese soldiers' grabbing of Chinese women from refugee camps, and the medical treatments of patients with bayonet wounds. The adaptation of historical events creates a theatrical sense of glooming danger and sentiment of desperation and fear.

During the filming process, there are many unknown behind-the-scenes stories. The first example is about the selection of filming locations. On December 15, 1937, Archibald Steele, an American reporter for the *Chicago Daily News*, left the occupied Nanjing. On that day, he used the radio station of the American warship to send the first news report on the Nanjing Massacre to the world. The reporting news described the massacre this way: "It was like killing sheep. How many troops were trapped and killed is difficult to estimate. Still, it may be anywhere between 5000 and 20000...streets throughout the city were littered with the bodies of

civilians and abandoned Chinese equipment and uniforms" (Lu, 2004: 20). This is the first piece of evidence of a mass massacre by the Japanese army witnessed by a Western journalist in the existing historical materials related to the Nanjing Massacre.

In order to recreate this dramatic scene, the Chinese and American teams had a heated debate. The US side believed that the "wall" mentioned in Steeler's news was the famous city walls of Nanjing. However, the Chinese historical advisory team collectively opposed it. Experts used a large number of historical maps, photos and other materials to prove that any section of the city wall in Nanjing at that time was far away from the river. They suggested that the "wall" mentioned by Steeler should be the high river embankment exposed after the winter dry season. In the end, the American director was convinced and adjusted the shooting location. Similar things happened again. In writing the film script, in order to ensure objectivity and neutrality, the US team demonstrated its strong professional ability and intellectual reserves. The US team sent a research team to collect historical materials about the Nanjing Massacre in the United States in advance, and went to the National Archives of the United States, the Yale Divinity School Library and other places to inquire about the original historical materials of the Nanjing Massacre. They conducted a detailed investigation of the whole picture of that period of history, as well as the deeds, testimonies and records of Westerners who stayed in Nanjing. The producer and screenwriter Frederick Rendina also made a special trip to Nanjing to visit some of the places where the incidents occurred and interviewed the survivors of the massacre. After more than five months of careful preparation, the screenwriter and producer were full of confidence and took the first draft of the script to Nanjing to listen to the opinions of experts. What he didn't expect was that experts from the Jiangsu Academy of Social Sciences, the Memorial Hall of the Victims of the Nanjing Massacre, Nanjing University, and Nanjing Normal University put forward dozens of revisions of her script regarding historical accuracy. Whether each detail is faithful to the historical facts, they were examined and reviewed one by one, and discussed for a whole day and night. How detailed was the research? According to the recollections of Zhang Hao, the director of the Chinese team, every Western person mentioned in the film had a daily schedule after the fall of Nanjing in 1937, and they sorted out what they did, who they met, and what records they made.

The making of the film not only reflects the indispensability of the Chinese team in this docudrama, but also strongly demonstrates why Chinese people must participate in the production process of Sino-foreign co-productions of Anti-Japanese War films. *Scars of Nanking* received the Daytime Emmy Award for Outstanding Cinematography in April, 2018. However, the film failed to incite strong sentiments from the American audience and in the meantime, was not well-received in China as well. Such is also a common dilemma faced by Sino-foreign filmic co-productions, that a lot of these films fail the high expectations of both their foreign and Chinese audience. It seems that the Sino-Foreign co-productions still have a long way to go to achieve maturity in filming technique, plot and characterization.

4. New Voices and New Changes

The traditional Chinese culture is increasingly evident in recent Sino-foreign co-productions of Anti-Japanese War films. In films such as *Children of Huangshi* and *Ballet in the Flames of War*, the benevolence, righteousness, courtesy, wisdom, and trustworthiness that are adored in traditional Chinese culture are fully

displayed, showing the optimistic national spirit of unity, strong-will and self-improvement. In *Children of Huangshi*, British journalist George Hogg was rescued by Chinese guerrilla soldier Chen Hansheng, showing the Chinese good qualities of being helpful and benevolent. In the film *City of Life and Death*, a group of Chinese women volunteer to go with the predatory Japanese soldiers in order to exchange for food and clothes for the refugees, indicating the Chinese people's sacrificing themselves for others. In *Ballet in the Flames of War*, the Chinese family rescued the injured Soviet soldier despite the death threat from the Japanese, glorifying the Chinese people's spirit of self-sacrifice and kindness.

Within the paradigm of Sino-foreign co-production of Anti-Japanese War films and television works, the enhancement of China's discourse power, the optimization of the national image and the rich presentation of Chinese elements have had a profound impact on the creation and dissemination of relevant knowledge, not only changing the international audience's understanding of Chinese history and culture, but also promoting deeper cultural exchanges and recognition on the international stage. As China's influence on the global cultural stage grows, the character image creation, discourse trends, andartistic expressions in co-produced films and TV series have gradually gotten rid of the previous stereotypes and limitations that may have existed in the past.

In terms of character image, the enhancement of China's discourse power has also made China no longer stick to the image of the Western savior to increase the recognition of Western audiences, but more turn to showing the good quality of the Chinese people and the excellent traditional Chinese culture, such as the selfless dedication and patriotism(Han, 2016; Huang, 2022). On the other hand, Sino-foreign co-productions tend to adopt a third-party, international angle in storytelling. For instance, the documentary *Scars of Nanjing* objectively revealed Iris Chang's journey of sticking to the truth, allowing more Westerners to realize the atrocities of the Japanese army on the Asia-Pacific battlefield and the great suffering suffered by the Chinese people. More and more Westerners also reveal the truth from the perspective of bystanders, which further strengthens the Chinese position on issues related to the Sino-Japanese War, is conducive to shaping a good national image, and making a voice in international exchanges. No longer sticking to the creation of stereotyped characters can make the content of Sino-foreign co-productions more diversified and more helpful in telling Chinese stories well.

As time goes by, cultural expression presents more diverse characteristics, not only more innovative in form, but also more profound in content. In the 2007 HBO documentary *Nanjing* (dir. Bill Guttentarg), the storyline adopts the perspective of others, mainly interviews with Western researchers and is in the form of a documentary drama with stage reenactments. In this documentary film, American actors play the main role, and Chinese survivors give oral accounts. It realizes the cross-cultural communication that combines the needs of "others" with the demands of "us". *Ballet in the Flames of War* uses ballet as a medium to tell a story about art, courage and hope. Under the shadow of war, ballet has not only become a spiritual comfort for people, but also symbolizes the yearning for a better life and the desire for freedom. It embodies the unique role of art in inspiring human spiritual power in suffering, leaving us with an unforgettable story of the War of Resistance. *The film City of Life and Death* uses a montage method to weave together the stories of multiple characters, showing not only the Chinese military and civilians, but also the lives and struggles of Japanese soldiers, comfort women, and foreigners who stayed safely in China. The film describes this historical event from multiple perspectives from the perspectives of Chinese and Japanese people. The film not only places it in the context of the historical conflict

between China and Japan, but also in the context of global war, which has caused considerable controversy. The documentary *Iris Chang: The Nanjing Massacre* explores the role and influence of Chang in historical writing, emphasizes the importance of women in recording and disseminating historical truth, and provides audiences with a perspective different from traditional male narratives. *Children of Huangshi* focuses on the rescue activities of international friend George Hogg in China, and through his perspective shows the power of friendship between China and foreign countries and the spirit of mutual assistance among humans in difficult times. This cross-cultural friendship and cooperation not only add a warm color to the historical narrative, but also emphasizes the necessity for humans to face challenges together in the context of globalization.

In the cultural expression of Sino-foreign co-productions of the War of Resistance Against Japanese Aggression in the 21st century, not only have the audience's understanding of historical events deepened, but also the exchange and integration of different cultural perspectives have been promoted, showing the positive role of film and television works in promoting peace, promoting understanding and respecting diversity. In the process of creating and disseminating Sino-foreign co-productions of the War of Resistance Against Japanese Aggression, the enhancement of China's discourse power, the optimization of the national image and the rich presentation of Chinese elements have not only changed the image of characters, discourse trends and cultural expression limitations in the works, but also promoted wider cultural exchanges and understanding, and made positive contributions to building a more diverse and equal international cultural pattern. This trend not only reflects China's initiative and influence in global cultural dialogue, but also opens up a new path for the innovation and development of co-productions in the future.

5. Conclusion

Looking to the future, Sino-foreign co-productions can pay more attention to balancing the Chinese and Western perspectives when dealing with historical themes, ensuring the fairness and diversity of the narrative. Adopt Western expressions, break through traditional cultural expressions, and combine the needs of others with our demands. However, regarding attitude, we must stand firm, make a voice, and have more discourse power. While telling Chinese stories well, the characters should be three-dimensional and multifaceted, not flat. We strive to enhance further the dominant position of Chinese film production teams in co-production films. This is not only reflected in financial investment and technical support but, more importantly, in the dominance of creative concepts and narrative strategies. Through cooperation with top international production teams, Chinese filmmakers will have the opportunity to learn and draw on advanced production techniques and narrative methods while also showing the world unique Chinese stories.

The vast potential of the Chinese film market can also provide a broad space for developing Sino-foreign co-productions. As the demand for high-quality films among Chinese audiences continues to grow, more international production companies will be willing to cooperate with China to develop films that meet market demand jointly. Through co-productions, Chinese production teams can not only improve their production level but also continuously improve and perfect their own creations through feedback from the international market. Government policy support is also an essential guarantee for the development of Sino-foreign co-productions. In recent years, the Chinese government has introduced a series of policies to support the development of the

cultural industry and encourage Sino-foreign cooperation in producing excellent film and television works. These policies not only provide financial and resource support for co-productions, but also provide great convenience in market access and distribution channels.

The diversification of international communication channels has provided a new path forpromoting Sino-foreign co-productions. With the rapid development of the Internet and digital media, movies no longer rely solely on traditional cinema chains for dissemination. Sino-foreign co-productions can reach global audiences more quickly and widely through mainstream media platforms, social media, and multinational film festivals. The performance of Chinese films in the international market will no longer be limited to box office data, but more importantly, the improvement in cultural influence and value dissemination.

Sino-foreign co-productions of Anti-Japanese films arethe product of commercial cooperation and an important carrier of cultural exchange. Through these films, audiences worldwide can have a deeper understanding of China's history and culture and deepen their understanding of China. While telling history, Sino-foreign co-productions are also building a bridge for cultural exchange and promoting dialogue and mutual learning between different cultures. In the context of globalization, the importance of cultural exchange has become increasingly prominent. Sino-foreign co-productions of Anti-Japanese films not only promote the Chinese people's Anti-Japanese spirit and historical contributions internationally by telling China's Anti-Japanese history, but also correct the misunderstandings and prejudices of Western countries about Chinese history to a certain extent. Through these films, the audience can see a more real and three-dimensional image of China, and enhance their understanding and recognition of Chinese history and culture.

In short, the development process and future prospects of Sino-foreign co-productions of Anti-Japanese films reflect the gradual strengthening of China's international discourse power, the improvement of the national image, and the increase of Chinese elements. In the context of globalization and cultural diversity, Sino-foreign co-productions, as an important carrier of cultural exchange, will continue to play an important role in promoting international understanding, spreading Chinese culture, and enhancing the national image. Through continuous innovation and deepening cooperation, Sino-foreign co-productions of Anti-Japanese films will make greater contributions to the development of the world film industry and the deepening of cultural exchanges, and become an important link between the past and the present, the East and the West.

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（Editors: ZHANG Keren & JIANG Qing）

Book Review of *Pleated Skirts*:
An Ethnic Folk Original Picture Book on Batik

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Abstract: *Pleated Skirts*, an ethnic folk original picture book on Batik, creating intricate patterns on the fabric of Miao costumes with traditional dyeing techniques, this book has woven the intangible cultural heritage of Miao ethnic groups into a lively and interesting fairy tale, presenting young readers with a beautiful world full of folk wisdom, not only boasting boundless imagination but also aligning with traditional cultural values, promoting good and punishing evil, and emphasizing unity and mutual assistance. Adopting Miao batik as the illustration style, the unique blue and white colors and simple painting designs have fully embodied the Miao essence, especially the Danzhai batik, with the features of secondary dyeing popular in the region of west Guizhou Province, enriching the expressiveness of the picture. Additionally, the beauty of lines and blank space in traditional Chinese painting in such a book improves the children's perception of ethnic traditional art and cultivates their diverse aesthetic abilities. Thus, it is of great academic value and practical significance to study the profound connotation of the Miao traditional culture.

Keywords: Pleated skirts; Miao ethnic folk; original picture book; batik

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1. Introduction

Recently, the Office of the Classic China International Publishing Project announced the list of projects selected for the 2023 Classic China International Publishing Project. A total of 111 projects were selected, including the book "*Pleated Skirts*," published by the Guangxi Minzu Publishing House, which is a folk story picture book about pleated skirts of Miao people, combining the ancient batik technique with the culture of Miao costumes. This folk story is vivid and lively, full of childlike innocence; with the traditional Miao batik

technique in illustration, it is very distinctive of the Miao ethnic group, and interesting to present Miao folk stories with the traditional Miao ethnic elements.

The Miao ethnic group has a long history of development, with Chi You as their revered ancestor, originally residing in the middle and lower reaches of the Yellow River. They are currently primarily distributed across seven provinces and regions in China, including Hunan, Hubei, Guizhou, Sichuan, Yunnan, Guangxi, and Hainan. Additionally, Miao people are scattered around the world, with populations not only in China but also in America and Southeast Asian countries such as Laos, Vietnam, and Thailand. They have a rich variety of traditional festivals, including the Miao New Year, April 8th, Dragon Boat Festival, New Rice Eating Festival, Autumn Chasing Festival, Horse Fighting Festival, and Fish Stirring Festival mentioned in this batik story of Pleated Skirts.

Figure 1   The Miao ethnic group is primarily distributed across seven provinces in China, including Guizhou, Yunnan, Hunan, Hubei, Hainan, Guangdong, and Guangxi Zhuang Autonomous Region (National Catalogue Service for Geographic Information 2024) GS(2019)1696.

1.1   Briefings

"Pleated Skirts" is a folktale picture book about the Miao ethnic group's pleated skirt, combining the ancient batik technique with the Miao ethnic costumes, inscribed in the first batch of the national intangible cultural heritage list in 2006. Wu Xuan, the author of this book, based on the folk tales of Miao people, has created a series of Miao ethnic folk picture books in 2020, including "*Ox Horn Comb*," "*Pleated Skirts*," and "*Hundred Birds Robe*," which reflect Miao people's fearless pursuits of truth, goodness, and beauty against evil forces. Collaborating with Yang Yun, a Miao batik inheritor, the text stories are presented in the form of batik paintings, using the traditional skills of the Miao people to depict Miao folk tales.

Pleated Skirts tells of the annual Fish Festival held in the Miao village. Aduo, a little Miao girl, catches fish in the pond with her friends. Aduo gets into danger when she chases a fish alone and falls into the water; however, she is fortunately rescued by the Jiyu Bird. Suddenly, a catfish spirit emerges from the water and drags Aduo into the water. The Jiyu Bird shows its sharp beak and claws to drive the catfish spirit away. Aduo, feeling embarrassed because her pants were torn in the struggle, is given a beautiful skirt made from the leaves of the Chinese fan palm by the Jiyu Bird. Wearing this skirt, Aduo happily returns to the village, and the Miao girls in the village love the skirt upon seeing it. Smart Miao girls then made pleated skirts with Chinese fan palm leaves.

Figure 2　Cover of the Pleated Skirts

The text of this book is vivid and lively, full of childlike charm. The illustrations are created using the traditional Miao batik technique, with characters that are vivid and harmonious, simple yet elegant. The composition and colors are magnificent, rich in three-dimensionality, and possess a strong ethnic characteristic as well as high artistic quality. The book's artistic style draws from Miao batik, with blue and white hues and a simple artistic approach that captures the essence of Miao batik, enhancing the visual impact of the illustrations. It also incorporates the beauty of lines and blank spaces found in traditional Chinese painting. Reading this book allows children to appreciate the beauty of batik from a young age, enhancing their sensitivity to ethnic traditional art and fostering a diverse aesthetic sensibility.

1.2　Royal Collins

In July 2021, *Ox-Horn Comb* and *Pleated Skirts*, the two batik picture books co-authored by Wu Xuan, the renowned children's literature author, and Yang Yun, the inheritor of Miao batik and embroidery, were published and distributed by Guangxi Minzu Publishing House, which signed a contract with the French Pacific Communication Publishing House for the French version to be exported to France and also signed a contract with Vietnam's Zhi Culture Co., Ltd. for the Vietnamese version to be exported to Vietnam. Followed by an English copyright export contract, the English version of *Pleated Skirts* will be published by Royal Collins Publishing Group, Inc. in July 2024. Royal Collins Publishing Group Inc. is an independent publishing house located in Montreal, Canada, established in 2012. The publishing house initially focused on publishing academic books. With branches in countries such as the United States, Canada, the United Kingdom, France, and India, Royal Collins is dedicated to introducing significant achievements in Chinese research to the world, publishing academic works, and collaborating with authors and institutions to bring Chinese research and cultural heritage to an international audience. It has a presence in multiple countries and is recognized for its contributions to the dissemination of scholarly and cultural works.

1. 3 Author and illustrator

Wu Xuan, the author of the book, is a member of the Guangxi Folk Literature and Art Association. Her representative works include "Lotus Fairy," "Wild Magpie," "Spring Tea," and "Eleven Grey Geese Flying South." Collaborating with Yang Yun, a representative inheritor of Miao embroidery of Longlin County, Baise City, Guangxi Zhuang Autonomous Region, on the batik illustration of "Pleated Skirts," which won the Outstanding Work Award at the 2022 Chen Bochui International Children's Literature Award for Original Illustration Exhibition, as it is the solo set of illustrations that made it to the exhibition using batik, one of the unique intangible cultural heritage techniques of Miao ethnic groups. Yang Yun, the illustrator of this book, is an inheritor of intangible cultural heritage—Miao embroidery and batik. Her works have won multiple awards in provincial and national competitions. She was selected as one of the supported talents in the 2023 National Youth Intangible Cultural Heritage Inheritor Support Program. She was awarded "Baise Craftsman" and has won consecutive awards and received praise from industry experts. Wu Xuan and Yang Yun have collaborated on multiple occasions and have been awarded for their work. Their original batik picture scroll of the folk stories from the Zhuang region, *"Pleated Skirts,"* published by the Guangxi Minzu Publishing House, has won several awards, including the Guangxi Culture and Art Award and the Guangxi Literature and Art Huashan Award.

1. 4 Teamwork

Wu Meilian, the translator of this book, is a teacher at an American university and a graduate of the University of Pennsylvania (an Ivy League institution). Greg Jones, the editor of the English version of this batik book, is a graduate of Stanford University. The designer of this batik book holds a master's degree from the Savannah College of Art and Design in the United States, having spent seven years in the U. S. and Canada. General Manager Song, editor-in-chief of Canadian Royal Collins Publishing Group Inc., was personally involved throughout and supervised the entire process of the English version of *Pleated Skirts*. Top global talents in diversified fields in this team ensure the quality of this batik book. The target audience for this book is American children aged 8 to 12, and the English language has been tailored to the linguistic habits of this age group for translation.

2. Commentary

2. 1 Thick translation and its application

"Thick Translation" is a term proposed by American scholar Kwame Anthony Appiah, which refers to the "translation that seeks with its annotations and its accompanying glosses to locate the text in a rich cultural and linguistic context" (1993: 187). When he found it hard to translate the African idioms into English that cultural factors could not be fully transmitted from the source language to the target language and inevitably were lost to some extent. Moira and Mark (2004: 171) noted that the translator's goal is to "enable the target language readers to respect the culture of the source language, as well as to better understand the way people from other countries think and express themselves." To provide target language readers with rich cultural background

information and enhance their understanding of the translation, this theory is applicable to text translation that requires a large number of explanatory materials, including annotations, footnotes, endnotes, parentheses, etc.

With this approach, Wu Meilian, the translator of this batik book, exercised her subjective agency, furnishing target readers with extensive background and supplementary knowledge via annotations of 7 cultural notes, and 2 appendix of the author's words and the illustrator's words at the end of this book, which not only effectively diminishes the reading barriers arising from cultural disparities and offers solutions for untranslatability by amalgamating obscured meanings with the translator's intent, but also avoids the arbitrary and excessive amount of annotations that are definitely prone to detract from the fluidity of the translation, so that the target language readers would find it hard to go through the book, and diminish young readers' interest and confidence in reading this book, ultimately hindering the dissemination of Miao ethnic and Chinese culture. Therefore, in the application of thick translation theory, the translator should balance the comprehension of the source language and target language, incorporating annotations and supplementary information to achieve understanding, while accuracy and truthfulness should be ensured for the target readers.

Unlike its Chinese version, the English version of this batik book adds sevencultural notes at the end of the text, which are: Lusheng Flute, Fish Stirring Festival (Naoyu Festival), Jiyu Bird (Auspicious Bird), Miao Attire, Pandanus Leaves, Catfish Spirit, and Pleated Skirt, in order to facilitate English-speaking young readers knowing more about the folklore of the Miao people in China. Such a translation strategy belongs to the explicit depth translation method, and the augmented translation supplements and improves the relevant content of the target language so that the target language young readers can look for relevant information by themselves at the end of this batik book when they cannot comprehend the text. In this way, the English version of *Pleated Skirts* enables readers to traverse the uniqueness and splendor of foreign cultures through the comparison of diverse cultural landscapes. Moreover, as long as the translation provides more information than the source text, it can be called thick translation.

2.2　Batik: Intangible cultural heritage of Miao Ethnic

Batik is a traditional craft passed down through generations of the Miao people in Danzhai County, Anshun County, and Zhijin County of Guizhou Province. It was historically known as "wax dyeing" and is called "wutu" in the Miao language, which means "batik clothing." Danzhai County, Anshun County, and Zhijin County are multi-ethnic areas primarily inhabited by the Miao people. In the long-term harsh environment of isolation from the outside world, the residents here have gradually formed a self-sufficient way of life, and the ancient batik technique has thus been preserved. According to Miao customs, all women are obliged to inherit the batik craft, and every mother must teach her daughter how to make batik. Therefore, Miao women learn this craft from a young age, cultivating indigo, planting cotton, spinning yarn, weaving cloth, drawing wax, embroidering, dyeing, and cutting, passing it down from generation to generation. Under these circumstances, these Miao settlements have formed a customary culture dominated by batik art, including clothing, marriage festival customs, social ways, and funeral customs. Miao batik is an art created for the needs of the producers themselves, and its products are mainly daily necessities, including women's clothing, bed sheets, quilt covers, cloth for wrapping, headscarves, backpacks, handbags, straps, mourning cloths for funerals, and so on.

Yang Yun, a 42-year-old Miao woman from De'ao Town, Longlin County, Baise City, has been immersed

Figure 3   Batik craft process in *Pleated Skirts*

in Miao culture since childhood and is deeply fascinated by Miao embroidery and batik. Her embroidery skills are so adept that they seem to bring dragons and phoenixes to life, and the patterns she creates with her batik knife are vivid and lifelike. Not only has she mastered the local Miao embroidery techniques of Longlin, but she has also visited and learned from Miao embroidery and batik masters in various Miao villages across Guizhou, Hunan, and Hubei provinces. During her time at the "Hong Fuyuan Batik Museum" in Anshun, Guizhou, she studied color batik for nearly half a year, gaining a deeper understanding and significantly improving her batik skills. It is estimated that there are about 120 types of Miao embroidery stitches, and she has mastered over 100 of them. Yang Yun remains committed to preserving the ancient crafts, learning embroidery stitches and batik techniques from various Miao branches. She seizes the opportunities of the new era for the inheritance of intangible cultural heritage, records detailed techniques through text and images, and compiles them into books to help more people understand, learn, love, and carry on the ancient crafts.

Figure 4   Yang Yun's portrait published in Beijing Youth Weekly

Intangible cultural heritage is the collective memory and living wisdom of a nation, the carrier of cultural traditions, and the root of the Chinese cultural lineage. In the ever-changing information society, inheritance is not to stick to its original form but to continue it in a way that is more adaptable to the needs of development in the modern society and to carry out living inheritance. In the face-to-face interview with Yang Yun in her workshop "Lexiu Embroidery and Batik Studio" next to Moon Lake, No. 26−2, Team 3, Zhongliang Village, Beautiful Southern Scenic Area in the suburb of Nanning city, where she began to focus on the inheritance of Miao ethnic intangible cultural heritages, she told us that with the aim of providing experience to those who love Miao embroidery and batik, spreading and promoting the skills of Miao embroidery and batik in sharing and training, and allowing more young people in the new era to learn and pass on the ancient skills, she has made full use of the knowledge she has learned to design and create different series and styles of pure handmade embroidery and batik works: clothing and related accessories (headdresses, scarves, satchels, pendants, handbags, etc.), cloth dolls, special tourism products, home decorations (decorative paintings, lamps, screens, tea mats, etc.) At the same time, she exchanges and cooperates with many folk craftsmen, teachers, and students of related cultural institutions and colleges, complementing each other's strengths in designing and developing Miao ethnic distinctive products.

General Secretary Xi Jinping emphasized in the report of the 19th Party Congress that "Culture is a country's and nation's soul. " In order to further promote the protection of intangible cultural heritage and pass on the unending traditional culture of the Chinese nation, Yang Yun consciously fulfills her responsibilities and obligations as an intangible hereditary bearer and has participated in the national intangible hereditary bearer group training many times and has completed the training with excellent results; she actively participates in the national and regional competitions and activities and has won a number of prizes and awards so as to contribute to the promotion and inheritance of the intangible cultural heritage. *Pleated Skirts,* the batik book illustrated by Yang Yun, is her endeavor to embrace the grandeur of ethnic vision, steadfastly upholding the original mission of Miao ethnic culture. Firmly rooted in the fertile soil of Guangxi, it spearheads the construction of Miao embroidery and batik, propelled by the twin engines of inheritance and innovation, contributing to the strength of Miao ethnic intangible cultural heritages.

2. 3 *Advantages and disadvantages of this book*

Pleated Skirts, the English version of a Miao ethnic fairy tale originating from Miao folklore, has a nice translation quality. Considering that the readers are children aged 8 − 12 in English-speaking countries, the English expression of this original picture book of ethnic folklore is simple, vivid, and interesting, which expresses the interest of the book in a subtle way, which can tell a good story of the Miao people of China to the outside world.

Most English translations of this batik book are doing well, except for the three following aspects. First is the title; the translator attempted to make it "The Hundred Pleats Skirt. " After reviewing all the English stories of the batik book, we changed the title to "Pleated Skirts, " as we hold that the original text emphasizes the type or style of skirt rather than the specific number of pleats, so the later translation of the title may be more appropriate. Second is a minor mistake in the title of the introductory brochure, "A New Fairy Tale Showcasing the Beauty of Batik, " which reads redundantly, so we propose to change it into "A New Fairytale of Batik

Figure 5 Batik illustrated in *Pleated Skirts*

Beauty." Last but not least is the last sentence in the introductory brochure, which goes like this: "The current revival of traditional culture stands as a model of cultural innovation." With its English translation different from the source language, it is better to translate it into "In the current trend of the revival of traditional culture, it can be regarded as a model of cultural innovation."

3. Conclusion

Pleated Skirts, an ethnic folk original picture book on batik, a new fairy tale created with elements from Miao culture and illustrated in the Miao batik style, is an exceptional children's book that presents the author and illustrator's passion for Miao ethnic culture, transforming batik and Miao costumes, both intangible cultural heritages of the Miao people, into a vibrant and engaging narrative. The story is a blend of imaginative creativity and adherence to traditional cultural values. The narrative also aligns with the core socialist values and the overarching theme of strengthening the consciousness of the Chinese national community. Amidst the current resurgence of traditional culture, it stands as a paragon of innovation in traditional cultural expression.

Telling Chinese Miao ethnic stories to English-speaking readers. This book conveys that these are original picture books created by and for different ethnic groups, with batik art as a central theme and inspiration for the illustrations and stories. This translation preserves the cultural significance and uniqueness of the book. A new fairy tale created with the elements of Miao culture and a new children's book painted in the style of Miao batik. In the current trend of traditional culture revival, it can be regarded as a model of traditional cultural innovation. The writing of the story also aligns with the core socialist values and the main line of forging the consciousness of the Chinese national community. The foreign publishing house made the relevant revision to the above suggestions on June 3, 2024. With a pursuit of excellence, the translation quality has met the publishing standards, making it a high-quality Chinese-English children's book for export.

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Book Information

Book Review: *Pleated Skirts*—An Ethnic Folk Original Picture Book on Batik

Written by Wu Xuan / Illustrated by Yang Yun / Translated by Wu Meilian

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(Editors: LI Ruobing & Bonnie WANG)

[Scholar Profile]

羅克珊娜·普瑞達

羅克珊娜·普瑞達是四川外國語大學英語學院美國文學副教授。她的核心研究領域是現代主義詩歌，尤其專注于詩人埃茲拉·龐德。普瑞達曾在愛丁堡大學教授美國文學，並于2013年至2018年擔任埃茲拉·龐德學會主席。她也是數字期刊 Make It New 的創始人和高級編輯，該期刊是她于2014年爲學會創建的。目前，普瑞達是學會董事會的常任成員，並積極參與她當前的數字研究平台"The Cantos Project"，這是壹個致力于深入研究埃茲拉·龐德主要長詩《詩章》的學術網站。她目前還處于壹本新書的初期寫作階段，暫定名爲《全球詩章》。

普瑞達是《埃茲拉·龐德的（後）現代詩學與政治：邏各斯中心主義、語言與真理》（2001 年）、《職業化的關注：埃茲拉·龐德與現代主義批評的職業生涯》（2018 年）以及即將出版的《多蘿西·莎士比亞與埃茲拉·龐德的詩章：被遺棄的28–51 詩章手稿》（2025 年）等書的作者。她還主編了《埃茲拉·龐德的經濟通信1933–1940》（2007 年）、《埃茲拉·龐德與經濟學指南》（2019 年）以及《愛丁堡指南：埃茲拉·龐德與藝術》（2019 年）。她繼續活躍于埃茲拉·龐德國際研討會的組委會，該會議的下壹次活動將于2025 年在意大利布魯嫩堡舉行。

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INTRODUCTION:

Roxana Preda is Associate Professor of American Literature in the School of English Studies, Sichuan International Studies University, Chongqing. Her core field is modernist poetry, with a special emphasis on the poet Ezra Pound (1885-1972). Preda taught American literature at the University of Edinburgh and served as President of the Ezra Pound Society, 2013-2018. She is also the creator and senior editor of the digital journal, *Make It New*, which she developed for the society in 2014. Currently, Preda is a permanent member of the society board and is active in her current digital research platform called The Cantos Project, an academic website dedicated to the in-depth study of Ezra Pound's major long poem, *The Cantos*. She is also at the initial stage of a new book project, provisionally called Global Cantos.

Preda is the author of *Ezra Pound's (Post)modern Poetics and Politics. Logocentrism, Language, and Truth* (2001), *Professional Attention: Ezra Pound and the Career of Modernist Criticism* (2018), and more recently, *Dorothy Shakespear and The Cantos of Ezra Pound. The Abandoned Folio of XXVIII-LI* (forthcoming, 2025). She has also edited *Ezra Pound's Economic Correspondence 1933-1940* (2007), as well as *A Companion to Ezra Pound and Economics* (2019) and *The Edinburgh Companion to Ezra Pound and the Arts* (2019). She continues to be active in the organizing committee of the Ezra Pound International Conference (EPIC) whose next event will take place in Brunnenburg, Italy, July 2025.

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