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《國立彰化師範大學文學院學報》第七期總編序

《國立彰化師範大學文學院學報》，也稱《彰化師大文學院學報》，於民國 91 年 11 月由文學院首任院長張水木創刊。之後，每年刊出一期，至民國 94 年共刊了四期各領域數十篇優質論文。本人 99 年 8 月接任第四任院長時（前面張水木博士兩任、林明德博士代理一年，何猷賓博士一任，蔡衡博士代理一年），有鑑於評鑑時代來臨，同仁籲請復刊，以拓展華文世界人文學門優質論文與個人思想之發表園地，院務會議（100 年 6 月）從善如流，隨即組成編輯委員會，委員們分頭辦理業務，並責令院辦進行全國徵稿。之後各項業務推展順利，由於是半年刊，截至目前，已然出版五、六兩期（出版日期分別為 101 年 3 月及 101 年 9 月），隨著這本第七期之順利出刊（102 年 3 月），一切編輯業務顯然已上軌道，看起來本學報之未來將會是一片光明。


和其他學報不一樣之處，本學報「總編序」之設計，除了解釋學報出版政策之外，尚以介紹華文學界各個人文學門的重要學者為目標。過去兩期，我們介紹了耿志堅博士這位中文系的語言學家，以及郭鳳蘭博士這位英語系的語言學家。本期我們介紹黃忠慎博士這位中文系的經學家。我的好友忠慎兄是彰化師大文學院第一位特聘教授，曾經榮獲國科會優等研究獎，以及本校傑出研究教師獎、頂級研究獎，其主要的研究領域為《詩經》學、《尚書》學、四書學、經學史等，著作等身，近五年來的專書著作超過 5 種，期刊論文超過 20 篇，其中多數發表於 THCI Core 期刊上，例如《中國文哲研究集刊》、《漢學研究》、《臺大中文學報》、《臺大文史哲學報》、《清華學報》等。這次本人特邀忠慎兄撰寫論文，得其慨然同意，而以〈今文《尚書》的篇數與〈顧命〉、〈康王之誥〉的分合問題〉應邀。我雖非內行人，但觀其題旨，意義著實不凡：蓋後世言及今文《尚書》之篇數，或謂二十八篇、二十九篇、三十一篇、三十二篇，極為容易讓讀者滋生困擾，其中的關鍵有二，一是伏生與其後學者的《尚書》文本篇數原已頗有出入，一是〈顧命〉與〈康王之誥〉的分合不一，透過忠慎兄的論述，可以讓讀者清楚地知道事情的原委始末，我們非常謝謝他對第七期的貢獻。

時光荏苒，創業維艱，本期我想多介紹一位學者，向華文的翻譯學界推薦一位具有英文語言學、統計學、經濟學及法學專長的學者賴秉彥博士。秉彥兄現為彰化師大翻譯研究所副教授兼所長（兼代兒童英語研究所所長），除了擁有語言學及統計學雙碩士學位之外，尚擁有經濟學博士學位及法律的專業學位，有商學院教書經驗八年（授過三十餘門課），以及教授經貿與政治外交等專業領域翻譯七年的經歷。由於其人學術專長為國貿理論、經濟與法律、區域經濟、與經貿文獻翻譯，我特邀他以他的學術觀點處理一下翻譯學的問題，他則透過以效益為依歸的比例原則探討翻譯策略以回應我的邀請。從我個人觀點，看起來秉彥兄是認

為，依據比例原則，譯者應思考其所採用之翻譯手段，是否與忠實傳達原文資訊之目的，形成合理的比例。文章對目的的定義，指忠實傳達蘊藏在原文文字底下的資訊意涵。他認為這類的資訊意涵，往往來自典故與專業知識。翻譯手段則定義為表面上的文字更動。文章之結論，可歸納為三點：首先，應避免不必要的句型轉換，或是用相似的意思取代原先的意思。其次，對於文章的語氣，則主張極力保留，因為這類語氣的轉達對資訊傳遞的影響事關重大。最後，當譯者處理原文簡約、涵意豐富的狀況時，也可以根據比例原則來決定應該以原文之文字或是完整表達原文所蘊含的涵意為依歸。秉彥兄文走實務，但意在言外，頗具個人風格，想來對華文世界的財經商貿筆譯法則將有一定之貢獻，為第七期內涵豐富不少，在此一併致謝。

《國立彰化師範大學文學院學報》總編

彭輝榮謹誌



中華民國 102 年 3 月

主編的話

《國立彰化師範大學文學院學報》發行至今已屆第七期，不但提供本校文學院各系所教師及博士生發表研究成果之園地，更廣向校外各相關領域之專家學者徵稿。因本校文學院各系所涵蓋國文、英語、地理、美術、歷史等學門，故學報內所發表論文的主題多元且豐富，甚至亦有音樂與其他相關學門的共襄盛舉，且篇篇論文理闡義精，斐然成章。在各方的努力之下，使本學報得以逐漸成長茁壯，成為促進專業成長的沃土與學術交流的平台。

本期共收稿件 21 篇（含特約稿 2 篇），含 16 篇外稿及 3 篇內稿，在嚴謹的審查機制下，共計通過 10 篇，退稿率達 47%。踴躍的投稿，使得論文被刊登的難度隨之提升，也更加顯示本學報受各學界接受與肯定的事實。展望未來，本學報仍將秉持嚴謹專業的學術精神，維持一貫的品質，亦懇請各方賢德與先進的不吝指正與支持，以提升本學報的學術影響力，成為國內不可或缺的重要學術刊物。

本人非常榮幸獲文學院院長之邀，忝為學報第七期主編，在校內、外編輯委員們的協助之下，終於完成任務，順利如期出刊，並藉此對所有賜稿者、審查委員與編輯群先進們，以及行政作業襄助人員等，致上個人深深的謝忱。

《國立彰化師範大學文學院學報》第七期主編

特聘教授 蔡 衡 謹誌



2013 年 3 月

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今文《尚書》的篇數與〈顧命〉、〈康王之誥〉的分合問題

黃忠慎*

摘要

《尚書》是中國的著名經典，在群經之中，今文本與古文本差異之大，爭議之多，無過於《尚書》者。來源可信的孔壁本古文《尚書》四十五篇早已不見，此成為一大憾事，而出現於東晉時代的五十八篇本古文《尚書》自宋以來即已廣受爭議，凡有辨疑存真的讀經堅持者，大概會傾向於以今文《尚書》為主要的研習對象，而今文《尚書》的篇數問題，在經學史上亦紛擾甚多，根據本文的探究，《史》、《漢》所說的漢初伏生以二十九篇《尚書》教人，篇中絕對沒有〈書序〉與〈泰誓〉，至於〈顧命〉與〈康王之誥〉則分而為二。後世言及今文《尚書》之篇數，謂二十八篇、二十九篇、三十一篇、三十二篇，都可找到文獻上的根據，但若易「今文《尚書》」一詞為「伏生《尚書》」，則篇數僅能說是二十九篇，且不能包入〈書序〉與〈泰誓〉，亦不能將〈顧命〉與〈康王之誥〉合為一篇。在伏生之後，今文系統中的歐陽本《尚書》將〈顧命〉與〈康王之誥〉合為一篇，加入〈書序〉一卷與〈泰誓〉三篇三卷，此舉有視〈書序〉為經之意，但不為之作解詁，故《經》有三十二卷之多，《章句》則少一卷。大小夏侯本《尚書》又將〈書序〉排除在外，用一卷的篇幅收納〈泰誓〉一篇，如同歐陽氏，將〈顧命〉與〈康王之誥〉合為一篇，使其篇數又回到伏生的二十九篇。〈顧命〉與〈康王之誥〉之情節有其一貫性，歐陽、大小夏侯的合二為一，可能是基於內容的考量，但因〈顧命〉與〈康王之誥〉在體裁上略有不同，所以東晉本古文《尚書》再將〈顧命〉與〈康王之誥〉分而為二。

關鍵字：《尚書》、伏生、今文、古文、〈顧命〉、〈康王之誥〉

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到稿日期：2012 年 12 月 31 日。

The Number of the Chapters in *Shang Shu* as well as the Combination and Dividing of “Goo Ming” and “King Kong’s Mandate”

Chung-shen Huang*

Abstract

Shang Shu is a famous classic in China. The huge differences between its ancient editions and the modern editions brought the most controversies among the Chinese classics. It's a pity that the original forty-five chapters of *Shang Shu* on Kong Wall has lost when the fifty-eight chapters emerged in Eastern Jin Dynasty has caused a huge controversy since Song Dynasty. Those who insist on clarifying the doubts and winnowing the truth tend to set modern editions as the focus of their research.

In the history of classic studying, there are a lot of disputes over the number of the chapters of *Shang Shu*. According to this research, *Shi Gi* and *Han Shu* revealed that in the early Han Dynasty Fu Shen taught with twenty nine chapters of *Shang Shu* without including the two chapters of “Book Preface” and “Tai Shi” while “Goo Ming” and “King Kong’s Mandate” were divided into two chapters.

Nowadays when we talk about the chapters in modern editions of *Shang Shu*, we can find evidences in documents for so called twenty-eight chapters, twenty-nine chapters, thirty-one chapters, or thirty-two chapters. But if we use the noun “Fu Shen *Shang Shu*” instead of the noun “modern editions of *Shang Shu*”, then the former covers only twenty nine chapters with “Book Preface” and “Tai Shi” were excluded, and “Goo Ming” as well as “King Kong’s Mandate” were divided into two chapters.

In modern editions after Fu Shen, Oa Yang combined “Goo Ming” as well as “King Kong’s Mandate” into one chapter and added one volume of “Book Preface” together with three chapters three volumes of “Tai Shi”, which was viewed as taking “Book Preface” as “Ging” without adding interpretation for it. So, “Ging” had 32 volumes, but “zhangju” had 31 volumes. Like Oa Yang’s combining “Goo Ming” and “King Kong’s Mandate” into a chapter, Big and Small Hsia Ho edition excluded “Book Preface” and collected “Tai Shi” into a volume to make the total chapters 29 chapters as Fu Shen’s edition. “Goo Ming” and “King Kong’s Mandate” were consistent in the plots, and that was the reason that Oa Yang and Big and Small Hsia Ho combined these two into one. But as there were little differences in the genre, they were divided again into two chapters in East Jin Dynasty in consideration of their contents.

Key words: *Shang Shu*, Fu Shen, Modern edition, Ancient edition, “Goo Ming”, “King Kong’s Mandate”

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一、前言

《尚書》為中國第一部史書，¹當然，這是就現代圖書的分類以其內容性質而言，在傳統的四部分類中，《尚書》被放在首位的經部中。

若可以不理會傳統的圖書文本內含與歸類認知，則所謂「《尚書》是我們研究中國古史、古代語言文學和學術思想所必須學習的一部古籍」之說已可謂完整，²不過，研究國學，若以為脫離傳統而重新進行詮釋，如此始可達成絕對客觀的要求，則終將以失望收場。誠如開浪漫主義詮釋學先河之德國哲學家赫爾德（Johann Herder, 1744-1803）所言，詮釋學不在追求文本之終極的、唯一的意義理解，為了肯定本文意義本身的多元性和相對性，我們必須尊重不同的理解和解釋，尊重不同的歷史傳統因素和民族文化之間的差異；恢復文本之意義乃意味著跟隨作者一起回到產生這些本文的歷史背景之中。只有在這些特殊的歷史背景中理解到的意識才是歷史上曾經存在過的現實意識。每一時代都有著對經典本文的自己的理解，沒有一個時代能達到所謂「絕對的」理解，現實的意識都是與一定的歷史文化傳統相關聯的相對意識。³赫爾德這樣的閱讀、理解理念，在以後的詮釋學發展史中被發揚光大，且成為主流。

根據上述的詮釋概念，「《尚書》是一部非常久遠以前的中國儒家經典」，這是歷史上的事實，必許給予尊重與肯定，而任何文本之所以能夠被稱為經典，當然都不是由某一時代的某一群人來決定的。如同中外其他諸多經典，《尚書》在經由縝密的語言表述系統，經過後人不斷地傳譯、詮釋之後，才能成為一種權威性與超越性的文本，並且取得大多數人的共識；具備了這樣的過程條件，《尚書》才夠資格被公認是中國的傳統經典。所謂的權威性、超越性，就如同德國的黑格爾（Hegel, Georg Wilhelm Friedrich, 1770-1831）所言，經典是自身有意義的，它可以自我解釋，又如哲學詮釋學（philosophical hermeneutics）大師加達默爾（Hans-Georg Gadamer, 1900-2002）所說，「經典是超乎不斷變化的時代及其趣味之變遷的」，經典之所以為經典，就在於它不僅屬於某一特定時代的時間和空間，而且能克服歷史距離，對不同時代甚至不同地點的人說話。⁴換言之，《尚書》（無論其為今文《尚書》

¹ 金毓黻（1887-1962）：「吾國史籍之生，應在制字之後，故遠古無史可言，近世考古學家，發掘地下之藏，就所得之骨骼器物，以推斷有史以前人類之狀況，是之謂史前史，然此為晚近產生之史學，而與古人無與者也。《左傳》載楚靈王謂其左史倚相能讀三墳、五典、八索、九丘；《周禮》外史掌三皇五帝之書，鄭《注》即以靈王所謂三墳、五典釋之；賈公彥《疏》，引《孝經緯》，謂三皇無書，此云三皇之書者，以有文字之後，仰錄三皇時事。按《尚書·偽孔傳·敘》云：『伏羲、神農、黃帝之書，謂之三墳；少昊、顓頊、高辛、唐、虞之書，謂之五典；八卦之說，謂之八索；九州之志，謂之九丘。』語或有據。章太炎先生云：『所謂三墳、五典、八索、九丘者，墳丘十二，宜即夷吾所記泰山刻石十有二家也；五典者五帝之冊；八索者以繩索為編，外史所謂三皇五帝之書。』吾考三皇之書，既由後人仰錄，且不傳已久，可弗置論。今《尚書》有《堯典》，當為五典之一，或疑其文字不古，豈亦由後人仰錄使然歟？要為古代之典籍，而具史之一體者。今所傳之三墳，既屬偽作，自《堯典》外，其他亦無考。故權論吾國古代之史籍，應自《尚書》、《春秋》二書始。」金毓黻：《中國史學史》（石家莊：河北教育出版社，2000年12月），頁32-33。案：《春秋》為孔子作，而孔子以《詩》、《書》教人，《尚書》的原始文本早於《尚書》，故本文云「《尚書》為中國第一部史書」。

² 張西堂：《尚書引論》（臺北：崧高書社，1985年9月），〈自序〉，頁1。

³ 詳潘德榮：《詮釋學導論》（臺北：五南圖書出版公司，1999年8月），頁32-33。

⁴ 詳張隆溪：〈經典在闡釋學上的意義〉，黃俊傑編：《中國經典詮釋傳統（一）通論篇》（台北：喜瑪拉雅研究發展基金會，2002年3月），頁3-5。案：張氏將 Hans-Georg Gadamer 譯為高達美。

二十八篇或二十九篇，又或者東晉所出古文《尚書》五十八篇），雖其各篇完成時代早至西周之初至東周時代（乃至晚書二十五篇誠如學者所考證，實為東晉人之作），對於中國歷朝各代的研經學者而言，即使閱讀《尚書》與其功名利祿無關，⁵也從不會認為其所面對的是一部早已過時的毫無趣味變遷的古籍，正相反，人們透過《尚書》所收的這些意涵豐富的上古史文獻，充分認識了虞、夏、商、周四代的政事，藉由經典所記載的四代聖君賢臣之嘉言懿行，所有時代的讀者找到了適合他們言行的指針與施政的龜鑑，亦即，兩三千年前的《尚書》克服了歷史距離（梅賾於東晉元帝司馬睿〔318-323 在位〕時獻上五十八篇本《尚書》，其中晚出之二十五篇，若為其所作，則時代距今約一千七百年），對所有不同時代與地點的人說話，即使在今日科學昌明的今天，其研習者依然不絕如縷，《尚書》之所以為經典，由此可見一斑。

今人選讀《尚書》這樣的經典，首先面對的就是版本的問題。《尚書》在秦火中並未提逃過一劫，從消失到復原，從亡佚到出現而又再亡佚，使得《尚書》出現今文與古文兩大系統的版本差異，由於來源可信的孔壁本古文《尚書》四十五篇早已不見，⁶而東晉時代所出現的五十八篇本古文《尚書》自宋以來又廣受爭議，⁷故今日

⁵ 案：經典的研究始於西漢，其蓬勃發展主要是透過朝廷的推動，班固（32-92）〈儒林傳·贊〉，云：「自武帝立五經博士，開弟子員，設科射策，勸以官祿，訖於元始，百有餘年，傳業者浸盛，支葉蕃滋。一經說至百餘萬言，大師衆至千餘人，蓋祿利之路然也。」〔漢〕班固著，〔唐〕顏師古注：《漢書》（北京：中華書局，1964 年 11 月），第 11 冊，卷 88，頁 3620。皮錫瑞（1850-1908）的一段話更可以讓我們看到此一實情，並瞭解學者對於以政治推動學術的正反兩種意見：「……至武帝，五經博士始備。此昌明經學一大事，而《史記》不載；但云：『武安侯田蚡為丞相，絀黃、老刑名百家之言，延文學儒者數百人，而公孫弘以《春秋》白衣為天子三公，封以平津侯，天下之學士靡然鄉風矣。公孫弘為學官，悼道之鬱滯，乃請……為博士官置弟子五十人。……郡國縣道邑有好文學、敬長上、肅政教、順鄉里者，……詣太常，得受業如弟子。一歲皆輒試，能通一藝以上，補文學掌故缺。其高第可以為郎中者，太常籍奏。即有秀才異等，輒以名聞。』此漢世明經取士之盛典，亦後世明經取士之權輿。史稱之曰：『自此以來，則公卿大夫士吏彬彬多文學之士矣。』方苞謂古未有以文學為官者，誘以利祿，儒之途通而其道亡。案方氏持論雖高，而三代以下既不尊師，如漢武使東帛加璧安車駟馬迎申公，已屬曠世一見之事。欲興經學，非導以利祿不可。古今選舉人才之法，至此一變，亦勢之無可如何者也。」〔清〕皮錫瑞：《經學歷史》（臺北：藝文印書館，2000 年 11 月），頁 65-66。即使是善於疑經惑傳的宋儒，其批判的態度有時也被指為與功名之獵取有關，司馬光（1019-1086）〈論風俗箴子〉云：「竊見近歲公卿大夫好為高奇之論，喜誦老莊之言，流及科場，亦相習尚。新進後生，未知臧否，口傳耳剽，翕然成風。至有讀《易》未識卦爻，已謂〈十翼〉非孔子之言；讀《禮》未知篇數，已謂《周官》為戰國之書；讀《詩》未盡十二公，已謂三《傳》可束之高閣。循守注疏者謂之腐儒，穿鑿臆說者謂之精義。且性者，子貢之所不及；命者，孔子之所罕言。今之舉人，發言秉筆，先論性命，乃至流蕩忘返，遂入老莊。縱虛無之談，騁荒唐之辭，以此欺惑考官，獵取名第。祿利所在，眾心所趨，如水赴壑，不可禁遏。」〔宋〕司馬光：《傳家集》，影印《文淵閣四庫全書》（臺北：臺灣商務印書館，1983 年 8 月-1986 年 3 月），第 1094 冊，卷 42，頁 390：10a-10b。

⁶ 《漢書·藝文志》：「古文《尚書》者，出孔子壁中。武帝末，魯共王壞孔子宅，欲以廣其宮，而得古文《尚書》及《禮記》、《論語》、《孝經》，凡數十篇，皆古字也。共王往入其宅，聞鼓琴瑟鐘磬之音；於是懼，乃止不壞。孔安國者，孔子後也。悉得其書，以考二十九篇，得多十六篇。安國獻之，遭巫蠱事，未列于學官。」《漢書》，第 6 冊，卷 30，頁 1706。所多出來的十六篇，根據《尚書正義·堯典》所引鄭注《書序》為：「〈舜典〉一，〈汨作〉二，〈九共〉九篇十一，〈大禹謨〉十二，〈益稷〉十三，〈五子之歌〉十四，〈胤征〉十五，〈湯誥〉十六，〈咸有一德〉十七，〈典寶〉十八，〈伊尹〉十九，〈肆命〉二十，〈原命〉二十一，〈武成〉二十二，〈旅獒〉二十三，〈冏命〉二十四。以此二十四為十六卷：以〈九共〉九篇共卷，除八篇故為十六。」（舊題）〔漢〕孔安國傳，〔唐〕孔穎達疏：《尚書正義》（臺北：藝文印書館，1976 年 5 月），卷 2，頁 17：2b。至於十六篇的亡佚時間，則屈萬里云：「此十六篇，馬、鄭、杜預，皆謂之逸《書》。其中〈武成〉一篇，亡於建武之際（屈氏原註：見孔氏《正義·武成篇》引鄭玄說）。《經典釋文·序錄》云：『漢始立歐陽《尚書》，宣帝復立大小夏侯博士，平帝立古文。永嘉喪亂，眾家之書並滅亡。』似逸《書》所餘之十五篇，

若有辨疑存真的讀經堅持，大概會傾向於以今文《尚書》二十八篇或二十九篇為主要的研習對象，除非，最新的考證結果又有不同於以往的共識出現。⁸不過，既然不認為《尚書》是一部單純的古史紀錄，而是一部可以幫助我們理解思想文化的經典，那麼，對於「傳記所引《書》語，諸家指為逸《書》者，收拾無遺，既有證驗，而其言率依於理」的晚書二十五篇，⁹亦當承認其在思想上的價值，亦即，五十八篇本

悉亡於永嘉之亂。然《隋書·經籍志》云：『又有《尚書》逸篇，出於齊梁之間。考其篇目，似孔壁中書之殘缺者。』故《隋志》著錄《尚書逸篇》二卷，《新唐志》尚有徐邈注逸《書》三卷。是孔壁所出十六篇逸《書》，至唐猶有殘存者。自是以後，遂不見於記載。蓋全都亡失，約在唐宋之際也。』《尚書集釋》（臺北：聯經出版事業公司，1983年2月），卷前，〈概說〉，頁19。

⁷ 有關前儒的疑東晉本古文《尚書》之偽，近人蔣善國（1898-1986）從唐人李漢（生卒年不詳，大中〔唐宣宗李忱年號，847-859〕年間，召拜宗正少卿，卒於任上）「《書》、《禮》剔其偽」之言說起，但直指其疑較泛，見蔣善國：《尚書綜述》（上海：上海古籍出版社，1988年2月），頁276。案：李漢〈韓愈文集序〉：「文者，貫道之器也。不深於斯道，有至焉者不也。《易》繇爻象，《春秋》書事，《詩》詠歌，《書》、《禮》剔其偽。」論道而先言儒經，以「繇爻象」、「書事」、「詠歌」繫於《易》、《春秋》、《詩》之下易解，並稱《書》、《禮》，謂其「剔其偽」，與前言語意似不密合，若據清人徐乾學之注，李漢為韓愈女婿，其所謂「《書》、《禮》剔其偽」，係指張霸偽《書》之不可信，以及出於淹中之古《禮》、司馬穰苴《兵法》、〈明堂陰陽〉、〈孔子三朝記〉、〈王氏史氏記〉等之遭人置疑。詳見〔清〕徐乾學編注：《御選古文淵鑒》，影印《文淵閣四庫全書》，第1418冊，卷38，頁96：52a-52b。若是，則懷疑梅賾所獻《書》之偽者，仍始於宋儒吳棫（約1100-1154）。有關東晉本古文《尚書》真偽之相關討論，可參蔣善國：《尚書綜述》，頁276-367。

⁸ 案：東晉本古文《尚書》五十八篇，在梅賾（約1483-1553）、閻若璩（1636-1704）、惠棟（1697-1758）諸人持續考證、辨偽之下，有一段時間，此本之為偽作，幾已成為定論，正如屈萬里所言，「清初閻若璩承諸家之後，竭畢生之力，著《尚書古文疏證》八卷，列舉百二十八證（屈氏原註：刻本缺二十二條，蓋原稿頗有殘佚，故刻之未全），以明二十五篇之偽。稍後，惠棟著《古文尚書考》，亦申此說。自茲以迄清末，論《古文尚書》之偽者多家。於是此二十五篇之為偽書，遂成定讞。其間雖有為偽古文辨護者，如毛奇齡之《古文尚書冤詞》，王劼之《尚書後案駁正》、張崇蘭之《尚書私議》、林春溥之《開卷偶得》、趙翼之《陔餘叢考》（卷一）、洪良品之《古文尚書辨惑》等；然閻、惠諸家之說，證據確鑿；維護偽古文者之說雖辯，亦不足以折其角矣。」《尚書集釋》，卷前，〈概說〉，頁24。不過，從清代至今，包括臺灣與大陸，堅持《十三經注疏》本古文《尚書》非偽書者，依然大有人在，清儒如上述屈氏所言諸位之外，另有茹敦柔《尚書未定稿》、吳光耀《古文尚書正辭》、張諧之《尚書古文辨惑》等為《古文尚書》作大規模之辨護，史學家張蔭麟由於無法坐視此案之久懸不決，故於民國十八年（1929）盡蒐自宋至清正反雙方意見，精細檢視論者所有之重要觀點與說詞，挑出其瑕隙、破綻之處，最後仍作出「偽《古文尚書》大略出現於東晉初元帝時，為梅賾所奏上」之結論。詳張蔭麟：〈偽《古文尚書》案之反控與再鞠〉，《燕京學報》第5期（1929年），頁755-810。張文精審細密，但不表示其文一出，《古文尚書》真偽之論戰即可因此熄火，正相反，大陸與臺灣的學者對此議題仍各執一詞，其詳可參蔣秋華：〈《尚書》研究〉，林慶彰主編：《五十年來的經學研究》，頁86-89；郭仁成：〈六朝南學的集體結構——論東晉晚出尚書古文不可廢〉，《求索》1994年第3期，頁119-123；楊善群：〈辨偽學的歧途——評《尚書古文疏證》〉，《淮陽師範學院學報（哲學社會科學版）》2005年第3期，頁396-401；范立舟、臧俊改：〈閻若璩《尚書古文疏證》的學術價值及其思想史意義〉2011年第3期，頁129-135。

⁹ 引文見〔元〕吳澄：《書纂言》，影印《文淵閣四庫全書》，第61冊，卷前，頁6：9b。案：吳澄（1249-1333）是第一位注《書》而刪汰東晉所出二十五篇者，但此處引文被反閻若璩的毛奇齡（1623-1716）拿來運用，其云：「〈大禹謨〉若干章，每章必有諸書引用之文，吳澄所云傳記所引，收拾無遺者，此真聖謨洋洋，嘉言孔彰也。」《古文尚書冤詞》，影印《文淵閣四庫全書》，第66冊，卷4，頁585。又案：若從認識思想文化、啟迪人生的向度來看待五十八篇本《尚書》，當然不會認為晚出的二十五篇可廢，正如張舜徽（1911-1992）所言，「後人偽作，亦自有其依據也。今觀所存偽書數十篇，其中格言名訓甚多，必前有所承，非作偽者所能臆造固明甚。如云：『嘉言罔攸伏，野無遺賢，萬邦咸寧。稽于眾，舍己從人，不虐無告，不廢困窮。』……，如此嘉言警句，可謂夥矣。即使出魏晉人之手，猶堪尊尚。苟能降低時代讀之，亦可取以致用也。」張舜徽：〈偽古文尚書可降低時代去讀〉，周國林編：《張舜徽學術文化隨筆》（北京：中國青年出版社，2001年9月），頁18-20。

《尚書》可謂為最完整的《書經》讀本。

基本上，筆者言及今文《尚書》的篇數，若非云二十八篇，即應調二十九篇，不宜游移不定，但因本文研究的正是有關今文《尚書》的篇數問題，其中的關鍵就在伏生（伏勝，生卒年不詳，或云約 260-160B.C.）當年授《書》時，其文本中是否有〈書序〉、〈泰誓〉，以及〈顧命〉與〈康王之誥〉兩者是否合一，故在結語之前，將視情況之需要，或稱二十八篇，或稱二十九篇，又或兩數同時使用。

二、二十八篇、二十九篇及其相關問題

秦始皇三十四年（213B.C.），採丞相李斯（280-208B.C.）的建議，詔：「非博士官所職，天下敢有藏《詩》、《書》百家語者，悉詣守、尉雜燒之，有敢偶語《詩》、《書》者，棄市。」¹⁰此後至漢文帝（202-157B.C.，180-157B.C.在位）之前，長達三十餘年的時間，引述經典之語者有之，¹¹但似無人以《詩》、《書》教授生徒。要到文帝年間，才有一位濟南伏生在家鄉以《尚書》教人，朝廷聽聞此一消息，派遣晁錯（200-154BC.）前往受業，¹²《尚書》之學，自是復傳。當時伏生所用的《尚書》教本共有二十九篇，《史記·儒林傳》云：

伏生者，濟南人也。故為秦博士。孝文帝時，欲求能治《尚書》者，天下無有；乃聞伏生能治，欲召之。是時伏生年九十餘，老，不能行：於是乃詔太常使掌故朝錯往受之。秦時焚書，伏生壁藏之。其後兵大起，流亡。漢定，伏生求其書，亡數十篇，獨得二十九篇，即以教於齊魯之間，學者由是頗能言《尚書》。諸山東大師，無不涉《尚書》以教矣。¹³

¹⁰ 〔漢〕司馬遷著，〔南朝·宋〕裴駟集解，〔唐〕司馬貞索隱，〔唐〕張守節正義：《史記》（北京：中華書局，1963年6月），第1冊，卷6，頁255。

¹¹ 如《史記》記載，婁敬語高祖曰：「武王伐紂，不期而會孟津之上八百諸侯，皆曰紂可伐矣，遂滅殷。成王即位，周公之屬傅相焉，迺營成周洛邑……。」《史記》，第8冊，卷99，〈劉敬叔孫通列傳第三十九〉，頁2716。《漢書》亦有相同之記載，詳《漢書》，第7冊，卷43，〈酈陸朱劉叔孫傳〉，頁2119。魏了翁（1178-1237）：「《漢書》婁敬說高祖云：『武王伐紂，不期而會盟津之上者八百諸侯。』偽〈泰誓〉有此文，不知其本出何書也？武帝時，董仲舒對策云：『《書》曰：白魚入于王舟，有火復于王屋流為烏。周公曰：復哉復哉！』今引其文，是武帝之時已得之矣。」〔宋〕魏了翁：《尚書要義》，影印《文淵閣四庫全書》，第60冊，卷10，頁99：7a。案：伏生《尚書》無〈泰誓〉，歐陽、大小夏侯有之，但皆已亡佚，東晉本《尚書》五十八篇中有〈泰誓〉三篇，但無「白魚入于王舟」等句，夏侯（約1149-1220）：「〈泰誓〉非伏生所傳，而言二十九篇者，以司馬遷在武帝世，見〈泰誓〉出而得行入於伏生所傳內，故為史。總之，并云伏生所出，不復曲別分析，云民間所得，其實得時不與伏生所傳同故也，但伏生雖無此篇，而書傳有『八百諸侯俱至孟津，白魚入舟』之事，與〈泰誓〉同，不知伏生先為此語，抑是〈泰誓〉出後，後人加此語，是未可知也。」〔宋〕夏侯：《尚書詳解》，影印《文淵閣四庫全書》，第56冊，卷前，頁400：9a。陳第（1541-1617）：「前漢民間得〈泰誓〉三篇，有『白魚入于王舟，火復于王屋流為烏』諸語，董仲舒、司馬遷皆引用之矣。馬融《書序》曰：『〈泰誓〉後得。』案：其文似若淺露……，吾見書傳多矣，所引〈泰誓〉而不在〈泰誓〉者甚多。」〔明〕陳第：《尚書疏衍》，影印《文淵閣四庫全書》，第64冊，卷1，頁735：8a-8b。

¹² 案：晁錯，《史記》、《漢書》本傳作鼂錯，《漢書·景帝紀》作晁錯，〈儒林傳〉作朝錯。

¹³ 〈儒林列傳〉，《史記》，第10冊，卷121，頁3124。案：班固同意太史公的記載，云：「伏生，濟南人也，故為秦博士。孝文時，求能治《尚書》者，天下亡有，聞伏生治之，欲召。時伏生年九十餘，老不能行，於是詔太常，使掌故朝錯往受之。秦時禁《書》，伏生壁藏之，其後大兵起，流亡。漢定，伏生求其書，亡數十篇，獨得二十九篇，即以教於齊、魯之間。齊學者由此頗能言尚書，山東大師亡不涉《尚書》以教。」〈儒林傳〉，《漢書》，第11冊，卷88，頁3603。又案：伏生為濟南人，此為最普遍之記載，亦有學者考證，伏生故里在今鄒平縣。詳曲延慶：〈伏生及其籍貫之辨正〉，《春秋》2000年第6期，頁55-58。

此處明言伏生本《尚書》共計二十九篇。當然，伏生壁藏者為原始古文本，晁錯受教後帶回朝廷者為隸寫之今文本，由此可見漢代《尚書》學中的今古文之爭，並無源頭上的學術根據。收於東晉本古文《尚書》之中，舊題漢儒孔安國（孔子十一代孫，約 156-74B.C. 在世）撰的〈尚書序〉指出《尚書》本有百篇之多：「及秦始皇滅先代典籍，焚書坑儒，天下學士逃難解散，我先人用藏其家書于屋壁。漢室龍興，開設學校，旁求儒雅，以闡大猷。濟南伏生，年過九十，失其本經，口以傳授，裁二十餘篇，以其上古之書，謂之《尚書》。百篇之義，世莫得聞。」¹⁴《尚書》是否曾有百篇之本的存在，姑置不論，但謂年逾九十的伏生在「失其本經」的情況之下，口授《尚書》，而裁成二十餘篇，則與《史記》、《漢書》兩〈儒林傳〉所言不合，顯係東晉本《尚書》傳者刻意竄改史實，以提高己本之權威來源，不僅不可信，亦可由此見出此〈序〉絕非出於孔安國之手。¹⁵

根據《史記》、《漢書》，伏生以僅存之二十九篇傳授鄉里儒士，然由於兩部史書均未細數各篇之名，可能因此而讓日後言及今文《尚書》之篇目者乃產生歧說。不過，可以肯定的是，太史公所謂伏生二十九篇者，〈顧命〉與〈康王之誥〉必然分屬不同的兩篇。蓋《史記·周本紀》謂周公攝政時，「初作〈大誥〉，次作〈微子之命〉，次〈歸禾〉，次〈嘉禾〉，次〈康誥〉、〈酒誥〉、〈梓材〉。」又云：「成王將崩，懼太子釗之不任，乃命召公、畢公率諸侯以相太子而立之。成王既崩，二公率諸侯，以太子釗見於先王廟，申告以文王、武王之所以為王業之不易，務在節儉，毋多欲，以篤信臨之，作〈顧命〉。太子釗遂立，是為康王。康王即位，徧告諸侯，宣告以文武之業以申之，作〈康誥〉。故成康之際，天下安寧，刑錯四十餘年不用。」¹⁶此〈康誥〉並非同名之另篇〈康誥〉，而是指〈康王之誥〉。¹⁷同屬正史的《隋書》則謂濟南伏生口傳《尚書》二十八篇，其云：

《書》之所興，蓋與文字俱起。孔子觀《書》周室，得虞、夏、商、周四代之典，刪其善者，上自虞，下至周，為百篇，編而序之。遭秦滅學，至漢，唯濟南伏生口傳二十八篇。又河內女子得〈泰誓〉一篇，獻之。伏生作《尚書傳》四十一篇，以授同郡張生，張生授千乘歐陽生，歐陽生授同郡兒寬，寬授歐陽生之子，世世傳之，至曾孫歐陽高，謂之《尚書》歐陽之學。¹⁸

《隋書》為魏徵（580-643）等人所撰，¹⁹由此一段記載可知，唐朝有一流行之說，

¹⁴ 《尚書正義》，卷 1，頁 9：9b-10b。

¹⁵ 《漢書·儒林傳》「使掌故朝錯往受之」句下，顏師古《注》云：「衛宏定〈古文尚書序〉云：『伏生老，不能正言，言不可曉也，使其女傳言教錯。齊人語多與潁川異，錯所不知者凡十二三，略以其意屬讀而已。』」《漢書》，第 11 冊，卷 88，頁 3603。徐復觀：「衛宏的話，可能係指講解時的情形，而朝錯的以意屬讀，指的是伏生所講解的內容，並非指的是經文。但偽孔安國〈尚書序〉由此而附會為『濟南伏生，年過九十，失其本經，口以傳授，裁二十餘篇』，這分明與《史》《漢》兩〈儒林傳〉所說『獨得二十九篇』不合，其用意在打擊今文《尚書》的地位。」《中國經學史的基礎》（臺北：臺灣學生書局，1982 年 5 月），頁 115。

¹⁶ 《史記》，第 1 冊，卷 4，頁 132-134。

¹⁷ 今人有謂司馬遷混淆了〈康誥〉與〈康王之誥〉者，詳徐萬發、任穆金：〈《史記》混淆了〈康誥〉與〈康王之誥〉〉，《西藏民族學院學報》（社會科學版）1994 年第 3、4 期（總第 59、60 期），頁 80-81。案：書〈康王之誥〉為〈康誥〉，或許是古人對於篇名的使用不夠嚴密，又或者純屬偶疏，非為大病，《漢書·儒林傳》記載：「孔氏有古文《尚書》，孔安國以今文字讀之，因以起其家，逸《書》得十餘篇，蓋《尚書》茲多於是矣。遭巫蠱，未立於學官。安國為諫大夫，授都尉朝，而司馬遷亦從安國問故。遷書載〈堯典〉、〈禹貢〉、〈洪範〉、〈微子〉、〈金縢〉諸篇，多古文說。」《漢書》，第 11 冊，卷 88，頁 3607。太史公跟隨孔安國問故，不可能有混淆篇名之事。

¹⁸ 〔唐〕魏徵等：《隋書》（北京：中華書局，1982 年 10 月），第 4 冊，卷 32，〈經籍志〉，頁 914。

¹⁹ 《四庫提要》謂《隋書》：「唐魏徵等奉敕撰。貞觀三年，詔徵等修隋史，十年成紀傳五十五卷。」

即伏生所傳之《尚書》僅有二十八篇，若必謂二十九篇，則係計入河內女子所獻之〈泰誓〉而得，此一說法與馬、班所云「獨得二十九篇」之說不合，但在《尚書》學史中仍為重要之觀點。

假若《隋志》所言純屬意必，則涉及漢朝歷史之記載，沒有理由可與漢人之說並比，何況提出伏生之書為二十九篇者乃是馬、班這樣的一流史家。事實上，為《史記》作《索隱》，年代晚於魏徵的司馬貞（生卒年不詳，約生於高宗儀鳳年間〔676年11月-679年6月〕，卒於開元二十年〔732〕之後），在注解司馬遷所云「自此之後，魯周霸、孔安國，雒陽賈嘉，頗能言《尚書》事。孔氏有古文《尚書》，而安國以今文讀之，因以起其家。逸書得十餘篇，蓋《尚書》滋多於是矣」時說：「孔臧〈與安國書〉云：『舊《書》潛于壁室，歛爾復出，古訓復申。唯聞《尚書》二十八篇取象二十八宿，何圖乃有百篇。即知以今譬古，隸篆推科斗，以定五十餘篇，並為之傳也』。〈藝文志〉曰二十九篇，得多十六篇。起者，謂起發以出也。得十餘篇，蓋《尚書》滋多於是矣。」²⁰孔臧（約201-123B.C.在世）為孔安國從兄，若司馬貞所引〈與安國書〉內容可以信賴，是早於司馬遷，漢儒已有《尚書》二十八篇之記載。考《漢書·楚元王傳》劉歆（？B.C.-A.D. 23，享年七十餘歲）書讓太常博士，批評今文博士「猶欲保殘守缺，挾恐見破之私意，而無從善服義之公心，或壞妒疾，不考情實，雷同相從，隨聲是非，抑此三學，以《尚書》為備，謂左氏為不傳《春秋》，「以《尚書》為備」句下，顏師古注曰：「蘇林曰：『備之而已。』臣瓚曰：『當時學者謂《尚書》唯有二十八篇，不知本有百篇也。』師古曰：『瓚說是也。』」²¹臣瓚大約是晉朝時候的史官，²²「當時學者謂《尚書》唯有二十八篇」之說，或有所據，但其詳難以得知，但輔以孔臧之言，確實可讓人以為，伏生《尚書》除了馬、班所言之二十九篇之外，另有西漢大儒以為實僅二十八篇。至東漢，王充（137-192）或許也是因為此一《尚書》二十八篇之說，而謂：

蓋《尚書》本百篇，孔子以授也，遭秦用李斯之議，燔燒五經，濟南伏生抱百篇藏於山中，孝景皇帝時，始存《尚書》。伏生已出山中，景帝遣鼂錯往從受《尚書》二十餘篇。伏生老死，《書》殘不竟。鼂錯傳於倪寬。至孝宣皇帝之時，河內女子發老屋，得逸《易》、《禮》、《尚書》各一篇，奏之。宣帝下示博士，然後《易》、《禮》、《尚書》各益一篇，而《尚書》二十九篇始定矣。

十五年又詔修梁、陳、齊、周、隋五代史志。顯慶元年，長孫無忌上進。據劉知幾《史通》所載，撰〈紀〉〈傳〉者為顏師古、孔穎達（案《集古錄》據穎達墓碑，謂碑稱與魏鄭公同修《隋書》，而傳不著，蓋但據《舊唐書》言之，未考知幾書也），撰〈志〉者為于志寧、李淳風、韋安仁、李延壽、令狐德棻。案宋刻《隋書》之後有天聖中校正舊跋，稱同修紀傳者，尚有許敬宗，同修志者，尚有敬播。至每卷分題，舊本十志內，惟〈經籍志〉題侍中鄭國公魏徵撰。」《四庫全書總目》（臺北：藝文印書館，1974年10月），第2冊，卷45，頁984：53a-53b。許世瑛（1910-1972）：「《隋書·經籍志》是唐太宗貞觀十五年（西元六四一年）敕于志寧、李淳風、韋安仁、李延壽等撰著作。《中國目錄學史》（臺北：華岡出版公司，1977年11月），頁45。

²⁰ 《史記》，第10冊，卷121，〈儒林列傳〉，頁3125-3126。

²¹ 《漢書》，第7冊，卷35，頁1970。

²² 案：魏晉南北朝時期的《漢書》舊注中有臣瓚《音義》一種。南朝劉宋裴駰撰《史記集解》，〈序〉云：「《漢書音義》稱『臣瓚』者，莫知氏姓，今直云『瓚曰』。又都無姓名者，但云『漢書音義』，則其時已不能詳。」司馬貞：「案：即傳瓚，而劉孝標以為于瓚，非也。據何法盛《晉書》，于瓚以穆帝時為大將軍，誅死，不言有注《漢書》之事。又其注《漢書》有引《祿秩令》及《茂陵書》，然彼二書亡于西晉，非于所見也。必知是傳瓚者，案：《穆天子傳·目錄》云傳瓚為校書郎，與荀勗同校定《穆天子傳》，即當西晉之朝，在于之前，尚見《茂陵》等書，又稱『臣』者，以其職典秘書故也。」《史記》，第10冊，卷末附，頁4-5。相關討論另可參李步嘉：〈論朱希祖的《臣瓚姓氏考》〉，《清華大學學報》（哲學社會科學版）2006年第3期，頁70-74。

不過，細審二十九與二十八篇兩說，可知伏生用以教人之《尚書》，其原始篇數確實為二十九，司馬貞所引孔臧〈與安國書〉之來源不明，且文中雖謂《尚書》二十八篇，但從未言及伏生；西漢今文博士認定今文《尚書》篇數已經完備，故遭劉歆斥為「保殘守缺」，但今文《尚書》實有篇數無法在劉歆書中見著，臣瓚雖云當時學者謂《尚書》唯有二十八篇，但注語中毫無涉及伏生當年用以授徒之篇數。王充得見《史記》、《漢書》之記載，卻仍執意謂「景帝遣鼂錯往從受《尚書》二十餘篇」，既誤文帝為景帝，又刻意以「鼂錯往從受《尚書》二十餘篇」的模糊說詞來作為宣帝（73-49 B.C.在位）時今文《尚書》二十九篇的伏筆，殊不足取，而《隋書·經籍志》「濟南伏生口傳二十八篇」之說，或係誤採王氏之見，又或係直接將漢代博士手中的二十八篇《尚書》（假若真有此一實體《尚書》文本）當作是伏生所傳原本。

伏生本《尚書》確係二十九篇，此為定論，而其目當如王先謙（1842-1918）所言：

《漢書·藝文志·尚書》下云：「經二十九卷。」班自注：「大小夏侯二家。」顏注：「此二十九卷，伏生傳授者。」先謙案：此一篇為一卷也。伏生之二十九篇，〈堯典〉一，〈皋陶謨〉二，〈禹貢〉三，〈甘誓〉四，〈湯誓〉五，〈盤庚〉六，〈高宗彤日〉七，〈西伯戡黎〉八，〈微子〉九，〈坤誓〉十，〈鴻範〉十一，〈大誥〉十二，〈金縢〉十三，〈康誥〉十四，〈酒誥〉十五，〈梓材〉十六，〈召誥〉十七，〈雒誥〉十八，〈多士〉十九，〈無佚〉二十，〈君奭〉二十一，〈多方〉二十二，〈立政〉二十三，〈顧命〉二十四，〈康王之誥〉二十五，〈費誓〉二十六，〈甫刑〉二十七，〈文侯之命〉二十八，〈秦誓〉二十九。²⁴

這樣的二十九篇《尚書》在博士的傳授過程中，出現了篇目小幅整合的情形，即〈顧命〉與〈康王之誥〉被合併為一篇，而出現了《尚書》二十八篇這樣的數據（至於是否真有此一二十八篇本實體《尚書》，仍須更多的證據才能確認），再因〈泰誓〉的稍晚加入，於是又回到今文《尚書》二十九篇之說。

上述王先謙所定伏生二十九篇之言，屈萬里（1907-1979）深以為然，並提出說明與提醒：

王氏所定此一篇目，有可注意者二事：其一為〈顧命〉與〈康王之誥〉分作二篇；其二為無〈泰誓〉。以〈顧命〉與〈康王之誥〉分為二篇者，王氏乃據《史記·周本紀》為說。〈周本紀〉於周公攝政時，既云：「初作〈大誥〉，……次〈康誥〉、〈酒誥〉、〈梓材〉。」又於「成王既崩」，「作〈顧命〉」之後云：「康王即位，徧告諸侯，宣告以文武之業以申之，作〈康誥〉。」是康王時之〈康誥〉，實即〈康王之誥〉。且〈顧命〉與〈康王之誥〉分言，可知其非一篇也。惟《漢志》顏《注》，以為大小夏侯之二十九篇即伏生所傳者，實不盡然。蓋大小夏侯本，已合〈顧命〉與〈康王之誥〉為一，而又加〈泰誓〉一篇；是篇數雖仍為二十九，而內容則異於伏生之本矣。²⁵

歐陽、大小夏侯皆傳伏生之學者，²⁶其《尚書》篇目，若無特殊理由，必與伏本完全

²³ [漢]王充著，黃暉校釋：《論衡校釋》（北京：中華書局，1990年2月），第4冊，卷28，〈正說〉，頁1123-1124。

²⁴ [清]王先謙：《尚書孔傳參正》，《續修四庫全書》（上海：上海古籍出版社，2002年3月），經部，第51冊，卷前，〈序例〉，頁427：1b-428：2a。

²⁵ 《尚書集釋》，〈概說〉，頁15。

²⁶ 前引《隋志》已略言及歐陽之學，《漢書·儒林傳》則有較為詳盡之介述：「歐陽生字和伯，千乘人也。事伏生，授兒寬。寬又受業孔安國，至御史大夫，自有傳。寬有俊材，初見武帝，語經學。」

相同，唯因〈泰誓〉晚出，又獲得朝廷認同，導致今文《尚書》的內容出現少許變動，前引王充所云「至孝宣皇帝之時，河內女子發老屋，得逸《易》、《禮》、《尚書》各一篇，奏之；宣帝下示博士，然後《易》、《禮》、《尚書》各益一篇；而《尚書》二十九篇始定矣」，雖未明言宣帝時河內女子發老屋所得者為何篇，但根據經學史的常識，可以確定就是〈泰誓〉。另外，《尚書正義》引劉向（77-6B.C.）《別錄》云：「武帝末，民有得〈泰誓〉書於壁內者，獻之，與博士使讀說之。」又云：「馬融云：『〈泰誓〉後得。』」鄭玄《書論》亦云：「民間得〈泰誓〉。」²⁷馬、鄭所言空泛，不必深論，劉向是西漢人，早於王充約兩百年，雖其《別錄》已佚，《尚書正義》所引者亦不夠詳盡，但〈泰誓〉於武帝末出現之記載，已足以讓讀者對於〈泰誓〉的問世時間產生疑惑，對此，屈萬里的推測是：「《別錄》謂得書之時在武帝末，《論衡》則謂在宣帝時。按：劉向校書中秘，所言自較王說為可信。或獻書時在武帝末，而增〈泰誓〉於《尚書》，已迨宣帝之世歟？」²⁸此一推測有意保留武帝末與宣帝年間兩說，故將得書與入《尚書》之時分作兩截，雖屬合情合理，但據研《書》學者考證，歐陽本《尚書》三十二卷中已有〈泰誓〉，〈泰誓〉之得、獻，為武帝時代之事，絕無可疑，²⁹也就因為如此，以辨偽成績著稱的近人張心澂（1887-1973）謂伏生所傳《尚書》二十九篇，其中〈顧命〉包含今之〈康王之誥〉，「加後得〈泰誓〉」，篇數正好是二十九篇；³⁰顯係錯誤之論，蓋伏生傳《尚書》，時代在文帝年間，既云「伏生傳《尚書》二十九篇」，再謂「加後得〈泰誓〉」為二十九，則已不可通矣。

漢代《尚書》以今文本為主流，其立於學官者為歐陽及大小夏侯三家，此即所謂三家《書》。《漢書·藝文志》著錄歐陽《經》三十二卷，《章句》三十一卷；大小夏侯則是《經》與《章句》都是二十九卷。³¹同屬伏生一師，又衍生出兩大系統之三家，卷數之不同，難免引起學者議論。

大小夏侯之二十九卷，即合〈顧命〉與〈康王之誥〉為一篇，而增入〈泰誓〉一篇，這幾乎已是《尚書》學史上之定論。至於歐陽《經》三十二卷、《章句》三十一卷者，經學史家的見解不盡相同，王先謙《尚書孔傳參正》云：

云歐陽《章句》三十一卷者，分〈盤庚〉為三篇故也。云歐陽《經》三十二卷者，併《經》三十一卷、〈序〉一卷數之。《經》三十二卷而《章句》三十一卷者，西漢人不為〈序〉作解詁也。³²

上曰：『吾始以《尚書》為樸學，弗好，及聞寬說，可觀。』乃從寬問一篇。歐陽、大小夏侯氏學皆出於寬。寬授歐陽生子，世世相傳，至曾孫高子陽，為博士。高孫地餘長賓以太子中庶子授太子，後為博士，論石渠。元帝即位，地餘侍中，貴幸，至少府。戒其子曰：『我死，官屬即送汝財物，慎毋受。汝九卿儒者子孫，以廉絜著，可以自成。』及地餘死，少府官屬共送數百萬，其子不受。天子聞而嘉之，賜錢百萬。地餘少子政為王莽講學大夫。由是《尚書》世有歐陽氏學。」至於大小夏侯者，〈儒林傳〉云：「夏侯勝，其先夏侯都尉，從濟南張生受《尚書》，以傳族子始昌。始昌傳勝，勝又事同郡蔣卿。蔣卿者，兒寬門人。勝傳從兄子建，建又事歐陽高。勝至長信少府，建太子太傅，自有〈傳〉。由是《尚書》有大小夏侯之學。」《漢書》，第11冊，卷88，頁3603-3604。

²⁷ 《尚書正義》，卷1，〈尚書序·疏〉，頁10：11a。

²⁸ 《尚書集釋》，〈概說〉，頁15。

²⁹ 程元敏：「考《尚書》歐陽（高）學，武帝時立博士（《漢書·儒林傳》），當在建元五年備立五經博士（《漢書·武帝紀》）時，而歐陽本《尚書》經三十二卷（《漢志》著錄），中有〈泰誓〉，故知斯篇得書、上獻、列官充學，決在武帝時。」《尚書學史》（臺北：五南圖書公司，2008年6月），頁329。

³⁰ 張心澂：《偽書通考》（臺北：宏業書局，1975年6月），頁130-131。

³¹ 《漢書》，第6冊，卷30，〈藝文志〉，頁1705。

³² 王先謙：《尚書孔傳參正》，卷前，〈序例〉，頁428：2b。案：王先謙於「西漢人不為〈序〉作解詁也」下自註：「馬、鄭始為〈序〉作傳注。」此說不誣，馬、鄭師徒為〈書序〉作傳注，原書已佚，

所云歐陽氏「分〈盤庚〉為三篇」者，與事實不合；與王氏同時，僅小王氏八歲的皮錫瑞（1850-1908）云：

伏生本經有〈序〉，無〈大誓〉。〈大誓〉之合於伏生，其始於歐陽氏乎？漢武帝建元五年置五經博士，《書》唯有歐陽。當時既以〈大誓〉付博士讀說，立於學官，即合入伏生書矣。況歐陽經獨三十二卷，今文家〈顧命〉不分，〈盤庚〉亦不異卷，其三十二卷是於伏生經文及〈序〉二十九篇外，增以後出之〈大誓〉三篇明矣。歐陽既增〈大誓〉，立於學官，故兩夏侯亦從而增入其書。特併〈大誓〉為一篇，而除〈序〉不數，故仍為二十九篇，以合伏生篇數之舊，與歐陽小異。《尚書正義》云：「伏生二十九篇，而〈序〉在外。蓋永嘉之亂，三家《尚書》已亡。」孔穎達嘗見漢石經拓本，所云似據石經即如是。³³

王先謙、皮錫瑞皆為清末出色之今文經學者，但皮說可以從漢石經殘字找到證據（詳後），以是知王說不可從。

近人徐復觀（1903-1982）則相信歐陽的確將〈盤庚〉分為三篇，並謂此與大小夏侯無異，但卻又以為歐陽《尚書》中的「經」絕不可能包含〈書序〉在內，其言曰：

歐陽將〈盤庚〉分為三篇，於是二十九篇成為三十一篇，這與大小夏侯無異。但他的經是三十二卷，這多出的一卷，不少人又以〈書序〉來湊數；但不僅〈書序〉不是「歐陽經」的「經」，實在湊不上處。且兩系統皆出於兒寬，若歐陽《經》中有〈書序〉，必是兒寬所傳者本來如此，則大小夏侯何得獨無？據《漢書·儒林傳·贊》，建立五經博士後，《書》博士屬於歐陽。歐陽在初當博士時，面對朝廷得自民間的〈泰誓〉，在情勢上不得不成認。經三十一加〈泰誓〉，所以成為三十二。但因其不出於伏生，所以未為它作章句，因此，歐陽《章句》依然是三十一卷。即是表面接受，而事實上加以疏外。大小夏侯進入博士在後，對此若有若無的〈泰誓〉，便乾脆不加理會，而依然堅守伏生的二十九篇。³⁴

謂大小夏侯亦將〈盤庚〉分為三篇，不合史實，且如何解釋大小夏侯之《經》與《章句》都僅二十九卷的著錄實情？一旦分〈盤庚〉為三篇，無論如何計數，皆將超出二十九篇，此自不待言。除了此論發生偏差之外，徐說主要是通過推論而得，根據屈萬里的研究，王先謙謂歐陽分〈盤庚〉為三篇未詳何據，而屈氏則憑藉漢石經殘字，確認歐陽氏當年是將〈泰誓〉分為三篇。至於歐陽《經》多達三十二卷，屈氏認為王氏將〈書序〉一卷納入，「其說蓋是」。此外，透過漢石經《尚書》殘字，可以確定此本《尚書》共有二十九篇，使用的是夏侯氏本。³⁵

今有輯本，保存佚文約半，說見程元敏：《尚書學史》，頁98。

³³ [清]皮錫瑞著，盛冬鈴、陳抗點校：《今文尚書考證》（北京：中華書局，1989年12月），卷30，頁480。

³⁴ 徐復觀：《中國經學史的基礎》，頁120。

³⁵ 屈萬里：「王氏謂歐陽《經》三十二卷，乃併〈序〉一卷言之，其說蓋是。至謂分〈盤庚〉為三篇，則未詳何據。以漢石經殘字核之，歐陽氏蓋分〈泰誓〉為三篇也。」「今就漢石經〈書序〉殘字核之，就復原後之碑圖覘之，知漢石經《尚書》確為二十九篇。以是言之，漢石經《尚書》，蓋用夏侯氏本也。」以上分見屈萬里：〈概說〉，《尚書集釋》，頁17；〈漢石經尚書篇數及篇第〉，《漢石經尚書殘字集證》（臺北：聯經出版事業公司，1984年7月），卷1，頁28。案：屈氏在此云「漢石經《尚書》蓋用夏侯氏本也」，同書〈漢石經尚書為小夏侯本〉則又輔以民國十三年洛陽出土石碑之據，云：「石經敘殘字中，有《尚書》小夏侯云云，吳維孝新出《漢魏石經考》（卷一），因謂漢石經所刻為夏侯建《尚書》……，蓋斷斷乎無疑矣。」詳《漢石經尚書殘字集證》，卷1，頁38-41。

筆者以為，晚出的東晉本古文《尚書》將〈盤庚〉分為上中下三篇，可能因此而讓王先謙誤認歐陽《尚書》先已分〈盤庚〉為三。屈氏之說有其實據，但將王氏之語中的〈盤庚〉易為〈泰誓〉之後，仍須面對〈書序〉是否屬於歐陽《尚書》中的「經」一卷的問題，只是，在歐陽、大小夏侯《尚書》已亡的情況之下，除了將〈書序〉計入「經」中，並判斷為西漢人不為〈序〉作解詁之外，實亦難以找出更嚴謹、更合理的解釋。將〈書序〉計入「經」中，涉及到纂《書》之漢儒對於〈書序〉的價值判斷，雖則〈書序〉體例參差，前儒多指出其失，但〈書序〉亦有發明經旨、考經故實、增益史料之功，³⁶其中尤以「保存虞夏商周四代重要史料」價值最高。³⁷歐陽氏願意將之收入《尚書》文本裡，視其為《尚書》之經，³⁸並不會引起任何爭議。至於徐氏以為〈序〉非「經」，這是以晚出的對於「經」字的較為嚴苛的解釋來看待此一問題，³⁹就實際所見，漢儒多能重視〈書序〉，⁴⁰而收入〈序〉亦為後

³⁶ 〈書序〉作者的身分，歷來學者見解不一。程元敏指出，〈書序〉作者有數種之說，分別為：史官作、孔子作、先秦經師作、周秦間低手人作、周秦間人作、先秦齊魯間儒者（孔家人）作、秦漢之際人作、漢人作、王肅之徒作，其中漢人作之說又分：（1）伏生作。（2）伏生之徒作。（3）伏生以後之人作。（4）司馬遷以後之人作。（5）劉歆作。（6）衛宏作。詳程元敏：《書序通考》（臺北：臺灣學生書局，1999年4月），頁577-584。陳夢家（1911-1966）以為〈書序〉與太史公〈自序〉敘作一百二十九篇十分相似，所以可確認是秦、漢之際解經之人所作。屈萬里據《論衡·正說篇》，謂百篇之〈序〉，當出於孔子壁中，戰國晚年作品，是否出於孔子裔孫，不能確知。據程元敏考證，〈書序〉當成於秦王政十九年（228B.C.）至秦二世二年（208B.C.）之間，可稱之為周、秦之間，朱子謂孔家人自作，誠是，「孔家人作此，為《書經》參考教材，用課生徒，輔助口義，隨本經藏壁，出而傳至今日耳」。以上分詳陳夢家：《尚書通論》（新北：仰哲出版社，1987年11月），頁102；屈萬里：〈概說〉，《尚書集釋》，頁9-13；程元敏：《書序通考》，頁585-588。另，有關〈書序〉所獲得的正反兩面評價，可參程元敏：《尚書學史》，頁93-123。尤可留意者，程氏雖謂〈書序〉為庸淺之作，部分解題亦有敷衍了事之病，但仍強調：「夫〈書序〉言本經作意，發明經旨，多能敷暢厥義，除少數篇意外，並無巨失。〈書序〉詮本經字，又考經故實，於經外增益史料，如〈甘誓〉、〈盤庚〉、〈高宗彤日〉、〈西伯戡黎〉、〈金縢〉、〈召誥〉、〈洛誥〉、〈多方〉、〈顧命〉、〈文侯之命〉等是。夫《尚書》之傳，先秦已有之，原編皆逸。〈書序〉亦古《尚書傳》，為今存最古之《尚書傳注》，其價值不在《尚書大傳》、歐陽、夏侯《章句》、《說義》、《解故》之下。清鄭杲擬諸《禮經》之『《記》』，洵是也。」《尚書學史》，頁121。

³⁷ 程元敏：「保存虞夏商周四代重要史料，斯〈書序〉之最大價值。書序一千一零一字，本身即是四代史料，又多引故籍以證《尚書》義，而所引古籍原典或有散失，賴茲以保存。近人陳夢家考校西周今文與歷史，謂〈書序〉中有西周重要史料，陳治古史，宜其重視之如此。矧〈書序〉所載八十一目百篇尚書，本經今已逸亡者凡五十二目六十九篇，賴〈書序〉存其義，〈書序〉保存古史料之功，莫大於此。《書序通考》，頁588-589。

³⁸ 程元敏：「〈書序〉者，敘本經各篇之作意，猶經書之傳注，但《尚書》歐陽家以之為孔子作，視之為《尚書》『《經》』（別如王充、許慎、鄭玄、應劭亦然），故總之為一卷繫全經之末。」《尚書學史》，頁516。

³⁹ 鄭玄《孝經·注》：「經者，不易之稱。」〔清〕余蕭客：《古經解鈎沉》，影印《文淵閣四庫全書》，第194冊，卷24，頁707：1a-1b。劉熙（約160-？）：「經，徑也，常典也。如徑路無所不通，可常用也。」〔漢〕劉熙：《釋名》，影印《文淵閣四庫全書》，第221冊，卷6，〈釋典藝〉，頁413：4b。張華（232-300）：「聖人制作曰經，賢者著述曰傳。」〔晉〕張華：《博物志》，影印《文淵閣四庫全書》，第1047冊，卷6，〈文籍考〉，頁596：2a。〔梁〕皇侃：「經者，常也，法也。」〔唐〕唐玄宗注，〔宋〕邢昺疏：《孝經注疏》（臺北：藝文印書館，1976年5月），卷前，〈御制序并注〉，頁4引。劉勰（約465-520）：「三極彝訓，其書曰經。經也者，恆久之至道，不刊之鴻教也。」〈宗經〉，〔梁〕劉勰著，〔民〕王利器校箋：《文心雕龍校證》（上海：上海古籍出版社，1980年8月），卷1，頁11。案：徐氏云：「在建立五經博士之前，習《尚書》今文二十九篇的人，以情理推之，亦未嘗不承認〈書序〉。後來的《書》博士，為了拒絕古文《尚書》，以保護自己的壟斷地位，便悍然抹煞〈書序〉的存在，而以二十九篇為備（完備）。也因為〈書序〉是單篇別行，所以他們可加以抹煞。若二十九篇中本有〈書序〉，或伏生曾將其附於二十九篇之末，則博士們無法加以抹煞，劉歆也不至於提出加以指摘。」研習《尚書》今文二十九篇的人，未嘗不承認〈書序〉，此說完全

期詮經著作之常態，當然是否願意收入，以及收入之後是否願意列為書中一卷另當別論，何況徐氏自己亦表示，「〈書序〉本有百篇，卻不在伏生所傳二十九篇之內，不在二十九篇之內，並不說明伏生不承認〈書序〉，而是〈書序〉另為一篇別行，未嘗亡失」，⁴¹實則正因〈書序〉另為一篇別行，歐陽氏特將之與河內女子所獻〈泰誓〉三篇同時納入《尚書》文本之中，才使得其「經」較大小夏侯本為多，而大小夏侯為了尊重伏生的原始篇數，不願再將〈書序〉納入本經，乃將〈顧命〉與〈康王之誥〉合而為一，並將〈泰誓〉合為一篇，使其仍維持在二十九篇的原本篇數，以示對伏生的尊重。⁴²至若徐氏以為大小夏侯進入博士在後，對〈泰誓〉乾脆不加理會，這更與西漢今文經學的發展背道而馳，正相反，傳今文《尚書》的大小夏侯本身都非博士官，而宣帝始立大小夏侯二家博士，此二家之博士對於朝廷得自民間的〈泰誓〉不僅沒有理由與立場可以不予理會，並且還需公開承認其價值與地位。

由上可知，《史》、《漢》所說的漢初伏生以二十九篇《尚書》教人，篇中並無〈書序〉與〈泰誓〉，而〈顧命〉與〈康王之誥〉則分為二篇。後世言及今文《尚書》之篇數，謂二十八篇、二十九篇、三十一篇、三十二篇，都可找到文獻上的根據，但若易「今文《尚書》」一詞為「伏生《尚書》」，則篇數僅能說是二十九篇，且不能包入〈書序〉與〈泰誓〉，亦不能將〈顧命〉與〈康王之誥〉合為一篇。

三、〈顧命〉與〈康王之誥〉之分合問題

伏生本《尚書》無〈書序〉與〈泰誓〉，〈顧命〉與〈康王之誥〉分為二篇；歐陽本《尚書》將〈顧命〉與〈康王之誥〉合為一篇，加入〈書序〉一卷與〈泰誓〉三篇三卷，有視〈書序〉為經之意，但不為之作解詁，故《經》有三十二卷之多，《章句》則少一卷。大小夏侯本《尚書》又將〈書序〉排除在外，用一卷的篇幅收納〈泰誓〉一篇，如同歐陽氏，將〈顧命〉與〈康王之誥〉合為一篇，使其篇數又回到伏生的二十九篇。

在此需先強調〈顧命〉與〈康王之誥〉在歷史文獻上的重要性。東晉本古文《尚書》在先儒的長期考證之下，其為偽作已是多數學者的共識。此本中的三十三篇係來自今文《尚書》二十九篇，其餘二十五篇為偽，故就通過經典以研習歷史的角度而言，〈顧命〉與〈康王之誥〉當然絕對優於晚出之二十五篇，此不待言，而再就二十九篇來互比，則「蓋曾經孔子之手」的十七篇最為重要，這十七篇中有十四篇屬於西周初年之真實文獻，⁴³〈顧命〉與〈康王之誥〉在其中，其珍貴性由此可知。

合乎情理，但調後來的《尚書》博士悍然抹煞〈書序〉的存在，則無法在經學史上找到根據。再者，孔壁所出之《書》，比起伏生本多出十六篇，此一版本從孔安國到劉歆，皆無法使之得到朝廷上下的重視，這一切皆因今文博士的門戶偏見所導致，博士系統抗拒的是新出的十六篇，而以原二十九篇為已足，劉歆之所以書讓太常博士，起因於今文博士對於古文經典的排斥，無法由此得到博士抹煞〈書序〉的結論。

⁴⁰ 東漢馬、鄭為〈書序〉作傳注，此論已見前文，西漢的司馬遷更是重視出自孔壁之〈書序〉，程元敏持〈書序〉八十一目逐一與《史記》所述引考校，斷定《史記》襲用〈書序〉，臚陳八證，知《史記》凡同於〈書序〉者，皆《史》襲〈序〉，凡異者皆司馬遷所更改。程元敏：《尚書學史》，頁 97。

⁴¹ 徐復觀：《中國經學史的基礎》，頁 119。

⁴² 屈萬里：「漢人以《尚書》二十九篇，應北斗及二十八宿之象。及河內女子獻〈泰誓〉，增多一篇，與星象不合，乃合〈康王之誥〉於〈顧命〉，意在維持二十九之數耳。」《尚書集釋》，頁 231。案：屈氏所言「漢人」云云，不包括歐陽，蓋大小夏侯有意維持二十九之數，歐陽則無此意。

⁴³ 據屈萬里考訂，〈大誥〉、〈康誥〉、〈酒誥〉、〈梓材〉、〈召誥〉、〈洛誥〉、〈多士〉、〈無逸〉、〈君奭〉、〈多方〉、〈立政〉、〈顧命〉、〈康王之誥〉、〈費誓〉、〈呂刑〉、〈文侯之命〉、〈秦誓〉等十七篇「蓋

〈顧命〉與〈康王之誥〉由於情節簡易，故兩文之篇幅都不長，若依東晉本古文《尚書》而數，〈顧命〉不含標點共 625 字，〈康王之誥〉則有 272 字，若用馬融（79-166）、鄭玄（127-200）、王肅（195-258）之本，則〈顧命〉共 760 字，〈康王之誥〉僅有 137 字；⁴⁴歐陽、大小夏侯同將〈顧命〉與〈康王之誥〉合為一篇，必因兩文有可以合一的理由，但篇幅長短不是問題，〈甘誓〉全文僅 88 字，並未有注家疑其內容不完整，亦即，若〈顧命〉與〈康王之誥〉可以合為一篇，關鍵不在篇幅，而在主題、結構與情節方面的一致性、連貫性。

以下以東晉本古文《尚書》所收兩篇作為觀察對象。〈顧命〉共分二段，首段文字為：

惟四月，哉生魄，王不懌。甲子，王乃洮水，相被冕服，憑玉几。乃同召太保奭、芮伯、彤伯、畢公、衛侯、毛公、師氏、虎臣、百尹、御事。王曰：「嗚呼！疾大漸，惟幾；病日臻，既彌留，恐不獲誓言嗣，茲予審訓命汝。昔君文王、武王，宣重光，尊麗陳教則肆；肆不違，用克達殷集大命。在後之侗，敬迓天威，嗣守文武大訓，無敢昏逾。今天降疾、殆，弗興弗悟；爾尚明時朕言，用敬保元子釗，弘濟于艱難。柔遠能邇，安勸小大庶邦。思夫人自亂于威儀，爾無以釗冒貢于非幾。」茲既受命還，出綴衣于庭。越翼日乙丑，王崩。

這是記錄群臣接受成王顧命的情况。第二段大致可分兩節，第一節之內容為：

太保命仲桓、南宮毛，俾爰齊侯呂伋，以二千戈、虎賁百人，逆子釗於南門之外；延入翼室，恤宅宗。丁卯，命作冊度。越七日癸酉，伯相命士須材。狄設黼宸、綴衣。牖間南嚮，敷重篋席、黼純；華玉仍几。西序東嚮，敷重底席、綴純，文貝仍几。東序西嚮，敷重豐席、畫純，雕玉仍几。西夾南嚮，敷重筍席、玄紛純，漆仍几。越玉五重：陳寶、赤刀，大訓、弘璧，琬、琰，在西序；大玉、夷玉、天球、河圖，在東序。胤之舞衣，大貝、鼗鼓，在西房；兕之戈、和之弓、垂之竹矢，在東房。大輅在賓階面，綴輅在阼階面，先輅在左塾之前，次輅在右塾之前。

此節客觀敘述祖廟中的陳設。第二節全文是：

二人雀弁執惠，立于畢門之內；四人綦弁，執戈、上刃，夾兩階阼；一人冕執劉，立于東堂；一人冕執鉞，立于西堂；一人冕執戣，立于東垂；一人冕執瞿，立于西垂；一人冕執銳，立于側階。

此節敘述祖廟的警衛情况。〈顧命〉的第二段內容為：

王麻冕黼裳，由賓階墀。卿士邦君，麻冕蟻裳，入即位。太保、太史、太宗，皆麻冕彤裳。太保承介圭，上宗奉鬯、瑁，由阼階墀。太史秉書，由賓階墀，御王冊命。曰：「皇后憑玉几，道揚末命，命汝嗣訓，臨君周邦，率循大卞，

曾經孔子之手」，其中，〈大誥〉至〈康王之誥〉十三篇可以肯定為西周初年之真實文獻，〈呂刑〉為西周穆王命呂侯改定刑法，告誡諸侯、王族之辭，或係西周時期所作，或係晚出之作，程元敏則以〈尚書呂刑篇之著成〉一文，確定〈呂刑〉為西周穆王時代之書。以上所述除可參屈萬里《尚書集釋》於各篇所作之解題、〈概說〉頁 8 之外，另可參屈萬里：《書傳論學集》（臺北：臺灣開明書店，1980 年 1 月），頁 70-160；《古籍導讀》（臺北：聯經出版公司，1984 年 7 月），頁 145-147；程元敏：《尚書學史》，頁 133-141。

⁴⁴ 屈萬里：「偽孔本自『諸侯出廟門俟』以上為〈顧命〉，自『王出在應門之內』以下，為〈康王之誥〉。孔氏《正義》於〈康王之誥〉云：『伏生以此篇合於〈顧命〉，共為一篇。後人知其不可，分而為二。馬、鄭、王本，此篇自『高祖寡命』已上，內於〈顧命〉之篇；『王若曰』已下，始為〈康王之誥〉。』按：馬、鄭、王《尚書注》，至唐猶存（見《唐志》），《正義》所言不誣。惟謂伏生以〈康王之誥〉合於〈顧命〉，則誤以歐陽、大小夏侯本為伏生本耳。」《尚書集釋》，頁 231。

變和天下，用答揚文武之光訓。」王再拜，興。答曰：「眇眇予末小子，其能而亂四方，以敬忌天威？」乃受同、瑁，王三宿，三祭，三叱。上宗曰：「饗。」太保受同，降。盥，以異同，秉璋以酢。授宗人同；拜，王答拜。太保受同，祭、濟、宅。授宗人同；拜，王答拜。太保降，收。諸侯出廟門俟。

所記者為太子釗（康王）在先王廟中接受冊命的儀式。⁴⁵

若再詳析全篇內容，則自「惟四月，哉生魄」至「百尹、御事」記載的是成王生病，召見大臣。自「王曰：嗚呼！」至「爾無以釗冒貢于非幾」，說的是成王召見大臣，命其輔佐太子。「茲既受命還，出綴衣于庭。越翼日乙丑，王崩」，記載成王之崩逝。自「太保命仲桓、南宮毛」至「越七日癸酉，伯相命士須材」，說明喪事之始之情形。自「狄設黼辰、綴衣」至「敷重筍席、玄紛純，漆仍几」，述說喪事時之擺設。自「越玉五重」至「次輅在右塾之前」，此段再述喪事時之擺設。自「二人雀弁執惠，立于畢門之內」至「一人冕執銳，立于側階」，寫出衛士所在之方位。自「王麻冕黼裳，由賓階濟」至「諸侯出廟門俟」，將所見之喪事過程，從服飾、遺囑、祭典到禮成、諸侯出門都作了清楚的紀錄。

〈康王之誥〉僅一段，全文是：

王出在應門之內。太保率西方諸侯，入應門左，畢公率東方諸侯，入應門右。皆布乘黃朱。賓稱奉主兼幣。曰：「一二臣衛，敢執壤奠。」皆再拜稽首，王義嗣德答拜。太保暨芮伯，咸進相揖，皆再拜稽首。曰：「敢敬告天子皇天，改大邦殷之命。惟周文、武，誕受姜若，克恤西土；惟新陟王，畢協賞罰，戡定厥功，用敷遺後人休。今王敬之哉！張皇六師，無壞我高祖寡命。」王若曰：「庶邦侯甸男衛。惟予一人釗報誥。昔君文、武，丕平富，不務咎。底至齊，信用昭明于天下。則亦有熊羆之士，不二心之臣，保乂王家。用端命于上帝，皇天用訓厥道，付畀四方。乃命建侯樹屏，在我後之人。今予一二伯父，尚胥暨顧，綏爾先公之臣，服于先王。雖爾身在外，乃心罔不在王室。用奉恤厥若，無遺鞠子羞。」群公既皆聽命，相揖趨出。王釋冕，反喪服。

所記錄的是康王即位，初次接見諸侯的儀式和誥詞。若再詳析其內容，則自「王出在應門之內」至「張皇六師，無壞我高祖寡命」，說的是康王從廟中出來後，臣下貢獻土產，及對新王之期許。自「王若曰」至「用奉恤厥若，無遺鞠子羞」，述說康王告誡臣下要實行美德。「群公既皆聽命，相揖趨出。王釋冕，反喪服」等句云康王言畢，群下散去。

由上所述，可知〈書序〉為此二篇所作的解題：「成王將崩，命召公、畢公率諸侯相康王，作〈顧命〉。」「康王既尸天子，遂誥諸侯，作〈康王之誥〉。」⁴⁶可謂是非常精確的主題說明。由於〈顧命〉之內容主要是記載成王臨終之言，以及成王歿後所辦喪禮之情景，而〈康王之誥〉旨在說明康王即位時之儀節，也述及諸侯來見之事與康王告誡之言，故可知兩篇情節具有明顯之連續性，漢代今文博士若以為〈顧命〉與〈康王之誥〉合為一篇更可見出史事的完整，則其合一之舉完全不會引發任何爭議，學者在張皇漢代師法概念時，亦可由此來思考。⁴⁷當然，假若以為今文《尚

⁴⁵ 案：後人對於〈顧命〉的分段解讀不一，本文採江灝、錢宗武之說，詳江灝、錢宗武：《今古文尚書全譯》（貴陽：貴州人民出版社，1992年8月），頁399-410。

⁴⁶ 《尚書正義》，卷24，頁275；13b；卷25，頁288：1a。

⁴⁷ 皮錫瑞：「漢人最重師法，師之所傳，弟之所受，一字母敢出入；背師說即不用。師法之嚴如此。而考其分立博士，則有不可解者。漢初，《書》唯有歐陽、《禮》后、《易》楊、《春秋》公羊，獨守遺經，不參異說，法至善也。《書》傳於伏生，伏生傳歐陽，立歐陽已足矣。二夏侯出張生，而同原伏生；使其學同，不必別立；其學不同，是背師說，尤不應別立也。」「前漢重師法，後漢重

書》原本即是〈顧命〉與〈康王之誥〉合一的二十八篇，就會認為「同篇異序」了。⁴⁸

另可注意者，若就文體而論，〈顧命〉屬於「命」體，〈康王之誥〉屬於「誥」體，歐陽、大小夏侯的合而為一，於體制似有不合，但《尚書》六體之分始於東晉，原屬樸素、粗略之歸類，⁴⁹原典因事成言，取辭達而已，故不需以後人歸類所得，檢討漢儒整編文獻之得失。當然，若必執著於體裁之嚴謹，則伏生之書原分兩篇，不僅是文獻上的原貌，也有文體上的保證，東晉本古文《尚書》維持此一形式，或許亦有此考量。

四、結語

收於《十三經注疏》中的《尚書》文本為五十八篇本的東晉所出晚書，此書在

家法。先有師法，而後能成一家之言。師法者，溯其源；家法者，衍其流也。師法、家法所以分者：如《易》有施、孟、梁丘之學，是師法；施家有張、彭之學，孟有翟、孟、白之學，梁丘有士孫、鄧、衡之學，是家法。家法從師法分出，而施、孟、梁丘之師法又從田王孫一師分出者也。施、孟、梁丘已不必分，況張、彭、翟、白以下乎！」分見《經學歷史》，頁 70、139。皮氏過度惑於漢儒師法之規矩，故對家法之分出有負面之評，但正如徐復觀所言，「『師法』一詞，始以權威性出現於孟喜傳，即是眾推孟補博士缺，宣帝以他改師法而不用。宣帝所以知道孟改師法，胡秉虔推測乃來自梁丘賀以少府得幸而進讒，是可以相信的。……『師法』不是說以師為法，而是把師所說的，賦予以法的權威性，這完全是新的觀念，此一新的觀念，在孟喜的故事以前就有了，否則宣帝不會如此而動心。但它的提出，它的確立，不會早到設置博士弟子員之前。……師法一詞，雖有時可以泛用，但師法的具體內容則是章句。老師的口頭解說，容易變動，容易忘記，不易定以為法。……博士為了教授弟子，順著經文，加以敷衍發揮，以成為固定形式的章句，再加上博士在學術上的權威性地位，師法的法的觀念才得以浮現出來。……由師法與章句之不可分，所以也可證明師法觀念是起於設置博士弟子員之後。亦可由此了解清今文學家把師法與『口說』『口傳』結合在一起而加以神聖化之鄙陋可笑。『師法』觀念在博士的統緒中流佈出來以後，當然也影響到在此統緒以外的儒生，有時也加以應用。但終漢之世，這是非常有彈性的觀念。即是，除了思想型的儒者不講這一套以外，在博士統緒中，他們有時重視，有時不重視；有時講，有時並不講。……清乾嘉學派對師法意義的誇張，只是在學術進途中，自設陷阱，沒有歷史上的根據。」詳《中國經學史的基礎》，頁 96-97。

⁴⁸ 近人曾運乾（1884-1945）認定今文《尚書》原為二十八篇，其《尚書正讀》卷六將〈顧命〉與〈康王之誥〉合為一篇，但篇名保留「康王之誥」四字，於是篇名成為〈顧命康王之誥〉（原書於「命」字下使用一空格），且列出兩篇〈序〉文，並云：「今按〈顧命〉及〈康王之誥〉，同篇異序，如〈堯典〉、〈舜典〉是。」曾運乾：《尚書正讀》（臺北：華正書局，1974 年 10 月），卷 6，頁 260。案：東晉本古文《尚書》之〈堯典〉、〈舜典〉係拆自今文本之〈堯典〉，曾氏以之為同篇異序之現象，恐不妥當。

⁴⁹ 《尚書正義》卷首所收題為孔安國撰的〈尚書序〉云：「先君孔子生於周末，……芟夷煩亂，翦截浮辭，舉其宏綱，撮其機要，足以垂世立教，典、謨、訓、誥、誓、命之文凡百篇，所以恢宏至道，示人主以軌範也。」孔穎達《疏》：「典即〈堯典〉、〈舜典〉，謨即〈大禹謨〉、〈皋陶謨〉，訓即〈伊訓〉、〈高宗之訓〉，誥即〈湯誥〉、〈大誥〉，誓即〈甘誓〉、〈湯誓〉，命即〈畢命〉、〈顧命〉之等是也。說者以《書》體例有十，此六者之外尚有征、貢、歌、範四者，并之則十矣。若〈益稷〉、〈盤庚〉，單言附於十事之例。今孔不言者，不但舉其機約，亦自征、貢、歌、範非君出言之名，六者可以兼之。」《尚書正義》，卷 1，頁 8：7b-9：9b。孔穎達雖特意點出六體可以兼十體之意見，但由此正可見《尚書》六體的是否精確，早已有人提出質疑，且若以十體之分過於瑣細，不宜取代六體之說，亦如今人朱岩所云：「並不是以『命』為題的《尚書》篇目就是策命文書。例如《顧命》，本篇記載了成王將死，恐怕太子釗不能勝任，命令大臣召公和畢公輔佐太子的情況；記載了成王逝世後太子釗在先王之廟接收策命的儀式；還記載了康王即位朝見諸侯時召公芮公的獻詞和康王勉勵諸侯保衛王家的答辭，並不完全是策命的內容。《顧命》的『命』不是『策命』的意思，而是表示『命令』。」《尚書文體研究》（揚州：揚州大學博士論文，2008 年 6 月），頁 28-29。

孔穎達《五經正義》中評價一般，⁵⁰但其中舊題孔安國所寫的《傳》，依然受到學者的重視。⁵¹站在求真的立場，目前研《書》學者以伏生今文二十九篇為主要對象者居多，這是可以被理解的，既然強調伏生所傳，則計數時必然不包括〈書序〉與〈秦誓〉，而〈顧命〉與〈康王之誥〉則分屬兩篇。

不過，古今幾種重要今古文《尚書》讀本在編列今文之篇時，其篇名與順序略有差異，前文言及伏生《尚書》之篇目當如王先謙所述，若以孔穎達《尚書正義》二十卷或蔡沈《書經集傳》六卷為研習對象，而又欲以原始二十九篇為主，則又可發現其所列出之篇名與順序與王說不同，分別是：〈堯典〉、〈皋陶謨〉、〈禹貢〉、〈甘誓〉、〈湯誓〉、〈盤庚〉、〈高宗彤日〉、〈西伯戡黎〉、〈微子〉、〈牧誓〉、〈洪範〉、〈金縢〉、〈大誥〉、〈康誥〉、〈酒誥〉、〈梓材〉、〈召誥〉、〈洛誥〉、〈多士〉、〈無逸〉、〈君奭〉、〈多方〉、〈立政〉、〈顧命〉、〈康王之誥〉、〈呂刑〉、〈文侯之命〉、〈費誓〉、〈秦誓〉。至於被近人屈萬里推薦給初學者的孫星衍（1753-1818）《尚書今古文注疏》三十卷，⁵²其書名雖標示「今古文」，且納入今古文家之解經意見，但在經文方面，則除了卷五〈秦誓〉為東晉本古文《尚書》所有之外，餘二十九卷皆為今文，另將〈顧命〉與〈康王之誥〉合一，其所以較夏侯本《尚書》多出一卷者，以〈書序〉為獨立一卷（置於卷三十）之故。僅論伏生所有之篇，孫書中所呈現的篇目與順序又與東晉本、蔡氏本不同：〈堯典〉、〈皋陶謨〉、〈禹貢〉、〈甘誓〉、〈湯誓〉、〈盤庚〉、〈高宗彤日〉、〈西伯戡黎〉、〈微子〉、〈牧誓〉、〈洪範〉、〈金縢〉、〈大誥〉、〈康誥〉、〈酒誥〉、〈梓材〉、〈召誥〉、〈洛誥〉、〈多士〉、〈無逸〉、〈君奭〉、〈多方〉、〈立政〉、〈顧命〉（內含〈康王之誥〉）、〈費誓〉、〈呂刑〉、〈文侯之命〉、〈秦誓〉；吳汝綸（1840-1903）之《尚書故》三卷以及屈萬里之《尚書釋義》、《尚書今註今譯》、《尚書集釋》同此，唯〈皋陶謨〉之「皋」字，二人之書皆作「臯」，與孔穎達、蔡沈本同。此外，孫書以〈書序〉為正式之一卷，吳氏置於〈秦誓〉之後，與〈多士〉以下同屬卷三，且為之作詳盡之疏解，⁵³而屈氏則以之為附錄。師從王國維（1877-1927）的楊筠如

⁵⁰ 晁公武（1105-1180）評《尚書正義》：「唐孔穎達等撰。因梁費昶《疏》廣之。《唐·儒學傳》稱：『穎達顏師古、司馬才章、王恭、王琰撰《五經義訓》百餘篇，號《義贊》，詔改為《正義》云。雖包貫異家為詳博，然其中不能無謬冗，馬嘉運駁正其失。永徽中，于志寧、張行成、高季輔就加增損，始布天下。』」《四庫提要》則云：「穎達之《疏》，晁公武《讀書志》謂因梁費昶疏廣之。然穎達原序稱為「正義」者，蔡大寶、巢猗、費昶、顧彪、劉焯、劉炫六家，而以劉焯、劉炫最為詳雅，其書實因二劉，非因費氏。公武或以《經典釋文》所列義疏僅昶一家，故云然歟？《朱子語錄》謂五經疏《周禮》最好，《詩》、《禮記》次之，《易》、《書》為下，其言良允。然名物訓故，究賴之以有考，亦何可輕也！」分見〔宋〕晁公武著，孫猛校證：《郡齋讀書志校證》（上海：上海古籍出版社，1990年10月），上冊，卷1，頁50；《四庫全書總目》，第1冊，卷11，頁262：1b-263：3b。

⁵¹ 屈萬里〈初學必讀古籍簡目〉：「偽撰之二十五篇，雖無史料價值，然自東晉以來，既為學子所必讀；故為常識起見，亦應瀏覽，俾略知其內容。其注解自當讀所謂『孔安國《傳》』者。」《古籍導讀》，頁27-28。

⁵² 屈萬里〈初學必讀古籍簡目〉：「伏生所傳之二十九篇（或合為二十八篇）宜熟讀，註解可用清孫星衍之《尚書今古文注疏》（三十卷）。」《古籍導讀》，頁27。

⁵³ 案：吳汝綸將〈書序〉納入正文，提供了詳盡的訓釋與考據，如〈書序〉云：「成王歸自奄，在宗周，誥庶邦，作〈多方〉。」「成王既黜殷命，滅淮夷，還歸在豐，作〈周官〉。」吳汝綸於「作〈多方〉」下注：「孔《疏》：『宗周，即鎬京也。』」「作〈周官〉」下注：「舊傳黜殷在周公東征時，滅淮夷在成王即政後，事相因，故連言之。」接著引《史記》：「召公為保，周公為師，東伐淮夷，殘奄，遷其君薄姑。成王自奄歸，在宗周，作〈多方〉。既黜殷命，襲淮夷，歸在豐，作〈周官〉。」吳氏於「殘奄」之「殘」字下云：「段玉裁云：『疑踐誤。』」又於「作〈周官〉」下云：「孔《疏》：孔以〈周官〉在〈立政〉後，第八十八；鄭以為在〈立政〉前，第八十六。」最後以案語總論之：「汝綸案：舊傳本〈周官〉在〈立政〉後，非也。《史記·周本紀》以〈周官〉次〈多方〉，承前

(1903-1946) 在其《尚書覈詁·凡例》中明言，其書「對於偽古文《尚書》溢出今文二十八篇原文之外者，概行割愛不取，以省讀者之腦力，亦以原《尚書》之本來面目」，⁵⁴這是以為二十八篇才是原始《尚書》的篇數，然楊氏又將〈顧命〉與〈康王之誥〉分為二篇，則其書所收無論如何將超過二十九篇，今觀其書，共計四卷三十一篇，順序與孫星衍書同，但不收〈書序〉，〈盤庚〉分為三篇，此與孫書異；各篇篇名方面，〈洛誥〉之「洛」作「雒」，〈費誓〉之「費」作「柴」，餘與孫書同。⁵⁵周秉鈞(1916-1993)的《尚書易解》共五卷，不列〈書序〉，但在各篇解題中偶有引述，篇數共二十八，〈顧命〉與〈康王之誥〉合而為一，〈皋陶謨〉之「皋」字同孫書，〈呂刑〉、〈文侯之命〉、〈費誓〉、〈秦誓〉之順序同《正義》與蔡氏《集傳》。⁵⁶

由此可見，無論是今古文學者，古人或近今人士，面對今文各篇的篇數、篇名與順序問題，在判讀上稍有不同，撰寫《尚書》讀本時也就保有小幅度的彈性，處理〈書序〉的方式亦然，隨著諸家對於〈書序〉的來源與價值之不同判斷，〈書序〉或者被正視，或者被淡化，或者被刪除。

今文《尚書》篇數的差異，〈顧命〉與〈康王之誥〉的分合是一大關鍵，另可注意者，自歐陽、大小夏侯將此二篇合而為一以來，受其影響者指不勝屈，僅以近代學者而言，周秉鈞認為今文《尚書》總數為二十八篇，故其《尚書易解》目錄中不見〈康王之誥〉之篇，可謂理所當然，即強調伏生《尚書》二十九篇，其中〈顧命〉與〈康王之誥〉分為二篇的屈萬里先生，亦在其三種《尚書》讀本中將二篇合一。

透過本文可以發現，伏生以二十九篇教授鄉里，〈顧命〉與〈康王之誥〉分而為二，這是其破壁所得的原始文獻，但由於兩篇的內容有高度的銜接性，其後學如歐陽、夏侯等願意將此二篇合一，也有相當的理由，至少，在當年並未引起明顯的反彈，再由歐陽與夏侯本的篇數不一致，亦可推知皮錫瑞「漢人最重師法」、「前漢重師法，後漢重家法」之說不可信，至少，我們可以確信皮說並不精密。

在《尚書》各篇中，〈顧命〉具有深刻且特殊之意義，⁵⁷就歷史層面而言，周成

襲淮夷歸作之。〈魯世家〉云：『成王在豐，天下已安，周之官政未次序，於是周公作〈周官〉，官別其宜。作〈立政〉。』是〈周官〉在〈多方〉後、〈立政〉前甚明，鄭本是也。」吳汝綸：《尚書故》，《續修四庫全書》（上海：上海古籍出版社，2002年3月），經部，書類，第50冊，卷3，頁760。

⁵⁴ 楊筠如：《尚書覈詁》（臺北：學海出版社，1978年2月），卷前，〈尚書覈詁凡例〉，頁1。

⁵⁵ 案：楊筠如在〈凡例〉中自述其分篇之標準為：「根據馬鄭本參以《史記》諸書，如〈盤庚〉分為三篇，史公與鄭本相同，漢石經亦空一格，以示不相連屬。茲亦定為三篇。〈康王之誥〉，大小夏侯及歐陽本與〈顧命〉合篇，茲仍馬鄭本之舊，分『王若曰』以下為〈康王之誥〉，故較今文二十八篇，溢出三篇，實計三十一篇。」《尚書覈詁》，卷前，頁1。

⁵⁶ 周氏云：「本書只注今文二十八篇。阮刻《十三經注疏》本比較通行，本書篇次和文字謹依此本。《注疏》本將〈書序〉分列各篇之首，與古本不符，今盡刪去。」周秉鈞：《尚書易解》（長沙：嶽麓書社，1984年11月），〈凡例〉，頁1。

⁵⁷ 林之奇（1112-1176）：「顧命者，漢孔氏曰：『臨終之命曰顧命。』唐孔氏曰：『《說文》曰：顧，還視也。』鄭康成曰：『迴首曰顧。顧是將去之意，言臨終死去，迴顧而為語也。』是也。」黃生（1622-?）《義府》：「《書》以〈顧命〉名，顧，眷顧也。命大臣輔嗣主，鄭重而眷顧之也。鄭氏以為臨死回顧而發命，陋甚。」王國維（1877-1927）〈周書顧命考〉：「〈周書·顧命〉一篇記成王沒康王即位之事，其時當武王克殷、成王致太平之後，周室極盛之時。其事為天子登假嗣王繼體之大事，其君則以聖繼聖，其公卿猶多文武之舊臣，其冊命之禮，質而重，文而不失其情；史官紀之，為〈顧命〉一篇。古《禮經》既佚，後世得考周室一代之古典者，惟此篇而已。」分見〔宋〕林之奇：《尚書全解》，影印《文淵閣四庫全書》，第55冊，卷37，頁752：3a-3b；〔清〕黃生著，黃承吉合按，〔民〕劉宗漢點校：《字詁義府合按》（臺北：洪葉文化事業公司，1992年10月），《義府》，卷上，頁97；王國維：《觀堂集林》（北京：中華書局，1961年6月），第1冊，卷1，頁50。

王乃是中國第一位顧命之君，⁵⁸而經文書寫細膩，連顧命前之陳設置衛之敘述，都透顯出某種意義。⁵⁹流行於兩漢的今文《尚書》將〈康王之誥〉納入〈顧命〉，可能是因兩文並觀，其歷史文獻價值更顯全面，亦即，兩篇的主題合論，更可見出整體之重點，包括顧命、冊封大典與君臣之互勉等。⁶⁰

文末，筆者再將《尚書》今文篇數略整如下：伏生《尚書》二十九篇，內含〈顧命〉、〈康王之誥〉兩篇，無〈書序〉。歐陽《尚書》有〈書序〉一篇，〈泰誓〉三篇，〈康王之誥〉納入〈顧命〉，故《經》共三十二卷；不訓釋〈書序〉，故《章句》為三十一卷。大小夏侯《尚書》亦收〈泰誓〉，但整合為一篇，且不收〈書序〉，〈顧命〉、〈康王之誥〉合為一篇，因無〈書序〉，故《經》與《章句》卷數一致，都是二十九卷。此外，漢儒亦有《尚書》二十八篇之說，應是視〈顧命〉、〈康王之誥〉為一篇，但兩漢之世是否真有二十八篇本之實體《尚書》，尚待論證。

徵引文獻

一、傳統文獻（以時代排序）

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⁵⁸ 呂祖謙（1137-1181）：「堯、舜、禹、湯、文、武無顧命，而成王獨有顧命，始終授受之際，國有常典矣。成王之初，經三監之變，王室幾危，故於此正其終始特詳焉。顧命，成王所以正其終；康王之誥，康王所以正其始。」〔宋〕呂祖謙著，時瀾增修：《增修東萊書說》，影印《文淵閣四庫全書》，第57冊，卷31，頁427：9b-428：10a。

⁵⁹ 李振興：「……陳設之盛，敘述之明，用意之深，影響深遠，成、康時代，所以能成為太平盛世，這不是沒有原因的。……宋儒陳經的話最具意味，他說：『自設黼戺至此（李氏原註：即至置衛、一人冕執銳、立于側階），典章文物之備，豈為華侈之具哉！一以象前王平生所坐、所寶、所乘、所衛，以起嗣王之追慕而盡誠紹述也。一以昭前王委重投艱之意，使嗣王肅敬以祇承也。一以起羣臣諸侯之尊敬、想慕前王，而繫心於嗣王也。一以表人主之崇高、富貴、尊無二上，而傳授之正如此，以絕天下覬覦之萌也。』這在西周那個時代，信天崇天的時候，確能發揮如是的功能。」《尚書學述》（臺北：東大圖書公司，1994年5月），下冊，頁1150-1151。

⁶⁰ 李振興以為，如果將兩篇的此疆彼界撤除，即「不難看出，其所表現的重點，不外三項。那就是：第一，成王的『顧命』。第二，康王的冊封大典。第三，諸侯朝王時的相互勸勉。」《尚書學述》，下冊，頁1163。

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比例原則與專業翻譯中的資訊扭曲問題

賴秉彥*

摘要

本文從 *Project Syndicate* 的新聞同業網站上，選取六篇由當今思想領導人所寫的專欄文章，作為分析的資料。這些文章的譯文乃是出自大陸方面的專業譯者。我們從六篇譯文當中，篩選出二十四組具有爭議性的句子，逐一探討，並且將這些例句的問題分為六大類。

透過以效益為依歸的比例原則，我們對翻譯的策略加以探討。我們的看法可歸納為三點：首先，應避免不恰當的句型轉換，或是用相似的意思取代原先的意思。基本上，這類策略的弊多於利。其次，對於轉折語氣與前後呼應兩種狀況，我們希望極力保留，這乃是基於這類語氣的轉達對資訊傳遞的影響事關重大。最後，當譯者處理原文簡約，涵意豐富的狀況時，也可以根據比例原則來決定應該以原文之文字或是完整表達原文所蘊含的涵意為依歸。

關鍵字：比例原則、翻譯策略、資訊扭曲

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The Information Distortion Problem in Op-Ed Translation: The Principle of Proportionality and Its Applications

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Abstract

We selected six Op-Ed articles written by notable scholars from the Project Syndicate website. These editorials were translated by professional translators from Mainland China. After careful inspection, we chose a total of 24 controversial sentences for our analysis. We examined the translation problems in these sentences and classified these problems into six different categories.

According to the principle of proportionality, we suggest that, among other things, inappropriate syntactic transformation, together with irrelevant interpretations should be avoided as much as possible because it normally will create information distortion without the associated benefit of uncovering the professional knowledge that is embedded in the original text. In addition, priority should be given to the preservation of information that is implied in the original text when it does not require a great deal of translation editing. On the contrary, if the amount of editing involved is substantial in relation to the embedded information, the original writing style should be kept intact as much as possible.

Key words: Principle of Proportionality, Translation Strategy, Information Distortion

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一、介紹

Project Syndicate 是一個高品質的新聞同業聯盟組織，其會員涵蓋來自世界一百五十四個國家的四百八十九家報社¹，是世界最大的新聞專欄同業聯盟組織²。其會員包括臺灣的蘋果日報、*Taipei Times*、財訊雜誌，大陸的 *Shanghai Daily*、中國日報，澳門的 *Macau Business* 以及香港的蘋果日報、信報財經新聞、香港經濟日報與 *South China Morning Post* 等兩岸四地共二十五家報社、雜誌社與網站。高品質的評論文章，由學界、政界、業界以及社運、民運人士所執筆，在世界各大報紙同步刊載。

在 *Project Syndicate* 的諸多評論文章中，核心的部份乃是由當今思想界領袖所執筆的專欄。本文選取其中六位思想界領袖於 2006 年所寫的文章各一篇，從其中篩選例句，做為本文分析的基礎。這六位思想界領袖全部是學界人士，其中也有人有過從政的經歷。在我們選錄的六位思想界領袖之中，有四位是財經學者，一位是政治學者，另一位則是生物倫理學者。事實上，在 *Project Syndicate* 的評論文章中，財經與政治這兩大領域的確是占了頗高的比例。

一旦新的評論文章公開發表於 *Project Syndicate* 的網站之上，這些文章立即以七至八種語言被同步刊載，這其中自然包括了中文。中文翻譯方面，乃是由大陸的譯者所執筆。本文所選取的文章，乃是由許彬彬與越征兩位先生所翻譯³。我們在六篇文章之中，尋找較具有爭議性的翻譯，每篇文章挑出四句，一共挑出二十四組值得探討的例句。在本文的第二部份例句分析之中，我們將逐一探討這些翻譯的問題所在。緊接著，在本文的第三部份歸納分析之中，我們試著將譯者所出現的問題分為六大類，並逐一的加以討論。最後，在第四部份的結論當中，我們將討論的結果，作了總結。

本文在架構上，乃是採用自下而上的觀點(bottom-up approach)。本文先從實務面歸納問題，再建構適當之原則加以統合。以這種方式所整理出的翻譯原則(Principle of Translation)，與實務面的銜接會比較密切。在整個歸納分析之中，本文所採用的觀點，乃是效益觀點。也就是，譯者在譯文的考量方面，應以能否完整的轉達原文的訊息，為最主要的目的。基於這樣的目的，譯者可以依循比例原則(Principle of Proportionality)，思考較為妥善的翻譯策略。

比例原則原為法學名詞，其所指之比例，為目的與手段之間的比例。以憲法為例，若行政當局所施用之手段，過於擾民，而成效不彰，不符合其當初立法時所宣稱之目的，則可視為違反比例原則。而該行政法令或措施，極有可能因違憲而失效。將這個原則套用在翻譯之上，代表譯者應思考其所採用之翻譯策略或手段，是否與忠實傳達原文資訊之目的，形成合理的比例。本文對目的的定義，乃指忠實傳達蘊藏在原文文字底下的資訊意涵。這類的資訊意涵，往往來自英語的特定表達模式與領域專業知識。翻譯手段則定義為表面上的文字次序更動或文字上的添加與減少。

我們選用專欄評論文章作為分析對象，主要是基於專欄文章的特殊性。基本上，專欄文章的內容較短，譯者不需如書本一般，承受冗長的時間負擔。在負擔較少的情況下，譯者如果依然出錯，這類錯誤，就可能是譯者較難以規避的錯誤，也更值

¹ 參照 <http://www.project-syndicate.org/member-papers>。

² 參照 <http://www.project-syndicate.org/about-project-syndicate>。

³ 在 *Project Syndicate* 新版網頁中，譯者的名字已經消失。

得我們提出來加以討論。另外，我們之所以只選用 2006 年的文章，主要是希望建立一個客觀的篩選標準。如果完全任憑個人的主觀喜好來選取文章，可能會扭曲了問題的本質。

以下我們針對二十四組例句進行分析。例句一至十二分別來自三篇獨立的文章，乃是由大陸譯者許彬彬所翻譯。例句十三至二十四則來自另三篇獨立的文章，是由大陸譯者越征所翻譯。首先，我們從以下三組例句開始討論，這些例句是來自於馬丹娜與小孩(Madonna and Child)這篇文章，作者為普林斯頓大學教授 Peter Singer，其專長為生物倫理。

2.1. 譯文：他做出這樣的決定是有道理的。

原文：That seems a wise decision.

譯句的問題在於單字的缺漏，似乎(seem)這個字被漏掉了。就本文的屬性而言，這可以歸類為次要的問題。然而，說話語氣的精確掌握，在另外一些類型的文章當中，特別是涉及對未來事件或局勢的看法，是至為重要的。為了彰顯此一問題，我們可以參考以下的例句⁴：

2.1.1. 譯文：歐元和歐元區的前景依然撲朔迷離。但最近在歐洲央行、德國和全球金融市場所發生的事情表明我們可以對這一共同貨幣的未來感到樂觀。

原文：The prospects for the euro and the eurozone remain uncertain. But recent events at the European Central Bank, in Germany, and in global financial markets, make it worthwhile to consider a favorable scenario for the common currency's future.

這個翻譯出現了重大誤差。作者對歐元的信心，並沒有高到‘可以對這一共同貨幣的未來感到樂觀。’事實上，作者對歐元的信心相當的弱，他只不過說：讓我們值得花腦筋去思考這一共同貨幣邁向正面未來的可能性。作者之措詞用字非常之審慎與保守，對歐元往正面發展的信心根本不到百分之五十，但經過譯者的翻譯，歐元往正面發展的機率卻超過了百分之五十。這個例子說明了，對說話語氣的掌握不精確，在特定類型的文章中，容易釀成大錯。以下再試舉一例說明：

2.1.2. 譯文：如果沒有更加深遠的政治和經濟一體化 — 也許最終無法將所有當前歐元區的成員國納進來 — 可能連這個十年都撐不過。

原文：But, without further profound political and economic integration – which may not end up including all current eurozone members – the euro may not make it even to the end of this decade.

這個翻譯的問題較小。但問題仍出現在作者用了兩次 may not，譯者卻未予統一處理。原文依然涉及對未來事件的預測，因此作者在語氣拿捏特別謹慎，深怕砸了自己招牌。這個句子牽涉到兩個預測：更加深遠的政治和經濟一體化無法將所有當前歐元區的成員國納進來，以及歐元連這個十年都撐不過。平心而論，從作者語氣中拿捏，這兩個悲觀預測的機率應大於百分之五十。要如何翻出這樣的審慎悲觀語氣，並維持一致性，實為譯者一大挑戰。這個例子可以說明，翻譯上些微的漫不經心，因原文的特殊性，可造成或大或小的問題。

另外，這個句子為一典型三段式洋蔥句(onion sentence)，許多譯者遇到這類三段

⁴ 本例句摘錄自 An Optimistic Case for the Euro，作者為 Martin Feldstein.

式洋蔥句，經常不知所措。本文將在歸納分析的部份，表達針對此一問題的立場。

- 2.2. 譯文：英語將成為他的母語，如果他有機會接觸自己父輩的語言，也只能是作為外語來學習。

原文：His mother tongue will be English; if he ever learns to speak his father's language, it will be as a foreigner.

這個譯句的問題在於譯者以相近的語意取代了原意(semantic substitution)。比較忠於原意的譯法為：如果他有機會接觸自己父輩的語言，也只能是從外國人的角度來學習。同樣的，這似乎是個不起眼的誤差。然而，這樣小小的不經意，呈現在不同類型的文章中，也可能差之毫釐，失之千里。例如，在以下的例句 2.12 中，問題就顯得嚴重許多。

- 2.3. 譯文：但在這樣的環境中生活的難度却遠遠不像繼續在孤兒院生活那樣令人望而生畏，而這種假設的前提是戴維在孤兒院裏能夠存活下來。

原文：The difficulties of living in such circumstances, however, are surely less daunting than the hazards David would have faced had he stayed in the orphanage – assuming that he would have survived at all.

這是一個困難而具挑戰性的句子，其困難的地方在於語氣有兩處轉折之處，由 however 與 assuming 兩字連結而成。個人的看法是：遇到這種情況，可以考慮添加適當的中文語助詞，以保存原文中的轉折語氣。這個句子，可以翻譯成：在這樣的環境中生活的難度當然不及像在孤兒院生活那樣充滿危險，如果他在孤兒院裡還能夠活得下來的話。稍後，我們也將在歸納分析的部份，表達我們對於轉折語氣的立場。

接下來，我們要探討的三個例句是來自於人工智慧與全球化(Artificial Intelligence and Globalization)這篇文章，作者為哈佛大學經濟系教授 Kenneth Rogoff。

- 2.4. 譯文：我感到自己可以通過看別人的棋譜了解那個人的個性狀況，國際象棋的業餘愛好者也不例外。

原文：I felt I could tell a lot about someone's personality by seeing a sampling of their games, even those of an amateur.

Sampling 這個字被漏掉了。此外，後半段的譯句容易造成讀者的疑惑。讀者可能分不清楚，國際象棋的愛好者到底是落在主格或是受格的位置。根據原文，國際象棋的愛好者是屬於受格。譯者在這種情況下，應避免譯文的文意混淆。

- 2.5. 譯文：如今一切都發生了變化。

原文：Now everything changed like lightning.

這個譯句的問題也是在於單字的缺漏，閃電(lightning)這個字在翻譯的過程被省略掉。若翻譯成：如今一切都發生了迅雷般的變化，意思上會比較完整。

- 2.6. 譯文：但多數證據顯示：技術變革能夠比貿易更有效地推動全球薪酬格局的發展。

原文：Yet the vast body of evidence suggests that technological changes were a much

bigger driver in global wage patterns than trade.

若以一種挑剔的態度看待上述譯句，還是會覺得譯句沒有掌握住原文中隱而未宣的意旨。在譯句中‘有效地推動全球薪資格局的發展，’隱含有正面的意思。事實上，技術變革與貿易對薪資型態的影響，是屬於令人關切的問題，並沒有正面的涵義。這類句子牽扯到專業的財經涵養，容易造成譯者的麻煩。

接下來的六個例句來自於傅利曼完成凱因斯之志業(Friedman Completed Keynes)一文，作者為加州大學柏克萊分校經濟系教授 Brad DeLong。

2.7. 譯文：這一框架的基礎是需求和消費

原文：That framework is based on spending and demand

譯文在專有名詞出了問題，spending 應翻譯為開支而非消費，在經濟名詞中，消費(consumption)只不過是開支(spending)的一部份。

2.8. 譯文：弗里德曼為凱恩斯的框架補充了價格和通脹理論，這一理論的基礎是自然失業率和政策在穩定長期經濟發展方面的有限作用。如果這種局限被打破，政策干預就很可能引發失控的破壞性通脹。

原文：Friedman added a theory of prices and inflation, based on the idea of the natural rate of unemployment and the limits of government policy in stabilizing the economy around its long-run growth trend – limits beyond which intervention would trigger uncontrollable and destructive inflation.

這個譯句的問題在於文意的掌握，該句中限制(limit)一字出現兩次，應予統一處理，方能使文句前後呼應。另外，growth 應翻譯為成長，而非發展。在財經詞彙上，經濟成長與經濟發展是截然不同的名詞，不可混為一談。另外，trend 這個字也被省略了。然而，就算這些環節都處理好了，讀者可能還是弄不清這個句子的涵義。因為這當中，還牽扯到更深一層的專財經知識。為了讓專業上的意思明朗化，譯者可能不得不在文字上作出更動，添加適當說明。基本上，這個句子可翻譯成：傅利曼為凱因斯的框架補充了價格和通脹理論，這一理論的基礎乃是來自於兩道限制：自然失業率以及政府政策在經濟長期成長趨勢附近的侷限穩定能力，一旦忽視這兩道限制，干預政策就將引發失控與破壞性的通貨膨脹。

2.9. 譯文： 弗里德曼和安娜·施瓦茨（Anna J. Schwartz）合著的《美國貨幣史》拉開了長達 30 年的恢復平衡運動的序幕。

原文：Friedman, in a 30-year campaign starting with his and Anna J. Schwartz's *A Monetary History of the United States*, restored the balance.

對照原文與譯文，我們發現譯文中的句型與原文已經有了相當大的差異。在翻譯中，往往必須面臨句型結構轉換的問題，一旦句型結構受到大幅更動，幾乎就註定翻譯失當的命運。在這個句子中，主詞是弗里德曼，卻被譯者轉化成‘弗里德曼和安娜·施瓦茨（Anna J. Schwartz）合著的《美國貨幣史》。’同樣，這個句子也是三段式洋蔥句。這類句型適合用來表達繁複的意思，因此出現的頻率頗高，也容易造成譯者的麻煩。

2.10. 譯文：如果聽任私有經濟自由發展，令人無法承受的動盪就會發生，因此有必要用有限但却有力的政府戰略性調控來保穩定

原文：the private economy on its own might well be subject to unbearable instability and that strategic, powerful, but limited economic intervention by the government was necessary to maintain stability

原文中有三個並列的形容詞，分別是策略性(strategic)、有力的(powerful)與受侷限的(limited)，但是在譯句當中，有力的(powerful)與受侷限的(limited)這兩個字卻被移到句型結構中較外圍的位置。跟 2.9 的情況一樣，在這個句子裡，原文的句型結構，已遭到了明顯的更動。另外，經濟(economic)這個字也被省略掉了。

2.11. 譯文：重大的市場失利往往屬於特殊情况，而不是常規狀態，而自由放任主義則是市場利益的初步近似。

原文：episodes of important and significant market failure were the exception, rather than the rule, and laissez-faire was a good first approximation.

市場失靈(market failure)是經濟學的專有名詞。這帶出了一個問題，如果是非本科的譯者，有沒有辦法察覺這其實是專有名詞？畢竟，這個專有名詞出現的方式，並不如 2.7 當中的開支(spending)那般的明顯。另外，rule 跟 exception 是英文中經常出現的用法，經常在許多文章出現，最好統一處理，可考慮翻譯成通則與例外。

最後一個子句(laissez-faire was a good first approximation)是屬於難度較高的，意思是說：自由放任在大部份情況下是最佳的處置。譯者在這種情況下，往往面臨困難的抉擇：該不該加油添醋，將原文隱而未宣的意思稍加解釋？若與例句 2.8 作比較，則例句 2.11 所蘊涵的專業訊息較少，或可以考慮採用相對保守的翻譯策略。

2.12. 譯文：政府工作人員把命令民眾當成一種樂趣。

原文：The kinds of people who staffed governments were the kinds of people who liked ordering others around.

同樣的，譯文的問題在於把以相似的語意取代了原意。‘會去政府部門任職的人都是那些喜歡使喚他人的人’會是較貼切的翻譯。字面上，乍看之下差不多的意思，其實是有些差距的。這個句子所出現的翻譯誤差，比 2.2 句型來得嚴重。如前所述，問題的大小，會因原文的性質，而有所不同。

接下來的三個例句是來自於東亞的三角關係 The East Asian Triangle，作者為哈佛大學教授 Joseph Nye。

2.13. 譯文：但是安倍入主首相府時被認為是一個比他的前任小泉純一郎更加强硬的民族主義者，後者對於有爭議的供奉着二戰甲級戰犯的靖國神社的持續參拜惡化了中日關係。

原文：But Abe comes into office with a reputation as a stronger nationalist than his predecessor, Junichiro Koizumi, whose insistence on visiting the controversial Yasukuni Shrine (where Class A war criminals from World War II are buried) helped sour relations with China.

原文中有括號，裡頭的文字為輔佐說明。在譯句當中，括號裡頭的文字被移至句子之中，改變了句型結構。這樣的大費周章，並非必要，因其成效並不顯著。

2.14. 譯文：遏制是行不通的，因為不像冷戰時期的蘇聯，中國的鄰國並沒有把它看作一個清晰並且現實的危險。

原文：Containment was unfeasible, because, unlike the Soviet Union during the Cold War, China's neighbors did not see it as a clear and present danger.

迫切的危機(clear and present danger)是法學專有名詞，也曾經被用來作為電影的片名。翻譯的時候，可參照法學名詞的制式翻譯，或是比照電影片名的翻譯。

- 2.15. 譯文：同時通過鼓勵中國加入到世貿組織和其他一些組織，我們表明了對於良好行為加以鼓勵的態度。我們用現實主義的態度來把它融合進來以免事情向壞的一面發展。

原文：By simultaneously encouraging China's entry into the World Trade Organization and other institutions, we created incentives for good behavior. So integration was hedged by realism in case things went wrong.

誘因(incentive)為經常出現的財經名詞，在譯文中，應該予以彰顯。避險(hedge)這個財經名詞也被省略掉。另外，譯文的意思與原文有所出入。在原文中融合(integration)是名詞，譯文將之轉換為動詞，與原文的意思有了極大的出入。在原文中融合(integration)是主要手段，現實主義(realism)則是輔佐手段，然而，從譯文中，卻無法察覺這樣的主從關係。針對最後一句，比較適當的翻譯應為：透過融合的方式佐以現實主義加以避險，以防事情出了差錯。

以下的三個例句來自於蓋茲所帶來的福音(The Gospel According to Gates)這一篇文章，作者為耶魯大學經濟系教授 Robert Shiller。

- 2.16. 譯文：卡內基還支持設立遺產稅作為一種激勵。

原文：Carnegie also advocated an inheritance tax as an incentive.

如同 2.15 一般，誘因(incentive)為財經名詞，應該予以制式處理。

- 2.17. 譯文：無論蓋茲是否履行諾言，像他這樣的人們是否證明這一規則的例外呢？

原文：Regardless of whether Gates lives up to his promise, are people like him the exception that proves the rule?

這是個困難的句子，對譯者是一大挑戰。如果將原文的意思稍加擴張，可翻譯如下：不論蓋茲是否履行其諾言，像他這樣的少數例外，有沒有辦法證明卡內基所主張之通則呢？由於原文十分的簡約，意思卻與文章之前的段落回應，因而在翻譯的處理上，並不容易，譯者這種情況下，還是會面臨該不該加油添醋的兩難抉擇。但即使無法完全的轉達原文的涵意，至少應避免文意的扭曲。

- 2.18. 譯文：但是，卡內基的論點即使在美國都從來沒有成為廣為接受的信念，因為，大多數人拒絕這一觀點，即有錢的工商人士更為聰明並在道德上更為高尚。當然，蓋茲和巴菲特並不宣稱擁有這些東西。

原文：But Carnegie's argument never became received doctrine even in America, because most people reject the view that rich business people are smarter and morally superior. Certainly, Gates and Buffett claim nothing of the sort.

譯文的問題出現在最後一個句子，這也是屬於一般人較難以理解的英文句子，譯者也因此這個句子的涵義有所誤解。我們可以將這個句子，也就是 'Certainly, Gates and Buffet claim nothing of the sort' 的涵義引申如下：當然，單憑蓋茲與巴菲特並無法讓一般人接受有錢人兼具聰明與道德這樣的形象。

以下的六個例句來自於菲爾普斯因素(The Phelps factor)，作者為哥倫比亞大學經濟系教授，同時也是經濟學諾貝爾獎得主 Joseph Stiglitz。

2.19. 譯文：這一見解可能會帶來兩種政策。

原文：This insight holds two possible policy implications.

Implication 這個字被漏掉。意涵(implication)為公共政策領域常用的字彙，應予制式處理。

2.20. 譯文：于是，他們還是要作出權衡，即把失業率推得過低會帶來一段時間的通貨膨脹，而如果不過分追求低失業率，又會造成經濟資源不必要的浪費。

原文：Thus, they still face a trade-off between pushing unemployment too low, and setting off an episode of inflation, and not pushing hard enough, resulting in an unnecessary waste of economic resources.

取捨(tradeoff)比權衡為佳，權衡比較適合用在 discretion 這個字上面。事實上，取捨(tradeoff)與權衡(discretion)都是財經文獻常見的字彙，適合予以制式處理。在專業翻譯領域中，對專業單字的翻譯，需有通盤的考量。否則，容易發生鵲巢鳩占的狀況。例如，在例句 2.7 當中，如果硬把 spending 翻成消費，緊接著就會面臨要如何處理 consumption 這個字的難題。另外，如果在譯文中，將過份改成努力，應該比較能傳達原文的意思。否則，將會無謂的增添本來沒有的負面涵意。跟例句 2.1 一樣，這也牽涉到譯者能否準確的掌握語氣。

2.21. 譯文：根據經濟狀況的改變，我和跟我一起在克林頓總統的經濟顧問委員會工作的同事們爭辯說，NAIRU 的水平應該要低得多。結果證明我們是對的。

原文：Based on changes in the economy, I and the staff that worked with me on President Bill Clinton's Council of Economic Advisers argued that the NAIRU was considerably lower. We were right.

在譯文中，推斷(argue)被翻譯成爭辯，與原意有所差池。這也是臺灣學生經常犯的錯誤，可能許多人對 argue 這個單字的印象，仍停留在中學時期。另外譯文中的意思有些混淆，讀者有可能並不清楚誰跟誰在爭辯。如同例句 2.4 一般，這裡也出現了主格與受格的混淆狀態。

2.22. 譯文：換句話說，通常被認為是雷同的個人會運用所有可提供的信息來預測在一個完整競爭、沒有資本市場的缺點和充滿各種風險的環境下的未來。

原文：In other words, individuals – usually assumed to be identical – fully use all available information to forecast the future in an environment of perfect competition, no capital market shortcomings, and full insurance of all risks.

針對各種風險的保險措施(full insurance of all risks)是典型的財經概念，源自於經濟學諾貝爾獎得主 Kenneth Arrow 的完全市場(complete market)概念。譯者可能難以瞭解這樣的觀念，於是在譯文上出現了誤差。將 'individuals – usually assumed to be identical' 翻成 '被認為是雷同的個人' 會讓中文讀者不明白這到底是什麼意思。原意應該是在建構財經模型時，經常將市場上有差異的個人假設為完全相同。這個句子背後的专业意涵豐富，可能要稍稍添加文字作為補充說明，就算不補充說明，至

少也應該將 *assumed* 翻譯為假設。這也是個具有難度的句子，考驗著譯者的專業財經素養。

2.23. 譯文：認為不存在被迫的失業，市場效率完美，以及再分配不會帶來任何真正的結果。

原文：there is no involuntary unemployment, markets are fully efficient, and redistribution has no real consequence.

非自願失業(*involuntary unemployment*)為財經專有名詞，不適合由譯者自行裁度。就算譯者可以自行裁度，也不可以將非自願翻成被迫。

2.24. 譯文：菲爾普斯的經濟學追求的是行動，而不是順從。

原文：Phelps' economics remains one of action, not resignation.

譯者對英文的理解有誤差，真正的意思是：菲爾普斯的經濟學尋求的是有所為，而非束手不為。原文有押韻，翻譯時最好能加以保留。這個句子的背後，也涉及專業的財經知識，也就是凱因斯與古典學派的本質差異。

三、歸納分析

綜合以上二十四組譯句的分析，我們可以將專業譯者容易犯的錯誤歸納為以下六種問題，附表一則列出每組例句所出現的錯誤。

3.1. 對高難度的英文句子難以掌握

這個問題似乎是譯者的一大挑戰，在二十四組例句當中，有五個句子出現了這樣的問題(請參見附表一)。在例句 2.3 中，主要的問題為轉折語氣。本文的立場，乃是將轉折語氣視為可貴的資訊，建議譯者以添加語助詞的方式，以保存原文中的轉折語氣。在例句 2.17 中，主要的問題出在前後呼應。前後呼應也屬於原文中的重要資訊，必須盡量設法予以保全。針對這兩種狀況，我們認為譯者無需猶豫，以保存轉折語氣與前後呼應之格局為最優先之考量。

在例句 2.11、2.17、2.18、2.24 當中，由於原文簡約，但是卻涵意豐富，使得譯者面臨是否應加油添醋的兩難抉擇。譯者的困難，在於不熟悉英語的特定表達模式。基本上，我們看待這個問題的角度，乃是著重以效益為目的，翻譯策略為手段的比例原則(*principle of proportionality*)。這裡所指的效益，乃指蘊藏在原文文字表面下的資訊意涵，這類的資訊意涵，往往來自英語的特定表達模式與領域專業知識。翻譯手段則意指譯文在表面上的文字次序更動或文字的增減。如果必須要大費周章的加油添醋，方能淋漓盡致的表達原文的豐富意涵，譯者可考慮採取保守策略，以簡約的原文為依歸，讓讀者自行去猜想豐富的意涵。如果只需稍作修飾，就可以掌握高層次的意涵，譯者就可以採取進取的策略，以表達豐富意涵為首要考量。

3.2. 領域專業知識不足

這其實是譯者最容易遇到的問題，在二十四組例句當中，有十二個句子出現了這樣的問題，比率高達五成。而這也顯示出，專業翻譯的困難度。這方面必須依賴譯者本身對專業領域的涉獵或是專業人士的校稿，方能有所改善。在例句 2.7、2.14、

2.15、2.16、2.19、2.20、2.23 當中，僅僅是專業字彙的問題，只須在特定的專業領域之中稍有涉獵，應該就可以排除。例句 2.6、2.8、2.11、2.22 與 2.24 則涉及專業內容，難度較高，也可以依比例原則加以處理。例如，針對例句 2.8 或 2.22，由於其中專業意涵豐富，我們可以考慮採取進取的策略，更動文字次序或增減文字，以表達專業意涵為首要考量。或是針對例句 2.11，因為專業含量相對稍低，可考慮採取相對保守的策略。綜合 3.1 與 3.2 的討論，我們發覺：專業譯者的兩大挑戰，來自於對英語之特定表達模式與領域專業知識的理解。其中 2.11 與 2.24 這兩組例句，更是同時考驗著譯者的英文與專業素養。

3.3. 不恰當的句型轉換

這一情況，在二十四個例句當中，出現了四句。雖然頻率不是特別的高，卻大大的扭曲了原意。句型轉換的作法是否恰當，應視情況而定。譯者還是可以透過比例原則的角度，問自己以下兩個問題：1)是不是有必要進行大幅度的句型轉換？以及，2)如此大幅度的句型轉換，到底成就了什麼效益？在本文所舉出的例句當中，我們觀察到：譯者往往在不必要的情況下，採取這種作法。大大的損害了忠實度。句型轉換往往隱含極高的代價，實在不應輕易的動用此一措施。如果原文中句子實在太長，可以考慮將平行位階的子句或是片語打散，甚至改變前後次序。例如，在翻譯三段式洋蔥句時，有時可以考慮將第一段與第三段先結合起來，再處理第二段的補充說明。

然而，在翻譯時，應極力避免將句型結構中，原本屬於同一位階的子句或是片語變換成不同的位階，或將不同位階的子句或是片語變換成同一位階。若以句法學的樹狀圖的角度看待，這樣的轉換，會導致樹枝交叉(cross-branching)，將會大幅改變原來的意思。譯者必須要注意：原文的意義已經附著於原先的句法結構(syntactic structure)之上，一旦大幅更動原文的句法結構，不可避免的會對原文的意義造成極大的傷害，這種未見其利，先蒙其害的翻譯策略，應儘量避免。

3.4. 譯文中出現引起混淆的雙關意思

在這種情況下，譯者可能過度受到英語句型的束縛，而忽略了中文可能產生的雙關意思。在例句 2.4 與 2.21 當中，我們發覺問題都是出在主格與受格的混淆，譯者只需多加注意，即可避免。

3.5. 語意替代(semantic substitution)

譯者經常輕率的以差不多的意思，取代了原本本來的意思。這個問題以及接下來的省略與前後不一致，都是屬於初級譯者容易犯的錯誤，涉及到譯者的自我要求。而這兩類問題所造成的缺失，也大致相同，都容易導致對原文的語氣拿捏失去精確。處理這個問題的思考方式與 3.3 相同，譯者還是必須思考採取這樣作法到底成就了什麼效益，或是付出了何種代價。在例句 2.2 與 2.12 當中，我們觀察到的實際情況還是未見其利，先蒙其害。對於這樣的翻譯策略，還是應該予以避免。

3.6. 省略(omission)與前後不一致(inconsistency)

這類的問題中，有大部份是來自單字的省略，如例句 2.1、2.4、2.5、2.8、2.10、2.15、2.19。這是屬於個人的習慣問題，這方面只能透過譯者的自我要求來加以改善。這也是較容易避免的問題。然而，在特定的文章中，由於說話語氣的拿捏，至為重要，小小的省略，如例句 2.19，或是語意替代，如例句 2.20，都有可能改變說話的

語氣，進而對原文的意思，失去掌握。在例句 2.8 中，同樣的單字，譯者卻給予前後不一致的處理，這其實也是翻譯常見的疏漏。可能由於本文的例句較少，因此出現的頻率並不高。⁵

以上的討論，乃是透過比例原則所得出的結論。在翻譯策略上，我們認為應避免：1)不恰當的句型轉換；2)語意替代；3)文字上的省略或不一致。其中，語意替代、省略與不一致會導致對文章的語氣掌握失去精確，而不恰當的句型轉換則會大大的損傷了原意，比起語氣拿捏失準，還要來得嚴重。對於轉折語氣與前後呼應兩種狀況，我們主張極力保留，因為語氣的掌握代表著原文的精髓。最後，當譯者處理原文簡約，涵意豐富的狀況時，可以根據比例原則來決定應該以簡約的原文、或是豐富的涵意為依歸。

四、結論

我們從 *Project Syndicate* 的新聞同業網站上，選取六篇由當今思想領導人所寫的專欄文章，作為分析的資料。這些文章的譯文乃是出自大陸方面的專業譯者。我們從六篇譯文當中，篩選出二十四組具有爭議性的句子，並逐一探討。基本上，我們可以將這些例句的問題歸納為六大類。

本文的目的，不在於提出理論架構。我們希望透過實例，提出在實務上可供操作之原則。因此，本文的重點不是翻譯理論，而是翻譯原則。透過例句所呈現的問題，我們對翻譯的策略加以探討。我們的價值觀，乃是以效益為依歸的比例原則。依據比例原則：手段與目的必須呈現合理比例。這裡的手段意指表面的文字次序更動或文字的增減，目的則是以有效率的方式呈現潛藏在文字底下的英語特定表達模式或領域專業知識。

專業領域譯者的基本素養，在於避免粗心及掌握基本的專業單字與句型結構。翻譯策略，則是建構於這些基本要求之上的考量。透過比例原則，我們對翻譯策略的看法可歸納為三點：首先，應避免不恰當的句型轉換，語意替代、文字省略與前後不一致。基本上，這類策略的弊多於利。不恰當的句型轉換往往會大大的損傷原意，語意替代、文字省略與前後不一則會讓語氣掌握失去精確。其次，對於轉折語氣與前後呼應兩種狀況，我們希望極力保留，這乃是基於這類情況對資訊傳遞的影響事關重大。最後，當譯者處理原文簡約，涵意豐富的狀況時，也可以根據比例原則來決定應該以原文或是涵意為依歸。

作者論述語氣的掌握，至為重要，因為專欄文章往往涉及社會議題的辯論或是對未來的臆測，作者必須小心的提出或是捍衛自己的觀點。然而，許多譯者卻漠視了文字上的細微刻度。對於成長於西方的讀者而言，這些細微的刻度，其實是至為明顯的。因為，這其實是英文表達的一個本質：含蓄而迂迴。成長於東方文化背景的譯者必須跳脫文字表達過於直接的習慣，才能汲取英文文字中的原汁原味。於是，譯者對於論述語氣的拿捏與掌握，其實是不太能討價還價的。這也解釋了為何我們一定要處理轉折語氣與前後呼應，又為何我們要避免語意替代、文字省略與前後不一致，因為這三種情況，都會導致語氣拿捏失準。而這樣的語言刻度原則，就座落於比例原則的端點。

比例原則為一二分法，自然免不了涉入二分法的謬誤。在若干案例中，可能會

⁵ 例句 2.1.2 也出現前後不一致的問題。

發生目的與手段夾雜不清的狀況。也就是道家所提出的陰中有陽、陽中有陰概念。然而，這類的問題，相對在專業翻譯領域會顯得較輕微，因為在專業領域中，英語的特定表達模式與領域專業知識的界限是極為明確的。

依循比例原則，我們將翻譯的決策過程做了一番探討。我們認為這類的決策過程探討，實屬必要。未來如果要開發更先進的翻譯軟體，甚至是研發翻譯的人工智慧，必然會涉及到翻譯決策過程的討論。最後，本文由於收錄的文章有限，所能夠揭露的翻譯問題，實屬侷限。在未來的討論中，希望能夠收錄更多而且範圍更廣的文章，讓這方面的討論，能夠較為深入。

附表一

例句編號	例句所出現的問題
2.1	粗心
2.2	用相似的意思取代原先的意思
2.3	對高難度的英文句子難以掌握
2.4	譯文中出現引起混淆的雙關意思
2.5	粗心
2.6	專業領域的知識不足
2.7	專業領域的知識不足
2.8	專業領域的知識不足/粗心
2.9	不恰當的句型轉換
2.10	不恰當的句型轉換/粗心
2.11	專業領域的知識不足/對高難度的英文句子難以掌握
2.12	用相似的意思取代原先的意思
2.13	不恰當的句型轉換
2.14	專業領域的知識不足
2.15	專業領域的知識不足/不恰當的句型轉換/粗心/用相似的意思取代原先的意思
2.16	專業領域的知識不足
2.17	對高難度的英文句子難以掌握
2.18	對高難度的英文句子難以掌握
2.19	粗心/專業領域的知識不足
2.20	專業領域的知識不足/用相似的意思取代原先的意思
2.21	粗心/譯文中出現引起混淆的雙關意思
2.22	專業領域的知識不足
2.23	專業領域的知識不足
2.24	對高難度的英文句子難以掌握/專業領域的知識不足

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**Is Reading *The Last Song* Effective for Improving Reading
Speed, Reading Comprehension,
and General English Reading Proficiency? :
An Investigation into the Power of Extensive Reading Using a
Bestselling Original Novel**

Shih-fan Kao*

Abstract

This study investigated the power of extensive reading for pleasure by using a popular original novel, *The Last Song*, as the material to improve learners' reading speed, reading comprehension, and general English reading proficiency. With intermediate or high-intermediate level of English proficiency, 15 adult participants at Acme Language Institute (ALI), a private language school, received the extensive reading treatment for 10 weeks. The 15 participants were taking a course entitled Novel Reading taught by Bruce, an American teacher who adopted the extensive reading approach. The participants took the pre-test (before the beginning of the class) and post-test (after the end of the class) on reading speed, reading comprehension, and general English reading proficiency developed and administered by ALI. Paired-samples *t*-test was conducted to check if there was significant progress in the participants' scores between the pre-test and post-test. Furthermore, each participant was interviewed once after the post-test to check the reliability of the quantitative data. The results showed that due to the characteristics of extensive reading (such as the purposes of reading usually being related to pleasure, information, and general understanding, etc.), the 15 participants significantly enhanced their reading speed and reading comprehension after the treatment. In addition, the results also indicated that by increasing a considerable amount of reading input from the 463-page novel for 10 weeks, the 15 participants significantly improved their overall English reading proficiency including vocabulary usage, grammar knowledge and reading ability. Moreover, data from interviews also showed that all 15 participants expressed positive attitudes toward reading the original novel in the extensive reading approach. As a result, the findings suggested that reading a bestselling original novel extensively is an interesting, effective, and natural way to motivate ESL/EFL learners to become autonomous language acquirers. The pedagogical implications and the limitations of this study were discussed in the end.

Key words: extensive reading, original novel, reading speed, reading comprehension, ESL/EFL reading

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閱讀《最終一曲》能有效地增進閱讀速度、理解度、及整體英文閱讀能力嗎？：

一個檢驗用暢銷原著英文小說來作廣泛閱讀材料的實驗研究

高士凡*

摘要

本論文的主要目的在檢驗使用暢銷原文小說《最終一曲》來作為樂趣閱讀教材是否能增進英文學習者的閱讀速度、理解度、及整體英文閱讀能力。參與研究者為十五位當時在一美語機構 ALI 修習小說閱讀課的成人學員，參與者的英文程度約為中級至中高級，他們接受美籍教師 Bruce 為期十週的小說閱讀課。參與者在使用廣泛閱讀方法閱讀『最終一曲』的課程開始前及結束後均接受閱讀速度及理解度測驗，和 ALI 所設計的英文閱讀能力測驗〈含單字、文法、與閱讀三部分〉。在資料分析方面，SPSS 統計分析軟體的成對樣本 *t* 檢定來檢測前測與後測的平均數是否有統計上顯著的不同。此外參與者也在後測後接受訪談有關對 Bruce 課程的看法。結果顯示出：在經過十週使用廣泛閱讀方法閱讀暢銷小說的課程後，十五位參與者不只在閱讀的速度和理解度有顯著的增加，也在整體英文閱讀能力上有顯著的進步。另外，十五位課程參與者在訪談時也都表達了他們對 Bruce 老師使用暢銷原文小說作樂趣閱讀教材的正面態度與看法。因此，本論文的結果指出：使用暢銷原文小說作樂趣閱讀教材，並搭配使用廣泛閱讀方法來閱讀是既有趣又有效的自然英語習得方法，而且更能激勵英語學習者變成獨立主動的語言習得者。最後，本論文也探討研究結果可帶來的教學啟示，和研究本身的限制。

關鍵詞：廣泛閱讀、原文小說、閱讀速度、閱讀理解度、英語為第二語言閱讀/英語為外國語言閱讀

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Introduction

In Taiwan, the status of English is a foreign language and not a second language. For this reason, it might be hard for students here to develop their reading skills effectively or in a native-like manner since they simply do not have a good reading “environment.” From my observation, if an English book comes out in both versions of English and Chinese, most Taiwanese will read just the Chinese version for their convenience. Thus, it is necessary for us as English teachers to teach and train students to read extensively to reach native or native-like proficiency while they are still at school.

It is understandable that English learners in Taiwan do not often enjoy reading English texts because from the learners’ perspectives, students at regular schools often have a negative reaction to prescribed English readings that often focus on grammar and linguistic aspects. Indeed, most language textbooks are very instructional, de-motivating students to read outside the classroom. Interestingly, when asked about what their reading problems were, students almost always told me that the problems were mostly unfamiliar words and grammar. Then I asked them why they were not interested in the textbooks because the textbooks targeted their main language difficulties and met their needs. The students expressed that almost all the textbooks were not story-based and thus less fun. Also, students felt that they were always learning English and not enjoying the texts or real information every time they read English texts. They did not know when they could stop learning English words and start to enjoy the information about the English texts.

For these reasons, reading story-based books extensively is one of the best ways to motivate students to read (much) longer English texts outside the classroom. Furthermore, another commonly recognized problem faced by ESL/EFL (English as a second/foreign language) learners is slow reading (Bell, 2001). This has often been linked with traditional classroom methodology in reading lessons that mainly focus on language development rather than reading per se. Thus, now many ESL/EFL teachers train their students to read extensively by using interesting, story-based graded readers in order to motivate them to read more English texts as well as increase reading speed.

The term of extensive reading refers to a large amount of reading with a focus on the meaning of the text. Simply put, the attributes of extensive reading include the fast reading of a large amount of longer and easy-to-understand materials, with little or no accountability such as tests after reading (Powell, 2005). Extensive reading has real-world purposes in reading because reading extensively has the advantage of being both informative and pleasurable (Iwahori, 2008). From the training of extensive reading, students are more likely to continue reading English texts after they leave school (Kao, 2009a, 2009b). In addition, language-wise, research has shown that extensive reading can improve students’ linguistic abilities such as reading speed and comprehension, vocabulary acquisition, grammar, writing, mechanics including spelling and use of punctuation, etc. (Krashen, 2004).

However, most previous studies regarding the effects of extensive reading in ESL/EFL contexts usually adopted graded readers as the reading material. In my opinion, reading English texts that are mainly for English speakers such as novels and newspapers should be one of the most important objectives in ESL/EFL education. Therefore, the purpose of this paper was to investigate whether reading a popular novel written for English-speaking adults could enhance EFL learners’ reading speed and comprehension, and general English reading proficiency.

Literature Review

Definition, Characteristics, and Theoretical Frameworks of Extensive Reading

As its literal meaning, extensive reading means to read widely and in large quantity with the aim of getting the gist of the longer materials. In other words, extensive reading aims to let ESL/EFL students enjoy reading English materials and not learning vocabulary and grammar consciously. However, these students can acquire the English language simultaneously via extensive reading too. Bamford and Day (2004) provided some important features of extensive reading. These essential characteristics of extensive reading are:

1. a variety of reading with various topics and levels of language difficulty should be available;
2. learners choose what they want to read;
3. the purposes of reading are related to pleasure, information, and general understanding;
4. the reading material should not be too hard and should be within the linguistic competence of the EFL learners;
5. there are no follow-up exercises after reading.

In addition to the above characteristics, Ono, Day, and Harsch (2004) offered some tips for teachers who would like to use the extensive reading approach. They suggested that teachers have students avoid using dictionaries and train them to skip or guess the unknown or unfamiliar words, phrases, and expressions. This is in contrast to the traditional practice in ESL/EFL language teaching pedagogy, which often encourages students to use dictionaries and memorize the words they do not know. Moreover, teachers should encourage students to simply stop reading if the texts they are reading are not interesting. Following the general principles and tips, studies on extensive reading have shown that their participants improved in many linguistic areas such as reading speed and comprehension (Bell, 2001; Sheu, 2003), reading strategies (Hayashi, 1999), vocabulary acquisition and spelling (Krashen, 2004; Nation, 1997), grammar knowledge (Tudor & Hafiz, 1989), motivation and attitudes (Constinito, 1995), writing skills (Mason & Krashen, 1997), listening and speaking (Cho & Krashen, 1994), and second language acquisition (Mason, 2007), etc.

In the field of extensive reading, Stephen D. Krashen, an Emeritus Professor of University of Southern California, might be one of the strongest advocates that we cannot miss. He proposed two hypotheses as the theoretical frameworks supporting extensive reading: the Input Hypothesis (1985) and the Pleasure Hypothesis (2004). According to Krashen (1982, 1985, 1989), language learners acquire languages by understanding messages in a low anxiety context. Particularly, Krashen (1989) explained his Input Hypothesis by stating “comprehensible input is the essential environmental ingredient—richly specified internal language acquisition device also makes a significant contribution to language acquisition” (p. 440). In other words, language learners subconsciously acquire the target language when the language acquisition device is involved. By focusing on meaning rather than form, language learners are less conscious of language acquisition and will achieve what is called “incidental learning” (Krashen, 1989, p. 440). If the Input Hypothesis is correct, the more comprehensible input including aural and written input is provided, the more language acquisition occurs.

The Input Hypothesis also emphasizes the importance of a low anxiety context in order to acquire language. For this reason, Krashen proposed the Pleasure Hypothesis (2004): any pedagogical activities that help language learners acquire a second language

An Investigation into the Power of Extensive Reading Using a Bestselling Original Novel should be enjoyable, “but enjoyment does not guarantee language acquisition” (p. 28). He further stated that there is evidence that free voluntary reading (i.e. extensive reading) outside the classroom is very pleasing.

Following the predictions of Krashen’s two hypotheses, many previous studies mentioned above showed results that supported the Input and Pleasure Hypotheses. In the extensive reading programs of those studies, ESL/EFL learners could choose reading materials whose levels were comprehensible for them. Thus, they got a considerable amount of so-called comprehensible input. Also, those extensive reading programs were conducted in low-anxiety contexts such as reading just for pleasure, no follow-up exercise or quizzes, etc. In addition, it should be noted that comprehensible input is effective on any levels of language learners because the English proficiency among participants in those previous studies were heterogeneous.

Relationships Between Extensive Reading and Reading Fluency

Previous research also showed that extensive reading helps language learners read faster over time. Decoding words automatically is essential for reading speed. The researchers have called words that learners, while reading, can recognize rapidly, accurately, and automatically sight vocabulary (Iwahori, 2008). When learners encounter the same words in reading many times, these words may become their sight vocabulary (Day & Bamford, 1998). For this reason, sight vocabulary is fundamental for improving reading speed. When learners have a larger sight vocabulary, they decode more words automatically. Also, it is critical that learners have opportunities to keep encountering the words that they saw before. As a result, researchers recommended extensive reading to increase reading speed (Lai, 1993; Bell, 2001).

In Lai’s study (1993), three treatment groups (no control group) were involved. Lai conducted the study on the first treatment group in 1988, second in 1989, and third in 1991. Participants in the three treatment groups were secondary students at three different schools in Hong Kong, and their English proficiency was heterogeneous. Participants took the pre-tests and post-tests, and the researcher used the *t* test to compare mean differences within groups. The results of the post-tests showed that in terms of mean rate, treatment group 1 improved from 165 to 226 wpm (words per minute), treatment group 2 from 85 to 181 wpm, and treatment group 3 from 106 to 121. The *t*-tests showed that the differences between the pre-tests and post-tests of the first two treatment groups were statistically significant, but not in the third treatment group. Lai concluded that both extensive reading programs in summer (treatment groups 1 and 2) displayed a great deal of improvement in reading speed.

Bell’s (2001) study was another significant one often mentioned in literature regarding reading speed. The main purpose of Bell’s study was to probe into whether or not extensive reading can improve reading speed. Bell conducted his study over two semesters in Yemen to check if young adult students whose English proficiency was at the beginning level could increase their reading speed through extensive reading. There were control and experimental groups in his study. The experimental group received extensive reading, while the control group received traditional intensive reading that focused mainly on reading short texts and analyzing the texts for grammar, vocabulary and collocations, and sentence structures. The mean rates on the post-tests showed that the experimental group improved from 68.10 to 127.53 wpm and the control group from 78.45 to 92.54 wpm. The *t*-test also showed that the difference for means between two groups were statistically significant. In other words, the results indicated that the students in the extensive reading group read faster than students in the intensive reading group did.

Relationships between Extensive Reading and Reading Comprehension

Reading speed without proper comprehension is worthless. For this reason, reading fluency should depend on both appropriate reading speed and reading comprehension (Reutzel, 2006). However, it seems to vary from scholar to scholar when it comes to “appropriate” reading speed and reading comprehension. Neil, J. Anderson (1999), a distinguished professor and ESL/EFL textbook author in second language reading, suggested that ESL/EFL learners should aim to read English texts at their own levels and at least 200 words per minute with at least 70% comprehension. If the learners can reach the goal of 200 wpm with 70% understanding, it is appropriate reading fluency including reading speed and reading comprehension.

It is interesting to note that the previous studies showed differences in whether or not extensive reading can help language learners develop their reading comprehension (Shang, 2007). For example, Lai’s (1993) study, as described above, showed that only one treatment group achieved significant improvement in reading comprehension, while the other two did not. Lai gave the explanation as “for global understanding didn’t seem to enhance reading comprehension effectively” (1993, p. 29). It seems to make sense that extensive reading might not be an efficient way to improve reading comprehension since its main purpose is to get the gist of longer texts. By giving the participants in the experimental group extra extensive reading, Gao’s (2004) study also showed that the extensive reading program did not significantly lead to improvement in reading comprehension compared to the traditional intensive reading approach. On the other hand, based on the data from her participants’ opinions, Shang (2007) concluded that extensive reading can improve students’ reading comprehension. While reading extensively, students can acquire more words, enhance their reading ability, and improve access to background information, all of which lead to better reading comprehension. Therefore, it does not seem to be a consensus that extensive reading can certainly help ESL/EFL learners enhance reading comprehension.

As discussed above, most previous studies showed that extensive reading can help ESL/EFL learners develop their English proficiency and reading speed. However, almost all studies gave participants extensive reading treatments by using simplified texts or graded readers that usually are written for non-native speakers of English. Few studies about extensive reading were conducted in the ESL/EFL situations by using original readers that are for English-speakers. In her guide to reading levels and suitable reading materials, Carolyn (1997) suggested that an ESL learner at intermediate level or above should start to read unsimplified material and graded readers in equal proportions. Furthermore, an ESL learner at the advanced level should read mainly unsimplified material such as newspapers, magazines, novels, and academic subject materials.

In fact, research as yet has not investigated the effects of books for native learners on ESL/EFL learners’ language acquisition, and thus, it is pertinent to address this issue for expanding resources for extensive reading programs. In my opinion, reading the unsimplified material should be the main goal of reading education. In other words, ESL/EFL learners should be able to read what native speakers of English are reading. For this reason, this study was to investigate whether or not EFL learners in Taiwan can improve their reading speed and comprehension, and enhance their general English reading proficiency as well by reading a popular novel extensively that is mainly written for English-speakers. Based on this purpose, this study was designed to answer the following questions:

1. Did the adult EFL learners significantly increase their reading speed by reading an original novel in the extensive reading approach?
2. Did the adult EFL learners significantly enhance their reading comprehension by

3. Did the adult EFL learners significantly improve their general English reading proficiency by reading an original novel in the extensive reading approach?

Method

Generalizability is often one of the major concerns in scientific research. In the field of education, Merriam (1998) suggested that a description of the context and participants is helpful to those who are interested in making decisions about if generalizability could be appropriate in other settings. For this reason, this methodology section has three parts. The first part concisely depicts the research site, the instructor of the extensive reading program, and the participants, all of which can add to the generalizability of the results presented afterwards (Lincoln & Guba, 1985). The other two describe material, and data collection and analysis.

Research Site, Instructor, and Participants

The research site of this study was Acme Language Institute (ALI),¹ a private English school in Taiwan that mainly helped adult learners pass English standardized tests like TOEFL (Test of English as a Foreign Language) and TOEIC (Test of English for International Communication) and improve their English proficiency. Besides the standardized-test courses, ALI also offered over 20 English courses for specific purposes such as News English, Time Magazine Reading, Novel Reading, English Writing, etc. To let students and teachers have access to more English materials, ALI had offered a small library that had many materials including many brands of ESL/EFL graded readers such as Oxford Bookworms, Cambridge English Readers, Penguin Readers, etc.,² and popular novels and magazines that were mainly for English-speakers such as *The Firm* by John Grisham, *Vogue*, etc.

The extensive reading program involved in this study was Novel Reading. The 10-week class ran three hours (from 7:00 to 10:00 pm) on Friday nights. Novel Reading was a cycled course with 10 weeks. In other words, students could register Novel Reading again after they had finished one. The reading material chosen would not be the same for each 10-week class.

When the data of this study were collected, the Novel Reading class was instructed by Bruce, an experienced American teacher with a Master's degree in Teaching English to Speakers of Other Languages (TESOL). Bruce had 20 years of experience in teaching English in some Asian countries such as Taiwan, Japan, and Thailand. He said that he himself was an extensive reader, and usually practiced extensive reading in his own class. He had been teaching Novel Reading at ALI for around two years when this study was being conducted. Bruce preferred bestselling novels (thereafter, original novels) that were mainly for native speakers of English because he believed that reading original novels for recreation should be one of the ultimate goals for ESL/EFL learners. Of course, he agreed

¹ In order to protect privacy, all names mentioned in this paper including the language school, program instructor, and participants mentioned later are pseudonyms.

² Oxford Bookworms readers are simplified texts designed by Oxford University Press, one of the world famous educational publishers, to provide English learners with the joy of pleasure reading. Oxford Bookworms readers provide a wide range of graded readers in seven stages from Starter (250 headwords) to Stage 6 (2500 headwords). Similarly, Cambridge English Readers are designed by Cambridge University Press and published in seven levels from Starter (250 headwords) to Advanced (3800 headwords). Penguin Readers are designed by Longman and published in seven levels from Easystarts (200 headwords) to Advanced (3000 headwords).

that ESL/EFL learners should reach an intermediate or above level of English proficiency in order to read original novels. However, he also believed that after the ESL/EFL learners reached an intermediate level of English proficiency, he/she should read only materials that are mainly for English-speakers in order to acquire language intuition and native-like proficiency. Interestingly, he did not think that reading graded readers was very helpful in reaching a native-like proficiency in the long run. Instead, he thought that reading graded readers might mainly motivate ESL/EFL learners to read English texts. In addition, Bruce believed that the best original novels used in the ESL/EFL classroom should be light and bestselling novels without profound philosophical metaphors and interpretations. For these reasons, he had adopted original novels that were usually very popular as reading material in his Novel Reading class at ALI such as *Twilight* (by Stephenie Meyer), *P.S. I Love You* (by Cecelia Ahern), etc.

The 15 participants were all adult learners aged 23-45. They were taking Novel Reading at ALI for personal interest, English learning, career promotion, or future overseas studies. Each participant took a TOEIC-like test at ALI and their scores ranged from 690 to 800. These scores were considered as an intermediate or above level.³

Material

ALI had a small but nice library where its students could check out books and bring them to read either in class or at home. The library included not only many graded readers but also popular original novels by famous writers such as John Grisham, Stephen King, Tess Gerritsen, Michael Crichton, Nicholas Sparks, Stephenie Meyer, J. K. Rowling, Sara Shepard, etc. After introducing some works by these bestselling novelists, Bruce made (or sort of forced) his students go to the ALI library and look for any original novels that interested them. Then the students discussed and selected which one they preferred to use in class. In other words, it was the students, not Bruce, who decided which original novel would be adopted in class. In this study, the 15 participants chose *The Last Song* (by Nicholas Sparks) as the reading material. The participants made this final and unanimous choice because almost all of them (13 participants) had watched the box-office romance movie *The Notebook* based on the same title by Sparks.

As for Bruce's view on *The Last Song*, he recalled that the students were very interested in this story from the beginning and the literacy level of the novel fit their language proficiency as well. Bruce further said, "*The Last Song* was a very enjoyable read. Sparks had a strong plot allowing his characters to learn and grow from their experiences. Also, the powerful emotions that Sparks brought to readers were so touching that they brought us to tears. It was truly a very fluent and expressive work of the human heart and brought great joy to me as a reader." (B. Peckham, personal communication, August 31, 2012).

Most popular original novels were rather thick and *The Last Song* was no exception. It had 463 pages. Based on his previous experience, Bruce could only cover 15-20 pages in a weekly three-hour class. For this reason, students were assigned to read around 30 pages in their own time and pace after each class in order to finish the entire book within 10 weeks. Bruce would not cover the assigned 30 pages in class though he did check

³ ALI gave its students two free and compulsory English proficiency tests: one was before the first class and the other after the last class. The English proficiency test developed by ALI included listening and reading. For this reason, the 15 participants took the first English proficiency test before they attended their first class. After 10 weeks, they took the second one right after the Novel Reading class was over. The reading sections of two proficiency tests the 15 participants took were used as the pre-test and post-test to measure participants' progress in language proficiency in this study. The reading section consisted of 100 questions including three parts: vocabulary (40 items), grammar (20 items), and reading comprehension (40 items). The administration of the English proficiency test took approximately 75 minutes.

An Investigation into the Power of Extensive Reading Using a Bestselling Original Novel students' understanding in the beginning of each class. In class, Bruce read the story to the students, stopped at a certain paragraph, and then asked the students if they had any questions. Meanwhile, Bruce and his students also discussed plots that interested or confused the students. Overall, Bruce made three simple rules in his reading class. First of all, using dictionaries was not allowed in his class because it was not a pleasure reading when everyone was looking up words in the dictionaries. Second, students were free to guess words, phrases, and expressions they did not understand in *The Last Song*, or to just ask him in class if the uncertainties did interfere with their reading. From my observation, most of the students' questions were either language-related or meaning-related questions. When students did not understand some words or phrases, Bruce often told them the answers in simple synonymous words or phrases. As for meaning-related questions, Bruce summarized what he just read to the class in plain English to affirm that everybody understood it. Third, the classroom language was only English.

In my opinion, the teaching of Bruce's novel reading class could be certainly considered a great example of the extensive reading approach due to some obvious characteristics.⁴ First of all, students chose the reading material. Second, students read the novel primarily for general ideas and pleasure instead of intensive English learning. What Bruce did in class was basically to read the story to his students, check their understanding about what he read, and sometimes answer their questions if they had any. Last, there were no follow-up tests or reports. According to Bruce, the 15 participants were not forced to read the assigned 30 pages in their own free time after each class, but they were strongly encouraged to do so because the 30-page reading was for pleasure and not for tests. Although finishing reading a 463-page novel within 10 weeks was not an easy task for these EFL participants, every single one of them had perfect attendance in Bruce's class.

Data Collection and Analysis

For research purposes, the operational definition of reading speed in this study was the speed measured in words per minutes on a selected text at a level appropriate to the learners'. Likewise, reading comprehension was operationally defined as a score on a test after the selected text accompanied by comprehension-check questions.

There were two commonly used methods to measure reading speed in previous studies (Iwahori, 2008). The first one was a one-minute reading. It means that the learners read a text with the time being recorded, and after exactly one minute, they mark where they reach in the text. The other method was the entire text method. In this method, the learners read an entire text and count how much time they spend. Then the reading speed is the word number of the text divided by the time spent. The entire text method was described as a more authentic reading measure because the learners read a whole text just as people usually do in the real world (Rasinski, 2003). Thus, this study adopted the entire text method. Two readings from Nation and Malarcher's *Reading for Speed and Fluency 4* (2007), which was designed for ESL/EFL learners with an intermediate or above level, were used to measure the reading speed before and after the Novel Reading class. The 15 participants read Nation's readings and pressed the stopwatches beside them as soon as

⁴ Here, I would like to thank ALI and Bruce for allowing me to observe his 10-week Novel Reading course. My role was mainly an observer though I read *The Last Song* by following Bruce's syllabus and attended each class meeting. However, I neither spoke a word nor participated in any class activities during the entire treatment because I wanted to be a neutral figure "who does not change the situation in any way that might affect the data" (Bogdan, 1972, p. 21). I would also like to thank the 15 student participants for letting me read *The Last Song* and enjoy the pleasant journey of extensive reading with them for 10 weeks.

they finished the readings. Then they answered the eight multiple-choice comprehension questions after each reading. The administration of this reading speed and comprehension test took 10 minutes.

As for general English reading proficiency, it was defined as a combined knowledge of vocabulary, grammar and reading ability. For this reason, the reading sections of the English proficiency tests developed by ALI were adopted for the pre-test and post-test. To test the null hypothesis that there were no significant differences between the means in reading speed, reading comprehension, and general reading proficiency for the pre-test and post-test, paired-samples *t*-tests were run and the alpha decision level was set at 0.05.

In addition to the pre-test and post-test, all the 15 participants were interviewed once after the post-test and each took around 60 minutes.⁵ To be flexible and to explore possible emerging issues, semi-structured interview questions (see Appendix) were adopted because they were open-ended and less structured (Merriam, 1998). Moreover, semi-structured interviews were conducted to confirm the findings of the statistical tests and increase the trustworthiness of the research data in social science and humanities (Creswell, 2003).

Results and Discussion

This section includes three main parts. The first part shows the results of statistical tests and discusses the findings and the second briefs interview data about the 15 participants' opinions toward reading the original novel extensively. The last part discusses pedagogical implications from the quantitative and qualitative findings of this study.

Quantitative Data

Table 1 shows the descriptive statistics and significance of differences between the pre-test and post-test in reading speed and reading comprehension.

Table 1

Paired-Samples t-tests in reading speed and reading comprehension for pre-test and post-test

Variable	Pre-test		Post-test		<i>t</i>
	M	SD	M	SD	
Reading Speed	189.60	5.53	233.60	7.77	22.46***
Reading Comprehension	4.93	0.59	7.13	0.74	7.87***

Note. N = 15.

*** $p < .001$.

A descriptive mean comparison between the pre-test and post-test for the two variables (reading speed and reading comprehension) indicated that the 15 participants with an intermediate or high-intermediate level of English proficiency did perform better on the post-test. For example, participants scored better on the post-test than pre-test by 44 wpm (words per minutes) in terms of reading speed. In addition, the results of the *t*-test showed that the 44-word mean difference for reading speed was statistically significant ($p < 0.001$). Statistically speaking, the 44-word difference in the means of reading speed between the pre-test (in which the 15 participants had not read *The Last Song* in the extensive reading approach) and the post-test (in which the 15 participants received the

⁵ Besides the two free tests offered by ALI, all the 15 participants knew too that they would take the two reading speed and comprehension tests (before and after the class) and be interviewed once (after the class) when they signed up for Bruce's class.

An Investigation into the Power of Extensive Reading Using a Bestselling Original Novel treatment of reading *The Last Song* extensively for 10 weeks) probably did not occur by chance alone (99.9 percent sure). That is, after the 10-week extensive reading treatment by reading the original novel, there was a statistically significant improvement in reading speed from the pre-test ($M = 189.60$, $SD = 5.53$) to the post-test [$M = 233.60$, $SD = 7.77$, $t(14) = 22.46$, $p < .001$].

Along the same line, the paired-samples t -test also showed that there were a significant difference in reading comprehension ($p < .001$) between the pre-test and post-test. Furthermore, the 2.20-point improvement in reading comprehension probably did not occur by chance alone (99.9 percent sure). That is to say, after the 10-week extensive reading treatment by reading the original novel, there was also a statistically significant improvement in reading comprehension from the pre-test ($M = 4.93$, $SD = 0.59$) to the post-test [$M = 7.13$, $SD = 0.74$, $t(14) = 7.87$, $p < .001$]. It should be noted that as mentioned previously, reading speed without proper comprehension is meaningless and worthless. Most reading experts such as Anderson (1999) and Nation (2009) thought that 70% comprehension is needed. In this study, the 15 participants reached 89.13% ($7.13/8 \times 100$) comprehension on the post-test, along with 233.60 wpm in reading speed. For this reason, both improvements in reading speed and reading comprehension could be meaningfully interpreted afterwards.

As a result of the above findings, the 15 participants made significant progress in both reading speed and reading comprehension after reading the original novel entitled *The Last Song* in an extensive approach for 10 weeks.

Table 2 displays the descriptive statistics and significance of differences between the pre-test and post-test in general English reading proficiency including three sections: vocabulary, grammar, and reading.

Table 2

Paired-Samples t-tests in English proficiency test for pre-test and post-test

Variable	Pre-test		Post-test		t
	M	SD	M	SD	
Total Score	63.33	2.02	75.53	5.15	10.52***
Vocabulary	26.93	1.87	31.80	3.00	6.92***
Grammar	15.27	0.70	16.20	1.37	2.36*
Reading	21.13	0.64	27.53	1.88	11.82***

Note. N = 15.

* $p < .05$, *** $p < .001$.

A descriptive mean comparison between the pre-test and post-test for all the four variables (total score, vocabulary, grammar, and reading) demonstrated that the 15 participants performed better on the post-test. Take total score for example. Participants scored better on the post-test than pre-test by 12.12 points. Moreover, the results of the t -test showed that the mean difference for the total score were statistically significant ($p < 0.001$). The 12.12-point difference in means on the general English reading proficiency test between the pre-test (in which the 15 participants had not started to read the original novel) and the post-test (in which the 15 participants finished reading the original novel after 10 weeks) probably did not occur by chance alone (99.9 percent sure). That is, after the 10-week extensive reading treatment by reading *The Last Song*, there was a statistically significant improvement on the general English reading proficiency test from the pre-test ($M = 63.33$, $SD = 2.02$) to the post-test [$M = 75.53$, $SD = 5.15$, $t(14) = 10.52$, $p < .001$].

By the same token, the paired-samples t -tests also showed that there were significant

differences in vocabulary ($p < .001$), grammar ($p < .05$), and reading ($p < .001$) between the pre-test and post-test if the English proficiency was further analyzed by its three main sections. And, these mean differences in vocabulary (4.87 points), grammar (0.93 points), and reading (6.40 points) probably did not occur by chance alone either. In other words, by reading the original novel in the extensive approach for 10 weeks, not only did the 15 participants significantly improve their general English reading proficiency as a whole, but they also significantly improved their vocabulary, grammar, and reading, respectively.

It is interesting to note that the participants gained least (0.93 points) in the grammar section compared with the other two sections on the general English reading proficiency test. The significant was also less conservative ($p < .05$) too. This finding was consistent with Kao's two previous studies (2009a, 2009b) on extensive reading. By using graded readers as the material in the treatment of extensive reading, the results of Kao's two studies showed that his participants improved significantly in vocabulary and reading ability, while they improved only slightly in grammar with either significance (2009a) or insignificance (2009b). This finding was consistent with previous studies as well. Reviewing previous studies on extensive reading, Krashen (2003) found that after the extensive reading treatment, the experimental groups either outperformed the control group (often being taught by the traditional instruction with emphasis on vocabulary, grammar rules, and sentence structures) or performed as well as the control groups in grammar. Why did the participants with the extensive reading treatment make significant gains in vocabulary and reading ability but modest gains in grammar in both this study and previous research? My personal interpretation for the modest effect of extensive reading on grammar in this study is that when reading extensively, the 15 participants paid full attention to the story and plot developments, not grammar and sentence structures. The peripheral attention to grammar and sentence structures might slow down the participants' acquisition of grammar knowledge. Furthermore, many original novels (including *The Last Song*) are story-based with many conversations. Language-wise, many sentences in *The Last Song* were incomplete due to the nature of daily conversation. When reading the novel extensively with faster speed for pleasure, these EFL adult learners might not be very aware of the accuracy of the surface structures. For these reasons, the 15 participants in this study did make gains in grammar with significance after the treatment. However, the gains were modest and the significant level was less conservative.

Summing up the first part of this section, the analyses of the above descriptive and inferential statistics display that there was significant improvements in reading speed and reading comprehension after the 15 participants received the 10-week treatment by reading the original novel in the extensive reading approach. Furthermore, the 15 participants also significantly improved their overall English reading proficiency including vocabulary, grammar, and reading after the treatment. The quantitative data of this study confirmed the power of extensive reading by adopting an original novel.

Qualitative Data

The purpose of the interviews was to understand how the extensive reading treatment by reading the original novel improved participants' reading speed, reading comprehension and English proficiency, as well as changed their attitudes toward English reading. The qualitative data from the interviews were also to confirm the above-discussed quantitative data from statistical analyses.

Generally speaking, all the 15 participants expressed positive attitudes toward reading *The Last Song* extensively. Four thematic findings were discovered from the interview data. First of all, the participants felt that reading the original novel made them

An Investigation into the Power of Extensive Reading Using a Bestselling Original Novel read faster and more fluently. On average, they had to finish reading 46 pages every week (in class and out of class). All the 15 participants had full-time jobs during the daytime. In order to keep up with Bruce's teaching pace, the participants unconsciously learned how to get the main points and how to keep reading without paying much attention to the unfamiliar words, phrases, and expressions in *The Last Song*. For example, Cindy (Participant 2 in my data coding) told me that while reading *The Last Song*, she usually just guessed the words and expressions she was not sure of and kept on reading. The following paragraph from *The Last Song* (2009) was the example Cindy used during the interview:

And when they did, it was just as her father had described it. The sun flooded through the glass, splitting into hundreds of jewel-like prisms of glorious, richly colored light. The piano stood in a waterfall of brilliant color, and for a moment Ronnie pictured her father sitting at its keys, his face upturned to the light. It didn't last long, but she squeezed Jonah's hand in silent awe. Despite the weight of her grief, she smiled, knowing that Jonah was thinking the same thing (p. 449).

Cindy said that she was not really sure about what it meant by "splitting into hundreds of jewel-like prisms of glorious, richly colored light" because she forgot the meaning of the word *prism*. However, she simply guessed that the phrase might mean "different colors coming from the glass." Similarly, she interpreted "silent awe" as "solemn silence" since the context was in Ronnie's father's memorial service. All the 15 participants said that they read faster and more fluently by guessing the language they were not familiar with from the contexts. They also recalled that they almost never looked up words in the dictionaries either while reading *The Last Song* out of class.⁶ They sometimes did ask Bruce some unfamiliar expressions in class, though.

The second finding was related to the first. That is, in order to read faster and enjoy the story, the participants were developing the habit of tolerating the ambiguity of the texts while under Bruce's instruction. All the 15 participants said that they became more tolerant of text ambiguity as time went by. During the period of the extensive reading treatment via the original novel, they were getting accustomed to the uncertain texts by not getting frustrated and by continuing to read without necessarily understanding every single word after they were frequently encouraged by Bruce. Bruce emphasized in every class meeting that it was not necessary to understand everything in the novel. For this reason, he encouraged the 15 participants to simply guess the meanings when they were not certain about a word, a phrase, a discourse relationship, a culture-based expression, etc. In this regard, David (Participant 5) mentioned a few sentences in a paragraph of *The Last Song* he just read a few weeks before the interview as an example:

I think one important skill or habit I've developed during and after this class is that I read faster by trying NOT to understand everything on pages. I know it sounds weird because all of my previous English teachers in regular schools wanted me to look up the words I didn't understand and memorized them. Bruce's novel class unconsciously changed my old reading habit. For example, I read these sentences a few weeks ago, "Her mind flashed on a dozen different images: Suddenly she knew why her dad had wanted her and Jonah to come to North Carolina.... And his ceaseless work on the window now made perfect sense. She recalled his coughing fit in the church and the times he'd winced in pain. In hindsight, the pieces all fit together. Yet everything was falling apart (pp. 365-366)." When reading these sentences, I didn't know what "winced" meant and I wasn't sure if I understood the sentence "In hindsight, the pieces all fit together." correctly. Interestingly, I didn't

⁶ As mentioned previously, using a dictionary was not allowed in Bruce's class.

even try hard to figure out their meanings after reading this book for many weeks. I mean, when we read something in Chinese, we don't understand all the words either. How many of us will stop reading and then look up the words in the dictionary while reading Chinese stuff? I certainly won't! If we don't do it in Chinese, why do we have to do it in English? We all know that in *The Last Song*, Ronnie's father was very sick and going to die. So, on my mind, I just automatically translated "winced" as a negative verb and guessed that the sentence "...he'd winced in pain." meant "he was in great pain." As for "In hindsight, the pieces all fit together," I guessed it meant that looking back, Ronnie found that all the things happening to her father had reasons. To tell you the truth, I still don't know what wince means and I don't really care. All I care is that I can keep reading and enjoy the pleasure.

It should be noted that according to Bruce, here "guess" is an intelligent, not random, guess which means readers use whatever contextual hints to help them catch a general picture of texts. All the 15 participants said that one critical skill they obtained from Bruce's class was to learn to make intelligent or educated guesses. Previously, when they encountered an unknown word and if they did not look it up, they felt worried, anxious, and even guilty; furthermore, they did not feel comfortable to continue to read. This reading process often discouraged them from reading any longer English texts such as original novels. It was interesting and thought-provoking that the participants all felt that their previous English education in Taiwan over-emphasized correctness and right answers, and most teachers they met did not encourage "guesses" until the answer was sure to be correct. However, willing to make guesses is considered one of the most important features of a good language learner (Brown, 2007). In this regard, the 15 participants were certainly being good language learners because they were willing to make more guesses about the uncertain texts and kept on reading. Therefore, it was not surprising that they all made significant progress on the post-test after the 10-week treatment of extensive reading.

Here, readers of this paper might wonder why the 15 participants could tolerate the uncertainty of the texts or if the original novel that was written mainly for English-speakers was too difficult for the 15 participants. The key factor was interesting plots. Surprisingly, all the 15 participants thought that a compelling story was much more important to them than the difficulty level of language. When the story was interesting enough, the participants were totally immersed into the story itself by guessing or ignoring the expressions they did not know. Moreover, in theory, when the participants were really absorbed in what they were reading, they were hardly aware of the fact that they were reading in another language (English as a foreign language, in this case). And that was when real language acquisition happened (Krashen, 2007a).

From my observation, there were also two additional reasons why the participants could tolerate the ambiguity of the texts. First, their level of English proficiency was high enough to understand at least 70% of the texts and guess the other uncertain texts by the story contexts. In other words, the texts in *The Last Song* were comprehensible to the participants. Second, all the books by Nicholas Sparks are easy to read with rich contexts.⁷ Compared to other popular novelists such as John Grisham, Michael Crichton, and Stephen King, Nicholas Sparks undoubtedly tends to use easier English perhaps because his genre is often a mixture of romance and tragedy, not a complicated legal thrill (like Grisham's novels) or a conspiracy with many biological and technological terms (like Crichton's novels). All the above reasons played a role in participants' ability to

⁷ I had read Sparks' bestseller *Dear John* long before I observed Bruce's class. While observing Bruce's class, I was reading *The Last Song* with Bruce and the class, and I read *The Notebook* (also by Sparks) for my personal interest after observing Bruce's class.

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tolerate and live with the ambiguity of uncertain texts while they were reading the original
novel *The Last Song*.

The third finding from the interviews was that the participants actively exposed themselves to other original novels by Nicholas Sparks after Bruce's instruction. All the 15 participants thought that the original novels are much more interesting than graded readers or other ESL/EFL textbooks. Also, they found that the books by Nicholas Sparks are rather easy to understand due to the romantic genre nature. As Jill (Participant 14) said in the interview:

I'm always into the romance genre. *The Last Song* was one of the best love stories I've ever read. It is absolutely more interesting than any textbook essays. It held my interest and I did not have to think too much while reading it. It doesn't take too long to get through it because readers are eager to read how the situations turn out. I think Nicholas Sparks is a great writer and storyteller. I really want to read his other novels too.

Thus, all the participants were planning to read Sparks' other novels after they finished Bruce's class. The participants found that they could buy most of the Sparks' books such as *The Lucky One*, *Message in a Bottle*, *Dear John*, *The Notebook*, *A Walk to Remember*, *Nights in Rodanthe*, etc., in the bookstores in Taiwan. 12 participants even checked and watched the movies adapted from Sparks' works. All of the process made the participants become active readers of the original novels and willingly guess the uncertain texts in the original novels they chose.

The last but not least finding from the interviews was that the participants thought that reading the original novel gave them a considerable amount of English input and increased their exposure to English, reviewed the language they learned previously, motivated them to read longer texts, and helped them to be more confident in keeping reading English. Besides, language-wise, they felt that they were reviewing the vocabulary and grammar subconsciously and acquiring the English language when reading the original novel in the extensive reading approach. Here is an excerpt from the interview with Edward (Participant 9):

It's been over 20 years since I learned English. Frankly speaking, I'd never read any English materials over 10 pages in one time, let alone a 463-page original novel. I was used to reading textbook English; however, the textbook English was often very instructional with vocabulary items, grammar notes and exercises afterwards. And, the essays were not interesting either. Interestingly, I could understand the textbook essays (often 1-2 pages) 100% by looking up in the dictionary or with teacher's help, but I didn't have the motive to read more English after reading textbook English. It was mainly because my textbook was usually filled with lots of Chinese translations, English synonyms, phonetic symbols, notes, etc. after one essay was taught. All of these made me sick of reading English because reading was so burdensome. On the other hand, I certainly didn't understand *The Last Song* 100% even after Bruce's class. However, after Bruce's class was over, I am eager to read Sparks' other works and watch the movies based on his novels. I'm more like a movie guy, so I first watched the movie *Dear John* and I am reading the original novel now. Overall, I think that this process is more interesting and natural: I choose a novel that really interests me and fits my language level, and just keep reading it without any pauses to look up words. If I don't understand some things on pages, I just guess them from the contexts. Also, while reading *The Last Song*, I felt that I was receiving lots of real (not textbook) English input every week and reviewing what I learned before in an authentic reading. I believe that my English was improving too while reading the novel. Besides, this process has motivated me to do further readings outside the

classroom.

In this regard, I would like to add my personal interpretation here. Many readers of this study might think that the participants read the original novel to improve their English. However, I think the opposite way. I think that the main intention of Bruce's Novel Reading was to make the 15 participants love to read in English and enjoy the novel, rather than improving their English. If the participants happened to make any progress in language, it should be an added value along with the recreational reading. In other words, the essential goal of reading the original novel was to develop long-term passion for reading, a guarantee of literacy development for native and non-native speakers, instead of the short-term gains in scores. This process (reading the original novel in the extensive approach) is like that of the first language acquisition. When these Chinese-speakers read any forms of Chinese material, in almost all cases, they read simply for fun as well as enjoyment and not for improvements in Chinese. If any improvements ever happened, it should not be the original intention in most situations. Similarly, Bruce's treatment of extensive reading was to let the 15 participants reach the pleasant feelings in English reading as those in Chinese reading.

Both the quantitative and qualitative data indicated that reading the original novel *The Last Song* by Nicholas Sparks in the extensive reading approach, simply defined as participants-selected reading for pleasure and without any form of assessment, was a powerful and effortless way to enjoy story plots and acquire English for the adult EFL learners. After the 10-week treatment of extensive reading, the 15 participants of this study made significant progress in reading speed, reading comprehension, and general English reading proficiency including vocabulary usage, grammar knowledge and reading ability. Additionally, reading the original novel through the extensive reading approach also made the participants more tolerant of the uncertain linguistic parts of texts via educated guesses and further made them more confident to keep reading the rest of the texts. Moreover, the participants zealously kept reading other original novels after the treatment. The entire reading process paved the way for these EFL participants to reach native or native-like reading fluency (defined as ability to read with 250 wpm and over 70% comprehension) and overall English reading proficiency. That is, the 15 participants of this study were being autonomous acquirers who picked up English subconsciously, not English learners who consciously learned rules and grammar (Krashen, 2002).

Pedagogical Implications

Three pedagogical implications for ESL/EFL education can be derived from the findings of this study. First and foremost, we, as EFL teachers in Taiwan, should "rethink" some taken-for-granted traditional assumptions we were (and still are in many cases) practicing in English teaching. I would like to point out two specious educational assumptions inspired by the findings of this study. The first one is that EFL teachers in Taiwan often assume that EFL students have to first learn vocabulary items, learn to spell and memorize the meanings, learn grammar, sentence structures, and so on. When students practice in guided and controlled situations provided mostly by textbooks, they will acquire their English ability automatically. School teachers believe that only after these linguistic basics are mastered can EFL learners actually use the English language for real reading. However, it does not appear so in the real world. Krashen (2003) criticized that school practitioners often make the opposite assumption to the real world: Language learners will not "automatize" their language ability simply because they memorize the linguistic basics via textbooks (p. 85). Smith (1986) made a stronger claim that traditional schemes of education "represent the world turned upside down" (p. 75). Indeed, many EFL teachers in Taiwan still believe that if students firmly memorize a great many

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vocabulary items and grammar rules, they will not have a problem reading authentic English materials such as newspapers and novels. For this reason, traditional instruction focuses students on memorizing vocabulary and grammar, analyzing sentence structures, and translating the texts via rather short but difficult texts. However, practice of this long-standing belief often results in students losing interest in English before having a decent vocabulary and grammar knowledge; what's worse, they seldom, if ever, read English materials after leaving school. Thus, the traditional assumption about the learning process is the hard way to acquire English. A better modified assumption is that it is much more effective to pick up vocabulary by reading extensively instead of rote learning. In fact, EFL learners with a 300-word vocabulary are already able to read a 15-page graded reader that is fun and story-based. When they reach an intermediate level of English proficiency, they may start to read original novels under a teacher's instruction as Bruce did in this study. Through extensive reading, they will enjoy the pleasure reading along with subconsciously or unconsciously improving their English by gradually moving up to higher levels of language proficiency. For those who are very concerned about English learning, many studies including this study already showed that EFL learners who do extensive reading for pleasure not only keep their interest in English but also do well on tests (even on those tests that focus on vocabulary and grammar knowledge). All learners have to do is to select compelling novels and read them in the extensive reading approach. For this reason, EFL practitioners might need to think about modifying the first traditional assumption and make it representative of the real world.

The second popular but untenable assumption we might need to rethink is that EFL learners should look up all the unknown words and phrases in the dictionary in order to understand almost everything in the texts and should not be encouraged to make intelligent guesses. In other words, it seems that risk-taking is often not allowed in many EFL classrooms. However, risk-taking is the heart of educational philosophy. As Brown (2007) stated:

Successful language learners, in their realistic appraisal of themselves as vulnerable beings yet capable of accomplishing tasks, must be willing to become "gamblers" in the game of language, to attempt to produce and to interpret language that is a bit beyond their absolute certainty. (p. 61)

I think what Brown stated strikes at the heart of not only educational philosophy but also EFL education. Unfortunately, many instructional contexts around the world including Taiwan do not encourage risk-taking. Rather, they encourage correctness, right answers or so-called standard answers, and withhold guesses until one is sure to be correct. However, research in education showed the opposite to be more conducive to long-term learning and intrinsic motivation (Brown, 2007). For this reason, Brown suggested that "risk-taking" be one of the principles that language teachers should bear in mind.

In this study, while reading *The Last Song* either in classroom or outside the classroom, the 15 participants were learning to "live with" the uncertainty of texts, which was almost never strongly encouraged by their previous English teachers in school. Bruce encouraged them to first take a guess every time they had a linguistic question. With necessary risks, the participants could be really absorbed in what they were reading and hardly aware of the fact that they were reading in another language (English as a foreign language, in this case). That is when real language acquisition happens due to comprehensible input and low affective level (Krashen, 2007a). The whole process also trained the participants to be risk takers and then better language acquirers (Brown, 2007). Therefore, EFL practitioners might also need to think about modifying the second traditional assumption and adopt the risk-taking principle in their EFL classrooms. Based on the risk-taking principle, I suggest that EFL teachers should not over-emphasize

correctness and right answers in the practice of extensive reading. Also, students should be encouraged to make guesses about uncertain texts because willing to make guesses is considered one of the most important features of a good language learner (Brown, 2007).

The second implication derived from the findings of this study is that there are some noteworthy considerations for EFL teachers who want to use an original novel in their classrooms. For students who want to read graded readers, it is usually fine for them to simply select one reader they like and read it outside the classroom without any help from the teachers because of a simplified writing style the graded readers use in language and culture. However, using an original novel might be different. An original novel that is written for native speakers often has many expressions related to cultural literacy. I have to admit that Bruce, as an educated native speaker of English, had this advantage over most non-English speaking teachers. For this reason, a combination of in-class and out-of-class reading might be indispensable for an EFL teacher who wants to use an original novel. Also, to encourage students to make intelligent guesses while reading an original novel, I highly recommend that a movie tie-in be adopted. According to the interview data, two participants watched the movie *The Last Song* before taking Bruce's class, five watched it during the 10-week treatment, and the other eight viewed it after the treatment. Although it was usually different between the movie and original novel, the seven participants who watched the movie before and during the treatment made many guesses based on the movie while they were reading the book. It makes sense that students are more willing to make guesses about the uncertain texts of the original novel after they watch the movie based on the novel. In addition, students are usually attracted to a movie tie-in novel even if they have not watched the movie yet.

The third implication is that any forms of assessment are not suggested if teachers want to use an original novel. Casual asking in class to check students' understanding about the texts as Bruce always did was fine. However, quizzes, tests, small book reports, etc., could possibly de-motivate students to do more extensive reading. In this study, Bruce did not administer a single assessment during the class. All he did in class was simply read the story to the 15 participants, summarize the plots when necessary, answer their questions, discuss some interesting points with them, etc. And the results were that all the participants improved in reading speed, reading comprehension, and English proficiency after 10 weeks. The results supported Krashen's hypothesis (2007b) that "more frequent and more detailed comprehension checking will result in less interest in reading and less progress in literacy development" (p. 27). In this regard, it might be easier for English teachers in a language school like ALI to do so, but it might not be easy for many EFL teachers and students in regular schools since the English education there is still quite exam-oriented. However, extensive reading for recreation should be our lifelong companion, while exams are not. EFL practitioners in Taiwan still have to figure out a way to encourage their students to read extensively for "stress-free" fun as they enjoy reading in Chinese every day, while they might still be watching students' scores for schools. Otherwise, students would very likely not be interested in reading English materials after they pass whatever tests or leave school.

Conclusion

This study examined the effects of extensive reading by a 10-week treatment with a popular original novel *The Last Song* (selected by the 15 participants) in a private language school. The results indicated that after the extensive reading treatment, the 15 participants significantly enhanced both their reading speed and reading comprehension. Furthermore, they also significantly improved their general English reading proficiency

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including vocabulary usage, grammar knowledge and reading ability, respectively.

In addition, the participants felt that while under Bruce's instruction, they were improving their English because the original novel gave them an incredible amount of language input (around 46 pages every week, on average). The huge comprehensible input made them not only read faster by guessing the texts they were not sure of but also developed a habit of tolerating the textual ambiguity that is considered a very critical characteristic of a good/fluent reader (Brown, 2007). Moreover, reading the original novel extensively motivated all of them to further read other original novels at some points after Bruce's class. That is, recreational reading motivated the participants to read more and get more language input after they left the classroom. Participants' positive attitudes toward the extensive reading in this study confirmed the significant findings from the statistical analyses.

For these reasons, it is not an exaggeration to say that reading original novels for pleasure is one of the easiest and most effortless but most powerful ways for language learners to enjoyably and effectively acquire English. Here, the most important thing about reading original novels for pleasure is that language learners enjoy riveting stories while also reading a great many texts. In the long run, it helps language learners gradually become autonomous acquirers, as Krashen (2005) said, "...when second language acquirers read for pleasure, they can continue to improve in their second language without classes, without teachers, without study...." (p. 147).

Concluding this paper, two limitations of this study need to be noted. First, there was no control group. Generally speaking, without a control group, it is rather difficult to claim conclusively that all the improvements were merely the results of the treatment by reading the original novel extensively though all of the 15 participants reported that reading *The Last Song* was their main, if not only, English-related activity during the 10 weeks at ALI (because they all were too busy with their full-time jobs during the weekdays). Second, the number of participants was small. In this study, the *t* test was run to check the difference between the pre-test and post-test because it has one distinct advantage: the *t* test does not need a large sample because it can automatically adjust the critical value to reject the null hypothesis according to degree of freedom that is calculated by the sample size (Brown, 1988). However, the sample size in this study, by any standards, was still considered rather small. Anyone who wants to generalize the results of this study should consider the context of this study meticulously.

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Appendix: A List of Questions for Semi-Structured Interviews

1. How did you and classmates at ALI eventually select *The Last Song* as the reading material for Bruce's 10-week class?
2. What were your main concerns when you were reading previously (before Bruce's instruction of extensive reading by using *The Last Song*)?
3. What were your main concerns when you were reading during the 10-week treatment by reading *The Last Song*?
4. What are your viewpoints on the differences between the traditional reading approach and the extensive reading approach by using *The Last Song* as the material?
5. Do you think your English made great progress via Bruce's instruction? How did Bruce's approach to read *The Last Song* improve your reading speed, reading comprehension, and general English ability?
6. When reading *The Last Song*, did you have difficulty reading the book? If so, how did you overcome the challenges?
7. In addition to *The Last Song*, did you also read other original novels that are mainly for English-speakers during or after Bruce's class? If so, did you have difficulty reading them, and if so, how did you overcome the challenges?
8. Which part(s) did you enjoy most and least during Bruce's class (the extensive reading treatment), and why?
9. Which part(s) did you benefit most from Bruce's extensive reading approach, and why?
10. Do you think that reading *The Last Song* in the extensive reading approach motivated you to read more? Why, or why not?
11. In general, how did Bruce's class (reading *The Last Song* in the extensive reading approach) change your attitudes toward English reading and your reading strategies?

A Study of the Relationship between College EFL Learners' Vocabulary Size and Idiomatic Reading Comprehension¹

Ying-ying Chuang*

Abstract

Since *idiom* embraces its specific social-cultural implication of the language, mastering idioms is hard for L2 learners since the meanings of the texts cannot be determined through an analysis of their individual word meanings. However, when EFL learners' idiomatic knowledge is developed, subsequently enabling them to use the language appropriately, their proficiency is definitely enhanced. Thus, the purpose of the study is to investigate college EFL learners in the following aspects: (1) how learners' vocabulary size impacts their idiom comprehension, (2) how learners' vocabulary size impacts their ability in reading comprehension with idioms, (3) how their idiom proficiency affects their reading comprehension ability, and (4) what their comprehending difficulties and general learning attitudes are toward idioms.

One hundred and seven sophomores majoring in English at a southern private university participated in this study. The mix-method approach was used for the research design. The findings reveal that learners' vocabulary size and their idiom proficiency, learners' vocabulary size and their ability in reading comprehension, and learners' idiom proficiency and their reading comprehension ability were all positively related, and all of them reached a statistically significance. Regarding learners' attitudes, the majority presented a positive attitude toward idiom learning and also valued its necessity. Most of them agreed that acquiring more idioms can improve their L2 proficiency (86.9%), and 91.6% believed that their idiom knowledge should be enhanced. Among the advocates who stood for integrating idiom teaching into EFL courses, the majority argued that idioms should be taught at the beginning level (65.4%), and 20.6% claimed it should be waited until the advanced level. Some pedagogical implications for classroom teachers to improve idiom teaching in EFL contexts are also included.

Key words: vocabulary size, idiom comprehension, reading comprehension, EFL learning attitude

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大學生的英語單字量與慣用語閱讀能力相關性之研究¹

莊嫻纓*

摘要

從語言的含意層面來說，由於「慣用語」包含了社會文化意涵的特殊性，要精通目標語之慣用語在外語學習者來說，實為不容易，因為其釋義並非完全取決於單獨字義的分析與連結。然而，當外語學習者如能在目標語的學習上增加其慣用語知識，他們自然能夠更適切地使用目標語，而使他們的外語能力與程度都相對的提升。本研究的目的是要探究台灣目前大學學生對英語慣用語的熟悉度及其理解過程，研究問題共有以下幾個方向：(1)大學生的英語字彙量是否影響他的慣用語理解？(2)大學生的英語字彙量是否影響他對於含有慣用語的閱讀理解？(3)學生的慣用語理解程度是否影響他的閱讀理解能力？(3)學生對於學習英語慣用語的普遍態度為何？

一百零七位南部某大學應用外語系大二學生參與本研究。研究設計採用混合型之研究方法：量化與質化兩種研究方法都將使用於本研究，包含資料收集及統計工具的分析。研究結果發現，學生的字彙量和慣用語程度皆與其之閱讀理解能力有正向相關性，且皆達到統計上之顯著相關。大多數學生對於學習英語慣用語普遍皆表達正面態度及重視其必要性，高達 91.6%認為增加慣用語知識能提升其英語能力。在贊成應將慣用語教學融入學校英語課程的支持者中，65.4%主張在初級課程就要教，然而有 20.6%認為延至高階課程再教。在匯集自學生「有聲思考法」(think-aloud)的研究資料中，對於學生在理解慣用語的問題及困難，有更深入的了解。最後，研究者就教師在英語教室中提升慣用語教學應用，在結論中提出建議。

關鍵字：字彙量、慣用語理解、閱讀理解、英語學習態度

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I. Introduction

1.1 Background of the Study

The acquisition of human language competence continually develops from childhood all the way into adulthood, irrespective of country or culture. Although any of the changes that occur are subtle, one aspect of language that reflects this subtle growth is the understanding of figurative expressions (Nippold, 1998). These expressions commonly occur in spoken and written communication such as conversations, newspapers, advertisements, and commercials (Gibbs and Beitel, 1995; Roberts and Kreuz, 1994; Nippold, 1998). English, as native speakers use it, is largely instinctual and intuitive, peppered with informal and nonstandard expressions and idioms. Those who do not share a native speaker's comfort level in English, even after achieving mastery over the formal elements of the language, often generate speech that may be perfectly understandable, but that lacks some of those expressions that make English come alive. Non-native speakers may also be completely bewildered by the idioms they hear or read, due to their infrequent use in the language classroom and the structural inability to define the phrase word-for-word.

For the researcher, to observe how effective linguistic communication can be is a very interesting study topic. Sometimes people convey large amounts of meaning and information only with a few words—idioms. John-Laird (1993) states that “it is difficult to speak spontaneously without lapsing into idiomatic usage” (p. 3); in addition, McDevitt (1993) also argues that “idioms are an important part of any language and may be said to be an indicator of one's fluency in that language” (p. 4). Idioms, therefore, play a significant role in a foreign language as well as in the first language. Foreign language learners learn not only vocabulary and grammatical structures of the target language but also the idiomatic phrases to integrate themselves into the culture of the target language.

Many L2 learners' main purpose is to develop their communicative skills of the target language to be able to speak and write as native speakers. A great majority of EFL students believe that to achieve this goal all they need to master is pronunciation, vocabulary, and grammar. But after obtaining sufficient language knowledge in these areas, they find that their dream is still out of reach: their writing, though grammatically correct, sounds foreign, and their speech does not sound ‘natural.’

1.2 Rationale for the Study

Unlike literal language, idioms cannot be understood through their individual word meanings, as Cooper (1999) elucidates “because figurative meaning is unpredictable, idioms present a special language learning problem for virtually all groups of learners” (p. 233). Mastering English idioms is not easy for EFL learners who may see them as a stumbling block (Cooper, 1999). According to Buchwald (1992), foreigners often misinterpret what Americans say since they take everything Americans say literally. Thus, English idioms are probably the most problematic aspect for EFL learners to comprehend and interpret in their English learning.

To sum up, non-native speakers of English, even if they understand standard literary American English, may feel frustrated and confused when they hear idiomatic expressions since the true meaning of the idiom generally cannot be determined by a knowledge of its component parts. Therefore, learning idiomatic phrases and expressions of a specific language is important, not only for the acquisition of that language itself, but also its social communication and culture. Unfortunately, studies aiming at the teaching of idioms to EFL students have not been able to catch the attention of many EFL teachers. Idioms

are thus often ignored during the process of teaching and learning. This is to be regretted as it handicaps EFL learners' command of the target language in the long run. Few studies to date have investigated whether Taiwanese college-level EFL students share the problem of comprehending English idioms and where exactly their difficulties lie.

1.3 Purpose of the Study

Idioms are expressions that abound in English and are easily produced and understood by native speakers. Traditionally, idioms are described as fixed expressions, i.e., as phrases or sentences whose figurative meaning is not clear from the literal meaning of their individual constituents. Given the commonness of figurative expressions, it is important to know how people learn their meanings. Especially for EFL learners, this information can be used to facilitate figurative understanding in non-native speakers who have difficulty in this area.

When EFL learners' language knowledge of idioms is developed, they are able to use the language appropriately, and their language proficiency is definitely enhanced. Thus, the purpose of the study is to investigate Taiwanese college students' familiarity of English idioms in the following aspects: how students' vocabulary knowledge impacts their comprehension of English idioms, how students' vocabulary size and idiom proficiency affect their ability of reading comprehension, and what their attitudes are toward learning this L2 idiomatic language.

1.4 Research Questions

This study attempted to address the following research questions in order to arrive at conclusions about English idiom comprehension by non-native speakers and implications for L2 instructions:

1. How does Taiwanese college EFL learners' vocabulary size impact their idiom comprehension?
2. How does Taiwanese EFL learners' vocabulary size impact their ability in reading comprehension with idioms?
3. How does Taiwanese college EFL learners' idiom proficiency affect their reading comprehension ability?
4. What are college EFL learners' comprehending difficulties and general learning attitudes towards L2 idioms?

II. Literature Review

Traditionally, idioms are described as fixed expressions, as phrases or sentences whose figurative meaning is not clear from the literal meaning of their individual constituents. As a consequence, most authors have drawn a fundamental distinction between literal and figurative language and have assumed that idioms and their figurative meanings must be stored separately in the mental lexicon, and that this meaning must be learnt as a whole unit. For linguistic theories, which are mainly concerned with literal language, idioms have always caused serious problems. This is why, over the last four decades, linguists and psycholinguists have developed a number of hypotheses to describe the special grammatical characteristics of idioms and to explain their processing and representation (Abel, 2003).

Expressions such as *shed crocodile tears*, *play cat and mouse* are common English idioms. Moon (1997, p. 46) finds that "idioms are a very complex group: not least because the term 'idiom' frequently occurs in the literature with a variety of different meanings." According to Cruse (1995, p. 37), an idiom needs to be lexically complex and

non-compositional; that is, an idiom should “consist of more than one lexical constituent...it should be a single minimal semantic constituent.” Therefore, lexical complexity as a distinguishing feature of idioms is prevalent in the various definition of idiom (Carter, 2000; Simpson & Mendis, 2003). Although those definitions of idiom are based on the two criteria of lexical complexity and non-compositionality, they still show how significant these two criteria are in identifying idioms.

The relevance of idioms for linguistic studies undoubtedly derives from the pervasiveness in everyday language. Pollio *et al.* (1977) estimated that, on average about four figurative expressions are produced in every minute of speech. One of the issues in previous work has been the varying availability of literal and figurative senses of idioms in the course of comprehension. Different theoretical proposals have been developed for both first and second language idiom processing.

2.1 Non-native Speakers' Idiom Processing

Numerous research studies on native speakers' processing of idiomatic expressions have been done in the past; however, research which looked into the representation and processing of idiomatic expressions by second language learners has not received the same interest from applied linguistic researchers. Several researchers (i.e. Cooper, 1999, Liontas, 2002, Bortfeld, 2004), confirmed the lack of research on non-native speakers' processing of figurative language. In other words, we know very little about how EFL learners process unknown English idioms.

While some researchers suggested that non-native speakers comprehend idioms by direct retrieval of their figurative meanings (Nelson, 1992), others claimed that non-native speakers first process idioms literally and only then access their figurative readings (Liontas, 2002). In addition, Kecskes (2000) argued that owing to the lack of metaphorical competence in L2, non-native speakers are more likely to rely on literal meanings of figurative utterances and on their first language conceptual system when producing and comprehending figurative phrases.

Research in the foreign and second language teaching area has shown that L2 speakers, similar to L1 speakers, apply some strategies while processing unfamiliar idioms despite the lack of sufficient input in the classroom setting and the lack of language contact. In order to interpret the meaning of idioms, L2 speakers recall the strategies acquired during their first language acquisition, and they rely on the literal meaning conveyed in the context and guess at the intended meaning (Bulut, 2004). According to Katja's (2004) study, the results suggested that English idioms were fairly difficult for Finnish EFL students: the easiest were the idioms that had an identical equivalent in Finnish. However, the tendency to seek assistance in the mother tongue at times led to erroneous interpretations.

Matlock and Heredia (2002) suggested that the role of literal and figurative meanings in the processing of L2 idioms will be determined by the L2 learner's proficiency in the language. Accordingly, they have proposed that L2 learners of the beginning-level must first establish direct connections between literal and non-literal meanings of figurative expressions. Proceeding from this assumption, Matlock and Heredia (2002) envisaged idiom comprehension at early stages of L2 learning as consisting of three steps. In the first step, an L2 idiomatic expression is translated literally into L1. Next, the learner accesses the literal meaning of the expression and attempts to make sense of it. Finally, in the third stage, the figurative meaning is accessed. On the other hand, at more advanced stages of L2 learning the non-native speaker may process figurative expressions in the same manner as a native speaker, without having to access their literal meanings first. This suggests it is very likely that the status of literal and figurative meanings in

processing idiomatic expressions will be different for native speakers and for non-native speakers.

2.2 Previous Studies on L2 Idiom Comprehension

Some researchers in recent years have claimed that conceptual metaphor can facilitate the learning and comprehension of idioms which was based on the Conceptual Metaphor theory by Lakoff and Johnson (1980). The research results suggested that metaphorical and metonymical understanding played an important role in idiom comprehension (Gibbs, 1992; Hamblin & Gibbs, 1999).

In a series of Bortfeld's (2002) experiments, native and nonnative speakers of English were asked to form mental images of familiar American English idioms. Even when given explicit instructions to base their images on the phrases' literal meanings, both groups of speakers reported images that reflected fusions of the phrases' literal and figurative meanings. In a subsequent rating task, non-native speakers were judged to have produced more natural sounding sentences using the target idioms after the imaging task than they did before the task. In a second experiment, non-native English speakers were asked to form images of unfamiliar American English idioms both before and after being told the phrases' figurative meanings. The result shows non-native speakers' images did not noticeably change between the first and the second imaging session. Bortfeld's (2002) study indicated that their images were not dependent on explicit knowledge of the phrases' figurative meanings.

A couple of related studies were conducted in the Taiwanese EFL classroom context. Based on Krashen's (1982) idea that linguistic input is crucial to language acquisition and Swain's (1985) postulate that linguistic output should be viewed as important as linguistic input, Huang (2007) investigated the effectiveness of input and output instruction via pictures in Taiwanese college students' comprehension. Idioms were taught with not only metaphors and metonymies but also visual aids. Her results showed that three groups all positively increased their comprehension of unfamiliar idioms and improved their understanding of the underlying metaphors and metonymies. In addition, the visual output group outperformed the other two groups in idiom comprehension and retention of memory. Also, the ability to comprehend conceptual metaphors and metonymies was correlated with the complexity of conceptual metaphors underlying idioms. In other words, Huang's (2007) study implied that visual aids and hand-on experience would facilitate the comprehension of idioms by linking the metaphorical meaning with life experience.

Another similar study done by Feng (2007) regarded the utility of conceptual metaphors and metonymies in enhancing the idiom comprehension of EFL learners. Her results showed that in the pre-test, participants were not aware of the connection of the underlying metaphorical and/or metonymical knowledge and the figurative meanings of idioms. However, the underlying knowledge, including two kinds of metaphors and metonymies, of idioms could be to some extent taught to learners, which in turn facilitated and increased their comprehension of unfamiliar idioms. In addition, the ability to comprehend conceptual metaphors and metonymies was not only connected to universal and cultural knowledge but also correlated with the participants' language proficiency.

While previous studies have provided enlightening theoretical and practical insights into L2 idiom comprehension, little research has been done regarding the comprehension of English idioms by college EFL students in Taiwan. Therefore, the current study focuses on the examination of the relationship between Taiwanese college EFL learners' vocabulary size, idiom comprehension, and their reading comprehension, and their

learning attitudes toward learning English idioms.

III. Methodology

3.1 Participants

One hundred and seven sophomores who major in English at a private university in southern Taiwan were selected as the subjects for the study. All subjects were non-native speakers of English who on average had had at least seven years of EFL instruction since junior high school. The study was conducted during the fall semester of 2011 while the subjects enrolled in Intermediate English Listening as a required course.

3.2 The Instrument and Procedure of the Study

A pilot study was conducted before the semester when the materials were designed. Two native teachers of English and two Taiwanese teachers of English checked all the items of the tests, as well as the survey questionnaire and interview items designed by the researcher. After all the necessary fixes and modifications carried out according to the suggestions and opinions of both native and non-native English teachers, four English major students were asked to answer the tests, the survey, and the interview questions. The instruments were all carefully reviewed and adjusted before the semester.

The study was conducted at the beginning of the semester. Two testing instruments, a vocabulary test and a general English-idiom test were administered by the researcher in order to determine the level of English language proficiency of the students, especially their vocabulary and idiomatic knowledge of English. Based on the scores of the two tests, the researcher observed if any statistical significance could be found to prove the first hypothesis of the current study: the larger the students' vocabulary, the better they understand the meanings of idioms.

On the second week, forty-two subjects were assigned in the high-level group and 65 were in the low-level group according to the mean performance and the standard deviation of the vocabulary test ($M = 36.78$). To protect all subjects' anonymity throughout the study, the researcher applied S initial (which stands for every Student) and a number given to every participant indicating his or her order in each group as High: S1-S41, and Low: S42-S107. In the third and fourth week, all participants were given the Reading Comprehension Test and the Idiom Interpretation Test. The Reading Comprehension Test (RCT) included two American cultural reading texts chosen from the book, *Take It Easy: American Idioms* (McPartland-Fairman, 2000), and each text came with several idiomatic phrases. After students read the text, they were asked to complete comprehension questions about the reading in the multiple-choice format. The purpose of RCT was to evaluate EFL students' reading comprehension ability when some idioms existed in a contextual situation. Finally, all participants were asked to complete a survey including their personal information and some questions regarding students' opinions and attitudes toward English idioms. Moreover, the following individual interview was conducted by the researcher: six volunteer students would be interviewed individually. The purpose of the individual interviews with the students was to explore details regarding their opinions of learning English idioms, such as difficulty and motivation. Finally, all the collected data would be processed and analyzed.

3.3 Data Analysis

The purpose of this study was to examine the relationship among college EFL students' vocabulary size, idiom familiarity, and their reading comprehension, to see if their language proficiency impacts their process of idioms and reading comprehension,

and their attitudes toward learning English idioms. All of the collected data aimed to answer research questions of the present study.

In terms of investigating students' attitudes toward idiom learning, the descriptive statistics of the results from the survey "Attitudes toward Learning English Idioms" would answer the question. Based on students' scores of the three tests, the vocabulary-size test, the general English-idiom test, and the reading comprehension test, the researcher could examine if any statistical significance can be found to prove the hypothesis: the more the awareness of vocabulary knowledge students have, the more accurate idiomatic meaning they comprehend. Therefore, the paired samples test and paired samples correlations of the students' two test scores would be computed by SPSS 15.0 for Windows to see if any statistical significance exists.

IV. Results

This study, focusing on the question of how familiar the Taiwanese students majoring in English major in a private university is with English idioms, aimed to examine: (1) if their vocabulary size has a relationship with their idiom proficiency and reading comprehension ability, and (2) what college EFL students' attitudes are toward learning L2 idioms.

Table 4.1 *Participants' Personal Information (N=107)*

Item	Frequency (n)	Percent (%)
1. Gender		
Male	22	20.6
Female	85	79.4
2. Off-campus English Lesson		
Attended	16	15.0
Not attended	91	85.0
3. On-campus English Lesson		
Attended	78	72.9
Not attended	29	27.1
4. Be Interested in English		
Not at all	-	-
So-so	23	21.5
Some	53	49.5
A lot	31	29.0
5. Learning English in daily life		
Seldom	5	4.7
Yes, on the Internet	24	22.4
Yes, material reading	34	31.8
Yes, cram school	8	7.5
Yes, TV/movies	76	71.0
Yes, songs	78	72.9
Yes, other activities	3	2.8
6. Best skill in English		
Listening	34	31.7
Speaking	16	15.0
Reading	42	39.3
Writing	15	14.0

7. Worst skill in English		
Listening	24	22.4
Speaking	36	33.7
Reading	6	5.6
Writing	41	38.3

One hundred and seven sophomores majoring in Applied Foreign Languages at a private university in southern Taiwan were selected as the subjects for the current study, twenty-two were male (20.6%) and eighty-five were female (79.4%). Among the participants, forty-two were assigned in the high-level group (39.3%) and sixty-five were the low-level group (60.7%) according to the mean performance and the standard deviation of the vocabulary test. Among the high-level group, eleven were male (50% within gender) and 31 were female (36.5% within gender), while among the low-level group, eleven were male (50% within gender) and sixty-five were female (60.7% within gender). The first part of the *Student Survey: Attitudes toward Learning English Idioms* is concerned with students' personal information, and the results are shown in Table 4.1.

Table 4.1 illustrated that among one hundred and seven respondents, only sixteen students (15.0%) attended out-of-school English lessons, but seventy-eight (72.9%) attended extracurricular English lessons offered by school. Regarding their interest in learning English, eighty-four students (78.5%) showed positive attitudes. Regarding their self-learning English in daily life, only five students replied that they seldom learn English (4.7%). The majority stated that they watch English TV programs and movie as their way of self-learning (71.0%) or listen to English songs (72.9%), while 31.8% stated that they read English materials such as magazines or novels, and 22.4% prefer learning English on the Internet. From students' self-report regarding their best and worst English skills, the findings indicate that their receptive skills (listening and reading) are better than their productive skills (speaking and writing).

Table 4.2 *Participants' English Learning Motivation and Difficulty (N=107)*

Item	Frequency (n)	Percent (%)
8. English learning motivation		
Helpful for academic achievement	39	36.4
Helpful for future job and employment	90	84.1
Enjoy learning foreign languages	57	53.3
Go abroad or travel to a foreign country	70	65.4
Make friends with foreigners	49	45.8
Passive learning motivation	5	4.7
9. The most difficulty in English listening or reading		
Lack of vocabulary	54	50.4
Poor grammar	26	24.3
Classroom teaching is useless	5	4.7
Not understanding English they heard and read	22	20.6

Items 8 and 9 were concerned with EFL learners' learning motivation and learning difficulty in reading and listening. As the results shown in Table 4.2, most of their motivation came from the belief that learning English was beneficial helpful for their employment and job-hunting in the future (84.1%)—they believed that one with better competence in English were more competitive in their career. Also, 65.4% of the participants' motivation was to go abroad/travel to a foreign country, and 45.8% stated their desire for making friends with foreigners—of course good English conversation

skills were definitely needed. In addition, nearly half of them (53.3%) were motivated in English learning since they enjoyed learning foreign languages. In terms of students' learning difficulty in listening and reading, half of them (50.4%) blamed their lack of vocabulary, and 24.3% imputed their learning difficulty to their poor grammar.

4.1 The Results of Research Question One

Research Question One intended to examine if there was a linear relationship between EFL students' vocabulary size and their idiom proficiency.

Ho: There is no linear relationship between college EFL students' vocabulary size and their idiom proficiency.

The descriptive statistics of participants' vocabulary and idiom tests were shown in Table 4.3. Pearson's correlation was used to test the hypothesis of a linear relationship between students' vocabulary size test score ($M = 36.78$, $SD = 10.46$) and their idiom proficiency test score ($M = 47.99$, $SD = 12.96$).

Table 4.3 *Descriptive Statistics of Students' Vocabulary and Idiom Test*

	<i>Mean</i>	<i>Std. Deviation</i>	<i>N</i>
Vocabulary Size	36.78	10.46	107
Idiom Proficiency	47.99	12.96	107

Table 4.4 *Pearson Correlations between Vocabulary Size and Idiom Proficiency*

		Vocabulary Size	Idiom Comprehension
Vocabulary Size	Pearson Correlation	1	.422**
	Sig. (2-tailed)		.000
Idiom Proficiency	Pearson Correlation	.422**	1
	Sig. (2-tailed)	.000	

Note. **Correlation is significant at the 0.01 level (2-tailed)

The results in Table 4.4 revealed a significant linear relationship, $r(105) = 0.42$, $p < 0.01$ ($p = 0.00$); therefore, we rejected the null hypothesis of no relationship between the two variables and concluded that students' vocabulary size and idiom proficiency were significantly related. Subjects who had a larger vocabulary size significantly did have better idiom proficiency.

4.2 The Results of Research Question Two

Research Question Two intended to examine if there was a linear relationship between college EFL students' vocabulary size and their ability in reading comprehension with idioms.

Ho: There is no linear relationship between college EFL students' vocabulary size and their ability in reading comprehension with idioms.

The descriptive statistics of students' vocabulary and reading comprehension tests were shown in Table 4.5. Pearson's correlation was used to test the hypothesis of a linear relationship between students' vocabulary size test score ($M = 36.78$, $SD = 10.46$) and their reading comprehension test score ($M = 59.79$, $SD = 15.21$).

Table 4.5 *Descriptive Statistics of Vocabulary and Reading Comprehension Tests*

	<i>Mean</i>	<i>Std. Deviation</i>	<i>N</i>
Vocabulary Size	36.78	10.46	107
Reading Comprehension	59.79	15.21	107

Table 4.6 Pearson Correlations between Vocabulary Size and Reading Comprehension

		Vocabulary Size	Idiom Comprehension
Vocabulary Size	Pearson Correlation	1	.284**
	Sig. (2-tailed)		.003
Reading Comprehension	Pearson Correlation	.284**	1
	Sig. (2-tailed)	.003	

Note. ** Correlation is significant at the 0.01 level (2-tailed)

As shown in Table 4.6, a significant linear relationship was revealed, $r(105) = 0.28$, $p < 0.01$ ($p = 0.00$). Therefore, we rejected the null hypothesis of no relationship between the two variables and concluded that students' vocabulary size and reading comprehension ability were significantly related. Students who had larger vocabulary size did have a significantly better ability in reading comprehension.

4.2 The Results of Research Question Three

Research Question Three intended to examine if there was a linear relationship between students' idiom proficiency and their ability in reading comprehension with idioms.

Ho: There is no linear relationship between college EFL students' idiom proficiency and their ability in reading comprehension with idioms.

The descriptive statistics of students' idiom proficiency and reading comprehension tests were shown in Table 4.7. Pearson's correlation was used to test the hypothesis of a linear relationship between students' idiom proficiency test score ($M = 49.77$, $SD = 12.96$) and reading comprehension test score ($M = 59.79$, $SD = 15.21$).

Table 4.7 Descriptive Statistics of Idiom Proficiency and Reading Comprehension

	Mean	Std. Deviation	N
Idiom Proficiency	47.99	12.96	107
Reading Comprehension	59.79	15.21	107

Table 4.8 Pearson Correlations between Idiom Proficiency and Reading Comprehension

		Vocabulary Size	Idiom Comprehension
Idiom Proficiency	Pearson Correlation	1	.362**
	Sig. (2-tailed)		.000
Reading Comprehension	Pearson Correlation	.362**	1
	Sig. (2-tailed)	.000	

Note. ** Correlation is significant at the 0.01 level (2-tailed).

As shown in Table 4.8, a significant linear relationship was revealed, $r(105) = 0.36$, $p < 0.01$ ($p = 0.00$); therefore, we rejected the null hypothesis of no relationship between the two variables and concluded that students' idiom proficiency and their ability of reading comprehension were significantly related. Students who had better idiom proficiency were able to perform significantly better in their reading comprehension test.

4.6 The Results of Research Question Four

Research Question Four intended to explore learners' attitudes toward general English and idiom learning. The data was collected from students' responses on Part II of the questionnaire. Items 10 to 14 were related to learners' learning experience of idioms, and Items 15 to 18 were related to their attitudes toward English idioms.

The result of Item 11 indicated that the majority was tormented by English idioms since they felt their use of English was not like the locals (59.8%). Likewise, around one-third was bothered by English idioms while they could not understand the dialogues in English movies and TV programs (34.6%), and another one-third by their inability to comprehend foreigners' conversations (33.6%). Nearly one fourth stated that English idioms did annoy them when they could not understand English texts, such as the texts in advertising and the articles in the newspapers (25.2%).

Regarding if there were any difficulties for the participants' understanding English idioms, the result of Item 10 indicated that the majority admitted that difficulties did exist: 42.1% chose 'very difficult' while 40.2% chose the 'somewhat difficult' option. Only 17.7% of the participants did not express any difficulty in understanding idioms. Furthermore, the result of Item 12 explores three major reasons for the EFL students' difficulties in idiom comprehension: (1) there is no connection between the idiom and its literal meaning (37.4%), (2) their lack of background information in idioms (28.0%), and (3) their lack of related vocabulary and phrasal knowledge (26.2%).

Table 4. 9 *Students' Responses to Idiom Learning Experience (N=107)*

Item	Frequency (n)	Percent (%)
10. The difficulty for understanding English idioms		
Not at all	19	17.7
Somewhat difficult	43	40.2
Very difficult, because...	45	42.1
11. English idioms bother me when...		
My use of English is not 'local' enough	64	59.8
Cannot understand English texts	27	25.2
Cannot make sense of TV/movie dialogues	37	34.6
Cannot understand foreigner's conversation	36	33.6
12. The reason why you cannot understand idiom because of...		
No connection with its literal meaning	40	37.4
Lack of its background information	30	28.0
Lack of vocabulary and phrasal knowledge	28	26.2
Others	9	8.4
13. Particular study in English idioms		
None	82	76.6
Yes, I...	25	23.4
14. Methods used when encountering unknown idioms...		
Leave them alone	4	3.7
Repeat a couple of times to figure them out	25	23.4
Check with a dictionary	30	28.0
Do the Internet search	20	18.7
Ask native-English speakers	14	13.1
Ask someone whose English is better than me	11	10.3
Others	3	2.8

Also, nine participants provided other reasons, such as S45, S56, and S60 stated they only translated the idiom word by word so they could not figure out their real meanings, S77 and S102 followed only their instincts to deal with unfamiliar words that led to misunderstanding, and S16, S22, S38, and S89 thought idioms were too difficult to

understand when no context was provided.

Regarding if the participants had used any methods to study English idioms in particular, the result of Item 13 revealed that the majority said no (76.6%) while only less than one fourth said yes (23.4%). In terms of the methods or strategies the participants used when they encountered unknown English idioms, the result of Item 14 indicated that they would: (1) check with a dictionary (28.0%), (2) repeat the idioms many times and try to figure them out by themselves (23.4%), (3) do the Internet search (18.7%), and (4) ask English experts (e.g. native speakers) (13.1%). Only four participants said they would leave them alone without asking any help when they encountered unknown idioms. It should be noted that three participants provided another method to deal with unfamiliar idioms: S6, S17, and S38 all stated that they would look for context to figure out the meanings.

Table 4.10 *Students' Attitudes toward L2 idioms (N=107)*

Item	Frequency (n)	Percent (%)
15. Knowing more idioms can improve L2 proficiency		
Agree	93	86.9
No opinion	12	11.2
Disagree	2	1.9
16. Idiom learning is important for L2 learning		
Agree	94	87.9
No opinion	12	11.2
Disagree	1	.9
17. Idiom teaching should be integrated into course		
Agree, at the beginning level	70	65.4
Agree, at the advanced level	22	20.6
No opinion	12	11.2
Disagree	3	2.8
18. Enhancing English idiom knowledge for you is...		
Much needed	22	20.6
Somewhat needed	76	71.0
No opinion	9	8.4
Not needed	-	-

Regarding students' attitudes toward idioms, the result of Item 15 indicated that most of them (86.9%) agreed that acquiring more English idioms can improve their proficiency, while only 1.9% disagreed. Likewise, the majority (87.9%) believed that idiom learning is important for their target language learning. When the participants were asked if idiom teaching should be integrated into general school English courses, the majority agreed (86.0%) while only 2.8% disagreed. Among those advocates, nearly two-thirds stated that it should be taught at the beginning level (65.4%) while one fifth thought it should be taught at the advanced level (20.6%).

Finally, the result of Item 18 showed that the majority believed that enhancing English idiom knowledge for them is needed (91.6%). Surprisingly, none of the participants stated "not needed" in this item.

V. Discussion and Conclusion

Based on the experiences of two former research projects supported and granted by the National Science Council, the researcher found that Taiwanese college students

sometimes were frustrated with the figurative expressions of English. Even those students who are English majors or with an intermediate level of general English language proficiency still encounters difficulties to figure out or misinterpret the meanings from the contents they read or listen to. Mastering these multiword units or ‘language chunks’ is not easy for EFL learners since the meanings of these texts cannot be determined through an analysis of their individual word meanings. However, a high frequency of figurative language is a feature for native speakers in their daily communication and in mass media. Thus, having such language knowledge is vital for EFL learners to avoid misunderstanding or misinterpretation. Moreover, Chen (2010) mentions that in this era of *Global English* Taiwanese students should accumulate enough English vocabulary, enhance their English competence on the go, and use English continually in order to face the challenge of globalization and internationalism. The core of learning English is how to *use* it appropriately instead of perfect grammar—as the ultimate goal of L2 language learning is cross-cultural communication. However, EFL learners are not considered competent speakers of English until they master the various idiomatic expressions.

5.1 Summary of the Results and Findings

The findings revealed that EFL learners who had a larger vocabulary received significantly higher scores in their idiom proficiency test, and a positive relationship between learners’ vocabulary size and their idiom proficiency was shown—it reached a statistical significance. Likewise, learners who had a larger vocabulary also received significantly higher scores in their reading comprehension tests, and the result proved that there was a positive significant linear relationship between students’ vocabulary size and their reading comprehension of idioms as well. Similarly, regarding EFL learners’ idiom proficiency and their reading comprehension, the results showed that learners who had better idiom proficiency received higher scores in their reading comprehension tests. Moreover, a significant linear relationship was also revealed, showing that learners’ idiom proficiency and their reading comprehension were strongly related.

Regarding learners’ attitudes, the majority presented a positive attitude toward idiom learning and also valued its necessity. The results indicated that most of them agreed that acquiring more idioms can improve their English proficiency; likewise, the majority believed that idiom learning is important for target language learning, and 91.6% believed that their English idiom knowledge should be enhanced. Among the advocates who stood for integrating idiom teaching into school EFL courses, 65.4% argued that idioms should be taught at the beginning level while 20.6% claimed it would be better to wait until the advanced level.

From learners’ self-report regarding their best and worst English skills, the results indicated that their receptive skills (listening and reading) were better than their productive skills (speaking and writing). However, 82.3% admitted that idioms were difficult for them. Three reasons were identified that learners were tormented by L2 idioms due to their non-local-like English expressions, misunderstanding those dialogues in movies/TV programs, and the texts in advertising and newspapers. Furthermore, regarding comprehension difficulty in idioms, three major reasons were reported: no connection with its literal meaning, lack of its background information, and lack of certain phrasal knowledge. Besides, four learners mentioned that idioms were hard to understand if no context was provided. In terms of the methods or strategies the learners used when they encountered unknown English idioms, four methods were presented: look them up in dictionaries, figure it out by oneself, do an Internet search, and ask English experts (e.g. native speakers). Finally, EFL learners’ learning motivation and difficulty in reading and listening skills were also concerned: most of their motivation came from the belief that

improving English ability is helpful for their future employment development; namely, the person with better competence in English is more competitive in their career development. In addition, their desires to go abroad and make friends with foreigners also motivated them to learn English; that is, good conversation skills are definitely a plus.

5.2 Conclusion

The researcher expected that the results and findings of this study shed light on L2 idiom familiarity and comprehension in general. The findings of this study bear some pedagogical implications for EFL teaching. According to the language experience hypothesis proposed by Nippold and Haq (1996), language speakers' meaningful exposure to idiomatic expressions and figurative language will enable them to deal more competently with the mentioned language items. This hypothesis predicts that the more familiar the subjects are with given idioms, the better they will be at interpreting them. Based on the research findings, the researcher also believes that the bridge between L2 and L1 cultures which greatly affects the cognitive and conceptual system as well as misunderstandings of the context and the idiom's literal meaning. During L2 instruction, instead of treating all the idioms in the same way, differential attention therefore should be paid to different types of idioms. For instance, for those L2 idioms which have L1 equivalents (e.g., ET and PT idioms), due to their easy comprehension, teachers can focus on the productive use of these them. On the other hand, for those idioms which cannot be translated directly into the learner's L1 (e.g., NET and FF idioms), as Zuo (2008) suggests, comprehension however should be privileged over production in classroom instruction.

In addition, idioms taught in isolation are generally not retained and the full meaning of words can only come from encountering them in a rich linguistic environment; therefore, it is advisable to create a sense of need for idioms by presenting idioms in a natural linguistic context in which learners need to use the idioms they have learned to achieve a certain communicative purpose. Nevertheless, since many idioms are culture-dependent and even culture-specific, they can only be fully integrated into a learner's natural speech patterns after extensive exposure to the type of English which native speakers use within their culture. In order to recognize idioms and understand the context in which they are used, learners should be exposed to real-life language in which idioms are freely incorporated and can be studied in context. Therefore, the researcher expects this study to bring up the idea that both cultural literacy and idiomatic language should be integrated into L2 classrooms. According to the findings of the current study, the following pedagogical implications might be helpful to the improvement of idiom teaching in EFL situations:

1. In the EFL classroom, teachers should encourage students to guess the meaning of idioms during reading but direct teaching of idioms and explicit idiom learning (such as learning the meaning of an idiom from a dictionary) should go along with such encouragement.
2. It is advisable that teachers try to offer more opportunities and exercises in class where students can be exposed to idioms contextualized in authentic language to generate natural, meaningful discourse using those idioms—a wide range of activities and exercises will ensure that students hear, read, and use the idioms in interesting and engaging ways.
3. To avoid learners' failure in tackling idioms whose images do not often exist in learners' every life, EFL teachers should encourage students to analyze the semantics of the idioms as a problem-solving task.
4. EFL teachers should pay attention to the conceptual metaphor aspect of idiom learning. Since many conceptual metaphors can be found in authentic materials

in English (magazines, best selling stories and novels, TV news, movies, talk shows, and so on), students' schemata can be enriched by experiencing real things in their daily life. Therefore, they are able to relate background information presented in the idiom with the information stored in their long-term memory, activate and use that knowledge to interpret it, and reconsider and revise hypotheses about the idioms' meanings.

Finally, more research needed to assess the best method to use when teaching idioms in the L2 classroom. Use of authentic materials will prove that idioms are employed quite often in certain genres, and knowledge of them by progressing learners will increase learners' understanding of these materials. Also, if knowing idioms and using them appropriately truly forms a part of communicative competence, then L2 teachers would do well to introduce them more regularly and systematically to their students in a positive motivational way. In this way, as the researcher believes, not only can Taiwanese students overcome their English learning difficulties, but teachers can also help them to enhance their English language proficiency in an effective and successful way.

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The Musical Styles in Zwilich's Double Quartet for Strings

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Abstract

Ellen Taaffe Zwilich was developing her talent and public acclaim at the same time as Joan Tower, John Corigliano, Philip Glass, Steve Reich, Fred Rzewski and many others. In her compositions, she never avoids musical styles of either the past or of vernacular musical idioms with which she is familiar. Rather, she tries to discover new ways of treating them. Not surprisingly, the listener is familiar with her music through her employment of past musical styles and sonic experiences. This study explores Zwilich's Double Quartet for Strings (1984), which not only exemplifies the nature of Zwilich's personal creativity, but also reveals different musical influences on the composer. I shall examine Zwilich's individual techniques and styles employed in the composition, that are also reflected in many of her other compositions. In order to provide insight into her compositional styles and handling, I will also discuss Bartókian musical traits and Haydn-like humor found in her composition. The significance of the Double Quartet also lies in Zwilich's strategy in manipulating musical texture. At times, one is reminded of minimalist texture. In the composition, unity is perceived through thematic and motivic connections. Both themes and motives are used as building material to expand new musical ideas. All these musical treatments are accustomed to ears. It is not surprising that her music brought her to the notice of the wider concert-going and listening public.

Key words: Ellen Taaffe Zwilich, Double Quartet for Strings, 20th century music

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茲薇莉希雙弦樂四重奏的音樂風格

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摘要

茲薇莉希 (Ellen Taaffe Zwilich) 與陶瓦 (Joan Tower)、柯里力亞諾 (John Corigliano)、葛拉斯 (Philip Glass)、萊希 (Steve Reich) 和列夫斯基 (Fred Rzewski) 等作曲家在相同的時期出名。在她的作曲生涯中，她使用過去和美國本土的音樂風格，並且用一種新的方式使用這些素材，而令人驚訝的是聽眾透過她使用過去素材的音樂風格和聽覺經驗更能熟悉她的音樂。本文以茲薇莉希的雙弦樂四重奏 (1984) 為例子不只是因為此作品具有她成熟的個人創造力，而且可以從中看到其他作曲家的影響力，本文將以此作品探討茲薇莉希的獨特創作手法和風格，而這些特色也反映在她其他的作品中，為了深入了解她的作曲風格和創作手法，本文還會以此討論巴爾托克的音樂特徵、海頓般的幽默創作方式和極簡主義。在茲薇莉希的雙弦樂四重奏中，可以看到主題和動機貫穿全曲，作曲家以此為建構素材擴展新的音樂理念，而這樣的音樂處理方式是聽眾所習慣的，因此茲薇莉希的作品受到廣大的聽眾歡迎。

關鍵字：茲薇莉希、雙弦樂四重奏、女性作曲家和二十世紀音樂

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For the past three decades programs of work by female composers, especially Ellen Taaffe Zwilich, have been frequently performed in the United States and Europe. Zwilich was developing her talent and public acclaim at the same time as Joan Tower, John Corigliano, Philip Glass, Steve Reich, Fred Rzewski and many others. She was the first woman to receive a doctorate in music composition from the Juilliard School in 1975 and the first to receive the Pulitzer Prize in music in 1983. Her music certainly demonstrates unique personality.

Unlike many of her contemporaries whose music reveals a deliberate break with the conventional past, Zwilich's music is perceived as "accessible" and "approachable." Her musical character has very much to do with her music perspectives. In an interview she once said, "people try to decide what I'm supposed to do. It's hard enough for me. I don't want them to decide what I should be doing... There were people from each of those places [classical or jazz realms] who kind of looked askance at the other side. But that didn't make any sense to me; I wanted everything" (Frank J. Oteri)

In her compositions, she never avoids musical styles of either the past or of vernacular musical idioms with which she is familiar. Rather, she tries to discover new ways of treating them. Not surprisingly, the listener is familiar with her music through her employment of past musical styles and sonic experiences. As a result, she consistently receives praise for her ability to compose music of high quality that has an immediate appeal to audiences.

Despite various stylistic influences in her music, the composer does not allow diversity of musical styles to hinder the expression of her personal identity. She continues to explore a great variety of genres through which she is able to convey her personality.

Thus, this study explores Zwilich's Double Quartet for Strings (1984), which not only exemplifies the nature of Zwilich's personal creativity, but also reveals different musical influences on the composer. In the paper, I shall examine Zwilich's individual techniques and styles employed in the composition, that are also reflected in many of her other compositions. In order to provide insight into her compositional styles and handling, I will also discuss Bartókian musical traits and Haydn-like humor found in her composition. The significance of the Double Quartet also lies in Zwilich's strategy in manipulating musical texture. At times, one is reminded of minimalist texture.

Despite various musical styles, sharp contrasts in tempi among movements and a sense of fragmentation in musical textures, the musical materials are closely linked together. Thus, I shall explore what musical technique has been used to create fragmentation in the music and how Zwilich connects the musical material and ideas in the music.

In addition, this study will consider the reception of Zwilich's music, investigating how her music is generally perceived. Although to some extent critiques of music reflect the musical quality of composers' compositions, such critiques serve as further guidelines to the understanding of Zwilich's music in general, even though they provide no detailed supporting evidence and information to their claims.

Background and Receptions

Zwilich has gained increasing publicity and admiration since she won the Pulitzer Prize for music in 1983 for her Symphony No. 1 (1982). Her mature compositional style challenges contemporary composers who continued the path of modernist writings. In her oeuvre, Zwilich has composed music for various genres, with different combinations of instruments. Nevertheless she has written no opera and theatrical genres, and has no intention of doing so. In an interview, she said, "I enjoy opera, but I just don't have a

desire to write one... I used to play in the stage band at the Met. And it's a big world, and it's a world occupied by a whole variety of collaborators, including the stage director who has come to prominence in recent years. I don't get the goose bumps. I had a really good opportunity to write an opera, but it just didn't light my fire. It's not me" (Frank J. Oteri).

Throughout her creative career, Zwilich has also received a number of honors, including a Guggenheim Fellowship, the Alfred I. Dupont Award, the Elizabeth Sprague Coolidge Chamber Music Prize, the Arturo Toscanini Music Critics Award, four Grammy nominations, an Academy Award from the American Academy of Arts and Letters, and honorary doctorates from Michigan State University, Mannes/New School, Converse College and Oberlin. Her music has been selected for performance at the International Society for Contemporary Music's "World Music Day." In 1995, she was named as the first Composer's Chair in the history of Carnegie Hall, and was designated Musical America's Composer of the Year for 1999. Today her compositions enjoy worldwide recognition. Many of her compositions have been recorded.

Indeed, her music is widely known and has received a good deal of critical attention. Although her music is often seen as "tonal" and "neo-Classicism", it cannot be specifically categorized into any one period of the musical past and any particular school of style. A brief survey of the receptions to Zwilich's music is provided here.

In a music review, John von Rhein describes Zwilich's music as audience-friendly and that she is writing with a different attitude: "her music is that rare thing – challenging to performers and accessible to audiences without pandering to them. Tonal and solidly crafted, her works have remained in the repertory at a time when so much stuff by her contemporaries already has been consigned to the dumpster of history" (John von Rhein).

To some extent, Zwilich seeks to infuse neo-classicism musical language into her music. For example, Rhian Samuel compares Zwilich's music to neo-classicism: it "relies heavily on the language and gesture of neo-Classicism, exploiting the orchestra traditionally, with the exception, perhaps, of instrumental range" (Rhian Samuel 311). Others claim that "her [Zwilich's] mature style – a mix of neo-Classical craftsmanship, roiling energy and tonal accessibility – came into focus slightly later, from her Pulitzer-winning Symphony No. 1 onward" (Steve Smith). Indeed, some of Zwilich's music demonstrates her interest in the music of the past. For example, both her *Trumpet Concerto* (1984) and *Concerto Grosso* (1985) both draw from materials and structures of the past.

Other positive receptions concerning Zwilich's musical style and internal musical construction include those from Terry McQuilkin, Michael Walsh and Diane Peacock Jezic. To many music critics, Zwilich's compositions are not difficult to describe and understand. McQuilkin asserts that, by Zwilich "doggedly eschewing any compositional party affiliation, the Pulitzer-winning (1983) composer avoids trendy mannerisms and academic clichés. Her harmonic and structural vocabularies stem from the conservative traditional movements of this century, yet her music speaks with a strong, distinctive voice" (Terry McQuilkin). Michael Walsh observes: "on the page her music looks as clear as Brahms'; to the ear it sounds as bold and vigorous as Shostakovich's or Prokofiev's. But it always remains her own" (Michael Walsh). In her book, *Women Composers*, Diane Peacock Jezic writes that Zwilich is an impeccable craftswoman: "[Zwilich's] music is clearly accessible and yet of first class craftswomanship. Her career is one of the most remarkable twentieth-century success stories in the history of U.S. women composers" (Diane Peacock Jezic 177). Nevertheless, some critics see the compositional style of Zwilich as "barely distinguishable from the American symphonists between the world wars" (John Rockwell).

Not only is Zwilich's music often associated with neo-classicism, but it is also

compared with the music of Shostakovich, Prokofiev and Bartók. For example, David Cope claims that, in her Double Quartet and String Trio, Zwilich “brings a fresh look to an old stylistic face: a post Bartókian vocabulary with an unpredictable dramatic intensity” (David Cope 593). Zdenek Macal, who conducted several of Zwilich's music compositions, such as her Triple Concerto (1995), Third Symphony (1992) and *Celebration for Orchestra* (1984), asserts that “Ms. Zwilich always has new ideas or combinations. It's oriented on 20th-century development of music – Shostakovich and Prokofiev. She paints” (Leslie Kandell). John von Rhein also relates Zwilich's 1998 quartet to the musical quality of Shostakovich and Prokofiev: “Zwilich's 1998 quartet, written for the Emerson Quartet, makes no secret of its debt to the dark lamentation of the Shostakovich quartets and the motoric drive of Prokofiev's Fifth Symphony” (John von Rhein 2001). Rhein also writes that “her [Zwilich's] music has been identified with the 19th Century romantic tradition, but, in fact, its melodic and tonal orientation is informed by a broad range of influences that could have been born only in this century” (John von Rhein 1991).

Zwilich once remarked: “Bartók and Shostakovich I find very attractive. My music has a strong component of Dionysus and Apollo. Music is both intellectual and visceral. I'm aiming for a feeling of spontaneity that comes from a basic sort of control and engages all of us – making music and listening” (Leslie Kandell). Her other personal views on compositional writings also help to explain the stylistic quality found in her music. She said:

I tend to take a rather long-range view of things and to have a sense of continuity and sense of growth in doing something that's very much part of my nature and that I feel strongly about – meanwhile, always trying to do something a little different with each piece so you have continuity with your own past and with music's past while also taking off on a slightly new direction each time (Lisa C. DeLorenzo and Ellen Taaffe Zwilich 47).

Her studies with two American leading composers, Roger Sessions and Elliott Carter at Juilliard School in the 1970s, was significant in Zwilich's compositional writing. Both composers provided her encouragement and Zwilich was able to find her own voice and make progress: “they were immensely helpful in my development. They allowed me my independence...I don't think my music sounds at all like either of them, but they influenced my thinking irrevocably”(Tim Page 29). Indeed, beginning in the 1980s, Zwilich has produced a substantial body of work that demonstrates her originality.

However, the death of her husband, Joseph Zwilich, in 1979 had a considerable impact on Zwilich; she began to search for a different way of composing. She recalled after finishing her Chamber Symphony (1979):

I had begun writing [the Chamber Symphony] before Joe died, and when I came to complete it, everything had changed... Suddenly all talk of method and style seemed trivial. I wanted to say something, musically, about life and living...We've had to come to grips with an incredible amount of evil and pain in this century... but this agony is only one reality; we shouldn't forget beauty, joy, nobility, and love – greater realities which artists must learn to express once again (Tim Page 29).

Zwilich's music shows a wide range of influences; she incorporates diverse elements and styles of music of the past in her work, and at the same time uses elements of the

musical language of her own time. She claims that: “I consider myself an individual. I feel free to use whatever sources appeal to me: Balinese, 19th-Century, even the so-called avant-garde. Writing music is a constant discovery process. I try to let the music take me someplace I’ve never been” (Marc Shulgold). To Zwilich, her music emphasizes musical values of “inspiration.” She is committed to the belief that “inspiration engenders product, which, in turn, engenders more inspiration...” (Tim Page 29).

Her Double Quartet was commissioned and premiered by the Chamber Music Society of Lincoln Center on October 21, 1984. A music critic, Donal Henahan, writes that, in the Quartet “Zwilich displayed a clear-eyed maturity and a rare sense of balance. She unites music that pleases the ear and yet has spine” (Diane Peacock Jezic 177). The Quartet also attracted the attention of David Cope who wrote in a music review that the composition was an “important addition to string chamber music literature...it demonstrates Zwilich’s understanding of the idiomatic requirements of the string family and her full appreciation of the unique timbral combinations without relying on special effects (pizzicato accepted)” (David Cope 593).

As a composer, Zwilich is sensitively aware of addressing both performers and listeners, largely because this seems most natural to her. To Zwilich, the priority of composing is about “writing music for players” and style is not something she thinks about consciously (Frank J. Oteri). In addition, many music critics claim that Zwilich’s compositions emphasize communication with audiences. For instance, Allan Kozinn writes that:

Ms. Zwilich, who holds the first Carnegie Hall composer's chair, writes music that is concise, easygoing and accessible, with only the mildest forays into angularity and dissonance to mark it as modern and distinguish it from pure Romanticism. It is, in other words, generally likable and rarely challenging, yet there are always structural signposts to give a listener a sense of place...(Allan Kozinn 1997).

Perhaps the key to the success of Ellen Taaffe Zwilich's music is its predictability. Normally, that would not seem an ideal attribute for new music, but Ms. Zwilich's work appears to proceed from the assumption that too much has been made of the need for novelty, and that listeners actually hate being entirely in the dark (Allan Kozinn 1994).

Robert Schwarz also asserts that “Ms. Zwilich has developed a relationship with performers and audiences that might have seemed impossible today” (Robert Schwarz). Indeed, not only does she enjoy interacting with performers, but also one of Zwilich’s goals is to write music that is pleasurable to perform:

I’m not a “composer”; I’m somebody who writes music for people to play and somebody who spent a great deal of my life playing music myself. It’s a different perspective than somebody who’s defined as a composer very early on. There’s a different set of issues, I think. I’m very much into the whole performance scene (Frank J. Oteri).

She once remarked that “composition is both written and a performing art – it must *sound*” (Tim Page 29). To Zwilich,

Success is hearing a wonderful performance of a piece of mine. That to me is the pinnacle of success. I’m not

denigrating any of this. Winning the Pulitzer Prize is very nice. It's wonderful. But, to me, getting that kind of feedback, really getting a wonderful performance... That's what really drives me. That's kind of what I aim for (Frank J. Oteri).

Moreover, Zwilich is always concerned with and takes interest in how her music would present to the public before composing a piece of music:

When I began my Double Quartet, I went to Alice Tully Hall, to find out exactly where the players would be sitting, and how their sound would reach the audience. By the time I actually started composing, I didn't have to just jot down a disembodied, arbitrary B-flat. I knew that it was a specific B-flat for viola, in this register or that, this context or that. In this case of my Double Quartet, I even knew whether it would sound from the right or the left side of the stage (Tim Page 30).

Zwilich divided the Double Quartet into two groups of string quartets, with seating arrangements set apart from each other by the width of the stage. In the music she creates a sense that the two groups are having a conversation, and at times complementary to each other. In other words, it could be seen as an antiphonal style between instrumental groups. As a composer, Zwilich is keen to emphasize instrumental groupings in her music. She stresses that "this simply isn't an octet, I wanted the audience to realize that this was not just a piece for cellos, two violas, and four violins, but two separate string quartets, simultaneously competitive and cooperative" (Tim Page 30). In addition, there are moments where Zwilich creates dialogue among instruments within each string quartet. This notion is not new; it grew out of the Romantic ideal, notably in the string quartets of Schumann; suffice to mention his String Quartet No. 1, op. 41. Schumann believed that string quartets should create fluid interchange among parts, creating a four-way conversation.

The Double Quartet

The Double Quartet is written in four movements with fast-slow-fast-slow tempi: I. Allegro moderato, II. Lento, III. Allegro Vivo, and IV. Adagio. The continuity among movements is evident; the last note of each movement shares the same note or a semitone lower with the first note in the next movement. Although the piece is written in four movements the conventional formal structure in each movement is abandoned. What is interesting here is that the third movement is heard as the extension of the first movement, and the last movement is the extension of the second movement. Not only does the first and third movements share similar ideas, but also the third movement tends to repeat some identical musical material of the first movement. For example, in the passage beginning at measures 139 (Example 1a) in the first movement the pitches and idea are identical to the passage beginning at measure 52 in the third movement (Example 1b).

Example 1a

subito $\text{♩} = 144$

1
Vlns. arco p *cresc. poco a poco*

2
Vlns. arco p *cresc. poco a poco*

Vla. p *cresc. poco a poco*

Vc. arco poco f *cresc. poco a poco*

1
Vlns. arco p *cresc. poco a poco*

2
Vlns. arco p *cresc. poco a poco*

Vla. p *cresc. poco a poco*

Vc. arco poco f *cresc. poco a poco*

Example 1b

Violins (Vlns.)

Viola (Vla.)

Cello/Double Bass (Vc.)

Violins (Vlns.)

Viola (Vla.)

Cello/Double Bass (Vc.)

Similar treatment is also employed in the second and last movements. This does not mean that the composer is running out of ideas, rather Zwilich has created familiarity and coherence among movements. Such musical handling is not new; it is often employed within a movement.

The piece begins with a most common element of Zwilich musical style, that is, a long sustained note presented in a slow manner of crescendo. Such a musical characteristic can be found in many of her compositions in the 1980s, for example, *Symbolo* (1988), Piano Trio (1987) and Concerto for Trumpet and Five Players (1984). In addition, the use of sustaining notes is one of the prominent musical ideas and textures

that connects the entire composition.

To some extent, Zwilich maintains a traditional way of writing her music. Themes, which are heard immediately, are stated clearly in the music; there is nothing here to distract the listener's attention from hearing it. In the Quartet, an expressive melodic theme, with a leap of minor 9th, is introduced at measure 24 after a short introduction. It slowly unfolds and develops as the music progresses. The head motive of the theme – a leap up of minor 9th and descent to a minor 3rd – is often used as building material to new musical ideas and turned into a new form. Examples can be seen at measure 7 of the second movement (Example 2a) and at measure 103 of the third movement (Example 2b).

Example 2a

Example 2a shows measures 10 and 11 of the second movement. The Violoncello part in measure 10 is highlighted with a box, showing the head motive: a leap up of a minor 9th followed by a descent of a minor 3rd. The Violins and Viola parts in measure 11 show the continuation of this theme, with dynamic markings like *pp*, *p*, and *mf*.

Example 2b

Example 2b shows measures 105 and 106 of the third movement. The Violoncello part in measure 105 is highlighted with a box, showing the head motive: a leap up of a minor 9th followed by a descent of a minor 3rd. The Violins and Viola parts in measure 106 show the continuation of this theme, with dynamic markings like *pp*, *p*, and *mp molto cantabile*.

One other point that makes Zwilich's music approachable is that, apart from clear thematic connections, melodic motives used in the music are easy to detect, despite the fact that they are sometimes presented in rhythmic augmentation and different transpositions. They are first established in the first movement. Generally, the motives in the music are usually stepwise and chromatic in character. One also witnesses a similar idea of this musical writing in Bartók's thematic material. Milton Babbitt once commented that Bartók's thematic material in his string quartets "consists, characteristically, of a small number of chromatically related tones stated in their minimal linear span" (Milton Babbitt 378). Here, in the Quartet, for example, Zwilich introduces a short step-chromatic running sixteenth-notes motive in measure 6 (Example 3), which later becomes important building material for the second and third movements.

Example 3

The image displays a musical score for a string quartet, specifically measures 1 through 10. The score is arranged in two systems, each containing staves for Violins 1 and 2, Viola, and Violoncello (Vc.). A vertical box highlights measure 6 across all staves, showing a prominent sixteenth-note chromatic running motive. Dynamic markings such as *ff*, *pp*, *p*, and *molto* are present throughout the score. A circled measure number '10' is visible at the top right of the second system.

Not only has Bartók's music influenced many composers in the twentieth century, but it is also listed as a standard music repertoire for both performances and academic study. His string quartets are also often perceived as "the greater part of Bartók" (Gerald Abraham.) Most listeners surely know about and have heard his music. Zwilich herself also played Bartók's string quartets when she was in college. It is not surprising that the Bartókian characters in Zwilich's music project a sense of familiarity to her audience.

The composition also illustrates moments of repeated notes in groups. The reiterated groups of notes are written in such a way that they remind one of minimalist repetition, though not without energy and vitality. The notion of classic minimalism is often explained as a repetitive element with slight change of rhythm and pitch. The music generally lacks rhythmic impetus and a goal-directed motion. Examples are Terry Riley's *In C* and Steve Reich's *Come Out*. One often encounters minimalism in art works, pop and sometimes in commercial music. The incorporation of "minimalist" texture in the Quartet is not surprising. Zwilich once remarked: "I want my music to integrate all of my past, all of my influences. I want people to hear where I came from, what was in my surroundings" (Ruth Dreier).

Here, in the Double Quartet, a series of constant changing pitch patterns – either in a repeated note or in groups of notes – that create different moments in "minimalist" texture are presented in duration of time. Example 4 illustrates a moment where layers of repeated pitch patterns (violin 1, violin 2 and viola) create "minimalist" texture beginning

at measure 140 in the first movement.

Example 4

Each “minimalist” texture varies according to different musical ideas. This in turn creates a sense of moment-by-moment, or fragmentation, as the music nevertheless progresses. Despite this sense of fragmentation, unity is present in the music. Zwilich connects music through the thematic materials.

The constant changing “minimalist” texture here plays two different roles in the music: in individual moments, it serves as an accompaniment to the melodic line; but when they gather together they act as a means to generate a forward moving momentum. The former usage is easily found in the string quartets of most composers such as Haydn, Shostakovich, Bartók and many others. What is interesting about the second usage is that Zwilich has turned the minimalist static into energetic impetus, creating a growing tension in the music. Examples can be found in the first and third movements.

Zwilich’s approach to fragmentation in the music is also interesting; she tends to juxtapose both traditional and contemporary musical styles. For example, at measure 79 in the third movement the use of imitative texture that reflects familiarity with a counterpoint musical style is preceded by minimalist static musical texture, showing the composer’s eclectic taste in styles (Example. 5).

Example 5

The musical score for Example 5 is presented in three systems. The first system (measures 75-79) features Violins (Vlins.), Viola (Vla.), and Cello/Contrabass (Vc.). The Violins and Viola parts are marked 'poco a poco' and 'ff' (fortissimo). The Cello/Contrabass part is marked 'poco a poco' and 'ff'. The second system (measures 80-84) shows the Violins and Viola parts marked 'f' (forte) and 'pizz.' (pizzicato). The Cello/Contrabass part is marked 'f' and 'arco' (arco). The third system (measures 85-89) shows the Violins and Viola parts marked 'p' (piano) and 'pizz.' (pizzicato). The Cello/Contrabass part is marked 'p' and 'arco'.

Indeed, the music retains some of Zwilich's recognizable characteristics. In addition, by incorporating musical materials and ideas of her surroundings and where she comes from in her compositions, shows Zwilich's desire to communicate with her audience.

Stresses on weak beats and off-beat rhythmic patterns are occasionally employed in the music. For example, at measure 9 in the second movement (refer to ex. 2), the accented markings tend to place on the weak beats. Indeed, the compositional writings of Zwilich also reveal her penchant for American vernacular music, such as blues and jazz. Her jazz experience comes from her playing trumpet in the Jazz Band while studying at Florida State University. In her Quintet for violin, viola, cello, contrabass and piano (2010), Zwilich not only cites Schubert's "Trout" Quintet, which has the same instrumentation, and calls the central movement "Die Launische Forelle" (The Moody Trout), but she also employs blues harmony in the composition. Another example is her *Millennium Fantasy* (2000), a work commissioned by Jeffrey Biegel, a renowned pianist. In this piece, there are jazzy rhythms such as a three-note syncopation motive used throughout the composition. Biegel describes the *Millennium Fantasy* as "classical-romantic in feeling" coupled with a "jazzy side" ("Millennium Consortium

Project means multiples performances of New Zwilich work”).

To some extent, in the Double Quartet, there are occasions where the musical handling, such as the employment of a series of hammering repeated note in pizzicato that accompany a melodic line, brings to mind Bartók's string quartets. This musical manner especially reflects its association with the distinct musical characters of quick, percussive, repeated notes in the second movement of String Quartet No. 2. This is not to say that Zwilich composes music with no individual character; rather, she fuses her music with prior musical traditions, creating a sense of familiarity.

In addition, there is more than one point in the composition where one is reminded of Bartók's music. The melodic contour in the Double Quartet is written in similar fashion to that of Bartók's melodic lines that contain big leaps. Suffice to mention the opening theme in his String Quartet no. 1, the second theme in String Quartet no. 2, and the second theme of the Sonata for Violin and Piano No. 1. Generally, a note tends to leap (up or down) to the next note in a longer note-value, then followed by stepwise motion or closer intervals such as thirds. A clear example can be seen in Bartók's String Quartet No. 1 (Example 6). Here, despite the use of leaps and chromatic notes in the Double Quartet, Zwilich prefers to avoid strong dissonances in her music. Thus, her music is never inaccessible to the audience.

Example 6

Lento $\text{♩} = 60$ (56-63) BARTOK Béla, Op. 7.

The image displays a musical score for the first movement of Béla Bartók's String Quartet No. 1, Op. 7. The tempo is marked 'Lento' with a quarter note equal to 60 beats per minute. The score is for four instruments: Violino I, Violino II, Viola, and Violoncello. The Violino I and II parts are marked 'p molto espress.' and contain intricate, overlapping melodic lines with frequent leaps and chromaticism. The Viola and Violoncello parts are mostly silent, indicated by rests.

Apart from the double and triple stops that are used, the complexity in her music never suggests a strong identification with modernist music, such as Karlheinz Stockhausen, Edgard Varèse and George Crumb. Nevertheless, like many modernist compositions, which have emphasized sound color, Zwilich employs mute and without mute, and double and triple stops in both *arco* and *pizzicato*, that suggest a rich timbre. Dynamic instruction and other performance markings such as slurs and accents are also used to enhance sonic effect in the music.

Zwilich's approach to the last moment of the composition is quite distinct. It is not only the shortest movement (3:51), but also provides a sense of humor at the ending. What is interesting here is that Zwilich creates a sense of ambiguity. The composer gradually prepares the ending with a long sustaining note beginning at measure 40 in decrescendo dynamic markings ranging from *forte*, *mezzo forte*, *piano* to *pianissimo*, as one would assume that the music is coming to a closure. However, when the moment finally arrives at measure 54, and where a halt is inserted, Zwilich makes a twist, and turns the music into a comic effect. The music is then restated, the sustaining note again, preparing for a second *real* ending in the last two measures in a fade out fashion. Such musical humor also brings to mind Haydn's music, notably his String Quartet No. 2, op 33

(‘The Joke’).

Indeed, Zwilich approach to playfulness in her music can also be seen in the *Millennium Fantasy*. For example the composer carefully organizes a humorous musical handling at the second movement at measure 153 where the music projects a sense of ending, but a long pause is employed. Listeners would assume that the music is coming to an end. Nevertheless, after a long halt (about eight measures) the music starts again and introduces a new melody at measure 156 in the flute. It is as if the music suggests a new beginning after the long pause; there is nothing that prepares the listener for the next musical event that follows. Indeed, fermatas and grand pauses are also a frequent means by which Haydn dramatized his music. Charles Rosen once wrote that the comic becomes “not only the characteristic mood of a work but often, particularly with Haydn, an essential technique” (Rosen 97). Karl Ludwig Junker claimed that the music of Haydn contains humor: “Can anyone tell me one single work of Haydn in which humor would not always be a marked trait? One will find none” (Wheelock 46).

Conclusion

Zwilich incorporated a variety of musical styles and her own musical idioms into her music. One also witnesses how she relates her music to her musical experience and environment. The composition is certainly rich in musical ideas. Joseph Kalichstein, a pianist, said that Zwilich “manages in an unabashed way to draw on the past, and yet finds her own language” (Leslie Kandell). Indeed, one finds no perceptible clash of styles in her music. Not only does her music display a synthesis of styles and ideas from the past and present, which creates her musical identity, but also from which Zwilich has created musical familiarity in hearing. Not surprisingly, Zwilich’s striving to communicate with her listeners is apparent; she intends to create a greater approachability to musical language.

Indeed, there is nothing uncompromising in Zwilich’s music. She has created a musical syntax as rich in expressive as in musical style diversity. She is trying to discover new ways of treating the musical past and present, and music with which she is familiar. Suffice to mention her presenting the idea of classic minimalism differently. Not only “minimalist” texture, but also Bartókian musical idioms, are apparent in the composition. Although different musical styles are employed in the music, they blend well into one another. Neither traditional styles nor “minimalist” texture are over stated in the music; it is, in fact, pleasing to hear and significant in the musical context. Indeed, Zwilich unites various musical ideas and styles into a complete whole.

Musically, the composition appears as conservative and straightforward, yet not without humor. The playful ending certainly plays a trick on the listener, showing her creativity in the music. Despite fragmentation in textures, expressive themes – in rhythmic augmentation and different transpositions – are easily recognized. Unity is perceived through thematic and motivic connections in the composition. Both themes and motives are used as building material to expand new musical ideas. All these musical treatments are accustomed to ears. It is not surprising that her music brought her to the notice of the wider concert-going and listening public.

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The Farmer as a Problematic Figure: Crèvecoeur's *Letters from an American Farmer*

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Abstract

Two hundred and thirty years after its publication, Crèvecoeur's *Letters from an American Farmer* (1782) still grips general readers and literary critics of American literature. Modern critics, however, question many of its implicit assumptions. This paper first traces Crèvecoeur's influence by Enlightenment doctrines, especially physiocratic beliefs, and examines how Crèvecoeur's notion of the farmer challenges the "American degeneracy" theory and contributes to his New World vision. It then proceeds to explore how the notion of the (freehold) farmer as *the* representative American creates controversies to such an extent that in the end the farmer ends up not as a representative American but as a problematic figure.

Key words: Crèvecoeur, *Letters from an American Farmer*, the (freehold) farmer, Americanness

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有爭議性的農夫：克列夫科的《一個美國農夫的來信》

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摘要

出版了兩百三十年之後，克列夫科的《一個美國農夫的來信》依然深植人心。現代批評家卻質疑書中許多隱而不顯的假設。本文首先追溯克列夫科如何受到啟蒙時代主張，尤其是重農主義理念的影響，探討克列夫科對農夫的想法如何挑戰「美洲的退化」的理論，從而促成他的新大陸的願景。本文接著探討以農夫作為代表性的美國人的想法滋生爭議，以至於最後農夫已不是代表性的美國人，而成為有爭議性的人物/意象。

關鍵詞：克列夫科、《一個美國農夫的來信》、(擁有不動產的)農夫、美國性

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Introduction

Two hundred and thirty years after its publication in London by Davies and Davis, J. Hector St. John de Crèvecoeur's *Letters from an American Farmer* (1782), especially Letter III, "What Is an American?", still grips general readers and literary critics of American literature. Advertised to be "the genuine production of the American Farmer whose name they bear [J. Hector St. John]," thus containing "authentic information," *Letters* was published "at a time when every body's [sic] attention is directed toward the affairs of America."¹ The book was, therefore, an instant success in England as well as in many other parts of Europe, and it was immediately translated into French, Dutch, and German. On the other hand, *Letters* enjoyed only a moderate success in the U.S. Its first American edition, published in 1793 by Matthew Carey, did not sell as expected. In the nineteenth century, it even fell into oblivion. In the twentieth century, however, thanks to D. H. Lawrence and many other critics as well as a new wave of "polyglot mass immigration" (Cunliffe 143) and the emergence of American Studies, the book regained its popularity, establishing itself as a classic in early American literature.² In his "Introduction," Albert E. Stone extols the book: "American literature, as the voice of our national consciousness, begins in 1782, with the first publication in England of *Letters from an American Farmer*" (7).³

No sooner had *Letters* secured its status as a "foundational text" (Jehlen, "Travel Writing" 142) than critics questioned many of its implicit assumptions, especially the notion of the farmer as *the* representative American. Sometime during the 1970s critics began to offer new readings of Crèvecoeur's *Letters*, with a view to revising former interpretations and exploring the implications of Crèvecoeur's ideologies in the text. David J. Carlson, for instance, argues that the emergence of American Studies as a field during the 1940s and 1950s "provided the vital context in which *Letters* was finally established as both a core scripture of American exceptionalism and a classic formulation of the ideal of the ethnic melting pot" ("Crèvecoeur's *Letters*" 547). The "ideological pressures of the cold war period," Carlson adds, demand "defining and celebrating a singular American experience" (548). The celebration of such an experience contributed to Crèvecoeur's resurrection but also "influenced the reception of Crèvecoeur's work in potentially misleading ways" (548). One of the "misleading ways" which influenced the reception of Crèvecoeur's work is how *Letters* is anthologized. Anthologizers' favorite is Letter III, "What Is an American?" But it is only excerpted, omitting "History of Andrew, the Hebridean" and thus containing less than half of the whole letter. The result of

¹ "Advertisements" to the first edition (1782). The quotations appear on p. 35, in J. Hector St. John de Crèvecoeur, *Letters from an American Farmer and Sketches of Eighteen-Century America*, ed. with an introduction by Albert E. Stone (N.Y.: Penguin, 1986). All quotations of *Letters* and *Sketches* are from this edition. *Sketches* was actually edited by Henri L. Bourdin, Ralph H. Gabriel, and Stanley T. Williams, and published in 1925 by Yale University Press. Based on Crèvecoeur's manuscripts, Dennis D. Moore re-edited *Sketches* and published *More Letters from the American Farmer* in 1995. *More Letters* aimed specifically to address the controversies Bourdin, Gabriel, and Williams's edition had occasioned. It retains virtually all of Crèvecoeur's manuscript forms, and it would be technically difficult to quote from this edition. Therefore, I use Stone's edition because it is still the edition most critics refer to. This paper does not quote from the controversial chapters in Bourdin, Gabriel, and Williams's edition. For controversies about this edition, refer to Moore's "Introduction" (xi-lxiv).

² For discussions of the reception of *Letters*, see Stone, "Introduction," 7-9; Cunliffe, "Crèvecoeur Revisited," 132-33, 139-40; and Carlson, "Farmer versus Lawyer," 257-58.

³ Stone's "Introduction" first appeared in his 1963 edition of *Letters*. In 1981, he incorporated Bourdin, Gabriel, and Williams's *Sketches* into the book and rewrote the introduction. The quote appeared in both editions. Here I quote from the 1986 reprint.

anthologizing only this letter is that the idealized farmer is represented as a typical American, and the farm life Farmer James lives is enveloped in an aura and becomes the “pastoral ideal in a New World setting”; indeed, the image of the landscape “achieves mythic magnitude” (Marx 108, 111). Letter III thus paints a rosy picture for immigrants, and Farmer James’s “singular American experience,” the American Dream now, promises to be within every immigrant’s reach. Although some anthologies later add Letter IX, “Description of Charles Town; Thoughts on Slavery; On Physical Evil; A Melancholy Scene” and Letter XII, “Distresses of a Frontier Man,” the keynote of the dream, for most readers, seems unchanged.

Nevertheless, recent critics read Crèvecoeur from new perspectives. *Letters*, which was routinely considered as a bunch of discrete sketches, is increasingly treated as a formal whole, believed to be selected, arranged, and given its final shape by Crèvecoeur himself.⁴ Crèvecoeur’s influences by or contacts with contemporary European philosophers or intellectuals, like John Locke, Abbé Raynal (Guillaume Thomas François Raynal, 1713-1796), Buffon (Georges-Louis Leclerc, Comte de Buffon, 1707-1788), and French physiocrats are explored, confirming Crèvecoeur’s ambition to join in the transatlantic network of men of letters. Varied subjects in Crèvecoeur’s texts are rigorously investigated to examine the overtones of the notion of the American farmer. My paper proposes to reread Crèvecoeur in light of recent scholarship. The first part of the paper explores Crèvecoeur’s influence by Enlightenment doctrines, especially by Abbé Raynal’s physiocratic beliefs. Crèvecoeur follows Raynal’s beliefs but also challenges them in his fashioning of the farmer as the representative American. In the second part of my paper I concentrate on the issues of gender, race, ethnicity, and class, and the way these issues are related to the notion of the farmer in the book. Crèvecoeur idealizes the farmer as *the* representative American. Upon careful examination, however, his notion of the farmer applies specifically to the freehold farmer, a farmer whose ownership of land is associated with respectable gentility. Such a notion of the farmer is ambivalent toward women and the land, and it is race- and class-biased; it, therefore, creates controversies, which I aim to investigate in this paper. Although Crèvecoeur envisions people in the New World as having a second chance to begin the world anew, his vision is implicated in controversies of diverse forms and shapes, and his notion of the freehold farmer is at the very core of the controversies.

Enlightenment Doctrines, American Degeneracy Theory, and Crèvecoeur’s New World Vision

Crèvecoeur was born on January 31, 1735, in Caen, Normandy, and attended the Jesuit Collège Royal de Bourbon.⁵ When nineteen, he visited relatives in Salisbury, England, and, living there for one year, acquired a degree of mastery of the English language. He then enlisted in the French colonial army in New France (Canada), serving as an officer under General Montcalm in the French and Indian War (1754-1763). He was wounded in the battle for Quebec in 1759 and, after recovery, resigned his commission as second lieutenant under unknown circumstances. He arrived in New York City the same year, adopted a new name, J. Hector St. John, and made several prolonged exploring

⁴ A. W. Plumstead, for instance, advances a compelling argument about this in “Hector St. John de Crèvecoeur.”

⁵ For Crèvecoeur’s biography, refer to Gay Wilson Allen and Roger Asselineau, *St. John de Crèvecoeur: The Life of an American Farmer* (1987). Despite a few critics’ complaints about some inaccuracies in the book, this is still the most updated biography of Crèvecoeur. Also useful is Thomas Philbrick, *St. John de Crèvecoeur*, especially pp. 15-40.

expeditions in the following years, leading historian Vernon Parrington to comment: "Perhaps no other man before the Revolution was so intimately acquainted with the French and English colonies as a whole, with their near background of frontier and the great wilderness beyond, as this French American" (qtd. in Stone 10). In 1769, he became a naturalized citizen of New York and thus a subject of England, his home country's bitter foe. After marrying Mehetable Tippet of Westchester, he bought 120 acres of land in Orange County and named it "Pine Hill." The period from his settlement in Pine Hill to the Revolution was, according to Crèvecoeur, the happiest days of his life, and *Letters* and *Sketches*, or at least most of them, were composed during this period. The Revolutionary war brought the happy days to an end because of Crèvecoeur's loyalist leanings.⁶ In 1779, he planned to leave New York City for France, partly to avert confrontations with local patriots and partly to secure his son Ally's inheritance in Caen. Along with the six-year-old Ally, he brought with him a trunk full of manuscripts, containing about thirty-two sketches. Imprisoned by the British for a few months, he was released on bond and sailed for England. In London he sold part of his manuscripts to Davies and Davis, Samuel Johnson's publisher, and went on to France. *Letters* came out in 1782 and quickly saw a new edition in 1783, which incorporated corrections made by Crèvecoeur himself.

Early critics do not consider *Letters* as a coherent whole because they fail to see the sketches as having a unified "plot" or theme. Elayne Antler Rapping's "Theory and Experience in Crèvecoeur's America" (1967) plays a vital role in Crèvecoeur criticism. Starting with the premise that "Crèvecoeur recognized that the new nation took its form from a complex of literary and philosophic ideas which came together and found expression in eighteenth-century Europe," Rapping proceeds to proclaim that the Age of Enlightenment was also "the age in which a new nation was being established on a newly settled land, offering an opportunity to test these theories" (707). The Enlightenment literary and philosophic ideas provide Farmer James with a model, based particularly on a faith in human reason and a benevolent, intelligible natural world, on which to build an agrarian democracy. Equipping himself with such a model in the first three letters, James then "moves out of his community and begins to tour the country" in the next few letters to test to what extent this model can be realized in the New World. The result is somewhat disappointing because James is disillusioned about a number of corrupted practices, among them slavery. With the imminence of the Revolution in the final letter, the model, especially in respect of pursuing self-interest while serving the interest of the greatest good, disintegrates. In Rapping's reading, "both James and his country are being tested against a set of theories which the European has provided," but the model provides "a false view of the world" and thus will not stand the test of experience (708).

Rapping's "theory and experience" provides a model for structuring *Letters* as a whole, while also situating James's dream of an agrarian democracy in a transatlantic Enlightenment context instead of a nation-based paradigm.⁷ According to Rapping, the whole book is thematically structured on the formulation of Enlightenment beliefs and the subsequent disillusionment. Likewise, Mary E. Rucker also stresses Crèvecoeur's influence by Enlightenment doctrines: the ideal value of an agrarian democracy, the validity of an economic system based on the pursuit of self-interest, the responsibility of government to ensure the general welfare, the deterministic force of physical and social environments, and the order, intelligibility, and benevolence of the universe (193). For

⁶ Crèvecoeur was generally believed to be a loyalist to the British Crown or, some claim, an Anglophile. See Pierre Aubéry, "St. John de Crèvecoeur: A Case History in Literary Anglomania."

⁷ Rapping is, of course, far from the first critic to bring up the transatlantic connection. She is, however, able to weave together the Enlightenment ideals with U.S. nationalistic ideals in a cogent way and thus helps to explain how *Letters* can be read as a formal whole.

Rucker, however, these doctrines are mere assumptions. She therefore concludes her essay by remarking that Crèvecoeur “reveals through James’s pathetic losses the folly of a too ready acceptance of these assumptions” (211).⁸ Nevertheless, both Rapping and Rucker emphasize the importance of Enlightenment doctrines to Crèvecoeur. Abbé Raynal was prominent among the Enlightenment intelligentsia who advocated these doctrines. He made a notable impact on Crèvecoeur, but it is also Raynal’s theory of the American degeneracy and physiocratic beliefs that Crèvecoeur responded and took exception to in *Letters*.

Crèvecoeur dedicated *Letters* to Abbé Raynal. After reading Raynal’s *Political and Philosophical History*,⁹ Crèvecoeur was greatly inspired: “For the first time in my life I reflected on the relative state of nations; I traced the extended ramifications of a commerce which ought to unite but now convulses the world...” (Crèvecoeur 37). Not only was Crèvecoeur impressed by Raynal’s theory of a global commerce in the eighteenth century in the wake of European imperialism and colonialism, he was also moved by Raynal’s spirit of humanity: “As an eloquent and powerful advocate, you have pleaded the cause of humanity in espousing that of the poor Africans. You viewed these provinces of North America in their true light: as the asylum of freedom, as the cradle of future nations and the refuge of distressed Europeans” (Crèvecoeur 37). Crèvecoeur felt that there was an atmosphere of “universal benevolence” and “diffusive good will [sic]” behind Raynal’s work. Indeed, he was so convinced that there was “a secret communion among good men throughout the world, a mental affinity connecting them by a similitude of sentiments” that he wished to “be permitted to share in that extensive intellectual consanguinity” (38).

Crèvecoeur’s indebtedness to Enlightenment ideals, specifically to Raynal, is manifest in the dedication,¹⁰ and it is also clear that he is eager to enlist in the cause of the transatlantic circle of men of letters. According to Christine Holbo, Raynal saw commerce as the source of the global, humanitarian sympathies which ground his critique of slavery: “Economically and socially, commerce gave rise to the discoveries of science, to the expansion of sentiment, and to the possibility of universal or philosophical reflection” (31). Unfortunately, in their effort to create margins of profit, merchants, who were the primary agents of this wave of global commerce and maritime explorations, also relied on the exploitation of labor, hence the emergence of slavery in the New World. Therefore, in recognizing “the mercantile imagination both as a source of philosophical knowledge and moral decay,” Holbo goes on to argue, “Raynal explicitly implicated the rise of Enlightened humanism in the enslavement and degradation of a significant portion of mankind” (31).

Holbo demonstrates Raynal’s influence on Crèvecoeur in her essay. Nevertheless, to say that Crèvecoeur uses Raynal’s book as a model for *Letters*, as Holbo also argues, poses some problems. Crèvecoeur may have enthused over the theory of a global commerce, but his model farmer has not. James’s idea of commerce is only realized on what Myra Jehlen calls “a micro-economic level,” that is, on a communal level (“Traveling in America” 143). James the farmer is independent and lives his life, to a great extent, in a self-sufficient way. He couldn’t possibly be interested in international or

⁸ Rucker reads James and Crèvecoeur as two opposing consciousnesses: James the incorrigible idealist and moral coward and Crèvecoeur the pessimistic realist.

⁹ Raynal’s *L’Histoire philosophique et politique des établissements et du commerce des Européens dans les deux Indes* (4 vols., Amsterdam, 1770; English translation, *A Philosophical and Political History of the Settlements and Trade of the Europeans in the East and West Indies*) was actually the collaborative work of the *philosophe coteries*, among them Diderot. I follow the common practice and attribute it to Raynal.

¹⁰ For an analysis of Raynal’s influence on Crèvecoeur, refer to Christine Holbo, 27-32, or Grantland Rice, 102-05.

transatlantic trade or commerce. Furthermore, Raynal's *History* proposed a theory, America's environmental degeneracy, which was later more fully developed by Buffon. According to Buffon, quadrupeds in the New World were much more reduced in stature and diversity than their counterparts in Europe; likewise, the "savages" in the Americas did not have great (sexual) energy. These inferiorities were attributable to the unfavorable climate. Buffon, for example, said: "In the savage, the organs of generation are small and feeble. He has no hair, no beard, no ardour for the female. Though nimbler than the European, because more accustomed to running, his strength is not so great. His sensations are less acute; and yet he is more timid and cowardly. He has no vivacity, no activity of mind."¹¹ For Buffon, everything degenerated in the Americas. The theory of degeneracy in the Americas was so influential that as late as 1837 Captain Frederick Marryat, English Royal naval commander and novelist, was still persuaded that "the American climate resulted in a deterioration from the physique possessed by the originals of the British settlers" (qtd. in Boehm and Schwartz 453). Even immigrants to the New World suffered deterioration. What would Crèvecoeur have to say about this?

Crèvecoeur never commented directly on the "American degeneracy" theory although Farmer James often suggests that all changes are local, meaning that we are all subject to the influence of local climate and environment. In Letter III, James remarks: "But perhaps that soil would soon alter everything; for our opinions, vices, and virtues, are altogether local: we are machines fashioned by every circumstance around us" (Crèvecoeur 98). James, however, does not entirely subscribe to the climatic determinism. In the same letter he also comments: "Men are like plants. The goodness and flavour of the fruit proceeds from the peculiar soil and exposition in which they grow. We are nothing but what we derive from the air we breathe, the climate we inhabit, the government we obey, the system of religion we profess, and the nature of our employment" (71). Like plants, humans undergo transformation because of the air and the climate. Unlike plants, however, they also transform because of their government, religion, and employment. Indeed, James particularly stresses the fact that European immigrants work hard when they are in the new country because they cultivate their own land, they do not have to pay steep taxes, and they feel reassured that the government and the law will protect them. They are reborn because they are "resurrected" by a new society and a new system: "*He* is an American, who, leaving behind him all his ancient prejudices and manners, receives new ones from the new mode of life he has embraced, the new government he obeys, and the new rank he holds" (70; original emphasis). It should be evident that Crèvecoeur does not believe in the degeneracy theory. On the contrary, he believes that the American climate, along with the government, will "regenerate" the immigrants. Crèvecoeur refutes Raynal's (or Buffon's) theory and contributes to the myth that the transplanted Europeans will become a "new race of man" in the New World.

On the other hand, Crèvecoeur does support Raynal's physiocratic beliefs. Physiocrats believe that land and its products are the only true sources of a nation's wealth and that freedom of opportunity and security of person and property are essential to prosperity. Physiocrats like François Quesnay (1694–1774) and Anne-Robert-Jacques Turgot (1727–1781) stressed the value of land agriculture as the only reliable source of a nation's wealth, in contrast to classical economists' emphasis on the ruler's wealth, accumulation of gold, or the balance of trade. In *A Philosophical and Political History* Raynal comments on the relation of commerce and agriculture: "if the lands be not cultivated, all commerce is precarious... nations that are only maritime, or commercial, enjoy, it is true, the fruits of commerce; but the tree of it belongs to those who cultivate it.

¹¹ "Buffon's American Degeneracy." The Academy of Natural Sciences of Drexel University. Web. 23 Jan., 2012. <<http://www.ansp.org/museum/jefferson/otherPages/degeneracy-1.php>>.

Agriculture is, therefore, the first and real opulence of a state” (qtd. in Rice 104). Farmer James endorses a similar belief: “by riches I do not mean gold and silver—we have but little of those metals; I mean a better sort of wealth—cleared lands, cattle, good houses, good clothes, and an increase of people to enjoy them” (Crèvecoeur 80). Furthermore, James believes the land to be more than the source of wealth: “Those who inhabit the middle settlements [i.e. New York and Pennsylvania], by far the most numerous, must be very different; the simple cultivation of the earth *purifies* them, but the indulgences of the government, the soft remonstrances of religion, the rank of independent freeholders, must necessarily inspire them with sentiments, very little known in Europe among a people of the same class” (71; my emphasis). James believes that the land or the cultivation of it purifies the farmer. Nevertheless, the purification does not derive from the land only, because farmers in Europe do not experience the same transformation. The transformation is also attributable to the new government, the new system of religion, and the rank of the freeholder. It is a singular American experience: “The American is a new man, who acts upon new principles; he must therefore entertain new ideas and form new opinions” (70.) Instead of suffering deterioration, the transplanted European becomes a “new man.” Crèvecoeur shares Raynal’s beliefs, but he also challenges them. In revising Raynal’s or other Enlightenment intelligentsia’s degeneracy theory, *Letters* contributes to American exceptionalism and becomes a foundational text of early American literature. In advocating the concept of the (freehold) farmer, however, new controversies arise.

The (Freehold) Farmer as a Problematic Figure

Letters abounds in controversies. In this part of my paper, I would like to discuss the following issues: the concept of the freehold farmer in relation to the issues of gender, race/ethnicity, and class. As Mary E. Rucker observes, Crèvecoeur’s “perfect society” is predicated upon several Enlightenment doctrines: the ideal value of an agrarian democracy located midway between unhandseled nature and civilization; the validity of an economic system based on the pursuit of self-interest; the responsibility of government to ensure the general welfare; the deterministic force of physical and social environments; and the order, intelligibility, and benevolence of the universe (193). One important belief missing from Rucker’s list is the notion of the freehold farmer. The freeholder originally designated the owner of an estate held in free tenure, who possessed, under the Magna Carta, the rights of a free man. Transported to the American soil by the English settlers, freehold tenure gradually took on a different significance, especially in the Revolutionary or early national period. In his essay on this subject, Chester E. Eisinger uses the term “the freehold concept” to refer to the body of ideas which make up the “Jeffersonian myth.” According to Eisinger, this concept is an ideological construct comprised of three propositions which have been extracted from the writings of eighteenth-century authors, especially Thomas Jefferson, who concerned themselves with the issues of the farmer and the land. The propositions are: (a) that every man has a natural right to the land; (b) that through ownership of the land the individual achieves status and self-fulfillment; and (c) that the good political society must provide for the uninhibited development of the farmer (44). What is particularly relevant to the discussion here is the second proposition. A propertied farmer is an independent farmer; he is, to a large extent, self-reliant and self-sufficient. In addition, a farmer acquires fine character because of his intimate contact with nature and steady personal habits which are conducive to the highest kind of morality (44). For Jefferson, the farmer represents the typical American citizen and the epitome of democracy. Therefore, Eisinger states: “When Crèvecoeur and others transmogrified the struggle for existence into an idyll... the farmer became the symbol for

all Americans" (47). "Political democracy and the economic opportunities of the frontier," Eisinger goes on to argue, "make the freehold concept uniquely American" (53). In the Jeffersonian myth, the purified, morally superior farmer will also be the staunch champion of political democracy. Yet the notion of the freehold farmer is excessively idealized; if it is put to tests, it will most likely fail. In Crèvecoeur's case, his yeoman conforms to literary agrarians' notion of the farmer in many respects, but Farmer James falls far short of being a defender of political democracy upon scrutiny.

Farmer James, like his creator Crèvecoeur the colonial American, is a loyal British subject. In *Letters*, James repeatedly sings hymns to the home country. People in the colonies are "united by the silken bands of mild government, all respecting the laws without dreading their power, because they are equitable" (Crèvecoeur 67). In Letter II, he offers effusive thanks to his new situation: "... and where is that station which can confer a more substantial system of felicity than that of an American farmer possessing freedom of action, freedom of thoughts, ruled by a mode of government which requires but little from us? I owe nothing but a peppercorn to my country, a small tribute to my king, with loyalty and due respect..." (Crèvecoeur 52). In fact, what James has paid to the king is much more than a peppercorn and respect. After the Seven Years' War (or the French and Indian War on the North American scene), the British government desperately needed to replenish its coffers. Even before the War, the Navigation Acts and the Molasses Act had already begot discontent in the colonies. After the War, more taxes were imposed: the Sugar Act (1764), the Stamp Act (1765), and the Townshend Acts (1767). James's peppercorn served only to tease the British government's financial hunger.

James's idea of government is one in which "with all this apparatus of law, its coercive powers are seldom wanted" (Crèvecoeur 124). The following passage may further explain what he means. In his description of Nantucket in Letter IV, he mentions that the Friends (the Quakers) comprise two-thirds of the magistracy; they are, therefore, proprietors of this territory. He describes the existence of the magistracy in completely negative terms:

Seldom is it that any individual is amerced or punished; their jail conveys no terror; no man has lost his life here judicially since the foundation of this town, which is upwards of a hundred years. Solemn tribunals, public executions, humiliating punishments, are altogether unknown. I saw neither governors nor any pageantry of state, neither ostentatious magistrates nor any individual clothed with useless dignity... no soldiers are appointed to bayonet their compatriots into servile compliance. (125)

"The positive advantages of such governance," as Myra Jehlen argues, "are all negative, and Crèvecoeur would rather have done without it altogether" ("Monarcho-Anarchist" 218). Even the law seems to exist in the abstract: "The simplicity of their manners shortens the catalogues of their wants; the law, at a distance, is ever ready to exert itself in the protection of those who stand in need of its assistance" (Crèvecoeur 125). "*At a distance*," Jehlen maintains, "is the key to his [James's] outlook" ("Monarcho-Anarchist" 218). "The law at a distance" reminds us that the British government, the real ruler of the colonies and Nantucket, is several thousand miles away. When James elaborates on how "Europeans become Americans" in Letter III, he describes the process in detail and then concludes: "What an epocha [sic] in this man's life! He is become a freeholder, from perhaps a German boor. He is now an American, a Pennsylvanian, an English subject" (83). At that moment, there is no dilemma to face between being an American and being an English subject. But when that government, several thousand miles away, flexes its muscles and imposes its authority, the farmer's "freedom of actions" and "freedom of thoughts" vanish. James's political democracy leads him to pursue individualism and

egalitarianism, but not the exercise of political will in the congressional hall (Jehlen, "Traveling in America" 143). In the end, he loses all. When he attempts to flee into Indian country, he practically abandons his American identity. In the case of Crèvecoeur, he became neither an American nor an Englishman when he left the colonies. When he came back to the U.S. after the Revolution, he returned as a French citizen and diplomat.

Farmer James is not Jefferson's faithful defender of American democracy; nor is he a typical or representative American. For one thing, he is too masculine.¹² D. H. Lawrence was probably the first to point this out: "This American Farmer tells of the joys of creating a home in the wilderness, and of cultivating the virgin soil. Poor virgin, prostituted from the very start" (29). Annette Kolodny also comments on the metaphor of the land as woman: "Implicit in the metaphor of the land-as-woman was both the regressive pull of maternal containment *and* the seductive invitation to sexual assertion: if the Mother demands passivity, and threatens regression, the Virgin apparently invites sexual assertion and awaits impregnation" (67; original emphasis). Crèvecoeur's image of the farmer is problematic here. He is not just a simple cultivator; he also plays the masculine conqueror, while simultaneously dreading the regressive pull of the maternal. The farmer entertains an ambivalent attitude toward women and the land he cultivates.

Readers of *Letters* are most impressed by Crèvecoeur's melting-pot theory: "What, then, is the American, this new man? He is either an European or the descendent of an European; hence that strange mixture of blood, which you will find in no other country.... Here individuals of all nations are melted into a new race of men, whose labours and posterity will one day cause great changes in the world" (Crèvecoeur 69-70). For James, the New World is a country for everyone: "We know, properly speaking, no strangers; his [country] is every person's country; the variety of our soils, situations, climates, governments, and produce hath something which must please everybody" (80). In passage after passage James celebrates equal opportunity and treatment for everyone. Beneath the surface of egalitarianism, however, runs a disturbing undercurrent. James's definition of Americanness is exclusive. The representative American must be "either an European or the descendent of an European." With a single stroke of the pen, James writes African Americans and Native Americans out of American citizenship. James sometimes thinks the "Indians" lead a nobler life than the Europeans: "they are in many instances superior to us" (215); yet, in his description of Nantucket they appear to him "to be a race doomed to recede and disappear before the superior genius of the Europeans" (122). When he considers fleeing to the Indians, he is apprehensive that his children might be "perfectly Indianized." He shudders at the mere thought of their possible intermarriage: "for however I respect the simple, the inoffensive society of these people in their villages, the strongest prejudices would make me abhor any alliance with them in blood, disagreeable no doubt to Nature's intentions" (222). He considers "negroes" faithful and hard-working servants, yet he never entertains the idea of ranking them as citizens. Even European descendents are hierarchized. James holds the "unmixed descendents of Englishmen" in the highest esteem. Although he considers "promiscuity" the distinctive characteristic of the American, he prefers the descendents of the Englishmen to remain unmixed: "I have heard many wish that they [descendents of the Englishmen] had been more intermixed also; for my part, I am no wisher and think it much better as it has happened" (68). He believes these unmixed descendents of the Englishmen deserve to be recognized: "There never was a people, situated as they are, who with so ungrateful a soil [New England] have done more in so short a time" (68). Next in the hierarchy comes the German: "How

¹² For a different reading on Farmer James's masculinity, see Anne Myles, "Elegiac Patriarchs." Myles argues that in attempting to enlist sympathy for James in Letter XII, "Distresses of a Frontier Man," Crèvecoeur deploys "the feminized representation of loyalists in Revolutionary discourse" (151).

much wiser, in general, the honest Germans than almost all other Europeans" (84). The Scotch and the Irish are at the heels of the German: "Whence the difference arises I know not, but out of twelve families of emigrants of each country, generally seven Scotch will succeed, nine German, and four Irish" (85). His flat denial notwithstanding, the farmer does show his "partiality." In the end, however, it is still slavery that is most disturbing to modern-day readers. In the "caged slave" scene, he is unable to do anything for the slave because, he claims, he forgets to load his gun and thus cannot end the slave's misery with one bullet. The real reason, one might suspect, is probably that he is afraid to offend his host if he takes the slave's life. Even though he is conscience-stricken, he still attends the host's dinner. He remains elusive about how many slaves he owns, and he justifies his ownership of slaves by assuring us that he feeds and treats them well. As Grantland Rice observes, Raynal condemns the introduction and persistence of slavery "as the harbinger of the fall of the New World, evidence that the corruption of Europe had indeed undermined the ideal of an agrarian asylum" (105). James pledges to be a "new man," to "leav[e] behind him all his ancient prejudices and manners," but the corruption of Europe has insidiously caught up with him in the form of racial/ethnic discrimination.

A. W. Plumstead asserts: "*Letters* is a very class-conscious book" (215). What Plumstead means is that although the book is dedicated to the European upper class (Abbè Raynal, Mr. F. B.), it is "really written for, and identifies with, the lower classes, the downtrodden of the world" (215). Plumstead may be right, but the truth is not so simple. James claims that the Americans are a people of cultivators: "Lawyer or merchant are the fairest titles our towns afford; that of a farmer is the only appellation of the rural inhabitants of our country" (Crèvecoeur 67). The New World seems to be a classless society, and everyone stands on an equal footing with one another. This is far from the truth. James's hatred of lawyers is well documented.¹³ He registers his hostility toward them almost every time he mentions them. He distrusts merchants because they are unscrupulous when they try to turn a profit. For him hunters "appear to be no better than carnivorous animals" (Crèvecoeur 52). They are "a mongrel breed, half civilized, half savage" (52), and hunting is "but a licentious idle life" (53). The farmer is the only one worthy of respect. By "farmer," however, James seems to mean the freehold farmer, the one who owns his own property and can pass it on to his posterity. In his essay on eighteenth-century ideologies of farming, Timothy Sweet reminds us that one of the most easily overlooked facts about agriculture is its "class structure." After discussing several eighteenth-century agricultural or agrarian writers, including Thomas Jefferson, Sweet comments: "The writers discussed so far note a distinction between large and small landowner. Yet for the most part they tend to minimize the importance of this distinction and to elide tenancy and wage laboring, containing all farmers in a single category, the 'yeoman' or 'freeholder' who is made to represent all Americans" (67). Sweet explains that although tenant farmers and wage laborers were an integral part of eighteenth-century agriculture, they tended to be forgotten. This is what James (or Crèvecoeur) has been doing. There are also back-settlers who clear the path for the settlers who come after them. James talks about the back-settlers in a disdainful way: "In all societies there are off-casts; this impure part serves as our precursors or pioneers.... Forty years ago, this smiling country was thus inhabited; it is now purged, a general decency of manners prevails throughout, and such has been the fate of our best countries" (73). He refers to them in another passage: "Thus are our first steps trodden, thus are our first trees felled, in general by the most vicious of our people; and thus the path is opened for the arrival of a second and better class, the true American freeholders, the most respectable set of people in this

¹³ See, for example, David Carlson, "Farmer versus Lawyer: Crèvecoeur's *Letters* and the Liberal Subject."

part of the world...” (79). The back settlers only serve the purpose of opening the path for the arrival of a better class, the true American freeholders. Once that purpose is attained, this “impure part” of society should be cast off. Thus, the cultivators, as Kolodny contends, “exist only as the end of a process that begins with foresters, hunters, traders, and that whole class of frontier society he [James] accuses of ‘shocking violation’” (59). James shows little gratitude or respect for those pioneers and what they have done. Therefore, Timothy Sweet argues that for James, the immigrant counts “only insofar as he becomes a freeholder” (65). “Connecting the idea of liberty with exclusive property rights,” David Carlson maintains, “is a hallmark of eighteenth-century English legal thought, of Lockean political theory, and of a wide range of literary representation of the freeholder” (“Farmer versus Lawyer 261). Nevertheless, controversies arise when the freehold farmer is touted as the representative American at the expense of other farmers or people of other walks of life. Crèvecoeur’s idealization of the (freehold) farmer problematizes or delimits the concept of Americanness. Besides, James’s farmer is, with almost no exception, a white, male European descendant.

James himself does not have to climb the social ladder of a tenant farmer or wage laborer because his father left him three hundred and seventy-one acres of land, an excellent orchard, a good house, and a substantial barn. James is industrious, no doubt, but his father, a former back-settler, left him “no kind of difficulties to struggle with.” Besides, he has negroes to work for him, and they usually attend to the hardest work. Therefore, James can well afford to be a gentleman farmer as well as a “scribbling farmer,” as he calls himself. What about Crèvecoeur himself? Jennifer Rae Greeson recently discovered a watercolor by Crèvecoeur. The watercolor, painted sometime between 1773 and 1775, showed Crèvecoeur’s earlier representation of American life, in which he depicted himself “not as a yeoman farmer, but rather, unmistakably, as a conventional planter” (106). Crèvecoeur organized the painting “around two central figures counterpoised in an allegory of New World agricultural enterprise: a white, two-story, big house, embellished with wings and portico, hovering above a lone black man at work at his plow in the foreground” (106). Crèvecoeur included himself as master of the contents of the painting: dressed in hat and coat, he stood under shady trees, his wife seated at his side, supervising the negro’s work in leisure. Greeson therefore concludes that “the political independence of the U.S. necessitated the invention of ‘the American, this new man,’ rather than the other way around” (106). In other words, feeling in 1782 that the independence of the thirteen colonies could become an actuality (the Treaty of Paris in 1783 ended the American Revolution), Crèvecoeur might have rewritten the first three sketches extensively to anticipate the birth of the new nation and invented the narrator Farmer James, converting him into a representative of the republic new man. Whether Greeson’s argument is conclusive enough, *Letters* does teem with passages which contradict each other and contest Father James’s credential as a representative American. Crèvecoeur’s painstaking efforts notwithstanding, the colonial planter still lurks behind the republic new man. Controversies throughout *Letters* attest to the residues of Crèvecoeur’s colonial past.

Conclusion

Letters is replete with controversies and contradictions. Crèvecoeur himself is probably the source of such contradictions, the controversial man “of many masks” and “of multiple identities” (Chevignard 176).¹⁴ As Susan Manning observes, Crèvecoeur

¹⁴ See also Cunliffe’s long discussion of Crèvecoeur’s character, 135-39.

was “an American by adoption and law, and a Frenchman by birth; an Englishman by emotional allegiances” (xiii). From Michel-Guillaume Jean de Crèvecoeur to J. Hector St. John de Crèvecoeur, this Franco-American (or “Normano-Americanus,” as he once described himself) changed his names several times. He was even adopted by the Oneida Indians and had an Indian name—Cahioharra (Damrosch 89). The name of the first English edition's author—Hector St. John—sounded like a gentleman of English stock, and contemporary readers of the book mistook him for an Anglo-American. Without knowing who he was, Benjamin Franklin defended this Hector St. John when someone accused him of being neither an American nor a farmer. After he returned to France and resumed his French citizenship, he once wrote to Franklin—then American ambassador in France—in his former French name. Franklin answered him in these terms: “Madame la Comtesse d'Houdetot had warmly recommended to me a M. Crèvecoeur who had been long in America. Please inform me if you are the same person” (qtd. in Allen and Asselineau 90). Crèvecoeur had to make up excuses to convince Franklin of his own identity: Hector St. John as well as Michel-Guillaume Jean de Crèvecoeur. He created confusing identities and conflicting allegiances to the extent that he probably lost himself among them. It is this same Crèvecoeur who attempted to create Farmer James as a simple fellow, a Lockean “*tabula rasa*,” who exclaims: “But, believe me, what I write is all true and real” (Crèvecoeur 62). His friend Brissot de Warville described this man with a mysterious past: “Crèvecoeur always had a gloomy countenance and unquiet air ... His conduct before the Revolution wasn't the only thing that Crèvecoeur wanted to hide; he had had domestic sorrows that he enveloped under an impenetrable veil” (qtd. in Damrosch 92). Crèvecoeur's biographers say that he “wanted to turn his back on his past and become a true American” (Allen and Asselineau 75), but his European and colonial past lingers and haunts him.

One other source of the ideological conflicts is Crèvecoeur's influence by Enlightenment doctrines. Enlightenment intellectuals, especially the French *philosophes*, provided Crèvecoeur with a whole array of ideals to imagine a new society on the new soil. Taking his cue especially from the physiocrats, Crèvecoeur invented Farmer James and established him “as one of the nation's most potent and seductive cultural archetypes” (Carlson, “Farmer versus Lawyer” 258). Unfortunately, Enlightenment ideals got bogged down in European colonial practices, such as slavery or caste systems, as Raynal's *Philosophical and Political History* could testify. Norman S. Grabo suggests that Crèvecoeur “leaped boldly into an international republic of enlightened letters” (160). Nevertheless, the age of Enlightenment was also the age of European imperialism and colonialism. Crèvecoeur's European past finally dragged him back to the earth. Reading *Letters* transatlantically allows us to see the Americanness of Farmer James as well as his Europeanness. We see in him the American Farmer, “the new man,” as well as the old colonial planter. Crèvecoeur forges a new language for readers to imagine a new world, but even this new language is already loaded with controversies and contradictions.

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試析歷史劇記存/寄存歷史的獨特性： 以亞瑟·米勒的《熔爐》為例¹

鍾淑玫*

摘要

亞瑟·米勒 (Arthur Miller) 因受到瑪麗安·史塔基 (Marion Starkey) 《麻薩諸塞州之惡魔》(The Devil in Massachusetts) 與麥卡錫「非美調查委員會」(House Committee on Un-American Activities) 的影響，而寫成《熔爐》(The Crucible) 此劇。米勒在自傳中表示，為了此劇，他曾親訪薩利姆 (Salem)，視察女巫審判的檔案。他選擇以個人良知 (individual conscience)、約翰·普羅克特 (John Proctor) 之擇善固執與阿比蓋爾·威廉斯 (Abigail Williams) 操縱集體癡症 (mass hysteria) 為其創作主軸，試圖營造出非黑即白之善惡對立的戲劇張力，並將他個人對人性良知的堅持，以修改歷史記憶的方式，寄託在字裡行間。此創作手法符合歐文·李本納 (Irving Ribner) 對歷史劇的見解，亦符合戈特弗里德·馮·赫爾德 (Gottfried von Herder) 對於作家傾向於文學裡探究歷史、讀者傾向於涉獵文學來獲取歷史經驗之現象的解釋。於是，以文學記存/寄存歷史，或更精確的說，以歷史劇記存/寄存歷史，遂提供人們一個在文學裡接收歷史記憶、型塑歷史經驗的新的時序與空間，允許人們對史實進行情感的延伸與真理的辯證，而藉由閱讀這樣的文學作品，人們更能意識及反思歷史的多層面向，了解歷史並非黑白分明而是充滿各色光譜，這就是歷史劇記存/寄存歷史的獨特性。本文將以米勒的《熔爐》為例，探究米勒如何在他的歷史劇裡處理文學與歷史之關係，期盼觀察出文學與歷史記述如何互補彼此不足之處。

關鍵字：個人良知、集體癡症、麥卡錫主義、獵巫

¹ 本論文經審查通過於 2012 年 5 月 5 日國立清華大學舉辦之「第三十五屆全國比較文學會議：寄/記存之間 Archival Spaces」研討會上發表。

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The Uniqueness of Historical Plays in Recording History: On *Arthur Miller's The Crucible*

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Abstract

Inspired by Marion Starkey's *The Devil in Massachusetts* and influenced by "the McCarthyite witch-hunts of the House Un-American Activities Committee," Arthur Miller determined to write *The Crucible*. In order to write this play, Miller visited Salem to research the archives of the witchcraft trials. He focused on issues of individual conscience, with John Proctor's holding fast to justice and Abigail Williams' manipulation of mass hysteria, as the themes of the play, trying to build up the dramatic tension between good and evil. By remodeling historical events, he presents his beliefs with regard to individual conscience in this work. The method he applies in the play runs parallel with what Irving Ribner has emphasized in his definition of historical play, and also responds to Gottfried von Herder's explanation of the trend in which the author tends to explore history in literature and the reader tends to grasp historical experiences in literature. Therefore, to record history in literature or—put it in a simple way—to record history in historical play, provides people with a new sense of time and space for receiving historical memories and reshaping historical experiences. It allows people to bear further emotions and carry on more debates about the truth of events. Then, by reading these kinds of literary works, people may sense and reflect more on various aspects of history, discovering that it is not just black and white. This is the uniqueness of historical plays in recording history. The essay will examine how Miller deals with the relationship between literature and history in *The Crucible* and show that literature and historical narrative do indeed complement each other.

Key words: individual conscience, mass hysteria, McCarthyism, witch hunt

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克里斯多佛·畢茲白 (Christopher Bigsby) 在《熔爐》的導讀中指出，亞瑟·米勒因受到瑪麗安·史塔基 (Marion Starkey) 《麻薩諸塞州之惡魔》 (*The Devil in Massachusetts*) 的啟發與麥卡錫「非美調查委員會」 (House Committee on Un-American Activities) 的影響而寫成此劇。米勒認為此劇是「一種對美國五零年代早期政治現實理性的分析與戲劇性的呈現」 (Bigsby xi)。畢茲白表示，除了麥卡錫主義之外，米勒反映的是：「那將社區固結住的社會契約崩解了，連同那將個體們繫在一起的愛與相互尊敬也是」 (Bigsby xv)，還有，「對別人的寬容也崩解了……以至於親愛的丈夫與妻兒變成了鐵石心腸的敵人、慈愛的父母變成了漠不關心的監護者，或甚至成為剝削他們孩子的人」 (Bigsby xv)。於是，讀者可從本劇中觀察到，「背叛、否定、輕率的審判、自我辯白在時間與空間上皆距今不遠」 (Bigsby xvi)。另外，《熔爐》也處理了「個人良知」 (individual conscience) (Bigsby xxi) 的議題，揭示出當個人在面臨不公平的指控與判決時，在保持他（或她）良知完整上所做的掙扎。劇中人物約翰·普羅克特 (John Proctor)、吉勒斯·柯爾利 (Giles Corey) 以及瑞貝卡·納爾斯 (Rebecca Nurse) 就是這類的受害者：他們堅持個人良知直到他們嚥下最後一口氣。我們因此要問，為何個人良知對於這些人物如此重要，而答案也許就在於：「個人良知使人的完整性 (integrity) 與同一性 (identity) 得以復原，從而置個人於社會實踐 (social action) 之中心」 (Bigsby xx)。當米勒決定讓普羅克特成為一位擁護自身良知的悲劇英雄時，米勒強調：「在某些時刻，除了個人良知之外，再沒有什麼能讓這世界免於支離破碎」 (Bigsby xxi)。

除了畢茲白的陳述外，其他《熔爐》的評論家也都注意到劇中相似的主題：歷史事件。其一為薩利姆 (Salem) 的女巫審判，其二為五零年代進行反共產主義者調查的麥卡錫主義 (McCarthyism)，兩者皆牽涉到個人反抗威權的掙扎過程。愛蜜莉·米勒·柏狄克 (E. Miller Budick) 在她的〈《熔爐》的歷史與其他鬼怪〉一文中，反駁了大衛·萊文 (David Levin) 稱米勒無法嚴肅處理政治歷史事件以至於他的戲劇在美學上充滿了錯誤的論點 (Bloom 127)。柏狄克相信米勒的戲劇呈現出一種「贊成道德的可塑性」之論調 (Bloom 129)，她指出，因為米勒此劇拒絕順從諸如清教主義和麥卡錫主義此類的權威獨裁系統，「此劇在史料上的運用和對道德暴力狀態所做的投射」 (Bloom 128)，對非難此劇的評論家而言，是難以理解的。麥可·歐尼爾 (Michael J. O'Neal) 贊同赫伯特·林登伯格 (Herbert Lindenberger) 的歷史劇觀點，¹歐尼爾也認為米勒此劇所投射的歷史觀點是一種「縱向的」 (“vertical”) 觀點，因為他在此劇中所描述的是一個「以揭露反覆循環的人類行為模式，共時性地、『縱向地』顯示歷史斷面圖，而非呈現『前情狀況』 (“the antecedent conditions”) 給予觀眾檢視的橫向的歷史觀點」 (112)。威廉·麥吉爾 (William J. McGill, Jr.) 支持米勒的聲明，他認為米勒「對歷史精確性的關注，是一種普遍化的而非特定的關注」 (262-63)。麥吉爾也強調，身為劇作家，米勒的責任是「說實話」，是「去傳達他對於歷史事件真正的『真實本質』 (“essential nature”) 的了解」 (263)。同樣地，除了指稱麥卡錫主義為「毫無任何證據根據的毀滅性控訴」外，亨利·波普金 (Henry Popkin) 在他的〈亞瑟·米勒之《熔爐》〉一文中，將薩利姆女巫審判的重要性和五零年代進行的反共產主義者調查並置，且表示如此一來便可「防止我們對這些事件以及我們自己年代裡類似事件之間做出太立即和太天真的識別」 (145)。羅伯特·沃尚 (Robert Warshaw) 根據觀眾對於此劇的反應而判斷，此一具有「廣泛意義」

¹ 林登伯格表示：「歷史劇，就它在反映與詮釋過去事物的範疇上而言，是可以被視為歷史思考之分支的，不過它卻是一個投射關於歷史的假說和個人學裡推測多過投射已充分發展的哲理的歷史思考之分支。」 (qtd. in O'Neal 112)。

（“universal significance”）的劇作，確實是被創作出來說明在一九五零年代發生在美的、「很像這些審判的某些事」（269），也就是「關於阿爾杰·希斯（Alger Hiss）、歐文·拉鐵摩爾（Owen Lattimore）、茱莉亞和伊瑟·羅森柏夫婦（Julius and Ethel Rosenberg）以及參議員麥卡錫（Senator McCarthy）……的某些事」（268）。就這點而言，米勒和「擅用過去向現在強調道德」的布萊希特（Brecht）很相像（Cohen 81）。此外，柏納·杜柯爾（Bernard F. Dukore）在他的《文本與表演：《推銷員之死》與《熔爐》》一書中指出，《熔爐》的眾主題之一，即是權威與反對權威強求限制的個人之間的衝突（45）；在〈亞瑟·米勒《熔爐》中的社會與個人〉一文裡，尚馬利·柏內（Jean-Marie Bonnet）則認為，此劇持續地在對立的兩極端之間移動，而個人必須被個別的淨化以便使其社會呈現為一整體（32）。他們兩者的觀點也在布萊希特的戲劇裡所採用發展的共通主題（universal theme）上獲得共鳴，也就是「權威與個人的探究自由之間的比較」（Cohen 85）。

在充分了解上述這些似乎比較傾向於以麥卡錫主義為主題的討論之後，筆者不禁要問，為何眾學者對麥卡錫主義著墨甚多，卻較少討論發生在一群少女身上、很明顯地以阿比蓋爾·威廉斯（Abigail Williams）為首的、在此劇中主導整個巫術審判的集體癡症（mass hysteria）？關於這一點，波普金也表示：「這群小孩的邪惡，尤其是阿比蓋爾，被解釋得並不夠多」（145）。又，為何此劇所根據的是一段女巫審判的歷史，寄存的竟是一段近代的政治史？而女巫審判與麥卡錫主義之間有何關聯？既然米勒曾在〈詳解戲劇之歷史精確性〉（“A Note on the Historical Accuracy of the Play”）裡清楚說明了，此作品不應被視為一部學院派的歷史，雖然他仍然期盼「讀者能夠發現人類歷史中最怪異最可怕的眾篇章中之一的精粹本質」（2003: 2），《熔爐》是否還能被視為一部歷史劇？若真如此，那麼涵蓋在此劇中的歷史與文學的關係又是為何？彼此如何互動？米勒劇中主旨真的僅只是以古諷今嗎？

在回答上述這些問題之前，也許應該回顧有關於薩利姆女巫審判的歷史陳述。根據賈斯汀·洛維爾（Justin Lovill）的《史上著名審判》（*Notable Historical Trials*），早在薩利姆女巫審判前，在康乃狄克州就已經有八十件相似的審判以及二十件執行死刑的紀錄（Lovill 336）。另外，自一六九二年夏季後，在薩利姆就有超過兩百人被指控操弄巫術，其中一百五十人當然被囚禁，五十五人被威嚇或折磨到招認她們的罪行為止，且有二十人丟了性命（十九人被吊死；一人被活活壓死）（Lovill 336）。這些著名的女巫審判有其歷史與宗教背景。麻薩諸塞州在一六八四年時失去了她的自治特權，並且被編入新英格蘭的統轄範圍內（336）。新英格蘭的政治不穩定性伴隨著宗教上的焦慮（Lovill 337）。同時，一連串的災難——兩次大火、一次天花、經濟衰退以及捲土重來的印地安人攻擊事件——使得情況每況愈下。除了這些天災人禍之外，新來的移民無法在宗教上獲得他們內心的平靜，因為新英格蘭那些想盡辦法要壓制科學性理性主義狂潮的牧師，正熱切的想認可靈界的存在（Lovill 337）。然而，這些一廂情願的神職人員所面臨的，卻是像薩利姆當地女孩們這類宣稱她們已被施以魔法、在社會上被邊緣化的個人。當這些年輕女孩在法庭上作不利於那些她們所控訴的、在女孩們身上施行巫術的人們之證詞時，這些年輕女孩們和一些法庭內的人表現得就像是患了癲癇和集體癡症（Lovill 338）。甚至，在幾乎所有薩利姆或是英格蘭其他地方的審判中，那些宣稱曾被施以巫術的女人，都作證說囚犯的形體時常出現，把她們捏得很痛、掐她們脖子、咬她們、折磨她們，並且逼迫她們在一本書上簽下她們自己的名字（Lovill 378）。然而，當這些控訴、審判和執行死刑的案件數量持續增加時，女巫審判的狂熱卻開始向這場鬧劇的始作俑者反撲。洛維爾認為，這是因為控訴者開始把她們的目標從被社會邊緣化或易受傷害的弱勢與個人，

轉移到像是菲普斯省長夫人（Governor Phips's wife）、克頓·馬瑟（Cotton Mather）的若干親戚，還有前省長布萊斯萃（ex-Governor Bradstreet）的兒子這一類與政界有良好關係的人物（Lovill 400）。一旦統治階級被拖下水時，審判便開始失去它在統治階級口中所謂的合法性。菲普斯省長甚至開始思考，那些遭到控訴而被關起來的囚犯們，基於他對他/她們好名聲的認知，「無疑地，是無辜的」（Lovill 400）。從洛維爾的觀察可知，他試圖以一種傾向於歷史觀的角度，闡明發生在薩利姆少女及其他可能被施巫術的個人身上的集體癡症之前因後果，他也提到了她們是如何憑藉著她們的控訴，竟能使整個村子淪為集體恐懼的犧牲品（Bonnet 32）。諷刺的是，當她們企圖去挑戰一個比她們更高位的威權或統治階級時，這些操作集體癡症的控訴者最終還是被制止了。

在社會心理學（socio-psychological）上，集體癡症²是一種顯現在超過一人以上的個體身上相同或相似的歇斯底里症狀之現象，當一群人相信他們遭受到相似病疾困擾或是當其中一個體在遭遇一連串壓力之後變得歇斯底里時，集體癡症於焉產生。值得注意的是，目睹神蹟通常都被歸類為一種集體癡症。一旦這最初發作的個體顯現出徵兆時，其他個體也會跟進，開始顯現出相似的症狀，暈眩、肌肉無力、痙攣、頭痛等，都是典型症狀。法蘭克·范斯洛醫生（Dr. Frank Fanselow）指出，集體癡症是一種通常會無意識地回應那些很講求紀律及環境受限制的、深植人心之焦慮的產物。雖然男女兩性皆有可能罹患集體癡症，但在歷史上它還是比較容易發生在女性身上（Bandial）。換句話說，集體癡症通常發生在那些「非常階級化的」、以及「要求一致性與高度紀律」的機構，或是發生在那些人們彼此一致性程度偏高的地方，以致於「他們極易彼此認同，所以任何非一致性或是不服從都不被容忍，而且通常很快就會被懲罰」（Bandial）。針對這點，羅伯·巴索米歐與艾瑞克·古德（Robert E. Bartholomew and Erich Goode）也提議，集體癡症的發生「典型地影響小型的、在封閉環境裡緊密結合的團體，例如，學校、工廠、女修道院和孤兒院」（Bartholomew and Goode）。巴索米歐與古德進一步指出，集體癡症有兩種型態：焦慮型及原動型（anxiety and motor hysteria）。原動型癡症在此值得一提，因其與薩利姆女巫審判中的集體癡症有相似之處。巴氏與古氏對原動型癡症的解釋如下：

原動型癡症在嚴厲的校園與宗教環境等諸如此類過度講求紀律的、令人無法忍受的社會機構中是很普遍的，其癡狀包括突發型精神恍惚（trance-like states）、被稱之為「裝腔作勢」（histrionics）的戲劇性反抗行為以及醫生所說的「躁動」（psychomotor agitation）（懸而未決的焦慮，經過一段長時間的醞釀，造成傳送訊息到肌肉的神經及神經原的活動中斷，引發間歇性的抽蓄、痙攣及發抖）。原動型癡症逐漸地隨時間的推移而出現，通常得花數週或者數月才能平息。（Bartholomew and Goode）

薩利姆小鎮可說就是屬於這種高度講求紀律、嚴苛到令人難以忍受的地方，以致於鎮上的女孩們無法將她們那天在林子裡的儀式中所見所聞實話實說，而阿比蓋爾又對她們下封口令，於是她們選擇了一種抗拒的形式——也就是「躁動」——來反映出那個「人們無法清楚表達異議」（Bandial）的氛圍。於是，當這些女孩們藉由「裝腔作勢」來訴求她們的反抗時，很難說她們可以為此負責，因為她們幾乎都是被阿比蓋爾所逼迫利用。對此，筆者不禁要問，難道沒有任何人可阻止這種裝腔作勢嗎？對於這點，范斯洛醫生建議：「處理癡症（歇斯底里症）的發作時，必須了解到的是，它是在哪種力量和哪種階級關係的範疇內發生的」（Bandial），而

² 集體癡症（mass hysteria）：其他英譯包括 collective hysteria, collective obsessional behavior, group hysteria, collective delusions, conversion disorder, or mass psychogenic illness.

「最有效的衡量標準，就是將集體癥症的患者和其團體中的其他成員隔離開來」(Bandial)。顯然，這個方法在一六九三年當菲普斯省長(Governor Phips)處理薩利姆女巫審判時，並沒有被當權者採用過。

在閱讀《熔爐》時，讓讀者膽顫心驚的也許不是集體癥症本身，而是阿比蓋爾如何惡劣的操弄它，而更令人驚訝的是，她操弄它的熟練度竟直逼專業，遠遠超越她的前輩，也就是那些佯裝有管道可以直通靈界、以便能在其教區「壓制科學性理性主義狂潮」(Lovill 337)的牧師。第一幕開始時，阿比蓋爾已經顯露出她控制這些女孩和利用集體癥症的野心。貝蒂(Betty)在她失去意識之後暫時清醒時，如此告知讀者：事實上是阿比蓋爾召集女孩們到林子裡集合，在那裡以咒文召喚靈魂，而她甚至在儀式進行中飲血。阿比蓋爾因此對貝蒂大聲咆嘯，並且把施咒召喚靈魂的責任往緹圖巴(Tituba)身上推，聲稱那都是因為緹圖巴教她們巴貝多斯(Barbados)歌曲，使得她們又唱又跳(2003: 10)。其實那是阿比蓋爾自己去求緹圖巴教她們怎麼施咒召喚靈魂的，但在法庭上的衝突過程中，阿比蓋爾卻對緹圖巴大喊：「別撒謊！」繼而向霍爾告狀：「她(緹圖巴)在我睡覺時來到我眼前；她總是害我夢到墮落！」(2003: 41)。在貝蒂第二次暈厥過去以及普羅克特進入貝蒂房裡探視她之前，阿比蓋爾甚至惡意的威脅眾女孩：

「倘若妳們哪一個人膽敢說出關於其他事的任何一個字，或即將說出一個字，那我將會在某個恐怖的黑夜裡來到妳身邊，而且我保證會帶著令妳顫慄的銳器，然後我會讓妳哀求永遠不想再看到太陽下山！」(2003: 19)

除了恫嚇他人之外，阿比蓋爾老是說謊，但她卻總是怪別人謊話連篇。她堅持「普羅克特太太是個多嘴的騙子」(2003: 12)，只因為她愛上普羅克特，而她知道普羅克特是不會因為她而離開他妻子的。在第三幕時，在法院裡，首先她「偽善地要求得到一個她配不上的名聲」(Dukore 47)，並且藉著玩弄人們對魔鬼和巫術的恐懼心理，威嚇著他們，然後她再假裝看見某樣東西，藉此來逐漸控制法院裡全場氣氛。譬如說，她一邊很「明顯地顫抖著」、一邊說：「那是一陣風，一陣風！」(2003: 101)，而且就像是她還沒鬧夠似的，阿比蓋爾「發出一種奇異的、野蠻的、淒厲的哭聲，並朝著天花板尖叫」，再忍住哭聲說：「你為何來此，黃鸝？」(2003: 106)。而當瑪莉·瓦倫(Mary Warren)正在法庭裡作證時，這些由阿比蓋爾領導的「哭喊著」的女孩們重覆著瑪莉所說的每一個字和動作，由這些重複的話語和動作所產生的緊張情緒，在文本上讀起來的壓迫感已經非常排山倒海了，可想而知，若此劇被搬上舞台後，它的效果會有多麼震撼：

瑪莉·瓦倫：她們在玩耍中--！

女孩們：她們在玩耍中！

瑪莉·瓦倫轉向全都歇斯底里的她們並且頓足：艾比，住口！

女孩們頓足：艾比，住口！

瑪莉·瓦倫：住口！

女孩們：住口！

瑪莉·瓦倫，用盡所有肺活量並舉起她的拳頭大喊：住口！！

女孩們：住口！！

瑪莉·瓦倫已完全分不清了，變成她被阿比蓋爾和女孩們的完全定罪所擊潰，她開始啜泣，雙手無力地半舉著，而所有的女孩也像她一樣地開始啜泣。(2003: 108)

當她的同伴們正忙著重覆瑪莉所說的話和所做的動作時，阿比蓋爾可沒閒著，她也忙著繼續「看著上面的鳥」，並且往上指著說：「翅膀！她的翅膀在伸展！瑪莉，拜

託，不要，不要--！」而且就像是這一切還不夠誇張似的，她又哭喊著說出一些只有在奇幻世界才會發生的事：「她要下來了！她走在光裡！」(2003: 109)。最後，阿比蓋爾這樣結束她的個人秀和女孩們的團體表演：

她[阿比蓋爾]和所有女孩跑向一面牆，遮住她們的雙眼。這時，就好像全被困在角落一樣，她們發出巨大的尖叫聲。而瑪莉似乎也被影響了，開張她的嘴，也跟著她們尖叫起來。然後，阿比蓋爾和女孩們漸漸離去，直到後來，瑪莉一人被獨留在那裡，往上瞪著「鳥」看，瘋狂的尖叫著。(2003: 109)

很顯然地，阿比蓋爾是表現出歇斯底里症狀的始作俑者，而其他女孩只是隨著她一起進入集體癡症（集體歇斯底里症）。然而，阿比蓋爾做為此集體癡症團「團長」的時間並沒有持續多久。在第四幕，當她意識到，不久之後，在薩利姆也將會有像在安多佛（Andover）一樣的、因為女巫審判所帶來的不公不義指控與定罪而引起的暴動時，她趕緊偷了她舅舅的三十一鎊，連夜乘船逃離薩利姆(2003: 117)。

米勒對於這些由阿比蓋爾引領的女孩集體癡症的精彩描述，意味著他對這種似乎是人性中奇異面向的關注。就如同他所說的：「對我而言，在薩利姆發生的歇斯底里事件，似乎有某種或數種我們會加以複製的內化程序，而或許藉著揭露那程序之本質，能讓我們對自身的所作所為投射某些看法」（2003: xi）。在他的《戲劇集》（*Collected Plays*）的引言裡，他再次強調：

「驅使我的不只是麥卡錫主義的興起，還包括一些看似更加奇異和神秘的事件。事實上，一個極右翼政治上的、客觀的、博識的宣傳戰有能力創造的不僅是一種恐懼，還包括一種新的主觀現實，一個真正地逐漸呈現甚至是可怕共鳴的盲目崇拜。」(qtd. in Budick 128)

這個比「麥卡錫主義的興起」還要「更加奇異和神秘的事件」，無疑的就是集體癡症。如果巧妙操作，集體癡症可以成功的將恐懼與狂熱主義注入到社群中。「所有的歇斯底里都會製造不公不義，因為歇斯底里否定了個人良知，也摧毀了理性實證的標準」（McGill 263），麥吉爾如是說。集體癡症也許會輕易的被企圖控制社會上被邊緣化者的任何團體所濫用，但是它卻不被容許去挑戰統治菁英。筆者認為，讓米勒真正震撼的也許不只是集體癡症本身所帶來的恐懼，而更包括了掌握著高位和比任何女巫或麥卡錫主義更強大的實權之精英，而這精英深諳如何操縱人們因懼怕巫術、共產黨等諸如此類事物而產生的集體歇斯底里症。阿比蓋爾也許不是精英，但是她為一己之私操弄其他女孩的行徑，與米勒所想要指涉的對象如出一轍。

而如果真是這樣的話，那麼米勒何不乾脆就在劇中直指此現象，而選擇在他的創作中將歷史角色特質與若干情節與以虛構（像是在劇作中普羅克特和阿比蓋爾的年紀以及他們之間的關係，和史實所記載的都不符）？顯而易見的，在文學以創作之名而提供的保護之下，米勒不需要依照嚴格的歷史精確性的規則，以至於他能夠以自己的目的與需要改寫歷史事件，就像歐文·李本納（Irving Ribner）在定義何為歷史劇時所說的：

歷史[劇]的意義……並非在於為了過去本身的緣故而去呈現有關於過去的事實；它在於如何為了教誨目的而運用過去，而書寫歷史之作家，不管為戲劇性或非戲劇性，都可自由變更其素材以便更能達到他們教誨的目的。（8）

《熔爐》即是這樣的劇作。米勒在其自傳《時光迴旋》（*Timebends: A Life*）中曾表示，為了此劇，他曾親訪薩利姆，視察與翻閱有關審判女巫的檔案。米勒回憶道：

……在一九五二年一個冷冷的春日，我是在歷史學會『女巫博物館』裡唯一的訪客，這裡毫無遺漏的收藏著麻薩諸塞州薩利姆巫術的文件。在那時，這個機構鮮為外來的學者所知，但自從我的《熔爐》一劇銘記於人心之後，就

更加經常為人所拜訪。³我的目光被加了框的、描寫一六九二年薩利姆悲劇冗長法院會議記錄的蝕鏤畫和木雕所吸引。……畫裡畫的是受到精神折磨的無辜女孩們恐懼地指著某位秘密地虐待她們、但卻驕傲地藐視她們這種基督徒式控訴的農夫的老婆。不遠處，在一個巨型的展示窗裡，突顯的是教堂或是法庭，隱約可見一位法官、十五位左右的下級部屬，和穿著及地罩袍、蓄著像先知一般的落腮鬍的基督教牧師，極其憤怒的看著這個不可思議的、被魔鬼驅使的、如鐵似石的被告者。(42)

若說米勒創作此劇有任何教誨之目的的話，那便是，在本劇中，他自由地變更他在『女巫博物館』裡接觸到的歷史素材，期盼讀者隨著他的筆觸，重新審視控訴者、被告者和主持正義者三方的「真實本質」。米勒重塑歷史也是為了傳達他個人的意見，他一方面關注薩利姆女巫審判中的集體癡症如何被操弄，一方面也對那些在他的時代裡被麥卡錫主義陷害的人們寄予同情。如果說《熔爐》所「記存」的是薩利姆女巫審判與集體癡症的過程，它所「寄存」的便是麥卡錫主義的權威獨裁系統，而使這兩者間有共通點的，一是「麥卡錫主義」一辭等同於「獵巫」(“witch hunts”)的說法，二是劇中人物及當代世人對「宣告姓名」(“name names”)的定義。

為何麥卡錫主義會和「獵巫」此辭彙相連結？在冷戰時期，美國人因為害怕共產主義在國內橫行，對親共人士加以調查審訊、甚至逼到讓人走投無路，⁴而這種捕風捉影、任意為之的查緝行為，喚起人們對女巫審判的記憶，以至於人們將「非美調查委員會」對涉嫌親共人士的控訴與脅迫，視為等同於獵捕女巫的行徑。也許米勒想要表達的是，若有人操弄這種對共產主義的恐懼，就等於是操弄對魔鬼/女巫的恐懼。至於宣告姓名的問題，則皆體現在米勒劇中與現實生活裡。就如同畢茲白注意到的，每次當主角「哭喊他自己的名字」時，他就決心「要賦予他自己的姓名意義與完整性」(Bigsby xii)。歐尼爾也觀察到，某些在薩利姆社區的人們「從姓名所授予的意義」(O'Neal 116)中獲得他們的力量。然而，當那些女孩們在法庭裡召喚姓名時，她們卻意在羅織任何一個名字被提及之人的罪名，而那些「哭喊的」女孩們在這場「僅只提及姓名」的鬧劇裡各個是行家，以至於創造出一種唯有在魔幻世界裡才得以見到的奇異景象(O'Neal 116)。就像先前其他無端被「非美調查委員會」要求抖出所謂親共共犯的當代美國人一樣，米勒自己也曾面臨過這樣當眾宣告他人姓名的關鍵決擇。在《熔爐》出版後的第三年，米勒被傳喚至「非美調查委員會」前，被要求供出他人的姓名以便拯救他自己。米勒拒絕，並表示：「我正試著去、而也將會保衛我自己的理智。我不會供出另一個人的名字而給他添麻煩」(qtd. in Miller 2003: xiii)。米勒也知道，若他這樣做，「他在一九五六年那時的拒絕宣告姓名將會招致不愛國的指控」(2003: xxii-xxiii)。因此，在此劇中，米勒不但記述並存放薩利姆女巫審判的史實、以古喻今，也欲藉此一史實抒發對於麥卡錫主義橫行之己見，將他個人對人性良知的堅持，以修改歷史記憶的方式，寄託在字裡行間裡。換句話說，個人良知、普羅克特在面對死亡前不願意出賣自己姓名的擇善固執與阿比蓋爾操縱集體癡症，遂成為米勒此劇的創作主軸，在這主軸上，米勒試圖營造出非黑即白之善惡對立的戲劇張力，此種創作手法確實符合李本納對於歷史劇的見解。

³ 注：《熔爐》於一九五三年一月二十二日登上百老匯。

⁴ 傅建中在他的〈最後的「中國通」戴維斯〉一文中證實道：「麥[卡]錫時代(原譯：麥加錫)，凡是在中國服務過、並被指為親共的人，日子都不好過，一度是蔣介石政治顧問的拉鐵摩爾(Owen Lattimore)在美國無法立足，不得不去英國教書餬口，漢語學家狄帆西斯(John DeFrancis)靠推銷吸塵器維生。」見《聯合報》101年3月16日：A15版。

而對於這種作家傾向於文學裡探究歷史、讀者傾向於涉獵文學來獲取歷史經驗的現象，戈特弗里德·馮·赫爾德（Gottfried von Herder）則提醒我們，歷史的研究也應該是藝術的研究：

在各種各樣的思考形式、各種各樣抱負和各種各樣想望的詩歌迴廊裡，我們從而了解各時代與民族，這比經由誤導和悲慘地學習她們政治與軍事歷史的方式更加直接。從後者這樣的歷史，我們幾乎不能學習更多有關該民族的事跡，而是她如何被統治以及她如何被滅亡。但從她的詩歌裡，我們卻學到她的思考方式、她的慾望及需要、她歡慶的方式，還有她如何被自身原則或喜好所駕馭。（qtd. in Gallagher and Greenblatt 6-7）⁵

赫爾德的觀點解釋了為何人們偏好文學甚過歷史：當文學逐漸累積各種思想與創新時，歷史似乎萎縮成一個涵蓋政治與戰爭事件的小範疇，而假若歷史之記述者是那些享特權並需要扭曲史實以支持其自身論述的精英份子時，該歷史便極可能會誤導其讀者。

然而，如果認為菁英的影響只針對歷史而非文學的話，這種想法未免太天真。約翰·艾里斯（John Ellis）在他《失落的文學》（*Literature Lost*）一書裡提出警告，統治階級現在正極力維護政治正確的政體，不願看到文學總是不斷檢視「由人性意志薄弱所造成的缺點」（Ellis 27），抑或是人性險惡面，也就是「殘酷、嗜殺、復仇、忌妒、貪婪」（Ellis 17）等特質。這些特質既能反應出現實面，又能與其所指涉的過去之事做個對照（Ellis 3）。而這個政治正確的政體，以「制度上減省的正統派慣型」（Ellis 11）武裝自己，企圖操縱「文學正典和科學探究」（Ellis 11），來做為控制社會的形式，並使這兩種範疇對他們有利，以便「對低下階級進行洗腦」（Ellis 19）。於是，高文化（high culture）變成了「統治菁英控制社會的機器之一部分」（Ellis 5），而異議者所能期待的不只是長久以來都存在的被批評，而是「被公然抨擊成既是個背德的被逐者又是個真正的傻子」（Ellis 11）。艾里斯憂心，如果政治正確入侵校園，它會感染到整個大學課程與研究，然後「任何不切實際的、但國家領導人認為有用的理論便會主導整個學術界」（Ellis 7）。身為一位政治正確評論家，艾里斯認為，就像是「一個徹底的西方現象」（“a thoroughly Western phenomenon”）（Ellis 15），也像是衝著經濟面向而來的馬克思主義（Ellis 31），這一個失去耐性的、任性的驅策事物臻至完美的政治正確力量，終將帶來毀滅性的後果。艾里斯因此提出忠告，我們應該容忍西方文化是個不完美的文化，必須承認它在「把我們從一個自然狀態的野蠻主義中提升」、在「廢除許多人類殘酷禮節」、在「給予我們民主政治組織」以及「在文學哲學上貢獻非凡視界、深度、複雜性的人類思想的紀錄」（Ellis 32）等面向上的成功。至於我們現在和這個既帶來優點也帶來缺點的西方文化間的關係，艾里斯則建議，我們可以在它之上有所建樹，擴展它、修正它；但是如果我們放任政治正確以其特有的烏托邦式承諾，認為政治正確能取代西方文化，而來打倒西方文化的話，那我們只能怪罪自己了（Ellis 32）。艾里斯的憂患意識不也和引起米勒書寫此劇本的動機是一樣的嗎？當米勒根據歷史寫成此劇時，在劇本中延伸歷史，也修改了歷史，並且拒絕讓任何政治正確（比如說，麥卡錫主義）入侵他的劇作，對筆者而言，這與艾里斯的理念不謀而合。

值得一提的是，艾里斯並非是唯一對政治正確提出警告的學者，從下列四位學者的論述當中或許也可以嗅出端倪。查德維克·韓森（Chadwick Hansen）在一九六

⁵ 此處筆者之所以將「時代」與「民族」中譯為「她們」及「她」，乃因尊重原文中以“she”指稱此兩辭彙的關係，並無任何性別歧視之意。

九年出版的《薩利姆巫術》(*The Witchcraft at Salem*)一書當中，對一六九二年的薩利姆女巫審判這件在美國歷史上引起騷動的插曲給予讀者有別於傳統的詮釋和深思熟慮的重新評估。韓森認為，十七世紀時，在新英格蘭區確實有施行巫術的情事，就像同時代歐陸也發生同樣的事一樣，但是那些受到精神折磨的人們的行為並不是騙人的，而是病理學上的。她們在臨床上是所謂歇斯底里症，而非真如一般人所謂的被施以巫術。同時，牧師們也沒有像他們之前被指責的那樣，從獵巫這件事情上面得到好處或啟發；相反的，他們是集體癡症的主要反對者。另外，卡羅·卡爾森(Carol F. Karlsen)在一九八七年出版的《以女體示現的惡魔》(*The Devil in the Shape of a Woman*)一書中則指出，那曾經在十七世紀末侵襲新英格蘭的獵巫的歇斯底里症，至今仍縈繞在人們心頭。卡爾森鉅細靡遺的描述被迫害成為女巫的女人們，提醒人們，對女巫的恐懼和獵捕女巫，其實就是更深一層的一種性別上、宗教上和經濟上的緊張狀態之體現。而在二零零三年，姜翠芬在其〈現代西方戲劇中的巫術：《熔爐》的個案研究〉一文中，則直指國家或社會機器操控巫術審判以遂其政治與宗教目的之黑暗面。姜翠芬認為，「藉由尋巫或懲罰/排除女巫巫士來規訓人民」，國家、社會及法律機制便能得到人民的忠誠度、中央集權及司法權，而教廷在信仰一致下則可得到宗教淨化，但是「這樣的集體運作竟是比黑巫術更邪惡」(30)。斯坦頓·埃文斯(Stanton M. Evans)則在二零零七年所著的《被歷史列入黑名單的人：參議員麥卡錫不為人知的故事以及他與美國的敵人的戰鬥》(*Blacklisted by History: The Untold Story of Senator Joe McCarthy and His Fight against America's Enemies*)一書中，為參議員麥卡錫平反，認為麥卡錫「不需要為與他點關係都沒有的事情承擔責任，(比如說參議院委員會對好萊塢親共人士的調查，經常被算到麥卡錫頭上)」(9)。埃文斯試圖以另一種歷史角度來釐清參議員麥卡錫個人與麥卡錫主義之間的不同。該書旨在打破繞著麥卡錫轉的這個迷思，也就是他與他所從事的政治活動--揭開在美國政府裡臥底的共產主義者，並提供了第一手精確的資料，說明麥卡錫究竟在冷戰時期的美國做了些什麼事，藉此希望能全盤顛覆我們原先對麥卡錫本人、麥卡錫主義與冷戰時期的了解。雖然筆者一時無法證明前述著作中，除了姜翠芬的論述之外，其他三本書是否與米勒的歷史劇《熔爐》有直接關聯，但筆者仍認為這些與歷史劇主要議題重疊的、在該歷史劇出版之後才陸續出現的歷史研究與論述，仍能夠用以說明歷史與文學是可以相互辯證和相濡以沫的，而史實也是經由這樣的辯證後，呈現出其他判讀方式的可能性，且說明真理是愈辯愈明的。

我們都心知肚明，對大多數人而言，與其去衝撞權威，不如總是順從來得好，尤其是當事人正冒著生命危險時，更是如此。我們也了解到，是個人良知支撐住他(或她)去毅然堅決的拒絕說出他人的名字，就像是當普羅克特期盼賦予他自己生命意義時所做的一樣，「但如果他透過背叛他人的方式(也就是『宣告他人的名字』)背叛了他自己的話，他便無法做到」(2003: xxv)。因此，能見到有些人在人類歷史上的重要時刻，如此誠心為他們的個人良知而毅然赴死，著實令人感佩。也正因如此，他們使他們自己的名字與人格更加值得注目及為人所知。像《熔爐》這樣的歷史劇如此地提醒我們，進而暗示我們應該睜大眼睛看清楚，是什麼人還是哪種機器正在壓制我們的個人良知，而被用來壓制它的又是何種工具。波普金說得對：「任何一個對《熔爐》最後的註解都必須強調它是一個兼具情節與懸疑的劇作」(146)，因為他發現「《熔爐》是一部既大膽又超越時代的劇作，誕生自一個國會調查權帶來相當程度迫害的年代」(140)。有些新歷史主義觀點，像是權力關係和「經由協商與交換使歷史表象具有可能性的策略」(Colebrook 26)，似乎沒能提供像《熔爐》這樣既緊湊又錯綜複雜的文本任何更創新的觀察。《熔爐》將歷史事件之「真實本質」與當代

政治活動交織在一起，並且激起人們不斷地去辯論文學與歷史之間關係，而這種關係，也可被看作是一種以文學「記存」歷史也「寄存」歷史的關係。米勒並非只意在以古喻今，不管是無心或有意，他提供讀者一個在他劇作裡審視文學與歷史間之關係的契機，在此人們會發現文學可以填補歷史未能詳述之空白，特別是當大多數的歷史都是由具優勢的菁英們所寫成，而這些優勢菁英們絕不會承認他們會操控歷史書寫，即便他們總是想要這樣做。至於集體癡症的問題，那只不過是菁英們用來操弄的工具罷了。職是，以文學記存/寄存歷史，或更精確的說，以歷史劇記存/寄存歷史，遂提供人們一個在文學裡接收歷史記憶、型塑歷史經驗的新的時序與空間，允許人們對史實進行情感的延伸與真理的辯證，而藉由閱讀這樣的文學作品，以及參閱其他與其歷史相關的論述，人們便更能意識及反思歷史的多層面向，發覺歷史並非黑白分明⁶而是充滿各色光譜，這就是歷史劇記存/寄存歷史的獨特性。

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⁶ 筆者認為，歷史並非黑白分明，但是文學創作內容是可以黑白/善惡分明的。

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深層生態學的綠色言說： 勒瑰恩奇幻小說中的虛擬奇觀和環境想像

蔡淑芬*

摘要

美國生態批評運動的領軍人物勞倫斯·布伊爾 (Laurence Buell) 提出一個觀點：若我們同意存在先於社會實踐，那麼「環境無意識」就比「政治無意識」更為深入地嵌入一個文本。為使環境無意識浮顯出來，生態批評可對文本與環境關係，透過多樣化的修辭與重造世界的巧思來揭示藝術是如何展現環境性，重新把現實事物（包括內在、外在、自然、非自然的身體）拉入自身的結構肌理，思索存在的本質、危機和可塑性（51）。

本論文將以上述觀點，以娥蘇拉·勒瑰恩 (Ursula K. Le Guin) 的作品為例，探討她多樣的寫作策略如何透過奇觀 (spectacle) 呈現環境乃形塑集體文化和個人成長的關鍵因素。勒瑰恩小說裡有許多精彩的虛擬奇觀，本論文將舉例分析如下：

1. *The Left Hand of Darkness* (1969) ——本小說最為人稱道的雌雄同體的性別想像，是透過一場 800 哩的冰原長征歷險烘托出來的。但批評家很少分析文中描繪冰原景觀的細膩筆法。其中暗含的修辭策略刻意呼應陰陽並存、黑白並列的道家思想，和人類在自然環境中的脆弱與偉大。
2. “Vaster than Empire and More Slow” (1971) ——本故事敘述一太空船隊登陸一陌生的星球 “World 4470”。這個星球沒有動物，只有植物。沒有聲音，只有風的吹拂和一片無邊無際的寂靜。人類覺得自己入侵了這樣的寂靜後，為此產生莫名的恐懼，發生了被襲擊的恐怖事件。離奇的劇情把原本「外在的、無聲的」自然，內化成了人類「心中恐怖的、有聲的、無所不在」的存在。
3. *The Dispossessed* (1974) ——這部小說鋪陳在烏托邦長大的主角，因為不滿集體制約的壓迫，自我放逐到「資本私有」的母星烏拉斯，然後在兩種制度與價值裡迷惑、試煉、「死亡」與「再生」的故事。烏拉斯的山川殿堂、人類文明都是人間景象的變形濃縮。作者採取陌生化的誇張描寫，對環境性進行編碼重組。在此小說語言不僅是「再現世界」，再現更成了一種工具，主角對環境的認知就是他們的內心狀態具體呈現。憑藉它我們也改變對消費文明的立場。

更廣義的說，環境扮演了設定人類所處位置的角色。同時，故事中虛擬的奇觀反射出的「環境詩意」，也是小說總體關懷的「巨/具」象。筆者認為這樣的環境修辭創造了一種特殊有力的綠色言說，最終濃縮成一幅深層生態學的景象。這種特殊的環境修辭想達到的目的是：外在的「小我」之旅終究通向內在的「生態的大我」開顯。

關鍵字：生態批評、環境、奇幻文學、修辭、景觀

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Green Discourses of Deep Ecology: Fictional Spectacles and Environmental Imagination in Ursula Le Guin's Three Fantastical Stories

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Abstract

Laurence Buell, a leading eco-critic in America, proposes a way of seeing the world—if we agree that “where of existence precedes the what of social practice, a text’s environmental unconscious is more deeply embedded even than its ‘political unconsciousness’” (44). To make “conscious” the environmental unconscious, therefore, an eco-critic might approach the reciprocity between text and environment, with diverse rhetoric skills and imaginative world-making, to illustrate how art claims environmentality through acknowledging the present reality (including inner, outer, natural or non-natural body) as essential components to rethink the nature, danger and flexibility of one’s being.

With the above perspective, this essay will study the impressive environmental spectacles in three fantastic stories by Ursula K. Le Guin to discuss how Le Guin’s versatile writing strategies make us aware of the hidden force of environment as a vital power to shape our collective and individual self. The discussion will include the following sections:

1. *The Left Hand of Darkness* (1969) is a science fiction most praised for the creation of “androgynous” people on an exotic planet called “Winter.” The story reaches its climax when the two heroes escape together to the deadly Gobrien Ice. However, it I seldom discussed about how the natural wonder of Ice-fire coexistence spectacle on the Ice plateau is deliberately created to illustrate the central theme of this novel—the Chinese Taoist philosophy of “Yin-Yang” forces as opposite but complimentary forces.

2. “Vaster than Empire and More Slow”(1971) is a short story about an exploration team landing on a strange planet, “World 4470.” This planet has no animals, only planets. Thus no voices could be heard here besides infinite silence and wind blowing. Humans have a strong feeling of intruding this serene planet. And for this, a fear grows among them and the fear grows bigger after a sudden attack happens. The unusual imagination concretizes the mysterious green as an active, powerful and omnipresent force.

3. *The Dispossessed* (1974) is a future story in which the hero exiles himself from his home Anarres, an “anarchistic communism” utopia, to escape to the neighbor planet Urras, on which the dominant living value and economic-political system is “capitalistic consumerism.” With the literary devices of exaggeration, re-arrangement and sarcasm, the geography and civilization on Urras are condensed epitomes of our postmodern world. The author seeks to “de-familiarize” the “capitalistic consumption” epistemology we take for granted with the hero’s shocking experience of “nausea” when he is exposed to the overwhelming spectacle of “shopping mall” on Urras.

The fictional spectacles in these stories are impressive dramatized pictures—including the

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subversion of “dualistic” gender bias, the counter-attack of the mysterious green world, the abolishment of capitalistic politics and the revolutionary “anarchist” “communist” utopia— which are also persuasive green discourses of “deep ecology.” Ursula K. Le Guin’s diverse environmental rhetoric, viewed all together, points to one common destination: the journey of the physical self will never complete until it leads to the revelation of the ecological “Self.”

Key words: eco-criticism, environment, fantasy, rhetoric, spectacle

一、前言

娥蘇拉·勒瑰恩（Ursula K. Le Guin）在 1978 年出版了《蒼鷺的眼睛》（*The Eye of the Heron*）。這個中篇小說雖然採用了星際航行的情節，內容卻與未來科技或星際戰爭無關。小說真正的基調，並不「科幻」，而是如一開場的寫實筆調所刻意營造的「物我神交的綠色浪漫」：

在陽光下，樂夫交叉雙腿坐在環狀戒指樹的中心，低頭看他的手，一隻小的動物窩棲在他溫熱的手掌上，樂夫並沒有出力托住它。是這隻小動物自己決定或同意要停在他掌上。這動物看起來像一隻長有雙翅的蟾蜍；暗褐色的翅膀在背後折收，上面是一條條深色的紋路，而它的身體是淺色的。它的三個金色眼睛就像針頭般地裝飾它的頭部，一側一隻眼。第三隻眼在頭殼中間。中間往上的那隻眼睛注視著樂夫；樂夫向它眨眼。這時它變了：粉灰色的羽翅突然在它折起的翅膀下擴張開來。轉瞬之間，它就像一顆羽毛球，很難看得透，因為它的羽毛或翅膀一直在顫抖，模糊了它的外形。慢慢地，模糊消失了。這有翅膀的蟾蜍跟前一刻一樣站在他眼前，不過現在它變成淡藍色的了。它用它倒數第三隻後腿搔了搔它左側的眼睛。樂夫露出笑容。這時，蟾蜍、翅膀、眼睛、腳都消失了。一隻像蛾一樣形狀的東西停在樂夫掌上，幾乎肉眼難辨，因為除了它那深色紋路的圖案以外，它全身的顏色幾乎和他手掌顏色一樣。它靜止不動。慢慢地，藍色的翅膀出現了，金色的眼睛持續著看著樂夫。它在它的手掌和手指的曲線上行走。它那六跟腳，溫暖地抓、放，非常輕巧、非常準確。它停在他的指尖上，屈著頭部用它的右眼看樂夫，中間那隻眼在掃視著天空。接著它整身變成一隻箭，射出二倍於原本身體長度的透明翅膀，毫不費力地滑行，往戒指樹另一側陽光照耀的斜坡飛去。

「樂夫？」（你在哪裡？）

「在和窩停蝶（wotsit）交談呢。」他站起來回答，加入站在樹圈外的安迪。（1-2）

上述是以詩意的語言來傳達人在自然界中，震驚於造物之美，而有身心消融於萬物合一的神秘經驗。不論是對主角的全神貫注，或對窩停蝶的動作變化的細部觀察，都給讀者一種忠於寫實的「自然書寫」的錯覺。這樣的錯覺來自於以綠色題材為主的文學，在創作心理上有基本的雷同之處——正如卡梅龍（Sharon Cameron）在分析梭羅（Thoreau）的手札時，有感而發——「書寫自然就是書寫我們的心如何看到自然，有時候也是在寫我們的心如何看到它自己」（44）。如此說來，自然書寫是以寫景的寫實筆法來映照內心想要覺知自己存在位置的渴望。作家的「心」，不想無知無感、對周遭的一切麻木不仁。有關「心」的敏感與醒覺，正如批評家洛維克（Scott Slovic）在分析自然作家的創作心理時，進一步提出的解釋：自然書寫的目的在達成「提升人類的注意力，警覺人類在自然界中的位置」（3）。

比起忠於現實細節的寫實小說，科幻小說是以更大的自由去活用任何材料，借用各種筆法，造出另一個世界，讓原先「隱蔽不見」的部分「現形」，以達到提升「注意」與「警覺」的目的。在接受加州季刊訪問時，勒瑰恩曾說：「科幻小說允許作家創造，去發明——不只是一個新的世界，而是新的文明」（qtd. in “Introduction to Ursula K. Le Guin” 1931）。透過想像社會與人性的各種新可能，勒瑰恩能更有效地批判現實的世界。她對既有的生存模式與道德體系的精彩提問，大力延展了科幻小說這個

文類的深度與廣度，因此她的科幻小說甚至會被標上「思辯小說」(Speculative fiction) 的名稱。《黑暗的左手》(*The Left Hand of Darkness*) 和《一無所有》(*The Dispossessed*)，都是科幻經典中最為出名的例證。

六零年代末期到七零年代是勒瑰恩創作的高峰期，這時期正好是環境運動在美國正式開展的年代。在同一時期，挪威的生態學者內司 (Arne Naess) 也提出了「深層生態學」(deep ecology) 的概念，批評當時的環境運動大多是治標不治本的「淺層生態學」(shallow ecology) 的解決方法。內司認為當時環境運動的中心目標是為了保護已開發國家人民的健康和福祉，所以著重反對環境污染和資源耗竭等「表面」問題上。內司想以一個更整體的觀點，找出造成環境危機的社會與人文的根本病因。所以「深層生態學」是一種具有哲學深度的反省。「深層生態學」強調如果想要根絕環境問題，就必須先扭轉當前偏差的哲學觀或主流的世界觀 (dominant worldview)，進而改造社會的經濟結構以及意識形態，才能徹底解決環境危機。深層生態學以檢視造成目前各種環境危機的「主宰的世界觀」的弊病為起點，然後提出新的替代觀或價值體系。內司統稱這種替代的「世界觀」為「生態哲學」(ecophilosophy)，並將他將個人發展出的世界觀命名為「生態智慧」(ecosophy)。生態智慧與哲學倡導的核心理念是萬物皆有其內在價值，並且相互依存，所以小我不能脫離生態的大我而存在。人類必須以共存共榮的互助平等觀，替代階級性、競爭性的「以我為主」的霸權思維。內司認為對主宰的世界觀提出質疑與改革的努力，並不是學者的或環境專家的專利，而是各行各業的人都能貢獻所長，加入思考，以促進「深層生態運動」的開展與新世界觀的到來 (185-203)。

勒瑰恩的作品也緊扣著當代的脈動，藉由奇幻小說，提出新的文化與價值觀，洋溢幫世人開發生態學者布伊爾 (Laurence Buell) 提出的「環境無意識」(22)。「環境無意識」一詞指的是一般人對環境的敏感與依存一直在潛意識中，對環境的重要性沒有強烈的覺知。但是透過提點與刺激，這樣的無意識，會被啟動復甦成為「顯意識」。作家的貢獻，就是藉由想像力的開發，幫我們疏通「壓抑的鬱結」，讓無意識得以開展 (Buell 22)。勒瑰恩透過多樣的寫作策略彰顯環境乃形塑集體文化和個人成長的關鍵因素；她更藉助奇幻小說的「天馬行空」「無所不能」，顛覆既有的價值體系，創造出新的文化、新的世界與革命的價值體系。本篇論文將基於上述觀點，以勒瑰恩的三部作品為例，探討勒瑰恩如何透過奇觀 (spectacle) 的創造，對文本與環境關係進行三種模式的思考——修辭模式 (rhetoric)、表演模式 (performanc) 和重造世界的模式 (world making)——重新把現實事物 (包括內在、外在、自然、非自然的身體) 拉入自身的結構肌理，以此來展現環境性，思索存在的本質、危機和可塑性 (布伊爾 51)。故事中的虛擬奇觀反射出的「環境詩意」，是創作者環境關懷的「巨/具」象化。筆者認為這樣的環境修辭，投射出的新思維與新世界觀，創造了一種特殊有力的深層生態學的綠色言說。以下就三部作品出版的年代次序，分別討論於後。

二、《黑暗的左手》(1969)：陰陽共生的天然奇觀

《黑暗的左手》(*The Left Hand of Darkness*) 成書年代正逢第二波女性運動、黑人民權運動、反越戰的歷史浪潮。身為女性作家的勒瑰恩在當時革命怒吼的氛圍中，也贊同若沒能廢除父權體制、發動性別革命，那麼全新文化的創造，是無法達成的。在此小說出版的前一年也正逢人類首次登陸月球的盛事。當時的美國社會徘徊於性別種族的紛爭、外星人入侵的想像中。《黑暗的左手》透過主角和外星人的接觸，分

析了「我和他者」之間的相互恐懼和排斥，大多肇端於人種性別的偏見和溝通模式的誤解。《黑暗的左手》透過新人種、新文明的大膽發明，提出「身體」是一切文明的基石的想像與論述。此處的身體指的不僅是個人的肉體，也包含了我們賴以維生的外在身體——環境。作者創造了雌雄同體的外星人（格森人，又稱冬季星人），並且具體描述其獨特的生理狀況。這種平常是中性人，但在發情期，才會因對象的反應，變成男性或女性的生理，也影響其思想文化和社會結構。

因為極端的寒冷氣候，加上沒有飛禽動物，冬季星沒發展出飛行器具，戰爭模式也停留在原始部落的對峙模式上。勒瑰恩為了寫實地呈現冬季星的凜冽氣候，自創了許多與冰雪相關的字詞來描述長年寒冷的氣候如何反映在語言文化上。再者，為了寫活冬季星的冰冷環境與雌雄同體的人種產生的特異文明，其中的神話傳說和修行哲學，也和當地的自然環境與雌雄同體的生理密切關連。

故事的主角是星際聯盟第一個登陸冬季星的機動使節，真力·艾。真力·艾是一位地球人男性，透過他的眼睛，讀者不得不反思性別如何制約我們的思想、舉止和反應模式。雖然早已心裡有數，但是艾在接觸冬季星上的卡亥國人時，還是無法避開以地球人的性別意識來衡量經歷其中的人情事故。在真力·艾看來，冬季星人是祖先幾世紀前實驗下造出的人種，加上他來自的科技文明是比冬季星高度進步的星際聯盟，所以一開始艾就把雌雄同體的冬季星人看成「不正常」的人種。而他後來也慢慢明白，自己在冬季星人的眼中，也被看成「性別不正常」的怪物。在冬季星上，來自卡亥國的貴族——埃思特梵——是唯一相信他是來自外太空的和平使者，並且給他大力支持的有力人士，然而艾與埃思特梵的對話依然難以脫離身為地球男性對女人根深蒂固的偏見：

……雖然我已經在冬季星待上將近兩年，還是很難從人們的眼神讀取其心意。我努力試過，但我的心思非要把一個格森人先當成男人，後又當成女人，這種分類…與其本性毫無關係，只和我自己攸關。於是我啜飲著熱騰騰的酸啤酒，心底想著，埃思特梵的餐桌儀態非常陰性，充滿魅力與機智，缺乏實質內涵，就是靈巧且滑溜。難道就是展現在他身上的機靈柔滑的陰性特質，導致我不喜歡他，並且無法信賴他？很難把他當成女人，他黑暗、反諷、有力的形體在我身邊，在火光外的黑暗處。然而，每當我試圖把他當成徹底的男性，我就是會感到某種虛假感或惺惺作態；那到底是源自於他，還是我自己看待他的態度？他的聲音柔和且宏亮，並不低沉，很難說是個男性的嗓音，但也很難說是個女性的嗓音……現在他到底在說什麼呢？（28）

身為第一任登陸的使節，真力·艾對自己外來者的身份和自身對異種的偏見相當敏感。儘管如此，他還是無法避開以他的從小養成的性別思維對雙性冬季星人做出了錯誤的判斷。在這個星球，並不會發展出諸如「保護／被保護」、「支配／服從」、「主動／被動」二元對立的思維模式」（114）。事實上，那一整套瀰漫在整個人類思惟的二元性思考，在冬季星上，可能全然無用，甚至造成障礙。這位首任的女偵探員也對後來的觀察員發出警告：

當你遇到一個格森星人，萬萬不可做出那種異性分化人種自然而然會做的舉動，就是將他劃歸為女性或男人，又依你預期與同性或異性人類之間既成或可能的交流模式，將相對應的角色套在對方身上。我們那一整套的社會性別互動模式，在這裡從不存在。他們不玩這套，他們不把彼此當作女人或男人來看待。這樣的情況我們根本無從想像，更遑論接受。我們對一個新生的寶寶的第一個問題是什麼？（114）

作者繼續挑戰讀者如何去除男女有別的思維，以及如何去除語言裡的性別色彩。例如：不能把冬季星人當成「它」，她/他們並非無性人。又指出人類使用的語言缺乏卡西娣語言的「整體人類」的第三人稱代名詞。所以首任的女性探員在記錄時，指明：「我一直忘記：我所面對的卡亥德人不是個生理男性，而是個生理雙性綜合體」（115）。女性探員最後警告：「如果派遣出第一個機動使節，…除非此人非常有自信，或是年老體衰，否則此使節的引以為傲的（性別化）質素會受挫。男子會想要他的男子氣概得到認可，女子會想要她的女性氣質受到讚賞；無論那樣的認可或讚賞是以多麼間接或微妙的方式呈現。在冬季星上，沒有這種事物存在。每個人的方式，都只當對方是一個人類個體之身受到的尊敬或評價。這真是驚人的經驗」（115）。

「雌雄同體」這樣特別的生理、心理，連同與他們的社會制度與思想文化，都與地球的性別文明截然不同。在第二波女性主義顛峰時出版的《黑暗的左手》，無疑地是作者對她當代主流的性意識——把男性與女性視為相互競爭的對立勢力——的回應。雌雄同體的發明要挑戰讀者的固有觀念並且顛覆西方根深蒂固的二元對立的思考模式。在1976版的《黑暗的左手》裡，勒瑰恩寫道：「《黑暗的左手》是『思想試驗』（thought experiment），這個詞是史考丁格（Schrodinger）和其他物理學家使用的。『思想試驗』的目的不是去預言未來…而是用來描述現實，描述這個當前的世界」（*Language of the Night* 155-56）。換句話說，透過思想試驗去造出一個他者的世界（“other” world）以便和當今的現實作對照，並且提供另一種可能的生存方式。小說家以此種方式，幫助大眾更瞭解自己，瞭解這個世界，思考以後的未來要如何前進。

真力·艾的根本困境正是他和冬季星人各自都有無法去除的性別意識。在旅程初期，他經歷了所有他認為理所當然價值判斷完全無用的可怕經歷。儘管費盡心思思想移除溝通的障礙，他本人對「他者」的害怕與不信同樣發生在冬季星人和他互動上。艾在卡亥德國的溝通任務失敗後，轉往鄰國，奧爾戈國。在途中，他得知埃思特梵因為替他辯護的緣故，已經被放逐了。奧爾戈國是個極權專制的國度，那裡的政治人物，比起卡亥德國人，更為心胸狹隘，思想保守，不可能相信星際聯盟這種天方夜譚。真力·艾後來被判為敵國派來的秘密間諜而遭到逮捕，被送往邊界的勞工農場，逐漸在酷寒勞動中死去。在死亡之際，埃思特梵探知他的行蹤，把他救出，兩人一路輾轉到達邊境，開始穿越勾布林冰原的逃亡之旅。

作者安排了一段將近三個月、長達八百哩的跨越冰原之旅。透過對這一段沿旅程沿途奇觀的寫實描述，勒瑰恩以自然的語言呼應了本書的核心哲學：陰陽不是對立，而是相生的，正如冬季星人的特殊生理構造是雌雄同體一樣。真力·艾和埃思特梵在逃亡過程的第九天，終於登上了海拔六千哩的高處：

……那是高曠的臺地，四處充滿了各種造山運動與火山化歷程的例證，我們就位於珊班暹地理區的火燄山群。……我們來到隘口盡頭時，雨雲層逐漸稀薄、撕裂開來。一股冰冷的北風把雲雨整個驅散開來，裸裡出峰脊上方、位於我們左右兩邊的高峰群。

在那片突然乍現的晴空朗日之下，間雜著玄武岩與積雪，行成華美絕倫的黑白拼圖。就在我們眼前，就在幾百呎之下，是一座扭曲的谷地，充斥夾雜著冰層與巨礫，同樣由那股狂烈席捲的冷峰給彰顯出來。越過這些谷地之後，豎立著…一堵高聳的冰牆。我們不斷把視線提升，在高牆的邊口，看到了冰原的本體：勾布林冰河。這坐大冰河令人無比目眩神迷，無邊無際，一直延伸到極北。那是一整片冰白，是肉眼無法注視的森然冷白。黑色脊峰不時從…冰原的邊陲處高聳升起。…就在那邊，瀰漫一股長達好

幾哩的濃煙。更遠處還有高峰、尖頂，以及黑色的熔岩堆，立在冰河之上。從冰上列開的嘴口焰光蒸騰，噴喘出一股股煙氣。

埃思特梵站在我身邊，…我們注視這一幅難以言喻、壯麗蒼茫的絕景。「我很高興，自己能夠活著目睹如此景觀。」他這麼說。我深有同感。……

…我們…開始滑行馳騁——往下方、往北方、往前滑行，滑向那片火與冰交融的沈靜廣域。就在那片領域之上，壯闊的黑百字形書寫著死，死亡橫互於整個大陸。……（253-54）

這一段長達將近三個月的逃生之旅，沿途是山脈峽谷、冰河罅隙、火山正噴出岩漿與火熱，但全都籠罩於寒冬風暴的遺世荒涼。真力·艾紀錄著兩人窩在八呎寬的帳棚內，「埃思特梵熟睡的呼吸聲非常輕微，…除此之外，別無其他。我們兩人相依為命，…在一切核心深處安歇。一如往常，在帳棚之外是壯觀宏偉的黑暗，寒凜，以及死亡的孤絕。…我酣然入睡…在恆持的瞬間，那是一顆溫暖的心臟」（277）。在孤高的冰原上，只有兩個單獨的個體，遠離了社會文化的桎梏，共同面對殘酷的自然，唯一的目的就是活下去。作者把複雜的人際糾葛，回歸到最單純的生命經驗：人與人在大自然裡的相遇、相依與共存。真力·艾和埃思特梵，沒有別的選擇，不是一起死就是一起活。在彼此的陪伴與死亡的威脅下，真力·艾開使用「我們」來代稱自己和埃思特梵，並視他們兩人為「一」（one）。艾開始意識到「性別」阻礙了他和埃思特梵的真正溝通，他省悟：

…我終於懂了，自己一直以來害怕去正視、於是假裝毫不了解的那一點：他同時是個女性，以及男性。非要解釋那份恐懼源頭的需求已經消失不再，…我終於徹底接納他之所以為他自己的一切。在那之前，我不但拒絕他，也排斥他的真實。他說得不能更對了：在格森星上，他是唯一徹底信任我的人；但在所有的格森星人當中，我唯獨不信任他。在這個地球上，他是唯一把我當人類來看的人，把我當成個個體來喜愛，付出全然的個人忠誠情感；於是，他理應要求我以對等的態度回應，正視他的自身，接納他之所以為他。我一直不願意給予這份回應，我一直害怕給予。我一直不願意…給一個會變成女性的男人，給一個會變成女性的女人。（285）

艾認清自己的盲點後，開始尊重與理解冬格森人的哲學觀，同時徹底反省自己的偏見。一路相伴的旅程中，艾也向埃思特梵解釋地球文明與格森文明的最大差別可能是生理不同而衍生出的不同的思維模式——雌雄同體的特殊生理使格森人發展出完整合一的哲學觀，就如同地球人對「二元思考」的耽溺一樣（269）。埃思特梵進一步指出：文明的核心問題，不只是生理的不同引發的文化差異，而是我把自己與他人劃分開來的對立思維：

「我們同樣是二元論者。只要一直存在著『自我』與『她人』，二元性就必然存在，不是嗎？」

「吾與汝，」他說：「沒錯。畢竟這樣的二元對立遠比生物性別的區隔更廣闊——」（269）

對從無兩性分別觀的冬季星人來說，男女有別的生理、心理與文化觀是難以想像的。討論的過程中，艾坦承：在跟埃思特梵密切相處而建立友誼後，地球女性，比起埃思特梵這位外星人來說，對他而言，更為疏遠。人類溝通的根本習題是如何消化「我」與「他者」或「我」與「你」之間的異同。性別的異同只是其中的一種。冬季星人的哲學觀認為對立的元素並非無法溝通的分離個體，而是能彼此辯證、修正，甚至可以整合成一體的圓。跨越冰原的極限體驗讓真力·艾逐漸明瞭這種新的視野。在

極度的寒冷中，他體會與另一人心連心的溫暖。在最黑暗的時刻裡，他體驗最無私的兄弟之情與最純潔的無私大愛。完成三分之二的旅途後，真力·艾在埃思特梵的記事本上畫出道家的陰陽太極圖，對著他解釋這個象徵性符號，「就是『陰陽』。光是黑暗的左手……光亮與黑暗，恐懼與勇氣，寒冷與溫暖，雌性與雄性。都在你……之內，席倫[埃思特梵的名字]。你兩者皆是，你是白雪上的陰影」(308)。

透過極地景觀的塑造，勒瑰恩呈現了一幅嘆為觀止的圖畫：黑百顏色的火山與冰河對比，極冷與極熱的共存，無人之處的冰涼荒原上襯托著兩個遺世獨立的溫熱軀體。就在這個浩瀚無邊的圖畫中，在相互依存的生命關頭，主角真力·艾終於覺悟。自我與他者/外星人相處之道必須跳脫各執一端的偏見，以雷同於道家的陰陽共生、黑白相依的整合思維，誠心接納，相互了解。就像埃思特梵引述的那古老歌謠所歌頌的二元整合觀：

光是黑暗的左手， Light is the left hand of darkness
黑暗是光的右手。 And darkness the right hand of light
雙身合一，生命與死亡， Two are one, life and death, lying
並肩躺臥，如情慾勃發的愛侶， Together like lovers in kemmer
如緊握的雙手， Like hands joined together
如同終點與道路。 Like the end and the way (268-69)

正在美國社會徘徊於性別種族的紛爭、外星人入侵的想像中，作者在書中，透過主角和外星人的接觸，分析了「我和他者」之間的相互恐懼和排斥，大多肇端於人種性別的偏見和溝通模式的誤解。在小說中，埃思特梵扮演了站在時代尖端的先知角色。他在一開始就能突破對外人的恐懼(xenophobia)，為了把同胞帶入更高層次的人性進化，而力挺一位素不相識的外星人。因為這樣他成為叛徒，被迫流亡，最後如耶穌上十字架般犧牲了生命。他的死讓隔離已久的葛寒星人與其他文化再度連線。他的死也成就了真力·艾的精神再生。真力·艾在生死歷劫的大難中深刻地體認在酷寒的大自然中，只有人和人之間單純的信任、合作、和愛，容不下政治陰謀，文化、種族、性別偏見的荒謬和傲慢。

三、〈比帝國更大更慢〉(1971)——神秘的綠

〈比帝國更寬廣更慢〉的主題是人與大自然的關係。這個短篇小說是一則朝未知之地前進的冒險故事。小說的人物是一組由來自不同種族、星球、專長與性別的十人「極地探險偵察特組」，其航行目標是在宇宙地圖上標示為「世界 4470」的星球。探險特組的組員首要的是阿司那尼佛宜爾(Asnanifoil)，他是個男性數學家，也是領航人。其他成員包括男性波洛克(Porlock)，專長是「硬科學」(諸如化學，物理，天文，和地理，等等)。男性馬濃(Mannon)則是軟科學家(心理學，病理學，人類學，生態學，等等)。哈費克斯(Harfex)是男性生物學家；歐勒羅是位女性的助理應用科學家；阿司卡瓦那是男性工程師；哈愛託則是一位女性，也是總協調人(Coordinator)。在他們當中，只有一位的資格遭到所有隊員的質疑——那個人就是偶思登先生(Mr. Osden)。據說偶思登是第一位被完全治癒的孩童自閉症患者；他必須接受治療的原因是因為他那天賦異稟的神入能力(power of empathy)。勒瑰恩把他的神入能力作了詳盡的描述：

……神入能力〔心理學名詞譯為「移情」能力〕：適切地說，是廣泛的生物感應的接受力(bioempathic receptivity)。偶思登的天分並不受限於特定的物種；他能接收到他能感覺到的任何東西的情緒與感情。他能感覺一隻

白老鼠的情慾，被踩扁的蟑螂和被拍照的飛蛾的痛苦。到了外星人的世界，如果能知道任何近的東西是不是有感情生物，以及這個生物對外來人的感覺，這種能力會有幫助的。上級單位如此決議。所以偶思登的頭銜是全新的：他是探險小組的感應器（sensor）。(97)

「偶思登可以聽到『探險組員和其他物種的』感覺，不管他願不願意」(95)。他的神經敏感性人格，自我防衛的態度和灼傷人的話語，常會讓探險組員們陷入眼淚和憤怒的漩渦。雖然如此，發生的困境也讓所有人更加緊密地結合。馬濃甚至說：「或許他是被派來的攻擊怪獸。是泰拉人所認為的替罪羔羊。也許到最後，他帶來的影響是有益的」(99)。

馬濃的評論預示他們在外星球降落後即將發生的事。這個星球是個無人星球，是一望無際、綿延不絕的綠色草坪和森林廊柱形成的迷宮。一旦身在其中，他們不禁反應得超乎正常的過度敏感，正像偶思登那樣。這個標示為「世界 4470」的綠色行星，一開始被這樣描述：

開始區域分析後，他們在微生物裡找不到任何動物。這裡沒有誰吃誰。所有的生命形式都是光合作用或腐屍生長，只靠著光亮和死亡，不依賴殺生。植物：無止境的植物群，沒有一種是地球人認識的。看不到盡頭的陰影以及各種層次的綠色、紫色、粉紅、褐色、紅色。永無休止的沈寂。只有風在動，搖晃著大小樹葉，溫濕的颯颯作響，帶著孢子和花粉。風在吹，帶著甜蜜的淡綠塵埃落於大草原之上，拂過沒有石南科植物的荒原，和沒有花朵的森林；那裡從沒有過任何足跡踏過，沒有任何眼睛看過。這是個溫暖傷感的世界，哀傷、平靜。探索隊員像是來荒原野餐的人，閒逛著，走過陽光照耀的紫色卵孢類植物，對彼此輕聲細語。他們知道自己的聲音會打破幾萬年的沈寂——風和草，草和風，不間斷地吹著，又吹著的沈寂。他們輕聲地說著；他們是人，他們說話。(101)

探索隊員有一種強烈的感覺，覺得他們入侵了這片純淨的綠色世界，一個沒有「殺生」的殘酷事實的新世界。所有的一切都那麼夢幻似地平靜，沒有人侵入的污染。硬科學家波洛克的第一反應是對「感應能力」的懷疑。他認為「全部都一樣。沒有心智。沒有變化。一個人單獨在這裡會發瘋的」(101)。但是不久之後，波洛克手發著抖，眼睛睜大地報告說：「有東——在森林裡——」；「有某種東西自己在動……在樹林裡……正走向我，穿過樹枝……很大——至少跟人一樣大……我看不到……它有目標。想由後面攻擊我」(105)。然後大家彼此討論著：在森林中，人們的感官很容易被幻覺干擾吧。然而，所有人都很難否認的共同經驗是：一進入了森林都會感覺到某種涼意，覺得在樹底下會不自在，甚至覺得有東西在後面監看(106)。

所以隊員們決定兩人一組（偶思登除外，他一個人）在靠近營帳的不遠處偵察。他們定時回報，直到有一天，偶思登在林中被由後腦攻擊。這個暴力事件後，他們開始產生「有智慧的植物，植物怪獸，心理投射」等猜想(109)，有被森林圍獵的懼怕。偶思登清醒後，他對自己的意外給了一個「移情神入」的答案：

我在地上。沒辦法起來。臉埋入土中，在柔軟的樹葉層裡。它進入我的鼻孔和眼睛。我沈浸去了，成了它的一部份。我知道我在兩棵樹中間，雖然我看不到他們。我覺得我能感受到樹根。在我下面的土壤裡，一直一直往下。我的手都是血，我可以感覺到，血讓我臉上的土感覺黏黏的。我可以感覺到恐懼。它一直擴展。好像他們終於知道我在那邊，躺在他們上面，他們中間，在他們下面，他們害怕這個，但這個也是他們恐懼的一部份。我沒有辦法停止回送這樣的恐懼，所以它一直增長，我動也動不了，跑不

開。我覺得我要昏倒了，然後恐懼回到我身上，我還是動不了。他們也動不了。」

陀米寇覺得頭毛直豎……「他們：歐思登，誰是他們？」

「他們，他——我不知道。恐懼。」(113)

偶思登，像其他隊員一樣，沒看到、也沒聽到任何動物。但是後來他們都感覺到「恐懼」不只在樹中間，也在草地中，甚至在風中，吹遍了這個星球。馬濃進一步分析荒原的草地可能有類似頭腦的細胞，可以連接彼此成一個整體。「…沒有個別的植物，…甚至花粉都是整個連結的一部份，不用懷疑，有一種風形成的智慧物，連接到了海洋以外……所以這整個植物的生物圈應該是一個聯絡網路，很敏感、非理性，生生不息，跟其他世界脫離…」(122)。最後偶思登做出結論：「它是一個整體。一個巨大的綠色思維」(122)。

後來他們又發現，因為人的出現，在這個綠色世界裡製造了對他者的恐懼。陀米寇要求偶思登「對森林，對那裡的恐懼送出訊息——告訴它我們不會傷它…我們會是無害的，我們是友善的」(119)。然而，偶思登回答卻是沒有人能夠發出假造的感情訊息。一旦人們對神秘的大綠色有了恐懼，他們能回送的就是恐懼。同樣地，森林的心傳出的只有恐懼，因為那正是它對外星人的感覺。由森林的反應，偶思登終於明白，他過去因為恐懼而自衛，想把自己由人群中抽離。這樣的自衛抽離，只會製造違背情感的自我增強的關閉循環，永遠走不出去。唯一能做的是培養「一種情感的和緩共振，一種信賴、和諧的共鳴…這樣他們就必須對同情、憐憫，和微小的愛的改變做出回應」(121)。有了這番醒悟後，偶思登明白逃避和自衛都不是解決的辦法。對付恐懼的唯一辦法是「對它整個投入」，「在這裡生根，沒有敵人。完完全全地…沒有入侵。沒有他者。成為一體…〔跟這個綠色世界〕」(123)。

其他隊員也同意偶思登的領悟。陀米寇說，「只憑一個人類的頭腦就能看出無數星星和銀河系的梗概，把它解釋成愛……」(125)。故事到最後，偶思登志願返回森林，把「拒絕的信息」轉為「愛的訊息」。整組人員把他載到那一大片黑色波浪的森林，讓他降落。偶思登單獨進入森林後，沒再回來。所有人都找不到他。這篇小說在移情共感的超越中結束：

……可是他已經在那裡了；因為再也沒有恐懼。理性的陀米寇，認為理性高過沒心智的綠色經驗，她試著以理性思維來理解偶思登的做為。但她無話可說。偶思登已經把恐懼一身承擔，接受它，而且超越了它。他放棄了自己，投向陌生人，沒有保留地投降，沒有留下空間讓邪惡可以生長。他習得了它者的愛，也因此把他的全部給了出去——這絕對不是理性的詞彙可以描述的。(127)

在這篇小說的序言，勒瑰恩發出感慨：「科幻小說缺乏對『綠色是什麼』的真正興趣」。她哀嘆「植物的完全被動，以及他們拒絕被工業生產的替代品所取代（我們可已有鐵馬，鋼製老鷹，機器頭腦，但不能有機器麥田吧）」(83-84)？〈比帝國更大更慢〉表現了綠色的被動力量大到不能被忽略。許多人單獨在荒野中的時候，都有相同的感受：那是一個直接訴諸我們感官和情感的能源磁場，大到我們無法招架。故事的結局定格於一個神秘的畫面——一個人對未知的神秘力量謙卑地臣服，就像一個孩子回歸母親的子宮——這個畫面跟我們當前無情地砍伐森林的事實形成強烈的對比。

作者把短篇小說的標題命名為〈比帝國更寬廣更慢〉，其意義非常清楚地明示：自然之存在要比人類創造的帝國更寬廣。儘管自然的力量是寂靜的，它的運轉速度

緩慢無聲，卻是推動我們生命的根本存在。透過異域科幻探險的離奇情節，環境扮演了設限人類所處位置的角色和態度。人類由原本的理性至上的主宰者，轉為極端敏感的外來者。包裹於神秘的綠之中，人類必須學習由衷、謙卑與愛的傾聽，才能融入當地的環境，找出可能的和諧溝通之道。

四、《一無所有》(1974)——人造奇觀

《一無所有》(*The Dispossessed*) 鋪陳在去除私有財產制的革命烏托邦長大的主角薛維克，因為不滿集體制約的壓迫，不得不選擇自我放逐、回歸「資本私有」的母星烏拉斯，然後在兩種制度、兩種價值裡迷惑、試煉、瀕臨死亡與再生的故事。整體看來，這部小說是薛維克的「無我」的人格與世界觀之學習、試煉與成熟的過程。由生態論述的觀點看來，《一無所有》可說是一部朝「環境轉向」的烏托邦教育小說的先驅。勒瑰恩的創舉是將「資源匱乏」這個「反烏托邦」的限制性因素，逆向操作，開啟了政治理念豐富的實驗空間。透過科幻烏托邦的顛覆想像，《一無所有》探索在資源匱乏條件下，我們該思考以何種整體性的革命改造，重塑政經制度、生活價值，與生命哲學，以面對未來環境變遷的衝擊。

故事時間安排在地球因為資源耗盡，已經幾乎成為廢墟的未來世界；這時往外移民的地球人代表接觸了兩個生活制度全然不同的雙子星球——安納瑞斯星與烏拉斯星。早期，烏拉斯人來安那瑞斯星開發的只限於短期停留的採礦聚落。烏拉斯星的愛依歐國(A-Io)爆發前所未有的大罷工後，為了平息紛亂，在世界政府會議的調節下，和革命份子簽下開墾協議，允許他們移民至安那瑞斯。雙方也同意除了交換必要的稀有物資外，兩個星球從此不相往來。安那瑞斯雖然是烏拉斯的姊妹星球，環境條件卻相當懸殊。安那瑞斯是「乾燥、寒冷、風又大的地方」；沙漠地形居多，耕地有限(105)；「這個星球最高等的生命型態就是魚和不會開花的植物。空氣就跟烏拉斯最高海拔處一樣稀薄，日如火燒，風如寒冰，沙塵我們令人窒息」(106)。因為存活困難，這裡甚至沒有動物，嬌嫩的開花植物也不可能自然生長。雨量有限，必須建淡水廠，洗澡用水配給嚴苛。兩千萬的人口的食物和衣物全部來自赫倫樹的樹葉、纖維和樹根。大家都是素食者，一天兩餐。

資源匱乏的客觀現實讓資本主義的「任意消費」的「自由」，在此根本不能實行。但也因為環境的限制，恰巧便利實施去除金錢交易、資本私有的無政府共產主義。在此的居民自小被教導：個人的生命意義不是「擁有」，而是「利他」與「分享」。安納瑞斯社會無論在制度設計、在思想、語言和性別教育上，要將上述的共識、理念與價值，完全內化，成為集體的信仰。私有制度的貪慾、不公、與威權暴力是造成個人不滿與集體叛亂的原因，必須從語言、思想、制度各方面，全部消除。

深切明白語言和言行模式息息相關，第一代的革命開墾者，發明了新的語言——帕微克語(Pravic)——以擺脫烏拉斯的思考習性，來形塑理想的新社群。帕微克語把階級與擁有的重要性降到最低。¹ 連接名詞的冠詞大多不用所有格，以避免助長私有的觀念。例如 my mother 會以 the mother 代替。當主角薛維克的女兒莎蒂要借手帕給他時，她不說：「我把我的手帕借給你」，而是「你可以和我共用[我帶的手帕]」

¹ 例如：烏拉斯語言會把「更高」(higher) 這個字當成「更好」(better) 的同義詞，而安納瑞斯人就會使用「更主要的」(more central) 的講法，以避免階級高低的比較思維(23)。安納瑞斯人的稱呼也不加頭銜以彰顯自己的特殊身份(薛維克不習慣烏拉斯人稱他「薛維克博士」)(14; 23)。帕微克語也沒有罵人的髒話或監獄的用字(因為根本沒有監獄)。

(339)。在人際關係方面，也不能有私有的想法，如兩性關係、父母與子女的關係，也必須給予對方絕對的自由，沒有人可以永遠屬於誰。²

合群與去除私有欲的教育，由小開始。由小嬰兒開始，就要學習「去自我中心」。長大後的薛維克，連在課堂上的討論，都不能強推自己的見解，要注意語言是「一種分享、一種分工合作的藝術」(36-37)。物理天才的薛維克就因為常有「解構」的犀利想法，讓老師同學啞口無言，被以不夠合群為由，當場訓斥。所以所謂的「整體的一部份」的社群倫理，在一些情況下，卻變成排除異類、自我壓抑與盲目順從的集體暴力。

烏托邦的原初精神是出自人性的不滿現狀和求新求變的創造力，可是安納瑞斯的革命烏托邦，經過兩個世紀的經營，墨守成規，不知變通，逐漸把革命理想變成教條與法律。土地貧瘠、資源匱乏的現實，使得「過量就是廢物，留在身體裡的廢物是種毒」這樣的口號，變成信仰，還形成一種講究功能主義(functionalism)至上的實用價值觀。創作的藝術必對社會大眾有益，才會得到肯定。特異、花俏、離經叛道的創作，自然會被邊緣化，不會被採用和流傳，因為那是浪費。

「一無所有」國度中的「解放的自由」經常變成痛苦的選擇，或是因為匱乏對集體生存的造成的威脅，讓他們沒有更好的選擇。薛維克的成長故事，在兩個極端中搖擺著——在群體中，持續不斷的個人質疑和挫敗，同時，也學到互助與犧牲奉獻的真情。到了中年的薛維克，身為一個物理天才，跨不過安納瑞斯因為自我封閉、停滯不前的困境。被逼到盡頭的他，打破禁令，自我放逐到烏拉斯，希望在革命的開頭，找到答案。

與安納瑞斯的單調貧瘠全然不同，烏拉斯星的資源豐沛、物種多元，而且自然景觀燦爛多彩，可養活一百億的人口。革命之子的後代，薛維克，終於在170年後，造訪故土。當薛維克外出參觀時，對歐多的故鄉愛依歐國的進步富庶嘖嘖稱奇：

…私家轎車更是少之又少，都是因為稅太高了。這類奢侈品若無限制開放，就有可能耗盡那些無法再生的資源，或是因為資源浪費而造成環境污染，因此都以律法及稅收嚴格控制。…愛依歐國這幾個世紀以來在生態控制與自然資源節約方面都領先全世界，第九千禧年那種毫無節制的浪費已成為過去的歷史。…

…他還看了亞凡省許都農地、湖泊、山丘，也看了愛依歐的心臟地帶，還由密堤區北邊地平線那白色而壯麗的山峰。這片土地上的美、人民生活的康樂，這一切對他而言是無止境的驚喜。這些導遊說的是對的：烏拉斯人知道如何善用他們的星球。(93)

薛維克對烏拉斯的初步印象是個自然富美、文化昌明、科技進步，人人能自由向上的美麗世界。在安納瑞斯薛維克被教導烏拉斯人「都很腐爛，全都不公正、邪惡和沒用的廢人」(93)。可是這裡的鄉下農夫都是溫飽、勤奮、充滿自尊的。這跟他以前所得的資訊完全相反。薛維克還發現：私有財產也並不完全不好，「因為粗心的工人根本無法讓農田變得那麼美，也沒辦法做出一流得汽車與舒適的火車。利益帶來的誘惑與衝動，比人性主動所帶來的效用更大，這推翻了他以前的觀念」(94)。更可貴的是在這裡有豐沛的資源能支持薛維克致力於理論研究，有才情相當的學術社

² 安納瑞斯沒有婚姻制度。人與人的聚散是自願來去的，沒有法律上的束縛。語言當中，沒有形容性行為的占有性用語。相愛的兩性可以向外宣示其「伙伴」(partner)關係，申請同居一房。伙伴關係，跟其他群體的關係一樣都是自主的「承諾」。個人有追求改變的自由，而承諾與誓言是個人選擇了確定方向後的自我限制。能否持續下去，依靠的是個人的良知，不是外部的制裁力量。

群可以盡情交流，解答疑惑。薛維克愛上了烏拉斯，他覺得自己回家了，和過去長遠的歷史連線，跟他的從未謀面的同胞再度攜手。還有烏拉斯的鳥鳴、動物的奔跑、繽紛的花開種種自然的驚奇，這原本就是他該享有的美。他不清楚為何祖先們要由這片富庶的土地出走？安納瑞斯除了人聲之外，沒有鳥兒唱歌，「一切除了寂靜，只剩下貧瘠的土地」(88)。

起初，烏拉斯的生氣蓬勃與新鮮亮麗很讓薛維克動容、羨慕。接待他的愛依歐國是個資本經濟掛帥、財閥式的寡頭政治的階級社會。儘管階級是流動的，下層階級有機會可以靠一己之力往上攀升，古老的特權階級依然存在，兩性關係是男主外、女主內，科學家清一色是男人。勒瑰恩對愛依歐國的描述——包括消費文明大肆橫行的文化現象、被物化的女性、無產階級革命失敗的流血衝突等等——都是父權歷史的重組與再現。因為透過來自「一無所有」的主角薛維克的眼睛，勒瑰恩的修辭非常合理的，以一種「懷疑精神進行環境的再現」(布伊爾 53)。懷疑修辭中刻意採取誇示的手法，對歷史現實加以「陌生化」以造成藝術的震驚效果。讀者不得透過主角的視野，對現代文明「另眼相看」。

薛維克在烏拉斯有許多「聳動」的經歷，是以華麗誇示的文字，把歷史的傷痛與困境加以外化。薛維克到達的第二個禮拜，同事薩歐·巴耶帶他去「購物」，以換掉他那身粗陋的沙漠裝。他們來到泥歐愛沙亞這座都市的精品零售街：

整個經驗實在令他相當迷惑，…之後好幾個月，他都會做這些惡夢。信德里迷亞區有兩哩長，到處擠滿人潮、車流，以及代售或拍賣中的商品，例如那些在不同場合（睡覺、游泳、玩遊戲、下午派對、晚宴、鄉村聚會、旅行、上戲院、騎馬、從事園藝、接待客人、划船、吃飯、打獵）穿的各樣衣著（外套、衣服、禮服、長袍、長褲、馬褲、襯衫、短衫、帽子、鞋子、襪子、領巾、圍巾、背心、披肩、雨傘），剪裁、樣式、質地、顏色、材料，有上百種花樣；還有香水、時鐘、燈臺、雕像、化妝品、蠟燭、圖像、相機、遊戲、花瓶、沙發、水壺、猜謎遊戲、枕頭、洋娃娃、過濾器、腳凳、珠寶、地毯、牙籤、日曆、嬰兒用的水晶手把白金波浪鼓、電子削鉛筆機、鑲鑽手錶、小雕像、土產、小飾品、紀念物、便宜貨、古董…每件東西不是原本就毫無用處，就是以裝飾掩蓋了原本的功用。這裡到處都是奢侈品，到處都是廢物。(143-44)

以上的敘述，對於習慣消費文化的現代人是再熟悉不過的場景。但對來自資源欠缺的安納瑞斯，並且已經將實用儉樸的美德完全內化的薛維克來說，以上的經驗不僅是物資氾濫的疲勞轟炸而已，更是「不道德」的浪費、病態的物質崇拜。在金碧輝煌的商店街裡穿梭的薛維克舉目望去，所有的物品都有價格，甚至包括博物館內所有的圖畫畫匡上都貼著標價。許多商店裝飾豪華，物品過度包裝。商店區、銀行、辦公大樓也都是由「巨大閃亮、由石塊和玻璃組成的盒子，寬廣的、雕琢的、巨型的包裹」(225)。薛維克告誡自己要入境隨俗，「在財產主義者（profiteer）土地上，想法就得像個財產主義者，穿著、飲食、行為都得像個財產主義者、是個財產主義者」(225)。但薛維克在其中只感覺「空虛、空虛」。

感到疏離驚慌的薛維克渴望真正的溝通和安慰。他打電話約同事歐依的女性親戚維依出來。維依是典型的烏拉斯女子，言行舉止穿著打扮都十分地「女性化」。愛依歐國的女人跟商品一樣，要極盡包裝之能事，激起觀物者想要的慾望：

維依優雅地躺在矮樹叢高起的坡地陰影下，那兒到處開滿了金黃色的花朵。他[薛維克]在她身旁坐下來。[這裡的女性流行剃光頭；緊身內衣撐

起赤裸堅挺的酥胸；露出的肚臍鑲著寶石。]當他看著她那以白色高跟鞋修飾的纖細雙腳，塔克微[薛維克的安納瑞斯愛人]用過的一個詞彙浮現在他心頭：「身體投機者」：塔克微這樣稱呼那些把自己的性徵當作武器來和男人進行權力鬥爭的女人。他看著維依，覺得她就是那種終結所有男人的身體投機者：鞋子、衣服、化妝品、珠寶、姿勢，她身上的一切都在宣示著挑逗的意味。她是一個如此雕琢與賣弄的女人，使得她看起來一點都不像是人類。她是性慾的化身，那所有依歐人壓抑到夢境、小說、詩歌、畫不完的女性裸體、音樂、加上曲線和屋頂的建築、糖果、浴室、床墊裡的性慾。她是餐桌上的女人。(230)

「餐桌上的女人」是女人被物化成性對象的生動比喻。在愛伊歐國，女人不能受正規教育，所有決策都是男人完成的。女人必須冠上父親和丈夫的姓氏，是男性的所有物。當薛維克對維依說：「你知道你在男人眼中是一個物品，一個被擁有、購買、出售的物品。因此你一心意想要玩弄擁有你的人，或是復仇…」時，維依卻反駁說：在安納瑞斯的女人如果一整天都必須辛苦工作，甚至在礦坑裡挖礦的話，那麼給她機會「脫下靴子，讓她泡精油浴，把毛剃掉，穿上一雙漂亮的量鞋，肚子上戴上一顆鑽石，噴上香水，她準會愛死的！」(232-33)

在「一無所有」的薛維克眼中，愛依歐國的消費社會本身是個性別不平等和公民不平權的階級社會。透過薛維克與愛依歐人的對話，作者暗示在資本主義私有制度的思維下，不容易發生內在變革與尋找烏托邦的動力，因為就像愛依歐國的炫麗美好可以刻意忽略平民窟的存在一樣，現代的消費社會提供的物質享受與生活便利已經讓我們身陷其中、養成了慵懶「被動的人格，感到自己無足輕重」(佛羅姆 7)。一般人覺得自己的負責跟選擇，影響有限，所以得過且過，不思改變，這是目前推動環保運動成效不彰最大的癥結。

愛依歐國是個資本主義經濟的父權社會，有言論自由，允許偏左派反對黨的存在；與之相對的是無產階級統治的集權國家，夙烏。低開發的國家般畢利爆發革命時，這兩個大國都出兵入侵，戰爭一觸即發。讀者可以輕易地認出般畢利就是越南，愛依歐國就是美國，夙烏就是蘇聯。非常明顯的，愛依歐國暗指的是 1974 年的物質消費與科技文明突飛猛進的美國現況，同時反應了蘇聯與美國之間的國際競爭。作者傳達了當時新左派學者對後工業文明的批判：自由經濟的消費自由是個假象，無法隱藏自由競爭過程中必然累積的心理挫折、壓力與不滿 (Reynolds 79)。

《一無所有》對當代物慾橫流、消費主義掛帥的描繪，就筆者看來，相當寫實，並不虛誇。然而透過來自不同文明的薛維克眼中，她的修辭，透過夢魘般的精品街與「餐桌上的女人」的誇張性「表演」陳述，傳達了薛維克對烏拉斯的質疑與反感，以此態度進行了「資本私有與消費主義至上」的人造環境的再現。幻想藝術創造了不同於現實的真實(真理)，讓它能從現實中異化出來，這種間離性，或稱藝術的他性(otherness)賦予了藝術一種批判的潛能。透過重組、辯論與對照的筆法，勒瑰恩把烏托邦的「否定美學」推到極致(楊小濱 220-221)。作者對烏拉斯的呈現包含了現代的革命歷史，但同時也能超越、反抗、甚至顛覆讀者「理所當然」的現實。憑借語言，我們獲得關於烏拉斯的大環境的知識；藉著語言，我們也逐漸改變對烏拉斯的觀點。透過作者刻意的剪裁與安排，讓讀者看到烏拉斯人炫耀金錢的衝動，表現在東西的品味上的模樣，正是我們當代生活的翻版。烏拉斯的物質奢華刺激一種不由自主的由貪慾引起的消費，到了最後，「經濟競爭的衝動扭曲了追求自然與美麗事物的天性…只是在追求機械的奢侈享受」(158)。這樣的消費，其實是消耗。對

薛維克而言，這是病態的浪費。

勒瑰恩曾說：「小說家的任務就是說謊」(*Left Hand* xii)。但說謊編故事，不是為了逃避或耍弄，而是為了挑戰現狀，說出真實，面對我們不敢面對的難題。當今環境運動的頭號敵人就是資本私有、全球化競爭與消費主義至上的生活方式。勒瑰恩創作《一無所有》的動機就是要挑戰這樣的價值與制度，並大膽地試驗「無政府的共產主義」實踐的可能。《一無所有》細論了安納瑞斯星的「一無所有」的制度與「去私有化」、「集體化」後隨之而來的「矛盾」。同時又以此對照在烏拉斯星上實施的「私有資本」與「階級」「競爭」的價值體系。小說情節在「空中」做結的開放式的結局，對讀者提出邀請：我們的未來是停留在當下的競爭、無止境的慾求、剝削與消費呢？還是要朝著人類能拋棄私有制，擺脫物質私有和競爭思維的「新世界觀」邁進呢？

五、結語

在《愛欲與文明》中，馬庫色(Marcuse)特別借用佛洛伊德，指出想像(phantasy/imagination)的正面意義：

想像把無意識的最深層與意識的最高產物(藝術)連結起來，把夢境與現實連結起來；想像保有了人類心靈的原型(archetypes)，就是那些一直存在著但被壓抑的集體理想與個人記憶，以及禁忌的自由圖像。佛洛伊德幫我們建立了雙重連結，「一方面把性本能和想像」連在一起，另一方面「把自我本能和意識活動」連在一起。(140-41)

佛洛伊德指出人的自我一直處於被撕裂的悲劇狀態，站在現實原則與快樂原則的夾縫中無法兩全。但是想像同時坐擁了現實原則和快樂原則；它能連結潛抑的傷痕、把原欲與集體的理想釋放出來，但又有自成一套的真理價值與規則的言語(不是雜亂無章的囁語)來遊戲玩耍。藝術以美感形式把負面的歷史記憶除罪化，讓現實的衝突，透過集體的夢境的創造，得到調解，使分裂的自我再次統一。

奇幻小說給予勒瑰恩極高的創作自由度，她靈活運用了烏托邦自身的顛覆特性來縫補人類歷史發展到目前為止，出現的失落與傷痕。以和她同一時期的生態學者米樂(G. Tyler Miller, Jr.)的話來說，這些「失落與傷痕」需要一場生態的大革命——「這將是人類歷史上最無所不包的革命。它牽涉了對人類的倫理、政治、經濟、社會、心理，以及科技的規則與系統的全面質疑與改換」(152)。勒瑰恩的科幻小說與一般科幻小說的最大不同，在於其架構雖然套用未來的外太空之旅，但故事的走向和高科技的戰爭或異行入侵的「刺激、懸疑、動作」小說，大異其趣。勒瑰恩小說的「異地冒險」並不全然是光怪陸離的。她虛構的「新環境」都是對原初世界的模擬和想像，描繪的細節有時寫實、有時誇張，呈現的畫面是作者對自然的觀察、歷史事實的重組，以及作者個人對文明的觀察。綜合以上三部小說的奇觀創造，勒瑰恩靈活運用了美國生態批評的泰斗人物布伊爾所歸納的：「把現實事物拉入自身的結構肌理(texture)，作為其自身固有的或者內在的次文本」，以此來揭示藝術是如何展現環境性，重新把現實事物(包括內在、外在、自然、非自然的身體)拉入自身的結構肌理，思索存在的本質、危機和可塑性(51)。勒瑰恩故事的主角大多是孤身一人(即使是小組，人數也很單薄，對當地不具威脅力)降臨異地，讀者跟隨主角經歷無法迴避的自我懷疑、顛覆與重生的試煉時，也同時對人類暨有的文化價值體系提出全面的質疑。

《黑暗的左手》透過雌雄同體的人種和陰陽相生的文明想像，呈現了一個性慾

完全滿足的世界。在冬季星上每個人都可能懷孕，人人都平等地分享和負擔。這裡沒有「不自願的性愛，也沒有強暴一事。…性愛交配活動唯有在雙方相互有意願的邀請之下，才可能進行」(113)。來自地球的主角真力·艾，獨自一人處於這樣的陌生境遇，他習以為常的男女有別的現存秩序被離異了、陌生化了，他不得不瓦解自己，在創傷裡重組，完成革命性的再生。勒瑰恩一再地強調冬季星的「環境」對真力·艾造成的壓力，不只是雌雄同體的生理造成文明風俗的不同而已，更是來自氣候的寒冷和大自然的無情。所以真力·艾的整個轉化過程，剛好是在冬季星的冰河高原上完成的——這樣的發展，不得不說是作者的精心設計。外在環境的冰火共存，和雌雄同體的雙性人與「自我/他者」合而為一的情節推進互相呼應，展望人類能開展出超越性別、種族、自我/他者的新世界觀。

在《一無所有》中，主角薛維克自小在自資源匱乏的「無財產、無政府」的「一無所有」的安納瑞斯長大。習慣「一無所有」的他，到了豐美富庶的烏拉斯後，兩種生活方式的強烈對比，也刻骨銘心地呼喚著讀者對「資源匱乏與否」的「環境淺/顯意識」。《一無所有》的許多場景是人造環境的「誇飾的表演」，和毫不留情的道德批判，以凸顯人類文明的沈疴——階級不公、資本私有，與過度消費。在〈比帝國更大更慢〉中，與大自然合而為一的「綠色」奇觀將被動無言的自然，翻轉成人類無法忽視的無所不在的巨大生命體。面對如此的神秘，人類需要以對等的誠意與愛心，才能消解與自然的嫌隙，以新的態度接納彼此。

這三部奇幻小說整體的敘述效果，散發著精神分析的深度和透視力，對人類當代文明提出犀利的批判，同時也展望了人類未來能打破封閉的小我，完成與他者共存共榮，甚至能融入生物界「大我」的「無我」境界。令人印象深刻的虛擬的奇觀，不管是自然的、還是人造的，形成的「巨/具」象畫面，投射出超越言說的「環境詩意」。這樣的藝術手法創造了一種特殊有力的綠色言說，最終濃縮成一幅深層生態學的景象——人類必須向其他人、異族或非人的一切生存開啟，在一個動態平衡中不斷地調整自己的位置、擴展自我的認知；外在的「小我」之旅終究通向內在的「大我」開顯。

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Hamlet's Calibans as Shakespeare's Politic Barbarians: A Theoretical Portrait of a Colonizer

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Abstract

This paper proposes to read *Hamlet* as a text with post-colonial subtext and its hero as a prototype of colonizer. As demonstrated in the textual analysis, the potent symbol of “hot blood” and the image of barbarism it entails is the subject. What I’m dealing with here is Marxian materialistic motif embedded in a colonial wish—through an intense study on the sociological poetics of that barbarian image, the hero, I argue, can be seen to embody the social being who relies on the sociality of the marvelous to determine consciousness, not the other way around. This paper does not see colonizer as being sinful, but rather man as being problematic, i.e., when man becomes colonizer, he becomes problematic by default. The issue presented here is therefore to correctly interpret the colonizer’s cognitive method in their capitalistic colonial venture.

A homological study of Greenblatt, Kristeva, and texts of *Hamlet* shows that the concept of barbarism could be easily, and probably necessarily, appropriated by the colonizer in the act of colonizing. Kristeva warns that we tend to alienate the foreigners and see them as strangers, barbarians, and enemies. Though we detest and hate them, the barbaric foreigners, who usually live out of meaningful political context, are the Other in ourselves, because it is them that awaken the dormant possibility of the existence of otherness. On the other hand, Greenblatt’s materialistic theory of colonialism calls our attention to a new level of dialectical relationship between Self and Other. Through the power of imagination, particularly “the colonizing of the marvelous,” the colonizer graphically represents the barbarity of the strangers, and creates categories for the benefit of inventory and learning, and finally achieves the goal of “possession.”

As could be inferred from his many philippic tirades, Hamlet is the materialistic man who thinks, speaks and acts like he is superior to other people while engaging in his revenge business. Hamlet insists on looking at everyman and everything with merciless excoriation and even compound the idea of the Self with materialistic thought of barbarism of epical proportions. Alienation seems to bury deep in his soul, waiting to hatch a new Other which will in turn breed a more authentic Self. This paper attempts to show how Hamlet barbarizes the Elsinoreans including kings, subjects, courtiers, friends, family, and the second sex, his mother and girl friend. He even barbarizes himself to purchase persuasion. With his ghost father, he seems blind-folded, since as an intellectual, he seems to hold no grudge against his monarchical-patriarchal image; but with the fatherly surrogate, Claudius, he seems to come back too soon to the identity of the traveler-colonizer, who with moral and religious prejudice seems to take a dim view of the welfare of the community. In sum, with all the rest of the key Elsinoreans and probably to his audience, he assumes the role of the nihilistic civilized Christian humanist individual; to us centuries later and far away, he may look like a civilized hero of high profile, but unfortunately also a Western capitalist colonizer deeply and finely versed in hegemonic manipulation.

Key words: Post-colonialism, Hamlet, Caliban, marvelous, Marxism, travel discourse

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殖民者畫像的理論辯證： 從哈姆雷特的卡利班們到莎士比亞的野蠻政治學

彭輝榮*

摘要

本文認為莎翁名劇《哈姆雷特》在某種程度上可以用馬克思後殖民主義次文本概念加以詮釋，並可以將其所刻畫的主人翁看成心境複雜的殖民者雛形。我處理的是殖民思維中的唯物母題——我認為哈姆雷特一角體現一個社會現象：意識不決定人的存有，人依賴驚異的社會現象來決定意識。也就是說，不只人的社會生活，從野蠻的社會學中，我們也發現，是社會存有決定人的意識，意識無法決定人的存有。本文不認為殖民者有什麼原罪，卻主張人本身是有問題的——某種程度上是本惡的，尤其是成為殖民者時，他自自然然地便產生問題。這兒，我要討論的議題是如何正確地詮釋殖民者在其資本殖民旅行冒險過程中所展現出來的認知方法。

Greenblatt、Kristeva 以及和哈劇相關論述均說明，野蠻的概念很容易被殖民者濫用。Kristeva 警告，外國人常被異化，被視為陌生人、野蠻人甚至敵人——我們討厭他們，恨他們，但是這些在社群中不產生任何廣泛政治意義的「野蠻」外國人其實是我們心中的他者，因為他們提醒我們，「他者」的確存在。Greenblatt 的後殖民唯物理論則提醒，「自我」與「他者」之間存在全新層次的辯證關係。想像力量大，尤其是「將驚異概念加以殖民」的想像尤其巨大，透過野蠻的社會學中的驚異概念，殖民者生動地再現陌生人的野性，並且製作目錄加以保存、取用、學習，最後達成「擁有」的文化資本累積目的。

莎翁的哈姆雷特一角性好攻擊、話多義長，某種程度上，深刻而廣泛的體現唯物思想本質，因此在前現代文學中，頗具代表性。不管是想的，說的，還是做的，即便是從事復仇（與殖民無關），他總是咄咄逼人，好像高人一等。觀察事情也好，與人相處也罷，他不但書空咄咄，更喜以史詩式的野蠻概念物化自我。其人言辭令人激賞，卻常有殖民者野蠻化別人、異化他者的深重嫌疑。筆者認為，異化深埋其人靈魂，等待時機孵化新的他者，以讓此他者轉而育成較為可信的自我。故本文細細論述他如何將 Elsinore 所有的人野蠻化，包括其國王、大臣、賓客、朋友、家人等，母親和女友等女性亦無一倖免。最後他還不忘凝視自己，將自我帶進無止無盡的野蠻國度，讓自我與他者進行無窮無盡的唯物辯證，其目的其實只是為了定位自我。總之，這個知識份子雖然擁有令人無比訝異甚至心嚮往之的巨大靈魂，但亦有許多盲點：一方面對父親言辭中昭昭然之父權意識，他不發一言；另一方面，看父親的代理人，即 Claudius，他卻一貫地迅速回到殖民族人的身份，無論是道德上，還是宗教上，都充滿偏見。尤有甚者，我們發現，他嚴重忽略普羅大眾之階級利益，起碼，他的長篇獨白從不紆尊降貴，為社會底層喉舌。簡言之，此一悲劇人物或許能扮演倍極虛無的文明人，或輪廓深刻、懂得自省的英雄；但對受過殖民之害的讀者，他則可能提供一個擅長文化霸權操作的殖民者畫像。

關鍵字：後殖民主義、哈姆雷特、卡利班、驚異、馬克思主義、政治社會、旅行論述

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I. Introduction

'Tis now the very witching time of night,
When churchyards yawn and hell itself breathes out
Contagion to this world. Now could I drink hot blood,
And do such bitter business as the day
Would quake to look on. (*Hamlet* 3.3.379-83)

This is a story about a curious and contagious feature of human vice, and its origin is materialistic—an expression of a wish that hides away its colonial subtext. Rosencrantz and Guildenstern just informed Hamlet that the King was “marvelously distempered” by the play he has helped produce (3.2.293). After these two school fellows left, Hamlet delivers his fifth soliloquy (3.2.379-90), acknowledging that revenge demands drinking “hot blood” (3.2.381). The potent symbol of “hot blood” and all that contagious and marvelous/wonderful image of barbarism entails is the subject of this paper.

Although the process of resistance was there, I am willing to situate this paper in relation to postcolonial discourse because it does discuss a certain crime the colonizers commit in history—treating the Other as “marvelous” alien and labeling its human possibility as barbarism. But it should be thought so with reservation, for what I’m dealing with here is Marxian materialistic motif—Marx used to say that our consciousness cannot determine our being; on the contrary, it is our *social* being that determines our consciousness.¹ Colonial act has never been a crime, and in history human sufferings were never only caused by events of colonizing. Therefore, to blame the colonizers in the name of colonizing seems to be a misnomer, for it is, after all, an economic production and a capitalistic enterprise. For survival and subsistence, the crime mankind commit can be a great deal more than just exploitation. Colonizing is a de facto survival skill of production and exchange developed through the history of labor and therefore must be acknowledged as a part of Marxian materialistic history. This paper does not see colonizer as being sinful, but rather man as being problematic, i.e., when man becomes colonizer, he becomes problematic by default.

The issue is not that colonizers often barbarize the peoples whose concept of capital, modes of production, and technology of consumption and exchange are historically different. The issue is to correctly interpret the colonizer’s cognitive method in their capitalistic venture. This paper is different from most of Hamlet criticism in that I propose to read *Hamlet* as a text with post-colonial subtext possibilities—to some extent, all English texts after the Enlightenment Movement should be read in this way. A homological study of Greenblatt, Kristeva, and texts about *Hamlet* shows that the concept of barbarism could be easily, and probably necessarily, appropriated by the colonizers in the act of colonizing. Used to characterize human vice, barbarity seems less problematic than other human crimes, say, genocide. But many literary texts yield evidence that when the colonized are labeled with the features of “barbarian” or “savage”—witness the image of the Irish natives in the hand of Edmund Spenser—the colonizers can then wield their

¹ In “Preface to *A Critique of Political Economy*,” Marx writes: “In the social production of their life, men enter into definite relations that are indispensable and independent of their will, relations of production which correspond to a definite stage of development of their material productive forces. The sum total of these relations of production constitutes the economic structure of society, the real foundation, on which rises a legal and political superstructure and to which correspond definite forms of social consciousness. The mode of production of material life conditions the social, political, and intellectual life process in general. It is not the consciousness of men that determines their being, but, on the contrary, their social being that determines their consciousness” (McLellan 390-91).

moral and sometimes religious weapons without being disturbed by guilty conscience.² When this phenomenon happens, colonizing act is no longer an economic act; it turns culture into capital and texts into weapons of conquer.

Kristeva believes that we tend to alienate the foreigners and see them as strangers, barbarians, and enemies. Even though we detest and hate them, the barbaric foreigners, who usually live out of meaningful political context, are the Other in ourselves, because it is them that awaken the dormant possibility of the existence of otherness. Therefore, possibilities between them and us fail: “the foreigner lives within us: he is the hidden face of our identity, the space that wrecks our abode, the time in which understanding and affinity founder” (1). To think in postcolonial terms, this means that when the colonized are redefined as barbarians, the colonizers begin to have a job of alienation cut out for them. The process of redefinition usually accumulates cultural capital and paves the way for full-fledged invasive cultural investment and capitalistic exploitation. The purpose of alienating the foreigners, the strangers, the barbarians—the Other, is to deny its homological relationship with the Self.

Like in his other renowned discourse on New Historicism, Greenblatt’s materialistic theory of colonialism calls our attention to a new level of dialectical relationship between Self and Other. His logic is like this: Through the colonized, the colonizers have a better chance to know themselves. This is because he is an observer, discoverer, to-be-conqueror, and the last victor. In colonizing act, mimetic practice was an advanced cultural technology the colonized not yet developed, and its agent, literary text, serves as the cultural capital of the colonizer. Through manipulation of “wonder” phenomena³ and the power of imagination utilized as political strategy— particularly “the colonizing of the marvelous” (*Marvelous Possessions* 24-5),⁴ he graphically represented the barbarity of the strangers, and created categories for the benefit of inventory and learning, and finally achieved the goal of “possession” by which, I think, he means us to relate to the concept of “private property” as expounded in Marx in his *Communist Manifesto*.⁵ For the colonizer, the dialectical relationship between Self and Other proceeds in this way: He discovered that in order to understand the colonized, he must repeatedly depend on difference for recognition, and to represent the latter’s fantastic feature he must resort to the language of the marvelous.

I probably should first explain the ramifications of the Calibanian image implicated

² For the image of Spenser’s Wild Man, also see *The Faerie Queene* 4.7.5.

It was to weet a wilde and saluage man,
Yet was no man, but onely like in shape,
And eke in stature higher by a span,
All ouergrowne with haire, that could awhape
An hardy hart, and his wide mouth did gape
With huge great teeth, like to a tusked Bore:
For he liu’d all on rauin and on rape
Of men and beasts; and fed on fleshly gore,
The signe whereof yet stain’d his bloudy lips afore.

³ Cunningham believes that “Wonder is a function of pity and fear” (64). “Wonder in Shakespeare is the effect of tragic incident and tragic style, as well as of the marvelous turn in events. But this does not exhaust the complexity of the notion of wonder; one more strand at least remains to be unraveled. For the notion derives not only from the tradition of literary criticism, as the proper effect of marvelous events, and the tradition of rhetoric, as the proper effect of marvelous eloquence, but it derives also from the tradition of philosophy, in which wonder is the primary cause of learning” (94).

⁴ Marvelous as the colonizer’s cultural capital is defined by Greenblatt as thus: “The marvelous is a central feature...in the whole complex system of representation, verbal and visual, philosophical and aesthetic, intellectual and emotional, through which people in the late Middle Ages and the Renaissance apprehended” (*Marvelous Possessions* 22).

⁵ Marx writes: “Capitalists increase accumulated labor in order to gain their own private properties” (26).

in the title of this paper. According to Frank Kermode, Caliban is the “core” and “ground” of *The Tempest* (qtd. in Jenkins 1982: xxiv-xxv). He “represents nature without benefit of nature,” and is able to stain “a divine beauty with the crimes of ambition and lust” (xxi-xxv). He is “a representative Indian [of America]” (xxxiii), and is bestial, ugly, unruly, unnatural, and in a word, graceless, an absolute embodiment of human evil (xlii). Drawing from this image, this paper argues how the spectacular plenum of the Elsinoreans serve as Hamlet's Calibans to erect our hero as a man “full of purpose” (Coleridge 436).

“Politic” is another significant concept that may be in need of clarification. Many of Shakespeare's characters are “politic worms” (4.3.20), originally used, ironically, by our hero to satirize Polonius's breed of mankind who bear two essential features: “Politic,” referring, positively, to “sagacious, prudent, shrewd,” and “civic, civil, and political” people (qtd. from OED); “worm,” referring, negatively, to humanity's insignificant, worthless, dust-like nature only functioning to recycle life and death. The definition of “politic” weighs what is socially public against what is socially private, while that of “worm” denotes a Pythagorean philosophy of life—bestial life. In *Hamlet*, it is this type of politic worms the hero is set to struggle with, and the result is nothing but disastrous, at least in human terms. To Hamlet, all Elsinoreans are politic worms—himself no exception, living on other people's flesh (4.3.16-25). They belong to a new breed of the Calibans, falling into barbarism along the trajectory of the social life in which pre-bourgeois ideological practices were for the first time rampant in an unprecedented capitalistic urban culture which was, we can rest assure, London.

We can see Hamlet's sociopolitical self working from the new identity of a traveler he assumes after he returns to Elsinore from Wittenberg of Germany. From a postcolonial point of view, travelers or colonizers often assume a special human relationship, a social and political authority almost, with the natives of the place (or the people who never really travels far) they first set foot on or just return to, and from their horizon the natives often seem backward, ignorant, or barbaric (Brotton 1998: 28-9). This situation happens when Prospero, representing exactly that, is exiled to Caliban's island. Prospero's colonial situation has no doubt been subject to heated debates,⁶ but what critics haven't discussed enough, though, is that a similar though arguably less obvious situation also happens to Hamlet when he returns to Elsinore, which, according to our authoritative hero, is “a prison” (2.2.243), whose people belong to “Nature's livery,” i.e., who are primitives (1.4.32).

Hamlet is characterized by his inclination to judge people around him through morality. As one critic says, “In every encounter he has with the faction of the court, his often brutal treatment of them stems from the passionate conviction he has in the moral assessment he has made of them” (McElroy 1973: 39). In the beginning, a phenomenon is already haunting our communal sense: Many of Hamlet's actions, speeches, and colloquies dealing not only with the Court but also with his estranged family show that our hero comes back from Wittenberg, a city famous for the dawn of Protestant Reformation and famed for disputational skills, to a world which used to be his home polis.⁷ This place appears estranged, uncivilized, and I may add—barbarous to him.

⁶ Alden T. Vaughan and Virginia Mason Vaughan, in *Shakespeare's Caliban: A Cultural History*, citing Hayden White to provide a portrait of the wild-man image of Caliban, report that “[f]rom biblical times to the present, the notion of the Wild Man was associated with the idea of the wilderness—the desert, forest, jungle, and mountains—those parts of the physical world that had not yet been domesticated or marked out for domestication in any significant way” (62).

⁷ The fact that Hamlet returns home from Wittenberg looks less like a coincidence than an argument for the true spirit of Puritanism—which Shakespeare repeatedly mocks at in his works, cf., Malvolio in *Twelfth Night* and Jacques in *As You Like It*. For puritanical emphasis on work and resistance of pleasure, cf. Max

Elsinore has become toweringly mysterious and riddling, so much so that different factions of the Court begin to terrorize him as the repressed that has returned. On top of the visitation of the ghost, what appears even more estranged is where he and Horatio pose as foreign travelers observing the drinking customs of the local inhabitants. This is the people of his native country, the “distracted multitude” (4.3.4) who, according to Claudius, adore him “like the spring that turneth wood to stone, / Convert[ing] his gyves to graces” (4.7.19-21), i.e., whatever he does is right. Yet Hamlet here, though thoughtful and sympathetic, accuses them of tainting the name of Denmark.⁸ Obviously, there is an initial distance between the observer and the observed. The London audience could not miss the irony of the place: The more Hamlet appears to be foreign to the drinking habit, the “vicious mole” of the Elsinoreans, the more absurd he looks on stage:

But to my mind, though I am native here

And to the manner born, it is a custom

More honour'd in the breach than the observance. (1.4.14-6)

Hamlet is saying that a small defect in the custom—drinking and reveling—has tainted the whole virtuous and noble Elsinoreans because it lances at the blood and manners. But this phenomenon is still inchoate. As the story continues to unfold and the language of the marvelous develops, we observe that it gradually looms large to cover most of the people Hamlet is galvanized to make sense with.

II. Hamlet's Barbarous Courtiers

(1) Rosencrantz and Guildenstern

Two of the most salient figures involved in Hamlet's wonderful and marvelous quasi-foreign expedition of sociopolitical identity is this twin courtiers Rosencrantz and Guildenstern onto whom Hamlet projects the characters that he believes to come from a custom “More honour'd in the breach than the observance.” As Levin has remarked, “Rosencrantz and Guildenstern are not really bad fellows” (29), we do not necessarily see these two fellows like Hamlet, but it is true that Hamlet never gives them their fair share as fellow being. He is more willing to treat them as barbarians. In many of Hamlet's “verbalistic combat” (Levin 1959: 39) with them, he never allows them to get the upper hand, though they are “brought up with” Hamlet (2.2.11), as Claudius points out, and “two men there are not living / To whom he more adheres,” according to Gertrude (2.2.20-1). This is actually the playwright's loophole, for they are arranged as buffoons, and they feed our hero with stage lines, rendering him a true human being at the expense of them, as if the school fellows were uncivilized—the essential feature of a barbarian. For example, in their first spying assignment, Hamlet gets to explain—with majestic language—the reason why he has lost interest and faith in life. “What piece of work is a man” is a rhetorical question, meaning that man doesn't measure up to the sacred motive with which he is created. The undertone seems to directly point at the barbarous listeners—Rosencrantz and Guildenstern. In 3.1, when the King complains of how “The terms of our estate may not endure / Hazard so near as doth hourly grow / Out of his

Weber's comment on the Protestant origin of the capitalistic spirit in *The Protestant Ethic and the Spirit of Capitalism* (1930): “The real moral objection is to relaxation in the security of possession, the enjoyment of wealth with the consequence of idleness and the temptations of the flesh, above all of distraction from the pursuit of a righteous life. In fact, it is only because possession involves this danger of relation that it is objectionable at all. For the saints' everlasting rest is in the next world; on earth man must, to be certain of his state of grace, ‘do the works of him who sent him, as long as it is yet day. Not leisure and enjoyment, but only activity serves to increase the glory of God, according to the definite manifestations of His will’” (157).

⁸ Jenkins points out that Horatio is also a Dane, but he speaks as if he is not familiar with the custom.

brows" (3.3.4-6), they understandably respond by broaching the political theory that "Never alone / Did the king sigh, but with a general groan" (3.3.22-3). But Hamlet develops a "sponge" theory against them. He says that Rosencrantz and Guildenstern are sponge

that soaks up the king's countenance, his
rewards, his authorities. But such officers do the
king best service in the end: he keeps them, like
an ape, in the corner of his jaw; first mouthed, to
be last swallowed: when he needs what you have
gleaned, it is but squeezing you, and, sponge, you
shall be dry again. (4.2.11-20)

Better metaphor cannot be found to describe Shakespeare's barbarous courtier, for here we find a shred of truth about life in the court whose representatives these two courtiers serve. Hamlet has called them "adders fanged" (3.4.205), and now he sees one more animalistic image in them: an ape, which yields the image of the hegemonic ruler's sycophant. In appearance, it seems that Hamlet is accusing the master, but in reality his distaste lies in the baseness and slavishness of the slave. Hamlet obviously hates the image of the slave, but to see the whole weight of it burdened on his schoolfellows is not what we expected. This is why at the ending macabre when the ambassador from England enters the stage to report that "Rosencrantz and Guildenstern are dead" (5.2.376) we do not feel a thing except irony, for before this final event they were already labeled. As the story unfolds, we find that Hamlet should be the one who knows Rosencrantz and Guildenstern better than any other characters in the play, because the phenomenon of sponge will also take its toll on him: He himself will have to be seen as a barbarous courtier.

(2) Osric

Though only a small part, Osric is another wonderful courtier occupying a very significant place in our library of Calibans, because without him we wouldn't be sure how much the Elsinoreans corrupt humanity and what kind of moral standards Hamlet demands from them (2.2.359-62; 3.4.155-6; 5.1.135-8). In a time when the entire society affects finical manners, Osric represents the worst of those middlemen who feed on the society, who depend their sociopolitical life on trading with others in the court, such courtiers as Rosencrantz and Guildenstern. To Hamlet, Osric is the best example of the politic barbarians who are always convening to profit themselves. This is why he makes this sarcastic comment on Polonius' death: "a certain / convocation of politic worms are e'en at him." The following is Hamlet's evaluation of Osric:

A did comply with his dug before he sucked it. Thus
has he—and many more of the same bevy that I
know the drossy age dotes on—only got the tune of
the time and, out of an habit of encounter, a kind of
yeasty collection, which carries them through and
through the most fanned and winnowed opinions; and do
but blow them to their trial, the bubbles are out. (5.2.184-91)

Elsinoreans like Osric would curtsy to their mother before they profit from her nursing. Fashion and frivolity indulge them in platitudes and small talk, and trendy vocabulary enables them to hold their own with the politicians they are negotiating with. Lived experiences are not their strong suit, so put them to real social conflicts, and we would find them break their bubbles. This reminds us of Hamlet's criticism of Rosencrantz and Guildenstern as the king's "sponge." To Hamlet, a courtier shall so behave to please the

king, and to please the king means to be a sponge, to bow before he robs of his victims, to use the froth of fashionable clichés, disregarding the “fanned and winnowed opinions.” Compared with the judgment Osric gets from Hamlet, Ophelia, even though paying the price of love and vanity with her death, actually receives fairly good treatment from Hamlet.

(3) Laertes

Just as what he speaks to Horatio of Laertes, “to know a man well, were to / know himself” (5.2.137-8), Hamlet creates the image of his “foil” Laertes from the inmost part of his politic soul. Laertes appears rather early in the play giving advice to Ophelia (1.2) and then disappears till he leads an angry mob storming to the court of Elsinore demanding answers to his father’s brutal death (4.4). When we first see him as a student pleading to the King for continued study in Paris (1.2), he, like Hamlet, still carries the image of a young and impetuous student. And when he reveals his belief that his sister’s young love is one of passion and should not be taken too seriously because Hamlet’s body belongs to the state, i.e., his body is not his in the body politic, we see a budding young politician. His father’s action of sending his man Reynaldo to spy on him in Paris comes as a bit of an illogical surprise (2.1), but we are also made aware of the contrast he serves to Hamlet’s agonizing and embarrassing loss of both parents. When he reappears in 4.5, driven by revenge, he is seen to be doped by the King into conspiring an unfair fencing match with Hamlet. All in all, according to our infamous Osric, he is a model of gentlemenhood, “absolute gentleman, full of most excellent / differences, of very soft society and great showing,” “the card or calendar of gentry,” and “the continent of what part a gentleman would see” (5.2.107-11). This is indeed a fairly positive assessment of a Renaissance young man. Twice in the play, our royal Hamlet treats him with respect, if a little condescendingly, one in Ophelia’s funeral, the other when the duel is about to start. But as audience we know that Hamlet is just paying lip service because the playwright makes sure that before the funeral scene we have already got Laertes’s young and impetuous politic image in mind. Ophelia, who obviously has been wont to receive his advice, can tease him like this:

But, good my brother,
Do not, as some ungracious pastors do,
Show me the steep and thorny way to heaven;
Whiles, like a puff’d and reckless libertine,
Himself the primrose path of dalliance treads,
And recks not his own rede. (1.3.46-51)

Though good at adapting to the fanfares in the court, Laertes is known for his frivolous life style, at least in his family. And as allowed by his father, Laertes can go with “drinking, fencing, swearing, quarrelling, drabbing” (2.1.25-6). Obviously, there is a rupture between the image of the respectable and the frivolous Laertes—one seeking to protect family honor, the other a young man of the senses, and it seems that Hamlet is already aware of it when he openly expresses apology to Laertes on Ophelia’s graveside. This is why when Laertes accuses Hamlet of evil-doing: “cursed head / Whose wicked deed thy most ingenious sense / Deprived thee of” (5.1.240-2), Hamlet can respond with a serene understatement:

What is he whose grief
Bears such an emphasis? whose phrase of sorrow
Conjures the wandering stars, and makes them stand
Like wonder-wounded hearers? This is I,
Hamlet the Dane. (5.1.247-51)

Pointing out how wounded himself is, he means to treat Laertes as his equal. But later when situation worsens into violence, Hamlet loses it. It seems curious why Hamlet takes such a dim view of Laertes—himself having always complained that the time is out of joint, and cursed is the spirit that gave him life to set it right. Considering the fact that it is he who has brutally, though accidentally, killed Polonius, we feel that the following derogative judgment is unfounded:

‘Swounds, show me what thou’lt do:
Woo’t weep? woo’t fight? woo’t fast? woo’t tear thyself?
Woo’t drink up eisel? eat a crocodile?
I’ll do’t. (5.1.269-73)

Besides all the complex philosophical depth in the soliloquies he has previously delivered, this is also typical of Hamlet, passionate and impetuous with diatribes: All in all, Hamlet fails to do Laertes justice.

III. Hamlet's Barbarous Kings and Their Subjects

(1) Claudius

Though of all the symbolic Calibans Claudius is probably the only evil one the young Hamlet does not derive from imagination, his complete stage history shows that he can be misconstrued, both thematically and aesthetically. Whether intended or not, Claudius yields a picture of a sociopolitical figure who is “convincing, genial, magnanimous, clearly adroit in managing councils of state” (Barker 1984: 158). Thus his life and death appear less Caliban-like than our eponymous hero wills him to be. As true antagonists in the game of honor, they are treated as equals though Claudius has always been more pregnant politic barbarian. This probably derives from the fact that Claudius is a surrogate of what Hamlet wishes but refuses to be—a real king. This king does exhibit his kingly magnificence. In their separate struggle toward the path of a less corrupt state that is Denmark, only in the scene where Claudius wants Hamlet to tell the whereabouts of Polonius’ corpse does he ever use harsh language against Hamlet (4.3).

Our first impression with Claudius comes from the Ghost’s vituperation (1.5.42-91), wherein the object of our hero’s revulsion is described as “incestuous” and “adulterate beast:”

With witchcraft of his wit, with traitorous gifts, —
O wicked wit and gifts, that have the power
So to seduce!—won to his shameful lust
The will of my most seeming-virtuous queen. (1.5.42-6)

The Ghost’s accusation that the new King used witchcraft to seduce the Queen leaves doubt in the audience’s mind, although right after that Hamlet’s action more agrees than disagrees with this accusation. However, since this is the Ghost’s words against Hamlet’s, it stands to reason that we do not believe yet. Indeed, Claudius is not all murderer since in many occasions he does act like the head of the body politic. And against his guilt of regicide we do see Claudius more than once shows conscientious judgment. For example, his conscience is inadvertently jogged when Polonius gives instructions to Ophelia to spy on Hamlet by acting lonely (3.1.44-8). Alarmed and edged by this deceptive act of play, Claudius reveals moral dilemma:

O, ‘tis too true!
How smart a lash that speech doth give my conscience!
The harlot’s cheek, beautied with plast’ring art,
Is not more ugly to the thing that helps it
Than is my deed to my most painted word:

O heavy burthen! (3.1.48-54)

There is a soul in these words which shows civilization, not barbarism. His kingship stipulates him to advance public affairs, but here he is a private citizen trapped in power struggle and moral deception, almost like his political adversary, who has “the voice of the King himself” to be the heir of the throne (3.2.332-3).

Hamlet always projects the image of barbarism onto Claudius, whose character is, in addition to the ambiguous “more than kin, and less than kind” (1.2.65), most clearly expressed in Hamlet’s second soliloquy: “O villain, villain, smiling damned villain!” (1.5.106), and in his third soliloquy: “bloody, bawdy villain! / Remorseless, treacherous, lecherous, kindless villain!” (2.2.576-7). In the play scene (3.2), after the agitated Claudius leaves in distress, Hamlet compares him to a “pajock” against Jove that has always been equalized to his father. “Pajock” has usually been emended as “patchock” by editors, a variant, meaning “barbarous and degenerate” (Jenkins 1982: 510). In the closet scene, just before the Ghost revisits the guilt-stricken Hamlet, we have the most complete image of a “politic barbarian” of Claudius:

A murderer and a villain;
A slave that is not twentieth part the tithe
Of your precedent lord; a vice of kings;
A cutpurse of the empire and the rule,
That from a shelf the precious diadem stole,
And put it in his pocket! (3.4.97-101)

All these accusations admittedly indicate that Claudius has his human darkness emerged from all the domestic and international conflicts his position requires him to deal with: A murderer because he is believed to have killed Old Hamlet; a villain because he has committed adultery; a slave because he has succumbed to evil ambition; a vice of kings because he cannot safeguard royal honor; a cutpurse because he has stolen the crown. But all these vituperations, we must say, are still Hamlet's conjecture.

Claudius' villainy is not really confirmed until the letter dictating Hamlet's death is "seal'd and done" (4.3.59):

And, England, if my love thou hold'st at aught—

.....
 thou mayst not coldly set
 Our sovereign process; which imports at full,
 By letters congruing to that effect,
 The present death of Hamlet. (4.3.61-7)

From the prayer scene (3.3.36-72), we know that what he really wants is to keep the unlawful possessions he has looted from his crime of passion. Here “[h]owe’er my haps” means that the time has been fortunate for him since Old Hamlet died. This is certainly an indication of an unrepentant criminal still harping on overreaching political ambition. But even here we can still defend Claudius: He is king, and the king should act promptly in face of state security threat posed by the Norwegians: “That we would do, we should do when we would” (4.7.117-8). It is not until he plots with Laertes on Hamlet’s death do we become sure of his complete privation, which he himself provides with incorrigible evil conviction: “Revenge should have no bounds” (4.7.127). By this he means to act against the church teachings, which Laertes just reminded him (4.7.125). Eventually, he goes from bad to worse, and becomes “the canker of our nature” (5.2.69) and an “incestuous, murderous, damned Dane” (5.2.330). These names befit his functional image in the play: a betrayer of social order, a damnation of nature, and a barbarous, uncivilized sign to be dealt with.

Claudius is the public man who meditates on Ophelia's bestial life of madness in

terms of the fruits of human civilization—reason: “Divided from herself and her fair judgment / Without the which we are pictures, or mere beasts” (4.5.85-6). Compared to many of Shakespeare's more charming or more resolute villains such as Shylock, Macbeth, Othello, Malvolio, Caliban, to name just a few, his evilness seems relatively more elusive, and is susceptible to overestimation—particularly by Hamlet. In aesthetic and thematic terms, he is an inadequate opponent of Hamlet, given the large, philosophical structural burden the character of Hamlet takes on. When T. S. Eliot says that *Hamlet* is an artistic failure (179), I think he might as soon refer to the misdirected accusations of Claudius' evil nature. As a double of Hamlet, Claudius, like other characters, is supposed to broaden Hamlet's twin image of moral and political action and inaction but expectably fails, all because he is too early and too soon incriminated by Hamlet's conscience.

(2) Fortinbras

Fortinbras is a minor character yet functioning very socio-politically in that he does not participate in the actions of the plot yet frames and thickens it more than any other characters in the play. He is, as it were, to this play what Caesar is to the overarching tone of *Julius Caesar*. If the Ghost, good or evil, symbolizes the distress that afflicts the conscience of the nation, then Fortinbras embodies the ruthless institution designed to redress it, albeit a bit ironically. When we first hear of him, he is only a radical politician of the enemy (1.2). Then with the development of the plot he grows and becomes a military activist, against which Hamlet's ineptitude is marked out (2.2). Later, marching through Danish territory with twenty thousand soldiers, he rapidly dominates the political atmosphere of the play. It is here Hamlet calls up the image of the beast:

How all occasions do inform against me,
And spur my dull revenge! What is a man,
If his chief good and market of his time
Be but to sleep and feed? a beast, no more. (4.4.32-5)

Thinking of beast serves twofold function—it may be Hamlet himself, but it may also be his opponent, and in the latter case all men and women in the mysterious and riddling world are equally bestial. Here, in his last monologue, our hero re-examines the meaning of worldly success by meditating on his opponent's quick military response to the adversary's territorial challenge. Fortinbras, according to his mind's eye, can dare danger and have thousands of his soldiers die “even for an egg-shell” (4.4.53). Does this mean that one must learn to quibble over such trifles as a small piece of land?

Rightly to be great
Is not to stir without great argument,
But greatly to find quarrel in a straw
When honour's at the stake. (4.4.53-6)

The answer can be found from his earlier comment on mankind as “the paragon of animals”—what makes man a piece of work is “honor,” but to Hamlet the substance of honor is in need of “reform,” like the actors' playacting in the Mousetrap. Fortinbras's concept of honor is problematic because moral equilibrium is not delicately measured to balance social reality. Thus Fortinbras is moral embarrassment and his action legitimizes Hamlet's inaction.

(3) Polonius

Polonius probably demonstrates a profound implication of Hamlet's Calibans better than any other characters. In the closet scene, Hamlet's initial brutal mockery at the body of Polonius “Thou wretched, rash, intruding fool” (3.4.31) and the ending merciless

excoriation that “This counselor / Is now most still, most secret and most grave, / Who was in life a foolish prating knave” is not enough to describe who Polonius is (3.4.215-7). He may be both secret and grave, and in several occasions prating to not only Hamlet, but also his own daughter, son, and even to the King and Queen (2.2.95ff). But he is surely not such a bad person as deserves brutal death. Except underestimating Hamlet’s intransitive soul,⁹ bullying his daughter, spying on his son, he has done nothing except serving his King. His is everyman’s life, untimely stalled by murder, though Horatio euphemizes it as one of “accidental judgments” (5.2.387). To name a few things that do not advance Hamlet’s legendary life of high “moral sensibility” (Bradley 103), Polonius is the father of his lover Ophelia, a fact that seems to slip through Hamlet’s moral dilemma and the playwright’s dramatic art. Moreover, on Ophelia’s graveside, Hamlet doesn’t sound like he is offering heartfelt apology to Laertes when he has the opportunity. And in the fishmonger scene, he suffers too much to help Hamlet build up his image of a witty prince:

POLO Do you know me, my lord?

HAM Excellent well; you are a fishmonger. (2.2.173-4)

In the film directed by Kenneth Branagh (1996), Polonius was changed from a “tedious old fool” in Laurence Olivier’s 1948 film to a more somber subject of the King. I think the reason is that Branagh has seen Olivier film’s representational problem. History of criticism obviously bears too much burden against which Hamlet has shaken off his own buffoonery at the stake of Polonius. When concluding that Polonius belongs to one of the “tedious old fools” in the books which write nothing except “words, words, words,” Hamlet, it seems, reads too much reality into his ideological imagination, just like the attitude he shows in the weasel dialogue with Polonius, appearing a little after the performance of the Mousetrap in 3.2. Hamlet’s interpretation of this event is lopsided as usual: He becomes too intellectual for Polonius. No wonder Branagh, against Olivier, felt that he must follow Hamlet’s footstep and “reform it altogether” (3.2.37). On the whole, the death of Polonius serves to enlighten our perception of Shakespeare’s politic barbarians in that the mock rite of Eucharist is given and received among all major Elsinoreans, Hamlet included:

CLAU Now, Hamlet, where’s Polonius?

HAM At supper.

CLAU At supper! where?

HAM Not where he eats, but where he is eaten: a certain convocation of politic worms are e’en at him. Your worm is your only emperor for diet: we fat all creatures else to fat us, and we fat ourselves for maggots: your fat king and your lean beggar is but variable service, two dishes, but to one table: that’s the end. (4.3.16-25)

Transformed from Eucharistic cycle, ironically, the rite commemorating the earthly,

⁹ Margreta de Grazia, with R. A. Foakes (44), claims that before the 1800s, *Hamlet* had been sometimes curiously deemed “barbaric,” but in the past two centuries it has been quite consistently read in light of a “modern Hamlet” bespeaking an agonizing intransitive soul: “Genius, it would appear, is always in advance of history. Shakespeare was ahead of his time and history took centuries to catch up. Only after the auroral advances of the Enlightenment was it possible to perceive the phenomenon of Hamlet’s intransitive inwardness” (1). According to Francis Barker, this intransitive inwardness is “centred in means which are apparently its alone” (163). McGee seems to hate the idea that we may even enjoy Hamlet’s existential angst in his mental argument of spiritual and “political correctness” of revenge: “But we cannot therefore suppose that the Elizabethan audience would have reacted similarly—that they also would have been perplexed by Hamlet’s attitude to revenge” (10-11).

dust-like nature of humanity here serves, not as a religious matter, but a symbol of a consumer society that gives Hamlet his distaste of life. It seems that the phenomenon of political barbarian derives not only from Hamlet's imagination, but also from his real social experience.

IV. Hamlet's Barbarous Sex

For Hamlet, women as a gender challenges all moral assumptions and thus constantly requires redefinition, and since the Elsinoreans are good at nothing except leveling all values and perverting amorous relations into incest, women should be defined as the barbarous gender and men's scapegoat to salvation. On the whole, love produces the most defining theme of the play not only because Gertrude and Ophelia are Hamlet's mother and girlfriend, but also because to the Elizabethans, love is more than love—it's also politics: For Queen Elizabeth's courtiers, "the use of an amorous vocabulary...express ambition and its vicissitudes" (Marotti 398).¹⁰ This connection of love to one's socio-political reality is arguably why when we first see Hamlet soliloquizing, he curiously relates the meaning of his entire life to the opposite sex's moral behavior, specifically, to love. For Hamlet, the reality of life is revealed through "too too solid flesh" and if it were not for the canon, one would easily stop it. Such suicidal motif runs throughout the play, culminating in the hero's fourth soliloquy (3.1.56-87) and ultimate death.

When Hamlet in his first soliloquy (1.2.129-59) complains that the lived world is meaningless like an unweeded garden that "grows to seed," our curiosity about his embedding female gender morals in the meaning of life has already run rampant. It's baffling to see how meaninglessness of life can rise as a result of a mother's hasty and incestuous marriage. It seems that Hamlet's intransitive soul derives not from a single source of despair but from something way larger and deeper. His comparison of (1) his father to Hyperion and Hercules and (2) himself and Claudius to satyr does not make sense either, but his losing track of the time does deliver a message: He is close to breaking down. It seems easier to attribute this to religion-related despair rather than personal or a whole gender's fault. The fact is that he has a scathing contempt for his mother, whose hanging on to his father he glosses as the sin of gluttony: "she would hang on him, / As if increase of appetite had grown / By what it fed on" (1.2.43-45). A site of wonder in the play, women's barbarous nature is to blame for most of the unfortunate events in one's life. Under such pretext, he develops tremendous revulsion against the entire female gender. First, women are weak: "Frailty, thy name is woman!" (1.2.146), and when women appear mournful, their tears are fake, "Like Niobe, all tears" (1.2.149), and women are worse than beast, living in a world without reason: "O, God! a beast, that wants discourse of reason, / Would have mourn'd longer" (1.2.150-1). In short, anticipating the advent of the Metaphysical movement, Hamlet's functional metaphors overstate the issue of woman's inconstancy which in turn leads to the metaphors of prison-wish and death-wish.¹¹ We admire our hero's extraordinary power of poetic imagination, but we cannot ignore the subtext through which the playwright works out his intent on social mobility. As Arthur Marotti says, love lyrics often served as a way of

¹⁰ See Arthur Marotti's "'Love Is Not Love': Elizabethan Sonnet Sequences and the Social Order." Marotti argues that Elizabethan poets were encouraged to use "an amorous vocabulary by her [the Queen's] courtiers to express ambition and its vicissitudes" (398). And "ambition and envy were thus translated into amorous 'hope' and 'jealousy,' the socially more acceptable terms" (399). In short, the language of love was a language of politics.

¹¹ Also see John Donne's "Go and catch a falling star."

metaphorizing the poets' "rivalry with social, economic, and political competitors" and "reflected courtly striving for the rewards available in hierarchical societies that functioned according to systems of patronage and that allowed...forms of social mobility" (398). No doubt, the language of love in the Renaissance could be used to express personal ambition.

(1) Gertrude

It has been said that even Claudius is allowed what Gertrude is not—an interiority (Dillon 74). It's quite true, for Gertrude, essentially a gentle and caring mother, obviously does not deserve so much of her beloved son's diatribes, and the playwright never gives us a reason why the character of Gertrude should enjoy so much mystery.

In the first council scene (1.2), we have already had no reason to agree with Hamlet's annoying melancholy. Gertrude acts and speaks with motherly kindness. It is Hamlet—the boy, the man, the son, and, unfortunately, the prince—who cannot deal with the ordeals of social life. But we see a great deal of good family politics in Gertrude. When Claudius believes that there is something dangerous in Hamlet's transformation and so he "shall sift him" (2.2.58), Gertrude has attributed it to "[H]is father's death, and our o'erhasty marriage" (2.2.57). Though Gertrude tolerates Claudius and Polonius' plan to conduct "lawful espials" on Hamlet (3.1.31), this is understandable, because as a mother she wants to know what really has happened to his son. Gertrude, the woman who gave birth to our hero, is never really given an opportunity to explain her gender. In the Mousetrap, Hamlet dupes the player-queen to speak such an offensive speech:

The instances that second marriage move
Are base respects of thrift, but none of love:
A second time I kill my husband dead,
When second husband kisses me in bed. (3.2.177-80)

With this, a caustic question is then directed at Gertrude: "Madam, how like you this play?" Her reply is styled with a soft understatement: "The lady protests too much, methinks" (3.2.224-25)—she is only saying that the player-queen reveals too much of her heart, a very indirect displeasure. Hamlet knows how hurtful this speech is, but he insists on pursuing this issue in public. Claudius notices this, and cautions Hamlet that there should not be any more offensive details. Hamlet replies with a lie, saying "they do but jest, poison in jest; no offence / i' the world" (3.2.229-30). The decision is made: Gertrude's second marriage is a transgression of gender ethics, and the son will expose her weakness right there and right now. In the closet scene, Hamlet goes all out to expose what he believes to be the female gender's erroneous ideological practice. The accidental murder of the king's chamberlain cannot get him to show remorse. Gertrude is shocked by the brutality, only to hear her son say that he will wring her heart to see if "it is proof and bulwark against sense" (3.4.35-38). She asks what wrong she has done to deserve such humiliation, with which her son retorts with even more cruelty. She has, he says, done such horrible things as "blur[ring] the grace" and making sweet religion a "rhapsody of words" and the entire earth "thought-sick" (3.4.41-51). Later on, Gertrude is asked to compare her two husbands, one deceased, the other living, to two landscapes: The fair mountain is dominated by the gods, Hyperion, Jove, Mars, and Mercury; the moor only fits to be "battered on" by fools (3.4.61-5). What kind of a son would do this? No wonder the Ghost must revisit him to "whet" his "almost blunted purpose" (3.4.111). But the demand of the comparison is not the worst part of this time's ironic family quarrel between mother, son, and ghostly father. Gertrude's five senses, the body that is solely hers, are maliciously offended:

Ha! have you eyes?
You cannot call it love; for at your age
The hey-day in the blood is tame...
...Sense, sure, you have,
Else could you not have motion; but sure, that sense
Is apoplex'd....

.....
Eyes without feeling, feeling without sight,
Ears without hands or eyes, smelling sans all,
Or but a sickly part of one true sense
Could not so mope. (3.4.65-79)

No individual has such a right, and more crime cannot a son commit against his mother. How can a caring mother, facing such a moral scrutiny, muster any strength to fight back? It seems easier to view Hamlet as being insane and his hatred against Gertrude symptom of being misogynist. Some mothers might have to give up on her son, but not Gertrude. She continues to hope on for her son, and performs two miracles to protect her son. First, following the closet scene, we come to see her lying to Claudius when he asks her what happened. Knowing the danger of the question, she conceals her agreement with Hamlet (3.4.199-201) and lies about Hamlet's being "Mad as the sea and wind, when both contend / Which is the mightier" (4.1.7-8). Second, in the duel scene, she empties the poisoned cup, though probably without knowing the truth of it. This is, I think, the playwright's intention: Whether knowingly drinking from it or not, Gertrude has done nothing wrong except being a gentle and saving mother to her son, at least this is how Laurence Olivier glossed it in his 1948 film.¹² Taken all together, Hamlet's accusations against the female gender reveal that it's probably not misogyny, nor moral sensibility that is plaguing him. It's something else.

(2) Ophelia

As with Gertrude, we're never sure who Ophelia is (Dillon 74), except that she is madly in love with Hamlet. The life and death of Ophelia is as ambiguous as everyone else that dies on stage. This is probably the fate of all Hamlet's Calibans. Eventually, it seems that she functions dubiously in the plot because we feel she serves more to illustrate Hamlet's showy love¹³ and sociopolitical identity than her as a human being. Like Gertrude, she does not deserve all the indiscriminate excoriations Hamlet burdens her. Aesthetically speaking, however, she does well to explain how Hamlet confounds the self with the other in the play. In the first two scenes where she is put on stage, she spends most lines feebly explaining Hamlet's infatuations with her, only to be refuted, first by Laertes's theory of body politic, and then by Polonius's theory of puppy love (1.3.101; 1.3.129). Love on the level of passion is inadequate, which makes Ophelia an instrument by which the playwright vents Hamlet's outburst of melancholy:

He took me by the wrist and held me hard;

¹² In his 1948 film, Olivier has more than one shot at Gertrude staring at the poisoned up and then deciding to drink from it. Obviously, Olivier proposes to see Gertrude as being completely aware of Claudius' murderous conspiracy in the duel. Russian made Grigori Kozintsev's 1964 film, Franco Zeffirelli's 1990 film with Mel Gibson, and the most recent Kenneth Branagh's 1996 film all refute Olivier's suicidal point of view.

¹³ Philip Edwards of 1985 Cambridge Edition comments on Hamlet's "love": "It is hard to know what right Hamlet has to say ["I loved Ophelia"] when we think of how we have seen him treat her.... For those of us who to any extent 'believe in' Hamlet, Shakespeare makes things difficult in this scene [5.1]" (56). Ann Thompson and Neil Taylor of the 2006 Arden Edition cite Edwards to discuss "reading against Hamlet tradition" (32ff).

Then goes he to the length of all his arm;
And, with his other hand thus o'er his brow,
He falls to such perusal of my face
As he would draw it. (2.1.87-92)

This outburst results not only from denial of love as commendable human feelings but also from the secrecy of putting on an “antic disposition” he earlier sealed with Horatio and the sentinels (1.5.180). Situated in an extremely dangerous and riddling world of corruption and political espionage—“the compelling powers of the real” (*Marvelous Possessions* 23), Ophelia is just another salient target of Hamlet, whose personal vendetta is taking its tolls on every Elsinoreans and what Elsinore represents. Confused by Hamlet’s insanity, Ophelia simply cannot understand what the matter is with her ex and slowly fades into despair and death. Empathizing with her, we understand this: She is assigned the job of spokesperson of her gender. She belongs to the gender whose dishonesty invariably gets the upper hand of whose beauty because, ironically, the latter holds bawdy nature. It is not true that Hamlet never really loves Ophelia, or Ophelia really should go to a nunnery because men are all “arrant knaves.” It is just that Hamlet, burdened with so much social reality, simply cannot manage the business of love any more:

I am very
proud, revengeful, ambitious, with more offences at
my beck than I have thoughts to put them in, im-
agination to give them shape, or time to act them in.

(3.1.124-7)

This self-deprecatd confession of personal social ordeals ensures Hamlet’s villainy more than Ophelia’s crime—if there is any. The accusation that Ophelia is helping her father and the king spy on him is quite unreal. What Hamlet is really saying is that the world is no woman’s island, and men’s political villainy (“proud, revengeful, ambitious”) is why Ophelia should not marry and produce heirs:

If thou dost marry, I’ll give thee this plague for
thy dowry: be thou as chaste as ice, as pure as
snow, thou shalt not escape calumny. Get thee to a
nunnery. (3.1.136-9)

Men are monsters because they are born of women. Moreover, with “plast’ring art” and physical movements to please men, and with their intellectual naiveté, her gender is truly disturbing:

I have heard of your paintings too, well enough; God
has given you one face, and you make yourselves
another. (3.1.144-46)

Later in 5.1 he reiterates this misogynist theme:

Now get you to my lady’s chamber, and tell her, let
her paint an inch thick, to this favour she must
come. (5.1.186-89)

In sum, probably because of her symbolic youth and the potent image of breeder of humanity, Ophelia is more of a woman than Gertrude, and therefore takes more blame.

In the performance of the Mousetrap, Hamlet treats Ophelia with more brutal mockery. Here lying down at her feet he lashes out more of his revulsion of the female gender by making more sexual innuendo (“That’s a fair thought to lie between maids’ legs,” 3.2.117), even though this time he is mocking at his mother’s second marriage within her earshot, which is really irrelevant to Ophelia. The theme of woman’s inconstancy appears again:

HAM look you, how cheerfully my

mother looks, and my father died within these two hours.
 OPH Nay, 'tis twice two months, my lord.
 HAM So long? Nay then, let the devil wear black, for
 I'll have a suit of sables. O heavens! die two
 months ago, and not forgotten yet? (3.2.124-29)

This is not to “catch the conscience of the king,” but to mock at Ophelia and her youthful gender and sensual image. We doubt that whether Hamlet is aesthetically fake, a puppet, so to speak, manipulated by the playwright to concretize what Caliban means socially.

V. Hamlet's Barbarous Self

Hamlet treats the Elsinoreans brutally but his honesty conveys epical depth. He curses the courtiers, Kings and their subjects, the second sex, but he also pounces on himself with exactly the same curse. From his soliloquies we repeatedly get the same conclusion: He thinks that man, himself no exception, graceless and therefore barbarous. In the first soliloquy (1.2.129-59), the council was just dismissed by the King and his melancholic image is set against the backdrop of a public ceremony with full sociopolitical implications. Here we see nothing if not a very private and disturbed soul. Life, he believes, is impure, blemished, tarnished by evil. For example, with a husband “but two months dead” (1.2.138) his mother got married, a blossoming symbol of evil indeed, fitting the description “’tis an unweeded garden, / That grows to seed” (1.2.135-6). Therefore, “[f]railty, thy name is woman” (1.2.146). His conclusion is thus man, including himself, and the world are unruly, ugly, unnatural, and graceless. This grim view of man has puzzled criticism for centuries, but I think the playwright's intent was aesthetic (Knight; Mack). He wants his hero to think, speak and act exactly like that. The occasion of the second soliloquy (1.5.92-112) is Hamlet reflecting on the Ghost's murder accusation against the King, revealed to urge revenge. Amidst Hamlet's sworn vows to revenge, there are two things worth noting: One is his metaphorical use of the “table” of memory—he says he will “wipe away all trivial fond records, / All saws of books, all forms, all pressures past, / That youth and observation copied there” (1.5.99-101). He will replace all joys of the world with the intention of revenge. The other is that he again connects women with “the smiling damned villain” (1.5.106). Not only does he again imply that his mother's gender is full of moral weakness, he also expresses doubts against man and life, including his own. His self-deprecation may be philosophical, but its substance is excoriation and excessive revulsion.

Clearly, the first two soliloquies are written to characterize a proud though frustrated intellectual. Pondering on this amazing and extravagant soul, we begin to wonder what substance makes up such a man of extremes. The intention, I think, is to have the Self engage in a dialectical conversation with the Other: What the playwright offers is a strong self-conscious being with its “interiority unfulfilled,” as Barker sagaciously describes it. Religion, politics, and social existence do not have him, so besides despising all men and women, he must also deprecate himself. Spiritually and physically, nothing satisfies his conscience, which the editor of the Cambridge Edition defines as “religious meaning of an implanted sense of right and wrong” (Edwards 1985: 50). He is attracted to all human conflicts and his conscience cannot find any exit.

The third soliloquy and the fourth broach the subjects of playing and social being to further reveal human barbarity. Embarking on the road to revenge, Hamlet inadvertently encounters the problem of human existence. In the third soliloquy, the playwright makes full use of the theme of “playing” to deepen and broaden our hero's self-deprecation. He speaks the third soliloquy (2.2.543-601) because the emotional aplomb of the players

appalls him. To him, playacting is nothing but a postmodern bit: What you see is what you get—the rest is either surreal or hyperrealistic. Playing seems to challenge the power of the real but it never gives it any credit. His hatred of the power of the unreal makes him distrust the Elsinoreans, and deprecate himself and the world with “word, word, word” (2.2.192). He becomes a “rascal,” a “John-a-dreams,” a “coward,” “villain,” who is “pigeon-liver’d and lack gall,” and then a “slave’s offal,” “ass,” whore,” “drab,” and “scullion” (2.2.543-601). On the whole, what Hamlet really hates is what he perceives in himself. The hatred is the “I-see-him/her-in-me” kind of revulsion. The playwright becomes the main character, and the character he describes is his Self. Ironically, Hamlet needs playing to “catch the conscience of the king” (2.2.601). In other words, both the playwright and the character he creates regard theatrical business as sinful, but it is sin only insofar as the real world must live with. If this play gives us something to embody the alienated unconscious, then Hamlet’s distrust in the Other is a challenge of the Self, and doubt of the Self is the beginning of knowing the Other.

Between the fourth soliloquy (3.1.56-87) and the third we only see how Claudius and Polonius attempt to pry on Hamlet’s insanity through Ophelia. Gigantic metaphors are used to point out that man’s social being is a path that leads to death and nothingness. The nihilistic sentiment embodied by this magnificent soul¹⁴ makes us concede that Self cannot be defined, and politics, religion, and social existence cannot produce authenticity, authority, and autonomy. Religious self-awareness does not allow man to die for revenge, since the concept of the “undiscovered country” forstalls it. Self-awareness does not allow one’s social being to work either, but galvanizes him into action against the outrageous fortune. Like in other tragic plays, our hero is created to face death and seek spiritual liberation, only to find that the meaning of death, dominated by religion, hasn’t entered the sociopolitical and socioeconomic realm. If we do not read Hamlet’s thought as an ideological form and practice, it would be difficult to explain this situation. The bourgeoisie ideology represented by Hamlet has developed into a state where religion no longer has the authority to define the Self and the real world does not give it new substance. In short, the real does not allow him to define himself.

The fifth soliloquy and the sixth bring us to the more “marvelous,” “supernatural,” and “religious” aspects of our hero’s path to self-conscious regicidal revenge. Through more thoughts, human barbarity reaches its highest notch. In the fifth soliloquy (3.2.379-90), Hamlet still cannot bring himself to undertake “a surgical operation to remove a cancer from human society” (Edwards 58) even though he has already found the truth of his father’s murder through observing Claudius’s reaction to *Murder of Gonzago*. He again vows to “do such business as the day / Would quake to look on” (3.3.382-3), i.e., he will disregard all moral (and thus religious) conscience and begin to kill, because serving as the “thing,” the play has already confirmed the regicide. The use of the metaphors of witching time and hot-blood drinking suggests that the world is already teeming with futility (“sterile promontory” 2.2.299), barbarity and human sin. Revenge not only would worsen it but also would make it a great deal more disturbed, absolutely useless to human life (“a foul and pestilent congregation of vapours” 2.2.302-3). When he says, “O, heart, lose not thy nature” (3.3.384), he feels evil, not hopelessness. He does not want to admit it, but he seems to believe that inaction can stall the progress of human evilness. The sixth soliloquy (3.3.73-96) is spoken to respond to Claudius’ confession which he just overheard on his way to see his mother in her room. Regicide confirmed, killing a praying man still means awarding him with heavenly life. What Hamlet wants is to send the devil straight down to hell, not give him a free providential pass to salvation.

¹⁴ William Hazlitt believes that the character of Hamlet “is not a character marked by strength of will or even of passion, but by refinement of thought and sentiment” (165).

In the Renaissance, the cosmos is a vast space of purgatory from which one has no way to escape except through suffrages of the spectators (i.e., prayers) who have faith in the remission of institutional power.¹⁵ As a spectator, Hamlet's speech of "hire and salary" does not rectify any of the evils Claudius represents, but ironically affirms the materialistic base of man's relations with Providence, thus shattering the possibility of Christian eschatology. The playwright seems to be at once mocking at the hero's impossible mission and mourning for the world in general.

Spoken when he, after killing Polonius by accident which leads to his being banished, observes Fortinbras march through the Elsinorean field, the seventh soliloquy (4.4.32-66) sums up all of the fears Hamlet's Calibans (i.e., including himself) and thus Shakespeare's politic barbarians have. Hamlet fears that the "chief good and market of his time" (4.4.34), i.e., his life, should only be spent in sleeping and eating like a beast. He confesses that what defines him as a prince, exactly just like Fortinbras in front of his eyes, supposedly with more reason, honor, and courage, really amounts to nothing except like Claudius. He questions man's "god-like reason," which reminds us of his reply to Rosencrantz and Guildenstern earlier, where he defines man as "beauty of the world, the paragon of animals" (2.2.307). He does not believe that courage and honor can be "unmix'd with baser matter" (1.5.104), broached in the second soliloquy, since ahead of him Fortinbras' willingness to sacrifice thousands of soldiers' lives shows that greatness lies not in fighting for noble causes, but in quibbling over a small piece of land, "for an eggshell," as he mocks (4.4.53). To him, human actions are either all done in "bestial oblivion" or in "some craven scruple" (4.4.40), or he would have proven a hero himself by killing Claudius. The conclusion "O, from this time forth, / My thoughts be bloody, or be nothing worth!" (4.4.66-67) is a convenient expression of rejection of the use of conscience as he, as a theatrical devise, so movingly has touched us in the fourth and fifth soliloquies. It is an escape from the real world to nothingness, affirming London audience that sin and death are immanent, and that purgatory is imminent.

VI. Conclusion

In this paper I propose to treat Shakespeare's most read text with post-colonial subtext possibilities and read Hamlet as a colonizer, the materialistic man who thinks, speaks and acts like he is superior to other people while engaging in the business of revenge. Despite Benjamin's prophetic warning that "[T]here is no document of civilization which is not at the same time a document of barbarism" (256), today we live in an urban society where hi-tech culture lures us to believe that we are no longer inextricably bound up with human barbarism. Rereading *Hamlet* and we discover that this is certainly not true. Why does Hamlet, our typical Renaissance man, insist on looking at everyman and everything with merciless excoriation and even compound them with, not just dithering and blathering, but thought of barbarism of epical proportions? Is it because there is always a part of man that tends to do mischief, to engage in evil doing, to be cruel, to be, in a word, burdened with the threat of barbarism? That is, as Hamlet says, since "we are arrant knaves, all" (3.1.129), so only through brutality can we begin to deal with the "strangers in ourselves"? If so, the colonizer's acts of moral superiority, then, would not be without justification, and claim of self-awareness would make a great deal of sense.

¹⁵ In *Hamlet in Purgatory*, Greenblatt expounds a new theory of the concept of "self-fashioning" he talked about almost twenty years ago. "The whole social and economic importance of Purgatory in [Renaissance] Catholic Europe rested on the belief that prayers, fasts, almsgiving, and masses constituted a valuable commodity—suffrages," as they were termed—that could in effect be purchased, directly or indirectly, on behalf of specific dead persons" (19). The result was that text after text was written on it.

But it seems that this strand of thought is erroneous. Granted that the introspective, self-deprecating, megalomaniacal, sardonic, and brutal hero can be understood and even empathized with a cautious measure of humanity, he is erroneous. He—with his language of the marvelous—wills mankind into exhibits of barbarism, and, ambitiously though admirably, inculcates a sense of self-proximity into thought. This seems to be the reason why the tragedy of the final macabre and utter destruction is inevitable: As a agent, even self and self-proximity cannot escape being intepellated as ideology. According to Greenblatt, the pursuit of a representational aesthetics of the Self using the “machinery” such as images, language of the marvelous, emotion of wonder, and other mimetic practices, no doubt caused capitalistic aesthetics to circulate (which he calls “mimetic circulation”) (*Marvelous Possessions* 120). The troubled self exhibited by Hamlet impresses centuries of critics, but its detrimental effects to history has not been adequately measured. The image of self-awareness that goes on a rampage angrily represented by Hamlet may earn our admiration—at least my long-time admiration, but since it is built on difference and alienation, it truly yields a lack that demands fulfillment. And in this aspect, we are grateful to the creator of the drama who depicts that image.

Through exhibiting Hamlet as a self-conscientious colonizer and working with some of the main characters he struggles with, this paper attempts to show how Hamlet employs the language of the marvelous and “barbarizes” the Elsinoreans including kings, subjects, courtiers, friends, family, and the second sex, his mother and girl friend. With his ghost father, he seems blind-folded, since as an intellectual, he seems to hold no grudge against his monarchical-patriarchal image; but with the fatherly surrogate, Claudius, he seems to come back too soon to the identity of the traveler, who with moral and religious prejudice seems to take a dim view of the welfare of the whole community. In all these, we do not see any authorial voice divulging rights and wrongs, which leads us to believe that the playwright is struggling with what Greenblatt calls “the poetics of Purgatory.”¹⁶

Kristeva writes about the foreigner: “By recognizing him within ourselves, we are spared detesting him in himself. A symptom that precisely turns ‘we’ into a problem, perhaps makes it impossible. The foreigner comes in when the consciousness of my difference arises, and he disappears when we all acknowledge ourselves as foreigners, unamenable to bonds and communities” (1). Hamlet’s Calibans as foreigners and strangers, as politic barbarians that resounds with the bad name of the Self, as the otherly “thing of darkness” in ourselves, certainly comes to the mind.¹⁷

On the European colonizing acts of Columbus and Bernal Díaz during the earlier centuries,¹⁸ Greenblatt speaks of the “record of colonizing of the marvelous” through working with the relationship between Self and Other in the textual accounts of traveler-native encounter. He points out that there is a definite path for the intended conqueror and eventual victor to take in order to effectively gaze at the object that he wishes to possess, i.e., using “discursive strategies” that lead to “articulations of the radical differences that make renaming, transformation, and appropriation possible” (135). “The movement here,” Greenblatt says, “must pass through identification to complete

¹⁶ In *Hamlet in Purgatory*, Greenblatt explains how the Protestants hated and attacked the fraudulence of Purgatory, and Donne in his sermons also offered his defiance against this concept (45). All poetic efforts could not stop its being “hardened into the concept of ideology” through the course of history. So Greenblatt concludes: “What we call ideology, then, Renaissance England called poetry” (46). Shakespeare might have buried himself deep in this poetic struggle.

¹⁷ In *The Tempest*, Prospero speaks of Caliban as “this thing of darkness I / Acknowledge mine” (5.1.275-6). Like Prospero, our hero Hamlet seems to assume too much responsibility and authority over the Calibans in his world.

¹⁸ Columbus’s account is a successful case of “the colonizing of the marvelous,” while Bernal Díaz’s is not (*Marvelous Possessions* 24-5).

estrangement" (135). As the mark of inventorial and taxonomic efforts, renaming, transformation, and appropriation not only give the colonizer "possessions," i.e., "private property," but also lend him help to alienate the objects he attempts to own. Hamlet's Calibans experience a great deal of human sufferings. It makes us think that in attempting to save human soul, our hero has performed actions that, instead of bringing him close to the Calibans, pull him away from them. This is why Greenblatt says: "for a moment you see yourself confounded with the other, but then you make the other become an alien object, a thing, that you can destroy or incorporate at will" (135). I think that no matter how much humanity Hamlet endows us, what he unconsciously does is what colonizers would usually do—deliberately, willingly, and, to be blunt, dishonestly establishing a world of difference. Admittedly, this is not cultural invasion but humanity. But if the observed object is hegemonically manipulated to purchase barbarism, the observer's action, then, becomes cultural invasion. To the Renaissance audience, or any audience for this matter, the politic barbarism exhibited by the playwright and the character of Hamlet—the prince of mankind—certainly was not politically incorrect. "[C]aviar" or "the general" (2.2.433), who did the playwright vouch more? The answer was clear. Through our hero's many eloquent moral arguments, the capitalistic venture of the private enterprise gets further textual endorsement.

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Social-Constructivist Course Design and Efficacy of Teaching Translation as Language Skill — Taking a Media Translation Class as an Example

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Abstract

For years there is always a gray area of differentiating between teaching translation as a professional skill (TTPS) and teaching translation as a language skill (TTLS), and in academia the demanding voice of defining these two types of translation courses is getting louder. By reviewing an award-winning course applying TTLS as a teaching method, this paper proposes a basis of constructivism for teaching media translation in a bilingual college program in Taiwan. Communicative teaching, Content and Language Integrated Learning (CLIL), Self-regulated Learning, cooperative learning, peer reviewing, and online learning platforms (Moodle), are implemented as teaching techniques and expressive tasks.

Tracking the participants' online-learning records serves as a reference for verifying teaching strategies. The paper introduces a college-participant empirical study under the monitor of Action Research. Surveys were done to get the quantitative data. Open-ended questionnaire and classroom observations are also conducted to elicit the qualitative data.

Both the quantitative and qualitative data show that, due to the teaching and learning strategies based on constructivist course-design, the class activities are implemented well and the learning outcome is positive. The result from the open-ended questionnaire and classroom observation also indicates that other factors encouraging the participants' learning include the teacher's attitude, the advancement of Internet technology, and a happy learning environment. The implementation of this class is expected to benefit college students in bettering their English, translation skills, and communicative competence. Moreover, hopefully the implications can provide language instructors with more constructive insights when teaching translation.

Key words: teaching translation as a language skill (TTLS), self-regulated learning (SRL), online learning platform, content and language integrated learning (CLIL), social-constructivist course design

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社會建構論下語言翻譯教學之課程設計及其效益 ——以媒體翻譯課為例

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摘要

長久以來「專業翻譯教學」(Teaching Translation as a Professional Skill)與「語言翻譯教學」(Teaching Translation as a Language Skill)一直處於一種灰色地帶，而認為該將這兩類翻譯課作一區隔的呼籲也在學界日益增高。本文從檢視一門得獎的「語言翻譯教學」課程，闡述社會建構論的課程設計如何在雙語授課環境中帶來教學效益。溝通式教學法、學科內容本位語言統整學習法(CLIL)、自主學習、合作學習、同儕評估，以及網路學習平台等教學步驟，也同時成為具有意義的學習任務。

以「行動研究」方式所調查的某大學「媒體翻譯」課為例，本研究從課堂觀察、互動分析、學生線上討論記錄，和開放式問卷取得質化資料，並以封閉式問卷取得教學反應與學生學習動機策略兩方面的量化資料。。

研究顯示，以社會建構論為基礎的教學策略，在活動執行與學習效益上都呈正向反應。而從開放式問卷的結果看來，教師的態度、網路科技的發達，及快樂的學習環境，也是提升學習力的原因。本研究期望由實際課程的執行面，改善學生的英語力、翻譯力，乃至溝通力。同時本研究亦希望能為從事語言翻譯教學的教師，提出一些具體參考。

關鍵字：語言翻譯教學、自主學習、網路學習平台、學科內容本位語言統整學習法、社會建構論課程設計

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1. Introduction

Following the trend of globalization, more and more universities in Taiwan are offering internationalized courses to serve the local students. It is claimed that these courses or programs are designed “through balanced training in theory and practice and career advising for the global market,” as quoted from the website of a university in Taiwan. However, the traditional teaching approach applied in many classes, including the translation classes, makes a mission statement, such as one shown above, become a challenge on many campuses.

In Taiwan, Chinese-English Translation as a subject witnesses unparalleled growth of Translation Studies. However, there are some issues showing the course framework is not clear. The first issue is the so-called translation class has been a significant part of the curriculum of almost all Applied English departments, where English learning actually outpaces translation learning. The second is the teaching of translation is still influenced by the traditional teacher-fronted pedagogy, which frustrates students in telling them to imitate or even copy the “right” translation provided by the textbooks or by the teachers. The third issue is the role of Content and Language Integrated Learning --- one of the main features of the internationalized courses. The objectives of this approaches is usually well-stated, but the implementation is usually another story. As a result, it creates a rather passive, if not boring, translation class. To turn this situation around, a communicative translation teaching, which is based on social constructivism, has been developed, and this paper describes the implementation and examines the implications of the course design.

To which extent a class can be viewed as an internationalized one when the teaching approach in the class is still traditional? This empirical study investigates how a translation class can be a powerful way of learning English when teaching translation as a language skill (TTLS) has been clarified as the objective, and how Content and Language Integrated Learning (CLIL), a dual-focused educational approach, was actually implemented well in a college classroom by the aid of staged bilingual instruction. Moreover, this study also examines how CLIL approach can work better when combined with Self-Regulated Learning strategies.

By introducing a 14-week, 31-participant class experiment and by explaining the theories underlying the test reports, the study shows what CLIL in a translation class and SRL can take a bilingual/ESL learning experience into a further direction. In addition, meaningful tasks related to the study, such as the curriculum design, course outline, E-learning steps, peer reviews, and teaching strategies, are introduced with descriptions, photos, and surveys in the methodology section and the data analysis section. The result of the study indicates that the participants did get a more positive learning outcome when staged bilingual instruction were conducted by the teacher and Self-Regulated Learning strategy were applied by the students.

2. Literature Review

This section draws on concepts and literature from the fields of Second teaching translation as a language skill (TTLS), the importance of curriculum re-conceptualization, Content and Language Integrated Learning (CLIL), and the implication of Self-Regulated Learning (SRL), to explore how some approaches and strategies derived from these fields can be used in a real teaching environment.

2.1 Teaching Translation as a Language Skill

The characteristic of social constructivism in translation was supported by Systemic Functional Linguistics proposed by Halliday in the 1980s. The main idea of this theory is “functional” rather than “formal”, and it means “language as a resource used for communication and not as a set of rules” (Richards, Platt & Platt, 1998, p. 464). As a subject or as a reading process, translation carries the characteristic of social constructivism deeply (Liao, 2007). Consequently, Li (2003) pointed out “glasnost” (Russian term for “openness”) is one of the characteristics of translation.

Bassnett & Lefevere (1998) elaborated many reasons and ways of making translation turn in cultural studies, and this opinion is similar to the point that translation is a changing process of world views (Li, 2010). Lu & Lan (1997) regarded translation as a specified subject in the communication studies. They concluded that translation is an exchange of cross-cultural information, so its nature IS communication. Wu (2005) pointed out that translation is a social behavior involving ideology and power. Dollerup (2007) raised a similar viewpoint. The example he used in his book is the problem of western centrality in translation studies.

The inter-disciplinary characteristic of translation was also recognized by Xie (1994) and Lai (2009). Both scholars mentioned that translation is not just about “languages”, it is also related to the languages behind all kinds of subjects. They also suggested that translation studies should be promoted in different departments. Lai (2009) further suggested that Chinese departments should offer translation courses.

In Taiwan, most of the translation courses are offered by English departments or Applied Linguistics colleges (Liao, 2007). Wang (2003) pointed out that even though the translation courses have been offered by some Translation-Studies departments, the courses still relatively focus on English learning more. This fact indicates that translation has been used as a strategy to enhance English/foreign language learning, and it generates two kinds of voices in terms of the structure of translation courses (Liao et al, 2011). One voice claims that translation studies should be an independent subject with clear objectives and professionalism. The other voice claims that translation needs not to be that “independent” and can keep serving as a course to enhance English/foreign language learning. Liao et al (2011) categorized the latter claim as “teaching translation as a language skill” (TTLS), which fits more of the situation in Taiwan. The study of Chang (2009) also reflected the situation. She defined her class as translation pedagogy, but her class was still with a strong sense of English teaching. Applying corpora tools was her step to address and face the problem of Taiwanese students’ insufficient knowledge of English.

With a viewpoint of social constructivism, McLaughlin (1978) and Corder (1981) claimed that learner’s first language can serve as a foundation of prior knowledge when learning another language and culture. In Taiwan translation was discredited in second or foreign language learning, because many teachers were concerned about the interference of mother tongue, and they kept promoting the idea “when learning the target language, think in the target language” (Laio, 2007). However, many scholars support the positiveness of applying translation to language learning. Ellis (1985) and Swan (1985) suggested that a learner’s mother tongue should NOT be viewed negatively when learning a second or a foreign language, and a translating process in a learner’s head should be re-evaluated in a positive manner. Chellappan (1991), Liu (1997), Liao (2007) agreed that translation can help learners notice the differences of the two languages, and thus enhance the learners’ linguistic and cultural awareness. Ellis (1997, 2003) viewed translation is one of the communication-transfer strategies, which may facilitate the communication skill. Ke (1997, p. 6) highly valued translation-training in language learning. He pointed out

that other than the four skills, listening, speaking, reading, and writing, translation is an indispensable skill when evaluating target-language proficiency levels.

2.2 The Importance of Curriculum Re-conceptualization

The theories directly related to the modern curriculum design can be dated back to the late 18th century. Chen (2003) pointed out that, the theories developed by Pestalozzi, Froebel, Herbart, Spencer, and Parker, all made some impact on the modern curriculum design. Among them, Spencer is the first scholar who promoted the concept of discipline integration, and Parker developed a children-center learning theory, which turned the foundation of the famous Progressivism promoted by Dewey in the 1930s (Huang, 1995; Chen 2003). Chen (2003) suggested that Dewey is the most influential educator promoting curriculum integration in the 20th century, because his learner-based idea emphasized “sharing” and “social interaction”.

More well-known theories were introduced during the mid 20th century, such as Gestalt Psychology developed by M. Wertheimer and K. Koffka, Cognitive-developmental Theory by J. Piaget, Spiral Curriculum by Bruner, and Tyler Rationale by R. Tyler. Later these theories made some direct impact on Curriculum Re-conceptualization promoted by Pinar, Stenhouse, and Apple in the 70s and 80s (Huang, 1992; Zhang 1998; Chen 2003). Pinar (1975) suggested that the purpose of a new course should cover four training aspects, namely “regressive reflection”, “progressive reflection”, “analytical reflection”, and “synthetical reflection”. Apple (1979) further mentioned that the ideology and power structure in any educational system should be examined from time to time. These post-modern viewpoints later inspired Gagne to claim his Conditions of Learning in 1985, Gardner (1985) pointed out that under the influences made by the previous scholars, concepts like “teach”, “learn”, “knowledge”, and “learning outcome” started to have new interpretations, including those of Multiple Intelligences proposed by Gardner himself. Based on cultural relativism and social constructivism, Cross (1995) claimed that a course structure and content should be co-established by teachers and students. Moreover, Beane (1997) also claimed that any updated course should reveal its objective under the social context.

Nowadays an updated curriculum design has been shifted from teacher-center to student-center. During the course implementation, students not only can be informants, but also negotiators (Lauritzen & Jaeger, 1997). Zhang (2004) also suggested that a world trend of curriculum development emphasizes multi-combinations of students’ competences, such as the competence of problem-solving, critical thinking, and metacognitive learning. In addition, the course content is more activity-oriented.

In the field of education psychology, Reflective Teaching can be viewed as one of the new course paradigms. The essence of Reflective Teaching is derived from social constructivism and even further, dialectical constructivism (O’Donnell, Reeve, & Smith, 2007). It means knowledge is constructed by the learners from time to time, and the teachers are facilitators providing positive learning environment accordingly. O’Donnell, Reeve, & Smith (2007) suggested that this viewpoint actually is very close to the principle proposed by Vygotsky decades ago, and nowadays its application is widely extended among learner communities and in computer/internet-aided learning environment.

O’Donnell, Reeve, & Smith (2007) pointed out Reflective Teaching is different from the traditional technical teaching based on standardized norms. Moreover, it is, to some extent, a strategy of enhancing the traditional technical teaching. Schon (1983, p. 20) proposed that the role of teacher in the Reflective Teaching is a reflective practitioner who has the knowledge in action to generate the reflection. Zeichner & Liston (1996) suggested that a reflective-teaching type of teacher has five characters: Firstly,

problem-solving attitude towards course issues. Secondly, a critical thinking towards course values. Thirdly, awareness of the educational system and cultural background. Fourthly, participation of curriculum development. Fifthly, a strong sense of responsibility of professionalism.

2.3 Content and Language Integrated Learning (CLIL)

CLIL is a “dual-focused educational approach in which an additional language is used for the learning and teaching of both content and language” (Mehisto, Marsh & Frigols, 2008, p. 9). This approach has been developed and implemented for decades in Europe, and nowadays in Europe CLIL is used urgently to “increase European cohesion and competitiveness”, and in Asia CLIL is used for social-economic reasons. (Mehisto, Marsh & Frigols, 2008, p. 10).

At college level, one of the common bilingual-teaching models is the Content and Language Integrated Learning (CLIL), which was derived from the concept of Content-Based Language Learning in the ESL field. Garcia (2009) pointed out that CLIL “protects the development of the first language, while exposing students to the second language for a certain time which may start in primary school” (p. 130). Snow (2001) suggested that CLIL could successfully match the objectives proposed in the Second Language Acquisition (SLA) methodologies. Mehisto, Marsh & Frigols (2008) also mentioned that one of the CLIL features is to promote the meta-linguistic awareness (p. 28).

Many people have an impression that teaching-more-than-one-language can be well-applied only to children. However, Baker (2006), Garcia (2009), and Mcgroarty (2001) all suggested that it also can be applied well to adult learners. Mcgroarty (2001) mentioned that both in the field of Teachers of English to Speakers of Other Languages (TESOL) and in the field of Bilingual Education, many voices agreed that quite a number of CLIL methods can be used for monolingual students who want to develop their second language fluently (2001, p. 445).

Mehisto, Marsh & Frigols (2008) made a clear statement that the essence of CLIL is integration, which simultaneously focuses on first, “language learning is included in content classes,” and second, “content from subjects is used in language-learning classes” (p. 11). They also pointed out that “connecting to personal experience in a classroom” is one of the major rationales of CLIL (p. 55), because the connection is based on social constructivism and it directly makes a great impact on learners while they are judging what “meaningful learning” is to themselves. In other words, CLIL can serve as a tool making college second-language learners develop the abilities of facing those internationalized course on campus and in the mean time enhancing their second language proficiency while studying the content of the courses (Snow, 2001, p. 388).

2.4 The Implication of Self-Regulated Learning (SRL)

When talking about the issues of learner-instructor matching and strategy training, Ellis (1997) mentioned that the purpose of strategy training is to “provide a way of helping learners to become autonomous” (p. 87). Liao (2007) suggested that autonomous learners take responsibility for their own learning. In his research regarding the application of on-line Moodle translation learning, the result shows that due to the autonomous learning environment provided by Moodle, the learning outcome of the students is more positive.

For decades scholars also brought up the term “self-regulated learning” to further elaborate the value of learner autonomy. The definition of self-regulated learning, according to Pintrich & De Groot (1990), can be looked into three phases, including “the

actual cognitive strategies that students use to learn, remember, and understand the material”, “students' metacognitive strategies for planning, monitoring, and modifying their cognition”, and “students' management and control of their effort on classroom academic tasks” (p. 33).

In terms of a learner's role, Taylor (1986) proposed a theory about the developmental stages. When experiencing self-regulated learning process, in his opinion, learners must go through a cyclic learning pattern involved equilibrium, disorientation, exploration, and reorientation. Taylor's theory has been a foundation for SRL curriculum designers. For example, the four SRL learning stages proposed by Gibbons (2002), namely those of independent thinking, self-managed, self-planned, and of self-instructed, were based on Taylor's theory. In aspect of student learning and academic performance in the classroom context, Corno & Mandinach, (1983); Corno & Rohrkemper (1985); and Pintrich & De Groot (1990) all pointed out that cognitive and behavioral self-regulation was very important.

In term of the application of SRL in a translation class, the class experiment done by Chang (2010) indicates that using portfolio as learning tools can bring a better over-all learning outcome. Moreover, the employment of portfolio did foster the translation trainees' attitude and help them take more learning responsibility. Li (2001) pointed out that self-regulated learning involved students' taking the initiative in willingness, attitude, and methods. Furthermore, these can be detected when students are showing strong motivation and active manner in a learning process. Being willing to do cooperative learning with peers, setting up a high self-monitoring step, and being perseverant, according to Li (2001), are also the signs of self-regulated learning.

3. Methodology and Course Design

3.1 Research Method

This mixed-method study combines both quantitative and qualitative data with a concurrent triangulation approach. The researcher applied the approach to “confirm, cross-validate, or corroborate findings within a single study” (Creswell, 2003, p. 217), and the results from both data sets were integrated during interpretation to “note the convergence of the findings as a way to strengthen the knowledge claims of the study or explain any lack of convergence that may result” (Creswell, 2003, p. 217).

In this class experiment, the researcher, who is also the instructor of the class, conducted two surveys to collect quantitative data, and conducted action research to collect qualitative data. The characteristics of action research, according to Nunan (2004, p.17) are: 1. “it is carried out by the practitioners rather than outside researchers”. 2. “it is collaborative.” 3. “it is aimed to change things.

The questionnaires are designed by the Teaching and Learning Resources Center of the school. The participants were 31 undergraduate Applied English majors who took Media Translation course. As to the action research, in this experiment it means all the SRL curriculum-design steps along with the entire semester, including the course framework, syllabus, weekly course instruction, online Moodle assignments, email communication, etc. According to each of the steps, the researcher observed how the students reacted and what they had performed.

There are two questionnaires in this study. One is on responses to teaching. It contains 26 closed-ended questions, which are divided into 6 categories, and followed by 6 open-ended questions. The closed-ended questions are designed to elicit information regarding course design, teaching implementation, class management, teaching evaluation, teaching guidance, and self-Improvement of teachers. As to the open-ended questions, they are listed to get teaching advice from the respondents.

The other questionnaire is the questionnaire on learning motivation and strategies. It

contains 85 closed-ended questions, which are divided into 12 categories to elicit information regarding inner motivation, external motivation, thinking about course content, control of learning outcome, anticipation of learning ability and performance, learning ability, time management, strategy management, persistence, peer learning, course difficulty, and learning outcome.

For the closed-ended questionnaires, all the respondents were asked to answer the questions on a five-point Likert scale with the range “strongly agree, agree, neutral, disagree, and strongly disagree.” The survey was conducted with the Chinese-version questionnaires, which are translated into English to fit the writing style of this paper.

All in an on-site self-administered manner, in the 14-week semester, the 85-question survey with the same content was conducted twice, one after the midterm exam, the other before the final exam. The 26-question survey was conducted once at the end of the semester.

3.2 Course Design and Teaching Strategies

What makes the course special is that it is designed in a re-conceptualized manner, and the teaching strategies thus serve as part of the research. The researcher applied communicative approach as the most important teaching method to support the basis of constructivism for teaching media translation in a bilingual college program. The nature of a good translation class is in a small size. This fact may not rationalize the sampling of the quantitative data in this research, but it serves as a good catalytic agent for teacher-student interaction.

This course is designed for senior students. Moreover, it is a translation class but it also aims at enhancing students’ English proficiency level. Therefore, the course promotes English learning more than translation-theory learning. Nevertheless, as a professional translator, the instructor delivers quality Chinese surely in both oral and writing forms. In addition, the major issues in the field of Translation Studies, such as those of style, translation for media, and cross-cultural pragmatics, are still introduced along the course. Furthermore, regarding the training of translation skills, each activity in the course is designed to practice one or two skills, such as discourse analysis, extract gist, listening comprehension, note-taking, paraphrasing, transcription, retention, shadowing, sight interpretation, etc. Emphasizing “wide” rather than “deep” is for the purpose of offering an interesting introductory course. Below are the diagram and the concept map of the course design:



Figure 1. The diagram of the course design
Source: this study

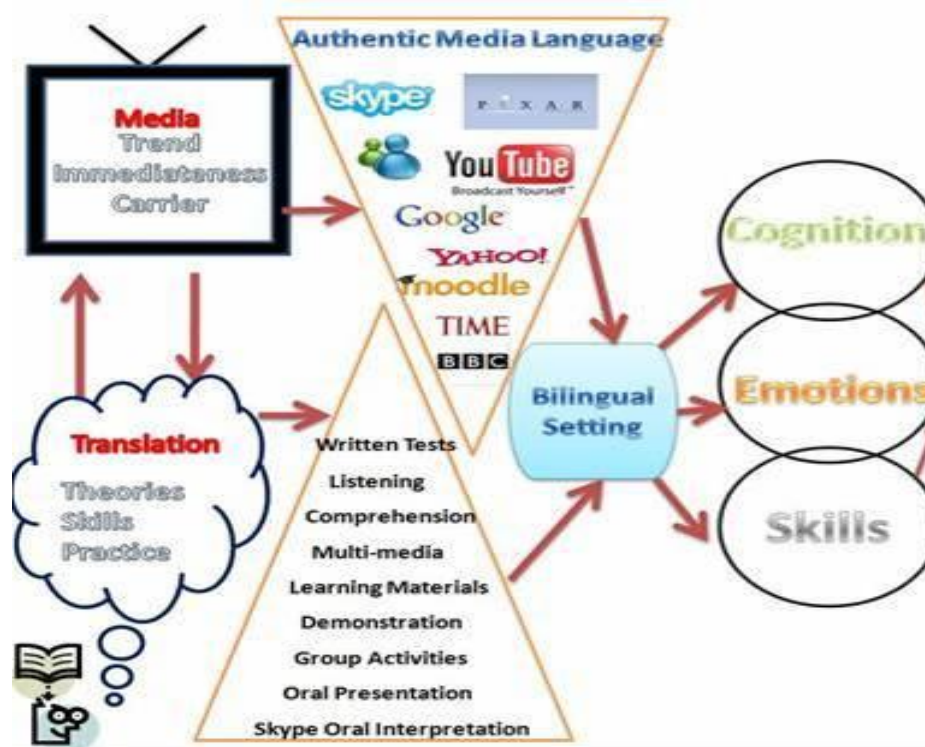


Figure 2. The concept map of the course design
Source: this study

In the two figures shown above, “media” and “translation” are major categories. The “media” is categorized with its characteristics “trend”, “immediateness”, and “carrier”. On the other hand, “translation” in this course means the environment of enhancing English learning, the “playground” of translation-skill training, and the conditions of practice. The two triangles represent the contents derived from the two major categories. They point to each other because the two triangles eventually will mingle together into one entity in a bilingual environment. The purpose of this design is to help students internally-develop their cognition, emotions, and skills.

Other meaningful tasks are also implemented as teaching techniques, and are introduced as follows:

First, there is a course government comprised by the students and the teacher. The teacher is in charge of theoretical introduction, skill guiding, translating demonstration, but the students are in charge of completing all the assignments. Second, the online learning platforms, in this case, Moodle, is a tool for helping the students develop their self-regulated learning. Third, the group activities and peer reviewing, both in the classroom and on Moodle, are designed to promote cooperative learning. Fourth, the teacher encourages content and language integrated learning (CLIL) throughout the whole semester, including using English to take notes, to reply in oral or written forms, and to take exams.

Fifth, the application of authentic media language interests the students more than any traditional textbook. The articles from TIME magazine are the required reading texts but they are not the only assigned reading materials. “The whole world is your textbook” is the concept the teacher wants to promote, therefore the other materials coming from the American ABC, NBC, CBS, BBC, and CNN news, instant news provided by Google and Yahoo, Pixar animation, pop songs, Oscar-winning film, movie trailers, commercial films, press conferences, are also the sources of promoting the practice of listening

comprehension (即席聽力訓練), sight interpretation (視譯訓練), film-subtitle translation (電影字幕翻譯).

Sixth, the Skype long-distance learning is a type of oral-interpretation training (口譯訓練). It creates a chance to let the students experience a real interaction via telepresence. (The far end is a Berlitz English teacher and the local end is the students. The live assignment goes when the students see the Chinese prompts and they need to translate them into English immediately to the teacher, and the teacher replies in English and everybody checks if the answers are correct.)

Seventh, one of the assigned articles from TIME magazine is about the founder of Facebook Mark Zuckerberg. Through reading his life story, the instructor asks the students to compare different media comments made about Mark, and in the mean time asks the students as a member or a non-member, to reflect on what Facebook has been doing. The students suddenly noticed that a class material could be very close to their personal lives, and they turned more interested in learning English.

Eighth, both the English and Chinese oral presentations are designed to enhance students' speaking skill. In different weeks, they are required to broadcast English news and use Chinese to introduce the best translation cases they can find. Eighth, this E+C blended course promotes the learning outside and inside the classroom. E-learning enables the students to review what have been taught at any time, and the "C", which implies the classroom activities, consolidate the teacher and the students as a whole. The classroom used for this course is the American Culture Classroom specially designed by the Applied English department. The classroom setting is full of the American images, objects, and American-English. This, in a way, strongly promotes the target-language learning.

4. Data Analysis

4.1 Response of the Questionnaire to the Teaching and the Course Design

Since the beginning of the class, the instructor had sensed that two reasons of making this class a highly cooperative one. The first reason is the small-size class of 31 students, and the second reason is that 95% of the students took the instructor's class before. Both reasons make the class interaction much smoother.

Regarding the result of the questionnaire response to teaching, which was done at the end of the semester, among the 26 closed-ended questions, all of the responses of the 20 questions got the mean of 4.0 or even up to 4.4. There are 4 questions (No. 7, 11, 19, 26) got the mean of 4.5, and 2 questions (No.12 and 22) got the mean of 4.6.

Table 1
Questionnaire Response to Teaching

教師教學知能題目	回應					平均
	非常良好	良好	無意見	可改進	尚需加強	
A1. 課程設計 Course Design						
1.老師能訂定具體可行之課程目標。 Teacher is able to set concrete and feasible course goals.	39%	61%	0%	0%	0%	4.4
2.老師能依照課程目標選擇適宜之教學內容。 Teacher is able to choose appropriate content in accordance with course goals.	39%	61%	0%	0%	0%	4.4
3.老師能根據目標與學生學習特性組織課程內容。 Teacher is able to organize the course content in accordance with course goals and students' learning characteristics.	39%	58%	3%	0%	0%	4.4
4.老師能選擇符合學生程度之教材，必要時自行研發創新教材。 Teacher is able to choose the appropriate teaching materials in accordance with students' abilities, and create innovative teaching materials in need.	42%	58%	0%	0%	0%	4.4
5.老師能依據課程性質與需要，選擇恰當的教學方法，例如：講授法、合作學習法等等。 Teacher is able to adopt the appropriate teaching methods in accordance with the quality and demand of the course, such as Lecture Method and Cooperative learning method.	39%	61%	0%	0%	0%	4.4
A2. 教學實踐 Teaching Implementation						
6.老師能搭配適合的圖儀設備、網路或教具，以達到教學目標。 Teacher is able to achieve the teaching goals by using appropriate equipment, web pages and teaching aids.	45%	52%	3%	0%	0%	4.4
7.老師能設計符合課程內容之教學活動，如實作、分組討論、上台發表等等。 Teacher is able to design teaching activities according to the teaching content, such as practical application, group discussion or presentations.	45%	55%	0%	0%	0%	4.5
8.老師能根據學生程度調整教學方法因應之。 Teacher is able to adjust teaching methods in accordance with students' abilities.	35%	55%	10%	0%	0%	4.3
9.老師能彈性變動教學內容以配合學生學習。 Teacher is flexible regarding teaching progress and content in accordance with students' learning status.	37%	59%	3%	0%	0%	4.4
10.老師能關注學生個別的學習困難。 Teacher notices and cares about individual student learning difficulties.	23%	58%	19%	0%	0%	4.0
A3. 班級經營 Class Management						
11.老師能善用時事、小故事、笑話、或舊經驗的連結等方式，激勵學生的學習動機。 Teacher is able to inspire students' learning motivation	44%	56%	0%	0%	0%	4.5

教師教學知能題目	回應					平均
	非常良好	良好	無意見	可改進	尚需加強	
by using motivating news, issues, stories, humor or personal experience.						
12.老師能保持良好的師生互動，維持和諧熱絡之上課氣氛。 Teacher is able to maintain good interaction with students and harmonious atmosphere in class.	50%	50%	0%	0%	0%	4.6
13.老師能善用提問的方式，刺激學生思考。 Teacher is able to stimulate students' thinking by raising questions.	35%	58%	6%	0%	0%	4.3
14.老師能鼓勵學生發問，檢視學生學習狀況。 Teacher is able to encourage students to express questions to review their learning progress.	41%	59%	0%	0%	0%	4.4
15.老師能營造不怕犯錯、勇於嘗試的學習殿堂，讓學生快樂學習。 Teacher is able to create a class atmosphere in which students are not afraid of making mistakes, brave to give it a try and learn happily.	45%	48%	6%	0%	0%	4.4
A4. 教學評量 Teaching Evaluation						
16.老師能明訂具體的考試和作業的評分標準。 Teacher sets up concrete evaluation standards for examinations and homework.	32%	65%	3%	0%	0%	4.3
17.老師能採取多元評量方式評比學生分數。 Teacher utilizes multi-faceted evaluation methods.	39%	58%	0%	3%	0%	4.3
18.老師能公平公正地予以評分。 Teacher uses fair and just evaluation methods.	45%	55%	0%	0%	0%	4.4
19.老師能從評量過程中瞭解學生學習狀況，作為修正課程教學之參考。 Teacher is able to understand students' learning status from the evaluation process and take this as reference to adjust the course and teaching.	43%	57%	0%	0%	0%	4.5
20.老師的考評方式可以測驗出我的學習成果。 The teacher's chosen evaluation methods are able to assess my learning outcomes.	42%	52%	6%	0%	0%	4.4
A5. 教學輔導 Teaching Guidance						
21.老師能判斷學生學習困難的內容與原因。 Teacher is able to discover students' learning difficulties regarding course content and the reasons behind them.	16%	74%	10%	0%	0%	4.1
22.老師能瞭解學生先備知識的不足處，進而給予建議與輔導。 Teacher is aware of students' lack of prior knowledge and able to advise them accordingly.	30%	68%	2%	0%	0%	4.6
23.老師能針對表現優異的學生，提供額外的學習機會與資源。 Teacher is able to provide extra learning opportunities or resource for students with excellent academic performance.	23%	47%	30%	0%	0%	4.0

教師教學知能題目	回應					平均
	非常良好	良好	無意見	可改進	尚需加強	
24.老師能輔導學生選修相關系列課程，協助學生建構完整的學習歷程。 Teacher is able to assist students' constructive learning process by advising them to select other related courses.	16%	68%	16%	0%	0%	4.2
A6. 教師自我成長 Self-Improvement of Teachers						
25.老師能持續改進教學方法、發展教學策略、或開發創新課程和教材。 Teacher is able to improve his/her teaching methods, develop teaching strategies or design creative courses and teaching materials continuously.	42%	52%	6%	0%	0%	4.4
26.老師能廣泛關注與課程有關的新知識。 Teacher is highly alert to updated knowledge related to the course.	39%	60%	1%	0%	0%	4.5





Source: this study

The highest-mean (4.5 and 4.6) items suggest that the instructor is able to choose the appropriate teaching materials, properly using equipment, web pages and teaching aids, and maintain good interaction with students. It also shows that the instructor can inspire students' learning motivation by using motivating news, issues, stories, humor or personal experience. Moreover, the evaluation indicates that the instructor understood students' learning status and knew how to adjust the course and teaching, including giving students advice accordingly. Finally, the instructor's high interest in updating knowledge related to the course is also shown in the survey result.

The result shows that the students do like the course design, the instruction, and the assigned activities. Moreover, comparing the result with class observations and students' weekly online discussions, it indicates that a good course design with proper instruction can promote the students' learning motivation and help them choose better learning strategies.¹ Similar indication is also showed in the answers to the six open-ended questions. Please see the English translation of the result in Appendix.

¹ One of the good indicators from the classroom observation is the high attendance rate. During the entire course, all but two weeks saw full-attendance.

Figure 3. A sketch of the class activities

	
<p>Authentic Material Reading</p>	<p>US-TW Skype Talk Section</p>
	
<p>Translation Supplementary Materials</p>	<p>Online Learning Platform</p>
	
<p>English News Report</p>	<p>English Oral Presentation</p>

Source: this study

4.2 Response of the Questionnaire to Students' Motivation and Learning Strategies

The second questionnaire were used twice, one was used in the midterm week, the other in the final week. Due to the page limit, the researcher can only describes the results in words and can't show all of the charts and graphs. Among the 31 student participants in total, 29 students filled in the first survey, which made a 94% responding rate. As to the second survey, all of the students turned in their finished copies, which made a 100% responding rate.

Regarding the questionnaire on learning motivation and strategies, taking the result done in the final week as the example, among the 85 questions, more than 55% (49% in the midterm week) of the questions got the mean of 4.0 or above, and 22% (28% in the

midterm week) of the questions got the mean of 3.5 or above. This indicates that most of the students' learning motivation and strategic application are better along with the course instruction.

Comparing the two results derived from the two different weeks, there are some lower and higher percentages among the 12 categories. Below is a bar-graph showing the differences. In each pair of the bars, the blue ones are on the left (termed Test 1), and it is the result derived from the midterm week. The red ones are on the right (termed Test 2) and it is the result derived from the final week.

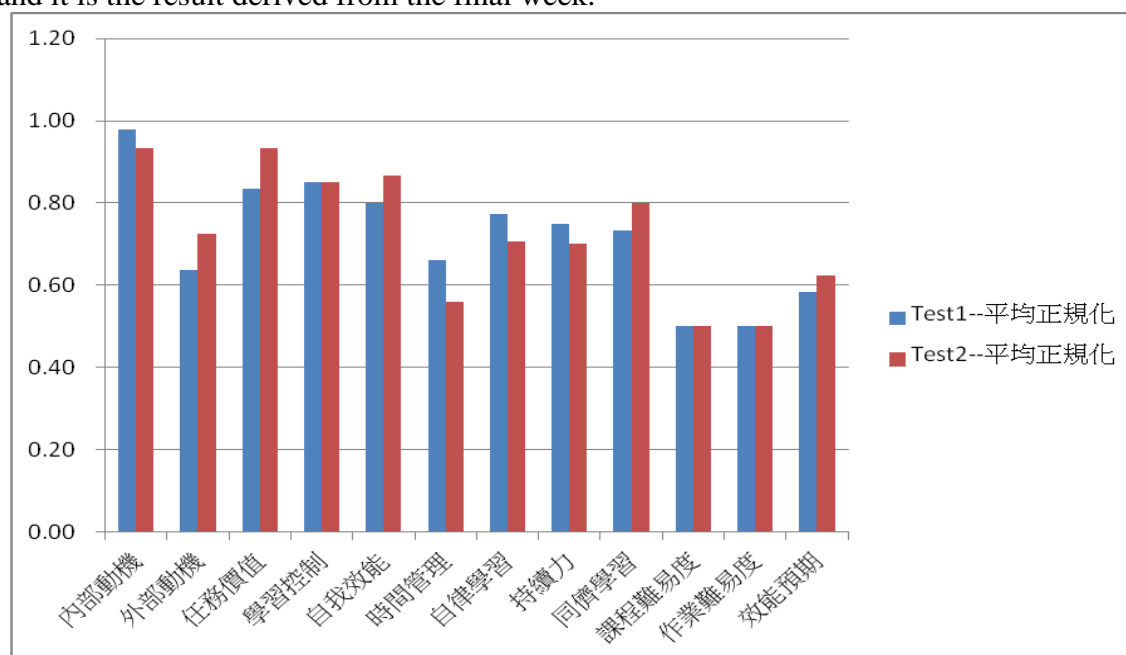


Figure 4. Bar-graph of the comparison of students' motivation and learning strategies
Source: this study

The 5 items showing an increasing rate are those of external motivation, value of course tasks, learning ability and performance, peer learning (cooperative learning), and the learning outcome. The percentages of the other 3 items remained the same, and they are those of control of learning outcome, course difficulty, and assignment difficulty. Altogether these 8 items imply that the students were highly motivated and they were aware of the value of applying strategies.

Yet there are 4 items showing a decreasing rate, and they are those of inner motivation, time management, strategy management in terms of self-discipline, and persistence. The findings imply that these senior students might be too busy and even too tired to deal with the course, especially during the 4 weeks around the end of April and in May. They needed to deal with all kinds of things for their graduation, plus there was a big required translation written-test in this class. All these might mess up their time management and consequently lower their inner motivation.

Cross-checking with the means of each of the 85 questions supports the findings. There are about 15% of the questions got lower than 3.0, even as low as 2.1, and that's because those questions are designed for the result that the lower points, the better. For example, question No. 12 "Regarding this course, my only interest is to pass." It got 2.7 in the final week (2.4 in the midterm week). Question No. 15 "I do not care if I look more stupid than other classmates; however, I do care if I pass this course." It got 2.7 (2.3 in the midterm week). Question No. 18 "I do not care what I have learned, all I care about is to pass this course. It got 2.4 (2.1 in the midterm week). In other words, the students were more confident for the first 10 weeks. However, along with the increasing difficulty of

this translation class and with their busy senior life, the expectation of passing the class turned relatively more important.

The online learning records and discussions also serve as data evidence. In the 50-30-20 assessment model,² the students gradually noticed the significance brought by their own self-regulated learning, and consequently realized the importance of peer learning. Furthermore, their attitude toward the assigned American Cultural classroom changed. In the beginning they felt pressured when staying in the room, because that room was full of English-prompted decorations. Later they adjusted the environment because they knew that a room organized for English learning actually invited them to develop their language skills in purposeful ways.

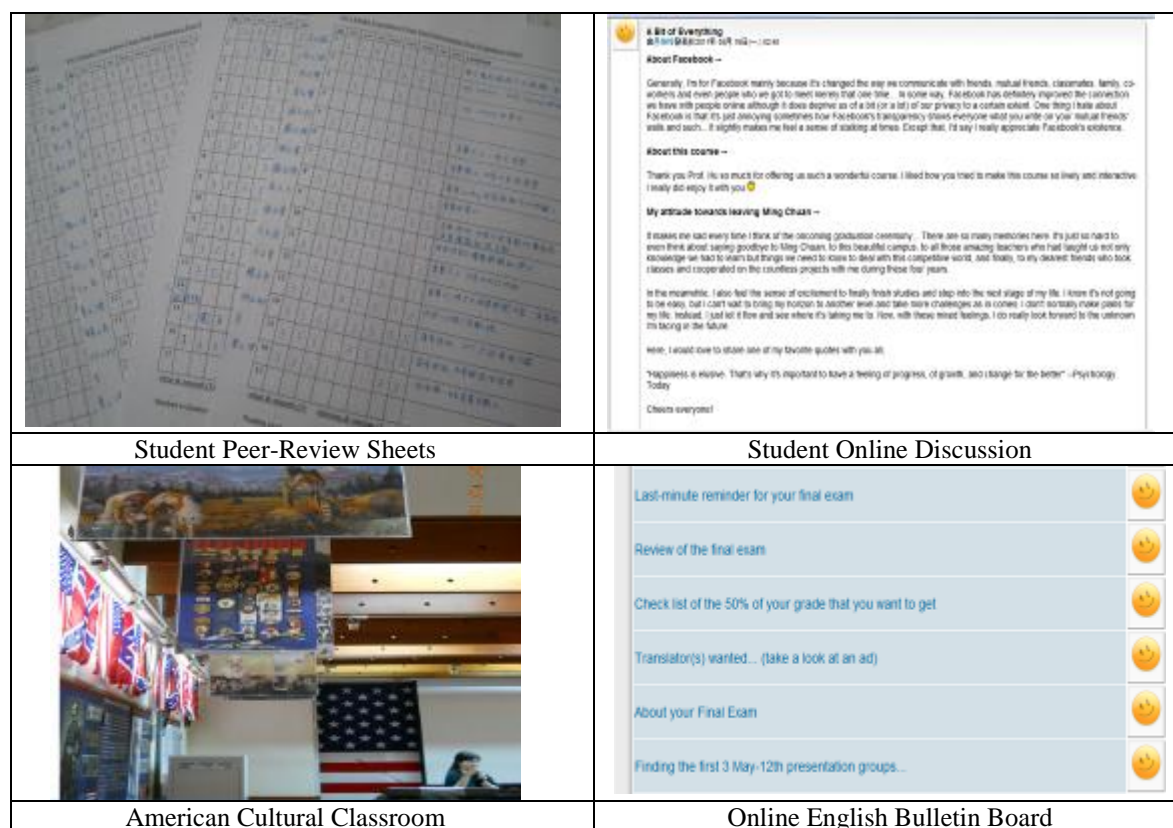


Figure 5. A sketch of the Self-Regulated Learning steps

Source: this study

5. Conclusion

From the classroom observation, online-learning platform observation, and the result of the survey, the research indicates that this is a well-organized class. Furthermore, an official off-campus committee awarded this class as one of the Annual Excellent Classes of the school (教育部教學卓越計畫年度外審績優課程), and this record suggests the effectiveness of the course design.

Teaching does not happen unless learning takes place; therefore, to talk of teaching is to talk of learning. Communicative teaching is based on an attitude of knowing how students learn, a firm knowledge of how the content being taught, and an understanding of how students develop themselves individually. In order to reach these goals, taking this

² The 50-30-20 assessment model contains 50% of attendance, online-learning assignments, presentations; 30% of English-Chinese translation written tests, and 20% Chinese-English translation written tests.

media translation class as an example, here are some suggestions:

5.1 Clear course outline

Clearly explaining the course rationale and objectives with a diagram will help both teacher and student in finding their positions. Providing such an explanation should be regarded as a prerequisite of any teacher who wants to re-constructs his/her class. A clear class structure always serves as a process of scaffolding, and it also can be viewed as a “GPS” in both teacher’s and students’ mind.

5.2 Cooperative-learning activities

This is a “must” when conducting a social-constructivist course. According to Borich (2004), this step promotes a collective reasoning ability in a modern democratic society, and let the learners experience collective efficacy. Moreover, it is important to let students know the teacher has a full sense of participation. In other words, let students know that the teacher is also one of the cooperators. On the other hand, those better-level students can also play some guiding roles. Together it will make a good way of building collaborative dialogues and promoting social interaction.

5.3 Being in learners’ shoes

When the learners sense their ways of thinking is one of the components of the course, they will automatically form a “customized” class with their individualized performances, peer reviews, and online forum.

5.4 Promoting positive energy

Besides a sense of humor and a happy learning environment, this also means a chance of letting students develop their “possible selves” proposed by O’Donnell, Reeve & Smith (2007). “Possible selves” implies a self-expectation in a long-term manner. This translation class cannot guarantee all the students will become professional translators, but the positive energy, including the classroom setting, allow them to show their curiosity, creativity, and courage of expressing themselves.

In sum, helping college students in bettering their bi-lingual communicative competence first and then their Chinese-v.s.-English translation skills is the purpose of the implementation of this media translation class, and the study behind suggests that teaching translation as a language skill (TTLS) is a workable teaching strategy. It may provide language instructors with more constructive insights when teaching translation. Finally, there is always some space for improving the study and the course design, and it is welcome for a further discuss with the author.

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Appendix

Appendix 1

The result of the open-ended questionnaire on Teaching Advice

1. Do you have any comment on the contents of teaching materials? (Ex. textbook selection or the contents of slides, etc.)

In the midterm-week survey:

1. Very interesting class, but the classroom is a little bit crowded.
2. Very solid class.
3. No, the teaching materials are very useful.
4. No. Excellent.
5. No, I think it was great.
6. Very interesting, very touching-base.
7. The course content is very interesting. Never feel bored.
8. Excellent, very

matches what is happening in the world. 9. Everything is great. 10. Hope I can have more time to read the online materials.

In the final-week survey:

1. Professionally and technically, good job! 2. The reading is a challenge. 3. Can give us more articles to read. 4. Very vivid and interesting. 5. No suggestion. 6. Very good. 7. Perfect! 8. Very proper. 9. Challenging but interesting and vivid! 10. Great. 11. None. 12. The class is not too long but we learned a lot. 13. Nice materials and course design, very multi-cultural. 14. Good. 15. Very good.

2. Do you have any comment on the teacher's teaching methods? (Ex. teaching by slides or white board; volume control, other areas requiring adjustment, etc.)

In the midterm-week survey:

1. May increase the use of projector. 2. May give us more supplementary vocabularies. 3. Quite fast, but the teacher always knows when to repeat, so I can still keep up. 4. Can give us more chance to practice speaking skill. 5. Hope the online materials can be printed out. 6. Watched a lot of news, and I learned a lot! 7. Nice interaction, good! 8. Good! 9. Good. 10. All are good. 11. good.

In the final-week survey:

1. Level appropriate. 2. No! I like her teaching style. 3. Using news as the materials can increase students' attention. 4. No suggestion. 5. Very well, no comment. 6. Perfect! 7. A+; very good. 8. Skype, PPT, and Youtube are good! Students would concentrate on it. 9. Good.

3. Do you have any comment on the teacher's lesson progress? (Ex. too fast/too slow/appropriate.)

In the midterm-week survey:

1. Appropriate. 2. A lot of the content, so it's a little bit too fast. 3. Moderate. 4. Too fast. 5. Excellent. 6. The class is tensed because the length of the whole class, and because the teacher is so diligent. 7. All on schedule. 8. Little bit slow. 9. It's okay. 10. This is our last semester, only 14 weeks, so it's a bit rushed.

In the final-week survey:

1. Just right, and interesting! 2. Sometimes a little bit slow, however, I learn lots in this class and realize more about the interpretation skills in media! 3. A little bit too fast. 4. Nice. 5. No suggestion. 6. I feel I learned a lot because each week there's something new for me to learn. 7. Perfect! 8. A little bit too fast. 9. Fine. 10. In fact, the class is not too fast, it's because the length of the whole course is short.

4. Do you have any comment on the exams, assignments, or reports requested by the teacher?

In the midterm week survey:

1. Good arrangement. 2. The entire semester is too short so I didn't have enough time to read all the materials. 3. A little bit too rushed because the content is much. 4. Totally ok. 5. So far so good. 6. Not enough activities before the midterm exam, but the quality of each activity is high. 7. Very ok! 8. No stress, I like it. 9. Nice.

In the final-week survey:

1. Appropriate. 2. Okay. 3. We are tested in a quite wide range of reading, good. 4. Nice. 5. Time reading parts is too tough.

5. Do you find any difficulties in learning through this course? If yes, what are they?

In the midterm-week survey:

1. No, the level is right. 2. I don't know enough vocabularies. 3. Translation skill is tough! 4. Translation is a difficult subject. 5. The Time reading is tough. 6. No difficulty. 7. I need to improve my own reading skill. 8. Challenging, and I enjoyed it.

In the final-week survey:

1. I made it, step by step. 2. I need to improve my listening comprehension. 3. Okay. 4. Not much. 5. Different weekly schedule, so sometimes it's hard to find my group members after the class. 6. TIME magazine is a little bit too hard. 7. TIME is hard, but thank god the teacher tried her best to explain. 8. None. 9. Translation itself is a tough subject. 10. Don't know my classmate well, so sometimes our group work is not very smooth. 11. This class makes me understand how tough translation can be.

6. Please describe other teaching advice for the teacher.

In the midterm-week survey:

1. The teacher shared a lot of her own experience, it makes us closer, and makes us feel a strong sense of participation. 2. The teacher is good. 3. Good. 4. I like your teaching style. 5. Excellent. 6. No. 7. The teacher is so into her work. 8. All are good. 9. Good job.

In the final-week survey:

1. The on-stage oral presentation is so challenging and interesting. I want to do more. 2. Okay. 3. I like the course because of the professional, lively, vivid teaching style. 4. She's so kind and

professional. 5. The teacher is so hard-working. 6. Good. 7. Good enough. 8. Good. 9. None, but overall is good.

Appendix 2

Sample of the questionnaire on Learning Motivation and Strategies (15 out of the total 85 questions)

Learning motivation (external motivation)

- | | |
|----|--|
| 1. | One of my goals to make myself look smarter than other classmates. |
| 2. | It is really important for me not to appear stupid. |
| 3. | Regarding this course, my only interest is to pass. |

Learning Motivation (thinking about course content)

- | | |
|----|--|
| 4. | I think I can apply what I have learned in this course to other courses. |
| 5. | It is really important to learn the content of this course. |
| 6. | I am really interested in the content of the course. |

Learning Motivation (control of learning outcome)

- | | |
|----|--|
| 7. | I think I can apply what I have learned in this course to other courses. |
| 8. | It is really important to learn the content of this course. |
| 9. | I am really interested in the content of the course. |

Learning Motivation (anticipation of learning ability and performance)

- | | |
|-----|---|
| 10. | I believe I can earn a good score for this course. |
| 11. | I believe I can understand the most difficult content of this course. |
| 12. | I am confident that I can understand the basic concepts of this course. |

Time Management

- | | |
|-----|---|
| 13. | I will follow the schedule to study for this course. |
| 14. | I will take time to study for this course. |
| 15. | I will confirm my progress to follow the weekly reading and homework. |

融合內外因素以理解視覺意象的觀賞活動

鄭明憲*

摘要

在獲取視覺文本意涵的觀看過程上有許多不同的主張。這些主張都各有其獨特看法與思考重點。這些主張的論點可以分成兩類。一類是意義在不同的角色上，這類主張大抵從文本就是閱讀的對象、文本的創制者原始意念、以及觀賞者等三項來探討意義的建構。另有一類是以觀賞活動的背景或脈絡來陳述，也就是從這三者共有或是獨顯的時代歷史、空間背景來討論。本文試圖在此類鉅觀觀點外，以比較微觀的角度討論觀賞圖像當下的真實情境與美感經驗。本文先分析讀者反應理論各學者論點的差異，再以觀賞者的特性來解構讀者為尊的主張。之後以觀賞過程的活動來建立融合的觀賞架構。探究結果發現每次的觀賞都是不同的審美活動及經驗，但無論是可歸類或是不可歸類出類型的觀賞，都以融合觀賞者、視覺意象的表現特徵、以及時空背景和觀賞當下的生活與心境等謂之「它者」的諸多元素，進行相互影響的觀賞及感受審美的經驗。本文提出探討觀賞活動的三個基本層面：因素面、角色面與狀態面。本研究的結論認為：任何的觀賞都必經歷類型與非類型的觀看活動。在觀看的過程中唯有融合背景因素、觀者心靜與動機的融合，才能理解作品以獲得意義。

關鍵字：審美與理解、融合、互動的閱讀、類型與非類型的閱讀

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Fusion factors for constructing understanding visual images

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Abstract

Assumptions of making meaning from a visual text has been varied, with each of it laying emphasis on different thoughts. These assumptions can be divided into two main categories. First, meaning is constructed through viewing text itself, viewing author's intention, and viewing the reader, the so-called roles. Second, meaning is described through the historical background of the viewing activities, i.e., we discuss the temporal and spatial elements of the text, author, and reader. In addition to the above macro-perspectives, this paper also attempts to discuss, from micro-perspectives, what really happens and what aesthetic feeling has been experienced during the viewing process. This paper first analyzes the differences of various reader's-response theories, then deconstructs reader as the primary character of readership through the characteristics of viewing, and finally seeks to establish a more harmonious viewing structure through the activities of viewing process. After the exploration, I discover that viewing of every time produces different aesthetic activity and experience, but whatever category there is, viewing seeks to interweave the viewer, qualities of the visual images, the temporal-spatial background, life and mindset—called “the other”—during viewing. This paper broaches three basic aspects of discussing viewing activities: Elements, roles, and modes. The conclusion of this study is that all viewing must experience viewing activities which can or cannot be categorized. In the viewing process, only through interweaving background elements, viewing mindset and motives can one begin to understand art works and make meaning from them.

Key words: aesthetic understanding, fuse, interactive reading, generic and non-paradigm reading

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一、前言

認識視覺意象並且理解其意涵是現代生活的基本能力，這個能力一般稱之為視覺閱讀能力(visual literacy)。學校教育的終極目的之一在於培育生活中所需的能力，因此，視覺閱讀能力就理所當然地，屬於中小學藝術與人文領域視覺藝術學科的教學目標之一。我國的課程綱要中雖未有明確的條目指出培育視覺閱讀能力，但是若分析各能力指標即可發現此一閱讀能力是隱藏在其中的。它是以察覺、感受、分析和視覺表達等能力來涵括。我們可以明顯的在各階段三大課程目標中的審美與理解，及部分於探索與表現中可發現對此能力的培育。然而，在創作學習掛帥下，學生與教學者對於談論作品與認識作品的學習活動並不熱衷。雖然，近年來鑑賞活動在中小學視覺藝術教學的狀況因課程改革而有所改進，但對如何培育學習者理解作品的意涵仍是處於爭辯之中。這些爭議除了對與錯或是主觀與客觀的理解外，也有所謂的專業（即藝術史或藝評家）與非專業的談論之爭。

解讀藝術作品或廣義指稱的視覺意象時，對視覺作品的理解就如同在文學領域對作品的認識與理解一樣地，存在著二元論甚至是多元論的爭辯。自上世紀末起文學裡探討閱讀與理解就有很大的改變。這個改變是從書寫的(written-based)探討與文本的(text-based)探討，轉到注意讀者反應(reader-based)(Fish, 1994; Freund, 2003; Iser, 1994, 2000)。對照文藝批判理論的發展，在視覺藝術裡也有從作品的表現手法、作品樣貌與風格、和作品社會背景的探討等客觀取向的鑑賞，到觀賞者主觀建構意義的研究。

這種轉換在視覺意象的美感行為發展研究上也有類似的發展狀況。視覺藝術的鑑賞與美感經驗討論也從階段性質的探討，改變到對美感經驗本質的分析，從研究被解讀作品的視覺元素與原理原則到如何解讀作品(Krausz, 1990; Mueller-Vollmer, 2002; Panofsky & Lavin, 1995; Parsons, 1987; Stecker, 1994; 鄭明憲, 2005)。一般探究視覺方法的研究著重在意象本身的樣貌與圖象象徵意涵，以及視覺神經的活動，比較少涉及心理面或是社會文化層面。而在研究觀賞作品以求理解或是更進一步的詮釋上，則大致採用文學批評理論的各種主張來進行。

根據鄭明憲(2009)採用讀者反應理論以檢視理解視覺意象的研究結果，個別的離散式閱讀活動和作品意象特徵，是決定觀賞結果與形成意義的關鍵點。這個研究的結果一方面與 Iser, W. (1990)認為審美意義是一種協同合作的結果一致(Hubard, 2008)。另一方面也顯示，個體的美感反應和談論作品是兩個不一致的活動。要仔細分析個體反應的性質與所談論的內容，才能獲致該個體的真實審美經驗。對於在談論視覺意象時所需的藝術相關知識，固然是個體進行鑑賞活動時的關鍵元素。然而知識元素的類別或不同知識間對於個體的審美或理解的作用狀況則是撲簌迷離。本研究不在於探討藝術知識作用的內涵，而是在探究理解視覺意象意義的觀賞活動狀態與觀賞的性質。

一般我們都以談論作品的談話內容，即為個體美感經驗的內容。這種認定忽略了談論視覺意象時所涉及的藝術觀念與對作品情感的反應。這兩者的差異在於談論的性質與該活動的底層會產生作用。談論的性質是指公開與否，而活動的底層作用則是指談論作品前或當下的內心思考與抉擇。從本研究的觀察中發現到，為自己而理解和為了與他人談論藝術而觀看是不一樣的。後者是在與人談論作品時的公開閱讀往往會有虛假的理解，因為談話當下的情境與目的會左右觀看。而前者為自己而存在的觀看才是真情理解的美感經驗。與他人談論藝術可稱之為「理解藝術的行動

或欣賞藝術的語言行動」，為自己而理解則是一種審美經驗與反應的批判論述或探究。至於底層的思考活動是談論時，觀賞者自我與視覺文本的外在因素互動與融合後發生於內心的閱讀活動。

二、理解與閱讀的關係

一般而言理解是指在面對作品時理性探究的結果，通常是知識的瞭解而不是情感的反應或是價值的判斷。相對於理解是一種訊息導向的結果，閱讀則是一種行為，它是為達成理解作品，而對作品進行搜集資料與訊息的活動。根據美國文學理論學者 Rosenblatt, L. (1995)的說法，認為在閱讀中汲取知識與獲得訊息是一種所謂的「導出性的閱讀(efferent reading)」¹。這種閱讀的目的在於提供資訊以建立作品各元素之間，或是作品與觀賞者的關聯以形成理解。很明顯的，沒有閱讀活動就沒有辦法認識與掌握作品，也就無法理解作品。當閱讀後的理解涉入觀賞者自己的經驗（尤其是視覺經驗）與情感，並再據以探究和體會作品的深層意旨時，雖然本質上還是在進行閱讀活動，但實質上已經超越理性的理解，成為具備情意的經驗反應。這是一種領略美的閱讀¹而不是僅於作品之美的觀看了。因此，我們在欣賞作品時可以有兩種不同的理解：認知的理解與情感的理解。對讀者反應理論學派而言，這種面對作品時體會自身與視覺對象交融的審美經驗，基本上是一種觀賞者的投射或是藉由觀賞重新解釋自身的視覺經驗。

三、理論的差異

由於知識論會受方法論影響而對同一現象產生不同的觀點與主張，上世紀以來對閱讀與理解及美感經驗產生過程的研究，因著手點的立場與主張不同而有不同的看法與論述。長久以來對於觀賞與理解後獲得的意義，有人主張是在作者的創作理念上、也有人強調意義來自作品的敘述與傳達力量、甚至認為意義是需要觀賞者的主觀涉入。在離今約 80 年前 Rosenblatt (2004)在其 1938 年的 *Literature as Exploration* 書中以「交會理論 (transactional theory)」提出讀者會在作品與自身間來回地往復交換理解與經驗的觀點，來彙整這樣的變化並取代「讀者反應」理論(Connell, 2000, 頁：27)。但可惜的是大家還是以後者為通稱，使得紛爭沒有獲得適當的解決。最主要的原因可能是 Rosenblatt 的論述都是以教室裡的教學為基石，而未涉及一般情境下的觀賞行為。本文將先概述讀者反應理論學派主要學者的關鍵論述，之後再從 Rosenblatt 知識性與審美性閱讀的內涵來嘗試解開觀賞過程的面貌。

3.1 讀者的閱讀決定意義

基本上，讀者反應理論是一群基本理念相同但是看法互異的文藝評論者的集合論調。例如：Georges Poulet (1902-1991) 是從現象學的角度出發、Wolfgang Iser (1926-2007)及 Hans Robert Jauss (1921-1997) 是以當代詮釋學的哲學觀來討論並開創出接受美學觀、Norman Holland 是以精神分析來揭露閱讀的行動、美國此派關鍵學者 Stanley Fish 主張「有知識的讀者(informed reader)」以強調讀者必須具備寓意閱讀的充分知識與能力才可能獲得作品的真正意義、而 Jonathan Culler 則是受到結構主義的影響，認為意義是深埋於作品等待符合條件的觀賞者來發掘(Culler, 1982; 龍

¹ 這種閱讀被 Rosenblatt 稱之為「審美的閱讀」(aesthetic reading)。

協濤, 2000)。表一是此一學派主要學者在讀者或是觀賞者、作品的特性以及觀賞活動在形成意義上的角色等主要主張的大概差異。

表一
讀者反應理論類別

類別	對讀者的期待	對文本的主張	對閱讀與意義的看法
風格影響派／ Fish（早期）	俱備相當知識的閱讀者	文本無獨立於讀者的意義；取決於文本如何影響	意義取決於閱讀的經驗。
社會文化論／ Fish（晚期）	讀者具有詮釋社群的特質	取決於讀者所投入的信念與閱讀習性等。	預先存有的詮釋與意義，是讀者的自我覺察結果。
心理分析論／ Holland	潛意識是閱讀者的驅力。	文本是讀者人格的投射。	縱然有誤解但還是讀者的理解。
理想主義／ Culler	讀者是作者心目中可以理解其創作的人。	意義被作者預先蘊涵。	讀者必須能解讀出文本的特定表達方式才能理解其潛藏的意義。
交會理論／ Rosenblatt, Iser	讀者不需特定的期待，讀者的經驗具參考作用。	文本有如藍本地具指導作用。	先決與未決的意義，閱讀與意義有斷隙存在。
整體閱讀派／ Mailloux	讀者是對文本進行實驗與偵測。	文本是因反覆閱讀的習性而建構其獨特結構。	意義是因閱讀時所採取的主題性與公式化而成的。

從表一可以看出在探究理解文本上，此一學派有人把閱讀時的種種跡象一直與文本產生關聯，而有些人則堅絕地只關心閱讀者本身的一切行為。他們比較一致的主張是創作者和作品並不能決定觀賞後的理解與意義。雖然讀者反應理論學者們並不是以視覺藝術為討論的主要文本。但是當我們把文字和圖像都看成表達意義的一種符號，以及認為藝術家所欲表現的意涵並不是作品表面所描寫的淺層事物而已的話，文學與視覺藝術作品在領會與詮釋的活動上是有許多相同的性質。由於一、二十年來讀者反應理論在許多領域被廣泛地應。本文將接著討論幾位主要核心人物，例如 Fish、Culler、Holland 以及 Iser 等人，以作為進一步分析觀賞過程的基礎。

3.1.1 Fish：詮釋社群

美國學者 Fish 是透過對新批評主義(new criticism)的攻擊以展開讀者反應的思想。Fish 主張在閱讀的過程中讀者會不斷地修正自己的看法以建構文本的意義，也就是讀者是閱讀活動的主宰者。依據 Fish 的主張，在觀賞時以觀賞者的經驗作為主體性來取代作品隱含不明的客觀意義。閱讀與觀賞的過程是一個讓觀賞者自己體驗文本或是作品所描述的內容與情感，也就是讓閱讀活動變成一種經驗作品的過程。因此，詮釋或欣賞就變成體認與解讀觀賞時那個重新經驗作品的感受與體會。相較於新批評主義或形式主義的意義在作品與形式，Fish 是主張文本與觀賞者二元對立論，也就是意義不在作品或觀賞者，是在對立的關係上。

為解決對立的關係 Fish 提出所謂「詮釋社群(interpretative community)」的主張 (Fish, 1980, 1986, 1994)。根據 Freund(2003)的分析，Fish 的這個概念是指，觀賞者和文本都是共同地來自一個具有規範詮釋力量的系統或體制(頁：91)。這個共同體制不

是指一群個體或社群，而是指參與觀賞的人們所共同具備的、擁有的、共識的並且能引導觀賞活動及制約其感受、思想與思維方式的一套解釋策略和規範。簡要地說就是相同的經驗、習俗、文化或是價值觀。詮釋社群是先閱讀活動而存在觀賞者的理解體系中，並進而影響與宰制理解的結果，因為它已經成為與作品有關的一種意識形態。然而這個看似會提供給不同觀賞者產生結果一致的閱讀策略體系，並不因為它的參與與引導觀賞可以解除同一作品會產生多種意義的爭論。Fish 認為其中的關鍵在於閱讀的技巧與完成觀賞後的意義是不能傳承或轉移的，因為作品的形式結構特徵與閱讀時的反應，也就是解決對立關係的方法是沒有固定的，所以每次都要重新再閱讀、再體驗(Fish, 1994, p.98)，以及不同觀賞者因為彼此觀賞技巧的差異，而形成不同的意涵。如此一來，每次的閱讀或是不同觀賞者都會對作品的想法與體會提出更精熟的觀看。

Fish 的觀念是先分離觀賞者與作品，接著把觀賞視為解決對立關係的過程，再提出詮釋社群作為觀賞的依據。我們可以據此先接受「意義不在作品」上。接著，若是作品沒有被觀賞則作品不存在，那麼意義也就不存在。Fish 閱讀的觀念對本文的作用在於閱讀是一個具體化作品的活動、是一種產生意涵的事件(event)。對 Fish 而言，文學與作品的意義就是發生在作品與觀賞者心智之間互動的事件(Fish, 1994)。觀賞者之所以能對作品有所體會與領悟，進而形成意義乃是因為這個閱讀或觀賞的過程、活動與經驗上。換言之，閱讀與鑑賞都不是一個導引理解的手段因為它本身就是意義。作品的意義是被觀賞者的感知與詮釋的觀賞經驗來界定，而不是被那在欣賞與理解作品之前就已經存在的某些東西所宰制。

Fish 在確立其理論時所持的真正論點是：分析作品的意義不在文本作品上而是要在觀賞者身上來進行(Freund, 2003, p.102)。Fish 所謂的有知識的讀者乃是具有完成理解作品必備知識、能力與經驗的人。例如在閱讀文學上這個人必須擁有文學的能力；在欣賞視覺藝術時他必須具備藝術世界的素養與能力；在聆聽音樂時他必須擁有音樂的知能與感動的能力。

3.1.2 Holland : Literent

另一位美國文藝評論家 Holland 則是從心理學，尤其是自我(Ego)的觀點來探討讀者理論。基於 Freudian (弗洛伊德學派)的心理分析論，Holland 認為打從我們一出生就從母體繼承了一些基本的認同(identity) (Selden & Widdowson, 1993; Selden, Widdowson, & Brooker, 1997)。此認同會潛藏在意識面下而不自覺。閱讀與觀賞活動就成為這個不自覺的認同獲得顯現的機會。以 Holland 的論點來看，觀賞者對作品的認識與詮釋就是自我的認同。換言之，觀賞者是在觀賞時透過本身意念的投射與解釋而認識自己、發現自我。這個潛藏的認同會隨著個體的成長而成為生活的經驗，並變成觀看與理解社會與世界的觀點。

對 Holland 而言，閱讀、觀賞與理解是主觀的而且是受到潛意識的恐懼、害怕、慾望、與需求等精神層面活動影響 (Bressler, 2003)。就觀賞的過程而言，Holland 的論點很類似於 Rosenblatt 的交會理論，他們都是認為在觀賞中會涉入自己的經驗與傾向。不同的是 Rosenblatt 的涉入自我是有意識的，而 Holland 的是觀賞者在無意識下受到自己的影響。這類觀點主張在分析意義的形成時，要注意文本與觀賞者之間的意領神會(O'Flahavan & Wallis, 2005; Rosenblatt, 1993, 1994, 1995, 2005; Rosenblatt, Farrell, Squire, & National Council of Teachers of English. Convention, 1990; Rosenblatt, University of Illinois at Urbana-Champaign. Center for the Study of Reading., & United States. Dept. of Education., 1988)。Rosenblatt 認為理解藝術的本質之一在於觀賞者「本

身」的主動與積極的介入與融入(Connell, 2001)。然而，Holland 的論點是在觀賞時於過程中等待心理潛意識的浮現，這似乎是被動地由作品來引導。無論是 Holland 或是 Rosenblatt，觀賞的結果認識的不是作品而是自身的認同與經驗、是日常生活裡的自我。無論自我是如何的狀況，觀賞與理解總是一種作品與觀賞者間互動的動態過程。參與活動的是作品的形式與觀賞者的自我意識形態(Freund, 2003, p.118)。

無論是主動有意地或是被動無意地讓自身的內心流露出來，觀賞者與作品的融合是關鍵之一。觀賞及理解一件作品是把公開的對象轉換到屬於隱密的私人內心領域中。在這個屬於自己的世界裡，觀賞者將會經由融入而發展出屬於個人的幻想世界。然而，這個發展其實是受到公開的作品影響。因此，觀賞所得的理解與意義，是能為作品與觀賞者的社會所接受。心理分析論取向的讀者反應學派主張，對任何作品不存在正確的詮釋或真確的意涵，也沒有所謂正確的意義或理解。所以，一旦有多少的讀者，就有多少個有效且應當被接受的詮釋與解釋。

3.1.3 Culler：理想的讀者

Culler 同樣地把觀賞者視為形成意義的主要因素，但是不同於前面兩人強調意義來自某個角色。Culler 著重在進行觀賞活動時的條件與狀況(Freund, 2003, p.70)。Culler 的主張明顯地是從結構主義衍伸出來的。在閱讀的過程中，作品的特徵、形式、結構、風格與表現手法，在在都是被創作者有意或無意地賦予意義。閱讀者若能純熟地掌握這些特性，將會使閱讀的過程得以適當地轉變作品的各個表意單元或是意象與造型，成為可被理解的對象(Culler, 1980, 1997)以及匯整成完整的解釋與意義。Culler 認為觀賞是以一種特別的方式來接觸、察覺、感受與理解作品的結構，才能體會作品中特殊的含義(1980, p.102)。相較於 Rosenblatt 的作品與觀賞者的互動機制，Culler 對觀賞給予較嚴格的要求與期待，不是說任何人都能和作品有良好的互動及解決對立的關係。因此若是讀者不熟悉、不認識甚至於缺乏對作品該有的背景知識，例如閱讀一首詩對該詩律或是曲調與修辭上的結構法則不理解，或是對美術作品的派別特色與藝術家慣常的表現方式與隱喻手法不清楚的話，他將無法理解作品的意涵。Culler 對理解作品與否取決於有無適當的能力看出並掌握住作品的隱喻。所以 Culler 認為符合作品所預設條件的理想者才是藝術家心目中的理想觀眾，也唯有這樣的人才能觀賞該作品。對 Culler 而言 Holland 與 Rosenblatt 等人的觀賞與閱讀是任意地隨意閱讀。因為受到法國結構主義的影響，Culler 的理想讀者不在觀賞者自身的運用，而是在以自己和創作者相關的解釋規則或是規範體系，來解讀出作品中藝術家的獨特表現手法。

3.1.4 Iser：隱含的讀者

和 Jauss 同樣被歸屬於德國「接受理論(reception theory)」的 Iser 是深受現象學美學家 Roman Ingarden 和 Hans Georg Gadamer 的影響。但是他不同於 Jauss 般地著迷於作品與觀賞者的脈絡與歷史因素在閱讀時的重要性。他主張文本是一種潛在的結構，因為讀者會以其自身的閱讀常規(norm)、價值、以及經驗來具體化所閱讀的文本與內容。對 Iser 而言閱讀所得的理解，往往是取決於讀者在閱讀時，因為內心的期待而進行某種程度的調整與修正。因為這種潤飾才使得讀者對所欲理解的文本有了感覺。這與 Holland 的差異在於文本的主宰性。與 Fish 的差異則在於讀者本身的作用。與 Rosenblatt 似乎較接近但又融合作品的獨特性，這是 Rosenblatt 所沒有的。

Iser 對理解作品提出「隱含的讀者」觀念。隱含的讀者在剛接觸作品時先讓作品在其內心形成一個特定的心象(mental image)，這個心像是觀賞者的經驗被作品引導出來再投射到作品上而成的。換言之，不是觀賞者隨意的動作，是作品具備某種

條件讓觀賞者在其規範下掌握作品的結構(Selden et al., 1997)。表面上觀賞者是被文本指導與約束，但是並非如 Culler 般地沒有跳脫出作品的控制。當作品在引發觀賞者時觀賞者會以自身的經驗、動機或期待來回應作品。我們可以把 Iser 隱含的讀者看成兩階段的融合：先形式主義的結構取向，然後是現象學的本質取向。

Iser 的閱讀模式呈現出三個相互關係與聯動的因素：具備規範觀賞內容但是又無法完全掌控觀賞活動的作品、引導觀賞與投射形成心像的過程、以及影響作品與觀賞者間相互作用的條件(Freund, 2003; Iser, 1974)。在這個模式下觀賞者是在持續不斷觀賞的狀態下因作品的特質與本身的經驗相互協調與折衝而完成觀賞與閱讀。這是一連串的觀點改變，作品的意義不是固定的也不是在哪個點決定的(Selden et al., 1997, p.57)。因為在 Iser 的眼中觀賞者把作品置放在自身的意識面上，然後形成自己的經驗。之後此經驗被觀賞者看成是作品的意涵。任何一位欣賞者是不可能把握作品的全部。「隱含的讀者」的概念，所描述的是欣賞者在詮釋的過程中，不斷地更換鑑賞與批評的角度，以拼湊作品的片段意義，再以自身的經驗來膠合，然後形成一幅新的作品於內心中擁有它及欣賞它。Iser 更進一步地針對觀賞過程接受「引導」、產生「投射」和「膠合」經驗的變動提出四種不同的角度：論述者(Narrator)、劇中人物(Character)、故事情節(Plot)、以及讀者(Reader)(Iser, 1994, p.96)。這四個角度說明了 Iser 所認為的被詮釋的文本本身具有許多不明的、未決定的意義裂縫(ruptures)或裂隙(gaps)。觀賞者在觀賞的過程中必須不斷地以其經驗與觀賞的期待自主地進行補充與填白(filling in the gaps)的活動，以便完成文本的潛能所賦予閱讀者的能力來創造文本的意義。

這些多樣的主張經過演變之後，就形成對新批評主義既不強調創作者也不重視觀賞者的批判點。例如 Jauss 以「期待視野」(horizon of expectation)的主張，²認為在不同的時空下所出現的同一件作品應當不會是相同的理解。換言之，讀者所處時代的文化思想、美學標準會影響讀者對該作品的理解與認識。因此，這些主張必需被考量觀賞者的評論家們，都是不滿傳統上把詮釋對象或作品，視為至高無上不可侵犯的地位，轉而認為詮釋者才是討論意義建構的主要焦點。這樣的思維使得對各種文藝理論差異性影響的研究，轉變對作品特徵的探究成為對觀賞過程影響作品意義與理解。

綜合以上各家的說法，讀者反應理論學派把讀者或觀賞者定義為主動的意義生產者，而不是被動的消費者。文本的意義並不是藝術家或創作者說了就算的給予者，它是讀者與作者或是觀賞者與創作者意識交流以共同創造的。觀賞作品的目的不在重建創作者創作作品時的「歷史意義」(meaning)，因為它早已失落不可考。相反地，觀賞者必須依自己的知識、經驗、學養在觀賞中賦於作品新的「時代意義」(significance)，並藉由這樣的過程不斷地尋求／創造／發明新的意涵、認同與價值。

3.2 網路與螺旋性的動態理解活動

縱然讀者反應的主張有其分歧的一面：有人主張閱讀是在文本與讀者的心領神會；有人主張意義是有賴文本的風格與結構被觀賞者感受；有人主張意義是完全依賴觀賞者的主觀經驗與閱讀策略決定；或是有人認為觀賞者的內心世界及成長與生活經驗、人格特徵和傾向才是意義的主宰者；而更有人認為文本以及觀賞者互動當下時的社會文化價值及風俗習尚，才是決定理解的主要因素(Tyson, 2006)。建構意義

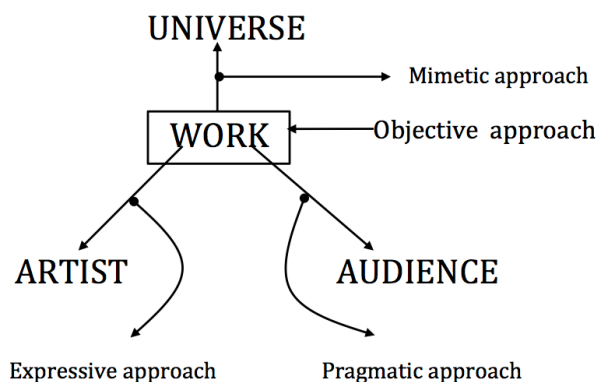
² 這是 Jauss 「接受理論」的核心觀念，認為在面對作品時都懷抱著自己的生活經驗，以及預期作品所呈現的類型化或與其它作品形式相似的態度(Quinn, 2006)。

的樣貌似乎是分歧的。但是一個不變的事實是，觀賞者在意義的形成過程中是不能被忽略的。這個重要的角色讓我們在探討藝術作品的批評及藝術鑑賞時，傳統的形式化過程需要進一步地討論其結構、內容、與過程。³

讀者反應理論學派在賞析或是觀賞作品時，對於作品的內涵與意義的掌握或是理解，是同時考量作品與欣賞者有無適當的知識、期待、與動的。根據龍協濤 (2000) 的分析，Jane P. Tompkins 於 1994 年 確立讀者反應一詞之後，在文學批評上大概有兩個反應：唯有讀者的閱讀才能實現文學的傳達過程，其二是必須經由閱讀者的感受與體驗才能生成文學的意義(頁：6-7)。這兩個特徵區分了讀者反應理論與新批評主義的不同，也指出讀者論的主觀批評本質，更建立了作品的美感價值是在美感閱讀活動上。這樣的思潮對於視覺藝術的觀賞與鑑賞也有相同的影響。

從讀者反應的角度看作品原創者的權威式主宰，以引導表現意念能完整的被體會與理解，就被認為是一種推論式的理想主義而已。因此，作者心中的理想讀者是從未出現過的。因為，它會受到一些如創作者與觀賞者在文化習俗或傳統相似度，以及觀賞方式與策略等的影響。根據 Scott, L. M. (1994) 的研究顯示，在閱讀策略上的確存在多樣的種類，因此就存在多樣的閱讀結果(頁：463)。固然讀者反應的看法拒絕了前述的理想主義。但是，也引發本身對閱讀結果的一個爭論。他們把讀者從嚴峻的、僵化的、及被宰制的無能狀態中解放，賦予閱讀者主宰權與控制的力量，但是這個解放也為讀者自己帶來分裂與迷亂 (Freund, 2003)。這個混亂可以由讀者反應學派中，對讀者身份名稱的五花八門看出端倪來。這些差異並無助於本文釐清觀賞作品的審美閱讀現象與本質，反倒點醒我們必須在這混亂中找出普遍的主張與趨勢，以理解對觀賞藝術作品以產生美感經驗與理解是如何找到詮釋的結果。

從前面的討論我們可以看出，讀者反應學派並不全然地主張每個人的閱讀都是與眾不同的。相反地，就閱讀的方法或策略而言，觀眾或群眾其實是共享了一些習慣或是共通的慣例 (Scott, 1994; Selden et al., 1997)。所以在閱讀或是欣賞文本的意涵時，仍然可以看到被期待產生的相類似意義。這個共同的、慣例的或是大家分享的閱讀經驗與策略，在作品上也許可被看成是所謂的風格或是類型，在觀賞視覺意象上就是社會的價值觀或是文化的美學觀。根據 Freund (2003) 的分析，讀者反應理論對閱讀以了解作品的結構如圖一：

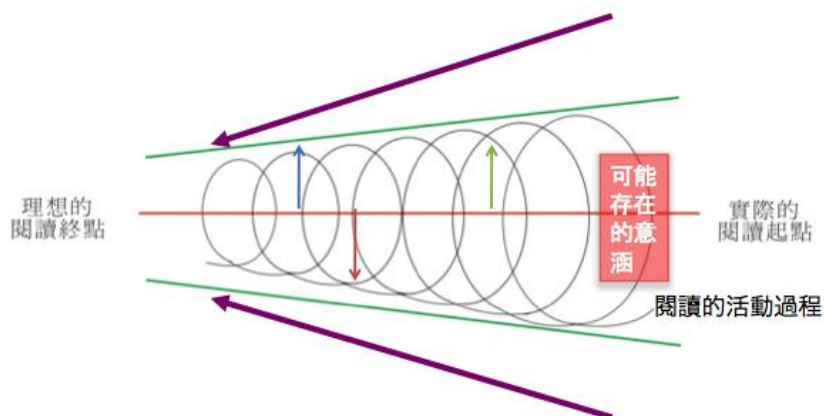


圖一：讀者反應學派基本結構

這個結構圖是延伸自 Abrams 所認為的穩定三角關係圖，說明讀者反應理論各家立論點的差異。當強調意義是來自作品時是一種客觀的角度（圖一上的 objective

³ 例如眾所皆知 Feldman, E. (1992) 的藝術批評步驟：描述、分析、解釋與判斷。

approach)，而認定意義應當以藝術家的表現也就是文學家書寫時的意義為主時，是一種表現的角度（圖一左下角的 **expressive approach**）。當以閱讀者或是觀賞者的建構為主時就是一種主觀的實用角度（圖一的右下角 **pragmatic approach**）。但是不管哪個角度意義必然在這三者間的互動與消長關係而成。而當這個關係變得不穩定時，也就是觀賞者對藝術品的特權地位提出挑戰時，圖一中右下角的閱聽者就會逐漸取代中心的作品或是文本，⁴使作品的自主性消失。最後，當讀者成為中心時，意義會是在一個因為閱讀過程中變動的螺旋狀區域中運動。這個螺旋閱讀過程如圖二：



圖二：螺旋狀的閱讀過程

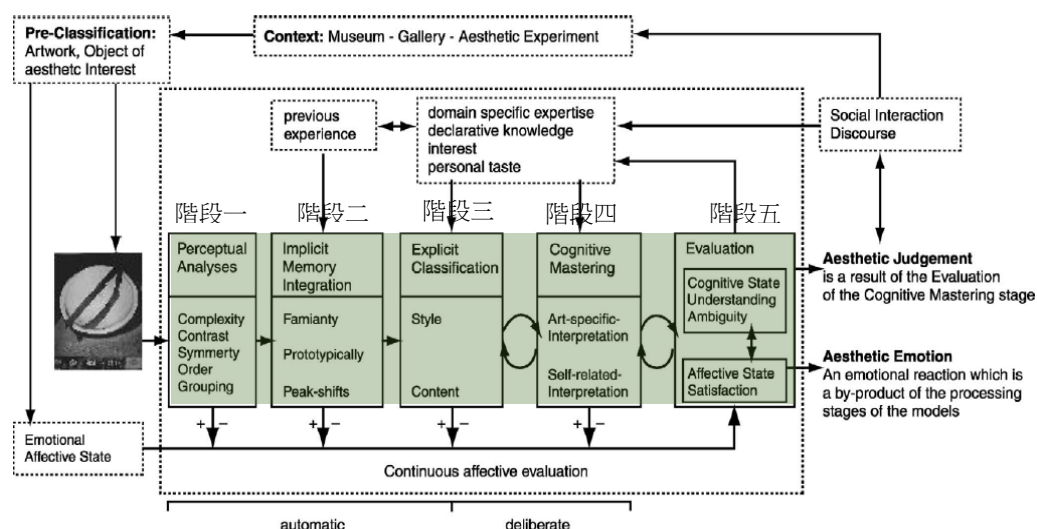
根據鄭明憲(2006)的研究，這個螺旋的觀賞過程，會因為觀賞者及觀賞當下一些內外因素的相互作用，而產生類似於物理學推擠與拉扯的應力作用。隨著觀賞時間及經驗的累積，而逐漸地了解並發現作品的原本意涵。也就是從圖二的右邊往左邊移動。

這個觀賞的過程呈現幾個理解作品意義的特徵：持續地觀賞是使作品的意涵被理解的關鍵、觀賞活動唯一能確認的是當下的經驗及過往的結果、沒有人可以確保觀賞必然會解開創作與作品意涵的神秘性、在後現代的論點下，唯有作品與藝術家的文化背景與觀賞者相似時才能發揮引導的預期作用。這個結論僅考慮觀賞或理解視覺文本時的時間過程，並未考量文本的特徵與內外結構的差異。

3.3 訊息處理與文本選擇的閱讀經驗

Leder 和 Belke (2007)曾以線狀模式的訊息處理 (information-processing) 方式說明解釋理解藝術作品的過程。他們認為閱讀乃至於鑑賞是分成幾個不同階段的，因為觀賞與理解是一種從作品接受訊息並加以處理的活動。在這個觀賞活動中，從作品進入觀賞者的視線起，一直到形成美感判斷與產生情緒或情感為止，共有五個階段(圖三)：感知分析、記憶與經驗的整合、作品風格與結構的分析、作品與自我因素的關聯、及最後的理解與判斷(Leder & Belke, 2007; Leder, Belke, Oeberst, & Augustin, 2004)。

⁴ 讀者反應理論被應用到各類藝術文本時，它涉及視覺與聽覺，此時用「讀者」就顯得偏狹，而以「閱聽者」來涵括音樂、戲劇、舞蹈，文學與藝術等的讀者。



圖三：訊息處理模式。取自 Leder, 2004, 頁：492。並加註說明。

此觀賞模式是從觀賞過程中觀者行為的認知特徵來分階段。對本研究而言，Leder 的五階段歷程中，前三階段是屬於作品的它者作為觀賞與理解的核心，第四階段作品與自我因素的關聯包含「關聯作品的詮釋」(Art-specific Interpretation) 與「關聯觀者的詮釋」(Self-related Interpretation) 兩種不同方向的詮釋。階段五則是作品美感價值的評估。此一階段的觀賞過程在最後兩階段，很明顯地強調觀賞者認知心理與情意的活動。從圖中可以看出，在前三階段是單向接受。階段三以後觀賞者與作品的關係就變成往復的來回活動。

Leder 的分析把各自獨立且分離的作品與觀賞者緊緊地關連在一起而且互有影響。在這互動的線性理解過程中包含了觀賞者自主抉擇的特性。這一部分的美感經驗形成過程相當類似於交會理論，尤其是 Rosenblatt 所主張觀賞與理解必須在觀看者與作品之間來回不斷體會。單就理解意涵來看，閱讀文學與觀賞視覺意象都有兩層活動：作品表面意義與深層意涵。前者是屬於認知的活動，後者是屬於判斷與抉擇加上情意的思考活動。以藝術的定義而言，文學與藝術都是精練的符號創作以傳遞意念。在此定義下對它們的理解與審美是相似的 (Lamarque, 2007)。換言之，當我們把理解過程區分成「知識」與「認識」兩種不同性質時，對文字與視覺藝術都可以看成是傳達與表意的語言。對藝術作品的理解和詮釋是和閱讀文學一樣地需要描述、敘述、想像和詮釋 (Jones, 1969)。從意義被語言符號「編碼」而成為作品，作品被理解的活動「解碼」而瞭解與體會意涵的現象來看，它們是具有相同的建構意義過程。

再從文學的角度看，閱讀文學時的美感經驗是一種閱讀時語調與聲韻的獨特反應。閱讀所得一般稱之為對該文本的理解。這是從語言學與音韻學的觀點看，文學的美在於讀者因閱讀活動而進行與自己對談的經驗。這種美是建立在經由閱覽文字時而生的音韻與所引發的美感想象。從視覺藝術的角度看，解讀視覺意象的理解與其美感經驗，則是在於經由觀看圖像時所引發的想象與體驗。文學的閱讀是面對語言，而視覺藝術則是在面對視覺性質的形象或圖像。閱讀視覺意象的理解不在形象本身，而是在圖像與現實世界事務形成聯結，帶給觀看者意義與感受時的那一種感嘆、禮讚與體驗，所以是一種行動。

但是美國解構主義學者 Paul de Man 則認為上述的說法是錯的，他說所有的言語（文學與任何語言）在表達意念是都是隱喻的（metaphor），⁵都是藉著比喻（tropes）與表喻（figure）等象徵手法來完成表現與溝通（Eagleton, 1996, 1997）。所以文本基本上是無法被讀者閱讀的。他所強調的是表意系統的基本單位在被藝術家精煉地構思以組成作品後是不能被讀者任意觀賞，⁶也就是說作品本身並不是一些無關係的片段訊息單位隨意組成。文本在修辭學或是藝術創作技法與風格的規範下是不允許自由閱讀得。因為每件文本或視覺意象都有其獨特的類型（genre）。⁷類型的特殊性即是特定意義的載具。因此，在 de Man 看來閱讀是一種選擇的過程而不是處理的過程；閱讀是對文本在無知又無法逃離下進行無把握的判斷（Culler, 1982; Selden, et al., 1997）。對於此一既被規範又允許自主判斷但卻無法完全掌握的文本閱讀 de Man 稱之為閱讀的選擇。de Man 的選擇類似於 Leder 的過程，其實是包含了在文本的指涉作用（referential function）下進行理解、探究、認識、重覆、與忘卻等活動。因此從文本的角度看，閱讀是一種意義的比擬，從閱讀者看解讀是一種自我的延伸與陳述（de Man, 1979, 1986, 2000; de Man & Warminski, 1996; McQuillan, 2000）。被理解的結果所呈現的是一種融合。只是此一融合在 de Man 和 Leder 的主張理似乎都過於單純。

依據 de Man 的作品結構與表現具有不可任意變換或更換與忽略的主張，觀賞視覺意象時對線條、色彩、形狀與肌理、以及技法和風格等象徵隱喻必需能掌握，就像閱讀文學須要跨越來自文本因為修辭與創意表現而形成的重重關卡。而其方法之一即是藉由決定文本的文字（視覺圖象的作品圖像與表現手法，例如取景、構圖、圖像象徵等）所指稱的參考義（reference）產生關連，⁸以指示閱讀的方向和理解意義的焦點。這些性質很可能是 Leder 圖示中的前三階層。所以每個人的閱讀都是在文本文義與決定指稱之後的比喻間進行。這相當於 Leder 第三與第四階層中間的旋轉圖號。這意味著，在線狀的觀賞活動裡，觀賞者會有一段反思或是自覺不足與不確定的觀賞時刻。而 Culler (1982)則據以指出理解的結果當然就都不能被信以為真。因為是讀者自身涉入與融合作品的結果。但這應當是觀賞者詮釋後的美感經驗。

de Man 在 *Allegories of reading* 一書中對閱讀者的新論點就曾大加撻伐說：「創作的修辭結果為任何的閱讀與理解之徑，設置了一道不能克服的障礙」（引自 Culler, 1982, p.81）。既然無法克服，美感閱讀就必須容納創作作品的特殊風格。也就是以作品為代表的它者（諸如社會、文化、美感價值等），是理解、詮釋與評論藝術的基本元素之一。就如同 Bakhtin Circle 成員之一的 Voloshinov, V. (1973) 所主張的意義不在一個字裡、不在說者的靈魂裡，意義是在說者和聽者複合體的材料上相互作用。這個相互作用可以被看成是 Leder 裡的兩個旋轉符號的作用。鄭明憲 (2003a) 的研究曾指出意義是被一種互動的過程決定。該研究的發現認為理解或詮釋文本的閱讀活動，是在閱讀者的主動來往於文本與自身間尋求關連。這個閱讀活動的過程會決定閱讀的方向與結果。但是該研究並未進一步確認是怎樣的文本及如何的自我進行互動。而在最近的一個研究（Cheng, 2009）中他發現，在非宰制的自然反應下，美感閱讀的形式是多樣的。這意味著自我的融入會使互動的樣貌牽動閱讀後的美感

⁵ 這當然包含視覺作品與音樂等藝術文本在內的任何表現語言系統。

⁶ 在文學是字、詞和句子等，在視覺意象則是形、色、線與構圖等。

⁷ 類型論是指一件作品的題材、主題、技法、風格、樣貌、形式、特徵、與體裁等等可以在其它作品看到或有關聯。

⁸ 作品的文字或圖像除直接描寫現實世界的事物外，以該事物的關聯意涵作為作品的延伸意義。這種關聯所帶來的意義稱之為參考義。

意涵。這個主張相似於 Crozman, R. (1980) 認為作者是可以陳述作品的意義，但是讀者也是在建構意義。只是作者不能主宰意義的全部，而讀者也僅能在由作品所規範的場域與範疇內建構。意義是由讀者在文本之上所進行的一場「翻譯」的結果 (Crosman, 1980, p.152-155)。這個說法指出觀賞者是不能取代作品與藝術家，充其量觀賞者是具有決定作品的地位。觀賞者對於觀賞與最後理解的意義的關鍵在於，過程中採取怎樣的態度與主動性來與作品互動。

四、解構讀者取向理解文本

在以下的論述裡，我將以一個針對美術與非美相關主修研究生的閱讀視覺文本的研究，來討論這兩個問題。根據 Miles 等人 (1994) 的主張閱讀是具有多層次意義的(頁：16-17)。因此，任何閱讀後的意義並非固定的與單一的。這個研究的所有參與者，是由一群大學時主修與美術相關及非相關的研究生組成，他是各自以個別研究資料袋的形式，對資料袋裡的 6 件包含純藝術與廣告設計等視覺意象進行個別地開放式觀賞，⁹並在個人的研究日誌上記錄各自的閱讀過程與變化和理解的結果。這這些研究資料記錄的是每個人每次閱讀的過程、心得、結果、疑惑與想法等。他們的觀看次數與時間和地點並不限制，觀看的理解結果不需每次討論，也不需向他人談論或分享，所以不是公開的觀賞。該研究的設計是採用自然取向的質性研究法 (naturalistic qualitative research) (Miles & Huberman, 1994)。所謂的自然研究法乃是指，研究過程不以任何形式的操作、製作與控制研究情境 (Patton, 1995, p.41)，使研究參與者在其所選擇的地點與自主情境下進行視覺意象的閱讀、觀賞和紀錄。

4.1 觀賞的活動過程

閱讀也許有許多的目的。但是一個最基本的也是最核心的目的是理解閱讀對象的意涵，也就是辨識與回應文本所呈現或蘊含的內容與旨意。閱讀本身即是一種行動，是一種解決不熟悉的對象物所投射出來的諸多問題。例如：我在閱讀什麼？我看到什麼？我認不認識這件作品？我對這這作品的理解是什麼？觀賞後的感受是什麼等等。觀賞的結果不是外顯的行為或動作，而是過程中內心對包含作品在內的外在世界熟悉、認識、瞭解、與反應等等。

當新批評主義主張文本具有意涵只是無法言語和行動，唯有借助觀賞者的閱讀從作品中加以選取與摘錄其精粹來解放出意涵。換言之，書寫的文學與創作的視覺意象在創作當下就被巧妙地隱含著意義。其後在靜靜等待觀賞者來進行一場萃取的活動。這是被讀者反應學派攻擊之一，但是也提供了觀賞者能扮演重要角色的依據之一。根據 Dorfman, M. H. (1996) 的看法，自新批評主義起到後結構及解構主義止，閱讀者在意義的建構上從弱勢者演變到成為強勢者，從發現者到意義的改寫者。但

⁹ 這些作品是：(基於著作權的考量只附註可查覽到的網路圖片)

Koons 的 puppy

(http://commons.wikimedia.org/wiki/File:Bilbao_Jeff_Koons_Puppy.jpg)

Jean-Michel Basquiat 的 Boy and Dog in a Johnnypump

(<http://www.artnet.com/Magazine/features/jsaltz/saltz4-19-2.asp>)

James Rosenquist 的 Study for Marilyn

(<http://popartdailynews.tumblr.com/post/25581637077/james-rosenquist-study-for-marilyn-1962>)

Daniel Authouart 的 Manhattan Color

(http://www.place-des-arts.com/fr/detail_art.asp?n=AUTHOUART&p=Daniel&numart=11434&add=11434)

Marlboro Man 和 LeSportsac (此二圖是商業廣告海報)

這一路的演變都是把形成意義的焦點擺在圖一中讀者反應論的三角關係基本結構的讀者身上。此一由文本與閱讀行動共同合作以產生意義的看法，強調閱讀者在理解與閱讀過程中的重要性了。當分析觀看視覺意象以理解意涵的形成過程、探討作品所描繪的世界、以及調查作品與觀賞者關係時，觀賞活動的性質以及互動的內容是這個探索與理解的核心。然而，根據前述讀者反應理論的討論，在探索此一觀賞活動的歷程上，我們必須考量到兩個層面：是怎樣的觀賞者產生怎樣的的不同理解行動，以及觀賞活動的狀態有哪些差異會影響觀賞的結果。

4.2 有經驗與無經驗觀賞者

任何人在面對作品時都既是有經驗也是無經驗的觀賞者，這個層面是一個連續狀態而不能以二分法來區分。為了使討論時其差異性質能有較明顯與容易的掌握，故以此來分別。它們的區別在於對該作品談論過與未談論過、接觸過與從未有接觸過、學習過與未學過、熟悉與不熟悉、或是生疏者與熟練者等等。有經驗者並不是就是成功的觀賞者或是獲得過理解的人。

視覺圖像在構成與表現時也會有如文學創作般地考慮作品風格、形式、圖像安排與色彩計劃等視覺符號與元素的象徵手法等等。這些有如修辭學般地視覺表現的形式與原理原則對於觀看者而言正是互動的主要對象。這些涉及構圖、象徵手法、媒材技法、以及風格派別等特殊表達或表現的類型也許是神秘的無法任意更動的，但是也有可能是不被注意或不具備特殊意涵的。其狀況與作用則取決於觀看者的某些特徵或能力。這些特質於觀看時會因所採用的策略不同而有不同的效用。就有經驗的觀賞者而言，他們所呈現的閱讀策略是知識的對照與投射。這是相關的觀賞經驗與個人在教育過程中所培育而成的閱讀習性作為理解時的參照。這類閱讀者呈現的是視覺藝術專業手法與知識的解讀，以及在豐富經驗下以一種較游刃有餘的聯想對視覺文本或是自身的理解作多面向的思考、質疑、比較、或是嘗試可能的理解與認識。例如一位對藝術評論感興趣的參與者薏安在其觀看記錄有一些涉及這兩樣策略的行動：¹⁰

記得這是美國藝術家 Jeff Koons 的作品（puppy），位置應該是在西班牙的古根漢美術館。之前在大學有做過這位藝術家的報告，所以有印象。顏色的部分也許是因為作品位在室外、在自然光之下，色彩也就顯得平淡、自然、沒有太多變化。

這是一件什麼樣的作品（Study for Marilyn）？是商業廣告還是藝術創作？它的作用、用途是什麼？這一點真的是怎麼樣也看不出來，如果說是廣告卻又看不到任何的商標或可能的商品，那會是藝術創作嗎？如果是的話，它要表達的又是什麼？

對這張圖片（Marlboro Man）的第一眼的感覺不錯，也許是因為圖中的色彩和光影對比，給我一種氣候很舒服的感覺。但是再仔細看的時候，就發現圖中的牛仔手上拿了一把槍，馬上又感覺不太舒服，因為槍和我想像中平靜的鄉村風光是有衝突的。之後再仔細看圖片左下角的文字，似乎是要勸人戒菸，但左上角卻又是某牌香菸的圖像，我想這應該是一則香菸的廣告吧，左下角的文字大概是規定要加上去的。

因為作品（LeSportsac）的影像被特別處理成非現實的情況，所以為讓人感到錯愕、進而思考其意義。對於視覺影像本身就比較沒有去注意。

¹⁰ 所有的姓名都是經過佚名的。

她的閱讀行動充滿了自主地、尋求視覺文本對自身經驗與知識的對照與肯定。與作品有關的知識使得薏安得以快速地瀏覽作品然後只針對差異部分加以仔細觀看。她的理解無論是肯定或是疑惑都是對自己的經驗或是知識提出對照，並進而引導自己從不同的角度與面向進行解釋與連接再進而建構作品的意義的。這些資料顯示她對作品的某些外在因素是熟悉，或是對作品的藝術技法是有知識的。她的藝術相關經驗與知識宰制或是指引觀賞的方向。她的理解來自本身與文本的融合。這個例子顯現出一種建構的理解策略讓觀賞者自由、多元與多方向地體會與觀看。因為有舊經驗讓例子裡的薏安有從容態度面對作品來觀賞而不會一次就驟然下定論。

舊經驗對薏安的參考提供了一些觀賞策略如對照與投射。舊經驗有時並非是教育的經驗與知識的引用，而是讓她有自省的能力。例如在面對作品 *Study for Marilyn* 時她是無知的，但是她在藝術與廣告的相關知識，提供自己在繼續觀看以尋找理解的訊息上得到協助。這個觀賞的活動過程同樣地出現在她觀看作品 *LeSportsac*。薏安甚至於藉著知識與經驗的投射來提醒自己對作品忽略的地方。

另一位不具藝術相關經驗的觀賞者云靈，在觀看視覺意象時其閱讀策略則呈現出知識與作品內容的觀察與資訊收集。相對於薏安的閱讀與理解，云靈的理解顯現出較表面的淺層的意涵建構。就觀賞的內容也許可以推論相關藝術知識是重要的以凸顯藝術教育地位。但本文從過程的角度來看，知識是有助益的時候也有限制觀賞的時候，端賴觀賞者的觀賞策略如何應用。所以藝術教育的著重點不在教什麼知識而是怎樣應用。云靈她的觀看紀錄也透露一些這個考量。她的觀賞策略舉例如下：

圖片（*Study for Marilyn*）中留白的部分太多，讓我有一種不知所措的感覺，可能我會針對細微的東西去分析，但像這張圖就沒有太多東西，會讓我不知道怎麼去挖掘。

今天的第一個覺得是圖片（*Study for Marilyn*）裡的人物是右撇子嗎？因為我是右撇子，所以擦口紅的話一定是用右手，但今天看圖卻覺得搞不好圖片人物是左撇子，頓時分不太清楚哪一隻是左手？哪一隻是右手？把自己的手舉起來才比較容易知道拿杯子的是左手，另一隻是右手（因為看大拇指）。

（*Study for Marilyn*）一般在路上比較少看到有人的口紅是塗這麼鮮紅色的，好像都是電視、雜誌才會有女星用這種紅色。

在知道此張照片（*Marlboro Man*）是一個香菸的廣告圖，但不明白為什麼主題是一個像牛仔的人牽著馬？還思索不出男模特兒牽著馬與這個香菸品牌的關聯。

（*Marlboro Man*）左下角的白色框框裡寫著：「外科醫生一般的警告：現在馬上停止抽菸對你的健康大大地降低危害的風險。」確定是香菸品牌的廣告。但是為什麼香菸品牌的廣告卻要放這樣的標語警告人們不應該抽菸呢？賣菸卻又要警告別人不要抽菸，這樣想法不是互相衝突嗎？

云靈知道「留白」這個中國畫專有術語，但是卻誤用在西畫觀賞上而無自覺。這個知識對云靈而言根本是毫無用武之地，甚至因誤用而導致她只知道作品要有多一點的細節才能對觀上有幫助。當她自身的經驗被作品引發時，因為未能有適當的覺察與投射導致一直在觀看以尋找適當的訊息。沒有訊息與回顧自身的觀看策略時，觀賞活動就出現停滯而無法理解作品。

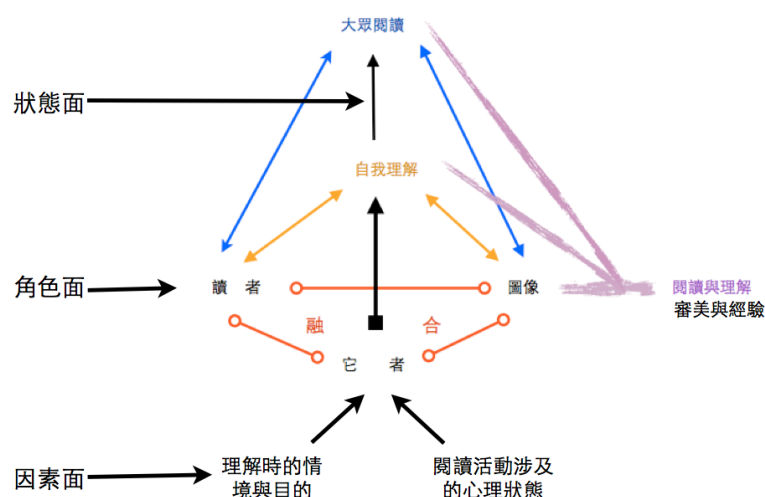
根據 Haas, C. 和 Flower, L.(1988)研究指出，不具經驗的讀者其閱讀的策略是在作品中尋找內容與獲取閱讀的知識。資料顯示雖然云靈是很自主進行與引導本身的理解。但是其理解正如 Haas 等人的研究指出，閱讀是在視覺文本特殊框架內作結

構與內容的比對與建構。當特殊表現手法過於堅固時就出現 de Man 的文本不可閱讀 (unreadability) 性質。例如畫面的空白以及看似超現實的構成手法，使得其現實的生活知識與視覺習性不足以解釋，便出現以疑問代替理解的閱讀行動。這就是云靈無法更深入觀賞的原因。

這兩位因其經驗的有無，雖然都出現以自身能接受的理解結果進行閱讀與建構意義。但是其所採用的策略是有所不同的。**Haas** 等人的研究認為，有經驗者如慧安是視覺表現法則與多面向的理解以建構意義，而無經驗者如云靈則是以文本的框架建立意義的內容和可能的知識內涵。

4.3 典型與非典型的閱讀

前面的例子除了顯現觀賞者本身的素質：經驗、知識、觀看的習性與偏好等等心理與文化和認知等的因素宰制或是決定了觀賞活動的內涵、過程、以及方向和結果外。就讀者反應而言，每個人的閱讀都是不同的。所以觀賞與理解是不具典型化的模式。根據 **Dorfman (1996)** 的研究指出，讀者反應理論到解構主義之後已經無法認定閱讀有其共通性。但從觀賞策略的有無而言，在紛雜與各自不同的觀賞者都是採取其自身適用的觀賞行動策略以進行理解作品，這是大家都一樣的。圖四是在共通與非共通的觀賞行動中兼顧觀者與作品的觀賞活動結構圖。



圖四：融合的視覺閱讀結構與途徑

圖四的中間兩個相互顛倒三角形：讀者＋圖像＋大眾閱讀（或自我理解）、讀者＋圖像＋它者，是從新批評主義以來到讀者反應與解構主義的閱讀活動各元素間的影響作用。這是觀賞所有視覺文本都存在的共通典型化觀賞行動與活動過程。而外圍的六個元素：狀態面＋角色面＋因素面＋理解的情境與目的＋閱讀活動涉及的心理狀態＋審美與經驗，則是彼此每個閱讀者在觀看時的影響因素。這些因素各自不同，因此每個人觀賞行動的內容與活動過程就不同。此乃非典型的、不具共通性質的視覺圖象理解活動。

沁茹是一位具有藝術相關教育背景的參與者。她在觀賞 **Marlboro Man** 這件香煙廣告作品時的記錄是：

光線明暗分磊，因此很搶眼。……整張圖片呈現橘紅色，給人溫暖的感覺，但觀察人物的穿著似乎是在冬天。

對作品 *Study for Marilyn* 的觀賞也是：

整體顏色單純，以紅白為基調，眼睛直視在上方橫放的玻璃杯上，它剛好放在人臉眼睛的位置，但又看不到眼睛，充滿著神秘感。紅色的嘴唇和指甲很吸引人，手上拿著一張像試紙的東西。整體構圖方正，切割意味明顯。.....玻璃杯和下方人臉的互動，將眼睛遮擋住，認知上玻璃杯是透明的應該會透出下面的物體，而此圖象卻又沒有顯現出，讓我覺得有一股神秘感。在認知中紅色的唇和指甲是很魅惑人的，因此看到此圖像時也會有同樣的感覺。

沁茹在這簡短的記載中顯露出「觀者+圖像+它者」的融合跡象。這是在為自我滿足的狀態下觀看，她不斷地在作品與經驗間來回對照和的投射，也適時地省思。當她在觀賞作品 *LeSportsac* 時則顯露出因素面的作用。她說：「還在感冒中，所以不適的身體狀況稍稍影響了讀圖的精神。我選擇一邊聽音樂一邊讀圖，聽的是楊乃文，隨性又帶點激烈的音樂。想嘗試在這樣的情況下讀圖的狀況。」氛圍與心境都是她試著用來幫助觀賞的要素。

圖四中狀態面兩層級的閱讀：自我理解與大眾閱讀，都是必須由觀賞者與作品的它者及圖像的意義來融合才能獲得。對這些因素，在「融合」的觀念中並沒有何者為主何者為副的現象，其作用力的強或是弱是取決於觀賞的層級為何者。這樣的推論也許可以「目的論」來稱呼。雖然從康德（Kant）無目的性美學觀，可以支持為了自我理解而觀賞的理解，在審美的價值上是大大於為了與大眾談論而觀賞的理解。但是，從一般自然狀況下的觀賞而言，審美的目的或是美感經驗的動機並非重點。

在狀態面上，因為觀賞與理解的目的和情境不同，對於理解的內容與期許會不一樣。在為了與人談論時，因參與觀賞的群體與場域不同，觀賞的行動要求就會不同。在角色面上，因為觀賞者本身的條件、習性、以及作品的特徵與表現風格等因素，使得觀賞者與作品在互動時相互的作用力也會不同。在因素面上，觀賞者於觀賞作品時與前後的生活、心境、與文化或觀賞傾向，和作品於觀賞時的背景與脈絡也影響了觀賞的策略和行動。

五、融合的美感理解

具類型化的觀賞者，亦或是具典型化的觀賞過程，是近數十年來在藝術與文學乃至於社會科學的溝通研究領域中持續被關注的議題之一。在本研究的自主閱讀日誌中，研究參與者在打開圖像進行觀賞時，是以相當多樣化的經驗與心境，和多元化的觀賞態度與過程來進行。

凡是在不同心境與狀態下為自身而理解視覺文本以「成為觀賞者」，在觀賞活動上都呈現出既具類型化的典型，也出現非類型化（non-paradigm）的觀賞特徵。這個結論與 Margaret M. Foley 對低年學童在閱讀故事書的研究(Foley, 2000)結果是不謀而合的。這個結果一方面驗證了本文在文獻探討時所提到，因方法論的差異導致知識論上的主張差異(Erik van, Oostdam, & Glopper, 2001)。雖然此一發現並非本研究所欲探討的問題，但是他們在對文藝批評理論所進行的批判中，尤其是對 Rosenblatt 及其他研究在方法與過程上的評析時指出，結合讀者和文本或是讀者和自身反應間交融互惠的探究是需要繼續努力的。

本文從讀者反應理論的同與不同，討論觀賞各式視覺圖像時的某些共通及差異現象。首先是如同 Rosenblatt 所主張的「結合（combination）」把作品、自身以及

之外的第三者（他人）進行融合（fusion）。融合比結合更圓整、更無勢力強大或主宰與被宰制的現象。本文討論的結果也許是因為所立足的認識論而導致這樣的結論。讀者反應理論與符號學或是溝通理論的不同主張都有一個共同點，就是在觀賞與訊息傳達過程中必然有一個較優先被考量的力量或影響存在。例如優勢或協商閱讀、文化背景或詮釋社群等等。但在本文的分析中先以「為自身閱讀」以及「審美閱讀」的差異來看待解碼視覺文本的活動內容特徵。因此，所得的「融合」閱讀是指在觀賞時每個人都極力地，或是不斷地在「試圖找出最適宜的方式」並「參照最大的有益訊息與資源」以獲得「最理想與滿意的認識」。因此「融合來自文本對象的線索」「確認本身的狀況與情境」「探尋與參照他人或外在知識」就成為觀賞視覺意象時的典型化類型觀賞特徵。本文必須再一次的強調，這樣的觀賞活動必須是在下列條件才存在：「自由地觀看」、「充分的自主觀賞」、「有機會自我覺察觀賞活動」以及「非目的與功能導向的觀賞」。

一個典型的「融合」反應可以從觀看 Rosenquist, J. 1962 年作品「Study for Marilyn」中看出。¹¹對於無論是否有藝術相關背景的人，在面對此作品畫面的寫實具體圖像時「一個女孩在做某事」是所有人普遍的反應。因為大家都由畫面的圖象有清楚具體的聯結。但是「做什麼事」以及「為什麼做這件事」或是「這樣的主題要表現什麼」則是因人而異。前者是具典型化的觀賞，而後面各有不同理解的觀賞則是非典型化的閱讀。之所以有非典型化的觀賞在於畫面中的不合理性安排與表現，也就是令觀看者感受到矛盾與過於抽象。以該作品而言，它的矛盾與抽象不清晰的畫面，如看似透明卻又完全遮蔽部分人臉，以及手拿像口紅卻也像試紙的物件，則被所有的人依其觀賞過程的特徵而賦與意義。所謂「賦以意義」的觀看在本研究中所出現的特徵是：「融合作品之外的所有他者」。這種「以畫面為參照」以及「抽象時則產生自由觀看」與「經驗和生活走入理解」的特性也存於其他作品。例如在觀賞 LeSportasc 這件有如電影中隱形人般，看不到臉龐的人坐在車廂裡化妝的作品時。在車廂中化妝、沒有臉龐的人、一副巨大的拉鍊等等就提供給觀看者產生非類型化觀看的機會。所有的類型化觀賞都是與畫面具體可見的圖像有關。其餘的就使得觀賞者在矛盾與不可思議或抽象之中試圖融合「上下班的通勤列車」、「戴墨鏡的女性」、「擦口紅化妝」等等知識、社會行為、生活習性進行意義的融合以使其理解得以充分有理與可被接受。此時的接受是指可以被自己體會並理解作品的表現意涵。而不一定要獲得其他人認可。

自由地為自己的體會而觀賞，並在具類型與非類型的融合中，滿意地持續進行觀看與建立意義、最終理解作品是本文分析所得的一個關鍵要素。也就是說本文所探究的觀賞行為是一種自我滿意(self-significance)而不是為滿足大眾而閱讀(public-reading)。自我滿意的觀賞通常是一種真誠地與自由的觀看，而滿足大眾的觀看是會有所隱藏與修飾。前者是較合於美感經驗的審美感受。而後者是一種目的導向的陳述。縱觀所有的觀賞日誌，在觀賞時不論順利與否，都會夾雜著閱讀前後的心境、近日的生活情緒、對作品閱讀的自我期許、在作品相關知識與技能或是觀賞經驗的反芻（同常是增強觀賞的作用），甚至於是率直地喜歡與否的情緒反應。當無顧慮於第三人的評語時，觀賞者讓自身融入作品的現象是較明顯的。

¹¹ 請參考附註 9 的聯結。

六、結論

綜合而言，本文的探析並未推翻也未延伸或補足，所有的文藝批評理論包含結構主義、新批評主義、歷史文化論、讀者反應理論、接受美學、或是詮釋學以及符號學等溝通理論，而是得到一個更真實的歸納：觀賞活動或是理解視覺意象必然有兩個基礎：具備類型化的共通觀看過程以及不具類型化的個別化觀看過程。這兩個觀賞的基礎過程，都必然地因應為自己而理解或為使別人理解，而有不同的觀賞結果。但無論何者，觀賞以求理解作品時都一定是融合了包含自己與作品之外的他者。這可以在前面的圖四中獲得解釋。於藝術教育的鑑賞教學上，這個結論反映出一竊追求學習藝術理論與知識的不適當性。

在所有的鑑賞或是藝術評論教學理論都是屬於為大眾而閱讀，因為會要求學生討論或是報告觀賞結果。它的學習活動設計與成果的判斷，是取決於大眾也就是同學與教師，能否支持並同意他觀賞作品後的解釋。當學習者也就是觀賞者認識到學習的情境後，他會變成要不是捨棄自我的論述與美感，而預期大眾的觀賞；要不就直接從大眾所知的基礎進行解釋，而不是先自我體會後的談論作品。不管何者，本文的結論在藝術教學上的建議是：理解藝術作品不能以大眾的公開敘述為依歸。而是要循序漸進地由自我的論述再到自我與他者的融合，之後是建構美感經驗。公開的陳述、敘述、解釋、詮釋與評論是不可一蹴而就的。

在理解與建構視覺意象的意義上，也就是美感的詮釋或藝術評論，本文的建議乃是從傳統的形式主義、到讀者反應以及批判理論都是類型化觀賞作品論述的基礎，它們彼此間的差異點正是非類型化觀賞的本質。所有企求建構觀賞過程或典範的想法，都勢必無法完整描述觀看的全貌，也勢必會誤導觀賞者的發展。而對於觀看作品的不同目的，本文建議探究觀賞作品時必須區分觀看當下的心境與「所讀為何？」。也就是藝術鑑賞的探究除分析作品、視覺符號與風格、觀賞活動的內容、意義的建構與參照因素等傳統要素之外，更要注意觀看作品時的心理面與情緒面。

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Taiwanese Mountain Area as Place/Landscape Presented in *Seediq Bale*

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Abstract

In “Some Principles of Ecocriticism,” William Howarth writes that nature and culture “constantly mingle, like water and soil in a flowing stream” (69). Lawrence Buell, while considering the future of environmental criticism, expresses a clear belief that “the environment” refers to both “natural” and “human-built” dimensions of the world. The two critics suggest, in effect, that the built environment, as well as the natural aspects of the land, be discussed.

The environment is thus permeated with diverse power relations among people, and with interactions between man and his surroundings. This expanded notion considers the environment as “landscape” – a compound term in which “land” refers to the surface of the earth while “scape” means “to shape” from the outside. The term, then, implicitly refers to man’s collective effects on the environment; the land is made and modified to serve as the infrastructure for human existence. Another idea related to land ethics is “place,” which, according to Tim Creswell, allows not only for being understood through the lens of social and cultural conflicts, but also for discussions of value, belonging and attachment (20).

This paper is intended to discuss the ideas of place and landscape in *Seediq Bale*, and to investigate diverse relations between men and the environment. *Seediq Bale*, a film released in 2011, is about the conflicts between the aboriginal people in Taiwan and Japanese colonizers. The film is set in the mountain areas in Taiwan. The mountain area becomes a land shaped, abused and changed for Japanese imperial benefits. It is, however, a “place” for the aboriginals, a land not constructed by a seamless, coherent identity, but one containing a variety of conflicts and attachments. The mountain area in the film becomes a social construct expressing a sense of (un)rootedness, the oppression of people, and the exploitation of nature. Japanese colonial hegemony therefore causes environmental racism, which is a form of racial oppression connected to and supported by natural exploitation.

Key words: place, landscape, environmental racism

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《賽德克巴萊》中所呈現的台灣山區地景/地方

李晶菁*

摘要

威廉霍爾在「生態批評的基本信念」一文中，主張自然與文明其實是「如同潺潺流水中的泥與水一般，相互交融」。勞倫斯貝爾在思考環境批評的未來時，也明確的主張：所謂環境，應包含渾然天成與後天改造兩個層面。這兩位批評家都認為：土地的「自然」與「人為」面向都必須納入考量。

因此在討論環境議題時，會發現「環境」其實內涵了人與人之間的權力關係，以及人與周遭的各種互動。這樣的觀念擴展下去，即衍伸出兩個對環境的觀點。一是「地景」(landscape)，此為複合字：land 指地表萬象，scape 指的是外來的「形塑」。「地景」一詞泛指：土地為人類存在的物質基本結構之際，人類集體對環境的影響。另一個對土地倫理的觀點是「地方」(place)。根據克瑞斯威爾的定義，「地方」這個概念不只可以觀看其內部社會文化的衝突，也可以討論位於其中的價值、歸屬、和情感依附等。

基於上述觀念，筆者意圖討論電影「賽德克巴萊」中「地方」、「地景」的呈現，以及探討其中人與環境不同的關係網絡。此電影於 2011 年上映，其中探討原著民和日本殖民者之間的衝突。電影以及史實事件發生在中台灣的山區：這山區在日本帝國利益環視之下，已成為一個被形塑、被壓榨、且因此面貌改變的「地景」。然而，對原住民而言，這山區是一個「地方」：內部並非共享平和且單一的身分，而是一個有內在衝突以及情感依附之地。電影中的山區因此成為一個社會建構，內含了紮根與失根的矛盾、對人的壓迫、以及對環境的迫害。日本殖民霸權造就了「環境種族主義」；而所謂的「環境種族主義」，乃指種族壓迫及環境破壞之間相輔相成的關係。

關鍵字：地方，地景，環境種族主義

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I. Nature vs. Culture

When Michel Foucault proposes that life is inevitably “governed by certain numbers of oppositions...for example...between cultural space and useful space,” he does not mean that we should get stuck in binary oppositions (23); instead, he suggests getting within and with-out dichotomies to obtain diverse perspectives. The example that Foucault mentions – the opposition between cultural space (culture) and useful space (nature) – has a long tradition that defines and justifies human domination over nature. In fact, the definition of the word “culture” has changed over time to take on a more anthropocentric value. Etymologically speaking, “culture” at first referred to “a cultivated field or piece of land” (Bate 3); its inseparability from land was implied. The word later referred derivatively to “tillage, the working over the soil” (ibid), such that man’s labor and technology to enhance agricultural production are implied. “Culture” has ever since been associated with the advancement of society, wherein intellectual and spiritual works bring civility and satisfy moral needs, while science and technology satisfy material demands. The etymological development of the word “culture,” which Jonathan Bate discusses in his introduction to the interrelationship between romantic poems and nature, uncovers the rudimentary unity of culture and nature, while simultaneously explaining the gradually developed binary, opposing notions of culture vs. nature in modern life and thinking.

On the other hand, according to the *Online Etymology Dictionary*, in the thirteenth century the word “nature” referred to the “restorative powers of the body,” or the “bodily process.” From the late fourteenth century on nature is associated with the “material world beyond human civilization or society.” Once nature is related to “useful space,” its material reality is noted. However, when discussing ecocriticism Peter Barry repudiates the notion of linguistic or social constructionism; he also denies nature as a reality that transcends conflicts or human intrusion. He thus defines nature as “a site of struggle” (Barry 254). This change in word definition (culture), and the refusal to trap nature in either a linguistic construct or into daily materials, shakes and complicates the culture-nature binary opposition.

Such intricate interaction between culture and nature, as well as the interaction within each one, presents an anthropocentric opinion. Anthropocentrism, the notion of human domination over, and exploitation of, nature, develops along with civilization. In other words, the culture-nature interaction has a long tradition that is sustained by established narratives. The two primal origins of western civilization, Greek mythology and the Bible, justify such human domination over a non-human sphere. From the moment Prometheus brings fire to help humans with their self-protection and accommodation, the burgeoning civilization starts developing in an anthropocentric direction. Christianity also features the domination of nature. In the Garden of Eden, God allows Adam and Eve to name all the animals and then declares them as subject to humans, which not only builds up religious authority, but degenerates nature into a backdrop for human survival. Lynn White blames *Genesis* for anthropocentrism, which initiates the hierarchy of man over animals and causes the unbalanced relationship between culture and nature. Such hierarchies can be found in *Genesis*:

The Lord God said, ‘It is not good that the man should be alone; I will make him a helper as his partner.’ So out of the ground the Lord God formed every animal of the field and every bird of the air, and brought them to the man [Adam] to see what he would call them; and whatever the man called each living creature, that was its name. The man gave names to all

cattle, and to the birds of the air, and to every animal of the field
(I.ii.18-20).

Naming is a symbol of power and manipulation, and these verses from *Genesis* justify human domination over nature. In medieval painting, therefore, nature is found as a backdrop for religious motifs, which is further developed into a stratification of the “Great Chain of Being” – a belief committed to theology and to human domination over nature. The Great Chain of Being embraces the ultimate authority of God, as well as the philosophy that nature is in service of man.

Later on, when Rene Descartes (1596-1650) advocates the mastery and possession of nature within the grasps of *res cogitans* – mind and rationality become the driving forces behind science and ideas. As Alexander Pope, in “An Essay on Man,” claims that “the proper study of mankind is Man,” so the notion of human beings as separate from, and superior to, nonhuman nature is declared. The Age of Enlightenment in the 17th century, therefore, not only embraces a Cartesian vision of the world, which stresses the authority of human reason over nature, but asserts the need to study nature scientifically so as to justify human domination over nature. Culture and nature become opposing notions that are distinguishable and irreconcilable. Hegel thus proposes art to differentiate humans from animals, and to make up for the deficiency of natural beauty in humans (Bate 122). Culture is considered a strategic need for improving nature.

The development of the culture-nature dichotomy discloses values that are history-laden. Lawrence Buell points out that the nature-culture distinction is anthropogenic, starting with nomadism and settlement millennia ago (3). The dichotomy is thus a necessary lens through which the human modernization process is perceived. However, the notion that nature is constructed and stratified within can be found in works as early as Chaucer’s “Parliament of Fowls.” Here the natural world is constructed in service of gender and class hegemony. The idea of nature as a social construct invites critical examination of the power relationship within. William Howarth therefore insists that nature and culture mingle constantly (7); Gary Snyder, likewise, proclaims that “nature...is everywhere, and ...is almost always intermingled with the form of culture” (6-7). This development denies a sharp dichotomy between nature and culture; the term “environment” is thus rendered more comprehensive, including both cultivated and built landscape as well as natural and wilderness areas. This more inclusive perspective of the environment promotes the understanding that “nature and culture [are] interwoven rather than...separate sides of a dualistic construct” (Wallace & Armbruster 4). Human beings, as biohistorical creatures, thus shift attention to the concerns of human interaction with the environment from scientific, economic, political and religious perspectives.¹

This human relationship with the environment can be understood through the human use of nature: man’s ambition to control nature is likely to extend to controlling other humans. In this sense, power relationships within nature are a focus in environmentalist studies. Indeed, as Alexander Willson mentions, “the whole idea of nature as something separate from human experience is a lie” (13). Humans can be seen as *a part of* and *apart from* nature: the former view focuses on nature and culture as symbionts, while the latter focuses on the benefits of humans and those of the environment being differentiated. As culture generates economic and political concerns, nature turns out to be “a site of power struggles, displacements, and contestation” (Norton 274). An analogy can be found in Raymond Williams’ refusal to consider rural life a simple, natural, and unadulterated Golden Age. He claims rural life cannot be trapped in a dualistic opposition of the city as

¹ Richard G. Botzler and Susan Armstrong, in *Environmental Ethics: Divergence and Convergence*, propose that environmental ethics “is not limited to ethical inquiry, but also imbedded in a larger matrix of aesthetic, religious, scientific, economic and political considerations” (2).

evil, with peace and harmony in the country. The binary oppositions of culture/nature, humans/surroundings, and city/country are thus shaken to include more inconsistency and interaction within each dichotomy.

II. Place, Landscape, and Power Relationship in Land Ethics

When focusing on land in this study, two terms must be avoided to make the critical focus clear: ecocriticism and setting. Cheryll Glotfelty defines ecocriticism as “the study of the relationship between literature and the physical environment” (xviii). However, the prefix “eco” connotes natural surroundings, so the built environment is excluded. This reiterates the dichotomy of nature vs. culture, and curtails the environmental concerns of the earth. Environmentalism is a more inclusive term comprehending both the natural and built surroundings, in which culture and nature are ingredients, and conflicts and unbalanced power relations are discussed. As for “setting,” it implies “the physical environment serv[ing] for artistic purposes merely ... [and] ancillary to the main event” (Buell, 1995, 85). Therefore, “land,” instead of “setting,” is a proper term so as not to be deprecated as a backdrop.

Literary works offer imaginative situations regarding the interaction and interdependence of humans and the environment. When Lawrence Buell considers the environment “more simulacra-mediated than context-responsive,” he is actually pointing out that the environment is constantly consumed and refashioned rather than a permanent fixed given (2001, 5). Michael Bennett thus proposes to incorporate urban and degraded landscapes into the environmental discourse, so as to advance its ecopolitical prowess without reinforcing the nature-culture dualism (22). Environmental criticism thus takes into consideration “the fate of place,” which, as coined by the same book title by Edward Casey, is the primal concern of ecopolitics and ecopoetics: with the former addressing environmental exploitation and conservation while the latter delineates a textual world with specified settings.

When considering place as a main concern in environmental discourse, Buell proposes that world history is actually “a history of space becoming place...through inhabitation” (2005, 63-64). In fact, place is characterized by ownership, as well as by meaning, when people are attached to it (Cresswell 1). This ownership of, and attachment to, a place coincides with Yi-fu Tuan’s idea of “topophilia,” which refers to “the affective bond between people and place” (4). In other words, place is characterized by people’s subjective and emotional sense of attachment. Once a sense of place is built up, value and identity are established, although they are likely to be threatened or eradicated.

Attachment to a place leads to rootedness in this place, and a collective identity among its people. This place attachment is possible since places are constructed through memories and affections, and are therefore intersubjective. Memories and affections collaborate to set up place attachment; thereby, a place “is seen, heard, smelled, imagined, loved, hated, feared, revered” among people over time (Walter 142). On the other hand, rootedness in a place implies that place is “time-thickened” (Crang 103), with the past and the present binding people together on that very spot. Therefore, place is never a “pause” of the sort proclaimed by Tuan (8), because place is not only associated with security and stability. Tuan defines place as “one of stability and permanence” (29), and “an enclosed and humanized space...[with] a calm center of established value” (54). Tuan’s definition neglects the fact that place is constituted in events, in memories, and in attachment. Doreen Massey claims that places do not have a single identity, but are instead contained within constellations of social relations and conflicts. Therefore, place is “extroverted,

which includes a consciousness of its links with the wider world, ...intergrat[ing] in a positive way the global and the local" (Massey 69). Likewise, Edward Casey considers place "eventmental, something in process, something unconfined to a thing" (337). In other words, place and memory are interwoven; both are constructed, open to events, and resistant to pause and stability. Place is eventmental and progressive, with conflicts within. It is not a pause, nor a natural given.

When place is attachment, memory and events accumulated, it is an area "in which... the constitution of *social relations* are located and with which people can *identify*" (Agnew 263, emphasis mine). John Agnew's definition pinpoints two elements that are buried in place: social relations and identity, and these two can integrate the study of place with that of power relations. In this sense, place is, on the one hand, inseparable from the concrete region where it is set, while on the other, it delivers "open and porous networks of social relations" (Massey 121). In other words, place refers not only to topography, but also to relations. Similarly, Michel Foucault proclaims that people do not live inside a void, but within "a set of relations that delineate sites...irreducible to one another and absolutely not superimposable on one another" (23). Place is thus to be perceived through the lens of social and cultural conflicts; social relations concerning race, gender and class are the primal focus. Place is socially constructed within the context of unequal power relations: of domination and exploitation. Never is place a bounded stasis; instead, it is "the product of processes," and this is of tremendous importance for human existence and cultural development. It is therefore impossible to think of a world without place, in which there are still material realities and constructed interrelations.

Place is therefore made up of sets of social relations at a particular location. It is a convergence of place attachment, history/memory, geographical materials, and interrelations. Due to all of these, place can never be a seamless, coherent identity. However, when human interaction with nature is conducted for profit, instead of for need, place is contained within the oppression of subalterns,² as well as the exploitation of environmental surroundings. Lance Newman therefore claims that nature writing is "a dynamic tradition of response to the rise and development of the capitalist ecosocial order" (18). The interrelation between humans and the nonhuman environment is social-mediated: place thus transcends the fixed, bounded locus and is an open location undergoing continuous events and conflicts. Buell (2005) therefore considers place-making as "a culturally inflected process," in which nature and culture, as well as humans and nonhuman location, are seen as "a *mutuality* rather than as separate, irreconcilable domains" (67, emphasis mine).

Attachments and interactions between people and place are thus of tremendous importance. As previously mentioned, place is the location people get involved with and attached to. Another similar term, "landscape," is "an intensely visual idea" (Cresswell 10). Firstly coined for painting, "landscape" refers to the actual countryside. The word "landscape" is formed by combining two words: land and *scape*; the former is a definite portion of the earth, while the latter, *scape*, is "shape...which indicates collective aspects of the environment" (Jackson 7). The word "landscape" therefore implies the visual shaping of the land; in other words, people are seeing the complexity of the world. This term later develops into "a composition of man-made spaces on the land...which evolves not according to natural laws but to serve a community" (Jackson 8). Landscape thus implies a land with topographical material in service of communal demand and

² "Subalterns" is a term coined by Antonio Gramsci (1891-1933). According to Gramsci, the dominant class achieves economic superiority and cultural hegemony; social institutions are thus structured according to their will. However, "subalterns" refers to those socially subordinated groups that lack the hegemony and authority of the dominant class.

consumption.

Since landscape refers to the shape of land, visual perspectives and political manipulation are emphasized, rather than attachments and involvement. Cresswell thus finds in landscapes “the view...outside of it,” insisting that “we do not live in landscapes – we look at them” (11). Landscape serves as a backdrop for human perception and existence – an anthropocentric knowledge of the topography that serves as the infrastructure for human production and consumption. In summary, place and landscape offer two diverse attitudes toward land: the former is contained within attachment and engagement, while the latter delivers consumer benefits.

When Thoreau regards man as “an inhabitant, or a part and parcel of Nature, rather than a member of society” (99), he is stuck in the binary opposition of culture and nature. However, his proposal of being a mere inhabitant denies human ownership of land. Aldo Leopold later holds a similar idea when he sees humans as “plain members and citizens,” rather than as conquerors of the land-community (413). Human inhabitation on land shows the connection and attachment between humans and the environment. Place discourse thus encourages reciprocal relationships, while landscape functioning as an infrastructure for consumer needs and production inevitably discloses conflicts and an unbalanced power relationship within. Be it place or landscape, however, “land” is a common concern.

Some critics point out the divergences lie in “postcolonial ecocriticism”: ecocriticism “priorit[is] extra-human concerns,” while post-colonialism focuses on “the interests of disadvantaged human groups”³ (Huggan & Tiffin 17). “Land,” however, is the common concern of environmental and colonial discourses: environmentalism focuses on the exploitation of land, while colonial discourse oppresses and abuses new land and its inhabitants. With land as the site of oppression and conflicts, environmental racism combines racial exploitation with environmental concerns, that “the oppression of one is connected to, and supported by, the oppression of the other” (Curtin 145). In this “biotic community,” humans are “ecologically and environmentally embedded” (Buell, 2005, 8); exploitation of the environment and the oppression of people are often connected to each other.

The two discourses – environmentalism and colonialism – have land as a common concern. Land as a landscape is produced and consumed, while land as a place is to be attached to and involved with. Robert Pogue Harrison, when discussing English rural countryside, mentions that deruralization occurs due to “humankind’s consuming encroachment upon wild woodlands” (71). Henri Lefebvre, when discussing the irreversibility of natural space, proclaims that nature is “reduced to materials on which society’s productive forces operate” (187). Harrison’s concern of deruralization and Lefebvre’s worry about nature’s irreversibility both point to the fact that land is being appropriated to produce value, and to satisfy the capitalist demands through domination of the land and of the people on it. Land as a place or a landscape is therefore important in environmental studies.

III. Film Analysis

The discussion above delineates the idea of nature as both a given and a construct; besides, any location can be regarded as either a place with attachment within, or a

³ Graham Huggan, in “‘Greening’ Postcolonialism: Ecocritical Perspectives,” points out that “postcolonial critics have been insufficiently attuned to life-centered (eco- or biocentric) issues and concerns” (702).

landscape with biased perspectives from outside. These ideas will be included in discussing the film, *Warriors of the Rainbow: Seediq Bale*--a historical epic released in 2011. It is based on a calamity – the Wushe Incident – that occurred in central Taiwan in 1930. The Seediq are an aboriginal people in mid-Taiwan's interior highlands. In this mountainous interior, the Seediq led a traditional life, hunting for animals, and tattooing their faces to make possible their afterlife with their ancestors. However, the Treaty of Shimonoseki ceded Taiwan to the Japanese government in 1895. During the colonial period that followed, the Japanese army tried to plunder natural resources from the island, and abused people by trapping them into forced labor and sending them into a spiral of alcoholism. In the face of the intrusive imperial coercion, the indigenous people on this land banded together for a rebellion. This uprising was led by Mouna Rudao, Chief of the Mahebu village of the Seediq people. Mouna Rudao tried to protect his land and people from Japanese persecution; but not until a right moment would Mouna Rudao form an underground of alliance of six clans, then lead his people into this desperate rebellion plotted. The initial uprising took the Japanese by surprise, and was almost successful. This surprise attack was on the day of a school sports meeting, when many high-ranking Japanese officials would attend. After the massacre, the Japanese soon tried all mean to crush the rebellion, using aircraft, bombs, even poison gas, though the last was in breach of international conventions. Taiwan mountain area is obviously “a site of struggle,” to take Peter Barry's term (254).

(a) *the mountain area as a **place** for the aboriginals*

The David-versus-Goliath film begins with young Mouna Rudao hunting in the forest, and feuding with one man from another Seediq tribe, Temu Walis – the two clans have been quarrelling for hunting grounds for a long time. Specifically, the opening scene exhibits the lush forest of Mount Chilai, where narrow paths, ancient trunks, giant trees, waterfalls and creeks all embellish the already green local world. The aboriginal lifestyle presents an ideal land ethic like that proposed by Leopold – humans as “plain members and citizens” in their natural environment, in which the “intrinsic value” of the surroundings is recognized and respected (413). Their land ethic advocates human responsibility toward nature, denies anthropocentric commercial goals, and proposes a symbiosis between humans and land, between culture and nature. In addition, the beginning scene sketches the Seediq being made of warring clans, who earn their valor through head hunting. Their tattooed faces and impressive athleticism present the collective Seediq characteristics. On the other hand, however, complicated internecine tribal rivalries are outlined too. Therefore, during the Japanese colonial reign, some of the Seediq are resigned to defeated subservience; their fighting spirit has been diluted by servitude. Others, like the film's hero Mauna Rudao, secretly organize rebellion for survival and freedom. The mountain area inhabited by the indigenous tribes is a *place* with inherent tribal rootedness, attachment, also diversities and conflicts.

Just as Arthur J. Ray's portrayal of Canada's indigenous people, the places where their ancestors lived and their spiritual roots lie are of vital importance for their self-definition. Metaphors from surroundings or narratives from their traditional legends all indicate that the land is integral to their past, present and future – the land is their history book (1). In other words, for an ethnic group, “the concept of a homeland may be a fundamental basis...to assert some special *privileges* in, even *ownership* of, an area” (Norton 276, emphasis mine). To build up a sense of place and rootedness in the film, and to present the mountain area as a place/hometown for Seediq people, some strategies are adopted within the film: including reiterative social practices, legends, and language. Once a sense of place is set up, and tribal privileges in the place guaranteed, the uprising

against Japanese colonial exploitation is expected and justified.

Tim Cresswell stated that “place is constituted through reiterative social practice – place is made and remade on a daily basis” (39). Mike Crang, from a cultural geography perspective, also proposes “continued repetition of particular sorts of behavior...to be associated with particular places” (103). In other words, place is where people share collective experiences over time. Rituals are thus a required ingredient of place, especially for ethnic people, so as to build up self-identity and to claim their privilege and ownership of the land. In the film, some rituals are mentioned and practiced – songs and dances are displayed, while other rituals are forbidden by the Japanese colonial state, such as head-hunting, facial tattoos etc. These rituals are ways for individuals to build up their collective ethnic identities, and to grant them a sense of place.

Songs and dancing are channels for Seediq people to address their values, to voice their common fury against their persecutors, and to present their common wish to fight the suppression they encounter. For example, since the Seediq tribes are of patriarchal system, women are relegated to background, as passive observers only. Dancing is thus presented with two genders, but women’s part in the ritual confirms the tribal society being made of two genders but dominated by the male only: the traditional dancing ends with Seediq men’s capoeira. Not only dancing, but songs are adopted in the film to present their collective identity and concerns. Mouna Rudao and his father’s ghost sing a canon by the river, clearly delivering their common concerns regarding their hunting ground – the land to which they have always been attached:

Reminisce on the people from the past,
Here I am
I used to guard these mountains and forests bravely.
These are our mountains,
These are our creeks.
We’re the true Seediq Bale.
We go hunting in the mountains.
We share food in our clan.
We fetch water from the creeks.
I’m willing to give my life for these.
Oh, creek! Be quiet.
Sisin babblers are singing.
Sing us a beautiful song please.
Sing for our people.
A song of our ancestral spirit.
I’m willing to give my life too.
When the lightening rifts the rock.
A rainbow appears.
And a proud man emerges.
Who is this man so proud?
It’s your offspring.
A Seediq Bale (emphasis mine).

Mountains and creeks are worth fighting for, and just after the duet Mouna Rudao determines to revolt against the Japanese colonizers. Mike Crang connects music and songs with “feelings of belonging...[which] promote the idea of a particular regional identity” (91). The song, following the tune of an ancient tribal melody, builds up regional identity and advances a sense of place that pushes people to retrieve the ownership of their land.

On the other hand, face tattooing is forbidden according to Japanese “civilized” practices. In fact, it is taken not only as a reiterative ritual in a regional place, but as a token of adulthood, manhood and warriorship. Young males in the Seediq tribes have to undergo a rite of passage to become adults. Usually the rite refers to hunting for foes’ heads or wildlife despite any challenges or jeopardy. The successful hunting gives them the right to have their faces tattooed, so as to become “Seediq Bale”—heroes of the tribe in the tribal language. When tattooing the young, as may be seen in the film, the tribal elder recites the following incantation: “You’ve offered blood sacrifice to our ancestors’ spirits. I hereby tattoo the marks of manhood on your face. From now on, you shall abide by our ancestral spirit, guard our clan and our hunting grounds. On the rainbow bridge, our ancestors’ spirits await the reunion with your valiant soul.” Indeed, facial tattoos are so significant to the cultural identity that the film opens with the admonishment of Mouna Rudao’s father: “A man who’s never decapitated an enemy, or a woman who’s not good at weaving, is not qualified to have their faces tattooed.” Beheadings and basket-weaving--the repetitive tribal rituals—make possible facial tattoos and then bring honor to the individuals, also sense of attachment and rootedness to residents in the place. Face tattooing is therefore a tie that unites an individual with his or her ethnic identity, a means to locate the individual in his or her hometown, and a route to lead the individual to a legendary space over the rainbow bridge where all real Seediq people, the real heroes, will meet.

In addition to the rituals and traditions mentioned above: [head] hunting, dancing, songs, face tattooing, and legends, language is also a key for collective identity. The mountain area is represented as a hometown for the Seediq people by the common language spoken in the film/place. Throughout the film, two languages are spoken: Seediq and Japanese; this is unprecedented in Taiwanese cinematic history. The two languages spoken in the film are used to address the historical reality of Taiwan being a Japanese colony, and to present this mountain area as being inhabited by Seediq people, and being dominated by the imperial invasion. Norton William claims that language is of vital importance to individual and group cultural identity because “it is both a means of communicating and also a symbol or emblem of *groupness*” (291, emphasis mine). Anthony Vital, in “Toward an African Ecocriticism,” suggests taking into account “how language both shapes and reveals such interactions because different languages permit varieties of understanding [social history and natural world]” (90). Therefore, we may discover that the director of the film, Wei Te-Sheng (魏德聖), had the actors speak Seediq and Japanese on purpose to disclose the coexistence and conflicts between these two languages, between two cultures, and between two perspectives toward the land/mountain area in Taiwan.

When Graham Huggan talks about ecocriticism and postcolonialism, the alliance between the two is said to “preserve the aesthetic function of the literary text while drawing attention to its social and political usefulness, its capacity to set out symbolic guidelines for the material transformation of the world” (14). In *Seediq Bale*, “the material transformation of the world” occurs to the land, which is the site of the conflicts not only between various aboriginal clans, but between aboriginals and the Japanese. Therefore, seeing the changes occurring to the land, Mouna Rudao states in his native tongue, Seediq: “Post offices? Stores? Schools? Do any of those things make our lives easier and better? Instead, we’re made to see how impoverished we are.” The cultural intrusion into their place exploits their nature and degrades the aboriginals into alcoholism and slavery. Schools are set up as an ideological manipulator, in which the imperial thinkings through the colonizers’ language are instilled. Two languages are spoke on the land, in this mountain area of Taiwan: Seediq and Japanese. But the two languages become primal

indicators, telling us the ups and downs, the waxes and wanes, of intrusive and aboriginal culture.

As a language makes possible the collective identity, so it preserves the need of collective survival. The conflicts among clans display that place is never constructed into a seamless, coherent identity with a homogeneous core. Therefore, in the film, the two clans respectively led by Mouna Rudao and Temu Walis have been feuding with each other for years, quarreling for hunting grounds, and seeking revenge upon each other for their conflicts to appease their hatred. But their common language, Seediq, still constructs a shared identity that the Japanese consider “savage.” As a result, despite the controversy over their hunting grounds, Temu Walis is shocked when he sees Mouna Rudao’s clanswomen hang themselves to conserve food for the warriors. He later says that he will fight for his ancestors, instead of for the Japanese being massacred in the Wushe Incident. In fact, throughout the film, Temu Walis, though close to the Japanese, speaks Seediq; his identity as an aboriginal rather than a Japanese is consolidated by the language he speaks.

(b) *the mountain area as a landscape for the imperial Japanese:*

Graham Huggan and Helen Tiffin, in discussing postcolonial ecocriticism, claim that “to assert one’s right to live in a place is not the same thing as to dwell in it... assertion is possession, not belonging, and dwelling implies an at-homeness with place” (82). In the film, the aboriginals adopt various rituals to consolidate their at-homeness with, and attachment to, the place. The colonizers, however, try any mean necessary to assert their possession of the mountain areas and to appropriate natural resources there. Right after the beginning hunting scene, the aboriginals are portrayed as low-wage, abused, logging laborers to show that the Japanese imperial power has intruded into the place. The Japanese characters in the film are mostly caricatured as either militaristic generals shrieking at their defeats, or sniveling clerks who abuse but fear the Seediq. The mountain areas are no more inhabited by “plain members and citizens” only, but also by conquerors who try their best to satisfy their consumer and commercial needs.

Therefore, though the concept of homeland consolidates the inhabitants’ advantage in a place, colonial power intrudes, and gradually deprives inhabitants of ownership of the land. Indeed, the clash (re)presented throughout the film is the discord of two languages hierarchically intersecting. The colonizers adopt language—Japanese—as a way to emigrate imperial culture into the Taiwanese mountain areas. Language is considered a strategy of subjugation to civilize the “savages”. Besides, the Japanese colonial power also attempts to transform the place into an inhabited landscape. Lines of Japanese buildings are set up in the mountain area, which are drastically diverse from the aboriginal buildings. Due to the cultural intrusion, the aboriginals’ identity is likely “to be threatened, contaminated, diluted or indeed even ‘destroyed’ by outside forces” (Crang 163). Therefore, in the film, Seediq kids have fewer chances to experience hunting, to fight for hunting ground, and to undergo the ritual of face tattooing as a mark of a heroic adult. When Mouna Rudao finds a new generation of Seediq losing ties to tradition, he calls for a revolt against the Japanese to stop cultural annihilation, and to retrieve tribal dignity. Another example is Dakis Nomin, a Seediq youth, who takes up a Japanese education and name, becomes a policeman, but regards his identity with ambivalence. He is thus hesitant at Mouna Rudao’s harsh question: “Dakis, when you die, are you entering a Japanese shrine? Or the heavenly home of our ancestors?” Torn between the expectations of clansmen and the intimidation of the Japanese, Dakis finds himself being an “other,” getting displaced in his hometown and discriminated in the Japanese colony. He laments his wretchedness, saying: “We don’t want to be savages, but however hard we try to dress

up like the Japanese, we'll always be seen as uncivilized people." He cannot consent to his ethnic identity or the dominant intrusive power; nor can he deny any. He has assimilated into Japanese culture, but still retained his own sense of aboriginal identity. Hara-kiri is thus his only way out of this torment of ambivalent dilemma.

Indeed, different languages deliver diverse interpretation of, and interaction with, the environment. The Seediq interprets nature as an organic entity to coexist with. To the imperial intruders, however, the mountain area is a treasury of bountiful woods and despised laborers. Woods are thus appropriated and laborers are abused. In the film, Japanese perspectives of the mountain area as a landscape display two sharp opposing images: either a tranquil utopia or mysterious black woods. For example, a Japanese policeman, Kojima Genji, often beautifies the same mountain area; he perceives the mountain area as a misty place with cherry blossoms, and as a ground for teaching his son hunting skills. On the other hand, the forbidding land seems daunting to the Japanese colonizers because their adversaries, the Seediq people, know it too well. Mouna Rudao uses guerilla tactics against the Japanese, with mountains and rivers casting their enemies into disadvantage. The aboriginals' being so familiar with the forest discloses the Japanese's ignorance of it, and how they are scared of the place. One Japanese officer states, with fear and confusion, regarding their vain efforts to defeat the Seediq in guerrilla warfare: "Those savages played hit and run. They are like ghosts. They easily ran over the ragged mountain paths that we barely walked properly on. We never knew where they came from or where they disappeared to. They were unpredictable." The Japanese colonizers see the mountain area as a landscape to be appreciated or mystified. For Seediq people, the mid-Taiwan mountain area is a hometown/place; however, for the Japanese, it is a landscape to be manipulated by the oppression of people and in which to exploit nature. The languages spoken in the film serve to assert ethnic distinctiveness, and to present diverse interactions with the land.

In addition to the cultural intrusion, the imperial colonizers also wage an economic assault, which leads to the exploitation of the mountain areas, and the persecution of the residents. The Japanese colonial government restricts the Seediq tribes from practicing their traditional head hunting and facial tattooing, and gradually deprives them of their language, weapon, and land. The film is divided into two parts: *The Sun Flag* and *The Rainbow Bridge*. Part One title clearly presents the dominating image of Japanese colonization, as "*The Sun Flag*" symbolizes the imperial and military power of Japan. As a colony, the land and the people in Taiwan are therefore subdued. Deforestation occurs in the Taiwanese highlands near Chilai Mountain, which reduces nature merely to materials. Therefore, in the film, right after the aboriginals' hunting scene, they are being forced into logging large sections of the forest. Between hunters' scene and log-laborers' are twenty-five years, during which Mouna Rudao has grown older, and developed a permanent, deep glower in the presence of Japanese transformation of the land. Mouna Rudao thus asks, "Is it good to be ruled by them [the Japanese]? Our men are forced to bend over to carry logs on our backs, and our women have to kneel down to serve and pour wine." His son also talks to one Japanese policeman about their hunting in the forest: "...what can we hunt in those disappearing forests? You've about hacked down all the trees on our hunting grounds. If we don't go hunting now, we'll have nothing left once the trees are all gone." Colonial invasion goes along with the inhabitants' subjection and with environmental destruction. This demonstrates a close association between imperialism and deforestation. Robert Pogue Harrison, in his book *Forests: The Shadow of Civilization*, mentions that when nature stops satisfying a colonizers' wish for potential exchange value, natural exploitation occurs – and deforestation is a form. In the film, the low-waged laborers wish for surplus value to buy the millet wine, which is once again an

abuse of nature's intrinsic value. In a word, deforestation leads to the advanced expansion of imperial colonization, and therefore to the contraction of natural resources and of regional identity.

Colonial invasion sees the environment as "the marketability of nature providing an implicit rationalization for the control and management of natural resources by the global urban-industrial system and its primary political ally, the nation-state" (Huggan & Tiffin 32). In this sense, economic growth is prioritized over sustainable development; all non-commodified relations with nature are denied, which causes alienation in social activities. Alienation comes from the separation and conflict of capitalist and worker interests, and leads to the reduction of human-nature relations. This capitalist mode of production has turned this Taiwanese mountain area from "the space of production" into "the consumption of space" (Lefebvre 188). Mountain areas become a political instrument manipulated by the state (the Japanese colonizers); the labor is thus segregated from product, man from nature, so that the profits of the dominant class are guaranteed. Due to the Japanese intrusion, this mountain area can never be a place with an ecological entity. It becomes a part of the social, economic and political life – "an inhabited landscape" – a term coined by J.B. Jackson to refer to "the product of incessant adaptation and conflict: adaptation to what is often a new and bewildering natural environment, conflict between groups of people with very dissimilar views as to how to make that adaptation" (43). This attempt causes a crash between the respective value systems of the aborigines and colonizers; so an exploitation of the mountain areas for colonial consumption benefits occurs. The consumption needs reduce the mountain area into "placeless, soulless new spaces, which are functionally more efficient but reduce the quality of experience" (Crang 106). Deforestation exercised in a colonized place thus coincides with Deane Curtin's notion of "environmental racism," which portrays the connection between racial oppression and environmental exploitation.

This mountain area degenerates into a landscape, in which material realities are consumed; in addition, rootedness, rituals and sense of place are shaken, even forbidden. In this vein, the war scenes are represented with bombs exploding in the forest, flames engulfing the trees, and trucks falling apart and down. These war scenes obviously associate the suppression of the subordinated with the destruction of nature. Nature is appropriated, and its residents are persecuted, so as to realize the commercial goals of imperial powers. The rebellion is defined by Mouna Rudao as a blood sacrifice to their ancestors, in defense of their hunting ground – an organic place free of colonial invasion and destruction. To justify their uprising, Mouna Rudao gives a stentorian heroic declaration, in which the aborigines' close connection with nature is disclosed: "There are more Japanese people than there are tree leaves in the forest, than there are pebbles in Jhuoshuei River. But my determination to fight them is more adamant than Mt. Chilai. If your civilization wants us to cringe, I'll show you the pride of savages." A real Seediq Bale will fight to keep his soul intact, his people unbiased, and his land undestroyed. A legendary promise is constantly brought up: "...at the other end of the rainbow in the heavenly home of our ancestors lies a fertile hunting ground." In the film, the battle scene is launched by a Japanese soldier's shouting line: "The savages are revolting!" and then the Seediq show off their fighting prowess in slow motion, which is backed by tribal traditional ballads. The rebellion for freedom and dignity lasts for more than forty days, during which the real Seediq Bale prove their daring gallantry, but destruction of those people and place engaged cannot be avoided.

IV. Epilogue

By the end of the epic film, the aboriginals' heroic gallantry is, over time, admired by General Kamada. The bright cherry blossoms remind the General of the bushido. He says: "Three hundred warriors against thousands of soldiers; those who survived the battle all killed themselves eventually. *Why did I see in such a remote mountain area in Taiwan the bushido of samurais that died over a century ago in Japan?*" The connection of Taiwan cherry blossoms to the Japanese bushido shows the Japanese perception of the mountain area as a landscape, in which anthropocentric and colonial consumption are instilled and destruction is caused. To the Japanese colonizers, Taiwan mountain areas is a landscape, a treachery in which commercial needs are satisfied, and cultural annihilation is practiced.

The Seediq rebellion for tribal survival and freedom ends with heroes fighting to death, and many family members instructed to commit suicide to escape capture and humiliation. The majority of the film delves into the dark realms of war terror, mass suicide, cultural annihilation, and genocide. But these horribly violent acts are followed by a tranquil mountain scene. After the last battle there is the scene of the surviving Seediq walking along the treks in the forest: the Japanese are relocating them to another mountain area. What is portrayed here is the moral ambiguity, the difficult life-or-death choices that the Seediq people have to make when facing colonial threats of violence. Cherry blossoms are still shivering in the trees along the treks to display an organic land wishing to be cherished and conserved. After that, a Seediq clansman is seen running through the forests up to the summit of Mt. Chilai, where he catches a glimpse of the whole mountain area that used to be their hunting ground, their place, and hopefully will be once again. This colonial experience degenerates the mountain area into a consumption site; with imperial colonialism on the wane, however, the land is likely to rejuvenate. After all, as Aldo Leopold insists: "A thing is right when it tends to preserve the integrity, stability, and beauty of the biotic community. It is wrong when it tends otherwise" (421). In this sense, the very last scene has the camera pulling up over the mountain area, with a surviving clansman gazing into the remote mountains; this panorama displays the aboriginals' close relation with nature, and promises the likely recovery of the land as a place with histories and memories buried within, and with hopes and lives rejuvenated henceforth.

Director Wei once mentioned that he wanted to show "an encounter between a people who believe in rainbows and a nation which believes in the sun." This encounter leads to cultural clashes, military conflicts and massacres. By the end, however, with the mountain area as the central target for an unknown indigenous character, and for the film audience, the sun and the rainbow implied throughout the film display the necessity of perceiving the environment under cultural and national invasion. The mountain area is expected to *be a place* with its unique culture, language and life constituted in events, memory and attachment, *rather than a landscape* for people to come and go. It was a place for the indigenous tribes to be a part, rather than apart; it is, and shall be, for all, if "the fate of place"⁴ is considered within and with-out the film.

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⁴ The phrase, "the fate of place," is adapted from the book of the same title by Edward Casey.

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