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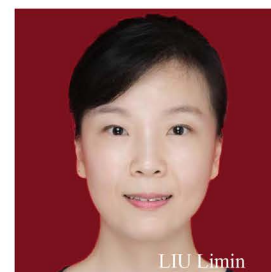
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[Cultural Studies]

A Cross-Cultural Perspective on Western Musicians' Composing Music for Chinese Ancient Poetry

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Abstract: The characteristics of ancient Chinese poetry resonated with the Western society influenced by Taoist thought in the 20th century, so ancient Chinese poetry set off a wave of enthusiasm in the West at that time. The translation of ancient Chinese poetry is undoubtedly the most important step before creating music, and the misinterpretation in poetry translation often leads to the aesthetic misrepresentation of a piece of music with a matching composition. Some Western composers also over-interpreted ancient Chinese poems through composing music. They reproduced the music of ancient Chinese poetry in the world from their unique perspectives and found a new historical breakthrough point for the integration of cross-cultural art.

Keywords: Chinese poetry and culture craze; misinterpretation; over-interpretation; cross-cultural communication

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1. The Historical Phenomenon of Chinese Poetry and Its Culture Craze in the West

The growth of Western literature and art has never left the nourishment of foreign elements. The ancient Greek, Ancient Rome, and Germanic culture are its origins, while the Eastern wisdom constantly gives it new inspirations from the outside. As early as the 16th and 17th centuries, the Eastern style of western music spread in Europe, mainly in the form of stage plays. Exotic musical styles draw inspiration and themes from Arabia, India, Turkey, China, and other eastern countries. Paul Griffith pointed out: "If music were to be liberated again, it would not be to the West, but the East." (Griffith 1978: 124)

Western exposure to Chinese poetry began in the 18th century when westerners began to understand China with the help of missionaries and commercial communication, and deeply admired China's social management and ethical politics. But it is the Chinese Confucian classics that generally attracted western attention and interpre-



tation. The ancient poetry culture did not arouse enough attention and lagged in the western transmission of Chinese thought. After the craze of China in the 18th century, the interest of the West in China in the 19th century gradually faded out, and the mentality of applying to Chinese culture also gradually disappeared, which made some westerners calm down to study Chinese culture. Since the 19th century, not only a large number of Chinese historical books have been fully translated, but also academic attitudes have been greatly improved. This upsurge of Sinology translation has spread to many countries, such as Britain, the United States, France, Germany, etc., and it has also begun to be influenced by the poetry of Oriental culture. With the rise of Romanticism in the 19th century, the western acceptance of Chinese culture and thought also changed. Middle and Near Eastern literature, with its emotional sigh for life and artistic characteristics of color, fantasy, passion, and mystery, is easy to attract the western vision, especially when the Romantic trend of thought arose in the West in the 19th century. When they came into contact with Chinese culture in such an ideological and artistic framework, Taoism was favored in ideology; the pursuit of exotic sentiment, color, passion, fantasy, and other aesthetic requirements to a certain extent dominated the choice of westerners in art. (Qin Huanming 2000: 2)

From the end of the 19th century to the beginning of the 20th century, Taoism began to occupy an important position in the minds of Westerners, gradually replacing the previous focus on Confucian culture. Especially after World War I, the West showed unprecedented enthusiasm for Taoist culture. Taoism advocates the “Tao can be Tao, very Tao” of the spirit of inaction. It holds that the thing is really beyond the grasp of the deliberate pursuit of the man outside and that it can be reached only by natural experience and non-verbal meaning that goes deep into it. Ancient Chinese poetry emphasizes the combination of “music”, “image” and “charm”. In particular, the emphasis on “image” in the ancient Chinese poetry culture and the attention to the poets’ spiritual world can help us gain a profound and interesting intuition and reach a tacit understanding of the truth of all things. Taoist philosophy advocated the love of nature, and “85 percent of ancient Chinese poetry and prose are related to nature.” (Liu Chengji 2006: 35) The “fuzziness” and “openness” of ancient poetry are also derived from the Taoist concept, which is consistent with the Tao’s “understanding”. These characteristics of ancient Chinese poetry resonated with the Western society influenced by Taoist thought at that time, so ancient Chinese poetry set off a wave of enthusiasm in the West in the 20th century. Moreover, ancient Chinese poetry exerted a great influence on the whole western poetry circle in the 20th century and became one of the inducements of the imagist poetry movement in the British and American poetry circles. Many of Pound’s ideas about poetry are the same as some of the basic principles in Tang poetry. Chinese poetry, he argues, is the most “dissembling” of all because the poem always makes things clear in the most concise way, allowing the reader to experience the emotions contained in the poem and translate them into expressions of inner emotions through the description of natural scenes.

The Imagist poetry movement first emerged in England between 1908 and 1909. It was deeply influenced by Chinese poetry and Japanese haiku. The Imagist school uses the simplicity, nature, and implication of Chinese poetry to counter the long history of western poetry. Although Chinese poetry is misunderstood as free poetry, it has fully absorbed the profound spiritual culture of ancient Chinese poetry. The core of imagism is intuitionism. In imagist poetry, “meaning” is expressed and felt as “image”, which is similar to the “artistic conception” theory in Chinese poetics. Image is the image seen by the poet’s intuition, which integrates the poet’s “meaning”, including intelligence and emotion. This combines “meaning” and “environment”, the blending of feeling and scene. So imagist poetics is close to Chinese poetry (Qin Huanming 2000: 2). Chinese poetry has influenced the Imagist movement, and the rise of the Imagist movement, in turn, has further promoted ancient Chinese poetry in the West. In addition to Pound’s translated Chinese poetry, *Cathay*, which was published in 1915, western

scholars such as Arthur Waley, A.C. Graham, and David Hawkes made great efforts to translate Chinese poetry. In the first half of the 20th century, it became a widespread practice for European writers to translate ancient Chinese poems. Many poems were translated into English, German, and French, and songs, vocal suites, and symphonic music were composed by composers from different countries (Qian Renkang 2002: 3).

In the wave of Chinese poetry translation, It is not clear semantically. and in Tang poetry, Li Bai's poems are the most concerned by western artists which are reflected in the composition. As imagist poetry originated in England, English translation of Chinese poetry has been at the forefront. For example, British composers such as Bantock, Warlock, Bliss, Lambert, Britten mostly used Li Bai poetry as lyrics in their poem composing works. Li Bai is a Chinese poet who has attracted the most attention among many Western writers as well as many Western musicians. More than 20 composers loved to compose music for his poems, and his poetry occupied a prominent place in western music creation in the 20th century (Bi Minghui 2007: 99).

In addition, through the research on the selected poems of the composing works and the translated Chinese poems by Westerners in the 20th century, we can also find that many neglected poems and poets in China had aroused the interest of western scholars and filled the gap in the study of Chinese poetry.

2. Translation and Misinterpretation of the Other Culture

In the 20th century, when western composers composed ancient Chinese poems, the first thing they faced was the translators from different cultures and the difference between Chinese and Western cultures. The translation of ancient Chinese poetry is undoubtedly the most important step before the creation of music. There are essential differences between different languages, and the gap of cultural deposits is an insurmountable obstacle. The effect of poetry translation will affect the artistic conception of original poetry conveyed by musical works and play an important role in the world communication of Chinese ancient poetry culture. The translation of the other culture, which is full of fundamental differences, should pursue cross-cultural understanding and pure translation. Furthermore, ancient Chinese poetry has unique artistic characteristics, which makes translation more difficult. Chinese ancient poetry stresses the sense of form, or the love of laws, rules, or fixed patterns, and it has an open, obscure, or euphemistic way of communication or expression, namely implicit or implied. Chinese ancient poetry is rich in uncertainty. When dealing with the "illocutionary" level of poetry, we should consider its linguistic meaning, historical truth, and particular form and understand the unique way of conveying and producing meaning determined by culture. Therefore, misinterpretation is inevitable in translation. Most of the Western composers who perform the composing for ancient Chinese poetry had not made a thorough study of Chinese language, ancient Chinese poetry, and Chinese traditional music. They placed complete reliance on the message conveyed by the selected translations of ancient poems. Therefore, translation plays an important role in determining the aesthetic value of music, and the misinterpretation in poetry translation often leads to the aesthetic misrepresentation of a piece of music with a matching composition. For translators, misreading and misunderstanding are inevitable when facing a new light of text from another language and culture.

Granville Bantock selected 33 Chinese poems translated by Cranmer Byng and used them in six groups of Songs from the Chinese Poets (published from 1918 to 1933). Most of Byng's translation is poetically different from the original poems because he always uses a freestyle and imagination. For example, in Li Bai's poems, no title can be translated as "Adrift" or "Drifting". Only one《行路難》is the closest to this poem translated by Byng. The difference between the translated poem and the "supposed" original Chinese poem makes one feel that Byng



is not using the real Li Bai's poem. However, the translation of the last stanza “長風破浪會有時，直掛雲帆濟滄海”(When man's desire with fate doth war, this, this avails alone-To hoist the sail and let the gale and the waters bear us on.) is consistent with the meaning of the original Chinese poem, which proves that “Adrift” is indeed the translation of《行路難》. Li Bai has a penchant for drinking and poetry and a bit of a negative Taoist attitude (something that Byng emphasizes in his translation). However, Li Bai's poetry is more of an expression of optimism, yet this complex emotion is lost in Byng's translation. In this context, the artistic expression of Bantock's poetic music can only be quite different from Li Bai's original intention.

On the City Street, a classical composition by Constant Lambert, another English composer, cites a translation of Li Bai's poem «相逢行» by the American Japanese scholar Shigeyoshi Obata. The first half of Li Bai's poem is: “相逢紅塵內，高揖黃金鞭。” In Obata's translation, the word “紅塵” is translated as “pink dust” (紅色塵土). Obata did not understand the real meaning of “紅塵” as a metaphor for the secular and earthly world, but only translated it literally without any explanation to western readers. Without a detailed explanation of similar special terms, it is difficult for western readers to understand the deep meaning of the poem, thus causing misinterpretation. Most of Lambert's problems and similar misinterpretations are due to his lack of understanding of Chinese culture, especially ancient Chinese traditional culture, folk customs, or idioms. It is a kind of “cultural image” misreading. For example, there are a lot of images of the “moon” in ancient Chinese poems. The moon is always regarded as a symbol of eternity and loneliness. It reflects the troubles of the world and the ephemeral life and conveys endless feelings and thoughts. But in Western artwork, “moon” has a very different artistic conception and implied meaning. Therefore, it is difficult for western readers to understand the special meaning and status of “moon” in Chinese culture in many ancient poetry translations. Over the long years of history, different nations have gradually formed their cultural symbols. It is the crystallization of the wisdom and history of each nation. They permeate into language and have relatively fixed and unique cultural meanings and broad and deep connotations (Tan Guodong 2006: 118–119). Therefore, the cultural misreading of the text in the cross-cultural context is largely due to the national cultural accumulation in the psychological structure of the interpreter, which constitutes the internal scale for the cultural subject to examine the heterogeneous culture. This cultural misreading in translation often leads to the loss of cultural information, which is not conducive to the readers of the target language to fully understand the national characteristics of foreign cultures. Suppose the translation of poetry is not done correctly, and the artistic conception of the original poem cannot be accurately and profoundly restored. In that case, it is difficult to express the aesthetic implication of ancient Chinese poetry vividly and delicately in musical composition works. Therefore, to do an excellent job in translation, one must enter into the “meaning world” of this culture and acquire a cultural ability, not only the sensitivity of insight into the world from the perspective of monocultural provisions but also the ability of language. Only in this way can we truly translate and interpret culture.

However, “misreading” is a double-edged sword in the process of translation and communication between Chinese and Western cultures. It may cause the loss of the essence of the original culture and is a way to add new elements to the original culture. In his translation of the Confucian classics and the Book of Songs, Ezra Pound used disassembling characters to “over-interpret” the original text and enrich the original brief verse. Such translation is not completely faithful to the original work or even rewritten or recreated, but it has far-reaching significance from the perspective of cultural exchange. Therefore, sometimes the intentional misreading can make the text of one culture get new growth and development after entering another culture.

Peter Warlock published his first vocal work, *Saudades*, in 1923. The *Saudades* is composed of three songs.

The first of these songs is *Along the Stream*, which is illustrated with Cranmer Byng's translation of Li Bai's poem "自遣". Warlock referred to the score in a letter to his teacher in Eton, Colin Taylor, dated November 10, 1917: "I will show you a better song than Heracleitus, which I have finished, and which I have chosen is a Byng's translation of a Chinese poem, 'Along the Stream' (the best poem I have ever read). I even think the song seems a bit like an opera...." It's clear that Warlock was drawn to Byng's translation, and the emotional theme that unites the three songs is a Spanish word "Saudades" which means a feeling of sadness or regret and has no equivalent in English. Warlock also seemed to be convinced that the translation of the poem showed a dark and gloomy atmosphere. Therefore, in the composition, the composer tries to show a sense of sadness and regret. However, if we read the original Chinese poem, we will find that Warlock was influenced by Byng's romanticized translation. Li Bai's poem paints a picture of a drunken night with a hint of sobriety, and a lonely scene with "falling flowers", "moon in the stream", and the last line, "The birds were gone, and men also few.". But the original poem does not mention the words "hopeful melancholy" associated with the Sandades. So Byng's translation exaggerates based on the original emotion of the poem. Byng's translated poem, though emotionally different from the original poem, is still based on the re-creation of the original poem, and this "misreading" is like a second life of ancient Chinese poetry in the West, which reveals another wonderful experience after a new embellishment.

This useful "misreading" in the above example is the translator expanding the space of interpretation of the text and in a unique way to give us a world of diverse ideas. This interpretation and understanding of literary texts is not only a reasonable interpretation of cultural misreading but also a positive interpretation of cultural misreading. When two cultures collide, translation sometimes bears more responsibility for cultural interpretation, and in the process of interpretation, the translator sometimes naturally integrates the local cultural spirit and personal experience. Therefore, we may take this beautiful misunderstanding as a new opportunity for artistic creation. Historically, the misreading has helped westerners create 'Sinology' and 'Orientalism', which are both colonialist and academic. Pound, who knew nothing about the phonological skills of ancient Chinese poetry, misused the free verse style to express the principles of translating ancient Chinese poetry, thus launching the western imagist poetry movement in the 20th century. These are all good examples of the barriers in the cultural exchange that have been dismantled due to misinterpretation, making it easy for foreign cultures to spread in the native place.

3. Western Composers' Over-Interpretation of Chinese Ancient Poems Using Composition

There is also some over-interpretation in the musical composition of ancient Chinese poems. Perhaps because of different cultures, Western composers are eager to express the artistic conception of Chinese poems in musical language. However, such motivation often leads to excessive modification and tracing, which appears to be the excessive use of musical techniques. However, from another perspective, most of these over-interpretations are based on the artistic conception of the poem, that is, the exaggerated interpretation of the original work. The appropriate exaggeration, on the contrary, creates a new opportunity for creation, regenerates the ancient Chinese poetry in another form, and endows it with new ideas for recreation. In his song *Adrift* (《行路難》李白), Bantock adopts romantic, Puccini lyrical melodies and uses a lot of emoticons as a foil to the melodies. These emoticons (*poco largamente cantabile*, *poco animando*, *poco allargando*, *affrettando*, *marcato*, *molto*, etc.) often appear at the beginning of each segment to guide the mood of the music. These emoji terms frequently



appear in the vocal and piano parts, which gives people a sense of being too heavy. The average of five bars to switch emoji is also rare in general vocal works. However, from the composer's point of view, a large number of emotive terms are used to help the singer better understand the dramatic musical language in work. To make the artistic conception of the poem be sung as much as possible, it is necessary to use a large number of emotional hints. We can feel the composer's interpretation of the poem from the changes of every subtle emotion and feel the conveying of the poem's implication. In *Adrift*, Bantock's dramatic dynamics are closely linked to the drama of the poem, and its romantic temperament is also reflected in its repeated emphasis on key lines. When the vocal section reaches its climax, the right hand of the piano accompanist plays the beautiful motive again. Through the repeated emphasis on particular lines, musical melodies are described in greater depth, which is also a means to interpret poetry.

Warlock's composing work "Along the Stream" (《自遣》李白) is a musical work of *andante* speed, which gives people a sense of tranquility. The work does not mark the tone, nor does it divide the bar line. The absence of regular beats and the flexibility of rhythm all show a hint of atonality. To be close to the style and rhythm of ancient Chinese poetry, Warlock avoided using bar lines and stops to influence the conveying of the meaning of poetry, and the melody progress was also very close to the actual chanting style of Chinese poetry. The work is not completely atonal, but it creates an illusory atmosphere. To convey the poem's feeling, Warlock deliberately creates a moral scene of misery and grief, but it exaggerates the sense of loneliness in the original poem, with some excessive embellishment.

The same explanatory effect can also be found in the music of Lambert and Griffith. Both Lambert's extensive use of ancient Greek modes, fixed tone pattern, and "Ritonello" in his compositions and Griffes's excessive use of parallel fourths and fifth degrees, pentatonic scale, and eight sound steps in the composition to add more Chinese elements all reflect the painstaking efforts of composers in the special art form of composing for ancient Chinese poetry. To achieve the artistic effect similar to the original poetry, it is easy to understand that western composers from different cultures adopt some over-interpretation techniques. Chinese ancient poetry culture in the form of music reborn needs to pour into a lot of interpretation. On the contrary, after being reconstructed by the music artists, we can obtain the distant artistic conception in the original poem and have a feeling of the composer's music comprehension. The music works of the composers have become a complex of multiple arts, with a more profound artistic aesthetic pursuit.

4. Conclusion

In the 20th century, western composers' choice of ancient Chinese poems for music is recognition of Chinese civilization and Chinese ancient poetry culture, as well as a result of western artists' self-reflection and incorporation of others into themselves. Western composers chose Tang poetry and Song Ci for their music creation, rather than more direct musical forms such as Tang music and Song music, precisely because the poetic culture of China has touched their heartstrings. This is an aesthetic feeling that cannot be replaced by the tone of Tang music because the essence of the entire Chinese national culture is embodied in ancient Chinese poetry. As Goliath's ancient German poems instead of medieval secular tunes impressed Wolf, he produced Boylan's Song. What infected Wolf is that a medieval manuscript of the poetry of Goliath laughs at the church, and their wild, free and easy temperament. This is not a few medieval secular songs can achieve.

Ancient Chinese poetry has had a close relationship with music since ancient times, and the court music and

dance of all dynasties are often integrated with poetry, dance, and music. All the poems in the Book of Songs, Yuefu poems of Han Dynasty, Ci of Tang and Song dynasties, and Sanqu songs of Yuan Dynasty were originally sung with music. However, with the passage of time, this kind of comprehensive art form has hardly been reproduced in the world, and most of the music has been lost. Only the poetry is circulated. Western composers of the 20th century made up for this regret. They reproduced the music of ancient Chinese poetry in the world from their unique perspectives and found a new historical breakthrough point for the integration of cross-cultural art. While restoring the vigor of ancient Chinese poetry in the past, it will undoubtedly promote the pace of cultural exchanges between China and the West and bring more enlightenment to both sides.

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The Roles of Animals in Chinese Flood Myths

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Abstract: This paper offers an original and systematic explanation of the roles animals played in the main Chinese flood myths. It investigates the significance of their roles as a signifying exponent of the flood myth repertoire as they were recorded from high antiquity to early imperial times in the hope of deepening our understanding of the interesting and peculiar roles animals played in culture, politics, and human–animal relationship on the one hand, and myth narratives on the other. They are classified into four main categories: animals as causes of the flood, animals as the embodiment of the flood, animals as obstacles, and animals as assistants. And it is argued that these roles reveal how humans perceive their relationship with the animals.

Keywords: animals; flood myths; human–animal relationship

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1. Introduction

Tales of the flood are one of the fascinating categories of stories found in almost all cultures in the world and might also be the most studied genre of stories in all world mythologies. They were popular in the earliest stage of human society, and their charm has proven to be amazingly everlasting to this day. Dundes (1988) in his book has had a comprehensive and insightful discussion of the flood myth as a worldwide phenomenon and has inspired research in both a global and local context.

However, serious scholarship on the Chinese flood myth emerged relatively late and was not even known to the general public in China before the introduction of the concept of western mythology in the late 19th and early 20th centuries. In this regard, the *Gushibian* (*Critiques of Ancient History*) school has been pioneering in recognizing the elements of mythology that was generally believed to be genuine ancient history, which has facilitated later scholars' research and discussions on Chinese flood myths. But generally speaking, scholars affiliated with this school were more occupied with identifying individual mythic figures in historical writings than discussing the significance of particular motifs such as the flood myth.

Amid the vestiges of classical Chinese myths, stories of controlling a great flood figure prominently. These tales of taming the flood have provided a rich ground for contemplation on human society. Most studies on the

flood myth have focused on individual figures. Anne Birrell in her seminal article complains that the significance of Chinese flood myths is undervalued even by Sinologists. She even coins the term “benign neglect” for this phenomenon: “Although both these written or oral traditions have long been known to Chinese and Japanese scholars and to Western Sinologists, it is true to say that the phenomenon of ‘benign neglect’ is generally manifest in the study of Chinese flood myths” (Birrell 1997: 214). This paper proposes a new perspective, i.e., to examine the roles of animals in prominent myth narratives to reexamine the significance of the Chinese flood myth. Several important clarifications need to be discussed here first.

To begin with, this is not a scientific zoological or biological survey of animals. “Animals” in this paper are defined as creatures or spirits that possess conspicuous animal features. Most of them discussed here are mythical animals, which have supernatural powers or are associated with such, but are based on actual animals.

Second, it’s worth pointing out that there is not a coherent and systematic version of the so-called “Chinese flood myth” but various versions of “flood myths” which share the records of or reference to a mythical event of a past universal inundation, creating mayhem until suppressed by order. These records, though all in the form of short fragments, constitute actually a quite large corpus of Chinese flood myths and are the origin of a lot of differences, deviances, and contradictions. However, it is not the aim of this paper to “explain away” these textual problems to trace back or reconstruct a tricky original version of the flood myth. Rather, these written records, whatever their difference, are read primarily as evidence of the attitudes of the people of that period. The criteria for the inclusion of flood myths are their prominence and relevance. As observed in Anne Birrell’s “The Four Flood Myth Traditions of Classical China” and Mark Lewis’ *The Flood Myths of Early China*, there are four main flood myths in classical China, discerned by their protagonists, namely Nü Gua, Gong Gong, Gun, and Yu, which are “女媧”, “共工”, “鯀” and “禹” respectively in Chinese. This paper is situated within the four main flood myths. Chinese flood myths have so far had important insights into the political transition and tension, social institutions, marriage, lineage and household, social hierarchy and division, and so forth. Lewis (2006) provides an interesting and insightful philosophical and political reading of Chinese flood myths tradition. However, pertinent to this paper, no effort has yet been made to systematically examine the roles animals played in these flood myths, although they are all over the place if paid close attention to.

This paper intends to draw attention to the roles of animals in Chinese flood myths and shed light on the significance of these roles. The first part is a short introduction. It reviews previous scholarship on Chinese flood myths, especially the different approaches. It also discusses the significance of looking at the Chinese flood myth repertoire from the specific perspective of the roles of animals in these narratives. The second part investigates separately the four main roles of animals as the causes and embodiment of the flood and as obstacles and assistants in the flood narrative. The last part is the brief conclusion, summarizing and reconfirming the main findings of this paper.

2. Animals as Causes of the Flood

Scholars have long noted that, unlike the flood myth variants recorded in cuneiform clay tablets or in the Hebrew *Bible*, Chinese flood myths have no obvious causes. It is not the divine punishment bestowed by a dissatisfied god for human’s evil deeds like in the famous *Bible* narrative, nor is it because humans simply have been too noisy and annoying like in *Gilgamesh*. But among the remaining vestiges of Chinese mythology repertoire, there are indications that it is animals that are responsible for instigating the great inundation in the first place.



First, the *Shanhaijing* 山海經 (*The Book of Mountains and Seas*), one of the most important primary sources and a treasure house of classical Chinese myths, has recorded eight strange animals which are associated with the emergence of the flood. These records all appear in the same syntax of “In the mountain X, there is the beast Y. When Y is seen Z (the flood) will happen.” In *Xishanjing* 西山經 (*The Book of Western Mountains*), for example, it makes a note of a certain strange bird Manman 蠻蠻 from the mountain of Chongwu 崇吾 that is capable of bringing forth a flood:

崇吾之山……有鳥焉,其狀如鳬,而一翼一目,相得乃飛,名曰蠻蠻,見則天下大水。(Yuan 1980: 34)

My translation: In the mountain of Chongwu, there is a kind of bird whose figure is like a wild duck but has only one wing and one eye and has to be paired to fly. Its name is Manman. When it is seen, there will be a flood in the world. (The English translation is mine unless otherwise indicated)

The link between a certain animal and the flood, as recorded in the *Shanhaijing* can be summarized in the chart below.

Mountain X	Beast Y	Outcome Z	Section of Occurrence in the <i>Shanhaijing</i>
Chongwu 崇吾	Manman 蠻蠻	Flood in the world “見則天下大水”	Xishanjing《西山經》 (The Book of Western Mountains)
Changyou 長右	Changyou 長右	Flood in the provinces and counties “見則郡縣大水”	Nanshanjing《南山經》(The Book of Southern Mountains)
Kongsang 空桑	Lingling 鈴鈴	Flood in the world “見則天下大水”	Dongshanjing《東山經》 (The Book of Eastern Mountains)
Shanshan 剌山	Heyu 合窳	Flood in the world “見則天下大水”	Dongshanjing《東山經》 (The Book of Eastern Mountains)
Ao'an 敖岸	Fuzhu 夫諸	Flood in the area where it's seen “見則其邑大水”	Zhongshanjing《中山經》 (The Book of Middle Mountains)
Guishan 邽山	Yuanyang 鴛鴦	Flood in the area where it's seen “見則其邑大水”	Xishanjing《西山經》 (The Book of Western Mountains)
Yushan 玉山	Shengyu 勝遇	Flood in the kingdom when it's seen “見則其國大水”	Xishanjing《西山經》 (The Book of Western Mountains)
Yangshan 陽山	Chihu 叱呼	Flood in the area where it's seen “見則其邑大水”	Zhongshanjing《中山經》 (The Book of Middle Mountains)

Table 1: A table on the textual link between the appearance of a certain animal and the flood

Although there's no way of determining whether the flood mentioned in these records is the flood in the universal flood myth, we can, however, be certain that the compilers of this “myth book” no doubt associate the flood with certain animals appearing in the human world or simply to be seen by human beings. Among the eight notes listed above, the beasts residing in the mountains Changyou 長右, Ao'an 敖岸, Guishan 邽山, Yangshan 陽山 unmistakably have the power of wreaking havoc in human territory, indicated by the place references Jun

xian 郡縣 (provinces and counties), Yi 邑 (areas or states) and Guo 國 (kingdoms or states). The rest three records refer to the place Tianxia 天下 (world), which literally translates as “under the sky”. Although the term is very likely used here as a synonym for kingdom or state and also refers to the human habitat, it is hard to ascertain due to the lack of context.

The significance of these records lies not only in stating that animals have the power of bringing forth floods but more importantly also in making the innuendoes that the disaster represented by the flood in a mythological sense is a conflict between beasts and humans, as surmised by the compilers of the *Shanhaijing* of what had happened in the high antiquity. These references are perspicuous in bearing witness to the beasts intruding into the human realm, substantiating the role of animals as the causes of the flood, hence the disorder it brings and represents. It is also worth noting that in the whole *Shanhaijing*, the encyclopedia of strange lands, people, plants, and stones, animals only are endowed with such impressive power of authoring the flood.

In addition to these strange animals only related to the flood in the *Shanhaijing*, there are also strong indications in the main flood myth repertoire that Gong Gong, one of the central flood figures, is also identified as the originator of the flood as an aquatic creature. Though only vestiges of the original scenario are left to us in texts, extant records would suffice to corroborate the theory that Gong Gong caused complete mayhem in the world by creating the great flood.

In the *Huainanzi* 淮南子, another important source for Chinese myths and generally believed to be compiled in the early Han dynasty, there are at least two places that depict Gong Gong as the creator of the flood: “In the time of Shun, Gong Gong stirred up the waters into a rampant flood that ran against the Hollow Mulberry” (Lewis 2006: 57). And in a different section, “Gong Gong caused the watery disaster, as a result, Zhuanxu killed him” (Chen 2012: 673).

Although no explicit accounts are given as to how Gong Gong caused the flood exactly, according to other accounts related to the mythic figure Gong Gong, it is highly likely that he did it by butting the mythic Mt. Bu Zhou, a pillar connecting the heaven and earth. Also in the *Huainanzi*, there is a similar account:

昔者共工與顓頊爭為帝,怒而觸不周之山。天柱折,地維絕。天傾西北,故日月星辰移焉;地不滿東南,故水潦塵埃歸焉。(Chen 2012: 522)

My translation: Long ago, Gong Gong battled with Zhuan Xu to become Thearch. In his anger, he butted against Mt. Buzhou. Heaven’s pillar broke and Earth’s cord snapped. Heaven tilted toward the northwest, so the sun, moon, stars, and planets moved in that direction. Earth was left unfilled in the southeast, so the watery floods and the silted soil tend in that direction.

When dealing with the story of the great flood, other major classical texts are coherent in mentioning the very unnatural act of “water flows backward”. For example, the *Book of Mencius* tells us that “In the time of Yao, the water flowed backward and flooded the middle kingdom” (Yang 2010: 128). The specific phrase “water flows backward” also appears in another passage in Mencius:

昔上古龍門未開,呂梁未發,河出孟門,大溢逆流……名曰鴻水。水逆行,謂之洚水。(Yang 2010: 301)

My translation: A long time ago, the Dragon Gate was not opened, the Lü Range was not yet passed, and the Yellow River [flowed] over the Meng Gate. Great deluge flows backward... Its name is flooded. When water flows backward, it is called a flood.

When pieced together with the story of Gong Gong butting the Mt. Bu Zhou as mentioned above, it is clear that “water flows backward” should be the result of this act and further corroborates that he is the cause of the flood. We can see from these three excerpts that “water flowing backward” is a highly unnatural act of nature that



embeds the idea of a state of chaos, although no further explanation is given as to why the chaos came into being in the first place.

If the link between Gong Gong and the cause of the flood can be soundly established, then what is Gong Gong to be exact? William G. Boltz proposes in his seminal article “Kung Kung and the Flood” that phonetically Gong Gong has the same roots as snakes or dragons: “The two-character phrase she lung 蛇龍 ‘snakes and dragons’ that we noted in the second Mencius passage I would like to suggest is in origin a diminution and semanticization of the same root of Kung Kung, meaning ‘wanton/ disorder’” (Boltz 1981: 151).

Textual evidence abounds in identifying Gong Gong as an aquatic creature. Several sources recognize him as a hybrid of human and snake (or dragon). *Lushi* 《路史》 (*History of the Way*) mentions that “Gong Gong has a human face, a snake body, and red hair” (Luo 1936: 692). *Zuo Zhuan* 《左傳》 (*Zuo’s Commentary*) points out that “Gong Gong has a son called Gou Long” (Yang 2009: 276). The first record indicates that Gong Gong is a mythical hybrid spirit, with a human face but in the form of a snake (or dragon). It’s no wild conjecture that the image of Gong Gong comes ultimately from the image of a water creature like a snake. It might be the projection of the idea that people would once believe such mythical beasts could be capable of creating watery mayhem. And in the last instance, Gong Gong’s attributed son has the name long 龍 in it, indicating a close relationship with these two.

3. Animals as Embodiment of the Flood

When it comes to the main flood myth narratives, the role of animals as the embodiment of the flood itself becomes more eminent, especially in the narratives surrounding the mythical figure Gong Gong and Gun 鯀.

Illuminating in the case of identifying Gong Gong as an embodiment of the flood can be found in *Yaodian* 《堯典》 (*The Book of Yao*). There the Sovereign Lord Yao asks his advisor Huandou 驩兜 to recommend someone capable of running the state. This certain Huandou proposes Gong Gong, but the advice is turned down as Yao believes that Gong Gong is reverent only in appearance but is in fact subversive.

帝曰：吁！靜言庸違，象恭滔天。帝曰：咨！四岳，湯湯洪水方割，蕩蕩懷山襄陵，浩浩滔天。（Qu 2011: 42）

Lewis’ translation: Ah, quiet in words, but his acts are contrary. He seems respectful but floods rampant to Heaven. Thearch [Yao] said, “Alas, Four peaks, swishing and swirling, and the great flood now destroys. Surging and shaking, it enfolds mountains and surmounts hills. Rushing and limitless, it floods rampant to Heaven”. (Lewis 2006: 64)

As William Boltz (1981: 142) famously observed, the specific phrase in this passage, “run rampant to Heaven”, as clearly a negative description, applies not only to Gong Gong but also to the flood itself. The repetition of the same phrase within the same passage and context basically rules out the possibility of textual coincidence. So this short passage is revealing in identifying that Gong Gong is, in fact, the symbol and embodiment of the flood itself.

Besides this phrase “run rampant to Heaven”, the character yin 淫 (excess), which also appears many times in flood myth narrative, also discloses that both Gong Gong and Gun are closely related to the flood. In most discourses on flood myths, the word yin is applied to the description of the character of Gong Gong and Gun, used to criticize their personal deficit and their way of dealing with the flood. Take the passage from *Guoyu* 《國語》 (*The Discourses on States*) as an example:

昔共工棄此道也，虞于湛樂，淫失其身，欲壅防百川，墮高堙庫，以害天下。皇天弗福，庶民弗助，禍亂并興，共工用滅…有崇伯鯀，播其淫心，稱遂共工之過，堯用殛之于羽山。(Chen 2013: 402)

Lewis' translation: But long ago, Gong Gong renounced this Way. Taking pleasure in self-indulgent and losing himself in excess, he desired to block up all the rivers, lower the high ground to fill in the low places, and thereby ruin the world. August Heaven did not bless him, the common people did not help him, calamities arose on all sides, and so Gong Gong was destroyed... Gun, lord of Chong, spread his idea of excess, so he repeated the error of Gong Gong. And Yao had him killed in the mountain of Yu. (Lewis 2006: 56)

In almost all the versions of the Gong Gong flood narratives, he is depicted as a malefactor who is associated with chaos and needs to be taken care of. It is clear from the negative description of Gong Gong that the character *yin* means excess and self-indulgence and closely resembles the description of the flood itself. Birrell (1997: 234) rendered the character *yin* as “sexual excess” and “sexual libido”, but judging from the context of the occurrences of this character in the narrative, it has nothing to do with sex but only indicates a state of excess. So just like the phrase “run rampant to Heaven”, it is another elucidating indication that the malefactor in the flood myth symbolizes the flood itself.

The same analysis also goes to Gun, who is phonetically related to Gong Gong and much alike Gong Gong is another famous malefactor in classical Chinese flood myths. Both are rebellious, most famously represented by Gong Gong defying the sovereign god and Gun stealing the *Xirang* 息壤 (self-growing earth) from the sovereign god without consent. Both have conspicuous animal (aquatic to be exact) features and perform physical transformations into animals. And both are portrayed as the chaos bringer or failure. In fact, the striking similarity between these two figures has long led scholars to suspect that they might be the same character in the primordial flood myth. It is clearly no mere speculation that both can be credited to be the embodiment of the flood.

4. Animals as Obstacles

The third interesting role of animals discerned in flood myths is as the obstacles in the course of heroic figures taming the flood. The best examples are found in the myths of Yu the Great. In plenty of myths surrounding Yu, he is celebrated above all for having successfully contained the flood and ended the sufferings of humans. Yu is challenged to clear the dreadful obstacles represented by the defiant dragons and snakes in this strenuous process. The best example can be found in the Mencius passage:

當堯之時，水逆行，汎濫於中國。蛇龍居之，民無所定。下者為巢，上者為營窟。書曰：洚水警余。洚水者，洪水也。使禹治之，禹掘地而注之海，驅蛇龍而放之菹。水由地中行，江、淮、河、漢是也。險阻既遠，鳥獸之害人者消，然後人得平土而居之。(Yang 2010: 158)

Lewis' translation: In the time of Yao, the waters reversed their course and overflowed the middle kingdoms so that snakes and dragons dwelt there. The people had no fixed dwellings, so those in lower regions made nests in trees, while those in higher ones lived in mountain caves. The Documents' saying, “The floods are a warning to me”, refers to this inundation. [Yao] had Yu put it in order. Yu dredged out the land and channeled the rivers to the sea. He expelled the snakes and dragons to the grassy swamps. The movement of the water outward from the land formed the Jiang, Huai, Han, and Yellow Rivers. As the dangers were removed to the distant regions, the harm of the snakes and dragons vanished. Only then were people able to obtain level land to dwell on. (Lewis 2006: 33)



In this famous account, the clash between beasts and humans is imminent. The flood brings a collapse of the distinction between these separate groups, and beasts like snakes and dragons intrude into the human domain and take up habitat. Yu was trying to reintroduce the distinction between humans and animals and rebuild the human territory and civilization. And naturally, in this undertaking Yu has to “expel[led] the snakes and dragons to the grassy swamps” until “the dangers were removed to the distant regions, the harm of the snakes and dragons vanished”.

The *Huainanzi* and *Lüshi Chunqiu* «呂氏春秋» (*Annals of Master Lü*) are consistent in pinning down the sabotage by a yellow dragon, only to be scared away by the determined and undaunted Yu:

禹南省方,濟于江,黃龍負舟,舟中之人五色無主,禹乃熙笑而稱曰:我受命於天,竭力而勞萬民。生寄也,死歸也,何足以滑和?視龍猶蝘蜓,顏色不變,龍乃弭耳掉尾而逃。(Chen 2012: 366)

My translation: Yu toured the southern provinces. When crossing the Yangtze River, a yellow dragon clutched the boat. Passengers in the boat lost control of their five senses. Yu laughed and said, “I am sent by Heaven and devote myself to laboring for all my people. To live is to sojourn. To die is to go back (where I came from). Why should I be worried?” [Yu] regarded the dragon like a gecko and didn’t change his facial expression. Then the dragon hung down its ears, lowered its tail, and ran away.

禹南省,方濟乎江,黃龍負舟。舟中之人,五色無主。禹仰視天而歎曰:吾受命於天,竭力以養人。生,性也;死,命也。余何憂於龍焉?龍俛耳低尾而逝。(Ji 2014: 102)

My translation: Yu toured southern provinces. When crossing the Yangtze River, a yellow dragon clutched the boat. Passengers in the boat lost control of their five senses. Yu looked up at the sky and sighed, “I am sent by Heaven and devote myself to saving people. To live is nature. To die is destiny. Why should I be worried about the dragon?” Then the dragon hung down its ears, lowered its tail, and ran away.

These two accounts have vividly portrayed a righteous and courageous Yu, whose moral integrity, expressed through his speech, makes the yellow dragon ashamed and escape willingly out of shame and fear (“hung down its ears, lowered its tail”). But in the extraordinary time of great flood and catastrophic sufferings, Yu also deploys extraordinary methods, i.e. the merciless execution, to ensure his engineering project runs smoothly. The local gazette of Wushan 巫山 contains an entry on how Yu’s meticulousness and intolerance towards mistakes earned the name of a local place:

斬龍臺,治西南八十里。……相傳禹王導水至此,一龍錯行水道,遂斬之。(Yuan 1985: 367)

My translation: The *Zhan long tai* (dragon slaughtering platform) lies 80 li southwest of the district... Legend has it that when King Yu was controlling the flood and passed this place, a dragon went on the wrong channel. So it was executed.

This record also hints at the large scale of Yu’s animal construction team, which must have contained at least lots of dragons, led probably by the famous Responding Dragon. Besides the minor legend of *Zhan long tai*, the most famed animal obstacle in the way of Yu controlling the flood is probably the snake figure malefactor *Xiangliu*. See, for example, the record in the *Shanhaijing*:

共工之臣曰相柳氏,九首,以食于九山。相柳之所抵,厥為澤谿。禹殺相柳,其血腥,不可以樹五穀種。禹厥之,三仞三沮,乃以為眾帝之臺。在崑崙之北,柔利之東。相柳者,九首人面,蛇身而青。(Yuan 1980: 198)

Lewis’ translation: Gong Gong’s servant was named *Xiangliu*. He had nine heads to eat at all Nine Mountains. Whatever *Xiangliu* touched became marshes and valleys. Yu killed *Xiangliu*, but his blood was

putrefied, so no seeds could be planted [in land touched by the blood]. Yu dug it out to a depth of 3 rens [about 4.8 meters], flushed it out three times, and then took it [the dug up soil] and made the towers of all the thearchs which lay to the north of Kunlun....Xiangliu had nine heads with human faces and the body of a blue-green snake. (Lewis 2006: 77)

Although no direct textual evidence pinpoints Yu's executing of Xiangliu to the flood, the links are, however, well established. First, as the Mencius passage indicates, the animal obstacles in the flood myth are represented by the "snakes and dragons". And Xiangliu in the *Shanhaijing* is certainly a snake figure, with "nine heads with human faces, and the body of a blue-green snake". Second, Xiangliu is the servant or minister (chen 臣) of the famous flood malefactor Gong Gong, and Gong Gong connects with the flood narrative. Moreover, textually the description that "whatever Xiangliu touched became marshes and valleys" suggests his ability to use or take advantage of the flood to consume dry land and thus human territory and drag the world into a watery mess. So naturally, he is the archenemy and obstacle of Yu since his project is mainly to fill up these lowlands. Yu's killing Xiangliu is the decrypted clash between the two ideals of order and chaos. So not surprisingly, in his laborious journey to contain the flood, the triumph of Yu necessitates the execution of Xiangliu.

Not directly related to the Yu myth but run almost parallel in motif and basic plot of killing dragons to tame the water is the myth of the fathers and son Li Bing and Er Lang. Li Bing is a historical figure famous for his water diverting engineering work of Dujiangyan 都江堰. The myths surrounding Li Bing and his son are likely to have been inspired by the myth of Yu, the flood tamer and has become a local variant of the Yu myth over time. Worth noting in this regard is a passage on their great deeds:

夫有非常之患,必生非常之人,彼蒼仁愛斯民,往往而然,亦非獨李公父子也。公釺二渠,斬潛蛟,約水神,瘞石犀……能與大禹治神奸、驅蛇龍先後一轍。……二郎奉父命而斬蛟……(Yuan 1980: 171)

My translation: In a time of extraordinary hardship, there will be extraordinary people. The merciful Heaven loves humans. This is often the case and not only [shown] in Li [Bing] and his son. He and his son dived [into the river] to fight the Jiao dragon, went face to face with the River God, buried the stone bull ...In dealing with gods and evil spirits and driving away snakes and dragons, [their deeds] follow the trace of Yu the Great... Er Lang carried out the order of his father and killed the Jiao dragon.

Though comparatively late in time, the text itself has compared Li Bing and Er Lang to Yu the great flood tamer ("follow the trace of Yu the Great"), in which we again see reference to the driving away of "snakes and dragons", which is a unique symbol of Yu taming the flood. The killing of the Jiao 蛟 dragon is more eminently the story variant of Yu killing Xiangliu. According to this account and a lot of others, either Li Bing or his son Er Lang found the evil dragon, the cause of the local flood, and successfully killed it during fighting in the river. The myth of their heroic deeds shares with that of Yu in sorting out the obstacles represented by animals, especially the dragon and snake. This again indicates the ultimate distinction that underlay early Chinese thought on morality was the separation of men from beasts. Being the obstacles is their inevitable role and the necessary plot to underline this message.

The materials quoted above demonstrate that animals, especially snakes and dragons can pose as knotty obstacles in the myths of heroes taming the flood. To respond, as these materials also show, heroes in these myths deploy a wide range of options to tackle the problem. They can either turn to their moral integrity to make animals ashamed and escape, like in the case of Yu and the yellow dragon. But this method is, of course, not the panacea. The hero would sometimes have to resort to violence. As the Mencius passage shows, the main method the hero uses is to reintroduce the separation of humans and beasts by driving animals away to the edges of the



world, where they no longer pose threats to humans. But in extreme cases, the hero would have to execute the animals in question, either for the establishment of authority like the killing of a wrongdoing dragon or to defeat and destroy them completely, like in the case of Yu's act of executing Xiangliu.

5. Animals as Assistants

Contrary to the roles of animals as causes and embodiment of the flood and the obstacles, in the main flood myth repertoire, animals also take up a very different role as assistants to help protagonists quell the flood. In flood myth narratives surrounding Gun and Yu, we find the owl, turtle, dragon, fish, snake, dog and pig have contributed to the taming of the flood as assistants to Gun and Yu in their own way.

Tienwen 天問 (Questions of Heaven) has preserved the earliest reference to the myth of Gun controlling the flood. In it we find a laconic and obscure line describing how a bird a turtle influenced Gun: "When the owl carried [it] in its beak, and the giant turtle dragged its tail, why did Kun obey them?" (Lin 2009: 146)

The role of animals as assistants is more manifest in the abundant flood myth narratives surrounding Yu, who is no doubt the most famous heroic figure in taming the great flood and is also the most studied figure. Gu Jiegang 顧頡剛 (1893–1980) and other colleagues (most famously Yang Kuan 楊寬 (1914–2005), Tong Shuye 童書業 (1908–1968) in the school of *Gushibian* have been pioneers in revealing the mythic nature of the famous Yu and pointed out that the earliest textual evidence on Yu was found in the *Shijing* 詩經 (*The Book of Songs*). Before the discussion on various animals aiding the great flood tamer, it is worth noting that Yu himself is very much a mythic animal. Though not supported by straightforward evidence, Yu is firstly phonetically and lexically related to fish or dragon. Also, like Gun, he was able to transform into a bear or the *Nai* dragon. Moreover, his peculiar "gait of Yu" 禹步 also suggests a firm link with aquatic animals like fish. The plenty of hints might help explain Yu's relationship with animals when taming the flood.

In the course of Yu channeling the great flood, there is a lot of textual evidence on how he was aided by dragons, turtles, fish snakes, dogs, and even a pig. The most prominent animals assistants are the dragons, especially the Yinglong 應龍 (Responding Dragon). In the Questions of Heaven there is one question pondering on the role of the responding dragon in helping Yu tame the flood: "The Responding Dragon in the rivers and seas, how did it channel and where did it pass through?" (Lin 2009: 63) Although the verse is too laconic to help us understand the whole story, we do know that the Responding Dragon is related to water (represented here by "rivers and seas") and it is helping Yu control the flood by its acts of "channel" and "pass-through". In one annotated version of the *Shanhaijing*, there is a further description as to how exactly the Responding Dragon helped Yu:

禹治水,有應龍以尾畫地,即水泉流通。禹因而治之。(Yuan 1980: 310)

My translation: When Yu was controlling the flood, Ying long (responding dragon) touched the ground with its tail. The water and springs were immediately channeled. Yu then was able to control the flood.

Seen together with the verse in the Questions of Heaven, we now know that Yinglong would use its tail to open new channels on the ground to dredge the flood. In other texts, it is another kind of dragon, the yellow dragon, who is using its tail to dredge the water. Or in some texts, it simply mentions some certain "divine dragon" 神龍. The use of the adjective Shen 神 (divine) is revealing in adding to the narrative that Yu's work is blessed by heaven and the dragons were sent down to aid him to finish the great channeling project.

禹盡力溝洫,導川夷岳,黃龍曳尾于前,玄龜負青泥于后。玄龜,河精之使者也。龜額下有印,文皆古篆

字作九州山川之字。禹所穿鑿之處,皆以青泥封記其所,使玄龜印其上。(Yuan 1985: 155)

My translation: Yu devoted all his strength to the water channels, guiding the rivers and leveling the peaks. A yellow dragon dragged its tail in front of him [to carve out channels] and a black turtle carried along with blue-green mud behind. This black turtle was the emissary of the spirit of the Yellow River. Beneath the turtle's chin, there was a seal whose characters were all in the old seal form. These formed the graphs for [the names of] all the mountains and rivers of the Nine Provinces. Wherever Yu had dug out a channel, he used the blue-green mud to seal up and record the place, then had the black turtle press down the seal on top of it.

The first text in *Shiyiji* 拾遺記 (*Notes on Collecting the Forgotten Past*) also records a black turtle who is the emissary of the Yellow River spirit. His role is twofold. First, he carries the blue-green mud on its back, but he also applies the blue-green mud on the ground to make marks using its chin.

As for fish (human-fish hybrid to be exact), in the flood myth, it is the image of the Yellow River spirit who bestows on Yu the River Chart, probably a map guiding Yu's course:

禹理洪水,觀于河,見白面長人魚身出,曰:“吾河精也。”授禹河圖而還于淵中。(Zhu 2006: 51)

My translation: When Yu was dealing with the flood, he looked by the Yellow River and saw a creature with a white face and a long body like a fish coming out of the river. It said, “I am the river spirit”. It presented Yu with the river chart and returned to the abyss.

昔夏禹觀河,見長人魚身出,曰:“吾河精”,蓋河伯也。(Yuan 1985: 164)

My translation: A long time ago, Yu of Xia looked by the Yellow River and saw a creature with a long body like a fish coming out of the river. It said, “I am the river spirit”. It must be the Lord of the Yellow River.

In the chapter on Yu in the *Shiyiji*, we see the pig, dog and the snake also helped Yu:

禹鑿龍門,至一空岩,幽暗不可復行。禹乃負火而進。有獸狀如豕,銜夜明之珠,其光如燭。又有青犬,行吠于前……乃探玉簡授禹,使度量天地。禹即執此簡,以平定水土。蛇身之神,即羲皇也。(Wang 1981: 68)

My translation: Just like the Yellow River spirit presenting the River Chart to Yu, here in this account, a snake figure believed to be Fu Xi presented Yu with a jade chart, possibly the same as the River Chart. The pig and dog in the cave also presented Yu with the magical pearl, though no specifics are given on how this pearl is to be used.

We find from these accounts translated and discussed above that Yu has far more animal assistants than Gun, which indicates Yu's unmistakable status as the main hero in taming the flood. In these stories, dragons help Yu carve out channels by its tail. Yellow River spirit, the fish, as well as Fu Xi the snake gave Yu the magical chart to measure to the world. The turtle carried for Yu the mythical mud to mark and divide the land, to reintroduce order after the chaos brought by the flood. The pig and dog also offered presents to Yu.

After the exhaustive analysis of the role of animals as assistants, the important question remains: why would these mythical animals appear to provide aid to tame the flood? Isn't it an obvious contradiction with previous roles discussed above as causes, the embodiment of the flood, and as obstacles standing in the way of protagonists controlling the flood?

An ostensible explanation is that these elements would make sensible stories. The hero must have required some help. Given that Gun and Yu have obvious animal attributes, it is convincing to add to the story the element that they have received help from fellow mythic beasts. But more importantly, the diversified roles of animals in



Chinese flood myth narratives reflect the dynamic and changing idea of the human–animal relationship, projected by the myth makers, later storytellers, and common listeners across generations and buried deep in their cultural consciousness and memories. In this regard, animals are good to think with. First, humans are afraid of animals and regard them as a great threat. Some animals intrude into human territory. They are capable of menacing agriculture, devouring human livestock, their domesticated animals, and even attacking humans. They are fearsome, merciless, sly, powerful, and most depressingly the danger they pose for humans seems always imminent. Then we are not surprised as humans project their fear of animals into the flood narrative and make animals the cause, the embodiment of the flood, and the obstacles in taming the flood. But in the meantime, living side by side with animals has also taught humans to appreciate the value of animals and learn to utilize their help. The domestication of animals is the epitome of the positive side of the human–animal relationship. Then again we won't be amazed that animals can also be assistants in the flood stories. In short, the different roles of animals in these fascinating narratives respond to how humans perceive their relationship with the animals.

6. Conclusion

This paper has delineated and examined the four main roles of animals in the Chinese flood myth repertoire, i.e. as the cause and embodiment of the flood, and as the obstacles and assistants. However, the division and examination of these four main roles of animals are in no way indicate that these roles are compartmented and should be interpreted in isolation. On the contrary, only by being taken and seen together can they yield much richer findings for us to better understand the nature of animals in these myths.

These four different roles can easily overlap with each other. Concerning the flood, we see how animals can be both the cause and the embodiment of the flood. As the analysis shows, Gong Gong in some accounts can both be the cause of the flood and the personification of the flood itself. They both rely on the animals' close relationship with the flood since the threat posed by animals crossing into the human realm makes it the best candidate the metaphor for the flood, a symbol of the collapse of the distinction of humans and animals. The role of animals as obstacles is a logical extension of these previous two roles as causes and the embodiment of the flood because when they introduce and represent a state of chaos, they naturally take up the role of rebels and enemies for anyone who would try to end the flood and re-establish order to the world.

The important question remains that why would these mythical animals appear to provide aid to tame the flood? Isn't this an obvious contradiction with previous roles discussed above as causes, the embodiment of the flood, and as obstacles standing in the way of protagonists controlling the flood?

An ostensible explanation is that these elements would make sensible stories. The hero must have required some help. Given that Gun and Yu have obvious animal attributes, it is convincing to add to the story the element that they have received help from fellow mythic beasts. But more importantly, the diversified roles of animals in Chinese flood myth narratives reflect the dynamic and changing idea of the human–animal relationship, projected by the myth makers, later storytellers, and common listeners across generations and buried deep in their cultural consciousness and memories.

In this regard, animals are good to think with. First, humans are afraid of animals and regard them as a great threat. Some animals intrude into human territory. They are capable of menacing agriculture, devouring human livestock, domesticating animals, and even attacking humans. They are fearsome, merciless, sly, powerful, and most depressingly, the danger they pose for humans seems always imminent. Then we are not surprised

as humans project their fear of animals into the flood narrative and make animals the cause, the embodiment of the flood, and the obstacles in taming the flood. But in the meantime, living side by side with animals has also taught humans to appreciate the value of animals and learn to utilize their help. The domestication of animals is the epitome of the positive side of the human–animal relationship. Then again, we won't be amazed that animals can also be assistants in the flood stories. In short, the different roles of animals in these fascinating narratives respond to how humans perceive their relationship with the animals.

The role of animals as the embodiment of the flood is the theme of animals crossing into the human realm, which is a frequent feature of flood lore in China. These mythical beasts bring chaos, fear, and collapse of the distinction between animals and humans, epitomized by the image of Gong Gong and Gun, and it has to be killed off or defeated, symbolizing the ultimate triumph of order over chaos.

This theme of hybridization, the joining of men and animals in a common enterprise, reflects the issue of the disappearance of boundaries that was central to the flood myth in China as in other parts of the world and marks that the absence of boundaries as an essential precondition to the structuring of the world.

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Exploring the Direct and Indirect Effects of Emotional Leadership on Entrepreneurial Success of Start-Ups in the Hospitality Sector (II)

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4. Results, Analysis and Discussion

4.1 Introduction

This chapter presents the main findings and results of the current study. In addition, this chapter presents the analysis of the study and a discussion on the main results of the current study. Not only does this chapter seek to find meaning from the findings of the study, but it also uses SPSS in the analysis of the data collected from the research instrument. This chapter is primarily aligned with the objectives of the study. Besides, the main objective of this study was to explore the effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. In particular, the study sought to examine the direct effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector and examine the indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector.

4.2 Sample Size

The sample size for this study was 100 participants. The data collected from these 100 participants were representative of the target population. Out of the 100 questionnaires administered, 92 respondents fully participated in the study. Only 8 questionnaires were not filled. Therefore, the data from 92 questionnaires were considered in the analysis of this study. This represented a 92% response rate. This researcher considers a 92% response rate as sufficient for the statistical analysis process. Table 1 presents the findings on the response rate.



Sample Size	100
Complete Questionnaires	92
Incomplete Questionnaires	8
Response Rate	92 %

Table 1: Response Rate

Source: Researcher 2019

4.3 Descriptive Statistics

4.3.1 Gender

For this sub-section, the study sought to explore the participation of gender in the study population. Table 2 below shows the participation of male and female respondents in the study.

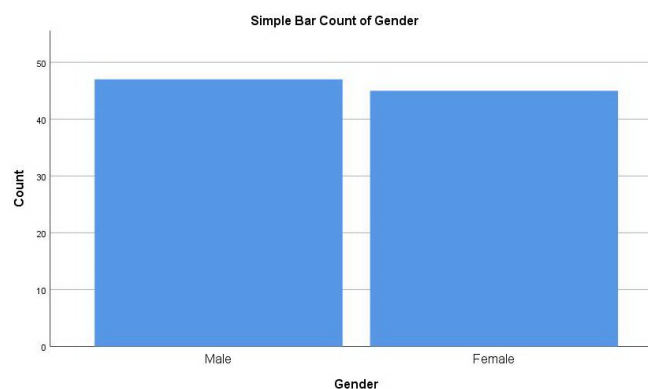
Statistics					
Gender					
N	Valid	92			
	Missing	0			

		Gender			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	47	51.1	51.1	51.1
	Female	45	48.9	48.9	100.0
	Total	92	100.0	100.0	

Table 2: Gender Statistics

Source: Researcher 2019

From an analysis of data on gender, it is evident from Table 2 above that the number of male and female participants in the study is 47 and 45, respectively. The male respondents constituted 51.1% of total responses while the female respondents constituted 48.9%. This data shows that there was almost equal participation of both genders (male and female) in the study. The above data can be graphically represented as shown below:



Graph 1

Source: Researcher 2019

From the graph above, it is clear that the participation of male and female respondents in the current study is near equal.

4.3.2 Type of Employee

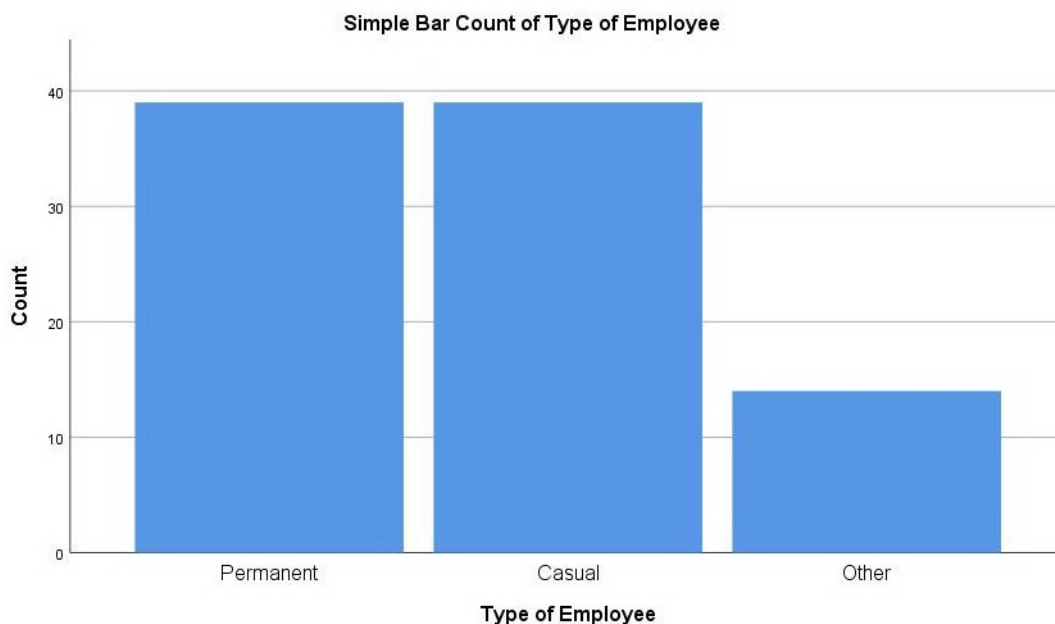
Statistics				
Type of Employee				
N	Valid	92		
	Missing	0		

Type of Employee				
		Frequency	Percent	Valid Percent
Valid	Permanent	39	42.4	42.4
	Casual	39	42.4	42.4
	Other	14	15.2	15.2
	Total	92	100.0	100.0

Table 3: Employee Statistics

Source: Researcher 2019

From the above analysis, permanent and casual employees equally participated in the study. Specifically, 39 respondents employed permanently and other 39 respondents engaged as casual employees took part in the study. Permanently employed and casual employees constituted 84.8% of total respondents. The rest 14 respondents accounting for 15.2% of total respondents were engaged in other contracts besides permanent and casual basis. This finding can be illustrated graphically as below:



Graph 2

Source: Researcher 2019

4.3.3 Level of Education

The following are the results of descriptive statistics on the education levels attained by the study participants.

Statistics

Type of Employee

N	Valid	92
	Missing	0

		Type of Employee			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Permanent	39	42.4	42.4	42.4
	Casual	39	42.4	42.4	84.8
	Other	14	15.2	15.2	100.0
	Total	92	100.0	100.0	

Table 4: Education Statistics

Source: Researcher 2019

From the study's findings, it is clear that the majority of the respondents who participated in the study have attained tertiary qualifications. Specifically, 39 respondents constituting 42.4% of the total responses participated in the study. The participants with secondary school qualifications were 30, accounting for 32.6% of total responses. Only 9 respondents constituting 9.8% of total responses had attained primary school qualifications. The rest of the respondents (14), accounting for 15.2% of all respondents, had other academic qualifications besides tertiary, secondary, and primary school qualifications.

4.4 Emotional Leadership and Performance

In this subsection, the study sought to ascertain whether the current emotional leadership in the organization influences the performance of the respondents. The findings of the study are presented below:

Statistics

Emotional Leadership Influence Performance

N	Valid	92
	Missing	0

Emotional Leadership Influence Performance

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	54	58.7	58.7	58.7
	No	38	41.3	41.3	100.0
	Total	92	100.0	100.0	

Table 5: Emotional Leadership influences performance Statistics

Source: Researcher 2019

From these findings, it is evident that 54 respondents representing 58.7% of all respondents find that the current emotional leadership in their respective start-up firms influences their performance. The remaining 38 respondents constituting 41.3% of all responses find that the current emotional leadership in their respective organizations does not influence their performance.

4.5 the Assertiveness of Leaders

H1: the assertiveness of leaders has a significant influence on the performance of followers

The study sought to understand the extent to which the assertiveness of leaders affects the performance of followers engaged in start-ups in the hospitality industry. The findings of the study are as follows:

Statistics				
Emotional Leadership Influence				
Performance				
N	Valid	92		
	Missing	0		

Emotional Leadership Influence Performance				
		Frequency	Percent	Valid Percent
Valid	Yes	54	58.7	58.7
	No	38	41.3	41.3
	Total	92	100.0	100.0

Table 6: the Assertiveness Statistics

Source: Researcher 2019

From the above finding, it is evident that all the respondents agree that the assertiveness of leaders influences their performance at the workplace. The respondents were also asked to respond to the statement that the assertiveness of leaders influences their performance to a great extent. The following are the findings of the study concerning this statement.

Leaders Assertiveness Influence Performance to Great Extent				
		Frequency	Percent	Valid Percent
Valid	Disagree	2	2.2	2.2
	Neutral	7	7.6	7.6
	Agree	43	46.7	46.7
	Strongly Agree	40	43.5	43.5
	Total	92	100.0	100.0

Table 7: the Assertiveness Influences Performance Statistics

Source: Researcher 2019

From the above findings, 40 respondents representing 43.5% of all responses strongly agree that the assertiveness of leaders influences performance to a great extent. In addition, 43 respondents representing 46.7% of the responses agree that the assertiveness of leaders influences performance to a great extent. Therefore, the majority of the respondents (83 respondents representing 90.2% of the total respondents) strongly agree that leaders' assertiveness influences the performance of employees to a great extent. Seven respondents (7.6%) are neutral on whether the assertiveness of leaders influences performance to a great extent. Only 2 respondents constituting 2.2% of the responses disagree that the assertiveness of leaders influences performance to a great extent. From these findings, 90.2% of all respondents agree that the assertiveness of leaders influences performance to a great extent.

This finding of the current study that the majority of respondents (90.2%) strongly agree and agree that the assertiveness of leaders influences the performance of employees and hence contributes to the entrepreneurial suc-

cess of start-ups to a great extent is consistent with conclusions of other related studies. For instance, Agarwal (2017) has extensively examined the impact of leaders' assertiveness on the performance of subordinates. According to Agarwal (2017), assertive leadership promotes the achievement of greater employee engagement. This scholar attributes this to the fact that assertive leaders tend to be nurturing, caring, and loving to employees. In addition, assertive leadership ensures that organizational leaders are not easily dominated by employee culture and norms. Generally, assertive leaders are overly concerned with the well-being of employees (people-centric) besides their focus on organizational growth (growth-oriented). Assertive leaders are concerned with the individual growth of employees. These attributes of assertive leaders promote employee engagement and have also been found to have a positive impact on the performance of followers and subordinates. This relationship has been closely linked to the effective role of assertive leaders in creating high levels of trust among employees/followers/subordinates, creating a motivational culture in the workplace, and nurturing employee skills and competencies. Ames (2009) found that organizational leaders and employees have different levels of self-confidence when understanding the positive impact of leaders' self-confidence on employee performance. According to this scholar, highly assertive leaders tend to drive their followers and employees towards improved and superior performance as compared to the less assertive leaders.

The following findings reveal the participants' responses to the question that the assertiveness of leaders influences the performance of employees to a marginal extent.

Statistics					
Leaders Assertiveness of Leaders influence performance marginally					
N	Valid	92			
	Missing	0			

Leaders Assertiveness of Leaders influence performance marginally					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Disagree	51	55.4	55.4	55.4
	Disagree	35	38.0	38.0	93.5
	Neutral	3	3.3	3.3	96.7
	Agree	3	3.3	3.3	100.0
	Total	92	100.0	100.0	

Table 8: the Assertiveness Influences Performance Statistics

Source: Researcher 2019

From the findings above, 51 respondents accounting for 55.4% of all responses strongly disagree that the assertiveness of leaders influences performance to a marginal extent. In addition, 35 respondents representing 38% of the responses disagree that the assertiveness of leaders influences performance to a marginal extent. Three respondents constituting 3.3% of all the respondents are neutral on whether the assertiveness of leaders influences performance to a marginal extent. The remaining three respondents constituting 3.3% of the responses agree that the assertiveness of leaders influences performance to a marginal extent. From these findings, 93.5% of all respondents disagree that the assertiveness of leaders influences performance to a marginal extent.

Generally, assertiveness is the ability to express oneself constructively and effectively and one's emotions. Kumar, Taib, and Raniyah (2013) and Cohen (1988) suggest the use of t-value for estimating variables' signif-

icant level. According to these scholars, t -values that exceed 1.645 suggest a significant relationship between the variables. As such, the hypothesis for the study is accepted if the t -value exceed 1.645. The findings of the t -test on the question that the assertiveness of leaders influences the performance of subordinates to a great extent are as follows:

One-Sample Statistics				
	N	Mean	Std. Deviation	Std. Error Mean
Leaders Assertiveness Influence Performance to Great Extent	92	4.32	.710	.074

One-Sample Test						
Test Value = 3						
	t	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Leaders Assertiveness Influence Performance to Great Extent	17.771	91	.000	1.315	1.17	1.46

Table 9: T-Test

Source: Researcher 2019

From the above finding, the mean for respondents on whether the leaders' assertiveness influences performance to a great extent is 4.32 with a standard deviation of .710. This finding reveals that respondents, on average, agree that leaders' the assertiveness influences performance of subordinates to a great extent. The t -value for this test is 17.771. In consideration of the suggestion advanced by Kumar, Taib, and Raniyah (2013), the hypothesis of this study that the assertiveness of leaders has significant influences on the performance of followers is accepted.

The results on t -value on the question on whether the assertiveness of leaders influences the performance to a marginal extent are presented below:

One-Sample Statistics				
	N	Mean	Std. Deviation	Std. Error Mean
Leaders Assertiveness of Leaders influence performance marginally	92	1.54	.717	.075

One-Sample Test						
Test Value = 3						
	t	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Leaders Assertiveness of Leaders influence performance marginally	-19.475	91	.000	-1.457	-1.61	-1.31

Table 10: T-Test

Source: Researcher 2019



From the above finding, the mean of the question of whether leaders' assertiveness influences performance to a marginal extent is 1.54 with a standard deviation of .717. on average, the respondents disagree that leaders' assertiveness influences the performance of employees to a marginal extent. The t-value for this analysis is -19.475. Based on the suggestion advanced by Kumar, Taib, and Raniyah (2013), a hypothesis that the assertiveness of leaders influences the performance of followers to a marginal extent is rejected.

4.6 Empathy of Leaders

H2: Empathy of leaders has a positive effect on the followers' performance

The following are the results on the question of whether empathy influences the performance of the respondents.

Statistics				
Empathy of Leaders Influence Performance				
N	Valid	92		
	Missing	0		

Empathy of Leaders Influence Performance				
		Frequency	Percent	Cumulative Percent
Valid	Yes	92	100.0	100.0

Table 11: Empathy Statistics

Source: Researcher 2019

From the above finding, it is clear that all the respondents agree that the empathy of leaders influences employee/subordinate/follower performance.

Further, the current study sought to explore the extent to which the empathy of leaders affects the performance of followers engaged in start-ups in the hospitality industry.

Statistics				
Leaders Empathy Influence Performance to Great Extent				
N	Valid	92		
	Missing	0		

Leaders Empathy Influence Performance Marginally				
		Frequency	Percent	Cumulative Percent
Valid	Yes	92	100.0	100.0

Table 12: Empathy Statistics

Source: Researcher 2019

Leaders Empathy Influence Performance to Great Extent

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Disagree	1	1.1	1.1	1.1
	Disagree	2	2.2	2.2	3.3
	Neutral	8	8.7	8.7	12.0
	Agree	33	35.9	35.9	47.8
	Strongly Agree	48	52.2	52.2	100.0
	Total	92	100.0	100.0	

Leaders Empathy Influence Performance Marginally

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Disagree	34	37.0	37.0	37.0
	Disagree	47	51.1	51.1	88.0
	Neutral	9	9.8	9.8	97.8
	Agree	1	1.1	1.1	98.9
	Strongly Agree	1	1.1	1.1	100.0
	Total	92	100.0	100.0	

Table 13: Frequency Table*Source: Researcher 2019*

From the findings above, 48 respondents accounting for 52.2% strongly agree that leaders' empathy influences the performance of employees to a great extent. In addition, 33 respondents accounting for 35.9% agree that the empathy of leaders influences subordinate performance to a great extent. Of all respondents, 8 are indifferent on whether empathy of leaders influences subordinate performance to a great extent. Finally, only 2 respondents (accounting for 2.2%) and 1 respondent (representing 1.1%) disagree and strongly disagree with leaders' empathy influences the performance of employees to a great extent, respectively.

Further, 34 respondents accounting for 37% of total respondents strongly disagree that the empathy of leaders influences the performance of employees to a marginal extent. Out of 92 respondents, 47 respondents representing 51.1% disagree that leaders' empathy influences performance to a marginal extent. Only one respondent agrees and strongly disagrees that the empathy of leaders influences the performance of employees to a marginal extent.

From the above findings, the majority of respondents agree that the empathy of leaders influences the performance of subordinates/employees to a great extent. Specifically, 88.1% of the respondents agree and strongly agree that the empathy of leaders influences the performance of subordinates/employees to a great extent. This is consistent with the findings of other related authors. For instance, Batool (2013) concludes that leaders having empathy have positive influences on the performance of employees to a great extent. This author attributes this to the fact that leaders with empathy tend to have better management of successful teams and organizations. Leaders with empathy can put themselves in situations of others. In addition, such leaders can develop the competencies of others and offer constructive feedback.

This conclusion is consistent with the observations of other scholars. Gentry, Weber, and Sadri (2007) consider empathy as a critical and important tool for effective leadership (an important construct of effective leadership).¹ These scholars explain empathy to be the ability of one to relate and experience the emotions, thoughts, and experiences of others. Marques (2010) defines empathy as the skill of understanding the predicaments, feel-

ings, and challenges of others. Others have argued that empathy allows and facilitates organizational leaders in developing a better understanding of the opinions and perspectives of others. Accordingly, Gentry, Weber, and Sadri (2007) find that empathy of leaders is highly effective in influencing the performance of employees. This conclusion has been closely linked to the fact that managers who demonstrate empathy towards their followers are considered better performers. It is recommended that organizational leaders must demonstrate empathy. This can be done through deliberate actions of understanding the feelings of others and sharing emotions with the rest of the followers. Kellette, Humprey, and Sleeth (2006) are of the considered view that understanding and sharing emotions by organizational leaders is a prerequisite for effective leadership. It is also acknowledged that empathy can be learned by organizational leaders and managers. Gentry, Weber, and Sadri (2007) opine those organizational leaders can be taught to demonstrate empathy towards their followers. Castelli and Rahman (2013) conclude a similar observation that there is a need for contemporary leaders and managers of organizations to acquire empathy skills. These authors believe that the acquisition of empathy skills is crucial for organizational managers and leaders to effectively manage the contemporary highly diverse workforce and meet the needs of the current highly dynamic global market.

On his part, Bass (1985) has associated empathy with transformational leaders who successfully demonstrate to their followers that they are increasingly concerned about the achievement and needs of these followers. George (2000) concludes similar findings that the empathy of leaders has a positive impact on job performance. However, this scholar finds that the positive impact of leaders' empathy on the job performance of employees/followers varies from one culture to another. Castelli and Rahman (2013) posit that the empathy of organizational leaders has a positive impact on work performance through its influences on strengthening leader–employee relationships in the workplace. Goleman (1995) maintains that empathy is a must–have skill because empathy skills enhance the ability of individuals to effectively and constructively connect with others.

Of the 92 respondents, 81 respondents disagree and strongly disagree that the empathy of leaders influences the performance of subordinates/employees to a marginal extent. This represents 88.1% of the total respondents. This finding further affirms the above observation that the majority of respondents agree that the empathy of leaders influences the performance of subordinates/employees to a great extent.

Generally, empathy refers to becoming aware and generating an understanding of how others feel. The results of the t–test on whether empathy of leaders influences the performance of employees/subordinates to a great extent are below:

One-Sample Statistics					
	N	Mean	Std. Deviation	Std. Error Mean	
Leaders Empathy Influence Performance to Great Extent	92	4.36	.820	.085	

One-Sample Test					
Test Value = 3					
	t	df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference Lower Upper
Leaders Empathy Influence Performance to Great Extent	15.896	91	.000	1.359	1.19 1.53

Table 14: T–Test

From the above finding, the mean for respondents on the question of whether leaders' empathy influences the performance of employees to a great extent is 4.36. This finding suggests that on average, the respondents agree that leaders' empathy influences performance to a great extent. The result for the t-value is 15.896. Based on the criteria provided by Kumar, Taib, and Raniyah (2013), the hypothesis is accepted if the t-value exceeds 1.645. Therefore, the hypothesis of this study that empathy of leaders has a positive effect on the followers' performance is accepted.

The results of the t-value on the question of whether leaders' empathy influences the performance of followers to a marginal extent are as follows:

One-Sample Statistics				
	N	Mean	Std. Deviation	Std. Error Mean
Leaders Empathy Influence Performance Marginally	92	1.78	.753	.079

One-Sample Test						
Test Value = 3						
	T	df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Leaders Empathy Influence Performance Marginally	-15.499	91	.000	-1.217	-1.37	-1.06

Table 15: T-Test

Source: Researcher 2019

4.7 Adaptability of Leaders

H3: Adaptability of leaders has a substantial effect on the performance of followers

The respondents were asked whether the adaptability of leaders influences their performance at their respective workplaces. The findings of this question are presented below:

Statistics				
Adaptability of Leaders Influence Performance				
N	Valid	92		
	Missing	0		

Adaptability of Leaders Influence Performance				
	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	92	100.0	100.0	100.0

Table 16: Adaptability Statistics

Source: Researcher 2019

From the above findings, it is evident that all 92 respondents agree that the adaptability of leaders influences performance.

Further, the current study sought to determine the extent to which the adaptability of leaders affects the performance of followers engaged in start-ups in the hospitality industry.

		Statistics	
		Leaders Adaptability Influence Performance to Great Extent	Leaders Adaptability Influence Performance Marginally
N	Valid	92	92
	Missing	0	0

Leaders Adaptability Influence Performance to Great Extent				
		Frequency	Percent	Cumulative Percent
Valid	Disagree	3	3.3	3.3
	Neutral	6	6.5	9.8
	Agree	40	43.5	53.3
	Strongly Agree	43	46.7	100.0
	Total	92	100.0	

Leaders Adaptability Influence Performance Marginally				
		Frequency	Percent	Cumulative Percent
Valid	Strongly Disagree	37	40.2	40.2
	Disagree	48	52.2	92.4
	Neutral	3	3.3	95.7
	Agree	1	1.1	96.7
	Strongly Agree	3	3.3	100.0
	Total	92	100.0	

Table 17: Frequency Table

Source: Researcher 2019

From the above findings, 43 respondents representing 46.3% of the responses strongly agree that leaders' adaptability influences the performance of followers/subordinates to a great extent. In addition, 40 respondents accounting for 43.5% of total responses agree that the adaptability of leaders influences subordinate performance to a great extent. From this finding, a total of 83 respondents constituting 90.2% agree and strongly agree that leaders' adaptability influences the performance of followers/subordinates to a great extent. Only 6 respondents representing 6.5% of the total responses are indifferent on whether adaptability of leaders influences subordinate performance to a great extent. Finally, three respondents from a total of 92 disagree that leaders' adaptability influences the performance of followers/subordinates to a great extent.

Other related studies have made similar conclusions. For instance, Tariq (2011) finds evidence that the adaptability of leaders not only facilitates the achievement of the superior and greater performance of employees but has also proved to be effective in ensuring that firms achieve competitive advantage in their respective markets and industry. In particular, superior employee performance associated with leaders' adaptability has been closely associated with the fact that the adaptability of leaders has been demonstrated to contribute to a higher employee retention rate.² This allows organizations to leverage and maximize the accumulated wealth of their organizations' skills, resulting in improved individual and organizational performance. Several interventions have been recommended to enhance the adaptability of organizational leaders and managers. Notably, Kim (1993) recommends extensive training and development. According to this scholar, training and development tend to have a significant positive impact on the adaptability of individuals. Such training and development have been considered as one of the effective forms of human capital investment. This finding has been supported by an increasing number of authors. For instance, in using evidence from commercial banks in Kenya, Wainaina, Kabare, and Mukulu (2015) establish that the majority of employees working in these commercial banks consider investing in training

and development as effective in increasing both leaders' and employees' adaptability. Anyamele (2007) also concludes that training and development play an important and critical role in enhancing leaders' adaptability in the workplaces resulting in improved and greater task performance. Further, the choice of leadership styles has been found to determine the adaptability of leaders to a great extent. In particular, Kathamuthu (2008) establishes that transformational leadership style has been closely associated with greater adaptability of organizational leaders.

In addition, 37 respondents accounting for 40.2% of total responses strongly disagree that the adaptability of leaders influences performance to a marginal extent. In addition, 48 respondents constituting 52.2% of total responses find that adaptability of leaders influences performance to a marginal extent. However, 3 respondents strongly agree that leaders' adaptability influences performance to a marginal extent. Only one respondent agrees that the adaptability of leaders influences the performance of subordinates to a great extent. This finding affirms the above finding that the majority of the respondents consider that leaders' adaptability influences the performance of followers/subordinates to a great extent.

Adaptability is the flexibility of adjusting one's thinking and feelings to new and emerging situations. The results of the t-test of the question on whether adaptability of leaders has a substantial effect on the performance of followers are as follows:

One-Sample Statistics						
	N	Mean	Std. Deviation	Std. Error Mean		
Leaders Adaptability Influence Performance to Great Extent	92	4.34	.745	.078		

One-Sample Test						
Test Value = 3						
	T	Df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Leaders Adaptability Influence Performance to Great Extent	17.205	91	.000	1.337	1.18	1.49

Table 18: T-Test

Source: Researcher 2019

From the above finding, the average is 4.34 with a standard deviation of .745. This finding suggests that the respondents, on average, agree that leaders' adaptability influences the performance of subordinates/followers/employees to a great extent. In addition, the t-value for the question of whether the adaptability of leaders influences the performance of employees to a great extent is 17.205. Based on Kumar, Taib, and Raniyah (2013), this study's hypothesis that the adaptability of leaders has a substantial effect on the performance of followers is accepted.

The results of the t-test on the question adaptability of leaders have marginal influences on the performance of employees is indicated below:

One-Sample Statistics				
	N	Mean	Std. Deviation	Std. Error Mean
Leaders Adaptability	92	1.75	.847	.088
Influence Performance				
Marginally				

One-Sample Test						
Test Value = 3						
	T	df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Leaders Adaptability	-	91	.000	-1.250	-1.43	-1.07
Influence Performance	14.159					
Marginally						

Table 19: T-Test

Source: Researcher 2019

4.8 Summary of the Findings and Analysis

This chapter sought to present the main findings of the study. The primary objective of the study was to explore the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. To achieve this objective, this study explored the effects of the three main aspects of emotional leadership, namely the assertiveness, empathy, and adaptability of leaders on the performance of employees engaged among start-ups in the hospitality sector. In particular, this study sought to test three hypotheses to either accept or reject. The three hypotheses of the study were that the assertiveness of leaders has significant influences on the performance of followers, empathy of leaders has a positive effect on the followers' performance, and adaptability of leaders has a substantial effect on the performance of followers. The findings of the study confirm that there was almost participation of both genders (male and female) in the study. In particular, the findings reveal that 47 male respondents and 45 female respondents participated in the study accounting for 51.1% and 48.9% of total responses, respectively. In addition, the current study's findings reveal that 39 respondents employed permanently and 39 respondents engaged as casual employees participated in the study as respondents. Collectively, the findings of the current study reveal that both the permanently employed and casual employees constituted 84.8% of total respondents. The remaining 14 participants in the study representing 15.2% of total respondents were engaged in other work contracts besides permanent and casual basis. Further, the majority of the respondents that participated in the study have tertiary qualifications. Specifically, the findings of the current study reveal that 39 respondents representing 42.4% of the total responses participated in the study have attained tertiary qualifications. In addition, the participants that had attained secondary school qualifications were 30 constituting 32.6% of total responses. It is only 9 participants representing 9.8% of total responses had attained primary school qualifications. The rest of the respondents (14) accounting for 15.2% of all respondents had other academic qualifications besides tertiary, secondary, and primary school qualifications.

Based on the findings, this current study concludes that emotional leadership has both direct and indirect effects on the entrepreneurial success of start-ups in the hospitality sector. In addition, the findings of this study



accept the three hypotheses that the assertiveness of leaders has significant influences on the performance of followers, empathy of leaders has a positive effect on the followers' performance and adaptability of leaders has a substantial effect on the performance of followers. The primary basis for accepting all the three hypotheses of the study was through analysis of the t -values on the main questions posed by the study. This study relied on the conclusions of Kumar, Taib, and Raniyah (2013) and Cohen (1988) that suggested that the hypotheses of a study are accepted if the t -values exceed 1.645. These authors conclude that t -values that exceed 1.645 confirm that the estimated variables are significant. The findings on the t -values of all the estimated variables of the study exceeded 1.645, a development that explains why the study accepted all the three hypotheses it sought to test. The t -value on the question of whether the respondents agree that leaders' the assertiveness influences performance of subordinates to a great extent was 17.771. This finding affirmed the first hypothesis (H1) that the assertiveness of leaders has significant influences on the performance of followers. In addition, the t -value for the question of whether the leaders' empathy influences performance to a great extent was 15.896. This t -value explains the current study accepting the second hypothesis (H2) that the empathy of leaders has a positive effect on the followers' performance. Further, the t -value for the question of whether the adaptability of leaders influences the performance of employees to a great extent is 17.205. This conclusion, based on the suggestions of Taib and Raniyah (2013), explains why the current study accepted the third hypothesis (H3) that the adaptability of leaders has a substantial effect on the performance of followers.

5. Discussion

5.1 Introduction

This chapter of the study presents a precise discussion and analysis of the results of the current study within the broader context of existing literature. In practice, it has become extremely difficult to develop a sense and an understanding of the results of any study without consideration of the findings of related studies in the past. Primarily, this chapter will compare the findings of the current study with the findings of previous related studies. This comparison is important in developing an understanding of the main contribution of the current study on the body of knowledge.

5.2 Summary of the Main Findings

The general objective of the current study was to explore the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. The specific objectives of the study were to examine the direct effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector and to explore the indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. To realize these objectives, the current study sought to test three hypotheses. The first hypothesis (H1) was the assertiveness of leaders has significant influences on the performance of followers. The second hypothesis (H2) was the empathy of leaders has a positive effect on the followers' performance. The third hypothesis (H3) was the adaptability of leaders has a substantial effect on the performance of followers.

The review of existing literature provided compelling evidence supporting the claim that emotional leadership has a significant positive effect on the entrepreneurial success of firms based on their positive direct and indirect influences on the performance of employees/subordinates/followers. Bambale, Kassim, and Musa (2016) con-

sider emotional leadership as leading followers through effective identification and management of emotions. These scholars observe that emotional leadership seeks to influence the outcomes of the needs of the followers. On their part, Goleman, Boyatzis, and McKee (2000) find that effective utilization of emotions is imperative for any successful leadership. Boyatzis (1982) agrees with this claim explaining the main reasons why the emotions of leaders have been closely associated and linked with greater and superior employee performance. Williams (2001) keenly noted that emotional leadership has arguably shaped human beings' cognitive and behavioral mechanisms. This explains the increased support in the existing literature on the need and justification for managers and leaders of organizations to become fully aware of the implications of their respective emotional leadership on work performance and the eventual success of the organizations that they lead. Hassan, Saeid, and Sirous (2010) find overwhelming evidence that emotional leadership has positive direct and indirect effects on the entrepreneurial success of firms. According to these scholars, this effect of emotional leadership is evident in the evident positive influences of emotional leadership on the performance and productivity of employees. The review of existing literature revealed that emotional leadership influences the performance and productivity of employees/followers/subordinates through its effect on employee satisfaction and motivation. Further, existing literature appreciates the critical role of employee motivation and satisfaction on the overall entrepreneurial success of firms, including start-ups. Similarly, the review of the literature revealed a close link between emotional leadership and leadership styles adopted by organizational leaders. For instance, Bambale, Kassim, and Musa (2016) find compelling evidence demonstrating how the emotions of organizational leaders influence employee satisfaction and motivation levels. According to these scholars, employee satisfaction and motivation levels remain critical components in start-ups' overall success, especially those operating in the service economy. In addition, the literature review revealed that transformational leaders could use their respective emotions in motivating their followers/employees/subordinates. This finding is also affirmed by other authors such as Oyewumi, Ojo, and Oludayo (2015), who find that the emotions of human beings largely define their actions and inactions to a great extent. These scholars explain that it is through emotional leadership that organizational leaders can enhance the productivity and performance of their employees. Further, the review of available literature establishes that the link between the motivation of employees derived from emotional leadership and eventual entrepreneurial success of firms has been widely observed among the developing economies of the world as compared to the advanced and developed countries. Other scholars, including Robichaud, McGraw, and Roger (2001) and Hornsby and Naffziger (1997), find the motivation of employees to be an important component in business success. In particular, Robichaud, McGraw, and Roger (2001) affirm that the motivation of entrepreneurs can be categorized into independence/autonomy, extrinsic rewards, family security, and intrinsic awards. These scholars conclude that all the categories of entrepreneur motivation directly impact the eventual entrepreneurial success of firms. Yimanu (2018) finds evidence that lack of strong motivation has been largely responsible for entrepreneurial failure.

Evidence from the current study further supports the above claim that emotional leadership has significant influences on the entrepreneurial success of start-up firms. This conclusion is primarily based on the evidence of the current study that demonstrates that the main aspects of emotional leadership, namely the assertiveness of leaders, empathy of leaders, and adaptability of leaders, have significant positive influences on the performance of employees/subordinates/followers. In turn, this influence of leaders' assertiveness, empathy, and adaptability has a significant positive effect on the entrepreneurial success of start-ups operating in the hospitality industry. Specifically, the current study reveals that 40 respondents representing 43.5% of all responses strongly agree that the assertiveness of leaders has a great influence on the performance of employees and the eventual success of



start-ups in the hospitality industry to a great extent. In addition, 43 respondents accounting for 46.7% of the responses agree that the assertiveness of leaders influences the performance of employees to a great extent. From this finding, it can be deduced that the majority of the respondents (83 respondents representing 90.2% of the total respondents) strongly agree and agree that the assertiveness of leaders has significant influences on the performance of employees and the eventual success of start-ups. In addition, the findings of the current study reveal that 48 respondents accounting for 52.2% of total respondents strongly agree that leaders' empathy has a great influence on the performance of employees and the eventual success of start-ups in the hospitality sector. In addition, 33 respondents representing 35.9% agree that the empathy of leaders influences subordinate performance to a great extent. Cumulatively, 88.1% of all respondents agree that the empathy of leaders has significant influences on the performance and success of start-ups operating in the hospitality sector. Similarly, the findings of the current study revealed that 90.2% of all respondents consider that adaptability of leaders has significant positive influences on employee performance and success of start-ups in the target sector. In particular, the findings of the current study established that 43 respondents (46.3% of all respondents that participated in the study) strongly agree that the adaptability of leaders influences the performance of followers/subordinates/employees to a great extent. In addition, these findings establish that additional 40 respondents (accounting for 46.3% of total respondents who participated in the study) agree that the adaptability of leaders influences subordinate performance to a great extent.

The current study adopted a descriptive survey to explore the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. This descriptive research design facilitated the researchers in accessing the information on the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality industry. The intention for the adoption of a descriptive survey was to test and verify the three main hypotheses of the study. The data from the respondents was collected through the use of questionnaires. The data collected were subjected to analysis using the SPSS analytical tool. In addition, this current study relied on Kumar, Taib, and Raniyah (2013) and Cohen's (1988) suggestion on the use of *t*-value when estimating variables' significant level. According to Kumar, Taib, and Raniyah (2013) and Cohen (1988), *t*-values that exceed 1.645 are a suggestion of a significant relationship between the variables. As such, these authors opine that the hypothesis for the study should be accepted if the *t*-value exceed 1.645. The main findings of the current study are as follows. Firstly, the mean for respondents on whether the leaders' assertiveness influences performance to a great extent was 4.32 with a standard deviation of .710. This finding suggests that the participants of the study, on average, agree that leaders' the assertiveness influences performance of subordinates to a great extent. For this question, the *t*-value from the *t*-test was found to be 17.771. Based on Kumar, Taib, and Raniyah (2013) and Cohen (1988), the current study accepted hypothesis one (H1) that leaders' the assertiveness influences performance of subordinates to a great extent. In addition, the mean for respondents on the question posed to the participants that leaders' empathy influences the performance of employees to a great extent was found to be 4.36. on average, this finding suggests the respondents agree that leaders' empathy influences performance to a great extent. For this question, the result for the *t*-value was found to be 15.896. the current study accepted the second hypothesis (H2) that the empathy of leaders has a positive effect on the followers' performance based on the criteria developed by Kumar, Taib, and Raniyah (2013) and Cohen (1988). On the last question, the mean for the respondents was found to be 4.34, suggesting that these respondents consider that leaders' adaptability influences the performance of subordinates/followers/employees to a great extent. The corresponding results from the *t*-test were 17.205. In considering Kumar, Taib, and Raniyah (2013) and

Cohen's (1988) criteria, the current study accepted the third hypothesis (H3) that the adaptability of leaders has a substantial effect on the performance of followers. These findings are consistent with the conclusions of the majority of related studies that emotional leadership has positive direct and indirect effects on the entrepreneurial success of firms. The current study contributed to the expansion of knowledge on emotional leadership and entrepreneurial success firms by finding evidence from start-ups in the hospitality sector. This aspect was captured in the research gap of this current study because there have been limited studies that have specifically focussed on establishing the effects of emotional leadership on the entrepreneurial success of start-ups that operate in the hospitality industry.

6. Conclusion and Recommendations

6.1 Introduction

This chapter constitutes the last chapter of the current research study. The main purpose of this chapter is to conclude the findings of the current study. In addition, this chapter will identify the main implications of the study and make various recommendations. The next section draws the main conclusions of the current study based on the main findings derived from analyzed data. The subsequent section makes recommendations and identifies the main implications of the current study.

6.2 Conclusions

The findings of the current study and review of existing literature find compelling evidence that emotional leadership has a positive and significant effect on the entrepreneurial success of firms, including start-ups, regardless of the sectors that these firms operate from. Primarily, this study focused on how the main aspects of emotional leadership, namely the assertiveness, empathy, and adaptability of leaders influence employee performance and subsequent entrepreneurial success of start-ups in the hospitality sector. From the findings of this study, it became clear that leaders' assertiveness, empathy, and adaptability have significant and positive influences on employee performance and the eventual entrepreneurial success of start-ups that operate in the hospitality industry. The main implication of the current study is that it reinforces the growing support for managers and leaders of organizations in becoming increasingly aware of the implications of their respective emotional leadership on work performance and subsequent success of their organizations. In particular, the conclusions of this current study affirm the need for organizational leaders to become increasingly aware of all situations in the workplace and develop the ability to identify various types of behaviors exhibited by employees at workplaces. This is critical in the sense that such emotional awareness will facilitate and enable organizational leaders to promote the greater and superior performance of employees, contributing to the greater entrepreneurial success of the firms that they lead.

6.3 Recommendations

This current study makes the following recommendations. Firstly, it is recommended that organizational leaders appreciate the diversity and uniqueness of the emotions of all employees in the organizations that they lead. This will ensure that these organizational leaders create a good workplace environment that will guarantee that the organizations maximize the full potential of all workers. Such a workforce environment should not be discriminative to any type of employee. This recommendation will arguably contribute to the achievement of greater



levels of motivation, satisfaction, and trust in the workplace, contributing to greater entrepreneurial success. Secondly, it is recommended that organizational leaders take deliberate measures of nurturing employees engaged in their respective organizations. This should involve creating time for each employee to create an understanding of their divergent needs. Understanding the individual needs of employees is critical in implementing appropriate measures for supporting the achievement of higher levels of employee satisfaction and motivation.

Note:

1 This observation has been extensively supported by numerous leadership theories that have suggested that the ability of organizational leaders to have and display empathy is an important element of leadership. Empathy has been increasingly considered as a pivotal tool for effective leadership in the contemporary business environment.

2 In fact, an increasing number of organizations have employed adaptability of their leaders as one of the preferred employee retention strategies.

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Li Ziqi: Internet Idol or Cross-Cultural Communication Icon?

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Abstract: Li Ziqi is extremely popular in China for her videos and has a moderate number of international fans. Cross-cultural communication is how people from different cultures can communicate, and there are many ways to analyze if an example of cross-cultural communication is successful or not. As YouTube is the most commonly used video-sharing platform in many countries and the most common way for Li Ziqi to gain international fans, this article analyzed her YouTube videos, subscribers, and fan interactions to determine cross-cultural communication. The analysis method proposed by Information Research in regards to YouTube comments was used to analyze the effectiveness of cross-cultural communication from Li Ziqi's videos by classifying the comments on her videos to identify the viewer reactions and if they interacted with the culture shown in the videos. Our results found that most of the video comments are impression comments, which do not indicate much cross-cultural communication. These findings are significant in that they provide paths for more cross-cultural communication in the future and show how similar content can be used to promote cross-cultural communication.

Keywords: Li Ziqi; cross-cultural communication; analysis; YouTube; comments

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1. Introduction

Li Ziqi is a popular Chinese blogger known for creating beautiful videos that feature an idyllic rustic lifestyle. This article will analyze her YouTube channel to see if she effectively communicates with people of other cultures, as many Chinese people believe that she would be an excellent example of Chinese culture to show to the world, also known as cross-cultural output. She exemplifies a peaceful, self-sufficient, and low-waste lifestyle that differs greatly from many modern ways of life. Using methods from the University of Boras, we can analyze if Li Ziqi's videos are successful cross-cultural communication, based on the comment section of three of her videos and the comment sections of some react videos.

2. Context

Li Ziqi is extremely popular with young urban millennials in China. Part of the interest in Li Ziqi may come from the recent idea of *fugu*, which is a movement based around the growing appreciation in modern China for traditional culture (Yang 2020). Her videos are mainly based on food and traditional food preparation methods. She shows traditional Chinese clothing, such as *hanfu*, and skillfully showcases traditional Chinese cooking methods. For these reasons, she can be seen as a promoter of Chinese culture. In an interview with Goldthread in September 2019, Li stated, “I simply want people in the city to know where their food comes from.” In addition to her food videos, she also has videos about hand-made clothes and homemade makeup. Her videos are all filmed and produced in her rural hometown in Sichuan and only feature herself and occasionally her grandmother. Her videos feature many beautiful Chinese landscapes and are beautifully soothing to the viewer. Previously, she lived in a city working as a singer, DJ, and waitress but returned home after her grandfather passed away (Duan 2020). Her Chinese social media accounts have an impressive number of fans, with 22 million on Weibo, and 37 million on DouYin. Her videos are praised for their beauty and ability to idealize the rural Chinese lifestyle.

YouTube is often used to examine a blogger's cross-cultural communication ability. YouTube has over 1.8 billion users every month and is the most commonly used video-sharing site (Gilbert 2019). Some countries have geographic bans on YouTube, and in those countries, they have their local video-sharing sites. However, when looking at cross-cultural communication, the local video sharing sites are not as important as they will not include any interaction with other cultures. YouTube is owned by Google and is used by a high percentage of the population in 91 countries. The application and website are both available in 80 languages, with plans to expand to more languages and cultures. Many popular videos include cross-cultural communication topics, such as people from different countries trying each other's snacks and discussing their preferences. YouTube is the most popular social media in many countries, and the countries with the highest number of users are the United States, Brazil, Japan, India, United Kingdom, Germany, France, Mexico, and Turkey (Migiro 2018). Due to its prevalence in many countries around the world, YouTube is an excellent resource for viewing cross-cultural communication.

The most subscribed-to channels are T-Series with 141 million subscribers, PewDiePie with 105 million subscribers, and Cocomelon Nursery Rhymes with 85 million subscribers. T-Series is India's largest music record label. PewDiePie is a Swedish content producer who began with videos about video games, but he has since diversified his content. Cocomelon Nursery Rhymes is a YouTube channel based in the USA and produces animated music videos for children. Even among just the top three subscribed to channels, it is evident that YouTube is a multi-cultural, global video-sharing platform in many countries around the world. The top 20 channels include Russian channels, Brazilian channels, Korean channels, Spanish channels, and more. As YouTube is used around the globe, it was chosen to examine Li Ziqi's cross-cultural communication and global impact.

Li Ziqi broke a Guinness World Record at the beginning of 2021 (Tee 2021). She is now the holder of the “most subscribers for a Chinese language channel on YouTube” title. Li Ziqi averages 7 million viewers per Video on her YouTube channel with a small production team of three people, including herself. Her YouTube channel has 14.2 million subscribers. This number of viewers and subscribers indicates she is a moderately popular YouTuber. Her YouTube success can be attributed to her peaceful and relaxing videos. The quiet noises of nature and cooking in her videos are soothing, and some viewers comment that they love to watch her videos after a



long day in the office. Her videos are heavily edited, and the resulting visuals are nothing short of artistic. Her channel art is beautiful, and every screengrab looks like an independent film more than a cooking and lifestyle channel. The thumbnail image for each video is like art and doesn't necessarily indicate the content. Strong visuals, however, might interest a potential viewer. Contrasting colors, good use of light to create depth are some of the editing methods that draw in a viewer and create such appealing art. Other ways that she might draw in a viewer are her video titles. Her titles often are longer and include potential keywords that someone might search for, often unrelated to thumbnail art but another possible way to gain more viewers. For example, one of her videos has the thumbnail image of her riding on a horse with a blue dress and a red cloak. The image is striking and may convince a viewer to watch. The video title is "Kumiss and Roasted Whole Lamb", which does not match the thumbnail image, but this could play an interesting role as a viewer could want to understand the connection between the two. A roasted whole lamb is a more commonly found searched-for phrase so that viewers could find her video in those ways. Many YouTube creators have either discovered through trial-and-error or analyzed to determine which time of thumbnail images and titles garner the most views. Many YouTube creators discovered that thumbnails with their images are effective, but titles need to have more information in them. From this perspective, the image where Li Ziqi rides a horse in a red cloak while the title is about roasted lamb is an effective way to attract viewers, particularly new ones. Older fans may simply watch a new video as soon as it comes out, but gathering new fans is also important to a YouTube creators' success. They need more fans and more views, so titles and thumbnail images are important. According to an article by Mint, a YouTube video creator can expect to make between 3 \$ to 5 \$ for every 1,000 views that a video gets (Mint 2020). From this snapshot of her YouTube channels, it is clear that Li Ziqi is effective at gathering interest for her unique videos. Her videos rely on a high level of artistry and storytelling that takes the viewer on an enjoyable visual journey. Due to her videos' artistic and soothing nature, she has many fans who religiously watch her videos and even some fans who watch them every night to relax enough for sleep.

Internet communication is a relatively new form of communication, and we must include notes about the efficacy of this type of communication. Internet communication is most effective when it is reinforcing relationships built by in-person interactions (Kaveri 2008), but it can also be used to build new relationships. For educators, online communication is becoming more and more prevalent, so effective online teaching is critical to adapt to these changes. The seven criteria proposed by Suzanne Young to evaluate the effect of online teaching are: adapting to student needs, using meaningful examples, motivating students to do their best, facilitating the course effectively, delivering a valuable course, communicating effectively, and showing concern for student learning (Young 2009). Internet communication can be used for various purposes, but just like in-person communication, some things facilitate effective communication and things that can lead to miscommunications. When we examine communications that occur online, we must consider the factors that determine whether or not the communication is more likely to be successful or more likely to end with miscommunications.

Cross-cultural communication is defined as communication between people who have differences in nationality, ethnicity, and race. Some broader definitions also include communications between people of different ages, genders, work styles, etc. For this article, we will focus on the more narrow definition of nationality, as we are looking at some traditional aspects of rural Chinese life being shared worldwide. The main roadblocks to effective cross-cultural communication are ethnocentricity, language differences, nonverbal signals, and preconceptions. Ethnocentricity is the idea that one's own culture is normal and other cultures are strange or lesser. Language differences, mainly when someone is working in a non-native tongue, can limit the understanding of one

party and limit the ability to share ideas. Non-verbal signals are things we do with our bodies or faces that mean different things depending on the culture. Preconceptions, also known as stereotypes, are problems that begin before communication has even started. Defining people before even knowing them does not allow for communication to grow as freely as it otherwise could. When we examine cross-cultural communications, we need to be prepared to identify the existence of any of these roadblocks.

Some information about modern Chinese culture is crucial to the understanding of internet stars such as Li Ziqi. For example, idol culture in China is a growing part of many young people's lives. Many people will not only promote their idol on social media, but they also spend their money to support their idol. As reported by *China Daily*, one fan named Lin spent half of her money on "cloud-raising her son," which is an average of 20,000 a year. In 2019, Weibo reported USD 58 million in only the first quarter (Lei 2020). Idol fans will feel they need to protect their idols from those who mean them harm and buy products that their idol promotes. Idols are often required to have a squeaky-clean image, so fans believe they need to protect their innocent idols. This attitude can lead fans to be defensive of their idol and very willing to open their wallets to support them.

Live streaming and bullet chats are more interesting ways that Chinese idols sometimes choose to engage their fans. Idols will live-stream themselves doing their makeup, making food, doing crafts, or even just chatting to the camera. Additionally, comments by the viewers can cross the screen as bullet chats, in which viewers get to engage with each other and the idol. Some apps even allow for monetary gifts to be given to the idol, which some idols will respond to live on their video. These are more channels for communication and more engaging content; however, as these methods of communication are mainly on Chinese apps that have minimal popularity in other countries, we will not be analyzing them for cross-cultural communication. Modern Chinese culture regarding idol and fan relationships is often unfamiliar to those in Western cultures, so this brief introduction aims to serve as a bridge to understanding this topic.

3. Research Methods

A study done by the University of Borås in Sweden found that YouTube comment sections can supply useful information about the cultural-communication value of a channel. They found that one important factor when analyzing a YouTube channel's cross-cultural communication potential is the language and nature of comments in the comment section. The comment part that shares cultural information involves cultural issues, reflection on their own culture and finding common ground, which is the pillar to determine the successful cultural exchange in YouTube Videos (Kim 2019). These findings confirm what most people can guess about cross-cultural communication—the most successful cross-cultural communication is a two-way street where every culture involved in the communication is respected and treated as equal and does not promote the attitude of ethnocentrism. A comment section with more discussion, personal experience sharing, and teaching about cultures will share more information about a culture.

A channel called *The Korean Englishman* is an example of successful cross-cultural communication. Londoners who live in Korea and speak Korean interview Koreans and introduce other people to aspects of the culture. This channel has garnered 500 million views and has videos such as *English people trying Korean food* and *English priest going to Korea*. Their videos are made to educate English people about Korean culture, and the comment section is filled with engaging debates about the differences between the two cultures. The videos are informative, and the comment section is even more informative, as Korean people, English people, and people



from other cultures discuss the cultural differences. The comments on these videos can be classified as *general conversation*, *information*, *impression*, *reflection*, and *question and answer* comments. *Information* comments and *general conversation* comments can be some of the strongest indicators of successful exchanges of cultural information, as well as *question and answer* comments. The comment sections of this channel have many of these types of comments. This video can also be considered successful cross-cultural communication as the viewers and commenters do not often demonstrate an ethnocentric attitude. They do not promote their culture as the best: instead, they appear to be genuinely curious about other cultures. Ethnocentrism is a barrier to successful cross-cultural communication. The study and looking for non-ethnocentric comments are the ways that Li Ziqi's YouTube channel can be analyzed for successful cross-cultural communication.

For this study, we will sample comment sections of Li Ziqi YouTube videos. The comments will be sorted based on the University of Boras's categories. In this way, we hope to bring insights into any potential cross-culture communication done by Li Ziqi's videos. As it would not be time-effective to categorize thousands of comments, we chose to focus on the top 25 comments on several videos. YouTube's algorithms for comment viewing allow comments that receive comments and like to be sorted to the top, so comments that generate discussion will be sorted towards the top. In this way, we can see the comments that garner the most interest and most conversation on her videos, which can allow us to see the communications taking place in the comment section of the YouTube videos. While the less popular comments may hold insights into the cross-cultural communication taking place on her channel, we believe that the top comments will be the most relevant to their research, as these comments will be those with the most interactions.

4. Analysis

An important note before the analysis begins is that Li Ziqi does not state her own goals are to share Chinese culture with the world, nor does she set out intending to effectively communicate across cultures. In her interviews, she states that she wanted to show city people where their food comes from. Based on her popularity with urban Chinese millennials, she has been very successful in this goal. Analyzing her YouTube for cross-cultural communication signaling is simply a method of seeing how her viewers perceive her videos and is not a judgment on her videos or her successes in achieving her goals.

Out of the sampled 25 comments on her "Kumiss and Roasted Whole Lamb," only 1 is classified as an *informative* comment. This shows that the comments on the video are rarely classified into the *information* category, in which someone familiar with the culture is explaining a practice or aspect of the video to someone unfamiliar with it. The Korean channel used in the study had *information* comments which composed over 25% of the total comments. *General conversation* comments are also rarely found on this video. These comments are conversations between viewers that discuss the video and even sometimes conversation with the creator of the video. The rate in the study marked *general conversation* comments at 15.4%. These conversations show that viewers wish to engage with others and learn about the culture together. Out of the 25 comments on her "Kumiss and Roasted Whole Lamb" video, 2 are *general conversation* comments that lead to in-depth discussions. The overwhelming majority of comments on this video were *impression* comments, with 20 comments giving Li Ziqi compliments or expressing interest in the content. For the Korean channel, *impression* comments are the least frequent. The remaining 2 comments were viewers comparing their personal experiences to the content of the video, also known as *reflection* comments.

The 25 top comments on her “Make a peach blossom crown with silk flowers” had a relatively similar comment spread. There was 1 *information* comment, 1 *general conversation* comment, 19 *impression* comments, and 4 *reflection* comments. The information comment that was in the sample was a Chinese speaker who wrote a Chinese and English transcript in the comments, as well as some commentary. The transcript garnered hundreds of comments and is a strong example of cross-cultural communication. The general conversation comment was telling the other viewers a little about Li Ziqi's past. Reflection comments were mainly focused on comparing the lifestyle shown in the video to the commenter's own life, and the impression comments were entirely praising Li Ziqi.

The third video that was chosen for analysis was titled “The life of cucumbers”, and it had 30 million views. The top 20 comments had the following breakdown: No *information* comments, 2 comments that are considered *general conversation*, 21 comments that can be categorized as *impression*, and 3 comments that are *reflection* comments. Similar to the previous videos that we analyzed, most sampled comments discussed the beauty of the videos and praised Li Ziqi for her work. One of the general conversation comments was interesting in that the commenter expressed interest in learning skills from Li Ziqi and noted that they would have to learn Chinese for it.

In addition to our analysis, we also viewed other videos relating to Li Ziqi, and read comments on those videos. While viewing some such material, we noted another barrier to cross-cultural communication. A popular type of YouTube video, React Video, is the video in which the viewer watches someone else watch the video and comment their impressions. React videos can be excellent tools for cross-cultural communication, as they can show someone from one culture seeing another culture and commenting on it, and the viewer might be from a third, unrelated culture. One such react video filmed by Enu Create, a channel that aims to help YouTube creators reach a larger audience, had a negative comment section. Her video mainly praises Li Ziqi and talks about the nature of her videos and some reasons why she thinks her channel has gotten 7 million fans. The comment section is filled with a mixture of Chinese and English comments criticizing Enu Create, saying that she is overanalyzing Li Ziqi's production, asking her to stop, and telling her that Li Ziqi makes videos for art, not for viewers. The comments often are defensive of Li Ziqi and have ethnocentrism attitudes. Her fans idolize her and insist that the culture and skill shown in her videos are the best in the world. A comment section filled with discussions, questions, and information would have shown that the fans of Li Ziqi's YouTube channel are invested in sharing their own culture and learning about other cultures. Whereas Li Ziqi's YouTube fans seem to view her as more of an idol than as a content creator who gives a unique introduction to Chinese culture. The video, as that of 2021, was removed by the creator.

Other react videos, such as one done by Blondie in China titled “My parents watch LIZIQI for the first time”, have a more positive comment section. The comment section was mainly *impression* comments, with viewers expressing admiration for Li Ziqi and a fondness for the father in the video. There are more *information* comments on this video, with viewers explaining some of the foods seen in the videos. The *information* comments seen here are examples of cross-cultural communication that shares aspects of Chinese culture with the viewers of the channel Blondie in China. One reason why the comment section may have more *information* comments is that the three people commenting on the video are English people with limited knowledge of the video. If a viewer has more knowledge than the creators do, they are likely to share that knowledge in the comment section. While the video creator may not read every comment, other people in the comment section can also share the benefit of learning more about the culture. In this way, we can see how to react videos can often be informa-



tive and strong examples of cross-cultural communication, even if the creator themselves does not have a strong grasp of the culture they are reacting to.

5. Conclusion

Based on these criteria for successful cross-cultural communication, Li Ziqi's YouTube channel is not a strong example of cross-cultural communication. Her viewers are impressed by her skills and the beauty of the videos, but there are few cultural discussion, reflection, or question-and-answer style comments. From this analysis, it is clear that the main impact of her videos is not cross-cultural communication, and her viewers do not watch her YouTube videos to learn more about Chinese culture. Her videos, however, still show aspects of Chinese culture even if they do not spark discussion or education on the topic.

Li Ziqi is a content creator whose content positively features Chinese culture, and her videos can be considered cultural output for this reason. Her videos show her way of life, which is an idealized form of rural Chinese life, from clothes to makeup to food. The soothing nature of her videos can take away some of the anxiety and uncertainty that can be a barrier to understanding unfamiliar cultures. She achieves her goal of showing urban-dwellers where their food comes from, and also successfully creates beautiful and relaxing videos that shine a spotlight on some traditional aspects of Chinese culture. The content in her videos mirrors the modern person's hunger for a more simplistic, less-wasteful lifestyle, so she has gained popularity. Li Ziqi is a unique creator who shows interesting parts of Chinese culture, and her videos can introduce aspects to Chinese culture. Her videos do not directly inspire cross-cultural communication, and they are not educational in the traditional sense. Her YouTube channel comment sections and how her fans idolize her show that the main impact of her channel is not cross-cultural communication; however, her videos may have the added benefit of sharing some parts of Chinese culture with her viewers.

However, her videos can inspire cross-cultural communication when paired with additional commentaries, such as a react video. React videos, where people from both cultures come together to discuss material, can lead to a better understanding of cultural aspects. In this sense, videos created by Li Ziqi can be seen as the source material or tool that other creators can use to share parts of the culture. Her videos are beautiful and introduce many ideas, but the lack of language or explanations of what is happening means that her videos are left lacking as a form of cross-cultural communication.

Cross-cultural communication often relies on a form of teaching: both parties must learn more about the culture they are hoping to communicate with to avoid misinterpretation. In that sense, cross-cultural communication that relies on the internet should consider the tenets of effective online teaching. While YouTube videos would be hard-pressed to adapt to students' needs or motivate them, they can ensure the material they aim to share is communicated clearly. For material that would promote cross-cultural communication, some relevant information would be the cultural phenomenon they are introducing, the history and reason behind it, and the impact it has on modern members of the culture. Li Ziqi successfully shares beautiful snapshots of her own life, and some traditional aspects of rural Chinese life, but to an outsider of the culture, the videos may simply be beautiful art as there is no greater teaching or meaning showcased in the video. To create a better opportunity for cross-cultural communication, a video creator could use Li Ziqi's videos as a source material while explaining what she is doing, the cultural significance, and how that relates to modern Chinese people.

In conclusion, Li Ziqi makes beautiful videos that excel at showing urban people an idyllic version of rural

Chinese life. Her videos are popular for their artistic aesthetic and interesting topics; however, when analyzed from the point of cross-cultural communication, her videos are not as successful as other creators. The nature of her videos is to show viewers her way of life, not to explain or introduce things to a foreign audience. There is also little two-way communication between her and her fans, which makes cross-cultural communication more difficult. Lastly, the comment sections of her videos show that her fans are most interested in the beauty and peace that her videos are known for and that most international fans will not begin discussing Chinese culture or be able to interact with her Chinese fans in a meaningful way. Li ZiQi can be upheld as an example of the ideal rural Chinese life. Li ZiQi also attracts Chinese urban millennials, and her videos are excellent at bridging the gap between rural and urban China. Her videos accomplish her personal goals of showing the rural way of life and have a secondary benefit of showing some aspects of traditional Chinese life to her viewers. Under the broader definition of cross-cultural communication, in which urban to rural communications can be considered a form of cross-cultural communication, she is successful at sharing parts of her rural life with her urban Chinese counterparts. From a narrower definition of cross-cultural communication, in which we examine the cultures held by different countries, races, or ethnicities, Li ZiQi's videos do not exemplify a strong example of cross-cultural communication.

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Dynamic Changes of Chinese Calligraphy Concepts and Its Simplification in 3D Animation Space

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Abstract: This paper explores the basic structures of Chinese calligraphy brushwork, its textures, its characteristic forms, and how its strength can be incorporated into 3D animation. It investigates how these structures could create visual simplification and suggest movement. The conceptual difference between realistic rendering and the Chinese calligraphic concept of simplification is discussed. With the help of the Python programmable environment in Maya, the concept of Chinese calligraphy in 3D space and its idea of visual simplification and abstraction are explored. The work demonstrates how the Chinese calligraphic brushwork could suggest the dynamics of motion in 3D space. Some limitations of the Maya emitting process are also discussed. Possible further explorations through additional mathematical adjustments to the selected Maya shader are also suggested to enhance the presentation.

Keywords: calligraphy; brushwork; dynamics; movements

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三維動畫空間中中華書法概念的動態變化與簡化應用

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摘要: 此研究項目借用了中國書法筆法的基本結構、紋理和特徵等形式去研究如何創造視覺簡化和紋理變化的

美感,並製造出不同的動感節奏。此研究選擇了 Maya 軟件的三維空間來示範這些基本概念以及呈現實驗的結果。Maya 環境中的 Python 編碼,可塑性高,它擁有多方面的內置程序和功能,有利於探索和擴展這些筆觸紋理和視覺概念,以便在任何三維空間中使用。此實驗以兩個三維動畫人物來示範三維空間里中國書法筆法概念的應用,通過示範,它展示了中國書法在三維空間中的視覺簡化概念和特有的質感。

關鍵詞: 書法;三維;動畫

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引言

本文探討了中國書法筆法的基本結構、紋理、形式特徵以及如何將其融入 3D 動畫中。通過研究這些結構,了解如何簡化而創建視覺效果。本文討論了 3D 寫實製作與中國書法簡化概念之間的差異,並藉助了 Maya 中的 Python 編程環境,探索 3D 空間中的中國書法筆法得應用及其視覺簡化的抽象概念。示範作品展示了中國書法筆法如何詮釋 3D 空間中的運動動態,還討論了 Maya 環境的內置函數及其限制,並建議任何選擇 Maya 的內置函數,並進行額外調整,以增強演示效果。

一、目的

該項目旨在開發 Maya 三維環境的附加功能(Add-on shaders),該附加功能將中國書法筆法的本質融入三維空間中,以中國書法筆法的簡化概念去示意運動中的動感變化。這些抽象的移動模式可用於輔助三維中運動個體的視覺趣味。結果顯示了此附加功能可將中國筆法的本質用於增強三維動畫構圖的動態趣味。

二、背景資料和文獻綜述

筆墨是東方學術與藝術發展的重要遺產,它包含書寫與繪畫方面東方哲學思維的實踐^①。至今,在新加坡和馬來西亞的華人社區中,仍繼續傳授這項知識及其抽象思維於年輕的一代。東方藝術尋求的主題是精神的表徵,與西方油畫中的現實主義不同^②;它具有簡化的基礎,能應用其錯覺性質來強化圖像的視覺感知^③。初期的電子版的東方水墨筆法多屬二維,為了在繪畫中能重用圖像來提高傳統二維動畫中的輸出,三維繪畫方法的開髮變得更有必要^④。在帕森設計學院(Parson School of Design)的 Weili Shi 開發的項目中,展示了中國山水畫的三維模式及其可重用性。此項目根據曼哈頓市的三維地圖繪製了一張圖像。根據這些建築物的大略比例,將其轉換為大小和形狀各異的中國山水景觀。此外,此景觀模型也加入了中國水墨的渲染和筆墨效果。三維模型的這種可重用性,使對我的項目產生了興趣,進而思考如何以東方書法的抽象形態來開發可重用的三維筆觸^⑤。

目前,西方傳統在三維動畫的商業應用中佔了主導地位,而西方傳統大多采用油畫的逼真和寫實的概念。為了增加對抽象視覺和錯覺力量的研究和開發,中國動畫研究界一直在研究電子版動畫如何應用中華水墨筆法的科學表現形式^⑥。對水墨中的景觀元素及其視覺特徵進行了深入研究;還對渲染效果及其宣紙表面性質進行了數學建構;它涵蓋了墨與水在不同類型的宣紙表面上的擴散特性以及宣紙表面上的干擦效果^⑦。同時,也藉助了 Maya 軟件的改進,在三維動畫中對水墨筆法進行數學建構,擴展了水墨在電子繪畫鄰域的應用^⑧。也通過對三維電子版毛筆的建構,模擬水墨筆觸的運動和壓力變化等的每中可能性,這一系列強大的數學模型^⑨很好地組合的中華筆法系統及其可能與宣紙表面所能表現出的紋理和水墨渲染擴散特性。



在沈氏 (Shen) 的一篇碩士論文中,她演示了中國水墨畫主題“荷花”的三維建構方法;三維建模過程是由 3DMax 軟件完成。她繼續使用電子暗房技術 (Photoshop) 作為電子版繪畫工具演示了各種水墨效果。這個結果構建了具有 Maya 附加功能的三維模型,呈現了令人信服的中華水墨效果的三維蓮花模型。因此,結合當前的技術知識能夠印證中國水墨畫的效果^⑩。她的作品帶有中國水墨和筆法的美感,但仍缺乏視覺動態變化和錯覺效果的表現,只是純粹表現了水墨畫筆的效果。進一步的發展,可以採用她的經驗來展示各種水墨趣味,而另外,也可以結合各種水墨效果和筆觸進行各種氣氛和動態的表現。以下是各種筆法可涉及的變化參數:

(1) 視覺節奏變化 - 形狀,大小,曲率,應用速度,漸變和佈局。

(2) 各種參數所造成的困難:(例如光和陰影)開始與筆觸交互作用時,在三維演示中所產生的動態變化。

上述問題必須通過軟件工程,動畫處理和美術決策之間的協調來解決,而美術決策則包括了對中國水墨作品的抽象本質及其簡化概念的理解。

(一) 電子版水彩畫的最新發展

我們還可以研究電子版水彩繪畫的發展得到一些啟示,因為水彩也使用水作為載體,它與中國水墨畫一樣,在繪畫過程中具是動態的,以下是與電子版水彩畫相關的一些模擬概念和研究的評論,它主要目的是模擬水彩的紋理,如乾筆到渲染等,是簡化的電子版水彩效果的應用。同樣,要填補的不足不只是純粹模擬水彩效果的技術能力,它需要將實際應用時的藝術效果與開發的思維程序聯繫起來,而現階段尚缺乏藝術決策和軟件技術之間的有機聯繫,此問題與水墨筆法的發展相似。從技術上講,沈氏 (Shen) 的模型已經驗證了中國水墨的三維效果及軟件的工程能力^⑪,它具有足夠的實用性,但是,重點還是停在技術模擬上,而必須理解應用時的美術本質。其應用時的精彩應該是其對主題的簡化和錯覺性的抽象美,這些結果要求研究者要對繪畫藝術語言上的有理解,而不僅僅是在技術上的模擬。

另一個模型,也嘗試模擬水彩顏料和水在紙上的動態變化過程,它模擬了筆刷如何將顏料和水釋放到紙張表面。它使用了三層紙的電子模型,第一步是紙張頂部的顏料和水層相互作用,然後顏料沉積在紙張表面,最後被紙張吸收,這個過程增強了實際水彩繪畫過程中水流的動態影響^⑫。另一個模型還模擬水彩的水、顏料和紙的相互作用問題,還加入了各層顏料的光學混合效果^⑬。上述研究論點,處理了水流和顏料遷移的過程,概念似乎可行,但是,視覺效果完全無法令人信服。該研究在模擬中,忽略了筆法和紙張表面相互作用的複雜性。另一種研究模型應用了非照相寫實圖像質感製作法 (Non Photorealistic Rendering - NPR),此 NPR 法採用了柯蒂斯 (Curtis) 的模型,示範水彩或類似墨水和水在紙張上的流動的效果,該模型能夠顯示顏料流動效果,顏料的層次以及顏料與紙張間的相互作用^⑭。

“開發非照相寫實性質感製作法 (Non Photorealistic Rendering - NPR) 沒有一定的方向,需根據繪畫技術的不同,各種元素的曝光以及圖像分析的技術進行,也會隨著時代的要求而改變。對於使用鋼筆、墨水^⑮,水彩筆^⑯,彩色鉛筆^⑰,油畫^⑱等創建的圖像,皆採用了各種不同的方法。”^⑲。

看上述流行的模型^⑲和沈氏的研究結果^⑲,毫無疑問的,水墨及水彩畫的效果是可以被複製的,差距只是落在決策過程中的選項,但軟件的開發更需要的是理解美術上的要求-如筆法和水墨的簡潔之美^⑳。中國水墨畫‘像’的概念不是攝影的‘像’,是指書法的筆法如何暗示主題的特徵^㉑,潘天壽進一步用寫生來解釋西畫與中國水墨畫的不同,西畫的‘像’以明暗為主,求形的準確,而中國水墨畫的寫生是以線條為主,可以不求形象的全似,暗示了用筆與像之間如何形成‘形神兼備’的力量^㉒,同樣,如黃賓虹所強調的,而是風景題材的精神品質,引用了黃的論點,“畫不寫萬物之貌,乃傳真內涵之神。”^㉓。



三、探索過程

在探索中國書法筆法的各種可能性之前,我與本土著名書法和中華水墨大師 * * T 老師進行了一次訪談,以便了解其結構和概念。他分享了理論和實踐上的中華書法和水墨畫筆法的基本應用原理。根據 T 老師的簡述,中國書法培訓有其非常嚴格的訓練過程,在學習書法結構和設計之前,首先需要練習並掌控筆劃。他必須掌控四種基本的筆法,即‘提按頓挫’,簡單理解為:輕的筆觸,筆觸的按壓,如何停止以及知道何時回頭。所有這些筆法訓練都與他書法上的整體流暢性有關。這對於草書尤為重要,因為在草書中,大多數的字在視覺上都是相互聯繫的。這裡有兩個與此次的研究相關的因素;首先時,對筆法的不同要求與書法筆觸痕跡如何暗示各種運動和動感節奏,其次是草書書法中的流暢性。下面列出了幾種的要求:

(1) 在如何在三維空間中製作出書法筆觸的簡略性和靈活性。

(2) 運動筆觸的流暢性

(3) 書法筆法也同時涵蓋了幾個重要的參數:在不同應用條件下筆法的速度,流暢性或有菱角的筆法的運動連續性或柔和性等各種變化,其中,也包括邊緣的變化,以及各種可能形成的紋理。

如基於以上幾點去選擇應用軟件來進行開發過程,Maya 環境已顯示出其優勢,因為它有很多可供探索的內置功能(shaders),它還能通過其 Python 編程界面進行更改和增強其靈活性,並創建新的附加功能(Add-on shaders)。Maya 也具有許多不同紋理製作的內置功能。接下來是選擇 Maya 內置功能中的最合適方法,以便可以在三維空間中製造出更接近實際書法筆觸和水墨紋理的效果。

製作的試驗流程如下:

(1) 首先需找到合適的三維體積來承載生成的紋理,在 Maya 環境中,可使用球體(sphere),圓柱體(cylinder)和粒子(particle)進行了探索。

(2) 最後,Maya 內置功能中的粒子(particle)-由於它具有兩個優點:使用粒子,Maya 可以允許多個放射方向,從而實現更複雜的組合紋理。球體和圓柱體等體積結構的可塑性較差,在其表面上生成的紋理,將無法顯示出三維形式的變化。而且,難以改變三維表面紋理的發散方向,因此,很難創建不同類型的筆觸。

選擇了粒子後,也同時開發了 1 個男 1 女的三維人物,以示範探索的結果。實驗過程與結果如下。

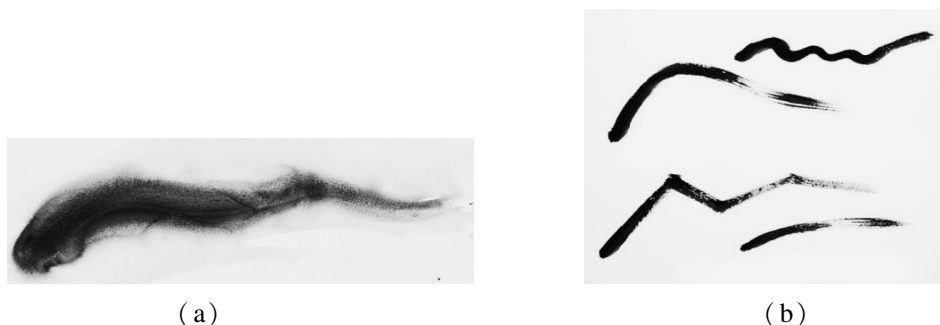


圖 1 (a) 沒有墨跡發散的筆跡, (b) 在宣紙上的渲染效果和筆跡

圖 1 (a) 和 (b) 是幾種基本的中國書法筆法。圖 1 (a) 示出了墨水痕跡如何受到筆刷運行速度的影響,當筆刷高速移動時,墨水痕跡將無法填滿紙張表面,從而產生粗糙的紋理。在中國的水墨畫中的‘皴’^⑨是一種紋理製作法,一般也稱幹筆或乾擦法,通常是結合了墨水濃度,筆的運行速度和各種類型的宣紙表面紋理製造出來的。圖 1 (b) 是另一示例,顯示了通過稀釋墨水或使用吸收性更強的紙面,能產生更柔和的渲染效果;許多更複雜或變化多端的墨跡,也是根據這些基本墨跡衍生和組合來的,因此本項目就以這兩種墨跡為參考。這兩種墨跡也代表了視覺效果的兩個極端;粗糙、尖銳和有菱角的筆觸代表強力、高速、衝動、瞬間停止或任何陽性的效果,而渲染的墨跡和墨韻則顯示出柔軟、緩和、連續性、平滑性等更陰性的效果。

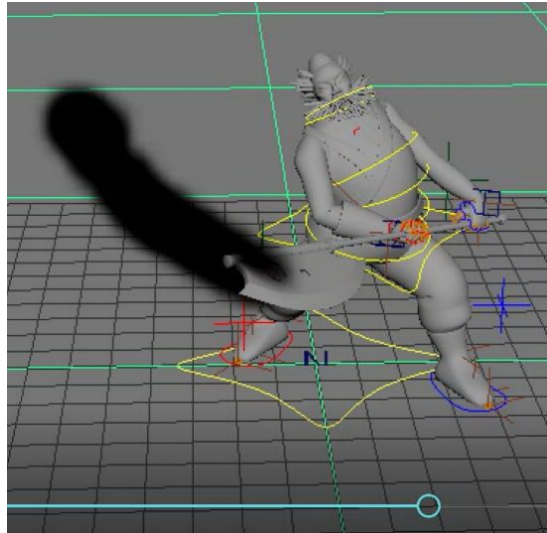


圖 2 使用球體進行筆劃的初步實驗

圖 2 是使用連續的球形和圓柱形體積呈現筆觸的早期實驗結果,最初的想法是在這些體積的表面上構建紋理,但是,有兩個限制;首先,很難在這些表面上擴展和控制其他結構和紋理變化;其次,生成的紋理受到體積結構方向的約束,在視覺上,看起來像較自由的筆觸,因為紋理僅能在預定的體積表面上擴展。另一個想法是增加其他類似於筆法的幾何形體,但是,對第二類概念,其方向的控制就更不可預測了,因此,最後選擇了下面描述的粒子 (particle) 功能。

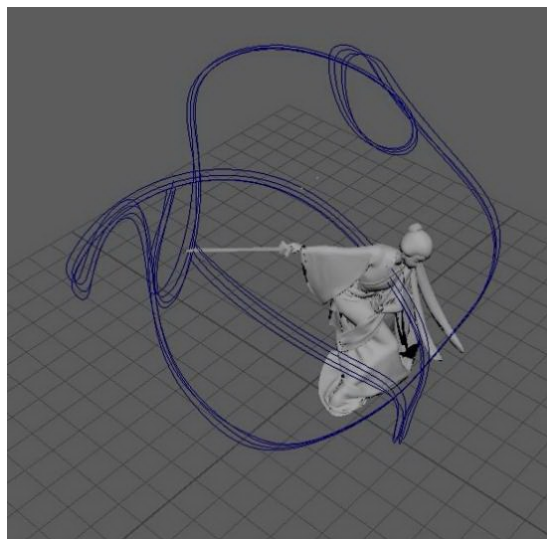


圖 3 藍線表示空間中的多個平行坐標

第二個概念是使用 Maya 的粒子 (particle) 創建筆觸,使用 Maya 粒子有一些優點,首先,每個粒子坐標是一個獨立的個體,它能發散出任何紋理效果,其次,它也可以生成具有特定方向的任何幾何形體,第三,也可以使用一組平行線來創建組合的視覺效果,如圖 3 的藍線所示;如此能形成更複雜的組合;例如,可以改變這組平行線之間的間隔,它們的發散速度和壽命(在畫面中出現的時間),以形成不同的視覺效果,例如清晰度等效果。這些變化不僅能更精確地模擬書法筆觸,也進一步擴展了在時間-空間上的操控,以便製作出各種不同變化。因此,應用此概念能使三維空間中的書法筆法和運動擴展到一個全新的領域。圖 4 顯示了女士劍運動後散發的不同直徑和密度的粒子。

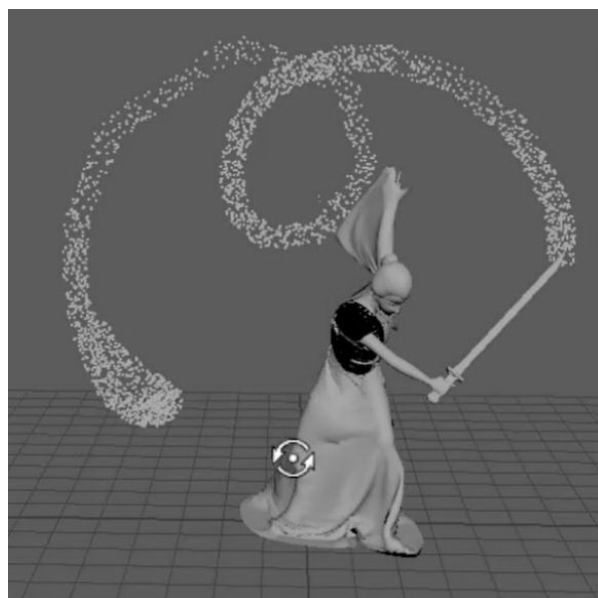
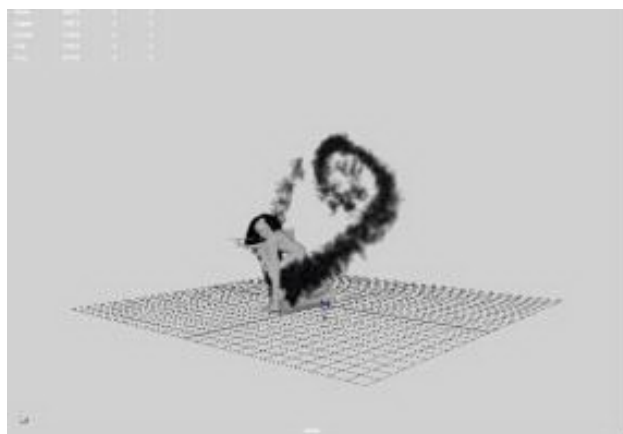
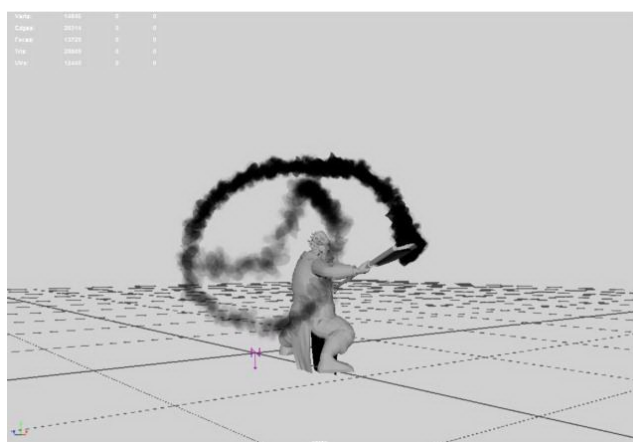


圖 4 沿著女士的劍運動的方向,發出了不同直徑和密度的粒子的演示。



(a)



(b)

圖 5 墨水流動的演示:(a) 女士舞劍的運動和 (b) 男士運斧的運動。



圖 6 粗糙和紋理筆法的演示

通過探索各種 Maya 的內置功能和發射函數,能模擬水墨的渲染效果,如圖 5 (a) 和 (b) 所示,呈現了墨和水的流動性及其渲染效果。粒子還能夠呈現空間的明暗變化,並且可以調節其生成‘壽命’的長短,進一步增強了運動感和流暢性。但是,對於粗糙的紋理,幹刷動作(參見圖 6),第二級發散,過於隨機,方向開始失控,它需要在 Python 編程環境中,對各個參數再進行更多控制,以使發射方向可以更好地與運動方向保持大體一致。

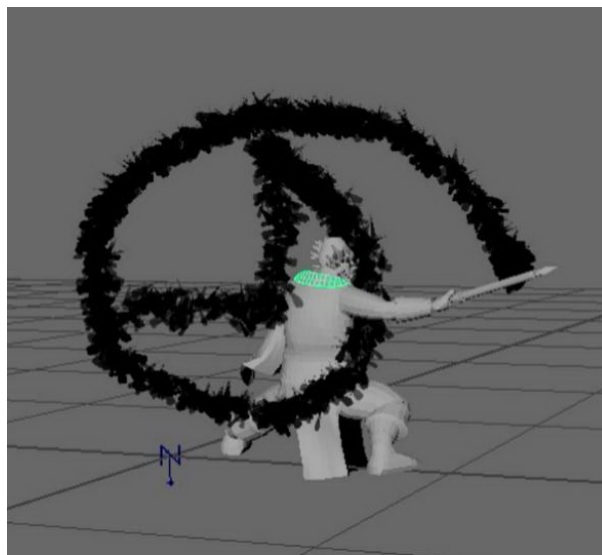


圖 7 對粗糙和紋理筆法的方向加以控制

如圖 7,雖在 Python 編程環境中對筆法方向的參數加以控制了,但仍然有些較隨意的發散,雖然整體改善了很多。至此,中國書法筆法的效果已經在概念上展示了它在運動動作上能輔助呈現運動視覺效果,而不是在 3D 空間中冗長地描繪寫實的視覺感,這應用概念也能被引用到其他任何運動上,產生簡化而有力的視覺效果。



四、結論與建議

Maya 三維環境的複雜性,為擴展其內置功能提供了許多可能性,以在三維空間中實現不同的視覺呈現效果。Maya 的三維空間中的 Python 編程環境允許探索和實驗每種不同的概念和運作方法,這也支持研究群組學習理解每個內置功能或其對三維對象的所擁有的靈活性和局限性。

通過使用中國書法筆觸,能表現出錯覺效果的優勢,並可在三維空間中復制和擴展它的應用範圍,使電子版繪畫藝術可以繼承中國書法的抽象和簡化美;而通過更改這些參數,生成的線條、速度、邊線的柔軟度和紋理效果,也可以很好地呈現不同的視覺效果。該過程在概念上,示範了書法筆法如何進一步簡化三維動畫動態製作的複雜性,不需要一味要求逼真,而仍能為觀者提供不同類型的運動感和節奏感。三維製作還可以提高可重用性和靈活性,尤其是能在空間中以不同視角呈現選擇性動作,表現出最佳的視覺效果。

雖然已經證明了這一概念,但該過程也有其局限性。Maya 環境的粒子允許多階層的重複擴張,可從一個現有粒子的坐標出發,再發射另一組粒子,但建議不要進行過多階層的發射,因其複雜性會產生不可預測性的結果。目前,根據實驗的結果,將其保持在三個階層以下更為穩定。而書法筆法的粗糙質感也未達到最佳狀態,一種可能的解決方案是創建一個更複雜的數學模型來控制第二階層的發散方向;建議的數學邏輯如下:

(1) 首先記錄動作坐標點及其矢量方向,而此組運動的坐標點從那一男一女的三維人物的運動中被記錄下來。

(2) 在二次發射粒子時,每一組粒子所形成的圓錐體的體積可加以控制;為了模擬粗糙和乾擦的筆觸,其長度通常得等大於其寬度的好幾倍,從而形成許多細長的圓錐體。

(3) 為了展示粗糙紋理的隨機性,可以在其長度和寬度上限制其隨機的函數變化,大略數學邏輯如下:
設:

在添加隨機值之前,圓錐的初始長度為: L_0

錐的最終長度為: L

在添加隨機值之前,圓錐的初始底面直徑為: D_0

圓錐體的最終底面直徑為: D

隨機函數: R 介於-1 到 1 之間
空間初始發射角為: A_0

空間中的最終發射角為: A

$$L = L_0 + R(L_0)$$

$$D = D_0 + R(D_0)$$

為了控制發射角度,使其幾乎平行於運動的矢量方向,並保持一定的隨機性水平,添加到發射器向量的角度必須是很小的銳角。例如,可以將發射矢量與 X 度以內的角度相加,並且 X 是不超過 3 度的銳角。因此

$$A = A_0 + RX, (\text{例如: } X < 3 \text{ 度})$$

上面的這些數學控制將允許第二次發散的粒子處在可控制的範圍內,以沿著運動的矢量方向形成粗糙紋理。

此外,在示範中,筆觸和人物皆為分離的元素,而視覺上,運動圖像的實際視覺設計,都需要考慮運動圖像與筆觸之間的互動關係,根據經驗,出現的筆觸會影響三維人物的某些邊線或人物及衣服的動態變化,因此,它們會形成相同關的紋理或空間氣氛,從而顯示出視覺語言的一致性。這些附加效果通常是電影製作過程中的後期製作工作,但是,如果能將圖形元素和筆觸在 Python 程序中設成兩個新的輸入參數,則可以提升此三維編程的可塑性,直接製造較合理的互動紋理關係。



* * 新加坡名書法與水墨畫家,以 T 老師代之。

注釋

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From Western Regions to Asia: On the Geographical Concept of “Silk Road” from the Perspective of Eastern and Western Civilizations

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Abstract: Through the two geographical perspectives of Western Regions and Asia, we can understand the Silk Road in the historical context of comparing ancient Eastern and Western civilizations to more comprehensively investigate the formation history of the geographical concept of the Silk Road. The Western Regions reflect ancient China's cognition of Western civilization, while Asia is the observation and imagination of ancient Mediterranean civilization to the eastern world. In history, the scope of the Western Regions and Asia gradually expanded to outer space, and the extension of the two perspectives was almost synchronous, forming the civilization picture of the Western Regions and Asia in a broad sense. Therefore, the ancient Silk Road is not only the western region road from the east to the west but also the Asia road from the west to the east. The concept of the Silk Road in the modern sense is based on the integration of eastern and western geographical concepts after the 19th century, which also reflects the intersection of Western Regions and Asia.

Keywords: Western Regions; Asia; Silk Road; civilization view; geopolitical order

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從“西域”圖景到“亞細亞” ——論東西文明視域下的“絲綢之路”地理觀

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摘要: 通過“西域”與“亞細亞”兩種觀察視角,立足於古代東西文明比較的歷史境遇,可以更加全面地理解“絲綢



之路”地理觀念的形成史。“西域”體現了古代中國對西方世界的認知圖景,而“亞細亞”是古代地中海文明對東方世界的觀察與想像。在歷史上,“西域”與“亞細亞”的邊界逐漸向外部空間擴展,兩種視角的外拓幾乎同步,形成了廣義西域與廣義亞洲的地理觀念,這意味著古代“絲綢之路”既是由東方通往西方的“西域”之路,也是從西方朝向東方的“亞細亞”之路。最後,19世紀之後“西域”與“亞細亞”兩種視域的融合,也開啟了近代“絲綢之路”文明圖景的建構。

關鍵詞: 西域;亞洲;絲綢之路;文明交流;地緣秩序

引言

晚近學術界對“絲綢之路”地理觀念的研究,一方面注重歐洲地理學家尤其是李希霍芬(Richthofen Ferdinand von)對“絲綢之路”概念的定義以及傳播,並將其看作是近代亞洲地理觀念以及中心交通概念,此視角著眼於“絲綢之路”地理觀所蘊含的近現代歷史、文化以及經濟等領域的意義;另一方面,學者也提出有必要將“西域”等地理空間引入“絲綢之路”研究,形成有新地方性與本土化的“絲路”話語^①,這一研究視角是從中國傳統的歷史地理觀念開拓對“絲綢之路”的認知視野。基於以往的研究視角,本文聚焦於“西域”與“亞細亞”雙重視角對“絲綢之路”的形成史進行研究,這實際上將“絲綢之路”置於古代東西方文明比較的歷史境遇之中加以理解,從而揭示其所蘊含的“世界歷史”敘述。

“西域”體現了古代中國對西方文明的認知圖景,而“亞細亞”是古代地中海文明對東方世界的觀察與想像,兩種視角之間既在地理隔絕中彼此相對,又在歷史演進中相互交融。西元前2世紀以降,伴隨著東西方文明交往的日益加深,西域與亞細亞的邊界逐漸向外部空間擴展,在其後的1600餘年中(至1500年的地理大發現時期)兩種視角的外拓幾乎同步,形成了廣義西域與廣義亞洲的世界圖景。古代“絲綢之路”既是由東方通往西方的“西域”之路,也是從西方朝向東方的“亞細亞”之路,它的形成與變遷是雙向度而最終得以相互融合。近代以降,隨著西方地理觀在中國知識界的支配性地位,學人開始全面接受“亞洲”地理觀,在這種情形之下,晚清學者開啟了對於西域與亞細亞兩種視域的融合與交匯,並最終確立了近代意義上的“絲綢之路”文明圖景。

一、廣義西域的天下圖景:古代中國的“絲綢之路”

天下圖景作為一種古代中國的世界觀念,是由華夏與四裔諸要素所組成的。華夏作為天下文明的核心區,而四裔是對華夏四周各民族的統稱,包括西北內陸的“西域”,以及東南、西南沿海的“島夷”與“西南夷”。西域的特殊性應該置於天下圖景的普適性之中加以思考,隨著西漢以後的中央王朝與西域地方政權的深入交往,西域圖景呈現出不斷向西擴展的趨勢,逐漸由西域內屬國擴展至中亞、西亞乃至羅馬帝國,形成了“廣義西域”的觀察視角,這可以看作是古代中國對歐亞內陸文明主體的認知,同時也形成了古代中國“絲綢之路”的文明圖景。

在先秦時期,通常以“西戎”指代西域。“西戎”強調的是西北地區的部族屬性,而“西域”更強調西北的地理空間屬性。先秦典籍中有大量華夏與西戎關係的記載,這些史料可以反映夏商周時期的基本史實。華夏大體相當於《禹貢》“九州”的範圍,春秋以降,華夏與西戎雖然長期處於緊張的對峙,但又有處於彼此交織的關係之中,從而在文明譜系上不能加以完全分離。故而在古代中國的天下觀念之中,華夏與四裔之間既有文明系統的差異性,但又具備基於血緣與地緣的共通性與一體性。

西漢武帝時(前138年),張騫始通西域被稱為“鑿空”,相當於古代中國對西方世界的“地理大發現”,这也標誌著古代中國“絲綢之路”文明圖景的最初確立。據《史記·大宛列傳》記載,張騫所陳述的西域是以大



宛(帕米爾高原以西的費爾幹納盆地)為中心,並向四方各區域的文明延伸,“其北則康居,西則大月氏,西南則大夏,東北則烏孫,東則扞鯁、於寘”^②。漢武帝時期,在擊潰了河西地區的匈奴部落之後,先後設立了河西四郡,並對西域諸國採取羈縻政策,所謂羈縻就是籠絡之義。而這種對西域的羈縻政策實際上也是為了抗衡匈奴,是漢帝國在國際範圍的合縱連橫。因而,最早西域圖景包含中央王朝對異域文明的“聯合”與“抗衡”兩方面因素,並將華夏為中心的禮儀規範與價值體系向亞洲內陸擴散,構成了天下圖景的週邊與邊界。

西漢以後中央王朝的“大一統”觀念與天下圖景相適應,王朝的統治不局限在設立郡縣的內地,還進一步滲入西域各地方政權,從而也奠定了“大中國”的地理空間格局。《漢書·西域傳》對西域三十六國的分佈有詳細記載:“在匈奴之西,烏孫之南。南北有大山,中央有河,東西六千餘裏,南北千餘裏。東則接漢,阨以玉門、陽關,西則限以蔥嶺。其南山,東出金城,與漢南山屬焉。其河有兩原:一出蔥嶺,一出於闐。於闐在南山下,其河北流,與蔥嶺河合,東注蒲昌海”^③。大體相當於在天山與崑崙山之間的環塔克拉瑪幹沙漠的綠洲地帶,而且都是定居的城郭國,與匈奴、烏孫等逐水草而居的習俗不同。《漢書》輯錄了蔥嶺以西的大宛、安息、康居、條支等國,並對西域各國與長安的距離有非常精確的測量,這反映了當時對西域的地理有較為客觀的認知。而西域都護府的設置為漢王朝管轄西域地區提供了便利。因而,西漢時期的陸上“絲綢之路”不僅僅可以看作長安至西域各綠洲王國之間的交通路線,也包含了政治與文化上的雙重聯繫。

但在東漢時期,中原與西域的聯絡曾一度中斷,西域各地方政權也往往受到匈奴的控制。漢和帝時期(91年),班超被任命為西域都護,其後西域的五十餘國先後成為內屬國,東西方文明交往的通道更加順暢,“其條支、安息諸國至於海濱四萬裏外,皆重譯貢獻”^④。條支也即塞琉古朝敘利亞王國^⑤,條支當時已經被安息(帕提亞帝國)所吞併,而成為其附屬蕃國,但《後漢書》仍沿用條支的地理名稱,因而西域的西端已經到達伊朗高原西部至地中海的東岸。永元九年(97年),班超派甘英出使大秦(羅馬帝國),但僅抵達安息西部的海濱就返回。值得注意的是,《後漢書·西域傳》極為詳細地羅列了羅馬帝國的地理範圍、城邑數量、政治制度、風俗習慣,並記載了166年羅馬皇帝遣派使者到達中國的史跡,“其王常欲通使於漢,而安息欲以漢繒彩與之交市,故遮閼不得自達。至桓帝延熹九年,大秦王安敦遣使自日南徼外獻象牙、犀角、玳瑁,始乃一通焉”^⑥。“大秦王安敦”為161年至180年在位的羅馬帝國皇帝馬可·奧勒留,其全名為馬爾克·奧列里烏斯·安東尼·奧古斯都(Marcus Aurelius Antoninus Augustus),當時羅馬帝國正與帕提亞帝國進行常年戰爭,帕提亞帝國佔領了亞美尼亞與美索不達米亞地區,西域路徑不完全暢通,於是派往漢朝的使者從南部邊疆穿行經日南(越南)到達漢朝,這一記載反映了漢王朝與羅馬帝國兩大文明之間的第一次使節溝通。《後漢書》中記載大秦通過與安息、天竺的海上貿易,另外《梁書》記載東漢末大秦商賈往往到達東南亞的扶南、日南、交趾等地行商。這說明羅馬帝國到達中國的早期路線很有可能是一條經由亞洲南部海岸線的商業路線,在東漢末乃至三國時期,羅馬帝國派出的使節大多從越南抵達中國。北魏建國之後,西域諸國屢次遣派使者來貢,北魏又於437年派遣董琬出使西域十六國,他將沿途所見所聞傳回北魏,進而將西域劃分為四域:“自蔥嶺以東,流沙以西為一域;蔥嶺以西,海曲以東為一域;者舌以南,月氏以北為一域;兩海之間,水澤以南為一域。”^⑦這種劃分擴充了對西域地理空間的認識,北魏時期歐亞之間的大通道也比以往更加暢通,從蔥嶺以西到羅馬帝國的歐亞大陸形成了商賈往來不斷的局面。因而,這顯示了早期“絲綢之路”已兼具陸上與海洋兩種貿易路線。

如前所述,西域與西戎分別指代地理空間與民族分佈而言,在《新唐書·西域傳》與《舊唐書·西戎傳》的內容是相通的,都是對古代西方文明的代稱。《舊唐書》有專門的突厥傳與回紇傳,而西戎傳中的民族不僅包括黨項、高昌、吐谷渾、焉耆、龜茲、疏勒、於闐等傳統西域王國,還包括天竺、康國、波斯、拂菻、大食等中亞、南亞以及西亞王國。而且,直至唐朝,西域是中華、突厥、阿拉伯、印度等多元文明的交匯地,同時外來文化也通過西域影響唐朝,西域各國商賈、流人遷徙往來於長安、洛陽等地,導致西域與唐朝之間的華化與胡化現象十分突顯。進言之,廣義西域的“絲綢之路”是各種異質文明相互交融的地理空間載體,隋唐之後,中華文明也是在充分吸收域外文明的基礎上而不斷演化與更新。

值得一提的是,從北宋到明後期所繪製的古代輿地圖中,可以看到不管是“九州”還是“中國”僅限於長城以內,並不包含漠北地區,也幾乎不包括嘉峪關以西的西域。蒙古帝國的建立使得多元化的西域趨向一體化,元朝的“華夷圖”及“混一圖”則顯示出跨區域的天下圖景,因而不僅僅包括“九州”範圍,還包含了華夏以外的西域、吐蕃、天竺、韃靼等。《元經世大典圖》顯示的西域範圍已經達到賽普勒斯及埃及,這意味著元代實際上已經對歐亞大陸有較為全面與客觀的認知,中央王朝並不強調基於“國界”的疆域觀,而是注重採取“柔遠”與“冊封”等方式確立一種跨越國界的天下觀念。《明史》中既有外國傳又有西域傳,將明朝東部及東南地區的藩屬國、歐洲國家以及北方的韃靼、瓦剌等列入外國傳,而又將烏斯藏(西藏)、西北回部及藩屬國、西亞各國列入西域傳。明代出現的各種西域地圖呈現出新的視野,如嘉靖年間《西域土地人物圖》的西域範圍包括了嘉峪關到歐亞交界的土耳其伊斯坦布爾^⑧。這種廣義西域的圖景影響了清以後的西域地圖繪製。

清代乾隆二十年(1755年),清廷平定了位於西域核心區的厄魯特蒙古准噶爾部,其後纂修的《西域圖志》反映清朝強盛時期的西域觀,體現中央王朝固有的天下圖景,全圖沒有國界線,與疆域範圍的邊緣標示各大藩屬部族和鄰邦。從清中期官修西域輿圖來看,西域的南北範圍是以印度與俄國為界,東西兩端則是從嘉峪關到撒馬爾罕,主要包括中亞地區的哈薩克、布魯特、浩罕、安集延、那木幹、塔什干、布哈拉等地,以及愛烏罕、痕都斯坦、阿勒提等地區。清朝中央政權與西域外屬國所建立的宗藩關係一直持續到清末,隨著俄國在19世紀中後期對西域各汗國的實際控制,對於晚清知識界而言,西域不再是天下圖景中的邊緣地帶,而漸漸成為近代世界體系中“亞洲”的一部分。這也意味對古代“絲綢之路”的再認識,也需要在古代西方地理學傳統尤其是“亞洲”地理觀念的形成中加以重新思考。

二、“亞細亞”地理觀:地中海文明視域下的“絲綢之路”

“亞細亞”(Asia)一詞的起源很早,一般認為是由腓尼基人提出來,指愛琴海以東的日出之地。“腓尼基人生活在東地中海與黎巴嫩山脈之間狹窄的走廊地帶,每天望見太陽下落的餘暉撒在海面上。黎巴嫩山脈的背後是亞述人的天地,西元前9世紀腓尼基併入亞述帝國後,亞述人的語言裏也開始使用這個詞,並承襲腓尼基人在地中海東部的方位觀。”^⑨因而,“亞細亞”體現了希臘對東方的觀察視角,其區域包括小亞細亞半島以及更遠兩河流域和伊朗高原,相應的文明系統為亞述及波斯。而“歐羅巴”(Ereb)指的是愛琴海以西的日落之地,相應於歐洲大陸及其以西。在《漢書·西域傳》中也將條支以西的地區描述為“日入之地”,實際上是歐洲與亞洲交通的樞紐地帶,從條支乘水西行正是經過小亞細亞半島以南的地中海區域,而這與是腓尼基人對歐洲“日落之地”的觀察視野完全相同。可以說,亞洲地理觀念的起源是與地中海這一自然地理分界有關,同時也體現了地中海文明圈對東方異域的地理空間想像。

亞洲觀念隨著歐洲地理觀念的發展而不斷拓展與演變,總體上經歷了古希臘至羅馬帝國、中世紀至文藝復興時期、歐洲地理大發現時期三個歷史階段。這種地理圖景的變革與東西方文明之間日益加深的互動有直接關聯,與廣義西域的形成機制相類似,亞洲圖景也伴隨著歐洲對東方持續的關注而發生視域上的東擴,因而“亞細亞”在歐洲歷史上是一個逐漸生成與拓展的地理概念,並且構成了古代西方對“絲綢之路”的文明敘述。

第一,古希臘時期及羅馬帝國時期擴展了對亞洲地理的認識,標誌著地中海文明圈“絲綢之路”地理觀的初步形成。古希臘歷史學家希羅多德(Herodotus)將亞洲、歐洲及非洲看作是一片大陸,並對大陸邊緣的海洋有重新的認識,“他堅持認為南面存在一個連續不斷的、從印度洋到大西洋的海洋。……他是第一個將亞洲和非洲界限從尼羅河改為蘇伊士地峽的人”^⑩。從希羅多德開始,希臘學者建立了對亞洲的較為系統的知識體系,亞洲的東部邊界也由波斯最終達到印度河流域。隨著亞歷山大的東征,亞洲中部的面貌更加清晰化,“東征所得地理資料,則在埃及之亞歷山大城自成一體系,而以希臘為中心;最值得主義者,為地蓋阿



爾古斯(Dicaearchus)說,謂有東西相貫之大山脈,使整個亞細亞大陸,劃為南北二部^⑩。亞歷山大的東征路線是沿著小亞細亞以及波斯南部到達印度河流域,而東西大山脈可以看作是從黑海與里海間的高加索山脈、伊朗高原北部的厄爾布爾士山脈到興都庫什山以及帕米爾高原的延伸山脈,這些山脈區隔了北方的遊牧帶與南方的定居帶。希臘化王國的建立使得亞洲地理範圍從小亞細亞進一步擴展至中亞、印度河流域。西元前138年至西元後166年,漢王朝先後與希臘化王國、羅馬帝國進行接觸,從歐洲到東亞的地理空間才真正聯結成為“絲綢之路”。

羅馬帝國時期的克勞狄烏斯·托勒密(Claudius Ptolemaeus)的地理學說進一步拓展了對亞洲地理空間的認識,在15世紀末繪製的托勒密地圖採用半球面投影的方式,將平面圖呈現在球面之上。托勒密地圖關於亞洲地理的描繪總共分為十二幅圖,包括小亞細亞半島、兩河流域、伊朗高原、阿拉伯半島及波斯灣、印度半島、中亞東部、中亞西部以及馬來半島等,這反映出歐洲地理大發現之前對東方世界的詳盡描繪。西元2世紀,中國的形象在羅馬帝國學者的亞洲地理敘述之中逐漸顯現,托勒密對亞洲範圍的地理認識擴展到天山與昆侖山之間的塔里木河流域,而其中所描述的東方不僅包括印度,還有被稱為“賽里斯”(Seres)的中國,而Seres的詞源就是“絲”,這可以說是古代對“絲綢之路”最早的描述。劉迎勝認為托勒密《地理志》中所描繪的東方是賽里斯指的是東漢控制下的西域,托勒密所說的奧紮基亞山(Auzakia)為天山山脈的西段,而卡西亞山(Kasia)為昆侖山脈的西段,兩山之間的奧伊哈爾德斯河(Oikhardes)為塔里木河^⑪。這可以與東漢時期的廣義西域的“絲綢之路”地理觀形成鮮明對照。

第2,中世紀歐洲所繪製的世界地圖以及呈現出的亞洲地理觀念受到基督教的影響,並且凸顯了亞洲在世界圖景中的核心地位,也反映出古代西方“絲綢之路”地理觀所蘊含的宗教與文明衝突張力。中世紀世界地圖將耶路撒冷作為世界的中心,而亞洲同時也是伊甸園所在的地方,亞洲在此類地圖上的位置是在上方,歐洲及非洲分別在下方的半圓之中,這提示我們——中世紀的世界地理觀念蘊含著一種以近東的亞洲作為世界中心的傾向。例如中世紀的T-O地圖作為歐洲歷史上最早的印刷地圖,它簡明而形象地勾勒出歐洲、非洲與亞洲的相對位置,在地圖的圓形結構中比較突顯的是上半圓的亞洲部分,下半圓左右兩端分別相應於歐洲與非洲,而“T”形表示的是以地中海、頓河以及尼羅河作為三大洲之間的分界線,亞洲、非洲及歐洲部分分別標示著諾亞三個兒子——閃(Shem)、含(Ham)以及雅弗(Japheth)的名字。他們各自有不同的領土,並且被視為人類的祖先。義大利著名歷史學家維柯(Giovanni Battista Vico)認為其中閃族到達了中亞並轉向東方,雅弗族則到達北亞,含族到達南亞、埃及和非洲,他們背棄其父親諾亞的真教,而成為世界各異教民族的祖先。由此可見中世紀的地理觀念中,亞洲與歐洲、非洲實際上作為《聖經》創世系統下整體大陸的不同部分而存在,但同時亞洲的大部分又是異教民族的生存空間。

亞洲地理觀的拓展在歐洲地理學的演化中呈現出由西向東的外擴,中世紀對亞洲的想像始終帶有異教的投射,十字軍漫長東征史正反映了歐洲對東方異教民族的抵抗與征服。然而,13世紀中葉所建立起來蒙古帝國卻是由東方向西方的開拓,游牧民族打通了中國、伊斯蘭世界與西方之間的界限,在陸路範圍上由中亞深入到西亞,東部邊界與歐洲、土耳其接壤,並且開闢了由中國東南沿海到波斯以及義大利的海上航線,這為歐亞地理空間的聯結提供了現實的土壤^⑫。羅馬教廷與亞洲腹地的蒙古帝國互派使者,歐洲與亞洲兩端形成地理空間視野的融合。而歐洲旅行家對於蒙古帝國統治下的阿拉伯、波斯、中亞、中國等亞洲各地的考察,也極大豐富了文藝復興時期歐洲人對亞洲地理的見聞與想像。例如居住在葡萄牙的猶太製圖學家亞伯拉罕·科瑞斯科(Abraham Cresques)於1375年繪製完成的《加泰羅尼亞地圖集》以及亨利庫斯·馬特魯斯(Henricus Martellus)於1490年發行的世界地圖,都對《馬可·波羅遊記》中的亞洲地理知識有所採納和借鑒^⑬,這也為歐洲15世紀以後的地理大發現提供了必要的全球文明圖景。

第三,15世紀末西方開啟“地理大發現”,歐洲地理觀念受此影響發生巨大變革,由於開闢新航路的最初意圖是探求通往東方的貿易之路,故而早期新航路在一定程度上可以看作是西方“絲綢之路”的自然延伸。哥倫布時代對世界的普遍認識還延續了中世紀時期三分法的陸地觀念——將世界看作是由亞洲、歐洲、非

洲“三合一”所組成的大陸群,因而哥倫布並不將新發現的大陸看作是獨立大陸,他一直誤以為美洲大陸即夢寐以求的亞洲。正如 E.G.R. 泰勒所說,“哥倫布時代仍保留著的正統觀念是:[地球上]只有一片單一有限的,由三部分組成(三合一)的陸地,它被大洋包圍著,並被五個海互交叉穿過。‘陸地’(continent 或 tierra firma)這個字過去曾用於那些組成這塊陸地群的國家。……現代的‘大陸’或‘洲’(Continent)則指一大塊獨立分開的陸地,它是從新地理發現的實質被認識後才開始使用的字。哥倫布這個篤信宗教的人至死仍相信他發現的地方是那塊三合一的陸地上尚不清楚的邊緣部分”^⑤。由此可見,探求通往東方或亞洲的海上貿易航路構成了歐洲地理大發現的動因,海洋既是大陸之間的天然阻隔,又是洲際之間的主要通道,因而“海圖”更強調世界圖景的海洋屬性,並且側重於對海岸線的描摹以及海岸地名的標記,這使得亞洲的海洋邊緣以及外部輪廓在大航海時代得到鮮明的刻畫。大航海時代以後,七大洲的地理輪廓也逐漸清晰化,全球一體或寰宇的地理圖景分化了中世紀的整體陸地的觀念,亞洲也因此成為世界諸大陸中的一個獨立部分,原有僅限於歐亞之間的“絲綢之路”貿易也逐漸變成全球範圍內的洲際海陸貿易。

亞洲觀念在明末被引介到中國,義大利人艾儒略(Giulio Aleni)來華傳教,並在 1625 年在中國學者的協助下撰寫《職方外紀》,其中描述了亞洲的地理範圍及其國家構成:“亞細亞者,天下一大州也,人類肇生之地,聖賢首出之鄉。其地西起那多理亞,離福島六十二度;東至亞尼俺峽,離一百八十度;南起爪哇,在赤道南十二度;北至冰海,在赤道北七十二度。所容國土不啻百餘。其大者首推中國,此外曰韃而韃,曰回回,曰印弟亞,曰莫臥爾,曰百兒西亞,曰度兒格,曰如德亞,並此州巨邦也。”^⑥所謂“福島”即大西洋的加那利群島,在托勒密地圖中以此作為本初子午線的始點。“百兒西亞”、“度兒格”是明朝對“波斯”、“土耳其”兩國名稱的音譯,土耳其在當時是強盛時期的奧斯曼帝國,“如德亞”是猶太人世居地。這種新的地理觀念將亞洲內陸劃分為若干單元:東部的中國、北方遊牧民、中亞回部、南亞印度(莫臥兒王朝)以及西亞的波斯、土耳其,另外包括猶太人居住的迦南等地。晚清的魏源作《海國圖志》也正是按照這種地域觀,將亞洲內陸劃分為西域回部與五印度。早在 16 世紀初期,俄國尚未向東方拓展版圖,而明朝的統治範圍未達到漠北地區,廣闊亞洲的內陸草原為游牧民族韃靼所馳騁,從中國的河西走廊一直到中亞的綠洲地帶則為穆斯林定居區。由於游牧民族曾經統治過中亞等伊斯蘭國家,因而,歐洲對亞洲內陸地理空間的認識存在“東韃靼”與“西韃靼”的認識。

亞細亞的地理觀念觸動了明清之際士大夫的夷夏觀。明末時期徐光啟、方以智、徐應秋等學者留心於西方天文學與輿地學,也是最早引述亞洲地理觀念的中國人。明末瞿式穀認為如果按照《職方外貢》的《萬國全圖》而論,中國只是居亞洲十分之一,而亞洲只佔有世界的五分之一,倘若還是偏居一隅而視外邦為蠻貊,那何異於井底之蛙,他進而指出夷夏的觀念不應局限於地域之別,“且夷夏何常之有?其人而忠信焉,明哲焉,元元本本焉,雖遠在殊方,諸夏也。若夫汶汶焉,汨汨焉,寡廉鮮恥焉,雖近於比肩,戎狄也。”^⑦清初所修《明史·外國傳七》在正史中最早介紹亞洲地理:“意大裏亞,居大西洋中,自古不通中國。萬歷時,其國人利瑪竇至京師,為《萬國全圖》,言天下有五大洲。第一曰亞細亞洲,中凡百餘國,而中國居其一。第二曰歐羅巴洲,中凡七十餘國,而意大里亞居其一。第三曰利未亞洲,亦百餘國。第四曰亞墨利加洲,地更大,以境土相連,分為南北二洲。最後得墨瓦臘泥加洲為第五。”^⑧以上五大洲,以亞洲為第一,歐洲為第二,顯然與《職方外紀》排序有關,但也體現出一種由華夏文明漸次擴展出去的亞洲中心觀念。中國對歐洲的認知在明以前主要體現在正史《西域傳》之中,16 世紀末至 17 世紀初,歐洲在科學方面尤其是實測領域的強盛讓明末士人有所警醒,從而激發其對於西洋天文曆法及地理觀念的接受。清朝中期以前就已在西北地區運用西方的測繪技術進行製圖,康熙皇帝聘請法國傳教士在中國內地大部分地區進行經緯度的測量,並繪製出了《皇輿全覽圖》,這是用西方投影法繪製的第一幅中國地圖。清代對西域的地理測繪是在乾隆時期開始的,隨著對西北准噶爾部的平定先後對新疆地區及巴爾喀什湖以東及以南地區進行了較為全面的測量,設立了 90 多個經緯點,並最終形成了《乾隆內府輿圖》^⑨,其中增不了西域、吐蕃新測繪資料,範圍包括了亞洲全圖,體現了亞洲地理觀對清代西域疆域測繪的影響。因此,作為古代西方“絲綢之路”的“亞細亞”地理觀念漸漸被



清季以後的中國人所接受,而與之相應的世界地理知識也在逐漸改變中國的天下觀念。

三、近代“絲綢之路”的確立:“西域”與“亞細亞”的交匯

晚清中國發生“三千年未有之大變局”,這一變局可以從天下觀或世界觀的角度來理解。學者尤其注重遼金元史傳統以及四裔之學,從關注西北邊疆到邊疆以外的歐亞內陸,在研究視野上由域內轉向域外,他們關注“西北”及“西域”也是近代中國學者“開眼看世界”的最初契機,當時學者將邊疆史地與域外史學相貫通,而開啟對域外地理及世界地理的研究風氣。

而近代意義上“絲綢之路”也隨著東西方的密切交流而最終確立,學界一般認為德國地理學家李希霍芬最早提出“絲綢之路”(Seidenstassen)的地理名稱。近代以後的中國學者引介自俄國及歐洲的“俄屬中央亞細亞”、“土耳其斯坦”、“突厥斯坦”、“亞洲高地”等地理名稱,大體相當於中國古代的廣義西域。而晚清學者開始使用“中央亞細亞”等新的地理概念,並且注意到這一區域在國際新秩序下的地緣特性。“中央亞細亞”被看作是一個獨立的地理空間及文化單元,並且被等同於古代的“西域”,同時也是近代西北史地學所關注的領域。斯坦因稱西域為亞洲腹地(Innermost Asia),也包含了內亞與西域相互嵌合的維度。自20世紀20年代開始,學者又提出“內陸亞洲”(Inner Asia)這一概念,其內涵與中央亞細亞較為類似,海外新清史學派以“內陸亞洲”的視角敘述清帝國的政治制度演變,如果追溯新清史的論述方式,其視角與晚清西北史地學對西域的關注有內在聯繫,歐文·拉鐵摩爾(Owen Lattimore)較早提出內亞概念,其著作《中國的亞洲內陸邊疆》(Inner Asian Frontiers of China)論述以新疆、內蒙古、滿洲、西藏為代表的內陸邊疆的社會形態、歷史演進,將內陸與邊疆間的融合、互動作為一條主要線索。從廣義而論,內亞的疆域範圍與古代絲綢之路相重疊,作為歐亞大陸的核心地帶,也是東西方文明交流的彙聚地,區域內民族特色鮮明、歷史演變複雜。從歷史上來看,內亞秩序的變革不僅僅影響本區域,更有全球性的廣泛影響。實際上,內亞的視角與晚清西北史地學對西域的觀察視域非常接近,也可以說在晚清學者那里就已經形成對絲綢之路與內陸邊疆的普遍關注。

追溯晚清學者對西域及內陸邊疆的關注,自然與19世紀中後期的國際局勢有極大關係。隨著俄國、英國等國在中亞及南亞的勢力擴張,並且謀求佔領瓜分新疆地區,西北邊疆危機日益加重,“西域”再度成為晚清西北史地學所關注的重心。晚清學者宣揚塞防、邊務的邊疆治理方略以及清代開闢邊疆的“聖武”事蹟,其意圖也在於扭轉晚清帝國在西北邊疆岌岌可危的統治,恢復“大一統”的王朝盛世局面。但晚清所遭遇的邊疆危機不同於歷朝歷代的邊患,還需要放在國際秩序演變以民族國家建構的雙重背景下加以理解,受此影響,清帝國的天下觀及西域觀為核心的地緣觀念漸趨瓦解。龔自珍提出“西域置省”的主張正在新國際形勢之下提出的邊疆主權建構理念,也是傳統西域觀向近代亞洲觀的轉型與過渡。

正是在東西方文明激烈衝突的背景下,晚清學者開始將廣義西域與亞洲內陸兩種圖景相互融合,並且重新審視晚清西北地區的地緣變革,這種歷史觀與地理觀的雙重變革可以追溯至魏源的西北史地研究以及對西方地理學的引介。魏源《海國圖志》之中描摹了兩種亞洲地圖:其一是以《元經世大典圖》中元代疆域為藍本,繪製成《元代西北疆域沿革圖》;其二是以近代西方經緯刻度的球面俯視圖為藍本,稱為《亞細亞洲各國圖》。第一種亞洲地圖的外部邊疆以東海、北海、南海、地中海等海洋為邊界,其西域的範圍由新疆到歐洲及非洲的邊緣,但並沒有標示國界,更加凸顯歐亞內陸空間的一體化;第二種亞洲地圖呈現出現代世界地圖的性質,其中所顯示出的海洋並不僅僅有邊界的意義,更主要的是具有了使各大洲交通互聯的作用,有較為清晰的國界與洲際分界。這兩種亞洲觀念在魏源那里並存,這反映出清末西北史地學的兩種歷史敘述:西域史敘述是一種內陸型文明的表述,而亞細亞敘述則是一種內陸與海洋並兼的全球文明的表述,所謂“海國”的稱謂正是一種近代亞洲地理觀的體現。縱觀《海國圖志》全書,魏源對亞洲地理方位以及歷史沿革的梳理,一方面引述《漢書》《後漢書》《魏書》《隋書》《唐書》等歷代西域傳,另一方面輯錄了近代西方地理圖書關於印度洋、印度及其相鄰大陸的記載。他把漢魏唐西域圖、元代西北疆域圖、亞細亞洲各國圖並列,這些不

同的地理知識的來源造成了魏源持有新舊兩種亞洲內陸觀。

由之可見,在 19 世紀中後期隨著世界地理觀念的傳播,當時的士人一方面繼續使用廣義西域來看待近代的西亞地理空間,另一方面又以近代的國際視野將西亞分為若干地理單元。清末學者認為此區域在古代文明中佔據非常重要的地位,為人類文明肇始之地,而這正對應了近代意義上的“絲綢之路”文明圖景。晚清西北史地學者多通過西域的視角考察歐亞國家間的地緣政治,他們論述中國與俄國的地緣問題時,既包含一種古代西域地緣視角,又引入近代西方的歐亞地緣視角,從而形成了近代中國“絲綢之路”的地緣政治視角。西北史地學者同時又是蒙元史研究者,他們關注 13 世紀中期蒙古帝國對中亞的征服與統治,這種統治並不是隨著元朝的結束而瓦解,其後的帖木兒帝國在中亞的統治一直延續至 16 世紀初,而在帖木兒帝國之後,16 世紀中後期至 19 世紀中葉,莫斯科大公國以及俄羅斯帝國的崛起加速了對西伯利亞及中亞地區的擴展。何秋濤《朔方備乘》的焦點就是 19 世紀的“俄國問題”,這一問題與中國北部與西北部邊疆危機有直接關係。他所繪製的“歷代北徼圖”正是關注歷代中國西北邊疆、西域以及烏拉爾山以東亞洲地緣的演變,具有一種古今交匯的視角。在論述俄羅斯民族的歷史起源時,何秋濤認為古代烏孫所處的地緣狀態與而近代俄國非常類似,他作《元代北徼諸王傳》,考證元代時期西北藩國,他注意到當時俄國全境都是在元代藩屬封地之內,並以西伯利亞在元朝時已列入中國版圖。因而,何秋濤判定古代遊牧部族與近代民族國家之間的關聯性,不僅是基於人類學進行論證,而且是有一種地緣政治的視野。從何秋濤的關注點,可以看出晚清西北史地學的視野擴展至小亞細亞半島的歐亞邊界,這擴充了清代中期西北史地學的關注範圍,實際上是從世界地理的觀念來看待西北及西域,而且他在 1853 年至 1858 年撰寫《朔方備乘》時留意到歐洲國家在“土耳其”問題上的分歧。從中可見晚清學者探討西北邊疆與西域問題,實際已經具備一種觀察“絲綢之路”沿線地帶的近代地緣政治觀。

因而,傳統的歷史敘述描述的是東西方帝國之間、遊牧政權與定居政權之間長達數千年的交往與融合,而近代“絲綢之路”的文明圖景則顯示出對全球史觀與國際秩序的普遍關注。民國時期學者朱希祖認為西域作為亞洲“中樞”的地位,其地緣重要性不僅僅對於中國而言,更是對歐亞大陸而言:“西域一地,在吾國常人視之,以為邊疆,無足輕重;而以亞洲全局觀之,實為中樞。蒙古統一亞洲,先經營西域,迨二區在握,而後西征弗庭,前後左右,鞭笞裕如,其明證也。故欲統一亞洲者,蒙古、西域,首為兵事必爭之地,歐亞強國,苟欲爭霸亞洲,此二處必為最要之戰場;然蒙古不過為甲乙二國最初決定勝負之區,而欲控制全亞,與其他各國用兵,必以西域為最要地矣。吾國新疆為西域最要區域,吾國得之,足以保障中原,控制蒙古;俄國得之,可以東取中國,南略印度;英國得之,可以囊括中亞細亞,縱斷西伯利亞。”^①因而,近代中國西域觀向亞洲觀的轉變也體現了天下圖景向全球圖景的轉換。

從“西域”到“亞細亞”不僅僅是東西方觀察視角的不同,還體現了古今史觀的重大變革,這種轉變背後蘊含了全新的地理空間想像。“西域”在《漢書》的原始語境中意味借著對外部世界的渴求與聯合,但“西域”作為一個參照視角始終在發生變化,它既是對一種古代“絲綢之路”中各種文明體系的歷史敘述,也體現了在不同歷史階段中華文明與域外文明的聯繫與區分。而“亞細亞”作為西方對東方的想像,它與歐洲、非洲大陸既具有天然一體性,又有一種宗教及文化上的特殊性,“亞細亞”地理觀在明清之際傳入中國後成與華夏世界觀相融合。近年來中國提出基於“一帶一路”架構的全球治理新思路,其思想脈絡背後體現了一種全球文明之間“聯結”,以消泯從中國西北內陸到中亞、西亞乃至歐洲、非洲各文明區域間的壁壘與隔閡,這種經濟、貿易一體化思想實際上與古代的廣義西域視角有內在關聯性。

注釋

① 參見劉進寶《“絲綢之路”概念的形成及其在中國的傳播》,《中國社會科學》20 年第 11 期;鄒國義《“絲綢之路”名稱概念傳播的歷史考察》,《學術月刊》2019 年第 5 期;劉再聰《“絲綢之路”得名依據及“絲綢之路學”體系構建》,《西北師大學報》(社會科學版)2020 年第 6 期;袁劍《絲綢之路、地方知識與區域秩序——“絲綢之路”的概念、話語及其超越》,《陝西師範

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A Study of the Cross-Integration of Film and Architecture

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Abstract: Film and architecture are complementary to each other. They create a landscape in a specific space dimension, the static “scene” and the dynamic “scene”. Both can create visual effects and space touch. Through comparative analysis and with the help of different concepts in the two fields, this study adopts a new model to achieve breakthroughs in film and architecture to deepen the understanding of their cultural connotation. In this way, it will make film and architecture stay in harmony and contribute to their development, offering more cultural support for social harmony.

Keywords: movie; architecture; artistry; cross-integration

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破“景”重圓 ——電影和建築的交叉融合研究

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摘 要:電影和建築是彼此交叉和融合發展的藝術門類,電影藝術和建築藝術就像是存在於某個空間維度的風景,一個是靜態的“景”,另一個則是動態的。二者分別是以營造可視化效果和空間觸感而建立的。因而,本研究通過比較分析法,借助於兩個領域裏的不同的概念,打破他們傳統的固有模式,使電影和建築兩門藝術門類彼此有新的突破。研究目的是對兩者的文化內涵進行更深層次的挖掘,找到二者交融共生的特性,讓電影和建築在未來領域有更多發展的可能,使得它們為社會和諧共生提供更多元化的人文積澱。

關鍵詞:電影;建築;藝術性;交叉融合

引言

建築和電影都是作為社會的文化產物而出現的,電影是要面對觀眾,建築是要面對居住者,並且都是針



對一定的人群,滿足人們觀感和觸感的需求,並且反映一定的內容。因此二者就不可避免地成為文化研究的對象之一,早前已經有電影建築學領域的出現,但本文主要探究二者的共融性特徵,同時二者既互相影響又各自獨立,又有著在各自領域所特有的特徵,對於建築和電影的研究,有助於未來對新興交叉學科的學習,以及對新媒體技術對空間的改造和創新提供一定的理論依據,更有助於建築和電影的創新和發展。

一、電影與建築的關係

電影作為一種視覺媒介,理解和表達角色內在世界的主要方式是視覺線索,同時裏面會大面積採用建築空間作為背景鋪墊,電影在運用建築空間的時候,事實上它是通過建築來承載對於電影中的人物形象、以及他心理、生理、性格和社會諸多因素的隱喻和詮釋。在電影中不同的人物角色表達上,需要有不同的空間來襯托出身處空間中的不同人物。因此,在電影表達上,不僅僅有視聽和視覺語言,電影往往比建築所使用的形式語言更為複雜,並具有無法比擬的優越性。並且也只有在電影中才可以捕捉到動態的鏡像效果,對於熱衷於電影的發燒友來說,有一個真相是,在幾乎不同類型的電影中,建築永遠是不變的主題,“流水的電影,鐵打的建築”似乎涵蓋了電影的全部題材。建築作為電影故事情節展開的場所和框架,它對於電影的重要性遠遠超過了對於電影的其他敘事手法。比如很多年前的科幻電影裏的場景和建築,多年後在現實生活中這些建築就真的存在於我們的現實生活中,那些科幻電影裏的一些建築跟普利茲克建築獎獲得者建築師紮哈·哈迪德的建築風格如出一轍,例如她的作品辛辛那提當代藝術中心(如圖1、2)。因此,電影裏的幻想主義和未來派建築就有很大的類似之處。

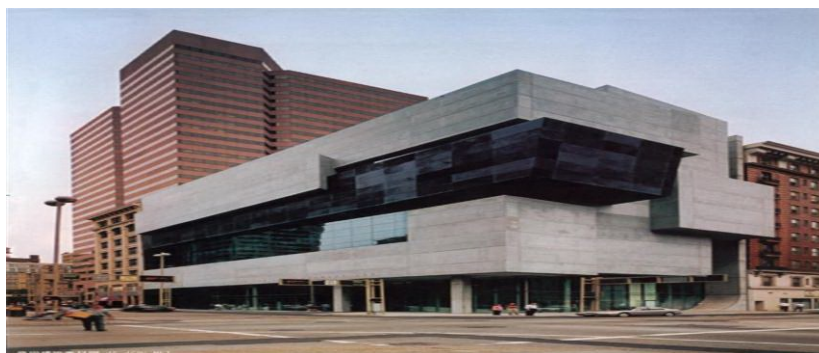


圖1 紮哈·哈迪德的辛辛那提當代藝術中心建築外部

(來源:<https://baike.baidu.com/item/紮哈·哈迪德?fromId=1179804>)



圖2 紮哈·哈迪德的辛辛那提當代藝術中心建築內部

(來源:<https://baike.baidu.com/item/紮哈·哈迪德?fromId=1179804>)



我們在研究電影和建築時,不能只瞭解他們單獨存在時的概念,而是要知道兩者有一個共同的母體就是美學。二者的藝術形式是有獨立性的,但同時他們二者也不可分割。除了它們的藝術共通性,電影和建築文化也同樣不可分割,電影是研究城市文化的很好依據,不同國家拍攝的電影都會展示各自國家的特有建築,美國拍攝的電影就會以自由女神像以及摩天大樓作為電影主題背景,而在中國香港,可能會以維多利亞灣的香港匯豐大廈作為拍攝取景,“電影其實是一組圖片在一定的頻率下連續放映產生的視覺效果。真正產生電影的空間、時間、情節等等的是人的大腦,通過大腦對於視覺和聲音信息的認知建立起來的”^①可見建築是電影空間的一個基調;那麼從人的主體角度來看,建築的空間、時間、內涵,不僅僅是簡單地通過神經系統被認知的視覺和聽覺,還有觸摸感、氣味等,而這個是在電影裏無法涉及的感知感。“只有當人和建築互動的時候,才會產生。對於一個建築空間來說,如果僅僅是簡單地從人的視覺考慮的話,也只是由一系列的圖像在視網膜上的成像來被眾人所識別的,只不過存在的真實感是接近無窮大的。”由此可見,建築和電影的區別在於互動性的真實性存在,這是區別於虛擬現實環境中的互動性和畫面的真實性。

對電影來說,畫面和場景都是連續的,時間也隨著畫面場景變化而進行時間穿越,這裏的故事就是畫面本身。而建築不存在於場景的變化,它的空間隨著建築本身一直持續著,可以說這個建築在進行著時間的凝固,很明顯兩者的區別就在於一個是“靜”,一個是“動”,這種靜態和動態的變化會發生轉化。

二、空間中的建築表現

無論是地球上的生物,和廣袤的無垠的太空宇宙,一切都存在於空間中,自古以來,人類透過各種媒介去感知周圍的空間,存在於這個空間內部,並且思考著自己在空間內部發生的各種行為活動,甚至隨著思考的加深,在逐漸改變這個世界,以此滿足更多人們日益進化所需要的不同需求。受空間限制,但又同時由反作用空間具備改造空間的能力。建築大師阿爾托說:“老的東西不會再生,也不會消失,曾經有過的總會以新的形式再次出現。”^②這種新的形式的再次出現其實就是指的創造,空間也就使人類的建造行為產生了意義。更具體地說,人類所創造的空間都是為了滿足生理和心理需求而創造的,建築就是把人可以集中在這個空間內部進行生產和生活的中樞空間,而建築本身充滿著實用性和藝術性。儘管我們可能往往會忽略掉跟我們密切相關的居住空間,但不可否認建築空間影響著我們,並且一定程度上決定著人類的精神活動。人們從建築空間中滿足了生理、心理上的需求,並且更高層次的建築空間甚至滿足了人們精神上的審美。雖然這種審美情趣很難有言語去詮釋,但可以肯定的是,審美情感和對美的認知大部分是從空間衍生出來的。雖然直接從藝術理論的角度,還不能真正表達建築空間所存在的價值,但從使用的實用性來看,空間的合理使用理毫無疑問是學習建築學的目的。

建築大師路易斯·巴拉幹曾說:“我相信有情感的建築。‘建築’的生命就是它的美。這對人類是很重要的。對一個問題如果有許多解決辦法,其中的那種給使用者傳達美和情感的就是建築。”^③由此可見,這給我們展示了建築的存在不僅僅是在我們存在的三維空間中,是立體的,它同時是物,也是有感情的,這個感情賦予了建築超脫於物存在的另一個維度,即心靈的維度空間,而建築藝術本身就是這個維度空間的中心。在各種藝術中,唯有建築能賦予空間以充分完全的價值存在,建築空間的內部用來容納很多人和物,要想從中獲得美感的體驗和安全感,只有建築才能提供。建築師布魯諾·賽維認為,“建築在藝術領域中處於一種相對卑微的地位,其原因在於大多數場合下,建築物事實上被當作雕刻品或繪畫作品那樣來評價,也就是當作單純的造型現象,就其外表進行表面的品評,使建築學永遠只能從屬於雕刻與繪畫的範疇,丟掉了建築獨特的重要的本質特徵。而這種本質特徵就是空間,唯一使建築有別於所有其他藝術的特徵就在於空間。為了使建築學獲得獨立的地位與體系,唯有將建築作為藝術化了的空間來進行理解。”^④由此可見,建築本身的唯一特性就是空間性,這是與其他藝術門類不太一樣的特徵,可以說建築是藝術化的空間。

弗西倫說道“建築藝術本身深藏的獨特性在於其內部體量,建築藝術通過賦予這個特定的空間以確定

的外觀,而創造了其獨自的天地。更大的妙處還在於一種反轉的空間概念的創造,人總是在每樣物件的外部進行活動的,他總是處在其外,若要進行任何表面之內,他就必須把它打破才能進去。建築藝術則在所有各種藝術中獨具一種特權,不論是建造住宅、教堂或室內空間,都有不是為了蓋一個使用方便的空處而已,倒是要構成一個內部世界,其空間與光線是按幾何、按力學、按光學等規律來衡量,這些規律包含於自然界事物的秩序之中……”^⑤理論上來說,如果把空間當做是建築的核心,建築本身通過空間形成外部和內部的交合,來表達它存在的意義,以及用自己媒介的身份幫助人們去感知世界,那麼建築所形成的空間,它的存在,是符合人類生存得以延續所必備的條件。但是如果只當它是靜止的物質化存在的產物來看,那是荒渺難稽的。無論是現實空間,還是虛擬空間,建築都是物質和精神二者相結合的必然產物,這一點從人類的文化藝術史上就不難看出,建築存在的文明和人類文明的進化同樣年久。

三、電影中“景”的表現

斯坦利·庫布裏克說:“銀幕是一個如此神奇的媒介,它能傳達情緒與感情的同時仍然饒有趣味。我想這是任何其他形式的藝術無法企及的。”^⑥銀幕的每一幀畫面就像一個風景一樣,我們在看景的同時,也會身在其景中。因此電影中的“景”的藝術形式是多元化的一個綜合體。在電影這門動態的藝術裏,時間和空間是同時存在的,電影要想延續,需要時間上在畫面故事裏的塑造,空間則是電影運動的一個延續。電影的藝術思維是決定於電影空間的一個決定性因素,電影的動態意識隨著社會的各種綜合因素的變化,也推動了電影空間思維的變化和發展。

由於電影藝術相比於其他藝術形式,年代較新,電影發明後,有很長的一段時間,人們只是把它看作是一種記錄現實的手段,因此算是一門比較年輕的交叉學科的藝術門類。電影中的“景”,其實特指的是電影當中的虛擬空間,基本是影像三維與銀幕二維平面的虛實結合體。電影畫面的空間感,是由於畫面的平面構圖和人的視覺所產生的幻覺交叉複合所造成的。電影製作者必須圍繞銀幕二維和三維交叉結合的特性,通過電影的空間思維,實現電影畫面動態影像的營造。包括電影中的風景位置,人物所處的位置,人物的對白和人物的表情等等形態來進行空間影像的接近真實的表達。而電影的這些所謂的“景”,我們把它成為電影中的空間形態,其實有點類似攝影,但又有不同。而電影空間與其他藝術形式,比如建築、攝影、繪畫、塗鴉等造型藝術的質的不同就在於電影具有運動性,可以說電影是一個流動的藝術。

同時,電影中的“景”,也可以說是指電影的心理空間,這個是內化的,就是電影中人物情感化了的無形空間。這種心理空間,不再是在現實生活中所感受的那種直觀可以言喻的,它是根據電影中的劇情安排所展開的那種心理暗示的複雜情緒的表達,是電影中人物塑造的內心變化和現實中觀眾對人性空間所認知的某種推測。心理空間的畫面,雖然可能感受到的只有鏡頭,人物的語言和人物的行為,以及電影中所營造的空間氛圍,但是也只有這樣的場景,才能讓觀者感同身受,理解電影場景中人物心境。這種心理空間從某種程度上也會逐漸上升到哲學的角度,通過心理空間而傳達人物要表達出的某種意識,宣揚某些理念,引導人們思考。無論電影中是以景引理,還是借景傳理,都是主觀世界的理性認識,像有關隱喻、象徵、比擬、雙關、對比、暗示和一切理性蒙太奇鏡頭的畫面空間,都具有觀念空間的性質。

四、電影和建築的融通共生

令人震撼的心理活動體驗、身臨其境的視覺特效以及我們回味無窮的故事情節,是電影的空間藝術帶給人們的直觀感受。建築靈活合理的空間佈局和光影的視覺衝擊,結合宏偉或具有美學意義的造型效果,是建築帶給人們的藝術享受。電影和建築都各自具有獨特的時空數據結構。建築中的空間被認為是死氣沉沉的靜態元素的存在,只是三維空間中的一種物理測量。而電影往往是時間軸心來描述事物的發展方

向,在影片中加入空間變化的元素,可以讓人更直觀地感受電影的魅力。電影被建築師作為一種表達建築平面圖的工具,讓人們從多個角度更清晰、更方便地感知建築的美感。而建築在電影中也被用來營造一種特殊的場景氛圍,給人們更多的情感心理暗示。

電影中的時間與空間進行複合,構成電影整體的支架。電影空間,給螢幕以具體的真實表現和空間形式感受電影的時間。然後,給螢幕形象和空間形式以運動屬性和生命力。如果拋棄電影中的時間元素,螢幕裏的內容世界就會隨著支架的斷裂而崩塌。在電影進行創作中,只要我們藝術形式表現研究重心在空間的內部,都將直接導致支點的偏移,功能的改變和風格的變異。這也與當代電影在時空範疇上的審美走向有關。電影是記錄和揭示現代科技手段的物質運動的手段,電影藝術是運動的藝術,是物質和精神運動存在的必然產物,那麼,如果你放棄空間,也失去了空間運動的連續過程,即失去了電影本身存在的意義,電影將失去生命的光彩。

據形式美法則創造出來的建築空間自身的美感。現代建築引入了時間的元素,構成了建築的“四維空間”。“四維空間”建築概念的誕生,創造了建築的時空藝術。所謂“時空”即時間和空間,我國著名建築學家沈福煦曾提出過“一個比較完整的建築需要進行形式、功能、時間和空間四個基本要素之間共同發展組成”的理論。我國著名建築學家沈福煦曾提出過“一個完整的建築需要形式、功能、時間和空間四個要素共同組成”的理論。^⑦一個建築的生命和人的生命一樣,它存在於世界上的時間畢竟是有限的,但是又跟人類的有限生命不太一樣,建築並不會死亡、不會隨建築本體的坍塌而消散的是建築的精神。另一方面從藝術角度來看,不同的建築在不同時刻帶給人們的體驗感受也不一樣。建築以一天或一年為時間單位,通過光影、植物和環境的變化,給人以不同的視覺和其他藝術效果。例如日本著名建築師安藤忠雄的成名代表作——光之教堂(如圖3),因在教堂其中一面朝陽的牆面上開了一個十字型的洞,而營造了特殊的光影效果,尤其是在原先黑暗的空間裏,突然從外部射進來十字的光,給人一種震撼和純淨。建築的造型簡潔大方,利用了一天的光影效果提高了建築的表現力,很多電影中也借鑒了安藤忠雄的設計方法,通過建築光影營造空間帶來的神聖感。

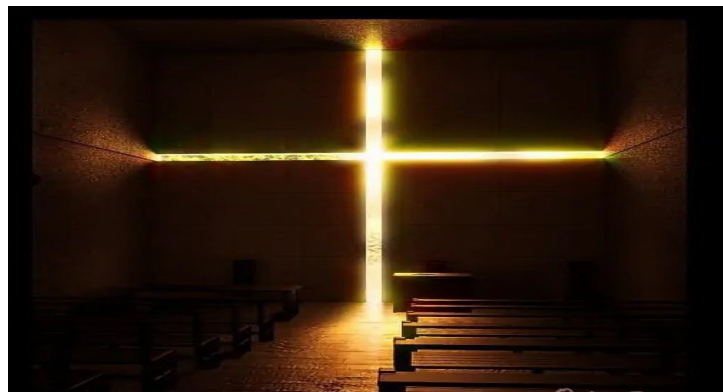


圖3 安藤忠雄《光之教堂》

(來源:網路 https://www.sohu.com/a/329269537_120084557)

結語

電影界與建築界的交流活動日益頻繁,電影與建築的碰撞也產生了越來越多的火花。一部電影不能由一個導演來塑造,一座建築不能由一個建築師來建造,好的導演和建築師不能局限於他們自己的藝術圈,藝術需要與藝術交流。在這個世界電影和建築企業已經上升到一定的高度,也可以說中國已經發展進入一個瓶頸期的時代,這兩種藝術的對話我們可以通過讓我們跳出那些問題已經老舊的被視為常規的束縛,從一個嶄新的角度進行重新瞭解電影與建築。

因此,建築的設計就像電影的製作一樣,所以電影和建築可以融合並共存是有道理的。建築的造型和空間感可以給予電影穿越的魅力,而反過來建築也可以對電影進行截取和意識營造鋪墊,通過影像技術的整理和重構走進大眾視野。世界有很多建築,我們本身並沒有時間去領略它的建築風采,更多的是通過電影的媒介而瞭解和認知。因此,當這兩種綜合藝術的大師們如此深入地融合在一起時,他們就成為公共藝術不可或缺的一部分,成為一種更具生命力的新綜合藝術。

注釋

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- ⑦ 沈福煦:《中國建築史》,上海人民美術出版社 2015 年版,頁 20。



On the Chinese Dream from Practical Wisdom

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Abstract: The Chinese Dream is the rational pursuit of China’s social development, the overall perception, discrimination, and insight of the current Chinese social situation, and the manifestation of the Chinese spirit. Targeting the realization of all-around personal development and the construction of a harmonious society, the “Chinese Dream” integrates theoretical and practical rationality, embodies the unity of illustrating the world and changing the world, and is the unity of practice and wisdom. Based on Aristotle’s practical wisdom, the interpretation of the scientific connotation of the “Chinese Dream” will help us understand the theoretical purport of the “Chinese Dream” from its source and essence, which is of great significance for strengthening the socialist construction and promoting the construction of a harmonious society in the new era.

Keywords: Chinese Dream; practical wisdom; Chinese spirit

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論“中國夢”的實踐智慧

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摘 要: “中國夢”是對中國社會發展的合理性追求,對當下中國社會情景的整體感知、辨別與頓

悟,對中國精神的彰顯。以實現個人全面發展和構建和諧社會為指向的“中國夢”,融合了理論理性與實踐理性,體現了描述世界和改變世界的統一,是實踐與智慧的統一。立足于實踐智慧,解讀“中國夢”的科學內涵,有助於從根源和本質上認清“中國夢”的理論旨趣,對於加強新時期社會主義建設和促進和諧社會構建具有重要意義。

關鍵詞:中國夢;實踐智慧;中國精神

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引言

實現中華民族偉大復興是近代以來中華民族最偉大的夢想。“中國夢”是對近代以來中國歷史的深刻總結,是對中華民族偉大復興的形象概括,是新時期黨的思想理論建設的重大創新,是馬克思主義哲學基礎上科學與價值的統一,標誌著黨對新時期社會主義建設的認識進一步深化,是新時期指導社會主義實踐、構建和諧社會的指導方針。為推進這一重大理論的研究,本文擬從實踐智慧角度探討“中國夢”的科學內涵,希冀為新時期社會主義理論建設提供一些建設性意見,並以此求教於學界同仁。

一、實踐智慧概述

實踐智慧是從實踐的角度探討智慧和人之間的關係。從歷史上看,最早提出這一思想的是蘇格拉底和柏拉圖,而最明確論述這一概念的哲學家是亞里斯多德。在蘇格拉底和柏拉圖那裡,“德性就是理性(logos)”,實踐智慧指的是知識與德性的統一,實踐智慧就是一種有德性的知識或有知識的德性。在《尼各馬可倫理學》中,亞里斯多德明確提出“實踐智慧”這一概念,並區分了人類認識事物和表述真理的五種能力,他在肯定實踐智慧的本質是踐行的同時,也指出了其不同於普遍性知識的特點。在亞里斯多德哪裡,實踐智慧和理論智慧同屬理智德性。其共同之處在於,二者均可以在普遍性的層面運作,關注實踐判斷的真實性,以及構建行動的普遍規則。其不同之處在於,實踐智慧還可以在特殊性的層面運作,將普遍規則應用於生活的具體情景,去確定正當的行動。實踐智慧表徵了那些知道怎樣生活得更好的人,是一種走向善的行動趨向,具有技術傾向所缺乏的道德意識,而且實踐智慧和道德品性是一種互惠關係,後者保證了前者在目的上的正當性。

此外,亞里斯多德區分了純粹科學、技術或應用科學與實踐智慧的區別。一方面,純粹科學研究的是不可改變的東西,而實踐智慧研究的是可改變且能夠改變的事物;純粹科學追求的是單純的真理,實踐智慧關注的是人的具體生活,追求人類生活中最大的“善”。另一方面,實踐智慧與技術或一般的應用科學在本質上也有所不同。技術的本質是製作或生產,而實踐智慧的本質是踐行;技術是工具或手段,其目的存在於製作或生產之外,實踐智慧的踐行本身就是目的,它關心人類自身的價值和意義。“實踐智慧既不是科學,也不是技術。它之所以不是科學,是因為踐行的領域是可以改變的;它之所以不是技術,是因為踐行和製作種類不同。所以結論是,實踐智慧是一種與正確計畫相聯繫並堅持正當行為的踐行能力,而這種踐行的物件是那些對善或不善的事物。因為在製作時在自身之外尚有別的目的,但踐行卻不會是這樣,因為良好的踐行本身就是目的。”^①

綜上所述,實踐智慧也就是實踐領域的智慧,是那些對人類有益或有害的事情採取行動的真實的、伴隨著理性的能力狀態,它既不同於理論領域的理論智慧,也不同於製作領域的技藝智慧。實踐智慧以意識的



形式內化於人同時以技藝的形式外顯於實踐過程,在目的上展現為“理應做什麼”的價值關懷,在過程上突顯為“理應如何做”的理性探求,正是在解釋世界與改造世界的相互聯結中,智慧被賦予實踐的品性,同時實踐也擁有了智慧的內涵。

二、“中國夢”的理論建構是理論理性與實踐理性的統一

在現實的實踐之中,實踐智慧首先體現人與世界的互動。一方面,人以不同的方式認識世界,另一方面也在不斷地改造世界,正是在解釋世界和改造世界的過程中,完成了主體的建構,化自在之物為為我之物。在此,解釋世界與“是什麼”相關聯,內含了人對世界的經驗知識,是一種理論理性的表達;改變世界則內含了“應當成為什麼”的價值關切,主要是一種實踐理性的體現。相比之下,在實踐智慧中,“是什麼”的理論理性與“應當做什麼”的實踐理性獲得了統一;理論理性為實踐理性提供現實的根據,而實踐理性則為理論理性提供價值引導。與之相聯繫,認識世界與改造世界也獲得了辯證的統一,認識世界為改造世界提供理論前提,而改造世界的歷史需要則為認識世界提供內在動力。簡言之,“以變革世界的實踐關切接引對世界的理論解釋,以解釋世界的理論觀念範導對世界的實踐變革,構成了實踐智慧的內在特點。”^②

“中國夢”記錄著中華民族從飽受屈辱到贏得獨立解放的非凡歷史,承載著為開創中國特色社會主義道路艱辛探索的偉大歷程,展現了中國特色社會主義前程似錦。“中國夢”的提出是建立在對中國近代歷史發展規律和社會主義建設經驗的科學總結之上,有著深刻的歷史淵源。中華民族曾經創造了令世界歎為觀止的世界文明,但是鴉片戰爭之後,中國逐漸走向衰落。“中華民族的偉大復興”不僅是恢復中華民族曾經的輝煌,更是在歷史的基礎上不斷創新和取得新的更大的成就。復興是針對曾經的衰落而言的。正因為我們有過往日的輝煌,也有過曾經的屈辱,所以才會有復興的宏願。正是在總結歷史發展規律的基礎上,我們才提出了復興的夢想,對歷史的深刻總結是夢想提出的理論前提;同樣,為實現中華民族的偉大復興美好願望也為我們更好的總結歷史、展望未來注入了新的活力。以實現中華民族偉大復興的改革實踐接引對中國近代歷史的深刻解讀,以中國近現代史發展規律的理論總結範導偉大復興的實踐變革,體現了理論理性與價值理性的統一,體現了新一代黨的領導人的實踐智慧。

三、“中國夢”的價值關切是個體理性與整體理性的統一

首先,亞里斯多德指出,實踐智慧既體現於了解何物對自我是有益的,同時也涉及“合乎邏輯的、真實的能力形態”,並以此“為人的利益而行動”。^③同時,實踐智慧應該指向“一種好的生活”,並關注“總體上的有益生活”。^④在此,合乎邏輯體現了實踐的理性品格,而“為人的利益而行動”則內含了實踐的價值訴求,它以改造世界並使之合乎人的發展需要為目標,體現了說明世界與改造世界的內在關聯。同時,基於存在的本源價值,亞里斯多德認為,具有實踐智慧的人更加善於考慮“總體上的有益”,而不僅僅限於特定的利益。

習近平指出,我們要時刻傾聽人民呼聲、回應人民期待,使發展成果更多更公平惠及全體人民,持續改善民生,打好復興之基,共築中國夢。從“貧窮不是社會主義”到“共同富裕”,從“發展是硬道理”到“全面建成小康社會”,幾十年來,發展經濟、改善民生始終是黨和政府的重中之重,黨中央始終把“不斷實現好、維護好、發展好最廣大人民的根本利益”放在各項工作的首位,將人民的利益作為各項工作的出發點和落腳點。“中國夢”的提出,新一代黨的領導集體,以中國最廣大人民的根本利益為行動原則,以改善民生為宗旨,將全體人民的“有益生活”貫穿於全面建設小康社會的始終,旨在使全國人民過上“一種好的生活”,實現全體人民的共同富裕,既體現了實踐的理性品格,同時也內含了實踐的價值訴求,是理性與價值的統一。

其次,實踐智慧在價值目標上主要體現為成己與成物。成己是指個體的自我完成與群體的價值實現,成物旨在化自在之物為為我之物。以成己與成物為內容的實踐智慧,內含了“應當做什麼”的價值追求和

“為何應當做”的價值追問的辯證統一。在不同的社會背景下,實踐智慧的目標指向往往有所不同,在社會領域,主要是關注個體的完善與群體價值的實現。

“中國夢是民族的夢,也是每個中國人的夢”^⑤,個人夢和國家夢有著內在的聯繫,個人的奮鬥離不開國家,個人夢的實現離不開國家夢的實現;同時,國家夢的實現又有賴於每一個人把自己的聰明材質和創造力最大程度的發揮出來,個人夢是國家夢的重要組成部分。“中國夢歸根到底是人民的夢,必須緊緊依靠人民,必須不斷為人民造福”。^⑥同時,“生活在我們偉大祖國和偉大時代的中國人民,共同享有人生出彩的機會,共同享有夢想成真的機會,共同享有同祖國和時代一起成長與進步的機會。”^⑦在此,“中國夢”既關注國家的富強、民族的復興,也注重個人的全面發展,在成就祖國偉大夢想的同時也成就個人的夢想,而且最終目的就是為了實現個人的全面發展,體現了價值追求與價值追問的辯證統一。

四、中國夢的路徑選擇是工具理性與價值理性的統一

實踐的目的決定了實踐的方向和途徑,方向與價值取向相關聯,體現的是價值理性,而途徑則與方式方法相關聯,更多的體現為一種工具理性層面的考慮。在實踐智慧中,二者呈現為彼此交融的形態,二者之間的溝通過程同時也是根據目的選擇手段的過程。亞里斯多德說:“實踐智慧使我們選擇正確的手段。”“沒有實踐智慧,選擇就不可能正確,正如沒有德性,選擇就不可能正確一樣。”^⑧因此,我們可以說,目的與手段的溝通過程就是實踐智慧在思維過程中的實現過程。同時,目的中的價值原則暗含了普遍性的內涵,而手段的具體運用則與特定的情境相關聯。實踐目的的實現無疑需要普遍性觀念的引導,但是,由於實踐行為主體所處的社會環境不同,實踐的背景和境遇也是變動不居的。因此,如何實現普遍的原則規範與具體情境的協調溝通,是需要訴諸於實踐智慧的。在實踐智慧中,一般原則的抽象性和教條化得以揚棄,在特定的情境中獲得具體的內涵與特定品格,同時,經驗的自發性和盲目性得以克服,在一般的原則下獲得自覺的品格。如亞里斯多德所說:“實踐智慧不僅考慮普遍,而且考慮特殊,後者由經驗為人所熟知。”^⑨黑格爾也認為,“為了能夠實現,善還必須得到特殊化的規定。”^⑩在此,特殊化同樣蘊含著普遍原則在具體情境中的現實化問題。伽達默爾在論及實踐知識時也提到實踐知識是“針對具體情況的,因此它必須把握‘情況’的無限多的變化”^⑪可見,實踐智慧具有溝通一般原則與具體情境的內在特點。

實現“中國夢”必須堅持走中國特色社會主義道路。中國特色社會主義道路是中國共產黨人在總結革命和建設經驗的基礎上,將馬克思主義基本原理與中國實際相結合而提出的發展戰略,是由我國的具體國情決定的。新時期,小康社會的全面建設,和諧社會的構建,有著巨大的發展機遇,但同時也面臨著巨大的挑戰,沒有現成的模式可用,也沒有可供參考的實踐經驗,要實現中華民族的偉大復興,只有結合中國自身的具體國情,走中國自己的道路。新一代黨的領導集體,堅持走中國特色社會主義道路,堅定理論自信、道路自信、制度自信,為實現中華民族偉大復興而努力奮鬥的實踐表明,“中國夢”作為普遍觀念,其抽象化得以揚棄,在中國特色社會主義道路中獲得了具體的內涵與特定品格;同時,在“中國夢”的規範指引下,也使得中國道路避免了自發性和盲目性。以中國夢為規範引導,以中國道路做實踐路徑,體現了新時期黨的決策的實踐智慧。

五、“中國夢”的實踐主體是主體理性與交往理性的統一

在談到實踐智慧的特點時,亞里斯多德指出:“那些理性的形態都可能被遺忘,而實踐智慧不可能被遺忘。”^⑫理性的形態與具體的知識經驗相聯繫,實踐智慧則表現為“知的能力”,它形成於現實的實踐過程,同時內在於實踐主體之中,具體化為人的存在規定,制約和影響人的實踐過程。同時,實踐智慧呈現出綜合的特點,包含有多方面的內容,首先就是與德性相關,亞里斯多德曾經指出:“實踐智慧是一種德性。”^⑬這裡的



德性既有本體論的意蘊也有價值論的內涵,既可理解為與人同在本體論規定,也呈現出一種善的品格。

就實踐過程而言,它需要主體之間觀念上的溝通與理解,行動中的協調與配合。實踐目標的確認,實踐計畫的制定,在實際行動之前都屬於觀念層面的形態,與之相關的一致和共識也屬於觀念層面的溝通。要實現這種溝通,既需要宣導者的引導與說服,也需要參與者的理解與接受,而這些都是以認識世界和變革世界之間的關聯為前提,以實踐主體之間的溝通為基點。另一方面,在實踐過程之中,面對複雜多變的實踐環境,如何採用恰當的方式方法以協調不同實踐主體的行動,同樣離不開實踐智慧。以溝通“應當做什麼”與“應當如何做”為內容,它是協調實踐主體活動的內在依據。可見,無論是觀念層面的理解與溝通,還是行動中的協調與配合,都內含了實踐智慧。

“實現中國夢必須凝聚中國力量”,中國力量是各族人民大團結的力量,是 13 億中華兒女的力量,對中國夢的實現具有根本性和決定性。中國夢是億萬人民的夢,需要全社會的共同參與,需要各階層的同心同德。習近平指出,“中國夢”歸根到底是人民的夢,必須僅僅依靠人民來實現。為此,黨中央指出“要堅持黨的領導、人民當家作主、依法治國有機統一,堅持人民主體地位,擴大人民民主”,“要隨時傾聽人民呼聲、回應人民期待,保證人民平等參與,平等發展權利,維護社會公平正義”,同時“要鞏固和發展最廣泛的愛國統一戰線,加強民主黨派和無黨派人士的團結合作,鞏固和發展平等團結互助和諧的社會主義民族關係……最大限度團結一切可以團結的力量”。^⑭以上各種原則和指導方針顯示了黨在新時期的建設中始終把人民群眾的利益放在首位,體現了黨堅持人民群眾是歷史主體的唯物史觀,同時,為協調發展過程中的不同利益主體之間關係而採取的各種發展戰略,實現了“做什麼”與“如何做”的溝通,為協調各種利益關係提供了內在依據。“中國夢”的提出為不同主體之間的觀念溝通提供了思想支撐,同時保證了不同利益主體之間的協調與配合,而這些都是在實踐智慧的指導之下做出的正確決策。

結語

綜上所述,以實現個人全面發展和構建和諧社會為指向的“中國夢”,是在總結中國歷史發展的基礎上對中國未來社會發展的合理性追求,是對當下中國社會情景的整體感知、辨別與頓悟,是對中國精神的彰顯,融合了理論理性(認識功能)和實踐理性(意志功能),體現了認識世界與改造世界的統一。其中,既包括“做什麼”的價值關切,也內含“如何做”的理性判斷,既關注“是什麼”理論追求,也注重“怎樣做”的價值追問。基於發展的理念,“中國夢”既關注社會經濟的發展,同時注重中國自身的特殊國情,將普遍的理論指引與具體的情景分析相結合,展現了獨特的方法論取向。同時,作為德性與能力相統一的中國夢,始終以人的存在與發展作為本體論前提,內在於人並與人同在。可見,中國夢的理論旨趣,意在將價值取向、知識經驗、行為方式和存在者融為一體,最終形成為統一的觀念性形態並凝結於中國人心目中,並通過特定的實踐方式協調不同利益主體之間的行動,為實現中華民族的偉大復興提供思想基礎,它具有實踐與智慧的雙重品格,是實踐與智慧的統一。

注釋

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② 楊國榮:論實踐智慧,中國社會科學,2012年第4期,頁6。

⑤⑥⑦ 習近平:在第十二屆全國人民代表大會第一次會議上的講話,人民日報,2013-03-17。

⑩ 黑格爾:《法哲學原理》,商務印書館,1961年版,頁137。

⑪ 伽達默爾:《真理與方法》,上卷,商務印書館1960年版,頁26。

⑭ 習近平:在第十二屆全國人民代表大會第一次會議上的講話,人民日報,2013-03-17。

Research on the Current Situation of Rural Cultural Practice: A Case Study of Villages and Towns in Nanyang City, Henan Province

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Abstract: Rural revitalization has been carried out in an all-round way across the country, but in the vigorous development, people feel it very difficult. At the same time, the government points out that cultural construction is the soul of rural revitalization. This paper thus studies the current rural cultural practice, hoping to offer some ideas and measures. In this paper, literature review, participation in expert reports, participation in rural planning projects and rural research are the research methods. It suggests that the construction of rural culture should stand at the height of planning villages and townships, take the cultural development of the whole area as a whole, and construct the idea of the interactive development of industry, agriculture and culture. In the construction of philosophy and sociology, daily etiquette activities must be constructed and forged as habits. Cultural activities should be a necessity of life, just like a religion, because they can help stimulate the people's cultural awareness and inherit the cultural traditions. Government should take the rural community management as a tool to strengthen the party-masses co-governance.

Keywords: cultural construction; rural revitalization; rural culture; cultural practice

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新時代鄉村文化實踐現狀研究 ——以河南省南陽市鄉鎮為例

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摘要: 鄉村振興已在全國全面展開,但在大力發展生產和創業的同時也倍感艱難。同時黨也指



出文化建設是鄉村振興的魂,本文以此為契機研究鄉村文化實踐的現狀,希望為文化建設找到一些想法和措施。本文以查閱文獻資料、參加專家報告會、參與鄉村規劃專案與鄉村調研為研究手段。最終建議:鄉村文化建設應站在村、鄉、鎮、縣規劃的高度,統籌看待整個片區鄉鎮的文化發展,構建產業文化互動發展和產業抱團發展的思想;在哲學與社會學建設方面建議將日常禮儀活動和傳統習俗變為習慣。通過開展週期性和程式化的文化活動,讓文化活動成為生活的必須,讓文化禮儀成為一種信仰,希望借此可以激發全民的文化自覺,繼承和發揚優良傳統文化;政府部門能運用鄉村未來社區的管理概念來加強黨群共治。

關鍵詞:文化建設;鄉村振興;鄉村文化;文化實踐

一、鄉村文化的定義與解釋

鄉村文化應該是包括物質文化和非物質文化兩部分組成。物質文化方面比如:村莊的選址、格局、建築風貌、街巷、吉祥物以及自然景觀等。非物質文化包括傳統手工藝、飲食文化、傳統禮儀、傳統節日、祭祀、民俗、傳說故事、詩歌等。如紅白喜事、廟會祭祀、地方戲曲、傳統藝術、傳說諺語、民間禁忌等,這些紮根於鄉村土地的文化類型隨著歷史的變遷和地域差異而變化,展示出多種多樣的具有農家韻味的鄉村意境。鄉村文化既有抽象無形的一面,比如村落社區中的集體訴求、交往原則、處世態度、行為習慣等;也表現為有形的物質層面,如民風民俗、典章制度及特定器物等。它是農民生產與生活的過程中,逐步形塑發展起來的一種思想觀念、心理意識和行為方式,以及種種作為物質存在的文化產品。而村落的自然生態、倫理本位的社會模式、士紳階層的協調模式構成中國傳統鄉村文化的基礎。^①

本文的鄉村文化實踐活動研究主要是針對非物質文化展開。

二、國內研究現狀分析

研究較深入的有北京師範大學王靜(2010年)發表的碩士論文“傳統節日民俗文化在文化軟實力提升中的作用”具體的表述了傳統節日文化的內涵、種類及提升文化軟實力的措施。措施包括:1.傳承和創新傳統節日文化;2.加強道德教育;3.將傳統節日文化資源融入到新產品開發中形成節日產業鏈。^②文中他對道德教育和傳統節日文化產業開發的措施列舉了許多條例,鋪展得較深入。

江陰職業技術學院王濤(2019年)撰寫的“淺談舞龍舞獅運動文化的傳承與價值”,提到傳承舞獅舞龍習俗對弘揚傳統文化有積極的作用。^③北京體育大學呂韶鈞教授(2008年)發表的論文“民間舞獅習俗與中國傳統文化探微”重點探源了舞獅文化的形成、發展與中國宗教文化、地域文化以及民俗文化的關係,它對提高民族凝聚力,維護祖國和諧統一有堅實的文化根基作用。^④山西師範大學張紅霞(2018年)碩士論文“村落社會、民俗事象與文化展演——隴中郭山村的社火研究”以甘肅通渭縣郭山村的社火展演為個案,從“社火作為民間小戲”、“社火作為民俗事象”、“社火作為文化展演”三個理論層面出發,通過節日情境、儀式過程、內容構成、文化功能、現代新變與傳承危機等展開,較為深入地探討了隴中社火的文化內涵、地域特色及存在現狀,並為社火的當下傳承與保護提供了理論參照依據。^⑤

以上研究更多是站在哲學與社會學的角度來分析傳統文化的傳承與發展的意義,並提出了一些措施。

三、關於鄉村生活與文化活動的描述

（一）古代鄉村生活

通過歷代對田園生活的詩句可以一窺古代的鄉村生活：

晉 陶淵明《歸田園居》種豆南山下，草盛豆苗稀。晨興理荒穢，帶月荷鋤歸。

唐 李白《下終南山過斛斯山人宿置酒》暮從碧山下，山月隨人歸。卻顧所來徑，蒼蒼橫翠微。

宋 翁卷《鄉村四月》綠遍山原白滿川，子規聲裏雨如煙。鄉村四月間人少，才了蠶桑又插田。從這些詩句可以看出古代的鄉村生活真是山清水秀、炊煙嫋嫋、魚米豐盛、悠然自得，非常的愜意。

（二）改革開放初期鄉村生活

改革開放初期，在湖北筆者的記憶中的農村就是人們在一起嗑瓜子、聊天、打牌；或者是聚在村口、道場打穀子、曬穀，有石磨、石碾子；或者是插秧、開拖拉機、拉黃牛、推獨輪車，那時人們相互幫助，互相借工具，一起勞動。還有在水塘裏洗衣服、洗菜、刷馬桶，小孩們摸魚摸蝦。平時，人們放牛、放羊，上隊裏去修路、修堤，或作木匠、瓦匠、篾匠等。婦女們在街巷裏的拉鞋底、繡枕頭、打毛衣。小孩們一起玩著過家家或躲迷藏。大型傳統節日有扭秧歌、舞龍、舞獅子、踩高蹺、劃旱船等，還有古裝扮相遊街，有小姐、公子、媒婆、小丑等。過年拜年最熱鬧了，大年初一各家戶戶桌子上擺上茶水、香煙、瓜子、糖果等著村上的人來拜年。村裏婚喪嫁娶也是熱鬧非凡。偶爾晚上還跑上十幾裏地跟著鄉親們去聽戲或去看電影。

四、當前南陽市鄉村文化建設方面存在的問題

（一）鄉村生活現狀

鄉村環境舊的村落大部分破損嚴重，基本無人居住，人煙稀少。新建的村落有些是新舊混雜，有些雖然建有完好的新農村，可是也是無人居住。村裏歷史傳統文化建築，或是閒置任其破敗或是成了家禽的養殖場。大部分農田、莊稼地也無人耕種，幾乎荒蕪。文化站和文化廣場欠失維護，也已經破敗。村裏溝河雜草叢生，污水橫流。塑膠垃圾四處散落，有電線亂拉、小廣告滿牆的現象。

人們的生活方式也發生了轉變，村裏基本都是留守兒童和老人，常住人口占少數。村裏人員流動較單一，孩子都上來學校，年輕的都看著手機、刷著抖音，老年人三三兩兩聚在一起打牌或聊天。除了婚喪嫁娶，其他民俗活動舉辦越來越少，有些乾脆就流失了。

隨著社會經濟的發展城市建設的加快，進城務工人員的有增無減，資訊的大量氾濫，鄉村文化在歷史浪潮中逐漸褪去原有的色彩，呈現出了新的樣貌。許多的民間文藝和非物質遺產也逐漸遠去。逢年過節走親訪友和宗族活動減少、婚喪嫁娶也簡化、市場化。文化站的公共文化服務不是注重實效，只做面子工程，應付檢查。文化活動的題材也是魚目混珠，缺乏文藝性、知識含量和積極向上的正能量。^⑥

（二）分析原因

1. 重視程度不夠 人們只顧著解決生活、生產上的困難，如村村通公路、最低生活保障、廁改、危房改造等問題，把主要精力放在了追求經濟增長上，而有意或無意地忽視了基層文化的建設。

2. 文化傳承欠缺 重缺乏民族文化的自信與自覺。傳統的禮教活動地沒有被好好繼承下來，因為快捷的生活節奏，加上老一輩文化人的過世，文化傳統逐漸被人們遺忘，許多的儀式禮儀都被簡化。崇洋媚外思想



的影響和改革開放，曾一度貶低傳統禮教，使之更加惡化。

3. 管理不完善 村傳統的家族化族群居住形式發生了改變，人員遷徙流走和遷入的現象太普遍，傳統家族和族群結構發生了改變。在村部管理方面，族長話語權的流失加劇了家族禮儀活動的流失。新的村部幹部有些自身文化修養、眼界和追求就不高，缺乏追求高文化的責任和對傳統文化的熱情。不能盡職盡責，淪為應付，存在“檢查一股風”。

4. 人才欠缺 統文藝表演人才出現斷層，青黃不接，表演創作人員多數都是 60 歲以上的，傳人難覓，人們對傳統曲藝的欣賞與愛好也被流行歌曲和電視取代。部分曲藝面臨滅絕，需要傳承。村部小學、中學和文化站缺乏文化活動的帶頭人。上級的傳統文化宣講活動普及率和頻率也不高，經常是一股風，沒有長久性。

五、新時代鄉村文化發展的現狀與機遇

（一）國外經驗借鑒

黨對鄉村建設的指引從最初的“新農村”建設到“美麗鄉村”建設，到現在的“鄉村振興”。我們不僅要產業振興同時兼顧文化振興，兩個一起抓，相互帶動。國外鄉村振興的做法：

1. 日本政府提出了“造鄉運動”，目的就是為了保護農村地區的非物質文化遺產和重新帶給鄉村以活力，在“造鄉運動”中，各地紛紛推出地、產、人、景、文化相結合的活動，將本地文化融入到鄉村中的各個方面，把單一的第一產業轉變為鄉村整體的多元文化產業，推廣“一村一品”。

2. 上世紀 70 年代，韓國的科技水準已經具有一定的實力，而由於政治動亂，朝鮮戰爭、國民經濟波動等原因，使韓國國民的生活倫理水準——勤勉、城市、節約、自助、協同等受到嚴重的挫敗。城鄉加大差距，農業瀕臨破產，於是政府通過一種具有感召力的活動——以勤勉、自助、協同為基本精神，要求農民振奮起來，勤勉、自助與合作，官民一體建設家園。將原先潛在的國人倫理水準引發出來，就釋放出了無窮的能量，這種具有感召力的活動，就是後來眾所周知的韓國“新農村運動”，它是以教育、培養、激發國民的進取、向上精神，依靠自身的力量創造一個民族團結、人民富裕、環境優美的新農村。中心內容就是提高國民的生活倫理水準保持其與國民科技水準一直，通過人力資源的開發來建設新農村。^⑦

日本把單一的鄉村第一產業轉變為整體多元的文化產業，推廣“一村一品”。韓國通過教育、培養、激發國民的進取、向上精神從而產生生產力。這些都是很值得國人借鑒和學習的。

（二）目前南陽鄉村文化建設的成果

從鄉村的文化建設方面來看，近幾年來，鄉村文化事業雖取得了一定的可喜發展：

1. 文化基礎設施建設比較完善：具備初級的農家書屋、綜合文化站、文化廣場、體育健身場、籃球場等。
2. 文化工作取得了一定的成績，群眾自娛自樂文化活動開展的有聲有色，廣場舞、腰鼓隊、健身操、棋牌室等。文化站組織的文藝活動也有一定的發展，每年都有大型的活動。有戲曲下鄉的戲劇演出、影視下鄉的電影活動。市婦聯邀請名家和講師定期也舉辦的公益課堂和道德講堂。
3. 南陽各鄉鎮還建有紅色主題廣場，宣講社會主義核心價值觀，名人、勞模宣傳欄，弘揚正氣，及時傳播黨的新政策。湧現了一批助人為樂、孝老愛親、敬業奉獻好人好事。

六、新時代鄉村文化實踐活動策略

（一）新時代鄉村文化發展方向與目標

弘揚主旋律和社會正氣、培育文明鄉風、淳樸民風、保護傳統文化村、延續名俗名風。深入挖掘中華優

秀傳統文化蘊含的思想觀念、人文精神、道德規範，結合時代要求，推進中華優秀傳統文化的創造性轉化和創新性發展。有力推動全鎮道德文明建設。培育和弘揚社會主義核心價值觀。農村文化建設的好壞，關係到國家發展大局。加強農村的文化建設，改善農村文化面貌，讓群眾更好地享受社會主義建設的成果，實現文化奔小康。

（二）新時代鄉村文化實踐活動具體策略

1. 民俗文化的產業化發展

（1）產業文化互動發展戰略

根據一村一品的思想，週期性開展民俗文化活動，將其市場化操作，大力進行市場開發，豐富民俗文化內涵，促進民族文化與當地旅遊的結合。將中國傳統生活方式與現代生活方式相結合，結合新技術、新媒體，傳承傳統手工藝，挖掘文化符號，繼承傳統文化活動，展示多元文化活動，宣傳鄉風鄉俗，演繹民間故事。打造民俗旅遊專案，大力發展非物質文化遺產的表演，圍繞民俗文化表演製作新媒體，民俗文化也可以結合直播、VR 進行網路宣傳。開發當地的康養特色，帶動相關旅遊服務產業的發展。在發展一二三產業融合中也就豐富了當地村民的生活，也就是產業帶動文化、文化激發產業，產業是體，文化是魂，文化——產業——文化這種良性的迴圈互動可以極大的提高人們的物質和精神財富，實現人人都有事可做，人人都有角色可演，盤活農村的人力和技術資源，使他們為鄉村振興服務，真正實現民富村強的夢想。南京大學研究城鄉規劃的羅震東教授在做專題報告時介紹了貴州石阡縣樓上村發展民俗旅遊的成功案例。通過充分挖掘樓上村的村史和當地的山體、水系、動物等，向外地遊客展示當地的植物、建築等歷史風貌的由來，演繹當地的生活習俗和民俗活動，吸引了較多遊客，成為網紅。^⑧

（2）村、鄉、鎮產業鏈抱團發展

對於有特色的鄉村產業應該通盤考慮，全局統籌，一起帶動式發展，形成產業鏈。將產業鏈劃分為多個層級級別，由村部帶動鄉、鎮，或是鎮帶動村部，抱團發展，即：居民點文化站（行政村、中心村級）——鄉級（鄉級文化站）——鎮級（鎮級文化中心）抱團發展。

2. 開展每日程式化的家庭禮儀活動和週期性的習俗、民俗活動

根據韓國新農村的經驗，發展農村先從思想上武裝自己，“將原先潛在的良好的國人倫理水準引發出來，就會釋放出了無窮的能量”。

（1）開展每日程式化的家庭禮儀活動

發揚“朱子治家格言”的古訓：黎明即起，灑掃庭除，要內外整潔，既昏便息，關鎖門戶，必親自檢點。一粥一飯，當思來處不易；半絲半縷，恒念物力維艱等等，進行每日的家庭活動：內務清潔，頌讀，禮拜，思過等活動，將其程式化、儀式化。就是在固定的時間、地點，按照固定的程式進行每日的家庭清潔、禮拜和日常生活。

（2）開展週期性的傳統節日、習俗、民俗文化活動

將中國重大的傳統節日：春節、元宵節、清明節、端午節、重陽節、中秋節、臘八節等，以及各地的習俗和活動有效地組織起來，讓文化活動成為生活的必須，成為習慣，讓文化禮儀成為一種信仰，激發全民的文化自覺，並繼承和發揚優良文化傳統。

（3）開展週期性的禮儀講堂教育活動

根據豐富的中華傳統禮儀思想“修身、齊家、治國、平天下”，“忠孝節義”四德思想，還有“仁義禮智信”五常思想，政府負責進行週期性的禮儀講堂宣講，對廣大村名及群眾進行宣傳教育。

通過典型的好人好事、孝悌忠信、鄰里和睦、教子有方等事蹟，教育大眾，希望能達到父母慈愛、子女孝敬、夫婦和睦、兄弟友愛、姊妹互讓、妯娌互諒、兄弟互協。通過反面教材以抵抗那些不良之風，如：好逸惡勞、損人利己、貪公營私、坑蒙拐騙、貪污受賄、偷盜淫逸、殺人越貨、崇洋媚外、走私販黃等。^⑨



(4) 建立科學的公共文化服務體系

在通過認真思考後,回望農村公共文化服務體系建設的歷程,公共文化服務要收到實效,至少要做好兩個層面的工作:一、是建立良好的績效評估體系;二、是加強公共服務體系的管理。

1) 績效評估體系

建立正確的績效評估問卷:①以村民的滿意度調研為主體,文化活動一切為老百姓著想,一切為人民服務,老百姓安居樂業為目標。②以村民的參與度為二級評價指標。③文化活動的社會影響力大小,通過學生的升學率、成功率、收入提升度、網路流量等評價。對工作成績突出、成效顯著的單位和個人給予表彰獎勵,對工作推進不力、懶政怠政、不能按要求完成目標任務的單位和個人實施問責。

2) 加強管理

公共文化服務體系主體應該由政府、文化事業單位、私人社團、企業四個方面組成,並有各自的職能定位。以政府為主導建立專項基金資助私人社團的自發活動,資助公益性的文化並適當提供參與者一定的獎勵和報酬。這種自下而上和自上而下的互動式活動方能激發群眾的參與度,共同推動鄉村的公共文化服務體系的建設。

發揮村民主體作用。發揮好基層黨組織核心作用和黨員帶頭作用,健全村民自治機制,充分運用民主決策制度,保障村民權益。鼓勵村民參與到文化建設和文化活動的決議中來。結合村莊實際建立文化活動基金,按工按勞付給參與文化建設的村民一定的報酬。

(5) 引進人才或聘請專家助力發展

強化技術和人才支撐。建立農村文化展演、演講省級專家庫。吸引編導、影視、文藝、演員和其他專業技術人員下鄉進村服務,業務指導。積極組織開展農村的文化活動和村部文化站工作人員的技術培訓,鼓勵高等院校、文藝編導、企業開展農村文化活動策劃和編導的關鍵內容與環節。

(6) 運用鄉村未來社區的管理概念實現黨群共治

未來社區是涵蓋創業、銷售、文化教育、建設、服務、管理為一體的綜合生活生產場所。宣導鄰里互容、健康生活、全民創業、低碳環保,通過構建鄰里公共空間、開放空間為居民提供鄰里交流、交往、交融、交心的人文氛圍,構建“遠親不如近鄰”未來鄰里場景。憑藉鄰里公約、鄰里文化、鄰里精神標識的打造,形成鄰里人文內核,強化鄰里在情感上的聯結,形成鄰里精神共同體。

統籌優質網路教育資源,開放“普惠共用”名師名校教育資源,鼓勵支教活動。

搭建“鄰里圈”創業舞臺、“未來创客”,提升創業服務,鼓勵志願者幫扶,實現創業服務無憂。只有村民都有事業可幹、收入提高、人們安居樂業,才能真正實現村民自我服務、黨群“三位一體”的未來社區管理。

注釋

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[Pedagogy]

The Effect of Written Corrective Feedback on Error Corrections in Non-English Majors' English Writings

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Abstract: As a main type of feedback, written corrective feedback (WCF) includes direct written corrective feedback (DWCF) and indirect written corrective feedback (IWCF). Although the important role feedback plays have been widely acknowledged, the effect of WCF in improving students' writing accuracy and the effect of DWCF and IWCF in correcting different types of errors in EFL contexts have not been sufficiently studied. Therefore, this study uses content analysis and interview as research methods to explore the impact of WCF, DWCF, and IWCF on writing accuracy. It is found that WCF can effectively and continuously improve students' writing accuracy. Also, DWCF and IWCF can both help students correct all the substance errors. DWCF and IWCF have similar effects on correcting discourse errors, although students cannot correct all of these errors. As for text errors, DWCF can help students correct them more effectively than IWCF.

Keywords: written corrective feedback; direct written corrective feedback; indirect written corrective feedback; errors in writing

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1. Introduction

Corrective feedback, also called negative feedback, error feedback, or negative evidence, is common for teachers to help students develop linguistic accuracy in ESL/EFL contexts. Lightbown & Spada (1999) considered corrective feedback as "any indication to the learners that the use of target language is incorrect, which is used to make students pay more attention to what they haven't mastered". The crucial role played by corrective feedback is generally agreed by L2 researchers, although questions about how and when to provide



feedback for it to be effective remain unresolved (Gennaro & Monika 2021: 290).

As a main type of feedback, written corrective feedback (WCF) is defined as a written form of corrective feedback provided by teachers to correct students' errors and improve their writing accuracy. As for WCF classification, Ellis (2008) listed six kinds of WCFs, including DWCF, IWCF, meta-linguistic corrective feedback, focused and unfocused corrective feedback, electronic corrective feedback, and reformulation. As this paper mainly focuses on DWCF and IWCF, the other types of WCF are not further explained here. In the ESL/EFL context, DWCF means that the teacher points out students' errors in their writings and writes down the correct form (Bitchener & Cameron 2005). In contrast, IWCF indicates that the teacher points out students' errors without providing the correct forms. Due to its unclear response, indirect feedback is also named implicit feedback.

Although there have been many empirical studies conducted to examine the effectiveness of WCF in improving students' writing accuracy and which type of WCF is more effective, the findings are not consistent. Truscott (2007) examined the relationship between a decrease in errors and an increase in language accuracy. Although the errors in the revised writings in the experiment group were less than those in the control group, the rates of errors were similar under new writing tasks between the two groups. Therefore, Truscott indicated that successful error reduction after revising cannot truly suggest learning is happening and prove the effectiveness of WCF in improving students' writing accuracy. Some other studies have similar findings, suggesting that WCF is ineffective in improving students' writing accuracy. For example, Kepner (1991) found that students receiving surface error correction didn't make fewer mistakes than those receiving content feedback.

On the other hand, many studies confirm the effectiveness of WCF in improving students' writing accuracy. Ferris (1999) made a review study to respond to Truscott's claim and proposed that if the feedback was clear and in accordance with students' knowledge level, it would play a positive role. Van Beuningen et al. (2012) also found that after four weeks of the provision of written corrective feedback, students made fewer errors in their new writings than those who received no feedback of clear forms and right answers from teachers. Some researchers at home also had similar findings. For instance, Yang Jingqing (1996) discovered the effectiveness of five types of WCF in improving college English students' writing accuracy.

Another important research focus of WCF is the effectiveness of different types of WCF, among which are the studies about the comparison between direct WCF and indirect WCF. However, there is no common agreement either. Some researchers suggest that direct WCF is more effective than indirect WCF. In an experiment conducted by Bitchener & Knoch (2010), 63 advanced ESL learners were divided into four groups receiving four kinds of feedback in which there were three experimental groups and one control group to find out the effect of direct WCF and indirect WCF on the acquisition of articles. They proved that all experimental groups performed better than the control group in the post-test and that two groups receiving direct feedback outperformed the one receiving indirect feedback. Similarly, Chen Xiaoxiang & Li Huina (2009), after conducting a sixteen-week experiment whose subjects were non-English major students, discovered that both direct and indirect WCF could improve students' writing accuracy and that direct WCF works better than indirect WCF in improving accuracy.

However, some linguists hold the opposite idea that students can benefit more from indirect WCF. They claim that indirect WCF makes students engage in guided learning and problem solving and promotes the reflection that is more likely to consolidate long-term acquisition (Bitchener & Knoch 2010). This is proved to be true in Wang Lina et al. (2018)'s study in which a meta-analysis of 26 surveys about WCF is adopted. Additionally, Gennaro & Monika (2021) conducted an experiment in which three groups received different types of corrective feedback. The first group received direct corrective feedback on the first-mention a/an and second-mention the;

the second group received direct feedback and metalinguistic explanation; the third group received only general end notes feedback. They found that the third group surprisingly outperformed both corrective feedback groups, challenging the conclusions drawn from previous studies that focused and selective WCF alone is responsible for observable differences in learners' accuracy on English articles.

In a word, no consensus has been reached until now as to the effectiveness of WCF in improving students' accuracy and the effectiveness of DWCF and IWCF on correcting different types of errors. What's more, few studies have been found to explore which type of errors students are able and unable to perceive and correct by themselves under the influence of direct written corrective feedback (DWCF) and indirect written corrective feedback (IWCF). More empirical studies are needed in this aspect, particularly on the different roles of DWCF and IWCF in correcting different types of errors in students' writings. Therefore, the present study tries to explore the following two research questions:

- (1) What is the effect of WCF on improving learners' writing accuracy?
- (2) What are the effects of DWCF and IWCF on correcting different types of errors?

2. Methodology

2.1 *Context and participants*

Twenty-four physics majors in their second year in an entire class in China's key provincial university are involved in the present investigation. There are 13 boys and 11 girls with ages around 21 years old and with almost ten years' English learning experience. All of them have passed The National College English Test (CET) Band 6, which is a large-scale standardized exam administered by the Ministry of Education in China. The fundamental purpose of the CET is to comprehensively evaluate English education in Chinese colleges and universities. The design of the two levels of CET (CET4 and CET6) corresponds to the two standards set by the College English Syllabus and Teaching Requirements. CET4 refers to the "general standard", and CET6 reflects the "higher standard" described in the requirements. To take CET6, students must complete the College English VI curriculum and score over 425 in CET4. All the participants have passed CET6, indicating that they have fairly good English competence, especially in English reading. However, many of them are not proficient enough in English writing, as is often the case with English learners in the EFL context.

2.2 *Methods and procedures*

According to the teacher's teaching schedule, students were required to learn how to write six genres of essays. Each genre of essay lasted about three weeks, during which the teacher firstly instructed students how to write, and then each student tried to write the first draft of the given writing task. After the compositions were handed in, the teacher corrected the errors with either direct WCF or indirect WCF. Then these essays were returned to students, who then revised their drafts based on the teacher's feedback. After that, they could choose to write and submit the second draft.

In this study, the data was collected from the first and second drafts in the first four writing assignments because of the availability of the data and the long time between the first draft and second draft to guarantee the reliability of the research conclusion. The four writing assignments cover different genres of writing such as practical writing, picture writing, cause and/or effect pattern, comparison, and/or contrast pattern (see Appendix I).



After collecting the available essays, we marked the different types of errors (see Appendix II) in them and calculated the number of errors and words as well as the number of specific error types, which are considered as valid measures of writing accuracy (Peng, Wang & Lu 2020).

After the analysis of the written essays, a semi-structured interview (see Appendix III) was conducted with 8 students online to better understand students' evaluations of feedback and their suggestions for teachers' giving written feedback. The interview with each student lasted about 15 minutes and was audio-recorded after seeking students' permission.

2.3 Data collection and analysis

As is mentioned above, the data was collected from those who submitted both the first draft and the second draft. All together, 112 essays are collected, including 28 essays of writing task 1, 34 of writing task 2, 20 of writing task 3, and 30 of writing task 4. After collecting the essays with feedback provided by the teacher, the researchers counted the number of words and the number of errors in each essay according to James' (1998) classification of errors, namely, substance, text, and discourse errors. Substance errors include errors in spelling, punctuation, alphabetic case, pronunciation, and format, etc. Text errors involve lexical and grammatical errors while discourse errors contain coherent and pragmatic errors.

It should be noticed that the same error appearing several times is regarded as one error. According to Kepner's (1991) error-count approach, the error rate in the present study was generated by the formula: the total number of errors / the total number of words in the writing $\times 100$. It can be expressed as the average number of errors per hundred words. It is hypothesized that the lower the error rate is, the fewer errors occur in the essay, and the higher the linguistic accuracy is.

To answer the second research question, the different types of errors that were given DWCF and IWCF as well as the total number of each type of error in the first drafts and the second drafts were also marked and counted. If A1 represented the number of one type of error marked with DWCF or IWCF in the first draft, A2 represented the number of this type of error given DWCF or IWCF in the second draft. Then the correction rate can be calculated like this: $A2/A1$. The correction rate is considered an important measure of the effect of DWCF or IWCF on correcting different types of errors.

3. Results and Discussion

3.1 The effect of written corrective feedback on writing accuracy

To answer whether WCF is effective in improving learners' writing accuracy, two comparisons are made. One is comparing the first draft (draft 1) and the second draft (draft 2) of each writing assignment to find whether the error rate decreases after the teacher provides WCF. However, this kind of comparison is not enough as Truscott (2007) indicates that successful error reduction after revising cannot truly suggest learning is happening and prove the effectiveness of WCF in improving students' writing accuracy. Therefore, it is also necessary to compare the first drafts of the first and the fourth writing assignment to explore whether WCF has a continuous effect on writing accuracy.

3.1.1 Comparison between the first draft and the second draft of each writing assignment

As is shown in Table 3-1, the means of error rates of draft 1 of four writing assignments are 5.1441, 3.

0394, 3.5821, and 3.3485, respectively, while the means of error rates of draft 2 are 1.8121, 1.2842, 1.4714, and 1.8187 separately. The error rates of draft 2 are lower than those in draft 1, indicating that students tend to make fewer errors in draft 2 than in draft 1. This proves that students could improve their writing accuracy in a short time because the teacher provided them with either direct WCF or indirect WCF, and this written feedback quickly and directly drew students' attention to the gap between their interlanguage and the target language (Ding Panpan 2016: 45).

		Number	Mean
Assignment 1	Draft 1	14	5.1441
	Draft 2	14	1.8121
Assignment 2	Draft 1	17	3.0394
	Draft 2	17	1.2843
Assignment 3	Draft 1	10	3.5821
	Draft 2	10	1.4714
Assignment 4	Draft 1	15	3.3485
	Draft 2	15	1.8187

Table 3-1 Number and means of error rates of draft 1 and draft 2 in four writing assignments

The effect of WCF on writing accuracy can also be seen from the changes of error rates of each writing task which can be calculated by subtracting the mean of the error rate of draft 2 from that of draft 1. Thus, the values of changes are -3.3320, -1.7551, -2.1107, and -1.5299, respectively, as is shown in Figure 3-1.

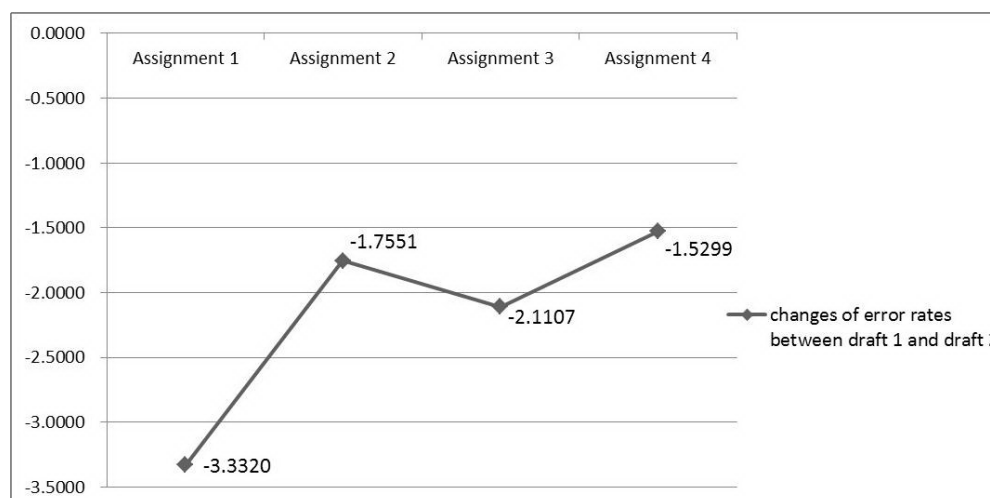


Figure 3-1 Difference of error rates between draft 1 and draft 2 in four writing assignments

There is a general trend in Figure 3-1 that except in writing assignment 3, the difference in the means of error rates between draft 1 and draft 2 becomes smaller with the increase of writing assignment. The reason may be that with more exposure to teachers' WCF in different writing assignments, students' awareness of errors is aroused, and their capability to compose accurate sentences and paragraphs is enhanced. However, the value of change of error rates in writing assignment 3 is higher than that in assignment 2. This may be due to the effect of different writing genres, a topic that deserves to be explored in future studies.

3.1.2 Comparison between the first drafts of the first and the fourth writing assignment

Although it has been clear that WCF is effective in improving students' writing accuracy over a relatively short time, whether WCF has a continuous or long-term effect is unknown. Therefore, the error rates of draft 1 of different writing tasks need to be compared to further verify the effect of WCF on writing accuracy. As only four students submitted their first drafts in both writing task 1 and task 4, these first drafts are collected for comparison. Table 3–2 shows that four students all made fewer errors in their draft 1 of the fourth writing assignment. The differences in error rates of the four students are 6.3865, 4.4459, 1.1042, and 4.9849, respectively, which further proves that WCF can result in gains in the accuracy of subsequent writing assignments. The result is in accordance with what Yang Jingqing (1996: 45) has found in his research that the process of revising is beneficial to the improvement of students' writing accuracy. However, it is inconsistent with what Gennaro & Monika (2021) discovered in their experiment that the two groups of students who received direct feedback and direct feedback and metalinguistic explanation surprisingly performed worse than the third group who received no corrective feedback on the use of English articles. Two reasons may explain the disagreement in the results. One reason is that the feedback applied by the instructor in the present study is holistic and non-focused feedback while the feedback examined in Gennaro & Monika's (2021) study is focused and selective feedback. The other reason may have something to do with the grammatical structure. Gennaro & Monika (2021) addressed only two rules of English articles which may negatively influence their use of other, non-rule-based articles while in the present study, three broader categories of errors are explored. The discrepancy in the results of our study and Gennaro & Monika's (2021) study raises questions as to whether non-focused feedback is more effective than focused and selective feedback, and whether the numbers and complexity of grammatical structures will affect students' performance in continuous writing assignments.

Interestingly, student C seems to make much fewer errors in his first drafts of both assignment 1 and assignment 4 than the other three students. The underlying reason may be that his/her higher language proficiency level is accountable for his/her better performance in writing accuracy, another issue that is worth exploring.

	Error Rates		
	Draft 1 of assignment 1	Draft 1 of assignment 4	Differences
Student A	9.5238	3.1373	–6.3865
Student B	8.1301	3.6842	–4.4459
Student C	2.6667	1.5625	–1.1042
Student D	6.6176	1.6327	–4.9849

Table 3–2 Comparison between the error rates of draft 1 in task 1 and task 4

The result in the present study is also consistent with what we found in the interview. When asked about their attitude towards WCF, all the interviewees thought it was of great importance to their improvement in writing accuracy. And as for the question “what did you acquire in this lesson”, most students mentioned that at the beginning, they could only find out a few mistakes when they reviewed essays by themselves, but they gradually knew in what aspects they might make errors and should pay attention to when they checked their writings. Some also said that they had learned a lot of vocabulary and grammar rules after revising, again and again, a practice that can undoubtedly enhance their writing accuracy. However, Gennaro & Monika (2021: 297) doubted the ef-

fectiveness of the revision, claiming that whether the improvement of accuracy is the result of research processing or just allowing students to participate in writing tasks is an inherent controversial issue in almost all experimental studies.

3.2 *The effect of DWCF on correcting different types of errors*

To investigate the effectiveness of direct written corrective feedback (DWCF) in correcting different types of errors, we calculated and compared the correction rates of different types of errors under the influence of DWCF in each writing assignment.

As is mentioned above, the present study classifies three types of errors — substance errors, text errors, and discourse errors, based on James's (1998) classification of errors due to their practicality. In the writing context, spelling, punctuation, capitalization, and format errors belong to substance errors. Text errors refer to lexical and grammatical errors while discourse errors include coherent and pragmatic errors.

Because the teacher provides both DWCF and IWCF, only the errors marked with DWCF are counted here. As is shown in Table 3-3, the correction rate of substance errors in each assignment is 100%. And the correction rates of text errors in the four assignments are 92.3077%, 92.8571%, 94.1176%, and 93.75%, respectively, which are very close to that of discourse errors in the four assignments: 92%, 94.7368%, 89.4739%, and 92.5926%.

	Correction Rate			
	Assignment 1	Assignment 2	Assignment 3	Assignment 4
Substance Errors	100 %	100 %	100 %	100 %
Text errors	92.3077 %	92.8571 %	94.1176 %	93.75 %
Discourse errors	92 %	94.7368 %	89.4739 %	92.5926 %

Table 3-3 Correction rates of different types of errors in the four writing assignments under the influence of DWCF

It can be seen from Table 3-3 that with the help of DWCF, students can correct almost all of the errors occurring in their writings. So it is indicated that DWCF is effective in correcting all types of errors, particularly substance errors. It is easy to understand that DWCF can directly and quickly contribute to students' conscious attention to the gap between their interlanguage and the target language (Chen Xiaoxiang & Li Huina 2009: 356). Among the three types of errors, substance errors are the easiest for foreign language learners to correct as they involve the least independent thinking level.

3.3 *The effect of IWCF on correcting different types of errors*

To find out the effectiveness of IWCF in correcting different types of errors, the correction rates of different types of errors under the influence of IWCF in each writing assignment are also calculated and compared. As is shown in Table 3-4, the correction rate of substance errors in each assignment is 100%. And the correction rates of text errors in the four assignments are 70.9677%, 56.0976%, 61.2903%, and 76.4706%, respectively, which are smaller than those of discourse errors — 86.6667%, 70.5882%, 86.6667%, and 76.4706%.



	Correction Rate			
	Assignment 1	Assignment 2	Assignment 3	Assignment 4
Substance Errors	100 %	100 %	100 %	100 %
Text errors	70.9677 %	56.0976 %	61.2903 %	58.3333 %
Discourse errors	86.6667 %	70.5882 %	86.6667 %	76.4706 %

Table 3–4 Correction rate of different error types in each writing assignment under the influence of IWCF

It is clear from Table 3–4 that students can correct errors of spelling, punctuation, capitalization, and format completely by themselves with IWCF. What's more, for those non-English major students in the EFL context, IWCF is more effective for them to correct discourse errors than text errors. Compared with the correction rates under the influence of DWCF, the correction rates of text errors and discourse errors are particularly lower under the influence of IWCF. The reason for this phenomenon may be because students do not have a good command of lexical and grammatic accuracy. As is claimed by Ferris & Roberts (2001: 167), DWCF may have a better effect than IWCF for those who can't modify errors that appeared in writings. The result is consistent with what Van Beuningen (2012: 37) has found in his study that although both direct and indirect feedback is effective in improving English writing, DWCF is more beneficial than IWCF in improving the grammatical accuracy in new drafts. When asked in the interview what difficulties they have encountered while writing, most students' answers to the question were almost all about vocabulary and grammar rather than the content and organization of writing. One student even suggested that the teacher should provide some native or high-level words or phrases as well as grammatical training according to students' errors in their writings. Students' self-reported difficulties in English writing may be an important reason why text errors seem to be more difficult for students to correct.

4. Implications for English Writing Pedagogy

The above findings of the study have important implications for English writing pedagogy in the EFL context.

First of all, the effectiveness of WCF in improving students' writing accuracy verified in the findings implies that it is worthwhile for English teachers to provide WCF on students' writing as often as possible. Although it is time-consuming and laborious to do so, it is delightful to see students benefit from the positive effect of WCF on their writing ability.

Secondly, as the findings prove that both DWCF and IWCF can help students correct 100% substance errors and that DWCF is more effective in helping students correct discourse errors and text errors, English writing teachers can combine the use of DWCF and IWCF when correcting students' errors. IWCF may be enough for students to correct spelling, punctuation, capitalization, and format errors by themselves to save time and energy for teachers, while DWCF is a more appropriate way of providing feedback for students to correct more complex, such as lexical and grammatical errors.

It is also advisable that teachers give clear and systematic instruction as to the specific error types and what symbols are used to represent each error type in the WCF during the writing course so that students will be able to comprehend and correct the errors more effectively. Good examples of students who can correct the errors based

on teachers' WCF and write better new drafts should also be encouraged and appreciated in the writing class. Only in this way can students' awareness of the error types be aroused, and their ability to compose accurate essays be enhanced.

5. Conclusion

The current study explores the effectiveness of WCF in improving students' writing accuracy and the effect of DWCF and IWCF on correcting different types of errors in writing. It is found that WCF can help improve students' English writing accuracy no matter whether it is in a short time or a long time. The result is different from Truscott's (1996: 355) statement that WCF has negative, even harmful effects for L2 learners to improve their language ability. This discrepancy may indicate that whether WCF is effective in improving students' writing accuracy depends on how the feedback is provided by the teacher and absorbed by the students. It is also found that both DWCF and IWCF can help students correct all the substance errors, such as errors in spelling, punctuation, capitalization, and format. But in terms of correcting discourse errors (coherent and pragmatic errors) and text errors (lexical and grammatical), the effect of DWCF outweighs that of IWCF.

This study has several limitations due to some objective reasons. Firstly, the data are collected from a natural class, which means there is no strict control of irrelevant variables, such as the genres of writing, and the language proficiency level, so the influence of these factors on writing accuracy was not examined in the study. Secondly, the size of the participants is limited. The data were collected from those students who wrote and submitted the second draft voluntarily after receiving the teacher's written feedback. Therefore, only four students wrote and submitted the first drafts of the first and the fourth writing assignment. Therefore, future research could include more influencing factors such as the genres of writing and the level of English competence to gain a deeper understanding of the effect of WCF in different contexts. Also, the samples need to be larger in future studies to have a more generalizable and convincing conclusion.

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Appendix I Four Writing Assignments

Assignment 1: Practical writing

Write a letter to your university library, making suggestions for improving its service. You should write about 100 words on a piece of A4 paper. Do not sign your name at the end of the letter. Use “Li Ming” instead. You do not need to write the address.

Assignment 2: Picture writing

Write an essay of 160–200 words based on the picture below. You should 1) describe the pictures briefly. 2) interpret the meaning, and 3) give your comments. You should write neatly on a piece of A4 paper.



Assignment 3: Essay writing using a cause and/or effect pattern

Write a five-paragraph essay with about 200 words analyzing the causes or effects of a certain phenomenon in your college life. You may choose to focus on either the causes or the effects of both in the essay.

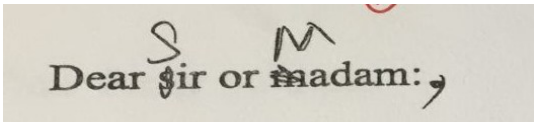
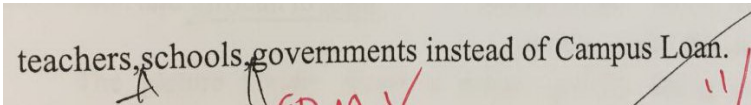
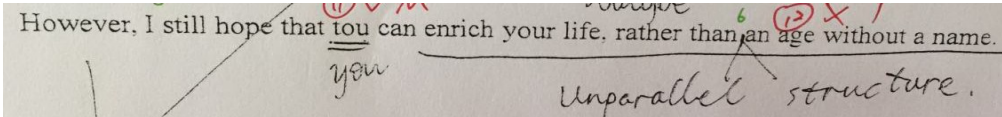
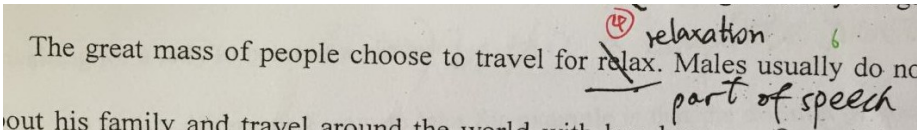
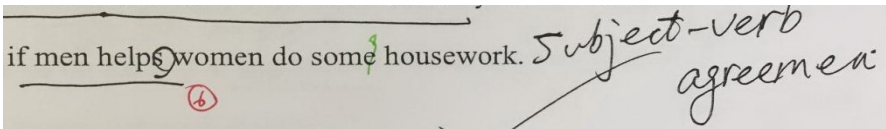
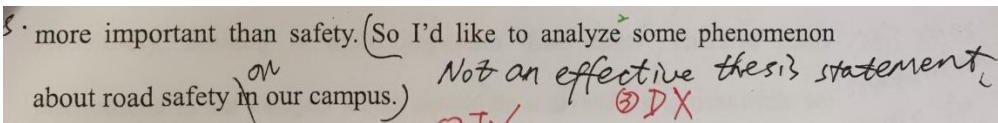
Assignment 4: Essay writing using comparison and/or contrast pattern

A. Write a five-paragraph essay on two movies that you have watched, using the way of development by comparison and/or contrast. Remember to use either the one side at a time method or the point-by-point method.

B. Write an essay with five paragraphs on the topic of gender differences based on the mini-film you have watched, using either the one side at a time method or the point-by-point method. (Select one topic from A and B)



Appendix II Samples of Different Types of Errors

Error types	Samples
Substance errors	  
Text errors	 
Discourse errors	

Appendix III Semi-structured Interview Outline

1. Which parts of English writing are difficult for you, vocabulary, grammar, content, coherence, or others?
2. Can you correct all the errors pointed out by the teacher? Why or why not?
3. Do you think the written corrective feedback provided by the teacher is effective in improving your English writing accuracy? What did you benefit from it?
4. What suggestions can you put forward for teachers to improve their teaching of English writing?



A Corpus-based Study of the Colligational Features of China English

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Abstract: The paper shows the findings of a study of China English (alternatively called Chinese English, both referred to as CE in this paper) based on the China English Corpus. The paper firstly introduces the research background of CE collocations. Three distinct features of collocations are identified and interpreted in the collocational theory framework. It reveals extensive collocational variations across written CE, thus complementing previous observations about deviations in English used by CE users and other varieties of English. Some issues concerning implications and future research scales are also discussed. The study shows how features of CE can be examined from the perspective of reoccurring patterns using the corpus tool, which enables us to deal with overt and covert patterns in a large amount in a repeatable way.

Keywords: China English Corpus; China English; colligation

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1. Introduction

As Bolton & Botha (2015: 169) state: “The role of English in Chinese society today cannot be considered in isolation from the sociolinguistic background, as well as the social and political context of contemporary Chinese society”.

The past decades have seen unprecedented growth in the modes and diversity of language contact, partly due to forces of globalization and partly due to increasingly convenient access to the internet via all kinds of user-friendly smartphones and other mobile electronic communication devices (e.g., Blommaert 2010; Crystal 2001, among others). Mobile phones connected to the internet have largely redefined patterns of human interaction as well as modes of communication, which in turn help accelerate the processes of globalization. Under these cir-

cumstances, diversity and change in English language usages should also be recognized because “it is just as likely that the course of the English language is going to be influenced by those who speak it as a non-native language as by those who speak it as a mother tongue” (Crystal 2012: 167).

According to statistics published by International Telecommunication Union (ITU), a United Nations specialized agency for information and communication technologies, in 2013, over 2.7 billion people were using the internet, which corresponded with approximately 39% of the world’s population (The World in 2013: ICT Facts and Figures 2014: 2). Advancement in ICT mediated by computers and smartphones and the increasing popularity of the internet has dramatically facilitated communication over a distance connecting people from different parts of the world.

Such forces of globalization and the convenient access to a wide range of information via the internet have greatly favored the development of certain languages as *lingua franca*, especially English (Haberland 2013). In an age of digital information, English knowledge is required to gain access to ‘breaking news’ broadcast in English. For instance, in the wake of the Edward Snowden news story from June 2013, or the two doomed Malaysian Airlines aircraft MH370 (March 2014) and MH17 (July 2014), first-hand information tended to be made available in English. Internet users who wish to quickly find out and are keen to keep up with such news stories would have no access to such information if they did not know English. In addition, knowledge of English in following international news provides bilingual users of English with multiple perspectives as seen through different TV news agencies across different vantage points and contexts. The will to participate in events that attract individuals’ attention worldwide has reached a record-high level. For example, after the 1–7 Brazil vs. Germany match on July 9th, 2014, some 66 million people around the world created (i.e. posted, discussed, or gave comments on) a total of over 0.2 billion postings on the Facebook pages 4 hours after the match (Retrieved from www.cnet.com). The active and instant mode of communication online has provided a strong incentive for bilingual users of English to get involved in meaning-making activities using new technologies.

This helps explain why in many parts of the world, for local bilingual users of English, English enjoys an important status of a *lingua franca*, if not the *lingua franca* of choice, and that the numbers of bilingual users of English regardless of their first language(s) keep expanding. As Haberland and Mortensen (2012: 1) put it, “English is *not* spoken in every corner of the world, just in more places than any other language ever before” (emphasis in original).

Over half a century ago, in his book *Bilingualism as a World Problem*, Mackey (1967: 18) proposed that the key reason for educated people to learn English is “to be able to seek the knowledge they need in one or more of the languages in which most of the world’s knowledge is available”. However, with the rapid development of information and communication technology in the past few decades, the educated elite are no longer affected; rather, blue-collar workers in non-English-speaking countries who wish to be informed of and connected to other people may perceive a strong need to use English to understand what is going on elsewhere in the world and communicate with people who do not share their first or usual language. Whatever their first language, educated or otherwise, people all over the world are connected; they are willing and readily facilitated to surf the internet to consume a wide range of information, from browsing breaking news and funny video clips to searching for options of entertainment and leisure activities such as popular restaurants and internet games with the most ‘Likes’. The internet also provides a platform for social interaction, such as chatting with friends at e-forums, sharing opinions in blogs, and giving ‘Likes’ on Facebook pages. Such out-of-class, internet-mediated activities have become an integral part of our everyday life; the wide-ranging need for information in English plus a strong mo-



tivation to be connected with people from different language backgrounds has given English a special status, a lingua franca for international communication. This need for communication continues to maintain English as the language that people cannot afford not to learn and use nowadays.

Commonly referred to as 'the world's lingua Franca, English plays a vital role in the globalization-in-a-multilingual-world movement, which results in an "English language complex" (Mesthrie & Bhatt 2008: 1-3). "We're all 'global' now, and need to use the first truly universal language, whether we are business people, politicians, teachers, tourists, or terrorists" (McArthur 2003: 54). "What happens, linguistically, when the numbers of the human race use a technology enabling any of them to be in routine contact with anyone else?" (Crystal 2001: 5).

It is already a fact that the spread of English around the world has been, and continues to be, both rapid and unpredictable. One consequence of colonization (in the past) and globalization (at present) is the general spread of English on the one hand and the inclusion of English language teaching in the national or local education curriculum on the other (Jenkins 2007). Being an increasingly important and active player in global political and economic affairs, China, with the largest numbers of users of lingua franca English in the world, is one such nation where the above-mentioned forces of globalization and the growing popularity of the internet are played out. Users of English in China face many challenges. These include a) English has become an important part of compulsory education, lasting for 13 to 15 years from primary to tertiary education depending on the onset year (Grade 3 or Grade 1) (Adamson 2004, 2014); and b) the objective need as well as subjective wish to be increasingly engaged in the English-dominant internet makes it necessary for millions of Chinese nationals to use English more or less regularly, both as consumers of information and as agents interacting with people from different language backgrounds (Bolton & Botha 2015). Such conditions have already greatly influenced the language ecologies in China today, especially the role it plays for the nation as well as for individual citizens. Politically, English has become one very important tool for the nation to build up her image and articulate her diplomatic stance in international, especially bilateral issues. Domestically, multilingual users of English now enjoy more and more global horizons via English. In short, the sociopolitical role of China in the world, together with the rapidly increasing use of English-oriented information and communications technologies, constitutes the background and setting for Chinese people to use English as part of their daily life activities.

The process and place of the learning of English in the Mainland Chinese education system have not changed much, given that classroom-based teaching and learning has always been the key setting where English is acquired. On the other hand, the range of out-of-class social contexts where English is naturally used is fast expanding, even though the language learning context remains more or less the same in the last 30 years: children are expected to learn Putonghua, the national language, from kindergarten, while the onset age for learning English begins at Grade 3 (age 9) or Grade 1 (age 6) depending on the region.

English, as used in Mainland China, is the variety we concentrate on in this paper. More specifically, our main focus is on the features of English as found in the written outputs gathered from Han Chinese authors in Mainland China. We will briefly review debates about CE, the possibilities of codifying CE patterns, and other recent developments from a World Englishes perspective. Then we will present and describe a detailed account of several salient structures and collocation patterns which reveals the overt and covert collocational patterns.

2. Literature Review

Over the last three decades, scholars promoting the research and codification of CE have worked towards establishing a better understanding of the features of CE. In a rough-and-ready way, the relatively brief progress of CE research can be seen as falling into the following three categories:

- a. the existence of CE and the issue of terminology (e.g.: Cheng 1992; Evans 2011; Ge 1980; Gui 1988; He & Li 2009; Huang 1988; Jiang & Du 2003; Kirkpatrick & Xu 2002; Niu & Wolff 2003; Wang & Ma 2002; Xu 2010; Zhuang 2000);
- b. attitudes towards CE (e.g.: He & Li 2009; Hu 2004, 2005; Pan & Seargeant 2012; Xu 2010);
- c. linguistic features of CE (Bolton 2003; Chen 2010; Gao 2008; Yu 2009; Kirkpatrick 2007; Li D. C. S. 2002; Sun 2011; Xu 2010).

Some comprehensive bibliographies (Adamson, Bolton, Lam & Tong 2002; Bolton, Botha & Zhang 2015) provide details of literature on CE studies.

What is clear from current research could be seen from the following two quotes:

- a. ...there is some evidence that ‘China English’ is gradually emerging, following its natural path of development, although it is quite impossible to list all the linguistic features of ‘China English’ exhaustively at the moment for several reasons, such as insufficient research. Therefore, more research is needed to identify salient linguistic features of ‘China English’ as found in the popular usage patterns of the majority of speakers and writers of ‘China English’, in both formal and informal contexts of social interaction. (He & Li 2009: 74);
- b. The current popularity of English in China is unprecedented and has been fuelled by the recent political and social development of Chinese society (Bolton & Graddol 2012: 3) ...there is an evident need to carry out more field-based sociolinguistic research. (ibid: 7)

3. The Study

3.1 Data and tool

The target corpus data consists of 37 million words of English collected from Mainland Chinese users and is referred to as CEC. British National Corpus BNCweb (CQP-edition) (referred to as BNC) is used as the reference corpus (see Table 1):

Target corpus	Reference corpus
China English Corpus (CEC)	British National Corpus (BNC)

Table 1: Target corpus and reference corpus

CEC

CEC (Li, W. Z. 2010) is the largest corpus currently available that represents the English used by educated Chinese people (main people receiving the undergraduate level of education or above). It is large enough (37,



470,040 word tokens) to generate representative results. This corpus was constructed explicitly to investigate CE linguistic features. To this end, the data collected seek to meet the criteria of genre balance (e.g., written events include educational, leisure, natural and social sciences, and business studies and communication, etc.) and a range of domains (see Table 2 below). The writers of texts in CEC share similar linguistic backgrounds in Mainland China.

As a corpus, CEC is a collection of samples of written English from a wide range of sources in China which, by design, represent a broad cross-section of China English. It is an output of an academic research project funded by the government of China and carried out by a team of professional researchers (university faculties) led by Professor Li Wenzhong in Henan Normal University in Mainland China since 2001. It consists of a total of 17,534 texts collected according to the genres of BNC (written part).

For example, CEC includes extracts from regional and national newspapers published in Mainland China, specialist periodicals and journals for all ages and interests, academic books and popular fiction, published information bulletins, published theses and papers, among many other kinds of written text. The comparable nature of these two corpora in terms of domain classification is listed in Table 2 below:

	BNC domains	CEC domains
1	natural & pure science	natural science
2	applied science	applied science
3	social science	social science
4	world affairs	world affairs
5	commerce & finance	economics
6	arts	arts
7	belief & thoughts	beliefs & thoughts
8	leisure	leisure
9	literature	literature

Table 2: Domains of CEC and BNC

(Source: Aston & Burnard, 1998: 29; W. Z. Li 2005)

Written English represents one consistent type of English output of educated CE users; for obvious reasons, written data, which is easier to obtain in useful quantities than spoken data, serves as a convenient, ready-to-use database for corpus-based linguistic investigation. The readership of these written English data is two-fold: first, those Mainland readers who have the ability and will to access information disseminated in multiple channels and languages, including English; second, readers who are driven by a desire to improve their English by giving themselves additional opportunities and exposure to that target language more or less regularly. Foreigners with no Chinese language background could only access information (e.g., through English newspapers in China) or through web pages whose contents, in the Chinese context, are produced by CE users. Today, there is an increasing number of educated people in China who would like to read a variety of texts written in English. Therefore, there is a need for the written sources to be comprehensible and to convey practical information with the two kinds of readership — Chinese and non-Chinese — as target consumers, which is the key function that these home-grown written English outputs are serving. Produced with that purposeful goal and target readers in

mind, the components of CEC are thus ideal sources for the current investigation.

As for the representativeness of CEC data, this study follows the same premises that previous pioneering studies adhered to regarding the representativeness of corpus data. Leech, for example, argues that “there is a scale of representativity” (Leech 2007: 144) in data. Similarly, McEnery and Hardie state that “the measures of balance and representativeness are matters of degree.” (McEnery & Hardie 2012: 10). Thus the representativeness of CEC should be calibrated by the extent to which it truly reflects the preferred linguistic features of Mainland Chinese users of English collectively as a whole. Texts in CEC represent CE in two ways: ‘mainstream’ and ‘general’. CEC represents mainstream CE because it includes articles from mainstream newspapers which are categorized into ten components, whose sizes and sub-categories are listed in Table 3. The texts were sampled from different genres in more than 30 domains, including journal articles, academic essays (wide coverage of topics/disciplines), news reports (reportages and reviews), editorials, public relations documents from public and private organizations, etc. These genres are all comparable to those in BNC.

Topics	No. of files	Tokens	Types	Topics
Natural science	1,324	3,174,622	110,980	mathematics, physics, chemistry, biology, astronomy
Applied science	546	953,951	45,425	engineering, communications, technology, computing, energy, transport, aviation
Social science	4,494	1,6079,207	248,045	sociology, geography, anthropology, medicine, psychology, law, education, linguistics
World affairs	2,358	2,535,967	57,448	history, government, politics, military, archaeology, current events
Economics	1,553	2,003,378	61,934	business, finance, agriculture, industry, third industry, employment
Arts	1,944	1,346,122	55,524	visual arts, calligraphy, brushwork, Chinese Wushu (martial arts), architecture, performing arts, media studies, carvings
Beliefs & thoughts	998	562,475	27,772	religion, philosophy, folklore
Leisure	2,599	1,444,268	62,133	food, travel, fashion, sport, household antiques, hobbies, gardening
Literature	283	8,653,464	117,561	fiction, prose, drama scripts, classics

Table 3: Domains and description of the CEC data

*** Note:**

- Tokens and types are calculated with the help of the corpus tool AntConc (Version 3.5.8) (Anthony 2019).
- Firstly, using AntCoc, the names of authors of articles included were checked to establish whether they are Chinese. Chinese names follow a format (e.g., ZHANG Kexin), while names of people not from China would look different (e.g., Matsuda Aya, which is not recognizable by the pinyin system). This precautionary check is to ensure that all data represent CE.

Despite some possible shortcomings (e.g., lack of spoken data), the readily prepared CE data still serve as one of the best sources for researching CE features for two main reasons: representativeness in terms of size and authenticity in terms of function.

a. Representativeness in terms of size

There are 37,470,040 word tokens in the CEC. Information about frequency is one of the most obvious benefits that a corpus can provide, which cannot be provided by any other mode of linguistic analysis. Then, in a corpus of the size of the CEC, the information about frequency is more convincing than intuition-based theorizing. The importance of frequency information is also endorsed by the mathematical theory, which calculates



words (or lexemes) according to the patterns in which they appear and generates hypotheses from it. The mathematical theory in support of this method is Zipf's Law of word distributions. Zipf (1935, 1949) held that in any language corpus, the frequency of any word is inversely proportional to its rank in the ranking table of frequency, and the most frequent word will occur approximately twice as often as the second most frequent word, three times as often as the third most frequent word, etc. Zipf's Law gives more heavily weighted importance to the most frequent words than would be expected according to the normal distribution in language. In other words, the larger the data, the more suitable it is in terms of obtaining reliable and representative frequency information.

b. Authenticity in terms of function

As discussed earlier, corpus linguistics focuses on authenticity. Some may argue that written articles are not as authentic as daily face-to-face conversation. However, as indicated earlier, there are millions of competent users of English in China (as a result of the education they received and the computer networks that have evolved as platforms with which CE users communicate with the rest of the world). However, English is not commonly used between Mainland Chinese when there are no English-speaking people around, so the collection of written and spoken data from spontaneous situations is difficult and not quite feasible, at least not at present. In this light, CEC could be seen as representing how Chinese users of English write when conveying information to target readers they hope to reach at home or abroad. The authors who wrote the articles in question may have overseas experience and speak 'native-like English; however, even here, CE features will be found if they are indeed CE features. The ultimate purpose that each article fulfills is to accomplish the communicative function in written form, which is authentic too in every sense of the term.

A contrastive comparison was made between the target corpus (CEC) and a reference corpus (BNC). As Leech (2002) argues, a reference corpus is important in any empirical investigation because it serves as a benchmark and yardstick and provides more comprehensive information about the linguistic features of the language under investigation.

BNC

The British National Corpus (BNC) (Leech, Rayson, & Wilson 2001) is a 100-million-word structured collection of spoken and written texts. The corpus was compiled by a consortium of universities, publishers, and the British government in the 1990s, to be representative of the spoken and written English used by British people toward the end of the 20th century, with written data amounting to around 90,000,000 tokens. The front-end interface of the BNC is available on the BNCweb (<http://bncweb.lancs.ac.uk/>). After registration, users can access the BNCweb according to their search targets. The search in the case of this study was limited to written form in the BNCweb, to ensure that it is comparable in size and genre to the CEC.

Tool

Whilst there are lots of computer-based tools and web-based tools available in corpus studies, we choose the commonly-used free corpus toolkit AntConc (Anthony 2019) in our research.

3.2 Research framework

To identify possible patterns that involve words occurring next to each other we were unaware of before, we need to learn relatively fixed, largely pre-defined sequences of words in more detail. Colligational patterns are thus chosen to be the study focus. Colligation is the co-occurrence of words with grammatical choices (e.g., adjective + noun) (Sinclair 2004: 174). First, we tagged CEC using free software called *Lemmatizer* (Li W. Z. & Liang M.C. 2010, available online). To conduct our search within workable limits, the modifying patterns of nouns are chosen as the target.

Cross-linguistically, the modifying structures of nouns are very diverse, but the major constituents are nonetheless discernible. According to Leech, Deuchar & Hoogenraad (2006: 71), there are two kinds of modifiers for nouns, namely, premodifiers and postmodifiers. The possible premodifiers and postmodifiers of noun phrases are shown in Tables 4 and 5:

Type of premodifier	Example
determiners	the/an apple



continue

Type of premodifier	Example
enumerators	three apples
adjectives	big apples
nouns	gold ring
genitive phrases	Tom's problem
adverbs	quite a noise
other categories	awfully bad weather (adjective phrase) kind-hearted man (compound words) grated cheese (past-participle of verbs) a working mother (present participle form of verbs)

Table 4: Possible premodifiers of noun phrases (Leech et al. 2006: 71–72)

Type of postmodifier	Example
prepositional phrases	the best day of my life
relative clauses	a man that I admire
Other categories	the room upstairs (adverb) something nasty (adjective)

Table 5: Possible postmodifiers of noun phrases (ibid.)

At this stage, words are being analyzed in word classes, so their analysis is colligational by nature. The colligation determiners + nouns are not studied in this study because determiners are not comparable in lingua-cultural significance concerning Chinese. 13 high-frequency nouns are chosen to be the target node words for our study, whose information of occurrences in contrast to each other was summarized in Figure 1.

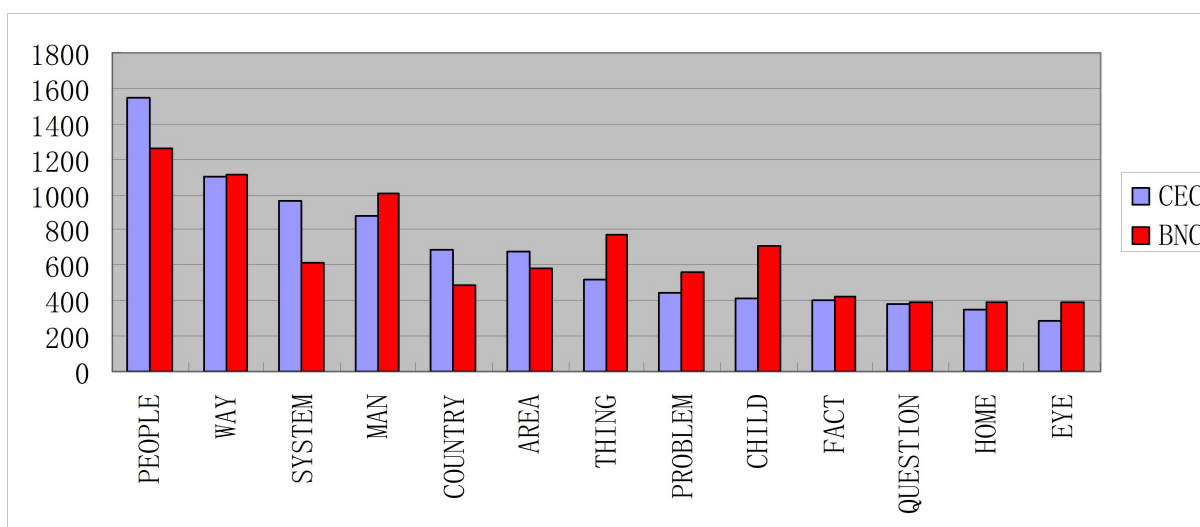


Figure 1: Comparative frequency data for target node words (per million words)

* Lemmatized forms are sometimes written in upper case. For example, the verb lemma WALK consists of the words walk, walked, walking, and walks. In this paper, words in an upper case like this are lemmas; others in lower case are word types. In language that can be observed, words are in the form of types (e.g., *is*, *am*, *are*, *was*, *were*, *been*, and *being* are all word types of the same lemma BE).



4. Results and Discussions

4.1 Enumerators as premodifiers in noun phrases

Broadly speaking, an enumerator consists of one or more words denoting a cardinal or ordinal number (e. g., ‘one’, ‘five’, ‘double’, ‘the twelfth’). There is extensive evidence in the CE corpus data showing a clear preference among CE users for using enumerators (Table 6).

No.	CE collocations	Chinese	Pinyin
1	One Child Policy	計劃生育政策	jìhuà shēngyù zhèngcè
2	One Country Two System	一國兩制	yīguó liǎngzhì
3	One World One Dream	同一個世界 同一個夢想	tongyīgè shìjiè tongyīgè mèngxiǎng
4	One-China Principle	一個中國原則	yīgè zhōngguó yuánzè
5	Two Guarantees	兩個確保	liǎnggè quèbǎo
6	Double mugging (i. e., snatch and rob, generally referred to in English newspapers in China as ‘Two Robbery’)	雙搶	shuāngqiǎng
7	Two-State Theory	兩個中國	liǎnggè zhōngguó
8	Two-Way Investment	雙向投資	shuāngxiàng tóuzī
9	Three Antis Campaign	三反活動	sānfǎn huódòng
10	Three Direct Links	三通	sāntōng
11	Three Gorges Dam/Hydropower Station	三峽工程/水壩	sānxiá gōngchéng
12	Three Gorges Water Conservation Project	三峽水利工程計劃	sānxiá shuǐlì gōngchéng
13	Three Kingdoms/Period	三國	sānguó
14	Three Public Consumptions	三公	sāngōng
15	Three Represents	三個代表	sāngè dàibiǎo
16	Three Worlds	三界	sānjiè
17	Three-Tier Rural Health Care Service Network	三級保障農村醫療服務系統	sānjí bǎozhàng nóngcūn yīliáo fúwù xìtǒng
18	Four Books	四書	sìshū
19	Four Heavenly Kings	四大天王	sìdà tiānwáng
20	The Four Beauties	四大美人	sìdà měirén
21	The Four Duty Gods	四大金剛	sìdà jīngāng
22	Five Classics	五經	wǔjīng



continue

No.	CE collocations	Chinese	Pinyin
23	Five Friendlies	福娃	fúwá
24	Five Generations Under One Roof	五代同堂	wǔdài tóngtáng
25	Five Holy/Sacred Mountains	五嶽	wǔyùe
26	The Five Dynasties (Period)	五代	wǔdài
27	The Five Elements Mountain	五行山	wǔxíngshān
28	The Five Principles Of Peaceful Coexistence	和平共處五項原則	héping gòngchú wǔxiàng yuánzē
29	Six Harmonies	六和	liùhé
30	Eight Diagrams/Trigrams	八卦	bāguà
31	Eight Model Plays	八個樣板戲	bāgè yàngbǎnxì
32	Eight Vajrapanis	八金剛	bājīngāng
33	The Eight Allied Forces	八國聯軍	bāguó liánjūn
34	The Eight Arrays	八陣圖	bāzhèntú
35	The Eight Immortals (Crossing The Sea)	八仙(過海)	bāxiān
36	Ten Kingdoms	十國	shíguó
37	The Twelfth Five-Year Plan /Program	第十二個五年計劃	dìshí'èrgèwǔniánjìhuà
38	Eighteen Guardians/Defenders	十八羅漢	shíbā lúohàn

Table 6: Examples of enumerators as premodifiers in CE noun phrases

In terms of form, the fact that enumerators function as premodifiers of noun phrases is not surprising. However, their manifestation in CE seems distinct in its way. In Chinese expressions like those in Table 6, the use of numbers symbolizes seriousness and carries an unmistakable connotation of authority. Most of the usages are based on the Chinese counterpart and are thus translations in CE. However, although the Chinese for One Child Policy does not include any enumerator, CE speakers still prefer the current way of expressing this idea.

These examples show that, even when people have some other rhetorical choice at hand, they still favor using enumerators to modify the noun, probably out of a concern for preserving its formality. This leads us to predict that whenever some kind of political idea is to be expressed and implemented, one could reasonably expect the use of enumerator + noun as a favored or preferred rhetorical strategy.

4.2 A preference for noun pre-modifiers

As we have seen, nouns and adjectives are both common pre-modifiers of nouns, but their preferred use by CE speakers is another issue to consider. It is found that Chinese speakers tend to use more nouns than adjectives as pre-modifiers in constructing noun phrases in their social interaction with others in English, and this is supported by corpus investigation in terms of frequency. Collocation results from the KWIC search (span=L-1 left one from the node word) are stored and tagged using the same tagset system as the BNC, namely the CLAWS 5 Tag-

set. The tagged words were then sorted in an Excel spreadsheet and counted. After calculating the nouns and adjectives for the 13 target lemmas, frequency information per million words is compiled. This standardized frequency information is comparable because the tokens of each corpus do not influence them.

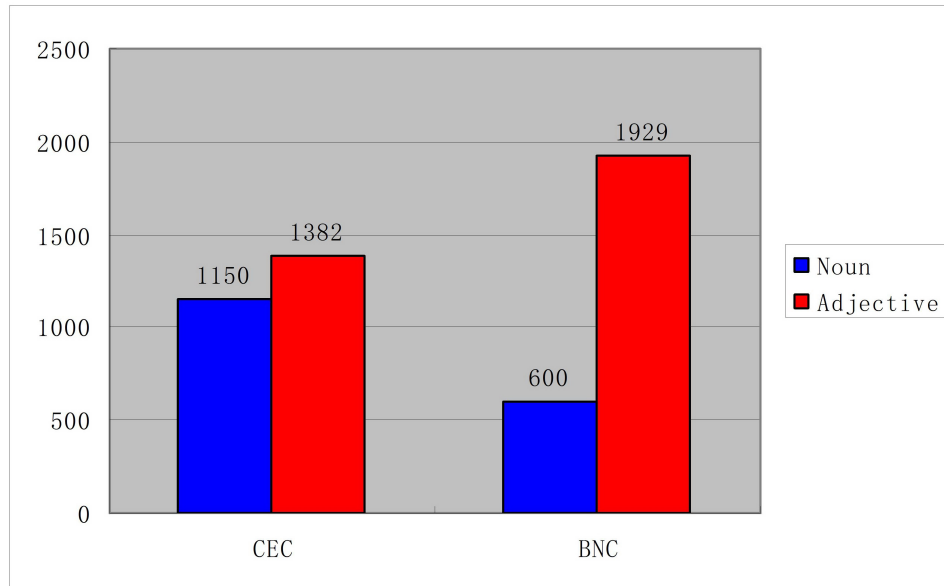


Figure 2: Contrasting the proportions of nouns and adjectives as premodifiers (per million words)

Overuse of the colligation *N + N*, the form usually referred to as a nominal compound, is an important and useful modification pattern in Mandarin Chinese (and most of the Chinese languages/dialects like Cantonese, Hokkien, and Hakka). The most influential description of this structure is provided in Li & Thompson (1981), which lists 21 types of colligation *N + N* in Chinese (Table 7).

Type	Example	CE *	BrE#
N1 denotes the place where N2 is located	臺燈	table lamp	table lamp
N1 denotes the place where N2 is applied	牙膏	toothpaste	toothpaste
N2 is used for N1	馬房	stable	stable
N2 denotes a protective device against N1	太陽眼鏡	sun glasses	sun glasses
N1 and N2 are parallel	國家	country	country
N2 denotes a product of N1	蠶絲	silk	silk
N2 denotes a place where N1 is sold	百貨公司	department store	department store
N2 denotes a disease of N1	心臟病	heart disease	heart disease
N1 denotes the time for N2	春天	spring	spring
N1 is the source of energy of N2	汽車	car	car
N2 is a component of N1	雞毛	feather	feather
N2 is a source of N1	煤礦	coal mine	coal mine



continue

Type	Example	CE *	BrE#
N1 denotes a proper name for N2, which may be a location, an organization, an institute, or a structure	北京大學	Peking university	Peking university
N2 denotes a unit of N1	政府機關	government organization	bureau
N2 denotes a piece of equipment used in a sport, N1	籃球框	basketball ring	basketball hoop
N2 is caused by N1	油漬	oil stain	stain
N2 denotes a container for N1	書包	schoolbag	schoolbag
N2 is made of N1	大理石地板	marbling floor	[not listed]
N1 is a metaphorical description of N2	龍船	dragon boat	dragon boat
N2 is an employee or an officer of N1	大學校長	university president	vice chancellor
N2 denotes a person who sells or delivers N1	鹽商	salt merchant	[not listed]

Table 7: Types of nominal compounds in Mandarin (Li & Thomson 1981: 49–53)

* Source: Chinese–English Dictionary (Wu 2010)

#Source: Cambridge English Dictionary Online(<http://dictionary.cambridge.org/>)

We can by no means assume that the 21 types of colligation $N + N$ in Table 7 constitute an exhaustive categorization of the Chinese $N + N$ pattern. The important thing to note here, however, is that the linguistic preference in Chinese may help us to better understand the more commonly used $N + N$ patterns in CE. CE users link nouns and nouns together to form a nominal compound, with the effect of designating an object with a name, a productive and creative process which is rooted in their first language, and which by design expresses their indigenous worldview (e.g. the morpheme–for–morpheme translation of government organization is preferred to the more opaque bureau). And, the minor difference in some CE and BrE translations in Table 7 is further indicative of differences in CE as opposed to BrE norms (e.g. the high–frequency word *ring*, as in *basketball ring*, is preferred to the more obscure word *hoop*, as in *basketball hoop*).

4.3 Genitive phrases as pre-modifiers of nouns

Genitive phrases are acceptable and frequently used in both CE and BrE. The results of the colligation $N's + N$ show that CE has the inner circle usage as its core, but is colored with characteristic features of the Chinese mindset.

In this section of the analysis, the first step involves a search for the structure: $N's + N$ (of the 13 target lemmas), after which comparisons were made using two parameters: frequency and diversity. The frequency information of $N's + N$ from the CEC and the BNC is similar, reflecting the fact that the colligation patterns involving nouns with a genitive case premodifier are largely shared by Chinese and British users of English—probably an extension of the meaning–making potential of a similar colligation or structure irrespective of their first languages.

Two features distinct to CE have emerged, the first of which is the variants and deviations in the use of people's as a premodifier, as shown in the following examples found in the earlier phase of the investigation (Table 8).

People's + N
people's area
people's thing
people's problem
people's way

Table 8: Examples of using people's as a pre-modifier in CEC

It was then decided to set *people's* as a target feature for closer scrutiny, partly because in my observation, the word “people” (in the Chinese language) has special importance to Chinese Mainlanders.

For example, the government (local or national) is termed 人民政府 (people's government); the federal bank is called 人民銀行 (people's bank); one key newspaper is named 人民日報 (People Daily); all textbooks for primary to high school students are published by 人民教育出版社 (People's Education Press). Similar cases are not found in countries elsewhere. Further investigation on this structure has revealed more features.

One distinctive example is seen in the two-word cluster of *people's* + ?. The high-frequency occurrences of collocations are summarized below (Table 9).

Rank		Collocation	Tokens
1	people's	lives	174
2	people's	life	142
3	people's	mind	99
4	people's	attention	72
5	people's	health	64
6	people's	cognition	53
7	people's	understanding	49
8	people's	interest	43
9	people's	right	38
10	people's	eyes	35
11	people's	awareness	34
12	people's	attitude	33
13	people's	way	33
14	people's	experience	31
15	people's	perception	26
16	people's	desire	24
17	people's	thinking	21
18	people's	use	19
19	people's	consciousness	16
20	people's	cultural	11

Table 9: Top 20 two-word clusters modified by people's in CEC



Longer clusters such as *people's living standards*, *people's daily lives*, and *people's conceptual systems* were also observed. These findings suggest that CE speakers are using the colligation N's + N in a pattern that differs from at least one inner circle variety—BrE. The use of *people* in the patterns of these sentences may also imply that CE conceives of human beings principally as part of a broader collective rather than an isolated individual. This is reflected in the use of the genitive case structure *people's* + ? in all appropriate cases, whereas British people use other words such as *man*, *person*, and the like to express essentially the same denotation. The difference is that in Chinese language, *people* (人民 totally different from 人們) carries a favorable connotation, while in BrE this word seems more neutral.

The second feature found in this part of the analysis is that CE speakers tend to underuse the colligation N's + N of. Examples of this pattern are shown in Figure 2 below. One kind of example is excluded here since they do not fit into the purpose of our investigation; they are institutional names such as *the People's Republic of China*, *People's Bank of China*, etc. It is common sense that thousands of these proper names would occur in CE data, yet they do not tell us much about what we hope to prove or disprove.

people's ability of recognizing the world. Image sche
people's acceptance of the letters is whether or not
people's acquirement of its merits. Besides, the inte
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people's anticipation of the event. Xi wished the U.S
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people's choice of health care services, he added. A
people's concept of fertility and in lowering the bir
people's conference of Beijing took the lead in prohi
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people's consciousness of the importance of marine pr
people's custom of dragon-boat racing during the Drag
people's definitions of the same term. However, there
people's demand of clearly keeping the eternal moment
people's descriptions of objects in the surrounding w
people's disobedience of the traffic rules, the unsci
people's dream of flying freely in the sky, has been
people's enjoyment of lanterns in the Song Dynasty (9
people's evaluation of other people's performance (Be
people's exercise of the right to be masters of the s
people's experience of the world and the way they per
people's feeling of devoid and absurdity are embodied

Figure 2: Examples of the pattern *people's* + N in CEC

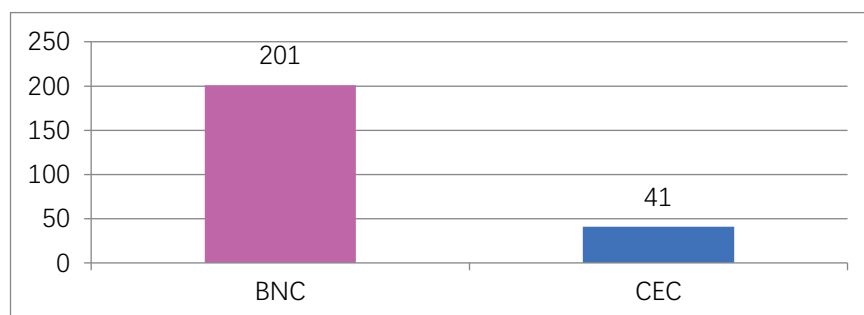


Figure 3: Contrasting the proportions of the colligation N's + N of in CEC and BNC (frequency per million words)

This colligational structure is constituted by both a premodifier and a postmodifier, and it does not, therefore, correspond with the Chinese way of expressing ideas. Han Chinese 'dialects' or languages are structured



according to fixed word order, namely the modifier–before–head sequence (Tai 1985; Ho 1993; Hu, W. 1995).

The genitive case in Tom’s parallels that of 湯姆的 (tāngmǔ dē) in Chinese. Thus the –’s may be taken for granted (consciously or unconsciously) as a device for turning the modifier into an adjective, as is the case in Mandarin Chinese. However, the postmodifier does not have a functional counterpart in Chinese, so it is likely to be used less confidently by CE users in colligations such as N’s + N of.

4.4 *Post-modifying prepositional phrases*

Prepositional phrases as post-modifiers of nouns occur with similar frequency in CEC and BNC. The most frequently used preposition in English is of. This study thus uses it as the target of the investigation.

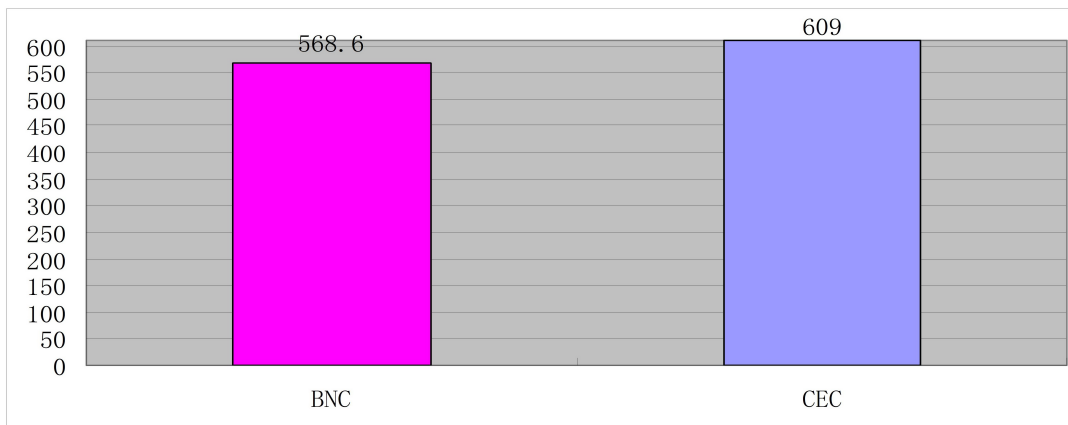


Figure 4: Contrasting the colligation *N + of* (frequency per million words)

4.5 *Post-modifying relative clauses*

Since it is complicated to obtain a finite description of a relative clause, this study chooses the most typical one, *that clause*, for sample, so the colligation under investigation is *N + that clause*.

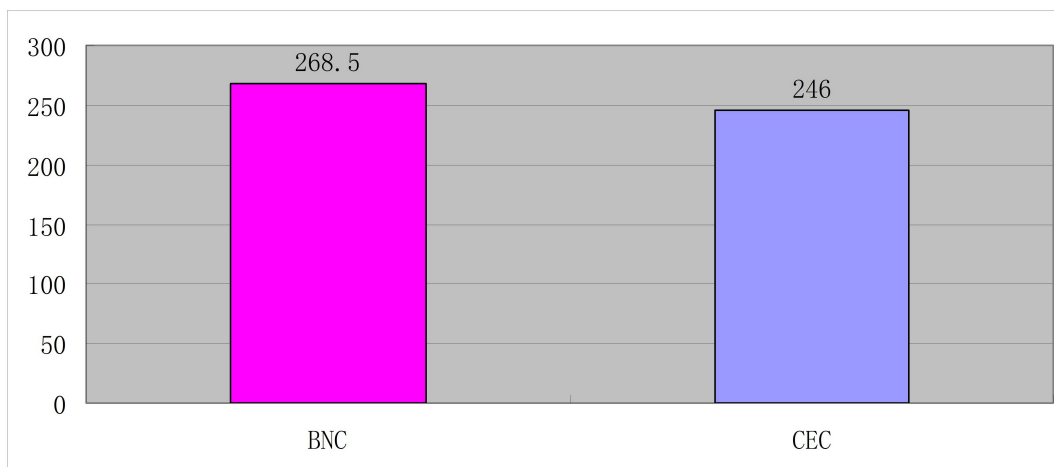


Figure 5: Contrasting the colligation *N + that* (frequency per million words)

One possible problem was encountered when studying this pattern. Because in some sentences (e.g., He would like to give the girl that doll.), the word ‘that’ functions as a determiner rather than a relative clause

marker. Some extra work was done to ensure that Figure 5 was not skewed by these sentences. It was found that in the data observed, and this problem does not seem to affect the reliability of Figure 5. First, the search for this colligation generated a 222,597-token result in BNC and a 60,043-token result in CEC. Then, manual observations were taken to observe the first word to the right (R-1) of the pattern *N + that*. Not a single example, as within the limit of manual observation, was found in the five random pages of KWIC in both corpora.

The reason for not finding any tokens of the word ‘that’ functioning as a determiner rather than a relative clause marker, I believe, is that two criteria have to be fulfilled for sentences of this kind to appear: a) intransitive verbs or verbs that have two objects (e.g., GIVE: give somebody something); and b) the indirect object of this verb should be expressed by a noun phrase beginning with *that* (e.g., *that apple, that desk*), which is not so commonly heard, because there are other variants (e.g., *this, these, those*) in this position. Thus for this part of the study, the colligation pattern *N + is* is used.

Figures 4 and 5 show that the two kinds of colligational patterns are used in a similar way in terms of frequency and distribution in CEC and BNC, suggesting that they are largely similar in terms of colligational patterns in the expanding circle variety (CE) and inner circle variety (BrE) being examined.

4.6 Conclusion of colligation features of CE

The results of the analysis in this section suggest that CE users adhere to the basic norms of the inner circle variety in terms of colligation, but CE is also highly selective in the case of certain patterns. Being consistent with the British norm allows CE to be seen as acceptable, while the choice of some preferred patterns allows CE to maintain its identity and characteristics.

One instructive example of this is shown by the proportion of overused CE collocations (relative to their counterparts in BNC), where it becomes clear how central to CE these colligations are. These findings suggest that colligational differences make up a significant part of CE.

5. Implications and Conclusions

Based on the findings in this study, there is evidence showing that the modifier–modified sequence before the head noun is preferred by CE users, resulting in the salience of sometimes lengthy pre–nominal modifying structures. Word order is one of the most powerful devices used in Chinese to indicate subtle changes in meaning. This governing principle requires the word order of a modifier to appear before the noun it modifies in Chinese, no matter whether the modifier is an adjective, an attributive clause, a prepositional phrase, an infinitive verb phrase (e.g., 可愛的孩子, 媽媽買的衣服, 朝南的房子, 跳的高度) (Y. H. Liu, 2001, pp. 46–47). Most of the Chinese syllables are morphemic; any alteration to their sequence will lead to a significant change in their meaning.

For instance, purely through word order, the following *shunkouliur* (顺口溜) ‘Chinese doggerel’ in the following example suggests that the citizens of the provinces mentioned differ as to their tolerance of or predilection for spicy food (W. Jiang 2009: 4). The first line of the example is written in Chinese characters. The second line is the same sentence written in Pinyin, the official Chinese phonetic system used in the People’s Republic of China. This is followed by a word–for–word or literal English translation in the third line. The last line in the example provides an idiomatic English translation.



- (1) a 四川人不怕辣
 Sìchuānrénbùpàlà;
 Sichuan person not fear spicy;
 Sichuaners do not fear (their food) being spicy.
- (1) b 湖北人辣不怕
 Húběirénlàbùpà;
 Hubei person spicy not fear;
 (Their food) being spicy is not a fearful matter to Hubeiners.
- (1) c 湖南人怕不辣
 Húnánrénpàbùlà.
 Hunan person fear not spicy.
 Hunaners fear that (their food) is not spicy (enough).

The very subtle differences in meaning in these sentences (1) *a* to (1) *c* are expressed by rearranging the word order of the last three morpho-syllables: *bù* (in blue) meaning ‘not’, *pà* (in green) meaning ‘fear’, and *là* (in red) ‘spicy (food)’. The colligations of these three phrases are, respectively:

- (1) a Negator + verb + noun (不怕辣, a collocation of *not fear + sth*)
- (1) b Noun + negator + verb (辣不怕, topic-comment structure, with N functioning as topic, and the negated verb phrase serving as comment)
- (1) c Verb + negator + adjective (怕不辣, V-O structure, in which the object position is filled by a negated adjective or stative verb ‘(being) spicy’)

* 辣 (*là*) may be used as a noun or an adjective in Mandarin, depending on the syntactic position or collocational pattern in which it appears. For example, in 很辣 (*hěnlà*, ‘very spicy’), it serves as an adjective, while in 吃辣 (*chīlà*, ‘eat spicy food’), it is a noun.

Generally speaking, the three phrases express very similar ideas; that is, Sichuaners, Hubeiners, and Hunaners are alike, in that they all like spicy food very much. Word plays a part, varying the word orders as a rhetorical device to convey subtle differences in meaning is not rare in Chinese. Word order (here in this study limited to noun phrases) is, therefore, an important aspect of the language disposition, influencing the structuring of information that CE users rely on heavily to express or manipulate meaning for special semantic effect. Rearrangement of the word order might not only change the meaning but could also shift the intended rhetorical effect of a given idea. For example, compare the effect of telling one’s teacher 我不完全懂 (*wǒ bù wán quán dǒng*, I did not understand fully [about what you said]) and 我完全不懂 (*wǒ wán quán bù dǒng*, I did not catch anything [you said]). While the five morpho-syllables (‘not completely V’ vs. ‘completely not V’) are identical, varying their order would not only change the scope of negation and result in rather different meanings, but it would also result in rather different rhetorical effects. Thus in Mandarin, word order plays a crucial role; in that it helps people deliver information and ideas in subtle ways. To play safe, therefore, the CE user would be inclined to use the structure they feel more comfortable with, thus making the modifier-modified sequence in their noun phrases statistically such a distinctive feature in CE.

Thus the empirically supported answer to our research question ‘Are there colligational preferences in CE?’ is: Yes, there are distinctive colligational features in CE. One of the features of CE found is that users tend to demonstrate a clear preference for putting the modifier in front of the modified rather than after it, thus forming a modifier-before-head sequence when constructing collocations. More specifically, within a noun phrase, most

modifiers (adjectives in this study) occur before the head nouns.

Furthermore, our analysis of CE data yielded far fewer cases of the *N + of* structure compared with BrE, which indicates a post-modifying or reverses word order in the structure of elements within a noun phrase. So a more specific answer to a question like ‘Are there colligational preferences in CE?’ is that colligational preference is indeed found in CE, in particularly preferred word order patterns. According to Lian (2010: 25), Mandarin Chinese, like other Chinese ‘dialects’ or languages in the Sino-Tibetan family, is typologically an analytical language, with little inflectional morphology to convey grammatical relationships. An analytic language is marked by the relatively frequent use of function words, auxiliary verbs, and varying word order as principal means to express syntactic relations rather than relying on inflected word forms. As a result, free morphemes, which are often separate words, are used very commonly in grammatical constructions along with word order. In sum, one of the distinctive features of the L1-conditioned cognitive disposition of CE users is derived from the fact that Chinese languages and dialects have relatively restrictive word orders, often relying on the order of constituents to convey important grammatical information. In contrast to this, inner-circle varieties such as British English can convey grammatical information through inflection, which allows for more flexibility in terms of word order (e.g., both pre-modifying and post-modifying structures in a noun phrase). In the case of CE, the modifier-modified sequence is a word order structure that is used with a higher frequency than can be accounted for by chance, as reflected in the preference of CE users in the CEC corpus.

The author hopes to argue, by the above results, that the codifications of CE could move from an overt layer (e.g., collocations like *four modernization*, *xiaokang society*), to a covert layer — the colligational patterns that are hidden in English used by Chinese people.

Notes

1 The software used in this study is AntConc (Version 3.5.8), written by Anthony, L. (2019). Available from <https://www.laurenceanthony.net/software>.

2 The corpus used in this study, *China English Corpus(CEC)*, is provided by Professor Li Wenzhong through personal contact in 2011. The author would like to express her sincere gratitude to Professor Li and his team for their kindness and hard work on the project of CEC.

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Changes of Heritage Education in China's Primary School Moral Education Textbooks

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Abstract: Heritage is the legacy inherited from past generations and serves as the main source of individual and national identity. Sustainable preservation of heritage mainly relies on heritage education. The subject of moral education plays a key role in heritage education in Chinese primary schools. This study investigates four sets of moral education textbooks since the 1980s to see how heritage education has been presented to primary school students in China. The results reveals that the active participation and innovation-oriented protection of heritage are being increasingly encouraged; the protection of tangible heritage and natural heritage is receiving much more attention; and the building-up of cultural confidence is turning into the focus of heritage education.

Keywords: heritage education; textbooks; changes; moral education

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1. Introduction

Heritage is the legacy inherited from past generations, maintained in the present, and passed on to future generations. It reminds people of their cultural roots, beliefs, and values, thus serving as the main source of individual and national identity (Copeland 2006: 40). Heritage is often categorized into two which are cultural heritage and natural heritage. Cultural heritage is related to the ways of living developed by a group of people and passed on from generation to generation, which can be further categorized into tangible and intangible. Tangible heritage refers to what is physically touchable, such as historic sites, monuments, museums, and so on; intangible heritage is immaterial such as festivals, rituals, language, literature, music, traditions, values, and beliefs, etc. Natural heritage is concerned with landscapes that demonstrate natural beauty or habitats, including endangered animals or plant species (Aslan & Ardemagni 2006: 26; Blake 2002: 15). As a unified multi-ethnic country, China owns a time-honored history and brilliant ancient civilization, which has endowed the country with rich cultural and natural heritage. It has so far boasted 56 United Nations Organization for Education, Science and

Culture (UNESCO) World Heritage sites, including 38 cultural sites, 14 natural sites, and 4 cultural and natural heritage sites. The rich and colorful heritage tells us the story of who we are, what we have done on the land, and our relationship with the surroundings, which is undoubtedly, both the solid foundation of national unity and an invaluable resource for establishing peace and understanding among people.

Invaluable and irreplaceable resource as it is, heritage is vulnerable to natural and man-made threats such as typhoons, floods, earthquakes, wars, or economic development. The uniqueness and vulnerability highlight the importance of heritage preservation. Sustainable protection depends on public awareness and a sense of stewardship towards heritage, both of which should be cultivated through education (Copeland 2006: 55–58). Heritage education has, therefore, been gaining increasing attention in recent years. According to Hunter (1988: 72), heritage education is a teaching and learning approach to foster an understanding of history and culture through cultural materials and heritage. It is not a discrete curriculum subject; instead, it is an intercultural approach to teaching several subjects, such as history, geography, arts, literature, and the like.

Hunter (1992: 22) further points out that the best way of heritage education is to integrate it with existing curricular materials so that all subjects can serve as the basis for heritage education. In 2014, the Ministry of Education of the People's Republic of China (PRCMOE) issued a document entitled *Guidelines for Promoting Chinese Heritage Education* to underscore the urgency and significance of strengthening heritage education. The document proposed heritage education be infused into curricula subjects and textbooks and that the subject moral education, among all the subjects in primary and secondary schools, plays a key role in fostering the sense of heritage preservation (PRCMOE 2014).

Scholars underscore the role of schools and textbooks as the essential vehicle for transmitting values and national ideology (Ersoy & Sahin 2012: 1547–1558; Merey, et al. 2012: 1627–1632; Spring 2010: 62–65). Textbooks on how to organize knowledge and teach it to students have a great impact on many students (Wertsch 2000: 511–533). Moral education in primary schools is designed to bring up good human beings and patriotic citizens, which largely involves presenting the precious heritage to students in its textbooks. Previous studies of moral education textbooks have focused on the connotation of morality and its changes (He 2014: 95–99; Sun 2016: 162–170; Xu 2016: 23–28). Little research, however, has been conducted on heritage education. By examining four sets of moral education textbooks for primary school students in China from the 1980s, this paper aims to sort out the changes over time in the way of heritage education presented to students in history, so as to provide reference for the future development of heritage education in primary schools in China.

2. Historical Overview of Moral Education in China

The predecessor of moral education in China is political education. As its name implies, political education during the period of 1949 to 1978 was highly politics-oriented, whose major aim was to strengthen socialist ideologies and cultivate communist moral qualities among students. Moral education was not introduced into primary schools as a compulsory subject from grade 1 to 5 until PRCMOE issued *Teaching Plan for Whole-day Five-year Primary Schools (Revised Draft)* in 1981, which required primary schools across the country to transform political education (*zhengzhi*) into Ideological and moral education (*sixiang pinde*) (PRCMOE 1981).

For the past four decades, moral education has mainly gone through four stages of development. The first stage is from 1981 to 1997. The major aim of moral education was to cultivate students' communist moral qualities and good behavior as well as train new talents with "Four Haves" (have ideals, have morality, have knowl-



edge and have discipline) (PRCMOE 1982). Though politics was still very much emphasized, moral education gradually turned to focus more on students' behavior.

The second stage lasts from 1997 to 2001. Moral education assumed further depoliticized tendency, for communist moral education was first replaced by civic moral education and rudimentary Marxist philosophy education (Lee & Ho 2005: 413–431). While collectivism and socialism were still very much emphasized, personal moral qualities gained more attention. Students were expected to develop capacities for making independent moral judgments in an increasingly open and modernized society (PRCMOE 1997).

From 2001 to 2016, a new set of educational reforms was implemented. Moral education in primary schools was divided into two levels: Morality and Life (inclusive of grades 1 to 2) and Morality and Society (inclusive of grades 3 to 6). The prefix “ideo–” was removed from the description of moral education, which marked an explicit depoliticization of moral education. Moral education aimed to cultivate civilized behaviors and habits, good moral qualities, and love for life; moreover, moral education tended to be closer to students' life experience, namely much emphasis was placed on linking students' life experience and social experience to their learning experience (PRCMOE 2002a, 2002b).

In 2016 PRCMOE issued a document to rename moral education textbooks *Morality and Life* and *Morality and Society* into *Morality and the Rule of Law*. In the current textbooks *Morality and the Rule of Law*, the knowledge concerning the laws and regulations is significantly increased to improve students' awareness of the rule of law. The past four decades have witnessed the depoliticization tendency of moral education, which in turn must have brought changes to heritage education in moral education textbooks.

3. Method

Given the importance of heritage education, the study aims to examine its changes over time in moral education textbooks in Chinese primary schools. Both quantitative analysis and content analysis are employed to evaluate four sets of moral education textbooks in primary schools from the 1980s. Primary school education in China is free and compulsory for all children from the age of 6 years old. Most primary education lasts 6 years with a tiny part lasting 5 years. The highly centralized and standardized structure of Chinese education fits well into the study because all primary schools are required to follow the same curriculum guidelines and use centrally approved textbooks.

Given the historical development of moral education, the sources for this study are selected from each of the four stages, which include four sets of moral education textbooks published by People's Education Press (PEP) in 1984, 1999 and 2006, and 2019 respectively. PEP, founded in 1950, is a press under the direct leadership of PRCMOE and the largest educational publishing house in China whose systematic research on issues in basic education and materials development has contributed to the overall excellence of its publications. Each set consists of 12 textbooks from grades 1 to 6, and altogether there are 48 textbooks.

Heritage has a broad meaning. But simply speaking, it is what we have inherited from our ancestors (Barghi, et al. 2017: 124–131). It can be classified as cultural heritage and natural heritage. Both are the legacy of our ancestors that tell us how they lived in the past, their values, beliefs, and interaction with others. In this study, both cultural and natural heritage are investigated in the four sets of textbooks.

4. Results and Discussion

4.1 *Active participation and innovation-oriented protection of heritage are increasingly encouraged*

Each set of textbooks consists of 12 textbooks from grades 1–6. The 1984 textbooks contain 142 lessons in total, 1999 contain 155 lessons, 2009 contain 154 lessons and 2019 contain 154 lessons. There are 15 lessons concerning heritage in 1984 textbooks, 24 in 1999, 30 in 2009, and 31 in 2019. As can be seen in Table 1, the percentage of heritage education in the four sets of textbooks has shown an increasing tendency since the 1980s. This rising tendency is in line with people's spiritual growth in the wake of the rapid development of the economy in China, to understand who they are, where they come from, and where they are going to go.

Set of textbooks	Lessons about heritage in the whole textbooks	Total lessons of the whole textbooks	Percentage of heritage education in the whole textbooks
1984	15	142	10.56%
1999	24	155	15.48%
2009	30	154	19.48%
2019	31	154	20.13%

Table 1: Quantity of lessons about heritage in textbooks

We analysed the content of the textbooks and found that in 2009 and 2019 textbooks, students are encouraged to actively participate in the protection and preservation of heritage while in 1984 and 1999 textbooks, students are merely taught to know the precious heritage in China. For instance, in Lesson 2 of Textbook 8 for 2009, it is recommended that students take the role of being a tour guide to introduce the landscapes of their hometown; in Lesson 10 of Textbook 10, it is suggested that students perform the roles in Beijing Opera. 2019 textbooks take a step further to warn students of the possible disappearance of some intangible heritage. Lesson 16 of Textbook 3 contains the following statement:

My mom has told me that sugar painting in my hometown has over 600 years of history, but fewer people choose to make this kind of painting nowadays. What a pity! If only I could master the skill of sugar painting. (PEP 2019b: 64)

This statement highlights that every individual can do their bit in the protection of heritage. According to Copeland (2004: 17–21), heritage doesn't just mean passive inheritance; instead, people in the present have the choice of what constitutes heritage, the contents of which would appear to have been selected in the past for them. The choice of what makes up heritage is more contingent on local communities and individuals. This bottom-up nature of heritage determines that the aim of heritage education is not only to develop students' knowledge about heritage but more significantly to prompt them to move from ideas to action and commit themselves to the process of heritage protection.

Heritage is the legacy from the past, but it is not just protecting the past. In other words, heritage is not something that is fixed, but something that changes over time. China is one of the world's oldest and richest con-



tinuous cultures. China's heritage and identity have gone through over 5,000 years of development. In its long history, Chinese culture has constantly been reinventing itself. The Chinese Ministry of Culture has been gradually setting up a fairly comprehensive system to preserve the cultural and natural heritage, sticking to a principle of "putting preservation first, concentrating on salvation, making rational use and carrying on and developing China's cultural heritage". Guided by this principle, the idea of innovation-oriented protection of heritage is put forward in 2019 textbooks. In Lesson 7 of Textbook 4, several illustrations demonstrating the new ways of playing the traditional game rope-skipping are presented, and students are encouraged to try new ways of playing the traditional games and have more fun. In Lesson 10 of Textbook 8 for 2019, the students are taught that while some social customs and habits are disappearing and in urgent need of protection, some are outdated and call for transformation. There is the following statement:

With the development of society, some social customs and habits can no longer meet the development of social development. These customs and habits are calling for transformation. (PEP 2019c: 79)

Although the outdated customs and habits are not listed, students are encouraged to survey to find out some and figure out ways to improve them. From these lessons in the current textbooks, we could find that heritage education is now shifting from a preservation-only focus to a focus on innovation-oriented protection.

4.2 The protection of tangible heritage and natural heritage is receiving more attention

We further investigated the respective lessons of intangible, tangible, and natural heritage. As is shown in Table 2, all four sets of moral education textbooks attach great importance to the presentation of intangible heritage. 1984, 1999, 2009, and 2019 textbooks consist of 12, 22, 23, and 22 lessons concerning intangible heritage, respectively. The lessons of intangible heritage are always on top of the priority list. Traditional Chinese philosophy places great emphasis on personal ethics and morality. We read through the textbooks and found that traditional virtues like honesty, modesty, diligence, and patriotism are highlighted in all four sets of textbooks. Besides, traditional festivals like Spring Festival, Lantern Festival, Mid-autumn Festival are presented to students in the four sets of textbooks. The emphasis on traditional virtues and festivals suggests that moral education textbooks have paid much attention to developing students' sense of morality and loyalty to the country.

Set of textbooks	Lessons tangible heritage	about	Lessons intangible heritage	about	Lessons about natural heritage
1984	2		12		1
1999	2		22		1
2009	4		23		3
2019	5		22		4

Table 2: Quantity of lessons about tangible, intangible, and natural heritage in textbooks

Meanwhile, lessons about tangible heritage and natural heritage increase markedly in the 2009 and 2019 textbooks. In 1984 and 1999 textbooks, students were only taught to protect the historic sites and endangered animals in China. In 2009 and 2019 textbooks, besides the historic sites and endangered animals, students learned the importance of protecting the artifacts, buildings, and natural landscapes. This increase reflects the enhanced

awareness of protecting and preserving tangible and natural heritage. In the late 1970s, China started the process of reform and opening-up. Since then, it has created an economic miracle, becoming the fastest growing economy in the world. In the early stage of reform and opening-up, the government spared no effort to fight poverty and improve the well-being of people. Some traditional buildings, monuments, and natural landscapes were destroyed for the sake of economic development. With the improved living standard and education, the knowledge on the value of tangible and natural heritage has been greatly enhanced. Moreover, the acceleration of the economy promotes the development of tourism. An increasing number of people have access to experiencing the wonders left by their ancestors, which makes them realize the value of the rich tangible and natural heritage in China. Lesson 6 in Textbook 9 for 2019 is inclusive of more than 10 photos of the natural landscapes in China and contains the following statement:

China boasts majestic mountains and magnificent plateaus, intermontane basins and broad plains, as well as rolling hills and vast rivers, lakes, and seas. The varied mosaic of landform types makes up a picture that reflects the lasting charm of Chinese culture. (PEP 2019a: 48)

This statement makes clear the relationship between natural landscapes and cultural heritage. It is the unique landscapes that have nurtured generations of Chinese people and brilliant Chinese culture. Since we depend in part on where we live, the protection of natural landscapes is also a vital part of heritage education.

4.3 The cultivation of cultural confidence is turning into the focus of intangible heritage education

Intangible heritage is indispensable to every aspect of people's life: monuments, artifacts, and historic sites are a product of intangible heritage; intangible heritage also influences an individual's identity, which is closely related to a national past; the values, beliefs, moral codes and ways of thinking also underlie the community's life. Intangible heritage, however, is threatened by the acceleration of modernization and globalization. People's national identity and loyalty to the country are challenged due to the advances in communication technologies and fragmenting effects of globalization. Great efforts have been made to preserve the intangible heritage, but with the change of cultural ecology, the presentation of intangible heritage has also undergone some changes in moral education textbooks.

We continued to investigate the four sets of textbooks to reveal the changes in the presentation of intangible heritage in the textbooks. According to Aslan & Ardemagni (2006: 30), intangible heritage can be classified into four domains: values and belief systems, rituals and festive events, traditional science and performing arts, language and stories. We calculated the lessons of different domains of intangible heritage in the four sets of textbooks. The results were analyzed in percentage terms, as is shown in Table 3.

Categories of intangible heritage	1984	1999	2009	2019
Values and belief systems	46.15%	54.55%	36.36%	33.33%
Rituals and festive events	15.38%	9.09%	18.18%	16.67%
Traditional science and performing arts	0%	0%	22.73%	25%
Language and stories	38.46%	36.36%	22.73%	25%

Table 3: Percentage of different categories of intangible heritage



The percentage of values and belief systems falls in 2009 and 2019 textbooks after the peak in 1999 textbooks. This is consistent with the 2002 and 2019 curricula guidelines that relate moral education more closely to students' life experience and social experience. The 2009 and 2019 textbooks underline the development of students' psychological health and moral judgment abilities. We read through the textbooks and found that traditional values like patriotism, honesty, modesty, diligence and senior respect have remained constant topics since the 1980s. One noticeable change is that more importance is attached to the family's role in transmitting the traditional values. The traditional family values are the rules and virtues passed from one generation to another in the family. As a family is the basic unit of society, enhancing traditional family values is fundamental to national development and social harmony. In Lesson 3 of Textbook 10 for 2019, some well-known examples concerning the traditional family values like *The Chinese Code of Success—Maxims by Zhu Zi*, *An Admonition to My Son by Zhuge Liang* are presented, and students are taught to inherit the family values and make a contribution to the big family of the society.

Rituals and festive events are important symbols of culture, an understanding of which facilitates students' appreciation of China's diverse traditions and creates a sense of loyalty to the country. A striking change in rituals and festive events in the textbooks is that the 2019 textbooks highlight the importance of maintaining family traditions through holidays for the first time. Holidays are a time for family, food, and fun. The family traditions celebrated each year will make the holiday a special occasion to bring family members together. For instance, Lesson 12 of Textbook 5 for 2019 discusses the family feast on Spring Festival Eve. The family reunion dinner on the eve of Chinese New Year has long been an essential part of celebrating the Spring Festival. Students are told that the family tradition enables everyone to develop a sense of belonging and helps build strong family relationships. Another major change is that the rituals and festive events of countries in the world are presented in 2009 and 2019 textbooks. In Lesson 14 of Textbook 11 for 2009, there is the following statement:

We are deeply impressed by their long history and colorful art when visiting these world-famous cities. If we go a step further to experience their customs, we will be presented with a more gorgeous and fantastic picture. (PEP 2009b: 102)

Students get to know the various festivals and rituals of different countries and are taught to recognize the similarities between different cultures and celebrate the differences. In addition, the historical sites and traditional foods of different countries in the world are introduced to students in 2009 and 2019 textbooks. It is explained that the historic sites, literature, science can be considered as the world's common heritage, and everyone is responsible for the protection of the common heritage, which suggests that heritage education in primary schools goes beyond the scope of national heritage to impart the knowledge about world heritage.

There is a breakthrough in the presentation of traditional science and arts in 2009 and 2019 textbooks. Traditional scientific knowledge, techniques, music, dance, etc., which were ignored in the past, first appeared in 2009 textbooks. They are called "the essence of Chinese culture" and are favored by friends in different countries. Take traditional Chinese medicine, for example. Its value is underlined in Lesson 10 of Textbook 10 for 2009. There is the following statement:

Traditional Chinese medicine has a history of several thousands of years. It is a well-established system of medical practice developed through thousands of years of empirical testing. It demonstrates the wisdom of the

Chinese nation. (PEP 2009a: 87)

It is pointed out that traditional Chinese medicine is now going global, and more and more foreigners get to know and trust its curative powers. The colorful folk art is also presented in Lesson 11 of Textbook 8. Students who learn folk music, dance, and craftsmanship have won recognition from experts at home and abroad for their distinctive local style and artistic expression of romanticism. More importantly, the urgency of protecting folk art is brought to attention. Students learn that folk art is in danger of fading away by the impact of urbanization and modernization, and the intangible heritage is protected by the *Intangible Cultural Heritage Law of the People's Republic of China*.

The percentage of language and stories decreases in 2009 and 2019 textbooks. In 1984 and 1999 textbooks, stories are mainly folktales and fables that teach moral lessons. Students are hoped to cultivate a sense of responsibility, patriotism, and respect by learning from the folktales and fables. Folktales and fables remain an important part of 2009 and 2019 textbooks. However, it is noteworthy that students are imparted the knowledge concerning the evolution of Chinese characters and hope to have more confidence in Chinese civilization. They are instructed those Chinese characters have a far-reaching impact on the neighboring countries. Lesson 8 of Textbook 9 for 2019 states:

Chinese characters are not only the carrier of Chinese civilization but the commonwealth of human civilization. Chinese characters were imported into Korea, Japan, Vietnam, and other areas and contributed to their economic development and cultural communication. These countries around China, therefore, form Chinese characters' cultural spheres. (PEP 2019a: 70)

By showing Chinese characters' contribution to the world, Students are expected to build cultural confidence so that they will become global citizens with a strong sense of national identity.

5. Conclusion

In the face of modernization and globalization, the major aim of heritage education is to bring up global citizens with a strong sense of national identity. However, the advances in communication technologies and fragmenting effects of globalization are challenging traditional cultural identity and loyalty to the country. The preservation of strong national identity, to a large extent, depends on the protection of cultural traditions and heritage in that an individual's sense of identity derives from his/her knowledge of his/her origins and what is inherited from the past (Copeland 2004: 18–22). Given the significance of protecting heritage, heritage education has been gaining increasing attention in recent years. This paper investigated four sets of moral education textbooks in Chinese primary schools to sort out the changes of heritage education in moral education textbooks. The changes could be summed up as follows: more concern is given to the innovation-oriented protection of heritage; more emphasis is attached to the protection of tangible and natural heritage, and more efforts are devoted to the build-up of cultural confidence. All these changes are encouraging signs that reflect the greater awareness and dramatic improvement of heritage education in China.

In the foreseeable future, heritage education will continue to be an issue of much national concern. Although rapid progress has been made in heritage education, there is still plenty of room for improvement. Heritage edu-



cation has so far been traditionally carried out in school settings, and teachers use conventional teaching strategies as textbooks to impart knowledge of heritage. However, the understanding of heritage gained from textbooks could be neither effective nor contextualized to the need of the students. It would be appropriate for students to visit museums, heritage sites, or national parks to experience the beauty of ancient civilizations. Emerging technologies like augmented reality can be applied to heritage education if students live far away from any heritage sites. Augmented reality can involve students with the heritage, offering them life-like experiences with the heritage, which will contribute to their profound understanding of the rich heritage left by the ancestors.

Hunter (1992: 25) proposed that heritage education be not itself a concrete curriculum subject. It is a cross-curricular approach to the teaching of different subjects. Although moral education plays a key role in heritage education in China, heritage education should also be carried out in other subjects in primary schools. In recent years heritage education has been added to Chinese, music and art. So, this paper can be a starting point for a more comprehensive study of heritage education in primary schools. Future research could investigate the textbooks of other subjects to ascertain the overall development of heritage education in China.

Textbooks and curricula give the standard version of what should be taught. However, they cannot show us variations in teachers' presentation and students' learning ability; in other words, textbooks and curricula can only document what students are expected to learn, but not the reality of what the students may have learned. This is the limitation of this study; thus, it is hoped that future studies could focus on the learning outcomes of current heritage education in primary schools.

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The Compatibility and Implementation Path of Technical, Literary, Ideological and Political Education of English Listening and Speaking Courses

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This article is the result of the project entitled “Teaching Mode of English teaching and: English Listening Training in the Wuling Mountain Areas” (Grant No. 18C0564) supported by Hunan Provincial Department of Education

Abstract: The English Listening and Speaking Courses are essential for cultivating English majors. In the professional course study, Western culture will have a specific impact on students' cultural attitudes; it is necessary to incorporate ideological and political education into the listening and speaking courses to give full play to its education function and prevent biased listening and believing. The introduction of critical multi-perspectives helps students form a correct outlook on the world, life, and values. As the carrier of culture, English listening and speaking courses carry people's ideas, world outlook, outlook on life, values, etc. Skill and literature should not be isolated and separated, and teachers should strive to achieve an organic combination. The realization of its multi-dimensional curriculum goals and paths is related to the two-way international cultural interaction, the explicit and implicit ideological and political teaching, the practical and testing classrooms, and the balanced input and output of literary audio-visual materials in the new media environment.

Keywords: International Cultural Communication; English Listening and Speaking Course; Ideology and Politics; skills Training

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英語聽說課程技能性、文學性、 思政性的契合與實現路徑

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摘要: 英語聽說課程是培養英語專業人才的骨幹技能課程。專業課程學習中,西方文化對於學生的文化觀念會造成一定的影響;有必要在聽說課程中融入思想政治教育,發揮其育人功能,防止

偏聽偏信。批判性多視角的引入幫助學生形成正確的世界觀、人生觀和價值觀。英語聽說課程，作為文化的載體，承載著人的思想理念、世界觀、人生觀、價值觀等；技能性、文學性、思政不應是孤立分開的，教學應該努力實現三者的有機結合。其多維課程目標和路徑的實現和契合，在新媒體環境下，與雙向的國際文化互動、顯隱性思政教學、實戰檢驗性課堂、文學性視聽材料的平衡性輸入輸出等有關。

關鍵詞：國際文化傳播；英語聽說課程；思政；技能訓練

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引言

課程思政是英語專業課程建設、教育教學的有機組成部分。賦予了專業課程引領人文價值的重任，為新時代國際化綜合人才培養，提供了正確的導向。高校英語課程是人文性和工具性的辯證統一：不僅要教授學生英語語言基礎知識，培養和提高學生基本語言能力；更應該以人為本，注重人文綜合素質的培養和全面發展。學生通過英語類技能課程的學習，掌握、運用語言交際工具，同時提升人文素養，強化信念擔當。實現全面習近平總書記在十九大報告中指出的“文化是一個國家、一個民族的靈魂。文化興國運興，文化強民族強。沒有高度的文化自信，沒有文化的繁榮興盛，就沒有中華民族偉大復興。”

一、聽說課程思政必要性與顯性、隱性思政

外語專業的大學生身處多元文化碰撞和變革的前沿，豐富的世界文本提供了更多的“他者”話語體系；飽含西方價值觀的英美文化也充滿著與東方文明古國不同的知識體系、話語體系、價值體系：個人主義、物質主義、演講辯論的議會政治等。外語專業課程思政的一個初心，應該就是拿來主義，學習借鑒的同時又不能喪失民族立場，因此批判性借鑒學習很重要。英語聽說課程思政，關乎民族地區高校英語教育培養什麼接班人。長遠來看，是維護民族地區社會穩定、實現國家長治久安的需要。外語教學中強調“多維目標”，即課堂教學要達成三個目標維度：情感態度和價值觀、過程和方法、知識與技能；或者是基於其上的衍生複合體。這三個目標很難用孤立的方法或者手段來實現，但幾個蘊藏其中的基本原則卻是必需：多元互觀（批判性），過程中的顯隱性思政（潛移默化），和實踐、實戰技能培養（檢驗性）。

（一）本土與他者互觀（批判性）

高校英語聽說課程是培養英語人才的重要途徑。在專業課程學習過程中，西方文化對於學生的文化觀念會造成一定的影響，有必要在英語課程教學過程中融入思想政治教育，發揮其育人功能的需要，以批判的視角幫助學生形成正確的世界觀、人生觀和價值觀，其本質也是情感態度和價值觀的多元化塑造。作為文化的載體，也有人文性，承載著人的思想理念、世界觀、人生觀、價值觀等。其工具性和人文性不是孤立分開的，教學應該努力實現兩者的有機結合。顯性的思政教育和隱形的潛移默化的思政教育，都是必要的，其路



徑更加值得思考。習總書記關於人類共同命運體、民族文化的共同精神家園的論述,其實清楚的指明了這一點,批判性借鑒人類共有物質精神文明,才能實現多元化的百花齊放和百家爭鳴。

(二) 顯、隱性思政與英語聽說課程

新時代思政課要堅持理直氣壯地進行公開、直接的顯性思政。總書記的重要論述揭示了思想政治理論課教育教學的客觀規律,是辦好新時代思政課的基本遵循。顯性思政需要教師重新認識、梳理、發掘英語課程內容;根據教學的內容,因時、因地、因材地將思政元素有機融入到實踐教學之中。比如加入總理新聞發佈會中的中英文交替接續翻譯,不僅可以得到口語口譯的標準答案,也可以收穫中國領導人的權威聲音與嚴正態度。中英文雙語紀錄片材料的互相比較,用最簡單和直白的對比來獲得英語聽說課程的工具性,同時也收穫紀錄片的人文性與社會科學的實驗精神。通過有具體價值觀靶向的學習材料,將英語語言的實用功能,語言基礎知識和翻譯實戰技能,在實實在在明明白白的文化與價值觀對比(學習實踐)中,收穫語言技能也收穫直觀的思政進步。

思政課的隱性教育:英語聽說課程思政不是要把思政課的內容簡單照搬到其他課程中,不是專業課的“思政化”,生搬硬套往往照貓畫虎四不像。鑒於聽說課的技能性,直接的思政,極其容易被貼上說教和口號標籤。英語專業的隱形思政更多要從具備人文性深度的材料入手,從文學性角度出發,文學文本的多義性以及修辭中的隱喻,都是英語課程隱形思政的良好場域。聽說課程裏面的演講(修辭)和辯論(口語思辨),以及聽力材料中的文學性較強的歷史遺產片或者是大學公開課系列,都是很好的批判性學習的工具和思政二次再造的好材料。隱形思政的好處就在於,它提供了新鮮和直觀的原材料,也提供了可以批判性學習的思維訓練契機。真理如果不是越辯越明的話,那一定是偏聽偏信。思考辯論不僅僅是技能層面的訓練,結合文學性思想性強的材料,更能實現思維與三觀的綜合提升。

二、課程多維度目標下的契合與新媒體演化助力

思政教學的具體實現路徑,並不是喊口號和舉胳膊就可以實現。聽說課程教學的實踐路徑依賴:課程思政的課程設計理念、課程思政的教育理念,教材改進和演化、以及教學素材的思政化和教學環節過程的潛移默化。新媒體環境下,聽說課程正面臨重生和再造的挑戰。

隨著學科核心素養的引入,教師的教學理念逐步發生了改變:不斷(終生)學習、實踐教學、核心素養、全方位育人等觀念深入人心,學科思政教育的地位也隨之凸顯。英語聽說課程的教學目標越發顯得多維:語言技能工具性、口譯聽記培養目標、情感目標等都是重點。網路化智能化學習在英語教育領域,有充分的技術優勢:英語自主學習、課堂教育能夠從局限的課堂延伸到課外,使其在時空上更加自由化。傳統課堂內顯性的、可控的英語專業技能更多的被凸顯,而背後的文學性、思想性目標,就成為問題的另一面——在缺乏傳統教育面授心傳的時候,過度智能機器化的弊端,使得思政和人文修養以及文學性可能會成為教育的缺失薄弱的一環。

(一) 新媒体引发:教学教材革命与需要与时俱进思政的契合

常態課程思政與應時應急課程思政的契合^①,是一個可以辯證統一的問題。一方面思政的內容有賴於

經典性,意思就是一些長遠恒久的價值不會輕易變更;另一方面則是,思政有與時俱進的變革需要。聽說材料的時效性和新媒體傳播形式的變革,是其與時俱進最直接、直白的原因。外語專業的教學內容通常有兩個特徵:一個是以教材為主,紙質媒體,因為出版印刷周轉期長和改版困難,通常有“過去時”的特徵;綜英、高英教材甚至有幾十年不變的情況。而校外機構往往是不斷革新教材,並不時往培訓教材裏面投入成功學和人生心靈雞湯的私貨,以便包裝出時髦和先進的味道;逐利的本性也促使它們,若有若無的在這些方面進行思政(洗腦)。另一方面,先鋒的外語老師們也經常補充新鮮的外語視聽材料,以便跟隨這些免費生鮮的語言文化素材保持語言的活力,通常有“進行時”特徵。紙質教材的舊媒體形式,常常不能日日革新,缺乏有效新媒體內容和形式的創新,連累思政也受制於媒體形式和內容。教學材料改進不夠及時,缺乏時代性強的當代思政材料,素材更新、思政更新未能齊頭並進和與時俱進。當代世界思想、哲學思潮、思政,往往風起雲湧每隔數年(競選周期或是社科學派周期等),就發生變化,且有越來越快的趨勢。大量材料來源如 BBC、CNN、VOA 等等西方媒體,其媒體機構夾雜著政商利益,本身在西方就充滿爭議。其政黨輪換和利益團體的相互衝突和妥協,使得世界各種真假資訊,常常被媒體放大、扭曲、甚至生造所謂事實;其本身也飽受批判,需要理性、耐心辨別真偽。

(二) 全媒體融合與思政學習的契合

新媒體的融合經常需要文字與口語表達以及視頻全媒體融合的方式進行綜合表述。聽力和口語本是單獨的技能訓練,但隨著教學水準層次的提高,課程的打通和融合日趨常見,甚至連閱讀和寫作發展為讀後學寫,批判性寫作往往包含了閱讀後經驗,其也益漸成為四六級考試,專四考試等語言類考試的常見形式。在視、聽、說、翻譯後,接續文化對比課程,這都是在新媒體下,技能、課程融合的典型範例;其後是高年級文化、文學課程的登場,大量富有文學文化底蘊的材料構建了一個個語義場,需要大量的課程建設,投入到新視聽說材料的解讀,其時效性和應用性因此存在問題。教材的更新換代,紙質出版,至少是以三兩年一個的週期;而視聽說材料的時效性可能只有半年到一年,新聞英語及其話題的語言技能訓練價值可能隔年則如隔山般古老。如“弗洛伊德黑命貴”新聞,其背後的族群衝突和種族歧視問題,需要借助深刻的文學性,和國際人文眼光,來推動思政的與時俱進。

(三) 知識點碎片化與慕課課程系統化^②

知識碎片化:碎片化學習本身是網路慕課的一個特點,也是學習的一種焦慮,缺乏系統性和體系完整性也是其先天不足特徵。但其開放式的課程特點,給與了課程無限的擴充和升級的可能性。思政內容也可助網路滲透進教學過程與內容,並與原來的碎片化知識點和課程素材重新整合,構成新的教學與思政工作體系。而不是依賴紙質教材的長週期出版和終極式的革新。

課程的系統化:網路慕課以及資訊化課程資源的出現,在某種程度上可以緩解碎片化的焦慮。新媒體時代,教材教程的定義可能要更廣泛定義為包含電子出版物、電子網路課程、以及應用性軟體 APP 的綜合體。一門專業課程,至少應該是有豐富理論和實踐經驗的老師,一本或多本處於經常更新狀態的教科書體系,以及一門經常得到學習者互動和更新的網路課程。紙質版的經典教材,作為傳統媒體的拜物主義觀念下的神器,是教師進行教學活動的主要依據,是學生獲取知識的主要來源。其傳統屬性一直和傳統課堂一起,英語教師可以深入研究教材,挖掘其中的德育因素,設計合理的教學方案,將其融入教學實踐,將語言知



識傳授與價值觀引領有機結合,更好地實現英語教學的目標。

三、英語聽說課程目標與思政契合的實現路徑

英語聽說課程目標的分支節點與以下有關:文學性視聽材料的昇華、雙向的國際文化互動(平衡性輸入輸出)、顯隱性思政教學、實戰檢驗性課堂等有關。外語專業課程可從培養方案入手、教材建設為重點、資源庫建設考試題庫建設為輔、課堂輸入輸出為重中之重,構建外語專業課程思政實施體系,目的當然是培養具備國際視野和中國情懷的跨文化交際專業人才。拿納稅人的錢培養接受高等教育的優秀公民,期待他們為國家人民服務,這件事情其實一點也不意外,又紅又專本身也並無問題。很多國家對於愛國的“顏色”定義不一樣:有些國家和地區的綠色代表政治正確環保和平,有些則是藍色之類代表團結統一大同理想之類。

(一) 文學性材料與思政目標的契合與昇華

選擇大學慕課、公開課課程裏的文學專題,避免應試類型材料的碎片化和片段化不完整學習;利用有文學性和深刻思考的網路視聽材料,可以虛擬一個全英文的文學課堂和再造聽說學習空間。聽說課程可以借此,進行高層次的口語和聽力練習。如文學文本研討式學習,主題辯論等,以期昇華到有文學背景的三觀的塑造上去,期待進一步的批判性思維的引發。為了使課程知識與課程思政能夠在教學中有機融合、互為支撐,保證思政素材的完整性和系統性:我們選取的教學材料為 BBC 所拍攝的以中國改革開放為主題的紀錄片,單集 13 分鐘,集中講述改革開放的某個側面,共 5 集。其材料因為是對於國家大事的宏觀描述,其語言使用往往規範且謹慎,接近於口頭表達的“雅言”層次。也選用了《英國國家史》一類的歷史遺產片,這種單集 40 分鐘,總時長 15 集 600 分鐘的材料,保證了語言輸入的原文原材料真實性和權威性;同時兼顧適當的文學性口語雅言的出現。前者語速適中,無生僻單詞,適合大學生初學者學習。而歷史紀錄片則按照“歷史回顧—文學背景—歷史脈絡—關聯未來”的框架來依次展開,這些內容無疑是能夠達成我們所期盼的課程思政的教學目標的為將思政引入課堂。尤其是《英國國家史》,涉及到古英語和古代英國歷史,以及現代英語;其體例和牛津字典類似,言語中經常加入歷史文獻、以及文學典故作為佐證材料;其目的也無非是想在說文解字的過程中,實現“不學詩、無以言”的修辭命題;其實背後肯定還是要文以載道的。長期性的聽說學習過程中,加入有目的性的文學和思政材料,有助於形成比較穩定長期可靠的人文觀念。同時也能對於西方主流文明價值觀,有一個前後一貫的主線的穩定把握。防止因為媒體、主持人的頻繁切換,被所謂小報紙小媒體的偏見所輕易左右和顛覆既有主流觀點。

(二) 聽說課堂的思政輸入與思政輸出

聽說課堂的技能訓練目標,需要將輸入輸出來均衡發展:語言技能上從口語、聽力技能以及口譯複合聽說技能方面,可以分為記憶、復述或交替傳譯、思辨探究等^③。使學生學會用英語恰當地表達中國文化,傳達中國思想文化和價值理念,將所學應用於英語語境中,實現知識學習、技能訓練、跨文化與價值觀教育的有機融合,進一步加深對英語語言的認知。聽說課堂教學,其本身就是一個思政教育平臺,應當被充分利用挖掘課程中的思政元素,發揮聽說課程領先帶動其他課程的優勢,充分發揮各門課程的育人功能。聽說課程作為載體,可以顯性的採用思政教材與理念,有針對性的進行選修課程的搭建。外國語語言和文學專業,不

僅僅是語言技能聽說讀寫譯的單一訓練的專業,也是有文學文化課程作為底蘊研習的專業。在實際的英語聽說教學過程中,為了保證語言輸入的真實性和連續性,為學生營造原汁原味的語言環境,原版引進的英語教材備受推崇,而本土化教材在編纂時,也往往選擇國外的源語言材料,這樣做的結果就是學生在無形中受到西方價值觀的滲透和隱性輸入,導致中國文化、價值觀的缺失。同時,因為文學材料過於冗長,常常不能完全消化,而導致。政治類文本的翻譯,是建立在基礎學習之上的;中國文化在世界範圍內具有普世認同價值,需要雙向溝通。兩會新聞發佈會材料具備了雙重價值,不僅有標準的中英文語言範本意義,也有思政和國家價值觀的範本意義。也是極有雙向檢驗意義的翻譯口譯實戰檢驗材料。教師可以自主選編聽說教學素材,將原教材與自選時事資料有機結合,貼近社會現實的素材更容易激發學習興趣、產生情感共鳴,有助於取得好的教學效果。一些新時代的主題,如:中國文化、中國外交、新發展理念、人類命運共同體、一帶一路等,都可以潤物無聲地滲透於教學內容中。針對西方媒體資源,教師需引導學生批判的汲取西方思想與文化理念,注意引領正確的價值取向,培養學生的價值判斷能力。

(三) 國際文化思政雙向互動的契合

學好外語的目標:應該不止於單向輸入西方文化,以及轉述解讀西方文化;也包括為世界講好中國故事,傳遞中國聲音,推動中華優秀傳統文化創造性轉化、創新性發展,為人民提供精神指引。引導學生逐步確立馬克思主義信仰,堅定理想信念。外語專業是文化與意識形態安全的最前沿,其專業屬性、育人功能、人才培養目標決定了加強外語專業課程思政建設的必要性。

雙向互動實例:英語聽說課程教學中,可以使用與教學內容相關的介紹中國文化、政治、經濟、風俗的英語語音、視頻作為課堂或者課後訓練材料,提升學生對母語文化的認同感,提高學生用英語表述中國文化的能力。比如美國的科羅拉多大峽谷和張家界為姊妹城市,地形地貌和公園風景文化的營造,有著極大的相似性。兩邊都有紀錄片,完全可以先選擇以美國國家地理材料作為聽力輸入,其後選擇中文版本的張家界紀錄片作為口譯和筆譯實踐,強化剛剛輸入的辭彙以及句型。在思政層面可以比較兩個國家公園景點,對於當地土著文化、民族文化的開發與保護。深刻的認識到吉首大學張家界校區外國語學院,在當地旅遊文化以及文旅扶貧方面的重要地位。

(四) 文化翻譯對等的選擇

雖然聽說課只是涉及到語言文化層面比較直白和淺顯的東西,但作為文化翻譯(口譯)層面的導入,卻是很有意義。典籍翻譯中的對等,首要的是文本層次的對等,其後才會有翻譯功能以及形式方面的對等發生。《道德經》、《論語》等中文典籍,在被西方傳教士初譯為英文版的時候,也參考了《聖經》等西方經典的原文和中文譯本,意思就是要建立一個文化橋樑,方便雙向互通。要是沒有互通的話,此種文化價值就只能是單向和不能經歷普世考驗的。早期的人類語錄體典籍、宗教書籍,大都有關於人生意義的終極思考一類:馬太福音中的“虛空”,言語即道本身,對應《道德經》中的道生萬物、道本道無常道之類,其實都可以譯介互通。至於文化選擇,智者樂水,仁者樂山。

除了紐約時報、華盛頓郵報、經濟學家等西方經典報刊,教師還應該引導學生堅持閱讀 China Daily (中國日報)、Beijing Review 一類英文報刊,堅持收聽、收看 CCTV 的系列英文頻道。閱讀 *The Analects of Confucius* (《論語》) 等中文古典著作;以及經典性可以相對應的英文版經典著作。精神上也可以將李白詩句延



續了夫子以及《楚辭》中的浪漫精神：“我本楚狂人，鳳歌笑孔丘”；對照西方革命派的“*No king, No king*”，以及各種後現代的搖滾解構：“*we are the world, we are the champions*”。引導學生合理利用新媒體，好的學習平臺更好地瞭解國家，瞭解家鄉民風民情，樹立好文化自信。“講好中國故事、傳播好中國聲音、闡釋好中國特色、展示好中國形象”。弘揚傳統文化，堅定文化自信，建立中國文化經典與西方文化經典，在思政上的交流機制，而不僅僅是做排除法的選擇題。

結語

課程思政在教材、教學資源中、以及教學活動中的滲透與效果的實現，其效果量化與評估是一個需要耐心和時間的難題。課程思政本身是一個融入性活動，它的效果無法再短短數日內就能測評得到^④。傳統的語言測試評估需要修正方法，複合以情感因素調查法等綜合方法才能初步測探課程思政效果。可能更長的時間維度，更宏觀的課程規劃，更細緻的教學方案，才有可能達到春風化雨的效果。

注釋

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- ② 李良嘉：《微課支架下英語聽說課程的網絡化學習多模態》，《中文學刊》2021 年第 2 期。
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Research on the Teaching Practice of Ideological and Political Education in Blended College English Courses Based on POA

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Abstract: As part of humanistic education in colleges and universities, college English course plays an important role in carrying out ideological and political education. College English courses should focus on the fundamental task of “building morality and cultivating people” and play its role in educating students. Starting from the high consistency between the production-oriented approach and the notion of ideological and political education, the present study adopts the Online and Offline Blending Teaching Mode(OOBTM) to explore the teaching practice of ideological and political education. Under the guidance of the production-oriented approach, the college English teaching can effectively achieve overall educational goals and cultivate students to talk about Chinese stories and spread Chinese culture. Knowing Chinese and Western cultural differences can enable students to establish a sense of mutual nationalization of Chinese and Western civilizations.

Keywords: POA; ideological and political education; blended teaching; Chinese culture

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基於產出導向法的大學英語課程 思政混合式教學實踐研究

陳倩倩

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摘要:大學英語課程作為高校人文教育的一部分,是課程思政實施的重要陣地。大學英語教學應圍繞“立德樹人”的根本任務,發揮其育人作用。“產出導向法”是具有中國特色的外語教育理



論。本文從產出導向法理念與課程思政的高度契合性出發,採用線上線下混合式教學模式,探討大學英語課程思政教學實踐。產出導向法理論指導下的大學英語課程思政教學能有效實現全程全方位育人目標,培養學生講好中國故事、傳播中國文化的能力。認識中西文化差異能夠使學生樹立中西文明互鑒意識。

關鍵詞:產出導向法;課程思政;混合式;中國文化

引言

高校課程思政是高校加強人才培養的重要舉措。2016年,習近平總書記在全國高校思想政治工作会议中發表重要講話,提出要將立德樹人作為高校的立身之本。^①為落實立德樹人的根本任務,2020年,教育部印發的《高等學校課程思政建設指導綱要》(以下簡稱《綱要》)中指出,“各類課程與思政課程同向同行,將顯性教育和隱性教育相統一,構建全員全程全方位育人大格局”。^②

大學英語課程作為高校人文教育的一部分,兼具工具性和人文性。語言是文化的載體。學生在接觸大量的英文材料的同時,也需面對國外複雜多元的價值觀和意識形態。世界多元文化輸入過程中的跨文化比較與思辨為外語課程思政教學打開了新的視角。如何通過語言意識形態和文化價值取向的鑒別,從而進行有效的價值觀引導,是大學英語教學的責任和使命。大學英語作為課程思政的重要陣地,應幫助學生樹立正確的價值觀,堅定中國立場,辯證地認識和評價外來文化。^③根據最新版的《大學英語教學指南》(以下簡稱《指南》),大學英語應注重課程思政教學,圍繞立德樹人這一根本任務,將社會主義核心價值觀融入教學內容,培養學生中國文化理解能力和傳播意識,同時加強中外文化異同的認識,培養學生家國情懷和融通中西的能力。^④

一、大學英語課程思政研究現狀

目前國內學者對大學英語課程思政的研究主要集中在宏觀層面。劉建達構建了基於課程思政的大學外語課程改革 BIPA 模型,建設大學外語課程思政教學體系。^⑤孫有中^⑥,劉正光,嶽曼曼^⑦等從教材建設方面探討外語課程思政教材設計的原則與方法,推動教學理念與教學路徑的更新。蔡基剛展開對大學英語課程思政實施路徑的探討。^⑧文秋芳提出外語課程思政的實施框架,為外語課程思政教學提供了具體的操作建議。^⑨以上研究構建了大學英語課程思政教學的實施框架與實施路徑,從理念轉變,教材建設,教學方法更新等方面為大學英語課程思政教學的開展指明了方向。

在具體的教學實施層面,嶽曼曼,劉正光闡述了混合式教學與“立德樹人”課程思政的高度契合性,充分論證了混合式教學能更好地實現課程思政隱性教學目標。^⑩楊婧在現有教材的基礎上,著重探討大學英語思政教學的具體實施方案。^⑪總體看來,目前的大學英語課程思政教學研究依然大體基於宏觀的角度,少有具體教學理念和方法指導下的課堂教學實踐系統研究和具體操作方案。因此,本文嘗試從教學實踐出發,以產出導向法為理論支撐,探討大學英語課程思政教學的實踐方案。

二、POA 理論與大學英語課程思政的契合性

產出導向法(Production-oriented Approach, POA)是文秋芳教授團隊提出的具有中國特色的外語教育理



論創新成果,對中國外語教育改革具有深遠的影響。POA 理論體系涵蓋教學理念,教學假設和教學流程三大部分。

教學理念中的“學習中心說”強調課堂教學活動必須促成有效學習的發生,換言之,教師在教學環節的設計過程中應考慮學生能學到什麼。“學用一體說”針對的是大學英語課堂教學中長期以來的“學用分離”現象,提倡輸入性學習與產出性成果的緊密結合,主張邊學邊用。^⑫學習中心說和學用一體說與課程思政立德樹人的育人目標高度契合,在大學英語課程思政教學過程中,教師應充分挖掘每單元的思政元素,使學生將獲得的接受性知識轉化為產出能力。在學用結合的課堂活動中,著重關注學生是否達到設定的育人目標,以潤物細無聲的方式培養學生的家國情懷,使其樹立正確的價值觀。

“文化交流說”是教學內容選擇的依據,主張文化交流互鑒,強調不同國家與民族互相尊重彼此文化,加強交流,平等對話。^⑬該理念與大學英語課程思政立德樹人的根本任務不謀而合。根據《綱要》和《指南》(2020)中對於課程思政的要求,要加強中國傳統文化教育,引導學生深刻理解中國傳統文化的思想精髓,服務中國文化對外傳播,實現中外文明交流互鑒。“關鍵能力說”的前身是“全人教育說”。經過調整後的“關鍵能力說”包括語言、學習、思辨、文化、創新和合作六種關鍵能力,旨在更好地貫徹立德樹人的任務,實現全程全方位育人目標。

綜上所述,產出導向法的理念與大學英語課程思政的要求和立德樹人的根本任務高度一致,這表明將產出導向法理論運用於大學英語課程思政教學的實踐具有可行性。鑒於此,本文以產出導向法為理論指導,以《新目標大學英語》為例,運用線上線下混合式教學,探討大學英語課程思政教學實踐。

三、基於產出導向法的大學英語課程思政教學設計

產出導向法的教學流程包括由驅動—促成—評價組成的若幹循環鏈。教學實踐以單元為教學單位,採用平行推進式,一個單元設計一個大產出目標,然後將其分解為若幹個小產出目標,有前後邏輯關係但又各自相對獨立的小產出目標可形成完整的“驅動—促成—評價”循環。^⑭筆者選取了《新目標大學英語》第二冊第一單元 *Understanding Chinese Culture and Tradition* 為例進行教學設計和實踐。根據 POA 教學流程,筆者借助“雲班課”平臺構建了基於產出導向法的大學英語課程思政混合式教學框架,如圖 1 所示。

由於筆者所在的學校是一所外國語學院,因此大學英語課程課時相對充裕,周課時為 4,每單元安排 8 課時,為充分展開 POA 教學活動提供了課時保障。筆者進行了為期兩周的教學實驗,對象為金融學院投資學專業一年級學生,並於結束時在雲班課搜集學生對於本次教學實驗的反饋。

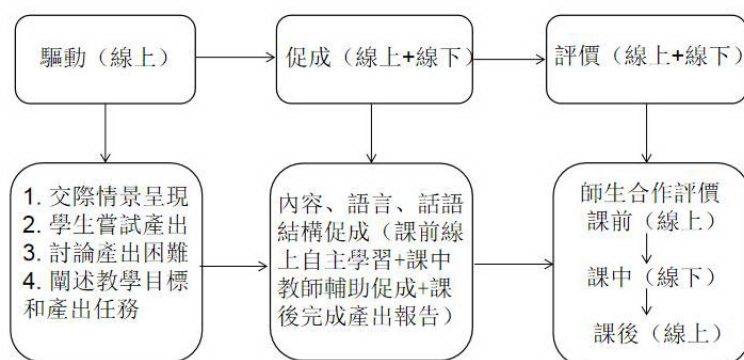


圖 1 基於產出導向法的大學英語課程思政混合式教學框架

(一) 教學總目標

該單元的主题是中國優秀傳統文化,本次教學實踐主要選取了儒家思想這一主题作為案例,以中國傳統文化為思政切入點展開教學活動。本單元語言目標為:(1) 能用英語闡述儒家思想內涵和重要觀點;(2) 能運用擴展定義寫作的方法闡述定義,掌握對比與比較的方法。育人目標為:(1) 學生通過學習和產出,能用英語闡述儒家重要思想,講好中國故事,樹立文化自信;(2) 通過學習,樹立不同文化之間平等交流,文明互鑒的意識。

(二) 教學設計

本單元總產出任務為:假如你是在美國留學的中國學生,請你在學校中西文化交流論壇上發帖,題為儒家思想與中西文化平等對話。筆者將總產出任務分為兩個子任務(圖2)。

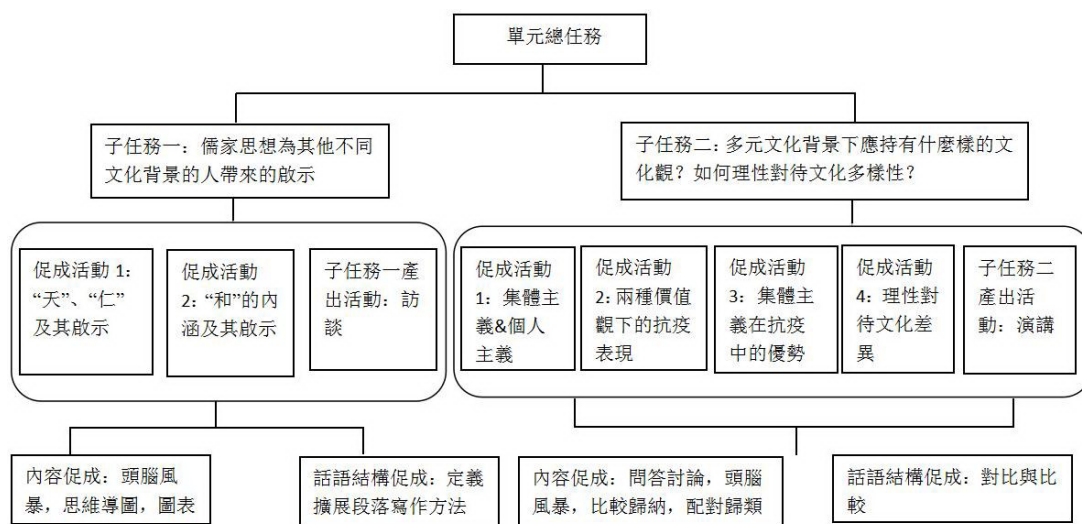


圖2 促成活動設計

子任務一:儒家思想為其它不同文化背景的人帶來的啟示;子任務二:多元文化背景下應持有什麼樣的文化觀? 如何理性對待文化多樣性? 兩個大的產出子任務各自形成驅動—促成—評價的循環,最終實現大的產出目標。任務分解的目的是為了充分發揮教師的中介作用,為學生搭建縱向“腳手架”。任務是否進一步分解,取決於學生水平。如學生還有難度,則應進一步分解。^⑮鑒於學生基礎相對薄弱,在實際教學過程中筆者進一步將子任務一分解為:(1) 美國人眼中的儒學及其背後的儒家思想精髓;(2) 你認為這些儒家思想給其它不同文化背景的人什麼樣的啟示? 子任務二可進一步分解為:(1) 以儒家文化為代表的中國文化和西方文化之間在價值觀上存在的差異(以集體主義和個人主義為視角);(2) 儒家思想為多元文化視角下理性對待文化差異帶來的啟示。

(三) 教學流程

1. 子任務一:儒家思想為其它不同文化背景的人帶來的啟示。

驅動

驅動環節通過教師設計具有潛在交際價值的任務,使學生在產出的過程中意識到困難和不足,從而調動學習積極性。筆者先向學生呈現交際場景(線上雲班課呈現):你的美國朋友發郵件給你表示對儒家思想很感興趣,想跟你探討儒家文化,以及儒家思想給美國和其它文化背景的人帶來的啟示。請學生嘗試產出,

以書面報告的形式給美國朋友回一封郵件,上傳雲班課平臺,並就產出過程中遇到的困難請學生在線上進行討論,師生共同發現了產出過程中暴露的問題:(1) 學生對儒家思想缺乏了解。(2) 學生不知道如何用英文闡述儒家相關思想。以此促使學生產生“饑餓感”,激發學習欲望,即文秋芳 POA 理論強調的輸出驅動假設。之後筆者闡述教學目標和產出任務。

促成

促成環節幫助學生“逢山開路、遇水搭橋”,有針對性地為學生產出提供腳手架。文秋芳指出,促成環節既包括輸入也包括輸出,二者不進行明確區分,促成活動應體現“學用一體”的理念。根據“輸入促成假設”,輸入要為明確的產出目標服務。教師應根據產出需要,從輸入材料中挑出有利於產出的部分,供學生選擇性學習。促成環節應至少包括內容、語言和話語結構三方面。^⑥由於篇幅所限,本文主要闡述內容和話語結構兩方面的促成活動。

子任務一的輸入材料由課文 Text A 和補充材料組成。筆者於課前先將補充材料發布在雲班課平臺,供學生課前自主學習。課文主要講美國人如何理解儒家思想精髓,學生通過閱讀課文,完成課後第一部分練習。該部分練習以概念圖的形式概括了美國人眼中的儒家思想核心要素。概念圖的優勢在於給學生提供一個框架,以便快速把握文章的結構,使輸入學習有利於輸出。通過關鍵詞 (the sacred in the secular, harmony) 引伸出美國人對於儒學的關注點:仁、和。教學活動設計圍繞美國人對於儒學的關注點和背後的儒家思想精髓以及對其它文化的啟示展開。接著教師請學生快速閱讀文章 2-4 段並討論:為什麼作者認為儒家思想不是宗教? 儒家思想和宗教的區別是什麼? 你認為儒家思想是宗教嗎? 學生小組討論快速找出文章中相應的信息。在此過程中學生發現課文所涉相關內容並不足以支撐更深層次的討論。此時筆者適時引入補充材料 *Confucian Thought on Heaven and Humanity*,該文章選自葉朗《中國文化讀本》。同時,筆者向學生介紹本單元的閱讀和寫作重點,即對複雜概念和定義的理解和對於定義的擴展寫作,寫作技能是閱讀技能的延伸。學生小組討論找出儒家關於“天”的思想相應詞句和表達,並通過頭腦風暴提煉要點,繪制思維導圖,最後根據思維導圖總結出定義擴展段落的寫作要點,教師在此過程中的每一步都提供相應的幫助。本環節的輸出練習為根據思維導圖和寫作要點複述並嘗試產出:什麼是孔子關於天的思想? 你認為儒家思想中關於天的理念給人們什麼樣的啟示?

接著學生找出儒家關於“仁”的思想要點,依舊采用提煉重點繪制思維導圖的方法,總結定義寫作要點並派小組代表複述。需要強調的是,在此環節,筆者根據各小組學生基礎不同,嘗試選擇性給予協助。比如,基礎相對較好的小組少給腳手架,而對於基礎薄弱的同學多給予幫助,或者請組內基礎較好的學生為基礎相對薄弱的學生提供腳手架,如此既能使弱生得到相應的幫助使之順利產出,又能激發強生的學習積極性和自信心。接下來,教師請學生討論儒家的“天”與“仁”之間的關係,引導學生闡述天道自然是人倫道德的基礎,天地為人與萬物之父母引伸出儒家“仁民而愛物”的普世道德。^⑦此部分的課後產出任務為儒家思想中的“天”與“仁”的內涵及其對其它文化背景的人的啟示,要求學生以書面報告的形式上傳到雲班課。

學生在兩輪產出之後,已基本掌握了對於定義的擴展寫作。下一步,筆者請學生例舉出儒家思想中關於“和”的名句及其英文翻譯(雲班課課前完成)。並進一步引導學生歸納討論“天人合一”;“禮之用,和為貴”;“家和萬事興”;“君子和而不同,小人同而不和”等名句從哪些角度闡述了“和”的內涵。學生以小組為單位討論並派代表匯報總結了人與自然的關係,人與人之間的關係以及不同文化之間的關係。值得注意的是“和而不同”的理念強調如何對待文化差異,為子任務二做了鋪墊。接著結合課文練習 2B 部分,以圖表的形式挖掘美國人從不同角度出發理解的“和”,並討論:你認為儒家“和”文化給人們什麼樣的啟示? 本環節產出練習為運用定義擴展寫作的方法談談對於“和”的理解。子任務一的最終產出活動要求學生結合以上所學儒家思想的觀點,以及課文中美國人對於儒學的看法,以小組為單位進行採訪,一人扮演美國學生 inter-



viewer, 另外幾人扮演中國學生 interviewee, 為了降低任務難度, 小組中每一位 interviewee 認領一個儒家思想及其啟示, 最後錄制視頻上傳到雲班課。

子任務一實現了三步走, 遵循 POA “記憶、理解、應用、分析、評價和創造” 的認知規律。^⑧ 首先教師帶領學生通過閱讀材料掌握理解複雜概念的方法和定義擴展段落寫作技巧, 此為記憶、理解階段; 產出練習要求闡述對於“和”的理解, 此為應用、分析階段, 整個過程符合 POA 促成漸進性的原則。

子任務二: 多元文化背景下應持有什麼樣的文化觀? 如何理性對待文化多樣性?

驅動

子任務二呈現的情景為: 武漢疫情爆發初期, 外媒質疑中國的封鎖隔離政策侵犯了人權和自由(圖片呈現), 你怎麼認為? 學生圍繞以下幾個問題展開討論: (1) 為什麼會導致這種衝突和誤解? 中西文化在價值觀上有何差異? (2) 儒家思想為多元文化視角下理性對待文化差異帶來的啟示。學生仍然通過雲班課嘗試產出, 並討論產出困難, 教師點評。

促成

促成部分的輸入材料為筆者選自 *China Daily* 的文章 *Understanding culture is key to understanding political differences* (材料提前發布於雲班課供學生自主學習)。課堂活動第一步, 根據文章內容兩人一組結對討論: (1) Why do the author's fellow countrymen have become doubtful about United States' highly effective government since the outbreak of the Covid-19 pandemic? (2) What may be the root cause to conflicts and misunderstanding between two cultures? 通過討論得出中西文化體現出集體主義和個人主義的差異。因此該部分的話語結構促成是通過 comparison & contrast 的方法對比兩種價值觀的差異。第二步, 教師在講解對比和比較的方法以及相關知識的基礎上, 協助學生運用對比和比較的方法完成圖表練習, 比較集體主義和個人主義的差異, 總結文章運用的 subject-by-subject 的比較方法。該練習的目的是幫助學生快速概括歸納文章中有利於產出的信息, 進行選擇性學習。

第三步, 集體主義如何體現在中國人民抗疫鬥爭中(課前雲班課發布視頻: *The lockdown-one month in Wuhan*), 通過頭腦風暴全班討論出提示詞(全國一盤棋、醫護人員、志願者、解放軍、社區工作者、武漢及全國人民等)並由此小組討論發散思維, 最後小組選派代表匯報, 教師通過教學課件呈現疫情初期中國人抗疫表現以完善補充學生的觀點。接下來用同樣的方法討論疫情下個人主義的體現, 進一步引導學生探討西方媒體及民眾強調的個人權利和自由如何體現在抗疫過程中。本環節的課外輸出活動為: 用比較的方法分析集體主義和個人主義, 以及兩種價值觀為主導的文化背景下中國和西方在抗疫過程中的表現。第四步, 鑒於外媒對中國疫情隔離管控政策的質疑, 你的看法如何? 你認為集體主義在中國抗疫鬥爭中體現出什麼樣的優勢和有效性? 該環節筆者提供了英國學者 John Ross 的採訪視頻, 採訪中 John Ross 表達了其對於中國抗疫的肯定和對西方人權的質疑。考慮到學生基礎, 除視頻外配上文字。教師引導學生根據採訪的技巧, 聚焦問題和回答。教師引導學生關注中國抗疫的積極成效, 體現了社會主義制度和治理體系的優越性, 展現出中國人民崇尚集體主義和家國情懷的中國精神。本環節輸出練習為角色扮演: 小組為單位分別扮演外國記者和中國受訪者, 每一個受訪者負責一個問題, 之後小組成員角色互換。

第五步, 你認為在多元文化背景下應如何理性對待文化差異? 儒家思想為多元文化背景下理性對待文化差異帶來什麼樣的啟示? 該步驟中筆者以抽查的形式請學生先口頭複述子任務一中“和而不同”的理念, 接下來提供的材料為習近平在亞洲文明對話大會開幕式上的主旨演講。對文中具體措施和建議採用配對歸類的方法加深對有用信息的理解。最後小組討論並產出: 在和而不同理念指導下的多元文化觀中, 什麼是“和”(保留自己的優秀文明傳統), 什麼是“不同”(兼收並蓄, 容納不同文明的存在)? 你認為應如何對待中國傳統文化? 如何實現不同文明平等對話? 子任務二課後產出活動為演講, 中西文化差異與多元文化發

展。該部分產出的目的是使學生意識到中國文化“和而不同”體現出的強大包容性,及當今世界構建人類命運共同體的迫切需求,培養學生思辨能力。最終學生完成大產出任務。

整個促成環節設計遵循文秋芳教授提出的精準性、多樣性和漸進性。^①促成活動高度匹配產出目標,輸入活動涵蓋文本閱讀和視頻觀看學習,輸出活動包括口頭產出和書面報告。交際形式分為訪談,討論,演講等。此外,課堂活動實現了個人活動,兩人結對,小組活動和全班討論等多種形式。就漸進性而言,促成活動體現了從接受性技能到產出型技能的轉變過程,遵循 POA 認知規律。

(四) 師生合作評價

產出導向法主張師生合作評價(TSCA)。在教師的專業引領下,學生邊評邊學,評學結合。評價包括即時評價和延時評價。本文即時評價體現在每一個子任務的小任務環節,隨時對學生產出進行評價。延時評價包括對學生課後完成的產出任務進行評價。此處主要闡述延時評價。依據文秋芳 TSCA 評價步驟,以最終的總產出任務為例,筆者於課前從雲班課上傳的學生產出報告中選出典型樣本。為保證樣本的可改,可評性,該樣本處於中等質量水平。從教學目標出發,內容,語言,和話語結構三方面制定評價標準和步驟。課堂上,學生根據評價標準和重點,對典型樣本進行獨立評價,小組討論,到大班討論。最後學生將自評和互評修改後的終稿提交批改網進行機器評分。師生合作評價能為學生提供專業精準的指導,使學生課後自評和互評更有方向和針對性。^②

四、教學反思與結語

通過兩周的教學實踐,筆者發現產出導向法指導下的大學英語課程思政教學效果相較於傳統課堂具有明顯優勢。首先,學生學習積極性顯著提高,之後雲班課的學生反饋表明以產出為導向的學習使得學生“願意學”,比傳統課堂“學習目的更明確”,“學習過程中收穫很多”。其次,育人目標達成更為有效。學生通過輸入性學習和產出任務的完成,特別是通過循序漸進的子任務,理解並學會用英語闡述中國優秀儒家文化,講好中國故事,潛移默化中樹立文化自信,並“加深對中西文化差異的認識”,“學會尊重不同的文化”,實現文明互鑒。第三,產出為導向的學習使得學生有更多語言運用的機會,教師的中介作用也提高了學生的產出質量,真正實現了“有效學習”。

同時,由於教學時間和學生語言水平的限制,子任務中的一些教學環節設計還有待改進。部分基礎薄弱學生反饋“有些力不從心”,因此教師應根據學生的語言水平適時調整腳手架使用策略,幫助學生增強自信心,更好地完成產出任務。此外,由於課堂教學時間受限,驅動和部分評價環節在雲班課上完成,加上課後小產出任務過多使得學生反映“負擔重”、“占用太多課外時間”。鑒於此,教師在活動設計和課後任務布置中應適當考慮學生的主觀想法。

筆者以產出導向法為指導的大學英語課程思政混合式教學研究,是對大學英語更好實現立德樹人根本任務的初步探究。課堂實踐證明產出導向法能有效達成育人效果,滿足大學英語工具性與人文性的雙重目標。但同時由於時間和筆者水平的限制,該研究尚有很多不足之處,基於產出導向法的課程思政研究也需要更多的實踐以證實其有效性。

注釋

① 習近平在全國高校思想政治工作会议的重要講話,《人民日報》2016 年版。

② 教育部:《高等學校課程思政建設指導綱要》,2020 年版。



- ③ 楊金才:《新時代外語教育課程思政建設的幾點思考》,《外語教學》2020年第6期。
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- ⑪ 楊婧:《大學英語課程思政教育的實踐研究》,《外語電化教學》2020年第4期。
- ⑫ 文秋芳:《構建產出導向法理論體系》,《外語教學與研究》2015年第4期。
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- ⑭ 文秋芳:《“產出導向法”與對外漢語教學》,《世界漢語教學》2018年第3期。
- ⑮ 曹巧珍:《“產出導向法”之教師中介作用探析—以新一代大學英語>第二冊第四單元為例》,《中國外語教育》2017年第1期。
- ⑯ 文秋芳:《構建產出導向法理論體系》,《外語教學與研究》2015年第4期。
- ⑰ 李存山:《天地信仰與儒家的普世道德》,《國際儒學(中英文)》2021年第1期。
- ⑱ 邱琳:《產出導向法促成活動設計》,外語教學與研究出版社2020年版,頁73-76。
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[Studies in Literature]

City and City Affairs:
The American Cities in Saul Bellow's Works

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Abstract: A city is a collection of buildings and a multiple complex of geographical space, political and cultural space, and the people's daily living space. As a scholarly writer, Saul Bellow has a clear mind. Instead of regarding the city as a dangerous place like 19th-century writers, he integrates the real city with the literary one. He not only describes the cities with geographical and spatial structure, the cities with political and cultural symbols, as well as the life scenes of American cities — Chicago and New York. It is through people's activities and events in the city to trigger people's in-depth thinking modern urban problems caused by activities and events of people in the cities, guiding them to take steps to solve the ailments of the cities that cause "urban sorrow".

Keywords: American literature; Saul Bellow; city of literature

Notes on the contributor: ZHANG Xianjun holds a doctoral degree in literature. He works in Neijiang Normal University. His academic interest lies in literary theory, comparative literature, and world literature.

城市與城事
——索爾·貝婁作品中的美國城市

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摘要: 城市不僅僅是其中所有建築的集合,而且是某一地理空間、政治與文化空間和市民日常生活空間的多重複合體。作為學者型作家,索爾·貝婁有著清醒的頭腦,他不會像十九世紀作家那樣簡單地視城市為畏途,而是將現實的城市與文學城市相融合,不僅僅為讀者描繪了地理空間結構的城市、政治和文化表徵的城市,以及美國都市芝加哥與紐約的生活場景,更是通過城市中人們的活動和發生的事件去引發人們對現代都市存在問題的深入思考,



引導人們採取措施來解決引發“城愁”的諸多“城痛”。

關鍵字：美國文學；索爾·貝婁；文學城市

引言

城市空間作為一種客觀存在和地理方位，擁有街道、園林、自然景觀和地標性建築物等，而作為文化的存在，則是一種拋棄了傳統的地緣、血緣紐帶而形成的不同於鄉村生活的獨特的生活方式。它既呈現出客觀的空間地理位置，各具特色的文化場域，又揭示了主觀的生存氛圍。索爾·貝婁貝婁在深重的城市苦惱中長大，善於觀察都市生活的結構和習俗，對城市每個角落進行細緻入微的觀察，並且對城市意象精雕細鏤。所以，約翰·雅各·克萊頓曾說：“又有誰能比貝婁更瞭解這個城市的分崩離析、荒唐和物化呢？”敘述中的空間形式無須在一個完成了的或完全的系統意義上單獨建立一個封閉系統，它可以包括無限限制的、甚至是無窮的關係系統。所以，貝婁在其眾多文學作品中都展現出他熟識的城市文化符號，將城市生活和城市體驗真實地展現在讀者面前，描繪了一幅幅美國城市生活的浮世繪。

一、地理空間結構的展現

作家在作品中再現城市空間以獲得真實感和現場感時，其城市書寫必然受制於具體的城市地理空間，從而使其作品具有特定歷史時期城市空間的特性。索爾·貝婁主要運用在空間中展開時間的方法，又讓過去、現在能夠以某種方式在空間上同時展開，從開始文學創作到最後的作品，芝加哥與紐約這兩個城市的歷史空間與現實空間使索爾·貝婁的作品具有一種“如在”的感覺，讓其作品人物活動在其間，演繹著自己的悲歡離合、生老病死。

在《芝加哥城的今昔》中，索爾·貝婁寫道：“芝加哥，建造了自己，又毀壞了自己，然後把瓦礫運走，再從頭開始。毀滅於戰火中的歐洲城市，慘澹經營，又恢復了原來面貌。芝加哥卻不謀求恢復，而是營造出具有天壤之別的東西。在這裡，指望穩定，那簡直就是發瘋。”^①在這個城市中，哈波大街上留存的表徵著生活連續性的醜陋透頂的建築與西部的新摩天大樓並峙，新建的公寓和商城區與已陷於停頓的古老工業區共存。

在過去的半年內，更多的街道被拆掉了……整整一條街被拆掉了。羅維的匈牙利餐廳被清除了，還有本的檯球房和磚砌的古老車庫，還有格拉奇的殯儀館……時間的廢墟被推倒了，而且被堆積起來，裝上卡車，然後當垃圾倒掉了。新的鋼樑正在豎起來。肉鋪的櫥窗裡不再懸掛波蘭式香腸……舊的商店招牌也不見了。^②

所以，雖然芝加哥的歷史並不很長，但對居住在這裡地的居民來說，他們也擁有自己的紀念碑和廢墟，而芝加哥的加速發展，把幾十年的時光密集地濃縮在了一起，使城市居民親眼見證了它的歷史變遷。

在芝加哥，索爾·貝婁度過了他街頭巷陌摸爬滾打的童年生活，對於這個城市可以說是瞭若指掌，索爾·貝婁在作品中基本上是歷時描繪了他生活過或者熟悉的區域，見證了美國城市裡溫暖的街道生活的消失。在其筆下，奧吉·馬奇和澤特蘭生長在狄維仁街以波蘭移民為主的聚居區，猶太人很少，街道破敗不堪，建築都是平房和三層樓房。波蘭移民小小的“磚房都漆成了鮮紅色、栗色和糖果綠。草坪都用鐵管圍起來”^③，“他們每家的廚房牆上都貼滿鼓鼓囊囊、油膩褪色的心形象，在聖餐會、復活節和耶誕節時，門口掛著

聖像和花兒乾枯的花籃。”^④住戶常常將作廢的燒水罐截成兩半，擱在草地上養花，在鮮紅磚牆映襯下花盆顯得銀光閃閃。幾十年後，這裡變成波多黎各人的天下，但燒水罐做成的花盆仍是這一街區的風景，天竺葵花開如舊。大蕭條時期芝加哥黑人區，“天很冷，寒風吹著，黑人居住區到處一片破敗、醜陋的景象……。”^⑤在這裡讀者看到，寒風吹著垃圾與廢紙貼地漫舞，開關門時冷熱氣體交錯形成了白霧，一家人在黑暗中眼睛一齊向來訪者注目，以及喝醉後赤裸女子的瘋言瘋語。經過了經濟復蘇和科技發展，50 年代以後芝加哥貧民區的狀況是否有所改觀呢，情況顯然不令人滿意，在南芝加哥，

“我們仍然坐著，繼續喝威士忌，打牌賭錢，抽雪茄。這間坐落在南芝加哥的廚房，不時透進來銅廠和煉油廠難聞的氣味，房頂上電線密如蛛網。我時時注視著那些在這重工業區殘存的奇特生物。在那充滿油味的池塘裡，鯉魚和泥鰍仍然生活著。黑人婦女用麵團做魚餌，在那裡釣魚。在垃圾堆不遠的地方，還能看到土撥鼠和兔子；紅翅膀的烏鴉帶著肩章，就像穿制服的招待員一樣，從香蒲樹上空飛過。某些花兒仍然頑強地開著。”^⑥

黑人貧民區如此，西印度貧民區又如何呢，“這裡就像環礁湖畔波多黎各首府聖胡安的某些地帶的景象。湖水泛著泡沫，散發出爛牛肚的氣味。街上同樣是破牆皮、碎玻璃和垃圾。商店門口同樣是外行用藍粉筆寫的歪七斜八的字。”^⑦貧民區的這種狀況到了二十世紀 60 年代一如既往：

“黑人住的貧民窟裡散發著臭氣……較遠的西部都是工業區。在蕭條的南區，到處是污水，垃圾，一層金礦的廢礦泥發著閃光。原來的牲口圍場已經廢棄，一座座紅色的高大的屠宰場，在孤獨之中破敗腐爛。然後是呆板單調、有點嘈雜的平房住宅區和貧瘠荒涼的公園。”^⑧

在貧民聚居區的小房子裡，歐洲移民和從農村遷居城市的黑人們過著醉生夢死的生活，充盈著賭博、強姦、野種、梅毒和喧囂的死亡。

與貧民區髒亂差的生活環境截然不同的是芝加哥鬧市區的繁華。當西特林到訪花花公子俱樂部，站在摩天大樓上四外瞭望時，他看到：

“現在我們處於芝加哥最迷人的一角，我得描述一下周圍的環境。湖岸的景色十分壯觀。我雖然沒有看到一切，但對這裡的一切我非常熟悉，而且對它們有著深切的感受——密執安湖金波激盪，浩淼的湖水岸旁是閃閃發光的馬路。人們驅走了這片土地的空曠，而空曠的土地對人的回報只是微乎其微的善意。我們坐在這裡，周圍充斥著美女、醇酒、時裝，以及戴著珠寶、灑著香水的男子，一片財富與權勢的阿諛奉承。”^⑨

貧民區的存在使得城市平民得以在城市生活下去，而從另外一個意義上說，“城市中的貧民區，本身就是一項對比設施，因此是必不可少的。可以使他們想起既有富人也有窮人。由於有了窮人，富人才得以從驕奢淫逸的生活中得到無窮的樂趣，得到額外的收益。”^⑩

對於芝加哥來說，無論是奧吉和路易大蕭條中苦難的經歷，澤特蘭平淡的成長過程，還是 40 年代以後洪堡、西特林、赫索格、科爾德諸人的城市生活，故事的場景都是該城的真實地點，在城市歷史中是有據可查的。“我在描寫芝加哥的環境時其實是看得見它們的。環境自己在表現著自己的存在風格，我不過是把這種風格精緻化了。”^⑪這就使人們覺得，作家在文學創作時突出並強化了故事時空的時代性和真實感，使人們



閱讀時不自覺地感同身受,與作品人物同悲喜共命運。當然,他對紐約的描寫也不例外。

但如果說在貝婁的作品中,芝加哥是以居民區的地理空間結構形式以及它的發展變化呈現在讀者面前的話,其紐約真實地理空間描寫對讀者吸引力最大的則是城市地標,圍繞著能夠代表紐約特徵的地標性街區展開敘述。因為街道“既表達它清晰的世俗生活,也表達它曖昧的時尚生活。街道還承受了城市的噪音和形象,承受了商品和消費,承受了歷史和未來,承受了匆忙的商人、漫步的詩人、無聊的閒逛者以及無家可歸的流浪者,最後,它承受的是時代的氣質和生活的風格。”^⑫而這些地標性街區作為故事背景出現,往往會積澱成為一種城市意象。

貝婁作品中首先寫到是華爾街。華爾街位於曼哈頓島南部,這裡的聯邦廳曾是獨立後美國第一屆國會所在地,喬治·華盛頓在此就職總統,不過它作為美國政治中心隨著遷都華盛頓而時過境遷,但它作為美國金融中心卻持久輝煌。作為美國和世界金融和投資中心的象徵,華爾街比其他任何地方更能代表金融和經濟的力量,在這條街道上的各個辦公樓中,富有才華的人們經營著巨大的財富,在創造效率的同時也賺取了金錢。對於全世界的金融從業者與投資人來說,華爾街就是眾望所歸的資本市場的聖殿,不過,它既能使人一夜暴富,也能使人頃刻破產。1929年股市大崩潰就使美國和歐洲數百萬人陷入破產境地,引發了震撼全球的經濟危機,進入大蕭條時期,這場大蕭條在貝婁的小說和散文作品中每每被提及。然而大蕭條過後,經過恢復後的華爾街繁忙依舊,《只爭朝夕》中,特莫金把威爾赫姆帶到人聲喧嚷的交易所中,讓他見識到了這裡投機與牟利的狂熱,也從他手中騙走了最後的存款。

貝婁作品中紐約的第二個地標是格林威(尼)治村,這裡是紐約浪漫主義和實驗藝術的發源地,是紐約最具有文化色彩的社區。不同於華爾街的高樓大廈,這裡有迷人的街屋、隱蔽的陋巷以及翠綠的庭院。1910年,一些尋求藝術創新和個人自由的作家、藝術家被這裡低廉的房租所吸引來此居住,發現這裡宜人的城市景致和人文氣氛與巴黎塞納河畔的左岸十分相似,因此這裡聚居了大批尋求成功的作家和藝術家,他們在地下室的俱樂部中,在搖曳的燭光裡朗讀詩作,交流思想。這些人古怪的行為做派和不同尋常的穿著打扮,形成了這裡的波西米亞風格。詩人洪堡早年就是在此形成了自己的風格的,此時的“美國處於一種極度的狂亂之中,它期待著從貧民窟裡迸出‘反基督’來。可以與此相反,這位洪堡·弗萊謝爾卻捧著可愛的禮物出現了。他的所作所為有紳士風度,顯示出迷人的魅力,因此受到熱烈的歡迎。”^⑬但曾經吟誦出快樂詩句的他也隨著格林威治村波西米亞風格的衰落而走下坡路,被主流社會所排擠,直至死亡。而認為“沒有詩歌確實也就沒有人類生活”的澤特蘭與妻子在一九四零年搬到了城裡,在貝利克街住了十多年,他們立即成了格林尼治村裡著名的一對。在芝加哥,他們不知不覺地就成了放縱不羈的波希米亞人,而在格林尼治,澤特蘭被認同於文學先鋒派和政治激進派。^⑭

百老匯大街是貝婁作品中另一個標誌性街區,這裡是紐約演藝文化的中心。百老匯戲劇藝術在上世紀20年代達到鼎盛時期,但這種繁盛卻因20年代末爆發的經濟危機而趨於蕭索乃至停止,經濟危機過去後,百老匯的戲劇演出逐步恢復並超越以前,不斷締造新的輝煌,多彩的舞臺劇演出成為紐約這個世界大都會的亮點。貝婁作品中許多主人公在此經歷了自己的成功與失敗:西特林的第一個劇本《馮·特倫克》在貝拉斯科劇院連演八個月,使他取得了巨大的成功。威爾赫姆則在這條街道的熙熙攘攘的人流中尋找著騙走他存款的特莫金。

二、政治與文化的表徵

城市記憶不僅僅是一種集體記憶、歷史記憶和社會記憶,還是一種文化記憶,所以“城市不只是建築物的群集,它更是各種密切相關並經常相互影響的各種功能的複合體——它不單是權利的集中,更是文化的

歸極。”^⑤密集的人口和發達的經濟文化,吸引著大批民眾聚居城市,特別是在二十世紀 20 年代就已實現城市化的美國。在《文化地理學》中,邁克·克朗認為地理景觀和社會意識形態互為共存並相互制約,地理空間研究具有深厚的文化價值。同樣,地理空間對文學含義的構建也有著積極作用,現代文學作品中的環境與地理景觀脫離了傳統的含義,作為一種象徵系統和指涉系統,和其他文學元素配合參與了文本的敘事以及作品主題意蘊的生成。貝婁作品中的城市表徵著美國政治與文化,它在現在和過去被同時感知到,當然這種表徵往往不是在作品中正面展開的,而是隱入小說的背景中,在背景中凸現出來。因為純粹的空間性是一種為文學所渴望的、但永遠實現不了的狀態。

除了在一些文章和演講稿中談到政治外,貝婁的小說沒有一本(篇)是政治性作品,然而首部長篇小說就涉及到了政治。作品中的約瑟夫在加拿大出生,從小移居美國,在芝加哥上學、工作、結婚成家,他全身心地融入到美國,將美國視為自己的家,卻仍是沒有美國國籍的外國僑民。人文地理學注重地與地協調、人與地協調以及人與人協調,但這種協調在美國寬容平等、自由民主的社會現實生活中卻很難達成。出於對美國的熱愛,戰時約瑟夫報名參軍,然而他的身份需要經受長時間的審查,在此期間他不得不辭去原來在旅遊局的工作,而失去工作的他在生活上又處處碰壁,只好待在房間裡,與世隔絕。這裡就涉及到了美國的移民政策,當時的美國吸引著世界各地的人們,作為鄰國的加拿大也成為美國移民的來源國之一,雖然這些移民從小就生活在美國,但他們仍然得不到充分的信任,與美國公民是有區別的,“從法律的角度來說,我還是依然故我。但是,關於我目前的身份問題,我卻不知道怎樣說才好,我只能說明我過去是怎樣一個人。”^⑥而城市的真實權力被貪污腐化的政客所掌控,他們不會為真正有意義的事情盡心盡力,工作效率低下,又對移民持懷疑態度,所以審查一拖再拖,而約瑟夫的一腔熱情就在這個過程中消磨殆盡。

知識份子在美國的發展中曾起到巨大作用,獨立戰爭時的主要領導人佛蘭克林、傑弗遜等都是著名的知識份子,他們代表著民意,然而進入現代後美國的統治者將知識份子分裂開來,當權者追求的是經濟穩定和繁榮,科技型專家倍受重視,因為他們能推動生產力發展,而人文知識份子卻受到排擠,因為他們的存在會給政權帶來麻煩。“華爾街是權力的代表……詩人就像醉漢和不合時宜的人,或者精神變態者,可憐蟲;不論窮富,他們毫無例外地都處於軟弱無力的地位。”^⑦對於知識份子來說,不管你情願與否,往往在不知不覺間被拖進權力鬥爭的旋渦,在捍衛浪漫主義的鬥爭中,詩人洪堡失敗了,他想組建“文藝內閣”,而當權者和民眾卻認為美國真正意義上的偉大是物質上的成功,持相反立場的洪堡自然不受歡迎,只能成為邊緣人。西特林為防止邊緣化,奴性地將自己綁在中產階級的戰車上,昧著良心地為那些大人物寫所謂“真實”的傳記,歌功頌德,所以他能夠作為貴賓,由顯赫的官員和一流的新聞記者陪同,出席在紐約舉辦的文化活動,而洪堡卻只能躲在路邊啃硬椒鹽餅,在小旅館裡默默病逝。

美國內戰後黑人獲得人身自由,大部分離開南方種植園進入北部或中西部城市,但名義上的解放並不能消滅種族歧視,黑人在升學、就業等方面實際上存在極大的不平等,為了安撫黑人在就業上的不平等,美國政府在失業救濟方面對黑人有所照顧,而這種不平等的照顧對於那些失業的白人來說則更能激起他們的憤怒,所以,生活艱難的斯泰卡很是不滿:“可是領救濟金的人可不少——都是假的!他們沒有弄不到手的東西,他們隨時都可以到綏夫特阿莫公司當工人包火腿。他們通過屠宰場找他們去幹活。他們從來不少失業。只是他們寧可躺在懶床上,吃公家的。”^⑧然而,黑人和白人之間的不信任和敵視並不能靠政府某些小的政策傾斜而有所緩和。特別是在黑人民族主義思想影響下,黑人暴力行為在美國的大城市裡屢見不鮮。為了避免種族歧視的嫌疑,有關部門對黑人的一些犯罪行為,只要不造成巨大影響,盡可能視而不見,聽而不聞,並且政府的這一做法也影響到了普通民眾,

“我(指西特林)離開芝加哥的那個週末,就報導了二十五起兇殺案。我真不願意去想真正的數字



究竟是多少。上一次我乘傑克遜公園的高架鐵,有兩個黑人流氓在那裡用刮臉刀割一個傢伙的褲兜,而他卻裝作睡著了。二十個人都眼睜睜地瞅著,我也是其中之一,卻奈何不得。”¹⁹

一院之長科爾德懸賞尋找黑人合謀殺害白人研究生的證人,反被誣為“種族主義者”。事實上,美國的種族問題特別是黑人問題一直未能很好地得到解決,一方面是由於白人從心理上瞧不起黑人,認為他們粗魯愚昧,在就業等問題上採取了區別對待的態度,而美國政府為了既不得罪白人又要安撫黑人,就在失業救濟金上對黑人多一些照顧,在黑人犯罪方面多一些原諒,而綏靖的後果則是白人和黑人都不滿意,他們之間的隔閡越來越大,黑人不願意工作而依靠領救濟金生活的人數越來越多,黑人犯罪現象愈加嚴重,所謂“種族平等”造成了實際上的不平等,並且這種不平等引發的社會問題一直嚴重威脅著美國社會。貝婁在他的文學作品中提出了社會學家和政治學家應該關注的問題,希望引起重視,但他左右不了美國的政治,所以幾十年過後情況依舊。

在貝婁看來,文化是一座城市的靈魂,沒有文化的城市就像一個空殼,紐約和芝加哥在文化上具有重大差異。相對於紐約來說,芝加哥是粗暴的,“在屠宰技術方面芝加哥一度領先世界,千千萬萬的牲口在這裡死掉了。”²⁰但即使在以殺戮著稱的年代裡,也有許多學者、建築師、詩人、音樂家從別處聚集到芝加哥,“初看起來,你可能會說這對詩人來講是個糟透的地方,但事實上,當詩人需要清醒的頭腦時,它卻是個好地方。”²¹在芝加哥南區,1912年前後聚集了德萊塞、桑德堡和舍伍德·安德森等大批的小說家和詩人,他們不僅在思想上,而且在風俗和道德上大膽解放,形成了芝加哥的“文藝復興”,但時光推進到20年代末,這裡的文化生活就日薄西山了。“駛離芝加哥的火車裝載著豬肉,也裝載著詩人,而城市也迅即淪為了地方的時尚。”²²“芝加哥有的是美妙動人的事情,可是文化卻不包括在內。我們這個地方是一個沒有文化然而又滲透著思想的城市。沒有文化的思想只不過是滑稽的代名詞而已。”²³特別是在二十世紀中期美國物質生活高度繁榮以後,芝加哥充塞著“窩囊破爛沉悶的貨物沉悶的建築令人厭煩的不安令人厭煩的管理沉悶的報刊沉悶的教育令人厭煩的官僚主義強制性勞動無時不有的員警無處不有的刑法,令人厭煩的黨務會議,等等……厭煩是控制社會的一種工具,而權力是強加厭煩、支配停滯、結合停滯與悲痛的力量。真正的厭煩,深沉的厭煩,無不滲透著恐懼與死亡。”²⁴“厭惡”成為工業社會中芝加哥人的一種普遍精神狀態。

與芝加哥相比,紐約是騷動而又焦慮的,既使人難以忍受、無法控制,而又魔鬼一般吸引著來自各地的人們。這裡有美國的經濟中心華爾街,美國文化中心格林威治村和百老匯。紐約市的第一代和第二代移民賦予美國藝術實驗主義以民族的和國際的精神。二十世紀初,生活中毫無拘束的個人主義在格林威治村盛行,這裡既有追求自由的詩人、滿腔熱忱的情人,他們舉止優雅,低徊淺飲,但是也有呆頭呆腦的傻瓜和行為怪異的莽漢。這裡的“實驗主義精神顯得非常新穎激進,富有政治色彩;它那開放的、具有各種不同特徵的社會環境吸引了一大批新的贊助者,他們熱心於支援道德和藝術方面的實驗主義,”²⁵這對那些青年作家和藝術家有著極大的吸引力。在這裡,洪堡曾給西特林講授現代主義詩歌和藝術、歐洲和蘇聯的革命,西特林有幸聆聽到了夏皮羅等人的講話。這裡的實驗主義精神既成就了洪堡等思想家、藝術家,也吸引、陶冶並鼓勵了像西特林那樣的一代年輕人,使他們在這裡沐浴到了思想與藝術的光輝。格林威治村一直見證了美國社會歷史的發展變遷。但是,對於以文化與藝術著稱的城市紐約來說,它之所以能夠這樣繁榮是因為那些曾經存在偉大的事物,而且現在依然延續著它們的生命力,但藝術精神卻已經有所改變。

三、市民生活的城市敘述

城與人密不可分,人依城而生存,城因人而充滿生機,有人之處才有城,所以,“城市是情緒、情感狀態,

大部分是集體的畸變。在這裡，人類既茁壯成長，又痛苦煎熬；在這裡，人類把靈魂投注到痛苦和歡樂中，並以痛苦和歡樂來證實現實的存在。”^②城市日常生活的真實內容是由生活其間的市民來譜寫的，人們的言行舉止、悲歡離合等形成了城市生動的靈魂與豐滿的血肉。所以，貝婁的作品中不是由純環境擔任起敘述情節的任務，而是強調結構上的空間性質，城市空間中活動的人、發生的事以及傳承下來的歷史構成了完整的城事。

城市建築是封閉的場所，其中存在各種限制，而街道則向所有的居民敞開。在城市的街道上，人們經常會看到居民普普通通的生活場景，遇到有趣的事情。在西特林的印象裡，20 年代生活在芝加哥的孩子們一到冬雪初化的三月份，便紛紛走出家門，四處出擊去探尋所謂的“財寶”，這樣，有些泥濘的濕漉漉的城市街道成了孩子們無比開心的天然樂園。1943 年的一天，約瑟夫走在街道上，看到路旁有兩個男人在鋸一棵樹，一條狗從籬笆後面跳出來，沒有任何徵兆地狂吠著，一個穿著方格紋外套和紅靴子的人站在一塊地的中央在焚燒垃圾。而一幢石屋高高的窗子前面，一個金髮男孩肩披一條毯子，纖細的手指握著一根綠色木棍當作權杖，戴著一頂紙冠，假扮國王。看到有人走過來，他突然將作為權杖的木棍變成槍支，嘴裡發出“砰”的響聲，對準來人瞄準開火，而來人則配合假裝被擊中的樣子，使得雙方都享受到遊戲的樂趣。這個電影攝影式的場景小規模地說明了貝婁小說中的形式空間化。就場景的持續來說，敘述的時間流至少是被中止了：注意力在有限的時間範圍內被固定在諸種聯繫的交互作用之中。這個有趣的場景，雖然本身對於作為一個整體的小說來說算不上重要，但它在完成了獨立作用之後，又被巧妙地溶入主要的敘述結構中。

城市是人們奮鬥、成功的場所，它記載了每個人的奮鬥史。不同於德萊塞把城市描寫為墮落的深淵，索爾·貝婁小說中的人是城市的正常居民，而非來自鄉野的闖入者，在城市中他們也可能沉迷墮落，但這卻非城市的原因，而是個人性格和社會局勢變化等諸多方面因素造成的。在這個奮鬥追求的過程中，有些人失敗了，如威爾赫姆，他經常感情用事，諸事不順，為擺脫經濟上的窘境卻受特莫金欺騙，失去了僅有的七百美元。有些人在個人奮鬥中取得了成功，如奧吉的哥哥西蒙，他從小就有著虛榮心，艱難的生活壓抑著他，一旦長大，他就渴望早日擺脫貧窮，他不像弟弟那樣生活在理想中，去追尋虛無縹緲的“更好的命運”，所以在被塞西背叛後，遇到夏洛特就成了他出人頭地的救命稻草，通過婚姻，弄到了自己的煤場，並以此為起點，逐步擴張，過上了他自認為成功的生活。有些人成功後走向了失敗，早期洪堡的成功源於大蕭條後人們心中克服困難的浪漫主義情懷，他那節奏明快，妙趣橫生，富有人道主義情感的詩歌為那個物質匱乏的時代的人們提供了精神上的慰藉，而一旦形勢發生變化，他的美好的詩句就被認為是不合時宜的空談，被時代拋棄，而西特林則取代他成為時代寵兒、新的文化貴族，享受著財富和名利的尊重，但是在這一過程中，他又不知不覺地走進了自己挖掘的泥坑中，為名利所累，為財富受敲詐，他與其說是成功了，毋寧說是走向了另一種失敗。

在美國的城市中，始終生活著一些“邊緣人”，索爾·貝婁利用空間的建構與空間權利之間的衝突將這些邊緣人的生存狀態鮮明地展示出來。《晃來晃去的人》中，約瑟夫由於沒有美國國籍，雖然在芝加哥生活了十八年之久，但他的參軍申請仍需要經過一番調查，而這個調查過程幾經反復，一拖再拖，無奈他只好一個人躲在家中，無聊地打發時間。移民的身份使他成為這個城市的“他者”，“從法律的角度上說，我是那個從前的我，如果提出有關我身份的問題，我只能指向我昨日所擁有的屬性”^③在貝婁作品中，城市“邊緣人”不只是表現為身份的邊緣化，還有許多人是思想上主動將自己邊緣化了，他們之所以成為“邊緣人”是由於其思想與當時主流思想相悖，因此不為大多數人歡迎。美國是物質上成功的樂土，所以一般人是不会為它的意識形態而憂心忡忡的。但是，

“要當一個美國詩人的崇高理想有時讓洪堡覺得自己像是個怪人、孩子、小丑，或傻瓜。我們像流



浪蕩和畢了業的學生一樣，在渾渾噩噩中打發日子。或許美國是不需要藝術和內在的奇跡了，因為它外在的奇跡已經足夠了……因此，洪堡的所作所為勢必成為離奇滑稽的笑料……洪堡在苦苦思索著，如何在過去與現在、生與死之間周旋，才能使某些重大問題得到完滿的回答。然而，苦思冥想並沒有使他頭腦清醒。於是，他便試著吃藥、喝酒，到頭來不得不採取好多療程的電休克療法。正出他所經歷的那樣，最後形成的局面是洪堡與瘋狂的鬥爭，而瘋狂完全占了上風。”²⁸

最後的結果是洪堡從思想到肉體的徹底消失。比起身份上的“邊緣人”，思想上的“邊緣人”承受的壓力更大、敵意更多，身份上的“邊緣人”可以通過適應走向同化，而思想上的“邊緣人”處於衝突的中心，除非放棄自己的立場，否則，社會對他們的敵意是有增無減的。

一般而言，家庭是在具有婚姻和血緣關係的親屬之間建立起來的，但現代美國家庭中的人們更為重視的是個人主義的價值觀，人們更多的是奉行價值相對主義和功利主義。所以，雖然在城市家庭中雖然也存在著溫馨的家庭成員之間的關愛，例如奧吉的童年時代就是在母親的辛苦操勞和兄弟團結中度過的，雖然父親不知所蹤，弟弟喬治有些白癡，但母子四人和房客勞希奶奶一人一狗生活在一起，畢竟留下了溫馨的回憶。但更多美國家庭以親情、愛情為基礎的親屬關係已經解體，常見的是家庭成員之間的由於感情的、財產的和生活的問題所引發的衝突，貪婪和欲望支配著現代人的生活，真正的親情反而被誤解。西特林得知哥哥要動手術，就在赴歐洲的途中去探望他，不想朱利斯卻以為他是為了一旦發生不測能夠分得一份財產，因為在哥哥的心目中到處都是騙局。瑪德琳不僅在婚姻存續期間背叛自己的丈夫，而且離婚後還要找律師侵吞赫索格的財產，“他們會把你這個混蛋的腸子都打上結，在你的鼻孔上放個計量器，按量向你收取呼吸費。他們會把你前前後後都鎖起來。到那時你會覺得還是死了的好。”²⁹華萊斯在他父親病危時不管不顧，一門心思地想要找到父親藏匿的金錢，甚至不惜拆毀了頂樓房間裡的水管。妹妹安吉拉去探望父親，卻不是出於親情，而是冀此讓父親修改遺囑。個人主義的價值觀使得一些人不顧親情，一味追逐自己的利益，對此威爾赫姆慨歎道：“他們崇拜金錢！神聖的金錢！迷人的金錢！……你手中若無錢，你便是一個笨蛋，一個笨蛋！你就不得不對這個花花世界敬而遠之。”

大衛·哈威在《後現代狀況》中指出，現代城市，其空間形式，不是讓人確立家園感，而是不斷地毀掉家園感，不是讓人的身體和空間發生體驗關係，而是讓人的身體和空間發生錯置關係。著名建築學家芒福德也認識到“大都市各種各樣消極的生命力迅速地生長著。在這樣的環境中被擾亂了的自然和人的本性，以破壞性的形式重現了：毒品、鎮痛劑、春藥、安眠藥、鎮靜劑，都是這個惡化的狀態下必需的陪伴物”，當“犯罪、醜行、兇殺、失常、恐怖，比比皆是”已然“成為現實”，“而我們還把這些譽為人性，人的特徵”³⁰時，都市基本上就變成異化和非人格化的場所，當放縱與犯罪成為美國大都市司空見慣的景象時，“美國夢”也日漸蛻化為“美國噩夢”。

殖民地時期美國清教主義思想流行，人們在性觀念上十分嚴謹，但後來隨著享樂主義的盛行，刺激著人們在性行為上的混亂與放縱，60年代思想解放運動中，性解放也成了一個主要方面，這使得美國社會中一些人的性行為超出了道德和法律的限制，而且美國的法律規定個人和社會對自由的性行為無權干涉，即使身為父母也管不了自己兒女混亂的性生活：

“一旦接受了新的概念，你就再也無須擔心是非善惡了。不用顧慮善惡的藉口是你已經在教育上傾注了心血。你在有限的科目上努力用功，掌握了它，你便永遠清醒了。你會說：‘負罪感必須消亡，人類有權享受沒有罪惡的快樂。’上了這寶貴的一課，你現在就能接受女兒混亂的性生活了，而這在過去會使你休克。”³¹

安吉拉不但和陌生人發生性關係，還在墨西哥度假時與他人交換性伴侶，進行性雜交。瑪德琳原屬女

子學院的同性戀團體,所以她父親認為她與赫索格相識十分幸運,“她不該再和那班搞同性戀的鬼混在一起了……她對你發生了興趣,這是好事情。”^②但擺脫同性戀危險的瑪德琳不久就沉迷在與格斯貝奇通姦的興奮中了,這種行為非但沒有受譴責,反而有許多人為她辯護。在現代美國,夫妻之間的不貞和個人生活中的性氾濫成為肢解家庭的主要力量,整個社會都在愛與欲的矛盾中掙扎著。

貝婁筆下的居民不僅笨拙地跌進自己欲望的陷阱中,還無法逃避由律師、員警和法庭所組成的法網。在對金錢的掠奪中,“法官律師們早已在金錢世界的中心為己建立了強大的陣營——成了王中之王。”^③由於美國司法審判實行的是陪審員制度,所以一些行為不端的律師就採用花言巧語的狡辯、公然招搖撞騙、用暴力手段恐嚇證人、煽動輿論攻勢等不光彩的手段為案件的當事人辯護,從而影響甚至決定陪審員的判斷。在西特林夫婦的離婚訴訟中,丹妮絲的代理律師平克斯弄虛作假,向法庭出示西特林以前發表的文章,以此作為西特林賺錢能力的證據。受到他的蠱惑,法官不加思考地判西特林每年支付給妻子一萬五千元直至他們的女兒成年為止。律師和法官除了助紂為虐外,他們中有些人還親自行動起來,把他人的信任當作獲得不義之財的捷徑,《院長的十二月》中,律師麥克西受表弟科爾德委託代其投資,卻在獲得各種授權後將科爾德的財產轉移得一文不剩,因而嚴重地損害了自己的聲譽。律師和法官巧取豪奪,甚至與犯罪分子沆瀣一氣,員警也對城市的一些犯罪行為漠不關心,因為人手不夠,有很多的會議、宴會、重要人物和高級將領需要他們去保衛,所以普通人的財產甚至生命安全就不在他們的考慮之列,遇上了只能自認倒楣,而賽姆勒的報警就成為一件自討沒趣的事情。

普通民眾居住在城市中,各種犯罪分子也混跡其間,他們破壞著城市的秩序與安寧。二十世紀 20 年代的芝加哥市是全美罪惡的中心和匪徒的聖地,在奧吉的少年時代,匪徒和黑幫就光明正大地生活在其周圍,他們嗜好暴力血腥,經常盜竊,為一些爭端而大打出手,有時參與殺害黑人。後來黑幫和匪徒不復昔日的風光了,但在芝加哥仍然經常發生打群架的事情,貧民區裡還是兇殺不斷,70 年代以後,雖然恐怖活動大大收斂,但是歹徒兇殺、種族迫害和道德敗壞等情況醜惡現象仍舊存在著,小偷明目張膽地將扒竊之手伸入別人的口袋中,盜賊團夥則將別人的汽車輪子卸下來賣掉,即使員警佩槍也被盜。坎特拜爾混跡於芝加哥,為算計西特林一直糾纏不休。在紐約,騙子特莫金利用發大財的謊言騙走了威爾赫姆口袋裡僅存的幾百元錢,在芝加哥,奎多·斯特朗森冒充哈特福德保險公司經理開設投資公司,騙了顧客幾百萬美元。當人們發現一個印第安人由於受到槍擊倒在郵局前邊時,“男男女女,老老少少,各自依舊坐在板凳上,坐在舊汽車裡,無動於衷地看著他,直到他因流血過多而死去。”^④乘坐濱河大道的公共汽車時,賽姆勒先生不止一次地見到黑人青年扒竊乘客們的錢包,然而當他撥打報警電話後被員警冷漠地置之不理,對此他十分困惑,這個世界怎麼了,人們為什麼這樣麻木不仁? 他的侄女瑪戈特給他解惑道:

“這個觀點是說,在這裡邪惡是沒有偉大的精神的。那些人太微不足道了,姑夫。他們不過是一些下層階級的人物,是管理人員,小官僚,或者是流氓無產階級。一個大眾的社會不會產生大罪犯,這是由於遍及整個社會的分工打破了一般責任心的全部概念。代替這種一般責任心的是計件工作。這就像沒有參天大樹的森林,你只能嚮往那些根子紮的很淺的花花草草。”^⑤

結語

空間形式是各種字面因素的一個創造物,從某種意義上來說,空間形式體現了對現實的較為強烈的附著,以感覺和環境的真實為目標,但是文學空間只存在於精神之中。在美國的城市中,有著貧與富,有著罪與罰^⑥,有著美好生活的回憶和現實困境的無奈,有著奮鬥的心酸和成功的快樂。在美國的城市中,索爾·貝婁觀察著,見證著,他用文字建構著對美國城市的總體印象,在任何瞬間都為人們提供了美國城市的過去



和現在的完整知識,同時質疑著現代城市的興衰榮辱,懷著一顆赤子之心去喚醒人們追尋精神家園,去詩意地棲居,他筆下的主人公們愛著、恨著、掙扎著、追求著、奮鬥著,不管成功還是失敗,他們都演繹著自己的精彩人生,通過自己的經歷展示著現代美國都市生活的方方面面以及大城市的文化精神。

注釋

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Flag Bearer's Poems: On the Artistic Features and Spiritual Connotation of Zhang Chengzhi's *Stagger Flowers*

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Abstract: On the premise of exploring the origin and evolution of the special style of “poetic novel” in the history of Chinese and foreign literature, this paper launches a close reading of the text of *Stagger Flowers*, clarifies the necessity of choosing this form when creating this novel, and probes into the artistic characteristics of the text's “poetic narrative as a whole” and “poetry and events within the four chapters”. On this basis, in accordance with Zhang Chengzhi's literary views of “soul writing” and “for the people”, the paper analyzes the spiritual connotation. Finally, by comparing with other writers' works with folk writing vision in the history of contemporary Chinese literature, the life consciousness and special folk position in the *Stagger Flowers* are discussed in depth.

Keywords: Zhang Chengzhi; *Stagger Flowers*; poetic novel; spiritual writing; folk

Notes on the contributor: MA Yufang holds a bachelor's degree in literature from Northwest Normal University in 2020. She is currently studying at Lanzhou University for her master's degree in contemporary Chinese literature from the Faculty of Arts.

旗手的詩 ——論張承志《錯開的花》的藝術特色與精神內涵

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摘要:在探究“詩體小說”這一特殊文體在中外文學史產生及流變的前提下,展開《錯開的花》之文本細讀,並結合作家創作經歷,闡明創作此小說時選擇該形式的必要性,進而對文本“整體上的詩性敘事”和“四章內部的詩與



事”的藝術特色進行探討。在此基礎上,結合張承志“心靈寫作”和“為人民”的文學觀,分析其中的精神內涵。最後,與我國當代文學史上其他具有民間寫作視野的作家作品進行對比,深入探討《錯開的花》中的生命意識和特殊的民間立場。

關鍵詞:張承志;《錯開的花》;詩體小說;心靈寫作;民間性

引言

張承志作為中國當代文學史上“只能有一個”^①的作家,在中華文化和伊斯蘭文化的共同滋養下,傾吐著華夏大地上少部分信仰者的血與淚。從他的文學中,我們總能感受到一股似火的激情撲面而來,在他看來,“文學的最高境界是詩”^②,他的詩體小說《錯開的花》,便清晰地體現了他所追尋的這一境地,即音樂化、色彩化且具有信仰的文學。

小說和詩歌作為兩大文學樣式,在文本中滿足不同的書寫要求,前者注重敘事,後者側重抒情。不論從辯證法“使固定的形而上學的差異互相過渡”^③的角度,還是從文學創作主體、客體複雜性的角度,中外文學史上出現的許多中間體裁,例如詩體小說、散文詩等,都煥發出文學的另一種光芒。“現代的類型理論……把興趣集中在尋找某一種類所包含的並與其他種類共通的特性,以及共有的文學技巧和文學效用”^④便解釋了文學史上新類型生成的合理性。伍爾夫曾在談到小說及未來小說的變種時說道“將會具有詩歌的某些屬性,將表現人與自然、人與命運之間的關係,表現他的想像力和他的夢幻”^⑤。本文所探討的詩體小說,其中除詩之外的其他部分則作為烘托情感、使之合理化、形象化的背景存在。從整體來看,這類小說的特徵體現為敘述的內向化,“即在能指轉化為所指的過程中,與文本符號系統直接對應的本體世界消隱,代之以間接暗示的象徵世界”^⑥,在敘事的過程中強烈地表現自己的主觀精神,內心獨白和事件彼此支解、割裂、交匯、組合,故事和情緒混融,作者意識極為凸顯,故事情節則變得朦朧甚至跳躍,敘述亦幻亦真。

詩體小說這一文學類型,從史詩開始,到詩體短篇小說(如《玫瑰傳奇》)、詩體長篇小說(如《葉甫蓋尼·奧涅金》),再到後來的詩意小說(如《茵夢湖》),直至“詩而非詩”的現代詩體小說(如《媽媽與中子彈》),經歷了詩與小說結合的預備、征服、相融等階段,形成了文學史上獨特的一隅,詩體小說形式發展歷史的大致輪廓也基於以上脈絡而演繹。

縱觀我國當代文學史,1980年代中後期便有此類文體較為成熟的創作和研究,如穀懷的《虎池之夜》(《鐘山》1985年第5期)和李曉樺的《藍色高地》(《收穫》1987年第3期)。張承志曾高度讚賞小說《藍色高地》現代意味的詩體表達,並為其作序,稱“傾訴在本質上只能是詩”,“唯一關鍵的和值得重視的只有一點,那就是你的心中是否真的升起著一塊神聖,是否真的存在著傾訴的真誠”^⑦。這樣的論述也出現在他1993年出版的新詩集《錯開的花》的自序裡,他把這部集子裡的所有文章都稱作“長詩”,並直言對《錯開的花》的偏愛,“我自知不可能再寫出超越它的作品”^⑧。

一、詩化小說與“事”的在場:《錯開的花》之藝術特色

(一) 整体上詩意化的表达

“詩是生命形式的呈式”^⑨,《錯開的花》正是張承志這個策馬走天下的獨行遊俠生命形式和意識的完整展現,創作此文時的他已經放棄了小說,多寫散文。他的文學生涯發端於1978年的短篇小說《騎手為什麼歌唱母親》,後來他一邊進修,一邊創作,還在繪畫、攝影、音樂、考古等方面都很有造詣,相繼又有小說《黑駿



馬》《北方的河》《金牧場》問世，多為草原題材，浪漫地再現了他先前和諧的知青生活，從中可真切感受草原賦予他的清淨心靈和自由意志；後來在個人考古研究的行走中“誤”入西海固腹地的農村，這“蹊蹺、危險、偶然”的一步便成為他生命裡永恆的一瞬，淒厲的荒山和窮苦的農民以各自的沉默治癒了他的心傷，在心靈逐漸鮮活之時，他於1989年寫下《錯開的花》，為自己的終旅搖響了駝鈴。他的心性一直以來都是頑固且極致的，從“紅衛兵”到穆斯林，這一路上看見了官場的腐敗、人性的貪吝以及社會的畸形理想，而張承志創作中詩這一文體的產生，正是歐陽修所謂“非詩之能窮人，殆窮者而後工也”的生動詮釋；自此以後，張承志的創作中既有散文，也有關於伊斯蘭教的學術著作，還參與一些文獻的翻譯工作，這一階段最為重要的一部，即被稱為“奇書、大書、超級之書”^⑩的《心靈史》，從哲合忍耶教民為信仰奮鬥和犧牲的歷史裡，高歌清潔的精神。

“藝術在本質上只是向他人傳達感受的能力，而這種能力就表現在為一定的感受（內容）尋找適當的形式，因此，形式對於藝術傢俱有頭等重要的意義”^⑪。對於張承志來說，形式的選擇絕不是隨意的，這是一種必然的狀態，當獨特形式和獨特內容一致時，便形成風格，“一種風格若能真實地傳達內在狀態……便是好的風格”^⑫，在貧瘠草原上搏獲了重生的同時，他的藝術生命也完成了自我的超越，《錯開的花》“終於大膽地暴露了他的分野”^⑬，敘事內容之上的激昂的感情使它比之前的任何創作都更具備詩性，它是作者的肉軀和靈魂都被撕扯之後，靈感如潮水般湧來之後的創作，它是不安的，也是熱烈的。

“藝術是一種渴望創造形式的意志”^⑭。在形式方面，這部小說由序和四個章節組成，“比起流行的詩來，行間有散文甚至有論文”，每章當中都有穿插在散文、議論行段之間的現代白話詩句，行文自由隨性，形式的變化緊跟著情緒而起伏轉折。就各章內部來看，形式上並沒有嚴密的結構安排。散文、論文的段落與詩歌段落相得益彰，文段重在敘事，詩段意在抒情，二者不刻意的巧妙結合，使文章更豐滿也更鮮活。每一章中都有數行詩句，而這些出現在不同章節不同位置的詩句，從整體的藝術形式和思想內涵上看，都彼此聯繫。即使從文中單獨提取出這些詩行形成一首長詩，這首失卻了背景事件的長詩，仍然具有無與倫比的藝術價值和思想內蘊。

（二）四章內部“詩”與“事”的交織

《山海章》中的詩段從“山和海”“天山孔道”到“磷石波浪”“道路的精靈”，再到更深層的“忍受、忙碌、喘息、交合、饑餓/凍死、降生、悲哀、埋葬、歡樂”旅人的一生，縱橫探險家的傳奇經歷和心理變化，採用了多個獨特的意象，蘊藉深刻，且具有詩歌音樂性的特質，每段結尾都是“該是一支靜歌”，暗藏的是《山海章》沉澱、平靜、深厚的情感基調，映射到“我”的身上，便與“我”此刻內斂、執著、胸懷抱負的旅人品格相一致。在此章最後一段詩中，有“後世”這樣的宗教概念，在伊斯蘭話語體系中，“後世”即現世的彼岸，指一切生靈死亡後必定要進入的另一時空，詩人在這裡用“誘惑了我一生”“捉摸不定”“擁有滿腔不安的鮮血”來形容這個永恆的境地，使之蘊含了詩和遠方的理想意味。在章末又複現了清泉上方“行人，願你生命長如此泉”的碑文，而這次的意味和行程伊始的激勵意義有所不同，此時，這一行字是由“我”親手刻在後世的岩石上的，在這裡“我”被命定，該沉默著養育種子，把渴望深埋在土底，不該開花，該如一支靜歌般無聲又寬厚。

《牧人章》中的詩段“牧歌”和前章中的“靜歌”緊密銜接，均以“該是一支牧歌”作結，匯成了一曲悠揚的牧人長調。而在這章的故事中，這組牧歌也是旅伴葉寫給草原愛人的長詩《塔琳》，這樣的安排既像巧合又是必然，是一種在久遠的歷史和現實之間穿梭的藝術化的講述。整首詩圍繞牧人的“生產”與“和諧”展開，瑪勒草地上的劫掠、爭雄、遊戲、扶老養幼、居家遷居皆是生產，作為意欲征服山海的浪子，“我”竟和畜群一同酣睡，竟給獨領草原的神明獻上虔敬的雙膝。作為過去只看得見卑劣人性和不公現世的憤青，“我”在這裡看見了生活，看見人和牲畜同甘共苦，正當“我”體味到家的柔軟時，也感到了內在生命的沉淪，作為一個



受苦的雙魂人，“我”的血性撕裂了身心，貫穿全身的野望從來都不允許“我”安於現狀，駿馬使“我”不安，“我願意死，但不願老”。

《烈火章》中的詩歌是戰士出征前的誓詞，又是沙場上廝殺時的怒吼，詩句中出現了“末日”的意象，是伊斯蘭語境中一個類似基督徒口中“審判日”的概念，於伊斯蘭教的信士來說，它的意味比任何地崩山摧般的毀滅都更為恐怖，更為莊嚴，更為決絕。該章詩段較少，每段詩歌的結尾都是與前章一致的形式，“該是一支醉歌”，一個“醉”字，蘊含的是“我”在反叛舉義中癡狂、燃燒後尋覓到了真我的絕美心境。該章中的大部分內容都以長句的形式敘述，反叛之前炫目的火，狼煙裡鮮紅的刀，疾馳之後朦朧的火影、輝煌的自由，種種都和昆侖受孕一般神聖。

《沉醉章》中的詩歌部分也不多，每段結尾為“該是一支讚歌”，在長者無言的指點和自我專注的凝視之後，“我”對窗櫺上“錯開的花”這一奇幻景象已經頓悟，將近沉醉，這時的“我”在擁有過天山深處、貧民牧場以及叛匪地帶的生命體驗之後，體格已慢慢健壯，心靈也日漸豐潤，“我”越來越清晰且深刻地認識到自己與整個外部世界的關係，不再執著追求烈焰裡的新生，只是嚮往內心世界的安寧與清淨。這時，“我”的身份已是一個虔誠的宗教信仰者，尤其是在與鐵阿訇、農民們一起經歷了擔水、打場之後，“我”感悟出生命的本然滋味，我懂得了感知並“感贊幸福”，生命在錯開的花裡豐滿了，一旦沉入了絕妙的境界，就再也不願祈求此外的任何，於“我”而言，“正好前驅，不須反顧”便是最美的前路。

二、四極的追夢者：作者切身體驗的內化

在《山海章》中，“我”作為山海探險家與戰友葉一同計畫去往“他地道”^⑤“山中絲綢”和昆侖北緣，但都沒有實行；《牧人章》中二人去當牧人，抵達一個名叫“瑪勒”的地方，又分別與那裡的兩個異族姑娘相愛，但“我”為著點燃個人欲裂的血性，離開了達拉姑娘，再次上路時，葉卻離開了，“我”孑然一身，獨有一腔孤勇；《烈火章》中用熾熱的筆觸刻畫了一場血雨腥風的叛亂，作為一直以來都嚮往壯烈的“我”來說，這段體驗是“僅有一瞬的輝煌”，不能複得也不奢望複得；《沉醉章》，“我”在鐵阿訇“永遠沉默又暗含激動，那麼平和淡然又像在赴死”的眼神裡了悟了愛與永恆。

（一）探險家的理想秘境

《山海章》中探險家形象的內涵，與張承志早年考古學家的身份吻合。他曾驚異於世界各地奇絕的山峰和石林，曾執著探求奇異地貌背後刻意被雪藏的歷史真相，山海章中的“我”就是涉世未深的早年張承志。因為求索的理想和工作需要，他在接近天山的同时被那裡極致濃烈的地貌和人情所征服，此章中提到的“他地道”“山中絲綢”和昆侖北緣等計畫都與張承志的新疆考察工作密切相關。

“我在綠色幻視中，皮膚開始到骨骼，一直到心臟都正在溶解。像鹽回到水中，我消失在雄大的矗立在面前的、這神一樣的綠色之中了”，這段對“綠”的神化與西班牙詩人洛爾迦《夢遊人謠》裡的一段抒情極為接近，後者或許可以為我們理解前者提供些思路：“綠啊，我多麼愛你這綠色”^⑥，這是對自然親密的感知，是感官化且富於神性的。除了“我”和葉，這章中還出現了一位托姆族漢子，他為旅途中的異族青年塗上防曬傷“臉罩”，“大爪在我臉上亂摸亂塗”，他是不懂官話、不知文明又不行禮數的戈壁大漢，但他本身的魅力卻不因此減損絲毫，原始的良善心地和粗魯的處事原則將他的生命點燃；步履未停，正當預備跨越阿斯帕安裂隙時，“我”和葉因為撞見了不求真知只做形式的官方考察隊而變得異常憤怒，政府錯把裝腔作勢的偽學者當作研究專家，大肆渲染他們徒有虛名的所謂實地考察。“我”和葉雖然有一腔對歷史、地理真切的熱愛，卻只能閉緊嘴巴。面對昏暗的社會現實，“我”和葉的態度有了分歧，“我”甘願苟且，暫時屈服於權勢，而葉表現

得異常憤怒,他用盡全部力氣向人群嘶吼,挺著腰板說了“不”。在《山海章》後半部分中提及五位元真實的人名,他們都是被視作考古學界泰斗級人物的專家,而在張承志筆下,他借葉之口拋出了質問,揭露了專家們虛偽的一面,並直言“我因為沒有人一塊兒恨,所以恨透了他們,這些嫖客”,那時“我”頑固又懦弱,而葉勇於做自己,沒有苟安,他敢用自我的原則劃分美醜,敢宣示自己的愛憎。

這一章最後的部分還詳細刻畫了一位所謂“世界探險大王”的“巨嬰”形象,作者通過不動聲色的諷刺和誇張,不僅針砭了學界魚龍混雜的複雜狀況,而且一針見血地指出眾人“看客般”隨俗浮沉、助長人間邪風的可悲面目。

在詩句與散文的婉轉中,此章結尾處刻畫了黃河羊皮筏子上的擺渡人和他的妻子,二人漂泊不定但自由、貧苦無依但知足的生活令人動容,在山海之旅中,“我”的心被旅途中異族的景和人一同療愈。探險家從天山裂隙,一路顛簸,看盡繁華後的虛假,最終返回到黃河皮筏客平和的生命裡,這種回歸不同于魯迅曾慨歎過的蒼老的轉身,“給什麼來一嚇,即刻飛去了,但是飛了一個小圈子,便又回來停在原地點”^⑩,在這裡,“我”的沉默和隱退是主動的選擇,是為了沉澱之後的爆發。這一章情感基調從高昂到低沉,旅途和心境都也隨之漸趨平靜,天山腹地深處三岔險路清泉上刻的碑文:“行人,願你生命長如此泉”,承載的不僅是對自己的未來征程的期許,更是對千千萬萬個有所追尋的旅人熱切的祝福,體現的是作者博愛的人道主義關懷,“為美的精神製造哪怕是微弱的回聲”^⑪是貫穿張承志生命始終的信念。選擇短暫的沉默之後,“我”的步履就自然而然地過渡到牧人的和諧生命裡,用柔情調和烈性。

(二) 牧人的平和與“我”的血性

第二章,山海探險沒有結果,“我”和葉步履不停,走進一個叫“瑪勒”的牧區。本章敘述的草原行跡亦是張承志本人作為知青時,在蒙古草原懷抱裡的真實記憶,那時的他在厚重寬闊的草地上習得了海納百川的品質,即使在日後相隔萬里的征程中,他也仍懷著對這片土地熾熱的眷念。

因看透了烏煙瘴氣的考古學界,二人都企盼著這方容人的淨土能給予他們心靈的慰藉和歸屬,經過一段與草原共處的漫長時間,二人分別與草原上的兩位異族姑娘相愛,“我”的姑娘叫達拉,葉的姑娘叫塔拉。除了水一般清澈的姑娘,草原上奶白色食物、兇惡的狼、可笑的旱獺、圓形的氈房甚至是混混沌沌的駒息聲都在默默無言中征服了“我”。葉和他的姑娘養育了一個女兒,另有一個還未生下,而當“我”的達拉表達出她要為“我”生一個孩子的願望時,“我”的內心卻阻撓“我”,不可給她肯定的答覆,因為“我”的血性從來都與寧靜平和的牧區不相宜,“我”的內裡一再反抗、撕扯,強烈要求“我”做一個鮮血淋漓的戰士,“我”只得背棄達拉,向未知和苦難進發。而在忍痛選擇訣別之時,“我”出於現實的考慮,責備葉捨棄塔拉的不義行徑,而他卻只說一個“詩”字,這使得原本親密的二人分道揚鑣,“在這個古怪的時代,對於我來說,失去了葉,這是一件關係重大的事情。以前我常常討厭葉,但是我從來沒有想過,有一天我會失去他。難怪連一次神助般得心應手的事情,也遇不上了,再也沒有靈性”,這段離殤之辭的背後體現的是葉於“我”的非凡意義,從整篇小說的敘述中不難看出,葉是另一個“我”,是“我”內心世界的外化,這主觀情緒的客體化,既符合小說敘事性的要求,又能夠更為深刻且細膩的反映“我”內心世界的衝突,正所謂“好的小說,既是小說,又是別的什麼”^⑫。與怯懦隱忍的“我”相比,這個“我”高歌理想,他是純粹的詩人,是漂泊的綠葉,他舉止張揚,敢愛敢恨,他想成為並可以成為的只能是他自己,自由而不放縱,他仿佛惠特曼詩歌中攜著靈魂散步的自我,“俯首下視,悠閒地觀察一片夏天的草葉”^⑬;他是義憤填膺的正義使者,對揶揄著攝像機故作姿態的所謂專家揚聲惡罵。但是葉永遠地離開了“我”,最初的他胸懷熱騰的詩意,後來卻銷聲匿跡,這一變化映射出“我”內心深處理想情懷的破碎,象徵的是“我”對現實的屈服。在葉離去之後全文的情感基調跌入穀底,“我”的牧人之旅悄然結尾,在達拉送別時“別懷疑,走吧”的惜別裡,“我”再次走上征途。“獲得美的質地最難,我實踐著又



一次的離別,就像我經常非要離開美好的時候一樣”^①,此刻的“我”懂得他人終究不能擺渡我不羈的靈魂,因而愈加渴望鮮血迸濺的毀滅,渴望一瞬的永恆。

(三) 浴火重生的叛匪

第三章,離開牧區,“我”對過往不再留戀,埋頭前行,在慢慢接近明亮的、蔓延開來的火焰時,“我”如完成天啟的使命一般,加入了一場血與火的祭奠,一場“我”渴望了一生的叛亂。這血腥的暴亂于張承志而言,是歷史又是現實,他在西海固荒原上,在數代人以命守護的經卷裡,一步步回溯了上世紀數萬哲合忍耶教民的心靈史,刻畫了一種淒絕的美的精神,這超越時空的殉教精神,被他尊稱為遺失已久的“清潔”。領略了這貧瘠黃山上的廣闊天地,他有生以來第一次知曉了自己的界限。

“我”在叛匪首領白先鋒鮮紅的影子裡徹底醉倒,緊隨白閻羅的醉步,“我”提刀走上茫茫原野,不再看這塵世一眼。像此章如此激烈的叛亂,《心靈史》中有更為詳盡的描述:“聖戰的洪流不可遏制,滾滾的白帽如血崩蘭州”^②,為“伊瑪尼”^③的清潔,為永久後世的榮耀,眾人背水一戰。張承志筆下的人物大多是被大環境擯斥的卻有向死而生氣概的勇士,即使是最蒼白的拄拐老人,也有無關物質的詩性渴望。整個《火焰章》的語言是激烈的、近乎嘶吼的,該章中有不少戎馬動勦的戰亂場面描寫,饑民們赤膊上陣,數不盡的人頭連著血脖子在地上滾竄,血漿止不住地向四方噴濺,“我”縱馬沖向前鋒與白閻羅爭雄,在這氣吞千里的舉義中,“我”見證並參與了世代孽債的燃燒,沉沉的砍刀在專權的、貪吝的官家脖子上畫出紅線,敗草被剪滅,末日已成立,公正終於臨近。這些叛民同仇敵愾的決絕和堅韌一次又一次地撼動著“我”——一個旅人的心,而“我”又在這血與火、生與死的怒風裡初嘗自由,就這樣,“我”終於進入了自己的內心,此後“我”不再頑固地強調自己的人性的極境,也不苦苦強求做人的極境,“無論是開創的、和諧的、激烈的,種種方式開始為我淡漠”,心境隨著景色發生了變化,“我”沒停歇,信步向前,無所謂方向,也不顧距離,只是追尋。

(四) “我”不過是真主造化的一滴水

第四章,在酣醉裡,“我”的心靈已經先於“我”走進了枯絕的窯洞,在鐵阿訇洞悉萬有的沉默裡,“我”與自己神交,心變得寧靜而滿足,“我”把自己最本真的生命交還給這座大山、這片黃土。這個階段的張承志已經在西北回民的懷抱裡找到了信仰,把自己作為考古學家、知識份子、著名作家的名與利全然捨棄,走向了至貴的極境,走近了神靈的屬性。

置身極目四野的黃山,“我”與數百個戴白帽的鄉親一同在崖山叩首、禮拜、高聲讚頌,在麥場上高舉著連枷打場,“連枷飛舞,穀粒迸濺”,在窯洞裡沉思,在窗前坐靜^④,欲火漸漸地滅了,“我”迎來了生命之春。鐵阿訇是這章中的主要人物,他是美的精神的守護者,是靈魂自在的獨行者,在紮拉爾丁·魯米和陳子昂二位精神導師的啟蒙下,鐵阿訇用力的活著,而他也在無聲無息中指引了“我”,他的四房貴妻曾為主犧牲,用瘦小的身子守住了各自的閣樓,最終在熊熊大火中隨風逝去,這如仙話一般的淒美故事使“我”動容,使“我”讀懂了鐵阿訇的沉默,而在此間,他也洞悉了“我”的隱秘和履歷,他從未問起,“我”從不回答,只有神交。

《沉醉章》中的重要意象——窗櫺上的花形圖案,作者賦予了它深刻的意味。初次見時,它就像不可以讀解的花瓣紋或忍冬草紋,又像倒置的蓮紋,進入窯洞裡面迎窗坐端之後,便看到這個神秘的花紋黑白鮮明;當“我”在靜窯之中獨坐著凝視它時,隨著陽光在窗櫺是變幻,它時而漆黑,時而豔紅,時而金燦燦的;後來,“我”對窯洞內外的一切漸漸熟悉,那圖案便在斜變成了一朵錯開的花;在坐靜之後,“我”凝視它的時候,它也洞察了我,花滿滿的開了;在“我”舉著燭火走出荒山之後,那個圖案在“我”筆下竟成了怒開的鮮花。這神秘而絕妙的徹悟,是“我”畢生追尋的淨化,那花紋不是花,是字,一邊是真主,另一邊是祂的追隨者,也是“我”,在其間,“我”只是真主造化的一滴水,在用力探求卻又無法窮究的掙扎裡,“我”的精神飄向太空,獲



得了從未有過的輕鬆。錯開的花漸漸的滿開,進而怒開,“我”的終旅也接近、抵達並擺渡了“我”,自此以後,生命裡便只剩下感贊²⁵,也只能是感贊。

三、內外融通:《錯開的花》的精神內涵

(一)《阿克力亞》與序言的內在一致性

《錯開的花》序言部分《小阿克力亞》是作者的創作,而非引用,但可以從《阿克力亞》這部哈薩克民族的哲理名著中探究其與《小阿克力亞》共通的精神淵源。《阿克力亞》是哈薩克族近代書面文學的奠基人、詩人、思想家阿拜的散文集,其中詳細記錄了19世紀哈薩克社會的政治、經濟、教育、文化、倫理等諸多問題,傾注了阿拜對民族和人民的愛與恨,“對於活著的人,沒有比心更貴重的東西”²⁶,高歌他崇尚精神自由的理想。《小阿克力亞》中寫“肉身置於鬧市,靈魂卻追逐自然”的行者,也寫到矗立在世界四角追求極致的四種人,聯繫《阿克力亞》積極的人道主義和熾熱的理想情懷,我們可以把這段序所蘊含的“路漫漫其修遠兮,吾將上下而求索”的探索精神視作“我”追尋路上的航向。對張承志來說,探索生與死、自然宇宙和內心宇宙的秘境,是他畢生的使命,是生而為人的智識要求。一路走來,他在山海裡流浪,在牧場上酣醉,在叛亂中淨化,在真主的懷抱裡覺醒,這看似個性化的行程在深層意義上並不僅僅指張承志個人的經歷。

(二) 詩體形式的內蘊

“詩的最高境界,就是宇宙形式與生命形式”²⁷,人作為宇宙的產物,與宇宙萬物全息相通,在《錯開的花》中,我們既看到難以跨越的高山,也領略平淡如水的牧野,既有人的烈性,又有心的回歸。蘇珊·朗格認為,藝術表達的是人類的“普遍情感”,人類“情感的本質”²⁸,從整個人類生命行跡來看,“我”的經歷又是所有人類道路。山海探險代表的是渴望遠方、嚮往自由的青年階段;定居牧區並與草原萬物和諧共生的代表了人的一生中較為漫長平又淡的沉澱歲月;與白先鋒一同馳騁戰場的“我”經歷的是人生的高潮階段,這象徵每一個人的生命裡空前絕後的成功和豐收;而在黃土高原上與鐵阿訇共度的“坐靜時光”則是人到了反思自我價值與意義的自覺階段。每一個人類個體都會思考存在的意義,三大哲學問題在不同的人中有不同的答案,唯一相同的便是尋覓本身。而於“我”而言,在鐵阿訇堅毅的神情中,在與四座角樓一同葬身火海的女子的幻影裡,在教民們勞作一整天之後於同一時間奔赴同一高地來齊聲讚頌的聲音中,“我”尋到的答案便是:“我”來自真主,“我”是真主造化的萬有之中的一滴水,肉體最終死去,靈魂歸於創造它、完善它的主宰。

(三) 貼近心靈的寫作觀

一方面,小說中蘊含的哲思值得我們深入討論,另一方面,從創作主體的文學觀念切入:“文學應當是作家心中最後的堡壘。一個作家很難做一個完人,但是他至少對自己的文學要做到真誠。不應當有作文或為文等概念,作品應當是作家淋漓的鮮血”²⁹,我們進一步的認識到張承志絕對真誠的心靈寫作。就《錯開的花》而言,《山海章》中出現了普熱瓦爾斯基、斯坦因、赫定博士、克茲洛夫、伯希和等考古專家的真實姓名,還有對東京博物館“願意告訴日本國民你們展廳裡的壁畫是怎樣掉的嗎?”的詰問,秉持著他歷來堅守的高貴的正義情懷,“即使面對文學或史學的時候,也應該強調文明主人的心情”³⁰,他並沒有因為害怕傷害到自己而掩飾絲毫,他將歷史真相與內心真實熔鑄成滴著血的文字。



（四）為人民的文學

除了如傾如訴的“心靈寫作”，張承志作為人民之子，他作品裡深埋的還有竭誠的民間意識，這種意識在《錯開的花》中有淋漓盡致的展現。自稱“托姆族”黝黑的大漢，和“我”有著親緣關係的黃河筏客子和他的撒拉女人，異族姑娘塔拉、達拉和他們的羊群，以及草原上“人們睡時吹熄燈火的那口氣”，呵呵笑的缺牙老漢，袒著奶的粗大農婦，這些細微的人事連同“我”精神的奔突、靈魂的流動一起組成了詩，正是這些帶有土壤氣味的事物，才完善了“我”。在自序中，他提到他的詩性是“背倚著數十萬貧苦的哲合忍耶回民，背倚著渴望正義和美的中國青年”^①才得以燃燒的。我國當代文學史上挖掘民間理想的創作不少，有“張煒在民間大地上的《九月寓言》，也有王安憶在上海懷舊尋夢的民間性中創作的《長恨歌》”^②，還有莫言用“民間的立場來取代黨派立場和意識形態立場書寫歷史還原歷史”^③的《紅高粱》，張承志的民間相比以上創作中的民間，是異質的，又是清高的，他寫回民們做禮拜前洗禮儀式：“那淨水在意念中濾過他的肌腱骨骼，向著心意之底流去。等到最後一捧水流盡時，他鬢髮上閃著晶瑩，臉龐上聚著血氣，他起身戴上白帽子，變成了一個脫離了塵世的異域人”^④，這是清寒的民間裡獨有的財富，這是精神，是錯開的花底部的根，是少數人的堅守不渝。相較於其他的民間敘事，這異質的民間既收容大眾，也懷抱詩人，張承志本人與他筆下的民間是渾然一體的，在內蒙古大草原、西海固窮山和新疆戈壁這三片大陸上完成了自己心旅，他們彼此成全，張承志發覺了被忽視的民間秘境，而這民間又反過來喚醒了張承志，他自述：“我的微渺文學，不過是三片大陸的沙土石礫。我用一生履歷，否定了寄生強權和屈從金錢的方式”^⑤，這個民間是窮苦的，也是富裕的，使它在貧寒裡高貴的，僅僅是它豐饒的內在，這個民間具有的是精神，是苟且中的不堪苟且。

結語

張承志作為中國當代文壇上呼喚人道主義覺醒和重視文學崇高表達的作家，以“雖千萬人吾往矣”^⑥的英雄氣概獨步天下，也因此被視為中國文學史、思想史上“流行時代的異端”^⑦。然而他又是即使被稱為異端也要“對我的祖國做到有情有義”^⑧的赤子。他本人的真誠和熾熱使他的文學迥異於當代任何一個作家，他的文學“具有的是信仰”^⑨。他關注自我靈性的完整，在面臨苟活和不堪苟活的抉擇時，他堅定的走向壯烈，再無回眸。洛爾加評價智利詩人聶魯達的話，也可以應用于張承志，他“離死亡比哲學近，離痛苦比智力近，離血比墨水近”^⑩，他不只是調動技巧和智力在寫詩，而是投入了全部的情感來寫作。作為“富饒文化的兒子”^⑪，他“豎立起手中的筆，讓它變作我的戰旗”^⑫，做真正的文學，旗手的使命是讓旗幟飄揚，使其烈烈飄揚，進而把鮮豔的色彩折射進眾人的瞳孔和田野裡。張承志作為真誠的作家，作為要生存不要苟活的真人，《錯開的花》正是他舉起的一面鮮紅旗幟。

注釋

- 1 陳曉明：《無法終結的現代性》，北京大學出版社 2018 年版，頁 220。
- 2 張承志：《綠風土·錯開的花》，上海文藝出版社 2013 年版，頁 29。
- 3 恩格斯：《自然辯證法》，人民出版社 1971 年版，頁 190。
- 4 韋勒克、沃倫：《文學理論》，三聯書店 1984 年版，頁 268。
- 5 伍爾夫：《維吉尼亞·伍爾夫作品集》，上海譯文出版社 2019 年版，頁 2166。
- 6 譚學純、唐躍：《新時期小說的文體融合》，《藝術廣角》1988 年第 3 期。
- 7 李曉樺：《藍色高地》，上海文藝出版社 1988 年版，頁 3。
- 8 張承志：《綠風土·錯開的花》，上海文藝出版社 2015 年版，頁 235。

- 9 吳曉:《新詩美學》,中國社會科學出版社 2018 年版,頁 25。
- 10 陳曉明:《中國當代文學主潮》,北京大學出版社 2013 年版,頁 496。
- 11 尼采:《悲劇的誕生》,作家出版社 2012 年版,頁 138。
- 12 尼采:《看哪這人》,中央編譯出版社 2010 年版,頁 4。
- 13 徐兆壽:《精神的高原:當代西部文學中的民間文化書寫》,中國社會科學出版社 2015 年版,頁 121。
- 14 艾略特:《情歌·荒原·四重奏》,上海譯文出版社 1994 年版,頁 5。
- 15 車師古道:又稱“金嶺道”。《西周圖經》中記載“他地道,右道出交河縣界,至西北向柳穀,通庭州四百五十裡,足水草,唯通人馬。”
- 16 北島:《時間的玫瑰》,江蘇文藝出版社 2009 年版,頁 36。
- 17 魯迅:《魯迅全集(第二卷)》,人民文學出版社 1973 年版,頁 134。
- 18 張承志:《清潔的精神》,《名作欣賞》1995 年第 5 期,頁 8—14。
- 19 邵元寶:《小說說小》,上海文藝出版社 2019 年版,頁 235。
- 20 惠特曼:《草葉集》,上海文藝出版社 2016 年版,頁 29。
- 21 張承志:《音樂履歷》,三聯書店 2003 年版,頁 55。
- 22 張承志:《心靈史》,花城出版社 1991 年版,頁 125。
- 23 “伊瑪尼”阿拉伯語音譯詞彙,在穆斯林中間很常見,是信仰的意思。
- 24 中國伊斯蘭教某些蘇菲門宦經常舉行一種道乘功課,意在去欲守靜,不動塵念,舉止唯敬,語默唯恭,有的連續 27 天,有的 40 天,少飲食,少睡眠,多念“迪克爾”(即贊詞),以求達到純潔心靈,愛主近主之目的。
- 25 穆斯林常用語,意為感謝並讚美造物主。
- 26 阿拜:《阿拜箴言集》,中國國際廣播出版社 2016 年版,頁 30。
- 27 吳曉:《新詩美學》,中國社會科學出版社 2018 年版,頁 12。
- 28 蘇珊·朗格:《情感與形式》,中國社會科學出版社 1983 年版,頁 10。
- 29 張承志:《風士與山河》,作家出版社 2005 年版,頁 171。
- 30 張承志:《張承志自選集·求知》,花城出版社 2007 年版,頁 333。
- 31 張承志:《綠風土·錯開的花》,上海文藝出版社 2013 年版,頁 235。
- 32、33 陳思和:《中國現當代文學名篇十五講》,北京大學出版社 2013 年版,頁 372。
- 34 張承志:《風士與山河》,作家出版社 2005 年版,頁 238。
- 35 張承志:《心靈史》,花城出版社 1991 年版,頁 34。
- 36、37、38、39 蕭夏林:《無援的思想》,華藝出版社 1995 年版,頁 3,頁 3,頁 108,頁 3。
- 40 北島:《時間的玫瑰》,江蘇文藝出版社 2009 年版,頁 28。
- 41、42 張承志:《以筆為旗》,上海文藝出版社 2015 年版,頁 296。



A Study of Leslie Fielder's Views of American Novels in His Cultural Criticism

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Abstract: Leslie Fielder, the distinguished contemporary American cultural critic, focuses his research much on American novels and conducts his research in comparison with European novels. His views of American novels have formed on the basis of the understanding that a novel as a literary genre is a complete and independent system. Thus, his novels cross the barrier between serious classical and popular novels built by traditional American academia. His evaluation of American novels has a historical perspective and a sociological perspective, which integrates psychoanalytic criticism and mythological criticism, and involves the analysis of the characters, themes and essence of American novels, thus forming a unique view of American novels, which has exerted a far-reaching influence on the study of American novels in American academic circles after him, especially on the rise of Gothic novels.

Keywords: Leslie Fielder; cultural criticism; American novels; views

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論萊斯利·費德勒文化批評中的美國小說觀

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摘要: 美國當代文化批評先驅萊斯利·費德勒對小說這一文學形式情有獨鍾。他將小說這一文學體裁視為一個

完整獨立的整體,這突破了美國傳統學界編織的嚴肅經典小說與大眾流行小說的藩籬。費德勒對美國小說的研究,是在與歐洲小說的比較中展開的。他對美國小說的品評擁歷史視野,持社會學視角,融精神分析批評、神話批評於一體,涉及到對美國小說的人物、主題、本質等問題的評析,形成了獨特的美國小說觀,並對他之後的美國學界內美國小說的研究,尤其是哥特小說研究的興起產生了深遠的影響。

關鍵字: 萊斯利·費德勒;文化批評;美國小說;小說觀

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引言

美國當代文化批評先驅萊斯利·費德勒(Leslie Fiedler, 1917–2003)被譽為“一流的文化批評家和著名的猶太批評學者”^①。費氏對小說這一文學形式情有獨鍾,其諸多批評著述均圍繞小說展開,對小說的批評既構成了他文化批評實踐的重要部分,也為他贏得了顯赫的學術聲譽。費氏站在與歐洲文學比較的視角,洞察歐美文學間的關聯與區別,以宏闊的視野鑒賞美國小說,認為“美國文學的聲譽主要有賴於小說家”,^②美國文學之偉大在於小說之偉大。他發表了諸多關於美國小說的評論,其巔峰之作《美國小說中的愛與死》更是不遺餘力地探討了美國小說之種種,被認為“永遠地改變了美國文學對話的術語”。^③對費氏而言,小說就是小說,不分經典小說或大眾小說。他將小說視作一種完整獨立的文學體裁進行研究,力圖拓寬經典,試圖“打破學術界建立的將‘真’文學與大眾文學分開的壁壘”,^④成為跨界遊轉於精英文化與大眾文化間的批評家,形成了自己獨特的小說觀。費氏的文化批評受到精神分析、神話批評的影響,因此他對小說的研究也常受二者的影響。而費氏自詡為“半個馬克思主義者”^⑤的身份,讓他的文化批評中的小說觀又保有社會與歷史維度。美國著名學者文森特·裏奇評論到:“費德勒……採用了一種社會學視角和一種譜系學方法,抵制了神話批評把文學文本精神化或寓言化的傾向”。^⑥

鑒於費氏的小說觀在其文化批評實踐中的重要性,梳理與分析他的小說觀是理解其文化批評思想,把握他文化批評主要觀點的一枚重要的鑰匙。在美國學界,對費氏小說觀的研究主要散落在對他的神話批評、美國學研究、大眾文學與文化研究、猶太性研究等文化研究之中,沒有專門針對他小說觀的論述。進入新世紀,美國學界對費德勒的研究主要體現在兩方面:一是評述費氏對美國文學與文化批評的貢獻與影響,尤其自2003年費德勒去世到之後的幾年,學界的研究主要圍繞他對新批評的挑戰、對大眾文學與文化批評、神話批評的貢獻等展開。總體上,美國學界對費氏的貢獻與影響進行了充分的肯定。二是對費氏文化批評的一些拓展研究,如探討他對義大利文學尤其是中世紀文學與文化的研究、他對天真(innocence)的理解、他對猶太作家寫作傳統的研究等。這些研究在一定程度上對了解費氏的小說觀念有所啟發,但大體上新世紀美國學界對費氏小說觀念的探討不多且零散,沒有形成系統化的討論。國內學界專門有關費氏的學術研究自新世紀才開始正式起步,主要聚焦於對他文化批評的總體分析、他的神話批評與其代表作《美國小說中的愛與死》,對其小說觀的整體梳理與分析研究尚不多。而研究費氏的美國小說觀有助於增進理解並把握其文化批評思想及其影響,也可通過其小說觀瞭解美國作家在歷史進程中的文化建構與表達策略的選擇。鑒於此,本文將主要從三個方面探討費德勒在文化批評實踐中形成的美國小說觀。



一、美國小說常塑主角——男孩般的男人

歐洲的批評家認為所謂的“美國小說”是“小說”這一文學形式的子類，他們將美國視作一種“反文化”的存在。費德勒駁斥這一觀點，認為美國並非反文化，美國小說最多只是歐洲標準的一種變體。他認為美國沒有歐洲文學的傳統，由移民組成的新大陸沒有史詩，歐洲文藝復興時期復興的古體詩歌，也在美國登上文化舞臺前就已失去了與當代生活的關聯。在美國，文學對大多數讀者而言是散文或小說，雖與歐洲文學有相似之處，但又異於歐洲小說。費氏指出“在此意義上，我們的小說似乎不是原始的，而是天真、單純又令人不安的，幾乎未成年。眾所周知，美國小說的偉大作品就在圖書館的兒童區，它們表達的情感就是青春期的多愁善感”。^⑦美國小說是男孩的文學，他的理由如下：

其一，美國小說中成熟的女性常缺場。這導致“在美國小說中他們（作家）寧可回避成熟女性，卻描寫象徵著拒絕或令人感到害怕的一些擁有美德或巫術的怪物”。^⑧費氏認為讀者大多渴望在小說中讀到男女的激情邂逅，這一中心情節使文學具備了提供激情與欲望、作為生活中的代償性宣洩的可能，而女性的缺場則讓這種可能落空。費氏認為美國小說中的這種“畸形”在於“美國生活中無真正的性生活，因此在美國的藝術中不可能有對此的書寫”。^⑨這便構成了他小說觀中美國小說異於歐洲小說的一個顯著特點，即美國小說中對女人和激情關係的謹慎處理。

其二，“逃走的白人男性”是美國小說中常塑造的主人公形象。不論是馬克·吐溫的《哈克歷險記》，還是斯蒂芬·克萊恩的《紅色英勇勳章》、理查德·亨利·達納的航海遊記《兩年水手生涯》等，主角都是竭力避免與女性相遇的男性。男主人公似乎對文明和女人感到恐懼，為尋求自由自在的生活而奔向了自然，這仿似一個心智未熟的孩子，用逃避解決問題。在《瑞普·凡·溫克爾》中，溫克爾為躲避兇悍的妻子，獨自跑到山中打獵，喝了仙酒，一醉方休。醒來已是二十年後，山村巨變，可他只在意是否仍會遭受女人的專政。“自那以後，我們小說中典型的男主人公便成了一個逃跑的男人，他們匆忙逃入森林，或漂泊於海洋或河流，或參與戰鬥——任何可以避免‘文明’之處都行”。^⑩《瑞普·凡·溫克爾》以它非凡的想像力宣告了美國本土小說的誕生，但也開闢了美國小說中塑造逃走的男主人公之先河。之後的美國小說，無論是《白鯨》還是《紅色英勇勳章》等都書寫了主人公從文明社會轉向自然或噩夢的故事。

其三，美國小說總處於一種“初始”狀態。“他永遠都在開始，第一次（沒有真正的傳統，就不可能有第二次）表達在大自然前獨自一人的感受，或者在城市，與像在任何森林中一樣，感受到那令人震驚的孤獨”。^⑪新大陸的文學語言匱乏，這迫使作家不得不尋找、學習、創造適合他們作品的語言，這就是費氏所言及的“初始”狀態。

美國小說中男孩般的主人公不僅存在於《白鯨》和《哈克歷險記》中，在斯蒂芬·克萊恩、海明威、福克納、舍伍德·安德森等人的作品中也均有體現。費氏認為這說明在某種程度上美國小說家們能力有限，不得不用他們自創的語言，寫一批稚氣未脫的男孩般的男主人公，他們無法也無力面對文明世界的各種紛擾，只能不斷躲避和逃離，在大自然中找到一片天地。他也認為這些貫穿於美國作品中的男孩般的男性角色“是為創立我們稱之為美國角色的我們自己的形象服務……當然，這也是歐洲人將美國看作世界的小男孩的部分原因所在，即我們製造的奇怪的青少年文學作品”。^⑫18世紀下半葉到19世紀，正值美國建國並逐漸擺脫歐洲傳統，尤其從文化層面脫離歐洲，探索美利堅民族文化獨立之路的時期，如同一個男孩，在成長中

開始具有自己的個性,但不成熟。這種文化心理正是美國作家的內心寫照。他們必須面對一切皆無的事實,並在困惑中開掘一個未知的世界,在這樣的社會文化語境下,費氏認為美國文學的男主角常是透著男孩氣的男人。

二、美國小說常論主題——“愛”與“死”

費德勒認為美國小說所敘寫的核心主題是“愛”與“死”,這是美國小說與歐洲小說的又一區別:“為闡明我國小說傳統異於歐洲大陸之傳統(我們的生活有別於歐洲的生活),我發現關注我國重要作家作品中所涉及的愛與死的主題很有用”。^⑬費氏的這一理解體現出弗洛伊德對他的影響。弗洛伊德將愛與死視作人類最基本的兩種本能。費氏在分析美國小說時援用了“弗洛伊德的愛神—厄洛斯(Eros)和死神—坦納托斯(Thanatos)”。^⑭弗洛伊德認為厄洛斯代表生存本能,包含博愛與建設的能量,坦納托斯代表死亡本能,激發人的破壞、仇恨、暴力等毀滅衝動。“愛欲大概是最令人愉悅的預期,它把自身的焦慮引入反思意識,這就是弗洛伊德的主題……一首詩、一部小說和一部戲劇包含有人性騷動的所有內容,包括對死亡的恐懼,這種恐懼在文學藝術中會轉化成對經典性的乞求,乞求存在於群體或社會的記憶之中”。^⑮

美國小說中愛的主題,常令人生疑,因美國小說中女主人公常缺場,男主人公向誰表達愛意,又從誰那獲得愛與呵護呢?費氏大膽認為是從其他男性處獲得缺失的女性之愛。從馬斯洛的需求層次理論來看,這似乎是個合理的解釋:“人類在生理與安全需要得到滿足後,便會出現愛、情感與歸屬感的需求……他會比以前任何時候都強烈地感受到缺乏朋友,心上人,妻子或孩子。他極其渴望與一般人建立情感關係,以在他的群體或家庭中佔有一席之地”。^⑯這正是逃跑的男主人公的心理困頓。他們都渴求愛以及由愛帶來的歸屬感。

費氏認為美國小說中這些逃跑的男主人公表面上顯得無拘無束,自由自在,但心理上他們覺得自己就像是喪母的流浪兒。費氏在談到《哈克歷險記》時指出:“哈克最終拒絕的社會,他的‘文明’,本質上是一個母親的世界,也就是說是個篤信基督教的女性的世界,她們在不斷推進的邊疆後維持著基督教信仰”。^⑰逃跑的男主人公沒有母親的呵護、妻子的關愛,也缺失了信仰的支撐,內心的無助迫使他們尋找替代,替代缺失的女性關懷。“可以肯定的是,這種替代便藏在大自然的綠心之中:純真的男人,好的伴侶,異教徒或無羞恥之心——奎奎格或欽加克或黑奴吉姆”。^⑱但費氏又指出,小說中這些替代女性的純真男人具有兩面性,他們既可給予男主人公以愛與歸屬感,又可成為他們的噩夢。如《最後的莫西幹人》中的欽加克其實也是陰暗的墓地殺手,《哈克歷險記》中的吉姆也會拿剃鬚刀指向主人的喉嚨。但男主人公們似乎不管不顧,這足以證明當他們走出文明,獨自面對大自然時,是多麼需要關心、眷注等愛的形式以安撫內心,慰藉靈魂。

費氏認為,由於愛的缺失,美國小說中的男主人公與其他男性在朝夕相伴中萌生了眷戀之情。美國小說中的愛情書寫常被表達為跨種族間的男性情誼:“這一種族間的男性情誼由庫珀首創,目的是減輕早期從歐洲移民過來的美國人對待美洲原住民而產生的罪惡感和恐懼感”。^⑲費氏的這一解讀與上世紀60年代多元文化主義興起不無關係。美國少數族裔將多元文化主義作為其文化政治與思想武器,向主流群體的一元文化主義的霸權理想挑戰,開始了種族復興之路。費氏在其文化批評中關注種族與性別,研究併發掘美國文學作品中跨種族間的男性情誼,欲通過文學研究傳達出他文化批評背後的政治動因與多元文化主張。他坦誠地說到:“我大半輩子關注的都是種族間男性關係的政治意義,但我最近意識到它也有宗教意義”。^⑳



什麼是費氏所指的跨種族男性關係的宗教意義？他用《聖經》中“男人（亞當）-女人（夏娃）-蛇-伊甸園”的原型進行了分析。男女在伊甸園的平靜生活被蛇的闖入破壞，蛇說服男女偷吃禁果，導致男女違抗上帝命令，被逐出伊甸園。蛇是天堂生活的毀滅者。費氏發現男人、女人和蛇三原型也出現在美國小說中。如在皮襪子系列故事裏，“是男人在平和的生活中，愛著蛇，也就是欽加克（Chingachgook）。庫珀幾次告訴我們，這個名字翻譯成英文就是‘大蛇’。女人是闖入者，想和男人建立關係，卻最終把他們都趕出了人間天堂。庫珀並沒有將這地方描繪成可陶冶思想，增進情感的伊甸園，而是無人涉足的荒野”。^②在皮襪子系列中，主人公邦波儘管有女性垂青，卻拒絕與女性建立關係，他更願意與其男性夥伴呆在荒野。因此，在費氏眼中“男人-女人-蛇-伊甸園”的模式轉變為“男人-蛇-女人-荒野”的模式，蛇替代女人，女人成了破壞者，伊甸園變為了荒野。根據費氏對美國小說的普遍理解，原型變為了“白人男性-非白人男性-女人-大自然”的模式。在美國小說中非白人男性取代女性，在大自然中與白人男性建立了跨種族的戀情。“它們美國小說更為艱深也更有挑戰性，而且幾乎無一例外，都是讚美逃避文明，逃避安居樂業，逃避教堂、學堂、逃避‘新世界’之基督教人文主義倖存下來的一切事物，只要它們是在女人的監管之下。如此這般，它們推波助瀾地打造了地獄般的神話”。^③費氏如此這般分析，美國小說似乎沉溺於策劃“厭女”的種種情節：“女人就是（男人）為爭取自由，必須擺脫的一切桎梏”。^④而擺脫女性，建立的新模式能否長存？費氏從庫珀的小說中得出了結論。他認為庫珀一開始便意識到跨種族間的男性關係不可能持續，便在故事中設計了死亡情節。

“死”是費氏認為的美國小說中的又一重大主題。這一對死亡悲劇的書寫傳統從 1789 年美國誕生的第一部小說起便開始了。美國的首部小說《憐憫的力量》（*The Power of Sympathy*, 1789）的作者威廉·希爾·布朗（William Hill Brown）匿名發表了該小說。小說主人公哈靈頓（Harrington）在經歷愛情的種種煎熬後，終於等到結婚。但婚禮當天，卻得知他與愛人是兄妹關係，在震驚與痛苦中，哈靈頓唯有以死解痛。《憐》延續並模仿了英國作家塞繆兒·理查遜作品的感傷風格，又保留了理查遜小說中對死亡情節的注重。濃烈悲情渲染下人物的悲慘命運，在審美的化合作用下所激起的洶湧的心理能量喚起讀者對悲劇人物的無盡同情與憐憫。此作品後，美國文壇刮起了一陣感傷作品風。

在當時，資本主義迅速發展導致社會矛盾日益加劇，中下層階級不滿貴族和資產階級的暴虐，憂愁滿腹。感傷主義文學正是這種現實中的悲愁、哀怨情緒在文學上的表徵。作家通過這一文學形式反對與抗議資產階級。感傷主義小說由而也被稱為反資產階級感傷小說。作家們認為“兄妹亂倫是對資產階級最神聖的禁忌之挑戰…他們將之作為戰勝社會習俗的‘自然的勝利’。在他們有意將妹妹作為首選的情人時，他們也將此闡釋為蔑視資產階級習俗與法律的一種革命姿態”。^⑤在費氏看來，兄妹亂倫關係導致的自殺是一種抗議的象徵。“死亡，同自殺一樣，是一種令基督教正統派震驚的形式，比性更能冒犯資產階級的思想”。^⑥當時的作家為反資產階級，在故事情節的安排上殫精竭慮，以兄妹亂倫加自殺和死亡的情節，竭力挑戰資產階級的禁忌，喚起大眾的憐憫同情，以文學拒斥和抗議現實的激烈矛盾。繼布朗後，儘管美國的矛盾隨著社會的發展不斷改變，但亂倫加死亡的主題卻依然被美國作家不斷敘寫，“與死亡交纏的同胞亂倫在我們的文學中俯首皆是（從威廉·希爾·布朗到霍桑，從坡到威廉·福克納）”。^⑦

“死亡”顯然是美國小說中的悲絕主題，但在小說人物愛情故事的糅合下，死亡被賦予了一絲浪漫色彩，緩和了死亡製造地恐懼感與殘酷性。同時，小說通過對人物崇高道德和美善心靈的展現，賦予了人物的死亡以正面價值和意義。死亡仿佛被超越，逝者的美善滌蕩著大地的腥風血雨。人物也在一次次生死抗爭中走向成熟。對生命的珍惜，對溫情的珍愛融入了人物的靈魂，在“死亡”情節的強化下，凸顯出人物更加崇

高、堅毅、勇敢的形象。而這種人物形象，在美國作家所描寫的廣袤、雄渾的大自然的映照下，更顯莊嚴、肅穆，彰顯出一種超越生死、超然世事的純潔與魅力。

三、美國小說的本質——哥特

在費德勒之前，美國學界一直將哥特小說列於大眾文學之屬，對其鮮有問津。費氏打破高雅文學與大眾文學之界限，潛心研究了新大陸的哥特小說，認為：“我們的美國文學受哥特小說影響最深，在本質上幾乎就是哥特小說。一般而言，歐洲哥特式只是在詩歌或戲劇中達到重要藝術的水準，而不是在小說中；在美國則恰恰相反”。^②費氏認為美國文學的成就在於小說，尤其在於哥特小說。“哥特”這一藝術風格，以恐怖、死亡、孤獨等表徵人類心理的黑暗與邪惡為藝術主題。18世紀後半葉，哥特小說在英國成為一種小說文類。19世紀初，哥特小說登陸美國，並在新大陸紮下根來，影響了一批19世紀的美國文壇巨匠。

費氏認為《哈克歷險記》、《紅字》、《白鯨》“三部被普遍認為是我們最偉大作品的小說在主題和氣氛上都是哥特式的”。^③《白鯨》的追殺與復仇主題，人類對自然的野蠻挑戰，神秘莫測的大自然，無數鯨骨裝飾的裴廓德號，亞哈與白鯨的同歸於盡等黑暗元素，構成了一個美國式的哥特悲劇故事。《紅字》中丁梅斯代爾深夜歇斯底里的痛苦吼叫與靈魂的扭曲掙扎，齊林沃斯瘋狂的內心、詭異的出沒與陰險的復仇計謀，陰森可怖的監獄與冷酷無情的絞刑架，敘寫了一幕有關罪與罰、因與果的悲慘故事。《哈克歷險記》中總讓哈克感到死氣沉沉的道格拉斯太太家，“國王”與“公爵”厚顏無恥的騙人勾當，以及對他倆行騙懲戒的殘酷私刑，醉醺醺、惡狠狠的魔鬼般的哈克父親，河岸漂流的死屍等細節也讓該小說從一開始就瀰漫著一種恐懼的悲傷基調。除了三部作品的哥特風格外，費氏認為“更重要的是，在每一本書中，浮士德的討價還價都是行動的焦點：海絲特和丁梅斯代爾都象徵性地把自己描繪成黑人的追隨者；亞哈與費達拉達成了一項不可言喻的協議，從地獄的中心攻擊鯨魚；哈克決定下地獄，而不是把奴隸歸還給他的合法主人”。^④他還發現在美國偉大作家的其他小說中也有諸多哥特元素。如在麥爾維爾的《皮埃爾》、霍桑的《玉石雕像》、吐溫的《傻瓜威爾遜》中都表現了濃郁的哥特風格。而在更廣大的美國作品中，哥特實際以各種形式表現出來，諸如奴隸制與黑人的反抗，印第安戰爭，城市暴力等。以至於費氏認為“美國小說在很大程度上是一部恐怖小說”。^⑤

“浮士德的討價還價”即是善與惡的博弈與對決。在歌德的《浮士德》中，滿腹經綸又迷茫困頓的浮士德與魔鬼墨菲斯展開靈魂交易，並在與魔鬼的討價還價中，挑戰人性又拷問人性。同流合污、貪圖享樂、“執著塵世”的習氣與“超凡塵世”、向崇高境界飛升的精神是浮士德內在不斷角力的兩股勢力。象徵邪惡的墨菲斯引誘浮士德不斷沉淪，踐踏事物存在的聖神性與永恆性，質疑與否定浮士德所建構的傳統的人類價值與道德觀念。吊詭的是，墨菲斯的“惡”既誘發了浮士德心中的邪念，又以“惡”之否定激發了浮士德的潛力與創造力，給予其巨大的力量。浮士德成了毀滅者，也成了創造者。

費氏的這一見地指出了“惡”在美國小說中展現的積極意義。“討價還價”的時刻正是惡欲突破善的防線的關鍵時刻，也是破除陳舊甚至顛覆傳統的關鍵時刻。這一時刻往往是人物對自身潛力的觸底試探，潛藏著巨大的毀滅力量，一旦突破，伴之其而來的是毀滅後的重生或是對新事物的創造。在此意義上，美國小說中的“惡”是必要的：“在我們最經久不衰的書中，哥特式小說，這一廉價機器總被用來代表人類靈魂和人類社會隱藏的黑暗……儘管每一個人在他的書中都代表了‘浮士德條約’，即與魔鬼的交易，我們的作者一直認為這是美國經驗的精髓。無論多麼粗劣或諷刺，恐怖對我們的文學是必不可少的”。^⑥在美國小說中，善



與惡的討價還價對故事情節的發展、人物形象的塑造有著關鍵的轉化作用。人物在善惡的討價還價中往往脫胎換骨、洗心革面，本乏善可陳或誤入迷途的人物最終撥開迷霧，回歸了通往真善美的坦途。儘管在“惡”的引誘下，人物會沉淪，禁忌會打破，善與惡二元對立的交纏與爭鬥難分伯仲，但小說最終邪不勝正的結局，往往重申與強調了社會的道德與規範，回歸了對良善美德的謳歌。“總體上，我們的文學有時似乎是一個恐怖的房間，偽裝成遊樂園中的‘歡樂屋’。在那裏我們花錢玩恐怖，面對最裏面的房間與一系列反光鏡，這些反光鏡給我們提供了一千個版本的我們自己的面目”。^③這是費氏眼中美國小說中“惡”的另重意義：美國小說是文學反光鏡中映照的個體影像，也是美國民族心理的折射，提供了觀察、審視美國民族心理的機會，這對美利堅民族的自省不無積極作用。

為何美國小說對哥特念茲在茲，以至於美國小說的本質就是哥特呢？費氏分析到：“美國作家生活在一個這樣的國家，該國有對歐洲的夢想，又有實際需要面對的歷史事實；他們棲身在純真不斷退卻躲避的最後家園——寓居在‘前線’，即生活在原善理論與原罪事實面對面的邊緣”。^④善與惡的討價還價不僅是小說中人物行為的焦點，還是現實中不斷發生的真實。十九世紀，西進運動如火如荼地在美國進行，領土擴張的野心，橫征暴虐的野蠻行徑，善惡對決就是真實的美國生活。在充斥著罪惡感的社會苟且，又要表達這些罪惡感，樂觀主義顯得是比清教主義更有效的良藥，尤其隨著西線邊疆不息不絕地向太平洋推進，離東邊清教的大本營越來越遠。在這種情況下，美國作家們以為最自在和自然的文學形式便是小說了。小說可以滿足他們表達純真願景的美好想法，又可展現西進運動這一獨特的美國經驗與領土擴張中的種種黑暗。

於是美國作家轉向了悲劇小說。社會現實印上了斑斑血跡，事實本就是一場悲劇。對美國作家來說，當務之急的“主要技術問題是如何將非悲劇的形式適用於悲劇目的。美國人對暴力的癡迷和在愛情面前的尷尬，有關暗黑的想像如何在塞繆爾·理查森的感傷小說或是沃爾特·司各特爵士的歷史傳奇故事中表現出來呢？”^⑤美國作家們尋尋覓覓，發現哥特正是這一恰當形式。他們幾番改造與創新，讓哥特小說成為了處於當時社會、歷史時期的人們能享用的美國獨異經驗的精神文化食糧；它可反映美國社會的衝突與爭鬥，又不乏浪漫，雖顯得恐怖陰暗，卻又伸張正義，總體上讓讀者體會到了愉悅。“我們國民生活中某種令人無法釋懷的關切通過這些哥特意象被投射出來：我們與印第安人、黑人間不清不白的關係，我們與自然不清不白地相遇，感覺自己是弑父者的革命人士的內疚之情——尤其是作者的不安，他們不禁認為創作一部作品就是撒旦式的反抗。霍桑把《紅字》稱做‘地獄之火’，梅爾維爾認為自己的《白鯨》是一本‘邪惡之書’”。^⑥弗洛伊德認為文學就是作家的“白日夢”，在弗洛伊德看來“創造性寫作與實現願望有關，一件藝術品就像白日夢一樣，是直接衝動的滿足被抑制，致使一種結構化的作品被分享的結果……創造力可反映出被擊退的痛苦影響和被壓抑的性欲與攻擊性有關的衝突的鬥爭”。^⑦美國小說家們借助哥特的形式，將無法釋懷的關切、美國歷史進程中的罪惡與愧疚等種種心理滋味與白日夢般的想像，借助哥特的形式安全地轉移到文學中，讓哥特的文學手法演變為心理的、社會的和形而上學的恐怖隱喻，形成了美國小說的哥特底色。

結語

美國當代文化批評先驅萊斯利·費德勒在其文化批評實踐中對美國小說的品評持社會歷史視野，融精神分析批評、神話批評於一體，涵蓋了對美國小說的人物、主題、本質等問題的解析，形成了其獨特的美國小說觀。他主要認為美國小說中的主人公多為稚氣未脫的男人；美國小說常敘寫愛與死的主題，跨種族的男

性愛戀是美國小說中愛的主要形式,人物的死亡在小說中常富有正面意義;美國小說本質上是哥特小說,哥特形式是表達美國獨異經歷與美國人精神異化的恰當形式,且在作家的不斷敘寫中形成了美國小說的哥特傳統。他認為美國文學之偉大在於美國小說之偉大,尤其在於哥特小說之偉大。費氏獨特的美國小說觀拓寬了文學研究的研究對象,更新了研究方法,質疑與解構了正統的文學思想觀念,引起了美國學界對美國小說、尤其對哥特小說的重新審視與評價,也對之後嚴肅經典文學與大眾流行文學的逐步貫通,美國學界對哥特小說研究的熱潮產生了深遠的影響。

注釋

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“Let me unseal the letter”: Letters as Narrative in Shakespeare’s *King Lear*

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Abstract: *King Lear* is marked with more fatal letters than any other Shakespeare’s plays. The eight letters were meticulously designed by the playwright running through the fourteen scenes. Shakespeare ingeniously used the powerful narrative functions and uncertain features of early modern letters to develop the tricky plots, reveal the complicated relationships between the characters, and reflect the profound themes. By interpreting the writing, exchange, and circulation of the core letters in *King Lear*, this article explores their considerable narrative powers that highlight the dramatic characterization, promote the plot development, and deepen the thought-provoking themes of this great tragedy.

Keywords: Shakespeare; *King Lear*; letters as narrative

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“讓我拆開這封信” ——莎劇《李爾王》中的書信敘事

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摘 要:《李爾王》是莎劇中涉及書信最多的一部作品。劇作家精心設計的8封書信貫穿整部悲劇的14個場景。莎士比亞巧妙利用早期現代書信強大的敘事功能和不確定性特徵,使戲劇情節跌宕起伏、環環相扣,人物關係撲朔

迷離、錯綜交織，戲劇主題複雜深刻、發人深省。本文通過解讀劇中核心書信的產生、傳遞和流通軌跡，探究其凸顯人物形象、推動情節發展、深化悲劇主題的多重敘事力量。

關鍵詞：莎士比亞；《李爾王》；書信敘事

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引言

20 世紀英國著名莎學專家 A. C. 佈雷德利在權威著作《莎士比亞悲劇》中指出，“《李爾王》歷來被公認

是莎士比亞最偉大的作品，最傑出的劇本，和最充分表現詩人多才多藝的悲劇。要是只能保留一部戲劇，也許大多數莎士比亞學者會要求保留《李爾王》。”^①誠如所言，這部作品因戲劇家的“天才飛翔到令人眩暈的高度”而被國內外學界視為莎士比亞四大悲劇之首，成為莎學研究的重點。^②中外學者紛紛從宗教、政治、歷史、意象、語言、神話原型、人物形象等方面對其深入解讀。21 世紀以降，莎學研究者採用心理分析、倫理批評、新歷史主義、存在主義、女性主義、權力話語、空間隱喻、生態批評、戲劇改編等多重視角進一步挖掘這部悲劇的豐富內涵，取得了豐碩成果。

《李爾王》是莎士比亞戲劇中涉及書信最多的一部。劇中與書信相關的詞彙不僅有“paper”、“note”、“post”，核心詞“letter”、“letters”在 Arden 版中出現 35 次，Folger 版中出現 33 次。莎翁在這部悲劇裡精心設計了 8 封書信：（一）大臣葛羅斯特的私生子埃德蒙模仿兄長埃德加筆跡的偽造信（1.2）；（二）李爾王的大女兒戈納瑞讓管家奧斯華德代筆寫給妹妹裡甘的書信（1.4）；（三）遭受大女兒冷落排斥的李爾向二女兒裡甘尋求支持的書信（1.5）；（四）喬裝改名的大臣肯特收到遠嫁法國的科迪利婭的來信（2.2）；（五）葛羅斯特鎖在書櫥裡的神秘信件（3.3）；（六）裡甘派使者給姐姐送去的有關與法國交戰的書信（4.2）；（七）科迪利婭在多佛附近的法國軍營讀到關於父親不幸遭遇的書信（4.3）；（八）奧斯華德捨命替主人戈納瑞給心上人埃德蒙送的情書（4.5）。這 8 封書信貫穿整部戲劇的 14 個主要場景，圍繞寫信（write）、送信（send）、讀信（read）、回信（answer）、截信（intercept）、傳信（circulate）展開故事情節。第一封書信的寫信人埃德蒙成為最後一封書信的收信人。劇作家巧妙採用這種首尾呼應的書信敘事使故事情節跌宕起伏、環環相扣，人物關係撲朔迷離、錯綜交織，戲劇主題複雜深刻、發人深省。

眾所周知，在莎士比亞生活的時代，書信作為社會最重要的交流工具，是“保持不同地區人們的牢固友誼、同盟和親屬關係的社會粘合劑”。^③由於早期現代英國書信系統遠非萬無一失，信件經常被“延遲、誤寄、丟失和攔截”，人與人之間的書信溝通往往缺乏時效性、穩定性和準確性。^④寫信、送信、讀信、回信作為當時人們生活的重要組成部分自然成為英國文藝復興時期戲劇舞臺最常見的“行為模式”之一。^⑤觀眾期待戲劇舞臺上的書信讓他們“瞭解寫信人的生活、情感和自我反思，產生一種敘事力量”。^⑥莎翁充分利用早期現代英國書信強大的敘事功能和不確定性特徵，在戲劇創作中巧妙呈現了書信與作者、寫信人、收件人、發言人、讀者、聽眾的多重關係。^⑦國外學者麗莎·賈丁指出《李爾王》中的書信重新定義了人與人之間的情感紐帶，甚至成為擾亂社會穩定的工具；大衛·伯傑龍從語言學角度探討了這部戲劇書信的間接話語功用；利安妮·哈賓尼可結合早期現代英國書信傳統分析了《李爾王》中的書信暴力。縱觀已有研究，國外學者主要聚集莎劇書信的社會歷史語境，以及書信對戲劇主題建構的意義。本文通過解讀《李爾王》中三封核心書信的產生、傳遞和流通軌跡，探究這些“言為心聲”的書信如何編織凸顯人物形象、推動情節發展、深化悲劇主題的多重敘事力量。

一、凸顯人物形象

莎士比亞在 1603 年至 1606 年間創作《李爾王》時借鑒了霍林希德《編年史》中記載李爾王故事的基本框架，精心設計了以國王李爾悲劇為主、大臣葛羅斯特悲劇為輔的兩條并行線索，特意安排了葛羅斯特雙目被剜、科迪利婭被謀害、李爾悲憤而死的結局，增強了戲劇的悲愴色彩。劇中人物主要來自價值體系完全對立的兩大陣營：正面陣營以李爾為核心，他的支持者科迪利婭、肯特、弄人、葛羅斯特、埃德加、奧本尼代表封建傳統價值觀，他們追求正義、忠誠盡責、善良孝順；與之相對的反面陣營由戈納瑞、裡甘、康華爾、埃德蒙和奧斯華德組成，他們代表了為實現個人野心、權力、利益而不折手段的馬基雅維利式新興資產階級。整部戲劇可以說是兩大陣營關於權力、價值觀的強烈對抗與殊死較量。在兩大陣營之間流通的書信成為非常重要的話語載體，具有揭示人物性格、展現人物情感、塑造人物形象的敘事力量，同時增強了戲劇空間的張力。每封書信都涵蓋“一種隱喻意義上的聲音，無論這種聲音是否為這背後的意識主體的真情實感，都是一種鮮活的意識表達，是‘心聲’付諸‘心畫’的表現”。^⑧書信猶如鏡子，從不同角度折射出寫信人、送信人、收信人、讀信人的“心畫”。隨著書信在不同時空的流動、傳播，這種由無聲文字組成的“心畫”傳遞了寫信人、讀信人的“心聲”，外化了他們的性格特徵。書信幫助讀者、觀眾瞭解到劇中人物內心世界的波瀾起伏，見證人性善與惡的激烈交鋒。

埃德蒙作為莎翁筆下最典型的馬基雅維利式代表，將個人利益凌駕於家庭倫理、社會道德之上。他對自己無法改變的“私生子”身份感到極為不滿，覬覦兄長埃德加將繼承父親爵位和財產的權利。由於埃德蒙個人無法抗衡早期現代英國社會嫡庶尊卑、長子繼承的森嚴等級制度，陰險狡詐的他以書信為“利器”，在“現象與事實之間強行置入張力”^⑨，不僅改變了自己的人生軌跡，還改寫了劇中其他人物——埃德加、葛羅斯特、李爾及其三個女兒的生死命運。他首先通過精心策謀偽造信的內容、送信方式編織了種種“真實”的假像，讓父親葛羅斯特聽信謠言，盲從假像。為了挑撥父子關係、激怒父親驅逐心地善良的哥哥，埃德蒙第一步模仿哥哥字跡，並以哥哥的口吻給自己寫了一封信。在第 1 幕第 2 場，埃德蒙完成偽造信後自言自語道，“要是這封信發生效力，我的計策能夠成功，庶出的埃德蒙將要勝過合法的嫡子——我可要揚眉吐氣啦”。^⑩埃德蒙為了不影響父親聲譽，在國外過了 9 年沒有名分、備受冷落的生活，回國後信誓旦旦要擺脫身份恥辱。他通過這封偽造信的書寫宣洩了多年來內心積壓的不滿和強烈的叛逆意識。

埃德蒙書信陰謀的第二步需要自然、巧妙地把偽造信送給父親。他看見葛羅斯特出現後，故意當著父親的面把書信藏進口袋。這種遮遮掩掩的行為顯然是為了引起父親注意，

葛羅斯特 你剛才在讀什麼信？

埃德蒙 沒有什麼，父親。

葛羅斯特 沒有什麼？那你為什麼慌慌張張地把它塞進口袋？既然沒有什麼，何必藏起來？來，給我看，要是那上面沒有什麼話，我也可以不用戴眼鏡。

埃德蒙 父親，請您原諒我，這是哥哥寫給我的一封信，我還沒有讀完，照我已經讀到的部分看，我認為不適於讓您看見。

葛羅斯特 把信給我。

埃德蒙 不給您看或者給您看，我都會得罪您。信的內容，其中部分按我理解，是應受譴責的。

葛羅斯特 給我看，給我看。

埃德蒙 我希望哥哥寫這封信是有他的理由的，他不過要試試我的德性。^⑪

他故弄玄虛用“受譴責”的書信內容刺激父親讀信的衝動，

這一種尊敬老人的政策，使我們在最好的年華只嘗到世界的苦味。不能由自己處分我們的財產，等到年紀老了，不再能享受它。我開始覺得老年人的專制壓迫實在是一種愚蠢的束縛；他們支配我們並非因為他們有權力，而是因為我們容忍他們這樣做。到我這裡來，聽我發揮這一個問題吧。要是父親閉上了眼睛，我不叫醒他他不再起來，你就可以永遠享受他的一半的收入，並且為你的哥哥所喜愛。埃德加。^⑫

埃德蒙以書信為重要工具，製造了哥哥埃德加忤逆不孝的假像，同時說出了自己因膨脹的欲望而不擇手段獲取財產、名譽，踐踏親情、僭越權力的邪惡心聲。

葛羅斯特看完信後，對長子埃德加大逆不道的言辭將信將疑，並質問埃德蒙書信的來由，面對父親的質疑，處心積慮的埃德蒙假裝維護父親的權威、進一步營造哥哥謀逆的假像，解釋說：

埃德蒙 它不是什麼人送給我的，父親，這正是他狡猾的地方；我發現它擲進我房間的窗戶。

葛羅斯特 你認識這筆跡是你哥哥的嗎？

埃德蒙 父親，如果寫的是好話，我敢發誓這是他的筆跡；可是，既然上面寫的是這種話，我但願不是他寫的。

葛羅斯特 這是他的筆跡。

埃德蒙 筆跡確是他的，父親，可是我希望這種內容不是出於他的真心。^⑬

書信的不可靠敘事導致葛羅斯特相信文字符號的表層資訊，喪失理智，大罵長子是“可惡的混蛋！違反天性的畜生！禽獸不如的東西！”^⑭埃德蒙的直接話語推進了書信間接話語對讀信人的影響，他利用書信話語的有限性直接激起了父親對哥哥的憤怒。

埃德蒙第三步自編自導的“苦肉計”可謂一舉兩得，既趕走了與自己有利益相爭的兄長，又繼續營造逼真的表像使父親“眼見為實”，掉進失去長子保護的陷阱。在第2幕第1場，埃德蒙得知前來考驗埃德加的父親到來，立刻假裝與哥哥動武，唆使哥哥匆促逃走後，立即用劍刺傷自己手臂，並在父親面前誣陷哥哥刺傷他後逃之夭夭。為了不讓“輕信的”父親與“忠厚的”^⑮哥哥當面對質書信內容，埃德蒙故意指錯哥哥逃跑的方向，使善良正直的埃德加淪為一無所有的流亡者。

“所有表像都作為符號而相互聯繫在一起；似乎它們一起構成了一個巨大的網路；每一個表像都把透明的自身設定為所表像物的符號。”^⑯埃德蒙利用偽造信的文字符號編織的表像趕走埃德加，逐步獲得父親信任，為繼承父親的爵位和家產鋪平道路。在第3幕第5場，急功近利的埃德蒙偷走父親鎖在書櫥裡的密信，抓住這個“邀功請賞的好機會”把密信轉交給康華爾，一方面他想利用它“證實”父親是“私通法國的間諜”^⑰，通過出賣父親名正言順獲取其爵位，徹底改變自己卑賤的身份；另一方面埃德蒙利用這封神秘書信贏得康華爾的賞識。為了攫取更多名利，喪盡天良的埃德蒙以效忠康華爾為由踐踏親情，給父親帶來雙眼被挖的厄運。

書信以純文字的形式呈現在讀者面前，是無聲的文本，但其中卻飽含敘述者的情感和心聲，在故事中並不會沉默。^⑱《李爾王》中埃德蒙利用偽造信、告密信毫無遮攔“說出”自己不擇手段攫取權力、財產的野心，作為馬基雅維利式的典型代表，他陰險狡詐、道德淪喪的人物形象讓讀者和觀眾感到不寒而慄。



二、推動情節發展

馬克·泰勒指出,“戲劇中的個人書信當然不僅僅是個人書信。此外,書信還是一種促成情節的方式,一種將大事件壓縮為小空間的方式,一種劇作家可以使用的呈現方式。”^①莎士比亞在《李爾王》中淋漓盡致呈現了書信把“大事件壓縮為小空間”的典型特點。劇中網狀式書信如同複雜的情節和反情節,成為兩大陣營成員加強聯繫、鞏固聯盟的重要工具。由於現代早期英國書信的不穩定性取決於送信人和收信人之間時而錯誤、時而不可預測的旅程,書信多變的軌跡增強了戲劇的悲劇色彩。^②

在第2幕第2場,性格剛烈的康華爾濫用刑罰把李爾派來的信使肯特套入足枷。喪失自由的肯特利用夜深人靜之機讀科迪利婭的來信,“來吧,你照耀地球的火炬,讓我借著你的溫暖的光輝讀一讀這封信。奇跡往往在不幸的時候才會發生。我知道這是科迪利婭寄來的信,所幸她已經知道我的改頭換面的行蹤,她一定會找到一個機會,從這種反常的情況中解救我們,以期補救損失”。^③劇作家並沒有借肯特之口直接讀出書信內容。這種委婉含蓄的間接敘事更能激起讀者、觀眾的好奇。直到第3幕第1場,肯特才在荒原把科迪利婭來信的部分內容轉述給李爾身邊的侍臣,“現在已經有一支軍隊從法國開到我們這分裂的王國,知道我們疏忽無備,在我們幾處最好的港口秘密登陸,不久就要揭出公開的旗幟。”^④書信敘事的編織功能逐漸讓讀者、觀眾在碎片式資訊中構建故事的複雜情節。一場關於李爾王權之爭的英法戰事迫在眉睫。語言的交際過程可以簡化為“編碼——發送——傳遞——接收——解碼”。^⑤科迪利婭這封由靜態言語符號濃縮而成的書信在劇中兩大對立陣營間處於動態流通、不斷被解碼的過程,對戲劇情節的發展起到推波助瀾的作用。

儘管莎翁在《李爾王》中沒有直接交代葛羅斯特在第3幕第3場收到的神秘信件是誰寫的、誰送來的,但根據他給兒子提及的書信內容和收信時間,不難推斷這封書信與肯特在足伽裡看的信是同一封。對書信“作不充分讀解的假設,不僅會使該敘事更加精彩,而且與我們所體驗的該敘事的推進過程相一致”。^⑥葛羅斯特告訴埃德蒙“今天晚上我接到一封信,裡面內容說出來也是很危險的;我已經把這信鎖在我的書櫥裡了。王上現在受到這樣的凌虐,總有人會來替他報復的;已經有一支軍隊在路上了。我們必須站在王上一邊……王上是我的老主人,我不能坐視不救。出人意外的事快要發生了。”^⑦顯然,葛羅斯特這裡提及的“出人意外的事”就是前面肯特所提到的法國軍隊已經秘密登陸英國港口,準備討伐忘恩負義的裡甘和戈納瑞。在第3幕第2場,肯特把遭受暴風雨摧殘的李爾帶進茅屋,告訴他“我還要回去強迫他們給一點禮遇。”^⑧其實,肯特此刻冒險回到葛羅斯特城堡是為了把科迪利婭寫給他的密信及時轉交給葛羅斯特,希望在保護國王生命安全的關鍵時刻得到他的鼎力相助。在第3幕第5場,埃德蒙偷取了父親藏在書櫥裡的密信。在第3幕第7場,葛羅斯特因被埃德蒙揭發私藏密信、暗中協助李爾逃往多佛被裡甘夫婦誣陷為“反賊”。當他們質問葛羅斯特“最近從法國得到了什麼書信”時,他回答道“我只收到過一封信,裡面都不過是些猜測之詞,寄信的是一個沒有偏向的人,並不是一個敵人。”^⑨在葛羅斯特眼裡,“沒有偏向”的寄信人不是寫信人——法國王后科迪利婭,而是為暗中保護李爾而喬裝改名的忠臣肯特。

正如大衛·伯傑龍所言,莎士比亞在葛羅斯特的悲劇故事裡非常依賴書信。^⑩從某種程度上講,兩封書信直接導致了他的悲慘遭遇。第一封私生子埃德蒙偽造長子埃德加筆跡的信成為“非法和危險間接的標誌”,因為“一封信是濃縮成符號的言語,話語明顯是間接性的”。^⑪這封挑撥父子關係的危險信件成為葛羅斯特家庭悲劇的導火索。他收到肯特帶來的科迪利婭書信使他遭受雙目被挖的個人悲劇。葛羅斯特對科迪利婭書信的輕描淡寫激怒了卑鄙惡毒的裡甘夫婦。他們殘酷無情地挖掉他的眼珠,成為整部戲劇最血腥、最殘暴的情節。莎翁在戲劇舞臺上向觀眾呈現了一幕由書信引發的極為震撼、殘酷的視覺場景。

書信使《李爾王》中主副兩條線索錯綜交織。科迪利婭原本想通過給肯特寫信獲得他以及其他忠臣對

父王李爾的暗中保護和幫助,沒料到這封信被詭計多端的埃德蒙偷走並交給康華爾。他獲得重要軍事資訊後立刻讓大姐戈納瑞回去把這封信轉交給奧本尼備戰,“叫他趕快準備;我們這兒也要採取同樣的行動。我們兩地之間必須隨時使用飛騎傳報資訊。”^⑧這封書信明顯加快了英法雙方交戰的進程。如果科迪利婭的這封書信沒有落入英方軍隊指揮之手,雙方交戰的時間很可能會延遲,這樣回法國處理國內緊急事務的國王很可能及時趕到多佛的法國軍營指揮法軍對抗英軍,雙方交戰的勝負結果很可能被改寫。替父報仇、替夫出征的科迪利婭很可能不會淪為法軍戰敗的俘虜。在第5幕第3場,心狠手辣的埃德蒙偷偷寫下處決科迪利婭的通密令(note)直接導致她在獄中遇害。從某種程度上講,科迪利婭寫給肯特的書信不僅傳遞了凝聚正義力量共同救援國王李爾的重要訊息,而且這封書信更是女兒對父親愛的宣言,充分證實了在“愛的測驗”中科迪利婭所言,“我缺少油滑的口才,不會講違心的話,因為凡是我心裡想到的事,我總是先做後說。”^⑨這封書信流通於兩大陣營之間,在代表正義與邪惡的正反陣營中產生了強大的張力,推動了戲劇情節的發展,間接導致了科迪利婭的悲慘命運。毋庸置疑,這封傳遞正義、忠誠、孝順、仁愛的書信凸顯了整部悲劇的無窮魅力。

三、深化悲劇主題

如果說《李爾王》中科迪利婭流動的書信成為兩大對立陣營捍衛／顛覆李爾王權的無聲武器,那麼戈納瑞寫給埃德蒙的情書則加速了英方反面陣營的瓦解。這封情書的流通使故事情節迂回曲折,跌宕起伏,環環相扣,讓讀者、觀眾在充滿懸疑的緊張氣氛中見證了正義與邪惡的較量,深化了悲劇主題。從文本結構看,書信敘事能夠發揮不同的“編織”功能,單線縫合事件碎片能夠構築線條清晰、完整的故事脈絡,讀者能獲得如抽絲剝繭般明快的閱讀樂趣;多線交錯編織讓故事情節跌宕起伏,讀者被捲入文本的“書寫”感受又會帶來別樣的審美體驗。^⑩戈納瑞的情書帶著讀者、觀眾在交錯編織的情節裡穿梭,旁觀戈納瑞、裡甘與埃德蒙明爭暗鬥的情感糾葛以及戈納瑞慫恿埃德蒙殺害丈夫奧本尼的陰謀。這封充斥著黑暗力量的情書不僅威脅奧本尼的生命安危,還對不列顛社會的穩定構成極大威脅。在關鍵時刻,埃德加及時攔截了這封危險書信,成為整部戲劇的重要轉捩點。

在果敢強悍的戈納瑞眼裡,丈夫奧本尼性格溫和,是“不中用的懦夫”,“他懦弱畏縮的天性使他不敢擔當大事。”^⑪埃德蒙則與之相反,他不折手段獲取權益的冒險精神和強大的行動力與戈納瑞氣味相投,自然贏得她的愛慕。劇作家直到第4幕第2場才向讀者和觀眾交代兩人的情人關係,“我們在路上談起的那個願望,也許可以實現。埃德蒙,你且回到我的妹夫那兒去,催促他趕緊調齊人馬,交給你統率……要是你有膽量為了你自己的好處而冒險,不久你大概就會聽到女主人的命令。把這東西帶在身上,不要多說什麼。低下你的頭:這一個吻,要是它敢於說話,會叫你的魂兒飛上天的。你要明白我的心。”^⑫收到定情信物的埃德蒙承諾要為戈納瑞赴湯蹈火,這是他在已經成功實現第一個人生目標——成為葛羅斯特伯爵後向第二個目標邁進的承諾——成為戈納瑞兩姐妹的情人或丈夫從而最終獲得不列顛王國的統治權。書信自然成為兩人互通消息、實施陰謀的重要工具。

在第4幕第2場,裡甘派使者送來康華爾公爵被僕人刺傷身亡的消息,同時還送來一封書信期待姐姐儘快回復。康華爾的突然離世對戈納瑞來說既是好消息,也是壞消息。因為他的身亡使戈納瑞更容易統一不列顛一分為二的領土和權力,但從個人感情看,這無疑增加了她的擔憂。成為寡婦的妹妹與埃德蒙在一起的可能性更大,她的如意算盤很可能落空。辦事一向雷厲風行的戈納瑞告訴信使“我讀過信再寫回信”^⑬來醞釀對策。這個對策便是她親筆給埃德蒙寫的情書。在第4幕第5場,她派管家奧斯華德儘快到葛羅斯特城堡給埃德蒙送信,通過書信加固兩人的情感紐帶。不料埃德蒙已經離開城堡,前往多佛替裡甘執行除掉



自己親生父親葛羅斯特和偵察敵情的任務。奧斯華德不顧生命危險送信給埃德蒙的決心引起裡甘對這封書信的好奇,“為什麼她要寫信給埃德蒙呢?難道你不能口頭傳達她的意思嗎?……讓我拆開這封信,我會重賞你的。”^③奧斯華德拒絕了裡甘的利益誘惑,她擔心自己在姐姐的情書面前失去爭奪埃德蒙的優勢,於是讓奧斯華德隨姐姐的書信捎給他一件信物以表愛意。

看似對主人忠誠的奧斯華德其實也像埃德蒙一樣是野心勃勃的馬基雅維利式人物。當裡甘向他承諾,如果他殺死了雙目失明的葛羅斯特就可以獲得升遷,他立刻保證“我一定可以表明我是追隨哪一方面的。”^④後來奧斯華德發現了葛羅斯特,對這位飽受身心創傷的老人沒有絲毫憐憫,而是立刻拔劍揮向他,“你那顆瞎眼的頭顱,卻是我進身的階梯。”^⑤幸好埃德加及時拯救了父親,並在決鬥中擊敗奧斯華德。臨死前,奧斯華德把戈納瑞寫給埃德蒙的情書交給埃德加,並請他轉交。這封書信究竟有什麼重要內容讓管家臨死都不忘自己送信的使命。法蘭西斯·培根曾指出:“當一個人需要別人回信給答覆時;或者當它可能用來為一個人辯解,然後他自己寫信時,信件還是不錯;如果信件被攔截或被聽到隻言片語,情況可能會有危險。”^⑥這封被埃德加攔截的情書確實揭曉了“敵人的思想”。莎士比亞借埃德加讀信之機揭示了戈納瑞與埃德蒙的陰謀,“不要忘記我們彼此間的誓約。你有許多機會可以除去他;如果你不乏決心,時間和地點有的是。要是他得勝歸來,那就什麼都完了;我將要成為囚人,他的床就是我的牢獄。把我從它可憎的溫暖中拯救出來,作為報酬你可以取代這個位置。你的親愛的僕人(但願我能換上‘妻子’兩字)戈納瑞。”^⑦這是《李爾王》中第二封直接向讀者、觀眾揭曉內容的書信,逐漸把兩個對立陣營的決戰推向高潮。

為了把這封“卑劣的信”^⑧及時交給奧本尼,埃德加喬裝進入英國軍營,建議他在作戰前讀這封與他生死攸關的信,“要是您得到勝利,可以吹號角為好,叫我出來;雖然我看起來卑賤,我可以請出一個勇士來,證明這信上所寫的事。要是您失敗了,那麼您在這世上的事已經完畢,一切陰謀也都無能為力了。”^⑨奧本尼建議埃德加等他讀完信再走,埃德加看似簡單的回答“我不能”^⑩進一步增強了戲劇的懸念。為什麼喬裝的埃德加不能等奧本尼知曉妻子和埃德蒙的無恥陰謀後再離開?為什麼他不願在奧本尼面前揭露自己的真實身份?細讀劇本不難發現遇事冷靜的埃德加知道自己目前處境危險,隨時可能被仇人——弟弟埃德蒙發現,況且弟弟現有勢力比以前強大,保全性命、保護父親、靜觀局勢是冷靜理智的埃德加替父親和自己報仇雪恨的當務之急。

正如喬納森·戈德堡所言,“書信是一個看似表面的空間,模仿寫各種形式行為的修辭文化的空間。”^⑪當埃德蒙在決鬥中被哥哥埃德加刺傷時,奧本尼拿出戈納瑞寫的情書當眾揭發兩人,“你這比一切惡名更惡的惡人,讀讀你自己的罪惡吧,不要撕,太太,我看你是認識這封信的。”^⑫氣急敗壞的戈納瑞沒有絲毫懺悔之心,反而回擊丈夫“法律是我的,不是你的;誰能夠控訴我?”^⑬與早期現代英國父權制社會的傳統女性截然不同,戈納瑞代替丈夫掌握了英國軍隊的統領權,還將國家法律、道德倫理審判權掌握在自己手裡。然而,失道寡助的她最終走向了自我毀滅。戈納瑞的情書引發了《李爾王》的一幕幕血案——裡甘被姐姐毒死、戈納瑞自殺、埃德蒙敗于哥哥埃德加的劍下,三人相繼死亡徹底宣告了反面陣營的瓦解失敗。理性睿智的奧本尼巧妙利用埃德蒙的領導才能在英法戰爭中獲勝。妻子寫給埃德蒙的情書成為他宣判兩人“叛逆重罪”的合法武器。正直不阿的奧本尼成為血雨腥風後的不列顛新王。正如愛德溫·繆爾所言,劇中的書信成為在迅速惡化的宇宙體系中維持和創造紐帶的一種手段。^⑭

結語

1606年《李爾王》在倫敦上演時,英國都鐸王朝已終結,國王詹姆士一世已開始執政。17世紀初期英國王朝更迭、社會政治動盪不安、日益擴張的資本主義帶來的多重矛盾成為這部悲劇的現實背景。在這種特



殊的歷史文化語境下,“希望與絕望共存、向善與作惡互補、進步與野蠻並立、人性與獸性相輔,用一種令人動情的又催人反省的和聲,奏響了莎士比亞悲劇的主調。”^⑧劇作家在《李爾王》中通過環環相扣的書信敘事塑造了經典的戲劇人物形象,不斷推進悲劇情節的發展,對早期現代英國封建社會的王權、父權、夫權提出了重要思考,彰顯了正義戰勝邪惡、崇尚人性解放的人文主義主題。

注釋

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**[Translation Studies]**

The Application of Lasswell's Communication Model in the Study of Chinese Literature "Going Global"

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Abstract: To make China's literary works accessible to non-Chinese readers and promote mutual understanding between China and other countries, the Chinese government has put forward the "Going-Global" strategy. However, in the process of promoting the "Going-Global" strategy, China has encountered several obstacles which enormously strangle the acceptance of modern Chinese literature all over the world. Thus related national institutions must take some effective measures to boost the accessibility of China's literary works overseas and strengthen the understanding between China and the outside world. This article endeavors to discuss the problems propping up in our bid to carry out the "Going-Global" strategy — mainly our bid to translate modern Chinese literature. By analyzing four major obstacles which hinder the transmission of Chinese literature from Lasswell's communication model, the article intends to put forward relative suggestions to related institutions to further promote Chinese literature overseas.

Keywords: Chinese literature; translation; communication; Lasswell's communication model

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Introduction

"Going – Global Strategy", which was put forward on the Sixth Session of the Seventeenth Central Committee of the China Communist Party, represents one of China's new cultural moves in the new period. The strategy mainly focuses on the promotion of Chinese culture. It pointed out, "we should carry out multi-channel and multi-level cultural exchanges and actively participate in the dialogue with world civilizations, promote mu-

tual cultural reference from each other and enhance the appeal of Chinese culture across the world". Furthermore, it stressed the implementation of the "Going-Global" Project—namely the transmission of Chinese cultural products and services. Under the guidance of this strategy, multi-layer governments and institutions have made forays into the promotion and communication of diversified China's cultural products.

National literature is a typical representative of the culture of a country, and it usually conveys the specific national voice through national languages. "There is also general agreement that literature foregrounds language, and uses it in artistic ways" (Karnik & Sheikh, 2015, p.1). In this way, Chinese writers utilize their pens to create a type of art form which symbolizes the Chinese language and is the prototype of Chinese culture. Thus, Chinese literature "Going-Global" is placed on the list of priority in China's agenda. For several decades, governments and related institutions have launched campaigns to help promote Chinese literature "Going-Global", such as "Jin Shuiqiao Plan", "Chinese Books Going Global", "Classic China International Publishing Project" and "Silk Road Scholarship Project". However, as several scholars (Wang, 2010; Ma, 2013; Liu & Zhu, 2015) pointed out, the effects are not entirely satisfactory. Although a few Chinese writers did win some world-class literature awards (for example, Mo Yan won the Nobel Prize in Literature in 2015 and Liu Cixin won the Hugo Award for Best Novel in 2015 for *The Three-Body Problem*), Chinese literature still could not enjoy good reputation and have great influence in the overseas book market. Liu Yameng and Zhu Chunshen (2015) suggested that a barely satisfactory translation version of Chinese literature is to blame. That is to say, the translation quality is one point that hinders the transmission of Chinese literature. Ma Huijuan (2013) held that Chinese literature does not appeal to overseas audiences because the literature itself is not so attractive as that of western works. The readers abroad want to read more than the story itself, and the common state of mind emanating in literature is of great importance to these readers. Han Jianmin and Xiong Xiaoming (2018) found that before we promote the Chinese literature "Going Global", "we need to know which Chinese themes are favored by the international book market". To sum up, the promotion of Chinese literature "Going Global" is about translation and communication. Considering all these factors hindering the translation and communication of Chinese literature, this article analyzes the difficulties Chinese literature is faced with and puts forward several suggestions to the related institutions from the perspective of Lasswell's communication model.

1. Five Factors Influencing the Translation and Communication of Chinese Literature

The promotion of Chinese literature is closely related to communication studies as this process can be regarded as the activity of conveying meaning to the outside world. In other words, communication is the activity of conveying meaning through a shared system of signs and semiotic rules. In this sense, we tentatively hold that the promotion of Chinese literature can be discussed under the theory of communication. Lasswell's model of communication was developed by American political scientist and communication theorist Harold Lasswell in 1948 while he was a professor at Yale Law School. In his article "The Structure and Function of Communication in Society" published in 1948, Lasswell (1948) describes that an act of communication is to answer the following questions: Who; Says What; In Which Channel; To Whom; With What Effect. Specifically speaking, in Lasswell's model, "Who" refers to transmitters who can be human beings, entities, or institutions and are responsible for collecting and delivering messages. "Says What" refers to the contents that transmitters communicate and deliver. "In Which Channel" means the medium through which information is transmitted, and



the channel could be newspapers, radios, TV, and other emerging electronic devices. “To Whom” refers to the audience and communication objects. “With What Effect” means the extent of the audience’s acceptance of the information.

Literature translation is a way of cultural communication. That is to say, Lasswell’s five communication models could also be applied to this process. Therefore, the factors influencing translation and communication of literature consist of:

- 1) The subjects of translation and communication of literature;
- 2) The contents of translation and communication of literature;
- 3) The channels of translation and communication of literature;
- 4) The audience of translation and communication of literature;
- 5) The effects of translation and communication of literature.

If translated works cannot get to the audience and be accepted by them, the communication process is unsuccessful, and the communication action is meaningless. As for the translation of Chinese literature, we can view this process from these five aspects accordingly and get enlightenment from the following analyses.

1.1 The subjects of translation and communication of Chinese literature

The subjects of translation and communication of Chinese literature refer to translators of literary works. The functions of translators are to offer the translation version and negotiate and communicate among the original author, the editor, the patron, and so on. Pym (2012) believed that translators should be like “an intermediary” to coordinate various relations. Choosing the subjects of translation and communication of Chinese literature is one of the determinants that impact the final effects for Chinese literature going global. However, as Hong Yi (2012) put it, the lack of translation talents has been the biggest hindrance in the transmission of Chinese literature. For a long time, the local translators, namely the Chinese translators, have undertaken the translation of Chinese literature. However, most of the local translators do not have a good command of literature expressions in English. What’s more, they are not so familiar with the reading habits and market of the publication abroad. Therefore, it is difficult for them to translate Chinese literature properly into English, and foreign literature specialists and readers will not easily accept their translation works. In this sense, more suitable translators are needed during this process. Huang Youyi (2010) mentioned that a sinologist serves as the communicational bridge of the translation of Chinese literature. As the subjects of the translation, the sinologists will form a kind of prestige among readers abroad and will be easily accepted by readers. However, at present, there is a serious deficiency in the number of sinologists around the world.

1.2 The contents of translation and communication of Chinese literature

The contents of translation mean to translate “what”, which includes the choice of original Chinese literary works and translation strategies. Xu Jun (2002) believed that what should be translated is the most important compared with how to translate.. If one selects proper content to translate, the translated texts will win favor with a wide range of readers. Otherwise, the transmission of the translated texts will meet with indifference and fall flat.

Currently, China’s translated works going abroad are mostly ancient Chinese classical books. Thus the type of Chinese literature is not so diverse. According to Liu Yi (2013), “to achieve the effect of intercultural communication, the translated work should at least possess two essential elements: universal value and regional char-

acteristic”. In this sense, the works selected for translation and recommendation should also have these two considerations. First, it should fully reflect the Chinese people’s ideas in the globalization process of the world today and their views on current global hot issues. Secondly, reflecting on the academic voices of China will enable readers in the target language to have a whole picture of a real China.

1.3 The channels of the translation and communication of Chinese literature

The channels of translation and communication of Chinese literature are to handle “in what ways to communicate”. The variety of channels of Chinese literature going abroad decides at a certain time the likelihood the readers receive the cultural messages emanating from Chinese literature. If translated works have access to the overseas market, the more channels the sender possesses, the higher frequency the readers will accept translation works; the longer the time lasts, the more easily the effect will be met with.

For several years, as Geng Qiang (2010) pointed out, how the Chinese literature transmits is too simple. It mainly consists of domestic publications and domestic book fairs. Having access to the world’s communication system is far from enough. The primary bottleneck of the transmission of Chinese literature is poor overseas marketing channels. How to exploit the overseas markets and establish an international publishing industry with Chinese characteristics are considerable factors in cultural communication between China and the outside world.

1.4 The audience of the translation and communication of Chinese literature

The audience of translation and communication of Chinese literature means “to whom to translate”. The effects of the translation are evaluated by the readers’ reflections on the translated Chinese literature. The communication will produce no effect if the receivers cannot accept the senders of messages. The audience is the object of the translation activities and the embodiment of translation effects. Thus, an intensive study on the audience of translation is quite necessary, and accordingly, we adjust to the contents and channels of translation to achieve satisfactory effects.

In the process of the transmission of Chinese literature, Zhao Fan (2012) believes that the related institution in charge just sells the overseas copyright to the publisher abroad and signs an agreement without considering the need of the readers. To know about the audience of translation and adjust to the transmission strategies accordingly are major concerns in the transmission of Chinese literature.

2. Suggestions for the Transmission of Chinese Literature

From the above analysis, this paper has already indicated the problems existing in the process of the transmission of Chinese literature from the perspective of the communication mode. The effects of “Going Global” of Chinese culture depend on the whole process of translation and communication, not on a certain link. “To obtain a good effect, it is necessary to pay attention to the various elements in the communication process”. (Yin & Wang, 2021: 50) Correspondingly, some suggestions are listed about the five factors in the communication mode. We tentatively believe that some related cultural institutions and agencies could ponder on the following suggestions.

2.1 The choice of translators

As to the choice of translators, just as Huang Youyi (2010) recommends in one report if one Chinese work



has two translation versions, one by Chinese translator and the other by sinologist, he recommends using the latter one as the first translation version. For as in the process of Chinese literature translation, the translator needs to know a lot about the cultural background of the target language. The sinologists, after all, have a good command of the cultural phenomena of their own country, and they can make exact judgments on some difficult cultural points when translating Chinese literature into the target language.

Some sinologists still have difficulty understanding the original Chinese texts due to a lack of language and cultural background. This is the time when Chinese translators bring their advantage into full play. We suggest that the local translators (Chinese translators) cooperate with sinologists (translators whose mother tongues are not Chinese) to complement each other to create better Chinese literature of various language versions.

2.2 The choice of the translated texts

In the past, as Bao Xiaoying (2015) calculated, “less than 1500 kinds of Chinese books were translated into the West from 1900 to 2010”. The subject matter of translated works should be more diverse and not limited to the traditional and classic literary fields. For instance, nowadays, many westerners still believe that China is a backward and ignorant farming-centered country. This is partly due to the long-standing material superiority of Western countries and their ignorance about China. They form such a judgment only by looking through some Chinese literary works depicting China’s rural areas. On the other hand, Liu Yi (2013) holds that the contents of the translated works need to meet these two elements: universal value and regional characteristic. When choosing what kind of works to be translated, the related institutions had better focus on the texts reflecting the issues our world is faced up with and the common conceptions all mankind share, or some texts reflecting Chinese profound culture and value, which are also the most interesting issues that overseas readers concern most. In this way, enlightening viewpoints on world issues by Chinese scholars could be heard by the overseas audience and improve the discourse ability of the Chinese publishing industry on the interpretation of the world.

2.3 The transmission channels

In the circulation process of translated works, the related institutions should broaden their horizon to enlarge their medium of circulation and know more about the foreign market. After about 100 years of development, the prosperous western countries have already formed a sustained, systematic copyright management chain, which is mediated by copyright agents helping authors of the original work (the one who creates the original literature) make copyright agreements with foreign publishers (publishers outside China). In this way, the use of the copyright is enlarged from the domestic market to the international market. In the future, the publication of the Chinese literature should also pay attention to the promotion of such a management chain.

Secondly, the transmission of Chinese literature also relies on an international platform such as the Frankfurt Book Fair and Book Exposition of America, in which we can expand publishing channels further and enhance cooperation with the outside world. Some of China’s Translation Grand Programs could build cooperation with foreign publishers through these international book fairs. As Han & Xiong (2018) pointed out, “our ultimate goal is to establish a publishing value system that not only conforms to the international mainstream publishing values but also demonstrates Chinese characteristics”. In this way, translated works published by these publishers could be more easily accepted by foreign readers.

Finally, with frequent cross-cultural communication nowadays, it is far from enough to rely solely on offline platforms for cultural translation and communication. With the advent of the Internet era, network platforms

have played an increasingly important role. With the advantage of low cost and wide coverage, the internet could be a novel way for the transmission of Chinese literature. Related governmental and non – governmental institutions and agencies should give impetus to the field of online Chinese literature and explore the feasibility of relying on online platforms. To sum up, “China should follow the development trend of the global press and publishing industry, and actively promote the planning of integrated publishing, overseas investment, talent training and other special areas of the building of China’s publishing international communication capacity”(Wang & Li, 2020).

2.4 *The attention of readers’ needs*

Translated works get truly transmitted only when they get to readers and be accepted by readers. Therefore, it is essential to know about the reading habits and preferences of overseas readers. When Chinese literary works go global, related institutions and agencies should learn more about the reading needs of overseas readers and select proper works to get translated. For translators, they need to better understand the reading interest of readers and choose the proper translation strategies to get their translation works done. Furthermore, before distributing literary works, China’s related departments should conduct enough marketing research in the product planning and organization phase. In the process of editing, publishing, marketing, and distribution, every related entity should be imbued with audience-centered concepts and operates the projects based on the actual needs and reading preferences of overseas readers.

3. Conclusion

To strengthen the transmission of the Chinese literature is based on two considerations: one is the weak position the Chinese literature occupies in the international literary markets; the other is the initial phase the transmission of Chinese literature lies in the international literary circle. These current situations determine that when considering strategies, we should focus on the acceptance of target culture in terms of the translator’s choice, translated texts, channels of transmission, and readers’ needs. Specifically, we need to promote the cooperation between sinologists and local Chinese translators, choose diversified and proper translated texts under the needs of the overseas audience, and expand online and offline publishing channels. Only by constantly studying the translators, the contents, the channels, and the readers in detail and their interactive relations, can we finally get appropriate ways to promote the transmission and distribution of Chinese literature.

Notes

- 1 The Sixth Session of the Seventeenth Central Committee of the China Communist Party was held on October 15, 2011, in which after the deliberation, the Chinese government passed a resolution to promote the overseas transmission of Chinese culture, and the term the “Going-out” strategy was clearly defined.
- 2 The author could not find an official English version, and most of the contents of the documents are translated by the author.
- 3 The plan was put forward by the State Council Information Office to fund the foreign publishers publishing some Chinese literature works.
- 4 The project is promoted by the State Council Information Office and China Foreign Language Publishing Administration to sponsor the publication of Chinese books overseas and donate books to foreign libraries.
- 5 The project is put forward by National Press and Publication Administration to encourage and support the publication of outstanding export-oriented Chinese books that meet the needs of foreign markets



6 The programs are promoted by National Press and Publication Administration to promote the copyright export and co-publishing with foreign institutions of translated Chinese literary works

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Thick Translation Strategies of Social Science Texts: A Case Study of the C-E Translation of *China's Solution to Its Ethno-National Issues*

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Abstract: Among the *Understanding China Series* published by China Social Science Press, this book focuses on the global issue of ethnic problems and examines the theory and practice of how China addresses its ethnic problems from a macro perspective. Based on comparative and empirical studies, it also offers specific solutions to ethnic problems in contemporary China. In 2017, the book was granted by the National Social Sciences Fund for the Project of Translating Chinese Academic Works. And in 2019, the English version of *China's Solution to Its Ethno-National Issues* was launched by Springer, a world-renowned publisher for sci-tech books. This article studies the specific use of thick translation and norms in translating academic works to spread Chinese culture and show the real China to the world. In an attempt to figure out how to convey the writer's thoughts in a better way and make them accepted widely, it analyzes the cases of thick translation, both inside and outside translated texts.

Keywords: thick translation; Translating Chinese Academic Works; thick translation inside translation; thick translation outside translation

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社會科學文本的深度翻譯策略 ——以《中國特色解決民族問題之路》的英譯為例

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摘要:《中國特色解決民族問題之路》為中國社會科學出版社《理解中國》叢書之一。該書以宏觀的視野,圍繞民族問題這一全球性的話題,論述中國特色解決民族問題正確道路的理論與實踐。該書於2017年獲批國家社科基



金中華學術外譯專案。國際著名的科技圖書出版公司斯普林格出版社於2019年推出了該書的英譯本 *China's Solution to Its Ethno-national Issues*。本文詳細考察了英譯本中深度翻譯策略與學術翻譯規範的具體表現,通過研究其譯文內與譯文外深度翻譯例子,試圖找出此類著作在英譯過程中如何更好傳達原作者思想的方法,以達到傳播中國文化、展示中國形象的目的。

關鍵詞: 深度翻譯; 中華學術外譯; 文本內深度翻譯; 文本外深度翻譯

引言

改革開放以來,中國與世界的聯繫越來越緊密,經濟騰飛、日新月異成為中國在國際社會的代名詞。但與此同時,世界上仍有許多人對中國的印象停留在上個世紀的貧窮、落後之上;而且,“世界輿論西強我弱局面尚未根本改變”,我們想要“引領世界輿論絕非易事,需要加強頂層設計,兼顧各方,既有明確的大方向,又有多角度多層次的話題”。^①

在中國社會科學出版社社長兼總編輯趙劍英看來,我們以更加寬容、友好的心態融入世界時,自己卻沒有被客觀真實地理解。^②這樣的嚴重不對等,造成了國際上長期存在的對中國的妖魔化和污名化。在這樣的背景下,中國社會科學出版社策劃出版了“理解中國”叢書,以“發揮學術優勢,講好中國故事”為追求,選取國內外讀者關注的重大理論和實踐問題,從經濟、政治、宗教信仰、民族政策、生態環境治理,以及中國古代文明、哲學、藝術等多方面設置選題,由各學科權威專家撰寫,以深入淺出、通俗易懂的寫作方式打造出一套學術著作精品,向國內外讀者闡述中國的歷史與現實。該叢書注重提煉中國特色,闡釋中國道路、中國理論、中國制度,且具有國際和比較的視野。

如此來看,講好中國故事,傳播好中國聲音是當代中國文化工作者當仁不讓的重大使命,同時中國學術國際化既是中國文化走出去的重要途徑,也是配合中國崛起不可或缺的部分。《中國特色解決民族問題之路》系“理解中國”叢書中的一部,作者郝時遠先生在大量調查研究的基礎上,以全面客觀的眼光和扎實詳盡的筆觸為我們論述了中國的民族關係發展史,從具體入微的實證,在國際比較的視域中,分析了中國解決民族問題的當代主題,即中國各民族人民在物質生活層面縮小差距、共用發展,在精神生活層面尊重差異、認同一體。

像《中國特色解決民族問題之路》這樣的主題圖書,反映的是時代重大課題,作者都是社會精英、領域權威,能被翻譯成外文出版,必定思想內涵深刻,觀點內容權威。^③作為傳播中國聲音,展現中國風貌的載體,主題圖書的傳播過程也充滿挑戰。其中首當其衝的便是翻譯問題。在當今時代,我們既要繼續翻譯世界,也要加強翻譯中國,^④這是翻譯研究呈現出的新特點。但整體來說,中文社科文獻的翻譯缺少學術界的重視,因此如何能讓這本解決民族問題的“法寶”為國外專家學者、政府官員所接受,是對譯者能力的重大考驗。

翻譯在廣義上被認為是一種跨文化交際活動,“目標語讀者導向”的理念應貫穿於翻譯過程的始終。^⑤張譯本的《中國特色解決民族問題之路》採用了大量深度翻譯策略,使得行文更加符合外國讀者的閱讀習慣,同時也將原文中大量出現的中國特色詞彙、文化負載詞等處理得更加明白易懂,幫助外國讀者清除了閱讀障礙。由此,這部代表中國智慧、貢獻中國方案的著作也得以發揮更加廣泛的影響力。

一、深度翻譯

深度翻譯(thick translation)來源於英國分析哲學家吉伯特·賴爾的“深度描寫”理論。“深度描寫”被引

入人類學之後，為不同文化之間的交流提供了一種嶄新的視角。之後美國普林斯頓大學哲學教授阿皮亞將這一理論應用於翻譯學研究之中，提出了“深度翻譯”的概念。其主要含義為“深度語境化，在翻譯文本過程中採用添加註腳、注釋、評注等方法，以便將文本置於具有豐富內涵的文化與語境之中，進而使被文字遮蔽的意義和譯者的意圖互相融合”。^⑥簡單來說，深度翻譯便是譯者除譯文之外，仍需添加其它注釋、評注、說明等詮釋性材料，以達到使目標讀者更易理解譯文的目的。譯者通過深度翻譯的種種手段和策略，為目標讀者構建出理解、感悟來源語言文化的平臺；深度翻譯解決的是文化理解層面的問題，它是讀者與來源語言文化之間的橋樑。

自阿皮亞教授提出“深度翻譯”這一概念以來，翻譯界得以用一個全新的視角來審視翻譯活動。但阿皮亞教授的“深度翻譯”更偏向於一種指導性的原則，眾多翻譯學者在自己的翻譯實踐中豐富了這一理論。赫爾曼斯提出實施深度翻譯的兩個途徑：評注和修辭闡釋學；深度翻譯被引入國內的時日尚短，但相關研究已經出現不少：2005年，譚載喜教授將“thick translation”翻譯為“增量翻譯”，確實符合深度翻譯常用策略——添加注釋的特徵，自此之後，關於深度翻譯的研究逐漸多了起來；張佩瑤也提出了背景描述、解釋、深厚鋪墊等具體操作方法來幫助讀者跨越理解方面的鴻溝；^⑦李雁在《〈紅樓夢〉法譯本的“深度翻譯”及其文化傳遞》中，根據“*realia* 理論”和“副文本”理論總結出“深度翻譯”的類型和具體實施方法，使這種新興的翻譯理論具有可操作性。^⑧許明武、王煙朦運用法國社會學家布迪厄的“資本”概念審視任以都英譯版《天工開物》，發現任以都運用的深度翻譯策略乃是特定社會歷史背景下文化資本、社會資本、象徵資本和經濟資本相互作用的產物。^⑨

但我國現有關於深度翻譯在譯本中體現的研究還多數集中於外譯中作品，在提倡中國文化“走出去”的大背景下，我們還應加強中譯外作品中深度翻譯的研究，對譯者的翻譯動機、翻譯策略以及希冀達到何種目的進行闡釋。由此來看，張譯本 *China's Solution to Its Ethno-national Issues* 便十分值得探討。

二、《中國特色解決民族問題之路》的英譯本中深度翻譯策略的應用

融通中外，就是我們傳播的概念範疇表述既要符合中國國情，有鮮明的中國特色；又要與國外習慣的話語體系、表述方式相對接，易於為國際社會所理解和接受^⑩。深度翻譯策略想要達到的目的正與此契合。

本文探討的深度翻譯策略主要分為文本內深度翻譯與文本外深度翻譯。前者主要採用加注的方式為文本增加更多詳細資訊，如拼音加注、註腳等，讀者通過此類加注會對譯文有更加深刻的認識，減少讀者閱讀譯文時的理解障礙；本文考察的文本外深度翻譯主要是譯者注。譯者在翻譯前對原文整體風格、出版目的、譯文受眾等都做了具體研究，並將其譯者注中加以說明。可以說，譯者注是讀者通過譯文理解原著的極大助力。

（一）文本內的深度翻譯

譯注是譯文內深度翻譯的集中體現，同時也是深度翻譯最直觀的體現。^⑪《中國特色解決民族問題之路》一書中出現了大量的人名、地名及歷史事件等文化負載詞，這些看似簡單的詞卻包含了豐富的地理、歷史、文化、社會資訊。原文讀者在讀到這些詞時能夠心領神會，迅速體會到這些詞語背後的含義，但對於譯文讀者來說，直接翻譯而成的英語並不能準確傳達其隱藏含義，甚至會讓讀者一頭霧水。因此，譯者往往在翻譯過程中添加一些解釋性的背景資訊，以使譯文更加明白易懂。

1. 拼音加注



譯文本身為闡釋留出的空間有限,而學術闡釋的任務就只能大量由隨文注釋或評注來承擔。^②在張譯本中,多次出現了拼音加注的方法,主要用於表述歷史上已經約定俗成的特有詞彙,先用拼音將該詞彙表示出來,再把英語解釋置於其後。如:

例 1:清朝政府對邊疆地區的治理雖然承襲了“因俗而治”等羈縻政策,但是通過制度和法律形式實施統治的治理能力顯著增強。^③

譯文:Although the Qing court continued to apply the Jimi system, an autonomous administrative and political organization system, to govern the frontier regions, the Manchu ruler's governance capacity in the border areas had been significantly strengthened with the enhanced composite national strength.

經查閱資料,“羈縻政策”是自秦朝建立郡縣制起,到宋、元交替時期前,中央王朝籠絡少數民族使之不生異心而實行的一種地方統治政策。通過這種政策,處理中央與地方少數民族聚居的關係,以維繫中央集權制度的統治。譯者先將其音譯,而後利用同位成分進行解釋:an autonomous administrative and political organization system。如此一來,譯文讀者便對中國歷史上的這一重要民族制度有了初步瞭解。

例 2:這就如同由西北地方回族、撒拉族經營的牛肉拉麵,在全國範圍的名聲是“蘭州拉麵”(2 萬家)、“青海拉麵”(3 萬家)一樣,而且已經發展到新加坡、馬來西亞等國。

譯文:For example, “Lamian” (literally “hand-pulled noodles” whose preparation involves taking a lump of dough and repeatedly stretching it to produce a single long noodle, was first created by the Muslim Hui People in northwestern China. Eateries serving Lanzhou-style or Qinghai-style “Lamian” are very popular throughout China where they have formed a staple diet for centuries. They are increasingly found in the Chinatowns of Singapore and Malaysia.

拉麵是中國傳統麵食,國外並無對應之物。但如果將“拉麵”簡單音譯成“Lamian”,譯文讀者便會不知所云,可能無法傳達其文化內涵;譯文先將“Lamian”寫出,之後用流暢的語言補充了拉麵的製作過程,清晰明白,一目了然。雖稍顯繁瑣,但為了準確傳達語義,便不得不做出一部分妥協。

例 3:隱藏在廓爾喀背後被稱為“披楞”的勢力,卻使清朝政府一直摸不著頭腦。直到近半個世紀之後鴉片戰爭爆發,清朝政府才明白了“披楞即系英國”。

譯文:During the armed conflict, the so-called Phe-rang forces (literally means “foreigners” in the Tibetan language) secretly assisted the Gurkhas. It was until the eruption of the First Opium War in 1840 that the Qing government came to realize that “the Phe-rang forces” were actually the British colonists.

譯文先將“披楞”音譯 (the so-called Phe-rang forces),然後用括弧說明該專有名詞的來由,literally means “foreigners” in the Tibetan language (藏語中指外國人)。對於此類明顯帶有地方特色的詞語,忽略不譯和強行解釋都不是最得當的方法。如此這般,將詞語音譯和英文解釋一併寫出,才能讓譯文讀者有更加全面、清晰的瞭解。

2. 註腳

例 4:而時隔一年後的烏魯木齊“7·5”事件,則以更加血腥暴力的場景展現在國人面前……。

譯文:On 5 July 2009, a series of violent riots broke out in Ürümqi, the capital city of the Xinjiang Uyghur Autonomous Region in northwestern China.³(此處的“3”為譯本中的註腳編號。)

譯者依照原文將句子翻譯出來,並在譯文中對烏魯木齊作了簡要介紹。但對中國人民來說觸目驚心、傷痕累累的“7·5”事件,外國讀者卻知之甚少。鑒於此,譯者在註腳中對這一事件再次進行說明:

3: “The first day’s rioting, which involved at least 1,000 Uyghurs, began as a protest but escalated into violent attacks that mainly targeted Han people. A total of 197 people died, among those killed most of them are Hans, with 1,721 others injured and many vehicles and buildings destroyed.”

“197 人死亡, 1721 人受傷, 多處建築遭到毀壞”, 冰冷的數字背後是一條條鮮活的生命。無論恐怖暴徒如何掩飾, 都無法改變此次事件暴露出來的血腥、恐怖的本質。有了此條註腳, 譯文讀者便更能瞭解“7·5”事件的真相, 這並非他們印象中的和平遊行, 而是赤裸裸地煽動民族仇恨, 以鮮血和生命的代價來實現暴徒身後那些陰謀家們不可告人的目的; 也更能理解中國政府為何堅決、嚴厲打擊一切形式的恐怖主義活動, 打擊一切分裂國家、破壞民族團結、破壞社會穩定的犯罪活動了。所以說這條註腳是十分有效且必要的。

例 5:……包括 1771 年不堪忍受沙俄統治毅然率領蒙古土爾扈特部眾東歸祖國的渥巴錫, 也在此受到乾隆皇帝的接見和封授。

譯文: It was in the main hall of the architectural complex that Emperor Qianlong received Ubashi Khan, a Torghut prince, who led his tribesmen on their massive migration back to China from Russia.

原作者在本節中著重敘述了清政府在處理邊疆少數民族事務方面的成就, 包括制定律法, 參與當地宗教事務, 乃至在邊疆地區設置機構, 轄領區域事務。自此民族和睦, 中原地區成百上千年的游牧民族威脅消弭殆盡。而這其中, 十八世紀土爾扈特部的回歸則更能體現清政府在民族事務上的成就。“土爾扈特部回歸”這一事件已編入中學歷史教材, 中國讀者必不會陌生。而讀到此處的外國讀者, 並不能通過“Torghut”這幾個字母聯想到其背後的深刻含義, 因此譯者在正文下方添加了一段註腳, 用以向讀者解釋土爾扈特部的來歷以及回遷的緣由: “The Torghut was a Mongol clan who were compelled to migrate westward towards the end of the Ming dynasty (1368–1644) after repeated attacks by the Zhungaer tribe. They then settled in the lower reaches of the Volga in Russia. There for a long time they were subjected to oppression and plundered by the government of Tsarist Russia and unable to stand this any longer, they finally decided to migrate back to China.” 譯者註腳內容與原作者前文所述相互印證, 從側面反映了清政府民族政策的成功, 體現出民族和諧、團結一心的局面, 有理有據, 令人信服。通過閱讀註腳, 讀者對“Torghut”有了更加全面、深刻的理解, 知曉民族和諧的傳統早已深深紮根中國土地上, 進而對之後中國共產黨的民族政策從何而來有了初步瞭解。

3. 隱性深度翻譯

除卻添加注釋、注腳之外, 張譯本中還大量出現了另一種深度翻譯策略, 即“隱性深度翻譯”。有感於“加注”等方式的局限性, 四川大學教授曹明倫先生在前人理論和大量翻譯實踐的基礎上, 總結出了“隱性深度翻譯”這個概念, 其核心含義就是譯者無需在譯文正文以外的地方添加詮釋性材料, 而是在“正確判斷譯文讀者認知語境的前提下, 在譯文正文中增加有其意而無其詞的說明性字詞”, 如此一來, 譯文便會在語義層面和表達效果上更加貼近原文, 或者說“譯文對譯文讀者的影響方式和影響程度更接近於原文對原文讀者的影響方式和程度”。^④從這點來說, 隱性深度翻譯與著名翻譯學家尤金·A·奈達(Eugene A. Nida)提出的“動態對等”(dynamic equivalence)原則有異曲同工之妙, 同時, 也與譯者在譯者注中表達的想法不謀而合。

例 6: 從延安走來

譯文: The Ethno-national Policies of the CPC during its Time based in Yan'an: 1935–1948

(中國共產黨在延安時期的民族政策)

原文漢語標題簡明扼要,突出了該節主題,漢語讀者對延安這個地名的歷史文化內涵(中國革命的落腳點和出發點)也不存在理解上的障礙。如果按照原文形式直譯,該標題則為 *Departing from Yan'an*。但這種譯法至少存在以下問題:首先,譯文讀者最直觀的感受是莫名奇妙,因為多數英語讀者對 *Yan'an* 這個地名都會感到陌生;其次,漢英標題的建構方式存在較大不同,漢語標題常用動詞短語結構,英語則常用名詞短語以及與介詞搭配的“名詞+介詞結構”。

延安是中國共產黨歷史上不容忽略的一個地名,代表著一種精神,象徵著一種傳承。原書前言部分敘述了在世界動盪不安、國內局勢不明的情況下,中國共產黨是如何在延安艱難探索出前進之路的。延安是中國共產黨走向成熟的重要拐點,這一時期的政策也是中國國內外學者研究的重點。如果按照字面意思直接翻譯,不僅會讓譯文讀者一頭霧水,也無法準確傳達出前言部分的主要內容,實在不是可取的做法。考慮到以上因素,此處譯者將前言標題翻譯為“*The Ethno-national Policies of the CPC during its Time based in Yan'an: 1935-1948*(中國共產黨在延安時期的民族政策)”便顯得尤為巧妙,讀者一眼就能得知這一部分的主要內容,將時間一同放入譯文也同樣值得稱讚,這讓對中國共產黨不太瞭解的外國讀者心中有了大致的時間線,消除了一定的陌生感。

例 7:這支新興的政治力量,於 1931 年在江西瑞金建立了革命根據地。

譯文:After being forced out of the Jinggang Mountains by the Kuomintang army, the Communists fled to Ruijin, taking advantage of its relative isolation in the rugged mountains along Jiangxi's border with Fujian.

中國讀者對延安、井岡山、瑞金這些地名十分熟悉,因為這些地方見證了中國共產黨從弱小到強大,一步一個腳印的成長歷程。中國讀者看到瑞金,腦海裡會自然想起早期中國共產黨在國民黨反動派圍剿下艱難生存,頑強抵抗的場景,而同樣的感受卻幾乎不會出現在對中國知之甚少的外國讀者身上。因此,翻譯時便要做出一些調整。“深度翻譯其實質是增量翻譯……其概念本身包含了實施深度翻譯的方法”,^⑤譯者在處理這段文字時,特意對瑞金的地理位置以及帶來的優勢作了簡要介紹,而增加的內容絕非無用:一者,讀者通過譯文中詳細的介紹對瑞金會有更加直觀的印象;二者,所增加內容為讀者勾勒出一副險峻、崎嶇的地形,在表現出瑞金地理特徵的同時,也讓譯文讀者更深刻體會到當時共產黨人生存環境之惡劣,可謂筚路藍縷、艱辛異常。這樣的處理省卻了添加注釋的繁瑣,使得行文更加流暢,同時也傳達出了更深層次的含義,一舉兩得。

例 8:在英國侵略軍的火炮和梅可馨機關槍面前,藏族軍民守土有責的頑強抵抗精神,令英國人也感到吃驚:“他們幾十個人也敢向比他們大得多的力量發起進攻,不顧一切地全部戰死。幾個強征來的農民為了保衛一個村莊,也會像古羅馬的愛國志士一樣獻身。

譯文:Even the British invaders were terribly shocked by the tenacious resistance of the Tibetans. Edmund Candler, who gained an appointment as the Daily Mail correspondent accompanying the expeditionary force into Tibet, later recalled the combat in his account of the expedition: “the Tibetan soldiers, who were merely armed with swords and gingsals, made their tragic and heroic last stand against the well-equipped British troops, who were experienced veterans of mountainous border warfare. In spite of the great disparity in military strength, the Tibetan soldiers, who actually lacked discipline and training, have the guts to sacrifice their blood and flesh for the protection of their home village.”

在原文中,作者將引文出自何人何處在註腳中作了說明。譯者在此處把註腳中的內容(引文出處:

艾德蒙·坎德勒：《拉薩真面目》）移到譯文正文中，並對艾德蒙·坎德勒的身份作了進一步說明（Edmund Candler, who gained an appointment as the Daily Mail correspondent accompanying the expeditionary force into Tibet），使得原文所述內容更有說服性，表現了中國人民反抗外來侵略，誓死保家衛國的決心，同樣具有錦上添花的作用。

例 9：“跪拜”與“行禮”的悲歌

譯文：The Turn of Dynastic Fortune: from prosperity to decline

不同語言有不同的話語修辭方式。中文修辭重感覺性和概括性的話語，傾向於根據所見所聞和直覺抒發內心感悟和情緒，喜用語義迂回模糊的表達，以極凝練的詞傳達極豐富的含義。而受說話者思維影響，英語修辭偏愛清晰、精確的語言，重說理分析。該原文標題屬典型的詩化標題，完美地體現了漢語的特點：多用動詞，具體可感；但該標題如直譯則為：The elegy of “kowitz” and “salute”，由於英文抽象性的特點，很多英語讀者無法理解其含義。基於此，譯者將其調整為 The Turn of Dynastic Fortune: from prosperity to decline，意為“王朝命運從繁榮到衰落的轉變”，簡潔明瞭，意思準確，也避免了過多注釋所帶來的行文不暢。

（二）文本外的深度翻譯——譯者注

文本內深度翻譯是最常用，也最直觀的手段；但同時，譯文外深度翻譯的重要性也不容忽視，可以幫助讀者加深對原作的體認，^⑩同時讓譯文讀者可以更清晰地瞭解原作，甚至原文語言所在的文化。

譯者認為，譯文的表達形式靠近原文（按原文的結構和用詞），還是遠離原文（脫離原文的結構和用詞，用自己的語言表達原文的意思），取決於哪種形式更有利於翻譯所服務的社會目標的實現。譯者在動手翻譯之前，對原書的風格、內容以及期望產生的效果作了全面分析。譯者認為，原書是一本學術著作，其譯文必須做到客觀準確、用語樸實。為了講好中國故事，展現真實、立體、全面的中國、增進國外讀者對中國的瞭解與理解，為中國發展營造更好的國際環境，必須採取適當的策略使得譯文更易為外國讀者所接受，以達到對其產生有效影響的宣傳效果。譯者注闡明了譯者翻譯過程中的總體指導思想，並列舉了大量為達到最佳效果而做出的調整，用心之處，可見一斑。以下為作者從譯者注中節選的片段，以支持上述觀點。

例 10：1936 年的歲末，世界終於關注了中國，國民黨將領張學良、楊虎城發動了抗日救國的“兵諫”，扣押了蔣介石。

譯文：It was until late 1936 that the world finally diverted its attention to China. On 12 Dec. 1936, Chiang Kai-shek, chairman of the KMT-controlled Nationalist Government of China, was arrested by Zhang Xueliang, a former warlord of Manchuria and commander of the Northeastern Army, in order to force Chiang to enter into a cease-fire with the CPC and form a united front against Japan.

說明：原文中的“兵諫”如直譯則為 forced remonstrance，一般英文讀者還是會覺得費解。這就出現了以上提到的譯入語詞義空缺。譯者將原文的“兵諫”作了措辭上的微調：in order to force Chiang to enter into a cease-fire with the CPC and form a united front against Japan（用武力逼迫蔣介石停止打內戰，並與中共建立抗日統一戰線）。

例 11：“甲午折戟”痛失臺灣

譯文：The First Sino-Japanese War and Japan's Annexation of Taiwan



(“第一次中日戰爭”及日本吞併臺灣)

說明：西方人一般將“甲午戰爭”統稱為“第一次中日戰爭”。為了英語讀者閱讀起來更加順暢，譯者沒有採用音譯法 The Jiawu War，因為這樣勢必得解釋何謂“甲午”（中國傳統的天干地支等資訊），增加讀者的閱讀負擔。

例 12：“一盤棋”中“兩個大局”

譯文：Deng Xiaoping's Phased Development Approach: from Coastal Areas to Interior Provinces

說明：“美文”是漢語修辭的一個突出特點，指文采洋溢、辭藻華麗、文筆生動、大量使用比喻意象的文字。駢體文的影響和重感性的思維形成國人表達的詩意傳統和美文傾向，喜用遠離世俗的詩化語言。該標題如直譯則為“two overall imperatives” in “a game of chess”，西方受眾會覺得這種文字缺乏有用資訊和相關性。因此，譯者將其改寫成了 Deng Xiaoping's Phased Development Approach: from Coastal Areas to Interior Provinces（鄧小平的漸進式經濟發展戰略：從沿海地區到內陸地區）。

結語

本文對張譯本《中國特色解決民族問題之路》的深度翻譯策略進行了細緻考察和全面研究。研究發現，譯者在翻譯過程中並不拘泥于原文的固定形式，而是採用多種方法處理譯文，以求達到最佳的表意和宣傳效果。隨著綜合國力不斷增強，中國也越來越走向世界舞臺的中央，一舉一動都備受關注。但是關注的人中總是不乏惡意揣測、抹黑中國之人，企圖通過歪曲中國民族事務真相來攻擊中國國家形象。在中華民族走向復興的關鍵時期，中國需要比以往任何時候都要更加積極主動地講述中國的故事。作為世界第二大經濟體，中國要迅速習慣面對世界講述自己的觀點、立場。^①

較之文學翻譯或科技翻譯，社科文獻翻譯在國內外翻譯研究界稱不上是顯學。^②但社科專著在傳達中國聲音、表達中國態度方面又有著極其重要的作用。《中國特色解決民族問題之路》一書對中國民族問題作了客觀、詳盡的敘述，對分享成功經驗和澄清事實真相都起著巨大作用，在這樣的背景下，此書的英譯版便顯得尤為及時。民族問題涉及到歷史與現實、國家與社會、經濟與文化等諸多因素，非單一因素使然。^③中國經驗便是依據本國國情，因時因地施以適當的策略，妥善處理民族關係。中國要擁抱世界，世界也需要瞭解中國，而世界瞭解中國，除了親自來走一走、看一看，主要還是通過各類介紹中國風土人情的翻譯作品。因此，以外國人更易接受的方式講好中國故事，對中國、對世界都是大有裨益的。

注釋

① 黃友義：《講好中國故事，引領國際輿論》，《公共外交季刊》2015年第8期，頁54-58。

② 李婧璿（2017年7月7日）：《用學術之聲講好中國故事——揭秘“理解中國”叢書為何受歡迎》，《中國新聞出版廣電報》，取自 http://www.cssn.cn/ts/ts_sksy/201707/t20170707_3573192.shtml

③ 黃友義：《通過主題圖書，翻譯助力對外傳播》，《中國翻譯》2019年第5期，頁5-8。

④ 黃友義：《把握翻譯新趨勢，抓住翻譯新機遇》，《當代外語研究》2018年第5期，頁88-89。

⑤ 馬玉梅：《中國學術著作海外傳播現狀與提升策略研究——以國家社科基金中華學術外譯專案為例》，《上海翻譯》2019年第5期，頁64-67。

⑥ 孫寧寧：《翻譯研究的文化人類學緯度：深度翻譯》，《上海翻譯》2010年第1期，頁14-17。

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- ⑩ 蔡名照(2013年10月10日):《講好中國故事,傳播好中國聲音》,《人民網-人民日報》,取自 <http://politics.people.com.cn/n/2013/1010/c1001-23144775.html>

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- ⑫ 黃小芄:《再論深度翻譯的理論和方法》,《外語研究》2014年第2期,頁74。
- ⑬ Hao, S. (2019). *China's Solution to Its Ethno-National Issues*. Berlin: Springer-Verlag.
- ⑭ 曹明倫:《當令易曉,勿失厥義——談隱性深度翻譯的實用性》,《中國翻譯》2014年第3期,頁112-114。
- ⑮ 黃小芄:《再論深度翻譯的理論和方法》,《外語研究》2014年第2期,頁75。
- ⑯ 朱健平、劉松:《艾喬恩企鵝版〈墨子〉英譯中深度翻譯策略研究》,《外語教學》2019年第2期,頁99-103。
- ⑰ 黃友義:《如何講好中國故事》,《公共外交季刊》2014年第4期,頁51-55+132。
- ⑱ 姚斌、Ursula Deser Friedman:《中文社科文獻外譯的挑戰、對策與建議——以〈20世紀中國古代文化經典在域外的傳播與影響研究〉英譯為例》,《中國翻譯》2019年第2期,頁149-156。
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The C-E Translation of Guangxi Ethnomedicine Works from the Perspective of Eco-translatology: Take *The Selected Edition of Zhuang Medicine* as an Example

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Abstract: Guangxi has many works on ethnomedicine, among which *The Selected Edition of Zhuang Medicine* is professional and authoritative. It comprehensively collects and creatively applies Zhuang Medicine resources and has important value for international publicity in severe COVID-19. Under the guidance of Eco-translatology Theory, taking the English translation of *Selaginella doederleinii* Hieron in the book as an example, this paper explores the English translation strategies of Guangxi ethnomedicine, aiming to provide some of the English translation strategies references for the translation of Guangxi and even China's ethnomedicine.

Keywords: Guangxi ethnomedicine; Eco-translatology; *Selected Edition of Zhuang Medicine*

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生態翻譯學視域下廣西民族藥著作英譯研究 ——以《壯藥選編》中“深綠卷柏”簡介的英譯為例

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摘要:廣西民族藥著作豐富,其中《壯藥選編》對壯藥資源進行了全面的搜集整理和創新應用,專業權威,在疫情嚴峻的形勢下具有重要的外宣推廣價值。在生態翻譯學的指導下,以《壯藥選編》中藥材“深綠卷柏”簡介的英譯

為例,探究廣西民族藥英譯在語言維、文化維和交際維的適應性轉換,從而為廣西乃至中國民族藥著作的英譯提供借鑒,提高中國民族藥文化在海外的接受度和認可度。

關鍵詞:廣西民族藥;生態翻譯學;《壯藥選編》

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引言

廣西是中醫藥民族醫藥大省,中草藥物種達 4600 多種,數量在全國名列第二^①。在新冠肺炎疫情防控期間,廣西的《壯醫防治方案》、瑤醫“組合拳療法”等在防治新冠肺炎中療效顯著。因此,加強廣西民族藥的翻譯研究對全球新冠疫情的防控有現實意義,對促進世界醫療事業的國際合作也有重要作用。《壯藥選編》^②是對壯藥資源全面系統的整理,也是貫徹國家支持少數民族醫藥發展的重要成果,其英譯研究有助於完善廣西民族藥的外宣翻譯體系,提高其外宣水平,進一步提升廣西乃至中國民族藥文化的國際影響力。此著作中每一種壯藥的簡介都遵循統一的文字編排格式,所以從中選出了最具代表性的壯藥“深綠卷柏”來深入研究其英譯策略,其它壯藥簡介的英譯都可以借鑒。國內學者對民族藥英譯的研究大多從語言學的視角出發,本文擬以生態翻譯學理論為指導,以“三維適應性選擇轉換”為切入點,對《壯藥選編》中“深綠卷柏”簡介的英譯進行研究,力求產出高質量的譯文,從而提升廣西民族藥的英譯質量,向外傳播優秀的民族醫藥文化。

一、生態翻譯學

(一) 生態翻譯學要點概述

生態翻譯學是胡庚申教授在“翻譯適應選擇論”^③基礎上提出的全新翻譯理論,認為“翻譯即生態平衡、即文本移植、即適應選擇”^④。譯者是翻譯的主體,首先要適應翻譯生態環境,然後對譯文進行優化選擇,在語言維、文化維、交際維進行適應性轉換,從而實現原文和譯文的生態平衡^⑤。它明確指出了自然生態和翻譯生態之間的高度融合,側重生態的整體性與和諧性,避免了傳統翻譯論的片面性和單一性,相較於目的論、語言學、文化學等翻譯指導路徑來說其理論優勢和方法論的包容性更大,這是其它翻譯指導路徑難于比擬的。

(二) 生態翻譯學與廣西民族藥著作英譯

民族藥著作英譯本身就是一個蘊含著“語言、文化和交際”的生態整體,因此以強調整體性與和諧性的生態翻譯學理論來指導更為貼合。在這一過程中,譯者首先要處理多種語言的差異(壯語及其它-漢語-英語),包含詞彙選擇、語言形式和結構等,其次是跨越民族藥學和西藥學的文化差異,使受眾能夠接受源語文化的部分(壯瑤侗民族文化等),最終通過準確傳達源語的交際意圖來實現民族藥文化的國際傳播,這與生態翻譯學指導下的“三維”翻譯方法是一致的。基於此,生態翻譯學理論非常適用於廣西民族藥著作英譯,為其提供了新的翻譯理論、原則和方法。

二、廣西民族藥著作英譯的“三維”轉換

生態翻譯學認為翻譯過程是譯者“適應”與“選擇”交替循環的過程,翻譯原則是多維度的優化選擇與適



應,翻譯方法是“三維”(語言維、交際維、文化維)轉換,從而整合出適應度最高的譯文^⑥。以這一理論為指導,筆者以《壯藥選編》中“深綠卷柏”簡介的英譯為例,通過“三維”轉換來探討廣西民族藥著作的英譯策略。在語言維方面,譯者主要采取句型和語序調整等翻譯技巧確保原文的語言形式和意義在譯入語中得以重現;在文化維方面,採用音譯加注的方式傳遞原文中的文化信息;在交際維方面,通過術語統一、意譯和增譯等翻譯技巧來實現原文的交際意圖。

(一) 語言維—語言層面的通順

語言維的轉換即語言形式的適應選擇轉換。譯者要準確把握原文的語言形式和風格,通過適應轉換,使譯文符合譯語規範和表達習慣,以求能為讀者所接受,尤其是醫學讀者,其認可和接受直接決定了對某種民族藥的信任與應用。因此,在廣西民族藥的英譯中,需要通過語序、語義、句式調整等整合出符合英語讀者期待的譯文。

例 1:主莖直立,常在下部分枝處生出不定根。主莖自下部開始羽狀分枝:側枝 3-6 對,2-3 回羽狀分枝,分枝稀疏,無毛,背腹壓扁。

譯文:The main stem, which is upright and often produces adventitious roots at the lower branches, starts with pinnate branches from the lower part; 3-6 pairs of lateral branches and 2-3 pinnate branches which is sparse and glabrous with flat back and abdomen. (筆者譯)

此例中的兩句中文的主語皆為“主莖”,漢語傾向於使用短句且多重複,英語則更傾向於使用邏輯緊密的長句且多變化^⑦,所以此處譯文將兩句同一主語的中文短句轉換成了邏輯緊密的長句。此外,漢語強調意合,較少使用連接詞,句子成分是通過邏輯意義連接起來的,而英語重形合,一般會使用邏輯緊密的連接詞來連接不同的成分。例如此例中描繪“羽狀分支”的是平行結構的短句,即其特點是稀疏、無毛且背腹壓扁,譯文根據中英差異補充了“which”、“and”、“with”等連接詞。通過以上調整,原文轉換成了一個邏輯層次分明、表意清晰的主從結構,符合英語讀者所期待的文本形式,實現了語言維的適應選擇轉換。

例 2:孢子葉穗緊密,四棱柱形,單個或成對生于小枝末端;孢子葉圓形至卵狀三角形,邊緣有細齒;孢子葉穗上大、小孢子葉相間排列,或大孢子葉分布于基部的下側。

譯文:The sporophyll spike is compact and quadrangular, growing single or paired at the end of branchlets, with large or small sporophyll arranged alternately on it or large sporophyll under its base. The sporophyll is round to ovate triangular, with fine serrations at the edge. (筆者譯)

此例中描述順序為孢子葉穗-孢子葉-孢子葉穗-孢子葉,沒有按同類內容的順序擺放。那是因為漢語重意合,即使語序靈活和邏輯不密也不影響理解,英語則不然,一個句子的主要成分通常緊密地排列在一起,並在前面或結尾放置各種修飾語^⑧,而且必須使用邏輯連接詞來銜接所有成分並顯示成分之間的邏輯關係。所以譯文對語序進行了調整並添加了“and”、“with”等連接詞,把孢子葉穗和孢子葉的相關內容分別歸到一個句群並形成邏輯連貫、表意清晰的長句,符合英語讀者所期待的文本形式,實現了語言維的適應選擇轉換。

(二) 文化維—文化內涵的傳達

文化維的轉換,即“注重文化內涵的傳達”^⑨,要求譯者關注思想傳遞和文化移植,避免文化誤讀和語用失誤。受中國哲學和文化的影響,民族醫藥辨證施治常採用“取象比類”的方式對病因病症、治療用藥等加以描述和概括,具有整體性、隱喻性及模糊性等特點^⑩。因此,在民族藥的英譯中,譯者應充分考慮原文所蘊含的民族文化元素和特色,既保證傳達文化內涵,又確保讀者的接受度。



例3:功用:調龍路、火路。用於發旺,奔唉,貨煙媽,黃標,唄嘻,楞澀,滲襠相。

譯文:Functions: Tiao Longlu & Huolu (promoting circulation of channel). It is also used for Fawang (arthralgia disease), Benai (cough), Huo Yanma (sore throat), Huang Biao (jaundice), Baixi (mastitis), Lengse (rhinitis) and Shen Dangxiang (burn and scald). (筆者譯)

此例中原文出現了很多壯醫藥的文化負載詞,例如龍路和火路是壯醫採用“取象比類”的方式總結出來的壯醫藥隱喻術語,其余的是病症名稱的壯語讀音,用發音近似的漢字記述,即“音譯病名”^⑩。音譯病名蘊含著壯族文化特色和壯醫藥文化的精髓。為最大限度地保留壯語的文化特色,有效地傳播壯醫藥文化,譯者採用了音譯加注的方式,既讓讀者在音譯中感受到壯醫藥發音的特色,又可在注釋中理解這些文化負載詞對應現代醫學的含義,實現了文化維的有效轉換。

壯醫名稱	形狀象似或發音近似	中醫名稱	西方現代醫學(英譯)
龍路	貨煙媽	經絡	Longlu & Huolu (channel)
火路	黃標		
Fatvangh	唄嘻	痹病	Fawang (arthralgia disease)
Baenzae	楞澀	咳嗽	Benai (cough)
Hozinmaz	滲襠相	咽痛	Huo Yanma (sore throat)
Vuengzbiu	貨煙媽	黃疸	Huang Biao (jaundice)
Baezci	黃標	乳腺炎	Baixi (mastitis)
Ndaengsaek	唄嘻	鼻炎	Lengse (rhinitis)
Coemhdangqsieng	楞澀	燒燙傷	Shen Dangxiang (burn and scald)

表1 壯醫—中醫—西方現代醫學的文化維轉換

(三) 交際維—交際意圖的達成

交際維的轉換指“注重交際意圖的達成”,通過交際維度的適應選擇轉換,使譯語達成交際目的^⑪。由於民族醫藥和西方現代醫藥往往在內容信息、寫作規範、風格體裁等方面差別很大,翻譯中照搬原文內容和形式通常會導致譯文模糊難懂,難以為讀者所接受,交際效果較差。所以,為照顧交際維的有效轉換,在廣西民族藥英譯中譯者需打破原文內容和形式的束縛,根據譯入語言和文化規範採取恰當的翻譯方法,做出適當的調整,使譯文在譯語環境中實現等同或接近原文的交際意圖。

例4:附方:小鉗,狗肝菜。

譯文:Attaching Formulas: Kadsura longipedunculata Finet et Gagnep, Dicliptera chinensis (L.) Juss. (筆者譯)

此例中原文的“小鉗”和“狗肝菜”均沒有國際統一通用譯文,如果用音譯、音譯加注或意譯均無法讓英語讀者識別是哪一種藥材。於是譯者對這兩種藥材進行了考證,發現“小鉗”的別名“南五味子”和“狗肝菜”的別名“四籽馬藍”有國際統一通用譯文,於是從達成交際意圖出發,把這兩種藥材的譯文轉換成其別名的譯文,遵循國際英語同一性的翻譯標準^⑫,實現了有效交際。

例5:爛皮蛇、退雲草。

譯文:Zoster-treating Selaginella, Nebula-treating Selaginella. (筆者譯)

此例中原文的“爛皮蛇”是民族醫藥中一種帶狀疱疹的名稱,這個別名是為了凸顯這種藥草可以治療“爛皮蛇”,所以譯者採用意譯法,譯為 Zoster-treating Selaginella (治療帶狀疱疹的卷柏);原文的“退雲草”中



的“雲”指的是角膜雲翳,“退雲”是指其可以治療眼睛熱毒和炎症,這個別名是爲了凸顯其功用,所以譯者采用意譯法,譯成了 Nebula-treating Selaginella(治療角膜雲翳的卷柏)。通過意譯法的處理,民族藥特殊名稱的深意有機地轉化爲譯語的表層結構,再現了原語的蘊意,真實傳達原語內涵^[1],解決了民族藥漢英文本不對等的問題,實現了有效交際。

三、翻譯評估

本文以問卷設計及分析來研究上述譯文在英語讀者中的接受程度,共成功回收所有發放的 20 份調查問卷。問卷中設計了三個題目:第一個題目,筆者截取了“深綠卷柏”譯文的兩個小語段,以評分題的形式讓讀者對語段的理解程度做一個基本的評價。第二個題目,筆者通過整理《壯藥選編》中的 4 個圖片,讓讀者將語段和圖片做配對,以此來檢驗受衆是否可從譯文識別“深綠卷柏”。第三個題目則是多選題,讓讀者根據語段選出“深綠卷柏”的功用。此份問卷充分考慮英語讀者對此譯文的理解度、對這一民族藥的識別和功用的認知,符合民族藥外宣的目的,所以設計較爲合理,有實際的參考應用價值,可用于評估翻譯效度。

題目 \ 選項	非常困惑	困惑	基本理解	完全理解
[形態特征]選段譯文	0	2	15	3
[壯醫藥用]選段譯文	0	1	18	1

表 2 第一題評價題完成情況

从各選項的選擇人數來看,仅有 3 个讀者選擇“困惑”選項,可見問卷中有关的“深綠卷柏”選段的語料是基本能够为英語讀者理解的。从表 2 整体来看,两个選段的理解率在 75%以上,初步验证了翻譯效度是令人满意的。

題目 \ 選項	圖 1:小鮎	圖 2:深綠卷柏	圖 3:狗肝菜	圖 4:桃金娘
[形態特征]選段譯文	0	19	1	0

表 3 第二題圖片匹配題完成情況

從選擇各圖的人數來看,僅有 1 個讀者選擇了錯誤圖片,可見受衆可從譯文識別“深綠卷柏”。

題目 \ 選項	A. throat	B. stomach	C. breast	D. nose	E. muscle	F. respiratory tract	G. skin
[壯醫藥用]選段譯文	20	1	18	20	2	20	20

表 4 第三題多選題完成情況

從各項的選擇人數來看,除了 3 位讀者選到了錯誤的功用,其他讀者選擇正確率在 90%以上,可見讀者從譯文基本能正確認知其功用。

綜上所述,譯文基本能夠爲英語讀者所理解和認知,翻譯效度比較滿意,但譯文還需打磨使其更精準,因爲醫學方面容不得半點偏差。

結語

從以上的例證可以看出,用生態翻譯學理論來指導廣西民族藥著作的英譯不僅豐富了生態翻譯學的內

涵和外延,也為廣西乃至中國民族藥著作的英譯研究開拓了新思路。本文中所舉的例子,分別從語言維、文化維和交際維的單個層面進行,是為了更好地探討翻譯策略,在實際英譯過程中應同時兼顧三個維度,對整個翻譯生態環境進行適應性選擇轉換,以期達到最佳翻譯。生態翻譯學不管從理論還是實踐方面都能對民族藥英譯起到一定的指導作用,有助於譯者克服中英文語言和中西醫文化差異實現有效交際,促進了今後的民族醫藥英譯研究,為廣西乃至中國民族醫藥文化的外宣和交流貢獻了力量。

注釋

- ① 尤劍鵬:《“互聯網+”背景下廣西壯瑤醫藥創新發展初探》,《廣西中醫藥期刊》2017年第4期,頁1-3
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A Comparative Analysis of Translation and Interpretation Tests at Home and Abroad and Its Enlightenment

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The research project entitled “A comparative analysis of Translation and Interpretation Tests at home and abroad and Its Enlightenment Under the Guidance of the First-Class Course” is supported by China Association for Non-Government Education.

Abstract: The translation and interpretation test varies from country to country. This paper compares the translation and interpretation tests in Australia, the United Kingdom, the United States, Canada, Austria, Finland, Ireland, South Africa, Chinese Taiwan and China, and summarizes the similarities and differences in methods, assessment standards, forms and contents, recruitment requirements of assessors, application conditions of the tests. Drawing on the mature mechanism and paradigm of foreign mainstream certification bodies, this will finally act as a possible way of developing the CATTI. And I propose some suggestions in order to make CATTI more sustainable and beneficial to the cultivation of translation and interpretation talents in China.

Keywords: translation and interpretation assessment; certification system; translation and interpretation tests

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國內外翻譯測試對比分析及啟示

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摘要: 口筆譯資格認證制度因國家而異,本文對比分析了澳大利亞、英國、美國、加拿大、奧地利、芬蘭、愛爾蘭、南

非、中國臺灣及我國的翻譯資格測試,歸納了 10 個國家或地區翻譯資格認證方式、評估標準、考試形式和內容、評估員招募要求、報考條件和申訴,共 6 方面的異同,以期通過借鑒國外主流認證機構成熟機制和規模範式,調整我國翻譯專業資格(水準)考試(CATTI),建立可持續發展且益於培養專業翻譯人才的翻譯資格認證體系。

關鍵詞: 翻譯品質評估;考試認證;口筆譯測試

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引言

在全球化背景下,國際交流日益頻繁,翻譯人才需求逐年上升,國內出現了一些專門針對翻譯人才的水準考試,如上海外語口語證書考試、CATTI 等。對譯者翻譯能力開展有效的測評是保證翻譯服務和翻譯人才培養品質的重要前提,設計合理的測試可以保證翻譯認證的公平性,也有助於學校或者社會團體選拔優秀的翻譯人才。在這一背景下,翻譯測試如何設計、命題、譯文品質如何評估等問題亟待進一步研究。澳大利亞、加拿大、美國、英國、芬蘭、奧地利等國家擁有先進的翻譯資格認證體系,學習其先進經驗和行業實踐,有助於加強翻譯行業管理,規範翻譯就業市場,促進翻譯行業人才隊伍建設,科學、客觀、公正地評價翻譯專業人才水準和能力,使中國翻譯行業更好地與國際接軌,為中國與世界各國政治、經濟、文化、教育等領域的交流合作提供翻譯人才資源。

翻譯水準測試是對翻譯人員進行資格認證的重要手段,翻譯水準測試指用人單位或認證機構對參加測試的譯者進行能力評估,通過測試後會獲得相應證書(分資格證書與能力證書)。目前,國內學者對世界各國翻譯資格認證研究主要涉及各國翻譯資格認證對比分析(任文,2005;牛寧,2011;馮芳,2014;李雙,錢多秀,2016;段兆會,張允,2018;)、翻譯考試中倫理考察(朱雀,2018)、資格證書體系多角度構建(趙田園,穆雷,2019)、CATTI 考試問題與對策(吳萍,崔啟亮,2018)、考試內容設計(段兆會,2019)、CATTI 與 MTI 銜接問題(吳萍,崔啟亮,2018;姚師平,2019)、實證研究包括翻譯測試的信度、效度問題及檢驗方法(李欣,2004;江進林,2010;肖維青,2011)。其中,翻譯資格認證對比分析研究主要聚焦於口譯資格考試品質評價與模式改革。通過經驗反思,理性思辨或結合測試理論和翻譯考試內容特點,相關學者對翻譯測試模式提出改進意見。儘管國內一些學者已經對部分國家翻譯資格認證進行對比分析,但很少深入對比分析世界多個國家或地區翻譯資格認證,並為我國翻譯專業資格(水準)考試發展提出細節性建議。他山之石可以攻玉,我國翻譯專業資格(水準)考試依據中國國情而設立,語言組合、考試內容和形式、評分等具有中國特色,而歐美主流翻譯資格認證體系成立時間較早,體系完善,操作性強,與其進行多維度對比分析,有助於我們瞭解各國翻譯資格認證的共性和個性,對於提升我國翻譯專業資格認證水準無疑會起到一定推動作用。筆者在對比分析了全球 15 國家或地區的翻譯資格認證機構的基礎上,選取了 10 個具有可借鑒性意義的國家或地區的翻譯水準測試進行對比分析,以期為 CATTI 改革與發展提供參考意見。各國翻譯測試具體異同見下麵表格(翻譯測試縱覽見表 1,認證方式見表 2,報考條件見表 3,考試具體內容見表 4,翻譯品質評估方法見表 5,考試使用工具見表 6,評分員任職資格見表 7,考前培訓情況見表 8,申訴制度見表 9)。



一、世界各國或地區翻譯資格(水準)考試縱覽

國內外具有代表性的翻譯水準測試具體情況如下：

世界各洲	國別(地區)	證書種類	頒發機構	影響力
亞洲	中國	筆譯(Translator)(譯審、一、二、三級);口譯(Interpreter)(譯審、一、二、三級)	中國外文局	全國翻譯專業資格(水準)考試簡稱,是受人力資源和社會保障部委託,由外文局負責實施與管理的一項國家級職業資格考試。
	臺灣地區	教育部中英文翻譯能力檢定考試(The Chinese and English Translation and Interpretation Competency Examinations, E-CTICE)	中華民國教育部(The Ministry of Education, MOE)	2007年,中華民國教育部推出口筆譯能力考試,2010年,委託語言培訓和測試中心(The Language Training and Testing Center)實施考試。
	澳大利亞	Certified Advanced Translator; Certified Translator; Recognized Practicing Translator (Provisional Interpreter; Provisional Auslan/deaf/Specialist Health /Specialist Legal /Conference Interpreter) Certified Provisional Interpreter; Certified Provisional Auslan Interpreter; Certified Provisional Deaf Interpreter; Certified Provisional Interpreter Aboriginal and Torres Strait Islander Languages; Certified Interpreter; Certified Auslan Interpreter; Certified Specialist Health Interpreter; Certified Specialist Legal Interpreter; Certified Conference Interpreter.	澳大利亞翻譯資格認可局 (National Accreditation Authority for Translator and Interpreters Ltd, 以下簡稱 NAATI)	NATTI 得到國際認可原因有很多,其中最重要的兩點是:它是一個國家認證機構,對 60 多種國際語言和 45 種土著語言進行認證;它歸聯邦政府以及所有州和地區政府擁有。很少有國家能夠建立這麼龐大且統一的認證系統。
北美洲	美國	Translation Certification Exam	美國翻譯家協會(American Translator Association, 以下簡稱 ATA)	美國影響力最大的國家級別的翻譯協會,目前全球僅有不到 2000 名成員獲得認證,通過率小於 20%。
	加拿大	Conference Interpretation Exam; Court Interpretation Exam; Terminology Exam; Translation Exam	加拿大口筆譯暨術語工作者委員(Canadian Translator, Terminologists and Interpreters Council)	CTTIC 成立於 1970 年,作為翻譯品質和能力的保證,CTTIC 致力於促進專業筆譯、術語和口譯認證,提高翻譯專業水準。它協調其成員組織的行動,以確保翻譯行業標準的統一。
歐洲	奧地利	認證法庭譯員(Certified court interpreter)	奧地利認證法庭譯員協會(Austrian Association of Certified Court Interpreters, 以下簡稱 AACI)	奧地利目前不存在官方認證考試,該組織承擔奧地利各州宣誓譯員和法庭認證口譯員考試,目前有 600 多位會員。

续表

世界各洲	國別(地區)	證書種類	頒發機構	影響力
歐洲	愛爾蘭	法律翻譯譯員 (ITIA Certified Legal Translator)	愛爾蘭口筆譯協會 (Irish Translators' and Interpreters Association, 以下簡稱 ITIA)	愛爾蘭唯一代表專業口筆譯譯員的協會, ITIA 彙集了技術、商業和文學譯員, 致力於制定愛爾蘭筆譯和口譯員的認證標準。2006 年推出 "ITIA Certified Translator" 專案, 2016 年進一步修改為 "ITIA Certified Legal Translator"。目前可提供測試的語對 12 種 (外語到英語), 英語到外語 5 種 (德語、愛爾蘭語、波蘭語、俄羅斯語、西班牙語) (ITIA Certified Legal Translators 2020)
	芬蘭	授權筆譯員考試 (the Authorized Translator's Examination)	芬蘭國家教育局 (Finnish National Agency for Education, 以下簡稱 EDUFI)	該考試是由授權筆譯員委員會 (the Authorized Translators' Examination Board) 組織實施。
	英國	翻譯文憑 (Diploma in Translation 簡稱 DipTrans); 公共服務口譯文憑 (Diploma in Public Service interpreting 簡稱 DPSI); 警務口譯文憑 (Diploma in Police Interpreting 簡稱 DPI); 雙語技能證書 (Certificate in Bilingual Skill-s-Police 簡稱 CBS-Police); 商務語言證書 (Certificate in Languages for Business 簡稱 CLB)	英國特許語言學會 (Chartered Institute of Linguists, 以下簡稱 CIOL)	成立於 1910 年, 最初是語言學家學會, 於 2005 年獲得了皇家特許狀, 是語言專業人士的會員制組織, 目前有七千會員。CIOL 成立的目的是在於服務國際範圍內的翻譯工作者、評估譯員資質、頒發職業資格證書、制定譯員職業道德規範、為制定與語言相關的政策法規提供建設性參考意見等。
非洲	南非	翻譯; 宣誓翻譯; 同聲傳譯 (會議); 語言編輯; 術語; 公司認證 (僅適用於語言辦公室)	南非翻譯協會 (South African Translators' Institute, 簡稱 SATI)	作為南非翻譯領域影響力最大的專業協會, SATI 認證體系自 1990 年投入使用, 市場認可度較高。

表 1 10 個國家或地區翻譯資格 (水準) 考試資訊縱覽

二、相同點和差異

(一) 認證方式

並非所有國家都使用相同的術語來指涉“認證”這一概念, 在澳大利亞, “認證” (accreditation) 一詞是指通過考試或順利完成課程 (澳大利亞政府認可的學位、文憑或 NAATI 認可的海外課程) 的候選人, 所獲得的證書, 新西蘭和南非也使用該詞。其他國家 (如美國、加拿大、歐洲部分地區) 則使用“鑒定” (certification) 一詞, “認證”和“鑒定”這兩個詞的含義幾乎沒有區別, 兩者都可以指 (官方) 授予個人或組織合格證書。然而, 這兩個術語之間的區別在於認證機構。在北美和歐洲國家, 向考生發出正式認可的認證機構隸屬於另一個上層機構, 該上層機構負責核查“鑒定機構” (certify bodies) 發佈的“認證” (accredit), 是否遵循了相關標準。而這個更高的機構是“認證機構” (accrediting body), 對“鑒定機構” (certifying body) 進行授權。全國翻譯專業資格 (水準) 考試 (China Accreditation Test for Translators and Interpreters, 以下簡稱 CATTI) 是受人力資源和社會保障部委託, 由中國外文局負責實施與管理的一項國家級職業資格考試, 官方用的是“accredita-



tion”(認證),恰好印證了以上內容。在英國,“特許語言學家”(chartered linguist)用來指英國皇家特許語言學家協會(Chartered Institute of Linguist)的成員。而在南美,法院則成為了正式認證機構,常用“宣誓”(sworn)這個專業術語來指代認證譯員。(Stejskal, 2005)“……認證過程分為三種可能:由專業協會認證;由政府認證;以及由學術機構認證。在英法系國家,專業協會的認證是最有力的,而在大陸法系國家,通常採用政府機構認證;大陸法系國家和英法系國家都設有學術課程,在政府或專業協會不提供認證的國家中尤其如此”。在一些國家,通過考試僅代表你有從事翻譯工作的最低標準(minimal requirement),不代表你就能獲得資格認證,具體情況見下表。

頒發機構	相同點	差異
中國外文局	10 個國家或地區的認證機構均有考試認證的形式,部分認證機構存在其他認證方式。	以考試認證為主。
MOE		以考試認證為主。
NAATI		獲得 NAATI 認證有五種方法:1.通過 NAATI 考試;2.順利完成 NAATI 認可的筆譯和/或口譯課程(TAFE1 文憑或大學本科或研究生學位);3.通過提供 NAATI 認可的海外資格證書;4.具有國際公認的翻譯協會的會員證明(例如 AIIC);5.具備高水準口筆譯能力證明,NAATI 有一種語言“識別”系統,無須進行測試 ^① 。
ATA		以考試認證為主。
CTTIC		三種認證方式:檔案認證(On Dossier Certification)、導師認證(certification by mentorship)、認證考試(certification examination)。目前只有魁北克(Quebec)和新不倫瑞克(New Brunswick)提供導師認證 ^② 。
ITIA		考試方式認證只針對該協會會員。
AACI		以考試認證為主。
EDUFI		申請人通過授權翻譯員考試(the Authorized Translator's Examination)或獲得翻譯專業碩士學位後,芬蘭國家教育局(Finnish National Agency for Education)授予譯員合法進行翻譯工作的權利。
CIOL		以考試為主要認證方式。
SATI		該考試認證系統只面向該協會會員且只能通過考試合格獲得資格認證。

表 2 認證方式異同

(二)報考條件

頒發機構	相同點	差異
中國外文局	大部分國家或地區考生參加考試前需要具備學歷背景、工作經歷或成為翻譯協會註冊會員等方面的要求。	無限制
MOE		報考筆譯無限制,口譯考試筆試測試通過之後,方可進行口譯測試。
NAATI		考生須通過語言能力測試、職業道德和跨文化能力測試,各級別的考試均對學歷、翻譯工作經歷有要求。
ATA		任何人都可參加考試,唯一規定是申請者需在考試前至少兩周成為 ATA 註冊會員。
CTTIC		CTTIC 由 7 個成員機構組成,必須是成員機構的會員才有資格報考,且面向經驗豐富的譯員(experienced translators)。



续表

頒發機構	相同點	差異
ITIA	大部分國家或地區考生參加考試前需要具備學歷背景、工作經歷或成為翻譯協會註冊會員等方面的要求。	專門從事法律翻譯的 ITIA 專業會員要想成為 ITIA 認證的法律翻譯譯員 (ITIA Certified Legal Translator), 申請人必須已經是 ITIA 專業會員 (ITIA membership category or Professional ITIA Member), 具有 5 年的翻譯從業經驗, 並且有大量法律檔翻譯經驗 ^③ 。
AACI		具有口筆譯專業大學文憑的人必須提供兩年專業經驗的證明; 其他候選人必須證明其具有五年的專業經驗, 而這些工作經歷相關證明可由客戶出具。
EDUFI		對於報名參加考試的考生沒有任何考前要求。
CIOL		對考生沒有要求。
SATI		考試系統只面向會員, 需滿足以下條件才能報考: 與高等教育相適應的語言實踐資格並與高等教育學歷框架 (the Higher Education Qualifications Framework) 相一致; 有兩年相關專業從業經驗。或者提供 5 年相關從業經驗證明; 或者是國際翻譯家聯盟 (Federation Internationale des Traducteurs/International Federation of Translators) 會員或獲得該組織認證 ^④ 。

表 3 報考條件異同

(三) 考試具體內容

從考試題型和考試話題來看, 國內外翻譯水準測試各不相同。不過相同點也很明顯, 從各國所選材料的文體特徵來看, 基本是應用型文體, 且都是主觀翻譯測試題——語篇翻譯題, 測試形式的設計與現實生活中譯者能力高度相關, 測試結果能較準確反映考生真實的翻譯能力。每個考生所掌握的話題知識結構不同, 有些話題對具有相關話題知識的考生來說相對容易, 而對其他考生來說較難, 因此話題知識設計也是影響考生翻譯水準考試表現的因素之一。

頒發機構	相同點	差異
中國外文局	都選擇用主觀翻譯測試題, 語篇翻譯題是最常見的題型。	口筆譯考試均設有綜合能力和翻譯實務, 考試內容包括英譯漢與漢譯英兩類任務, 每類任務均要求考生翻譯兩段文章, 考試大綱對這四段文章的話題並沒有明確的規定。
MOE		臺灣的翻譯考試包括筆譯和口譯, 對於筆譯考試, 考生可以選擇參加英到中 (主題 A 或 B) 或中到英 (主題 C 或 D)。主題 A 和 C 涵蓋各個領域, 包括商業、金融、教育和文化。相比之下, 主題 B 和 D 涵蓋了科學、醫療保健和資訊技術等領域。考試文本不涉及專業領域, 採用單相源語——目標語命題機制, 分為英譯漢和漢譯英兩種形式, 分別報考和檢定。以口譯考試為例, 由英語能力筆試 (pen-and-pencil test) 和口譯測試組成, 前者作為篩選考試, 為第二個階段口試做準備。口譯考試包含聽寫 (dictation), 聽寫摘要 (summary) 3 分鐘交傳 (short CI) 和 5 分鐘交傳, 前者有切分為 6-8 個組塊, 後者分為 2-3 個組塊, 每一個口譯任務會提供內容、術語總結 (brief summary)。
NAATI		高級認證翻譯測試 (The Certified Advanced Translator test) 包括三個任務: 兩個 400 字文本翻譯和一個 400 字譯文改錯 (論文、法律摘要或貿易協議)。認證翻譯測試 (The Certified Translator Test) 包括兩個約 250 字文本翻譯任務和一道譯文改錯題 (譯文改錯題旨在考察考生對譯文資訊傳達是否準確進行判斷, 同時也考查考生的譯文表達能力), 但原文本是非專業性文本, 測試主題包括政府、法律、衛生、技術、科學、商業、社會、文化、社會服務和移民。測試時間為三個半小時。對於執業翻譯測試 (Recognized Practicing Translators), 目前尚不提供認證考試。
ATA		以筆譯考試為例, 考生需完成三篇文章 (225-275 字不等), 其中的兩篇是必須翻譯文章, 會特別避開專業術語。每一篇文章都包含一個翻譯說明 (translation instructions), 標明文本來源、翻譯目的、受眾, 以體現客戶期待。

续表

頒發機構	相同點	差異
CTTIC	都選擇用主觀翻譯測試題,語篇翻譯題是最常見的題型。	考試要求考生翻譯兩篇文章,一篇是通用性題材,為必選題;另外一篇需要從兩篇備選文章中進行選擇,或偏科技、醫藥方向,或偏政治、經濟方向。
ITIA		申請人需要完成兩類文本,即短文本和長文本。短文本包括出生證明或結婚證書,而長文本一般是較長的文檔(例如合同)、法院判決書、公證書中的摘錄內容。考生必須在兩份試卷中都通過才能取得證書。值得注意的是這些考試所選文本是實際文檔的副本,出於機密的原因,名稱和其他標識詳細資訊已被刪除。這些檔反映了 ITIA 認證法律翻譯員在實際工作場合面對的文本類型。檔的某部分,文字可能難以辨認,且印章部分被遮蓋,因為評估時會考慮申請人如何處理此類困難。
AACI		考試包括書面和口語兩種形式,筆試主要測試候選人的語言能力和翻譯能力,奧地利法律制度以及外國法律制度的基礎知識。口語形式包括模擬法律場合下的交替傳譯(例如,證人的聽證,對被告的訊問),考試持續約 1.5 個小時)。
EDUFI		考試共包括三個部分:基於專業實踐能力的多項選擇測試(45 分鐘);法律和行政兩個方向的文本翻譯(2 小時 45 分鐘);由考生任選一個領域的文本翻譯(商業、經濟學、醫學,科技或教育;2 小時 45 分鐘(These Qualification Requirements for Authorized Translators' Examinations, 2012))。
CIOL		考試分為三個部分,第一部分為通用性題材翻譯,第二、第三部分均為半專業性題材翻譯。其中,第二部分的備選翻譯文本涉及技術、商務和文學三個專業方向,第三部分的備選翻譯文本涉及自然科學、社會科學和法律三個專業方向;在後兩個部分的考試中,考生均需要從備選翻譯文本中選擇一個文本進行翻譯。
SATI		從 6 個文本中,任意選擇 3 個文本進行翻譯,文本 1 是必翻文本,話題偏雜誌文章的風格,其他 3 個任意選擇的文本話題偏商業、金融、法律、經濟、科學、醫藥、運動、環境、地理。

表 4 考試內容異同

(四) 翻譯品質的評估方法

關於如何進行翻譯品質的評估,不同學者的看法各不相同。就目前國內外翻譯水準測試的品質評估模式來看,筆者發現主要分為錯誤扣分法、標準參照模式(整體性評分方法和分析性評分方法)兩大類,前者根據錯誤的嚴重程度和分數扣分,後者根據一定的評分標準給分,各國翻譯品質評估方法具體見下表。

頒發機構	相同點	差異
中國外文局	除中國尚未對外公佈具體考試評分標準外,其餘國家或地區均有一套獨立且對外公佈的翻譯評分體系。	官方公佈基本要求,尚未公佈具體的譯文品質要求。
MOE		標準參照模式,提供評定量表,以測試準確度(accuracy)和表達能力(delivery)為主,前者占 60%,後者占 40%,但是準確度必須達到 48 分,表達能力達到最低分 32 分,及格分為 80 分,才能通過考試(口筆譯測試皆是)。
NAATI		標準參照模式下的分析性評分法(criterion-referenced assessment),根據 2019 年 1 月 16 日發佈的最新版評分模式:NAATI 考試目前採用分析性評分法。針對第一部分自主選擇的非專業性文本考試容,NATTI 評分方案將所測翻譯能力進步細分為轉換能力和語言能力(transfer competency and language competency),其中轉換能力包括意義轉換技能,遵守翻譯譯要的能力以及確保語域、風格和文本結構等符合譯語常規用法的能力;語言能力則主要指微觀層面的譯語表達能力,如語法、辭彙、標點、術語等是否符合譯語語言表達規範。上述四個子能力從高到低被分為五級,其中一級(Band 1)代表能力最強,五級(Band 5)代表能力最弱,各級分別有相應的能力描述語。簡而言之,NAATI 考試的第一部分共有四個分析性評分維度,每個維度又各有五個評分等級。NAATI 考試的第二部分要求考生修訂一篇譯文。

续表

頒發機構	相同點	差異
ATA	除中國尚未對外公佈具體考試評分標準外,其餘國家或地區均有一套獨立且對外公佈的翻譯評分體系。	錯誤扣分法(Error-based assessment),根據ATA考試2017年的評分標準,譯文錯誤主要分為三大類(1)形式方面的錯誤,包括評文不完整、譯文可讀性較差及意思根柢兩可(2)意思轉換和翻譯策略方面的錯誤,又可細分為12小類,如偏離原文意思、增譯、漏譯、誤譯、譯文辭彙選擇不當、譯文語法正確但表達的意思與原文不符等;(3)技術性錯誤,主要指違反了譯語語言規範的錯誤,包括譯文語法錯誤、標點錯誤、大小寫錯誤等。ATA考試將三大類錯誤細分為24小類,每類錯誤按嚴重程度分為五級,從最輕微到最嚴重依序扣1分、2分、4分、8分和16分。此外,評分員可以根據譯文品質給譯文加分,最多可加3分。也就是說,如果某譯文按照錯誤類型已被扣去18分,但得到了2分的品質分,那麼最終扣16分。ATA考試規定,總扣分達到18分及以上者就不能通過考試(ATA,2017)。
CTTIC		錯誤扣分法(Error-based assessment),錯誤被認為可分兩類:翻譯(理解—無法呈現原文的意思)和語言(表達—違反語法和其他目標語言使用規則)。
ITIA		錯誤扣分法(Error-based assessment),在打分標準方面,如短文(出生/結婚/死亡證明、文憑等)包含一個嚴重錯誤或3個輕微錯誤,則該測試為不合格等級。如果長文本(公司章程、律師函、合同等)包含一個嚴重錯誤或5個輕微錯誤,則該測試的等級為“不合格”。以嚴重錯誤的為例,包括理解錯誤、遺漏文字、專有名詞的拼寫錯誤、日期錯誤、數據不正確;輕微錯誤示例:標點錯誤、文字中非必要元素的拼寫錯誤、翻譯不貼切、語氣處理不當。長文本和短文皆合格,才能通過考核,如有一科未通過考試,下次考試只考一科即可。
AACI		未作特殊說明。
EDUFI		錯誤扣分法(Error analysis),側重準確和流利度(accuracy or adequacy, fluency),提供打分表(scoring chart),具體細分為內容(C error)、可接受性和可讀性(A errors)。分數從1到9,扣9分即為不及格,翻譯的目的、困難程度、考生考試所用時間最終也會算入分數評估。考生會被告知考試評估系統是如何應用於考試文本,並且在實際操作過程中,考生會收到一份打了分數的試卷副本,這樣有助於考生反思自己存在的問題,幫助考生查漏補缺。
CIOL		標準參照模式下的分析性評分法,主要通過三個參數考察譯文品質 (1)語域的選擇及對原文的理解與表達(50%); (2)語法結構(辭彙、句法等),銜接,連貫及語言的整體組織(35%); (3)技術性參數,包括拼寫、標點、日期、專有名詞以及數字的轉換(15%)。各個參數內部又分為四個等級——不及格(fail)及格(pass)良好(merit)和優秀(distinction),每個等級都有對應分數區間及譯文品質的描述語。
SATI		錯誤扣分法(Error-based assessment),錯誤被分類為重大錯誤或輕微錯誤。一篇文本中有2個或2個以上的重大錯誤,或者一個文本中的個重大錯誤和七個輕微錯誤,意味著沒有通過考試。重大錯誤和輕微錯誤定義如下:重大錯誤:嚴重誤譯,其中原單詞或短語的含義完全丟失;遺漏重要詞語或資訊;插入原文中未包含的資訊;以及目標語言語法錯誤。輕微錯誤:歪曲原文意圖,但並非完全偽造的誤譯;省略僅對原文有輕微影響的詞語;以及目標語言語法中的“不對等”。

表5 翻譯評估方法異同

(五) 考試使用工具

考生使用工具的能力也是影響考生翻譯測試能力的重要因素之一,比如考生資訊挖掘能力。翻譯水準測試考察考生是否能根據翻譯任務要求選擇合適的翻譯輔助工具(語料庫、電子詞典和術語庫),技術能力要求考生在翻譯過程中能較快有效地借助工具、軟體等輔助完成翻譯任務。各國翻譯水準考試具體使用工具情況如下。



頒發機構	相同點	差異
中國外文局	均是開卷考試，對參考資料和參考工具有一定程度上的限制。	機考，但是只允許攜帶 2 本紙質版詞典。
MOE		機考和線下筆試相結合，考生只能攜帶一本紙質詞典，不得攜帶其他參考資料或電子工具。
NAATI		考試過程中，允許考生使用電腦和攜帶參考資料，但是禁止使用網路和與其他人溝通。
ATA		兩種方式，可線下筆試 (pen & paper) 或機考 (online)，從 2015 年開始，開始提供機考，使用自己的筆記本電腦，但是只可訪問電子詞典或詞庫網站，除此之外的內容，比如互動論壇、機器翻譯、社交媒體平臺是被禁止的。
CTTIC		開卷考試，允許攜帶詞典和參考資料，被禁止攜帶的電子設備包括但不限於手機、尋呼機、黑莓手機、iPod，筆記本電腦和平板電腦，另外不允許攜帶翻譯專業教科書。
ITIA		考試文本通過電子郵件發送給考生。申請人就像在正常工作情況下一樣翻譯文本，翻譯工具可以使用電腦，線上辭彙表等。考生在任何情況下均不應尋求第三方的幫助。同時必須列出所有考試文本參考資料的具體來源，並將其與翻譯後的文本一起提交。
AACI		未作特殊說明。
EDUFI		考試過程中允許考生使用電腦和其他參考資料，然而使用翻譯記憶庫 (translation memory)、機器翻譯和郵件是被禁止的，也不允許和他人聯繫 ^⑤ 。
CIOL		機考和線下筆試兩種選擇，看考場實際情況，條件允許的話，也可選擇在家考試。可以只用紙質的參考資料，如字典、詞典和辭彙表，在正式考試前考生要確認具體使用的參考資料，考生不能使用網路資源，電子詞典也是不被允許的 ^⑥ 。
SATI		在提前規定的考試日，考生將通過電子郵件的方式收到考試文本 (受密碼保護)，並在 24 小時之內將翻譯後的文本以郵件的形式送回。考生允許使用以下工具：目標語的拼寫檢查器；任何字典，辭彙表，報告，語法指南；辭典和語言書籍；互聯網資源。

表 6 考試使用參考工具異同

(六) 評分員任職資格 (Assessor qualification)

評分員要依靠自己的專業知識和專業判斷來評定翻譯品質，這個過程中容易受到主觀因素的影響，因而影響效度，所以評分人員選拔層面，也是翻譯測試設計應重點考察的一個因素。

頒發機構	相同點	差異
中國外文局	均對專業和評分經驗有一定要求。	翻譯資格考試的專家組成。共設有 10 個專家委員會，包括 9 個語種專家委員會和 1 個高校促進委員會，由近 300 名來自國內外政府機構、高校、企事業單位的權威專家組成。此外，翻譯資格考試由近千名專家組成的命審題和閱卷專家組。
MOE		評分員都是口譯員或者口譯培訓員，在評分或教學領域有豐富經驗，其中英到中評分員，母語是漢語，中到英評分員以英語為母語，或者中英雙語。
NAATI		在招聘評分員時，NAATI 尋找具有 NAATI 認證的適當級別的考官，以及在翻譯、口譯、語言、語言學或相關學科領域具有相關資格。除此之外，他們還必須對自己所評估的語言具有近乎母語的能力、作為翻譯或口譯員的豐富專業經驗、具有職業道德素質以及與他人合作的能力。每項翻譯任務由兩名獨立工作的評分員進行評估。如果評審員對考生的意見不一致，即他/她應該通過或者不通過，這時就會尋求第三名評估員的協助 (NAATI 2020g)。
ATA		本著匿名、客觀和一致性原則，試卷由兩名評分員打分，如果對分數出現歧義，則由第三名評分員打分。評分者都是 ATA 資深認證譯員，持續接受專業培訓和翻譯實踐，遵守評分標準。



续表

頒發機構	相同點	差異
CTTIC	均對專業和評分經驗有一定要求。	筆者沒找到關於評分人員任職資格的相關資訊,但是(Marker Guide, 2005)明確指出:作為評分者,應收到以下檔: — 考試文本。 — 打分過後的試卷影本。 — 預先制定打分方案(Marking Scheme listing) — 評分者指南。 — 考試結果匯總表(Exam Results Summary Sheet),未通過考試的申請者。 — 費用和開支表。
ITIA		未做特殊說明。
AACI		未做特殊說明。
EDUFI		碩士學歷、母語水準、評分員培訓。
CIOL		不對外公布評分人員具體資訊,都是相關領域專家。
SATI		未做特殊說明。

表 7 評分員任職資格情況

(七) 考前培訓

考前培訓作為考生熟悉考試流程、考試形式和內容、考試難度和考後評估最重要的一環,對翻譯測試設計發揮至關重要的作用。

頒發機構	相同點	差異
中國外文局	大部分國家或地區的官方考前培訓機構缺少系統性組織活動和執行能力。	官方尚不提供官方培訓,但是提供官方教科書和樣題。
MOE		官方未做特殊說明。
NAATI		官網提供練習測試(practice text),另外在每一個州和地區,NATTI 會開辦各種學習班來幫助報考者成功通過考試從而獲得認證。學習班包括以下專案種類:口譯強化訓練;道德和職業操守;口譯筆記符號;基礎口譯和筆譯技巧;備考指南。
ATA		ATA 在年度會議、研討會和其他活動中提供備考講習班,組織網路研討會,同時,ATA 官方組織練習測試,測試打分均有官方評分人員完成。
CTTIC		CTTIC 定期舉行會議,為來自加拿大各地的語言專業人士提供一個會面和討論國家問題的機會;CTTIC 通過其成員機構促進考試通過人員的培訓,這些機構與提供翻譯、術語、口譯和相關領域課程的省級和地區教育機構合作。
ITIA		和一些大學院校有合作培訓專案,比如都柏林城市大學應用語言和翻譯研究專業(BA in Applied Language and Translation Studies in Dublin City University)、都柏林聖三一大學(Trinity College Dublin)、愛爾蘭國立高威大學(National University of Ireland, Galway)。
AACI		未作特殊說明。
EDUFI		未作特殊說明。
CIOL		一些獨立於 CIOL 的組織提供準備課程,但 CIOL 不為這些組織提供擔保,官方提供考試卷子樣本,考生可通過官方管道申請;每個月 CIOL 官方會組織網路培訓。
SATI		提供各種主題的網路研討會。

表 8 考前培訓情況

(八) 對考試結果進行申訴(Appeal)

對考試結果不滿意的考生可向上申訴,這將有助於提升考試信度,各國具體情況如下表。

頒發機構	相同點	差異
中國外文局	目前只要極少數國家或地區認證機構開通申訴制度。	尚不提供申訴制度。
MOE		未做特殊說明。
NAATI		考生可申請復查試卷,若考試復查結果通過,退還申訴費用。
ATA		在接到考試成績6個月以內,對考試成績懷有疑惑的考生,可申請申訴,請求從新審核試卷分數,如果分數有誤,則會得到改正,如果評分人員依舊認為分數不合格,則會發送給考生一份詳細的報告,向考生闡述分數不達標原因。
CTTIC		未通過考試的考生可對其考試成績提出申訴,從2005年開始,CTTIC允許考生先提前申請查看自己的試卷,再決定是否要申訴。另外,申訴要額外收費,候選人的考試文本交給第三位評分員,如果申訴成功,費用返給考生。
ITIA		未作特殊說明。
AACI		未作特殊說明。
EDUFI		考生對考試結果不滿意,有權利向考試委員會申辯。
CIOL		未做特殊說明。
SATI		考試結果公佈之後的8周內,考生可提交申訴表和付款證明,如果“不及格”的結果被推翻,申訴費用將退回候選人,並將被視為認證翻譯。

表9 申訴情況

三、啟示

相容並包,廣納百家之長,它山之石可以攻玉,探索適合我國國情的翻譯資格水準考試制度,筆者認為可以從以下幾方面做出改變。

(一) 立體翻譯水準測試和認證體系

我國應更大程度發揮中國翻譯協會的作用,建立政府引導、行業協會為主體、多方參與、協同管理翻譯市場的立體化翻譯水準測試與認證體系。在組織考試、測試內容設計、培養和選拔人才方面,行業協會比較瞭解市場需求,不會造成嚴重的市場脫節;行業協會可以和具體單位相結合,比如英國、愛爾蘭、奧地利、美國的法庭口譯員考試皆是和各州各地區法院合作,這將有利於人才培養職業化和專業化發展。其次,由翻譯協會統一管理認證譯員資訊,發佈工作需求,和客戶建立鏈接,管理魚龍混雜的翻譯市場,尤其是價格市場,有利於翻譯市場規範化發展。

(二) 測試主題

CATTI是面向全社會的職業資格考試,口筆譯考試均不使用特定領域(如科技、商業、文學、法律、醫療),基本符合測試設計的通用性原則,但是缺陷是不利於測量特定領域的翻譯人才(楊志紅,2019)。中國也缺少諸如編輯(南非)、項目經理(日本)、法庭口譯員(奧地利、愛爾蘭、美國、加拿大)、公共醫療口譯(英國)。新冠肺炎疫情全球突發的情況下,建立緊急語言服務體系從CATTI專業認證體系入手具有實際操作意義,中國因此也有必要加相關專案的職業化人才考試,比如醫療口筆譯、法庭口筆譯認證考試。翻譯水準

測試旨在考查學生在真實世界中的翻譯水準,所以考試所選文本應注重真實性。CATTI 在設計此類題型時,可以提供一個翻譯材料情景描述(可參考表 4),用於說明譯文的使用情景、目標讀者等資訊,而這也會方便考生根據目標讀者群體和譯文目的選擇翻譯策略和語域。此外,翻譯歸根結底是為交際活動服務的,總在一定交際情景下發生,有鑒於此,CATTI 測試主題設計應更加側重實用性、市場性,充分體現交際性特徵,使其適用於真實的翻譯任務情景(例如,ITIA 採用的是真實文本,並把關鍵資訊模糊化)。所以翻譯測試如何反映真實場景下的應用,是測試設計者值得思考的一個問題。

(三) 考試評估

CTTIC 和 ATA 官網有詳細的打分指南、評估標準及扣分流程,這方面值得 CATTI 學習,進一步探索適合中國國情的考試評估模式。中國每年參加翻譯資格證考生眾多,考試測試評分細則要方便操作還要兼顧公平,這毋庸置疑會有一定難度。NATTI 於 2012 年委託第三方做了翻譯資格水準測試的改革發展報告(Hale et al.2012)。EDUFI 也組織了專業團隊,進一步簡化評分標準(Kivilehto,2017)。CATTI 也可以由相關專家引領帶隊,研究評分方法,挖掘適合中國國情,服務於中國翻譯市場,提升測評效率的評分體系。為了保證評估的公平性,評估標準應該透明和一致,使考生知道評估系統的具體操作,有利於考生提升翻譯方面的自我評價和自主學習能力,但 CATTI 並沒有公佈評估標準,因此,CATTI 應積極探索適合中國考試國情的評估標準,並公佈詳細的評估標準。

(四) 官方備考指南

筆者所指的官方備考指南包括線上線下官方培訓、考前官方推出的樣題及練習測試(practice test)和出具的診斷性報告及考後公佈結果時的診斷報告。首先在考試認證前,由官方組織的培訓或練習測試,可幫助考生熟悉考試流程,考試難度和形式。尤其是考前練習測試中,官方給出的詳細回饋報告可幫助考生查漏補缺,順利完成備考及通過考試。這一點可借鑒美國 ATA 的做法(缺點是 ATA 報名費用為 525 美元,練習考試費用為會員 80 美元,非會員 120 美元,費用偏高),CATTI 官方可找一個折中的辦法,比如只針對申訴的考生。如若考生對考評結果不滿意,可以向 CATTI 管理部門(中國外文局)申訴,並有權要求 CATTI 管理部門重新評估試卷,且考生收到的評估結果應包含具體的考試資訊回饋,即對試卷的每個部分進行單獨且詳細的診斷性報告或評估回饋。診斷報告有助於考生對譯文進行反思,從而提升自主學習能力。另外,中國外文局發揮主體地位,中國翻譯協會和各地區成員協會負責的培訓體系也至關重要,中國外文局可與各省市各地區有能力有資格的培訓機構合作,舉行官方培訓,提升考試通過率,這方面可向 CTTIC 學習(具體情況見表 8)。

(五) 考試使用工具

在人工智慧時代,熟練使用各種工具的口譯員,其綜合服務能力通常要高於不會使用工具的譯員。具備良好資訊素養,熟練使用口譯技術和工具解決口譯問題的能力成為現代口譯員必備的基本素養(王華樹,2020)。口筆譯譯員提升資訊技術素養在人工智慧時代無可厚非,培養譯員關注資訊技術素養的意識,鍛煉其使用資訊技術能力迫在眉睫。CATTI 測試設計者也應從該角度出發,設計有利於提升考生資訊技術素養的考試形式。CATTI《二筆實務》基本要求中明確提出英譯漢速度每小時 500-600 個單詞,漢譯英速度每小時 300-400 個漢字。從這條基本要求來看,考查學生的翻譯速度能力,那麼從翻譯能力構念的角度看,翻閱紙質詞典則是一種干擾因素,測試設計應該關注考生解決翻譯問題的能力,資訊檢索和使用輔助翻譯工具的能力,而 ATA 允許考生自行攜帶筆記本電腦,提前下載好電子詞典(見表 6),這樣省去考生攜帶厚重的紙質詞典的苦惱,也是 CATTI 可以借鑒的方法。



四、結語

筆者通過對比分析 10 個國家或地區翻譯測試在認證方式、報考條件、品質評估方式、申訴、考試具體內容、考試實用工具等方面的異同,希望見微知萌,我國翻譯專業資格(水準)考試能夠取得長足發展,滿足中國迅速發展的市場需求,選拔高層次翻譯人才。

注釋

- ① 參見 NATTI 官網具體詳情, <https://www.naati.com.au>
- ② 參見 CTTIC 官網具體說明, <http://cttic.org/>
- ③ 參見 ITIA 官網具體詳情, <https://www.translatorsassociation.ie/>
- ④ 參見 SATI 官網具體詳情, <https://www.translators.org.za/>
- ⑤ 參見 EDUFI 官網具體詳情, <https://www.oph.fi/en>
- ⑥ 參見 CIOL 官網具體說明, <https://www.ciol.org.uk>

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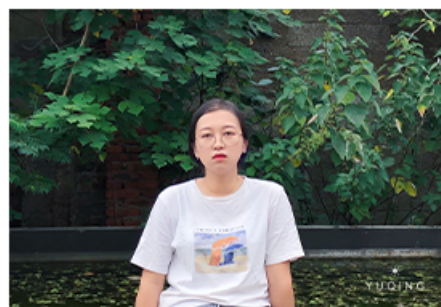
Chinese Arts Painting Series: *The Mountain and the River*

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160*120

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46cm*61cm

Watercolor paintings by SHAO Yuqing

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Asia-Pacific Journal of Humanities and Social Sciences

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