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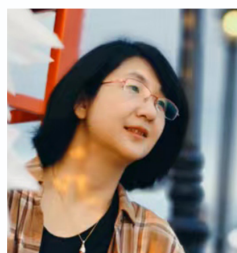
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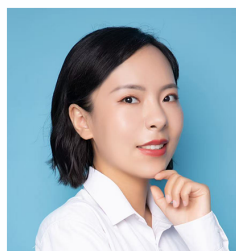
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[Special Contributions]

Rooted in Rural Culture, Practicing Living Aesthetics: An Interview with Mr. Xu Bin

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Abstract: XU Bin is a renowned writer and cultural scholar from Ma'anshan, a city celebrated for its poetry and literary heritage, where he grew up by the Yangtze River and was brought up by literary classics. His essays are deeply rooted in rural culture, exploring the spiritual core of agrarian civilization. For instance, his essay collections *The Language of Vegetables* and *Vegetable Almanac: Notes on My Farming and Reading* weave reflections on nature and life through the growth cycles of seasonal vegetables, serving both as an “ecological vegetable chronicle” and a “guide to life aesthetics”. *The Screaming Farm Tools* traces the history of farming civilization, bridging academic research and public readership. This cross-disciplinary practice, “from field to study” imbues his works with cultural preservation and social education value. His *An Illustrated Biography of the Half-Branch Plum* is the first national biography of a renowned plum tree, significantly advancing the cultural inheritance of historic villages and flora while revitalizing the contemporary relevance of cultural heritage. Xu Bin's literary work inherits the tradition of pastoral writing, unifying the intellectual's spiritual pursuit with the practice of life aesthetics. It reawakens readers' memories of and emotional connection to pristine ecosystems, offering resistance to “alienation” and inspiring the pursuit of high-quality living. His contributions also provide rich insights for the construction of a new rural culture in the socialist era. In the spring of 2025, he founded Anhui Province's first “Xu Bin Rice Culture Workshop” at the Longmen Rice Planting Family Farm in Hexian, combining scholarly discourse with hands-on farming. By integrating life with rural traditions and creative work with rice cultivation, he enriches his own existence while contributing to local economic and social development.

Keywords: Rural culture; agrarian civilization; life aesthetics

Notes on the contributors: WANG Zuyou is a professor and doctoral supervisor. WANG, born in Hexian County, Ma'anshan City, Anhui Province, graduated from the Foreign Language Department of Guangxi Normal University with a Master of Arts degree; graduated from the East Asian Scholars Graduate Program in American Studies at Yale University; and received his PhD in Literature from the College of Foreign Languages and Literature of Xiamen



University. He spent one year at Chatham University and the University of Pittsburgh. XU Bin, born in January 1963, is a senior secondary school teacher, member of the Chinese Writers Association, vice president of the Chaohu Lake Culture Research Association, director of the Association of Critics, and the executive vice president of the Hexian County Cultural Research Association and the Hexian County Writers Association.

紮根鄉土文化、實踐生活美學 ——徐斌先生訪談錄

¹王祖友 ²徐斌

¹泰州學院;²中國作家協會

摘要:徐斌是喝長江水長大、飽讀詩書的詩歌名城馬鞍山的著名作家和文化學者。徐斌散文紮根於鄉土文化,深入發掘農耕文明的精神內核。例如,散文集《蔬菜物語》《蔬菜月令:我的耕讀筆記》通過四季蔬菜的生長週期,串聯起對自然、生命的思考,既是一部「生態蔬菜志」,也是一部「生活美學指南」。《尖叫的農具》梳理農耕文明史,成為連接學術研究與大眾閱讀的橋樑。這種「從田間到書齋」的跨界實踐,使他的作品兼具文化傳承與社會教育功能。他的《半枝梅畫傳》是全國第一部名梅傳記,對於探索傳承名村名木文化,煥發文化遺產時代活力,極具推動作用。徐斌的文學創作繼承田園書寫的傳統,展現出當代知識份子精神追求與生活美學實踐的統一,喚醒了讀者對原生態的記憶與情感共鳴,為抵抗「異化」,追求高品味、高質量生活,乃至社會主義新時代的新農村文化建設提供了豐富的經驗和深遠的啟迪。2025年春天,他在和縣龍門水稻種植家庭農場創辦安徽省首家「徐斌稻作文化工作室」,既坐而論道,又躬耕勞作,試圖把生活與鄉土、稻作與創作結合起來,讓自己的人生更加充實,同時為本地經濟與社會發展作出貢獻。

關鍵詞:鄉土文化;農耕文明;生活美學

王祖友:徐老師好!很榮幸在闊別多年之後,再次和您相聚,我很想就您的文學創作和文化實踐跟您求教。先從引起我特別關注的事件開始請教您吧。

2013年「半枝梅的傳說」入選馬鞍山市第四批非物質文化遺產代表性名錄,2023年您被確定為和縣第六批非物質文化遺產「半枝梅的傳說」專案代表性傳承人。請詳細談談這件事的來龍去脈?

徐斌:王教授太謙虛了。相別多年,當刮目相待。當年一起在中學教書、寫詩,現在我還在中學教書、在中學退休,您已是博士、博導、外語學院教授、著名文化學者,感覺已有天壤之別。向您學習。感謝您的推介。

馬鞍山市和縣功橋鎮豐山杜村的這株古梅樹,高達丈餘,枝繁葉茂,為北宋「歌豪」杜默手植,至今已有千年曆史。此梅又稱宋梅、宋時梅、半枝梅,名播古今。杜默栽下名梅以後,歷代名士來此尋訪梅花,留下不少詩詞名篇。但是,由於年代久遠,關於植梅人杜默籍貫、生平,關於梅樹身份、關於半枝梅得名緣由,眾說紛紜,莫衷一是。我本來就比較關注地域文化,也因此被確定為「半枝梅的傳說」代表性傳承人,我對此應該有所作為。我們每個人來到世間,都帶著使命,有大使命,有小使命。這種使命是一種礦,是一種資源,需要開發。

在中國植物文化中,梅花是經典的意象,是獨特的存在。它可觀花,觀葉,觀果實,觀枝條。它不與百花爭豔,獨自在嚴寒時節盛開,象徵著堅韌不拔、迎難而上的高潔品質。我對「無意苦爭春,一任群芳妒」的梅花情有獨鐘,對「凌寒獨自開」「不隨世俗任孤行」的「樹格」極為景仰,於是自賦使命,幾十次踏訪豐山杜村,看梅園,與杜氏族人交朋友,查古文獻,進梅博物館,多管道找尋史料和圖片,寫研究論文和文學作品,同時關注、參與豐山杜村名村改造工程,撰寫完成 33 萬字的傳記《半枝梅畫傳》一書。這是全國第一部名梅傳記,對於提高歷史名村知名度,增強名村建設軟實力,探索傳承名村名木文化有效途徑,活化文物資源,煥發文化遺產時代活力,可能會產生一定的作用。還要說明的是,在撰寫本書過程中和本書出版以後,我多次到和縣中小學、各社區宣介半枝梅,到馬鞍山市博物館「橫江論壇」推介半枝梅,在報刊發文推廣半枝梅,每次訪梅必發朋友圈宣傳半枝梅,把學問做在大地上,力求讓文物活起來,服務於地方文化。

王祖友:徐老師,您有一雙善於發現的眼睛啊,其實我老家離功橋鎮豐山杜村更近,我卻對半枝梅的傳說聞所未聞,直到對您的事蹟有所耳聞,才知道這麼回事。三十年前我們還曾經是同事,但我都不知道您是作家,可見我們生活中可能有「熟悉的陌生人」,今天能跟我聊聊您的作家成長道路嗎?我也曾經有過文學夢呢?

徐斌:謝謝王教授鼓勵。以前不是作家;現在也只是一名寫作愛好者。

我的寫作可以從閱讀說起。2004 年,曾發表過散文《有多少書可以重讀》,回顧了我的閱讀過程。轉錄如下。

我在烏江鎮街道讀初中時,中午在農具廠食堂搭夥。炊事員大媽知道我家裏條件差,同情我、照顧我,我打二分錢的青菜湯,她會在湯裏沉下一個值一毛錢的五香蛋。我在感受著溫暖的同時,也很有些自卑,於是中午經常留在教室裏讀書。在霸王廟(當時烏江中學所在地)讀高中後,家境也沒有改變,因而午餐時常常溜到校外駐馬河邊,斜靠在河堤草地上,啃些文字和故事充饑,也並不覺得餓。

我當時讀的書大半是從增鋒(他比我大幾歲,我喊他哥)那裏借閱的。他當兵退伍時,從部隊帶回來不少書,如《紅岩》《林海雪原》《白求恩大夫》《第二次握手》,還有魯迅的許多作品。我自己擁有的第一套書《山西短篇小說選》(上下冊),是讀高中時用助學金買的,距今二十四五年了。我如饑似渴的讀書,和許雲峰江竹筠一起體味鬥爭,和少劍波小白茹一起體味愛情,和白求恩、丁潔瓊等體味工作和生活,我從他們身上受到鼓舞,原本艱難的歲月居然在快樂中不知不覺地走過了。

上蕪湖師專中文系後,我如饑餓的人見到了麵包,一頭紮進了圖書館。中文系只安排上午上課,所以我下午基本上是在圖書館度過的。星期天就靠在床上看書,從早晨睜眼直到深夜,一天能啃完一部三四十萬字的長篇。中外文學史上提到的許多名著都是在那時看的。讀書的感覺就像進了理髮店,進去前蓬頭垢面,出來後白面書生。傑克·倫敦曾用餓狼比喻讀書人,我想人真應該做一隻狠狠吞書的餓狼。

以後分配到學校教書,讀書條件漸漸好些了,我自己陸陸續續買了一些書,學校圖書室有幾萬冊書可看,偶爾還可跟朋友借閱。像海翔先生、湯平方先生都有不少藏書,書是他們家裏最美的風景。本來可以讀更多的書的,可是卻因為忙,或因為心思分散在其他瑣碎拉雜的事情上,反而沒有時間或沒有心情讀書了。

每當夜閑獨處之時,我喜歡反思流逝的歲月,拷問自己的靈魂。誠然,讀書有讀書的苦惱,讀書人常常自覺或不自覺地把書本當作現實,沉在書裏有大自然,出了書就不適應了。尤其是公關和交際,活像一頭被蒙住眼睛的蠢驢,處處顯得被動。然而一個人如果遠離書籍,就會蛻變得膚淺庸俗,以致言語無味,面目可憎。少打幾圈麻將,少看一部泡沫劇,少一點勾心鬥角,少一點爭名奪利,用心讀一讀有益



的書——像《瓦爾登湖》《生命不能承受之輕》一類教人思考的書，可以把人從忙碌沉迷的現實提升到一個較為超然的境界，一切日常引為大事的焦慮、煩悶、氣惱，以及一切把人牽扯在內的擾攘紛爭，這時就都不再那麼認真了。讀書人可能不為世俗所容，卻不妨礙他成為一個精神的貴族，讀書人也許顯得柔弱單薄，然而他言談舉止之中往往透出仙風道骨。書把人熏陶成了浪漫主義者，他雖然過著現實的世俗的生活，但他的目光永遠地向著高處。

所以不能間斷讀書。有多少書可以讀？——所有能夠使人上進，使人度過艱難，使人脫離粗俗，使人提升境界的書，比如從過去到現在給了我許多力量的書，都可以讀。有書作伴，一生平安。（載 2004 年 6 月 11 日《巢湖日報》，後收入 2009 年出版的讀書筆記《行走文字間》）

其實在小學階段，我已開始課外閱讀了。那時跟家裏人上烏江街去，就喜歡坐在街邊讀一兩毛錢一本的小人書。讀初中時，有一兩年夏秋季節，晚上經常與增鋒母親（我喊她孀），到村莊北面龍潭聽螃蟹，一晚能聽一二十斤，次日早上用稻草紮好送上街賣，好像價格是五六毛錢一斤，兩家對半分。賣螃蟹時，我就坐在書攤子邊看小人書，螃蟹賣完了，書也看完了。上大學以後、工作以後，閱讀視野打開了，除了讀愛情，也讀自然、社會、生活，閱讀已經成為生活的一部分。近二十多年來，我的閱讀是廣泛閱讀與專題閱讀的結合，每個時期的專題閱讀，又隨著寫作內容變化而變化。但我最喜歡讀的書有幾本，比如《鋼鐵是怎樣煉成的》，比如《魯迅全集》中的某些作品，比如《瓦爾登湖》，比如《一個人的村莊》，比如《村莊裏的中國》，比如《論語》。書籍確實是全人類的營養品，對人的影響是巨大的。我甚至認為，在我們所處的這個時代，閱讀也是區分人與動物的標誌之一。時代發展到今天，一個人不閱讀還怎麼立足，還能夠稱為人嗎？

我的寫作，從小學階段開始，從寫信開始，如果能稱為寫作的話，那時我家境貧困（很多人家都窮），經常得到住在南京的志剛舅舅，住在上海的姨婆和以發舅舅接濟，送煤球啊寄錢啊什麼的，姨婆那時可能在服裝廠上班，她收集各種零碎的布頭，裁成邊長約 10 公分左右的三角形，先拼成面，再做成一對枕頭套，寄到我家來。那時我母親還在，她讓父親寫信表示謝意，但是父親不寫，結果母親只得讓我寫。我從小就能體諒母親，雖然認字不多，話也說不周全，但我還是寫了，寫過讀給母親聽，母親說行就寄，不行就改。兩位舅舅收到我寫的信，總是回信鼓勵我，母親也誇獎我，後來經常寫信，可能文字方面有所進步。不幸的是，我念五年級時，母親離世，成為我心頭永久的痛。隔了幾十年的時光，回望過去，我似看見母親模糊的背影，看見我當年寫下的歪歪扭扭的信。史鐵生年青時壞了腿，常常無緣無故地發火，給他母親造成很大的痛苦。他成為作家以後，感歎說他母親那時勸他學習寫作，以改變心境；他寫出作品時，母親卻不在了。史鐵生是大作家，我不能和史鐵生相題並論，但懷念母親的心情是一樣的。

上了初中以後，我好像在寫作文方面悟到一點門道，喜歡聯想、引用、模仿，顯出一點特長。那時候教科書中經常引用毛主席語錄，用黑體字顯示，我寫作文也引用語錄，也描粗，也不知道是不是不恰當。1977 年我在讀初三，看到一篇高考作文，好像是《在這戰鬥的一年裏》，寫個年青人夜以繼日地搞研究，我就寫個學生連天帶夜地讀書，受到語文老師兼班主任戴啟嵐老師表揚，被當作範文在班上讀。那時，和我同村的一個男同學，喜歡一個女生，讓我幫他寫情書。我哪會寫啊！於是大段大段抄書，引用一點名人故事，算是幫忙。後來這事未成，說明愛情是抄不來的。後來上高中、大學，什麼題材都寫，主要寫詩、小說，可惜只是在校刊校報上發過幾回稿，得過一兩回獎。工作以後，初寫論文、散文、讀後感，幾乎什麼體裁都寫，2009 年出版第一本書《行走文字間》。這本書都是讀書筆記。

出了第一本書，就想著出第二本書，自己編了一個集子，叫《願作蔬菜靜靜生長》，包含騎行、種菜、學音樂、讀書筆記、生活感悟等幾大類，投給幾家出版社後，都不要。我在寫稿、投稿期間，有幸認識先任《池州日報》副刊主任、後任《安慶晚報》副刊編輯的魏振強先生。由於他是和縣人，以前在和縣二中教過書，而我也



在二中教書，勉強可算同事。他是熱心人，常給我鼓勵與支持，後來還介紹我認識周華誠先生，是名作家，又做出版。當時，馬鞍山有個風起中文網，也搞出版代理。在與他們的交往中，我想到一個問題，就是寫作要有文體意識，體裁、題材都不要雜，或許便於將來出書。我不是名家，文字水準並不突出，寫作一定要考慮到為什麼樣的讀者寫作，在今天，不要指望有眾多閱讀者，能有小眾讀者就已不錯。

也是機緣巧合，從2014年10月起，種起菜來。於是就讀種菜的書，寫種菜散文。當時網上似流行偷菜遊戲，投稿基本是用網絡郵箱。當時還認識一位大學師弟，散文寫得好，他教會我用傻博士投稿軟件投稿。所以，那時發表散文也多，還在《安慶晚報》《安徽商報》開了專欄，《中國政協報》《洛陽晚報》《泉州晚報》等經常用我稿子，打開百度，輸入關鍵詞「徐斌/蔬菜」，可以看到很多文章。之後，通過風起中文網、周華誠先生，分別出版了《蔬菜物語》《蔬菜月令》，反響挺好。但是，後來圖書市場又低迷了，我已印出小樣的《蔬菜表情》至今未能出版。

2020年之後，連續出版《張籍傳》《尖叫的農具》《草木詩心》，到最近出版的《半枝梅畫傳》都一樣，把泛讀與精讀結合起來，並越來越趨向於把寫作與農村生活、地方文化結合起來，把學問做在大地上，力求讓文字像蔬菜、水稻一樣生長，像梅花一樣散發芬芳。前三本書都獲得省市級獎項。《張籍傳》為我縣迄今為止唯一一部獲得安徽省文學獎圖書。2023年，我也因此當選為中國作協會員，是和縣文學史上是第一人。

王祖友：通過您介紹自己青少年時期讀書學習的經歷，明白了您是如何成為愛讀書的人——讀書曾經是您的雙重食糧，也明白您能成為「和縣好人」「馬鞍山好人」是起源於您曾經得益於「好人」的恩情。這是您的生命原鄉，從這裏可以獲得解讀您的文學創作的密碼。您有沒有思考過您和其他國內外同類作家的不同之處？

徐斌：我的成長與寫作，確實得到了許許多多的人的幫助，對此我心存感激，並以自己的方式報答他們、報答生我養我的家鄉與土地。讀我的家鄉，寫我的土地。

我不清楚您所說的「其他國內外同類作家」中「同類」是什麼意思。您或許是指文學題材，即文藝作品的主題或內容，比如城市題材、農村題材、軍事題材、商戰題材、校園題材等。如果是這個意思，那我的寫作偏重於農村題材，也可歸入魯迅先生開創的鄉土文學題材範疇。我是非常敬佩魯迅先生的，他作品中的人物大致分為「看/被看」兩類，他同情弱者。我不喜歡所謂閒適作品，尤其是在民國時期那個民不聊生的時代，提倡閒適簡直就是無聊。我30多年前買過一本書，叫「閒適散文集」什麼的，裏面沒有魯迅先生一篇文章。今天，在我看來，這正是魯迅先生意義所在。不過，魯迅先生寫「三農」的作品並不多，他的鄉土作品的最主要的意義是對於鄉村生活的最初關注。

我雖然熱愛閱讀，手不釋卷，然而所讀有限，視野狹窄，不敢也不能與中外大家同日而語。不過，相對說來，我在選材上，切入角度都小，比如蔬菜、農具、草木，都具有開創意思，我的意思是說，就我的閱讀視野而言，在我之前，沒有人只寫蔬菜、只寫農具、只寫草木，我用的又是輕鬆活潑的散文筆法，記錄種菜過程，有故事，有感情，有思考，因而擁有較固定的讀者群，可能有三類：由農村進入城市有些懷舊的中老年人；家庭生活富裕、日子較為清閒的小資女人；熱愛自然、崇尚簡單生活的讀書人。

讓我評價自己的作品，有王婆賣瓜之嫌。姑妄說之，姑妄聽之。我所說的，更多的是一種追求、一種目標。

我以自己種菜的親身體驗為基礎，不僅記錄了種菜的點滴過程，如鋤地、播種、澆水等，還深入挖掘其中的生活哲理和人生感悟。將蔬菜的生長與人生的四季相聯系，讓讀者在感受蔬菜生命歷程的同時，也能對自己的人生有所思考。此外，散文中還融入了我對社會萬象、生活百態的觀察，以及廣泛的閱讀體會，使內容更加豐富多元。

我對自然、土地、蔬菜充滿了熱愛之情，這種情感貫穿於字裏行間。以一顆敏感、善良的心，關愛著園中



的每一株蔬菜,能感受到它們生長的努力和不易,對蔬菜有著憐愛的悲憫之心。同時,我由熱愛蔬菜和菜園,延伸到熱愛大自然、故鄉、母親等世間萬物 and 人類,情感純粹而厚重,能深深打動讀者。

在文字方面,力求清新雋永、靈動而不失深度,信筆揮灑卻洋溢著清新氣息。善於運用細膩且富有想像力的描寫,如「春韭菜發芽了,紅紅的、弱弱的兩片細葉,像剛孵出的雞雛,站都站不起來,更走不動路」,讓菜園裏的動植物鮮活起來。此外,我還能信手拈來古今中外的詩文、哲言妙句,使詩情、畫意、哲理、美趣相融合。

總之,我創作的種菜散文以其獨特的視角、深刻的感悟、真摯的情感和優美的語言,為讀者呈現了一個充滿詩意和生活情趣的菜園世界,引領讀者在閱讀中認識蔬菜、體味生活、感悟人生。

王祖友:昨晚您的書給我人生難得的一個閱讀體驗的第一次——讀完您的《尖叫的農具》,這是第一次通宵達旦地讀完一本書,整個過程猶如走在鄉村田野看四時農作,走累休息時又從田間地頭穿越到農具博物館,聽您解說體現農耕文化的農具及其發明、使用者的智慧,還有作為其同伴的勞動者的喜怒哀樂。在《尖叫的農具》中,「每件農具後面都有一段故事,都有一段人生,都有一段歷史。它們連接著農事、農業、農村和農民,是鄉村生活的見證,若干年後,可能也會成為農業的化石」(234)。它們在您的筆下真的發出了令人心靈震顫的聲音,成為一個漸漸消失的時代的代言者,您的書幾易其名,最終改為這一個,的確是有震耳發聵的作用。這達到您的創作所追求的目標了吧?

徐斌:改成尖叫,我覺得滿意。從內容上說是提醒,從形式上說是散文。這個書名確實改過多次,也請朋友幫忙改過多次。在此書已經定稿、即將出版之前,有天晚上我作了一個夢,在夢裏,我突然想到「尖叫」這個詞,非常符合我的心意。我想到挪威畫家愛德華·蒙克的名畫《吶喊》(*The Scream*),在我看來,主人公就是在驚叫。

在我出版的幾本書中,農具散文集《尖叫的農具》,獲過幾次獎,有些單篇作品在《湖南文學》《天津文學》《草原》《駿馬》刊登過,影響相對較大。我在和縣、馬鞍山博物館、安徽工業大學都開過專題講座,講座音頻被安徽省某音像公司買斷。

有朋友評價說:「該書以傳統農具為載體,通過文學化的敘事手法,構建了一部兼具史料價值與情感溫度的農耕文化檔案。」我個人覺得這本書有這樣幾個特點——都是事後總結的:

首先,它是農耕文明的搶救性記錄與文化傳承。本書以人類學視角系統性地整理了四十餘種農具,依照「整地、種植、灌溉、運輸、收穫、儲藏、加工」的完整農業生產鏈分為七輯。從犁鏵、鐵耙等整地工具,到木榨、紡車等加工器械,書中不僅詳述其功能,更通過農具的演變折射中國農業文明的智慧體系。例如「扁擔:鐵肩擔道義」的標題,既點明其物理承重功能,又隱喻農民的精神韌性。

這種記錄具有緊迫的搶救性質。隨著機械化農業的普及,傳統農具正以驚人速度消失。我認為:「農具的尖叫實質是人的吶喊」,是現代化浪潮中對農耕記憶的不舍與眷戀。作品與各地興建的農具展覽館形成互補,但文字獨有的「體驗與思考」賦予了文化記憶更鮮活的溫度,使其成為物質與非物質文化遺產的雙重載體。

其次,它是文學表達與審美獨創性的整合。這些散文突破了農具說明書式的技術性描述,賦予器物以詩性靈魂,如擬人化敘事,鐮刀被描繪為「橫渡四季」的旅者,其刃上的光是「汗水的光,日月星辰的光」;木榨則被喻為「莊稼抵達的最後一座港口」,散發「勞作的芬芳」。這種修辭將工具從靜態文物轉化為承載情感的生命體。

第三,它是情感投射的深度表達:農具串聯起個人記憶,尤其是對母親的追思。書中描寫母親挑糞桶施肥的場景,「夕陽金黃的光灑在她肩上,橡膠皮帶吱吱作響」,糞桶的聲響與勞作的身姿凝結成「照亮一生的檯燈」。我有時覺得,它本質上是一部回憶錄,回憶母親,回憶農耕場景,回憶過去的歲月。

第四,它是對現代化進行反思。書名「尖叫」一詞構成核心隱喻。擬借農具的消亡,批判當代社會「利益最大化」導致的異化:傳統農耕中「熬糖稀般的甜味」「燉老鵝般的香味」被效率至上的功利主義取代,而「慢有慢的價值」,責任倫理,也在快節奏生活中逐漸瓦解。

第五,它是地域文化的學術探討與實踐。我作為和縣文化研究會常務副會長,非常關注和縣地域文化,重視田野調查。書中收錄的桅燈、駝峰(防雨農具)等器具,源自和縣善厚鎮、功橋鎮等地的實地採集。這種「在場性」使其區別於泛泛而談的農耕懷舊,或許可以成為皖江地區民俗志的重要補充。

總的來說,《尖叫的農具》試圖超越農具本身的器物志,它以散文為載體,在鋼鐵與木石的碰撞中聽見文明的「尖叫」,在汗水和泥土的交融中嗅到「勞作的芬芳」。本書用文字對抗遺忘,為消逝的農耕世界樹立了一座有溫度的紀念碑。我曾以這樣一首小詩評價拙著:「木礮磨煉人生,石碾轉動歲月//紡車綿延的日子/在鋼筋叢林裏靜默//唯有紙頁間的尖叫//提醒我們//大地曾怎樣呼吸。」

我在幾十次講座中,每次強調的重點,不是要大家回到手工勞作時代,也不可能回歸;我強調的是依附於農具其上的農耕文化精神,這就是:(一)自力更生、艱苦奮鬥的精神;(二)同心同德、共克時艱的精神;(三)尊重規律、實事求是的精神;(四)勇於創造、敢為人先的精神;(五)勤勞堅忍、樂觀向上的精神。這才是我寫作時最想達到的目標。

王祖友:看了您的簡介,您11歲就開始挑負家庭重擔,您寫杜默可能也是因其坎坷人生引起您的共鳴?「經過三十多年的不懈努力和耐心等待,杜默終於魚躍龍門,成為杜村第一位進士,也為曆陽群增光添彩。」

徐斌:謝謝您的閱讀和梳理!形式上類似,凡事要堅持!苦難也能成就人生。杜默考試考了一生,到了50多歲才以特奏名任新淦縣尉,如果他不堅持學習、應考,他就難以獲得特奏名機會。我在失去母親以後,在很多好心人的關心下上了大學,可是,別人只是外因,努力還得靠自己。我從小寫信,到後來寫作,到成為市作協、省作協、中國作協會員,如果缺乏長期堅持,就不會有這樣的結果。我寫《張籍傳》用了五年時間,寫《半枝梅畫傳》用了三年時間(前期準備資料時間不算),也都是因為堅持。現在我在龍門水稻種植家庭農場成立了稻作文化工作室,每週要去兩三次,每次去基本都是一天,觀察、研究、組織研學和觀光等。在不長的時間裏,我們組織了多場研學活動,舉辦了開秧門儀式,申報省級科普基地並獲批准。我看到一片光,就在我們的前方。假以時日,也可能做點事情。也要感謝王教授在我工作室成立儀式的致辭。您說:

一個文學老師在本該安享退休生活的時候,依然苦行僧一樣工作,甚至直接去田間地頭勞動。這是我欽佩的徐老師的新的人生,不僅在教室裏傳播文化,還要把文章寫在大地上,這是何等的情操、情懷!看著他白髮滿頭、筆耕不輟我不禁想起布袋和尚的千古名詩。《插秧歌》:「手把青秧插滿田,低頭便見水中天。心地清淨方為道,退步原來是向前。」這首詩以插秧為喻,闡釋禪理,語言通俗卻寓意深刻。徐老師不是彌勒佛,他給家鄉人們的歡樂和啟發是遠勝佛理禪經的。在建設中國特色社會主義的新時代,我們每個人或多或少可以從徐斌老師身上學習到一些在書本上、教室裏學不到或學不好的東西。

我認為這是對我的認可,也是對我的鞭策。我堅信,時間用在哪里,掌聲就在哪里。以後的日子裏,繼續關注自然、關注鄉村,用踏踏實實的工作,為農場、農村的發展發揮餘熱。

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[Studies in Translation]

Explicating Implicit Action in Chinese Chunks: A Comparative Study of Human and Machine Translation

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Abstract: This study investigates how implicit action embedded in Chinese chunks is explicated through human and machine translation. Drawing on the theory of spatio-temporal cognitive differences between Chinese and English and semantic prosody adaptation, the research adopts both quantitative and qualitative methods to compare official human translations with outputs from three large language models (LLMs). Findings reveal that: (1) LLMs show strong capabilities in decoding lexical conceptual meanings but face cognitive challenges in explicating the implicit structures typical of Chinese chunks; (2) a limited awareness of cross-linguistic cognitive frameworks and semantic prosody leads to inadequate representation of the pragmatic and cultural values of the source text; (3) while human translators often adopt a “from—meaning—function” strategy, LLMs tend to default to literal, concept-based translation approaches. The study concludes that current LLMs exhibit significant limitations in handling the implicit—explicit shift required for accurate translation of Chinese chunks, particularly in high-context discourse. It calls for optimizing translation encoding mechanisms to enhance semantic depth, pragmatic equivalence, and cultural sensitivity. These insights contribute to human—machine translation research and the improvement of LLM performance in both academic and applied contexts.

Keywords: Chinese chunks; implicit action; LLMs and human translation; comparative explication performance of human and machine translation

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漢語特色塊狀語內蘊動狀義的人機翻譯顯化研究

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摘要:本研究以英漢時空性思維差異論和翻譯學語義韻適配能力為基礎,通過定量與定性分析,探討三種大語言模型在中國特色塊狀語英譯過程中對潛隱動狀義翻譯的顯化效能。研究發現:1)人工智能翻譯中對詞彙的概念意義有較強的破譯能力,漢語隱性塊構英譯顯化則是其認知難點;2)因機譯本中漢英空時性思維差異及對深層語義韻解析意識薄弱,以致在翻譯實踐時無法等效再現源語的語用及文化價值;3)面對動狀義潛隱的塊狀語英譯時,相較於官方譯本中採用「形-義-用」的語用翻譯策略,機譯更多傾向於採用概念意義逐字翻譯策略。基於這些發現,本文指出大語言模型的翻譯編碼機制在塊構「漢隱英顯」的認知效能及對漢語高語境下多層隱性語義韻的破譯能力上嚴重偏低,建議優化人工智能的翻譯編碼規則,實現從語言形式對應到意義系統的等效綜合轉譯。相關發現和討論為今後同類人機翻譯研究、職場和課堂翻譯實踐及大語言模型翻譯能力優化提供了新的理論視角與操作範式。

關鍵詞:漢語塊狀語;動狀義潛隱;大語言模型顯隱效能;人機顯譯效能對比

一、引言

漢語作為高語境濃縮表達的典範,傾向通過語義邏輯的隱性銜接(意合)來傳遞意義,並依賴語境補全信息;而英語作為低語境語言,則側重通過語法形式的顯性標記(形合)來構建語義邏輯,要求信息的明確化。在人工智能翻譯中,塊狀語因其縮合結構、動狀義潛隱性及隱喻性特徵,對機譯系統的「形-義-用」及語義韻適配能力構成挑戰。本研究通過對四個語料庫中360組人工智能譯本與官方譯本的定量與定性對比,分析ChatGPT、DeepSeek和豆包三種大語言模型在四個例句中的表現,發現傳統分析式直譯常常割裂塊構的形義統一性,導致語義韻流失;而整體式意譯則更能兼顧形義用的協同,貼合原語的空間性特徵。漢英時空性差異通過形義用的互動影響翻譯加工,漢語塊構的離散性要求機譯系統突破線性編碼的慣性,實現語義組構和語義韻的深層轉換。

基於此,本研究提出針對性優化策略,強化大語言模型翻譯系統對塊構「形-義-用」關聯的認知建模,提升語義韻的跨語傳遞精度,優化翻譯過程中形式對應、概念等值和語用等效之間的動態平衡,最終實現漢英編碼的有效互譯。

二、研究背景

中國特色的塊狀語(或稱漢語塊構)作為中華文化的載體,因其強烈的空間性、高度的凝縮性及隱性動狀義等特徵,在智能漢英翻譯中構成了顯著挑戰。迄今為止,國內外學者已從多種視角對此展開了相關研究^①。國內的研究主要聚焦於塊狀語的認知加工機制與翻譯策略。王文斌教授從英漢時空論角度系統分析了兩種語系間的思維差異,漢語塊構的離散性與英語的延續性要求譯者在思維模式上實現空間化向時間化

的轉譯,否則可能導致形合過度或語義韻流失^{⑭⑮}。劉紹龍團隊通過實證方法進行的相關研究發現,漢語塊狀語的翻譯質量與譯者水平密切相關,低水平譯者多依賴分析性加工(直譯/硬譯),而高水平譯者傾向於整體性加工(意譯/歸化)^{⑨⑪⑫⑰}。

國外翻譯研究者對塊構的認知語言學特徵及其漢譯英的差異也給予了持續關注,Sinclair^③指出,雙語交際的意義單位多是詞組,強調塊狀語的整體性(即內涵意義+概念意義),同時也突出強調了語義韻(semantic prosody)在塊構翻譯中精準進行跨文化交際的重要性。Teubert^④提出,翻譯單位多為詞組形式,而多詞的翻譯單位(即本文所提及的塊狀語)則表達了最為穩定的意義。Jiang 和 Siyanova-Chanturia^②通過追蹤實驗進一步證實,語言使用者對程序化語言序列的處理效率呈現明顯的組塊效應。雖然不同譯者在處理多詞表達時會激活相似的神經認知機制,但高水平學習者在加工速度和準確率方面均表現出顯著優勢。

隨著人工智能技術的蓬勃發展,塊狀語的相關研究也不再侷限於單一化人譯範疇。現有人機翻譯研究已從純理論層面探討機譯的局限性^⑦跨越至具實例佐證及計量指標的實證研究^⑩,內容涵蓋人機翻譯互動效率分析^⑥以及運用自動化文本分析工具對人機譯文進行多維度特徵系統性比對^{⑧⑨}。但總體而言,現有研究多聚焦於 ChatGPT 等單一自然語言處理模型的翻譯效能,尚未納入國內人工智能大模型(如 DeepSeek 與豆包等)的綜合參照。據此,本研究旨在透過聚焦漢語塊狀語中的隱性動狀義及其機譯顯化特徵,探討如何優化現有人工智能技術的中文塊狀語翻譯,從而為大語言模型的翻譯編碼規則提供實質啟示。

三、研究設計

本研究設計了一項包含 4 道漢英翻譯題的實驗測試,運用統一的 Prompt 指令「Please translate the Chinese sentence into English, adding the implicit action verb(s) to the translation where necessary. + 例句」,旨在系統考察當前三種主流智能翻譯工具:ChatGPT、DeepSeek 和豆包在處理中文塊狀語隱性動狀義時的認知加工能力。它具體包括其對漢語隱性動狀義識解範式與顯化效能,及在英譯過程中的顯化策略與重構機制。研究採用對比分析法,對源語文本、人工參考譯文及機器譯文進行了系統的定量與定性分析:定量分析通過精確的計量統計方法呈現數據特徵,定性分析則側重探究譯文樣本的深層模式與編碼特徵。

研究問題:(1) 機譯能否成功識別原語語塊中的隱化動狀義並完成其在目標英譯中的有效顯化?(2) 機譯顯譯模式的選擇與英譯顯化效能呈現多大程度的關聯性?(3) 機譯的中國特色塊狀語英譯結果與官方譯文相比有哪些局限性和可優化性

語料選取:研究者選取了具有代表性的四個不同類型的現代及古漢語塊狀示例,它們均存在動狀義的隱化情形,對大模型驅動的機譯顯化構成不同程度的認知挑戰。

- 1) 以和為貴,和而不同,睦鄰友邦、天下太平……
- 2) 古人說:「非知之難,行之惟難」;
- 3) 要向前展望、超前思維、提前謀局;
- 4) 登高使人心曠,臨流使人意遠。

四、結果分析

下文旨在透過定量、定性視角對本研究三個大語言模型驅動的動狀義顯譯結果及其相關數據分別展開量化、質性分析,揭示塊狀原語動狀義的潛隱性、動狀義顯化的機譯特徵及其與高水平人工譯文之間的顯著差距。

(一) 定量分析

為保障實驗數據的科學性與嚴謹性,本研究的實證數據均源自對 4 個標準漢英翻譯語料的系統性解析。研究首先根據所選語料,對 ChatGPT、DeepSeek 及豆包三款模型的譯文本進行統計;每個語料在上述每種機器翻譯系統中均採集 30 組譯文並完成分類,最終獲取 360 組人工智能譯文樣本。該數據規模為後續開展數據分析提供了實證支撐,並確保研究結論的可靠性與有效性。隨後,通過採用平行語料對比分析法,對官方人工譯本與多種 AI 機器譯本進行了逐句比對,從而揭示不同智能翻譯系統在處理特定語言現象時的共性與差異特徵。為增強研究的可視化程度,每個源語實例均配有詳細的量化指標(以百分比形式呈現),這不僅有助於直觀呈現翻譯差異的顯著性程度,更為後續相關研究提供了可靠的數據支撐和應用參考。

下列源文本示例均涉及漢隱英譯顯問題,通過前期積累研究,現預設動狀義的四種顯譯類型:1) 零譯(ZE),是指機譯完全忽略句中動狀義潛隱的情況;2) 局譯(PE),是指機譯只譯出整句句中部分動狀義;3) 同譯(SE),指機譯與官方譯本漢隱英顯隱模式及內容相同;4) 變譯(VE),是指機譯顯隱表達與官方譯文不僅不同且有變義現象。其相應的四類顯隱在不同例句及大語言模型中百分比數據如下表 1 所示。

顯 模 與 結 果 例 句	零譯 (ZE)			局譯 (PE)			同譯 (SE)			變譯 (VE)		
	ChatGPT	Deepseek	豆包	ChatGPT	Deepseek	豆包	ChatGPT	Deepseek	豆包	ChatGPT	Deepseek	豆包
例 1	20%	13.3%	3.3%	46.7%	36.7%	96.7%	13.3%	6.7%	0%	3.3%	43.3%	0%
例 2	3.3%	26.7%	40%	16.7%	16.7%	36.7%	0%	0%	0%	80%	56.7%	23.3%
例 3	40%	66.7%	13.3%	50%	33.3%	86.7%	0%	0%	0%	10%	0%	0%
例 4	43.3%	100%	100%	0%	0%	0%	0%	0%	0%	56.7%	0%	0%

表 1 機譯四類顯譯模式(「顯模」)在四個譯文中的占比

表 1 量化結果顯示,在進行潛隱動狀義翻譯時,三種大語言模型的譯文在四個例句中均呈現了低占比同譯現象。語料數據分析揭示,當原語中涉及固定搭配、常用句式或通用概念時,智能機譯系統傾向選擇相對固化的最優翻譯方案,並通過對應詞彙的逐字翻譯達到降低語義偏差風險的目的。例如,對於例 1 中的「睦鄰友邦」這類有文化內涵但已形成相對統一譯法的表達,訓練語料沉澱出的主流譯法會造成高頻雷同的翻譯現象。而針對例 4 這種蘊含語義韻的隱喻性或文化負載塊狀語,訓練語料中均存在多元適配的翻譯策略。針對關鍵節點詞、類聯接、搭配及語義趨向,三種大語言模型均會在主譯文後提供註釋解析,且模型輸出的多樣性也顯著提升,例如其中 DeepSeek 會直接在主譯文後提供更多意釋類型及譯文供人工選擇。然而,翻譯策略的多樣化也無法保障語義、語用及文化價值在跨文化譯文中充分再現,以致多數機譯結果無法如官譯一樣在形式對應、概念等值和語用效力之間尋求動態平衡。正如表 1 所示,除例句 1 外,其餘譯文均為無同譯現象產生。此外,相較於 ChatGPT 的高占比變譯,DeepSeek 與豆包作為國產人工智能系統,對漢語語義韻的識別能力更為突出,變譯情形相對減少。

(二) 定性分析

下文例句中的插入符號「^」用來標記源句的動狀義潛隱位點,此為本次研究的核心觀測對象。鑒於研究共涉及 360 組人工智能譯文(每例句對應 90 組譯文),為實現樣本的精準溯源與區分,後續分析將採用「模型名稱 + 序號」的標識規範,例如「DeepSeek 23」特指 DeepSeek 生成的第 23 份譯文。該標識體系可確

保在多維度對比分析中,各組譯文的來源屬性與序列資訊清晰可辨,為數據解讀的精確性提供方法論支撐。

示例 1:官譯「seek / foster / achieve」與機譯的「異類」翻譯

原文 1	以和為貴,和而不同,睦鄰友邦、天下太平…… (註:前面的插入符號「.」為動狀義潛隱處)	顯譯類型
官譯	peace is of paramount importance; seek harmony without uniformity; foster friendship with neighbors; and achieve universal peace...	seek/foster/achieve 顯譯
ChatGPT 25	We uphold harmony as a core value, pursue unity while respecting differences, cultivate friendly ties with neighboring and allied nations, and work toward peace throughout the world.	ZE
ChatGPT 26	We regard harmony as most valuable, seek unity while respecting differences, build friendly relations with neighboring and allied nations, and strive to achieve peace throughout the world.	PE
Deepseek 23	Prioritize harmony through active cultivation, Seek unity while consciously preserving diversity, Diligently foster good neighborly relations, And tirelessly achieve global peace [to ensure shared prosperity].	SE
Deepseek 26	Harmony must be actively cultivated as our guiding principle to foster mutual prosperity, Unity should consciously embrace diversity to strengthen collective resilience, Neighborly relations require dedicated nurturing to build lasting trust, And global peace demands persistent pursuit to ensure shared stability.	VE
豆包 3	We should take harmony as a precious principle, pursue harmony without uniformity, build good-neighborly relations with friendly nations, and strive for peace in the whole world.	ZE
豆包 30	We should hold harmony as a precious virtue, pursue harmony without uniformity, foster good-neighborly relations with allied nations, and strive for peace under heaven.	PE

表中源語四個並列塊狀序列形成遞進式類聯接,從而構建了從核心價值(「以和為貴」)到辯證法則(「和而不同」),再到實踐路徑(「睦鄰友邦」),最終指向目標願景(「天下太平」)的邏輯鏈條。四句塊構之間雖無顯性連詞,但通過語義內涵自然推進呈現遞進趨勢。也正因為四字塊特有的韻律,塑造了兼具規勸和倡導的溫和性語義韻。

為實現漢英語言時空性編碼範式的有效轉換,還原源文的文化內涵與蘊意,官譯放棄了採用一對一的直譯模式,在保持目標語概念意義、內涵意義及搭配意義完整前提下,對塊語中多處潛隱動詞進行英譯顯譯處理。譯本通過分號與「and」的添加,既保留了原文的「理論(peace is of paramount importance)——方法(seek harmony without uniformity)——實踐(foster friendship with neighbors)——目標(and achieve universal peace)」的四步隱性遞進邏輯,有效再現了類聯接的功能,又符合目標英語的線序表達偏好,強化最後一個四字塊的目標性,利於外語者更好地感知語義的遞進關係。

前兩句中的「和」為語塊中的節點詞,承載中華傳統哲學中「和諧(peace)」和「和平(harmony)」的深層含義,官譯中的一詞多譯模式也體現了「和」的多維度理解。漢隱英顯的「seek」、「foster」、「achieve」均為行為動詞,它們傳遞了主動構建良性關係的語義趨向,與源語中隱含的「積極作為」價值導向一致。通過三種

語言模型的顯譯模式占比可知,本例句「漢隱英顯」詞的辨認難度相較於其他三例較低,故而局譯(PE)占比為 65.5%,同譯(SE)占比為 6.6%,屬於四例句中漢隱譯顯效果最優範本。三種自然語言處理的各有千秋,ChatGPT 譯本中,「seek」一詞的譯出率為 40%、「foster」為 33.3%;豆包譯本中,除了標中的第三句外,其餘所有均完整譯出「foster」一詞,顯譯率高達 96.6%;DeepSeek 譯本中,「achieve」一詞的顯譯率為 40%。三種翻譯模型的均有用「build」一詞代替官譯「foster」的譯句,如 ChatGPT 26 及豆包 3,「build」一詞缺乏積極的語義趨向。DeepSeek 26 則是通過情態動詞的密集使用及類聯詞的顯性化重構、「mutual prosperity」和「collective resilience」等短語的加入為譯文注入「共贏」「韌性」等現代積極概念,使漢文中的梯度語義韻從「傳統倫理倡導」轉向「現代發展延伸」。

示例 2:官譯「acquire」與機譯的「異類」翻譯

原文 2	古人說:「①非知之難,②行之惟難。」 (註:前面的插入符號「.」表示動狀義潛隱處)	顯譯類型
官譯	「It is not knowledge but action that is difficult to <i>acquire</i> .」	acquire 顯譯
ChatGPT 18	The ancients said, “It is not understanding what is right that is difficult; it is putting it into <i>action</i> that is truly hard.”	ZE
ChatGPT 23	The ancients said: “It is not knowing that is difficult; rather, it is putting that knowledge into <i>practice</i> that is truly hard.”	ZE
Deepseek 2	The ancients taught: “To know is not difficult; the true challenge lies in putting knowledge into <i>practice</i> .”	ZE
Deepseek 18	The ancients said, “Knowing is not the difficulty— <i>acting</i> is.”	PE
豆包 1	The ancients said, “It is not the knowing that is difficult, but the <i>doing</i> .”	PE
豆包 13	The ancients said, “The difficulty does not lie in knowing, but in <i>acting</i> .”	PE

表中的原文例 2 由兩個高凝練四字塊古文的對仗形式組成,是一個濃縮了中國哲學「知行觀」、倫理觀與語言藝術的文化符號,體現了古人對「知」與「行」關係的思考,強調了實踐的難度及重要性。從語義結構可以看出,該句以「非 … 惟 …」的緊縮結構構建辯證關係。前句通過否定詞「非」消解了「知」所攜帶的「難」屬性,後句則通過副詞「惟」強化「行」的「難」性特質,組成「知易行難」的凝練表達。這兩句四字塊對比,並非簡單的概念意義解析及內涵意義判斷,而是通過「非 … 惟 …」的類聯接構建了「行」對「知」的超越性語義趨向,突出我國哲學思想中「重行」的實踐理性特質。

官方翻譯「It is not knowledge but action that is difficult to acquire.」通過「not … but …」結構再現了原句「非…惟…」的否定 + 肯定對比框架,構建了「行」對「知」的價值階層超越,這一句法凸顯機制也強化了語義趨向中「行」的實踐前提性。此外,官譯中並不是簡單地把「行」譯為 action,而是進行了動潛譯顯的適時轉化,通過顯譯動詞「acquire」強調「獲取能力」的目的性語義韻,成功進行文化轉譯。此外,譯文通過焦點化句式潛隱了原文中的「惟」字,這種轉譯策略既有效再現原句的多維度價值「語形價值 + 語義價值 + 語用價值」,也合理地將源語的強意合塊狀性特徵譯化為具有強形合延續性特徵的目標語譯文。

與官譯相比,在形式層面,豆包譯本中有 96.6% 譯文實現了對原句對比結構的成功模仿,將「not … but …」句式再現成功傳遞核心信息,而 ChatGPT (23.3%) 和 DeepSeek (10%) 則傾向於用更為多樣的翻譯模式,如譯文中的「It is not … it is」或用「rather」代替「but」等。然而,也並不是譯出句型就能傳達正確的語義趨向,如豆包 1 中僅句型複刻,不僅難以傳達「惟」所蘊含的「超越性」意味,而且弱化了「行」中「惟難」的超越性語義韻。節點詞「行」與「acquire」動狀義顯譯的翻譯為本句重點,然而三種多用途語言



模型的翻譯結果均未完整實現其漢隱英顯過程,53.3% 採用變譯模式將其顯譯為「lie in」或「put ... into」再加上「行」。多數譯文將「行」簡單化處理或譯為動名詞性,不同語言模型有其特定高頻譯詞,如 ChatGPT:practice 60%,DeepSeek:practice 40%,豆包:do 53.3%。此外,從語義韻視角看,原句的核心不僅是陳述「知易行難」的事實,更在於通過對照性主題「行」和「知」對比實現倫理勸解,引導聽者重視批判空談、實現價值。多數譯句雖傳遞了「知不難,行動難」的事實資訊,但因缺乏「acquire」動狀義顯譯,其勸解功能的語義韻大幅削弱,從具有範式意義的哲學箴言降格為一般性經驗總結,使其譯文未能實現原句在文化語境中以言勸行的語用價值。

示例 3:官譯「strive / proactively」與機譯的「異類」翻譯

原文 3	要.向前展望、超前思維、提前謀局。 (註:前面的插入符號「.」為動狀義潛隱處)	顯譯類型
官譯	We must <i>strive to</i> look forward into the future, think beyond the times, and <i>proactively</i> draw up plans.	strive proactively 顯譯
ChatGPT 20	We must look ahead, think ahead of the curve, and plan <i>proactively</i> in advance.	PE
ChatGPT 30	We <i>need to</i> look ahead, think with foresight, and plan in advance.	VE
Deepseek 7	We must survey the horizon with foresight, outthink emerging challenges, and preemptively design strategic frameworks.	ZE
Deepseek 20	We must actively scan the horizon for emerging trends, strategically anticipate future developments, and <i>proactively</i> design solutions ahead of challenges.	PE
豆包 5	We should look ahead, think ahead of the times, and plan in advance.	ZE
豆包 12	We should look ahead, think ahead of the curve, and <i>proactively</i> plan in advance.	PE

表中的原文例 3 由「要」加上三個典型的漢語四字塊排比組成,蘊含強烈的行動導向與時間維度的遞進關係,句中「展望」「思維」「謀局」為核心節點詞,具有動態抽象的內涵意義,其語義邊界較為模糊且對使用語境有依賴性,這也使得譯者在漢英轉譯中必須在維持語義完整性和表述簡潔明了中進行權衡,單一詞彙易造成其內涵意義與眾多附加意義的缺失。源文本通過兩個分號構成並列類鏈接,塊構呈現「時間維度遞進 + 行動強度升級」的隱性梯度邏輯鏈(向前——超前——提前,從認知到行動),但由於漢外語系的邏輯思維差異,英語的強形合性勾連特徵難以直接復現漢語的強意合性隱性關聯。

官譯精準把握了漢隱英顯的語言特性,節點詞的翻譯通過顯性動狀義將源文本中節點詞的隱性語義顯化,「strive to」一詞顯化了「強行動力和目標性」,「proactively」顯化了「主動謀劃」的特徵。原三個四字塊短語通過漢語強意合性特徵自然銜接,隱性傳達了「認知——思考——實踐」的遞進邏輯,譯文的類聯接則需要通過英語強形合性特徵顯化這一邏輯進行重構,「and」顯性標記了三者之間的並列關係,同時通過三個動詞「look——think——draw up」的語義層級遞增復原了其隱性梯度邏輯,通過英語的情態動詞「must」的指令性和固定短語「draw up plans」的正式性顯化傳遞原句語義韻的莊重性特徵。

根據統計可知,三種生成式人工智能 63.3%的譯文均譯出了情態動詞「must」,顯性化原句「要」的指令性,將漢語隱性的「勸解指令」和「義務感」混合語義韻通過英語顯性的「情態約束」完成譯轉,避免因缺乏顯性標記導致的語用功能弱化。豆包中的所有譯文(占整比 33.3%)均採用「should」,雖顧了委婉與指令性,但委婉語氣與原句的「必須性」存在差距,更有 3.3%的例句選用「need to」(如豆包 5),雖然側重必要性,但弱化了「應然性」,使語義韻從「主動引領」降格為「被動遵循」,與原句積極主動的語義趨向不符,形成變譯現象。對「提前謀局」這一語塊的處理,豆包與 ChatGPT 的譯文均採用「plan in advance」,部分譯文雖加入了

「proactively」強調思維的主動性與前瞻性,但與官譯相比缺乏專業性,導致其語義韻弱化。此外,因所有譯文無譯出「strive to」一詞,語塊中隱性的「主動進取精神」無法轉譯為英語的顯性詞彙標記,不符合英語「通過詞彙直接傳遞態度」的表達習慣,相比之下,官譯既保留了源文本核心語義與語用功能,又符合英語「信息顯性化、邏輯形式化」的編碼規則。

示例 4: 官譯「(will)enjoy」與機譯的「異類」翻譯

原文 4	登高使人.心曠,臨流使人.意遠 (註:前面的插入符號「.」為動狀義潛隱處)	顯譯類型
官譯	From a mountain top you <i>will enjoy</i> a broader outlook; down by the riverside you <i>will enjoy</i> a pleasant prospect	will +enjoy 顯譯
ChatGPT 17	Climbing to a high place makes one feel broad-minded and at ease; standing by a flowing stream causes one's thoughts to stretch into the distance.	VE
ChatGPT 21	When one ascends to a height, it clears the mind; when one stands by a flowing stream, it lets the thoughts drift afar.	ZE
Deepseek 6	To ascend heights refreshes the heart; to linger by streams expands the mind.	ZE
Deepseek 15	Scaling heights lifts the soul; contemplating streams expands the mind.	ZE
豆包 13	Reaching high places lifts the spirit, and lingering by flowing waters broadens the mind.	ZE
豆包 27	Scaling a height unshackles the heart, and lingering by flowing waters extends the thoughts.	ZE

表中的原文例 4 源自《慎子·逸文》,屬於典型的古漢語意象化高語境濃縮表達,通過簡約文字符號承載豐富隱性內涵和高密度文化意義,是「意合傳統」與「意象思維」在語言形式上的典型體現,譯者的意義重構高度依賴其對共享的文化語境理解,這也使得很多文化中特有的搭配聯想在轉譯過程中被簡化為普適性語義搭配。兩句呈對稱性七言古語是具有塊狀性和離散性的強意合漢語句型。「動(登高/臨流)+使+人+形(心曠/意遠)」在具延續性和勾連性的強形合目標語中難以複製,英語的主謂賓結構雖僅能傳遞出語義共選關係,卻也一定程度地破壞了原句的音韻美、形式美與意境美。

漢語的意合表徵使原文多處隱性關聯無需顯性動詞標記,英譯過程則需顯化其隱藏的動狀義,明確動作主體與狀態的關係。官譯中的「will enjoy」則是為了適配漢隱英顯這一編碼偏好,將塊構中的隱性動狀義向英語顯性動狀義轉換,核心功能是通過顯性非主動的「動(登高/臨流)——狀(心曠/意遠)」因果鏈,重構成主動獲取的邏輯關係以適配英語表達習慣。

根據統計可知,三種自然語言處理的 90 份智能譯文均無同譯(SE)表現,無一成功轉譯出「will」和「enjoy」兩詞。兩個語塊中也僅 20% 的譯文轉譯了原文中的「使人」,均譯為「helps one(ChatGPT 1 等)」、「makes one(ChatGPT 17 等)」和「allows one(ChatGPT 10 等)」。80% 的譯文均將「使人」二字進行了漢顯英隱處理,如 DeepSeek 16,豆包 1 等。它們用四個核心節點「登高」「臨流」「心曠」「意遠」構建從動作到心理的關聯,通過動詞精準化與名詞抽象化實現語義聚焦,強調主體行為與結果。這種語義共選模式雖符合英語「簡潔、邏輯顯性」的形合極簡化表達規範,但對其內涵意義與文化語義韻進行了壓縮,也暴露了古典意象在跨文化傳遞中難以避免的語義縮減傾向。就此大規模現象,三種翻譯模型均在譯文註釋部分通過語義解析,提供多類型翻譯或隱喻義註釋化方式企圖進行意象補充。

五、發現與啟示

下文表 2 中的統計數據顯示,三大語言模型在處理隱性動狀義顯譯時,四類變異性顯譯模式的使用頻率呈



現出階梯式差異。零譯(ZE)模式以占比 39.1%的使用頻率位居首位,其次是占比 36.4%的局譯(PE)和占比 22.8%的變譯(VE),同譯(SE)占比僅為 1.7%。此外,通過三種 AI 翻譯模型各自現有的統計結果可知,豆包譯本的同譯率最低但局譯頻率最高,ChatGPT 譯本中變譯現象最為突出,DeepSeek 的零譯頻率最高。

顯譯模式	總出現頻次(共 360 次)	總占比 100%	ChatGPT	Deepseek	豆包
零譯(ZE)	141 次	39.1%	32 次 / 26.7%	62 次 / 51.6%	47 次 / 39.2%
局譯(PE)	131 次	36.4%	39 次 / 32.5%	26 次 / 21.7%	66 次 / 55%
同譯(SE)	6 次	1.7%	4 次 / 3.3%	2 次 / 1.7%	0%
變譯(VE)	82 次	22.8%	45 次 / 37.5%	30 次 / 25%	7 次 / 5.8%

表 2 三種大語言模型機譯潛隱動狀義異類顯譯的四種模式與統計結果

透過對表 2 相關數據的定量與定性分析,本文獲得以下 6 點重要發現與啟示:

1) 鑒於漢英兩種語言的空時性思維差異,多數 AI 翻譯工具在處理源文本時缺乏對源語中隱含動狀義的充分挖掘,未能實現漢英語言時空性編碼範式的有效轉換。雖然譯文在「可理解性」方面達標,但在「文化保真度」上存在明顯侷限性;

2) 機譯範文傾向採用逐詞對應的「安全」策略,高頻詞彙與句法的使用體現出口語化的適眾性;而官譯範文則善於基於源語潛隱概念進行整體性轉譯,選擇更具專業性的語言與書面化方式對目標語進行顯性重構;

3) 三種大語言模型的輸出譯本均具有高頻率雷同現象,差異多體現在同義詞替換、句式微調等,未體現深層翻譯策略的根本變化,這是語料經過 AI 訓練後形成的語境適配性最優解的重複表徵,也反映了機譯「核心語義穩定性」與「表層形式隨機性」的共存特徵;

4) 機譯文因經過大規模文本數據的預翻譯訓練,不存在原文轉譯過程中「形(語法與拼寫)」與「義(概念意義)」方面的翻譯低級錯誤,但在理解和傳播反映態度意義和交際意圖的「語義韻」(semantic prosody)上存在認知加工瓶頸;

5) 由於漢語高語境表達在英語低語境轉譯過程中「凝練性」與「意涵完整性」的張力難以復刻,相較於官方和諧的「形式精簡+意義完整」譯本中跨文化共生,機譯更多選擇「可讀性優先+釋義補充」的編碼原則,在跨文化的意象傳遞過程中進行語義壓縮;

6) 本文基於機譯四種動狀義顯譯「異化」類型的量化分析結果表明,在克服低占比同譯(SE)和高占比零譯(ZE)模式上,機譯仍需在「語義韻」及文化意義方面優化翻譯策略。

六、結論

本文以漢英空時性思維和「形、義、用」跨語言短語系統差異對比為指導,通過定量定性分析,歸納出 ChatGPT、DeepSeek 和豆包三種 AI 翻譯工具在漢語塊狀語潛隱動狀義英譯顯化過程中彰顯的四種異化模式,並據此獲得以下結論:一、機譯強調翻譯中的語言意義(即概念意義),雖然保持了塊狀結構,但將兩句作為並列句,沿用了漢語空間性原語的塊狀性、離散性編碼特徵,並未遵循英語時間性思維觀照模式,以致目標英譯時間性特質下勾連性、延續性的線序編碼特徵短缺且轉折性邏輯內涵未能在譯文中獲得顯化;二、官譯側重語用翻譯(即內涵意義),在概念意義整合度高的前提下,突出語言內核和交際意圖的語義韻表達。譯文遵從英漢不同的時空思維觀,將漢語並列式強意合塊狀結構轉化為英語的強形合延續性線序表達,顯



化了英譯文的隱性(轉折)邏輯,實現了漢—英翻譯空間性至時間性、隱化特徵至顯化特徵的順應轉換;三、大語言模型的翻譯難點不在於字面「形」與「義」的轉換,而是「用」在跨文化語言轉譯中難以完整重構的問題,如節點詞的語義深度、類聯接的邏輯性、搭配的文化慣性、語義趨向的引導性和語義韻的情感加載等。

有鑒於此,我們建議基於功能對等、英漢時空論與「形義用」共現原則,優化大語言模型的翻譯編碼規則,實現從語言形式對應到意義系統等效的綜合轉化。訓練 AI 對語言符號、隱性文化意象、心理隱喻與審美意境的靈敏度,並生成合理的動狀義顯化規則,以保障大模型對目標語轉換中的原語深層內涵的精準理解。此外,本研究的文本觀察對象數量相對有限,顯隱分類模式和質性分析的主觀性難免。我們期待在未來的研究中,同行學者避免上述情況的侷限性,並且在源文本和大語言模型多樣化等諸方面有所提升。

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A Study on the English Translation of Culturally Loaded Words in Folktales from the Perspective of Skopos Theory: Taking *Tales of Enshi* as an Example

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Abstract: Chinese folktales are intrinsically linked to the lives of ordinary people, embodying the wisdom and lived experiences of the working masses. Against the backdrop of China’s cultural revitalization, the international dissemination of Chinese folktales is an inevitable trend. Based on the authors’ translation practice of *Tales of Enshi* and guided by Skopos Theory, this paper employs Nida’s cultural classification framework to systematically analyze English translations of culturally loaded words across five categories: ecological, material, social, religious, and linguistic. It explores strategies for the cross-cultural transformation of such terms in folktales. Translators should dynamically select between domestication and foreignization strategies according to the text’s function and target readers’ cognition, while keeping the translation purpose and audience clearly defined. To address cultural divergences (e. g., Chinese “filial piety” ethics vs. Western individualistic values emphasizing independence), a comprehensive approach is required—integrating strategies such as annotation compensation, functional equivalence, and image generalization. Methods like literal translation, transliteration, free translation, amplification, omission, and paraphrasing should be flexibly employed to strike a balance between cultural authenticity and readability, thereby achieving effective cultural communication.

Keywords: Skopos Theory; *Tales of Enshi*; English translation of culturally loaded words; translation strategies; translation methods

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翻譯目的論視角下民間故事中 文化負載詞的英譯探究 ——以《恩施故事》為例

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摘要：中國民間故事和老百姓的生活息息相關，是中國廣大勞動人民智慧與生活經驗的結晶。在文化強國的背景下，中國民間故事的對外傳播是大勢所趨^①。本文從翻譯目的論視角，結合奈達的五大文化因素分類模型^②，以筆者《恩施故事》的翻譯實踐為基礎，系統分析生態、物質、社會、宗教及語言五類文化負載詞的譯例，探究民間故事中文化負載詞的跨文化轉換策略和方法。在明確翻譯目的和目標讀者的前提下，譯者應根據文本功能與目標讀者認知，動態選擇歸化或異化的翻譯策略。針對中西文化差異，如中國的「孝道」倫理與西方個體獨立價值觀，需綜合運用注釋補償、功能對等、意象泛化等翻譯策略，靈活使用直譯、音譯、意譯、增譯、省譯、釋義等翻譯方法，力求在文化異質性與譯文可讀性間尋求平衡，實現文化有效傳播。

關鍵詞：翻譯目的論；《恩施故事》；文化負載詞英譯；翻譯策略；翻譯方法

一、引言

民間故事是民間散體敘事文學的一種體裁。又稱「古話」「古經」「說古」「學古」「瞎話」等。民間故事有廣義與狹義之分。廣義的民間故事是泛指流傳在民眾中與民間韻文相對的民間散文敘事作品；狹義的民間故事指除神話、傳說之外的，一系列具有神奇性幻想色彩或諷刺性奇巧特點很強的散文敘事作品^③。

《恩施故事》由名人故事、古跡故事、山水故事、風情故事、民俗故事五大板塊構成，每個板塊有多個同類型的小故事，這些故事由恩施州作家協會搜集編印而成，其中的名人、山水或民俗風情等大多口口相傳且均與恩施密不可分，故事情節不乏有神奇色彩，虛實結合，是一本地方特色較強的民間故事集，其中蘊含大量文化負載詞文本，這些文化元素無疑是翻譯中的重點和難點。

根據中國知網的統計，自 1982 年起，民間故事翻譯主題相關的文獻共計 344 篇，其中 CSSCI 期刊和北大核心期刊相關論文共計 32 篇。據 CNKI 可視化分析，從 1982 年至 2010 年相關論文數量基本持平，發表數量每年最多 3 篇，發表年獻間隔為 2 至 5 年，年限間隔相對較大。2010 年至今，論文數量呈波動式顯著上升，每年都有相關論文發表，自 2019 年起，每年發表量更是高達三或四十有餘，熱度持續居高不下。資料的波動體現了學界對國家戰略和要求的積極回應，在「文化強國」戰略與「講好中國故事」的背景下，學界逐漸聚焦於民間故事的翻譯。

上述文獻的主題有民間文學、漢英翻譯、翻譯實踐報告、翻譯策略、翻譯方法、文化翻譯、文化負載詞等。理論視角有文化翻譯理論、接受美學理論、深度翻譯理論、生態翻譯學理論等。也有學者將翻譯目的論與民間故事翻譯相結合，如學者蘇紅瑞指出「以目的論為理論框架，研究海南民間故事的英譯策略，研究發現，在

英譯海南民間故事時,直譯、意譯、加注、增譯、減譯、套譯都是經常能被使用到的翻譯策略^①」。有學者將五大文化因素分類與其他體裁文本相結合分析文化負載詞的翻譯,如學者詹茜華指出「小說《孔乙己》中的文化負載詞可分為物質文化負載詞、社會文化負載詞和語言文化負載詞等類型,一般採用直譯、歸化和異化等翻譯策略,有著不同的翻譯策略,達到文化的移植和通融,消解跨文化交際的障礙和困境^②」。也有學者結合翻譯目的論、五大文化因素分類與其他體裁對文化負載詞的翻譯進行研究,如學者王靜以《舌尖上的中國 I》中的語言文化負載詞為研究物件,結合翻譯目的論整合成成語、順口溜、俗語的翻譯策略和方法^③。翻譯目的論的最高準則是目的決定翻譯行為^④。將翻譯目的論或五大文化分類與其他體裁文本結合分析翻譯問題的文獻數量眾多,但在檢索的 344 篇文獻中,尚未發現有結合二者對民間故事文本中的文化負載詞進行研究的。因此,本文以《恩施故事》翻譯實踐為基礎,結合翻譯目的論和五大文化因素分類,對其中的文化負載詞的翻譯策略和方法進行整合具有一定的創新性,以期為同類型文本的翻譯提供參考。

二、翻譯目的論概述

翻譯目的論最初由凱特琳娜·賴斯(Katharina Reiss)在 1971 年出版的《翻譯批評的限制與可能性》一書中提出,並形成了相關的早期理論。賴斯認識到,在現實語境中,完全的對等翻譯往往難以實現,原因之一一是譯文的目的與源文本的目的存在差異。因此,翻譯的首要任務不再是追求完全的對等,而是關注翻譯的功能和目的。隨後,賴斯的學生漢斯·弗米爾(Hans Vermeer)進一步研究了對等理論的局限,並在 1978 年提出了翻譯目的論的基本原則。弗米爾認為,翻譯應視為源文本的轉化行為,其核心在於滿足特定文化背景下的翻譯目的。1984 年,弗米爾與賴斯共同出版了《普通翻譯理論基礎》,闡述了翻譯中目的的作用。隨後,克利斯蒂安·諾德(Christiane Nord)和賈斯塔·赫茲·曼塔里(Justa Holz Manttari)對這一理論進行了進一步的豐富和完善。曼塔里提出,翻譯應被視為一種複雜的行為,旨在達成某些目標,並強調翻譯過程中的參與者和語境的作用;諾德則引入了「忠誠原則」,並廣泛應用目的論於多角度的翻譯研究中^⑤。

翻譯目的論主要有三大原則:目的原則(skopos rule)、連貫原則(coherence rule)與忠實原則(fidelity rule),三者的等級不一,連貫原則高於忠實原則,同時二者服從目的原則。目的原則是目的論最核心的原則,指的是翻譯要使得譯文在譯文語境中發揮某種功能,能在譯文文本使用者身上發揮應有的功效,甚至等同於原文在原文使用者身上發揮的功效。連貫原則,或語內連貫原則,是指目標文本的可讀性及其在目標讀者群中的接受程度,亦指譯本在目的語看來是連貫的、可接受的、可讀的。忠實原則,是指翻譯和原語文本之間的語際連貫,即原文與譯文之間應該保持語際連貫一致,類似忠實於原文^⑥。

翻譯目的論強調翻譯目的文化傳播的決定翻譯策略,突出譯者的主觀能動性。該理論自提出以來,國外眾多翻譯學家在其指導下研究翻譯變體並根據翻譯的目的以及具體的語境對譯文進行適當地刪減、保留和改寫等。國內隨著目的論研究的不斷深入,學界對此有了進一步的認識,該理論在中國得到了廣泛的傳播和接受,主要應用於翻譯策略的研究,對中國的翻譯研究產生了深遠的影響^⑦。

三、《恩施故事》中文化負載詞的分類和翻譯

翻譯目的論認為,翻譯的最終結果是目標讀者接受譯文,所以譯者在生成目標文本前應分析目標讀者的需求,而目標讀者所處的時代背景、文化素養決定他們對譯文的需求不同,譯者應考慮到目標讀者的個體差異,針對性進行翻譯^⑧。《恩施故事》的核心翻譯目的是向國際英語讀者生動、準確、有效地介紹恩施獨特的自然人文景觀、土苗民族風情與歷史傳說,主要目標讀者群體是對中國文化有濃厚興趣的普通英語讀者,



如旅行愛好者、文化探索者、歷史愛好者等。

文化負載詞是指標志某種文化中特有的事的詞、片語和習語。這些詞彙反映了特定的民族在漫長的歷史進程中逐漸積累的,有別於其他民族的、獨特的活動方式^⑨。文化負載詞承載著中華傳統燦爛文明,在文學作品中被大量使用。但由於中英文間的巨大差異,一種語言中的文化負載詞在另一種語言中往往沒有完全對應或契合的詞,在翻譯這些詞時經常會出現弱譯、漏譯或過譯的現象,導致「文化空缺」^⑩。文化負載詞所要傳達的是文化資訊,要將一種民族文化的東西翻譯傳播出去,介紹給不同文化的人,讓他們真正瞭解明白其內涵,這才是重點,因此翻譯時要緊緊把握這一交際目的^⑪。

在翻譯文化負載詞時要考慮文化和內容的相容性,也就是在語句或詞彙中,必須要突出展現文化特點,又需要讓讀者通過字面快速反映出背景;由於英漢差異,所以要考慮詞彙的選擇;由於每個國家的文化不同,在閱讀上會有所差異,所以要考慮英語國家讀者的閱讀性,只有契合輸出國家的閱讀習慣,才能夠實現文化的傳播^⑫。

文化負載詞是《恩施故事》的重要組成部分,根據目標讀者需求精準翻譯其中的文化負載詞,是實現此書核心翻譯目的的重要手段。現依據奈達對文化因素的五大分類,《恩施故事》中文化負載詞可分為:生態文化負載詞、物質文化負載詞、社會文化負載詞、宗教文化負載詞和語言文化負載詞,各類文化負載詞分佈情況如下:

文化類別	詞例數量	占比	詞例舉例
生態文化負載詞	32	9.1%	清江河、梭布垭石林等
物質文化負載詞	91	25.7%	連珠塔、西蘭卡普等
社會文化負載詞	126	35.6%	土司、哭嫁、擺手舞、牛王節等
宗教文化負載詞	65	18.3%	廩君、鹽水女神、茅古斯等
語言文化負載詞	40	11.3%	土家諺語、哭嫁唱詞、對聯等

表 1 各類文化負載詞分佈情況

其中生態文化負載詞具有較強的地域特徵,相關詞彙均關聯恩施地貌,如清江河等。物質文化負載詞主要有兩大載體:建築和物產,如連珠塔的鎮蛟功能;水杉臘葉標本體現科學價值。社會文化負載詞占比最高,因為恩施是多民族聚居區,有土家族、苗族、漢族等,社會結構較為複雜,民俗活動豐富,如土司制度、婚喪習俗、節慶儀式等,所以故事中涉及此類詞彙眾多。宗教文化負載詞主要與祖先崇拜相關,如族源神廩君。語言文化負載詞有土家諺語、哭嫁唱詞、對聯等,形式多樣,內涵豐富。

綜上,五類文化負載詞在《恩施故事》中均有分佈且相對均衡,五類文化負載詞翻譯實踐案例充足,現選取各類文化負載詞的代表性案例,對比每個例句前後產生的兩個譯文(譯文二是確定的最終版本),結合翻譯目的論對譯文二進行分析,總結出相應的翻譯策略和方法。

(一) 生態文化負載詞的翻譯

從生態文化維度來看,這類負載詞涉及自然原生狀態下一切有機動植物以及他們賴以生存的周遭環境,包括地理環境和水文氣候等,是先於人類文明社會的產物^⑬。面向普通英語大眾翻譯民間故事中的生態文化負載詞時,應以有效傳遞文化意象、生態審美與敘事氛圍為根本目標。靈活運用文化意象保留、動態對等等核心策略,結合直譯、意譯、增譯、明喻等具體方法,並注重譯文語序調整與節奏把控以實現語內連貫。關鍵在於平衡文化特異性的保留與目標讀者的可接受性,優先確保核心文化內涵的有效傳遞,以再現民間

故事中人與自然交融共生的獨特生態文化圖景。

例(1)

原文:細看東門清江對岸,山體連綿,五座山峰渾圓如珠,於清江轉彎處山勢突然拾起,如蛟龍昂首,隱隱呈膨脹之態。

譯文一:Upon closer inspection, he noticed that the mountain range formed five round peaks, with the terrain suddenly rising sharply at the river's bend. The shape of the mountain resembled the head of a dragon, seemingly swelling as if it were about to rise.

譯文二:Upon closer inspection of the opposite bank of the Qingjiang River at Dongmen, he noticed that the mountain range stretches on with five rounded peaks, as smooth and perfect as pearls. At the bend of the river, the terrain rises abruptly, resembling the head of a dragon lifting its head, subtly swelling as though preparing to rise.

該例句出自《連珠塔》故事小則,大致情節是恩施古城連綿暴雨半月有餘,清江河暴漲,周邊屋舍損毀嚴重,時任知府便請風水先生觀測山形天象,所見此景。原句描述了東門清江對岸山體的自然景觀,並運用了「蛟龍昂首」「膨脹之態」等帶有濃厚文化意味的表達。此句的翻譯目的旨在向目標讀者生動呈現清江河岸獨特的山水景象,傳遞視覺衝擊和基於故事情節所形成的緊張的氛圍感,激發讀者的想像力和興趣。

原文中蘊含豐富生態文化意象的表達有:「渾圓如珠」「蛟龍昂首」「隱隱呈膨脹之態」。其中「珠」在中國文化中象徵圓潤、美好、珍貴。這不僅是形狀描述,更帶有文化審美色彩,將山峰比作自然珍寶。「蛟龍」是中國神話傳說中的一種強大水龍,有時指未升天的龍或能興風作浪的龍,象徵著力量、威嚴、祥瑞或潛在的危險。「昂首」則賦予山勢以生命力和動態感,這是核心生態文化負載表達,將地質形態與深厚的中華龍文化緊密聯繫,體現了「天人合一」的自然觀。「膨脹」在此處描繪山體蓄勢待發的動態感,暗示著內在能量的積聚,與「龍昂首」的意象呼應,強化了生命力和即將騰飛的動感。這種對自然力量「生命化」的描繪本身也帶有文化特質。

譯文一雖基本達意,但流失了原文三大核心價值:地域特色(省略地理位置「東門」)、審美意象(捨棄「如珠」比喻)、傳說關聯性(靜態化蛟龍削弱了與地方傳說的潛在關聯)。譯文二則更忠實于原文,且語言整體上更具感染力。相關生態文化負載詞的翻譯策略和翻譯方法如下:

「五座山峰渾圓如珠」譯為「Five rounded peaks, as smooth and perfect as pearls」,採用了文化意象保留的翻譯策略,使用了直譯和增譯的翻譯方法和明喻的修辭手法。保留了「珠」(pearls)的核心意象,傳達了圓潤、光滑、美好的特質。增譯了「smooth and perfect」來補償「珠」在中文裡「完美無瑕」的隱含意,使目標讀者更容易理解和感受其美感。

「蛟龍昂首」譯為「resembling the head of a dragon lifting its head」,採用了文化意象泛化與動態對等策略和意譯的翻譯方法。沒有糾結於「蛟龍」與西方「dragon」可能存在的負面差異,使用了上義詞「dragon」。核心抓住了「龍昂首」這一動態視覺特徵和力量感。優先保證核心意象的可識別性和動態美感的傳遞,避免因過度強調「蛟」的獨特性而造成理解障礙或負面聯想。

「隱隱呈膨脹之態」譯為「subtly swelling as though preparing to rise」,採用了動態對等策略,使用了意譯和增譯的翻譯方法。將「膨脹」譯為「swelling」,準確傳達了體積增大的視覺感。「隱隱」譯為「subtly」較為貼切。增譯了「as though preparing to rise」,這顯性化了原文隱含的動勢:「昂首」帶來的預備騰飛感,銜接並強化了前文的「龍昂首」意象,使整個動態描述更連貫、更易為英語讀者所理解。確保動態感和生命力的有效傳遞,實現文內的連貫性。

兩個譯文對話序都進行了調整,將觀察者「he noticed」提前,更符合英文表達習慣,遵循了目的論的語內連貫法則。譯文二通過分詞短語與從句的穿插,如「stretches on with..., resembling..., subtly swelling...」,模擬原文由遠及近、由靜到動的觀察節奏,更貼近故事的敘事風格;整體描述清晰流暢,達到了資訊傳遞和美學效果的目的。

(二) 物質文化負載詞的翻譯

物質文化指一切凝結人類靈感及智慧而產出的有形的物質產品,涵蓋衣食住行、技術設備和交通等^⑤。翻譯民間故事中的物質文化負載詞時,應以精準傳達物品特徵和屬性為翻譯目的。考慮到普通英語讀者的文化背景,建議在保證表達準確清晰的前提下,優先採用歸化策略,確保目標讀者的可接受性,只在核心且能有效傳達的文化符號上保留異質性。靈活使用借譯、直譯、意譯、增譯等翻譯方法。

例(2)

原文:之後,鄭萬鈞教授又將水杉臘葉標本和水杉種子寄給了美國哈佛大學的麥雷爾教授,以此推動了水杉研究走向世界。

譯文一: Subsequently, Professor Zheng sent waxed leaf specimens and seeds of Metasequoia to Professor Merrill at Harvard University to promote Metasequoia research globally.

譯文二: To advance global research on Metasequoia, Professor Zheng sent pressed leaf specimens and seeds to Professor Elmer D. Merrill at Harvard University.

該例句源自《水杉王》故事小則,「水杉臘葉標本」和「水杉種子」是典型的物質文化負載詞,體現了中國特有的自然資源和文化背景。該文段的翻譯目的是傳達資訊,同時將水杉研究的歷史背景、科學價值和文化內涵傳遞給目標讀者。

譯文一清晰表達了動作和目的,邏輯清晰。但直譯的「waxed leaf specimens」是對「臘葉標本」的錯誤表達。「臘葉標本」是指經過壓制、乾燥的植物標本,英文標準術語是「pressed specimen」或「herbarium specimen」。「Waxed」會讓人誤解為葉子被塗了蠟,使目標讀者產生誤解,這也印證了翻譯目的決定翻譯手段,傳達原文內涵,而不是純粹的字面對應。譯文二則兼具準確性、清晰性與流暢性,對目標讀者更為友好,能有效實現翻譯目的。

「水杉」是原文中重要的物質文化負載詞,兩個譯文都採用了借譯的翻譯方法,直接使用植物學界通用的拉丁學名「Metasequoia」。未使用音譯「Shuishan」或意譯,如「Dawn Redwood」,因為音譯對普通英語讀者毫無意義,讀者會不知所云;「Dawn Redwood」雖也常用,但「Metasequoia」更為通用正式,更能傳達其科學價值。借用學名既不會產生歧義又能精確指代該物種且表達簡潔。目標讀者通常對學名有一定接受度,即使不完全認識,也能識別這是一個特定物種的專名。

譯文二中的「臘葉標本」譯為「pressed leaf specimens」,採用了歸化的翻譯策略,使用了意譯的翻譯方法,放棄直譯「臘」(wax)字避免產生歧義。強調「壓制」(pressed)這一關鍵製作過程和「葉片」(leaf)這一主要部分,並用通用術語「specimens」(標本)點明其性質。該譯文清晰地向目標讀者描述了這是什麼東西——被壓平的葉子做成的樣本或標本,這也是植物學領域常見的描述方式。避免了使用更專業但更生僻的術語,如「herbarium specimen」,所導致的目標讀者閱讀難度的增強,在準確性和可讀性之間取得了良好平衡。

「水杉種子」是指水杉這種植物的種子。其文化負載性主要依附於「水杉」本身,作為該特有物種的繁殖體。譯文二採用省譯和直譯的翻譯方法,譯為「seeds」。由於前文已明確主體是「Metasequoia」,所以省略

「水杉」的物種屬性並不會造成理解障礙,反而符合英語表達習慣,避免冗餘。

在句式結構上,譯文二將目的狀語「To advance global research」前置,句子結構更緊湊,符合英語讀者的閱讀習慣。同時補充了美國教授的全名「Elmer D. Merrill」,增強學術可信度,因其在第一次在文中出現,所以增譯了全名。前文已多次出現「鄭萬鈞教授」,所以此處用姓氏指代。

(三) 社會文化負載詞的翻譯

社會文化負載詞涉及人際交往方式、生活方式及社會關係等詞彙,是社會文化語境的催生品^⑤。考慮到目標讀者的認知,民間故事中社會文化負載詞的翻譯核心在於優先保證目標讀者的可理解性和譯文在目標文化語境中的交際功能,主要採用歸化策略和動態對等的翻譯策略。通過意譯、釋義等翻譯方法,聚焦傳遞詞彙在具體語境中的核心行為要求、倫理準則或處世哲學,而非追求文化概念的完全移植。同時,必須高度重視語篇內連貫,確保譯文流暢自然,邏輯清晰,並通過上下文補償機制來彌補歸化策略可能造成的部分文化資訊損失。此外,注重傳達民間故事特有的口語化特徵和深層情感,忠實于原文的情感目的,有助於實現跨文化的情感共鳴。

例(3)

原文:爹娘一年四季都見不著幾回啊,嫁過去要賢慧啊,要孝敬公公婆婆、心疼自己的男人啊!沒爹媽在身邊要照顧好自己啊!要和鄰居和睦相處啊!要把夫家的弟弟妹妹當一母所生的弟弟妹妹一樣對待啊!要忍得氣吃得虧啊!

譯文一:Your father and I will hardly see you throughout the year. When you marry, you must be virtuous, respect your in-laws, cherish your husband, and take good care of yourself without us by your side. Be kind to the neighbors, treat your husband's younger siblings as your own, endure hardships, and be patient.

譯文二:You won't be able to visit us often, so you must be a good wife. You must respect and take care of your in-laws, take care of your husband, and be kind to everyone in the family. Without us by your side, you must look after yourself. Be kind to your neighbors and treat your husband's younger siblings as if they were your own. You need to endure hardship and swallow your grievances with patience!

該例句出自《哭嫁》故事小則,黃家姑娘黃麼姑遠嫁,例句是黃麼姑出嫁前她媽媽叮囑她的部分話語。原文中的「賢慧」「孝敬」「忍得氣吃得虧」等表達,均深刻反映了中國傳統文化中的家庭美德和社會行為規範,如「賢慧」是指女性在傳統社會中應具備的溫順、賢良的美德;「孝敬公公婆婆」體現了中國文化中對父母長輩的尊重和孝道等。

該句的翻譯目的是傳遞原文中的情感內核,再現母親對遠嫁女兒的不舍與擔憂;準確傳遞中國鄉土社會對出嫁女性的角色期待,如「賢慧」的持家之道「孝敬公婆」「待弟妹如親」的家族責任等。通過母愛和婚姻焦慮等普適情感引發跨文化共鳴。

譯文一開頭「Your father and I」更貼近原文「爹娘」的口語化、親昵感。「throughout the year」比「often」更能體現「一年四季都見不著幾回」的漫長和不易。「be virtuous」試圖傳達「賢慧」的抽象概念,但作為對女兒的臨別叮囑顯得過於抽象和書面化。譯文二開頭的「You won't be able to visit us often」更直接點明了「見不著幾回」的原因,邏輯更清晰,更符合英語表達習慣。「be a good wife」比「be virtuous」更口語化、更直接,更符合母親對女兒的叮囑語境,雖然內涵不如原文「賢慧」豐富,但目標讀者更容易理解其履行妻子職責的核心要求。譯文二整體語氣更強烈、更口語化、更富有情感,更能傳達原文母親臨別時的殷殷囑託和不舍。

相關社會文化負載詞的翻譯策略和方法總結如下：

「賢慧」是針對已婚女性的核心美德標準，包含勤勞、節儉、溫順、體貼、善於持家、相夫教子等，它深深植根於中國傳統家庭倫理和性別角色期待。譯文二處理為「be a good wife」，採用了歸化的翻譯策略和意譯的翻譯方法。使用目標語中現成的、核心含義相近的短語，表達簡潔，同時也是最直接、最能讓目標讀者理解妻子基本職責的表達。該詞的翻譯是讓目標讀者理解母親對女兒在夫家行為的基本要求，即做好妻子的本分，直接使用目標語核心概念「good wife」效率最高。自然銜接下文照顧公婆、丈夫等具體行為的要求符合翻譯目的論的連貫原則。犧牲了「賢慧」所蘊含的如溫順、持家等文化內涵，但通過下文的具體化描述進行了有效補償，讓目標讀者大致明白「好妻子」在這個特定文化語境下的具體要求是什麼，比強行翻譯一個內涵過於豐富的抽象詞「virtuous」，導致讀者困惑更有效，符合忠實原則。

「孝」是中國倫理的核心，強調對長輩無條件的尊敬、順從、奉養和關愛。「孝敬」用於公婆，體現了傳統社會將兒媳納入夫家宗法體系的要求，兒媳需像對待親生父母一樣對待公婆，承擔物質供養和精神慰藉的責任。其強度和範圍遠超一般的「尊重」。譯文處理為「respect and take care of」，採用了釋義和意譯組合的翻譯方法。將「孝敬」拆解為兩個核心行為：「respect」（尊敬）和「take care of」（照顧、贍養），解釋其含義。其中的「孝」主要理解為物質生活上的照料，採用意譯，傳達出核心內涵。該譯法精準地抓住了「孝敬」在行動層面最關鍵的兩點，雖未能完全傳遞諸如「順」之類的倫理哲學背景，但通過這兩個具體動作的描述，目標讀者能明確理解兒媳在夫家的核心責任，體現了忠實原則的運用。

「忍得氣吃得虧」是中國，尤其傳統農村女性，非常重要的處世哲學。「忍得氣」指忍受委屈、侮辱、不公而不發作、不反抗；「吃得虧」指甘願承受物質或精神上的損失、不計較個人得失。兩者結合，強調為了家庭，尤其是夫家的和諧、穩定，女性需要極大的包容、忍耐和自我犧牲精神。這體現了傳統社會對女性壓抑個性、維護夫家利益的要求。譯文二處理為「endure hardship and swallow your grievances with patience」採用了動態對等的翻譯策略和釋義的翻譯方法。「endure hardship」意為承受艱難困苦，對應「吃得虧」。「swallow your grievances」是把委屈、怨氣咽下去，形象地對應「忍得氣」。「Grievance」準確點明了「氣」的性質，即委屈、不滿。「with patience」則點明了實現「忍」和「吃」的方式或態度。該譯法生動、準確地傳達母親對女兒在夫家生存至關重要的行為準則和心態的要求，並傳遞出其中的艱難性和母親的深切擔憂，比譯文一的「endure hardships, and be patient」要更精準和深刻，符合忠實原則。

（四）宗教文化負載詞的翻譯

宗教文化負載詞一般涉及宗教結構、宗教關係、宗教規範、宗教現象等方面^⑥。宗教文化負載詞翻譯涉及文化深層結構與信仰體系，因此是一項極具挑戰性的語言藝術實踐。這些負載詞彙往往承載了特定宗教或文化傳統中的獨特觀念和情感^⑦。翻譯民間故事中的宗教文化負載詞時，翻譯策略需要在忠實傳遞原文文化資訊與適應目標讀者文化背景之間找到平衡。通過結合歸化與異化的翻譯策略，靈活使用音譯與意譯的翻譯方法以及生動的描述性語言和注釋補償，可以有效地傳達原文的情節、文化內涵及宗教符號，增強故事的可讀性和吸引力。

例(4)

原文：為了留住廩君，鹽水女神費盡心機。晚上她和廩君共浴愛河，一到白天便率氏族女子變做飛蟲在天空中飛舞，遮蔽太陽的光芒，使廩君的隊伍不辨方向，無法啟程。

譯文一：To keep Lord Lin, the Saltwater Goddess resorted to various tricks. At night, she made love with him, and during the day, she transformed into a swarm of flying insects with the other women of her clan,

blocking out the sunlight and confusing Lord Lin's group, making it impossible for them to set off.

譯文二: Determined to keep him, the Saltwater Goddess devised a plan. By night, she shared her love with Lord Lin. By day, she and the women of her clan transformed into swarms of insects, darkening the sky with their wings, blotting out the sun and making it impossible for Lord Lin's tribe to discern their path or depart.

該例句出自《巴人始祖廩君》故事小則,涉及的宗教文化負載詞包括「鹽水女神」「廩君」「飛蟲變身」等,涵蓋當地的神話信仰和對自然現象的文化解讀。該例句翻譯的目的是傳達巴人始祖神話的部分核心情節、人物關係及文化內涵,使目標讀者理解故事邏輯、人物動機和神奇色彩,側重於文化資訊的傳遞和故事可讀性。

譯文一較為簡潔,基本傳達情節,但其中的「resorted to various tricks」含貶義,削弱女神深情形象。「made love with him」雖闡釋出「共浴愛河」的含義,但過於直白,丟失了原文的詩意。譯文二中「devised a plan」的中性表述保留女神智慧形象。「shared her love」含蓄傳遞情感,更富美感。譯文二中「darkening the sky with their wings, blotting out the sun」生動再現翅膀蔽日的神話場景,能更好地激發目標讀者想像力和興趣。整體再現了故事的核心情節,奇幻色彩濃厚,達到了向目標讀者介紹這個獨特傳說的目的。採用「By night... By day...」的平行結構,符合英語敘事習慣,體現了連貫原則。保留「氏族女子變身飛蟲」等核心文化符號,忠實於原文。相關宗教文化負載詞的處理方式主要如下:

「廩君」是巴人首領,前文有對廩君的介紹,所以此處無需再添加注釋,首要翻譯目的是讓目標讀者識別這是一個重要人物的名字。譯為「Lord Lin」採用歸化和異化相結合的翻譯策略,主要使用了音譯的翻譯方法。譯文結構為: Lord(神性頭銜)+ Lin(本名),避免歸化過度削弱神格。「Lord」在英語宗教和神話語境中均具有神聖領袖的含義,如《聖經》中的「Lord of Hosts」和希臘神話中的「Lord Apollo」,相較於「Tribal Chieftain Lin」和「Lin Jun」,更易喚起目標讀者對神性統治者的聯想,避免完全音譯造成的誤讀,增強了譯文的可讀性,符合目的原則和忠實原則。同時避免使用如暗示封建君主制的「King」或帝王專屬「Emperor」等不匹配詞彙。

「鹽水女神」是鹽陽部落的首領,《水經注·夷水》記載巴人始祖廩君帶族眾開拓疆土「乃乘土舟,從夷水下至鹽陽。鹽水有神女,謂廩君曰:此地廣大,魚鹽所出,願留共居^②」。該詞譯為「Saltwater Goddess」,也採用了歸化和異化結合的翻譯策略,使用了直譯的翻譯方法。直譯為「Saltwater」準確傳達其管轄領域,「Goddess」明確其神祇身份。考慮到目標讀者可能仍不清楚該宗教負載詞的含義,可採用注釋補償的翻譯策略,如添加註腳或建立術語庫的方法,大致如「Saltwater Goddess: A deity worshiped by ancient Ba people in the Enshi region, closely associated with salt springs worship — a vital cultural trait in Southwest China's mountainous areas.」添加對該詞的注解,使目標讀者更清晰地瞭解其文化內涵。

「變做飛蟲」在翻譯時採用了意譯的翻譯方法。「transformed into」清晰表達了「變化」這一神奇行為,「swarms of insects」生動描繪了群體變蟲的景象,比直譯「became flying insects」更具動態感和規模感,更符合英語表達習慣,能更好地激發目標讀者的想像,體現了目的原則和忠實原則。「遮蔽太陽的光芒」隱含神力,譯為「darkening the sky with their wings, blotting out the sun...」,採用生動的描述性語言,沒有使用抽象的宗教術語,如「used divine power to...」,而是通過具體動作「darkening... with their wings」「blotting out」以及結果「making it impossible... to discern their path」來形象化地展現神力效果。這符合民間故事生動敘事的特點,符合忠實原則和連貫原則。其中「transformed」強調超自然力,區別於普通詞彙「changed」;「swarms」強化遮天蔽日的視覺效果,規避「bug」等負面詞彙,保持了女神威嚴。

(五) 語言文化負載詞的翻譯

語言文化負載詞指的是包含特定文化背景及內涵的語言形式,是從語言特點層面對文化負載詞進行的研究,其中包括語音、詞彙和修辭等方面^⑧。民間故事中語言文化負載詞的翻譯需要權衡文化內涵傳播的有效性與目標讀者接受度。翻譯時採用動態對等與範疇泛化等翻譯策略是解決文化空缺、確保可理解性的重要策略;語義顯化與意象啟動是增強畫面感、表現力,服務於故事趣味性和人物塑造的核心方法;結構模仿與韻律優化有助於保留原文形式美感;而核心意象直譯則是傳播文化獨特性的基礎。譯者需根據具體負載詞的文化內涵、在故事中的作用以及整體翻譯目的,如文化傳播優先或情節生動優先,靈活選擇和組合上述策略與方法,最終實現源語文化有效傳播,增強譯文的可讀性。

例(5)

原文:

滿殿佛像,坐獅、坐象、坐蓮台。

一堂舉子,攀龍、攀鳳、攀桂枝。

譯文一:

The hall brims with Buddhas—on lions, on elephants, on lotus thrones.

This hall holds scholars—to dragons, to phoenixes, to laurel crowns.

譯文二:

The hall brims with Buddhas—seated on lions, on elephants, on lotus thrones.

Here sit scholars—climbing dragons, climbing phoenixes, reaching for laurel crowns.

該例句為《孫寶,恩施的阿凡提》故事小則的一則對聯,主要背景為湖北省學台張之洞到施南府巡視,聽聞孫寶名聲,叫上孫寶陪同巡視。走進文昌祠,張之洞見滿祠堂姿態各異的佛像,雅興之至題出上聯,孫寶對出下聯。

對聯是語言文化的主要形式之一。該例句的核心翻譯目的是文化傳播與故事生動性,讓目標讀者感受到對聯的巧妙、意境以及其中文化內涵,感受孫寶的機智。

上聯描述的是佛教文化中的佛像坐姿。佛像常常代表著神聖與威嚴,獅子和象則是佛教文化中常見的象徵動物,代表著力量與尊貴,而蓮台則象徵著純潔與超脫。因此,這些詞語並非單純的實物描述,而是蘊含了特定的文化意涵。下聯中的「攀龍、攀鳳、攀桂枝」則具有典型的中國傳統文化意象,「龍」和「鳳」分別代表著至高無上的權力和吉祥的象徵,「攀龍」「攀鳳」常常暗示著追求卓越與成功,而「桂枝」則是「桂冠」的隱喻,象徵著榮耀與成就。

譯文一結構清晰對稱,上下聯均以「The hall...」開頭,句式上與原文對應感。「on...」和「to...」的平行結構有效模仿了原文的排比句式「坐...」和「攀...」。「laurel crowns」借用西方月桂花環象徵勝利和榮譽的表達,是象徵科舉高中的「桂枝」的經典且易懂的譯法。但介詞「on」略顯靜態和簡單,未能充分傳達佛像「端坐」的莊嚴感。「holds」雖語法正確,但較為平淡,未能生動傳達舉子們聚集一堂的狀態。

譯文二則更為生動、準確、流暢自然,保留了原文排比結構,選詞考究但不晦澀,符合普通英語讀者的閱讀水準,有效平衡了文學性與可讀性。在詞彙選擇上選用「hall」而非「temple hall」或「palace hall」更簡潔通用;「seated」表達出莊嚴端坐的姿態,忠實于原文。「一堂」譯為「Here sit」,點明從佛像到考生的場景轉換,並隱含聚集之意。「climbing... reaching for」動態、有力地再現了舉子們奮力拼搏的意象。

基於向普通英語讀者有效傳達意境、故事趣味性和文化獨特性的翻譯目的,在翻譯時優先考慮譯文的可理解性和接受度,過於晦澀的直譯或過度異化會阻礙理解。譯文二採用了動態對等和泛化的翻譯策略,如「攀桂枝」譯為「reaching for laurel crowns」,用西方桂冠象徵勝利替換中式折桂象徵科舉高中;「舉子」譯為「scholars」,用更寬泛的「學者」替代特定歷史身份「科舉考生」。使用的方法主要有直譯,如「獅」「龍」等的翻譯。

四、結語

本文從翻譯目的論視角出發,以筆者《恩施故事》的翻譯實踐為基礎,探究文本中五大類文化負載詞的翻譯。研究表明,翻譯目的論為民間故事這類富含地域文化特色的文本翻譯提供了有效的理論支撐和實踐指導。本文以向國際普通英語讀者有效傳播恩施文化為翻譯目的,通過對《恩施故事》中具體譯例的分析,總結出針對五類文化負載詞的差異化翻譯策略與方法:

生態文化負載詞的翻譯側重視覺意象重構與動態美感傳遞,可採用文化意象保留和動態對等的翻譯策略,使用直譯、增譯、意譯等翻譯方法;物質文化負載詞的翻譯強調術語精準與屬性明晰,可採用歸化的翻譯策略,使用借譯、意譯、省譯等翻譯方法;社會文化負載詞的翻譯注重行為準則與情感內核的跨文化等效,可採用歸化和動態對等的翻譯策略,使用意譯、釋義等翻譯方法;宗教文化負載詞的翻譯注重核心神格保留與神話敘事強化,應採用歸化與異化結合的翻譯策略,使用音譯+類屬詞、意譯、等翻譯方法;語言文化負載詞的翻譯追求意境傳達與形式可讀性平衡,可採用動態對等、範疇泛化的翻譯策略,使用直譯、意譯、增譯等翻譯方法。

綜上所述,民間故事文化負載詞的英譯本質是在文化異質性與譯文可讀性和接受度之間尋求動態平衡的過程。在明確核心翻譯目的的前提下,通過靈活選擇和組合上述符合特定類別文化負載詞特性的策略與方法,力求在維繫源文本本土文化韻味和故事神秘感的同時,最大程度地消除文化隔閡,實現地方文化向國際讀者的有效傳播。

需指出,本研究的結論基於對《恩施故事》這一單一地方性文本的案例分析。雖然文中統計了五類文化負載詞的數量分佈,並試圖選取代表性案例進行深入分析,但仍存在以下局限性,可能影響結論的普遍適用性:

一是選材的單一性。研究樣本僅限於《恩施故事》,其內容、風格、文化負載詞的密度和類型分佈可能無法代表所有中國民間故事,尤其是不同地域、民族或題材的故事。結論外推到其他民間故事文本時需謹慎。

二是案例數量與代表性的局限。儘管進行了分類統計,但受限於單本故事集的內容,每類下可用於深入分析的典型、高難度案例數量可能不足。例如,某些特殊類型的宗教儀式詞彙或極其晦澀的方言諺語可能在本案例庫中樣本稀少或缺失,導致總結的策略方法未能完全覆蓋更複雜或更邊緣的文化負載詞類型。案例分析主要基於「代表性」選擇,可能存在主觀性,未能對所有類型下的所有實例進行窮盡性策略驗證。

三是讀者回饋驗證缺失。研究主要基於筆者的理論分析和文本對比,缺乏對目標語讀者接受度和理解度的實證調查,如問卷調查、訪談等,無法量化驗證所提策略方法在實際傳播效果上的優劣。

因此,本文總結的五類文化負載詞翻譯策略與方法,主要是基於《恩施故事》翻譯實踐的歸納,為同類文本提供了有價值的參考方向和實踐框架,但其普適性仍需通過更廣泛、更多樣化的民間故事翻譯實踐及讀者接受研究來進一步驗證和完善。

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The Dilemma of Translation Theory in the Age of Machine Translation: Reconstructing Human Values Under Instrumental Rationality

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Abstract: In the context of artificial intelligence reshaping translation practice, this paper examines the tension between instrumental and value rationality in translation theory and explores reconciliation paths. It finds that traditional paradigms, overly reliant on technologism, fail to address demands regarding translation subjectivity, labor value, and humanistic dimensions in the intelligent age. The study argues for a new framework integrating technology philosophy with humanism, involving reconstructing the relationship between technological instrumentality and humanistic value, expanding translation subjects to include human—machine collaboration, and deepening research on translation labor in technological contexts. This shift provides a meta-theoretical basis for interdisciplinary research and aids in value positioning and theoretical innovation for the translation discipline amid technological change.

Keywords: translation theory; *neural machine translation (NMT)*; *large language models (LLMs)*; instrumental rationality; value rationality

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機譯時代的翻譯理論發展難題 ——工具理性關照下人類價值的重建

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摘要:在人工智能重構翻譯實踐的語境下,本文探討翻譯理論研究中工具理性與價值理性的結構性張力及其調和路徑。通過歷時性考察翻譯學科發展脈絡與共時性分析技術現象發現:傳統理論範式因過度依賴技術中心主義,已難以有效回應智能時代對翻譯主體性、勞動價值及人文維度的理論訴求。研究指出,翻譯學的可持續發展亟需構建技術哲學與人文主義相融合的新框架,應重構技術工具性與人文價值性的辯證關係、拓展包含人機協同的翻譯主體範疇、深化技術語境下的翻譯勞動本質研究。這種範式轉型不僅能為跨學科研究提供元理論支撐,更有助於實現翻譯學科在技術變革中的價值定位與理論創新。

關鍵詞:翻譯理論;神經機器翻譯;大語言模型;工具理性;價值理性

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人工智能的發展讓翻譯研究領域出現技術中心主義的風潮,顯露出工具理性(instrumental rationality)與價值理性(value rationality)的失衡態勢。首先,價值理性和人文精神的宣導暫時並不能解決翻譯從業者對「人工智能取代論」的恐慌,行業必須面對人工智能翻譯效能不斷增強、普通譯者的主體性和話語權在社會中逐漸喪失的事實。其二,對價值理性的追求暫時囿於對倫理的追求,而對倫理的追求又囿於對社會規範的追求;這與價值理性原本更加廣泛的、終極信仰層面的涵義是相悖的。其三,人工智能驅動下的翻譯研究多屬於經驗和現象梳理以及未來規劃,幾乎摒棄了前幾十年翻譯理論的成果,導致了理論傳承和後續發展的乏力。

要解決這一系列問題就應該意識到,工具理性和價值理性的衝突是一個現代性的根本問題,而不是一組人工智能時代才出現的矛盾。這組矛盾貫穿了現代自然科學、人文科學的發展,也自然影響了現代翻譯學科的理論、方法和範疇。若想更好地理解當前的人工智能崇拜、人類譯者主體性喪失等現象,若想在新技術語境下更好地繼承現代譯學的成果,都應該回到這組矛盾的定義、發展,及相關表徵之上。本文對此進行梳理和闡發,呼籲學術界、產業界結合,共同達到翻譯研究、生產領域工具理性和價值理性的新的平衡,實現學科的可持續發展。

一、人工智能驅動的翻譯系統與人類譯者的異化勞動

人工智能翻譯技術主要包括神經機器翻譯(Neural Machine Translation,下文簡稱 NMT)和大語言模型(Large Language Models,下文簡稱 LLMs)。機器翻譯發展至今約 80 年,經歷了從依賴人類經驗的語言學規則到以資料和模型為主導的轉變。20 世紀中葉見證了機器翻譯基於語法規則的階段,以及基於平行語料庫

和實例的階段；這前兩個階段以人類理性主義為主導(劉洋,2017),機器翻譯主要依賴於人類語言學家總結的語言規律和規則。1990年代進入基於詞對齊、短語對齊,以及句法統計的統計機器翻譯階段;2010年後進入基於深度學習的神經機器翻譯階段(*ibid.*)。這後兩個階段是以機器的學習和經驗為主導的階段,注重以資料為中心,通過數學模型描述語言的轉換過程;它們以大規模多語言文本為資料,以機器為主體進行自動訓練。近年來,以 GPT 為代表的 LLMs 通過海量資料深度學習,提升了翻譯效率和品質,拓展了應用場景,如圖像與文本融合、語音翻譯、智能客服、教育輔助和醫療翻譯等領域,推動了機器翻譯的大眾化應用。

人工智能驅動的翻譯系統對人類智能提出了直接質疑和挑戰。從純粹理性的角度來看,在經驗總結能力、學習遷移能力以及即時工作效率等方面,人工智能往往展現出顯著的優勢。與此同時,人工智能還引發了大規模的產業升級。在全球化與逆全球化並存的背景下, NMT 憑藉其高效性和低成本,使翻譯服務在國際政治、文化輸出以及本土化需求等領域的應用範圍進一步擴大。翻譯逐漸成為流水線上的標準化產品,人類譯者的主體性被進一步削弱,淪為翻譯生產環節中的一個普通部件,難以再像前人工智能時代那樣全面掌控翻譯勞動的全過程。翻譯勞動被抽象化、異化,譯者不再有機地融入其中^①。

翻譯生產環節的割裂以及人類譯者的異化勞動,主要體現在對翻譯工具屬性的極致追求上。無論是人工智能領域還是語言學領域,研究多集中于如何提升翻譯的效能。一方面,研究聚焦於如何將人類智能融入人工智能的學習過程,從而提升其學習效率;另一方面,研究關注如何更好地將人工智能應用於市場。因此,大量研究將句法結構、語義結構、文本類型、神經語言學等語言學知識融入 NMT 的學習過程中(Belinkov et al., 2017; Hahn & Baroni, 2019);同時,也有基於知識、應用、思維能力的人機協同翻譯素養研究(楊豔霞、陳瑩、魏向清, 2025)。LLMs 的興起延續了這種對工具屬性的追求,例如,對技術效率的注重推動了對「提示詞」(Prompt)的研究(Lu, Qingyu, et al., 2023),以及對長篇文檔整體翻譯能力的研究(Wu, Minghao, et al., 2024)。此外,越來越多的研究聚焦於生成式人工智能技術對翻譯實踐模式的深刻變革(馮志偉、張燈柯, 2024),涵蓋技術反覆運算、業態重構以及未來發展趨勢(王華樹、張成智, 2025),同時也關注其對譯員培養、人才儲備和管理理念的深遠影響。

當翻譯的工具屬性逐漸成為翻譯研究的第一性時,翻譯的價值屬性、人文屬性遭到了冷落。學者們敏銳地意識到這一問題,並展開了對翻譯研究中價值理性的探討,主要集中在人工智能語境下的倫理和生產制度方面。例如,有研究關注人機互動翻譯中不同主體的責任邊界問題,以及機器翻譯中的價值倫理問題(王華樹、劉世界, 2022)。在生產制度方面,研究重點在於如何在 NMT 和 LLMs 盛行的市場環境中規範翻譯流程和成果(王贊、張政, 2022)。亦有研究關注譯者在機器翻譯互動中的體驗和多元化價值(Ruokonen & Koskinen, 2017),呼籲以人為本及對人文精神的回歸(羅迪江, 2022)。然而,這些研究大多局限於經驗性記錄,較少從學科框架的視角進行系統的傳承和拓展。

通過諸多對人工智能驅動下翻譯行為的研究,我們看到了工具理性與價值理性存在失衡的現象。首先,在對 NMT 和 LLMs 的運用中,對工具理性的使用幾乎完全淪為人對機器性能的補足;而未能很好地利用人工智能去反哺人類的學習經驗,從而開拓出新的研究範疇和方向。其次,對價值理性回歸的呼籲過於集中在倫理以及規範性方面,而忽視價值理性存在於社會及人類有機的、整體的、多元互動之中。工具理性與價值理性的失衡,是導致人類翻譯從業者價值感喪失的根源。

二、勞動的異化與工具理性、價值理性的失衡

工具理性與價值理性的失衡並不是人工智能時代才出現的問題,而是一個現代性的根本問題。要理解當前社會對人工智能的恐慌、對技術中心論的抗拒,以及對人文價值的呼籲,應回到這組對立概念的定義、



歷史、發展中去。

西方自啟蒙時代以來就開始崇尚理性，因為理性揭示了事物的本質和內在規律，促進了科學和生產的發展，增強了人對自己的信念。基於理性，馬克斯·韋伯(Max Weber)又提出「(合)理性」概念(rationality)，並將(合)理性分為工具(合)理性和價值(合)理性。工具理性指通過實踐確認工具或手段的有效性，從而服務於人的某種功利目的。而價值理性，則強調「目的、意識和價值的合理性」(陳振明,1996:4)。

現代社會對工具理性的過度依賴導致了現代性危機——前現代社會賴以依存的對社會的統一性解釋瓦解了，即世界的「祛魅」(disenchantment)(馬克斯·韋伯,1998:48)。一系列問題出現了，如隨著宗教世界世俗化帶來的精神家園和終極價值關懷的喪失(ibid.)；如隨著資本主義市場的發展和人們精神的空虛，逐漸形成的「商品拜物教」成為新的「魅」籠罩於社會之上(卡爾·馬克思,1995:274-275)；如文學、藝術、手工勞動、知識生產者的光環隨著宗教的光環一起破碎，成為資本市場上的商品以明確的價值得以流通交換(ibid.)。

現代性危機貫穿了四次工業革命，而當下社會對人工智能的追捧造成的「智能拜物教」現象，是工具理性與價值理性在現今時代的衝突呈現模式(周露平,2021)。第一次工業革命讓工具成為人們身體的延伸，第二次工業革命改變了腦力和體力勞動的生產比例，第三次工業革命整合了人類的資訊和生產，而第四次工業革命，即當前的人工智能革命，讓生產工具成為特殊的「魅」凌駕於人的主體意識之上。在翻譯領域，無論是 NMT 還是 LLMs，都基於 Transformer 架構運行，該架構雖然極大地提升了翻譯效率，但也使得翻譯過程成為一個難以解讀的「黑箱」。譯者並不知道這個過程中的具體運算方式，只能在譯前、譯後做出符合一定標準的編輯和修改。傳統的翻譯行為成為效率低下、徒勞無功的行為。本應成為人類助力的工具，卻成了人類主體性危機的來源。

工具理性盛行背景下的人類主體性危機如何解決？如何讓人工智能為人類的幸福和長期可持續發展服務？法蘭克福學派對工具理性的批判以及後現代有機論「返魅」(re-enchantment)的概念為我們提供了方向。法蘭克福學派認為工具理性已變成社會組織的原則，人與人的關係變成了人與物的關係，主體-客體關係發生顛倒。若要打破這種顛倒，就應讓理性突破技術效能的局限，恢復其最初的「解放功能」，讓關注點回到人的本質，以及在一定技術條件下人的價值、自由、幸福和潛能的實現(赫伯特·馬爾庫塞,1995:314-363)。建設性後現代主義認為，工具理性審視下的自然是割裂的，需要採取有機論及生態的視角對世界觀、自然觀進行重構(大衛·雷·格裡芬,1995:43)。工具理性護航下人的自由和全面發展得到關注，成為新的價值和目的。

回到翻譯領域，我們當前的任務是在人工智能的語境下為譯者及翻譯學科找到一條可持續發展的道路。我們要正確面對翻譯生產領域中工具理性與價值理性的衝突，也要更深刻地理解現代翻譯學科發展中這對矛盾的呈現方式及其平衡之道。

三、工具理性、價值理性在現代翻譯理論中的滲透

工具理性與價值理性的動態制衡幾乎滲透在了所有現代人文學科的研究方法和範疇之中。在翻譯學領域，這組矛盾首先體現為本體論分歧——翻譯既是依附原作的複寫，又是具有獨立價值的符號實踐，而這一分歧直接關係到翻譯單位與研究範式的界定。同時它更是引發了目的論爭議——翻譯究竟應服務於資訊傳遞的效率最大化，還是應追求跨文化理解的倫理價值？

回顧翻譯思想史，翻譯的本體似乎從來都是以「工具」的形式被定義。這既源於其作為原作衍生生物的「第二性」本質，又因為它是跨語言資訊傳遞的重要方式，是為實用目的所服務的。不論是在中西方早期對

宗教經典的翻譯中,還是在世界各國的貿易通商往來中,我們都看到這種工具性的凸顯——涉及形、音、義等層面的跨語言轉寫的經驗被記錄下來,為後人提供參考。前現代譯論和現代譯論關鍵差異,恰恰在於後者通過工具理性驅動的系統化、學科化進程,將上述語言轉換經驗昇華為可複製的學科概念、框架和程式。

二十世紀見證了現代翻譯學科的成形,具體表現為對以工具理性為主導的現代研究方法的引入。1970年代以前,這些現代的研究方法主要從現代語言學遷移而來。現代語言學重新劃分了語言學的描寫範疇,定義了語言和言語,確立了最小的語音單位、語法單位,出現了以轉換生成語法和功能語法為代表的新的語法描寫方式。成體系的翻譯理論也隨之出現了,如基於比較語法、形式語法的研究方式。在翻譯學科的發展中,我們發現了對科學理性的訴求。奈達著名的《邁向翻譯的科學》(*Toward a Science of Translating*) (Nida, 1964)一書直接出現了「科學」二字,創造了基於語義學、語用學和轉換生成語法的對等理論。而1970年以後,翻譯發展更多地從社會科學研究方法進行借鑒,引入了國家、機構等研究範疇,強調催生翻譯行為的社會文化背景、主體特徵,以及可以從這些因素所推斷出的翻譯現象、文化現象的可解釋性。

現代翻譯學的學科合法性建立於其形成了一套符合科學理性的系統化研究範式。1972年,霍爾姆斯(James S. Holmes)在《翻譯研究的名與實》中提出的分類框架,標誌著這一領域的重大理論突破。該框架將翻譯研究劃分為三大範疇:描述翻譯研究、理論翻譯研究、應用翻譯研究。該框架的核心價值不僅在於其分類學意義,更在於這三個領域之間的邏輯序列關係中體現出的現代科學的嚴謹精神。它將翻譯作為可分割的單位,試圖捕捉翻譯過程、成果和功能中的客觀事實,進而用理論歸納總結翻譯中的現象和規律,從而投入到翻譯應用中去,如翻譯教學、語法教學、翻譯批評和政策設定。圖裡(Gideon Toury)在霍爾姆斯的框架的基礎上,提出「描述性翻譯研究」(Toury, 1995: 10),本質上是延續了赫爾姆斯觀察-認識-歸納-推測-運用的學科整體邏輯,並且將後者框架中的原本較為宏觀的研究物件進行了具體、實體化落地。在後來的翻譯理論中,我們不斷看到類似的從抽象範疇到具體範疇的轉換,如斯內爾-霍恩比(Snell-Hornby, 1995: 32)對翻譯文本類型的劃分便是其中典型例證。

在這些對翻譯及翻譯研究的理性化、規範化進程中,學術界也出現了對價值理性的呼籲,主要表現為後現代、後殖民的翻譯批評。後現代理論解構了文本和文本的意義,認為意義存在及消解在傳播之中。而後殖民理論延續了這種去中心論的傳統,認為應該打破原文-譯文,西方-非西方,男性-女性等二元對立,在多元價值中尋找意義。這直接導致了對翻譯文本範疇的定義的拓寬,以及對翻譯研究本體的拓寬。翻譯研究可針對更多類型的文本,以及更加多樣化的人群的主體性、主體間性之上;不再拘泥於語法和功能的比較。埃文-佐哈爾(Itamar Even-Zohar)的多元系統論為這一學潮奠基,巴斯奈特(Susan Bassnett)和勒菲弗爾(André Lefevere)引領的「翻譯研究」學派將其發揚光大。而中國的「譯介學」(謝天振,2013)、「生態翻譯論」(胡庚申,2013)也是其中代表。對翻譯人文價值的呼喚,本質上是西方後現代有機論對工具理性的反撥,以及世界各國學者對走出西方中心主義、建立更全面廣博的翻譯理論體系的嘗試。

然而,人工智能、NMT和LLMs的出現暫時打破了工具理性與價值理性在翻譯研究中的平衡,對翻譯研究方法、理論框架的發展構成了挑戰。正如第一、二部分所述,工具理性再次獲得壓倒性關注,而對價值理性的探索尚未從倫理、價值觀以外的更廣泛的層面上展開。「倫理」是規範性的、制約性的、先驗性的;是獨立於經驗的知識。而價值理性還應包含對世界的統一性解釋的向度,以及人文精神甚至某種難以解釋的崇高感的回歸。若要在翻譯研究中更好地運用價值理性,則依然需要從描述性的、經驗性的體驗和過程中提取出人類具有共性的客觀特徵,達到主客體的統一。

四、人工智能時代價值理性的回歸與重建

在人工智能時代,翻譯理論的重建需要在研究方法、視角和範疇中實現工具理性和價值理性的平衡。



一方面,應客觀看待工具理性的價值,避免盲目崇拜或排斥技術;另一方面,面對當前對工具理性的傾斜,需找到價值理性發揮的著力點,以整體、有機的視角去發掘其多元意義。

首先應重塑翻譯研究中以技術為中心的視角,這不再是「智能拜物教」式的對技術的追捧的狂歡,而是用理性的眼光去審視語言、翻譯與人工智能的關係。我們不必因翻譯的從屬性或「第二性」而悲觀,擔憂者主體性的消解;相反,應認識到語言與翻譯的工具性本質——它們是人類為特定目的服務的媒介,而非全然站在主體性的對立面。人類通過思維認識世界,以語言為載體記錄知識,並通過翻譯實現跨文化傳播。在這一過程中,技術與語言的互動始終存在。正如庫茲韋爾指出「人類的語言一直在進化,各種形式的技術也一直在進步。結合不同時期的不同語言形式,技術為人類提供了與時俱進的方法來記錄和傳播其語言」(雷·庫茲韋爾,2016:15)。技術的進步催生了新的語言形式、記載與傳播方式,甚至重構了翻譯的研究范式。這種動態演化並非對人類主體性的剝奪,而是主體性通過技術媒介的延伸——人類始終是技術工具的創造者與駕馭者。

承認工具理性在翻譯研究中的關鍵地位,尤其是其對效率優化和標準化的推動作用,能夠使人工智能在翻譯生產中實現效能最大化,從而推動翻譯領域的生產力發展。其合理性主要基於以下兩點:其一,在知識經濟時代,語言服務作為生產鏈的重要環節,其效率直接關係到資訊傳播效能。神經網路的機器學習效率遠超人類,因此,通過人機協同優化模型性能以提升翻譯效率,符合社會化大生產的客觀規律。其二,人工智能的認知模式,如大規模資料歸納,可以反哺人類的理性能力,為人類提供新的分析視角,輔助修正認知偏差,推動智能協同進化。例如,機器翻譯的可解釋性研究與黑盒結構視覺化,正是通過揭示人工智能決策邏輯來促進人類對語言規律的再認識。

在翻譯研究中重建價值理性的主導地位,則需超越行業倫理的技術性討論,轉向對人類經驗多元性的重構與人文獨特性的尊重,實現技術時代的精神「返魅」。這一過程的本質,是在對抗工具理性對翻譯藝術的祛魅。在此過程中,理論建構需以本土文化價值體系為根基,回應社會主義精神文明需求。同時,可重新引入前現代性中的「靈韻」(aura)以及原真性、不可複製性等概念(瓦爾特·本雅明,2022:5-14),通過對翻譯主體的存在論反思,揭示機器翻譯時代勞動的詩性維度。

國家意識形態、價值觀,以及社會發展趨勢引領著翻譯實踐和理論構建。我國人工智能政策始終強調以人類可持續發展為中心,推動智能化進程,全面提升社會生產力與國家競爭力(國務院,2017)。相關政策明確指出,人工智能的發展應遵循人類共同價值觀,尊重人權與根本利益,促進經濟、社會及生態的可持續發展,共建人類命運共同體。例如,《新一代人工智能發展規劃》提出構建「知識群、技術群、產業群互動融合的生態系統」(ibid.);《新一代人工智能倫理規範》要求「堅持以人為本,增強人民獲得感幸福感」(國家新一代人工智能治理專業委員會,2021)。此外,《生成式人工智能服務管理暫行辦法》從監管層面進一步規範人工智能發展(國家網信辦等七部門,2023)。這些政策檔共同構成了以人類福祉為導向的翻譯理論建設指導框架。

在人工智能語境下重新審視翻譯勞動主體,能夠有效拓展翻譯研究的理論邊界。傳統工業社會中,如徹斯特曼(Chesterman, 1997/2016: 65)所述,譯者本質上是通過出售翻譯勞動力和完整工作時間換取貨幣報酬的職業群體。然而,在NMT、LLMs、互聯網平臺與翻譯產業化多重變革下,這一定義已難以涵蓋當代翻譯實踐的複雜性。這種複雜性體現為兩個層面:其一,專業譯者的工作場域已從單一文本轉換擴展至人機協作的品質控制與風格調校;其二,還湧現出愛好者自願翻譯、網路協同翻譯等新型實踐形態,其動機體系與價值評估標準均超越傳統經濟交換範式。尤其值得注意的是,神經機器翻譯的普及催生了「人人皆譯者」的現象——任何具備設備接入能力的個體都能通過修改機器輸出參與翻譯過程,而終端使用者的回饋行為亦構成翻譯勞動的新維度。這些群智協同模式下的人類行為,其感性認知基礎、理性決策機制與社會文化



影響,亟待建立新的分析框架。

對人工智能時代翻譯勞動本質的再思考,將為翻譯理論開闢新的認識論維度。當代翻譯研究已不能僅局限於語言符號轉換的技術分析或市場導向的策略研究,而需回應技術解放帶來的本體論變革。在神經機器翻譯接管基礎性翻譯工作之後,人類譯者獲得的不僅是馬克思所指的「自由王國」(卡爾·馬克思,2004: 928-929),更是創造性勞動的複歸可能——這種自由具體呈現為對文本詩學價值的深度開掘,以及翻譯過程中沉浸式的審美體驗。正如本雅明(Walter Benjamin)對機械複製時代「靈韻」消逝的憂思,當前學界關於AI無法替代文學翻譯的論斷,其本質是對前現代勞動中主客統一性的召喚,而這正是數位時代的辯證性「返魅」。當機器承擔翻譯勞動的初始階段,人類譯者得以在標準化生產之外,重新培育其經驗的異質性與事件的獨特性,實現人文精神的當代重構。更具理論意義的是,現象學詮釋學等傳統人文學說,可為機器學習的黑箱提供理解模型,推動人工智能的可解釋性研究從技術維度邁向存在論維度。

將人工智能、人類智能、人類經驗進行多維度互鑒,能夠更大程度地促進跨學科發展,實現新文科建設目標。以有機、動態、連接的方式看待價值理性與工具理性在翻譯中的作用,用工具理性解放社會生產,用價值理性引導人文關懷,可以更好地推動人類命運共同體的實現。

五、結語

神經機器翻譯的發展讓我們意識到翻譯行業和翻譯研究中工具理性和價值理性的失衡。本質上,這是一個現代性的問題,它存在於現代社會發展的每個階段,在不同的技術條件下呈現出不同的具體形態。在翻譯學科的發展譜系中,工具理性和價值理性的動態博弈既塑造了霍爾姆斯式的科學化研究範式,也催生了後殖民翻譯理論對多元主體性的呼喚。它牽涉到了翻譯的研究範疇和方法,以及翻譯本體、主體的不同定義。當前,翻譯研究領域的任務是人工智能驅動下的翻譯進行觀察、梳理、闡明、回饋、引導。既要理性審視技術效能,避免陷入「智能拜物教」;更要通過現象學、批判理論、自主創新理論等路徑,重構翻譯的創造性維度。具體而言,應在經驗層面記錄人機協作模式,在理論層面整合技術批判與人文視角,在實踐層面融合「以人為本」的行業願景。唯有如此,才能使翻譯學科在技術變革中既吸收創新成果,又守護人文內核,最終實現工具理性與價值理性的動態平衡。

注釋

- ①「生產的抽象化」的概念可溯源到黑格爾,他認為機器和自動化體系讓生產成為人類無法控制的過程。黑格爾(著):《法哲學原理:或自然法和國家學綱要》,范揚,張企泰(譯),北京:商務印書館,1961年版,頁229-230。
「異化」是馬克思哲學體系中的重要概念,後由法蘭克福學派發展傳播。本文沿用馬克思的勞動異化論中的概念,認為資本市場和自動化生產讓勞動者的勞動成為單調、無意義的,而不是充滿創造力的。卡爾·馬克思:《1844年經濟學哲學手稿》,中共中央馬克思恩格斯列寧史達林著作編譯局譯,北京:人民出版社,2000年版,頁50-63。

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The C-E Translation of the Cantonese Nursery Rhyme *Jyut Gwong Gwong* from the Perspective of Essence and Function

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Abstract: Cantonese nursery rhymes, as vital carriers of Lingnan folk culture, face challenges in translation, particularly the neglect of phonology and the loss of cultural imagery. Traditional research prioritizes form and meaning, often favoring meaning over other elements. This study examines the phonological deficiency in existing English translations of the Cantonese nursery rhyme *Jyut Gwong Gwong* and, through comparative analysis of Chinese and Western translations, re-examines the relationship between form and meaning using the concept of essence and function (*Ti-Yong*). The research finds that the oral nature of Cantonese nursery rhymes necessitates prioritizing sound over form. Furthermore, the function of the nursery rhyme determines the appropriate translation method, while translation, in turn, plays a positive role in the representation and dissemination of the rhyme's narrative.

Keywords: Cantonese nursery rhyme; *Jyut Gwong Gwong*; translation methods; form-meaning dichotomy; essence-function concept

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體用視域下的粵語童謠《月光光》英譯

何梓健

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摘要：粵語童謠作為嶺南民俗文化的重要載體，其翻譯研究長期面臨對音韻體系的忽視與文化意象消解的難題，傳統的童謠研究止步於形義分析，或譯意優先。本研究以粵語童謠《月光光》英譯的音韻維度缺失為起點，通過中西譯例對比，融貫體用思想去重新審視形義關係。研究發現粵語童謠口頭性的原發要求譯聲優先，形義次之；且童謠功能對翻譯方法的選擇有決定性作用，相反翻譯對於童謠故事性的再現與傳播也有積極的意義。

關鍵詞：粵語童謠；《月光光》；英譯方法；形義關係；體用思想

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一、引言

粵語童謠作為嶺南文化的「活化石」，承載著九音六調的語音系統與獨特的語言民俗意義，是兒童學語乃至一代人地方文化傳承、發展的重要基石之一。作為廣府粵語童謠經典的《月光光》經歷變遷異本眾多，雖內容不同，但其「月」的母題和作為聲音文學的耳聽口傳性恆久不變，在各個時代都承載著不同的社會功能。

《非物質文化遺產法》對於「非遺」定義的分類中首先就納入了傳統口頭文學及其作為載體的語言，粵語童謠作為一地的文學文化瑰寶，其口頭性、聲音主導的突顯不僅提供語內闡釋和超越傳統譯意研究的旨趣，更提供了聲音詩學和語際傳播的空間。《月光光》譯介肇始於 20 世紀初，1901 年英國漢學家 Alfred May 為瞭解中國的兒童生活收集編譯 27 首廣府童謠。西學東漸時大部分地方童謠（如《孺子歌圖》《北京兒歌》等）的譯介雖都是被動、被他者化的，卻是對本土文學外譯早期的珍貴史料，自此後的很長一段時間譯謠活動消停^①。《月光光》在 50 年代歌謠采風運動中改編的兒歌，是第一首譜成完整歌詞的廣東童謠兒歌，2010 年更被選為廣州亞運會閉幕式主題曲，是地方文學從地方走向世界的標誌。在文化外譯的號召下，更應該主動維護並展現本土文學。但無論過去的被動翻譯，抑或今天的外謠漢譯，「譯即譯意」一直被認為是統攝童謠翻譯再現童趣的原則，忽略了形式本身的「意義」是隨著社會功能變化的，從體用思想來看，即文意寓於文形與文用中，並進一步被歸納和發展成文體。本文以粵語童謠《月光光》為例，從形、意、體、用方面探討童謠聲與形的特質、其如何具備意義生成性，以及在譯中如何再現或表現體用關係。

二、童謠的體用

（一）形意與體用

西方傳統文論把形意互相割裂，陷入長期的二元對立。形式主義學派認為文學的核心是語言形式的

「陌生化」,把文學性視為封閉自足的系統;解構主義的「延異」和接受美學指形式參與意義建構,但過分強調形式的決定性使文學意義淪為語言遊戲。「決定性」的存在也就讓西方文論建構長期擺脫不了主客二分和工具論。自古中國文論與社會功能密不可分,所謂「文以載道」,就童謠而言,自《列子》言「立我蒸民,莫匪爾極」的政治預言之用,到明代李贄以「童心說」為文絕假純真,再到周作人指童謠是藝術啓蒙媒介,無不強調童謠的創作唱誦因社會變化而演進。清代喬億《劍溪說詩》言:「性情,詩之體;音節,詩之用」,「體」與西方的本體(ontology)有重合之處,即本性(essence)、內在;「用」即作用(function),是服務於「體」的結構、方法、功能,兩者一體。童謠之用可以理解為寓於地方語言的聲與形等文本物質性,能發揮與詩一樣「興觀群怨」的功能,如認知啓蒙、審美辨義、源於實踐且具備強烈的地方性;童謠之體寓於通過唱、誦獲得的聲音詩學意義與統結的性質、規範、體式、分類等,具有普及性、歸納性與思維觸發性。

(二) 童謠的體用之變

「用」的行為屬性把「體」之存在延伸具化,主要在於其變化性和主體性。邵雍在《漁樵問對》中談到「火以用為本,故動,水以體為本,故靜」,並總結道「體無定用,惟變是用」。因此現象、實踐、詮釋常變,意義隨詮釋而變。確證形式承載意義之余,實踐與詮釋以人為主體,進一步把形意的靜態帶到思想的多元動態中。所以童謠是一種主體思想形式化的地方文化操演。在書寫文字尚未誕生的時代,童謠唱誦直接參與集體勞動和生活的意義生產,提供情感價值;後來曾一度被視為「熒惑」(火星)降世,漢代王充《論衡》指童謠發於自然,在唐朝被視為「天機」,實際上是為掩蓋民間輿論,結合天象預示災變、影響民意來捍衛王朝統治而定性;到宋代,童謠被納入詩詞體系,如《千家詩》《太平預覽》等,文人開始關注其情感真實性並融入理學禮教;明代童謠具有雙重性,既被批為虛妄的政治工具,但如李夢陽、馮夢龍等人肯定其「真」的價值,並開始收集整理民間童謠;「歌謠運動」中童謠被視為復興文化的重要途徑,抗戰期間更被用於愛國宣傳,朱介凡《中國兒歌》中提出童謠的「娛樂性、教育性、抗爭性」便是例證,直至新中國成立後才出現童謠理論的構建,如「幻想層次說」^②,這些都是意義被代際地實踐與闡釋、因用生體的結果。廣府童謠《月光光》的形意也應時而用,因時流變。

1. 《月光光》的流變

《月光光》據說由唐朝常袞所作,其考察於福建,見「閩人一字不識,難以開導,遂作謠云:『月光光,照池塘,騎竹馬,過洪塘。洪塘水深難得過,儂仔撐船來接郎』數句,以土音教之,歌既能唱,遂寫『月光光』等字教之識。」^③最早的廣府《月光光》見於宋明,但無可考證據。1905年革命黨人徵集愛國童謠,《月光光》居榜前列:「月光光,照滿堂,堂中有只大豺狼。豺狼真惡毒,專門食人肉。食了我亞公,又食我亞叔。亞爹叫我走,免送豺狼口。教我練硬對拳頭,遲下替亞公亞叔來報仇。」^④「大躍進」時,此謠被賦予政治宣傳功能:「月光光,照地塘,齊收割,好米糧。米糧香,贊二娘。二娘愛社心最強。社內耕牛和農具呀,小心保護不損傷。」^⑤經歷千年變遷,從抒情到政治隱喻再到復歸教育娛樂,縱然異本眾多,但「月光光,照XX」承載聲韻節奏之體式,及其教育與安眠功能未變,也印證了童謠並非追求一詩百解的個人審美追求,而是面向大眾成為集體記憶。

2. 《月光光》的文之用

文本的實踐性決定其實用性,《道德經》言「有之以為利,無之以為用」,文本形式和功能再豐富,不付諸思想與實踐便言之無物,也就無用。而「無」之用反倒給思想意義提供了容納空間。童謠的文用首先在其聲,意義在聽聲唱誦。粵音獨特之處為九聲六調,保留入聲(-p, -t, -k),字調與音樂音階天然耦合(見表1)。這裡「用」的建立所謂先聲奪人:聲音優先要被感知,其次是節奏調律,然後才成謠(文)構義,使粵謠誦讀如樂,協曲能唱。



調類	陰平	陰上	陽上	陽平	陰去	陽去	陰入	中入	陽入
粵語調值	1	2	3	4	5	6	7	8	9
例字	詩	史	市	時	試	事	識(-t)	涉(-p)	食(-k)
國語調值	1	2	—	3	—	4	—		
協音音階	do/so/la/si	mi/so/si	do/re/fa/so	do/so/la	do/mi/si	la/si	do/so/la/si	do/mi/so	mi/la/si

表 1 粵、國音字、調值及協音對比

《月光光》之類多為女性創作的安眠謠，少用入聲，念唱往往娓娓道來。選例為當代廣為傳唱的《月光光》，是 50 年代歌謠采風運動中改編的第一首譜成完整歌詞的廣東童謠兒歌，也是 2010 年廣州亞運會閉幕式選曲。主要敘述月光灑落地堂、母親哄睡小兒，分三節展開，第一、二節分別描述家人與漁農分工，及對幼兒成長分擔農事的希冀；第三節描述家庭老幼因豐收歡聚天倫、小兒平安順遂的願望。此謠既是聲-音-意-文化體用合一的範例，也是從本土到世界的跨文化符號。以下為配樂譯文版，按音韻、節奏、結構之用作文體分析，並提供翻譯方法：

音義相配的聲韻美。誦時多用平、去聲長音突顯柔和輕訴的質感，唱時被拖腔，入聲的短促斷裂被重連使之更順暢；用音限制在 1(do), 2(re), 3(mi), 5(so), 6(la), 7(si)，實則是傳統五音的變體。音韻設計高低反復，表「高」「上」的字配高調，如「光光」「聽朝」「山崗」「快高」「天光」「撒網」「豐收」等向上語義的動作或物象配 5(↑)音；表「低」「下」的字配低調，如「地堂」「落床」「牛羊」「魚蝦」「眯埋眼(閉上眼)」等閉合或向下語義配 6 或 7(↓)音。

逐字協韻的節奏美。《月光光》多以三、五、七字句為主，即「三三七」式，是粵語歌謠常見的「數白欖」式，入聲起，平聲收。此式多以民間勞動歌調為代表（如樂府詩），屬於民歌影響下的文人謠歌辭^⑥。如漢代《君馬黃》：「君馬黃，臣馬蒼，二馬同逐臣馬良」；《代淮南王》：「淮南王，好長生。服食煉氣讀仙經」等。《落雨大》：「落雨大，水浸街，阿媽擔柴上街賣」和《雞公仔》：「雞公仔，尾彎彎，做人點可以怕艱難」等晚於《月光光》的童謠也屬此類。亦即「月光光，照地堂，蝦仔乖乖翻落床」「聽朝阿媽趕插秧」才是規整的「三三七」式，但老練歌者會添間字如「你」「囉」「要」「就」在經過音上，唱誦時節奏更緊湊。

線性敘情的結構美。「月」的母題引出不同場景，自天至地（月光-地堂-山崗-插秧-牛羊-豐收-老幼天倫）、自外到內（月照大地-床邊-江海山田-穀倉），由自然物、人工物到心理境象（月光-地堂-山崗-牧牛捕魚蝦-成長的希冀-家庭喜洋洋）、由靜變動等形成不同視角的線性敘事。古今詩謠也有類似線性敘事結構，如《陳風·月出》以月在上，以人在下，抒發愛慕；漢詩也多以月為興：床前明月光、月出驚山鳥、海上生明月，天涯共此時、明月幾時有？把酒問青天等不一而足，無不借月照敘人間之事，抒人世之情。

三、《月光光》英譯的三維剖析

傳統譯論認為「譯即譯意(Translating means translating meaning)」(奈達語)，形式次要；「三美」論也以意美第一，音形之美次之。徐德榮說「在充分把握兒童讀者語言認知能力、獨特審美能力和想象力的基礎上，保持和再造原作的可貴特質」^⑦，翻譯出體現兒童思想和需求的原初性。這裡的「體現原初性的兒童需求」就是一種顯著的體用關係，建基於此的兒童文本的可讀性和創造性才有討論的可能，否則缺乏教育性、遊戲性的童謠「譯尤不譯」。體用思想回答不再是譯什麼，而是為何譯和如何譯的問題，證明譯事是行為-存在、體用統一的複雜過程。早期的童謠翻譯以用顯體隱的學術化處理，如英國漢學家 Alfred May 譯 27 首廣

$\overset{1}{2} \overset{2}{5} \overset{3}{3} \overset{3}{2} \overset{3}{3} | \overset{1}{2} \overset{2}{7} \overset{6}{6} \overset{5}{5} - | \overset{3}{3} \overset{2}{2} \overset{1}{1} \overset{5}{5} \overset{3}{3} \overset{2}{2} | \overset{1}{2} \overset{2}{7} \overset{6}{6} \overset{5}{5} - |$
 jyut' gwong' gwong' ziu' dei' tong' haa' zai' nei' gwai' gwai' fen' lok' cong'
 月光光 照地堂 蝦仔你乖乖 瞓落床
 Moon moon glows Winnow ground it knows Shrimpie my ba-by Go to sleep-py

$\overset{5}{5} \overset{5}{3} \overset{2}{2} \overset{1}{1} \overset{2}{2} | \overset{2}{2} \overset{1}{1} \overset{3}{3} \overset{2}{2} \overset{1}{1} | \overset{1}{1} \overset{5}{5} \overset{2}{2} \overset{5}{5} \overset{1}{1} | \overset{1}{2} \overset{5}{5} \overset{3}{3} \overset{2}{2} \overset{3}{3} |$
 ting' ziu' aa' maa' jiu' gon' caap' joeng' lo' aa' je' tai' ngau' keoi' soeng' saan' gong' aa
 聽朝 阿媽要趕插秧囉 阿爺睇牛佢上山崗啊
 By dawn Ma-ma will plant the rice field Grandpa'd herd cows and up on hill Ah~

$\overset{1}{2} \overset{2}{5} \overset{3}{3} \overset{2}{2} \overset{0}{0} \overset{3}{3} | \overset{7}{7} \overset{2}{2} \overset{7}{7} \overset{6}{6} \overset{5}{5} - | \overset{3}{3} \overset{2}{2} \overset{1}{1} \overset{5}{5} \overset{3}{3} | \overset{2}{2} \overset{6}{6} \overset{1}{1} \overset{1}{1} \overset{0}{0} |$
 aa
 啊 蝦仔你快高 長大囉
 Ah~ Grow up strong, my dear lit-tle

$\overset{3}{3} \overset{2}{2} \overset{3}{3} \overset{2}{2} \overset{6}{6} \overset{1}{1} | \overset{2}{2} \overset{3}{3} \overset{6}{6} \overset{5}{5} \overset{1}{1} | \overset{7}{7} \overset{2}{2} \overset{7}{7} \overset{6}{6} \overset{5}{5} \overset{0}{0} \overset{7}{7} | \overset{6}{6} \overset{1}{1} \overset{3}{3} \overset{5}{5} \overset{2}{2} \overset{1}{1} - |$
 bong' sau' aa' ye' heoi' tai' ngau' joeng' aa
 幫手 阿爺去睇牛羊啊
 And help Grandpa tend goats and cattle Ah~ Ah~

$\overset{3}{3} \overset{2}{2} \overset{5}{5} \overset{3}{3} \overset{3}{3} \overset{2}{2} \overset{3}{3} | \overset{1}{2} \overset{2}{7} \overset{6}{6} \overset{5}{5} - | \overset{3}{3} \overset{2}{2} \overset{1}{1} \overset{5}{5} \overset{3}{3} \overset{2}{2} | \overset{1}{2} \overset{2}{7} \overset{6}{6} \overset{5}{5} - |$
 jyut' gwong' gwong' ziu' dei' tong' haa' zai' nei' gwai' gwai' fen' lok' cong'
 月光光 照地堂 蝦仔你乖乖 瞓落床
 Moon moon glows Winnow ground it flows Shrimpie my ba-by Go to sleep-py

$\overset{5}{5} \overset{5}{3} \overset{2}{2} \overset{1}{1} \overset{2}{2} \overset{1}{1} | \overset{7}{7} \overset{6}{6} \overset{5}{5} \overset{2}{2} \overset{3}{3} \overset{1}{1} | \overset{1}{1} \overset{5}{5} \overset{2}{2} \overset{1}{1} \overset{1}{1} | \overset{2}{2} \overset{1}{1} \overset{5}{5} \overset{3}{3} \overset{3}{3} \overset{2}{2} \overset{3}{3} |$
 ting' ziu' aa' baa' jiu' bou' jiu' haa' lo' aa' maa' zik' mong' jiu' zik' dou' tin' gwong' aa
 聽朝 阿爸要捕魚蝦囉 阿嫲織網要織到天光啊
 By morn Pa-pa will catch fish and prawn Nanna'd weave a fishing net till dawn Ah~

$\overset{1}{2} \overset{2}{5} \overset{3}{3} \overset{2}{2} \overset{0}{0} \overset{3}{3} | \overset{7}{7} \overset{2}{2} \overset{7}{7} \overset{6}{6} \overset{5}{5} - | \overset{3}{3} \overset{2}{2} \overset{1}{1} \overset{5}{5} \overset{3}{3} | \overset{2}{2} \overset{6}{6} \overset{1}{1} \overset{1}{1} \overset{0}{0} |$
 aa
 啊 蝦仔你快高 長大囉
 Ah~ Grow up strong, my lit-tle dear

$\overset{6}{6} \overset{5}{5} \overset{3}{3} \overset{5}{5} \overset{5}{5} \overset{3}{3} | \overset{5}{5} \overset{3}{3} \overset{5}{5} \overset{2}{2} \overset{3}{3} | \overset{5}{5} - - \overset{0}{0} | \overset{1}{2} \overset{5}{5} \overset{3}{3} \overset{3}{3} \overset{2}{2} \overset{3}{3} |$
 waak' ting' saat' mong' zau' gang' zoi' hong'
 划艇撒網就更在行 月光光
 Master the boat and net bet-ter Moon moon glows

$\overset{1}{2} \overset{2}{7} \overset{6}{6} \overset{5}{5} - | \overset{5}{5} \overset{2}{2} \overset{3}{3} \overset{1}{1} \overset{7}{7} | \overset{6}{6} \overset{1}{1} \overset{2}{2} \overset{1}{1} \overset{5}{5} - | \overset{1}{2} \overset{5}{5} \overset{3}{3} \overset{2}{2} \overset{2}{2} \overset{6}{6} |$
 ziu' dei' tong' nin' saa' maan' zaak' bun' long' ng' guk' fon' sau'
 照地堂 年卅晚 摘檳榔 五穀豐收
 Winnow ground it knows New Year's Eve Betel nuts to pick Harvests bumper

$\overset{2}{2} \overset{1}{1} \overset{3}{3} \overset{2}{2} | \overset{1}{1} \overset{1}{1} \overset{6}{6} \overset{6}{6} \overset{2}{2} \overset{3}{3} | \overset{3}{3} \overset{6}{6} | \overset{5}{5} \overset{1}{1} \overset{7}{7} \overset{2}{2} \overset{7}{7} \overset{6}{6} | \overset{5}{5} \overset{0}{0} \overset{7}{7} \overset{6}{6} \overset{1}{1} |$
 dui' mun' cong' lo' lou' lou' nyun' nyun' hei' yeung' yeung' aa
 堆滿倉囉 老老嫩嫩喜洋洋啊
 And grains plumper Elders youngsters laugh in cheer Ah~ Ah~

$\overset{3}{3} \overset{5}{5} \overset{2}{2} \overset{3}{3} \overset{1}{1} - | \overset{3}{3} \overset{2}{2} \overset{1}{1} \overset{1}{1} \overset{5}{5} \overset{3}{3} | \overset{2}{2} \overset{3}{3} \overset{5}{5} \overset{1}{1} \overset{1}{1} | \overset{3}{3} \overset{2}{2} \overset{3}{3} \overset{2}{2} \overset{3}{3} |$
 haa' zai' nei' faai' di' mei' maa' ngan' lo' yat' gau' fen' dou'
 蝦仔你快啲 咪埋眼囉 一覺瞓到
 Shrimpie be good and Close your eyes Sleep tight till the

$\overset{1}{2} \overset{2}{5} \overset{3}{3} \overset{3}{3} \overset{2}{2} \overset{3}{3} | \overset{7}{7} \overset{2}{2} \overset{7}{7} \overset{6}{6} \overset{5}{5} \overset{0}{0} \overset{7}{7} | \overset{6}{6} \overset{1}{1} \overset{3}{3} \overset{5}{5} \overset{2}{2} \overset{3}{3} | \overset{1}{1} - - - ||$
 daai' tin' gwong' aa
 大天光 啊
 sun- lights rise Ah~ Ah~

圖1 廣府《月光光》配樂譯本（潘林、喬飛、施明新 1958 作，筆者譯）

府童謠時採取添加註釋的厚翻譯模式^⑧；或者體顯用隱的創譯，如對《青銅葵花》進行風格再造^⑨。

兒童的「淺語」^⑩是指自然思維和日常化語言，而兒童對聲音形態的敏感先於對文字，善用淺語為童謠者便把聲音、形態作為修辭融入創作並強化其效果，童謠首先是感官文本，然後才是構義與審美文本，那麼如何再現聲與形的功能？先看以下《月光光》的幾個譯例：

譯本 1: The moonlight is bright/ It's shining on the yard/ Little baby be good and go to bed/ Tomorrow mum will go to plant the rice seedlings/ Grandpa will watch the cows and go on the hillock/ Little baby you will grow tall and strong soon/ So you can help your grandpa watch the cows and sheep (Kwok & Chan 譯)

譯本 2: Moonlight bright, shines on the floor/ My son, be good and sleep on the bed/ Tomorrow, Mama



must rush to plant the seedlings/ Grandpa will watch the cows on the hill/ My son, grow up fast and strong/ To help Grandpa watch over the cattle and sheep (佚名譯)^⑪

譯本 3: Bright moonlight, shining on the ground/ Little Shrimp, you obediently go to bed/ Tomorrow mother needs to quickly plant the seedlings/ Grandfather who watches the cows will need to go up to the small hill, ah.../ Little Shrimp, you'll soon grow tall and big/ Help your grandfather watch the cows and sheep, ah... (Pearlie Ng 譯)^⑫

譯本 4: On the yard, the moonlight shines/ In bed, our little baby lies/ Tomorrow, mum will transplant rice/ Grandpa will pasture cows on hills/ Grow up soon, our little baby/ Help your grandpa to herd cows (吳宇媚譯)^⑬

上述譯本均對童謠體用理解不足,致譯有不足。譯本 1 和 2 語義雖對譯,但沒有照顧原文的形構和韻律,前者更因吝於保留 is, and, so 等虛詞部件,導致邏輯大於童趣;後者 must, rush, fast, watch, strong 等詞短促強烈,其速度和緊迫性有悖於安眠謠的輕柔。譯本 3 變韻體為散體, bright moonlight, shrimp, bed, need, quickly 等詞存在輔音連綴和爆破音,也降低了入曲唱誦的操作性。譯本 4 節奏對應,用詞簡練,但「光光」「乖乖」等突顯童趣的疊詞,以及「蝦仔」(廣府疍家人常居水上,漁獲中常見魚蝦蟹,故以小蝦米轉喻蜷縮身體的初生嬰兒)沒有合理再現,讓其知識功能和審美功能大打折扣。

本文嘗試基於「文之用」,即文本的聲音形式與視覺形式,以及聽、唱誦,以及讀寫之用,提出三條英譯路徑,從而生成「意之體」再現童趣:基於聽、唱、誦的(1)聲形並行,即以音韻、節奏為基礎的詞句再現;(2)以聲聯義,根據像似機制關聯聲音的意義,為以聲譯聲提供契機;以及基於讀寫之用的(3)文本內外敘意,再現童謠文本敘事結構,並以文本外的現實與心理真實為據翻譯或改寫。

(一) 聲形並行

早期已有不少研究優先討論童謠翻譯的聲音特點^{⑭⑮},為童謠的研究方法提供了聲音第一性面向。蘇格蘭作家維拉·繆爾所言,童謠「只有被唱誦時才有生命力,每唱一次唱者都在曲調或節段上重新創作」^⑯,對童謠聲音節奏的關注在翻譯中突顯其重要性。王東風教授指出,漢詩英譯用漢語平仄對英語抑揚為理想模式^⑰。粵語童謠的創作會出現節奏不一、協音變調等變化,入聲也不同于英語常帶爆破的閉塞音,自然不同于平仄對譯抑揚。但筆者認為也可採取入聲-非入聲字對應英語抑揚,以補償粵字濁音的缺失。初步改譯如下(節略),其中大寫詞對應上述入曲謠配高音階的字,小寫詞對應低音階字;含塞音詞(-p, -t, -k, -b, -d, -g)對譯原文入聲字:

1 月(jyut)光 光/ 照 地 堂

1 bright MOON moon/ shines on the yard

2 蝦 仔 你 乖 乖 瞓 落(lo) 床

2 SHRIM-pie my BA—by, go to slee—py

3 聽 朝 阿媽 要 趕插(caap) 秧 囉

3 BY MORN mama will plant the RICE field

4 阿 爺 睇 牛 佢 上 山崗

4 grandpa'd herd cows and be UP on hills

宏觀上,音調步進先高後低、先升後降,微觀上,如上述原文的音階-語義連續體,譯文也用表徵向上與向下的語詞分別設配原文相應字處,如「光-5(↑)-moon」「乖乖-5(↑)3(↓)-baby」「落床-7 6 5(↓)-sleepy」



「山-5(↑)-up」,形成字音-樂調-譯詞-語義和諧的統一體。

節奏上與原文的強弱、鬆緊、快慢對應,結構上也與原文句長接近。為避免多字而破句,或缺字而斷連,選詞與位置要進行微調。如「照地堂」譯 shines on the yard 比原文多 1 個音節,可以把「照」的語義提前,改為「Moon moon glows」,後與 On the yard 各 3 音節;Go to sleepy 也改譯為 Be sleepy 對應「瞓落床」的 3 個音節,雖取消了「月(jyut)」的入聲對譯,但用 moon[u:],be/sleepy[i:]等長元音,glow[əʊ]雙元音卻顯得更為柔和徐緩。以聲帶形,聲形並行地亦步亦趨,「足履相適」¹⁸,是童謠形式層的有效對應。

(二) 以聲聯義

聲形對應完成了詞句形式的再現,而意義的傳譯也有賴聲音之意義與全篇意蘊一致,比如譯本 2 的 must, rush, fast 等詞的急促感打破安眠謠的寧靜美。能指-所指的物質性僅在與抽象概念的對比中成立,亦即概念意義一種實踐-經驗的產物。聲音-意義關係是「用中生體」的隱喻性映射,音義聯覺為傳譯提供了可能的通路。

符號學認為語言生成的重要機制之一是像似,而音韻像似是詩歌的詩性美感重要的核心機制,包括聽覺像似性(如擬聲詞)、節奏像似性(如聲音漸高節奏漸快摹擬情緒激昂)以及聲音象徵¹⁹。音義聯覺是聲音象徵的主要機制,其假設是:聲音符號能映射或象徵現實的部分屬性、特徵。這種觀照下,以聲譯聲是再現的基本要求。

廣府粵語分康莊韻-ong、希微韻-ei、八達韻-aat、月缺韻-yut 等三十類。ong 韻粵字有康、光、廣、框、筐、曠、方、房、床、堂、廊、崗、茫、囊等,屬於空間、廣大的語義場,可認為《月光光》的各行尾韻共同表徵空曠的月夜田野語象。這種音義關聯在英語中亦存在對應機制,有研究指 gl-音叢詞指徵圓形義(如 globe),發光義(如 glow, glare, glint, glim, glimmer),視覺義(如 glance, glimpse),即「看見+發光+圓形」是共同語義場²⁰。清代學者程瑤田在《果贏轉語記》中象形構詞「果贏」擬圓形果實落地滾動的「骨碌」聲,後與鍋、圓瓜、山頂轉注「鍋鑪」、「果蓏」及「峇嶺」²¹。因此選譯 glow 作為《月光光》的首韻,是出於圓月、柔光、空曠語象共構的柔和基調,出於中西形意關係的同構理解,符合童謠的淺語之用。韻式配成 aabb ccdd 偶韻,改譯為:

Moon moon glows (a)/ Winnow ground it knows (a)

Shrimpie my baby (b)/ Be sleepy (b)

By dawn, Mama will plant the rice field (c)

Grandpa'd herd cows and up on hills (c)

Grow up strong my dear little (d)

And help Grandpa tend goats and cattle (d)

舊時粵地農村的地堂通常是屋前露天的曬穀場,亦稱「禾堂」,常選址在通風乾燥的臨宅高地,用作衣物晾曬和穀物脫粒。譯本 2 的 floor,譯本 3 的 ground 所指模糊,譯本 1 與 4 譯 yard,到底是 courtyard, front yard, backyard 抑或 farmyard 也並不明確。此句難點在於「地堂」在英語文化中並無對應物。現提供兩種譯法:

1) Moon moon glows/ Winnow ground below。Winnow ground(以風吹篩谷之地)是對譯「地堂」的最切選擇,但 below 與 Moon moon glows 沒有形成空間上的關聯,彷彿月光和地堂互相獨立。

2) Moon moon glows/ Winnow ground it knows/ flows。譯文將月光擬人,表達每夜月亮如時升起,無比熟悉(knows)它所輕灑(flows)的地堂,詩意濃厚,雖明顯超出 3 個音節,卻不失為創造性補償。



譯文選擇保留「蝦仔」意象譯 shrimpie(弱而小的人)有音義關聯的理據。薩皮爾(Edward Sapir)指出帶元音[a]的詞表徵「大」,帶有[i]的詞表徵「小」²²。選譯[i]或[i:]音詞如 darling, shrimpie, be, sleepy, little, dear 等糅合出憐愛小兒的語象。我們可旁徵英語安眠謠,可見重複使用[i]類詞共構「細小」的語義:

1) I will bring for you little lovely dream/ A little lovely dream; a still little dream/ Sweet sweet shut your eyes/ Sleep, sleep my darling (Tomahawk, *Cradle Song*)

2) Hush a bye, don't you cry/ Go to sleepy, little baby/ when you wake/ You shall have all the pretty little horses. (Dorothy Scarborough, *All the Pretty Little Horses*)

3) Sweetest little feller/ When he's a-sleepin' in his little place/ Kiss 'im in his sleep (Frank Lebby Stanton, *Mighty lak' a rose*)

另外,親屬稱謂選譯 mama, papa 等雙唇音+開元音詞彙,能關聯起一種親密感, mother, father, grandfather 卻更為正式和成人化,不符合「淺語」。通過元音[a]音詞的復現,摹擬嬰兒啼哭和最原始的呼喊強化認知,兒童在音調辨認的美育中同步完成認識家庭成員關係的智育啟蒙。由此[i]音詞的微小感,與[a]音詞的親密感再現在唱誦中,也保證譯文與原文的審美等效。

(三) 內外敘意

以聲帶形,以聲聯義的英譯探索,是對童謠聆聽、唱誦之用的時間維度的再現。那麼童謠的閱讀和書寫之用體現在視覺、空間上,翻譯不僅要還原其語言文本形態,還需考慮重現童謠的故事性,因為這是實現童謠跨文化傳播和使用的顯性載體。

故事性及其意義承載於文本內與外的空間。從認知語言學的「現實-認知-語言」邏輯來看,現實空間為認知空間提供物質刺激或情感體驗,認知主體或摹狀、同構或象徵地映射世界,並通過實踐形成穩定的概念、文本或成規。有關月的英詩與《月光光》的敘事線類似,可為其翻譯提供語言養分,比如雪萊詩: Art thou pale for weariness/ Of climbing heaven and gazing on the earth/ Wondering companionless(*To the Moon*)和史蒂文森(R. L. Stevenson)詩: The moon has a face like the clock in the hall/ She shines on thieves on the garden wall/ On streets and fields and harbour quays/ And birdies asleep in the forks of the trees...(*The Moon*)²³的以月擬人、卡明斯詩之月形摹仿: mOOn Over tOwns mOOn/ whisper.....SloWLY SPRoUTING SPIR/ It(mOOn Over tOwns mOOn), 分別指稱不同的認知方式,但都以月起首書寫其照耀下的悉數人和物,敘事動線與月的起落軌跡同構。因此《月光光》也可以創譯成「mOOn mOOn glOWs/ winnOw grOund it knOWs」強化接受者對月亮形象的認知,也增添使用文本時的遊戲性,或突顯教育功能。月光、田野、街道、動植物等所代表的生活世界是兒童淺語的現實源頭,童謠譯者既要維持文本故事,更要努力反映和再現生活世界,堅持以世界的真實為根,以原作為體,譯為善用,體用成美文,形成真善美的體用統一體。現實不斷變遷,「地堂」已成歷史,呼籲保護粵語童謠不但要存其形,文化記憶的傳承重在對童謠功能的維護,隨著實踐和思想的發展,意義必然變化,翻譯的任務必然是謹守其教化、遊戲本性,為兒童而語,為兒童而譯。

四、結論

傳統譯論缺乏體用觀照,長期停留在形意二元的處理上,粵語童謠的口頭性與唱誦的實踐使得聲音生成意義,甚至其本身就是意義。對於童謠的翻譯更需放到聲韻體系中解構,突顯其用。通過中西譯例的對

比和互文,根據童謠的實踐真實挖掘可取之法:在聆聽與唱誦層面(1)既以粵音入聲與非入聲字對譯英語抑揚,又亦步亦趨編制字調-樂調-譯詞-語義統一的邏輯之「線」;(2)通過聲義聯覺調整詞義之「點」,構築整體意蘊,適當保留文化意象而進行創譯;在閱讀書寫層面(3)兼顧童謠敘事和對文本內外意義構築意境之「面」。力求從外延到內涵,從語言到藝術等維度對實現與再現童謠淺語的目的與方法進行剖析。

注釋

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(Editors: LI Ruobing & JIANG Qing)



Research on the Translation of Dunhuang Mural Art Terminology and Culture-Specific Items: A Case Study of the English Translations of Fan Jinshi's Six Monographs

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Abstract: The two major challenges in translating Dunhuang mural art literature lie in the translation of art terminology and culture-specific items imbued with multifaceted artistic, traditional, and religious connotations. Based on the construction of a Chinese-English parallel corpus of Fan Jinshi's six monographs and their English translations, this study retrieves and examines the translation strategies applied to Dunhuang mural art terminology and culture-specific items. The research reveals that for art terminology, different translators demonstrate distinct preferences regarding the readability and accuracy of translations. These preferences manifest through choices regarding the subjective expression within the terminological context and the adoption of three translation strategies: word-for-word translation, analogical translation, and explanatory translation. In handling culture-specific items, Chinese translators tend to employ “thinning” of the source text, whereas Western translators more frequently use supplementary information to “thicken” the target text. Nevertheless, both Chinese and Western translators adopt the “thick translation” strategy. To authentically represent Dunhuang art in translations that are accessible and appealing to English readers, translators must strike a balance between literal translation, free translation, and explanatory translation, as well as between text “thickening” and “thinning”.

Keywords: Dunhuang mural art; culture-specific items; thick translation

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敦煌壁畫藝術術語與文化專有項翻譯研究

——以樊錦詩六部著作英譯本為例

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摘要:翻譯敦煌壁畫藝術文獻的兩大難點,是藝術術語以及蘊含多元藝術、傳統、宗教內涵的文化專有項的翻譯。本研究在構建樊錦詩六部著作及其英譯本漢英平行語料庫的基礎上,對敦煌壁畫藝術術語和文化專有項的翻譯進行了檢索和考察。研究發現,對於藝術術語的翻譯,不同譯者通過對術語所在語境的主觀表達進行取捨,與採用逐詞譯、擬譯與釋譯三種不同翻譯策略,呈現出對譯文易讀性與準確性的不同選擇偏好;而在處理文化專有項時,中國譯者往往對文本進行「打薄」,而西方譯者更多使用補充資訊「增厚」文本,但中西譯者均採用了「深度翻譯」的翻譯策略。如何將敦煌藝術原汁原味地翻譯成英語讀者喜聞樂見的譯文,譯者需要在直譯、意譯與釋譯之間,在將文本「增厚」和「打薄」之間尋求平衡。

關鍵詞:敦煌壁畫藝術;文化專有項;深度翻譯

一、敦煌壁畫及其地位

敦煌作為中西交通的「咽喉之地」,見證了佛教藝術東傳的歷史軌跡,在文明交匯、文化交融的歷史中發揮了重要作用,而敦煌壁畫藝術,一直是佛學、藝術、史學研究的重要對象。

壁畫藝術蘊含豐富而珍貴的歷史資訊。從透視、線描再到色彩運用,展現了古人精妙的藝術技法。從《張議潮統軍出行圖》到《雨中耕作圖》,重現了不同歷史時期的社會圖景。壁畫藝術上刻畫的佛傳故事、本生故事與因緣故事,直觀反映了宗教內核與佛教中國化的進程。壁畫藝術承載了悠久的歷史與多元的文化,在敦煌學中具有不可替代的重要地位。敦煌研究院的領軍學者樊錦詩指出:「挖掘弘揚敦煌文化所蘊含的中華精神,有利於我們傳承中華文化的文化根脈,提升文化軟實力,亦為當今世界多元文化和平共處,實現中華文明偉大復興發揮重要作用。」^①要對外傳播敦煌文化精髓,敦煌壁畫藝術的翻譯是繞不過去的問題。其中,介紹敦煌壁畫藝術所使用的大量中華傳統藝術術語,以及介紹壁畫內容時涉及的大量歷史、神話傳說、習俗等文化專有項及文化資訊是需要攻克的難點。能夠準確再現語言結構及文化資訊的翻譯,有利於更好地傳播敦煌多元文化與藝術價值,助力中華優秀文化遺產走向世界。

二、樊錦詩六部作品漢英平行語料庫的構建

本研究運用語料庫技術,研究敦煌壁畫藝術術語及文化專有項翻譯情況,對比分析不同翻譯策略與翻譯效果,尋找敦煌翻譯的更優解。

我們圍繞樊錦詩六部代表性作品及其英譯本(見表1),使用 ParaConc 軟體,構建了六個漢英平行語料庫(漢語語料含 seg 共計 48 萬字元,英語語料含 seg 共計 128 萬字元)。基於董秋霞主編的《敦煌文化關鍵

字》，我們對語料中的敦煌文化關鍵字使用 Tree Tagger 和 CorpusWordParser 軟體進行分詞標注 (tagging)，並利用 ParaConc 檢索功能定位，以分析其翻譯情況。

本文從兩個層面介紹研究成果：語言層面，我們將探討壁畫藝術術語的翻譯；文化層面，則會分析敦煌壁畫歷史、題材等方面文化專有項的翻譯策略。

書名	出版社	時間	英文譯名	譯者	譯文出版社	時間
《敦煌：真實與虛擬》	浙江大學出版社	2003	Dunhuang Real and Virtual	譯者不詳 何蓮珍 (英審校)	浙江大學出版社	2003
《中國敦煌》	江蘇美術出版社	2000	China Dunhuang	Fan Rong	敦煌研究院編 江蘇美術出版社	2006
《敦煌精選五十窟》	江蘇美術出版社	2003	Appreciation of Dunhuang Grottoes A Selection of 50 Caves	劉永增	江蘇美術出版社 Jiangsu Fine Arts Publishing House	2007
《燦爛佛宮》	浙江文藝出版社	2004	The Art of Mogao Grottoes in Dunhuang	譯者不詳	Homa & Sekey Books	2009
《敦煌石窟》	倫敦出版 (香港) 有限公司	2010	The Caves of Dunhuang	Susan Whitfield	Scala Books	2010
《莫高窟史話》	江蘇美術出版社	2009	Stories of the Mogao Grottoes	盧映陽 Nuria Taberner Ceña	江蘇鳳凰美術出版社	2022

表 1 樊錦詩六部作品及譯作情況

三、敦煌壁畫藝術術語的翻譯

德萊頓 (John Dryden) 認為，翻譯策略有「逐詞譯」(metaphrase)、「釋譯」(paraphrase) 與「擬譯」(imitation)^②。逐詞譯，即「逐字逐行」進行翻譯，譯文追求與原文文字面意義相呼應，相當於「直譯」；釋譯則有一定自由度，在保持原文意義的同時，調整措辭和表達方式，既保留核心意義，也更符合目標語言的習慣；擬譯則放棄跟隨源文本的措辭與意義，在文化上採取歸化策略。我們發現，譯者們對於同一術語呈現上述三種翻譯策略的選擇差異。在藝術術語翻譯研究中，如何取得翻譯策略選擇的平衡，成為此部分的研究關鍵。

	《莫高窟史話》	《敦煌精選 50 窟》	《中國敦煌》與《敦煌：真實與虛擬》
鐵線描	iron-wire lines	inflective iron-hard lines	tremulous strokes
折蘆描	broken-reed lines	twisted reed lines	bent-reed strokes
遊絲描	floating silk-threaded lines	gossamer lines	unfluctuating, continuous line
丁頭鼠尾描	nail-head rat-tail lines	broad top and thin end lines	

表 2 四種線描並列出現時的三種譯法

表 2 所呈現的三本譯本中，譯者均需要並列翻譯鐵線描、折蘆描、遊絲描與釘頭鼠尾描四種線描技法，然而譯法不盡相同。表格中由左到右，體現了翻譯策略由逐詞譯向更為易懂的擬譯與釋譯的轉變。在此舉例



鐵線描進行論證。

首先解讀源文本所用術語：依照《敦煌石窟藝術研究》，「敦煌早期壁畫用線主要是鐵線描……早期壁畫的線描如『春蠶吐絲』，遒勁而圓潤，適合於描寫沉靜溫婉的人物性格……北朝晚期，壁畫中出現了動的意境，線描亦隨之而略有變化。一般運筆，壓力大速度快，特別是蜿蜒曲折而又順勢的長線條。」

鐵線描的背景資訊豐富，而在譯文中，譯者們不約而同地捨棄其背景與技法。不難發現，《莫高窟史話》的譯者將其逐詞譯出，為目標語文化引進新藝術術語；《中國敦煌》和《敦煌：真實與虛擬》的譯者使用擬譯手法，凸現鐵線描的外形特徵，便於讀者理解；《敦煌精選 50 窟》的譯者則採用釋譯，既解釋鐵線描的形態，也傳達了這個藝術概念的內涵，取得平衡。

然而，以上策略也呈現出不同問題：《莫高窟史話》譯文雖然精確翻譯了術語，但資訊量稀微，沒有譯出鐵線描的特徵、應用與技法。此外，若未考慮到文化差異，該譯文可能誤導讀者聯想到鐵絲的機械感，而非此前所述的「有力」與「回頓方折」。《中國敦煌》和《敦煌：真實與虛擬》譯文，雖直觀易讀，但並未將鐵線描作為概念闡釋。《敦煌精選 50 窟》的譯文則彌補了上述兩種譯法的不足。

	《敦煌石窟》	《敦煌：真實與虛擬》
蘭葉描	forceful lines	line drawing taking the form of bold and unstrained orchid leaves

表 3 對蘭葉描的兩種不同譯法

「蘭葉描」的術語翻譯呈現出了相似的特徵：《敦煌石窟》的翻譯更易於理解，但淡化了概念性；除此之外，蘭葉描「如韭菜之葉旋轉成團，旋韭用筆清中跌宕，於大圓轉中多少彎曲，如韭菜扁葉悠揚碾轉」的特徵，或許無法由「forceful」充分闡釋。而《敦煌：真實與虛擬》的翻譯兼顧了概念與形態，也更貼切地表現了蘭葉描的特徵，但句子較冗長，在術語並列出現時，可能影響閱讀體驗。

由此可見，藝術術語翻譯在易讀性與準確性上的選擇，不僅影響術語本身的傳遞，也制約了術語所在語境的表達。依據語料檢索，在存在藝術術語的相同句型中，不同譯者對於術語所在語境存在不同取捨。當一個句子兼顧主觀與客觀的表達，對於「主觀部分」的取捨成為焦點。

在 Susan Whitfield 翻譯的《敦煌石窟》中：

另一種以莫高窟第 465 窟薩迦派壁畫為代表，人物形象有印度/尼泊爾人特徵，鐵線描挺拔秀勁，色彩多用青/白/綠等色，敷色厚重。	They are painted with straight, clean iron-wire line and colored with black, white, green and other rich, heavy colors.
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圖 1 《敦煌石窟》英譯本中對主觀表述的翻譯文本

該語境中，「人物豐濃，肌勝於骨」、「自由豪放」與「繪畫呈現一派雄渾並生機勃勃的氣派」為主觀描繪，在譯文中忽略，只保留了時間、線描與色彩三個客觀資訊。

與此相似，同書另一處藝術術語翻譯：

另一種以莫高窟第 465 窟薩迦派壁畫為代表，人物形象有印度尼泊爾人特徵，鐵線描挺拔秀勁，色彩多用青白綠等色，敷色厚重，這種線描和色彩並重神秘怖畏冷豔的風格，來自藏傳密教。	The other type is seen in the Sariputra painting in Mogao Cave 465. The figures are characteristic of those in India and Nepal, with fine transparent lines, a colour palette dominated by green, white and blue, thickly applied.
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圖 2 《敦煌石窟》英譯本中對主觀表述的翻譯文本

譯文省略了「挺拔秀勁」、「怖畏冷豔的風格」等主觀表達，而保留了客觀資訊。省略的內容與前文相似，

涉及到源語和目標語在語言結構與文化方面的差異。

然而,在《敦煌:真實與虛擬》的譯文中,主觀表達得以保留,例如以下兩處:

<p>元代藝術為迥異的兩種風格,一種以莫高窟第3窟千手千眼觀音/第61窟盛光佛為代表,採用線描/折蘆描/遊絲描/丁頭鼠尾描等多種線描造型,設色清淡典雅,這是中原傳入的漢密風格。</p>	<p>The figure is drawn with the tremulous strokes, and bent-reed strokes and unfluctuating, continuous line, colored lightly and elegantly.</p>
<p>另一種以莫高窟第465窟薩迦派壁畫為代表,人物形象有印度/尼泊爾人特徵,鐵線描挺拔秀勁,色彩多用青/白/綠等色,敷色厚重。</p>	<p>They are painted with straight, clean iron-wire line and colored with black, white, green and other rich, heavy colors.</p>

圖 3.4 《敦煌:真實與虛擬》英譯本中對主觀表述的翻譯文本

由上述例子可見,「清淡典雅」與「挺拔秀勁」的翻譯得以保留。借此可以觀察出兩種取捨方式表達效果的差異。

從上面的翻譯譯例可以看出,Susan Whitfield 的譯文語言非常流暢、優美,但是文化專有項在翻譯的過程中都被忽略了。《敦煌:真實與虛擬》的譯文嘗試再現文化內涵,但譯文的選擇是否能夠符合文化意蘊,辭彙的選擇是否會帶來理解的偏差,或許還需要進一步探索。

正如學者 Vermeer 提出,翻譯是有目的的行為,翻譯策略和方法應根據目標文本的功能和目的來決定。敦煌文本內涵豐富,其翻譯目的有科普傳播與學術研究之分。而譯者以不同的目標讀者為導向,呈現出不同的對易讀性與準確性的選擇偏向。

以語境取捨分析為例:捨棄「主觀資訊」,通過加強內容的連貫,提高了譯文的易讀性,使其更適用於科普性讀物。在上述句子中,「肌勝於骨」為帶有文化色彩表達的抽象描述,四字成語的語言結構與成語本身的文化語境,都限制了其「可譯性」。在句法方面,「forceful lines」與「sumptuous colouring」形成了清晰的對仗,符合西方的語言習慣,帶給讀者們流暢的閱讀體驗。除此之外,考慮到文章的科普性質,刪除與科普核心無關的資訊,有利於集中西方讀者對於核心概念的注意力,減少干擾以增強易讀性。因此,省略了主觀表達的譯文,雖犧牲了源文本的文學性,卻凸顯了核心術語的客觀特徵,更符合沒有敦煌文化基礎的西方讀者對科普文本的閱讀期待。

而保留主觀表達的譯文通過修飾成分如「colored lightly and elegantly」強化了敦煌藝術的審美意象,使讀者能更直觀感受線描技法的風格特質。然而,這種策略無法排除因辭彙與文化認知差異導致的理解偏差,如「elegantly」能否準確對應「典雅」所蘊含的中式意蘊;「straight and clean」能否表達出「挺拔秀勁」所蘊含的力量感。儘管如此,這種策略在某些情況下可能更符合有文化背景的讀者對藝術譯本的期待。

綜上所述,不同譯者在壁畫藝術術語翻譯與語境取捨的過程中採取了不同策略,在不同策略之間,效果的矛盾主要存在於「易讀性」、「概念性」、「準確性」、「長度」、「內容取捨」、與「和原文的對應」。譯者對於所譯術語所包含的文化與背景資訊理解透徹,這是藝術術語翻譯的前提。另外,譯者該何去何從,是選擇易讀性還是選擇翻譯的準確性,還是達到以上幾點的平衡?就藝術術語本身的翻譯而言,在術語第一次出現時以注釋的形式補充形態特徵,不失為一種可行的方案。而在《敦煌精選 50 窟》中,譯者所採取的術語+簡短特徵描述的翻譯方法,既方便讀者理解,也準確呈現了概念的基本內涵,該種譯法同樣值得借鑒。

此外,值得注意的是明確譯作目的。在翻譯前先明確出版讀物的目標受眾,若譯作以科普性質為主,即外國讀者並未對敦煌文化有深刻的理解,建議採用「擬譯」與「釋譯」,並主要保留客觀表述,以增強可讀性為翻譯準則;若是對標有一定基礎的讀者,則建議採用「逐詞譯」。有針對性地調整翻譯策略,有利於提升讀者



閱讀效率,起到更好的翻譯效果。

在檢索的過程中,我們發現了所譯術語前後不一的現象。在《敦煌:真實與虛擬》中,鐵線描出現了「tremulous strokes」與「iron-wire lines」兩種譯法,在一定程度上會對西方讀者對於線描的理解產生影響。若以易讀性為導向,則前者譯法更得當;反之則後者的選擇更優。藝術術語的一致有助於減少讀者對於同一文化術語資訊的認知偏差,提高譯作資訊傳達的準確度。

四、文化專有項及文化資訊的「深度翻譯」策略

艾克西拉將「文化專有項(Culture-Specific Items)」定義為「在文本中出現的某些專案,由於在譯語讀者的文化系統中不存在對應專案或者與該專案有不同的文本地位,因此,其在源文中的功能和涵義轉移到譯文時發生翻譯困難」。翻譯敦煌壁畫藝術介紹性文本時,譯者常需處理大量的歷史、佛教等文化專有項及相關介紹文本,對二者所包含的文化資訊進行準確而有效的再現。

在六本語料中,我們發現三位中國譯者〔《中國敦煌》譯者 Fan Rong,《敦煌:真實與虛擬》譯者(未知),《敦煌精選五十窟》譯者劉永增〕譯介敦煌壁畫文化專有項時多將文本「打薄」,對部分資訊略譯或不譯;而兩位外國譯者(《莫高窟史話》譯者 Nuria Taberner Ceña,《敦煌石窟》譯者 Susan Whitfield)同樣翻譯文化資訊或文化專有項時,則更多將文本「增厚」、對文本提及的文化專案進行補充介紹。

譯者在翻譯過程中常常對原文文本厚度進行調整,讓我們聯想到「深度翻譯(thick translation)」的範疇。這個概念由誇梅·阿皮亞(Kuame Anthony Appiah)提出,原義為「用注釋和伴隨性注解將文本置於豐富的文化和語言語境中的翻譯」。近年中國翻譯研究,拓展並再詮釋了此概念。它也成為譯者的文化態度。此外,譯文的「厚度」也得到更多討論;不僅是對原文的資訊「增厚」,對原文內容的「打薄」也納入其中。艾麗華、楊仕章認為「thick translation」是一種道德態度:通過主動呈現文化差異,使讀者建立一種對源語語言文化的敬意。其具體表現方式既包括對原文增加客觀注釋、附注的「增厚」,也包括以「保留根本思想」為前提,使「譯本薄輕,語言流暢,呈現源語文本異質文化精髓」的「打薄」。這正是六位譯者所採取的策略。

「深度翻譯」這類專有項及資訊文本有何優勢與不足?譯出的文本該有多「厚」或多少「薄」?本部分將採用中外譯者譯文的代表性案例,分析它們的翻譯效果。

五、「打薄」與「增厚」:中外譯者的思路差異對比

(一) 壁畫的歷史背景與習俗文化的翻譯

樊錦詩在介紹敦煌壁畫時,常著重提及歷史背景對壁畫藝術的影響。但是三位中國譯者在翻譯壁畫的歷史背景和具體題材時,均出現了略譯或不譯的情況。

如《中國敦煌》譯本對譯文大段刪略:

(二) 藝術價值	B. Artistic Value
敦煌石窟營建的一千餘年歷程,	The art of Dunhuang cave shrines, with more than a thousand years of history and development,

時值中國歷史上兩漢以後長期分裂割據,走向民族融合、南北統一,臻於大唐之鼎盛,又由巔峰而式微的重要發展時期。	
在此期間,正是中國藝術的程式、流派、門類、理論的形成與發展,也是佛教與佛教藝術傳入後,建立和發展了中國的佛教理論與佛教宗派,佛教美術藝術成為中國美術藝術的重要門類,最終完成了中國化的時期。	
敦煌石窟藝術,綿延千年,內容豐富,數量巨大。	is rich in content and style

圖 5 《中國敦煌》英譯本對敦煌石窟營建史的略譯

此處,源文本詳細描述了敦煌石窟營建的歷史背景。聯繫下文,這是敦煌石窟藝術「綿延千年,內容豐富,數量巨大」的原因。但是,Fan 的譯本卻將這些內容略去,只是將開頭的「一千餘年」時間長度和結尾的結論譯出,簡單概括了原文大段內容。

此處所介紹歷史背景,主要講敦煌壁畫歷史如何長、內容如何多,Fan 譯文的概括的確不失源文本大意。而且,這段被略去的資訊比起講述敦煌壁畫的發展史,更多在拓展中國藝術史以及佛教在中國的發展。對與壁畫藝術直接關聯較小的內容進行刪略,可以使譯文主題更緊湊。

不過,敦煌壁畫的可貴之處不僅在於繪畫技法,更在於它所承載的中國藝術和思想變遷。刪去相關插敘,是否可能導致譯文失去向西方讀者拓展普及中國藝術史、思想史的機會,從而失去對敦煌壁畫藝術史及佛教研究價值的強調,這樣的可能性值得考慮。

對比之下,西方譯者譯介敦煌壁畫時,偶爾會補充不少背景資訊。如此段 Whitfield 在《敦煌石窟》第三章譯文中添加的大段內容,補充了佛教開窟造像習俗的歷史由來:

CHAPTER 3 BUDDHIST CAVE TEMPLES AT DUNHANG The practice of excavating caves as temples with elaborate carvings and paintings started as early as the second century BC in northern India. It was not exclusively a Buddhist practice: at Ellora, for example, the caves include a Buddhist group, a Brahminical group and a Jain group. Some of the finest and earliest Buddhist caves are found at Ajanta, one group dating from the second and first centuries BC. They are in two forms: chaitya-grihas and sangheramas or viharas (monasteries). The former are worship caves with a stupa at the end of a colonnade hall - at this period it is believed by many scholars that Buddhism was aniconic, that is that Buddha was only represented by symbols, such as a stupa, and not shown 'in person'. The monastery caves are square or rectangular in plan with monks' cells leading off the sides of the main hall and a shrine opposite the entrance. The caves show signs of non-structural wooden rafters inserted to make them resemble free-standing buildings and of early painted decoration. Other contemporary caves are found at other sites in the Deccan, such as Nasik and Bhaja. The later group of caves at Ajanta date from the late fourth and fifth centuries AD onwards built under the Gupta dynasty and were visited by Xuanzang, the famous Chinese pilgrim-monk, in the seventh century. Some of these still contain extensive areas of paintings on their walls and ceilings showing jataka stories - stories of Buddha's life in his previous incarnations. These are contemporary with the Buddhist rock-cut caves at Ellora and Aurangabad, which also show signs of having been painted. The famous Bamyan caves, which once contained enormous rock cut statues of Buddhas, still show signs of paintings on their walls and ceiling. They show that the practice of excavating cave temples had spread northwards out of India along trade and pilgrimage routes. The earliest rock-cut caves at Kizil-Kumtura on the northern Silk road date from the third century AD. The earliest paintings here show a distinct Indo-Persian style and, like the Ajanta paintings, depict jataka stories. Excavating caves as an act of devotion continued westwards along the Silk Road, with many sites at large centres such as Turfan and Dunhuang, and into China. The early caves at Dunhuang are contemporary with the Yungang rock-cut caves commissioned under the Turkic Northern Wei dynasty that ruled at first from its nearby capital at Datong in northwestern China. On conquering northern China they moved their capital to Luoyang and embarked on another large-scale cave excavation in honour of Buddhism, the Longmen Caves. These cave sites show the influence of Chinese sculptural art on Indian iconography. Dunhuang fits within this tradition.
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圖 6 《敦煌石窟》英譯本中對佛像開窟造像習俗歷史由來的補充文本

考慮到西方讀者對佛教文化的瞭解可能較為局限,Whitfield 預估了他們可能並不瞭解的資訊,運用自身身為漢學家的知識儲備,在譯文中進行普及性增補。這種策略可以達到提升讀者閱讀收穫和閱讀體驗的效果。當然,讀者具體缺失對哪些基本文化專有項的瞭解,在文本哪些環節是適合拓展知識而不影響閱讀體驗的,也需要依靠譯者推敲斟酌。

(二) 壁畫所繪題材及內容的翻譯

敦煌壁畫題材多出現本生、因緣、佛傳故事等佛教傳說。源文本介紹壁畫內容時,對所繪故事詳盡例



舉,並展開講述部分重要故事。而三位中國譯者的譯文均對樊錦詩具體列舉的壁畫題材,或者題材的具體內容進行了一定的省略。

例如《敦煌:真實與虛擬》:

(2) 釋迦本生、因緣、傳記故事畫	(2) Paintings of jataka Tales.
表現釋迦牟尼佛在過去世中為菩薩時的種種善行以及救度眾的事蹟。	Cause and Effect, and other Buddhist legends, Jataka tales record Sakyamuni's various meritorious deeds from his former lives as a Bodhisattva.
此類題材有屍毗王割肉貿鴿、九色鹿王拯救溺人、摩訶薩捶太子舍身飼虎等。	
因緣故事畫表現釋迦牟尼成佛後說法教化眾生、度化外道的各種事蹟,有沙彌守戒自殺、五百盲賊得眼皈依等。	Cause and Effect tales tell stories of how Sakyamuni preached the Dharma to enlighten transient beings after he became a Buddha.
據統計敦煌石窟有經變 30 餘種,有表現不同淨土思想的阿彌陀經變、無量壽經變、觀無量壽經變、彌勒經變、東方藥師變、十方淨土變;	There are more than thirty themes in Dunhuang caves, including Amitabha Sutra (the Sutra of Buddha of Boundless Light), Amitayus Sutra (the Sutra of Buddha of Boundless Life), Amitayur-dhyana Sutra (the Sutra of Meditation on Amitayus), Maitreya Sutra (the Sutra of medicine Buddha), etc.
有表現天臺最高圓滿的大乘佛法、一切眾生都能成佛思想的法華經變;	
有宣揚人人都有佛性的涅槃經變;	
有表現大乘般若性空思想,眾生成佛的維摩詰經變;	
有反映禪宗思想的天請問經變、思益梵天請問經變、金剛經變、楞伽經變等;	
有宣傳密教持咒誦經、祈福禳災的千手千眼觀音經變、不空羣索觀音經變、如意輪觀音經變等等。	
通常經變畫總是以說法會為中心,佛在中央,兩側分列大菩薩、天龍八部,還刻畫有生動活潑的飛天和載歌載舞的樂舞伎形象	The center is occupied by a dharma sermon by the Buddha, flanked Bodhisattvas and other divine beings, lively apsaras, heavenly musicians, and dancers.

圖 7.8 《敦煌:真實與虛擬》英譯本中對壁畫題材舉例的省略

以上第一段源文本舉例的三個故事,對熟悉佛教背景的讀者並不陌生,中國讀者一般也至少對九色鹿的故事有所瞭解。閱讀至此,可將他們對這些故事的瞭解,與文本所總結的規律進行比對,從而理解本生、因緣、傳記故事的概念。但對不一定瞭解佛教故事的西方讀者而言,這些故事或許比較陌生。他們閱讀至此,可能會困惑,需要停下來查找延伸材料。此時,省略具體例子能使譯文緊扣其概括性介紹的功能,提升讀者閱讀體驗。

又如劉譯《敦煌精選五十窟》:

月光王本生說的是,印度有國,王名月光,樂善好施,名德遠著,周邊諸王莫不稱譽。	The Candraprabha jataka goes this: once an Indian king Candraprabha was very benevolent.
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時有婆羅門欲加害月光,遂募勞度叉來乞王頭。 王自允之。	At that time, a Brahmin who wanted to do harm to the king invited Raudraksa to beg for the king's head, and the king promised.
勞度叉舉刀欲砍王頭,反被樹神懲治。	When Raudraksa raised the sword to cut the king's head, he received punishment from the goddess of the tree.
令其手脚繚戾,失刀在地。 爾時大王語樹神曰:“我於此樹下,曾以九百九十九頭用於布今施此頭,便滿千數。” 遂任勞度叉歐頭而去。	
畫面的左側畫月光王,中部畫一人胡跪持盤盛三頭,代表月光王曾於過去世施頭九百九十九次。	In this painting, Candra-prabha is depicted in the left, and a man in the center kneels and holds a on which are three heads symbolizing that Candra-prabha had given up his head for 999 times.
右側畫勞度叉以王發系樹,欲砍王頭和樹神懲治勞度叉。 畫面中月光王形體高大,威然而坐。 反之,勞度叉躬身屈膝,面目猙獰。	
構圖上以多個場面表現了月光王凜然施頭的情節。	This story is vividly represented in several connected scenes

圖9 《敦煌精選五十窟》英譯本對壁畫、故事動作和對話的省略

此處,源文本詳細敘述了月光王施頭的故事。劉譯文省略了壁畫、故事動作和對話的詳細描寫。這或許是因為前文已經譯出「王自允之」,又或許是因為壁畫本身並不包含故事中月光王勸說樹神的畫面。但是,後文描述壁畫右側所繪的內容也並未譯出,只是概括了壁畫栩栩如生的特點為「vividly」。如此看來,譯者或許是考慮到「王自允之」「樹神懲治」均在譯文中出現了一次,下文又以「構圖上以多個場面表現了月光王凜然施頭的情節」收束,已可以傳達上文故事均被繪出的意思。這更符合西方語境避免重複的習慣。

不過,使用避免重複的思路「打薄」原文的前提是,源文本的內容的確是重複的。「王自允之」表現的是月光王事前向勞度叉的承諾,而非樹神阻攔下仍堅定施頭的決意。月光王的勸阻使其形象更為飽滿,也為故事整體渲染佛教因果論色彩。而在壁畫內容描寫中重複強調施頭九百九十九次,是強調壁畫對故事內容的還原度。而且,在介紹壁畫的文本內,壁畫實際展現內容還是較為重要。譯者需保證刪略內容為次要成分。

Whitfield 的《敦煌石窟》譯本中,反而增添了許多壁畫細節,以及部分佛教故事的具體內容:

南壁盛舍那法界圖。	Many other images are depicted in the cave, like that of the one-horned celestial being. The images appear in different shapes in the four walls of the chamber, even on the ceiling. Some cause-effect stories and Jataka Tales are depicted on the east wall. On the south side of the east wall is the Jataka Tale of Prince Mahasattva who went hunting with his brothers to the forest.
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因緣故事和本生故事繪於東壁窟門兩側,南側薩埵太子本生;補白處繪獨角仙人本生和梵志摘墜花死因緣,這兩個故事為莫高窟壁畫孤品	<p>While they were taking a rest in a valley, they saw a tigress that was about to devour her seven cubs.</p> <p>After telling his siblings to keep going without him. Mahasattva offered himself to the tigress.</p> <p>But it was too weak to eat him, so he stabbed himself with a piece of bamboo so that the tigress and the cubs could easily eat him.</p> <p>When his brothers came back, they only found the prince's bones.</p> <p>At the end, a stupa was built to keep his ashes.</p>
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圖 10、11 《敦煌石窟》英譯本對壁畫細節和題材具體內容的補充

Ceña 所譯《莫高窟史話》,更是經常展開講述壁畫中的故事:

四禪室間畫沙彌守戒自殺因緣故事	Another story portrayed in the cave is that of a young novice monk who committed suicide.
	Once upon a time, in ancient India, there was an elder who believed in Buddhism and sent his son to learn the doctrine from a monk.
	One day, the monk asked the novice to go to the house of a man called Qing Xingshi to beg for food.
	But precisely that day the whole family had left the house to attend a banquet. Only the daughter of Qing Xingshi was at home.
	Seeing that the novice was such a handsome man, she fell deeply in love with him.
	Unable to restrain her emotions, she took the hand of the novice, tried to seduce him, and asked him to marry her.
	After rejecting her again and again without success, the monk committed suicide.
	The daughter cried with deep remorse and, when her father returned, she told him everything.
	According to the tradition, if a monk died in a layman's home, that person had to pay a fine to the king.
	Qing Xingshi informed the king about what had happened.
	Seeing that the young monk had not forgotten the dharma, the sovereign ordered that he should be cremated and his remains buried in a pagoda.

圖 12 《莫高窟史話》英譯本對沙彌守戒自殺故事的補充敘述

這種「增厚」文本的思路,不僅拓寬讀者對最重要的「敦煌壁畫」的內容的瞭解,更以另一種方式應對西方讀者對佛教故事瞭解有限的問題,也增添了譯本的趣味性。不過,如前文對壁畫歷史背景「深度翻譯」的



論述,譯者需注意具體增補的契機。

依照前文分析,對於敦煌壁畫所涉及各類歷史、佛教思想等文化專有項及資訊文本的英譯過程,可總結出如下幾條觀察:

1. 敦煌壁畫介紹性文本涉及中國歷史、藝術、思想等多領域,對西方讀者資訊量可能較大。為保持文章主題緊湊,譯者會對相關性較弱部分進行「薄譯」刪略。但是,這可能會淡化敦煌壁畫藝術「包羅萬象」的特點。

2. 翻譯敦煌壁畫相關文本時,既要介紹壁畫所繪內容,又要介紹壁畫所取用題材,可能導致譯文出現重複內容。此時,譯者會將譯文適當「打薄」。採取這種策略,需要考慮內容主次及文本連貫性,避免捨本逐末。

3. 西方讀者閱讀敦煌壁畫介紹性文本時,可能會對其中案例產生困惑,認知過程受干擾。此時略去文章案例,反而有助於讀者集中思考,流暢閱讀。但是,也可考慮「增厚」文本,普及更多文化知識。

4. 「深度翻譯」的過程離不開譯者自身知識儲備。翻譯敦煌壁畫介紹性文本,需要譯者發揮主觀能動性,積極考慮譯文閱讀體驗,利用自身學識適當增補或刪減資訊。

譯介敦煌壁畫的「深度翻譯」,歸根究底是為了推動敦煌文化及壁畫藝術走出國門,更好地由西方讀者瞭解、接受和欣賞。不論「打薄」還是「增厚」,譯者都需以此為目標,考慮源文本思路、西方讀者既有認知,並運用自身學識完成翻譯。

六、結語

本文以敦煌壁畫藝術語言層面與文化層面的譯介為核心,以樊錦詩著作英譯本為研究對象,運用漢英平行語料庫,系統分析了敦煌壁畫譯介中的翻譯策略及其應用效果。

語言層面,藝術術語翻譯需要平衡主客觀內容、語境與術語特性。本文建議可以採用術語+簡短特徵描述,或選擇在術語第一次出現時以注釋的形式補充形態特徵。譯者也需要構建對術語本身的認識,關注出版譯作性質、翻譯術語的前後一致問題,以選擇更好的策略,使譯文有效幫助讀者理解作品內容。

而在文化層面,雖然中西方讀者均偏向採用「深度翻譯」的策略,但面對敦煌文化知識有限的西方讀者,國內譯者更偏向簡化譯文,刪去重複資訊或次要內容;西方譯者更偏向運用自身知識,預判西方讀者不理解內容,並相應地補充介紹。具體是增添資訊還是刪減內容,需要考慮讀者認知、原文目的等多角度決定。

總而言之,翻譯不僅是語言的轉換,更是文化的橋樑。譯者需要具備深厚的文化素養和敏銳的讀者意識,運用合理的翻譯策略,以提升翻譯效果,促進敦煌文化走向更廣闊的國際舞臺。

注釋

① 樊錦詩:《挖掘敦煌文化遺產中蘊含的中華文明精神表示》,《人民日報》,2024年7月1日。

② 德萊頓在1680年所譯《奧維德書簡選》作的序言中,將所有翻譯歸納為三類。

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A Study on Airport Signage Translation from the Perspective of Pragmatic Theory: A Case Study of Mianyang Nanjiao Airport

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Abstract: Signage, as a form of linguistic communication, plays a significant role in social language use, particularly in airport signage. With the acceleration of globalization, international exchanges and cooperation have witnessed increasingly frequent. Airports, as critical hubs for international travel, accommodate passengers from all over the world every day. Given such a large passenger flow, airport signage serves as a key factor in guiding smooth passenger movement and ensuring efficient airport operations. This paper uses Austin's Speech Act Theory to analyze the language choices, expressive methods, and information delivery effectiveness of signage at Mianyang Nanjiao Airport. This analysis helps identify existing issues in current signage, therefore providing targeted improvement suggestions to enhance the quality and effectiveness of the signs.

Keywords: Signage; Pragmatics; Speech Act Theory; Pragmatic Triangle

Notes on the contributor: ZHU Xiaorui, is a first-year master's student in Southwest University of Science and Technology. She went to the Mianyang Nanjiao Airport to investigate public signs, thus completing this paper.

語用學理論下機場標識翻譯研究

——以綿陽南郊機場為例

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摘 要:標識語作為一種語言交流的形式,在社會用語中扮演著重要的角色,特別是機場標識。隨著全球化進程的加速,國際間的交流與合作日益頻繁,機場作為國際旅行的重要樞紐,每天都會接待來自世界各地的旅客。這樣龐大的客流量下,機場標識成為了引導旅客順暢出行、保障機場高效運營的關鍵因素。本文使用 Austin 的言語行為理論分析綿陽南郊機場標識語的語言選擇、表達方式和資訊傳遞效果。這有助於發現現有標識存在的問題,從而提出針對性改進建議,提升標識的品質和有效性。

關鍵詞:標識詞;語用學;言語行為理論;語用三角

一、引言

隨著全球化的快速發展,國際間的交流與合作也日益頻繁,國際航班的數量也越來越多,全球機場的旅客量也逐年攀升,在這樣龐大的客流量下,雙語化的機場標識也成為了引導旅客順暢出行,保障機場高效運行的重要因素。它不僅為旅客提供了方便,同時在一定程度上展示了機場所在城市和國家的文化形象。但由於中西文化和語言方面的差異,雙語標識往往也會出現錯誤和不規範的表達,從而影響交際的有效進行。本文從言語行為理論出發分析綿陽機場的英譯標識是否達到交際的目的。

二、言語行為理論

根據 Austin 的言語行為理論(Speech Act Theory),在公示語的動態翻譯過程中,公示語是符號,譯者是符號的解釋者,旅客是符號的受眾,正好構成「語用三角」。奧斯丁在 *How to Do Things with Words* 中探討了語言的使用,系統、具體地研究了說話本身就是一種行動。言語行為理論認為人們是以言行事^①。言語行為的理論可以分為三個核心內容,即言內行為(locutionary act)、言外行為(illocutionary act)以及言後行為(perlocutionary act)。奧斯丁區分它們為「言之發」。(以言指事)、「示言外之力」(以言行事)、「收言後之果」(以言成事)^③。言內行為作為言語行為的基本層面,一般是口頭或者書面上的表達;言外行為是指發出者憑藉該言語想要實施某個交際目的,它並非直接從字面意義中獲取,而是借助語境、說話人的語氣以及背景知識等諸多因素進行推斷;而言後行為是指該語言形式所達到交際效果,即接收者對話語產生的實際效果^④,所以接收者的言後行為直接反映了機場標識的有效性。

三、標識語的特徵

機場標識是指在機場範圍內,通過文字、圖示等形式向旅客及其他相關人員傳遞資訊,實現引導、警示、

告知等功能。在機場這樣的公共場合,這些標識像是「無聲的嚮導」,幫助旅客們順利地找到目的地。從功能上分類,有指示性標識、提示性標識以及警示性標識。指示性標識通過一系列連續、明確的導向標識,旅客可以按照既定的流線行走,減少不必要的走動和尋找路徑的時間,從而提高出行的效率。警示類標識在保障機場安全方面發揮著不可替代的作用。警示類標識通過醒目的顏色和簡潔明瞭的圖示和文字,向人們傳達潛在的安全風險資訊,提醒人們採取相應的預防措施,增強了人們的安全意識,從而降低了機場內各類安全事故發生的概率。資訊類標識能夠及時、準確地向旅客傳遞各種重要資訊,滿足旅客在出行過程中的資訊需求,從而更好的規劃自己的行程,提高出行的滿意度。

四、不同類型機場標識的語用功能

(一) 指示性標識的語用分析

指示性標識在機場標識系統中佔據核心地位,其主要語用功能在於為旅客提供明確的行動指引,確保他們能夠在陌生的機場環境中順利找到目的地。以綿陽南郊機場大廳為例,值機「Check-in」,安全檢查「Security Check」,同時還會輔以「↓」或是「←」的圖示,表示方向(如圖1)。

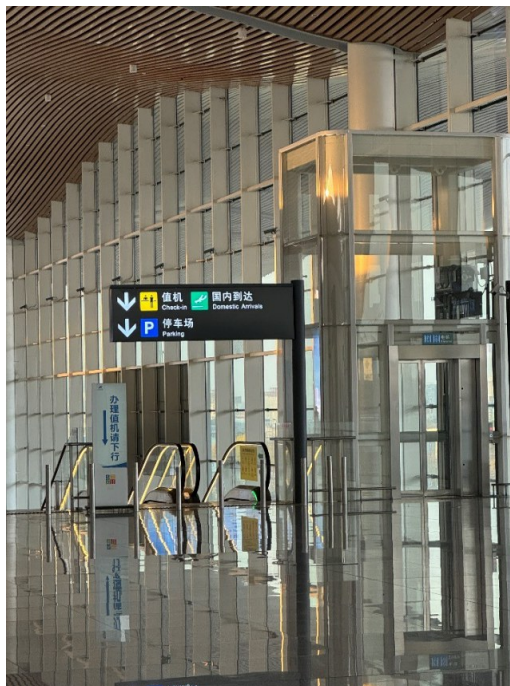


圖 1(南郊機場 T1 航站樓)

言語行為理論深受「意義就是使用」思想的影響,力圖通過動作和行為來闡釋語言的意義^⑥。此類標識以及方向圖示賦予了其意義,旅客們看到些指示資訊和朝向箭頭所指的方向前行,產生言後行為,從而在無需他人協助的情況下,自主找到目的地,大大提高出行的效率。雙語的翻譯對於乘機旅客的重要性非同小可。

(二) 提示類標識語

提示類標識語主要承擔著提醒旅客注意特定事項以及為旅客提供關懷的重要功能,沒有任何特指意



義,僅起到提示作用^⑤。例如預留座位「Reserved」、小心腳下「Mind your step」、請前往指定登機口「Please Proceed to Your Designated Boarding Gate」、登機口起飛前 15 分鐘關閉「Boarding Gate Closes 15 Minutes Before Departure」等等。從言內行為看,提示類標識語直接傳達資訊,語言結構簡單,多採用祈使句或是陳述句,便於旅客快速理解;從言外行為分析,此類標識語通常旨在引導旅客採取某種行動或者注意某些事項,但是語氣一般比較友好,體現了對旅客的尊重。

(三) 警示類標識語

警示類標識語要求公眾必須採取或者不得採取任何行動。言語應直白、強硬、沒有商量餘地,從而提醒旅客注意安全^⑥。比如,綿陽機場內的「No Entry」譯為「禁止入內」、「No Smoking」譯為「禁止吸煙」、「Restricted Area」譯為「限制區域」等等。從上述例子中,通過字面的意義傳達出「禁止吸煙」「禁止入內」等資訊來實施某種行為或者達到某種意圖,而這類標識語的言外目的是為了通過語言提醒旅客注意潛在的危險或者禁止某種行為。言後行為則是警告類標識語所產生的實際效果,即影響旅客的行為,從而達到維護安全和秩序的目的。從言語行為理論角度來看,此類標識語的語用功能主要有指令功能、警告功能以及威懾功能。

五、英文標識語中的誤用

標識語的使用一般都是在公共場合,講究的是實用性和交際性。翻譯作為兩種語言的轉換,在使用的過程中,勢必會出現詞語的誤譯,從而造成交際障礙。如此一來,標識語翻譯的交際目的就難以達到。所以想要達到等效的效果,必須要實現最切近目的語的自然對等,符合目的語的文化習慣。Thomas 的「語用失誤」理論把翻譯不當的案例分為「語用語言失誤」和「社交語用失誤」兩類。Thomas 提到“pragma-linguistic failure is simply a question of highly conventionalized usage which can be taught straightforwardly as the part of the grammar, while the socio-pragmatic failure involves the student's knowledge of language^⑦”。前者屬於語言上的誤用,而後者則是語用上的誤用。下面是綿陽機場英文標識語中的語言與語用失誤。

(一) 綿陽機場英文標識語中的語言失誤

在綿陽南郊機場實地考察的過程中發現了幾處公示語翻譯的語言失誤。例如指示類的標識中對於急救電話的翻譯是「Emergency Calls」後面緊跟著是一個電話號碼。「Call」作為名詞時,是可數名詞,而這裡的「Emergency Calls」對於目的語讀者來說,所產生的言外行為是「急救電話不只一個,而是好多個組成」,如此一來,其產生的言後行為則是「到底撥打哪個電話號碼是正確的」。這裡的「Calls」就屬於語言的誤用。同樣的錯誤還有 T1 航站樓候車廳中「6 號登機口」翻譯為「Gates 6」,而緊挨著的上方「21-22 號登機口」的翻譯為「Gates 21-22」。這樣對比之後,很明顯後者描述兩個登機口「Gates」的使用是正確的,而前者則是錯誤的。「Gate」作為名詞時也是可數名詞,所以單獨一個登機口正確的用法應該是「Gate 6」。而「Gates 6」對於外語讀者來說,產生的言外行為則是「至少有兩個 6 號登機口」,進而出現的言後行為則是「如果我去 6 號登機口,應該走哪一個入口呢?」而這樣的錯誤也屬於語言的誤用。語言誤用主要是因為工作人員在工作當中的粗心、監管不當而造成的。但是作為重要的交通樞紐,標識語的翻譯是與目的語讀者溝通的重要管道,甚至能體現文化傳播魅力,因此不應該出現語法錯誤。

(二) 綿陽機場英文標識語中語用失誤

機場中標識語一般會使用國際通用的標識語,統一之後也能更好的方便旅客,從而減少機場工作人員



的工作量。但在這個過程中,標識語的英譯也會出現語用的失誤。語用失誤指交際中因談話雙方文化背景不同引起的社交準則差異所造成的失誤^③。比如綿陽機場 T1 航站樓中候車廳中的問詢台的英文翻譯是「Inquiry」,但是浦東機場中的翻譯為「Information」。英英詞典中前者的意思是「a process of asking a question」,強調自己主動去尋找資訊的過程,而後者的意思是「facts about events」,關注點在於對已經存在的資訊可以直接獲取的一種行為。而在機場這樣的公共場所,詢問台的作用就是將已知資訊傳遞給旅客,從而讓旅客能夠更加高效地完成此次的旅行。南郊機場中使用「Inquiry」對於目的語讀者來說,所產生的言外行為是「我需要主動去尋找資訊」,進而產生的言後行為是「這個詢問台不能夠解答我想要問的問題」;而使用「Information」產生的言外行為是「這裡有一些關於機場登機時間、登機口、航班號等一些問題的答案」,從而產生的言後行為是「我可以在這裡問到我想要知道的資訊」。作為指示標識語,「Information」是國際航空運輸協會和全球機場廣泛採用的標準術語,旅客無論語言背景如何,可以更快速識別。考慮到所處的地點—機場候車廳,旅客所需要的不只是問題查詢,還有明顯的綜合資訊,所以從整體上看,「Information」更符合機場標識的簡潔性和功能性的需求。除此之外,綿陽南郊機場 T2 航站樓中德克士取餐口處的英文標識為「Collect」,詞典中的意思是「to go to a place and bring something away from it」,而且是英式英語的表達,而目前全球大多數機場的英文標識普遍採用國際英語,所以國際航空公司對於「取餐」的英文表述多為「Pick Up」,英英解釋為「to collect, or to get something」。而綿陽南郊機場中使用的「Collect」對於目的語讀者來說,產生的言外行為則是「找不到取餐的地方」,從而帶來的言後行為則是「我應該去哪裡取餐?」。此類語用失誤多因工作人員對目的語的語言文化以及國際航空通用慣例缺乏瞭解,導致交際目的難以實現。

六、對於機場標識語翻譯的反思

從語用學角度來看,語用意義的主要目的需要告訴人們這句話想要傳達什麼樣的意味,從而根據語境研究話語的真正含義,理解言外之意。公示語標識的翻譯相當於人們說出的話語,想要讓目的語讀者理解弦外之音,只有公示語的英譯符合英語的語言習慣、文化特徵,才能真正實現言內、言外以及言後行為的功能,達到交際的目的。要想實現這個目標,最重要的是要提高翻譯人員以及整個行業相關人員的專業素質以及文化素養。所以作為文化交流的傳播者,翻譯人員需要加強自身對於不同文化的瞭解和研究,從而更好的推動公示語翻譯的標準化,實現交際的目的。

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Beyond Bureaucracy: Liang Qichao's Translation Leadership and Emperor Guangxu's Unprecedented Backing in the 1898 Reform

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Abstract: During the Hundred Days' Reform, Liang Qichao, a provincial-level graduate (*juven*), was exceptionally appointed by Emperor Guangxu as the head of the Translation Bureau of Imperial University of Peking, making him the only officially designated “translation official” in the Qing court. This paper reveals that his appointment stemmed from Liang's reformist ideas (*General Discussion on Reform*) and practical efforts (Datong Translation Bureau), as well as the recommendation of Xu Zhijing and the support of influential figures such as Yi Kuang. Liang oversaw translation projects in Beijing and Shanghai, drafted regulations, and planned the translation of Western works and the cultivation of talent. Emperor Guangxu demonstrated unprecedented support: not only did he fully adopt Liang's proposals, but he also allocated substantial funding far exceeding the requested amount, despite opposition from conservative factions. This reflects the emperor's strategic view of large-scale translation as one of the “top priorities” of the reform and his heavy reliance on Liang, highlighting the crucial role of translation in late-Qing reforms.

Keywords: Liang Qichao; Emperor Guangxu; Hundred Days' Reform; Translation Bureau; Introduction of Western Learning

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1. Introduction

The Hundred Days' Reform was a patriotic and salvation-driven reform movement initiated by Emperor Guangxu under the advocacy of Kang Youwei, Liang Qichao, and other reformists in the late Qing Dynasty. The movement included restructuring government institutions, encouraging industrial and mining enterprises, establishing modern schools, translating Western books, abolishing the eight-legged essay in imperial examinations, and training new-style armies. It lasted 103 days, from June 11, 1898, when Emperor Guangxu issued the "Edict on National Reforms," until September 21, 1898, when Empress Dowager Cixi staged a coup. As a significant political reform and intellectual enlightenment movement in modern Chinese history, it played a positive role in advancing ideological, cultural, and social progress. Among its key initiatives was the translation of Western books to cultivate talents well-versed in both Chinese and Western learning. During the reform, Liang Qichao was granted an audience with Emperor Guangxu and awarded the sixth-rank title to oversee the Translation Bureau of Imperial University of Peking. As a leading participant and promoter of the reform and the highest-ranking Qing official in charge of translation affairs, how did Liang Qichao forge an inseparable bond with translation? What was Emperor Guangxu's attitude toward Liang's translation efforts? This paper explores these previously overlooked questions.

2. Liang Qichao's Path to Becoming a Translation Official

Prior to the Hundred Days' Reform, Liang Qichao had attempted the metropolitan civil service examinations three times—in 1890, 1892, and 1895—but failed each time, marking an unsuccessful trajectory in the imperial examination system. However, during this period, he made a life-changing decision: in the autumn of 1890, he became a disciple of Kang Youwei and studied at the Wanmu Caotang Academy. Subsequently, he closely followed Kang's lead in promoting and advocating reformist activities.

In 1895, Liang participated in the "Public Petition of the Examination Candidates" (*Gongche Shangshu*), served as secretary of the Society for the Study of National Strengthening (*Qiang Xuehui*) in Beijing, and became chief editor of its journal, *Universal Gazette* (later renamed *The Chinese Globe Magazine*). In August 1896, he assumed the role of chief editor of *The Chinese Progress* (*Shiwu Bao*) in Shanghai, where he published his seminal work, *General Discussion on Reform* (*Bianfa Tongyi*). In October 1897, he raised funds to establish the Datong Translation Bureau and in November, he became the head instructor of the Shiwu Academy in Changsha. By April 1898, he assisted Kang Youwei in founding the National Protection Society in Beijing, and in May, he joined another "Public Petition" urging imperial examination reform. These activities not only expanded Liang's social influence but also helped him cultivate valuable connections. Nevertheless, before the Hundred Days' Reform began, he remained outside official circles, unrecognized by the imperial court.

On June 11, 1898, Emperor Guangxu issued the "Edict on National Reforms," marking the start of the Hundred Days' Reform. Recommended by Xu Zhijing, a Reader-in-Waiting of Hanlin Academy, the emperor issued an edict on June 13: "The provincial graduate (*juren*) Liang Qichao of Guangdong is to be assessed by

the Office for the Management of Affairs of All Foreign Countries (*Zongli Yamen*) and reported accordingly.”^[1] On July 1, the Zongli Yamen submitted a memorial titled “Memorial on the Provincial Graduate Liang Qichao in Compliance with the Imperial Edict,” stating: “The provincial graduate Liang Qichao of Guangdong is to be prepared for an audience on the 15th day.”^[2] On July 3, Emperor Guangxu summoned Liang Qichao at the Summer Palace and approved the Zongli Yamen’s appended memorial. That same day, an imperial edict was publicly issued: “The provincial graduate Liang Qichao is hereby granted the sixth-rank title and assigned to manage the affairs of the Translation Bureau.”^[3]

Liang Qichao’s imperial audience and subsequent appointment as a sixth-rank official to manage the Translation Bureau were closely tied to the support of two senior court officials. The first was Xu Zhijing, who submitted a memorial recommending Liang to Emperor Guangxu on June 3, 1898, with the following praise:

Liang Qichao, a provincial graduate from Guangdong, possesses outstanding talent and profound wisdom. His learning encompasses both celestial and human affairs, and his knowledge spans China and foreign lands. His works such as *General Discussion on Reform* and various essays in *The Chinese Progress* have gained widespread circulation both domestically and abroad, earning admiration even in Japan, Southeast Asian islands, and Western nations. Chen Baozhen, Governor of Hunan, invited him to serve as chief instructor at the Shiwu Academy, where he established practical and effective school regulations. Should Your Majesty summon him to serve by your side to discuss state affairs and participate in new governance reforms, or appoint him to the Imperial University of Peking to educate scholars, or establish a translation bureau under his direction to translate foreign works, he would undoubtedly perform with remarkable competence and achieve rapid results.^[4]

Despite Xu’s glowing recommendation, Emperor Guangxu did not appoint Liang to an important position near the throne as he had done with Kang Youwei, Zhang Yuanji, Huang Zunxian, and Tan Sitong. As Wang Zhao later explained regarding Liang’s failure to secure a more significant post:

According to Qing court precedent, a summoned *juren* should at minimum receive appointment as a Grand Secretariat Drafter. Given Liang’s considerable reputation at the time, everyone expected he would receive exceptional treatment. However, after the audience, he was only granted the sixth-rank title—essentially maintaining his status as a newspaper editor without obtaining proper official rank. It was said that because Liang was not fluent in Mandarin, communication difficulties during the audience displeased the Emperor, leading to this outcome.^[5]

[1] *Suishou Dengji Dang (Random Register Files)*, 13th day of the fifth month, Guangxu 24 (July 1, 1898), First Historical Archives of China.

[2] *Ibid.*

[3] Peking University & First Historical Archives of China (eds.). *Selected Archives of the Imperial University of Peking*. Beijing: Peking University Press, 2001, p. 42.

[4] Kong Xiangji (ed.). *Blueprint for National Salvation: A Verification of Kang Youwei’s Reform Memorials*. Taipei: United Daily News Cultural Foundation, 1998, p. 100.

[5] Ding Wenjiang & Zhao Fengtian (eds.). *A Chronological Biography of Liang Qichao*. Shanghai: Shanghai People’s Publishing House, 1983, p. 127.



Nevertheless, the Emperor essentially followed the latter two suggestions in Xu's memorial regarding Liang's appointment. Liang not only participated in preparing the Imperial University of Peking (renamed Peking University in 1912), assisting Sun Jia'nai—the Emperor's tutor—in drafting its regulations, but also took charge of managing both the Imperial University Translation Bureau and the Shanghai Official Translation Bureau.

The second key figure who facilitated Liang Qichao's official career in translation was Yi Kuang, Minister of the Zongli Yamen, whose office played a pivotal role in Liang's appointment. This is evident from a memorial submitted by the Zongli Yamen in response to an imperial order.

On June 6, 1898, Censor Li Shengduo submitted a memorial titled "Proposal to Establish a Translation Bureau" to promote Western learning through translation:

If we are to embrace new learning, it would be better to translate more Western books, allowing students to study them in Chinese. This would help preserve our cultural roots while avoiding the shortcomings of previous overseas students who mastered foreign languages but remained ignorant of Chinese. Currently, the translated works available are limited to several dozen publications from the Tongwen Guan and Jiangnan Arsenal, most being outdated texts from twenty years ago. What we regard as novel may already be obsolete in the West. These superficial translations fail to capture the essence and cannot satisfy readers' intellectual thirst. We humbly propose establishing a dedicated translation bureau under imperial decree, selecting several proficient translators, purchasing Western books extensively, categorizing them by subject, identifying the most essential works for translation and publication to broaden intellectual horizons. [1]

Li Shengduo further suggested that either a special minister be appointed to oversee the translation bureau or that the responsibility be assigned to the official in charge of the Government Books Bureau:

If this proposal meets with Your Majesty's approval, the question of whether to appoint a special minister to administer the translation bureau or to have the official in charge of the Government Books Bureau take on this responsibility should be decided by Your Majesty's sagacious judgment, as your humble servant dare not presume to make such recommendations. Submitted with the sincere intention of cultivating talent, I respectfully await Your Majesty's wise consideration and instructions for implementation. [2]

At that time, Sun Jia'nai served as the Minister in charge of the Government Books Bureau. Therefore, Li Shengduo's underlying intention was to have Emperor Guangxu appoint Sun Jia'nai to oversee the translation bureau. As historian Mao Haijian pointed out, "Since the newly proposed translation bureau would be an official institution, Li suggested that Sun Jia'nai, the Minister managing the Government Books Bureau, should

[1] Peking University & the First Historical Archives of China (eds.). *Selected Archives of the Imperial University of Peking*. Beijing: Peking University Press, 2001, pp. 14-15.

[2] *Selected Archives of the Imperial University of Peking*, p. 15.

concurrently administer it.”^[1]

Emperor Guangxu referred Li Shengduo's memorial proposing the translation bureau to the Zongli Yamen for deliberation. According to the “Memorial by Yi Kuang and Others of the Zongli Yamen” submitted on June 28, 1898 as recorded in the Grand Council copies, the Zongli Yamen emphasized the need for prudence in personnel arrangements for managing the translation bureau: “Regarding the original memorial's suggestion about whether to specially appoint a minister to manage the translation bureau or have the Minister of the Government Books Bureau concurrently handle it—this reflects a prudent approach.”^[2]

Had Li Shengduo's original proposal been followed strictly, Liang Qichao—then still a commoner without official rank—would have been ineligible for the position. However, the Zongli Yamen argued that success in translation and educational endeavors depended on managerial competence rather than official rank: “The matter of translation and the establishment of schools are fundamentally interrelated; success depends entirely on finding the right managers, not on the level of their official positions.”^[3] This effectively rejected Li Shengduo's suggestion, as the Zongli Yamen considered Liang Qichao the ideal candidate to oversee translation affairs:

We have ascertained that Liang Qichao, a provincial graduate from Guangdong, has devoted himself to Western learning and established a translation bureau in Shanghai through fundraising. Having already initiated Japanese-language translations with an established framework, the bureau currently lacks sufficient funding for sustainable operations. As Shanghai serves as the primary hub for Sino-foreign interactions, it offers exceptional access to foreign books and more economical printing costs. Entrusting this graduate with translation management would yield multiplied efficiency.^[4]

Yi Kuang and his colleagues further proposed converting Liang's privately established Datong Translation Bureau in Shanghai into an official institution with state funding:

After joint deliberation, we propose monthly funding of 2,000 taels of silver to support the translation bureau's translation work, thereby converting it into an official translation bureau operating under government supervision with merchant participation. Should additional funds be required, the bureau may raise supplementary capital through share offerings to ensure completion of its mission.^[5]

On July 2, 1898, the Zongli Yamen submitted another memorial titled “Supplementary Memorial Recommending Provincial Graduate Liang Qichao to Concurrently Manage the Translation Bureau,” proposing that Liang oversee both the Imperial University Translation Bureau in Beijing and the Official Translation Bureau in Shanghai. They further recommended Liang take charge of compiling and translating textbooks for the new

[1] Mao Haijian. “The Initial Establishment of the Imperial University of Peking: On the Conflict Between the Kang Youwei Faction and the Sun Jia'nai Faction,” in *Peking University Historical Studies*, Vol. 13. Beijing: Peking University Press, 2008, p. 257.

[2] Anonymous. “Archival Materials on the 1898 Reforms,” in Shen Yunlong (ed.), *Continued Compilation of Historical Materials on Modern China*, Vol. 32. Taipei: Wenhai Press, 1974, p. 449.

[3] *Archival Materials on the 1898 Reforms*, p. 449.

[4] Ibid.

[5] Ibid.

schools, with a monthly stipend of 1,000 taels of silver:

The Western works requiring translation are numerous, and translating each book presents considerable difficulty. If the two bureaus translate separately without coordination, redundant translations may occur, wasting resources unnecessarily. Moreover, unified terminology across translations is essential for readers' convenience. Therefore, it would be most appropriate to have the Imperial University's Translation Bureau and Shanghai's Official Translation Bureau managed under unified direction. Shanghai, as a crucial Sino-foreign hub, offers distinct advantages in procuring foreign books and hiring translators. Having previously memorialized about Liang Qichao's qualifications for this task and received approval, we now propose integrating the translation bureau of Imperial University of Peking with its Shanghai counterpart under his management. The graduate should travel between Beijing and Shanghai as needed to supervise operations, drafting detailed regulations for our office's review and implementation.

As the Translation Bureau in Beijing primarily serves educational purposes, its focus should be translating Western textbooks while distilling essential Chinese classics into curricular materials for nationwide distribution—a task of paramount importance requiring exceptional editorial talent. Liang Qichao, with his profound scholarship, demonstrated outstanding pedagogical achievements at Hunan's Shiwu Academy through his compiled course materials. Entrusting him with this mission and allowing him to appoint sub-editors would ensure successful execution. Compared to Shanghai's bureau, the capital bureau requires less funding; we therefore propose a monthly allocation of 1,000 taels from the Ministry of Revenue's annual budget for the Imperial University, which would be both adequate and convenient.^[1]

The memorial's characterization of Liang—using phrases like “fully qualified,” “grounded in fundamental scholarship,” “demonstrated remarkable effectiveness,” and “capable of completing the task with satisfaction”—clearly reflects Yi Kuang and his colleagues' high esteem for Liang's academic capabilities. Emperor Guangxu approved the Zongli Yamen's proposal that very day.

Consequently, Liang Qichao assumed dual management of both the Imperial University's Translation Bureau in Beijing and the Official Translation Bureau in Shanghai. His responsibilities included drafting regulations for both institutions, recruiting translation and editorial staff, and overseeing the procurement of equipment and reference materials—a comprehensive mandate that positioned him at the heart of China's institutional translation efforts during the reform period.

3. Emperor Guangxu's Attitude Toward Liang Qichao's Translation Leadership

Liang Qichao's 1896 essay series *General Discussion on Reform* catapulted him to fame, making his name known “from major cities down to remote villages—none had not heard of Liang from Xinhui.”^[2] The

[1] *Selected Archives of the Imperial University of Peking*. Beijing: Peking University Press, pp. 40-41. Note: The memorial refers to the Imperial University's translation bureau as the “Compilation Bureau” or “Capital Bureau.”

[2] Hu Simin. *Records of the 1898 Reforms*, Vol. 4.

sensational impact of *General Discussion on Reform* naturally drew Emperor Guangxu's attention, as evidenced by his request to review the text during Liang's audience. In *A Chronicle of the 1898 Coup*, Liang recounted the emperor's summons and appointment:

China's weakness stems from its people's ignorance. Their ignorance, in turn, arises from failing to read the books of all nations or understand global affairs. To remedy this, two measures are essential: first, establishing schools to teach Western languages; second, translating Western works into Chinese. Neither can be neglected.

However, schools can only educate the young. Adults, already advanced in years, often find it difficult to pursue study. Moreover, children's intellectual faculties remain underdeveloped, their comprehension limited—thus, their grasp of complex ideas and capacity for learning generally falls short of mature minds. And since those shaping contemporary national discourse are adults, not children, meaningful reform requires the nation's vigorous, ambitious men to read Western books and master Western learning. Hence, translation stands as reform's most urgent priority.

China's existing translations focus overwhelmingly on medicine and military science, with scant representation of political science, public finance, or law—fields nearly absent from our corpus. Worse, these translations, mostly decades old, contain long-discarded Western ideas, rendering them useless for enlightening minds or shifting scholarly debate. ...

At this juncture, Censor Yang Shenxiu memorialized on the critical importance of translation. On the same day, I received his summons. The emperor commanded me to present *General Discussion on Reform*, praised it highly, and thus issued his appointment. ^[1]

Mao Haijian observes that “for a provincial graduate, being personally summoned by Emperor Guangxu, appointed to an official position through imperial decree, and publicly announced was an extraordinary occurrence at the time.”^[2] From Xu Zhijing's recommendation of Liang Qichao to the proposals put forward by Yi Kuang and others at the Zongli Yamen, Emperor Guangxu adopted nearly all suggestions regarding Liang's appointment. In fact, Liang Qichao and Sun Jia'nai were the first officials appointed by the emperor during the Hundred Days' Reform to prepare for the establishment of the Imperial University of Peking. Moreover, Liang was the only official throughout the entire reform period personally appointed by the emperor to oversee translation bureau affairs.

On August 16, Sun Jia'nai submitted Liang Qichao's “Memorial Proposing Regulations for the Imperial University Translation Bureau and Detailing Preparatory Measures” on his behalf. That same day, Emperor Guangxu approved it and issued a public edict:

Sun Jia'nai has submitted a memorial on behalf of the provincial graduate Liang Qichao, proposing ten

[1] Liang Qichao. “A Chronicle of the 1898 Coup,” in Lin Zhijun (ed.). *Collected Works from the Ice-Drinker's Studio: Special Collections*, Vol. 1. Beijing: Zhonghua Book Company, 1936, pp. 27–28.

[2] Mao Haijian. *The Establishment of the Imperial University of Peking*, p. 271.

articles for the Translation Bureau's regulations and detailing preparatory measures. As the bureau's operations were previously assigned to Liang Qichao, and given that the establishment of the Imperial University in the capital concerns international perceptions, the urgent compilation and translation of textbooks are essential for student instruction. The regulations proposed by this provincial graduate are all practical and shall be implemented as presented.

Since this endeavor is in its initial stages, long-term planning must take priority. Ample funding is required to prevent haphazard execution or compromised standards. The current expenses for purchasing machinery and Chinese/foreign books are substantial. While the requested initial funding of 10,000 taels of silver was approved, this may prove insufficient for expansion. An additional 10,000 taels is hereby granted to ensure unimpeded progress. Similarly, annual operational costs should be calculated generously: beyond the originally allocated monthly sum of 1,000 taels, an extra 2,000 taels will be provided to facilitate the recruitment of qualified personnel and support the advancement of this endeavor.

The Ministry of Revenue shall immediately allocate all aforementioned funds. Beginning on the first day of the seventh month, monthly disbursements must be issued in advance without delay. The Imperial University and the Chinese Progress Press must commence operations promptly. Should additional funding be required, Sun Jia'nai is authorized to submit further memorials. Regarding the university's borrowed premises, the Imperial Household Department has repeatedly been ordered to complete renovations and transfer the space without delay.^[1]

Emperor Guangxu held Liang Qichao in high esteem and granted him unprecedented privileges. While Liang had originally requested 10,000 taels of silver as initial funding, the emperor doubled this amount with an additional 10,000 taels and increased the monthly operational budget from 1,000 to 3,000 taels—an exceptionally generous allocation rarely seen during Guangxu's reign.^[2] As early as August 10, 1898, the Zongli Yamen had submitted the “Memorial Requesting Translation Bureau Funding and Official Seal”:

In our deliberative response to the memorials by Censors Yang Shenxiu and Li Shengduo proposing the establishment of a translation bureau, we recommended appointing provincial graduate Liang Qichao to manage the Shanghai Official Translation Bureau, with a monthly allocation of 2,000 taels from diplomatic funds. ... Operations commenced on the first day of the sixth month. However, essential startup costs—including book purchases, machinery acquisition, and building construction—require approximately 40,000 taels to properly launch. ... The requested 40,000 taels in initial funding should therefore be approved to ensure timely establishment.^[3]

Emperor Guangxu immediately endorsed this with a vermilion rescript: “Approved as proposed.” Regarding financial support, Mao Haijian notes that Liang became the best-funded Qing official at the time—the Shanghai

[1] *Selected Archives of the Imperial University of Peking*, p. 53.

[2] Mao Haijian. *The Establishment of the Imperial University of Peking*, p. 290.

[3] *Selected Historical Materials on the Imperial University of Peking*, p. 51.

bureau received 40,000 taels in startup funds plus 2,000 taels monthly, while the capital bureau had 20,000 taels and 3,000 taels respectively. Combined, Liang controlled 60,000 taels in initial capital and 5,000 taels monthly. ^[1]

On August 26, Sun Jia'nai submitted two additional proposals on Liang's behalf: the "Memorial Proposing a Translation Academy in Shanghai with Official Degrees for Graduates" and the "Petition to Waive Customs Duties on Books and Newspapers." The emperor approved both immediately:

Sun Jia'nai has memorialized provincial graduate Liang Qichao's proposals to establish a translation academy with degree qualifications for students, and to exempt books/newspapers from customs duties. As the graduate oversees translation bureau operations, this Shanghai academy aims to cultivate translation talent. Qualified graduates upon examination may receive official degrees. The requested duty exemptions for all books and newspapers are hereby approved. ^[2]

Throughout the Hundred Days' Reform, Kang Youwei's reformist faction faced relentless attacks from conservative forces. As Kang's chief lieutenant, Liang Qichao became a prime target. Conservative hardliners like Ye Dehui viciously assailed Liang's teaching materials and annotations from his tenure as head instructor at Hunan's Shiwu Academy—particularly those criticizing autocratic rule and advocating civil rights revolution. They went so far as to petition for Liang's execution. Yet Emperor Guangxu remained unmoved. Every memorial drafted by Liang received prompt imperial approval, demonstrating the emperor's steadfast support despite mounting conservative pressure.

4. Conclusion

The rise of Liang Qichao as the "sixth-rank Translation Official" and his leadership in translation bureaus during the Hundred Days' Reform transcended personal achievement or institutional establishment. It underscored translation's unprecedented elevation to a national strategic priority, serving as the core engine of Emperor Guangxu's reform agenda. This historical episode revealed a rare consensus and collaborative effort among reformists, progressive officials, and the emperor himself, all centered on the pivotal mission of knowledge transformation.

Emperor Guangxu's extraordinary trust and support for Liang Qichao were unparalleled in late-Qing politics. He not only fully endorsed Liang's translation plans but also demonstrated remarkable resolve in resource allocation: doubling the requested startup funds and significantly increasing monthly budgets, granting Liang financial resources far exceeding those of contemporaneous officials. Despite fierce attacks from conservative factions—including petitions demanding Liang's execution for his radical teachings at the Shiwu Academy—the emperor stood firm, promptly approving every one of Liang's memorials. Such exceptional backing was no mere

[1] Mao Haijian. *The Establishment of the Imperial University of Peking*, p. 290.

[2] First Historical Archives of China (ed.). *Guangxu Reign Edict Archives*, Vol. 24. Guilin: Guangxi Normal University Press, 1996, pp. 320-321.



patronage but reflected a clear strategic vision: large-scale, systematic translation of Western works on governance, law, and economics constituted the foremost urgent task to enlighten officials, cultivate talent, and furnish intellectual foundations for reform. This marked the first time the imperial court positioned translation as the central lever for societal and ideological change.

Liang Qichao emerged as both the ideal executor and embodiment of this vision. His coordination of translation efforts in Beijing and Shanghai aimed to construct a nationwide knowledge-production system: avoiding redundancy through unified planning, prioritizing “textbooks for modern schools,” and establishing translation academies to train local talent. At its core, his work elevated translation from scattered technical activities to a state-led, systematic knowledge engineering project, directly targeting the renewal of scholarly intellect and the forging of reform consensus.

Though short-lived due to the reform’s abrupt collapse, the Translation Bureau’s legacy endured. It represented the Qing court’s first institutionalized attempt to integrate large-scale translation into the heart of national reform. This model of translation-driven transformation, with its emphasis on knowledge renewal and talent cultivation, left an indelible mark on subsequent intellectual enlightenment and modernization efforts. It testified to the catalytic role of knowledge in national salvation and revival—a lesson resonating far beyond its immediate historical moment.

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[Studies in Literature]

Artistic Appreciation of George Orwell's Classic Essay: *A Hanging*

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Abstract: Orwell is a writer with socialist tendency. In *A Hanging* (1931), the profound connotation he endowed, like a sharp sword, sweeps away the darkness of the colonial rule of the British Empire, exposes the terrible horror of the prison, highlights the spirit of humanism, punishes the violent totalitarian regime, and reveals the hidden hearts behind the words. Its “Orwellian” language is simple, precise and cold, carrying profound meanings; its precise and concise rhetoric rouse people, moistening the full text; the article needs to be thoroughly examined in order to gain insight into its secrets.

Keywords: “*A Hanging*”; humanism; “Orwellian” language style; secrets

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喬治·奧威爾經典散文《絞刑》藝術賞析

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摘要:奧威爾是社會主義傾向作家,在《絞刑》(1931)中,他賦予文章深蘊內涵,是利鏖,橫掃冥濛英帝國殖民統治之黑暗,揭露監獄之猙獰恐怖,彰明人文主義精神,撻伐極權宰製之暴烈,揭示幽潛於文字後之隱匿人心;其「奧威爾式」語言,文字簡約澄明冷峻,奧義深邃宏遠;修辭精到,振撥人心,澤潤全文;文章需細察明觀,方能洞悉其奧蹟。

關鍵詞:《絞刑》;人文主義;「奧威爾式」語言風格;奧蹟

一、前言

精品散文《絞刑》能成為經典,不妨借用馬丁·布伯^①(Martin Buber, 1878—1965)《我與你》中經典名言來解讀:「藝術的永恆源泉是形象惠臨人,期望假於他而成為藝術品。形象非為人心之產物,而是一種呈現,它呈現於人心,要求其奉獻創造活力。這一切取決於人之真性活動。倘若人踐行此活動,以全部身心對所呈現的形象傾吐原初詞,那麼創造力將自他沛然溢出,藝術品由此而產生。」(布伯,2002:8)《絞刑》恰恰是奧威爾「呈現於心,奉獻創造活力」,作出「真性活動」,且賦以「以全部身心」,如此,「創造力將自他沛然溢出,藝術品由此而產生」。

『人呵,佇立在真理之一切裝嚴中且聆聽這樣的昭示:人無「它」不可生存,但僅靠「它」則生存者不復為人。』(布伯,2002:30)「它」乃「我之經驗物,我之知覺物,我之想象物,我之意欲物,我之體味物,我之思想物。」(布伯,2002:2)「人流連於事物之表面而感知它們,他由此抽取出關於它們之性狀的消息,獲致經驗知識。他經驗到事物之性質。但經驗不足以向人展示世界。」(布伯,2002:3)

《絞刑》中之絞刑為奧威爾所「體驗物、知覺物」,更是其「意欲物、體驗物、思想物」;但僅僅感知「絞刑」,並未「體驗事物之本質」,那就「不足以向人展示世界」。《絞刑》之奧諦在於司空見慣中見偉大,於細枝末節中見宏力。

二、遣詞造句(wording)匠心獨運,卓然屹立

例1:開篇第一句話中「sodden(濕漉漉的)」用詞精準。他避開普通詞「drench, soaked, wet, 等」。「sodden」來自 seethe(沸騰、煮沸)的古過去分詞,該詞凸顯奧威爾之匠心,「濕漉漉、霧濛濛」景象油然而生。

例2:第二段中「a puny wisp of a man(身體瘦弱)」,「puny 和 wisp」用詞極為精當:「puny」來自古法語 puisne(最小,最後出生),英語意為:inferior in strength or significance, 如:a puny physique(纖弱的體格/身

材),作者沒用「feeble」(「虛弱」「孱弱」,多指病人),表示他——死囚並非病人,而是力量、地位衰微到無以復加的程度;「wisp」意為:a small bundle of straw or hay(一小捆乾草)或 a small, thin piece of hair, grass, etc(一小把頭髮或草),該詞指死囚頗像「一捆纖細稻草」!此兩詞凸顯了犯人在獄中之境況:被摧殘得骨瘦如柴、骷髏一般。作者借此鞭撻了監獄之陰慘恐怖,悄無聲息中彰顯了人文主義精神。

例3:第四段中,獄卒頭兒法朗西斯遭典獄長訓斥後,表現極其卑下,不斷地說:「Yes, sir, yes, sir,」he bubbled.「bubble」意為:a hollow globule of gas(e.g., air or carbon dioxide)(氣泡,泡沫),此處表示法朗西斯「像氣泡一樣「嘍嘍」地重複著」:形容他被典獄長嚇得他渾身戰慄,體若篩糠;其慘狀躍然紙上,鮮活湧動!

三、修辭方法多樣化,賦畀文章勃勃活力

1. 反襯(contrast)。例4:第二段中:「They crowded very close about him, with their hands always on him in a careful, caressing grip, as though all the while feeling him to make sure he was there.」中的「crowd(v.)」意為:to gather together in large numbers(擠滿,擁擠,聚集等)。在句中,作者指「獄卒緊緊圍著死囚」,意欲表達「獄卒之多,如臨大敵」,但如此龐大架勢大可不必。在第二段最後一句,作者寫道:「But he stood quite unresisting, yielding his arms limply to the ropes, as though he hardly noticed what was happening.」(「但他站立那裏,十分鎮定,絕無反抗,兩只胳膊垂下,任由捆綁,好像什麼事兒沒發生。」)該句作者已明白無誤地告訴獄卒:死囚已不抗爭!作者此處使用了「反襯」手法,反襯獄卒之無能,死囚之無所畏懼。

2. 反諷(irony)。文中奧威爾大量使用反諷,揭露了隱匿背後之險惡人心,彰明其人文主義精神。例4句中的「caress」用得精絕。「caress」意為:a gentle affectionate stroking or touch or stroke lightly in a loving or endearing manner(溫柔撫愛或親切地輕揉撫摸)獄卒們如臨大敵,圍著囚犯,用手牢牢抓住(grip: hold firmly),且小心翼翼(careful),何來「caress」?難道獄卒對待死囚能像喜歡小動物,小情人那樣去「撫愛,撫摸」?該句讀來令人忍俊不禁,又飽含苦澀。

例5:第15段中,作者多處使用「反諷」。「it seemed quite a homely, jolly scene, after the hanging. An enormous relief had come upon us now that the job was done. One felt an impulse to sing, to break into a run, to snigger. All at once everyone began chattering gaily.」(「絞刑後,大家都長出了一口氣,一切看上去都那麼溫馨。人人都想高歌,狂奔,大笑。剎那間,都興高采烈地聊起天來。」)(賈志浩譯,何兆熊主編,2021:49)其中「homely, jolly」,「an impulse to sing, to break into a run, to snigger」,「chattering gaily」皆為「反諷」。作者在第一段最後一句交代:「These were the condemned men, due to be hanged within the next week or two.」(這些都是死囚,一兩周內都將被絞死。)(賈志浩譯,何兆熊主編,2021:46)絞刑剛過,犯人剛領完早飯,手捧錫盒,他們就忘記了剛剛死去的同伴:死人就在一百碼之外,抬頭可見。他們還哪有心情去「歌唱、奔跑、大笑」?真是「商女不知亡國恨,隔岸猶唱後庭花」。幾處精確地反映了殖民地被壓迫者之愚昧、之順從、之無奈!

在第22段,即最後一段:「‘Pulling at his legs!’ exclaimed a Burmese magistrate suddenly, and burst into a loud chuckling. We all began laughing again. At that moment Francis’s anecdote seemed extraordinarily funny. We all had a drink together, native and European alike, quite amicably.」(「『拽他的腿!』緬甸官員突然驚叫道,然後開懷大笑。大家也都笑起來。此時法朗西斯的軼事似乎格外好笑,當地人和歐洲人一起喝酒,氣氛融融。」)(賈志浩譯,何兆熊主編,2021:49)中「burst into a loud chuckling」、「laughing again」、「extraordinarily funny」、「had a drink together, native and European alike, quite amicably.」皆為「反諷」。歐洲人是殖民者,當地人是被殖民者,二者之間是壓迫於被壓迫關係,何來之「大笑」?何來二者「開懷暢飲」,何來「和睦相處」?

真是天大的諷刺！

3. 借代(metonymy)。例6:第5段中,「‘Well, quick march’, then, the prisoners can’t get their breakfast till this job’s over.」與第15段「An enormous relief had come upon us now that the job was done.」兩句中的「job」,還有第9段「The hangman, a gray-haired convict in the white uniform of the prison, was waiting beside his machine.」中的「machine」,還有第8段最後一句:「one mind less, one world less」中的「mind」均為「借代」。「job」借代「hanging」;而「machine」借代「gallows(絞刑架)」,「mind」借代「man(人)」,三詞翻譯時要還原,否則容易引起歧義與疑問。董樂山先生把第5段翻譯為「這活不幹完,犯人們還不能吃早飯呢。」(奧威爾,2007:64)「job」被譯成「這活」。劉春芳、高新華將該句譯為:「不完成這個任務,凡人們就不能吃早飯!」(奧威爾,2010:11)「job」被譯成「任務」。羅爽、易小又、曹聿非翻譯該句為:「這活兒不幹完,犯人們就吃不成早飯。」(奧威爾,2016:11)「job」被譯成「這活兒」。筆者看來,莫不如譯為:「絞刑完,犯人才吃早飯」意義更直白透徹澄明。還有,董樂山先生把第15段翻譯為:「我們大家因為該做的事已經做完而感到松了一口气。」(奧威爾,2007:67)「job」被譯成「該做的事」。如此翻譯雖然上下文意思也通,但筆者認為莫不如譯為:「絞刑完後,大家都長出了口氣」,譯文意思更明朗清晰。董樂山先生把第8段翻譯為:「少了一個心靈,少了一個世界」(奧威爾,2007:67),劉春芳、高新華將該句譯為「少了一種思想,少了一個世界。」(奧威爾,2010:12);還有羅爽、易小又、曹聿非翻譯該句為「少了一個頭腦,少了一個世界。」(奧威爾,2016:12)。「心靈」也好,「思想」「頭腦」也罷,它們都不能與「世界」對等。這是兩個並列句,故翻譯成「少了一個人,少了一個世界」更妥帖。

4. 排比(parallel)。例7:第8段最後一句:「one mind less, one world less」也是「排比句」,語氣十分強烈:「一個人」等同於「一個世界」。絞死一個人,一個人之世界也隨之塌圮;家庭、兄弟姐妹、朋友鄰里都瓦解冰消了。死人與他們相互鉤連,玉成了個人世界,每個人都相互系執,相互匯融,連綿不絕,他們的生活才得以延續!

5. 對比(antithesis)。例8:第13段中,「Very slowly revolving, as dead as a stone.」中的「stone」與絞刑前鮮活的人形成「對比」。「一個鮮活的生命瞬間變成了石頭」這是多麼大之巨變!多麼大之罪愆!例9:在第6至第8段去往絞刑架路上,奧威爾引入大狗場景。「死囚」與「大狗」形成鮮活「對比」。「發生一件驚悚事件——天才知道,一條大狗不知從何處冒出,來到院子。狺狺狂吠,在人群中跑來跑去,搖動身軀。發現眾多之人,它興奮異常。狗毛濃密,半艾爾穀狗,半流浪狗。圍著我們歡跳,突然它撲向死囚,跳起來去甜他的臉,眾人還沒反應過來,大駭,沒來得及抓住狗。」「誰把這個畜生放進來的?」典獄長憤怒道,「來人,抓住它。」「一個獄卒從護送隊伍中笨手笨腳地撲向狗,但狗歡蹦亂跳地躲開了,與眾人嬉戲著。一個年輕歐亞混血獄卒撿起一把石子,要打跑狗,但它避開了,還跟在眾人後面。其哀嚎響徹監牢。死囚在兩個獄卒押解下,對此看上去興趣索然,仿佛是另一場絞刑儀式。過了幾分鐘,才有人抓住狗。用手帕系住狗項圈,狗發出嗥嘯,我們繼續前行。」(賈志浩譯,何兆熊主編,2021:47—48)一個壯年男人,身軀像捆稻草,瘦骨嶙峋,微弱啞啞,被五花大綁押送刑場即將被絞死;而一條野狗健碩無比,毛髮濃密,歡蹦亂跳,躍躍欲試要吃人!一個慘澹孤星,一個滋蔓橫生;這是多麼鮮明之觀照!這是多麼強烈之反差與多麼不堪忍受之怫鬱!野狗尚有生命權,而人生命將被褫奪,何況是在盛年!

四、勃發人文主義,撻伐專制主義

朱生豪言:莎士比亞作品亙古不衰在於其揭示了「古今中外貴賤貧富人人所同具之人性。」三百多年過去,其著作為全世界文學之士所耽讀,其劇本在世界舞臺與銀幕搬演不衰,「蓋由其作品中具有永久性與普



遍性,故能深入人心如此耳。)(莎士比亞,2001:譯者序)人性即人文主義,奧威爾之《絞刑》主要即宣導其人文主義精神。

《絞刑》譯者劉春芳也揭示了奧威爾作品之魅力所在:「喬治·奧威爾的文字生動簡潔,充滿張力,看似不動聲色,實則激情湧動。更重要的是,奧威爾的書寫擺脫了個人情感的抒發與宣洩,將其揭露恐怖政治、力圖改良社會的莊嚴理想貫穿在字裏行間,其作品自然而然流露出灼人的鋒芒和震耳的籲求。)(奧威爾,2010:前言)其中之「莊嚴理想」和「呼求」即人文主義。

奧威爾在美文《絞刑》中,細膩而冷峻地描寫了絞刑過程,提出了生命尊嚴這一嚴峻話題:

直到此時,我才幡然醒悟:處決一個健康之人到底意義何在?他竟然知道躲開水坑,卻在壯年之時令其生命戛然而止,此舉是多麼不可思議!多麼無可名狀!多麼荒謬怪誕!他並非垂死之人,他與我們一樣健康:他全身器官都正常在工作——腸子在消化食物、皮膚在新陳代謝、指甲在生長、細胞在形成——所有都以神聖的方式運行。但當他走上絞刑架,十分之一秒內從空中墜下時,他的指甲還在生長。

他的眼睛能看見黃色的沙礫和灰色的牆壁,他的大腦還能記憶、預測和推理,甚至知道避開水坑。他和我們一樣都是人,我們一起走路,我們所見、所聽、所感、所知,都是同一個世界。然而,再過兩分鐘,「咔嚓」一聲過後,我們中的一人就沒了——少了一個人,少了一個世界。(賈志浩譯,何兆熊主編,2021:48—49)

短短行文感情高度凝練,借問蒼旻:絞刑意義何在?特別是正值盛年之人!他跟我們一樣,都是人!本該「人人平等」;我們活著,為什麼壯年囚犯就該被絞死?何況,一個人死了,一個世界消亡了!一個家庭也坍塌了,親戚朋友也煙消雲散了!奧威爾在呼請「人文世界」,蘄求自由平等之實存彼岸。他是一個社會主義者,也是一個反極權主義者,而他的「反極權主義的鬥爭是他的社會主義信念的必然結果。他相信,只有擊敗極權主義,社會主義才有可能勝利。)(奧威爾著,董樂山譯,2009:譯本序)而他之呼號是那麼慘澹,那麼軟弱無力,最後「絞刑完後,我們都倍感安慰,有人甚至要唱歌、要跑動、要竊笑,人人都興高采烈聊起天來。」(賈志浩譯,何兆熊主編,2021:49)

人間正義已經坍塌崩潰,世界已是一片深豁,吞噬人性,唯有渴求神靈,發出徹字無涯之呼救:「繩套系好,死囚開始呼請自己的上帝,聲音高亢響徹「羅摩!羅摩!羅摩!羅摩!」不急不懼,亦非祈禱或哀求,倒平和悅耳,像鐘鳴。)(賈志浩譯,何兆熊主編,2021:48)「羅摩」是印度教神名,最高神毗濕奴之化身。死囚上訴失敗:「他都嚇得尿濕了一地。)(賈志浩譯,何兆熊主編,2021:49)世界已然溟濛難辨,正義化為須臾,他只有蘄求他之神收留其靈魂,他領承教誨,承蒙浸潤,以搏塑靈魂,獲致整全。

四、結語

掩卷而思,《絞刑》絞人場景縈繞於懷,浮現眼前。該文除了遣詞造句之妙,修辭多樣,彰顯人文主義外,還有哪些幽奧尚未參透?歷史長川地演義,殖民地已不在,但昔日歷史會引發人們對殖民時期人文價值之觀照與思考。明諳此理,方能理解作者之生命摯愛,人文主義精神。最後,善良邪惡,聰明愚鈍,俊美醜陋,皆轉為真切的實存。

注釋

① 馬丁·布伯(Martin Buber,1878—1965)乃二十世紀德國最著名宗教哲學家,其代表作《我與你》(1923)被奉為二十世紀文



學經典。

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Analyzing the Similarities and Differences of the Image of “Beans” in *Walden* and *Back to Country Life*

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Abstract: This paper conducts a comparative analysis of the symbolic image of “beans” in Henry David Thoreau’s *The Bean-field* from *Walden* and Tao Yuanming’s ancient Chinese poem *Back to Country Life*, revealing how these seemingly simple plants embody concrete philosophical and cultural meanings across time and space. Despite their temporal and geographical distance, both authors use bean imagery to articulate shared ideals of simplicity, self-sufficiency, and harmony with nature. This study begins with an overview of the general symbolic values associated with beans—vitality, harvest, tranquility, independence, and transformation—before delving into textual analyses of each work. Tao’s depiction of sparse bean sprouts amidst overgrown grass mirrors his longing for pastoral purity and detachment from societal constraints, while Thoreau’s detailed engagement with bean cultivation reflects his transcendentalist pursuit of spiritual clarity through labor and natural communion. Despite differences in style and historical context, both writers present beans as more than agricultural products; they become metaphors for personal freedom, moral integrity, and a life reoriented toward nature. By decoding the literary symbolism of beans, this research not only highlights cross-cultural literary resonances but also deepens our understanding of ecological thought and human-nature relations in both Western and Eastern traditions. Ultimately, the paper argues that beans serve as a shared language through which Tao and Thoreau articulate a universal yearning for a simpler, more authentic mode of existence.

Keywords: Pastoralism; transcendentalism; cross-cultural imagery

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1. Introduction

1.1 Research background

Recent ecological and cultural debates have renewed interest in comparing agrarian imagery and pastoral ideals across literary traditions. Although Tao Yuanming and Henry David Thoreau lived in vastly different cultural and historical contexts, their respective works—*Back to Country Life* and *Walden* both reveal a philosophical resonance grounded in reverence for nature, simplicity, and self-sufficiency. (Zhang, 2023, p. 49). Both authors responded to the chaos of their times by retreating from public life and turning to rural labor as a form of coexistence with nature echoes across the centuries, forming what scholars describe as a “dialogue across time and space” (Zhang, 2017, p. 72).

1.2 Research objectives

This paper focuses on the symbolic image of beans as represented in the works of Tao and Thoreau. While Tao describes sparse bean sprouts growing in overgrown grass as a metaphor for the struggles of a virtuous recluse in a corrupt world, Thoreau uses his bean rows as a site of moral labor and spiritual exploration (Feng & Wu, 2023, p. 95). Despite differences in motivation—Tao’s withdrawal rooted in Confucian-Daoist ethics, and Thoreau’s rebellion shaped by Transcendentalist philosophy—both authors elevate the mundane act of planting beans into a literary expression of personal autonomy and ecological reverence (Zhang, 2023, p. 50). Their language is plain and unadorned, imitating the rhythm of labor and reflecting a poetic vision rooted in real soil and hardship (Zhang, 2017, pp. 74–75).

1.3 Research significance

Beyond comparing two texts, the study addresses ecological ethics, cultural translation, and the long-standing quest for spiritual freedom. The figure of the recluse—whether navigating the southern mountains of China or hoeing bean rows by Walden Pond—invites us to reconsider the human-nature relationship in both Eastern and Western traditions (Zhao, 2024, p. 49; Zhang, 2023, p. 51). By examining the symbolic function of beans and their associated agrarian practices, this paper aims to illuminate how both Tao and Thoreau use pastoral imagery to critique material excess, affirm individual integrity, and envision alternative models of living. Ultimately, such a comparison not only enriches our understanding of literary ecology but also offers enduring insight into the ethical and philosophical values embedded in both Chinese and American traditions.

2. Literature Review

2.1 Comparative studies of hermit philosophy in Tao and Thoreau

A significant portion of existing scholarship on Tao Yuanming and Henry David Thoreau emphasizes the philosophical commonalities between the two authors, particularly their shared endorsement of retreat,

simplicity, and personal freedom. Zhang (2017) draws a broad cultural parallel, noting that despite the vast temporal and spatial distance, both authors articulate a pastoral ideal rooted in self-cultivation and detachment from worldly affairs. Similarly, Zhang (2023) interprets their respective withdrawals as expressions of existential clarity—“resolving contradiction by removing oneself from contradiction” (p. 49). These studies frame the two writers as spiritual kin, echoing classical notions of the recluse figure in both Eastern and Western traditions.

In a more theoretical attempt, Huang (2020) applies Maslow’s hierarchy of needs to explain both authors’ turn toward rural solitude. She argues that Tao and Thoreau’s reclusive behaviors align with the pursuit of self-actualization rather than mere survival or escapism. This interdisciplinary method opens an insightful psychological perspective on their shared inner motives (Huang, 2020, p. 80). However, despite the appeal of this framework, the study remains largely detached from close textual reading or aesthetic inquiry.

While these philosophical comparisons have enriched our understanding of Tao and Thoreau’s ideological affinities, they share a common limitation: an overreliance on macro-level analysis. These studies prioritize metaphysical and ethical reflections while overlooking the textual mechanisms through which such ideas are articulated. They seldom engage with literary form, symbolic imagery, or language structure—dimensions crucial to understanding how meaning is constructed in both poetic and prose contexts. As such, the symbolic role of beans, a recurring motif in both authors’ works, has yet to receive adequate attention as a site of cross-cultural literary negotiation.

2.2 *Ecological and ethical interpretations of labor*

Another strand of scholarship explores the symbolic dimensions of agricultural labor in Thoreau’s writings, particularly within ecological and ethical frameworks. Zhao (2024), for instance, interprets bean cultivation in Walden as an embodiment of Thoreau’s ecological consciousness, emphasizing the harmony between the individual and the environment. For Zhao, the bean-field is not merely a place of sustenance but a moral landscape, where labor serves as a medium for self-refinement and spiritual resilience. Likewise, Huang (2020) observes that Thoreau’s work ethic in the field reflects a higher-order psychological need, linking physical toil with personal transcendence.

A more politically charged reading is offered by Chen (2021), who regards Thoreau’s agricultural experiment as a symbolic rebellion against capitalist and governmental encroachments. In this view, the bean-field becomes a microcosm of civil disobedience—a deliberate site where individual autonomy confronts societal conformity (Chen, 2021, p. 134). These perspectives highlight how the act of planting beans transcends mere subsistence and becomes an ideological gesture, loaded with environmental, spiritual, and political significance.

However, despite their theoretical richness, these studies tend to treat labor—and by extension, the beans themselves—as thematic devices rather than aesthetic objects. They emphasize the ethical and political messages encoded in the act of cultivation but rarely explore how these meanings are conveyed through language, form, or literary structure. Moreover, most of these interpretations remain confined to Thoreau’s text, with little attempt to compare analogous symbolic systems in other literary traditions. The lack of a cross-cultural literary framework limits the potential to understand bean cultivation as a universally resonant yet culturally distinct motif.

2.3 *Symbolic readings within single textual contexts*

In addition to broader philosophical and ecological readings, some studies have attempted more focused



interpretations of the bean motif within a single cultural and literary context. Feng and Wu (2023) offer a detailed exegesis of the line “grass flourishes while bean sprouts are sparse” from Tao Yuanming’s *Back to Country Life*. They argue that this line encapsulates the tension between the poet’s pastoral ideal and the harsh reality of rural labor, symbolizing both Tao’s ethical perseverance and the encroachment of disorderly external forces. The beans, in this context, serve as an emblem of personal resolve and harmony with nature amidst political disillusionment (Feng & Wu, 2023, p. 94).

On the other hand, Chen (2021) approaches the bean-field in *Walden* through a politically charged lens, positioning it as a performative symbol of dissent and autonomy. He reads Thoreau’s agricultural endeavor as a resistance to industrial capitalism and an assertion of moral individuality, where beans become vehicles of anti-establishment values. While such studies provide valuable insights into the symbolic potential of the bean motif, they remain bound to the cultural logic and hermeneutics of a single author.

These analyses also tend to reduce the symbolic function of beans to a singular thematic axis—be it perseverance, harmony, or rebellion—without acknowledging the polysemous nature of literary symbols. The meanings of beans, like all literary motifs, are shaped not only by their local cultural environment but also by rhetorical choices, narrative framing, and historical reception. Moreover, no current studies juxtapose Tao Yuanming and Thoreau through the lens of this shared yet differentially constructed image, missing a key opportunity to explore how a common natural object can be invested with distinct cultural meanings across time and space.

2.4 Bridging the gap: a rhetorical and comparative approach

Building on the limitations of previous studies, this paper advances a rhetorical-symbolic and cross-cultural approach to the bean motif in the works of Tao Yuanming and Henry David Thoreau, grounded in the comparative methodologies of imagology and comparative poetics. Earlier scholarship has often prioritized philosophical alignment, ecological ethics, or political dissent, yet seldom has it interrogated how symbolic meaning is meticulously constructed through rhetorical texture, literary form, and narrative positioning. Moreover, much of the existing literature remains mono-cultural or unidirectional, lacking a sustained comparative lens that illuminates both the convergences and divergences of symbolic functions across Chinese and American traditions.

This study thus adopts a rhetorical-symbolic method, which merges rhetorical analysis—how authors employ language, structure, and style to shape meaning and influence readers—with symbolic interpretation, which probes the deeper significance of images or motifs and their role in articulating themes and cultural values. By integrating these approaches, the analysis moves beyond simply asking what “beans” symbolize in each work to examine how each author’s distinctive narrative and poetic strategies construct those meanings. In this sense, the bean becomes not merely a motif but a site for cross-cultural semantic negotiation.

The cross-cultural dimension of this framework is informed by the central aims of Comparative Literature: to transcend the confines of any single linguistic or national tradition and treat literature as a global, dialogic enterprise (Wellek, 1963). As René Wellek has argued, comparative literature should be “unhampered by linguistic restrictions,” while David Damrosch and Earl Miner have called for a comparative methodology that resists Eurocentric canons and mono-methodological constraints, advocating instead for intercultural perspectives

capable of registering the pluralism of world literatures (Damrosch, 2003; Miner, 1990). Imagology, as a subfield of comparative literature, further provides a systematic model for the study of “cross-national perceptions and images as expressed in literary discourse” (Beller & Leerssen, 2007, p. 7). This perspective makes it possible to interpret the “bean” as an ethnotype: a culturally coded image that reveals both the author’s auto-image (self-perception) and hetero-image (perception of the other).

Comparative poetics, particularly as articulated by Earl Miner, supplements this model by shifting the focus from universal themes to the “originative poetics” of distinct literary traditions. Miner (1990) urges critics to attend to the differing literary sensibilities—such as the affective-expressive tendencies in much Eastern literature and the mimetic orientation of Western poetics—rather than seeking facile equivalences. This enables a more nuanced comparative reading that is sensitive to both structural and stylistic differences.

By synthesizing these approaches, this study undertakes a close reading of Tao Yuanming’s *Back to Country Life* and Thoreau’s “The Bean-Field” not merely as philosophical treatises but as intricately structured literary expressions. Through the rhetorical-symbolic lens, the analysis explores how the humble bean is transformed into a charged site of meaning through layered textual strategies: the rhythmical mimicry of labor, spatial and narrative positioning within the poetic or prose structure, and the mobilization of embedded cultural codes that guide the reader’s understanding of labor, selfhood, and nature.

For example, Tao’s depiction of sparse bean sprouts beneath luxuriant grass transcends the agrarian and becomes a metaphor for moral solitude, shaped by a Confucian-Daoist ethos that values restraint, suggestion, and the negotiation between virtue and failure. Thoreau’s meticulously described rows of beans, by contrast, stand as emblems of moral experimentation and self-reliance, articulated through a transcendentalist prose style that privileges self-reflexive inquiry and mythic amplification. Here, the bean field is not just a plot of earth but a site for the remapping of ethical and ecological identities.

Such a rhetorical-symbolic comparison expands the semantic field of the bean motif and forges a dialogue between Eastern and Western traditions, privileging literary form and rhetorical construction over mere philosophical abstraction. It opens up new interpretive possibilities for understanding how shared natural imagery—such as the bean—can operate divergently across cultures, shaped by distinctive rhetorical and poetic conventions. In doing so, this framework contributes to comparative literature, ecocriticism, and symbolic poetics by offering a more granular, text-centered model for the interpretation of cross-cultural literary symbolism, grounded in rigorous theoretical foundations and attentive close reading.

3. Textual Analysis — The Rhetorical Symbolism of Beans

3.1 *The symbolic function of beans in Tao Yuanming’s Back to Country Life*

3.1.1 *Image construction*

In *Back to Country Life*, the image of beans is not merely a literal reference to a cultivated crop but a multilayered symbolic construct that emerges through Tao Yuanming’s concise yet evocative poetic diction. The iconic opening line, “Planting beans beneath the southern mountain, Grass grows thick while bean sprouts are sparse”, establishes a vivid scene of tension between human cultivation and natural overgrowth. On the surface,



it suggests agricultural hardship; however, at a symbolic level, the sparse bean seedlings may be read as a reflection of the poet's marginalized idealism within a chaotic and disordered world. The overpowering grass represents the unchecked encroachment of secular society or officialdom, which stifles the fragile shoots of integrity and simplicity Tao attempts to cultivate.

Tao's use of juxtaposition—between the human and non-human, sparse and dense, order and disorder—lays the foundation for beans as a signifier of resistance. In Chinese poetic tradition, the act of “planting” often connotes both literal subsistence and a figurative sowing of values. The fact that Tao chooses beans, a modest and unglamorous crop, further reinforces his commitment to a humble, self-sufficient life that deliberately distances itself from Confucian hierarchy and worldly success. Beans become markers of a dignified yet precarious retreat.

Moreover, the placement of beans within Tao's broader spatial imagination reinforces their symbolic load. The phrase “southern mountain” is not only geographical but inter-textual; it echoes the Book of Songs and other early Chinese pastoral poetry where mountains represent constancy, refuge, and elevated morality. Planting beans at the foot of such a mountain becomes an act of symbolic alignment: Tao positions himself at the margin of worldly affairs but within moral elevation. The bean thus stands as an agent of this positioning—it is the poet's bridge between material life and ethical identity.

Importantly, the daily rhythms of tending to the bean field, as described in “In the morning I clear the wilds, /With the moon I return, hoe in hand” imbue the image of beans with emotional and ethical weight. They are not just agricultural output, but companions in the poet's spiritual discipline. This labor, rendered in minimal yet rhythmic language, becomes a ritual of self-purification, a slow and silent form of self-writing. Beans absorb Tao's temporal investment and, in turn, reflect his moral constancy. Here, Tao prefigures what would later be termed by ecocritics as a “relational ontology”—one in which the human subject defines itself not in opposition to nature, but through its embeddedness within it.

Thus, the image of beans in *Back to Country Life* is carefully constructed through spatial alignment, natural contrast, and poetic ritual. Far from being a passive crop, the bean emerges as a quiet but potent symbol of Tao Yuanming's ethical solitude, existential resilience, and poetic minimalism. It stands not for agricultural success, but for a life lived with deliberate refusal—a vegetative metaphor for the recluse who chooses slowness, quietness, and obscurity over the noise of court and capital.

3.1.2 Rhetorical strategies in the construction of the bean image

The symbolic resonance of beans in Tao Yuanming's *Back to Country Life* is not solely embedded in thematic content but emerges equally from the rhetorical strategies employed to shape the poem's tone, rhythm, and imagery. Through parallel structure, temporal contrast, and imagistic economy, Tao constructs a poetics of quiet resistance—one in which beans function as the metonymic center of a larger ethical and aesthetic worldview.

One of Tao's key rhetorical devices is temporal juxtaposition, especially in the line “I rise in the morning to clear the wilds, Return with hoe under the moon”. The carefully balanced structure not only underscores the cyclical labor of a farmer but also evokes a sense of poetic eternity: a solitary figure bound not by clock or calendar but by the rhythms of the earth. The beans are not described directly in this couplet, yet they are the silent purpose behind every movement. In this way, Tao constructs a rhetoric of omission—the central image

(beans) is emotionally and ethically elevated by its partial absence. This strategy creates a reflective distance that invites readers to intuit the moral significance rather than absorb it didactically.

Another key rhetorical feature is Tao's consistent use of antithesis and contrast to evoke an inner tension between aspiration and adversity. In the opening couplet, the rhythmical opposition between flourishing and sparse does more than describe a rural scene—it dramatizes a worldview. The lushness of wild grass versus the fragility of cultivated beans reflects Tao's conflict with the external world: secular forces multiply wildly, while moral cultivation struggles to take root. This rhetorical contrast functions as a microcosmic allegory, rendering political disillusionment into botanical form.

Tao also employs a flattened effect that belies the poem's underlying depth. His diction is deceptively plain, eschewing metaphors or overt emotion in favor of everyday language and routine verbs like plant, clear, and return. This linguistic restraint is itself rhetorical—a stylistic embodiment of Tao's moral position. As Zhang (2017) notes, this simplicity “creates a resistance to rhetorical flourish and official decorum,” allowing Tao to assert a literary identity that mirrors his reclusive stance (p. 73). The bean, humble and unadorned, is thus perfectly suited to this aesthetic.

Even the closing couplet, “My clothes are wet, but I do not mind, As long as my wish is not betrayed”, employs rhetorical indirection to elevate the bean from mundane crop to moral symbol. The image of dew-wet clothing, incidental yet intimate, places the speaker in tactile continuity with his environment. The phrase “my wish is not betrayed” is notably abstract, leaving the content of the wish unspecified. This strategic vagueness opens the symbol of the bean to broader ethical readings—it becomes the object, process, and fulfillment of a moral vow whose contours are determined by the reader's own values.

3.2 The symbolic function of beans in Thoreau's The Bean-Field

3.2.1 Narrative presence in Thoreau's The Bean-Field

In *Walden*, Thoreau devotes an entire chapter—“The Bean-Field”—to the seemingly mundane task of cultivating beans, a narrative decision that immediately elevates the crop to symbolic prominence. Unlike Tao Yuanming's elliptical poetic style, Thoreau adopts an essayistic mode, blending observation, reflection, and philosophical speculation. The bean-field is not merely a background for labor; it is narratively central, functioning as both spatial anchor and metaphysical testing ground within the *Walden* experiment.

Thoreau introduces his bean cultivation with precise material detail—“seven miles already planted”—but quickly departs from agronomic record-keeping to pose the question: “What shall I learn of beans or beans of me?” (Thoreau, 1964, p. 129). This reflective turn transforms beans into subjects of inquiry rather than objects of utility. Their presence in the narrative is dialogic: they are not only cultivated, but contemplated. This narrative structure positions beans as co-authors of meaning—entities that offer lessons about patience, cyclicity, resistance, and the nature of self-sufficiency.

Furthermore, the bean-field chapter is embedded in *Walden* at a crucial point in the text's philosophical arc. Following earlier chapters on “Economy” and “Where I Lived, and What I Lived For,” the focus on beans serves as a concrete instantiation of Transcendentalist principles. The labor is literal, but the narration makes it emblematic. Thoreau writes, “They attached me to the earth, and so I got strength like Antaeus” (p. 129), invoking myth to signal spiritual empowerment through manual engagement with nature. Here, beans are



narratively charged: they signify rootedness, mythic force, and the reclaiming of primal identity. Their symbolic power arises not from abstraction, but from narrative accumulation—Thoreau's repeated interactions with beans imbue them with layered meaning.

The recurrence of the bean motif also reflects Thoreau's resistance to linear, utilitarian thinking. He admits uncertainty about their purpose—“But why should I raise them? Only Heaven knows”—and then immediately returns to detailing their care. This rhetorical oscillation between purpose and purposelessness mirrors the Transcendentalist tension between individual action and cosmic unknowability. Beans are narrated not as productive endpoints but as companions in existential experimentation. The very uncertainty of their significance is part of their narrative power—they remain “curious labor,” simultaneously ordinary and metaphysical.

Notably, Thoreau's bean-field narrative resonates with his broader ethos of individual conscience and resistance to societal norms. At one point, Thoreau wryly observes that he is “by nature a Pythagorean, so far as beans are concerned, whether they mean porridge or voting”, implying that his farming is as much a rejection of political participation (beans as ballots) as it is an embrace of simple subsistence. Such remarks underscore how the bean-field becomes a microcosm of Thoreau's experiment in self-reliance and civil disobedience. Indeed, during his Walden sojourn, Thoreau was briefly jailed for refusing to pay a poll tax to a government he deemed unjust—an incident that symbolically parallels his agricultural self-sufficiency as an act of personal autonomy and moral protest. Literary scholars have noted these dimensions: for example, Lawrence Buell interprets Thoreau's bean-field labor as exemplifying an “aesthetic of relinquishment,” a deliberate yielding of human ownership and control over nature's produce. In the chapter's climax, Thoreau muses that the beans do not ultimately belong to him alone: “These beans have results which are not harvested by me. Do they not grow for woodchucks partly? ... The true husbandman will cease from anxiety ... relinquishing all claim to the produce of his fields”. Such passages illustrate the environmental ethic Buell identifies: Thoreau relinquishes any proprietary anxiety, treating his labor as a spiritual exercise rather than a means of economic gain. At the same time, Henry Golemba observes that Thoreau's style in *Walden* is “very natural”—both intricate and simple at once. This natural, unadorned rhetoric creates a sense of intimacy and authenticity that blurs the boundary between personal narrative and broader social commentary. Through these textual strategies and philosophical underpinnings, Thoreau's cultivation of beans comes to signify not just physical toil, but a holistic practice of ecological consciousness, transcendental self-culture, and principled dissent.

3.2.2 *Language and tone in Thoreau's The Bean-Field*

Thoreau's language in “The Bean-Field” oscillates between observational precision and lyrical abstraction, a tonal duality that mirrors the dual status of beans as both agricultural product and spiritual metaphor. Unlike Tao Yuanming's controlled poetic minimalism, Thoreau adopts a meditative prose style that allows him to expand, qualify, and contradict himself—thus reflecting the experiential texture of his “life experiment.” This stylistic openness is central to how beans accrue symbolic weight in the narrative.

His tone, often informal and conversational, invites the reader to join in his ambiguity: “What shall I learn of beans or beans of me?” (Thoreau, 1964, p. 129). This seemingly rhetorical question destabilizes traditional subject—object hierarchies and infuses the mundane task of hoeing beans with philosophical uncertainty. The tone here is both sincere and ironic—Thoreau doubts, yet continues; he questions, yet persists. This self-aware ambivalence is characteristic of Transcendentalist rhetoric, in which nature is not explained to the reader so much

as it is inhabited and reflected upon by the narrator.

Thoreau frequently uses domestic, tactile language to describe his physical relationship with the beans: “I hoe them, early and late, I have an eye to them... This is my day’s work.” The simplicity of these statements contrasts with the elevated moral purpose ascribed to the task elsewhere in the same chapter. This dissonance creates a unique tonal register—one where the sacred is rendered in the idiom of the ordinary. His tone resists both sermon and satire, opting instead for a kind of philosophical plainness that allows beans to be both literal and symbolic without collapsing into simple allegory.

Additionally, Thoreau incorporates mythic and anthropomorphic language to imbue the beans with narrative vitality. By invoking Antaeus—“they attached me to the earth, and so I got strength like Antaeus”—he casts the bean-field as a site of mythopoetic renewal (Thoreau, 1964, p. 129). The beans are no longer passive producers; they become the agents through which Thoreau reclaims his spiritual and bodily autonomy. This elevated tone coexists with moments of rustic humor and personal frustration, such as his battle with invasive woodchucks, which keeps the symbolic register grounded in lived reality.

Crucially, Thoreau’s tone does not force meaning upon the beans but allows it to emerge inductively through layered observation, repetition, and pause. His language avoids rigid abstraction, instead leaning on accumulation: of rows, labor, words. As a result, the symbolic function of beans develops organically—not through overt analogy, but through tonal and syntactic patterning. His prose thus enacts the same slow growth he attributes to the beans themselves.

3.3 *Cross-cultural comparison: resonances and divergences*

3.3.1 *Shared symbolism*

Despite the vast differences in their cultural and historical contexts, Tao Yuanming and Henry David Thoreau converge in their use of beans as symbolic vehicles to express ideals of self-sufficiency, rootedness in nature, and ethical independence. Both authors integrate the humble bean into their literary landscapes not merely as an agricultural detail but as a spiritually charged emblem of a life removed from corrupting entanglements. This cross-cultural resonance exemplifies what comparative poetics describes as a transhistorical convergence of imagery (Miner, 1990), even as each instance remains grounded in its own cultural milieu. In imagological terms, the bean functions almost as a transnational imageme bridging Chinese and American pastoral visions (Beller & Leerssen, 2007, p. 7). By examining the texts closely, we see that Tao and Thoreau independently transform bean-planting into a metaphor for personal renewal and moral autonomy, indicating a shared symbolic grammar across East—West boundaries.

At the heart of both works is the ideal of self-sufficiency realized through manual labor and minimal reliance on outside institutions. Tao’s depiction of cultivating beans at the foot of his rustic farm is more than an agrarian scene — it is a declaration of philosophical autonomy shaped by the Confucian-Daoist tradition of withdrawal. In his poem *Back to Country Life*, the act of tending “bean sprouts amidst overgrown grass” is imbued with the resolve of a recluse who has renounced official duty. Similarly, Thoreau’s daily attention to his bean rows — “early and late I have an eye to them” (Thoreau, 1964, p. 129) — becomes a ritual of spiritual independence. By growing his own food at Walden Pond, Thoreau turns his back on the market economy and government interference, enacting what Lawrence Buell terms an environmental “aesthetic of relinquishment”. In both texts,



beans symbolize a deliberate withdrawal from societal systems: Tao quietly resists the bureaucratic officialdom he left behind, and Thoreau pointedly critiques the cash economy and social conformity of his America. Their bean-fields are thus sites of ethical self-reliance, where sustenance and meaning are derived on the individual's own terms. This convergence aligns with Earl Miner's call for intercultural literary analysis that recognizes common human concerns without obscuring cultural distinctiveness (Miner, 1990).

Another parallel emerges in the portrayal of beans as anchors of human—nature interdependence. For Tao, the humble bean mediates between human aspiration and natural constraint. He pointedly describes how his sparse seedlings struggle amid luxuriant weeds, suggesting both vulnerability and quiet perseverance — qualities that mirror his own spiritual stance as a retiree cultivating purity in a tainted world. The bean patch is a living threshold between the recluse and the wilderness, illustrating what Clifford Geertz might describe as a symbol embedded in a “web of significance” unique to Tao's cultural setting (Geertz, 1973). Thoreau, in turn, imagines his bean-field as a literal “portion of the earth's surface” from which he draws strength “like Antaeus” (Thoreau, 1964, p. 129). In *Walden*, the beans “attached me to the earth,” Thoreau writes, underscoring how tending crops roots him physically and spiritually in the land. This entwining of farmer and field prefigures what ecocritic Timothy Morton calls the “ecological thought,” the recognition of an inextricable mesh linking human and nonhuman life (Morton, 2010). Neither author treats beans as passive foodstuffs; rather, beans become active agents through which the writers ground themselves in nature's cyclical processes. From an ecocritical perspective, both texts depict agriculture as a form of communion with the environment — an insight that modern environmental critics like Buell see as foundational to early ecological literature.

Both Tao and Thoreau also invest the bean with an aura of spiritual clarity and moral discipline. In Tao's verse, the rhythms of daily farm labor — rising at dawn to hoe, returning under moonlight — are recounted with a calm, measured cadence. This meditative repetition of humble tasks functions as a mode of self-cultivation: the poetic simplicity of Tao's language (eschewing elaborate metaphors or hyperbole) mirrors the purification of the self through rustic discipline. Each stooping to pull weeds or carrying a hoe becomes an almost ritual act, aligning with the Confucian ideal that virtue is honed through everyday practice. Thoreau's narrative of bean-hoeing likewise conveys a dual discipline of body and soul. He notes, for instance, “I cherish them, I hoe them... and this is my day's work” (Thoreau, 1964, p. 129), elevating mundane farm chores to ethical exercise. The chapter's detailed log of planting, weeding, and guarding the beans — even to the point of battling woodchucks and weeds — underscores a moral rigor in Thoreau's experiment. By devoting himself to this “small Herculean labor” of cultivating beans, Thoreau pursues what he elsewhere calls “sincerity, truth, simplicity, faith, innocence” in the guise of seeds sown in the earth. In both texts, then, the bean-field becomes a microcosm of self-discipline: a place where working the soil equates to refining one's character. As one scholar observes, Tao and Thoreau share “a reverence for daily labor as a path to ethical life” (Zhang, 2017, p. 74), suggesting a cross-cultural recognition that virtue grows out of patient, repetitive engagement with the land. This theme also resonates with symbolic anthropology's emphasis on ritual labor as meaning-making practice (Geertz, 1973), reinforcing that the significance of beans arises through the patterned actions of planting and tending.

Finally, in both works beans function as literary tools of refusal — modest symbols through which the authors contest dominant values of their respective eras. Tao's decision to cultivate beans underlies his rejection of the careerism and material ambition of court life. The simple act of farming becomes, in his poetic

framework, a gentle protest against a society mired in corruption and ambition. By growing beans in obscurity, Tao enacts the Daoist principle of “non-action” (wuwei) — a withdrawal from artificial striving that itself constitutes a moral critique. In Thoreau’s case, the bean-field is explicitly used to reject capitalist and political norms. Thoreau pointedly notes that he did not raise beans for profit or even sustenance (“not that I wanted beans to eat, for I am by nature a Pythagorean... so far as beans are concerned, whether they mean porridge or voting” (Thoreau, 1964, p. 130), humorously equating beans with ballots to signal his abstention from both commercial farming and conventional politics. He even questions his own right to tamper with the land, asking: “What right had I to oust johnswort and the rest, and break up their ancient herb garden?” (Thoreau, 1964, p. 130), thereby critiquing notions of private property and dominion over nature. Such passages show Thoreau transforming bean cultivation into a quiet act of dissent: a refusal to measure life by profit, expansion, or social approval. In both authors’ hands, the lowly bean is revalued from an insignificant crop to a symbol of principle. It becomes an anti-monument — an unassuming, regenerative sign that opposes the grandiose metrics of success endorsed by emperors or capitalists. By celebrating the bean’s very insignificance, Tao and Thoreau both undermine the prevailing hierarchies of value (wealth, power, status) and affirm integrity, humility, and harmony as superior ideals. In imagological perspective, the bean thus serves as a shared cross-cultural symbol through which each author communicates a culturally specific form of resistance (Beller & Leerssen, 2007).

In sum, the bean emerges in *Back to Country Life* and “The Bean-Field” as a polyvalent symbol embodying self-reliance, ecological attunement, spiritual clarity, and quietly radical critique. It functions not only as a literal plant but as a carefully cultivated sign — an ethical, philosophical, and aesthetic marker of each author’s chosen path of retreat. This shared symbolic repertoire confirms a deep transhistorical resonance between Tao and Thoreau: both articulate through the image of beans a universal yearning for simplicity and authenticity. At the same time, as comparative theorists remind us, such resonances do not erase difference. The very notion of a “shared language” of pastoral symbolism must be balanced with attention to divergent expressive contexts (Miner, 1990). Thus, having traced how beans signify analogous values in the two works, we must also examine how each author’s rhetoric and literary form shapes the meaning of the bean in distinctly different ways.

3.3.2 Divergent rhetorics

While Tao Yuanming and Thoreau find common ground in the symbolic significance of beans, the rhetorical strategies and literary forms through which they construct this symbolism differ markedly. These divergences arise from contrasts in genre (classical Chinese poem versus American prose essay), cultural aesthetic principles, and each writer’s relationship to language and authority. As Earl Miner’s comparative poetics suggests, each literary tradition possesses its own “originative poetics” and sensibility (Miner, 1990). In this case, Tao’s laconic pastoral verse and Thoreau’s expansive transcendentalist prose represent two distinct modes of engaging the same motif. Likewise, Clifford Geertz’s insight that meaning is embedded in cultural “webs of significance” (Geertz, 1973) reminds us that a symbol like the bean will be realized through the particular rhetorical habits of its author’s milieu. Therefore, what the bean means is inseparable from how Tao and Thoreau talk about it. In this section, the focus shifts from thematic parallels to rhetorical texture: how tone, style, and narrative stance concerning the bean-field diverge between the two works.

Tao Yuanming’s rhetoric is characterized by brevity, understatement, and rhythmic austerity. Writing in the tightly controlled form of classical Chinese verse, Tao employs a poetics of simplicity in which silence and



omission are as communicative as the spoken word. What is left unsaid often carries more weight than explicit statement. In *Back to Country Life*, the description of the bean plot is sparse: Tao merely alludes to “bean seedlings [that] are sparse” amid the thick grass (Feng, 2016, p. 98), letting the natural image imply its own significance. This economy of language reflects a broader aesthetic of naturalness (自然而然) and non-action (無為) rooted in Chinese literary tradition. The few words devoted to beans are framed in balanced, compact lines that invite reflection rather than explication. The absence of elaborate metaphor or authorial commentary is itself a rhetorical strategy — a restraint that forces the reader to intuit the moral import. As Feng (2016) observes, Tao’s style “submerges personal emotion in landscape, allowing moral vision to arise from quiet presence rather than argument” (p. 98). In other words, Tao incorporates meaning by indirection: the ethical resonance of the bean is generated through omission, allusion, and rhythm rather than through explicit exposition. The poem’s gentle cadence (e. g. the parallel couplet “I rise at dawn to clear the weeds, / Carrying my hoe home by moonlight”) mimics the cyclical motion of farm work and imparts a contemplative mood. Each poetic line becomes a unit of meditation — concise, measured, and open-ended — distilling physical labor into metaphysical insight. Tao’s rhetorical stance is one of achieved renunciation: he writes from the calm assurance of someone who has already embraced a life of retreat. The tone remains consistently tranquil and stoic, conveying an introspective certainty. In sum, Tao’s rhetorical method is to show without telling — to present the bean-field with such understated clarity that its symbolic significance (ethical solitude, resilience, purity) emerges naturally within the reader’s mind. This approach exemplifies a classical ideal of writing as “soundless poetry,” aligning form and content in a seamless expression of virtue through simplicity.

Thoreau’s rhetoric, by contrast, is expansive, layered, and overtly self-reflexive. Writing in the flexible form of a personal essay, Thoreau turns the act of bean cultivation into a discursive arena where observation, introspection, and polemic intertwine. His language is probing and often interrogative — he famously begins the chapter by asking, “What shall I learn of beans or beans of me?” (Thoreau, 1964, p. 129). This rhetorical question immediately establishes an exploratory tone: rather than presenting a settled meaning, Thoreau’s text enacts a search for meaning. Unlike Tao, who treats his agrarian retreat as self-evidently virtuous, Thoreau uses the bean-field as a philosophical stage upon which he performs doubt, irony, and insight in real time. Throughout “The Bean-Field,” Thoreau alternates between literal description and abstract musing, creating a dynamic interplay of levels of meaning. He meticulously records facts — the length of his rows (seven miles of beans), the enemies of his crop (weeds, worms, woodchucks), the tally of bushels harvested — yet he continually digresses into reflection, questioning purpose and value. For instance, after noting the beans attached him to the earth “like Antaeus,” he pointedly asks, “But why should I raise them? Only Heaven knows”, and muses that his farming was a “curious labor” undertaken as much for spiritual growth as for food. This oscillation between practicality and philosophy is a hallmark of Thoreau’s transcendentalist style, where knowledge arises through subjective immersion and frequent self-questioning rather than through received wisdom. As Chen (2021) notes, Thoreau’s prose embraces provisionality: it delights in the process of thought rather than in delivering moral certitudes. Accordingly, his tone is restless, dialogic, and experimental — at different points reverent, sardonic, rhapsodic, or skeptical. Thoreau writes in the midst of an experiment, not from the conclusion of one, so his rhetoric conveys a sense of ongoing discovery. In effect, Thoreau’s narrative voice creates meaning inductively: by piling up observations, analogies (mythic and domestic alike), and rhetorical

questions, he lets the symbolic significance of the beans accrete gradually. As the chapter progresses, beans evolve from mere vegetables to touchstones of classical myth (Antaeus), objects of market calculation (his profit of \$8.71), and finally metaphors for higher values (the “seeds” of virtue he vows to sow). This cumulative, digressive approach contrasts sharply with Tao’s terse lyric condensation of meaning. Thoreau’s essay form permits recursion and elaboration, yielding a richly layered symbolism that is absent from Tao’s spare poem. In short, Thoreau’s rhetorical mode is to tell while showing — to actively interpret and interrogate the bean-field within the text, thereby inviting the reader into the intellectual labor of finding significance. This open, often questioning style exemplifies what comparative scholars identify as the affective-expressive bent of Western Romantic and transcendental writing (Miner, 1990), in contrast to the suggestive reserve of classical Chinese poetics.

The textual form of each work further shapes these rhetorical differences. Tao’s concise five-character lines enforce a high degree of compression; meaning emerges in flashes of imagery and juxtaposition. The poetic form encourages allusive simplicity — every word is weighted, and the silence between lines speaks volumes. By necessity, Tao’s symbolism is implicit and highly concentrated. Thoreau’s prose chapter, on the other hand, is structurally open-ended. The essay form allows him to incorporate narrative, analysis, and anecdote in a single flow. He digresses into topics like local farming practices, classical literature (quoting Evelyn and Roman writers), and personal memory, all within the bean-field chapter. This breadth of content means that beans become a cumulative metaphor: they gather meaning through extended description and context, rather than standing as a single crystallized image. Indeed, Thoreau’s chapter reads as part farming journal, part sermonic allegory, and part social critique — a generic hybrid that classical Chinese poetry (with its strict formal bounds) would not accommodate. Thus, form and rhetoric coincide: Tao’s verse delivers a distilled emblem, whereas Thoreau’s essay develops a panoramic tableau of meanings around the bean. Comparative poetics underscores that each genre carries its own rhetorical possibilities (Miner, 1990); here the difference between a brief nature lyric and a verbose prose meditation is central to how the bean is portrayed and interpreted.

The authors’ tones likewise diverge, reflecting their different stances and temporal perspectives. Tao’s tone is consistently calm, earnest, and resolute. Having already made his life choice to retreat, he speaks from a place of fulfilled conviction. There is little overt doubt or inner conflict in his poem — the righteousness of his rural simplicity is assumed, not argued. The reader encounters a voice of sage-like assurance, in line with the Chinese recluse tradition, where the act of withdrawal itself confers moral authority. In contrast, Thoreau’s tone in “The Bean-Field” is exploratory and at times unsettled. He is testing his ideals as he writes, fully aware that his experiment is an open question. Thoreau can be wryly humorous (calling himself “a Pythagorean” about beans), momentarily discouraged (as when he notes the futility of planting “the seeds of virtue” that did not sprout), yet ultimately optimistic (finding moral “profit” in the labor beyond the \$8.71 earned). This tonal multiplicity — by turns ironic, earnest, and aspirational — reflects Thoreau’s temporal stance of writing in *medias res*. He composes from within the ongoing process of living at Walden, whereas Tao writes in retrospect, looking back on his choice to farm as an accomplished fact. Consequently, Thoreau’s bean-field is portrayed with dramatic tension (questions of purpose, battles with pests, uncertain outcomes), whereas Tao’s bean plot is depicted with retrospective serenity (as a realized ideal of a hermit’s life). The divergent tones underscore how each writer’s rhetoric aligns with their philosophical approach: Tao’s stoicism and subtlety versus Thoreau’s



dynamism and self-inquiry.

Finally, and critically, the two authors construct different relationships between the bean-field and social or political authority, revealing how their rhetoric serves distinct ends. Tao's apolitical posture is itself a rhetorical choice — his poem makes no direct reference to the corruption or chaos of his era, yet this very silence is a form of quiet protest. By focusing exclusively on his beans and gardens, Tao withholds validation from the court and empire he has left, enacting a withdrawal that is ethically charged but rhetorically gentle. The bean-field in *Back to Country Life* represents an alternative moral universe where imperial titles and wealth are irrelevant; Tao's restrained tone and avoidance of overt polemic exemplify what symbolic anthropologists might call a "cultural performance of dissent" — protest by means of lifestyle and aesthetic distance rather than confrontation. Thoreau, however, engages in a far more explicit critique of his society even within the bucolic setting of the bean-field. His rhetoric directly tackles issues like economic values and property rights. For example, he mocks the profit motive by meticulously calculating his farming expenses and concluding with only a small profit — a satirical nod to the absurdity of measuring life by monetary gain. He also pointedly satirizes Americans' preoccupation with "busy about their beans" to the neglect of higher virtues. Moreover, Thoreau uses the bean-field episode to stage a kind of symbolic civil disobedience. In one revealing aside, he remarks that he exchanged his beans "for rice" and did not care for them "to eat" because he was "by nature a Pythagorean... as far as beans are concerned, whether they mean porridge or voting" (Thoreau, 1964, p. 130). Here Thoreau playfully equates beans with ballots, implying that his farming is as much a rejection of politics (electoral participation) as it is of commerce — a bold assertion of individual principle over collective norms. Additionally, when woodchucks and weeds encroach on his plot, Thoreau pointedly questions his moral right to claim the land ("what right had I to oust" the wild plants, *ibid.*), revealing a stance of ecological egalitarianism that subverts human authority over nature. Such moments render the bean-field a microcosm of Thoreau's resistance to social and governmental expectations. Indeed, the values Thoreau practices among the bean rows — simplicity over wealth, principle over conformity, personal conscience over law (recall that during his Walden years he was jailed for refusing to pay a poll tax) — parallel the ethos of his later essay *Civil Disobedience*, though *Walden* conveys them through metaphor rather than manifesto. In the bean-field, Thoreau enacts a form of lived protest: by literally "voting" with his hoe for a different way of life, he transforms agricultural labor into a statement of autonomy and reform. His rhetoric in this context is confrontational in a subtle way — couched in pastoral narrative yet cutting in its challenge to capitalism and government. As a result, Thoreau's bean-field embodies what one critic calls a "microcosm of civil disobedience" (Chen, 2021, p. 134), a space where cultivating one's own values necessarily defies the status quo. Tao's bean plot, conversely, is more a microcosm of detachment — a space of inner purity that stands apart from the worldly realm rather than openly opposing it.

To encapsulate, while the symbolic import of beans as a medium of simplicity and integrity is shared by Tao Yuanming and Henry Thoreau, their rhetorical executions diverge profoundly. Tao's minimalist, allusive, and serene style reflects an indigenous Chinese poetics of withdrawal — conveying meaning through suggestion, balance, and the unsaid. Thoreau's rich, interrogative, and often iconoclastic style reflects a Transcendentalist poetics — constructing meaning through analytical depth, personal engagement, and open challenge to the reader. These divergent rhetorics are a reminder that even a common natural symbol is refracted through the prism of culture and genre. The bean-field, as a literary image, is molded by the tools of language: Tao's tightly

structured quatrains yield a timeless epiphany of agrarian virtue, whereas Thoreau's sprawling prose yields a dynamic debate about human purpose. This comparison thus underscores the necessity of a cross-cultural methodology that balances shared themes with stylistic particularity. By attending to both the universal and the particular — the symbolic affinities and the formal differences — we gain a richer understanding of how Tao and Thoreau each turn the planting of beans into a profound statement on life, each in his own idiom. This approach accords with modern comparative frameworks (Miner, 1990; Beller & Leerssen, 2007) that encourage us to see literature as a dialogue between distinct traditions, where similar motifs are realized through different narrative arts. Ultimately, appreciating these divergent rhetorics enhances our insight into the texts' deeper cultural meanings, revealing how a single natural image can be orchestrated into different aesthetic experiences — one a meditative poem of resignation, the other an exploratory essay of rebellion — yet both achieving a resonant critique of civilization through the evocative figure of the bean.

4. Conclusion

This study has explored the symbolic significance of beans in Tao Yuanming's pastoral poetry *Back to Country Life* and Thoreau's The Bean-Field chapter from *Walden*, uncovering both convergences and divergences in their representation of self-sufficiency, ecological intimacy, and personal withdrawal from society. Both authors transform the bean from an agricultural detail into a moral emblem, but they reach this end by different rhetorical routes—Tao through poetic minimalism and moral certainty, Thoreau through essayistic elaboration and philosophical inquiry. The shared symbolism highlights a transhistorical resonance between two thinkers who, despite their spatial and cultural distance, envision agricultural labor as a form of spiritual cultivation and ethical resistance.

This research contributes to comparative literary studies by shifting attention from generalized themes such as “reclusion” or “pastoral life” toward a focused analysis of one concrete symbolic image. Unlike prior scholarship that emphasizes overarching natural philosophies (e. g. , Zhang, 2017; Zhao, 2024), this study foregrounds the rhetorical and narrative mechanics through which symbolism operates at the level of language, form, and voice. By centering beans—a humble, even overlooked figure in symbolic criticism—this paper establishes a cross-cultural channel of meaning-making grounded not in abstract ideology but in the tactile, embodied experiences of labor and land. This approach opens new possibilities for examining how the symbolic richness of everyday life transcends national and generic boundaries.

The findings invite broader reflection on how literary texts use the quotidian to frame alternative ethical systems. Both Tao and Thoreau reimagine agriculture as a philosophical experiment, wherein meaning arises not through productivity but through lived engagement with the material world. This reading reinforces the importance of rhetorical texture in symbolic analysis and suggests that future comparative work would benefit from attending not only to thematic parallels but to how symbolism is narratively constructed and tonally shaped. In doing so, we also expand the discourse on ecocriticism and transcendentalism beyond dominant Western paradigms, embedding it in a global literary conversation.

Admittedly, this study focuses on only two canonical texts and a single symbolic motif, which limits its scope. Further research might expand the corpus to include additional agrarian or ecological figures in East-West



literature, or examine how food-related imagery operates in non-literary genres such as political writing, memoir, or religious texts. Another promising direction would be to analyze reader reception across cultures to determine how symbolic figures like beans are interpreted differently in various linguistic and philosophical traditions. Nonetheless, by grounding analysis in concrete rhetorical practice, this study lays a foundation for future inquiry into the shared symbolic vocabularies that link human beings across time, place, and ideology.

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The Impact of the “Kong Yiji Literature” Phenomenon on Youth Employment Outlook in the Context of Youth Subculture

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Abstract: “Kong Yiji Literature” represents a new form of youth subculture emerging under contemporary social pressures. Its core lies in the youth group’s utilization of classic literary symbols from Lu Xun to express their real-world anxieties and identity dilemmas through self-deprecation. “Kong Yiji Literature” and youth subculture exhibit relationships across different dimensions in terms of expression forms, generative logic, and psychological mechanisms. By appropriating classical literary symbols, young people adopt self-mocking expressions to reconcile the gap between ideals and reality, collectively responding to structural contradictions. The shaping of employment perspectives faces multifaceted pressures from slowing economic growth, intergenerational expectations, and policy adjustments. A collaborative guidance framework can be established, integrating individual competence-based cognition, practice-oriented university training systems, comprehensive social employment support chains, and culturally immersive communication, to empower youth in reconstructing values through deconstruction. This approach facilitates the creative transformation of intellectual capital and enables progressive professional development.

Keywords: Youth subculture; Kong Yiji literature; youth employment outlook

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青年亞文化視域下「孔乙己文學」現象 對青年就業觀影響研究

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摘 要:「孔乙己文學」是青年亞文化在當代社會壓力下的新形態,其核心是青年群體借助魯迅經典文學符號,以自嘲方式表達現實焦慮和身份困境。「孔乙己文學」和青年亞文化之間的表達形式、生成邏輯和心理機制方面呈現出不同維度間的關係。這類現象折射教育內卷與資本邏輯下的勞動異化困境,青年群體借助經典文學符號,採用自嘲式表達消解理想與現實的落差,形成對結構性矛盾的集體性回應。就業觀形塑受制於經濟增速放緩、代際期待與政策調節的多重壓力,可構建個體能力本位認知、高校實踐型培養體系、社會全鏈條就業支持與文化浸潤傳播的協同引導路徑,推動青年在解構中重構價值,實現知識資本的創造性轉化與漸進式職業發展。

關鍵詞:青年亞文化;孔乙己文學;青年就業觀

基金項目:上海理工大學「2024 年度上海理工大學尚理晨曦社科專項(重點)」(編號:1F-24-106-001)《青年亞文化視域下「孔乙己文學」現象對青年就業觀影響研究》。

一、引言

信息技術的深度滲透重構了當代青年的精神圖景,傳統文學意象在網路空間的重構與解構,逐漸演化成具有時代特徵的群體表達。「孔乙己文學」從魯迅筆下的經典角色蛻變為社交平臺高頻傳播的暗語,「長衫」被賦予學歷枷鎖的隱喻,這種文化符號的裂變背後,潛藏著青年群體對現實困境的集體叩問^①。國家統計局 2023 年一季度數據顯示,19.6%的城鎮青年失業率不僅創下歷史峰值,更折射出高等教育普及化時代「知識型失業」的結構性矛盾^②。

從青年亞文化視角審視,孔乙己文學的流行標誌著青年價值表達範式的轉變。其以網路模因傳播為載體,利用反諷、自黑等修辭策略,構建起抵抗主流規訓的話語體系。這種亞文化實踐既映射著青年對學歷通脹、就業內卷的無奈,也暴露出部分群體在職業選擇中「高學歷低就業」的認知偏差與自我認同危機。深入剖析這一文化符號與就業觀的互動機制,既是回應「青年強則國家強」的時代命題,更是探索青年社會化過程中價值引導路徑的迫切需求。

二、青年亞文化的內涵與特徵

青年亞文化是特定社會群體利用符號實踐構建的文化系統,其本質在於青年群體對主流文化的差異化表達,實現對社會主流價值的協商、抵抗或重構。在資本邏輯與權力規訓交織的現代社會中,青年亞文化既是一種文化身份的表徵,也是一種對抗結構性矛盾的柔性抵抗工具。這種內涵與特徵可以從抵抗性、戲謔性以及群體認同建構三個方面來結構。



第一,青年亞文化的抵抗性並非傳統意義上的暴力對抗,而是運用文化符號的象徵性解構,消解主流價值體系的權威性。這種抵抗植根於青年群體在社會資源分配、身份認同中的結構性困境。以「躺平」「擺爛」等話語解構奮鬥敘事,實質是對階層固化與勞動異化的隱性批判。伯明翰學派提出的「儀式抵抗」理論,揭示了青年以風格化符號(如特定語言、服飾)劃定群體邊界的現象。數字時代的抵抗更趨隱性,青年借助虛擬社群的互動規則與話語體系,構建獨立於主流的價值判斷標準。

第二,戲謔性是青年亞文化區別於其他文化形態的顯著表徵,其本質是解構嚴肅性實現情感共鳴與意義再生產。巴赫金的「狂歡化」理論揭示,戲謔的本質是建立「顛倒的世界圖景」,以暫時消解等級秩序。青年群體將現實壓力轉化為「發瘋文學」「陰陽怪氣」等語言狂歡,以反諷、拼貼等手法消解權威話語的崇高性。這種表達方式既是對工具理性社會的反思,亦是對個體生存焦慮的自我療愈。在「萬物皆可梗」的戲謔中,將複雜的結構性矛盾簡化為可傳播、可消費的文化符號,既釋放了負面情緒,又使邊緣群體獲得表達空間。

第三,在高度流動的現代社會中,青年利用共用的亞文化符號打破現實社交壁壘,形成基於趣緣的虛擬共同體,在身份焦慮中尋求歸屬感。法國學者德塞圖強調,日常生活中的戰術實踐使弱勢群體借助文化消費重構身份認同。亞文化社群的互動模式重構了人際聯結方式,使青年在虛擬空間中完成從孤獨個體到意義共創者的身份轉換。這種認同建構兼具防禦性與創造性:既區隔主流文化維護群體獨特性,又借助集體創作拓展文化表達的邊界。

三、「孔乙己文學」現象的生成邏輯

總體而言,從「孔乙己文學」現象的生成邏輯來看,多重社會矛盾在青年亞文化中呈現出具象化趨勢。

矛盾維度	具體表現	青年亞文化回應
教育期待落差	精英教育轉向大眾化,但社會仍灌輸「讀書=跨越階層」的單一敘事	對「學歷無用論」的戲謔解構
評價體系衝突	應試教育強調「績優」,社會卻需求多元能力	用「孔乙己」諷刺教育功利化與就業脫節
尊嚴分配失衡	體力勞動者物質與精神雙重弱勢	拒絕「脫長衫」實為抗拒尊嚴

表 1 青年亞文化中的多重社會矛盾

社會結構性矛盾的折射表現在教育內卷與學歷貶值和資本邏輯下的勞動異化两个方面。从教育內卷與學歷貶值来看,教育系統的規模化擴張與勞動力市場的彈性收縮,共同構成了孔乙己文學滋生的土壤。高校擴招在提升國民教育水準的同時,也加速了人力資本邊際效益的遞減。當文憑供給超越產業升級的需求閾值,形成學歷高消費與崗位低匹配的斷裂,傳統教育體系培養的認知框架,在數字經濟主導的靈活用工市場中遭遇解構危機。从資本邏輯下的勞動異化来看,平臺經濟利用演算法控制、彈性雇傭等機制,重構勞動形態,將勞動異化為可計量的數據指標,青年陷入「脆皮青年」(高強度低保障)與「祥子困境」(勞動價值被剝削)的雙重擠壓。在「996 工作制」、靈活就業等新型剝削中,青年體驗到知識資本與勞動價值的割裂,與孔乙己^③「越堅守長衫越被邊緣化」的悲劇形成歷史呼應,折射出資本擴張對勞動價值的系統性剝奪。

青年群體的心理機製錶現在相對剝奪感的強化和自我認同的斷裂危機兩個方面。相對剝奪感的強化指的是,當教育承諾的「知識改變命運」遭遇現實挫敗,青年群體產生強烈的認知失調。社會比較理論揭示,利用橫向(同輩競爭)與縱向(代際期待)的參照系,感知學歷優勢與職業境遇的落差。當「高學歷—低收入」成為普遍現象,相對剝奪感從個體焦慮昇華為代際集體創傷。孔乙己文學運用自嘲消解理想與現實的落差,實則是以反諷姿態控訴社會資源分配的不公。自我認同的斷裂危機指的是,知識份子的傳統身份建



構依賴於學以致用的價值鏈條，而職業市場的結構性擠壓使青年陷入身份懸浮。吉登斯提出的「本體性安全」理論強調，當個體無法在既定社會框架內確認自我價值時，將產生深層的存在性焦慮。孔乙己文學中的知識誤用感正是這種危機的文化投射——長衫既是尊嚴的象徵，也成為束縛行動的枷鎖^③。

另外，由於網路媒介的催化作用，平臺借助用戶畫像與協同過濾技術，精準推送學歷焦慮、就業困境相關內容，形成資訊繭房，不斷強化「努力無效」的認知閉環。負面情緒在演算法助推下實現跨圈層擴散，使個體困惑昇華為群體性共鳴，完成從私人困擾到公共議題的轉化，而孔乙己的經典形象的再詮釋，恰恰契合了情感動員邏輯。青年群體既利用戲謔表達獲得短暫的情緒釋放，又不自覺地在演算法助推下陷入認知固化的惡性循環。

四、「孔乙己文學」對青年就業觀的影響

青年亞文化視閥下的「孔乙己文學」現象揭示了當代青年在教育異化與尊嚴政治擠壓下的精神困境。它既是青年亞文化對結構性矛盾的詩意抵抗，也是對社會改革的迫切呼告。青年終將在自嘲後走向行動，但社會能否從這面扭曲的鏡子中照見改革之需，才是關係未來的關鍵。尤其在當下就業情況不確定性因素不斷增大的環境下，給青年就業觀帶來的機遇和挑戰就愈加明顯。

（一）「孔乙己文學」現象給青年就業觀帶來的機遇和挑戰

從帶來的機遇來看，批判性反思的觸發的積極影響在不斷顯現。通過對教育體制與社會分工的再思考，客觀上推動了青年對教育體制與社會分工的深度反思。「長衫困境」的集體討論，青年開始質疑學歷教育的單一評價體系，重新審視職業選擇中精神適配度與經濟回報的關係。這種反思促使部分群體突破「唯學歷論」的桎梏，探索技能型、多元化的就業路徑。這種積極影響還帶來了群體共鳴帶來的心理療愈作用。網路空間的群體共鳴形成心理緩衝帶：自嘲式表達弱化了個體孤獨感，使青年在虛擬社群中獲得情感支持，暫時緩解現實壓力。這種療愈並非消解行動力，反而成為凝聚社會共識的契機，推動公共議題從情緒宣洩轉向制度性反思。

從出現的挑戰來分析，消極影響帶來的認知偏差的強化也不容小覷。首先，「孔乙己文學」現象帶來了宿命論心態的蔓延。孔乙己文學的蔓延無形中重塑了青年對職業發展的理解框架。當結構性困境被濃縮為「脫不下的長衫」這類符號化表達，原本複雜的社會矛盾被簡化為個體命運的必然性，催生出努力無效的宿命論心態，進一步強化了青年對系統壓迫的無力感。這種認知偏差使個體將就業困境歸咎於學歷原罪，消解了突破結構限制的主體性動力。其次，「孔乙己文學」現象造成了職業信心的系統性坍塌。布迪厄的「符號暴力」理論揭示，文化符號可運用隱性規訓塑造認知框架。孔乙己符號的反復傳播，無形中構建了「知識—失業」的虛假因果鏈，加劇青年對職業市場的信任危機。當勞動價值被簡化為「長衫能否脫下」的二元選擇時，職業規劃退化為生存策略，行動邏輯從價值創造滑向風險規避，形成自我實現的消極預言。

（二）青年就業觀維度分析

外部因素的交織作用，使得青年就業觀的形塑始終嵌套於多重力量的博弈場域。經濟增速放緩加劇了職業發展的不確定性，傳統行業的收縮與新興產業的波動共同壓縮了青年的選擇空間，而就業政策在穩存量與拓增量間的平衡難度，進一步放大了理想與現實的落差。家庭代際傳遞的精英期待則構成另一重張力，不僅加劇了青年的身份焦慮，更使其在滿足社會期待與追尋自我價值的撕扯中陷入決策僵局。

在價值觀念的衝擊方面，「孔乙己文學」反映出年輕人對「讀書改變命運」這一傳統價值觀的懷疑。搜索

結果中提到,隨著高校畢業生數量從 2000 年的 95 萬增長到 2023 年的 1158 萬,學歷貶值現象嚴重。這導致年輕人開始質疑高等教育的價值,甚至出現了「讀書無用論」的苗頭。

在職業選擇的轉變方面,「孔乙己文學」促使年輕人重新思考職業選擇標準。一些年輕人選擇「脫掉長衫」去從事傳統上認為低層次的工作,如賣盒飯、擺地攤等。這種轉變反映了年輕人從追求體面工作到尋求工作與生活平衡的轉變。例如,有兩位傳媒大學女碩士選擇在火鍋店做保潔,以及北大才子陸步軒投身豬肉行業。

在就業心態的變化方面,「孔乙己文學」既是一種自嘲宣洩,也反映出年輕人就業焦慮的加劇。資料顯示,2023 年青年失業率高達 19.6%,導致年輕人求穩心態明顯增強,更多人選擇考公務員或進入國企。本科生在就業市場處境最為尷尬,處於夾縫生存狀態。

在社會認知的調整方面,「孔乙己文學」現象促使社會反思教育體系和就業環境的問題。代表委員建議不得隨意拔高用人學歷要求,呼籲保障藍領勞動者的權益。這反映了社會對職業等級觀念的重新審視。

五、「孔乙己文學」造成的就業困境破解維度分析

為了「孔乙己文學」造成的就業困境,我們可以通過以下四種主體責任的核心任務來進一步探索破解之法。

責任主體	核心任務	實踐案例
社會層面	構建公平就業環境	禁止用人單位隨意拔高學歷門檻
高校層面	銜接教育與市場需求	強化實踐教學,設立轉行技能培訓
企業層面	優化勞動權益保障	落實社保全覆蓋,消除「996」亂象
個體層面	重構職業價值觀	平衡理想與現實,探索「晴耕雨讀」模式

表 2 四種主體責任的核心任務

從社會層面來看,首先要完善就業支持體系。政府應完善「職業培訓-就業服務-權益保障」全鏈條支持。針對平臺經濟從業者,建立靈活就業社會保障帳戶,將外賣騎手、網約車司機等納入工傷保險覆蓋範圍。推行數字技能提升計畫,為傳統行業勞動者提供人工智能工具使用培訓。設立新職業孵化基金,對綠色經濟、銀髮產業等領域的創業專案給予稅收減免與場地支持,創造更多學歷友好型崗位。其次,要明確分配正義的制度性回應。文憑通脹本質是知識階層內部的無序競爭。需運用信號篩選機制改革(如推行職業技能等級認證)、壟斷行業准入門檻調整等措施,重建「學歷—能力—報酬」的合理關聯。同時,擴大公共部門對非名校畢業生的招募比例,打破學歷出身論的隱形歧視。第三,要做好媒體敘事與輿論引導。主流媒體需構建多元成功的話語體系,利用紀錄片、公益廣告等載體,展現大國工匠、鄉村創客等非傳統精英群體的奮鬥故事。開發「就業心態矯正」演算法模型,對短視頻平臺上的「喪文化」「擺爛文學」進行流量限制,同時推送技能逆襲、職業轉型等正向內容。建立「輿情預警-正向引導-政策解讀」的聯動機制,在孔乙己文學等熱點事件中及時注入理性聲音。

從高校層面來看,首先要對職業教育價值觀進行重塑。高校需打破精英化培養慣性,建立分層分類的職業教育體系。在課程設置中嵌入勞動教育模組,積極開展校企合作專案、基層實踐調研等,讓學生親歷學歷與能力的轉化過程。例如,組織管理類專業學生參與縣域企業數位化轉型專案,使其理解「學歷是敲門磚,實踐是試金石」的現實邏輯。同時,建立職業導師制,邀請新興行業從業者分享職業發展路徑,消解專業



對口的刻板認知。第二,要對實踐能力的系統化培養。構建「理論-實訓-就業」閉環培養模式,將職業資格認證融入學分體系。針對數字經濟需求,開設數據分析、數字行銷等通識課程;聯合行業協會開發微證書專案,如短視頻運營師、AI 訓練師等,增強就業競爭力。建立「失敗學分」制度,鼓勵學生利用創業試錯、專案競賽積累經驗,將挫折轉化為成長資源。第三,做好青年亞文化的正向引導。將「孔乙己文學」的戲謔表達轉化為公共討論的契機,採取脫口秀辯論會、社會創新大賽等形式,引導青年在解構中重構價值。支援創作新職場文藝作品,如《平凡的榮耀》《我在他鄉挺好的》等影視劇,展現知識青年在基層治理、鄉村振興中的成長軌跡。培育「職業社群文化」,鼓勵青年開展讀書會、技能交換小組等線下活動,構建基於專業認同的社交網路。第四,推進主流價值的浸潤式傳播。主流文化應摒棄教條式宣傳,採用軟傳播策略,在文化遺產活化利用中嵌入就業觀教育,如《我在故宮修文物》,構建多元成功樣板,使青年感知冷門專業的社會價值。推動榜樣話語的平民化轉向,聚焦普通青年的成長故事,用漸進式奮鬥替代逆襲神話。借助傳統文化資源「三百六十行,行行出狀元」等理念進行現代表達,增強價值認同的歷史縱深感,激發學習內驅力。

從企業層面來看,首先要精準崗位開發與動態調整。結合國家戰略(如數字經濟、綠色經濟)和區域產業需求,增設資料標注、大模型訓練等新興崗位。第二,優化實習與預就業機制。企業提供寒暑假實習崗位,並配套實習津貼或轉正承諾。第三,要優化勞動權益保障。通過擴崗補助、社保補貼等方式,讓青年再就業是得到進一步保障。對低保家庭、零就業家庭畢業生實行「一人一策」,優先推薦崗位並減免培訓費用。第四,職業成長通道設計。在學生正式就業前夕,提供寒暑假實習崗位,並配套實習津貼或轉正承諾;正式就業之後,對職業路徑選擇和優化,為畢業生提供清晰的晉升路徑方面的指導,增加員工企業忠誠度。

從個體層面來看,首先要青年需突破學歷本位的單一評價體系,建立能力本位的動態職業認知框架,既承認高等教育對認知能力、批判思維的奠基作用,又警惕學歷異化為身份枷鎖。借助職業測評、生涯規劃課程等工具,系統評估個人興趣、技能與市場需求的匹配度,在學歷溢價與技能稀缺性之間尋找平衡點。例如,將「長衫困境」轉化為能力遷移的契機——文科生可依託文字功底轉向新媒體運營,理工科生利用跨學科學習切入人工智能倫理領域,實現知識資本的創造性轉化^④。其次,進一步提高認知。網路空間中片面化的職業敘事、情緒化的成功案例、演算法推薦製造的認知資訊,都在扭曲真實的職業圖景。這要求青年建立資訊免疫系統,既保持對結構性問題的清醒認知,又避免陷入受害者敘事的自我矮化,在公共討論中實現從情緒宣洩到理性對話的範式轉換。第三,開闢在地化就業新賽道。青年向二三線城市、西部下沉趨勢明顯。政策驅動與新產業機遇提供了替代方案,部分青年通過地域轉換實現身份焦慮緩解。

六、結語

青年亞文化借助符號實踐解構主流價值,以孔乙己文學形成對學歷貶值與勞動異化的柔性抵抗,既強化認知偏差又觸發批判反思,揭示了青年就業觀在結構矛盾與媒介催化下的複雜形塑機制。未來可探究代際公平、技能反覆運算與職業倫理重構的協同路徑,建立更具包容性的社會支持系統,推動構建理性就業生態。孔乙己文學是青年對教育異化與職業尊嚴危機的創造性回應。它既解構了舊有職業等級觀,推動多元就業探索;也暴露轉型期結構性矛盾——當「穿長衫」(學歷內卷)與「脫長衫」(尊嚴焦慮)成為同一問題的兩面時,根本出路在於:第一,社會層面:打破職業歧視鏈,完善藍領權益保障,使勞動回歸價值本源;第二,個體層面:超越「體面陷阱」,如伏爾泰所言「迅速跨越荊棘」,在實踐整合中重建身份認同。青年的自嘲終將指向行動,而社會能否將這種文化症候轉化為制度改革的鏡鑒,將決定「後孔乙己時代」就業觀的真正走向。只有這樣,新的青年一代才可以重塑正確和積極的就業觀,整個社會價值鏈體系才能重新回歸理性方向。

注釋

- ① 覃思惠,梁昱:《「孔乙己文學」視域下青年價值觀塑造的挑戰及其應對》,《廣西科技師範學院學報》,2024年第1期,頁77-84。
- ② 朱雅麗,徐向陽:《青年亞文化視域下「孔乙己文學」現象探赜》,《西安建築科技大學學報(社會科學版)》,2024年第2期,頁85-91。
- ③ 黃文靜:《表徵·生成·調適:當代青年「孔乙己文學」的現實省思》,《高校輔導員》,2024年第4期,頁29-33。
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A Glimpse into Yang Xiong's *Dharma Discourse* on the Thought of the Music School

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Abstract: In his *Dharma Discourse*, Yang Xiong systematically expounded the concept of music education centered on rites and music, emphasizing that rites and music are not only the external manifestations of social norms but also the key forces in shaping human nature and internalizing morality. Yang Xiong advocated the transmission of moral emotions through music, opposed the “Zheng Wei Music” that merely pursued sensory pleasure, and promoted the elegant and upright music of “only correct listening”, demonstrating his profound insight into the relationship between art and morality. Yang Xiong inherited and developed the Confucian tradition of music education, emphasizing that education should inspire people’s self-awareness rather than force it. In terms of thought, he integrated sensory experience with rational reflection. Yang Xiong’s thought on music education not only enriched the Confucian educational theory but also provided support for the reconstruction of the ritual and music system in the Han Dynasty, possessing profound ideological significance and practical value.

Keywords: Yang Xiong; *Dharma Discourse*; The idea of “Joyful Teaching”

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揚雄《法言》中之樂教思想窺探

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摘 要:揚雄在《法言》中系統性地闡釋了以禮樂為核心之樂教理念,強調禮樂不僅是社會規範的外在體現,更是塑造人性、實現道德內化之關鍵力量。揚雄主張通過音樂傳遞道德情感,反對僅追求感官愉悅的「鄭衛之音」,提倡「惟正之聽」的雅正音樂,體現其對藝術與道德關係的深刻洞察。揚雄繼承併發展了儒家樂教傳統,強調教化應激發人的自覺而非強制推行,思想上融合了感性經驗與理性反思。揚雄的樂教思想不僅豐富了儒家教化理論,也為漢代禮樂制度的重建提供了支撐,具有深遠的思想意義和現實價值。

關鍵詞:揚雄;《法言》;樂教思想

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一、引言

樂教,即「以樂為教」,是儒家提倡的一種教育方式,意將深層次的文化內涵融入音樂之中,利用其優美且富有意義的形式,傳達道德、情感、思想等,對古代不同階級的人產生潛移默化的影響。樂教與禮教在中國古代相輔相成,在施用上強調禮樂並舉、優於刑法的觀點,並賦予了音樂較高的道德價值,甚至將其提升到了治國理政的高度。樂教的起源可追溯至三皇五帝時期,當時音樂主要用於巫術或宗教儀式,旨在祈求庇護和避免災難。夏商時期的音樂逐漸世俗化,並開始作為娛樂活動的一部分。周代進一步發展了音樂的功能,用以培養民眾的道德倫理修養和社會關係意識,實現從宗教功能向人文關懷的轉變。隨著西周覆滅和平王東遷,樂教逐漸失去了官方的支持,但在春秋末期眾多賢士大夫重新審視了音樂的意義。孔子對傳統禮樂教化有深刻洞見,致力於周代禮樂體系的復興,為後世奠定了堅實基礎。孔子後,儒家學者孟子、荀子繼承併發展了孔子的樂教思想,尤其是樂教在道德倫理方面的核心價值。

儒家文化天人合一出發,認為自然與人本來就是一體的、不可分離的,故人應以與自然合一為最高理想。隨著發展,漢朝漢武帝時期的董仲舒提出了「罷黜百家,獨尊儒術」的政策建議,賦予音樂新的生命力,使得樂教成為國家禮樂制度恢復與完善的基石。叔孫通、陸賈、賈誼等人在漢初至漢武帝期間致力於重建國家層面的禮樂制度,重視樂教思想的傳承與發展。揚雄在《法言》等著作中認為人性中善惡並存,不可任其自由發展,必須有社會性約束以引導人們棄惡揚善。在實施的過程中,是引導而非壓制的人性化教化方法,採取的禮樂在教化過程中被比喻為書寫之筆、言談之舌,其價值無可替代。

二、禮樂是形塑人性的無形力量

禮樂是社會規範的表現形式,也是傳達道德價值的重要媒介。其核心在於通過音樂和舞蹈來傳達道

德、情感、思想等深層次的文化內涵,利用特殊的形式對民眾產生潛移默化的影響。樂教則是將這種教育方法具體化,強調「以樂為教」,即通過音樂和舞蹈傳達道德、情感、思想等,實現對人的教化作用。因此,樂教是禮樂在教育領域的應用和發展,通過藝術手段提升個人的道德水準和社會的整體文明程度。禮樂為樂教提供了理論基礎和實踐內容,而樂教則通過具體的教育過程使禮樂的精神得以廣泛傳播。例如《樂記》中提到「德生禮,禮生樂。」表明德行是禮樂產生的根源,而禮樂又是德行的具體體現。樂教通過音樂的藝術表現力,使抽象的道德觀念變得生動形象,易於接受;同時強化了禮樂的社會功能,促進了社會秩序的穩定和諧。揚雄作為西漢末年的士子,主張使用禮樂作為教化的手段,以維護社會等級和綱常倫理,與秦朝採用的嚴刑峻法形成鮮明對比。揚雄認為通過引導而非壓制的方式塑造人性,促使人們自發地棄惡從善,能有效促進社會的和諧穩定。漢代初期,董仲舒等儒家學者強調了禮樂的教化功能,雖然揚雄也有繼承,但其主要是從「塑人」的角度窺探受教育者的感受。在《法言》中,揚雄認為通過禮樂的學習和實踐,人們不僅能理解社會規範,還能將規範內化為自身的行為準則。揚雄提出了非強制性的教化方式,宣導一種符合人性的教育方法,不僅尊重人的內在心理機制,而且能夠有效地促進社會和諧穩定。

在《法言》中,揚雄明確反對莊子主張的「不見可欲,使心不亂」「絕聖棄智」的觀點,認為這種思想過於消極,忽視了感性經驗在修身養性中的重要作用。同時,他也反對秦朝的感性認識,認為耳目見聞在修性過程中具有必要性和有效性,感性經驗才是個體修養的基石。《法言》記載:「太古塗民耳目,惟其見也聞也。見則難蔽,聞則難塞。」曰:「天之肇降生民,使其目見耳聞,是以視之禮,聽之樂。如視不禮,聽不樂,雖有民,焉得而塗諸。」(揚雄,2012:100)揚雄主張上天賦予人類視聽能力,本質是為使人通過「視禮聽樂」接受教化;若禮樂制度本身崩壞,則任何形式的感官遮蔽都將失效。可見,禮樂教化實效性取決於內容是否符合天道人倫。

揚雄還提到:「維天肇降生民,使其貌動、口言、目視、耳聽、心思,有法則成,無法則不成。」(揚雄,2013:242)揚雄認為人的感官與思維是天賦予的基本能力,認知活動必須遵循「法則」,將「成」作為認知的終極目的,體現儒家的認知邏輯。但揚雄不同於儒家的思想,明確提出「尚智」。或問:「人何尚?」曰:「尚智。」曰:「多以智殺身者,何其尚?」曰:「昔乎皋陶以其智為帝謨,殺身者遠矣;箕子以其智為武王陳《洪範》,殺身者遠矣。」(揚雄,2012:148)揚雄在《法言》中突破傳統儒家框架,明確提出「尚智」主張。針對「智多害身」的質疑,通過皋陶獻謀、箕子陳《洪範》兩個歷史案例,論證真智具有治國安邦與保全生命的雙重價值,將「智」提升為超越道德教化的獨立維度,形成漢代儒學認識論的重要突破。具體而言,「多聞則守之以約,多見則守之以卓。寡聞則無約也,寡見則無卓也」(揚雄,2012:49)「多聞見而識乎正道者,至識也;多聞見而識乎邪道者,迷識也。」(揚雄,2012:172)揚雄的認知論強調「尚智」與知行統一,主張通過「多聞見」積累經驗,以「約和卓」提煉真知,反對空疏寡聞;同時以「正道」為價值標準,區分「至識」與「迷識」。其創新性在於將皋陶、箕子的歷史案例作為「智以全生」的實證,突破儒家道德優先傳統,形成漢代儒學中獨特的經驗理性主義思想體系。或曰:「力有扛洪鼎,揭華旗。知、德亦有之乎?」曰:「百人矣。德諧頑嚚,讓萬國,知情天地,形不測,百人乎?」(揚雄,2012:397)揚雄表達了智與德同等重要的觀點,承認人在見聞思維和道德修養方面的雙重能力。對於不能正確理解和應用所見聞事物的人,揚雄稱之為「迷識」。他認為如果人們的認知偏離了正確的方向,則會得到錯誤的結論。揚雄宣導人們應運用自身的理性去洞察世界,彰顯其對學問與教育的重視,以及對人類能夠向善去惡的堅定信念。

綜上,揚雄認為君主應當審慎地引導民眾接觸具有教化意義的事物,而不是簡單地限制他們的感官經驗。通過這種方式,禮樂不僅能滿足人的感性需求,還能潛移默化地提升人們的道德素質,進而促進整個社會的和諧穩定。

三、情感與行為是樂教的外顯

揚雄在《法言》中對教化過程中個體的情感問題也有闡述。他不僅對音樂所承載與傳達的情感類型作出了明確界分,更將儒家樂教傳統溯源至孔子時代,認為道德情感在樂教體系中的基礎地位。揚雄進一步辨析了兩類音樂實踐:一是源於自然情感之喜的音樂活動,二是以道德教化為旨歸的真正意義上的「樂教」行為,從而在情感維度上深化對禮樂教化的理解。

揚雄認為,樂教的核心在於通過音樂傳達道德價值,而非僅僅追求感官上的愉悅,對僅僅追求藝術享受而缺乏道德內涵的鄭衛之音提出了批評。《法言》中『或曰:「君子聽聲乎?」曰:「君子惟正之聽。荒乎淫,拂乎正,沈而樂者,君子不聽也。』』(揚雄,2012:179)

揚雄意在強調君子對音樂的聆聽並非感官享受,而是以道德理性為準則進行選擇。他認為,唯有合於「正」道之聲,方為君子所聽;而那些沉溺於淫侈、悖逆禮義、使人流連忘返的音樂,則被明確排斥在外。例如在討論賦這種文學形式時,揚雄所言:或問:「景差、唐勒、宋玉、枚乘之賦也,益乎?」曰:「必也淫。」「淫、則奈何?」曰:「詩人之賦麗以則,辭人之賦麗以淫。如孔氏之門用賦也,則賈誼升堂,相如入室矣。如其不用何?」(揚雄,2012:33)揚雄對賦體文學的價值提出辨析,認為景差、唐勒、宋玉、枚乘等人之賦雖辭藻華麗,然其內容流於豔麗放縱,故曰「淫」。他區分「詩人之賦」與「辭人之賦」,前者兼具文采與法度,後者則徒逞辭藻而失其道德旨歸。揚雄以「賈誼升堂,相如入室」喻指若依儒家價值標準衡量賦之高下,則賈誼、司馬相如等方為典範,強調文學創作應合於禮義規範,體現其「宗經」「正緯」的文學觀。揚雄認為教化最終能否成功取決於個體是否能夠從內心深處接受。「吾不見震風之能動聾聵也。」(揚雄,2012:156)揚雄意指如同雷鳴般的風聲亦無法喚醒聽覺失聰之人,比喻再有力的教化也難以感化那些內心拒絕接受者,凸顯其對教化過程中主體性與內在自覺的高度重視。

揚雄強調:「使之利其仁,樂其義。厲之以名,引之以美,使之陶陶然,之謂日新。」(揚雄,2012:234)所謂「使之利其仁,樂其義」,意指引導個體將仁愛與道義視為自身所需,並從中獲得精神愉悅;「厲之以名,引之以美」則通過名譽激勵與審美感召,促使人自願向善。最終「陶陶然」形容個體在道德實踐中獲得內心的滿足與喜悅,從而實現持續的自我提升和社會進步。揚雄還注意到聖人與常人之間存在學習願景上的差異。他認為聖人重其道而輕其祿,眾人重其祿而輕其道。聖人曰:「於道行與?」眾人曰:「於祿殖與?」(揚雄,2012:202)「大人之學也為道;小人之學也為利。」(揚雄,2012:20)揚雄認為,聖人或君子為學之目的在於踐行道德與真理,以實現內在德性的完善與社會教化;而眾人或小人則往往以求取功名利祿為學習的動因,體現了外在功利導向的價值觀。《法言·先知》載:「聖人,文質者也。車服以彰之,藻色以明之,聲音以揚之,《詩》《書》以光之。籩豆不陳,玉帛不分,琴瑟不鏗,鐘鼓不抃,則吾無以見聖人矣。」(揚雄,2012:236)聖人是文與質相統一的典範,其德性需通過外在禮樂形式得以彰顯。車服、藻色、聲音、《詩》《書》等禮樂制度,不僅是聖人內在德行的象徵,更是其教化功能得以實現的載體。聖人之道同時具備文與質二者,二者的關係實為「務其事而不務其辭,多其變而不多其文也。不約則其指不詳,不要則其應不博,不渾則其事不散,不沈則其意不見。是故文以見乎質,辭以睹乎情,觀其施辭,則其心之所欲者見矣。」(揚雄,2013:221)揚雄認為若不講求結構與言辭,則義理難以明晰廣泛;而缺乏渾厚與沉潛,則事理與意蘊難以彰顯。因此,「文以見乎質,辭以睹乎情」,外在的文辭是內在情志與本質的體現,也可見揚雄對文質關係的深刻理解與語言表意功能的高度關注。



四、揚雄與西漢同期士子樂教觀念的比較

揚雄在《法言》寡見卷中對音樂情感進行了明確區分,特別強調道德情感是儒家樂教的核心。他認為音樂不僅是感官享受,更是傳達和強化道德價值的重要媒介,這與孔子的觀點一致,即音樂應融入道德內涵,而不僅追求技術的精湛或感官愉悅。同時,揚雄批評了鄭衛之音,認為這種音樂在藝術上可能誘人,但缺乏儒家強調的道德導向。「君子惟正之聽。荒乎淫,拂乎正,沈而樂者,君子不聽也。」(揚雄,2012:179)揚雄認為君子聽樂應以「正」為準則,凡荒淫、悖逆禮義、令人沉溺於聲色之樂,皆為君子所不取,凸顯音樂與倫理價值的內在關聯。

揚雄主張音樂及其他藝術形式不僅應提供審美愉悅,更應發揮其教化功能,提升民眾的道德修養和社會和諧。因此,其觀點中深入探討了藝術與道德之間的關係,強調藝術應服務於道德教育和社會治理,而非僅僅作為娛樂手段。在《法言》中,揚雄論述了禮樂的教化作用,強調其在維繫社會等級秩序和綱常倫理中的關鍵地位,其樂教理念與董仲舒的觀點存在諸多共通之處,反映了西漢時期儒學學者在禮樂教化方面的共識。他們的禮樂思想建立在宇宙論和人性論的基礎之上,主張國家治理應以禮樂為核心,將其置於刑法之上,並通過皇權確立禮樂教化體系,以促進禮法化的社會變革。與荀子的觀點相比較,西漢時期的董仲舒和揚雄更側重於主體的感性與理性能力、情感傾向與行為習慣,他們的禮樂教化思想更強調民眾的主觀接受性,而非單向的強制性。

五、結語

揚雄在《法言》中深刻闡釋了禮樂教化的功能與內涵,提出了獨到的見解。他主張音樂不僅是審美體驗的載體,更是道德教化不可或缺的媒介。通過深入學習與實踐禮樂,實踐主體的人的道德修養得以提升,進而促進社會文明程度的全面提高。揚雄的樂教理念不僅為儒家音樂教育理論體系增添了豐富內容,而且為後世留下了寶貴的理論資源和實踐指南,其歷史意義與現實價值均十分顯著。

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(Editors: Derrick MI & Joe ZHANG)

[Pedagogy]

An Empirical Study on College English Blended Learning Based on WELearn Learning Platform

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Abstract: This study investigates the effectiveness of a college English blended learning model empowered by the WELearn intelligent platform through a semester-long empirical study. The research involved 88 first-year university students, who were divided into an experimental group utilizing the WELearn blended learning model and a control group receiving traditional instruction. The results indicate that the experimental group significantly outperformed the control group in both the final examination and the College English Test Band 4 (CET-4). Furthermore, platform data revealed that intelligent features, such as automated writing evaluation and learning analytics, effectively enhanced student engagement and autonomous learning skills, fostering an efficient “practice-feedback-revision” learning loop. This study confirms that a blended learning approach integrated with intelligent platform technology is an effective pathway to enhancing the quality of college English teaching and student satisfaction.

Keywords: College English blended learning; intelligent technology; WELearn platform

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基於 WELearn 平臺智能技術的大學英語 混合式教學實證研究

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摘 要：本文通過為期一學期的實證研究，探討了基於 WELearn 平臺智能技術的大學英語混合式教學模式的實施效果。研究將 88 名大一學生分為兩組：採用 WELearn 混合式教學的實驗組和採用傳統教學的控制組。研究結果顯示，實驗組在期末考試和大學英語四級考試中的成績均顯著優於控制組。平臺數據顯示，智能寫作批改、學習分析等功能有效提升了學生的學習投入度與自主學習能力，形成了高效的「練習—回饋—修正」學習閉環。研究證實，基於學習平臺智能技術的混合式教學是提升大學英語教學品質與學生滿意度的有效路徑。

關鍵詞：大學英語混合式教學；智能技術；WELearn 平臺

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一、引言

隨著「互聯網+」和「智能」時代的到來，教育領域正在經歷一場深刻的變革。線上學習、移動學習與傳統的線下學習相互融合，催生了以學習者為中心的新型混合式學習模式。這種模式不但為教學方法和教學設計注入了新的活力，也為教育的智能化、個性化發展指明了方向。在這一背景下，大學英語教學面臨創新性的挑戰與機遇。學生不僅希望獲得靈活多樣的學習資源，還渴望通過技術賦能，享受高度個性化、沉浸式的學習體驗。在這種混合式學習中，知識的傳遞不再是教學的核心，而是以學生為主體的知識建構和能力生成的互動過程。基於 WELearn 平臺的智能技術為大學英語混合式教學改革提供了強有力的技術支持。該平臺憑藉智能推薦、數據分析和即時交互功能，有助於構建更加靈活、高效的學習環境，以滿足學生多樣化的需求和學習節奏的差異。同時，這一平臺也賦予教師全新的角色與責任。他們需要充分利用智能技術重構教學內容，創新教學設計，以更好地引導和促進學生的學習。在混合式教學環境中，教師不再僅僅是知識的傳遞者，而是學習的策劃者和引領者。在 WELearn 平臺的賦能下，大學英語教學的革新不僅可以提升學生的學習效果，也為我國高校英語教學模式的轉型與發展提供了實踐意義。

二、文獻研究

（一）混合式教學研究

混合式教學，作為一種旨在融合線上與線下學習優勢的教育模式，自其概念被提出以來，一直是教育技術領域研究的焦點。其核心理念在於將傳統面對面教學的社交互動、即時回饋和情感支持，與線上學習的

資源豐富性、時間靈活性和學習自主性進行有機結合,以期達到「1+1>2」的教學效果(Garrison, 2004)。國內學者何克抗(2004)也指出,混合式學習的關鍵在於「優勢互補」,即根據教學目標和內容,合理規劃線上和線下的教學活動,將最適合的教學環節放在最適合的環境中進行。李克東教授(2001)進一步細化了混合式教學的實施步驟,提出通過面授教學與網路教學的有機結合,重構教學理念與策略。

在大學英語教學實踐中,混合式教學模式得到了廣泛應用。研究普遍證實,該模式在多個方面展現出顯著優勢。首先,它能夠有效突破傳統課堂在時間和空間上的限制,為學生提供泛在學習(Ubiquitous Learning)的可能性,學生可以根據自己的節奏安排課前預習和課後復習,極大地滿足了個性化學習的需求(郭增衛、楊港,2020)。其次,通過線上平臺的資源支持,學生能夠接觸到更多元、更前沿的英語學習材料,如原版視頻、學術講座、線上文章等,這有助於拓寬其國際視野,提升資訊素養。再者,精心設計的混合式教學能夠轉化學教方式,將課堂從以教師為中心的知識傳授,轉變為以學生為中心的能力建構,學生線上完成知識的內化,線上下課堂則能有更多時間進行語言實踐、協作探究和深度討論,從而提升其批判性思維和高級認知能力(Allen, 2013)。呂曉敏(2021)則探討了基於MOOC的混合式教學模式在大學英語教學中的應用,強調線上教學與傳統課堂教學的相輔相成。

總體來看,國內外學者普遍認為,混合式教學模式不僅有效拓展了學習場景,同時也推動了教學模式的創新與知識的深層次建構。然而,許多研究也揭示了其在應用過程中面臨的挑戰。最主要的問題在於,許多所謂的「混合」僅僅停留在「技術相加」的淺層層面,線上部分常被簡化為「視頻+PPT」的資源堆砌,缺乏有效的學習支架和引導機制(Oliver & Trigwell, 2005)。學生線上學習時,常常感到目標模糊、缺乏監督,導致學習投入度不足、效果不佳。此外,教師難以即時、全面地掌握每個學生的線上學習進度和困難點,導致線上與線下的教學活動銜接不暢,無法形成有效的教學閉環。教師在設計和實施混合式教學時,也面臨著技術能力不足、教學設計負擔過重等現實困難。這些問題表明,若要真正發揮混合式教學的潛力,必須借助更有效的技術手段來支持和深化線上學習過程。

(二) 智能技術賦能教學研究

人工智慧、大數據和學習分析等智能技術的快速發展,為克服傳統混合式教學的瓶頸提供瞭解決方案。智能技術賦能教學,其核心特徵在於從「技術輔助」走向「技術融合」,技術不再是冰冷的工具,而是能夠主動感知學習情境、分析學習行為、提供個性化支持的「智能夥伴」(盧迪等,2020)。基於人工智慧、大數據分析和人機交互技術的學習平臺,如WELearn、雲班課、雨課堂等,已進入課堂。

在語言教學領域,智能技術的應用尤為突出。首先,學習分析(Learning Analytics)技術使得學習過程變得「可視化」。通過採集和分析學生在平臺上的全部行為數據,如視頻觀看時長、練習題正確率、論壇發帖頻率、作業提交時間等,系統可以描繪出每個學生的學習畫像,識別其學習模式和潛在困難(Siemens, 2013)。肖紅(2020)認為智慧平臺可以通過學習分析技術監測學生的學習進度和行為,提供個性化回饋,增強學生的學習效果和參與度。

其次,基於自然語言處理(Natural Language Processing, NLP)的智能評價技術極大地提升了形成性評價的效率和效度。以智能寫作自動批改(Automated Writing Evaluation, AWE)系統為例,它能夠在幾秒鐘內從辭彙、語法、篇章結構等多個維度對學生的作文進行分析,並提供即時、具體、可操作的修改建議(Warschauer & Grimes, 2008)。這解決了傳統人工批改耗時耗力、回饋滯後的痛點,使學生能夠通過高頻率的「練習—回饋—修改」迴圈,有效提升寫作能力。

再者,自適應學習(Adaptive Learning)技術實現了真正的個性化教學。自適應學習以數據、演算法和系統為支撐,分析學習者的心理特徵、知識狀態以及學習行為等,對其實施精準教學(顧小清,2021)。此外,



Chen 等(2021)對智能學習環境的研究進行系統綜述,特別關注個性化推薦技術的應用,也提出了相似的觀點:混合式學習平臺(如基於 MOOC 的智能學習系統)能夠通過對學生學習數據的分析,精準匹配學習資源和任務,從而有效滿足不同學習者的個性化需求。

綜上所述,文獻研究表明,混合式教學是大學英語教學改革的有效方向,但其深化發展離不開智能技術的支持。將學習分析、智能評價、自適應學習等技術融入教學平臺(如 WELearn 平臺),有望克服傳統混合式教學的弊端。然而,目前關於此類深度融合模式的實證研究,特別是針對中國大學英語教學情境的系統性研究尚不充分,這正是本研究的切入點。

三、研究設計

(一) 研究問題

本文聚焦於基於 WELearn 平臺智能技術的大學英語混合式教學改革,旨在推進大學英語線上線下相結合的混合式教學模式創新。本研究通過實證研究方法,系統探究 WELearn 平臺智能技術在大學英語混合式教學中的具體應用及其效果。研究將圍繞兩個核心問題展開:

1) 相比傳統教學模式,基於 WELearn 平臺的混合式教學模式是否能更有效地提升學生的大學英語學業成績? 2) WELearn 平臺的智能功能(如形成性評價、學習分析等)如何影響學生的學習過程與行為?

(二) 研究目標

為回答上述研究問題,本研究設定了以下具體目標:

1. 設計並實施一個為期一學期的、整合了 WELearn 平臺智能技術的大學英語混合式教學方案;
2. 通過實證研究方法,比較實驗組(採用 WELearn 混合式教學)與控制組(採用傳統教學)學生在期末考試和大學英語四級成績上的差異,以評估教學效果;
3. 收集並分析實驗組學生在 WELearn 平臺上的形成性評價數據(如作業得分、學習時長、任務完成率等),揭示其線上學習過程特徵;
4. 通過問卷調查,深入瞭解學生對該教學模式的接受度、滿意度以及具體的學習體驗,為教學模式的持續改進提供依據。

(三) 研究參與者

本研究的參與者為某綜合性大學兩個平行行政班的大一年級非英語專業本科生,共計 88 人。這兩個班級由同一位大學英語教師任教,使用相同的教材。為便於研究,我們將一個班級($n=44$)設為實驗組,採用基於 WELearn 平臺的混合式教學模式;另一個班級($n=44$)設為控制組,採用教師主導的傳統多媒體教學模式。在學期初,我們對兩個班級學生的大學入學英語成績進行了獨立樣本 t 檢驗,結果顯示兩組學生在初始英語水準上無顯著差異($p > 0.05$),這保證了本研究的組間可比性和結果的有效性。所有參與研究的學生均被告知研究目的,並自願參與。

(四) 研究過程

本研究採用實證研究的方法,歷時一個完整的學期(16 周)。具體研究過程分為準備、實施和數據分析三個階段。

1. 準備階段(第1周):

教師為實驗組設計了詳細的混合式教學方案。教學內容被劃分為多個主題單元,每個單元都包含線上自學、線下研討和線上鞏固三個環節。明確了 WELearn 平臺線上上環節的應用,如:課前通過平臺發佈微課視頻和自測題;課後佈置寫作任務,要求學生使用平臺的智能批改功能進行修改和提交。控制組則採用傳統的教學大綱。實驗開始前,對兩組學生進行英語水準前測,收集包括他們的語言水準現狀、學習習慣和線上學習經驗等基本資訊。同時,對實驗組學生進行 WELearn 平臺使用方法的專門培訓,確保他們熟悉各項功能的操作。

2. 實施階段(第2-15周):

(1) 實驗組(WELearn 混合式教學):

首先為實驗組構建基於 WELearn 平臺智能技術的大學英語混合式教學。該教學模式的教學步驟分為三個階段(課前、課中、課後)和九個環節(啟動原有知識、加工新知識、預評估、背景知識構建、重構教學內容、遷移應用、課堂總結、鞏固練習和學習反思),所有步驟有機結合,形成一個完整的混合教學框架。

在課前階段,通過 WELearn 平臺智能技術啟動學生的原有知識儲備,為新知識的學習打下基礎。教師設計引導性任務或問題,幫助學生回憶和整合已有知識,營造積極的學習氛圍。同時,學生借助 WELearn 平臺的豐富線上資源(如語法視頻、閱讀材料等),自主學習新知識並將其與已有知識進行關聯,逐步構建新的知識框架。此外,教師通過平臺數據分析功能即時瞭解學生的預習情況,包括學習任務的完成度和存在的困難,從而確定課堂教學的重點,優化教學設計。

在課中階段,教學活動集中在引導學生構建背景知識、重構教學內容和知識的遷移應用等方面。課堂上,教師引導學生充分利用 WELearn 平臺相關資源和問題引導,幫助他們構建必要的背景知識,為深度學習做好準備。教學內容在 WELearn 平臺智能技術的支持下進行重構與拓展。例如,平臺的智能評估功能可以對學生的寫作文本進行精準的點評和分析,口語訓練模組則提供自動評分回饋,幫助學生實現口語能力的針對性練習。在教學過程中,知識的遷移和應用也被高度重視,通過任務型活動(如情境模擬、問題解決和角色扮演等),鼓勵學生靈活運用所學內容,將理論知識與實踐能力相結合。課堂最後,教師對學習內容進行總結梳理,提煉知識框架,並引導學生進行反思和討論,從而深化學習效果。

在課後階段,學生通過 WELearn 平臺進一步鞏固和反思所學內容。具體而言,教師基於平臺的練習系統,佈置個性化、適應性的課後任務,包括聽力、閱讀、語法專項訓練等,幫助學生鞏固課堂所學知識並將其內化為長時記憶。此外,學生可以通過平臺提供的學習日誌功能和反思模組,對自身的學習過程進行總結與反思,識別學習中的問題與不足。教師也可以借助平臺回饋及時分析學生在課後學習中的數據,發現學習上的盲點,並結合具體問題調整教學設計,為學生提供更加精準的個性化學習支持。整個課後階段不僅鞏固了學生的學習成果,還為後續學習形成了良性迴圈。

通過課前、課中和課後三個階段的有機結合,該教學模式整合了 WELearn 平臺的多種功能,確保了教與學的全方位聯動,為學生提供了系統化、個性化和富有成效的學習體驗。

(2) 控制組(傳統教學):

控制組仍採用以教師講授為主的課堂模式,輔以 PPT 等多媒體課件。課前預習和課後作業主要依賴紙質教材和練習冊。作業由教師人工批改,通常在一周後返還給學生。

3. 數據收集與分析階段(第16周及以後):

在為期一個學期的教學實施後,首先對兩組學生進行統一的期末考試,並運用 SPSS 軟體對兩組的成績進行獨立樣本 t 檢驗,以評估教學效果。然後從 WELearn 平臺後臺導出實驗組學生整個學期的學習數據,包括平臺登錄次數、學習資源流覽時長、線上測驗平均分、作業提交率及智能批改分數等,進行描述性統計



分析。同時,使用問卷星平臺對學生進行線上問卷調查,問卷採用李克特五點量表,內容涵蓋學習滿意度、平臺易用性、智能功能有效性感知以及自主學習能力變化等方面。

四、研究結果

(一) 基於 WELearn 平臺的形成性評價數據分析

在為期一學期的教學過程中,WELearn 平臺數據顯示,實驗組學生($n=44$)表現出較高的學習投入度。在 16 個教學周裏,學生人均登錄平臺 84 次,平均每週線上學習時長達到 60.6 分鐘,作業平均正確率為 91.2%。95%以上的學生能夠按時完成每週的課前學習任務,包括觀看微課視頻和完成自測。其中,教學視頻的平均完成率達到 88%,表明學生普遍能夠完整地參與線上學習環節。

智能寫作批改功能使用情況。形成性評價的核心環節是利用平臺的智能寫作批改功能。本學期共佈置了 6 次線上寫作任務。數據顯示,針對每次寫作任務,學生平均會利用智能批改功能進行 2.8 次修改。學生的首次提交平均得分(系統基於辭彙、語法、連貫性等維度評定)為 72.3 分,而最終提交稿的平均分上升至 85.1 分,提升顯著。這表明學生並非簡單地將該功能視為提交作業的入口,而是積極利用其即時回饋進行迭代式的修改和提升,這在傳統教學模式下是難以實現的。學生的修改軌跡顯示,初次修改主要集中在系統明確指出的語法和拼寫錯誤上,而後續修改則更多地體現在句式多樣性和辭彙豐富性等更深層次的改進上。

教師的參與情況。教師在一個學期中共登錄 85 次,線上時長達 122 小時 26 分鐘,發佈作業 18 次,創建測試 117 次,學習設置 35 次,學習監控 10 次,學習分析 102 次,完成形成性評價 6 次。

(二) 考試成績分析

為檢驗該教學模式的最終效果,我們對實驗組(WELearn 混合式教學)和控制組(傳統教學)的期末考試成績進行了獨立樣本 t 檢驗。期末考試試卷由教研室統一命題,涵蓋聽、說、讀、寫、譯各項技能,滿分 100 分。

組別	樣本量(N)	平均分(Mean)	標準差(SD)	t 值	p 值(雙尾)
實驗組	44	83.52	5.21	5.14	<0.001
控制組	44	77.25	6.08		

表 1 兩組學生期末考試成績統計與 t 檢驗結果

如表 1 所示,實驗組的期末平均成績($M=83.52$)顯著高於控制組的平均成績($M=77.25$),而實驗組的標準差($SD=5.21$)則小於控制組($SD=6.08$)。 t 檢驗結果顯示,兩組成績差異具有統計學上的極顯著性($t=5.124$, $p<0.001$)。這一結果有力地證明,基於 WELearn 平臺的智能混合式教學模式在提升學生綜合英語學業成績方面,優於傳統的教學模式。進一步對試卷各分項進行分析發現,實驗組在「寫作」和「翻譯」這兩個產出性技能專案上的優勢尤為明顯,這與其在平臺上進行的高頻率寫作回饋與修改練習直接相關。

此外,我們對兩組的大學英語四級考試的結果進行了對比分析(如表 2),發現實驗組的最低分、最高分、平均分和通過率均高於控制組,而實驗組的標準差明顯小於控制組。這一結果說明,基於 WELearn 平臺的智能混合式教學模式對提高學生的考級分數和考級通過率也相當有效。

組別	樣本量(N)	最低分	最高分	平均分	標準差	通過率
實驗組	44	395	585	453	44.9	80.89%
控制組	44	301	559	412	147.9	72.7%

表 2 兩組學生大學英語四級考試結果對比

(三) 問卷調查結果

本研究使用問卷收集工具「問卷星」,對實驗組學生進行了問卷調查,旨在瞭解學生對該教學模式的態度和體驗,共回收有效問卷 82 份。學生對本學期的混合式教學模式表現出高度的認可。90.9%(40 人)的學生表示「同意」或「非常同意」,認為這種模式激發了他們的學習興趣。對於智能寫作批改功能非常有用,93.2%(41 人)的學生認為「非常同意」或「同意」。有學生在開放性問題中寫道:「即時回饋功能太棒了,我能立刻知道自己的語法錯誤在哪里,並學會如何修改。這比等一周後拿到老師的評語有效率得多。」對於學習數據分析與回饋,84.9%(37 人)的學生表示,看到自己的學習時長、任務完成度等數據報告,能夠幫助他們更好地進行自我監控和時間管理。72.7%(32 人)的學生認為該教學模式提升了他們的自主學習意識和能力。他們表示,清晰的課前任務和靈活的學習時間讓他們逐漸養成了規律預習和主動探索的學習習慣。但是,問卷結果也顯示了一些挑戰。約 15%的學生表示,在學期初對線上平臺的操作感到有些不適應,需要一定的學習時間。另有少數學生提出,希望除了平臺的智能回饋外,在某些複雜的寫作邏輯問題上能獲得更多來自教師的個性化指導。

李克特 5 級量表調查	5	4	3	2	1
	%	%	%	%	%
	n	n	n	n	n
我喜歡大學英語課採用線上線下混合式教學的方式。	38.6%	36.4%	20.5%	2.3%	2.3%
	17	16	9	1	1
我對教材配套 WELearn 智能學習平臺滿意。	40.9%	50%	6.8%	2.3%	0%
	18	22	3	1	0
我會按課程要求,課下自主學習 WELearn 平臺的資源。	40.9%	43.2%	15.9%	0%	0%
	18	19	7	0	0
利用 WELearn 平臺學習資源能夠激發我學習英語的興趣和熱情。	31.8%	40.9%	25%	2.3%	0%
	14	18	11	1	0
利用 WELearn 平臺學習資源讓我對英語學習更有自信。	36.3%	45.5%	13.6%	2.3%	2.3%
	16	20	6	1	1
WELearn 平臺的智能批改功能非常有用。	45.5%	47.7%	4.5%	2.3%	0%
	20	21	2	1	0
看到自己的學習時長、任務完成度等數據報告,能夠幫助我更好地進行自我監控和時間管理。	40.9%	43.2%	9.1%	4.5%	2.3%
	18	19	4	2	1
WELearn 平臺提升了我自主學習意識和能力。	34.1%	36.4%	25%	4.5%	0%
	15	16	11	2	0
我對 WELearn 智能平臺很適應。	29.5%	43.2%	13.6%	11.4%	2.3%
	13	19	6	5	1



续表

李克特 5 級量表調查	5	4	3	2	1
	%	%	%	%	%
	n	n	n	n	n
這種結合 WELearn 平臺的教學方法對我的英語能力提高有很大幫助。	31.8%	47.7%	18.2%	2.3%	0%
	14	21	8	1	0

(參與問卷人數(n)=44;分數:5=非常同意,4=同意,3=一般,2=不同意,1=非常不同意)

表 3 問卷調查結果分析

五、討論

本研究通過實證研究,系統地考察了基於 WELearn 平臺智能技術的大學英語混合式教學模式的實施效果。研究結果清晰地表明,與傳統教學模式相比,該模式在提升學生學業成績、激發學習投入度以及培養自主學習能力方面均展現出顯著優勢,有力地回答了本研究提出的兩個核心問題。

第一,智能混合式教學顯著提升了學生的學業成績,有效達成了研究目標。本研究的首要問題是探究該教學模式能否有效提升學生的英語成績。數據顯示,實驗組在期末考試和大學英語四級考試中的平均成績均顯著優於控制組(期末平均分高出 6.27 分, $p < 0.001$),這證實了智能技術賦能的混合式教學的有效性。更值得注意的是,實驗組在四級考試成績上的標準差(44.9)遠小於控制組(147.9),這表明該模式不僅提升了整體平均水準,更有效地縮小了班級內部的成績差距,實現了更均衡的教學產出。以智能寫作批改為例,學生平均對每次作業進行近三次的迭代修改,最終稿件得分的大幅提升,直觀地體現了一個高效的「練習-回饋-修正」學習閉環的形成。這與 Warschauer 和 Grimes 的研究(2008)結果相吻合,即時、具體的回饋能夠有效促進學生對語言形式的關注和修改,而這是傳統人工批改的延遲回饋難以企及的。尤其在寫作和翻譯這類產出性技能上,實驗組的優勢更為明顯,這直接印證了平臺功能與學生能力提升之間的因果關聯。

第二,WELearn 平臺的智能功能重塑了學生的學習過程與行為,有效破解了傳統混合式教學的困境。本研究的第二個問題聚焦於智能功能如何影響學生的學習過程。以往的混合式教學常因線上環節缺乏有效監控和引導,而導致學生參與度不足,淪為「視頻+PPT」的淺層應用(Oliver & Trigwell, 2005)。而在本研究中,WELearn 平臺通過學習分析技術,將學生的線上學習過程變得透明化、數據化。平臺數據顯示,實驗組學生表現出極高的學習投入度。這種高投入度源於兩個方面:對學生而言,學習分析報告使其能清晰地看到自己的學習軌跡,從而進行有效的自我監控和時間管理,86.4%的學生認可這一點;對教師而言,平臺數據使其能精準掌握學情,識別出學習難點,從而使線下的課堂教學更具針對性,實現了線上與線下的深度銜接。這成功地將教學從以教師為中心的知識灌輸,轉變為以學生為中心的、有數據支持的個性化學習引導,培養了學生的自主學習能力,驗證了何克抗(2004)所提出的線上線下「優勢互補」的理念。

總的來說,本研究不僅通過實證數據證明了基於 WELearn 平臺的智能混合式教學模式在大學英語教學中的優越性,更重要的是,它揭示了這種成功的內在機制:即通過智能技術構建了有效的回饋閉環、實現了學習過程的可視化管理、並最終促進了學生自主學習能力的養成。研究結果全面達到了預設目標,為智能時代下大學英語教學改革提供了有價值的實踐參考。

六、結語

基於本研究的發現和挑戰,我們認為未來以 WELearn 為代表的教育平臺,其智能技術的發展具有深遠的意義,並應在以下幾個方面繼續深化:

1. 從「批改」走向「診斷與指導」,實現人機協同的深度評價。

當前智能批改的優勢在於對語言形式錯誤的精准識別(即寫作的局部特徵),但在思想內容、邏輯結構、批判性思維等深層維度(即寫作的整體特徵)上仍有局限。今後的智能技術應構建「人機協同」的評價生態。這樣,既可以讓 AI 完成常規批改和回饋,同時識別出深層次問題並標記出來再推送給教師。教師便能從繁重的重複勞動中解放出來,將精力聚焦於對學生進行更高層次的思維啟發和人文關懷上,實現技術效率與教育溫度的統一。

2. 從「行為數據」走向「情感與認知狀態」的綜合分析。

現有的學習分析多集中於可量化的行為數據,如點擊、時長等。今後的智能技術應實現對學習者內在狀態的感知。通過分析鍵盤敲擊節奏、滑鼠移動軌跡、甚至面部微表情(在符合倫理規範的前提下),系統可以嘗試判斷學生是處於專注、困惑還是焦慮的狀態,並適時提供鼓勵、提示或尋求教師幫助的建議。

綜上所述,本研究為數字賦能的大學英語混合式教學提供了有力的實證支持。研究表明,通過深度融合學習分析、智能評價等技術,基於智能平臺的混合式教學能夠有效克服傳統模式的弊端,顯著提升教學品質和學生滿意度。這不僅為當前大學英語教學改革提供了可行的實踐方案,更揭示了人工智慧賦能教育的巨大潛力。

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Exploration on the Internalization of Higher Education Under the Background of “Double First-Class” Initiative

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Abstract: The internationalization of higher education is both an integral component of the “Double First-Class” initiative and a key pathway to achieving its goals. In the context of economic globalization and regional economic integration, this paper reviews the historical development and current state of internationalization in higher education, both domestically and internationally, and explores the deficiency in China’s research on the internationalization of higher education. This proposes that in the light of “Double First-Class” initiative, the relevant practice and research should be carried out in the following aspects: research on the policy development of internationalization of higher education; formulation of differentiated and characterized strategies and objectives for western, central and eastern regions in China; research on the index system and evaluation system of internationalization of higher education in each region, especially in the central and western regions; and microcosmic research on internationalization practice of colleges and universities.

Keywords: “Double First-Class” initiative; economic globalization; internationalization of higher education; new connotation

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「雙一流」建設背景下高等教育國際化發展探索

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摘要: 高等教育國際化是「雙一流」建設的內容,也是實現「雙一流」的路徑。在經濟國際化以及區域經濟一體化背景下,通過回顧高等教育國際化理念及實踐在國內外研究的歷史和現狀,探討我國高等教育國際化研究的不足,並提出未來圍繞「雙一流」建設,需在以下幾個方面開展實踐和研究:高等教育國際化政策發展研究;各區域制定差異化、特色化高等教育國際化戰略與目標;各區域,尤其是中西部地區高等教育國際化指標體系和評估體系研究;高校國際化實踐微觀研究。

關鍵詞: 「雙一流」建設;經濟國際化;高等教育國際化;新內涵

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一、引言

國家《統籌推進世界一流大學和一流學科建設總體方案》明確了「雙一流」建設的國際合作與交流、一流師資隊伍建設、科研水準提升、拔尖創新人才培養、內部治理結構完善等建設與改革任務。伍宸、宋永華指出,在經濟全球化和高等教育國際化深刻發展的時代背景下,「雙一流」建設重視加強國際交流與合作,必然會強調對入選高校或學科國際化辦學的績效考核與評估^①。

2022年,教育部、財政部和國家發改委聯合發佈第二輪「雙一流」建設高校名單。名單上147所建設高校中,中西部^②高校僅占1/3。過去,中西部高校由於其地理位置的局限,交通不便,資訊相對閉塞,經濟發展相對落後,高等教育國際化起步晚,發展慢,水準較低。隨著「一帶一路」倡議的實施,我國對外開放的不斷擴大,中西部從對外交往的邊緣地區轉變為對外開放的前沿陣地,中西部高校與國外高校,尤其是與「一帶一路」國家高校的合作與交流呈現出前所未有的活躍與增長。但是,研究仍然顯示,我國東部地區的高等教育國際化水準最高,其次是東北,中部和西部地區則相對較低^③。差異的根源與區域地理位置、經濟基礎、資源獲取以及政府的政策支持力度等相關^④。中西部高校國際合作與交流的資源不足,能力不強等問題勢必影響到對區域內「雙一流」建設的支撐力度。

因此,回顧和梳理高等教育國際化發展與現狀,發現其中的不足,並結合當前「雙一流」建設的背景探討新的歷史階段我國高等教育國際化的內涵,並提出發展建議,有助於豐富我國「雙一流」建設的理論與實踐路徑。

二、經濟國際化背景下,高等教育國際化的綜合性、本體性研究

現代高等教育國際化產生於二戰後的美國,並且逐漸發展成一種國際思潮。諸多學者對其內涵、模式、



發展策略等進行了研究。Knight 將高等教育國際化定義為：在院校和國家層面，在高等教育的目的、功能和供給中融入國際、跨文化或者全球化維度的過程^⑤。Davies 提出了著名的大衛斯四象限國際化發展策略^⑥。Knight 結合 Wende 提出的三要素國際化模式，提出了改良版的國際化循環策略模式圖^⑦。Neave 提出了「領導者驅動型」和「基層單位推動型」兩種高等教育國際化策略^⑧。Hurd 借助組織變遷視角，通過地方公立高校國際化等案例研究，構建了實現大學國際化的一般模型^⑨。在中國學界，龔放和趙曙明（1987）最早提出了高等教育國際化的概念^⑩。2001 年中國加入世貿組織，加速了國家經濟全面進入全球循環系統的步伐^⑪。高等教育國際化成為研究熱點，眾多學者對其概念、內涵、特徵、模式、動因、路徑及趨勢等多方面進行了較為深入的研究^{⑫-⑬}，主要認為社會的發展和教育的競爭是高等教育國際化發展的動力。

但是，越來越多的學者注意到，高等教育發展離不開經濟因素的推動。經濟國際化深刻影響了高等教育發展的邏輯路徑，高等教育國際化更是經濟國際化的直接產物^{⑭-⑯}。首先，經濟國際化促進了國家或地區之間經貿往來日益密切頻繁，產業合作不斷增強，隨之帶來對國際化人才的需求、技術的跨國合作以及知識的交換，從而推動高等教育融入全球知識網路，通過拓展國際合作與交流，學科專業合作，培養適應經濟發展需求的人才；通過開展跨國科研合作實現科技創新，提升生產力水準。在此過程中，為獲取更多的利益，西方發達國家在世貿組織成員國商業和貿易部的主導下制定了《服務貿易總協定》，將高等教育納入貿易的範疇。在此制度安排下，高等教育成為商品，具備了可交易的屬性^{⑰⑱}。《服務貿易總協定》的實施帶來了高等教育公共服務性與盈利性、合作性與競爭性等諸多方面的矛盾^{⑲⑳}。在高等教育國際化實施過程中，發達國家是高等教育的輸出者，絕大部分發展中國家是輸入者。對大部分發展中國家而言，高等教育國際化主要是為了提升教育品質^㉑。由於西方發達國家在高等教育體系、學術資源和語言等方面佔據主導優勢，高等教育國際化的實施常常呈現單向度，或者說「西方中心主義」^㉒的特點。

高等教育國際化具有綜合性的特質。在全球經濟活動深入交織，不斷融合的背景下，資本、技術、勞動力等要素在全球範圍內流動，高等教育國際化呈現的方式也從過去的師生跨境流動、學術交流等形式，轉變為涵蓋了教育教學、科學研究、文化交流、知識融合、治理體系等多層次、多維度的綜合體系。跨國科研合作，包括跨國學者合作發表、聯合實驗室、聯合科研項目，跨國研究院、學術聯盟等的數量持續增長。高等教育納入服務貿易後改變著全球高等教育資源的配置，各種形式的合作辦學項目、海外校園、跨境遠程教育等不斷湧現。全球的高等教育還通過各種國際排名、專業認證、學位互認等方式構建相對統一的品質保障體系，從而推動各國的高等教育參與國際教育治理體系。高等教育國際化從微觀的教學、課程設置到院校機構合作、再到宏觀的國際教育治理均是全球教育領域對宏大的經濟國際化時代背景的回應。無論形式如何，de Wit 認為高等教育國際化工作的重點需要從投入和產出轉向更多的過程和結果，以確保學生和教師為日益全球化和相互聯繫的社會做好準備並勝任工作^㉓。

在高等教育國際化的發展和演變過程中，學者也關注到高等教育如何堅守本國知識體系、內在價值體系和文化傳承，即保持本體性的問題。巴巴蘭認為發展中國家的高等教育體系常常與文化認同聯繫在一起^㉔。Burbules 和 Torres 曾撰文指出，高等教育國際化一方面推動了知識的流動，但也可能會帶來文化同質化，本土文化受到威脅並弱化^㉕。Wing Ng 認為，亞太地區的高等教育機構在追隨英美範式的教育實踐時，沒有發展自己獨特的體系和尊重本國豐富的文化^㉖，因此提出發展中國家也要看到自己文化的獨特優勢，堅守自己精神價值的中樞^㉗，並在高等教育國際化中得以發展。

我國有諸多高等院校在國際化實踐的過程中，也關注到如何保持自身的本體性。如北京大學在國際化中堅持北京大學的傳統與特色，堅持獨立的自身價值體系，在繼承自身文化傳統的前提下，努力成為跨文化交流的「共同體」^㉘；上海交通大學國際化實踐提煉出「加強選擇」的策略以及體現「以我為主」的原則^㉙；浙江大學國際化採取了「4S」發展戰略，並總結出我國的研究型大學在國際化過程中應「從交流參與轉變為合作

與主導」的發展原則²⁹；汕頭大學提出了在國際化理念「內在化」、國際化「本土化」的創新等方面推進國際化進程的路徑和方法³⁰。這些國內大學為我國高等教育國際化提供了各具特色的實踐樣板，其共同之處是他們都堅持文化自信，堅守自身特色。正如潘懋元教授的觀點：在堅定不移地堅持文化交流時，應當在保持獨立自主的前提下，主動地發揮交流帶來的積極作用而避免或減輕它的消極影響³¹。de Wit 指出：發展中國家在推進國際化進程時，必須避免簡單模仿英美西方模式的優先事項，而應發展出更能反映本土需求和優先要務的特色模式；換言之，要從被動接受轉向主動定義符合自身發展訴求的國際化路徑³²。徐一淥提出，中國應該在建設「中國特色社會主義教育強國」的時代語境下重構在地國際化理念，汲取並超越西方知識體系的有益成分，在我國高等教育現代化視域下推進在地國際化實踐，最終實現高水準人才自主培養和「教育、科技、人才」一體化發展³³。

三、區域經濟一體化背景下，區域高等教育國際化的研究

作為高等教育國際化的重要動因，經濟國際化表現的形態影響著高等教育國際化發展的路徑和模式的選擇。de Wit³⁴總結傳統的南北學術和教育流動模式具有以下特點：僅服務於一小部分精英學生和教職工；國際化主要是高校的戰略選擇，並非國家層面的優先事項³⁵。第二次世界大戰結束後，世界經濟開始出現區域經濟一體化浪潮³⁶。歐洲經濟共同體（後發展為歐盟）；亞洲的東南亞國家聯盟（後發展為東盟）；北美自由貿易區等多個區域經濟一體化組織在不同地區形成，催化了產業鏈、人才鏈、知識和技術等在某一特定地理範圍的加速流動。由於區域經濟一體化對某一地區的整體競爭力提出了要求，進而對國際化人才的數量和品質提出了更高標準，國際化不能像過去一樣只為少數人服務。曾經出國才能體驗和習得的能力，如全球勝任力、全球視野、跨文化交際能力等納入了各國人才培養目標，為此開展了課程與教學模式的國際化變革³⁷；為促進區域人才的培養，提升科技前沿，提高區域發展競爭力，這些組織制定了具有區域特色的高等教育國際化戰略、政策和措施。如歐盟「博洛尼亞進程」通過統一高等教育結構，有效推動了跨國學術合作與學生流動；東盟則通過構建東盟大學網路、東盟大學品質保障網路、制定《東盟互聯互通總體規劃 2025》等政策，推動東盟各國在教育領域中的合作與交流；拉丁美洲構建了拉丁美洲和加勒比地區的高等教育合作網路（ENLACES）以推動拉美地區高等教育一體化。同時，我們也看到，這些經濟一體化組織又作為一個超越國家的整體與其他國家或地區進行深入的經濟交往，由此促進了更大的區域間的產業融合及國際化人才培養需求。如以東盟為核心制定的《區域全面經濟夥伴關係協定》（RCEP）涵蓋的合作成員國包括了中、日、韓、澳、新（西蘭），雖然該協定重點在於關注東盟與五國的貿易及投資領域，但由於其帶來的商品、服務、資本和勞動力的相互依存關係引致了區域內對相關產業人才的需求，從而推動了相關國家與東盟高等教育的合作。同樣，「一帶一路」倡議也推動了中國與沿線國家高等教育的合作。

區域經濟一體化背景下的高等教育國際化演化為區域性組織或者國家主導的行動，國家對高等教育政策方面的跨區域合作成為高等教育國際化的新特徵³⁸；體現出政策化、制度化、戰略性等特點。例如中國和東盟通過政府牽頭主導，設立了中國-東盟教育交流周，成為推動雙方高等教育合作與交流的重要機制。在 RCEP 協定中，高等教育服務也納入了市場准入與最惠國待遇範疇。區域性大學網路、學生流動項目及泛區域的大學聯盟數量日漸增加，並由此發展出區域性的學歷互認機制、學分制框架、質量保障體系等。這種區域化是一個有意識的進程，其目標是更具規劃性的系統合作³⁹。但是，國家或者地區由於各自在經濟基礎、資源稟賦、產業結構等方面存在差異，進而帶來區域內高等教育國際化發展的應對措施各不相同⁴⁰。但是，無論採取什麼形式的發展道路，區域化是一種深深植根於尊重本地文化與語境差異的過程，不能採取一刀切的路徑⁴¹。

結合中國當前的區域高等教育國際化實踐,中國學者提出要對區域高等教育競爭力優劣勢進行比較研究,政府要加強規劃與引導,關鍵注重特色化發展路徑^{40①};高等教育國際化不再是簡單引進或借鑒西方國家理論或直接把中國模式搬到國外,而是要尊重不同國家獨特社會制度文化環境,將教育資源進行「共生化」⁴²;為推動高等教育有效融入「一帶一路」體系,要從質量導向、體制機制創新、治理體系完善等進行建設⁴³。還有學者將南南高等教育合作劃分為發展援助型、共同願景型、區域交流型和交流援助型,由此建議我國在與一帶一路沿線國家開展高等教育合作時要針對不同的對象和合作類型分別採取不同的合作策略⁴⁴。這些研究結果與區域經濟一體化背景下區域高等教育國際化呈現的主要特徵與實踐路徑等相一致。

但是由於各地區在我國對外開放、「一帶一路」建設中的定位不同、自身的區位和地緣特點、經濟水準以及高等教育資源的差異等,高等教育國際化採取了不同的實踐路徑。東部的廣東省是我國改革開放的前沿,經濟發達,擁有優質的高等教育集群。2019年黨中央、國務院印發的《粵港澳大灣區發展規劃綱要》作出規劃,包括廣東在內的粵港澳大灣區要打造成教育和人才高地,建設國際教育示範區,引進世界知名大學和特色學院,推進「雙一流」建設。因此,該地區的高等教育國際化目標是發揮其高等教育的樞紐作用,建成「一帶一路」國際文化教育交往中心⁴⁵。魯世林等通過對西部五所高校的分析,發現西部高校在師資人才、產學合作、學科發展和實踐平臺等方面還存在不足⁴⁶。這些短板成為西部高校高等教育國際化的制約,也決定了其發展的路徑和模式與東部有所不同。

四、「雙一流」建設背景下,我國高等教育國際化新內涵與展望

隨著「一帶一路」倡議的深入推進,中國與周邊國家命運共同體建設的不斷深化,中國與「一帶一路」沿線國家的區域經濟一體化進程也明顯加快,經貿合作更加緊密,互聯互通水準持續提升。在此背景下,高等教育國際化被賦予了新的內涵。任友群指出,當代高等教育國際化,不僅是辦學主體將國際化、跨文化與全球性維度整合進高等教育的目的、功能或過程,也是辦學主體在全球範圍內拓展和配置教育要素資源;高等教育國際化應滲透到教育教學的全過程,深入到專業、課程、教學、實踐等核心要素中。同時特別強調,東西部地區高等教育國際化要因地制宜,東部地區對標世界一流,中西部地區擴大廣度和深度,形成各自的區域特色⁴⁷。吳永會提出,「雙一流」建設應積極適應經濟全球化的縱深發展進程,尤其注重以高等教育國際化,實現二者之間的互動共進;在「雙一流」建設背景下,要想推動高等教育的國際化發展,就一定要重視學科、專業建設的國際化⁴⁸。陸小兵等認為應積極推進學科建設國際化、課程國際化、外語教學改革等,服務於「雙一流」建設⁴⁹。

「雙一流」建設是高等教育的使命,國際化是「雙一流」建設的必由之路。結合對高等教育國際化綜合性、本體性的分析以及區域經濟一體化下高等教育國際化的特點,筆者認為高等教育國際化的實踐和研究應從以下幾個方面展開。

1. 「雙一流」建設背景下,高等教育國際化政策發展研究。教育政策是一個國家或政黨為實現某個特定時期的教育目標而制定的行為準則,指導具體的教育實施者開展行動。同時,「教育的產生與發展始終是和人類社會經濟生活聯繫在一起的,教育國際化,尤其是「大學國際化」,是世界物質與精神生產的國際化趨勢的必然結果」⁵⁰。因此「雙一流」背景下的各區域高等教育國際化政策制定要體現教育與區域經濟發展,尤其是經濟國際化之間的互動關係,要成為經濟發展理論、教育理論和國際化理論共同作用的結果。「一帶一路」建設、RCEP協定的落實等開啟了新時代區域經濟一體化的進程,高等教育區域合作成為必然趨勢。在此背景下,中國政府、地方政府的政策制定是引導高等教育助力人才培養服務於區域經濟高品質發展的重要指南。



2. 各區域需結合「雙一流」建設要求,制定差異化、特色化高等教育國際化戰略與目標。我國的東部、中部和西部的教育分別具有一些共同的經濟和社會現實基礎,區域內高等教育的發展和對人才培養的需求有相似之處,但區域間會有所差異。我國的東部、中部和西部需要因地制宜,結合各個區域的實際情況,從宏觀層面分析高等教育國際化的未來發展目標,據此制定與區域高等教育發展需求相適應的國際化發展內容、策略和路徑,以實現區域間的差異化和特色化發展。

3. 「雙一流」建設背景下,各區域,尤其是中西部地區高等教育國際化指標體系和評估體系研究。眾多的學者提出高校的國際化需要「以我為主」「凸顯特色」,對於中西部高校,需挖掘其國際化潛力,培育國際化特色,引領國際化方向,建立國際化自信,保持文化本體是國際化指標體系的側重點和關鍵。值得花大力氣從理念、體制機制、資金投入、師資管理隊伍建設、合作研究、項目開展等多個方面進行深入的探討和研究,在借鑒其他區域,包括國外經驗的基礎上制定動態的,符合區域實際的建設指標和評估體系,尤其重視過程建設和能力建設,通過務實的國際化行動反向促進高校補短板,揚優勢,縮減與東部地區高校的差距。

4. 「雙一流」建設背景下,高校國際化實踐微觀研究。高等教育國際化既有自上而下的規劃與方案的貫徹,也有自下而上的理論和實踐的探索。具體來講,後者應從點上的項目國際化或國際合作層面切入,從學科建設國際化、專業國際化、課程與教學國際化、全球教育資源配置、外語教學改革等方面深入推動國際化。同時,不同類型的高校間的「雙一流」建設目標各不相同,國際化建設對其支撐的模式也有所區別。各個高校需對國際化的路徑和側重點進行充分調研和求證,既落實國際化相關核心要素的建設,更著力培育國際化的校本特色。

注釋

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Motherhood Identity, Work-Family Enrichment, and Community Involvement in English Teaching Practices

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Abstract: This study examined the influence of motherhood identity on the teaching practices of English teachers by employing work-family enrichment and identity fusion theories. It explores the relationship between motherhood identity and teaching practices, examining the mediating role of work-life enrichment and the moderating effect of community involvement. A survey of 354 English teachers from China, conducted using purposive sampling, was analyzed using Partial Least Squares (PLS) structural equation modeling. Findings reveal how the motherhood identity of English teachers influences their teaching practices: as teachers actively integrate their motherhood experiences into their professional development, the harmonization of work and childcare enhances their teaching performance. Additionally, voluntary community involvement moderates perceptions of motherhood experiences, aiding in overcoming challenges in childcare and teaching. Consequently, with work-life enrichment mediating and community involvement moderating, teachers effectively leverage their motherhood experiences to enhance their English teaching practices. This study contributes to the understanding of the nuanced relationship between motherhood identity and teaching practices, highlighting the growing importance of community involvement in the professional development of female English teachers. The limitation of purposive sampling shows that the generalizability of our findings to other contexts should be considered with caution.

Keywords: motherhood identity; work-family enrichment; community involvement; English teaching practices

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1. Introduction

For female teachers who identify strongly with motherhood, their sense of self involves a complex interplay

between personal agency and external influences. Studies have shown that the experience of motherhood significantly influences and enriches their professional identity (Raithby, 2023; Simic-Muller, 2018; Chambers, 2017; MacDonald, 1999). For example, Chambers (2017) highlighted that motherhood serves as an empowering experience, sharing a purposeful intent inherent in teaching. Rather than hindering career advancement, motherhood serves as a valuable learning experience. Phenomenological studies, such as Raithby's (2023), indicate that for female teachers, the journey into motherhood challenges and reshapes their perceptions about teaching and learning. It enables mother educators to understand the socio-cultural context of education more deeply, consequently influencing their professional identity and classroom practices.

However, Knowles et al. (2009) noted that mothers often construct their roles and responsibilities according to societal expectations, which prompts them to establish perceived parameters. Consequently, professional female educators and teachers often grapple with the conflicting and complementary dimensions of their roles as mothers and professionals, particularly in traditional Asian cultures. Based on the challenges, barriers, and potential strategies to overcome these conflicting difficulties, studies confirmed the concept of work-family enrichment (WFE), where experiences in one role enhance the quality of life in the other role (Collins et al., 2023; Marôco et al., 2023; Chen et al., 2021; Greenhaus & Powell, 2006). For example, Marôco et al. (2023) demonstrated that effectively fulfilling responsibilities in one area can compensate for those in another domain, and positive experiences in one domain can yield beneficial outcomes in the other. Conversely, studies such as Elder et al. (2023) have concluded that work-family conflict (WFC) diminishes overall well-being. Kushwaha et al. (2023) outlined approaches for mothers to reduce conflict between their work and family roles, as well as dissatisfaction with society, thereby helping them achieve the desired work-family balance (WFB). Research findings have shown that perceived organizational support moderates the relationship between work-family conflict and job satisfaction, thereby mitigating its adverse effects (Wang & Wang, 2023; Ma et al., 2023).

Regarding organization support, community involvement plays a crucial role in integrating external social, civil, and expert stakeholders to create genuine learning experiences for teachers and students (Suero Montero & Oliveira Leite, 2022; Balyasnikova, 2020; Etherington, 2019; Ferreira et al., 2013). Community-based settings are considered potential sites for teacher learning (Hallman, 2019). For instance, Balyasnikova (2020) demonstrated that in a community-based language learning program, professional English teachers help volunteers, facilitating peer-to-peer interaction. Additionally, Chen et al. (2021) highlighted that identity synergy has a positive influence on innovative performance, with self-reflection partially mediating this effect. Active participation in community activities can help female teachers overcome professional challenges associated with motherhood. By this, motherhood identity and community involvement contribute to the teaching practices of female teachers.

As a result, there is a critical need to investigate the following questions:

1. What is the relationship between motherhood identity, work-life enrichment, community involvement, and English teaching practices?
2. How does the motherhood identity of English teachers impact their teaching practices?
3. What role do work-life enrichment and community involvement play in the professional development of English teachers who have been mothers?



Suero Montero and Oliveira Leite (2022) showed a lack of research or practical application regarding the involvement of community members in crafting educational activities. Therefore, the novelty of our study is (1) to explore the role of community in teaching and professional development, (2) to provide empirical evidence to support the work-family enrichment theory, and (3) to focus on community involvement for English teachers.

2. Literature Review

2.1 *Motherhood identity and teaching practices*

Motherhood identity encompasses a woman's perception of herself as a mother, including understanding the maternal role and the dynamics between this identity and her other roles. The transformation of motherhood identity is a significant phenomenon in the social sciences and a pivotal, life-altering event (Arnold-Baker, 2019). Current literature predominantly delves into how motherhood shapes women's identity development (Laney et al., 2015), their societal role perceptions (Smith, 1999), and the construction and exploration of maternal identity (Burke Odland, 2010; Gross Spector & Cinamon, 2017; Hartman, 2014; Elliott et al., 2009). Becoming a mother prompts a recalibration in women's perceptions of their societal roles, transitioning from the public world of work to the more localized sphere of family and social connections. This transition has a significant impact on subsequent life plans (Smith, 1999). Laney (2015) identifies three forms of identity shifts in women upon becoming mothers: (1) temporary loss of their prior identities, (2) broadening their self-conception, and (3) intensifying their personalities by integrating their children into their sense of self. This transformation holds particular significance for working mothers, as their dual roles as both mothers and employees profoundly impact their well-being, life satisfaction, and self-esteem (Zagefka et al., 2021), as well as their career decisions and exploration. Workplace, spousal, and family support play pivotal roles in this context. Specifically, workplace support has a positive influence on maternal exploration, while diverse forms of social support enhance the exploration process and subsequent developmental stages (Gross Spector & Cinamon, 2017).

Ashe et al. (2011) examine how female entrepreneurs can utilize their gender role identity to create distinctive venture configurations. The research reveals that a strong identification with women's family roles, particularly as mothers, motivates Japanese women to pursue entrepreneurial paths. This strong gender role identity permeates their ventures, influencing the products, services, organizational structure, and practices. In line with Hartman (2014), it is evident that women should confidently respond to the negation of prevailing parenting ideologies. Female professionals can offer a multidisciplinary approach to comprehend the unique needs and pathways that help women build confidence in their maternal identity.

The Identity Fusion Theory states that a strong group connection blends personal and social identities. Activating one aspect influences the other, and then both aspects impact behavior synergistically. Heger and Gaertner (2018) suggested that this synergy promotes the mutual advancement of group and individual objectives. When mother teachers move inward and liberate themselves from conflicting states, they have the opportunity to share their mothering experiences with other groups, discover new insights, and gain a deeper understanding of the similarities between childcare at home and teaching in the classroom (Raithby, 2023; Simic-

Muller, 2018). Recognizing the facilitation role of their motherhood experience in teaching practices can help English teachers harmonize their roles (Knowles et al., 2009), better navigate boundaries, and maintain the interwovenness between work and motherhood (Bentley et al., 2020; Thomson & Kehily, 2011). Therefore, the synergy between motherhood and teacher identity facilitates reciprocal promotion in teaching practices. Accordingly, we hypothesize: Hypothesis 1 (H1). Motherhood identity has a significant positive influence on teaching practices.

2.2 Work-family enrichment and teaching practices

Work-family enrichment refers to the relationship between work and life, defined as how experiences in one role enhance the quality of life in the other (Greenhaus & Powell, 2006). Within this concept are two directions: work-to-family and family-to-work (Kacmar et al., 2014). Research has shown that work-family enrichment significantly mediates the relationships between self-esteem, optimism, supervisor support, and job satisfaction, respectively (Burhanudin et al., 2023; Jaga, 2007; Hezkiau-Ludwig & McCarthy, 2018; Baral & Bhargava, 2010; Michel, 2015).

With the changes in women's identity after the birth of their first children (Stryker, 1980), mothers construct their role commitment, behavior, and identity within the interrelationships among self, role, and society. Nuttbrock and Freudiger (1991) argued that identity prominence invokes a mothering identity in diverse situations, driven by the intensity of emotions associated with being perceived as a "good" or "bad" mother. Additionally, the qualitative dimension of role commitment can predict identity salience and prominence. The traditional role behavior of mothers often involves making sacrifices for their children and accepting the burdens of motherhood. Factors such as role praise, gratification, and strain may have a marginal influence on working mothers' identity and behavior, including their self-esteem, confidence, and emotions, which can often cause distress in both work and life.

Therefore, when mother teachers can balance the influencing factors within their identity, change their pessimistic attitudes towards childcare and teaching, and form a positive perception of the work-family nexus, the dual roles of motherhood and teaching harmonize, bringing them self-confidence, optimism, and hence, improving their work-family enrichment. This improvement is hypothesized to influence their teaching practices positively. Accordingly, we hypothesize:

Hypothesis 2 (H2). Motherhood identity has a significant positive influence on work-family enrichment.

Hypothesis 3 (H3). Work-family enrichment has a significant positive influence on teaching practices.

Hypothesis 4 (H4). Work-family enrichment mediates between motherhood identity and teaching practices.

2.3 Community involvement, motherhood identity, and teaching practices

Community involvement encompasses a dynamic and interactive approach, wherein all participants actively engage in activities that foster community development. In this context, "community" transcends mere physical location; it represents a multifaceted concept, including processes, institutions, interactions, emotions, cognition, and structures. Literature explores various facets of community involvement, such as its significance, underlying motives, diverse forms, impact areas, stakeholders involved, and evaluation methods. Dewey (1980) emphasized the educational role and responsibility of the community, which is crucial in enhancing



students' well-being and social capital (McLaughlin et al., 1994).

Hallman (2019) stressed the importance of community-based settings for teachers' learning. Lave and Wenger's (1991) theory of communities of practice emphasizes significant learning within groups that share common interests and experiences. Research indicates that teachers intentionally seek individuals with specific knowledge or experiences to broaden their range of teaching methods (Keung, 2009; Moore, 2003). Teachers' participation in community-based initiatives facilitates the development of their instructional practices (McMillon, 2017). Furthermore, their communication and collaboration with like-minded individuals during community involvement enhances their skills (Preece, 2017).

Moving towards openness to community involvement, Suero Montero and Oliveira Leite (2022) underscore the vital role in fostering collaboration between teachers and community experts, thereby benefiting both teachers and students in their teaching and learning endeavors.

Engagement in community activities is becoming increasingly active for schools and teachers, enabling contextualized learning experiences alongside external stakeholders (Assante & Momanu, 2021). Moreover, the development of community-based participatory research (CBPR) has highlighted the interactions between experts, teachers, volunteers, and practitioners (Linabary et al., 2017). Ohayon and Albulescu (2022) examined how teachers' participation in a professional learning community influences their teaching skills and various classroom teaching practices, including the use of digital tools and diverse teaching aids. Reasoner (2017) examined external factors that influence teachers' beliefs about community participation, including a lack of personal time due to family commitments, childcare responsibilities, and excessive workloads.

When motherhood identity might hinder work-family enrichment, potentially influencing teachers' professional development, community involvement moderates the relationship between motherhood identity and teaching practices. Accordingly, we hypothesize: Hypothesis 5 (H5). Community involvement has a moderating effect on the relationship between motherhood identity and teaching practices. Drawing on the literature review, Figure 1 shows the relationship between the constructs and four hypotheses.

3. Methodology

This study investigated the proposed hypotheses using a survey in the context of China. It explores the relationship between motherhood identity, work-family enhancement, community involvement, and teaching practices among English teachers. By unveiling the dynamics of these constructs, we seek to shed light on a multifaceted aspect of the English teaching profession that has remained relatively unexplored. A PSL-SEM was employed to analyze data from a survey of 354 female English teachers with a motherhood identity across China. Each respondent was selected using purposive sampling. A questionnaire included measures for motherhood identity, work-family enhancement, community involvement, and English teaching practices.

Table 1 shows the detailed information about the participants. All the participants are mother teachers, with 30.8% aged 22–35 and 42.1% aged 36–45. 57.9% come from cities and towns, while 42.1% are from rural areas. 32.5% are graduates from Junior college, and 49.2% are undergraduates from college or university. Only 6.5% have a doctoral degree, and 9.0% have a master's degree. 45.5% own the intermediate professional title, 22.3% have the senior title, and 32.2% have the primary title. 26% have 7–10 years of teaching experience,

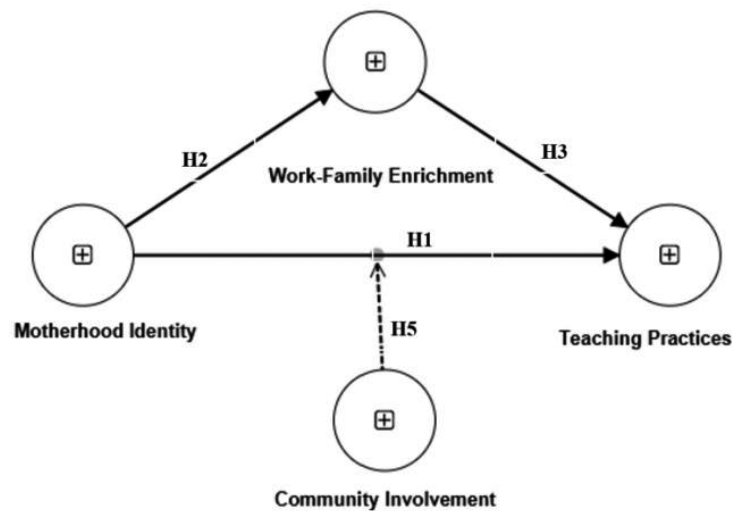


Figure 1. A structural model with a mediating and moderating effect.

Note. H1 = Motherhood Identity → Teaching Practices; H2 = Motherhood identity → Work-Family Enrichment;
 H3 = Work-Family Enrichment → Teaching Practices;
 H4 = Motherhood Identity → Work-Family Enrichment → Teaching Practices
 H5 = Community Involvement × Motherhood Identity → Teaching Practices

18.1% have 11–15 years, 26.8% have 1–3 years, and 12.4% have 4–6 years. Their monthly incomes vary from lower than 3000 RMB to higher than 8000 RMB; 35.0% range from 30001–5000RMB, 23.7% from 5001–8000 RMB, 20% reach above 8000RMB, and 21.2% lower than 3000RMB.

Table 1. Participant Demographics (n=354)

Demographics	Category	Frequency	Percent
Gender	Female	354	100.0
Marriage	Married	354	100.0
Motherhood	Yes	354	100.0
Age	22–35	109	30.8
	36–45	149	42.1
	45 above	96	27.1
Teaching location	Cities and towns	205	57.9
	Rural	149	42.1
Education	Senior high school	10	2.8
	Junior college	115	32.5
	Undergraduate	174	49.2
	Master	32	9.0
	Doctor	23	6.5
Professional title	Primary	114	32.2
	Intermediate	161	45.5
	Senior and above	79	22.3



Demographics	Category	Frequency	Percent
Years of teaching	1–3	44	12.4
	4–6	54	15.3
	7–10	95	26.8
	11–15	64	18.1
	16–20	66	18.6
	20 above	31	8.8
Monthly income	Less than 3000 (RMB)	75	21.2
	3001–5000	124	35.0
	5001–8000	84	23.7
	8000 above	71	20.1

The survey instrument was initially in Chinese to minimize misunderstandings caused by differences in expression between languages. The original questionnaire consists of 28. After reconsidering the construct, the final items are 13, evaluating motherhood identity, work-family enhancement, community involvement, and teaching practices. A field survey was deployed to respondents using self-administered and electronic online questionnaires. A total of 354 responses were deemed usable for analysis. All items use a seven-point Likert-type scale, ranging from 1 (strongly disagree) to 7 (strongly agree). The obtained data were analyzed using Smart PLS 4.0.

Table 2 displays all the items and scales representing the latent variables. Motherhood Identity (MI) encompasses five indicators that are reflective of the construct MI, meaning that due to having a motherhood identity, mothers may realize the influence of it, covering the facilitating role (MI1), better understanding (MI2), inspiring role (MI3), willingness to reform (MI4), and engagement in teaching (MI5). Work-family enrichment (WFE) has two items, indicating (1) to what extent mothers can manage their work and childcare (WFE1) and (2) to what extent mothers perceive the positive effect of their mothering experience on teaching practices (WFE2). Here, WFE is measured as a reflective construct, which regards WFE as the cause of the two indicators.

Table 2. Items and scales for all latent variables

Latent variable	Items	Scale	References
Motherhood Identity	MI1(Q23)	As a mother and a teacher, your motherhood experience can facilitate your interaction with students.	Chambers, 2017; MacDonald, 1999
	MI2(Q24)	Since becoming a mother, you understand and accommodate students better.	
	MI3(Q25)	Since becoming a mother, you have been inspired to explore new teaching styles through your motherhood experience.	
	MI4(Q26)	Since becoming a mother, you have a greater willingness to advocate for educational reforms in teaching.	
	MI5(Q27)	Since becoming a mother, you are more inclined to engage in your teaching work.	

Community Involvement	CI1(Q28)	Your involvement in the community (volunteering) is closely related to your profession.	Montero & Leite, 2022; Hallman, 2019; Sikes, 1998
	CI2(Q29)	You often take your children with you when engaging in community volunteer work.	
	CI_global	You believe community (volunteer) work can enhance your teaching and research.	
Work-Family Enrichment	WFE1(Q9)	You can manage the relationship between work and childcare.	Knowles et al. , 2009; Kehily & Thomson, 2011; Suero Montero &Oliveira Leite, 2022
	WFE2(Q11)	The experience of raising children has a positive influence on your teaching.	
Teaching Practices	TP1(Q15)	I encourage students to actively ask and explore questions by designing real-life activities to encourage them to solve problems and showcase their abilities in class.	Ohayon & Albulescu, 2022; Bentley et al. , 2020; Fuller et al. , 2005; Laney et al. , 2014, 2015; Pinnegar, 2005; Pinnegar et al. , 2005
	TP2(Q21)	I utilize various teaching resources to cater to students' diverse learning needs and styles.	
	TP_global	How do your students evaluate your teaching style, effects, and teaching philosophy?	

Note. In reliability statistics, Cronbach's Alpha is 0.865, with 13 items.

Community involvement (CI) is designed as a formative construct, indicating two aspects: (1) to what extent mothers' community involvement is associated with their profession (CI1); (2) to what extent mothers' engagement in community activities is associated with their children (CI2). English teaching practices are assigned two dimensions, highlighting teaching methods and instructional strategies (TP1) and utilization of teaching resources (TP2).

In SPSS, the overall reliability of the scale is good, with an α value of 0.865. Additionally, CI_global and TP_global are testing for the total score of constructs CI and TP because they are designated as formative variables, which require redundancy analysis through the sum of items in principal composite analysis (PCA) (see Figure 2). Redundancy analysis tests the correlation between the formative construct and its reflective counterpart (Chin, 1998). The redundancy estimates in Figure 2 are 0.718 and 0.812, indicating that the formative constructs of CI and TP are as reliable as their reflective constructs.

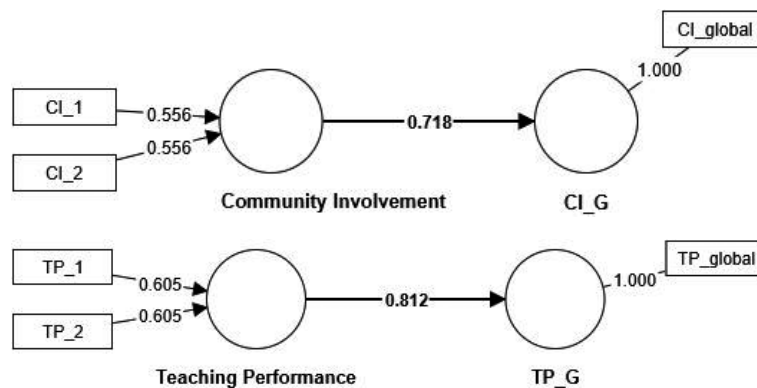


Figure 2. Formative Construct Reliability Estimates of the redundancy analysis through PCA

Table 3 shows the descriptive statistics and correlations between the latent variables. The mean value of each indicator ranges from 4.31 to 4.5466, indicating a relatively balanced distribution, while the standard deviation of each indicator ranges from 1.36423 to 1.680, displaying a small dispersion in the sample data. Klein and Zhang (1999) suggested that if the absolute value of skewness in sample data is below three and the absolute value of kurtosis is less than 10, the observed variables are in a typical normal distribution. In this study, the absolute values of skewness for all items are below 3, and the absolute values of kurtosis are less than 10, demonstrating a normal distribution.

Table 3. Descriptive Statistics of the Variables and Correlations Between the Variables

Variables	Indicators	Range	M(SD)	Skewness (SE)	Kurtosis (SE)
Motherhood Identity	MI1_Facilitation of Teacher-Student Interaction	6	4.50 (1.567)	-.051 (.130)	-.822 (.259)
	MI2 _ Enhanced Understanding of Students	6	4.39 (1.513)	-.025 (.130)	-.580 (.259)
	MI3 _ Innovative Teaching Styles Due to Motherhood	6	4.44 (1.650)	-.107 (.130)	-.894 (.259)
	MI4 _ Willingness for Educational Reforms	6	4.62 (1.626)	-.147 (.130)	-.875 (.259)
	MI5 _ Increased Teaching Engagement Post-Motherhood	6	4.44 (1.557)	-.075 (.130)	-.714 (.259)
Community Involvement	CI1 _ Professional Relationship with Community Involvement	6	4.31 (1.680)	-.038 (.130)	-.897 (.259)
	CI2 _ Inclusion of Children in Community Involvement	6	4.38 (1.536)	-.049 (.130)	-.747 (.259)
Work-Family Enrichment	WFE1 _ Effective Work-Childcare Management	6	4.47 (1.628)	-.153 (.130)	-.757 (.259)
	WFE2 _ Positive Influence of Child Rearing on Teaching	6	4.48 (1.616)	-.096 (.130)	-.764 (.259)
Teaching Practices	TP1_Active Questioning and Real-life Activity Design	5.67	4.4284 (1.36900)	-.238 (.130)	-.886 (.259)
	TP2_Adaptive Teaching Resources Utilization	6.00	4.5466 (1.36423)	-.223 (.130)	-.667 (.259)

4. Results

To assess the reliability and validity of the measurement instruments, we conducted internal consistency reliability analyses using Smart PLS 4.0. Table 4 displays the results, showing high internal consistency for all constructs: motherhood identity ($\alpha = 0.867$), work-family enrichment ($\alpha = 0.745$), community involvement (estimate = 0.718), and teaching practices (estimate = 0.812). Table 4 also shows the convergent validity of reflective constructs (MI, WFE) and formative constructs (CI, TP). The outer loadings of motherhood identity

are 0.804 (MI1), 0.785 (MI2), 0.826 (MI3); outer loadings of work-family enhancement are 0.904 (WFE1), 0.881 (WFE2). The outer weights of community involvement are 0.582 (CI1) and 0.530 (CI2); the outer weights of teaching practices are 0.633 (TP1) and 0.574 (TP2). Generally, the outer weights of formative construct are not as high as the reflective ones. So, all the values of convergent validity are acceptable, meaning that the indicators within each construct reliably measure the underlying constructs. Table 4 also shows that the AVE for each construct is higher than the correlations between that construct and other constructs, indicating good discriminant validity.

Table 4. Internal consistency reliability, convergent validity, discriminant validity, and weights' statistics

Internal Consistency Reliability					
Construct	Cronbach's alpha	Composite reliability (rho_a)	Compositereliability (rho_c)	(AVE) *	Estimates *
MI	0.867	0.872	0.904	0.653	–
WFE	0.745	0.750	0.887	0.797	–
CI	–	–	–	–	0.718
TP	–	–	–	–	0.812
Convergent validity of reflective and formative constructs					
Reflective Constructs	Indicators	Outer loadings	Formative Constructs	Indicators	Outer weights *
Motherhood Identity	MI1	0.804	Community Involvement	CI1	0.582
	MI2	0.785		CI2	0.530
	MI3	0.826	Teaching Practices	TP1	0.633
	MI4	0.812		TP2	0.575
Work-Family Enrichment	WFE1	0.904			
	WFE2	0.881			
Discriminant Validity Cross-loadings					
Indicators	Community Involvement	Motherhood Identity	Teaching Practices	Work-Family Enrichment	
WFE1	0.315	0.340	0.378	0.904	
WFE2	0.278	0.342	0.307	0.881	
TP1	0.341	0.375	0.845	0.317	
TP2	0.364	0.304	0.808	0.320	
MI1	0.211	0.804	0.307	0.282	
MI2	0.213	0.785	0.309	0.305	
MI3	0.287	0.826	0.398	0.321	
MI4	0.223	0.812	0.319	0.305	
MI5	0.286	0.814	0.321	0.325	



CII	0.908	0.265	0.394	0.298	
CI2	0.888	0.284	0.368	0.301	
Correlations Between the Variables					
Variables	Community Involvement	Motherhood Identity	Teaching Practices	Work-Family Enrichment	
CI	–	0.305	0.425	0.333	
MI	0.305	–	0.412	0.382	
TP	0.425	0.412	–	0.385	
WFE	0.333	0.382	0.385	–	

Note. AVE Average variance extracted; $AVE \geq 0.5$. Estimates the value of the redundancy analysis. Redundancy analysis tests whether the formative construct is highly correlated with the reflective measure of the same construct (Chin, 1998). Convergent validity, as assessed by redundancy analysis, was 0.70, meeting the minimum requirement (Frank Falk, 2017). The higher the weight, the stronger the indicator's relevance for forming the formative construct (Hwang et al., 2020).

We used fit indices to assess the overall fit of the structural model. The results in Table 5 indicate a satisfactory fit to the data (with SRMR = 0.066), confirming that the structural model adequately captures the underlying dynamics.

The structural model specifies path coefficients, demonstrating the strength and direction of these relationships. Table 5 presents the path coefficient results. All the paths are statistically significant at the 95% confidence interval.

We utilized bootstrapping analysis to examine the mediation effect of work-family enrichment on the relationship between motherhood identity and teaching practices, indicating a significant indirect effect of motherhood identity on teaching practices, with VAF = 21.5% (Table 5), which suggests a partial mediating effect of work-family enrichment.

Table 5. Structural model estimates and model fit statistics

Path relationship	Path coefficient estimate	Standard deviation (STDEV)	T statistics	VIF	2.5%	97.5%	p-value
CommunityInvolvement->Teaching Practices	0.279	0.048	5.784	1.173	0.185	0.375	0.000
Motherhood Identity->Teaching Practices	0.239	0.048	4.936	1.224	0.144	0.332	0.000
Motherhood Identity->Work-Family Enrichment	0.381	0.045	8.530	1.000	0.293	0.470	0.000
Work-Family Enrichment->Teaching Practices	0.172	0.050	3.463	1.260	0.076	0.270	0.001
Community Involvement x Motherhood Identity -> Teaching Practices	0.195	0.047	4.168	1.030	0.097	0.281	0.000
Model Fits Statistics	Saturated model	Estimated model					
SRMR	0.048	0.066					
NFI	0.871	0.855					

Path relationship	Path coefficient estimate	Standard deviation (STDEV)	T statistics	VIF	2. 5%	97. 5%	p-value
<div style="display: flex; justify-content: space-between;"> VAF 21. 5% </div> $\frac{0.381 \times 0.172}{0.381 \times 0.172 + 0.239}$							

Note. The variance inflation factor (VIF) is used to test for collinearity. $VIF < 3$, indicating ideally, $SRMR$ = the standardized root mean square residual, $SRMR < 0.080$ represents a goodness of model fit. NFI = the normed fit index; $NFI > 0.80$ indicates that the model fits the empirical data. (Latan et al., 2019)

The empirically validated inner model is presented in Figure 3, which shows that the obtained data support H1, H2, H3, H4, and H5. The direct path from motherhood identity to teaching practices represents the direct effect.

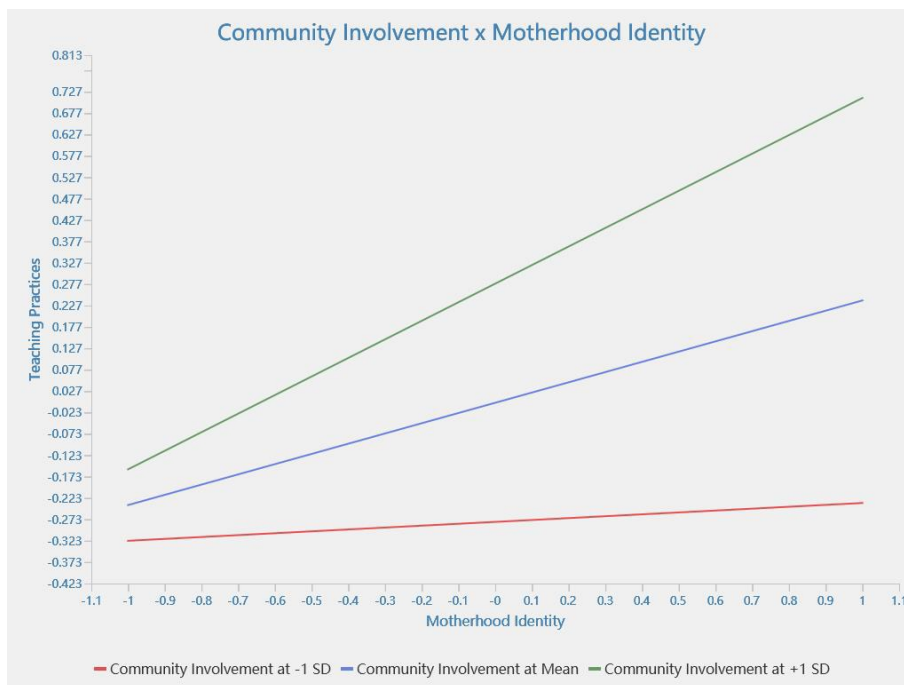


Figure 3. The inner model with path coefficients and p-values

The moderating coefficient is 0.195 and significant. Figure 4 is the simple slope analysis, indicating how community involvement moderates the relationship between motherhood identity and teaching practices.

Table 6. f^2 Effect sizes

f ² Effect sizes			
Constructs	Community Involvement	Teaching Performance	Work-Family Enrichment
Community Involvement		0.099	
Motherhood Identity	0.103	0.070	0.170
Work-Family Enrichment		0.035	

Community Involvement x Motherhood Identity		0.052	
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Note. f^2 qualifies effects in terms of their contributions to the R^2 . f^2 values of 0.02, 0.15, and 0.35 represent small, medium, and large effect sizes.

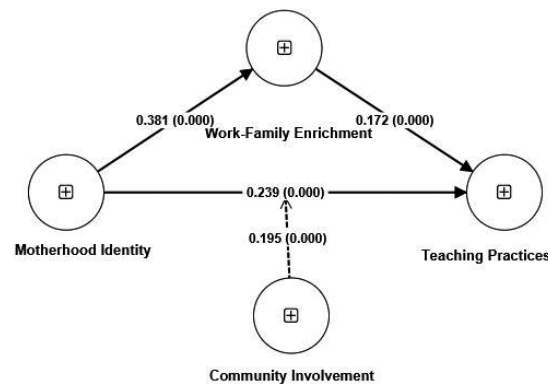


Figure 4. Simple slope analysis

Table 6 presents the effect sizes of the constructs, indicating a medium effect size ($f^2 = 0.170$) from motherhood identity to work-family enrichment.

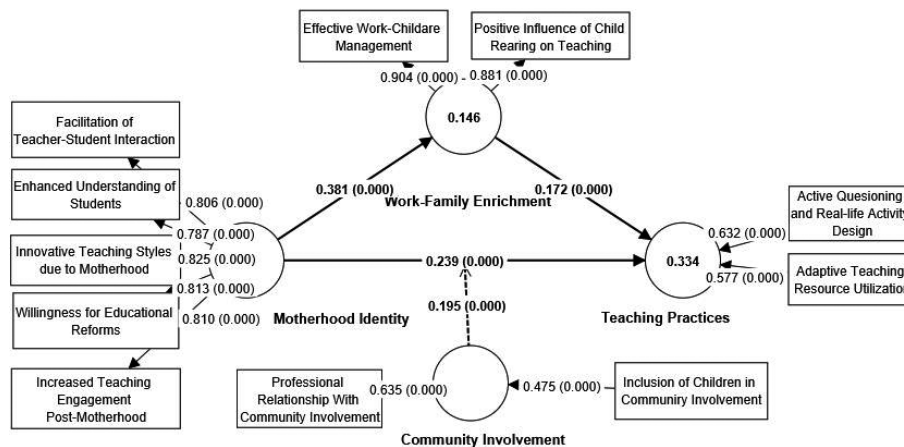


Figure 5. Overall model (outer model and inner model)

Figure 5 illustrates the overall model, comprising both the inner and outer models.

5. Discussion

This research examined how the motherhood identity of English teachers influences their teaching practices. Additionally, it investigated the mediating role of work-family enrichment in the relationship between motherhood identity and teaching practices. Furthermore, it examined the moderating role of community involvement in this relationship. The study was conducted among a sample of English mother teachers in China and supported the hypotheses (H1-H5). Specifically, motherhood identity has a significant and positive influence on teaching practices, suggesting that for English teachers, a motherhood experience can enhance their effectiveness in

teaching. This finding indicates that the identity and roles of female teachers are enriched through motherhood.

5.1 The mediator of work-family enrichment between motherhood identity and teaching practices

The mediation of work-family enrichment acts as a bridge between motherhood identity and teaching practices, connecting childcare responsibilities and professional pursuits (Heskiau & McCarthy, 2021), which benefits the teachers, their children, and students, enhancing their teaching effectiveness, shaping student perceptions, influencing their teaching styles, and contributing to their professional growth (Laney et al., 2014). This partial mediating role emphasizes the importance of work-family enrichment (Crain & Hammer, 2013; McLaughlin et al., 1994) in constructing motherhood identity and fostering female teachers' professional development. Theoretically and empirically, the mediation through work-family enrichment advances the identity theory of Stryker and Burke (2000).

Theoretically, identity encompasses individuals' self-attitudes toward their role behavior, where the concept of "self" comprises a collection of identities. The prominent identity is called identity salience, which varies in terms of different contexts, intentions, interests, and demands. Therefore, a hierarchy of salience exists among all the identities (Desrochers et al., 2002). For instance, the identity of mothering English teachers comprises a multifaceted self, such as mother and wife in the family, teacher and employee at work, neighbor and volunteer in the community. Moreover, their hierarchy of identity salience, to some extent, is invoked by these different situations and pursuits.

Empirically, studies on teachers from primary and secondary schools, as well as undergraduate institutions, have examined pro-family work support, professional identity and job satisfaction, demonstrating that work-family enrichment acts as a mediator and highlighting the importance of establishing positive work-family relationships in improving teachers' job satisfaction (Wei et al., 2025; Zhang & Chang, 2025). Wang et al. (2025) investigated physical education teachers' conflicts between work and family roles, concluding that work-family facilitation can impact their work engagement through a significant mediation effect.

Additionally, studies on work-family enrichment mediation have expanded to other professions, including insurance employees, public hospital nurses, and school counselors, finding that work-family enrichment predicts work outcomes and mediates between job resources and job embeddedness (Wayne et al., 2006; Zhang et al., 2025; Liu et al., 2025).

Thus, work-family enrichment, with a binary direction, is inevitably playing a crucial role in benefiting a mothering teacher when they can skillfully transform their knowledge and experience of childcare and English teaching into identity salience. In this regard, the mediating role of work-family enrichment can foster the mutual transformation in identities between mothers and teachers, therefore, making a positive partial effect between childcare and teaching practices.

5.2 The moderator of community involvement between motherhood identity and teaching practices

The presence of community involvement significantly strengthened the positive relationship between motherhood identity and the teaching practices of female English teachers. When community involvement was high, motherhood identity had a more substantial positive effect on teaching practices. When community involvement was low, the effect became non-significant. These findings underscore the importance of community



engagement in the identity construction and professional development of mother English teachers.

For mothers balancing their time between nurturing their children and their professional obligations, the community acts as a moderator, connecting the dual roles. This connection expands teachers' perspectives, fostering insightful thinking and encouraging exploration for professional growth (Dori, 2018; Hallman, 2019). Community involvement helps balance motherhood and teacher identity, representing a dynamic and moderating equilibrium (Assante & Momanu, 2021). By establishing a link between motherhood and community involvement, teachers are better equipped to navigate the challenges posed by their roles.

Exploring how community involvement aligns with English teachers' academic and research interests offers distinct advantages (Pinnegar et al., 2005). Activities such as storytelling sessions, reading salons, psychological workshops, and bilingual and other language programs are thriving in many communities worldwide. These initiatives attract mothers to participate by providing excellent opportunities to foster children's prosocial and language skills.

Furthermore, these community activities offer opportunities for mother teachers to observe language-related events outside the classroom. Such experiences offer valuable insights that enrich their teaching practices and inspire further research endeavors (Romansyah, 2023). As teachers become more deeply involved in community activities, they transition into volunteer teaching roles. This transformation seamlessly blends their teacher and motherhood identities, highlighting how motherhood positively influences English teachers' community involvement, thereby facilitating their work-family enrichment.

In the classroom, they willingly share their experiences in community involvement with their students, actively encourage students to participate in community activities, and demonstrate genuine concern for students' practical skill development. Teachers proactively and flexibly adjust their teaching styles and philosophies to meet the needs of both society and their students. As a result, students readily perceive this multifaceted role transformation, observing their teachers evolving from dedicated mothers and educators into socially engaged volunteers and advocates. Simultaneously, their children actively participate in community activities alongside their mothers (Simmons et al., 2021), enhancing their kinship, prosocial abilities, and communication skills.

5.3 Implications

Our study highlights the significant interplay between motherhood identity, work-family enrichment, community involvement, and teaching practices among English mother teachers (Chambers, 2017). These findings bear practical implications for teachers, educational institutions, and policymakers (Linabary et al., 2017). For teachers, it is necessary to reconsider their various identities under different circumstances, integrate their knowledge and skills in childcare into teaching practices, and initially explore practical cooperation with the community. Regarding schools and colleges, it is vital to take measures and inspire teachers to do in-depth research and develop high standards of extracurricular activities and curriculum to meet community and student needs. Policymakers can foster educational synergy by promoting home-school-community integration. This study underscores the importance of recognizing and supporting teachers in harmonizing their roles as mothers and educators, ultimately enriching the educational experience for teachers and students.

5.4 Limitations and further research

This study has certain limitations. For instance, our research may be context-specific, given that it was

conducted with a particular group of English teachers in China. Therefore, the generalizability of our findings to other contexts should be considered with caution. Future research in this area could further investigate how community involvement affects work-family enhancement for English teachers and extend the investigation to educators in other fields and diverse cultural settings.

In summary, this study underscores the pivotal role of community involvement in shaping motherhood identity and highlights its multifaceted implications. As our understanding of identity theory continues to evolve, it becomes increasingly evident that there is much more to explore and discover in the intricate interplay between identity, community, and teaching.

6. Conclusion

In conclusion, this study explored the impact of motherhood identity on work-family enrichment and teaching practices, as well as how community involvement moderates the relationship between motherhood identity and teaching practices. Using PLS-SEM analysis, we found that a motherhood identity can have a positive impact on the teaching practices of English teachers. Simultaneously, community involvement can positively influence teaching practices as a moderating factor. Notably, motherhood identity also directly contributes positively to work-family enhancement. These findings align with work-family enhancement theory and identity fusion theory, enriching our understanding of the relationship between self, society, and behavior through empirical evidence, specifically in the contexts of motherhood, community, and teaching.

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Toward a Dynamic and Communicative Art History: Reflections on Classroom Interactions in a Western Art Survey Course

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Abstract: This is a review of classroom interactions in the spring semester of the Introduction to Western Art History course. Given the extensive content coverage and tight schedule, as well as the experimental nature of the course, adjustments are made every year. To encourage students' participation and promote exchange of ideas, this year's lesson planning incorporated more interactive elements, which in retrospect can be categorized into four types: impromptu Q&A, preview-based checks, student-generated questions, and collaborative artwork analysis. Each interaction method is demonstrated with specific examples. Overall, these initiatives successfully encouraged student engagement and created a more dynamic classroom atmosphere, though there remains significant room for further improvement.

Keywords: classroom interaction; Western Art History

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In this age of information overload, knowledge appears readily accessible, yet both students and teachers often feel overwhelmed. This is particularly true for my elective course, Introduction to Western Art History. Designed as a semester-long course, it comprises just 24 contact hours (16 sessions of 90 minutes each) yet must address 30,000 years of artistic production—from prehistoric cave paintings to contemporary works. After teaching it several times while striving to cover vast material, I concluded that the course's focus should shift from sheer content coverage to nurturing curiosity, open-mindedness, and observational and critical thinking skills. This pedagogical shift aligns with core principles of constructivist learning theory, which posits that knowledge is actively constructed by learners through experience and social discourse, rather than passively received (Vygotsky, 1978; Bruner, 1996). Ultimately, what matters most is the authentic dialogue between



teacher and students, who become fellow travelers in exploring art.

1. Modes of Classroom Interaction

This semester, I prioritized idea exchange and deliberately integrated structured classroom interactions into lesson plans (previously, these had been more spontaneous than intentional). Reflecting on this shift, I identify four distinct modes of interaction employed so far:

1.1 *Impromptu Question and Answer*

This type of interaction is the most frequently used. The term “impromptu” applies only to the students, as they do not need to prepare in advance. Questions arise spontaneously when specific artworks are introduced, and students are typically asked to share their immediate reactions. This method effectively engages students and sharpens their observational skills.

For example, during a discussion of late-Gothic and early-Renaissance Italian paintings, students were asked to compare three works on the same subject: *Virgin and Child (Madonna Enthroned)* by Duccio, Cimabue, and Giotto. These works are now displayed together in the Uffizi Museum, offering a unique opportunity to examine the artists’ styles side by side. Students first viewed slides of the paintings and shared their general impressions, selecting the one they resonated with most. A few were then asked to explain their choices. Interestingly, several favored Duccio’s version due to its frame, while none initially chose Cimabue’s work—a result that surprised me. However, when the comparison deepened—focusing on details such as the portrayal of the Madonna and the vividness of the Christ child—most students revised their opinions, with Cimabue’s Christ child ultimately receiving the most votes.

This exercise both puzzled and challenged the students. It transcended mere teacher-student interaction, becoming a dialogue between viewers and artists. In summary, it highlighted three key points: 1) the necessity of careful observation when analyzing art; 2) the inherent unreliability of first impressions; 3) the fluidity of artistic perception, which shifts with context, perspective, and personal experience. Even through slides, the activity underscored the dynamic nature of artistic appreciation.

1.2 *Preview-Based Checks*

Students are assigned preparatory materials to review before class. During the lecture, the teacher poses questions to verify their engagement with the preview. However, the primary purpose is not assessment but rather to provide essential background knowledge. These checks are woven into the lesson as introductions or transitional segments.

Example 1:

Prior to a lecture on ancient Roman art, students were assigned to read “An Outline of Roman History” (p. 159, *Art Through the Ages*) to familiarize themselves with major historical periods and key emperors—knowledge crucial for understanding stylistic developments. While the act of previewing alone would suffice, a brief interactive review was incorporated to reinforce accountability. A three-slide activity was designed. On the first two slides were images of the Colosseum and Pantheon, each paired with portraits of three emperors.

Students guessed under whose reign each building was constructed. On the third slide was an equestrian statue of Marcus Aurelius alongside three portrait busts of different emperors, and students identified the statue's subject. This lighthearted "check" served as an engaging introduction to Roman architecture and sculpture, making the distant historical period more approachable.

Example 2:

Before discussing Gothic architecture, students were asked to preview an illustrated diagram of a Gothic cathedral (p. 347, *Art Through the Ages*), focusing on key terminology. This preparatory work served as an essential foundation for even preliminary engagement with Gothic architecture. Given the challenging nature of the material, the subsequent knowledge verification was intentionally conducted in a lighthearted manner.

To bridge the transition from Romanesque to Gothic architecture seamlessly, the session commenced with a brief recap of characteristic Romanesque features. Students examined several Romanesque structures not previously covered, comparing their distinctive barrel vaults against prototypical Gothic vault designs. The "checking" then focused on just three critical exterior elements—rib vaulting, pointed arches, and flying buttresses—which collectively embody the fundamental distinctions between Gothic and Romanesque architecture. Students worked from labeled illustrations, simply matching terms to visual components. Later, when examining interior features, two additional terms were similarly verified. These deliberately low-pressure preview-check exercises proved effective in demystifying complex architectural concepts for students.

1.3 Student-Generated Questions

Students receive advance notice (typically one week) of upcoming lecture topics and are encouraged to formulate questions about aspects they find either perplexing or intriguing. The intentional choice of the terms "perplexing" and "intriguing" serves to engage students emotionally, thereby stimulating active critical thinking and deeper intellectual curiosity.

For example, prior to a lecture on early 20th-century paintings, students were introduced to eight major artistic movements (commonly referred to as "isms") and their representative works. Each student was tasked with preparing one question about a topic that personally captured their interest. During the class discussion on Fauvism, I began by sharing a reflection from Henri Matisse: "My choice of colors does not rest on any scientific theory; it is based on observation, on sensitivity, on felt experiences..." (Kleiner, 2010) This quotation immediately resonated with the students, particularly SLDW, who observed that it directly addressed his pre-prepared question regarding the seemingly arbitrary use of color in André Derain's *Charing Cross Bridge*.

The discussion quickly gained momentum. JTZ contributed an engaging anecdote about Derain improvising with his fingers to create a work when he found himself without brushes. TYQ raised a perceptive question that explored the distinctions between Post-Impressionism and Fauvism, prompting a thoughtful exchange among the class. Meanwhile, TZCY offered an original hypothesis, suggesting that Fauvism's eventual decline may have been influenced by the artists' own unease with the intensity of their vibrant color palettes.

This type of interaction presents a unique pedagogical challenge, as the teacher cannot anticipate students' questions prior to class. While advance knowledge of these questions might seem advantageous, it would fundamentally compromise the dynamic spontaneity that makes this exercise valuable. In such situations, maintaining an open-minded approach and employing appropriate humor prove essential for fostering a productive



learning environment.

When fielding student questions, the instructor has several strategic options: she may first invite classmates to attempt an answer, thereby encouraging peer-to-peer learning; alternatively, if students appear uncertain, she can provide her own response directly. Particularly complex questions that defy immediate resolution may be respectfully deferred for subsequent research and future discussion. For instance, when student LP raised the profound question regarding “the standard of art,” the most productive approach proved to be eliciting multiple student perspectives before eventually contributing the instructor’s viewpoint. This sequencing not only validates student participation but often yields more nuanced understandings through collective exploration.

1.4 Collaborative Artwork Analysis

Expanding Method 3’s approach, this variant shifts the focus from student questions to personal commentary on self-selected artworks. This approach proves particularly effective when addressing well-known subjects—such as the Renaissance Trinity or the Impressionist movement—where students’ prior familiarity enables them to contribute meaningful perspectives. Such conventional topics, when reexamined through students’ fresh viewpoints, often yield unexpectedly vibrant discussions that benefit both learners and instructors alike.

In preparation for our Impressionism lecture, I tasked students with selecting one work about which they wished to share their opinions, whether laudatory or critical. Following established art historical conventions while incorporating my own curatorial judgment, I assembled comprehensive slide materials featuring major artists and their representative works. The session unfolded organically: before delving into formal analysis of each painter’s oeuvre, I invited students who had chosen relevant works to initiate the discussion.

The lesson commenced with an overview of the Barbizon School as the precursor movement before addressing the etymological origins of “Impressionism”—a term coined from a critic’s disparaging remark about Monet’s 1872 *Impression: Sunrise*. Student HTJ immediately volunteered her interpretation of this seminal work, perceiving in its hazy harbor scene a radiant symbol of hope, a visual embodiment of dawn’s crisp vitality. This observation naturally segued into an examination of Monet’s distinctive palette, particularly evident in his 1867 *The Beach at Saint-Adresse*. To demonstrate the artist’s relentless pursuit of chromatic nuance, I presented his 1879 *Camille Monet on Her Deathbed*, contextualizing the work with his own words about being “...impelled by instinct to paint and nothing but” (Walther, 2013).

While my initial lesson plan had scheduled Monet for later discussion (*Impression: Sunrise* having been shown merely to explain the term’s origin), this student-driven commentary prompted a more fluid progression. After this detour, we returned to examine Manet’s crucial role in transitioning from Realism to Impressionism. The discussion continued dynamically as student YLJ analyzed Manet’s 1866 *A Young Lady*, drawing connections to the same model featured in his more controversial 1863 works *Olympia* and *Luncheon on the Grass*. The latter painting provoked critical remarks from TYQ, who found its coloration conspicuously unnatural—an observation that fortuitously enabled a comparative analysis with Monet’s treatment of similar pastoral themes, for which I had prepared illustrative slides.

Remarkably, this apparently improvisational approach to art historical discussion mirrored the very qualities that define Impressionist aesthetics—the spontaneous brushwork, the embrace of contingency, and the celebration of perceptual immediacy that characterized fin-de-siècle French art. For me as an educator, this session

transcended mere pedagogy to become what I can only describe as a genuinely serendipitous intellectual encounter—an experience I believe resonated equally with my students.

2. Key Insights

Upon reflection, the most impactful lessons from the past semester were undeniably those that fostered meaningful classroom interactions. These sessions stood out for two key reasons. First, they were characterized by a remarkable spontaneity that proved essential for both artistic creation and appreciation. Each of the interaction methods I employed—whether impromptu discussions, preview-based checks, student-generated questions, or collaborative artwork analysis—incorporated an inherent element of unpredictability. This openness to unplanned outcomes created an authentic dialogue that mirrored real-world artistic discourse, where interpretations are never predetermined but emerge through genuine exchange.

Second, these interactive sessions forged deeper connections between artists, their works, and contemporary viewers. As Shen Yuan (2022) eloquently observes, “Art is a container that carries human perception, and humans use art to express their feelings about the world.” (藝術是承載人類感知力的容器,人類用藝術來表達對於世界的感受。) This perspective resonates profoundly with my teaching experience. Artworks serve not merely as vessels of their creators’ emotions, but also as mediums through which viewers—separated by time or space—can communicate. The classroom becomes a dynamic space where these multiple dialogues intersect: between artist and student, between teacher and learner, and among students themselves as they share diverse interpretations of the same work.

A particularly revealing example was our discussion of Monet’s *Impression: Sunrise*. Once a painting I had regarded as overly familiar through its celebrity status, the work took on new vitality through students’ responses. HTJ’s interpretation infused the harbor scene with the optimism of a new dawn, while LYQ analyzed its formal qualities, noting the interplay of warm and cool hues and the composition’s geometric balance. DZCY’s observation about the rising sun’s movement and LCK’s technical appreciation of Monet’s deceptively simple technique all contributed to a collective reappraisal. What I had previously considered “humdrum” became newly remarkable, forever transformed by these fresh perspectives. This phenomenon—where student insights renew my own understanding of canonical works—has become a recurring and cherished aspect of teaching art history, ensuring that the course content remains vibrant and evolving.

3. Future Directions

While the current classroom interactions have proven beneficial and inspiring, significant improvements can still be made.

First, avoid perfunctory discussions. For topics that clearly engage students, invite broader participation rather than limiting contributions to one or two individuals. Balance is key: avoid rushing through topics, but also refrain from excessive dwell time on any single artwork (though this has not yet been an issue, it merits vigilance). To foster deeper dialogue, prioritize open-ended questions that encourage independent thinking before guiding the conversation toward key themes.



Second, adopt stricter selectivity in lesson planning. From weeks nine to twelve (covering the Early Renaissance through the mid-19th century—a span including the High Renaissance, Baroque movements, Rococo, Romanticism and Realism, among others), structured interactions declined, leaving little room for discussion amid dense content coverage. As an introductory Western art course aimed at establishing a foundational framework, it demands judicious curation of artworks. Hippocrates’ adage “Art is long, life is short” and Zhuangzi’s reflection “My life has limits, but knowledge is boundless” (吾生也有涯,而知也無涯) resonate here: artworks are infinite, but class time is not. Greater subtraction is necessary—not just to streamline content, but to create space for critical observation, reflection, and dialogue.

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[Interdisciplinary Studies]

Beyond Deconstruction: Reclaiming History and the Dialectics of National Identity in Postcolonial Theory

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Abstract: This paper critiques postcolonial theory’s deconstruction of national identity and its resulting dehistoricizing tendency. While acknowledging the field’s significance, we argue that its over-reliance on poststructuralist methodologies blurs its distinction from postmodernism and leads to the erasure of national identity’s historicity and materiality, as well as the historical value of anti-colonial struggles. To counter this, we advocate for employing Marxist historicization to reassess national identity’s vital socio-cultural role within specific Third World contexts. Analysis of cases like African nationalism reveals its indispensable function in achieving liberation, forging collective identity, and challenging imperialism. For postcolonial theory to regain critical efficacy and political-ethical relevance in contemporary Third World struggles against neocolonialism, it must transcend its excessive dependency on poststructuralism. Integrating historicization as a core principle and strategically affirming national identity’s contextual, practical value—understood as necessary strategic essentialism—is paramount. This approach revitalizes the theory’s dialectical relationship with history and liberation praxis.

Keywords: postcolonial theory; national identity; dehistoricization; deconstruction; historicization

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1. Introduction

Emerging in the mid-20th century, postcolonial theory represents a significant body of critical thought



centered on multicultural analysis. It critically examines the cultural-discursive power relations between the colonizing metropole and its colonies, encompassing issues such as racism, cultural imperialism, and the dynamics of national and ethnic cultures. (WANG Yuechuan, 1999: 9) Pioneered by scholars including Edward Said, Gayatri C. Spivak, and Homi K. Bhabha, this theoretical framework functions as a potent form of cultural critique. It calls for sustained attention to the voices of minorities and the subjugated that have been neglected, suppressed, and effaced in history and narrative, thereby affirming their existence and intrinsic value. Consequently, postcolonial theory has garnered widespread recognition within the global academic community. It has been widely applied and yielded substantial results in fields such as English studies, history, anthropology, and cultural studies, demonstrating considerable potential to emerge as a dominant critical paradigm. (Sugirtharajah, 2002: 1)

However, postcolonial theory has faced significant critique since its inception. A central point of contention concerns its failure to clearly demarcate itself from postmodernism. This conceptual ambiguity arguably fosters a form of “issue dependency” within its theoretical framework: postcolonial theory frequently adopts the deconstructive methodologies characteristic of Western modernist discourses—targeting concepts like history, nation, and subjectivity—and applies them to the specific domain of colonial relations to formulate its core propositions. Consequently, the theoretical boundaries between postcolonialism and postmodernism often remain blurred, particularly regarding shared concepts, thereby limiting the former’s analytical autonomy.

Focusing on the concept of national identity and its characteristics, this article examines postcolonial theory’s deconstructive approach to national identity and the concomitant tendency towards “dehistoricization” that arises from this critique. We argue that for postcolonial theory to retain its critical efficacy and revitalize its political-ethical relevance, the reconstruction of its theoretical framework must transcend an excessive reliance on poststructuralist paradigms. Instead, it requires integrating “historicization” as a core concept and re-establishing a robust dialectical relationship with history itself.

2. The Deconstruction of National Identity in Postcolonial Theory

The term “identity” originates in algebra and logic, denoting “sameness” or “oneness.” Its conceptual connotations evolved through integration with Western classical philosophy and Freudian psychology. Following the mid-20th-century rise of postcolonial theory, the concept merged with “nation” to form “national identity”—a term of profound conceptual richness and enduring controversy. As noted by ethnic theory scholar Bhikhu Parekh, defining national identity constitutes an astonishingly difficult exercise, a difficulty arising from divergent scholarly interpretations of the “nation” itself. (Qtd. in Mortimer, 2009)

Lenin (2017: 372) asserted that nowhere in the world have there been peoples without a history; such peoples can only be found among historically constituted nations. This perspective aligns with the Marxist conception of nationhood and epistemology, which posits the nation as both a historical category—possessing its own genesis, development, and dissolution—and an empirical entity with distinct origins and historical trajectories. These trajectories form the basis for national imagination. Consequently, national identity itself constitutes a historical category, inherently defined by its historicity.

Moreover, numerous theories advanced by Western modern ethnologists underscore the materiality and

specificity inherent in the concept of ethnic identity. Anthony D. Smith, a pioneering figure in interdisciplinary nationalism studies and a prominent contemporary theorist on ethnicity and nationalism, posits that “ethnic identity” constitutes the central ideal of nationalist ideology. He defines it as follows: the continuous reproduction and reinterpretation of the values, symbols, memories, myths, and traditions that form the distinctive heritage of a nation, as well as the continuous reproduction and reinterpretation of the personal identities of individuals who embody those patterns, heritage, and cultural components. Building on this, Smith (1991: 14) identifies five key characteristics of “ethnic identity”: (1) A historically formed territory or homeland; (2) Shared myths and historical memories; (3) A common popular culture; (4) Legal rights and duties shared by all members; (5) A territory-based common economy. These characteristics collectively demonstrate that ethnic identity embodies shared materiality and determinacy.

Scholars sharing perspectives akin to Smith include thinkers such as Philip Spencer, Howard Wollman, and David Miller. Spencer asserts that national identity fundamentally refers to the extent to which a group considers itself, or is regarded, as members of a given nation. It constitutes a sense of self-cohesion forged through explicit rejection and negation—a profound, perennial feeling that, once established, results in differential treatment between compatriots and foreigners, citizens and outsiders. (2012: 96-98) Thus, Spencer conceptualizes the nation as a specific, tangible entity, while national identity denotes this nation’s relatively stable sense of cohesion. Differing from Spencer, the American ethnologist David Miller does not prioritize a sense of cohesion as the primary basis. Instead, he grounds national identity in a nation’s collective will and conviction to coexist, defining it as a community characterized by five features: fellow-feeling among members, shared beliefs, historical continuity, collective decisions/actions/achievements, a common homeland, and shared public cultural traits. (1995: 21-27) Miller’s articulation of these components—shared conviction, historical continuity, collective agency, homeland consciousness, and cultural distinctiveness—further illustrates the tangible, historical, and definite nature of national identity from an alternative perspective.

In contrast to both the Marxist conception of the nation and the aforementioned nationalist theorists, postcolonial critics, by employing poststructuralist methodologies, subject the concept of national identity to rigorous deconstruction. This deconstruction is initially manifested in Benedict Anderson’s dissolution of the substantiality of the nation from the perspective of its origins. Anderson rejects the notion of the nation as a substantive entity, arguing instead that it is not a social entity with a determinate historical origin, but rather an imagined community, a product of artificial construction. Anderson’s theory reveals the imagined and narrative nature of national identity while simultaneously affirming the validity of its imaginative construction. He contends that nation-building is a positive act of creation, distinguished “by the style in which they are imagined” (Anderson, 1991: 6). It is important to note, however, that postcolonial theory is not satisfied merely with Anderson’s revelation of the discursive constructedness of the nation; it subjects national identity to a more profound deconstruction.

The most representative figure in this deeper deconstruction of national identity is the postcolonial theorist Homi K. Bhabha. Bhabha’s approach bears distinct poststructuralist characteristics. In his seminal essay “DissemiNation: Time, Narrative, and the Margins of the Modern Nation”, he elaborates his ideas on deconstructing national identity, commencing from the experience of diaspora. Drawing on Derrida’s concept of “dissemination”, Bhabha extends it to the category of the “nation.” Graphically, “dissemiNation” is split into



two parts, signifying the “internal contradictions” and “cultural liminality” within the nation. (Bhabha, 1990: 299) “DissemiNation” thus represents the differences and fissures permeating the nation across time and space. Within the play of difference, the signified of the nation remains perpetually unfixed, existing in a state of constant play and *différance*. Bhabha views the heterogeneous elements within the nation as the foundation for deconstructing national identity. His key concepts— “hybridity”, the “third space”, “mimicry”, and “ambivalence”—are all constructed upon this deconstructive foundation.

Similarly, other prominent postcolonial theorists express varying degrees of skepticism towards traditional notions of national identity. Edward Said disavows a singular cultural identity, declaring himself in but always out of place, belonging simultaneously to two worlds without being completely of either. He also imbues “exile” with connotations of cultural resistance, characterizing it as nomadic, decentered, and contrapuntal. Gayatri Chakravorty Spivak (1990: 39), a central figure in postcolonial theory, unequivocally rejects the authenticity of her own national cultural identity: India is not a place where she can confirm a national identity.

Another significant manifestation of postcolonial deconstruction is its tendency to erase the historical value of national independence movements. These movements constitute a crucial component of humanity’s anti-imperialist and anti-colonial lineage, with national identity as their core value. However, the foundational framework of postcolonial theory largely bypasses Third World national liberation struggles. Firstly, *Orientalism* (1978), the seminal text inaugurating postcolonial studies, effectively marginalizes the national liberation movements of former colonies. Grounded in Michel Foucault’s poststructuralist power-discourse theory, *Orientalism* inevitably renders the Orient a silent object within its narrative, sidelining the history of Third World resistance. Even in *Culture and Imperialism* (1993), the value of colonial national independence movements remains insufficiently acknowledged. Within this work, Said expresses concern about their perceived negative consequences: “The anti-imperial struggle, as so many Pan-African, Pan-Arab, Pan-Asian congresses testified, was universalized, and the rift between Western (white, European, advanced) and non-Western (colored, native, underdeveloped) cultures and peoples was dramatized.” (Said, 1993: 199) Gayatri Spivak extends Said’s critical stance, evident in her conceptualization of the “heritage of imperialism.” In *Outside in the Teaching Machine*, she equates “postcoloniality” with the “heritage of imperialism,” arguing that it encompasses political concepts like nationhood, constitutionalism, citizenship, democracy, and socialism. She further contends that the entities these concepts denote do not emerge organically within the historical context of the postcolonial arena. (Spivak, 1993: 280-281) According to this logic, the political independence, democratic institutions, and citizenship rights of former colonies are characterized as part of the “imperialist heritage”. In reality, while these concepts may have originated in Europe, their suitability and meaning within the specific historical contexts of former colonies must be determined through those nations’ own historical practices. It was precisely through the struggle against colonialism that these abstract political concepts acquired new signification, forming a new “historicity” and enabling political rights unimaginable under colonial rule. However, due to her persistent deconstruction of nationalism, Spivak overlooks these historical practices of the formerly colonized peoples themselves. The Asian American historian Arif Dirlik offers a trenchant critique of Spivak’s view, arguing that “she concedes too much” (qtd. in Ahmad, 1995: 5).

Homi Bhabha undertakes an even more thorough dissolution of the value of national independence movements. National narratives are the primary means through which the value of these movements is manifested

and sustained. But for Bhabha, the national narrative is merely a collective fabrication and an oppressive myth. Consequently, in Bhabha's analyses of colonial discourse, figures central to the Indian national independence movement, such as Mahatma Gandhi and Gandhism, remain conspicuously absent. Furthermore, while Bhabha draws on Frantz Fanon's thought, he strips it of its national revolutionary essence, thereby fragmenting Fanon's revolutionary ideas.

It is evident that postcolonial theorists such as Said, Spivak, and Bhabha, utilizing poststructuralist critical methods, have deconstructed the historicity, materiality, and determinacy of national identity, along with the historical value of national independence movements, from various angles. This has resulted in a pervasive "dehistoricizing tendency" within their theories. Concerning the undermining of the practical value of national revolutions, the Indian Marxist theorist Aijaz Ahmad (1992: 71) wryly remarked: "the age of Marxism is over, 'the age of the enjoyment of goods and services' is here! The world was, in other words, bourgeois." Terry Eagleton (2009: 3-23) adopts a similarly critical stance by terming this phenomenon the "politics of forgetting," and arguing that many contemporary theorists have forgotten that nationalism was, in its day, an incredible anti-colonial force.

3. Intellectual Lineage and Positionality: The Roots of Postcolonial Theory's Deconstruction of National Identity

It must be acknowledged that discourses of national identity have played a profoundly positive role in human history. As Hans Kohn (1962: 12) noted, they once served as a signal to rouse the people to break their chains, catalyzing the transformation from autocratic feudal states to modern nation-states. This transformative power manifested itself in the American Revolutionary War, the French Revolution, and the political emancipation of Third World nations from colonial rule. Yet postcolonial theory—a critical discourse reflecting on colonialism's aftermath—engages in deconstructing and dehistoricizing narratives of national identity. What explains this apparent contradiction? The answer lies in both the intellectual lineage of postcolonial theory and the theoretical standpoints adopted by postcolonial intellectuals.

First, postcolonial theory's deconstruction and "dehistoricization" of national identity stem from its alignment with postmodernism's trajectory of deconstructing the nation. From a genetic epistemology perspective, postcolonial theory emerged within the Western academic system, and its core theoretical propositions are deeply rooted in Western postmodern thought. To a significant extent, postcolonial theory's "dehistoricization" of national identity's value represents an extension of postmodernism's deconstructive approach to the nation. The nation, as a core category within the Western system of modern values, is a product of the transformation of Western traditional societies into modern ones. Within the discourse of Western modernity, the discourse of national identity helped modern Europe dismantle religious hegemony and feudal aristocratic privileges, facilitating the transition of Western states from feudal theocracies to modern capitalist societies. This is evidenced by the emergence of unified, centralized modern nation-states in Western Europe during the 15th and 16th centuries, notably in Britain and France.

However, by the mid-to-late 20th century, Western capitalism entered a postmodern phase, also termed the stage of late capitalism. In this phase, the contradictions inherent in modernity became more pronounced, and



postmodernism emerged as its dominant cultural logic. Postmodernism originates from modernism yet rebels against it; its core lies in critiquing and deconstructing the totality, centrality, identity, rationalism, subjectivism, and essentialism championed during modernization (and within traditional Western philosophy). This deconstructive impulse gave rise to the school of deconstructionism, spearheaded by French poststructuralist theorists such as Jacques Derrida (1930 – 2004) and Jean-François Lyotard (1924 – 1998).

Within the cultural logic of late capitalism, the nation, precisely because it emphasizes identity and cohesion, is perceived as possessing essentialist and centralist characteristics, linked to attributes like authoritarianism and violence. Consequently, it became a prime object of deconstruction. As reflected in the works of Homi K. Bhabha (1990: 309-311), traditional narratives of national identity, due to their universalist and rationalist features, are deemed “pedagogical” narratives, while national narratives emphasizing difference and change—termed “performative” national narratives—are highly valorized. Postcolonial theorists, exemplified by Bhabha, follow this postmodernist deconstructive path. By constructing concepts like the nation’s imagined and disseminative nature, they deconstruct national identity as representative of essentialism and rationalism. Simultaneously, they negate the historical value of national movements, exhibiting tendencies towards “nihilization” and “dehistoricization.”

Furthermore, the “dehistoricization” of national identity within postcolonial theory is intrinsically linked to the speaking positions and perspectives of postcolonial intellectuals. Unlike many members of the postcolonial diaspora, postcolonial intellectuals are predominantly socio-cultural elites who often actively relocate to the metropole seeking opportunity. Upon settling there, these intellectuals become deeply embedded within metropolitan society, dependent on its cultural and academic institutions, and gain access to its various resources. Consequently, their native language, culture, and history may gradually become less familiar, and their cultural identity often exhibits a tendency towards “hybridity”. Resonating with this diasporic experience, postcolonial theory reflects upon and critiques essentialist notions of national cultural identity. Spivak, for instance, argues that the nation is a deceptive category, insisting on the “detranscendentalization” and “desacralization” of national discourse. (SHENG Anfeng, 2007: 81) Therefore, postcolonial intellectuals frequently become proponents of cosmopolitan values centered on transcending national identity.

It is evident that postcolonial theory is not a singular, purely “anti-colonial” discourse; it is simultaneously a theory of compromise and negotiation with metropolitan culture. It is precisely through this process of compromise and negotiation that the national identity of the homeland, for these intellectuals, becomes subject to theoretical “dehistoricization”.

4. Beyond Postcolonial Critique: Reclaiming the Historical and Cultural Value of National Identity

It must be acknowledged that in Western history, colonial expansion often gained legitimacy under the banner of national interests, and the construction of national myths became integral to the imperial experience. Many modern concepts—such as progress, equality, and freedom—were likewise distorted and instrumentalized in the name of national interests. Nationalism thus exhibits a complicit relationship with colonialism, sharing isomorphic characteristics. Consequently, within contemporary Western academic discourse, national discourse

primarily functions as an object of introspection and critique among Western intellectuals.

However, it is crucial to recognize that although the category of the nation originated in Europe, its value and significance transformed as it “traveled” from West to East, evolving within altered historical contexts. Assessing the value of national identity necessitates a return to specific historical circumstances and an appreciation of its significance through the lens of historicization. The historical methodology of Marxism asserts that the logical deduction of any concept cannot be divorced from its concrete historical context. As Georg Lukács (1971: 9-10) argued, the historical method—as a methodology intrinsically linked to the concept of totality—holds a central position within traditional Marxist methodology. It represents Marxism’s most crucial legacy and continues to exert a decisive influence on Western Marxism today. Hence, employing the historical materialist approach to transcend postcolonial theory’s deconstructive mystique surrounding national identity, to confront the modern and contemporary histories of the Third World within their authentic historical frameworks, and to formulate a dialectically sound assessment of national identity’s sociohistorical value—this constitutes an imperative theoretical undertaking demanding rigorous scholarly engagement.

Firstly, within the modern history of Third World countries, nationalism has predominantly manifested its positive value. It emerged during anti-colonial national independence movements as a creative adaptation and revision of Western nationalism. Its initial form was precisely anti-colonial nationalism. Throughout its development, anti-colonial nationalism forged distinct cultural identities and values (LIN Ping, 2018: 203). The trajectory of African nationalism serves as a compelling case study.

Historically, African nationalism arose in response to colonial expansion. However, distinct from the European model, African nationalist thought was characterized by a potent consciousness of Black racial identity, forming a direct response to European racially discriminatory colonialism. While debates persist regarding the precise definition of African nationalist thought, as noted by African studies expert Li Anshan, it is indisputable that nationalist movements aimed at achieving national independence and establishing nation-states across Africa and other regions. He further identifies anti-imperialism, anti-colonialism, and the struggle for political independence as the essential features of African nationalist thought. (LI Anshan, 2004: 37, 170) Following independence, African nationalism encountered significant challenges, and the process of national integration proved arduous. Nonetheless, it is undeniable that within Africa’s historical trajectory, the African nationalist movement played a vital positive role:

(1) It facilitated the political independence of over fifty African nation-states.

(2) It fostered the development and construction of an African national identity. Although the anti-imperialist and anti-colonial sentiment within African nationalist thought represented a feeling akin to nationalism rather than being entirely equivalent to a fully formed sense of national identity, it nevertheless contributed significantly to its development.

(3) It undermined the colonialist ideology of white supremacy, contributing to the psychological liberation and cultural confidence of Africans.

(4) It demonstrated a new worldview affirming the equality of nations and the capability of Africans to achieve independence from colonial powers and build their own nations. (LI Anshan, 2004: 170)



Secondly, within the current historical context, Third World nations continue to face the critical mission of opposing imperial hegemony. In this ongoing struggle, national identity retains an indispensable role. After achieving political independence, former colonial nations often failed to attain the anticipated economic development and social stability. Economically, shortly after independence, many became enmeshed in the neocolonial system, specifically the capitalist world-system. Immanuel Wallerstein (2003) pointed out that this system operates through a hierarchical structure comprising core states, semi-peripheral states, and peripheral states. The core states consist predominantly of former colonial metropolises, while the semi-peripheral and peripheral states are largely former colonies. Within this system, former colonies remain economically dependent on the core, supplying raw materials and serving as markets for finished goods, thereby perpetuating a state of underdevelopment. The fundamental logic of this system dictates that accumulated surplus value is unequally distributed to benefit those securing temporary monopolies within the market—an inherently capitalist logic. In essence, surplus value drives the system, and peripheral/semi-peripheral states continue to suffer from unequal exchange imposed by the core.

Politically, many former colonies have experienced social instability and persistent ethnic conflicts. Since the borders of most former colonies, including those in Africa and South Asia, were artificially imposed by colonial powers, they became fertile ground for the emergence and exacerbation of local tribalism. When exploited or supported by external forces, local tribalism can evolve into a highly destructive force, posing significant obstacles to national political unity and economic development (LI Anshan, 2004: 252). Therefore, the construction of a unifying state nationalism and the task of national integration remain profoundly challenging. In this process, national identity plays an indispensable role, because “NATIONAL PRIDE is to countries what self-respect is to individuals: a necessary condition for self-improvement” (Rorty, 1998: 3). Proceeding from the historical imperatives facing the Third World, we should incorporate national identity into the project of cultural politics. We must recognize that postcolonial theory’s deconstruction of Third World national identity can inadvertently align with the West’s pursuit of global hegemony. If we disregard the specific historical context of Third World nations and persistently deconstruct national identity through anti-essentialism, we risk undermining the cohesion of Third World’s cultures. As ZHANG Xudong (2006: 430) contends, vulnerable cultures and institutions often must strategically emphasize an essence—a situational, constructed essence—as a necessary means of survival and assertion. Only by discerning and affirming this strategic essentialism can we correctly and reasonably evaluate the indispensable positive role of national identity within the contemporary Third World context.

5. Conclusion

This paper has analyzed the conceptual connotations and characteristics of national identity, critically examined postcolonial theory’s deconstruction of this concept, and identified its resulting “dehistoricizing” tendency. We argue that this tendency originates in postcolonial theory’s methodological alignment with postmodernist deconstructive approaches and the specific positionality of its diasporic intellectual practitioners. To counter this, we advocate employing the Marxist historical method to transcend the deconstructive mystique surrounding national identity, firmly situating it within the concrete historical context of the Third World. This

historicization enables recognition of national identity's vital historical-cultural value and its ongoing mission within the trajectory of Third World liberation and development.

Crucially, our call to “historicize” the national identity and emphasize its strategic, contextual, and practical value does not equate to endorsing an extreme essentialist view—such as narrow cultural populism. While every nation draws upon its history as a foundation for collective imagination, Stuart Hall (2000: 211) reminds us that the nation is not eternally fixed in some essentialized, archaeological past. Rather, it is constantly being rearticulated within the discourses of history, culture, and power. Postcolonial theory's excessive methodological reliance on Western poststructuralist logic, however, leads it to overemphasize difference, rupture, and fluidity within national discourse while negating its necessary unity, continuity, and stability. Consequently, the theoretical formulations of the nation offered by postcolonial theorists hold limited practical value for Third World nations confronting real-world challenges.

Only by moving beyond this over-reliance on poststructuralism, actively incorporating the Marxist principle of historicization, and reconstructing a dialectical relationship with history, can postcolonial theory reclaim its critical potency and reshape its political and ethical relevance for the contemporary struggles of the Third World.

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To See the Face: Ethical Infinity and Ecological Responsibility in the *Avatar* Films

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Abstract: Commercially successful and artistically ambitious, *Avatar* (2009) and *Avatar: The Way of Water* (2022) represent landmark achievements in sci-fi cinema by fusing epic storytelling with a broad ethical vision. The two films chart the evolution of ethical consciousness in the face of the Other. While the first film dramatizes the ethical awakening of a human protagonist toward the Na'vi people, the sequel advances to an ethical infinity, including nonhuman others and multispecies entanglements. Through detailed examination of character arcs and interspecies relationships, the paper argues that both films articulate a movement from utilitarian domination to multispecies coexistence. The *Avatar* series thus function not only as a critique of colonial violence but also as a speculative imagination of ecological responsibility and planetary ethics.

Keywords: *Avatar*; *Avatar: The Way of Water*; the face of the Other; ethical infinity; ecological responsibility

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1. Introduction

Avatar is an American science fiction film, written, directed and produced by the world acknowledged filmmaker James Cameron, whose other famous works include *Titanic* (1997) ^[1], *The Terminator* (1984) and *True Lies* (1994). Since its premiere in London on December 10, 2009, *Avatar* has secured its position in the pantheon of American cinema, remaining the highest-grossing film of all time with \$2.9 billion at the global box office^[2], and its grade on IMDb is 7.8^[3] on a scale from one to ten. These figures indicate that *Avatar*,

[1] *Titanic* won James Cameron three Academy Awards in Best Picture, Best Director and Best Film Editing.

[2] The data is quoted from https://www.boxofficemojo.com/chart/top_lifetime_gross/?area=XWW, May 1st, 2025.

[3] IMDb is regarded as one of the most influential websites about movie ratings.



as a cinematic phenomenon, acquired both commercial success as well as critical acclaim.

Cameron's *Avatar* has captivated audiences and scholars with its rich visual world and provocative ethical questions. Through a Levinasian lens, the film can be read as a reflection on the ethical encounter with the Other — a call to move beyond utilitarianism and violence toward a face-to-face responsibility for alterity. However, *Avatar: The Way of Water* (2022) ^[1] as a sequel reveals an even broader ethical vision. Moving beyond the interpersonal conflicts between human colonizers and the Na'vi, the sequel expands the horizon of responsibility to include nonhuman life forms and oceanic ecosystems. The face of the Other, once represented by the Na'vi people, now finds expression in the living seas and marine creatures.

According to Emmanuel Levinas, ethics is not a matter of rational deliberation but begins in the direct encounter with the face of the Other. In his ethical theories, the face locates in the center with perplexing meanings:

The way in which the other presents himself, exceeding the idea of the other in me, we here name face. This mode does not consist in figuring as a theme under my gaze, in spreading itself forth as a set of qualities forming an image. The face of the Other at each moment destroys and overflows the plastic image it leaves me, the idea existing to my own measure and to the measure of its ideatum—the adequate idea. It does not manifest itself by these qualities, but [...] expresses itself. (Levinas, *Totality* : 51)

First of all, the face does not merely mean facial features or physical appearances of a people; it transcends them and expresses its essence. Secondly, the face belongs to the Other, and the Other confronts me with its face. Thirdly, the face of the Other expresses itself to me directly, or nakedly. In this sense, it is not about knowing the Other but about responding to the Other's call. Drawing upon Levinas's theories, as well as postcolonial and ecological thought, this paper examines how the two *Avatar* films chart an evolving ethical landscape, from the recognition of the Other to an infinite and planetary ethics of coexistence. The films not only display the persistence of colonial violence but also imagine new modes of living ethically in a posthuman world.

2. The Face of the Alien: Ethical Awakening in *Avatar*

Avatar tells a story in the mid-22nd century on an alien planet named Pandora, whose inhabitants are called the Na'vi. At that time, Earth has become infertile due to over-consumption and over-exploitation, while the Pandora represents the very opposite. The encounter between the Earth people and the Na'vi is inevitable, and there are three distinctive approaches: utilitarian domination, scientific objectification, and genuine ethical openness.

On Pandora, the Company's representative Parker and the Colonel Quaritch, describes the Na'vi people as “blue monkeys”, “the roaches” and “humanoids”, which are clearly based on the physical differences from humans. To Parker, they are an obstacle on his way to unobtainium, an extremely profitable ore, which is “the only reason” why the Company comes here. His communication with the Na'vi is indirect and ineffective. He

[1] *Avatar: The Way of Water* ranks third on the chart of the global box office with 2.7 billion US dollars, grades 7.5 on IMDb.

does not bother to see the face of them. His only goal is to move them away because “[t]heir damn village happens to be resting on the richest unobtainium deposit”, so he first entrusts the task to the scientists with a more civilized approach, which turns out to be in vain. Therefore, he turns to the mercenaries with a more practical and violent solution by smoking and bombarding them out of their village. Quaritch is actually a more aggressive version of Parker. His pep talk to the new recruits clearly demonstrates his disgust to the Na’vi, “[i]f there is a hell, you might want to go there for some R&R after a tour on Pandora. Out there, beyond that fence, every living thing that crawls, flies or squats in the mud wants to kill you and eat your eyes for jujubes.” He reduces the natives to animals, and his only target is to execute the orders given by the Company.

While the Company is the profit-driven force behind the exploitation, its representative Parker cannot be simplified as anavaricious stereotype. He occasionally shows his empathy towards the Na’vi. Before bulldozing the village, he has his hesitation until Quaritch assures him that “I’ll do it with minimal casualties to the indigenous. I’ll drive them out with gas first. It will be humane. More or less”. And when the attack begins, he even allows Jake Sully, the protagonist, one hour to persuade the Na’vi to move. Wars are not real violence; true violence is “to kill the face and the other, and hence to avoid all responsibility” (Morgan 69). Parker’s acts at least suggest the existence, no matter how vague it is, of ethical concerns in him. But the Company forces him to advance, since “[t]here’s one thing that shareholders hate more than bad press, and that’s a bad quarterly statement.” Levinas believes, when I encounter the Other, before I determine whether they are useful or dominatable or not, I must guarantee their chance to live (Morgan 66). Parker wavers for he sees the face of the other and the need of taking responsibilities is imprinted in his mind. He wants to allow the Na’vi to live, but the Company urges him to dominate them, which shows exactly the conflict between the ethical appeal and the destructive utilitarianism.

The first scene of *Avatar* is the landscape of Pandora with the collage of its vegetation and creatures, all of which are designed to give prominence to alterity.^[1] To deal with the alien planet, the scientific response is to analyze and study it. The scientific research team is led by Grace Augustine, once called by the Na’vi children as “Mother”. She has formed a benign connection with the Na’vi by helping build a school and teach them English. But since some children are killed by the hired guns due to their vandalism of the bulldozers, the school is shut down and Augustine is cast out by the natives. However, it does not quench her scientific enthusiasm. Leading her fellow researchers, she continues the study of Pandora. They name the plants and the animals, map out the social structure of the Na’vi, discover the connecting system of the sacred trees, all of which suggest a triumph for the modern science. It looks like they have disclosed the mysterious essence of the planet as well as its inhabitants.

Without any doubts, the encounter between the scientific team and the Na’vi can be regarded as polite and friendly, but not in a Levinasian way. “All encounter begins with a benediction, contained in the word ‘hello’; that ‘hello’ that all *cogito*, all reflection on oneself already presupposes and that would be a first transcendence.” (Levinas *Alterity* : 98) To Levinas, the Other says “hello” with their naked face, which reveals its vulnerability and appeal. It denies attempts to disclose or understand, and in this sense, it is a transcendence. Augustine is

[1] There is one thing that merits attention here: the hills in the film are based on those at Zhangjiajie, Hunan, China, which will certainly evoke the sense of alterity in the Western audiences.



passionate about discovering the truths of the other, but the other is beyond comprehension. When I try to grasp or understand the other, I try to take them into my knowledge system, so much so that the other is dissolved in me, and that is the biggest problem of the western philosophy to Levinas, which is exactly what the scientists do on Pandora.

According to Michael Morgan, the Same is the self, mind, thought, and reason; in one sense or another, everything outside the self becomes the Same as the self or spirit (89). Moreover, the Same endeavors to perform “acts of assimilation of that which is other to the Same into something identical with the Same” (Ladyga 15). In the film, Augustine introduces the creatures on Pandora to Jake with constant references of their earthly counterparts. She acknowledges the differences and she cognitively dissolves them in the Same’s discourse. And she knows that scientists must stay “objective” and “can’t be ruled by emotion.” Compared with the Company and its mercenaries, the scientists take a further step on the ethical path, but they still fail to reach infinity. The Levinasian infinity is “a revelation of the Other, and more specifically is located in the face of the other”, so “consciousness [...] is initially a moral event that recognizes and welcomes the already established and inexhaustible other” (Hand 38). The face of the Other is beyond comprehension, and in this sense, it is infinite. One cannot exhaust its infinity as they are unable to grasp it. What they can do is to encounter and respond to the Other ethically.

Jake Sully is an amputated ex-marine, who is enrolled into the Avatar program because his twin brother is accidentally killed by a robber, and Jake with the identical genome is the only person who can drive his brother’s avatar. Jake’s subjectivity is in question here and his enrollment is met with two different attitudes. Quaritch welcomes him, since he wants Jake to “learn these savages [the Na’vi] from the inside” and report to him; while Augustine rejects him at first due to his lack of scientific training. Despite his physical disability, Jake still identifies himself as a soldier; thus, he enjoys Quaritch’s recruitment and actively reports to him with intelligence about the Na’vi. However, as his connection with the Na’vi getting deeper, Jake begins to have difficulties in distinguishing the two worlds, “I can barely remember my old life. I don’t know who I am anymore.” When the Na’vi shaman declares that “[i]t is hard to fill a cup which is already full”, he answers: “My cup is empty.” On Pandora, he is a strayer (A soldier? A member of the science team?) and it is perhaps his wavering subjectivity that makes him more sensitive to the face of the Other. On the one hand, he gains gradual consciousness about the Company’s violence: “When people are sitting on shit that you want, you make them your enemy. Then you’re justified in taking it.” On the other hand, he grows empathy on the Na’vi. The face means “imploring, a plea of the weak to the powerful or the poor to the rich” (Morgan 66). Apparently, the bows and arrows of the Na’vi are way powerless to the helicopters and missiles of the Company. When the shaman looks at him in his eyes and says: “Help us”, it is a plea of the weak to the powerful, and Jake sees her face and takes his responsibility to the Other by leading them to fight back.

After Quaritch collects enough intelligence on the Na’vi, the Company decides to commandeer the unobtainium mines directly with bulldozers and armed helicopters. In order to minimize the casualties, Jake decides to come clean about his secret tasks to the Na’vi and is therefore rejected by them because of his betrayal. At that time, he feels: “Outcast. Betrayer. Alien. I was in the place the eye does not see.” He hears the Other’s petition but he fails in helping them, which causes a heavy burden on his ethical consciousness. “In the presence of the Other, one can make neither an unconstrained act of will nor an impartial decision. We are

speaking of compulsion rather than choice” (Eagleton 228). Jake feels the compulsion to help them, and therefore he becomes the Rider of the Last Shadow^[1], which is the symbol of the greatest warrior and leader of the Na’vi. He then speaks the Na’vi language and asks for the next leader’s assistance to fight together against the mercenaries. By doing that, he becomes one of the Other, instead of trying to absorb the Other into the Same. Eventually, his soul is transferred into his Na’vi-like avatar by using the power of Eywa, the sacred consciousness of Pandora. He “infiltrates and is ultimately absorbed into the Na’vi world” (Sideris 459).

As for the other human “betrayers” in the film, they are probably the best embodiment of the Levinasian infinity. Trudy, a fighter pilot, works for the Company, but when she is ordered to shoot the Na’vi people, she simply refuses and flies her plane away. Later she even breaks Jake and Augustine out of custody and fights the Company with the Na’vi. Another avatar driver, Norm Spellman, also assists Jake to win the war. According to Nancy Sherman, “we see through others’ eyes, take on others’ emotions, imagine what others believe” (qtd. in Sideris 461). These “traitors” breach their contracts with the Company and even betray their fellowmen, for they have seen the Na’vi’s eyes, taken on their emotions and imagined their beliefs. They do not try to grasp the Other’s face or to become one of them; they simply help. At the end of the film, most people are expelled back to Earth, and these “betrayers” are allowed to stay on Pandora, which forms a panorama of infinity with both the self and the Other.

3. Beyond the Human: Ecological Infinity in *Avatar: The Way of Water*

In *Avatar*, this Levinasian idea is dramatized through Jake Sully’s gradual awakening to the alterity of the Na’vi people. Yet, as *Avatar: The Way of Water* demonstrates, the scope of ethical responsibility can extend even further.

The sequel tells the story of Jake and his wife Neytiri over a decade after the events of the original film. The peace of Pandora is again disrupted when humans return, this time with even more aggressive methods. A Na’vi-bodied version of Quaritch, who is killed in the last film, is resurrected and sent back to eliminate Jake. To protect his people, Jake and Neytiri flee with their four children to the oceanic Metkayina clan, a reef-dwelling Na’vi group. To better adapt to sea life, the Sully family develop strong emotional and spiritual connections with the marine ecosystem. Conflict erupts when Quaritch hunts them down, and their eldest son dies in the battle. In the end, the family decide to remain with the Metkayina and continue the fight against the human colonizers.

David Abram insists that human beings live in “a more-than-human world”, where “[o]ur bodies have formed themselves in delicate reciprocity with the manifold textures, sounds, and shapes of an animate earth—our eyes have evolved in subtle interaction with other eyes” (22). The Metkayina’s relationship with their oceanic world reflects this “more-than-human” ecological thought. A key example is their bond with the tulkun, whale-like creatures, whom they regard as their spirit siblings. Influenced by the oceanic culture, Lo’ak, Jake’s son, forms a bond with a tulkun named Payakan. They connect because they both feel like outsiders. Lo’ak struggles to fit in with the Metkayina and often feels misunderstood by his family. Similarly, Payakan is exiled for breaking the tulkun’s code of nonviolence. Their relationship presents what Donna Haraway calls a

[1] The Last Shadow is the top predator in the sky on Pandora.



“becoming-with,” where “[o]ntologically heterogeneous partners become who and what they are in relational material-semiotic worlding” (12-13). When Lo’ak encounters Payakan, he does not judge him by his past but instead recognizes his pain and isolation. This shared sense of rejection creates a deep emotional connection between them. Through their bond, the film shows how true relationships can form through compassion and shared experience, even across species.

The tulkun’s philosophy of life is a radical form of pacifism: “killing, no matter how justified, only brings more killing. So all killing was forbidden.” This principle becomes tragically evident in the scene where a tulkun mother and her calf are hunted by humans. Even in great danger, they do not fight back. Instead, they simply swim away, offering no violence in return. Such a non-retaliatory choice echoes Levinas’s insistence that “[t]he face is exposed, menaced, as if inviting us to an act of violence. At the same time, the face is what forbids us to kill” (*Ethics* 86). Their vulnerable presence calls for responsibility. The tulkun’s refusal to fight back is not weakness, but a profound ethical cry: do not kill. Kyla Schuller argues that Cameron, through the plot and 3-D visuals, makes it possible for his viewers to experience the others “through imagining to feel and move as their bodies do” (178). This scene forces them to grieve for nonhuman lives, to recognize their suffering as ethically significant.

Kiri, Jake’s adopted daughter, is one of the most mysterious characters in the film. Born from the avatar body of Grace Augustine, Kiri occupies a liminal space between the human and the Na’vi. This might explain why she is able to possess a unique sensitivity to Eywa. In *Vibrant Matter*, Jane Bennett emphasizes that human beings are “vital materiality” and immersed in it constantly, so our ethical task is “to cultivate the ability to discern nonhuman vitality, to become perceptually open to it” (14). When Kiri lies in the water, placing her hand gently on the sand, she is open to Pandora’s vibrant nonhuman forces. She is not just observing nature; she is listening to it as an ethical subject.

Earlier in the film, when talking about Eywa, Kiri says: “I hear her breathing. I hear her heartbeat. She’s so close. She’s just there...like a word about to be spoken.” This answer shows her deep emotional connection to the world around her. Instead of trying to control the animals, Kiri relates to them through empathy and understanding. She doesn’t see them as tools, but as beings she can connect with. When her family are trapped in the sinking ship, Kiri follows glowing underwater creatures that lead her to rescue them. This moment reinforces Kiri’s unique bond with Pandora’s ecosystem. The ocean responds to and helps her not because she commands it, but because she listens. Her relationship with the more-than-human world echoes Karen Barad’s notion of “intra-action”. In typical thinking, interaction assumes that entities already exist and then come together to affect each other. But Barad argues this is misleading. Instead, she proposes “intra-action”, which means that entities don’t preexist their relationships, but emerging through their entanglement with others (Barad 33). In other words, things like identity and agency aren’t fixed or independent. They arise only in and through their relationships. For example, you are not fully “you” apart from the relationships, environments, and systems that you are in. Lo’ak and Payakan will never be who they are, if they haven’t saved each other. And Kiri can only find her identity in the oceanic system.

By foregrounding the ocean, the film reinforces the notion that “Water connects all things”, which calls for an ethics no longer grounded solely in the face-to-face encounter between humans, but extended into ecological relations. The film insists that to be ethical is to be wounded by the death of a tulkun, to be transformed by the

rhythms of the sea, to be called into responsibility by the planet. As Haraway reminds us, “It matters what stories make worlds, what worlds make stories” (12). The *Avatar* story is one of seeing the Other in the eye of the whale, the pulse of the ocean, and the call of an ecological responsibility still waiting to be answered.

4. Precarious Ethics and Ecological Responsibility

Despite the ethical possibilities opened up by encounters with the Other, both *Avatar* films also portray the devastating persistence of the violence of totality. There are always powers that seek to force the Other into a system that can be understood, or to destroy it altogether. This totalizing violence “reduces the other to the same, promotes freedom—the freedom that is the identification of the same, not allowing itself to be alienated by the other” (*Totality* 42). In the films, colonialism and economic exploitation function as totalizing mechanisms, so the call of the face is easily overwhelmed by the identification of the same, and it is hard to achieve the ethical infinity.

In *Avatar*, the Company displaces the Omaticaya clan in order to extract unobtainium, which represents the triumph of totality over infinity. To the colonizers, the living world is mere expendable resources, and their utilitarian philosophy reaches its peak in the scene where the Company attempts to destroy Eywa. Despite Jake’s ethical awakening, he is unable to stop the assault; he can only mitigate its effects. Although the Na’vi achieve a temporary victory and the human colonizers are expelled back to earth, the film ends with a sense of uneasy optimism. The colonial forces are wounded but not destroyed.

Avatar: The Way of Water emphasizes how violence is cyclical. After a decade, the humans return to Pandora, more ruthless and determined than before. The introduction of the Recombinant Quaritch marks a new level of totalization. The Company is no longer content to dominate the Na’vi externally; it now seeks to internalize them from within. Quaritch’s existence totally reverses the Levinasian ethics: instead of responding to the Other’s call, he utilizes its alterity in order to conquer it. Moreover, the hunting of the tulkun for their brain enzymes, which are supposed to help humans stay young, parallels the pursuit of unobtainium. As David Harvey warns, “the commodification of everything can all too easily run amok” (80), humans’ relentless drive to commodify life exposes the persistence of colonial violence that causes chaotic devastation. In this context, the ethical relation becomes a precarious defiance against the overwhelming momentum of totality.

Importantly, betrayal is another recurring motif in both films. In *Avatar*, Jake’s initial deception of the Na’vi is an ethical betrayal, for which he struggles to atone through his later actions. In *Avatar: The Way of Water*, Spider, the human boy raised among the Na’vi, faces a similar dilemma. His biological father is Quaritch, and he is left behind on Pandora for babies cannot survive interstellar travels. He is taken in by Jake and Neytiri, growing up in the close-knit Na’vi society. However, despite his strong emotional connection to the Na’vi, Spider is still biologically tied to the human world, particularly to Quaritch. His decision to save Quaritch makes it very difficult to arrive at a clear ethical judgement. Spider’s act suggests that the call of the face persists even when the Other is the violence itself. For Levinas, one has to respond to the face with responsibility, and “[e]ven when there may be ill will on the other’s part, the attention, the receiving of the other, like his recognition, mark the priority of good in relation to evil” (*Alterity* : 98). In other words, ethical responsibility is asymmetrical and unconditional, and it does not depend on the Other’s goodness. Consequently, Spider chooses



to save his biological father, an ethical decision, but refuses to go with him and returns to the Sully's, an emotional act.

The evolution from *Avatar* to *Avatar: The Way of Water* suggests not only an expansion of ethical responsibility but a redefinition of ethics itself. By tracing the shifting modes of encountering the Other across the two films, it becomes possible to chart an evolution from a human-centered ethics to a planetary ethics. In *Avatar*, the ethical awakening unfolds primarily through Jake Sully's progressive transformation. At first, Jake embodies a utilitarian gaze, reducing the Na'vi to resources. Yet Jake's prolonged immersion among the Omatikaya clan causes an ethical rupture. His growing intimacy with Neytiri and his exposure to the Na'vi way of life awaken a capacity to respond rather than dominate. Still, the scope of this ethical vision remains relatively narrow. Although the Na'vi are treated ethically, the animal life and the planet are primarily symbolic forces rather than ethical subjects. *Avatar: The Way of Water* significantly enlarges the moral universe displayed in the first film, by enhancing the "planetary awareness", which is "an uncanny realization of coexistence with a plenum of ungraspable hyperobjects — entities such as climate and evolution that can be computed but that cannot directly be seen or touched (unlike weather or this rabbit, respectively) — and nonhuman beings" (Morton 207). Lo'ak's bond with Payakan embodies this planetary awareness. Moreover, the ocean on Pandora is portrayed as a living entity out of the anthropocentric frames. As Abram argues, "[t]he landscape as I directly experience it is hardly a determinate object; it is an ambiguous realm that responds to my emotions and calls forth feelings from me in turn" (33). The ocean is thus not merely a setting but an ethical subject that must be encountered with humility and care.

All in all, *Avatar: The Way of Water* offers a more radical ethical vision than its predecessor. Where *Avatar* focused on human-to-Na'vi relations, the sequel suggests that ethical responsibility must be multispecies and planetary. It is not enough to see the Other; one must also recognize the infinite faces of oceans, ecosystems, and nonhuman consciousness, all of which demand ethical care. As Rosi Braidotti claims, "posthuman ethics urges us to endure the principle of not-One at the in-depth structures of our subjectivity by acknowledging the ties that bind us to the multiple 'others' in a vital web of complex interrelations" (100). This expanded ethical framework challenges traditional human-centered thinking and urges us to rethink our role within it.

5. Conclusion

From a Levinasian perspective, *Avatar* and *Avatar: The Way of Water* together chart a profound evolution in the representation of ethics. Beginning with Jake Sully's awakening to the face of the Na'vi, the narrative journey moves toward a broader ethical vision, which encompasses nonhuman lives and planetary ecosystems.

Yet this ethical awakening remains precarious. Given the returning of the colonial violence, it is difficult to retain the ethical encounters. By embracing a planetary ethics, *Avatar: The Way of Water* offers a vision of coexistence rooted in vulnerability, empathy, and multispecies solidarity. If there is hope in Cameron's cinematic universe, it lies in this ethical orientation: another kind of world is possible, if only we are willing to see, and to respond. But this ethical vision also demands a rethinking of the subject itself. As Braidotti argues, "[a] posthuman subject thus constituted exceeds the boundaries of both anthropocentrism and of compensatory humanism, to acquire a planetary dimension" (89). In the more-than-human world, the ethical subject must no

longer be confined to humans.

Within this framework, characters like Kiri exemplify a new kind of posthuman subjectivity, which is defined by openness, receptivity, and embeddedness in planetary networks of life. Kiri's deep affinity with Eywa is what Levinas would describe as "Being-for-the-Other", which is not a conceptual recognition but a moral stance rooted in "goodness", where "conscience" reflects a transcendence that redefines the self through ethical responsibility to the Other (*Totality* 261). The *Avatar* films offer not just a critique of colonial violence and ecological devastation, but a tentative ethical vision in the posthuman age. The challenge is how to live responsibly in the glowing pulse of the world around us.

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An Analytical Study of the Transition of the Gui-Yi Circuit Administration in the Early Tenth Century

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Abstract: The transition of power from Zhang Chengfeng to Cao Yijin marked a significant milestone in the history of the Gui-Yi Circuit. Evidence indicates that this transition of power occurred without large-scale conflict and enabled the Gui-Yi Circuit to remain relatively stable internally. This paper argues that Zhang Chengfeng's lack of successors and his flawed foreign policies after proclaiming himself emperor led to Zhang's downfall. At the same time, Cao Yijin entrenched his influence in the Dunhuang region and gained deep trust from Zhang Chengfeng, which facilitated his takeover of the Gui-Yi Circuit administration. Zhang Chengfeng, considering the internal circumstances within his family and the state, yielded his position to Cao Yijin. This transition ensured the internal stability of the Gui-Yi Circuit and further promoted the peaceful development of Guazhou and Shazhou for over a century during a specific historical period.

Keywords: The Gui-Yi Circuit; early 10th century; political transition

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1. Historical Analysis of the Handover of Political Power Between Zhang and Cao

The historical records provide few words about the transfer of power between Zhang Chengfeng and Cao Yijin. The *History of the Song Dynasty* mentioned that: “In the Later Liang Dynasty, the Zhang family didn't have any descendants, so the people in Shazhou promoted Cao Yijin to be the general.” (Tuo, 1985) It can be seen that after Zhang Chengfeng died or stepped down, the nobles in Shazhou elected Chief Secretary Cao Yijin as the leader of the Gui-Yi Circuit.

1.1 The historical reasons for Zhang Chengfeng's downfall

Based on the records in *History of the Song Dynasty* and the analysis of Zhang Chengfeng's political actions after assuming personal rule, this paper argues that Zhang Chengfeng's lack of successors and the failure of his foreign policy ultimately led to his downfall.

1.1.1 Zhang Chengfeng's lack of successors

As far back as when Zhang Chengfeng declared himself Emperor Baiyi, he had established a crown prince. Dunhuang Manuscripts P. 3405 "Miscellaneous Ritual Documents of Golden Mountain Kingdom" records that: "The Crown Prince, in accordance with the will of Heaven, dutifully performed his responsibilities in the court. The princesses and concubines were favored by the king and shared in the blessings of eternal longevity." (YAN, 2009) However, the Prince most probably fell ill and passed away in the following years. According to the Dunhuang Manuscripts P. 3405 "Miscellaneous Ritual Documents of Golden Mountain Kingdom", when the war between the Golden Mountain Kingdom of Western Han and the Ganzhou Uyghur was at its peak in the year of Xinwei (911), a large-scale epidemic broke out in Dunhuang city, which plunged the people into misery and suffering, and even the imperial family was plagued by the epidemic (YAN, 2009). According to the inscription in the Dunhuang Manuscripts S. 0980 "The Golden Light Sutra", the Prince of Zhang Chengfeng, named Zhang Geng, was also infected with dysentery in the year of Xinwei (911) (LIU, 2005). To sum up, it is very likely that Prince Zhang Geng passed away from the plague. As a result, there was no successors remaining in Zhang Chengfeng's lineage, which provided a certain possibility for Cao Yijin to take the throne.

1.1.2 Zhang Chengfeng's failure in foreign policy

Zhang Chengfeng overstepped his authority of imperial title with a certain strategy to strengthen defense and promote the status of Guazhou and Shazhou along the Silk Road. However, declaring himself emperor in the fourth year of Kaiping (910) and being forced to cancel the state and imperial titles in the year of Xinwei (911), Zhang Chengfeng only held power for less than two years. This paper argues that Zhang Chengfeng's erroneous foreign policy was the main reason for his downfall, as detailed below.

Firstly, Zhang Chengfeng broke the relationship with the Later Liang and lost the support of the Central Plains. Against a backdrop of a stabilizing Central Plains and the consolidation of Later Liang, Zhang Chengfeng used the theory of Confucianist divination to create a public sentiment, establish the kingdom, and declare himself emperor, which intensified the conflict between the Gui-Yi Circuit and the Later Liang. Zhang's actions completely precluded his administration from receiving moral or ethnic support from the Central Plains, leaving the Gui-Yi Circuit isolated in the face of surrounding powerful enemies. The enraged Later Liang administration incited the Ganzhou Uyghur to launch a war against the Golden Mountain Kingdom of Western Han (SUN, 1989; YANG, 1999).

Secondly, Zhang Chengfeng was concerned with external expansion, which led to internal disintegration. Since ascending to the throne, Zhang Chengfeng had been obsessed with warfare and honor. The influence of the Golden Mountain Kingdom was limited in Guazhou and Shazhou, but it declared war on the two Uyghurs in the east and west. Even when the Ganzhou Uyghur's army was approaching Dunhuang City, Zhang still fantasized about fighting on multiple fronts and preparing for the emperor's coronation ceremony in a critically urgent situation.



However, years of continuous warfare had withered the economy of Guazhou and Shazhou, and countless families were scattered and disintegrated. Anti-war sentiment was rising across the land. Under the fierce attack of the Ganzhou Uyghur, Zhang Chengfeng's authority within the country plummeted, and he was eventually abandoned. It is recorded that:

The counties, towns, and villages along the way were continuously devastated. The corpses of the deceased were buried in the wilderness, while the living were displaced and forced to scatter in foreign lands. The sounds of sorrowful wailing echoed day and night, with resentment rising to the skies. (YAN, 1994)

Thirdly, Zhang Chengfeng united with Tibet and lost the foundation of public support. In the fourth year of Zhenyuan (788), Shazhou was occupied by Tibet as the last major town of the Tang dynasty in Helong (AN, 1992). It was not until the second year of Dazhong (848) that Shazhou was recaptured by the local noble led by Zhang Yichao (LI, 2007). During the Tibetan rule over Helong, Tibetan rulers imposed ethnic discrimination and enforced assimilation policies on the Han and other ethnic groups in the region, while brutally oppressing and exploiting them economically. However, in pursuit of expanding the war, Zhang Chengfeng didn't hesitate to ally with the Tibetan administration, the enemy of Shazhou, making it difficult for the people to accept. In addition, after the civil strife of Tibet in the second year of Huichang (842), the Tibetan administration fractured into multiple factions scattered in different regions and was weakened in strength (Zhaxidangzhi, 2009). The alliance with Tibet not only failed to provide strong support for the Golden Mountain Kingdom of Western Han but also exacerbated internal conflicts among the people. Therefore, Zhang Chengfeng's ultimate failure was inevitable.

1.2 The historical reasons for Cao Yijin's takeover of the Gui-Yi Circuit

In the autumn of the year of Jiaxu (914), Cao Yijin, the Chief Secretary of Shazhou, took over the political power in Guazhou and Shazhou from Zhang Chengfeng. As with the fall of Zhang Chengfeng's authority, historical records provide few accounts. This paper argues that Cao Yijin's entrenched influence in the Dunhuang region and the deep trust from Zhang Chengfeng were the primary reasons for his successful replacement of Zhang.

1.2.1 Cao Yijin's entangled power in the Dunhuang region

The mainstream view in the current academic is that although Cao Yijin claimed to be from the Cao clan of Qiao County, he was a Sogdian rather than a Han Chinese, belonging to the Nine Surnames of Zhaowu (RONG, 2001; Feng, 2001; Zheng, 2004). Despite not being a Han Chinese in the traditional sense, he actively formed marital alliances with the clans of Xiongnu and Han in Guazhou and Shazhou. Firstly, he married Suo of Julu, the granddaughter of Zhang Yichao and the daughter of Suoxun, thus referring to Zhang Chengfeng as his brother-in-law. Afterward, Cao Yijin remarried a woman from the Song family in Guangping, who was of the same clan as Zhang Yichao's wife, further establishing his position within the Gui-Yi Circuit. Cao Yijin's sisters and daughters were married to local clans in Dunhuang. According to the inscriptions in Cave 98 of Mogao Grottoes, the clans that established marital ties with Cao Yijin accounted for 10 out of 23 prominent local and Tibetan families in the Dunhuang region. Many members of these families held important positions in the

governance of Guazhou and Shazhou. Receiving strong support from local clans, Cao Yijin had a strong foundation of public approval.

1.2.2 *Zhang Chengfeng's deep trust in Cao Yijin*

In the first year of Qianning (894), the Fourteenth Lady of Zhang led the sons of the Li family to overthrow the rule of Suo Xun. Although nominally being the Jiedushi of the Gui-Yi Circuit, Zhang Chengfeng was a puppet of the Li family (LI, 2021). To regain his power, Zhang Chengfeng was very likely to utilize Suo Xun's old clout. As the son-in-law of Suo Xun, Cao Yijin was trusted by Zhang Chengfeng. Although being the son-in-law of Suo, Cao Yijin established connections through marriage to large clans and gained intertwined power, which allowed him to be highly valued and given important positions without being implicated in the coup that overthrew Suo Xun. Dunhuang Manuscripts P. 4044 "Documents of the Appointment of a Deputy Commander in the Sixth Year of Qianning (899)" recorded that Cao was the Commissioner for the Acting Ministry of Personal and Grand Imperial Censor (TANG & LU, 1990), indicating that Cao Yijin served as the Minister in the imperial court. The literature piece "Dreaming of the South: Cao's Virtue" in Dunhuang Ci-poems, P. 3128, praised the achievements of Cao Yijin, saying that:

Cao Yijin, renowned for his benevolence and virtue, safeguarded the western frontiers of the state and brought the tribes into the official registers. Defending the He-Long region and pacifying the Qiang and Tuyuhun, his prestige echoed far and wide. Upholding loyalty and filial piety, he rendered outstanding service to the court. Quelling rebellions and strategizing military affairs, he ensured the stability of the realm. He employed wisdom to eliminate turmoil. May he reign for ten thousand generations. (WANG, 1950)

The exact time when the poem was written remains unknown. It can be inferred from the statement "defending the He-Long region and pacifying the Qiang and Tuyuhun" that Cao Yijin suppressed Qiang, Hun, and some other minority forces in the Helong region. "Quelling rebellions and strategizing military affairs" suggest that Cao Yijin led his troops to assist the emperor, which made a vital contribution. After Zhang Chengfeng regained power, he highly valued Cao Yijin and promoted him to the position of the Chief Secretary of Shazhou in return. This explained the reason why the Cao family's position in the Circuit was not high and could only make their fortune through military achievements during Zhang Yichao's rule of the Gui-Yi Circuit, however, during Zhang Chengfeng's time, the Cao family's power swiftly ascended (FENG, 2001).

Overall, after Zhang Chengfeng gained actual power, he fell out with the Later Liang and lost the support of the Central Plains. After ascending to the throne, he was overjoyed in personal ambition and drained financial resources in Guazhou and Shazhou with long-term military wars, which made the local people indignant. Under multiple impacts of natural disasters and man-made misfortunes, Zhang Chengfeng was deserted by his followers. On the other hand, Cao Yijin had a good reputation in the military and won the hearts of the people. He established good relations with the clan through marriages and gained strong public support in Guazhou and Shazhou. It was a foreseeable outcome that Cao Yijin, with the support of the major clans in the Dunhuang region, took over the Gui-Yi Circuit from Zhang Chengfeng.



2. Historical Details of the Gui-Yi Circuit's Administration Transition between Zhang and Cao

The historical details of the Gui-Yi Circuit power transition remain unknown due to the lack of historical evidence, but there has been a consensus within the Dunhuang academic that the handover of power between the two was a political change without large-scale conflicts. We can infer that the historical details of the process between Zhang and Cao were highly likely to be one of the following two assumptions.

The first one is that Cao Yijin pressured Zhang Yichao to resign. In the year of Xinwei (911), after being defeated, Zhang Chengfeng's domestic reputation plummeted to the bottom. Cao Yijin, on the contrary, was in a high position and in charge of important troops, and well as gained the support of the major clans in the Guazhou and Shazhou. He launched a palace coup to exert pressure on Zhang Chengfeng, forcing him to abdicate. Noticing that his day had gone, Zhang had no choice but to hand over the position to Cao. As a political transaction, Cao Yijin promised not to crack down on the Zhang family. Zhang Chengfeng stepped down, which preserved the good reputation and status of the Zhang family in Dunhuang for hundreds of years.

The second one is that Zhang Chengfeng took the initiative to make way for the virtuous. In the year of Xinwei (911), Zhang Chengfeng suffered from both the failure of foreign wars and the loss of his son. Other sons in the Zhang family were mediocre and unable to take responsibility for the ill-fated nation. As for Cao Yijin, he was more talented and skilled in the military, with outstanding achievements during the battles. At the same time, as Zhang Chengfeng's cousin-in-law, the two shared both a kinship and a close camaraderie in the army. After careful consideration, Zhang Chengfeng turned over his position to Cao Yijin.

This paper prefers the second assumption, that is, Zhang Chengfeng took the initiative to make way. The main reasons are the following three points.

Firstly, internal stability was maintained in the Gui-Yi Circuit. This administration has the characteristic of family rule. Traditional hereditary scholar classes formed since the Wei, Jin, Southern and Northern Dynasties were the pillars of the Gui-Yi Circuit. The family groups formed through marriages became the core of the circuit. Not only did they monopolize the military and political power, but they also turned the administration into a situation where "all under Heaven was controlled by the ruling family". After regaining the power, the Zhang family launched a ruthless crackdown on the Suo and Li families with other major clans in Dunhuang, in response to their threat (YANG, 1999). From this, it can be inferred that Cao Yijin may not have pressured Zhang Chengfeng to resign before ascending to power, otherwise, the major families within Dunhuang would have launched an allied execution against the Cao family as well. In addition, after taking over the Gui-Yi Circuit, Cao revoked the state name and the title of Heavenly King. He also abolished the central official positions, such as the Chancellor and the Minister, and restored the original system of the Gui-Yi Circuit. This led to a wide demotion of civil and military officials. However, there were no abnormal incidents within the Gui-Yi Circuit, especially within the military. On one hand, this demonstrates that Cao Yijin received strong public support. On the other hand, it further proves that Cao Yijin's ascendance to the position was legitimate. Otherwise, there would have been dissatisfaction and even rebellions among officials.

Secondly, both Cao Yijin's ascension and his marriage with the Princess of Khotan were completed in the

autumn of the year of Jiaxu (914) at the beginning of his reign. The domestic stability was a requisite for the preparation of the marriage. If Cao Yijin had launched a coup, the internal situation of the Gui-Yi Circuit would have been inevitably unstable for Khagan Tianmu of the Ganzhou Uyghur to marry the Princess. It can be inferred that Zhang Chengfeng had started planning for Cao Yijin to marry the Princess during his lifetime. In the year of Xinwei (911), faced with a humiliating agreement with the Ganzhou Uyghur, the best way for Zhang to handle the situation was to marry the daughter of the Ganzhou Uyghur and restate the father-son relationship through marriage. As a Han Chinese, it was difficult for Zhang to accept such conditions. With his own Crown Prince having passed away in the plague in the same year, Zhang found himself running out of time under immense internal and external pressure. Therefore, between 911 and 914, he began making arrangements for Cao Yijin, the future leader of the Gui-Yi Circuit, to take his place in marrying the Princess of Khotan. As a Sogdian, Cao shared similar marriage customs with the Uyghur. They both practiced a polygamous system in which multiple women could become legitimate wives of a man at the same time. Although Cao had already married Suo and Song, it was not inappropriate for him to have the Princess of Khotan as his legitimate wife as well. In the year of Jiaxu (914), Zhang Chengfeng passed away. Cao Yijin ascended to power as well as completed the wedding ceremony with the Princess of Khotan.

Thirdly, Cao Yijin lived in harmony with the Zhang clan and their former generals. After coming to power, Cao Yijin didn't massacre the Zhang family but kept their positions in the court. Statues in Cave 98 of the Mogao Grottoes show that among the secular officials depicted, there were 15 members of the Zhang family, indicating that the Zhang family still maintained its dominant position as the top local clan in Dunhuang with a significantly largest number of people serving in the court (FENG, 2013). Many former officials from the Zhang Chengfeng region still served as the most trustworthy ministers during the Cao era, and a number of talented members of the Zhang family and former generals were promoted. These actions, to some extent, helped Cao obtain the loyalty of his subordinates and gain public support. However, under the dominant political advantage of the Zhang family, if Cao's position was illegitimate, it would inevitably have provoked the Zhang family, in alliance with other clans, to launch a ruthless attack on the Cao Yijin family, who posed a threat, much like they did on the Suo and the Li families in the past.

In summary, this paper contends that Zhang Chengfeng took the initiative to step aside in favor of Cao Yijin. It was precisely because of the peaceful transition of the administration that the political and military strength of the Gui-Yi Circuit was preserved, and both internal and external pressures were alleviated.

3. Conclusion

This paper analyzes the transition process of Zhang Chengfeng and Cao Yijin and makes a conclusion that the lack of successors and flawed foreign policy were the main reasons for Zhang Chengfeng's downfall. It can also be inferred that the transition of the administration was likely that Zhang Chengfeng took the initiative to make way for Cao Yijin, thereby maintaining political stability within the Gui-Yi Circuit.

The peaceful transition of power between the Zhang and the Cao clans played a certain role in safeguarding peace and stability in Guazhou and Shazhou for 116 years during a specific historical period. Furthermore, it also promoted the development of the Silk Road. It enables continued prosperity in commodity trade and cultural



exchange between the East and the West, further consolidating the importance of this international trade route. The trajectory of history clearly demonstrates that this peaceful transition was undoubtedly a correct decision in response to the needs of the times. Regardless of whether the transition of the Gui-Yi Circuit administration to Cao Yijin was in line with Zhang Chengfeng's true wish, history has proved that this handover was the right choice.

This study, on the one hand, helps deepen the understanding of the historical drivers behind the ethnic integration and cultural evolution in Guazhou and Shazhou, clarifying its developmental context and providing a key perspective for understanding the region's unique cultural landscape. On the other hand, within the broader context of the Belt and Road Initiative, it provides insights into promoting the integration of China's economy with the global economy and advancing the development of diplomatic relations between China and neighboring countries.

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Exploring Treasures of Ethnic Zhuang's Civilization and Safeguarding Ethnic Culture: On Huang Mingbiao's Contributions to Ethnic Zhuang Historical and Cultural Research

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Abstract: This article focuses on HUANG Mingbiao, a renowned ethnic Zhuang's cultural heritage researcher, and delves into his outstanding contributions to the study of the Zhuang's history and culture. Grounded in grassroots fieldwork, HUANG developed, in his practice, a three-dimensional research paradigm encompassing “tangible texts, oral traditions, and cultural ecology” to systematically excavate the Zhuang cultural heritage. His groundbreaking achievements span diverse areas, including Beaurodox (布洛陀) culture studies and research on Madam Washi. Notable milestones include his pioneering field investigations into Madam Washi's historical resistance against Japanese pirates and publishing the first academic monograph dedicated to studies on Madam Washi. His work not only enriches the ethnic Zhuang studies with critical data and innovative methodologies but also strengthens cultural identity within the broader framework of Chinese civilization. Theoretically, his research deepens scholarly understanding of the Zhuang culture; methodologically, it drives a logical progression from surface-level investigations to in-depth cultural analyses. As both an explorer of the Zhuang civilization and a guardian of ethnic heritage, HUANG Mingbiao's contributions hold profound significance for the preservation and development of the Zhuang culture.

Keywords: HUANG Mingbiao; Beaurodox culture; studies on Madam Washi; ethnic Zhuang historical and cultural studies; tripartite research paradigm

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壯鄉文明的探寶人與民族文化的傳承者 ——論黃明標對壯族歷史文化研究的貢獻

黃中習 楊 韻

廣東金融學院

摘 要：本文聚焦壯族文博研究專家黃明標，深入探討其在壯族歷史文化研究領域的卓越貢獻。基於基層工作，黃明標構建物質文本+口傳系統+文化生態的「三維研究範式」，深入挖掘壯鄉文化。他在壯族歷史、布洛陀文化、瓦氏夫人研究等方面成果豐碩，完成多項開創性工作，如首次考察瓦氏夫人抗倭史跡、出版首部瓦氏研究專著等。其研究成果不僅為壯學研究提供資料、創新範式，還增強中華文化認同，促進民族團結。其成果從學理上深化壯學研究，邏輯上推動相關文化研究由淺入深，對壯族文化傳承發展意義重大，堪稱壯鄉文明的探寶人與民族文化的傳承者。

關鍵詞：黃明標；布洛陀文化；瓦氏夫人研究；壯族歷史文化；三維研究範式

基金項目：2022 年廣東省普通高校青年人才創新項目「日本英雄歷史小說《瓦氏夫人》中的凝視機制與主體身份建構」(2022WQNCX047)；廣州市哲學社會規劃 2023 年度項目「性別視閥下日本《瓦氏夫人》研究的誤讀與重構」(2023GZGJ271)；廣東金融學院「優秀青年博士」科研啟動項目(KC2023005001155)。

一、從田陽泥土中走來的文化偵探

黃明標，壯族文博研究領域的傑出專家，作為中國博物館學會會員與廣西壯學會副會長，他以深厚的熱忱與堅定的信念，在壯鄉文化的研究道路上砥礪前行，堪稱在古籍堆裏探尋文明瑰寶的探寶人，於田野調查中解鎖壯族文化密碼的拓荒者。

多年來，黃明標深深紮根於八桂大地，尤其是右江流域。廣西豐富的文化底蘊為他的研究提供了豐沃土壤，他秉持著「讓文物說話、讓史料發聲」的學術理念，積極穿梭於文博考古、文獻考據和民間敘事三個關鍵領域。基於實踐，他創新性地構建起物質文本+口傳系統+文化生態的民族文化譯介「三維研究範式」，也就是三重證據法。這種獨特的研究方式，讓出土文物、古籍記載以及民間傳說相互印證，如同手持三把鑰匙，精準地開啟了壯族歷史文化的大門，也正因如此，他幾成壯族布洛陀文化「活字典」，不愧為「布洛陀文化的虔誠傳承人」^①，「一直引領田陽縣歷史文化、壯族布洛陀文化和瓦氏夫人文化的深入研究，出版了一系列關於布洛陀文化研究及瓦氏夫人研究的開拓性作品」^②。

從 80 萬年前田陽區那賴舊石器時代遺址手斧標本的挖掘，到立於清代瓦氏夫人墓碑的發現，再到 400 多年前的《布洛陀》經書抄本田野搜尋，以及上世紀九十年代對瓦氏夫人抗倭征程跨省路線的實地考察，黃明標的學術生涯從田陽的鄉野起步，卻憑藉不懈努力，在歷史與現實之間搭建起一座跨學科的堅固橋樑。這

座橋樑以考古學為基石,以文獻學為架構,以人類學為護欄,成功跨越了壯鄉文化的歷史鴻溝。

他的研究過程就像一位富有詩意的文學創作者,在浩如煙海的古籍中嚴謹考據,從古老的文字裏梳理歷史脈絡;同時又深入山野,從壯族的歌謠與故事中汲取靈感,挖掘鮮活的文化元素。他與出版社一道,借助現代科技,他為古老的經書和曲藝融入數位化元素,通過影音二維碼鏈接,讓沉默的文本重新煥發生機,使年輕人在 AI 時代也能真切地感受到壯族歷史文化的魅力,聽到古老經文的吟唱,目睹壯族歌師的精彩表演,領略瓦氏陣法的威武。雖已退休多年,黃明標還繼續進行學術研究、文獻整理、文化宣講與傳播,用實際行動,為壯鄉文化的傳承與發展繼續添磚加瓦。

二、三維範式:文博手鎬、考據放大鏡與民間麥克風

「跨學科的研究方式不但有助於民族文學、文化的對外傳播,而且能以民族典籍外譯與外譯研究的方式為國家實施『文化走出去』的戰略添磚加瓦」^③,誠哉此言。黃明標的民族文化典籍譯介研究範式特色之一在於努力打破學科壁壘,在實踐中創立了物質文本+口傳系統+文化生態的民族文化「三維研究範式」,或通俗地說是三重證據法:以考古實物的手鎬,發掘典籍的物質文本,方法包括深入考古、田野調查、深度挖掘、抄本搜尋、語文對比等;民間敘事的麥克風考察典籍的文化生態,方法包括鄉野采風、資料核查、故事辨偽、科學論斷、活態敘事等;以民族志譯介方法傳譯口傳系統,內容包括口傳史詩、神話傳說、民間歌謠諺語、唐皇坐唱、儀式表演等。多年以來,黃明標都是這樣步步深入地多維開展壯族歷史文化的挖掘整理與傳承譯介工作。

(一) 文博考古的洛陽鎬

作為基層文博工作者,黃明標多次深入右江流域的考古現場,用專業的手鎬(又稱洛陽鎬),從歷史地層中不斷挖掘壯鄉文化文明的物質基因。從百色市田陽區那賴舊石器時代遺址的考古發掘到田陽區各地的壯族麼經布洛陀典籍挖掘整理,從《明史》《明史紀事本末》《鎮安府志》的考證研究到瓦氏夫人墓地的考察對比,從《田州岑氏土司族譜》(2012)的細緻校點到田州州府城牆瓦礫的勘察,從田州古老的「安圩」集市的殘磚斷瓦到敢壯山布洛陀文化遺址的歷史論證,無不留下黃明標文博考古的手鎬和足跡。例如,他在 2005 年親自參與百色市田陽區那賴舊石器時代遺址和右江區東懷遺址的兩次考古發掘,這些搶救性發掘歷時近一年。在作者進行的專家訪談中,黃明標多次強調指出,在那賴磚紅網紋土壤層中發現有很多打制石器及加工碎片,有石器加工場地遺址,採集到手斧、手鎬、砍砸器、尖狀器等多種石器,其中有 15 件典型的手斧標本,經專家鑒定斷代為距今 80.3 萬年。那賴遺址後來被國務院公佈為全國重點文物單位。2017 年,他還帶領我們國家社科專案「民族志翻譯視角下的壯族創世史詩《布洛陀》英譯研究」調研團隊實地勘察那賴遺址,還當場指出他負責的那兩個考古探方。這些考古探方雖經數年自然降水侵蝕,但仍依稀可辨。在 2025 年 8 月最近一次訪談中,他還給我們描述了他在 G69 百色至靖西高速公路開建前的沿線搶救性考古發掘那種爬山涉水、就地宿營歇息的沿線考古調查艱辛過程,體現了這位文博考古工作者在基建工程配套文物保護工作中的專業堅守。1996 年,《中國文物報》記者陳實曾在《中國文物報》發表了一篇先進人物報導《耕夫曲——記全國文物安全先進個人黃明標》,以詳細的事例和生動的描述,指出他在文博工作中的卓越貢獻和無私奉獻。黃明標也由此榮獲全國文物安全保衛先進工作者(1996)和全國「鄭振鐸—王冶秋」文物保護基金獎(1998),擬不贅述。

(二) 文獻考據的放大鏡

我國典籍卷帙浩繁,既是中華文明跨越千年歷程的活態傳承,亦是人類共同的精神文化遺產。少數民族



典籍作為其中不可或缺的構成維度，凝結著各民族獨特的藝術智慧與文明基因。黃明標對壯族古籍的辨偽存真認真嚴謹，近乎苛刻，他收集、整理和主編了《壯族麼經布洛陀遺本影印譯注》（2016）《瓦氏夫人抗倭故事歌影印譯注》（2022）和《唱唐皇影印譯注》（2023）等典籍編譯研究著作，將散佚民間的古壯字抄本、麼經唱本、唐皇唱本從瀕危邊緣搶救回來，整理注釋，成為解碼譯介壯語文字系統的多種文字並存對照之「羅塞塔石碑」。他的《瓦氏夫人研究》是國內學者關於瓦氏夫人歷史文化研究的第一本專著，從瓦氏出身、在岑猛家室中的地位、與岑猛的關係開始討論，接著考察瓦氏忍辱負重、流落他鄉，革弊除奸、重整田州，一直到力排眾議，披掛出征，以及對行軍路線、各個戰場的實戰狀況，都作了詳盡論述。這不但歌頌了瓦氏抗倭的歷史功績，而且辯證地揭露了明王朝官場的腐朽黑暗。該書是「出自一位有扎實文字功底的文物工作者之手，是一本難得的、雅俗共賞的、有較高學術價值的史學專著」^④。

1990年2月，為還原瓦氏夫人英勇抗倭史詩，黃明標親自帶領考察組，橫跨六省、市，沿著當年瓦氏夫人出征抗倭的路線和戰場遺址進行歷史考察，行程3800多公里，查閱諸多典籍，多方搜集瓦氏夫人抗倭的史志資料，「首開瓦氏夫人抗倭史跡考察之先例」^⑤。在南方諸省的水路行軍路線上，在江浙古戰場遺址的斷壁殘垣間，觸摸抗倭歷史的壯舉和溫度，捕捉到壯語軍歌的殘響，以「以足代筆」的考證，完成了學界對瓦氏夫人抗倭史跡的第一次全程考察，隨後於1991年在《廣西文物》上發表論文《瓦氏夫人抗倭史跡考察》，並於2008年出版研究專著《瓦氏夫人研究》。該書還將於2025年下半年再版發行。

（三）民間敘事的麥克風

黃明標長期在鄉野考察，不辭辛苦，走村串戶，甚至攀岩入洞，從壯族藝人歌師手中接過世代秘傳的發黃抄本，讓民間故事歌謠、口傳史詩與書面文獻互證，深挖傳承文化基因。他搜尋、整理和主編的《田陽縣歌謠集》（1987）《田陽縣故事集》（1988）《田陽縣諺語集》（1989）均收入國家級文化工程《中國民間文學三套集成》（《中國民間故事集成》《中國歌謠集成》《中國諺語集成》）之中；基於多年的民間采風記錄，2004年他在廣西民族出版社主編出版了《布洛陀與敢壯山（祭祀歌）》《布洛陀與敢壯山傳說故事》。此外，其專著《瓦氏夫人研究》第八章《傳說中的瓦氏》也是對田陽坊間關於瓦氏傳說故事的真偽考辯，如岑家三件寶，長奶夫人，瓦氏出殯的三聲重雷報喪、天傘遮陽送行，田東縣剝啼古墓的墓主身份等。基於壯族傳統文化、風俗習慣、人文常識和文博資料，他指出相關考證核查的結果，道出其中的虛假成分、崇敬心理和誇張說法，認為瓦氏夫人墓地就在田州城東面的婆地，壯話地名叫「地太」，今百色市田陽區田州鎮隆平村那豆屯東北約500米處。黃明標明確指出「瓦氏墓何在早有定論」^⑥。修復後的瓦氏夫人墓地於1994年被公佈為自治區第四批文物保護單位，今又擴建為「瓦氏夫人文化公園」。

黃明標主編並整理翻譯的《壯族麼經布洛陀遺本影印譯注》《瓦氏夫人抗倭故事歌影印譯注》和《唱唐皇影印譯注》都是以五行對照的體例，將壯漢文化交融的活態敘事納入學術視野，後兩者還附有唱唐皇影音二維碼鏈接，這就使得布洛陀史詩和壯族唐皇曲藝不再是無聲的歷史或是博物館的文物，而是流動的文化DNA，合力造就了民族典籍譯注工作中的「廣西經驗」，並在2024年被陳列於由國家民委全國少數民族古籍整理研究室指導建設的「典映中華——中國少數民族古籍整理成果展閱區」當中。其中《瓦氏夫人抗倭故事歌影印譯注》入選國家重點出版專案「鑄牢中華民族共同體意識古籍整理出版書系」首批試點專案，並於2024年入圍第十六屆中國民間文藝山花獎·優秀民間文學獎。

黃明標這種腳踏泥土、手捧古籍、耳聽民聲的文化研究路徑，使其著作既具有傳統學科金石學的堅實考證，又帶壯鄉露氣的鮮活氣息，可謂是當代壯學研究的範式創新，值得學習借鑒。

三、學術貢獻：編織壯族文化經緯的守燈人

黃明標研究員的學術研究可概括為三重文化貢獻：

（一）典籍搶救的擺渡人

包括民族古籍在內的「中國典籍源遠流長、廣博精微，是世界文化多元化必要的組成部分，是人類命運共同體發展的重要內核」^⑦。黃明標常年不懈努力，將散落於壯鄉山野的壯族麼經、抗倭歌謠、唱唐皇（壯族非遺曲藝）等抄本唱本，通過收集整理和影印譯注轉化為可解讀的學術資源。例如，《瓦氏夫人抗倭故事歌影印譯注》首次系統呈現壯族巾幗英雄抗倭功績故事的民間記憶譜系。加上先前的開創性專著《瓦氏夫人研究》和《田州岑氏土司族譜》（2012）的首次校點注釋，黃明標對瓦氏夫人的研究考察極大地「助力民族英雄瓦氏夫人的形象建構及其英勇抗倭歷史佳話的深入探索，還原其可信可親、可愛可敬、忠貞報國的英雄故事，聚力鑄牢中華民族共同體意識，同心共築中國夢」^⑧。

（二）範式創新的橋樑建築師

黃明標的三維研究方法為邊疆民族文獻研究提供新範式，既避免書齋考據的脫域困境，又超越田野調查可能存在的碎片化局限，使壯學研究從獵奇采風昇華為文明對話。筆者就是這一研究範式的受益者。在開展國家社科基金專案「民族志翻譯視角下的壯族創世史詩《布洛陀》英譯研究」（16BYY036）的過程中，我們就是參考運用這種三維研究體系，深入研究《布洛陀》的民族志英語譯介。除了與課題小組成員經常進行線上討論研究之外，我們進行多方考察調研，還對《布洛陀》的各級傳承人黃達佳（已故）、農吉勤（已故）、覃安業和黃曉亮進行深度訪談與交流，多次與百色市民委專家黃子義（已故）、黃明標研究員、澳洲學者賀大衛等壯學專家虛心請教和專題探討，研習解決《布洛陀》原典文字解讀翻譯及讀音差異等疑難點^⑨。

（三）文化認同的黏合劑

在新時代築牢中華民族共同體意識的背景下，黃明標的典籍整理譯注工作讓壯族文化既成為我國多元一體國家文化的團結紐帶，又化作中華文化傳播的名片——布洛陀經書中的創世神話與漢族典籍《山海經》形成跨民族的精神共鳴。他對瓦氏夫人抗倭歷史的研究考察則彰顯了壯漢共禦外侮的家國敘事和愛國主義精神。

正如黃明標指出：瓦氏夫人是「壯族歷史上受到當朝皇帝封賞的第一位壯族女性。瓦氏不愧為壯族歷史上第一位卓越的女政治家……第一位民族女英雄、女將軍……」^⑩瓦氏夫人英勇抗倭「不僅在軍事上作出了貢獻，同時播撒了民族團結的種子，增進了壯漢民族之間的互相瞭解，大大融洽了民族關係，具有民族團結進步意義……瓦氏夫人，中華民族永遠的驕傲；瓦氏夫人抗倭，中華民族的歷史佳話^⑪。」「《唱瓦氏夫人》以人們熟悉的唐皇調音樂旋律，唱頌瓦氏夫人。婉轉的歌聲載著瓦氏夫人的英雄事蹟，永遠蕩漾在壯鄉的崇山峻嶺之中」^⑫。

在書中的瓦氏夫人抗倭歷史考察，黃明標還設專題，分析瓦氏夫人克敵至勝的法寶——瓦氏陣法，指出融合《岑氏兵法》和「七人為伍」的瓦氏陣法特點。1991年，他擔任歷史顧問，挖掘整理和指導排練「瓦氏陣法」在第四屆全國民族體育運動會上的開幕式表演。這一陣法描述曾被收入明代抗倭兵書《江南經略》，影響並演變成了後來戚繼光的「鴛鴦陣」戰法。這些戰例及兵法陣法，在上世紀八十年代也被臺灣三軍大學也收入《中國古代戰爭史》之中。2024年中，他還受邀到百色、南寧、上海等地進行「弘揚瓦氏夫人精神，鑄牢中



華民族共同體意識」的專題講座,助力弘揚偉大的民族精神,構築中華民族共有精神家園。他突出的壯學研究貢獻使他名副其實地成為編織壯族歷史文化經緯的「守燈人」。

四、結論

從國家二級文物「欽差田州總兵關防」印到國家一級文物「田州土知府印」等文物的搜尋發現,從市級非遺《田陽壯族唐皇》到國家級非遺《布洛陀》的傳承發展,從《布洛陀》典籍的挖掘整理,再到多年來擔任布洛陀祭祀大典的壯語主持人或指揮長,黃明標以四十餘載的堅守,在右江流域編織出壯族文化的錦繡長卷,堪稱文物偵探式的研究員、壯鄉文明的探寶人與民族文化的傳承者。

值得強調指出的是,黃明標在瓦氏夫人文化研究領域貢獻卓越,完成諸多開創性工作。他於 1988-1989 年首次全面調查核實瓦氏夫人墓,並先後推動公佈成為縣級、自治區級文物保護單位;1990 年開啟學界對瓦氏夫人抗倭史跡的首次全程考察;同年參與舉辦第一次全國性瓦氏夫人學術會議;1991 年在學術界刊物發表首篇瓦氏夫人史跡考察論文;助力「瓦氏陣法」在全國民族體育運動會開幕式上首次亮相;1992 年合作主編出版首部《瓦氏夫人論集》;2008 年出版全國第一部瓦氏研究專著;2022 年推出瓦氏題材的第一部譯著;2024 年其編劇的瓦氏夫人題材電影劇本獲國家電影局立項等等,不一而足。

這些「第一次」探索工作意義非凡,為壯學研究提供了豐富一手資料,創新了研究範式,構建起壯學研究新框架。其考察研究事蹟看似點滴累計,但卻是層層遞進,推動布洛陀文化和瓦氏夫人抗倭歷史研究從零散走向系統,從初步探索邁向深入挖掘。黃明標的研究貢獻不僅體現在具體成果的產出上,更在於他數十年如一日對壯族文化傳承的堅守與創新,為壯族文化的保護、研究及傳播樹立了典範。可以說,他用行動讓壯鄉文化在歷史與現代間傳承延續,成為編織壯族文化經緯的「守燈人」,照亮五千年中華民族文明的多彩星空,其傑出功績在壯學研究中留下深刻印記,激勵著後人不斷探索與傳承壯族文化。

注釋

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On the Connotations and Values of Folk Songs along the Shu Road

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Abstract: As a branch of Shu Road culture, the folk songs along the Shu Road represent a vital part of the living cultural heritage of the surrounding regions. These songs not only reveal the historical development patterns and trajectories of folk music along the Shu Road but also deepen the understanding and academic study of Shu Road culture. As crystallizations of folk customs and arts, the lyrics of these songs reflect local characteristics and differences in daily life, particularly in festival, wedding, and birthday celebration contexts across Sichuan, Shaanxi, and Gansu. Their melodies and tunes also showcase differences in stylistic devices such as antiphonal singing and metaphorical expressions between northern Sichuan and northern Shaanxi folk songs. Some of these songs have been included in music textbooks for primary, secondary, and higher education institutions, providing students not only with an appreciation of regional customs but also a sense of the laboring people's spirit and wisdom during performance. The folk songs along the Shu Road are a fusion of geography, history, folklore, and music. As a creative resource, they hold significant value and meaning for the preservation and transmission of Shu Road culture.

Keywords: folk songs along the Shu Road; cultural connotations; aesthetic value; educational value

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論蜀道沿線民歌的內涵與價值

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摘 要：蜀道沿線民歌作為蜀道文化的分支，是其沿線地區重要的活態文化遺產，不僅揭示了從古至今蜀道沿線民歌的發展方式與軌跡，而且加深了對蜀道文化的認識與研究的深度。作為民俗文化與民間藝術的結晶，在文辭中能夠發現川陝甘地區節慶、婚嫁、祝壽等場合中的地方特色和生活差異；在旋律與曲調中所展示的川北與陝北民歌的視詞、比興等手法的不同之處。其部分曲目已經被收錄進中小學或高校音樂教材，對學生而言不僅是領略民俗民風，演唱時更能感受勞動人民的精神與智慧。蜀道沿線民歌是地理、歷史、民俗、音樂等多學科交融的產物，以其為素材的音樂創作，對蜀道文化的傳承與保護具有重要的意義和價值。

關鍵詞：蜀道沿線民歌；文化內涵；美學價值；教育價值

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一、引言

蜀道作為連接四川、陝西等地的重要文化紐帶，深受四川盆地及陝西周邊地區地理環境和文化傳統的影響，深刻地反映了蜀道沿線地區的自然風貌和人文精神，是各民族音樂交融的沃土，不斷地吸納著各民族音樂的精華，孕育出了豐富多彩的藝術形態。蜀道沿線民歌歷史悠久，內容廣泛且豐富，既描繪了川陝沿線的自然風光、民俗風情和社會生活，也展現了當地人民的生活習慣和情感。《「十四五」文化發展規劃》提出傳承優秀傳統文化，加強文化遺產保護與研究。蜀道民歌承載深厚文化內涵，是理解中華文化的重要載體。深入研究其文化、美學與教育價值，有助於增強民族認同，推動蜀道文化的傳承與發展。

二、蜀道沿線民歌的文化內涵與價值

（一）蜀道的歷史與地理概況

蜀道是從漢唐首都長安通往成都的道路，或曰秦蜀間的道路、川陝間的道路。^①從古都西安出發，穿過秦嶺的山路有褒斜道、故道和子午道等，跨越巴山的則有金牛道、米倉道以及荔枝道等多條古道。^②蜀道沿線歷史名城密佈，如金牛道途經四川成都、廣漢、綿陽、廣元等地，跨越平原盆地，河流縱橫；陝西段則貫穿寧強、大安、勉縣、漢中，地形複雜、山川交錯。漢中因劉備築基蜀漢而著名，勉縣為韓信「暗度陳倉」之地，亦是張魯創「五鬥米教」、諸葛亮屯兵北伐之地，彰顯蜀道的戰略與文化價值。^③蜀道悠久的歷史背景賦予了它在中國古代政治、軍事、經濟、文化等多個領域的深遠影響，其沿線遺存及相關文化現象具有珍貴的遺產價值。



（二）蜀道沿線民歌與民俗文化的關係

蜀道沿線民歌與當地民俗文化緊密相連，通常在節日慶典、婚喪嫁娶、修房祝壽等各種民俗活動中被廣泛傳唱。《哭嫁歌》作為傳統婚俗的重要組成部分，生動反映了封建婚姻制度下女性的悲慘命運。以陝西省鎮巴縣所流傳的鎮巴民歌《哭嫁》為例，歌詞中「哭一聲，奴的爹，爹在屋裏辛苦些，哭一聲，奴的媽，十月懷胎生下我，屎尿一身養奴大。」歌詞中女兒對父母的哭訴，既體現了「父母之命」的包辦婚姻對女性的壓迫，也展現了血親倫理與婚姻制度的內在矛盾。20 世紀以來，哭嫁習俗經歷了三重嬗變：民國時期萌發對封建婚姻的反抗，集體化時代被改造為革命文藝，當代則轉為非遺展演。這一變遷折射出中國女性從禮教束縛走向婚姻自主的歷程。四川省廣元市，北鄰陝西省寧強縣，位於秦蜀交界，民風民俗有獨特的地方特色。廣元地區的風俗歌曲主要包括燈調、哭嫁歌與神歌。燈調包括的類型有：馬馬燈調、採蓮船調、牛燈調、花燈調。^④在節慶娛樂活動中，燈戲班子會進行精彩的耍燈表演，這不僅是節日氛圍的生動展現，也是對傳統非遺文化的弘揚和傳承。蜀道沿線民歌承載著勞動人民最為深刻的生活情感和勞動實踐的烙印，是蜀道沿線地域特色和歷史文化的生動記錄，對於理解和研究蜀道民俗文化的動態演變過程有重要的價值。

（三）蜀道沿線民歌的文化性體現

自秦漢以來，匈奴、鮮卑、黨項等民族相繼彙聚陝北，政治、文化、軍事等交流互動，塑造了其多元一體的地域文化；明清時期，因生計所迫，陝北人民遷徙至內蒙古和西部，催生民歌《走西口》；黃土高原獨特地理與人文背景，使其成為遊牧與農耕文化交匯之地，惡劣環境鍛造了堅韌精神，孕育出《信天遊》。學界多年來為保護和搶救民歌，對蜀道沿線民歌進行了大規模挖掘。在陝西中國民間文藝研究會推動下，出版了《陝甘寧老根據地民歌選》《西北民歌選集》等，80 年代還出版了《中國民間歌曲集成·陝西卷》，為陝北民歌研究提供了重要底本。^⑤四川蒼溪縣文化廣電新聞出版局編寫的《川北民歌》收錄 300 餘首民歌，萬光治主編的《四川民歌采風錄》對四川民歌音樂文獻的搶救和保護具有重要價值。蜀道沿線民歌與蜀道文化相互促進、共同發展共同構成了豐富多彩的蜀道文化體系，深入挖掘和研究蜀道沿線民歌，對於更好地瞭解蜀道文化、傳承中華民族優秀傳統文化具有重要意義。

三、蜀道沿線民歌的美學內涵與價值

（一）旋律結構的韻律之美

蜀道沿線民歌旋律簡潔樸實，風格隨地理環境多樣化，結構靈活，鮮明體現地域特色與民族風格。如四川廣元地區民歌《洛陽橋》，採用兩句式結構，旋律以級進式波浪形為主，表達思鄉之情；徵調式運用使曲調悠揚婉轉，「月亮溜溜月」等襯詞展現地方小調特色。陝北地區的民歌以其寬廣的音域、高亢而熱烈的曲調，彰顯出鮮明的地域特色。陝北民歌《繡荷包》音域寬廣、調式高亢熱烈，運用 C 徵六聲調式與五段上下句結構，通過頂針、押韻手法增強歌詞緊湊性與節奏美，「牡丹」「閃閃」「線線」「心栓」，押韻的字眼增強了歌曲的節奏美和韻律美。通過節奏、節拍的變化，表達了女子對遠方丈夫的思念和盼望歸來的情感。蜀道沿線民歌通過旋律的起伏、節奏的變化，傳遞著人們對生活的熱愛，對自然的敬畏，對愛情的嚮往，承載著蜀道沿線的民族情感與記憶。生動展現了蜀道沿線地區文化的差異，反映了當地的風土人情，彰顯了民間音樂藝術的韻律之美。



（二）語言表達的意境之美

蜀道沿線民歌富含詩意與文化內涵，兼具古樸韻味與生動細節。如四川民歌《采花》採用時序結構，以每句對應一月，描繪四季更替中鄉村花開的景象，展現自然之美。在《采花》中「正月無花采，二月采花開，三月桃花，四月葡萄花。」展現了季節的更替，通過細膩的描繪，將聽者帶到充滿花香和生機的田園世界，更融入了對生活、勞動和人際關係的深刻感悟。在修辭上，廣泛運用賦、比、興等傳統手法，通過疊字、襯詞等形式增強藝術表現力，使民歌更具抒情性與審美價值。陝西寧強民歌《萬年花兒紅》中「一股涼風（梭連擋梭）吹（哟）進來（耶）（萬年花兒紅）。」^⑥「花兒紅」象徵美好的生活，是人民對自然的熱愛、生活的歌頌以及幸福生活的嚮往和追求。襯詞、疊詞的巧妙運用，有效地連綴了曲調的流動。四川廣元民歌《打夯歌（唱歌山歌惹你們）》中「唱個（哦）山歌（哦）（哟哟哟）惹你（哟）們（啦）（哟呵嘿嗨呀）」。⑦陝西鎮巴民歌《木夯號子》中「（領）立起（個）夯錘哟（齊）（咳哟哟咳哟）。」^⑧飽含著鮮明的地域特色與淳樸的民間情感，既是旋律上的享受，又是語言上的藝術，讓人感受到蜀道沿線地區民歌中所蘊含的意境之美。

（三）時代精神的傳承之美

蜀道沿線民歌不僅是一種音樂形式，更是特定時代精神的載體。如陝北革命民歌《繡金匾》誕生於抗日戰爭的烽火歲月中，歌詞中「一繡毛主席、二繡陝甘寧、三繡八路軍。」用樸實無華卻情感真摯的語言，表達了百姓對革命事業的忠誠與支持。《東方紅》以樸實而朗朗上口的歌詞，表達了人民群眾對毛主席的崇敬與擁護，傳遞了中國人民在艱難困苦中對抗戰勝利的堅定信念。蜀道沿線民歌蘊含著川陝沿線地區人們的生活情感，是深厚文化傳統與時代精神的傳承載體，記錄著人們的生活、情感和追求。在不同的歷史時期，蜀道沿線民歌總能煥發出新的生命力，繼續傳承著那份獨特的文化精神和時代力量。無論是戰火紛飛的年代，還是和平建設的新時期，它所蘊含的不屈不撓的精神都以其獨特的魅力，激勵著一代又一代人，成為中華民族文化寶庫中不可或缺的一部分。

四、蜀道沿線民歌的教育內涵與價值

（一）借助蜀道音樂的多元化特色，拓寬學生音樂視野

蜀道橫貫多地，穿越山川險峻，孕育出豐富多樣的民歌文化。沿線民歌涵蓋山歌、小調、勞動號子等類型，與當地文化緊密相關。如源於陝西漢中大巴山地區的鎮巴民歌，是陝南民歌的重要代表，其代表作《山歌子來啥好聽》已被編入人民音樂出版社中小學教材，體現其文化與教育價值。教師可圍繞「蜀道沿線民歌」主題設計課堂活動，通過討論、小組合作，引導學生理解其音樂特徵與歷史背景，對蜀道沿線不同地區的民歌風格進行分享、展示和交流。此外，教師還可以組織學生進行合唱或舞蹈表演，親身參與到蜀道沿線民歌的演繹中。通過這樣的實踐活動，學生在感受蜀道多元音樂文化的同時，也瞭解並學習了蜀道沿線地區不同地理、文化背景下的民間音樂表現形式和獨特風格，提高對傳統音樂的興趣，拓寬音樂視野。

（二）秉持跨學科融合發展理念，提升學生綜合素質

蜀道作為古代文明的重要交通紐帶，承載著豐富的地理和歷史文化資源，更在政治和經濟領域扮演著至關重要的角色。《義務教育藝術課程標準（2022年版）》在「聽賞與評述」中提到：「將音樂與歷史、地理、風土人情、社會生活、文化習俗、地方方言等結合起來，讓學生在特定的文化語境中更好地理解音樂的文化內涵與

風格意蘊。』^⑨四川地區江河密佈，船運頻繁，複雜地形與水域環境深刻塑造了該類勞動民歌的形態與功能。四川民歌《川江船夫號子》依據勞動情境演唱，如《平水號子》《下灘號子》在平穩航行時營造輕鬆氛圍，《上灘號子》《拚命號子》則在激流險灘中鼓舞士氣。在教學中，可將音樂課程作為核心載體，融合地理、歷史、政治等多學科內容，構建跨學科教學體系，有助於強化藝術與生活的聯繫，拓展學生知識結構，深化對蜀道音樂與地域文化內在關聯的理解與感知。

（三）激發學生對音樂的熱愛，促進蜀道音樂的創新性發展

將本土音樂文化納入中小學及大學課程體系，設計專門的蜀道沿線民歌課程，有助於學生系統掌握蜀道文化歷史背景及民歌的音樂形式與藝術價值。蜀道自古為文人墨客詠歎之地，唐代李白《蜀道難》以「蜀道之難，難於上青天」抒寫蜀道險峻，明代王恭《送衲子遊方》則描繪峨眉與廬山壯麗景色。教師可引導學生將古典詩詞進行音樂創作，通過旋律與節奏設計，將詩詞意境轉化為聽覺藝術。創作過程中，學生可嘗試古箏、二胡等傳統樂器，體現古典韻味。此類實踐不僅深化學生對古典詩詞的理解與感悟，提升創造力和藝術表達能力，也促進對蜀道文化的深入認知。廣泛吸收並創新蜀道民歌元素，為現代音樂多元發展提供豐富資源。

五、蜀道沿線民歌的創新與價值

（一）蜀道沿線民歌的文化創新與價值

蜀道沿線民歌作為古老而富有生命力的藝術形式，並在當代不斷實現創新與融合。全國各地通過舉辦民歌節、音樂節等活動，推動民歌的創新性發展，促進地方文旅產業融合。2022年，四川省文化和旅遊廳、農業農村廳與廣元市政府聯合在青川縣唐家河旅遊區舉辦「第十二屆大蜀道文化旅遊節」，以陰平古道與薊草鑼鼓為主題，展現地域文化與民間藝術。2023年，成都市雙流區開展「一鎮一藝術」專案，通過「集章行動」增強公眾參與，參與者可獲官方學習證書，深入體驗四川民歌的文化魅力。此類活動不僅豐富了公共文化生活，激發了群眾文化認同，也推動非遺音樂傳承與傳播，實現文化與經濟的雙重價值，體現了傳統民歌在新時代的轉化創新與文化自信的時代表達。

（二）蜀道沿線民歌的作曲創新與價值

黨的十八大以來，習近平總書記多次強調要加強中華優秀傳統文化的傳承與發展，為文化藝術領域指明方向、注入活力。2023年，四川音樂學院國家藝術基金大型傳播交流專案《蜀道組歌》在武漢、深圳、貴陽等七座城市巡演，促進了蜀道文化的傳播，是傳統文化與現代音樂融合的積極探索。《蜀道組歌》取材於蜀道沿線文化遺產，如以金沙遺址太陽神鳥為題材創作的《神鳥飛太陽》，表達了蜀人對理想生活的嚮往；《五丁開山》則通過混聲合唱展現蜀地山川壯闊與歷史記憶。該作品以創新音樂語言演繹蜀道精神，賦予傳統文化當代表達，體現出強烈的時代精神與文化自信。作曲家通過融合傳統音樂元素與現代技法，使蜀道故事跨越時空，與當代聽眾產生深刻共鳴，展現了音樂在文化傳承與精神激勵中的獨特價值。

（三）蜀道沿線民歌的傳承創新與價值

過去，蜀道沿線民歌主要依靠老藝人口傳心授，雖保持了原始韻味，但傳播範圍有限。隨著數字技術快速發展，民歌傳播方式發生變革，借助線上課程、音樂平臺和社交媒體，民歌突破時空限制，吸引更多年輕人關注與學習。2024年，廣元市文化館推出線上「學吧」微課堂——川北民歌系列，深度解析代表作《清早起來



去翻山》，促進公眾對民間音樂文化的理解。教育領域的改革也推動了蜀道民歌的系統傳承，越來越多學校將民歌納入音樂課程，通過教學與實踐激發學生興趣。成都市教育局每年舉辦《川腔蜀韻》地方音樂資源教學評選，提升教師專業水準，培養學生核心素養，強化巴蜀文化體驗與認知。新時代背景下，深入挖掘中華優秀傳統文化蘊含的思想觀念、人文精神、道德規範，結合時代要求，推進中華優秀傳統文化的創造性轉化和創新性發展。^⑩

六、結語

悠悠古蜀道，歷經千年歲月，依舊璀璨奪目。當下，我國正處於民族復興的關鍵階段，文化自信與文化自覺是推動文化復興的重要精神動力。蜀道沿線民歌作為蜀道文化的重要組成部分，是民俗文化與民間藝術的完美融合。在全球化的衝擊下，蜀道沿線民歌的傳承需要兼顧原真性與時代性。借助數位化記錄、非遺保護工程以及民間傳習活動，能夠確保其核心藝術特徵得以傳承。與此同時，結合短視頻、流媒體等現代媒介進行推廣，可增強年輕群體對其文化的認同感。

蜀道沿線民歌的傳承要在保護核心基因的基礎上勇於創新。通過全球化傳播與跨界融合，讓蜀道沿線民歌在當代社會煥發出新的生機與活力，成為連接傳統與現代的文化紐帶。蜀道沿線民歌為探索蜀道文化內涵提供了重要視角，通過對其內涵與創新的研究，能更深入地瞭解蜀道沿線地區民歌的共性與差異，進而更全面地領悟蜀道文化的深厚底蘊。在當代社會中，持續深化對蜀道文化價值的認識與研究，能在保護和傳承的過程中賦予蜀道文化新的生命力。

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(Editors: Derrick MI & Joe ZHANG)

Review on *Coordinated Eco-environmental Governance in Yangtze River Economic Belt*: Based on the Practice of Tributary Jialing River Basin

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Abstract: This review examines *Coordinated Eco-environmental Governance in Yangtze River Economic Belt—Based on the Practice of Tributary Jialing River Basin* by Luo Zhigao, Yang Jirui, and colleagues (American Academic Press, 2024). The book offers a comprehensive analysis of ecological governance in China's Yangtze River Economic Belt (YREB), with a focus on the Jialing River Basin as both an empirical case and a policy laboratory. Situating its arguments within China's eco-civilization discourse and recent legal innovations such as the Yangtze River Protection Law, the volume calls for a shift from fragmented, hierarchical governance to a more integrated, networked model involving multiple actors, institutions, and market incentives. The book's analytical core lies in its application of coupling coordination models and grey prediction methods to assess the synchronization of ecological, economic, and social systems. Comparative chapters further contextualize the Jialing experience through international cases such as the Thames and Rhine, underscoring lessons on long-term institutional commitment and stakeholder engagement. This review situates the book within broader global literature on watershed governance, referencing foundational works such as Ostrom's *Governing the Commons* (1990), UNEP's *Atlas of International Freshwater Agreements* (2002), and studies on adaptive governance (Huiteima et al., 2009). The review highlights the book's strengths—its multi-scalar analysis, methodological ambition, and policy relevance—while also noting limitations in data transparency, bottom-up stakeholder perspectives, and critical analysis of institutional transferability. Overall, the book represents a significant contribution to scholarship and policy practice, particularly for researchers of ecological economics, water governance, and Chinese regional development. By foregrounding the necessity of coordinated, networked governance, it offers insights with resonance well beyond China, advancing comparative debates on how to manage large socio-ecological systems in an era of accelerating ecological stress and climate uncertainty.

Keywords: Yangtze River Economic Belt; Jialing River; ecological governance; networked governance; watershed management; China

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1. Introduction

River basins are increasingly recognized as critical socio-ecological systems that require coordinated governance across jurisdictions and sectors. Globally, the shift from fragmented, state-centered approaches toward more collaborative and adaptive governance models has been well documented (Ostrom, 1990; Huitema et al., 2009). In Europe, the Rhine River, once described as the "sewer of Europe," is now often cited as a model of transboundary cooperation (Le Marquand, 1989; UNEP, 2002). In North America, the Delaware River Basin Commission and the multi-state arrangements in the Colorado River demonstrate the challenges and

opportunities of cooperative federalism (Moss & Newig, 2010). Across Latin America, collaborative governance experiments in the Amazon and Paraná basins highlight both ecological promise and political fragility.

Against this global backdrop, China's Yangtze River Economic Belt (YREB) represents one of the most ambitious attempts to integrate ecological protection with regional economic development. The YREB accounts for nearly 40 percent of China's GDP, covers 11 provinces and municipalities, and contains some of the most densely urbanized and industrialized zones in the country. Yet it faces daunting challenges of pollution, ecological fragmentation, and governance complexity.

In this context, *Coordinated Eco-environmental Governance in Yangtze River Economic Belt—Based on the Practice of Tributary Jialing River Basin* is both timely and significant. Published by American Academic Press in 2024, the book provides a comprehensive analysis of eco-environmental governance in the YREB, with a particular focus on the Jialing River Basin, a critical tributary intersecting with the Yangtze in Chongqing. The authors argue that existing governance arrangements—dominated by administrative fragmentation and sectoral silos—are insufficient for the challenges at hand. Instead, they call for a networked model of eco-environmental governance, involving multiple actors, legal frameworks, and market incentives.

This review evaluates the book's structure, analytical contributions, and limitations. It situates the work within broader debates on watershed governance and assesses its value for both Chinese and international audiences. Ultimately, the book emerges as an important contribution, offering conceptual clarity, empirical innovation, and policy relevance, though not without shortcomings in methodological transparency and stakeholder engagement.

2. Content Overview

Chapters 1–2: Eco-civilization Discourse and Governance Mechanisms. The first two chapters situate the study within China's evolving eco-civilization discourse. Beginning with early environmental protection laws of the 1970s, the authors trace the gradual institutionalization of ecological priorities, culminating in the 2021 Yangtze River Protection Law and the 2022 ten-year fishing ban. These policies embody China's new "ecological civilization" paradigm, which treats nature not merely as a resource but as a foundation for sustainable development (Qi & Zhang, 2022).

The book then introduces governance modalities applied to basins: hierarchical governance, reflecting China's administrative tradition; market-based mechanisms, including pollution trading and eco-compensation; autonomous governance, involving community-level initiatives; and networked governance, which integrates multiple actors across scales. The typology resonates with broader international discussions of state-market-community hybrids in environmental governance (Araral & Wang, 2013; Ostrom, 1990). The authors contend that while hierarchical and market mechanisms remain central, only networked approaches can address the complexity of basin-wide ecological challenges.

Chapters 3–4: Yangtze River Economic Belt and Jialing River Basin. Chapters 3 and 4 provide a detailed overview of the YREB and the Jialing River Basin. The YREB is presented not just as an economic powerhouse but as an ecological lifeline whose sustainability underpins China's modernization project. The Jialing River Basin, spanning multiple provinces and intersecting with Chongqing, is described as both ecologically fragile and



strategically vital.

These chapters highlight problems such as industrial overcapacity, water pollution, and ecological fragmentation. A recurring theme is fragmented governance: basin management remains largely organized along administrative boundaries, producing “tragedies of the commons” where upstream exploitation generates downstream costs (Ren, 2008). This diagnosis echoes global observations that river basins are quintessential collective action problems, requiring institutional mechanisms for cooperation across space and scale (Wolf, 2002).

Chapters 5–7: Industrial Coordination, Coupling Models, and Ecological Pressure. The empirical chapters represent the book’s analytical core. Chapter 5 discusses industrial coordination and ecological industrialization, arguing that economic upgrading must be aligned with ecological imperatives. Chapter 6 develops an environment – economy – society coupling coordination model, designed to measure how well ecological, economic, and social subsystems evolve in synchrony. Chapter 7 applies a grey prediction model to forecast ecological pressures in the Jialing Basin, identifying worrying features of possible unsustainable development.

These models illustrate the book’s methodological ambition. Coupling coordination provides a framework for assessing balance across systems, while grey prediction enables scenario planning under conditions of data uncertainty. Together, they aim to operationalize concepts of resilience and sustainability (Folke et al., 2005). The analyses suggest that without stronger coordination, the Jialing River Basin risks entering states of ecological overshoot, threatening both regional development and basin-wide ecological health.

Chapters 8 – 9: Comparative Perspectives. Chapters 8 and 9 broaden the analysis through comparative perspectives. Chapter 8 examines the Thames River, tracing its transformation from the notorious “Great Stink” of the 19th century to a model of restoration and urban ecological renewal. The Thames case underscores the importance of long-term institutional commitment, stringent regulation, and public engagement (Baker, 2012). The comparison suggests that China, while facing different political and social conditions, can draw lessons on how sustained investment and legal frameworks can reverse ecological decline.

Chapter 9 compares the Jialing and Wujiang rivers, two tributaries of the upper Yangtze. While both face ecological pressures, their industrial structures and governance arrangements differ. The Wujiang’s hydropower development contrasts with the Jialing’s more diversified industrial profile, allowing the authors to underscore the heterogeneity of tributary governance challenges within the YREB. This comparative perspective highlights that “one-size-fits-all” governance models are inadequate; instead, basin-specific strategies must be devised within broader coordinated frameworks.

Chapter 10 and Appendices: Toward Networked Governance. The concluding chapter makes the normative case for networked eco-environmental governance in the Jialing River Basin. Drawing lessons from the Rhine’s International Commission and the Delaware River Basin Commission in the United States, the authors argue that effective governance requires multi-actor participation, legal frameworks, and market mechanisms to align incentives. They propose a framework encompassing government agencies, enterprises, social organizations, and local communities, emphasizing shared responsibility and benefit-sharing mechanisms.

The appendices extend the analysis to the Yellow River and Taihu Lake, reinforcing the need for differentiated yet coordinated governance strategies across China’s major basins.

3. Evaluation

3.1 *Strengths*

Multi-scalar perspective. The book succeeds in linking local basin dynamics to national strategies and international experiences. By situating the Jialing River Basin within the YREB and comparing it to cases like the Thames and Rhine, the authors underscore that ecological governance must transcend administrative boundaries and scale mismatches (Moss & Newig, 2010).

Methodological innovation. The use of coupling coordination and grey prediction models reflects an effort to move beyond descriptive accounts toward predictive, system-level analysis. This quantitative approach resonates with global attempts to model socio-ecological resilience (Folke et al., 2005). It provides policymakers with analytical tools to anticipate ecological tipping points.

Policy relevance. The book is explicitly policy-oriented. Its recommendations on legal frameworks, cross-jurisdictional mechanisms, and networked governance provide actionable insights for policymakers. This practical orientation enhances its value beyond academia.

3.2 *Limitations*

Data transparency. The empirical chapters rely heavily on secondary data, with limited discussion of data quality, robustness checks, or alternative specifications. For an international scholarly audience, greater transparency would enhance credibility.

Limited stakeholder perspectives. While the book emphasizes networked governance, it devotes little attention to the voices of local communities, NGOs, or other non-state actors. This omission is striking given the global literature's emphasis on participatory governance and legitimacy (Huitema et al., 2009; Ostrom, 1990).

Transferability of lessons. The discussion of international experiences (e.g., Thames, Rhine) is insightful but largely descriptive. A more critical analysis of the institutional preconditions for transfer—such as differences in political systems, civil society capacity, and regulatory cultures—would strengthen the comparative framework.

Position in the Literature. The book aligns with and contributes to key debates in global watershed governance. It echoes Ostrom's (1990) insights on the importance of polycentric governance and collective action. It reflects the adaptive governance literature that emphasizes flexibility and learning (Huitema et al., 2009). It also resonates with scholarship on China's environmental governance transition, which highlights the state's growing commitment to ecological protection amid enduring institutional challenges (Mol & Carter, 2006).

At the same time, the book leaves unaddressed certain themes, such as the role of finance in shaping basin governance, the political economy of hydropower development, and the implications of climate change for basin hydrology. These gaps represent opportunities for further research.



4. Interpreting China's Green Transformation with Basin Miniatures

One of the most distinctive contributions of this book lies in its ability to interpret China's green transformation through universal theories that integrate global governance perspectives with indigenous analytical innovation. By applying networked governance theory, the book elucidates how multi-actor collaboration across government agencies, enterprises, and local communities can overcome the fragmentation of traditional basin management. The incorporation of the coupling coordination model further demonstrates how ecological, economic, and social subsystems can be measured in terms of their synchronization, revealing both tensions and opportunities for achieving balance in the Yangtze River Economic Belt. In addition, the use of grey prediction models provides a forward-looking analytical lens that anticipates ecological pressures under conditions of data uncertainty, underscoring the necessity of preemptive, adaptive policy interventions. Taken together, these frameworks offer a nuanced picture of the Yangtze's green transition, moving beyond descriptive accounts toward a systematic theorization of sustainable development.

What is particularly noteworthy is that the book deploys these methods not merely as technical tools but as vehicles for telling China's story in an intelligible and compelling manner to the international community. The authors explicitly link the ecological transformation of the Yangtze River Economic Belt to China's broader eco-civilization project, thus translating domestic policy innovations into a language accessible to worldwide readers or scholars. In doing so, the volume resonates with President Xi Jinping's call (2016) to construct a philosophy and social science system with "Chinese characteristics, Chinese style, and Chinese spirit." Rather than uncritically adopting Western theories, the book demonstrates how China's own practices—eco-compensation schemes, cross-jurisdictional coordination, industrial ecologization—can be theorized and communicated through innovative frameworks that combine both local experience and universal analytical rigor with proper language and content forms across cultures and borders.

This methodological and discursive strategy has important implications for international discourse construction. In a global context where positive, English-language narratives of China's ecological policies remain scarce—especially in the era of generative artificial intelligence—the book represents a valuable contribution to shaping China's national image in the international community. It highlights that China's developmental success cannot be adequately understood or interpreted through conventional Western paradigms alone, and that theoretical innovation is indispensable for articulating the deeper rationalities behind Chinese policy. The book not only enriches academic debates in ecological governance but also enhances the social value of scholarship, contributing to the construction of China's international discourse system and national images, and offering intellectual resources for other developing countries seeking to draw lessons from China's path of green modernization.

5. Conclusion

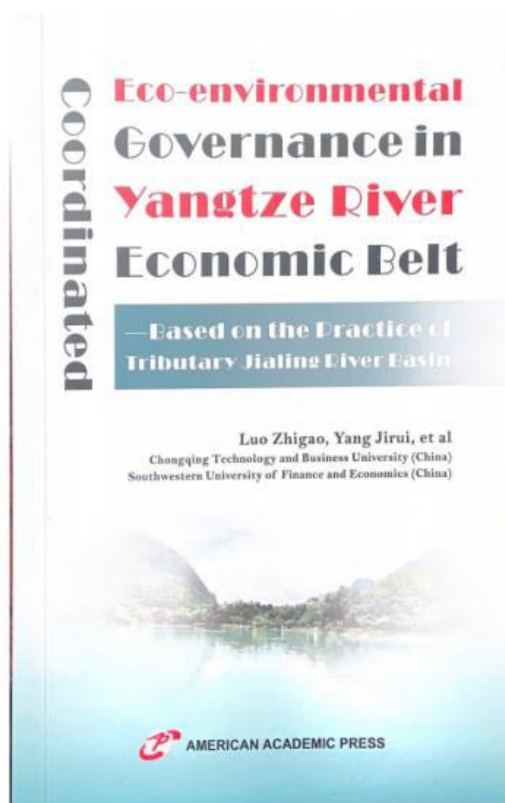
By articulating the necessity of coordinated, networked governance, the book contributes to international dialogues on how to manage large socio-ecological systems in an era of rapid urbanization, climate change, and

ecological fragility.

This work represents a significant addition to the literature on watershed governance. Its integration of theoretical frameworks, empirical modeling, and comparative insights makes it valuable for both academics and policymakers. While the book could engage more deeply with stakeholder perspectives, methodological transparency, and critical analysis of institutional transferability, it convincingly demonstrates that fragmented, top-down governance is not so sufficient for the challenges faced by China's major basins.

Ultimately, the book affirms that coordinated, networked governance—anchored in legal frameworks, multi-actor collaboration, and ecological priority—is indispensable for ensuring the sustainable development of the Yangtze River Economic Belt and, by extension, China's broader ecological modernization.

This volume will be of particular interest to scholars of environmental governance, ecological economics, and Chinese regional development, as well as practitioners engaged in river basin management. It provides a rich empirical case study of the Jialing River while situating it within broader theoretical and comparative contexts. For graduate students, it offers an accessible introduction to China's eco-civilization discourse and global watershed governance debates.



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[Scholar Profile]

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