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## [Special Contributions]

# Freedom of Words and Self in Translation: Reading *Breaking Free: Liang Qichao's* “*Unfettered Translation*” and Its Legacy

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**Abstract:** Prof. Jiang Lin's recent book, *Breaking Free: Liang Qichao's "Unfettered Translation" and Its Legacy*, paved the way for translation history studies in a people-centered framework. This would allow scholars to gain not only knowledge about who Liang Qichao is and why he developed his unfettered translation strategy but also a lens into the interaction between the figure (conscious and unconscious motivations) and the socio-cultural-political environment at the turn of traditional and modern China about a century back. The timely and relevant monograph can inspire more research to break down a binary mode of “original-target”, and introduce a triad of “original-target-self” to translators with their own personal background, mentality, practice, proclivity, stance, etc., and historical context in which they were situated. That will break a new path involving the freedom of words, translators' selves along with their conscious/unconscious motivations, and even the “in-betweenness” of the scholar and his/her target (i. e., translators) in studies to come.

**Keywords:** *Breaking Free*; Jiang Lin; book review; Liang Qichao; unfettered translation

**Notes on the contributor:** ZHANG Keren, PhD. Candidate at Sichuan International Studies University, is a member of the Psychoanalytic Center of Chengdu.

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## 1. The Community *Breaking Free* Engages In

It is unusual to find English publications that do in-depth research on specific and significant translators who changed the game in political, literary, and cultural arenas during China's late Qing Period (1890s–1900s). Relevant books cover a wide range of topics, including policies, geopolitics, anthropology, and cultural exchange, though some recent articles have shed light on the power dynamics of translation during that time period (CHEUNG, 2014; GAO, Ren, & Moratto, 2024; GAO & Moratto, 2024); translators' roles as activists



(LIU, 2020; WANG, 2022); and translation and copyright (LI, 2012).

Prof. Jiang's relevant monograph, *Breaking Free Liang Qichao's "Unfettered Translation" and Its Legacy*, contributes to the international academic map of contemporary Chinese translation history. The well-structured book's premise is Liang Qichao, a self-hood with numerous identities such as sponsor, educator, political activist, and translator. Based on ample evidence of translation events, publications, methods, effects, and circulation in which the translator was involved, the book is more than a case description; it is a historical study into not only the socio-cultural-political contexts but also two political fractions within the Qing Imperial Court: reformists and conservatives. It is a translation and translator perspective on how progressive translators like Liang break free from Yan Fu's standards of *xin* (faithfulness), *da* (expressiveness), and *ya* (elegance) to embrace the emancipation of the shackle of rigid regimes of letters, thoughts, and monarchy back then. As a result, the book uses a vantage point to focus on a group of men of letters who struggled for their cultural and political emancipation while introducing "modern (western) mindsets through translations (political fiction in particular)" before the key moment of the Chinese Revolution. The book builds on Chi's (2019) chapter in "Translation as an Education in Modern Values: Yan Fu and Liang Qichao," which examines how education might spread liberalism and Darwinism to the general public in China back then.

## 2. Pace-Setter: A People-Centered Translation History Study

Jiang began with Liang's life as part of Chapter 1, which sets it apart from pertinent studies that jump directly to the translation problems revolving around translators from the outside (i. e. from texts to persons). The author compiled extensive notes on traditional Chinese education-related notions such as "eight-legged essays," "xiucaì," "juren," "jinsh," and so forth, making the section fundamental and rather inform-based. This helps readers understand the historical contexts in which Liang was born, but perhaps more significantly, it renders Western readers' empathy for the exam taker who failed the imperial test a century ago in China in 1890, 1892, and 1895 (JIANG, 2024: 2). There are also major events such as First Sino-Japanese War (1895), Wuxu Coup (1898), Imperial Edict on Constitutional Reform and Modernization (1898), The Xinhai Revolution (1911), Anti-Yuan Shikai Movement (1915), and their influences on the Reformist fraction led by Kang Youwei and Liang.

Furthermore, how did the Reformists and Conservatives from the imperial court negotiate as the aforementioned events' repeated effects on activity, publications, and even rebellion were explained? To provide a broad context for "why" Liang used translation as a tool to revolutionize, a great historical backdrop was necessary. We could designate the study's entry as matrix development. A reflection of people-centered translation studies, the figure is thus placed within a social and cultural network (Kim, 2009). Liang was thought to be the cause or link of this raging storm. The cultural interchange elements are also the work's greatest treasure. During the transition between tradition and modernization, readers might learn more than enough about various parts of China.

Therefore, it is clear that the work itself is a translation, i. e., it introduces historical-cultural ideas and events to the global academic community that might not be familiar to Western readers (including English titles of numerous Chinese translation studies, which serve as a voice for the Chinese perspectives on translation history). The material is sufficient to stimulate further research on China in the future, including literary theories, literary groups in contemporary China, translation history, translation theories, Liang Qichao Studies, and China's social, cultural, and political history during the late Qing Dynasty. Additionally, the extensive use of notes



throughout the book serves as a context builder, which is essential for the author and reader to establish a shared understanding of a historical character. Since a translator can never be viewed as a symbol but rather as a subject, the work's context development is a significant model for translator studies to follow. In other words, one may utilize enough notes to create the space-person-time matrix in translator studies. Given the translation community's demand, it appears imperative to put people at the forefront of conversations (Robinson, 2001, 2019). And Jiang's work is an excellent example and trailblazer in the field of people-centered translation history studies.

### 3. What's Unfettered Translation?

Despite creating a pretty impressive historical backdrop, Jiang also included translation instances that are common in analysis. Prior to all of that, he cleared the way for other research, which often starts with text analysis, by figuring out what "unfettered translation" actually is. The monograph's most pertinent theoretical contribution to the community is seen to be this subject.

This leads to the comparison of such a notion with concepts that have comparable meanings. The distinction between the "unfettered" and the "free" is the most obvious. While the former is infused with more Chinese literary elements, the latter is comparable to the global translation community. Jiang linked ancient Chinese literary theory's "*wen* (文, form)" and "*zhi* (質, content)" to the concept of "unfettered translation." Later, translators of Buddhist texts used the dyadic ideas as grounds for their translations. Specifically documented in his work "Preface to Dhammapada," Zhi Qian, a monk and translator during the Eastern Han Dynasty (25–220 CE), was the first to introduce the binary set (JIANG, 2024: 41–42). In short, the debate on whether the translated language should be literary ( *wen* ) or faithful ( *zhi* ) set the background for traditional Chinese translators.

The term "unfettered translation" indicates a considerably more extreme preference for the translator's creative expression over the author's. That is the most evident distinction between the fresh idea and the widely used word, free translation, which refers to the literary production that is founded on the original meanings and forms. For translators, particularly those who are in dire need of liberation from very inflexible and organized traditional political and cultural standards, the "unfettered" provides a third path from this vantage point.

Thus, "unfettered" and "translation" are both metaphors for the forward-thinking men of literature of that era. They first required a mental and structural break from the rejection of both "*wen*" and "*zhi*," and such a cynical departure may be seen as a "translation" from Chinese tradition to modernity *in* and *of* itself.

Firstly, unfettered translation is premised on a lack of respect for the original text. It disregards both the "form" and "meaning," making it impossible to accurately translate the "intent" of the original text. Therefore, it cannot be called "free translation." ... Secondly, unfettered translation extensively alters the structures, themes, and characters of the original work, which involves major "surgery" on the narrative framework ... Thirdly, most translators in the late Qing dynasty had a limited proficiency in a certain foreign language, which often made them unable to fully understand the original work, resulting in a significant reduction in fidelity. (JIANG, 2024: 45)

To put it succinctly, the distinction between "unfettered translation" and "free translation" opens up a fresh avenue for us to comprehend the boundaries of what a translator would produce depending on the source. The aggressive and inventive meaning of the word "unfettered" suggests that this kind of translation was standard



practice for forward-thinking translators like Liang Qichao in the late Qing Period. Jiang started using Liang's case as an example to do specialized analysis in order to respond to the following queries after departing from the thorough conceptual delineation: In Liang Qichao's instance, how is translation possible? What motivated Liang to use translation to "break free"? What are the unconscious components or even the purposes? That makes up the majority of the work.

#### 4. The Motivation Under the Translation Triad of the Original, Target and Self

What piques my interest is Liang's own reasons for using the unfettered translation and how he would use this tactic throughout his translated work. Jiang first attributed Liang's unfettered tendency to his "poor proficiency" in other languages, citing the work of Liang's contemporary, renowned fiction translator Lin Shu, who also underwent unrestricted translation of more than 200 works in China. Even though Liang could "barely read Japanese" (JIANG, 2024: 55), he translated many Western phrases into Japanese, such as the novel *Romantic Encounter with a Beauty*. It was noted that Liang also translated several fundamental Japanese phrases into Chinese using straight translation techniques. Furthermore, Liang's translation style evolved as a result of his political goals. Jiang here made an impressive logic that "for the translator, only by clarifying the fundamental issue of 'why to translate' can the issue of 'what to translate' be solved (JIANG, 2024: 61).

Liang, a reformist, saw translation as a means of educating the public and engaging in social and political endeavors. But he was also terrified of the might of the Qing dynasty's imperial court. In *Romantic Encounter with a Beauty*, he removed the main character's name, Fan Qing, since it implied anti-Qing dynasty sentiment, which also went against his nationalist beliefs. Nearly all reformist translators at the time had this mindset, and they desperately needed to act as a mediator between domestic political issues and foreign texts and ideas. In the same novel, Liang presented progressive political ideas such as democracy, equality, freedom, and science, while polishing the aggressive ideas upon the Qing dynasty imposed by the Japanese character Shiba Shirô's stance to support the First Sino-Japanese War (1894–1895) as a punishment for the Qing court's assistance to Korea. The last justification for Liang's unrestricted translation is his desire to educate the broader audience intellectually rather than those who could read the original. Many reformists thus arrived at a dilemma: potential recipients could not accept many western fiction styles, and domesticated translations would violate enlightenment causes such as emancipation from *Zhanghui* fiction, introduction of baihua (the transformation of the ancient system of writing and reading), and gender equality (the self-deprecation of female characters), etc. For translators, this is the divide, or even schizo. They ought to figure out how to persuade the Chinese readers to accept the "pills" from the West. In order to update the original to better fit the recipient's circumstances and to infuse the writings with reformist ideas that may motivate the nation, Liang unavoidably chose the unfettered translation approach. The three barriers of reception, speech, and political consequence are symbolized by the fetter.

Skopos theory is the case in point when it comes to how the translation is received. Jiang then started comparing the two schools of thought. In the translation community supported by academics such as Christian Nord, Hans Vermeer, and Katharina Reiss, Skopos appears to be similar to functionalists. According to Reiss and Vermeer (2013), the goal of their academic growth is to produce translations based on the various text types while serving a variety of purposes. Jiang used Liang's unfettered translation to show how they appeared to have overlooked the ideological and political role that translations play. Liang's Skopos (purpose) ought to be broadened to include political transformation in addition to text transmission. Besides, I think reformists' purpose



considers three aspects, namely, the original, the target, and themselves. Therefore, the Skopos adopted by Liang is structured like a tripod (see Fig. 1).

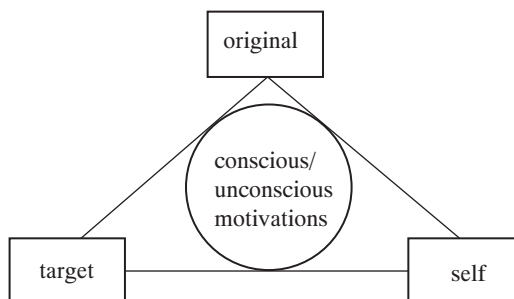


Figure 1 The triangle of reformists' motivation

## 5. The Conscious and Unconscious Dyad: The Fetter Breaker

The question of what is inside the tripod—that is, the essence of Liang's Skopos through translation—now emerges. Jiang's response may be seen as Liang's personal political ambition, which I could then further explain by pointing to both his conscious and unconscious impulses as the outcome of his underlying yearning for liberty and the sociopolitical context (also shown in Fig. 1). As a result, Jiang has subtly moved beyond the textual, pragmatic, and stylistic aspects of the praised functionalism to the translator's own self. In such a sense, the book also encourages future researchers to investigate how “the self” of the translator responds to “inner (personal aspirations)-outer (objective environment)” dialectics using somewhat hybrid motivational and sensational factors.

The deliberate elements that influenced Liang's translation have been extrapolated by Jiang. For instance, when translating, he included some of his own commentary. Liang said about the fictional work “The Last Days of the Earth”: “Wow! My fellow Chinese! While interpreting here, I can't help but sip on a large glass of wine, but I question if our people will actually carry out this prophecy—that is, the Chinese retribution strike against Europeans” (cf. JIANG, 2024: 87). Liang made noticeable adjustments to the translated passages in addition to the para-text that was included with his translation. A typical example is found in his renowned translation of Byron's “Isles of Greece”. Jiang made a comparison out of renderings of Liang and a modern poet Bian Zhilin, and I would zone in on Liang's way to get unfettered from the cage of traditional Chinese poetics within his creativity.

The Original:

The Isles of Greece, the Isles of Greece  
Where burning Sappho loved and sung,  
Where grew the arts of War and Peace,  
Where Delos rose, and Phoebus sprung!  
Eternal summer gilds them yet,  
But all, except their sun, is set.





## Liang's Version:

[ 沉醉東風 ]

咳！希臘啊！希臘啊！

你本是和平時代的愛嬌，

你本是戰爭時代的天驕。

撒芷波歌聲高，女詩人熱情好，

更有那德羅士、菲波士（兩神名）榮光常照。

此地是藝文舊壘，技術中潮。

即今在否？

算除卻太陽光線，萬般沒了！

( cf. JIANG, 2024: 132 )

Liang's version has many additions; aside from the aesthetic vibe of “沉醉東風 (intoxicated by the East wind, my back translation)”, there are in-text annotations for Delos and Phoebus as “two gods (it is a mistranslation, in that Delos is the birthplace for Apollo whose epithet is Phoebus)” and the creative amplification like “此地是藝文舊壘，技術中潮。即今在否？ (Greece was the place of arts, literature, and techs. Is it still here? my back translation)”. Even there appears Liang's free association based on “War” and “Peace” as “戰爭時代的天驕 (hero during the war)” and “和平時代的愛嬌 (beauty during peace)”. By placing himself, Byron, and Sappho together in the imaginary location of Greece (either at war or in peace), we may deduce that Liang was generating more than just meaning but also a passionate feeling. As we can see from the above, Liang left behind more than just a unique impression of how “himself” would re-present Byron's feelings when he discussed the ups and downs of Greece during the 19th-century Turkish invasion and occupation of the center of knowledge and the arts. The drive and force inside the parallel lines staring from “where,” as well as the sublimity Byron displayed, were clearly Liang's own obsessions and emotional echoing. It is evident that, from such a trivial addition found in Liang's translation, Liang is a political activist by letters, a sharp literate, and perhaps most importantly, a human who had emotion and empathy (with Byron, Sappho, Greek people, and Chinese public).

Additionally, I think that Liang translated not just Byron's poem but also other works under the influence of a combination of conscious and unconscious motivations. “The reason I chose Byron's Isles of Greece is to enlighten Chinese fellows to reform,” and “how would I make the translated text more accessible to possible readers, i. e. to annotate the foreign names and render the poem into rhymes” are some examples of what he would choose to translate as the result of his conscious motivation. Liang's “free association” approach, which is based on the original yet goes beyond it, is imaginary and intuitive in terms of the unconscious. This not only caused some mistranslations, like the wrong information for “Delos” and “Phoebus”, but also set up a restructured but dreamy Greece that is mutational according to war and peace. Here, Liang's poem, along with a lot of fiction translations, serves as a psychic field “where grew both the East and West,” and Liang served as the self-mediating and negotiating the two, much reminiscent of Freud's triad of “Id-Ego-Superego”. Given that, Liang's role is more than a translator or an activist, but a representation or metaphor, if possible, of the general Chinese, who themselves got trapped in multiple binary settings like the past-future, old-new, conservative-

reformative, tradition-modernity, East-West, etc. Liang, with his aspiration and intellect, figured out a “what to” and “why to” for the Chinese through translation that I would name as “self-analysis.”

In other words, Liang’s unconscious desire to play a part in helping the Chinese awaken and prosper supported his conscious decisions. According to a different viewpoint, Liang’s unfettered translations can mirror his own psychical reality in order to break down the cultural barrier and rebuild a path for himself and his fellow Chinese following the political and cultural repression—or even trauma—caused by the Qing monarchies and Western imperialists. The translator, Liang, is the fetter-breaker, or analyst as in a psychoanalytic context. Given the binary, unfettered translation serves as an approach and/or a medium of negotiation between the inner and outer sets of the dyad, forming a trio. That would be the possible contribution of Liang’s work for future studies on the translator’s role, identity, self-analysis, desire, and the fetter-breaking through translation to make the double ends of translations a third road to translators.

## 6. Conclusion: Beyond Translators’ Conscious Choices

Certainly, Prof. Jiang has done more than translation descriptions. He acutely captured the specifics of Liang’s unfettered translation and categorized them into (1) A Hybrid Style of Classical Chinese and Vernacular Chinese; (2) A Majestic and Passionate Translation Style (JIANG, 2024: 114–136), while listing “why it is so”, i. e. (1) “Translating the Meaning Rather Than the Words” as Translation Method; (2) “Pursuing Fluency at the Cost of Faithfulness” as Translation Philosophy; (3) “Domesticating the Western Texts with the Chinese Flavor” as Translation Strategy (ibid. 136–161). Given the information built around Liang and his unfettered translation, Jiang took the biggest part in expounding the cultural significance of Liang’s unfettered translation towards the end of the monograph. The voluminous section could be summarized as follows. (1) Chinese literature’s passion for beating the Western intruders at their own game, which includes serial development, reform, and enlightenment movements that aim to strengthen China’s national power. (2) Modernity and its discourse *from* and *in* Liang’s unfettered translation: subversion of the traditional family-dynasty regime to the nation-state, and of subjects of feudal society to citizens in the modern city (ibid. 194–195). (3) The relationship between new fiction and Liang’s unfettered translation, expansion of cliché themes of Chinese classical novels (i. e. plots about romances between scholars and beauties, stories about immortals and ghosts, great deeds of upright officials, heroic feats of swordsmen, and unsurpassed achievements of the nobles) to political, detective, science fiction, and so on (ibid. 204). (4) More narrative modes and transformation of literary presentation brought into the Chinese context, such as flash-back plot and flash-forward narration, and the adoption of vernacular Chinese to fiction writing (ibid. 206–212). All the changes brought about by Liang’s unfettered translation have inspired not only political activities, but also numerous modern Chinese writers, represented by Lu Xun, Zhou Guisheng, Zhou Zuoren, etc.

The book not only examines the life and works of Liang Qichao, but it also highlights Prof. Jiang’s academic career, from his doctoral dissertation on Liang’s “Hao Jie translation style” to the “unfettered translation” of today. The subtle changes in the translation of the title connect Jiang and Liang, Liang and his beloved country of China. That further implies the historical cultural cage during the transition from monarchy to republic, and the connection between the current social development following the courageous reform and



revolution of translators over a century like Liang and the meticulous discovery of translation scholars like Jiang. The change of the book title must have reflected Jiang's academic life on the single subject of Liang Qichao for more than 15 years. In light of the intertextuality between the translator and the translator scholar, the translator in history, and the socio-cultural-political context (assuming the world is viewed as a text), the next step is to investigate the parallels between the psychological aspects of scholars' selections of translators to study. This might be a remedy for the deadlock of translator studies which ignore the implicit relationship between the dyad of researchers and their targets. That would depart from the freedom of words and mind by translators who adopted unfettered translation to the emancipation of translation studies that are solely featuring translators' conscious choices instead of their unconscious factors as well as the "in-betweenness" of the scholar and the translator he/she studies.

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(Editors: Derrick MI & Joe ZHANG)



# Leading a Wandering Life Like a Bird: An Interview with the Writer Yan Fei

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**Abstract:** YAN Fei (燕飛), formerly known as Yan Fei (閆飛) and also referred to as Yan Daxia, is a writer and editor in Canada. He currently serves as the President of the Canadian Chinese Writers' Association and the vice president of the Canadian Chinese Journalists and Editors Association. The interview reveals that Yan Fei, a writer who has achieved early success, is most famous for his works focused on women. In his youth, he aimed to honor the pioneering women of the coastal areas by documenting their stories of joy and sorrow. His representative work, the Hainan Dream Trilogy ("Hainan's Unfulfilled Dream", "Hainan's Startling Dream", and "Hainan's Questing Dream"), was once extremely popular and became a hallmark of business literature in the mid-1990s. Yan Fei has also served as the chief editor of domestic literary magazines and has interacted with many renowned writers. He has shared his unique insights on literary creation, literary awards (especially the Nobel Prize), the relationship between literature and life, and the differences between documentary literature and pure literature. During the discussion, he emphasized the institutional advantages of socialist China when addressing cultural differences.

**Keywords:** business literature; documentary literature; pure literature

## 四海為家放飛燕 ——作家燕飛訪談錄

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**摘 要:** 燕飛, 原名閆飛, 亦名燕大使, 旅加作家, 編輯家, 現任加拿大中文作家協會會長, 加拿大中文記者與編輯協

會副會長。訪談中得知：燕飛是年少得志的作家，最爆火的作品都是寫女性的。年輕時他要給閩海女性樹碑立傳，寫她們悲歡離合的故事。他的代表作海南夢幻三部曲（《海南無夢》《海南驚夢》《海南尋夢》）曾風靡一時，是九十年代中期閩海文學的標誌性作品。燕飛曾擔任國內文學雜誌主編，和許多著名作家打過交道。他對文學創作、文學獎（特別是諾獎）、文學和生活的關係以及紀實文學與純文學的區別等發表了獨到見解。在討論中加文化差異時，他強調了社會主義中國的制度優勢。

**關鍵詞：**閩海文學；紀實文學；純文學

**受訪人簡介：**燕飛，原名閔飛，亦名燕大俠。加拿大中文作家，編輯家。現居多倫多，任加拿大中文作家協會會長，加拿大中文記者與編輯協會副會長兼秘書長。加拿大華文網社長兼總編輯。燕飛大學畢業於長沙理工大學（原長沙交通學院）道橋專業，20歲大學畢業分配至人民交通出版社做編輯工作。大學時代開始文學創作。曾在《中國作家》《人民文學》《天涯》等文學雜誌發表小說、詩歌、散文等文學作品逾百萬字，在《十月》發表過長篇作品。燕飛24歲離京至海南，歷任《海南特區報》副刊編輯，《海南青年報》總編輯助理，海口市文聯《椰城》文學雜誌副主編，執行主編。著有海南夢幻三部曲《海南無夢》《海南驚夢》《海南尋夢》，長篇小說《劫：一個女人的光榮與恥辱》，紀實文學《光榮與罪惡》，散文集《燕飛夢語》等。燕飛移居海外之前曾在北京和海南工作生活，出版文學作品多部。其25歲時撰寫的《100個女人在海南》在各報刊連載，後發表於《十月》文學雜誌，易名為《海南無夢》，由中國社會出版社出版，並和他另外兩部長篇《海南驚夢》《海南尋夢》一起推出，即為燕飛海南夢幻三部曲，熱銷當年。

**採訪人簡介：**王祖友，男，博士，教授，博導（兼）。1968年8月26日出生於安徽省馬鞍山市和縣。1998年6月廣西師範大學外語系畢業，文學碩士；2002年4月美國耶魯大學美國學東亞學者研究生班畢業；2006年6月廈門大學外文學院畢業，文學博士。曾在Chatham University和University of Pittsburgh訪學一年。主要研究領域是美國文學和文學翻譯。出版著作17部，曾在《外國文學》等學術刊物上發表過論文88篇，其中，核心期刊論文25篇。翻譯作品若干，如：2007年11月發表《美國文學研究新方向：1980—2002》〔《當代外國文學》2007年第四期（CSSCI），中國人民大學書報資料中心《外國文學研究》2008年第2期全文轉載〕。2011年9月發表《新媒體技術條件下的自動化、自主性與自動現代性》〔《國外理論動態》2011年第9期（CSSCI）〕，中國人民大學書報資料中心《文化研究》2012年第1期全文轉載。主編、參編教材7部。完成科研項目7項。社會兼職：Asia-Pacific Journal of Humanities and Social Sciences編委、《語言學》編委、《山東外語教學》編委（2011—2016）、《世界文學評論》編委、江蘇省比較文學學會理事、江蘇省翻譯協會理事、廣西翻譯協會理事、第二屆東北亞語言文學與翻譯國際學術論壇理事會理事、廣西師範大學客座教授、中山大學語言研究所兼職教授、新疆文藝理論研究會理事、學術英語研究會理事、天津理工大學外國語學院MTI合作導師、南京師範大學外國語學院MTI合作導師、中國翻譯認知學會常務理事、中國生態翻譯與認知翻譯學會常務理事。

王祖友（以下簡稱「王」）：燕飛先生，您好！很高興受《亞太學刊》編輯部委託，跟您做一次書面訪談。您與王蒙、莫言等很多當代著名作家有過交往，我們可以從當代中國文壇的逸聞趣事聊起嗎？

燕飛（以下簡稱「燕」）：哈哈，曾經做過這類話題的講座。兄臺，八卦適合茶餘飯後閒聊，形成文字可能要斟酌一番了。

王：作為文學的寓教於樂吧。

燕：好。在我過往生活中有過交集和交往的著名作家有：韓少功、葉蔚林、曉劍、史鐵生、樑曉聲、張賢亮、張曼菱、蔣子丹、林白、馬原、餘華、莫言、蘇童、賈平凹、陳忠實、董貽斌……王蒙算是我的老師。

王：說點他們的趣聞吧？這一串名錄就顯示出王蒙般的行文風格，是得老師真傳吧？

燕：王蒙是我少年時期的文學偶像。讀中學時第一次接觸他的短篇小說《風箏飄帶》，那種意識流手法，優美絕倫的排比句讓我震撼。當晚我就把它背下來了。自此開始追星，凡是有王蒙作品的雜誌都讓家裏人買下來。精讀，背誦。很喜歡的有《春之聲》《如歌的行板》《相見時難》，還有長篇《活動變人形》。

燕：最喜歡的還是他的中篇小說《蝴蝶》。

王：最喜歡《蝴蝶》的原因或者理由是哪些？

燕：沒理由沒原因。《蝴蝶》是一中篇，有一定篇幅。但是一口氣讀完，感覺酣暢淋漓。它一反傳統小說的結構章法，批評者有人說雜亂如章，但我讀來如飲甘露。後來若干年後，接觸了拉美作家博爾赫斯和馬爾克斯，就覺得有共鳴感。

他們大抵是同時代的人。地球場心靈感應吧。王蒙的意識流其實和拉美作家的魔幻現實主義有異曲同工之妙。

讀博爾赫斯的《交叉小徑的花園》，我就想起王蒙的《蝴蝶》。

王：《蝴蝶》中的意識流或感情流，是很深刻的，如：「他（張思遠）覺得還應該有一個張思遠才是他本來的面目，那個張思遠坐在市委小樓（專為常委以上領導幹部辦公用的）的書記辦公室，小樓門口有武裝警衛。辦公室有兩間，……除去全市的工作，他沒有個人的興趣，個人的喜怒哀樂。他幾乎整整十年沒有休過假。甚至於在看他自幼喜愛的地方戲的時候他也不得安寧，有些急件要送到劇場……離開了領導工作，就不存在什麼張思遠。同樣，他也從來沒有想像過市委能離得開他……然而現在又出現了一個張思遠，一個彎腰縮脖，低頭認罪、未老先衰，面目可憎的張思遠，一個任憑別人辱罵，毆打誣陷，折磨，都不能還手，不能暢快地呼吸的張思遠，一個沒有人同情，不能休息和回家（現在他多麼想回家歇歇啊！）不能理髮和洗澡，不能穿料子服裝，不能吸兩毛錢以上一包的香煙的罪犯、賤民張思遠，一個被黨所拋棄，一個被人民所拋棄，一個被社會所拋棄的喪家之犬張思遠……這是我嗎？我是張思遠嗎？……」

描寫了一個特殊時代的典型人物，又具有極其廣泛的普世意義。

燕：是的。張思遠讓我想起阿爾卡蒂奧布恩迪亞上校。哥倫比亞作家馬爾克斯的《百年孤獨》裏的人物。

王：博爾赫斯的《交叉小徑的花園》有哪些地方可以聯繫上王蒙的《蝴蝶》？

燕：結構都像迷宮。都可以從任何章節著手閱讀。

王：不知道小說中迷宮結構到底是起源於中國還是外國？

燕：皆不可考。可能是不約而同，或英雄所見略同。

王：後現代主義文學理論中有涉及迷宮結構的，但迷宮結構不限於後現代主義小說吧？

燕：是的。

王：您個人的寫作風格更接近於後現代主義文學風格？

燕：這個由您來定義。文學風格的各種定義其實是拿空瓶子裝酒，感覺合適對路都好。

王：有時候我在想莫言能獲得諾貝爾文學獎，王蒙怎麼沒有獲得呢？無論從主題重大、風格多樣，還是美學品格上王蒙都更有優勢啊。

燕：同感。

王：你認為諾貝爾文學獎評委們有意識形態「偏見」嗎？

燕：那諾獎的評委，他不是有偏見，而是有局限性。因為他們所接觸的範圍受局限，像它有一個懂中文的評委叫馬悅然，那馬悅然中意誰的作品，翻譯誰的作品，那誰獲獎的可能性就比較大，比如馬悅然他就喜歡北島和那位法國高姓作家啊，他也翻譯過這個莫言的作品。王蒙和馬悅然也有過交往，王蒙沒有獲諾貝爾獎，這是個陰差陽錯的故事。當時他還做文化部部長的時候，馬悅然就邀請過他訪問瑞典文學院。邀請王蒙推薦一些中國作家啊，提名諾貝爾文學獎。當時王蒙就提名了幾個人，韓少功啊，王安憶，張煒呀，王蒙想能帶他們成行，然後啊，到了瑞典之後啊，再介紹自己。那後來這個訪問受阻，因為文化部批了外交部沒批。這個是八卦的，當時幾個環節交流出現了一些誤會。

諾貝爾文學獎，他的獲獎者都是優秀的作家，但這個它不是冠軍賽，嗯，不是最好的。就像那位高姓作

家,他獲獎這個就覺得有些偏門兒。因為他的作品無論是整個文學造詣、文學水準還有影響力各方面,和很多中文作家一比,根本就數不上他。嗯,不是說哪兒封殺他,就即便是把他的作品放開,影響力也有限。但就是諾貝爾文學獎的那個評委馬悅然,他就翻譯過高先生的《靈山》。嗯,馬悅然就中意這個高先生的這個作品。所以獲了這個諾獎。

那國內的作家,無論是寫作的水準還是影響力,比這個高先生要好得多的,那多的是,一數一大堆,你像韓少功,像這個賈平凹,像這個王安憶,還有餘華,殘雪啊。餘華也非常有影響力,這些都是諾獎熱門人選,還有一個叫閻連科,但是誰能獲諾獎?我覺得就像那個中彩票一樣,誰獲得諾獎都不奇怪,嗯,誰落選也不奇怪,那個諾獎,嗯,就是一個,在我們看來。它就是個盲盒,開盲盒。

王蒙老師生平有兩個遺憾,一是沒有獲得諾獎認同,二是沒有擔任過中國作家協會主席。

王:經您這麼一分析,我對諾貝爾文學獎的認識有所改變了。作家寫作不是奧運比賽,如果還用體育來打比方,更像一個人的馬拉松。您的海南夢幻三部曲中的第一部原名為《100個女人在海南》,後來為何易名為《海南無夢》?

燕:年輕的時候就是充滿激情啊,青春浪漫,20多歲從北京跑到海南。當時那個《海南開發報》,很火的一個民辦報紙,嗯,裏面都是一些作家當編輯。嗯,來自湖南的作家薑貽斌,他就約我給他寫寫稿子。就在開發報連載啊,連載的題目叫《海南女人的世界》,後來那個《海南青年報》也連載,就改了個名字叫《100個女孩兒在海南》。其實還有一家雜誌,那個《五指山》,連載的名字叫《闖海的女子》。這個連載就越寫越長,越寫越多。

連載越寫越長,越寫越多,天天出去採訪那些女孩子。各行各業的女工程師啊,女經理呀,女老闆,女記者,女大學生啊,歌女舞女。素材源源不斷,連載源源不斷。那個當時也沒什麼網路,前網路時代,嗯,那名氣也大起來。後來越寫越多啊,我就把這稿子打成包寄到《十月》。《十月》的副主編田珍穎,也是賈平凹《廢都》的責任編輯。然後田珍穎看那稿子,說寫的好。因為我年輕的時候,那個妙筆生花,文筆比較飄逸,那講究排比句啊,講究語言優美。

田珍穎就說,你取個文學化的名字,然後兩個人在電話裏面就商量,然後把這個《100個女孩兒在海南》就改成了《海南無夢》。

這個《十月》登了《海南無夢》之後,當時全國很有影響。嗯,應該有至少幾十家報紙連載吧。像那個《解放日報》啊,《重慶日報》《湛江晚報》《蕪湖日報》等等,太多了。然後各種獲獎,各種採訪。後來我就又寫了《100個男人在海南》做副標題,嗯,書名叫《海南驚夢》;然後還有一本《海南尋夢》,也就是《100種愛情在海南》,然後,幾家出版社挑選的結果,最後在中國社會出版社出版。隆重推出,叫作《海南夢幻三部曲》,確實有影響啊,當然影響力最大的還是《海南無夢》了。

王:《海南無夢》在這個三部曲中有什麼獨特地位嗎?

燕:因為這個《海南無夢》的空前的成功嘛,嗯,算是當時在國內爆火,嗯,電視臺呀,各種文藝報刊啊,採訪,包括每天有很多讀者給我寫。《海南無夢》的爆火讓我再接再厲,才想起來就寫《海南驚夢》和《海南尋夢》。後面兩部是短時間內就趕出來的。

王:這個三部曲取名是否有什麼講究?

燕:這個叫《海南夢幻三部曲》,每本書都有個夢嘛。我這個三部曲在90年代,就是闖海內容的標誌性文學作品。寫海南,闖海題材的文學作品,90年代中期可能就是我這個了。再後來,就是若干年之後,嗯,又有作家寫這類三部曲。嗯,這個就是比較晚,比我晚10年20年的都有。我是90年代中期,嗯,當時算火過一陣子。

王:1991年1月8日,海南省海口市農行石紅坎坡分理處發生了一起銀行搶劫案。受共青團海南省委



委派，您採訪創作了長篇紀實文學《光榮與罪惡》。該書用純文學的筆法描繪了此次銀行搶劫案中的每一個細節，以歌頌青春讚美正義的角度刻畫了與歹徒搏鬥而犧牲和負傷的英雄柯華文、田勤，也從不同的角度以寫實筆法敘述了4個年輕的亡命歹徒的生活軌跡。此書出版後受到讀者好評，並獲共青團海南省委嘉獎。《光榮與罪惡》是您的第一本文學著作。

長篇小說《劫：一個女人的光榮與恥辱》和紀實文學《光榮與罪惡》有什麼關係嗎？

燕：長篇小說《劫：一個女人的光榮與恥辱》，這個完全是暢銷書，就是照著那個暢銷的路子打造的。這本書由廣州出版社出版，在《羊城晚報》連載過啊。這個長篇在《羊城晚報》連載了好長時間，當時反響也挺熱烈的。

《光榮與罪惡》，這本書是我出版的第一本書吧。嗯，在海南的時候，當時共青團海南省委，嗯，組稿讓我去寫，去寫這個青年英雄。

《光榮與罪惡》是寫這個與搶銀行事件相關的，紀實文學。搶銀行的，嗯，一個女孩子叫柯華文，被這個搶銀行的幾個劫匪給一刀刀捅死了，然後那個男孩子叫田勤，搏鬥中受傷了。然後這個就是樹立典型英雄嘛，然後我就應團政委的號召。也應當時的海南出版社的編輯王景霞之約，嗯，寫的《光榮與罪惡》。當時在海南也很有影響，也挺暢銷。

王：您對小說連載形式應該很有發言權，可否談談這方面的「秘訣」？

燕：當年那個報紙和雜誌，連載我的長篇的時候，那時網路還沒有像現在這麼發達。嗯，現在我不知道是個什麼具體的情況。現在我估計這個網路文學已經完全侵佔了純文學和紙媒文化的空間，你隨便任何一個作者，不需要編輯。嗯，也不修改，就直接往網上貼。那些高產的，能寫1000萬字，甚至是2000萬字，那些網路作家啊，他們那就是哎呀，另外一種景觀了啊。

我覺得報紙連載這個暢銷的長篇作品是前網路時代的特色。現在我也很長時間沒看過國內的報紙了，我不知道他們現在還搞不搞這個，這一塊，這個板塊，這個連載。但我想現在這個網路文學可能更佔據了更多的板塊和版面。純文學越來越遠離普通讀者，越來越退縮到象牙塔，文學也變成一個圈子文學和精英文化啊。

王：您覺得暢銷小說有哪些內在因素、哪些外在要素嗎？

燕：暢銷小說其實就是結構要能抓住人，語言華麗，語言華美，語言流暢。然後這個情節能夠引人入勝，就是，當然他外在的東西，嗯，就是各方面能夠吸引人。也能應景，應著當前的某個話題呀，然後又靠上了什麼熱點。然後還有很多很玄妙的東西，現在很多年輕人寫暢銷小說。

現在那個暢銷小說，好多是在網路上先火起來的。許多年輕人寫網路文學的，後來出書，都非常暢銷。像唐家三少、天蠶土豆、安妮寶貝，嗯，他們都挺能掙錢。還有一個寫那個《明朝那些事兒》，出書效果都不錯。好多網路作家那都是寫的東西又快又暢銷。所以，純文學這一塊可能慢慢地就是相形見绌，嗯，比不上他們暢銷。

當然純文學作家也有很暢銷的書，像，王朔的、莫言的、餘華的。餘華的《活著》《許三觀賣血記》都已經再版了很多版。這些包括王蒙啊，王蒙的各種版本的選集，嗯，各個時期的這個中短篇小說選集，長篇單行本。都挺暢銷的啊。

王：根據您的個性和效率，我覺得您可以成為一個當紅的網路小說家。您有過這樣的想法嗎？

燕：這個對我缺乏誘惑，也缺乏動力。嗯，因為如果掙錢有別的更快捷的方式；如果追求名，就是名利，也不需要，因為當初在文學圈紅過這麼一段時間。那現在最有可能的就是，能夠再寫兩本加拿大生活題材的長篇，對自己的後半生有所交代，這是目前明確的想法。要在網路上寫啊，可能也比不過年輕人。嗯，可能覺得也沒有那個必要。





還在意這個所謂的文學圈。嗯，圈裏的評價，圈裏的目光。還在意這個，端起來了這個架子，所以要寫，還是希望他們說是我純文學啊。還是不想往網路這邊靠啊。

還是希望寫的東西先在文學雜誌能夠發表出來，《人民文學》《中國作家》《十月》啊，能夠給我發表出來，加拿大生活題材的這個作品，然後發表之後再出書，還是想走這個路子，按照目前的想法。

在網上貼這個東西，我一個是放不下身段，一個是確實這個數量、速度、字數，你也幹不過那些年輕人。那些年輕人，就是就說一個晚上寫 5000 字，一天寫上萬字的都有。嗯，我們寫字還是要講究啊，得想一想，不是他們，聽說那網路作者有的寫了根本來不及改錯別字，根本來不及改標點符號，直接往那個網上貼，因為那個讀者粉絲都追著看呢，都貼不贏。真正的純文學作家是做不到的。

王：您 24 歲離京至海南，歷任《海南特區報》副刊編輯，《海南青年報》總編輯助理，海口市文聯《椰城》文學雜誌副主編，執行主編。對於文化人，已經是功成名就了，為什麼要踏出國門？

燕：我一輩子都在折騰，一輩子都在挑戰，就是別人活一輩子，我活了兩輩子。嗯，經常接觸不同的人，不同的生活圈子。喜新厭舊，不務正業，就指的是我這號兒人。哎，手頭剛好我也發現那個有一篇寫我 24 歲之前的，當初剛踏上海南島的時候，和我同事了幾個月的一個幾十年未見的故交寫我年輕的時候的一篇文章。裏面有段話——這位年少得志的作家最爆火的作品都是寫女性的。他似乎說過他要給闖海女性樹碑立傳這樣的話。他寫女性，寫她們悲歡離合的故事。女孩子們也會滔滔不絕地把自己的故事訴說給青年作家燕飛。

可能你看了之後對你有所啟發。

王：加拿大是個多元文化國家，這樣的多元文化會不會消解西方傳統文化的中心地位，破壞加拿大傳統的核心價值觀，導致文化相對主義和狹隘民族主義，加劇加拿大內部不同群體的政治紛爭，造成國家分裂與種族間不和？

燕：我感覺加拿大的這種多元文化，它有一種共容性和相容性。這個也因為它本身就是個移民國家，大部分國民都是來自世界上不同的國家。你說的那個主流社會就是那個白人。他們其實也不是這個當地人，也是移民過來的，也是歐洲人。移民到加拿大，也就是幾百年的歷史，歷史都不長。所以，相互之間相處啊，都比較寬容啊，都體現出一種友愛。然後這個，體現出一種多元文化的共榮性啊，這是加大的特點啊。

那麼政客們他在這一點上的表現尤其相當重要。他要關心至少是裝作關心每一個種群，每個族群，關心或裝作關心每一個族群不同背景的文化節，比如中國這個龍文化節呀，龍舟節，這個各種節日，包括春節，嗯，那加拿大的總理和那些議員，嗯，都會出面啊。那麼其他的族裔的也是這樣，嗯，相融相處，因為大家，嗯，都在同一個地方，同一個國家生活。大的衝突大的矛盾沒有啊，會消解於無形。

這加拿大的民主，包括這美國，包括這西方的民主，它也有它不好的一面，就是阻礙了這個經濟發展和社會進步，就效率低。像加拿大這三級政府，聯邦政府、省政府、市政府，別管一個什麼事兒啊，商量一個屁大的事兒，那議會都要表決，那表決如果不過半票的話，這事兒就弄不成。比如修一條路啊，修一條地鐵，弄幾十年，那批不下來。即便批下來了幹起來也慢騰騰的，速度也非常慢。因為考慮到這個老百姓的這個呼聲啊，講究這個人權啊平等啊，所以這方面也阻礙了社會的進步，經濟的發展啊。這個是肉眼可見。

這一比較，就體現了咱們社會主義制度的優越性啊，效率高，集中力量辦大事兒。你看那個每次回國感覺都日新月異，那經濟發展這一二三十年來。嗯，全世界，與各個國家相比，咱中國發展那還是最快的，所以說這個他們說這個東升西降，有一定的道理，那不是亂說的。那麼祖國發展了我們也自豪啊，哎呀，我一有機會就回去給他們搞講座，我說啊，我永遠是個愛國青年。

王：您現任加拿大中文作家協會會長，我本來準備好要問您有沒有計畫寫一本小說反映華人作家在加拿大的人生旅程？現在看來是要問您具體打算怎麼寫這樣的小說？能先劇透一下嗎？

燕：說要寫，嗯，想寫也拉了提綱，剛準備著手。但哎呀，素材太多，現在想要表達的也太多。還得弄出個頭緒來，嗯，安下心來，不那麼浮躁了之後才能夠做下來，去把它弄出來。嗯，現在還在找那個狀態呢。

王：請以您的創作為例談談紀實文學的特別之處？紀實文學和純小說的區別？

燕：與純小說相比，其實紀實小說寫作要求可能更高一些。從那個畫家的領域來說，可能是寫小說就好比畫鬼，寫紀實小說呢，就是畫犬畫馬。嗯，畫鬼容易，畫犬馬就稍難一些。嗯，人物刻畫、心理刻畫，情節設置，如果你是紀實文學，嗯，就不能太天馬行空。

90 年代初的時候，一開始我也追過嘗試過寫先鋒體的純小說，嗯，先鋒類的作品，我在《中國作家》發過《你的眼》，責編方文；在早期的《天涯》雜誌發過中篇小說《飛飛飛》，主編馮秀玫。哎，這些個都是當時在追逐先鋒文學的一面大旗時的作品。後來因為寫《100 個女孩在海南》涉及人物眾多，採訪的也非常多，又熱衷於那個和各式各樣的美麗的女孩子打交道，就熱衷於寫紀實文學了。先鋒路上改弘易張歪打正著把紀實小說這一塊就做的很好啊。

當初沒有在先鋒小說這個道路上走更遠，就是因為，很迅速地迷戀上了紀實小說或紀實文學的寫作啊，就以《100 個女孩兒在海南》作為一個分水嶺啊。

王：可以先線上做個講座嗎？

燕：嗯，王教授，其實這段時間我還挺忙的，與我相關的兩個機構合併成一個機構，事兒挺多，事情那可能就得往後拖一拖。而且，我還打算年底前回一趟國啊，這段時間事兒挺亂的，那個想做的事兒，要不就往後推。可能要往後推了。現在，事情挺多的，因為那個畢竟要準備嘛。

王：謝謝您接受語音採訪。

燕：謝謝您，再見。意猶未盡之處，我們下次再聊。

(Editors: ZHANG Keren & JIANG Qing)

**[Studies in Literature]**

# Ethical Dilemmas in Yvonne Adhiambo Owuor's 2003 Caine-Prize-winning Writing "Weight of Whispers"

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**Abstract:** For the praxis of ethical literary criticism, identifying the moment(s) of ethical turn is crucial. In the short story "Weight of Whispers" written by a prominent contemporary Kenyan writer, philosopher of modern times, and public intellectual Yvonne Adhiambo Owuor, the ethical turn emerges as a pivotal feature that not only serves as a literary device to depict the ethical dilemmas faced by the characters in their forced exile, but also symbolizes the tangible symptoms of societal ills prevalent in Kenya's specific context. This article undertakes a comprehensive exploration of these ethical turns, delving into their manifestations, implications, and the profound insights they offer into the human condition and the underbelly, thereby enhancing our understanding of the story's ethical depth and its significance within the realm of African literature and beyond.

**Keywords:** ethical turn; empathy; "Weight of Whispers"; Yvonne Adhiambo Owuor

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## 1. Introduction

In the wider eastern Africa of post-2000, Kenya-born Yvonne Adhiambo Owuor certainly has established for herself a niche as an excellent writer, "whose novels *Dust* (2013) and *The Dragonfly Sea* (2019) enjoy wide circulation and near-global critical acclaim, going by the journal articles, book chapters, conference presentations, and even translations into different languages across the world that the works have variously attracted" (Siundu 2022: 1). Actually, in as early as 2003, she won the Caine Prize for African Writing with her short story titled "Weight of Whispers". From that moment onwards, her influence has expanded significantly, whether as a writer, as a philosopher in the modern era, or as a public intellectual.

“Weight of Whispers” presents a profound first-person account of the journey of Boniface Louis R Kuseremane and his family as refugees in Kenya: As a royalty family, they have lived a life full of travels and luxuries, ill-prepared for the impact of the outbreak of the genocide in their own country. Fleeing to Kenya in panic with only a few personal effects and little cash at hand, they hope for a short stay *en route* to Europe, relying on overseas contacts. However, they soon found themselves isolated. The harsh reality dawns. Now, at 37, Boniface, as the paterfamilias, must shoulder the responsibility, struggling to extricate them from their deteriorating, nightmarish situation. With each passing day, their exile, poverty, and despair deepen.

Thus, one of the notable points worth discussing is the ways this story weaves a complex tapestry of the challenges that refugees endure in the face of displacement and adversity, exploring not only the human conditions of the suffering individuals but also the societal conditions that surround them. In Edgar Fred Nabutanyi’s words, the story is “an investigation of the pain that surfaces when someone’s world is turned upside down” (Nabutanyi 2022: 21). But just as Tanzanian-born British novelist and academic Abd al-Razzaq Gurnah—Chair of the 2003 Caine Prize judges and the winner of the 2021 Nobel Prize in Literature—says, the story’s “great strength is the subtle and suggestive way it dramatizes the condition of the refugee and also successfully incorporates so many large issues.” (Gurnah 2003) Therefore, an in-depth thematic analysis should be directed to the portrayal of the main characters, including Boniface’s mother Agnethe, his sister Chi-Chi, and his fiancée Lune.

The present article undertakes a comprehensive study of the profound insight “Weight of Whispers” offers concerning the way the institutional and collective depravity contaminates the personal ethics and how this contamination process blinkers an individual person, hazardously narrowing down his/her scope of ethical empathy.

## 2. Collective and Institutional Depravity

As Nie Zhenzhao states, literary ethics criticism “aims at dissecting cases of ethical choices in specific historical contexts and among the complicated ethical relationships between man and self, man and others, man and society, and man and nature” (Nie 2014: 278). In “Weight of Whispers,” as the narrative unfolds, it becomes evident that the tangible symptoms of societal ills in the form of institutional and collective depravity are rife in Kenya. This is manifested through the intricate web of moral connections binding an individual to their inner self, to those around them, and to the broader social fabric.

### 2.1 *Individual moral decline*

In a good society, every individual has the right to and the responsibility for a safe and manageable environment where they can feel secure. Now we are going to observe and judge in terms of ethics the ways how several individuals in Kenya—the Indian-Kenyan jewelry shopkeeper and two of Boniface’s fellow Rwandans in Kenya, René Katilibana and Professor George—maltreat him. Their behavior towards him serves to highlight the complex web of human relationships and the often-unexpected ways in which people can wound one another, especially when one is already in a vulnerable state like Boniface.



### **2.1.1 *An Indian Kenyan woman, a dishonest businesswoman***

The first encounter of humiliation is at a jewelry shop. Boniface, facing a challenging financial situation, enters the shop with the aim of selling his “24 carat, customized gold and sapphire bracelet” (Owuor 2019: 84) to acquire the money necessary for his family’s well-being. Two days after he parts with the bracelet for 15,000 Kenyan shillings, he is told by one of his compatriots that the bracelet can be sold 100,000 shillings. He returns to confront the Indian shop-keeper, who “tells me to leave before I speak” (Ibid). She even calls the police when he attempts to discuss the value of the bracelet. Boniface walks out into the street and is dazed by the pain of being conned and humiliated:

Outside the shop, my hands are shaking. I have to remind myself to take the next step and the next step and the next step. My knees are light. I am unable to look into the eyes of those on the streets. What is my mind doing, getting around the intricacies of a foreign currency? (Ibid)

His mind struggling with the intricacies of a foreign currency at this moment highlights his state of being not fully able to cope with the reality he is in. This is also ironic when you think that his former occupation is a banker. This helps to underscore his desperate state as an exile. When Boniface goes out of the shop, the woman insults him by calling him “*takataka*”, which means “rubbish,” revealing her lack of respect and human decency. As Nabutanyi rightly points out:

As a former prince, diplomat and scholar, it can be argued that Kuseremane [Boniface] is used to or expects some degree of deference from ordinary people. However, his engagement with [the woman] accentuates his depreciated social status. This is because [she treats] him in a manner that reduces him to a nonentity. (Nabutanyi 2022: 25)

This encounter highlights how power dynamics can play out in unethical ways, with the more vulnerable, like Boniface in his exile, being exploited. It also reflects poorly on the social fabric, as it shows that some individuals are willing to trample on others’ dignity and rights for personal gain, leaving victims like Boniface feeling powerless, humiliated, and adrift in a foreign land where they expect at least a modicum of fairness.

### **2.1.2 *René, a false friend***

At the start of the story, Boniface and his mother are optimistic that their network of influential friends will offer help, be it financial or directional. The word “friend” crops up around 12 times in the beginning of the narrative, with 8 instances reflecting his strong hope in friendship. For example, when landing in Nairobi, he thinks, “Soon, we would be in Europe, among friends” (Owuor 2019: 81). Later, unable to arrange papers for Europe, he notes that “Old friends have not returned phone calls” (Ibid). Nevertheless, they still indulge the fond hope of the help from their friends, his mother once saying, “What of the response of our friends in exile ... ah! Not yet ... a matter of time” (Ibid). He waits for calls, believing that his friends will not abandon him, rooted in past good times and trust. But as time passes, anxiety chips away at his hope, though he persists. The appearance of René Katilibana gives him a new hope. He excitedly anticipates another meeting with René, stating “Ah! But tonight! Tonight, Club Balafon. I am meeting a compatriot and friend, René Katilibana”

(Owuor 2019: 87).

Boniface previously helped René with a sugar deal, declining fifty thousand francs in return to preserve friendship's purity, as "I had enjoyed humoring a friend" (Owuor 2019: 88). Now, desperate for money to flee to Europe due to the dangerous news that his name has been included in the "list of *génocidaires*"—genocide perpetrators—and his family's need— "six expectant eyes waiting for me to pull out an aeroplane from my pocket" (Ibid 87)—he seeks René at the club to ask for a \$ 5,000 loan, relying on their past bond.

But René, who seemingly does not know of Boniface's potential list issue as he asks "where he was and what he was doing" (Ibid 89), initially listens and then pretends to forget. He does not introduce Boniface to his other friends and even asks, "Refresh my memory, who are you?" (Ibid), shattering the friendship's ethical code. Boniface's internal struggle is evident when he describes the physical and emotional reactions he has even after a dance, as described below:

There are places within, where a sigh can hide. It is cold and hard and smells of fear. In my throat something cries, "hrgghghg". I cannot breathe. And then I can. So I hum:

"Mhhhh ... L'indépendance, ils l'ont obtenue ..."

It is odd, the sounds that make a grown man weep. (Ibid 90)

René's betrayal plunges him into despair and confusion. The band's playing of the nostalgic tune of "*Indépendance Cha-Cha*," Joseph Kabasele's once famous song, is nothing other than Boniface's lamentation about "the loss of his privileged life" (Kruger 2009: 1), which is now an "old anthem of anguish" (Owuor 2019: 89) for him and strongly stirs his emotions. Marie Kruger explains the ironic symbolism that the song has come to have in the course of time:

Once, the desire for political power and sovereignty was immortalized in Kabasele's well-known song; now the historical figures lauded in the upbeat celebration of Independence—Lumumba, Tshombe and Kasavubu—have become martyrs and assassins, the ghosts of a past which failed to deliver on its promise of peace and prosperity. (2009: 1)

When the band stops playing this song and the customers start to leave in disarray, Boniface finds that René and his cohort have disappeared without a word. Thus, another symbolism of the song may be the breakdown of social and ethical norms. René's behavior is a blatant display of moral turpitude. His act of feigning forgetfulness and his calculated move to avoid any obligation, revealing his self-centered nature, completely violate the principles of loyalty and reciprocity that underpin a true friendship. His actions not only shatter Boniface's hopes but also send ripples through the social fabric. It serves as a harsh reminder of how fragile relationships can become when one party fails to uphold the ethical standards expected in a community, leaving the injured party to grapple with a profound sense of betrayal.

### 2.1.3 Professor George, a self-interested compatriot

Another individual that draws our attention in this story is Professor George, a compatriot of Boniface's. He is a complex character, deeply involved in the political domain and currently struggling to navigate the difficult





waters of displacement in Kenya. He has a connection to the Kuseramane family through his sister Maria, who is a friend of Agnethe. The two families stumble upon each other fortuitously in a church on a Sunday. Then, under the invitation from Professor George, the Kuseramanes explores the Nairobi Animal Orphanage.

At first, Professor George appears amicable towards Boniface. Under the guise of helpful guidance about the lifestyle of crocodiles, Professor George imparts to Boniface the crucial survival skill of “camouflage” (Owuor 2019: 100), and Boniface even gets to watch one perform this act with remarkable finesse. However, everything changes the moment Boniface reveals that their name is on the feared list. Professor George’s attitude does a complete 180-degree turn. His once-warm demeanor vanishes, replaced by a cold and distant stance. This sudden shift is a harsh revelation of the cruel reality that not only refugees like Boniface but also legal emigrants like Professor George must endure. It also epitomizes the crude, amoral necessity for self-preservation, or “camouflage” as it were, at the cost of warm camaraderie when faced with potential threats and widespread discrimination.

In the case of George, he is always feeling the risk under the danger. Despite the threat to his current position in Kenya, he has found a way to live in Kenya rather comparatively safe, but that position is not stable. In the people around him, he is really a Rwandan, not a Kenyan. He knows that the moment they learn his nationality, people may completely change. So he wants to hide behind “camouflage”; he wants to keep a low profile in order to survive. George’s abrupt about-face poses significant ethical questions. His behavior shows that in the face of adversity, some are prone to sacrifice others to protect their own interests, highlighting the fragility of the social and ethical fabric that should bind people together during difficult times.

## **2.2 Institutional depravity**

Now, it is time for us to direct a lens of ethical criticism toward the characters who represent the mechanism of the “whole system” that oppresses helpless outsiders like Boniface.

As in the real world, in Owuor’s story, Nairobi is depicted as an NGO-industrial-complex central. Various NGOs and community-based organizations are expected to provide services and security for refugees. However, these institutions are ethically ineffective for they fail to protect vulnerable populations and exploit their power for personal gains. The descriptions of the Kuseremanes’ encounters with the violence and exploitation generated by institutions effectively critiques the underlying dynamics of power and resource transfer that perpetuate suffering and marginalization.

### **2.2.1 Indifference of European and American embassies**

In “Weight of Whispers,” the Kuseremane family’s dignity and self-esteem are severely undermined during their efforts to obtain visas at the European and American embassies in Nairobi. These institutions contribute to their ordeal, engaging in disguised refusals and invasive, insensitive questioning.

The Europeans’ approach to the family’s visa applications is marked by disguised refusals. They seemingly process the applications “smil[ing] with their teeth” but in a way that leads to an interminable wait, or as Boniface observes (Ibid 85). Their condescending aloofness and hypocrisy are palpable, with false smiles that merely exacerbate the family’s exasperation. They are using these superficial pleasantries—the oppressor’s version of “camouflaging”—to mask their real intentions of rejecting the applications, which is not only dishonest but also demeaning to the applicants.

When they turn to the American embassy, the family's plight takes a turn for the worse. The visa officer there displays blatant hostility. She bombards them with invasive questions about personal property, such as "Bank details ... bank statement ... how much money [...] title deed [, and p]roof of domicile in country of origin ... And letter from employer" (Owuor 2019: 85). Requiring such documents under such circumstances fails to take into account the real-life challenges the applicants are facing. It shows a lack of empathy and understanding, as if the officer is more concerned with bureaucratic box-ticking than with assessing the genuine need and eligibility of the applicants. The officer's extreme rudeness is on full display when she "folds her papers, bangs them on the table and frowns as if [Boniface] has wasted her time" before heartlessly "tossing [his] passport out of her little window into [his] outstretched hands" (Ibid 85). The officer's blatant behavior sends a message that the applicants are not worthy of basic respect or proper consideration, reducing them to a state of supplication and hopelessness. The conduct of these embassy officials calls into question the moral compass of these institutions. But the real problem with it is that it in turn induces those applicants to internalize such a hopeless supplicant mentality.

### 2.2.2 *Discrimination and extortion at the immigration office*

In the narrative of "Weight of Whispers," Boniface's experience of visiting the immigration office after the expiration of the three-month visitor's pass and having the money he carries with him extorted presents a harrowing picture of his ethical struggle and reveals the dark underbelly of the society he is trapped in. The officer, abusing his power, demeans and devalues him, creating a power imbalance that sets the stage for further exploitation. The officer then resorts to extortion, using the threat of reporting Boniface's illegal presence under the immigration charter:

He whispers that he is compelled by Section 3(f) of the immigration charter to report my illegal presence. He cracks his knuckles. Creak Crack. He smiles quickly. Fortunately, all things are possible. The cost of silence is US \$ 500. I have 3,000 shillings.

He took it all. But he returned 50 shillings for "bus fare". (Ibid 93)

The officer, through his menacing hand actions and whispered threats, leaves Boniface with no choice but to part with his meager funds, even though he can scarcely afford it.

In this desperate situation, Boniface is forced into a morally dubious act of using a false identity: "Under 'name' I write René Katilibana. Address, Club Balafon" (Ibid). The stress and hopelessness caused by the officer's behavior makes Boniface feel that he has no other recourse but to engage in retaliation and deception. This illustrates how one person's unethical conduct can trigger a chain reaction of moral decline in others, especially in circumstances where they are prevented from using legitimate means to reach their goals. Boniface's encounter with extortion is a microcosm of the unjust ethical landscape he navigates. It illuminates the power dynamics that tip overwhelmingly in favor of the corrupt, the identity struggles of a once-privileged individual reduced to a state of powerlessness, and the primal and animal-like survival instincts that kick in when faced with such adversity. Through this episode, we gain a profound understanding of the moral decay where the powerful prey on the weak and, more importantly, the victims are in turn incited to engage themselves in amoral acts.



### 2.2.3 *Dehumanization at a Kenyan police station*

In the text, Boniface's experience at the police station has a huge impact on his self-identity perception. In ethical literary criticism, identity is the positioning of an individual in the social ethical system. According to Nie's argument on ethical literary criticism, a human being's identity is "an identification of his or her existence in society" (Nie 2014: 263) and therefore it is something "recognized and accepted by society" (Ibid 264). Yang and Zhang argue that "we are responsible for the responsibilities and duties it entails" and that "[a]s identity is associated with ethic; the change of identity is likely to lead to the ethical confusion and conflict" (2024: 242–43). It is just the thing that the Kenyan authorities deprive Boniface of.

The wrong identification and unfair treatment from the police station brought about a revolutionary change in his self-perception. The most severe identity struggle comes to Boniface when he is asked by the three police officers to show his ID card. He fails to show one and is immediately labeled with "[a] litany of crimes" such as an "illegal alien," "resisting arrest," "attempted escape" (Owuor 2019: 95). This wrong identity severely damages his self-identity perception which was originally built on his own experiences, status and dignity. He used to be a person of a certain status, but now he is treated as a criminal. This makes him confused about his own identity and he does not know how to recognize himself within this wrongly defined framework, thus falling into a state of confusion in self-identity perception. The rough actions of the police station, such as the so-called "confiscation" of his property—keepsakes like a "gold insignia ring" (Ibid 77) that designates him as a prince or the photo of his family, makes him deeply understand the vulnerability of his once-established identity in the face of power. He laments that in exile, his existence completely depends on the tolerance of others. This awareness makes him deny the value of his former identity. He begins to think that he is worthless in the social and ethical order and can only be forced to accept the reality of being degraded and having his identity stripped, thus moving towards self-negation in self-identity perception.

Boniface's struggle with self-identity recognition urges him to recall a past experience: Once in a café in the Netherlands, back in times when he was still a successful businessman, Boniface met a man from Sierra Leone, who sold risqué underwear although he actually had a master's degree in sociology. The man came up to him and told him: "Africans, we be overeducated fools. [...] No one sees your knowing when you have no feet to stand in" (Ibid 97). Back then, Boniface was ashamed in front of his Dutch business partners. Now in Kenya, he begins to realize that he is almost in the same situation as the Sierra Leone man and understands the truth of his words.

Boniface laments that "[i]n exile we lower our heads so that we do not see in the mirror of another's eyes, what we suspect about ourselves: that our precarious existence depends entirely on the whim of another's tolerance of our presence" (Ibid). The police brutality brings home to Boniface, and presumably other refugees as well, the vulnerability of his once-established identity, which might have been favorably associated with status, education, and authority in his home country. Reduced to an "illegal alien" by the police and society, he is at the capricious mercy of others' tolerance. The word "whim" in his lamentation emphasizes the arbitrary and unpredictable nature of the acceptance or rejection such governmental societal institutions as the police give. Boniface's insight into the whimsical nature of the unchecked power exercised upon dislocated people finds expression in his painful reflection: "Later on, much later on, I will wonder what makes it possible for one man to hit another man for no reason other than the fact that he can" (Ibid 78). The only counterargument he can find

is feeble wishful thinking with a pathetic tag question anticipating denial: “but to be human is to be intrinsically, totally, resolutely good, is it not?” (Owuor 2019: 80).

Boniface’s very survival hinges not only on the momentary decision of those in power but also on the general public’s attitude. The former, by fueling social stigma and discrimination against the immigrants among the latter, enforces an unjust social order and creates a ripple effect of fear and mutual distrust throughout the immigrant community, as is observable in Professor George’s case. For example, the police arrest Boniface without considering his background, and those street vendors, who were fighting for survival before Boniface’s eyes, now laugh at his plight. Together, these people deprive Boniface of a legitimate identity within the social, ethical order. The ridicule of the people on the street also shows that discrimination against immigrants is widespread in society. The whole social and ethical atmosphere is full of prejudice and exclusion, which exacerbates the protagonist’s dilemma. Therefore, he deeply understands “a phrase [which] crawls into [his] mind: ‘Psychic Oblation’” (Ibid 97). It refers to the “giving up” of one’s inner self, the submission of one’s psyche to the harsh and unjust social forces that are acting upon him. He has to offer up his psychological integrity and his former identity with the associated self-worth as a form of sacrifice in the face of a discriminatory social order that refuses to recognize him, that degrades him, that derives him of his identity, and that leaves him completely at the mercy of others’ whims.

#### 2.2.4 *Sexual exploitation at the UNHCR*

As we have seen in Section 2.2.3 of this article, Boniface’s despondency is further accentuated when he is faced with the sexual harassment that his fiancée and his younger sister have to suffer. Feeling emasculated as a paterfamilias, Boniface recites a gnomic passage to himself: “Annals of war decree that conquest of landscapes is incomplete unless the vanquisher’s women are ‘taken’. Where war is crudest, the women are discarded, afterwards for their men to find” (Ibid 103).

Although this could potentially be construed as a tacit acceptance of the sacrifice on his part and a philosophical rationalization of the exploitation, it must be pointed out that he is only evading the harsh reality that he has unethically bartered his female relatives into sexual servitude for the well-being of the family. This can be contrasted to what Boniface once said to the European academics about the Holocaust in his youth: he was engaged in cerebral musings about historical atrocities and the moral ambiguities surrounding war and sacrifice, exploring concepts such as “sacrificial predilection of being” and “oblation of men by men to men” (Ibid 79). His impassivity, like asking a Holocaust researcher if he was a Jew and reducing him to bitter tears and was only driven by an intellectual curiosity. At that stage, he was somewhat detached, observing the pain and trauma from a certain distance, perhaps not fully grasping the true depth of human suffering. In a way, Boniface at that time assumed an indifferent position similar to that of the Kenyan high officials and the general Kenyan public.

The excruciating pain stemming from Boniface’s total emasculation is manifested through his futilely violent outbursts. He, as a patriarch, passes the unethical abuse he suffers onto his own people. He rips the visas into fragments and lashes out at both his sister and his fiancée: “I watched from afar [...] as the tall man tears the papers to shreds. I am curious about the weeping woman with her shorn hair [...] I see the tall black man lift his hand up right up and bring it crashing into the back of the girl” (Ibid 108). The detached, almost somnambulistic narrative stance discloses the extreme agony that the narrator-protagonist is incapable of grasping, let alone elucidating. This narrative detachment may be understood also as the narrator’s irresponsible evasion of



recognizing his inner beast-like brutality (provoked from without by the institutional brutality). Ironically, despite Lune's assertion, "but we shall live, *chéri* ... we shall live ... we shall live well" (Owuor 2019: 108), the steep price the women are compelled to pay culminates in the death and fragmentation of the family.

The UNHCR's actions reveal a power imbalance where those in authority within the UNHCR use their position to prey on the powerless, forcing them into demeaning and life-altering situations. Not only does it shatter the immediate family unit, but it also sends a message to the broader refugee community that even the supposed protectors cannot be trusted.

### 3. Boniface's Ethical Turn: The Waning Empathy Toward His Family

Now, let us examine the unethical predicaments suffered by the major character Boniface and his family members, who "under the inhospitable location of Nairobi [...] are stripped of their façade of respectability, affluence and identity to reveal the corporeality of their pain" (Nabutanyi 2022: 21). Personal ethics forms the moral backbone of an individual's life. Rooted in family values, culture, and personal beliefs, it governs behavior in all spheres. Key aspects include honesty, respect for others, and responsibility. In daily life, personal ethics determines the ways in which interactions with family members and other societal individuals take place. Upholding such ethics not only molds character but also makes contributions to a more just and harmonious social environment. It plays a crucial role in navigating what Nie Zhenzhao terms the "ethical dilemmas"—situations that compels a character or characters in a story to make "paradoxical moral choices" between two (or more) options under the condition that "if either choice cannot be made without respect to the other, this will lead to a moral dilemma and violation of general moral principles" (Nie 2014: 230)—by facilitating the making of decisions that are in line with one's core values.

#### 3.1 *Boniface's diminishing filial piety towards his mother*

Boniface's relationship with his mother, Agnethe, is rife with complexities and ethical dilemmas within the context of their refugee family.

At the beginning, Boniface shows his filial piety. In his eyes, Agnethe is "egal, greying, her diamond earrings dance, her nose is slight raised" (Owuor 2019: 81), which portrays her as a woman of high social standing, with a sense of elegance, a bit of pride, and a past that has been marked by luxury and a certain social status. "Agnethe-mama was used to things falling into place before her feet touched the ground" (Ibid 82), which, through an exaggerated expression, vividly presents the extreme smoothness of Agnethe's past life—Literally, it seems that all things had been automatically arranged properly even before her feet had truly taken action (touched the ground), and which profoundly implies her past living state: She was in a relatively high social class, possessing abundant resources and powerful connections; whether dealing with daily affairs or handling major events, she did not need to do things by herself or worry too much, with everything developing in the direction she expected. So, when Agnethe expresses fatigue and a desire for comfortable accommodation, Boniface quickly arranges for the family to stay at the Nairobi Hilton. Besides, her aristocratic background initially leads her to be critical of Kenyan culture, as demonstrated by her dissatisfaction with local jewelry.

“Their language and manner are not as sweet and gentle as ours.”

She straightens her robes, eyes wide with the innocence of an unsubtle put down.

“Mama!” I scold. The women giggle as do females who have received affirmation of their particular and unassailable advantage over other women. (Owuor 2019: 78)

This passage serves to characterize the experience of Agnethe as an expatriate, who instead of trying to understand and adapt to the local culture, is quick to judge and distance herself. For Agnethe’s such reaction, Boniface, who does not realize as well that they are actually in a state of exile, senses that his mother’s speech is not appropriate enough to maintain harmony and stability in the new environment, so he shows his disapproval by saying “Mama!” in a seemingly scolding tone, which causes his female dependents to giggle in the same way as women who have been assured of their unique and unbeatable edge over other females. This, in some sense, shows that at this time, family members can still communicate frankly with each other without hiding anything.

However, as the harsh reality soon sets in, Boniface is under immense pressure. He tries to balance the expectations of his mother, who had long been accustomed to the effortless and all-going-well life pattern, with the financial hardships they face. He once attempts to communicate their economic situation to her but to no avail, caught between respecting her feelings and the cold truth of their circumstances. This places him in an acute ethical dilemma, where his filial heart clashes with his inability to change their situation due to the inappropriate behaviors he has encountered outside the home, unbeknownst to his family.

Agnethe’s actions and mindset, shaped by her past and the current crisis, create a significant ethical challenge for Boniface as she burdens him with unfulfillable expectations. Her arrogant mindset blinds her and the family to their emerging refugee reality. Her initial escape plan, which relies on wealthy friends abroad, collapses when rumors surface that they are involved in the home country’s genocide. In her desperation, she places a heavy burden on Boniface, incessantly pressuring him with the question “when are we leaving?” Her unyielding hope becomes a source of great stress for him, highlighting the ethical conundrum between her expectations and his capabilities.

However, Boniface’s traditional role as the family’s main decision-maker is challenged for the first time when the “three-month visitor’s pass” expires. It is Agnethe who becomes more worldly-wise and gives Boniface sensible advice to register as refugees, instead of hugging the vain hope of seeking employment in Nairobi<sup>[1]</sup>.

Then the situation takes a dramatic turn when Boniface’s fiancée decides to prostitute herself for migration papers and tickets. At this tense moment, Agnethe suggests selling her wedding ring. This act reverses the traditional family roles between Boniface and his mother. This shows that despite Boniface being the male expected to shoulder family responsibilities, the harsh reality of their situation has forced his mother to step in and make difficult decisions, highlighting the breakdown of normal family hierarchies under the weight of collective and institutional depravity. In a more stable environment, Boniface would likely be the one making such crucial financial decisions. However, the desperate circumstances, including the unethical demands from

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[1] Boniface’s naïvely believes in the efficacy of his academic qualifications such as a “PhD in Diplomacy or a Masters in Geophysics.” His dream is quickly shattered by the officer’s ridicule: “*Ati PhD. PhD gani? Wewe refugee, bwana!*” (PhD? What PhD? You are a refugee, man) (Owuor 2019: 92; 93).





institutions like the need for his fiancée to resort to prostitution for migration opportunities, have upended their family dynamic. Agnethe's offer to sell her wedding ring is a sign of her willingness to do whatever it takes to help the family, even if it means assuming a role that is typically the male's in traditional family structures. This also reveals the extent to which Boniface has been overwhelmed by the disappointment from his family.

However, for the most part, Boniface fails to recognize the ethical struggles his mother has been through. He is so consumed by his own predicaments, such as his attempts to meet her expectations and deal with their financial issues, that he overlooks the sacrifices and changes Agnethe has undergone. His relationship with his mother is thus a complex web of unmet expectations, role reversals, and unrecognized struggles, all set against the backdrop of their life as refugees.

### 3.2 *Boniface's destroyed sibling affection*

The relationship between Boniface and Chi-Chi serves as a poignant example of how institutional and collective depravity can contaminate personal ethics and narrow one's scope of ethical empathy.

Since childhood, Boniface and Chi-Chi have shared a deep emotional bond. Chi-Chi's affectionate address of "Bu-Bu" and her instinctive touch on his waistband obviously when she feels nervous are manifestations of their closeness. In their exile, Boniface's repeated warnings to Chi-Chi about not casually leaving the room are a clear sign of his moral obligation to protect her. This is an inherent part of their sibling relationship, highlighting values of loyalty and protection. However, the harsh realities of their exile, influenced by institutional and collective failings, begin to erode this relationship.

The institutional depravity becomes glaring when Boniface's family, after registering as refugees at the UNHCR, learned of an opportunity to relocate to Canada. The ultimatum issued by the relevant office for Chi-Chi and his fiancée to be "examined by the officials at their homes for a night" (Owuor 2019: 103), a thinly veiled euphemism for sexual exploitation, is a gross violation of their dignity and rights. The UNHCR officials, in a morally bankrupt act, take advantage of the family's eagerness to be resettled as refugees in Canada and carried out sexual extortion. This institutional corruption places Chi-Chi in an impossible ethical dilemma: Chi-Chi, an introverted 20-year-old with an innate ability to sense emotions, was already vulnerable in the chaotic Nairobi environment, lamenting "So many faces...So many spirits" (Ibid 85). The unethical demands from the UNHCR officials further pushes her to the brink. When Lune mentions a "certain... co-operation," "a condition from the medical examination" (Ibid 103), Chi-Chi "clutches her body, staving off in her way something she is afraid of" (Ibid) which demonstrates her fierce desire to protect her bodily autonomy. Despite this, she ultimately consents to prostitution to secure a better future for her family, sacrificing her dignity.

When Boniface sees Chi-Chi coming home with *laissez-passers* for Canadian migration, which are obtained by prostitute herself, his ethical empathy, which was once centered on protecting her, is clouded. In a fit of rage, he deals her a hard blow that later takes her life. This act, which goes against his role as a protector, is a result of the contamination of his personal ethics by the insidious and abhorrent institutional depravity. The system that should have safeguarded the vulnerable instead creates a situation where the most heinous forms of exploitation are allowed to thrive. It forced his loved ones into such desperate and demeaning situations, pushing him to the brink of losing his moral compass and causing irreparable harm. The institutional depravity not only destroys the lives of those directly involved but also warps the relationships and values that once held this family

together, highlighting the truly despicable nature of a system that fails so catastrophically in its most fundamental duties.

Even after Chi-Chi's death, Boniface's feelings for her remain, as evidenced by his long vigil at the cemetery. However, the damage has been done. The relationship, once a model of love and loyalty, is now marred by moral failure. The extreme circumstances, brought about by institutional and collective depravity, has not only shattered the ethical framework of their sibling relationship but also exposes the vulnerability of personal ethics in the face of such overwhelming corruption. Boniface's initial protective instincts are overshadowed by the tragic events, and Chi-Chi's struggles with bodily autonomy and the unethical demands placed upon her becomes a symbol of the broader ethical failures in the society they find themselves in.

### 3.3 *Boniface's tainted marital kinship*

The institutional depravity contaminates personal ethics and restricts the scope of ethical empathy, which is most evidently manifested in the dwindling intimacy between Boniface and Lune. The degree to which he once loved her equals the degree to which he later loathes her.

Boniface was originally a person with a high level of empathic sensitivity, especially demonstrated in his first meeting with his fiancée. When Boniface met Lune, she was in the midst of great grief over the deaths of her parents, who had died in a car accident. Boniface could keenly sense Lune's confusion and pain at that time. "She seemed to be hovering above her parents' grave, deciding whether to join them, fly away or stay." (Owuor 2019: 81) Boniface understood that she was at a crossroads in her life, filled with inner struggles. This profound insight into Lune's situation reflects Boniface's high sensitivity to others' emotions. Boniface's invitation to Lune to leave the ballet troupe where she was studying in France and stay with him forever further demonstrates his empathy. He not only saw Lune's predicament but also, through practical actions, tried to give her a new direction in life, helping her to break free from the current pain and confusion. He hoped to use his company to help Lune emerge from the shadow of losing her parents and find the meaning of life again. This invitation is a concrete manifestation of his putting himself in Lune's shoes and considering her future, showing his deep care and sympathy for Lune.

As in the cases of Agnethe and Chi-Chi, Boniface is at first regarded by Lune as her anchor. When she asks Boniface "*Chéri, que faisons-nous maintenant ?*" (What do we do now?) and "*Où vas-tu, chéri ?*" (Where are you going?)(Ibid 81, 88), Boniface is the person she thinks she can rely on, expecting him to navigate life's difficulties and offer guidance. In the early days, her affectionate bond with Boniface is palpable:

Lune is watching me, her long neck propped up by her hands. Her hair covers half her face. It is always a temptation to sweep it away from her eyes, a warm silk. When the tips of my fingers stroke her hair, the palms of my hand skim her face. Lune becomes still, drinking, feeling and tasting the stroking. (Ibid 83)

This passage depicts an intimate moment between Boniface and Lune, revealing their relationship and emotional states. Boniface's impulse to sweep Lune's hair from her eyes and his tender touch imply a deep physical connection. Lune's stillness as she savors the contact shows mutual enjoyment. Boniface's detailed observations of Lune, like her hair covering half her face, reflect his emotional connection. Lune's response, described as



“drinking, feeling and tasting” the touch, indicates a strong emotional bond and their mutual emotional closeness.

However, as exile hardships mount, such intimacy is eroding, in particular when Lune’s actions take a morally ambiguous turn. Faced with Boniface’s ineffectuality, she seems to have made a secret decision to acquiesce to the UNHCR officials’ sexual extortion, as indicated in her behavior as soon as she comes out of the UNHCR together with Chi-Chi, who has been similarly threatened. While Chi-Chi, faced with the same request from the officials, displays her dependence on her brother by performing her childlike habit of hooking her hand into his waistband, Lune “glides ahead of us all, her stride is high, the balance of her body undisturbed” (Owuor 2019: 102). In the patriarchal context of the text, when one’s sister and fiancée resort to prostitution to rescue the family, then, the male head of the family is, in every practical and symbolic sense, dead, for their sacrifice represents the failure and/or incapacity of the man to safeguard and provide for his kin. But Lune’s behavior, which stands in contrast with Chi-Chi’s, implies something more than just shadowy morality and the sense of guilt. Lune gliding ahead of the others (instead of following others, in particular Boniface) with an undisturbed stride and body balance gives an impression of determination in taking the place of Boniface as the head of the family and a certain detachment. It could imply that she has made a decision and is resolutely moving forward with it, regardless of how others might perceive it or the moral implications it may have.

Considering the hardships, Lune’s actions here are open to interpretation in terms of morality. Her secret decision can be interpreted as something that she believes is necessary given the dire circumstances. But it could also be seen as crossing ethical boundaries, as done by Boniface. In this dilemma, Lune has resolved to take matters into her own hands and embarks on a course of action that involves further interaction with the UNHCR officers or something else that could be morally dubious in an attempt to navigate the complex and harrowing situation.

This ethical choice of hers is a difficult one to make for anyone. Despite her instant resolution, Lune still struggles for quite a long time. During that period, she buys a large mirror, in front of which she, practicing her familiar ballerina steps, attempts to distance herself from her own violation while in memory of her wonderful years. Not until the mirror is broken by Boniface does she eventually resort to prostitution, albeit with a self-justifying mindset, as described in the following passage:

“Chéri, we can leave soon, but it depends on a certain...co-operation.”

“Co-operation?”

“A condition from the medical examination.”

Agnethe looks away. Chi-Chi clutches her body, staving off in her way something she is afraid of.

“How do we co-operate?” I am afraid to know.

“By agreeing to be examined”, she laughs, high, dry, cough-laugh, “... examined by the officials at their homes for a night.”

“I see.” I don’t. Silence. Agnethe is rocking herself to and fro. She is moaning a song. I know the tune. It is from the song new widows sing when the body of their dead spouse is laid on a bier. (Ibid 103)

His mother’s song alludes to the symbolic, if not literal, disintegration or death of the family. Meanwhile

Lune attempts to mitigate her guilt by dropping hints to Boniface, interpreting his nonchalant “I see” as tacit consent. Her deluded sense of permission allows her to continue, even performing a mock ballet as if resigning herself to this new, sordid “stage” life has thrust upon her. This choice not only fractures her relationship with Boniface but also chips away at her own dignity.

Lune, like Chi-Chi, eventually resorts to prostitution to obtain immigration documents after announcing her intention to him. Boniface, still thinking that this crosses a moral line, responds by biting her on the cheek. His reaction lays bare his internal turmoil of love, pain, and indignation. But more importantly, it bespeaks his incapability of sloughing off his ethical standards that are no longer functional. Lune, on the other hand, is already determined to move toward a new ethical (or ethic-less) horizon that would enable her to survive the present hardship.

In the wake of the tragedy, the characterization of Lune and Boniface further evolves. After the deaths of Chi-Chi and Agnethe, Lune seeks forgiveness from Boniface (“Forgive me” [Owuor 2019: 112]), but the answer she receives from him is a slap “harder than necessary on the cheek upon which another man’s cologne had strayed and stayed” (Ibid). In return, Lune “smirks” and says, “I’m leaving. I am living” (Ibid). Her response hints at a newfound detachment. Her sole focus becomes escaping Kenya for Canada, even if it means leaving Boniface behind. The letters that she sends to Boniface from Canada after emigration and which reads “Chéri, please, let me know the date of your arrival” (Ibid 113) or “when is your flight arriving?” (Ibid 114) reveal a lingering hope for connection on the part of Lune, but also a sense of isolation engendered by Boniface’s delaying taking action. Her choices seem to lead to the loss of what once mattered most, painting her as a tragic figure torn between self-preservation and loyalty.

Boniface and Lune’s story forces us to grapple with complex ethical questions. Is her prostitution a desperate act of survival or a betrayal of family and love? This question is reminiscent of a scene in the 2006 film *The Lives of Others* [German: *Das Leben der Anderen*]: Georg Dreyman is a writer living in poverty, pain and humiliation. To protect herself and him, his actress girlfriend is forced to have sex by the Minister of Culture. When Dreyman begs her not to sleep with the powerful man, she says: “I’m not going to sleep with a person. I’m being raped by the whole system. Are you very principled? What’s the difference between you writing those flattering scripts and me sleeping with them?” This also applies to Owuor’s story: what’s the difference between men’s emasculation in front of social pressure beyond their control and women sleeping with so-called authority? Such a comparison deepens the moral quandary. Just as Dreyman’s girlfriend feels violated by the system, Lune might view her actions as a sacrifice to a cruel societal structure. At the same time, in my opinion, Lune grows to be a strong-willed survivor, or, in the words of Susannah Radstone, “a subject on his or her way, a subject ‘becoming’, a subject characterized, indeed, by this forward movement towards becoming someone identical with yet markedly different from his or her former self” (Radstone 2006: 171).

Boniface’s once-protective and loving stance towards Lune is marred by his inability to understand her actions, while Lune’s ethical boundaries are blurred as she tries to navigate a system that has failed them. Their relationship, once based on trust and affection, is now a complex web of survival-driven decisions, moral quandaries, and the struggle to maintain one’s dignity in the face of overwhelming corruption. Just as in the example from “The Lives of Others”, Lune views her actions as a sacrifice to a cruel societal structure, while Boniface’s inability to empathize with her situation showcases the narrowing of his ethical empathy under the



influence of the institutional and collective depravity.

#### 4. Ripple Effect of Collective and Institutional Depravity on Personal Relationships

In “Weight of Whispers,” the narrative unfolds a tragic and multi-layered tale of Boniface’s life as a refugee, peeling back the curtain on a complex web of moral, social, and institutional breakdowns. Boniface, who once inhabited the realm of an aristocratic identity, is abruptly and forcefully thrust into an entirely new world. In this foreign and unforgiving environment, his moral conduct is completely redefined by his refugee status. This seismic transition does not merely deconstruct his noble past but also positions him in a precarious situation where fulfilling his moral obligations as a son, brother, and fiancé morphs into an almost insurmountable task.

The root cause of Boniface’s inability to provide support to his family is deeply embedded in the systemic violence and neglect that are systematically perpetuated by Kenyan institutions. These institutions, through their wanton and arbitrary power-wielding, reveal a blatant and disturbing callousness towards ethical dilemmas. The immigration officers’s unabashed extortion, where they use their position of power to squeeze out money from vulnerable refugees like Boniface, and the sexual exploitation carried out by UNHCR officials are not just isolated and random acts. Instead, they are prime and harrowing examples of a much larger, underlying institutional depravity. This depravity is a manifestation of a deep-seated systemic rot that has permeated these institutions. It violates the most fundamental moral and justice principles, effectively creating an environment where the vulnerable, such as Boniface’s family, are left completely at the mercy of an unjust and unforgiving system. The exploitation and abuse they endure distort the very essence of what a just society should be, where every individual, regardless of their background or circumstances, should be treated with dignity and fairness.

Adding fuel to this moral and justice crisis is the public’s apathy towards the Kuseremane family’s plight. In a society where people have become so accustomed to turning a blind eye to the suffering of others, the lack of empathy at both the institutional and collective levels slowly but surely erodes the moral fabric that holds society together. This phenomenon is vividly and poignantly illustrated when Boniface runs along the road to a hospital, his mother in his arms. The evening traffic continues its ceaseless flow, and passers-by, without so much as a glance or a moment of concern, go about their business. The statements, “I carry my mother and run along the road. The evening traffic courses past. Nairobi accommodates. Room for idiosyncrasies. So to those pass by, it is not strange that a tall, tall man should carry a slender woman in his arms.” (Owuor 2019: 106) and “On the streets, as before, no one found it strange, the idea of a tall, tall man carrying a slender woman in his arms. A pattern had been established, a specific madness accommodated.” (Ibid 111) serve as powerful reminders of the normalization of indifference. People in this society have become so desensitized to the unusual and the distressing that they no longer feel any inclination to intervene or even offer the most basic form of human compassion.

Scheler’s “Prinzip der Solidarität aller sittlichen Wesen” (Principle of the Solidarity of All Moral Beings) puts forward the noble idea that each person is morally responsible for all others (Scheler 1973: 166). In theory, this principle promotes a sense of unity and collective well-being, a vision of a society where everyone looks out for one another. However, in the harsh and unforgiving realities of Boniface’s Kenyan society, this appears to be a rather idealistic concept. Even in a world where institutions are corrupt and the public is indifferent, most

people would like to think that a just society should not be hostile or indifferent to the plight of others. Yet, the actions of both the institutions and the public in “Weight of Whispers” tell a very different and disheartening story.

Boniface, who began his journey with a strong ethical foundation, undergoes a profound and significant transformation as he endures the relentless institutional abuse. In a society that offers him little support, he becomes increasingly self-focused as a survival mechanism. His failure to compare his own maltreatment with the experiences of Lune and Chi-Chi at the hands of UNHCR officials is a telling sign of his growing self-absorption. His once-steady moral compass now wavers, leading him to take desperate and uncharacteristic measures such as using a false identity when threatened by the immigration officer. The collective and institutional depravity gradually eats away at his willpower, causing his empathy for his family, which was once so strong, to wane. The once-tight-knit family bonds start to fray, and his attitude towards his mother, in particular, becomes one of growing indifference.

The collective and institutional depravity gives birth to an unsympathetic society. In this society, people, in their constant struggle for survival, become self-centered, as exemplified by the case of the Indian shopkeeper. In such an environment, the ability to empathize with others, even family members, diminishes. Boniface’s beating of his sister and his fiancée, mirroring the violence he endured from the police, is a tragic and heart-rending consequence of the lack of empathy. The story of Boniface and his family serves as a powerful and cautionary tale, highlighting how the contamination of personal ethics by collective and institutional depravity can lead to a society where the bonds of family and community are severely tested. It forces us to confront the harsh and unvarnished realities of a world where moral values are often sacrificed at the altar of power, self-interest, and indifference. This narrative is not just about Boniface’s personal journey but also serves as a mirror reflecting the larger societal ills that need to be addressed and rectified.

## 5. Conclusion

“Weight of Whispers” delves into the complex ethical dilemmas refugees face in a Kenyan society plagued by institutional corruption and moral decline. Through Boniface and his family’s story, the narrative vividly depicts the profound impact on their lives and moral compasses.

On a personal front, Boniface struggles with guilt over his inability to protect his family. His relationships with his mother, sister, and fiancée are strained due to tough choices and tragic events. The women in the family also confront their own ethical battles, such as Agnethe’s fight for dignity in exile, Chi-Chi’s sacrifice, and Lune’s morally ambiguous survival decisions.

In the broader context, the story reveals the unethical behavior of institutions. European and American embassies’ indifference, the immigration officer’s discrimination, the Kenyan police’s dehumanizing actions, and the UNHCR’s sexual exploitation all contribute to the refugees’ suffering. The interplay between individual and institutional ethical misconducts forms a central theme, creating a vicious cycle.

Owuor uses this narrative to evoke “an unsettlement [...] that manifests empathy (but not full identification) with the victim” (LaCapra 1997: 267), as described by Dominik LaCapra. Set against the Rwandan genocide, the story re-evaluates Kenya. It serves as a critique of societal structures, calling for a re-examination of ethics





and a more just world. As Nanjala Nyabola noted, “Yvonne Adhiambo Owuor has established herself as the sharpest and most lyrical chronicler of the national condition.” (Nyabola 2020) This can be even evidenced by her “Weight of Whispers”, though often considered as a Rwandan genocide narrative.

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# Water and Imperialism: The Oppressing and Silencing Power of Water in Joseph Conrad's Novellas

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**Abstract:** Joseph Conrad, one of the greatest English novelists of his time and a former sailor, has produced numerous novels and novellas regarding sailors and their voyages. These cannot be separated by the element of the sea or river, as it is the vehicle that carries the ships. Ultimately, the depiction of the sea and river can be seen as a kind of embodiment of water. While the heroism and the colonialist ideas of these novels have been addressed countless times in the journal articles and academic book chapters, the element of water is almost never mentioned and even ignored. This aligns with the visibility of the people of color, who are either unseen or othered by the white sailors. This paper aims to fill in that gap by using Conrad's *Heart of Darkness*, *The Niggers of the 'Narcissus,'* and *Typhoon* to historicize and analyze the "political unconscious" manifested in the form of water to show the hostility and indifference colonialists at the time have of the colored people. Water such as ocean, river, or even typhoons and mist; the heterotopia it generates can be deemed as vehicles that are used to either generate Western-centric labor values or the unifying power for the white sailors that ignores the colored sailor/laborers and a silencing power for natives.

**Keywords:** Joseph Conrad; Water; Ocean; River; Colonialism; Heterotopia; Labor; Eco-fiction

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## 1. Introduction

My task which I am trying to achieve is, by the power of the written word, to make you hear, to make you feel — it is, before all, to make you see. That — and no more, and it is everything. If I succeed, you



shall find there according to your deserts: encouragement, consolation, fear, charm — all you demand; and, perhaps, also that glimpse of truth for which you have forgotten to ask. (Conrad, 1991: 5)

In this quote, Conrad claims a kind of universality for his works, which he believes, bring a kind of “truth” to the sailors’ lives on the ocean to his audience. However, this claim is problematic because Conrad is biased. He depicts maritime life from a Western standpoint due to his background as a French and British merchant marine. In a sense, what he can make his readers “see” is not the universal “truth” but one that is in line with western values. This kind of false universalism is also acknowledged by Edward Said and Fredric Jameson, who looked at Conrad’s novels from a historical stance. According to Said, Conrad is “the precursor of the Western views of the Third World,” who can only “see a world totally dominated by the Atlantic West, in which every opposition to the West only confirms the West’s wicked power” (Said, 1993: xvii – xviii). Although he is aware of the detrimental effect imperialism brings to its subjects, he is unable to diverge from it and thus is only able to further the imperialist narrative. This narrative is also echoed in Jameson’s depiction of Conrad as he sees “Literature as a socially symbolic act” (Jameson, 2015: 17). He believes that the topics and language of cultural texts are influenced by a kind of ideological or political “unconscious” of a given period and this “political unconsciousness” is manifested in literary symbols, which he calls a symbolic act (Jameson, 2015: 76). Through his implicit bias, the words Conrad uses to describe voyages and explorations are inherently biased by his limited, white point of view on the world and this limitation is embodied in water.

One part of Conrad’s imperialistic “political unconscious” resides in his depiction of the ocean. As a former seaman who has ample experience in sea voyages around the globe, Joseph Conrad’s works are often filled with images of water and the depiction of the ocean. In his novellas such as *Heart of Darkness* (1899), *The Niggers of the ‘Narcissus’* (1897), and *Typhoon* (1902), Large volumes have been spent describing environments related to water, such as ocean and rivers, or the life of sailors and coastal residents, all of which possess imperialist values behind the naturalistic depictions. Yet almost all of the maritime studies on Conrad’s works are either limited in analyzing the sea or just romantically criticizing the effects that Conradian texts have produced. They often generate an idealized image of the sailors and their actions while treating the ocean merely as a symbol that possesses immense transformative power on the sailors (Liang, 2021: 30–31). The only exception is Chang-ping Huang’s paper, which mentions the importance of water, but she still merely describes water as “suffocating” and “filled with danger” (Huang, 2013: 33). From these scholars’ perspectives, the ocean is a part of nature, an existence antagonistic to human beings, a platform that allows the sailors to manifest their heroism through rebellion and perseverance. In the literary sense, this narrative is effective as it draws an emphasis on the struggles of the sailor in a romanticized way. This angle of analysis is, to a certain degree, problematic as it fails to ground these voyages under historical contexts. As the majority of Conrad’s novels are composed at the end of the 1800s and early 1900s, a time when western colonialism was still at its height, they also reflect heavily on the imperialistic ventures of the western powers at sea. The sea at the time, while majestic and full of natural power, was also used as a means to facilitate transportation, trade, and even war. Thus, it is not sensible to look at sailors as mere fictional romantic characters in a way that isolates them from historical reality as they too are consciously or unconsciously playing a role within the historical framework.

Moreover, the effect of the ocean on colored bodies is almost never mentioned in these studies. Just like

Conrad, who rarely gives a voice to his characters of color, scholars also tend to forget that the agency European sailors have does not necessarily transfer to their counterparts of color, as the African and Chinese laborers in these novels are always regarded as barbaric, lazy or illogical (Said, 1993: xi). Although just like what Yizhong Ning and Xiujuan Lan mentioned, “*Heart of Darkness* is set against the background of European colonial expansion in Africa and involves politics. It ... expose[s] readers to varying degrees of ethical concerns and influence, such as doubting the ideas Western civilization ... or they would label the work as ‘racist’ and ‘sexist’” (Ning & Lan, 2022: 150), the aim of this essay is not to determine whether Conrad is a racist or not. I want to further Frederic Jameson’s call to historicize literary works by comparing and contrasting the aesthetic and literal representations of the ocean with the historical or the physical depictions of it. The paper not only discusses how water constructs a naturalized narrative of imperialist discourse in Conrad’s novels but also deeply analyzes how this narrative strengthens the exclusion and suppression mechanism of non-white groups through symbolism and spatial construction. Water is not only a collective term for specific phenomena such as seas, rivers, storms, and fog, but it is also a carrier of culture and ideology. Here, I aim to use *Heart of Darkness*, *The Niggers of the ‘Narcissus,’* and *Typhoon* to analyze the “political unconscious” manifested in the form of water: how can ‘water’ in Conrad’s novels can be historicized to show people’s hostility and apathy against colored bodies at that period of time. Water manifested in the form of an ocean or river can generate a space or a heterotopia of work based on Western-centric labor values. Any form of rebellion or labor of the sailors of color is either condemned or unacknowledged. Under this framework, other bodies of water, such as storms and fog, can function both as a unifying power for the sailors and a silencing power for natives.

## 2. The Falsehood of Reading Water as Progression and Unification

Water in Conrad in novellas for the colonist seamen and the natives means very different things as the previous regard it as a place full of treasures, and the latter suffer colonialization and human trafficking. Before delving into how waters are manifested as either the creator of the heterotopia of labor or the ultimate silencing power of the colored body in these three novels, it is first important to look at their historical backgrounds. According to Richard Curie, Conrad’s bosom friend during his life and a supporter of his works after his death, most of Conrad’s stories are derived from his own experience. In an unpublished pamphlet defending Conrad’s writing, he claims, “... it must never be forgotten that Conrad’s main idea was invariably to present an accurate, if poeticized, slice of life as he had experienced it” (Curle, 2008: 133). This is echoed in Conrad’s own words in the Preface of *The Niggers of the ‘Narcissus,’* in which Conrad defined art, or at least his own art (including fiction), as “a single-minded attempt to render the highest kind of justice to the universe, by bringing light the truth, manifold and one, underlying its every aspect.” (Conrad, 1991: 3 ) This means that most of Conrad’s fiction that features the maritime career is or at least strives to be a realistic depiction of his own lived experiences as a sailor from 1878 to 1893, a period of imperial expansion and globalization performed by the European powers.

One of the best examples of the brutality of imperialism can be found in Conrad’s *Heart of Darkness*. When Conrad arrived in Congo or The Congo Free State in 1890, its land was under the rulership of Leopold II of Belgium, who was notorious for his greed and cruelty. In a report conducted by Roger Casement, a humanitarian



activist who worked as a diplomat in the British Foreign Office, and published in 1904, it was found that “the European influence has been extremely detrimental on the indigenous people” (Murfin, 2011: 114). According to Casement, the trading system of the Congo people is severely disrupted by the Congo administration. Its population, men, women, and children alike, were “‘summoned on the instance’ to perform services... under threats of imprisonments and beating” (Murfin, 2011: 114) while also constantly facing the chance of mutilation as the King required soldiers “to send hands of their victims to the Congo administration as ‘proof of death’” (Murfin, 2011: 116). All of these brutalities are done in the name of progression. In a 1906 letter to *The Times* of London, Leopold II justified all the atrocities under his regime by attributing laziness to the natives:

“General Wahis (the Commander of the Army Division of Brussels) is of the opinion that the Congo natives are not longing for a change of rulers. We have brought them into contact with civilization; we are beginning to educate them, we have preserved them from the abuse of alcohol, we have vaccinated them, we are making them superhuman efforts to overcome the sleeping sickness, and we are creating numerous and rapid ways of communication... .”(Murfin, 2011: 110)

Such calls for “civilization” or the “education” of the native’s lives in the name of progression can also be seen in Conrad’s depiction of water in *Heart of Darkness*. This can be found in the people’s exploration of waterways for the purpose of conquest and expansion. From the very beginning of the novel, the protagonist Marlow appears on a cruise ship on the sea-reach of the Thames. The river is praised for its extensiveness as it has the capability of “spread[ing] out in the tranquil dignity of a waterway leading to the uttermost end of the world” and “[bearing] all the ships whose names are jewels flashing in the night of the time, from the Golden Hind returning with her round flanks full of treasures” (Conrad, 2011: 18–19). Like the other seamen, Marlow has an almost obsessive yearning for the sea. He believes that the essence of the sea is its mystery and that it is the sailor’s “Destiny” to explore it (Conrad, 2011: 19). The spirit of exploring the unknown makes him want to set foot in all parts of the world, and the only thing that could satisfy him was the waterway because international travel at that time was carried out through ships. This kind of fascination with water is also manifested in Marlow’s choice of destination as he states that the reason why he chose Congo is because of its “mighty big river, that you could see on the map, resembling an immense snake coiled.” He sees the possibility for him to explore the place in a steamboat and is not able to “shake off” his fascination for the river (Conrad, 2011: 22). This kind of obsession with water, or more specifically with rivers, has a deep connotation of imperialism and colonialism as the ideas of exploration are based on the idea of global domination. This is also clear in the previous description of the Thames, which despite its beauty, is valued for its ability to connect Britain to the rest of the world. Sailors “followed the sea” because they are able to bring treasures back home. These treasures, of course, are the result of the pillaging and exploitation of both natural and human resources abroad (as demonstrated in the case of King Leopold II of Belgium). It is via water that these sailors explore and conquer the world; it is their passageway to new frontiers that holds the endless possibility of the unknown and riches. Although Marlow does not directly express a need to exploit the resources in Congo, his desire for exploration ultimately stems from the imperialist need to conquer the so-called wild and untamed. He is deeply influenced by the narrative of colonialism, and that explains his fascination with the map throughout his life.



Although large paragraphs solely dedicated to the description of water are no longer present when Marlow arrives in Congo, it is impossible for the readers to ignore its presence as the primary means of travel in Congo is also done by water vessels. A good example can be seen in the ivory trade as it is carried out by “a fleet of canoes” (Conrad, 2011: 47). Moreover, Marlow’s journey is primarily set out on the steamboat. Thus, in a sense, the water here symbolizes a kind of mobility as, without it, the transportation of both man and ivory would be impossible. On the other hand, the land symbolizes stagnation as nothing is accomplished there. When the steamboat breaks down, it delays Marlow’s adventure by three months. This is best summarized in Marlow’s comment that on the stream the “current ran smooth and swift, but a dumb immobility sat on the banks. The living trees, lashed together by the creepers and every living bush of the undergrowth, might have been changed into stone, even to the slenderest twig, to the lightest leaf” (Conrad, 2011: 54). The land and forest here embody a kind of stillness, decay, and madness, and in contrast the water suggests progression. However, this kind of progression is exclusive to the colonizers, and as to the natives, it has only brought about the sailors who have to offer nothing but suffering, starvation, and enslavement. Like what Said comments on the Marlow’s journey up the river, it is “Europeans performing acts of imperial mastery and will in (or about) Africa” (Said, 1993: 23).

Alongside the problematic view that treat water as a symbol of progression, its unifying power should also be called into question. In Conrad’s depictions, the sea is a space that possesses immense destructive power under whose pressure sailors are able to come together (Liang, 2021: 30–31). However, as mentioned above, this kind of union is definitely not extended to people of color. In *The Niggers of the “Narcissus”*, it is obvious that the African sailor James is never a part of the ship. Due to his pretended sickness, vocalization of his pain, and complaints, James is dreaded by all other members of the ship. He is often regarded as the outsider, the devil who tempts his crewmates to do his bidding through his cunning, and the person who brings silence to a gathering. When he entered the room where conversations were held, “the circle broke up. The joy of laughter died on stiffened lips ...Not a word was spoken” (Conrad, 1991: 29). Thus, James is the one who infringes on the unity of the sailors rather than a part of it. This fragmentation among the crew is eventually solved when he dies and is thrown off-board and engulfed by the merciless water.

A similar type of alienation is further observed in *Typhoon*, in which there is a clear distinction between the Chinese Coolies and the European sailors, as the latter are each given a detailed individual description while the former are summarized as a type. Throughout the story, the coolies are not given names and are never given a voice before any decisions. When being asked whether they should evade the storms so as to make the Chinese coolies below the decks more comfortable, captain MacWhirr refuses because does not want to waste coal and time despite having “no experience of cataclysms” (Conrad, 1991: 145). During the typhoon he proclaims, “About as queer as your extraordinary notions of dodging the ship head to sea, for I don’t know how long, to make the Chinamen comfortable; whereas all we’ve got to do is to take them to Fu-Chau, being timed to get there before noon on Friday” (Conrad, 1991: 155). This is not surprising as Chinese at the time are stereotypically seen as the “yellow peril,” rather than the later “model minority” making them more of a burden than a common human being (Yu, 2024: 47). Despite their presence as workers, Chinese coolies are still been described as goods needed to be transported. Although the sailors do not actively torture them, the Chinese are just as alienated as the Africans in *Heart of Darkness*.



### 3. Ships as a Heterotopia for Labor and the Alienation of the Colored Bodies

The alienating and commodifying power water has on the colored bodies can be further observed in its capacity for space-creation as it separates the ship from land, generating a place where we can observe labor in its purest form. This is best explored in Fredric Jameson's analysis of Conrad's writing as, according to him, "For the sea is the empty space between the concrete places of work and life; but it is also, just as surely, itself a place of work and the very element by which an imperial capitalism draws its scattered beachheads and outposts together, through which it slowly realizes its sometimes violent, sometimes silent and corrosive, penetration of the outlying precapitalist zones of the globe" (Jameson, 2015: 213). This definition of the sea is especially accurate for Conrad's works, as its main characters are almost all sailors who are working in maritime trades. What the readers observe are the working bodies in action. However, Jameson's point also has its limitations, as after claiming the importance of the sea in Conrad's work, he does not draw further analysis on the topic as his approach to Conrad is more philosophical and abstract and thus not grounded on the ocean along. As I have mentioned above, I believe that the place of work in Conrad's book is not only the sea but also a combination of both the sea/river and the ship. The sea is the element that separates the ship from the land and all its ascribed rules on the people and thus makes it a kind of space in isolation. Although the existence of the ship does not depend on the sea/river (water); the space within does. If the ship is on land, it still exists, but the space inside is "dead" and not activated.

Thus, the ship only comes "alive" when it is sailing on the water, separating the sailors from the land. In this sense, the definition of the ship, while it is in relation with water, is extremely close to what Michel Foucault terms "heterotopia," or more specifically "heterotopias of deviation," (I will refer to it as heterotopia throughout the text) a place where "individuals whose behavior is deviant in relation to the required mean or norm are placed" (Foucault, 1986: 25). In essence it is a place that is connected to and mirrors the hegemony but operates on a different set of rules. (My classification of "ship" in Conrad's works as a heterotopia is not the same as Foucault's categorization of the "boat," as my focus is not on its fluidity and connectedness from place to place but rather how its inhabitants, the sailors, is different from the rest of the capitalist society because they are separated to the society by water). The Conradian ship is a heterotopia in that the only transferable credit onboard is not money but rather one's capacity to work. Sailors are not valued for their wealth, looks, or even eloquence because they are irrelevant in the face of natural disasters.

However, it is also worth noting that the emphasis placed on labor does not immediately make the ships a heterotopia, as this quality is also observed in any capitalistic space. One of the key principles of Marxist theory is that the value of commodities is dependent on human labor as it is an integral part of its production process. By working (or selling labor) in a factory and producing goods or transporting those goods to the marketplace, laborers exchange their labor for money and are valued according to the amount of money they accumulate. However, this kind of process is temporarily disabled on the Conradian ship as its currency system is different from that of the capitalist society outside the heterotopia because it does not rely on the monetary system due to the water, which renders it useless. In a capitalist society, what determines people's success is their material wealth, regardless of how it is ascertained. Yet this rule does not apply to ships as the sailors are solely judged by

their labor output. This is best seen in the fact that payment of sailors is generally received after the ship arrives at its destination (Conrad, 1991: 124, 197), and they never use the money to trade with each other on board and do not even care about money in the face of crisis (Conrad, 1991: 184). On the ship, all they get in return is the praise of other sailors. Yet it is exactly what Conrad made the colored bodies seem to lack.

This kind of praise for the heroism of labor is best demonstrated in Conrad's depiction of the sailors' efforts to save the ship during a storm. In *Typhoon*, although the captain's bad decision has endangered the entire crew, he is nonetheless able to use his "calm voice" that "carr[ies] an infinity of thought" (Conrad, 1991: 163) to direct his crewmate through this raging deck-melting sea, which is ironic in a sense. They are able to both withstand the raging storm and eventually save the ship from the seemingly inevitable doom by remaining in their position. A similar unity can also be observed on board the *Narcissus*. While facing the storm, all of the men (except for James who is trapped in his room) heed the order of the captain and with their collective efforts are able to save James from drowning in his room as he "scream[s] and knock[s] ... with the hurry of a man prematurely shut up in a coffin" (Conrad, 1991: 51). Here, the water that is manifested in the form of a storm actually causes more labor and thus facilitates the narrative for a labor-centered value system. On the contrary, James is trapped in the room by water and unable to help. Although his trickery at the start might make him seem lazy, at this moment he is not unwilling to help but unable to. This demonstrates that the water itself also has a separating power within the heterotopia as it barricades the chance for James to redeem himself and thus lead him to inevitable doom.

Moreover, James's inability to help is also compared with the cook's action as Amidst all of the chaos the cook is able to serve coffee to all of the sailors.

It came in a pot, and they drank in turns. It was hot, and while it blistered the greedy palates, it seemed incredible. The men sighed out parting with the mug: 'How 'as he done it?' Some cried weakly: 'Bully for you, doctor!'

...

He had done it somehow. Afterwards Archie declared that the thing was 'meeraculous.' For many days we wondered, and it was the one ever-interesting subject of conversation to the end of the voyage.... He remained heroic. His saying — the saying of his life — became proverbial in the mouth of men as are the sayings of conquerors or sages. Later, whenever one of us was puzzled by a task and advised to relinquish it, he would express his determination to persevere and to succeed by the words: 'As long as she swims I will cook! I will get you coffee.' (Conrad, 1991: 63–64)

The cook's action is hailed as something "heroic" and "meeraculous," because of his unbudging determination to perform his duty (labor) even during a time of crisis. This quote is also systematically analyzed by Johan Adam Warodell, who praised the cook's capacity to work under pressure as he called the "gale at sea... a testament to the heroism of menial labor" and compared his action to "Jesus offering loaves and fish" (Warodell, 2020: 62). In the analysis of the same text above, Warodell acknowledges the fact that the act of serving coffee or cooking is a kind of labor, therefore, his choice to over-romanticize it is risky. First, he failed to realize that such heroism is against the grain, since labor is considered a menial commodity in capitalist society



instead of a praiseworthy virtue. According to Jameson, it is problematic to ascribe “the feudal ideology of honor [social value from a quite different mode of production]” to a capitalist society (Jameson, 2015: 217). If workers are willing to work for praise and honor instead of financial returns, or even romanticizing the process of labor, they are highly susceptible to exploitation no matter if they are of what ethnicity or race. Unlike what other scholars think that the ocean/ water is solely a formidable power that brings people together, I believe it also has the capacity to exploit and separate people from people as such romanticization of labor may be used to justify the alienation of the sailors of color.

By contextualizing the scene of the cook serving coffee, it is easy to see that it follows directly after James’ rescue, showing a contrast between a hard-working individual and an incapacitated one. James is temporarily silenced by the water that almost drowned him, which stands in direct contrast to the vocalization of the cook’s capacity to work. After getting James out of the cabin filled with water, the crew describes him as “a cold black skin loosely stuffed with soft cotton wool” whose “arms and legs swung jointless and pliable”, and whose head “rolled about” (Conrad, 1991: 55). Instead of feeling joy for their successful rescue, they are filled with resentment and anger toward James because the person they saved does not possess the capacity of labor, which means he is useless. “We hated James Wait. We could not get rid of the monstrous suspicion that this astounding black-man was shamming sick, had been malingering heartless in the face of our toil, of our scorn, of our patients—and now was malingering in the face of hour devotion — in the face of death” (Conrad, 1991: 56). Although the narrative is centered on the word’s “suspicion” and “shamming,” it is clear that the fundamental cause of his hatred is derived from James’s unwillingness and incapacity to work. He does not belong to the ship because he does not follow the one and only rule: labor. Moreover, it is also crucial to take identity, or in this case, racial identity, into consideration since James is the only colored sailor on board. According to Rob Breton, “work functions alternatively to clarify the identity and to conceal it, to establish it and to negate it” (Breton, 2005: 100). Indeed, the sailors’ perception of James’s identity is strongly affected by his labor. He is despised because others suspect that he is faking his sickness (incapacity to work), and this kind of suspicion is partially derived from the fact that he is black: a skin color that was often falsely associated with the connotation of laziness and incivility during the colonial period and water as a natural power only exacerbated the conflict.

Moreover, it is also worth noting that identity or, more importantly, racial identity also plays a significant role in whether one’s work is recognized and acknowledged. One such example can be seen in the treatment of the coolie laborers in *Typhoon*. Although the term “coolie” itself signifies the laborer and they are hired for the same purpose, Conrad rarely devotes any paragraphs to talking about their contribution to the ship. This is best seen when they first appeared:

The fore-deck, packed with Chinamen, was full of sombre clothing, yellow faces, and pigtailed, sprinkled over with a good many naked shoulders, for there was no wind, and the heat was close. The coolies lounged, talked, smoked, or stared over the rail; some, drawing water over the side, sluiced each other; a few slept on hatches, while several small parties of six sat on their heels surrounding iron trays with plates of rice and tiny teacups; and every single Celestial of them was carrying with him all he had in the world—a wooden chest with a ringing lock and brass on the corners, containing the savings of his labours: some clothes of ceremony, sticks of incense, a little opium. maybe, bits of nameless rubbish of conventional value, and a small hoard of

silver dollars, toiled for in coal lighters, won in gambling—houses or in petty trading, grubbed out of earth, sweated out in mines, on railway lines, in deadly jungle, under heavy burdens—amassed patiently, guarded with care, cherished fiercely. (Conrad, 1991: 135–136)

One of the most important aspects to notice from the passage above is the overemphasis on the belongings rather than the people. This is unfavorable to the Chinese. As mentioned above, the emphasis on monetary wealth is looked down upon in this heterotopia of labor. In *Typhoon*, one of the reasons why the coolies are deemed irrational is because of their unwillingness to let go of their belongings during the storm. Rather than being active agents who are capable of solving problems like the white sailor who shrugged off the importance of money by saying, “I don’t care...” (Conrad, 1991: 184), the Chinese are described as people who are hungry for fortune and panicked stragglers who can only fight under the lure of scattered silver dollars. Yet the narrator intentionally ignores the fact that this little wealth they have is procured through labor. To the arrogant sailors, they are no better or even worse than the goods on board, as they are not the ones creating labor at the time. The Chinese are reduced to nothing more than “heads and shoulders, naked soles...tumbling backs, legs, pigtails, faces” and “clawing hands” (Conrad, 1991: 172, 186) because they lack the agency Conrad ascribes to white sailors such as the cook. Although, like what my predecessor said, water can serve as an antagonistic power against the sailors, it also symbolizes a kind of racial segregation that barricades the mingling of the races. In the typhoon, the water blocked the African American sailor. I locked them into the cabin, which made him nearly drown, and in the other book, rather than asking the Chinese laborers to help with the trouble brought by the storm. The captain merely observes them as goods that can be laid about. Like James’s experience, they are also rendered passive and silent by the storm.

As mentioned in the previous section, water plays an important role in separating land and ships. Yet, on the ship or the heterotopia, the situation is no better than on land as there is still a segregating power that creates a gap between the white and nonwhite laborers. This ideological notion is deeply entrenched in the white sailors’ minds even when they are all trapped in a heterotopia in the form of a ship, as they still regard the whites as barbaric and lacking agency. Rather than ameliorating the tension and creating a mutual understanding through the isolated environment, the two parties virtually have no contact.

#### 4. The Silencing Power of the Water

On top of its alienating power that is manifested in the creation of the heterotopia of labor, the water in Conrad’s novellas is also capable of silencing the character of color by making them invisible or incomprehensible to both the European characters as well as the readers. Oftentimes, this is done through a limitation of sensory intake as the voices and appearances of the non-Europeans are blocked off by natural forces such as rivers, storms, and even fog. A good example can be observed in *Heart of Darkness*, as the water in it brings suffering and death to the native population of the Congo Basin. As mentioned in the first section, in the same way that the river can be regarded as a symbol of progression and wealth, it is also capable of bringing destruction to the African landscape and its native population. When Mallow arrives at the company station, he witnesses the maltreatment of the enslaved natives, whom people refer to as “criminals” or “creatures” (Conrad, 2011: 30,





32). It goes without saying that they are not regarded as humans, and their language is thus rendered incomprehensible. According to Melissa Free's studies on the soundscape of *Heart of Darkness*, the reason why the language of African subjects is regarded as mere noise is not that they are "inherently unknowable," but rather, "it is incomprehensible to the European who seeks to possess it through knowledge" (Free, 2015: 2). The "knowledge" in this context is similar to the notion of knowing in Said's comment on Balfour's (an orientalist's) speech on Egypt:

England knows Egypt; Egypt is what England knows; England knows that Egypt cannot have self-government; England confirms that by occupying Egypt; for the Egyptians, Egypt is what England has occupied and now governs; foreign occupation, therefore, becomes "the very basis" of contemporary Egyptian civilization; Egypt requires, indeed insists upon, British occupation. (Said, 2003: 35)

If we take the logic of Said's observation into consideration, African speech in the *Heart of Darkness* is not unknowable but rather ignored. The colonizers only want to understand them in an existing western framework, and knowledge that does not consolidate the western rulership is then regarded as useless and thus undeciphered. With this kind of narrative, the native body is thus systematically subdued into obedience, and their voice is suppressed and reduced to "incomprehensible" noises. Moreover, the river facilitates that process by further blocking the natives, who are not yet enslaved, from interaction with the white colonialists. When Marlow manages to fix the steamboat and embarks on the journey into the heart of Congo Basin to find Kurtz, he is often accompanied by a kind of silence, and during the time when the natives vaguely appear behind the trees, they are often accompanied with a kind of incomprehensibility. After seeing the looming bodies behind the forest, Marlow comments, "we could not understand because we were too far and could not remember because we were traveling in the night of first ages, of those ages that are gone, leaving hardly a sign— and no memories" (Conrad, 2011: 51). In this context, the word "far" obviously has a connotation of time, but it could also be understood in terms of physical distance. Marlow is not able to understand the natives like Kurtz because he often traps himself in the steamboat and is separated from the non-enslaved Africans by the river. It protects the people on the steamship from the native people as it separates them both physically and mentally. They do not belong to the labor-intensive "civil world" and are thus regarded as the other.

Another element that protects them from the imminent attack is the fog, an alternative representation of water. When the manager on board asks Marlow whether the natives would attack, Marlow reassures him by revealing the metaphor of fog: uncertainty and oppression. The thick fog was one. "If they left the bank in their canoes, they would get lost in it, as we would be if we attempted to move" (Conrad, 2011: 58). This statement is proven to be true as the attack begins "two hours after the 'fog' lifted" (Conrad, 2011: 59). Moreover, what the fog has shielded might not just be physical attacks as it also blocks off the psychological trauma that is inflicted in the form of sensory intake. But the threat of battle and death doesn't disappear, as they are just oppressed by the fog; as the fog lifts, killing begins. Although some scholars have dismissed the effect of the fog as Conrad's coverup for his lack of imagination as he is believed to have not taken that particular waterway into Congo (White & Finston, 2010: 2), it is important to separate the author from the work itself, given that published literature can often acquire a life of its own. Moreover, Conrad himself also extended the importance of

sensory presentations in his works by claiming what he is trying to achieve is “to make you hear, make you feel— it is, before all, to make you see” (Conrad, 1991: 5). Thus, the lack of descriptions of the African landscapes alongside the river should not be treated as an omission. When taken into a colonial context, the fog is to the eye like the silence to the ear. It blocks off the true horror, or the reality of the Congo Basin. In a sense, the fog can be regarded as a kind of physical manifestation of colonial ignorance that denies any unfavorable messages to the colonial gaze.

Another more direct kind of acoustic ignorance of the people of color’s speech can also be observed in *Typhoon*, as the Chinese coolies in it are not given a voice. During the storms, there are virtually no sounds from them. The only time one of the coolies tries to speak, his voice is reduced to a kind of “incomprehensible guttural sound, that did not seem to belong to a human language,” an act that Jukes describes as “a brute [trying] to be eloquent” (Conrad, 1991: 118). What is noteworthy is the discrepancy between the sensory output of the white sailors and the non-white bodies. This kind of incomprehensibility of the Chinese speech is in direct contrast to the captain’s voice, which is described as “confident,” “sensible,” carrying “infinity of thought, resolution, and purpose,” and “bearing [a] strange effect of quietness” (Conrad, 1991: 163–64). Even amidst the storm, he is able to communicate with his crew with determination and effectiveness, which is impossible. Thus, it is not hard to see that the silencing power of the storm is not equal when dealing with European sailors and coolies, as it is only capable of blocking out the voices of the latter.

In a sense, Conrad’s water can be regarded as an unconscious reflection of the historical background of his time. Like what Conrad suggests, his writing intends to make people see the reality and “no more” (Conrad, 1991: 5). His writing is effective because “its politics and aesthetics are... imperialist” (Said, 1993: 24). By depicting the water in the colonial language that defies acknowledging the existence of the colored laborers, he is able to make his readers “see” the truth behind the glorified empiricist ventures. Colored laborers are not valued for their capacity for labor, and their speeches are then systematically silenced because they do not fit into the imperialist narrative. As much as its ability to bring forward a kind of western progression, unity, and civilization, the water can also induce the same amount of oppression and silence the people of color.

## 5. Conclusion

Through the analysis of water, the heterotopia it creates, and its silencing power, readers can observe the symbolism that manifests the imperialist power behind literary works. Although water is capable of facilitating trade via the ocean and waterways, it also brings immense detrimental consequences to the population of Congo and China. It creates a heterotopia on the ship but does not bring people together; it creates more segregation among them. Moreover, water is also capable of silencing people of color, as in the form of fog and storms that Conrad renders the African and Chinese incomprehensible. Thus, although water is often deemed as the force of life and unifying power in novels, it should not be ignored that it is not merely just symbolism but also possesses a power that reflects the historical context of its time.

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# The Multiple Values of Robert Burns' *A Red, Red Rose*

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**Abstract:** Robert Burns' *A Red, Red Rose* is a classic love poem that also embodies the characteristics of a lyrical song, showcasing multiple values. These values are mainly reflected in five aspects. The first is Scottish identity. The reflection of Scottish language and culture in Burns' poem demonstrates his deep love for his homeland. The second is universality. The expressive style and emotional depth in Burns' poem possess the universal beauty of human nature. The third is interdisciplinary significance. Burns' poem shows profound meaning in comparative literature and cross-cultural communication. The fourth is song-like quality. The musicality of Burns' poem adds emotional depth and dissemination value. The fifth is popularity. The poem has been widely spread, giving the work greater value for multilingual translation. Therefore, *A Red, Red Rose* deserves our attention and in-depth study of its multiple values.

**Keywords:** Burns' poetry; multiple values; *A Red, Red Rose*

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# 彭斯《一朵紅紅的玫瑰》的多重價值

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**摘 要:** 彭斯的《一朵紅紅的玫瑰》( *A Red, Red Rose* ) 是一首經典的愛情詩, 同時兼具抒情歌曲的特質, 展現出多重價值。這些價值主要體現在五個維度: 其一為蘇格蘭性。彭斯詩中蘇格蘭語言、文化的彰顯折射出彭斯對祖國的深切熱愛; 其二為普世性。彭斯詩的表達方式與蘊含情感具有普世的人性之美; 其三為融通性。彭斯詩在比較文學與跨文化交流中展現出深遠的意義; 其四為歌唱性。彭斯詩和樂可唱的特質為詩作增添了情感深度與傳播價值; 其五為流行性。彭斯詩流傳廣遠, 賦予作品更具多語言翻譯的價值。因此, 《一朵紅紅的玫瑰》值得我們傾注關注, 並深度研究其多重價值。

**關鍵詞:** 彭斯詩; 多重價值; 《一朵紅紅的玫瑰》

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## 一、引言

《一朵紅紅的玫瑰》( *A Red, Red Rose* ) 是蘇格蘭著名詩人彭斯( Robert Burns, 1759–1796 ) 最著名的抒情詩之一, 同時也是世界愛情詩的經典之作。詩中男子對心上人懷著熾熱情感, 形象地將女子比作盛開的玫瑰、美妙的旋律, 並列舉幾件不可能發生的自然現象, 象徵他對愛情的堅定不移。簡潔的用詞、優美的形式和高超的詩歌技巧使這首詩成為年輕戀人表達真摯情感的典範, 也曾被譜曲傳唱世界各地, 深入人心。

詩歌原文如下:

O my Luve's like a red, red rose,  
That's newly sprung in June;  
O my Luve's like the melodie  
That's sweetly played in tune.

As fair art thou, my bonie lass,  
So deep in luve am I;  
And I will luve thee still, my Dear,  
Till a' the seas gang dry.

Till a' the seas gang dry, my Dear,



And the rocks melt wi' the sun;  
O I will love thee still, my Dear,  
While the sands o' life shall run.

And fare thee weel, my only Love!  
And fare thee weel, a while!  
And I will come again, my Love,  
Tho' it were ten thousand mile!

不同於其它宏大敘事、淒美抒情、歌詠自然等經典題材，愛情詩以其極易得到人類共鳴的普世性和天然美感，在交流與傳播中廣受重視。而作為其中情感真摯、音韻優美、意象經典的精粹之作，《一朵紅紅的玫瑰》在多個層面具有獨特深刻的積極價值與意義。本文結合詩人身份背景，依次從蘇格蘭性、普世性、融通性、歌唱性以及流行性等五個維度，對其進行分析解讀。

## 二、詩人身份背景

羅伯特·彭斯，蘇格蘭文學史上最偉大的詩人之一，常被中國學者稱作「農民詩人」。蘇格蘭人並不喜歡這個標籤。彭斯在蘇格蘭的聲譽遠遠超過莎士比亞，成為名副其實的民族英雄。蘇格蘭十鎊面額紙幣上印著彭斯頭像。蘇格蘭各大城市都有彭斯的雕像，有的城市還有他的妻子的雕像。蘇格蘭有各種各樣的與彭斯相關的文創產品。在全世界凡有蘇格蘭後裔的地方，每年都舉辦彭斯晚宴。在全世界凡是慶祝新年的場合都有他的歌曲《友誼地久天長》的歌聲回蕩。儘管出身貧寒，但他成長於開明的家庭環境中，其父是一位思想開放、博學多才的人，給他和他兄弟姐妹們請了一位家庭教師，其祖母講故事，其母親愛唱蘇格蘭小曲。因此，雖然彭斯的正式教育僅有兩年半，但憑藉著自學和刻苦研習，他沉浸於大量閱讀，尤其對蘇格蘭民謠和詩歌情有獨鍾，經常抄記歌曲，還產生改寫或創作的想法。由於其父早逝，成年後的彭斯不得不擔負起照顧整個家庭的重任。雖然勞作艱辛，彭斯卻善於苦中作樂，在田間耕作時他也會邊勞動邊唱歌，田間地頭休息時他也會把新詞填入舊曲調，創作出他的詩歌，每天結束工作後他也會不停地讀寫。1786年，愛丁堡的文人們已將其讚譽為「上天賜予的農夫」，認為他的詩歌是他本性情感的自然流露，他有時也會認可此類誇讚。

彭斯的詩歌充滿人類情感特質，包含了愛情、幽默、哀愁以及對自然的敏銳感應……所有觸動人類內心的詩歌特質都在他文字中，而這些特質自伊莉莎白時代以來從未如此觸動人心。他的詩歌題材範圍廣泛，除了那些表達對大自然和人類情感的熱愛的詩歌，還有大量無法歸類的詩歌作品。如 *A Man's a Man for That* 表達了對人性與理想的深刻詮釋；*The Vision* 展示了他早期的理想，*The Epistle to a Young Friend* 表達了他對宗教和榮譽的個人看法；*The Address to the Unco Guid* 是他在呼籲寬容的判決；*Halloween* 描繪了鄉村的歡樂慶典；*The Two Dogs* 則將富人與貧民進行了對比；*A Bard's Epitaph* 作為他詩集的結尾，是他對自己生活的總結。當然，他的一些詩歌是很容易歸為諷刺詩和愛國詩之類的。

彭斯的第一部詩集是 *Poems, Chiefly in the Scottish Dialect* (1786) 取得巨大成功，一夜成名，人們如饑似渴般爭相購閱。這一成功使其改變了原本想通過掙點稿費購買船票前往牙買加的計畫。在一些愛丁堡評論家對其詩歌做出較高評價後，他改為前往愛丁堡籌備新版詩集的出版。在那裡，他受到了城中上流人士的款待，他們中的一些人欲觀察這位農夫在上層社會中的表現，另一些人則是好奇這位天生怪才。雖然彭斯在愛丁堡社交圈中一度嶄露頭角，但其社會底層農民的粗獷質樸與上流社會名流的虛偽精緻之間的衝



突日漸明顯，他在愛丁堡高級社交圈中的新鮮感以及他對他人的新鮮感也逐漸消退。最終，他離開了缺少歸屬感的愛丁堡，故鄉小路帶他回家繼續創作和勞動。此後，彭斯經常在蘇格蘭和英格蘭北部旅行，搜集民謠。彭斯晚年的境遇並不富裕，但其不懈創作的精神、廣泛採集民謠及歌唱的堅持，使他在普通民眾心中長久地佔據崇高地位。他的作品充滿了對家鄉、高地、人民、愛情與自然的歌頌，因而被稱作「勞動人民的詩人」。

1787 年，彭斯詩集第二版出版。1788 年，彭斯與珍·阿莫爾 (Jean Armour) 結婚，妻子美妙的歌喉和動人的身形給他靈感，激勵他創作出了一些優秀詩作。儘管苦苦勞作，糧產不高，他與家人遷居蘇格蘭高地，在鄧弗里斯郡 (Dumfries) 租賃一座農場。在高地的前半段歲月，是他一生中最幸福的時光，他創作了大量歌頌高地人和事的作品，成為其不朽詩篇的組成部分。但農場終是盈利微薄，於是，他向當地有影響力的人士尋求一些能讓他養家糊口的職位。在多方努力下，他被任命為收稅官，年薪 50 英鎊，在他餘下的幾年裡一直身兼此職，飽經風霜。

彭斯的大多數詩歌都是用蘇格蘭方言創作，被譽為蘇格蘭的「國家詩人」(national bard)。他的詩作與影響力提升了蘇格蘭人民生活的尊嚴與價值，魯迅稱其為「勞動人民的詩人」，這一稱號恰如其分，因為他來自人民，瞭解人民，為人民寫作。也正因此，他在普通民眾中享有深厚的愛戴。彭斯去世時，蘇格蘭舉國上下緬懷他，並為他貧困的家庭提供支援。彭斯的詩歌最早於 1908 年被蘇曼殊 (1884—1918) 譯成中文，儘管蘇曼殊只譯彭斯詩一首，卻開彭斯詩歌漢譯之先河，此後許多人譯過彭斯不同的詩，極大地促進了民國時期以及 20 世紀 50 年代末中國民歌和民間詩歌的創作。

彭斯卓越的詩才因長期病痛而受限。1796 年，他在貧困中與世長辭，享年 37 歲，被安葬于鄧弗里斯郡。

進入 21 世紀，中國依然在翻譯傳播彭斯的詩歌。2015 年，李正栓翻譯完成《彭斯詩歌精選》。掩卷遐思，感佩彭斯在艱難環境中依然堅持創作的精神，感覺對自己也是莫大鼓舞。為了表達對彭斯的敬仰和深切懷念之情，李正栓創作《譯彭斯詩有感》一首，重拾舊日情懷。以下是《譯彭斯詩有感》及英譯文：

### 譯彭斯詩有感

李正栓

疾風勁吹聲淒厲，  
仍有鳥鳴樂不疲。  
為譯彭斯來舊國，  
昔日情懷今日拾。

### Thoughts on Translating Burns

Li Zhengshuan

Strong wind blows with sound sad and shrill;  
There are birds warbling, delighted and still;  
For translating Burns to the old country I came  
To pick up ancient feelings former and same.

李正栓這一情懷被蘇格蘭人欣賞。他們 2016 年把這首詩的中英文蝕刻在斯特靈大學的藝術走廊上，至今猶存。由於李正栓在 21 世紀在中國出版並傳播他漢譯的彭斯詩歌，斯特靈大學授予他榮譽博士學位。

## 三、蘇格蘭性

彭斯《一朵紅紅的玫瑰》展示了他的蘇格蘭立場、蘇格蘭視角，其蘇格蘭性首先體現在其所使用的蘇格蘭方言，生動的方言推動了他的新詩口語表達，例如詞彙「Luve, bonie, lass, a' the seas, gang dry」等，這些方言詞彙的使用使詩歌頗具地方特色，讓蘇格蘭人喜愛讀、喜愛唱，也彰顯了詩人的文化認同與愛國情懷。難怪蘇格蘭人不管多麼窮也要爭相購閱彭斯的詩。「Luve」反復出現，分別代表了「心上人」、「愛情」和動詞

「摯愛」，這一中心詞的不斷出現強化了主題。

詩中這種運用自然景象的象徵手法也展現了彭斯作為勞動人民詩人的獨特聲音。「文學敘事的真實常常比有限的歷史記錄更能反映普遍的社會生活。」<sup>⑥</sup>他不僅僅描繪愛與美，還在語言與文化中寄寓了人民的日常情感與民族自豪感。

作為勞動人民的詩人，彭斯在自己的詩歌中充分傾注了人民的情感。這些詩歌歌頌故鄉、人民、愛情、大自然，具備了所有古老蘇格蘭歌曲的特點：簡單、幽默、直率、樂觀。這些特徵使其詩歌更具愛國主義價值。「彭斯與民間文學的結合，使蘇格蘭出現了有史以來最偉大的人民詩人，深刻影響了英國浪漫主義詩歌的發展，還用階級鬥爭觀追溯了歌謠歷史。」<sup>⑦</sup>這些特質使彭斯成為世界上最著名的工人階級詩人之一。

彭斯詩歌中鮮明的蘇格蘭性深紮於民族文化土壤，卻綻放出超越地域的精神芬芳。《一朵紅紅的玫瑰》對蘇格蘭方言的創造性運用與勞動人民視角的書寫構建起一座連接蘇格蘭性與普世性的美學橋樑，既是一種民族情感的展現，也是對永恆愛情母題的回應。彭斯已然證明這一經典的文化價值論：是民族的，也是世界的。正如海德格爾所言「詩人的天職是返鄉」，彭斯在描繪蘇格蘭文化基因的過程中觸摸到了人類情感的總體語言，這表明真正的世界性和普世性不是一種懸浮的抽象概念，而是無數文化結晶折射出的光譜總和。

## 四、普世性

《一朵紅紅的玫瑰》蘊含著人類的普遍價值，主要體現在如下四個方面：

一是愛情美。《一朵紅紅的玫瑰》是彭斯根據蘇格蘭民謠創作的一首膾炙人口的愛情詩篇，舊曲填新詞。正如普希金在創作的以愛情為主題的作品時，他「並沒有局限在俄羅斯民族的範圍之內，而把這種愛寫成超越民族界限而普遍存在的人性愛。在這些愛情故事中詩人所抒發的愛正是他的美好浪漫主義理想的重要組成部分。」<sup>⑧</sup> *A Red, Red Rose* 同樣展現出超越時空的情感普適性，這是屬於文學的人類共通價值。

二是音樂韻律美。音樂美是彭斯詩歌的旗幟。他的 600 餘首詩作中有 300 餘首是歌曲，他對音樂的重視由此可見一斑。這首詩以歌謠體寫成，四三音步交替，抑揚格為主，尾韻整飭，全詩前兩節的韻腳為 abcb，後兩節的韻腳為 abab，朗朗上口。他還創造了一種獨具特色的「交響樂格律」(symphonic meter)，許多詩作至今仍被譜成音樂傳唱，令人回味無窮。

三是語言美。詩人使用蘇格蘭人民的本族語言創作的這首詩歌，語言質樸直白，感情真摯而深沉，毫無矯飾之意。字句中，詩人的情感如滔滔奔流的江水一瀉千里，洶湧澎湃，讓讀者能夠切身感受到詩人的激情與深情。詩中所用的語言充滿人民性，質樸率真。

## 五、融通性

在《一朵紅紅的玫瑰》第三節中，彭斯運用「海枯石爛」般的誇張手法，表達了對愛人的鏗鏘誓言。通過描繪幾乎不可能發生的自然現象，他深刻地展現出主人公對愛情的忠貞與執著。這種愛情宣言的表達方式令人不禁聯想到中國漢樂府詩經典《上邪》，同樣以強烈的語言和誇張的意象傳遞出誓言的堅定與永恆：上邪！／我欲與君相知，／長命無絕衰。／山無陵，／江水為竭，／冬雷震震，／夏雨雪，／天地合，／乃敢與君絕。

《上邪》的英譯文如下：

Oh, by heaven,



I shall be in love with you.  
I'll love you as long as I breathe.  
I'll love you till mounts have no peaks,  
Till all rivers go dry,  
Till it thunders in winter,  
Till it snows in summer,  
Till Heaven and Earth meet.  
Only then can I part with you.  
(tr. Li Zhengshuan)

再如敦煌曲子詞《菩薩蠻·枕前發盡千般願》：

枕前發盡千般願，要休且待青山爛。水面上秤錘浮，  
直待黃河徹底枯。

這幾首詩都是民間歌謠，在意象運用、敘事方式、情感表達等方面有許多相似之處。首先，它們都運用了極為誇張的比喻和意象，將愛情的忠貞表現得震撼人心。彭斯在詩中以「直到乾枯水流盡，直到太陽把岩石化作灰燼」來象徵愛情的永恆，而《上邪》則以「山無陵，江水為竭，冬雷震震，夏雨雪，天地合」這一系列幾乎不可能發生的自然現象，展現出誓言的堅定。相似地，《菩薩蠻》通過「青山爛」、「秤錘浮」、「黃河徹底枯」等表達了矢志不渝的情感承諾。此外，這些作品都通過質樸卻充滿力量的語言，傳達出真摯深切的情感，使讀者為之動容。《上邪》和《菩薩蠻》以直白而生動地表達刻畫了古人對愛情永恆的信念與執著。而彭斯也用簡單的詩句唱出了人類對純粹愛情的追求。這種情感的普適性跨越了語言和文化的界限，展現了人類對於真情的共同渴望。或許這也是中國讀者喜愛《一朵紅紅的玫瑰》的原因之一。

## 六、歌唱性

「傳統的英美詩歌都重視韻律和節奏。這種特點使詩歌具有音樂化的特徵，亦使其具有歌唱性 (sing-song aspect)，其中韻律 (rhythm) 是一個主要因素。」<sup>④</sup> 韻律 (rhythm) 作為詩歌創作的核心因素之一，是詩歌的「骨架」，決定了詩句的節奏美感，並且能夠承載詩作情感表達所需要的情感氛圍，讓讀者與聽者得以通過節奏感受詩意的共鳴。彭斯的《一朵紅紅的玫瑰》就是一個生動的例子。全詩「採用歌謠詩節的四行體。每一節中，奇數行為八音節四音步，偶數行為六音節三音步，偶數行押韻，全詩通俗流暢，語言質樸淺近，詩意爽朗熱烈。」<sup>⑤</sup> 《一朵紅紅的玫瑰》還以其工整詩行、規則押韻展現出極高的歌唱性。奇數行的四音步與偶數行的三音步交織，令全詩讀來如樂章般流暢。音韻之美強化了情感表達，使「我愛你直到海枯石爛」的誓言不只是文字上的承諾，更是一種充滿韻律之美的心靈震撼。除此之外，《一朵紅紅的玫瑰》中還多用重複詞語和重複結構，達成一種排比感，「單詞、片語和短句的排比用法，在誦讀時從氣勢上為全詩營造出一種層層疊疊、反反覆復的節奏效果」<sup>⑥</sup> 這首詩的歌唱性使它產生永久價值。

在情感表達上，《一朵紅紅的玫瑰》以極具感染力的語言展現了對愛情的深情和忠貞。彭斯將愛人比作「六月中盛開的紅玫瑰」，形象鮮活、生機盎然，充滿了濃烈的情感張力。接著，他用「海枯石爛」、「日融石化」等誇張手法，表達了永恆不變的愛情誓言，賦予詩句強烈的情感感染力，使讀者深深觸動。



由於其直白、真摯的情感表達和優美的語言節奏,《一朵紅紅的玫瑰》迅速成為膾炙人口的愛情詩篇,極具傳播價值,歷代蘇格蘭和英美文學作品集都會將其收錄其中。通俗易懂的語言與人類普遍情感的深刻契合也為其贏得了世界各地讀者的喜愛。

幾百年來,這首歌久唱不衰。還對世界歌曲創作產生影響,清華大學範文芳教授根據彭斯原詩填詞一首,名叫《我的姑娘》,歌詞如下:

我的姑娘像一朵紅紅的玫瑰,  
六月時節縱情開放。  
我的姑娘像一首浪漫的情詩,  
在我的心頭悠悠蕩漾。  
啊,美麗的姑娘,我可愛的姑娘,  
讓我到外面的世界經受風浪,  
我會再次回來,與你牽手月下,  
無論我走到多麼遙遠遙遠的地方,

我的姑娘像一朵迎春的臘梅,  
皚皚白雪中靜靜飄香。  
我的姑娘像一首悠揚的樂曲,  
在我的琴弦涓涓流淌。  
啊,美麗的姑娘,我熱戀的姑娘,  
讓我抹去你心頭淡淡憂傷。  
縱然岩石熔化,縱然海水枯竭,  
我的心依然守護在守護在你的身旁。  
美麗的姑娘,我熱戀的姑娘,  
讓我抹去你心頭淡淡憂傷。  
縱然岩石熔化,縱然海水枯竭,  
我的心依然守護在守護在你的身旁,  
守護在你的身旁。

在中外少數民族詩歌中,許多史詩由於缺乏文本記載,僅以口傳形式流傳。這種現象表明,將詩歌與譜曲結合的方式相較依靠單純的文字傳播,在擴大傳播範圍與提升讀者接受度方面具有明顯優勢。詩歌的歌唱性與其情感價值具有相輔相成的關係,若輔以譜曲傳唱,能夠更為直觀地表達詩歌的豐富情感,並更廣泛地傳播其文化價值與美學內涵。在閱讀《一朵紅紅的玫瑰》時,讀者很容易被詩中濃烈的情感和直接的表達方式所打動並產生深切共鳴。而「浪漫的熾熱之情,正是中國文壇對於這位來自蘇格蘭的詩人彭斯最初的印象。」<sup>①</sup>這使得彭斯的詩歌在中國浪漫主義文學中佔據了獨特的位置。

## 七、流行性

「彭斯詩歌自 1908 年被蘇曼殊漢譯以來,在我國經歷了 100 多年的發展歷程。我國歷史和社會發展的



每一次轉折,都影響了譯者對彭斯詩歌的選材和翻譯策略的選擇。」<sup>⑤</sup>《一朵紅紅的玫瑰》主題通俗,描寫直觀,情感共鳴豐富,具有較強的流行性,也因此受到幾百年來古今中外諸多翻譯者、學者和其它領域詩歌愛好者的關注,並產生了諸多風格各異、語種各異的譯文,在全世界範圍內被廣泛傳播、欣賞。「《一朵紅紅的玫瑰》的重譯由單首譯詩發展為選譯彭斯組詩,又演進為出版彭斯詩歌選譯專集,且重譯者多為作家型和學者型譯者。」<sup>⑥</sup>不同譯者的不同處理方式為原詩注入了多樣的文化和美學色彩。以下是部分中譯譯者及其風格各異的譯文。

(一)

蘇曼殊(1884—1918),第一位漢譯彭斯 *A Red, Red Rose* 的中國譯者。

頻頻赤薔靡

頻頻赤薔靡,  
首夏初發苞。  
惻惻清商曲,  
眇音何遠遙。

予美涼天紹,  
幽情中自持。  
倉海會流枯,  
相愛無絕期。

倉海會流枯,  
頑石爛炎熹。  
微命屬如縷,  
相愛無絕期。

慘怯別予美,  
離隔在須臾。  
阿陽早日歸,  
萬里莫踟躕。

(柳亞子,2007:127)

(二)

袁水拍(1916—1982),新中國成立前出版彭斯詩歌集(《我的心呀在高原》,1944)並成為中國彭斯翻譯第一人。

一朵緋紅,緋紅的玫瑰

哦,我的愛人像一朵緋紅,緋紅的玫瑰,



在六月裡，剛剛盛開；  
哦，我的愛人像一支好聽的歌曲，  
在樂器上溫柔輕彈。

你是美人兒，我年輕的姑娘，  
我對你這樣的深愛；  
我要一直愛你，我的心愛，  
直到所有的海洋枯乾。

直到所有的海洋枯乾，我的心愛，  
直到岩石在太陽下腐爛；  
我要一直愛你，我的心愛，  
直到生命的路程走完。

再會吧，我唯一的愛人！  
現在我暫時離開你！  
我就要回來的，我唯一的愛人，  
雖則我們相隔千里。

(袁水拍, 1944:49-51)

### (三)

王佐良(1916—1995)，為紀念彭斯誕辰 200 周年，於北京出版了一版詩集《彭斯詩選》。

#### 一朵紅紅的玫瑰

啊，我的愛人像朵紅紅的玫瑰，  
六月裡迎風初開，  
啊，我的愛人像一曲甜蜜的歌，  
唱得合拍又柔和。

我的好姑娘，多麼美麗的人兒！  
我呀，多麼深的愛情！  
親愛的，我永遠愛你，  
縱使大海乾涸水流盡。

縱使大海乾涸水流盡，  
太陽將岩石燒作灰塵，  
親愛的，我永遠愛你，



只要我一息猶存。

珍重吧,我唯一的愛人,  
珍重吧,讓我們暫時別離,  
但我定要回來,  
哪怕千里萬里!  
(王佐良,1959:18)

(四)

袁可嘉(1921—2008),為紀念彭斯誕辰 200 周年,於上海出版了一版詩集《彭斯詩鈔》。

一朵紅紅的玫瑰

啊,我愛人像紅紅的玫瑰,  
在六月裡苞放;  
啊,我愛人像一支樂曲,  
樂聲美妙、悠揚。

你那麼美,漂亮的姑娘,  
我愛你那麼深切;  
我會永遠愛你,親愛的,  
一直到四海涸竭。

直到四海涸竭,親愛的,  
直到太陽把岩石消熔!  
我會永遠愛你,親愛的,  
只要生命無窮。

再見吧,我唯一的愛人,  
再見吧,小別片刻!  
我會回來的,我的愛人,  
即使萬里相隔!

(袁可嘉,1959:192-193)

(五)

郭沫若(1892—1978)的《英詩譯稿》於 1981 年出版,其中包含彭斯的 *A Red, Red Rose*。

### 紅玫瑰

吾愛吾愛玫瑰紅，  
六月初開韻曉風；  
吾愛吾愛如管弦，  
其聲悠揚而玲瓏

吾愛吾愛美而殊，  
我心愛你永不渝，  
我心愛你永不渝，  
直到四海海水枯；

直到四海海水枯，  
岩石融化變成泥，  
只要我還有口氣，  
我心愛你永不渝。

暫時告別我心肝，  
請你不要把心耽！  
縱使相隔十萬里，  
踏穿地皮也要還。

(郭沫若, 1981:27)

### (六)

周宜乃(1915—1996)是第一位將彭斯的 *A Red, Red Rose* 翻譯為五言四句的非文學屆工作者。他是安徽人，畢業於武漢大學機電一體化專業，1947 年前往英國留學，1951 年回國。他曾出版一本名為《自由之歌》( *Songs of Freedom* ) 的英美詩歌集，文字以古典形式呈現，使用古典中文。

### 卿若紅玫瑰

卿若紅玫瑰，  
新綻六月裡，  
更若旋律曲，  
嘹亮聲和諧。

汝顏美若斯，  
我深彌愛之，  
情愛永不變，



直至海枯時。

海水盡枯竭，  
岩石皆蝕摧，  
此生一息存，  
相愛永不隳。

吾愛此別矣，  
暫作小分飛，  
相去雖萬里，  
他日終旋歸。

(周宜乃, 1999: 30-33)

#### (七)

李正栓(1963—)，盡力保留彭斯原作意蘊與風格的譯者。

#### 一朵紅紅的玫瑰

啊,我的愛人像一朵紅紅的玫瑰,  
六月裡蓓蕾初開。  
啊,我的愛人像一支甜甜的樂曲,  
演奏得和絃合拍。

我的好姑娘,你是這麼美,  
我的愛是這麼深。  
我將永遠地愛你,親愛的,  
直到大海乾枯水流盡。

直到大海乾枯水流盡,親愛的,  
直到太陽把岩石化作灰塵。  
啊,我將永遠地愛你,親愛的,  
只要我生命不止一息猶存。

再見吧,我唯一的愛人,  
再見吧,讓我們暫時分離。  
我一定要回來,我的愛人,  
哪怕是我遠行千里萬里。

(李正栓, 2016: 90-91)

從以上所選譯文課件,由於譯者身份不同、背景不同、素養差異、時代不同等因素,其務實程度存在一定差異。其譯者行為之語言維度也顯示出不少差別,展示出時代差異、年齡差異、字詞差別。在以往翻譯中,不少譯者把 my love 譯成「我的愛人」,實際上,譯成「心上人」或「意中人」更合適。另外,在網路個人博客中,另有一些彭斯 A Red, Red Rose 的中文版本。譯者使用了網路化名,未寫明身份,不知何人所譯,但他們都表達了對原詩以及對其早期其它譯本的認可與喜愛,充分展示這首詩的流行性。

## 八、結語

自幾百年前問世以來,彭斯的這首經典詩作贏得了海內外讀者的持久青睞,同時也受到了各領域學者的廣泛關注,催生出大量優秀的譯作和研究成果。「除去翻譯行為本身,還有許多學者從各種角度對其不同譯本進行過對比分析,主要集中在音韻、意象、修辭、美學、文體學、系統功能語法及認知語用學等方面進行探討。」<sup>②</sup>這些研究深化了對詩歌多維度的理解,揭示了譯本與文化語境之間的複雜關係。

本文通過對詩歌時空背景、詩歌具體內容、翻譯傳播路徑以及作者身份特徵分析,依次展現了彭斯詩作《一朵紅紅的玫瑰》在蘇格蘭性、普世性、融通性、歌唱性,以及流行性等五個主要層面的多重價值,也發現了這首詩的教誨性。希望能夠傳遞和深化這一經典詩歌中的文學美感與情感蘊含,進一步啟發讀者對於《一朵紅紅的玫瑰》多重價值的認識。除此之外,我們還發現這首詩具有不可多得的比較文學價值。

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# The “Lost” Individual: Morality in *The Sun Also Rises*

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**Abstract:** *The Sun Also Rises* is a refutation of the “lost generation” rather than a “lost” narrative. By depicting Jack’s change from indulging in personal space to returning to social relations, Ernest Hemingway endows the social choices of the Lost Generation with new moral connotations. This writing not only refutes Gertrude Stein’s critique of post-war American writers but also shows Hemingway’s reflection on the role of himself and his peers in literary history.

**Keywords:** *The Sun Also Rises*; Ernest Hemingway; the Lost Generation; morality

**Notes on the contributor:** NAN Jiali is a PhD candidate in the School of Foreign Studies at Nanjing University, China. Her interests include nineteenth-century and twentieth-century literature and culture and ecocriticism.

## 「迷惘」的個人 ——《太陽照常升起》中的道德因素

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**摘要:**《太陽照常升起》與其說是「迷惘」敘事，不如說是「迷惘的一代」一詞被證偽的文學現場。通過刻畫傑克從沉溺個人空間到回歸社會關係的變化，海明威賦予「迷惘的一代」的社會選擇新的道德意涵。這一書寫不僅駁斥了斯泰因對戰後美國作家的負面評價，更展現出海明威對自身以及同輩作家的歷史定位與反思。

**關鍵詞:**《太陽照常升起》；歐內斯特·海明威；「迷惘的一代」；道德





## 一、引言

《太陽照常升起》( *The Sun Also Rises*, 1926 ) 是海明威 ( Ernest Hemingway, 1899–1961 ) 第一部長篇小說, 講述了主人公傑克 ( Jake Barnes ) 和勃萊特 ( Brett Ashley ) 相愛卻因困於現實處境不能結合的故事。長期以來, 學界對該小說的研究都圍繞斯泰因 ( Gertrude Stein ) 卷首語「迷惘的一代」而展開, 認為小說中的人物展現了「迷惘的一代」「冷淡、疏離」的情感現實<sup>①</sup>。然而, 事實卻是, 海明威本人並不認同斯泰因對包括他在內的戰後美國作家的評價: 他曾在回憶錄中直言「她那些「迷惘的一代」的胡謔和所有信手拈來的骯髒標籤, 全給我見鬼去吧」。這與海明威在小說卷首將「迷惘的一代」和出自《聖經·傳道書》的「太陽照常升起」進行對比的做法如出一轍。在他看來, 「每一代人都曾由於某種原因而感到迷惘, 過去是這樣, 將來也是這樣」<sup>②</sup>。為此也有學者開始重新思考海明威創作《太陽照常升起》的初衷, 提出在小說中「海明威實際上通過將『失去』放置在他文學計畫的核心位置, 直接、吊詭地回應了斯泰因的挑釁」<sup>③</sup>。

受此思路啟發, 本文擬從傑克的社會關係入手, 探究道德因素在海明威創作《太陽照常升起》中的意義, 而後聚焦於海明威的戰後美國作家身份, 嘗試提出以下觀點: 《太陽照常升起》與其說是「迷惘」叙事, 不如說是「迷惘的一代」一詞被證偽的文學現場。通過刻畫傑克從沉溺個人空間到謀求社會關係的變化, 海明威賦予「迷惘的一代」的社會選擇新的道德意涵。這一書寫不僅駁斥了斯泰因對戰後美國作家的錯誤理解, 更由此樹立起新生代作家嶄新的時代形象, 展現出海明威對自身以及同輩作家的歷史定位與反思。

## 二、「等價交換」原則與非道德的個人

《太陽照常升起》出版於 1926 年, 描摹了一戰後流亡在巴黎的美國青年的生活。第一次世界大戰對當時人們的生活帶來了重大影響。大戰不僅毀滅了數不盡的年輕生命, 更剝奪了他們的青春想像和對崇高理想的信念。這使得戰後的年輕一代對政治多抱有無所謂的態度, 進而選擇逃離國內日益加劇的保守政治氛圍<sup>④</sup>。小說中的傑克就是這樣一位「流亡者」<sup>⑤</sup>。由於他在戰爭中失去了性能力而無法與深愛的勃萊特結合, 他選擇在戰後來到巴黎, 終日飲酒、調情, 過著日復一日麻醉自己的生活。

傑克在巴黎有一套獨特的生活處世之道。他主張「世界是個很好的市場」, 「只不過是等價交換」, 「享受生活的樂趣就是學會把錢花得合算, 而且明白什麼時候花得合算」<sup>⑥</sup>。從這裡可以看出, 傑克把生活看作一筆筆交易, 把人與人之間的交往換算成一串串等價的數字, 知識、經驗、機緣在他口中和錢財無異, 似乎沒有什麼是不可以交換的, 「把錢花得合算」成為了他「享受生活的樂趣」、忘記現世煩惱的一種重要方式。在這個層面上, 傑克消解了「道德」的意義。人與人之間變得沒有對錯, 沒有了「報應或懲罰」<sup>⑦</sup>, 也就由此擺脫了道德的評判。人與人之間只有「自我」, 沒有「他人」, 更沒有「社會」。作為世人眼中「迷惘的一代」, 傑克找不到傳統道德在現實世界的立足之地, 卻又苦於無路可走, 只能選擇將「道德」懸置, 放任自己在精神上的迷失。

傑克的情況不是個例。事實上, 當時整個巴黎的社會風氣都是如此。巴黎在戰後聚集著各色人等, 包括「邊緣藝術家、閒散的有錢人、嚴肅的畫家和作家、年輕的暴徒、爵士樂音樂家、黑人舞者」等。美國人在這裡可以不受國內禁酒令的束縛而盡情歡飲, 爵士樂樂聲在深夜綿延不絕<sup>⑧</sup>。在這樣的社會環境影響下, 傳統的道德理想被質疑甚至被捨棄, 而新的道德規範又尚未確立, 人們被置於道德的真空之中而不自知。正如傑克在小說中所說, 「世界到底是怎麼回事, 這我並不在意。我只想弄懂如何在其中生活」<sup>⑨</sup>。

這是傑克的困境, 更是「迷惘的一代」的普遍困境。正如傑克對他所奉行的「等價交換」理論的調侃一

樣,「再過五年,這種理論就會像我有過的其他高超的哲學理論一樣,顯得同樣的荒唐可笑」<sup>⑩</sup>。對傑克們而言,一戰後,傳統道德失去在現實世界的立足之地,所有「高超」的事物已經不復存在,取而代之的是世界「荒唐可笑」的面目。然而,他們身處這樣一個世界卻無處逃脫,只能像一葉浮萍漂遊在歐洲各地,脫離土地、脫離社會、脫離現實,轉向虛無的個人世界找尋安慰。對他們來說,「等價交換」原則製造了一個和現實世界隔絕的虛擬世界,是他們賴以維持活下去信念的支撐,這既是一種精神的流浪,同時也是一種精神的自我療愈。因此,面對比爾對自己「矯揉造作」「高談闊論」「不務實事」的一系列指責,傑克並不反駁,反而戲謔地回道,「照你這麼說,這種生活倒蠻舒服嘛」<sup>⑪</sup>。

### 三、社會化身份與道德的回歸

不過,儘管傑克自詡樂得「等價交換」的好處,但他仍身處與勃萊特的情感糾葛之中。他所抱怨的「女人,還啊,還啊,還個沒完」,指的就是與勃萊特的「帳單」<sup>⑫</sup>。他傾心於勃萊特,分擔她的痛苦,卻無法與之結合,還要忍受後者接連不斷的新戀情。但即便如此,在小說結尾勃萊特說出「我們要能在一起該多好」<sup>⑬</sup>時,傑克給出的回答仍是肯定的。這是因為,傑克與勃萊特都是戰爭的受害者,這種相似性將他們緊密聯繫在一起。事實上,以傑克為代表的「迷惘的一代」正是在這個意義上建構起了他們的社會性。他們同病相憐,對對方的遭遇感同身受,從而能夠相互理解,相互依偎。如果說在小說一開始他們在酒精和情欲中集體放縱自己的話,那麼在西班牙他們則一起享受觀看鬥牛帶來的刺激。他們自始至終都是以一個群體的面貌出現的,而不是單一的個人形象。

這在傑克與佩德羅(Pedro Romero)和羅伯特(Robert Cohn)對待勃萊特的不同態度中得到了進一步的驗證。佩德羅和羅伯特並不屬於「迷惘的一代」,二人無法理解也無法融入這一團體。雖然他們共同愛著勃萊特,但佩德羅為了不讓自己「丟面子」<sup>⑭</sup>希望勃萊特留起長髮,羅伯特則一廂情願地將勃萊特與他共度的一周當了真。因此,在小說中,佩德羅最終還是離開了勃萊特的生活,而勃萊特再一次在傑克的懷抱中感到了「舒適」<sup>⑮</sup>,並聲稱要回到邁克的身邊。在這個意義上,傑克的社會性得以彰顯。儘管他以個人主義為信條,但他仍生活在社會性的現實情境之中,保留著與勃萊特以及「迷惘的一代」的同伴的關係,從而為道德的救贖留下了無限的可能。

因此,如果說在小說的前半部分「迷惘的一代」在海明威的筆下懸置了道德,那麼隨著他們的形象被刻畫得越來越清晰,讀者就會認識到,這一群體實際上始終懷有對道德的企盼。其中,比爾(Bill Gorton)就起著「從享樂主義價值觀轉向傳統道德」的重要作用<sup>⑯</sup>。這在比爾的出場中就有了暗示:

比爾·戈頓到了巴黎,在我的住處待了兩天就到維也納去了。他興高采烈地稱讚美國好極了。紐約好得不得了。那裡的戲劇季節規模宏大,還出現了一大批出色的青年羽量級拳擊手。其中每個人都大有成長起來、增強體質並擊敗登蒲賽的希望。比爾興致勃勃。他新近出版的一本書給他掙到了一大筆錢,而且還會掙得更多。他在巴黎這兩天我們過得很愉快,接著他就到維也納去了。他將于三周後回來,那時我們將動身到西班牙去釣魚,然後去潘普洛納過節。<sup>⑰</sup>

比爾來自紐約,但卻並不像傑克對那裡滿懷厭惡,相反,在他眼裡,美國到處都充滿了變化與生機。與此同時,比爾也愛飲酒,愛享樂。這種雙重特徵使得比爾對「迷惘的一代」的享樂生活和正在發展中的現實世界都有一定程度的瞭解。因此,他在向傑克講述了國家和自己的發展之後,很快就制定了和傑克一起旅行的計畫,傑克不僅就此在巴黎有了無所不談的朋友,更重要的是,在比爾的帶領下,傑克到西班牙釣魚、觀



看鬥牛,重新體驗到現實生活的樂趣。這在下麵這段哈裡斯(Harris)與傑克、比爾的對話中得到了充分地體現:

「咳。你們不瞭解,對我來說在這裡和你們相逢的意義有多麼重大。」

「我們過得再快活也沒有了,哈裡斯。」

哈裡斯有點醉意了。

「咳。你們確實不明白有多麼大的意義。大戰結束以來,我沒有過多少歡樂。」

「將來我們再約個日子一起去釣魚。你別忘了,哈裡斯。」

「一言為定。我們一起度過的時間是多麼快活。」<sup>①</sup>

在這裡,三人都感受到了情感的回應。哈裡斯也曾經歷一戰,並為此留下了傷痛的記憶,這使他與「迷惘的一代」發生了強烈的共鳴,因此和傑克、比爾成為了把酒言歡的朋友,共同度過了歡樂的時光。這種轉變背後隱藏著的其實是傑克道德態度的變化,他的非道德立場在這裡已經不再強勢。通過與他人建立情感關係,傑克重新進入社會語境之中並承擔起對他人、社會的責任,完成了社會化意義上的道德救贖。

事實上,在現實世界中,「迷惘的一代」最終也像傑克一樣走向了對道德生活的回歸。「在變化的世界中,青年人面臨著一個更新道德觀念的任務」<sup>②</sup>。「他們痛苦而尖刻地攻擊自己的國家,但幾年後,又完全出於思鄉之情而紛紛回國,定居在沿海各島上或新英格蘭的農場裡,並寫出了在更古老、更世故的歐洲社會影響下醞釀成熟的作品」。「『迷惘的一代』實際上並不迷惘」。他們看似放蕩不羈,但其實從未消沉,他們的「迷惘」更像一種百轉千回的情感體驗,是道德觀念交替階段人們內心所必經的震盪。「在這個過程中,他們為美國奉獻了文學史上最富生氣、最新穎、最激動人心的作品」<sup>③</sup>。而這也正是《太陽照常升起》的旨趣所在。

## 四、結語

作為一部一戰後的作品,《太陽照常升起》敏銳地捕捉到了戰爭帶給人們的心理創傷與道德態度的轉變。在小說的結尾處,勃萊特與傑克得到了短暫的共同相處的時光。雖然二者仍面臨要分別的結局,但對於「在一起」的想法傑克已經有了新的態度。因此,對傑克來說,他的回答「這麼想想不也很好嗎?」<sup>④</sup>並不是一種對現實的妥協,而是表現了對真實生活的坦然面對。這一回答雖然平淡,卻也充滿了生命的力量,展現了傑克在經歷道德救贖之後直面現實困境的勇氣與決心。正如特裡林(Lionel Trilling)所說,「海明威想做的第一件事似乎就是要擺脫那些『感情』,那些舒適的自由人文主義感情,並用真理來取代它們」<sup>⑤</sup>。「作為一個有良知和社會責任感的作家,海明威對祖國的前途和命運深感憂慮」<sup>⑥</sup>。通過刻畫以傑克為代表的戰後青年在現實困境中質疑道德的意義並由此沉落於個人的虛幻世界,但最終在社會關係中重新找到了道德迷途的出口,海明威試圖警示人們,在戰爭面前,理想化的自由人文主義既不能帶給人們道德的意義,也不能展現戰後青年真實的道德狀態。這不僅表達出海明威對他所在時代道德危機的思考,更傳達出他身為一名寫作者的歷史擔當。

## 注釋

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# Research on Visual Affect Construction of Female Identity in *Blossoms Shanghai* TV Drama

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**Abstract:** The TV drama *Blossoms Shanghai* presents a rich repository of visual-emotive resources through its characters. Focusing on its leading female roles, this study employs multimodal social semiotics theory alongside quantitative and qualitative analyses to annotate and analyze their facial expressions. It summarizes the visual effect construction pathways of representative female identities and their connections to Chinese financial culture with distinctive characteristics. The findings reveal that contemporary Chinese female identities exhibit pronounced visual markers. This perspective offers fresh insights into fields such as visual culture and gender studies.

**Keywords:** *Blossoms Shanghai* TV Drama; female identity; visual affect construction; Social Semiotics; characters

**Notes on the contributors:** LIANG Yongjuan, LI Fan, LIANG Yongyi, LIANG Qiuli, and LIN Xinyi are all juniors at Guangdong University of Finance. At present their major research interest is multimodal discourse analysis. The instructor of this study is ZHONG Zenan from the School of Foreign Languages and Cultures, Guangdong University of Finance. LIANG Yongjuan is the lead of this project. Her email address is 3372145223@qq.com.





# 《繁花》女性身份的視覺情感建構研究

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**摘要:**電視劇《繁花》包含豐富的人物角色視覺情感資源,以其中主要女性角色為研究對象,採用多模態社會符號學理論,結合定量和定性研究方法對主要女性人物角色的面部表情進行標注和分析,可以總結典型女性身份的視覺情感建構路徑及其與中國特色金融文化的關聯。研究結果表明,當代中國女性身份視覺特徵顯著,該視角可為視覺文化和性別研究等研究領域貢獻新見解。

**關鍵詞:**《繁花》;女性身份;視覺情感建構;多模態社會符號學;人物角色

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## 一、引言

在新時代背景下,以金融行業為背景的電視劇《繁花》的播出在眾多視頻平臺引起了一定程度的轟動,使其成為新時代探討中國特色金融文化的重要窗口。劇中展現了 20 世紀九十年代上海金融界的繁榮與競爭。習近平總書記在講話中多次提出推動金融高質量發展需培育中國特色金融文化,《繁花》通過其豐富的女性角色塑造,提供理解中國特色金融文化的敘事主體,成為研究中國特色金融文化的視覺建構合適的切入點。

身份建構與情感建構密切相關,視覺情感可通過圖像、文字、聲音等多模態資源建構,激發觀眾情感反應,參與身份建構。基於 Jing(2021)的符號學理論,分析劇中女性角色如何通過表情、姿態傳達情感意義,以及這些視覺符號與社會文化背景如何相互作用塑造社會身份,擬回答兩個研究問題:一是《繁花》中女性身份通過哪些視覺情感手段建構;二是這種建構如何體現當時金融文化。通過定量研究分析劇中主要女性角色如汪小姐、李李和玲子的肢體動作、臉部表情等視覺呈現,定性研究則嘗試探討這些情感手段建構與金融文化背景的相互作用及對女性社會身份的塑造。

通過這些問題的探討,本文擬揭示《繁花》女性角色視覺情感建構機制,以及其與中國特色金融文化背景的關聯,為理解當代中國女性身份提供新窗口,為視覺文化和性別研究貢獻新見解。

## 二、文獻評述

國內學者對於女性身份建構和視覺情感分析的研究現狀表明,學者們正在從多角度探討女性在社會文化和媒體媒介中的形象,不斷深入研究多模態視覺情感分析。在女性身份視覺表述方面,黃慧敏(2021)關注早期女性形象在商品廣告中的構建和表述,探討市場經濟和消費文化對女性身份認同的影響。她提出廣告中的新女性不再崇尚封建禮教,而是有追求時尚的消費觀念,新女性形象激發了女性受眾的效仿願望。



在多模態女性超文化身份建構方面,王伊蕾和鄒甜甜(2021)探討了社交媒體中超文化身份的多模態建構問題。提出將超文化身份視為包括性格、能力、品德等維度的態度意義,並提出分析視頻語篇中身份建構的多模態理論框架。研究認為,在提高國家文化軟實力、中國傳統文化「走出去」的大背景下,研究融會中外、貫通古今的多模態女性超文化身份策略對構建多模態中國話語體系、擴大中華文化影響力具有積極意義。在多模態情感分析方面,學者們正在探索如何結合文本、圖像、視頻和音頻等多種模態來更準確地分析和識別感情。

國外學者們對多模態視覺情感分析的問題進行了多領域多層次的研究,涵蓋了各個領域。在視覺分析方面,語言學家 Gunther Kress 和 Theo van Leeuwen(1996)合作的關於視覺傳達分析的重要著作 *Reading Images: The Grammar of Visual Design* 提供了一個系統性的視角來分析圖像是如何傳達意義的。這本書首次嘗試將圖像當作文本進行解讀,提出了視覺語法的概念,並探討了視覺設計中的結構或「語法」。市場對自動化分析用戶對產品或服務的情感的需求不斷增長,用戶的評論越來越多地以視頻而非僅文本的形式線上分享。在多模態視覺情感分析方面,Anthony Hu 和 Seth Flaxman(2018)提出了一種新穎的方法來進行多模態情感分析,該方法使用深度神經網路結合視覺分析和自然語言處理。旨在推斷用戶的潛在情緒狀態,專注於預測用戶在他們的 Tumblr 帖子上附加的情緒詞標籤,將其視為「自我報告的情緒」。從國外的發展趨勢和研究現狀來看,發達國家在多模態視覺情感分析方面比較成熟,積累了大量成功經驗,這些經驗對於我們國家的學習和借鑒具有重要意義。

由此可見,國內研究在女性身份建構方面取得了一定進展,現有文獻為理解女性身份的視覺情感建構提供了豐富的理論資源和分析工具,但仍缺少對多模態視覺情感分析的研究。國外研究則在多模態視覺情感分析方面更為成熟,但這些研究可能缺乏對中國特定社會文化背景的深入理解,未能充分考慮當時中國時代背景下的金融文化。此外,國外缺少了對於女性身份建構的研究。綜合來看,對於女性身份的視覺情感建構存在著一些尚未解決的難題,這是由問題的複雜性和多樣性導致的。儘管如此,國外在多模態情感分析方面的研究也為我們提供借鑒,我們可以學習其方法和理論來更好地應對女性身份建構的問題。未來的研究應該更加關注多模態數據的整合分析,利用先進的技術手段來分析女性角色的視覺情感建構,鼓勵跨學科的合作以獲得更全面的視角。

### 三、研究對象與理論

#### (一) 研究對象

本研究聚焦《繁花》這一部由中央電視臺、騰訊視頻、上海電影(集團)有限公司以及上海繁花裏企業發展有限公司聯合出品的電視劇作品。該電視劇由胡歌、馬伊琍、唐嫣、辛芷蕾領銜主演,並特邀陳龍、鄭愷、遊本昌等明星出演。2023年12月27日,《繁花》在總臺央視電視劇頻道開播僅10分鐘,收視率便突破2%,顯示出了強大影響力。

《繁花》的故事背景設定在20世紀90年代初的上海,彼時機遇與風險並存。阿寶得益於爺叔的悉心指點,以及夜東京老闆玲子和外貿大樓汪小姐的大力協助,同時憑藉自身努力成功躋身商界,聲名顯赫於上海黃河路。而後神秘女子李李突然降臨,對阿寶的事業產生了衝擊,阿寶與周邊人物的關係也因此面臨嚴峻考驗。

本研究的標注對象為李李、汪小姐和玲子。這三位女性角色與阿寶存在著複雜的情感關聯,因此展現出豐富的視覺情感表達。

## (二) 研究理論框架

本研究圍繞《繁花》展開多模態敘事與身份重構的探討,理論框架構建於多學科理論基礎之上,綜合運用了社會符號學、多模態話語分析以及視覺情感分析的敘事學理論。

符號學思想最先出現在古希臘時期。直到 20 世紀中葉,由索緒爾和皮爾士建立的符號學理論,這才正式成為獨立學科。澳大利亞的系統功能語言學創立者韓禮德提出了社會符號學概念,開創了符號學研究的新路徑。*Language as social semiotic: The social interpretation of language and meaning* (1978) 作為韓禮德系統功能語言學的開山著作,詳細地介紹了語言是社會的構成部分、文化產物和符號系統。以韓禮德為代表的系統功能語言學派提出了語言的三大元功能假說,即人際功能、概念功能和語篇功能,這使得對語言的解讀從關注語言自身的特性與形成轉變為重視語言的社會功能。

在此之後,以英國學者霍奇與克雷斯為代表的相關學者紮根於韓禮德的社會符號學理論,在其影響下,將研究對象從語言推進到話語層面,認為符號活動在條件和內容方面具有社會屬性。社會符號學的基本任務就是探究各類符號在活動過程中的意義生產和再生產、接受和傳播的過程與效果。

以韓禮德為代表的該學派將這種以話語為主導的社會符號學模式進一步拓展至非言語符號領域,如圖像、視頻等,主要參考了系統功能語言學針對語言元功能的分析,由此實現社會符號學從單一模態邁向多模態話語分析,即多模態社會符號學。該理論從以多模態取代傳統話語這一概念著手,拓寬了話語分析的應用範疇。

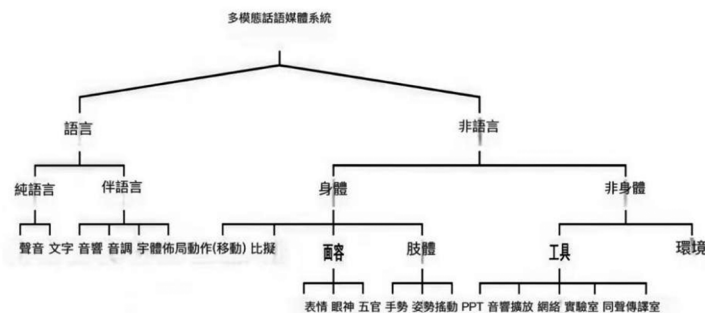


圖 1 張德祿 (2009) 提出的多模態話語媒體系統

基於以上理論基礎, Alexandros Pournaras, Nikolaos Gkalelis, Damianos Galanopoulos 和 Vasileios Mezaris (2021) 提出, 視覺情感分析是指識別圖像所傳達的情感的問題, 圖像資源作為多模態的重要組成部分, 具有傳達強烈情感的力量, 因此視覺情感分析是意見挖掘的重要手段。Jing (2021) 從多模態社會符號學的角度, 對圖像中人物的面部表情和身體姿勢所表達的情感意義與內涵進行了探討, 提出了一套視覺情感系統以及涉及視覺情感表達的資源系統。該系統為本研究提供了一個更有意義的框架, 因此本研究擬採用以下理論框架對《繁花》中主要角色女性身份的視覺情感資源進行標注。(圖 2)

多模態下的視覺情感分析尚處於起步階段, 隨著科技的進步, 該領域日益受到關注。近年來, 在這一充滿潛力的領域中湧現出諸多新的思路, 尤其是視覺情感分析已開始應用於不同類型的社會情緒數據分析。在此情形下, 對多模態下的視覺情感分析展開全面探究實屬必要, 且具有重要意義。鑒於目前缺乏對多模態下視覺情感分析的詳細探究, 本研究總結了與該主題相關的現有文獻, 對《繁花》中三位女性角色進行視覺情感分析以及身份重構分析。

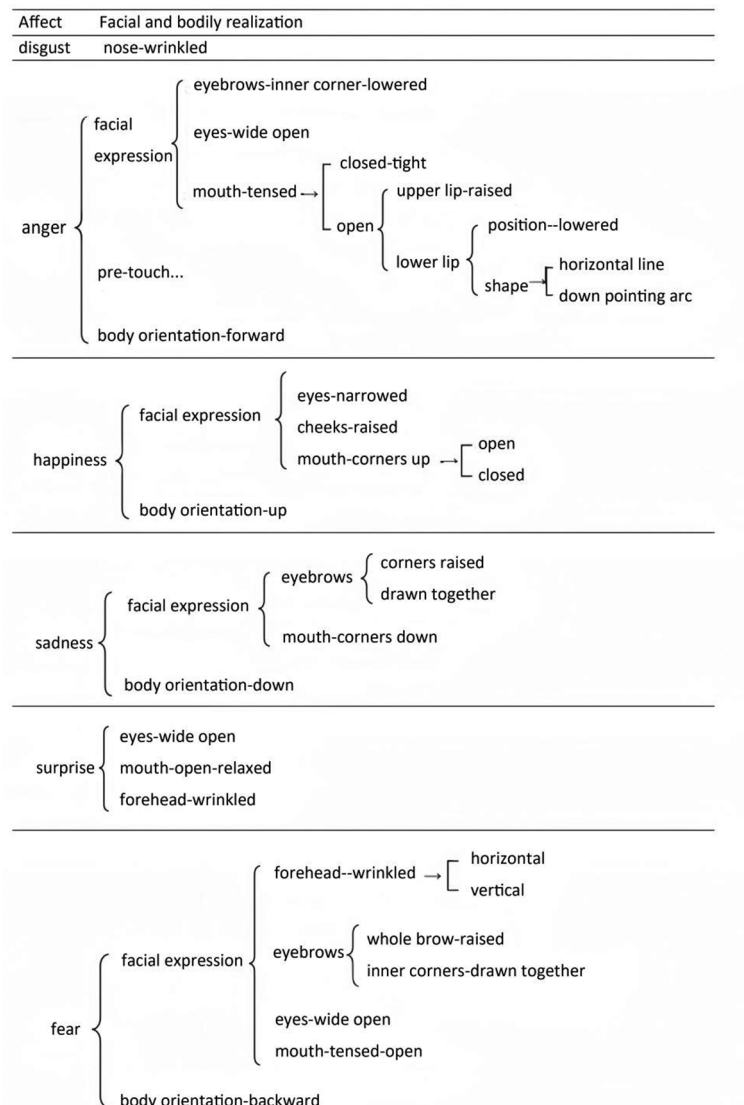


圖 2 《繁花》中女性身份視覺情感資源標注

## 四、量化研究結果

Jing(2021) 視覺情感理論框架提供了完整的視覺情感資源網路,根據其在 ELAN 軟體上進行標注(圖 3)。附錄列出了帶有電視劇中相應插圖的編碼方案。

以下是編碼步驟:(1)將《繁花》30 集檔並導入軟體標注。(2)分析劇中三位女性所出現的行為,判斷對應視覺情感。同時特別標注因相關金融元素所出現的視覺情感。(3)標注完成後,5 集為單位,提取到 Excel 軟體創建的表單,以統計每個標注特徵中三位女性不同情感的數量。(4)角色情感數量統計完成後,彙集數據在 Excel 表單中畫出折線圖。(5)對以上結果進行定量分析。

總體上,結合統計出的三位角色總體情感分佈(圖 4),三位女性的情感數量在前 15 集處於正常水準,但到 16-20 集都來到高峰,這是因為故事的發展來到高潮部分,即三位女性與寶總的關係發展進入轉變,角色開始成長。

整體故事主要以「李李來到黃河路開飯店」拉開序幕,李李寶總相互試探(1-5)寶總汪小姐共同拿下三

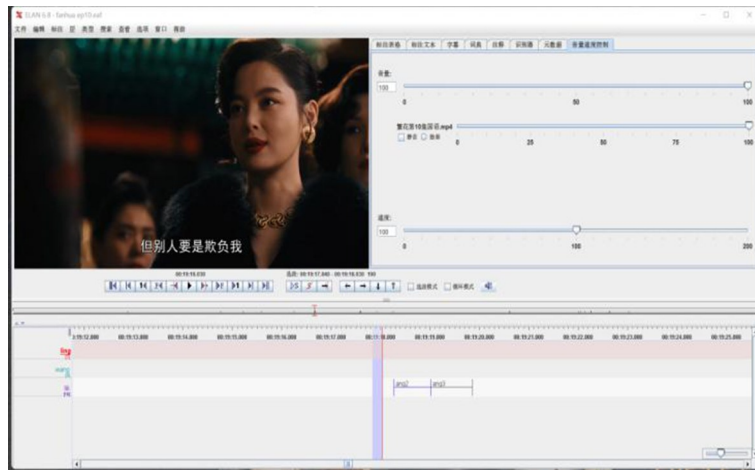


圖 3 使用 Elan 6.8 版本標注視覺情感參數

羊訂單(6-10)、黃河路飯店保衛戰(6-10)、汪小姐停職與寶總發生矛盾(11-15)、汪小姐辭職單幹,玲子與寶總分道揚鑣(16-20)、寶瀛大戰(21-30)。

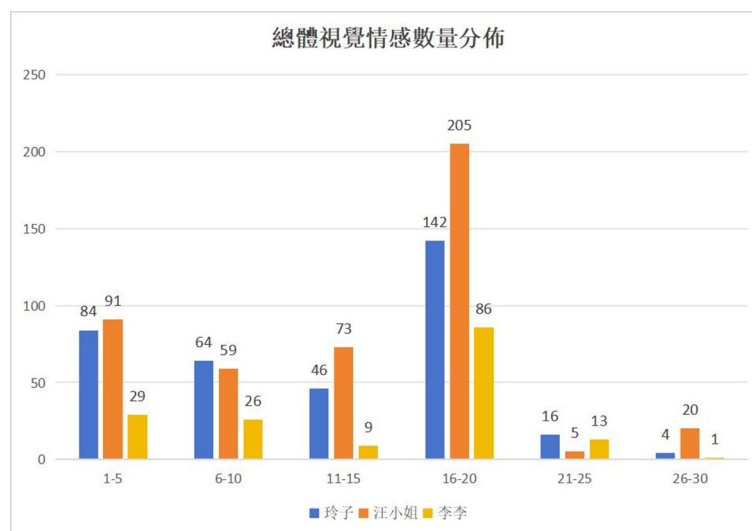


圖 4 三位女性角色的總體視覺情感數量分佈

## 五、質化研究結果

《繁花》女性身份具有豐富的多模態評價資源,體現了當代女性豐富細膩的情感特徵。為了更好地說明女性身份如何通過視覺情感建構,我們分析出每位女性在劇情發展中的視覺情感變化趨勢(圖 5、圖 6、圖 7)。

### (一) 視覺情感助推人物身份表達

三位女性的視覺情感數量分別對比(圖 4),可以看到汪小姐領先,六個單位裏,四個是最多的,最高達 205 個,其次是玲子、李李,可能是因為三位女性身份塑造的不同。

整篇劇集中,汪小姐的身份始終清晰,是外灘 27 號的公務員,工作好、形象好,性格情感便不需要太多的





遮掩;玲子作為飯店的老闆,性格潑辣,情感輸出自然也不會少;而李李是空降到黃河路,成為至真園的老闆,前半篇幅都在塑造李李身份的神秘,視覺情感上的流露便不會太多。因此,身份的塑造一定程度上會影響人物視覺情感的表達。

## (二) 女性自我意識覺醒

在傳統以男性為主要角色的電視劇中,女性角色往往充當男性角色的附庸,也是男性身份塑造的最大幫助者。無疑,《繁花》前半部分裏,汪小姐和玲子都自覺充當了寶總賢內助的身份,視覺情感起伏正常,但在 16-20 集當中都來到最高水準。

玲子獨立自主的轉變。前 15 集裏面,寶總對李李和汪小姐兩位女性角色的試探與貼近,happiness 不斷下降,sadness 的上升,兩種情感的壓迫下,在 16-20 集爆發,anger 的大幅上升。汪小姐被查事件成了導火索,夜東京分隊決裂,僅是因為菱紅高價賣給玲子的耳環,直言寶總看不上玲子,打破了玲子多年來對寶總的幻想,她開始擺脫對寶總的依賴,自己獨立經營店鋪,happiness 上升。

汪小姐堅韌不拔的精神。汪小姐的成長線也是典型的女性主義自我意識覺醒。如 6-10 裏 fear 的增加,汪小姐擔心寶總安危,開車去諸暨,途中因車速太快,發生車禍,險些受傷,這體現了前期汪小姐對男主寶總「堅韌不拔」的愛。後愛而不得,一句「我是自己的碼頭」,在 16-20 集拉開序幕。明珠公司與寶總爭奪牛仔褲訂單,面臨爺叔的圍堵以及寶總的讓位,anger 增加;sadness 的上升是發現當自己不再隸屬外灘 27 號,處處受挫,可她沒有放棄,利用其與 27 號的關係,獲得上游優勢,成功拿下訂單,不再是 27 號的汪小姐,而是明珠公司的汪老闆。

李李神秘魅惑。區別於其他女性角色,她們通常都是性格鮮明,身份明晰,而她從一開始就與眾不同,圖 4 展示了她整體的視覺情感變化趨勢,總體數量不多,大部分較為平穩,直至 21-25 寶瀛大戰中才開始揭開身份的面紗,sadness 上升,因該階段講述了她為什麼來到黃河路,是為償還她深愛的 A 先生的債務,真正完成這些以後,找到了自我,最後削髮為尼。

前後期的對比及故事高潮時視覺情感的爆發下,前期兩位女性關於寶總持久或熱烈的愛的感慨,中期寶總在三位女性之間的進退,最後每位女性都收穫成長,給觀眾帶來深刻的體驗,仿佛她們就在另一個平行空間裏被構建、塑造。

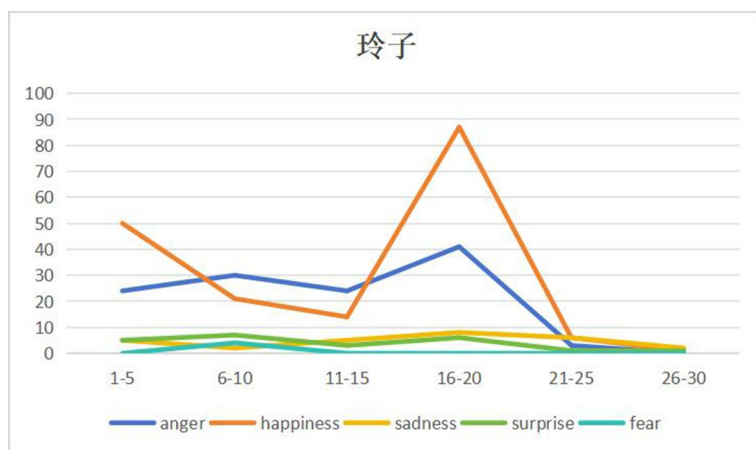


圖 5 玲子全劇集視覺情感發展趨勢

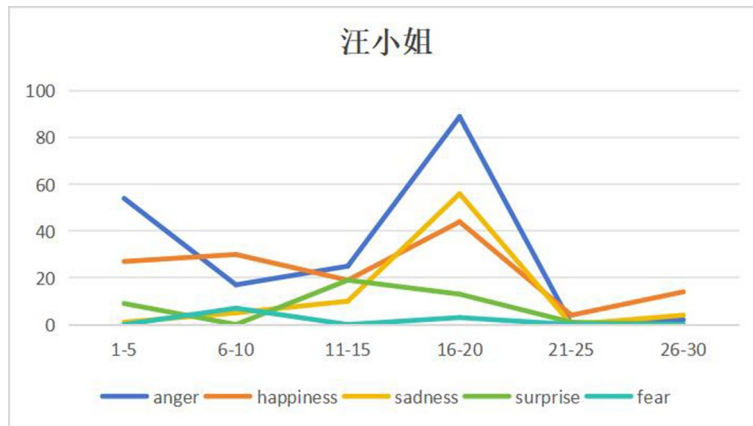


圖 6 汪小姐全劇集視覺情感發展趨勢

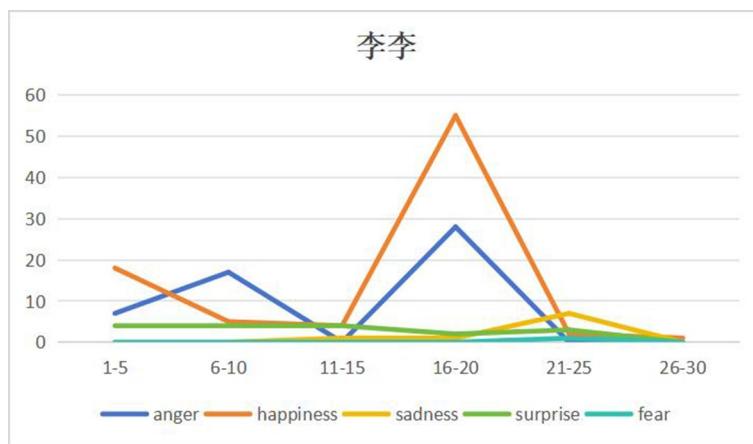


圖 7 李李全劇集視覺情感發展趨勢

### (三) 女性視覺情感體現的金融文化

結合計算出的視覺情感,我們還對其進行分類,統計出與金融文化相關的視覺情感占比(圖8)。

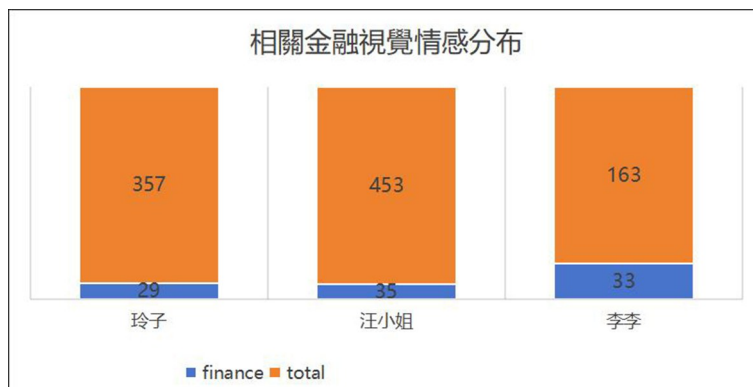


圖 8 金融視覺情感分佈

其中,李李的占比尤其大,因與其身份有關。新時代金融文化曾提到「依法合規,不胡作非為」,在黃河路保衛戰(6-10)中卻違反了這一條。



黃河路女老闆們不滿外地人李李能在黃河路把至真園辦得這麼好,搶走了許多顧客。因此,她們罔顧法規,搞起「地頭蛇」的套路,壟斷黃河路所有的海鮮;挖走至真園後廚團隊;搶斷至真園電量;迫使顧客前往至真園,「四板斧」下來是要把至真園趕出黃河路,構成惡意競爭。因而,6-10 中 anger 上升,happiness 下降。

總而言之,女性的視覺情感在一定程度上能夠體現新時代中國特色金融文化。

## 六、結語

本研究聚焦電視劇《繁花》中的女性角色,以多模態社會符號學理論為基礎,運用定量定性研究方法,探討女性身份視覺情感建構與金融文化的關聯。在理論應用方面,創新運用多模態社會學理論,突破傳統,為女性身份建構研究提供新視角方法。在實證方面,分析三位女性角色,分析了相關敘事要素,揭示不同女性角色在視覺情感表達上的差異以及這些差異與角色身份塑造和故事情節發展之間的緊密聯繫。然而,樣本僅選三位女性存在局限,在一定程度上限制了研究結論的普遍性和適用性。在未來應綜合考慮多種文化因素,採用多樣化研究方法並加強跨學科合作,以更好地研究女性身份建構。

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附錄 視覺情感編碼方案

編碼	視覺符號資源	示例	解釋
Anger	角色身體前傾		汪小姐看到魏總霸佔自己訂好的房間,很生氣。
Happiness	角色眼睛眯起,顴骨升起,嘴角向上		黃河路老闆娘們奉承她和寶總是一對。
Sadness	角色身體朝下,眉毛皺起,嘴角向下		汪小姐前去諸暨救寶總的路上,出車禍,險些危及生命。
Surprise	角色眼睛睜大,嘴巴放鬆		玲子得知三羊牌 T 恤沒人買,很驚訝。
Fear	角色身體後撤,前眉緊皺,嘴巴張開		玲子得知自己店鋪賣出的襯衫都是冒牌貨,感到後怕。

(Editors: LI Ruobing & Bonnie WANG)

**[Studies in Translation]**

# English Translation of *Chinese Philosophical Concepts* by Wing-tsit Chan: A Case Study of *A Source Book of Chinese Philosophy*

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**Abstract:** This study introduced Wing-tsit Chan's thoughts on the translation of Chinese philosophical concepts, analyzed the characteristics of Chinese philosophical concepts in their ways of expression, and took *A Source Book of Chinese Philosophy* as a case study to explore Wing-tsit Chan's principles and methods of reproducing the inner spirit and expressive attributes of Chinese philosophical concepts.

**Keywords:** Wing-tsit Chan; *A Source Book of Chinese Philosophy*; English Translation of Chinese Philosophical Concepts

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Wing-tsit Chan is one of the most highly acclaimed translators of Chinese philosophical texts and a researcher of Chinese philosophy after the Second World War. He is the longest-standing Chinese scholar who taught and specialized in Chinese philosophy in the West, and he was an active contributor to changing the misconception that there was no philosophy after the Qin and Han dynasties. He compiled and translated a host of Chinese philosophical texts such as: *A Source Book of Chinese Philosophy*, *The Way of Lao-tzu: Tao Te Ching*, *The Platform Scripture: The Basic Classic of Zen Buddhism*, *Instructions for Practical Living and Other Neo-Confucian Writings*, *Neo-Confucian Terms*, and *Reflections on Things at Hand*. These translations are well known in the Western world, and after Wing-tsit Chan's death in 1994, the New York Times published an obituary, hailing him as "an important translator of Chinese philosophy in the 20th century". (Cui, 2010: 297)

*A Source Book of Chinese Philosophy* is the most influential translation of Chinese philosophical texts by Wing-tsit Chan. This anthology of Chinese philosophical texts was compiled and translated by Wing-tsit Chan



over the course of twenty years and is over 850 pages in length. It has been reprinted five times since its first edition in 1963 by Princeton University Press. This anthology is recognized as the most authoritative anthology of Chinese philosophy in the Western world and has been used for many years as a textbook for courses on Chinese philosophy in Western universities, and has been the most cited compared with texts of the same kind in recent decades. Roger T. Ames described the publication of this anthology as “a major event in the study of Chinese philosophy in the United States”. (Cui, 2010: 266) Robert C. Neville hailed the publication of this anthology as “the most important thing in Chinese philosophy in the West.” (Neville, 2000: 42)

Chinese philosophical concepts are the concentrated expression of the inner spirit of Chinese philosophy, and their translation is an important way to construct Chinese philosophical discourse in the Western world. Therefore, sorting out and analyzing Wing-tsit Chan’s principles and methods adopted to reproduce the characteristics of Chinese philosophical concepts in *A Source Book of Chinese Philosophy* will help to provide references for the translation of Chinese philosophical concepts, as a result, be conducive to the promotion of Chinese philosophy in the Western world.

## 1. Wing-tsit Chan’s Thoughts on Translating Chinese Philosophical Concepts

Before World War II, the main body of translators of Chinese philosophical texts were missionaries. Most of the missionary translators adopted the method of “reverse *geyi*” in translating Chinese philosophical concepts. *Ge yi* was the main method of translating Buddhist scriptures, aiming to translate Buddhist terms and ideas by using concepts and ideas from Confucianism, Taoism, and other schools of Chinese philosophy. Reverse *geyi*, on the other hand, is the opposite path, meaning the use of Western philosophical concepts to translate Chinese philosophical concepts. For instance, the missionary translators used Christian terms such as “the way,” “fate,” and “god” to translate Chinese philosophical concepts such as “道” “命” and “上帝”, thus religionizing Chinese philosophy. The disadvantage of this approach is that Chinese philosophy has been reduced to a “inferior variation” of Western philosophy, which makes Western readers lose their respect and interest in Chinese philosophy.

After World War II, with the increased acceptance of Chinese culture in the western world, the dominant method employed to translate Chinese philosophical concepts has gradually shifted from the “reverse *geyi*” of the previous period to the method of accurately reproducing the features and spirit of Chinese philosophical concepts. Wing-tsit Chan is a representative of this paradigm. In his article “The Evolution of the Confucian Concept *Jen*”, Wing-tsit Chan emphasizes that *Jen* should be translated in line with different contexts. In the preface of *A Source Book of Chinese Philosophy*, Wing-tsit Chan summarizes seven principles of translating Chinese philosophical texts. The first three of these seven principles are related to the translation of Chinese Philosophical concepts: 1. to refer to classical commentaries as much as possible; 2. All Chinese philosophical terms must be explained; 3. All proper names must be cited in detail. (Chan, 1969: xi-xii) Attached to this anthology is Wing-tsit Chan’s monograph on the translation of Chinese philosophical concepts, titled “On the Translation of Certain Chinese Philosophical Concepts”. In this monograph, Wing-tsit Chan analyses the difficulties in translating Chinese philosophical concepts and the different methods of translating different types of concepts into English. Some terms, such as *yin* and *yang*, are very rich in meanings, so they should be transliterated. Some concepts should

be freely translated for revealing the gist. Some concepts have multiple meanings, such as “文” which can mean “texture”, “literature”, “symbol”, “culture” and other connotations that should be translated depending on different contexts. If there are multiple translations, the one that suits the author’s intention should be chosen.

Generally speaking, Wing-tsit Chan’s translation of Chinese philosophical concepts aims to represent the true spirit of Chinese philosophy and adheres to the principle of “all concepts must be interpreted”. He opposes word-for-word translation and sheer transliteration but stresses the importance of revealing the contextual meaning of Chinese philosophical concepts, so as to represent the polysemous nature of Chinese philosophical concepts.

## 2. Differences between Chinese and Western Philosophical Concepts in Way of Expression

Second problematic thinking, or causal thinking, is the way of thinking that dominates Western philosophy. In *Anticipating China: thinking through the Narratives of China*, Robert C. Neville and Roger T. Ames point out that second problematic thinking is based on the following presuppositions: first, the origin of the world is explained in terms of “chaos”; second, the world is of a single order; third, the world should be analyzed in a static rather than a dynamic way; and fourth, the universe is traced back to the first mover; fifth, the changes in the universe are determined by a transcendental mover behind it. (Hall and Ames, 2005: 6–7) In short, what Robert Solomon describes as “transcendental pretense” is the core of this thinking. It requires a transcendental cause (mind, first mover, God) to explain the creation and movement of things. This way of thinking emphasizes logical analysis and the univocity of definitions.

The first problematic thinking is analogical and associative thinking. This way of thinking emphasizes change, treats things as interrelated composites, does not assume that there is a transcendental motive behind things, and does not presuppose the “one” behind the “many”. (Hall and Ames, 2005: 7) This thinking does not look for the “essence” or “objective attributes” of definitions but relies on images and metaphors characterized by polysemy and ambiguity as the main means of expression. This way of thinking is implicit in Western philosophy but has profoundly shaped Chinese philosophy.

The difference between Chinese and Western philosophy is rooted in the difference between these two kinds of thinking. First, the first problematic thinking, i. e., correlational thinking, is implicit rather than explicit in the West, but it has profoundly influenced Chinese culture. Second problematic thinking, i. e., causal thinking, dominates Western culture, but is not explicit in Chinese culture.

These two ways of thinking have also profoundly influenced the expressive way of philosophical concepts in both western and Chinese philosophical traditions. Concepts in Western philosophy are characterized by clarity in reference. Western philosophy, dominated by the second problematic thinking, emphasizes the transcendental “substance”. Therefore, the expressive way of concepts in Western philosophy is also substantive, which is reflected in the correspondence between the concept and its referent, and in the clear demarcation between connotation and extension of the concepts.

The Chinese philosophical concepts dominated by the first problematic thinking have the following characteristics in terms of way of expression: firstly, the concepts and their referents do not correspond to each other distinctively. Chinese philosophy stresses that the real and the unreal are inter-dependent. Therefore,



concepts in Chinese philosophy are intended to refer to both the real and the unreal. Accordingly, there is a situation in which language is smaller than what it signifies, as “words are not enough to express the meaning,” as stated in the *Book of Changes* and “words are not enough to express the things,” as stated in *Zhuang tzu*.

The second is simplicity and flexibility in the way of expression. Because of the interdependence of the real and the unreal in Chinese philosophy, “propositions”, which aim at making judgmental statements about the nature of things, can only grasp the real side of things, while the unreal side is difficult to reveal. For the unreal side, Chinese philosophy uses a flexible way of expression to reveal. In Chinese philosophy, a concept with multiple referents is condensed in a concise character or two characters, aiming convey the infinite through the finite.

### 3. Wing-tsit Chan's Translation of Chinese Philosophical Concepts in *A Source Book of Chinese Philosophy*

When a philosopher establishes a philosophical system, he will come up with a number of concepts. These concepts will form the concept system of this school. Zhang Dainian classifies Chinese philosophical concepts into three categories according to their different nature: supreme concepts, indefinite concepts, and definitive concepts. The supreme concepts refer to “the concepts that represent the origin of the world or the ‘substance’” (Zhang, 2000: 13), such as “*ti'en*”, “*tao*”, “*qi*”, “*li*” and “*mind*”. Indefinite concepts refer to “concepts that are common to all schools but whose connotations differ from one to another” (Zhang, 2000: 13) such as “*de*” “*beauty*”. Definitive categories refer to categories that have the same and definite connotations in all schools of Chinese philosophy (Zhang, 2000: 14), such as “*five element s*” and “*nature*”.

“*Ti'en*” (天) is a key concept in Chinese philosophy, belonging to the highest category concerning the origin of the world. In ancient times, “*Ti'en*” had two folds of meanings: first, it referred to a personified God, and second, it referred to the sky in an objective sense. In Chinese philosophy, the Confucian idea of “*Ti'en*” is with a transcendental dimension. For example, “天之降喪斯文也,後死者不得與於斯文也。天之未喪斯文也,匡人其如予何!” Both the fate of individuals and the rise and fall of civilisations are determined by “*Ti'en*”, and the Confucian “*Ti'en*” has a will but no personality. On the other hand, in Confucianism, “*Ti'en*” in some cases also refers to the laws of nature. For example, “大哉堯之為君也,巍巍乎! 唯天為大,唯堯則之。”(《論語·泰伯》) “*Ti'en*” in this sentence refers to the objective vast sky.

The Taoist “*Ti'en*” is basically natural sky. For example, “天之蒼蒼,其正色耶? 其远而无所至极耶?” (《莊子·逍遙遊》) The Taoist “*Ti'en*” also refers to the state of being natural. For example, “何謂天,何謂人? ……牛馬四足,是謂天;落馬首穿牛鼻,是謂人。”(《莊子·秋水》) Mozi speaks of “the will of *Ti'en*”, and his “*Ti'en*” is the supreme god with a will. “順天意者,兼相愛交相利,必得賞;反天意者,別相惡交相賊,必得罰。”(《墨子·天志上》) In Mozi's view, “*Ti'en*” can reward and punish people, and has a will. Mozi's emphasis on ungraded love is the embodiment of *Ti'en*'s will.

In Neo-Confucianism, “*Ti'en*” became the highest-ranking substance. According to Zhang Zai, “*Ti'en*” is emptiness, a state in which *qi* is dispersed but not yet gathered. “氣之聚散於太虛,猶冰凝釋於水。知太虛即氣則無無。” “由太虛,有天之名。”(《正蒙·太和》) In other words, “*Ti'en*” is the whole of *qi*, the infinite material world. Cheng Hao believes that “*Ti'en*” is *li* (理). “天者,理也。”(《程氏遺書》) Cheng Hao then went



on to equate *Ti'en*, *li*, and *xing* (性). “性即理也。”“道與性一也……性之自然者謂之天;自性之有形者謂之心;自性之有動者謂之情,凡此數者皆一也。”(《程氏遺書》) *Ti'en*, *li*, and *xing* are unified. Wang Yangming, on the other hand, equates *Ti'en* with *mind*, “心即天,言心則天地萬物皆舉之矣。”(《答李明德》)

To sum up, “*Ti'en*” is of two dimensions in Chinese philosophy: one is idealist, where “*Ti'en*” is the transcendental existence with will or the highest concept; the other is materialist, where “*Ti'en*” equates the natural sky, an objective existence opposite to the earth.

1. 顏淵死。子曰:“噫!天喪予!天喪予!”

Translation: When Yen Yüan died, Confucius said, “Alas, Heaven is destroying me! Heaven is destroying me!”

In this sentence, although “天” is impersonal, it is a transcendental existence with a will, and is the ultimate determining force in the development of human affairs and society. Wing-tsit Chan introduces the concept of “天” in the preface of the chapter “The Humanism of Confucius”. When this concept first appeared, Wing-tsit Chan used the combined method of transliteration + English equivalent + explanation to translate “天” as *T'ien*, and used the English equivalent Heaven as explanation, capitalizing the first letter to emphasize its terminological nature, then followed by the explanation: “His Heaven is purposive and is the master of all things.” (Chan, 1969: 16) He also emphasises that Confucius’ “*T'ien*” has a will but is not personified. In the translation of this sentence, Wing-tsit Chan uses “*Heaven*” to translate *Ti'en* without any elaboration or explanation. He has accurately grasped the transcendental nature of “*T'ien*” in this context, and the translation of “*T'ien*” with ‘heaven’ also reproduces the simplicity of Chinese philosophical concepts. However, as Roger T. Ames emphasises, Heaven is a Christian term; although it is much less anthropomorphic than “God”, the word “Heaven” has personalized connotation. When the Western reader reads “Heaven”, the transcendental “God” will inevitably come to mind. “Heaven” gives an anthropomorphic touch that “*Ti'en*” does not possess. In addition, “Heaven” in Western philosophy does not have multiple meanings, and the disadvantage of using “Heaven” to translate “*Ti'en*” is that it simplifies the connotation of “Heaven” and fails to successfully express the polysemous nature of “天” as a Chinese philosophical concept.

2. “知天之所為,知人之所為者,至矣。”(《莊子·大宗師》)

Translation: He who knows the activities of Nature (*T'ien*, Heaven) and the activities of man is perfect.

In this sentence, “天” and “人” are held in opposition to each other, but “天” and “人” are not in a relationship of domination and being dominated, but are interrelated and complementary, which is a reflection of first problematic thinking. “*Ti'en*” in this sentence means nature.

Wing-tsit Chan’s translation of “天” as nature, with its transliteration “*Ti'en*” and English equivalent “heaven”, accurately conveys the meaning of this concept in this context, and effectively reproduces the polysemous nature of Chinese philosophical concepts. However, the use of “heaven” to supplement the description of “*Ti'en*” gives Zhuangzi’s philosophy a transcendental attribute that it does not have.



3. 死生,命也。其有夜旦之常,天也。(《莊子·大宗師》)

Translation: Life and death are due to fate (ming, destiny) and their constant succession like day and night is due to Nature, beyond the interference of man.

Wing-tsit Chan uses “Nature” to translate “天” in this sentence, capitalizes the first letter to emphasize its terminological nature, and then adds “beyond the interference of man” to express the meaning of being natural.

## 4. Conclusion

In conclusion, Chinese philosophical concepts are characterized by simplicity, polysemy and flexibility. In the English translation of Chinese philosophical concepts in *A Source Book of Chinese Philosophy*, Wing-tsit Chan attempts to represent the characteristics of Chinese philosophical concepts. As far as the reproduction of simplicity is concerned, Wing-tsit Chan adopts the method of selecting an English equivalent word or a transliterated word so as to express the simplicity of the original concepts and, at the same time maintain the coherence of the conceptual form. As far as the reproduction of polysemy and flexibility is concerned, Wing-tsit Chan usually introduces the multiple meanings of the concept when it appears for the first time and uses the combined method of transliteration and appending the English equivalent with a detailed explanation of the concept. When translating this concept in subsequently selected texts, Wing-tsit Chan will adopt different methods for the purpose of revealing its different contextual meanings. The strategies and methods employed by Wing-tsit Chan can provide historical experience and practical reference for the translation of Chinese philosophical concepts.

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(Editors: Derrick MI & JIANG Qing)

# A Study on Idioms and Their English Translations in Political Discourse from the Perspective of Embodied-Cognitive Linguistics: Based on the Parallel Corpus of *Xi Jinping: The Governance of China (IV)*

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**Abstract:** In *Xi Jinping: The Governance of China (Volume IV)*, idioms are frequently used to expound on new ideas, new issues, and new principles with Chinese characteristics. This article draws on Wang Yin’s embodied cognitive linguistics and based on the “character pattern” classification standard of idioms, constructs a small Chinese-English parallel corpus. It analyzes the application of idioms in political discourses and explores the embodied cognitive mechanism of metaphorical idioms. Based on the Chinese and English versions of this volume, combined with the “three forms, three times experiences, and three times cognition” of translation, this study explores the retention, transformation, loss, and disappearance of the “image” in the English translation of idioms from the three different situations of “same embodied cognition”, “similar embodied cognition”, and “different embodied cognition”. This study finds that the English translation of idioms can be achieved through strategies such as preserving meaning with the same “image”, obtaining meaning by changing the “image”, transferring meaning by discarding the “image”, and explaining meaning by implanting the “image”.

**Keywords:** Embodied-cognitive linguistics; *Xi Jinping: The Governance of China (IV)* ; idioms; translation

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# 體認視閥下政治語篇中的熟語及其英譯研究 ——基於《習近平談治國理政》(第四卷)平行語料庫

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**摘要:**《習近平談治國理政》(第四卷)多處採用熟語來闡明中國特色新思想、新問題、新事理。文章援引王寅的體認語言學觀點,依據熟語的「字格」分類標準自建小型漢英對照平行語料庫,分析熟語在政治語篇中的應用,探究隱喻性熟語的體認機制。基於該卷的中英文版本,結合翻譯的「三形三體三認」,從「雙語互動體認」中的「同體認」、「似體認」和「異體認」三種不同情況,探討政治語篇中熟語英譯「意象」的保留、轉換、虧損與失落。研究發現,可以通過同「象」保義、換「象」取義、舍「象」轉義和植「象」釋義的策略進行熟語英譯。

**關鍵詞:**體認語言學;《習近平談治國理政》(第四卷);熟語;英譯

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## 一、引言

《習近平談治國理政》(第四卷)中英版本,由中國外文局所屬外文出版社出版。其在國內外市場廣泛傳播,自發行之日起,便在推廣黨的獨特創新理念、激發人民奮發向前、展示我國卓越形象等方面產生了顯著影響。該卷書較為顯著的特點之一就是其親民性,書中的政治理念常常用講故事、借用熟語和隱喻來表達。書中的熟語不僅僅是一種特色中國表達,更涉及到中國人特有的認知方式,與中國勞動人民的生活體驗與經驗息息相關。如:用「衣食父母」隱喻老百姓;用「老虎、蒼蠅」隱喻腐敗分子等。隱喻性熟語的使用使得一些抽象的政治思想和觀點更為具體,使得大眾讀者更能客觀、準確地理解,且賦予政治語篇強烈的親和力和感染力。英譯本的譯者團隊成員均來自國務院新聞辦公室、中央文獻研究室、中國外文局以及中央編譯局。<sup>①</sup>譯文不僅傳達了源語言文本的意義,也更深入考慮到譯入語讀者的接受;譯文文本具有權威性,翻譯方法值得研究與借鑒。本文從體認語言學視角出發,分析熟語的體認性,依據「熟語」的「字格」分類標準,自建小型平行語料庫,分析《習近平談治國理政》(第四卷)中熟語的特點和應用,結合該卷的中英文對照版本,從翻譯的「源語言解構體認」、「語際交互體認」、「譯入語建構體認」三個方面探討熟語翻譯體認過程中「意象」的保留、轉換、虧損與失落。

## 二、熟語的界定、分類及數據統計分析

熟語,在《現代漢語規範詞典》(2022)中的釋義為:「只能整體應用,不能隨意改變其形式的固定短語。包括成語、慣用語、諺語、歇後語等」。<sup>②</sup>在《現代漢語詞典》(2021)中的釋義為:「指常用而定型的片語或語句,只能整個應用,不能隨意變動其中成分」。<sup>③</sup>《辭海》(2019)中,「熟語」亦稱「語彙」,語言中固定的片語



或語句。使用時一般不能任意改變其組織,且必須從整體來理解語義。包括成語、諺語、格言、慣用語、歇後語等」。<sup>④</sup>

詞典中雖然對熟語、成語、慣用語、諺語、歇後語各個詞目的定義不完全一致,但對熟語的界定及其分類的認識是一致的。熟語是其他範疇的上位詞,屬於統稱詞;而成語、慣用語、諺語、歇後語等屬於熟語的下設範圍的分類,屬於狹義「被屬」範疇。基於文獻查閱及語料庫統計結果,參考萬華(2017)對熟語的分類,<sup>⑤</sup>本研究將該卷書中的「熟語」分為以下四類,如下表所示:

統稱	分類	分類依據	示例
熟語	慣用語	三字格	一刀切、牆頭草、開倒車、卡脖子、一盤棋
	成語	四字格	乘風破浪、與日俱進、求同存異
	俗語	多字格	讓別人牽著鼻子走;心往一處想,勁兒往一處使
	格言/諺語	句子	治國之道,富民為始;打鐵必須自身硬;遇山一起爬,遇溝一起跨。

表 1 「熟語」的分類

根據不同的組合方式,本研究將熟語分為四大類。(1)慣用語。主要是習慣用語,屬完整意義單位,是其比喻義的整體運用,具有濃重口語色彩,使得政治語言更「接地氣」,有效增強政治語篇的生動趣味性。這類熟語多為「三字格」的固定表達,獨具中國特色。(2)成語。固定的四字格短語,一般都有來源和典故出處。政治語篇中的成語多用來概括方針政策,或用來說理,或用來激勵鼓勵,或針砭時弊,簡潔生動,能起到事半功倍的效果。多用於黨建、外交建設、政治建設和文化建設中。(3)俗語,這類熟語多為民間流傳的說法,屬於勞動人民創造,反映人民生活的經驗和智慧。多為短語,字數不定,結構不定。所以單獨列為「多字格」類型。(4)格言/諺語。這類熟語多有出處,包含經驗智慧,重在說明道理,傳遞知識。政治語篇中的諺語、格言等增強了群眾的關注度和理解度。根據「熟語」的分類,本研究對該卷書中的「熟語」進行了數據統計。通過定性分類,與定量統計,並結合 BCC 語料庫、運用線上諺語詞典、成語詞典等對熟語進行了核查,統計結果如下:

類型	三字格	四字格	多字格	句子	總計
種類	79	250	32	78	449
總頻次	193	635	36	80	944

表 2 「第四卷」中的「熟語」類型數量統計表

上述統計結果表明,「熟語」在該書第四卷中運用廣泛,共統計出 449 個「熟語」,944 頻次。其中「三字格」慣用語因其口語性、通俗性,增添了政治語篇的親民性和趣味性,易於讀者理解和接受;根據使用頻率統計,「攻堅戰」使用頻率最高,共 28 次,「同心圓」使用頻率總計 11 次;而使用頻率在 2-10 次的慣用語共計 25 個,如「卡脖子」、「一刀切」、「小圈子」、「下功夫」、「一股繩」、「主心骨」等;出現 1 次的「三字格」慣用語共計 52 個,占總頻次的近乎 1/4。對於「四字格」成語,使用次數最多的為「堅定不移」,共計 50 次;出現 2 次以上合計 125 個,使用頻次共計 635 次,如「與時俱進、居安思危、實事求是、堅持不懈」等;出現一次的成語共計 111 個,如舉世矚目、任人唯賢、未雨綢繆等。就感情色彩而言,該卷書中多為褒義和中性類成語,貶義類成語僅 23 個。最後,「多字格」俗語與「句子」類格言、諺語多為僅出現一次使用。格言主要是來自於典故或名家經典,俗語、諺語則主要來自於百姓生活,具有口語性。

總之,第四卷中「熟語」的使用既增添了文采,又使得政治語篇通俗易懂、雅俗共賞。格言、成語的運用



則既傳承了中國經典文化、歷史典故,如《墨子》《莊子》《韓非子》《史記》等,又增添了論證說服力。慣用語、俗語、諺語的使用則實現了「官話民說」,形成了語言質樸、極具中國特色的政治語篇。

### 三、政治語篇中熟語的應用及其「體認性」分析

從修辭角度來看,熟語往往借助修辭手法將深奧的道理淺顯化,把抽象事理具體化、形象化。如習近平總書記在講到我們黨要解決黨內目前存在的問題必須黨要管黨、從嚴治黨時用了「打鐵還需自身硬」<sup>⑥</sup>這一生動形象、含義深刻的熟語。通讀習近平總書記講話的全文,我們知道這句話表達的意思並非句子的字面意思;從修辭角度來看,這句熟語無疑是一個隱喻說法。<sup>⑦</sup>而隱喻不是純粹的語言現象,還是人類認識世界和對抽象事物進行概念化的基本認知方式。在第四卷書熟語統計過程中發現,類似的熟語運用不一而足。

《習近平談治國理政》第四卷中「熟語」的使用範圍、涉及領域十分廣泛。如:運用在黨政建設領域,告誡黨員幹部要對黨忠誠、敬業奉獻,決不能「一遇到困難就打退堂鼓」。在經濟建設領域,如「高歌行進(高歌猛進)」隱喻全國實現平穩而健康的發展;以「『鼎新』帶動『革故』」(革故鼎新),隱喻以創新推動我國產業優化升級。在外交領域,用「教師爺」隱喻那些自以為是,時常對其他國家指手畫腳,當其他國家不聽從、不服從時,常常制裁他國的國家。在「新冠」抗疫中,用「加試題」隱喻新冠疫情不斷變化,防控工作面臨不斷挑戰。

另外,該卷書中的熟語多具體體認性,這種熟語的運用,不僅與經濟發展、黨政建設、勞動人民的生活體驗息息相關,反映國家發展需要、人民生活的經驗和願望,更與中國人特有的認知模式相關,彰顯了中國政治語篇特有的語言風格。正如王寅(2020)所述,語言不是憑空出現,也不為人腦固有,而是源於現實生活的互動和認知加工;<sup>⑧</sup>也正如18世紀的赫爾德,提出語言源於人們的生活經驗和模仿加工,語言是人類心智所為。<sup>⑨</sup>熟語亦是如此,對於熟語的隱喻識解始於人類認知的「感覺」與「知覺」,是基於感官對現實世界的體驗,後經人類主觀認知加工而成,是主客觀交互體認的結果,具有「體認性」。所以體認語言學將「體驗」的「驗」的客觀性歸結於「體」,將其中的主觀性歸結於「認」,合為「體認」,主客觀結合,可更好地把握語言的本質。<sup>⑩</sup>而中西方語言相同的「體認性」則為熟語在政治語篇中的互譯提供了可能。

對於熟語,人類在基於自身身體感官和空間互動的理解上,通過由具體到抽象等路徑映射到其他多種語義域中而逐漸形成隱喻。<sup>⑪</sup>如:

第一,身體體驗。人體部位的辭彙往往可以通過隱喻來映射到其他語義域。如通過「頭」、「腰」、「腳」等身體感知,我們形成了「山頭」、「樹頭」、「山腰」、「樹腰」等。熟語中的表達亦是如此,其內在邏輯亦具有「體認性」,特別是「慣用語」在政治語篇中的使用,「體認性」尤為明顯。如:「卡脖子」、「鬆口氣」、「放開手腳」、「拉山頭」、「拍腦袋」、「兩手抓」、「指手畫腳」等。

第二,空間體驗。熟語的隱喻還來源於空間體驗,可用空間位置、運動概念等解釋多種其他語義域。如「再上一層樓」、「承上啟下」、「萬眾一心」、「跋山涉水」、「開天闢地」、「一刀切」、「挑重擔」、「牆頭草」等。

第三,互動體驗。人在與自然界萬事萬物的互動過程中發揮了主觀能動性,形成不同的認知模型,可用來延伸表達若干其他語義域。如:「不拒眾流,方為江海」、「飲水思源」、「竭澤而漁」、「開藥方」、「一盤棋」等。

總之,身體體驗、空間體驗、互動體驗在我們的概念系統形成中具有不可替代的中心地位,我們基於身體的體驗逐步實現了空間的理解,並形成了具體的意象圖式結構,再通過人的思維與想像,使得新的概念或語言表達日新月異。政治語篇中熟語的「體認」其實是一個複雜的體認過程,不僅需要感覺、知覺的身體經驗與體驗,還需要抽象為「意象圖式、認知模型」等,形成範疇化和概念化,然後最終以「熟語」的語言形式將其「抽象」意義固著下來。如下圖所示:



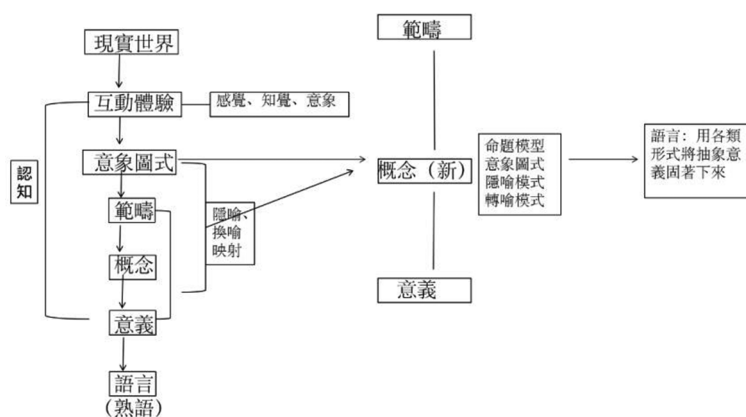


圖 1 語言(熟語)「體認」識解過程分析

首先客觀自然人文的現實世界是人類體驗認知的基礎源泉,人類通過多次、多角度「感覺」,才最終在「心智、頭腦」中綜合形成了對某一物的綜合反映,即「知覺」。如慣用語「牆頭草」,人們結合多次多角度對牆頭草的「感覺」,才逐步瞭解到「牆頭草」的「生長環境、運動方式等」,在綜合這些感覺的基礎上形成了對「牆頭草」的整體「知覺」印象,在此「知覺」基礎上,人的頭腦中就會保留下來「牆頭草」這一意象,即使沒有客觀事物「牆頭草」出現的情況下,人們依然可以通過想像等在頭腦中喚起此「意象」。此時,「牆頭草」已然是感覺與知覺抽象化的心智表徵,即人們把感知經驗和對「牆頭草」的資訊加工形成一種固有認知模式,長期存在頭腦中,形成一種「圖式」,繼而形成概念範疇與意義。之後通過「隱喻」、「轉喻」的認知映射,可以映射到另一個抽象的認知域中,形成更為複雜的「概念結構」。正如「牆頭草」在政治語篇中用於黨的建設領域時,指政治立場不堅定,沒有主見的人。

#### 四、英譯本中熟語的翻譯體認分析與英譯研究

無論漢語語言體系還是英語語言體系,任何一種語言體系中,熟語都極大程度地彰顯了該語言的文化價值,是國家文化傳承的重要途徑,也體現了民族的人生觀和價值觀,在政治語篇中,更體現了熟語使用者的思想意向和審美情趣。因此,熟語翻譯歷來是翻譯研究中的顯學。該書第四卷中地道的熟語表述不僅是中國傳統文化、人民生活方式、思維方式的集中體現,更是對構建中國話語體系、中外融通的價值觀念等方面具有重要意義,是中國新時代文化思想外宣的重要資料。結合上文熟語「體認」過程的分析,下文將結合該卷書的英譯本,從翻譯的「三形三體三認」探討熟語的英譯。

##### (一)「熟語」體認翻譯過程分析

「翻譯」,究其內涵有三,即:一是翻譯行為,即翻譯具有過程性;二指翻譯的執行主體——譯者;三指翻譯成果的具體呈現——譯文。從外部觀翻譯的過程共有這三步,故從「形」上看有「三」,故稱為「翻譯三形」。從體認視角,「三形」均具有體認性特徵,特別是翻譯行為及翻譯過程均基於體驗性認知。<sup>①</sup>翻譯具有體認性,王寅(2021)認為源語言作者的認知具有體驗性,作品是作者抽象認知的結晶,譯者的認知與語言轉換、讀者的認知與理解都具有體認性。<sup>②</sup>人類相似的「體認」經驗和認知模式為不同語言的翻譯提供了可能。譯者首先要「體認作者的體認」,屬於「單語體認」或「語內體認」,即需要譯者用源語言解釋作者原文,從作者「原生性」體認到譯者「再生性」的解構型體認,即上文對「熟語」的體認分析過程,再現了翻譯中譯者對原

文深入理解的過程,是譯者對源語言世界解構性的體認,在翻譯前,譯者對源語言需要懂其義、曉其涵、明其意。這便是「一體一認」。譯者的「語內單語體認」不同也會導致翻譯結果上的差異。如對於「打鐵還需自身硬」這一熟語,記者見面會現場譯員、網路、海外媒體和翻譯界學者做出了不同的理解,進而產生了多種差異明顯的英文表達形式。見面會現場口譯員將該熟語翻譯為:「To be turned into iron, the metal itself should be strong.」海外媒體主要有以下幾種表達:英國廣播公司的表達是「The metal itself must be hard to be turned into iron」、英國《每日電訊報》的表達為「To forge iron, you need a strong hammer」、美國有線電視新聞網和《紐約時報》的譯法則是「To forge iron, one must be strong」。<sup>⑦</sup>新華社的官方翻譯是「To address these problems, we must first of all conduct ourselves honorably」<sup>⑧</sup>,在《習近平談治國理政》第一卷書中的英譯本是「it takes good iron to make good products」<sup>⑨</sup>、在第四卷書的英譯本中的翻譯是「it takes a good blacksmith to forge good tools」<sup>⑩</sup>。由此可見,對句子,尤其是其中「自身硬」表達的意義的不同理解,使得該句的熟語翻譯存在明顯差異。

伴隨譯者對源語言的「再生性」體認識解,「雙語互動體認」隨即而來。這一過程主要涉及譯者翻譯策略的選擇。如上文中的熟語「打鐵還需自身硬」,王逢鑫教授(2012)認為,見面會現場譯員、網路和海外媒體的各種譯法均屬直譯,譯法不同源自對「自身硬」的不同理解。<sup>⑪</sup>即「語內體認」不同。針對這句話的理解,他認為,打鐵需要有三個參與成分:對象物、工具即鐵錘、打鐵的人即鐵匠(打鐵工藝)。所以第二次體認需要進行三個參與「物象」的選擇與轉換。在這一過程中,譯者需要通過源語言與譯入語中「意象映射」的映射路徑,力求在譯入語中獲得「匹配」,這一過程較大程度上依賴第一體認,達成物象的轉換。因此,對於「三鐵」與「硬」的關係,就出現了不同翻譯策略下的不同翻譯表達。這也解釋了第一卷與第三中該熟語的不同翻譯,從「it takes good iron to make good products」變為「it takes a good blacksmith to forge good tools」。此外,翻譯的過程還需以物象關係下的意象圖式為媒介,實現原文與譯語物象之間的辨識和匹配。<sup>⑫</sup>這便是「語際交互體認」,是翻譯過程中的「二次體認」,在這一過程中,理想的狀態是「同體認」、但也會出現「似體認」與「異體認」的情況,這三種情況下需要採取不同的翻譯方法處理。

基於譯者對原文形成的「意象圖式」,通過「語際間的互動體認」,譯者便進入到譯入語的「建構」型體認。由於漢語多為「意合」表達,往往結構簡潔,短小精悍,只要不造成理解困難,句子的某些成分往往省略;而英語的句法結構多重「形合」各個句子成分不能省略。<sup>⑬</sup>如「打鐵還需自身硬」也屬於這種情況,且「鐵、鐵匠、制鐵工藝」都可充當主語,都可省略,這也造成了譯者在譯入語重構時做出了不同選擇。此外,用「譯入語」建構「源語」所承載的現實世界,需要譯者以譯入語讀者可接受的、符合譯入語環境的語言表徵,即結合二次體認的「同體認、似體認、異體認」不同情況,以傳輸「源語體驗」為初心進行語言表徵。這便是「第三次體認」。

基於上述分析,翻譯的體認過程以下圖呈現:

## (二) 熟語英譯策略體認研究

基於上文對翻譯「體認」系統的探討,下文主要以該書第四卷中的熟語為語料,探討「語際交互體認」中三種不同體認情況下的「譯入語重構」,即對熟語的英譯策略進行討論。

### 1. 同體認——同「象」保義

基於人類共同的生理(五感及身體構造)和相同的心理基礎,不同民族的認知能力存在共通。此外,不同民族在生活環境與生活方式上也具有一定程度上的相似性。不同民族語言中存在基於相同體驗與認知方式形成的熟語正是人類「同體認」的最好證明。針對這一類熟語,該卷英文譯本採取了取相同的「象」,保留全部的「義」,即「取「象」保義」的英譯策略進行處理。例如:

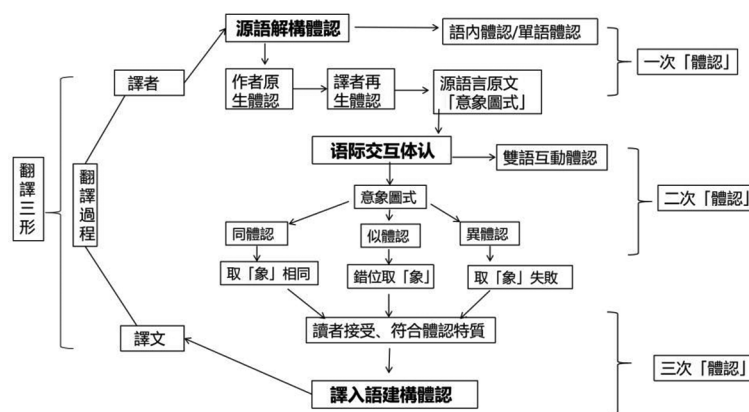


圖 2 翻譯「體認」系統圖

(1) 路遙知馬力,日久見人心。中國過去是、現在是、將來也永遠是東盟的好鄰居、好朋友、好夥伴。<sup>⑥</sup>

As a Chinese proverb goes, 「Just as distance tests a horse's strength, time reveals a person's sincerity.」 China has been and will remain a good neighbor, good friend and good partner of ASEAN.<sup>⑮</sup>

(2) 遇山一起爬,遇溝一起跨。這正是亞太大家庭精神的精髓。<sup>⑥</sup>

We should climb the hill and cross the ravine together. This aptly captures what defines us as an Asia-Pacific family.<sup>⑮</sup>

(3) 要為資本設置「紅綠燈」,「紅綠燈」適用於道路上行駛的所有交通工具,對待資本也一樣,各類資本都不能橫衝直撞。<sup>⑥</sup>

We must set up traffic lights for capital flows. Traffic on the road needs to be controlled with traffic lights. Likewise, capital also needs to be regulated. No capital of any type can be allowed to run out of control.<sup>⑮</sup>

例(1)例(2)是「諺語」,例(3)是名言警句,例(4)是慣用語。四個例子都是隱喻性運用,其中隱喻構成皆以生活經驗為基礎,即「路遙」與「馬力」的關係感知、「千裏」與「足下」的關係認識、「爬山、跨溝」、「紅綠燈規則」的共同生活體驗。儘管譯文皆完全保留了原文採用的喻體,但卻很容易為譯入語讀者所理解。如例(1)來自文章《命運與共,共建家園》,其中「路遙知馬力,日久見人心」用來表明中國將堅定不移與東盟友好外交,過去、現在、將來皆可見證中國共建家園的決心。例(2)是馬來西亞的一句諺語,篇章中以此句諺語表明亞太成員要堅持合作共贏,譯文中保留「爬山」和「跨溝」這樣的意象並不影響讀者的理解,反而更易於讀者理解亞太大家庭精神的精髓。例(3)「紅綠燈」本意為交通信號燈,指揮交通順利通行,但這裏是隱喻性的用法,但介於國際通用信號燈,所以在英譯中保留「traffic lights」,也能使譯入語讀者快速獲取其隱喻意義。

因此,對於此類涉及人類共同生活常識及相同體驗的「同體認」,譯者採取理想的概念域映射直譯,即「取「象」保義」並不會給譯入語讀者帶來認知上的負荷。

## 2. 似體認——換「象」取義

人類與外部世界之間的互動和社會文化影響著語言的表達方式,<sup>⑩</sup>因受到各民族特有的體認經驗和文化制約,加之環境、歷史、宗教等方面的差異,不同民族的認知在語言表徵上自然會有許多差異,這種差異也



同樣會體現在不同民族的熟語中。例如：

(4) 我經常講,魚和熊掌不可兼得。<sup>⑥</sup>

I have often said this: you cannot have your cake and eat it. <sup>⑤</sup>

(5) 新的征程上,我們要牢記打鐵必須自身硬的道理。<sup>⑥</sup>

On the journey ahead, we must keep firmly in mind the old adage that it takes a good blacksmith to forge good tools. <sup>⑤</sup>

(6) 不能對不同地區採取「一刀切」的做法,阻礙經濟社會秩序恢復。<sup>⑥</sup>

A one-size-fits-all approach for different places will impede the restoration of economic and social order. <sup>⑤</sup>

在英語諺語中,不存在「魚和熊掌不可兼得」這一典故,所以英語語言國家的讀者並不能理解「魚」和「熊掌」的喻義關係,頭腦中更沒有關於「魚」和「熊掌」的「意象圖式」,不利於譯入語讀者接受,所以例(4)中的英文譯文替換掉了「魚」和「熊掌」這兩個意象,換為「吃蛋糕」和「擁有蛋糕」,這樣既傳達了原意義,又易於譯入語讀者理解。同樣,在例(5)中,英文譯文中對「鐵」這一意象也做出了調整,換為「a good blacksmith」,「blacksmith」在英語語言文化中,指的是一個職業,即鐵匠,所以這裏把「打鐵」換「象」為「blacksmith」更利於譯入語讀者理解。例(6)中,「一刀切」是一個隱喻性質的慣用語,隱喻用同一種方法處理不同的問題。而英譯中對應的「one-size-fits-all」,指的是某種產品或物品只有一個尺寸,供大多數人使用。這裏把源語言的意象「刀」換成了英語中的「size」更易於譯入語讀者接受。

### 3. 異體認——舍「象」轉義、植「象」釋義

政治語篇中有些熟語的隱喻使用主要是為了輔助表述思想內容,將其譯出反而會增加譯入語受眾的認知負荷。因此,這種情況下為了更好地被譯入語讀者理解,會在譯文中對漢語熟語的「意象」進行調整和解釋,甚至捨棄漢語熟語中的「象」,只傳遞轉述思想內容,不將源語喻體譯出,即:舍「象」轉義。例如:

(7) 相反,只有豁得出去、敢闖敢幹,下定「明知山有虎,偏向虎山行」的決心,真刀真槍幹,矛盾和困難才可能得到解決。<sup>⑥</sup>

Problems will only be solved when you have the courage and determination to invest in real effort and take risks, knowing the danger but still forging ahead. <sup>⑤</sup>

(8) 黃克誠同志擔任中央紀委常務書記時提出抓黨風要「不怕撕破臉皮」。<sup>⑥</sup>

Huang Kecheng once served as the executive secretary of the Party's Central Commission for Discipline Inspection. He said that to improve conduct, one should「dare to offend others」. <sup>⑤</sup>

(9) 這個問題我是「婆婆嘴」反復講,今天還是要敲敲木魚、念念緊箍咒。<sup>⑥</sup>

I have repeated this too many times, but today I still need to remind you again. <sup>⑤</sup>

(10) 徹底結束了舊中國一盤散沙的局面。<sup>⑥</sup>

It brought to an end the total disunity that existed in old China. <sup>⑤</sup>

(11) 面對複雜形勢複雜矛盾繁重任務,沒有主次不加區別,眉毛鬍子一把抓是做不好工作的。<sup>⑥</sup>

When dealing with complex situations and the difficult problems, or tasked with a demanding workload. No one will do well by trying to attend to major and minor issues at one and the same time. <sup>⑤</sup>



在例(7)中,原文旨在指明解決問題的態度,譯文將「明知山有虎、偏向虎山行」,「真刀真槍」這兩個熟語中的「意象」略而不譯,恰恰是為了減輕譯入語讀者的認知負荷和理解難度,並不影響傳遞原文的交際意圖。同樣,對於例(8)和例(9)中的「不怕撕破臉皮」「婆婆媽」「敲木魚、念念緊箍咒」這三個慣用語,譯文均採用了舍「象」,例(10)中「一盤散沙」也並未譯出「沙」的意向;例(11)的眉毛和鬍子也並未出現在譯文中,這些都屬於舍「象」轉義的翻譯策略,舍去原熟語中的隱喻意象,只傳遞思想內容,其主要目的也是減輕譯入語讀者閱讀過程中的認知負荷,更利於譯入語讀者接受。

此外,語言深植於文化,更是文化的承載者。在不同族群或語言社區中,出現承載獨特文化內涵的熟語並不奇怪。源語中熟語所獨有的「意象」或「意象圖式」,無論是認知對象,還是蘊含的內涵,在譯入語中均為空白,即「異體認」中英漢語雙方相互體認存在的「意象」缺失的情況。遇到這一類型的熟語,譯者則可採取在譯入語中植入源語言「意象」的翻譯方法,即:植「象」釋意。例如:

(12) 特別是我們黨以猛藥去疴、重典治亂的決心,以刮骨療毒、壯士斷腕的勇氣,堅定不移「打虎」「拍蠅」「獵狐」,清除了黨、國家、軍隊內部存在的嚴重隱患。<sup>⑥</sup>

Just as it takes a heavy dose of medicine to treat a serious disease and stringent laws to address disorder, we have been determined to「take out tigers」,「swat flies」, and「hunt down foxes」, removing potential dangers in the party, the state, and the military even though it means pain for the time being.<sup>⑬</sup>

例(12)中「刮骨療毒、壯士斷腕」都包含有歷史典故,如「刮骨療毒」指的是在《三國演義》裏華佗為關羽刮骨療毒的事蹟。「壯士斷腕」則與戰國時期的典故有關,當士兵的手腕被毒蛇咬傷時,為了防止毒性擴散,就會立即截斷手腕。這個成語通常用來比喻在面對重大決策時,需要果斷行動,不可猶豫或姑息。因文化差異,這兩個成語在譯入語中不易被讀者接受和理解,所以在英譯中,為了不增加譯入語讀者的認知負擔,譯文選擇捨棄不譯,屬於上文中舍「象」轉義的處理方法。但對於「打虎」「拍蠅」「獵狐」這些常在政治語篇中出現的俗語,譯文選擇植入「意象」,「虎、蠅、狐」在源語政治語篇中皆與「反腐鬥爭」有關係,這種植入「意象」的英譯,展現了漢語政治語篇中特有的表達,吸引譯入語讀者的關注與思考。

## 五、結語

政治語篇中熟語的運用,既增添了文采,又使得政治語篇通俗易懂、雅俗共賞。格言、成語的運用則既傳承了中國經典文化、歷史典故,又增添了論證說服力。慣用語、俗語、諺語的使用則實現了「官話民說」,形成了語言質樸、極具中國特色的政治語篇。《習近平談治國理政》第四卷中的「熟語」按照「字格」分類可分為「三字格」、「四字格」、「多字格」、「句子」四類;數據統計顯示,該卷書中共有 414 種熟語,出現總頻次共計 782 次,使用範圍、涉及領域十分廣泛,涉及黨的建設、政治建設領域、外交領域、經濟建設領域、疫情防控領域等,與勞動人民的生活體驗息息相關,反映國家發展需要、人民生活的經驗和願望,具有體認性。其隱喻意義的識解更依賴於「感覺」與「知覺」基礎上的「意象圖式」。熟語的英譯則有賴於熟語識解「第一次體認」基礎上的「語際交互體認」,繼而通過「譯入語建構體認」進行語言表徵。在二語交互體認過程中,有「同體認」、「似體認」、「異體認」三種情況。對於「同體認」,熟語在英譯時屬於「取象成功」,所以採取同「象」保義的翻譯策略;對於「似體認」,雖在譯入語中存在類似體認,但並無匹配意象,這時只能「錯位取象」達成匹配,所以採取舍「象」取義的翻譯策略;最後「異體認」,屬於「取象失敗」,二語中不存在匹配意象,也無意象所含意義及現實體驗。這時有兩種英譯處理方式,一是舍「象」轉義,保證意義在譯入語中得以複現;二是植「象」



釋義,對於譯入語中不存在的意象及隱喻意義<sup>⑩</sup>,英譯中採取植入意象,解釋意義的方式進行翻譯。總的來講,政治語篇中熟語的運用增強了其可讀性,減少了官話帶來的認知壓力及審美疲勞,實現了「官話民說」。《習近平談治國理政》第四卷中的熟語及其英譯,對於構建中國話語體系和「融通中外」的價值觀念、話語理念等方面具有重要意義。

## 注釋

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# Research on the Construction of the “Seven-Dimensional” International Dissemination Model for Chinese Literature: A Case Study of the English Translation of the Hunan Novel *A Dictionary of Maqiao*

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**Abstract:** This study aims to construct an international dissemination model for Chinese literature to systematically evaluate the global dissemination effectiveness of Chinese literary works. Taking the English translation of *A Dictionary of Maqiao*, a Hunan novel, as a case study, the article summarizes four international dissemination models and “international recognition indicators” and extracts seven dissemination indices to develop a “seven-dimensional” international dissemination model. The feasibility of this model is validated through the analysis of the international dissemination path of *A Dictionary of Maqiao*. It is expected that the “seven-dimensional” international dissemination model will provide valuable insights for the international dissemination of Chinese literature.

**Keywords:** Chinese Literature; International Dissemination Model; English Translation of *A Dictionary of Maqiao* ; Dissemination Indices

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# 中國文學「七維」國際傳播模式構建研究 ——以湖湘小說《馬橋詞典》英譯為例

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**摘要：**本研究旨在構建中國文學的國際傳播模式，以系統評估中國文學作品在全球的傳播效果。文章以湖湘小說《馬橋詞典》英譯為例，通過歸納總結四種國際傳播模式和「國際認可指標」，提煉出七種傳播指數，構建出「七維」國際傳播模式，並以《馬橋詞典》的國際傳播路徑驗證該模式的可行性。由此，以期基於「七維」國際傳播模式，為中國文學的國際傳播提供一定借鑒。

**關鍵詞：**中國文學；國際傳播模式；《馬橋詞典》英譯；傳播指數

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## 一、引言

中國文學作為世界文學的重要組成部分，以其深厚的歷史底蘊、獨特的文學特色和豐富的文化內涵，對世界文學的發展產生了深遠影響。儘管中國文學作品的海外傳播曾相對有限，近年來隨著中國綜合實力的提升，文學譯介蓬勃發展，中國文學的國際影響力持續提升。以《馬橋詞典》為例，這部由韓少功創作的尋根小說，以湖南汨羅縣（今汨羅市）為原型，描繪了一個虛構的湖南村莊——馬橋鎮。這部小說通過 115 個詞條透視了民族生存的掙扎，深入探尋了民族苦難的歷史根源，展現了中國傳統文化，幫助我們更全面地理解農村社會的方方面面。此外，《馬橋詞典》在國際上廣受讚譽，獲得了廣泛的認可。

本研究運用歸納總結法，對四種國際傳播模式和「國際認可指標」進行了整理，提出了「七維」國際傳播模式，並分析了《馬橋詞典》的國際傳播經驗，揭示其成功傳播的原因，為其他中國文學作品的國際化傳播提供了啟示。目前，儘管已有大量研究探討了中國文學的國際傳播，但大多數研究仍局限於某一單一維度，缺乏對整體傳播效果的系統性衡量。因此，構建一個綜合的中國文學國際傳播模式，能夠全面反映中國文學在國際上的傳播效果，是解決這一問題的重要途徑。這不僅有助於填補現有研究的空白，還將為推動中國文學的國際傳播提供理論和實踐上的支持，構建更完善的中國文學國際傳播體系。

## 二、翻譯國際傳播研究

國內外關於翻譯傳播學的研究和國際傳播學的研究作為跨文化交流的重要理論基礎，不僅為我們理解中國文學的國際傳播提供了視角，還揭示了其在全球化背景下的多維影響。同時，筆者還引入了前人的四種國際傳播模式和「國際認可指標」，以期總結筆者自己構建的國際傳播模式。



## （一）國內外翻譯傳播研究

隨著全球化的推進，翻譯作為跨文化交流的重要媒介，逐漸受到了關注。在國內外翻譯傳播學理論研究中，眾多著名的學者們不僅探討了傳播學的來由，還辯證了翻譯與傳播的關係。這些理論不僅為研究翻譯傳播的實際應用提供了框架，也為理解中國文學的國際傳播模式提供了理論支撐。

傳播學先驅拉斯韋爾(Lasswell)<sup>⑤</sup>提出的「5W 傳播模式」是傳播學的經典理論之一。這一模式強調了傳播過程中的五個關鍵要素：誰(Who)、說了什麼(Says What)、通過什麼管道(In Which Channel)、對誰說(To Whom)、產生什麼效果(With What Effect)。這一模式劃定了傳播學研究的範圍和基本內容，影響極為深遠。

翻譯傳播學作為一門跨學科領域，融合了翻譯學和傳播學的理論，揭示了兩者之間的複雜關係。翻譯傳播學作為一種有效的翻譯研究新範式，已經具備合理性、有效性和科學性，其學科的「名」與「實」已基本明確，具有獨特的研究對象與系統的研究方法，為其可持續發展奠定了基礎<sup>⑥</sup>。作為我國翻譯傳播理論的先驅，呂俊<sup>⑦</sup>則認為，翻譯是一種跨文化的資訊交流與交換活動，其本質是一種傳播行為。此外，尹飛舟和餘承法<sup>⑧</sup>指出，「翻譯傳播」中的「翻譯」和「傳播」應理解為「翻譯的傳播」(translational communication)，而不是簡單地等同於「翻譯即傳播」或「翻譯與傳播」。然而，譚載喜<sup>⑨</sup>對此提出了質疑，認為「翻譯的傳播」這一表述在漢語中存在一定問題，難以被廣泛接受。他主張，翻譯傳播學應被視為橫跨翻譯與傳播之間的一門「間性」「交互」「交叉」或「跨界」學科，而不是脫離翻譯學和傳播學而獨立存在的學科。相比尹飛舟等學者的觀點，筆者更傾向於譚載喜的看法，認為翻譯傳播學作為一門交叉學科更能反映理論與實踐中的複雜性。雖然尹飛舟等學者的觀點為翻譯傳播學的理論構建奠定了堅實基礎，但譚載喜的見解更加貼近實際，強調了翻譯與傳播在實踐中的緊密互動。

## （二）國際傳播模式研究

中國文學作為世界文學的重要組成部分，其發展離不開國際傳播。國際傳播是指以民族和國家為主體進行的跨文化資訊交流與溝通。國際傳播具有明確的目標，其本質在於傳播行為，而並非是翻譯行為<sup>⑩</sup>。這一觀點強調了在討論中國文學的國際傳播時，需要關注其傳播性與目的性。

在這一背景下，邱貴芬通過考察文學「世界化」的四種國際傳播模式，展示了文學作家如何有效地走向世界文學。這四種模式不僅揭示了不同文學作品在國際傳播中的策略和路徑，還突出了文學作品如何通過文化交流實現自身的全球影響力。此外，邱貴芬提出的「國際認可指標」為評估和量化文學作品在全球範圍內的影響力提供了客觀的量化測量工具。這一工具有助於更好地理解中國文學在國際傳播中的地位和作用，從而為未來的研究提供了有價值的參考框架。

### 1. 四種國際傳播模式

這四種模式分別從多元文化、全球化、跨國性和跨媒介四個角度，對文學作品在國際傳播中的不同策略和路徑進行了闡述：

#### （1）全球多元文化模式(李昂)

對李昂的認可可以用史書美<sup>⑪</sup>的全球多元文化模式解釋。全球多元文化模式強調在全球化背景下，文學作品如何通過多元文化的交流和融合來實現國際傳播。這種模式關注文學作品如何適應和反映不同文化背景，從而促進全球讀者的理解和接受。它注重文化的多樣性和包容性，強調通過跨文化對話來提升作品的國際影響力。

#### （2）全球化模式(吳明益)

吳明益的全球化模式<sup>①</sup>展示了一種成功整合國家利益與世界利益的戰略。他的作品《複眼人》被許多讀者認為具有「奇幻」和「科幻」的元素,吸引了國際讀者。這種吸引力在很大程度上得益於其巧妙地利用了流行文學類型的特徵,並通過此類文學表達當代全球關注的問題。

#### (3) 跨國模式(楊牧)

楊牧的跨國模式<sup>①</sup>凸顯了世界文學資源對文學作家的重要性。他的詩歌成就在於「融合了中西方文學傳統」,既與中國文學傳統密切相關,又充滿了濃厚的跨文化色彩。楊牧並不代表任何特定的民族文學,而是將自己定位為超越時空的偉大文學傳統的繼承者。這種「世界化」也意味著這些傳統的復興。

#### (4) 跨媒介模式(陳黎)

陳黎的跨媒介模式<sup>①</sup>探索了以媒體為中心的文學分析的新問題。他的跨媒介文學創作與傳播先鋒實驗開闢了網路化文學創作與傳播的新視野,突顯了多媒體和新媒體在塑造後印刷時代世界文學未來中的日益重要作用。該模式關注媒介多樣性對作品傳播的影響,探討不同媒介如何支持與擴展文學作品的國際傳播。

這四種國際傳播模式從不同的視角展現了文學作品的多樣化路徑和策略。李昂的全球多元文化模式通過跨文化對話與融合,為文學作品的國際傳播提供了包容性和多樣性的視角;吳明益的全球化模式則通過結合本土與全球經驗,揭示了文學作品如何通過整合國家利益與世界利益實現傳播;楊牧的跨國模式則通過東西方文學傳統的融合,彰顯了跨文化對話的重要性;而陳黎的跨媒介模式則充分利用了新媒體的優勢,拓展了文學作品的傳播管道。正是通過這四種模式的綜合運用,我們能夠更加全面地理解文學作品在國際傳播中的多維策略。這不僅為筆者構建中國文學「七維」國際傳播模式提供了重要的參考,也啟示我們在未來的研究中,應充分考慮多元文化、全球化、跨國性和跨媒介等因素,形成更加系統和全面的傳播策略,推動中國文學在國際舞臺上的傳播與發展。

### 2. 「國際認可指標」

邱貴芬<sup>①</sup>提出的一個「國際認可指標」(International Recognition Indicators)的客觀的評分標準,包括八個量化指標,用於評估文學作品的全球影響力。

- (1) 作家作品被翻譯成的語言數量。
- (2) 獲得的國際獎項。
- (3) 作家的作品出現在國際選集或網站上。
- (4) 中文以外語言的書評。
- (5) 國際出版物上的特刊或報告。
- (6) 非華商社區以不同形式進行改編。
- (7) 用中文以外的語言發表研究成果。
- (8) 特邀赴臺灣以外地區駐校寫作。

綜上所述,邱貴芬提出的「國際認可指標」為評估文學作品的全球影響力提供了較為全面的量化標準,涵蓋了翻譯的語言數量、國際獎項、媒體呈現、國際書評、學術研究成果以及赴臺灣以外地區駐校寫作等多個方面。然而,該指標體系在實際應用中仍存在一定局限性。例如,該模式雖主要關注中國文學作品在國際傳播的效果,但部分指標更適用於臺灣文學作品。同時,該「國際認可指標」並未充分考慮到中國文學作品的世界文學母題的普世性問題。因此,未來的研究應進一步探討如何將中國經驗下的世界文學母題的普世性原則納入評估標準,以構建更加全面、符合實際傳播效果的評價體系。

## 三、中國文學「七維」國際傳播模式

世界文學的概念最早由歌德在 1827 年提出,儘管「Weltliteratur」一詞早在其之前的半個世紀就已出現。



國內學者王寧<sup>③</sup>和方維規<sup>④</sup>共同強調了歌德在世界文學定義與傳播方面的深遠影響,認為他為後續研究提供了重要的理論基礎和討論空間。此外,世界文學研究在國際上也得到了豐富的發展。例如,荷蘭比較文學學者和漢學家杜威·佛克馬(Douwe W. Fokkema)<sup>⑤</sup>早在其論文集《總體文學與比較文學論題》中提出了關於世界文學語境下的經典概念。美國學者大衛·戴姆拉什(David Damrosch)<sup>⑥</sup>進一步探討了世界文學作為民族文學的橢圓形折射等觀點。而美國意大利裔學者弗蘭克·莫萊蒂(Franco Moretti)<sup>⑦</sup>在其論文「世界文學的猜想」中提出的「遠讀」概念,為該領域注入了新的活力,使世界文學成為一個更加問題導向和前沿的研究領域。

在此背景下,中國文學作為世界文學的一部分,發揮著獨特的作用。隨著中國綜合國力的不斷提升,中國文學在全球文學中的地位愈加突出。其豐富的文化背景、深厚的歷史積澱以及當代發展的成就,使其在全球範圍內的傳播與影響日益顯著。

接下來,筆者將探討中國文學「七維」國際傳播模式,該模式旨在評估中國文學作品在全球範圍內的傳播與影響力。各國學者的研究豐富了對世界文學傳播路徑與機制的理解,為筆者構建這一模式奠定了理論基礎。結合歌德的理論視角及後續學者的觀點,筆者提出的「七維」國際傳播模式不僅通過具體指數評估作品在不同語言和文化背景下的接受度與傳播廣度,同時關注作品的文學價值及中國經驗下的世界文學主題的普世性。

### (一)「七維」國際傳播模式

邱貴芬提出的「國際認可指標」(International Recognition Indicators)旨在衡量四位作家作品的全球影響力。而筆者歸納出的「七維」國際傳播模式,細分了七種傳播指數,更加適用於評估中國文學作品的國際傳播情況,也更準確地反映中國文學作品的國際傳播效果。

1. 該作品獲得的國際翻譯獎。(獎項是否由權威機構頒發,並具有一定影響力?)
2. 該作者作品的多語言譯介情況。(是否覆蓋了主要語種如英語、法語、西班牙語等?)
3. 全球讀者在 Amazon 和 Goodreads 上的評分,評論。(讀者評論的品質如何?)
4. 在國際期刊或媒體上發表書評和/或學術論文。(作品是否在國際知名文學期刊或媒體如《紐約時報書評》《泰晤士報文學副刊》發表書評?)
5. 出現在國際網站上(作品是否出現在國際知名文學網站、文化平臺上,如 WorldCat、JSTOR、Literary Hub 等?)
6. 除中文外的其他語言的特別議題或報導。(作品在其他語言版本中是否有特別的議題或報導?)
7. 中國經驗下的世界文學母題。(如人性、價值觀、生存、戰爭、愛情、家族關係、個人命運等。)

### (二) 各傳播指數的作用

#### 1. 國際翻譯獎

獲得國際翻譯獎標誌著作品在翻譯領域的高質量和全球認可,提高了其國際影響力和聲譽。

#### 2. 多語言譯介情況

作品被翻譯成多種語言顯示了其跨文化吸引力,增強了全球受眾的覆蓋面和傳播效果。

#### 3. 全球讀者書評平臺

評分和評論提供了讀者對作品的直接回饋,反映了其在國際讀者中的接受度和文化適應性。

#### 4. 國際期刊和媒體書評

在國際期刊和媒體上的書評和學術論文展示了作品的學術價值和全球討論度,提升了其知名度。



#### 5. 國際網站曝光

作品在國際網站上的出現頻率和曝光度表明了其數字平臺的傳播廣度和網路影響力。

#### 6. 語言形式的特別報導

通過不同語言的特別議題和報導,作品能提高國際知名度,吸引多語言背景的讀者。

#### 7. 中國經驗的全球影響

中國經驗在世界文學中的人性和價值觀等探討,豐富了全球文學,提升了文化的普世性,同時加深了國外讀者對中國文化的理解。

總體而言,這七種傳播指數相比邱貴芬提出的「國際認可指標」更具有普世性,這些指數共同作用,構成了中國文學作品在國際傳播中的成功因素,既提升了其全球影響力,又為其他中國文學作品的國際化傳播提供了寶貴的經驗。

### 四、英語世界《馬橋詞典》的「七維」國際傳播模式

通過引入「七維」國際傳播模式,我們可以更深入地分析《馬橋詞典》的全球傳播效果。該模式為我們提供了一種系統評估該作品國際接受度和影響力的方法。通過綜合考慮七個維度的關鍵指數,我們能夠全面瞭解《馬橋詞典》在全球範圍內的傳播現狀以及它對世界文學的影響。接下來,將詳細探討這些指標如何體現《馬橋詞典》的國際影響力及其在不同文化中的接受情況。

#### (一)《馬橋詞典》的國際傳播譯介情況

從下列表格中,我們可以具體分析「七維」國際傳播模式下各項指標對應的《馬橋詞典》國際傳播與譯介情況,幫助我們評估其海外傳播效果及接受度。

「七維」國際傳播模式	完成情況 √/×	具體情況
1. 該作品獲得的國際翻譯獎。(獎項是否由權威機構頒發,並具有一定影響力?)	√	由法國政府授予的「法蘭西藝術與文學騎士勳章」、由美國俄克拉荷馬大學的美中關係研究所設立的「第二屆紐曼華語文學獎」,兩種獎項都具有很大的國際影響力。
2. 該作者作品的多語言譯介情況。(是否覆蓋了主要語種如英語、法語、西班牙語等?)	√	被翻譯超過 15 種語言,覆蓋了主要語種如英語、法語、俄語、西班牙語,還包括意大利語、荷蘭語、瑞典語、丹麥語等。
3. 全球讀者在 Amazon 和 Goodreads 上的評分,評論。(讀者評論的品質如何?)	√	在 Amazon 和 Goodreads 的評分分別是 4.0 和 4.02。在 Amazon 平臺,五顆星的占 50%,在 Goodreads 上,五顆星占比 38%,有讀者評論是讀過的最好的十本小說之一。
4. 在國際期刊或媒體上發表書評和/或學術論文。(作品是否在國際知名文学期刊或媒體如《紐約時報書評》《泰晤士報文學副刊》發表書評?)	√	<i>World Literature Today</i> 、亞洲週刊( <i>Asia Weekly</i> )、《出版周刊》( <i>Publisher Weekly</i> )、《泰晤士報文學副刊》( <i>Times Literary Supplement</i> )、《紐約時報書評》( <i>The New York Times Review of Books</i> )
5. 出現在國際網站上。(作品是否出現在國際知名文學網站、文化平臺上,如 WorldCat、JSTOR、Literary Hub 等?)	×	已在 WorldCat, JSTOR 出現。雖然其並未在 Literary Hub 上出現。不過前兩種平臺的廣泛覆蓋已經有效擴大了《馬橋詞典》的國際影響力。





续表

「七維」國際傳播模式	完成情況 √/×	具體情況
6. 除中文外的其他語言的特別議題或報導。(作品在其他語言版本中是否有特別的議題或報導?)	√	作品在英文版本中有特別報導,如《華爾街日報》( <i>The Wall Street Journal</i> )。
7. 中國經驗下的世界文學母題。(如人性、價值觀、生存、戰爭、愛情、家族關係、個人命運等。)	√	以(人性、價值觀、個人命運、家庭關係)等普世性主題傳播中國故事。

表格中的數據詳細列出了《馬橋詞典》在國際傳播中的七種指數的成就,從多個維度展現了該作品的傳播和譯介情況。這一系列成就不僅突出其作為中國文學作品在國際傳播中的成功案例,也進一步強調了通過多語言、多媒介傳播中國文學作品的重要性。這些具體指數構成充分證明了《馬橋詞典》在全球文學市場中的重要地位。

## (二)《馬橋詞典》的全球影響力及接受度

我們可以從以下七個維度的傳播指數中具體分析《馬橋詞典》的國際傳播效果,這些方面的分析將幫助我們理解《馬橋詞典》的全球影響力及其在不同文化中的接受度。

### 1. 該作品獲得的國際翻譯獎(獎項是否由權威機構頒發,並具有一定影響力?)

韓少功榮獲「法蘭西藝術與文學騎士勳章」與美國「第二屆紐曼華語文學獎」,使其海外影響力大增,並助力其作品在海外翻譯出版。這些獎項不僅表彰了他的文學成就,還象徵著國際社會對中文文學的高度認可。特別是「法蘭西藝術與文學騎士勳章」,作為法國政府頒發的文化榮譽,表明韓少功的作品在法國文化圈中具有重要影響力。與此同時,「紐曼華語文學獎」是美國文學界為表彰華語作家的傑出貢獻而設立的,韓少功的獲獎反映了他在英語世界中的影響力。這些獎項為《馬橋詞典》的翻譯和出版創造了良好的國際環境,也為其進入法國和美國的文學市場鋪平了道路,使其在西方讀者中得到了廣泛的關注和認可。

### 2. 該作者作品的多語言譯介情況(是否覆蓋了主要語種如英語、法語、西班牙語等?)

《馬橋詞典》已經被翻譯成英語、法語、西班牙語、俄語、意大利語等超過 15 種語言版本,並且在世界範圍內多次再版。每一種語言的翻譯出版都代表著該作品在不同文化背景中的再創作,譯者們在保留原作風格的同時,努力使其符合目標語言讀者的審美和文化習慣。這些譯者的付出,使得《馬橋詞典》在不同文化背景下煥發了新的生命。在《馬橋詞典》英文版的譯者序中<sup>④</sup>,藍詩玲(Julia Lovell)對該書給予了高度評價:「在《馬橋詞典》中所探討的方言、生活和馬橋的居民,無不值得在世界文學中佔據一席之地。」譯者們的努力顯著提升了《馬橋詞典》在海外的影響力。不同語言版本的出版不僅突破了語言的障礙,也讓來自全球不同文化背景的讀者感受到這部作品的獨特魅力。

### 3. 全球讀者在 Amazon 和 Goodreads 上的評分,評論(讀者評論的品質如何?)

在 Amazon 和 Goodreads 上,《馬橋詞典》的評分分別為 4.0 和 4.02,在 Amazon 平臺,五顆星的占 50%,在 Goodreads 上,五顆星占比 38%,有讀者評論是讀過的最好的十本小說之一,這些都反映出國際讀者對這部作品的認可。這些評分不僅反映了國際讀者對該作品的接受度,也展現了其在全球市場的受歡迎程度。在評論中,讀者們讚賞《馬橋詞典》獨特的敘事風格和豐富的文化內涵,分享了他們對作品的深刻感悟和理解。高評分和積極的評論是作品在國際讀者中影響力的直接體現,也表明了其在跨文化傳播中的成功。

4. 在國際期刊或媒體上發表書評和/或學術論文(作品是否在國際知名文學期刊或媒體如《紐約時報書評》《泰晤士報文學副刊》發表書評?)



《馬橋詞典》在 *World Literature Today*、《亞洲週刊》、《出版週刊》( *Publisher Weekly* )、《泰晤士報文學副刊》( *Times Literary Supplement* )、《紐約時報書評》( *The New York Times Review of Books* ) 等國際期刊上發表了多篇書評。這些文章從不同角度分析了該作品的文學價值和文化意義。這些評論不僅提升了《馬橋詞典》在學術界的知名度,也為其在國際文學圈中的傳播提供了學術支持。特別是 *World Literature Today* 這樣的權威期刊,其書評往往具有很大的影響力,能夠幫助作品在更廣泛的讀者群體中傳播。

5. 出現在國際網站上(作品是否出現在國際知名文學網站、文化平臺上?如 WorldCat、JSTOR、Literary Hub 等)

《馬橋詞典》在 WorldCat、JSTOR 等國際網站和全球線上學術資源庫中的頻繁出現,並於 1999 年被《亞洲週刊》評為「20 世紀中文小說 100 強」之一,這些進一步提升了其國際影響力。這表明該作品已被廣泛收錄至全球重要的學術資料庫。作為全球綜合性的圖書館館藏資訊資料庫,WorldCat 能夠顯示該作品在世界各地圖書館的收藏量及其使用頻率。而 JSTOR 學術平臺的收錄則意味著《馬橋詞典》已成為國際學術研究的重要參考文獻之一。雖然其並未在 Literary Hub 上出現。不過前兩種平臺的廣泛覆蓋已經有效擴大了《馬橋詞典》的國際影響力,也為全球學者與讀者提供了便捷的獲取途徑。

6. 除中文外其他語言的特別議題或報導(作品在其他語言版本中是否有特別的議題或報導?)

2012 年底,《馬橋詞典》曾被《華爾街日報》( *The Wall Street Journal* ) 評為五本不可錯過的中國書籍之一。推薦詞中寫道:「不同於許多陳舊的中國當代文學作品,《馬橋詞典》獨具清新風格。小說以緊湊的結構和精煉的語言,將史詩般的歷史敘事融入一系列深刻的小故事中。」這些報導通常深入分析了作品的文學特質、文化背景以及其在全球範圍內的影響力。通過這些多語言的專題報導,《馬橋詞典》不僅在全球學術界引起了廣泛的討論,還提升了其在國際文學市場中的知名度,使更多的讀者和研究者有機會接觸並深入理解這部作品。

7. 中國經驗下的世界文學母題(如人性、生存、戰爭、愛情、家族關係、個人命運等。)

中國經驗對世界文學中母題的貢獻,體現在其獨特的文化傳統、哲學思想和歷史背景上。這些思想對馬橋鎮村民的人性和價值觀有深遠的影響。中國經歷了豐富而複雜的歷史變遷、社會轉型和民族生存的掙扎,這些變化在《馬橋詞典》中反映出來,深刻影響了作品中人性和價值觀的表達。中國文學作品常常探討情感世界和道德倫理。《馬橋詞典》中主要討論家族關係、個人命運、人性善惡的探討等主題,正因如此,《馬橋詞典》涉及的人性探討和文化認同等普世性主題,使其在國際讀者中廣受歡迎。

綜上所述,我們已經從七個維度的傳播指數中具體分析《馬橋詞典》的國際傳播效果,也瞭解了《馬橋詞典》的全球影響力及其在不同文化中的接受情況。其中,第七個維度——「中國經驗下的世界文學母題」尤為值得關注。《馬橋詞典》之所以能夠贏得世界文學讀者的青睞,正是因為它在展現民族特色的同時,也深入探討了人性與價值觀等普世性主題。正如韓少功所言,《馬橋詞典》不僅展現了小說的巨大魅力,還讓讀者通過每個詞語和詞條背後的歷史、貧困、奮鬥與文明,感受到中國的「馬橋」和世界的中國<sup>⑩</sup>。藍詩玲在《馬橋詞典》英譯本譯者序<sup>⑪</sup>中指出:「正如道家思想對各種理念和影響的包容態度所體現的那樣,該書既是國際性的,也是普遍性的,同時又極具地方特色」。英語世界對《馬橋詞典》價值的認可,正是基於其通過本土化表達實現了普世性的傳播<sup>⑫</sup>。這也呼應了中國文化走出去必須依託自身的民族底蘊與普世價值的觀點<sup>⑬</sup>。

「七維」國際傳播模式中的這些指數不僅證明了《馬橋詞典》在國際文學舞臺的成功,也驗證了中國文學作品在國際傳播中需要兼顧民族特色與普世性這一原則。通過多語言、多媒介的傳播方式,《馬橋詞典》成功將中國經驗轉化為能夠引發全球共鳴的普世性敘事。中國文學走向世界應在獨特性的基礎上,兼具世界性與民族性,努力尋求人類共有的文學主題和藝術表現形式<sup>⑭</sup>。這也意味著中國文學作品在國際傳播中,不僅要彰顯自身的民族特色,還應與全球共用的普世性文學主題相結合,以實現更廣泛的文化共鳴。

## 五、中國文學國際傳播的成功經驗與啟示

通過對四種國際傳播模式、「國際認可指標」和中國文學作品《馬橋詞典》的分析,可以看出其在國際傳播中的成功並非偶然,而是多種因素共同作用的結果。總結這些成功經驗,不僅能夠為其他中國文學作品的國際傳播提供理論支持,還可以為未來的中國文學作品推廣工作指明方向。以下將從結合多元文化與全球化、發揮跨媒介傳播的潛力、運用「七維」國際傳播模式的實踐價值、強調中國經驗的獨特性與普世性,以及融合本土化與世界化等五個方面,深入探討中國文學國際傳播的成功經驗和關鍵啟示。

### (一) 結合多元文化與全球化

李昂的全球多元文化模式和吳明益的全球化模式都強調了文學作品在全球背景下的文化適應性與普世吸引力。《馬橋詞典》通過展示湖湘文化與中國經驗中的人性與價值觀主題,成功吸引了國際讀者的關注。這表明,中國文學在國際傳播中,可以通過展現獨特的文化背景,同時呼應全球性議題,增強作品的普適性和吸引力。

### (二) 發揮跨媒介傳播的潛力

陳黎的跨媒介模式展示了不同媒介對文學傳播的支持作用。《馬橋詞典》不僅在傳統紙質媒體《華爾街日報》上得到了廣泛報導,還通過學術網路平臺(如 WorldCat、JSTOR)擴大了影響力。未來的國際傳播應進一步利用數位化與多媒體平臺,如電子書、音頻書籍、社交媒體等,最大程度發揮西方主流出版機構在翻譯出版、譯作推廣平臺、圖書行銷管道在讀者影響等方面無可比擬的優勢。進行多管道傳播,以觸及更多元化的讀者群體。

### (三) 運用「七維」國際傳播模式的實踐價值

首先,「七維」國際傳播模式能夠量化分析中國文學作品在國際傳播中的地位與影響力。通過對該模式的七種傳播指數的研究,我們可以清晰瞭解作品在不同文化背景中的接受度和認可度。其次,「七維」國際傳播模式提供了實用的傳播策略指導。通過對成功案例的分析,如《馬橋詞典》的傳播經驗,可以總結出多語種翻譯、獲獎和學術討論等對提升作品知名度的關鍵因素,為未來的推廣工作提供借鑒。最後,該模式具有前瞻性。在全球化背景下,定期監測和分析作品的傳播效果,可以及時調整傳播策略,確保中國文學在國際舞臺上的持續影響力。

### (四) 強調中國經驗的獨特性與普世性

《馬橋詞典》是一部成功的文學作品,它通過展示中國特有的文化與歷史背景,成功地探討了人性與價值觀等普世性主題。筆者認為,未來的文學傳播應繼續挖掘中國經驗中的普世性問題,如家族關係、人性善惡、社會變遷等,結合獨特的文化視角,創作出更具普世性和吸引力的作品,使作品在全球讀者中產生共鳴。中國文化走出去最終還是得靠自身的民族文化底蘊和普世價值。

### (五) 融合本土化與世界化

在全球化與本土化的平衡中,《馬橋詞典》成功保留了中國文化的獨特性,同時通過翻譯和解釋使國際讀者能夠理解其深層含義。《馬橋詞典》這部書寫中國獨特本土經驗和社會現實的小說,能夠在不同文化語





境中煥發新的活力,讓本土文化的價值立場融入世界文學的觀念與標準之中。這表明,中國文學作品在走向國際時,應在忠實於原作文化背景的基礎上,考慮目標語言讀者的文化背景和審美偏好,實施適當的本土化策略,確保作品的文化內涵和美術價值在跨文化傳播中不被削弱。

以上五種啟示不僅為《馬橋詞典》的成功提供了理論支撐,也為未來更多中國文學作品的國際傳播提供了寶貴的經驗和策略指導。通過融合多元文化、跨國合作、跨媒介傳播等多種模式,並結合「七維」國際傳播模式的實踐價值,中國文學在全球文學市場中有望取得更大突破。此外,這不僅能夠提升中國文學的全球傳播力,還能促進文化的跨國理解與接受,使外國讀者更好地欣賞中國文學的獨特魅力。為未來中國文學作品的國際傳播提供了更加全面和有效的路徑,確保了中國文學在全球舞臺上的影響力和接受度。

## 六、結論

本文通過構建「七維」國際傳播模式,系統地評估了中國文學作品在全球的傳播效果。在這一模式中,筆者對四種國際傳播模式和邱貴芬的「國際認可指標」進行了分析,最終歸納出「七維」國際傳播模式。通過對這些指數的綜合評估,我們能夠有效判斷中國文學作品在國際上的傳播影響力。本研究提出的「七維」國際傳播模式還為其他文學作品的國際傳播提供了成功經驗和重要啟示。我們可以清晰地看到,在全球化與多元化的大背景下,中國文學作品仍然能夠通過有效的傳播模式,跨越語言和文化障礙,實現與國際讀者的對話,這為中國文化「走出去」提供了堅實基礎。

未來的國際傳播模式研究可以進一步細化這些指數,以驗證其廣泛適用性。具體而言,可以探索不同文化背景下的文學作品如何適應和利用這一模式,以及如何通過調整和優化傳播策略來增強文學作品在全球範圍內的影響力和接受度。此外,未來的研究還可以考慮將數位化和社交媒體等新興傳播管道納入分析框架,以更全面地理解文學作品在全球傳播中的動態變化。

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# Study on Translation of Miao Nationality Folk Cultural Elements in Xiangxi Local Literature Works under Adaptation Theory: A Case Study of Yang Xianyi's English Translation of *Recollections of West Hunan*

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**Abstract:** Under the national strategy of “Chinese Culture Going Global,” the international dissemination of ethnic folk culture has received significant attention, with the translation studies of Xiangxi Miao nationality culture being particularly crucial. This paper explores the English translation of Yang Xianyi's *Recollections of West Hunan* using adaptation theory, analyzing translation strategies at the lexical, syntactic, and textual levels. The goal is to preserve and convey the uniqueness of the Miao nationality culture while learning translation techniques for Xiangxi local literature. The paper aims to provide practical methods for translating minority cultural elements, such as marriage customs, ethnic costumes, and rituals, in the local literature of Xiangxi, China, enhancing foreign readers' understanding and adaptation, thereby effectively communicating the rich essence of Miao nationality folk culture.

**Keywords:** adaptation theory; local literature; English translation; *Recollections of West Hunan*; folk culture

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# 順應論下湘西鄉土文學作品中苗族民俗文化元素 翻譯研究

——以楊憲益《湘西散記》英譯本為例

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**摘 要:**在中國文化「走出去」戰略的背景下,民族民俗文化的對外傳播受到了重點關注,其中湘西少數民族文化的  
外譯研究至關重要。本文以楊憲益所譯的《湘西散記》英譯本為對象,採用順應論為理論框架,分別從詞匯、句法和  
語篇三種層面探討譯文的翻譯策略和方法,通過語言的順應與選擇,保持並傳遞苗族文化的獨特性,同時學習鄉土  
文學作品的翻譯技巧。本文旨在為翻譯中國湘西鄉土文學中的少數民族文化元素,例如婚嫁習俗、民族服飾和祭  
祀儀式,提供實用方法。增強外國讀者對湘西民族文化的深刻理解與適應,從而更好地領會和傳播豐富的苗族民  
俗文化內涵。

**關鍵詞:**順應論;鄉土文學;英譯;《湘西散記》;民俗文化

**基金項目:**吉首大學研究生科研創新項目「順應論下湘西鄉土文學作品中苗族民俗文化元素翻譯研究——以楊憲  
益《湘西散記》英譯本為例」(項目編號:JDY2024047)。

## 一、引言

在全球化趨勢加速和世界文明衝突日益加劇的背景下,中國彰顯民族文化個性至關重要,而作為具有  
極強民族個性的民俗文化的翻譯尤其值得重視<sup>①</sup>。本文從順應論的角度出發,以楊憲益《湘西散記》英文譯  
本為例,探討湘西鄉土文學作品英譯及其對外傳播。同時,通過分析對比英譯本中所收集到的湘西苗族民  
俗文化元素的翻譯資料,助力湘西苗族民俗文化的對外傳播,讓世界了解中國少數民族非物質文化遺產,讓  
苗族文化走向國際舞臺。

## 二、國內少數民族民俗文化外譯

綜觀近二十年來該領域的研究發展,國內對於民族民俗文化的翻譯研究大體上涉及婚嫁民俗、飲食民  
俗方面<sup>②</sup>。例如,劉彩霞(2015)的《民族特色菜肴翻譯研究——以苗族菜肴為個例》,通過苗族菜肴的個案  
研究,提出翻譯民族特色菜肴可以借助深度翻譯策略理解其文化內涵,並傳播少數民族飲食文化<sup>③</sup>。李夢娟  
(2018)在其碩士論文《文化翻譯視閥下貴州苗族特色飲食文化對外傳播漢譯英研究》中,以文化翻譯為視  
角,結合貴州苗族飲食文化特征進行菜肴的英譯實踐,並歸納了貴州苗族飲食文化英譯模式<sup>④</sup>。向要立  
(2018)在《少數民族文化負載詞翻譯策略研究——以湘西苗族婚喪習俗文化英譯為例》中,以湘西苗族婚喪  
民俗文化英譯為個例,提出少數民族文化負載詞的翻譯質量將直接影響我國民族文化的對外交流與傳播<sup>⑤</sup>。



羅崇雯等人(2020)的《侗族婚嫁習俗的對外翻譯與跨文化傳播研究》對少數民族婚嫁民俗的對外翻譯與跨文化傳播進行研究<sup>⑥</sup>。近年來,對於少數民族民俗文化英譯相關的研究雖然逐漸增多,馬晶晶、穆雷(2019)的《我國少數民族翻譯研究現狀與展望——基於國家社科基金項目的立項分析(1997—2019)》却表明,以藏族、蒙古族、維吾爾族為研究對象的研究成果占比較大,苗族、滿族、回族較少<sup>⑦</sup>。且有關少數民族飲食文化的英譯更多集中於貴州、雲南等地,而湘西地區較為稀少。

當今是經濟全球化的時代,中國傳統文化,尤其是少數民族民俗文化想要邁出國門,走向世界被全球所知悉,必須要借助翻譯這一工具。因此,中國少數民族民俗文化的翻譯研究對我國傳統文化的傳播與交流有著重要的意義。通過深入研究和完善翻譯策略和方法,可以幫助目的語讀者更好地理解 and 欣賞這些豐富多彩的文化傳統,從而促進不同文化之間的交流與合作,為中國文化在國際舞臺上的傳播創造更多機遇。

### 三、順應論綜述

1985年,比利時國際語用學會秘書維索爾倫(Verschuere)在第一屆國際語用學研討會上提出了「語用綜觀論」。後又在其1999年新著《語用學新解》中系統化地介紹了「順應理論」。他認為語言使用的過程,就是在高度靈活的原則和策略的基礎上,按照交際的需要,而不僅是機械或嚴格地按形式進行一系列語言選擇的過程。他認為語言的三個特性是:順應性(Adaptability)、變異性(Variability)和商討性(Negotiability)。語言的變異性指語言具有一系列可供選擇的可能性;商討性指所有的選擇都不是機械地或嚴格地按照形式—功能關係作出的,是在高度靈活的原則和策略的基礎上完成的;順應性是指語言能夠讓其使用者從可供選擇的語言項目中作靈活的變通,從而滿足交際的需要(Verschuere, J, 2002)<sup>⑧</sup>。鐘文提出,翻譯作為一種跨文化交際活動,其譯文語言選擇應該是做出順應的動態過程,這種順應需根據不同語境、語言結構客體而變化(鐘文, 2011)<sup>⑨</sup>。因此,為了達到交流目標,譯者在漢英散文的翻譯過程中,不僅要順應原語的語境和語言結構,也要盡量順應目的語語言的特征,邏輯及思維方式,使譯文既保持原文的痕跡,又讓目的語讀者讀到符合目的語語言特征的譯文。

徐穎<sup>⑩</sup>(2012)指出,由於民俗文化鮮明的文化個性以及濃厚的民族特色,翻譯中應該以傳達文化內涵為主要目的,選擇適當的翻譯方法,盡可能地保持原文文化內涵的清晰度,以起到文化傳播的功能。民俗事象自身所具有的轉化、異化、分化、複合等形態本身經歷了選擇與順應的過程恰與順應論中的變異性、商討性和順應性等過程異曲同工(李寧, 2018)<sup>⑪</sup>。例如,順應論提出的順應動態性對於民俗文化翻譯需要處理的時空雙維度跨越具有啟發意義,順應論也有助於順應民俗文化翻譯多種選擇組合下多層次多緯度的翻譯和交際目的。龍泓燕(2018)在《翻譯行為理論視角下貴州苗族節日宣傳漢譯英研究》中指出,隨著我國「一帶一路」戰略的推進以及國家倡導文化軟實力理念的落實,各民族文化間的跨文化交際已成為時代的主旋律。將苗族民俗文化進行漢譯英實踐,可以體現其文化價值、政治價值和社會價值<sup>⑫</sup>。綜上所述,中國民俗文化翻譯研究在宏觀研究、跨學科翻譯研究方面仍有待於進一步加強,而順應論涉及語言學、心理學、文化研究等多個學科,具備跨學科的特征。借助順應論,翻譯研究者可以更深入地探討如何在譯文中靈活地適應原文本的語境和目標讀者的文化背景,從而提高翻譯質量和效果<sup>⑬</sup>。

### 四、鄉土文學英譯難點

鄉土文學通常包含豐富的地方文化元素,如獨特的文化背景、風俗習慣、方言俚語和情感氛圍。鄉土語言被描述為「一切具有地方特征、口口相傳、通俗精煉,並流傳於民間的語言表達方式」,能在一定程度上反

映「風土人情、風俗習慣和文化傳統」(周領順等,2016:25)<sup>⑭</sup>。《湘西散記》是一部具有濃厚民族色彩的湘西鄉土文學作品,蘊藏着大量民俗風情、民間文化描寫和鄉言土語,給英譯造成了一定困難,對文化元素翻譯策略的探討和翻譯案例的解釋一直以來都是文化研究的重點(張蓓,2021)<sup>⑮</sup>。由於目的語讀者對湘西少數民族了解不多,譯者需在翻譯文本時考慮讀者的接受程度,深入研究當地的苗族民俗文化,準確把握其內涵。此外,譯者應從順應理論的角度,探討文本中特色詞匯、句法和語篇的翻譯方法,為湘西少數民族民俗文化的傳播提供理論支持,並助力其對外傳播。

## 五、順應論視角下的翻譯方法

從順應論視角來看,翻譯方法需靈活調整,以適應各種文化和語言的動態變化。順應論強調語言選擇的變異性、協商性和動態適應性,在翻譯中,譯者須根據源語言與目標語言的文化差異和語境需求選擇恰當的方法。直譯適用於保持原文的準確性,而意譯則對照文化背景,傳達深層含義。結合增譯和刪譯,譯者能有效傳遞源語言的文化信息。同時,轉化和重構法確保譯文在目標語言中自然流暢,從而實現有效的文化溝通。

### (一) 詞匯層面

#### 1. 意譯

例 1: 下船時,在河邊我聽到一個人唱《十想郎》小曲,曲調卑陋,聲音卻清圓悅耳。<sup>⑯</sup>

譯文: On my way back to my boat, on the bank I heard someone singing Longing for a Lover. The vulgar song actually sounded melodious and pleasing.

《十想郎》是湘西少數民族文化中的一種民間小調,具有地方特色和文化內涵。譯者將其譯為「Longing for a Lover」,雖然沒有直譯「十想郎」,但通過意譯傳遞了歌曲的核心情感——對愛人的思念,順應了目標語言讀者的文化認知。這種翻譯方式避免了直譯可能帶來的文化隔閡,同時保留了原文的情感基調,使英語讀者能夠理解併產生共鳴。

#### 2. 意譯

例 2: 見面後,很親熱的一談,見得十分投契,點了香燭,殺了雞,把雞血開始與「燒酒」調和。<sup>⑰</sup>

譯文: After a cordial talk they reached complete understanding; incense was burned, a chicken killed and its blood mixed with spirits for all to drink.

由於不同文化存在多樣性,譯者需要靈活選擇翻譯策略。例如,「dragon」在西方文獻中通常被視為邪惡的象徵,但在中國文化中,龍象徵着權力和吉祥。翻譯時需採取合適的解釋以保持文化意涵的準確性,從而防止誤解。不同地區「燒酒」可能特指不同類型的酒,如中國的白酒、日本的清酒或韓國的燒酒。因此,選擇一個更廣泛的詞如「spirits」可以涵蓋這些變體,適應不同文化背景下讀者對術語的理解。



## (二) 句法層面

### 1. 意譯

例 3: 辰州地方是以辰州符聞名的,辰州符的傳說奇蹟中又以趕屍著聞。<sup>⑮</sup>

譯文:Chenzhou is famed for its magic, and one of its bestknown legends concerns how to make the dead walk.

在句法結構層面上,語言使用者應根據不同的語境和交際需求,動態地調整語言選擇,以實現有效溝通 (Verschueren, J, 1987)<sup>⑯</sup>。「辰州符」和「趕屍」是湘西地區(包括苗族文化)的重要文化符號,具有濃厚的地方特色和神秘色彩。譯者將「辰州符」譯為「magic」,捨棄了字面直譯(如「Chenzhou talismans」),轉而用西方讀者熟悉的「magic」概括其神秘性質,避免因文化隔閡導致理解障礙,將「趕屍」譯為「make the dead walk」,未直譯為「corpse driving」或音譯「Jiangshi」,而是通過描述功能(使屍體行走)傳遞核心含義。這正體現了順應論的核心思想——語言使用者在動態語境中尋求最佳表達策略的能力。

### 2. 增譯

例 4: 這些女子一看都那麼和善,那麼樸素,年紀四十以下的,無一不在胸前土藍布或蔥綠布圍裙上繡上一片花,且差不多每個人都是別出心裁,把它處置得十分美觀,不拘寫實或抽象的花朵,總那麼妥帖而雅相。<sup>⑰</sup>

譯文:All these, you can see at a glance, are very good, simple women. All those under forty embroider the front of their blue homespun tunics or green aprons, and virtually each has her own design, very original it is too, neither realistic nor abstract but always well proportioned and tasteful.

譯文中加入了「virtually each has her own design, very original it is too」來補充關於苗族繡花設計的獨特性,增加了對原文民俗文化的豐富描述,使得英語讀者可以更好地理解這些圍裙的個性化特征。由於在不同文化中,讀者對於「繡花」的理解可能不一致,譯者增添對設計獨特性和原創性的描述,為譯文提供了額外的文化信息。因此,譯文不僅傳遞原義,還通過額外的描述來幫助讀者形成更明晰的文化圖景<sup>⑱</sup>。

## (三) 語篇層面

### 1. 重構法

例 5: 但在黄昏里看来如一种奇迹的,却是两岸高处去水已三十丈上下的吊脚楼。这些房子莫不俨然悬挂在半空中,借着黄昏的余光,还可以把这些稀奇的楼房形体,看出个大略。<sup>⑲</sup>

譯文:What we could make out in the dusk, though, was amazing—about three hundred feet up the cliff, high above the water, was a cluster of houses on stilts. There they hung majestically in mid air, and in the fading light we could still see the outline of these extraordinary buildings.

原文的句子結構和邏輯順序在譯文中被重新組織。例如,譯者將「這些房子莫不儼然懸掛在半空中」翻譯為「There they hung majestically in mid air」,重新調整了句子結構。這樣的重組有助於改善句子的流暢性



和可讀性,使其更符合英語的表達習慣。譯者還對文化背景和讀者認知理解進行了調整,例如,原文裏「去水已三十丈上下」直接轉換為「about three hundred feet up the cliff, high above the water」。通過使用更加細致和熟悉的度量單位英尺(feet),譯者順應了英語讀者的閱讀習慣,避免了可能的困惑或不準確理解。這一選擇是對目標受眾知識背景的一種協商與適應。

## 2. 轉換法

例6: 远处不知什么地方有锣鼓声音,那一定是某个人家禳土酬神还愿巫师的锣鼓。声音所在处必有火燎与九品蜡照耀争辉,炫目火光下必有头包红布的老巫师独立作旋风舞,门上架上有黄钱,平地有装满了谷米的平斗。有新宰的猪羊伏在木架上,头上插着小小五色纸旗。<sup>③</sup>

譯文: Somewhere in the distance gonging and drumming sounded as some family sacrificed to the God of the Earth to repay a favour granted. There was bound to be firelight there rivalling the brilliance of big candles! And in this light an old wizard in a red turban would be whirling alone in a dance. Yellow paper coins would be stuck on the lintel, and a peck measure full of rice would stand on the ground. Newly slaughtered pigs and sheep would lie on trestles, small motley coloured paper flags stuck on their heads.

轉換法涉及對詞性或句法結構的調整,以更適應譯入語言的表達慣例。例如,譯者將「不知什麼地方有鑼鼓聲音」轉換為「gonging and drumming sounded」,從表狀態轉為表動作的結構。譯者還將「某個人家禳土酬神還願巫師的鑼鼓」轉換為「as some family sacrificed to the God of the Earth to repay a favour granted」,改變詞語結構,適應英語的語法習慣。這些轉換使得譯文在符合英語表達習慣的同時,保持了原文信息的準確傳遞。通過使用轉換法,譯者有效提高了譯文的可讀性,並確保譯文在語義上與原文保持高度一致。

## 六、結語

中華五十六個民族各具特色的文化共同構成了我國豐富多彩的民俗文化。沈從文的鄉土文學一直被視為「中國文化走出去」的成功案例。在他的書中,對於湘西世界中民俗文化的描寫極大地豐富了湘西地區少數民族的故事和人物形象。因此,譯者在翻譯《湘西散記》時,應盡可能地保留我國民族民俗文化的精髓,以促進中國傳統文化的國際傳播,讓更多人了解中國獨特的風俗人情<sup>④</sup>。本文從順應論的視角探討了《湘西散記》英譯本中民族民俗文化元素的翻譯方法,包括苗族的民族服飾、節日祭祀及地理風貌等,不僅豐富了目標讀者對中國少數民族非物質文化遺產的理解,也為國際社會提供了接觸和欣賞中國豐富多樣文化的途徑,從而推動苗族文化更廣泛地走向世界舞臺。

## 注釋

①① 李寧:《順應論觀照下的民俗事象翻譯——解析與對策》,《中國外語研究》,2018年第5卷第1期,頁61-66+117。

② JIAN Dan & HONG Chenyu. (2024). Translation of names of ethnic minority dishes in Xiangxi area from the perspective of acceptance aesthetics. *Asia-Pacific Journal of Humanities and Social Sciences*, 4(3): 155-160.

③ 劉彩霞:《民族特色菜肴翻譯研究——以苗族菜肴為個案》,《中國翻譯》,2015年第1期,頁110-113。

④ 李夢娟:《文化翻譯視閥下貴州苗族特色飲食文化對外傳播漢譯英研究》,貴州民族大學碩士學位論文,2018年。

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# A Comparative Study of Multimodal Projection in *The Analects of Confucius*

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**Abstract:** *The Analects of Confucius* is a representative work of Confucianism. The comparative study of four multimodal translations of *The Analects of Confucius* shows that the design of multimodal projection paths of *The Analects of Confucius* can be interpreted from a combined theoretical model of meaning, theory, element and representation, and all of them feature the characteristics of the intersection of emotions and meanings. The study shows that the four versions of the English translation comics of *The Analects of Confucius* are rich in multimodal projection resources, and the multimodal projection paths can be analyzed to observe the multimodal translation mechanisms of the projecting and projected components. The study shows that the multimodal projection of the projective components of the four versions of the English translation of *The Analects of Confucius* reflects the trade – off between faithfulness and creativity, while the projected components reflect the trade–off between translation purpose and semantic commitment. On the whole, the four versions of the English translation comics of *The Analects of Confucius* are able to take into account factors such as cultural background, shaping intention, symbol selection and symbol function, and have constructed a unique multimodal projection mechanism at the semantic, theoretical, elemental and representational levels.

**Keywords:** *The Analects of Confucius* ; Comics; Multimodal Translation; Projection; Chinese Traditional Culture

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# 《論語》漫畫多模態投射對比研究

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**摘要：**《論語》是儒學經典代表作。對四種《論語》漫畫多模態譯介作品進行對比研究表明，《論語》多模態投射路徑設計可以從意義層、理論層、元素層、表徵層融合理論模型進行解釋，均體現了情意交匯的特點。研究表明，四個版本的《論語》英譯漫畫均含有豐富的多模態投射特徵，可以通過分析多模態投射路徑觀察投射成分和被投射成分的多模態譯介機制。研究表明，四個版本的《論語》英譯漫畫投射成分的多模態投射反映忠實性和創造性的取捨，而被投射成分體現翻譯目的和語義投入的權衡。總體上看，四個版本的《論語》英譯漫畫均能考慮到文化背景、塑造意圖、符號選擇和符號功能等因素，在意義層、理論層、元素層和表徵層構建了獨特的多模態投射機制。

**關鍵詞：**《論語》；漫畫；多模態譯介；投射；中華傳統文化

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## 一、《論語》漫畫多模態譯介的興起

近年來，習近平主席在多次關於文化傳承與外宣的重要場合反復強調，我們要堅定文化自信，推動中華優秀傳統文化創造性轉化、創新性發展，不斷鑄就中華文化新輝煌，建設社會主義文化強國，不斷提高國家文化軟實力，增強中華文化影響力，這為新時代講好中國故事和中華文化「走出去」指明了方向，提出了根本遵循和基本要求。在當今 5G 資訊時代，如何做到傳統文化經典的「創造性轉化、創新性發展」，這是新時代下傳統文化傳承與譯介外宣工作的重要課題。

在這樣的時代背景下，以多模態形式對傳統文化進行創造性轉化成為當今譯介傳播的研究前沿。多模態譯介是指通過語內翻譯、語際翻譯和符際翻譯中兩種或以上的方式將純文字文本轉化為目的受眾易於接受和理解的多模態語篇，從而實現文化傳播的目的。漫畫作為價格相對低廉，在海外又享有廣大讀者市場的多模態語篇形式，成為中華傳統文化多模態譯介的主要載體。目前在國際市場上流行的《論語》多模態譯介漫畫主要有四個版本：於健主編的《漫畫〈論語〉全譯本》（以下簡稱於版）、亞太漫畫出版的 *The Complete Analects of Confucius*（以下簡稱亞版）、周春才編繪的 *The Illustrated Book of The Analects*（以下簡稱周版）、蔡志忠編繪的 *The Analects of Confucius*（以下簡稱蔡版）。對應每條語錄，於版僅有 1-2 個漫畫格，亞版 3-6 個，周版 1-7 個，蔡版 2-10 個。在這些漫畫裏，孔子和他的弟子的言語被轉換成了生動有趣的人物形象和場景，並通過對話、動作、表情等元素將原文本所包含的意義和情感實體化，配以白話文譯文和英語英文，使中華傳統文化作品以受眾讀者喜聞樂見的形式出版，為語錄體和對話體語篇如何進行多模態譯介做出了表率。

《論語》譯介研究的視角大多集中在文字轉譯研究<sup>①②③</sup>，而多模態譯介研究尚處於興起階段，《論語》漫畫多模態譯介較少，研究視角主要是多模態投射<sup>④</sup>、認知翻譯<sup>⑤</sup>和視覺語法<sup>⑥</sup>，鮮有多個漫畫譯介版本的對比

研究,因此,對《論語》漫畫進行多模態譯介對比研究,特別是聚焦在相應的多模態投射路徑上,具有一定的理論和實踐意義。

## 二、語錄體和對話體語篇多模態投射路徑

投射是一種複雜的語言現象,其中漫畫多模態語篇最主要投射的言語和心理,其中言語對應的是述說投射而心理則對應了觀點投射。《論語》作為語錄體和對話體語篇的典型代表,投射的對象主要是言語,進而分為投射成分(述說者)和被投射成分(述說)。

系統功能語言學認為,語言(包括文本的和非文本的)的系統網路是一個分層系統,由語境、內容、表達等多層次組成<sup>⑦</sup>,類似的多模態投射可以看成由意義層、理論層、元素層、表徵層等層次組成的表達系統。其中意義層歸屬於系統功能語言學的三大元功能,理論層由語義系統的子系統實現,元素層為實現語義的具體符號,而表徵層則是語義符號實現的目的。其中,意義層的三大元功能分別是概念意義、人際意義和語篇意義,概念意義是指人們經歷不同的環境和事件並將環境和事件中的經驗意義通過基本要素表達出來,人際意義指的是語言的互動意義,往往通過人與人的相互影響和關聯而產生,以表徵對周圍的人和事物的看法,語篇意義關注的是語篇的組合或組織形式,即如何通過各種語言手段將篇章的各個組成部分,包括詞語、句子和段落,連接成一個有機的整體,以便受眾能夠理解和接受。本文所指的多模態投射路徑設計在該層所聚焦的意義是概念意義和人際意義,受限於漫畫多模態語篇事件間關係和體裁,概念意義的理論層是主要通過及物系統實現的,而人際意義主要通過評價話語,在相應的系統中,及物系統以參與者、過程和環境成分呈現經驗意義,而評價理論則以情感、判斷和鑒賞表達態度,在表徵層面上,該兩項對應的目的分別為意義傳遞和情感注入,具體關係可見表 1。

表 1 《論語》漫畫多模態投射路徑

意義層	理論層	元素層	表徵層
概念意義	及物系統	參與者、過程、環境成分	意義傳遞
人際意義	評價話語	情感、判斷、鑒賞	情感注入

在《論語》漫畫多模態投射路徑中,概念意義傳遞了原著的基本內容,主要以動作或言語過程的對等功能構建漫畫語篇意義,輔以參與者(述說者)的再現和環境成分的重構,其中,參與者(述說者)多為孔子本人及其弟子,而由於環境成分在原著中的缺省,漫畫家需要在漫畫語篇中通過主觀理解進行創作,在這樣的創造性轉化過程中可能會涉及如讀者接受、文本翻譯、文化淵源、個人風格甚至商業利益等因素的影響,且語錄體和對話體語篇承接同一事件進行展開的情況並不多見,因此,在多模態譯介的範疇下,概念意義中環境成分的創譯空間較大。人際意義可以通過語氣系統、模態系統和評價系統實現,語氣系統和模態系統在此類漫畫語篇中的實現方式是有限的,原因是原著的表達多為直陳語氣(即陳述句或疑問句),並且現今留存的歷史考證中鮮有原著時代背景下的真人真貌,因而在還原度上普遍屬於低情態。相比之下,評價話語中的態度系統更容易在多模態語篇中產生意義<sup>⑧⑨⑩</sup>,漫畫家可以通過所描繪的人物的自發表情表徵情感,通過帶有向量的表情傳達判斷和鑒賞,根據評價話語理論,判斷指的是對於人的行為的態度,而鑒賞是關於事物的評價。

本文的研究對象是四個版本的《論語》英譯漫畫,其中,於版由北京語言大學出版社於 2011 年 5 月出版,以簡明生動的簡筆風格便於讀者學習漢語和中國文化;亞版的漫畫作者是 Jeffrey Seow,由新加坡的



Asiapac Comics 於 1997 年 6 月出版,以生動形象的現代風格簡化和傳播中國優秀傳統文化;周版的漫畫和文字作者是周春才,英譯者是 Paul White,由新世界出版社於 2008 年 9 月出版,以厚實的畫風譯介《論語》的深刻內涵;蔡版的漫畫作者是蔡志忠,英譯者是布萊恩·布雅,由現代出版社於 2023 年 5 月出版,以頗具禪意的線條勾勒出妙趣橫生的漫畫,幫助青少年汲取國學智慧,提升文化素養。由於該四個版本的《論語》英譯漫畫在具體節選章節上有較大差異,本文將以四個版本均選取較多語錄的“學而篇”相

同部分作為具體考察對象,基於投射成分和被投射成分的多模態譯介機制橫向對比不同版本的《論語》漫畫所體現的多模態投射機制,於版和亞版的語錄是完全相同的,分別包含 16 條語錄,但周版和蔡版均僅有 7 條語錄,且各有一條不同的語錄收錄(周版的“道千乘之國”在蔡版替換成“賢賢易色”)。考慮到版權原因,可以從四個版本的《論語》英譯漫畫的封面感知四位漫畫作者的畫風(如圖 1)。

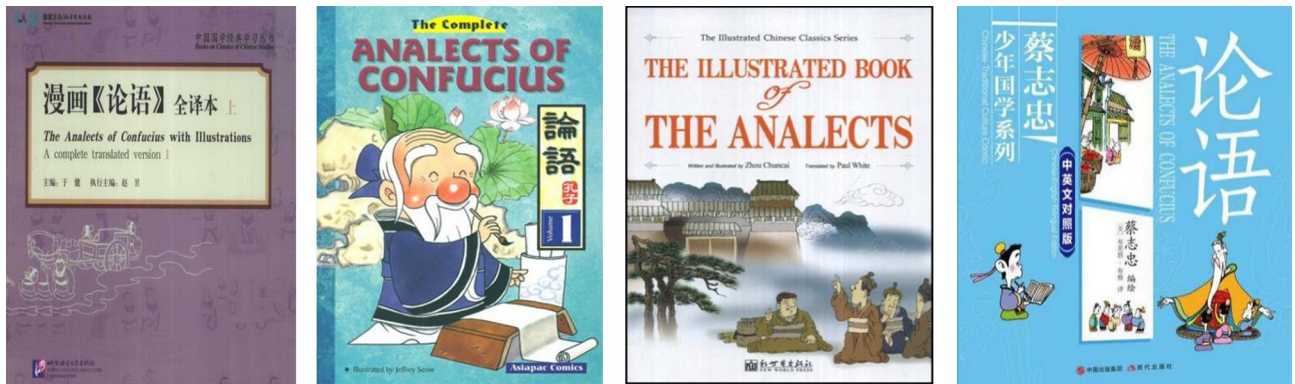


圖 1 四個版本的《論語》英譯漫畫封面(從左到右依次為於版、亞版、周版和蔡版)

### 三、四個版本的《論語》英譯漫畫的多模態投射機制分析

#### (一) 投射成分的多模態譯介機制分析

四個版本的《論語》英譯漫畫的「學而篇」均通過轉換文本模態的投射成分,包括「子曰」、「有子曰」、「曾子曰」、「子夏曰」、「子禽問於子貢曰」,實現漫畫語篇的跨模態譯介<sup>①</sup>,因此,《論語》英譯漫畫可以選擇呈現「言語者」和/或「言語過程」,但由於受到文化背景、塑造意圖、符號選擇和符號功能等因素的影響,四個版本的《論語》英譯漫畫的「學而篇」在具體的符際轉換手法上有明顯不同。

具體而言,於版並未直接出現「言語者」和/或「言語過程」,而僅在被投射成分偶爾間接出現了「言語者」,在繪製手法上,漫畫語篇的「孔子」和「子貢」均以樸素的線條呈現人物形象,僅在細微處對人物身份加以區分,貼近大眾對於儒學先知的傳統印象,考慮到於建曾任蒙古國孔子學院院長,而於版正是其開展的國學文化譯介專案下的作品之一,因此,投射成分的缺省可以弱化《論語》語錄體和對話體的語篇特徵,使其創造性轉化為敘事語篇,從而更加易於為國外學生讀者所接受。

相比之下,亞版在投射成分的呈現上豐富了許多。作為四個版本中唯一的國外出版版本,在所觀察的 16 條語錄中,10 條出現了相應的言語者、過程和環境成分,而在這三個要素又在其中 8 條的全部漫畫格中出現,這可能與異化的翻譯風格有關,因為相應的文本語篇譯文在表達上比對應的漢語原文呈現更多的語義投入,而古漢語和現代漢語的對比也往往是前者更為簡約扼要,後者更為詳盡具體。因此亞版在多模態翻譯,即語內翻譯、語際翻譯和符際翻譯上均體現了增加語義投入的創造性轉化特點。「以子曰:『學而時習



之,不亦說乎?有朋自遠方來,不亦樂乎?人不知,而不愠,不亦君子乎?』」為例,孔子的言語者身份被轉換成了思維者,並在第一個漫畫格的被投射成分是通過轉化為以心理投射過程的思想泡實現的,對應「學而時習之,不亦說乎?」,不僅在孔子的人物形象上以動漫風格刻畫得細緻入微,且思維者所處的書房環境也以略帶現代風格(其中蠟燭出現在燈罩裏)的環境成分展現,在第二個漫畫格中,「有朋自遠方來,不亦樂乎?」出現在了孔子的對話泡裏,孔子雙手舉起在樹下歡迎賓客,在第三個漫畫格中,「人不知,而不愠,不亦君子乎?」創造性轉化為孔子在落葉紛飛的大樹下漫步。

周版與蔡版在言語者出現的語錄數量上類似,分別有6條和7條,但在具體繪製手法,周版顯得更加渾厚,更側重於突出孔子及其弟子的在原著中的古典形象,言語過程是通過張開的口型和指示性的教態體現的,而環境成分往往是竹簡在側和山林其後,相對於環境成分,孔子及其弟子的人物尺寸比例偏大,這似乎也呼應了厚重樸實的畫風所凸顯的舉足輕重的人物分量。類似地,蔡版的言語者也是單獨出現在了首個漫畫格,該版本中的孔子及其弟子往往配備某種工具,例如書籍、琴瑟、器皿或佩劍等,或端坐,或站立,或沉思,此時的言語者更像是一個引導者,通過妙趣橫生的線條,帶領讀者進去漫畫作者所描繪的詩意世界,而忽略了環境成分,放空身心進入空靈世界感受虛無與頓悟,漫畫作者在這種情形下融入了自己對於原著人物形象的理解,以互文的方式重構了古典文學世界。

由此可見,四個版本的《論語》英譯漫畫的投射成分多模態譯介機制總體反映了符際翻譯的總體策略選擇,即在忠實性與創造性之間的翻譯選擇,漫畫多模態譯介研究植根於改編研究。改編研究總體上源於對文學作品改編為電影的關注。在這個學術領域中,學者普遍從忠實(fidelity)的角度去探討改編機制。具體如下圖<sup>⑩</sup>:

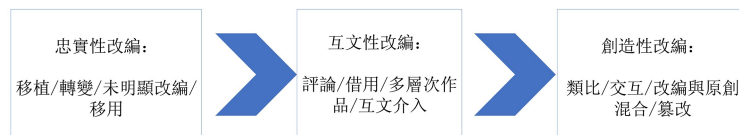


圖2 改編策略的連續統<sup>⑫⑬⑭⑮</sup>

## (二) 被投射成分的多模態譯介機制分析

在被投射成分的多模態譯介機制上,四個版本的《論語》英譯漫畫因為翻譯目的與語義投入的不同,在漫畫的多模態語義再現過程中基於不同的功能意義和理論系統選取了不同的功能元素,從而實現了不同的表徵組合。翻譯目的論認為翻譯活動應以實現翻譯目的為核心,同時考慮譯文的連貫性和對源語的忠實性,這些可以通過語篇的功能機制實現<sup>⑯</sup>,而系統功能語言學的語義投入論則認為翻譯活動可視為源語和目標語的語義互動,即目標語相對於源語的更多的語義植入使其擁有了更高的投入程度<sup>⑰⑱</sup>。因此,四個版本的《論語》英譯漫畫被投射成分的多模態譯介機制可視為翻譯目的和語義投入的二元一統,典籍漫畫多模態譯介目標語的選擇,也就是《論語》英譯漫畫中語內翻譯的現代漢語、語際翻譯的英語和符際翻譯的漫畫都可以視為翻譯目的和語義投入的加減形成的四象限中的具象體。

如圖2所示,於版和周版的被投射成分的多模態譯介更傾向於教育目的,但前者的語義投入相對較低,後者的語義投入較高;蔡版和亞版的被投射成分的多模態譯介更傾向於娛樂目的,且前者的語義投入相對較低,後者的語義投入較高。然而值得注意的是,這種劃分是基於總體觀察得出,而並非意味著現代漢語、英語和漫畫符號上均符合所在象限的特點。四個版本的《論語》英譯漫畫中「學而篇」相同的語錄有:「學而時習之」、「君子務本」、「吾日三省吾身」、「千乘之國」、「弟子入則孝」、「君子不重則不威」、「民德歸厚」。以

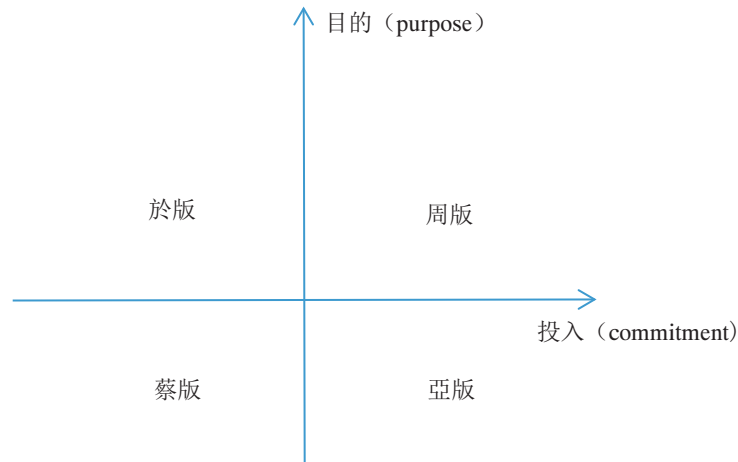


圖 3 被投射成分的多模態譯介翻譯目的與語義投入四象限

「學而篇」中被投射成分「弟子入則孝」和「吾日三省吾身」及其在四本書分別對應的漫畫格為例，四個版本的《論語》英譯漫畫多模態譯介的三個翻譯過程以及相應的分析如下：

於版：

原文：弟子，入則孝，……

釋義：年輕人在家就應孝順父母，……

英譯：Yong people should be filial to their parents when at home, ...

漫畫（文本描述）：圖（父母站立，母側視父，父視兒微笑，兒子跪呈熱騰騰冒煙的湯，環境留白）

周版：

原文：弟子，入則孝，……

釋義：無

英譯：A youth, when at home, should be filial, ...

漫畫（文本描述）：圖（父子站立於郊外樹和花草間，小鳥飛過，父頭閉目若有所思微仰起，若有言辭，緊擁兒子，兒子歡笑）

亞版：

原文：弟子，入則孝，……

釋義：年輕人在家要孝順父母，……

英譯：A youth should be filial when at home ...

漫畫（文本描述）：圖 1（兒子面帶微笑到茶點間端上茶點）和圖 2（兒子鞠躬，向端坐案前的微笑的父親問早上好，並同時呈上茶點）

蔡版：

原文：弟子，入則孝，……

釋義：作為一個學生在家要孝順父母；……

英譯：A young man should be respectful to his parents in the home; ...

漫畫（文本描述）：圖（書房內，父端坐案前轉身，兒戴佩劍向父鞠躬）



在這四組文字和漫畫中,於版和周版的教育意圖更加明顯。首先在語言上,兩個版本均試圖通過語內或語際的表達強化被投射成分的教育意義,於版通過語內翻譯的「就應」強調了「孝」的重要性,而周版採用的是成分位置轉移的語際翻譯策略,通過前置「when at home」,使「should be filial」後置,而使語義重心落在了「filial」上。在符際翻譯層面,於版通過父母兒的動作或心理過程表明了長幼尊卑,母側視父,對應了夫為妻綱,而兒跪父,又體現了父為子綱,環境成分的缺省凸顯了人物互動的人際意義,此時,父親露出的微笑即是情感流露,也是對兒恭敬獻上熱湯的正向判斷。類似地,周版裏用符際翻譯描述的也是一個父親對兒敦敦教導,而兒洗耳恭聽的場景,郊外的樹木、花草和小鳥在這裏形成了一種陪襯,象徵著教導的內容中春意盎然,充滿生機,兒子的歡笑正是對這一切的正面判斷。

相比之下,亞版和蔡版更注重的是寓教於樂。首先,在語內和語際翻譯層面,兩個版本都採取了較為輕鬆的口吻表述源文本內涵,語內翻譯上兩個版本均只用了「要」也就是相對簡單的直譯,亞版在語際翻譯上用了正常語序,而蔡版甚至講孝順弱化為「respectful」,降低了該傳統價值觀的語義重量。在符際方面,亞版通過父子都是微笑的表情營造輕鬆愉快的氣氛,茶點的呈遞僅需「鞠躬」而不是像於版那樣的「下跪」,蔡版通過省略了情感營造禪趣<sup>19</sup>,兒戴佩劍的人物形象也給畫面增添了幾分樂趣。值得一提還有,亞版的環境成分更加傾向於西方的佈局和元素,而蔡版則保留了中國文化傳統元素,這說明該兩個版本的漫畫作者對於符際翻譯的異化和歸化偏好有所不同。

於版:

原文:吾日三省吾身:……

釋義:我每天多次反省自己:……

英譯:Every day I exam myself several times on the following aspects: ...

漫畫(文本描述):圖(在古室內,男子案前端坐於大長方形坐墊上,閉眼,身體與臉部均朝右前側向,面色詳和)

周版:

原文:吾日三省吾身:……

釋義:無

英譯:Every day I reflect several times on ...

漫畫(文本描述):圖(男子在室外花石旁跪坐於中等大小的圓墊上,閉眼臉朝右前側,手抱竹簡,面容微悅)

亞版:

原文:吾日三省吾身:……

釋義:我每天都再三反省自己:……

英譯:Daily, I examine myself in three areas.

漫畫(文本描述):圖(現代裝飾的房間內,男子在沙發上端坐,沙發、身體與臉部均為左前側朝向,右手持咖啡,左手端咖啡墊,睜眼平視,面容不悅)





蔡版：

原文：吾日三省吾身：……

釋義：我每天多次反省我自己：……

英譯：Everyday I critique myself in three ways:

漫畫(文本描述)：圖(戶外長滿綠葉的樹下，葉子紛紛飄落，男子朝左前側端跪坐與小圓形墊上，頭微低，閉目顯疲態)

類似地，在該四組漫畫多模態翻譯作品中，雖然在語內翻譯上，四個版本的中文釋義均較為接近，但在語際翻譯和符際翻譯上，月版和周版均更能凸顯教育目的。具體而言，於版和周版都使用「several times」翻譯了「三」，從而顯化了次數的具體含義，相對而言，於版使用的「exam」和增譯「on the following aspects」的語篇功能成分更符合其教材的定位，而周版的「reflect」和增譯「on」，則為其增添了幾分人生思考的意味。這樣的意圖也可以在這兩個版本的符際翻譯實踐上觀察到，於版對應漫畫中的男子所處的地理位置是古樸的室內，手中無物，面前是一張書桌，周圍環境顯簡約，只有窗簾、窗戶、一包大米和一個水缸(上有蓋子和一個水勺)，而周版對應漫畫中男子處於室外，手捧竹簡，面容、服飾與周圍的石頭和花草顯示出了更多層次的紋理，那麼可以看出前者是偏向學科教育的思考，而後者可能更側重於人生教育的思考。亞版和蔡版更傾向於用樂趣引導閱讀。首先，在語際翻譯層面，兩個版本都採取了弱化了反省的次數，選擇了省譯，降低了原文所強調的主旨的語義重量。在符際方面，亞版通過包括門鎖、臺燈、沙發、咖啡現代居室內的環境成分異化了原文語境，並以男子的古典裝扮和萌趣的表情製造了反差感和幽默效果；蔡版漫畫中僅有男子、樹和落葉三個參與者，通過增添詩化成分提升了禪趣，漫畫中的男子的向下低頭和周圍環境的落葉都隱喻著這是一種悲傷的場景<sup>①</sup>，男子裝扮古樸，動作是作揖，再次說明該兩個版本的漫畫作者在符際翻譯上不同的異化和歸化偏好。

#### 四、結語

在當今多媒體和多媒介高速發展的時代，如何做到傳統文化經典的「創造性轉化、創新性發展」已成為新時代下傳統文化傳承與譯介外宣工作的重要課題。《論語》作為典型的語錄體和對話體的經典作品，其多模態譯介機制體現顯著多模態投射特徵。《論語》漫畫多模態投射路徑可以從意義層、理論層、元素層和表徵層進行剖析，通過深入分析不同層面的多模態投射特徵，總結出投射成分和被投射成分的多模態譯介機制。研究表明，四個版本的《論語》英譯漫畫的投射成分印證了多模態翻譯從忠實性到創造性的連續統，而被投射成分的多模態譯介機制可以從翻譯目的和語義投入的加減形成的四象限進行分類理解。本文聚焦於四個版本的《論語》英譯漫畫多模態投射路徑研究可以引發動漫從業人員的進一步思考，並為多模態譯介研究提供了基於現有學術概念的延展分析，具有一定的實踐和理論意義。

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# A Study on the Influence of Burton Watson's Multiple Social Identities on the Translation of *The Selected Poems of Du Fu*

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**Abstract:** As the subject of translation, the translator not only assumes the role identity of the translator in the translation process, but also has multiple social identities, such as cultural identity and professional identity. This paper argues that these social identities also have an impact on their translation activities. Therefore, from the perspective of Henri Tajfel's social identity, this paper examines the impact of Watson's multiple social identities on the production and publication of his *The Selected Poems of Du Fu*. It is found that as an American scholar living in Japan, Watson's cultural identity drove him to choose to translate Du Fu's poems, and to show a high degree of classicism and representativeness in his selection of materials. At the same time, as a well-known American sinologist and educator, Watson's professional identity is not only reflected in the high degree of fidelity of his translations of Du Fu's poems, including the precise reproduction of vocabulary, sentence structure, and rhythms, but also in the strong support and impetus he provided for the publication and dissemination of the translations. By analyzing Watson's translation practices, this paper further confirms the impact of translator identity on translation activities and provides a reference for the selection of translators for the dissemination of outstanding Chinese culture.

**Keywords:** Translator identity; social identity; Burton Watson; *The Selected Poems of Du Fu*

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# 華茲生多重社會身份對《杜甫詩選》譯本的影響研究

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**摘 要:**譯者作為翻譯的主體,不僅在翻譯過程中承擔了譯者的角色身份,還兼具多重社會身份,如文化身份和職業身份等。本文認為,這些社會身份也會對其翻譯活動產生影響。因此,本文從亨利·泰弗爾的社會身份視角出發,考察華茲生的多重社會身份對其《杜甫詩選》產出和出版的影響。研究發現,作為一位寓居日本的美國學者,華茲生的文化身份驅動他選擇翻譯杜甫詩歌,並在選材上展現出高度的經典性與代表性。同時,作為美國知名的漢學家與教育工作者,華茲生的職業身份不僅體現在他對杜甫詩歌翻譯的高度忠實性上,包括辭彙、句式及韻律的精準再現,更在於其為譯本的出版與傳播提供了強有力的支持與推動。本文通過分析華茲生的翻譯實踐,進一步驗證了譯者身份在翻譯活動中的影響作用,並為中國優秀文化傳播中的譯者選擇提供了參考。

**關鍵詞:**譯者身份;社會身份;華茲生;《杜甫詩選》

## 一、引言

傳統觀念中,譯者常被比作「畫家」、「旅行者」或「把關人」,被視為一種隱性的存在。自 20 世紀 70 年代起,西方翻譯研究迎來了文化轉向,譯者逐漸從幕後走向臺前,人們開始重視譯者主體性及其在翻譯活動中的地位。近年來,翻譯理論研究不斷深化,促使譯者在翻譯過程中的角色日益成為研究焦點。相較於以往僅局限於原作與譯文間靜態對比的分析方法,當前對譯者的研究更加注重探索譯者與最終譯文成果之間的動態交互關係。在翻譯實踐中,譯者是翻譯的主體,譯者的身份對於譯者在翻譯時發揮主觀能動性具有主導作用,會對其翻譯活動造成一定的影響,進而使得譯本呈現出多樣化的風格和特點,並影響著譯作的出版與接受。

選擇一位恰當的譯者,對於推動中華文化典籍的對外傳播至關重要。「一位瞭解中國文化、中國哲學、中國文學的譯者,方能夠將中華文化典籍中的精髓根植於譯本中。」<sup>①</sup>在西方世界接觸漢詩的歷史中,杜甫是中國詩人中較早被西方讀者所瞭解的,他的作品被翻譯並引入西方已超過三個世紀,對文學和文化產生了廣泛而深刻的影響。其中,華茲生的譯作《杜甫詩選》在杜甫詩歌英譯領域佔據舉足輕重的地位,共收錄了 135 首杜甫的詩歌譯文。「他的譯詩頻頻入選權威文學選集,譯本不僅被列入『東方經典著作譯叢』,作為教材而使用,還得到了中國學界的肯定,被收入《中華大文庫》以英漢對照版的形式發行。」<sup>②</sup>

近些年,杜甫詩歌的英譯研究已取得顯著成果,但仍有待深入挖掘。前人研究多聚焦於杜甫詩歌的翻譯內部研究以及翻譯外部研究,翻譯內外結合研究相對比較缺乏,且多數都從社會翻譯學視角開展研究,缺乏跨學科的新視角研究範式。林嘉新曾在文章中指出,華茲生的《杜甫詩選》在學術界廣受好評,不僅體現了翻譯文學的詩性,還兼具文獻功能,對杜詩在美國的譯介做出了重要貢獻<sup>③</sup>。然而,現有研究多集中於華茲生其他作品的英譯分析,對其《杜甫詩選》的深入研究相對較少,且多從語言層面展開,較少探討譯者社會身份對翻譯過程及成果的影響。因此,本文旨在從亨利·泰弗爾的社會身份視角出發,通過探討華茲生的



多重社會身份如何影響其《杜甫詩選》的產出及出版,以期揭示譯者身份在跨文化翻譯中的重要作用,為杜甫詩歌英譯研究提供新的視角。

## 二、華茲生獨特的譯者身份

李文靜曾在其文章中指出,亨利·泰弗爾的社會身份理論是群體關係研究中最具影響力的理論之一,它旨在解釋群體間的行為。這裏的「身份」是基於社會群體的成員資格而建立起來,因此稱為「社會身份」,或曰「群體身份」<sup>④</sup>。譯者,身為社會構成的一員,其身份認同呈現出多元化的交互特性。通常情況下,譯者在從事翻譯工作時所獲得的角色身份,僅僅是其在該特定活動中的一種體現,這並不能全面地反映其在社會中通過與其他群體互動所建構的文化身份或職業身份。因此,翻譯實踐實際上成為了譯者傳遞其所屬社會群體的思想觀念、社會心態以及文化意識的一種媒介。這些深入內心的群體認同感,塑造了譯者在社會交往中針對自我群體及他者群體的行為規範與認知框架,進而對其翻譯過程中的選擇產生引導作用,包括是否採用靠近原文或譯文的策略。由此可見,譯者的社會身份會影響其經驗視角、對原作的理解與詮釋方式,因而在翻譯活動中扮演著舉足輕重的角色。

「譯者本身就是被社會建構的,成長於社會,在社會化進程中建構世界觀、倫理觀和審美價值觀」<sup>⑤</sup>。譯者的社會身份建構與其個人經歷和教育背景密切相關,華茲生社會身份的獨特性體現在兩個方面:第一,華茲生是旅居於日本的美國學者。華茲生在日本度過了超過六十年的旅居生涯,在寓居日本和返回美國的過程中,他兼具局內人和局外人的雙重角色,遊走於母國文化、移居國文化和中國文化之間。因此,華茲生豐富的散居體驗構成了他獨特的文化身份,並將其融入了自己的翻譯活動之中。第二,華茲生是美國著名的漢學家,曾在哥倫比亞大學、斯坦福大學和香港中文大學任教並從事研究。作為漢學家、教育工作者的職業身份,使得華茲生積攢了深厚的漢語功底、中國文化底蘊以及豐厚的社會資源,進而影響其翻譯活動。由此觀之,華茲生的文化身份和職業身份無疑會在其翻譯工作中產生顯著的影響。

## 三、文化身份與《杜甫詩選》的翻譯動機和選材

1951年8月,華茲生踏上了前往日本的旅程,標誌著他在東瀛長達幾十年的旅居生活的開始,直至2017年逝世。在此期間,除了數次短暫赴哥倫比亞大學、斯坦福大學及香港中文大學進行學術研究與教學任務,以及兩次匆忙的中國之行外,他幾乎未曾遠離日本這片土地。在此期間,華茲生在日本和美國之間遊走,兼具局內人和局外人的雙重角色,徘徊於母國文化、移居國文化及中國文化之間,其豐富的散居體驗構成了他獨特的文化身份。作為一個癡迷於中國文化、寓居日本的美國學者,華茲生在日本的中國典籍翻譯工作深受美國歷史背景的影響。

### (一) 文化身份對翻譯動機的影響

華茲生,作為一名擁有深厚美國文化背景的學者,其獨特的文化身份在他選擇翻譯杜甫詩歌的歷程中扮演了重要角色。這一選擇不僅回應了二戰後美國為提升對中國認知而推動的文化研究與翻譯倡議,更是其個人學術追求與早年學術經歷相結合的產物。在二戰後全球格局的深刻變化下,中國的國際地位顯著提升,促使美國政府及社會各界加大了對中國文化的關注與研究投入。華茲生,作為土生土長的美國人,敏銳地感知到了這一時代潮流,並主動融入到了這一國家層面的文化探索之中。他的參與,既是對國家需求的回應,也是個人學術興趣與國家戰略需求相契合的體現。然而,華茲生決定翻譯杜甫詩歌的背後,有著他早





年學術生涯的深刻烙印。具體來說,他在 1951 年至 1955 年期間,有幸成為日本傑出漢學家吉川幸次郎的學生及研究助手,這一時期,吉川正專注於漢語古詩,尤其是杜甫詩歌對仗藝術的探索。在吉川的悉心指導下,華茲生不僅深入接觸了杜甫的詩作,還將其研究成果轉化為英文。華茲生的這一翻譯活動,無疑契合了美國的國家戰略需求,並促進了中國古典詩詞在西方世界的傳播。

## (二) 文化身份對翻譯選材的影響

多年來,美國譯者致力於漢語古詩的翻譯,特別是編年體譯詩選的出版,讓美國讀者逐步認識到了漢語古詩的原貌。通過這些譯作,美國讀者對漢語古詩的理解變得更加全面、客觀和準確,超越了以往零散的譯詩閱讀。通過代表性與經典性的篇目來瞭解詩人及其名下詩歌的全貌實為美國讀者所久盼。

作為一個致力於漢學研究的美國學者,華茲生的文化身份促使他在選擇翻譯杜甫詩歌篇目時,盡力契合美國讀者的閱讀期待,選材極具代表性與經典性。杜甫的詩歌因其「詩史」之稱而聞名,他的詩歌常常涉及政權更迭的動盪、民眾生活的困苦以及政界陰暗面等主題,深刻展現了其秉持的儒家仁愛理念與深切的憂國憂民情懷,這一類詩歌主題在杜甫詩歌中極具代表性與經典性。因此,華茲生在選擇翻譯杜甫詩歌時,「選譯篇目多數為關注民生疾苦、社會動盪、政治黑暗和其人生起落、仕宦沉浮的詩歌,與選譯陸遊詩歌時所表現出的審美偏好大相徑庭,凸顯了譯者對代表性的關注。」<sup>⑥</sup>《杜甫詩選》精心收錄了總計 135 首詩歌,這些詩作大多屬於杜甫流傳下來的經典之作,諸如《兵車行》《無家別》《贈衛八處士》等名篇均被囊括其中。與此同時,為了全面展示杜甫詩歌的風貌,華茲生在編譯過程中,還特意挑選並翻譯了一些雖名氣不甚顯赫卻同樣值得細細品味的篇目,如《卜居》《江村》《春夜喜雨》《絕句二首》等。這類詩歌是杜甫寓居於巴蜀地區所作,主要以百姓的農事、日常生活、山川景物和風土人情為創作題材,體現了一種輕鬆閒適之感。20 世紀中葉以後,美國詩歌十分注重描寫普通人的生活感受,華茲生的此類選材也正契合了當時美國詩歌的審美偏好,很有可能吸引現代讀者。由此可見,作為一個美國學者,華茲生的文化身份不僅使其翻譯選材極具代表性與經典性,還全面展示了杜甫詩歌的風貌,讓目標讀者能夠充分認識到杜甫詩歌的原有面貌。

## 四、職業身份與《杜甫詩選》的譯本表達和出版

華茲生是美國著名的漢學家,自幼便對中國文化有著濃厚的學習興趣。自 1946 年起,華茲生先後求學於哥倫比亞大學與京都大學,期間他系統地學習了漢語並深入鑽研了中國文學。隨後,他輾轉於全球多個頂尖學府,包括哥倫比亞大學、京都大學、斯坦福大學及香港中文大學,致力於漢語教學與漢學領域的研究工作。作為漢學家和教育工作者,華茲生的職業身份使他積累了深厚的漢語功底、中國文化底蘊和豐富的社會資源,這些都對他《杜甫詩選》的翻譯活動產生了深遠的影響,重點體現在其譯本的表達與出版方面。

### (一) 職業身份對譯本表達的影響

作為一名漢學家,華茲生憑藉其多年求學所積累的深厚中國文化素養與精湛的漢語能力,在翻譯杜甫詩歌的過程中,展現出了對原詩語言的敏銳捕捉與深刻闡釋能力。

首先,在辭彙層面,由於華茲生出色的漢語語言能力,使他能夠出色地理解原詩的內容與語義,使其譯詩充分貼合原詩。

#### 例 1

原文:風急天高猿嘯哀,渚清沙白鳥飛回。無邊落木蕭蕭下,不盡長江滾滾來。(119 LIU shangdan





LI shan)

華譯本: Wind shrill in the tall sky, gibbons wailing dolefully; beaches clean, sands white, overhead the circling birds: leaves fall, no end to them, rustling, rustling down; ceaselessly the long river rushes, rushes on. (Watson, 2009: 315)

這兩行詩句專注於描繪秋日景致,通過登高所見的敘述,緊緊把握住了秋季特有的風貌,細膩地勾勒出一幅江邊空曠而寂寥的畫面。首先,詩中的意象詞「風」、「猿」、「鳥」、「落木」、「長江」等等都採用了直譯的翻譯方法,力求忠實於原文的含義。其次,擬聲詞「蕭蕭」、「滾滾」,由於在英語中沒有對應的辭彙,因此華茲生在翻譯時,便採取了意譯的翻譯方法,將其翻譯為了「rustling, rustling」、「rushes, rushes」,選取了英語中能傳達類似聲音的辭彙,來表達原詩落木窸窣之聲,長江洶湧之狀。

其次,在句式方面,由於華茲生在京大深造期間,師從日本傑出漢學家吉川幸次郎,鑽研杜甫詩歌的對仗藝術。這段學術歷程不僅深刻影響了華茲生對杜甫詩歌的理解,更促使他在翻譯實踐中,竭力保留並展現原詩中精妙絕倫的對仗結構與創作技法,從而確保了譯作能夠忠實傳達杜甫詩歌的獨特魅力與韻味。

## 例 2

原文: 細草微風岸,危檣獨夜舟。星垂平野闊,月湧大江流。名豈文章著,官應老病休。飄飄何所似,天地一沙鷗。

華譯本: Delicate grasses, faint wind on the bank; stark mast, a lone night boat; stars hang down, over broad fields sweeping; the moon boils up, on the great river flowing. Fame—how can my writings win me that? Office—age and sickness have brought it to an end. Fluttering, fluttering, where is my likeness? Sky and earth and one sandy gull. (Watson, 2009: 261)

這首五言律詩極具典型性,其首聯與頷聯形成了經典的對仗格式。在翻譯過程中,華茲生巧妙地運用了平行結構來複現這種對仗美感,特別是在辭彙層面,他採用了嚴格的一一映射式平行結構,比如首聯和頷聯中的 delicate grasses  $\longleftrightarrow$  stark mast, hang down  $\longleftrightarrow$  boils up, over broad fields  $\longleftrightarrow$  on the great river, sweeping  $\longleftrightarrow$  flowing 等均使用不同的平行結構以對應。其次,在頸聯中,華茲生在句子結構上使用了並列結構,前後對稱,兩個句子均以一個名詞引出了對名望和官職的討論,構成了平行的引導詞。華茲生的譯詩在效果上貼近原作,他巧妙地將原詩的節奏感、疊字運用及對仗等形式特點融入到了英文自由體詩歌之中,展現了他在翻譯杜甫詩歌時對詩性原則的堅持。

最後,在韻律方面,華茲生在翻譯過程中,針對原詩的疊詞等音韻技巧進行了細緻的仿擬,從而鮮明地再現了原詩獨特的音韻特徵和藝術效果。例如,在《兵車行》一詩中,華茲生將原詩「車轢轢,馬蕭蕭。」翻譯為了「Rumble-rumble of wagons, horses whinnying。」<sup>⑦</sup>首先,在原文中,「轢轢」與「蕭蕭」作為擬聲詞,分別生動地描繪了車輪滾動的轟隆聲與馬匹嘶鳴的悠長聲。而在譯文中,通過使用「rumble-rumble」與「whinnying」這兩個辭彙,同樣成功地模擬出了車輪轟鳴及馬匹鳴叫的聲音效果,保留了原文的擬聲特點;其次,譯文中的「rumble-rumble」通過重複同一個詞,模仿了原文「轢轢」的重複音韻效果。而「whinnying」則選用了一個帶有連續音節的詞,仿效了「蕭蕭」的音韻特點,使得整個句子在讀起來時依舊具有韻律感。

## (二) 職業身份對譯本出版的影響

從青年學者到知名教授,華茲生除在日本學習期間,華茲生大部分時間所在的哥倫比亞大學是全美國



的亞洲研究和漢學重鎮。作為青年學者和後來的知名教授，華茲生在哥倫比亞大學求學與任教期間，積累了豐富的社會資源，這些資源對他譯作《杜甫詩選》的出版與發行產生了深遠的影響。

首先，自 20 世紀 60 年代以來，哥倫比亞大學出版社推出了多種亞洲研究叢書，包括《亞洲經典譯文叢書》(*Translation from the Asian Classics*)和《亞洲文化研究叢書》(*Studies in Asian Cultures*)等。哥倫比亞大學的亞洲研究專案及其大學出版社的大力支持，在很大程度上促成了華茲生的漢詩英譯工作與漢學研究的順利開展，並最終使其成果得以面世。《杜甫詩選》便是於 2003 年由哥倫比亞大學出版社支持出版的，而華茲生能夠得到這樣的支持，與其在哥倫比亞大學的求學與任教經歷密不可分。

其次，為了滿足戰後國際戰略佈局與地區形勢的需要，美國政府特別設立了基金，用於吸引亞洲研究領域的專家學者，以便深入探究東亞各國的國家情況。包括華茲生的母校哥倫比亞大學在內，許多高等學府都積極參與其中，但面臨相關教材短缺的問題。為了應對漢學教材及相關書籍資源稀缺的挑戰，1950 年，一項名為「東方經典譯叢」(*Translations of Oriental Classics*)的重大翻譯專案在狄百瑞的引領下啟動，多家機構，包括美國教育基金會、福特基金會以及哥倫比亞大學出版社等，為該專案提供了資助與支持。華茲生憑藉其在哥倫比亞大學與狄百瑞的學術淵源，成功獲得該專案資助，使《杜甫詩選》不僅成為學術研究的重要成果，更被廣泛應用於教育領域，進一步擴大了其影響力。

由此可見，華茲生在哥倫比亞大學的職業身份，為其譯作《杜甫詩選》的出版提供了關鍵的支持和資源，促進了其譯作的廣泛傳播和影響力的提升。

## 五、結語

本文以華茲生的《杜甫詩選》翻譯活動為個案，從亨利·泰弗爾的社會身份視角出發，分析譯者的社會身份對翻譯實踐的影響作用。研究發現，作為一名癡迷於中國文化、居住在日本的美國學者，華茲生的文化身份影響了他翻譯《杜甫詩選》的動機與選材。在美國國家戰略和讀者期待的驅動下，華茲生選擇翻譯杜甫的詩歌，並且選材頗具經典性和代表性；作為一名漢學家與教育工作者，華茲生的職業身份則影響了《杜甫詩選》的譯本表達與出版。首先，華茲生在翻譯杜甫詩歌時，在辭彙、句式和韻律方面高度忠實於原詩，展示了他深厚的漢學素養。其次，華茲生從青年學者到知名教授的職業身份，為《杜甫詩選》的出版提供了關鍵的支持和資源。他在哥倫比亞大學的學術生涯，不僅幫助他積累了豐富的社會資源，還直接影響了譯作的出版和廣泛傳播。

### 注釋

- ① 許多：《譯者身份對翻譯過程的影響——以羅慕士譯本中的曹操形象為例》，《外語教學》，2018 年第 6 期，頁 85-89。
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- ⑨ 林嘉新:《詩性原則與文獻意識:美國漢學家華茲生英譯杜甫詩歌研究》,《中南大學學報(社會科學版)》,2020年第4期,頁180–190。
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# Study on the English Translation of Folk Knowledge in *Border Town* under the Principles of Truth, Virtue and Beauty

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**Abstract:** As a masterpiece of Chinese folk literature, *Border Town*, a local – color fiction, contains rich folk knowledge. With the implementation of ethnic–minority fiction funding program, the study of the English translation of folk knowledge can provide valuable reference for exploring the globalization of local knowledge. Based on the principles of truth, virtue and beauty in transknowletology, this paper examines the English translation of folk knowledge in Jeffrey Kinkley’s version of *Border Town* from three perspectives, namely three kinds of knowledge related to customs, navigation and diet. Through analysis, it can be learned that in Kinkley’s translation, liberal translation and addition are frequently adopted in the translation of folk knowledge, which shows that flexibility in translation is important to its reconstruction and communication. Thanks to that, the knowledge is able to be spread to the wider world.

**Keywords:** transknowletology; principles of truth, virtue and beauty; folk knowledge; *Border Town*

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# 真、善、美原則下《邊城》鄉土知識英譯研究

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**摘要：**《邊城》是中國鄉土文學代表作，具有濃重的地方色彩，蘊含多樣的鄉土知識。隨著中國當代少數民族文學作品對外翻譯工程的不斷推進，鄉土知識英譯研究對地方性知識的世界化路徑探索具有重要參考價值。本文基於知識翻譯學的真、善、美原則，從禮俗知識、行船知識、飲食知識三個維度考察《邊城》金介甫譯本中的鄉土知識英譯。研究發現，金介甫譯本在鄉土知識英譯中多採用意譯和增譯的翻譯方法，這體現了靈活翻譯對鄉土知識重構與傳播的重要性，有助於推動鄉土知識跨越文化障礙，走向廣袤世界。

**關鍵詞：**知識翻譯學；真、善、美原則；鄉土知識；《邊城》

**基金项目：**2022 年湖南省社科聯專案「敘事文體學視角下湘籍當代作家小說英譯研究」（專案編號：22WLH15）和“吉首大學 2024 年度研究生校級科研項目「中國文學國際傳播模式構建研究——以湖湘小說《馬橋詞典》英譯為例」（第 198 項）。

## 一、引言

作為一位現代湘籍作家，沈從文以其自創的文筆展現了一幅幅極其地方特色的鄉村風情畫卷，為中國鄉土文學的發展留下了濃墨重彩的一筆。Kinkley 在其著作中肯定了沈從文對中國鄉土文學發展的重要性，認為「或許有一天，他（沈從文）會成為全中國公認的第一位用現代散文來創作地方色彩小說的作家」（One day he may even be recognized as the first author to create a local-color fiction in modern prose for any Chinese region）<sup>①</sup>。《邊城》是沈從文家喻戶曉的一部代表作，聚焦中國農村生活，展示湖湘文化，具有強烈的鄉土氣息和地方色彩，劉西渭譽其為「一顆千年不磨的珠玉」<sup>②</sup>。崔志遠指出，鄉土小說指「以農村生活為題材，較為鮮明地描繪出地域的自然、文化景觀，民俗鄉風和社會心理，具有較為深刻的地緣文化意蘊的那部分小說」<sup>③</sup>。王德威認為，「鄉土小說的特徵在於它對於鄉野人物、地方風俗、俚俗言語、節日傳統、禮儀風俗等等的記述，這些特徵構成所謂地方色彩的效果」<sup>④</sup>。因此，鄉土文學與地緣文化緊密相連，而鄉土文學中所蘊含的鄉土知識也自然與地理環境相關。結合上述學者對鄉土小說的詮釋，可對鄉土知識進行界定：鄉土知識由一定自然環境區域的人民所創造，和文化緊密融合，包含人的生產生活經驗，體現人文精神，對當地人的基本生存和生活創造具有重要意義。作為鄉土文學經典，《邊城》取材於農村，融入了民俗鄉風、俚俗語言等鄉土知識，展示了湘西獨具魅力的地域文化。

以往圍繞《邊城》展開的翻譯研究多為基於視角主義的單一主體視域研究，聚焦語言與文化，忽略了最本質的知識生產與變遷。為助力鄉土知識的傳播，譯者需在求真的基礎上，通過翻譯助力溝通，提高目標文本在目的語讀者中的可接受度，推動不同主體間的對話與交流。因此，本研究基於知識翻譯學真、善、美原則，探討《邊城》的鄉土知識英譯，以期為鄉土文學外譯提供一定借鑒，助力鄉土知識的世界化傳播。



## 二、知識翻譯學及其真、善、美原則

2021年,《知識翻譯學宣言》一文的發佈宣告了知識翻譯學的問世,成為了翻譯批評和翻譯研究的又一新突破,引發學界的熱烈討論。知識翻譯學秉持「客觀意義上的知識論」,強調回歸翻譯知識本體,讓翻譯研究不再局限於語言轉換描述和過度文化闡釋,在繼承並超越文化轉向的基礎上實現了知識轉向,使翻譯研究得以回歸知識本原<sup>⑤</sup>。

知識翻譯學認為,人在一定地理和物理環境中的生活經驗和實踐活動產生了知識,任何知識本質上都是地方性知識,知識翻譯學正聚焦於「地方性知識向世界性知識的生產變遷」<sup>⑥</sup>。楊楓指出,任何翻譯「都是地方性知識的世界化社會行為,都是人類求真、求善、求美的生活化實踐」<sup>⑦</sup>。在知識通過翻譯進入目的語文化世界的過程中,其地方性帶來了不可譯性的挑戰,為提高讀者的接受與認同,譯者需重視在翻譯中對真、善、美的追求,促進地方性知識間的流通。

知識翻譯學一經提出,便引起學界廣泛討論,眾多學者紛紛對知識翻譯學相關問題提出自己的見解和闡釋。陳大亮從不同方面對知識翻譯學進行了元反思,指出「知識在翻譯系統中處於中心地位,是聯通其他翻譯元素的關鍵要素」,強調了知識在翻譯研究中的重要性<sup>⑧</sup>。孟祥春以「覺」「本」「性」「跨」「融」「生」「用」「道」「術」「學」十字對知識翻譯學進行了建構性闡釋,並討論了其譯名問題和部分概念構建,進一步推動了知識翻譯學的理论體系建構<sup>⑨</sup>。金山針對「知識」的內涵與外延模糊問題,對「知識」進行了明確界定,指出知識具有的四個基本特徵,完善了知識翻譯學的理论體系基礎<sup>⑩</sup>。學者們從理論、實踐等方面對知識翻譯學的豐富推動著該學說的不斷完善,也進一步推動了中國譯學的發展。

通過助力作者、讀者、譯者三個不同的主體之間互相溝通交流,知識翻譯學以知識再生產為中心,相容知識邏輯學、知識倫理學和知識美學,形成了一種求真、求善、求美的中和翻譯觀。知識翻譯學認為,「一個譯出的語義單位有兩部分,一是原意、本原,即各種類型的知識,其餘成分則是意識形態操控產生的文化成分」<sup>⑪</sup>。由於「文化」一詞更使人想到文化的差異性,而知識一詞更使人聯想到知識的共同性,因而聚焦「知識」的翻譯學說可以讓翻譯從意識形態的束縛中脫離出來,更有利於世界和諧<sup>⑫</sup>。基於這種中和翻譯觀,知識翻譯學在翻譯實踐方面主張真、善、美原則。岳峰和陳澤予從探討文化與知識何者為翻譯之重出發,對知識翻譯學的真、善、美標準進行了闡釋,從方法論層面對其進行了擴充<sup>⑬</sup>。楊楓和李思伊解釋了真、善、美在方法論層面的哲學淵源、價值和內涵,指出了中和翻譯方法論在翻譯上的功能<sup>⑭</sup>。陳婕基於真、善、美中和翻譯觀,闡釋了知識翻譯學視域下譯者主體性的發揮與制約,指出了譯者用知識武裝自身的重要性<sup>⑮</sup>。

知識翻譯學視域下,「以真求知」、「以善立義」、「以美行文」是翻譯的「金規則」。「以真求知」是「翻譯實踐和理論的科學化要求」<sup>⑯</sup>。「真」是翻譯的準繩,譯者對源文本須求真,注重理解源文本作者所要表達的真正含義;譯者對目標文本也須求真,堅持知識同一性,將對源文本的理解忠實完整地傳遞給目的語讀者,讓目的語讀者在閱讀時能夠產生與源文本讀者相同的感受。在此基礎上,「以真求知」原則常體現於異化策略的使用中,以傳遞未經修飾的「純知識」。然而,在翻譯實踐中,形式上的等同並非傳遞真知的必要條件,適當加工可以讓知識脫離語言的束縛,從而傳達真義。「以善立義」是對「翻譯實踐和理論不可譯性的語言對抗與倫理性約束」<sup>⑰</sup>。「善」約束著譯者的翻譯活動。在翻譯中,譯者須與源文本為善,面對知識的地方性所帶來的不可譯性挑戰,應在尊重源文本的基礎上進行適當闡釋,避免隨意改編。同時,譯者須與讀者為善,通過闡釋讓知識打破意識形態的枷鎖,幫助讀者看到知識的本原,助力溝通。換言之,譯者須在「善」的約束下,從讀者的角度進行翻譯選擇,在傳遞知識的目的下靈活翻譯,在譯文中體現其善心。「以美行文」是「知識的世界化要求」<sup>⑱</sup>。譯者求美,譯文為美,知識才更為讀者所接受與認同。正如胡開寶和李翼所指出,



「我們的文學英譯活動不應僅僅考慮翻譯作品的文學性，還應考慮目的語社會文化語境中影響及制約翻譯活動的各種文化、社會、政治等因素，如英語國家的文學觀念、詩學傳統、意識形態、目標讀者的審美趣味、閱讀需求、閱讀習慣等」<sup>15</sup>。地方性知識向世界性知識的流動離不開讀者的接受，基於目的語讀者的審美標準順勢而為，讓真知以美的姿態流向目的語文化世界，知識間才會更好地轉化與流通。在翻譯實踐中，譯者須對讀者的審美傾向有一定瞭解，同時在翻譯時向其審美標準靠攏。如果不對讀者的感受加以考慮，一味讓讀者閱讀生澀甚至有誤的譯文，知識傳播將陷入原地踏步的窘境。

### 三、《邊城》金介甫譯本研究現狀

作為一個農業大國，中華民族從土裡長出光輝的歷史，鄉土文學也自然在中國文學裡長據一席之地。沈從文的代表作《邊城》是中國鄉土文學的經典之作，具有強烈的鄉土氣息。自 1934 年出版以來，《邊城》先後被譯為多種外文在數十個國家出版。其生命力在英語世界中為最強，迄今已有四個英譯本。其中，美國漢學家金介甫 2009 年出版的「Border Town」為最新譯本，與 1936 年項美麗 (Emily Hahn) 和邵洵美合譯的首個英譯本跨越了 73 年之久，足見《邊城》的「鄉氣」直至新世紀仍對譯者和讀者具有較強吸引力。

在《邊城》英譯研究中，相比於其他三譯本，學界目前對金介甫譯本更為關注。Minhui Xu 以《邊城》金譯本為例，分析了學術型譯者在文學翻譯中的策略傾向，並提出如下推論：一旦選定翻譯文本，譯者的立場和慣習較之原作者和來源語言可能更具決定性力量；譯者積累的資本越多，隨心翻譯的自由度越大；譯者的學術背景越深厚，其翻譯便越重視源文本<sup>16</sup>。劉汝榮將金介甫譯本置於操縱理論框架中考察文化移植的操縱因素和實現途徑，認為個人意識形態和社會意識形態分別影響譯者的選擇，文本內、外因素共同影響原語文化移植，強調關注譯者身份<sup>17</sup>。盧國榮和張朋飛通過分析金介甫譯本在具體翻譯策略上的選擇，總結了金譯本的成功之道，為中國文學的對外譯介建言獻策<sup>18</sup>。王建國和謝飛對《邊城》四譯本進行了量化統計和對比分析，指出相較于源文本，譯本更具結果取向，且英語母語者的結果取向思維更為突出<sup>19</sup>。

目前，針對金介甫譯本所展開的翻譯研究多從語言、文化角度展開，局限於意識形態的操縱之下，針對知識遷移與生產層面的研究仍舊缺失。邵璐和劉彩霞基於認知文體學，探討了民族文學譯介中的地域特徵識解機制，強調了文本的地域特徵在民族文學譯介中的重要性<sup>20</sup>。《邊城》中的各類鄉土知識正是文本地域特徵的集中體現，其英譯研究對民族文學的世界化傳播具有重要意義。在以往關於鄉土知識的譯介研究中，學者們大多針對鄉土語言的翻譯進行探討，涉及主題較為廣泛，如文化負載詞的翻譯等，從知識傳播層面展開的研究不多。鑒於此，本研究結合知識翻譯學真、善、美原則，考察《邊城》金介甫譯本的鄉土知識英譯，以期探究鄉土知識的世界化路徑。

### 四、真、善、美原則下《邊城》的鄉土知識英譯

在現代化進程中，中國經歷了從傳統鄉村社會到現代社會的變遷。而在文學領域，那一抹鄉土印記始終以其「民族性和社會性」印刻在中國文學中<sup>21</sup>。「從基層上看去，中國社會是鄉土性的」<sup>22</sup>。《邊城》作為一部經典鄉土小說，展現了鄉土中國所特有的「鄉土性」。費孝通在《鄉土中國》中將中國社會的「鄉土性」歸結為三個層面：「離不了泥土」、不流動性和熟人社會<sup>23</sup>。《邊城》以小鎮茶峒及其附近鄉村為背景，聚焦於農村生活，刻畫了一對世代守在溪邊擺渡的爺孫形象。老人五十年如一日守在溪邊，為人擺渡，河街上人人知其忠於職守，常贈與些許東西以示敬意。《邊城》所描繪的這幅民風淳樸的鄉村風俗畫卷，正是「鄉土性」在湘西這一方水土上的詮釋。結合前文定義，通過分析《邊城》中所涉及的鄉土知識，發現禮儀風俗、行船術

語、飲食文化三個方面較為突出。因此,本文基於知識翻譯學的真、善、美原則,考察上述三個層面所涉及的禮俗知識、行船知識和飲食知識在《邊城》金介甫譯本中的英譯方式以及在翻譯過程中的知識創造,以期探尋鄉土知識的世界化道路。

### (一) 禮俗知識英譯

「禮俗」即禮儀和風俗,連接著思想文化和社會樣態。禮俗秩序的構建增強了社會凝聚力,促進社會良性運行。正如龍曉添所說,「在社會事實層面,化俗成禮,禮與俗對話,並共同規約社會秩序」<sup>25</sup>。禮俗與政治思想、文化制度等密切相關。鄧子琴比較了中西社會的禮俗形式,指出禮俗「因社會不同,而生之差異。社會不同,禮俗之形式,即因之而異」<sup>26</sup>。大較言之,中國為農業社會,西洋為工商業社會。故禮俗之差殊,此其關鍵也」。社會形態的不同決定了禮俗形式的差異,其中蘊含的禮俗知識也自然大相徑庭。《邊城》以少女翠翠的愛情故事為主線,融入湘西地區的婚嫁、喪葬禮俗,展示了湘西獨特的禮俗文化。潘斌指出,「禮俗……直到今天仍然具有強大的生命力……若不知中國禮俗,就很難真正認識中國社會」<sup>27</sup>。因此,禮俗知識的建構與遷移對於知識的聯繫與流通具有重要作用,對於提高中國鄉土知識在世界知識體系中的認同程度也具有重要意義。

#### 例 1.

源文本:女孩子的母親,老船夫的獨生女,十五年前同一個茶峒軍人唱歌相熟後,很秘密地背著那忠厚爸爸發生了曖昧關係。<sup>28</sup>

目標文本:The girl's mother, the ferryman's only child, had some fifteen years earlier come to know a soldier from Chadong through the customary exchange of amorous verses, sung by each in turn across the mountain valley. And that had led to trysts carried on behind the honest ferryman's back.<sup>29</sup>

在本例中,翠翠的父母親因唱歌而相識相熟,這是湘西民眾常見的一種文化行為。對於湘西兒女而言,唱歌已成為一種文化習俗滲透於民眾的日常生活中。湘西的唱歌習俗正印證了「音樂和美術活動成了一個區別不同群體的標誌」<sup>30</sup>。人們既善歌,也學歌。湘西民眾通過唱歌抒發情感、表達意志,這不僅是一種儀式習俗,更是文化驅動下的一種基本生活方式,通過耳濡目染代代傳承、生生不息。唱歌是湘西兒女表達情感的主要方式,不同場合對應不同的歌曲,題材廣泛、內容豐富。《邊城》中有多處都記述了湘西地區的唱歌習俗,如大老和二老約定半夜到高崖上唱歌,試圖唱動翠翠的心,以及在爺爺死後,老馬兵為眾人唱喪堂歌以消磨時間。人們借歌抒情,將歌唱與談情說愛、婚慶喪葬、生產勞動等方面相結合,呈現出「一種整體性的文化現象」<sup>31</sup>。翠翠的父母親因歌結緣,這種「唱歌」是湘西青年男女擇偶的方式之一。在如三月三「趕邊邊場」等節日裡,青年男女們隔著溪水或山崖互相對歌、談情對唱,情投意合者再到一邊繼續盤歌。綜上可知,「唱歌」在湘西地區有豐富的文化意蘊,在該地區的語境中聚合了多樣的知識。「以真求知」原則強調讓翻譯實踐科學化,要求譯者將自己對源文本的理解原原本本地傳遞給讀者,讓讀者在閱讀目標文本時能夠獲得「真知」。「真知」的傳遞要區分獨有知識和共有知識,金譯本便做到了這一點。唱歌這一行為無疑是共有知識,中西社會不論男女老少都能隨意哼上一曲兒,但當唱歌作為一個地區的習俗時,其文化內涵、行為模式等便屬獨有知識。金介甫作為《邊城》的譯者,同時也是一位學者,他在「唱歌」這一習俗的翻譯上「求真」,也實現了通過翻譯「求知」的目的。在金譯本中,金介甫對唱歌習俗採用了增譯的翻譯方法,並未簡單地以「唱歌」二字草草帶過,而是在理解的基礎上對該知識進行了重構,採用文內解釋的方式將唱歌習俗的形式、內容、地點簡潔地告知讀者,補充了其中隱含的知識,對讀者做到了傳真、傳知。





## 例 2.

源文本：過了四七，船總順順派人來請馬兵進城去，商量把翠翠接到他家中去，作為二老的媳婦。<sup>②6</sup>

目標文本：When the fourth week of mourning had passed, Fleetmaster Shunshun sent a man to ask the horseman back to town. He proposed that Cuicui come into his home, as the future wife of No. 2. <sup>②7</sup>

「七」是中國喪俗中一個特殊的數字。史小軍和郭俐兵指出，「我國古代以『七』為節律的社會風俗以及民間信仰是『祭七』發生的土壤」<sup>②8</sup>。「祭七」以「七」為核心，在古代與儒、道、佛緊密相關，宗教色彩濃重，而在近代則多為一種葬後祭禮。這種祭禮在民間一般稱為「做七」，在《紅樓夢》《金瓶梅》等小說中均有涉及。「做七」指家屬為逝者每隔七天進行一次的祭奠儀式，這種儀式一共要進行七次，共計七七四十九天。第一個七天稱為「頭七」，第二個七天稱為「二七」，以此類推，本例中的「四七」則為爺爺死後的第四個七天。金譯本並未按照字面意義簡單地將「四」與「七」進行組合，而是採用了意譯的翻譯方法，將「四」處理為序數詞，將「七」用具有七天含義的「week」來表示，同時添加「mourning」一詞用以解釋是祭禮的第四周。在充分理解源文本的基礎上，金譯本對「四七」這一禮俗知識進行釋義以提高目標文本的可讀性，這一處理既體現了對源文本的尊重，又促進了讀者對知識的理解，與「以善立義」原則相契合，正是「善譯」的體現。同時，該知識的重構也體現了金譯本對「美」的追求。如前所述，「七」在宗教中的文化意蘊豐富，在喪禮中為「第七日」。西方喪禮中並無這一概念，而七日正好為一周，金介甫用「week」一詞進行替換，用詞平實精練，巧妙地使目標文本保持了流暢性與可讀性，知識因而以美的姿態呈現在讀者面前，金譯本的「行文之美」也由此可見。

## （二）行船知識英譯

沈從文筆下的邊城茶峒一面近山、一面臨水，環繞茶峒的河流便是酉水。茶峒臨水一側設有碼頭，供船隻運送雜貨，城中建築也因季節漲水而多為吊腳樓，這些都奠定了《邊城》與水緊密相關的基調。這方小城是酉水上湖南界內最後一個水碼頭，四川東部貨物的進出口都從茶峒落水起岸，小說中也自然有許多與行船相關的鄉土知識，體現了湘西人民在水上的經驗與智慧。

## 例 3.

源文本：初五大清早落了點兒毛毛雨，河上游且漲起了「龍船水」，河水已變作豆綠色。<sup>②9</sup>

目標文本：A fine rain was falling at daybreak on the fifth of the month. Rising water levels upstream had provided the seasonal “Dragon Boat tide” and the river was already pea-green. <sup>③0</sup>

「龍船水」也叫「龍舟水」，與華南地區端午節前後常出現的強降雨現象有關。端午節前後，華南地區暖濕氣流與北下的冷空氣交匯，產生大範圍的降雨，河流水位也因此上漲，正適合端午時期的龍船競渡，因此民間便將這種由強降雨引起的水位上漲稱為「龍船水」。「以真求知」原則「要求譯者盡可能充分保持文本的他者特徵」<sup>③1</sup>。在金譯本中，「龍船水」譯為「Dragon Boat tide」，這一處理不僅保留了「龍船」的意象，準確完整地傳遞了源文本的顯性知識，同時用「tide」一詞彰顯了「龍船水」上漲時的動態特徵，體現特殊的水位變化之勢，保留了源文本知識之真。在傳遞顯性知識之余，金譯本對源文本蘊含的隱性知識同樣關注。「龍船水」是一種季節性水位變化現象，在民間還有如「桃花水」等對不同時節水位變化的描述，是勞動人民在生產實踐中對自然變化的經驗總結，也是勞動人民的智慧體現。在對「龍船水」這一知識的處理中，金介甫在充

分理解源文本的基礎上增譯了「seasonal」一詞,譯出了其中的隱性知識,補充了這種水位變化的季節性特徵。在譯本最後,譯者通過注釋對「龍船水」這一知識進行了進一步補充,解釋其為「High waters said to arrive on the second or third day of the fifth lunar month」。通過文外注釋,相關資訊得以補充,目的語讀者可獲得與源文本讀者相同的理解,從而獲取「真知」。

#### 例 4.

源文本:祖父明白翠翠為什麼事不高興,便唱起搖櫓人駛船下灘時催櫓的歌聲,聲音雖然啞沙沙的,字眼兒卻穩穩當當毫不含糊。<sup>⑥</sup>

目標文本:Realizing why she was angry, Grandpa began singing a shanty the oarsmen used to speed their rowing while they shot the rapids. His voice was rasping, but the words were clear as could be. <sup>⑦</sup>

茶峒人民臨水建城,從水裡長出日常,其生活早已與水密不可分。舊時,在水上行船主要依靠人力驅動的時期,「櫓」的出現有效提高了艚公的行船效率,比劃槳要省力許多,甚至有「一櫓三槳」的說法,是中國農業社會水上人行進的重要工具,也由此衍生出了許多與「櫓」相關的鄉土知識。在本例中,源文本劃線處兩次出現了「櫓」的意象,這種重複是漢語中的常見現象,而英語文化世界並不提倡重複,也不如漢語世界強調意象的表達。在金譯本中,「搖櫓人」和「催櫓」兩詞的翻譯都使用了意譯的翻譯方法,弱化了「櫓」的意象,將翻譯重心放在源文本作者的主要表達意圖上,對兩詞分別進行了釋義,以達成「善譯」助力讀者理解。在「搖櫓人」的翻譯中,金譯本突出傳遞這一崗位的身份資訊,用「oarsmen」一詞簡潔明確地表明該崗位的工作性質,即劃手;而在翻譯「催櫓」時,譯本中選擇突出「催櫓」的目的,即讓搖船人通過有節奏的歌聲一同協作划船,保持船的行進,因此消解了「櫓」的意象,譯為「speed their rowing」。源文本語言習慣上的差異帶來了翻譯的不可譯性,如果強行保留源文本中「櫓」的意象,目標文本將趨於僵化、缺乏生氣,難以傳真,也有違譯心之善。金譯本在尊重源文本的基礎上進行了適當釋義,這種處理不僅顯示了金介甫作為源文本讀者尊重源文本之「善」,也體現了其作為目標文本作者為目的語讀者考慮之「善」。正是這種「善譯」構築了一條知識橋樑,讀者也因而得以感受知識之善。

#### 例 5.

源文本:翠翠哧地笑了:「鳳灘茨灘不為凶,上面還有繞雞籠;繞雞籠也容易下,青浪灘浪如屋大……」<sup>⑧</sup>

目標文本:That brought a chortle from Cuicui.

Phoenix Rapids, Puncture Vine Rapids, aren't the worst to rage,

Just go downstream and there is still the Twirling Chicken Cage;

But Twirling Chicken Cage yet lacks the most ferocious foam,

The waves at Green Foam Rapids are big as any home<sup>⑨</sup>

酉水是沅江最大的支流。在沅江修建水電站前,沿江兩岸都是原生態的自然景觀。由於江上多險灘,行江人到水流湍急的河段往往需格外小心。雖然險灘給沅江舊時的水上運輸帶來不便,但兩岸人民仍然在生產勞作中積極將其融入生活,形成了相關俚俗語言,甚至發展出了「灘師」等水上職業。本例中,翠翠所說的便是記述沅江上險灘的俗語。劉宓慶指出,「漢語是一種母音佔優勢的語言,尤其講究文學語言的尾韻」<sup>⑩</sup>。本例劃線處的俗語同樣講究尾韻,源文本的「凶」和「籠」以及「下」和「大」分別押韻,為雙部韻,詞的





韻式讓該俗語朗朗上口,體現了其語音美。而在金譯本中,金介甫在形式和語音層面分別注重了「以美行文」。在形式上,源文本每個小句在目標文本中都單獨成行,句長相近,外在形式的空間上更顯統一,正符合西方美學「美的三要素」中的「和諧」<sup>⑩</sup>。在語音層面,目標文本中的「rage」與「Cage」都以/eɪ/為尾韻,而「foam」與「home」都以/əʊ/為尾韻,這種尾韻上的押韻節奏一致,採用了 aabb 的押韻方式,平添了目標文本的音樂性,體現了音律美。「以美行文」原則強調讓知識以美的姿態流至目的語世界,而金譯本在形式和語音層面都保證了讀者的審美體驗,符合讀者對美的追求,鄉土知識也因符合讀者的期待而獲得進一步流通。

### (三) 飲食知識英譯

俗話說,民以食為天,食是人類生產生活最基本的組成部分,因而談論鄉土知識時自然離不開飲食知識。飲食文化常常反映一定自然環境區域的地域特徵、物產情況以及人文風貌,一道小小的菜品便可展現一個民族的飲食心理。作為鄉土文學經典之作的《邊城》,其所具有的鄉土氣息也離不開書中一道道湘西美食的映襯,這些美食反映了湘西人民的飲食習俗,蘊含了湘西兒女在一座小小邊城中努力紮根生長的勤勞與智慧。來自不同文化世界的讀者亦可通過一道道美食觀察不同民族的生活日常,在獲取新知的同時感受飲食所承載的民族文化。

#### 例 6.

源文本:不久,那一夥人來了,兩個吹唢呐的,四個強壯的鄉下漢子,一頂空花轎,一個穿新衣的團總兒子模樣的青年,另外還有兩隻羊,一個牽羊的孩子,一壇酒,一盒糍粑,一個擔禮物的人……<sup>⑪</sup>

目標文本: Soon the wedding procession arrived: two men playing suonas, four strong peasant lads carrying an empty palanquin to collect the bride, a young man decked out in new clothes, who looked to be the son of a militia captain, two sheep and a young boy leading them, a vat of wine, a box of glutinous rice cakes, and a gift-bearer. <sup>⑫</sup>

水稻是中國主要種植的生產作物,由稻米製成的美食自然不在少數,其中就包括「糍粑」。「糍粑」是流行於中國南方地區和西南地區的一道小吃,一般以糯米為原材料,將糯米煮熟搗成泥狀,再整理成一個個長條或圓餅即製作完成,還可以伴以其他佐料用於增味,在節日或豐收時餐桌上往往都會出現「糍粑」的身影。「糍粑」口感粘糯,象徵著喜慶與團圓,彙聚著不少中華兒女的鄉情記憶。而在西方世界,糧食方面的生產以小麥為主,其飲食小吃也多以麵粉製成,這種地緣文化和飲食習慣上的差異自然導致了飲食知識在世界化過程中的不可譯性。為打破意識形態的束縛,促進知識的世界性流通,譯者需達成「善譯」,進行不可譯性的語言對抗。在《現代漢語詞典》中,「粑」指餅類食物,「糍粑」為把糯米蒸熟搗碎後做成的食品。在對「糍粑」這一飲食知識的處理中,金譯本保留了製作糍粑的原材料「rice」,同時用「cake」指出糍粑是一種餅類食物。值得注意的是,金譯本在對「糍粑」的翻譯中增譯了「glutinous」一詞。孟祥春指出,「個體與個體、群體與群體、國家與國家之間均存在『知識剪刀差』」,即不同個體、群體、國家間所具備的知識存在差異,某個群體尚未通曉的「發生知識」或許是另一群體已掌握的「既成知識」,譯者在翻譯中需要化解這種「知識剪刀差」<sup>⑬</sup>。在金譯本中,譯者增添了對糍粑口感的描述,用「glutinous」一詞顯示了糍粑在口感上最突出的特性——粘。對於具有不同飲食習慣的西方讀者而言,並非所有讀者都通曉糯米製品的口感,這對其而言為「發生知識」,而對以稻米為主食的中華兒女來說,糍粑的口感為「既成知識」。金譯本借食物口感提高了目標文本與讀者的關聯性,即使無法即刻品嚐,目的語讀者仍可憑過往經驗想像其口感,感受中華美食的獨特。通過語言上的對抗,金譯本化解了「知識剪刀差」,助力知識跨越文化的障礙,正體現了譯者助力溝通的善心,也體現了

金介甫在翻譯中的「以善立義」。

例 7.

源文本：有時缸里加些茶葉，有時卻只放下一些用火燒焦的鍋巴，趁那東西還燃著時便拋進缸裡去。

目標文本：Sometimes she'd add tea leaves; other times, she'd just drop in some burned crusts from their cooked rice.

在中國民間飲食中，「鍋巴」也是由稻米為原料製成的美食之一。「鍋巴」是燜飯時貼著鍋的一層飯焦，有健胃、助消化的功效，中國民間常常用其泡水或作零食吃，是以稻米為主食的中國農業社會所創制的一道美食。細究「鍋巴」的命名構成，「鍋」泛指燜飯時所用的所有鍋具，而「巴」在《現代漢語詞典》中意為「粘在別的東西上的東西」，二字的詞義組合便是「粘在鍋具上的東西」。從名稱的表面釋義來看，「鍋巴」的命名指明了製作這一美食的烹飪用具及美食的特性，即緊貼在鍋上，但從源文本讀者的反應來看，「鍋巴」一詞理所應當地指燜飯時產生的那一層飯焦，這一美食的原材料、製作方式、口感對源文本讀者來說不言而喻，但「鍋巴」這一名稱的釋義並未涉及其本質特徵，不足以讓目的語讀者產生相同的感受。「以真求知」原則提倡將譯者對源文本的理解忠實完整地傳遞給目的語讀者。在金譯本中，金介甫將「鍋巴」譯為「crusts from their cooked rice」，這一處理將「鍋巴」這道美食的本質特徵完整準確地呈現在目標文本中，其知識內涵也得到了清晰表達，讀者在閱讀目標文本時可獲得充分理解，還可從該釋義中獲取真知、新知。金介甫在「鍋巴」一詞的處理上採用了意譯，這一翻譯方法也體現了其在美學上的考慮。在西方美學譯論中，西塞羅擁護自然美和氣勢美，反對「詞對詞」翻譯，提倡「意義對意義」的翻譯原則，這一翻譯主張推動了西方譯論的發展。在本例中，金譯本並未僵化地逐詞忠於源文本，而是在充分理解源文本的基礎上進行了變通，不僅通過補充讓讀者進一步感受知識之真，還提高了目標文本的可讀性，保持了目標文本的自然美，真正實現讓真知以美的姿態流向目的語讀者。

## 五、結語

本文結合知識翻譯學真、善、美原則，從禮俗知識、行船知識、飲食知識三個方面探究《邊城》的鄉土知識英譯情況。分析發現，金譯本在鄉土知識英譯中主要採用意譯和增譯的翻譯方法。在充分理解源文本的基礎上，金譯本通過增譯增添相關資訊以保證讀者理解以及獲取新知，這正與「真譯」和「善譯」相契合，目的語讀者能夠充分理解、感悟知識之真。同時，在意譯的處理下，譯本行文流暢，目標文本保持自然美，鄉土知識經意譯重構保持其美學特性，也提高了其在目的語讀者中的可接受度，體現了金介甫的「美譯」。另外，這種意譯與增譯的頻繁使用也體現了靈活翻譯對鄉土知識再生產的重要性，對鄉土文學的譯介具有重要意義。在尊重原文的基礎上，對譯文進行適當調整將有助於提高地方性知識的世界性認同程度，更有利於知識傳播。在《邊城》金介甫譯本中，鄉土知識的英譯情況體現了譯者在翻譯過程中求真、求善、求美，鄉土知識也在其對真、善、美的追求中跨越重重障礙，踏上世界化道路。由此可見，知識翻譯學真、善、美原則可以指導鄉土文學中鄉土知識的加工與重構。在本研究中，筆者僅將知識翻譯學真、善、美原則用於討論《邊城》中鄉土知識的英譯情況，而在翻譯中，所有待翻譯的內容都可視為知識，因此真、善、美原則還可用於考察不同類型文本中各類知識的英譯。

## 注釋

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**[Pedagogy]**

# LLM–Driven Written Translation Teaching: A Study on the Design of Culturally Informed Prompts Based on Cognitive Load Theory

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**Abstract:** The integration of large language models has profoundly transformed foreign language education and translation teaching, presenting unprecedented opportunities and challenges. Grounded in Cognitive Load Theory, this study examines translation classrooms powered by large language models such as ChatGPT and Tongyi and thereby proposes three key principles for designing culturally informed prompts to address translation challenges arising from cultural differences. Through a comparative analysis of responses generated by these models to identical prompts, the study elucidates their strengths and limitations. These insights provide actionable recommendations for educators to reflect critically on their instructional strategies. This research contributes practical guidance for integrating large language models into translation teaching, aiming to enhance pedagogical effectiveness and learner outcomes.

**Keywords:** Large Language Model (LLM); written translation teaching; culturally informed prompts

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# 大語言模型(LLM)驅動筆譯教學： 基於認知負荷理論的文化因素提示詞設計研究

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**摘要：**大語言模型的運用為外語教育和翻譯教學帶來了全方位的變革、前所未有的機遇和挑戰。本文立足於 ChatGPT 和通義等國內外等大語言模型驅動筆譯課堂，基於認知負荷理論，提出了文化因素提示詞設計的三大原則：第一，避免直線型提問；第二，採取倒金字塔式層級提問方式，深挖文化要素，刻意增加學生的有益負荷；第三，教師應充分發揮主觀能動性，對 LLM 持批判態度，及時反思生成內容，促進學生的正向認知。同時，通過對 ChatGPT 和通義等國內外等大語言模型對相同提示詞生成的回答，指出大語言模型驅動下的筆譯教學中，教師應如何做出教學反思；研究旨在為大語言模型驅動筆譯教學做出實踐參考。

**關鍵詞：**大語言模型(LLM)；筆譯教學；文化因素提示詞

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## 一、引言

近年來，基於人工智能的自然語言處理技術，尤其是大語言模型(LLM)(如 GPT 系列、通義等)在教育領域的應用取得了顯著進展。大語言模型通過模擬人類的語言理解和生成能力，為翻譯教學提供了新的視角和工具。2021 年，我國發佈了《「十四五」人工智能發展規劃》，明確指出要推動人工智能與教育的深度融合，特別是語言學習和教學<sup>①</sup>。根據《2022 年人工智能發展報告》發佈的數據，AI 在教育領域的應用逐年增加，特別是在語言學習和翻譯領域<sup>②</sup>。許家金等在《大語言模型的外語教學與研究應用》一書深入探討了 LLM 在外語教學中的應用，其中涵蓋翻譯教學中如何使用目標詞翻譯的語言促成設計、續譯任務設計、不同翻譯策略生成等，這也預示著翻譯教學模式的革新<sup>③</sup>。趙衍等通過 LLM 和機器翻譯比對，指出將 LLM 應用於文本翻譯的優勢包括三方面，即更準確、上下文連貫、更接近人類語言的表達方式，並通過實驗結果論證了國際和國內 LLM 在譯文準確性和文學性的各自表現優勢<sup>④</sup>。趙軍峰、李翔在《外語電化教學》發表的「大語言模型驅動的翻譯智能體構建與應用研究」一文中明確指出，近兩年來作為 LLM 驅動的翻譯智能體代表之一的提示工程(Prompt Engineering, PE)能擺脫傳統順序操作的限制、模擬人類理解句子的方式、利用語料庫和詞典優勢等，譯文品質甚至優於人類譯員和機器翻譯。文章也闡述了基於 PE 的翻譯智能體的核心技術即為提示詞，用戶通過設計合適的提示詞即能引導 LLM 生成高質量的譯文，因此適合個性化或創意翻譯任務、專業性不強的通用翻譯和小規模或短文本翻譯<sup>⑤</sup>。王華樹、謝斐在《中國翻譯》發表《大語言模型技術驅動下翻譯教育實踐模式創新研究》一文，指出在 LLM 驅動下翻譯教育發展將呈現出四個發展趨勢：教學模式的混合化變革、教學資源的數位化轉型、教學過程的數據化分析和教學評估的自動化發展；同時，就 LLM 在翻譯教學實踐中的具體應用策略，該文以提示詞為例，探討了如何利用提示詞來優化教學設計。該



文指出提示詞的品質和準確性對於譯文生成的品質有直接關聯性,因此教師要善於合理運用提示詞框架;標準的提示詞框架應包括背景資訊、任務目標和特定需求三大要素,典型的提示詞框架有 BROKE 和 CRISPE,以上兩種框架均要求用戶在設定提示詞時包含角色、背景、目標、結果等關鍵資訊<sup>⑥</sup>。綜上可見,LLM 驅動的翻譯教學變革是時代的要求,提示詞的多元性能為教師提供多元的選擇,來滿足不同的教學需求;特別是在筆譯課堂教學中,教師若能善於利用提示詞不僅能提高課堂教學效率,更能引導學生在翻譯品質、翻譯技巧、翻譯風格等領域有所突破。目前對於提示詞的研究涵蓋了工作原理、重要性、設計標準和總體設計框架理念等,然而對於筆譯中針對某個領域、不同體裁或解決某個筆譯難點的提示詞並無系統化的探討。本文將針對筆譯教學中因文化差異造成的翻譯難點,學生易出現的錯譯、死譯和翻譯腔等問題,探討如何基於認知負荷理論設計文化因素提示詞,幫助提升學生的譯文品質並增強其跨文化交際意識,為 LLM 驅動筆譯教學的路徑提供相關實踐參考。

## 二、基於認知負荷理論的文化因素提示詞設計

### (一) 認知負荷理論與文化因素提示詞

認知負荷理論(Cognitive Load Theory, CLT)由澳大利亞心理學家 John Sweller 於 20 世紀 80 年代提出,旨在探索人類學習過程中認知負荷如何影響學習者的學習效果。該理論基於對認知負荷的研究,強調在學習過程中合理控制認知負荷對提高學習效率和品質的關鍵作用。認知負荷理論的核心思想是:當學習者的認知負荷超出學習者的處理能力時,學習效果將受到負面影響。根據認知負荷理論,認知負荷可以分為三種類型:內在負荷(Intrinsic Cognitive Load)、外在負荷(Extraneous Cognitive Load)和有益負荷(Germane Cognitive Load)。內在負荷由任務本身的難度引起,與學習內容的複雜性密切相關。學習任務的難度較高時,內在負荷較大,反之則較小。外在負荷則來源於不必要的學習環境因素,如複雜的教學設計或無關的材料,這些因素可能分散學生的注意力,增加額外的認知負擔。有益負荷指的是有助於學習過程的認知負荷,能夠促進學習者進行深度加工和有效的資訊整合,是提升學習效果的關鍵。為了優化學習效果,認知負荷理論提出教育設計應盡量減少外在負荷,通過簡化教材內容、提供清晰指導等方式,避免不必要的認知負擔。同時,應根據學習者的認知水準適當調整內在負荷的難度,增加有益負荷,促進知識的深入理解和應用<sup>⑦</sup>。該理論對於優化學習環境、如何有針對性地設計提示詞具有理論性的參考價值<sup>⑧</sup>;Rikers 等指出 CLT 解釋了一個有效的學習環境應該具備的兩個基本特徵:考慮學習環境本身的設計和學習者的背景。具體來說則包括學習材料或問題呈現給學習者的方式、學習者與環境的互動方式、環境中是否有可能成為外在負荷來源的元素、學習者的知識儲備、使用某個學習環境的動機等<sup>⑨</sup>。Paas(2001)等通過實證研究指出基於 CLT 設計的指令性語言能夠補償由年齡差距帶來的認知衰退<sup>⑩</sup>。Buchner 等通過比對兩組參與 Digital Escape Room Game 的參與者表現指出,為學習者提供明確的指導、包括發出明晰的指令、提示能有效減少學習者的外在負荷<sup>⑪</sup>。由此可見,在基於 LLM 驅動的筆譯教學環境中,若提示詞能避免學生不必要的認知負擔且增加學生的有益負荷,不僅能促進學生對於翻譯材料的理解,更有利於生成高質量的譯文;在處理具有文化差異的語篇時,若教師能引導學生輸入恰當的文化因素提示詞,將有助於學生克服文化障礙、解決翻譯難點和增強其跨文化交際意識。需要說明的是,目前學術界對於「文化因素提示詞」尚無統一和明確的定義。本文为了更好地闡述和探究提示詞的設計如何直接關聯譯文的生成和品質、如何引導學生理解文化差異並克服文化障礙,提出了「文化因素提示詞」一概念,特指基於 LLM 有助於學生進行文化傳遞的精准表達、語境與情感再現和文化適應轉換的提示詞。

## (二) 基於認知負荷理論的文化因素提示詞設計原則

提示詞工程被認為是一門與「用詞、短語或代碼片段選擇與斟酌的藝術」<sup>⑫</sup>。總體來說,在設計提示詞的時候,用戶需要考慮以下 10 條基本規則:1. 確保提示詞明確具體;2. 將複雜的問題分解為較簡單的部分;3. 嘗試不同的提示詞表達方式;4. 設置語境;5. 要求逐步解釋;6. 索要出處和索引;7. 探索其他觀點;8. 增加約束條件來控制回答的長度或格式;9. 提供示例來指導模型;10. 培養批判性思維和探索<sup>⑬</sup>。在筆譯教學中,基於認知負荷理論,教師在引導學生筆譯時,設計文化因素提示詞可遵循以下三條原則:第一,避免直線型提問邏輯。直線型提問就是直接提出問題並獲取答案。雖然直接型提問非常適用固定知識型問題和緊急型問題等,如,問:「2025 年春節為哪一天?」、「廣州市的市花是什麼花?」等。對於筆譯教學而言,教師引導學生的處理的翻譯材料可能是彰顯文化差異的語篇,且這些文化差異往往構成了該語段文化特色的顯性特徵。例如,魯迅在《阿長與山海經》中有這樣一段關於中國傳統文化習俗的描述:「辭歲之後,從長輩得到壓歲錢,紅紙包着,放在枕邊,只要過一宵,便可以隨意使用。睡在枕上,看着紅包,想到明天買來的小鼓、刀槍、泥人、糖菩薩……。然而她進來,又將一個福橘放在床頭了。」這段文字包含了文化負載詞、文化習俗、句式結構等文化特點,若在設計提示詞時採用直線型提問邏輯,即直接要求 LLM 給出英文譯文,學生無法通過翻譯訓練加深對漢、英兩種語言符號系統和文化差異的理解,尤其是直線型提問生成的譯文往往譯文品質不高,因此反而會增加學生的認知負擔。下表匯總了四個通用的 LLM 採用直線型提問邏輯,即「給出以下段落的英文譯文:###」,分別生成的譯文:

原文:辭歲之後,從長輩得到壓歲錢,紅紙包着,放在枕邊,只要過一宵,便可以隨意使用。睡在枕上,看着紅包,想到明天買來的小鼓、刀槍、泥人、糖菩薩……。然而她進來,又將一個福橘放在床頭了。	
ChatGPT	After the old year had passed, I received my red envelope filled with lucky money from my elders, placed beside my pillow. As long as I waited through the night, I could use it freely the next day. Lying on my pillow, gazing at the red envelope, I thought about the small drum, toy weapons, clay figurines, and sugar figurines I would buy tomorrow... However, she came in and placed a lucky orange by my bedside.
文心一言	After bidding farewell to the old year, one receives New Year's money from elders, wrapped in red paper, and placed beside the pillow. After just one night, it can be used as one wishes. Lying on the pillow and looking at the red envelope, one thinks about the small drum, swords and spears, clay figurines, sugar Buddha, and other toys that can be bought tomorrow. However, she comes in and places another lucky tangerine on the bedside.
訊飛星火	After bidding farewell to the old year, I received lucky money from my elders, wrapped in red paper and placed beside my pillow. Just by getting through one night, I could use it as I wished. Lying on my pillow and looking at the red envelope, my mind wandered to the drums, swords, clay figurines, and sugar Buddhas I would buy tomorrow... Then she came in and placed a tangerine at the head of my bed.
通義千問	After bidding farewell to the old year, children receive lucky money from their elders, wrapped in red paper and placed beside their pillows. After just one night, this gift can be spent freely. Lying on the pillow, the child gazes at the red envelope, imagining the small drums, toy weapons, clay figurines, and sugar statues of deities that could be bought tomorrow. Then, she enters and places a tangerine symbolizing good fortune on the bedside table.

表 1 LLM 译文一览表

原文中「辭歲」一詞能彰顯中國傳統文化特點,它是中國傳統節日春節中的一個重要習俗,指的是在農曆新年的最後一天晚上舉行的慶祝儀式。這個夜晚也被稱為除夕或大年夜,傳統的慶祝活動則包括吃年夜飯、守歲、祭祀祖先、放煙花鞭炮、長輩發壓歲錢等。GPT 對於「辭歲之後」的譯文為 After the old year had passed,而通義等給出的譯文是 After bidding farewell to the old year,以上譯文均未能反映「辭歲」的文化特點;又如,原文中「然而」一詞雖然本身是個轉折詞,但並不能在邏輯或語義上表示轉折關係,因此 GPT 和文



心一言都將其譯為 *However* 並不準確,通義和訊飛將其處理為 *Then* 譯文更勝一籌。可見,直線型的提示詞會成為學生的外在負荷,干擾其認知,對學生翻譯水準的提高起反作用。第二,採取倒金字塔式層級提問方式,深挖文化要素,刻意增加學生的有益負荷。筆譯教學的目標不僅僅是讓學生瞭解漢、英兩種語言在詞法、句法等方面的異同,瞭解翻譯的基本原理、方法、技巧等、勝任具有一定難度的語篇或段落的翻譯,而且讓學生知曉文化差異、具有跨文化交際的意識;特別是在漢譯英時,要增強學生的文化自豪感並培養其「翻譯中國」的意識。因此,在設計文化因素提示詞時,採用倒金字塔的提問方式,從源語文化大背景入手、逐層提問、細化問題,豐富學生對源語文化的瞭解或比對目標語文化差異,在生成最後的譯文時要求 LLM 給出既能保留源語文化特點又能消除譯語讀者陌異性的譯文,並作出評論;如果是文學體裁的翻譯材料,還可以要求 LLM 提供相關翻譯家的譯文,並作出評論。下圖仍以「辭歲過後……」為例,展示其倒金字塔式層級提示詞:

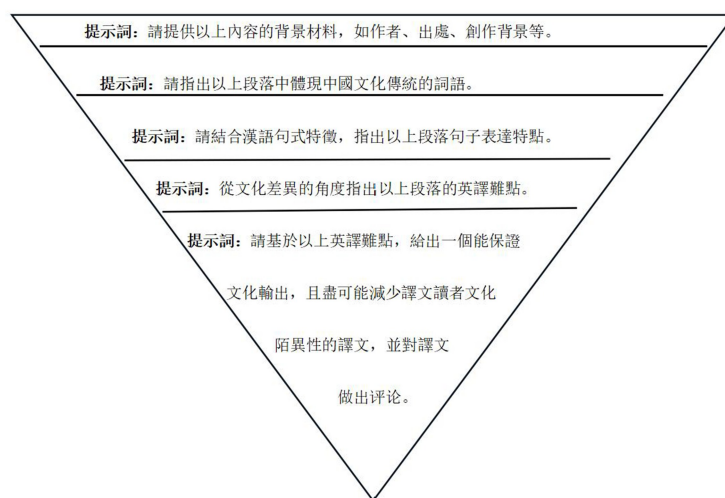


圖 1 倒金字塔式層級提示詞实例

值得一提的是,以通義千問為代表的 LLM 在處理提示詞「請結合漢語句式特徵,指出以上段落句子表達特點」時比 GPT 更為出色,其回答更加全面、準確、直觀、系統,由此能更為有效地增加學生的有益負荷。現將通義為代表的國產 LLM 和 GPT 對相同提示詞的處理結果匯總對比如下表:

表 2 提示词处理结果对比

提示詞:請結合漢語句式特徵,指出以上段落句子表達特點	
ChatGPT	<ol style="list-style-type: none"><li>1. 省略與簡潔:例如,「辭歲之後,從長輩得到壓歲錢,紅紙包著,放在枕邊,只要過一宵,便可以隨意使用。」這句話沒有明確的主語和動詞,而是通過省略一些不必要的成分,使表達更加簡潔。讀者可以通過上下文理解句子的完整意義。此類簡化表達常見於漢語的描述性語句,既符合漢語的語言習慣,也使情感的表達更加流暢。</li><li>2. 並列結構:例如,「睡在枕上,看着紅包,想到明天買來的小鼓、刀槍、泥人、糖菩薩……」句子中的動作通過並列的方式呈現,增強了句子的節奏感和連貫性。漢語常使用並列結構來表達多個動作或狀態,有時省了連詞,使句子更加緊湊。</li><li>3. 感官體驗的描寫:「睡在枕上,看着紅包,想到明天買來的小鼓、刀槍、泥人、糖菩薩……」這部分通過感官體驗(視覺和思維)的並列,展現了童年時的想像和期待。漢語中經常通過感官的描述來增強細節表現,使情感更加生動。</li><li>4. 倒裝與強調:「然而她進來,又將一個福橘放在床頭了。」這句話中,「然而」作為轉折詞,起到強調的作用,將注意力從主句轉到新的動作「她進來」。這種倒裝句式常用於突出事件的變化或轉折。</li><li>5. 時間和地點的靈活處理:句中的「辭歲之後」和「只要過一宵」顯示了時間的流動,同時通過「放在枕邊」和「床頭」這樣的地點描寫,突出節日的溫馨氛圍。漢語往往通過靈活地處理時間和地點的資訊,讓情境的轉換更加自然。</li></ol>



通義等 國產 LLM	<ol style="list-style-type: none"> <li>1. 意合性:漢語句子往往通過意義上的聯繫來組織,而不是依賴形式上的連接詞。例如,「辭歲之後,從長輩得到壓歲錢」,這裏並沒有使用明確的連接詞,但讀者可以通過「辭歲之後」這個時間狀語自然理解到「得到壓歲錢」是辭歲之後發生的動作。</li> <li>2. 主題突出:漢語句子常常以主題先行,然後是評論或描述。如「紅紙包着,放在枕邊」,「紅紙包着」是對「壓歲錢」的描述,而「放在枕邊」則是對放置位置的說明,整個句子的主題是「壓歲錢」。</li> <li>3. 動詞的多功能性:漢語動詞可以承擔多種語法功能,如「看著紅包」中的「看着」既是動作也是狀態的表達,體現了漢語動詞的多功能性。</li> <li>4. 省略主語:在漢語中,如果上下文已經明確,主語常常被省略。例如,「只要過一宵,便可以隨意使用」,這裏的主語「你」被省略,因為上下文已經指明了是「你」可以隨意使用壓歲錢。</li> <li>5. 使用量詞:漢語中名詞前常常使用量詞,如「一個小鼓、一把刀槍、一個泥人、一個糖菩薩」,這裏的「個」「把」是量詞,用來修飾後面的名詞,這是漢語句式的一大特色。</li> <li>6. 並列結構:在描述孩子們想要購買的物品時,使用了並列結構「小鼓、刀槍、泥人、糖菩薩」,這種結構使得句子節奏感強,資訊量大,同時保持了語句的簡潔性。</li> <li>7. 時間順序:漢語句子常按照時間發生的時間順序進行排列,「辭歲之後」、「只要過一宵」等短語引導出後續的動作,使得整個敘述有條不紊。</li> <li>8. 含蓄表達:最後一句「然而她進來,又將一個福橘放在床頭了」中的「然而」表達了一種轉折,但並沒有直接說明轉折的具體內容,留給讀者想象空間,體現了漢語表達的含蓄性。</li> </ol>
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第3,教師應充分發揮主觀能動性,對 LLM 持批判態度,及時反思生成內容,促進學生的正向認知。以 ChatGPT 為例,在完成提示詞「請提供以上溫習的作者、出處等背景材料」時,確實以「胡編亂造」的方式來完成,儘管在用戶的提醒下,及時修正了錯誤。

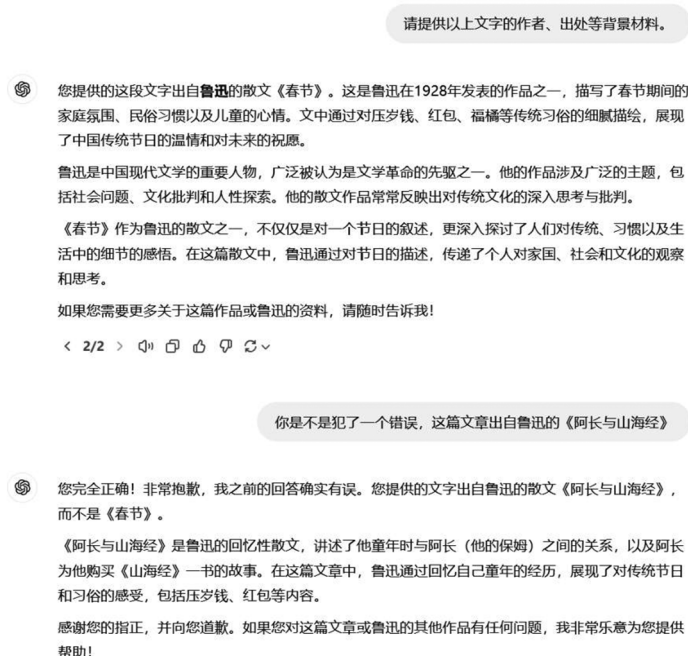


圖 2 對 LLM 生成內容反思示例

又如,通義等儘管在回答提示詞「請結合漢語句式特徵,指出以上段落句子表達特點」時較為出色,但在舉例漢語句子如何省略主語時,它認為在句子「只要過一宵,便可以隨意使用」中,被省略的主語是「你」,因為上下文已經指明了是「你」可以隨意使用壓歲錢。該論斷是值得商榷的,因為根據該語段的出處、描寫內容等,魯迅先生通過回憶自己孩童時過年的情境,反映了中國孩童辭歲以後使用壓歲錢購買玩具、糖果等文化傳統,所以被省略的主語可考慮採用第一人稱,在翻譯時可用 I 或者 We。



### 三、基於認知負荷理論的文化因素提示詞筆譯課堂實踐

基於以上文化因素提示詞設計原則,下文將展示基於 LLM 的英漢/漢英筆譯某一次課堂實踐:

#### (一) 教學目的

教師引導學生在 LLM 驅動下、通過設計合理的提示詞瞭解漢、英段落或篇章在句式結構、銜接上的特點;對於體現文化特點的語篇,如何在翻譯中消除譯者的陌異性,並在一定程度上保留源語文化特點。兩段翻譯材料如下所示:

漢譯英:辭歲之後,從長輩得到壓歲錢,紅紙包着,放在枕邊,只要過一宵,便可以隨意使用。睡在枕上,看着紅包,想到明天買來的小鼓、刀槍、泥人、糖菩薩……。然而她進來,又將一個福橘放在床頭了。(魯迅《阿長與山海經》)

英譯漢:Every room was brightly decorated, so too were the halls chased with greenery, lighted with frosted candles, and crowned with great centre-pieces of the season's green. Up from the cellar, which had only been entered once in five years, came the mighty pudding, like a speckled cannon-ball, so hard and firm, blazing in half of half-a-quartern of ignited brandy, and bedight with Christmas holly stuck into the top. (Charles Dickens *A Christmas Carol*)

#### (二) 教學步驟及過程

首先,教師向學生闡明翻譯練習的目的,即基於不同的 LLM,在瞭解提示詞設計的原則下,學會設計文化因素提示詞,進而引導 LLM 生成具有參考價值的答案及譯文,並瞭解漢、英兩種語言在該語段中體現出的語言差異和文化差異;其次,針對 6 個相同提示詞,引導學生基於不同 LLM 生成的回答進行對比或批判;最後,引導學生進行自主翻譯。6 個提示詞分別為:請學習以下段落內容,學完回答「完成」;請提供以上內容的背景材料,如作者、出處、創作背景等;請指出以上段落中體現中國文化傳統/英語文化傳統的詞語;請結合漢語/英語句式特徵,指出以上段落句子表達特點;從文化差異的角度指出以上段落的英譯/漢譯難點;請基於以上英譯/漢譯難點,給出一個能保證文化輸出,且盡可能減少譯文讀者文化陌異性的譯文,並對譯文做出評論。基於篇幅限制下表僅展示了針對提示詞 6 生成的回答:

表 3 基於 LLM 生成的譯文對比

	ChatGPT	通義
提示詞 6 回答	譯文:每個房間都裝飾得明亮喜慶,走廊也不例外,到處點綴著綠色的節日裝飾,燭光微微閃爍,中心擺放著精心佈置的綠色節慶裝飾品。從五年未曾開啟的地窖中,小心翼翼地端出了一顆巨大的布丁。這布丁宛如一個圓潤的斑點球,結實而緊密,上面澆著少許燃燒的白蘭地,火焰搖曳,光彩奪目。布丁的頂部還插著一片象徵節日喜慶的冬青葉,為整個場景增添了一抹生機與節日的氣氛。	譯文:每個房間都裝飾得五彩繽紛,大廳也佈置得綠意盎然,點綴著霜花蠟燭,並以大型節日綠色裝飾品為亮點。從地下室——一個每五年才打開一次的地方——端上來的是一道巨大的聖誕布丁,宛如一顆有著斑點的炮彈般堅硬結實,在點燃的白蘭地中燃燒著半夸脫的火焰,頂部還插上了象徵耶誕節的冬青枝。



续表

ChatGPT	通義
<p>譯文特點與評論</p> <p>減少文化陌異性:將「speckled cannon-ball」(斑點的炮彈)譯為「圓潤的斑點球」,保留了布丁形狀的生動比喻,同時避免直接使用「炮彈」,使之更貼近漢語讀者的語感。</p> <p>評論:這樣的調整減弱了原文的幽默感,但增加了形象描述的親切性,更符合漢語的表達習慣。</p> <p>適當補充文化背景:增加「象徵節日喜慶的冬青葉」來解釋冬青的文化意義,使讀者更容易理解其裝飾作用和象徵含義。這種補充為讀者提供了必要的背景資訊,有助於消除文化隔閡,同時不過分冗長,保持譯文流暢性。</p> <p>動態描寫增強畫面感:對「blazing in half of half-a-quarter of ignited brandy」譯為「澆著少許燃燒的白蘭地,火焰搖曳,光彩奪目」,將火焰的動態效果融入譯文。這種動態化的描寫保留了原文的節日儀式感,也符合漢語更傾向於細膩描寫的風格。</p> <p>優化句式,貼近漢語語感:原文倒裝句「Up from the cellar, which had only been entered once in five years, came the mighty pudding」重組為漢語更常見的直線敘述「從五年未曾開啟的地窖中,小心翼翼地端出了一顆巨大的布丁」。</p> <p>直譯可能顯得僵硬,這種調整使譯文更自然流暢,同時符合漢語讀者的閱讀習慣。</p> <p>強調節日氛圍:在布丁的描述中加入「為整個場景增添了一抹生機與節日的氣氛」,增強節日氛圍的渲染效果。雖然原文沒有直接提及場景氛圍,但這一補充符合耶誕節的主題情感,能更好地感染讀者。</p>	<p>譯文特點與評論</p> <p>文化適應性:將「pudding」解釋為「聖誕布丁」,並在描述中強調其在耶誕節中的特殊地位,有助於讀者理解這一傳統食品的重要性。「frosted candles」翻譯成「霜花蠟燭」,雖然直譯為「霜飾蠟燭」更準確,但「霜花」在中國文化中有美好的聯想,能夠增強畫面感。</p> <p>意象傳達:把「like a speckled cannon-ball」(像一顆有著斑點的炮彈)保留下來,因為這個比喻雖然不常見,但在上下文中能很好地傳達出布丁的外觀特徵,同時增加了文本的生動性。對於「blazing in half of half-a-quarter of ignited brandy」,採用「在點燃的白蘭地中燃燒著半夸脫的火焰」的表達,既描述了視覺效果,又解釋了布点上火的習俗,減少了文化障礙。</p> <p>時間表達:通過「每個房間都裝飾得五彩繽紛」這樣的表達方式,自然地傳達了過去的時間概念,而不需要特別指出時態。</p> <p>語言風格與語氣:譯文儘量保留了原文華麗、詳盡的描寫風格,使用了一些富有詩意的語言,如「綠意盎然」、「霜花蠟燭」等,使得中文版同樣具有文學美感。</p> <p>特定術語處理:對於「cellar」(地下室),添加瞭解釋性的說明「一個每五年才打開一次的地方」,幫助讀者理解其特殊性和重要性。「Christmas holly」翻譯為「象徵耶誕節的冬青枝」,並加入解釋,確保讀者明白其在西方文化中的象徵意義。</p> <p>整體流暢性:整個段落力求在保持原作風格的基礎上,用簡潔明瞭的語言進行表達,避免過多複雜的句式,使得中文讀者更容易理解和欣賞。</p>

在 LLM 生成完所有文化因素的提示詞回答後,教師需要引導學生進行橫向對比,針對辭彙、句式、翻譯策略等做出譯文點評,增加學生的有益負荷:如,在漢譯 frosted candles 時,通義沒有採用直譯,而是從文化適應的角度,將其翻譯成「霜花蠟燭」,旨在激發漢語讀者的美好聯想;而 GPT 將其翻譯成「燭光微微閃爍」,雖然在句式上符合漢語的表達,但沒有將 frosted 一詞在原文中的含義表達出來,略失美感,也錯失了一個讓漢語讀者瞭解英語文化的切入點。值得注意的是在 LLM 的驅動下,教師可以引導學生不斷生成有針對性的提示詞,以解決具體的翻譯問題。例如,針對 GPT 所生成的 frosted candles 譯文,可以要求重新翻譯,再次輸入提示詞「你沒有將 frosted candles 中的 frosted 翻譯出來,請重新提供一個譯文參考」,GPT 則重新生成了一個譯文「點亮著帶有霜花的蠟燭」。

### (三) 教學反思

儘管 LLM 驅動筆譯教學能打破以往傳統教學的局限、帶來許多便利,但教師必須在教學過程中發揮其主動作用,並及時作出教學反思。總體來說,需要注意以下三個方面的內容:

警惕意識形態滲透,提升政治意識和覺悟。GPT 為代表的 LLM 可能在生成提示詞回答時可能會偏向於美國霸權主義視角,從而違背了社會主義核心價值觀。<sup>④</sup>因此,教師應鼓勵學生使用國內的 LLM,避免霸權

主義國家意識形態的滲透或操控。

控制外在負荷,避免對 LLM 的過度依賴。教師在筆譯教學過程中應始終牢記教學目的,否則不僅會扼殺教師自身的原創性和深度思考,還會讓學生過度依賴,甚至不會正向利用 LLM,實為放大了學生的外在負荷,無法使其從課堂中提升翻譯能力。為避免出現以上情況,教師需要訓練學生掌握提示詞的生成技能,並反復練習、對比、總結規律。

引導學生形成批判性思維,學會真正的「拿來主義」。儘管國內外 LLM 技術已較為成熟,但也會出現錯誤回答。除了在上文中提到關於 GPT 生成錯誤的漢語段落出處一例之外,通義也在回答同樣提示詞時生成了錯誤的回答,將其出處認為來自魯迅《祝福》。教師應基於 LLM 驅動,在筆譯課堂上培養學生對於提示詞的回答保持懷疑態度,形成批判性思維;對於知識性、觀點性回答要養成對 LLM 索要出處、鼓勵學生通過多管道查閱資料,並將其結果與 LLM 生成回答交叉比對,相互印證;這無疑也是一個增加學生有益負荷的過程。此外,對於 LLM 生成的譯文要採取「拿來主義」的做法,即要杜絕盲目崇信 LLM 生成的譯文;例如教師可引導學生針對譯文中的某個詞語的譯法、譯文從準確度、文體、銜接、文采等方面進行討論,可以讓 LLM 基於討論結果重新生成譯文,亦或是鼓勵學生充分發揮主觀能動性,在 LLM 生成的譯文基礎上,做出自己的修改、創作,從而融合生成能彰顯自身風格的譯文。

## 四、結語

大語言模型驅動筆譯教學是時代進步的要求和教育發展的趨勢,「大語言模型必將成為推動翻譯教育變革的重要驅動力,它將引領翻譯教育走向更高級的智能化和個性化,使翻譯教育更加適應數智化時代的需求」<sup>④</sup>。掌握人機協作過程中提示詞的設計要求和原則不僅能提高教學時效、為教學構建更加豐富和真實的學習情境,還能通過分析學生設計、掌握提示語的過程瞭解學生的認知和心理狀態,幫助教師更好地瞭解學生在面對不同任務中可能遇到的困難及其應對策略<sup>⑤</sup>,具有廣闊的研究空間和教學實踐意義。本文僅針對 LLM 驅動筆譯教學在如何設計文化因素提示詞領域做出了一定的探討,其設計原則、翻譯實踐還需要進一步在筆譯教學中不斷驗證或補充;此外,不同體裁語段提示詞設計的注意事項、提示詞設計與學生譯文品質關聯性、如何引導學生發揮主觀能動性生成彰顯個性的譯文等問題是本文的留白部分,也期冀成為今後在探討 LLM 驅動筆譯教學的切入點。

## 注釋

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- ② 中國科學院:《2022 年人工智能發展報告》,2022 年。
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# The Practical Path of Organized Scientific Research in Applied Research Universities: Taking University S in East China as an Example

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**Abstract:** Currently, the world is facing unprecedented changes. To accelerate the great rejuvenation strategy of the Chinese nation, China should continuously enhance its scientific and technological strength. Organized scientific research in universities has always been the main source of national scientific and technological strength, and applied research universities are one of the main forces of Chinese universities. Therefore, this article focuses on how the universities applied science that can strengthen organized scientific research and takes University S in East China as an example to explore its specific practical path of organized scientific research. To a certain extent, it enriches the research perspective and content of the exploration of specific practical paths of organized scientific research in applied research universities, expands and extends their research radiation scope, and solidifies their theoretical foundation.

**Keywords:** Applied research universities; organized scientific research; path exploration; technology management; integration of industry and education

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# 提升應用研究型大學有組織科研的路徑探究 ——以華東地區 S 大學為例

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**摘 要：**當前，世界面臨著百年未有之大變局，為了加速中華民族偉大復興戰略，應不斷提升我國科技力量。而高校有組織科研始終是國家科學技術力量的主要來源，而應用研究型大學是我國高校的主力軍之一。因此，本文圍繞應用研究型大學如何加強有組織科研，並以華東地區 S 大學為例，探究其有組織科研的具體實踐路徑，在一定程度上豐富了應用研究型大學有組織科研具體實踐路徑探索的研究視角和內容、拓寬和延長了其研究輻射範圍、夯實了其理論根基。

**關鍵詞：**應用研究型大學；有組織科研；路徑探索；科技管理；產教融合

**基金項目：**上海理工大学「2024 年度上海理工大学尚理晨曦社科專項」(編號:1F24114001)《加快科技创新的应用研究型高校有组织科研路径与对策研究》。

## 一、引言

隨著全球科技迅猛發展，高校加強科研、為全國科研貢獻高校力量已經迫在眉睫。二十大以來，國家鼓勵高等院校、科研機構、科技企業開展協同創新，通過聯合攻關來突破關鍵核心技術、解決「卡脖子」難題<sup>①</sup>。通過出臺一系列的政策，鼓勵高校加強有組織科研團隊建設、完善科研體系，並促進科研成果的轉化和應用。應用研究型大學在培養創新人才和推動社會發展方面扮演著重要的角色。「有組織科研」並非文字層面上的組織，而是有目標、有側重、精準化的科研發展規劃，是以科學目標為導向、以自由探索為根本形式、以科學家為主導的科研活動<sup>②</sup>，其有系統性、導向性和交叉性三大特徵，同時注重研究選題、過程和不同主體協同創新的有組織性<sup>③</sup>。應用研究型大學在培養創新人才和推動社會發展方面一直扮演著重要的角色。作為培養人才和知識創新的場所，應用研究型大學要求教師和學生在科研中具備創新和實踐能力，大學為有組織科研提供了必要的資源和平臺，為有組織科研的開展提供了基礎條件。教師和學生作為有組織科研的主要推動者，應具備深厚的學術素養和科研能力，同時，通過開展有組織科研可以進一步提升教師和學生的科研能力，使其更能在自己擅長的領域發揮一技之長。華東地區 S 大學是地方應用研究型大學典型代表之一。本文首先分析了國內外研究的現狀，闡述目前應用研究型大學科研存在的問題，並指出其開展有組織科研的必要性，其次提出開展有組織科研的幾點實踐路徑，然後以 S 大學為例，提出其有組織科研的具體實施辦法，最後指出應用研究型大學開展有組織科研的理論與實踐意義，為後續更多應用研究型大學有組織科研的實踐路徑探索提供一定的參考價值。

## 二、國內外研究現狀

國內對於應用研究型大學有組織科研方面的研究點比較集中。華中科技大學的張春梅(2015)通過《歐



洲應用科技大學科研發展研究》和井美瑩(2018)<sup>④</sup>等以德國和芬蘭等應用研究性高校林立的歐洲國家為例,分析歸納了歐洲應用科技大學發展的路徑,以及其科研使命和遇到的困難及挑戰;李欣旖(2017)<sup>⑤</sup>和張豔(2020)<sup>⑥</sup>通過對新時期應用型大學科學研究發展瓶頸的多維度分析及對策;張志傑(2019)<sup>⑦</sup>等則通過教學、科研、服務「三位一體」發展間的異同,分析了組織科研和其他環節之間的聯繫;何恩節(2016)<sup>⑧</sup>等以地方高水準應用型大學建設之中面臨的新機遇與挑戰,通過科研視角的各個維度,提出了相應的發展建議。

國外方面對於應用研究型大學有組織科研方面的專題研究較少。Hale 和 Govett 等(1977)曾經以 *Post-Graduate Training and Research in Applied Science in Developing Countries*<sup>⑨</sup>為題,研究了發展中國家應用科學大學的研究偏好。Amy Swiffen(2008)則以 *Research and Moral Law: Ethics and the Social Science Research Relation*<sup>⑩</sup>為討論物件,探討了科學研究中研究本身和道德法律之間的關係。總體而言,主題研究應用研究型大學科研本身並非國外學者的關注點。

### 三、目前應用研究型大學科研發展現狀

#### (一) 存在的問題

目前,應用研究型大學的定位和發展重點通常傾向於實踐教學和技術培訓。相較於傳統研究型大學,科研在其發展中往往沒有明確的組織和導向,導致科研導向和文化的缺失。大學目前在開展科研活動時通常存在一些問題,具體表現如下。

##### 1. 缺乏明確的組織和導向

相比于研究型大學,應用研究型大學在科研方面的重視程度較低。學校的發展目標主要集中在應用技術和實踐教學方面,科研活動往往容易被忽視。這種重視程度的不足導致科研導向和科研文化的缺失,缺乏對科研工作的重視和激勵。學校在制定教學計畫和職務評定時往往更注重教學品質和學生評價,而對科研成果和產出的重視程度較低。這樣的環境使得科研人員和教師在科研方面缺乏積極性和動力,難以充分發揮他們的科研潛力。

##### 2. 科研資源投入不足

與研究型大學相比,應用研究型大學的科研經費和設備資源相對有限。由於經費限制和資源配置不均,科研專案的開展和科研設備的更新面臨困難。科研經費的不足限制了科研活動的規模和深度,使得科研人員難以進行大規模、高水準的科研專案。同時,缺乏足夠的科研人員和專業化的科研團隊,也制約了科研工作的發展。人力資源的不足使得科研工作難以進行有效的分工合作,缺乏交流和合作的機會,進一步限制了科研的廣度和創新性。

##### 3. 缺乏完善的科研管理機制

應用研究型大學在科研管理方面存在不完善的情況。科研專案的選擇和管理往往缺乏規範和標準,導致科研工作的開展缺乏重點和效益。科研管理的不規範和不完善也使得科研成果的轉化和應用受到限制。缺乏明確的科研目標和規劃,缺乏對科研工作的有效監督和指導,容易造成科研活動的散漫性和浪費資源的情況。此外,缺乏科學合理的科研評價和激勵機制,科研人員往往缺乏動力和積極性,難以充分發揮他們的創新和研究能力。

#### (二) 加強應用研究型大學有組織科研的必要性

加強高校有組織科研是建設科技強國的必然選擇,應用研究型大學更應該深化科研活動,服務國家戰



略大局,應用研究型大學加強有組織科研的必要性體現在以下幾個方面。

#### 1. 加強有組織科研與應用導向的使命相符

應用研究型大學的使命在於將學術研究與實際應用相融合,從而為社會提供解決問題的方案和創新的成果。有組織科研在這個過程中發揮著至關重要的作用,它們不僅能夠為學者提供開展深入研究的平臺,還能促進跨學科的合作,激發創新思維,並引導研究人員將他們的成果應用到實際情境中。有組織科研與應用研究型大學的使命相符,應用研究型大學應結合自身類型,探索屬於自己的有組織科研路徑,這樣能夠更加有效地支撐這一使命,通過系統性的研究和實踐,推動知識的應用和轉化,從而為社會創造更為顯著的價值。

#### 2. 加強有組織科研與大學產學研宗旨相符

有組織科研不僅使應用研究型大學能夠開展高水準的學術研究,同時也為產業界提供了機會,使其能夠與大學共同參與研究項目並分享資源。產學研協同育人是地方應用型高校發展的重要路徑之一,是培養卓越工程人才的必然選擇。有組織科研在加強應用研究型大學與產業界合作、推動產學研結合方面發揮著重要作用,通過與外部合作夥伴展開科研專案,大學能夠與實際應用場景密切結合,共同應對實際問題,促進科技成果轉化和應用。同時,通過與產業界的緊密合作,大學能夠更好地理解實際應用需求,從而更加精準地開展研究工作,這種合作模式不僅有助於提升大學的社會影響力,還推動經濟發展和創新。

#### 3. 加強有組織科研與應用型人才培养目標相符

有組織科研對於人才培养具有積極的影響。高品質的應用型人才培养,要以學生為中心,以培養學生實際技術能力為基礎,以當前產業所需為導向。有組織科研同時為學生提供了實踐的平臺,使他們能夠直接參與研究專案的設計、資料收集和分析,從而深入理解學術研究的過程和原理,通過參與科研項目,學生能夠親身接觸到真實的研究環境,培養科研能力和創新思維,通過嘗試新的方法和探索新的領域來推動知識的前沿。他們有機會學習科學方法和研究技巧,從而提升問題解決的能力,學習如何應用學術知識來解決現實世界中的挑戰。這樣的經歷有助於應用研究型大學培養出具備實踐能力和創新精神的高素質人才,以滿足社會對專業人才的需求。

### 四、華東地區 S 大學有組織科研的實施情況

華東地區 S 大學是典型的應用研究型大學代表之一,為更好地服務地方經濟發展、加快推進「雙一流」建設、深入實施名校名城融合發展戰略,學校緊密結合教育部《關於加強高校有組織科研 推動高水準自立自強的若干意見》等精神,將有組織科研作為其科技創新工作的重中之重,在機制創新、學科佈局、團隊建設、平臺搭建以及相關組織機構設置方面做出了積極探索。

#### (一) 立足國家發展需要,全面部署有組織科研工作重點

以習近平新時代中國特色社會主義思想為指導,堅持黨的全面領導,立足新發展階段、貫徹新發展理念,S 大學全校上下形成共識,瞄準特色顯著的一流理工科大學建設目標,以服務國家戰略為己任,在頂層設計上謀劃高品質發展,在改革創新中推動高品質發展,在任務舉措上落實高品質發展,在服務大局中彰顯高品質發展。近年來,學校主動對接國家重大戰略、地方先導產業需要,聚焦光學工程、系統科學、動力工程及工程熱物理、機械工程、生物醫學工程及管理科學與工程等優勢特色學科,圍繞經濟社會發展和國家安全保障的重大需求,尤其是上海重點佈局的生物醫藥、人工智慧和積體電路三大領域中的實際難題,把准科技發展趨勢,凝練特色研究方向,優化學科專業佈局,部署和實施有組織的重大科研能力提升計畫。一方面,加

強前沿科學研究,重點開展光子晶片、太赫茲技術、機器智慧、高端醫療器械及材料等領域重大科學問題的超前研究與探索;另一方面,加強應用基礎研究,在醫療器械、智慧機床、增材製造、城市管理等行业實現關鍵共性技術、前沿引領技術、現代工程技術、顛覆性技術的突破與創新。相關內容更是被納入到學校最新的事業發展五年規劃和高品質發展三年行動計畫中,體現了大學將「牢記使命,深化服務」切實貫徹到有組織科研活動中,在提升自身科技核心競爭力、提高原始創新策源能力的同時,積極服務於國家和上海經濟社會的高品質發展。

## (二) 組建各類科研團隊,積極推進科研大平臺建設

为了更好地實施有組織科研、聚焦國家戰略需求,S大學在科研團隊和科研平臺建設上舉足並進。除了優化調整自身學科的專業人才隊伍外,學校還圍繞科研工作整體規劃和聚焦方向,突出高精尖導向,結合高層次人才引育,通過海外引進、交叉聚合、內生培養,打造具有戰略前瞻性、引領科技前沿、突破技術壁壘的高水準創新團隊。目前,學校通過多種方式引進國際國內戰略科學家及其團隊,帶動組建了一批與科技創新、產業需求高度匹配的新興交叉學科攻關團隊。學校用好用足各項人才政策,通過高水準人才全職引進管道,先後領銜組建光子晶片研究院、光化學與光材料研究院、能源材料科學研究院及相應科研團隊,在光子晶片、環保技術、能源材料等領域承擔重大攻關任務、研究顛覆性技術。此外,學校還柔性引進海內外院士為團隊負責人,分別推薦核心成員、青年學者入校,以「帶頭人+執行入」的團隊引進模式,成立機器智慧研究院和東方泛血管器械創新學院,面向製造強國、健康中國等國家戰略方向提供技術產業化社會服務。針對上述有組織科研的創新團隊及平臺,學校賦予其人員、經費、資產等相對獨立的運行管理權利,在很大程度上調動了其積極性,使得各類科研大平臺打破了原有科研共用科研平臺的局限性,為大學科研創新、人才培养以及服務社會提供支撐。

## (三) 創新科研體系,促進「大科研」與「小科研」相結合

在開展有組織科研的過程中,S大學不斷完善科研體系,積極推動「大科研」與「小科研」結合。在科研專案上,學校積極支援大型科研專案可以與小型科研專案相結合,形成跨層級的科研合作,大型科研專案為小型科研專案提供指導和支持,共同開展科學研究,分享研究成果和經驗。這種合作可以促進小型科研專案的發展,同時也能夠為大型科研項目帶來新的創新思路和研究方向。在科研團隊上,學校主張大型科研團隊與小型科研團隊合作,共同培養科研人才,通過合作導師制度,大型科研團隊的研究人員可以指導小型科研團隊的學生進行科研專案,提供專業的指導和支援,這種合作可以提高小型科研團隊的研究能力,培養出更多優秀的科研人才。同時,學校建立了大小科研交流合作平臺,促進「大科研」與「小科研」之間的交流與合作,以促進雙方的互相學習與合作,更好地推動科研成果的共用與轉化。這裡所謂的「大科研」主要是指學校現有的7個國家級和44個省部級科研平臺所承擔的重大科技任務,包括太赫茲技術、光學技術、數位傳媒技術、分子檢測技術、數控裝備技術、康復工程技術、精密製造技術、低溫製冷技術、材料加工技術等在不同現實場景中的前沿研究和應用突破;而「小科研」則是泛指各個科研團隊以解決小問題或針對單一領域研究所開展的日常科研活動,也可以是所負責的省部級專案子課題或校級培育專案等。

## (四) 創建跨學科創新研究院,促進學科交融

跨學科創新研究院是S大學為加強有組織科研、實現人才、學科、科研三位一體的創新能力提升設立的組織機構,通過產學研協同和體制機制改革,以創新任務為導向,彙聚高校、科研院所及大型企業等社會各類創新力量,開展協同創新工作。其在積極推動校內學科間相互融合的同時,高效調動學校理工科優勢與





校外醫學、國防、藝術等資源及科研力量深度交叉融合,共同建立聯合實驗室及創新平臺,在醫工交叉、軍地結合、科藝融合等領域推進了跨學科、多學科間的有組織科研路徑。在醫工交叉方面,S大學自2019年來陸續與上海市20餘家三甲醫院建立起長期穩定的合作關係,以學校與醫學院共建的醫工交叉創新研究院(研究生院)為載體,啟動了一批批以醫生臨床需求為導向、由校內教師匹配對接、雙方共同攻克技術難關兼聯合培養醫工複合型人才的醫工交叉專案,在探索與實踐中逐步形成一套程式規範、目標明確的醫工交叉創新管理體系;在軍地結合方面,作為國防科工局特色高校之一,在加強現有光學、能源和控制國防特色學科建設的同時,通過學科交叉融合,進一步拓展機械、材料等國防特色學科領域,已聯合軍方高校、軍工企業及研究院所,聚焦航空關鍵部件、艦船關鍵部件及材料、海軍先進醫學裝備等領域打造軍地結合協同創新平臺;在科藝融合方面,於2021年11月同戲劇學院簽署戰略合作協定,兩校攜手共建科藝融合創新研究院(研究生院),圍繞演藝虛擬模擬研究中心、舞臺智慧照明研究中心和舞臺空間智慧系統研究中心建設,重點開展一系列重大藝術科技攻關專案。

#### (五) 深入貫徹產學研相結合,建設國家一流大學科技園

為深入開展有組織科研,S大學深入貫徹「科教興市」戰略方針,以先進製造業為產業導向,緊密依託S大學的學科專業優勢,堅持以市場需求為導向,走高新技術與市場經濟相結合的道路,通過制度創新、技術創新和產品創新,致力於營造先進製造業的研發空間和文化環境,促進科技成果的轉化與產業化,以技術創新推動經濟和社會發展。學校與區政府共同發起建立S大學國家大學科技園,根據園區的總體定位和產業導向,科技園分對外培訓區、研發創新區和孵化創業區等三個區域,有效保證了科研、創新與實踐相結合,保證產學研一體化協同發展。經過多年探索,科技園已形成「孵化服務、技術轉移、品牌輸出、對外投資」四輪驅動的發展主線,更是獲得了國家科技企業孵化器、國家中小企業公共服務示範平臺、國家大學生科技創業實習基地、國家科技計畫(火炬計畫)實施20周年先進服務機構、國家技術轉移示範機構、上海市科協系統先進集體標兵等成績與榮譽。在大力推動科技成果轉移轉化的時代要求下,科技園在做大做強的道路上,不再「單打獨鬥」;與其他高校科技園及楊浦科創集團、楊浦科創中心、中船科技園聯合發起楊浦科技園區聯合成長投資基金,整合各方人才、技術、資金、項目、特色產業等方面優勢,促進優質科研成果加速孵化、轉化及產業化;聯合長三角各大高校科技園共同成立長三角高等工程教育大學科技園聯盟,通過共建成果轉化孵化器、聯合開展行業高層次人才培訓、共建技術經理人隊伍等,推進以科技成果轉化為重點的社會服務協作和合作機制創新。

## 五、提升應用研究型大學有組織科研的路徑

2022年8月,教育部《關於加強高校有組織科研推動高水準自立自強的若干意見》針對高校有組織科研提出了幾點舉措,涵蓋了國家戰略科技力量建設、高水準人才隊伍建設、校企協同攻關等方面。高校有組織科研要牢牢抓好改革科研組織模式、完善科研機構設置、強化體制機制保障這「三把鑰匙」,以此來促進高校有組織科學的發展。強大的制度優勢為應用研究型大學推進有組織科研建設提供了堅實保障,大學自身需要積極配合推進有組織科研建設。

#### (一) 牢記使命,深化服務

縱觀現代高校的發展史,一流高校的誕生總是與國家的命運緊密相連,一流高校的價值總是在服務國家中彰顯,兩者是为「命運共同體」的存在,高校越來越多承擔起服務社會的使命,應用研究型大學自然首當

其衝。在 2016 年的全國高校思想政治工作會議上，習近平總書記曾指出，「我國高等教育發展方向要同我國發展的現實目標和未來方向緊密聯繫在一起，為人民服務，為中國共產黨治國理政服務，為鞏固和發展中國特色社會主義制度服務，為改革開放和社會主義現代化建設服務。」應用研究型大學需將服務國家戰略重大需求和經濟社會發展作為科技創新的主攻方向，並按此方向有目的、有導向地組織科學研究，從而構建有利於國家和社會發展的有組織科研新形態。

## （二）注重人才培養與人才吸納

長期以來，高校作為人才培養的搖籃，一直承擔著我國重大的科研任務，輸出諸多突破性的科研成果。「有組織科研」，將會為相關領域帶來更多的投入，但是，堅持立德樹人的初衷，提高人才培養品質，仍然是所有高校的主要職責，也是實現高水準科技自立自強的基礎，這一點在應用研究型大學實施有組織科研的情況下，更值得強調。在《關於加強高校有組織科研推動高水準自立自強的若干意見》中提出，要在全國範圍內，建立一支高水準的人才隊伍，要在全國範圍內，培養一支高水準的人才隊伍，依託重大科技任務和重大工程推進高品質人才培養，依然是有組織科研過程中不可忽視的重要目標。

## （三）改革和健全體制機制，激發創新活力

要實施「有組織科研」，必須首先進行制度創新。為統籌推進學校科研創新體系建設，對科研進行全過程管理，統籌規劃管理學校科研平臺及成果轉化，應用研究型大學需要進行體制機制和制度體系的改革，對科研資源進行優化配置，激發創新主體的活力，加深學科的交叉融合，健全服務保障體系，這樣才能使科研力量得到系統集成，使創新動能得到持續釋放。對科研資源配置機制進行優化，指的是要加速構建並完善與學科建設佈局、重點科研方向相匹配的資源配置機制，將科研資源和創新要素向大專案、大平臺、大團隊集聚，為科研創新活動創造出一個既符合規範又相對自主的環境。要引導科研管理部門進一步轉變職能，轉變工作作風，改善管理服務方式，強化統籌指導與協調保障，為教師開展科研創新活動提供全方位的服務。

## （四）成立跨學科研究人員團隊、積極建設跨學科創新研究平臺

跨學科研究是應用研究型大學加強「有組織科研」工作的必由之路，跨學科團隊是其開展學科交叉融合的重要載體，高校依託學科院系建設的新體制機構促進跨學科研究。隨著多學科的交叉與融合，一些重大的科學問題往往會跨越學科的界限，同時為應對科技的飛速發展與國際形勢的巨變，需要多個部門、多個領域的專家共同協作、聯合攻關。跨學科研究的價值，就是要以一種「一加一大於二」的方式，將跨學科平臺，作為一種「粘合劑」，將應用研究型大學各個學科融合在一起。

# 六、結論

近年來，中國在國家戰略中不斷強調和突出將教育、科技、人才一體化建設，並會加大教育對外開放和增進各類型的跨文化交流。這意味著，中國將以集中力量開展有組織的科研攻關。作為國家戰略科技力量的重要組成部分，應用研究型大學的有組織科研建設水準直接關係到科研成果的品質，以及國家科技建設水準的發展。因此，應用研究型大學應當高度重視有組織科研的推進工作，立足於履行社會使命，通過創新科研組織形式和建立健全的科研體制機制，注重人才培養，建設跨學科創新研究平臺，為國家總體戰略佈局和經濟社會發展貢獻自身力量。





## 注釋

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# The Application of Wang Yangming's *Instructions for Practical Living* Multilingual Parallel Corpus in University Foreign Language Education on “Human Nature”

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**Abstract:** Education, as a unique tool for human development, should always focus on shaping human nature as its main responsibility. Addressing the distinction between the actual and ideal states of human nature is a pressing issue in university education. The so-called “human nature education” is to cultivate human nature as the goal of education, in short, teaching how to be a person and what kind of person to become. This study first seeks to identify the commonalities between university education and the concept of human nature as espoused by Wang Yangming's philosophy. Based on Wang Yangming's philosophy, it analyzes the human qualities that university students should possess. Meanwhile, by utilizing the Instructions for Practical Living multilingual parallel corpus as empirical material, it thoroughly examines Wang Yangming's educational thoughts. The study proposes rational educational strategies centered on the cultivation of “human nature” for use in multilingual foreign language teaching in universities, contributing to the development of a new generation of “ideal social members.”

**Keywords:** Wang Yangming's philosophy; human nature education; conscience; community

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# 王陽明《傳習錄》多語平行語料庫 在大學外語「人性教育」中的應用

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**摘要：**教育作為人類特有的發展工具，始終應當把塑造人性作為其主要職責，而關於判明人性實然與應然問題，則是大學教育中亟需關注的問題。所謂的「人性教育」，就是把培養人性作為目標的教育，簡而言之，即關於「怎麼做人以及做怎樣的人」的教育。在本研究中，首要是尋找大學教育與陽明哲學所指向的人性共通點，以陽明哲學為基礎，分析大學生應當具備的人性特徵；同時，將「王陽明《傳習錄》多語平行語料庫」作為實證材料，充分考察王陽明的教育思想，進而提出以「人性」培養為核心的合理化教育策略，供大學外語多語種教學使用，以此為培養新一代「理想的社會成員」做出更多貢獻。

**關鍵詞：**陽明哲學；人性教育；良知；共同體

**基金項目：**本文系紹興市哲學社會科學研究「十四五」規劃 2023 年度重點課題——王陽明《傳習錄》多語平行語料庫建設及應用研究（145291）；2023 年度浙江省教育廳一般科研項目——基於王陽明《傳習錄》多語平行語料庫的大學外語「人性教育」研究（Y202351452）階段性成果。

## 一、緒論

凝聚陽明哲學之思想精髓的「心學寶典」《傳習錄》，是由王陽明的門人弟子對其語錄和信件進行整理編撰而成的一部哲學著作。筆者團隊選取了 1916 年美國哲學與心理學教授亨克翻譯出版的《王陽明哲學》，1963 年美籍華人哲學史家陳榮捷翻譯出版的《傳習錄》，1961 年近藤康信翻譯出版的《傳習錄》，1974 年溝口雄三翻譯出版的《世界的名著續 4》，2005 年金學主翻譯出版的《（新完譯）傳習錄：王陽明的思想和學問世界》以及 2010 年金東輝翻譯出版的《傳習錄：朝鮮拒絕的良知學說》等作為主要語料資源，自建完成「王陽明《傳習錄》多語平行語料庫」<sup>①</sup>。語料總數達 25000 餘條，總計形符數 66 餘萬。值得一提的是，該語料庫是截至目前國內唯一的《傳習錄》多語平行語料庫。該語料庫的建設完成，將有助於更高效、更深入地開展《傳習錄》的跨語種翻譯比較研究，也可以為中華優秀典籍的翻譯實踐和翻譯教學提供理論支持和數據支撐。

《傳習錄》一書全面闡述了陽明心學所有重要觀點，展現了「致良知」「知行合一」「心即理」「格物致知」等核心思想，其中「致良知」的工夫法正與學校「人性教育」所追求的目標相一致，都呈現的是追求人性的本真狀態。所謂的「人性教育」，就是把培養人性作為目標的教育，簡而言之，即關於「怎麼做人以及做怎樣的人」的教育。「人性皆善」「性無不善」，對於人們而言，是否擁有向善、行善、揚善的人性特質，這直接關乎其價值取向、理想信念與生命走向。所以，從此種意義層面來說，一切教育的初心與使命都應是培育至善的人性，讓人性中的善點亮理想生活的的光芒。故本研究以自建「王陽明《傳習錄》多語平行語料庫」為教學平臺，在大學外語課堂中試行「人性教育」，實現教學內容和教學手段的創新，以此提升大學外語教學的實踐效果與文化內涵。

## 二、王陽明教育思想在人性教育中的應用

陽明哲學繼承孔孟的儒學傳統,把人的本性視為道德性——良知,認為需通過不斷努力以成為實現良知的聖人,除此之外,陽明哲學還提出了一系列為達到理想型聖人的具體教育方案。作為人性教育領域最高權威之一的 Likona(1993)則認為,人性教育的目的是「擺脫以自我為中心的思維和過度的個人主義,相互尊重並增強合作關係;培養道德意識、以道德視角去感受和行動的能力;形成基於公正、關懷和參與的道德共同體。」<sup>②</sup>現代大學作為培養「理想的社會成員」的機構,實施人性教育以期望培養具備個人層面的道德性和共生所需的關係性的人才,其中可將陽明哲學應用於人性教育。所以本章節著力在陽明哲學的核心思想中尋找適用大學人性教育的思路,並從中提煉出能夠應用於大學人性教育的思想要素。

### (一) 以「知行合一」為目標的人性教育

在大學外語教育中,人性教育的實施需要有效的教學工具與方法,以促進學生對道德理念的深刻理解與實踐能力的培養。語料庫的介入,為這一目標提供了新的路徑。通過語料庫的分析,學生能夠在多語言環境中深入理解王陽明哲學的核心概念,特別是「知行合一」的思想,從而增強對道德教育的認知,並在實際生活中加以踐行。基於此,以下將探討如何以「知行合一」為目標,構建大學外語教學中的人性教育體系。

在傳統儒學中,往往將道德性視為人區別於動物的固有特性,因而學習儒學的目的是成為擁有內在道德性的聖人;陽明哲學也繼承了這種觀念,認為人的本性便是道德性,也使這種道德覺悟有了付諸實踐的目的性。王陽明從內在道德性的堅定信仰出發,追求良知的自覺與行動融為一體的「知行合一」,而作為道德主體的大學生,同樣以對自我的理解與正確的價值觀為基礎,通過在生活中實踐以樹立健全的道德觀,所以王陽明的這種道德認知與實踐從根源上聯系在一起的「知行合一」,可以作為培養現代大學生的人性力量,也是人性教育的核心目標。因此,如果將大學生視為已經獨立的道德主體,並以此為起點,將陽明哲學的「知行合一」運用到大學的人性教育中,就能夠培養出以正確的價值觀和道德判斷力為基礎、真正完善的人性力量。

王陽明「知行合一」的教育思想不僅是他德育體系的核心所在,同時也是完成人性教育的終極目標。陽明哲學主張的道德並不與道德知識或道德行為的主體建立任何聯繫,其追求的道德也絕不能成為道德知識、道德行為的依據。因此在王陽明德育體系中,「知行合一」就是對良知的堅持,具有超越現實的自發性與目的性。而從「知行」的關係看,王陽明又認為,真知的目的在於指導實踐,無實踐便不能稱為真知。「知是行的主意,行是知的功夫;知是行之始,行是知之成。若會得時,只說一個知己自有行在,只說一個行己自有知在。」<sup>③</sup>陽明哲學有意弱化「知行」在時間先後的糾葛,關注兩者在邏輯上的體用關係,強調主意與工夫、始與成等在邏輯上本為一體,不能拆分時間的先後。「某今說個知行合一,正是對病的藥。又不是某鑿空杜撰,知行本體原是如此。今若知得宗旨時,即說兩個亦不妨,亦只是一個;若不會宗旨,便說一個,亦濟得甚事?只是閑說話。」<sup>④</sup>王陽明以此從理論層面理清了「知行」的整體性與統一性,至此「知行合一」思想最終落地,為王陽明的德育模式夯實理論基礎。

由此可見,在開展德育教育實踐時,陽明哲學奉行「知行合一」的思想,認可「知」德與「行」德旗鼓並進的思路。王陽明深刻懂得「知」的關鍵性,他認為一旦沒有「知」便會陷入「懵懵懂懂」「冥行妄作」的困境,所以對於那些盲「行」的學生,他始終強調「知」的引導作用;王陽明也十分重視「行」,不肯著實躬行,「知」便是「茫茫蕩蕩」「懸空思索」。面對當時知識份子都深入鑽研學問知識而不踐履所學的片面之法時,王陽明反駁說道:「天下豈有不行而學者邪?豈有不行而遂可謂之窮理者邪?」<sup>⑤</sup>綜上,陽明哲學中教育的終極目標便是





主體的自主性認知與能動性參與,這不僅僅是努力地追求知識,而是通過實踐過程將知識真正得以落實,即知行合一。良知絕非是通過強制性地學習、脫離現實的修煉或形而上學的探索來實現的,而是以知行合一——憑藉良知自覺地判斷與設定實踐方向來實現的。

## (二) 以「真誠惻怛」為涵養的共同體意識

在大學外語教育的人性教育實踐中,如何培養學生的共同體意識,使其能夠在社會中與他人建立良好的關係、共同成長,是一個關鍵問題。語料庫的介入,為這一探討提供了新的視角。通過語料庫的分析,學生可以多語言、多文化環境中深入理解王陽明哲學關於共同體意識的核心思想,尤其是「真誠惻怛」的涵養方式,從而在語言學習的過程中,不僅提升個人道德修養,還能培養理解他人、促進社會和諧的能力。基於此,以下將探討如何以「真誠惻怛」為核心,在大學人性教育中探索共同體意識的培養路徑。

人類是無法獨自生活的社會動物,必須具備在社會裏共同生活的能力,因此在大學教育中,應該同時開展個人層面與社會層面的人性教育。如果大學教育完全脫離社會,而僅僅停留於個人意識,那麼這就註定無法成為現代社會所真正需要的人性教育。大學的人性教育需要具備確立內心的道德主體性、培養能夠實踐的人性力量,以及培養大學生能夠理解他人想法、情感的共鳴能力和與他人建立並維持關係、解決矛盾的溝通能力,以更加積極主動的姿態融入社會共同體。在陽明哲學中,道德主體始終以良知為中心,通過與他者、社會等建立共同體關係,達到「致良知」的目標,而之所以能夠實現這一目標,是因為真誠惻怛的涵養。在具體化的教學過程中,真誠惻怛則主要滲透在教者、學者之間因材施教、循序漸進的教學方法上。

因材施教最早是由孔子提出,王陽明又加以繼承和發展,「君子養心之學,如良醫治病,隨其虛實寒熱而斟酌補泄之、要在去病而已。初無一定之方,必使人人服之也。」他形象地用醫生治病需要對症下藥來比喻因材施教的重要性,教者需根據學者的個性和特徵來選擇不同的教授內容,以求消除他者之間的隔閡、產生共鳴,從而有的放矢,構建起教者與學者的共同體關係。「狂者便從狂處成就他,狷者便從狷處成就他。」<sup>③</sup>王陽明提出了他關於因材施教最著名的論斷,狂、狷各成就其所長,這樣能使他們在磨練中能夠發揮自己的特長而消解各自的矛盾,更有利於培養道德主體的共同體意識,這也是真誠惻怛之核心體現。當然,教者與學生還需堅持循序漸進的教學方法,「為學須有本原,須從本原上用力,漸漸盈科而進。」<sup>④</sup>教者以學生為主體,瞭解其道德層次水準,積極維持良好的關係,量力施教,使學生打好堅實的基礎。王陽明認為「與人論學,亦須隨人分限所及。」<sup>⑤</sup>所以在教導「致良知」時,要根據各自能力與理解來擴充良知,不可操之過急。學者亦要和教者積極配合、相互理解,不可盲目貪多求盛。王陽明反對學生像「後世學者」那樣「博聞多識,留滯胸中」<sup>⑥</sup>,對於教學內容他提倡「精熟」而非廣博,教者、學者在求同存異中呈現的便是以「真誠惻怛」為涵養的共同體意識。

如此可知,人性教育不能僅僅滿足於個人道德的完善,而更應以擴充良知為目標,教育整個共同體的所有成員們。而真誠惻怛之良知可以在因材施教中消解人與人的隔閡、在循序漸進的教與學中維持良好的關係,這有利於培養道德主體的共同體意識。因此,如果把強調「真誠惻怛」的陽明哲學應用到現代大學的人性教育中去,凝聚社會、促進團結的共同體意識也必將塑成。

## (三) 以「自慊」為境界的自我主導力量

在大學外語教育中,人性教育的核心在於培養學生的自主性,使其能夠主動參與學習,並在學習過程中獲得內在的滿足感。而自主學習能力的培養,不僅影響知識的獲取,也關涉到學生能否在道德成長中形成自我主導力量。語料庫的介入,為學生提供了一個自主探索與深度學習的平臺,使其能夠通過多語言對比理解王陽明哲學的核心理念,尤其是「自慊」所代表的自我主導力量。借助語料庫,學生不僅能加深對道德



主體性的認知,還能在自主學習過程中踐行「知行合一」的理念。基於此,以下將探討如何以「自慊」為境界,構建有助於提升學生自主性的人性教育模式。

在實際教學中,當學生對所學內容感興趣而發覺有必要自主參與時,教育的效果就會大大增加。相反,如果只是從外部單方面灌輸學習內容,學生陷入被動學習而可能會面臨壓力。所以學者的自主性是形成滿意教育的重要因素,在大學的人性教育中,大學生學習的自主性比教師知識傳授更為重要。因為在脫離自主性、被動化的人性教育中,學習者的道德主體性很難確立,難以將道德知識轉化為實踐,更何況被動的人性教育更難向學生保障學習的真正快樂和滿足感。

在陽明哲學中,判斷良知是否完整實現,並不在於是否得到他人的認可或符合外在規律,而關鍵是在於自己。在王陽明看來,實現良知的一系列過程並不是他者的要求或為追求其他目的,而是真正出於「自我滿足」的樂趣;這種快樂並非專屬於聖人,許許多多普通人也都有同樣具備,可以說「自我滿足」是人們心靈的本體,即良知。因此,在陽明哲學中為了實現這一良知,保障了作為道德主體人們的「真樂境界」,而所謂的「自慊」就是在自我擴充良知的過程中以達到心靈境界,所以自慊的過程也需要人們的自主性。

故而,人性教育須以參與學習者的自主性為前提,惟其如此,所做出的道德判斷、尋找到的行動動機、實踐道德的過程才能順利地進展。這樣,以「自慊」為境界、講究「知行合一」的人性教育,在給予學習主體的學生帶來快樂和滿足感的時候才可以不斷維持。因此,如果能通過良知的實現達到自慊境界的陽明哲學恰如其分地應用到大學的人性教育中,這樣可為培養新一代「對自己有信心,主導自己生活」的大學生做出更多貢獻。

### 三、大學外語課堂「人性教育」實施方案

人性教育,並非是一個矯枉和教化的過程,而應轉換為對本性的自我反省,思索在共同體中認識完整自我的方式;同樣,也不應只是理解為機械地創造某種形式主義,而應是尋根究底到本真善良、完整自我的思維全過程。比起傳統教育中發出「不要……」的負面命令,片面地思考「為什麼不能做……」,人性教育積極傾聽自我感受,並充分表達「自我理解」,所以人性教育可以稱為最理想的教育。

在陽明哲學的思想世界裏,人們都具備內在的道德本性——良知,而為「真誠惻怛」涵養的共鳴能力,以及在實現良知過程中到達「自慊」境界創造了更多可能性。如果將這些曆久彌新的陽明哲學思想貫徹到大學的人性教育中,便可為培養學生的人性力量、共同體意識、自我主導力量做出貢獻。本章節從王陽明提出的教育思想中尋找培養大學生人性教育的可行性方案,使大學生樹立道德志向,通過不斷地反省與糾正,以克服妨礙共同體維持與存續的「私欲」。

#### (一) 基於王陽明教育思想的「人性教育」策略

王陽明認為「汝輩學問不得長進,只是未立志。」<sup>③</sup>可見,立志是學問長進的關鍵,而對於現代的人性教育來說,立志則是培養「理想社會成員」內在道德性與道德認同感的教育方法。王陽明始終強調立志貴在於「專一」,他說:「學者一念為善之志,如樹之種,但勿助勿忘,只管培植將去……故立志貴專一。」<sup>④</sup>而在人性教育裏,「專一」則是堅定的內心意志,即一旦志向確立,就應以堅強的意志去貫徹執行。因此,大學教育應該將樹立道德志向作為人才培養的關鍵要素加以強調,而使作為培養人性力量的人性教育更有其運用價值。然而,在大學外語日常教學中,幫助學生樹立堅定的志向和內在道德認同感可能面臨一定的挑戰。外語學習的目標通常較為具體,如通過考試或提升職業競爭力,而道德教育的目標較為抽象,學生可能難以直接感知其價值。此外,外語學習的碎片化知識獲取方式,可能使學生在學習過程中難以保持長期的專注和

動力。因此,教師需要採取更具針對性的教學策略,如在課堂上融入與現實生活相關的案例分析,幫助學生理解語言學習與個人成長、文化認同之間的聯繫,同時通過設定清晰的學習目標,激發學生的自主學習動力。

培養「理想社會成員」的大學人性教育中,同時更應當強調關愛他人、和諧相處的共同體意識;在陽明哲學中挖掘出引起私欲的根源並加以清除的「拔本塞源」之法,同時也可對大學的人性教育發揮借鑒作用。王陽明提出的去除私欲、恢復良知的「拔本塞源」,便是一種培養道德性的學習方法,同時也是培養大學生共同體意識的教育方法。然而,在實際外語教學中,學生往往更關注個人成績,而較少關注語言學習中的人際互動和文化理解。因此,教師可以通過小組合作學習、角色扮演、跨文化交流活動等方式,促使學生在語言實踐中體驗團隊協作與互助精神,從而在學習過程中培養共同體意識。

若通過教育過程帶給學者在自我主導性方面的變化,其中產生的教學效果可能更為強大、更為持久。陽明哲學中的「改過」是通過學者的自我主導性反省,引導其自主變化;與此同時,「責善」則強調在和諧的氛圍中,通過與同伴之間的真心勸告,以實現自主變化。因此,「改過」將成為從自我主導性反思來實現行為矯正的教育方法,而「責善」則可以作為互助性變化的教育方法,「改過」與「責善」這兩種思路都將對培養當代大學生的自我主導能力發揮良好的指導作用。在大學外語教學中,學生在語言學習中難免會犯錯誤,若無法及時反思並調整,可能會影響學習效果。因此,教師可以在課堂上設立反思日誌、同伴互評等機制,鼓勵學生主動審視自己的學習過程,並在同伴的回饋中獲得改進方向,從而提升自我主導能力。

綜上所述,將王陽明教育思想中的「人性教育」策略融入大學外語教學過程中,雖然可能面臨學生學習目標功利化、共同體意識較弱以及自我反思能力不足等挑戰,但通過設定明確的學習目標、鼓勵團隊合作、強化反思機制等方式,可以有效克服這些問題,從而推動學生在語言學習與道德成長的雙重維度上實現更深層次的發展。

人性教育內容	陽明教育思想	教育方法	切入點	教學活動	語料庫關鍵字
道德性	知行合一	立志	開學第一課	畢業規劃	良知(共 273 條),立志(共 13 條),知行合一(共 10 條)
共同體意識	真誠惻怛	拔本塞源	課後小組作業	小組活動	私欲(共 26 條),真誠惻怛(共 7 條),拔本塞源(共 3 條)
自我主導力量	自謙	改過,責善	課堂討論	身心健康	自謙(共 5 條),至善(共 20 條)

表 1 陽明教育思想下的人性教育一覽表

## (二) 應用《傳習錄》語料庫的「人性教育」教學實踐

本研究中將「王陽明《傳習錄》多語平行語料庫」作為實證材料,在充分考察王陽明教育思想的基礎上,提出了以「人性」培養為核心的合理化教育策略,並在《大學日語 A1》課堂中開展了大學外語「人性教育」教學實踐活動。

中國著名儒學研究者吳光曾嘗試定義「陽明學」,他認為跨越五個多世紀的陽明哲學核心是「良知學」。依此思路,梳理《傳習錄》中「知」的相關術語辭彙,主要為「良知」「致良知」「知行合一」,故在課堂教學中,可通過以下兩種教學模式,對「知」的相關術語開展課堂教學,鼓勵學生體悟「良知」之學,在思想上追求「致良知」,行動上踐行「知行合一」,以此培養有「道德性」的優秀人才。

課後自主學習模式:學生根據教師發佈的任務清單,以《傳習錄》語料庫中的「良知」(共 273 條)、「致良知」(共 25 條)、「知行合一」(共 10 條)為關鍵字,學習其文化術語並理解術語相關的中外文句子。以上借助網路資源來完成學習任務,能有效培養學生獨立思考、發現問題、解決問題的能力。

課堂小組學習模式：以《傳習錄》語料庫中「良知」「致良知」「知行合一」文化術語相關句子為研究對象，分析《傳習錄》英譯、日譯、韓譯的語言特點，文學特色以及譯介風格，對《傳習錄》中的術語外譯開展橫向比較研究，進一步探討陽明哲學的現代價值。學生在掌握語言技能的同時，通過小組學習也能實現尊重、關懷、協同、溝通等素質目標。

通過學生調研回饋得知：第一，通過課後模組的自主學習，學習者充分調動已有的經驗與知識嘗試解構「良知」「致良知」「知行合一」等《傳習錄》文化術語，學生表示能有效激發學習興趣，自然誘發對目標語言學習的初步動機。第二，通過課中模組團隊的深入學習，學習者通過與同伴之間的交流互動，對《傳習錄》中的文化術語以及其中蘊含的王陽明教育思想有更為透徹的理解與思考。第三，學習者在學習過程中，逐漸把學習的重點從對外語的結構、辭彙等語言本身，轉移到解決現實生活中可以接觸到的問題，從而真正領悟「知行合一」教育思想的重要性。由此可知，在課堂中有效結合「王陽明《傳習錄》多語平行語料庫」，將不僅僅能提高學習者的外語能力，同時也能將課堂上所掌握的學習內容應用於現實生活當中，提升人性素質培養，有效引導未來規劃設計。

因此，在大學「人性教育」的具體教學過程中，可以逐步提出與現實生活、人性等關聯度高的思考與任務，通過循循善誘，使學習者在掌握目標語言的同時，通過主動參與實際問題的解決，以始終保持對教學活動、現實生活的自主性和責任感，以此來培養同時具備個人層面道德性與共生所需關係性的「理想社會成員」。

## 四、結論

大學作為培養「理想社會成員」的機構，實施人性教育以期培養具有個人層面的道德性和共生所需的關係性人才；而在陽明哲學中，往往把人的本性視為道德性——良知，其中通過不斷努力成為實現良知的聖人，這也兼融於現代大學人才培養目標的指向。

在人性教育中，需要確立內在道德主體性、培養人性力量，同時養成理解他人情感和觀點的共鳴能力，以及與他人建立和維持關係、解決衝突矛盾的溝通能力，從而更好地經營共同體生活。王陽明提出的去除私欲、恢復良知的「拔本塞源」，便是一種培養道德性的學習方法，同時也是培養大學生共同體意識的教育方法。陽明哲學的真誠惻怛之良知，則可以消除隔閡、產生共鳴，更有利於培養大學生共同體意識。惟其對他者的共鳴能力越強，相應的社會性也越強，方能更適應地步入社會。

### 注釋：

① <http://corpus.136.hmkj.com.cn/>.

② Likona (1993). The return of character education. *Educational Leadership*, 51(3), 6-11.

③ 吳光，錢明，董平，姚延福（編校）：《王陽明全集（第一冊）》，杭州：浙江出版聯合集團 浙江古籍出版社，2010 年版，頁 5+15+36+50+105+106+114+115。

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# Achievements and Problems of Think-Aloud Protocols Application to EFL Education Research

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**Abstract:** Think-aloud protocols have drawn much attention over the past two decades. Given the expanse of the relevant literature, we narrow our focus on core papers on the application of this research method to EFL education research in China in the past 25 years, aiming to summarize the achievements of its application to EFL education research and discover the problems in the current research. In this systematic review, a total of 53 articles are retrieved. Adopting the methodological synthesis, we analyze the articles from the perspectives of the research trend, research areas, research design, data collection, data analysis, and presentation of results. It is found that the overall number of studies using think-aloud in EFL education is insufficient. The research using think-aloud in EFL writing accounts for the highest proportion, while few studies on EFL listening and speaking via this research method are conducted. Tertiary-level students are the most popular participants in the studies using think-aloud protocols. In addition, the descriptions of the data collection and data analysis processes are insufficient. Based on these findings, implications for teachers, curriculum designers, and researchers in EFL education are further discussed.

**Keywords:** think-aloud protocols; EFL education research; research trend; research areas; application

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## 1. Introduction

The research in the field of EFL education covers various perspectives, including listening, speaking, reading, writing, translation, etc. Many researchers tend to use research methods such as questionnaires (HU &





XU, 2024) and interviews (HU & QU, 2021) in conducting EFL education research. Although these methods can be used to investigate learners' behaviors or thoughts, the information is not received at the time when the learners are engaged in an activity. As memories fade, even recall recorded soon after the event can suffer from the fragmentary nature of awareness at that time (Cowan, 2017). Therefore, think-aloud is one of the methods for data collection that captures scholars' attention. It is a method through which participants speak out various information in their minds anytime and anywhere in the process of completing a certain task (Ericsson & Simon, 1980; Ericsson & Simon, 1993; GUO, 2007). Compared with questionnaires, think-aloud can reflect participants' thinking process immediately without the problem of information filtering (Green, 1998).

In the field of EFL education in China, think-aloud has received more and more attention, including not only the theoretical research on how to apply think-aloud to teaching but also the empirical research using think-aloud as the research instrument. Among them, empirical research accounts for the largest proportion. However, although think-aloud protocols can intuitively reflect the participants' thinking process, the reactivity, and veridicality of think-aloud have become an important topic of controversy. Improper operations of the think-aloud protocols may affect data reliability. What is more, compared with foreign countries, the research on the application of think-aloud protocols to EFL education in China started late and has not yet formed a relatively complete system. Based on this, it is necessary to sort out the application of think-aloud protocols in the research of EFL education in China and find out the current progress and shortcomings in the use of think-aloud protocols, which can provide clear ideas for the follow-up research. Though there are two Chinese papers (QIAN, 2015; Lin, 2019) that reviewed the studies using think-aloud protocols, neither of them gave a comprehensive picture of how think-aloud protocols were applied to Chinese EFL education research. For example, LIN (2019) only focused on the studies using think-aloud protocols in EFL writing. Moreover, they didn't give a review on the issues as to what weight has been given to each research area of Chinese EFL education in which think-aloud is applied, and whether the think-aloud protocols used in the research are proper. It is generally agreed that whether think-aloud can be used appropriately determines the credibility and accuracy of the research (Ericsson & Simon, 1980; YANG, ZHANG & Judy, 2020). What's more, they didn't have a clear analytical framework, which may make their research unscientific to some extent. Therefore, it is necessary to conduct systematic and comprehensive research to help researchers know the status quo of Chinese studies using think-aloud protocols in the field of EFL education so that they can produce more influential studies.

To make up for the above research deficiencies and to lay a foundation for future researchers to better use the think-aloud protocols in the field of EFL education, this review aims to systematically summarize the achievements of EFL education research in using think-aloud protocols in China and explore the existing problems from the perspectives of the research trend, research areas, and the application of think-aloud. Thus, the central questions of the current review are as follows: (1) What is the research trend of Chinese EFL education research in which think-aloud is applied? (2) What are the research areas of Chinese EFL education research in which think-aloud is applied? (3) What is the status quo of think-aloud application in Chinese EFL education research?

## 2. Method

This study, focusing on core papers on the application of think-aloud protocols to EFL education research in

China in the past 25 years, followed the research synthesis approach in terms of article identification and retrieval, data set coding procedures, and data analysis (Plonsky, 2013, 2014).

### 2.1 Article identification and retrieval

The initial phase in synthesizing the current study was to identify and locate the domain of the studies within EFL education in China. According to Plonsky (2013, 2014), the domain was operationalized into three components, including location, time, and content. Location-wise, all the retrieved articles in this study were from China National Knowledge Infrastructure (CNKI), which was a widely accepted and used platform for literature search by scholars in China, and the articles included in it were all from the core journals (including SCI-source journals, CSSCI, CSCD, and Peking University core journals), namely *Journal of Xi'an International Studies University*, *Foreign Language Research*, *Technology Enhanced Foreign Language*, *Foreign Languages and Literature*, *Modern Foreign Languages*, *Journal of China Examinations*, *Foreign Language Education in China*, *Teaching & Administration*, *Experimental Technology and Management*, *Journal of PLA University of Foreign Languages*, *Foreign Language Education*, *Foreign Language Learning Theory and Practice*, *Foreign Languages and Their Teaching*, *Foreign Languages Research*, *Journal of Chongqing University of Posts and Telecommunications (Social Science Edition)*, *Foreign Language World*, *Language Planning*, *Journal of Lanzhou University (Social Sciences)*, *Journal of Inner Mongolia Normal University (Educational Science Edition)*, *Journal of Hebei University (Philosophy and Social Science)*, *Shandong Foreign Language Teaching*, *Foreign Language Teaching and Research*, and *Foreign Languages in China*. Furthermore, all the papers published from 1998 to 2022 were searched using the advanced search function with “English” and “think-aloud” as subject terms. It needs to be pointed out that the purpose of the current study is to know the specific situation of applying think-aloud protocols to Chinese EFL education research, so all the non-empirical papers such as literature reviews and theoretical studies are excluded. Thus, the criteria for selecting the papers are: (1) All the papers selected are from core journals in CNKI. (2) Articles are from 1998 to 2022. (3) Articles are empirical studies in the field of EFL education. Based on the above criteria, a total of 53 articles of empirical studies on EFL education using think-aloud protocols are obtained at last.

### 2.2 Coding

In this phase, the 53 articles were classified as writing, reading, vocabulary, translation, listening, speaking, and others according to the research area. Then, each category was coded separately for the following analysis. For example, the first paper which is about English writing is coded as W-1.

### 2.3 Data analysis

Due to the similarities between the think-aloud protocols and other research methods in the implementation process, the present study derived an analytical framework from the previous review by XU and LI (2020) who explored the specific situation of applying case study to Chinese EFL education research from the perspectives of research design, data collection, data analysis, and presentation of results. However, slight adaptations were made according to the purpose of the study as well as the characteristics of think-aloud. In the sub-criteria called “appropriate research questions”, we changed its original meaning into “be able to answer ‘what’ and ‘how’



questions through think-aloud” because a case study is used to answer “why” and “how” questions while think-aloud, is usually used to answer “what” and “how” questions. As Table 1 shows, the analytical framework contains 4 evaluation criteria and 10 sub-criteria with their specific meanings and purposes.

Criteria	Sub-criteria	Meaning	Purpose
Research Design	Appropriate research questions	Be able to answer “what” and “how” questions through think-aloud	The suitability of the research
	Selection of research participants	The range and representativeness of the research participants	The scientific and representative nature of the research
	Theory formulation	Present the theory involved in the study	The scientific nature of the research
Data Collection	The multiplicity of data sources	Use of multiple data sources	The credibility of the research
	Description of the data collection process	Describes the data collection process in detail	Normality and credibility of the research
Data Analysis	Description of the data analysis process	Describes the process of data analysis in detail	Normality of the research
	Use of triangulation	Triangulation validation between different data and third-party validation by non-researchers themselves	The credibility of study results
Presentation of Results	Description of research participants	A specific description of the basic situation of the research participants and the environment in which they are located	The credibility of the research
	Elaboration of theoretical claims	Validation and elaboration of findings by using existing theoretical frameworks	Contribution of research theories
	Construction of the Theoretical Framework	Constructing a theoretical framework consistent with the research	Contribution of research theories

**Table 1 Analysis framework for the application of think-aloud**

In this review, the title, abstract, keywords, and body parts were all analyzed based on the analytical framework. To improve the accuracy of the analysis, two writers in this review completed the analysis work together. If no consensus was reached during the analysis, a full discussion would be carried out. The detailed analysis steps were as follows:

Firstly, each article was read repeatedly and analyzed one by one according to the above analysis framework. If the article conformed to the description of the second dimension in the analysis framework, check marks would be made. The number of check marks in each dimension represented the number of papers that were in accordance with the description. After analysis, the number of qualified papers in each dimension was counted. For instance, the number of check marks in the dimension of “appropriate research questions” was 31, which represented that among the 53 retrieved articles, there were 31 papers that proposed appropriate questions. During this process, the research trend, research areas, as well as the application of think-aloud in Chinese EFL education research can be explored and expounded.

### 3. Results of the Literature Review

#### 3.1 Research trend

As can be seen from Figure 1, the research on the application of think-aloud protocols to EFL education in China could be traced back to 25 years ago when WEN and GUO (1998) published a paper in *Modern Foreign Languages* to explore the relationship between thinking in L1 and L2 writing ability. Ever since then, a trend of fluctuating growth has appeared. In 2010, there was a significant increase in the number of papers using think-aloud protocols to conduct EFL education research in China, with the number of papers reaching a peak of 7. In 2011, the number of papers dropped rapidly to 2. It then showed a fluctuating increase between 2012 and 2020 but dropped to 0 in 2021. As far as the papers published since 1998 are concerned, after the amount of research increased to 7 in 2010, the number of papers using think-aloud to explore EFL education has decreased. Although there was a fluctuating growth trend during the period from 2011 to 2022, the number of papers published each year was insufficient.

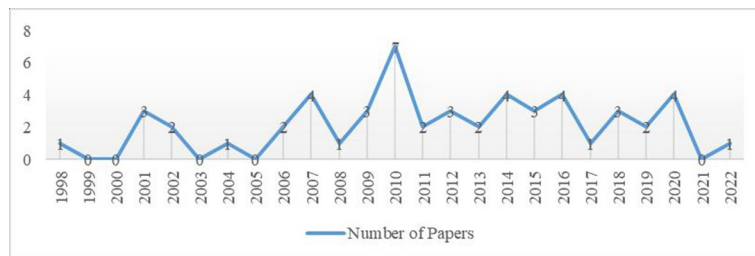


Figure 1 Trend of Chinese EFL education research using think-aloud

In addition, the data about the number of papers issued in each year interval can be obtained after dividing the publication years into five stages. As is shown in Figure 2, the total number of papers issued from 1998 to 2007 was relatively stable. From 2008 to 2012, there was a significant growth stage, with the total number of papers reaching 16. After 2012, the number of papers started to decline slightly. Therefore, the research on EFL education using think-aloud protocols in China can be roughly divided into three stages, namely, the starting stage (1998–2007), the significant growth stage (2008–2012), and the declining stage (2013–2022).

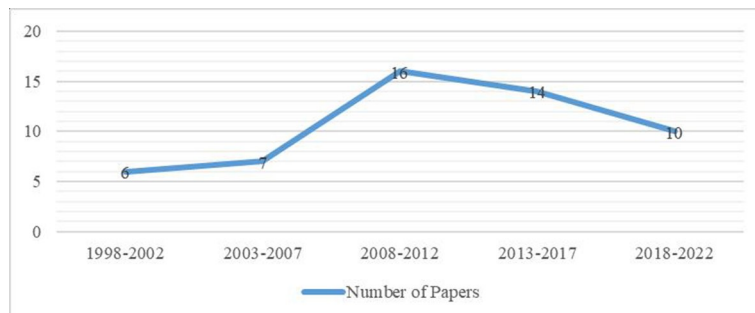


Figure 2 Number of papers issued in each year interval

### 3.2 Research areas

53 core journal papers are classified and sorted by analyzing the abstracts, keywords, research questions, and research conclusions. It is found that the research on the application of think-aloud to EFL education in China involves various fields, including listening, speaking, reading, writing, translation, vocabulary, etc. The specific research areas are shown in Table 2.

Research Field (Total)	Research Content	No.	Percentage
English Writing(16)	Influencing Factors of Writing	6	11.32%
	English Writing Process	3	5.66%
	English Writing Strategies	3	5.66%
	Essay Rating	3	5.66%
	Teaching in English Writing	1	1.89%
English Reading(13)	Influencing Factors of Reading	5	9.43%
	English Reading Process	4	7.55%
	English Reading Strategies	4	7.55%
Vocabulary(13)	Word or Phrase Reasoning Process	5	9.43%
	Word or Phrase Comprehension Strategies	4	7.55%
	Influencing Factors of Word Processing	4	7.55%
Translation(6)	Translation Process	3	5.66%
	Translation Strategies	2	3.77%
	Translation Rating	1	1.89%
English Listening(2)	English Listening Process	1	1.89%
	English Listening Strategies	1	1.89%
English Speaking(2)	Influencing Factors of Speaking	1	1.89%
Others(2)	English Test	1	1.89%
	Pragmatics	1	1.89%

**Table 2 The research areas of using think-aloud in EFL education research**

As can be seen from Table 2, Chinese scholars who use think-aloud protocols to conduct EFL education research are mainly inclined to study foreign language writing (30.19%), reading (24.53%), vocabulary (24.53%), and translation (11.32%), while listening and speaking research accounts for a small proportion. What's more, among all the sub-categories, the number of studies on the influencing factors of foreign language writing is the largest (11.32%), followed by the influencing factors of reading (9.43%) and the lexical reasoning process (9.43%), while the number of studies on translation rating, English listening process, English listening strategies, influencing factors of speaking, etc. is relatively small.



### 3.3 *Specific use of think-aloud protocols in EFL education research*

To answer the third research question, the present study analyzes 53 core journal papers from the following aspects: research design, data collection, data analysis, and presentation of results. The detailed analysis is as follows.

#### 3.3.1 *Research design*

When conducting EFL education research by using think-aloud protocols, the first step is to design the research, including putting forward research questions, clarifying the research participants, and determining the theoretical basis. Through the descriptive analysis, it is found that in terms of research questions, 31 papers (58.49%) clearly and appropriately raised research questions, including “what” and “how” questions, which belong to the category of problems that can be solved by using think-aloud protocols. For example, WEN and GUO (1998) raised three questions in their research, namely, “What is the relationship between the amount of L1 involvement in thinking and L2 writing performance?”, “What are the functions of L1 in the process of L2 composition?” and “What are the differences in the use of L1 between those who scored high and those who scored low in composition?”. To answer the above questions, 6 Chinese students in senior Grade 2 and Grade 3 were selected as the research participants, and the students were asked to tell the whole process of reading pictures and writing English compositions by think-aloud. They answered these three questions by analyzing the transcribed data of think-aloud protocols, which showed the appropriateness of the research questions. Among the rest of the journal papers, 13 papers (24.53%) just stated the research purpose but didn’t pose any research question, and 9 (16.98%) did pose research questions but they need to be further improved. For example, ZHOU (2017) proposed only two research questions to explore Chinese students’ use of English reading strategies, but in fact, the study also explored the factors that influence students’ use of reading strategies by conducting an interview. Therefore, an additional research question such as “What are the factors that influence Chinese students’ use of reading strategies?” should be added to the research. In addition, some studies contain two or more sub-questions in one research question. For example, LIN (2006) posed three research questions in her analysis of learners’ thinking activities when the participants processed English idioms, but in fact, her questions included four sub-questions, namely, “How do Chinese EFL learners understand idioms without context?”, “How do Chinese EFL learners understand idioms in context?”, “Does context have a significant effect on the understanding of idioms?”, and “Can the native idiom comprehension model be applied to English idiom comprehension?”. In the process of analysis, Lin analyzed these four aspects respectively, while she incorporated question 2 and question 3 in her second research question. This is not appropriate and the second question she proposed should be divided into two separate questions.

In terms of the selection of research participants, a noticeable feature of the research participants in the EFL education research using think-aloud protocols lies in its primary concern with university and graduate students. As Table 3 shows, the participants of 41 studies (77.36%) were drawn from the population of university or graduate students, and the research that takes teachers as participants only accounts for 7.55%, while little research has focused on non-tertiary level learners, reflecting a marked lack of research on the application of think-aloud protocols in secondary and primary school settings.



Participants	Number	Percentage
University & Graduate Students	41	77.36%
Students in different school level	5	9.43%
Raters	4	7.55%
Senior High School Students	2	3.77%
Junior High School Students	1	1.89%

**Table 3** Types of research participants in EFL education research using think-aloud protocols

The theoretical foundation serves as a directional guide for writing papers and provides a basis for analyzing and answering the research questions. Among the 53 key journal papers, 13 (24.53%) explicitly proposed the theoretical foundations, including the comprehensible output hypothesis (GENG et al., 2015), dynamic system theory of second language acquisition (XU, 2012), semantic bootstrapping hypothesis and syntactic bootstrapping hypothesis (XIE & WEI, 2016), cognitive process theory of reading (KONG, 2020), schema theory (GONG & WANG, 2011), cognitive process theory of writing (XIU & XIAO, 2004), and so on. These theories laid a good foundation for their research. For example, KONG (2020) used the cognitive process model proposed by Khalifa and Weir as the theoretical basis for her study and used it as a guide to investigating the similarities and differences in the participants' thinking processes when answering two different types of reading comprehension questions.

### 3.3.2 Data collection

In the data collection process, the multiplicity of data sources and the description of the data collection process are the two questions that need to be considered. Through the analysis, it was found that 31 journal papers (58.49%) were able to pay attention to the limitations of think-aloud and adopt various ways to collect data to ensure the accuracy of analysis results. For example, ZHAO and SANG (2016) used a questionnaire and think-aloud protocols to explore the differences in the use of listening strategies between high-level and low-level non-English majors. Ju and WANG (2012) conducted a retrospective interview after the think-aloud, to add information that may have been missing from think-aloud and thus have a more comprehensive understanding of students' participation in their mother tongue in the reading process.

From the aspect of the description of the data collection process, it is found that 29 of the papers (54.72%) were able to give a detailed description of the data collection process. For example, QU (2014) introduced the specific steps and the lasting time of think-aloud training and formal tests. Specifically, she mentioned that "at first, each subject received about half an hour of technology and psychological guidance about think-aloud and then conducted the formal think-aloud test. The average time of think-aloud was 18 minutes and 52 seconds." These concrete figures contributed to the transparency and credibility of the paper. However, almost half of the papers didn't describe the process of data collection. Some of them lacked elaboration on the specific steps of think-aloud (ZHAO & SUN, 2009) and didn't indicate the time spent on the whole process of think-aloud (JU & WANG, 2012), and some didn't introduce the specific materials used for think-aloud (JIN, 2012).

### 3.3.3 Data analysis

Data analysis consists of the description of the data analysis process and the use of triangulation. In terms of

the description of the data analysis process, 36 journal papers (67.92%) clearly described the whole process of data analysis to readers, which enhanced the credibility of the research and made readers clearly understand how each research question is answered. For example, WANG (2011) introduced in detail how to count knowledge sources and reasoning strategies in think-aloud protocols, how to ensure the reliability of coding, and how to calculate students' success value of lexical reasoning when discussing the influence of reading level on the success rate of word guessing and the quantity and quality of the use of reasoning strategies and knowledge sources. Another example is the study by SUN (2019) which introduced the process of data coding in detail and explained the specific methods adopted to increase the credibility of coding. Later, in the part of the presentation of the results, he embedded the analyses of the raw data of think-aloud and then concluded according to these analyses. By contrast, in the remaining journal papers, some (28.30%) omitted the specific steps of data analysis, while others (3.77%) even neglected the whole process of data analysis and just showed their conclusions.

Triangulation strengthens a study by combining methods. It means using several kinds of methods or data, including using both quantitative and qualitative approaches (Patton, 2015: 478). However, the present study finds that although 31 papers used multiple data sources, only 18 papers integrated the data and triangulated the data results. WU and WANG (2006) are good examples of using triangulation. They used think-aloud protocols and retrospective interviews to explore the role of mother tongue in students' reading process. In the process of analysis, they concluded, according to the data of think-aloud that "those with lower English proficiency are more inclined to rely on their mother tongue as a tool to help understanding during the English reading process". Subsequently, they made further explanations with the data of retrospective interviews to make an echo with the data of think-aloud. This process well reflected the use of triangulation.

### 3.3.4 *Presentation of results*

The presentation of research results is one of the most important parts of a paper. This review mainly analyzes it from three perspectives: the specific description of the research participants, the elaboration of theoretical claims, and the construction of a theoretical framework.

Among the 53 papers, few of them could make a comprehensive and detailed introduction to the learning situation and environment of the research participants. 22 (41.51%) were able to give a relatively detailed introduction to the second language learning situation of the participants. For example, CHEN and ZHANG (2001) gave a detailed introduction to the age, gender, years of learning English, and the teaching materials used in learning English. SUN (2019) specifically introduced the age, gender, major, and English level of the participants, which increased the credibility of the research. But most papers omitted the introduction of participants' backgrounds.

Additionally, in terms of theoretical elaboration, 23 papers (43.40%) used the existing theoretical framework to elaborate and analyze the obtained data, and 9 papers (16.98%) put forward their theoretical framework or improved the original framework. For example, WEN and YIN (2010) used the framework of strategies commonly used by German students in German-English translation proposed by Kiraly to explore the translation strategies used by Chinese students. In addition, XU (2010) built a dynamic operation model of cognitive context in polysemous word meaning recognition when investigating the semantic processing of cognitive context in polysemous word meaning determination.



## 4. Discussion

This review analyzes 53 core journal papers on the application of think-aloud protocols to EFL education in China in the past 25 years from the aspects of research trends, research areas, research design, data collection, data analysis, and presentation of results.

The research results show that there have been remarkable achievements in using think-aloud protocols in EFL education research in China in the past 25 years, covering various fields such as writing, reading, vocabulary, translation, listening, speaking, etc. This finding resonates with QIAN's (2015) research in which she reviewed the EFL education research using think-aloud protocols abroad and at home from the perspectives of reading, writing, listening, and translation. What's more, the research participants from kindergarten to college students and even teachers were involved, and some scholars explored the aspect of multilingualism, which has some promoting effects on the development of EFL education. Additionally, half of the studies used other methods together with think-aloud protocols, which is a good way to improve the credibility and reliability of the research. According to Hosseinpour and Kazemi (2022), "The intrusive nature of concurrent think-aloud procedure might interfere with normal composing processes and some activities and tasks, at some points of doing the activity or task, might be so spontaneous and automated that they might be inaccessible for concurrent think-aloud". Similarly, Wilson (1994) also questioned the validity and completeness of think-aloud protocols. Therefore, in terms of data resources, it is reasonable and necessary for scholars to use a combination of various research methods to collect different kinds of data to make up for the shortcomings brought by the think-aloud. Nevertheless, given the studies reviewed above, some problems can also be discerned.

Firstly, the amount of research on EFL education using think-aloud is relatively insufficient and the fluctuation is large. The results show that think-aloud has received increasing attention from scholars who study EFL education and has had a rapid increase from 2008 to 2012, the reason for which might be explained by the fact that GUO (2007) published a book called *Think-aloud* in China and introduced systematically for the first time how to apply think-aloud to EFL education. From then on, scholars in China have paid more and more attention to think-aloud protocols. However, after 2018, there was a downward trend. This may be due to the impact of the COVID-19 pandemic. In general, necessary training for the participants is needed to collect think-aloud data (GUO, 2017), which requires interaction and communication between researchers and participants. However, the epidemic situation may be one of the important factors hindering communication, which may lead to difficulty in implementing the think-aloud protocols. What is more, although the research on the application of think-aloud in EFL education involves many fields, the research results are not very rich. Even the studies on English writing which account for the largest proportion contain only 16 articles. Therefore, it is indicated that the EFL education research applying think-aloud still needs to be further enhanced in breadth and depth.

Secondly, the proportion of research content is unbalanced. As for the research fields, it can be found that although the range of research is wide, the proportion of each field is uneven. In recent years, most studies have focused on writing, followed by reading, vocabulary, and translation, while only a small portion of research concerns listening and speaking. This may be explained by the fact that think-aloud is a method in which information is verbalized at the time the participants are attending the task (Ericsson & Simon, 1980). It might be

difficult for participants to think aloud while doing listening and speaking tasks. However, the research finding above is slightly different from QIAN's (2015) conclusion. She found that English reading studies accounted for the largest proportion of all studies that used think-aloud. One of the possible reasons for this result is that the data sets used may be different. Also, the research Qian studied is the literature published before 2015. It is noted that in recent years, more and more scholars in China (CHEN, 2016; WU & XIAO, 2020; MA et al., 2022) have studied EFL writing with think-aloud protocols since 2015.

Thirdly, the selection of research participants is skewed toward college students. Among all the papers selected, most scholars invite college students learning in their schools to participate in their research. However, although the English proficiency of college students enables scholars to collect data relatively easily in research that uses think-aloud protocols, the lack of research using think-aloud protocols in primary and secondary school EFL teaching is detrimental to the development of students' English proficiency in these settings. Similarly, ZHOU and WANG (2022) also mentioned that the English level of students in primary and secondary school determines, to a certain extent, their abilities to use language in an integrated way to solve problems in university. Therefore, it is insufficient to select the research participants based on the ease of data collection. Attention should and must be paid to students' developmental needs and the current problems of Chinese students in foreign language learning so that the problems can be addressed.

Fourthly, the descriptions of the research are not detailed and systematic. As for data collection, almost half of the studies could not describe the data collection process in detail. One of the possible reasons to explain this situation might be the requirements of Chinese journals. Due to the limited word count and layout of Chinese journals, many scholars have to reduce the description of the data collection process to make more space for the presentation and analysis of the data results. Nevertheless, ZHANG and ZHANG (2019) argued that reporting how to provide think-aloud training would enhance the validity of the think-aloud data. Thus, when writing a paper, scholars should describe the whole process of data collection as detailedly as possible, including the implementation process of think-aloud, duration, and materials used for thinking-aloud, to ensure the credibility of the research.

Like the description of the data collection, in the data analysis process, there are still many studies that could not introduce how the data was analyzed. A possible explanation for the omission of the specific steps of data analysis could be the limitation of words in Chinese journals (XU & LI, 2020). However, it is difficult for readers to understand the results without a specific analysis of the data, and it will confuse readers about how the results are obtained through the data. Therefore, it's better to give a relatively specific introduction about how the author analyzes the data he or she collects. What's more, most studies didn't give a detailed description of the triangulation process although more than one research method was used in these studies. Nevertheless, triangulation is one of the useful ways to strengthen studies (Patton, 2015) and to make up for the drawbacks of think-aloud protocols (ZHANG & ZHANG, 2019). This indicates that when using multiple research instruments to collect data, scholars should clarify the specific role of each research instrument and strengthen the learning and use of triangulation.

Moreover, in the result presentation process, most of the studies couldn't give a detailed description of the participants' background information. This could be attributed to the fact that most of the readers of the papers published in Chinese journals are students, teachers, and educational institutions in China, echoing what was





revealed in XU and LI's (2020) study. They believed that since the Chinese researchers are familiar with the educational mechanism of China, the years of English study, and the learning environment of students, it was unnecessary to include a detailed description of students' learning backgrounds.

## 5. Implications of the Research

Given the deficiencies in the amount of research, research content, research participants, and description of the research in the reviewed papers, we would like to present several suggestions to EFL teachers, curriculum designers, and scholars in EFL education research respectively to encourage more attention and effort to be given to EFL education research using think-aloud protocols.

Firstly, EFL teachers should strengthen their awareness and application of think-aloud protocols. The data collected by using think-aloud protocols are usually regarded as truthful representations of participants' mental activity or processes (Ericsson & Simon, 1980; Ericsson & Simon, 1993). If think-aloud can be widely applied to Chinese foreign language teaching, it may fundamentally improve the learning situation of foreign language learners (GUO, 2007). Therefore, EFL teachers must strengthen their awareness and apply think-aloud to their teaching practice more often to deeply explore the status quo and existing problems during students' learning process, and then help students overcome learning difficulties effectively and improve their learning efficiency. Additionally, teachers in primary and secondary schools should strengthen their cooperation with researchers in universities to break educational barriers. In line with such a call, ZHOU and WANG (2022) also proposed that future scholars should break the pattern of university students' domination and vigorously carry out research at the basic education level. Specifically, primary and secondary school teachers should actively cooperate with university researchers, and effectively combine various research methods to gain a deeper understanding of students' learning, which helps them to change from knowledge-imparting teachers to teacher researchers and promote their professional development in conducting EFL education research.

Secondly, curriculum designers in universities, especially normal universities, should include the learning of think-aloud protocols in research method courses. Like other research methods, think-aloud protocols have strict standards and scope of application. If think-aloud protocols are not used properly in training or formal implementation, it will affect the accuracy of the research results (GUO, 2007; Cowan, 2017). Therefore, course developers should pay attention to the development of research method courses, so that more scholars in the field of EFL education can learn the application scope, training process, implementation process, advantages, and disadvantages of think-aloud and then apply it to their research in the future. Moreover, since the descriptions of data collection and data analysis processes in many studies are insufficient, it is suggested that curriculum designers should provide opportunities for their students to apply think-aloud protocols as a research method in their paper writing practice. During these processes, they can cultivate awareness of using think-aloud protocols and improve their abilities to write papers.

Thirdly, scholars in EFL education research should broaden their research perspectives. Most of the studies on EFL education using think-aloud protocols focus on foreign language writing and reading, while there is a relative lack of research on listening and speaking. As such, more efforts need to be made in foreign language listening and speaking research in which think-aloud protocols are applied. For instance, future researchers can

analyze the process of foreign language listening, the use of listening strategies, and the factors influencing students' foreign language listening and speaking, to enrich the research on EFL education in China. In addition to the basic English skills, researchers can also apply think-aloud protocols to explore learners' various affective factors such as happiness, optimism, empathy, and resilience since these factors also play significant roles in foreign language learning (XU, 2020). What's more, scholars should use triangulation flexibly to ensure that the data analysis is scientific and systematic. Think-aloud has aroused some concerns about veridicality and reactivity (Wilson, 1994; Barkaoui, 2011; YANG and ZHANG, 2015; YANG, 2019) although it is a useful way to explore participants' cognitive processes. To compensate for the drawbacks, leveraging methodological triangulation can be a very useful strategy (ZHANG & ZHANG, 2019). Just as Patton (2015: 479) said "Studies that use only one method are more vulnerable to errors linked to that particular method, unlike studies that use multiple methods, in which different types of data provide cross-data validity checks". Therefore, in subsequent research, scholars are supposed to read more excellent papers and learn how to effectively relate various types of data to derive research results and then answer research questions. In addition, in the paper writing process, researchers should first clarify the purpose of using each type of research instrument, categorize research instruments that address the same research questions, and then discover commonalities or differences from different research data as a way to achieve triangulation.

## 6. Strengths and Limitations

Think-aloud is a good way to explore the thinking process in one's mind, and data collected using this method is more authentic and objective (GUO, 2007). In this review, we analyze Chinese papers using think-aloud protocols in the field of EFL education by using a systematic framework. Researchers using this analytical framework can have a comprehensive understanding of whether the research questions are appropriate, whether the think-aloud protocols are used properly, and whether the descriptions of the study are sufficient. What's more, in this review, we analyzed all the Chinese core papers using think-aloud protocols in the field of EFL education in CNKI, which enables readers of this review to comprehensively know the achievements and drawbacks of studies using think-aloud protocols in China and then strengthen their awareness and application of think-aloud protocols. Additionally, reviewing Chinese papers using think-aloud protocols in EFL education research also enriches the research in the field of research methods. However, due to the database indexing issues, the present study may not include all of the papers that use think-aloud protocols in EFL education research in China. Another limitation is that the data analyzed in this review is confined to the authors' interpretation, which may impact the results of this review to some extent. More objective and fine-grained inquiries into think-aloud protocols in EFL education research might have greater pedagogical implications for teaching English as a foreign language in practice.

## 7. Conclusion

This review draws on XU and LI's (2020) framework and retrieves 53 key journal papers that apply think-aloud protocols to EFL education research during the past 25 years. Our review demonstrates that although EFL



education research in China has made remarkable achievements in applying think-aloud protocols, there are still some problems to be solved, including the insufficient number of studies, unbalanced research content, unbalanced research participants, and inadequate description of the research. In a word, there is much room for improvement in both the quantity and quality of research on the application of think-aloud to EFL education in China. Based on the findings above, we have good reasons to believe that more studies using think-aloud protocols in EFL education research, especially in the field of primary and secondary schools in China are necessary and promising. Non-tertiary teachers should strengthen their awareness of think-aloud protocols and enhance their cooperation with scholars at universities. Curriculum designers are recommended to include think-aloud protocols in research method courses in English teacher training programs. Researchers in EFL education are also suggested to broaden their research perspectives and use triangulation properly. It is through these ways that we may better fulfill the goal of producing more influential research achievements in the future.

Although this review provides much insight into the status quo of the EFL education research using think-aloud protocols in China, there are still some limitations, such as the limited number of papers indexed and the subjectivity in interpreting the results. It is suggested that future studies should expand the data source to include more studies in which think-aloud protocols are adopted, and future researchers should apply various research methods to ensure the objectivity of the research results.

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# Strategic Insights: Pioneering Role of Xiamen University Malaysia in Shaping International Higher Education

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**Abstract:** This article presents a thorough analysis of the management strategies and strategic planning that have contributed to the success of Xiamen University Malaysia (XMUM) as a premier international branch campus. Through an extensive literature review and a detailed case study, the author distills the multifaceted pioneering experiences shaping XMUM's development, offering invaluable insights into the broader field of international higher education. The author scrutinizes its alignment with global initiatives, its proactive approach to collaboration and partnerships, its unwavering commitment to educational quality and innovation, its focus on talent development and international faculty recruitment, its effective cultural integration and localization efforts, its efficient risk management and response mechanisms, its strategic brand building and its dedication to sustainable development and social responsibility. These factors have been pivotal to XMUM's achievements and provide a roadmap for other higher education institutions looking to expand globally.

**Keywords:** International higher education (IHE); strategic planning; global initiatives; collaboration and partnerships; educational quality and innovation; talent development; international faculty; cultural integration; risk management; brand building; sustainable development; social responsibility

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## 1. Introduction

The trend of internationalizing higher education (HE) is a strategic response to the increasingly globalized world, where the dissemination of knowledge and cultural exchange are essential for the development of a competitive workforce. “In the context of globalization, cultivating international talents has become a national strategic need, which is both necessary and important (WANG, XM, 2024: 158)”, This trend is particularly



evident in developed countries, such as the USA, UK, Germany, and Australia, etc., which have established extensive overseas education programs, reflecting their commitment to global educational influence.

China's engagement in this global movement is underscored by data from the Ministry of Education, indicating that the country has established the world's largest HE system and reached a popularization stage of HE recognized by the international community. Up to 2024, the total number of Chinese HE institutions nationwide amounts to 3,117. Within this figure, there are 2,868 ordinary institutions of higher learning, which include 1,308 undergraduate institutions, 1,560 vocational colleges, and 249 adult HE institutions, excluding those in Hong Kong, Macao, and Taiwan regions, as well as Confucius Institutes abroad. Among the recognized universities, 22 have established their overseas branches. Notably, Xiamen University Malaysia (XMUM) stands out as the first university to be independently established overseas with the approval of the Chinese government.

The establishment of overseas educational institutions by Chinese universities, such as XMUM, not only signifies a leap in the quality of Chinese HE but also represents a strategic move to enhance China's soft power and international cooperation in education. As LIAO (2021) points out, this "development is crucial as it addresses the urgent question of how universities can expand globally, maintain cultural roots and manage effectively in the new era".

China's plan with international education standards is imperative for several reasons. As the most populous country and a key driver of global economic growth, China faces significant domestic demand for HE. Concurrently, it seeks to export its educational models and actively participate in shaping global education governance. According to Ziggurats & McBurnie (2011), international branch campuses (IBCs) are identified as a prime strategy for cross-border education, capable of elevating tertiary education quality in developing regions and bolstering human capital development.

The definition of IBCs, as entities that must operate within resource-receiving countries and confer degrees from the parent institution, sets a standard for the authenticity and credibility of these international endeavors. Up till 2016, Chinese universities have established a total of seven overseas branches, six of which are operational and one in the preparatory stage (ZHAO & XIE 2018). Analysis of these initiatives reveals several characteristics of China's current international educational landscape, including a late start, small scale, slow development pace, limited geographic distribution, and a narrow focus on school level and curriculum offerings.

Globally, the number of IBCs has seen a rapid increase since 2000, growing from 24 to over 300 by 2017, which has diversified the global HE landscapes (HOU et al., 2018). The majority of these IBCs are provided by Western nations, such as the USA and the UK, with a significant concentration in Asia (Garrett et al., 2016). This trend underscores the importance of Asia as a hub for international education and the potential for Chinese universities to play a more prominent role in this arena.

"As an important part of HE, China's HE internationalization has always been the focus of researchers (CAI, ZHU & XIONG 2020)." XMUM is a quintessential example of the internationalization of Chinese universities, whose successful management is worthy of further revisit. This article aims to analyze XMUM's operational insights and strategic plans and provide a practical reference for the overseas expansion of other universities and the internationalization strategy of China's HE.

Xiamen University (XMU), founded in 1921 by Malaysian Chinese philanthropist Tan Kah Kee in Fujian province, China, holds the distinction of being the first Chinese university established by an overseas Chinese. In

2014, XMUM furthered its international reach by becoming the first Chinese university to establish a campus in Malaysia. The establishment of XMUM represents a significant milestone in bilateral international cooperation and educational exchange.

XMUM positions itself as a globally oriented institution, providing students with a competitive edge in the economic, cultural and technological exchanges between ASEAN countries and China. With the academic excellence of its parent university, XMUM offers students opportunities to study abroad and intern in China and other countries. Its curriculum is a blend of distinctive Chinese elements and a contemporary learning environment that encourages interdisciplinary dialogues.

XMUM envisions itself as an institution with a global perspective, offering high-quality education and research facilities while fostering multiculturalism (GUO 2017). The university has been committed to producing graduates who are wise, distinguished and capable of becoming responsible citizens contributing to the growth and progress of Malaysia, China and other ASEAN countries.

Now, XMUM's faculty includes, according to its recent official online statistics, not only excellent teachers selected by the main campus in Xiamen, China, but also experienced scholars from Malaysia and those recruited globally. Out of over 300 members of its teaching staff, more than 80% of them have doctoral degrees. Up to 2024, there are more than 7,500 students from Malaysia, China and 43 other countries and regions.

The branch campus has seven colleges and offers twenty-three undergraduate programs in the fields of liberal arts, business, medicine, science and engineering. In addition, there are eleven master's programs and six doctoral programs respectively. Based on partial statistics, since its inception and commencement of enrollment in 2015, XMUM has attracted "over 12,000 students from more than 40 countries and regions", embarking on their academic and dream pursuits within this institution's environs (MAO et al., 2024).

## 2. Literature Review

Considering that managing overseas campus by universities in Chinese Mainland is a relatively new phenomenon in recent decades, the author found only 68 documents from the National Knowledge Infrastructure (CNKI) database with the Chinese keywords “高等教育國際化” (higher education internationalization) and “海外分校” on Dec. 12, 2024. Out of the 142 key words of these papers, 120 key words form a network map, as shown in the following Figure.

From Figure 1, it is not difficult for us to find, from the map, that the chief themes of these papers can be categorized into the following five groups:

### 2.1 *Background of HE internationalization and trends*

The background and landscape of HE internationalization and its trends make the research focus. Among several papers analyzing the background and trends of internationalization, LIU and PANG (2024) emphasize the importance of key dimensions, international orientation and development paths in the context of building a strong educational nation. JIANG (2024) studies the development of Johns Hopkins University's overseas branches from the 1950s to the present, providing a case study for understanding the evolution of overseas branches.

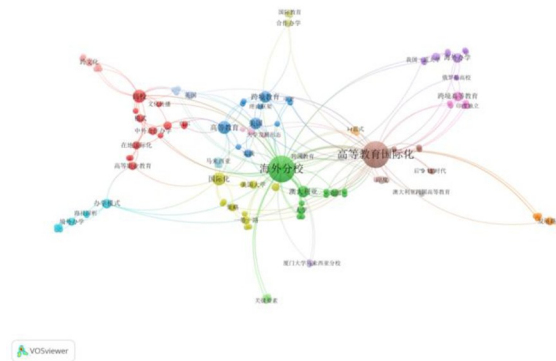


Figure 1 VOSviewer bibliometric kew-word network map

## 2.2 The emergence and operation of overseas branches

The establishment and functioning of IBCs are also important research issues. For instance, WANG and MINAWAR (2023), among others, discuss the rise, operation and effectiveness of overseas branches of Russian, American and European universities in Central Asian countries, offering a comparative perspective. HU (2022) specifically analyzes the transnational strategy and risk response of Xiamen University’s Malaysia branch, providing direct experience for the operation of overseas campuses.

## 2.3 “Belt and Road” initiative and internationalization

Changes in the international landscape of HE are often in the research spotlight. For instance, LU and TAN (2022) study the path of Henan universities in establishing overseas branches under the “Belt and Road” (B & R) initiative, providing background for understanding the role of XMUM in regional cooperation. DONG (2020) explores new strategies for the IHE in Guangdong under the B & R construction background, further emphasizing the importance of regional cooperation in HE internationalization.

## 2.4 Challenges and experiences of IBCs

Challenges and experiences of IBCs are also under frequent discussion. For example, YOU and WANG (2019) analyze the current status, challenges and experiences of university overseas branch construction, providing a general understanding of the challenges faced by XMUM. LIAO (2019) makes a study of the motives, types and challenges of HE overseas branches, offering a theoretical framework for the specific case analysis of XMUM.

## 2.5 Cultural dissemination and cross-cultural communication

Cultural dissemination and cross-cultural communication are also significant concerns. For example, LI and YAN (2021) study the dissemination of Chinese culture in Russia from the perspective of university overseas branches, providing a reference for understanding the role of XMUM in cross-cultural communication. LIU (2014) discusses the cross-cultural adaptation of teachers in the context of international education and foreign

experience and enlightenment, offering practical guidance for cross-cultural communication at XMUM.

Moreover, the keywords “international branch/campus” network emerges as a prominent node, with its size and connectivity, indicating that it is one of the core concepts in discussions on the internationalization of HE. For example, GUO (2015/2017) has made preliminary analyses (including a SWOT analysis) of the opening and running of XMUM, thus forming a small node in Figure 1, making known its founding and early development.

In summary, the above literature indicates that XMUM, as a successful model, serves as a paradigm for the internationalization of Chinese HE. Its 10 years of management experiences may provide practical references for other Chinese universities. Therefore, the present article attempts to shed light on the innovative contributions and leadership position of XMUM in the global landscape of IHE.

### **3. XMUM’s Chief Management Experiences in Running Overseas Campus**

In the present global era, XMUM has emerged as a successful model of overseas campus operation and management. Drawing from its latest information and academic insights, its successful management experiences can be grouped into three main parts:

#### ***3.1 Strategic and partnership-oriented management***

First is its forward-looking strategic plan and global perspective. As we can see, XMUM’s strategic plan with the B & R initiative has been a cornerstone of its success. By aligning with this national strategy, it has not only expanded its forward — looking global footprint but also contributed to China’s soft power in Southeast Asia. For instance, its collaboration with local Malaysian institutions has led to quite a few joint research projects and academic exchanges, which are in line with China’s B & R Initiative’s emphasis on cultural and educational cooperation. This plan has also facilitated funding and support from both the Chinese and Malaysian governments, as evidenced by the joint educational grants and scholarships offered to students from both countries. As its official website on — line reports show, XMUM strives to “become a university with a distinctly global outlook” to “nurture young talents with dignity and wisdom”.

Next is its active collaboration and partnerships. XMUM’s management success is also attributed to its robust collaboration and partnerships with local and international entities. A prime example of this is the Memorandum of Understanding (MoU) signed with the Malaysian Ministry of Education, which has led to the development of joint degree programs and research initiatives. These partnerships have not only enhanced its academic offerings but also strengthened its position as a bridge for cultural and educational exchange between China and Malaysia, and with other countries as well. According to the latest statistics from its website, XMUM has, up till now, 33 international partners in 13 countries outside Malaysia, which makes a great progress for its global engagement and partnerships.

#### ***3.2 Academic — quality and people — centric management***

The second effective management experience is its emphasis both on academic-quality and people-centric management. XMUM’s commitment to educational quality and excellence is evident in its adoption of





international teaching standards and its focus on quality and innovation. For example, it has implemented the flipped classroom approach, which has been welcomed by students and has led to improved engagement and learning outcomes. It has a small class size with a student — to — lecturer ratio of 15: 1. Additionally, it has integrated technology into its teaching methods, such as the use of virtual reality in engineering courses, which provides students with a cutting-edge learning experience.

Next is its emphasis on talent cultivation and international faculty. XMUM's successful approach to talent cultivation is multifaceted, focusing on attracting and retaining international faculty and students. Even in foreign language departments in local universities at home, "The English teachers' professional development should be locally based and internationally oriented (CHEN, 2014: 65)", not to mention the IBCs. In the past two decades, it has managed to attract outstanding faculty from diverse backgrounds, which has enriched the academic environment and provided students with a global perspective. Eighty percent of its academic staff are doctoral degree holders and one — third are from XMU China, while the rest are recruited from Malaysia and other countries. For instance, its faculty includes renowned scholars from various fields, such as Robin Robertson, an esteemed professor specialising in physical oceanography, Mahdi H. Miraz, a specialist in communications engineering, the world's top 2% scientist by Stanford University, etc. The engagement of distinguished scholars has enriched the academic environment and provided students with a global perspective and superb skills related to their majors. In addition, the university aims to nurture young talents with dignity and wisdom, turning them into fine citizens of the region, who will contribute to the prosperity of the people and social progress of Malaysia, China and Southeast Asia as well.

### ***3.3 Holistic development — oriented management***

Since its founding, XMUM has paid great attention to cultural integration and localization in Malaysia, its host country. It has maintained a friendly cooperation with the Malaysian government in many fields in HE internationalization. This approach can be as being prevented by effective measures in cross-cultural and international teaching processes, scientific research, extracurricular activities, and relationships with local cultures and different races. For instance, it held, recently, a Chinese debate competition for both local and international students to participate in, which helped promote cross — cultural exchanges during the competition.

XMUM's efficient risk management and response strategies are good examples. Different from the school running at home in China, it's unavoidable for branch campuses overseas to face unpredictable problems and even risks. As a university that actively embraces the rest of the world, XMUM has taken several feasible and practical measures to face the issues. These risks mainly come from several aspects. The first is about education laws and regulations, whose differences require them to be highly vigilant at all times. Secondly, the diversified culture and customs of Malaysia make faculties meet more challenges when setting up new courses. In addition, other risks such as language communication barriers between teachers and students and the flow of funds also trouble the management of XMUM. In order to respond to these uncertainties, XMUM actively communicates with the local education department and adopts an inclusive attitude to obtain feasible solutions. Simultaneously, adjustments have been made to the curriculum of some professional training plans. In addition, it actively learns from the curriculum management of other outstanding universities with overseas campuses, such as the University Nottingham Malaysia and New York University Shanghai, etc. , and takes new measures in teaching as well as



research while integrating its own distinct teaching concepts with local special conditions.

Moreover, its efficacious brand building and increasing international influence are also foresighted. XMUM's brand-building efforts have been instrumental in binding its university brand and enhancing international influence. In order to grow into a distinguished research-oriented university, XMUM has actively established partnerships with various international universities and institutions. For example, it has a close cooperation with Waseda University, Japan's prestigious world's top research university. This initiative helps to enhance its international profile and academic reputation. XMUM has regularly hosted international conferences, seminars, workshops, and other events that have attracted scholars and researchers worldwide. For example, the Conference on Malaysian Chinese Education and Language Inheritance was held at XMUM in 2024, which has marked a significant milestone in global and Malaysian Chinese language research. This and other international events not only provide a forcible platform for academic exchange but also help to position XMUM as a hub for global intellectual discourse.

Its consideration of sustainable development and social responsibility is also important. In order to promote the well-being of the local society, XMUM has dedicated to taking its social responsibility in order to maintain a long — term development. The considered initiatives are reflected in the promotion of industry engagement, active participation in various community services and sustainable practices for a better environment. For instance, cooperating with Xiamen Star TV, XMUM set up studios, in Kuala Lumpur in 2021, to encourage students majoring in advertising and journalism to participate in news practice. Its aim not only helps students acquire professional career experiences but also offers quality assurance for relevant local industries.

“The contemporary strategic plan in post-secondary education serves an integrative and coordinating function (Hinton 2012: 28).” If we look at XMUM's successful IHE management experiences from Hinton's tripartite strategic planning category, as shown in Figure 2, they fit well into the three levels of management, strategically, operationally and tactically, respectively.



Figure 2 Hinton's strategic planning category (ibid. )

In other words, strategic and partnership — oriented management is forward— looking and pioneering, the academic — quality and people — centric management policy is effective, and the holistic development — oriented management feasible.

Well—polished strategies and policies, plus effective operation, will lead to flourishing management in IHE. XMUM's success can be attributed to the above key factors, which include a forward—looking strategic plan and global perspective that guide its operations. This is complemented by active collaboration and partnerships, which foster a dynamic educational environment. A focus on educational quality and innovation ensures that the



institution remains at the forefront of academic excellence. The emphasis on talent cultivation and the recruitment of international faculty enriches the learning experience and enhances global perspectives among students.

Furthermore, XMUM effectively integrates cultural diversity and localizes its practices, which is crucial for an international campus. This approach not only respects the local context but also contributes to the global educational mission. Efficient risk management and response strategies are in place to navigate the challenges inherent in international operations, ensuring the stability and continuity of the institution. The institution's efficacious brand-building and international influence are testaments to its commitment to global recognition and impact.

In addition, XMUM considers sustainable development and social responsibility in its strategic planning, which aligns with the growing importance of these issues in IHE. The author believes that XMUM's experiences in IHE provide valuable insights into the effective operation and management of an international campus, helping shape the development of IHE.

In summary, XMUM stands as a paragon of successful international campus operation and management, offering a comprehensive blueprint for Chinese universities venturing overseas. Its strategic acumen, manifested in forward-looking plans aligned with the B & R Initiative and global partnerships, has not only expanded its footprint but also enhanced China's soft power in Southeast Asia. The unwavering focus on academic quality, underpinned by international teaching standards, innovative pedagogies, and a people-centric approach to talent cultivation, ensures its academic excellence.

XMUM's cultural integration and localization efforts in Malaysia, along with its proactive risk-management strategies, demonstrate its adaptability and resilience in a foreign educational landscape. The institution's efficacious brand-building initiatives and growing international influence, bolstered by high-profile international events, position it as a significant player in global HE.

Moreover, its commitment to sustainable development and social responsibility, which is evident in industry-community engagement, aligns with the evolving imperatives of IHE. These multifaceted foresighted experiences of XMUM provide invaluable insights, guiding other Chinese universities in their IBCs endeavors to achieve educational, cultural and social impact.

## 4. Conclusion

The article provides an in-depth analysis of XMUM's pioneering experiences as a successful model of IBC operations. Its development journey offers valuable insights into the complexities and opportunities of internationalizing HE. Its success can be attributed to several key factors, including a strategic plan with global initiatives, robust collaboration and partnerships, a commitment to educational quality and innovation, talent cultivation, cultural integration, effective risk management, brand building, and a dedication to sustainable development and social responsibility.

Through the above strategies, XMUM has overcome hardships when integrating China's strategic blueprint of "going out" and "promoting the building of a China-ASEAN community with a shared future". Its practice has greatly promoted the combination of both localization and China's advanced HE concepts in Southeast Asia. Based on XMUM's great achievements, this article can give guidance and practical references for other Chinese

universities in planning and running their IBCs.

This comprehensive analysis of XMUM's efficacious management experiences as a thriving IBC provides a multifaceted perspective on the intricacies and opportunities of IHE. Its journey serves as a beacon for other institutions contemplating global expansion, offering a wealth of insights into the strategic and operational nuances required for success in the international arena.

At the core of its success lies a forward-looking strategic plan that aligns with global initiatives, particularly the B & R Initiative. This alignment has not only broadened its global reach but also significantly contributed to China's soft power in Southeast Asia. The strategic integration of its operations with local Malaysian entities has resulted in a symbiotic relationship that enriches both the educational landscape and the cultural exchange between China and Malaysia.

The robust collaboration and partnerships fostered by XMUM are a testament to its dynamic educational environment. These partnerships, such as the Memorandum of Understanding with the Malaysian Ministry of Education, have been pivotal in developing joint degree programs and research initiatives. They have also solidified their role as a cultural and educational bridge between China and Malaysia, extending their influence to other countries through their international partnerships.

XMUM's unwavering commitment to educational quality and innovation ensures that it remains at the vanguard of academic excellence. The adoption of international teaching standards and innovative pedagogical approaches, like the flipped classroom and virtual reality in engineering courses, has enhanced student engagement and learning outcomes. This focus on innovation is a key differentiator that sets XMUM apart in the competitive landscape of IHE.

The emphasis on talent cultivation and the recruitment of international faculty have enriched the academic environment at XMUM, providing students with a global perspective and a diverse array of scholarly insights. This approach to faculty recruitment and talent development is crucial for preparing students to thrive in an increasingly interconnected world.

Cultural integration and localization are central to XMUM's strategy, reflecting the Malaysian government's approach to internationalization and localization. XMUM's cross-cultural and international teaching processes, scientific research and extracurricular activities have facilitated meaningful interactions with local culture and diverse racial groups, promoting a more inclusive and globally aware student body.

Efficient risk management and response strategies have been essential for XMUM to navigate the challenges inherent in international operations. By actively engaging with local education departments and adopting an inclusive attitude, it has been able to address uncertainties and adapt its curriculum and teaching methods to local conditions, ensuring the stability and continuity of the institution.

XMUM's efficacious brand building and international influence are evident in its partnerships with prestigious universities and its hosting of international conferences and events. These efforts have not only enhanced its global profile but also positioned it as a hub for global intellectual discourse.

Lastly, XMUM's consideration of sustainable development and social responsibility in its strategic planning aligns with the growing importance of these issues in HE. Initiatives such as industry engagement, community service and sustainable practices demonstrate their commitment to contributing to the well-being of local societies and maintaining long-term development.



Both XMU and its IBC, XMUM, have set a good example in IHE, playing a pioneering role in shaping IHE and offering strategic insights. By emulating XMUM's strategy and management experiences, other universities in China can not only enhance their global footprint, but also contribute to the internationalization of HE, strategically, socially and sustainably.

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(Editors: Derrick MI & JIANG Qing)



# Exploring the Path of Integrating “Global Civilization Initiative” into General Education for College Students: Taking *World History of Maritime Civilization* at Wuhan University as an Example

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**Abstract:** *World History of Maritime Civilization* adheres to the Global Civilization Initiative (GCI) as the guidance and initially explores the path of integrating GCI into general education for college students. First of all, general education should face the “clash of civilizations”; specifically, we must analyze the relationship between maritime civilization and continental civilization, the relationship between nationality and symbiosis of civilization, and the relationship between the advanced and backward nature of civilization dialectically. Secondly, general education should advocate patriotism, including establishing a grand historical view for “taking history as a mirror”, being vigilant against “West Centrism” while “taking him as a mirror”, and also keeping up with great national concerns in setting aspirations. Lastly, general education should pay attention to the “Chinese narrative”, specifically speaking, No. 1, adhering to the equality of civilization and opposing the “centralism”; No. 2, adhering to diversity and opposing the “model theory”; No. 3, adhering to the inclusiveness and oppose the “conflict theory”.

**Keywords:** Global Civilization Initiative; general education for college students; *World History of Maritime Civilization*

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# 「全球文明倡議」融入大學通識教育的路徑探索 ——以武漢大學《世界海洋文明史》課程為例

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**摘 要：**《世界海洋文明史》堅持以全球文明倡議為指導，在教學中嘗試摸索全球文明倡議融入大學通識教育的路徑。首先，大學通識教育要直面「文明衝突」，包括辯證看待海洋文明與大陸文明的關係、辯證看待文明的民族性與共生性關係、辯證看待文明的先進性與落後性關係；其次，大學通識教育要宣導「家國情懷」，包括「以史為鑒」首先要樹立大歷史觀、「以他為鏡」須警惕西方中心主義、「向海搏擊」要緊跟國家重大關切；第三，大學通識教育要注重「中國敘事」，具體而言有三點：其一，堅持文明的平等性，反對「中心論」；其二，堅持文明的多樣性，反對「模式論」；其三，堅持文明的包容性，反對「衝突論」。

**關鍵詞：**全球文明倡議；大學通識教育；《世界海洋文明史》

**基金項目：**本文是「武大通識 3.0」一般項目「世界海洋文明史」的階段性研究成果，同時受武漢大學中央高校基本科研業務費資助。

大學通識教育秉持「博雅弘毅、文明以止、成人成才、四通六識」的理念，強調以「以成人教育統領成才教育」<sup>①</sup>。要實現成人成才的目標，首先要樹立正確的人生觀、世界觀和價值觀。習近平總書記在 2023 年提出的全球文明倡議，用先進的文明理念塑造學生形成正確的三觀，為培養學生成為博雅君子指明了方向，這一倡議更是推進大學通識教育改革創新的智慧源泉。作為武漢大學開設的「通識 3.0」課程，《世界海洋文明史》在教學設計中強調思想性和學術性，始終堅持與時俱進，全面吸收全球文明倡議的思想精髓，以期更好地說明學生認清自我、認識世界、認知生命。

## 一、大學通識教育要直面「文明衝突」

大學通識教育的課程設置雖然門類繁多，但共通的特點在於不以提升學生的專業技能為目標，而旨在鼓勵其從中華文化與世界文明、科學精神與人文關懷、個人發展與家國情懷、哲理思考與現實關照等多個維度，對人生、社會、國家、世界、宇宙等重大問題開展「終極思考」，引導學生實踐「修身、齊家、治國、平天下」的人生藍圖。在西方自然科學和人文社會科學的理論、方法、範式盛行的當下，無論是哪種類型的通識課程，都要「跳出專題看專題」，不局限於基本的知識傳授，而是深入思考在教學中如何平衡本土與外來、傳統與現代、傳承與借鑒、共性與特性等的關係，實際上是要直面撒母耳·亨廷頓提出的「文明的衝突」問題，本質上是世界觀和價值觀教育。「中華文化與世界文明」板塊的系列課程更是要從堅持「四個自信」的高度，引導學生立足中國、放眼世界、胸懷天下。例如，在《世界海洋文明史》的教學中，貫穿始終的主線是多層次、全方位地看待海洋文明，既要海納百川、相容並蓄，也要突出「中國風範」、彰顯「中國氣度」，避免不自覺地跌入「西方中心主義」的話語陷阱之中。

### （一）要辯證看待海洋文明與大陸文明的關係

在西方的「文明中心論」「文明優越論」「文明衝突論」的影響下，海洋文明被貼上了先進、民主、開放的標籤，大陸文明則被視為落後、專制、封閉的「異類」，進而將「言必稱希臘」的西方文明定性為海洋文明，而將具有深厚農耕文化積澱的文明斥為大陸文明。這種論調投射到國際關係領域，就是哈佛大學教授格雷厄姆·艾利森提出的「修昔底德陷阱」概念，即機械地將歷史上陸權導向的斯巴達和威廉二世時代的德國分別與奉行「海權主義」的雅典和「日不落帝國」時期的英國對立起來，借「議古論今」推導出「大陸主義」的中國必將與「海洋主義」的美國發生衝突。「修昔底德陷阱」儘管在邏輯上並不夠嚴密，學理上也存在諸多謬誤，且自問世以來也遭到頗多質疑和批判，但在當下美國大肆渲染中美戰略競爭的背景下，這種偏執的說法在西方仍然大行其道。除了炒作所謂崛起國與霸權國的權力之爭外，「修昔底德陷阱」還刻意製造海陸二元對立，暗示兩種發展道路是「非此即彼」甚至「你死我活」的關係，最終還是旨在為確保「西方文明的勝利」搖旗吶喊。

有鑑於此，《世界海洋文明史》以批判精神推進教學，首先在概論部分闡釋海洋文明的相關概念，特別強調海洋文明與大陸文明並非高低優劣的二元對立，尤其是不能以片面地將海洋文明解讀為「古希臘式」或「西方式」的，即並非地理上的島國、半島型、瀕海型的「小國寡民式」國家才能發展出海洋文明，大陸型國家同樣具備面向海洋發展的需要和動力，並取得了不可忽視的成就。同時，著重指出海陸衝突只是文明發展過程中的部分現象而非絕對規律。海洋文明與大陸文明並非孤立和隔絕，而是有機互動的關係，共同推動了人類參與世界發展的歷程。

### （二）要辯證看待文明的民族性與共生性關係

文明的民族性與共生性關係涉及如何界定海洋文明的複雜問題。誠然，零星的、分散的海洋活動，如航海、捕魚、制鹽等，若不能在經濟和社會生活中佔據重要地位，這樣的文明形態不能稱為海洋文明，但海洋文明的形態並非只有「古希臘式」的。長期以來，在西方敘事的影響下，我們幾乎默認海洋文明就是農耕經濟不發達、依賴貿易和航運的「小國寡民式」的民族或國家，歷史上的迦太基、雅典、威尼斯等，乃至近代的葡萄牙、荷蘭、英國都是典型代表，而統一、龐大的中央帝國唯有靠農耕經濟支撐，因此熱衷於陸上擴張而非海上開拓。這種論斷雖有其道理，但若固化思維，則會片面地將「古希臘模式」視為海洋文明的唯一形態，從而忽視甚至排斥西方文化圈以外的海洋文明的多樣化表現形式。事實上，中國很早就孕育出了海洋文明，自春秋戰國至西漢，北方沿海的東夷族群和南方沿海的百越族群完全稱得上是「靠海而生」。只不過，在秦漢大一統王朝建立後，這些沿海地帶的海洋文明體被納入以農耕經濟為主的中原王朝版圖，由此奠定了中華文明經濟結構「陸主海從」的基本格局。即便如此，隨著經濟重心的持續南移，由唐入宋，南方海洋貿易日漸興盛。至明清之際，官方雖叫停鄭和下西洋並屢立海禁，但東南沿海的民間貿易、私人拓殖和海外遷徙一直不斷，並對日本、東南亞等地的風土人情、社會結構產生了深遠影響，彰顯了中華海洋文明的生命力。從這個角度來說，儒家文化圈也可被視為中華海洋文明圈。顯然，採用西方敘事的「古希臘模式」無法解釋大一統的中華文明雖以農業為基，但為何始終保持了對海洋的親近且建樹頗多，若僅以經濟占比、通過強調生產和生活方式的單一性或純粹性來否定中華海洋文明的存在顯然是片面的。更何況，中國自古就是多民族和諧共存、命運與共的統一體，東夷族群、百越族群等沿海地帶諸多「海上民族」同樣創造了燦爛的文明成就，成為中華民族對世界海洋文明發展做出卓越貢獻的有力證明。無論是在海上還是陸上，中華民族都取得了非凡的成就，單純以海洋文明或大陸文明來給中華文明定性都是以偏概全。

也正因為如此，《世界海洋文明史》雖冠以「世界」之名，但必須始終以中國的海洋發展大業為核心關切，



在教學中正本清源以糾正若干存在已久的觀念誤區：其一，不能因為近代中國屈辱的歷史、「列強從海上而來」就否定我們曾創造過輝煌的海洋文明，更不能斷言中華民族是保守、封閉、畏懼海洋的農耕民族；其二，中華海洋文明是原生型文明，具有開放性、和平性、陸海互動等特徵，不同於帶有鮮明「血與火」暴力征服和掠奪烙印的西方海洋文明；其三，以海上絲綢之路為例證，中華海洋文明與地中海世界、阿拉伯世界有著悠久的交往史，涵蓋商貿、人文等多個領域，特別是在造船、航海等方面有著積極的技術交流，同活躍在地中海和印度洋的諸多海洋文明體有著千絲萬縷的關係，充分體現了文明的共生性特點；其四，中華海洋文明在經歷了近代的頓挫後正在走向復興<sup>②</sup>，將借鑒、吸收包括西方成就在內的一切先進成果，但不能以西方海洋文明的標準、觀念、模式等來定義現代化，必須堅決反對「文化霸權」。

一言概之，儘管中華海洋文明是不同于西方海洋文明的「異質文明」，但在「軸心時代」，中華先賢與古希臘、古印度的哲人們同樣在思考包括人海關係在內的生命奧秘、宇宙本源等哲理問題，甚至得出了相近的答案，這便是文明共生的不謀而合之妙。

### （三）要辯證看待文明的先進性與落後性關係

文明之間不免存在比較，但在比較時要注意兼顧縱向比較和橫向比較。同時，在橫向比較時也要意識到，文明的先進性與落後性只是相對而言，更不能用停滯、固化的思維去看待文明的先進性和落後性，也不能因為一時的落後而否定某種文明內在的先進因數。

《世界海洋文明史》在比較各種類型海洋文明史時，注重長時段考察及比較物件的多元性。例如，對於葡萄牙和西班牙兩個地理大發現的先行者，我們一方面將其與同一時代的東方諸國做比，強調火器技術的差距是這一時期西方文明開始領先於東方文明的標誌。前者以葡萄牙和西班牙為代表，後者以奧斯曼帝國、印度諸邦和大明王朝為代表，代表性事件就是 1509 年的第烏海戰和 1571 的勒班陀海戰。就此而言，葡萄牙和西班牙對日漸衰朽的伊斯蘭諸國是先進文明。另一方面，我們也要認識到，葡萄牙和西班牙雖然從殖民地掠奪了大量金銀，但這些金銀未能成為助推兩國工商業發展的原始資本，而僅僅是為了滿足兩國宮廷和貴族的奢侈消費需要，並以各種形式流入荷蘭、英國、法國等後起國家之手，極大地刺激了後者海洋產業鏈的發展，確立起面向海洋發展的基本國策。無疑，同為西方海洋文明，相較於荷蘭、英國、法國等，葡萄牙和西班牙又是落後的。

除此之外，《世界海洋文明史》立足全球視野，深入闡釋不同地域、不同模式的海洋文明之間的衝突和交融，尤為重視梳理阿拉伯世界、印度、中國等非西方海洋文明的發展歷程，概括其特點及精神內核，並分析其自地理大發現和大航海時代開啟以來遭受西方衝擊的原因。儘管不同程度地被西方海洋文明打擊、蠶食甚至征服，但並不能就此斷定東方海洋文明本質上是落後於西方海洋文明的，更應將這種近代的挫敗理解為在物質、技術和生產方式層面的暫時落伍，我們對文明的先進性和落後性的理解還應從精神層面切入。以中國為例。明末清初，葡萄牙、西班牙、荷蘭、英國等國的航海家和殖民者開始與廣東、福建沿海等地有了接觸，但即便擁有相對先進的火器，這些裝備「堅船利炮」的殖民者在明末地方武裝的清剿下紛紛敗下陣來。不僅如此，以王直、鄭芝龍為代表的中國本土海商集團還成為西方殖民勢力的有力競爭者。西方殖民勢力可以征服印度、東南亞的諸多土邦，但不可能瓦解擁有深厚陸權基礎、海陸發展密不可分的中國。在 1840 年之後，我們也很快掀起了以學習西方為主題的洋務運動。這一切都充分體現出中華海洋文明具有強大的韌性和糾錯能力，這樣的文明哪怕暫時在物質和技術層面落後甚至挨打，但開放、包容、善於學習的精神特質決定了它終將浴火重生並煥然一新。



## 二、大學通識教育要宣導「家國情懷」

大學通識教育首要關注人的成長,但不能僅僅將實現個人價值作為終極目標,而是要在啟發學生哲理思辨的同時充分做到現實關照,既要聆聽「風聲雨聲讀書聲」,又要關心「家事國事天下事」,引導學生樹立將個人發展與國家和民族復興大業融為一體的遠大志向,進而追求個人命運與全人類幸福同頻共振的更高思想境界。《世界海洋文明史》雖以「讀史、品史、問史」為主,但始終強調要善於總結世界主要海洋強國在海洋發展道路上的經驗教訓,為中國建設海洋強國提供啟示。不僅如此,在全球化的今天,我們對海洋問題的思考要打破民族、國家、區域的鴻溝,以構建海洋命運共同體、共同推進全球海洋治理、實現人海和諧共生為最高理想。由此而言,通過以史為鑒、以他為鏡為中華海洋文明的全面復興鼓與呼,借由對千年來人海關係的反思來展望新時代世界海洋文明的發展方向,鼓勵學生聯繫自身實際、發揮專業優長制訂「向海搏擊」的方案,是《世界海洋文明史》的主旨追求。簡言之,《世界海洋文明史》在教學中始終洋溢著有高度、有深度、有溫度、有銳度的「家國情懷」。同時,教學以全球文明倡議為指導,有助於我們洞悉某些西方國家在國際政治中高舉所謂「價值觀外交」大旗的思想淵源,揭批其大肆鼓噪所謂「民主對抗威權」、維護所謂「基於規則的國際秩序」的虛偽本質。

### (一)「以史為鑒」首先要樹立大歷史觀

在地理大發現和大航海浪潮的衝擊下,真正意義上的世界史開始逐漸形成,以往主要是分散發展的各大文明體的交往顯著增多,彼此的聯繫、羈絆、糾葛日益加深。在這一過程中,西方世界全面崛起,而世界其他地區的傳統海洋文明體則漸趨衰落甚至消亡,按照西方模式建構的近代海洋文明似乎成為唯一先進的海洋文明,進而佔據了對海洋文明的機理、內涵、形式的唯一解釋權。本質上,這就是以「西方中心主義」或「歐洲中心主義」定義世界的一大表現。在長期的潛移默化影響下,我們似乎也默認了世界史是以西方文明為主線的外國史,即將中國排除在外。「以史為鑒」的大歷史觀就是要反對這種錯誤傾向,正如著名歷史學家吳于廑先生反復強調的,世界史不是中國以外的他國史或域外史,也不是各國歷史的簡單疊加,而是包括中國在內的整體世界的歷史<sup>③</sup>。推而廣之,世界海洋文明史也不是中國以外的以西方為中心的海洋文明史,而是包括中國在內的多種海洋文明孕育、繁衍、發展、交流、互動的歷史。在這個邏輯上,我們的「以史為鑒」之「史」既包括地中海世界、大西洋世界、阿拉伯世界等域外文明的海洋實踐經歷,又有中華民族自身的海洋經略歷程。對於西方文明,不僅要肯定其近代揚帆出海、探索未知新世界的勇氣,也要批判其暴力征服、殘暴掠奪的本性;對於中華文明,不僅要弘揚開拓絲路、溝通萬方的歷史榮光,也要反思中國自鄭和下西洋後總體上「閉關鎖國」「遷界禁海」帶來的慘痛後果。

當然,在全球文明倡議的理念指引下,我們在肯定歷史上的中華海洋文明圈成就的同時,也要謹慎對待「天下主義」和朝貢制度,尤其是在《世界海洋文明史》教學中對其僅做客觀描述和歷史評價,而避免過多聯繫現實將其推演開來,防止鼓吹所謂「中國文化威脅論」「中華帝國主義」的雜音沉渣泛起,以及周邊部分國家的過度聯想,強調今日中國建設海洋強國奉行的是平等、和平、合作等基本原則,攜手各國共建海洋命運共同體。

### (二)「以他為鏡」須警惕西方中心主義

「以他為鏡」中的「他」包括但不限於西方海洋文明,「鏡」則意味著不僅要學習、借鑒「他者」的成功經驗和有益做法,而且也要汲取、警惕其失敗教訓。歷史上,西方國家通過殖民征服和掠奪積累了大量原始資





本，為工業化創造了條件。儘管二戰後廣大殖民地陸續獲得獨立，但在全球化的今天，西方國家依然積極推行「新殖民主義」，憑藉其掌控的不合理的國際政治經濟秩序繼續剝削第三世界，這體現出其依然奉行舊式的「西方式現代化」方式，將「國強必霸」視為西方海洋文明走過的道路和必然的歷史規律，不相信中國可以走出和平發展的新路，更不承認中華海洋文明的和平性本質。

警惕西方中心主義還要做到堅持「四個自信」，其中就包括從「文化自信」高度對中華海洋文明的深厚積澱、韌性和生命力的自信。一方面，我們要承認近代我們確實落後了，尤其是很大程度上因為對海洋的疏遠和隔閡而造成了對世界大勢的昏聩不明，進而導致 1840 年之後被侵略、被掠奪、被奴役的屈辱歷史；但另一方面，我們也要注意不要過多用悲情敘事來描述近代中國屈辱的海洋史，要認清這段屈辱的歷史只是上千年中華海洋文明的短暫頓挫期，不能因此否定中華海洋文明的輝煌成就和特點，需要反思的是傳統發展模式帶來的體制惰性、思維慣性和創新意識衰退等，更多的是要汲取教訓、守正創新、面向未來。更重要的是，我們不能因為近代的落後挨打就預設「西方模式」是先進海洋文明的唯一模式，而是要去粗取精、去偽存真，批判地借鑒吸收其經驗，結合中華海洋文明的優良傳統和中國的現實國情，在新時代建設海洋強國的征途中走出一條適合中國的道路。

### （三）「向海搏擊」要緊跟國家重大關切

黨的十八大旗幟鮮明地提出了建設海洋強國的目標。建設海洋強國，首先就要堅決維護國家領土主權與海洋權益，全面提升國家海洋綜合實力。同時，作為一個負責任的全球大國、一個正處於復興之中的海洋大國，中國肩負著積極參與並推進全球海洋治理的重任。自 2013 年以來，我們先後提出了「21 世紀海上絲綢之路」「藍色夥伴關係」「海洋命運共同體」等一系列倡議，這些倡議可以視為我們打破西方話語霸權、發出中國聲音、貢獻中國智慧的「組合拳」。在錯綜複雜的國際形勢背景下，如何細化、落實上述「中國方案」需要社會各界群策群力。因此，《世界海洋文明史》並不停留在「說史」上，而是積極關注時政動態，強調緊跟國家重大關切、為國家海洋事業建言獻策。

在教學設計上，《世界海洋文明史》在專題研究的三個章節，分別闡釋了島國型大國、陸海複合型大國、陸地中心型大國海洋戰略的特點和影響，尤其重點分析了上述三種類型大國的海洋發展模式對中國的借鑒和啟示意義，並落腳到歷史和現實的國際政治中，解讀了相關代表性國家與中國在海洋地緣政治上的互動關係。例如，引導學生結合中國從封建王朝時期對抗北方遊牧民族到近現代的陸上威脅和邊界紛爭，以及法國謀求「天然疆域」和歐陸霸權的歷史，分析中國和法國同樣作為陸海複合型大國在海洋強國建設問題上的痛點和難點，進而得出陸海複合型大國制定海洋戰略需要走陸海統籌新路的結論。

在課堂展示和分組討論環節，我們專門用一次課由各位同學就「『一帶一路』背景下中國如何建設現代海洋強國」展示自己的所思所想，尤其鼓勵他們為中國的海洋強國建設提出可行路徑、設計有操作性的方案。期末考試或結課論文的選題雖每年都有所變化，但至少有一題是對現實問題的關照和思考，如「中美戰略競爭背景下的南海維權策略」等。如此一來，選修《世界海洋文明史》，志在「向海搏擊」的同學，就能不斷增強抵制「西方中心主義」侵蝕的意識，將個人旨趣與國家發展、民族振興和人類進步結合起來，實現從「小我」到「大我」的昇華。

## 三、大學通識教育要注重「中國敘事」

長期以來，西方敘事在海洋文明史敘事中佔據統領地位，目前日益暴露出其狹隘性、偏執性、片面性的缺陷，最突出的表現就是堅持以「文明中心論」「文明優越論」「文明衝突論」來解釋海洋文明體之間的關係。

在意識形態對抗、大國戰略競爭、地緣政治博弈回歸的今天，特別是在逆全球化現象愈演愈烈、冷戰思維捲土重來的情況下，西方敘事更加主動地充當宣傳和輿論戰的工具，並以濃厚的意識形態偏見，借助「借古諷今」的方式為現實政治服務，如前文所述的「修昔底德陷阱」之說。在這種背景下，全球文明倡議吹響了以中國敘事反擊西方敘事的號角，也警示我們在科研和教學中不能簡單地奉行拿來主義，要堅定教學理念的中國化原則。

### （一）堅持文明的平等性，反對「中心論」

「文明」產生於西方和近代早期特殊的歷史語境中，從一開始就帶有鮮明的歐洲中心主義色彩及種族優越感。「西方中心主義」本質上就是西方文明對非西方文明的歧視<sup>④</sup>。習近平總書記提出的全球文明倡議，呼籲共同宣導尊重世界文明多樣性、弘揚全人類共同價值、重視文明傳承和創新、加強國際人文交流合作<sup>⑤</sup>，首先要求我們必須堅持文明的平等性，反對一切形式的「中心論」，尤其是不能盲目地抬高本國、本民族的文明地位，斥責異域文明是低級、落後的文明。換言之，無論是近代中國固步自封的「華夷之辯」，還是近代西方傲慢的「文明戰勝野蠻」之說，都應予以批判。

今天的中國早已從昔日「天朝上國」的迷夢中清醒過來，並對近代因閉關鎖國而導致落後挨打的屈辱歷史進行了深刻的反思，進而揚棄了傳統觀念中不合時宜、因循守舊、僵化落後的部分，以更為寬廣的「世界大同」理念來重新認識自我及認識世界，尤其是認識到文明的偏見和歧視所帶來的巨大傷害，從而在全球文明倡議中高舉文明平等的大旗。相反，西方世界卻依然沉浸在「落日餘暉」中無法自拔。誠然，西方世界自地理大發現和大航海時代開啟後逐漸崛起，在數百年的時間裡創造了超越以往任何一個時代的物質和精神財富，特別是大大推動了人類海洋文明的進步，同時掌握了解釋世界的話語權，從而開始自我塑造起「西方中心論」。「西方中心論」最突出的特點，就是盲目相信西方模式是迄今為止人類最先進的發展模式，任何與之背道而馳的發展理論、價值觀等都是「異端」或「逆流」。隨著中國式現代化散發出的光芒愈加璀璨，「西方中心論」者在失落之餘開始愈加表現出恐慌，他們竭力對中國進行意識形態攻訐，拒絕「自我革命」，反復論證並強調西方文明的優越性，這實際上是一種極度不自信的表現。

### （二）堅持文明的多樣性，反對「模式論」

文明的多樣性提倡文明應是百花齊放、爭奇鬥豔、姹紫嫣紅的，而非單一、模式化的。堅持文明的多樣性，必須尊重不同文明的成就和創見。西方敘事中的所謂「普世價值」，本質上是將西方理念、西方標準奉為全球治理的唯一圭臬，試圖推動實現人類價值觀整齊劃一的西方化<sup>⑥</sup>。

反對「模式論」，還必須以發展的眼光看待文明。我們以《世界海洋文明史》教學中經常涉及的「海權」（sea power）概念為例。自馬漢提出「海權論」以來，關於海權的定義眾說紛紜，但無外乎將「power」解釋成「權力」或「實力」，進而認定海權描述的是一個國家對海洋的控制權，包括佔有和利用海洋資源的能力，以及阻止競爭對手或敵人利用海洋的能力。隨著科技和時代的進步，特別是二戰後大批亞非拉國家獲得獨立和解放，以新興民族國家身份出現在國際舞臺上並要求獲得對海洋事務的發言權，中國學者順應時代潮流，以中華海洋文明「和合文化」為思想淵源，創造性地發展了海權概念。在中國敘事體系中，「海權」之「權」不僅是「權力」（power），更是「權利」（right），即包括內陸國在內的世界各國根據《聯合國海洋法公約》平等利用海洋的權利，特別是分享作為全球公域（global commons）的公海資源的權利。儘管海權誕生於西方語境，但隨著國際海洋關係的擴展和複雜化，海權早已不是西方國家的專屬概念，它所依據的西方現實主義政治也暴露出諸多問題。中國學者對海權概念的創造和發展，更加契合和平、合作、共贏的時代呼聲，是對堅持以西方理念、西方模式解釋海洋關係的有力駁斥，更是對構建海洋命運共同體價值觀的弘揚。換言之，海權是



多樣的,至少「中國式海權」不是「馬漢式」的,而是厚植于中華海洋文明土壤之中的新型海權。同樣地,海洋文明也不只是「古希臘式」或「西方式」的,而是因地制宜、形態多樣、色彩紛呈的。

有鑑於此,《世界海洋文明史》在教學中,就反復強調不可「崇洋媚外」,也不可「借古諷今」,更不能「以西為貴」,自覺做到「尊卑有序」。體現在參考書目上,就是在英文文獻之外,增加中文、日文文獻的比例,並鼓勵有基礎、有條件的同學多閱讀法語、德語、西班牙語、阿拉伯語、越南語、馬來語等小語種文獻,以「原汁原味」地理解不同地區、國家和民族的海洋文明史。

### （三）堅持文明的包容性,反對「衝突論」

「衝擊—反應」模式長期被看作是近代以來東方和西方交往的主要模式,這就隱含了包括中國在內的民族國家「全盤西化」或「抵制西化」的衝突邏輯。一方面,我們必須堅決批判西方文明的「零和博弈」思維;另一方面,我們也不能以對抗或「反向凌駕」心態對待西方文明。換言之,在遭遇強勢的西方文明的衝擊和挑戰時,擁有深厚傳統文明基礎的民族國家應該如何以正確心態面對,就考驗傳統文明的包容性和韌性。「文明的衝突」雖然在歷史上客觀存在,但這種衝突從更廣的時空角度看,也是文明之間交往的特殊形式。相較於碰撞和衝突,文明之間更多是交流互鑒、融合共生的關係,「文明的衝突」並不是必然的。在比較中西文明時,我們要客觀看待兩者的優長,正視各自的不足,在辨析差異中更注重觀察彼此的互補和共生關係。包容性也意味著互鑒性,文明之間需要交流才能共同進步。「一種文明從舊平衡狀態邁向新平衡狀態的過程正是通過在以自己為主體的基礎上包容其他文明,將自身本土文化與外來文明因素有機整合而實現的」<sup>⑦</sup>。「四大發明」之一的羅盤傳入阿拉伯世界和歐洲,為地理大發現和大航海時代的開啟奠定了技術基礎。鄭和能七下西洋,也得益於年幼時在麥加朝聖旅途上向阿拉伯航海家學習了航海知識。正是不因差異而抵觸,不因短處而自卑,中國人、阿拉伯人、威尼斯人、熱那亞人、葡萄牙人、西班牙人等才創造了航海史上的諸多壯舉。

英語中的「civilization」原為由詞根「civil」,即「城市的」「公民的」衍化出的「開化的」「進步的」之意,是與「野蠻」相對的,表達出物質和精神形態的高下之別。以這一邏輯為主線,西方文明在發展過程中始終強調先進與落後、文明與野蠻、開化與愚昧的對立,漸漸形成了物質主義、理性主義、實用主義的特性,表現出強制性、片面性、暴力性的消極一面。相比之下,中華文化典籍和傳統敘事中的「文明」,強調因人而文,因人而明,因人有止而文明,因人之性、情、德而文明,一開始就有著照臨四方、協和天下的理想。換言之,我們的文明觀的內核就是以人為本、天下大同<sup>⑧</sup>。

《世界海洋文明史》的教學始終緊扣中西海洋文明的差異性做文章,通過比較鄭和下西洋和達·伽馬「發現」印度給當地人留下的觀感為切入口,分析出中華海洋文明珍視和平、崇尚和諧、強調秩序、注重禮儀的特質,並指出達·伽馬在印度和印度洋上的劫掠、欺騙、征服等行為折射出西方航海家在地理大發現和大航海時代的共同追求,即為了財富不惜使用「血與火」的暴力手段,由此推導出西方海洋文明從一開始就帶有鮮明的利己主義和強烈的優越感,試圖通過堅船利炮來實現所謂「文明對野蠻的征服和教化」。我們也強調,中西雖自明末以來就在中國沿海發生多次小規模衝突,但這既不是「天朝上國」對「蠻夷」的「雷霆之怒」,亦非「基督教世界」對「異教徒部落」的「聖戰」,更不是「海洋文明」對「大陸帝國」的「訓誡」,而是世界史形成時期各大洲文明交往的特定形式。即便是1840年以後的中國近代史,也更應該被理解為兩個世界、兩種發展模式的碰撞,中華海洋文明在這種碰撞中被動(如被迫開放通商口岸)或主動(如洋務運動)地汲取了西方海洋文明的先進養分、規避了其消極負面的主張,在消化吸收、因地制宜後為1949年後的中國海洋戰略貢獻了卓絕智慧,尤其在今天建設海洋強國的頂層設計中迸發出耀眼光芒。簡言之,中華海洋文明正視西方海洋文明的進取和高效,同時包容其缺陷和不足,不因近代的蒙塵和屈辱而否定自己並否定他人,堅決



抵制「文明衝突論」興風作浪。

## 四、結語

海洋文明史是理解全球文明倡議深邃內涵的絕佳案例，全球文明倡議是指導《世界海洋文明史》實踐通識教育理念、培育新時代英才的不二法寶。當今世界，自然災害、流行疾病、氣候變化、海上犯罪等海洋問題日益突出，它們已經成為全人類必須共同應對的挑戰，在推進全球海洋治理中打破地域、國家、觀念的藩籬勢所必然，這正是全球文明倡議的題中之義。同時，隨著數位時代的到來，人工智慧、物聯網、清潔能源等新技術的日臻成熟既解決了舊有問題，但也帶來了新挑戰，同時蘊含著改變海洋文明發展走向的潛能，這都需要我們站在全人類的高度去直面新課題，始終用發展的眼光審視新趨勢和新動能。事實上，無論哪種類型的通識教育，都要有宏大的視野和正確的文明觀，順應世界發展潮流，做到與時俱進。從這個意義上說，全球文明倡議在世界觀和方法論上為通識教育的改革創新提供了豐富的思想工具。

## 注釋

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## [Interdisciplinary Studies]

# Control and Management of Smart Buildings in Smart Cities

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**Abstract:** This study examines key performance indicators in smart buildings for smart cities, focusing on construction site ad-hoc networks and personnel location systems. We evaluate the outdoor base station transmission distance, building wall penetration, base station network formation, channel reception quality, and communication speed. These metrics are crucial for assessing the smart city infrastructure's reliability, security, and efficiency. Our detailed analysis aims to optimize smart building control and management systems in smart cities, ensuring stability and reliability. Additionally, we investigate the system's adaptability and flexibility in various environments to promote smart building technology innovation and application, furthering smart cities' sustainable development.

**Keywords:** smart city; smart building; construction site ad-hoc networking; personnel positioning system; performance testing

## 1. Introduction

Smart cities, as a new model of urban development, aim to integrate advanced information and communication technologies to enhance urban management and quality of life. Among them, intelligent buildings, as a critical component of smart cities, have control and management systems whose stability and performance are directly tied to the advancement of urban intelligence.

## 2. Detection Items and Methods

### 2.1 Outdoor base station transmission distance testing

In this study, a system was deployed at specific locations, and the transmission distance of outdoor base stations was thoroughly tested using LoRa wireless transmission technology. This was done to ensure that the



system could maintain stable and reliable data transmission in complex urban environments. LoRa (Low Power Wide Area Network), as a long-range, low-power communication technology, provides extensive communication coverage for smart city infrastructure, making it widely adopted in practical applications.

To verify the transmission performance of the system in urban environments, we selected representative test locations, such as the Baiyun Investment Building and other urban landmarks. These locations typically encompass various physical obstacles and sources of interference found in cities, imposing higher demands on the system's transmission performance. By conducting system tests at these sites, we were able to more comprehensively evaluate the system's performance in real urban environments.

#### **2.1.1 Test description**

**Equipment Deployment:** A base station (Base Station ID: 4) was assigned and deployed on the balcony of the 9th floor of the Baiyun Investment Building, located on Guangyun Road, Baiyun District, Guangzhou. Additionally, one locator card (Locator Card ID: 1026) and one beacon (Beacon ID: 17887) were selected. The aforementioned base station, locator card, and beacon were then bound to the "South China Headquarters Base Project" test on the Kuoyu System platform.

#### **2.1.2 Coverage transmission test**

Two locations more than 1 km away from the base station were selected for the test:

- Location A: Detian Center, 406 Guangyun Road, Baiyun District, Guangzhou (1.1 km from the base station).
- Location B: Near Yunju Center, 2 Kangwei Road, Baiyun District, Guangzhou (1.3 km from the base station).

At Location A, a beacon was placed, and the test personnel carried the locator card, gradually approaching the beacon from a distance of 30 meters and then moving away from it. During this process, the Kuoyu System platform was monitored to check whether the platform recorded the positioning data. This operation was repeated 30 times.

The positioning success rate was calculated using the formula:

Positioning Success Rate = (Number of positioning records on the platform / Number of attempts to approach the beacon)  $\times$  100%.

At Location B, a similar test was conducted: a beacon was placed, and the test personnel carried the locator card, gradually approaching the beacon from a distance of 30 meters and then moving away from it. This operation was also repeated 30 times, with the Kuoyu System platform monitored for recorded positioning data.

The same formula was used to calculate the positioning success rate.

#### **2.1.3 Test conclusion**

**Coverage Transmission:** The outdoor base station transmission distance supports stable transmission of no less than 1,000 meters.

### **2.2 Building wall penetration testing**

In this study, a specific method for testing building wall penetration was employed, with the wall thickness set at 120mm per wall, to thoroughly investigate the system's communication penetration performance in multi-story building environments. This test was conducted through practical application in multi-story buildings,



aiming to comprehensively evaluate the system's communication capability in real and diverse building structures.

Experimental data showed that the system, using the 120mm-per-wall penetration testing method, exhibited excellent performance, effectively addressing the communication challenges posed by multi-story building environments. Specifically, in tests conducted between different floors, the system demonstrated strong penetration capabilities, successfully achieving stable and reliable communication through walls. For example, in the multi-story building environment of the Baiyun Investment Building, the system successfully penetrated walls with a thickness of 120mm per wall, enabling effective communication between floors.

### **2.2.1 Test description**

**Equipment Deployment:** A base station (Base Station ID: 3) was deployed at the center of the 1st floor of the Baiyun Investment Building. One locator card and one beacon were selected, and the base station, locator card, and beacon were bound to the "South China Headquarters Base Project" test on the Kuoyu System platform.

**Penetration Test:** A beacon was placed at the center of the 5th floor. The floor slab thickness exceeded 120mm per wall.

Test personnel carried a locator card while walking around on the 5th floor, gradually approaching and moving away from the beacon. During this process, the Kuoyu System platform was monitored to check whether the positioning data was recorded. The same test was repeated on the 6th, 7th, 8th, and 9th floors.

The positioning success rate was calculated using the formula:

Positioning Success Rate = (Number of positioning records on the platform / Number of attempts to approach the beacon)  $\times$  100%.

### **2.2.2 Test conclusion**

**Penetration Performance:** For building walls with a thickness of over 120mm per wall, the system demonstrated penetration capability through no fewer than four walls.

## **2.3 Three-sided composite positioning algorithm**

The multi-dimensional collaborative self-correction positioning algorithm is applied to scenarios involving wireless ad hoc network transmission. Its goal is to improve the accuracy of the positioning algorithm by performing multi-dimensional collaborative self-correction on spatial and temporal gap weight values. This algorithm incorporates on-site broadcasting beacons, locator cards, and project base stations to collect raw field data, which is processed via wireless ad hoc network data access. By integrating signal strength probability distribution and directional angle clustering algorithms, the algorithm achieves precise positioning of raw data in both planar and three-dimensional spaces.

In terms of data fusion, the algorithm merges multi-source data across spatial and temporal dimensions for a more comprehensive description of the target's location. Combining experience parameters from construction site scenarios, multiple rounds of iterative data calculations are conducted to ultimately determine the three-dimensional spatial coordinates of personnel. During this process, the three-sided composite positioning algorithm is utilized for 3D positioning. By leveraging the distance information from three known reference points, the algorithm achieves high accuracy and stability in positioning.

On the other hand, the intelligent positioning algorithm based on RSSI (Received Signal Strength Indicator)

probability distribution is used for planar positioning correction. By modeling the probability distribution of received signal strength and integrating data from on-site broadcasting beacons, locator cards, and project base stations, this algorithm eliminates interference in the planar space, improving positioning accuracy. This approach has significant advantages in non-ideal scenarios, such as indoor environments.

### **2.3.1 Experimental results and analysis**

Through a series of comprehensive performance tests, the system demonstrated outstanding performance across various metrics. Specifically, the system met the requirements set by the client in terms of outdoor transmission distance, building penetration, base station aggregation, reception channels, and communication rate, exhibiting excellent stability and reliability.

First, in the outdoor transmission distance tests, the system successfully achieved stable transmission in urban environments by utilizing LoRa wireless transmission technology. For example, in the coverage transmission tests, the system showcased exceptional performance, ensuring an outdoor transmission distance of no less than 1,000 meters, thus providing a reliable communication foundation for applications in open environments.

Second, in the building penetration tests, the system employed a 120mm per wall penetration test method to verify communication penetration in multi-story buildings through field testing. For instance, the system achieved penetration through no fewer than four building walls during tests in multi-story building environments, providing strong support for communication reliability in densely built urban areas.

In the base station aggregation tests, the system used the Kuoyu System platform to determine the number of aggregated base stations it could support. Results showed that the system successfully supported the aggregation of 10 base stations, demonstrating its scalability for wide-area applications.

Finally, in the communication rate tests, the system achieved the required communication rate by configuring the LoRa module's spreading factor and bandwidth parameters. For example, by adjusting the spreading factor and other parameters, the system ensured a communication rate of no less than 5kbps, even in complex urban environments, providing reliable data transmission for practical applications.

## **3. Conclusion and Future Outlook**

This study conducted a comprehensive performance evaluation of the construction site's self-organizing network and personnel positioning system, providing empirical support for the control and management of smart buildings in smart cities. Future research can further expand the exploration of smart city infrastructure, enhance the intelligence level of the system, and provide more scientific evidence for sustainable urban development.

## **4. Acknowledgments**

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# Huddles on the Path of Removing the Kashmiris from the Indo-Pak's Harrowed Chess Board

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**Abstract:** The fragile truce between India and Pakistan appears unable to reinstate sustainable diplomatic ties in spite of the February 24–25, 2024 ceasefire that encompassed the duo's security forces along their United Nations' Line of Control Fort. This inability of the two nuclear powers of South Asia to redefine their perpetual hold on the region makes life unbearable to the Kashmiris now being tossed around on the 'Indo-Pak's harrowed chessboard'. The study examines the current state of affairs in the region with respect to Indo-Pak's perpetual hold on the territories and reviews efforts made by various stakeholders at ending the dispute. Drawn on secondary data, the study reveals that based on the trajectory of events since 1947, the Kashmir dispute cannot be easily resolved unless the differences between India and Pakistan are first settled. Every effort designated to resolve disputes over the region henceforth should carry the local people in the disputed territory along.

**Keywords:** Ceasefire; Democratic dividends; India-Pakistan conflict; Kashmir region; South Asia; United Nations' Line of Control

**Notes on the contributors:** Oluwole Gabriel ADEKOLA had over a decade of experience in media research and political communication before joining academia. He currently teaches international relations and security issues with an emphasis on Asia in World Politics. His current research interest is on Afro-Asian States' Developmental Issues, Diaspora Affairs and Counter-terrorism. Stephen Ademola FALETI is a Senior Research Fellow and Lecturer at the Department of Peace, Security and Humanitarian Studies, University of Ibadan, Ibadan, Nigeria. He holds a degree in International Relations, Political Science, Peace and Conflict Studies.

## 1. Introduction

Kashmir is a disputed region whose sovereignty is contested by India and Pakistan. This dispute since 1947 has posed the threat of conventional war in the South Asia region (Ganguly, 2011; Akbar, 1991). This is due to the fact that neither India nor Pakistan has seen any obligatory reason to withdraw from Kashmir and grant its





independence. Continued fighting ensued until the United Nations intervened to negotiate a ceasefire, whereby the region was divided by a line of control (LOC) (Mclean and McMillan, 2003: 290). Due to one reason or the other, each of the duo continues to lay claims on the territory, which in reality is the reflection of their long-standing suspicion since the partition of British India. India's premise is that Kashmir was once part of British India, and the Document of Accession signed by Maharaja Hari Singh has made Kashmir part of its territory. Pakistan on the other side maintains that being a Muslim majority State (Two Nations Theory), Kashmir belongs to Pakistan. India was successful in annexing other Princely territories (Hyderabad, Jamagnah and Jodhpur) that made the decision to retain their independence status as Kashmir did in the period, perhaps due to the fact that they are Hindu majority population. Despite the attempts made by their Leaders who are Muslims to cede the territories to Pakistan, India eventually annexed them. On this ground, Pakistan had expected Kashmir to accede to it. Having known that the Kashmir Leader is a Hindu, Pakistan made several attempts to forcefully annex Kashmir. Its futility seems to have nullified the possibility of Kashmir becoming a territorial extension of the Islamic State of Pakistan.

Another war between India and Pakistan over Kashmir broke out in 1965, and there have been intermittent military flare-ups since the 1990s. Since the period of the initial invasion in 1947 and subsequent India's counterattack, Kashmir has been a disputed territory and an object of proxy war between India and Pakistan. In this circumstance, the people of Kashmir started to agitate for the restoration of their independence status. They want an end to India's arbitrary rule and Pakistan's terrorist attacks that are especially directed towards the Indian government and Non-Muslim Kashmiris.

Several attempts have been made by authors, analysts, international bodies, research institutes, and other educational institutions to resolve the Kashmir conflict. This study stands to look through these strategies in relation to their viability and challenges in order to devise a way of resolving the dispute so that good governance can take its proper roots in the Kashmir region. The United Nations since the inception of the dispute, passed several resolutions that have the content of the simultaneous withdrawal of Pakistan and Indian troops from the territory and subsequent conduct of a plebiscite (referendum) to ascertain the wish of the Kashmir People. Both of them refused to heed the dictate of the mandate and the United Nations did nothing to enforce the same. They seem to see more of India and Pakistan's interests than the wills of the Kashmir people. The Northern Ireland Model can best be applicable to the Kashmir dispute but has the challenge of its being only intra-territorial conflict (Nationalists and Unionists); no external factor was present as it was in the context of Kashmir dispute (...). The United Nations Trusteeship cannot be applicable in the context of Kashmir because the territory is not in the context of Northern Ireland's territory redeemed from defeated powers in war situations. But out of all these, one fact is detected. The Kashmir dispute has been intractable due to the involvement of India and Pakistan, which has been the reflection of their long-standing territorial dispute that snowballed into ethno-religious rivalry. Even though the region of Kashmir and Princely Jammu is predominantly Muslim, it has its significant areas populated by Buddhists and Hindus. In the face of hardening religious identities, set against a back-drop of a destabilising and militarising skirmishes in Afghanistan, and the inherent value for both India and Pakistan being a key strategic location, the prospects for conflict resolution seem remote. The fact that both India and Pakistan now have nuclear capability makes such a source of tension potentially disastrous.

## 2. Several Attempts at Resolving the Conflict

Various forms of strategies have been proposed and mechanised in resolving the Kashmir dispute since its emergence in 1947. But this dispute has denied these efforts, and this has made it a contracted war, which left the region vulnerable to global war. Different analysts have attested to the fact that the war over Kashmir by India and Pakistan has been a reflection of longstanding suspicion between them since the creation of a Muslim national State from British India. In this section, the analysis of these strategies is presented, the ones proposed, and the ones actually used, their failures and their success.

### 2.1 *The United Nations Plebiscites*

The first dispute over Kashmir in 1947 brought about the cease-fire agreement of 1949. This agreement was in attestation to the Line of Control (LOC) by India and Pakistan imposed by the United Nations as an urgent measure to contain the 1947 – 1948 insurgencies. Through this agreement, both parties agreed to occupy the territory along the LOC; this led to the bifurcation of Kashmir's territory.

The war became internationalised by the action taken by India to report the insurgency to the United Nations before the mobilisation of its troops to the region as a counter-insurgency to Pakistan violent attempt to annex Kashmir. The war was then conceived by the United Nations as a threat to global peace. Several actions were taken to investigate the dispute. The Security Council in this context issued several resolutions and monitoring agencies were organized: United Nations Observer Groups for India and Pakistan (UNOGIP) and the United Nations Commission for India and Pakistan (UNCIP).

After the violence was contained in late 1948, the United Nations proposed the conduct of a Plebiscite (Referendum) in order to ascertain the will and wish of the Kashmir people. Before this could be effectively carried out, the United Nations suggested demilitarisation of the region. This proposal was interpreted differently, and India saw the proposal as a mandate for Pakistan to withdraw its troops first, then the plebiscite would be conducted, but Pakistan on the other side interpreted the proposal as simultaneous demilitarisation of the territory by both parties. In this, both parties refuse to withdraw their troops. This was the situation in the region when the Plebiscite was continuously agitated for.

Pakistan was of less conviction that the plebiscite would be impartial due to reasons that India presented the war as a war to prevent the disintegration of its territory to the world government. With this, it is believed that India would have more support from the international community. So also, was India's refusal to withdraw its troops from where it occupied 70 percent of the disputed territory, through which it has more influence on the people in the conduct of the plebiscite. India on the other side is suspicious that the withdrawal of its troops and subsequent conduct of the plebiscite could result in Kashmir eventual accession to Pakistan. Owen Dixon, an Austrian Jurist appointed as a mediator in the region by the United Nations, further suggested that, if both parties do not trust the fairness of the plebiscite, there should be a coalition government of both parties to be administered by a neutral person who will be a United Nations representative. But this was rejected by both parties (Brecher, 1953).

### 2.2 *Independence of the State of Kashmir (Self-Determination)*

The principle of self-determination has been conceived as a legal right of every nation. Lenin in 1917,



defined it as “political self-determination, that is, the right to secede and form an independent state” (Sehgal, 2011: 6). In this context, self-determination is seen as a viable and practical technique for the dispute to be resolved. And most Kashmir believed in it, and their hopes were further raised by Article 370 of the 1950 India-Kashmir Accord. The provision of this accord gave special autonomous status to India-occupied Kashmir (Ladakh and Kashmir valley); Pakistan also left Azad Kashmir as an entity to be governed in freedom. So also, there were subsequent promises to conduct a plebiscite under the auspice of the United Nations to ascertain the will of the people. But several analyses have been made on the self-determination of the Kashmir region. Some perceive that Kashmir might not be able to survive economically, and eventually, it might place its reliance on either or both parties. More so, the parties to the Kashmir dispute are religious extremists, and wars involving religious sentiments are always complicated. More to this is that Kashmir’s geographical location is strategic to both India and Pakistan. The Independence of Kashmir can therefore be a base location for launching an attack in reciprocity; therefore, Kashmir, as it is being occupied by both parties, constitutes a safety zone, and withdrawal therefrom the duo could posit porosity and vulnerability to their individual frontiers (Vora, 31<sup>st</sup> July, 2023).

To Kashmir, the fight for independence is being challenged by the incorporation of the liberation movement with Islamic radicalism, especially in the early 1980s as Kashmir nationalists (JKLF) were agitating. Hizbul Mujaidin and other Islamic groups gain prominence during this period. They are conceived to have their source from Pakistan, where “Orthodox Islam” sentiment (Jihad) originated from, which directs the course of self-determination towards terrorism. Indian forces are being attacked, so also are Hindu and other minor religious groups in Kashmir. This posits confusion for Kashmir nationalists. Pakistan, ever since 1947, has never conceded Kashmir as an Independent State because of its Muslim majority. To Pakistan, Kashmir belongs to the Muslim Nation.

Another suggestion was made by the research conducted by Rashmi Sehgal (2011), which stated that Jammu and Ladakh should remain occupied by India. At the same time, Azad Kashmir should remain occupied by Pakistan while Kashmir Valley retains its independence status. This suggestion is practicable only if Jammu and Ladakh are majorly occupied by Hindus and the region is being demilitarised. Kashmir to India cannot be left alone because it shares its frontier with Pakistan, and it possesses most of the tourist and economic values of Kashmir territory. But the viability of this suggestion has been limited by the fact that people in India-occupied Kashmir are experiencing high level of human right violation to the extent of been deprived the right to their religion (especially the Muslims).

### ***2.3 United Nations Trusteeship***

The United Nations Trusteeship is one of the techniques for resolving territorial disputes inherited by the United Nations from the defunct League of Nations. The League of Nations adopted this strategy in the settlement of victors over the defeated powers after the First World War. And it was entrenched in the Covenant of The League, the expediency of respect for the territorial integrity of every Nation and State. In this, the former colonies of the defeated powers are not to be under any other State but rather to be administered by the mandate of the Covenant of The League. The mandate was replaced by the United Nations Trusteeship. According to Article 76 of Chapter XII of the United Nations Charter, United Nations Trusteeship has the objective to:

Promote the political, economic, social and educational advancement of the inhabitants of the Trust territories and their progressive development towards self-government or independence as the case may be appropriate to the particular circumstance of each territory and its people (Fahmida Ashraf 2004)

But this is applicable to states that do not have a government of their own (Sheikh Showkat 2009). The direct administration of the territory by the United Nations must be geared towards the self-determination of the people of the territory.

In the context of the Kashmir dispute, India and Pakistan hold on to Kashmir in reference to the 1947 partition plan of British India. This has been respectively based on ethnic and religious claims. But in the case where such a non-self-governing territory is not recovered as a colony, or where the defeated power, as it has been for Kashmir, involves India and Pakistan, then is it necessary to place it willingly under the Trusteeship of the United Nations? This technique, therefore, places more decisive power in hands of India and Pakistan in resolving Kashmir dispute. Under this technique, it poses an enormous threat to any possibility of resolving the dispute.

#### ***2.4 Efforts of the George W. H. Bush administration in resolving the Kashmir conflict***

The Kashmir dispute was internationalised in 1948 due to action taken by India in reporting the insurgency to the United Nations. This attracted the United States' involvement in the dispute, which basically involved the mandate for the simultaneous withdrawal of every military force of both Pakistan and India in the territory and to subsequently conduct a Plebiscite in order to establish the will of the people. The United States' role was also manifested in the effort of the UN commission to impose a ceasefire line, which eventually became Line of Control. United States' activities under the auspice of the United Nations during this period were plain and impartial. It considered the South Asia region as Britain's area of influence, and none of its interests was at stake in the region.

The Kashmir nationalists' agitation for freedom at the extreme height of the discourse was witnessed by the administration of President George W. Bush in 1989. This revived the United States' long-abandoned intervention in the region, but US intervention in the region was not as intensified as it was in the 1950s and 1960s during the period of Cold War rivalry. The main objective of its involvement during this period was to achieve a peaceful, round-table settlement of the dispute, taking into consideration the wishes of the Kashmir people. But as violations of human rights became prominent, especially by Indian military forces and various insurgency activities of Pakistan, coupled with the possession of nuclear weapons by India and Pakistan, the George Bush administration then resorted to managing the dispute. This was due to its perception that every attempt to change the status of India and Pakistan in Kashmir could only escalate the war. He started by sending his Secretary of State and other representatives to the region to ensure a safe and viable environment for dialogue.

During this period, George Bush expressed his enthusiasm for becoming fully involved in resolving the Kashmir dispute, but his involvement was contingent on whether the parties to the conflict (India, Pakistan, and the representatives of Kashmir) showed their willingness for further external intervention. But India despised any further involvement of the United States in the region since the action taken in 1948 to involve the world government in the issue deprived India of full access to Kashmir. And till today, India continues to claim historical and legal rights to the whole of Kashmir Territory.



Pakistan on the other side has always called for the United States' intervention due to the conviction that every decision made through this means, which will always be in self-determination of the people of Kashmir, will eventually be to its advantage. Kashmir people in this condition are agitating for every form of intervention that will restore the territory's status as a sovereign state.

What is noticed from this role is that the United States has none of its interest at stake in the region as it was in the period of the Cold War and the period after the terrorist attack on the World Trade Centre (September 2001). During the Cold War era, India posed the threat of a power influence (population, culture, ideology and politics) in the South Asia sub-region due to its pursuit of non-alignment policy in mid mid-1950s. The United States saw India as the vacuum that the Soviet Union could fill in expanding socialism in the region. This was further reflected in how the United States supplied troops to India and Pakistan during the second Kashmir war in 1965, even though Pakistan has been a member of military organisations (CEATO and SEATO) the United States established in the region in the containment of Socialism.

The terrorist attack on the World Trade Centre in 2001 directed the United States' policy towards the eradication of terrorism in the world system. Pakistan, in those periods, was reputed to have been supporting the Taliban and Al-Qaeda radical Islamic groups in Afghanistan, where Osama Bin Laden was being supplied with food, finance, arms and logistics. This is also coupled with terrorist attacks in New Delhi, Mumbai and Srinagar in 2001. The United States saw Pakistan as a threat to world peace and, at the same time, as a means to get hold of those who masterminded the 9/11 terrorist attack. In this, Pakistan felt more pressurised and was apprehensive her relationship with the United States and her interest in Kashmir might be jeopardised. Periods after this, there was a decline in the Kashmir insurgency and the conventional war threat was eradicated.

### **3. Current Situation in Kashmir**

#### ***3.1 Issues of Autonomy or Self-Determination***

Currently, in Kashmir, agitations for self-rule are being differently interpreted in the consciousness of Kashmir people; to some, autonomy means independence of the whole of Kashmir; to some, it implies independence from India or Pakistan, while others see it as a means of looking towards the time when there won't be rebels, assassination, illegal detention, custodial killings, protests and other forms of insurgency in Kashmir. Autonomy to many others is the restoration of their civil rights, dignity and respect. But all the same, what culminates in the consciousness of every Kashmir people is freedom from every foreign and external rule. Based on this diverse understanding, the Kashmir people do not know what they want in uniformity of purpose, and this therefore constitutes a threat of intra-societal dispute in Kashmir.

For more than six decades, the issue of self-determination of Kashmir has been in a stalemate. This implies that the independence of Kashmir has not been accepted by the parties who hold on to the territory (India, Pakistan and China, who since independence have been holding on to Aksai Chin). Without a joint compromise between these custodians, Kashmir's vision of independence is a blurred issue. According to Ali Shah Geelani (2010), the United Nations contributed to this due to their erstwhile resolutions, which never allowed the people of Kashmir to individually make the decision of who they are to follow and that will practically help them in fulfilling the choice. Here, Shah Geelani advocates for individual autonomy of the people of Kashmir, with no



consideration for the independence of “Kashmiriyat” — the common ethos, culture, and belonging as a nation and homeland of Kashmir. This is what Kashmir wants. He further suggested that any dialogue on the status of Kashmir autonomy must include these people because every stand on independence should be in the prerogative power of the people involved.

Since 1996, several efforts have been made by the Kashmir State government to achieve independence for the state of Kashmir. The Government led by the National Conference party established “State Autonomy Committee and the Regional Autonomy Committee” to examine the issue of autonomy. The Committee on State Autonomy concentrated on the relationship between the Central government (India) and the Jammu and Kashmir government, while the latter concentrated on examining the viability of autonomy for Kashmir basic regions (Jammu, Kashmir and Ladakh). The recommendations made by the former was that the autonomous status granted to Kashmir in 1950 through Article 370 of the Indian constitution would be viable save for the temporal conditions of it that needed to be eliminated. The central government rejected the recommendation on the pretext of enhancing the natural process of harmonising the aspirations of the people of Jammu and Kashmir with the integrity of their nation.

In this, India is saying that the autonomy of the state of Kashmir might eventually result to the alienation of the people from the ethos and traditional beliefs that bind them together. India perceived that the resolution of the committee might lead to the establishment of the State of Assembly of Kashmir, which would be constitutionally autonomous from India’s Central governments, if accepted. The findings of the Regional Autonomy Committee recommended that Jammu and Kashmir should be divided into 8 provinces; each of these provinces should have an “elected provincial council” with frontiers ethnically segregated (Amarjeet Singh, 2011). But this is perceived to pose a threat to Kashmir’s democratic vision and might eventually result to the disintegration of Kashmir.

In 2010, the Congress-led government (Central government) made provision to restore autonomy to Kashmir due to continual public protest, but the Bharaja Janata Party (a political party in India) suggested that autonomy to Kashmir people might prompt other states under the centralised Indian government to demand the same. This, therefore, can pose the threat of balkanisation of the Indian territory. People Democratic Party (an opposition party) further suggested that what Kashmir people want is not necessarily the autonomy of the territory, but the integration of India India-occupied part of Kashmir with the occupied part coupled with integration in the economic, communication, transportation, tourism, education and commerce. In this context, government would only be structured as a cross-border regional council of greater Jammu and Kashmir as a substitute for the State of Assembly of Kashmir (Naseer, 2008). This suggestion here is tantamount to proposing a semi-sovereign status of Kashmir, which does not eliminate India’s continual influence. The suggestion only feigns independence for Kashmir but, deep to it, is only to make the people agitate for the withdrawal of Pakistan from the region and subsequently embrace the proposal and if the proposal is accepted, India, under this pretext, would continue to rule Kashmir, but this time, as a whole. All the suggestions given by Pakistan on self-determination of Kashmir have been obviously positive. This is perhaps due to the reason that it will increase its influence in the region because of Kashmir’s major population’s common Islamic orientation, which would subsequently increase their interest to be part of Pakistan.

### ***3.2 Issues of Kashmir Pandits***

Kanhmir Pandits are Hindus in Kashmir whose majority live in Kashmir valley. They constitute the second



majority of the Kashmir population. They speak Kashmiri and Hinduism is their religion. They are being discussed here because of the high level of their displacement from the territory since the emergence of the Kashmir dispute, and none of the parties to the dispute agitate for them, even India, a Hindu majority state that is expected to care in compares to how Pakistan is agitating for the rights of the Muslims in Kashmir. All the same, some organisations coexisted for this purpose; All India Kashmir Sinanj (SIKS), and All India Kashmir Pandits Conference. All these organisations have been helping in the reconstruction of the buildings and restoration of the rights of Kashmir Pandits.

The displacement was prominent during the insurgency in 1990. All the violent activities of the Muslim Liberation movements were obviously towards the Indian government and the Hindus. This was evident in the 1998 Kashmir Pandits' massacre in a village called Wandhama; children, men and women were all killed, and so were their houses and temples destroyed ( *The India Express*, 2000). The investigation revealed that the massacre was a terrorist attack by Hizbul Mujahideen, and nothing was done to bring the insurgents to judgment. In this, relatively one hundred thousand out of one hundred and forty thousand Pandits left their home, thereby settling across borders in refugee camps and other Hindu majority areas.

Nonetheless, several efforts were made to return them. For instance, the government of Manmohan Singh in 2008 established a special agenda that was economically oriented for the facilitation of the return of the Hindus. Employment opportunities were specially made available for the returning Pandit youths, financial support, reconstruction of their houses and compensation for the lost properties. But what is more challenging currently is that huge numbers of Kashmir Pandits have refused to go back to their homes. Many of them who were interviewed by the press retorted that for many decades, they have left Kashmir and have had more than two generations of theirs grow outside their homeland. K. L. Manalder, who has a son, showed interest in going back home if the Government is truly making the amenities available, but the son, who has gotten married, refuses to return. So also, Ridmu Kaul, a Hindu displaced to New Delhi, has gotten married and has a job. She said she had never thought of going back to Kashmir. The Hindus at home are agitating for their return so as to consolidate their right in all the decisions being made concerning the present status of Kashmir (Power, 2005).

### ***3.3 The Issue of Terrorism and Insurgency***

The insurgency in Kashmir has been internally oriented, and it has been between the various separatists, extremists, unionists, liberationists groups and India's repressive government in Kashmir. Since 2002, this has been more prominent than the erstwhile conflict between India and Pakistan. The basic reason for the insurgency has been the Indian autocratic administration of the territory and the resistance of the government by the Kashmir people. India uses force to quell the protestant activities while Pakistan supports Kashmir's insurgents against India. This invariably presents an opportunity on the doorstep of Pakistan to attack India.

In the periods after 2004, Pakistan's support for the insurgency in Kashmir has considerably reduced, in a way might be due to various initiatives for peace talk between India and Pakistan and also due to Pakistan's campaign alongside the United States against terrorism after the 9/11 terrorist attack, and its subsequent anti-terrorist policy in the region. But this is relative because terrorist attack still continues in the region but only at a lower rate. Terrorist activities in Kashmir territory were reduced by 17% in 2006 as compared to 2005. There were terrorist activities during this period and this pace has continued to date. What seems obvious is that Pakistan initially sponsored the infiltration of the terrorists in Kashmir territory but now that there is somewhat of a

paradigm shift from the policy, the terrorists sponsored therefore resume their normal violent activities in the region. This is manifested in terrorist attacks on tourists, tourist centres, rallies, national ceremonies, markets and other strategic places.

Another reason for insurgency in Kashmir has been due to various forms of human rights abuses in the region. Every issue on human rights abuses in Kashmir has always been from India armed forces. This is done through excessive power granted to them by the central government (Indian government). Through this, they curtail civil liberty; they engage in arbitrary searching of premises and in the process loot properties and rape women and girls at gun points, indiscriminate detention, extra-judicial killing, etc. (Amnesty International, 2013).

The denial of people's political rights in Kashmir has contributed more to the cause of insurgency in the region. Ever since the invasion of Kashmir in 1947 by India and Pakistan, the people have never had a say in their political system, and this still exists today. Elections that people always hope could bring an avenue for the expression of their civil rights are always rigged. This is reflected in the April 2014 elections in which people were called to vote, but they believe it will always turn out to be nothing but deception and rigging. The low turnout was also recorded due to the presence of insurgents who do not want Indian military presence in polling stations; subsequently on April 24, two soldiers and three insurgents were reported killed in the exchange for gunfire in Manloo village in Kashmir. These incidents still pose a threat to the resolution of the Kashmir conflict, especially in encouraging people to express their opinions and their civil rights. This situation in Kashmir has hindered democracy from thriving and, as such, deprived the Kashmiris of the opportunity of enjoying the dividends of democracy.

#### **4. Alternative Solution to the Kashmir Dispute**

When considering the need to resolve a dispute, there will always be the need to take into consideration the past strategies used in resolving the conflict, the failures of the strategies and past experiences in resolving the conflict, and then the new strategies would be employed. In the case of the Kashmir dispute, one of the factors that require being taken into cognisance is the "dispute management processes," which establishes the concept of participation, the need for responsiveness of all the parties involved to all the procedures devised to resolve the conflict (Folberg and Taylor 1998). More to this process is that the relationship between and among the parties must be well preserved because peace attained forcefully does not last, while according to Mahatma Gandhi, victory attained "by violence is tantamount to defeat, for it is momentary" (Meyerle, 2005: 1). Kashmir dispute in this context needs "assisted negotiation" here. The world community stands to help the parties in the negotiation process, and this would reveal the neutrality and commitment of the global system. This in turn establishes the trust of the parties in the agencies and commission established for the purpose. Then, they can easily bargain, compromise, and make adjustments confidently.

More to this, it is an alternative that culminated in the understanding that the United Nations has no power of its own in world governance but the power of the permanent members of its Security Council. They include the United States, United Kingdom, France, Russia and China. Each of these parties so far has influence on each of the parties to the Kashmir dispute. However, what one may consider as a factor holding them back is the fact that they do not have their interest at stake in the region.



The United Kingdom colonised the region, and the partition plan was drawn under its influence in 1947 since then, Britain's concern has been in ways to consolidate its own economy and political influence in Europe Continent. The United States, since 1990, has directed the course of its policy towards the eradication of terrorism, autocratic rules, proliferation of nuclear weapons and armaments, violation of human rights, promotion of democracy, liberalism, etc., and all these have made the Kashmir conflict intractable. This is reflected in Pakistan's course of action on the Kashmir dispute. Because Pakistan needed help to fight against India, it started supporting and sponsoring the Islamic radical groups (Taliban, Mujahideen, Lashkar, etc.) in Afghanistan, and they, in turn, helped Pakistan against India. Although Pakistan claimed its support for the United States in the course of Anti-Terrorism but, practically, Pakistan has been the source of Terrorist activities in the region (Schaffer, 2012). This may persuade the United States to find ways to resolve the Kashmir conflict. Russia could also use the influence of its relationship with India. China, for years now, has been on good terms with Pakistan. Pakistan has always seen China as the only trusted and reliable party in the UNSC and in the subcontinent. But what is needed at this juncture is the need for the powers to use their various influence in the region in unity of purpose and full commitment to the Kashmir dispute.

Based on the recommendation made by the committees in the Conference organised in March 2007 by the "Institute of Strategic Studies, Islamabad and Kashmir Institute of International Relations" the first factor to put to consideration in resolving the Kashmir conflict should be "human rights and justice". The committee recognised the intrinsic relationship between the two factors, and the deprivation of this right by the Kashmir people contributed to the intensification of the conflict. The negotiation between and among the parties can first be approached under this recommendation by looking into various scenarios of humiliation that the Kashmir people have experienced and are still facing in Kashmir. For instance, under the Armed Forces Special Act of 1990, small boys have been arrested and detained in jail (International Human Rights Watch Group). So also were various indiscriminate searches on roads, houses, and marketplaces. Police forces could take laws into their hands to kill, and they could also detain for years without trial. So also is the sentiment which India and Pakistan exhibit on the issue the sentiment is not only exhibited in politics but in the ethnical and religious sphere. This resulted in the political hegemony India is exhibiting and Pakistan's terrorist activities (International Kashmir Conference, 2007).

More on this is the suggestion that international non-governmental organisations should intervene, especially in managing and resolving the Kashmir dispute, and that resolution activities should be left as their exclusive. Every investigation into Inaman's rights violation should be made, and all culprits must be punished in accordance with the laws and proceedings of the agencies or bodies. The agencies should also ensure that the people they are interviewing and taking proceedings from are outrightly secured and their justice guaranteed. In the course of this, the issues concerning the people who have suffered damage from past wars should be addressed. The people such as widows, orphans, rape victims, and those who lost their homes and other properties should be addressed under the Consultative, Reconciliation, and Restoration strategies, thereby providing counseling and health care services, financial and as well guaranteed security for these set of people.

Self-determination of the Kashmir people is also part of the area of discussion of the committee and they see it as a viable means. Every people, nation and state agitating for autonomy of its territory should be granted; this is under the United Nations resolution 1514 (XV) of 1960 ([www.un.org/doc](http://www.un.org/doc)). Kashmir people by all means have the features of statehood, defined territory, population, and government, except Sovereignty and

autonomy. In this, the question of whether Kashmir people would be able to govern themselves and their economic viability should be left for the Kashmiris and the world community to decide because that is part of what India and Pakistan have been holding on to on the decision to grant Kashmir the autonomy of its own.

In the process, the committee of the conference recommended four basic means of achieving the goal of self-determination. This entails: “the identification of the area, demilitarisation of the region self-governance and joint management of the territory” ([www.kashmirinternationalconflict/2007](http://www.kashmirinternationalconflict/2007)). Under this process, the decision was made that if the process would work, the instrument of accession that is being claimed by the Indian government needs to be invalidated and the United Nations resolution for the conduct of Plebiscite should be revived (Swamy 2001). Coupled with this is that the Kashmir people should be involved in all these considerations, and their views should be taken with ultimate importance. In identifying the area called “Kashmir territory”, the recommendation was made that Kashmir territory should be identified as it was before the Pakistan invasion in 1947. After this, the decision of each region to accede to any of India or Pakistan should be attested (International Kashmir Conference, 2007). Part of the process of demilitarisation is the decision to repeal every inhumane and severe law in the territory and the withdrawal of every external military force, the withdrawal of all the military forces is believed to reduce every tension and curtailment of people’s freedom. More to this is the decision on self-governance. Kashmir people should be granted this opportunity, especially starting from the time dedicated to resolving the dispute, and this should be monitored under the United Nations auspice. The decision to pursue self-governance should be made in all spheres (economy, tourism, socio-cultural, education, politics, etc. ), and nothing should be held back.

Learning from the models of conflict resolution and the peace process is the need to take into cognisance “the Good Friday agreement”. The Good Friday Agreement was the agreement which led to the successful resolution of the Northern Ireland dispute (Austen Morgan: 2000). This model is recommended because it has similar circumstances to the Kashmir dispute, and the recommendations made during the dispute are also similar to the resolution passed on Kashmir dispute (the demilitarisation of the region and the subsequent conduct of plebiscite to ascertain the will of the people). The Northern Ireland model “recognises the legitimacy of whatever choice is freely exercised by a majority of the people of Northern Ireland concerning its status” (International Kashmir Conference, 2007: 27) in this, it stands for the will of the people, thereby placing relevance on what the people want.

More to this, the International Kashmir Conference “reaffirms commitment to the total disarmament of all paramilitary organisations” (Ibid). This is because the presence of military forces in Northern Ireland could be a threat to the freedom of opinion and expression of the people. The various Unionists and Nationalists were also involved in the Dialogue process. All these served as catalyst to easy compromise in Northern Ireland. But in the context of the Kashmir dispute, there are external factors (India and Pakistan) whose compromise is also needed. This, therefore, stresses the reason why Global community commitment is needed in bringing about the compromise and, at the same time, restoring the relationship between and among the diverse sects on the Kashmir dispute.

## 5. Conclusion

The Kashmir conflict has been one of the intractable conflicts the world community has been dealing with





since 1947. What makes the war intractable has been the culmination of ethnic, religion and ideological rivalry between India and Pakistan, which was before the partition of British India, while the Muslims experienced minority treatment from the Hindu majority during this period. In this, they conceived there is a need for a separate Muslim state in the region where the Muslims would be governed and their rights protected under Islam doctrine and Ideology. This resulted in the creation of Pakistan, which India sees as a threat to its interests in the region. The suspicion between these parties makes the conflict contracted and intensified to date. India occupies two-thirds of the territory and governs it arbitrarily, so Pakistan has also been using its occupied part of Kashmir to fight proxy wars with India. With this, the conflict has two phases, inner and outer phase, and the inner phase constitutes the insurgencies between Kashmir youths, liberation movements, and Islamic radical groups against the India repressive governments. The outer phase of the conflict has been reflected in 1947–1948, 1965, the 1971 Bangladesh, 1999 Kargil wars, bomb explosions etc., coupled with low intensified insurgencies to date.

The various attempts devised since the inception of the conflict to resolve it have been futile. But various analysts have always suggested that the withdrawal of both India and Pakistan from the region has a long way to go in ensuring the security of the people. But to them both, it depicts their vulnerability and security nakedness. Kashmir territory is contiguous to both territories and has strategic implications for both. India has always claimed that if Kashmir should gain Independence, other states annexed to it could also demand their autonomy, thereby posing the threat of disintegration of India. Pakistan, on the other hand, sees India as a powerful and hegemonic influence that has nothing to offer any Muslim entity like Kashmir but to keep on dominating and suppressing their rights.

Having realised this, this essay examined the various wars fought on the Kashmir issue, the historical and remote causes of the war, the conferences and meetings held and speeches delivered (Especially at the National Institute of Advanced Studies, organised resolution programmes on “conflicts in Jammu and Kashmir” 2011; the Howard B Schaffer’s speech in November 2012; and also was the International Kashmir Conference held to propose a resolution to the conflict in 2007). From all these, strategies were proposed for easy resolution of the Kashmir conflict.

The various proposals, resolutions passed, and strategies devised to resolve the dispute are what this essay assessed in order to bring about the alternative means of resolving the dispute. All these alternative methods are embedded in the self-determination of the people, the principles of “assisted negotiation”, intervention of non-governmental organisations, etc. It is a combination all these moves that I believe would help to revive the long-dead efforts in resolving the conflict.

Kashmir conflict, apart from being a territorial conflict, has been an Internationalised conflict since the time India took the decision to report the 1947 insurgency to the United Nations, and this is what has been influencing several decisions taken to resolve the dispute. In this context, one should hereby recommend that the United Nations Security Council and the General Assembly should have unity of purpose in resolving the long intractable Kashmir dispute. This should not be seen as an interest to be pursued but a duty and obligation to dispense to the region and the world community at large. So also, the United States should see the issue as critical to its foreign policy objectives of peaceful coexistence in the world community. This is believed would mobilise more attention to resolving the dispute (The Carter Centre, 2002). Presently, there are various peace initiatives in the region between India and Pakistan. These moves can be taken advantage of by the international commissions established for this purpose.

As earlier stated, the long-time animosity between India and Pakistan established the conflict and continuously contributed to its intensification. Even if the Kashmir dispute is eventually resolved without settling the differences between India and Pakistan, it could constitute a series of threats to the Kashmir people and Statehood. What seems plausible here is that every means should be ensured to settle the rivalry between Pakistan and India. This would make resolving the Kashmir dispute “a walkover” exercise. What is more plausible in the course of this action is the resumption of dialogue between India and Pakistan, while the negotiation should constitute secrecy at the initial stage of the dialogue process and should not necessarily involve an official agreement. This would enhance confidence and allow for in-depth talk. India and Kashmir are also encouraged to be involved in peace talks to discuss and understand their diverse area of interests

More to this, there is the need for continual emphasis, publications, broadcast, journals, and conferences to be organised for the course of resolving the Kashmir dispute, letting the world know what is currently going on in the region, their advice and what help they could offer. There is also the need to encourage the restoration of the current strained trade relations, especially between India and Pakistan. This is one of the areas where compromise could be easily reached and their rivalry dissolved because “if healthy trade relations are between India and Pakistan- and the potential is immense- it can integrate the lives of millions of people in both countries” (Kumar, 2012: 22). This is because their business institutions would always want continuous relations, thereby looking for a means of restoring them on good terms.

Granting Kashmir ‘a semi-sovereign status can also be plausible, where India and Pakistan would be commissioned to monitor their activities in all spheres under the auspice of the United Nations. Here, Kashmir would need to be integrated, and the free movement of people, goods and services across its frontiers from India and Pakistan to be restored (Hajni 2010). But this can be best viable in circumstances where the rivalry between India and Pakistan, which has led to mutual mistrust, is given a back seat in their relationship.

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# Jiangnan Coal Capital: Development and Utilization of Pingxiang's Red Culture

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**Abstract:** Red culture, as one of the components of China's excellent traditional culture, is increasingly valued in politics, economy, culture, and education in the new era. Pingxiang has abundant red historical and cultural resources, but there are many problems in the development and utilization of red culture, which limits the development and utilization of red resources. Pingxiang is committed to developing and utilizing the economic value of red culture as a tourism resource, but its utilization at the spiritual and cultural level is insufficient.

**Keywords:** Red culture; Social transformation; Ideological and political education

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## 江南煤都：萍鄉紅色文化的開發與利用

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**摘要：**紅色文化作為中國優秀傳統文化的組成部分之一，在新時代其在政治、經濟、文化、教育方面的價值越來越受到人們重視。萍鄉紅色曆史文化資源豐富，但在紅色文化的開發利用上存在著諸多問題導致紅色資源開發利用受限，如紅色文化在促進萍鄉經濟社會轉型過程中起到的作用有限，在高校思政教育中的影響有限等問題。近年來，萍鄉致力於紅色文化的經濟價值進行開發利用，主要目標是針對於資源枯竭形式下的萍鄉經濟社會轉型，但在此過程中卻忽視了紅色文化作為一種精神力量的價值。萍鄉目前對紅色文化的利用是把它作為旅遊資源開發，從而產生經濟價值促進萍鄉的經濟社會轉型，但在精神文化層面上的利用卻不足。



**關鍵詞：**紅色文化；社會轉型；思政教育

## 一、引言

習近平總書記說：「上海石庫門、南湖紅船，誕生了中國共產黨，14 年抗戰、曆史性決戰，才有了新中國。共和國是紅色的，不能淡化這個顏色。」習近平總書記自十八大以來發表了一系列的講話，表示紅色基因要薪火相傳下去。在新時代發揮好紅色文化的價值，即是精神文明發展的要求，也是實現中國偉大復興歷程中的必然選擇。因此需要不斷實現紅色文化的創新發展，用紅色基因補鈣壯骨，弘揚社會正能量，對中國特色社會主義的現代化建設有著推動作用。江西作為紅色革命聖地，有著豐富的紅色文化。萍鄉雖是小城，但在江西省乃至全國也是最早開展紅色革命的地方，因此開發與利用當地的紅色文化，對於這座曾經的“江南煤都”的社會轉型有著至關重要的作用。

## 二、萍鄉紅色文化概述

萍鄉位于江西省西部，是為長江中遊城市群重要成員，地處湘邊界，古之吳楚通衢，今之贛西旅遊勝地。萍鄉是近代中國工業起始最早的城市之一，素有「江南煤都」之稱，是江西重要工業基地，且文化昌盛，被譽為贛西文化堡壘。

### （一）萍鄉紅色文化內涵

萍鄉是一個有著光榮革命傳統的地方，在中國革命曆史上創造了工人運動、武裝鬥爭的光輝業績，為新中國的誕生作出了偉大的貢獻。紅色文化豐富是萍鄉的一大特色。在江西省革命遺址普查的 2423 個遺址中，萍鄉 82 個，占總數的 3.4%。雖然數量不多，但是其在紅色文化中的地位卻不容忽視。如安源，這是工人運動的策源地，高舉起第一面中國工農革命軍大旗的秋收起義而令人敬仰。毛澤東曾十次來到安源，深入農村、工礦，進行社會調查，撒播革命的火種，開展革命活動，從而掀開了中國工人運動史的光輝一頁。萍鄉紅色文化大體上分為工人運動、秋收起義、井岡山鬥爭等幾大主線分布在不同地方。由于數量較多，現將就主要的紅色文化遺址進行簡單的敘述。

第一類為以工人運動為主線的紅色文化，主要發生于安源。安源是中國工人的策源地，萍鄉工人運動多發生在安源，因而造就了安源獨特的紅色文化，留下了許多革命遺址。萍鄉的紅色文化可追溯到 1905 年 5 月安源路礦工人罷工，這是中國工人早期鬥爭的先聲。1906 年的萍瀏醴起義，這是同盟會領導的反對清政府的第一次武裝起義。1922 年安源爆發了劉少奇領導的安源路礦工人大罷工。在這次罷工中，工人組織起來共同對抗路況兩局和萍鄉軍政當局，並最終獲得勝利。

第二類是有關秋收起義的紅色文化，包括曆史事迹、遺址和曆史名人。在 1927 年的大革命失敗後，蓮花農民自衛軍有槍支共 60 支，被收繳去 59 支。當時的共產黨員賀國慶將最後一支槍的槍身和槍機分別埋藏在不同的地方才使得這支槍最終保存。這便是廣為人知的蓮花一支槍的故事。為了紀念此事，在蓮花修建有蓮花一支槍紀念館。秋收起義發起于 1927 年中共「八七會議」決定。當年九月初，中共派遣毛澤東以中央特派員身份，來到安源對秋收起義工作進行組織和部署。秋收起義的失敗，讓毛澤東認識到攻打大城市的不可能，並轉變了作戰方針，使得中共力量保存下來，並為在農村和山區中廣泛開辟革命根據地，開了先河。





第三類為與井岡山鬥爭相關的紅色文化,其主要分布在羅霄山脈,沿蓮花、安源、上栗展開。在井岡山鬥爭時期中共在此建立許多根據地,如开辟了斑竹山革命根據地;紅軍遊擊隊在楊岐山开辟紅軍遊擊隊根據地,進可攻退可守;棋盤山遊擊戰根據地是中共在神泉鄉境內开辟的根據地,再次組建可湘贛蘇區遊擊隊,召開了堅持贛西遊擊戰的軍事會議,雖然 1935 年遭受個挫折但還是保存了革命火種。萍鄉紅色曆史悠久,內涵豐富,在當下新時代發展曆程中,需充分發揮其價值。

## (二) 萍鄉紅色文化開放利用現狀

萍鄉紅色文化資源豐富,對其開放利用有利于萍鄉完成社會轉型。在煤炭資源日益枯竭的情形下,萍鄉必須抓住紅色文化這一寶貴的文化資源。

其一,萍鄉完整地保存了與革命時期相關的政治和經濟組織活動有關的事迹、遺物和革命遺址等。安源工運和秋收起義都是中共早期領導的革命鬥爭,並且為以後的革命運動產生深遠影響,由此可看出萍鄉紅色文化的特征之一便是反映黨史的時間較早,也可以表現出萍鄉紅色文化在全國紅色文化中的獨特地位。

其二,萍鄉作為近代中國曆史上一個人才輩出、衆多曆史人物大顯身手的革命聖地。毛澤東、劉少奇,李立三等革命領導人,在安源發動和組織工人運動。毛澤東十次赴安源,更是被傳為佳話。蓮花縣有著名「將軍農民」甘祖昌,蘆溪縣有革命烈士盧德銘。有著這種紅色文化優勢,萍鄉政府對紅色文化的開發利用價值也是極其重視的。自 2018 年 4 月,啓動第四批國家公共服務體系示範區創建工作以來,萍鄉市致力于打造具有萍鄉特色的紅色文化公共服務體系,並已經初步形成一個新型公共服務發展體系。

通過政府、企業、社會的多方參與投入,萍鄉市初步形成了市、縣、鄉鎮、村四級公共文化場所的建設。在各處的公共場合,萍鄉通過一些紅色文化的展覽或者專欄進行紅色文化的宣傳,從而把紅色文化轉變為精神動力中的一環。除此之外,萍鄉還尤其重視對紅色文化的文化產品開發,如創作了一系列電影、電視劇、戲劇和文學作品等,如電影《老阿姨》,電視劇《初心》,戲劇《將軍歸田記》和《安源娃娃安源紅》等,並獲得過各項獎項。在安源萍鄉市政府努力探索一條「文化 旅遊 教育」的紅色文化研學旅行模式,讓廣大未成年人在活動種受到愛國主義思想教育。同樣的探索也出現在湘東,蘆溪,上栗等地。近年來萍鄉紅色文化的開發利用無疑取得了巨大成就,但是問題的存在也不容忽視。

萍鄉市的豐厚紅色文化遺產雖已得到政府和社會的重視,但在開發利用中的許多不足仍需要指出。

首先,紅色文化資源的產權歸屬問題爭論較大,這就造成統一的資源共享機制難以形成。資源之間無法連結,不易塑造一個統一的管理機制。在一個統一機制無法形成的條件下,對紅色文化的開發利用也必然形成局限。景點分散,遊客停留時間短。萍鄉市的紅色旅遊資源點分布較為散落,位于各個分隔的區縣之中,遊客從一處景點移動到另一處景點通常需要花費一到兩小時的車程。而每到一處景點,遊客的停留時間大約僅有一個小時左右這樣頻繁的移動與短暫的參觀時間導致遊客體驗過程中感到較為疲憊,難以享受到完整而深入的旅遊樂趣。

第二,各地對紅色文化的開發利用價值認識不一。目前,開發相對較好的為安源。安源工人運動紀念館不僅翻新改造,而且安源還被評為四星紅色旅遊景區而許多地方政府對紅色文化遺址則是一種放任狀態,我們可以看到張國焘故居已經破舊不堪,文廷士故居已經被拆除,萍瀏澧起義舊址破敗等等。這種認識不到紅色文化價值所在的行為還存在于大多數地方政府。

第三,萍鄉的紅色旅遊在行政管理體制上還存在不健全。以安源景區為例在人事管理上,2008 年景區編制內人員仍然沒有按照萍編[2004]43 號文件規定依照公務員制度進行登記;在財政管理上,景區管委會的人頭費、工作經費仍然沒有納入安源區財政預算,管委會所欠債務沒有明確解決的渠道;在對景區內資源管理上,仍存在「四方三級」管理,景區無法動用一寸土地,無力進行景區的有效開發和建設。

第四,在紅色文化開發為旅遊資源上,雖 2014 年萍鄉市旅遊項目有 49 個,投資額高達 100.485 億元,但全年實際投入資金為 17.8435 億元。萍鄉市在景區的建設上還處於比較落後階段。安源紀念館雖得到改造,但更多的革命遺址還處在一種閑置狀態,沒有的到有效開發和保護。交通不便,缺少專業人才,培訓不到位,文物保護不到位等等問題困擾著這些景區。總之萍鄉紅色文化的開發利用形勢是明朗的。在國家日益倡導精神文明重要性的新時代裏,萍鄉市的紅色文化開發也進入了一個新的階段。越來越多的人開始重視這一寶貴的革命遺產,享受著其帶來的精神財富。

### 三、萍乡红色文化开发路径探索

萍鄉是以開采煤礦為主的傳統工礦城市,素有「江南煤都」之稱,可以說萍鄉是因煤興市。在上世紀 80 年代萍鄉擁有大型煤炭和鋼鐵企業如萍礦和萍鋼,其經濟發展水平處在江西省前列。

#### (一) 紅色文化促進萍鄉經濟社會轉型

自新中國建立以來,安源煤礦長期為廣大地區提供大量生活或工業用煤,為新中國的建設作出貢獻。但自從進入 21 世紀以來,萍鄉原有的煤炭資源開始枯竭,萍鄉工業面臨前所未有的困境,表現在資源耗盡可持續發展能力不足。其一,表現煤炭總量持續減少。據統計萍鄉煤炭資源總量 7.52 億噸,其中可開采儲量為 4.01 億噸,目前已累計開采原煤 3 億噸,占可開采儲量的 74.8%。照萍鄉現有的開采能力,預計在數年之內萍鄉會因為煤炭枯竭而造成大批礦井報廢或者關閉。其二,由於煤炭的枯竭,隨之而來的整個煤炭產業的急劇縮小。萍鄉煤礦數量在上世紀 90 年代的 1116 家已經減少的如今的百余家。其三,由於煤炭的枯竭,萍鄉煤礦產業衰退,生產經營困難,大量工人下崗,由此產生的再就業、社會保障等問題層出不窮。在面對資源枯竭帶來的種種惡果萍鄉開始走上一條艱難的資源型城市的轉變之路。紅色文化作為一種曆史文化資源,具有開發利用的可持續性,在萍鄉面臨城市經濟轉型的過程中可以起到破解萍鄉發展瓶頸的作用。在城市轉型過程中,由於萍鄉市一所資源依賴型的傳統城市,雖然在重工業上如煤礦,鋼鐵方面曾取得非凡成就但是在其他方面則顯得十分單薄,特別是第三產業的缺失。煤炭是不可再生資源,而第三產業則是一種以可再生資源為主的新興產業。紅色文化資源的開發利用是可循環的不以消耗資源和環境為代價,是萍鄉經濟社會轉型的必然選擇。其主要開發利用手段是把紅色文化資源開發為旅遊景區,以景區的收益反哺城市經濟。

通過對紅色文化的開發利用,尤其是把其作為旅遊資源進行開發,對於萍鄉來說是一條真正可以做到既要金山銀山,又要綠水青山的可持續發展之路。發展紅色旅遊對於帶動革命老區經濟社會協調,把革命老區資源優勢轉化為經濟優勢,形成革命老區新的經濟增長點。據統計我國每接待 20 名國外,就可以為我國創造一個就業機會,每接待 150 名國內遊客,也可以為地方創造一個就業機會。紅色文化如果得到適當的開發利用,對於處於嚴峻就業形勢的萍鄉無疑是雪中送炭。伴隨著紅色文化作為旅遊資源的開發利用,問題也開始凸顯出來。首先,在全國範圍內對紅色文化旅遊資源的開發還沒有一個可供參考的一般模式,各地紅色文化的開發有其獨特的一面,所以萍鄉在紅色文化作為旅遊資源開發中只能自己探索發展道路。各地紅色文化旅遊資源開發的現狀而言,仍面臨著投入資金不足、開發方式單一、經濟效益較差、資源的整合力度不夠等諸多共性問題。

把紅色文化作為旅遊資源開發利用是破解資源枯竭型城市萍鄉所面臨的難題的關鍵所在。萍鄉的紅色文化旅遊相較於全國起步較晚好多革命舊址年久失修甚至已經消失。要在周邊紅色旅遊競爭圈中獲得遊客青睞必須發揮自身優勢,加大保護力度,優化旅遊環境,推動紅色旅遊發展,促進經濟轉型發展。一方

面,要繼續加大對基礎設施等硬環境的建設,尤其在吃、住、行、遊、購、娛樂等直接有關的公共配套服務設施建設。另一方面,加強環境建設。萍鄉近年來以安源紅色旅遊為重心,加強了對萍鄉紅色文化的形象塑造,力圖把安源塑造成一個特色鮮明、井然有序的優秀旅遊目的地形象。

## (二) 萍鄉紅色文化與高校思政教育

習近平總書記指出「我國高等教育肩負著培養德智體美全面發展的社會主義事業建設者和接班人的重大任務,必須堅持正確政治方向,高校立身之本在於立德樹人」。紅色文化作為一種先進文化,其精神內涵有著較強的思政教育價值和功能。現今,新一代青年已然進入大學,他們作為社會主義的接班人,是社會思想多元化的信息時代中成長的。社會思想的多元化決定了大學生的世界觀、人生觀和價值觀的多變性和波動性。我們可以看到,如今許多大學生出現了拜金主義、享樂主義、個人利己主義的傾向和表現。他們在物質世界得到滿足的同時,精神世界卻出現了空虛,他們的「三觀」發生了扭曲。在這種情況下,紅色文化開始進入高校思政課堂,發揮其獨特的精神力量。

紅色文化融入高校的思政工作,是新時代大學生精神世界塑造的必然要求。現如今,許多高校開設有以紅色文化為主的課程體系,用以塑造學生的正確的道德品質。紅色文化融入高校思政教育有著重要意義,具體可分為以下幾點:

一、紅色文化可以提高學生的思想道德品質。在當今社會,尊老愛幼、無私奉獻和互幫互助等優良傳統美德受到了前所未有的沖擊,甚至成為一些不法分子各自的謀利手段,如「碰瓷」一詞成為人們日常生活中心驚膽戰的洪水猛獸。這也讓許多學子陷入了矛盾和不解之中,傳統美德教育他們要尊老愛幼,樂於助人,但是現實確實時刻警惕被騙。因此,不管是學校還是社會都需要紅色文化中所流傳下來的優良品質對大學生的道德品德進行培養。

二、紅色文化可以牢固學生的共產主義信仰。盡管紅色文化產生於遙遠的革命年代,但是他所包含的艱苦奮鬥精神和生生不息的革命精神應該被人們所繼承和發揚。因此,把紅色文化融入高校思政教育,可以幫助學生更好地認識並堅定共產主義理想,最終為構建社會主義視野做出更大貢獻。

三、在應對西方思想侵蝕上有抵制作用。在全球日益形成一個整體的形式下各國之間的政治、經濟、文化聯繫日漸密切,西方的文化對本國傳統文化的沖擊越發明顯。一些洋節日在中國受到人民歡迎程度甚至超過了傳統節日。尤其是學生的思想已經受到嚴重的腐蝕。而不斷地向學生宣傳紅色文化,將其能夠抵禦各種西方社會思想對我國學生的腐蝕。新時代對高校的思政育人工作提出了全新的需要,高校應該秉持紅色文化育人傳統,以學生思想引領為抓手,以文明實踐為橋梁,繼承和發揚優秀的紅色傳統革命文化,把十九大精神和習近平關於新時代中國特色社會主義思想貫徹下去,潛心培育和踐行社會主義核心價值觀、深化中國特色社會主義和中國夢教育促進學生成長成才,讓革命聖地的青春之花盛開得分外鮮豔。

## 四、結語

紅色文化是無數革命先烈在革命年代為我們這些後輩創造出來的不朽文化遺產。近年來,國家越發重視精神文化的發展,對紅色文化的研究、開發和利用進入一個新階段。2022年,國家發改委等部門聯合發布的《推動革命老區紅色旅遊高質量發展的有關方案》明確了從多個角度推進紅色旅遊提質增效的策略。這些策略涵蓋了強化紅色文化遺產的開發與保護、完善旅遊基礎設施、促進資源整合以及提高服務品質等方面,旨在形成協同發展的工作格局。方案還強調採用政府引導、社會廣泛參與、市場有效運作的方式推動紅色旅遊的發展,並利用技術整合與產業融合來驅動紅色旅遊質量的提升。





在這過程中,萍鄉作為一座擁有豐富的紅色文化遺產的城市,對紅色文化的認識從過去的忽視,不加以保護開發利用到如今形成以安源紅色文化為主的紅色文化旅遊圈,其成就是矚目的。必須加大對紅色文化的開發利用,促進萍鄉的社會轉型。在萍鄉今後的紅色文化開發利用上,應該強化智能化的基礎設施建設、提升智慧化管理水平、突出自身產品特色,提高競爭力,並且應加強紅色旅遊同當地農村經濟的協同發展。

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# The Red Archives Bear Witness to the Work Style Construction of Cadres in the Sichuan-Shaanxi Soviet Area

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**Abstract:** Cultural confidence is a fundamental, profound, and enduring force for the development of a country and a nation. Red culture is the most brilliant star in the historical river of cultural confidence. Red archives are an important source of red culture. Studying the red archives of the Sichuan-Shaanxi Soviet Area, during the more than two years and multiple months that the Soviet Area existed, the reason for its vigorous growth and development was mainly due to the earnest strengthening of work style construction, the loyalty and dedication of ideals and beliefs, strict self-discipline, selflessness and self-sacrifice, and the spirit of not fearing the enemy's sacrifice. These Soviet spirit elements provided a strong guarantee for the victory of the revolution. In the new era and at the new stage, in the face of the great changes unseen in a century and the strategic overall situation of the great rejuvenation of the Chinese nation, the Party must consistently enforce discipline and regulations, strengthen work style construction, and promote comprehensive strict governance of the Party. Only in this way can we ensure that the Party always stays ahead of the times and leads and guarantees the continuous progress of China's modernization drive in a Chinese-style manner.

**Keywords:** red Archives; Sichuan-Shaanxi Soviet Area; work style construction

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# 紅色檔案見證川陝蘇區幹部作風建設

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**摘要:**文化自信是一個國家、一個民族發展中更基本、更深沉、更持久的力量,而紅色文化則是文化自信歷史長河中最耀眼的星光。紅色檔案是重要的紅色文化來源,研究川陝蘇區紅色檔案,川陝蘇區存在的兩年多時間裡,能如此發展壯大,重要原因就是切實加強作風建設,忠誠忠貞的理想信念、嚴於律己、大公無私的奉獻精神、不畏敵人的犧牲精神,這些蘇區精神都為革命勝利提供了堅強的保障。進入新時代,邁步新階段,面對世界百年未有之大變局和中華民族偉大復興戰略全局,我們黨要一以貫之嚴明紀律規矩,加強作風建設,推進全面從嚴治黨,才能確保我們黨始終走在時代前列,引領保障中國式現代化建設不斷前行。

**關鍵詞:**紅色檔案;川陝蘇區;作風建設

紅色檔案是指在中國共產黨領導下,各個歷史時期形成的具有歷史價值、教育意義和紀念意義的檔案,它蘊藏着黨的初心使命,承載著紅色基因,飽含着集體記憶,是重要的紅色資源。研究紅色檔案為新時代加強黨的建設特別是作風紀律建設提供了寶貴的精神支撐和良好借鑒。本文以川陝蘇區幹部作風紀律建設為例,淺談紅色檔案賦能新時代作風建設的現實意義。

## 一、紅色檔案中川陝蘇區幹部作風建設回顧

1932年12月,鄂豫皖蘇區紅軍轉戰四川通南巴地區,建立川陝蘇維埃革命根據地。到1935年5月,為配合中央紅軍長征,川陝蘇區紅軍撤離該地區,前後共歷時兩年多。在川陝蘇區存在的這兩年多時間裡,成長為中華蘇維埃共和國的第二個大區域,川陝蘇區從建立、鞏固,到大發展,各項建設事業取得了輝煌的成就,並且有力牽制了敵軍,策應和支援了紅軍長征,為中國革命的勝利作出了重大貢獻。紅四方面軍能夠取得如此巨大成績,根本原因在於其繼承了中央蘇區與鄂豫皖蘇區嚴明的政治紀律以及良好的作風建設。

### (一) 愛國愛黨、忠誠忠貞的堅定信念

從紅四方面軍主力離開鄂豫皖衝破敵人多重封鎖線,最終抵達大巴山建立根據地的過程中,經受住了惡劣自然環境的無情考驗,在革命與反革命兩種力量、光明與黑暗兩種命運的搏擊中經受住了對理想信念的嚴峻考驗。在蘇區建立並發展壯大的過程中不僅要面對國民黨軍的圍追堵截和一次次的戰略圍剿,更要在艱苦的環境中發展壯大,對每一個蘇區官兵幹部來說都是一次堅定理想信念的嚴峻考驗。正是這種堅定的馬克思主義政治信念,把廣大官兵幹部凝聚在共產主義的旗幟之下,克服艱難險阻戰勝形形色色的敵人,把川陝蘇區發展壯大。期間很多的群眾受革命影響進而參加革命,著名烈士胥克尋就是典型代表。1929年春夏之際,胥克尋去蓬安縣買鹽巴欣聞得知曠繼勳部在蓬安成立了蘇維埃政府,擔著貨擔,急忙趕至起義地點,得知曠部已轉移後。他又日夜兼程,輾轉追蹤途至營山、達縣、梁平。在得知曠部起義失敗的消息後,只好轉身回家。胥克尋雖然此次所願未遂,但追求革命矢志不渝。1930年夏天,胥克尋途經營山縣清水場附

近,得知此地有中共地下黨活動,他通過各種關係,加入了中國共產黨,擔任党的秘密交通員,活動在重慶至川東的梁平、達縣、宣漢和鄰水一帶。1932年,紅四方面軍入川,他立即參加紅軍,任江口縣紅軍獨立營營長,1934年英勇犧牲。<sup>①</sup>

翻閱川陝蘇區紅色檔案,紅四方面軍創建川陝革命之時留下的十六字軍訓訓詞「智勇堅定、排難創新、團結奮鬥、不勝不休」就是堅定信念的最好體現。

## （二）嚴於律己、大公無私的奉獻精神

川陝蘇區時期,老一輩無產階級革命家李先念、徐向前、廖承志、許世友等在創建川陝革命根據地的艱苦歲月中建立了不朽的卓越的功勳,為中國革命的勝利做出了重大的貢獻。川陝蘇區官兵幹部的優良作風是在艱苦殘酷的鬥爭環境中逐步養成的。

「縣委機關有幾百人,時大時小,也沒有固定編制」(訪傅崇碧記錄)。鄉村蘇維埃幹部每月沒有固定薪金,生活來源主要有以下幾方面:自帶錢糧,穿自己解決;沒收錢糧和公田提留補助一點;農民群眾籌集一點<sup>②</sup>。

在反三路圍攻中,敵人截斷了從南部到通江的食鹽運輸線路,造成通江一帶食鹽奇缺。地下交通站繞過敵人封鎖運回一批鹽巴,擔任紅軍總經理部部長的鄭義齋立馬組織人員及時分發。分發中,鄭部長取出半斤鹽巴,並囑咐警衛員說:「你把這包鹽巴送到總部徐總指揮那裡去,他跟大夥一樣,也在唱旦(淡)腳兒呢。」

幾日前鄭義齋和徐向前總指揮一起研究工作直到很晚,就留在徐總那裡吃晚飯。炊事員端上的兩盤小菜,由於沒有鹽巴吃起淡而無味。鄭義齋想着徐總日夜操勞,肩挑重擔,如今有了這批鹽巴,送點過去也是合情合理的。

沒過多久警衛員拿着鹽巴和一張字條從徐總處回來了。字條上面寫著:「義齋同志,謝謝你的好意,我這裡已經有了鹵肉水,鹽巴還是留著你自己用吧。」鄭義齋凝視著字條,眼淚潤濕了眼睛。他想了想,又讓警衛員把這包鹽巴送到紅四方面軍總醫院。傷患們吃到鹽巴並聽說這鹽的來歷後深受感動,當場就要求提前返回前線,經醫生批准,有16名傷患回到前線部隊。

戰勝那個缺衣少食的困頓歲月,靠的正是嚴於律己、大公無私的奉獻精神。

## （三）走群眾路線,真心實意為群眾謀利益的公僕精神

隨著根據地的迅速擴大,各項事業的建設、管理需要人民群众的支援和參與,人民政權的鞏固和保衛也需要廣泛動員人民群众。川陝蘇區官兵幹部深知,離開廣大人民群众的擁護和支持,部隊和政府什麼事情也辦不成。川陝蘇區官兵幹部把發動組織群眾作為一切工作的中心,將根據地的開闢和政權的建立與群眾工作緊密結合起來,走群眾路線,相信群眾,依靠群眾。川陝蘇區明確指出「黨與群眾的關係,要建立的十分密切……要清楚瞭解群眾的需要,提出他們的鬥爭綱領。」<sup>③</sup>當時川陝省委發佈的《黨員須知》中指導黨員幹部在群眾中應該怎樣去活動,例如生活絕對不能腐化等。<sup>④</sup>據資料記載,川陝蘇區幹部真心實意地為群眾謀利益,解決群眾的生產和生活問題,鹽的問題,米的問題,房子的問題,衣的問題,生小孩子的問題,解決群眾的一切問題。川陝蘇區官兵幹部據此扎實工作,深得民心。在將近兩年半的時間裡,根據地人民輸送了十餘萬優秀兒女參加紅軍。他們還節衣縮食,發展生產,為支援紅軍部隊建設和戰爭需要,提供了大量的糧食和其他物資。這些成績的取得都得益於川陝蘇區走群眾路線,真心實意為群眾謀利益的公僕精神。

## （四）堅持批評與自我批評,不畏敵人的犧牲精神

「批評和自我批評是解決黨內矛盾的有力武器」<sup>⑤</sup>,川陝蘇區發展迅猛,與當時的黨員幹部勇於解剖自



己,真誠對待同志有著密切關係。在當時險惡嚴峻的鬥爭環境中,批評與自我批評,成為川陝蘇區幹部糾正黨和紅軍中對革命前途悲觀動搖情緒的有力武器。川陝蘇區黨員幹部在運用批評的武器解決問題的同時,也注重運用自我批評的武器解剖自己,不斷改進工作作風。

在創建川陝蘇區的過程中,面對生活的嚴峻困難、敵人圍剿的險惡環境和大量流血犧牲的社會現實,官兵幹部發揚了不怕困難,不畏敵人的犧牲精神。徐向前將軍在《憶創建川陝革命根據地》中說:「徐深吉同志帶著一百二十來人的教導隊守在山上,對付敵人一個團,最後只剩下幾十個人,可敵人還是攻不動。部隊真頑強,一不怕苦,二不怕死。糧食少,吃飯很困難,有時連山芋蛋也吃不上,稀飯也喝不上,靠野菜充饑;天氣又熱,蚊蟲又多,醫藥又缺,彈藥又少。我們靠什麼和敵人熬呀,就是靠黨的領導,靠士氣,靠勇敢,靠智慧,靠上下一條心,靠平素養成的過硬戰鬥作風。」

## 二、紅色檔案中川陝蘇區幹部好作風的由來

歷史無聲,檔案有痕。翻閱紅色檔案,探究川陝蘇區幹部好作風的歷史由來,感悟和汲取信仰力量,為新時代幹部作風建設提供借鑒。

### (一) 振興中華的使命擔當和黨的先進理論是川陝蘇區幹部好作風的思想基礎

川陝蘇區各級黨組織無論處於何種狀態下,都十分重視對黨員幹部進行嚴格的思想政治教育,當時全體黨員幹部都牢固樹立了為國家、為社會、為人民謀利益的思想。廣大黨員幹部在中國共產黨的正確領導下,牢記勞苦大眾的疾苦和訴求,頑強克服各種艱難險阻,推動中國革命轉危為安。展現了黨員幹部對「天下興亡,匹夫有責」的民族使命和歷史責任的擔當。

同時黨的先進理論為官兵幹部提供了很好的引領。川陝蘇區曾在一份決議案中指出:「提高黨員的理論學習——一個黨員若沒有受先進革命理論的指導,就很難執行其所負重大任務,所以每個黨員必須要加強基礎馬克思列寧主義的學習」<sup>⑥</sup>。當時就有「省委黨校」、「臨時黨校」,彭楊軍事政治學校(戰地黨校)等等培養幹部的各種學校。通過這些培養舉措,黨員幹部在很大程度上提高了政治覺悟和理論水準,堅定了革命信念,促進了川陝蘇區幹部好作風的形成。

### (二) 輿論宣傳的推動作用是川陝蘇區幹部好作風的催化劑

紅軍入川以來就要求「各項工作宣傳工作要打先鋒」,川陝蘇區的黨政軍領導十分重視宣傳工作。紅軍入川前,反動軍閥極盡對紅軍的污蔑,如反動宣傳「紅軍區域的老年人要殺,小孩子要殺,不服從者要殺,不上前(線)作戰者殺,機關公務人員要殺,不服姦淫者殺……」<sup>⑦</sup>還千方百計孤立紅軍,宣稱「紅軍是鄂豫皖來的,我們打紅軍與四川的窮人不相干。」<sup>⑧</sup>因此消除群眾的疑慮和惶恐自然成為紅軍入川後的第一要務。

同時壯大根據地,管理幹部也離不開宣傳工作。一是先後創辦了種類繁多的報刊,主要有《幹部必讀》《川北窮人》《共產黨》《蘇維埃》《戰場日報》《紅軍》《少年先鋒》,這些報刊起到了鼓舞廣大工農兵群眾為戰勝敵人、實現共產主義理想而奮鬥的積極作用。二是高度重視利用石刻進行革命宣傳。石刻主要包括革命文獻、標語和對聯。這些數量龐大的石刻遍佈於城鄉各地,可謂是見縫插針,無處不標語,故輕而易舉地做到了隨時隨地衝擊幹部群眾的視線,對川陝蘇區幹部好作風的形成起到了催化作用。

### (三) 建立的行之有效的幹部作風監督和懲戒機制是川陝蘇區幹部好作風的保障機制

不以規矩,不成方圓。紀律是行動的保證。翻閱川陝革命根據地史料選輯,其中「絲毫不放鬆的反對一



切脫離支部和消極怠工的分子,甚至開除他們的黨籍」、「為了加強各級的領導作用,並瞭解下級工作情形,必須有經常巡視工作,並儘量根據黨的決議檢查工作,切實執行黨的決議」<sup>⑨</sup>、「經常派出黨的負責幹部到部隊和地方基層單位巡視工作,瞭解情況,解決問題」<sup>⑩</sup>。這些良好的監督懲戒機制都對川陝蘇區幹部好作風的形成起到了好的震懾作用。

### 三、弘揚紅色檔案中川陝蘇區幹部好作風的現實意義

「紅色文化凝聚著中國共產黨帶領中國人民奮鬥進取的歷史,對外講好紅色故事有利於國際社會對中國共產黨和中國制度有全面、客觀的認識」<sup>⑪</sup>。欲知大道,必先為史。「歷史是最好的教科書」,歷史、現實、未來也是相通的,翻閱川陝蘇區紅色檔案,對我們總結過去的成績和不足,評判現實路線方針是否恰當做到能做到「心中有數」,並預判未來的道路的怎樣走能做到「心中有路」。

#### （一）信念堅定是新時代幹部作風紀律建設的基本條件

習近平總書記曾說:「一切向前看,都不能忘記走過的路;走得再遠、走到再光輝的未來,也不能忘記走過的過去,不能忘記為什麼出發。」理想信念不僅是個人的精神支柱,也是一個政黨、一個民族的精神支柱。作為新時代幹部就要傳承老一輩紅軍幹部的堅定信念,確保共產主義旗幟永不褪色。要堅持用習近平新時代中國特色社會主義思想武裝頭腦,堅定中國特色社會主義道路、理論、制度、文化的自信,牢記黨的宗旨,挺起共產黨人的精神脊梁,在大是大非面前立場堅定,在風浪考驗面前無所畏懼,爭做新時代的好幹部。

#### （二）勇於擔當才能助推中國特色社會主義事業不斷前行

習近平總書記指出:「偉大的鬥爭,宏偉的事業,需要高素質幹部。」無論在革命戰爭年度,還是在和平建設時期,都要求黨員幹部不但要有堅定的理想信念,還要有勇於擔當的精神和能力素質。「實幹興邦、空談誤國」。幹才能出政績,才能取信於人民。習近平總書記說,「為官避事平生恥」。幹部就要有擔當,有多大擔當才能幹多大事業,盡多大責任才會有多大成就。不能只想當官不想幹事,只想攬權不想擔責,只想出彩不想出力。對於領導幹部來說,面對區域發展和百姓幸福,就應勇於擔當敢於創新,切實改變不合時宜的觀念與做法,助推中國式現代化不斷前行,中華民族偉大復興的中國夢早日實現。

#### （三）嚴明的紀律是黨的生命線

嚴明的紀律和規矩是馬克思主義政黨與生俱來的內在品質,是思想建黨、組織建黨的重要基礎。從艱苦卓絕的革命鬥爭中走出的中國共產黨能帶領人們取得革命和建設的勝利,從苦難走向輝煌靠的正是嚴明的紀律作保障。當今世界正經歷百年未有之大變局,我們黨面臨的執政環境更加複雜,影響黨的先進性、弱化黨的純潔性的各種因素也是明暗交雜。開展黨紀學習教育,學習貫徹新修訂的《中國共產黨紀律處分條例》,強化黨員幹部的作風紀律意識,知敬畏明底線,既是對紅色檔案中黨紀要素的繼承和發揚,也是應對當前複雜執政環境的必要手段。

#### （四）強化監督是確保黨紀執行的利器

黨的二十屆三中全會《決定》提出:「建立經常性和集中性相結合的紀律教育機制,深化運用監督執紀『四種形態』,綜合發揮黨的紀律教育約束、保障激勵作用。」歷數古今中外的歷史教訓,強化監督是確保政黨有序運行的有力武器。如果缺乏監督,或者監督不到位,就會出現濫用權力、貪污受賄、腐化墮落等問題。



由此可見,加強監督,尤其是加強黨內監督,是關係黨和國家的前途命運、關係中華民族前途命運的大事。在完善黨紀監督方面,應當借鑒革命時期黨的紀律監督經驗,將經過歷史檢驗、行之有效的制度元素融入現代黨紀法規之中,增強其歷史厚重感和現實指導意義。

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## [Scholar Profile]

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**INTRODUCTION:**

Alfred Hornung, an academician of the European Academy of Sciences, serves as a professor of American Studies and English with special interests in Transnational American Studies and all areas of Life Writing at the American Institute of Johannes Gutenberg University Mainz. As part of his research professorship, Hornung has participated in the DFG Research Training Group on "Life Sciences, Life Writing: Experiences at the Boundaries of Human Life between Biomedical Explanation and Lived Experience" since 2015 and cooperated in the foundation of the Obama Institute for Transnational American Studies at Mainz as a forum of exchange with the universities of the state of Rhineland-Palatinate, the Atlantic Academy and international partner universities, serving as the Speaker since 2017. Hornung is currently working on a book project on Confucius and America, on a monograph of Jack London and a commissioned biography of Al Capone.

Professor Hornung is the general editor of *American Studies: A Monograph Series on behalf of the German Association of American Studies* and an editor of *The Journal of Transnational American Studies*. He is on the editorial board of *a/b: Auto/Biography Studies*, *The European Journal of Life Writing*, *Atlantic Studies*, *Contemporary Foreign Literature*. He is also a Founding Member and on the Board of the International Auto/Biography Association, Founding Member and Vice President of the World Ecological Organization, Honorary Director of the Center for Intercultural Studies, a member of the Scientific Advisory Board of the Ludwig Boltzmann Institute for the History and Theory of Biography, a member of the Advisory Board of the Institute for World Literature, a Fellow of the Center for Cross-Cultural Studies.

阿爾弗雷德·霍農：

歐洲科學院院士，現任德國美因茨大學美國研究所教授，專註於美國研究、英語文學，尤其對跨國美國研究和生命書寫領域有深入研究。作為研究教授，霍農自 2015 年起參與了德國研究基金會（DFG）的研究培訓項目「生命科學與生命書寫：在生物醫學解釋與生活經驗之間的人類生命邊界體驗」，並參與創建了美因茨奧巴馬跨國美國研究所，作為與萊茵蘭－普法爾茨州大學、大西洋學院及國際合作夥伴大學的交流平臺，自 2017 年起擔任該研究所的負責人。霍農目前正在撰寫關於孔子與美國的書籍項目，以及傑克·倫敦的專著和阿爾·卡彭的委托傳記。

霍農教授是德國美國研究會《美國研究》系列叢書的總主編，並擔任《跨國美國研究雜誌》的編輯。他還是《a/b: 自傳／傳記研究》《歐洲生命書寫雜誌》《大西洋研究》《當代外國文學》等期刊的編委。此外，他是國際自傳／傳記協會的創始成員及董事會成員，世界生態組織的創始成員及副主席，跨文化研究中心的榮譽主任，路德維希·玻爾茲曼傳記歷史與理論研究所科學顧問委員會成員，世界文學研究所顧問委員會成員，以及跨文化研究中心的研究員。

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