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# Photos of the Contributors



HUANG Jiaofeng



CHEN Bing



JIA Shaodong



LI Shidong



LIANG Sixuan



Ng Woon Lam



SHAN Xinrong



SHI Xiaomei



WANG Zuyou



YIN Taojie



ZHAO Jiahao



ZHOU Yuxi



# ASIA-PACIFIC JOURNAL OF HUMANITIES AND SOCIAL SCIENCES

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( Volume 1 Number 2 2021 )

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## CONTENTS

### Articles

Exploring the Direct and Indirect Effects of Emotional Leadership on Entrepreneurial Success of Start-ups in the Hospitality Sector (I)  
ZHAO Jiahao 001

The Teaching of the Concept of Color Harmony and Its Ambiguity  
Ng Woon Lam 020

A Milestone Work in the Historiography of American Literature in China: A Review of *The History of Hispanic American Literature*  
WANG Zuyou 028

English Proficiency and Academic Achievement in the Philippines ESL Contexts  
CHEN Bing 035

墨家何以成“教”? ——反思墨學研究中的“墨教問題” [ Is Mohism a Religion?: Reflection on “Mohism” in Mohist Studies ]  
黃蕉風 [ HUANG Jiaofeng ] 048

基於網路文本分析的社交網路服務 ( SNS ) 使用者感知價值研究——以人人網為例 [ A Study on the Perceived Value of Social Network Service Users Based on Web Text Analysis: Taking renren.com as an Example ]  
李世洞 李麗 [ Li Shidong & Li Li ] 058

從“脫貧攻堅”新聞報道看中國國際話語建構 [ China's International Discourse Construction: A Case Study of News Reports on China's Poverty Alleviation ]  
史曉梅 周羽西 [ SHI Xiaomei & ZHOU Yuxi ] 068

從馬斯洛需要層次理論看口譯人員的培養 [ On Interpreter's Training from Maslow's Hierarchy of Needs ]  
尹韜傑 [ YIN Taojie ] 078

轉喻視域下的英漢習語翻譯研究 [ Translation in English and Chinese Idioms from Metonymy ]  
單新榮 賈紹東 [ SHAN Xinrong & JIA Shaodong ] 083

藝術媒介的實踐與歷史檔案的重生——以潘禮德的《殘缺影像》為例 [ The Practice of Art Media and the Rebirth of Historical Archives: A Case Study of Rithy Panh's *The Missing Picture* ]  
梁思璿 [ LIANG Sixuan ] 090

### Academic News

國際人文社科跨學科研究協會 ( IAHSSR ) 正式成立 [ International Association for Interdisciplinary Humanities and Social Sciences Research ( IAHSSR ) Founded ] 097

### Chinese Arts

水彩畫作鄉村系列 [ Watercolor Painting Series: *The Countryside Life* ]  
吳小紅 [ WU Xiaohong ]

( Back Cover )



# Exploring the Direct and Indirect Effects of Emotional Leadership on Entrepreneurial Success of Start-ups in the Hospitality Sector (I)

ZHAO Jiahao

School of Business and Economics, Loughborough University, UK

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**Abstract:** Recently, there has been increasing interest in emotional leadership. Emotional leadership is primarily considered as an important element of contemporary leadership that is critical in achieving organisational objectives and goals. Such scholars as Bambale, Kassim and Musa explain emotional leadership as essential in leading followers through appropriate identification and management of emotions influencing the outcomes of the needs of these followers. Emotions have been found to follow certain logical patterns. It is established that proper use of emotions is imperative for successful leadership. Meanwhile, start-ups in the hospitality sector experience significant challenges in accessing human development resources. In particular, start-ups face immense difficulties in attracting highly skilled workers with extensive experience in the hospitality sector. It is appreciated that these challenges faced by start-ups in the hospitality sector can be mitigated with emotional leadership to a great extent. The general objective of this study is to explore the effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. The findings of this study will contribute to the body of knowledge on how emotional leadership influences the entrepreneurial success of start-ups.

**Keywords:** emotional leadership; entrepreneurship; hospitality sector; assertiveness; empathy; adaptability

**Notes on the contributor:** ZHAO Jiahao is a PhD candidate from School of Business and Economics, Loughborough University, the UK with an academic interest in socio – psychological perspectives of international human resource management, digital future, entrepreneurship, social cognitive theory and social policy.

## 1. Introduction

The main purpose of this chapter is to introduce the topic of the study. This study seeks to explore the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups that operate in the hospitality sector. In particular, this chapter will provide a brief background to the study and enumerate the main objectives of the study. It will also explain how this study seeks to achieve these objectives. Furthermore, this



chapter will offer a justification for the research topic and a discussion on the importance, scope and limitation of the study. The main objective of this chapter is to enhance the understanding of the readers on the research topic and generate a clear perspective on why the research is conducted. Generally, this chapter provides the readers with a brief overview of the main objectives and aims of the proposed study. The following subsections will constitute this chapter: background of the study, research aims and objectives, problem statement, scope and limitations of the study, importance of the study and the structure of the study.

### ***1.1 Background of the study***

Leadership is identified as the process that involves motivation of people and mobilisation of resources that are needed in accomplishing common objectives and goals. It is widely acknowledged that leaders are important for organisational success since they direct the paths that facilitate individuals to work together and achieve common goals. The trait theory of leadership affirms that some leadership traits such as intelligence, openness, conscientiousness and self-efficacy are needed in the creation of effective leaders (Yusof 2014). Recently, there has been increasing interest in emotional leadership. Emotional leadership is largely considered as an essential element of contemporary leadership that is critical in the achievement of organisational objectives and goals. Bambale, Kassim and Musa (2016) explain emotional leadership as essentially in leading followers through appropriate identification and management of emotions influencing the outcomes of the needs of these followers. Emotions have been found to follow certain logical patterns (Stein and Book 2000). It is established that proper use of emotions is imperative for successful leadership. The leadership process, in general, is considered as a function of how leaders use their emotions.

The hospitality sector constitutes an important sector in any economy. In fact, the hospitality industry has become one of the major drivers of the European economy. The contribution of the hospitality industry has mainly been a generation of employment opportunities and has positive effects on the economy. In Europe alone, the hospitality industry generates over 16 million employment opportunities representing 7.8% of the aggregate employment. According to the International Labour Organization (ILO 2010), the hospitality sector continues to experience immense challenges that have constrained its growth in recent years. For instance, start-ups in the hospitality sector experience significant challenges in accessing human development resources. In particular, start-ups face immense difficulties in attracting highly skilled workers with extensive experience in the hospitality sector. The limited financial resources available to these start-ups in the hospitality sector have further exasperated the problem.

It is appreciated that these challenges faced by start-ups in the hospitality sector can be mitigated with emotional leadership to a great extent. Organisational leaders have several roles in the workplace. Essentially, leaders are the link between employees (followers) and the management of organisations. In addition, Bass (1998) explains that leaders provide strategic direction for their respective organisations. They also guide employees' behaviour towards the direction that offers great benefits for their organisations. To be effective in these roles, there is a general consensus that leaders must fully understand the policies and the main objectives and goals of their organisations. Such understanding is critical as it will facilitate these leaders in offering effective guidance to their followers towards the achievement of the overall objective of the organisation.

### ***1.2 Research problem***

Generally, a research problem identifies a troubling question in existing scholarly literature. The research

problem points to and highlights the need for careful consideration and further interrogation on a particular subject matter. Few studies have been dedicated to examining the overall impact of emotional leadership on entrepreneurial success. In particular, there are limited studies that have specifically sought to assess the effects and impacts of emotional leadership on the entrepreneurial success of start-ups operating in the hospitality sector. According to Yusof (2014), this is the well-documented positive impact of the hospitality industry to economic growth and improvements in the standards of living. Generally, most studies have focussed on exploring the impact of leadership styles on the entrepreneurial success of start-ups. There has been a general consensus that emotional leadership influences the leadership styles in organisations. For instance, Bass and Avolio (1994) find evidence that emotional leadership has been largely associated with transactional and transformational leadership styles. These leadership styles have particularly been cited as contributing immensely to the achievement of organisational goals and objectives. The limited studies on the impact of emotional leadership on the entrepreneurial success of start-ups and particularly on start-ups that operate in the hospitality sector create a research gap that warrants further interrogation. This research gap creates an opportunity for this study to specifically explore both the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups with a particular interest in start-ups that operate in the hospitality sector.

### ***1.3 Objectives of the study***

#### ***1.3.1 General objective***

The general objective of this study is to explore the effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector.

#### ***1.3.2 Specific objectives***

The specific objectives of this study are:

- i. To examine the direct effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector
- ii. To examine the indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector

### ***1.4 Research hypotheses***

#### **Hypothesis 1**

Assertiveness of leaders has a significant influence on the performance of followers.

#### **Hypothesis 2**

Empathy of leaders has positive effects on the followers' performance.

#### **Hypothesis 3**

Adaptability of leaders has a substantial effect on the performance of followers.

### ***1.5 Importance of the study***

Studies should contribute to the body of knowledge. In agreement, Akaranga and Makau (2016) affirm that the main objective of any study or research is to contribute to knowledge. According to these authors, any research or study should expand already existing knowledge. Knowledge is known to make sense when such





knowledge is shared with other scholars and people. This study will contribute to the body of research on entrepreneurship. Presently, there are limited studies that have been undertaken to examine how emotional leadership affects the entrepreneurial success of start-ups. Generally, the findings of this study will contribute to the body of knowledge on how emotional leadership influences the entrepreneurial success of start-ups.

### ***1.6 Limitation of the study***

All research studies are limited in some way. Labaree (2009) explains that limitations of studies are those attributes of methodology or research design that have an influence or impact on the findings of a particular study. Generally, limitations of a study constitute those constraints on generalizability, utilisation of findings and applications of study findings to practice. Often, limitations of a particular study arise from the research design, methods of data collection and type of data. Identification and acknowledgement of limitations contribute to enhanced credibility for the research study. The main limitation of this study arises from its intended use of primary data. The choice of use of primary data for this study has been largely shown by its effectiveness in enabling reliable conclusions. In addition, the use of primary data is recommended for its originality and relevance to the research topic. This advantage is critical in facilitating the researchers in meeting the objectives of the study. In fact, Hox (2018) concludes that the originality and relevance of primary data to the research topic explains why this source of data is widely considered to have a high degree of accuracy compared to secondary data. However, the use of primary data may create misleading conclusions, especially, if the responses from the questionnaires are biased. Individual respondent bias has been identified as one of the main limitations of using primary data for analysis. All individuals are known to harbour different biases on any certain subject matter under investigation. Sindhu (2011) identifies other limitations of using primary data for research, including the likelihood of misleading conclusions, being relatively expensive as compared to reliance and dependence on secondary data.

### ***1.7 Ethical issues and considerations***

The issue of ethics in research has attracted immense attention. Blumberg, Cooper and Schindler (2005) emphasise that researchers must conduct and disseminate their research findings ethically. In particular, these authors insist that researchers should conduct their research in morally accepted ways with strict adherence to ethical principles of research. For the purposes of this study, this researcher will strictly adhere to the following ethical considerations: informed consent, confidentiality and respect for anonymity and respect for respondents' privacy. Armiger (2010) regards the aspect of informed consent as a major ethical consideration in research. Informed consent requires that respondents selected to participate in a particular study knowingly and voluntarily give their consent. Informed consent is largely achieved when all respondents have information on all risks and benefits of participating in the research. In this case, this researcher assures that no individual will be coerced to participate in this study. All respondents will be explained the objectives of the study, and their consent to participate in this study will be sought. In addition, this researcher commits to ensuring that respondents' anonymity is maintained. Akaranga and Makau (2016) consider it critical in addressing the issue of confidentiality in research. This study will ensure that the private information of all respondents is protected as a measure of guaranteeing the confidentiality and anonymity of all respondents.

### ***1.8 Organisation of the study***

The rest of this study is organized as follows. Chapter two will present the literature review and focus on previous studies focusing on the impact of emotional leadership on the entrepreneurial success of start-ups with a general bias to the hospitality sector. The literature review will consider varied views and conclusions on the subject matter of this proposal. Chapter three presents various methods and procedures that will be employed for this study. Chapter four of the study will present the main findings. Chapter five will discuss the findings of the study and its implications for future research.

## **2. Literature Review**

This chapter presents an overview of the literature that relates to the study. Literature review facilitates researchers in understanding the findings of other related studies. In effect, literature review facilitates identification of research gap basing on the findings of previous related studies. This chapter will demonstrate the significance of the current study. It will review existing related studies on the direct and indirect effects of emotional leadership on entrepreneurial success with particular interest in start-ups.

### ***2.1 Emotional leadership***

Bambale, Kassim and Musa (2016) explain emotional leadership as essentially in leading followers through both effective identification and management of emotions. According to these scholars, emotional leadership seeks to influence the outcomes of the followers' needs. Stein and Book (2000) find that emotions tend to follow certain logical patterns. According to Goleman, Boyatzis and McKee (2000), such effective use of emotions is critical for successful leadership. In affirmation, Boyatzis (1982) asserts that this relationship explains why the emotions of organisational leaders tend to contribute to enhanced employee performance. Further, Williams (2001) observes that emotional leadership is critical in shaping the behavioral and cognitive mechanisms of human beings. As such, it has been increasingly recommended that managers and leaders of organizations fully understand the main implications of their emotional leadership on work performance and the success of their organizations.

### ***2.2 Emotional leadership and entrepreneurial success of start-ups***

There has been increasing interest in the performance and success of start-ups in recent years. Watson, Hogarth-Scott and Wilson (2004) conclude that unlike other firms and enterprises, start-ups and other new small businesses are highly vulnerable to failure. In fact, there is evidence that the majority of start-ups struggle and eventually fail to thrive into prosperous businesses. With such realities, there has been genuine and warranted attention on the determinants of success and failure of start-ups from scholars and other policymakers. Evans and Leighton (2000) observe that despite the evident high failure rate of start-ups, there are numerous motivations for individuals to consider establishing their own small businesses. For instance, high academic qualifications have been known to motivate more individuals to establish their own small businesses rather than seeking employment opportunities. In fact, the available evidence demonstrates that the majority of new business formations are associated with individuals with high academic qualifications and achievements. Individual independence is another driving factor and inducement for the formation of individual small enterprises. Watson, Hogarth-Scott



and Wilson (2004) also find the high rate of unemployment to be another major motivation for the formation of small businesses.

The entrepreneurial success of start-ups has been explained by numerous factors. These factors have been found to have both direct and indirect impacts on the outcomes of businesses, including start-ups. Interestingly, Gray (2001) argues that positive business outcomes of start-ups are defined and determined by complex, interrelated factors. This conclusion contradicts the popular argument that there are certain factors that enhance entrepreneurial success of new small businesses. Notwithstanding this argument, Bambale, Kassim and Musa (2016) establish that the relationship between emotional leadership and entrepreneurial success has been largely examined from the impact of emotional leadership on the performance of employees. Hassan, Saeid and Sirous (2010) explain the performance of subordinates/employees as the ability of subordinates/employees to accomplish certain work-related expectations and goals in accordance with previously predetermined standards of work in the workplace. Most studies confirm a positive relationship between emotional leadership and employee performance. Mc Coll and Anderson (2002) establish that emotional leadership has a positive impact on the performance of subordinates. In effect, this study using empirical evidence from 300 respondents working in Australia's pharmaceutical industry affirms leaders' emotions and leadership style positively influence the performance of employees to a significant extent, an aspect that subsequently determines the entrepreneurial success of firms. In particular, this study establishes that optimism and frustrations exhibited by organisational leaders have a direct impact on the performance of subordinates. Leaders who exhibit optimism have a positive impact on the performance of followers. Frustrated organisational leaders have a negative impact on the performance of their employees. Comparatively, Mc Coll and Anderson (2002) find that frustration tends to have a greater and stronger negative impact on subordinates' performance compared to the positive impact of optimism on the performance of followers. These findings further enhance the role of emotions on the performance of followers.

### ***2.3 Impact of emotional leadership on employee motivation and satisfaction***

#### ***2.3.1 Emotional leadership, employee motivation and entrepreneurial success***

Further, Hassan, Saeid and Sirous (2010) affirm that emotional leadership has a positive impact on the productivity and performance of employees.<sup>1</sup> According to these authors, leaders' emotions have an impact on employee motivation and satisfaction, factors that have been identified as critical for the entrepreneurial success of start-ups. In agreement, Bambale, Kassim and Musa (2016) maintain that transformational leaders have been found to use their emotions to motivate employees/subordinates. Oyewumi, Ojo and Oludayo (2015) conclude similar findings. According to these scholars, inactions or actions of human beings are largely motivated by emotions. In effect, emotions drive inactions or actions of humans to a significant extent. This relationship has also been used to explain how emotional leadership contributes to enhanced employee performance through its positive influence and impact on the motivation of subordinates. There is evidence that virtually all leadership styles consider the issue of motivation. In particular, it is found that resonant, charismatic and transformational leaders have proved effective in using emotions in a manner that contributes to enhanced motivation for followers and subordinates. Bambale, Kassim and Musa (2016) explain this to be the case since such leaders have the ability to effectively communicate a vision and excite followers to channel their efforts towards the achievement of both strategic and long-term objectives.

The relationship between motivation and entrepreneurial success of firms, including start-ups especially in

developed countries, has been interrogated to a great extent. Robichaud, McGraw and Roger (2001) and Hornsby and Naffziger (1997) agree that motivation remains one of the critical success factors of entrepreneurs. In fact, these scholars conclude that motivation plays a critical role in business success. Robichaud, McGraw and Roger (2001) explain that the motivation of entrepreneurs can be categorized into four main categories, namely independence/autonomy, extrinsic rewards, family security and intrinsic awards. These categories have been found to influence the level of motivation for entrepreneurs. In effect, independence/autonomy, extrinsic rewards, family security and intrinsic awards determine the extent of business success.

Yimanu (2018) stresses the importance of motivation for entrepreneurial success. According to this scholar, lack of strong motivation has been identified as one of the main reasons for entrepreneurial failure. Entrepreneur motivation is singly important for entrepreneurial success largely due to the fact that motivation enables and facilitates entrepreneurs in meeting the inevitable challenges in the entrepreneurial process. Other available evidence suggests that some of the most successful entrepreneurs globally are self-motivated. This has been closely linked to the fact that self-motivated entrepreneurs tend to be highly productive and efficient. McClelland (1961) considers motivation as an important element in entrepreneurial success due to the fact that such strong motivation encourages the attitude of the high level of risk-taking by entrepreneurs. It is widely known that high-risk investments tend to generate higher returns as compared to low-risk investments. High levels of motivation have also been linked to the enhanced ability of entrepreneurs to identify viable business opportunities (Yimanu 2018). This has been closely associated with the fact that motivation encourages employees to be highly creative.

### ***2.3.2 Emotional leadership, employee satisfaction and entrepreneurial success***

Similarly, the link between emotional leadership and employee satisfaction resulting in improved employee performance has been established. Locke (1976) defines job satisfaction as the pleasurable emotional state that arises from the appraisal of an individual's job facilitating or contributing to achieving organisational goals and objectives. Omondi (2016) appreciates job satisfaction as a multivariable concept. Various factors have been identified to have a direct effect on the level of job satisfaction. These variables include wages, nature of work, organisational level, working conditions, leadership styles, growth opportunities and working groups. Omondi (2016) identifies other personal factors that determine job satisfaction to include education levels, age, personality and attitudes of individuals. Notably, it is generally argued that younger people, as compared to older people, tend to be more satisfied with their jobs. However, the aspiration levels of individuals tend to increase with age. In instances that the individual's education level does not guarantee expected rewards, it is established that higher educational attainment decreases an individual's levels of job satisfaction. However, Opayemi (2004) contradicts this finding by establishing evidence suggesting that individuals with higher educational levels tend to have a greater commitment to their work as compared the rest with lower academic and educational levels.<sup>2</sup> In terms of personality, Judge et al. (2000) assert that desirable personality traits of leaders, including high levels of optimism, contribute to the enhanced job satisfaction regardless of workplaces or nature of jobs that individuals are engaged in. Generally, Tett and Meyer (1993) explain that job satisfaction is defined by three main components: affective (emotional) component, cognitive (evaluative) component and behavioural component. From this explanation, it is clearly evident that emotions play a major role in job satisfaction. The emotional component of job satisfaction refers to unpleasant or pleasant feelings that individuals develop towards their jobs over a given period of time. George (2000) emphasizes the critical role of emotions in job satisfaction by affirming that positive emotions have a significant influence on the other components of job satisfaction. As such, there is need for ensuring that employees develop positive emotions towards their work as a way of achieving high





levels of job satisfaction in the long run. On the contrary, the evaluative component is formed from the individuals' evaluation of their respective job attributes and the general work environment. Lastly, the behavioural component of job satisfaction constitutes the behaviours that occur from the formation of attitude in the workplace. Cammeli (2003) finds evidence that all these three components of job satisfaction are critical in employees' formation of job attitude that eventually determines the levels of employee satisfaction.

#### ***2.4 Emotional leadership, emotional intelligence and entrepreneurial success***

Largely, emotional leadership has been closely associated with emotional intelligence.

Ngirande and Harry (2004), using evidence from South Africa, establish that leaders' emotional intelligence contributes to enhanced job satisfaction. In fact, organisational leaders' emotional leadership and emotional intelligence have been known to serve as a competitive edge in both the organisational and personal lives of employees. This study establishes that leaders with high emotional intelligence have a significant positive impact on employee satisfaction.

Harvey (2009) agrees that the leaders' emotional intelligence influences job satisfaction levels of subordinates to a great extent. It is established that emotional intelligence facilitates leaders to effectively track the opinions and attitudes of subordinates with the objective of identifying challenges that these subordinates face in the respective discharge of their responsibilities. Through this way, the emotional intelligence of leaders has been found to be effective in allowing leaders to provide better solutions that have related to professional development, training and management in general. In affirmation, Cammeli (2003) argues that emotionally intelligent leaders have the capability and ability of prioritizing important issues that are effective in supporting the achievement of both individual and organisational objectives and aims. Omondi (2016) finds these factors to be singly and collectively crucial in enhancing job satisfaction in the workplace.

Similarly, emotionally intelligent leaders have been found to be highly aware of one's emotions. In addition, these kinds of leaders are increasing aware of what causes one's emotional change and the best way of handling such emotions. In this way, leaders with high levels of emotional intelligence are able to effectively manage subordinates' emotions rather than simply reacting to these emotions. Goleman (2000) finds mere reaction to employee emotions is detrimental to job satisfaction since such have been known to have a high likelihood of damaging relationships. However, better management of subordinates' emotions permits emotionally intelligent leaders to adequately respond to the emotions exhibited by employees/subordinates. According to Omondi (2016), this explains why emotionally intelligent leaders are known for coming up with better and creative decisions that contribute to the achievement of high levels of job satisfaction in their respective workplaces.

On their part, Carmeli and Josman (2006) find the other way in which emotionally intelligent leaders contribute to improvements in job satisfaction to be the fact that such leaders with high emotional intelligence tend to be highly empathic to employees and their work-related challenges. The majority of employee complaints at the workplace have been found to emanate from instances where organisational leaders are not emphatic on issues that confront these employees at the workplace. However, these scholars establish that organisational leaders with high levels of emotional intelligence are able to connect with their subordinates in a more appropriate manner since such leaders can effectively anticipate the way in which employees are reactive to varied situations. Omondi (2016) concludes that such a situation is effective in enabling employees to develop a positive attitude towards work and other colleagues, resulting in high levels of job satisfaction.

The above finding of positive correlation between emotional intelligence of leaders and enhanced employee

satisfaction has been established by other scholars.

Omondi (2016) establishes that the leaders' emotional intelligence has a greater influence on employee job satisfaction. Start-ups that are characterized and defined by high levels of job satisfaction have greater opportunities and possibilities of entrepreneurial success.

### ***2.5 Influence of job satisfaction on entrepreneurial success***

Enhanced job satisfaction has been identified as the other factor that determines the entrepreneurial success of start-ups globally. In particular, Fisher (2010) finds entrepreneurial satisfaction to be an important element in the achievement of entrepreneurial success. Walker and Brown (2004) also appreciate the importance and role of personal satisfaction in entrepreneurial success. On their part, Carree and Verheul (2012) consider job satisfaction as the main measure for entrepreneurial success. Specifically, these scholars argue that high job satisfaction at the workplace suggests entrepreneurial success. High levels of job satisfaction have been closely linked to various intrinsic factors and allocation of responsibilities with low-stress levels. With regard to start-ups, it is found that entrepreneurs derive satisfaction from venture performance. However, other intrinsic factors, including the objectives of establishing the venture, personal attributes and venture characteristics, also define the levels of satisfaction among start-ups.

The above relationship between job satisfaction and entrepreneurial success has also been explained by the reality that satisfaction predicts productivity and performance. Taris and Schreurs (2009) explain that high satisfaction contributes to high levels of productivity and performance, resulting in entrepreneurial success. Several empirical studies have confirmed the role of job satisfaction in the entrepreneurial success of start-ups. For instance, Dej (2011) concludes a positive relationship between subjective entrepreneurial success and job satisfaction. According to this scholar, job satisfaction enhances work engagement. In agreement, Dijkhuizen et al. (2015) affirm that it is enhanced work engagement associated with job satisfaction that contributes substantially to subjective entrepreneurial success. Gorgievski et al. (2014) conclude similar findings that enhanced work engagement arising from job satisfaction are critical for entrepreneurial success considering the role of positive work engagement in subjective business performance and overall business growth of start-ups.

The other way in which job satisfaction has a positive impact on entrepreneurial success is through its role in enhancing stability in the workplace. Headey and Wearing (1989) emphasize the importance of stability for the entrepreneurial success of start-ups. In fact, the instability of these start-ups has been largely linked to the observed high failure rates of start-ups across the world. However, the role of job satisfaction in the stability of start-ups within a short period of time determines the entrepreneurial success of these start-ups both in the short run and long run.

The conclusion of the positive relationship between emotional leadership and the performance of subordinates resulting in greater entrepreneurial success, particularly for start-ups, has been contested by some authors. Notably, Brett (2005), using evidence from South Africa, finds a negative relationship between emotional leadership and the performance of employees. Essentially, this study establishes a weaker relationship between emotional leadership and employee performance. In fact, this study concludes a negative linear relationship between emotional leadership and the performance of subordinates.

Similarly, Bambale, Kassim and Musa (2016) find that emotional leadership is directly and significantly related to performance. This study concludes that the leadership role through the emotion of leaders determines the level of performance of followers. In fact, the effectiveness of leaders is largely dependent on the emotional



competencies of these leaders. Yusof, Kadir and Mahfar (2014) assert that the ability of leaders to intelligently use their emotions is closely associated with effective leadership. The other ways in which emotional leadership contribute to the enhanced performance of employees are the fact that it increases the quality of decision-making. Rajah, Song and Harvey (2011) find this to be the case since emotional leadership facilitates leaders in approaching problems in a more holistic manner.

## ***2.6 Emotional leadership and leadership styles***

Emotional leadership has been found to have a direct influence on leadership styles adopted by organisational leaders. Peris (2012) affirms that emotional leadership influences leadership styles adopted by organisational leaders. Strong emotional leadership facilitates organisational leaders to consider leadership styles that largely have a positive impact on employee performance. Paladin (2015) considers leadership style to be one of the main factors influencing the entrepreneurial success of firms. According to this scholar, the type of leadership style adopted determines the effectiveness of organisational leaders in tackling emerging challenges and pressures that contemporary firms face. Some of the common pressures and challenges faced by firms, including start-ups in the contemporary business environment, include challenges emanating from change and improvements on enterprise performance. As such, effective leadership is considered to be critical in ensuring that firms meet future and current business.

The relationship between leadership styles and subordinate performance, particularly for start-ups and small businesses, has been interrogated to some extent. Iqbal, Anwar and Haider (2015) identify the different leadership styles to include democratic, autocratic and participative styles. In a democratic leadership style, decisions are made within teams. In effect, all members are accorded opportunities to contribute to the decisions made by the leaders. In participative leadership styles, all team members identify essential goals and collectively contribute to developing strategies and procedures necessary for the attainment of these goals. In effect, leaders that practice participative leadership style act as facilitators rather than simply issuing instructions and orders to subordinates. For the autocratic leadership style, the leaders of teams issue instructions and orders to subordinates and develop an expectation for obedience to these orders and instructions without arguments. The members of the team are isolated in decision making. Accordingly, Heneman and Gresham (1999) find that the decision-making process is centralized in an autocratic leadership style. The leaders do not solicit and accept initiatives and suggestions from the members. One of the primary benefits of the autocratic leadership style is that it facilitates faster decision making. However, this leadership style has been closely associated with employee exploitation and distortion.

The influence of leadership styles on employees' performance and entrepreneurial success has also been examined to a great extent. Umer, Adna and Hamid (2012) explore the impact of leadership styles on the performance of employees in Pakistan. Using evidence from various Pakistani schools, this study concludes that leadership styles determine subordinate performance. In particular, Iqbal, Anwar and Haider (2015) establish that participation leadership style has a long-term positive impact on the performance of subordinates working for start-ups and small businesses. In addition, these authors find that autocratic and democratic leadership styles also positively impact employee performance. However, they find that the autocratic leadership style tends to have an immediate and short-term positive impact on employee performance as compared to the rest of the leadership styles. Democratic leadership style has a significant positive impact on subordinate performance in the middle term. This finding affirms Umer, Adna and Hamid's (2012) conclusion that leadership styles have a positive

impact on employee performance. However, Heneman and Gresham (1999) contest this conclusion affirming a positive relationship between autocratic leadership style and employee/subordinate performance. According to these scholars, autocratic leadership style has a greater likelihood of contributing to the de-motivation of employees resulting in poor work performance. In support, Ittner (2002) concludes that autocratic leadership style restricts employee initiative and activities. This has been associated with the fact that the autocratic leadership style restricts socialization and communication in the workplace.

Transformational and transactional leadership has been specifically identified to have a direct impact on the performance of followers. Bass and Avolio (1994) explain that the transformational leadership style includes the creation of enthusiasm between followers or employees engaged in a particular organisation. In addition, transformational leadership is known for encouraging new perspectives among employees, a development that has been found to contribute significantly towards ensuring that the main objectives of the organisation are known by all employees. This has been found to enhance the performance of firms since it promotes motivation among team members and increases the capability of employees in discharging their responsibilities and duties.

Paladin (2015) concludes that the effectiveness of the transformational leadership style in achieving entrepreneurial success is closely linked to the fact that the majority of current challenges facing business enterprises, including start-ups, are transformational. In particular, most of these challenges are largely driven by diverse client needs and the external environment. Transformational leaders are able to offer better solutions to these challenges since these leaders are known for their flexibility of mindset. Mc Coll and Anderson (2002) acknowledge the existing relationship between emotional leadership and leadership styles and its subsequent impact on the performance of subordinates. According to these authors, emotional leadership has been found to encourage transformational leadership. Transformational leaders tend to be highly optimistic, an aspect that has been found to have a positive impact on the performance of followers. Mc Coll and Anderson (2002) clarify that although the overall effect and impact of transformational leaders on the performance of subordinates are significant, this relationship is indirect. This conclusion contradicts the common argument that transformational leadership has a direct impact on the performance of followers and therefore has a direct positive impact on the entrepreneurial success of start-ups.

Several leadership studies have examined the impact of transformational leadership style in the workplace. Tee and Tse (2009) find that transformational leaders are largely considered more efficient by employees. In affirmation, Hur et al. (2011) find evidence of greater efficiency of transformational leadership by establishing that transformational leaders tend to achieve greater team achievements. Similarly, transformational leaders have been associated with enhanced cooperation with their followers. In addition, transformational leaders demonstrate better utilisation of skills and have been known to be largely effective in inspiring, influencing and motivating their followers. These benefits explain the present preference for the adoption of transformational leadership styles in the workplace as such has been closely associated with both individual and collective organisational success.

Contrary to the transformational leadership style, transactional leadership includes disciplining and rewarding employees basing on the individual output of these employees (Yusof, Kadir and Mahfar 2014). Leaders that adopt a transactional leadership style lay greater emphasis on completion of tasks, standards of jobs and conformity of workers. In effect, transactional leaders manage their followers through disciplining and offering rewards as a strategy of attaining the greatest level of efficiency.



### ***2.7 Summary and research gap***

From the literature review, it is clear that very few studies have sought to explore the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups. The majority of existing studies have largely examined the influence of emotional leadership on the performance of employees. Most of these studies consider the performance of employees/followers, is critical for entrepreneurial success. It is worth noting that most of the available studies conclude a positive impact of emotional leadership on employee performance. In particular, it is established that emotional leadership determines the level of entrepreneurial success of firms through its impact on employee satisfaction and motivation. Notably, employee motivation is considered as a crucial component of the entrepreneurial success of firms (McClelland 1961). This conclusion has been justified by the fact that motivation encourages high tendencies of risk-taking, a development that increases possibilities and chances of entrepreneurial success. Similarly, employee satisfaction is particularly considered as the other factor that determines the entrepreneurial success of firms to a great extent. Effective emotional leadership by organisational leaders facilitates employees in developing positive emotions towards their work (George 2000). The other way in which emotional leadership has been linked to entrepreneurial success is through emotional intelligence. A review of the literature reveals that emotionally intelligent leaders are able to prioritise important tasks that are necessary for the achievement of entrepreneurial success. In particular, emotionally intelligent leaders tend to be fully aware of their employees' emotions, and as such, these leaders can make better-informed decisions that contribute to improved productivity and eventual attainment of desirable levels of entrepreneurial success. Similarly, emotionally intelligent leaders are associated with transformational leadership styles. Such transformational leadership style is established to play a critical role in the entrepreneurial success of firms since this type of leadership style is highly flexible and responsive to emerging needs of the customers and changing market conditions. However, there are limited studies that have specifically sought to establish the effects of emotional leadership on the entrepreneurial success of start-ups. This is the existing voluminous literature on small businesses and entrepreneurship. This current study seeks to fill this gap by exploring both direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. The findings of this study will expand and enhance existing knowledge on emotional leadership and entrepreneurial success through evidence from start-ups that operate in the hospitality sector.

## **3. Research Methodology**

This chapter presents a discussion on the research methodology of the study. Primarily, this chapter will present, discuss and justify the methodologies adopted for the study. In addition, it will also discuss why the chosen methodologies will be useful with regard to the achievement of the aims and objectives of the study. Generally, Žukauskas (2018) acknowledges that the manner in which research is conducted can be conceived in terms of the research philosophy that has been adopted, the research strategy that has been used and the research instruments that have been used in data collection in the overall pursuit of the research objectives. This discussion in this chapter will include research philosophy, research design, research strategy, target population, sampling techniques, research instruments, sample size, data collection, data analysis and validity and reliability.



### 3.1 *Research philosophy*

Research philosophy is considered as a critical element of research methodology. Saunders, Lewis and Thornhill (2015) explain research philosophy to be a system of assumptions and beliefs on the development of knowledge. From this definition, it is clear that research philosophy is essentially the belief about the manner in which data that relates to a particular phenomenon should be gathered, analyzed and utilized. Research philosophy is precisely the reason why individuals engage in research: to develop knowledge in a certain field. Most studies have contributed to knowledge development by offering solutions and answers to a specific research problem. The assumptions of research include epistemological assumptions, axiological assumptions and ontological assumptions. According to Crotty (1998), these assumptions eventually determine how the researchers generate understanding on the research questions, interpretation of findings and the choice of methods to be used in the conduct of research. Credible research philosophy is achieved with consistent and well-thought assumptions.

With the above explanation, research philosophy can be taken to mean the guides that inform the choice of research design, data collection methods, and data analysis. Saunders, Lewis and Thornhill (2009) explain that research philosophy enables the researcher to decide which of the approaches to be adopted. In addition, these scholars find that research philosophies justify the choice of research approaches adopted by the researchers. This explains the argument that the choice of research philosophy determines the choice of research strategy, methodological choice and techniques of data collection. It is acknowledged that the research philosophy adopted for a particular study must be derived from the research questions. This implies that the research questions determine the type of research philosophy adopted by a particular study. It must also be appreciated that important assumptions of the study are contained in the research philosophy.

The common research philosophies are the positivist approach<sup>3</sup> and the interpretivist approach<sup>4</sup>. The positivist approach is largely related to the philosophical stances of natural scientists. Generally, this approach includes working from social reality that can be observed. According to Saunders, Lewis and Thornhill (2009), this is intended to generate law-like generalizations. These law-like generalizations are universal, definite in nature and applicable for everybody. Further, Levin (1988) observes that positivists consider the reality of being highly stable. From this consideration, positivists assert that reality can be both observed and described objectively. This implies that a particular phenomenon can be observed and described without interfering with it. However, the positivist approach contends that this is largely possible in the situations that the phenomenon under study can be isolated and that the observations on the phenomenon can be repeated. In addition, the positivism approach encourages the manipulation of reality using single independent variables. This is intended to ensure that the researcher is able to identify all regularities and establish any relationships that exist between variables under study. One of the advantages of the positivist approach is that it has been known to generate accurate and unambiguous results that contribute to the body of knowledge. However, some scholars, including Hirschheim (1985), have raised concerns on the suitability of the positivist approach, particularly for social sciences. This concern has supported the increasing preference for alternative research philosophies that are more pluralistic in nature for social sciences. Others find adoption and use of positivist approach are responsible for the observed inconsistencies in results. In fact, this aspect has been used to highlight the inappropriateness of positivism as an approach to research philosophy.

Saunders, Lewis and Thornhill (2009) observe that the interpretivist approach emerged from the criticism of



positivism. This criticism was largely based on the above imminent shortcomings of the positivism approach. The interpretivist approach maintains that meaning is relative. In particular, the interpretivist approach offers criticism to the positivist approach's attempts to discover universal laws applicable to all.

This research philosophy finds that there is no single truth, and as such, the interpretivist approach argues that there is a need for generating understanding of participants within a given context. The interpretivist approach lays great emphasis on the reality and fact that human beings differ from the physical phenomena. According to the positivist approach, this difference between physical phenomena and human beings largely arises from the fact that human beings, unlike physical phenomena, have the ability of creating meanings. The interpretivists are interested in studying these meanings. As such, Crotty (1998) observes that this difference informs the interpretivists' argument that the physical phenomena and human beings cannot be studied in a similar way. This approach acknowledges that individuals of diverse cultural backgrounds, at different times and under different circumstances, tend to create different meanings. Equally, these individuals experience and create diverse social realities.

Generally, the interpretivists argue that the full understanding of reality can only be achieved through subjective intervention and interpretation. The study of phenomena in their natural environment forms the core of the interpretivist approach. In addition, the positivists maintain that the researchers are unable to avoid interfering with phenomena in their natural environment while undertaking their studies. In summary, the interpretivist approach concludes the existence of numerous interpretations of reality due to the issue of subjectivity and relativity. According to interpretivists, subsequent variations in the relative interpretation of a phenomenon are critical in contributing to the body of knowledge. Interpretivism seeks to create rich and new interpretations and understandings of social worlds and contexts.

This current study adopts a positivist approach. The choice for the positivist approach has been largely informed by the fact that the current study seeks to test identified hypotheses. The positivist approach has been largely recommended as effective and appropriate for studies seeking to test hypotheses. In fact, Saunders, Lewis and Thornhill (2009) reveal that most positivist researchers have preferred using existing theory in developing their respective hypotheses. These hypotheses would be tested and confirmed, partially or wholly, or completely refuted. In addition, the choice for the positivist approach has been informed by the fact that it guarantees unambiguous and accurate knowledge.

### ***3.2 Research design***

Research design is essential in research since it does the research to become more efficient. In fact, a good research design ensures that researchers access maximum information with fewer resources. In effect, research design makes research cost-effective. This study adopts a descriptive survey to ascertain the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. Anastas (1999) explains that descriptive research designs enable researchers to access information on the state of a particular phenomenon in context. The choice of descriptive research design for this study has been largely influenced by the fact that descriptive research designs have been known to contribute to the development and expansion of knowledge.

### ***3.3 Research strategy***

Saunders et al. (2009) explain research strategy, in context of research methodology, to be the general plan

that the researcher intends to use in finding solutions and answers to the proposed research questions. There are various existing research strategies that researchers can consider for their investigation. Wright (2010) identifies the main types of research strategies: surveys, experiments, ethnography, case studies, action research, grounded theory, and archival research. The above types of research strategies can be categorized into two main classifications: qualitative research strategies and quantitative research strategies. Bridgmon (2013) reveals that qualitative research strategies include exploratory studies, case studies, action research and grounded theory. On the contrary, quantitative research strategies include laboratory experiments and survey research. In the current study, survey research is undertaken. In particular, the views of the respondents are collected through the administration of questionnaires. In survey research, the researchers use the sample of the whole population and subsequently generalize the findings from the sample to the whole population. In particular, the survey collected relevant data that will allow the researcher to determine the direct and indirect effects of emotional leadership on the entrepreneurial success of start-ups in the hospitality sector. Its relative ease largely informed the choice of the survey strategy of implementation. In addition, the consideration of surveys for the current study has been informed by the fact that such surveys allow researchers to undertake an extensive study on numerous variables at a time. This is practically impossible with other research strategies, including field experiments (Wright, 2010). However, the main limitation of surveys relates to the issue of researchers' bias. In particular, it is documented that researchers may have a bias in identifying respondents to participate in the study. In addition, researchers' bias may be reported in the choice of survey design.

### ***3.4 Target population***

Cox (2013) explains target population as the entire set of units in which the study seeks to collect data. The collected data is to be used to make appropriate inferences. Generally, the target population provides the needed foundation for the researchers to enhance the reliability and validity of a study under consideration. Essentially, the target population provides the objects that will facilitate the study in understanding a particular problem. Population means all members that meet the specified criterion to be considered as participants in a particular study. The target population for this study are employees (subordinates) working for start-ups in the hospitality sector. Essentially, this study seeks to understand the impact of emotional leadership on the performance of employees/subordinates working for start-ups in the hospitality sector. This study will use the performance of employees/subordinates working for start-ups in the hospitality sector as a proxy for the overall success of the start-ups in the hospitality sector.

### ***3.5 Sampling technique***

Sampling is critical for research. It is generally appreciated that the target population of a study is often large. In view of this, it becomes impractical to conduct a study on the entire target population. In fact, it is established that sampling is critical towards the achievement of the broader objectives of the research. Sampling allows researchers to infer information of the larger population based on the information that is collected from a subset of such population (Molenberghs 2018). Sampling allows researchers to achieve a significant reduction in cost and workload and facilitates access to high-quality information that will help in the achievement of the overall objectives of the study. Inadequate sampling has been known to jeopardize the integrity of the overall study. In fact, failure to consider appropriate sampling techniques compromises the entire research process.

Probability sampling (random sampling) and non-probability sampling have been identified as the two main



sampling techniques that researchers can consider (Cox 2013). In probability sampling, the researchers specify the probability of a respondent being considered and selected in the sample. Probability sampling is recommended for researchers interested in the generalization of the findings that have been derived from the selected sample to the target population. In this case, probability sampling becomes more precise and useful. However, probability sampling is very expensive as compared to non-probability sampling. In non-probability sampling, there is no estimation of the probability of a participant being selected in the sample. This study will adopt a simple random sampling technique. In a simple random sampling technique, the respondents of the study are chosen randomly by chance. In effect, each of the elements in the target population has an equal chance of being considered and selected as a sample. The choice of a simple random sampling technique for this study has been largely informed by the fact that this sampling technique has been found to be effective in reducing selection bias in research. In addition, simple random sampling has been found to be desirable in generalizing the findings of the sample to the entire target population (Bridgmon 2013). In fact, proper selection of samples allows researchers to make representative inferences for the entire target population.

### ***3.6 Sample size***

Sample size refers to the group of objects that have been selected for participation in a particular study. Essentially, a sample refers to the selected elements from the target population.<sup>5</sup> Various strategies for determining the right sample size of a study have been proposed. The sample size for this study is 100 participants. The number of objects selected for this study is informed by the availability of time and finances to conduct the study. The researcher of the current study considers 100 respondents as the representative sample size of individuals working in the hospitality sector (target population) and that the findings and inferences from this sample size will provide appropriate generalizations.

### ***3.7 Research instruments***

Research instruments are crucial in data collection. There are several research instruments that can be considered depending on the nature of the study. Largely, this study will use research questionnaires. Questionnaires are considered the main research instruments in the conduct of surveys. This research instrument provides standardized questions that have been designed in a way that collects relevant information from the respondents on specific research topics. Essentially, questionnaires are administered with the primary purpose of collecting information and data from the selected respondents.

### ***3.8 Data collection***

The choice of data collection techniques is imperative as this determines whether the overall objectives of the study will be met. Different data collection methods are recommended for different types of data. It is recommended that the choice of data collection methods and techniques be determined by the research problem and the research objectives (Athukorala 2011). The data for this research will be collected using questionnaires. The target population for this study is employees/workers engaged in start-ups in the hospitality sector. The researcher will collect data from 100 respondents.

### ***3.9 Data analysis***

The primary objective of data analysis is to reduce and synthesise data collected through the preferred

research instruments. Data analysis is intended to facilitate the researcher in making sense of the data collected. In addition, data analysis enables researchers to make appropriate inferences on a target population basing on the data collected from the sample population. Quantitative data analysis and qualitative data analysis are identified as the main approaches to data analysis. Thomas et al. (2015) reveal that quantitative data analysis employs various statistical data analysis techniques while qualitative data analysis uses non-statistical data analysis methods and techniques. The current study adopts quantitative data analysis. In particular, data collected in this study from the questionnaires will be analysed using SPSS. The data collected from the questionnaires will be examined and checked for both comprehensibility and completeness. The researcher also made a summary, coded and tabulated the data. The descriptive statistics from the data was used in establishing existing relationships between the various variables of the study. In particular, the descriptive statistics, including percentages, mean and standard deviation was considered in the analysis of data. In addition, inferential statistics was also considered in determining how various aspects of emotional leadership influenced the entrepreneurial success of start-ups in the hospitality sector.

### ***3.10 Statistical tests***

The choice of statistical tests is largely dependent on the nature of the study. Basically, statistical tests facilitate researchers in making quantitative decisions on a given sample from the target population. These statistical tests also help in the testing of the hypotheses of the study. The Chi-Square test will be used as a statistical test for this study. Essentially, the Chi-Square test determines the statistical significance of the variables used in the study (Mindrila 2018). Chi-Square test tests relationships between categorical variables. The null hypothesis of the Chi-Square test is the non-existence of the relationship between categorical variables. The choice of Chi-Square test for this study has been largely informed by the sample size (100 respondents). It is documented that the Chi-Square test tends to be highly sensitive to sample size. This statistical test is not suited for large samples exceeding 500 respondents. If used with such large samples, a small difference will appear to be statistically significant.

### ***3.11 Reliability analysis***

High reliability of data is considered as an important component for any research. Mohajan (2017) finds reliability analysis to be a fundamental and important feature in evaluating any measurement instrument used for research purposes. Essentially, reliability analysis describes the reliability of data towards the achievement of the overall objectives of the study. In effect, reliability analysis ascertains whether particular research will produce consistent and stable findings. Reliability analysis determines whether a particular scale can consistently reflect the same conclusions of the construct under measurement. According to Mohajan (2017), reliability analysis concerns the faith in which one has in the data that is collected from the use of the particular instrument. Cronbach Alpha Reliability analysis will be considered for this study. Cronbach Alpha Reliability analysis has been commonly considered as a reliability analysis measure. Cronbach Alpha Reliability analysis splits data into two and subsequently computing the correlation coefficient for each half set of data. The value of Cronbach Alpha Reliability analysis is essentially the average of these two values. **(To be continued in the next issue)**

### **Note:**

1 This relationship has been largely explained by the fact that leaders' emotions generate productive behaviour among employees/subordinates.





2 In fact, this aspect has elicited immense debate on whether an employee's level of education has a direct positive impact on their levels of job satisfaction.

3 The positivist approach has a rich and long historical tradition. This explains why the positivist approach has become highly embedded in society to the extent that any study conclusions and knowledge claims that are not based on positivist thought has been largely dismissed and discounted as invalid and unscientific.

4 The interpretivist approach emerged in the early and mid-20th century across Europe. This approach of research philosophy has been attributed to German, English and French thinkers.

5 When all members of the target population are considered and selected as respondents in a study, such is referred to as census.

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# The Teaching of the Concept of Color Harmony and Its Ambiguity

Ng Woon Lam

School of Art, Design & Media, Nanyang Technological University, Singapore

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**Abstract:** This paper aims to address a long-term issue in the teaching of practical color theory knowledge – the concept of color harmony. The concept of color harmony has been used as the pedagogical framework for students' learning of color application. On the contrary, multiple quantitative studies, which are cited in the paper, have shown evidence that the ambiguity of this concept could not be addressed. The research process started by looking into how the concept of color harmony was derived. It was then compared with the practical method, the Munsell Color System, which was developed to fulfil industrial needs. Multiple quantitative research studies have shown the ambiguity of the concept of color harmony. Therefore, this paper suggests that for the development of a pedagogical framework of color theory, the concept of color harmony should not be included. Instead, the Munsell Color System, which is a closer practical model, should be adopted so that the learning connects to a true and practical difference between colors instead of an ambiguous philosophical concept of harmony.

**Keywords:** Munsell; color; harmony

**Notes on the contributor:** Dr. Ng Woon Lam is currently an associate professor at the School of Art, Design & Media (ADM), Nanyang Technological University (NTU), Singapore. He teaches Water Media Landscape Painting and Foundation Drawing at ADM. His research areas include color theory, Chinese calligraphy, Chinese and Western paintings.

## 1. Background

The practical concept of color harmony has a strong connection with the development of Newton's closed-ring model of color placement based on Newton's Optics (Newton 1704).

Scientist Isaac Newton discovered the spectrum of light through the prism-dissected process (Martins, R. and Silva, C. 2001). It was only understood later in the late nineteenth century with the scientific advancement in pigment manufacturing and light optics that the mixing of light is an additive process, which is the opposite of the mixing of pigments. The latter is subtractive (Shapiro, A 1994). However, that confusion did not affect its influence on the development of color theory. Newton's Optics has since influenced the study of color theory in two ways, namely the dissection of the spectral hues of sunlight and his closed-ring arrangement of chromatic

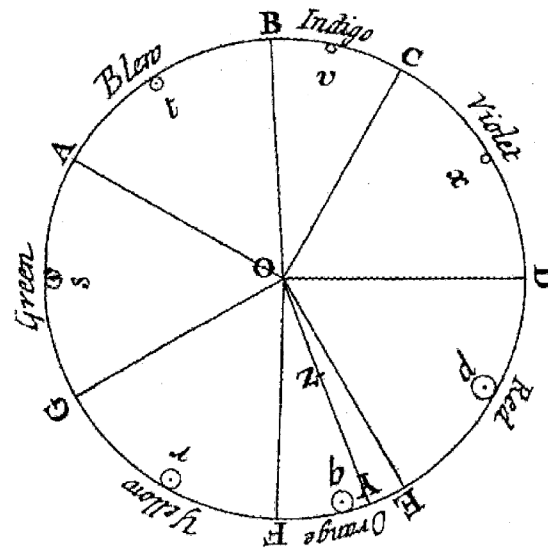


Figure 1 Newton's Color Circle based on Newton's Optics

hues, as shown in Figure 1. He added a purple hue to closed the gap by bridging red and violet in his spectral layout. The current popular color theory learning tool, the symmetrical color wheel also rooted in Newton's close-ring model, which was developed by Johannes Itten, a professor at the Bauhaus during the early 20th century (Itten, J. 1962). Figure 2 is the popular color wheel that is available at most art stores. It adopts the Itten Color System.

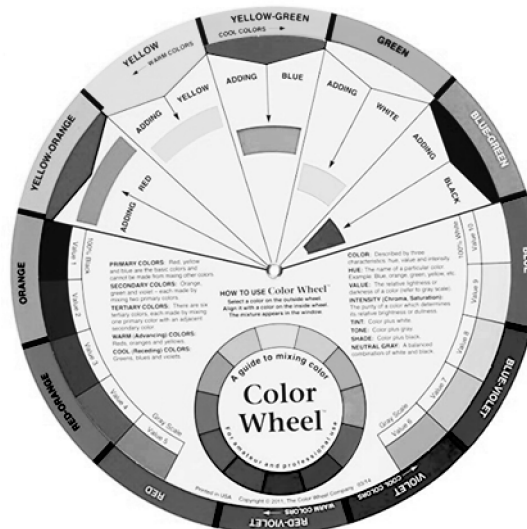


Figure 2 A commercially available color wheel based on the Itten Color System

This arrangement clearly indicates the progressive difference between chromatic hues, although Newton arbitrarily selected six hues from the continuous visible spectrum dissected while added a purple hue to connect the two hues—red and violet hues at the two ends of the spectrum. Other non-spectral colors, the browns, and grays were omitted in his model. In some of the recent commercial reference models, the intermediate colors, the browns and grays have been added to depict the practical relationship of the chromatic hues and these intermediate colors. However, the symmetrical Itten model was not first developed with this practical consideration in mind. It



originated from the Greek living philosophy. The concept of color harmony was discussed in Burchett's publication (Burchett, K. E. 2005)

The concept of living in harmony may carry distinctive meanings based on different cultural contexts, as studied by Yu. "Harmony" in the Chinese culture is based on the Confucian living philosophy, while the Greeks regard it as a perfect order that pre-exists on earth (YU, J. 2016). The latter was used to construct the concept of color harmony. The concept of color harmony used for the development of practical applications of colors could be categorized into two stages, namely from the Renaissance to before Impressionism and from Impressionism to Modern (Lyon, C. 1991). The shift was connected with the scientific advancement of chemistry and manufacturing technology. Prismatic pigments were only available years after the Industrial Revolution when factories could manufacture tube pigments in bulk with new chemical knowledge (Lyon, C. 1991). Therefore, the transitional period happened during the early nineteenth century – the period of Romanticism right before Impressionism.

During the Renaissance, prismatic pigments were limited. Most of them, like indigo blue, red madder or ultramarine, were from naturally formed crystals or plants and animals. The impurities in these pigments were higher (Price, M. 2000). Therefore, It was harder for the Renaissance painters to achieve high chroma as compared to factory-manufactured prismatic pigments used by the Impressionists. In addition, new chemical knowledge and manufacturing technology advancement also provided a wider range of prismatic colors for the Impressionists (Lyon, C. 1991).

Using Leonardo Da Vinci's paintings as examples, during the Renaissance period, the most abundant pigments other than the rare and prismatic crystals mentioned above were mostly earth materials. Therefore, the most common colors were less chromatic browns and grays. Leonardo used his chiaroscuro painting concept that depended more on tone to model forms. That was regarded as the first type of color harmony. The artist kept the hue character of an object while modeling the forms with tonal range to achieve a sense of three dimensions (Shearman, J. 1962). Leonardo constructs space and forms through a wide range of tones while limiting large hue shifts – the use of light and shadows.

Renaissance painters like Andrea del Sarto, Rosso, and Pontormo applied the same concept to depict forms and space. The hue of the shadow areas of an object would be similar to the lighted areas. It creates a believable transition and presents a three-dimensional visual form. This is regarded as color harmony since forms were presented convincingly in space (Ng, W. L. 2018). It was later named analogous color harmony when different types of color harmony were introduced.

When Newton introduced the layout of his closed-ring model of prismatic hues (Newton 1704), comparing hue differences became equally important besides the above-mentioned tonal unity. Combining the discovery of the simultaneous contrast of colors by a chemist, Chevreul, in 1839, a new form of color harmony started to develop and later flourished during the Impressionist period (Roque, G. 1996). In practical terms, simultaneous contrast of colors means the hues of any two different colors will create a dynamic influence on each other when they are placed adjacently. Both hues shift away from each other and show larger hue contrast. Artists started to use the closed-ring color arrangement – the color wheel as a guide to decide color combinations (Martins, R. and Silva, C. 2001), and later a new form of color harmony, the Contrast Harmony was introduced by pairing complementary hues on the opposite sides of the ring to create hue contrast.



## 2. Discussions

The Munsell Color Space developed by Professor Albert Munsell (1902) was constructed to include three attributes of colors, namely value, hue, and chroma, forming a three-dimensional color space. He extended the effort to mathematically describe the two forms of color harmony described above<sup>1</sup>. The mathematical concept can be summarized as five points below:

- Grays, which also include black and white, are centralized as the core of the Munsell Color Space, assumed to be neutral and are therefore in perfect harmony.
- Colors with different values (lightness) but with similar hues and chroma are considered in harmony.
- Colors on the opposite ends, working as complementary colors which have the same values are considered harmonic pairs.
- One color may be combined with another. The chromaticity and hue of this color will decrease according to the Munsell Color Space. These colors are considered harmonious.
- Colors selected along the elliptical locus in the Munsell Color Space are considered in harmony.

The first two concepts were derived from the concept of tonal unity used during the Renaissance before Impressionism. The third concept was the Contrast Harmony concept, while the last two were an expansion of the concept of color harmony to include more colors than a sole grouping of similar hue colors or pairing of only two complementary colors.

Simultaneous contrast is also evidence of the dynamic nature of human vision. Any physical measurement of color may obtain a precise value. However, due to the dynamics of human vision, the viewer's response is not constant. Furthermore, the argument that suggests neutrals grays are in a state of harmony has no scientific proof (Ng, W. L. 2018). The cultural difference may further complicate the issue.

Koenig categorized color harmony into three types (Westland, S. 2007):

- Simple harmony: Colors with a similar or small shift in hue with a different tone and chroma. The major contrast is caused by the tonal difference in an application as the hue range is limited. It is also called analogous colors in practice today.
- Contrast harmony: Using the law of simultaneous contrast, colors with a vastly different hue may be paired or grouped and used. In an application, the contrast may come from hue, tone, and chroma. The maximum difference between these opposite colors can be seen as a large vector formed in a color space (Ng, W. L. 2018). In practice, the color pairs are named complementary colors.
- Balanced harmony: It is an extension of the contrast harmony to include practical situations.

Complementary colors also have multiple definitions:

- Two chromatic pigments that mixed to obtain a neutral gray.
- Two chromatic hues that are painted as sectors on a wheel that spins to form a neutral gray.



Defined by Mahyar and peers, “... *complementary colors shall be defined as those colors which would spin to gray on a color wheel.*” (Judd, D. B. 1963).

- *A chromatic color image is seen for a short period ( between 10 to 20 seconds based on my teaching experience) , an afterimage is formed in the viewer's mind. The presented hue and the afterimage hue in the viewer's mind form a complementary pair ( Westland, S. 2007) .*

Measurements carried out could not align well with definitions (Mahyar, F. 2007). Viewers did not select the same pairings when the questions were reversed. The dynamic nature of visual response might further influence the consistency of the measurements. The ambiguity of the harmony is even more evident when one needs to know the proportion of how much each hue is to be applied under a practical situation (Ng, W. L. 2018). No guideline can be given for the right proportion of each hue to be applied.

The initial concept of color harmony was derived from the Greek philosophy of musical harmonic intervals (Kuehni, R.G. 1990). Newton also arbitrarily selected seven colors for this closed-ring color arrangement while the actual spectrum of light is continuous. He added a purple color to complete his color circle – the closed-ring model (Gage, J. 1999). This has influenced the research, teaching, and learning of color theory for more than 300 years.

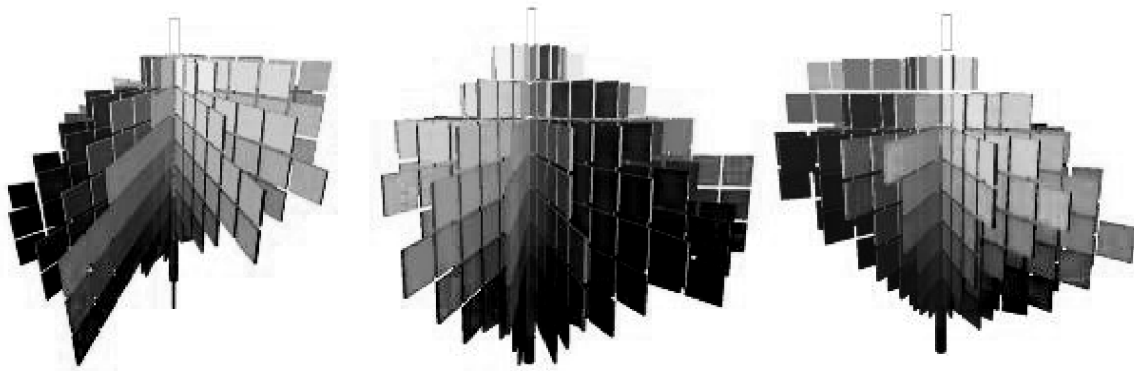
Color harmony was also linked to how the color pairing or grouping may generate a pleasing effect (Judd, D. B. 1963). Granville and Kuehni have proven otherwise through contextual differences between cultures, indicating that color harmony based on a “pleasing” outcome cannot be well quantified (Collins, J. 2004). Westland further argued that color choice could change according to race, age, cultural background, education, time, and other factors which introduce more unpredictable variables (Westland, S. 2007). Therefore, the quantification of color harmony is almost impossible.

Ou also investigated the concept of color harmony based on the feeling of pleasantness and the order of colors (OU, L. C. and LUO, M. R. 2006). According to Ou, since pleasantness was connected to emotional response, a measurement of a person's emotional state could be equivalent. He also added the measurement of aesthetics using terms by other color scientists, namely, complementary (Chevreul, M. E. 1981), order (Ostwald, W. 1969), balance (Munsell, A. 1969), and unambiguity (Moon, P. and Spencer, D. 1944). All these parameters were related to the concept of color harmony. These parameters were even more difficult to quantify. In addition, the other two attributes of colors, tone, and chroma could further increase the complexity in the quantification process. Hence, he concluded that color harmony could happen in any combination (Ng, W. L. 2018).

Ou concluded that “*In the present study, we have assumed that regardless of which color selection method is applied, a harmonious combination can always give viewers a pleasing impression.*” -- (OU, L. C. and LUO, M. R. 2006).

Ou also measured the order of colors and confirmed that color order could not always construct harmony (OU, L. C. and LUO, M. R. 2006). I would argue that this concept of color harmony is an overly idealistic concept that does not exist in the first place.

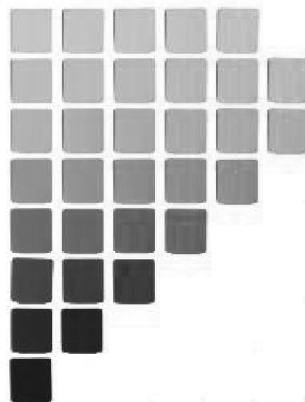
Besides the pairing concept of colors, there is another important practical issue that the concept of color harmony has induced to the learning of color theory. The concept was first introduced through a symmetrical color wheel model derived from Newton's closed-ring color arrangement (Newton 1704). The idea of each hue



**Figure 3 Three different angles of the Munsell Color Space, using RGB conversion (Ng, W. L. 2018)**

having a similar practical range somehow is ironed into many beginners' minds through their immediate acceptance of a symmetrical color wheel. The most popular one is the Itten Color Wheel (Itten, J. 1962) that is available in many art stores, as shown in Figure 2. Professor Munsell, during his development of the Munsell Color Space (1902), has practically addressed that each hue has a very different working range, as shown in Figure 3. For example, when a yellow hue is shaded, as shown in Figure 4, the yellow hue shifts towards the green hue region. This was also discussed by Kopacz in her publication – “Color in Three-Dimensional Design” (Kopacz, J. 2003) and she also referred to the Munsell Color Space.

Kopacz mentioned that “*However, yellow has very few steps in shade range because it turns greenish as it darkens.*” (Kopacz, J. 2003).



**Figure 4 Hue 7.5 Y of the Munsell Color Book indicates that the yellow hue shifts towards the green hue when it is shaded**

Some complementary color pairings will therefore be affected by this shift. When a complementary color pair is a yellow and a purple hue, the shaded yellow is practically a green hue. Therefore, that is effectively a three-hue system instead of two. If a user does not understand the asymmetrical nature of the practical color space, this issue is not well addressed (Ng, W. L. 2015). A similar situation will happen to red and orange hues that will shift towards purple and dark brown, respectively, when they are shaded.

From 2005 to 2019, a series of efforts were carried out by the Budapest University of Technology and Economics to measure color harmony. There was hardly any approach that could help educators construct a reliable pedagogy for the training of color harmony. However, the color harmony concept is still adopted as a color teaching guide today. “Design Elements – Color Fundamentals” by Sherin (Sherin, A. 2012) and



“Understanding Color – An Introduction for Designers” by Holtzschue (Holtzschue, L. 2006) are examples in the design area. Color harmony is discussed comprehensively in Holtzschue’s publication (Holtzschue, L. 2006).

### 3. Conclusion and Recommendation

From the background information and the discussions, it is evident that the concept of color harmony could hardly form a structured pedagogy for constructing a sound color theory training. Effective teaching and learning of practical color theory and applications should assist students in recognizing the true practical range and differences between colors. On the contrary, the concept of color harmony tries to impose to beginners pre-defined pairing or grouping models with minimum practical consideration. When these models become color formulae in these beginners’ minds, it is harder for them to comprehend the true practical differences between hues.

On the contrary, an asymmetrical color space, using the Munsell Color Space as an example, allows students to see the practical connections between colors. The transition is well represented through the connections of brown and grays with all the chromatic hues. A student does not have to memorize any pairing of colors because they are able to physically map the difference between any two colors, including chromatic and achromatic colors (Ng, W. L. 2018). The mapping idea depends solely on the vector difference between any two colors, and that is the real practical outcome that an end-user needs, not the pairing of colors. In an image presentation, the artist needs to judge the practical difference of any two or more colors used together, not any kind of pairing or grouping philosophy. Students will also benefit from learning the practical complexity and usefulness of transitional colors, the browns, grays, purples, and black when transitional colors are discussed in relation to their chromatic parent hues (Ng, W. L. 2018).

Hence the concept of color harmony should be avoided as a teaching framework for color theory. Instead, the focus should move to practical differences of colors in any application. Both Chevreul’s law of simultaneous contrast and the tonal unity concept by the Renaissance painters are good models for students to learn the practical differences in color applications (Ng, W. L. 2018), but there is no need to connect them to any philosophical argument.

#### Note:

1 The mathematical model of the harmony concepts developed by Professor Albert Munsell can be obtained from this PhD dissertation: “A study of the teaching of color theory for visual art students at tertiary institutions in Singapore”.

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# A Milestone Work in the Historiography of American Literature in China:

## A Review of *The History of Hispanic American Literature*

WANG Zuyou

School of Foreign Languages, Taizhou University

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**Abstract:** *The History of Hispanic American Literature* (2021) is an epochal work in the historiography of American literature. This book uses ethnic literature categories and chronological periodization as the horizontal and vertical axes, respectively. It selects representative works of writers as typical research examples and makes a comprehensive investigation from the aspects of social history, literary trend, artistic representation and aesthetic orientation. The monograph systematically sorts out the development and evolution of Hispanic American literature from 1872 to 2019, focusing on the combination of historical retrospect and literary criticism and the combination of panoramic overview and representative cases. The book has four characteristics. Firstly, it is a pioneering work consisting of rich first-hand materials with novel content, which is the first one in Hispanic American literary study. Secondly, it is research-oriented and rigorously elaborated, which fully shows the distinctive features, representative style, influence and literary status of the research object in each period. Thirdly, it is objective. The author thinks and judges from different standpoints, not affected by subjective thoughts or consciousness in exploring Chicano literature. The fourth one is to analyze writers and works dialectically from multiple perspectives and historical contexts, focusing on horizontal and vertical comparisons. This book has reached a high academic level and has made a significant contribution to the study of American literature in China.

**Keywords:** *The History of Hispanic American Literature*; pioneering; research-oriented; objective; dialectical

**Notes on the contributor:** WANG Zuyou is professor of English at the School of Foreign Language, Taizhou University (Taizhou 225300, China). His research is focused on American literature and western literary theory.

The development of ethnic literature is inseparable from the growing influence of ethnic groups. The literature of Hispanic Americans, a minority group in the United States with the largest population, plays an increasingly important role in social life. Hispanic American literature originated earlier than white American literature, and its culture is an important part of multi-ethnic American culture. However, it was not until the first half of the 20th century that their English literature began to merge into mainstream American literature, as most Hispanic groups are native speakers of Spanish. Under the influence of the Chicano Movement in the 1960s,



Hispanic American literature has made remarkable achievements and has been widely recognized. Chinese scholars have recently begun to recognize its value. Professor Li Baojie's *The History of Hispanic American Literature* (2021) is the first work on the history of Hispanic American literature compiled in China. Apart from the epilogue, reference, appendix and postscript, the book is divided into eight chapters. It traces the cultural origin of Hispanic literature from a macro perspective and comprehensively introduces the general situation and various branches of American Hispanic literature, taking into account the historical development of literature, the actual situation and trends in development. It also makes an objective evaluation and a comprehensive and in-depth analysis of the latest literature situation. This book focuses on the literary expression of the writer's diaspora experience and exile identity, the construction of the character's multi-cultural identity and diversified narrative style, and the negotiation between the "ethnicity" and "Americanism" of American literature. The first chapter is an overview of American Hispanic literature, including its definition, classification and research status. The second chapter introduces the origin and early course of Mexican literature, especially the Chicano literary movement and its influence. The third chapter discusses the "Depoliticization" theme of contemporary Mexican literature, the rise of female writing and the epochal nature of literature in the new century. The fourth chapter discusses Puerto Rican American literature, focusing on "the combination of Hispanic reality and European literary tradition" and "Puerto Rican female literature and female identity writing". The fifth chapter discusses the origin and exile mode of Cuban literature, highlighting the textualization of Cuban exile mode and the counter-exile writing trend. The sixth chapter focuses on the pluralistic orientation of contemporary Cuban literature, such as "the negotiation between the 1.5 generation writers and the exile model", and new literature and popular literature. Chapter seven discusses Caribbean immigrant literature and Caribbean literature. The eighth chapter reviews South American immigrant literature and ethnic literature, especially Chilean literature. It can be said that this work shows its distinctive feature of being pioneering, research-oriented, objective, and dialectical.

## 1. Being Pioneering

Since the second half of the last century, the study of American multicultural literature has gradually become a prominent subject, and the scope of the study is expanding day by day, covering all ethnic literary branches of literature. With the deepening of the study of American Literature in China, the compilation of the history of American literature has entered a relatively prosperous period. Since the 1980s, more than ten types of American literature history books have been published, which fully demonstrates the attention to and achievements of American literature in the domestic academic circle. However, not all branches of American literature have received due attention, and Hispanic American literature is one of them. According to Li Baojie, the study of Western Ethnic literature is an important reference for the interpretation of the whole history of American literature and the orientation of American values (2012: 15). However, its research has just started until the beginning of this century, and the first problem it faces is the lack of systematic research on this branch of literature in China. The publication of the book is just at the right time and makes up for the research gap in this field. This may be seen as an example of American literary historian Robert Spiller's famous saying: "Every generation should write at least one history of American Literature" (1917, III). As the harvest work of the National Social Science Foundation Project (12bww048), Professor Li Baojie's lengthy monograph has 527 pages and took her eight years to complete. It can be read against her *A Study on Contemporary American Latino Literature* (2014), which was published several years ago. If we say *A Study on Contemporary American Latino*



*Literature* is “the pioneering work of contemporary Hispanic American literature research in China” (Wang Zuyou, 127), then *The History of Hispanic American Literature* is a landmark masterpiece, which “focuses on tracing the origin of literary tradition”, promotes the study of Hispanic American literature research to the depth of history, and expands to different ethnic branches of Hispanic literature, “including the representative English texts of the branches of Hispanic literature and some texts originally written in Spanish and then translated into English” (2012: 489). Using chronology and literary geography methods, *The History of Hispanic American Literature* makes a comprehensive study of American Spanish literature. “The horizontal study focuses on the geographical and cultural characteristics, social problems and cultural values in a specific historical period, as well as the more common ways of literary representation in various times; the vertical diachronic study takes the overall development and evolution of Hispanic literature as the basic context, and examines the track of its development and growth” (2012: 490).

## 2. Being Research-oriented

Generally speaking, literary history can be divided into two types: popular type and scholarly type. Popular literary history is known for easy understanding, clear and comprehensive narrative clues, systematic exactness, and explicit emphasis. It usually adopts the traditional narrative mode of “historical background + writers and works”. Research-oriented literary history belongs to the category of literary history theory, and its readers are literary researchers. These readers hope to obtain new perspectives and discoveries about their own research field through reading literary history. Despite being highly academic, this kind of literary history may not attach much importance to the systematic exactness of narration and the consistency of views.

Of course, there are two types of American literary history written in Chinese. Considering the readers of the history of American literature and the current situation of American literature research in China, the history of American literature that we need now should be a combination of both popular and scholarly kinds. We should not only systematically describe the history of American literature, but also provide new academic insights instead of banal views. This is what *The History of Hispanic American Literature* strives to achieve. The writing principle of *The History of Hispanic American Literature* is to systematically sort out all categories of American Hispanic literature from the perspective of history and ethnicity, and focus on its writing theme, literary paradigm, presentation and developmental trend (2012: 489). The branches of Hispanic literature have a high degree of heterogeneity, but they also have some similarities. On the premise of paying attention to the differences of ethnic literature, Hispanic literature focuses on the similarities of various branches of literature and traces the history of literature. For example, in order to trace the development of Mexican Literature, it includes Maria Lewis, the first English writer and two literary pioneers at the turn of the 19th and 20th centuries; Eusebio Chacón and Leonor Villegas de Magnón. That is to present a relatively complete development track for the literary reproduction of the theme of cultural conflict. In this way, the relatively clear distinction between criticism and research, aesthetic analysis and historical analysis in the past has been blurred (1989: 2). *The History of Hispanic American Literature* is undoubtedly in line with the expectations of Chinese readers in their reading of literary history.

As a matter of fact, *The History of Hispanic American Literature* is not just a review of the history of ordinary literature, but its research has shown its eminence from the very beginning, such as the in-depth analysis of the connotation and extension of the concepts of “Hispanic” and “Latino” and the distinction between

“Hispanic American Literature” and “American Hispanic Literature”, i.e., “Hispanic American Literature” uses “Hispanic” as a modifier and distinguishes American literature by residential area; “American Hispanic Literature” takes “America” as a modifier and American literature as a context, emphasizing that “Hispanic” literature is a branch of American ethnic literature (2012: 4). Playwright Maria Irene Fornes’ *Manual for a Desperate Crossing* (1996) is based on the “rafters’ accident” around 1994. *The History of Hispanic American Literature* comments on the design of symbolic reference of characters in the play: the purpose of designing characters in this way is to show the uniqueness of characters and objects in the play. The symbolic reference also implies the materialization of characters. Their individual emotional and spiritual demands are weakened, which implies the insignificance of individual life and the meaninglessness of characters’ survival in the context of life politics of immigration tide. This clearly shows that Fornes’ works go beyond female writing and individual trauma narrative to “exploring the meaning of life in a broader perspective” (Li Baojie 2012), thus representing an important voice in American drama in the early 1990s. Dolores Prida inherits Maria Irene Fornes’ avant-garde drama tradition obviously in the form: “the prominent features of Prida’s drama are the use of Latin American cultural elements and the Hispanic characters in the bilingual background. By portraying these Hispanic characters with a strong Spanish accent in American society, she represents the survival and spiritual demands of the Hispanic people and writes about the Hispanic version of the American Dream” (2012: 332). Such intensive reading and comparative study are common in the book. Readers with a wider vision will also find that a considerable part of the content of the chapters in *The History of Hispanic American Literature* has been published as independent academic papers in professional journals and magazines, but there are subtle differences in the presentation of the chapters in *The History of Hispanic American Literature*, so as to conform to the academic orientation of “literary history”, which shows the author’s intention of academic research. The author’s respect for academic research can be seen from a sentence in the postscript of *The History of Hispanic American Literature*: “for fear that my logic may not be clear, argument not rigorous, and my wording not appropriate” (2012: 527).

### 3. Being Objective

In the research of specific writers’ works, this book interprets the works of representative writers through close reading and examines and judges their literary status and achievements within the framework of the whole of ethnic literature. Alejandro Morales (1944–) was one of the most creative and famous writers in contemporary Chicano literature, the real leader of contemporary Chicano literature, and the mentor of Dr. Li Baojie when she was a visiting scholar in the United States. Politics and ethnicity are the primary consideration when Morales chooses historical themes. Therefore, Alejandro Morales’ historical novels are based on social reality, reflecting the contemporary Chicano writers’ sense of responsibility and political responsibility. Morales used the historical narrative to write about the group memory and trauma of Mexican Americans so that those Mexican Americans who had made contributions to American society could be remembered and recognized again. In this regard, the book points out: “the typical style of Morales is the combination of realism and magic realism.” (2012: 145). The purpose of Morales is to reveal the relationship between the colonial history of Latin America and contemporary disasters. As for the historical themes of his novels, this book holds that his works are permeated with strong historical consciousness and contemporary reference. In order to express his deep concern about the future of Mexican ethnic groups: “Morales’ novels are, in the final analysis, the expression of ethnic politics”



(2012: 148). Part of the reason why this kind of “depoliticized” work did not receive timely attention in the early years is that the expression of “power relations” in the text tends to be diversified or obscure. From another point of view, the diversity of literary writing brings lasting vitality to literature. “Among them, the political influence is no less than that of the works related to the theme of “Aztlán” in the period of Chicano Movement, but its appeal way is more “hidden” (2012: 149). “depoliticization by Morales and other writers provides a possible way out for Chicano literature to get rid of the narrow nationalist orientation and gain more extensive recognition” (2012: 150).

In the study of contemporary Cuban American literature, the term “exile” has a specific political and historical implication, namely the Cuban revolution. After the Cuban Revolution of the 1950s, the change of new and old political power and the change of ideology led to the first wave of immigration from 1959 to 1962. *The History of Hispanic American Literature* focuses on “Exile literature” and emphasizes that it is a literary narration of the exile’s immigration experience. Taking the first-generation exile writer Carlos Alberto Montaner as an example, it points out that the exile transforms his personal experience into political capital and writing capital through literary narration, *Journey to the Heart of Cuba: Life as Fidel Castro* (2001) is to achieve the purpose of voicing by “consuming Cuba” and “consuming Castro”, which has strong ideological expression and obvious commercial flavor.

In the overall consideration of exile literature, *The History of Hispanic American Literature* states:

In order to protect their own interests, exile literature and its literary subject will suppress different voices, which to a large extent inhibit other literary writing modes. If the writer fails to express his clear political position and oppose Castro’s regime in his works, he will be regarded as an alien in the Cuban community and may be restricted by the powerful Cuban American mainstream discourse. Due to the lack of anti-Communist political stance, the planned recitation was canceled; Garcia was accused of being a communist; Prida was strongly boycotted when his play *Calm Waves* was performed in Miami in 1986 because he sympathized with the Cuban authorities. The purpose of this effort of the Cuban American mainstream is to “ensure that other voices or identities that do not conform to the single Cuban identity or Cuban American identity are excluded and suppressed.” Of course, these examples are not rare cases. The literary works of exile mode have become the mainstream of Cuban Americans in South Florida. This hegemonic discourse cannot tolerate the voice of disharmony at present and even plays with the theme of cultural conflict, and cultural identity reconciliation cannot be accepted by it. (2012: 373)

The writing of Exile Literature binds “exile” with political ambition and historical mission. When they write historical themes, they agree with or even cater to the political activities launched by overseas Cuban exiles to subvert the Cuban regime, which makes literature writing instrumental. The success of the writing mode of Exile Literature partly lies in that it caters to the expectations of American society. However, when it becomes the mainstream of Cuban American literature and suppresses different voices in Cuban American literature, its hegemonic position makes it deviate from its original intention and contradict its proclaimed “freedom” and “democracy”. Reinaldo Arenas is a case in point. Reinaldo Arenas is regarded as one of the most influential Cuban exile writers. His writing of “exile” is reflected in the combination of personal history and Cuban history. Reinaldo Arenas thinks that his writing in exile is just a label of personal appeal, “projecting self-value in the struggle against various powers, even at the expense of other interests, including literariness.” (2012: 386).

Reinaldo Arenas's extreme viewpoint lies in "his excessive attention to political themes has greatly damaged the literariness of his works and greatly reduced the literary value of his works" (2012: 389).

## 4. Being Dialectical

*The History of Hispanic-American Literature* shows strong dialectical conscientiousness, especially in the part of Cuban literature. In the controversial literary criticism of exile, this book focuses on clarifying different critical voices. Arenas thinks that his literary achievement lies in his historical writing, but *The History of Hispanic American Literature* has different concerns. The author of *The History of Hispanic American Literature* thinks that the theme of homosexuality instead of the historical writing is what is worth giving utmost attention to in Arenas' *Antes que anochezca* (1992). Prof Li also cites the studies of Rafael Ocasio, Francisco Soto and Jorge Olivarez and their own judgment made through the different aspects of Arenas' works, pointing out that these critics have not limited their critical vision to the "current Cuba" described by Arenas' or Cuba during Castro's period, "and this critical perspective is what actually separates a literary writing from political discourse, which improves the literary significance of Arenas' works to a certain extent" (2012: 385). Then it criticizes the writing of the exiled writers such as Arenas. The author thinks that the exile experience of the writers makes the political writing of the exile literature express the appeal and arouse the attention in the specific historical period. However, the literariness guarantees the vitality of the works, and only by considering the two can we obtain lasting vitality. To a certain extent, the acceptance of the critics provides an opportunity for the second generation of Cuban immigrant writers to turn direction in their exile writing.

Based on this, *The History of Hispanic American Literature* traces the presentation and evolution of the theme of exile literature in different times, focusing on the change of political representation. The theme of exile in the early stage shows a relatively simple ideological feature, and the process of exile is the focus of the writing. In the 1.5 generation of Cuban immigrant writers, exile writing began to combine with personal growth, using the form of life writing to reproduce the model image of Cuban immigrants; this kind of writing also has more literariness, which has been widely recognized by mainstream cultural groups in the United States. In *Waiting for Snow in Havana: Confessions of a Cuban Boy*, Carlos Nieto Eire (1950-) combines his exile experience with his personal mental growth in the form of memoir, which "not only caters to the writing paradigm of exile mode, but also weakens his political expression and highlights his literariness through artistic processing, which is also the fundamental reason why his works can stand out from many exile literary works" (2012, 392). However, the theme of exile not only constructs its discourse authority, but also gives birth to the voice of opposition. Cristina García's first novel, *Dreaming in Cuban* (1992), is the first Spanish American literary work nominated for the National Book Award. In *King of Cuba* (2013), she inherited the historical theme and selected the exile theme prevailing in Cuban American literature, but clearly expressed her counter exile position. After more than half a century of development, Cuban American exile literature combines the political theme, identity and cultural negotiation with the "American Dream" to show the different levels of the identity of Cuban immigrants and Cuban Americans. In addition to the "exile" identity, Cuban Americans also have other ways of self-construction. When expounding the epochal features of Mexican American bildungsroman in the new century, *The History of Hispanic American Literature* not only recognizes the common themes, but also points out these generational differences and changes in the writing paradigm.

Another manifestation of the dialectical nature of *The History of Hispanic American Literature* is its concern



for the contemporary Mexican American bildungsroman, especially its life writing paradigm, which points out the political metaphor of life. Jimmy Santiago Baca and Luis J. Rodriguez focus on describing the problems of street gangs and juvenile delinquency faced by middle and lower class Mexican teenagers in their growth. Garry Soto and Domingo Martinez write about the growth of Mexican Americans in the community. Reyna Grande's writing focuses on the experience of immigration, especially the protagonist's experience of crossing the border and gradually adapting to the new life as an illegal immigrant. Using a variety of narrative strategies, they emphasize the connection between class and race and use non-fictional narrative forms such as "memoirs" or "autobiography" to increase the credibility of the narrative. They also provide a variety of epochal themes for life writing in today's minority literature (2012: 196). All of these can be the topics for further development in this field, even in minority literature research.

When commenting on the representative Chilean writers Isabel Allende and Ariel Dorfman, the author, while acknowledging the social influence and cognitive value of their works, questions their status in the history of literature, reflecting a high degree of dialectical thinking: "what is the literariness and vitality of these works? It will take time to test. Perhaps it is in a similar consideration that Allende also began to show a trend of diversification in writing, expanding from women's growth and historical themes to American themes represented by Alexander Cod series. Dorfman also gradually transcended the literary geographical field of Chile, blended different techniques and historical backgrounds, and explored a more aesthetically expressive political narrative." (2012:488) It takes courage to question famous living writers.

In a word, taking ethnicity as the main-line, highlighting the political demands of literary writing, *The History of Hispanic American Literature* interprets the value orientation and aesthetic expression in literature by relying on the text and makes a comprehensive investigation of representative writers' works under the framework of society, history, literature and art through intensive reading of typical texts. This work is the result of years of hard work. It reflects the political and cultural literacy of Chinese scholars. If I were pressed with a requirement to make a suggestion, I think, as the author mentioned in the postscript, that "there are obvious differences in the degree of detail of different literary branches, and the collation of writers' works is inevitably biased, and there may even be omissions" (2012: 526). For example, Lorna Dee Cervantes (1954 - ), the Chicana Aboriginal poet, was omitted probably due to the poet's Aboriginal identity; but in fact, Cervantes was an active participant in the political and cultural movements during the Chicano Movement. After all, *The History of Hispanic American Literature* is the first comprehensive and systematic study of American Hispanic literature. It has made an unprecedented contribution to the study of American Literature in China and will open a new era for the historiography of American Hispanic literature as well.

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# English Proficiency and Academic Achievement in the Philippines ESL Contexts

CHEN Bing

College of Foreign Languages, Guangxi University, China

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**Abstract:** The extant literature has focused on the factors which impacted the individuals' academic achievement such as intercultural communication, acculturation, motivation and attitude etc. However, research on individuals' English language proficiency and its impacts on college students' academic achievement and identity need to be taken into account. Based on second language acquisition theory, using a case study with mixed methods, this article conducted the questionnaire survey and in-depth interviews. The results of the study indicate that there is not always a clear relationship between English language proficiency and academic achievement; the participants are willing to communicate in English; the English language is in relation to identities construction and negotiation. The implications of this study highlight the need to study the other factors which impact the ESL learners' academic achievement. Based on the findings, contributions to theory and practice, limitations, and future directions are discussed in conclusion.

**Keywords:** English language proficiency; academic achievement; identities; the Philippines; ESL context

**Notes on the contributor:** CHEN Bing is currently a professor of College of Foreign Languages, Guangxi University, and a deputy editor-in-chief of *Asia Pacific Interdisciplinary Translation Studies*.

## 1. Introduction

This study is important as it attempts to explore the impacts of English language proficiency on academic achievement, and the relation between the English language and its identities construction and negotiation in the Philippine ESL context. This is an on-the-spot investigation which has been conducted with a quantitative questionnaire survey and in-depth qualitative interviews with the participants. With its English literacy rate of 98% (World Bank), the Philippines is home to the largest English speaking population in Southeast Asia today and therefore, it may be representative for the Southeast Asian English learners in the outer circle country. As for the impacts of English language proficiency on academic achievement, relevant studies have been found on Neumann et al. (2019), Lodhi et al. (2019), Farley et al. (2019), Kim et al. (2018), most of which are conducted via the method of quantitative data analysis. As for the definition of language proficiency, the seminal studies are the work of Casale & Posel (2011) which defined language proficiency as the self-reported ability to



read and write. Di Paolo (2011) held that language proficiency was the ability to speak and write, they viewed proficiency as the ability to organize language to carry out a variety of communication tasks. English language proficiency could be recognized from a narrow focus on the English language. The terms “English language proficiency” and “English language competence” are used interchangeably in many contexts. For this paper, English language proficiency has been defined as the ability of students to use the English language to make and communicate meaning in spoken and written contexts while completing their university studies. These uses include simple tasks such as discussing work with classmates and complex tasks such as writing academic papers or delivering speeches to professional audiences. As for the English language and its relation to national identity, relevant studies have been found on Chang (2019), Sung (2019), Zwisler (2018), Agdeppa and Barrot (2018), Stille (2015), most of which studied the relations of the English language, identity, power, and intelligibility.

This study aims to explore the impacts of English language proficiency on academic achievement and identity in the Philippine ESL context, with mixed methods of both quantitative and qualitative data collection and analysis. The quantitative questionnaire was designed to collect information on the participant demographics, the relevant information, to investigate the participants’ (i) Years of learning at University; (ii) Years of learning English; (iii) First-year grade GPA (a measure of a student’s academic achievement at a college or university, calculated by dividing the total number of grade points received by the total number attempted). Using a Likert six-point scale, the data from the questionnaire was designed to elicit participants’ reactions to their academic life as a student in the university and their ability to organize their study and life. Besides, the qualitative interview was conducted among the participants, aimed and to find the supporting details. From the perspectives of the participants, they conveyed their point of view on whether and how English language proficiency impact their academic performance, the in-depth interview was recorded on the process, and then after transcription from the audio-recordings, the qualitative data was obtained. The open-ended questions in the interview offered the participants’ another opportunity to deliver more discursive and reflective comments on their opinions and choices. Thus, this study’s mixed-methods approach yielded the results and provided both quantitative and qualitative basis for evaluation. It should be stressed that it is a small-scale study based upon a limited number of participants. Consequently, it is not generalizable; however, it offers insight into exploring the factors impacting academic achievement and identity construction in the Philippine ESL context. The research questions, which have guided this study accordingly, are in the following. 1. What is the relation between English language proficiency and academic achievement? 2. To what extent are you willing to communicate in English? 3. What is the relation between English and identities?

## 2. Literature Review

Related to the studies on the relation between the English language and academic performance could be found in Neumann et al. (2019), which explored the relationship between language scores and the academic performance of undergraduate students during the first year of study. Geide-Stevenson (2018) found that English proficiency positively impacts academic performance, but at a declining rate. Cekiso et. al (2015) investigated the impact of English language proficiency on learners’ academic achievement in four subjects in the South Africa ESL context. Cho & Bridgeman (2012) studied the relationship of TOEFL scores to academic performance from American universities. Related to the studies on the relation between the English language and identity

construction could be found in Sung (2019) which argued that mainland Chinese students' participation in L2-mediated activities in the university could be understood as a complex, dynamic, situated and co-constructed process of negotiating access, competence, membership, positionality, identities and discursive practices associated with different communities. Zwisler (2018) held that EFL instruction over time increased the perceived worth of Colombian national identity significantly while slightly increasing the positive perception of regional identity over the course of three years and that national language identity increased. Agdeppa (2018) explored how the participants perceive their identity as English language users and highlighted the need to vigilantly scrutinize how issues of language, identity, and intelligibility impact Filipino English teachers. Kohn (2018) argued for the social constructivist concept of his English as a basis for understanding ELF competence development and the tensions surrounding the relationship between ELT and ELF, from discrepancies in his ELF identity as a speaker of English with ELT roots in a German secondary school. Harvey (2016) theorized the relationship between language and intercultural learning from a Bakhtinian dialogic perspective, based on the language learning story of Federica, a mobile student in UK higher education. Otsuji & Pennycook (2013:87) held that the appearance of World Englishes is regarded as the "pluralization of singular entities" encapsulated in the -es of Englishes. World Englishes has made it capable of expressing different national identities through the use of the English language. Pavlenko (2003:298) argued that "Classroom discourses play an important role in shaping students' membership in imagined communities and legitimizing new identity options". The imaginative constructions of self can impact a learner's identification of his past and present experiences and provide a framework from which to interpret conflicts and see them as sites for change. Norton and McKinney (2011:76) assumed that imagined communities are not geographically restricted and can include "future relationships that exist only in the learner's imagination, as well as affiliations—such as nationhood or even transnational communities—that extend beyond local sets of relationships." Post-colonial Southeast Asian nation-states, have kept particular "nationalist imaginations" by applying explicit or implicit language policies, which include how to balance the spread of English and mother tongue of different ethnic groups since English is regarded as the language of modernity par excellence, while the trend of the indigenous languages are taken as the capital to maintain their own unique identities in the multi-ethnic and multi-lingual "imaginary community". As most of the relevant studies focused on how to manage the relationship between English and the local Asian languages needs to be deeply considered. For better development, different nation-states have applied and changed their language policies according to their unique histories. Language is first and foremost a social practice; L2 narratives are considered important social practices by telling and retelling their learning experiences through which imagined identities are evaluated and enacted.

Most prior studies reviewed the participants' English language proficiency as a predictor of academic achievement in the participants' study. Disproportionately little attention has been given to the roles and functions of the English language and its relation to the identities negotiation in the Philippines. To address this void, in this study, we make a contribution to the field by investigating the relationship between English language proficiency and academic achievement and identities negotiation in the Philippine ESL context, transposing the insights to understand the Filipino college students' opinions on the research topic. More researches are needed to describe multiple cases of participants' performance in English as a medium of instruction environment during regular academic years; and more factors that impact the participants' academic achievement, aside from their English language proficiency, should be taken into consideration in exploring the relation between English and academic attainment. Moreover, the Filipino participants' English language proficiency in English outer circle



country of the Philippines in Southeast Asia, the relation between the English language proficiency and their self and social identities remain little explored; consequently, we make a further contribution to the literature by exploring links between the English language and the participants' identities, which have not yet been investigated previously. In order to address the issues mentioned above, the current study was designed to explore the undergraduates of different grades, and the participants of different majors are included. In this study, besides years of learning at university and years of learning English, the first-year GPA is taken as an English language proficiency measure to shed additional light on testing how well the participants' English language proficiency is.

### 3. Methods

Mixed methods were applied in this study; the quantitative research method is used to conduct questionnaires and then analyse the data collected. The qualitative research method is used to examine the relationship between English language proficiency and identity construction within a limited temporal period. Data collection involved two instruments: a preliminary questionnaire with 5-Likert scales and the in-depth interviews, which last at least an hour for each participant. Sequentially, participants were first provided with the questionnaire and allowed sufficient time to familiarize themselves with the topic at hand and reflect on their personal experiences, beliefs, behaviors, roles and identities when they use the English language. Upon submission of the completed questionnaire, interviews were scheduled ranging from one to two hours, on average, as interview data can both illustrate and illuminate questionnaire results and can "bring research study to life" (Dornyei & Taguchi 2013: 110). In this study, centering around the three research questions, more detailed questions are designed for the process of interview, which has been recorded with the mobile phone by the researchers, which help to gain a better understanding of the participants' point of view with the qualitative component, from their explanation and illustration of each designed question items, thereby adding the authentic flesh to the bone. With an attempt to fill gaps and provide a detailed examination of the relationship between the English language proficiency and academic achievement and identities construction and negotiation among English users in the ESL context.

The participants of the study are the undergraduate students who are the freshman or sophomore studying at the university for one or two years with different majors, in which Communication Arts, Marketing Management, Psychology, International Auditing, Business Management, Information Technology, International Studies, and Political Science are concerned. Analysis of the in-depth interview and retrospection reveals the opportunities and challenges that the English language proficiency would bring to the participants and how it constructs and negotiates their identities locally. Participants were selected at random from the undergraduate students, all of whom have learned the English language over ten years in either English as second language contexts (ESL) or contexts in which English is a medium of instruction. Given that all participants had spent at least one year in the college (the majority in English-speaking campus or studying in English medium school), all participants were fully able to communicate in English and preferred speaking in English to the researchers (two teachers at the university). Read the following Table 1.

**Table1 Participant Demographics**

| Name | Gender | Age | Major              | Years of learning at University | Years of Learning English | 1st year GPA |
|------|--------|-----|--------------------|---------------------------------|---------------------------|--------------|
| Mary | Female | 19  | Communication Arts | Sophomore                       | 15                        | 3.5          |

## NEXT

| Name   | Gender | Age | Major                  | Years of learning at University | Years of Learning English | 1st year GPA |
|--------|--------|-----|------------------------|---------------------------------|---------------------------|--------------|
| Mark   | Male   | 18  | Marketing Management   | Freshman                        | 16                        | 4            |
| David  | Male   | 18  | Psychology             | Freshman                        | 15                        | 3.5          |
| Thomas | Male   | 18  | Communication Arts     | Freshman                        | 13                        | 3.0          |
| Ana    | Female | 18  | Internal Auditing      | Freshman                        | 14                        | 3.45         |
| Mathew | Male   | 20  | Business Management    | Sophomore                       | 16                        | 4            |
| Ryan   | Male   | 18  | Information Technology | Freshman                        | 13                        | 3.0          |
| Cindy  | Female | 18  | International Studies  | Freshman                        | 15                        | 3.5          |
| Wendy  | Female | 18  | Communication          | Freshman                        | 13                        | 3.35         |
| Mike   | Male   | 22  | Political Science      | Senior                          | 18                        | 4.45         |

Table 1: A table on the detailed information on the participants' demographics

Note to Table 1:

- i ) Different part in this table indicates the relevant information on the participants' selected in the study.
- ii ) Source: Own elaboration.

Table1 provides the background demographic data of the participants. The research proposal has been inspected by the scientific research department and foreign affairs department of the university. We investigate the survey to ensure that the research ethics are to be met. The participants were recruited at random among the undergrads. The researchers elucidated the objectives of the in-depth interview and the following-up retrospection. For the participants in this study, familiarity with the researchers allowed for greater sharing of personal experiences and a heightened sense of comfort and understanding. Likewise, familiarity with the participants allowed the researchers to better understand the contextual nuances of which the participants delivered in their interview. The respondents have conducted the interview in English, and all the participants expressed a preference to proceed in English.

With the application of the two instruments, a preliminary open-ended questionnaire and an in-depth interview, the qualitative method was used to collect data to examine the relationship between English language learning/use and identity within a limited temporal period. Sequentially, participants were first provided with the questionnaire and allowed sufficient time to familiarize themselves with the topic at hand and reflect on their personal experiences, beliefs, behaviors, and roles. Upon submission of the completed questionnaire, interviews were scheduled, ranging from 1 to 2 hours, on average. During the interview process, the participants were allowed to refer to their questionnaire while the researchers drew from semi-structured interview techniques to allow the participants to elaborate and clarify. Voice-recording software was used, and the in-depth interviews were recorded for respondent validation and transcription purposes.

In the in-depth interview, the participants were required to explain or illustrate their answers to the questionnaire items, thereby adding authentic resources to their choices. This is a sequential explanatory design to implement and analyze the data collected, which attempted to enrich the final findings considerably. In more detail, the participants were asked to go through their own responses with an interviewer and provide retrospective comments on the reason for their particular answer to each item. In this way, the participants' responses serve as prompts for further open-ended reflection. Frankly speaking, the participants may have



different perceptions under identical circumstances of how well the English language proficiency have impacted their academy and daily communication. However, as Bleakley & Chin (2010) hold that subjective questions are typically found to be highly correlated with their scores from tests designed to accurately measure language skills as well as functional measures of language skills'. More information will be delivered in the following findings.

This study explores the English language proficiency in relation to the participants' academic achievement, future career development, identities construction and negotiation. The participants' responses to the questions in the in-depth interview and retrospection show that the significant correlation between years of learning English and years of learning at the university and the participants' first-year GPA (Grade Point Average); the English language proficiency is regarded as one of the significant capitals; the English language is dominant in the linguistic marketplace. Thus there is an obvious relationship between English language proficiency and academic achievement, and there is a significant correlation with one's future job and career development; English and national identity construction and negotiation; the use of English in the social aspects. Among the correlations observed in Table 1 and the follow-up interview and retrospection, with the detailed questions designed for the process of interview, the Questions and Answers format was applied in collecting and analysing the recording material in the following sections.

## 4. Findings and Discussions

### *4.1 Not always a clear relationship between English language proficiency and academic achievement*

Although this research does find that the longer years of their learning English, the higher score they've got in their required subjects; the longer years of their schooling at the university, the higher their first-year GPA. Since on the tertiary education level, all the colleges and universities take EMI (English as a Medium of Instruction), as English is the language of modernization and technology. It needs to be stressed that both media of instruction, English and Filipino, are languages that most Filipino children meet for the first time on their first day in school (Kirkpatrick 2010:39). In this study, all the ten participants in the follow-up interview said that they had learned English since three years old when they were in the kindergarten, therefore, when they study in the university as a freshman; it has been at least 15 years that they have learned the English language. English in the Philippines is the former suzerain language, the official language, the medium of instruction, the language of modernization and knowledge dissemination, and thus has represented a major part of the school curriculum. Accordingly, a significant correlation between years of learning English and the participants' 1st year GPA could be found in the research; in a similar vein, a significant correlation between years of learning at the university and the participants' 1st year GPA could be seen, as the participants' performance in the required subjects were measured through their end of the first-year results. The positive and statistically significant coefficient for the length of studying in English as a medium of instruction (the years of learning in the university) indicates that longer exposure to the English language firmly favors its academic achievement. Specifically, it is shown that the longer they have studied in the university, the higher the GPA they will get. Moreover, the participants with higher English language proficiency are more open to adapting to academic life and have a better well-being than those with lower English language proficiency. However, when it comes to the relation between English language proficiency and academic achievement, this research found that it was not necessarily the case that there exist clear correlations between the two variables, which is much consistent with the research findings of Neumann et



al. (2019), but is inconsistent with the finding of Poyrazli and Kavanaugh (2006), which found that low academic achieving reported lower levels of English proficiency and greater overall adjustment strain, and the researches showing a relationship between English proficiency and academic performance in international students (Poyrazli, Arbona, Bullington, & Pisecco 2001; Zhang & Brunton 2007). In the current study, we hold that more factors should be taken into consideration when exploring the relationship between the participants' academic achievement and their English language proficiency. Factors such as motivation, attitude, study methods, academic self-concept may provide additional information that helps predict the participants' academic achievement. It will be further explored in the following series of research projects on Southeast Asian Englishes.

#### ***4.2 Willingness to communicate in English***

The research found that all the participants are willing to communicate in English, both in academic contexts and in their daily lives. English has played a significant role and has functioned as a pragmatic instrument in the participants' academic performance, especially in the Philippines ESL context, where English is the official language and the highly-valued language frequently used in nearly all social domains of society, thus it is considered to be the significant social capital, which resources made available through social networks and group membership. The English language is the medium of instruction at the college level, a vital factor in the academic context, and it is the main vehicle that carries the cultural knowledge and social representations present in a community. To Filipino college students, English is a kind of valued most human resource. In the domain of education, the English language is the medium of instruction in schools of all levels; English language proficiency is highly valued because it is the form of knowledge, skill, and education. The prevalence of English in professional contexts required demonstrations of their English fluency. Hence, Filipino (or other vernaculars) and English bilinguals to interact naturally and comfortably in English is a sign of cultural capital, which shows the social status and a highly desired skill they possess in the local contexts, according to Bourdieu (1986). High English language proficiency is taken as the economic capital which ensures a good-paid job and wealth in money and property, as not all forms of language have the same "value" in the market since their evaluation depends on the power and authority of the groups which use them.

During the interview, centering on the research questions, questions in detail have been designed. When asked, "To what extent are you willing to communicate in English? What are your goals, and how do you think English will help you achieve these goals?" Most of the participants' responses are "Very much", which is inconsistent with MacIntyre et al. (2011), who had carried out the qualitative studies by revealing that L2 learners' willingness to communicate in a foreign language is context-dependent and will change based on how learners interact with their environment. In the current study, impressive are the following responses which had been recorded and transcribed from the interview:

Ana: I am willing to communicate in English very much, ah, because I want to study abroad, I will get a PhD in the US, so English language proficiency is the first and foremost requirement.

Wendy: English is my native language, it is one of the commonly used languages in the world, and it will help me communicate with others better. English was chosen as the Philippine's national language as a way to bridge the gap among different ethnic groups.

Mark: English is Philippine's main language of communication and a mandatory language to learn in school, so I have communicated in it with my teachers and classmates at school and communicate with my parents in English at home for many years.



From the answers in the in-depth interview with the participants, we could see that the English language proficiency that the participants possess help them to account for the ways in which their life trajectories become structured. Specifically, the English language is a key aspect of cultural capital that the ten participants possess and pursuit for further learning through their everyday living in the local contexts, which is more highly valued than the other languages in their linguistic repertoires. Thus they showed their willingness and eagerness to communicate with their teachers and counterparts in English in the academic contexts, and some participants even communicate with their family members at home.

In response to the detailed questions “Please describe your English language learning experience? How much time, effort, and/or financial resources have you invested in learning English?”, the following three answers were:

Mary: Most of the time was self-study, so it did not cost much, I practiced writing and reading with sample tests, continually in 6 months before I took the first TOEFL iBT. Then it took another six months to review and take the test again. As I am a sophomore, studying abroad in the US is my goal and I have prepared from now on.

Ryan: Throughout my whole education life (since kindergarten), I have been learning English. Besides, I also took up tuition classes to score better in my English subject.

Mathew: It is part of our school curriculum in the Philippines. Resources put in would be school fees paid, which are highly subsidized by the government and scholarships I’ve received. Years of learning English would be about 16 years.

From the answers, it is clear that most of the participants have spent a lot in the investment of learning English due to its special value in all the social aspects. Especially nowadays in the era of globalization, English is a lingua franca (Jenkins 2007), and widely used all over the world, the English proficiency is regarded as one of the most important human resources.

When asked, “Are you satisfied with your English language proficiency? What degree of English language learning fluency do you hope to achieve? What can or will you do to attain this goal?” The participants’ responses changed from “not satisfied”, “satisfied”, to “very satisfied”. The following are the three answers from the participants:

David: I am not satisfied with my English speaking. I need to speak more fluently to be more confident when participating in class discussions. I am thinking about an English chatting room in my university, a series of seminars on certain topics have been held, and participants are encouraged to make an academic contribution of their points of view on the relevant topics.

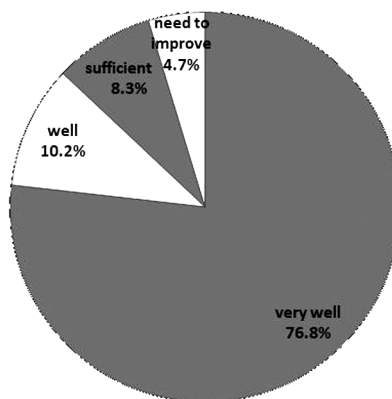
Thomas: Yes, I am satisfied. I would like to be better (learn more vocabulary etc.). I feel that I can attain this goal by reading more.

Cindy: Yes, I’m very satisfied with my English proficiency. According to the English level issued by the Department of Education, my English language proficiency is Upper-Intermediate level and over.

In the questionnaire that the participants conducted before this interview, the multiple choices of this question item are the following four distribution of responses: A. ‘very well’, 76.8%; B. ‘well’, 10.2%; C. ‘sufficient’, 8.3%; D. ‘need to improve’, 4.7%. See the following Figure 1. It must be noted that respondents are asked to self-assess whether they possess a satisfactory skill level in the four different areas, including reading, speaking, listening and writing. That is to say, in the Bilingual Education Policy (BEP) issued by the Department of Education in the Philippines, English is a dominant language on education. It is not only a subject



but also a medium of instruction. Therefore the English proficiency of the participants who have been learning English at least for 15 years from kindergarten to university could be very well, which means fluency in the four skills mentioned above. Read the following Figure 1.



**Figure 1** A pie chart on the percentage of the four choices

Note to Figure 1:

- i) Different part in this pie chart indicates the percentage of the four choices that the participants selected in the survey.
- ii) Source: Own elaboration.

In response to the questions, “Do you think your English proficiency affects how you perceive yourself and how others perceive you?” The participants’ responses varied from different individuals:

Mary: Yes, English proficiency is extremely important when we study abroad, especially at the graduate level. Low English speaking skill is a constraint to discuss in class, to share the idea. It sometimes causes a bad mood, and I was sometimes disappointed when I could not express what I wanna say. When we cannot participate in the class, other people sometimes might think that I am not well prepared, not socialized, not confident.

Mark: Yes. I feel I am an intelligent Filipino when I speak English, and I am perceived as a well-educated person by others.

Mike: English is Philippine’s official language. It does reflect one’s intellectual ability.

It is obvious that in the Philippines, English language proficiency is a basic requirement for both academic life and daily communication in all social domains. Specifically, the graduates seek after positions in the large international companies with its Asia Pacific headquarters set in Manila, and the high English language proficiency will ensure a well-paid job in the labor market. That is why all the participants in the interview said that they are willing to communicate in English, and they have spent great efforts to advance their English proficiency because it relates to academic performance, employment opportunities and social status. In order to fulfill the academic capacity on the one hand and to find a well-paid job in a fiercely competitive job market, it is highly needed to be fluent in communicating in the English language.

### ***4.3 English in relation to identities***

The study found that the English language is in relation to the participants’ identities construction and negotiation. English is taken as the assets for better empowerment for the college students, and it is consistent with the research of Piccardo (2013), which held that the students may develop a greater critical awareness of



their own culture and cultural identity and may empower them with self-esteem to potentially optimize learning. To elucidate the relations, this study explores how the participants perceive their identities as English language users. In speaking English, they think they are the Filipinos, and they feel proud that they could use the English language freely and fluently, as English is considered to be a symbolic capital that delivers prestige and honor in society and communication. As English is quintessential to the complex process of identity construction and the feeling of belonging to a group (Heller 2008), which supports the relevance of study processes in the linguistic domain, it is true that the English language has regularly been supposed to have a highly important role to play in the great efforts of constructing and maintaining the identities in the Philippines, the English language expression and identity occurring mainly in private or professional circumstances. It is consistent with Simpson (2007: 1). He believes that “a common language can assist in the construction of a geographically widespread, imagined community of speakers and the building of nation-like polities, providing linguistic links are also reinforced with other shared cultural properties”. In this study, the participants expressed their pride in the English language proficiency they have gained from years of learning, and said that they felt they were the Filipinos when they use the English language, they perceived their English language proficiency in academy and identity construction and negotiation and said that English had played multiple roles and functions in the academic context and daily communication, as English is not only the national language, official language, and medium of instruction in education, but also English has shaped self and social identities through the actual use of it.

When asked, “How do you decide which language to use when speaking to someone? When do you use your mother tongue? When do you use English? When do you switch? And Why?” The typical answers from the participants included:

Cindy: I just use my mother tongue with family members. Otherwise, I use English with everybody here in the school system.

Ana: Depends on the language that the person uses when he/ she first met me. I use my mother tongue to my parents/ relatives, and I use English to my peers, colleagues and siblings. I switch quite often as I am more comfortable with communicating in English, which enables me to construct my self and social identities of a Filipino in the globalization era.

Mike: I think it's a matter of who is more comfortable speaking their mother tongue, assuming the person I speak to does not usually speak English. If that person is more comfortable speaking English as opposed to me speaking Mandarin (my mother tongue), then it's likely that we will communicate in English.

Post-structuralism conceptualizes identity as something that is in constant process and argues that language is the principal means through which identity is forged (Swaan 2004:140), that is to say, identity is a dynamic process rather than something fixed, and thus identity could be constructed and negotiated with the language use. From the answers of the participants, we could see the change and fluidity rather than stability in the language choice when they meet different people in the communication according to the context. If language expresses one's identity, then the participants' subjectivity preferred to describe the individual's sense of who he or she is. It is consistent with Weedon's (1987:32) research which holds that “Subjectivity is referred to the conscious and unconscious thoughts and emotions of the individual, her sense of herself and her ways of understanding her relation to the world”, this qualitative interview also explored on the relationship between language and identity from the perspective of individual's language choice.

When asked, “Have you ever thought about the role of English in your life? Have you ever thought about how your life would be different if you didn't speak English?” The participants' main answers are the following:

Mary: With good English skills, I had a better job. Without English, maybe I don't have the ambition to study abroad in the US. In communicating with others in English, my self-identification of a modern Filipino arises.

Mathew: No, I have not thought of it. I feel that I would be better in my mother tongue at home with my parents, but when it comes to school, I use English instead.

Mark: English plays a very big role in my life because 95% of my communication is done using English. It would be much more difficult to get around the Philippines without speaking or understanding English.

Comparatively, the English language has played a more important role in the Outer Circle countries than in the Expanding Circle countries in Southeast Asia. As English is a second language in outer-circle countries, thus L2 identity negotiation in local contexts is a complex process raising the question of L2 identity options. In this interview, most of the participants said that they would like to use English on public occasions, they were fully aware of the effect of English on their identities as Filipino nationals. This is much in the same vein with the conclusion that Kramsch (2009:63) drew, which holds that for some participants, English use in a public space created the feeling of "self-enhancement", re-positioning them as educated and "part of the elite". However, as we could see from Mathew's answer mentioned above, for some participants, contrary to Bourdieu's (1987) capital theories, which held that English is both the language capital and the cultural capital, this was perceived as an imposition of their ethnic, cultural identities, that is why some participants felt their self-identity when they communicate with their parents in their mother tongues. Nevertheless, as proficient English language users, the participants knew better that they need to transform their social identity into their expected identity in most cases.

## 5. Conclusion

In recent years, the study of language and identity construction and negotiation in the ESL context has enjoyed significant attention and has been the subject of substantial inquiry. The use of subjective evaluations is standard in this study, partly due to the high costs of test-based assessments of language ability and time limit staying in the Philippines. Inspired by the latest research from the perspectives of education, psychology, and other interdisciplinary studies, the further research will explore the relevant issues of the models of academic self-concept (ASC), which emphasize the roles of social and dimensional comparisons in ASC development, and will be taken into consideration in the following series research.

The present study reveals the opportunities and challenges that English language proficiency would bring to the participants and how it constructs and negotiates their identities locally. It attempts to explore the relation between English language proficiency and the students' academic performance during the undergraduate program. Although the study was carried out on a small scale, it has shown its findings on the main three points; specifically, which offered insight into the identity construction and negotiation in the Philippine ESL contexts. The findings of this study show that English is widely used in all social aspects, including the academy, future career and development, and daily life communication. All participants hold that they use English nearly in all social aspects, and most respondents commented that English use was not typically confined to academic and language-institution settings, but prevalent in all the social domains, greater fluency in the English language is expected to enhance productivity in the job by making the employees more efficient in performing particular tasks or by reducing the cost of communication within the firm. The participants expressed their desires for more opportunities to use the English language in all social aspects because they felt their self and social identities

whenever they used English. They are proud of themselves and their social recognition as Filipinos with high English proficiency in society. More exploration on the topic will go on with further research.

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# Is Mohism a Religion? :

## Reflection on “Mohism” in Mohist Studies

HUANG Jiaofeng

the United International College of Beijing Normal University–Hong Kong Baptist University

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**Abstract:** Since modern times, many scholars have called Mohism the representative of materialism and science and technology school in the pre Qin period. Therefore, it has become the mainstream of academia to expound the materialist thoughts of Mohism, such as “unnatural”, “forceful engagement” and “reducing expenses”, and to belittle the idealistic religious dimensions (religious thoughts and religious forms) of Mohism, such as “reverencing God and ghost”. This seems to have become the “political correctness” and path dependence of Mohist studies for hundreds of years. This is the defect of Mohist studies. Is Mohism a “Mohism religion”? This is a major problem in Mohist studies. The author thinks that it is necessary to speculate on the basis of existing relevant literature and interdisciplinary knowledge in order to approach the true features of Mohist religious thought and religious form to the maximum extent, and expand the dimension of Mohism in the field of civilization dialogue. Relevant research should balance “historical materials”, “Mohist classics” and “reasonable speculation”.

**Keywords:** Mohism; Mohist religious thought; Mohist religious form; ten theories of Mohism

**Notes on the contributor:** HUANG Jiaofeng is currently Assistant Director and Assistant Professor of the United International College of Beijing Normal University–Hong Kong Baptist University. His research fields are Zhuzi and Mohist studies as well as religious dialogue.

# 墨家何以成“教”？

## ——反思墨學研究中的“墨教問題”

黃蕉風

北京師範大學香港浸會大學聯合國際學院, 中華文化傳播研究院

**摘要:** 近代以來學人多有謂墨家為先秦時代唯物論及科技學派之代表,故闡發墨家“非命”“強力從事”“節用”等偏向唯物主義之思想,貶損墨家“尊天”“事鬼”等偏向唯心主義的宗教向度(宗教思想、宗教形態)成為學界主流,似已成百年墨學研究之“政治正確”與路徑依賴。此實墨學研究之缺憾。墨家是否為“墨教”? 此誠墨學研究之大

問題也。筆者認為須在已有相關文獻材料的基礎之上，結合跨學科的知識進行推測，方可最大限度接近墨家宗教思想及宗教形態的真實面目，並拓展文明對話領域中的墨學之維。相關研究應做到“歷史材料”、“墨學經義”與“合理推測”此三方的平衡。

**關鍵詞：**墨教；墨家宗教思想；墨家宗教形態；墨學十論

## 引言

“宗教”或具備准宗教性質之團體，必有相應的宗教思想（如道德、倫理、訓誡）及宗教形態（如建制、組織、儀軌）。作為先秦時代最具有宗教根性的思想學派——墨家，當然也具上述特色。然而近代以來，學人考論墨家，多從政治、經濟、文化等角度來進行論說，缺乏對墨家宗教方面的相關研討。加之近代以來學人多有謂墨家為先秦時代唯物論及科技學派之代表，故闡發墨家“非命”“強力從事”“節用”等偏向唯物主義之思想、貶損墨家“尊天”“事鬼”等偏向唯心主義的宗教向度，則成為主流，似已成百年墨學研究之“政治正確”與路徑依賴。誠為缺憾。墨家是否為“墨教”（或宗教）？此墨學研究之大問題也。筆者認為須在已有相關文獻材料的基礎之上，結合跨學科的知識進行推測，冀能在研究上做到“歷史材料”、“墨學經義”與“合理推測”此三方的平衡，從而最大限度逼近墨家宗教思想及宗教形態的真實面目，以此拓展文明對話領域中的墨學之維。

## 一、“墨教問題”發生之背景——近代墨學復興思潮

墨子生平，歷來難考。墨家蹤跡，亦難定分。依目前所見，可謂徒餘“死文本”（《墨子》五十三篇）和“死傳統”（墨學中絕），無法像同時擁有“活文本”（包括四書五經在內的歷代儒學文獻）和“活傳統”（自孔子開始不斷延承的道統學統政統譜系）的儒家儒學那樣，使人們能夠通過其累世積澱的遺傳，來確切洞悉墨子學說內在的思想變遷過程和墨家學派的外在的建制組織樣貌。材料的缺佚，一方面固然對後人接近歷史上真實的墨子墨家墨學造成一定障礙，但另一方面也給予了後世人們相當大的空間，得以創造性詮釋一個“想像的墨子”，或創造性建構一個“想像的墨家”。這種對墨子學說及墨家學派的創造性詮釋和創造性建構，首先發生在清末民初的墨學復興浪潮中。

彼時湧現大批學人傾注精力於注墨詮墨，學界以談論墨學為風尚，有關墨學的專著專文層出，一時蔚為大觀。觀嚴靈峰編著之《墨子知見書目》所錄清末至民國的墨學專書條目，庶幾可見近代墨學復興的盛況。墨學在近代中國的復興，主要是在“文本”和“傳統”兩個方向上得到復興。概言之，即“重新訓詁文本”和“重新發明義理”。就“文本”而言，上承乾嘉學派的傳統，對《墨子》五十三篇尤其是歷來號稱古奧難懂的《墨經》部分，進行重新的校訂和釋讀。這方面的成就，主要體現在清末民初治墨學人的訓詁學工作。就“傳統”而言，發掘墨學微言大義，“活化”墨子學說，猶多以“十論”來比附西學。這方面的成就，主要體現在墨學義理研究和比較文化研究，是一個“重新發現墨家”、“重新發明傳統”的過程。

無論上述哪一條墨學復興路徑，背後皆潛藏彼時治墨學人“經世致用”的意識形態考量。19世紀後半葉到20世紀上半葉，學人探討中國傳統文化的學術範式幾經轉型和遷移。隨著“西風東漸”影響的逐漸深入，作為中國傳統文化主流的儒家，無論在思想形態上還是組織建制上，都難以繼續維持其內在價值。迭經洋務運動、維新變法、辛亥革命、新文化運動等社會運動，儒家權威不再；由之引起時人思考，除儒家之外，在中國傳統文化內部究竟還有何種思想資源，能夠用以溝通西方思想，改良民族精神，以造成新時代的經世之學。墨學因其具有與科學、民主、博愛、自由、平等、人權、理性主義等與西方文明“若合符節”的思想資源而重新得到時人的重視。墨學價值的重新發現，標誌著中國經世傳統得到復興。墨學在此時擔當兩個作用，

一是對接西方文化、比附西學價值；二是取代儒學，成為“中體西用”的新範式。經學瓦解，子學復興，蒙塵千年的墨學應時復興，正是彼時社會思潮在思想界的顯著反映。

黃克武先生指出，近代墨學的復興固然是與傳統學術的發展尤其是乾嘉考證之風所引起的學術興趣密切相關，但其直接的動機，則是明顯地出於西力衝擊之下，如何設定未來中國之目標的現實關懷，類如梁啟超等人就是在乾嘉學派學術遺傳和西學衝擊所產生的愛國情懷的交織下才開始撰寫相關墨學的論著文章。<sup>①</sup>筆者贊成黃先生的看法。姑且不論墨學復興中致力於“文本重詁”的乾嘉考據學理路，起碼在墨學的“義理發明”這一項上，即顯見帶有深厚的社會關懷和意識形態色彩，不能算是基於客觀、理性、中立的純粹墨學學術研究。這一方面拓展了墨學義理發明工作的題材和範圍，開啟近代墨學“創造性詮釋”的新局面；另一方面亦助長了以墨學隨意比附西學的學風，學人對《墨子》原典義理的解讀帶有極大的主觀意識。這種以墨學為尺度衡量西學的“古已有之”的心態具有顯明的中國文化本位主義色彩。其中典型代表就有濫觴於清末民初的、源出於“西學中源說”的“西學墨源說”和“耶教墨源說”。<sup>②</sup>

學人治墨的這種價值取向，為彼時中國面對西方文明衝擊而產生的民族主義情緒反彈，就正面價值而言固然能夠有利於在不至全盤性推倒整個中國傳統文化的情況下輸入西學，但同時亦容易被文化保守主義者作為招魂舊學拒斥新學的藉口。學人帶有鮮明價值取向和意識形態前見（Vorurteile）的治墨理路，不可避免地造成了對《墨子》原典義理的肢解性理解和詮釋。引入類如霍布斯（Thomas Hobbes）的“民約論”（Du Contrat Social）、盧梭（Jean-Jacques Rousseau）的“人民主權說”（Popular Sovereignty）、穆勒（John Stuart Mill）的“功利主義”（Utilitarianism）、達爾文主義（Darwinism）等西學為中國墨學的參照系和投射物，固然有利於拓展傳統舊漢學之訓詁考據、重注重譯的墨學之維，然簡單比附的做法流弊也甚大。對於學人隨意解釋墨學，甚至改動《墨子》原文的亂象，陳寅恪先生有精到認識。他在審查馮友蘭《中國哲學史》時言到：

今日所著《中國哲學史》者，即其今日自身之哲學史者也。其言論愈有條理統系，則去古人學說之真相愈遠；此敝至今日之談墨學而極矣。今日之墨學者，任何古書古字，絕無根據，亦可隨一時偶然興會，而為之改移，幾若善博者能呼盧成盧，喝雉成雉之比，此近日中國號稱整理國故之普遍狀況，誠可為長歎息者也。<sup>③</sup>

也就是說，此種言說中的墨子墨家墨學，即是“想像的墨子墨家墨學”（應該是什麼），而非歷史上真實的墨子墨家墨學（原來是什麼）。因是之故，對墨子學說“取其精華，去其糟粕”就成為題中之意，最顯著的表現，就在一方面高揚墨子積極救世的人文主義情懷和墨學中的自由民主科學人權精神，一方面又貶低墨子宗教教主式的權威人格和墨學中有涉宗教信仰的思想為封建迷信，對後者輕視或乾脆避而不談。

以嚴靈峰先生編著之《墨子知見書目》為例，該書錄有歷代墨學書目。由其中之〈滿清墨子書目錄〉可見，清代墨研論著多為《墨子》全書校注或《墨經》訓詁，如《墨子大取篇釋》（傅山）、《墨子經說解》（張惠言）、《墨子注》（王闡運）、《墨子閑詁》（孫詒讓）、《墨子箋》（曹耀湘）、《墨子拾補》（劉師培）等，題材品類較為單一，說明清代學人治墨的重點在於“文本重詁”；<sup>④</sup>由該書之〈民國墨子書目錄〉可見，及至民國，才開始有專事義理發明、文化比較或附會西學的墨學專書出現，如《儒墨之異同》（王桐齡）、《墨學分科》（張純一）、《墨子政治哲學》（陳顧遠）、《墨學十論》（陳柱）、《墨子哲學》（王治心）、《墨學源流》（方授楚）等，呈現出比清代學人更鮮明的“六經注我”的特色。<sup>⑤</sup>

然而，這一部分專書以西學分科如政治哲學、邏輯學、科學等來注解《墨子》的並不少，以宗教維度來詮釋《墨子》的則不多。學者論墨，凡涉墨家宗教思想的多在論著中居處不甚重要之地位。間或論及墨家的“宗教性”，亦屬偶一為之，缺乏系統性探討。由是學人的這部分論述，常被中國墨學發展史所遮蔽。並且視野只關注知識份子的論墨言說，未及於宗教徒以宗教之維討論《墨子》的成果。例如嚴靈峰先生就沒有將基督徒吳雷川的《墨翟與耶穌》、張純一的《墨學與景教》等宗教徒論墨著作目為墨學，納入《墨子知見書目》



當中。

## 二、辯“墨教”：墨家是否“神道設教”

近代中國知識份子，多“德賽二先生”之宗徒。他們認為普世諸宗教大多陷於落後腐朽愚昧專制的泥潭，與“科學與民主”的時代精神不符。流風所及，凡為宗教者皆“反動派”，不分東西，俱應批判。五四新文化運動及其餘緒明確提出“反帝反封建”的口號，除了繼承新文化運動“全盤性反傳統”的文化激進主義外，還兼反對被目為“帝國主義侵略中國之先鋒”的洋教代表——基督教。按照進步主義者的觀點，科學之昌明有賴對宗教之“去魅”，把個人從宗教的宰製中解放出來，彰顯自主精神與人文理性，乃人類歷史發展的必然進程，一如西方啟蒙運動之主張推倒神權政治，五四新文化運動之宣揚破除封建迷信。這一將“宗教”與人文理性科學置於“二元對立”之處境的思想觀念，催生了二十世紀上半葉中國社會一波波反宗教的思想浪潮。

有趣之處在於，在這樣一種“是今非古”“揚西抑中”的時代氛圍下，蒙塵千年一朝而斬的墨家絕學反得以乘時復興，蓋與其作為中國歷史上最早的“非儒”學派而具有的獨樹一幟的異端特質，及其學說中所包含的可資援引用來比附西方文明中之自由、民主、人權、科學、博愛等普世價值的思想資源有關。然此亦對時人評價墨學價值造成疑難，即墨學中“尊天事鬼”的宗教思想、墨子本人“卡裏斯瑪式”的權威人格、墨家建制組織肖似宗教團體的行事做派，難為彼時高揚科學理性、反對宗教迷信的“政治正確”所框架。例如胡適認為墨子雖為墨教的創教教主，但墨子學說的價值並不在宗教，而在於哲學方法論，所謂宗教只是為了實際上的應用；<sup>⑥</sup>梁啟超一方面承認墨家的宗教教義對先秦社會起到了革新的作用，一方面又認為“天志”有缺漏而“明鬼”無價值；<sup>⑦</sup>馮友蘭則提出，墨子對形上學根本沒有興趣，之所以設置宗教以為制裁，乃為補充兼愛主義之不足，“其意亦只欲設此制裁，使人交相愛而已”。<sup>⑧</sup>在此一“政治正確”之下，若欲肯認墨家的宗教價值，則學人一般傾向以“神道設教”而言之，其題中之意，即以墨子及其學派只不過虛設一宗教來申說自家主見，並不虔信宗教，而是利用宗教。

胡、梁、馮之論，並非只是“一家之言”。以“神道設教”來描述墨子墨家對待宗教的態度，實為近代墨學復興思潮的主流。<sup>⑨</sup>及至當代，仍有不少學人秉承類似觀點。然則這種詮釋墨學的進路，未必見得在解經上做到圓滿自洽。欲以實用主義的“神道設教”來調和所謂墨學中存在的“科學理性”和“宗教迷信”的矛盾，往往容易造成對墨學整全性的人為割裂，從而忽視墨家學說的豐富意涵以及墨學諸論之間的內在張力。因為此一“曲筆回護”，其背後的思想預設，仍是判定宗教為不可取的“糟粕”，乃須進行修正甚至給予拒斥的。試想以一“未曾虔信”之態度對待上天鬼神等超越性事物，則其所謂宗教情感當為可疑，宗教認信必然淡漠、宗教委身必然遊移，“信”與“不信”之間，已然不存在太大區別了。循此邏輯繼續推演下去，則墨家的宗教信仰強度近乎等於無有，既而得出墨子並非宗教家、墨家並非宗教團體、“宗教三論”只是墨家其他主義之枝葉而非核心的結論，也是自然之事了。例如徐復觀先生就認為，墨子及其門徒從未以神自居或以神在人間的代言自詡。其言論行動完全立足於具體的經驗事實之上，缺乏尋常宗教的神秘主義色彩。且理論主張也不是來源於任何“天啟”或神的言語，而是來自《詩》《書》之教、先王之道。<sup>⑩</sup>他提出，墨子著眼於現實關懷的實用主義，與宗教家著眼於終極關懷的超越主義不能相容，“凡宗教總帶有某種超越現實的意味。並常想把現實中的問題，拿到超現實中去解決。但墨子則徹底是現實的。忽視人類精神的要求。一切問題，都要在現實生活利益中去求解決”，是故墨子不屬一般意義上的宗教家。<sup>⑪</sup>

當然，並非所有論墨者皆贊同墨家對待宗教之態度是實用主義的“神道設教”。例如在民國墨學復興思潮中，就有致力於“耶墨對話”的中國基督徒，以宗教徒的立場正面肯定墨家的宗教價值，主張墨子確為一篤信宗教的真信仰者，墨家確為一相仿於基督教的宗教組織，墨學中所包含的諸多宗教性言說確實具備宗教律法、宗教教義的性質。他們傾向認為，正因墨家具有中國傳統文化中其他思想學派所欠缺的宗教元素，才



可堪與基督教等普世諸宗教文明相提並論，此實質上即反對了墨家立教乃“虛設”“利用”的觀念。<sup>⑫</sup>除此之外，尚有教會外學者如郭沫若亦持墨子為宗教家、墨家為宗教的看法，反對墨家為“神道設教”。他曾言：“推崇墨子的人也很知道墨子思想的這一個大弱點，便盡力地替他掩飾，以為他是在神道設教。然而神道設教乃是儒家的辦法，在這是不好張冠李戴的，墨子也不願領這一番盛情”。<sup>⑬</sup>與從事“耶墨對話”工作的中國基督徒不同，郭沫若對“墨家為宗教”這一點，是持批判、否定的態度。他認為，墨子不厭其煩地駁斥“執無鬼者”以證明鬼神存在，足見他對宗教的誠意，然正因為此，顯示出墨子在思想認識上的非理性。<sup>⑭</sup>

郭沫若提出三重論據，來證明以“神道設教”為墨家辯護之不能成立。其一，《墨經》中記載的邏輯學物理學等內容，不過是一些古已有之的、粗糙淺顯的日常生活常識，“科學知識自科學知識，宗教思想自宗教思想”，二者不可混同。故以“科學的宗教”而言墨家，不能成立；<sup>⑮</sup>其二，〈明鬼〉篇中記載墨子以鬼神誠若無有猶可祭祀以合歡聚眾之言語，不代表墨家主張沒有鬼神，而是“加強了尊天明鬼有兩倍好”。<sup>⑯</sup>故不能說它是墨子和論敵辯論時所採用的推援術；其三，墨子並非為底層利益代言，其學說主張面對的對象始終是王公大人。<sup>⑰</sup>宗教信仰適足以作為貴族階級壓迫勞動人民的維穩機器，故虛設宗教並無必要，“所以宗教，結果是事奉統治者的東西，要說墨子是存心利用，我看那倒是有點冤枉墨子了”。<sup>⑱</sup>

### 三、墨家之為“教”——究竟是“人文教”還是“神文教”

墨家的現實主義關懷、科學理性精神，與其帶有濃厚宗教色彩的天鬼信仰之間能否彼此相容，為上述學人觀點分歧之所在，核心旨在探討墨家的宗教信仰強度。近人論墨，多持“科學理性——宗教迷信”的二分觀點來看待“墨家之謂教”的問題——前者進步，符合歷史發展潮流。後者落後，應為時代進程所淘汰。欲肯定前者就要否定後者，欲承認後者就意味著廢棄前者。無論是主張墨子為宗教家、墨家為宗教的學人，還是取相反意見者，都不能不為此“二元對立”之思想路徑所籠罩。然學人是從自身對宗教之好惡為出發點來作出評判，其論多帶有個人情感和主觀預設的因素。此一基於先入為主之前見所描繪的“墨家之謂教”的信仰認知圖景，與歷史上真實的墨子墨家墨學之間有多大距離，則未可知了。即謂是對墨子墨家懷抱同情理解之態度者，如胡適、梁啟超等人，亦不得不“二分”整個墨家言說傳統，以前期墨家（墨子時代）主張尊天事鬼的宗教迷信、至後期墨家（《墨經》時代）則已轉向科學理性思辨，以此調和所謂的存在於墨學中的“科學”與“宗教”二者之間的矛盾。已故墨學家詹劍峰先生有一判語，指出了這種以外在標準衡量墨學價值的危險性：<sup>⑲</sup>

不幸這種胡說竟流行於學術界而成為定論，因而尊墨子者把他捧上天，和釋伽牟尼、耶穌基督並列為大聖了，而貶墨子者則把他打入地獄，說墨子是個宗教家，自然就是一個反動派，即是宗教家又是反動派，自然就不科學不民主了。但是，墨子並不是宗教家，尊之者是錯誤的，貶之者也是無的放矢。

詹先生此言，乃是就民國墨學復興中，主張以墨家為宗教、墨子為宗教家的胡適等人的觀點而發。<sup>⑳</sup>然於今觀之，詹先生所論針對的對象，似有錯置之嫌。胡適等人，乃以應用主義“神道設教”之思路來解釋墨家對於宗教的態度，如前文所述，其所描繪的墨家的信仰認知圖景，名曰“虔信”實為“利用”。是故，胡適等人之論與詹先生之論，本質上並無差異。胡適先生乃是劃出“為宗教的墨家”和“為科學的墨家”這兩端，並以後者成就高於前者；詹先生則是完全否定墨子墨家具有任何宗教傾向和宗教形態。兩者同為高舉墨學的“科學性”，貶低墨學的“宗教性”。由是觀之，倒是從事“耶墨對話”工作的中國基督徒和郭沫若先生之論，可能還更符合詹先生的批判所指。

可見，之所以學人對墨子信仰強度和墨家宗教形態之審定會產生分歧，蓋在他們的意識前見中，存在有兩個不同的“墨教”。一個是科學理性的“人文墨教”，一個是宗教迷信的“神文墨教”。在科學昌明之時代，





如欲發揚墨學的進步性，就須排斥、遮蔽或者淡化被他們目為“落後”的宗教面向。因著此類主觀預設，學人理解墨子墨家，不免認知出現偏離。其中含混之處，筆者以為，即在墨子是否創造了一個新的人文傳統或神文傳統。

筆者的看法是這樣的：依“本、原、用”的“三表法”原則而建立的墨家學說，是一套基於“復古”的價值追溯系統，尤其強調天鬼信仰的歷史合法性源自先王之書、聖王之事、百姓耳目之實，此皆“古已有之”“行循已久”之事，並非墨子及其門徒的創造發明。“宗教三論”批判了時人的“宗教冷感”（不尊天、不事鬼）和“信仰謬誤”（迷信宿命），更可見其“是古非今”之意。《墨子》書中有涉“天”“鬼”“神”“命”等宗教觀念的原型，沒有脫離三代以下的歷史遺傳，墨家與論敵圍繞這些觀念所展開的辯論，實為“解釋權”之爭，而非對“原型”本身的棄絕或否定。故而墨家“節用尚儉”的禮儀論述，如喪葬觀、祭祀觀、禮樂觀等，不可謂是對古禮的修正主義式改革。<sup>①</sup>總而言之，墨子及其門徒，本身並無強烈的創制立法的創新意願，亦無更改古禮以為己用的修正主義思想傾向；凡涉宗教之建言立說和社會實踐，亦未曾突破三代以下承傳已久的宗教觀念和宗教禮儀所規定的限界。其神明系統、宗教語詞、信仰方式，均非“原創”，不可謂為原生性的創始宗教，只是依循商周以來固有的神文傳統。有“祖述”而無“創造”，墨家宗教言說傳統當接近一種“述而不作”的“原教旨主義”。故曰“墨子是一個創教的教主”，<sup>②</sup>確有不妥之處。

以墨家不成“宗教”或者不信“宗教”，這方面的觀點，較多見於學人有關墨家為“神道設教”“利用宗教”的論述當中。然觀《墨子》書，實可見墨子本人對上天鬼信仰的高度委身、墨家學派所內蘊的濃厚宗教情懷以及墨家門徒行事為人鮮明的宗教徒風範，故強以墨家不具“神文”性質，惟存“人文”之思，似又有不周延之處。或曰墨家設立宗教制裁以為政治制裁，上天鬼神施行賞罰亦須假手於人，故當為“人文教”而非“神文教”，此又忽略了墨家對殷商西周以來上天鬼神之觀念的繼承，以及對春秋以來神的地位下降、人的地位上升的人本思潮的反動。<sup>③</sup>類如“天命文王”“順帝之則”等神人關係表述，不惟見於《墨子》書，亦見於在其以前的古典文獻，墨家只是延承，未有創新；又或有以人文主義來詮釋墨學之學者，視墨家“強力非命”與“尊天事鬼”正相反對，謂之為墨家思想主張內部的邏輯不自洽，以及墨家人文主義與宗教神學不能調和的證據。此又割裂墨學十論義理之整全，未審墨家“非命”乃成全天鬼信仰之要義也。至於說前期墨家未脫宗教影響而為一“迷信的宗教”，後期墨家則轉向理性思辨而成一“科學的學派”，筆者亦認為不能成立。秉此觀點者，多以《墨經》六篇（〈大取〉〈小取〉〈經上〉〈經下〉〈經說上〉〈經說下〉）關乎物理、邏輯、數學等知識，全然無涉上天鬼神魂靈等宗教言談為依據，指稱至後墨時代墨家已不信仰宗教。然《墨經》之作者和成書年代，於今猶未定論；且《墨經》中非全然不涉宗教言談，其中以天鬼神魂靈設喻說明十論義理者亦有之，只不過用以作為“墨論”中其他概念的引申說明。就《墨子》書的編撰體例而言，《墨經》為一具有索引性質的、用以詮釋“墨論”中類如“兼愛”“交利”“非攻”等關鍵概念之辭書字典。故以後期墨家推翻前期墨家之宗教認信系統，然後另開一個所謂“科學”的“人文教”傳統的說法，理據尚不足夠。由是筆者認為，墨家既非外表包裝以“神文”色彩、內裏行使人文主義事蹟的“人文教”（神道設教、利用宗教），亦非在學派內部分出“人文教”（後期墨家）“神文教”（前期墨家）兩個互相排斥的文化傳統。

當然，墨家非“創始宗教”，不代表墨家不成一“宗教”。就如同我們不會以耶穌基督之另立“新約”、馬丁路德之背離公教，而謂早期使徒教會、基督新教不是神文的“宗教”。墨家的“神文教”特質，在思想觀念上體現為忠實於殷商以來的宗教信仰歷史遺傳，而其信仰中心、神論模式、權威中心、建制組織等方面有何具體呈現，則仍待學者從各自專長介入研究。

#### 四、由“宗教思想”而至“宗教”：墨學“宗教性”闡發的可能

一般而言，有具體落地的建制組織、有經典文本或口頭傳述的教義思想、有固定認信群體的信仰共同體，即為“宗教”。“宗教”又分自創教之初延及當代的“活的宗教”和在歷史流轉中已經斷絕、於今已無承傳



的“死的宗教”。其或有大宗小宗之分別，然究未曾溢出此範圍。所謂“活的宗教”，即如現時大陸民族宗教事務局所法定的在當下社會仍有廣泛群眾基礎的“六大宗教”：基督教、天主教、伊斯蘭教、佛教、道教、民間信仰。所謂“死的宗教”，即如原始薩滿信仰、希臘秘教、苯教、景教、摩尼教等形態不可考、經典有缺失、幾無信眾皈依的已淪為歷史陳跡的宗教。除此之外，尚有一類被近代以來某些學者稱為具備某種體制色彩的“准宗教”“亞宗教”，或具備某種人文性質的“文教”。此一類型的典範代表即“儒教”（或曰孔教）。由此即產生了所謂“儒家是不是宗教”或曰“儒家之謂教”的探討。

“墨家之謂教”亦然。它也同樣是近代以來才生髮出來的新問題。近代以前，從來沒有人把“墨家到底是不是一種宗教”目為一個需要進行討論的問題，一如近代以前從來沒有人認為“儒家到底是不是一種宗教”（儒家之謂教）是一個值得嚴肅對待、甚至可能關乎“保國保種保教”的大問題——若以今人的眼光回溯歷史，則更能清楚的認識到，產生這個問題的思想根源以及圍繞這個所產生的種種討論，其實就是近代以來中國知識份子為應對西力衝擊，在文化上所採取的被動式回應。某種程度上來說，人們討論“墨家之謂教”或是“儒家之謂教”，均在追問同一個問題：除了自域外傳入的佛教以及吸收佛教資源而後完成創教的成本土宗教道教（這其中亦包括諸般被稱為“小傳統”的民間信仰）以外，長期以來被人們目為思想學派的儒家墨家，是否同普世諸宗教一樣，具備被稱為宗教的要素。在這個過程中，自有種種從建制形態、思想精神等角度出發進行的分析，不過由於儒家墨家確實缺乏那種類如普世諸宗教文明的典範樣式，故而無論是以普世諸宗教的標準來衡量儒墨、或是從事相關文化比較文明對話工作、或是援西學（西教）資源來重新建構一個“儒教”“墨教”，終難脫水土不服之境地——因此問題並非由中國傳統文化本身“自生”的，而是來自域外的一種“問題殖民”或“問題嫁接”（西方人類學學者一般傾向使用 *Acculturation* 或 *Acculturation Model*，即“文化適應模式”或“文化移入模式”來描述）。相較而言，“儒教”在中國歷史上具有相對豐富的歷史文化資源可引以為考察，縱是有所“比附”或“現代性詮釋”，尚存相當大的作為空間；而“墨教”自漢代以後，即一朝而斬，再無傳承，故而圍繞“墨家之謂教”的種種討論，比之“儒家之謂教”，就更容易出現處境錯置、強作申說的情況了。

何以言之呢？首先，英文語境中之“宗教”一詞（*Religion*）本源自古拉丁文的 *Religio*。在希羅時代（古希臘—古羅馬），人們已有了種種表達對神明的信仰崇拜的思想活動與實踐活動，與這些活動相關聯的禁忌戒律和責任義務以及由之形成的意識形態和社會共同體，即今所謂“宗教”的雛形，不過彼時尚未形成現今特定所指的種種宗教概念。當今學術論域中所討論的“宗教”，其內涵與外延已經得到極大擴展，舉凡宗教思想、宗教儀式、宗教功能等皆在“宗教研究”的範圍之內，討論之對象則涉及原始神靈崇拜、近代庶民宗教以及新興宗教團體等。對宗教之門類進行劃分，有兩種可取路徑：一為普世性宗教，一為地域性宗教。前者之代表有亞伯拉罕諸系宗教（猶太教、基督教、伊斯蘭教）和佛教；後者之代表為宗教影響延及的範圍鮮明地域特徵、宗教信徒為特定地域人群的本土宗教，如印度教、道教和漢傳佛教。

而在中文語境下，長期以來，“宗”與“教”並不作為同一事物而連綴使用。古代中國辭書字典之集成之作——東漢許慎所著的《說文解字》，乃是釋“宗”為“宗，尊祖廟也”，釋“教”為“教，上所施，下所效也”。“宗”者重在事神敬祖、慎終追遠，“教”者重在申庠序之教、贊人文化育，這種解釋一直為古人理解所謂“宗教”的共識通則。及至西元 10 世紀，方有佛教經典《續傳燈錄》首以“宗”“教”二字相連用，其曰“吾住山久，無補宗教，敢以院事累君”，“宗教”在此不過是指禮敬佛門及佛陀和其弟子的教誨，定義相對偏狹，距今所稱廣義上的“宗教”亦遠矣。由此可見，實際上現今人們討論的諸般中國“宗教”的理念原型，從來不是來自“古已有之”的自有的本土資源，而是來自域外的“舶來品”式的觀念輸入。

雖然如此，並不意味著“墨家之謂教”的討論不具備任何思想意義。因為凡為宗教者必然具有相應的“宗教性”，而具有“宗教性”的團體則未必全然為宗教（此處所言的“宗教性”主要是指宗教思想）。由於一切有組織有制度的物質宗教皆從無形式的精神思想而來，所以宗教思想不必有組織有制度，而人類一切生產生活中所表現出的崇拜、信仰與神秘思想卻都在其範圍之內。雖不必人人都有宗教信仰，卻不能說人人

都沒有宗教思想。即便是極端唯物主義者所持守的無神論,也可以算是歸屬無神論信仰的一種特殊的宗教思想表現形式。有形有體的宗教,可能為某一人群所獨佔;無形無體的宗教思想,則不必為某一特定人群所專有。因著宗教思想的這種“普世性”,我們研究非典型性質(非普世諸宗教之典範樣式)的“儒教”“墨教”,也就具有了精神思想上的依歸,同時得以在研究視域上進行拓展。<sup>④</sup>循此思路,由墨家的宗教思想出發,注目於墨家的“宗教性”,進而探析墨教的宗教樣式,就不再是一種無的放矢的“思想實驗”——即如王治心先生所言的,在中國傳統文化當中,古代庶物崇拜、祖先崇拜以及一切命運禍福的信仰,雖然沒有典範性的、流行性的宗教樣式,卻有普遍的、無論哪一種民族哪一種文明都具有的宗教思想,它們均是一種宗教思想的自然表現。<sup>⑤</sup>這其中,當然也包括“儒教”“墨教”了。

此外我們亦當承認,宗教思想之共同體一般亦具相應的宗教形態,思想對應活著的文本,形態對應活著的傳統。“活文本”(傳承不絕之儒家學問)和“活傳統”(累世相繼之文教系統)相得益彰之典型,即為“儒教”。故而對儒家之宗教形態,可據“歷時—共時”之縱向橫向兩個時間維度,來進行長時間段的考察。通過考察所得之儒家宗教形態,幾可還原其原貌。這是空餘“死文本”(《墨子》53篇)而無“活傳統”(墨學中絕)之墨家遠遠達不到的。

對於墨家的宗教思想(如“尊天”“事鬼”),我們尚且有墨家與其他諸子共同分享的“公共文本”(如《詩經》、《尚書》等)可資參照和比對。墨家諸宗教理念之“原型”,即來源於此;至於墨家具體的、落地的、建制成型的宗教形態之確切記錄,則於史無征,加之傳承中衰、組織斷絕,實難查考。當然,我們仍可根據現有相關墨家的歷史材料(傳世文獻以及部分出土文獻)來探測墨家作為精神共同體和知識共同體之內部運作和對外行事的大概,當然,在現有研究的基礎上,我們亦不能說是已經能下一“鐵判”的。

## 結語

清末民初以來,隨著“西風東漸”,儒學權威不再,墨學逢時復興。國人皆以墨學足以救當世之弊,欲起墨子精神於九泉之下焉。不過時人論墨,除繼承傳統訓詁校正考釋新譯等舊墨學理路外,多聚焦墨學中可與西學之自由、民主、人權、科學等價值相比附的思想資源,<sup>⑥</sup>使得此一階段的墨研成果,對墨學“宗教向度”之探討相對缺乏。究其原因在於,歷史上的墨家,不似佛耶回等建制性宗教,有延承至今的信仰譜系和教團生活可資考證和分析;且近代以來昌明科學反對迷信為思想界主流,標舉墨家為宗教或具有“宗教性”可謂“政治不正確”。故偶有一二學者論及“墨家之謂教”,大體而言還是停留在墨家與其他宗教在淺層教義和表面現象的粗疏比附上;或強為墨家塗抹一層“進步”色彩,簡單謂之為“神道設教”或“利用宗教”。此皆使得相關議題之探討無法取得更加深入的進展。

所謂“墨教”究竟實成型而具有宗教性的“准宗教”、承擔制裁和教化功能的工具性政教(類儒教)還是亞伯拉罕諸教體系的天啟宗教(類基督教),總之猶未有一定論。未有定論之原因極明,蓋學人考論“墨教”,僅能據極其有限之文獻資料(如《墨子》書所載墨家“尊天事鬼”之宗教思想)來進行推測,然對“墨教”本身尚難給予明確定義,以致於論述要麼拘守文本辨析,不及宗教向度的探討;要麼脫離墨學原意,過分發揮,流於荒誕。

由於文獻史料之不足征以及墨家建制組織之斷絕,歷史上真實的墨子墨家墨學實際上已不可得,故後人為墨子墨家墨學所造之像,大抵都有想像的成分。想像與事實之間的距離幾何,取決於可資推測的材料和用於推測的方法。近人好以西學西教比附墨學,背後有“重新發明傳統”的意識形態衝動。其論固有所失,然則確實指示出以宗教之維介入墨學研究的可能性。其致思路徑之限度值得我們注意,其致思方法之創新值得我們重視。縱觀墨學發展史,近代墨研學人率先以“墨教”來理解墨子墨家墨學,並拓展墨學研究在文明對話領域之視野,實有開創之功,今人不能掠美。



**注釋：**

- ① 黃克武：〈梁啟超的學術思想：以墨子學為中心之分析〉，《近代史研究所集刊》1996年第26期，頁52。
- ② “西學墨源說”為“西學中源說”之一支。即所謂西方之思想與科技，源頭在中國的墨學。“耶教墨源說”又為“西學中源說”中一支，即謂基督教之源頭在中國的墨家。相關研究，見張永春：《黃遵憲與晚清“西學墨源論”》，《江漢論壇》2009年7期，頁76—78。“耶教墨源說”相關研究，見王繼學：《論晚清中國士人的基督教源於墨學說》，《宗教學研究》2011年2期，頁172—175。
- ③ 陳寅恪：《馮友蘭〈中國哲學史〉審查報告》，見《陳寅恪集》（上海：三聯書店2001年版），頁258。
- ④ 嚴靈峰編著：《墨子知見書目》，臺灣學生書局1969年版，頁16—35。筆者此處所言“文本重詁”乃指清代墨學研究的核心關注點在對《墨子》文本的重新整理和重新訓詁。《墨子》書素號難治，特別是其中有關墨辨邏輯學、物理學、兵法等篇章的諸多字詞語匯，由於時代的懸隔，顯得古奧難懂。有清一代，學界興起對子書的考證之風，學人借疏通《墨子》字句以還原墨學原意，為其學術趣味所致，亦顯示了“漢學”理路在彼時的影響。
- ⑤ 嚴靈峰編著：《墨子知見書目》，臺灣學生書局1969年版，頁136—172。
- ⑥ 胡適：《中國哲學史大綱》，中國城市出版社2012年版，頁112、114—115。
- ⑦ 梁啟超：《墨子學說》，中華書局1936年版，頁45、50—51。
- ⑧ 馮友蘭：《中國哲學史》（上），重慶出版社2012年版，頁86。
- ⑨ 即便是為此“政治正確”所框架之論墨者，亦多以墨家為神道設教、利用宗教。例如章太炎曾言：“墨子之學，主於兼愛、尚同，欲萬民生活皆善，故以節用為第一法。節用則家給人足，然後可成其兼愛之事實，以節用故反對厚葬，排斥音樂。然人由儉入奢易，由奢入儉難。莊子曰：以裘褐為衣，以履蹻為服，墨子雖能獨任，奈天下何？墨子亦知其然，故用宗教迷信之言誘人，使人樂從，凡人能迷信，即處苦而甘。苦行頭陀，不憚赤腳露頂，正以其心中有佛耳”。見章太炎：《國學講演錄》，華東師範大學出版社1995年版，頁219。
- ⑩ 徐復觀：《中國人性論史（先秦篇）》，三聯書店2001年版，頁282。
- ⑪ 同上，頁282。
- ⑫ 此一部分內容在本文第五章中進行集中申說，此不贅述。
- ⑬ 郭沫若：《青銅時代》，科學出版社1960年版，頁159。
- ⑭ 郭沫若：《十批判書》，東方出版社1996年版，頁111。
- ⑮ 郭沫若：《青銅時代》，頁159。
- ⑯ 郭沫若：《十批判書》，頁111。
- ⑰ 同上，頁108、124。
- ⑱ 同上，頁111。
- ⑲ 詹劍峰：《墨子及墨家研究》，華中師範大學出版社2007年版，頁219。
- ⑳ 詹先生所言之“胡說”即指胡適在《中國哲學史大綱》中的觀點。詹先生言到：“說墨子是宗教家，誠然不是自胡適始。但自胡適在他的《中國哲學史大綱》中發表他的謬論，胡說墨學是一種宗教，墨子是一個創教的教主，墨家的後人於宗教墨學之外，另分出一派科學的墨學，這完全是主觀主義的假設。據之以推，墨子既然是一個教主，自然是宗教家，而非科學家了，《墨經》——中國古代的科學著作，自然不是墨子自著的，而是惠施、公孫龍著的。惠施、公孫龍也就成為科學的墨學了”。見詹劍峰：《墨子及墨家研究》，華中師範大學出版社2007年版，頁218—219。
- ㉑ 墨家對古禮之取向，類如基督教對猶太教律法的取向。在基督教言說傳統中，耶穌固然批評文士和律法師，然亦強調須謹守摩西律法。在《聖經·新約·馬太福音》第五章十七節中，耶穌曾有講論，“莫想我來是要廢掉律法和先知；我來不是要廢掉，乃是要成全”；在《聖經·新約·馬太福音》第二十三章第二至三節中，他又教導眾人和門徒，“文士和法利賽人坐在摩西的位上，凡他們所吩咐你們的，你們都要謹守遵行；但不要效法他們的行為，因為他們能說不能行”。概言之，古禮和律法，並沒有問題，不需要改易。問題出在後人對古禮和律法的理解出現問題。故而墨家和基督教主張回歸到正確的古禮和正確的律法，則往往容易被後人或反對派別、論敵目為“創新”或者“創教”。
- ㉒ 胡適：《中國哲學史大綱》，中國城市出版社2012年版，頁110。
- ㉓ 顏炳罡、彭戰果著：《孔墨哲學之比較研究》，人民出版社2012年版，頁187。
- ㉔ 以儒家的“宗教性”問題為例。一如杜維明先生所言的，儒家未必可以在所有方面一一合轍於普世諸宗教的典範形

式,然儒學或曰儒家思想中內蘊的“極高明而道中庸”的人文精神,完全足以在比較文明的格局中,通過聖賢人格、信賴社群、道德形上學這三個方面來顯現其雖入世卻嚮往天道的宗教性維度。換言之,儒家未必就是“宗教”,但可以或可能是“宗教的”;儒學未必體現為一種宗教教義,但儒學完全可以是一種“宗教性”的思想。在此前提基礎下,研究儒家的“宗教性”,亦可以算是研究“儒家之謂教”了,只不過此種範式的研究,乃是更注重從宗教思想和宗教精神上進行闡發。參[美]杜維明著、段德智譯、林同奇譯:《論儒學的宗教性》,武漢大學出版社 1999 年版,頁 10。

②⑤ 王治心:《中國宗教思想史大綱》,東方出版社 1996 年版,頁 2。

②⑥ 此類比附猶多見於民國墨研學人的論著當中。例如陳顧遠先生認為《墨子》中包含國際法和政府組織原則,張純一先生則以墨家主張民約論、選舉制,甚至主張虛君共和制度,此皆不免有處境錯置之嫌。且以近現代才有的政治哲學來描述去今久遠的墨子墨家墨學,往往容易造成概念上的濫用和誤用,反使墨學原義不彰。參張純一:《墨學分科》(民國十二年排印本),頁 37、38、43;陳顧遠:《墨子政治哲學》,泰東圖書局,1934 年版,頁 49。

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# A Study on the Perceived Value of Social Network Service Users Based on Web Text Analysis: Taking renren.com as an Example

LI Shidong LI Li

Jeonju University, South Korea; Jinzhong University, China

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**Abstract:** As an important milestone in the development of the Internet, social networking services (SNS) have played a role in promoting personal-centered Internet communication. However, with the rise of public websites and online vloggers, the information received by users is dominated by key opinion leaders (KOL), and it is difficult to get fresh information services based on personal trust. Therefore, it is necessary to study users' demand for SNS and analyze the problems in the development of traditional SNS websites. This paper takes renren.com as an example and uses ROST Content Mining 6 software of Wuhan University to conduct high-frequency feature word analysis, semantic network analysis and emotional tendency analysis on the proposed content of renren.com released by customers. The purpose is to sort out users' concerns about SNS websites, construct a value dimension model of social network service users' perceptions, explore the problems in the operation and development of SNS websites, and analyze the problems in the operation and development of SNS websites. Some suggestions for SNS website service optimization and innovative business development are purposed.

**Keywords:** user perceived value; social networking service; renren.com; web text analysis

**Notes on the contributor:** LI Shidong is a Ph D candidate of Jeonju University, South Korea. He is currently a lecturer in Jinzhong University with academic interest in marketing. LI Li is currently a lecturer in Jinzhong University with academic interest in literature and translation.



# 基於網絡文本分析的社交網絡服務(SNS) 用戶感知價值研究

——以人人網為例

李世洞 李麗

全州大學 晉中學院

**摘要:**社交網絡服務(SNS)作為互聯網發展的重要里程碑,對以個人為中心的互聯網傳起到推動作用。然而伴隨著公眾號和網絡大V的崛起,用戶接收到的信息被意見領袖(KOL)主導,難以得到基於個人信任的新鮮信息服務。因此有必要研究用戶對SNS的需求,分析傳統SNS網站發展存在的問題。本文以人人網為例,利用武漢大學ROST Content Mining 6軟件對客戶發布的人人網發展建議內容進行高頻特征詞分析、語義網絡分析和情感傾向分析,梳理用戶對SNS網站的關注點,構建社交網絡服務用戶感知價值維度模型,探析SNS網站經營發展中存在的問題,並對SNS網站服務優化及創新經營發展提出針對性建議。

**關鍵詞:**用戶感知價值;社交網絡服務(SNS);人人網;網絡文本分析

SNS是社交網絡服務的簡稱。SNS網站的產生不僅豐富了網絡應用內容,同時也產生了互聯網溝通的新模式,進一步實現了便捷的信息共享,體現了“人人都是把關人,人人都可以自主控制信息流動”的權利(鄧向陽,2006)。2003年Facebook成立,經過短短幾年的發展,到2020年已服務30億用戶,2020年末更是直接影響了美國大選乃至世界政治和經濟。國內的SNS網站與Facebook的運營模式類似,2005年創建的人人網(校內網)一度號稱中國的Facebook,2013年註冊用戶到達2.8億。月活躍用戶1.4億,帶地理信息的原創內容日均170萬條,市值高達94億美元,但用戶基數遠少於Facebook和國內BATD等巨頭且缺少首創性和有特色的服務,導致伴隨微信、微博、頭條等非傳統社交應用的流行,傳統社交網站用戶大量流失。到2018年人人網僅以2000萬美元和價值4000萬美元的股票被轉售,網站運營舉步維艱(龐書緯,2019)。如何根據中國的特殊國情、用戶的特別需求進行網站的運營,將是國內SNS網站的一項非常大的挑戰。

本文從用戶視角出發,以人人網為例,對用戶在網站中發布的建議進行內容分析,著力構建社交網絡服務用戶感知價值建議體系。這不僅有利於SNS網站去更好的服務廣大的用戶,使得它發揮其最大的價值,同時也能促進國內互聯網的健康發展,並為其尋求未來的發展方向。

## 一、相關研究進展

關於傳統SNS門戶網站經營發展的研究主要集中於2012年前後,其中徐世傑(2012)、於艷新(2013)、趙博(2010)、楊子武(2011)等基於六度分割理論和技術接受模型,建立了社交網絡服務(SNS)網站質量建議、客戶感知體系,分析社交網絡服務(SNS)發展遭遇困局。濮劭澤(2015)、龐開磊(2012)、張濤(2011)從校園市場和用戶動機分析了如何把握住市場。殷崑(2011)使用問卷調查的方法驗證了社交網站的使用動機和使用行為之間存在正相關關係。她主要把將動機分為:信息與工具動機、娛樂和審美動機、社交動機、利他動機、歸屬感與認同感、內在化六個方面。宣恒(2013)通過移動客戶端,深入有效地挖掘目標用戶的需



求,文章提出了用戶需求引導移動社交型 App 的交互設計方法和流程。張文婷(2012)指出了微博盛行的背景之下,人人網所處的不利地位及其應變之道。趙博(2010)、何娜(2011)對社交網絡網站發展歷史、功能,競爭狀況以及收入模式進行分析,並得出的社交網站普遍性商業模式。陳琰(2013)、潘保琦(2013)、徐世傑(2012)、楊子武(2011)還從客戶端和網站建設,對社交網站的用戶需求差異性進行研究。左友好(2011)、江誌強(2009)對 SNS 網站的廣告價值及其開發經營策略進行了較為深入的研究。鄧新成、劉敏雯(2014)從產品定位和新業務發展方面指出社交網絡服務發展的問題。馬亞麗(2013)分析了騰訊社交產品的自我競爭戰略,並提出從基於移動化到基於本地化再到實社交轉化的社交網絡發展預期。但這些大多數是研究 SNS 網站對於信息傳播、用戶行為和 SNS 營銷及盈利的研究,對於網站的經營,尤其是在有用戶需求的情況下,對網站月活用戶數大幅下降的原因和背後用戶感知的相關研究較少。因此有必要以客戶需求和感知對 SNS 網站進行研究。

綜上,以代表性的社交網站為例,對使用者發布的在線點評文本進行分析,探究新老用戶的社交網絡使用體驗和感知價值,相對於傳統的研究方法更為客觀準確,豐富了使用者行為學的理論,拓寬了社交網絡發展及在線建議的研究範疇。

## 二、研究設計

### (一) 樣本選取

而作為中國曾經第一大社交網站人人網,2018 年 8 月其 CEO 陳一舟先生在發起的“人人網的明天由你定-產品建議大征集”活動。該活動以在校大學生為主要用戶的發言匯集了眾多對社交網絡發展有益的建議。這些意見是對於 SNS 用戶感知最有效的反饋,因此,本研究以活動收集到的意見作為數據來源。為保證樣本真實有效,特根據以下原則對點評文本進行篩選處理:(1) 抓取全部回復建議;(2) 剔除總字數低於 20 字的回復;(3) 剔除重複建議。最後得到 288 條共 29321 字的建議文本。

### (二) 樣本預處理

在內容分析前,對上述建議文本進行預處理:刪除網絡符,對相似文本進行同義轉換,如統一名稱等。再將文本轉存為 TXT 文本,用於下一步分析。

## 三、研究結果分析

### (一) 高頻詞分析

運用 ROST Content Mining 6 軟件進行分詞。在修改了軟件的自定義詞表及過濾詞表,補充了“微信”,“老用戶”等 56 個重要詞匯之後,對文本進行分詞,共輸出了 300 個頻次高於 43 的特征詞。剔除“根本”等虛詞以及與本研究關聯度較小的詞,並對相似、同義詞合併,最終得到 148 個社交網絡服務(SNS)發展建議高頻詞(見表 1)

表 1 社交網絡服務(SNS)發展建議高頻詞表

| 高頻詞 | 頻數  | 高頻詞 | 頻數 | 高頻詞 | 頻數 | 高頻詞 | 頻數 |
|-----|-----|-----|----|-----|----|-----|----|
| 人人  | 206 | 地方  | 47 | 流量  | 41 | 連續  | 38 |
| 人人網 | 172 | 好友  | 47 | 短視頻 | 41 | 明星  | 38 |



续表

| 高頻詞 | 頻數  | 高頻詞 | 頻數 | 高頻詞 | 頻數 | 高頻詞 | 頻數 |
|-----|-----|-----|----|-----|----|-----|----|
| 社交  | 162 | 吸引  | 47 | 互聯網 | 41 | 組織  | 38 |
| 功能  | 140 | 登陸  | 46 | 業務  | 41 | 體驗  | 38 |
| 直播  | 139 | 認識  | 46 | 客戶端 | 41 | 開發  | 38 |
| 微信  | 110 | 運營  | 46 | 人們  | 40 | 成功  | 38 |
| 平臺  | 95  | 重新  | 46 | 需求  | 40 | 願意  | 38 |
| 學生  | 78  | 圖片  | 46 | 中國  | 40 | 軟件  | 38 |
| 校園  | 76  | 校友  | 46 | 特點  | 40 | 過去  | 38 |
| 校內  | 72  | 頁面  | 46 | 服務  | 40 | 宣傳  | 38 |
| 同學  | 68  | 增加  | 45 | 樣子  | 40 | 新鮮  | 38 |
| 微博  | 68  | 知乎  | 45 | 社會  | 40 | 意義  | 38 |
| 校內網 | 67  | 當初  | 45 | 首頁  | 40 | 小組  | 38 |
| 大學  | 61  | 小程序 | 45 | 社團  | 40 | 移動端 | 38 |
| 群體  | 61  | 時代  | 44 | 那樣  | 40 | 互動  | 38 |
| 回歸  | 60  | 交流  | 44 | 簡單  | 39 | 記得  | 38 |
| 建議  | 60  | 最好  | 44 | 放棄  | 39 | 阿裏  | 37 |
| 老用戶 | 56  | 朋友圈 | 43 | 使用  | 39 | 改變  | 37 |
| 定位  | 56  | 聯系  | 43 | 問題  | 39 | 形式  | 37 |
| 畢業  | 55  | 方便  | 43 | 記憶  | 39 | 存在  | 37 |
| 手機  | 54  | 核心  | 43 | 好好  | 39 | 郵箱  | 37 |
| 遊戲  | 54  | 回來  | 43 | 必須  | 39 | 班級  | 37 |
| 時間  | 53  | 新鮮事 | 43 | 能夠  | 39 | 意見  | 37 |
| 相冊  | 52  | 優勢  | 43 | 當年  | 39 | 人群  | 37 |
| 學校  | 52  | 活躍  | 42 | 盈利  | 39 | 上人  | 37 |
| 曾經  | 51  | 發展  | 42 | 堅持  | 39 | 文字  | 37 |
| 回憶  | 51  | 青春  | 42 | 最初  | 39 | 年輕人 | 37 |
| 網站  | 50  | 廣告  | 42 | 職場  | 39 | 賺錢  | 37 |
| 界面  | 50  | 初心  | 42 | 變成  | 39 | 騰訊  | 37 |
| 學習  | 50  | 去掉  | 42 | 然後  | 39 | 懷舊  | 37 |
| 狀態  | 49  | 主頁  | 42 | 模塊  | 39 | 既然  | 37 |
| 做好  | 49  | 情懷  | 42 | 社區  | 39 | 原因  | 37 |
| 恢復  | 49  | 圈子  | 42 | 封閉  | 38 | 針對  | 37 |
| 朋友  | 49  | 名字  | 42 | 強化  | 38 | 公共  | 37 |
| 高校  | 48  | 專註  | 41 | 簡潔  | 38 | 局限  | 37 |
| 市場  | 48  | 關係  | 41 | 建立  | 38 | 系統  | 37 |
| 實名  | 47  | 新用戶 | 41 | 興趣  | 38 | 推送  | 37 |

高頻詞反映了使用者對社交網絡服務(SNS)使用體驗過程的感知。從表 1 可以看出,高頻詞的詞性以名詞、動詞、形容詞為主。名詞數量最多,主要包括功能及平臺(如“社交”、“直播”、“遊戲”)、用戶(如“老用戶”、“新用戶”、“校園”)和載體(如“客戶端”、“手機”、“界面”)、回憶(如“情懷”、“青春”、“曾經”);動詞表現了用戶對於人人網功能的要求(如“回歸”、“建議”、“定位”、“恢復”等),形容詞主要包括對產品的建議(如“簡潔”、“封閉”、“方便”)。

從排序來看,排名前 20 的詞語明確指出了人人網基於校園群體的定位,頻率在 20-50 的詞語主要是對於校內網各項功能的要求,頻率排名 50-80 的詞語充滿懷舊,同樣是對校內網產品定位的要求。此外,各種小微功能和關於 BUG 的高頻詞排名也靠前,說明使用者的關注度較高。

## (二) 語義網絡分析

運用 ROST CM6 軟件生成在線點評文本的語義網絡圖(見圖 1),直觀反映使用者對社交網絡服務(SNS)使用體驗的整體印象。高頻詞之間連接的箭頭指向表明了二者間存在的語義聯系,連接箭頭的粗細則表示二者語義聯系的密切程度。

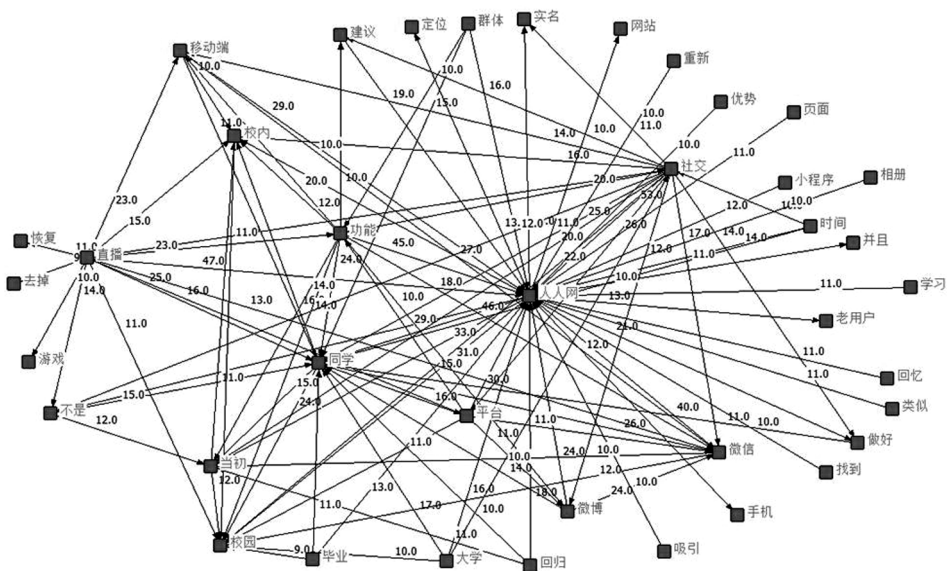


圖 1 語義網絡圖

從圖 1 可以看出,“人人網”、“同學”、“社交”、“功能”為核心高頻詞,其他詞匯以其為中心向四周發散;“平臺”、“校園”、“微博”、“微信”、“移動端”、“直播”等為次要高頻詞,與核心高頻詞聯系密切;“實名”、“群體”、“建議”、“當初”、“畢業”、“大學”、“回歸”、“時間”等為周邊高頻詞,與部分核心高頻詞或次要高頻詞存在關聯。由高頻詞之間連接系數大小可以看出,“人人網”與“社交”、“同學”的聯系緊密,表明基於學生關係的社交是社交網絡服務(SNS)發展的重要功能;“人人網”與“微信”、“微博”的聯系也較為強烈,說明與二者的對比是主要的差異化方向,“直播”是爭議強烈的功能。

綜上,用戶定位是使用者最關注的因素,社交及與其他平臺的差異化對使用者極具吸引力,懷舊感和其他功能也是影響使用者體驗感知的重要因素。根據詞頻和語義網絡分析,用戶感知理想的人人網應該是定位於校園真實社交,簡潔便利充滿回憶的社交平臺。

## (三) SNS 用戶感知價值維度判定

詞頻和語義分析可以解釋用戶感知的重點,但要對 SNS 用戶感知具體分析就需要建立 SNS 用戶感知價





值框架。學者 Kurosu 和 Kashimur (1995) 認為用戶感知的重點是實用性。Robert Rubinoff (2004) 將用戶感知分為品牌、可用性、功能性和內容四要素,而 Regan Mandryk 和 Kori Inkpen (2006) 認為用戶感知是連續的,按照主觀和客觀,分為實用性、情感、經驗、價值、娛樂、美觀 6 個維度感知因素。因此上述研究用戶感知核心是:實用和情感。而在動機模型的研究中,也有類似的結果,Gable & Harmon-Jones (2010a) (2010b) 二人基於歷史研究提出了動機維度模型理論。Bradley (2001) 提出動機水平可根據喚醒度的不同做出判斷,在實用和情感後又加入了喚醒。但根據網絡文本內容及高頻詞分析,SNS 網站服務有區別於其他產品的特點,如對社交網絡的情感不只是喜歡或厭惡,還有懷舊和期待。而時間和價格成本也被消費者充分考慮。因此結合國內外學者有關感知價值維度的研究,本文將社交網絡服務的感知價值確定為功能價值、態度價值、動機價值、喚醒價值及成本價值五個維度。其中功能和成本是按認知的收益和成本進行劃分,而態度價值、動機價值、喚醒價值是按情緒的喜好、動機、懷舊與歸屬感劃分的。

社交網絡服務的功能價值方面,Grönroos Christian (1984) 給出服務在“技術質量”和“功能質量”兩方面的基本要素界定。而通過文本分析也發現用戶對 SNS 網站的功能和性能要求是最多的,例如用戶最強烈的社交需求:“在我作為同學的時候為什麼喜歡用人人網呢,因為我想認識更多的人。但是我不想我認識的人都沒有聯系,不像微博一樣,我想我認識整個校園的人”。而性能要求主要體現在用戶的抱怨中。例如“人人 IOS app 全是 bug, 點開圖片直接報錯”,“不是實名社交”,“查看相冊的建議非常不方便”等。

Black & Kaynama (2000) 將網站服務質量分為內容與目的、可接近性、導覽、設計與呈現、回應性、背景、個性化、定製化 8 個評價維度。人人網用戶反饋建議也集中於通訊錄、日誌、相冊、移動端等功能和性能,同時與微信微博等平臺的差異化也是用戶強烈的需求所在。筆者匯總分析用戶的功能價值訴求將社交網絡服務的功能價值定義為基本功能、性能要求、客戶端和界面四部分。Davis (1989) 和 Venkatesh & Davis (1996) 認為,功能價值是直接影響使用意願的一個重要因素,用戶認為某產品的有用性越高,那麼對該產品的使用意願也越強烈。完善社交網絡服務的功能、提升網站運營性能、提供友好和完善的客戶端可以提升或影響用戶的使用體驗。

社交網絡服務的態度價值主要體現在對平臺的信任、忠誠和厭惡等態度表達。社交網絡態度價值相對於傳統口碑有突出的社交動機,這也是社交網絡環境下獨有的特點(林睿望,2013)。體現態度價值的反饋建議主要集中於對界面、定位與功能方面。Luqman (2017) 認為在 SNS 環境中,人們面對的主要壓力過載為信息過載、系統功能過載和社交過載。而意見中的“去掉”、“回復”、“回歸”、“吸引”、“直播”等高頻詞也表明用戶們普遍要求恢復“校內網”時期的簡潔功能,及抵禦“直播”的情感要求。但是這種態度價值有別於功能價值,因為用戶的建議雖然涉及功能,但是非理性提出的,例如“把那個做直播提議的人罰 10 年年薪”“不要跟風做什麼直播”等這些含有抱怨和否定的詞語主要是抒發消費者的情感,體現出負面的感情價值。活動收集的建議中具體的詞語情感分布如表 2 所示:

表 2 在線點評文本的態度分析

| 情感類別 | 建議數 | 比例     | 強度 | 建議數 |
|------|-----|--------|----|-----|
| 積極態度 | 210 | 72.23% | 一般 | 60  |
|      |     |        | 中度 | 50  |
|      |     |        | 高度 | 98  |
| 中性態度 | 58  | 20.14% | /  | /   |
| 消極態度 | 20  | 7.63%  | 一般 | 14  |
|      |     |        | 中度 | 6   |
|      |     |        | 高度 | 2   |



表 2 顯示了 ROST CM6 軟件對在線點評文本進行情感傾向分析的結果。使用者對社交網絡服務(SNS)發展整體建議的情感特征呈現出較為明顯的積極傾向,占 72.23%,其中中度和高度高積極情緒傾向的建議超過了建議總數的 1/2,表明使用者對社交網絡社交網絡服務(SNS)的使用體驗表達了充分的喜歡和愉悅,整體建議持肯定態度,滿意度較高。

從建議內容來看,使用者的高滿意度與其自身受某種態度價值影響而選擇在社交網絡服務(SNS)使用有關聯,包括:(1)對 SNS 品牌的信任,如“微信是太隱密了,人人網卻是開放的,可以通過好友認識更多的人,不認識的人也可以交流且沒有陌生感,這是微信所不及的。希望人人網早日回歸”;(2)對 SNS 品牌的忠誠,如“個人信息的安全如何做的更好等等方面努力,加油,我在期待”、“專註校園,肯定能東山再起”;(3)對 SNS 品牌的支持,如“首先要保證盈利,情懷是要盈利來支撐,人人網可以盈利的核心在於整體素質比較高,這是其他社交平臺無法做到的。關於盈利,很多方面可以做,點評比美團點評真實,賣商品可以比淘寶信任高”;(4)對 SNS 功能及內容的喜歡,如“我特別喜歡人人網餐廳、人人網派對、天黑請閉眼那些遊戲,還能弄回來麼?相似的也可以”。

社交網絡服務的動機價值方面,不少使用者對懷有一種希望挖掘新鮮事物的好奇的心態。Loiacono (2004)在互聯網服務評價中加入了情感吸引力、創新性的維度。在活動收集的建議中“新鮮事”、“吸引”、“活躍”、“青春”、“圖片”等高頻詞的出現也印證了動機價值的存在,動機價值可以有效的反應顧客欲望。

從建議內容來看,使用者的忠誠度與其自身受某種欲望影響而選擇在 SNS 使用有關聯,尤其體現在對 SNS 品牌實現需求的期待,如“因為熟人的基礎關係,大家可以想對放心的拓展人脈圈”。“用戶需要的新鮮的瓜”、“畢業後大家雖然都不在聯系,但是很想看看對方過的怎麼樣”、“隨時登錄記錄新鮮事”。

喚醒價值是承載某種情感以喚醒對過往的懷念和對未來的憧憬。朱奇紅(2007)認為在網絡社區中找到情感的歸屬是大學生參與網絡社區的主要目的。羅誌霞(2018)認為增強用戶的歸屬感,能達到加深粘性的目的。在活動收集的建議中也充滿了喚醒價值體現,如“不然大家好不容易回來懷個舊”、“很懷念以前的移動端”、“我也是如今還將人人網首頁設為瀏覽器自動開啟頁面的一位懷舊主義者”、“青春是每個人都會懷念一生的一段時光”等。

社交網絡服務的成本價值包括價格、時間和其他社交成本。不同使用者對價格的感知有差異,對於 SNS 來說,要考慮用戶的有效注意力資源和現實購買能力,以及用戶的網絡消費觀念等因素(李永鳳,2010)。Strond D (2008)認為 SNS 營銷之所以有效,原因之一是的自由開放性,用戶可以自主選擇關注點,不對用戶進行強製,也不會造成用戶反感。事實上活動反饋中包含價格、消費、VIP 等高頻詞的建議幾乎沒有,而關於時間等成本的建議很多,如“現在很多軟件都在拼用戶的休閒時間消費”、“人人網的競品不是微信朋友圈,而應該是即刻、豆瓣、王者榮耀,一切占用了時間的產品”、“沒有時間上網”、“學習的沒時間上人人網”。說明用戶對 SNS 上消費較不敏感,而如何合理占用用戶時間,同時有所產出才是用戶在 SNS 上停留的目的。

## 四、結論與建議

本文以人人網為例,對 SNS 網站發展的建議文本進行內容分析,構建 SNS 用戶感知價值體系(圖 2),並得出相關結論。首先,社交網絡服務(SNS)用戶感知價值體系由功能價值、態度價值、動機價值、喚醒價值及成本價值五方面構成。其次,對功能和性能的要求是 SNS 用戶最主要感知要素。簡潔的界面和流暢的客戶端和界面同樣影響使用者體驗感知。第三,社交網絡必須可以喚醒用戶回憶或讓用戶產生新鮮感。第四,使用者對社交網絡服務(SNS)使用體驗的整體建議是積極的。

針對點評文本中暴露出的一些問題和不足,對傳統社交網絡服務(SNS)提出如下建議:

以功能為本,保障社交群體。SNS 品牌的基礎功能是社交,因此守住用戶群體是最重要的工作。目前多數 SNS 網站為求得用戶數,大肆開發各種直播應用,將分布式網絡通過意見領袖轉為集中式網絡,忽視了用

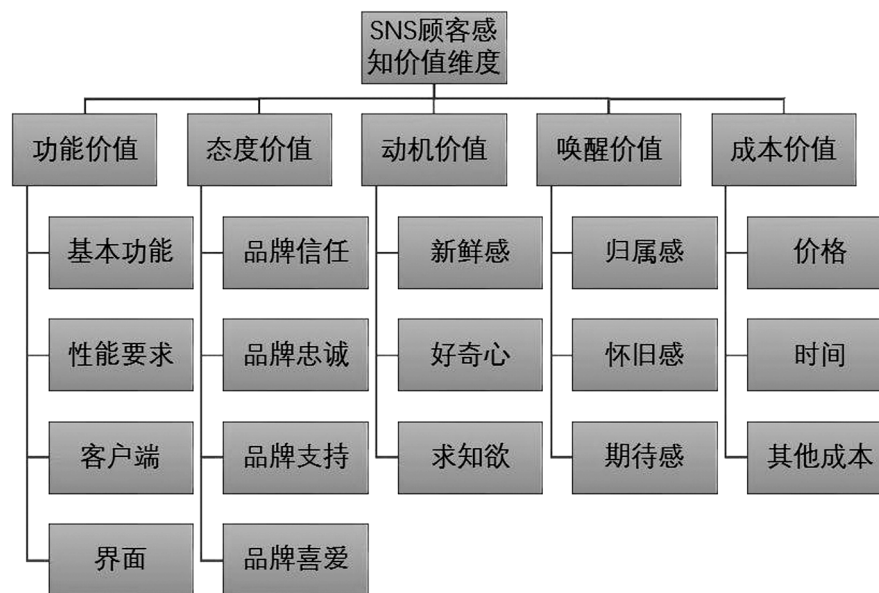


圖 2 社交網絡服務(SNS)用戶感知價值維度圖

戶最基礎的社交和表現的需求,最終導致用戶粘性下降。此外,應該強化以用戶為社交核心的應用。如強化相冊、新鮮事等功能。只有滿足用戶的功能需求才能提升用戶的功能價值。

突出優勢功能,提升平臺質量。多數用戶提到界面簡潔的要求,SNS 網站應該突出優勢,將用戶最想表達的內容突出,而非將所有功能呈現在一個頁面。同時在操作中多數用戶反映 BUG 很多,在社交類應用競爭激烈的今天,無法滿足用戶的基本操作需求,是導致用戶離開的重要原因。

直播功能是爭議最多的功能,因為實名製與直播有著天然的沖突,實名製的用戶為了在虛擬的空間尋找真實的交流,而直播則將虛擬變為現實,降低了用戶的動機價值。因此易用的昵稱系統是 SNS 網站發展的重要環節。

喚醒價值蘊含著巨大的市場,幾乎每個建議都提到懷舊,這也是其他社交軟件與社交網絡服務(SNS)的根本區別。即時通信軟件的記錄功能遠不及社交網絡服務(SNS),通過開發回憶類小程序和重啟經典小遊戲,可以充分喚醒用戶的回憶。同時建議增加對過去、現在、未來某時點的記錄和期望功能,將喚醒價值最大化。

最後本文在助力傳統 SNS 網站轉型發展方面做了一些探索,但仍存在一些不足:(1)只選取了人人網一家有代表性的網站,涵蓋面不全,今後的研究可以均衡考慮其他具有影響力的 SNS 網站,豐富研究對象範圍;(2)建議的來源也只採用了人人網的用戶留言,使用者的個人信息不完整,在線點評內容有限,無法進行更深入的研究。

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# China's International Discourse Construction: A Case Study of News Reports on China's Poverty Alleviation

SHI Xiaomei   ZHOU Yuxi

School of English and International Studies, Beijing Foreign Studies University, China

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**Abstract:** Taking the news reports on poverty alleviation extracted from *China Daily*, the mainstream English media in China, as an example, this paper analyzes how China constructs its international discourse and presents its bright future to the world. This paper collected the news reports on poverty alleviation extracted from *China Daily* from 1st January, 2020 to 31st December, 2020 and built a small corpus with these reports. With the help of the corpus software “Antconc.3.5.7” and under the framework of critical discourse analysis, this paper intends to analyze the ideational meaning and interpersonal meaning in the reports to expose China's international discourse construction system and mechanism behind these reports. The findings have shown that in the process of constructing poverty alleviation discourse system, *China Daily* adopts various ways of discourse construction such as the repetition of key words, the use of semantic prosodies as well as the use of modal words to construct a positive image of Chinese poverty alleviation. The paper will shed much light for Chinese English media on how to construct international discourse system, which is significant for the worldwide spread of China's discourse and its international image construction.

**Keywords:** poverty alleviation; corpus; critical discourse analysis; international discourse construction

**Notes on the contributor:** SHI Xiaomei is a postgraduate student in linguistics and applied linguistics at Beijing Foreign Studies University with her academic interest in discourse analysis and applied linguistics. ZHOU Yuxi is a postgraduate student in linguistics and applied linguistics at Beijing Foreign Studies University with her academic interest in discourse analysis and second language acquisition.



# 從“脫貧攻堅”新聞報道看中國國際話語建構

史曉梅 周羽西

北京外國語大學

**摘 要:**本文以國內主流英文媒體《中國日報》有關“脫貧攻堅”的報道為例,分析中國是如何進行國際話語建構並向世界展示中國的美好未來。本文基於《中國日報》2020年1月1日至12月31日的脫貧攻堅的報道自建小型語料庫、利用 AntConc3.5.7 語料庫和批評話語分析的方法,從概念意義、人際意義兩方面揭示報道背後中國的國際話語建構體系機製。研究發現《中國日報》通過關鍵詞的重復、語義韻的選擇、情態詞的使用的話語構建方式,對中國脫貧進展做出了正面的形象建構。相關啟示包括如何正確引導國內英文媒體正確地構建話語體系,從而提高我國對外話語的傳播能力以及國際形象。

**關鍵詞:**批評話語分析;國際話語建構;脫貧攻堅;《中國日報》

## 引言

對外話語是一個國家在國際交往中所使用的話語,是國家軟實力的重要組成部分,對於宣傳國家政策、引導國際輿論、塑造國家形象具有重要意義(薛麗,2020: 97)。習近平在全國宣傳思想工作會議上也強調:“要精心做好對外宣傳工作,創新對外宣傳方式,著力打造融通中外的新概念新範疇新表述,講好中國故事,傳播好中國聲音”(習近平,2017)。然而,雖然中國的發展模式、政治理念、發展道路等正越來越受到國際社會的關注,但是“中國的話語內容還未能做到真正、徹底地闡釋‘中國故事’”(殷路路,2020: 19)。對於正由“大國”走向“強國”的中國而言,不僅要注重經濟發展“硬實力”,還要特別重視政治凝聚力、文化吸引力、國際影響力等“軟實力”,中國需要抓住歷史契機,努力構建中國國際話語體系(殷路路 2020: 17)。以中國的脫貧攻堅為例。2020年是中國全面建成小康社會之年,也是中國脫貧攻堅工作的收官之年,即使面臨新冠病毒的突然襲擊,中國還是如期完成了新時代脫貧攻堅的目標任務。這一輝煌成就令世界矚目,也受到了國內外媒體的關注。

因此本研究旨在以“脫貧攻堅”為主題,從中國的國際話語建構切入,利用批評話語分析的方法,分析相關英文報道背後體現的意識形態、以及中國主流媒體如何向世界傳遞中國聲音、塑造中國的國際形象。

## 一、文獻綜述

一個國家的國際話語體系是一個國家政治、經濟、文化、社會等綜合因素的現實反映,是向世界傳播民族文化、展現國情的 國力的重要載體(關鳳利、呂銀鳳 2017: 97)。一般而言,一個國家話語體系在國際上的影響力直接反映出本國在國際事務中的主導程度(關鳳利、呂銀鳳,2017: 97)。國家形象是國家軟實力的重要組成部分,也是一個國家的“無形資產”。良好的國家形象可以提升其在國際上的競爭力,並對國家發展具有重要戰略作用。在傳播國家形象時,媒體掌握著對公眾議程設置的權力,決定著國家形象的傳播內容及傳播方式。在這一過程中,新聞創作者和其所在機構的意識形態影響媒體的話語選擇以及話語使用方式,進而影響國家形象的構建(Don et al., 2010)。

鑒於媒體在構建中國國際話語權中的重要作用,大量學者(吳清華等,2010;張春林、行曉藝,2020;錢晶晶、王怡蘭,2021等)展開了相關研究。從研究話題內容方面來看,吳華清等(2010)用框架分析的方法對新華社和《中國日報》2010年世博會的英文報道進行了分析,並提煉出了中國媒體在世博會對外報道話語體系,反映了多元文化的融合和中國的理想訴求。張春林、行曉藝(2020)基於德國主流媒體的美國涉港法案報道,分析了涉華國際輿論鬥爭中德國的基本態度,為中國國際話語權競爭提出了一些建議。錢晶晶、王怡蘭(2021)聚焦《中國日報》在推特平臺上對首屆中國進口博覽會的新聞報道,結合報道傾向、媒介結構、互動程度、信息來源、報道議題五個維度進行分析,探尋我國主流媒體在海外社交平臺上的經濟報道框架特征。研究發現,《中國日報》已逐步發展出一套較為成熟的對外社交媒體平臺傳播策略。顯然,在對新聞報道的研究中,中國對外話語建構的研究內容有較多涉及經濟、政治方面,但在民生方面,如“脫貧攻堅”類的研究較少。中國的脫貧攻堅事業作為中國民生領域的重要話題,屬於中國故事的重要內容,對構建中國國際話語體系具有重要作用。

就研究方法而言,以往的研究中,大部分采用新聞學或者傳播學的手段,使用內容分析法,只關注新聞報道的內容,而非語言本身(如張春林、行曉藝,2020),但是從語言學視角、采用批評話語分析這一手段展開的研究數量較少。

批評語言學的分析方法,旨在通過對大眾語篇的分析,來揭示意識形態與語篇動態關係(Fowler, 1979; Fairclough, 1989)。批評話語分析不僅關注內容,還關注語言,並通過對語言的分析解釋其背後的意識形態(胡燕、孫詠梅,2016)。批評話語分析長久以來被應用到對新聞報道的研究中,其可以揭示隱藏在新聞話語中的意識形態,為新聞研究提供新視角(胡燕、孫詠梅,2016)。因此,用其對國內關於扶貧問題的報道進行分析與本研究的目的不謀而合。其中,批評話語分析的方法中較為常見的分析方法是:從文本分析層面著手,通過關注語法詞匯的使用,分析語篇的意義,進而解讀文本中意識形態和權力關係。其中,詞匯的意義主要包括概念意義(文本的主要核心內容)、人際意義(文本向讀者傳達的立場)和語篇意義(語篇的連貫性)(Fairclough, 1989; Halliday, 1973)。

將語料庫技術應用於新聞語篇的批評性話語分析可以有效彌補傳統新聞語篇研究的片面性、主觀性以及缺乏代表性等不足(張英英、任培紅,2012)。這是因為語料庫可以分析數量龐大的語料,通過索引行、類連接、搭配強度、詞叢等技術手段獲取客觀的語篇特征和話語形態,從而為批評話語分析提供事實根據(郭松,2011: 13)。Stubbs (1996)也指出批評話語分析不應局限於一些文本片段的采集和分析,而要基於大量語言事實找到語言使用情況的一般性結論。然而,對於民生類的話題,運用批評話語分析的方法探索中國對外話語體系建構的文獻幾乎沒有。

綜上所述,從研究內容上看,以往關於中國媒體對中國話語建構的研究主要集中在政治、經濟類報道,涉及民生方面較少。從研究方法上,以往研究主要從傳播學和新聞學角度展開分析,從語言學角度展開的研究較少。本研究以最新的語料庫技術,採取語言學批評話語分析的視角,選取《中國日報》中關於“脫貧攻堅”的新聞報道進行分析,以闡明中國的國際話語建構方式。《中國日報》作為中國主流的英文媒體,是中國對外傳播中國故事的重要窗口,是中國構建國際話語體系的重要平臺。基於此,本研究旨在闡述中國英文官媒是如何向世界傳遞中國聲音,塑造中國的國際形象的,並對如何提升中國國際話語建構能力和國際影響力、提出相關建議。

本研究主要圍繞以下問題:

- (1)《中國日報》在脫貧攻堅報道中有哪些重點關注的方面?
- (2)《中國日報》在脫貧攻堅報道中是如何進行國際話語建構的?



## 二、研究方法

本文分析步驟如下：首先筆者登錄《中國日報》英文官網 (<http://www.chinadaily.com.cn/>)，以“poverty alleviation”為關鍵詞、將時間限定在 2020 年 1 月 1 日至 2020 年 12 月 31 日進行檢索，共檢索出 1397 篇相關報道。隨之筆者將檢索得到的報道按照 10% 的比例進行隨機機器抽選，並將得到的 140 篇新聞報道建成一個語料庫並命名為“PA 語料庫”，該語料庫共包含 75177 形符。構建完語料庫後，筆者對語料庫中的高頻詞進行篩選，並採用批評語言學的分析方法進行分析。

本文在批評話語分析過程中，在詞匯分析上，主要圍繞其與概念意義和人際意義之間的關係；這是因為這個層面是最能直觀反應語篇意識形態的層面 (Fairclough, 1989)。其中，雖然詞匯與概念和人際意義的關係有多維度呈現，由於篇幅所限，筆者從以下兩方面著手分析報道中的高頻詞、搭配和索引行，以更全面地考察《中國日報》對“脫貧攻堅”的英文報道：(1) 在系統功能語言學裏，參與者 (participant) 是概念意義的重要實現成分，由名詞和名詞性短語充當，是一個話題的談論對象。過程 (process) 是對話題對象的行為過程的描寫，主要由動詞充當。根據檢索出的高頻詞“poverty”，分析其在小句與其他參與者以及過程的搭配情況。這是因為因某些詞語與一類搭配詞反復共現一定時間後，這些詞匯擁有搭配詞的或積極或消極的語義特點。(2) 人際意義層面，筆者對情態詞進行統計並進行情態索引行分析。情態在系統功能語法中，是人際功能的核心，是介於積極意義和消極意義之間的意義選擇，就是除了“是”或者“不是”中間的過渡部分 (Halliday, 1973)。具體來說，作者通常會選擇使用情態來表達他的態度，判斷等。在對語料庫進行分析時，批評話語分析可以起到重要作用，可以加深對語料庫數據分析的深度。

## 三、結果討論分析

### (一) 高頻詞分析

本研究借助 AntConc3.5.7 工具對自建“PA 語料庫”進行高頻詞統計，詞頻統計能夠顯示出所研究語料庫中的焦點問題，由此來了解該語料庫的語言特征以及報道的熱點話題。由於 the, and, of 等功能詞在幾乎所有的語料庫中的出現頻率都很高但無實際意義，故本文將其從高頻詞匯列表中剔除，所得結果中前 20 位的關鍵詞如表 1 所示。

表 1 排名前 20 位的高頻實詞

| N | Key Words   | Freq. |
|---|-------------|-------|
| 1 | Poverty     | 1196  |
| 2 | China       | 603   |
| 3 | Said        | 563   |
| 4 | People      | 385   |
| 5 | More        | 375   |
| 6 | alleviation | 369   |
| 7 | Yuan        | 363   |
| 8 | Year        | 291   |
| 9 | village     | 287   |

|    |              |     |
|----|--------------|-----|
| 10 | Rural        | 282 |
| 11 | local        | 279 |
| 12 | development  | 263 |
| 13 | million      | 255 |
| 14 | county       | 249 |
| 15 | areas        | 217 |
| 16 | province     | 186 |
| 17 | poor         | 183 |
| 19 | impoverished | 165 |
| 20 | government   | 163 |

表 2 said 主語使用情況(部分)

|    |                                             |                                                |         |
|----|---------------------------------------------|------------------------------------------------|---------|
| 1  | ...economic development of Guizhou,” Lei    | said.                                          | 6.txt   |
| 2  | ...Huyuan-based bank, Zhang Yuechao         | said.                                          | 12.txt  |
| 3  | ...’s high-quality development”, he         | said.                                          | 18.txt  |
| 4  | ...poverty in their minds,” he              | said.                                          | 19.txt  |
| 5  | ...to better solve problems,” Ma            | said.                                          | 33.txt  |
| 6  | ...conducive to their development,” Du      | said.                                          | 46.txt  |
| 7  | ... and targeted poverty alleviation, he    | said.                                          | 47.txt  |
| 8  | ... projects in the country, Heytea         | said.                                          | 58.txt  |
| 9  | ...on it (mushrooms),” his brother          | said.                                          | 63.txt  |
| 10 | ...work in the cooperative,” Li             | said.                                          | 71.txt  |
| 11 | ...village’s future development,” he        | said.                                          | 76.txt  |
| 12 | ...their incomes and livelihoods, Starbucks | said.                                          | 111.txt |
| 13 | ...be lifted out of poverty,”               | said a BOC executive. "Yet due ...             | 24.txt  |
| 14 | ...by farming,” Cao said. She               | said a change took place in 2017, ...          | 71.txt  |
| 15 | ...a recent news conference. Lei            | said a large number of central ...             | 6.txt   |
| 16 | ... after reports on social media           | said a middle school girl in...                | 121.txt |
| 17 | ..., including 17 from the Hani. Wang       | said a similar training program was ...        | 94.txt  |
| 18 | ... nonexistent social safety nets, he      | said. A World Bank report in ...               | 44.txt  |
| 19 | ...job by undergoing such training,”        | said Ablimit Tursun, an officer at ...         | 114.txt |
| 20 | ...more locals with employment,” Kuang      | said. About a year and half ...                | 80.txt  |
| 21 | ...website. The poverty relief office       | said about 2. 81 million of the employed ...   | 79.txt  |
| 22 | ... poverty. This year, the office          | said, about 300, 000 people have been added... | 13.txt  |
| 23 | ... development in impoverished areas, he   | said. According to the ministry’s...           | 4.txt   |
| 24 | ...villages in the county,” Tian            | said. According to Tian, farming and...        | 82.txt  |



续表

|    |                                              |                                                |         |
|----|----------------------------------------------|------------------------------------------------|---------|
| 25 | ... to e-commerce platforms," Zhang          | said, adding a platform should build ...       | 39.txt  |
| 26 | ..." for global poverty reduction, Guo       | said, adding that achieving prosperity is "... | 1.txt   |
| 27 | ...diplomacy and international relations, he | said, adding that against that backdrop, ...   | 1.txt   |
| 28 | ... become greater and greater," he          | said, adding that agricultural science and ... | 4.txt   |
| 29 | ...to graze our sheep," he                   | said, adding that back then they...            | 49.txt  |
| 30 | ...training more than 1,400 people, he       | said, adding that 12 classes are currently...  | 4.txt   |
| 31 | ...with family every day," he                | said, adding that contractors like him...      | 63.txt  |
| 32 | ...to live in Beijing," Zhang                | said, adding that he used to...                | 63.txt  |
| 33 | ...be completely the same, Guo               | said, adding that it is necessary...           | 1.txt   |
| 34 | electricity subsidies for heat," Gu          | said, adding that people's lives...            | 100.txt |
| 35 | facilities in the neighborhood," Liu         | said, adding that she is even...               | 68.txt  |
| 36 | lives in rural areas, he                     | said, adding that such a model...              | 16.txt  |
| 37 | ...riesfacing particular difficulties, he    | said, adding that the G20 members"...          | 18.txt  |
| 38 | workers increased by 3 million, he           | said, adding that the number is...             | 118.txt |
| 39 | a very big population, Li                    | said, adding that though the annual...         | 96.txt  |
| 40 | conditions, to escape poverty. Yue           | said afforestation has been fueling China'...  | 49.txt  |

在高頻詞中,本研究的關鍵詞“脫貧攻堅(poverty alleviation)、貧窮(impoverished, poor)、中國(China)”沒有實際分析意義,故不予分析。從表 1 可以看出,《中國日報》既關注脫貧攻堅的客觀內容,又從語言上進行國際話語建構。

首先,從內容上來看,《中國日報》網站中有關中國脫貧攻堅的報道涵蓋了多個方面。報道中小句重點關注的參與者主要是中國最廣大的 village(鄉村)、rural(鄉村)和 county(縣城)。向世界傳遞中國脫貧攻堅的 development(進展),包括 yuan(元)、million(百萬)的增收或者資金投入。報道向國際社會展現了中國 government(政府)的所言所行,由此展現中國脫貧事業的成就,對中國形象進行了正面的身份建構。

其次,從話語建構上來看,通過對參與者 people 一詞的重復,《中國日報》向世界讀者傳達出“中國政府在脫貧攻堅進程中始終以人民為中心”的形象,讓世界人民了解到,中國政府以人為本,關心民生,把“為人民服務”作為一切工作的出發點。就過程而言,在排名前 20 的實詞中,said 是出現頻率最高的動詞,可知報道中有大量的言語過程。從 said 搭配的不同參與者(見圖 1)可以看出,《中國日報》的報道關注不同主體對脫貧攻堅事業的看法,其中既包括國家主席,政府工作人員及相關產業負責人員,此外,還引用了普通及困難民眾對脫貧攻堅事業的看法。不同的主體反應不同參與者的聲音,底層民眾的聲音有助於讀者更全面的了解中國的脫貧攻堅事業。但是《中國日報》對國外媒體和世界機構的報道援引較少,適當地引用國外媒體報道,以第三視角來評價中國脫貧攻堅事業可以使世界讀者更容易接受。

《中國日報》的外宣報道在引用政府機構和官方媒體的話語時,會標記具體消息來源,如某市紀檢監察幹部、新華社、人民日報等,使新聞報道權威可信、有據可循。此外,said 屬於中肯的轉述動詞,不含主觀感情色彩,也增加其報道的客觀性。引語中含有大量直接引語,使得新聞客觀性和可信度高,增強話語的影響



力。但此外,報道中也存在很多無明顯消息源的話語,難找到確切的信息源頭。這種話語將自我對脫貧進展的評價融入話語中,達到隱晦表達意識形態的目的,進而使讀者易於接受被引的內容,將其內化為自身觀點。

## (二) 高頻搭配詞分析

表 3 排名前 15 的 poverty 高頻搭配實詞

| N  | Collocates  | Freq. |
|----|-------------|-------|
| 1  | alleviation | 376   |
| 2  | china       | 132   |
| 3  | stricken    | 93    |
| 4  | efforts     | 75    |
| 5  | reduction   | 61    |
| 6  | poverty     | 60    |
| 7  | development | 55    |
| 8  | extreme     | 54    |
| 9  | relief      | 52    |
| 10 | rural       | 49    |
| 11 | lifted      | 47    |
| 12 | end         | 46    |
| 13 | counties    | 44    |
| 14 | country     | 42    |
| 15 | office      | 41    |

表 4 排名前 10 位的 development 高頻搭配實詞

| N  | collocates  | Freq. |
|----|-------------|-------|
| 1  | poverty     | 55    |
| 2  | alleviation | 34    |
| 3  | sustainable | 29    |
| 4  | economic    | 25    |
| 5  | rural       | 21    |
| 6  | office      | 18    |
| 7  | tourism     | 17    |
| 8  | industrial  | 16    |
| 9  | village     | 12    |
| 10 | local       | 12    |

由表 1 可知,poverty 作為概念意義層面的參與者在“PA 語料庫”中屬於高頻詞,因此被選為中心節點詞。搭配詞分析可以發現習慣性地與特定詞語相伴或共現的搭配,以此發現話語的內在意義(錢毓芳, 2010)。語義韻作為詞語搭配研究的延伸與發展,是料庫語言學最有價值的重要成果之一(衛乃興, 2011)。



Louw 正式提出了語義韻這個概念,並給出了定義“一個語言形式會被其周圍搭配詞穩定的語義氛圍所沾染,在本文中這種現象被稱為語義韻”(Louw, 1993)。Stubbs (1996)把語義韻分為積極語義韻、中性語義韻和消極語義韻三個層級。從表 2 可以看出,這三個層級都包括在 poverty 的搭配詞中。其中積極語義韻有 5 個:development、relief、lifted、end、efforts,中性語義韻有 8 個:alleviation、reduction、rural、counties、office、China、country、people,消極語義韻有 2 個:stricken、extreme,可以看出《中國日報》在參與者選詞上傾向選擇含有積極意義的詞匯或者中性語義的詞匯。如 development、efforts 等都強調了中國經濟的發展(development)和政府、人民做出的努力(efforts),office、China 等詞的重復出現,從語言層面不斷塑造中國政府,這一脫貧攻堅的中流砥柱,在脫貧攻堅中的領導角色,塑造中國政府狠抓實幹的正面語義形象。為了更深入地探究其背後的意義,我們還進一步檢索了積極語義韻中 development 作為參與者的搭配詞(見表 3),其中高頻搭配詞有 sustainable、economic、rural、tourism、industrial、goals 等,這些詞全部指向中國經濟在不同領域的全方位增長,構建出一個“強大的中國”的形象。

通過詞匯的傾向性選擇,給讀者創造了一種“中國脫貧攻堅事業積極向好”的狀態,中國政府認真負責的形象,以積極的態度向世界讀者講述中國脫貧故事。這有助於塑造讀者的意識形態,影響讀者對中國政府和中國脫貧攻堅事業的看法,從而提升中國的國際話語建構體系。

### (三) 情態詞索引行分析

根據 Halliday 的系統功能語法,從強弱程度上可以將情態動詞分為三類,分別是高、中和低三個程度(Halliday, 1985)。本文使用 antconc.3.5.7 軟件,將收集到的 140 篇中的情態動詞進行分類,得出具體各類的情態動詞分布如下:

表 5 各類情態動詞統計

| 程度 | 情態動詞           | 數目(百分比)     |
|----|----------------|-------------|
| 高  | Must 21        | 74(12.56%)  |
|    | Need 30        |             |
|    | Have/had to 22 |             |
| 中  | Will 223       | 286(48.56%) |
|    | Shall 2        |             |
|    | Would 34       |             |
|    | Should 61      |             |
| 低  | Can 166        | 229(38.88%) |
|    | May 14         |             |
|    | Could 45       |             |
|    | Might 4        |             |

從情態動詞的程度來看,中等的動詞占據了其中的大部分(48.56%),其次就是低程度的動詞(48.56%),用的最少的是高程度的情態動詞,在總數中所占的比例很小(12.56%)。因為情態動詞的主觀程度能間接反映出新聞語篇的主客觀程度,由此可以發現,較少地使用主觀程度較高的情態動詞能夠較好地保證新聞語篇客觀性。

接下來,本文將以使用最多的中等情態動詞為例,進行具體分析。

例 1: The bureau will also help employees return to their jobs, adjust labor surplus and shortages among companies, arrange targeted recruitment, as well as promote cross-region collaboration to help companies and job



seekers reach cooperation. (以 will 為例)

例 2: Other countries should follow China's example because poverty and life below the subsistence level are not uncommon even in the most advanced economies. (以 should 為例)

例 1 中描述了政府會採取一系列的措施來幫助貧困人民,文本中 help、promote 等詞都是含有積極的情態意義,有意傳達政府積極正面的形象,但是卻採用中等程度的情態詞 will,這表明作者有意降低自己的意識形態傾向,給讀者營造一種“客觀地講述脫貧攻堅事實”的感覺,使讀者更容易接受其要傳達的內容。例 2 是《中國日報》對其他國家提出建議,作者使用中等程度的情態詞 should 而非高等程度的詞,降低作者的主觀感情色彩,使讀者和接受建議者更加容易接受其建議和觀點。總的來說,情態詞語能夠直接或間接的表達出講者或作者的態度和觀點,《中國日報》作為中國的官方英文媒體,其在有關脫貧攻堅新聞語篇中對情態詞匯的選擇在一定程度上能夠影響其讀者對相關事件的看法,在中國國際話語構建中扮演著重要的角色。

## 結語

脫貧攻堅偉大事業不僅會促進中國的發展,對世界減貧事業,促進世界的和平與發展,構建人類命運共同體也具有重要的意義。《中國日報》作為中國官方英文媒體,其關於中國脫貧攻堅的報道屬於講好中國故事、構建中國國際話語體系的重要組成部分。本文結合語料庫和批評話語分析,以定量研究為主、定性研究為輔,對《中國日報》有關脫貧攻堅的報道進行“高頻詞”“搭配詞”和“索引行”的批評話語分析,從概念意義和人際意義兩方面對報道語言展開分析,從而進一步分析中國國際話語構建體系。研究結論如下:《中國日報》的報道在尊重客觀事實的基礎上,通過關鍵詞的重復、引用不同的消息源、選擇積極和中性的詞匯、大量情態動詞的使用等方式積極構建中國國際話語體系,提升中國的國際話語權。以往的研究者(如張春林、行曉藝,2020)有關新聞報道國際話語建構的研究,內容上大多關注政治經濟方面,本文把重點放在民生問題上,豐富了國際話語建構的內容。以往的研究方法(如錢晶晶、王怡蘭,2021)多從新聞學和傳播學的角度,採用內容分析法分析,本文則從語言學的角度,採用批評話語分析的方法,擴展了中國國際話語構建的研究視角,為今後的研究提供了借鑒。本研究也論證了批評話語分析在中國外宣報道中的運用價值,發揮語言研究服務國家和社會的重要作用。

基於此,本文提出以下兩點建議:第一,《中國日報》在報道中可以增加援引國外媒體的相關稿件,增強報道的客觀性,使讀者更易於接受。當前國際輿論場上,西方發達國家主流媒體仍然擁有強大的國際話語權。從國際關係角度看,援引外媒也是增進中西方互信和交流的重要手段。第二,中國媒體在進行外宣報道時,可以適當增加底層群眾的訪談報道,講好中國故事。要通過客觀事實向世界說明中國在自身發展。此舉有助於國外讀者深入了解脫貧攻堅的真實狀況,以及中國為世界經濟穩定做出的積極貢獻,彰顯負責任大國的國家形象。此外,本研究還存在一些局限性,首先,本文是基於語料庫以定量研究為主的分析,相關的定性分析可能不夠全面;其次,在進行話語分析的過程中,含有一定的主觀色彩。雖然研究者在分析過程中經過多次討論,並就分析結果達成共識以減少研究的主觀性從而增加信度,但是難免會摻雜主觀判斷因素,故不能保證分析結果的絕對客觀;最後,本文對於中國“脫貧攻堅”的報道只選取了《中國日報》一家國內媒體在 2020 年一年的新聞語料,新聞的代表性有限且沒有呈現足夠的歷時變化。因此,希望學者在今後的研究中可以在相關方面改進,擴充有關脫貧攻堅的研究。

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# On Interpreter's Training from Maslow's Hierarchy of Needs

YIN Taojie

Faculty of Arts, Charles University, Czech Republic

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**Abstract:** The author summarizes a series of problems and obstacles encountered by interpreters on the road to professionalization, with the help of the theory of need hierarchy put forward by Maslow, the father of the humanistic psychology. The author puts forward the corresponding solutions and measures for the professional training and development of interpreters from three dimensions, so that professional interpreters can be more in line with the times and market needs.

**Keywords:** hierarchy of needs; interpreter; training methods

**Notes on the contributor:** YIN Taojie is a PhD candidate in Charles university. His research interest lies in interpreting studies, especially in interpreting education and pedagogy.

## 從馬斯洛需要層次理論看口譯人員的培養

尹韜傑

查理大學文學院

**摘要:** 本文總結出了一系列口譯員在通往職業化道路上所遇到的問題和阻礙,並借助人本主義心理學之父馬斯洛所提出的需要層次理論從三個維度,對譯員的職業化訓練和培養提出了有針對性的解決方案與措施,從而使職業譯員更符合時代和市場需要。

**關鍵詞:** 需要層次理論;口譯員;培養方法

## 引言

如今,在口譯界,通過跨學科背景知識對口譯進行學術研究已然成為一種主流趨勢。筆者通過調查研究發現,目前與口譯研究實現“跨界合作”的學科主要集中在社會學、生態學、神經學以及教育學,加之我國



關於口譯的研究活動起步較晚,直至上世紀 80 年代中後期,才將口譯作為一門獨立的學科開展探索和研究,故,我國在口譯研究上的研究成果在一定程度上落後於西方國家。為了能夠對口譯學術界做出一點新的貢獻,實現一些新的突破,筆者翻閱了大量其他學科的文獻,試圖能夠找出一個能夠與口譯研究實現跨學科合作的理論基礎,在筆者閱讀完馬斯洛所提出的需要層次理論後,發現這一理論可以應用在譯員訓練和培養方面的研究,某種意義上講,本研究項目將心理學和口譯學進行了結合,具有一定的學術價值。

## 一、什麼是需要層次理論?

“人的需要由生理的需要、安全的需要、歸屬與愛的需要、尊重的需要、自我實現的需要五個等級構成。”<sup>①</sup>“五種需要是最基本的,與生俱來的,構成不同的等級或水平,並成為激勵和指引個體行為的力量。低級需要和高級需要的關係:馬斯洛認為需要層次越低,力量越大,潛力越大。隨著需要層次的上升,需要的力量相應減弱。高級需要出現之前,必須先滿足低級需要。在從動物到人的進化中,高級需要出現得比較晚,嬰兒有生理需要和安全需要,但自我實現需要在成人後出現;所有生物都需要食物和水分,但是只有人類才有自我實現得需要。低級需要直接關係個體得生存,也叫缺失需要(deficit or deficiency need),當這種需要得不到滿足時直接危及生命;高級需要不是維持個體生存所絕對必須的,但是滿足這種需要使人健康、長壽、精力旺盛,所以叫做生長需要(growth need)。高級需要比低級需要復雜,滿足高級需要必須具備良好的外部條件:社會條件、經濟條件、政治條件等。馬斯洛看到低級需要和高級需要的區別,要滿足高級需要,必須先滿足低級需要但是並不絕對對立。在人的高級需要產生以前,低級需要只要部分的滿足就可以了。例子:為實現理想,不惜犧牲生命,不考慮生理需要和安全需要。個體對需要的追求有所不同,有的對自尊的需要超過對愛和歸屬的需要。”<sup>②</sup>

## 二、需要層次理論在口譯員培訓中的運用

目前,全世界關於口譯的學術研究主要集中於理論和以口譯技巧為導向的翻譯技巧,然而,對於從口譯員主體性出發所做的關於譯員培養和訓練的學術研究少之又少,筆者認為,口譯的研究應該區別於筆譯。“口譯的內核是一門與人打交道的學科,具有即時性、現場性和交際性等特點,口譯活動是一項“開弓沒有回頭箭”的工作,它不像筆譯活動那樣有充分的時間的進行反復地推敲和打磨。”<sup>③</sup>既然口譯是一門具有較高社會性的活動,那麼將口譯員作為一種社會人進行思考和研究一定是具備研究價值和意義的。筆者在查閱文獻後發現,以馬斯洛為代表的人本主義學術流派中的許多觀點能夠與口譯研究實現跨界合作。

### (一) 生理需要在口譯員培養上的運用

在馬斯洛的需要層次理論中,生理需要被認為是低級需要,也就是人賴以生存的基本要素,如,食物、空氣和睡眠等。這其中的睡眠要素對口譯員至關重要,它將直接或間接影響口譯員在某場口譯活動中的專注度。眾所周知,不管是交替傳譯還是同聲傳譯都要求口譯員有極高且持續的專注度,如果在口譯活動開始的前一天口譯員的睡眠質量得不到足夠的保證,很有可能導致一場失敗的口譯活動。其次,“對於那些致力於成為優秀的同聲傳譯的口譯學習者來講,出色的精力分配和管理能力是必不可少的。”<sup>④</sup>而精力分配與我們的生理需要密不可分。在日常的學習過程中,我們要註重對他們的精力分配模式的訓練,如分腦訓練等。目前,海外不少知名翻譯學院對於同聲傳譯專業的學生開設了專門的分腦訓練課程,如英國的巴斯大學和美國的蒙特雷高級翻譯學院,在正式的同傳課開始前,會花兩到三周的時間讓學生一邊拍皮球一邊聽語音,



在語音結束後立刻進行復述。這樣的訓練旨在幫助學生從生理上對於同傳的工作模式有一種最直接的感知,而後逐漸能夠適應這樣的生理反應。而在我國開設了口譯專業的 MTI(翻譯碩士)院校,針對同聲傳譯的訓練普遍是讓學生一邊數數一邊聽語音,在語音結束後進行復述。不管是哪一種模式的訓練,都旨在幫助學生從生理上更好的適應口譯工作的內容。筆者認為,對於口譯員的培養模式可以借鑒專業運動員的培養形式,將口譯員這一職業更加職業化和系統化。如,我們可以嘗試將口譯訓練分為有氧和無氧,在不同的環境下進行口譯訓練活動,讓學習者感受大腦在不同狀態下的變化和狀態,從而更好地讓大腦適應在不同環境下口譯活動所帶來的壓力和工作量。

此外,食物供給對於口譯員也是至關重要的一環。“在可預見的時間內,口譯將會在其職業化道路上越走越遠,對於譯員的職業化要求不亞於其他任何一個行業。”<sup>⑤</sup>對於食物的需求看似與譯員相去甚遠,然而其內在聯系無比的緊密。首先,口譯不僅會消耗大量譯員的精力,同時也會消耗大量譯員的體力。所以,筆者認為,對於譯員體力的關注不亞於對譯員精力分配和管理的關注。筆者曾採訪過三位資深的一線同傳譯員,他們紛紛表示口譯是一項“體力活”,隨著口譯活動的進行,饑餓感愈發突出,這也會毫無疑問地影響譯出語質量。另一方面,其中一位譯員也針自身對饑餓感的問題進行過思考,並在某一次口譯活動中以進食作為控制變量進行口譯實驗。該譯員在口譯活動開始前以高卡路裏的食物作為主要食物來源,並且進食量是平時的 1.5 倍,該譯員試圖以高進食量和高熱量作為對抗饑餓感的主要方式,然而,實驗結果卻令人瞠目結舌。該譯員發現在口譯活動的初始階段遲遲不能進入狀態,且大腦運轉處於停滯狀態,直到發言人講話至 15 分鐘左右他才能夠恢復至平日的正常水平。由此觀之,口譯員很早就關注到了食物對口譯內容質量的影響,並采取了一些措施試圖解決,然而,對於進食時間的把控、進食食物類別的選擇以及食物熱量的掌握都沒有得出一個較為明確的結論。“諸如此類專業性極強的問題,應該交由與其專業知識構架最為匹配的人員來解決。”<sup>⑥</sup>比如營養學專家等。值得慶幸的是,這無異於為口譯學術研究人員提供了一個較為新穎的思路和方向,即,從營養學的角度研究食物對譯員身體機能的影響,從而總結出一套較為完善的口譯員培養方案。除了生理需要會對譯員的譯出語質量造成影響外,譯員對安全層面的需要往往也是容易被忽略的要素。

## (二) 安全需要在口譯員培養上的運用

馬斯洛所講的安全需要主要是指人們需要穩定、安全、受到保護、有秩序、能免除恐懼和焦慮等。對於口譯員來講,在口譯前感到恐懼和焦慮,在口譯現場感到慌張是常常發生的事情,如何幫助口譯員在平常的學習中能建立心理上的安全感呢?“首先,我們應該為學生創造足夠多的模擬口譯活動,模擬口譯的規模要盡可能地與大型國際會議口譯規模保持一致,盡可能地還原口譯活動現場的情景,而且,在活動進行中我們要對學生的表現進行全程的錄音錄像,在活動結束後,譯員本人和授課教師應對口譯現場的音頻和視頻進行深入地分析。”<sup>⑦</sup>分析音頻的意義在於,我們能夠較為清晰地發現口譯過程中所發生的語言錯誤,從而找準譯員現階段在語言層面上所存在的短板進而進行補救和提升。復盤視頻的價值在於,我們能夠通過觀察譯員的肢體語言和面部表情評估譯員在口譯現場的心理變化。通過觀看視頻對譯員表現進行評估是一種不太被普遍採納的研究手段,因為它所耗費的時間成本較高,但在筆者看來,視頻分析有著其他技術手段都無法達到的效果。口譯是一項交際性極強的工作,且口譯的活動的主體是人,任何一項以人為主體所進行的工作,對人的研究都無比重要。視頻觀察的方法能夠幫我們繪出一幅譯員心理波動的折線圖,我們能夠精準地回溯引起譯員心理波動的原因。其次,對於譯員心理素質的培養僅僅靠口譯老師來進行是不夠的。誠然,老師可以通過自身過往的經驗傳授給學生一些心理狀態調整技巧,但專業的心理諮詢師對譯員有規律和定期地輔導和溝通是不能被取代的。眾所周知,同聲傳譯是在同傳箱裏進行的,然而,一些職業的同聲傳

譯員在初入譯場的時候會發生很多狀況外的事情,如發現自己對同傳箱的封閉空間感到心悸或對與會人員數量龐大感到密集恐懼癥等等。這些看似與口譯活動毫不相幹的名詞往往就是會降臨在口譯員的身上,所以,筆者認為,要培養出一個職業素質過硬的口譯員,一定要多關注譯員的心理問題,幫助譯員實現脫敏。甚至,從某種程度上講,對譯員的心理素質測試應該納入譯員選拔考試當中,如果招生單位在一開始的時候能夠通過對考生的心理素質測試或評估對考生的心理狀況有一個比較清晰的了解,這會幫助招生院校大大降低譯員的培養時間和成本。對於如何製定一個有效的心理素質測評標準,歐洲在上世紀 90 年代就已經有口譯學者對此進行探討和摸索,例如 Pöchhacker, Franz( 弗朗茲 · 波赫哈克)和 Schlesinger, Miriam( 米利安 · 施萊辛格)。Pöchhacker, Franz 以奧地利維也納大學翻譯專業作為評估試點,對一批應試者進行了為期兩年的走訪跟蹤,結果發現,在入學時達到了心理測試合格線的學生在兩年的職業化的口譯培訓後,僅有不到 60% 的學生完全符合一名職業譯員的心理素質要求。<sup>⑧</sup>隨後,Pöchhacker, Franz 聯合其他多位口譯學者對譯員心理素質評估方法和標準進行了二次探索,但至今全球口譯學界在此問題上仍未達成共識。由此可見,對於譯員心理狀況的關注已然成為了世界口譯界共同關注的話題,雖然其評估方式以及標準的製定仍待確認,但其從側面反映了安全需要之於譯員培養的重要性。

### (三) 歸屬與愛的需要在口譯培養上的運用

“對一個口譯員來講,他是需要與外界建立連接,產生情感的。在平時的學習過程中,我們除了要幫助學生提高語言層面上的技巧和水平外,也需要注重構建譯員自身的歸屬感。譯員的歸屬感是指譯員的主體性意識。譯員的雙重身份是顯性而非隱性的,即,譯員不單單是講話者雙方的傳話筒,在不同的口譯場合也扮演著不同的角色。”<sup>⑨</sup>例如,在一場關於旅遊導覽的聯絡陪同口譯中,譯員的第二重身份是導遊;在一場商務談判口譯中,譯員的身份是受雇方的利益爭取者。且譯員的第二重身份置於任何場景下都是顯性的。此外,譯員自身的口譯會在某種程度上決定這場活動的走向甚至成敗。如果口譯員不能在情感上與口譯這項工作建立連結,那麼勢必他的投入程度會受影響且很容易對自己的職業感到倦怠。所以,筆者認為,譯員的歸屬感來自於譯員主體性意識的激活,想要培養一名合格的口譯員,除了對他進行演講訓練之外,模仿發言人的語氣和語調甚至遣詞造句也是非常有用的訓練手段。因為演講是一門訓練講話者輸出能力的功課,如果沒有足夠的言語訓練和知識儲備,會讓演講訓練的目的和價值大打折扣,也將導致譯員無法圓滿地完成第二重身份所賦予的任務。此外,倫理教育也是滿足譯員歸屬與愛的需要的重要一環,要讓譯員了解行業行規和明白本行業的社會屬性,只有讓學生充分發揮內驅動力感受到作為一名職業譯員的自豪和驕傲,不僅有助於譯員製定自己的職業生涯規劃,更有助於譯員的自我歸屬感的建立。譯員不僅是一名翻譯更是一名社會人,凡是社會人,除了有低層次的需要也有更高層級的需要,在運用社會資源和學校資源培養出一名出色譯員後,為口譯從業人員搭建一個完善的工作體系和平臺,是避免人才流失重中之重的一項舉措。只有通過對譯員的精神需要進行多維度的關心和滿足,才能讓譯員獲得職業上的歸屬感和獲得感。

## 結語

馬斯洛的需要層次理論雖屬於心理學範疇,但當中所提出的生理需要、安全需要和歸屬與愛的需要能夠较好地同口譯員的培養相結合,而且能夠在一定程度上提升譯員的職業化素養,進而能培養出更加立體和多維且符合市場和時代需要的口譯員。如果口譯研究者能從人本主義的角度出發對口譯員培養進行研究,那麼有許多看似跨界的理論研究都能實現有機地結合,作為當代的口譯學習者和研究者,我們應該秉承創新和突破的精神,讓自己思維眼界不受局限,對這一領域做出更多的貢獻。

**注釋：**

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# Translation in English and Chinese Idioms from Metonymy

SHAN Xinrong JIA Shaodong

Guangzhou College of Applied Science and Technology, Guangzhou City, China

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**Abstract:** Based on metonymy theory, this paper researches the translation strategies and methods in full, half and zero correspondence idioms in translation. The results show that the full correspondence of English and Chinese idioms focuses on literal translation. Half correspondence should adopt literal and annotation, metonymy translation. Idiom translation involves the translator’s subjective intention, understanding and expression, also reflecting on cultural transmission and expression. It is significant to make use of translation teaching and translation practice.

**Keywords:** metonymy; English and Chinese idioms; comparative study

**Notes on the contributor:** SHAN Xinrong holds a master’s degree in Bachelor of Art. She is currently a teacher in Guangzhou College of Applied Science and Technology with academic interest in cognitive linguistics, translation theory and practice. JIA Shaodong holds a degree in Bachelor of Art. He is currently a teacher in Guangzhou College of Applied Science and Technology with academic interest in translation theory and practice.

## 轉喻視域下的英漢習語翻譯研究

單新榮 賈紹東

廣州應用科技學院

**摘要:**基於轉喻的認知屬性和轉喻相鄰性所指關係,提出英漢習語的轉喻翻譯策略。從英漢習語的形式與意義來看,英漢習語呈全對應、半對應和零對應關係。研究認為英漢習語的全對應關係側重歸化、直譯翻譯方法;半對應關係則應採用直譯+註釋和意譯的翻譯方法;零對應關係多側重異化、轉譯和意譯的翻譯方法。習語翻譯涉及譯者的主觀意向性,對習語的理解和表達體現了文化的傳遞和語言的表意方式。本研究對翻譯教學和翻譯實踐具有借鑒意義。



**關鍵詞：**轉喻視域；英漢習語；翻譯研究

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## 引言

習語是由固定的詞組和句子所構成的語言表達形式，漢語稱其為“熟語”，包括成語、諺語、典故、俗語等，習語具有深厚的文化含義。“轉喻主要具有一種指代功能，它允許我們用一種實體代替另一實體，同時，轉喻是一個認知過程，讓我們通過與其他事件的關係對另一件事進行概念化理解。”<sup>①</sup>“概念轉喻是在同一個認知域中源域為目標域提供心理可及的認知操作過程，源域和目標域之間的關係是或然的，目標域處於突顯位置，源域處於背景化位置，源域和目標域之間的轉喻關係密切程度在於源域和目標域之間的概念距離和源域的突顯程度。”<sup>②</sup>“轉喻 (conceptual) 是一種映現，是一種“替代 (stand-for)”關係”。<sup>③</sup>不同的轉喻由相對突顯 (relative salience) 的認知原則提供理據，突顯的項目作內容以認知為參照點，來喚起相鄰的內容，借助語境，對對應內容進行識解 (construal)。相對隱喻的研究習語翻譯，轉喻研究習語翻譯的文獻較少。鑒於習語的形式與意義差異較大，借助轉喻理論，基於隱喻研究的基礎，本研究從概念轉喻角度對英漢習語形式與意義進行分析，研究轉喻在習語翻譯方面的運作機製及翻譯策略。

## 一、轉喻研究

近年來，學者們從多角度對習語翻譯進行了研究，例如劉艷芳從順應論的角度探討了新聞報道中不同文化的碰撞，結合語言、文化和交際三個維度進行轉換，認為“譯者在翻譯過程中不僅要關注語言形式的適應性選擇轉換，更要關注雙語文化內涵和交際效果圖的傳遞與闡釋”。<sup>④</sup>單偉龍分析了莫言作品中的習語英譯本中的翻譯，研究了譯者翻譯習語使用直譯、意譯的翻譯方法。<sup>⑤</sup>邱能生根據 Nida 的文化理論、Venuti 異化、歸化分類，認為“習語的翻譯應側重異化的翻譯方法”。<sup>⑥</sup>對習語的轉喻翻譯，國內學者肖坤學基於認知語言學的語言觀與轉喻構建的認知特點，提出了以轉喻構建為依據、以意義為參照的轉喻翻譯思想，認為“從隱喻研究角度更在多數，但是轉喻如同隱喻一樣，是人們認知事物的一種方式，伴隨著語言左右。”<sup>⑦</sup>譚業升闡釋了轉喻圖式——例示級階的翻譯轉換、翻譯變體的創造性翻譯的理念，並且提出“在翻譯過程中以語境為基礎並受規約限制的轉喻認知方式”。<sup>⑧</sup>盧衛中以認知的概念轉喻理論為指導探討了轉喻翻譯的認知基礎與策略，運用認知語言學理論解決轉喻翻譯的實際問題。<sup>⑨</sup>

認知語言學家王寅提出“翻譯是一種認知活動，是以現實體驗為背景的認知主體所參與的多重互動作用為認知基礎的”、“翻譯具有體驗性”。<sup>⑩</sup>體驗性構成了不同語言之間具有互譯性的認知基礎。翻譯的體驗性一方面表現為原文本是作者對現實世界的體驗，另一方面為譯者對原文本的理解和推理。奈達認為“翻譯的目的在於把源語的全部信息在譯語中再現並取得最大限度的等值效果”<sup>⑪</sup>，因此翻譯中的等值是經驗結構的相似性，換言之，翻譯某種意義上要求概念對等。翻譯被認為是一種轉喻思維的體現，轉喻翻譯是一種主體意識活動。意向性是人的意識的一項核心內容，可體現為意識活動的一種工具，是意識觀照 (construe) 事物事件態時所展現出的一種體現利己的取舍傾向。

從“中國知網”文獻中的主題輸入“轉喻”和“習語翻譯”可得到文獻總數：6 篇；檢索條件：（主題 = 轉喻 或者 題名 = 轉喻 或者 v\_subject = 中英文擴展 (轉喻, 中英文對照) 或者 title = 中英文擴展 (轉喻, 中英文對照) 並且 (主題 = 習語翻譯 或者 題名 = 習語翻譯 或者 v\_subject = 中英文擴展 (習語翻譯, 中英文對照) 或者 title = 中英文擴展 (習語翻譯, 中英文對照)) 我們發現 2010—2019 年間有關“轉喻翻譯”和“習



語”的發文量有 14 篇,平均每年發文一篇。在發文中,以“英語習語”和“習語翻譯”文獻數各為 2 篇,以“翻譯策略”、“英語文化背景”、“英語表達”、“英國人”、“英語國家文化”、“動物詞”等都為 1 篇,相對於“轉喻”和“翻譯”的文獻數(299 篇)來說,習語翻譯研究需進一步深入。

Smith 最早強調了習語的基本特征,認為“習語的意義不是它的組成詞的意義的總和,對習語的研究提供了有價值的參考。”<sup>⑩</sup>美國著名翻譯理論家尤金·奈達認為翻譯是再現原義的信息,而不是保留原文的結構;翻譯對等不是同一,沒有完全的對等,意義是譯者優先考慮的因素;翻譯的過程中,不但要考慮譯出語和譯入語的差異,更要考慮作為文化載體的兩種語言所產生的文化差異。習語作為語言的精華及文化的載體,在各種交際場所,習語使用的使用頻率更高。認知語言學為習語的理解和翻譯提供了新的研究途徑。

## 二、英漢習語轉喻形式與意義對比分析

語言符號是形式和意義的統一體,習語也不例外。習語的形式即習語字面義所傳達的信息作為認知參照為隱含的意義提供心理通道,實際的含義需依賴人們的思維方式進行推理才能獲得。習語的意義具有一定的文化背景,其意義的不確定性通過相鄰、相近或“部分激活整體”的轉喻思維來推理。因此,在翻譯過程中,對源文本的解讀體現了相鄰、相近和“部分代整體”、“整體帶部分”的轉喻思維。英漢兩種語言分屬不同的文化,從對比的角度來看,英漢習語可分為相互對應,半對應和非對應的英漢習語,具體例示如下:

| 序號 | 源語                                         | 目的語                                    | 對應關係  |
|----|--------------------------------------------|----------------------------------------|-------|
| 1  | He who rides a tiger is afraid to dismount | 騎虎難下                                   | 全對應關係 |
| 2  | 好馬無劣色                                      | A good horse cannot be of a bad colour |       |
| 3  | the apple of one's eye                     | 掌上明珠                                   | 半對應關係 |
| 4  | 膽小如鼠                                       | as timid as a hare                     |       |
| 5  | to draw one's blood                        | 惹人生氣                                   | 零對應關係 |
| 6  | 依賴某人                                       | to hang on sb.'s sleeve                |       |
| 7  | 四面楚歌                                       | to be besieged on all sides            |       |

例 1 和例 2 中英語習語或諺語在漢語中都有對應的動物,而且動物意象相近,都有與之相對應的漢語習語或諺語。例 1 中的“tiger”翻譯這類英語習語時,形式和意義相對應的漢語習語是最佳譯法。漢語也有一些習語,與英語的一些習語相對應。例 3 和例 4 呈半對應關係,通過部分代替整體的轉喻思維對應在英漢習語占習語中的大部分。半對應的英漢習語通常是轉喻意義相同,但喻體形象迥異。譯者須對源語習語意象加以轉換,產生聯想,用合適的目的語將其譯出。例 5 和例 6 中的英語習語涉及獨特的西方文化意象,染上了獨特的西方文化色彩,只有采用意譯法處理,才能為目標語(譯文)所理解。例 7 這類習語是漢語歷史上留傳下來的典故和成語,字面翻譯無法為英文讀者所接受;如果加上一長串解釋性文字,就失去了成語精粹的特點。最好的辦法是避開其文化背景,譯出隱性的含義。翻譯過程中,譯者的目標域的取舍受到譯者的意向性,目的語接受者的文化喜好、理解程度等因素的製約,導致習語翻譯時產生不同的翻譯策略。

## 三、轉喻翻譯的機製

轉喻是一種認知操作方式,在翻譯中,譯者的主體性活動得到充分發揮,英漢思維方式和表達方式也有



差異。漢民族原始社會以母系社會為主,生活具有典型的農耕特色,習語中“牛馬年,好耕田”,用“耕田”來表達“農耕生活”,實現事件要素之間的轉換;英語習語則多使用功能轉換的轉喻詞。英漢民族思維重視膚色與種族或階級差異,如“red tape(官僚作風)”。英漢民族中間經歷了以體驗為基礎的復雜過程。劉宓慶認為翻譯首先是對語符形式的意義構建,因為“所謂翻譯的本質,就是意義的語際轉換”。譯者對源語文本進行解讀,在理解的基礎上形成概念和意義,建構認知信息,然後在目的語中將該認知信息用語言形式表征出來。意義的建構是一個推理的過程。原文本的語言符號所編碼的信息作為認知參照點為隱含的意義提供心理通道,“顯性的語言編碼只是讓我們到達了一個正確的鄰近地區,但要找到確切的位置還需其他方法”。也就是說,語言符號僅僅具有產生某種意義的潛勢,具體的意義還要依賴人們的思維方式進行推理才能獲得。這種意義的不確定性通過語境的激活 到達目標的心理通道。

譯者對源文本進行解構,在頭腦中形成了概念和意義,根據表達習慣,在源語中表達整體意義的詞語在目的語中會尋找和挑選部分意義來替代,產生“部分替代整體”、“整體替代部分”和“部分替代部分”等關係。在翻譯過程中,作為認知機製的轉喻也是一種翻譯策略。轉喻作為翻譯策略主要體現在以下方面:

### (一) “部分替代整體”的轉喻機製

源文中沒有使用轉喻思維,但在翻譯過程中採用轉喻思維機製,從而使譯文更加生動形象。

例 8:他愛財如命,可是為了維持事情,不得不狠了心。(老舍,《駱駝祥子》)

譯文: Though it was like spending his life's blood, he gritted his teeth in order to keep the job.

譯文存在著用名詞短語“his life's blood”代替“生命”的跨語言轉喻用法,體現的是由組成部分轉指整個人的生命。就翻譯而言,譯文“his life”與源文“愛財如命”之間構成了“部分替代整體”的轉喻關係。

### (二) “部分替代部分”的轉喻機製

“部分代部分”對於同一個目標概念,兩種語言可能會選取實體的不同部分或屬性來表征該事物。因為鄰近關係在不同語言中的凸顯程度是不一樣,因此在源語中用事物的某一屬性或特征來通達該事物,而在目的語中可能選取的是事物的另一屬性或特征,但這些屬性或特征處於同一個認知框架中,構成“部分代部分”的轉喻關係,例如:

例 9: The dignity of the snow-capped mountain is lost in distinctness but the joy of the tourist is to recognize the traveller on the top. The desire to see, for the sake of seeing, is, with the mass, alone the one to be gratified, hence the delight in detail. Nature and Art (James Whistler)

譯文: 白雪皚皚的高山因其清晰可見而失去它的尊嚴,但旅遊者卻因能夠看見站在山頂上的遊人而喜形於色。對於大多數人,單是為了要看見而要看見的願望需要得到滿足而已,因此,他們僅以能看見細節為快。

譯文中“snow-capped”用事物的組成部分譯入事物的屬性,部分代替部分。在源語中用山的頂部高的特征來表達雪的覆蓋,目的語中選取的是事物的屬性“白雪皚皚”來翻譯。英語語言注意白的自然特性,漢語關注事物的結果,構成部分替代部分的轉喻翻譯。

### (三) “整體替代部分”的轉喻機製

在翻譯過程中,源語中的整體概念在目的語中可能用部分概念來表達,或者源語中的事物在目的語中用其特征或屬性來表達。換言之,在為目標概念提供心理可及的過程中,源語中的概念和目的語中的概念構成整體和部分的轉喻關係。

例 10: 輕聲細語

譯文: say in the silkiest voice

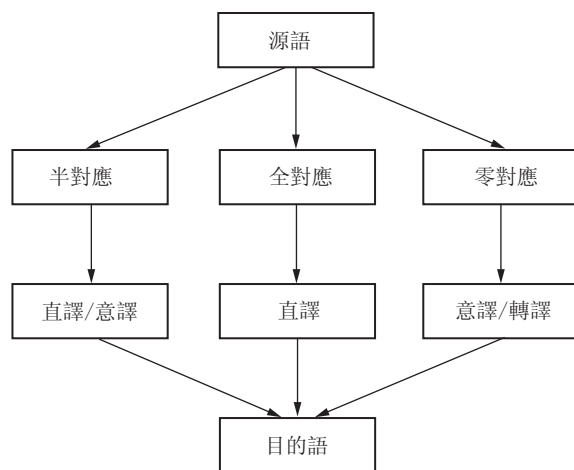


漢語“輕聲細語”指說話時聲音很小很細,一般用來形容女子說話,而譯文則借“voice”轉指“聲音”,就譯入語與源語的關係而言,兩者之間構成了“聲音代話語”的跨語言轉喻關係。

為了保持與原文一致的心理可及過程,轉喻翻譯必須盡量保留原文的轉喻特征,這包含以下兩方面的含義:首先,譯文要盡可能讓譯文讀者獲得與源文讀者相同的心理反應。換言之,在翻譯的過程中,譯文應盡量保留源概念為目標概念提供心理可及的轉喻思維過程。這種心理可及的過程是意義層面的。因此,在不同的語言中,表達目標概念的源概念的語言表達形式可能不一樣,但認知過程是一致的。其次,譯文要盡可能再現轉喻的修辭功能,維持原文的形式美和意蘊美。在使用轉喻的過程中,為達到譯文的優美,必須注重修辭效果。轉喻通常是以凸顯的或具體的事物來為不凸顯的或抽象事物提供心理橋梁,把兩種表面上關聯不大的對象聯系起來,引起讀者的聯想、思考和感悟,從而獲得語言的美感。同時,轉喻通過簡單的措辭來傳達複雜的意義,以達到認知和表達的經濟性。因此,轉喻翻譯除了保持信息的忠實與文字的通順外,譯文還要實現原文修辭效果的對等再現,讓譯文讀者能夠欣賞或領略到原文轉喻的風采。

#### 四、習語翻譯的策略

認知語言學認為語言是互動體驗與認知加工的產物。由於人類具有相同的生理結構,不同民族對客觀世界的體驗與認知在很大程度上具有相似性。然而,由於不同民族所處的自然環境、歷史文化與風俗習慣不同,不同民族的互動體驗、認知加工與語言表達也存在明顯的差異。從形式與意義維面來看,英語與漢語中習語呈全對應、半對應和零對應關係。針對英漢習語的翻譯,譯者可視具體情況分別采取直譯、意譯、轉譯等具體的翻譯策略(如下圖所示)。



##### (一) 直譯

直譯是源語的意義在目的語中的再現,源語的轉喻和表達手法在目的語中也會出現。英語的習語在形式和意義與漢語的形式和意義全對應或半對應常采用直意。

例 11:王夫人聽了,又好笑,又好惱,說道:“你又發了呆氣了,混說的是什麼?大凡做了女孩兒,終久是要出門子的,嫁到人家去,娘家那裏顧得?也只好看他自己的命運,碰得好就好,碰得不好也就沒法兒。你難道沒聽見人說“嫁雞隨雞,嫁狗隨狗”,那裏個個都象你大姐姐做娘娘呢?……”(《紅樓夢》第八十一回)

譯文: Both amused and exasperated, his mother exclaimed, “There you go again—talking nonsense! Sooner or later a girl has to leave home, and once she’s married off what can her mother’s family do for her? If she happens to get a good husband, fine; if not, there’s no help for it — that’s fate. Surely you know the saying, “Marry a cock and follow the cock; marry a dog and follow the dog”? How can every girl be like your eldest





sister, chosen as an Imperial Consort? ...”

習語“Marry a cock and follow the cock; marry a dog and follow the dog”中映射漢民族女性在婚姻中的依附。這句俗語是從“嫁稀隨稀，嫁叟隨叟”諧音訛化而來的。“稀”為少年，“叟”為老者，古人的婚姻只能聽憑父母安排，兩人甚至在結婚前都不知道對方是老是少，是美是醜。對對方的印象僅能從父母與媒人的話中想象，所以等看到對方的時候，無論是好是壞都已成定局，只能認命了。譯者選擇直譯便於理解，同時也存在著轉喻思維方式。

## （二）直譯+註釋

源文中的轉喻喻體蘊含豐富的文化內涵，包含特有的生活習慣、民俗風情、典故、傳說、歷史事件、人物、政治、宗教等，在另一種文化中用對等的喻體進行翻譯時，往往無法再現原文的文化信息。為了準確表達原文的意義，讓譯語讀者獲得同樣的認知反應，譯者可以采用“直譯 + 釋義”相結合的翻譯方法，對其文化內涵進行解釋。

例 12: He is like a thoroughbred horse, satisfying to the trained eye, docile to the light touch, and coursing in most wonderful unison with you through the open world. (George Santayana, *The Weather in His Soul*)

譯文：何況他就像是一匹英國純種馬，在內行人看來無可挑剔，輕輕一拍就能領會你的意圖，載著你穿越空曠的原野，和你完全融為一體。

在翻譯上有限度地改變原文連續用地使用轉喻進行翻譯，“satisfying to the trained eye, docile to the light touch, and coursing in most wonderful unison”保持原文意思的連續，全段文字產生統一中有變化的審美情趣。

## （三）轉譯

由於各民族在社會環境、歷史傳統、宗教信仰等方面的不同，在與客觀世界的互相作用中獲得的經驗會存在一些差異。這種社會文化的差異也同樣會體現在包括轉喻在內的語言表達形式中。在這種情況下，原文中用來激活目標概念的源概念跟譯文中的源概念不一致，但體現了同樣的認知方式。通常情況下不能把原文中的喻體移植到目的語中，而是采用目的語中對應的喻體，對原文中的轉喻進行轉譯，使轉喻的信息在目的語讀者的認知語境中易於接受，從而實現翻譯等值。

例 13: 肖英受到十足地傷害，人們幾乎一致認為她這是傍大款。

譯文：It is Xiaoying who suffers completely, because almost all the people think she has found a sugar daddy as her husband.

上句是“傍大款”在原文中所要表達的是“年輕女子嫁給有錢人”的意思，含貶義。這個漢語習語所描述的社會現象並不是中國特有，這樣一種社會現象和轉喻表達在漢語和英語中都有。翻譯所采用的策略便是轉換喻體，即找到英語讀者所熟悉的喻體來表達同樣的含義。在這個例子中“found a sugar daddy”便是英語讀者所熟悉的喻體，運用這個轉喻能完全表達出原文的含義，並保留了原文的語言特色。

## （四）意譯

當在目的語中找不到與源文一致或對等的源概念來激活目標概念時，通常采用歸化+意譯的方法，即在理解詞語表層結構的基礎上，用目的語的習慣表達方式把原文中轉喻的目標概念表現出來，以達到交流的目的。

例 14: 小丁在男女的問題上已經可以算是閱盡人間春色了，故而有點修成正果的味道，篤誠篤意地認為還是一夫一妻的方式最佳，既人道又天道，老天是絕不會用艾滋病來騷擾恩愛夫妻的。

譯文：As to sex, Xiao Ding has seen all kinds of beauties, therefore, he has a thorough understanding, and



sincerely think that monogamy is the best. It is both humane and natural. Loving couples will never be harmed by AIDS.

在這個例句中“閱盡人間春色”這個漢語習語也是有較深的隱喻含義,指“經歷過數量眾多的美貌女子”,屬於漢語中耳熟能詳的表達。但是對於英語讀者來說,“the beautiful scene of spring”無法和“美女”聯系起來,所以這個習語的翻譯舍棄了“人間春色”這個喻體,而直接意譯為“all kinds of beauties”。

譯者在處理習語的轉喻有不同的選擇,在目的語中有源語的對應時,可採用直接翻譯的策略;若沒有對應的翻譯時,譯者選擇間接翻譯的策略。

## 結語

轉喻在習語中使用非常廣泛,而且形式多樣。轉喻是兩個概念實體可及的心理基礎,借助鄰近關係實現不同語際的表達。在翻譯的過程中,源語表達與目標語的表達出現部分與整體、部分與部分、整體與部分的不一致,導致譯者在不同語言的轉換中選取不同的語言載體表達相同的意義。換言之,對於源語中的心理可及過程,譯文可能選取不同的實體來激活目標。在翻譯中,採用直譯、直譯+釋義和轉譯的翻譯策略和方法,達到“達”和“雅”的境界。從宏觀層面研究了概念轉喻在整個翻譯過程中的作用,認為翻譯是具有轉喻性的認知活動,翻譯過程中對文本的理解和表達都體現了轉喻認知語用機制。同時,轉喻本身也是一種翻譯策略。通過翻譯,挖掘深厚的文化意義,對中國文化走出去,增加文化自信,具有一定的意義。

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(Editor: Lucy)



# The Practice of Art Media and the Rebirth of Historical Archives:

## A Case Study of Rithy Panh's *The Missing Picture*

LIANG Sixuan

College of Arts and Humanities, Sichuan Fine Arts Institute, China

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**Abstract:** By regulating archives and other media, Cambodian director Rithy Panh's documentary *The Missing Picture* constructs a memory model of disaster narrative. The regulation of media by Rithy Panh enables a dialogue between an individual life experience and historical facts in the documentary, and opens the historical time and space suppressed by the official memory. It also explores the responsibility of "memory as a treasure of suffering" under social conflicts, and further raises questions about the weakness of Cambodian memory. From the perspective of "media regulation", the paper makes analysis of how Rithy Panh has constructed his visual historical archives and the cultural factors behind the documentary by regulating media.

**Keywords:** Rithy Panh; *The Missing Picture*; media; archives

**Notes on the contributor:** LIANG Sixuan is a postgraduate student in Sichuan Fine Arts Institute. Her academic interest lies in art theory.

## 藝術媒介的實踐與歷史檔案的重生

### ——以潘禮德的《殘缺影像》為例

梁思璿

四川美術學院藝術人文學院

**摘要:** 柬埔寨導演潘禮德的紀錄片《殘缺影像》通過對檔案等媒介物的調節,建構災難敘事的記憶模型。潘禮德對媒介物的調節,讓個體的生命經驗與歷史事實在影像場中產生對話,打開被官方記憶壓制的歷史時空,思索“記

憶作為苦難的寶藏”在社會衝突下的責任,並進一步對柬埔寨記憶的脆弱性發問。從“媒介調節”視角出發,探究潘禮德如何通過調節媒介物,建構其視覺歷史檔案,以及影像背後深層的文化因素。

**關鍵詞:**潘禮德;《殘缺影像》;媒介;檔案

## 引言

“檔案不是一個處理過去的概念問題。它是關於未來的問題,未來自身的問題,是對明天回應、承諾和擔負責任的問題。如果我們想知道檔案意味著什麼,我們只能在未來找到答案。也許,不是明天,而是更遠的將來。”<sup>①</sup>近年來,當代藝術創作者大量激活並使用檔案,將檔案和“存檔衝動”視為藝術生產實踐的重要方法。在東南亞影像中,對檔案的運用也愈見普遍。其中,紀錄片創作與檔案及其實踐的關係尤為密切。潘禮德不僅是當今柬埔寨最重要的、享譽國際的紀錄片導演,也是災難的倖存者,這兩個屬性讓他成為苦難歷史的特殊見證者。同時,他還致力於發掘檔案,並通過使用檔案等媒介物,在影像場中使檔案重生,以再現黑暗歲月中被壓制的創傷記憶,審問殘酷的歷史,記憶也成為其影像的顯性主題。然而,檔案作為知識場域的一部分,不能成為記憶本身。在2013年的《殘缺影像》中,潘禮德綜合了民主柬埔寨時期的視覺檔案、私人照片與粘土雕像等媒介物。他用第一人稱視角,以蒙太奇的方式使“我們通過媒介的形象對媒介說話,媒介也通過其形象對我們說話”<sup>②</sup>,展現了被壓制的創傷記憶,召回空白的歷史“殘缺影像”,並建構自己的視覺與記憶模型,進而對權威話語塑造的“神話”真實性提出質疑。

## 一、藝術媒介的實踐:粘土、身體、場域

“記憶是維持與遺忘的能力、經歷和技能,以便能夠接納新事物。”<sup>③</sup>但當歷史走向死亡的速度越來越快,那些周而復始的事情也逐漸走向終點<sup>④</sup>,記憶需要面對的便是遺忘。尤其是以時代見證人為載體,時間在一百年之內會隨著當下社會情況而不斷遷移的交往記憶,其“生存”面臨著悄無聲息的危險性——“納粹時代的暴行正是這種情況。十年之後,那個時代的人將會消失。”<sup>⑤</sup>柬埔寨人面對民主柬埔寨時期的歷史事實,其交往記憶同樣處於險境中。官方記憶也對其合法性進行剝奪。檔案“是由被識別為歷史文檔和物件所組成的”<sup>⑥</sup>,然而,當檔案的可訪問性受限時,會致使某個社群在塑造集體記憶與形成認同時產生局限性<sup>⑦</sup>。這段歷史是瞭解該國的重要一環,但在這一時期,記者等外來者無法進入,大部分影像是應官方要求所製作的宣傳片。因此,能對個體創傷記憶進行審視的視覺檔案幾乎空白。電影作為溝通社會歷史和記憶的“中間人”,在這一時期也持續地處於失語狀態。

在檔案成為剩餘物前,首先充當的是對記憶進行控制的角色,它“是有選擇地留存下來的。這種有選擇留存下來的檔案,目的之一即在於控制社會記憶”<sup>⑧</sup>。而在當代檔案藝術創作中,檔案作為媒介物,並不直接顯現意義。創作者通過對檔案及其他媒介物進行調節<sup>⑨</sup>,讓這些媒介物成為連結歷史、記憶與現在的“中間人”,由此重生。“如果說形象是一種生命形式,而物體是它們的身體,那麼媒介就是圖像在其中活過來的棲居地或是生態系統。”<sup>⑩</sup>媒介同時是發送者和接收者,由此成為集體單數的名詞,通過它,“印象得以傳遞而被人感知,或是能與死者進行交流的通靈人”<sup>⑪</sup>。影像是圖像的另一種生命形式,同時也是無聲的幽靈。

《殘缺影像》中,潘禮德在民主柬埔寨的歷史框架內,連結真實的檔案與虛構的媒介物,其目的並非為了建造歷史文獻庫或尋求歷史真相,而是從個人視角出發,以“媒介調節”<sup>⑫</sup>為工作方式,喚起創傷記憶的時間性邏輯。“創傷”(Trauma)最初指主體在身體上所受到的物理性傷害。在弗洛伊德那裏,它是一種精神上的傷害,並經歷了從個體心理創傷、客體關係心理再到文化創傷的三次移位<sup>⑬</sup>。潘禮德在《殘缺影像》中以一段海水翻滾的鏡頭作為開頭,“在水中,甜與苦交雜。我找尋兒時的記憶,像尋找遺失的畫面。或者說,是它找

回了我……當恐懼與希望輪替出現時，記憶就在那裏，在寺廟中跳動著，我想擺脫它們。”<sup>④</sup>該鏡頭隨著創傷記憶的敘事兩次重複出現在影片中。當個體經歷重創性事件後，其主觀記憶無法延續，連接感知、行動和記憶的鏈條形成斷裂。由於個體在此時所受的經驗結構與日常生活經驗結構有別，創傷記憶轉為無時性的個體無意識，並與日常生活領域形成無法逾越的鴻溝<sup>⑤</sup>。潘禮德以借喻的方式、化身的形態，闡明創傷記憶的“復興”，以及使其與日常生活領域斷裂的根源，被壓制的童年“殘缺影像”由此化為無意識，潛入心理空間中，困擾著他。

除了創傷主體從無意識到心理空間的移位外，創傷主體還會轉向與認同客體產生扭曲關係，也就是將“愛”以逆轉的方式，從“失去的客體”移情至心理空間中被對象化的自我上，從而形成新的客體<sup>⑥</sup>。“‘事物本身就是地點，而不僅僅是存在於某個地點。’當事物是人的身體或其雕塑表現時，這一論斷就尤其真實。”<sup>⑦</sup>身體作為創傷記憶的載體，同時也是創傷記憶存放的地點。粘土雕塑與檔案作為媒介物在潘禮德的影像中，承擔著展現記憶地點、事件與呈現創傷主體被壓抑和割裂的心理空間圖景的責任。如潘禮德所說：“作為佛教徒，雕像對我們來說不僅僅是塊石頭。我們相信佛像具有某種靈魂……它是泥土、水還有火，它具有形式和生命。”<sup>⑧</sup>

在《殘缺影像》中，粘土雕像的隱喻具有雙重性，並與檔案一同充當著創傷主體移情後的新客體。一方面，它作為索引，經由導演的第一人稱敘述，再現其個人創傷記憶，讓逝去的幽靈重返現場。

首先，軍隊佔領金邊後，大量金邊市民被驅向農村。潘禮德以身著彩色衣服的雕像還原了這一情景中的自己和家人。而後，他們的衣服被染黑，名字被編號取代，被稱為“新人”。創傷記憶之場中被佛教徒視為具有生命的粘土雕像，變得沒有表情，沉默寡言，失去色彩，剩下的僅是一個失語的粘土傀儡。在影片的後半部分，潘禮德將其父母的私人照片、自己的影像檔案和粘土雕塑並置。在場的遺留物重新將逝去的幽靈召回，並引入當下時空，粘土雕像再次具有了生命。在此，代表其父母的粘土雕像作為索引，與私人照片這一遺留物產生關聯。影像檔案中的導演對著已逝去的父母，言明拍攝本片的初衷：“他簡單地做了抉擇，一個意識形態的抉擇，成為了罪犯……這就是我要拍這部片子的原因，沒有人生來就是劊子手。”影像檔案之外的父母也與導演進行跨越時空的對話。潘禮德通過對媒介物進行調節，在召回創傷記憶的同時，也使作為身體的粘土雕像和事物的區別消散了。

其次，海水翻滾的鏡頭再次出現，潘禮德將身著白衣的粘土雕像和弗洛伊德畫像並置。敘述者說：“他們說討論會有幫助，你瞭解以後，就可以克服。對於我而言，這智慧永遠不會到來。”緊接著，身著彩色衣服，代表著導演逝去的家庭成員的粘土雕像出現在畫面中。潘禮德將具有相關性的圖片檔案和粘土雕像進行調節，闡明他經歷災難性創傷後，創傷記憶經驗始終無法與日常生活經驗調和。儘管在日常生活經驗領域中，記憶具有時間性，但無時性的創傷記憶始終困擾著他；儘管他想去克服，但這種智慧始終離他很遠。如潘禮德所說：“我們希望能得到安撫，但靈魂的安撫不是自動的，否則我晚上不會大聲尖叫。也許是靈魂或身體的防禦，故事會再次回到你身邊。”<sup>⑨</sup>

另一方面，潘禮德將具有補充性和抵抗性的媒介物與官方影像檔案並置，並質疑後者塑造的“神話”。在《殘缺影像》中，潘禮德歸檔了稻田中“新人”的官方影像檔案，其中呈現出一副豐收的景象。在官方記憶中，領導者的話被保留了下來：“目前我們集體合作的成果，已經穩固如山。不管是政治上或精神上，完全有能力去達成所有的指令。”並言明舊時代悲傷與貧窮的境況已經得到扭轉。其後，導演將粘土雕像與官方影像檔案並置，賦予粘土雕像以領導者的身份，並通過該時期攝影師所拍攝的模糊影像畫面對政治“神話”提出質疑：真實情況是否如此？1975年，柬埔寨農村因四年來不斷受到他國轟炸，農業基礎設施被破壞；1977年，東南亞的洪災和嚴重乾旱又使柬埔寨農業雪上加霜<sup>⑩</sup>。導演再次調節被賦予“新人”身份的粘土雕像。敘述者說：“這個男人非常虛弱地坐在地上，他沒有進食也無法動彈。”至此，粘土雕像這一具有“生命形式”的媒介物，以沉默作為口舌，以補充性的形式填補被壓制的集體創傷記憶的空缺。同時，它又以一種抵抗性的姿態，作為記憶的觸發器與官方影像檔案並置，對“神話”真實性提出質疑。



創傷記憶導致潘禮德在創傷經驗領域與日常生活領域間形成了無法逾越的鴻溝。但存檔式影像為他提供了一個治療性的場域。在這一場域中,潘禮德賦予粘土雕像和檔案以批判性的媒介物身份,並對它們進行調節,使在特殊時期中失語的檔案再次發聲。其影像暗含著創作者的心理空間圖景,又超越了圖像的語法,以個體的生命經驗和創傷記憶出發,與受害者的魂靈對話。藝術媒介的一系列實踐,追尋了集體記憶與歷史事實,為過去、現在與未來搭建起溝通的橋樑。

## 二、檔案重生:創傷、批判、復興

20世紀60年代的柬埔寨,有300餘部國產電影上映,僅在金邊市就有30家電影院,放映著來自西方世界、印度及香港的電影,電影產業十分活躍,吸引了大批觀眾。1975年後,電影產業幾乎坍塌,導演和演員受到壓迫,電影膠片和製作設備被搗毀<sup>①</sup>。正如潘禮德所說:“在1975年至1979年……沒有電影院,沒有歌曲,沒有書籍,沒有電視。藝術消失了,這個國家正處於消失的邊緣。”<sup>②</sup>在這一時期內,影像作為一種承載記憶的媒介,其檔案的形式已然式微,記憶與遺忘在某種程度上處於緊張關係中。

當歷史成為過去,記憶逐漸消散,檔案承擔起補償記憶的重任,清晰地勾勒國家、社會以及國民意識的變遷軌跡,進而成為連結集體記憶與個體身份認同的線索。潘禮德對檔案記憶的實踐,成為應對柬埔寨文化記憶健忘症的方法,從挖掘“歷史”現場到建構“視覺歷史檔案”現場,形成了兩個交錯重疊的空間:在藝術外部,即現實生活中,建立作為記憶之場的檔案館,召回缺失的歷史事實,化無形為有形,記憶由此在加速的遺忘中放慢腳步。在藝術內部,即藝術創作中,將檔案作為媒介物,重構被放逐的歷史事實與被壓制的創傷記憶。

潘禮德於1979年離開柬埔寨,輾轉泰國難民營,最後定居法國。地點的轉換,時間的流逝並未減輕其創傷的痛苦。他發現“隨著年輕的增長,我們會更加感到疼痛。多年來,我希望減輕痛苦,但事實並非如此……(我)已經死過一次,然後又獲得了重生,但痛苦卻使我內心深處死亡。我必須接受這種痛苦,並忍受直到我生命的盡頭”<sup>③</sup>。1990年,他回到柬埔寨,試圖尋找能讓魂靈不再流浪的證據。他意識到自身與祖國面臨視聽遺產的困境:沒有記錄,他的名字、宗教、文化習俗和家人正逐漸被遺忘。1990年代初,潘禮德與柬埔寨參議員和大臣伊利·潘納卡(Ieu Pannakar)共同籌備博法娜(Bophana)視聽檔案中心。他將民主柬埔寨時期的受害者博法娜作為抵抗的象徵,以個人生命經驗的故事來重建歷史的連續性,並恢復和保存被社會衝突所摧毀的檔案記憶:從世界各地收集關於柬埔寨的電影、電視、攝影及聲音檔案,設立檔案館,以呈現檔案和文化在國家身份表達中的重要性。“柬埔寨是一個年輕的國家,我們必須給年輕人以希望。過去告訴我們明天會發生什麼;而這裏的圖像使我們思考並養活我們;這是向前邁進的強大力量。”<sup>④</sup>潘禮德作為藝術家,以博法娜視聽檔案中心為起點;作為檔案工作者,建立檔案的可訪問性空間和記憶的實踐空間。其目的並非尋找歷史真相,也無意成為反叛者,而是通過檔案這一媒介物,將創傷記憶置入特定歷史語境中,以療傷的方式探尋人類創傷經驗背後的意義,進而反思衝突社會下的災難性事件。檔案失去可訪問性,記憶也“搖搖欲墜”,檔案的獲取、參與、組成,實際上就是對“歷史”現場的挖掘。

在藝術內部,他使用歸檔式的工作方法,對真實的檔案和虛構的媒介物進行調節,建構關於複雜性時間的“視覺歷史檔案”現場。檔案的意義由此拓展,與創傷記憶對話。在《殘缺影像》中,潘禮德通過使用此前官方拍攝的柬埔寨國家銀行的影像檔案,質詢其對知識的破壞,“在這裏,學校成為了滅絕營。在這裏,豬成為了讀者,因為讀者都是豬”。在影片開頭佈滿灰塵的膠片中,一位身著柬埔寨服飾的女演員正優雅地跳著傳統舞蹈。潘禮德通過對膠片這一廢棄物的調節,展現了柬埔寨文化的縮影。女演員的影像檔案在影片中間部分再次出現。在此,導演將作為虛擬媒介物的粘土雕像與影像檔案並置,動態的女演員和靜態的、代表潘禮德本人的粘土雕像進行對比,也召回了他的童年記憶,即潘禮德的導演鄰居在電影拍攝現場的畫面。這一部分以第一人稱言明媒介調節的意義,“我收集廢棄的膠片,我用一個盒子和小盞燈來觀看”。導演作



為檔案的收集者,將廢棄物與影像檔案進行調節,目的在於召回遺失的文化記憶,給予影片物質性支撐。一方面,以檔案和粘土雕像為綫索,召回了導演本人在 1975 年以前的記憶,回到創傷記憶的起點,在那裏,他見證了柬埔寨電影的黃金時代;另一方面,將二者並置,回應了該時期官方對“娛樂式的個人主義”電影產業及電影創作者進行壓制的歷史事實。由此批判暴力之下視覺檔案缺失所造成的文化記憶喪失。潘禮德通過召回個體記憶,質詢並復興被銷毀的存儲記憶,形成個人與歷史對話的記憶之場。

潘禮德通過從藝術外部建立檔案中心的形式,挖掘“歷史”現場;從藝術內部以影像形式,調節真實的檔案與虛構的媒介物,通過建構“視覺歷史檔案”現場來召回和釋放民主柬埔寨時期被壓制的歷史事實與創傷記憶。從記憶與遺忘的辯證關係出發,潘禮德並非以史家身份挖掘歷史真相,而是通過媒介的實踐在藝術外部和內部,讓檔案復興並形成歷史和記憶的迴圈。由此,在創傷記憶的批判視角之下,以復興的檔案來連接過去、現在和未來,克服記憶的缺失,擴大文化的延續性和可通達性。藝術媒介的實踐與歷史檔案的重生,體現了潘禮德作為東南亞的藝術家,“不僅創作、反映、評論變化的作品,而且積極地將自己的實踐服務於變化,他們的藝術是所有人不可或缺的,重要的社會與政治聲音”<sup>25</sup>。

### 三、跨文化邊界:想像的共同體

1975 年後,約有四萬柬埔寨難民在法國得到合法庇護。1978 至 1979 年,法國每月陸續接收約 1000 名柬埔寨難民。這些流亡者大都是知識份子、農民或勞工,他們通常經過泰國或是越南的難民營到達法國<sup>26</sup>。潘禮德正是其中的一員。他於 1964 年出生在柬埔寨首都金邊的知識份子家庭,他的父親曾擔任柬埔寨教育部首席副部長。1975 年,他隨家人一同被驅趕出金邊前往農村。此後四年,他在農村的勞動營度過。在那裏,他挖水壩、埋葬死者,他的雙親也在這場災難中喪生。1979 年,他逃離柬埔寨前往泰國難民營,隨後到達法國。在法國的日子裏,他回憶道:“1979 年,我到達格雷諾布爾(Grenoble),得到了家人們的歡迎。對於我所經歷的一切,我幾乎沒有告訴他們。在用高棉語寫的一段話中,我敘述了從 1975 年到 1979 年那四年。但隨著時間的流逝,那些舊頁面消失了,我再也找不到它們。”<sup>27</sup>流散經歷為潘禮德的藝術實踐打上了跨文化印記。在其影像中可見,一方面,其跨文化經驗為影像提供了主題;另一方面,為他在遷徙、流離失所下所導致的身份認同問題提供了思索空間。

然而,具有跨文化導演、倖存者和流亡者三重身份的潘禮德卻面臨著這樣的問題,即跨文化經歷在主體的身體層面上是暴力的,新移民必須選擇是以保留原始習性來保持其身體習慣,還是以流失為代價來擺脫它們。這些以犧牲記憶為代價的習慣編碼,是決定許多跨文化電影對感官傳統矛盾心理的基礎<sup>28</sup>。從柬埔寨到法國,非西方的文化湧入西方社會,被壓制的文化記憶會再次回到曾遭到破壞的國家歷史,這時,柬埔寨的官方記憶將會處於失語狀態。於潘禮德而言,則是官方影像檔案的失效。因此,他採用了對檔案、粘土雕像和語言進行媒介調節的方法,對創傷記憶下的身份認同問題在影像中編碼。

民族是構建身份認同的要素,本尼迪克特·安德森認為民族“是一種想像的政治共同體——並且,它是被想像為本質上有限的,同時也享有主體的共同體”<sup>29</sup>。儘管成員間沒有實質性接觸,但民族卻以相互聯結的符號形成牢固的共同體,語言就是重要的標誌。在《殘缺影像》中,潘禮德對法語的使用體現了他對“流離失所”下身份問題的思考。

1863 年,柬埔寨成為法國殖民地。往後 90 年間,殖民者試圖從語言、政治、宗教、農業等方面對柬埔寨傳統文化進行西化。儘管柬埔寨於 1953 年獲得獨立,但在潘禮德的影像中,透過語言,仍能洞見殖民歷史對該國的影響。首先,潘禮德使用法語而非高棉語來呈現《殘缺影像》。他解釋道:“我用法語製作這本書是對我父親的敬意,父親非常喜歡法語,也喜歡法國詩歌。法語也是我認為適合的一種語言,它非常精確,但同時又美觀。”<sup>30</sup>潘禮德將代表其父親的幽靈般的粘土雕像投射在牆上,父親用法語吟誦著他最喜歡的法國詩人賈克·普維(Prévert)的詩:“黑髮,黑髮,被海浪撫摸著。黑髮,黑髮,吹亂在風中。”一方面,體現了法國文



化對其父親的影響；另一方面，也用媒介物喚起父親和自己的童年記憶。即便在勞動營中，父親仍堅持使用法語。其次，潘禮德將博法娜的照片檔案放在影片中，這也與他在藝術外部的檔案實踐產生對話。博法娜在 S-21 集中營中堅持用拉丁文在給愛人的信中署名，而非高棉文。在影片最後，潘禮德與父母通過電視機“相遇”，雙方仍用法語對話。潘禮德對語言的使用，不僅是其試圖解構官方“神話”的方法，並且，語言、檔案及粘土雕像也成為抵抗性的媒介物，承擔了呈現創傷記憶的責任。

身份認同總是在“自我”與“他者”的差異中被彰顯，其邊界總隨著主導話語而不斷變化。隱含在語言之下的是“‘我們’與‘他們’之間的二元對立，前者總是在侵蝕著後者（甚至走到使‘他們’完全淪為‘我們’的工具的地步）”<sup>⑩</sup>。語言的使用者在思維、文化及語言上存在著顯著的差異，差異的源頭是根本性的，它“迫使人們的想像脫離像歡樂、痛苦、政治組織這樣共同的、普遍的人類現實，迫使人們將注意力回溯並下溯至那不變的源頭”<sup>⑪</sup>。潘禮德作為特殊歷史的倖存者、跨國的流亡者，身份認同化身語言潛入其腦海。不可否認，對法語的使用，除基於歷史發生地的殖民地背景外，還與潘禮德在法國的生活和電影教育背景有關。“母語的錯位”也體現潘禮德作為流散者，對其本人身份認同的飄忽不定和曖昧。他在《殘缺影像》中，以調節媒介物為路徑，使模糊的身份認同得以顯現。民主柬埔寨的歷史現實造成了柬埔寨人“殘缺的影像”，而災難性事件後的創傷記憶和流離失所又造成了潘禮德“殘缺的身份”。

如潘禮德所言，“檔案是活的，沒有什麼是沉默的”<sup>⑫</sup>。檔案連結歷史與記憶，但當檔案受制於權力話語時，不可避免地導致記憶的殘缺。無論個體還是集體，召回歷史與記憶是重塑自身身份的重要路徑。在《殘缺影像》中，潘禮德融入了其跨文化語境下創傷記憶的生命經驗，通過調節檔案、粘土雕像等媒介物，建立了自己的記憶模型和視覺歷史檔案。潘禮德的影像不僅召回了個人的創傷記憶，也是對“沉默”的、同屬的歷史進行另一種敘述，溫和且有力量。他並非歷史學家，也無意尋求集體的歷史真相，而是以藝術家的身份，迂回地將難以言說的過去與現在、未來相連結，尋求屬於自己的真相，捕獲被官方記憶壓制的個體記憶和生命圖景。更重要的是，他以真實的影像檔案和虛構的粘土雕像進行媒介調節，進而敘述創傷記憶，是一種新的路徑，即影像作為藝術媒介的實踐，讓歷史檔案重生，並以此解剖和反思懸而未決的災難性事件。潘禮德在方法和結構上的創新，為亞洲影像藝術在探討災難性歷史事件等議題上，提供了更多表達的可能性。

#### 注釋：

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(Editor: Zoey)

# 國際人文社科跨學科研究協會 ( IAIHSSR ) 正式成立

**To cite this news:** International association for interdisciplinary humanities and social sciences research (IAIHSSR) founded.  
*Asia-Pacific Journal of Humanities and Social Sciences*, 01:2, 097, DOI: [10.53789/j.1653-0465.2021.0102.012.n](https://doi.org/10.53789/j.1653-0465.2021.0102.012.n)  
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2021年8月4日,International Association for Interdisciplinary Humanities and Social Sciences Research(簡稱IAIHSSR)在澳大利亞新南威爾士州成功註冊,標志著國際人文社科跨學科研究協會的正式成立。澳大利亞聯邦大學 William Andrew Zankin 教授擔任協會會長, *Asia-Pacific Journal of Humanities and Social Sciences* 期刊主編蔣林教授、Asia-Pacific Publishing Group 總裁 Terry Xue 博士擔任協會的常務副會長,來自中國浙江的金駱彬博士擔任協會秘書長。

該協會是非營利性的國際學術組織,旨在發展研究人員之間的專業關係,促進研究機構和社會之間的聯系,收集對人文社科研究發展有用的文獻,用實際行動打破人文、社會科學和其他學科之間的壁壘,組織全球人文社科大會,促進人文和社會科學教育,編寫全球關注的出版物,促進人文社會科學知識對全球問題的影響。目前,共有60多名來自中國、美國、德國、英國、南非、喀麥隆、馬裏等10余個國家的專家、學者、外交人員擔任國際人文社科跨學科研究協會的副會長、常務理事、理事和會員。

該協會致力于打造全球人文社會科學交流平台,打破學科界限和壁壘,推動諸學科的深度融合,促進人文社會科學研究由分散走向整合、由封閉走向開放、由固定走向流動的發展格局。



# Watercolor Painting Series: *The Countryside Life*

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46cm\*61cm

吳小紅  
浙江浦江人，女，浙江師大應用數學理學  
碩士，現任浙江師範大學美術學院教學辦  
主任，副研究員，浙江省美術協會會員。作品  
在國家級、省級展覽中入選、獲獎。



46cm\*61cm

Watercolor Paintings by WU Xiaohong

WU Xiaohong holds the Master of Applied Mathematics Science of Zhejiang Normal University. She is currently an associate researcher, director of the Teaching Office of College of Fine Arts in Zhejiang Normal University, and a member of the Zhejiang Art Association. Her works have been selected in the national and provincial exhibitions, and won several awards.



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