國立彰化師範大學
文學院學報
NCUE Journal of Humanities

《國立彰化師範大學文學院學報》第十期總編序

　　本校為因應時代變遷，配合國家社會整體發展，冀望藉深耕人文教育，強化文史、藝術之生活與環境關懷，彌補自然科技、工商類學科急速發展所帶來之「疏離感」，進而對增進人類生活意義，創造繼起生命，做出積極貢獻，乃於民國 89 年 10 月 5 日正式成立文學院，由原屬教育學院中的英語學系（民 63 年成立）、國文學系（民 80 年）、美術學系（民 82 年）、地理學系（民 82 年）與藝術教育研究所（民 87 年成立，101 年因教育部系所員額新制併入美術系改名「藝術教育碩士班」）共同組成。十餘年來，本院快速成長，除了各系所原有之碩、博士班之外（英、國、地均有碩博士班，美術系有碩士班），93 年續獲准成立兒童英語研究所與翻譯研究所，94 年成立台灣文學研究所，96 年成立環境觀光研究所（101 年併入地理系成「環境暨觀光遊憩碩士班」）。另，98 年歷史學研究所則自社科體育學院轉入。目前本院組織架構涵蓋人文、英語、藝術、歷史、地理等傳統科目，還新創兒童英語、口筆譯及台灣文學學門，既有古老傳承，亦隨造物者之無盡藏，展開新局，使領域愈加完備。數十年來，各系所均以師資培育為首要教學目標，以訓練社會各界專業菁英為輔助目標，故不但已有為數龐大的中學教師在全國各地服務，也已化育不少人才在社會各界發揮專業所長。首任院長由英語系張水木教授（89.10～95.7）擔任，後由本校前副校長國文系林明德教授（95.08～96.07）代理院長，第三任院長為地理系何猷賓教授（96.08～98.07），第三任代理院長由地理系蔡衡教授（98.08～99.07）擔任，之後第四、五任院長則由本人擔任至今。

　　《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 年由首任院長創刊。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 年接任第四任院長時，有鑑於學術實需喉舌，人文哲思亟待宣揚，且評鑑改變學術生態，教師專業成長以出版為先，而透過完善的外審制度與國內學術界各相應學門進行良性溝通，拓展華文世界人文學門之論文發表園地，鼓吹系統人文思想研究，與理工學科積極對話，以達相輔相成，互為勝場之效果，更是中台灣師範領域人文學界立言圖強的機會，乃毅然決定從有限經費中撥款復刊。幾年來，經過大家辛勤耕耘、歷任校長及高層大力支持，以及國內外學者積極投稿，使得各項編輯業務得以順利推展。由於係半年刊，截至目前，已然出版 5 至 9 期（出版日期分別為 101 年 3 月、101 年 9 月、102 年 3 月、102 年 9 月及 103 年 3 月），每期均獲佳評，稿源順利湧進，而以外稿居多。

　　目前，《國立彰化師範大學文學院學報》除了由「國立彰化師範大學圖書館機構典藏系統」正式為數位版本定稿之外，還已列入「國家圖書館」、「台灣期刊索引」（TCI）、「華藝線上圖書館」（AIRITI Library）、「凌網科技數位出版品營運平台」、「遠流/智慧藏學習科技股份有限公司」、「文化部」、「南華大學彰雲嘉無盡藏學術期刊資料庫」等機構的數位典藏資料庫中。「華藝線上圖書館」是目前華人世界最具野心的學術著作數位典藏機構，該公司定期向參與之期刊函報引用記

錄，包括本學報（見本期附錄）。隨著本期順利出刊（103 年 9 月），《國立彰化師範大學文學院學報》即已連續出版滿 6 期。依據科技部「臺灣人文及社會科學引文索引核心期刊」規範，明年本學報即可向該單位申請列入多年來學界俗稱為「THCI Core」的核心期刊審核。本學報常務編委基本上由本院各系所之主管擔任，每期均開兩次編委會，第一次討論所獲稿件的數量及基本狀況，並由各系所編委迅速推薦外審委員，第二次則在外審結果送回之後，開會確認，如無疑問，隨即責成院辦進行編輯作業。學報另聘台灣師大退休教授莊坤良博士擔任總顧問，並請各系所主管就其領域每年推薦國內外資深學者擔任常務及國際顧問。大家都希望，學報能百尺竿頭，更進一步，一舉衝入這個台灣學界重要的指標資料庫。所有委員們均表示，以有限經費之經營觀之，學報之今日，令人欣慰，而本院雖侷處一隅，但勉力成就學門之專業出版，用力之深，絕對不落人後。

　　和其他學報不一樣之處，本學報除了選刊國內外學者投稿之論文以外，尚有「總編邀稿」之設計。此設計旨在向各方借將，誠意累積不同學門重要論文，冀望有機會介紹更多華人人文學界主要學門的重要學者。過去 5 期，我們介紹的學者有耿志堅博士這位國文系的漢語語言學家（第 5 期），郭鳳蘭博士這位英語系的語言學與英語教學學家（第 6 期），黃忠慎博士這位國文系的經學家（第 7 期），及賴秉彥博士這位翻譯所的經濟學家與法學家（第 8 期），大陸資深歷史及考古學者王子今教授（第 9 期），這一期則介紹邱源貴教授。源貴兄目前擔任逢甲大學英文和戲劇教授兼系主任，在此之前，是成大外文系教授和系主任，曾任中山大學劇場藝術學系教授與主任。主要研究領域為英國文藝復興及十七世紀英國文學、西洋戲劇、史詩及翻譯等。主要出版著作有 Ideology and Re(-)presentation in *Paradise Lost* (1996)、The Si(gh)te of Power: A Study of Christopher Marlowe's Plays (2003) 以及 Representing Renaissance England（出版中）；另有多篇專書論文及譯作，其中《福克納短篇小說選集》（1988）許多英外語系採用為教科書，目前正致力將英國文藝復興時期大文豪密爾頓的《失樂園》譯成中文，是一個了不起的使命，學界相當期待。
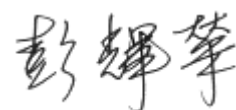
　　這次，我從源貴兄那裡得到的稿件是〈《李爾王》再探〉（*King Lear* Revisited）。這是一篇對劇中人物對話與修辭策略的剖析，儘管這些對話都是虛擬，但在一定程度上，仍與現實口語表達相去不遠。源貴兄的意思是，閱讀莎士比亞時，可以不訴諸深奧理論，重點在解開文字與語言在特定場域所蘊含的意義，及談話所衍生的誤解。他顯然認為，語用學上的合作原則（Cooperative Principles）是進行有意義對話的重要手段。根據 H. P. 格萊斯（Grice 1975）的說法，這一原則在李爾王父女的對話中遭到破壞；而傑弗瑞‧利奇（Leech 1983）的禮貌原則（Politeness Principles）也受到輕忽。也就是說，某些語言的實用原則，如格萊斯的對話四準則：訊息量、真實性、相關性及清晰度，以及利奇所提禮貌交談的應答原則，在大部分的對話中消失無蹤，以致有效溝通耗費殆盡，終致產生無可挽回的悲劇。使用這種方法來分析劇本的主要目的，是讓學生享受閱讀的樂趣，不受理論困擾。衛斯理大學校長，也是前史丹福大學的英文系教授 William Chace

曾對理論主宰閱讀的狀況提出警告:「在[強調各式各樣的批評方法時],[學術界]讓對好書[在這種情況下戲劇]感興趣的年輕人,敬而遠之」(2007 蔡斯)。[1]在學界,這警訊再度提醒我們英語系衰落的可能性,實具當頭棒喝的意義。因為現在文學學門的學生已被諸如認同研究、性別問題、拉康、德里達、齊澤克 (Zizek) 等次要考慮弄得不知所措,熱誠盡失。我希望源貴兄的閱讀方法可以在某種程度上,帶領學生回到精讀文本的老路上,讓縱然是模仿,或靜默的對話,其實皆具指涉意義。文本分析既能提供閱讀樂趣,也讓學生深刻認知,多讀多看,即能做內涵分析!

　　一件有意義的工作之得以順利完成,無名英雄總在靜默的世界中大聲喧嚷著。本期之出版,一如往常,仍要繼續感謝國內外學者們投稿,編輯委員們提供審查委員名單與不厭其煩參與開會,數十位外校審查委員悉心閱讀,美術系的一凡兄及文正兄帶著學生們執行美編,還有一群認真負責而可愛的研究生盈琇、慧慈及之允細心處理文字編輯工作。善貿兄主持系務與教研之餘,還擔任主編,思考法規,主持會議,並協助撰寫「主編的話」,亦當受我一拜。

《國立彰化師範大學文學院學報》總編
彭輝榮 謹誌

中華民國 103 年 9 月

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[1] 參見 William M. Chace, "The Decline of the English Department?" *The American Scholar* (Autumn 2009). Web. 24 Nov. 2014. <http://theamericanscholar.org/the-decline-of-the-english-department/.>
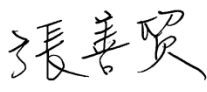
主編的話

　　《國立彰化師範大學文學院學報》乃本校文學院催生學術與專業成長的搖籃與校內外學術交流的平台，近年在各方的努力之下，不斷成長茁壯，至今已屆第十期，成績斐然。本學報不但提供本校文學院各系所教師及研究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。學報內所發表的研究論文不但涵蓋本校文學院各系所學術領域，包含國文、英語、地理、美術、歷史、翻譯等學門，甚至有音樂、藝術與其他相關學門共襄盛舉，創造出豐富多元的學術氣息。

　　本期共收稿件 20 篇（含特約稿 1 篇），含 16 篇外稿及 3 篇內稿，在嚴謹的審查機制下，共計通過 9 篇，退稿率達 53％；顯現刊登的難度提升，同時也顯示本學報品質受各學界肯定的事實。今後本學報將繼續秉持嚴謹的學術精神與專業態度，精益求精地創造更佳品質，懇請各方賢德與先進的不吝支持並給予指正，期提升本學報的學術影響力，成為國內重要的學術刊物。

　　本人非常榮幸獲文學院彭院長之邀，擔任學報第十期主編，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，在此對所有賜稿者、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》第十期主編

　　　　　　　　　　　　英語系教授　張善貿　謹誌

　　　　　　　　　　　　中華民國 103 年 9 月

國立彰化師範大學文學院學報
第十期

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NCUE Journal of Humanities
Volume 10

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King Lear Revisited: Shakespeare's Language Use and Tragic Art

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Abstract

This paper aims to explore Shakespeare's language use and rhetorical strategies in *King Lear* as a way to understand his tragic art. It is assumed in this paper that Act 1 is the encapsulated version of the whole play foreshadowing Shakespeare's tragic orchestration and the development of the entire play. A close reading of Act 1 is therefore necessary to grasp the essence of the whole play. To begin with, Shakespeare's pragmatic change or retention of the prerogative titles and names of the characters is an issue worth discussing. His assignment and re-assignment of the lines to different characters and his adoption of the added Gloucester plot are also pointers of his pragmatic concern and tragic art. The pivotal event of the tragedy, the love test, is so arranged that all languages used in the dialogue between characters are devoid of performative functions and become thus mostly rhetorical. The Cooperative Principle of language so important to carry on a meaningful conversation, according to H. P. Grice (1975), is violated and the Politeness Principle of Geoffrey Leech (1983) is also flouted. That is, some of the pragmatic principles of the everyday language—Grice's Maxims of Quantity (informativeness), Quality (truthfulness), Relation (relevance), and Manner (clarity) and the Leechean rule of polite conversation, his postulated maxims to explain observed language behavior—are radically aborted. As a result, the love test game is a harbinger of the total collapse of mutual trust and interdependence; the link between utterances and what is understood from them is, for the most part, lost. An effective communication is thus impossible. Tragedy ensues as a matter of their failed language performance: the enmity between king and princess, the estrangement of father and daughter, the desertion of the elderly father, and eventually the death of father and daughters.

《李爾王》再探：莎翁的語言策略與悲劇藝術

邱源貴*

摘要

　　本文旨在探討莎士比亞悲劇《李爾王》中的語言使用和修辭策略，以為理解整齣戲的手段。本文認定該劇第一幕是整齣戲的濃縮版，預示著整個劇情的發展。仔細閱讀第一幕，乃為掌握全劇精髓之要。首先，莎士比亞在語用上改變或保留了劇中人物的貴族頭銜和名字，這就是一個值得討論的問題。他的分配和重新分配台詞給不同的角色，還有他加用了葛羅斯特侯爵家庭悲劇的副情節等都是語用習慣該關注的指標。整齣悲劇的關鍵事件－愛父測試－其出場編排的方式，使得人物間在對話中所使用的語言大部分都沒有施行的可能，純粹只是嘴上說說而已。因此，語用學上的合作原則－進行有意義對話的重要手段－根據 H. P. 格萊斯（1975）的說法，被破壞了；而傑弗瑞‧利奇（1983）的禮貌原則也被輕忽了。也就是說，某些語言的實用原則，如格萊斯的四個準則：數量（訊息量）、質量（真實性）、關係（相關性），以及方式（清晰度）和 Leech 所提有關禮貌交談的原則－他用來解釋觀察到的語言行為－大部分被終結了。因此，愛父測試遊戲是相互信任和相互依存總崩潰的預兆；所說話語和所了解意義之間的聯繫，在大多數情況下，也不復存在。因此，有效的溝通成為不可能。他們的語言行為失敗，悲劇隨之而發生：國王和公主的敵意頓生、父親和女兒的關係疏離、年邁的父親遭遺棄，最終父女皆亡。

關鍵詞：語用學、合作原則、禮貌原則、有效溝通、對話交流

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　到稿日期：2014 年 6 月 30 日。

Though long and problematic, King Lear as a play could be succinctly understood in the opening scenes in terms of its language use and rhetorical strategies. That is, Act 1 could be regarded as the encapsulated version of King Lear foreshadowing the entire development of the play. A close reading of Act 1 and detailed analysis of the dialogues would no doubt help greatly in the understanding of the whole play.

The first issue that deserves readers' attention is the change of the title of the play and the names of the king's three daughters. It is generally believed that Shakespeare borrowed heavily from an older play staging the story of "king leare" performed on 6 and 8 April 1594 at the Rose Theatre but was later published as *King Leir* in 1605 in quarto form. King Leir with his three daughters Gonoroll (or Gonoril), Ragan (or Regan), and Cordella must have captivated Shakespeare's mind so much that he, in writing his Lear, retained the names of all the major characters with just a slight alteration: Leir changed to Lear, Gonoril changed to Goneril, Regan remained as Regan while Cordella changed to Cordelia (see Kahan 5).[1] Goneril's husband is changed from the legendary Duke of Cambria to the Duke of Albany while Regan's husband is still Duke of Cornwall. What could be the meaning of such an arrangement?

To begin with, there is the change of the title character's name from Leir to Lear. This vowel change indicates Shakespeare's awareness of the possible meaning of the word Lear. "Lear," or spelled as "leer," is a verb meaning "emptying," or "having no burden or load" (OED dates the first use of this meaning in 1567). That is, Shakespeare envisioned an old king eager to empty or clear himself of the burden or load of governing the state—"To shake all cares and business from our age," as Lear says, "Conferring them on younger strengths" (1.1.39-40).[2] According to Stephen Greenblatt and other writers on Shakespeare's life, a 1603 lawsuit widely discussed when Shakespeare was supposed to write *King Lear* might also have a strong impact on him. The story had it that two elder daughters of a doddering gentleman in the name of Brian Annesley attempted to take over the father's estate by claiming that the old man is insane while his youngest daughter protested otherwise vehemently. This youngest daughter's name is Cordell, a name almost identical to Cordelia (Greenblatt 357). Though too much topicality is risky, Shakespeare's intense interest in an old man's retirement is inevitable for he himself is entering on an old age, 40 or so, when he composed his greatest tragedy (Greenblatt 12). Hence, with the memory of the older play *King Leir* still fresh and intensified by the story of two ungrateful daughters, the main plot of *King Lear* is formed.[3] And according to Tracey Carte, the word closest to the name of Cordella both in spelling and pronunciation is "cordelle," meaning "a twisted cord" or "a tassel." In a sense, the derived name of Cordelia may keep its original meaning of someone with a twisted mind, like a bunch

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[1] For Shakespeare's adaptation and adoption of plots from *King Leir*, see also Frank Kermode's introduction to *King Lear*, p. 1250 in Blakemore Evans' *Riverside Shakespeare*, 1974 edition.

[2] All subsequent textual quotations of *King Lear* are from *The Riverside Shakespeare*, 1974 edition.

[3] "It seems safe to assume that Shakespeare knew of the play [of *King Leir*] in the early 1590s" (Kahan 7).

of strings tied at one end. Since it is tied, we have difficulty in gauging and understanding the innermost part of Cordelia's thinking unless it is manifested outwardly (through language, of course). What is more, Shakespeare's coinage of the new spelling of Cordelia might indicate that the name is derived from both *Cord* (Latin for "heart") and *lia* (the feminine form of *leo* or *leon*, Latin for "lion"). If so, then the name of Cordelia might mean that she is a lion-hearted lady.[4] There is small wonder then that she would show no passion in the love contest with her father as the sole judge. In contrast, there is little or no change in the names of Goneril and Regan for both in form and in pronunciation they are almost the same as their precursors considering that there was no standard form of spelling for any word in the Renaissance time. Both names sound masculine, however. What's worse, the very name of Goneril "sounds a bit like the name of a venereal disease"—gonorrhea (Carte), a word just recently came into use in England.[5] Shakespeare might purposely play a word game to indicate that a horrible and contagious disease like gonorrhea is contaminating and corrupting the mind of Goneril, the eldest of the three daughters.

Lear's daughters aside, Shakespeare's added subplot about Gloucester, Edgar, and Edmund contains his implicature (inductive inference) about the significance of naming. The Earl of Gloucester as a title was first created around 1121 as a reward for his loyal support toward King Stephen, the reigning monarch. Earls, in general, are delegated rulers; that is, they functioned essentially as royal governors. Though the title of earl was nominally equal to the continental duke, unlike them earls were not de facto rulers in their own right. What is more, the first Earl of Gloucester is himself a bastard son of King Henry I of England. But he was referred to by Geoffrey of Monmouth in 1136 as one of the "pillars" of King Stephen's rule.[6] In Shakespeare's added plot, the family story is then a reflection of the identity of the Earl himself to emphasize the issue of inheritance, particularly if the family properties are the stake. Shakespeare's Earl has two sons, one legitimate, the other a bastard. The legitimate son is Edgar. His name is derived from the Old English elements *ead* (meaning "rich, blessed") and *gar* (gear; that is, spear) while Edmund, the bastard son, gets his name from the Old English elements *ead* and *mund* (meaning "protector").[7] In a sense, Edgar is the blessed knight wielding the spear of justice while his bastard brother is a rich protector of the interests of Lear's two elder daughters. The duel scene between the two brothers in Act 5 scene 3 does echo this connotation:

> EDG. What's he that speaks for Edmund Earl of Gloucester?

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[4] Note 3 of the entry of King Lear from Wikipedia (http://en.wikipedia.org/wiki/King_Lear) asserts that "A more likely etymology is that her name [Cordelia] is a feminine form of *coeur de lion,* meaning 'lion-hearted.'"

[5] The word "gonorrhea" is believed to be first used around the year of 1526, according to the Merriam-Webster on-line dictionary. The first registered use of this word in *Oxford English Dictionary* is 1547. It could be safely assumed that Shakespeare knew the word and its possible connotation.

[6] Cf. http://en.wikipedia.org/wiki/Robert,_1st_Earl_of_Gloucester. Shakespeare is being said to have borrowed some plot from Geoffrey of Monmouth's chronicle in writing *King Lear*. See also the Introduction to *King Lear* in the *Riverside Shakespeare*.

[7] Cf. http://www.behindthename.com/.

EDM. Himself; what say'st thou to him?

EDG.   Draw thy sword,

    That, if my speech offend a noble heart,

    Thy arm may do thee justice; here is mine:

    Behold, it is my privilege,

    The privilege of mine honors,

    My oath, and my profession. I protest,

    Maugre thy strength, place, youth, and eminence,

    [Despite] *thy victor-sword and fire-new fortune*,

    Thy valor, and thy heart, thou art a traitor;

    False to thy gods, thy brother, and thy father;

    Conspirant 'gainst *this high-illustrious prince*;

    And from th' extremest upward of thy head

    To the descent and dust below thy foot,

    A most toad-spotted traitor. Say thou "No,"

    This sword, this arm, and my best spirits are bent

    To prove upon thy heart, whereto I speak,

    Thou liest.

EDM.   In wisdom I should ask thy name;

    But since thy outside looks so fair and warlike,

    And that thy tongue some say of breeding breathes,

    What safe and nicely I might well delay

    By rule of knighthood, I disdain and spurn:

    Back do I toss these treasons to thy head;

    With the hell-hated lie o'erwhelm thy heart;

    Which for they yet glance by, and scarcely bruise,

    This sword of mine shall give them instant way

    Where they shall rest for ever. Trumpets, speak!

(125-51; emphases added)

In challenging his brother to a duel, Edgar (the spear-wielding protector of justice) feels confident, or Shakespeare endows him with the confidence, that the duel itself would vindicate what he has been accused of and the virtuous would prevail.

    If the change of names suggests Shakespeare's manipulation of the development of the plot, then the appearance of different playbooks might indicate Shakespeare's ambivalence toward the characters as well as their fate. Readers may tend to believe that what they see in such editions as Arden Shakespeare or the *Riverside Shakespeare* is the *King Lear*.[8] In fact,

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[8] Jeffrey Kahan is right in saying that for most casual readers, "the King Lear they read in their Complete Works of Shakespeare was actually and unproblematically Shakespeare's King Lear" (35).

Shakespearean scholars have been arguing over the authenticity of the Quarto text (Q1 and Q2), the Folio text, and possibly the composite text of the Quarto and the Folio.[9] If we accept these scholars' consensus that the Quarto text published in 1608 is the basis of the Folio text, believed to be published later in 1623, then there is an interesting issue of revision and redaction to be dealt with. First of all, the titles given to the sons-in-law are worth noting. The title of the Duke of Albany is given to the husband of Goneril, the eldest child of King Lear. To most modern readers, this title of duke may just indicate that the owner is a blood relative to the reigning monarch. But as an established rule, this very title is supposed to be given to any of the king's sons other than the first-born, who is entitled to be the Duke of Cornwall. However, in Shakespeare's *King Lear*, the latter title is given to the husband of Regan, the second-born daughter of King Lear. When the play was staged in the Whitehall (1606), King James I and his sons (particularly the popular prince and the heir-apparent, Henry Frederick—Duke of Cornwall, who unfortunately died in 1612—and Charles, Duke of Albany, later King of England in 1625) must have been there watching.[10] Shakespeare obviously realizes what this might mean to the spectators sitting in the Globe or at King James's Court concerning this mismatching and political innuendo. For it is noted that part of Lear's first speech, his addressing to the two sons-in-law, albeit unusual, sounds a bit coaxing (appearing only in the Folio text published in 1623 but not in the original Quarto text): "Our son of Cornwall, / And you, our *no less loving* son of Albany" (1.1.41-42, emphasis added; see Urkowitz 81). The utterance has a strong sense of being obligated and deliberate as if he had no intention to belittle the importance of the Duke of Albany. Here, Cornwall, the second son-in-law is unusually being addressed first and then Albany, the first son-in-law. Traditionally, Cornwall, a prerogative title held by the heir apparent, is far more important than Albany.[11] His presence preceding that of Albany is matter-of-factly natural. But here he is given the hand of Regan, second daughter of King Lear. So, what Shakespeare seems to imply by disrupting the importance of prerogatives due to the two individual princesses is that Duke Albany like King James will be the final winner and ruler of the tripartite kingdom. In arranging the marriage partners, Shakespeare shows his awareness of the political concerns of his audience as well as the court.[12]

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[9] See, for example, Urkowitz, Chapter 1 and others.

[10] According to Victor Kiernan, "Shakespeare, always eager to please his capricious patrons, may have added an Albany and a Cornwall as a compliment to the royal family" (qtd. in Kahan 61). For King James himself was Duke of Albany, his late father, Darnley's original title. But Kahan also postulates that "It's difficult to believe that Shakespeare wanted to suggest that James' sons were in any way like these characters, but that hasn't stopped the argument from gaining ground" (61).

[11] The title was created by Edward III in 1337 to be given to his eldest son, the Black Prince, Edward, supposedly the heir apparent to the King, as the first English Duke of Cornwall. Since 1503, the title has been inherited by the eldest son of the sovereign. But this title together with the Duke of Albany and the Duke of Burgundy used by Shakespeare is grossly anachronistic.

[12] Interestingly, there are more speeches for the Duke of Albany (totally 58 if the last speech is attributed to him rather than Edgar) than those for the Duke of Cornwall (totally 53), which seems to indicate that Albany is more important than Cornwall. Yet, Jeffrey Kahan has a different view of the two sons-in-laws: "It's true that Albany gets more lines in the Quarto version . . . But Shakespeare's Albany is a hen-pecked cuckold. Worse yet,

Later, when it is time to test his daughters, Lear is arranged to proceed according to the right order: the eldest one gets first,

> LEAR.   Tell me, my daughters
>
> . . . .
>
> Which of you shall we say doth love us most,
>
> That we our largest bounty may extend
>
> Where nature doth with merit challenge? Goneril,
>
> *Our eldest-born, speak first.* (1.1.48-54; italics added)

Obviously, Lear is aware of the political implication of birth order, particularly the one born first. At Shakespeare's time, primogeniture is the rule; so it is hard to imagine that Lear's mentioning of the birth order is fortuitous. Though as a principle of inheritance, the practice of primogeniture is applied primarily or exclusively to males in which the firstborn child receives all or most of his parents' significant and valuable property upon their death, yet, the reigning of both Queen Mary and Queen Elizabeth sets the example that female offspring could be good monarchs. In a kingdom without male heirs, it is only natural that daughters would be allowed to reign. In other words, succession passes first to the king's sons, in order of birth, and subsequently to daughters, again in order of birth (Cf. Bogdanor 42). This is a well-established law in Shakespeare's time. That is, if Lear, albeit a legendary king set at a time far distant (ca. 850 B.C.) than the Renaissance, would die or resign from his post as King, the one that should succeed to the throne is Goneril, the eldest of the three daughters of Lear. But in setting up the game to divide the kingdom into three, Goneril's share is greatly reduced. She could get, at most, 1/3 of the better land if she wins the love contest. Worse still, her husband, though not a duke royal, is given the title of the Duke of Albany, which is usually awarded to a younger son of the king. The most privileged title, the Duke of Cornwall is, however, given to the husband of Regan, Goneril's younger sister. The default system of succession is being broken; this shows Lear's indecision in naming a successor. Lear's seeming impartiality or equality in giving the most privileged title to the second son-in-law at a time when primogeniture is the rule of succession befuddles his courtiers as well. In the very beginning of Act 1 scene 1, King Lear's two close political allies, Earl of Kent and Earl of Gloucester, unambiguously voice their concern of their king's ambivalence:

> KENT. I thought the king had *more affected* the Duke of Albany than Cornwall.
>
> GLOU. *It did always seem so to us*; but now, in the division of the kingdom, it appears not which of the Dukes he values most, for [*equalities*] are so weigh'd, that *curiosity* in neither can make choice of either's moi'ty. (1-7; emphases added)

Cornwall is a sociopath, or, as Margot Heinemann (1992) describes him, a 'Nazi-type brute' (80)'' (Kahan 61). And with all royalties died except Albany, it seems that Shakespeare tries to reemphasize the practice of primogeniture. But if the Folio edition tries to attribute the last speech to Edgar, then Shakespeare seems ambiguous in writing this very play.

The two courtiers seem puzzled by the contradiction caused by Lear's apparent favoritism and his random decision to divide the land for the sake of the last born, Cordelia, in the name of equality. Lear's final decision belittles Goneril's as well as her husband's importance. The seemingly favored one who is given the most privileged title of the Duke of Cornwall is also disfavored by this very decision of dividing the land into three. In a sense, we can see that King Lear is smart at the political maneuvering of showing favoritism yet denying partiality to exact allegiance from all his daughters.

This purposeful ambiguity causes the estrangement and alienation of the two elder daughters. Maurice Charney is absolutely right in saying that the foolish love contest of Act 1, scene 1 "is like a bad retirement party, but Cordelia disrupts the proceedings by refusing to play by the rules and by insisting on her own speechless honesty. It will hardly do to examine the deeper motives of these folklore characters, who speak with a sort of Brechtian self-consciousness of role" (268). To comply with Lear's mood of game and vanity, "Goneril and Regan . . . merely [play] their parts as expected" (Charney 268). But the recalcitrant Cordelia refuses to pay the lip service to please her elderly father— "What shall Cordelia speak? Love and be silent" (1.1.62).[13] The essence of the game starts with a verbal test: "*Tell* me, my daughters . . . Which of you shall we *say* doth love us most" (1.1.48-51, emphasis added). The very word "tell" indicates that no performativity is required of the speaker even though this word is uttered in the form of an imperative. And no competition is really meant for this game because right after the first speaker utters her opinion, she is given a land predivided, "from this line to this" (1.1.63), as if Lear knew in advance what he could expect of the other two daughters. And then he turns to his second daughter, "Our dearest Regan," to get her response. Again the adjective "dearest" is rhetorical, a word devoid of any substantial meaning.[14] For not waiting for all the competitors to finish the test, Regan is given "this ample third of our fair kingdom" (1.1.80). The two elder sisters are awarded cursorily a land not commensurate with their performance but with the saying itself.[15]

In the name of impartiality, Lear intends to give a land, the remaining third, "more opulent than your sisters'," (1.1.86) to Cordelia at a time when ultimogeniture is no longer the vogue. That is, the love contest is a sham for Lear to publically bequeath a land originally the firstborn daughter Goneril's to his favorite child, Cordelia, because "I lov'd her most, and thought to set my rest / On her kind nursery," so says Lear later (1.1.123-24).[16] Therefore the

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[13] These words are intended to be heard by the audience, but not by the others on stage through the theatrical means of an aside—itself a departure from a normal dialogical exchange intending to make a comment or a digression from what is going on.

[14] Unless his mentioning her as "wife of Cornwall" (1.1.68) does signify that she is much valued as a possible successor to his throne, the superlative itself is a mere rhetorical strategy. Or most possibly Shakespeare's prosody does require this addendum as an apposition.

[15] David Ball is right in saying that if this avowal of love were a test, it would make most sense for Lear to hear out all three daughters before starting to divide the kingdom.

[16] King Lear's intention is dubious in that if the marriage choices of Cordelia are Duke of Burgundy and King of France--both are foreigners from France, Cordelia would have to live outside the territory of what is now Lear's according to the custom of patrilocality, an ancient practice of residing with the family or tribe of the husband.

imperative of "Tell me, my daughters" is a premeditated maneuvering to legalize Cordelia's inheritance in front of all family members and important courtiers. Lear purposefully cuts up his land as an attempt to help Cordelia to establish herself and subsequently to sustain the peace among his three daughters so that "future strife / May be prevented" (44-45). But according to Harry Berger Jr., Lear's plan to divide the kingdom without solicitation from any party is "to use, deceive, and humiliate Goneril and Regan in order to accentuate Cordelia's triumph and his partiality"(31, qtd. in Kahan 60). In a sense, this love contest is a game meant for Cordelia to have a share, if not a lioness' share, of her father's properties. She is the sole concern of Lear not her two elder sisters. That is why both Goneril and Regan are given a land randomly and summarily no matter how bombastic and hyperbolic the language is:

> GON.
>
>> Sir, I love you more than [words] can wield the matter;
>>
>> Dearer than eye-sight, space, and liberty;
>>
>> Beyond what can be valued, rich or rare;
>>
>> No less than life, with grace, health, beauty, honour;
>>
>> As much as child e'er lov'd, or father found;
>>
>> A love that makes breath poor, and speech unable:
>>
>> Beyond all manner of so much I love you. (1.1.54-61)

> REG.
>
>> I am made of that self metal as my sister,
>>
>> And prize me at her worth. In my true heart
>>
>> I find she names my very deed of love;
>>
>> Only she comes too short: that I profess
>>
>> Myself an enemy to all other joys
>>
>> Which the most precious square of sense [possesses],
>>
>> And find I am alone felicitate
>>
>> In your dear Highness' love. (1.1.69-76)

Both avouchments are delivered in a very sonorous way—full of hyperbolic images and replete with monosyllabic sounds intending to be terse and blunt even though empty of substance. However, they are particularly effective, moving, or pleasing in winning approval: they constitute a particular form of "action" though in reality they could do nothing but pay lip service to the hearer.

  Lear would not care so much their speech style and the performative possibility that

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However, this practice might just fulfill Lear's desire to "retain / The name, and all th' addition to a king" if the third part of the country is given to Cordelia. For he would still be the deputy head of that part of land with Cordelia as a nominal ruler living with her husband in France. No wonder, for John McLaughlin, the King's "contest" has more to do with his bridle over the unmarried Cordelia than with love if she would just comply with his request (39). Note also that the Duke of Burgundy was the premier lay peer of the kingdom of France. The contention between the two is a constant woe of the people there.

speech style has for him. But ironically, the other participant of the game, Cordelia, is much affected by the linguistic competency of her two sisters. To cope with their fortuitous and pompous remarks, Cordelia resorts to nonchalance and inarticulateness—not saying anything. The curt response, "Nothing, my lord," overturns the game rule—it is a face threatening act—and thus disrupts Lear's plan. Public disgrace and humiliation therefore follow. For Lear and for all participants of the verbal game, public linguistic performance is the set of guidelines to interpret an utterance "whereby a speaker takes responsibility towards an audience for the correct, complete, and skilled realization of a particular way of speaking. The performer enters into a contract with the audience whereby the performer undertakes to speak in a way which realizes the features of the way of speaking" (Fabb 223). Cordelia's flouting the contract embarrasses the key audience there who is to "evaluate the performer's speech in terms of how well it realizes the features of the way of speaking"—telling Lear how well she loves him (Fabb 223). This implies that there exists a great hiatus between the performer and the audience in terms of their intimacy with each other: either Lear misunderstands his daughter's personality or Cordelia misunderstands her father's intention.[17] Whatever it is, the cooperative principle of speech is deviated and the tragedy ensues.

But "To characterize deviations from 'normal' conversational behaviour, we have first to characterize 'norms'" (Leech 261). Paul Grice (1975) introduced the notion of cooperative principles as norms in analyzing conversational behaviors which states that one should "Make your contribution such as it is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged." The constituent maxims of Grice's Cooperative Principle (CP) are "Maxims of Quantity (informativeness), Quality (truthfulness), Relation (relevance), and Manner (clarity, etc.) . . . [They] are purely descriptive: postulated for the purpose of explaining observed behaviour" (Leech 261). The addressors and the addressees must speak cooperatively as to be understood by both parties. According to Grice, the commonly accepted traits of successful cooperative communication are:

1. Maxim of Quality (Be Truthful)

   Do not say what you believe to be false.

   Do not say that for which you lack adequate evidence.

2. Maxim of Quantity (Quantity of Information)

   Make your contribution as informative as is required (for the current

   purposes of the exchange).

   Do not make your contribution more informative than is required.

3. Maxim of Relevance (Be relevant)

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[17] Age difference between Lear and his three daughters, particularly the youngest one, might have something to do with the favoritism. Lear is eighty something while his three daughters, two of whom are married but without offspring and the other one, Cordelia, is unmarried, might still be young. This could easily cause an alienation or misunderstanding between father and daughters. What is more, a dotard tends to favor the last born, boy or girl.

"Though the maxim itself is terse, its formulation conceals a number of problems that exercise me a good deal: questions about what different kinds and focuses of relevance there may be, how these shift in the course of a talk exchange, how to allow for the fact that subjects of conversations are legitimately changed, and so on."

4. Maxim of Manner (Be Clear)

Avoid obscurity of expression.

Avoid ambiguity.

Be brief (avoid unnecessary prolixity).

Be orderly. (Grice 27)

To put it short, with the four maxims we could "enjoin speakers to be informative to the expected degree (Quantity), to say things that are well founded (Quality), to be relevant (Relation) and to be clear (Manner)" (Grundy 97). These Gricean maxims are well-known, no doubt; less known are the Maxims of the Politeness Principle (PP) advocated by Jeffrey Leech which include: "1 The TACT Maxim . . . 2 The GENEROSITY Maxim . . . 3 The APPROBATION (or Flattery) Maxim . . . 4 The MODESTY Maxim . . . 5 The AGREEMENT Maxim . . . 6 The SYMPATHY Maxim . . ." (Leech 261). For a dialogical exchange to be carried on in the intended way, all the parties entering on the conversation have to observe these principles. The constituent maxims of Grice's CP, and the constituent maxims of Leech's PP provide us, therefore, a relevant framework to evaluate the effectiveness of the conversation.

Cordelia's blunt remarks in the dialogical exchange with her father are typical of the conflict between CP and PP in that "she speaks the truth (Maxim of Quality) at the expense of politeness (Maxim of Approbation)." To Leech and other pragmatic linguists, "Where the CP and the PP conflict (e.g., where to speak the truth would cause offence), human beings tend to take refuge in craven compromise. We tell 'white lies', or we tone down the assertion of any truthful utterance that might hurt or challenge the interlocutor" (Leech 262). But obviously, this does not work for Cordelia. She opts for impertinence to highlight her disrelish for gamesmanship. But "Flattery and insult are defined conversationally in terms of the Maxim of Approbation. To insult is to violate the maxim; to flatter is to obey the maxim, perhaps to the extent of violating the Maxim of Quality" (Leech 271). Goneril's and Regan's formal protestations to their father, whether sincere or not, are therefore following most of the cooperative principle except the quality maxim (truthfulness), which is not the concern of Lear at his point. When Lear turns lovingly to Cordelia, he expects that she would comply with the language game rule set by him and have "normal" conversational behavior so that she could be rewarded with the best share of the kingdom:

Now, our joy,

Although our last and least; . . .

. . . .

> . . . ., what can you say to draw
>
> A third more opulent than your sisters'? Speak. (82-86)

The word "Speak" is uttered with confidence and pride because he believes that Cordelia would never fail him. Surprisingly, the response is a curt one: "Nothing, my lord." As if mishearing what is said by Cordelia, Lear echoes either unconsciously or unbelievably: "Nothing?" But this echo is returned with an assertive: "Nothing." Good-naturedly, Lear tries to rectify Cordelia's waywardness: "Nothing will come of nothing: speak again" (87, 88, 89, 90). Lear's face-saving act means to redress what is being opted out (not being cooperative) by the daughter; however, this only elicits a lengthier but tortuous response from the stubborn girl:

> Unhappy that I am, I cannot heave
>
> My heart into my mouth. *I love your Majesty*
>
> According to my bond, *no more nor less*. (91-93; emphases added)

Cordelia refuses to flatter even though she did say that she loves the father. She is almost gagged by the necessity to be obsequious. Cordelia the speaker is hoping that she could be left alone and would not have to be imposed on by the one with the absolute authority. She needs to be independent. The key utterance "I love your majesty" is qualified by and couched in some jarring and descriptive modifiers constituting conditionals. Worse still, the comparative quantifier *more* (a member in the scalar property of *much*) is modified by a dire and disheartening negative *no*, which is repulsive to hear. For choosing such an impulsive word would imply that "the items above [the scale of much] . . . do not obtain" approval (Cf. Grundy 105). To someone who is used to giving commands as Lear, this is almost a humiliation to his self-image. So undeterred by Cordelia's seeming condescension to his request, Lear pursues further: "How, how, Cordelia? Mend your speech a little, / Lest you [it] may mar your fortunes" (94-95). Anyone with a good common sense would immediately realize that the hearer of the former utterances is annoyed by the speaker. Cordelia is thus repeatedly urged to follow the CP in their conversation, but the poor King is confronted with the girl's self-righteousness:

> Good my lord,
>
> You have begot me, bred me, lov'd me: I
>
> Return those duties back as are right fit,
>
> Obey you, love you, and most honor you.
>
> Why have my sisters husbands, if they say
>
> They love you all? Happily [Haply], when I shall wed,
>
> That lord whose hand must take my plight shall carry
>
> Half my love with him, half my care and duty.
>
> Sure, I shall never marry like my sisters,
>
> [To love my father all]. (95-104)

In Raphael Holinshed's *History of England* (1577), King Leir's youngest daughter, Cordeilla,

would reply in this way:

> I maie not answere you otherwise than I thinke, and as my conscience leadeth
> me . . . I protest . . . I loue you as my naturall father. And if you would more
> vunderstand of the loue that I beare you, assertaine your selfe, that so much as you
> haue, so much you are worth, and so much I loue you, and no more (226). (qtd. in
> Kahan 13)

Both are aware of the seriousness of love contest but both refuse to comply with the simple language game rule—public protestation of love. "[The] connection between loving harmony and economic justice is the accepted factor which underlies the formal patterning of the opening scene and is disrupted only by Cordelia's asides which introduce a notion of love as a more individual and abstract concept, incompatible both with public declaration and with computation of forests, champaigns, rivers, and meads. Cordelia's notion of love gained precedence in modern ideology but it seriously disrupts Lear's discussion of property and inheritance" (McLuskie 104).

For A. C. Bradley, Cordelia is not always tongue-tied, it is her "tender emotion, and especially a tender love for the person to whom she has to speak, [that] makes her dumb" (Bradley 27). Dumb in the sense of inability to speak, yes, but stupidity too! Again, Bradley is keen in saying that: "even if truth were the one and only obligation, to tell much less than truth is not to tell it. And Cordelia's speech not only tells much less than truth about her love, it actually perverts the truth when it implies that to give love to a husband is to take it from a father" (29). Cordelia is too naïve in political calculation. Or we have to say that "Cordelia's hatred of hypocrisy and of the faintest appearance of mercenary professions" is mingled with "a touch of personal antagonism and of pride" (Bradley 30). Yet, this pride and antagonism against the fawning sisters would deprive her of the old father who is "a very foolish fond old man, / Fourscore and upward" (4.7.59-60) and susceptible to irritancy and senility.

No doubt, Cordelia's reply to her king-father's request is "perfunctory and frosty," to the point of irrelevancy (Kahan 13). She says more than enough and without compassion. Being advised to modify ("mend") her speech, Cordelia begins with the self-evident truth: "You have begot me, bred me, lov'd me"—the three present-perfect-tense verbs with their cumulative effect of being born are reciprocally returned with the three present-tense verbs of obligation and duty: I "Obey you, love you, and most honor you" (Cf. Sell 28-32). No passion whatsoever is being expressed in this staccato response. The "You-I" distinction and the balanced (or duplicated) tricolons show a well-proportioned and nonchalant self irrespective of family bonding highly expected by the king-father and regardless of the consequences of proprietorship ostensibly announced by the father-king. Jonathan Dollimore's materialist reading is keen in claiming that "*King Lear* is, above all, a play about power, property and inheritance." All, including Cordelia of course, in the court of King Lear know that the language game is related to the "redistribution of power and property" (Dollimore 197). Her utterances have to be accepted and liked by those present, particularly by the father-king there.

To do otherwise is suicidal.

True is it that "In language, it must be declared, we have to be content with saying both less and more than we mean: less, because our language will never immediately convey our meaning or perform our acts of power; more because it will always convey messages and involve us in consequences other than those we intended" (Pocock 32). Cordelia deliberately flouts the conversational maxims with the hope that her father-king could understand her underlying implication or plight of "duty." So despite her defiance and nonconformity, cooperation of some sort is still taking place, but no longer on the literal level. She would assume that when she intentionally flouts the maxims, the king-father would go by it. If so, the Gricean Maxims serve a purpose both when they are followed and when they are flouted. But there is no mistaking that Cordelia is purposefully violating the Cooperative Principle and Politeness Principle to challenge her king-father's tolerance (or his love toward her).

No doubt, "Lear's intention for the opening scenes is that it will be Cordelia's coming-out [speaking publicly before the court—something she has perhaps never done before]: she is supposed to give public expression to her great love and in return she will be rewarded with the richest portion of the kingdom and the most prized husband" (Bate and Rasmussen 2004). In fact, Lear saves not only the choicest land for her but the symbol of royalty and authenticity of rulership—his coronet—for Cordelia, which he in great rage hastily removes from his head and offers it to Albany and Cornwall to "part between [them]" (1.1.139).

Horrified by the loss of positive face, the desire for solidarity with his beloved daughter, the despondent king-father is much offended. He reassumes his authority as father-king and turns himself from a benign property-dispenser into a harsh bereaver. "When Lear responds with 'Nothing will come of nothing' his words need not be delivered as a puzzled reaction to an inappropriate idea." The doting father good-naturedly reminds the daughter of possible consequence. "Moreover Cordelia is not opposing hereditary duty to transcendent love—she does not reply "There's beggary in the love that can be reckoned'. When she expands on her first assertion her legal language suggests a preference for a limited, contractual relationship: 'I love your majesty / According to my bond, no more nor less' (I.i.94-5). The conflict between the contractual model and the patriarchal model of subjects' obligations to their king was at issue in contemporary political theory and Cordelia's words here introduce a similar conflict into the question of obligations within family." (McLuskie 104). The conflict resides in Lear's being the father-king and king-father. As a common father, he could easily bypass the law of inheritance but as a king he would have to choose a reliable successor if he has to abdicate his throne, more so because he would "retain / The name, and all th' addition to a king" (1.1.135-36). Lear's intention for the opening scenes is that it will be Cordelia's one-upmanship of love protestation by imitating her sisters' unctuous remarks, being the last one to speak. But Cordelia ignores Lear's intentionality and refuses to sound off about her love toward him. So all is lost that does not begin well.

For infuriated by Cordelia's acting maverick, Lear disinherits her first and then disowns her:

> Let . . . thy truth . . . be thy dow'r!
>
> . . . .
>
> Here I disclaim all my paternal care,
>
> Propinquity and property of blood,
>
> And as a stranger to my heart and me
>
> Hold thee from this for ever. (1.1.108; 113-16)

"If Goneril is too frighteningly real to be dismissed as a symbol of bestiality, so, too, Cordelia is too powerful a human force to be dismissed to the ranks of the angels" (Howard 46). Placing everyone at his beck and call, Lear is to be feared and obeyed. Cordelia's refusal to obey Lear's command constitutes a direct confrontation not to be easily condoned. When speakers intentionally flout a maxim, they do so with the aim of expressing some thought. What then is Cordelia's thinking? She seems to be the lady who would practice what she preaches. Or simply, her familiarity with her father breeds affront, if not contempt. That is, Cordelia seems to have too much confidence in her king-father's tolerance toward her logorrhea and escapade. The best example is the verbal parry and thrust between the two:

> LEAR.
>
> Nothing?
>
> COR.
>
> Nothing. (80-81)
>
> LEAR.
>
> So young and so untender?
>
> COR.
>
> So young, my lord, and so true. (99-100)

These stichomythic lines or quibble-like echo utterances are indicative of the contention and endearment between Lear and Cordelia. Both father and daughter are dramatically programmed to heighten their emotional intensity. Not that the daughter would ignore the geriatric's moodiness to irritate him but that she is conscious of the father's doting upon her to provoke him. Compare the stichomythia with the flat declarative lines below:

> Alack, 'tis he! Why, he was met even now
>
> As mad as the vex'd sea, singing aloud,
>
> Crown'd with rank [femiter] and furrow-weeds,
>
> With hardocks, hemlock, nettles, cuckoo-flow'rs,
>
> Darnel, and all the idle weeds that grow
>
> In our sustaining corn. A [century] send forth;
>
> Search every acre in the high-grown field,

And bring him to our eye. (4.4.1-8)[18]

No longer frivolous, Cordelia's wording is imbued with concrete images more down to earth than she would have employed when arguing with the father. There are more polysyllables being used in the above speech delivered upon her return from France to find the mentally disoriented father. Her word choice and her way of expressing herself indicate that she is no longer the chattering and flighty girl antagonistic against the father-king over the abstract notion of love but a woman seriously concerning for her old demented king-father's plight. In a sense, she becomes more realistic, more compassionate, more willing to compromise and less self-indulgent. That is, she bases her talk more on mutual assumptions and goals than before:

No blown ambition doth our arms incite,

But *love*, dear *love*, and our aged father's right.

Soon may I hear and see him. (4.4.27-29; emphases added)

These are the words uttered by Cordelia when she is found returning from France. Her voice would be calm and flaccid in expressing "love" to Lear. The love is simply love with no qualifiers and no conditionals, unlike the contractual love she so insisted before.

She accepts what becomes of her father and herself, no finger-pointing and no berating. But it is too late for her to learn the necessity of shared presumptions, principles and face-wants (the need to have face respected) in carrying on a logic conversation without too much "cancelability and detachability" in order that a common goal could be reached (cf. Horn, 69-86). The conversational or cultural conventions of "positive face" and "negative face," that is, "'the desire . . . to be approved of' and the 'desire to be unimpeded in one's actions'" (Weigand 94) determine the success or failure of their language transactions. The tragedy is, then, a tragedy of miscalculating and miscommunicating in terms of intention and effect on the part of both the speaker (addressor) and the hearer (addressee). Both Lear and Cordelia mean well, perhaps, but both misfire resulting from their misunderstanding about conversational implicatures, i.e., circumstantial or contextual inferences. Or we should say that both are being taken advantage of because of their failure to comply with the cooperative principle and politeness principle so important to make contributions to the language game, to win territory and power in this case. Lear is being cornered by his own solemn protestation of land-division scheme "to divest us both of rule, / Interest of territory, cares of state" (1.1.49-50).[19] Cordelia is too reckless to cooperate, at least verbally, with her father to guard her own bequest by "[committing herself to the abuse of her father's authority,] a thing so monstrous, to dismantle / So many folds of favor," so declared King of France (1.1.217-18). The pragmatic function of language delineates, to a large degree, the dilemma and plight of Lear and Cordelia in their speech events and, of course, Shakespeare's orchestration of the

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[18] The *Riverside Shakespeare* follows the Quarto text in that this scene is preceded by another one in which Kent and a Gentleman discuss Cordelia's concern for her father's mental health.

[19] These are lines not found in the Quarto edition.

tragedy through language use.

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藝術品、藝術家與藝術的真理海德格藝術思想之詮釋

黃銘惇*

摘要

　　海德格的〈藝術品的起源〉（Der Ursprung des Kunstwerkes）講述人性最深層的「存在經驗」── 這是「存在的真理」。在我們的分析中，他的論述有三個層次：1. 什麼是「物」？2. 藝術品與「存在經驗」之間的關係。3. 藝術的起源是一個「存在真理」的問題。

　　每一件藝術品都有它的素材與內容；在傳統的認知上，這是藝術品的「材料」（die Material）。海德格將它重新界定：這是藝術品的「質料性」；換句話說，「質料性」是我們認識藝術品的開始，同時，我們的認識是具體的「存在經驗」。

　　藝術品呈現的「存在經驗」是具體的生活經驗，所以，在「存在問題」的分析上，藝術品的經驗必須引導我們，理解我們對自己的「存在意義」：當藝術品讓我們感受到內心的喜悅時，我們怎樣去詮釋喜悅的經驗？其次，我們的詮釋與傳統的理解有什麼樣的差異？最後，為什麼我們的詮釋會導向哲學的根本問題 ──「存在的真理」？

　　基本上，藝術家是藝術品的創作人。但是，海德格認為，藝術品與藝術家有一個相同的起源 ── 這個起源是「存在的真理」；這是「光」的經驗。在海德格的分析中，希臘神廟是「存在真理」彰顯的「場所」。因此，我們的詮釋必須針對神廟與「存在真理」之間的關係，進行具體的說明。

關鍵詞：物、世界、存在、神廟、真理的實現

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Artist, Artwork and the Truth of Art Interpretation of Heidegger's Thinking of Art

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Abstract

Heidegger's "Origin of Artwork" deals with the deepest experience of human being; and that is the experience of the truth of art. There are three aspects in his analysis: 1. What is the "thing"? 2. The relationship between the artwork and the "existential experience" 3. The question about the origin of artwork is a question about the truth of Being.

Every artwork hat its own material; in the traditional understanding its material would be regarded as the material of "form'. Heidegger try to provide a new interpretation — the material of artwork is its "thingness", therefore the "thingness" is a new beginning for us to understand the art artwork; on the other hand, our understanding is also a concrete experience of Being.

The experience of Being is the concrete experience of our living, hence in the analysis of Being the artwork can lead us to understand, what the meaning of our own Being is. When we observe the artwork, which we appreciate, we can feel the pleasure in us. And that is a question, how we can find a interpretation of this kind of inner pleasure. And what makes it different to the traditional one. Finally, why should our interpretation guide us to a fundamental question of philosophy—the question about the truth of Being?

As matter of fact the artist is the creator of artwork, but Heidegger thinks, the artist and artwork have a common origin, and this origin is the truth of Being; the truth is the experience of light. According to Heidegger the Greek temple is the place, on which the truth of Being reveals. What is the relationship between the temple and the truth of Being? That should be a main question of our interpretation.

Keywords: Thing, World, Being, Temple, Creation of truth

前言

在本文的論述中，我們希望用不同的角度，詮釋海德格的藝術思想，或者，利用他有關藝術起源的一些說明，解釋他的「存在思想」（der Seinsgedanke）。當代一些相關的詮釋幾乎不探討藝術家本身的「存在經驗」（die Seinserfahrung），可是，藝術家最深層的經驗代表隱藏在藝術品底下最原始的生命力，簡單來說，如果我們完全不討論藝術家深層的創作經驗時，那麼，藝術品只是一個人們欣賞的對象，同時，在「存在的意義」（der Seinsinn）上，藝術家與觀賞者之間的關係就無法凝聚最原始的「共同歸屬感」（die Zugehörigkeit）。基本上，人性最根本的「共同歸屬感」並不會顯現在唯一的一件藝術品，所以，除了梵谷的鞋子之外，在其他的藝術作品上，我們可以發現相同的「存在經驗」，因此，我們將對不同的藝術作品進行深入的解析；事實上，大部分有關海德格藝術思想的詮釋只是單純引用海德格對梵谷的理解。其次，在藝術品的真實意義上，藝術家的創作經驗比欣賞者或分析家的感受與論述還要原始，所以，依照海德格的理解，在討論藝術品的起源時，我們必須發掘一種更原始的東西；這是所有人共同的「存在經驗」；因為最根本的「存在經驗」所以，在欣賞藝術品時，我們可以分享藝術品隱藏一種最深層的原始意義與感動。

在分析上，我們將論述分為三個階段；它們是我們對「物」的理解、藝術品提供的「存在經驗」與管道，最後，真理與藝術的起源。這個三個階段代表我們對藝術品理解的三個層次，此外，我們將嘗試擺脫理論與概念性的解釋與分析，所以，我們將回歸到人類最原始的行為 — 這是小孩子遊玩的具體現象，串聯上述的三個層次；從小孩子對「物」的原始經驗說明藝術品隱藏的真實意義。因此，在藝術品的分析部分，我們將對「物」的真實意義進行不同層次的解說。

壹 什麼是「物」（das Ding）？

當一個人對藝術沒有任何興趣的時候，他認為，藝術品是一件「物品」（das Ding）。對一位藝術鑑賞家來說，一件失敗的藝術品只是一件「物品」，因為，它沒有藝術價值。所以，在藝術品完成之前，它只是一件「物品」。可是，當藝術品完成後，一件是失敗藝術品並沒有超越普通「物品」的價值。在本質上，「物品」與藝術品之間有根本性的差異。在這裡，我們想先討論一個問題：什麼是「物」？

海德格曾經發表一篇很有名的文章〈那是什麼？ — 哲學〉（Was ist das? – Philosophie）。那是什麼？在日常生活中，我們常會這麼問：那是什麼「東西」？東西就是「物」，同時，它代表地表上的「物」。在日常生活中，我們常常用「物」的概念表達所有的「存有者」（das Seiende）。在我們的世界中，所有的「存有者」（das Seiende）分為自然物、器物與人物，或者，無機物（包括概念與觀念）與有機物。基本上，在一般人的認知裡，「存有者」與「虛無」（das Nichts）是彼此否定的，換句話說，人們用邏輯的辯證或矛盾律去理解「存有者」與「虛無」，但是，辯證的否定卻無法創造人性最真實的意義。在海德格的理解，「虛無」有最深層的意義，所以，在後面的說明中，我們

將針對「虛無」進行現象學的觀察。

在笛卡爾（Rene Descartes）的理解中，世界是一個「物化的世界」（die Welt der Verdinglichung），其次，除了上帝之外，[1] 在世界的所有「存有者」分為「思想物」（*res cogitans*）與「延伸物」（*res extensa*）；人是思考的「物」，其他的所有「存有者」則是「延伸物」。笛卡爾認為，世界是一個「物化的世界」，其次，當世界不再是思考的產物時，那麼，世界是一個「延伸物」。[2]

在《存在與時間》（*Sein und Zeit*）的論述中，海德格還沒對詳細討論，什麼是「物」？其他的單篇文章中，例如〈藝術品的起源〉（Der Ursprung des Kunstwerkes）或〈物〉（Das Ding）文章中，海德格有一些比較詳盡的解釋。

首先，「物」的「本質」問題牽涉到「存有者的事實存在」（das Wassein des Seienden）；海德格將「存有者的事實存在」解釋為「物的質料」（das Dinghafte des Dings）：「當它是物的時候，在真理中，『物』到底是什麼？當我們這麼問的時候，我們希望認識『物的物存在』（das Dingsein des Dings）或者它的『物性』（die Dingheit）。事實上，我們可以體驗『物的質料性』（das Dinghafte des Dings）。在這個時候，我們必須認識它的範圍。每一個『存有者』都有自己的歸屬範圍，因此，我們將『存有者』定名為『物』。…… 現在，當我們認定這個『物』的時候，我們的思考對象是什麼？」（Was ist in Wahrheit das Ding, sofern es ein Ding ist? Wenn wir so fragen, wollen wir das Dingsein (die Dingheit) des Dinges kennenlernen. Es gilt, das Dinghafte des Dinges zu erfahren. Dazu müssen wir den Umkreis kennen, in den all jenes Seiende gehört, das wir seit langem mit dem Namen Ding ansprechen. **....** Woran denken wir*, wenn wir jetzt das Ding meinen?*）。[3] 事實上，我們可以列舉一些例子進行說明。一張木桌的「質料」是木材，所以，木材是木桌的「質料」；這時候，木材是桌子的「質料」與內容。同樣地，米開朗基羅的〈聖母哀子像〉是大理石像；所以，聖母像的「質料」是大理石，因此，在「質料」上，雕塑與繪畫展現不同的質感，同時，質感的差異凸顯「質料」衍生的內容差異。不過，在「質料」上，聖母像與木桌之間有不同層次的差異；聖母像的大理石呈現感官與精神的「質料」與內涵；一般人會認為，聖母像的大理石是神聖的。依照米開朗基羅的自述，在他挑選雕像的石材時，在這一塊大理石上，他已經看見聖母瑪利亞的臉孔，所以，在「物的質料」上，這塊大理石與其他的大理石有不同的「質料」比較下，桌子的「質料」呈現「物」的單純「物性」，但是，聖母像的具體內容彰顯「物」的神性。所以，木材是桌子「質料」與內容；這是可以觀察的「物性」，但是，神性卻是聖母像一般無法觀察、卻可體驗與意會的「質料」與內容。

或許，人們會問道，物的「本質」（das Wesen）與「存在問題」之間有什麼關係？首先，我們必須瞭解，《存在與時間》有一些有關「物」的相關論述。海德格將人定名為「此在」（das Dasein），同時，人生活在世界中。但是，人的一切作為都發生在一個

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[1] 在笛卡爾的認知裡頭，上帝是無限小與無限大。在世界上，所有的「物」並沒有這樣的特質。在笛卡爾的觀念中，「物」是一個「實體」（die Substanz），換句話說，它與日常生活認知的「物」有根本的差異性。
[2] Heidegger, *Sein und Zeit*, S. 89.
[3] Heidegger, *Holzwege*, S. 10.

處境中，所以，他稱這個處境為「此在的處境」（die Situation des Daseins），例如，我們在教室討論哲學問題，這是一個處境，換句話說，人的所有行為與作為都發生在「此在的處境」中。其次，人的行為與作為有三種「存在方式」（die Seinsweise）；這三種方式包括人如何對待一切的事物、他人與自己，因此，人的「存在方式」涵蓋人與物、人與他人、與人與自己三種不同的關係。所以，什麼是「物」？這個問題說明「處境的事實關係」（die faktischen Verhältnisse der Situation），舉例來說，在教室內，我們與桌子之間的原始關係是事實關係，因為，桌子是「物」的事實，換句話說，這層關係並不是「意識」（das Bewusstsein）的產物。在這裡，我們可以發現海德格與胡塞爾之間的根本差異。

在一般人的認知裡，人與物的關係是「主體-客體-關係」（das Subjekt-Objekt-Beziehung）；這是傳統哲學設定的形上學條件，但是，這不是真實的「存在關係」(das Seitenverhältnis)，所以，首先，我們必須捨棄人與物的「主客關係」。基本上，「主客關係」是「本體論解構」（die ontologische Destruktion）的第一個層次，因為，這是傳統哲學形上學論述的根本架構，所以，當我們想重新理解「存在」與思想的問題時，我們必須先「解構」（destrukturieren）思想的「主客關係」。所以，海德格認為，「物的質料性」並不在是意識的「表達對象」（der vorgestellte Gegenstand）[4]，其次，我們也不可以先利用「對象的對象性」（die Gegenständlichkeit des Gegenstandes），進行界定。[5]

事實上，有關「物的質料性」（die Dinghaftigkeit des Dings）的論述比較常出現在海德格後期的思想。不過，在這個地方，我們想討論它與「世界」（die Welt）的關係。

在《形上學的根本概念。世界—有限性—孤獨性》（*Die Grundbegriffe der Metaphysik. Welt – Endlichkeit – Einsamkeit*）[6] 的陳述中，海德格認為，石頭沒有世界，因為，石頭沒有「世界的特徵」（der Weltcharakter），但是，在〈藝術的起源〉的論述中，他借用「質料的形塑」（die Gestaltung des Dinghaften），探討「世界」與「大地」（die Erde）之間的差異。不過，在《物》（Das Ding）[7] 這篇文章中，海德格的解釋卻有不同的說法：世界的「存在關係」有四個端點。這四個端點是「神聖性的」（das Göttliche）、「人」（der Sterbliche，或者，會腐朽的人）、「大地」與「天空」（der Himmel）；在這裡，「大地」只是「世界」的一個端點。在這四個端點聚合的關係中，我們可以發現「物的質料性」；這是「世界」的內容，換句話說，這四個端點架構「世界」的完整與統一性。在上述兩篇晚期論述中，我們很難掌握「物的質料性」的明確意義，因為，海德格沒有很明確的說明與解釋，不過，在《存在與時間》的理解中，相關的敘述可以幫助我們理解「此在的處境」。

當人不再認定，自己是世界中心的「主體」時，他會自覺，自己是「會腐朽的生命」時，那麼，在這樣的體認下，他居住的「世界」才是真實的「世界」，其次，在「世界」

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[4] 中文常常將（die Vorstellung）翻譯成「表象」。事實上，這樣的翻譯是不合適的，因為，「表象」還有其他意義；例如事物的外在形象。在德文的意義中，「意象」（die Vorstellung）代表：我們的內心形成一個可觀察事物的印象或圖像，但是，它也有表達、設想與想法的意思，例如這是我的想法（das ist meine Vorstellung）。所以，在不同的脈絡中，我們必須有不同的適當翻譯。當人們將它翻譯為「被表象的對象」時，這已經不是補充說明可以解釋的錯誤。

[5] Heidegger, *Vorträge und Aufsätze*, S.181.

[6] Heidegger，*Die Grundbegriffe der Metaphysik. Welt – Endlichkeit – Einsamkeit*。.

[7] Heidegger, *Votäge und Aufsätze*, S.165.

中，當一個「物」得到自己的真實屬性時，那麼，它才是真正的「物」。[8] 首先，人必須體悟，自己是會腐朽的生命，換句話說，人必須對「死亡」有深刻的覺悟，然後，在人的世界中，他才能找到真實的「居所」（der Aufenthalt）。此外，人的居所建立在「存有者的原先本體經驗」（die voronotlogische Erfahrung des Seienden）[9] 上；「存有者的原先本體經驗」是理論尚未解讀的真實經驗；例如在日常生活中，我們會稱水為水：不是H2O。最後，這些經驗的起點與終點是一個人的出生與死亡，所以，出生前與死亡後都是「虛無」（das Nichts），因此，海德格說，死亡是「虛無的神廟」（der Schrein des Nichts），同時，作為「存在的本質」（das Wesen des Seins），死亡將自己隱藏起來。[10] 依照海德格的解釋，死亡結合「虛無」與「存在」的生命經驗。在〈藝術品的起源〉的論述中，海德格將「虛無的神廟」解釋為希臘的神廟，其次，眾神居住在這座神廟中。我們可以說，「虛無的神廟」有四面牆。這四面牆是「神聖的」、「人」、「大地」與「天空」，但是，當這座建築物的具體內容是「物的質料」，這四面牆才能建造一座神廟。

　　如果我們局限在傳統的「實體」概念的話，那麼，在神廟四面牆之內，只有「空無一物」的「虛無」（das Nichts），可是，在信仰的世界裡頭，在四面牆內充滿神聖的氣息。神聖的氣息必須包括兩個條件：1. 它是眾神的降臨與人的真誠信仰，2. 人的宗教活動則是信仰的具體行為。所以，在神廟中，我們將置身在神聖的氣息中，其次，此時，神聖的氣息將演化為一種「氣氛」（die Stimmung）[11]；所謂「氣氛」就是氣息擴散出來範圍，此外，在這個「氣氛」中，內心的神聖感受將無限地提升。所謂的「神聖氣息」是一般物品與藝術品之間的根本差異。[12] 當我們欣賞一件藝術品時，內心將浮現一股喜悅。為什麼我們會覺得喜悅呢？因為，內心感染到藝術品的「神聖氣息」，所以，藝術品帶給我們的喜悅是一種真實的「存在經驗」（die Seinserfahrung）。

　　在這裡，我們想再次引申「虛無的神廟」的意義。神廟是四面牆形成的空間與建築。事實上，不管是天主教的教堂、回教的清真寺或佛教的寺廟，建築的正殿與內部常常是虛無的空間；清真寺的空間設計最明顯。基本上，這是四面牆建構的空間；如果沒有這樣的空間設計，那麼，我們就找不到容納神聖氣息的場所。神廟設計的虛無空間是信徒膜拜的地點，同樣地，如果信徒的內心無法創造相同的虛空時，那麼，最真誠的信仰就找不到最完美的聚落。在神廟虛無的空間上面，我們會發現一條最高的智慧引導信徒的道路；這是一般肉眼無法察覺的道路，同時，這條道路是生命走向神聖的引導。同樣地，在藝術品的建構的形體之外，我們必須感受真理的召喚；這是一條邁向「存在」的道路，

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[8] „Erst die Menschen als die Sterblichen erlangen wohnend die Welt als Welt. Nur was aus der Welt gelingt, wird einmal Ding." Ibid. S. 184.

[9] 在這裡，我們必須解釋翻譯的用語。我們將（Ontologie）翻譯為「本體論」。這門學問源自古希臘的「實體」概念。那麼，所謂「原先本體經驗（vorontologisch）」的意思是原來在「本體論」之先，換句話說，這樣的經驗發生在「本體論」之前。

[10] „Der Tod birgt als der Schrein des Nichts das Wesen des Seins in sich." Heidegger, *Holzwege*, S. 177.

[11] 在中文的翻譯中，人們常常將（die Stimmung）翻譯為「情緒」。這是並不是正確的翻譯。在日常生活中，如果心情不好，人們會說，「我的心情不好。」（Ich habe keine gute Stimmung。）可是，如果一個人覺得，自己到一個不對的場合，他會說：「氣氛不好。」（Die Stimmung ist schlecht。）所以，「氣氛」不是只有內在的主觀感受，同時，它還包含外在對內在情緒造成的情緒與影響。

[12] 比較 Kant, *Werke in zwölf Bänden. Band 10*, S. 307. 康德認為，「美的藝術是天才的藝術。」（Schöne Kunst ist Kunst des Genies. S.307）天才可以賦予藝術一個規則。

或者，我們可以說：「存在」就是道路。

虛無的聲音就是寂靜。美國的前衛作曲家喬治‧克朗（Georg Crumb）將費德里戈‧加西亞‧洛爾卡（Federico Garcia Lorca）的詩編寫成〈孩子們的遠古聲音〉(Ancient Voices of Children)。樂曲的歌詞描寫小孩子們尋找自己的聲音，最後的一句話是：「我將到很遠的地方⋯ 我將要求上帝歸還我作為一個小孩子的遠古靈魂。」（and I will go very far... to ask Christ the lord to give me back my ancient soul of a child.）這條尋找自己聲音的旅程是一條尋找聲音起源的道路，但是，聲音的起源卻是遠古的寂靜。或許，遠古的聲音創造宇宙的第一個聲響 – 這是一個我們已經聽不見、無聲無息的聲響。在約翰‧施特勞斯的樂曲〈查拉圖斯特拉如是說〉（Also Sprach Zarathustra）的剛開始的前奏中，我們可以察覺的遠古聲響只是一個微弱的音波。

虛無的聲音就是寂靜。在這裡，我們將嘗試利用西班牙詩人費德里戈‧加西亞‧洛爾卡的詩〈寂靜〉（die Stille），詮釋「此—在」（das Da-sein）的「氣氛」。

<div align="center">

寂靜

傾聽，我的孩子，寂靜。

這是流水間的寂靜。

這是山谷與「迴音」滑落下來的寂靜；

在這樣的寂靜前，人們將彎下身體鞠躬。

Die Stille

Höre, mein Sohn, die Stille.

Es ist eine Stille in Wellen

Eine Stille

von der Täler und Echos abperlen

und vor der man sich verbeugt.

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一般來說，小孩子可以聽見成人聽不見的音聲。流水間的寂靜出現在流水與流水間的短暫瞬間；這樣瞬間的寂靜是成年人無法聽見的音聲。但是，流水聲並不是河流或瀑布的聲音，因為，水流間的寂靜夾雜山谷與「迴音」（das Echo）的聲響。當人們傾聽的時候，他們常常會彎下身體，探尋自己聽不見的寂靜。基本上，這首詩可以解釋海德格理解的「聆聽」(das Hören)。「雖然，人聽見聲音，同時，他可以聽見不同的字詞，可是，在這樣聽的行為中，他卻無法聽見那些無法聽見的東西；例如每一個字的字母；字母並不是「言說」，因為，字母是「哲言」⋯⋯ 真正的「聆聽的存在」與耳朵或嘴巴沒有關係；它代表：當我們面對，什麼是「哲言」的時候，我們必須清楚地指出：『存有者的整體性』。」（Die Menschen hören zwar und hören Worte, aber in diesem Hören können sie nicht auf das „hören", d. h. dem folgen, was nicht hörbar ist wie Wörter, was kein Reden ist, sondern der logos... Das echte Hörigsein hat aber nichts mit Ohr und Mundwerk zu tun, sondern besagt: Folge leisten gegenüber dem, was der logos ist: die Gesammeltheit des

Seienden selbst.）[13]

　　基本上，在言談中，我們無法聽見字母，因為，音節建構一個字的音聲與發音，換句話說，在說話的時候，我們聽不見每個字母的音。依據海德格解釋，這些聽不到的音聲是「哲言」（logos）。[14] 為什麼我們聽不到「哲言」？因為，它已經被翻譯成別的文字；例如理性，所以，海德格認為，聆聽與耳朵或嘴巴沒有真正的關係。「哲言」跟寂靜一樣，聆聽需要人的最原始感官；這是聆聽與寂靜的知覺，換句話說，一般人聽不見小孩聽到的經驗。其次，不同的字母組合為一個字。所以，每一個字有形成的演變歷史與過程；言說如何進化為文字系統？文字如何成為意義的表達元素？一個音如何成為字？這個音如何傳達字的意義？音聲的傳達如何讓他人理解為意義？等等；在海德格的理解中，這些代表「存有者的整體」。他認為，字母是「哲言」，所以，在言說中，我們聽不到字母的原始音聲。在「存在氣氛」還未表達之前，事實上，人的「人性存在」已經在感染到「此—在」的「呼喚」；這是沒有聲響的「呼喚」。「呼喚」是「聆聽的存在」與最真實的「寂靜」；但是，人們卻無法聽見最真實的「呼喚」。當一個人保持自然的態度時，他就喪失成為孩童的可能性。當他認定，萬物都是「理所當然」時，他就無法「察覺」（vernehmen）最原始的聲響；或者，他無法聽見自己的生命脈動。當一個孩童還無法言說時，他可以傾聽「寂靜」。孩童傾聽的對象並不是「存有者」類型的聲響。在傾聽寂靜時，我們可以發現三條不同的「察覺」的道路；這些道路與「哲言」之間有最真實的關係。

　　「我們顯示這三條道路；

　　1.　『察覺』並不是單純的過程；它是『決—斷』（die Ent-scheidung）。

　　2.　『察覺』與『哲言』有內在的『本質的生活共同體』（die Wesensgemeinschaft）。這個『哲言』是個『緊急狀態』（die Not）。

　　3.　『哲言』證明語言的本質。『哲言』就在所有『存有者』裡頭，它是戰鬥與人類歷史性『此在』的建立『根本』。」[15]

　　對海德格來說，「察覺」並不是音聲的收發。因為，只有在傾聽「哲言」的時候，「察覺」才是真實的。在解釋與說明「察覺」的本質時，海德格將這個現象作三個層次的觀察。首先，「哲言」是一種「決—斷」；真正的「決定」牽涉到人的最真實「存在」。在〈哲言〉（Logos (Heraklit, Fragment 50)）這篇文章中，海德格將「決斷」理解為「人的聆聽」（das Hoehren des Sterblichen）。人是會腐朽的生命，同時，他生活在自己的「有限性」中。「有限性」代表「人性存在」的生活。其次，在「有限性」中，「自己」的最真實可能性將得到顯示；這個可能性必須證明「自己」是「邁向最真實死亡的自由」。

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[13] Heidegger, Einfühlung in die Metaphysik, S. 99.

[14] 在中文的翻譯中，（Logos）有很多翻譯，不過，在這裡，我們將它翻譯為「哲言」。我們的翻譯分為兩個部份：「哲」與「言」。希臘文（logos）的原始意義是「言說」，所以，「言說」是用「口」說話。因此，「言說」就不能是文字的定義。什麼是「哲」？「哲」分為「折」與「口」，我們已經說明「口」的部份，為什麼「言說」與「折」有關係？「折」代表折斷、拆拆、分離與肢解。在這裡，「折」是希臘文的（legein），它有言說、拆解、解釋與陳訴的意思。當我們將整體拆解為不同部份的時候，就是「折」的行為。在理解的過程中，通常，我們會將一句話拆解為不同的部份，然後，進行解釋。這樣拆解的過程與方法演變為後來的「邏輯」（die Logik）。

[15] Heidegger, Vorträge und Aufsätze, S. 222.

所以，「決斷」是傾聽最真實的「自己」。依照海德格的見解，作為一種「決—斷」，「察覺」是「人性存在」的行為：他傾聽「有限性」顯示的生命訊息，但是，事實上，在實際的日常生活中，這樣的訊息不曾出現在我們眼前。在「寂靜」中，只有小孩可以真正察覺萬物揭示的訊息，但是，在我們的「人性存在」裡頭，這些生命訊息是沉默的。當我們可以「察覺」真正的音聲時，「當『察覺』來自『決—斷的根本』時，這時候，『察覺』是維護『存在』，反對『虛無』，所以，它是與表像之間的爭論。」（......wenn sie von Grund aus Ent-scheidung ist für das Sein gegen das Nichts und somit Auseinandersetzung mit dem Schein.）[16] 因此，我們不能誤聽或漏聽「哲言」傳達的生命訊息，因為，當「存在」是對抗「虛無」的時候，「哲言」是爭取「存在意義」的鬥爭。

「真正的聽覺屬於『哲言』，所以，這個聽覺自己是一種『解說』（λέγειν）。作為真正的『解說』，真正的聽覺是人的聽覺。在一些特定的形式下，聽覺是自己與『哲言』。」（Das eigentliche Hören gehört dem λόγος. Deshalb ist dieses Hören selbst ein λέγειν. Als solches ist das eigentliche Hören des Sterblichen in gewisser Weise das Selbst wie der λόγος.）[17] 一般來說，在交談時，我們不會傾聽自己的言語，因為，我們以為，我們已經不需要再去認識自己的音聲，但是，海德格卻認為，當一個人可以傾聽自己的音聲時，他的傾聽並不是被動的聽覺；這是「言說」最真實的表現方式，所以，「真正的聽覺屬於『哲言』。」

最後，我們想討論藝術「起源」的消失。在哲學的思維中，我們可以發現「存在的真理」（die Wahrheit des Seins）與「真理的存在」（das Sein der Wahrheit）。在藝術品中，人們有機會體悟「藝術的起源」與「起源的藝術」。但是，當藝術品毀壞或銷毀的時候，藝術的「起源」就會消失。舉例來說，當藝術品成為富豪的收集後，它的「開放性」就會消失。其次，在藝術創作的過程中，「真理」將在作品的形塑中實現自己，所以，一件偉大的作品可以彰顯「存在意義」的整體實現。但是，當藝術品失敗時，「存在的真理」是否將永遠消失？事實上，這是一種誤解。雖然，當藝術品失敗時，「真理」無法得到具體的實現，可是，藝術創作還有一個讓「真理」實現的「場所」；那是人的具體生命經驗。這是人必須圓滿自己生命的藝術品，因為，偉大的藝術品刻畫偉大藝術家的生命經驗；這些生命經驗就是藝術的詮釋，同時，這是一件永遠無法完成的藝術品；我們稱它為「生命的傑作」（das Lebenswerk）。每一個人的生活與生命經驗可以不斷豐富這件藝術品的內容，但是，人生的創作有一個停止的定點 — 這是死亡的「此刻」（der Augenblick）。

貳 藝術品

基本上，海德格的文章〈藝術品的起源〉與一般認知的美學理論有本質的差異性。因為，這文章的重點是藝術品的「存在經驗」；這是「存在的彰顯」（die Offenbarung des Seins），同時，這是藝術品創作過程展現的「事件」（das Ereignis）。[18] 在這裡，我們必

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[16] Heidegger, Einführung in die Metaphysik, S. 177.
[17] Heidegger, Vorträge und Aufsätze, S. 222.
[18] 比較： O. Pöggeler, *Neue Wege mit Heidegger*, Freiburg/München 1992, S.122. 有關 Pöggeler 與 v.

須補充一下，什麼是「事件」？ 在早期的海德格思想，「存在的遺忘」（die Seinsvergessenheit）是哲學的「發生」（das Geschehen）與「事件」，可是，在晚期思想中，他發現「存在的遺棄」（die Seinsverlassenheit）；這是比「存在遺忘」還要原始的「事件」。

當然，海德格並不認為，每一件「物」是藝術品，但是，依照他的理解，只有在「物的質料」中，藝術品的起源才可以得到真正的闡明。[19] 「物是什麼？」，這個的問題屬於人的可能性；在人對待「存有者」的方式與過程中，人如何去營造自己的可能性，換句話說，在這裡，人的行為與「存有者的存在」（das Sein des Seienden）之間的「本體論關係」（das onotologische Verhaeltnis）是我們的討論重點。如果人們認為，海德格的興趣是美學理論的話，那是很嚴重的誤解。當海德格提出有關藝術品的「本質」問題的時候，他的問題是有關「起源」（der Ursprung）的問題。所謂的「起源」包括生命的「起源」、人的「起源」或哲學的「起源」等等。藝術品的「起源」只是彰顯「起源」的一個面向。

海德格的分析與傳統的美學理論之間有根本性的差異，其次，「物」的經驗是我們的第一個步驟。[20] 當我們想理解藝術品的「存在意義」（der Sinn des Seins）時，首先，我們必須體驗藝術品蘊含的具體經驗 ── 這是「物的質料」（das Dinghafe des Dinges）。在這裡，具體日常生活經驗的觀察可以幫助我們，體會藝術品的「質料」。這個具體的現象是：小孩子如何對待他眼前的藝術品。一般來說，小孩子沒有任何藝術品的概念，因為，他無法「理解」藝術品的價值與意義，所以，在他的眼裡，藝術品是一件「物品」，同時，這個「物品」有具體的「質料」；例如，繪畫是一張紙、雕像是一顆大石頭、美術館是一棟房子，但是，上述的現象卻不代表，小孩子沒有真正接觸藝術品的管道。在小孩子的觀點中，他對待藝術品的行為是一個「存在方式」；這是日常生活中，藝術品呈現在人們眼前的第一種面貌。在小孩子的世界裡，藝術品必須讓自己用「物」的方式聯結小孩子的「世界」，然後，產生關係；在事實的層面上，小孩子與藝術品之間有一層「質料」與具體的關係，同時，這樣的關係凸顯一種「原先本體論的」經驗；這是藝術體驗的基礎。海德格認為，在藝術的理解上，這個「物」的經驗是最初始的經驗，在我們處理藝術品的「質料性」問題上，上述的概念可以提供具體的答案。藝術品呈現出來的「質料性」就是「素材」（der Stoff）；這是藝術品的題材；舉例來說 ，當我們欣賞概念藝術的時候，概念是藝術品的「質料性」，所以，在藝術品的創作過程中，「質料」是它的材質與領域。[21] 但是，這個現象：「物的質料性」如何呈現在我們的眼前？這個問題必須回歸到一個形上學根本問題：爲什麼是「存有者」，卻不是「虛無」（das Nichts）？

Herrmann 之間的爭辯，讀者可以參考： v. Herrmann, *Heideggers Philosophie der Kunst. Eine systematische Interpretation der Holzwege-Abhandlung: Der Ursprung des Kunstwerks.*

[19] 比較：B. Allemann, *Heidegger Begriff der Kunst.* In: Edelgard Spude (Hg), *Große Themen Martin Heideggers. Eine Einführung in sein Denken.* Allemann 將藝術品的概念聯結到海德格的納粹歷史，但是，從「物的質料性」的解釋中，我們實在無法理解納粹意識形態與藝術品之間的必然關係。

[20] 比較：Gadamer, *Heideggers Wege, Studien zum Spätwerk*, S. 87. 高達美將藝術品的「本質」界定為「物的界限設定」（die Abgrenzung vom Ding）。

[21] „Dieser Dingbegriff setzt uns instand, die Frage nach dem Dinghaften im Kunstwerk zu beantworten. Das Dinghafte am Werk ist offenkundig der Stoff, aus dem es besteht. Der Stoff ist die Unterlage und das Feld für die künstlerische Formung." Heidegger, *Holzwege*, S. 16 .

為什麼小孩子不曾有「虛無」的經驗與認識？

　　藝術品的「質料」並不是「存有者」的「述詞」（das Prädikat）；基本上，人們常利用「述詞」進行概念性的分析。其次，在另外一方面，藝術品的「質料」是一種「被形塑的材料」（die geformte Material）；在藝術品創作的過程中，它的材料將得到形塑；例如，泥土慢慢變成泥巴人。事實上，藝術創作是一種「存在經驗」，所以，在創作的「存在經驗」過程中，「質料」的形塑是「存在」展現的一種方式；這是「存有者」如何表現「存在」的方式，或者，「存有者」如何「邁向存在」（ins Sein kommen）。我們可以利用概念藝術作為一個例子，在精神性的概念轉化為「質料性」的藝術品的過程中，概念將往它的「存在」的方向前進，同時，它將創造一個空間；這是「存在經驗」開啟的藝術空間。因此，在當代，概念藝術常常是空間藝術，其次，當我們踏進這個空間裡頭，我們就成為藝術品的一部份，換句話說，我們不再是單純的觀眾；我們是藝術創作的參與者。所謂的「邁向存在」有表演與遊戲的意思；例如，當一個演員完全融入一個角色的時候，他的表演就是一種「存在經驗」的演練，因為，在他的表演下，原來虛構的人物可以活生生地站在我們的眼前，然後，用語言與身體描述一段故事或歷史。事實上，小孩子的遊戲也是「邁向存在」的一種方式；這可能是人類最原始的「存在方式」。小孩子的玩耍凸顯「邁向存在」的特質：「存有者」如何超越自己，然後，邁向「存在」前進。

　　一般來說，在玩耍時，小孩子眼中的「物」就是「玩具」（das Spielzeug）；但是，在遊戲的過程中，小孩子沒有能力針對「物」的「本質」，進行任何概念性的理解、設定與解說，所以，在小孩子眼裡的遊戲世界，「物的質料」昇華為「玩具」；如同「在這樣的方式下，『器物』將邁向『存在』」（nämlich bei der Weise, wie das Zeug ins Sein kommt）。[22] 所以，在我們的理解中，原始藝術是從「器物」的本質衍生出來的「藝術表現」（das Spiel der Kunst）；原始藝術的表現不需要任何的理論，換句話說，理論無法建構我們與藝術之間的第一關係。[23] 所以，海德格認為，如果我們將玩耍視為小孩子的「優先權利」（das Vorrecht)，那麼，在意義上，遊戲屬於人的一部份。或許，小孩子是小孩子，因為，在形上學意義上，小孩子的遊戲是我們成人已經無法理解的東西。（Wenn es ein Vorrecht des Kindes ist zu spielen, so bedeutet das zunächst nur, daß das Spiel irgendwie zum Menschen gehört. Vielleicht ist das Kind nur Kind, weil es in einem metaphysischen Sinne etwas ist, was wir Erwachsenen überhaupt nicht mehr begreifen.）[24]

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[22] Heidegger, Ibid, S. 19.

[23] 比較： J. Piaget, *Das Erwachen der Intelligenz bei Kindern*. In: Gesamtwerke, Studienaufgabe Bd. 10. 依照皮亞傑的理解，當小嬰兒用手抓東西的時候，這是小嬰兒看待「存有者」的途徑，其次，在小嬰兒眼中，「世界」是質料性的，換句話說，這是他可以用手或身體接觸的「世界」。這個時期有五個階段：「情緒的運動」（die impulsive Bewegung）、「手掌想掌握的意向」（das Greifen um des Greifens willen），「掌握與吸奶的協調」（die Koordination des Greifens und Saugtätigkeit），「自己的手與客體感官之間的協調」（die Koordination der eigenen Hände und Wahrnehmung des Objekts），最後，「掌握、眼睛與雙手之間的協調」（die Koordination des Greifens mit den Augen und mit den Händen）（S. 97ff)。在這幾個階段中，小嬰兒並不需要語言，來創造自己與周遭世界的任何關係，其次，基本上，我們探討語言的根本結構時，文法常常是語言的先決條件，可是，這是小嬰兒沒有能力認知對象。 但是，我們是否可以說，小嬰兒的「世界」是不真實的世界？事實上，我們應該再回到「原先本體性」的經驗；這是比語言還原始的經驗。

[24] Heidegger，*Einleitung in die Philosophie GA 27*, S.310.

海德格認定，「世界」具有遊戲與表演的特質。「在『此在』已經理解的『存在』整體性中，特別是理解的特質與思想組織，它們是『在世界內存在』。『世界』具有遊戲的特質。」（Die Ganzheit des je im Dasein immer schon verstandenen Seins, insbesondere der Charakter dieses Verstehens und die Organisation dieses Verstandenen, das In-der-Welt-sein überhaupt - Die Welt hat den Charakter des Spiels.）[25] 所以，「世界」當然是「生活的戲曲」（das Spiel des Lebens）。

在小孩子遊玩的過程中，小孩子眼中的「物」將蛻變為「玩物」（das Spielzeug），其次，小孩子與「物」之間的關係也會改變；在沒有任何理論設定與限制的遊戲空間中，小孩子只會周旋在自己的「玩物」身邊；換句話說，當一般的「物」成為小孩子的「玩物」時，「玩物」的意義就凸顯小孩子的行為。

當小孩把玩他的「玩物」時，他是專注、亢奮與喜悅的；這些都是「存在經驗」的具體展現。康德將這樣的經驗成為「昇華」（das Erhabene），不過，兩者之間有根本性的差異。康德的「昇華」是內在與主觀的，同時，喜悅經驗的真正原因並不是現實的對象，換句話說，當我們站在一幅畫前面欣賞時，內心得到的喜悅與回憶這幅畫的喜悅是一樣的。但是，海德格卻認為，「遊戲」是人與「存有者」之間互動展現的「存在經驗」。同樣地，在人對待「物」的行為中，我們也可以發現上述的遊戲樂趣，例如，當我們欣賞梵谷的名畫「鞋子」的時候，我們會在畫作的周圍來回走動，[26] 然後，用不同遠近的角度欣賞畫作的不同面向，　這時候，我們的走動與畫作之間呈現不同的視野，這就是一種樂趣。所以，海德格認為，一場遊戲並不是只有遊戲的人與遊戲規則，因為，從一開始，遊戲就有「原始的東西」（das Ursprüngliche）。[27]

藝術品與思想不同，因為，在藝術品中，我們可以發現「質料性」，可是，藝術家卻不能讓藝術品的「質料性」變成「物化」（die Verdinglichung），因為，一件成功的藝術品可以闡明我們的「世界」；在這裡，「世界」與大地生命的「質料性」是不一樣的。藝術品是一件作品，同時，在這件作品中，藝術家發現自己的「起源」（der Ursprung）。

藝術家的「起源」誕生在藝術品創作的過程中，同時，「起源」是藝術家與自己之間認同與一致性的判別標準，換句話說，只有在一件成功與真實的作品中，藝術家才能發現真正的自己 — 對藝術家來說，創作是自我形塑的程序與具體的「存在經驗」。這時候，我們必須問道：誰是真正的藝術家？在我們的理解中，這個人必須「實現自己的真理」（die Wahrheit des Selbst ins Werk setzen）[28]；這個人就是「此在」（das Dasein）。

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[25] Ibid. S.310.
[26] 事實上，觀賞者無法站立在畫作的真正中線。圖畫與觀賞人之間的中線是理論的設定，其次，數學的幾何對稱性並不是藝術的真正訴求。
[27] " Im Spiel gehören Spielregel und Spieler nicht nur unmittelbar zusammen, sondern im Spiel liegt mehr: Es ist vornherein etwas Ursprünglicheres." Heidegger, Holzwege,9，S. 311.
[28] 在這裡，我們將（Das Selbst）翻譯為「自己」。中文的語法與德文一樣，「自己」是我自己、你自己他自己或我們自己、你們自己……，在德文的哲學意義代表「真實的自己」。中文的理解與德文的意義有些差距。可是，到前為止，我們還找不到更好的譯法。其次，Das ins-Werk-setzen 是整體實現的意思，換句話說，在藝術創作的過程中，真理將逐步實現自己；這並不是專有名詞，同時，與「作品」（das Werk）這個字並沒有直接的關聯性。中文常常作這樣的翻譯，例如「存有者的真理自行設置入作品」（das Sich-*ins-Werk-Setzen* der Wahrheit des Seienden）；這是錯誤的翻譯，同時，在中文的語法上，人們不知道，字面意義的理解對真正的哲學理解有任何幫助。當人們這樣翻譯的時候，我們常常看不到適當的說明與

　　當小孩將藝術品當成「玩物」時，這時候，藝術品是一種「器物」（das Zeug）。在這裡，我們可以用梵谷的自畫像當例子，說明「器物」的「存在特質」（der Seinscharakter）。當自畫像作為一件「器物」的時候，它有自己的「質料性」。「『器物』的『器物存在』在它的『服務性』之中。」（Das Zeugsein des Zeugs besteht in seiner Dienlichkeit.）[29] 每一個人對自己的認識是一種「意象」（die Vorstellung）；意象是內在意識衍生與複製的圖像或形式，但是，人們常常問自己，這個「意象」是否可以表現自己的真實圖像？其次，這樣的表現是否符合「自己的真理」（die Wahrheit des Selbst）？因此，自畫像提供一種服務，在圖線中，讓我們可以掌握與描繪真實的自己。但是，圖像的掌握並不是「自我反省」（die Selbstreflexion）；在一般人的「自我反省中」，人們總是喜歡為自己描繪美麗的圖像，相反地，自畫像應該真實地描繪自己，然後，在圖像中，人們可以重新發現真正的「自我直視」（die Selbstanschauung）[30]；這必須是沒有任何偏差與曲解的「自我詮釋」。[31]　　首先，人們嘗試用自己眼中的輪廓與外表，描繪自己的真實圖像，但是，這樣的嘗試是不會成功的，因為，圖像的形塑建立在色彩的改變，換句話說，顏色是基本的原料；這是人們描繪自己的色彩。當人們用圖像呈現自己的時候，光對顏料產生改變 — 人們心目中的顏色是理想性的顏色，可是，在圖像中的顏色是光的變化，所以，在觀看圖像的色彩時，我們先將眼睛的目光投射在圖像上，同時，圖像的色彩將重新映射在我們的心眼中。在這個過程中，如果沒有任何曲解的折射時，在光的照耀下，圖像就可以呈現真實的自我。

　　在圖像中，人們如何掌握真實的自我？它必須依賴光的作用，因為，光帶引顏色的蛻變，其次，在顏色的蛻變中，光的展現有不同的程度與階段。這些不同的程度與階段讓我們有不同的觀點，例如，暗淡的光呈現失落的自我，可是，燦爛的光卻可以提升自我的認同。這時候，自畫像提供一個服務的機會；在每一幅自畫像中，人們可以重新與自己相遇；例如，在梵谷的自畫像中，我們感覺，梵谷的眼睛看著我們，但是，他的目光卻傳達完全不一樣的「存在經驗」，所以，在這裡，目光的交會是人性的相遇。其次，當人與自己真正相遇的時候，光的色澤才能展現最真誠的色彩；當然，這些顏色是我們目光的闡明映照圖畫的寫真。這個道理與神廟的虛無空間是一樣的。在神廟裡頭，人們的信仰必須創造一種虛空的心靈，迎接眾神的降臨，同時，心靈的虛空與神廟包藏的虛無空間必須是一致的，因為，這是聖潔的光照耀的「居所」；海德格稱這個「居所」為「存在之光」的「闡明」（die Lichtung）。[32]

解釋。

[29] Heidegger, *Holzwege*, S. 22.

[30] 在德文意義中，「直視」（die Anschauung）代表：我們正眼看著眼前的對象，可是，「直觀」是這個哲學的語詞；它代表：人們可以直接洞察眼前對象的本質，但是，這並不是西方哲學的意義；至少，康德不坐這樣的理解，因此，他才會提出「物自身」（das Ding an sich）的概念。

[31] 表現主義（der Expressionisms）將顏色視為繪畫最基本元素，顏色有自己的光、形態與結構。在繪畫的輪廓與圖像上，顏色可以針對「存有者的外表」（das Eidos des Seienden）進行著墨，此外，圖像的色彩正好表達藝術家內心浮動與變化的色彩，換句話說，在內在與外在的色彩的變化中，人們可以與「存有者的外表」相遇。有關表現主義與先驗現象學之間的關係，讀者可以參考：F. Fellman, *Phänomenologie und Expressionismus.*。

[32] 人們常常將（die Lichtung）翻譯為「澄明」。「澄明」是佛家用語，例如「本心澄明」；這是佛家修行的境地。但是，在《存在與時間》中，海德格已經有清楚的說明：當我們想掌握具體的「存在意義」

　　所以，當一個人用圖像描述自己時，光的改變也改變每一個人看自己的目光，換句話說，當光展現在不停變化的色彩時，色彩的變化將衍生每一個完全不同的觀點。在這樣的基礎上，人們總是可以發現「自我直視」的新可能性。在新的觀點下，自畫像提供人們一個服務性；在畫像中，人可以與新的自己相遇。在「器物」的意義中，我們就可以發現這個道理，所以，海德格認為，在我們使用「器物」的過程中，我們可以與它的「質料」相遇。[33] 因此，在自畫像中，梵谷展現的自我圖像是一種「器物性」—— 因為「存在」的光，所以，自我的臉孔必須不停地變換；這代表「存在經驗」的改變與昇華。

叁 藝術家與真理

　　如果我們討論的主題是「真理」的話，那麼，依照海德格的理解，在工具的「器物存在」（das Zeugsein）中，我們就可以發現「大地」（die Erde）與「世界」（die Welt）之間的爭論。在這裡，我們把自畫像作為例子。在這個例子的輔助下，我們可以這樣理解「大地」與「世界」之間的爭論：這是「自我認知」（das Selbsterkennen）與「自我理解」（das Selbstverstehen）之間的爭論。在「自我認知」中，當一個人用全部的生命經驗描繪自我的圖像時；這些是事實性的經驗。他必須掌握具體的形象；例如，一顆石頭是一顆石頭。不過，在「自我理解」的形塑過程中，這個過程代表：一個人如何用筆劃與色彩，發現最真實的自我，換句話說，這個過程是「真理的實現」（das Ins-Werk-setzen der Wahrheit）的過程，此外，這也是一條「自我理解」的道路，所以，海德格說，藝術品用自己的方式，開啟「存有者的存在」。在作品中，我們可以看見「開啟」（die Eröffnung）的。「發生」（das Geschehen），所謂的「開啟」就是「顯示」（die Entbergung）[34]；這是「存有者的真理」的「顯示」。在藝術品中，「存有者的真理」將自己形塑為一件作品。[35]

　　在自畫像的描繪中，每一個顏色的具體化將營造自我的新面貌，換句話說，顏色的變換指引一個方向：在自己的眼前，一個人如何慢慢地、一步步地捕捉自我的真實面貌。事實上，梵谷的每幅畫都是描繪「自我理解」前進的方向；在最原始的闡明下，這個方向將渲染一幅浮世繪的未來。

　　事實上，在藝術品中，觀眾也可以發現「大地」與「世界」之間的爭論。這個爭論刻畫藝術家的「本質」。上述的爭論表現藝術家與觀眾之間的爭論 —— 在在觀的眼中，

時，我們必須三個面向進行；這是三個「存在意義」的共同源流；它們是「氣氛」、「理解」與語言。這三個源流並不是心性的修養與境界。如果我們只偏重心性的修為的話，這是對海德格的誤解。

[33] „An diesem Vorgang des Zeuggebrauchs muß uns das Zeughafte wirklich begegnen." Heidegger, *Holzwege*, S. 22

[34] 這是海德格的特殊用語。一般的中文翻譯採取「去蔽」或「非蔽」的翻譯，但是，這與海德格的理解之間有實質的差異。所謂的「蔽」是遮蔽或掩蔽，例如，我們用書本放在信封的上面，所以，我們掩蔽、遮蔽或隱蔽這封信封；我們是信封被掩蔽的原因與行為主體。在意義上，掩蔽或遮蔽是一部份不見，例如「一言以蔽之」，這句話的意思是：我們用一句話掩蓋所有的解釋與說明。但是，「隱藏」是全面性的，換句話說，全部都看不見。其次，在海德格的解釋中，「存在」隱藏自己，所以，在「存在」之外，並沒有任何更高的主體、智慧或造物主。

[35] „Das Kunstwerk eröffnet auf seine Weise das Sein des Seienden. Im Werk geschieht diese Eröffnung, d. h. das Entbergen, d. h. die Wahrheit des Seienden. Im Kunstwerk hat sich die Wahrheit des Seienden ins Werk gesetzt." Heidegger, *Holzwege*, S. 28.

藝術家的「自我理解」反映一個不同的角度，但是，只有在一個「共同的世界」（die Mitwelt）中，觀眾眼中的生命彩繪才可能得到回應的閃爍。或者，我們可以說，藝術家與觀眾的關係是人與人之間的關係，同時，當「存在的光」照耀的時候，藝術品的「真理」將照亮人的關係。在藝術品中，觀眾必須面對藝術家的「自我理解」，但是，在藝術家的眼中，藝術品是觀察「自我理解」反射出來的一面鏡子。這是「自我」與「非自我」之間、「真實」與「非真實」之間的爭論。當一件藝術品出現這樣的爭論時，那麼，這件藝術品就是一件傑作。

「在這裡，到底發生什麼事情？什麼是作品中的作品？梵谷的畫像是一種『器物』的『開啟』；這個『器物』在『真理』之中，同時，它是一雙農夫的鞋子。這個『存有者』將邁向他的『存在的非隱藏性』。」（Was geschieht hier? Was ist im Werk am Werk? Van Goghs Gemälde ist die Eröffnung dessen, was das Zeug, das Paar Bauernschuhe, in Wahrheit ist. Dieses Seiende tritt in die Unverborgenheit seines Seins heraus.）[36] 海德格將「存有者」的「非隱藏性」（die Unverborgenheit）[37]稱為「真 — 理」（*A-letheia*，這是海德格的特殊用語。在希臘文的字面意思中，（letheia）是隱藏的意思，其次，（A）則是否定，所以，他將「真理」解釋為「非—隱藏性」）。在藝術品之中，「真 — 理」可以創造「存在經驗」與「顯示」的作品，讓藝術家發現真實的自己，然後，從藝術創造的經驗體現出「真 — 理」的經驗。其次，「真 — 理」的形塑是「非真」到「真」、「隱藏」到「顯現」的過程。此外，當一件藝術品必定是一件成功的傑作時，藝術品的「真理」將榮耀藝術創作的整體性。海德格認為，傳統形上學的「真理」是「存在的隱藏性」（die Verborgenheit des Seins），換句話說，形上學的理性取代「存在」的思考，所以，在傳統的「真理」觀念中，「存在」是被隱藏的。

但是，「真 — 理」的實現代表一種思想的解放，「存在」的解放展現在藝術品的創作過程；這是「存在的經驗」。「存在的經驗」包括藝術家與藝術品的整體過程；藝術家如何將內心波動變成創作的動機，然後，將動機轉化為具體的藝術品，其次，藝術品如何從原本沒有形體的物質轉化為展現「存在經驗」的具體作品；從創作動機到作品的完成的過程，「存在的真理」會在每一個環節進行整體的整體實現，因此，每一個階段都是部分的「真理」實現，這時候，轉化是一種「突破」（der Ausschlag）。對藝術家來說，成功的作品代表一種突破，因為，它表達「自我理解」的完整性，但是，在「存在意義」上，突破已經設定一個新的突破；這是重新創作的原動力。事實上，我們可以找到許多相同的例子，例如登山探險家。當一個探險家攻上一座高山的巔峰，在他的內心中，挑戰另外一座高峰的熱血已經開始沸騰。在這裡，海德格試圖說明一項事實：當我們的問題是藝術品的「起源」的時候，這個問題的對象並不是美的觀念。在傳統現象學的思維中，美的觀念代表美學概念的「現有性」（das Vorhandensein），換句話說，在形上學家的眼中，想像的蒙娜麗莎必須比實際的畫像更美，因為，想像圖像的觀念是最美的「實體」（die Substanz）與「外觀」（eidos）。但是，藝術品的「起源」牽涉的問題是藝術的「本質」（das Wesen） — 在藝術品的創作過程中，藝術與

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[36] Heidegger, Ibid. S. 25.
[37] 一般中文翻譯為「無蔽」；這個翻譯出自儒家的「聖人無蔽」，但是，海德格的理解並沒有這樣的意思。

藝術家的「起源」必須得到「彰顯」。基本上，當藝術家的熱情將不斷湧現時；這是「存在經驗」的「跳躍」（der Sprung），換句話說，兩者的「起源」是「存在經驗」的解放，其次，當「存在的經驗」是解放的時候，那麼，「真 — 理」就不是隱藏的。所以，在討論藝術的「起源」時，藝術代表「真 — 理」的「最原始的跳躍」（der Ur-sprung）.

依據海德格的理解，什麼是藝術的「本質」？我們可以利用的「真理」的實現解釋這個問題。在這樣的脈絡下，作為藝術的創造，人的行為包含兩個不同的層次：首先，人的行為可以創造「存有者的彰顯性」（die Offenbarkeit des Seienden）；這是「存有者」的「事實性真理」（die ontische Wahrheit），在這樣的「真理」的脈絡中，像藝術品被藝術家創作出來一樣，「存有者的彰顯性」讓自己被形塑出來；例如米開朗基羅的聖母像。石頭雕像的人物是聖母；這是「存有者的事實性」，但是，雕像表現聖母的血肉與氣魄；這是「存有者的彰顯性」。但是，在另外一方面，「存有者的真理」結合人的創造力。在藝術品誕生的時刻，藝術家將他自己的「此—在」（das Da-sein）呈現在人們的眼前。在這裡，「此—在」的「所在」（das Da）是一個地方「場所」（der Ort）；這是「真理」得到整體「彰顯」的「場所」。我們可以用藝術品作為例子，在藝術史上，米開朗基羅的聖母像具有重大意義，但是，當藝術家完成作品之後，他的創造必須繼續下去，因為，聖母像並不是創造的整體，相反地，這一件藝術品的完成只是創造的另外一個起點；從這個起點開始，人的創造必須超越自己，朝向最真實的自己前進，最後，回歸到最完整的自己。跟死亡現象一樣，人的藝術創作是人性的運動，所以，「此—在」的「所在」是人性運動行進的方向，換句話說，人性的運動一直往最真實「所在」不斷邁進，可是，在另外一方面，「此—在」的「所在」也往我們的方向前進；這是一個雙向運動，但是，我們無法精確掌握這「所在」的定點。[38] 我們可以用藝術家作的生命為例子。對絕大多數的藝術家來說，當他們的藝術還沒開始之前，藝術的生命就已經結束了。有些人一生中有一兩件成功的作品，但是，只有少數人的藝術生命可以超越他們的肉體，在死後，繼續「彰顯」最真實的「真理」，因為，他們的藝術品榮耀「存在的真理」，同時，這個「真理」將帶領我們回到人性的「起源」。在海德格後期的論述中，他將藝術的永恆稱為「跳躍」，因為，它超越藝術家的有限生命，將人性的圖像帶到一個新的開始 — 這個開始是「歷史不同軌道的開始」（der Beginn einer anderen Bahn der Geschichte）。[39]

在這裡，我們想再次檢視藝術與「存有者的真理」之間的關係。

在《存在與時間》，海德格曾經解釋，在「器物」的脈絡關係中，世界將宣告自己，其次，在上述的脈絡中，人們必須依據「器物關係」（der Zeugzusammenhang）的整體功能性，使用「器物」，不過，世界的「自我宣告」並不是「世界的發生」（das Weltgeschehen），相反地，藝術品的創作卻是一種的「世界的發生」；在藝術品創作的過程中，「世界的發生」將「彰顯」（offenbaren）「存有者的存在」。依照海德格的理解，藝術的創造將明確表達「世界的發生」，同時，藝術創作將顯示一個「場所」，在這個場所中，一個精神的

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[38] Heidegger, *Holzwege*, S. 85. 高達美嘗試用「美的觀念」（der Idee des Schönen）解釋「超越」（die Transzendenz）。在這樣的脈絡下，高達美認定，「美的事物」（das Schöne）是「生命力的提升」（die Steigerung der Lebenskraft）。

[39] Heidegger, *Beiträge zur Philosophie*, S. 12.

世界即將崛起。舉例說，美術館是展覽藝術品的「場所」，但是，展出的藝術品有一個特定的組合與整體意義；每一件藝術品都有自己的位置，不過，不同藝術品的整體組合彰顯「世界的發生」，其次，當藝術品的組合代表一個精神世界時，在精神世界的整體顯現下，每一件藝術品的不同價值地位將得到明確的顯現與確認，換句話說，我們將美術館等同一個精神世界的呈現，同時，在這個「世界的發生」之內，「存有者的存在」將「彰顯」自己，此外，這也代表，在一個崛起的精神世界中，每一件事物都必須贏得自己的價值，因此，美術館本身就是一件藝術品。

在這個地方，我們還可以列舉一個例子。當人們聽到街上汽車的喇叭聲時，一般人會認定，喇叭聲是噪音；基本上，噪音與音樂的音律之間有很大的差距。可是，如果有一位作曲家將噪音編寫進樂曲的「世界發生」之後，在各種不同的組合下；組合包括不同曲調、樂器與表演人員之間的反差、配合與協調，在這一刻，噪音本身就是音樂的元素。因此，在樂曲的編排下，噪音、不同的曲調、樂器、演奏家與聽眾呈現間有不同的實質關係，此外，噪音的經驗將昇華為音樂的「存在經驗」，在這時候，我們「發現」，一首新的樂曲蛻變為「世界的發生」。在這樣的樂曲中，噪音「彰顯」它的「真理」，換句話說，它不只是日常生活的汽車噪音。

海德格認為，藝術品與藝術家的「起源」都是藝術，其次，「起源」是「本質的出生地」（die Herkunft des Wesens）；只有在這個地方，「存有者的存在」才能「彰顯」自己。[40] 基本上，藝術創作是一個漫長的過程，在這個過程中，藝術家不斷地尋找真正的「自己」（das Selbst），但是，只有在一件成功的作品中，我的「自己」才能得到真正的認同。什麼是成功的作品呢？它必須經過「真理的實現」，所以，一件作品如何成為一件真正的作品？海德格告訴我們，那是「演進的方式」（die Weise des Werden）與「真理的贈與方式」（die Weise des Geschenkens der Wahrheit），此外，在作品的「本質」之中，我們可以找到所有的東西。[41] 在這裡，藝術的創作代表「世界的崛起」（der Aufgang der Welt），同時，在「存在意義」上，它與「真理」有密切的關係，因為，「真理」伴隨「光」的經驗，然後，改變人與「存有者」之間的關係；「存有者」包括「物」、他人與自己。[42]

在討論人與「存有者」之間的「本體性關係」時，我們作這樣的陳述：藝術品的「起源」開創人與「存有者」之間的「開放性」（die Offenheit）。在藝術品的「開放性」之中，人與「存有者」可以自由相遇。人與「存有者」之間的相遇有一個先決條件：「存有者」必須是沒有隱藏的。海德格認為，「非隱藏性」（die Unverborgenheit）的「本質」屬於「存在」的一種方式，其次，「存在」將促成「開放性」空間的形成；海德格稱「開放性」為「所在的闡明」（die Lichtung des Da）。為什麼海德格必須強調「開放性」的重要性？

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[40] „Der Ursprung des Kunstwerkes und des Künstlers ist die Kunst. Der Ursprung ist die Herkunft des Wesens, worin das Sein eines Seienden west." Heidegger, *Holzwege*, S. 46.

[41] „Das Werkwerden des Werkes ist eine Weise des Werdens und Geschenkens der Wahrheit. In deren Wesen liegt alles." Ibid. S. 49.

[42] 比較：W. Biemel, *Zur Erfahrung von Heideggers Dasein- erläutert am Wandeln des Begriffs der Existenz in „Sein und Zeit" und in „Brief über Humanismus".* In: R. Wisser (Hg.), *Martin Heidegger-Unterwegs im Denken*, S. 69. 在 Biemel 的解釋中，「自我理解」是人與動物之間的差別，其次，只有在「自我實現」（Verwirklichung des Selbst）的過程中，「自我理解」才能得到真正的實踐與落實。

在傳統的認知途徑與方法中，當我們將「存有者」視為「客體」的時候，「存有者的存在」是隱藏的，換句話說，我們只能從客觀的「外表」（das Aussehen）進行理解，「外表」的理解是受限制的，基本上，它屬於封閉的「主體性」，所以，它的「存在」是無法「彰顯」的。在海德格的理解中，「存在」是一道光，同時，「存在的光」（das Licht des Seins）的闡明下，「存有者」可以「彰顯」自己，所以，它就不是隱藏的，因此，「存在之光」是「開放性」，同時，在「開放性」中，每一個「存有者」都將提升自己；從「隱藏性」的「實體」提升為「顯現」的真實。[43] 在這個地方，我們必須再次強調「光」的經驗：「光」的經驗闡明「真理」的意義，然後，重新建構「存有者」的「真理」。在這裡，「真理」是「開放者的開放性」（die Offenheit des Offenen）。其次，對「真理」的建構來說，她創造的生活空間可以回溯到人的「存在方式」；人不但是「在世界內的存在」，事實上，在本體論的意義，他也是「世界的建構人」（der Weltbildende），換句話說，在「存在」的意義上，人創建一個開放的空間，同時，在這個空間中，不管哲學、歷史、藝術或其他的科學，這些知識都是思考的途徑、方法、過程與結果。 此外，當思考蛻變為一個開放的生活空間時，「存有者」可以「彰顯」自己「存在」；它不再是隱藏的，這時候，人與「存有者」的相遇才是真實的。

　　當「世界」崛起時，「世界」是「工廠」（der Werkstatt）與藝術品之間的差異。我們可以利用兩者之間的差異，作為一個說明的例子。人們可以建造一間神廟，但是，單純的四面牆無法變成真正的神廟，因為，當眾神無法進駐這棟建築之內的話，這棟建築就不可能成為神廟。眾神是否居住在這棟神廟的建築裡頭，這不是建築的設計藍圖可以決定的。在我們的理解下，眾神的進駐與居住是「世界發生」的「真理」，換句話說，眾神的「真理」照耀神廟的形體；這棟建築為神聖的居所「開放」自己，它的「開放」造就神廟的「神聖」。所以，海德格說：藝術是確定與鞏固「自我建構的真理」（die sich einrichtende Wahrheit），同時，它的鞏固必須在「形體」上顯現出來（Kunst ist das Fest-stellen der sich einrichtenden Wahrheit in die Gestalt.）。[44] 神聖的「真理」為「存在信仰的原鄉」（der Heimat des Seinsglaubens）奠定基礎，其次，這個原鄉與人之間的聯繫將打造一個人性的家園。神聖的「真理」為 「存在信仰的原鄉」奠定基礎，同時，在奠基的過程中，「存在」與人的關係將彰顯人性中最原始的「歸屬感」（die Zugehörigkeit）。舉例來說，在神廟或教堂裡頭，當人們為自己最原始「罪業存在」（das Schuldsein）懺悔時，他們將收到一項訊息；這項訊息將照亮與指引「人性存在的去處」（das Woraufhin der Existenz）；因為，這項訊息是「真 ─ 理」的指引，所以，我們可以說：「存在的闡明」創造人的「新生」（die neue Geburt），其次，人的「新生」來自眾神的「顯現」（das Anwesen）。這時候，神廟的燦爛與光輝代表：在「世界的發生」中，眾神的「顯現」彰顯「存有者」的「非 ─ 隱藏性」（die Un-Verborgenheit），換句話說，「世界的發生」是「神聖的發生」，同時，在這個神聖世界上升的過程中，人不斷追尋真正的自己，同時，

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[43] „Nur dieses sei angemerkt, daß, wenn das Wesen der Unverborgenheit des Seienden in irgend einer Weise zum Sein selbst gehört (vgl. Sein und Zeit § 44), dieses aus seinem Wesen her den Spielraum der Offenheit (die Lichtung des Da) geschehen läßt und ihn als solchen einbringt, worin jegliches Seiende in seiner Weise aufgeht." Heidegger, *Holzwege*, S. 49.

[44] Heidegger, Ibid. S. 59.

他必須向自己作最真誠的告解。

肆 結論

事實上，有關藝術起源的討論可以分為下列幾個階段：1. 藝術家得到真正的創作動機。2. 在創作的過程中，藝術家發現真實的自我與藝術品的「真理」。3. 當藝術品完成後，創作的「真理」與起源得到真實的呈現。4. 當觀眾觀賞藝術品的時候，內心浮現真實的喜悅與感動：這時候，觀眾是一個不同的藝術家 — 他是「生命藝術家」（der Lebenskünstler），因為，他內心感動的「存在經驗」可創造一條不同的生命道路。

這幾個環節有一個時間的共同點 — 這個共同點就是「此刻」。不管傳統的形上學或海德格的存在思想，「此刻」代表時間的「永恆」（die Ewigkeit)，可是，他們對「永恆」卻又完全不同的理解。

「此刻」是哲學的「發生」（das Geschehen）。傳統的形上學認為，當哲學的「發生」是一種「驚 — 奇」（das Er-staunen）；這是哲學的「第一個開始」（der erste Anfang），[45]同時，這是希臘哲學的源流。在希臘哲學崛起的時候，「驚 — 奇」創造哲學的「此刻」與一條永恆的道路，同時，在這條道路上，人的思想可以超越有限的生命，達到精神的「永恆」；這就是「絕對精神」（der absolute Geist）。不過，海德格認為，當我們放棄歐陸形上學的思考時，哲學的「此刻」是真實的「存在經驗」，它將帶領人類邁上一條不同的道路；這是哲學思想一個「不同的開始」（ein anderer Anfang），因此，海德格說，哲學的「發生」是一種「預感」（das Er-Ahnen）。事實上，海德格對「超越」（die Transzendenz）有不同的解釋：「此在」就是「超越」，因為，他超越所有的「存有者」，同時，這是一條邁向「存在的真理」的道路。這部份屬於海德格後期的哲學思想。在這裡，我們無法作完整的論述。但是，我們可以重新整理「此刻」的意涵。

在我們的「存在經驗」中，「此刻」有四個環節；它們是「開始的開始」、「開始的結束」、「結束的開始」與「結束的結束」在《查拉圖斯特拉如是說》（ Also Sprach Zarathustra ）中，尼采曾經用三首詩歌描述「此刻」的不同環節；這三首詩歌是〈夜歌〉（Das Nachtlied ）、〈舞曲〉（Das Tanzlied ）與〈墓曲〉（Das Grablied）[46]〈夜歌〉是深夜的生命訊息，最後的〈墓曲〉是意志創造的「復活」（die Auferstehung）。尼采說：上帝死了。海德格說，哲學已經結束了，[47] 所以，我們應該放棄傳統的歐陸思想，為「存在」思想開創一條不同的道路，因此，他訴求一個「不同的的開始」。在這裡，我們發現，不管尼采或海德格，他們的論述有一個共同的起點；這起點是「此刻」的最後一個環節 — 「結束的結束」，其次，哲學的未來與宿命則是從「結束的結束」跳躍到「開始的開始」，但是，事實上，「結束的結束」就是「開始的開始」，換句話說，「存在」的「發生」已經鋪設一條人性的道路。所以，海德格認為，對哲學的最原始發生來說，「此刻」是「人性的抉擇」（die Entscheidung über den Menschen），換句話說，他必須為歷史或「非歷史」（die Ungeschichte）作出一個抉擇；所謂的「非歷史」代表一條從「崛起」（der Aufgang）到

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[45] Heidegger, *Beiträge zur Philosophie*, S. 20.

[46] Friedrich Nietzsche, *Werke in drei Bänden*, S. 362-369.

[47] Heidegger, *Zur Sache des Denkens*, S. 61-80。

「崩解」(der Untergang)的歷史與道路。[48]

基本上，在人類文明的演化過程中，人們常常將神廟視為偉大的藝術品。眾神的「顯現」可以喚醒人們內心最神聖的喜悅，所以，「喜極而泣」常常是內心流露的現象。從「喜」到「泣」是相同的「存在經驗」，可是，在情感的表現上，這是一個階段跳躍到另外一個階段。但是，神廟的意義並不在它的藝術價值在《哲學集注》（Beiträge zur Philosophie）中，海德格對「存在經驗」的「跳躍」作不同意義的引申：「跳躍」是「決定性的跳躍」（der entscheidende Sprung），其次，這個「跳躍」決定眾神的降臨或遠離，同時，對「此在」來說，眾神的去留代表贊成或反對「此在」自己。[49]

當人們為眾神蓋一座神廟的時候，事實上，人們是建造眾神的「住所」── 這個「住所」是「真理的所在」（das Da der Wahrheit）；這應該是「神 ── 明」的地方。可是，他們卻不知道，眾神是否會居留在這個「住所」。因此，信仰需要神跡，證明眾神的降臨。神跡是創造的「驚 ── 奇」；「驚 ── 奇」讓人們的信仰感染神聖的氣息，其次，人們的信仰行為則是一種「守護」，他守護神廟的神聖氣息，迎接眾神的親臨。

可是，當神廟被摧毀或信仰消失之後，眾神必須離開他們的「居所」，舉例來說，眾神們不再居住在希臘的奧林匹亞，或者，雅典娜神廟成為殘破的神殿，所以，在《歡愉的科學》（Die fröhliche Wissenschaften）中，尼采說：上帝已經被推翻了，教會變成一座「崩解的城市」（die Stadt des Untergangs）。[50] 這時候，眾神將「遺棄」人類。這是真實的「存在經驗」。事實上，當我們可以體驗「結束的結束」時，我們才能理解，「存在的真理」有一段過去人類不曾察覺的歷史；這段歷史是「存在的遺棄」（die Seinsverlassenheit），其次，依照海德格的說法，形上學的出現是「存在的遺棄」衍生的必然結果。當我們被「存在」遺棄之後，我們就深處在一個危機的處境 ── 在這個關鍵時刻，我們必須為自己的「存在」作一個抉擇。我們的「此 ── 在」是一種「預 ── 知」。「預 ── 知」將帶領人性的運動，邁向一個完全不同的「開始的開始」 ── 這是邁向不同開始的意志；這是一個邁向不同力量的意志，所以，海德格認為，「邁向力量的意志」是一種藝術藝術（der Wille zur Macht als Kunst）。

「我們必體驗與抵抗眾神的逃難。這項事實是 『事件』；這個『事件』的基礎是最遙遠的最近距離。這個『事件』是『原存在的真理』。」（Die Flucht der Götter muss erfahren und ausgestanden werden. Dieses Beständnis gründet die fernste Nahe zum Ereignis. Dieses Ereignis ist die Wahrheit des Seyns.）[51]

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[48] Heidegger, *Beiträge zur Philosophie*, S . 32.
[49] Heidegger, *Beiträge zur Philosophie*, S. 26.
[50] Friedrich Nietzsche, *Werke in drei Bänden*, S.229-232.
[51] Heidegger, *Beiträge zur Philosophie*, S. 27。在《哲學集注》中，海德格將「原存在」（das Seyn）與「存在」（das Sein）之間進行區分，不過，人類未曾經驗「原存在」的事實，在翻譯上，我們作這樣的處理。

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Dialogue, Wit, and Judgment in "An Essay on Criticism" by Alexander Pope[*]

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Abstract

In "An Essay on Criticism," Alexander Pope intends to propose an ideal relationship between wit and judgment: both derive their light from Nature, and wit must yield to the reign of judgment or critical rules because it may transgress the Nature-set boundary, fly without restraint, and consequently disturb the harmony in Nature. However, Pope neither renders wit and judgment in a consistent and stable relationship, nor submits his wit to judgment. In terms of the Bakhtinian dialogism, both wit and judgment work like the centrifugal force and the centripetal respectively, and Pope's artistry demonstrates their dialogic relationship—not that wit must always follow judgment, but that both must moderate each other in continual negotiation. In the following discussion, I will first of all discuss the features of wit, and study the voices of the attackers and the defenders of wit before Pope. In the next section I will point out Pope's incorporation of those contradictory voices: sometimes he exalts judgment above wit in importance, but sometimes he glorifies wit more than judgment. It is impossible to judge "objectively" in such a condition; moreover, the fluidity of taste and the unreliability of reason also contribute to this impossibility. His wit "betrays" reason and judgment so much as to upset the stability of the Great Chain of Being. Although Pope claims to follow reason, he is also fascinated by Timotheus's manipulation of audience's emotion, and he may criticize with "the spontaneous overflow of powerful feelings." Wit in Pope's artistry works indeed as a subversive, norm-defying force; its continual conflicts with judgment manifests that dialogue, not Nature, truly governs their relationships.

Keywords: Alexander Pope, "An Essay on Criticism," Bakhtin, dialogue, wit, judgment

波普《批評論》中之對話、才思與批判[*]

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摘要

　　波普提出「才思」（wit）與「批判」（judgment）之間的理想關係：二者皆從「天道」（Nature）承受恩澤，而「才思」必須受制於「批判」或批評法則，否則創作必然踰矩，破壞天道和諧秩序。然而波普對「才思」與「批判」的論述，前後並不一致，波普自己的「才思」也並未服膺「批判」。以巴克汀對話理論觀之，「才思」有如「離心力」，而「批判」則有如「向心力」。波普之文藝表現，彰顯二者的對話關係：並非「才思」一味屈從於「批判」，乃是雙方不斷彼此修正、挑戰。為了進一步探討二者關係，文中首先找出波普時代之前貶損和維護「才思」的兩派意見，接著指出波普在《批評論》中如何容納這兩種相左意見：有時「批判」顯得比「才思」重要，有時卻正好相反。客觀批判在這種情況下實不可能；此外，品味變異不定，以及波普對「理性」的非議，造成所謂客觀批判更難達成。波普的「才思」不遵「理性」和「批判」，甚至於破壞了「存有大鏈」（the Great Chain of Being）的神聖性。儘管波普宣稱遵從理性，他卻對提摩西阿斯（Timotheus）操弄人的情感，十分著迷，而且他批判時，常常流露出「強烈情感的自發湧現」。「才思」在波普手法中充滿顛覆性，而其和「批判」不斷衝突，實說明了「對話」才是二者真正的遵循法則，並非「天道」。

關鍵詞：波普、《批評論》、巴克汀、對話、才思、批判

> Whether he thinks too little or too much;
>
> Chaos of thought and passion, all confused . . . . ("An Essay on Man" 2.12-13)

I.   Introduction

A. Wit and judgment: Their assumed harmony and actual clash

Under the reign of Nature, Alexander Pope believes, the whole universe should operate in harmony. This harmony also supposedly prevails in literature—especially in the relationship of wit and judgment. Both are treated in "An Essay on Criticism" as equals with different functions: "Both must alike from Heav'n derive their light, / These born to judge, as well as those to write" (13-14)[1]. An ideal critic must "read each work of wit / With the same spirit that its author writ" (233-34). Following Horace, Pope may agree that wit and judgment "are but different avatars of the same spirit . . ." (Stephen). This "same spirit" refers to Nature, and their ideal collaboration, theoretically speaking, can reveal the universal power of Nature.

Poets and critics are endowed with different capabilities, while they must cooperate to highlight Nature. The harmony of wit and judgment is emphasized in their mutual help—they "meant each other's aid" (83), not that one is inherently inferior to the other; each has the divine light bequeathed by Nature. Their mutual dependence is implied in Pope's description of the ideal universal order: God framed the whole universe, and the "mutual happiness" of all beings depends on their reciprocal assistance ("An Essay on Man" 3.109-12); "the world's great harmony" comes from "order, union, full consent of things" ("An Essay on Man" 3.295-98). Disputes and conflicts are essentially either alien elements to the ideal universe, or "harmony not understood" ("An Essay on Man" 1.291). In Arnold's words, critical power must "make an intellectual situation of which the creative power can profitably avail itself," and "the creation of a modern poet . . . implies a great critical effort behind it"; romantic poetry, despite its dazzling wit, appears "premature" because it lacks the power of judgment ("Function" 593). The cooperation of wit and judgment can demonstrate the best that has been known and thought in the world.[2]

However, Pope's lament for the "[c]haos of thought and passion" contradicts on the one hand his glorification of Nature as the everlasting omnipotent power of the universe, and on the other hand his assertion that all discord is "harmony not understood" ("An Essay on Man" 1.291). Such chaos necessarily disturbs creativity and criticism, and even breaks their presumed harmony. The tension between wit and judgment is too evident to be denied: Plato points out "an ancient quarrel between poetry and philosophy"[3] (361), a quarrel that roughly parallels that between wit and judgment; Burke announces that "a perfect union of wit and

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[1] All quotations from Pope in this paper, unless marked specifically, are taken from "An Essay on Criticism."

[2] Arnold also argues that judgment, or "real criticism," "obeys an instinct prompting it to try to know the best that is known and thought in the world . . ." ("Function" 596). He would agree with Pope that human beings are born to judge, and that judgment should not violate human nature—consequently wit and judgment must work in harmony. ("Function" 596-97).

[3] Quotations from Plato's works, unless marked specifically, are all taken from *Republic*.

judgment is one of the rarest things in the world" (17), and that judgment is always "throwing stumbling blocks" to wit (24). In the eighteenth century, especially in the works of Lessing and Kant, wit "has no place in aesthetic judgment" (Corngold 461). Arnold grieves over the popular idea of "the inherent superiority of the creative effort of the human spirit over its critical effort" ("Function" 592). Wit has frequently been blamed and distrusted, and judgment seemed to be preferred because of its reliance on reason.

In his observation of contemporary cultures, Pope recognizes that "critic learning flourish'd most in France" (712), while Britons defied the restraint of critical rules and preferred "the liberties of wit" (717), and only very few people follow those rules ("Martinus Scriblerus" 346)—a recognition which Arnold ("Function" 592) and Eliot (761) also echo. In other words, critical rules, so-called "Nature methodized" and the standard for judgment, were not universally accepted, while wit and judgment warred all the more fiercely in England. Their obvious conflicts render Pope's description of their assumed harmony ambiguous and problematic, and consequently challenge the prevalent power of Nature. Their conflicts deteriorated in the later generations: under the threat of philosophy and theory, western literature "has become pallid, laden with despair, self-indulgent, and disconnected" (Christian 2257). Theory in the twentieth century "helps determine whether we are hired or promoted in academic institutions—worse, whether we are heard at all"—accordingly, critics have displaced writers and considered themselves the center, while creative writers resist the language of critics (Christian 2257). The peaceful, constructive cooperation of wit and judgment becomes nothing but an empty dream.

Pope compares wit and judgment to a married couple (82-83). Their "marriage" serves as a model of social practice applicable to understanding wit (Morris 27). This simile can be considered in the Christian context: a wife must submit to her husband since "the husband is the head of the wife, even as Christ is the head of the church: and he is the savior of the body" (Ephesians 5: 22-23; cf. 1 Corinthians 7: 39; Colossians 3: 18; 1 Peter 3: 1). A perfect artist, in other words, can balance energy and order "in a synthesis of *concors discordia*" (Steiger 13)—wit carries energy, while judgment imposes order; an ideal poet can unify both and create order out of disorder. In reality, as Pope's simile goes, their conflicts burst out so frequently that they often discard the harmony bestowed by Nature:

> A muse by these is like a mistress used,
>
> This hour she's idolized, the next abused;
>
> While their weak heads, like towns unfortified,
>
> 'Twixt sense and nonsense daily change their side. (432-34)

Such conflicts emerged when Zoilus denounced Homer (464-65), and when Blackmore and Milbournes attacked Dryden (463). The "weak heads" of poor critics, apparently untouched by Nature, frequently change their opinions and confuse their readers. Nevertheless, Pope still believes that both must rely on each other in order to glorify Nature, and that the ultimate harmony may reside beyond their disharmony.

B. The failure of Nature to guide wit and judgment

Nature in "An Essay on Criticism" is glorified as the ultimate guide for art and criticism—"Life, force, and beauty must to all impart, / At once the source, and end, and test of Art" (72-73). She is unchanged, unerring, and deified: she shines eternally as the alpha and omega of Art, and *must* bestow "[l]ife, force, and beauty"—the essential elements of creativity—on all artists and critics. Pope proposes "the old idea that as God gives being to beings, so He makes causes to be causes, and thus grants to them the ability to participate in His power" (Mason 152). Her universality is not allowed to be denied or doubted: all people have "the seeds of judgment in their mind" because Nature sheds "a glimm'ring light" on them (20-21); "Art from that fund each just supply provides, / Works without show, and without pomp presides" (74-75). In addition, the concept of Nature presumes "an ordered hierarchical conception characteristic of both the universe (the great chain of being) and of society" as well as of literature and literary theory (Jackson 108).

Pope inherited the critical tradition of western poetics, and intended to develop an all-embracing and systematic theory, which is manifested in his apotheosis of Nature. His worldview and philosophy presume an ordered universe: "See worlds on worlds compose one universe, / Observe how system into system runs, / . . . / May tell why heav'n has made us as we are" ("An Essay on Man" 1.24-25, 28). The Great Chain of Beings, upheld by God, "draws all to agree" ("An Essay on Man" 1.33-34). Likewise, systematic poetics must be formulated and taken for granted. With the ambition to construct such poetics, Pope was "the last great Renaissance poet, the last poet to speak from an enviable sense of real authority in the country" despite his handicaps and marginalization (Woodman 2). However, such an ambition incurs theoretical problems for Bakhtin. "In the literature of classicism and the Enlightenment a special type of aphoristic thinking was developed, that is, thinking in separate rounded-off and self-sufficient thoughts which were purposely meant to stand independent of their context" (*Problems* 96). The "organic poetics of the past—those of Aristotle, Horace, Boileau—are permeated with a deep sense of the wholeness of literature and of the harmonious interaction of all genres" (Bakhtin, "Epic and Novel" 5). The high genres present "a single and unified world view" (Bakhtin, "Epic and Novel" 35). This "wholeness of literature" and the "single and unified world view" in "An Essay on Criticism" allegedly derive from the "harmonious" influence of Nature. Pope's translation of *Iliad* also impresses his readers with "representative, stable truthfulness to Nature" (Brower 130). Nature supposedly presides over Pope's poetry and the "official" culture of the neoclassical England as well.[4]

Nature, however, does not actually promote the harmonious cooperation of wit and judgment. Despite her universal influence (73; 400-01), both capabilities are rarely found to

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[4] For the further discussion of Popean Nature with regard to his dialogic artistry in "An Essay on Criticism," see Zhang.

co-exist peacefully (11-12; 643-44). Pope even recognizes their unpreventable conflicts: as writers are partial to their wit, so are critics to their judgment (17-18); prejudicial judgment prevails (394-97). He scorns the followers of John Duns Scotus and Thomas Aquinas because they always quarreled for some theological issues (444-45). Writers like Homer and Dryden, he also bewails, are always denounced in all generations. Horace was often abused by "wrong quotations" of British critics (664). Very few critics can judge wits fairly (494-507), and wits must always endure judgment from ignorant critics (508). Writers fight against each other even though they have acquired prominent positions (514-19). Hume, Pope's contemporary, also bemoans that very few people are qualified to judge work of art because good sense and delicacy rarely exist in critics (313). Pope condemns such conflicts, an act which simultaneously ridicules his statement: "Whatever is, is right" ("An Essay on Man" 1.294). If the chaotic status quo can always be justified in the ultimate faith in Nature, then Pope's condemnation of the wit-judgment conflicts lacks *raison d'être*. He intends to silence those who question the validity of God's creation—"Cease then, nor order imperfection name; / Our proper bliss depends on what we blame" ("An Essay on Man" 1.281-82)—yet Pope never ceases to attack "false" critics and "half-witlings." His interaction with Dennis and Cibber manifests his participation in the war between wit and judgment. Nature actually did not bestow harmony on Pope's judgment of the wit of his enemies. Nonetheless, he does not justify his self-contradiction; moreover, his attacks of the "imperfect" status quo proclaim "Whatever is, is to be continually re-examined."

C. **The attempt to discuss the wit-judgment relationship from Bakhtinian dialogism**

"An Essay on Criticism" highlights Pope's endeavor to "regulate" the proper relationship between wit and judgment. Yet his "regulation" complicates the problem all the more. No "reasonable" formulation can satisfactorily pin down their relationship once for all. Thus I endeavor to probe into this issue in the light of the Bakhtinian dialogism. First of all, I intend to explore briefly the features of wit and the indefinite relationship of wit and judgment: before Pope, some critics attack wit, but some defend it—while he incorporates both contradictory voices in "An Essay on Criticism." Then I will discuss Pope's ambiguous illustration of their relationships: sometimes judgment is supposed to restrain wit, but sometimes wit is rendered superior to judgment. In addition to such an unstable relationship, objective judgment becomes an impossible ideal because of the fluidity of taste and the unreliability of reason. Pope's ambiguous argument also violates the stability of the Great Chain of Being, and dialogue—not Nature—prevails in the tension between wit and judgment. In Bakhtinian terms, wit acts like a centrifugal power, whereas judgment works as a centripetal force. They do not remain static in a stable universal order; their "conflicts" neither cancel each other out, nor exalt one above the other in importance, but manifest their dynamic "dialogue."

II.   The ambiguous and conflicting relationships of wit and judgment

A. The qualities of wit

While considering the wit-judgment conflicts, Pope never blatantly blames the latter; moreover, he affirms the necessity of restraining wit by judgment in composing poetry (84-87)—an affirmation which seems to imply that "problems" of deviating from Nature and of disharmony arise from wit. Therefore, the qualities of wit demand our attention first.

Wit was a prominent value for Pope and his contemporaries. He believes that "[t]rue Wit is Nature to Advantage drest" (297). Once it works in art, wit can display the life-giving force of Nature (76-79). It can express the common and universal truth ingeniously, but not create original ideas (298). Its truth "give[s] us back the image of our mind" (300). True expression of wit, "like th'unchanging sun, / Clears and improves whate'er it shines upon" (315-16). Dryden defines wit as "a propriety of thoughts and words" ("Author's" 2131); that is, it enables writers to place proper words in proper places with proper prosody. Witty conversation in the neoclassical age was not the spontaneous overflow of unformulated thoughts and feelings; rather, an ideal conversation was characterized by its solid organization, witty eloquence, and graceful ease. Wit alone, Dryden seems to indicate, carries the self-regulatory capability and needs no "censorship" from judgment—an indication that Pope evidently either neglects or negates. Nature demands such "propriety" and anticipates its universal influence. Therefore, wit should bear a positive image and exerts positive influences on readers.

The meanings of wit, nonetheless, are too elusive and multiple to be pinned down exactly. It is "sometimes equivalent to intelligence in general, sometimes to the poetic faculty, and sometimes to the erratic fancy . . ." (Stephen). It is a dynamic force—for Ezra Pound, Pope's wit is like "dance of the intelligence among words and ideas" (424), a unique language competence. For White and Tierney, it refers to "a liveliness, a brightness, a creativity" (28)—these qualities run counter to stability and closedness. In Pope's description of wit, on the one hand, the "general order" "[i]s kept in nature, and is kept in man" ("An Essay on Man" 171-72)—a declaration of the universality of Nature and of wit as well. On the other hand, Pope also believes that some people cannot acquire wit even though they study hard: "Some are bewilder'd in the maze of schools, / And some made coxcombs Nature meant but fools" (26-27). Renaissance Man cannot be found in Pope's discourse: "So vast is Art, so narrow human wit: / Now only bounded to peculiar arts" (61-62). The "narrow human wit" must realize "the general order" in Nature, but simultaneously Pope warns all critics not to trust themselves (209-13). Without self-trust, it is impossible to affirm the validity of one's understanding of "the general order." Therefore, even Pope himself does not offer a constant description of the essence of wit: sometimes he believes in its universality, but sometimes he rejects such possibility.

When Pope emphasizes the importance of wit in "An Essay on Criticism," he defends "the values of poetry against the overwhelming philistinism of Lockean science and Lockean

reason" (Sutherland, John 356-57). That is, he defends the independence of literature by emphasizing the importance of wit when encountering the attack from reason and science. Reason, the foundation of judgment, tends to construct some universal principles, and thus "transcend" the limit of a particular context or environment. Therefore, eighteenth-century philosophers and critics usually prefer "generality" to "particularity." Yet wit always demands the social interaction; its expression always differs from case to case, and never depends on any specific rules or regulations. In the eighteenth century, wit was supposed to operate in community. It was "not just a mode of expression but a form of life (a way of being)" as well as "a very *social* way of 'doing things' with words" (Morris 27, italics mine). For Addison, wit can offer delight and surprise to readers (419). In other words, the presence of wit can only be found in its social influence. It "was the form in which it showed itself in coffee-houses, and sense that in which it appeared in the pulpit or parliament" (Stephen). Thus, wit possesses the dialogic quality, and its expression elicits the responses from the addressees. While wit welcomes open-enededness and spontaneity, judgment tends to assume the existence of an all-embracing and definite order. No wonder Pope compares wit to Pegasus, the vivacious mythical stallion, which flies without restraint; and this comparison ingeniously highlights the fluidity of imagination. Because of its essential difference from reason and science, wit can never be really surrendered to judgment, a situation revealed in Pope's resistance to Lockean reason.

Actual single meanings do not exist in "An Essay on Criticism" because they may "orchestrate the dialogical clash of opposing idioms and ideas"; and "wit for Pope must be understood at last as something that the critic, like the poet, cannot hope to pin down in a final victory of reason and judicious explanation" (Morris 28). It is the "social function" of wit to remain ungraspable. Wit seems to possess "an irreducible otherness": it stands "in open or covert resistance to the entire range of social discourses and practices . . ." (Morris 29). Such resistance marks the being of wit—total submission to reason and rules always means the loss of its "liveliness, brightness, and creativity." The attackers of wit mean to suppress this resistance, while the defenders of wit tend to appreciate it.

B. The attacks on wit

Pope treats wit and judgment as two distinctive abilities, but their antithetical separation was rarely found before Renaissance.[5] Their tension can be traced back to Plato, who banishes poets from his ideal Republic because he prefers the "truth" of philosophy to the "lies" of literature; in addition, discussions about the role of poet/poetry were found in

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[5] It never occurred to Horace, for example, to view them as separate or conflicting; he holds that wit and judgment are inseparable: "It is asked whether a praiseworthy poem is the product of Nature or of conscious Art. For my own part, I do not see the value of study without native ability, nor of genius without training: so completely does each depend on the other and blend with it" (73). Both must co-exist: judgment must be directed to a specific target, usually the work of wit; a witty writer must possess some critical judgment in order to create. Here "study" and "training"—the effort to cultivate critical judgment—must work with "native ability" and "genius," the demonstration of wit, so that a poet can create.

pre-Socratic philosophers.[6] Plato's denunciation of poetry amounts to the rejection of wit. Whether wit is regarded as an imitation of reality or as the inspiration from muses, poets and their creation are disparaged. The mimetic art is two steps removed from reality, and brings no positive influence for the reader/audience; mimetic art itself possesses no wisdom at all, and this is a corruption of soul (354). He considers that poets "misrepresent people in extremely important ways" and describe moral people as unhappy, and that even Homer depicts gods as immoral (85-87). On the other hands, good poets are "inspired and possessed" while they are composing—they "are not in their right mind" and therefore they stand far away from reason and truth ("Ion" 14). In other words, wit does not belong to poets but to deities, and poets cannot express themselves at will. "Judgment" based on true wisdom is highly valued in Platonic philosophy, while the validity (and even existence) of wit is denied and rejected.

The division of wit and judgment as antithetical categories is clearly stated and illustrated for the first time in Hobbes: the latter "begets the strength and structure," while the former "begets the ornaments of a Poem" ("Answer" 202). Wit, also called Imagination or Fancy, "is nothing but *decaying sense*" and "Dreams" (*Leviathan* 13-14). Judgment, "the severer sister," examines "all the parts of nature, and in registering by letters their order, causes, uses, differences, and resemblances"; on the other hand, wit concentrates only on herself: "her wonderful celerity consisteth not so much in motion as in copious imagery discreetly ordered and perfectly registered in the memory . . ." ("Answer" 202). Wit discerns similarities of things, while judgment highlights differences; the former must rely on the latter in order to be praised, but the latter can work on its own (*Leviathan* 40). Wit creates beauty and civilization of Europe when "guided by the precepts of true philosophy" ("Answer" 202). Hobbes takes for granted the control of wit by "philosophy"—a statement that reminds us of Plato's glorification of philosophy and of Pope's call for the regulation of wit by judgment.

Locke also denounces "wit" and praises "judgment": figurative speech is "an abuse of language" and will consequently "mislead the judgment"; the appreciation of wit proves that "men love to deceive and be deceived" (268). He does not believe that one can possess both qualities simultaneously. In addition, he values judgment because it stems from reason. His hostility toward wit and poetry also emerges in *Some Thoughts Concerning Education* (1693) and *Of the Conduct of the Understanding* (1697). He called for "sound judgment,

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[6] Plato's banishment of poets from the Republic is related to the wit-judgment conflicts. Long before Plato's attack on poetry, quarrels among poets with regard to the value of poets and poetry were common: Xenophanes denounced Homer and Hesiod; Heraclitus attacked Homer and Archilochus. "Poets not only preserved values, but also questioned and subverted the traditions they inherited . . ." (Asmis 339). Yet these cases differ essentially from the conflicts between wit and judgment in later generations—no so-called professional literary judgment existed then, and those quarrels do not stem from reason at all. Perhaps the earliest literary critics were Greek sophists: Prothagoras, leader of the first generation of sophists, considers "the most important part of education to be the criticism of poetry" (Asmis 340). Nevertheless, sophists did not threaten the status of poetry or of wit. Socrates/Plato criticizes poetry because Greek poets took a crucial role in "the creation and transmission of social value" (Amis 339); besides, sophists considered themselves heirs to poets (Asmis 340).

unadulterated and unadorned fact, and clear, logical statement" (Sutherland, James 354). Following Locke's assertion that wit traces resemblances of things and that judgment clarifies differences, Burke also exalts judgment above wit in importance: "the most ignorant and barbarous nations have frequently excelled in similitudes . . . who have been weak and backward in distinguishing and sorting their ideas" (18). Judgment, in short, emerged with culture and civilization.

Hence Plato, Hobbes, Locke, and Burke all take for granted the superiority of judgment/philosophy to wit/imagination and the necessity of restraining wit by judgment.

C. The defense of wit

On the other hand, the defenders of poetry/literature always assume the values of art, and therefore acknowledge the importance of wit. Critics after Plato either deny his argument, or indicate the existence of other forms of truth represented by literature. Plotinus believes that art "must itself be beautiful in a far higher and purer degree since it is the seat and source of that beauty," and that artistic works "are holders of beauty and add where nature is lacking" (100). Sidney refutes Plato's argument by stating that literature (poesy) offers more dynamic representations of the world. Poetry has been "the first light-giver to ignorance, and first nurse" (143). Like Plotinus, Sidney also asserts that poets' creation is far better than that of nature (145); "our erected wit maketh us know what perfection is . . ." (145). Poetry, the fruit of wit, is superior to history and philosophy: the former is tied to the particular, while the latter is too abstract and general (148)—an argument that negates Plato's reverence for philosophy. Mazzoni, moreover, believes that both Plato and Aristotle would admit that "truth is not alien to poetry" (167). Following Aristotle, Mazzoni proposes that credibility is the subject of poetry (168), and that false-but-credible things should be valued more than true-but-incredible (169). Tasso, asserting that "philosophy and poetry are two in name but of a single substance," holds that imitation is linked not with truth, but with verisimilitude (179-81). Their defenses reject Plato's accusation of poets, and insinuate that wit should not be dominated by judgment, theory, or philosophy.

In addition, some poets in the early eighteenth century—like Gildon, Addison, Prior, and Akenside—all defended poetry in response to Locke (Sitter, "Question" 137); they affirm the value of wit and do not subordinate it to judgment. Like Hobbes, Addison highlights the essential disparity between wit and judgment: the former may detect the similarity between two objects, while the latter emphasizes their difference (419). Though he acknowledges that Locke "has discovered the most fruitful source of wit," Addison, owing his opinions to Dryden's, rejects the Lockean argument and declares the proper use of wit as the demonstration of nature (422-23). Besides, Sterne ridicules Locke's argument: ". . . wit and judgment in this world never go together; inasmuch as they are two operations differing from each other as wide as east from west.—So, says Locke,—so are farting and hickuping, say I" (141). Sterne's carnivalesque comment implies that both wit and judgment are basic human

capacities, and that Locke has exaggerated their differences. The novelist's witty judgment owes not to reason and science, but to his imagination.

The various arguments about the relationships between wit and judgment verify the prevalence of heteroglossia, in which no conclusive discourse can silence all disputes. On the one hand, Plato, Hobbes, Locke, and Burke reject wit and poetry, and proclaim the transcendence of reason, truth, judgment, or philosophy; on the other hand, the defenders of wit and literature—including Plotinus, Sidney, Mazzoni, Tasso, and the above-mentioned writers in the eighteenth century—all claim the independence of wit/art/literature. Pope in "An Essay on Criticism" incorporates those contradictory voices. Heteroglossia haunts his discourse on wit and judgment when both are presumed to work under the harmonious yoke of Nature. It is not *discordia concors*, but the continual conflicts between the centrifugal and the centripetal forces.

III. Pope's ambiguous discussion of the wit-judgment relationship: The conflicts between the centrifugal and the centripetal forces

Pope's artistry betrays his call for order and unity: he "defied the authority of classical rules, urging writers to reach 'for a grace beyond the reach of art'" (Rousseau 56). In Bakhtinian terms, Pope renders judgment as a centripetal force, and wit as a centrifugal, while he deems it necessary for the latter to be restrained by the former.[7] Though he craves for their ultimate harmony and order, he fails to practice what he preaches. For Bakhtin, the centripetal and the centrifugal never cancel each other out, but proceed in a conflict-ridden, dialogic relationship: "Alongside the centripetal forces, the centrifugal forces of language carry on their uninterrupted work; alongside verbal-ideological centralization and unification, the uninterrupted processes of decentralization and disunification go forward" ("Discourse" 272). In other words, wit never ceases to snatch the grace "beyond the reach of art" by transgressing the critical rules, while judgment can never dominate Pegasus with the reins of reason.

Actually neoclassical writers "embraced modernity, and wilfully [sic] or even gleefully transgressed the classical norms they professed to uphold in their critical writing" (Vilmar 5). A very large percentage of poetry in the Augustan England "mock, tease or play fast and loose with the conventions and expectations" (Hunter, "Political" 180). For Bakhtin, poetry represents a centripetal force because it "was accomplishing the task of cultural, national and political centralization of the verbal-ideological world in the higher official socio-ideological levels . . ." ("Discourse" 273). Such a centralization, to be precise, occurs when wit submits itself to judgment or some other oppressive forces like censorship, politics, and ideology. Poetry does not necessarily function as a centripetal force unless it serves those oppressive forces. "In poetry, even discourse about doubts must be cast in a discourse that cannot be

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[7] The attempt to impose order on the messy, heterogeneous state is the centripetal force, while the centrifugal force will disrupt the imposed order and structure. The former means to centralize and unify languages, while the latter promotes decentralization and disunification (Bakhtin, "Discourse" 271-72).

doubted" ("Discourse" 286). Pope's argument about license (141-68) is such a "discourse about doubts." However, heteroglossia always exists in a poetic work, usually in the satiric and comic genres ("Discourse" 286-87). The deviation from Nature emerges the most clearly in the satirical Quixote-Dennis episode, Pope's mockery of poor poets, and the discussion of the relationship between wit and judgment. While discussing the relationship between wit and judgment, Pope incorporates the voices of both attackers and defenders of wit.

A. The assumed superiority of judgment to wit

The mutually reliant relationship of wit and judgment is threatened when Pope proclaims that judgment must guide and restrain wit: the "Muse's steed" must gallop with the restraint set by the power of judgment (84-87). The proclamation echoes the arguments of Plato, Hobbes, and Locke. Plato avers that "the best part of our minds is perfectly happy to be guided by reason," and that reason and intelligence remain unchanged (358). A poet always "destroys the rational part by feeding and fattening up this other part . . ." (358-59). Therefore, censorship becomes indispensible (361): the necessity of censorship represents the enforced restraint of wit by judgment. Some poets in the early eighteenth century—including Pope, who resisted Locke's negation of wit—emphasized "the active, indispensable guidance of a wide-awake judgment" (Morris, "poetry" 240). Cassirer also points out that the neoclassical theories "did not encourage the free play of imagination"—wit "is a great but questionable gift" and "must be guided and controlled by reason and subjected to its rules" (934). The necessity to this control presumes a norm for the proper use of language, a norm that can be identified as Nature.

Pope warns that the unrestrained wit may bring humiliation like an unfaithful wife, and his cynical tone here insinuates that wit and judgment maintain a relationship characterized by intrigues, tension, and distrust: "What is this wit which must our Cares employ? / The Owner's wife, that other men enjoy?" (500-01). He deems it harmful to demonstrate abundant wit, favoring "modest plainness" instead (301-04)—in other words, the restraint by judgment. This echoes Boileau's argument: "The man who doesn't know when to stop never learned how to write" (242). In "An Essay on Man," furthermore, "the rash dexterity of wit" may split sense and reason (2.83-84). The transcendental guide of Nature emerges as *Realpolitik*—far from helping each other, wit and judgment actually play a game of power struggle. "The description implies that wit as female subverts the masculine power and reason that seek to dominate it and reduces the male poet to a cuckold unable to control his own muse, doomed to a life of self-betrayals" (Morris 28). Wit, though compared to the female, is not less powerful than judgment, which was traditionally regarded as a masculine feature. In "Epistle IV: To Richard Boyle, Earl of Burlington," Pope also emphasizes the necessity of restraint in composing poetry (50-51). Judgment leads and protects wit: without the restraint of the former, the latter will humiliate Nature. In order to restrain wit, critical rules, developed as "Nature methodized," function as judgment incarnate.

Creativity must obey those rules, because "[t]o copy Nature is to copy them" (140). Both wit and judgment derive their light from Heaven/Nature, but here judgment seems to possess more "divine light" than wit. This is the self-discipline of Nature (90-91). The affirmation of the importance of judgment presumes the necessity of reason, since "[t]he gen'rous Critic fann'd the poet's fire, / And taught the world with reason to admire" (100-01). Consequently the statement that "[t]rue Wit is Nature to Advantage drest" (297) should be modified: true wit must always be submitted to judgment, since its unrestrained energy may destroy the beauty of Nature. Pope had better declare: Judgment is Nature to Advantage dressed—since this capability alone can highlight the true essence of Nature, and restrain wit accordingly. He seemingly sides with Plato, Hobbes, and Locke.

Actually Pope recognizes the messy status of human beings: "Alike in ignorance, his reason such, / Whether he thinks too little or too much; / Chaos of thought and passion, all confused" ("An Essay on Man" 2.11-13); "The Dog-star rages! nay, 'tis past a doubt, / All Bedlam, or Parnassus, is let out / . . . / They rave. Recite, and madden round the land" ("Epistle to Dr. Arbuthnot" 3-4, 6). Humanity inclines essentially to disorder, and hence must be controlled and regulated. In addition, creation is not the demonstration of humanity, but the "proper use" of wit—in the name of Nature or reason—and the imposition of order on the dynamic creativity. Wit may "snatch a grace beyond the reach of art" by bringing disorder and transgression (150-55), but this can be tolerated rarely (163-65). The demand for order in literary creativity parallels Pope's assumption of the Chain of Being in the universe: order cannot be transgressed, and the violation of one part of the chain will threaten the stability of the whole. His endeavors in "An Essay on Criticism" may represent "dogmatic efforts" that tried to reach "infallible certainty," to "assert the sufficiency of human reason, or to penetrate the fundamental structure of nature underlying all appearances" (Noggle 5)—in short, to declare the victory of judgment.

The restraint of wit, usually found in tightly knitted couplets and didactic poetry, tends to suppress its dialogic qualities. In the neoclassical literature "aphoristic thinking was developed, that is, thinking in separate rounded-off and self-sufficient thoughts which were purposely meant to stand independent of their context" (Bakhtin, *Problems* 96). Poetry was supposed to be "suspended from any mutual interaction with alien discourse, any allusion to alien discourse" (Bakhtin, "Discourse" 285). Reason, incarnated in didactic poetry, was used to promote "social normativity, driving people towards a conformity with a dominant and centred 'norm' of behavior" (Docherty, "Postmodernism" 14). "Rationalism and classicism clearly reflect the fundamental traits of the new official culture; it . . . was also authoritarian and serious" (Bakhtin, *Problems* 96). Such a culture promoted stability and "one single tone of seriousness" (Bakhtin, *Rabelais* 101). Under the dominance of reason, "in the most imaginative flights there is always a holding back, a reservation. The classical poet never forgets this finiteness, this limit of man" (Hulme 729). The "self-consciousness of the classical verse is that of someone obliged to behave according to a certain code, who would

feel himself disgraced or humiliated if he went outside it" (Cruttwell 452). Reason and didacticism, usually expressed by heroic couplets ("aphoristic thinking" in Bahtin's discussion), always work as the monologic authority to curb the imagination in the neoclassical poetry.

Pope's concept of Nature "postulated an ordered hierarchical conception characteristic of both the universe (the great chain of being) and of society" (Jackson, "Teaching" 108). He "represented the triumph of neoclassical refinement" which marked a strong contrast against "incorrectness, faulty versification and lapses of taste" of Elizabethans; and he felt disappointed that "the Restoration of 1660 had made poetry too 'easy,' in every sense of the word" (Fairer, "Pope and the Elizabethans" 89). Poetry appeared "too easy" because of the lack of the restraint imposed by critical judgment. In other words, his emphasis on the importance of judgment reflects his dissatisfaction with Elizabethan poetry and his ambition to "right the wrong." Yet his yearning for "one single meaning" and his serious criticism cannot deprive him of his multiple-voiced expression and his radiant wit. He means to control wit, the centrifugal force, with judgment, the centripetal—yet his wit, too independent and dynamic to be regulated, never truly conforms to the oppressive force of judgment.

B. The elevation of wit above judgment in terms of importance

On the other hand, Pope does not assume judgment the "guide" as the leader in all cases: judgment is subordinated to wit in the way that a handmaid serves her mistress: "To dress her charms, and make her more belov'd" (103). In this metaphor, wit is privileged, while judgment is marginalized. Pope even looks down on those who choose to become critics because of their inability to write good poetry: "But following wits from that intention strayed, / Who could not win the mistress, wooed the maid" (104-05); some may lose their common sense while searching for wit, and "then turn Critics in their own defense" (28-29). Being a poet, Pope implies here, requires more talent and is more important than being a critic. A maid usually follows the instructions of her mistress, not vice versa; it is incredible that the maid must "restrain" the energy of her lady in order to "guide" her.

Besides, "Great Wits" threaten the harmony of Nature when employing the licenses: they "offend" and "rise to faults" in order to "snatch a grace beyond the reach of Art" (155), and express "[s]ome beauties [which] yet no precepts can declare" (141). If judgment worked on behalf of Nature herself, then "Great Wits" could never offend it; now that wit and judgment obviously clash, the proposed harmony and order under the grace of Nature turn out to be problematic. Castiglione even holds that nature promotes diversity: nature

> is variable, as in other things, bestowing the light of reason on one man in one respect and on another man in another . . . . [E]ach easily perceives his neighbor's error and not his own; and we all think that we are very wise and perhaps the more so in that wherein we are most foolish. (15)

Pleasure which arises from the so-called "faults" in a work is "objection to those particular rules of criticism . . . let the pleasure . . . be ever so unexpected and unaccountable" (Hume

310). In other words, "the reach of Art," codified as critical rules, resists the pleasure brought by art and leaves something to be desired. A "master-hand alone can reach" the "nameless graces which no methods can teach" (144-45). Free as the fabulous steed Pegasus, wit defies the bondage of the rules so powerfully that critics can neither improve nor disapprove it. Sitter argues that critics usually neglect "the play and flexibility of eighteenth-century poetic language" ("Questions" 152). The "play and flexibility" refer to the power of wit. Before the time of Aristotle, Pope indicates, poets were essentially "unconfin'd and free, / Still fond and proud of savage liberty" (649-50)—this indication presumes that wit does not *naturally* follow the reasonable regulation.

The "Great Wits" can mysteriously do a better job by relying on their imagination alone than by following critical judgment (156-57). At the end of Part I of "An Essay on Criticism," Pope hails not critics but "Bards triumphant" who can enjoy immortal fame and "teach vain Wits a science little known" (189-200). In brief, a poet can learn more from the ancient wit than from critical discourse.[8] In addition, critics can form their judgment by studying Homer laboriously (124-26) since the blind poet's wit may direct them. Without the help of critical knowledge, Homer's poetic imagination works so rigorously that it corresponds to Aristotle's poetics (138)—here wit alone can manifest the divine light of Nature. "Wit is equivalent to invention, the power of poetic discovery and creativity for which Pope admired Homer" (Spacks 97). Homer's "Pegasus" is Nature herself (135), and critical judgment must follow it, not vice versa: after reading Homer, "[t]hence form your judgment, thence your maxims bring" (124). While Virgil disdains to follow "the critic's law," he still benefits from Nature by studying Homer (130-35). Homer stands beyond the control of critical rules, yet the "Pegasus" of later writers, in Pope's argument, must yield to those rules. After illustrating the examples of Homer and Virgil, he concludes by urging critics to respect "ancient rules" since they are Nature incarnate (139-40)—a conclusion that disregards the fact that Homer and Virgil themselves proposed and followed *no* critical rules. They both highlight more the glory of wit than the authority of judgment. The rules were actually developed from their masterpieces by later scholars. As Pope admires the wit of Homer and Virgil, he simultaneously warns his readers not to rely on wit completely, for "ancient rules" and judgment are the better guides. Wit seemed to become pathetically dwarfed with the establishment of critical theories.

The tension persists even though wit can guide judgment. Critics cultivate their ability from the examples of poets, but they may "hate most the men from whom they learn'd" (107)—in other words, wit enlightens and instructs judgment, but the war between wit and judgment ensues. Pope then compares poets and critics to doctors and apothecaries respectively: the latter learn from the former and establish their own "mistaken rules," yet become so ingratitude as to "call their masters fools" (108-11). These figures of speech

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[8] This anticipates Arnold's insistence that criticism must be established on the examples of great literature—"to have always on one's mind lines and expressions of the great masters, and to apply them as a touchstone to other poetry" ("Study" 606).

presume the essential superiority of wit to judgment, and highlight their fundamental incongruity. He also declares that "Nature's chief master-piece is writing well" (724)—not "judging" well.[9] Sticking to the critical rules, moreover, renders a work "[c]orrectly cold, and regularly low", while readers regard such works lifeless and insipid (240-42). Wit is presumed to be able to catch "the joint force and full result of all" better than those cold rules (243-46). General beauty comes from wit, nor judgment.

Pope's downgrading of judgment is also exposed in his belittlement of reason in "An Essay on Man": reason, the basis of judgment, is cast in doubt when Pope argues that God directs instinct, and that man commands reason (3.98). Such a marginalization of judgment simultaneously denies the authority of the critical rules, which demonstrate the collective wisdom of European critics. As he exalts wit above judgment and reason, he echoes Bacon's argument:

> [P]oesy serveth and confereth to magnanimity, morality, and to delectation. And therefore it was ever thought to have some participation of divines, because it doth raise and erect the mind, by submitting the shows of things to the desires of the mind, whereas reason doth buckle and bow the mind unto the nature of things. (184)

This anti-Platonic statement affirms the moral function of wit and literature. While Socrates/Plato considers that poetry corrupts the mind, Bacon refutes it and rejects the authority of reason. God directs instinct, and literature bears the divine light—but reason falls below them. The downgrading of reason amounts to that of critical judgment, and thence rejects the identification of critical rules as Nature.

The so-called "happy marriage" does not prevail as the norm in the mundane world, just as wit and judgment the couple do not necessarily cooperate to manifest the "universal influence" of Nature. Such a figure of speech ironically exposes the "insufficiency" and limit of this "end and source of Art." The relationship between wit and judgment emerges paradoxical and uncertain. They waver between war and peace, equality and inequality, mutual help and suppression—no stable and harmonious cooperation exists. Perhaps their ambiguous and paradoxical relationship is wittily judged to be a "marriage": while gender equality is generally held as the ideal, man and wife often fight for sovereignty; yet neither the masculine nor the feminine can always claim the dominant status in all families. Pope's Pegasus evidently reaches beyond the regulation of judgment or Nature, and presents no consistent

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[9] This reminds us of the argument of Hobbes, who prefers judgment to wit: "In a good Poem, whether it be Epique, or Dramatique; as also in Sonnets, Epigrams, and other Pieces, both Judgment and Fancy are required: But the Fancy must be more eminent; because they please for the Extravagancy . . ." (*Leviathan* 41). "Fancy" here refers to wit. Hobbes treats wit as the most prominent feature of literature. Nevertheless, this declaration does not manifest his praise of wit and literature; instead, because of his emphasis on judgment, it testifies his downgrading of literature among all forms of discourse. Pope would reject such an opinion, because his didactic and satiric poems depend on his wit and judgment simultaneously.

argument about wit-judgment relationship. His discussion highlights less a single-voiced, rule-abiding judgment than a complicated, norm-defying wit.

C. The norm-defying, heteroglot power of wit and language

From Bakhtinian perspective, language is an endless trend of becoming (Gardiner 11), an unfinalized and unfinalizable trend. Likewise, wit as a unique, fluid, and flexible language competence yields to no external rules and dominance. To treat language as a system is the work of theorists, "a heuristic device that does not in fact exist in real historical time and space" (Gardiner 11). To impose a system or norm on language, moreover, must distort the nature of language more or less and suppress wit as well. The use of language "indicates the creative and reflexive adaptation of given speech-act by particular social agents to fluid and changing social situations" (Gardiner 11). Bakhtin's attack on the so-called "unitary language" can be applied to Pope's exaltation of Nature and his intention to restrain wit:

> Unitary language constitutes the theoretical expression of the historical processes of linguistic unification and centralization, an expression of the centripetal forces of language. A unitary language is not something given but is always in essence posited—and at every moment of its linguistic life it is opposed to the realities of this heteroglossia. [It is] a force for overcoming this heteroglossia, imposing specific limits to it . . . . ("Discourse" 270)

"Nature" and "the general order" in Pope's argument both amount to the "centripetal forces" that are supposed to regulate and control wit and language. Without restraint, Pegasus may transgress the assumed norm of language (Nature) and elicit heteroglossia. To suppress the "transgression" of wit, in other words, signifies the monologic attempt to eliminate or at least to limit heteroglossia with the goal of achieving "unitary language." Both Nature and order are "posited," while tension, conflicts, and variety actually permeate.

Pope anticipates the predominance of judgment because he worries about the instability of wit ("An Essay on Man" 3.90) and "Wit's wild dancing light" (*Dunciad* 1.175). Yet Johnson disagrees with Pope's definition of wit: "Pope's account of wit is undoubtedly erroneous: he depresses it below its natural dignity, and reduces it from strength of thought to happiness of language"; wit for Johnson is "*discordia concors*; a combination of dissimilar images, or discovery of occult resemblances in things apparently unlike" ("On Metaphysical Wit" 481). Wit itself yokes together heterogeneous ideas, and thus challenges the judgment which seeks for order and unity. Johnson, though he would not agree totally with Bakhtin, discerns the subversive force of wit and the inevitability of heteroglossia (at least to some extent). The term "*discordia concors*" still presumes the existence of some ultimate harmony and unity in discourse. Yet Pope's downgrading of reason, demonstrated in his witty couplet, can hardly match his exaltation of judgment and order, which supposedly work under harmonious Nature. Literary language is heteroglot (Bakhtin, "Discourse" 272, 288), "a contradiction-ridden, tension-filled unity of two embattled tendencies in the life of language" (Bakhtin, "Discourse" 272). To maintain the "consistency" in Pope's discourse must

disregard and repress all of his witty but alien voices. Though he may intend to judge with reason and argue with a "pure" voice, his brilliant wit leads instead to heteroglossia and elusiveness.

Bakhtinian dialogism aims to subvert the "forces of stability and closure by emphasizing the desirability of multiplicity and openness . . ." (Gardiner 85). Human beings are "'expressive and speaking' entities which are fundamentally spontaneous and unpredictable" (Gardiner 107). Bakhtin appreciates Dostoevsky's art in which "man is free, and can therefore violate any regulating norms which might be thrust upon him" (*Problems* 59). The attempts to regulate wit are futile and fruitless, neglecting or even abusing the "fluid and changing" reality and language. Pope's "failure" to maintain constant relationship between wit and judgment proves Bakhtin's argument: centrifugal forces "are clearly more powerful and ubiquitous—theirs is the reality of actual articulation . . . . They . . . determine the way we actually experience language as we use it . . . . Unifying, centripetal forces are less powerful and have a complex ontological status" (Holquist xix). Therefore, wit emerges "more powerful and ubiquitous" than judgment in Pope's poetry; his seemingly rational opinions usually disguise his "spontaneous overflow of powerful feelings." However, it does not follow that wit will dispel judgment and dominates Pope's discourse eventually—this is another form of hegemony and betrays Bakhtinian dialogism. Pope just retains both, but never "resolves" their tension.

IV. The impossibility of objective judgment in heteroglossia
A. The fluidity of taste

If language itself resists norm and unity, then judgment, which also works with language, can hardly remain pure and monologic despite its supposed reliance on reason. "Objective" judgment becomes impossible because of the fluidity of taste and the unreliability of reason.

Even though wit needs the control and assistance of judgment, Pope indicates, it is sometimes better to set the inspiration free. However, he does not regulate the rules for the "deviation" of inspiration; he merely identifies the "licenses" as "rules" (149). Since Nature/rules must sometimes let go the inspiration of poetic genius, "the source, and end, and test of Art" turns out to be a matter of relativity. The taste of a critic will determine whether the "license" is a bold stroke of genius or an unpardonable failure to follow Nature.

Pope asserts the necessity of taste for a critic (562). If judgments are like watches (9-10), then it is no wonder that critics can never agree with each other in their interpretations of literary works, and that Pope's taste cannot help him construct an undisputed list of canonical critics in "An Essay on Criticism." Pope notices the uncertainty of taste: some critics prefer to study conceit in literature and favor awkward pieces (289-92), while others focus on language (305) or meter (337). Here Pope shows his own taste, and criticizes obliquely the metaphysical poets who play with multi-leveled puns: "Words are like leaves; and where they

most abound, / Much fruit of sense beneath is rarely found" (309-10). Quixote and Dennis have different tastes, and their attitudes toward critical rules vary drastically (267-84).

Pope fully understands the mutability of taste: "(Taste, that eternal wanderer, which flies / From heads to ears, and now from ears to eyes)" ("To Augustus" 312-13). British people in his eyes are a "senseless, worthless, and unhonoured crowd" who prefer farce to everything else ("To Augustus" 306-11); so evident is "the gradual decay of delicacy and refinement among mankind" ("Martinus Scriblerus" 346). Those who have a taste of the sublime are very few ("Martinus Scriblerus" 348). Taste is "a testimony to the mutability of all human things and the relativity of all human values" (Gadamer 58). Owing to his appreciation to his mentor, Pope at the end of the "An Essay on Criticism" ranks William Walsh with Aristotle, Horace and Longinus as one of the best critics in the western history of criticism—yet Pope's judgment highlights not a universally accepted evaluation, but his own bias at most. Judgment, after all, is a matter of taste, which can hardly claim objectivity and universality. Taste may bring disharmony and uncertainty so as to bring the clash between wit and judgment.

Taste itself is not single-voiced. It "was originally more a moral than an aesthetic idea" (Gadamer 35). No wonder "An Essay on Criticism" actually deals with aesthetic and moral criticisms at the same time. Pope does not hold that morality and aesthetic judgment can be separated: "No pardon vile obscenity should find, / Tho' Wit and Art conspire to move your mind" (530-31). He declares at the beginning of Part III: "Learn then what morals Critics ought to know" (560) and "In all you speak let Truth and Candour shine" (563). The cultivation of gentlemanly behavior and good breeding is as important as that of professional knowledge (574-77; 631-42). Because of the multi-voicedness of taste, Pope never confines his judgment to the realm of literary criticism. He criticizes music (372-83), literature, criticism, theology and religion (440-43; 546-53), philosophy (444-51), politics (456-57; 534-38; 544-45), and theater (540-43) as well.   For him, criticism should be directed towards all aspects of society. Most of the canonized masters in Part III of "An Essay on Criticism" cannot be identified as "professional literary critics" in the modern sense, either. In the eighteenth century it was common to "write within the georgic convention on almost any subject from the culture of silkworms to navigation, to philosophy and divinity"[10] (Brower 49). A qualified critic, therefore, does not deal with aesthetic judgment only—this is rejected by Oscar Wilde and all the other poets and critics in the aesthetic movement.

For Bakhtin, aesthetic judgment does not eliminate the demarcation between good and evil, beauty and ugliness, truth and falsehood, nor does it assume such demarcation as its transcendental guide in practice. Furthermore, aesthetic evaluation is subordinated to "the supreme value-center of contemplation—the human being" (*Toward a Philosophy* 63-64). To be specific, taste determines the aesthetic evaluation. Bakhtin does not assume the existence

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[10] This is echoed by Arnold: he does not confine criticism to that of English literature alone, because "the best that is known and thought in the world" is found in many other fields as well ("Function" 603). Like Pope, he also emphasizes the morality of an ideal critic ("Function" 603).

of a transcendental authority to determine good and evil, beauty and ugliness once for all. The afore-mentioned demarcation always changes from critic to critic and from generation to generation as well. It is violence to impose a particular set of standard as the universal truth—this will render aesthetics as closed, static, and monologic. Aesthetic judgment may vary because of different personal tastes, and this difference promotes the possibility of dialogue. The development of literature and aesthetics rests on continual dialogue among various voices, not on a pre-ordained standard.

B. The unreliability of reason in Pope's discourse

Paralleling his recognition of the mutability of taste, Pope's attitude toward reason also appears inconsistent. The authority of reason is sometimes emphasized: it is crucial for critics to judge "with reason" on their side (642). Pope identifies two principles in human nature: self-love and reason ("An Essay on Man"2.53-54). Reason is the power to restrain and to guard, obeying only Nature ("An Essay on Man" 2.161-62). Without reason, people may go astray, "flame lawless through the void" and end in destruction ("An Essay on Man" 2.65-66). Likewise, Joshua Reynolds proclaims that reason "must ultimately determine everything" in aesthetic judgment (358).

On the other hand, Pope does not assert any divine authority for reason—since human reason is fallible, and human beings cannot "distinguish right reason from self-centered rationalization" (Sutherland, John 365, 367). He mourns for the limit of reason: "But when his own great work is but begun, / What reason weaves, by passion is undone" ("An Essay on Man" 2.41-42). Reason may be manipulated by pride ("Epistle I" 117-18) or conquered by "ruling passion" ("Epistle III" 154). "Since 'tis reasonable to doubt most things, we should most of all doubt that reason of ours which would demonstrates all things" ("Thoughts" 556). The proclamation of the unreliability of reason goes to the extreme in Wilmont's denunciation:

> Reason, an *ignis fatuus* of the mind,
>
> Which leaving light of nature, sense, behind,
>
> Pathless and dangerous wandering ways it takes,
>
> Though Error's fenny bogs and thorny brakes . . . . (12-15)

Wilmont totally rejects the Plato-Hobbes-Locke tradition; nevertheless, Pope, even in his most cynic satires, does not exclude reason as Wilmont does. He wishes to rely on it, but he doubts its authority; his endeavor to speak like a reasonable gentleman does not disguise his lack of faith in reason. His indefinite attitude toward reason is illustrated in the refusal of his "Pegasus" to be restrained by judgment, the resistance of the centrifugal force to the centripetal.

With such an ambiguous and self-contradictory understanding of reason, Pope cannot evade inconsistency and heterogeneity in his advice: "Be not the first by whom the new are tried, / Nor yet the last to lay the old aside" (335-36). He urges all critics to be discreet in judging contemporary works, but he also maintains: "Be thou the first true merit to befriend; /

His praise is lost who stays till all commend" (474-75). Consequently, critics cannot determine whether they should be "the first" to judge or not if they attempt seriously to follow Pope's advice. Besides, Nature is supposed to exert continual influence on all ages (403), but Pope also laments for the decline of art: "No longer now that Golden Age appears" (478), and theaters offered nothing but obscene plays (540-43). His criticism also demonstrates his partiality: his praise of the "golden days" of Pope Leo X reveals his own prejudice: he considers that this Pope patronized artists and therefore encouraged European cultural development (697-703). Yet Leo X led an extravagant life, accepted bribery, and conferred official ranks for money. Art for Leo was merely a plaything, but Alexander Pope completely neglects the corruption of Vatican under Leo's reign. "Reason" here does not work in his judgment.

In the ideal criticism, Pope holds it necessary to reason in a suave, warm manner (574-77). Fervent emotion and self-righteousness should be avoided in a successful judgment. Pope considers that Nature means "[w]hat oft was thought"—not "felt." Therefore, literature must teach readers and "mend their minds," (342) not to manipulate their emotion. An ideal artist must depend on "right Reason" to express truth (211-12; 299), and "modest plainness" must characterize the work (302). True expression, like the stable Sun, "[c]lears and improves whate'er it shines upon" (315-16). Basically Pope rejects the dominance of feelings in one's personality: "Our passions are like convulsion-fits, which, though they make us stronger for the time, leave us the weaker ever after" ("Thoughts" 551).

Yet it is hasty generalization to hold that Pope always exalted reason and suppressed emotion. His vehement and emotional satires hardly follow this teaching, and his enemies never appreciated his "superior Sense." He actually embraces both reason and emotion. This attitude may derive from Castiglione's opinion: reason should govern emotion, and emotion must not be extirpated because it is an aid to virtue. If emotion were totally taken away, reason would become weak and languid (218-19). Both emotion and reason should occupy proper roles in one's discourse. Moreover, he admires Timotheus's artistry to maneuver Alexander's passions: the king who conquered a large piece of land is conquered by an artist, and learns nothing about "[w]hat oft was thought" after his intoxication (374-81). Timotheus neither teaches nor delights Alexander: "the world's Victor" only undergoes a series of emotional upheaval, and in no sense is he "improved" by Timotheus's heart-shaking melody. Pope's statement—"What reason weaves, by passion is undone" ("An Essay on Man" 2.42)—is ironically verified. He even identifies Dryden as contemporary Timotheus (383)[11].

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[11] Pope's praise of Timotheus derives from "Alexander's Feast" by John Dryden. However, Dryden's description of Timotheus's artistry does not present the divine light of reason, either. The musician sings the "praise of Bacchus" (47). Under the influence of this music, Alexander "grew vain" (66), defied heaven and earth (71), wept (88), and felt depressed (115) and startled (130). Great is the change of the king's feelings, yet he mostly indulges in negative moods. Dryden emphasizes: "What passion cannot Music raise and quell" ("A Song for St. Cecilia's Day," 16; 24); he even imagines the creation of the universe under the harmony of music's power ("A Song for St. Cecilia's Day," 1-10). Pope emphasizes the importance of reason and judgment several

Likewise, Pope adores Shakespeare for the latter's "*power* over our *passions*" ("Preface" 535)—not only his wisdom to teach us. Shakespeare's influence on reader's emotion is justified: "We are surprised the moment we weep; and yet upon reflection find the passion so just, that we should be surprised if we had not wept, and wept at that very moment" ("Preface" 535). In addition, he urges all would-be critics to "point your thunder, and exhaust your rage" on all abnormal phenomena (555)—a declaration that demonstrates more emotional rage than reasonable argument. While finding some faults in great writers, critics should "[d]ischarge that rage on more provoking crimes" (528). Pope indeed criticizes with his "spontaneous overflow of powerful feelings": "Though nominally the poet of reason, he was the very antithesis of the man who is reasonable in the highest sense: who is truthful in word and deed because his conduct is regulated by harmonious and invariable principles. Pope was governed by the instantaneous feeling" (Stephen). Pope means to hold both reason and feelings, but he fails to offer a stable, unswerving description of their relationship.

While emotion and wit mainly prevail in poetry, reason and judgment reign in criticism. For Fairer, the tension between reason and emotion in the "An Essay on Criticism" "negotiates" between Aristotelian decorum and Longinian inspiration (33). Pope generally recognizes such a separation in his admiration of Horace's artistry:

> He who, supreme in judgment as in wit,
>
> Might boldly censure as he boldly writ,
>
> Yet judg'd with coolness, though he sung with fire;
>
> His precepts teach but what his works inspire. (657-60)

In other words, following the example of his favorite writer, Pope would not agree that a critic can let go "the overflow of powerful feelings" in his/her judgment. Both Aristotle and Horace argue "with coolness" and decorum. Nevertheless, Pope also glorifies Longinus, who was blessed by the Muses "with a poet's fire: / An ardent judge, who zealous in his trust, / With warmth gives sentence, yet is always just" (676-78). This sublime author never intends to hide or disguise his passion and zeal in his critical judgment. No wonder that Pope encourages critics to pour out their anger on abnormal phenomena. Horace and Longinus differ in their styles and their expression of feelings, yet both, together with Aristotle, are canonized by Pope. These comments deprive thinking and reason of their supreme authority, and reveals Pope's heterogeneous voice with regard to judgment as well.

Pope indicates that faults always exist in literary works, and that critics cannot reject a work in the name of obeying the rules (253-58). Arbitrary is it to judge some discourses as "fault," since reason and taste do not work as unchanged and universally accepted measures. Anachronism may be regarded as a serious mistake by some scholars, and even Shakespeare

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times in "An Essay on Criticism," but in the Timotheus episode he tends to disregard the essential difference between music and literature; his identification of Dryden as Timotheus presumes his admiration of the power of art to manipulate readers' feelings—a condition that is severely condemned by Plato (359), and that contradicts his portrait of an ideal critic (574-77).

"commits" it in *Henry IV* and *Julius Caesar*; however, literature does not mean to present history, and it is priggish to demand the former to follow the latter in all details. The violation of the three unities may also be treated as a "fault." Yet great dramatists seldom follow the rules, while those rule-abiding playwrights may make their audience sleep (242). In the Quixote-Dennis episode (267-84), Dennis is ridiculed for his play, which is "exact to rule" (277). Pope even takes it for granted that "men of wit" must commit minor errors in order to avoid greater ones, and "not to know some trifles is a praise" (260-62). Quixote's suggestion to Dennis's play also "encourages" the transgression of Aristotle's poetics (284). Pope's "tolerance" for "trifles" and "faults" reveals more his personal taste than a universal ideal, while he offers no definite standard by which we can determine the "great" and "minor" mistakes. Thus he challenges indirectly the sacredness of Nature. His flexible judgment indicates that some blemishes always exist in Nature and wit; therefore, it is better *not* to follow Nature wholeheartedly. Judgment, therefore, becomes a matter of relativity.

Pope's ambivalent attitude toward reason drives his argument closer to Bakhtinian dialogue than to Platonic dialogue. Plato presents his philosophical views in the form of dialogues, with the assumption of the supremacy of reason and morality. "Plato's choice of the dialogue form, and of a particular variety of dialogue, is determined by his philosophical aims" (Irwin 77). In other words, Plato "manipulates" the whole dialogue and sometimes renders the addressees insipid, stupid, ready for nothing but complying with Socrates's viewpoint. It lacks the open-endedness and inconclusiveness of a true dialogue. Besides, Plato does not arrange his discourse as dialectics—Socrates never compromises with his addressees, but always invites them to accept his conclusions under the disguise of a naïve speaker, who claims that he knows nothing. The conclusion amounts to Plato's presumed ideas, and Socrates rarely "modifies" his opinions in his conversation. To some extent Pope also speaks with the intention to persuade his readers with cogent and reasonable arguments, but his questioning of reason, either consciously or unconsciously, marks his radical difference from Socrates/Plato—Plato may appear inconsistent in some arguments, but he never doubts the validity of reason. Pope's inconsistent descriptions of wit-judgment relationship(s) expose the fallibility of his reason. His attitudes toward reason and emotion reflect what Bakhtin points out:

> the author utilizes now one language, now another, in order to avoid giving himself up wholly to either of them; he makes use of this verbal give-and-take, this dialogue of languages at every point in his work, in order that he himself might remain as it were neutral with regard to language, a third party in a quarrel between two people (although he might be a biased third party). ("Discourse" 314)

In Bakhtinian term, this illustrates the unreliability of monologic discourse and the impossibility of the centripetal voice to dominate the whole situation. Rather, Pope wavers between wit and judgment, emotion and reason, and the centrifugal and the centripetal. Shattered is the image of a reasonable, suave critic who rests on Nature and who always

intends to persuade the reader with reason.

C. Pope's violation of the Great Chain of Being

Furthermore, Pope's appreciation of the power of music in the Timotheus episode challenges the presumed stability of the Great Chain of Being. "Order is heav'n's first law"–therefore, some people are greater or richer than the others ("An Essay on Man" 4.49-52). The law and necessity of the Great Chain of Being exist in Nature and humanity as well: "The gen'ral order, since the whole began, / Is kept in nature, and is kept in man" ("An Essay on Man" 1.171-72); "That God of Nature, who, within us still, / Inclines our action, not constrains our will" ("To Colonel Cotterell" 280-81). Caesar's ambition and Alexander's scourge prevailed because of the divine will ("An Essay on Man" 1.159-60). Thence "to reason right is to submit" ("An Essay on Man" 1.164). This chain holds everything—"All served, all serving: nothing stands alone" ("An Essay on Man" 3.25). He describes the danger of breaking this Chain: "On superior pow'rs / Were we to press, inferior might on ours: / Or in the full creation leave a void, / Where, one step broken, the great scale's destroyed" (1.241-44). Timotheus, a subordinate to Alexander the Great, "surrenders" the king to the power of music and deprives him of the majesty of a monarch. His music, judged from the viewpoint in "An Essay on Man," must be rejected since it breaks the order of the universe, and brings no harmony to the head of the state. Pope's "judgment" of the "value" of Timotheus's subversive artistry evidently contradicts his affirmation of the necessity for all creatures to stay in their pre-ordained places in the Chain of Being. In Bakhtinian term, this is Pope's heteroglot voice imbedded in his apparently consistent discourse.

The submission to the Great Chain of Being or to the universal order runs counter to the heteroglot humanity—a fact that even Pope sadly perceives. The carnival tendency is inherent in humanity: since human beings can only see a part of truth, they may treat "the dull ox" sometimes as a god, and sometimes as a sacrifice ("An Essay on Man" 1.60-68). "In pride, in reas'ning pride, our error lies" ("An Essay on Man" 1.123). He condemns human beings as worms ("To Mr. John Moore" 5-8). Human beings sometimes intend to soar and sometimes look downward ("An Essay on Man" 1.173-75); they were "[c]reated half to rise, and half to fall; / Great lord of all things, yet a prey to all; / Sole judge of truth, in endless error hurled" ("An Essay on Man" 2.15-17). No "reasonable" discourse can catch the carnivalized, anti-essentialist humanity:

> A being darkly wise, and rudely great:
> With too much knowledge for the sceptic side,
> With too much weakness for the stoic's pride,
> He hangs between; in doubt to act, or rest;
> In doubt to deem himself a god or beast;
> In doubt his mind or body to prefer;
> Born but to die, and reas'ning but to err . . . . ("An Essay on Man" 2.4-10)

However, Pope neither submits himself to the authority as he proposes in "An Essay on Man", nor accepts "Whatever is, is right." His direct attack of contemporary British monarchs (Charles II [536] and William III [544-45]) challenges his own belief in the universal harmony and the Great Chain of Being. Corruption and collapse of culture, in his eyes, characterize the reigns of both kings. His anger and despair about the status quo erupt in his emotional diction and tone: "These monsters, Critics! With your darts engage" (554). Yet the ideal poet/critic must maintain his reason and mercy to his/her enemy: "To err is human, to forgive divine" (525); "Who to a friend his faults can freely show, / And gladly praise the merit of a foe" (636-37)—Pope as a satiric poet could scarcely "forgive" his enemies. "Honorable fool[s]"—thus mocks he the noblemen who take degrees without learning. This mockery upsets the traditional social hierarchy: "Paradoxically, the conservative Pope, who was striving to preserve the deteriorating hierarchical principles in poetry and culture, revolted against social hierarchies, predicating the immorality of [some] nobility" (Gregori ix). His attack becomes all the more sour and bitter in his later satires: "That NOT TO BE CORRUPTED IS THE SHAME / In soldier, churchman, patriot, man in power" ("Epilogue to the Satires" 161-62); he proudly criticizes many contemporary noblemen ("Epilogue to the Satires" 112-15). He takes for granted the decline of England: "O WRETCHED B—! Jealous now of all, / What God, what mortal, shall prevent thy fall? ("1740: A Poem" 1-2); "The plague is on thee, Britain, and who tries / To save thee, in th' infectious office, dies" ("1740: A Poem" 75-76). His violation of the Great Chain of Being reaches the zenith in the *Dunciad*: "Art after Art goes out, and all is Night" (4.640); "universal Darkness buries All" (4.656). Therefore, his declaration that "All discord, harmony not understood; / All partial evil, universal good" ("An Essay on Man" 1.291-92) loses its validity and authority, so does the necessity of the regulation of wit by reasonable judgment. In his violation of the Great Chain of Being, he displays far more emotion and wit than reason and judgment. His "Pegasus" refuses to move under the yoke of reason, soars beyond the reach of judgment, and upsets his own proposal to submit to the status quo. Wit becomes a subversive force in the masterpiece of the spokesman of Nature. His discourse about wit and judgment indeed illustrates the irresistible force of heteroglossia.

D. Dialogue as the guide of wit and judgment

Pope recognizes the lack of the universal standard for judgment (9-10); besides, "Some, valuing those of their own side or mind, / Still make themselves the measure of mankind" (452-53). Critics may ruin the classics more than time and moths with their misinterpretations and criticisms (112-17). Some critics may blame the "freer beauties" coming from the poetic licenses (170). The endless conflicts between wit and judgment negate the existence of a universally accepted aesthetic standard, and a Bakhtinian reading, which treats them as the centrifugal and the centripetal respectively, illustrates their "dialogue" even in their tension.

Pope insinuates the dialogic quality of judgment when discussing the basic requirement of criticism: "Know well each ancient's proper character; / His fable, subject, scope in every

page; / Religion, country, genius of his age" (119-21). This is similar to an inductive method: a critic must try to establish a general, overall understanding of a specific writer by studying thoroughly all aspects of his/her age first. The process of this understanding amounts to dialogue: it is not a one-way absorption of some dead knowledge; critics must incessantly question and interrogate the validity of the sources. Nature "bestows personal gifts," including wit and judgment; in order to perfect Nature's gifts, one must learn in community (Diderot 365). In order to avoid pride and wrong judgment, Pope affirms, "Trust not yourself; but your defects to know, / Make use of ev'ry friend—and ev'ry foe" (213-14). This advice presupposes a dialogic community for poets and critics as well: the give-and-take among friends and foes can truly nourish one's artistry and judgment; self-alienation will lead to "little learning" and prejudice. Learning is compared to an unending process of climbing a mountain: "But more advanc'd, behold with strange surprise / New distant scenes of endless science rise" (223-24); the "growing labors of the lengthen'd way" still await all critics (230). Therefore, Nature always stands beyond the reach of all poets and critics; the more one learns, the more he/she will find there are still many things to be learned.

"An Essay on Criticism," "[r]ead dialogically, represents a consciousness coming to terms with the conflicting demands of good sense and tolerance for human error, of poetic (or critical) justice and mercy" (Bellanca 66). Yet this indication does not fully reveal the heteroglossia in Pope's discourse about Nature and the wit-judgment tension. The "conflicting demands of good sense and tolerance for human error" in Pope's ideal still anticipates reconciliation of all alien voices. However, he neither defends the gap between his ideal and his practices, nor successfully controls his wit by his judgment. Because of the fluidity of taste and the unreliability of reason, judgment can neither maintain stability and consistency nor restrain wit and passion. Both wit and judgment, far from occupying certain pre-determined places in humanity, threatens the order of the Great Chain of Being in their disharmony, and their resistance to any ultimate synthesis manifests the openendedness of their "dialogue." Bakhtinian dialogism recognizes the inevitable and necessary tension between the centripetal and the centrifugal, and also highlights Pope's actual treatment of both wit and judgment.

V.   Conclusion

Pope's craftsmanship is so perfect that few poets in the later generations can match or imitate him (Battestin 33)—so brilliant is his wit, so deep is his judgment, yet so prominent is the tension between his wit and judgment. In his attempt to formulate their ideal relationship, the heterogeneous voices in his discourse mock and disrupt his ideal. He was interested in three things: "himself and what other people thought of him, his art, and the manners and characters of society" (Auden 219). This highlights a dialogic context for Pope's artistry. With his art, Pope constructs his own image and responds to his friends and foes. "An Essay on Criticism" begins with the evaluation of the impact of wit and judgment on society (1-8).

Despite his emphasis on the regulation of wit by judgment, he in fact shows their incessant conflicts.

A dialogic environment, however, does not contribute to an ordered, systematic discourse. In the eighteenth century, wit carried social significance and always anticipated a dialogic context: "the attitude of the man who understands a joke and tells one because he is aware of a deeper union with his interlocutor" (Gadamer 25). Likewise, judgment was also placed in a dialogic context in the Age of Enlightenment: "Everyone has enough 'sense of the common' (gemeinen Sinn)—i.e., judgment—that he can be expected to show a 'sense of the community' . . ." (Gadamer 32). "Criticism" itself requires the appropriate deployment of judgment to highlight the divine light of Nature demonstrated by wit. Part of the Pope's achievement is "in the very ease and friendliness with which it approaches complexity" (Hunter 28). With the conversational and dialogic tone, he explores the most profound topic in the contemporary poetics, and exemplifies the wit-judgment dialogue.

Pope intends to describe ideal judgment just as Arnold endeavors to promote impartial criticism, "a disinterested endeavor to learn and propagate the best that is known and thought in the world" ("Function" 603). Yet both of them cannot deny the existence of various voices among their contemporaries.[12] Human consciousness cannot be reached through a monologic approach. "Consciousness is in essence multiple" (Bakhtin, *Problems* 288). Wit does not actually follow the restraint of judgment or criticism; rather, creative imagination may always challenge the validity of critical theory, force critics to revise their taken-for-granted opinions, and disrupt the order imposed by authoritative "rules." The centrifugal force, according to Bakhtin, always possesses greater power than the centripetal. Arnold even suggests that critics must stand "in the second place, not the first, as a sort of companion and clue, not as an abstract lawgiver—that the critic will generally do most good to his readers" (602). In other words, critical judgment must be demonstrated in a dialogic background (critic as companion), not in an authoritative, monologic stance. Heteroglossia, not Nature, actually prevails, while the communication and conflict of various voices continue. Therefore, it is misleading to treat Pope as the poet who always emphasized on the importance of reason; instead, both wit and judgment co-exist and conflict continually in his poetry. The term "the Age of Reason" also veils the complicated reality in the neoclassical England, because reason did not really predominate at that time—it was merely one voice among many others. Dialogue acts as the true guide of wit and judgment, and even modifies our understanding of Nature.

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[12] Arnold complains that Victorian England was disrupted by the interests of political parties: *Edinburgh Review* spoke for the Whigs, *Quarterly Review* was an organ of the Tories, *British Quarterly Review* represented Dissenters, *Times* was controlled by common well-to-do Englishman, and *Dublin Review* subordinated critical mind to Catholicism ("Function" 597).

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代罪羔羊：《分崩離析》主角奧康渥
的挫敗與哀痛[1]

鍾淑玟[*]

摘要

　　齊努亞•阿奇貝(Chinua Achebe)的小說《分崩離析》(*Things Fall Apart*)描述的是前殖民時期的「依波族」(Igbo)，在面對歐洲人以傳教之名行侵略之實時，其原本就充滿衝突對立的「烏穆菲亞」(Umuofia)傳統社會生活如何瓦解分裂的故事。此小說被公認為非洲史詩小說；其主角奧康渥(Okonkwo)也常被視為悲劇英雄。奧康渥並非亞里斯多德的詩論(*Poetics*)中所定義的典型的出生高貴、能意識到缺點卻無力阻擋其將他帶入毀滅、從好運直墜厄運的悲劇英雄。讓奧康渥成為英雄的是他以死明志的勇氣，但此舉卻也使他成為顢頇族人的代罪羔羊。他以一人的犧牲，讓族人免於對其部族精神價值的淪亡產生集體罪惡感，才是使他成為悲劇英雄的主因。本論文將檢視阿奇貝在《分崩離析》中如何處理悲劇英雄奧康渥在內憂外患之際所遭遇到的挫敗與悲痛，進而討論作為族人代罪羔羊的奧康渥，如何在表述人世間無可避免之境遇外，也幫助讀者滌除迫害代罪羔羊的罪惡感與哀傷。

關鍵詞：非洲史詩小說、悲劇英雄、詩論、集體罪惡感、代罪羔羊

Scapegoat: Okonkwo's Frustration and Sorrow in *Things Fall Apart*

Shu-mei Chung[*]

Abstract

Chinua Achebe's *Things Fall Apart* describes how the people of the former colonial Igbo society are faced with European aggression in the name of the missionary work and how the already conflicted traditional social life of Umuofia eventually collapses. This novel has been recognized as an African epic and the protagonist Okonkwo is often seen as a tragic hero, too. However, Okonkwo is not the kind of tragic hero defined in Aristotle's *Poetics*, who is a person of noble birth, aware of his own flaws, but unable to stop himself from falling into destruction. Instead, Okonkwo becomes a hero because of his bravery in sacrificing his life for his people, which makes him the scapegoat of the tribe. By so doing, he also saves his tribe's spiritual values and prevents the community from feeling collective guilt, which makes him a tragic hero. This essay will examine how *Things Fall Apart* deals with Okonkwo's frustration and grief when he encounters the internal and external problems of Umuofia society. It will discuss, as a tribal scapegoat, how Okonkwo expresses his personal experiences, and thus helps the readers free themselves from the guilt and grief of persecuting a scapegoat.

Keywords: African epic novel, tragic hero, *Poetics*, collective guilt, scapegoat

一、前言

　　凡讀過齊努亞‧阿奇貝(Chinua Achebe)的小說《分崩離析》(*Things Fall Apart*)的讀者，都能從作者寫在第一部之前的題詞中，得知本書名原義來自詩人葉慈的詩句：「事物分崩離析，中心無法保持」。而陳蒼多在其譯序中提及他將書名原義為「分崩離析」的 *Things Fall Apart* 譯為《黑色悲歌》乃因「本書男主角奧康渥最後上吊自殺……他經歷沉重的一生，上吊的屍體讓人感覺更加沉重」。譯者認為，奧康渥雖身為強人，終其一生卻受制於「恐懼」與「怒氣」，其悲劇重重的人生，比「生命中不可承受之輕」更難面對。然而，基於忠於原著的考量，本文將採用陳蒼多的譯本，但書名仍採用較能保持原義的《分崩離析》，以方便讀者辨識。

　　《分崩離析》描述的是前殖民時期的依波族(Igbo)，在面對歐洲人以傳教之名行侵略之實時，其原本就充滿衝突對立的「烏穆菲亞」(Umuofia)傳統社會生活如何瓦解分裂的故事。此小說被公認為非洲史詩小說；其主角奧康渥(Okonkwo)也常被視為悲劇英雄。然而，筆者不認為奧康渥像某些論者所說的那般，是個亞里斯多德的詩論(*Poetics*)中所定義的那種典型的出生高貴、能意識到自身缺點卻無力阻擋其缺點將他帶入毀滅、從好運直墜厄運的悲劇英雄。

　　奧康渥出生卑微，一生中有起有落；他的確有些缺點，但帶領他走向悲劇的不盡然是他的缺點，也包括他在談判時面對殖民者的強橫霸道所嘗到的挫敗，以及他在看到族人面對外辱時不戰而逃的懦弱後所感到的哀痛。奧康渥深知，與其在形同奴隸制度的被殖民環境裡苟且偷生，不如以部族傳統的善戰精神為個人與部族的自由而戰。於是，當習慣安逸的族人不再為自身奮戰時，絕望的奧康渥終因不忍見到部族精神淪喪，在手刃信差後自殺明志，即使自殺在烏穆菲亞社會裡是褻瀆大地之大忌。讓奧康渥成為英雄的是他以死明志、知其不可為而為之的勇氣，但此舉卻也使他成為顢頇族人的代罪羔羊。他所作所為並不比任何族人更糟，但他卻得為族人的過錯付出自殺的代價。他以一人的犧牲，讓族人免於對其部族精神價值的淪亡產生集體罪惡感，筆者認為這才是使他成為悲劇英雄的主因。

　　據此，本篇論文將檢視阿奇貝在《分崩離析》中如何處理悲劇英雄奧康渥在內憂外患之際所遭遇到的挫敗與悲痛，進而討論代罪羔羊的定義與實踐，來審視作為族人代罪羔羊的奧康渥，如何在表述人世間無可避免之境遇外，也幫助讀者滌除迫害代罪羔羊的罪惡感與哀傷。

二、文獻回顧

　　在閱讀《分崩離析》評論的過程中，筆者發現大部分的論者對下列議題多所著墨：
(一)、烏穆菲亞傳統如何處理違反神諭及殺人事件
　　此一主題曾被論者歐尼斯特‧錢皮恩（Ernest A. Champion）與大衛‧赫貝爾（David Hoegberg）深入討論，所討論到的違反神諭及殺人事件包括：在「和平週」期間鞭打最年輕的妻子、殺死伊克米福拿（Ikemefuna）、誤殺族人伊祖度（Ezuedu）的十六歲兒子以及砍殺白人派來的信差頭子（錢皮恩 273；赫貝爾 71）。從奧康渥誤殺族人伊祖度的兒子，延伸到因反抗殖民化而屠殺族人的議題，派崔克‧諾羅米爾（Patrick C. Nnoromele）與艾帝利卡‧艾帝耶科（Adéléké Adéèkó）的觀點相當一致，他們都提出質疑，既然殺死族人就是犯了神諭的大忌，當歐奇卡（Okika）說服族人去做「他們祖先不會做的事」（也就是殺害自己的族人）時，他的說法是否自相矛盾（諾羅米爾 154；艾帝耶科 75）。

(二)、依波族文化挫敗之原因

對探討此一議題的論者們而言，僅僅歸咎於殖民者與被殖民者間的衝突並不能帶來更新的詮釋，於是有論者—如潔莉卡‧林‧沃茨（Jarica Linn Watts）—探討依波族從口述文化過渡到筆述文化的過程，推斷因為文化漸失而終究造成該族面對外來文化時的挫敗（74）。另有論者索菲亞‧薩瑪塔爾（Sofia Samatar）提及，依波族人面對外來文明時缺乏警覺性，沉溺在殖民者文明所帶來的便利生活中，而不自知其神諭已逐漸失靈（62）。

(三)、恩渥耶（Nwoye）改宗之因素

恩渥耶的改宗被許多論者，如赫貝爾、薩瑪塔爾、錢皮恩與艾利森‧希爾（Alison Searle）反覆討論，他們都注意到恩渥耶百思不得其解的問題：一是關於部族裡一出生便被棄置到叢林中哭泣的雙胞胎的問題，二是為何伊克米福拿必須被犧牲（赫貝爾 72-73；薩瑪塔爾 64；錢皮恩 274-75；希爾 52）。此外，希爾所提出的、有關於宗教並不盡然是殖民者利器之說（60-61），值得被重視，而本文也將會在第三部份探討此論點。

(四)、奧康渥之自殺與其悲劇英雄的特質

奧康渥之自殺始末很常被論者—如薩瑪塔爾、艾帝耶科、希爾與傑克‧貝克漢（Jack M. Beckham）等人—所提出，和奧康渥是否能被定義為悲劇英雄一起討論。譬如說，貝克漢就特別論及奧康渥的悲劇性缺點（230），希爾則認為不能用傳統悲劇英雄的框架來套用在奧康渥身上（52），而論者艾帝耶科則認為，在討論奧康渥何以成為悲劇英雄時，應該考慮到殖民主義的因素（81）。

筆者認為這些議題的背後，隱藏了一個更普世的議題：代罪羔羊。雖然此議題並沒有被上述論者直接提及，但有些論者，如赫貝爾、錢皮恩與諾羅米爾，皆論及依波族文化中所強調的嚴厲誡律（赫貝爾 69；錢皮恩 275；諾羅米爾 81）。 直言之，個人若違反眾人利益或神諭時就必須犧牲個人生命以平息神的怒氣和恢復部族的和諧，這與代罪羔羊的定義相去無幾。筆者推測，恩渥耶改宗，乃因他潛意識裡無法接受自己父親或族人驅逐罪惡與邪惡的態度與方式，然而他卻不善於表達自己對此宗法所感到的不滿與悲哀。綜觀全文本，敘述者並沒有確切使用「代罪羔羊」此詞語，也沒有透露是否此族人了解何謂代罪羔羊，但如上述議題所示，代罪羔羊的概念和情節，卻屢屢從族人的社會生活中，以一種心照不宣的集體道德觀凸顯出來。而奧康渥顯然從一開始便很服膺於這種部族宗法，且終其一生視其為理所當然，因此無法接受他兒子恩渥耶的改宗。他手刃信差後再自殺以免族人不受牽連、又能使一位「地區首長」因處理他那已褻瀆大地女神的遺體而有失尊嚴的舉動，在筆者看來，乃是一種挺身而出、讓自己成為整個部族的代罪羔羊的具體表現，也是筆者對此文本最感興趣的地方。

三、《分崩離析》裡的代罪羔羊

相較於第二部涉及第一批傳教士的到來和外來政權、教會與貿易的侵蝕，在小說的第一部裡，作者主要描述的是使九個村莊關係緊密結合的部族社會生活。在鼓聲、節慶、宴會與摔角大賽中，我們看到了生機蓬勃的伊波族社會。在幾個重要的宗教儀式裡，我們也讀到了他們對傳統的堅持，甚至已到了迷信和動輒訴諸暴力的地步。赫貝爾認為，奧康渥確實頻繁的使用暴力，但阿奇貝對於有關文化與暴力間關係的陳述，更常出現在以部族為整體的行動和信仰裡（69）。錢皮恩認為，伊克米福拿被殺的故事和亞伯拉罕和以撒的故事一樣古老，阿奇貝所著重的，是一個對人們賴以維生的神性無異議遵從所提出的整體問題。在阿奇貝的描述下，一個伊波族

人對小山與洞穴的神諭的忠誠和亞伯拉罕對以色列的神的忠誠是一樣的古老（275）。有趣的是，伊克米福拿被殺的故事，對赫貝爾而言，也是看似聖經裡亞伯拉罕和以撒的故事的翻版（74）。然而，赫貝爾主張，在聖經裡所呈現的神的判決是無庸置疑的，且亞伯拉罕的信念是值得稱讚的；但在阿奇貝的故事中，這樣的信仰既不被需求也不特別有用（75）。諾羅米爾則認為，歐比利卡（Obierika）從奧康渥誤殺族人伊祖度兒子的事件中觀察到，私人價值和公眾期待在拉扯之際失去了平衡點（150），造成了凡是違反眾人利益就必須犧牲個人利益的現象（151）。

由於筆者在上述這些論者的觀點中，感覺到它們與代罪羔羊的概念的相似處，於是就代罪羔羊的理論研究一番，遂發現西爾薇亞·布林頓·珀瑞拉（Sylvia Brinton Perera）的《代罪羔羊情結》一書，提供了一些基本且實用的理論基礎。該書開宗明義即強調：

> 我們將此詞語（代罪羔羊）應用在被指控製造災難的個人和團體。這可做為其他人或替罪羊儀式執行者（the scapegoaters）緩解他們自身責任時使用，並得以強化替罪羊儀式執行者內心的公平正義感與權力感。這在目前的用法上著重在搜尋生命的面向，因為在現代我們已經習慣運用一個型式已被曲解的原型，一種忽視神祇角色、只把生命中的邪惡歸咎於代罪羊與惡魔的用法。
>
> 我們忘了，最初始時，代罪羔羊指的是一被選出來獻祭給冥府主神的人類或動物受害者，以便來安撫神的憤怒與治癒社會這個共同體。代罪羔羊為一「治療法」（*pharmakon*）或癒合媒介（healing agent）。在代罪羔羊儀式上，牠是被獻給神也與神祇認同。此儀式旨在帶來超越自我的面向，來協助社會重生，因為這個社會認知到其自身已被嵌入並且依賴這種超越自我的力量。代罪羔羊的儀式和其他儀式一樣，是被用來「充實其他存在層面的意義或喚起人們對這些存在層面的注意。[它]併入邪惡與死亡，伴隨著生命與善良美好（goodness），一起進入單一的、重要的、一致性的模式」。（8）

除了珀瑞拉的代罪羔羊情結理論之外，筆者也同時發現到，在聖經裡，耶穌基督被釘十字架與復活，乃因神要犧牲一無辜之人以贖全人類之罪的旨意，這也是為何耶穌要以一種極端痛苦的死亡方式來贖人類的罪，意味著所有的人性犯罪都將由一人的肩膀所承擔。如此由神來命定一無辜之人被犧牲的詮釋法，「為一依循合法暴力的修辭方式敞開大門」，因為它「漠視了人在殺死耶穌時所扮的角色」。然而，雷內·吉拉爾（René Girard）的代罪羔羊機制（scapegoat mechanism）提供另一種分析基督教的詮釋法。吉拉爾認為在本質上人類的確以一種最痛苦的方式謀殺了一無辜之人，那便是耶穌基督。吉拉爾於是建議：第一，自那之後耶穌便永遠被當成代罪羔羊；第二，人肯定有訴諸暴力的能力；第三，除了暴力之外，人類具有使任何無辜之人遭受暴力的能力。這就是我們必須要從基督被釘十字架此一犧牲中記取的教訓。吉拉爾的詮釋驅使人們去反省、甚至要為基督的犧牲譴責自己，而非把責任都推卸給神的意旨。而重點在於，既然基督的犧牲一點都不應該再發生，那麼就不該再有任何無辜的代罪羔羊被殺害，然而，這種事卻一再發生（Pindleton）。

或許揭露更多替罪羊儀式執行者和代罪羔羊之間的關係可提供人們對後者本身更盡一步的了解。在《代罪羔羊：摩西的一生》第二十章，瓊·羅倫斯（Joan Lawrence）描述了一有關羔羊的聖經故事。當摩西和他的族人停留在靠近何烈山(Horeb；即西奈山)的沙漠地帶時，他們「在開會的帳篷裡服侍神」，並且過著安靜又勤奮的生活（118）。拿答和羅比戶（Nadab and Abihu）—艾倫（Aaron）的兒子們—在他們剛剛

接觸聖職時，「在營火裡添了一種奇怪的、被禁止的、曾被用來供奉金牛犢的香」（119）。摩西知情後，「指示祭獻必須被執行，包括要殺一隻羔羊和放逐另一隻來承擔[他們的]罪」（120-21）。摩西深感到他和族人被這兩兄弟冒瀆神的行為所牽連（121）。在儀式的準備中，他感到痛苦和自責自己沒能督促年輕人熱切的服侍神，並自問是否應該是他而非那隻羔羊來承擔人類的罪。雖然摩西感到很矛盾，尋找「在各方面都完美的」兩隻羔羊仍是他的工作。在艾倫殺了其中一隻羊並將之血祭後，摩西轉而去面對另一隻要被放逐的羊。這隻羊「溫順地站著」、「和善地拱起牠的頸且看著他」（121）。牠的無辜考驗著摩西，讓他再一次低聲說：「讓我們的罪被驅逐吧！」（121）。當他「既難過又帶著極度的恐懼與強烈的同情心」解開綁羊的繩索時，摩西的淚滴落在山羊糾結的毛裡（121）。最後，他想到這隻羊是個樸實的「古老的我們的罪的象徵」，適合「承擔我們的罪行」，因為「唯有無辜者可以承擔罪過……而羔羊當然被我們人類的墮落給玷污了」（122）。因此，他認為這負載著「已加諸於牠身上的重擔」的羔羊，是「比他更值得去帶走不法行為的」（122），畢竟這是最神聖的贖愆祭的（the guilty offering）的律法。

烏穆菲亞傳統處理違反神論及殺人事件的方式，在筆者看來，即是上述原始的代罪羔羊情節或儀式的具體實踐。譬如說，那位被命定、被「奉獻給烏穆菲亞村莊，以避免戰爭和流血」、名叫伊克米福拿的苦命男孩（阿奇貝著；陳蒼多譯 12）。因為他的父親「殺害了烏穆菲亞的一個女兒」，他和村裡另一位女孩遂被帶到烏穆菲亞（18-19），男孩暫住在奧康渥的家，並且認奧康渥為父親，然而這位被認做父親的人，不但帶給這男孩代罪羔羊的命運（61），更諷刺的是，最後把男孩砍倒的，就是這位被男孩稱為父親的人，只因這父親（奧康渥）「害怕被人家認為軟弱」（66）。接下來的例子是奧康渥自己的「和平週」事件，他在那天毆打他最小的老婆（34）。「伊吉亞尼（Ezeani）說：『你所做的壞事會毀了整個部族。你所侮辱的大地女神可能會拒絕提供我們農作物，我們全都會滅亡』」（35）。伊祖度也談到，奧康渥破壞「和平週」的懲罰已經很輕了，「在過去，破壞和平的人都是被拖過村莊，直到喪命為止」（36）。針對這一點，赫貝爾建議，殺死冒犯者的習俗在此之所以改變，不是因為一個潛意識的偉大進化，也不是因為冒犯者為族人所特別喜愛，而僅是因為嚴厲懲罰違反了人們原本不想破壞和平的原則（69）。

後來，在伊祖度的葬禮，「本來跟弟弟和同父異母的兄弟一直在跳著傳統的舞與父親告別」的十六歲男孩，被奧康渥突然爆炸的槍射出的鐵片穿過心臟而死亡。「暴死的情況時常發生，但是這類的事情卻不曾出現過」（阿奇貝著；陳蒼多譯 129）。奧康渥唯一能做的當然是逃離部族，因為「殺死族人是拂逆大地女神的一種罪，犯這種罪的人必須逃離自己的土地。這種罪分成兩類，陽性的與陰性的。奧康渥犯的罪是陰性的，因為是非故意的。他可以在七年之後回到部族」（129）。此時，為自己朋友的災難感到悲哀的歐比利卡也同時反映了他的心聲：

> 為何一個人要為自己不是故意犯的罪受那麼大的苦？……他記得妻子的雙胞胎孩子，他已經把他們遺棄了。他們犯了什麼罪呢？大地宣稱，他們冒犯土地，必須被毀滅。如果有人冒犯了偉大的女神，而部族沒有對他施加懲罰，則偉大的女神會牽怒於所有的土地，不只是牽怒於冒犯的人……。
> （130）

筆者認為，這些部族裡被遺棄的雙胞胎孩子們，和摩西和他的族人放逐的羔羊一樣，同樣是承擔罪過的無辜者。歐比利卡並不孤單，當奧康渥的舅舅烏陳度（Uchendu）勸他不要因為被放逐而自暴自棄時說：

> 你認為你是世界上最受苦的人嗎？你知道人們時常終身被放逐嗎？……你

> 知道我葬了多少孩子嗎？……二十二位。我並沒有因此上吊，我仍然活著。
> 如果你認為你是世界上最受苦的人，那麼去問問我的女兒亞姑尼，問她生
> 下多少雙胞胎，遺棄了多少雙胞胎。（139）

由此可見，在此文本中，「因冒犯神祇而犧牲生命」、或是「被放逐到部族之外」這兩種模式，便成為主要的替罪羊模式。

　　然而，這種替罪羊的實踐當中，欠缺的是吉拉爾所建議的那種來自基督教詮釋法的替罪羊機制，換言之，基督已為所有人類犧牲，所以就不該再有任何無辜的代罪羔羊被殺害的觀念。這也說明了為何當恩渥耶知道有一種宗教可以讓無辜的替罪羊被殺害這種事不會再發生時，他寧可立刻改宗。然而，往往因為「白人不僅帶來一種宗教，也帶來一個政府」（阿奇貝著；陳蒼多譯　161），在殖民主義的框架下，論者們探討白人在殖民地的傳教狀況時，很難不泛政治化。比如說，當白人傳教士在姆班塔傳教時，告知當地人，他們的神祇「是騙人的神祇，他們告訴你們要殺你們的同胞，殺滅無辜的孩童」（152）。敘述者這樣的陳述，很難不讓支持殖民主義論述的讀者或論者聯想：那是協助殖民任務的傳教士的說法。然而，我們也必須正視，誠如文本所呈現，伊波族神祇曾有要求族人殺族人、甚至是殺孩童滅口之紀錄。所以當恩渥耶說出他對新宗教的嚮往時，他對新宗教正面的評價也應當被尊重。筆者認為，讓恩渥耶著迷的「那首有關坐在黑暗與恐懼中的兄弟們的讚美詩」，應該就是關於約瑟、猶大與其他兄弟之情的聖經故事（創 43: 8-9）。這一個肯為兄弟捨命的聖經故事，

> 回答了一個糾纏著他（恩渥耶）的年輕靈魂的模糊但卻揮之不去的問題——
> 在樹叢中哭泣的那對雙胞胎，以及被殺害的伊克米福拿。當讚美詩湧進他
> 焦乾的靈魂時，他的心中感覺到一種舒慰。讚美詩的語詞就像一滴滴結凍
> 的雨在喘息的大地的乾顎上溶解。（阿奇貝著，陳蒼多譯　153）

另一個採用基督教詮釋法的替罪羊機制的實踐，就是全然接受生雙胞胎的女人及其雙胞胎，這也是基於——基督已為所有人類犧牲，所以就不該再有任何無辜的代罪羔羊被放逐的觀念。在文本中，我們看到，因為伊波族人把他們視之為不祥之地的「惡森林」給傳教士去蓋教堂(155)，繼之，新宗教又很「歡迎雙胞胎以及這類可厭的人（指『被逐出家中的人』）」（162），於是改宗的人越來越多，最好的例子就是曾經懷孕、生產四次，但每次都生下雙胞胎的恩尼卡（Nneka）。她生下的雙胞胎都立刻被丟棄。「她的丈夫和家人相當苛責這樣一個女人；他們發現她變成基督徒，心中並沒有感到過分不安，反而認為除到一個眼中釘」（158）。對於伊波族人避之唯恐不及的「被逐出家中的人」[2]，傳教士基亞加先生（Mr. Kiaga）則說：「他比你我更加需要基督」（163）。

　　根據文本，新宗教不會刻意去挑起它和原始信仰間的衝突，反而盡力去消彌：「他們（教會）從樹叢中救出雙胞胎，但是他們不曾把雙胞胎帶到村莊，就村人而言，雙胞胎仍然待在被遺棄的地方。大地女神確實不會把傳教士的罪加在無辜的村民身上」（161）。少數的衝突，像是信徒中「有一人（「被逐出家中的人」）　在熱心之餘殺死了一條神聖的蟒蛇——水神的象徵——結果導致教會與部族之間的嚴重衝突」（164）這樣的事並不常發生。[3]相反的，「他們（亞庫拿和布朗先生）兩人都沒有說服對方信自己的教，但是他們學習到有關對方的信仰的更多事情」（186）。甚至，在布朗先

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[2] 依波族語：osu；英譯：outcast。

[3] 蟒蛇之所以神聖是因為「高貴的蟒蛇是姆班塔以及四周所有部族中最受歡迎的動物。牠被人稱為『我們的祖先』，……。如果族人不小心殺死一條高貴的蟒蛇，他就要準備贖罪的祭獻禮，進行昂貴的葬禮，就像對偉人所舉行的葬禮」（阿奇貝著，陳蒼多譯　164）。

生學到很多有關部族的宗教的事情後，他認為「正面攻擊它是不會成功的，所以他在烏穆菲亞建了一間學校和一間小醫院」（188）。顯然，宗教的角色，對阿奇貝而言，是一個「對人類存在有先驗了解的靈性事業」（希爾 61）。宗教並不盡然是殖民者征服被殖民者的利器。阿奇貝筆下的傳道會，令人回憶起，傳道士在特別文化中所追求的，是世人在普世信念的要求下所做的決定（希爾 61），只可惜奧康渥在這點的領悟力不及他兒子恩渥耶。

四、奧康渥的挫敗與悲痛

　　奧康渥曾是位偉大的摔角選手，同時又是擁有兩個頭銜的富有農人，且作戰時也有好本事，因「他是個行動派的人」（阿奇貝著，陳蒼多譯 14）。在尊重有成就者的依波族裡，當奧康渥「以高傲又自大的戰爭特使到達姆拜諾時，他受到非常尊敬的禮遇」（16）。他是靠一己之力，以及對他父親「可鄙的生活和可恥的死亡方式」的恐懼感，來奠定他的成就，「過程緩慢而痛苦」（16）。誠如錢皮恩所觀察的，他有「強勁的野心，偏執且易怒，拒絕他父親所珍惜的價值」（273）。奧康渥是個意志堅決的人。當他向恩瓦基比（Nwakibie）要山芋種子時，恩瓦基比很高興還能看到像他這樣的年輕人，因為他們的年輕人已經變得很軟弱（26）。即便在山芋歉收的荒年，他也沒有像許多族人一般因失望而崩潰，因為他有一顆他父親稱之為「雄壯又高傲的心」（29）幫他度過難關。他父親烏諾卡曾說過一些耐人尋味的話：「一顆高傲的心能夠熬過大失敗，因為這樣一種失敗不會刺穿心的高傲。當一個人獨自失敗時，是更加困難、更加痛苦的」（29-30）。奧康渥不屑顯露情感，因為對他而言，那「是一種脆弱的象徵」（33）。奧康渥喜歡告訴女眷們有關家園的故事，但都是「有關狂暴行為和流血的男性氣概故事」（58）。若說他也有情感流露之時的話，那就是在他誤殺伊祖度的兒子而被放逐之後，當他知道他「命定要在異鄉生活七年之久」時，「他滿懷憂愁」（137）。另外，在姆班塔那兒待的最後一次收成時，在「七個荒廢的與疲累的年份終於快要結束」時，他假想著，如果這七年是在尚武的烏穆菲亞度過的話，他就會爬上社會地位的最高峰，「所以他對每個放逐的日子都感到很悔恨」（169）。由此可見，奧康渥不是一個善於表達的人，要得知他的感覺，基本上只能從他與其他人互動時的表現和敘述者的側寫裡略知一二。

　　於是，我們在奧康渥將離開姆班塔前所辦的盛宴中，在一位年紀最長的親人之一的感言裡，彷彿也聽到了奧康渥的心聲：

> ……這個時代，我們卻看到一個人以莊嚴、古老的方式做事情，這是很好的。……但是我擔心你們年輕人，因為你們不了解親人的聯繫力量多麼有力。你們不知道同心同力是怎麼回事。結果呢？一種可怕的宗教已經降臨在你們之中。現在一個人會離開父親和兄弟。他會詛咒先父和祖先們的神祇，……我為你們擔心；我為部族擔心。（阿奇貝著，陳蒼多譯 174）

而錢皮恩對於上述這種恨鐵不成鋼的怨恨，做出如是詮釋：「奧康渥的悲痛，就是一個世代無助的看著下個世代將上個世代所賴以維生的價值破壞殆盡」（276）。當奧康渥回歸自己的部族後，「他知道自己已經在那九個於部族裡面執行正義的帶面具神靈之中失去了地位」（阿奇貝著，陳蒼多譯 177）。然後，悲劇接踵而至，「他的第一個兒子離家信教的悲劇發生了。最初，這個悲劇好像可能讓他受不了。但是，奧康渥是一個很有韌性的人，最後他克服了悲痛」，因為他「有另外五個兒子，他要以部族的方式將他們養大」（178）。其實，只要他手中還有籌碼，奧康渥是個很逆來順受的人；然而，當他手上籌碼漸失時，全面的、無法東山再起的挫敗，就有可能將他全面擊潰，而殖民者所帶來的文明極有這種能耐。繼之，敘述者告訴我們，因白人多

年前就先到達烏穆魯，並在那建立了宗教、政府和交易中心，許多信差都來自那裡，這些信差很為烏穆菲亞人所憎惡，所以被取了個「灰屁股」的綽號。信差們討厭這個綽號，遂毆打這些烏穆菲亞人。當歐比利卡告訴奧康渥這些事情時，奧康渥悲傷地低著頭（180-81）。奧康渥難過的是族人的不爭氣與內鬨，而他所探詢的，聽起來卻只像是侷限在風土人情方面的問題：「『那片紛擾不安的土地發生了什麼事啊？』奧康渥問。……『白人了解我們有關土地的習俗嗎？』」（182）。比起奧康渥對殖民者逐漸影響部族生活的敏感度和警覺性，多數烏穆菲亞的男女面對新事物時根本無法嚴正以待，他們耽溺於物質生活、部族精神都被腐蝕了，因為「白人確實帶來了一種瘋狂的宗教，但是，他們也設立了一間商店；棕櫚油與果仁第一次成為很貴的東西，於是很多錢湧進了烏穆菲亞」（185）。逐漸的，「新的宗教和政府、以及商店，在人們的心目中佔了很重要的地位」（189）。部族墮落到這種地步，奧康渥當然非常傷心，因為「這不只是一種個人的悲傷。他也為部族哀傷，因為他看到部族分崩離析，並且他也為烏穆菲亞尚武的男人哀傷，因為他們不知怎麼地竟然變得像女人一般了」（190）。敘述者行文至此，讓我們看到，其實奧康渥的挫敗與悲痛，從「內憂」部族社會傳統生活是否能成功延續，到「外患」部族是否能成功抵禦外來政權的侵擾，是逐步增強的。

而自從激進派的史密斯先生被派來接手布朗先生的職務後，情況加速惡化。在大地女神崇拜儀式中，伊諾奇（Enoch）扯掉一神靈的面具，對族人而言，那等同於殺死一位祖先的神靈，害得烏穆菲亞陷入一片混亂。「那夜『神靈之母』（帶著神靈面具的靈媒）走到部族各地，為被殺害的兒子悲哭」（阿奇貝著，陳蒼多譯 193）。於是，族人毀掉教堂。教堂被毀後，「奧康渥似乎又恢復往常的快樂」，但那只是暫時性的。天真的烏穆菲亞人並沒注意到，「『地區首長』旅行回來。史密斯先生立刻去找他」（199-200）。緊接著，缺乏警覺性的烏穆菲亞人對「地區首長」邀他們在總部見面也不覺得奇怪（200）。他們根本沒意識到，殖民者所謂的外交禮儀是視情況而定的，像他們這樣沒有皇室或國家結構的部族，根本不會受到外交上平起平坐的待遇，所以正當「歐格布・菲伊克吳米開始說出伊諾奇如何殺害一位靈媒的經過」時，這六個代表都被上了手銬，被囚進禁閉室裡去（201）。這六個人在禁閉室裡被羞辱了兩天，到了第三天，彼此也開始起齟齬。奧康渥不肯像其他人那樣選擇屈服，他氣憤的咆哮着：「『如果你們聽我的話，我們早就把那白人殺了，』」。對羞辱和打他們的信差，他則「充滿憎意，幾乎要窒息了」（202）。罰金一付、被釋放後，在某夜村莊公告員宣佈隔天早晨要開會之後，奧康渥既痛苦又興奮。在上床之前，他拿下自己的戰衣並認為「這一切全都令他很滿意」（206），因為對殖民者暴行恨得咬牙切齒的他，已決心要進行他的復仇計畫（207）。因此，筆者推斷，當信差傳達白人要他們停止聚會的命令時，奧康渥砍倒他的舉動並非一場意外，而是奧康渥自己的計畫之一，因為「他知道烏穆菲亞的人不會作戰」（212）。而奧康渥在鄰近他自己邸宅邊緣的樹叢裡的一棵樹上吊自殺（214），對筆者而言，也不是倉促行動之舉，而是奧康渥自己的計畫之二。為何如此推論？當「地區首長」問族人為何不肯將奧康渥上吊死亡後的大體弄下來時，從族人和「地區首長」的回答裡可以找到筆者要的答案。首先，因為一個人了斷自己的生命是冒犯『大地』的行為，所以族人不會埋葬他，只有陌生人可以觸碰那邪惡的屍體（214-15），奧康渥一定熟知這項習俗，同時他也知道，「地區首長」和他們這群人的身分，對固守傳統的族人而言，就是陌生人，所以由他恨得咬牙切齒的陌生人來埋葬他，就是他對外來政權最終極的報復手段。奧康渥不會知道的，就是「地區首長」也學習到的許多事的其中之一：「一位『地區首長』不能參與這種沒有尊嚴的事情，把一個吊死的人的繩子從樹上割斷。如果

這樣做的話，當地的人會看不起他」（215）。結果，奧康渥挺身而出、讓自己成為整個部族的代罪羔羊的具體表現，間接導致「地區首長」因必須處理他那已褻瀆大地女神的遺體而有失身分、進退維谷，也算是對「地區首長」當初在總部的一場假外交儀式上對他們族人的羞辱來場遲來的控訴。而歐比利卡以顫抖聲音、語帶哽咽和氣憤的言說—「那個人是烏穆菲亞地方最偉大的人物之一。你們逼迫他自殺，現在他要像一隻狗一樣被埋葬……」（215）—則道出了族人對他們自己直接或間接造成奧康渥變成全族的代罪羔羊所感到的罪惡與哀慟。

五、結論

　　錢皮恩認為，《分崩離析》此小說反映出該民族在開闊他們眼界、又不願意犧牲傳統文化價值時，所受到的創傷（272）。而他也認為，奧康渥一直「寄望他的部族可以保持著像他當初離開前那樣：是一個封閉且自給自足的、以自身民族遺產尊嚴和自尊為傲的世界。……它同時提示了一個民族，因為沒有警覺到即將到來的外來勢力的介入，而將因此後悔一百年」（274）。筆者則認為，此文本不一定需要這麼悲觀的解讀法，透過對代罪羔羊議題的認知，讀者仍能體會，經過內憂外患激盪過而存活下來的文化，大多是最具普世價值的文化，殖民霸權終將成為歷史，但殖民者所帶來的文化中最具普世價值的，仍會伴隨著原來的、經得起考驗的部族文化，一起繼續面對歷史的考驗和滌除。在此文本中，伊波族文化的挫敗可分成兩個層面：一是它不敵殖民者所帶來的物質文化的浸蝕；二是它原始的替罪羊儀式的宗教被基督教所取代的事實。這兩種挫敗，也是奧康渥無法坐視不管的挫敗。然而，假若我們以吉拉爾分析基督教的詮釋法裡所說的替罪羊機制來看這第二個奧康渥所謂的挫敗時，我們會發現，它提供一個文化、部族或個人再生的轉機。可惜的是，這個轉機並沒有被習慣動輒衝撞的奧康渥所接受，因為他一方面保守、不願改變，另方面他也鮮少與兒子恩渥耶互動，所以失去了可以進一步了解它的契機。而奧康渥所選擇的、先殺信差再自殺的極端暴力方式，是他認為最能引起族人注意的方式，這使他成為族人的偉人、英雄，但卻是悲劇的，因為害部族精神價值淪喪的人不是他，可是他卻還要以死明志來恢復部族的整體和諧，以免除族人的集體罪惡感。因此，說他是顧頇族人的代罪羔羊，一點也不為過。

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Effects of Inference Strategy Instruction on EFL College Freshman's Listening Comprehension

Janet Yu-gi Chao[*] & Chia-hui Chen[**]

Abstract

Listening skill is always more problematic for Taiwanese English learners as compared with other skills. That is because listening comprehension process is very complicated and listeners are with no any control over the listening input. Applying some strategies while listening may help reduce the cognitive load of comprehending listening input. However, few Taiwanese EFL learners know how to apply inference strategy while listening connected speech. Therefore, the purpose of the study aimed to examine the effects of inference strategy instruction on EFL college students' listening comprehension. The subjects were eighty students from two intact Freshman classes in central Taiwan. One class was assigned as the experimental group, and the other as the control group. The instruments of the study were an inference strategy questionnaire, a TOEIC listening mock test and an interview. Prior to the inference strategy instruction, both experimental group and control group had the TOEIC listening mock test and completed an inference strategy instruction questionnaire as the pre-test in order to check the homogeneity in their listening comprehension and starting point. According to the pretest scores of the TOEIC listening mock test, the subjects in the experimental group were divided into three achieving levels for further analysis. The experiment lasted for ten weeks. The experimental group received the inference strategy instruction whereas the control group received the same listening materials without any inference strategy instruction. Both the experimental and control groups took the TOEIC listening mock test and filled in an inference strategy questionnaire again after ten weeks. Six subjects, two from each achieving level in the experimental group, were selected to be interviewed after the experiment. The quantitative data were analyzed by the SPSS version 20.0 for the descriptive statistics, *t*-test, and one-way ANOVA. The interview data were analyzed to triangulate the quantitative data.

The results showed the experimental group made significant progress in their inference strategy use. Moreover, the results showed a significant improvement on EFL college students' listening comprehension after the inference strategy instruction. As regards with the effects of inference strategy instruction on different achieving level of subjects, mid-achieving level and low-achieving level subjects progressed more than high-achieving level subjects. According to the results of the present study, some suggestions and pedagogical implications were provided. At last, limitations of the study and suggestions for further studies were proposed.

Keywords: inference strategy, inference strategy instruction, English listening strategy, English listening comprehension

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英語聽力教學:推論策略教學之效益研究

趙玉芝*、陳嘉惠**

摘要

　　國人英語聽解力一向較其他英語文技能低落，究其原因乃在於聽解過程之複雜性及聽的內容之無可控制性，運用相關策略得以減低聽解過程認知處理之負擔，然而，國人在聽英語時卻很少知道如何運用推論策略，因此，本研究旨在探究推論策略教學對於大一學生英語聽解力之效益。本研究以中部大學一年級兩個班級共 80 位學生為樣本，其中一班為實驗組，另一班為控制組。本研究工具為英聽推論策略問卷、多益模擬聽力測驗以及訪談收集相關之量化及質性資料，據以分析。在施行推測策略教學前，實驗組和控制組均施予多益模擬聽力測驗和英聽推測策略問卷，以確認兩組之同質性。根據多益模擬聽力測驗的成績，實驗組的學生分成三組成就不同的組別，以探討推論策略教學對不同聽力程度的學生之影響。 實驗為期十周，實驗組於英聽課中接受推論策略教學，控制組施予相同的英語聽力教材，但無任何推論策略教學。實驗結束後，實驗組和控制組都再次施予多益模擬聽力測驗並填寫英聽推測論策略問卷，並自實驗組中選出六位學生，不同成就組別的學生各兩位，接受訪談。量化資料以 SPSS 20.0 進行描述性統計、t 檢定以及單因子變異數分析進行檢驗，並以訪談資料交叉比對量化資料。研究結果顯示實驗組在英聽推論策略使用上有明顯的進步，英語聽力理解力也有顯著的進步。就推論策略教學在不同成就學生上的效益方面，推論策略教學對中成就學生和低成就學生的影響比高成就學生顯著得多。本研究根據研究發現提供幾項英語聽力教學之建議。最後，提出本研究的限制並提供未來研究之建議。

關鍵字: 推論策略、英語聽力策略、推論策略教學、英語聽力理解力

Listening is regarded as a vital skill to develop a language in the global village, however, L2 learners are rarely taught how to listen effectively. Due to the complex nature of listening and lack of control over the listening input, L2 students face various problems in EFL listening. Although listening has taken a place in L2/EFL teaching methodology, the ways to teaching listening evolve with the knowledge about the nature of listening. With the development of L2/FL teaching methods, listening has become more and more important in L2/FL learning (Rost, 2011). In order to understand L2 speakers and the authentic aural and visual L2 texts available through a variety of multimedia, such as, on-line video YouTube, radios and blogs, and podcasts, enhancing listening comprehension skills becomes a must. However, listening skill is always more problematic for Taiwanese English learners as compared with other skills. That is because listening comprehension process is very complicated and listeners are with no any control over the listening input. Applying some strategies while listening may help reduce the cognitive load of comprehending listening input. However, few Taiwanese EFL learners know how to apply inference strategy while listening connected speech. Therefore, the purpose of this study was to examine the effects of inference strategy instruction on EFL college students listening comprehension and find out which sub-inference strategies facilitate listening more effectively. Three research questions addressed as following:

1. Is there any significant difference in the EFL college student's listening comprehension after the inference strategy instruction?
2. Is there any significant difference in the EFL college students' strategy use after the inference strategy instruction?
3. What are the different effects on different achieving level EFL college students in listening comprehension and inference strategy use?

Literature Review

The nature of listening input is very different from reading. It is not appropriate to use ways of reading instruction to teach students develop listening competence. There are a number of differences between written language and spoken language (Brown & Yule, 1992; Mendelson, 1994; Ur, 2000; Flowerdew & Miller, 2005). In general, written language is fixed, stable, organized and could be traced back. Written language does not have much redundancy, and it made written language text shorter but information denser than spoken language as the same text. Written language applies acceptable standard variety of the language, whereas, spoken language may be in a regional limited context dialects. Written language has a higher lexical density than spoken language because there are a lot of grammatical words among content words. Whereas, authentic spoken language shows a variety of pronunciations, accents, speeds of delivery, intonations, ungrammatical structures, fillers, and repetitions. Moreover, there are white spaces for separating words in written language and punctuations for separating meaning ideas. The absence of punctuations in spoken language is replaced by pauses. However, in the connected speech, the missing of "white space" and punctuations make it blurrier and hence more difficult for EFL listeners to segment the word boundaries , clauses, and/ or sentences.

Moreover, Rost (2011) has been indulging in listening for years and synthesized the features of spoken language as the Table 1 shown. From these characteristics of spontaneously spoken language, it can be seen the complexity of understanding the

Table 1
Characteristics of Spontaneously Spoken Language

1. in short bursts of speech
2. more topic-comment structures, and uses more topic restatement
3. frequently use additive ordering with "and", "then", "so", "but"
4. high ratio of function words to content words
5. incomplete grammatical units, false starts, incomplete/abandoned structures
6. frequently use ellipsis to omit known grammatical elements
7. use the most frequent words of the language, leading to more loosely packed, often imprecise language
8. topic may not be stated explicitly
9. a lot of fillers, interactive markers, and evocative expressions
10. frequent exospheric reference, and rely on gesture and non-verbal cues
11. various speeds, accents, paralinguistic features and gestures

Note. From Rost (2011), p. 29

spoken language and the lack of control listeners need to cope with. Therefore, it is in urge to find out an effective teaching of EFL listening to develop students listening proficiency to meet the need in communicating in the global village.

In search for a good model of listening in communication, Brownell (1996 and 2002) proposed the HURIER model as the Figure 1. The HURIER is an acronym for six components in listening process: Hearing, Understanding, Remembering, Interpreting, Evaluating, and Responding.
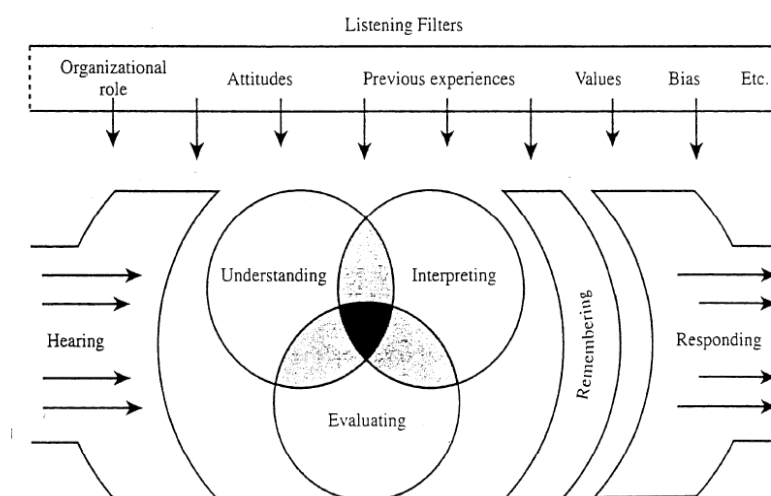
Figure 1 The HURIER model of listening process
(From Brownell, 2002, p. 14)

In the model, listener's organization role, attitudes toward the speaker and the content of speaking, experience, values, bias, etc. will influence how much the listening input can get into the process. In the first step hearing, the reception of sound waves, the perception of sound in the brain, and auditory association interplay. After associating the sounds with meaning, listeners understand the superficial meaning of the utterance and can interpret speaker's point of view and evaluate the content of speaking against his/her own experiences, attitudes, values, or bias. What make sense to him/her will get into the memory system for later use. Finally, a good listener knows how to respond appropriately

for maintaining communication.

As for human information processing, Rumelhart (1975) pointed out three types of processing in cognition, including the bottom-up processing, top-down processing, and interactive processing. According to Flowerdew & Miller (2005), the bottom-up model started with "the smallest units of the acoustic message: individual sounds, or phonemes". Then, they are "combined into words, which, in turn, make up phrases, clauses, and sentences." Finally, individual sentences "combined to create ideas and concepts and relationships between them" (p. 24). In contrast to the bottom-up model which relies on individual sounds and words, the top-down model is a process of listening which rely more on the usage of prior knowledge to understand the context instead of attaining the comprehension by separate sounds or words while listening. In the top-down model, the listener draws upon background knowledge and their expectations of what will happen next in the context and then infers what may be speaker's purposes. Therefore, Rost (2005) indicated that inference plays an important part of the top-down model, and it is also important to note the listeners, through the process of guessing meaning, may or may not interpret the meaning of the text correctly. Furthermore, the interactive model involves both the bottom-up model and the top-down model in listening interactively. The interactive model held the outcome of the interaction between linguistic and background knowledge on listening comprehension (Dubin & Bycina, 1991; Morley, 1991). Park (2004) indicated that both background knowledge and linguistic knowledge integrate together and often compensate for each other in the interactive model.

The inference strategy belongs to the cognitive strategy, according to O'Malley and Chamot (1990). Based on O'Malley and Chamot's (1990) strategy taxonomy, Vandergrift (1997) developed more listening-related sub-category strategies for certain strategies. Therefore, there are five sub-category strategies under the inference strategy, including linguistic inference, voice and paralinguistic inference, kinesic inference, extralinguistic inference, and between parts inference (See Table 2).

Table 2
Sub-categories of Inference in Cognitive Strategy

Strategy	Definition
Inference	
a. Linguistic inference	Using known words in an utterance to guess the meaning of unknown words.
b. Voice and paralinguistic inference	Using tone of voice and/or paralinguistics to guess the meaning of unknown words in an utterance
c. Kinesic inference	Using facial expressions, body language, and hand movements to guess the meaning of unknown words used by a speaker.
d. Extralinguistic inference	Using background noises and relationships between speakers in an oral text, material in the response sheet, or concrete situational referents to guess the meaning of unknown words.
e. Between parts inference	Using information beyond the local sentential level to guess at meaning.

Note. From Vandergrift (1997), p. 393

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While listening, inferences involve operations on a mental model that a listener has produced (Rost, 2011). Inference is a problem-solving process in order to draw a relevant inference before comprehension can continue, and draw a conclusion when evidence is available (Barbey & Barsalou, 2009). Several types of inference have been classified in language comprehension contexts.

1. Estimating the sense of ambiguous references
2. Supplying missing links in ellipted propositions
3. Filling in schematic slots
4. Supplying plausible supporting grounds for logical arguments
5. Using text genres to generate expectations about what will occur
6. Supplying plausible intentions for the speaker.

(Rost, 2011; p. 63-64)

Through the use of this kind of inference, Norrick (2000) indicated that the listener builds and updates cognitive representation from one sentence to another, and also updates interactional level (how this affects the relation between the listener and the speakers) and transactional level (what is said and meant). The updating of one's cognitive representation agrees with the listener's flow of consciousness. Moreover, there are five strategies that are frequently associated with successful listening. Rost (2011) pointed out that predicting information or ideas prior to listening, making inferences from incomplete information based on prior knowledge, monitoring one's own listening processes and success while listening, clarifying areas of confusion, and responding to what one has understood are five successful strategies while listening. Therefore, making inference might help Taiwanese EFL college listeners improve their listening comprehension. However, there is no specific study on inference making while listening. Therefore, it is needed to explore the effects of inference on Taiwanese EFL college students' listening comprehension.

As studies in listening strategy instruction, there are a number of studies on listening strategy instruction. For example, Chen (2011) examined the effects of listening strategy instruction on elementary school EFL students' listening comprehension. Two fifth grade classes participated in the study lasted for 10 weeks Four selected listening strategies were advance organization, directed attention, double-check monitoring, and performance evaluation and they were taught to the experimental in the experimental group whereas the control group did not receive any listening strategy instruction. The results revealed that the experimental group outperformed the control group in listening on the posttests as well as they were less nervous and more confident in their English listening. Moreover, Chang (2010) examined the effects of listening strategy instruction on Taiwanese EFL Freshmen's listening comprehension in central Taiwan. The results showed that experimental group made a significant progress in their English listening comprehension, and after the listening strategy instruction, subjects of three proficiency levels listening comprehension had been shortened. However, there are few studies were focused on the effects of inferencing strategy instruction on Taiwanese EFL college students' listening comprehension. Therefore, the present study aimed to examine the effects of inferencing strategy instruction on Taiwanese EFL college students' listening comprehension.

Method

There were two intact classes of 83 subjects participating in this study in the beginning. The participants were college freshmen who were non-English majors in

central Taiwan. There were 42 students in the experimental group and 41 students in the control group. However, three of the control group subjects did not complete the study; there were only 38 subjects with valid data in the control group. Finally, there were 80 subjects with valid data to be analyzed. According to the scores of TOEIC listening mock test, participants were classified into three listening ability groups in the experimental group as the high-achieving level, mid-achieving level, and low-achieving level groups for further analysis. Finally, in the experimental group, 13 subjects of the experimental group were classified as the high-achieving level subjects, 16 subjects were mid-achieving level subjects, and 13 subjects were low-achieving level subjects.

The instruments of this study consisted of a TOEIC listening mock test, the Inference Strategy Questionnaire, and an Interview. Firstly, the TOEIC listening mock test consisted of three sections. The first section focused on the pictures description followed by question and response, while the last part was short conversations between two speakers. As time limited, there were 48 questions selected in total in the TOEIC listening mock test, the total scores of the test was 96. Secondly, the inference strategy questionnaire consisted of two parts: the first part included questions about subjects background information and the second part contained fifteen items which were developed from Vandergrift (1997). The fifteen items were statements with a five-point Likert scale that attempted to elicit subjects' frequency of applying the inference strategy while listening (see Appendix A). The Table 3 illustrated the distribution of question items in the followings.

Table 3
Distribution of Question Items of Inference Strategy Questionnaire

Item	Inference Strategy
1-3	Linguistic Inference
4-6	Voice and paralinguistic Inference
7-9	Kinesic Inference
10-12	Extralinguistic Inference
13-15	Between Parts Inference

The questionnaire obtained a reliability of Cronbach α = .88. It may be a reliable instrument. Moreover, it was viewed by two experts to confirm the validity of this instrument to measure inference strategy use.

Finally, the interview (see Appendix B) was used to elicit subjects' in depth opinions and triangulate the questionnaire data. The rationale of the interview was accorded with the research questions of the present study. The interview included seven questions to explore the subjects' opinions about the inference strategy and inference strategy instruction. These seven questions were conducted one-on-one by one of the researcher after the posttest. Two interviewees were randomly selected from each listening achieving levels respectively. At last, six interviewees were selected for inquiry in depth.

The experiment took twelve weeks. The first week was the pretest and then followed by ten-week inference strategy instruction. The posttest was conducted in the twelfth week. Inferencing strategy was taught as classified by Vandergrift (1997) in the present study: linguistic inferencing, voice and paralinguistic inferencing, kinesic inferencing, extralinguistic inferencing, and between parts inferencing. The schedule was showed as follows (Table 3.9):

Table 4
Inferencing Strategy Instruction Schedule of the Study

Week	Inferencing Strategies
2	Introduce all inferencing strategies and teach linguistic inferencing strategy and practice
3	Teach voice inferencing strategy
4	Teach kinesic inferencing strategy
5	Teach extralinguistic inferencing strategy
6	Teach between-parts inferencing strategy
7	Review all five inferencing strategies
8	Review practice listening by linguistic inferencing strategy
9	Review practice listening by voice and kinesic inferencing strategy
10	Review practice listening by extralinguistic inferencing strategy and between parts inferencing strategy
11	Review all five inferencing strategies

The Cognitive Academic Language Learning Approach (CALLA) model of strategy instruction proposed by Chamot, Barrnhardt, El-Dinary, and Robbins (1999) was applied in the present study

Both the quantitative and qualitative data were collected and analyzed in the present study. The Statistical Package for Social Science (SPSS) English version 20 was employed to analyze the quantitative data of the pretest and the posttest on listening comprehension and the inference strategy questionnaire in the study for descriptive statistics and the inferential statistics. The results from the inference strategy use questionnaires were presented by means and standard deviations. One-way ANOVA was adopted to examine the listening comprehension and strategy use of three achieving level groups. For the qualitative analysis, the data from the interview was transcribed verbatim by the researcher to categorize, group and synthesize the subjects' responses to triangulate with the results of quantitative data.

Results

Firstly, in order to find out the effect of inference strategy instruction on EFL college students' listening comprehension, independent-sample t-test was employed to analyze the data of the pretests and posttests. Based on the pretest results, the experimental group and the control group were confirmed as homogenous before the experiment. Next, the experimental group received ten-week inference strategy instruction whereas the control group did not receive any inference strategy instruction. After ten-week inference strategy instruction, both the experimental group and the control group took the TOEIC listening mock test again as the posttest. The independent sample *t*-test was employed to analyze the posttest scores of the experimental group and the control group to find out whether there was any significant difference between these two groups after the inference strategy instruction. The results of independent *t*-test were shown in the Table 5.

Table 5.
T-test Results of the Posttest of the Listening Comprehension

Group	N	M	SD	t	p
Experimental	42	48.95	9.91	4.33***	.000
Control	38	39.68	9.10		

*Note. ***p<.001*

The mean of the posttest of the experimental group (M=48.95) was higher than the mean of the control group (M=39.68) (see Table 5). There was about 10 point difference after the experiment. The *p*-value .000 was lower than .001 as shown in Table 5. Therefore, the results showed that there was a significant difference between the experimental group and the control group in their listening comprehension after the inference strategy instruction.

Moreover, the paired-sample *t*-tests were used to check whether there was any significant difference in the subjects' listening comprehension within each group after the experiment. Table 6 presented the results of paired-sample *t*-test with the pretest and posttest of the subjects' listening comprehension. For the experimental group, the results showed a very significant difference (*t*(41)=5.02, *p*=.000). T-value of the experimental group pretest and posttest was 5.02 and *p*-value was .000 (*p*<.001). Therefore, the experimental group made significant progress after receiving the inference strategy instruction.

Table 6
Paired-Sample T-test Results of the Pre/Posttest of Listening Comprehension

Group	Test	N	Mean	SD	t	p
Experimental	Pretest	42	42.00	8.75	5.02***	.000
	Posttest	42	48.95	9.91		
Control	Pretest	38	41.78	7.21	1.73	.092
	Posttest	38	39.68	9.10		

*Note. ***p<.001*

On the other hand, *t*-value of the control group pretest and posttest was 1.73 and *p*-value was .092 (*t*(37)=1.73, *p*=.092). There was no significant difference between the pretest and posttest in the control group. Therefore, it showed the evidence that inference strategy instruction improved the subjects' listening comprehension in the experimental group.

Furthermore, the results from the interviews provided the qualitative data to triangulate the results of the quantitative data. Six interviewees were randomly selected from the experimental group. Among these subjects, two of them were selected from the high-achieving level group, the other two were from the mid-achieving level group and the rest two were from the low-achieving level group in order to present the representativeness of this whole sample. H, M, L symbol was given for each interviewee to indicate their listening comprehension level. Six interviewees' listening scores of pretest and posttest were shown in the Table 7.

Table 7
Information of the Interviewees

Interviewee	Scores of Pretest	Scores of Posttest
H1	60	76
H2	60	76
M1	44	66
M2	44	48
L1	30	40
L2	34	42

Note. H= High-achieving level M= Mid-achieving level L= Low-achieving level

The interviews were conducted in Chinese and then translated into English verbatim. Among the six interviewees, four of them reported that their listening comprehension improved significantly after the inference strategy instruction in listening class. The excerpts of interview were shown as follows:

I: "Do you think that your listening ability improved after the inference strategy instruction? (1) If yes, why? (2) If not, why not?"
M1: "Yes, I think I improved quite a lot. It can help me when listening to English songs or English programs in my daily life. If there is no subtitles or visual aids to watch, the inference strategy can be a kind of assistance to help me listen."
H2: "Yes! I better understand how to use inference strategy and can understand what the speakers said while listening."
L1: "I think I improved. I did not know any strategies at first. After receiving the inference strategy instruction I can grasp more key points while listening."
H1: "I think I improved. I tried to figure out what the unknown words were. Now I would try to use extralinguistic inference like listen to key words or contexts to infer the meaning instead of thinking about the words that I did not know."

Both the quantitative data and the qualitative data showed there was a significant progress of the experimental group in listening comprehension after receiving inference strategy instruction. Therefore, the experimental group made a significant progress in their listening comprehension as comparing with the control group.

Secondly, a paired-sample *t*-test was used to analyze the data from the inference strategy questionnaire conducted in the pretest and posttest in order to find out whether there is any significant difference in EFL college freshmen's inference strategy use after the experiment. During the ten-week inference strategy instruction, the experimental group received five subcategory inference strategies instruction whereas the control group did not receive any inference strategy instruction in the listening and speaking class. The data from the inference strategy questionnaire was used to examine whether there is any significant difference inference strategy use after receiving the strategy instruction.

The results of *t*-tests were illustrated in the Table 8. In the table, Item1-3 were linguistic inference, Item4-6 were voice and paralinguistic inference, Item 7-9 were kinesic inference, Item 10-12 were extralinguistic inference, and Item13-15 were between parts inference. Among those five sub-category inference strategies, there were three inference strategies using more frequently by after the inference strategy instruction. They are voice and paraliguistic inference (Item 4 and 5), kinesic inference (Item 7, 8, and 9)

and extralinguistic inference (Item 10) (See Table 8).

Table 8
T-test Results of the Inference Strategy Questionnaire

Item	Pretest		Posttest		*T*	*p*
	M	SD	M	SD		
Item 1	3.80	1.01	3.85	.68	.25	.802
Item 2	3.80	.96	3.95	.73	.76	.448
Item 3	3.38	1.28	3.66	.92	1.16	.247
Item 4	2.76	1.30	3.50	1.04	2.86**	.005
Item 5	2.92	1.09	3.50	.91	2.38*	.019
Item 6	2.59	1.21	3.02	1.04	1.73	.087
Item 7	3.02	1.23	3.59	.96	2.35*	.021
Item 8	3.28	.99	3.76	.93	2.26*	.026
Item 9	3.16	.98	3.80	.91	3.09**	.003
Item 10	2.59	1.34	3.59	.96	3.91***	.000
Item 11	3.57	1.10	4.00	.96	1.89	.062
Item 12	3.95	.88	4.26	.70	1.78	.079
Item 13	2.76	1.24	2.97	1.04	.85	.396
Item 14	2.52	1.10	2.88	1.10	1.47	.144
Item 15	3.00	1.24	3.23	1.18	.89	.373

*Note. *p<.05, **p<.01, ***p<.001*

The results showed that the experimental group could apply voice and paraliguistic, kinesic, and extralinguistic inference strategies more frequently after receiving the inference strategy instruction. Especially, they learned to apply extralinguistic inference strategy much more frequently than before the strategy instruction. Among these six items of inference strategies, the kinesic inference (Item 9, 8, 7) were used the most frequently, followed by extralinguistic inference (Item 10) and voice and paraliguistic inference (Item 4, 5) strategy.

Moreover, the qualitative data from the interview of the experimental group also offered the similar results and strong support for the quantitative data. As the data presented, interviewees indicated that they did make progress in their inference strategy use. They also expressed that inference strategy instruction was beneficial for them to accomplish listening goals. The results from the interviews accordant with the results of quantitative analysis were presented as follows:

> I: "What inference strategies do you use the most frequently? Why?"
> M1: "I think that I use kinesic inference strategy the most frequently. Not only English, but with Chinese or other languages as well, you can express more meanings by using kinesic inference."
> L1: "I think it's extralinguistic inference strategy, through its background music or information to imagine the whole environment when you do not understand what the vocabulary means in the conversation."
> L2: "Voice and kinesic inference strategy. For voice inference strategy, you can use different voices or tones to guess the meanings. As for kinesic inference strategy, you use kinesic inference more often when you are speaking or you can guess the speakers' emotions, actions or gestures."
> H1: "I think I use extralinguistic inference more often if it is to apply on a test. Just like what I said before, you should not struggle with vocabulary that you

do not understand. You should see the context or the relationship between the speakers."

M2: "Extralinguistic or kinesic inference strategy. Just like watching TV or watching some videos from other countries, if we do not understand what they said, we can look at their kinesic or listen to background music."

The results showed that the interviewees utilized kinesic, extralinguistic, and voice inference strategies more frequently than others after the inference strategy instruction. Analyses from both the *t*-tests results and the interviews transcripts proved that the subjects of the experimental group had significant higher inference strategy use after the experiment.

Thirdly, In order to answer the third research question of the present study, paired-sample t-test and one-way ANOVA were used to analyze the TOEIC listening mock test scores to examine if there was any significant in-group and between-group difference among high-achieving level, mid-achieving level and low-achieving level subjects' listening comprehension and strategy use after the inference strategy instruction.

The *t*-test results of high-achieving level, mid-achieving level and low-achieving level subjects of the experimental group were shown in the Table 9 respectively on their pretest and posttest. According to the data in the Table 9, *t*-value of the high-achieving level subjects on the pretest and posttest was 0.93 and *p*-value was .359 ($p>.05$), the *t*-value of the mid-achieving level subjects on the pretest and posttest was 2.52 and *p*-value was .017 ($p<.05$), and the *t*-value of the low-achieving level subjects was 6.48 and *p*-value was .000 ($p<.001$).

Table 9
T-test Results of Three Achieving Levels on Listening Comprehension

Achieving level	Test	N	M	SD	t	p
High	Pretest	13	51.84	5.68	0.93	.359
	Posttest	13	55.53	13.04		
Mid	Pretest	16	41.87	1.70	2.52*	
	Posttest	16	46.50	7.13		.017
Low	Pretest	13	32.30	4.38	6.48***	
	Posttest	13	45.38	5.79		.000

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

Therefore, the results showed that low-achieving subjects made the most significant progress in listening comprehension and mid-achieving level subjects also made significant progress in English listening comprehension after receiving the inference strategy instruction. However, for high-achieving level subjects, they progressed in the posttest mean but the standard deviation got larger too. Therefore, the *t*-value is very small to be significant.

Moreover, one-way ANOVA was used to examine whether there is any significant difference among high-achieving level, mid-achieving level and low-achieving level subjects of the experimental group. The Table 10 showed the results of one-way ANOVA of the pretest and posttest of listening comprehension of three achieving levels. In the pretest, the F-value of three different achieving levels of the experimental group was 73.08 ($p<.001$). In the posttest, the F-value of three different achieving levels of the experimental group was 5.01 ($p<.05$) (see Table 10).

Table 10
One-way ANOVA Results of Listening Comprehension of Three Achieving Levels

	Sum of Squares	df	Mean Square	F	p
Pretest					
Between Groups	2481.78	2	1240.89	73.08***	.000
Within Groups	662.21	39	16.98		
Total	3144.00	41			
Posttest					
Between Groups	825.59	2	412.79	5.01*	.012
Within Groups	3208.30	39	82.26		
Total	4033.90	41			

*Note. *p<.05, ***p<.001*

The results from both pretest and posttest revealed that three different achieving levels of subjects performed differently different on their pretest, however, they were getting closer on the posttest. Consequently, Tukey HSD post hoc test was employed to find out where the difference was among high-achieving level, mid-achieving level, and low-achieving level subjects of the experimental group (see Table 11).

Table 11
Post Hoc Test Results of Listening Comprehension of Three Achieving Levels

Dependent Variable		Group	Group	Mean Difference	Standard Error	p
Pretest	Tukey HSD	High	Mid	9.97***	1.53	.000
			Low	19.53***	1.61	.000
		Mid	High	-9.97***	1.53	.000
			Low	9.56***	1.53	.000
		Low	High	-19.53***	1.61	.000
			Mid	-9.56***	1.53	.000
Posttest	Tukey HSD	High	Mid	9.03*	3.38	.029
			Low	10.15*	3.55	.018
		Mid	High	-9.03*	3.38	.029
			Low	1.11	3.38	.942
		Low	High	-10.15*	3.55	.018
			Mid	-1.11	3.38	.942

*Note. * p<.05, ***p<.001*

According to the Table 11, the results of the post hoc tests showed that there were significant differences among high-achieving level, mid-achieving level and low-achieving level subjects of the experimental group in the pretest (p=.000, p<.001). In the posttest, there was still significant difference between high-achieving level and mid-achieving level, p=.029 (p<.05) and high-achieving level and low-achieving level, p=.018 (p<.05). However, there were no significant difference between mid-achieving level and low-achieving level subjects, p=.942 (see Table 4.14). Therefore, the subjects in low-achieving level of the experimental groups made significant improvement (p=.942, p>.05) almost catching up with the mid-achieving level subjects after receiving the inference strategy instruction..

As for the differences in strategy use of different achieving level subjects, the Table 12 showed the *t*-test results of high-achieving level subjects' inference strategy use Generally speaking, high-achieving level subjects used strategy more frequently than other level subjects in the pretest. For the following tables, Item1-3 were linguistic inference, Item4-6 were voice and paralinguistic inference, Item 7-9 were kinesic inference, Item 10-12 were extralinguistic inference, and Item13-15 were between parts inference.

Table 12
T-test Results of High-achieving Level Subjects' Strategy Use

Item	Pretest		Posttest		*t*	*p*
	M	SD	M	SD		
Item 10	2.23	1.09	3.38	.86	2.98**	.007
Item 11	3.30	1.10	4.15	.80	2.23*	.035

*Note. *p<.05, **p<.01*

According to the Table 12, high-achieving level subjects could apply item 10 and 11 more frequently after the inference strategy instruction. Item 10 and 11 belonged to extralinguistic inference. Therefore, high-achieving level subjects could apply the extralinguistic inference more frequently after the strategy instruction.

Table 13
T-test Results of Mid-achieving Level Subjects' Strategy Use

Item	Pretest		Posttest		*t*	*p*
	M	SD	M	SD		
Item 4	2.81	1.27	4.81	.40	5.97***	.000
Item 7	3.00	1.26	3.81	.83	2.14*	.040
Item 9	3.12	1.08	4.93	.25	6.49***	.000
Item 10	2.68	1.44	3.62	1.08	2.07 *	.047

*Note. * p<.05, ***p<.001*

For the mid-achieving level subjects' inference strategy use, the Table 13 showed the t-test results of mid-achieving level subjects with significant difference. According to the Table 13, the items 4, 7, 9, and 10 were used significantly more frequently by the mid-achieving level subjects of the experimental group. Item 4 were voice inference, item 7 and 9 belonged to kinesic inference, and item 10 were extralinguistic inference strategy. Therefore, after receiving inference strategy instruction, mid-achieving level subjects could use voice (Item 4), kinesic (Item 7, 9) and extralinguistic (Item 10) inference strategies more frequently. It showed that the mid-achieving level subjects learned to apply more inference strategies after the strategy instruction. They could apply voice and paralinguistic inference, knesic inference and extralinguistic inference more frequently than before the strategy instruction.

For the low-achieving level subjects' inference strategy use, *t*-test results showed in the followings (see Table 14). Low-achieving level subjects used six items more frequently after the inference strategy instruction. The Item 4 and 5 were voice and paralinguistic inference; item 7, 8, and 9 were kinesic inference, and item 10 was extralinguistic inference strategy.

Table 14
T-test Results of Low-achieving Level Subjects' Strategy Use

Item	Pretest		Posttest		*t*	*p*
	M	SD	M	SD		
Item 4	2.69	1.31	4.00	1.00	2.85**	.009
Item 5	2.84	1.06	4.38	.86	4.02***	.000
Item 7	2.46	1.12	3.30	.947	2.07*	.049
Item 8	3.15	.98	3.92	.75	2.22*	.036
Item 9	3.15	.98	4.07	.64	2.82**	.009
Item 10	2.84	1.46	4.30	.85	3.11**	.005

*Note. *p<.05, **p<.01, ***p<.001*

Therefore, according to the Table 14, the low-achieving level subjects could apply voice and paralinguistic (Item 4, 5), kinesic (Item 7, 8, 9), and extralinguistic (Item 10) inference strategy more frequently after the experiment.

Furthermore, the data from the interview supported the results of the quantitative data. Five of the six interviewees, including two mid-achieving, two low-achieving, and one high-achieving level interviewees, responded that their listening comprehension improved after the experiment.

> I: "Do you think that your listening ability improved after the inference strategy instruction? (1) If yes, why? (2) If not, why not?"
> L1: "I think I improved. There were no strategies for me to use while listening at first, after receiving the inference strategy instruction I can grasp more key points while listening."
> M2: "I improved, but I think I still need to memorize a lot of vocabulary in listening. Even though I listened clearly, I might not understand the meaning if I do not know enough vocabulary."
> H1: "I think I improved. I tried to figure out what the unknown words were. Now I would try to use extralinguistic inference like listen to key words or contexts to infer the meaning instead of thinking about the words that I did not know."

Based on the results of the interview, both of the interviewees from low-achieving level subjects indicated that they improved their listening comprehension after the inference strategy instruction. The inference strategy instruction did shorten the distance between mid-achieving level subjects and low-achieving level subjects. Therefore, the inference strategy instruction could be applied in classroom teaching in order to improve students English listening.

Moreover, the strategy use from the interview data also supported the results of quantitative data in inference strategy use. One high-achieving level interviewee indicated she used extralinguistic inference strategy more often; two mid-achieving level interviewees indicated they used voice and paralinguistic inference, kinesic inference and extralinguistic inference; and two low-level interviewees indicated they also used voice inference, kinesic inference and extralinguistic inference more frequently.

Conclusions

The results of the quantitative analyses and qualitative analyses showed that there was significant difference of the subjects' inference strategy use and listening

comprehension after receiving the inference strategy instruction. The experimental group significantly improved in inference strategy use. They could apply kinesic, voice and paralinguistic, and extralinguistic inference significantly more frequently after the inference strategy instruction. Moreover, the experimental group performed better in listening comprehension test than the control group after the inference strategy instruction. Therefore, the experimental group improved not only their inference strategy use but also their listening comprehension. As for the differences among three achieving levels in the experimental group, mid-achieving level and low-achieving level subjects improved their listening comprehension significantly and there were no significant difference between mid-achieving level and low-achieving level subjects in the posttest. This indicated that both the mid-achieving level and low-achieving level subjects improved their listening comprehension after the experiment and the low-achieving level students improved a lot to almost catch up with the mid-achieving level students. It means that the inference strategy instruction has positive effects on EFL college students listening comprehension especially for those students whose English ability is low. According to the strategy use results among different achieving levels, it is confirmed that the lower the achieving level students were, the more inference strategies they learned to apply in listening to authentic speaking. It means that college EFL students need to be taught various strategies to cope with the complex nature of listening. Finally, the results of this study confirmed that there were positive effects of inference strategy instruction on EFL college freshmen's listening strategy use and listening comprehension.

As shown in Chen (2011) and Chang (2010), this study echoed the results that experiment group outperformed the control group in listening comprehension and listening strategy use. Listening is a more complex process than reading, involving a lot more variables such as accents, liaisons, elisions, rate of delivery speed, etc. Strategy instructions are especially helpful for students to develop EFL listening ability. Taiwanese students especially need more practice in inferencing while listening to authentic English aural texts.

According to the results of this study, it is suggested teachers at college level may introduce college EFL students how to apply various inference strategies, such as voice and paralinguistic inference, kinesic inference, extralinguistic inference, linguistic inference and between parts inference. In order to develop EFL college students listening proficiency, instructors may upgrade to apply higher level learning of synthesizing, predicting, making inference according to various clues and cues in the multimedia listening input. It is hoped more strategy-based listening instruction implement in the classroom to facilitate EFL college students listening proficiency to meet the need of oral/aural communication in the global village.

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Appendix A

英語聽力推測策略問卷

編號：＿＿＿＿＿＿＿

各位同學，您好：

　　這是一份關於英語聽力理解策略的問卷。這份問卷分為兩大部分：第一部分是關於您個人英語學習的背景，第二部分是關於您聽力理解策略的使用。問卷結果僅供了解同學學習英語聽力的情況，答案並沒有對或錯。**請依據自己的情況詳實地作答**。您的詳盡回答，將有助於英語聽力教學的研究。謝謝配合！

敬祝 學業進步

國立彰化師範大學英語系研究所

第一部份：個人背景問卷

＊請在方格中打∨。

1. 性別: □男 □女

2. 我＿時開始學英文。

　　□幼稚園 □國小 1 年級 □國小 2 年級 □國小 3 年級 □國小 4 年級 □其他＿

3. 我 □不曾參加過全民英檢檢定。

　　我 □曾經參加過 全民英檢檢定。□ 初級 □ 中級 □ 多益英語測驗

　　（我 □ 有通過初試 □ 沒有通過初試 □ 有通過複試 □ 沒有通過複試）

4. 除了學校的英文課程外，我 □有接觸 □沒接觸 其他的英文聽力內容。

　　（如果有接觸的話，請勾選以下選項。可複選。）

　　□ 上英文補習班，大約一週＿小時。

　　□ 收聽英語(教學)廣播節目，大約一週＿小時。

　　□ 收看英語(教學)電視節目、錄影帶或VCD，大約一週＿小時。

　　□ 上網瀏覽英語(教學)網站，大約一週＿小時。

　　□ 聽英文歌曲，大約一週＿小時。

　　□ 和同學、家人等，練習用英語交談，大約一週＿小時。

　　□ 其他：＿＿＿＿＿＿＿＿＿＿＿＿，大約一週＿時。

5. 我覺得聽力在英文學習上

　　□非常重要 □重要 □還好 □不重要 □非常不重要

6. 我覺得英語聽力 □非常容易 □容易 □普通 □困難 □非常困難

7. 我覺得我的英語聽解能力 □非常好 □好 □還好 □差 □非常差

8. 我每週花在英語聽力學習(或是練習英語聽力)上的時間約

　　□ 0 小時 □半小時 □一小時 □ 1.5 小時 □ 2 小時 □ 2.5 小時

　　□ 3 小時 □ 3 小時以上

9. 我以前 □ 有學過 □ 沒有學過 英語聽力理解策略(為了讓自己更能聽清楚、聽懂英文，所使用的一些方法技巧)。如果有學過，請列下所學過的聽力策略。＿＿＿＿＿＿＿＿＿＿＿

第二部份:聽力理解策略問卷

以下的敘述是有關您理解英語聽力內容的敘述，請仔細閱讀每一項，並依您自己平常聽英語的情形做選擇，在方格中打∨。請不要選取您覺得您應該那樣做的答案，或選取別人是那樣做的答案。這份問卷不會影響您的學業成績，答案也沒有所謂的

Janet Yu-gi Chao (趙玉芝), Chia-hui Chen (陳嘉惠)

對或錯，<u>請根據您實際的情形來作答</u>，有以下五種可能情形：

「不曾」：從來沒有（0%）
「很少」：不常如此（20%）
「有時」：一半一半（50%）
「經常」：常常如此（80%）
「總是」：一向如此（100%）

~問卷結束~
請再次檢查是否有未回答的題目，
謝謝您的配合及對英語聽力教學研究的貢獻！

	總是	經常	有時	很少	不曾
1. 我會利用句子中我聽懂的部份來猜測不認識的字。..........	☐	☐	☐	☐	☐
2. 我可以利用句子中我聽懂的部份來猜測不懂的句子。........	☐	☐	☐	☐	☐
3. 我可以利用句子中我聽懂的部份來推測整篇文章的意思。....	☐	☐	☐	☐	☐
4. 我利用說話者的聲調來推測意思。.........................	☐	☐	☐	☐	☐
5. 我利用說話者的語氣來推測意思。.........................	☐	☐	☐	☐	☐
6. 我利用說話者的停頓來猜測意思。.........................	☐	☐	☐	☐	☐
7. 我透過說話者的動作來推測意思。.........................	☐	☐	☐	☐	☐
8. 我透過說話者的表情來推測意思。.........................	☐	☐	☐	☐	☐
9. 我透過說話者的手勢來推測意思。.........................	☐	☐	☐	☐	☐
10. 我利用背景聲音來猜測意思。............................	☐	☐	☐	☐	☐
11. 我利用現有的資訊來猜測意思。.........................	☐	☐	☐	☐	☐
12. 我利用答案紙上已有的文字敘述來推測意思。...............	☐	☐	☐	☐	☐
13. 我透過聽一句的內容，猜測下一句的內容。.................	☐	☐	☐	☐	☐
14. 我透過聽完的一段內容，推測下一段的內容。...............	☐	☐	☐	☐	☐
15. 我透過聽完整段文章，猜測整篇文章的內容。...............	☐	☐	☐	☐	☐

Appendix B

訪談大綱

1. 你喜歡這段時間所教的推測策略嗎？

2. 推測策略教學後你覺得你的英語聽力有進步嗎？
   （1）若有，為什麼？（2）若無，為什麼？

3. 你課外接觸聽英文的時候是否有用到語言推測策略？聲音推測策略？肢體動作推測策略？言外推測策略？句意間推測策略？

4. 在所學的推測策略中，你最常使用哪些推測策略？為什麼？

5. 在所學的推測策略中，你最不常使用哪些推測策略？為什麼？

6. 你覺得以上五個推測策略哪一個推測策略最有幫助？為什麼？那一個幫助最少？為什麼？

7. 您對此聽力教學有何建議？

Janet Yu-gi Chao (趙玉芝), Chia-hui Chen (陳嘉惠)

Identifying Demotivating Factors among Young Adult EFL Learners

Hsiao-wen Hsu[*]

Abstract

For many students, not only in Taiwan but also around the world, English is one of the compulsory subjects from primary school to university level. However, it can be difficult to maintain students' motivation in the learning of English within such a long and tedious process. Many may lose interest and/or give up learning this international language. This study recruited five college students who had low or even no motivation regarding learning English as a foreign language, and this was aimed to identify the possible negative factors that demotivated them. Though the five students agreed that teacher-related factors were influential, they considered that learning achievements rely on one's study skills rather than depending solely on the instructor's teaching. Factors such as classroom facilities and textbooks seemed to be less significant. Interestingly, these students were aware of the necessity of English, but they were unwilling to make any efforts in studying this language. Pedagogical recommendations are also provided.

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Received June 30, 2014.

影響大學生英語學習負面動機因素探析

徐曉雯[*]

摘要

　　本研究旨在探討影響大學學生英語學習的負面動機形成因素。小學英語教學推行迄今已超過十年，理應在現今的大學生身上看到成效，但結果卻非如此，許多學生英語學習成就仍顯低落，或甚至失去學習英語的動力。提升學生的學習動機為語言教師必要的教學策略之一，如何維持學生對英語學習的熱衷程度更是個困難且重要的課題。本研究主要對象為五位對英語學習具低動機或是完全無動機的大學學生，透過深度訪談來檢視可能影響其負面動機之形成因素。研究結果顯示，教師雖然在學生長久的學習過程中扮演著重要角色，但學生本身欠缺適當的學習方法與學習技巧更相對影響了學生學習成就，不僅造成了學習成果的低落，更進而失去了英語學習的興趣。其餘因素如教室設備、教材選用等因素則不若先前其他學者研究般的顯著影響學生負面動機之形成。另外，訪談結果亦發現此五位學生皆了解英語的重要性，但卻似乎無意願採取任何重啟英語學習的策略，更顯示出其英語學習經驗中負面因素所造成的影響。本研究成果期望對語言教學者提供具體的幫助，期能提升學生學習動機，不只在英語方面，也能夠延展到學習其他外國語方面。

關鍵字：負面動機因素、動機、英語學習

Introduction

Motivation is a crucial factor in one's process of language learning (Dörnyei, 1994; Dörnyei & Otto, 1998; Oxford & Shearin, 1996), and this is especially true in the "sustained process of mastering an L2" (Dörnyei, 2005, p. 616). Motivation positively affects the effort that learners make, the frequency of L2 learning strategies used, the amount of language input received, the achievements learners reach, and the level of learners' language proficiency as well as the length of L2 skills learners keep and maintain after the study is over (Spolsky, 1989; Scarcella & Oxford, 1992). Although motivation is not the only factor relevant to L2 and/or FL language learning, studies indicate a close relationship between learners' language proficiencies and their motivation (Brown, 1981; Dörnyei, 1990; Oxford, 1994). In addition, researchers have widely investigated this topic and also suggest strategies to motivate language learners in traditional classroom settings (e.g., Chambers, 1999; Dörnyei & Csizer, 1998; Dörnyei & Ushioda, 2011).

As English has become an important international language, in many countries, students are required to study it as a compulsory subject in schools. However, there are still students who either totally give up learning English or look for strategies to pass the required exam. There seems to be another side of motivation that many learners may have encountered at some point—loss of motivation, which is likely to reduce one's motivation in learning rather than strengthen it. That is, these learners have become demotivated. Clearly, there are factors that have a positive effect on motivation; there are also ones with negative effects that impede learners' motivation and lead to unsuccessful learning outcomes (Trang & Baldauf, 2007; Falout, Elwood & Hood, 2009).

Concerning what really happens in a language classroom, Dörnyei and Ushioda (2011) point out that the frequency of demotivating students can be relatively high. However, this "dark side" of motivation has not been taken into account regarding L2 motivation until recently (e.g., Alavinia & Sehat, 2012; Falout and Maruyama, 2004; Hu, 2011; Kikuchi, 2009; Kikuchi & Sakai, 2009; Kim, 2011; Sahragard & Alimorad, 2013; Sakai & Kikuchi, 2009; Sakui & Cowie, 2011; Seo & Kim, 2012; Tabatabaei & Molavi, 2012; Tuan, 2011). In fact, before motivating hesitant learners, being aware of the obstacles that undermine motivation is necessary both for language teachers and for learners. Thus, an effort has been made in this study to identify the factors underlying learners' learning process involved in demotivation.

Demotivation in Language Learning

In the area of second and/or foreign language (L2/FL) learning studies, demotivation is a relatively new concern. Researchers have sought to identify demotivating factors related to learning at different levels of education and in different regions. For instance, Chamber (1993) studied this issue in the UK through collecting questionnaires from both students and teachers. He then drew a few conclusions about the impact of the past learning experience on demotivated learners. Ushioda (1998; 2001), on the other hand, focused on what the learners found to be demotivating in their L2-related learning experience by interviewing 20 French language learners in Dublin, Ireland. Her findings showed a connection between learners' demotivation and the negative aspects of instructional learning context—teaching method and learning tasks in particular. To investigate the sources of demotivation among Hungarian English/German learners, Dörnyei (1998) focused on examining students who had been identified as demotivated and asked them about their bad learning experiences. He clarified that only demotivators or those who had experienced demotivation could actually indicate the reasons that

resulted in their loss of interest in language learning. By interviewing 50 demotivated Hungarian students, he obtained results that are different from those of the two previous studies and concluded that the teacher is the largest category directly concerned with learners' demotivation. Inadequate school facilities are the second.

Regarding cultural differences, factors that demotivate Asian students may differ from those for language learners in the West. More recently, two survey studies have been reported concerning Japanese EFL learners. Falout, Elwood, and Hood (2009) found that poor teacher behavior is not a substantial problem so much as pedagogy. Old teaching methods and grammar translation were found to be the dominant external factor posing a threat to student motivation. Kikuchi and Sakai (2009) also studied 112 students from three universities in Japan. The results proved that the non-communicative teaching method is crucially associated with language learners' motivation. What should be noted is that, unlike in Dörnyei's (1998) findings, inadequate school facilities were found to less frequently demotivate participants. Accordingly, Kikuchi and Sakai's (2009) results echo the study of Falout et al. (2009). In addition, both studies suggest that demotivated learners can be re-motivated, as long as the teaching methods are more meaningful and include practical interaction for communicating in English.

Seo and Kim (2012) examined a general trend of Korean elementary school students' English language learning demotivation from both students' and teachers' perspectives. Through quantitative findings from 6301 students, Seo and Kim extracted three demotivators, which reflected culture-specific factors among Korean pupils' demotivational behaviors: the Teachers, Excessive Social Expectation and Students' English Proficiency Gap. In addition, their findings highlighted the point that students' motives decreased as they move through grades.

In Vietnam, Tran and Baldauf (2007) collected data from 100 second-year EFL college students and extracted types of demotivation and their influence. Their results revealed that demotivation seemed to be an unavoidable phenomenon for most students, and it may occur discontinuously over a period of time. Similar to the two Japanese studies mentioned earlier, Tran and Baldauf also discovered that teacher-related factors are the most influential types of demotivation, and inadequate teaching methods were reported as the highest.

To identify the demotivating factors for Taiwanese students, Chang and Cho (2003) studied demotivating factors among junior high school students. Ninety-one essays were collected, and eight factors were identified as the sources of demotivation: 1) learning difficulties, 2) threats to self-worth, 3) boring teaching, 4) poor teacher-student relationship, 5) punishments, 6) general and language-specific anxiety, 7) lack of self-determination, and 8) poor classroom management. Recently, Hu (2011) studied the relationship between EFL students' past demotivating factors and their English language proficiency through a total of 467 freshmen questionnaires and listed three major demotivating sources: 1) learning difficulties, especially in vocabulary reciting, grammar translation, and listening comprehension, 2) anxiety and language-specific anxiety in the classroom, and 3) tedious teaching, punishment, and poor teacher-student relationships. Interestingly, teacher-related factors seem to be a less influential factor for Asian EFL learners, though the role the teacher plays in affecting learners' learning process is still highlighted. As can been seen, language learners with different cultural backgrounds can suffer from demotivation differently. Although poor teacher behavior was found to be a major factor associated with demotivated language learners, it is still interpreted differently.

These studies, surprisingly similar, found that external factors (e.g.,

textbook/reference book–related issues, teachers' personalities, etc.) often influence internal conditions (e.g., reduced self-confidence, attitudes of group members, etc.) of language learners in the process of demotivation, and the teacher-oriented factor was consistently identified among these studies, though it is interpreted differently to some degree. The sources of internal factors are within the students themselves and lead to negative outcomes from the learning process, whereas external factors are those resulting from the outside: the teachers, books, and learning environment.

Dörnyei (2001) defines demotivation as "specific external forces that reduce or diminish the motivational basis of a behavioral intention or an ongoing action" (p.143). However, as Sakai and Kikuchi (2009) point out, both internal and external factors that reduce or diminish motivation to study L2/FL should also be included, let alone demotivating factors hamper learners' learning motivation (Hu, 2011). While many practical studies focus on motivating language learning in English learning, the practitioners may also need to pay attention to those who are considered demotivated.

Therefore, this present study attempts to shed light on the range and nature of both internal and external demotivating factors and offers an understanding of what discourages Taiwanese young adult learners from learning English. It seeks to answer the following research questions:
1. What are the external factors that discourage EFL learning among Taiwanese university students?
2. What are the internal factors that discourage EFL learning among Taiwanese university students?

Method

As the literature indicates, the questionnaire seems to be a popular instrument administered to examine learners' motivation and demotivating factors (e.g., Falout et al., 2009; Dörnyei, 1994; Hu, 2011; Kikuchi & Sakai, 2009; Oxford & Shearin, 1994). However, there can be a possible threat to the results' validity due to respondents' lying in their answers (Brown, 1981) and/or guessing the acceptable answers (Skehan, 1989). Interviews, on the other hand, are personalized and provide a means of free responses and flexibility as well as in-depth information gathering. Thus, in order to understand the phenomenon of interest from perspectives of the participants as well as to obtain information about their past experiences to reflect on their thoughts and then determine possible demotivating factors, the semi-structured interview was applied. That is, questions are the same for everyone, but the direction of the responses is open and the interviewees are encouraged to answer in their own words (Gillham, 2005). This study, therefore, aims to provide the needed information on EFL learning experiences of young Taiwanese adults from the viewpoint of demotivation.

Participants

The sample group of this present study was purposefully restricted to students who were not English majors and were currently taking English courses to fulfill their five semesters of English graduation requirement. In order to locate the students who had most likely experienced demotivation to some degree, the researcher approached the teachers who were responsible for General English courses, and consulted them for further information regarding the students' class performances, including distinctive features such as showing no interests of learning and/or lack of participation in class. Then the class teachers helped to identify and elicit the target students for this study. However, this study aimed to explore possible demotivating factors from students' perspectives; the teacher's comments, therefore, were excluded.

After the potential participants were located, the purpose of the study and the steps of conducting the interviews were explained in person to them. As a result, five participants were included. Their background information is presented in Table 1.

Table 1 Background Information on Participated Students

Students	Gender	Majors	Years of learning English	Learning English in Private Sector	Experience of taking English Proficiency Test
S01	F	Leisure & Recreation Management	10 years	Yes	Yes
S02	M	Leisure & Recreation Management	12 years	Yes	Yes
S03	F	Tourism & Hospitality	10 years	Yes	Yes
S04	F	Logistics & Shipping Management	12 years	Yes	Yes
S05	M	Logistics & Shipping Management	10 years	Yes	No

These five students were all sophomore students from the School of Tourism and Transportation in a university located in northern Taiwan. The students reported they had been studying English for at least ten years, since they were in the third grade of primary school. Some even started early from their preschool stage (S02, S04), and all of the five students had experience in joining private English programs outside the school. With regard to their experience of taking English proficiency tests, S05 did not have any related experiences in taking proficiency tests, whereas others had at least taken the General English Proficiency Test once either in the junior or senior high school stage. However, none of them passed the elementary level of the proficiency tests successfully. Coincidentally, though this study did not include learners' English proficiency level as one of the criteria for participant recruitment, these five students all seemed to have a lower level of English proficiency.

The Interviews

The semi-structured interviews were held in the participants' university in an empty classroom. Mandarin Chinese was the language used throughout the interview, as it is the students' first language, and in it they could fully express themselves. Again, the purpose of the study and the nature of the interview were explained to the participants since it is ethical to notify them about what the interview deals with. Also, all information was kept anonymous and confidential.

An interview guide used in this study is showed in Appendix. Four broad themes were made up to form the interview schedule. The seven demotivating factors listed in interview question four are based on the literature suggested. After they were given the basic background information, the students were asked to recall their past EFL learning experience and to think back about their entire learning process including learning at school and attitudes towards English and learning English. Next, they talked about the typical English lesson they had as well as the factors that have a negative impact on learning English. Finally, they were asked to describe the efforts they had made to overcome demotivation as well as satisfaction with their own language skills. As Merriam (1998) suggests, the four main themes were sequenced from general and neutral to narrow

and focused. The average length of each interview was about 30 minutes. Each interview was carried out individually and audio-recorded and was transcribed afterwards.

Analysis

In order to achieve insights and to lead to meaningful interpretation, researchers (Bogdan & Biklen, 1998; Patton, 1990) suggest a four-step analysis procedure—that is, coding, categorizing, describing, and interpreting. Each phrase, sentence, or paragraph will be categorized according to the description relating to student demotivation. Then labels with similar attributes will be grouped into the same group. Originally, common topics were collected together in each transcript. Any phrases or sentences (less than a single line) that expressed students' ideas or their reasons for not willing to pursue English study were picked out and categorized. Transcripts were then summarized and reduced into similar sets of themes, and this helped to identify the patterns or interpretations of the data. All student interview data were analyzed in Chinese but using codes in English. As a result of data analysis, several demotivating factors emerged from the data, and the reasons for demotivation were uncovered. The demotivating factors revealed from student interviews were first formed into subcategories, then combined into themes, and finally classified as either external or internal demotivating factors.

Findings

In response to the research questions, the demotivating factors that discourage young Taiwanese adults the most are described first. Next, reasons that are likely to contribute to learners becoming demotivated are illustrated and discussed. The findings are presented with extracts from the student interviews.

External attributors

Five major external demotivating factors experienced by the participants were identified. The five major factors are teacher-related, administration-related, textbook-related, learning environment–related, and parent-related. Each of these main factors contained several subcategories (Table 2).

Table 2 Distribution of External Demotivated Factors

Demotivating Categories		Students
External demotivating factors		
Teacher-related Factors	Teacher's inactivity	S01, S02, S03, S04, S05
	Teaching method	S01, S02, S04, S05
	Teacher's behavior and attitudes	S01, S02, S04, S05
Administration-related Factors	Transitional problems	S01, S02, S03, S04, S05
	Test-oriented learning	S01, S02, S05
	Scheduling of classes	S04, S05
	Inappropriate achievement tests	S05
Textbook-related Factors	Unrelated to daily life subjects	S01, S02
	Difficulty level of materials	S01, S02, S03, S04, S05
Learning environment–related Factors	Classmates' behavior	S05
	Classroom facilities	S03
	Class size	S04
	Lack of language environment	S02
Parent-related Factors	Care about the scores too much	S05

Teacher-related factors

As shown in Table 2, the language teacher seemed to be an influential factor during

students' learning process. Three major issues related to the teacher that had caused demotivation among the participants include: teacher's inactivity, teaching methods, and teacher's behavior and attitudes.

Teacher's inactivity

In interviews, what seemed to be causing demotivation among these students was that they mostly had to listen passively, and the lack of interaction during the class resulted in demotivation. The teacher just taught by the book, did what s/he should do in class, and never offered any opportunities to interact with the class. S03 and S04 specifically pointed out that such one-way teaching and no interaction at all made the class boring and made them want to quit learning.

In fact, none of the five participants mentioned any classroom activities their teachers applied during the teaching. It seemed that the class was mostly teacher-centered and students often played the roles of passive learners. Because the teacher did the talking all the time, lessons were considered boring and tiresome. Such teacher-centeredness made some of the students unable to concentrate on the lesson and/or unwilling to attend the class. Sometimes, lack of good student-teacher interaction during the class can be attributed to students' demotivation. Thus, demotivation relates to the teacher's inactivity and the way the teacher treated the class, making it boring and pointless for students.

Teaching methods

Teaching methods refer to the teacher's way of organizing and delivering content. One major aspect of teaching causing demotivation was that the teacher emphasized the forms of the language in language teaching too much. Four out of five students identified this factor as demotivating. S04 and S01 offered their experiences to explain this notion of grammar being taught in too much detail (e.g., focused on explaining the grammatical rules only), and this made the learning extremely boring and ineffective. Though it is true that learning English grammar rules is important for learning English, for these students, school seemed to be viewed mainly as the place where grammar is studied.

Meanwhile, placing too much stress on reciting the entire lesson and on translating tasks was also reported as a demotivating factor. S02 further illustrated this point:

"My junior high school English teacher liked to ask us to recite whole reading paragraphs. We needed to write down the entire reading text and then translate the text into Chinese…you had to be exactly the same as it was in the textbook." [S02-10]

The teacher clearly wanted the student to provide "correct" answers to the tasks. Such teacher control was experienced as an external constraint on learning, and this also challenged students' role of being in control of their learning. Meanwhile, it was argued that language is for communicational purposes. Hence, instead of endless reciting, writing, and studying of grammar rules, the teacher should have organized some different teaching and learning activities for learners.

Relating to the ability of explaining the subject well, a fast teaching rate was reported as being demotivating, especially when dealing with solving grammar questions on tests. S01 stated that a fast teaching rate made the teacher difficult to follow. Consequently, being unable to catch up with the teacher in class, the student became less interested in learning English at school and became demotivated. It seemed that the teacher she had did not give enough attention to the students who could not keep up with the teaching.

Teacher's behavior and attitudes

The teacher is considered to have a crucial influence on students' motivation in English learning. Teachers' incorrect assumptions regarding students' learning experience can be problematic for language learners, especially beginners. Such a point was made by S01:

> "When I first started English learning in primary school, my teacher thought everyone had studied English in the private sector… In fact, I was totally new to this language. I knew a little about the alphabet, A, B, C, but I had no idea about the vocabulary…but for students who had studied English in the private sector, they did well; they were able to answer what the teacher asked. So, they could actively participate in all kinds of games, such as tic-tac-toe. But for us, who totally knew nothing, we could only watch them playing the games." [S01-3]

In the case of S01, the teacher's incorrect assumption affected student learning right from the beginning, and the class became unfriendly to inexperienced learners. She stated that the teacher did not recognize the truth that not all students had had the experience of English learning prior to the school English implementation. It seemed that the teacher concentrated on students who were already good at English, whereas those who had little or no experience of English often felt unable to join the class activities; this made the English class an unpleasant experience.

Further demotivating factors related to the teacher's behavior were a negative attitude towards the teaching. According to S5, he used to have a teacher who was always late for the class for 20 minutes, but finished when the class bell rang. This indicates that teachers who did not respect their teaching made learning an unpleasant experience for their students, and this often resulted in demotivation on the students' side. Consequently, the teacher's lack of enthusiasm can have a negative influence on students' motivation in English learning.

Sometimes, being too strict with the students also caused demotivation. S05 especially illustrated the point that his English teacher in junior high school punished him for not doing well in English. Another student (S02) reported a similar experience relating to a strict teacher:

> "The teacher asked us to remember the new learned words of the entire lesson. We had quizzes on Monday night. If you got scores less than 80 points or didn't reach certain criteria, you would need to do the test again. If you failed again, you needed to copy the same words ten times and submit it next day." [S02-19]

Asking students to correct the wrong answers by copying the same words several times seemed to be ineffective. S2 commented that such work made learning become simply mechanical.

Interestingly, S01 and S04 both mentioned that they were not active learners and needed someone to push them to study. The two students understood that they needed someone, especially teachers, to monitor their learning. However, how to help learners without being too strict may need to be carefully considered by language teachers. Although strict teachers can push students to study harder, teachers may need to be careful of being too harsh on students, as this can result in negative effects on students' EFL learning.

Administration-related factors

Several aspects related to the educational system that cause demotivation also emerged. Four demotivating factors were identified: transitional problems, test-oriented

learning, scheduling of classes, and inappropriate achievement tests.

Transitional problems

Based on the students' interviews, a learning gap seems to exist between levels of studies, especially in transferring from junior high school to senior high school levels. All five students reported that English in senior high school became so difficult that learning, let along test-taking, was a difficult task. They pointed out that junior high school English was easy, but the transition from one level to another was problematic. S2 and S3 both admitted that English in junior high school stage was not that difficult. They were able to recognize the vocabulary, understood the grammar and texts, and they handled the learning well. However, English learning in senior high school stage became problematic. S05 also highlighted the difficulty of senior high school English learning. Once the student failed to study successfully, the gap became larger. No link between these two stages. Such gap seems to trouble these students a lot.

When mentioning prior learning experience, one major demotivating factor also emerged. Two students (S04 & 05) indicated that before the senior high school stage, English was easy due to their extra English learning in the private sector. However, such repetition of learning material also causes them to become inattentive to the class.

> "English learning before senior high school was not so difficult. Many words I had learned in primary and junior high school. Most vocabulary just repeated all the time. But at the senior high school level, too many new words…you've never see them before…" [S04-33]

From these students' viewpoints, there seemed to be a transitional problem. It was hoped that students could link their prior learning experiences, especially those at the junior high school level, with their English learning at the senior high school level. Unfortunately, such preparedness did not have a positive effect on their senior high school work.

Test-oriented learning

Test-oriented learning was reported as the second demotivating factor. These students complained that pen-and-paper tests cannot really test one's language proficiency and that language learning should not focus on test preparation. S01 highlighted such unhelpful and frustrated situation was only made her feel English is not a useful tool at all. It is true that English is an important subject for students in Taiwan. In order to get into a good university, students must master test preparation in English learning. However, under such circumstances, learning becomes less meaningful; students are not able to use the language in real situations. Meanwhile, some students may have problems preparing and taking the tests. S02 disagreed the notion that learner's language ability should be judged only based on their test results, especially for those who were not good at taking tests. S05 also commented on the irritating requirement of test preparedness.

Once the learning becomes test-oriented, the nature of language learning can become different as well. Teaching may also be affected. S02 complained further that current language education seemed to focus only on reading and writing, whereas listening and speaking were often neglected. It is true that language is for communicational purposes and that training students in listening and speaking abilities is equally important. Meanwhile, not everyone is good at taking tests, and placing too much stress on test scores can demotivate students, especially those who have different learning styles.

Scheduling of classes

Another demotivating factor was related to current school English learning at university. Two students reported that the unfavorable scheduling of English classes had

caused demotivation. The scheduled times for English classes were not considered appropriate. Students were not able to choose courses based on their interests. For example, S05 complained about the time arrangement of the class.

> "The English class I attend right now is not good. It is scheduled in the late afternoon, around four o'clock. I don't think that's good for language studying." [S05-29]

The reason why this was considered a problem was that the classes had been scheduled late in the afternoon. Most importantly, the students were not able to take control of their class schedule arrangement.

Inappropriate achievement tests

The school authorities applying inappropriate achievement tests to students was reported as demotivating. S05 pointed out that English learning was already frustrating; the teachers even adopted tests made by top schools:

> "All my classmates didn't do well on English. The teachers gave us the tests that were made by the best high schools. The test questions were totally different from what we learned from the textbook. It was so frustrating." [S05-27]

Achievement tests should be implemented based on students' learning conditions. However, in S05's case, such unsuitable achievement tests only discouraged students in their academic performance.

Textbook-related factors

Learning materials were reported as the third major demotivating factor. Although difficulties in following the lessons were usually traced back to the teacher as mentioned earlier, the learning material and content made the learning experience unpleasant. Two subcategories were divided: unrelated to daily life subjects and easy content.

Unrelated to daily life subjects

The major problem with the textbooks was that they did not meet the needs the students had as language learners. The content was solely topics related to specific grammar, which made learning unenjoyable:

> "The textbooks used in my junior high school were not really related to usage in the real world. The texts were made because of the vocabulary and grammar focused on that unit. Usually, one unit, one grammar, and sometimes the grammar wasn't arranged systematical enough. And the content wasn't so close to our life." [S01-79]

The materials were criticized for not being useful and were regarded as boring compared with those used in the private sector, S02 added that the learning materials he had used in private sector was not grammatical oriented but focused on using English in everyday lives. Apparently, it was hoped that real English could be taken into account when choosing the materials.

Difficulty level of materials

Perceived difficulty of learning English in general was reported as being demotivating. All five participants commented that they felt English was a difficult subject to study. For example, students with a small size of vocabulary can be problematic in comprehending the long texts shown in the textbook (S04). Meanwhile, the students also pointed out the necessity of learning strategies, and thought that can be a solution to improve their English study. In fact, the difficulty of learning English has been identified

in the subcategory of transitional problems. These students seemed to be unable to apply what they had studied smoothly to the next stage of learning, and they complained that English became too difficult to deal with (S03).

However, as a majority of Taiwanese students had had the experience of early exposure to English, one important factor is emerged. That is, suitable materials needed to be selected with caution to avoid repetition. S05 elicited this point from his interview:

> "School English was boring. It was boring because I had already learned. The stuff was very basic and easy. I could handle school tests easily. Learning English at school was really boring." [S05-6]

As can be seen, S05 was an experienced learner and had repeatedly studied the course content. However, such repetition of materials also made him lose interest in learning new things.

Learning environment–related factors

The demotivating factors related to the learning environment were less influential, and each had his/her own concern. Consequently, four aspects were mentioned: classmates' behavior (S05), classroom facilities (S03), large class size (S02), and lack of language environment (S04).

Classmates' behavior

Classmates' negative behavior usually distracted the learner during the lesson and resulted in demotivation. Such a peer effect was shown in S05's class:

> "Everyone seemed to be doing his own work. No one cared about what was happening in the class. Since no one wanted to listen to the teacher, I didn't want to listen, either. I just did what I wanted to do in English class." [S05-24]

This also implied a problem with the teacher's classroom management. No one was interested in the class, and the teacher did not intend to improve the situation. As a result, learning was not of good quality within such a class environment, and the student gradually lost interest in learning English.

Classroom facilities

The space of the classroom was mentioned as influential. S03 stated that sitting in a small classroom with fixed tables was uncomfortable:

> "I don't like the classroom with unmovable tables and chairs. It feels crowded and uncomfortable." [S03-5]

In fact, a classroom with movable tables and chairs can offer the class with more space to conduct learning activities. Learning may not lead to a positive outcome within limited space.

Class size

Usually, large class size will be reported as being demotivating. Interestingly, S04 held a different viewpoint towards this issue. She claimed that studying in a small class was stressful:

> "…in a small class; the teacher could see what everyone was doing. So you couldn't do other things. You needed to be very attentive to the class. That was really tiring and stressful." [S04-8]

It can be seen that S04 preferred to be in a large class and did not want to have too much attention from the teacher.

Lack of language environment

One demotivating factor related to the learning environment was lack of an English language environment. S02, in particular, highlighted the importance of learning English in an English environment:

> "I think if you are in the U.S. for about one or two years, you will learn English naturally. It is different from studying the textbooks all the time; you will learn how to use the language in the real situation." [S02-31]

He offered his experience as an example. He had an American teacher teaching speaking and listening in his senior high school. S02 stated that he could talk to the teacher in English naturally. He confirmed that he did well in speaking class but showing no interests in Taiwanese teachers' grammar class. Apparently, here an issue with the students' learning style was concerned. S02 believed that learning how to use the language for communicational purpose was more important than studying grammatical rules, and lack of such training was demotivating.

In fact, in an EFL class in Taiwan, the teacher is usually the main source of the target language input. Hence, without enough opportunities to use English and with the focus only on grammar study, language learning can become more difficult.

Parent-related factor

Another external factor came from the parental side, though only one student reported this factor as being demotivating. However, it still needs to be taken into account.

Care about the scores too much

> "If I got low grades, my parents kept nagging all the time, for at least two or three days. That was really upsetting. They only cared about my test scores, not how I really learned." [S05-42]

Generally, parental support is essential. Parents in Taiwan care too much about their children's academic performance, and this may also put pressure on students. Children may be blamed for failing the tests and then gradually lose their motivation in the study of English.

Internal attributes

In contrast to the external attributes, the internal demotivating factors refer to the negative forces that exist within the learners themselves. In this study, such internal demotivating factors seemed to play an important role in the process of English learning among these five participants. As presented in Table 3, six factors were identified.

Table 3 Distribution of Internal Demotivating Factors

Internal demotivating factors		
Learner-related Factors	Unwilling to study English	S01, S02, S03, S04, S05
	Failure experience in taking tests	S01, S02, S03, S04, S05
	Efforts without success	S01, S03, S04, S05
	Impatience	S01, S04, S05
	Negative attitude towards English as a compulsory subject	S02, S05

Unwilling to study English

Being an unsuccessful learner can be frustrating and this can affect students' motivation in their willingness to continue learning English. All of the five participants reported a lack of desire to pursue learning English. S01 and S02 both attributed the reason for not wanting to study English to their personality:

> "Basically, I am not an active learner… I only study English before the tests, and I don't really want to improve my English. As time goes by, you cannot make any progress anymore, and so be it." [S01-54]

S04 commented that she had not had any motivation to study English since she was in junior high school, and she did not want to make any changes either.

Based on these students' interviews, such lack of motivation can be linked to their unsuccessful learning experience. This demotivation is similar to effort without success. Only in this subcategory, learning English seemed to be viewed as an impossible task, and the participants had given up making an effort because improvement became impossible.

Failure experience in taking tests

The sense of low achievement and failure was commonly found among these students as demotivating factors, and the five participants had all experienced some kind of failure during their learning of English. For example, S04 admitted that she had never passed any English exams throughout her senior high school years, and this frustrated her a great deal.

As mentioned earlier, English learning for many Taiwanese students has become test-oriented. Thus, students need to face many tests every day. S01 complained about such a situation:

> "Almost when it came to my second year of junior high school, in order to prepare for the high school entrance exam, there were only tests, tests, and tests. I felt that I was buried in a pile of test papers and saw all red marks." [S01-23]

S01 was desperate when she was not able to study English as it should be but just prepared for tests. It can be quite demotivating when learning becomes tests only.

Another experience in test-taking was related to taking English proficiency tests (e.g., the General English Proficiency Test). S02 and S03 both had failure experiences in taking the GEPT:

> "I am not good at reading texts. I took GEPT once. I got over 100 points on listening, but very low grades on the reading part. So eventually, I didn't pass the proficiency test. I spent too much time on reading and couldn't finish all the readings." [S02-14]

As mentioned earlier, S02 performed well on speaking and listening, but not on reading and writing. S03 also admitted that she did not pass the GEPT, and she did not want to take the test again. Failing to pass certain thresholds seems to affect students' motivation in learning the language.

Effort without success

One factor that demotivated learners the most was that they had made an effort, but did not obtain any success in return. The experience of S05 especially reflected this issue:

> "In senior high school, the tests were totally unrelated to the textbooks. You were not able to prepare for the tests….I always got lower grades… No matter how hard I studied, I still got the same test results." [S05-20]

Another similar example was offered by S01:

> "I knew my English was not good, but there were tests coming. I thought I could remember some words that could be helpful…but it seemed that I still got lower grades as usual." [S01-42]

It seemed that English learning was difficult even though the learners had invested a great deal of time and energy in it, and the results were still not improving. Such frustration resulted in unsuccessful learning that demotivated these students.

Impatience

Not able to continue learning English was considered another demotivating factor. Three participants (S01, S04, and S5) reported that they were not patient enough to deal with a wide range of learning materials and with remembering vocabulary in particular. For example, S01 valued the necessity of vocabulary learning, but she was just lack of that patience to study the vocabulary. S05, on the other hand, confirmed that dealing with long texts upset him a lot. There were too many unknown words, and he was annoyed with long texts. Thus, giving up reading them was the easiest way for him.

Though the importance of expanding one's vocabulary was deemed a crucial element in learning English, these students admitted that they were just too lazy.

Negative attitude towards English as a compulsory subject

The next source of demotivation revealed from these five students was their negative attitude towards English as a compulsory subject. Interestingly, all participants recognized the notion of studying English; however, two of them (S02 and S05) presented a negative attitude towards taking this required subject at school. S02 commented that language learning should be conducted with no pressure to obtain the best result. He further stated that students should be given options of choosing what language to study. S05 expressed that everyone has his/her talent regarding learning. For students who are not good at language learning, taking English as a compulsory subject might be painful:

> "Not everyone is good at language learning. Some may be strong, and some are weak. It is not good to force everyone to study English just because it is an important foreign language." [S05-40]

Sometimes, a compulsory subject means studying for tests only. Hence, considering English as an elective course can be less stressful, and students can choose to study the language based on their needs.

Discussion and Recommendations

The data revealed above shows that these students had much to say about their English learning experience. It is clear that the phenomenon of demotivation does exist among the participants of this study. In all cases, it was clear that demotivation had a negative effect on these learners' English learning and prevented them from achieving positive learning outcomes. The results also suggest that demotivation is a serious problem which needs to be carefully addressed in the learning of English.

Based on the preceding analysis, a total of six themes of external and internal demotivating factors identified from the data of this present study. The following five demotivating factors were external attributes: teacher-related factors (i.e., teacher's

inactivity, teaching method, teacher's behavior and attitudes), administration-related factors (i.e., transitional problems, test-oriented learning, scheduling of classes, inappropriate achievement tests), textbook-related factors (i.e., unrelated to daily life subjects, easy content), learning environment–related factors (i.e., classmates' behavior, classroom facilities, class size, lack of language environment), and parent-related factors (i.e., care about the scores too much). Internal attributes related to the learner-related factors included unwillingness to study English, failure experience in taking tests, perceived difficulty of the English language, efforts without success, impatience, and negative attitude towards English as a compulsory subject.

One of the major demotivating factors that is consistent with the results reported in the previous studies is related to the teacher. As Dörnyei (1998) states, the teacher-related factor is often viewed as an important feature that affects students' learning the most. Among the three subcategories related to teachers, the teacher's inactivity was reported as the most demotivating, whereas the teacher's teaching method and the teacher's behavior and attitude were both ranked as the second. In fact, the teacher's inactivity can also be referred to as a lack of classroom interaction. Meanwhile, according to these participants, their teachers mainly applied grammar translation teaching methods, and the teacher did not present a positive, professional attitude. In order to achieve the best learning results, teaching should not be focused mainly on grammar skill training; there can be a mismatch between teachers' teaching methods and students' preferred learning styles.

In fact, poor teaching quality and bad student-teacher interaction have also been identified as demotivating factors in many studies (e.g., Chang and Cho, 2003; Elkhafaifi, 2005; Gregersen, 2003). As Ushioda (1998) stresses, the negative aspects of the teacher's teaching and tiresome learning tasks are the reasons that cause students become demotivated in language learning. Hence, teachers may need to reconsider their lesson plans and teach students with caution. Meanwhile, appropriate teacher classroom behavior and attitudes towards teaching and the class also need attention to avoid leaving students with negative perceptions of English language learning.

Another important finding is that students were demotivated because of the current educational system. The national English curricula set progressive standards for the subsequent stage of learning that the students were supposed to have met. However, the participants of this study all reported that they failed to made adequate progress and had found a gap during their transition to the next stage of learning. These students found they were not capable of handling current lessons and consequently felt demotivated. A similar result is also reported in the study done by Trang and Baldauf (2007). They indicate a need for better more consistent curriculum design and remedial assistance to help students develop study skills and hopefully to overcome their demotivation.

Furthermore, test-oriented learning was also demotivating. In Taiwan, getting higher test scores is commonly viewed as giving one a better chance to get into a better school or the promise a better future. However, reaching this type of goal may often lead to a boring and tedious learning process, which also makes students become demotivated. Accordingly, such test-oriented goal needs to be reconsidered regarding the nature of learning a foreign language. This demotivating factor especially can be very culturally based. Hence, teachers and educational authorities may need to find a way to avoid merely test score–based evaluation. Perhaps applying a variety of assessments can be a solution to help demotivated students overcome their demotivation.

The remaining three external demotivating factor subcategories seemed to be less significant, especially factors relating to textbooks and learning environment. The findings contrast with those of previous studies. It was identified that textbooks (Dörnyei, 2001; Kikuchi, 2009), learning environment, and school facilities in particular (Dörnyei,

2001) played an important role in motivating students' learning. However, the results obtained in this study were not similar. It can be argued that Taiwanese students rely on the input from the language instructor rather than looking for help from the learning environment they are in.

As for the internal demotivating factors, the students exhibited frustration regarding English learning. They all experienced failure in taking tests, including language proficiency tests; perceived difficulty of the English language; and, finally, did not want to pursue their studies in English learning. Students' awareness of the importance of English can be a useful motivation to recover their interest in learning (Trang & Baldauf, 2007); yet, such awareness seemed to be not enough, especially when they tried hard but did not obtain a positive outcome. In addition, a positive attitude towards the target language helps the learners in studying the language. However, when the language learners hold attitudes against the target language or the subject, it hampers the learning outcomes. In this study, students clearly showed an attitude that was against studying English as a compulsory subject, and they did not want to study the subject in class at all. Thus, teachers may need to revise their method of delivering the lessons, including motivational strategies in teaching. Teachers may also find a way to help students to rebuild their self-confidence in learning by teaching them appropriate learning strategies, help them overcome demotivation, and re-motivate them in their learning.

Conclusion

This study aims to identify the possible demotivating factors regarding EFL learning among Taiwanese college students. Originally, it was considered that student demotivation would often be associated with their language teachers as the researchers identified (Dörnyei, 2001; Kikuchi, 2009). However, the findings from this present study suggest different results. In fact, in line with other studies that had also been done in the Taiwanese context (e.g., Chang & Cho, 2003; Hu, 2011), perceiving difficulties in learning English seemed to be most influential. Interestingly, this study intended to investigate the external demotivating factors specifically regarding teacher behavior. Yet, the results suggest that these young Taiwanese adults attributed demotivating factors to their teachers less frequently; instead, the internal demotivating factors were more often. This seems to imply that these students were unsuccessful in English achievement because did not try hard enough and lacked proper learning strategies.

Students claimed that they do understand the importance of studying English, and they wanted to improve their English learning. Nonetheless, they did not make any effort to improve their English. Such false motivation may require the language teacher to turn it into positive motivation. Hence, though the teacher factor in this study was not found to be the most significant, the language teacher still plays an important role in delivering students with positive attitudes towards language learning. This implies that students can be re-motivated in their English learning. As Falout et al. (2009) suggest, meaningful and practical interactional teaching methods can be a solution to this issue and help students overcome demotivation and recover their interest in learning.

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Appendix

Interview schedule:

1. What do you think of the English class you are attending now?
2. Please think back about your English learning experience. When did you start learning English? How was it?
3. Describe a typical English lesson you have had which you dislike the most. Why?
4. In your opinion, what factors are important if one wish to make progress learning English?
    a. As to English teaches (e.g., their personality, teaching method, skills and styles)
    b. As to the classroom facilities or the size of the classroom
    c. As to your discouraging experiences or lack of success in your English study
    d. As to any negative attitudes you have towards your English study or the English-speaking communities
    e. As to the compulsory nature of English study in high school (or even earlier) in Taiwan
    f. As to your attitude towards your classmates
    g. As to the textbooks used in your English class
    h. Anything you would like to add
5. If any, what have you done to recover your interest in learning English?

Teaching Imagery Poetry in the EFL Classroom: A Lexical-Syntactic Study of Vocabularies, Phrasal Verbs, and Prepositions

Fan-yu In [*]

Abstract

English literary texts have not been widely taught in EFL classrooms at many universities in Taiwan for at least one decade. In other countries, some researchers emphasize the topic of using literary texts to teach in English language learning settings. However, less and less English teachers choose literary works to teach EFL courses in Taiwan. An aim of my study was to explore the effectiveness of teaching imagery poetry in EFL classrooms. This study attempted to test the hypothesis that it would be easy and effortless to recite and memorize the song-like, nursery-rhythm, rather short lines in English imagery poems and these poetic characteristics would help enhance lexical and syntactic levels. It compared the effects of grammar-translation method for a control group and eclectic method for a treatment group on the performance of undergraduates who enrolled in English classes. Participants of the control group were taught in Chinese, whereas those of the treatment group were taught fully in English in the eclectic method using audio-visual aids. The posttest was exactly the same as the pretest, and both were calculated by an independent two-sample *t*-test in SPSS, including three kinds of variables: (a) vocabularies, (b) verbs and phrasal verbs, and (c) prepositions. Results indicated that the teaching of imagery poetry helped the participants learn certain poetic words, phrasal verbs and prepositions that are common in daily communication and use them correctly at the end of this study. Participants taught in the eclectic method performed significant better than those taught in grammar-translation method. The approach outlined in this study needs to be replicated in other universities to determine the role of English imagery poems as supplementary teaching materials in EFL classrooms.

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EFL 課堂之意象派詩歌教學：
針對字彙、動詞片語、介詞之語彙與句法研究

應芳瑜[*]

摘要

　　十年來，在台灣許多大學的 EFL 課室中，以英美文學作品來教英文並不廣泛。在其他國家，仍有些學者強調在英語學習的環境中採用英美文學作品來進行教學。然而，在台灣，愈來愈少的英文老師採用英美文學作品來教 EFL 課程。本篇研究的目的是要探討在 EFL 課程當中運用意象詩歌來教學的成效。本篇研究嘗試驗證這個假設：英文意象詩歌的短句和韻律易於朗誦和熟記，而且這些詩歌的特色有助於增加字彙並熟練句法。透過詩歌教學，進而了解參與本實驗之基本程度和較低程度大學生的英文學習成效。學員的英文水平已假設為同等低程度，並採用前測將學員程度確立為同等級。本篇研究分成兩組，為期四節課。評量方法是後測。控制組以中文教學，採用文法翻譯法的兩個活動。實驗組以英文教學，採用折衷教學法，強調以視聽活動進行教學。前測和後測的題目相同並以三項變數來進行分析：(a)字彙、(b)動詞和動詞片語、(c)介系詞。這三項變數採用獨立雙樣本 T 檢定來計算統計結果。結果顯示意象詩歌教學有助於兩組學員學會日常溝通常用到的字彙、動詞片語和介詞並且正確使用這些教過的字，除此之外，採用折衷教學法的實驗組表現比控制組更好。未來仍需要在其它大學應用本研究的方法，進而將英文意象詩歌定位為 EFL 課程的輔助教材。

關鍵字: 意象派詩歌、EFL、折衷教學法、T 檢定、字彙、文法

Introduction

English literature has been gradually marginalized and deemed as irrelevant to mainstream language teaching for non-English majors at many universities in Taiwan since the invasion of language learning books (i.e. artificial materials) into university classrooms. It may be problematic to exclude literary works from the reading materials used in EFL classrooms because, in other countries, some research projects still explore the results of using literary texts in EFL settings. Ghazalah (1988) argued that literary stylistics was the most convenient approach for non-native students when learning English literary composition. In his experiment, Ghazalah (1988) taught two twentieth-century short stories, *The Sisters* by James Joyce and *Enough* by Samuel Beckett. Besides Ghazalah's study related to teaching literature in EFL classes, a study in 1998 paved the way for the present study; Wasanasomsithi (1998) found from the survey questionnaires completed by 194 EFL teachers in Thailand that they considered the possibility of making more use of literature in EFL instruction. Kim (2002) investigated the language learning processes and the literary experiences of Korean students who enrolled in a literature-based EFL program. Yoshida (2003) explored the use of American drama in the EFL reading class at a Japanese college. Five years later, Yuksel (2008) examined the nature of literary discussions in an advanced level English literature class in a Turkish EFL setting. Such research projects endeavored to reassess the role of literary texts in foreign language education.

However, most university teachers have dismissed the idea of teaching English literary texts in English classes for years, especially here in Taiwan. One of the reasons can be suggested by the results of Peacock's experiment in which the learners reported that the authentic materials, referring to literature, were significantly less interesting and enjoyable than the artificial materials (Peacock, 1996). This is indeed in direct contrast to many assertions in literature-teaching periodicals and books that suggest literature as a valuable authentic source for language teaching (Collie & Slater, 2005; Deford, 1981; Feitelson, Kita, & Goldstein, 1986; Littlewood, 1987; Morrow, 1992; Naik, 2011). These contentions that are contrary to Peacock's results may be applicable but they are not accepted by most teachers who teach English to non-English majors at the undergraduate level in Taiwan. In view of the fact that artificial materials are dominant in most EFL classes, this paper recommends that literary texts can be regarded as supplementary reading selections that help to create more classroom activities for enriching learners' intake of words and grammatical rules.

A claim for learners' intake of words and grammatical rules through imagery poetry evolves from the debate on the use of either the authentic materials of literature or the artificial materials. That debate has mainly focused on language use and language usage for decades. Indeed, there is a difference between these two functions. According to Widdowson (1979), language usage involved a knowledge of linguistic rules, whereas language use entailed knowing how to use these rules for effective communication. Most critics, who assume that literature can provide a basis for extending language usage, focus on the grammatical points that are salient in the literary texts (McKay, 1982). McKay (1982) noted that "literature has traditionally been used to teach language usage" (p. 530). On the one hand, in most English classes, for the purpose of the enhancement of language use, daily English texts (i.e. artificial materials) are widely used as teaching materials. On the other hand, it is suggested that literature can enhance the level of language usage among students. No matter what researchers argue about the function of the authentic materials, most literary works still demonstrate prominent examples of using linguistic

rules to make brilliant and memorable sentences. Webster (2002) emphasized learning through words by the use of imagery poetry. She suggested that "The power of poetry as an expressive genre may lie in the usage of a small amount of words carefully chosen for their imagery, symbolism, rhythm, and resonance" (Webster, 2002, p.94). The results of the present study are consistent with Webster's suggestion and most critics' emphasis of the importance of language usage in literature. Therefore, literary texts should not be eliminated in EFL classes.

The purpose of this study was to ascertain the effect of teaching imagery poems to EFL undergraduates by applying some in-class activities that highlight the characteristics of imagery poems. McElmeel (1993) gave an honest opinion that in her early teaching career, she selected poetry and books to share with her students by trial and error. McElmeel's opinion gives room to test the first hypothesis of this study that there would be an improvement in the posttest of both groups being taught imagery poems. The most prominent characteristic of imagery poetry is its images. Although the lower-level students may find the experience of poetry difficult in English classes, the images or pictures in the chosen imagery poems can help them link the image with the words that form it. These imagery poems can be seen as i + 1 text based on Stephen Krashen's "Input Hypothesis" (1985), stating that "We move from i, our current level, to i + 1, the next level among the natural order, by understanding input containing i + 1" (p. 2). Moreover, an image in a poem can evoke the reader's sense to connect its meaning to his own past experience, and then become a reproduction in his mind. The secondary characteristic of imagery poetry is its rhythm that sounds. To highlight the rhythm of poetry, Wormser and Cappella (2000) explicated that English is an accentual-syllabic language and the play of those accents among the words makes up rhythm. The last characteristic of imagery poetry is the use of daily words. Some simple, daily words in these chosen poems are the same as those in English learning books for Freshman English classes. With these advantages of the characteristics of the chosen poems, it is promising to see an improvement in the lexical and syntactic levels of participants in this study.

The second hypothesis of this study was to see whether the eclectic method would be more effective than the grammar-translation method. The control group was taught in the grammar-translation method that relied on translation and word lists. To help students have confidence in learning a language, Paulston (1932) suggested that "In general, language teaching remains eclectic in its methods" (p. xiii). In other words, an eclectic method makes use of the appropriate parts of existing teaching methods and it belongs to no particular method. The eclectic method in this study drew on illustrations and single-slot substitution and it was designed for the treatment group. Which teaching method, in this study, is more effective? In addition to that main research question, another minor question focuses on the effect of three variables, which are (a) vocabularies, (b) verbs and phrasal verbs, and (c) prepositions, among both groups.

The significance of the current study evolves from the author's position in the application of literary works in EFL courses. In order to motivate non-English majors to learn English, many different activities can be conducted in an EFL class and literary texts should not be banished from the teaching materials. Teaching short-lined poems in English classes can arouse non-English majors' interest in English literary texts and expand their literary tastes. Using literary works as supplementary teaching materials may have an impact on different variables at different levels. Therefore, besides the results of these two research questions, the analysis of the whole study results that appears in the last two sections of this paper may be inspiring and informative for future research. The current study is significant because it suggests the flexibility for inserting a small number of imagery poems into English classes.

Method

This study was conducted as a two-group experiment. It involved the use of two experimental groups, including a control group consisting of 20 sophomores and a treatment group consisting of 20 freshmen. Some factors affect the results of this study, including participants, materials, and procedures. Methods for selecting participants and supplementary teaching materials, how to use the partial grammar-translation method and the eclectic method to teach imagery poetry, and the evaluation and test instruments applied in the study are explicated in the following paragraphs. The teaching methods are quite distinct from each other because, according to the design of this study, they contain different activities. The eclectic method combines visuals and audio-lingual method, while the partial grammar-translation method depends on teacher's translation and word lists (see Table 1).

The evaluation instrument used in this study was developed to measure the variance of the treatment group in vocabulary and grammar as compared with that of the control group. Both pretest and posttest are exactly the same. In the vocabulary section of both tests, the words are from the selected poems taught in this four-session activity. The vocabulary section is a blank-filling quiz which requires Chinese meaning for each English word. In the grammar section, multiple-choice questions are based on the selected poems. The results of the three variables: (a) vocabularies, (b) verbs and phrasal verbs, and (c) prepositions were calculated by an independent two-sample t-test in SPSS (see Table 1).

Table 1 Course Designs of the Study (N = 40)

	n	Selected American Poems:	Teaching Methods	Activities	Evaluation
Control Group	20	1. "In a Station of the Metro" by Ezra Pound (1885-1972) 2. "The Red Wheelbarrow" by William Carlos William (1883-1963) 3. "Fog" by Carl Sandburg (1878-1967).	Partial Grammar-Translation Method	1. Teacher's translation of American poems into Chinese 2. A word-list exercise	1. Pretest: A vocabulary-grammar test 2. Posttest: The same vocabulary-grammar test as the pretest. (see Appendix)
Treatment Group	20	The same as the above	Eclectic Method: Visuals and Audio-lingual Method	1. Illustrations 2. Single-word pronunciation practice 3. Repetition drill 4. Single-slot substitution drill	The same as the above

Participants

The population for the study consisted of undergraduates in information technology at a Technology University. Each group's participants were chosen based on the criteria of

students' full attendance in the four-session class. The selection of participants was considered on the basis of similarly low levels because a pretest was conducted before the study. The pretest results indicated that 100% of the participants gave less than 8 correct (C) answers in the 20 lexical items. This ensures that the 40 participants are similarly low level students. In the control group, 35% of participants received 5 Cs; 30% received 4 Cs; 15% received 3 Cs; 10% received 2Cs; 5% received 1 C. In the treatment group, 55% of participants received 7 Cs; 15% received 5 Cs; 5% received 4 Cs; 10% received 3 Cs; and 15% received 0 C. Although the distribution of scores varies slightly between both groups, they can be seen to begin in this study at a similar level. No student in these two groups gave more than 10 correct answers. Nor did the *t*-test results of pretest show any significant differences between both groups. In short, both groups in this study had the equal number of participants from the same level of English literacy.

Instructional Materials

American imagery poems belong to authentic texts and they are alive with some aspects of American culture, which can be embodied through the images used in the poems, and these features can be seen as a plus for teaching EFL. Concerning the selection of teaching materials, Honeyfield (1977) pointed out the disadvantages of the selection of the simplified text; one of which was to dilute the information that authentic texts can provide. Moreover, McKay (1987) disagreed on the selection of simplified texts for the teaching of literature in ESL class. To discuss further on the selection of literary texts, Collie and Slater (1987) suggested some criteria of suitable texts, which include students' needs, interests, cultural background, and language level. Based on these research findings, American imagery poems containing culturally authentic contexts were selected to be used in this study.

In terms of the reason why literature can be used in EFL or ESL classroom, such specialists as Collie and Slater (1987) and Brumfit and Carter (1987) provided their opinions. Collie and Slater (1987) asserted that "literature provides a rich context in which individual lexical or syntactic items are made more memorable" (p. 5). In addition to lexical or syntactic acquisition, Brumfit and Carter (1987) suggested us to use literature as translinguistic discourse because it involved more than mere systems of language and contained a wider social, historical, and political context which was seen as essential to the teaching of literature. However, there is a controversial point in the argument of Collie and Slater and that of Brumfit and Carter. The former believed that there is literary language and found it "not always that of daily communication" (Collie and Slater, 1987: 5). In contrast, the latter argued that "there is no such thing as literary language" because "we find it impossible to isolate any single or special property of language which is exclusive to a literary work" (Brumfit and Carter, 1987: 6). Both arguments were coherent to the present study because the three imagery poems were chosen based on these criteria: literary language and daily language.

The selected imagery poems taught in this study were: "In a Station of the Metro" by Ezra Pound (1885-1972), "The Red Wheelbarrow" by William Carlos William (1883-1963), and "Fog" by Carl Sandburg (1878-1967). These three poems show images. According to Wormser and Cappella (2000), an "image in a poem is language that evokes vivid, sensory, concrete presence" (p. 145). The function of the image in a poem is to create the effect of the visual. In other words, these imagery poems bring about the audio-visual-vocal effect in the classroom. And, they are definitely literary works and contain such simple words as "station, metro, face, crowd, wet, black, red, depend, wheel, rain, water, white, chicken, come, on, little cat, feet, sit, look, over, harbor, city, silent, and, then, move," which are often used in daily language. This is the art of poetry emphasized

by Wormser and Cappella (2000) because the poet deals with words that exist meaningfully in dictionaries, conversations, newspaper articles, and advertisements. The words in these imagery poems are derived from daily language and they belong to literary language because they are used to generate a poetic discourse.

Most importantly, most of such words in these three poems are included in the primary textbooks for the two classes of this study. In other words, most of the words in the supplementary teaching materials, i.e., these three imagery poems, overlap some words in the primary textbooks which are *Basic Survival* written by Peter Viney and *Ready to Go 1* written by Joan Saslow and Tim Collins. Both textbooks were published by reliable publishers; the former was published by Macmillan and the latter by Longman. The overlapping words in the primary and supplementary teaching materials increase word frequency and learners' exposure to the different uses of these words.

In this study, these three imagery poems were used as supplementary teaching materials owing to their lengths. Short poems tend to attract learners to start learning poetry. Besides, the themes or meanings of such imagery poems can be drawn or presented in the form of pictures or photos. The song-like, nursery-rhythm, rather short lines in these poems can be glibly recited by most learners; therefore, they are suitable for single-slot substitution drills of the audio-lingual method. In sum, the simple words and short sentence patterns are appropriate for basic-level and lower-level students to learn.

Instructional Procedures

Both groups shared something in common in their respective four-session activity, which was completed in a period of four weeks; in other words, one session per week. Each session lasted 50 minutes. Both groups learned the same text. The text was the selected imagery poems, which were chosen in order to be used as an "i + 1" text that might level up both their vocabulary size and conception of grammar. These three poems could be seen as an "i + 1" text for the participants because most of the words in these poems were included in the primary textbooks and some of them were new to the participants.

Both groups' course designs are different. The list of course designs in Table 1 shows the teaching methods for this study, which relied not only on seeing literature as supplementary teaching materials but also on exploring variances in teaching methods. For the control participants, the teacher used two-activities of Grammar-translation method, which included (a) teacher's translation of these three imagery poems into Chinese and (b) a word-list exercise (Larsen-Freeman, 1986) in a lower-level English Dialogue class. The first practice helped the students capture an immediate understanding of the poems. The second practice aimed to enhance the students' conception of the vocabularies in this exercise without the teacher's introduction to grammatical rules.

For the control group, the teacher read aloud the whole poem for two times. Then, she wrote the word list on the blackboard. All the words on the word list were words taken from the poem the teacher had recited. The students saw the words, for example, station, metro, apparition, face, crowd, petal, wet, black, and bough in the poem "In a Station of the Metro." The teacher gave Chinese equivalent of each of them and then translated each of the lines of the poem. Accordingly, she led the student to read the poem one line at a time for two times. The next phase of this session dealt with grammar. The teacher elaborated the meaning of prepositions or phrasal verbs in Chinese so that the students became able to construct the meaning of the poem by connecting the meanings of prepositions to the meanings of nouns.

By contrast, the teacher used an eclectic method in a beginning-level English class for the treatment participants. The teacher taught the poems with the aid of illustrations,

pictures, gestures, and drawings. After the teacher finished the illustration practice, she moved to the single-word pronunciation practice. After that, the participants were asked to follow the teacher's English instruction in the repetition drill and single-slot substitution drill. The first practice helped the students learn by imagining the abstract meaning of the poems and then connecting the messages of pictures and the teacher's drawings and gestures. In so doing, the practice gave the students more space to construct the meaning of the imagery poems on their own. The last two drills aimed to help the students firstly pronounce each line of the poem and subsequently acquire the structural patterns and particular parts of speech that occupy particular slots in the lines of the poems that were new to them.

For the treatment group, the teacher recited the first line of the poem for one time, and then showed the picture that could represent the image expressed by the first line of the poem. In addition to the image or drawing, the picture carried English words taken from the first line of the poem and Chinese annotations for those words. It was passed around the class. Then, the teacher continued to read aloud the second line of the poem. In the same way, the picture was showed along with each line of the poem being taught. After the nouns had been introduced to her students, the teacher explained the prepositions or phrasal verbs by gestures and drawings. Next, she conducted the single-word pronunciation practice by leading her students to read aloud new words, for example, station, metro, apparition, face, crowd, petal, wet, black, and bough in the poem "In a Station of the Metro."

In the second phase of the activity for the treatment group, all of the teacher's instructions were in English. Considering the basic proficiency level of the students, the teacher used short phrases or single words, for example, "follow me, listen and repeat," in order to have the whole class follow her to repeat aloud each line of the poem. Firstly, the teacher had the whole class repeat each line for two times, and then the whole poem for two times. Secondly, she had the girls repeat the odd numbered lines and the boys the even numbered lines and then they switched their assignments. Next, the teacher moved to a single-slot substitution drill in which the students repeated the first line of the poem and replaced a preposition, or a word, or a phrasal verb with the preposition, or the word, or the phrasal verb the teacher gave them. For example, the "fog" in the poem "Fog" was replaced with "wind" or "breeze." Or, the phrasal verb, "depends on," in the poem "The Red Wheelbarrow" was replaced by the equivalent, "relies on." At last, the whole class repeated each line with the substitutions for two times, and then the whole poem with the substitutions for two times.

Results

Results indicated that eclectic method was somewhat more effective than the partial grammar-translation method in lexical acquisition, and both methods were associated with improvements in three variables. Independent *t*-test results are presented in Table 2. Both pre- and post-tests have vocabulary and grammar sections. The vocabulary section contains 20 English words for students to fill in Chinese equivalents. The grammar section consists of 6 questions in which the first three questions deal with verbs and phrasal verbs and the last three questions address prepositions. With the design of pre- and post-tests, an interesting implication is derived from the positive results of eclectic method in this study. It is likely that teachers at Technology universities in Taiwan can consider teaching fully in English when teaching English to low level students.

Vocabularies

The posttest results indicated that 100% of the participants gave more than 13 correct (C) answers in the 20 lexical items. This is indeed a great improvement in lexical acquisition. Only 10% of control participants received 18 Cs; another 10% received 17 Cs; 45% received 16 Cs; 25% received 15 Cs; 10% received 14 Cs. In contrast, 35% of treatment participants received 19 Cs; 15% received 18 Cs; 20% received 17 Cs; another 20% received 15 Cs; and 10% received 14 Cs. The difference between both groups' posttest results suggests that the eclectic method is more effective in the improvement of lexical acquisition than the partial grammar-translation method. The *t*-test results of posttest in Table 2 showed a significant difference in vocabulary acquisition between both groups. These results are in substantial agreement with Yoshida (2003) and Yuksel (2008).

Phrasal Verbs and Prepositions

Question 1

Question 1 was designed to evaluate participants' capability to recognize the present-tense form of verb that follows a third-person subject, for example, "it." The pretest results indicated that 7.5% of the participants gave correct (C) answers to question 1. Of the 7.5%, no participant in the control group and 3 in the treatment group received a C. As a whole, most of the participants of both groups were unable to use the correct form of verb that follows a third-person subject in a sentence before the four-session supplementary activity.

The posttest results indicated that 80% of the participants gave correct (C) answers to question 1. Of the 80%, 16 participants in the control group and 16 in the treatment group received a C. This result reveals that most of the participants of both groups become able to choose the correct form of verb that follows a third-person subject in a sentence. Moreover, neither group is better than the other in this aspect.

Question 2

Though 92.5% of participants of both groups in the pretest failed to receive a C in question 1, they had an opportunity to prove their ability to recognize the present-tense form of verb that follows an uncountable-noun subject in the sentence of question 2. In response to question 2, 10% of both groups received a C. And of this 10%, there were 2 participants in the control group and 2 in the treatment group. The pretest results showed that both groups performed at the same level.

The posttest results indicated that 77.5% of the participants gave correct (C) answers to question 2. Of the 77.5%, 15 participants in the control group and 16 in the treatment group received a C. This result reveals that most of the participants of both groups become able to choose the correct form of verb that follows an uncountable-noun subject in a sentence. In addition, the treatment group is slightly better than the control group in this regard.

Question 3

Question 3 aimed to see if the participants had the ability to recognize phrasal verbs, for example, "depend on." The pretest results indicated that 17.5% of the participants gave correct (C) answers to question 3. Of the 17.5%, 3 participants in the control group and 4 in the treatment group received a C. Although most of the participants of both groups were unable to recognize the phrasal verb, "depend on," the pretest results showed that a higher percentage of participants were able to receive a C in this question than in questions 1 and 2.

The posttest results indicated that 87.5% of the participants gave correct (C) answers to question 3. Of the 87.5%, 17 participants in the control group and 18 in the treatment group received a C. This result reveals that most of the participants of both groups become able to recognize the phrasal verb, "depend on" taught in the four-session supplementary activity. Similar to the posttest results of question 2, the treatment group is slightly better than the control group.

Questions 4-6

Questions 4-6 were designed to recognize the participants' comprehension of prepositions, for example, "in," as sown in question 4. According to the pretest results, 22.5% of the participants received a C, within which there were 5 participants in the control group and 4 in the treatment group. Although most of the participants of both groups were unable to choose the correct preposition before the word, "station," the pretest results showed that a higher percentage of participants were able to receive a C in question 4 than in questions 1, 2, and 3.

The posttest results indicated that 55% of the participants gave correct (C) answers to question 4. Of the 55%, 8 participants in the control group and 14 in the treatment group received a C. A slight increase in the improvement of the participants' perception of the preposition, "in," is seen in this aspect. Yet the greater improvement in the treatment participants' comprehension of the preposition, "in," may indicate two points. First, the single-slot substitution drill may improve the treatment participants' extensive comprehension of prepositions. Second, the illustrations, pictures, gestures, and drawings shown may help the treatment participants' understanding of the nuance of prepositions, for example, the difference between "on" and "over."

Based on the pretest results of question 5, 45% of the participants received a C, within which there were 6 participants in the control group and 12 participants in the treatment group. This is indeed an unexpected result because nearly half the overall participants are C receivers prior to this four-session classroom program. Surprisingly, the posttest results showed that 82.5% of the participants received a C, within which there were 15 participants in the control group and 18 participants in the treatment group. An impressive increase in the improvement of the participants' perception of the preposition, "on," is seen in this aspect.

The pretest results of question 6 dropped to 22.5% of the participants who received a C, within which there were 6 participants in the control group and 6 in the treatment group. It seemed that neither group was weaker in the understanding of the preposition, "beside." By contrast, the posttest results turned out to be higher than the pretest results. Approximately 45% of the participants received a C, within which there were 3 participants in the control group and 15 in the treatment group. This result indeed distinguishes the treatment group from the control group because the former is in a prominent progression while the latter is shown in a state of regression from 6 C receivers to 3 C receivers. The learning of the preposition, "beside," may be achieved by the single-slot substitution drill. Moreover, the illustrations, pictures, gestures, and drawings may help enhance the treatment participants' understanding of the meaning of "beside."

t-test Results

Table 2 displays the independent *t*-test results of three variables: (a) vocabularies, (b) verbs and phrasal verbs, and (c) prepositions. The pretest result of vocabulary (t = -2.035, p = 0.052>0.05) indicated no significant difference between the control and treatment groups. This implies that the control group equates with the treatment group in this respect prior to the study. Interestingly, the posttest result of vocabulary (t = -2.715, p =

0.011<0.05) indicated a significant difference between the two groups. This proves that eclectic method is more effective than the partial grammar-translation method in lexical acquisition.

The pretest results of verbs and phrasal verbs are derived from the results of questions 1, 2, 3 in the grammar section. The results of Q1 (t = -1.831, p = 0.083>0.05), Q2 (t = 0.0, p = 1.0>0.05) and Q3 (t = 0.0, p = 1.0>0.05) all showed no significant difference between the control group and the treatment group. This implies that both groups perform equally well in this regard prior to the study. Likewise, the posttest results of Q1 (t = 0.0, p = 1.0>0.05), Q2 (t = -0.37.0, p = 0.714>0.05) and Q3 (t = -0.467, p = 0.643>0.05) showed no significant difference between both groups. This suggests that neither the eclectic method nor the partial grammar-translation method is more effective than each other in terms of the recognition of the correct form of the verb that follows a third-person or uncountable-noun subject.

The pretest results of prepositions are derived from the results of questions 4-6 in the grammar section. The results of Q4 (t = 1.463, p = 0.152>0.05) and Q6 (t = 1.125, p = 0.268>0.05) revealed that the control group did not significantly differed from the treatment group, but the result of Q5 (t = -2.307, p = 0.027<0.05) indicated a significant difference between both groups. This implies that both groups stand at the same level in terms of their prior knowledge of such prepositions as "in" and "beside," however, they are not completely at the same level in terms of their prior knowledge of "on" before the study. Next, the posttest results of Q4 (t = -1.949, p = 0.59>0.05) and Q5 (t = -1.241, p = 0.223>0.05) indicated no significant difference between both groups, but the result of Q6 (t = -4.660, p = 0.0<0.05) displayed a significant difference between both groups. This suggests that neither the eclectic method nor the partial grammar-translation method is more effective in both groups' comprehension of "in" and "on." By contrast, the eclectic method is more effective in the improvement of the treatment participants' comprehension of the preposition, "beside." This improvement may result from the illustrations shown to the treatment group in the teaching process.

Table 2 Independent *t*-test Results: Mean Scores and Variance (N = 40)

Factors	Control Group (n=20)	Treatment Group (n=20)	Variance	
	Mean		t	*P*
Vocabulary: Pre-test	3.80	5.10	-2.035	0.052
Vocabulary: Post-test	15.85	17.15	-2.715	**0.011***
Phrasal Verb: Pre-Q1	0.0	0.15	-1.831	0.083
Phrasal Verb: Post-Q1	0.80	0.80	0.0	1.0
Phrasal Verb: Pre-Q2	0.10	0.10	0.0	1.0
Phrasal Verb: Post-Q2	0.75	0.80	-0.37	-0.467
Phrasal Verb: Pre-Q3	0.15	0.15	0.0	1.0
Phrasal Verb: Post-Q3	0.85	0.90	-0.467	-0.643
Proposition: Pre-Q4	0.35	0.40	1.463	0.152
Proposition: Post-Q4	0.40	0.70	-1.949	0.59
Proposition: Pre-Q5	**0.40**	**0.70**	-2.307	0.027*
Proposition: Post-Q5	**0.30**	**0.65**	-1.241	0.223
Proposition: Pre-Q6	**0.30**	**0.15**	1.125	0.268
Proposition: Post-Q6	**0.15**	**0.75**	-4.660	**0.0***

*p < 0.05 (two-tailed)

Discussion

The first hypothesis of this study that there would be an improvement in the posttest of both groups being taught imagery poems was not rejected except for Q5 and Q6. In vocabulary, Q1, Q2, Q3, and Q4, the posttest means of both groups are higher than the pretest means. These findings lend support to the assumption that teaching imagery poems in English classes has a positive impact on lexical and syntactic acquisition. It appears that these improved results are consistent with the earlier assertions made by Collie and Slater (2005), Deford (1981), Feitelson, Kita, and Goldstein (1986), Littlewood (1987), Morrow (1992), and Naik (2011). In addition, the second hypothesis that the eclectic method would be more effective than the grammar-translation method was not entirely rejected. The posttest t-test results of vocabulary ($p = 0.011$) and Q6 ($p = 0.0$) are less than 0.05, indicating a significant difference between both groups. This confirms Paulston's assumption (1932) in regard to drawing on appropriate in-class activities from different teaching methods. The eclectic method is more effective than the grammar-translation method in the posttest of vocabulary and Q6.

The minor research question concerning the effect of three variables among both groups reveals more specific findings of this study. The control group's posttest results of vocabulary and questions 1-4 imply that the teacher's translation and word list are effective activities. However, the control group failed to perform better than the treatment group in the posttest of vocabulary and Q6 based on the posttest t-test results. Although in questions 1-5 of grammar test the control group was not significantly different from the treatment group, it lagged behind the treatment group in vocabulary test and question 6 of grammar test. These results can be explained by assuming that in the eclectic method, illustrations help increase the comprehension of the preposition, "beside." It is likely that single-word pronunciation practice, repetition drill and single-slot substitution drill had much of an effect on treatment participants' acquisition of vocabularies. In these findings, the effects of single-word pronunciation practice and repetition drill are coherent with the emphasis on rhythm in the argument of Wormser and Cappella (2000).

On the whole, the present study offers three major pedagogical implications that are derived from the findings of this study. First, improvements in both groups were largely attributed to the selection of teaching materials in which the vocabulary and grammar in the supplementary teaching materials overlap those in the primary teaching materials. Many words in the three imagery poems appear in the primary textbooks, namely *Basic Survival* and *Ready to Go 1* that were used to teach the two groups in this study. As for grammar, both the primary and supplementary teaching materials contain the examples of third-person and uncountable-noun subjects, which match verbs that form the present tense by adding an s to the base form. Such overlaps can help develop students' interest in literature, especially those who have no interest in literary works. In simple words, these overlaps expand the possibilities to persuade them to learn language usage (Widdowson, 1979) through literature. Second, the results can be explained by assuming that the single-slot substitution drill can improve the treatment participants' extensive comprehension of prepositions. Last, the illustrations, pictures, gestures, and drawings may avail students of a more comprehensive understanding of the nuance of prepositions, for example, the difference between "on" and "over" when they are used to describe the relative position between objects. The last implication confirms the assertion, which images in a poem boost the presence of visual and sensory input, in earlier findings by Wormser and Cappella (2000).

In summary, the teaching of American poetry has been proved effective as a supplementary teaching strategy for EFL classroom. Although both groups were taught in

different teaching methods, they improved significantly in the designated lexical items and grammar rules. As long as the selection of literary works is limited to the lexical and grammatical scope of the primary textbooks for the EFL classroom, the English-based classes for EFL students can be conducted in an effectual and amusing way. Last but not least, the approach outlined in this study should be replicated so that more participants can be included to see if the results remain positive.

The limitations of this study lie in the design of tests and questionnaires and the selection of literary genres. One flaw in the design of pretest and posttest is a lack of one more phrasal-verb question in the grammar section. I found the lack when I was writingthis report. One more phrasal-verb question and one more preposition question will reach the evenness of question design and strengthen the credibility of the results of phrasal verb in this study. Future studies need to develop questionnaires that investigate participants' interest in learning poetry and redesign the eclectic method which can sharpen distinctions between both groups.

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Appendix

Pretest & Posttest

    I.   Vocabulary

English Word	Chinese Meaning	English Word	Chinese Meaning
1. Station		11. Chicken	
2. Metro		12. Fog	
3. Apparition		13. Harbor	
4. Crowd		14. City	
5. Petal		15. Silent	
6. Wet		16. Haunch	
7. Bough		17. Move	
8. Wheelbarrow		18. Look	
9. Depend		19. Come	
10. Glaze		20. Feet	

    II.   Grammar

1. It _____ looking at the harbor.
    a. sits
    b. sit
    c. set
2. The fog _____ on little cat feet.
    a. moves
    b. keep
    c. looks
3. It _____ upon a red wheel barrow.
    a. glazes
    b. depends
    c. faces
4. Faces in the crowd are seen _____ a station of metro.
    a. through
    b. on
    c. in

5. Petals _____ a wet, black bough are seen.

    a. Over

    b. on

    c. in

6. The red wheel barrow is found _____ a harbor.

    a. over

    b. in

    c. beside

Fan-yu In (應芳瑜)

在家的漂泊：拉希莉小說中旅行的再定義

沈乃慧[*]

摘要

　　當代印裔美籍作家拉希莉的小說反映了當代動盪移居的人文現象，也提供研究旅行問題文化反思的場域。本文聚焦於「旅行」議題，因為拉希莉的旅人故事富涵卡普倫所標舉的後現代精神，挑戰「在家／離鄉」、「旅行／日常生活」和「本土／異國」等二元對立概念。

　　本論文援引卡普倫旅行的後現代論述、范登阿比利的旅行隱喻、馬克卡內的「休閒階級」和畢利「平庸國家主義」等理論，探討「家」的去中心後現代特質，檢視她對跨國「休閒階級」的批評和旅行「現代性」在日常生活中的運作，最後探究隱藏在「美式和平」美麗口號下充滿文化霸權的國家主義。

關鍵詞：拉希莉、旅行、家、後現代、休閒階級、平庸國家主義

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到稿日期：2014 年 6 月 30 日。

Home Yet Away: Redefining Travel in Jhumpa Lahiri's Fiction

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Abstract

In addressing the phenomenon of the rising popularity of traveling as well as the widespreading effect of ethnic displacement, both Caren Kaplan and Elizabeth Bishop explored the topics based on their own personal experiences as travelers. They pose the question of what would grow into this phenomenon of travel and lifestyle, and what reality hides behind imperialist travelers' description of cultural differences. In response, this paper attempts to present an analytical model of Jhumpa Lahiri's fiction in which she challenges the structuralist oppositions of home/away, native/foreign and travel/everyday life, offering a fresh perspective in cultural criticism and a new aspect to the literary tradition of travel narratives.

This essay will examine how Lahiri's stories provide a postmodern narrative of "home yet away" in the light of Kaplan's theory and how her characters' "leaving home" acts as a powerful expression of young wills to battle against patriarchal tradition which George Van Den Abbeele interprets as a weighty metaphor. In addition, it further explores Lahiri's satire of "the international leisure class" by Dean MacCannell, whereas travel is neither seen as a special occasion of leisure, nor does it stand in opposition to everyday life. And finally, the essay will emphasize Lahiri's critique of the American hegemony which Michael Billig calls "Banal Nationalism" in one of her stories about travelers.

Keywords: Jhumpa Lahiri, travel, home, postmodern, the leisure class, banal nationalism

在家的漂泊：拉希莉小說中旅行的再定義

I know that my achievement is quite ordinary. I am not the only man to seek his fortune far from home, and certainly I am not the first. Still, there are times I am <u>bewildered</u> by each mile I have traveled, each meal I have eaten, each person I have known, each room in which I have slept. As ordinary as it all appears, there are times when it is beyond my imagination.

(Jhumpa Lahiri, "The Third and Final Continent,"1999)

　　凱倫・卡普倫（Caren Kaplan）在她 2000 年出版的《旅行的問題》(*Questions of Travel*) 一書書首，引用詩人伊麗莎白・碧許 (Elizabeth Bishop）同名的詩〈旅行的問題〉作為其論述文本的楔子。碧許詩中所冥思的問題，有著豐富的哲學義理，碧許畢生酷愛旅行，長年旅居於不同的國家城市，醉心於不同的風土民情，但在這首詩中她卻質疑起她所摯愛的旅行生活。當交通便捷，資訊暢通，旅行移居變成如此輕鬆容易，生命不再永遠縈根於同一塊土地時，漂泊異鄉變成了宿命。碧許自問究竟為何日夜汲汲旅行於異地山水？在陌生的社會接觸陌生的人，有什麼意義？為什麼我們不就留在家裡想像這一切？為什麼非得奔走外鄉共此一輪明月（或太陽）？[1]

　　碧許的問題，卡普倫在她的書中將之演化成複雜的離散論述，為當代普遍的旅行與遷移現象作深入的解析。鐘芭・拉希莉（Jhumpa Lahiri）的小說也以旅行移居作為主要題材，幾乎涵蓋所有卡普倫書中所討論的模型樣式。上述英文引文是拉希莉著名的引言，出自她的小說〈第三暨最後一個大陸〉("The Third and Final Continent") 的頁末，當小說主角回顧移民異鄉一生時，所作的自我評斷，他說：「我知道我的成就相當平凡，我不是唯一一個離家碰運氣的人，當然也不是第一個。然而有時候，我行經的每一哩路、我吃過的每一餐、我認識的每一個人、我睡過的每一個房間，都令我迷惑。儘管一切平凡無奇，然而有時候，我仍覺得它們超乎我的想像」[2]。在離家僑居的旅程中體會衝突和艱難，發現樂趣和意義，不僅是拉希莉小說人物的人生態度，其實隱含拉希莉小說寫作的旨趣，也對碧許的旅行問題作了若干反思與回應。

　　拉希莉小說中的離散論述、文化衝突和身份認同一直是學術界關心的焦點，如薩福(Nandini Sahu) 強調印度文化對拉希莉的影響，拉希莉小說懷舊氛圍凸顯了小說人物「外人」（outsider）和「異鄉人」（stranger）的處境，他們同時不被印度傳統文化與西方社會所接受。又如達貝勒思達（Reshmi Dutt-Ballerstadt）進一步分析比較拉希莉小說中移民兩代文化認同的差異，他認為拉希莉本人屬於第二代移民，成長背景與第一代移民不同，因此拉希莉更強調第二代所遭遇的認同困難是雙倍於他們的父母。當然也有不從離散觀點解讀拉希莉小說的，如希撒 (Judith Caesar)，她將拉希莉小說置於從馬克吐溫以降，「逃脫威權，冒險創新，尋求獨立」的美國文學傳統中。這些不同的閱讀方向證明拉希莉小說的豐富性，本文雖然不能完全棄絕離散相關的討論，也不能否認「逃脫與創新」的議題，但將聚焦於「旅行」主題，援引卡普倫旅行的後現代論述、范登阿比利（George Van Den Abbeele）的旅行隱喻、馬克卡內（Dean MacCannell）的「休閒階級」（the leisure class）和畢利（Michael Billig）「平庸國家主義」(Banal Nationalism) 等與旅行相關理論，提供不同角度，剖析拉希莉小說中多樣貌的人生漂泊記事。

　　卡普倫以《旅行的問題》為書名，副標為「移居的後現代論述」(Postmodern Discourses of Displacement)，明示她用「旅行」一詞概括所有遷移現象的後現代論述，書中除了質疑現代主義對帝國主義的懷舊，也批評後現代主義大師如布希亞 (Jean

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[1] 碧許詩中說的是太陽，不是中文常說的月亮。
[2] 中文譯文引自施清真的譯本，頁 234。

Baudrillard)、德勒茲(Gilles Deleuze)和瓜塔里(Félix Guattari) 等人男性沙文且具歐美中心主義的旅行隱喻。范登阿比利則探索了旅行的隱喻與批評思想的關聯，旅行改變了旅人觀察的視野角度，旅行也成為文化批判的行為，范登阿比利相信藉由越界旅行，援引「外人」的角度來質疑與挑戰傳統父權，最後「進入內在自我」(get "inside" himself)(33)，完成個人的獨立成長。而馬克卡內在現代旅行工具平民化，旅行逐漸轉為尋常之際，將過去位在邊緣位置的「旅人」重新定位，創造了「休閒階級」的新概念，以為這一群跨國的中產階級，如同「現代性」是全球性的，必成為跨越國界、種族、膚色、語言的一個新興階級。另外，畢利的「平庸國家主義」批判美國的文化霸權，更進一步揭露隱藏在「美式和平」的美麗口號中的國家主義暴力。

　　以上理論不僅為解析拉希莉小說文本提供了清晰的批評視野，也同時在小說中獲得文本佐證。在拉希莉的小說中我們看到了卡普倫所強調的後現代多重位置和碎裂游移的認同，拉希莉的人物裂解傳統「家」與「國」的定義與信念，解構「留在家中」和「旅行在外」二元對立概念。雖然認同的位置和對象自始至終不時地漂移改變，但不同於上述布希亞、德勒茲等後現代大師們，她的故事提供了一個非關多數／少數、中心／邊緣、已發達社會／發展中社會二元的，也非男性沙文主義的解構觀點。另外，拉希莉也見證了范登阿比利越界批評的角度觀察，而范登阿比利本土／異鄉的對立歧視和馬克卡內也的「休閒階級」都成為拉希莉小說所嘲弄的對象，對於畢利所揭露的美國文化霸權，拉希莉的旅人更是感同身受。本文選擇「旅行」為主題研究，試圖凸顯這個時代特殊的跨國跨區旅人移民混居的衝突存在，而拉希莉的小說豐富的旅人故事，無疑最能反映此一複雜的人文現象。

一、旅行在家與家的途中

　　身為離散族裔，卡普倫對於「家」與「國」強調的是後現代多重位置和碎裂游移的認同。對卡普倫言，離散族群心態上是永遠的旅人，其國家認同的複雜程度有時是超乎想像，她曾以感性的口吻講述她家族的離散歷史，她說：

> 我成長於一個百年移民離散的家族，我們家族有人在阿根廷，但我們已經無法聯繫，有一些還有書信往來的親戚現在居住南非和以色列，無疑地，還有一些很少被家族提及的親戚還留在東歐，現在已經無處聯繫，被我們遺落在記憶之外。在美國，我們的親戚也是散落各地——在芝加哥、明尼波里斯、塔桑、巴爾地摩，和很多其他地方，大家都慢慢失去聯絡或者繼續遷移他處。[3]

卡普倫的家族流離百年，散落世界各地，聽起來有些感傷，他們也許不是一個當代離散的典型範例，但也絕對不是離散族群的特例。因此她認為國家空間和認同的關聯在當今社會已經鬆散，甚至已經瓦解，主體認同的歸屬是不平衡的，甚至是非常分歧和衝突的（9）。她書中明白反對將移民（immigrants）與離散族裔（diasporic émigrés）區分為二，以為移民是自由意志選擇移居新鄉，更換國籍，心甘情願地接受同化，而離散族裔則對抗國家主義，追求跨國的主體認同。這種區分她覺得過於簡化，也無法涵蓋歷史的各種層面（136）。雖然當我們從事日常生活參與，同時和機構、文化、國家接觸的過程中，孕育了我們身份認同的各種可能性。但是這些認同不能說是完全自

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[3] 作者自譯，原文為"I grew up with a sense of my family in dispersal across the terrains of the century's immigrations. We had family in Argentina whom we no longer knew how to contact and we had relatives in touch South Africa and Israel. Always implicit in family narratives but rarely mentioned were the ones who stayed behind in Eastern Europe, now scattered beyond the reach of memory or communications. In the United States we had relatives spread cross the continent—in Chicago, Minneapolis, Tucson, Baltimore, and lots of other places; people who gradually lost touch or moved away again." (ix)

由的或選擇的，也不全是被迫的或禁絕的，其實充滿時代的可能性和侷限性（9）。

卡普倫屬當今所謂離散族裔，她深知離散族群對移民或旅人的身份認同往往混淆交錯，難以截然界定，她的書副標題為「移居的後現代論述」，明白揭示此書的文本地圖──從後現代主義觀點檢視「旅行」一詞所概括的遷移現象。書中她質疑現代主義對帝國主義的懷舊情緒，她認為不論是放逐 (exile)或是旅行，都屬傳統男性主流觀點，甚至是對中世紀英國貴族上流社會武士精神的懷舊(56)。另外，她也批評後現代主義大師如布希亞 (Jean Baudrillard)、德勒茲(Gilles Deleuze)和瓜塔里(Félix Guattari)等人，她批判他們希冀以「游牧」(nomad)作為永恆位移的的旅行隱喻，他們的「成為少數」(Becoming Minor)理論充其量不過對主流中心位置的有權者有意義，終究不脫「東方主義」、男性沙文且具歐美中心主義的帝國想像(88)。

就這一點言，拉希莉的小說人物提供了有別於上述後現代理論家的旅行論述，她認同的位置和對象雖然也如「游牧」自始至終不時地漂移改變，但終究非關「多數／少數」、「中心／邊緣」、「已發達社會／發展中社會」二元對立的現代性傳統，也非男性沙文主義的解構觀點。拉希莉的故事中，不僅傳統「國」的認同已經模糊，「家」的觀念也遭遇挑戰。傳統的「家」是一個確定的概念，聯繫著明確的地點，但是在旅行移居如此普遍的今天，拉希莉對家的定義也變的非常複雜，家的座標無法界定，恆久游移，可以印證卡普倫的後現代論述。

卡普倫書中也批評碧許的質問仍屬現代主義的二元結構，她無言可對，她不同意將「留在家中」和「旅行在外」視為對立的概念，因為這種二元結構思維並不符合後現代多重位置和碎裂的認同（7）。卡普倫舉她自己離散世界各地的家族骨肉為例，對後現代「家」的概念有精闢的剖析，她說：「對我們而言，留在傳統意義的『家』，已經是不可能了，因為這世界已經不同於以往，甚至國家和鄉土的清楚界線都已不復存在。」[4] 這種對家的疑惑和渴望，和卡普倫感同身受的人不少，最著名的當然是魯西迪 (Salman Rushdie) 和奈波爾（V. S. Naipaul）。印度是魯西迪思戀的家，大多數的時候，他只能憑想像回家，縱然他真的回到了印度，卻發現那已經和想像中不同，他的家只存在於想像中，在文學裡。[5] 奈波爾也有非常相似的狀況，他曾說印度存於他的想像中，是一個消失的神話國度，跟真實的印度不同。[6] 對此，台灣學者傅雋也試圖在全球化的脈絡下爬梳此一複雜概念，他在〈王侯第宅的異時新主〉文中援引巴那（Dagmar Marnouw）對奈波爾研究，認為「在奈波爾經常越界的行為上，他其實已將『家』給陌生化了，並以陌生人的化身將此概念帶往極致的表現」並且「『家』由單純的空間位置的概念演繹成為一個必須由時空協商的建構」（269）。

但是同為印裔當代作家，拉希莉對原鄉「家」的概念，和魯西迪、奈波爾顯然有著不同的見解。她的小說人物多是二次戰後來自印度、孟加拉，正在美國新鄉奮鬥的移民以及他們的下一代。縱然已經定居新鄉，他們卻沒有停止漂泊，她的書裡永遠有人不停地在旅行，有人年復一年造訪同一風景，有人堅持不懈地往返於原鄉與新家之間，也有人遊憩造訪不同的地點，他們不斷地飛越雲空，橫渡海洋，或車行地表，反映著高度動能的現代生活，也具體展現卡普倫後現代的游移認同。她的《同名之人》(The Namesake) 裡的阿碩可 (Ashoke) 和愛希瑪（Ashima）夫婦的經歷可以為證。阿碩可夫婦終生返鄉之旅其實可以作為卡普倫對「國」和「家」的後現代論述的註解。

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[4] 作者自譯，原文為 "For many of us there is no possibility of staying at home in the conventional sense - that is, the world has changed to the point that those domestic, national or marked spaces no longer exist." (7)

[5] 請見"Imagined Homeland." *Imaginary Homelands : Essays and Criticism, 1981-1991.* (London : Granta Books, 1991) 9-21.

[6] 請見 V. S. Naipaul, *An Area of Darkness*, (London: Penguin, 1968) 41.

但是不同於魯西迪和奈波爾，家對阿碩可夫婦卻是真實無比的。不論旅行緣起為何，所有的旅行總必須實踐於家的範疇之外，也就是旅行發生於離家的陌生地點，但對於拉希莉言，「國」與「家」卻不是可以簡單說得清楚的概念，因此旅行的定義和意義也就變得複雜。如阿碩可夫婦自年輕時離開家鄉到新大陸冒險犯難後，他們思戀家鄉，終生為返家而旅行，他們終其一生不斷地在美國與印度兩地間往返，每幾年重複一次相同的旅程。每一次不論自美國返回印度，或由印返美的旅行前後均有一串繁複的過程，從整理行李、禮物挑選、機場送行、著陸返家到時差調適和兩地生活的重新適應，都變成了生命中重要的儀式，雖然物換星移，老成凋零，兩地家庭成員不斷地更新，但不變的是他們年復一年的返鄉行程，重複的不僅僅是旅行的過程，也重複了他們心靈的感動和想念。

　　但在這一再重複的「離鄉」、「返鄉」的過程，阿碩可夫婦的兩地旅行已經不是單純的旅行，不論加爾各答或是波士頓，都是他們割捨不去的「家」，他們的旅行不論去或回都是「返家」的過程。「離家」與「返家」原是生活中最重要的步驟，家是我們生活的堡壘，是身心休憩的處所。但在這裡拉希莉的故事挑戰了傳統「家」的概念。

　　阿碩可夫婦的印度老家不曾傾毀，家人親戚依舊健在，只是感覺不復以往。加爾各答的家並不是想像或文學的，在而是一直具體存在的，回家的旅行雖然不是每天的行程，但也是數年一次，忠誠無悔地履行。在加爾各答熟悉的街上，他們並不是奈波爾所經驗的陌生人。舊家沒有改變，改變的其實是他們自己，他們始終遊歷在不同的位置，建立不同的家，每天每年從不同位置離家、返家，最後連他們自己都不能掌握自己的真實座標所在，當他們回到波士頓，拉希莉這樣敘述：「分明是回了家，屋裡的寬敞和死寂卻教他們惶惶不知所措。他們感覺自己仍在旅途中，活在另一套時序裡，與生活仍銜接不上」。[7]「在家」與「出外旅行」的界線碎裂模糊，「家鄉」和「異鄉」也沒有了分別，遠近距離感消融，家和自身的位置失去了軸心和座標，呈現游移不確定、去中心的後現代特質。

　　儘管家的定義已經模糊，終究阿碩可還是戀家的，拉希莉的小說人物中，正式對傳統「家」信念崩解的是〈陌生的土地〉(*Unaccustomed Earth*)的卡西克(Kaushik)。故事中，卡西克自小不停地搬家遷移，拉希莉形容：「卡西克始終信不過他住過的房子，一直無法從中得到安全感」[8]卡西克搬過一次又一次的家，他可以在「十分鐘之內… 就能夠啟程前往世界任何一個角落」[9]。反諷的是，和卡西克成強烈對比的是他所熱愛的媽媽，她「一生當中安頓一個又一個家，不管她身處世界何處，不管她是否垂死，她總是竭盡全力讓每個家漂漂亮亮。媽媽始終從她的東西和她的房子裡擷取精力」[10]。這裡拉希莉清楚地點出人和家的疏離，尤其是具體的屋瓦之不可信賴，卡西克的母親如此珍愛住過的屋宇，然而她的遽逝終止了所有她與外在物質的聯繫與依戀，後來卡西克的父親再婚後賣了房子，清除了她的照片，甚至最後卡西克將她所有的照片埋在美加邊境的公園沙灘裡，隱喻她與物質世界的徹底斷裂，她所鍾愛的家（屋宇）

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[7] 中文譯文引自彭玲嫻的譯本，頁 96。原文為 "Though they are home they are disconcerted by the space, by the uncompromising silence that surrounds them. They still feel somehow in transit, still disconnected from their lives, bound up in an alternate schedule…" (87)

[8] 中文譯文引自施清真的譯本，頁 326。原文為 "Kaushik never fully trusted the places he'd lived, never turned to them for refuge." (309)

[9] 中文譯文引自施清真的譯本，頁 326。原文為 "… in ten minutes he could be on his way to anywhere in the world." (309)

[10] 中文譯文引自施清真的譯本，頁 326。原文為 "His mother had set up households again and again in her life. It didn't matter where she was in the world, or whether or not she was dying; she had always drawn strength from her things, her walls." (309)

隨即轉手他人也成為一個無奈的人生反諷。

對於卡西克言，失去母親的家已呈崩解碎裂，父親的新婚家庭沒有他容身之處，他已無家可歸，然而一再搬遷的習慣又使他到處可以為家，實際上他以旅行的居所為家，旅行本身就是他構築的家。比起母親眷戀具體屋宇的家，卡西克對「家」的概念是流動片面印象的，象徵意義多過於實體。對他而言，「家」存在某個角落，某種形式，他將「家」的形象用相機收錄留下，他思念的是彩繪的酒杯，午後床上的光影，和某一段感動的片段時刻，具現「家」後現代性的浮動意念。

卡西克是攝影師，是藝術家，他的旅行和卡里所描繪的旅行歐洲懷舊的現代主義藝術家大相逕庭，卡西克的旅行首選地點竟是落後動亂的拉丁美洲，難民營、內戰、腐敗的官僚和死亡都是他旅行的課題。他的照片盡是碎裂的巴士、殘破的屍體、塵埃的街道、荒蕪的地平線、丟擲石塊的小孩和孤苦的老人，這些照片驚悚醜陋，卻又真實撼人，呼應著現代美學寫實主義（Aesthetic Realism）的論點，賦予美學新的意涵。他的照片揭示著旅行的意義，他像十七、八世紀的遠渡重洋到亞非傳教的教士，在帝國主義的羽翼保護下，卻懷抱著某種信仰，見證這悲苦蠻荒的世界。也許見識難民營裡家庭的悲劇和街道上的死亡能撫慰卡西克因家庭破裂、母親早逝而造成的悲傷，也許他以借別人的傷痛來療癒自我。

二、旅行的隱喻

歷史上個人的旅行或群體的移居常有強烈的目的性和政治意涵，除外交公務、通商、朝聖外，或為戰亂、飢荒，或季節食物而移居，農業社會中人們一直慣於安土重遷，五大洲老死不相往來，旅行是異常的行徑。除了英雄和亡命之徒，在那樣一個交通困難的時代，費盡心力的旅行有何意義？范登阿比利在他 1992 年出版的《旅行之為隱喻》(*Travel as Metaphor*)探索了文藝復興時代晚期到啟蒙運動間，法國哲學文學中旅行的隱喻與批評思想的關聯，他認為旅行的隱喻其實是文化批判的行為，藉由越界旅行，援引「外人」的角度來質疑既有的制度 (xiii) 。他更進一步分析西方旅行論述其實隱含著父權意識形態，女人應安居家中，旅行冒險是純男性行為，有時甚至被視為男子成年的歷程(xxvi)。他研究文藝復興時期的法國作家蒙田 (Michel Eyquem de Montaigne) 時曾說只有離家而且唯有離家，蒙田才能慶賀父親威權的死亡，才能「進入內在自我」（get "inside" himself）(33)。

關於現代人旅行的緣起動機，上述《同名之人》中主角阿碩可旅居美國的起始動機是最具戲劇性，也最有代表性。阿碩可年輕時便從加爾各達到麻省留學，後來定居美國，最終老死異鄉。他之離開印度完全出自於偶然，有一次坐火車拜訪鄰城的祖父母時，火車車廂突然出軌，阿碩可因一本俄國作家果戈里（Nikolai Vasilievich Gogol）的書而獲救，受了重傷休學在家修養。療養期間他不時想起火車上認識的戈許(Goshe)和他的一席話，戈許是一個剛從英國回鄉卻死於此次意外的商人，他鼓勵阿碩可去見外面世界，即「英國、美國」。阿碩可病好之後，瞞著父母，申請到美國大學獎學金，他不理會父親的抗議，母親的絕食和弟妹的哭泣哀求，阿碩可堅決地離家了。

阿碩可如此堅決離家是令人玩味的，又為什麼阿碩可選擇了美國作為他旅行的目的地？拉希莉沒有多作解釋，一個戲劇性的火車意外，改變了阿碩可的命運，究竟阿碩可預視了什麼？突然的美國之旅又有何意義？當戈許為阿碩可勾畫兩種未來作對比時，那種蒙田所謂的「進入自我」的渴望就悄悄在阿碩可心中萌芽。戈許的兩條路清晰分明：留在家中結婚生子，住父母的房子老去，還是打包一個枕頭、一條毯子去美國、英國，見外面的世界？雖然一開始阿碩可仍相信在家中閱讀即可滿足對外知識的需求，但最終他還是選擇離家，他的選擇不關政治或經濟，只單純地回應戈許「給

自己一個機會」、追求「自由」，及「盡可能看看世界」的建議。走向外面世界，即是走進內在自我，這樣的渴望不是超人英雄行徑，當今時代，即使平凡渺小如阿碩可之流，也可以忤逆父母，背絕傳統，誠心誠意成為一個旅行異地的外人。

阿碩可選擇美國成為旅行的目的地，反映的是二十世紀中葉以後文化版圖的事實。范登阿比利認為蒙田的羅馬之旅實隱喻著法國對義大利曖昧的伊底帕斯情懷，義大利是法國「文化的父親」，所以「所有的路都通向羅馬」(34)。當戈許提議美國或是英國作為外面世界的代表時，英國已經沒落，美國正趁勢崛起。阿碩可讀過所有狄更斯的作品，浸淫於英國文學，最喜歡的卻是英譯的俄國文學，但是阿碩可沒有去英國或是俄國，卻選擇去了美國，因為二次大戰後，美國成為世界強權，是第三世界國家的文化父親，尤其是流行文化與科技，美國取代歐洲，引領世界風騷，此外，美國更以強大的經援，包括阿碩可的獎學金，讓所有的路都通向美國。如同十六世紀的蒙田，阿碩可終究成為一個旅者，他的旅行隱喻著反抗傳統父權，也隱喻著文化新父親的追尋。

然而拜現代便捷的航運交通所賜，和蒙田不同，阿碩可不僅成就了負笈他鄉的壯舉，也得以經常返鄉，於是阿碩可便終生不斷地往返於美國、印度兩地。在他返鄉的旅行中，原鄉景物依舊，但旅人的心裡層面卻有深層的變化。若干年後，當阿碩可一家從美國回到加爾各答時，原鄉熟悉的風貌卻逐漸變得荒謬，難以忍受。相較於整齊乾淨的波士頓，加爾各答盡是髒亂的市街，傾頹的屋舍，酸腐的空氣，懸掛在公車上隨時可能掉落的乘客，人行道上煮飯洗頭的人，和車站裡席地而睡的遊民家庭，這些尋常的印度街景尤其對阿碩可美國出生的一對兒女是一場夢魘。拉希莉透過視覺意象實踐范登阿比利「越界批判」的理論，經由旅行異國，不可避免的文化社會的衝突比較，印度社會的晦暗落後被清楚地揭示。又當阿碩可的兒子果戈里（Gogol）初入幼稚園時，阿碩可夫婦對美式教育的寬容自由活潑大為驚訝，也反思著印度教育的威權制式。

對拉希莉言，反抗傳統、反抗家庭是她筆下年輕人永恆不歇的戰曲，而離家旅行則是他們共通的選擇，也是表現生命力最簡潔有力的方式。拉希莉的小說人物除阿碩可外，另有移民第二代如《陌生的土地》（*Unaccustomed Earth*）書中〈第二部：海瑪和卡西克〉（"Part Two: Hema and Kaushik"）的女主角海瑪（Hema）和《同名之人》裡的茉淑蜜（Moushumi)的歐洲旅行亦具代表性。書中海瑪和茉淑蜜都是三十歲左右擁有博士學歷的印裔美國女子，也都從事大學教職，不約而同都飄洋過海遠赴歐洲旅行。海瑪單身前往羅馬，旅行的目的是為了擺脫自己的過去和未來。[11] 而茉淑蜜選讀法文，遷居巴黎，是因為法國文化是她情感的避難所，不像印度和美國令她充滿罪惡、焦慮和各種期待。[12]

作為新時代獨立自主的女性，離鄉旅行依然是海瑪和茉淑蜜違逆傳統、反抗家庭的意志展現，她們的歐洲旅行尤其有著性別解放的意義。就她們印裔美籍移民第二代的身份言，她們背離美國，因為美國是家鄉，是父權宰制的所在；她們也背棄印度傳統，因為印度女人必須安居家中。對她們言，外面的世界是歐洲，沒有過去的牽絆，也沒有國家認同的困擾，純粹的異鄉，可以重新塑造自我。

另一方面，她們的旅行令人想起卡里（Malcolm Cowley）在他的名作《放逐的回歸》（*Exile's Return : A Literary Odyssey of the 1920s*）所詮釋的「失落的一代」那群美國現代主義作家、藝術家的心境。1920 年代一群美國作家和藝術家，厭倦了美國清

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[11] 原文為 "Now she was... free of her past and free of her future..." (298)

[12] 原文為"Immersing herself in a third language, a third culture, had been her refuge－she approached French, unlike things American or Indian, without guilt, misgiving, or expectation of any kind."(214)

教徒的文化氛圍，嚮往現代主義所標榜的新奇、獨特和碎裂的高等文化，熱衷於美學經驗的追尋，而歐洲正是西方傳統的根源，提供美國作家、藝術家們逃離家園的庇護所。於是這些人懷抱著史詩般的夢想，悲壯如奧迪賽，漫遊在歐洲大陸，尋求美國文化藝術來源的靈魂之鄉，這其實也是范登阿比利所謂「文化父親」的追尋。比起 1920年代的藝術家們，新時代的海瑪和茉淑蜜有更經濟實惠、更便捷的方式旅行歐洲，雖然她們都不是作家或藝術家，她們是歐洲研究的學者，也熱愛歐洲的藝術文化，更重要的，旅居歐洲實現了他們逃離家園，尋求自我獨立的夢想。

另一個以旅行放逐自我，逃離家園的人物是前述〈第二部：海瑪和卡西克〉中的卡西克。他雖生在美國，九歲時便隨父母搬回印度，十六歲時因母親罹癌又遷回美國，母親死後，父親再娶，大學畢業後他便獨自在拉丁美洲四處遊蕩，成為一個攝影記者，後又陸續遊歷中東、歐洲。小說開始時他正在羅馬，準備前往香港，接受一個攝影編輯的職缺。其實他一直為伊底帕斯情結所苦，他愛戀母親，思念母親，傷痛父親遺忘母親而再婚，也嫉恨父親新婚的幸福，最終卡西克選擇逃避面對父親，遺忘回憶，長期離開美國而浪跡天涯。卡西克的流浪，不僅是逃離母親死亡的傷痛，也是他對父親的抗議。如同蒙田必須離開法國，才能遠離父親的威權陰影，卡西克也只能避走他鄉，永不回美國，以行動表達對父親的棄絕。

雖然拉希莉的現代旅人大多對於旅行懷抱著壯志豪情，但也有人為命運所迫，不得已遠渡重洋，如阿碩可的妻子愛希瑪便是一例。她遠離家人，在一個陌生異鄉忍度半生，只為了一個見過一面，命中註定為夫的男人。她是個遵循印度傳統女人，以夫為家，阿碩可在的地方就是她的家，她並不參與阿碩可所追求的理想，只是認命地漂浮在巨大的移民風潮中。她的困境來自於她的性別，她非志願的旅行，和她所屬的文化，不同於美國女人，也不同於留在家鄉的印度女人，她的存在見證卡普倫「跨國女性主義分析」的必要性。

三、月是故鄉明？

在異鄉旅行，除了感受異國風土人情的新奇外，與故鄉的差異比較其實是最敏感有趣的部份。范登阿比利曾在他的書中提及，旅行所引發的問題其實植根於西方形上學二元的結構思維：存有優於缺無，言說優於書寫，近優於遠(xx)。這種二元價值結構尤其反映了西方種族中心主義和帝國主義思想。范登阿比利的論點說明在西方文本旅行論述中，無可避免地，「家鄉」必然優於「異鄉」，「本土」優於「外地」，西方人對「他者」的評價上也總是充滿主觀意識與偏見。但是度過異鄉的夜晚，故鄉的月色真的較圓美嗎？拉希莉的小說並非立足於傳統的西方二元結構，她雖然多以移民社會為寫作素材，擅長於凸顯文化差異和衝突，不過她的文化批判常常是雙向的，透過對立的視野，嘲弄兩方，也同時顛覆這二元結構。

眾多的文化衝突中，飲食習慣差異是直接而明顯的。讀者應記得《同名之人》以愛希瑪做家鄉吃食為開始的有趣畫面。當時愛希瑪正懷著身孕，她所做的是加爾各答的小吃，一種包括玉米片、花生、紅洋蔥、鹽、青椒、檸檬汁的特別組合，拉希莉仔細地描繪食物細節，塑造的意象不僅是視覺的，也同時是味覺和嗅覺的，食物的組合完全顛覆了一般美國讀者的想像。拉希莉成功地激起美國讀者對這種異國食物的不適與不安，同時她也成功地讓她的讀者反思愛希瑪面對美國食物的困窘處境，引領讀者進入愛希瑪在異鄉生活惴惴不安的心情。

食物好不好，除了營養成份可以科學地比較外，外型、香氣與味道都是主觀的判斷。一般人試嚐食物，重視的是「味道」(taste)，但是這個英文字有另一個含意：品味，那就不是單純的味覺，更有文化的價值判斷參雜其中。家鄉食物是自小習慣的，

還帶著童年記憶的聯想，縱然簡單粗糙，總有特殊的情味，家鄉的食物是往往最好的，這就是為什麼懷孕的愛希瑪饞饞渴望印度食物，而雞皮是令她感覺噁心的，她堅決不碰不剝皮的美國雞肉。〈賽恩太太的公寓〉（"Mrs. Sen's"）裡的賽恩太太則常想念新鮮的全魚，因為在加爾各達，人們一起床就吃魚，也吃魚尾、魚卵、魚頭，可是這在美國卻是奢望，美國只吃冷凍無味的魚片，新鮮的全魚必須到魚市場訂，有一天為了買一條鮮魚，她冒險開車，結果出了車禍。對美國人言，雞皮是再自然不過的食物，全魚才是可怕的想像。在此拉希莉技巧地凸顯生活習慣的差異所造成對「他者」文化評價的偏頗，雞皮、全魚何罪之有？卻背負著重大的負面文化評價，何其無辜。

另外，對希拉莉言，休閒方式亦是文化批評的場域之一。《同名之人》中阿碩可的家庭也和美國人一樣，假期開車出城到北海岸的海灘名勝玩耍，但是拉希莉批評他們「從不游泳，也不做日光浴，而是穿著平日的衣裝前去，抵達時收票亭已打烊，人潮已散」[13]。范登阿比利在書中認為越界旅行隱喻著援引「外人」的角度來作文化批判 (xiii)，在此拉希莉的文化批判則是雙向的。拉希莉安排阿碩可一家人一段短暫的北海岸海灘行，她將他們與其他美國本地遊客並置，儘管選在遊客稀疏的黃昏時候，他們異族形象依然突兀震撼。阿碩可一家對於海洋與休閒的態度和一般美國人並不相同，他們也欣賞海邊、夕陽、沙灘和白鷗的優美景緻，但是美國人所喜歡的游泳、衝浪、日光浴等活動，都不是他們認同的活動，他們喜歡在海灘堆沙、放風箏，愛希瑪還穿著印度沙麗玩水。另外，他們顯然也不願意花錢買票，也許他們貪小便宜成性，也許他們不願意和一群穿著暴露的美國泳裝男女混在一起。所以他們寧可等待大多數的人都已離去之後，才去海灘享受屬於他們自己文化的海邊休閒方式。拉希莉在此再一次引領讀者進入對立雙方的視野，交互檢視文化的衝突對立和相互批評。

另一方面，拉希莉也批判了阿碩可一家的旅人心態，因為他們為了生活，在新的土地上，他們已做了相當的妥協，但仍盡力維護原鄉文化的存在，心態上他們仍是永遠的旅人，難與新鄉土地人群作真正的聯結，拒絕徹底的融入。

四、休閒階級與日常生活

逃逸、反抗、追尋都是拉希莉小說中常見的旅行動機，但在二十世紀中期之後，旅行工具平民化，旅行也逐漸成為平庸的尋常之舉。拉希莉 2000 年獲得普立茲小說獎的〈醫生的翻譯員〉("Interpreter of Maladies") 講述另一個關於旅行的故事：旅遊者印裔美人達斯（Das）夫婦一家人正在作一趟印度科那拉斯克（Konarsk）太陽神殿兩個半小時的旅行。旅行已成新興的熱門產業，而達斯夫婦正是美國社會學者馬克卡內在《旅遊者：休閒階級新論》（The Tourist: A New Theory of the Leisure Class）書中所謂的「休閒階級」的縮影。

誠如卡普倫所言，馬克卡內這本書確實對旅行與現代社會結構的關係作一個相當突破論述。[14]馬克卡內將過去位在邊緣位置的「旅人」重新定位，他認為過去旅行者往往與「疏離」、「遊牧」、「流離失所」、「沒有靈魂」等負面概念相連，馬克卡內認為新時代已經改變了旅行的意義，使得旅行者在現代社會結構中扮演愈來愈重要的角色，旅行者不僅指涉實際旅遊的人，也可以涵蓋所有現代的一般人 (modern-man-in-general) (1)，因為現代社會中每一個人都是旅人，而觀光名勝景點對

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[13] 中文譯文引自彭玲嫻的譯本，頁 61。原文為"Even in summer, they never go to swim or to turn brown beneath the sun. Instead they go dressed in their ordinary clothes. By the time they arrive, the ticket collector's booth is empty, the crowds gone." (53)

[14] 其實卡普倫並不同意馬克卡內將旅行者視為現代性主體位置的代表（Kaplan 57），她批評馬克卡內的歐洲中心主義思維，批評其參與歐洲霸權現代性的製造（63），也諷稱這本書「翻轉社會學研究」，因為這本書「將主體視為客體」（5）。

於現代人就好比宗教象徵之於原始人，這些景點構築了一個非計畫的結構類型，直接地連結了「現代意識」，或「世界觀」（2）。 如同「現代性」是全球性的，超越資本、共產主義之籬，已開發、未開發國家之別，這些現代旅行者也跨越國界、種族、膚色、語言，形成一個新興的「休閒階級」，馬克卡內認為這一新興階級是現代性最受惠的階層，也是跨國的中產階級(5)。他們致力於將世界的差異性調合成一個單一的超越意識（transcendent consciousness），他們因此最受惠，而旅行就是這超越意識中一個基礎的成份（13）。雖然馬克卡內忽略了其中非志願性的旅行者，如阿碩可之妻愛希瑪之流，但是他確實看到了一個新的文化現象，他所具體凸顯的這一群新興跨國階級確實存在，只不過他的旅人「休閒階級」大多集中在歐美富有國家中，並不具全球普遍性，也誠如卡普倫所批評，難逃歐洲中心主義思維，因此馬克卡內所正面標榜的「休閒階級」即「現代的一般人」之理論並無普世價值，相反地，他的「休閒階級」卻在拉希莉〈醫生的翻譯員〉小說文本中獲得印證，成為被諷刺的對象。

〈醫生的翻譯員〉中達斯夫婦的「休閒階級」形象因其印裔身份更顯突出，達斯夫婦雖然具有印度血統，穿著打扮和行為模式和喜歡到未開發國家旅行的歐美旅人沒有太大的差別，他們十分自豪於美國籍的身份認同，雖不是白人，行為舉止卻有甚於白人觀光客，不時流露出歐美中心思維，以及對印度的歧視。達斯夫婦帶著一種來自第一世界的優越感旅遊於他們的父祖故鄉，他們以優雅閒逸的姿態觀賞研究印度的落後和貧窮，他們觀察山羊、長尾葉猴，作為蠻荒地區真實性（authenticity）的見證人，對於到熱門景點參觀，達斯先生尤其具有類似宗教的熱情，馬克卡內稱之為「現代儀式」（modern ritual）的朝聖之旅（pilgrimage）（42-3）。當達斯先生津津有味地用照相機紀錄一個窮苦骯髒、瘦削憔悴的赤腳男人，顯現他對當地人的苦難貧窮保持疏離的姿態，沒有任何同情。 馬克卡內也曾批評這些「休閒階級」對區域的貧窮和犯罪尤其感到興趣，他將這類彰顯自我優越的旅行稱之為「負面觀光」（negative sightseeing）(40)。達斯家庭在印度的旅行，雖然並沒有特意到貧民窟或犯罪區體驗觀光，但他們視印度為貧窮落後之境的態度是顯而易見的。

拉希莉尤其嘲諷了達斯夫婦所展現的「現代意識」，他們是令人羨慕的「休閒階級」，他們帶著相機，閱讀旅遊手冊，量時間趕行程，拜訪旅遊熱門景點。他們買紀念品，在每一個景點留下全家合影，作為當年寄送友人的聖誕卡所用，證明旅行的真實性。表面上，他們全家和樂幸福，有錢有閒，付得起旅費，雇得起導遊，熱衷於開拓地理歷史知識，勇於體驗異國風情，以具有對旅行當地和居民的膚淺了解而感到自滿，然而透過導遊卡帕西的眼睛和達斯太太的告白，我們知道事實全然不是這麼一回事。其實達斯家庭的旅行一點也不知性愉快，達斯太太處處表現不耐，當她向導遊卡帕西（Kapasi）透露了通姦秘密和她隨意丟棄爆米花害得兒子被猴群攻擊後，達斯太太的自私和達斯先生的無知愚昧一覽無遺。在財富和社會地位的優勢背後，他們家庭其實是不幸福的，生活極為貧乏枯燥，拉希莉狠狠地嘲弄這一群「休閒階級」，雖為印裔，卻因出生在美國，便自以為高人一等，其實毫無內容，缺乏愛與熱情，膚淺可悲。

儘管馬克卡內對現代旅人所標誌的重要性引起爭議，但無可否認「旅行」已經成為愈來愈普遍的生活型態。旅行因為能帶來新的經驗刺激，常被視為「逃離枯燥日常生活」的舉動，甚至很多醫生相信旅行具有解放生活壓力的療效，旅行因此被視為逸出於生活常軌之外，而「日常生活」總給人一種平庸無奇，索然無味的印象，每日重複著枯燥的例行公事，因此「旅行」和「日常生活」是對立的概念和型態，旅行是休閒娛樂，生活則包括工作、吃飯、睡眠，是平凡難耐的。但在全球化的今天，馬克卡內認為「休閒」已經取代工作，成為現代社會生活安排的重心（5）。也因為科技進步，

旅行變得普遍、廉價，各式飛機每天在國際都會的機場裡幾無間斷地起落，高速公路上到處是擁擠的車輛，著名景點的旅館房客絡繹不絕，因此因為旅行的普遍，逐漸失去新鮮興奮之感，漸漸地對很多人言，旅遊也成為日常生活的一部分。例如上述的達斯太太，對經常的旅行，顯得十分不耐，並不令人意外。

　　將旅行視為平常陳腐之舉，其實並非全新的觀念，范登阿比利即認為西方旅行文學的傳統悠久而普遍，旅行雖然連結著興奮和新奇的概念，其實是一個文學史上索然無味的陳腐主題（xiii）。海默 (Ben Highmore) 的《分析日常生活與文化理論》（*Everyday Life and Cultural Theory: An Introduction*）一書特別探討「現代性」運作於日常生活的矛盾性，他認為「現代性」的千變萬化，確實陌生化了日常生活，使日常生活充滿了對於新事物的震撼，然而在日復一日的過程中，新奇的慢慢轉為陳舊，陌生的也逐漸熟悉，衝突與怪異也漸漸習慣成自然，日常生活又歸於單調平凡（1-2）。而在這眾多的現代性現象中，「旅行」之於「日常生活」，尤其創造了複雜的矛盾性，「旅行」之於「日常生活」，由全然地對立，然後慢慢地融入普及，最後對很多現代人言，旅行竟成為日常生活的一部分，這也是現代性對生活的具體影響例證。

　　此外，如〈陌生的土地〉("Unaccustomed Earth")中露瑪 (Ruma) 的爸爸，也是個印度移民，壯年時也和阿碩可一樣，如同候鳥般，年復一年往返於美國、印度間，當他退休成為鰥夫後，便開始前往過去從未造訪的歐陸觀光，甚至在故事開始的前一年裡，他還造訪了法國、荷蘭和義大利。退休後頻繁的旅遊更自由普遍，故事中他還和處境相似的友人，結伴同行，這群經濟富裕的銀髮退休旅行者更是馬克卡內「休閒階級」中重要的組成成員，因為他們有錢有閒，比起其他年齡階層更有機會旅遊，這是馬克卡內當年從事旅行研究時尚未發現的社會現象，他們的出現更能展現後現代消費社會日常生活的新風貌。

五、旅行者與文化霸權

　　當今全球化模糊了國與國的界線，而傳統「家」的概念也因經常的異地旅居而崩解，但這不表示國家主義的影響力在今天已經式微。對旅居異地的離散族群而言，國族認同其實比文化衝突更是個複雜的議題。文化風俗的不同，飲食服裝的差異，很多時候是可以兼容並蓄，多方混用的，異國色彩的民俗風情反而可以讓平凡的日常生活增添趣味；然而國族認同則不然，它關係著對國家的忠誠，因此往往必須陷入選擇與棄絕的二擇一困境，也是離散族群難以面對的課題。拉希莉所描繪的移民社會中到處是像卡普倫這樣的移民家庭，當他們來到美國一個以移民為人口主幹的「民族熔爐」，與不同的膚色、語言、文化背景的族群相遇互動，縱使美國社會對各族群的文化與宗教相當包容與尊重，但他們還是不得不面對國家認同與效忠的難題，旅人特別能感受文化霸權的壓迫。令人印象深刻的是〈第三暨最後一個大陸〉中的房東，一百零八歲的克洛福老太太 (Mrs. Croft)，拉希莉將她作為美國霸權的象徵。克洛福老太太不時要提醒故事中的主角，月球上有一面美國國旗，並且一再強迫主角說「真了不起」。面對這樣的要求，主角感到不知所措，而且有些受辱，儘管多麼地不情願，但是主角還是每一次都順從地說「真了不起」。[15]

　　「登陸月球」對於一個一百零八歲的人瑞言，自然是一件人類史上不可思議的偉大事件，但是電視上一再出現的美國國旗在月球飄揚的視覺意象，百歲人瑞強迫主角讚美國旗的舉動，還有主角受辱的被迫認同，都讓整段插曲充滿國家主義的意涵。談到發展穩定如美國這樣的國家的國族身份認同議題，畢利的「平庸國家主義」理論尤其提供一個精闢的觀察。他認為儘管美國雖是一個移民的國家，一向標舉尊重各族

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[15]　原文為 "splendid." (180)

群的文化與宗教，但在平凡的日常生活中，國家主義的精神仍無所不在。美國人常批評他國的國家主義者激進、非理性，卻故意漠視美國社會中一再宣揚的愛國主義，其實已將國家主義隱藏在日常生活的細節中。

在全球人口流動如此頻繁的後現代世界，家族的離散將愈來愈是個普遍現象，而國家認同會隨著跨國企業興盛和人口資金的流動而衰微消失嗎？畢利在他的 1995 年《平庸國家主義》（*Banal Nationalism*）書中提及美國充滿文化霸權的國家主義不僅隱藏在愛國主義的號召下，也隱藏在「美式和平」（Pax Americana）的美麗口號中。美國是離散族裔的匯聚地，複雜的種族，多樣的風俗，分歧的文化，對立的宗教，都讓這國家內部充滿衝突，但是「愛國主義」與「美式和平」的宣揚凝聚了國家認同，隱藏了國家主義到處運作顯而易見的事實。在這些不被注意的細節，國旗當然是最具有國家主權的象徵意義，畢利說：

> 數百萬國旗在美國的國土飄揚標示主權，並沒有引起立即預期的注意，掛在街道旗竿上或繡在官員的制服上的國旗也是不被搖舉關注禮遇。他們是被忽略的國旗。也許只有當習慣上應該出現的國旗突然被移出，他們才會突然被注意，就像時鐘突然停止運作…。有人會問這些出現在美國和世界各地不被注意的旗幟到底有何用途？…很明顯地，他們扮演國家存在無關緊要的提醒（banal reminders）… 這種提醒存於日常生活的運作，並不是有意識的舉動，和慶典中的集體記憶不同。[16]

克洛福老太太只是尋常百姓，居然對美國國旗在月球飄揚這一事件如此亢奮，這自然是「平庸國家主義」的事例，畢利提醒不只國旗，錢幣鈔票上都有國家主權象徵，甚至蛋糕店也烘培國旗蛋糕。另外，《同名之人》裡果戈里的小學，每天唯一的儀式是早晨要向美國國旗致敬，宣示效忠。果戈里是第二代移民，出生在美國，從小學校要他向國旗致敬，對他言似乎是自然的事，沒有太大的內在矛盾。但是〈第三暨最後一個大陸〉的主角則不然，當他被房東老太太強迫讚美月球上的美國國旗，他感覺非常屈辱，克洛福老太太縱然衰弱不堪，垂垂老矣，可是她的強勢動作隱喻著美國霸權的國家主義精神，這種自冷戰後西方世界唯美國是從的氛圍，畢利用「美式和平」一詞涵蓋，表達美國人自以為救贖世界的心態。其實主角屈從的不是一個老邁的人瑞，而是老婦人背後巨大的國家主義意識，因為來自弱勢的印度，主角毫無能力反抗，這也是主角感覺屈辱的所在。

相似的情形也出現在〈皮札達先生來晚餐〉（"When Mr. Pirzada Came to Dine"）小說中。故事主角是一個十歲的小女孩莉莉亞 (Lilia)，當她來自印度的父母親和他們的達卡友人皮札達先生，連著幾個星期為了印度、巴基斯坦、孟加拉的戰爭，還有皮札達先生家人的安危焦慮恐懼的時候，她在學校正讀著美國南北戰爭，背誦獨立宣言。學校帶他們做獨立戰爭路線的實地考察，製作喬治王木偶，研究「五月花號」的路線。有一天當莉莉亞去圖書館作英軍投降研究時，她發現了一本關於巴基斯坦和達卡的書，因為切身相關，她表現了強烈的興趣。正當她展卷閱讀，她的老師突然出現，告訴她這不是她應該參考的書，老師就強把書放回書架上。老師的強制收書的動作和克洛福

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[16] 作者自譯，原文為 "The uncounted millions of flags which mark the homeland of the United States do not demand immediate, obedient attention. On their flagpoles by the street and stitched on to the uniforms of public officials, they are unwaved, unsaluted, unnoticed. These are mindless flags. Perhaps if all the unwaved flags which decorate the familiar environment were to be removed, they would suddenly be noticed, rather like the clock stop ticking… One can ask what are all the unwaved flags doing, not just in the USA but around the world? In an obvious sense, they are providing banal reminders of nationhood… The reminding , involved in the routine business of flaggings, is not a conscious activity; it differs from the collective rememberings of commemoration." (41)

老太太的強迫要求讚美，其實都是國家主義精神的強勢表現。阿圖塞（Louis Pierre Althusser）曾說過，學校是型塑意識形態的國家機器（Ideological state apparatuses）之一，安德森（Benedict Anderson）也說過，國家是想像的社群，而歷史論述尤其是建構這種想像重要的工具，希拉莉的這一篇小說完美詮釋了阿圖塞和安德森的理論。莉莉亞的學校教育充分地利用所有資源，經由選擇美國建國歷史「記憶」與「遺忘」印度戰亂紛爭的新聞，來強化國家認同。

〈皮札達先生來晚餐〉所討論的國家認同其實不僅於此，希拉莉更深入地探討了印度、巴基斯坦、孟加拉的國家與族群間複雜的糾葛。莉莉亞的父母和皮札達先生都說同一種語言，生活習慣也一致，他們都是印度人，皮札達先生天天來莉莉亞家吃晚餐。但是突然有一天她爸爸宣佈皮札達先生已不是印度人，因為達卡尋求獨立，不再屬於印度。接著而來的巴基斯坦攻擊達卡，印度又對巴基斯坦宣戰，造成百萬的難民潮。在這一段紛擾的時間，莉莉亞的父母和皮札達先生整夜守著電視，看新聞轉播，半夜打越洋電話回鄉詢問戰況，三人彷彿一體，共守著無言的恐懼。電視裡恐怖殘忍，血腥殘破的戰爭畫面，與美式客廳的寧靜安祥，和萬聖節雕刻南瓜的歡愉形成強烈的對比，震撼人心。藉由戰爭的恐怖意象，拉希莉批判了國家主義的激進與愚蠢，是同胞還是敵人僅在當權者的一念之間，莉莉亞的父母和皮札達先生雖然已經由同胞變成了敵人，但是他們對戰爭共有的恐懼厭惡，對戰區家人的擔憂，將他們緊密連結一起，這種共苦犯難的同志情誼，戰勝了國家主義的冷酷無情。拉希莉的旅人批評的不僅是美國霸權，也批評所有強迫人民國族認同的國家主義。

拉希莉的旅人故事與二十世紀下半葉後工業、後現代、全球化的生活面向息息相關，她的旅人飄洋過海實踐范登阿比利「進入內在自我」和「越界批評」的可能，也富涵卡普倫所標舉的後現代精神，挑戰「在家/離鄉」、「旅行/日常生活」和「本土/異國」等二元對立的概念，創新了西方旅行相關的敘事傳統。對拉希莉言，旅行不再是英雄的行徑，或是亡命者的命運，它是事件，是動作，是現代社會尋常百姓的生活型式 (lifestyle)，隱喻著追尋自我的生命視野和態度。同時，拉希莉對馬克卡內所標舉的現代跨國「休閒階級」的嘲諷，可以見到拉希莉批判歐洲中心主義的勇氣見識；而小說中若干難堪的美國經驗亦印證畢利「平庸國家主義」的理論，更是直接批評了美國人自以為救贖世界的心態和隱藏在「美式和平」美麗口號下充滿文化霸權的國家主義。儘管世界仍然險惡，衝突不斷，拉希莉的旅人孜孜不倦地旅行於理想和現實中，反映當代人類移動遷徙的盛況，以他們充滿衝突、熱情的動人故事啟示世界，為旅行敘述傳統增添新頁。

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沈乃慧

朱子《易》學的貢獻

胡瀚平[*]

摘要

　　《易》乃朱子重要學思經典，承前創新，反省至深。作為思想家，朱子偉大之處有許多面，特別在在易學方面表現得最為明顯。

　　本文主要說明朱子易學的貢獻；首置前言，舉出近來學者對朱子易學的重要評價，末了作一結論。關於朱子易學的研究，前人說了不少，至於貢獻方面，說得並不全面，今為之補充，以表達他在易學，特別是《易》象數圖書學的貢獻。本文從以下說明朱子易學的貢獻：一、提出《易》本是個空底物事，括得盡許多道理；二、指出太極不離陰陽而在陰陽之中；三、原象數學為《易》的第一要義；四、主張取象有由來，推象求有用，避免滯泥不通；五、研《易》不可專主聖人，庶民都用得；六、讀《易》當分為三等以符卦爻辭之義；七、強調易為筮書以推原本義；八、朱子對筮法、占法的貢獻；九、朱子《易》圖書學的貢獻。

　　朱子對《易》學的貢獻有一項是間接性的，也是長遠的，西方數學家兼哲學家萊布尼茲揭示六十四卦為二進制數學這個事實。《朱子本義》所附九圖是朱子《易》象數圖書學的根基，本文進一步考證其理應為朱子所附。

關鍵詞：朱熹、《易經》、空底物事、河圖洛書、卜筮之書

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The Contribution of Chu Xi's *I Ching Academic*

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Abstract

This paper begins with recent reviews on Zhu Xi's studies on *I Ching* and concludes with his original interpretations. There have been many studies on Zhu Xi's interpretation of *I Ching*, but none of them had a comprehensive view that clearly pointed out the originalities of his thoughts. This paper would re-evaluate and enumerate his contributions to the *I Ching* and especially Hetu & Luo Shu book studies.

Zhu Xi's innovative *I Ching* interpretation includes: 1) Yi itself is an empty frame. 2) Tai Chi never leaves Yin Yang. 3) The mathematics of "*I Ching*" is the origin. 4) All phenomenon can be traced, deduced and reasoned. 5) Yi is not exclusive to the saints. 6) Understanding Yi from three different perspectives: Fu Xi, King Wen of Zhou, and Confucius. 7) Yi itself is a book of divination. 8) Innovative interpretation of divination. These interpretations were criticized by the contemporary and later scholars. That is exactly why Zhu Xi was such a great thinker.

Keywords: Chu Xi, *I Ching* , an empty frame, the number Hetu & Luo Shu, the book of divination

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一、 前言

朱子（1130-1200）對《周易》用功極深，《宋史‧藝文志》載其著述有《易傳》11 卷，《易本義》12 卷，《易學啟蒙》3 卷，另外還有《古易音訓》2 卷、《蓍卦考誤》1 卷，其中《易本義》與《古易音訓》二書已佚。朱子一生花不少工夫治《易》，[1]早年治《易傳》，後又著《周易本義》、《易學啟蒙》。對《易》學的論說，在他的《文集》及《語類》中更是豐富，並和朋友熱烈討論，在文獻上，涉及了《易》書的性質、作者認定和《易》的版本與經傳編排等問題。朱子《周易本義》，全書分為十二卷，即上下經、《彖傳》上下、《象傳》上下、《說卦傳》、《序卦傳》、《雜卦傳》，將經傳相分離。[2]後人割裂原書，依通行本體例分為四卷，因此保持上述次序的十二卷本被稱為《原本周易本義》，[3]但兩者內容基本一致。朱子不僅講解了六十四卦，對《繫辭傳》、《說卦傳》、《雜卦傳》也進行了解說，但對《序卦傳》的講解，只有一句畫龍點睛之筆。他認為易有變易和交易二義，「易有兩義：一是變易，便是流行底；二是交易，便是對待底」。[4]「變易說」是對其師程頤的繼承，而兼取了邵雍的「交易說」，這易有兩義說即是對象數、義理兩派關於陰陽變易法則理論的總結，也反映了他治易兼收各家之長的特點。

朱子之所以重《易》學，關係到他哲學建構的基礎和出發點，「《易》本是個空底物事」、「象數學為《易》的第一要義」正是他的創發；至於「太極不離陰陽」，是有關「太極」、「理」的理論之生成、存有問題都落實在其《易》學上，因此研究朱子哲學絕不可忽略他在這方面的成就。雖然他以義理派思想為主，但對於宋代《易》學三大分支——義理派、象數派、圖書派的成就熔為一爐，在宋代以後，受到學界特別推崇。這一點除與科舉考試有關外，應該說，也具有其學術方面的原因的。

此外，朱子是一個極善於整合、發揮前人學思的哲學家。他被尊為孔子以後的大聖人，其實並不是一個純粹的儒家。他的某些觀點，曾經受到他的後學及同行的責難、攻擊，在現在看來體現在其《易》學上是既重義理亦重象數，將傳統《易》學中的卜筮、象數、圖書、義理融合為一，進而形成自己的一套詮釋架構，說他集宋代《易》學大成亦不算為過。

關於朱子《易》學的研究，前人說了不少。至於貢獻方面，說得不全面，今為

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[1] 朱子的《易》學著作有《周易本義》、《易學啟蒙》、《周易參同契考異》、《太極解義》。朱子有大量的討論易的語錄和散見在文集中的有關書信等文字。這也是研究朱子易學的重要資料，朱子的長孫朱鑒把這些語錄和散見的文字輯成了《文公易說》一書，黎靖德編《朱子語類》也把朱子有關易學的語錄收編在卷六十五到七十七的十三卷中。

[2] 舊說以為《本義》就是以呂祖謙的《古易》為底本，自從王弼之易大行，易的傳本便都將《文言》、《彖傳》、《象傳》、散附於各卦爻辭之下。至北宋呂大防，始不滿此割裂傳文的做法，將經傳重新分為十二卷。後來晁說之呂祖謙，各據古書所引更改傳本文字，稱為《古易》，想恢復漢《易》的面貌。《朱子本義》就用經傳分離的十二卷本，這也貫徹了他想區分伏羲、文王之《易》與孔子之《易》的主張。

[3] 《朱子本義》的成書經過一個很長的時間。清王懋竑的《朱熹年譜》認為作於朱子四十八歲時；白壽彝及朱伯崑認為定稿於晚年；束景南作《朱熹年譜長編》以為朱子四十八歲成《易傳》，五十九歲成《周易本義》；張立文認為在四十八歲撰成，見（張立文，《朱熹評傳》，南京:南京大學出版社 1998 年，頁 41）《易學啟蒙》成於淳熙十三年，該書是為士子更正確的了解《本義》的內涵而作，那麼應該在淳熙八年五月以後和淳熙十三年之間，已經開始撰寫了。直到朱子晚年給孫敬甫的信中說:「《易傳》（案即《本義》初以未成書，故不敢出，近覺衰耄，不能復有所進，頗欲傳之於人。」這時《本義》才算成書，時在慶元二年（1196）。

[4] 【宋】黎靖德編，王星賢點校:《朱子語類》卷 65，（北京:中華書局，1986 年），頁 1602。

他補充，以概括他在《易》學特別是易象數圖書學的貢獻。朱子的《易》學，總結了宋初以來義理、象數兩方面的發展，批判吸收了兩方面的成果，建立了其博大的體系。但就朱子在《易》學史上的影響來說，在於以他的學術地位，最終打破了唐代《周易正義》以來只有以義理說易才是正統《易》學的傳統觀念，建立了此後幾百年象數《易》學的地位。

清康熙御纂、李光地總裁的《周易折中》，其《凡例》中說：

> 今案溺於象數，而枝離無根者，固可棄矣，然《易》之爲書，實根於象數而作，非它書專言義理者比也。但自焦贛、京房以來，穿鑿太甚，故守理之儒者遂鄙象數為不足言。至康節邵子，其學有傳，所發明圖卦蓍策，皆《易》學之本根，豈可例以象數目之哉？故朱子表彰推重，與程子並稱。《本義》之作，實參程邵兩家以成書也。後之學者言理義、言象數，但折中於朱子可矣。[5]

以上所述，不能算錯，這個評論也算公允——具有學術上的代表性，但它太具有官學的宣示色彩。

這三十年以來，對朱子《易》學的重要評價有：錢穆《朱子新學案》；[6]朱伯崑《易》學哲學史》；[7]曾春海《朱熹易學析論》；[8]張立文《朱熹思想研究》[9]；蔡方鹿＜朱熹在中國易學史上的地位＞[10]以及束景南的《朱子大傳》；[11]白壽彝的〈朱熹對於易學的貢獻〉。[12]另張其成有《易圖探秘》、[13]《象數易學》；[14]林忠軍《歷代易學名著研究》；高懷民《宋元明易學史》[15]等等。本文據上述研究成果為基礎，加以新的論證，提出關於朱子《易》學的貢獻，分述如下：

二、提出《易》本是個空底物事，括得盡許多道理

朱子對《周易》最深刻的認識是:他認為《易》只是個空架子，世界上所有的事物都可以裝進《易》裡頭去。他認為易這個空架子之所以能包容萬事萬物，做甚事

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[5] 〔清〕李光地纂，劉大鈞整理，《周易折中》（成都：巴蜀書社，2008 年），頁 8。

[6] 這本書 1970 年完成，翌年在臺灣出版。1986 年大陸巴蜀書社重新排印出版。[6]它是透過語類研究朱子思想最早的著作，歷經三十多年了，從《語類》與朱子思想之間的關係言，至今仍無一人無一書能出其右者。同時錢穆是就朱子言朱子，追蹤朱子學術思想前後演變，截至目前最權威的一本書。

[7] 朱伯崑《易學哲學史》中冊，《易學哲學史》（北京：北京大學出版社，1988 年），頁 429-430。

[8] 曾春海，《朱熹易學析論》（臺北：輔仁大學出版社，1990 年）。

[9] 張立文，《朱熹思想研究》（北京：中國社科院出版社，1994 年 9 月修訂版）。

[10] 蔡方鹿，＜朱熹在中國易學史上的地位＞，見氏著：《大易集述》（成都：巴蜀書社，1998 年），頁375。

[11] 束景南，《朱子大傳》（福建：福建教育出版社，1992 年）。

[12] 白壽彝，〈朱熹對於易學的貢獻〉收入《白壽彝文集》第七卷《朱熹撰述叢考、中國交通史》(開封:河南大學出版社，2008 年)。

[13] 張其成，《易圖探秘》（南寧：廣西科學技術出版社，2007 年）。

[14] 張其成，《象數易學》（北京：中國書店出版社，2007 年）。

[15] 高懷民，《宋元明易學史》（桂林：廣西師範大學出版社，2007 年）。高懷民先生的〈朱熹「易為卜筮之書」述評並論其對近世易學研究的影響〉一文，有別於其在 1995《國立政治大學學報》出版的〈朱熹「易為卜筮之書」述評〉的見地，其摘要言：「朱熹《周易本義》對後世學術產生了負面的影響力，阻礙了《易》學的研究，因為他固執於「易為卜筮知書」之故」。[15]其結論為：「其對《易》學的此一見解而言，卻難言其有正面的貢獻，這也是無可奈何的事，古今學術之林中，多少學者長於此而短於彼，這情況又豈朱子一人而已」。

「皆撞著他」，[16]朱子以為《易》是個空底物事，與他書不同，《易》是「未有是事，預先說是理，故包括得盡許多道理。看人做甚事，皆撞著。」[17]是因為卦爻象卦爻辭中早就預先貯存著萬般的訊息庫——易理。這些易理都具有抽象的意義，也即是某一類事物的普遍義理。三百八十四爻就好比三百八十四個抽象公式，透過易變原則，還可再衍生出許多公式，「天下萬事無不可談」，因此，易的功用也就沒有窮盡。這樣一切事物的問題與解答都可以套入這些公式，從其中得到問題的答案或受到指導和啟發。在〈《易》五贊·警學〉中，朱子用極為精煉的語言表達了這一思想：

> 理定既實，事來尚虛。用應始有，體該本無。稽實待虛，存體應用。執古御今，由靜制動。潔靜精微，是之謂《易》。體之在我，動有常吉。[18]

這在《語類》卷六七有詳解。大意是《易》理實有，《易》用無窮；理體存此，潔靜精微；其用在人，隨緣點化；體認此理，自然常吉。朱子在這裏所說「《易》之為書……義理精微，廣大悉備」；「《易》之為用，無所不該」，與《周易·繫辭》說的「《易》與天地准，故能彌綸天地之道」；「《易》之為書也，廣大悉備」，有著不同的出發點：《繫辭》是在頌揚《易經》，而朱子是為了批評《易》學史上拘執而不圓通的治《易》傾向。

這一觀點在《易》學史上具有十分重要的意義。一是對象數易的卜筮從本質上給一個解讀。二是將《易》的內容更加抽象化、公式化了。「《易》只是空的物事」的說法是對義理派解易方法的高度概括，它指示人們從《周易》所蘊含的抽象道理中來發揮各自關於自然界與人類社會規律的認識。雖因時變境遷，道理非一，但《周易》這個空架子都會給你提供一個框架，朱子說：「易中言占者有其德，則其占如是；言無其德而得是占者，卻是反說。如南蒯得『黃裳元吉』，疑吉矣，而蒯果敗者，蓋卦辭明言黃裳則元吉，無黃裳之德則不吉也。又如適所說『直方大，不習無不利』，占者有直方大之德，則不習而無不利；占者無此德，即雖習而不利也。如奢侈之人，而得共儉則吉之占，明不共儉者，是占為不吉也。他皆放此。如此看，自然意思活。」[19]因為「《易》之為用，無所不該」，學《易》、治《易》要靈活掌握，隨緣應用，戒拘執偏頗，泥古不化。

說到《易》之為書與其它經典不同，他說：「其他經，先因其事，方有其文。如《書》言堯舜禹湯伊尹武王周公之事，因有許多事業，方說到這裏。若無這事，亦不說到此。若易，只則是箇空底物事，未有是事，預先說是理，故包括得盡許多道理，看人做甚事，皆撞著他。」[20]又說：「『《易》無思也，無為也』，《易》是個無情底物事，故『寂然不動』；占之者吉凶善惡隨事著見，乃『感而遂通』。」[21]舉占筮結果的例子說：「《易》中多言正，如『利貞』，『貞吉』，『利永貞』之類，皆是要人守正。」[22]又說：「人如占得一爻，須是反觀諸身，果盡得這道理否？《坤》之六二：『直方大，不習無不利。』須看自家能直，能方，能大，方能『不習無不利』。凡皆

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16 【宋】黎靖德編，王星賢點校：《朱子語類》卷 66，第四冊，（北京:中華書局 1986 年），頁 1631。
17 同前註。
18 〔宋〕朱熹，《晦庵先生朱文公文集》（上海：上海古籍出版社，2002 年），卷八五，頁 4001。
19 〔宋〕朱熹，《晦庵先生朱文公文集》卷 66，（上海：上海古籍出版社，2002 年），頁 1631。
20 同前註。
21 同前註。
22 同前註。

類此。」[23]舉卦例說：「所謂《大過》，如當潛而不潛，當見而不見，當飛而不飛，皆是過。」又說：「如《坤》之初六，須知『履霜堅冰』之漸，要人恐懼修省。不知恐懼修省便是過。易大概欲人恐懼修省。」[24]說明《易》之為書：「文王繫辭，本只是與人占底書（此亦是貢獻之一，詳見下文。），至孔子作十翼，方說『君子居則觀其象而玩其辭，動則觀其變而玩其占』。」[25]他直接揭櫫《易》本卜筮之書，承認有神道設教（《易·觀·象》）的宗教因素，在《易》學史上，漢代道教形成時即與《易》一拍即合；易筮神秘數術與宗教儀式與方術神秘文化媾合，因此參同契也能能把陰陽八卦系統搬進爐火丹青中，宋周敦頤《太極圖說》也能將道教修煉丹的先天太極圖、無極圖再搬回《易》學中。

令朱子深感惋惜的是，雖然程頤也明白「《易》不是限定底物」，他自己還說，「一爻當一事，則三百八十四爻只當得三百八十四事？」，[26]但到他解《易》時「卻又拘了」[27]。以程子之博雅，治《易》也不免表現出拘執傾向，而這又從另一方面說明了治《易》的不容易。

三、　指出太極不離陰陽而在陰陽之中

從《繫辭傳》到邵雍，太極所有的概念，實際上都是元氣的概念，所以朱子用太極不離於陰陽的觀點來詮釋太極，是一歧出，亦為貢獻之一。朱子在《太極圖解》中說：「此所謂無極而太極也，所以動而為陽，靜而陰之本體，然非有以離乎陰陽，即陰陽而指其本體不雜乎陰陽而言爾。」這是說，太極是陰陽的本體，是陰陽的源頭、陰陽的根據，它在陰陽之中，但又與陰陽不同。朱子的太極就是理，他堅持理不離於陰陽又不雜於陰陽的觀點，在他與程迥的論辨中表現得更鮮明。程迥年歲長於朱子，他的《周易古占法》（成於紹興三十年（1160））其中論太極說：「太極者，乾坤未列，無象可見，大衍未分，無數可數，其理謂之道，其物謂之神。……太極與道不可以差殊觀也。道之超乎象數則為太極，行乎象數則為乾坤。」[28]又說：「太極者，大中也。……其所謂中者，因陰陽倚於一偏而後見也。先儒謂天地未分，元氣混而為一，老子謂道生一是也。」[29]程迥的太極概念，實是《老子》的道的概念，既是萬物生成的根據，本身又具有物質性，太極存在於陰陽之前，由太極而生陰陽。故朱子批評他說：

> 太極之義正謂理之極致耳，有是理即有是物，無先後次序之可言，故曰「易有太極」，則是太極乃在陰陽之中，而非在陰陽之外也。今以大中訓之，又以乾坤未判、大衍未分之時論之，恐未安也。形而上者謂之道，形而下者謂之器。今論太極而曰其物謂之神，又以天地未分、元氣合而為一者言之，亦恐未安也。有是理即有是氣，氣則無不兩者，故《易》曰「太極生兩儀」。而老子乃謂道先生一，而後一乃生二，則其察理亦不精矣。[30]

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[23] 同前註。

[24] 同前註。

[25] 同前註。

[26] 【宋】黎靖德編，王星賢點校:《朱子語類》卷 67，第四冊，（北京:中華書局，1986 年），頁 4。

[27] 同前註，卷六十八，頁 19。

[28] 〔宋〕程迥：《周易古占法·太極第一》（臺北:臺灣商務印書館影印出版，1986 年），卷一。

[29] 同前註。

[30] 〔宋〕朱鑑編，《文公易說》，（臺北：臺灣商務印書館，1983 年），卷一，〈答程大昌〉，頁 426。

朱子討論理氣關係問題，據陳來的《朱子哲學研究》考辨，淳熙十六年《大學章句》與《大學或問》完成之前，朱子在與人討論太極問題時已經論及[31]，他指出：「太極之義，正謂理之極致耳。有是理即有是物，無先後次序之可言，故曰：『易有太極』則是太極乃在陰陽之中而非在陰陽之外也。」明顯持理氣無先後的觀點。後來，朱子在《大學或問》中說：「天道流行，發育萬物，其所以為造化者，陰陽五行而已。而所謂陰陽五行者，又必有是理而後有是氣。及其生物，則又必因是氣之聚而後有是形。」這表明此時朱子已經有了理在氣先的思想。在以後的一段時間裏，朱子還討論過理氣先後問題。比如，他說：

> 所謂理與氣，此決是二物，但在物上看，則二物渾淪，不可分開各在一處，然不害二物之各為一物也；若在理上看，則雖未有物而已有物之理，然亦但有其理而已，未嘗實有是物也。大凡看此等處，須認得分明，又兼始終，方是不錯。只看太極圖熹所解第一段，便見意思矣。[32]

天地之間有理有氣。理也者，形而上之道也，生物之本也。氣也者，形而下之器也，生物之具也。是以人物之生必稟此理然後有性，必稟此氣然後有形。

從這些論述可以看出，朱子討論理氣關係問題，與探討太極問題以及人物之性問題有著密切的聯繫，而且所著重討論的是理與氣的相互關係，而不是從本體論意義上探討理或氣的本身。朱子晚年則又認為，理與氣在本源上並無先後，甚至還認為，理氣的先後在實際上是難以推究的。據《朱子語類》載：

> 或問：「必有是理，然後有是氣，如何？」曰：「此本無先後之可言。然必欲推其所從來，則須說先有是理。然理又非別為一物，即存乎是氣之中；無是氣，則是理亦無掛搭處。」[33]

> 或問：「理在先，氣在後。」曰：「理與氣本無先後之可言。但推上去時，卻如理在先，氣在後相似。」又問：「理在氣中發見處如何？」曰：「如陰陽五行錯綜不失條緒，便是理。若氣不結聚時，理亦無所附著。」[34]

> 或問：先有理後有氣之說。曰：「不消如此說。而今知得他合下是先有理後有氣邪？後有理先有氣邪？皆不可得而推究。然以意度之，則疑此氣是依傍這理行。及此氣之聚，則理亦在焉。蓋氣則能凝結造作，理卻無情意，無計度，無造作。只此氣凝聚處，理便在其中。」[35]

照說這觀念朱子亦非無所本，他乃是承繼了程頤「動靜無始，陰陽無端」的觀點來發展，認為陰陽的存在並無起始，並非從太極或道生出來的。太極是體，陰陽是用，並存而不相離，所以程迥用「大中」解釋它，又以大衍未分、乾坤未判之說看待它，是察理不精。太極，是形而上者，氣，是形而下者，太極又與氣不可相混淆，所以程迥稱「其物謂之神」，又以天地未分，元氣混合而為一者言之，也是於理未安的。這是朱子論太極別於前人的見解，而這也是儒道兩家對太極不同的觀點。

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[31] 陳來，《朱子哲學研究》（上海：華東師範大學出版社，2000年），頁16-17。

[32] 〔宋〕朱熹，《晦庵先生朱文公文集》，卷四十六，〈答劉叔文〉見《朱子全書》，（上海：上海古籍出版社；2002年），第2146頁。

[33] 【宋】黎靖德編，王星賢點校：《朱子語類》卷67，第四冊，（北京:中華書局1986年），頁4。

[34] 同前註。

[35] 同前註。

四、 原象數學為《易》的第一要義

關於朱子《易》學的貢獻之三，是視北宋以降新創的象數學為易的第一要義。朱子以九圖冠於《本義》之首，與蔡元定合編的《易學啟蒙》四篇（第一篇《本圖書》論《河圖》、《洛書》，第二篇《原卦畫》論邵雍《先天圖》，第三篇《明著策》論筮法，第四篇《考變占》論占法。）是要向初學者們闡明易的根據、易的本體，使他們真正理解易的價值，易的第一要義。作為一個理學家，他認為自然之間，自陰陽未分之一氣到已成形的天地萬物，都被理所規定，而《河圖》、《洛書》所表達的陰陽五行數的法則，就是理的一種表現。《易學啟蒙·序》說：

> 然其為卦也，自本而幹，自幹而支，其勢若有所迫而不能自已；其為著也，分合進退，從橫逆順，亦無往而不相值焉，是豈聖人心思智慮之所得為哉？特氣數之自然形於法象見於《圖》、《書》者，有以啟於其心，而假手焉耳。[36]

這裡所說的「氣數自然」，即是理。

接著《易學啟蒙·序》又說：

> 近世學者類喜談易而不察乎此，其專於文義者既支離散漫而無所根著，其涉象數者又皆牽合傳會，而或以為出於聖人心思智慮之所為也。若是者，予竊病也……[37]

朱子認為，北宋以來的義理派《易》學，把一卦一爻都作人事來解，未能進一步探求這些倫理教條的本體，是舍本求末。漢以來的象數家沉溺於互體、卦變或爻辰、卦氣，亦不見這一本體。朱子不講爻辰、納甲，有了《圖》、《書》五行學說的內容就仍在他的《易》學體系中保存下來了。

據宋代李幼武纂集《宋名臣言行錄外集》卷十二「朱熹」條說，[38]朱子在淳熙四年作《周易本義》，在淳熙十三年，《易學啟蒙》成，先生初作《易本義》懼學者未明厥旨，乃作《啟蒙》四篇以為言，《易》不本象數，既支離散亂而無所根。著其本象數者，又不知法象之自然，未免穿鑿附會，故其篇目以本圖書原卦畫明著策考變占為次，凡卦揲及變爻，皆盡破古今諸儒之失。另外，朱熹在《答劉君房》中亦指出「所喻讀《易》甚善，此書本為卜筮而作，其言皆依象數以斷吉凶。諸儒之言象數者，例皆穿鑿，言義理者，又太汗漫。故其書為難讀，此《本義》、《啟蒙》所以作也。然《本義》未能成書，而為人竊出，再行摸印，有誤觀覽。《啟蒙》本欲學者且就大傳所言卦畫著數，推尋不須過為浮說。」[39]意思是說，該書為士子更好了解《周易本義》之內涵而作，使人讀《易》時不致誤讀妄解。至於《本義》、《啟蒙》推崇邵雍《先天圖》，則是因為自太極而六十四卦乃至無窮的過程，正好作為「理一分殊」說的圖解。

朱子在 1197 年完成的《參同契考異》是用《易》高度符號化的語言來解釋煉丹的過程，《參同契》用《乾》《坤》代表灶爐；《坎》《離》代表丹藥，其餘六十卦代

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[36] 〔宋〕朱熹，《易學啟蒙》，錄自《朱子全書》（上海：上海古籍出版社，2002 年），頁 209。

[37] 同前註。

[38] 見李幼武編纂，《宋名臣言行錄外集》(臺北：景印文淵閣四庫全書，臺北：臺灣商務印書館，1983)。

[39] 〔宋〕朱鑑編，《文公易說》（臺北：商務印書館，1983 年），卷六七。

表火候，此外，還提出了納甲法，將八卦與十天干配合代表日月陰陽消長動靜不同的階段，朱子比邵雍更嚴格的象數方式來解釋了《參同契》的第一義，即將《易》的本義解釋作以陰陽消長解釋宇宙的協同作用（coordination)。朱子雖然採用了彭曉的注本解讀《參同契》，但他是一位原創性的注釋者，他從周敦頤的太極觀抓住了理的超越並內在於每個特殊個體和各別事物，也掌握了作為整體的宇宙觀。他能做到這點，也是因為調和了張載的氣論和程頤的理學，並使它們在自己的系統中處在核心地位。朱子用《參同契》這本著作的原創注釋做到了這一點，他從前人那裡學了很多東西，並將他們改造變成了他獨特的觀點。

五、 主張取象有由來，推象求有用，避免滯泥不通

朱子《文集》卷六七中有《易象說》一篇，其中記：「易之有象，其取之有所從，其推之有所用，非苟為寓言也。然兩漢諸儒必究其所從，既滯泥而不通；王弼以來直欲推其所用，則又疏略而無據。二者皆失之一偏，而不能闕其所疑之過也。」[40]朱子在漢易象數與王弼義理二者之間取中道，實則是傾向於取象一派的。首先，在《本義》中，他對八卦卦象、卦德的來歷都力求作出解釋：其次，對六十四卦，朱子也主張用內外卦象作解釋。如釋《蒙》：「其卦以坎遇艮，山下有險，蒙之地也。內險外止，蒙之意也。」《語類》卷七十記：「險在內，止在外，自家這裡先自不安穩了，外面更去不得，便是蒙昧之象。」[41]這就是內險外止，蒙之意也。這是據《彖傳》作發揮，但釋《同人》時，他說：「同人，與人同也。以離遇乾，火上同於天。六二得位於中而上應九五，又卦唯一陰而五陽同與之。」[42]這就不僅僅是爻位得中、相應為說，是朱子據內外卦象的關係作為該卦的一義。不僅對卦義，對一卦之中的爻義，也常從內外卦象的角色去考慮。朱子認為聖人於《易》，不是硬拗，皆是取象，因有此象，方就上面說。《語類》卷七十：有人問：《夬》卦辭言「孚號」，九二言「惕號」，上九言「無號」，取象之義如何？回答：卦有兌體，兌為口，故多言號也。《本義》釋《困》，九四「困於金車」說：「金車為九二，象未詳，疑坎有輪象也。」[43]這是朱子貢獻亦不辭嚴謹之處。

對六十四卦中的某些卦作整體的象的考慮，例如說到艮與咸卦是就人身取象，[44]而《本義》解艮、咸便依此思路來解。《大壯》卦多說羊，羊是兌之屬，也是自整體的象來解的例子，這些對易象有所突出的見解，是漢儒易象說所不及的。

對於不能像一般用內外卦象來解釋的卦爻辭，朱子也不排除漢儒的互體、卦變、飛伏等來解。他說：「易象自是一法，如『離為龜』（《損》的二至上爻互離，《益》的初至五爻互為離），則《損》、《益》二卦皆說龜。易象如此者甚多。」[45]又釋九三夫征不復，婦孕不育」[46]說：「此是取『離為大腹』之象。本卦雖無離卦，卻是伏得這卦。」[47]又釋《蹇》卦卦辭「蹇利西南」，因西南是坤位，便說：「《蹇》無坤

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[40] 〔宋〕朱鑑編，《文公易說》（臺北：商務印書館，1983年），卷六七。
[41] [41]【宋】黎靖德編，王星賢點校:《朱子語類》卷70，第四冊，（北京:中華書局1986年），頁1745。
[42] 〔宋〕朱熹，《周易本義》（北京：中華書局，2009年），頁79。
[43] 同前註，頁173。
[44] [44]【宋】黎靖德編，王星賢點校:《朱子語類》卷65，第四冊，（北京:中華書局1986年）卷七十二，頁1811。
[45] 同前註，卷六十六，頁1642。
[46] 同前註。
[47] 同前註。

體，則取坎中爻變......變則爲坤矣！」[48]這是以爻的老陰老陽之變來解適卦辭：「利西南」[49]，《本義》說，「且其卦自《升》來，三往居四，入於坤體，二居其所而又得中，故利於西南平易之地。」[50]這是根據陽升陰降的卦變解釋易經。

六、研《易》不可專主聖人，庶民都用得

朱子解易有一個了不起的成就，迄今學易者仍舊受用，那就是他提出了「易不專主聖人，自天子至於庶人都用得」的觀點，這和孔子、程頤觀點不同。朱子在《本義》所附《易五贊》答學生問易的特性時說《易》是：「理定既實，事來尚虛，稽實待虛，存體應用。」並補充說：「所以三百八十四爻而天下萬事無不可該，無不周遍，此易之所以不窮也。」[51]

程頤《易傳》解乾卦，都以舜的事迹作比，說「見龍在田，利見大人」是舜在田獵漁牧時，利於見堯。「君子終日乾乾，夕惕若厲」，是舜被堯所試，日夕不懈。「飛龍在天」是舜已登大位。這種詮釋，朱子批評說：「若如程子之說，則千百年間只有箇舜禹用得也。」[52]程子釋《坤》六二「直方大，不習無不利」說：「二，陰位在下，故為《坤》之主，統言坤道中正在下，地之道也。……」朱子批評說：「（《坤》六二）卻是教人知道這爻有這箇德，不待習學而無不利。人得這箇時，若能直、能方、能大，則亦不習無不利，卻不是要發明坤道。伊川有這箇病，從頭到尾皆然！」[53]朱子教人看易經不可拘執於一事看。他在《乾》卦的解釋上，質疑了孔子：「易如一箇鏡相似，看甚物來都照得。如潛龍只有箇潛龍象，自天子至於庶人看甚人都使得。孔子說作『龍德而隱，不易乎世，不成乎名』，便是就事上指殺說。」[54]「龍德而隱」三句，是《文言》闡說初九「潛龍勿用」之辭，以為是指聖人隱居下位，不變操守，不求功名，守道待時的情形。朱子直指這樣解易，便是就事上指殺說了。

「此譬云燭籠，添一條骨則障了一路明，若能盡去其障，使之統體光明更好。」[55]而朱子本義注經便是遵循此一認識。如釋《乾》卦爻辭：潛龍勿用，見龍在田，利見大人，飛龍在天，利見大人等，歷來都依《文言》認為是講君主之事。朱子則以為：「六爻不必限定是說人君。且云「潛龍勿用」，若是庶人得之，自當不用；人君得之，也當退避。『見龍在田』，若是眾人得，亦可用事。『利見大人』，如今人所謂宜見貴人之類。」[56]

他進一步指出易之為易與其他各經如《書》、《詩》、《春秋》等不同，這些經典是先有其事而後記其事之文，唯獨《易》則不同，它是卜筮之書，是未有其事而預先說其理。所以朱子說解《易》不能拘執於某一事，不能說得太詳。文王、周公雖繫以辭，也都是虛說，所以能應無窮之事，這即《易》潔靜精微之處。

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[48] 同前註，卷七十二，頁 1830
[49] 同前註。
[50] 〔宋〕朱熹，《周易本義》（北京：中華書局，2009 年），頁 152。
[51] 【宋】黎靖德編，王星賢點校：《朱子語類》卷 65，第四冊，（北京:中華書局 1986 年），頁 465。
[52] 同前註，卷三，頁 465。
[53] 同前註，卷二，頁 455。
[54] 同前註，卷三，頁 464。
[55] 同前註，卷十八，頁 786。
[56] 同前註，卷三，頁 464。

七、讀《易》當分為三等以符卦爻辭之義

關於讀《易》，朱子認為當自分為三等，這也和其他看法相聯繫。朱子說：

> 今人讀《易》，當自分為三等，伏羲自是伏羲之易，文王自是文王之易，孔子自是孔子之易。讀伏羲之易，如未有許多《彖》、《象》、《文言》說話，方思得易之本意只是要作卜筮用也。伏羲畫八卦，那裡有許多文字言語？……大要不出陰陽剛柔吉凶消長之理，時亦未嘗說破，只是教人知，得此卦如此者吉，彼卦如彼者凶。及文王、周公分為六十四卦，添入，「乾，元亨利貞」、「坤，元亨利牝馬之貞」，早是非伏羲之意也，是文王、周公自說他一般道理了。時猶是就人占處說，如卜得乾卦則大亨而利於正。及孔子繫《易》作《彖》、《象》、《文言》，則元亨利貞為乾之四德，又非文王之易矣。到得孔子盡是說道理，然猶因卜筮而言也……[57]

朱子認為孔子之易的《易傳》並不完全符合卦爻辭的意思。首先是《易傳》使《易》本卜筮的原義反而湮滅了，這也就是他不滿於王弼本，而要將傳獨立於經的原因。

其次，《易傳》對某些卦爻辭的解釋朱子也不以為然，最明顯的例子是對《乾》卦辭「元亨利貞」的解釋。《文言》的解釋是：「元者善之長也，亨者嘉之會也，利者義之和也，貞者事之幹也。」意謂元之義是長，是眾善之長；亨之意是通，是眾美之萃；利是眾利，故能和於眾；貞是堅固，故能成事。是為乾的四德。接下去便生出「君子體仁，足以長人」云云一套大道理來。朱子的解釋則是：「元，大也。亨，通也。利，宜也。貞，正而固也。」[58]元亨利貞就是大通而利於正，「於筮得此卦，而六爻皆不變者，言其占得大通，而必利在正固，然後可以保其終也」。[59]

把文王周公之易與孔子之易相分別，就是把卦爻辭與《彖傳》、《象傳》等分別開來，這一層意思很容易明白，至於如何把伏羲之易與文王、周公之易相分別呢？朱子說伏羲之易沒有文字，只是畫了幾個卦。既然沒有文字，又如何與卦爻辭的文字分開來看呢？朱子這一層意思，就是主張應該鑽研象數。他在《答袁樞書》中說得非常明白：

> 來教疑先天、後天之說。據邵氏說，先天者，伏羲所畫之易也。後天者，文王所演之易也。伏羲之易初無文字，只有一圖以寓其象數，而天地萬物之理、陰陽始終之變具焉。……必欲知聖人作《易》之本，則當考伏羲之畫。[60]

所謂「當考伏羲之畫」，就是要考察卦畫圖像中所寓之象數，據以探索天地萬物之理。

八、強調易為筮書以推原本義

錢穆在《朱子新學案》一書中盛讚朱子《易》學的創獲，他說：「朱子於易，雖多創通之見，而無不有其精確細密之論證。謂易是卜筮書，最為大膽創論……」[61]

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[57] 〔宋〕朱鑑編：《文公易說》卷十八，頁791，(《文淵閣四庫全書本》)

[58] 〔宋〕朱熹，《周易本義》《周易》上經，（臺北:華聯出版社，1989年），頁30。

[59] 同前註。

[60] 〔宋〕朱熹，《周易本義》《周易》上經，（臺北:華聯出版社，1989年），卷二十三，頁876。

又說：「前人說易，皆從義理上探求，惟朱子一由卜筮而推，可謂石破天驚。」[62]倘若我們問朱子強調易的卜筮性質，其意何在？用朱子的話回答說：

> 今之說易者，先掊擊了卜筮。如《下繫》說卜筮，是甚次第！某所恨者，不深曉古人卜筮之法，故今說處，多是想像古人如此。若更曉得，須更有奧義可推。[63]

這裡朱子抨擊了當時說《易》者不屑於「卜筮」的學風，同時我們若要曉得易的奧義，應該耍深曉古人卜筮之法。

朱子說:「故自伏羲而文王周公，雖自略而詳，所謂占筮之用則一。蓋即那占筮之中，而所以處置是事之理，便在那裡了。故其法若粗淺，而隨人賢愚，皆得其用。蓋文王雖是有定象，有定辭，皆是虛說此個地頭，合是如此處置，初不黏著物上，故一卦一爻，足以包無無窮之事，不可只以一事指定說。他裡面也有指一事說處，如『利建侯』，『利用祭祀』之類，其他皆不是指一事說。此所以見《易》之為用，無所不該，無所不遍，但看人如何用之耳。到得夫子，方始純以理言，雖未必是羲文本意，而事上說理，亦是如此，但不可便以夫子之說為文王之說。」[64]

在強調《周易》占筮之用時，朱子看到了什麼呢？「故其法若粗淺，而隨人賢愚皆得其用」；「一卦一爻足以包無窮之事」；《易》之為用，無所不該，無所不遍」。這是第一層意思。占筮之法看起來似乎很粗俗淺薄，但是占卜之時千變萬化，萬事萬物都可以用它來決策，即《周易》爲用，非常靈活，無論什麼人，無論什麼事，都可以包容進來。那麼，何以易之為用能達到「無所不該，無所不遍」呢？這就進入了第二層意思。因為「蓋即那占筮之中，而所以處置是事之理，便在那裡了。」占筮功能中，從占筮的靈活性悟到《周易》之用的千變萬化。從「占卜」這一看似粗淺的形式，體悟到「一理分萬理，成萬事」的深刻哲理韻味。可見朱子對《易》書卜筮性質極力強調推求本源，其意並非真要以《易》書占卜，而是想通過占卜這種形式，體悟、發明《易》書的微言精蘊，追尋其義理奧義之真諦。

朱子作《本義》，就把卦爻辭都作象與占來理解，故言簡而意精。舉《屯》卦為例，卦辭「《屯》，元亨利貞，勿用有攸往，利建侯」朱子注：

> 《屯》，六畫卦之名也，難也，物始生而未通之意，故其為字象中穿地始出而未申也。其卦以震遇坎，《乾》《坤》始交而遇險陷，故其名為《屯》。震動在下，坎險在上，是能動乎險中。能動雖可以亨，而在險則宜守正，而未可遽進。故筮得之者，其占為大亨而利於正，但未可遽有所往耳。又初九陽居陰下而為成卦之主，是能以賢下人，得民而可君之象，故筮立君者遇之則吉也。[65]

意思是說，《屯》下卦為震，上卦為坎，震之卦德爲動（一陽動於二陰之下），坎的卦德為險、爲陷（一陽陷於二陰之中），《屯》的卦象為物始動而遇險，還未能求得大發展，故其名為「屯」。由此卦象，於是它的吉凶之占為大亨而利於正，但

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[61] 錢穆，《朱子新學案》（臺北：三民書局，1971 年），冊 4，頁 6。
[62] 同前註，頁 11。
[63] 【宋】黎靖德編，王星賢點校:《朱子語類》卷 66，第四冊，（北京:中華書局，1986 年）頁 1634。
[64] 同前註，頁 1647。
[65] 〔宋〕朱熹，《周易本義》《周易》上經，（臺北:華聯出版社，1989 年），頁 51。

不宜立即有所往。又《屯》卦之所以為屯，主要取決於其初爻，而初爻以陽居眾陰之下，是謙遜而得民心之象，所以筮立君者遇屯卦則吉。這樣卦辭就被理解成是占辭。又如《屯》之六四爻辭「乘馬班如。求婚媾，往吉，無不利」注：

> 陰柔居屯，不能上進，故爲乘馬班如之象。然初九守正居下，以應於己，故其占為下求婚媾則吉也。[66]

意思是六四以陰柔之爻居於屯難之時，不能前進，故有乘馬邅回之象；但與下卦初九之陽正相應和，所以筮婚媾者遇此爻則吉。這一爻中，「乘馬班如」是言象，其餘則是占辭。

《本義》解卦爻辭，皆如此二例。又如《乾》卦初九「潛龍勿用」，就說潛龍是象，勿用是占。解坤卦初六「履霜堅冰至」，就說這只言象不言占，而占意已見於象中。這樣，一部《易經》就只象與占二者而已。應該注意的是，朱子象的概念與漢儒有所不同。震為雷為動，坎為水為險等，這是漢儒所謂象。但朱子所言屯初九陽居陰下爲得民而可君之象，六四陰柔不能上進為乘馬班如之象，則是廣義之象，往往已包含了義理的内容。

《易》本為卜筮之書，從《語類》的記載來看，從西元 1170-1199 年，朱子都有這一問題的多方論證：

> 今學者諱言《易》本為占筮作，須要說做為義理作。若果為義理作時，何不直述一件文字，如《中庸》、《大學》之書，言義理以曉人？須得畫八卦則甚？[67]

> 今人卻道聖人言理，而其中因有卜筮之說。他說理後，說從那卜筮上來做什麼？[68]

> 若聖人有什麼說話，要與人說，便分明說了。若不要與人說，便不說。不應恁地千般百樣，藏頭亢腦，無形無影，教後人自去多方推測。聖人一個光明盛大之心，必不如此。[69]

上面所引幾段話主要從作文情理上證明《易》書非爲義理而寫。朱子認為如果《易》原初是為義理而作的話，則完全可以像《中庸》、《大學》那樣直接寫本書，無須再畫個八卦，更不可能在說理之後，又去說卜筮事，因為聖人的心光明正大，不會故弄玄虛教人猜測。

九、朱子對筮法、占法的貢獻

朱子既以易為占筮書，對筮法、占法也就特別重視。《周易本義》卷末附有《筮儀》一篇，《易學啟蒙》中有《明蓍策》一篇專論筮法，又撰有〈蓍卦考誤〉，而後者，也是專為駁斥郭雍《蓍卦辨疑》而作的。朱子指其「揲蓍說」最致命的破綻在於「扐反象不閏之歲而不象閏」、「其閏必六歲而後再至」。他批判郭雍《傳家易說》的「奇者所掛之一」說：

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[66] 同前註，頁 52。
[67]【宋】黎靖德編，王星賢點校:《朱子語類》卷 66，第四冊，（北京:中華書局 1986）頁 2830。
[68] 同前註，頁 1624。
[69] 同前註，頁 1633。

> 郭氏之說，以掛為奇。三變之中，第一變掛扐，第二、第三變不掛而扐。故以有掛有扐之變爲挂，無掛有扐之變為扐。其有掛之扐，又棄不數，而曰歸奇必俟再扐者，象閏之中閏再歲也。然則掛象閏歲而不象三才，扐反象不閏之歲而不象閏，且必三扐而後復掛，與《大傳》之文殊不相應。又其閏必六歲而後再至，亦不得為五歲而再閏矣。[70]

易筮法操作程序可概括為「四營而成《易》，十有八變而成卦」。每一爻的得出需經三次「四營」在操作形式上就是「再扐而後卦」。「扐」是兩指之間，把一次「四營」操作完的餘數夾在兩指之間就是「一扐」，象徵一次置閏。「再扐而後卦」就是經過兩次四營之後再操作一次四營，之後才能得出一個筮數，確定下一爻的剛柔之象。之所以要這樣操作，筮法的解釋說，這是因為置閏規律是「五歲再閏」，即五年裡面有兩次置閏。據此可知，《周易》筮法的操作步驟「再扐而後卦」是依據「五歲再閏」的置閏規律確定的，在形式上，「再扐而後卦」是對「五歲再閏」規律的模擬。由三次連續的「四營」得出一爻，這在傳統上又被稱作「三變成爻」。

《繫辭上傳》說：「易有太極，是生兩儀，兩儀生四象，四象生八卦。八卦定吉凶，吉凶生大業。」據此，易即八卦生成之過程，而四營的含義：「分而為二」對應於兩儀產生；「揲之以四」對應於四象運行；「歸奇於扐」象徵著置閏，「奇」作為「揲之以四」之結果，不同的餘數產生不同的爻象，最終形成不同的卦象，因此它實際上表達的即是「四象生八卦」這一過程。唯有四營中的卦一，象徵著兩儀生出萬物（即「三才」生成），這與八卦生成似乎不能對應，但對於具體的筮占而言，演算出卦象的目的就是要給特定的事物找出特定的答案，如果沒有這象徵具體事物的「一」，那麼具體演卦行為就失去了它的對象和目的，因此這個「卦一」對於具體的筮占過程而言，不可或缺。

朱子提出從掛扐之數的奇偶，直接推得七、八、九、六四營成數，這是朱子的貢獻，他駁斥了郭忠孝（雍之父）將掛扐之數視作餘數，而非策數的說法。他說：

> 今考凡言策者，即謂著也。《禮》曰「龜為卜，策為筮。」又曰「倒策側龜，皆以策對龜而言則可知矣。《儀禮》亦言「筮人執筴」，尤為明驗。故此凡言策數，雖指掛扐之外過揲見存之著數而言，然不以掛扐之內所餘之著不爲策也。[71]

朱子嚴斥郭氏父子「七、八出於九、六」，「九、六有象而七、八無象」之說，他說：

> 四象之數乃天地之間自然之理，其在《河圖》、《洛書》各有定位。故聖人畫卦，自兩儀而生，有畫以見其象，有位以定其次，有數以積其實，其為四象也久矣。至於揲著，然後掛扐之奇偶方圓有以兆之於前，過揲之三十六、三十二、二十八、二十四有以乘之於後，而九、六、七、八之數隱然於其中。[72] 抑七、八、九、六之用於著，正以流行經緯乎陰陽之間，而別其老少，以

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[70] 其中言與大傳之文不相應云云，至於如何與大傳之文相應，學者可見《易學啟蒙》釋傳文。〔宋〕朱熹〈著卦考誤〉，《晦庵先生朱文公文集》（京都：中文出版社，影印和刻近世漢籍叢刊本，卷六六，頁 3238-3239。

[71] 同上，頁 3225。

[72] 同前註，頁 3229。

辨其爻之變與不變也。九、六豈乾坤之所得專，而七、八豈六子之所偏用哉！若如其言，則凡筮得乾坤者無定爻，得六子者無定卦矣，尚何筮之云哉！[73]

朱子認為由掛扐之數可以得到七、八、九、六，而從掛扐所剩的過揲之數也可得到相應的七、八、九、六。這是《易》少陽、少陰、太陽、太陰的四象之數。[74] 就朱子對《洛書》的認識，「則居一者含九，居二者含八，居三者含七，居四者含六」（仝上），都隔中五而相對。《圖》、《書》生卦過程、揲蓍實際操作，三者是極為一致極為和諧的（朱子對當時流行的變占有一套自己的規則，比程迴精密，也就使以經典為依據的易占，更具操作的可行性）。凡此不但陰陽迭為消長，而其一物之中，陰陽二端又各自為一物而迭為消長。「其相與低昂與權衡，其相與判合如符契，固有非人之私智所能取捨而有無者」。[75] 這一切現象，一切看法，朱子認為，都是要體現天地間與易卦圖若合符契之自然之理。值得一提的是：《易》學自古便有「吉凶禍福由人說」，[76] 朱子倡議易象數圖書，還主張個人修養應重視喜怒哀樂之未發，然後發於事業，合於仁義忠信，如此則雖困躓仍能吉，反之，其人雖得志猶是凶。這是朱子對易筮的根本和理想態度，用占筮過程著未分已分來說明人心動靜決定吉凶禍福。

十、朱子《易》圖書學的貢獻

漢孟、京象數重卦象及數字研究，運用當時的天文、物候、曆法及陰陽五行學說解釋卦爻辭及卦爻象，找到兩者的對應關係。一是擴大了卦爻象數模式，把一卦化生出幾個卦，重新組合創立互卦飛伏八宮世應游歸等體例，二是擴大物象取象範圍；將每一卦、爻與陰陽五行天文氣候等自然人文對應，創立了卦氣納甲等體例，這些都偏好以天變說驗人事。漢代的象數學，互體、卦變、納甲、卦氣，是用卦爻模仿自然界時序的交替，或五行運作變換生剋而構造起來的占驗體系。

宋代的易數學則多了對形上學的探究，對本體的思考。劉牧說：「形由象生，象由數設。」（《易數鈞隱圖序》）邵雍說：「神生數，數生象，象生器。」（《觀物外篇》）朱子、蔡元定說易筮之策數，《河》《洛》數，都是「自然之理」（《易學啟蒙•本圖書》）。他們認為宇宙間陰陽五行及其所生之萬事萬物都有著內在的數的規定性，這種規定性就是「自然之理」的體現。《易》的卦爻是具體事物的符號，是古代聖人受《河圖》、《洛書》數與數、數與象之間的關係的啟發而創作出來的。開始了解現實世界中具

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[73] 同前註，頁 3230-3231。

[74] 易有四個筮數六、七、八、九，而且內涵兩個天數和兩個地數，天數和地數在數量上是對等的，因此可以與四象對應。四象就是少陽、太陽、少陰、太陰。四象所對應的物象是四時，少陽代表春季，太陽代表夏季，少陰代表秋季，太陰代表冬季。（見班固《漢書律律志上》）考察四個筮數中，九最大，六最小，屬於兩個極端，因此九對應於太陽，六對應於太陰，剩下的七就對應於少陽，八就對應於少陰。這樣四個筮數就與四象對應起來。這個對應關係在唐宋時代的人們那裡還是很清楚的。唐孔穎達在注釋「大衍之數」的《乾》、《坤》策數這一內容時，就直接把筮數九稱為老陽，六稱作老陰，七稱為少陽，八稱為少陰。（唐孔穎達《周易正義•繫辭上》。北宋沈括在他的《夢溪筆談》中記載說：「易象九爲老陽，七為少；八爲少陰，六為老。」（宋沈括《夢溪筆談•象數一》而老陰老陽就是太陰太陽的俗稱。（太，大。在字形上，太比大多出一點，據造字法，太的含義是比大還要過一點。於物象的年齡而言，太就是壯大的極端狀態，即老的時候）結合四象與四時的對應關係，結果就是：六與冬相配，九與夏相配，七與春相配，八與秋相配。四個筮數與四季的對應關係就由此確定。而四象理論中包含了變化的內容，據此《周易》的筮數必然具有表達變化的功能。

[75] 〔宋〕朱熹，《易學啟蒙•明蓍策》，錄自《朱子全書》，冊 1，頁 253。

[76] 胡瀚平，《周易思想探微》（臺北：商鼎文化出版社，1997），頁 106。

體事物的現象、關係，更應了解產生與支配這些現象、關係的規則、規律，即形而上的道（或理）。因此，研究易學就不僅應該研究具體的卦爻象及辭，更應該深究卦爻象所賴以產生的數，由數而上探事物的存在的根據、規則。儒家經典中唯《易》較多地涉及自然界與人類社會的各種事物，且《易傳》中的太極、陰陽、道、器象數概念，最適合作本體論的根據。

唐宋佛教盛行，佛教本體論與心性論之精微，有些地方為儒家所不及。儒學欲建立本體論，北宋中期就有了《河圖》、《洛書》、《先天圖》、《太極圖》出現，使漢以降的象數學出現了一個嶄新的局面。宋代象數學家也重視《易》的術數功能，如邵雍的先天六十四卦圓圖實質上也是一種卦氣圖，但漢代的卦氣圖對六十四卦次序的安排主要是根據卦名義，而邵雍的圓圖是在論述了太極生成萬物的過程的基礎上構造起來的。

朱子力主《易》是占筮之書，但他認為《易》之所以有占筮功能，是因為《易》是「氣數之自然形於法象見於《圖》、《書》者，啟發了聖人之心，假手於聖人製作出來的。他並且專門撰寫了《易學啟蒙》一書，以對《圖》、《書》數、蓍策數、先天卦數的研究，來論證《易》的占筮功能，他對《易》的占筮功能的理解與運用，與漢儒與王弼不同，有意自外道圖訣變造之加以理想主義之釋義 (idealist inscription)，亦即是象徵性之詮述(symbolic interpretation)，自物質義層轉迻為心理學上的象徵意涵，再遞衍為哲學上之象徵義，這個現象已改造了漢代重詁訓名物，支離破碎之學，非漢代象數義學所能比擬。

朱子對《易》學的貢獻有一項是間接性的，也是長遠的。西方數學家兼哲學家萊布尼茲揭示六十四卦為二進制數學這個事實，他看出以伏羲命名的幾張《易圖》，是中國古代二進位數學的產物，宣稱：「易圖是流傳宇宙間科學之最古之紀念物」，這是東方文化的秘密。如果不是朱子看重北宋陳摶、邵雍所傳九張《易圖》將之置於《易經》卷首，萊布尼茲的這項發現，無疑要困難許多。朱子當然不清楚五百多年之後，經過外國傳教士白進之手，把《易圖》傳到德國數學家、微積分創始人之一萊布尼茲那裡，它的真正意義才開始被世界發現。在他逝世前一年《答楊伯啟書》中說：「讀易想亦有味，某之謬說，本未成書，往時為人竊出，印賣更加錯誤，殊不可讀，不謂流傳已到幾間，更自不足觀也。」這不像是朱子自謙之辭，在他腦子裡一定在思索著《易》學中的重大問題。從現存資料看萊布尼茲不是根據當時的科學，也不是在八卦的啟示下發明了二進制，而是從伏羲先天六十卦方圓圖中看到二進制數學的秘密。[77]

朱子象數《易》學的根本，是在《周易本義》前列九圖及《易學啟蒙》。由於《周易本義》在尚未成書時，就被盜出刊行，造成後人懷疑某些內容的真實性，特別是書首所刊載的九種圖表。《四庫全書總目》為胡渭《易圖明辨》撰寫《提要》指出，王懋竑等人據《文集》及《朱子語類》得出的結論是：「信其為門人所依附」。民初史學家白壽彝也認為九圖非朱子所加。然而從《朱子語類》的相關討論來看，這些觀點，未必正確。[78]

《朱子語類》在卷六十五專門列了《伏羲卦畫先天圖》、《河圖洛書》章節。同時記錄了朱子與門弟子的大量討論，可見其對《易》圖的興趣。又在卷六十七《易學啟蒙》一節中，回應眾多弟子的請教時，也多擷取先天圖之義。如答李子方問先

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[77] 萊布尼茨二進制數學系統與易圖書的詳細描述，見 Dutens, Lebniz and Confucinism, p. 49-52.不僅附了《朱子本義》河圖洛書，先天次序圖，也對該圖作了介紹。

[78] 白壽彝，〈朱熹對於易學的貢獻〉收入《白壽彝文集》第七卷《朱熹撰述叢考、中國交通史》(開封:河南大學出版社，2008 年)。

天伏羲圓圖時說：「先天圖今所寫者，是以一歲之運而言之。若大而古今十二萬九千六百年，亦只是這圈子；小而一日一時，亦只是這圈子。都從《復》(卦)上推起去。[79]

在卷六十六記錄弟子文蔚說：「常愛先生《易本義》云：『伏羲不過驗陰陽消息兩端而已。只是一陰一陽，便分吉凶了。只管就上去成八卦，以至六十四卦，無非是驗這兩端消息。』」朱子回答說：「《易》不離陰陽，千變萬化，只是這兩個。莊子云：『易道陰陽。』他亦自看得。」這足以證明朱子弟子見到的《周易本義》是有先天圖與文字結合，有如周濂溪《太極圖說》者。

另外，《朱子語類》卷六十五《伏羲卦畫先天圖》一節有湯泳之問：「《先天圖》如何移出方圖在下？『朱子答：『是某挑出。』」[80]這一則，在《朱文公易說》卷一也有記錄，只是「某」字直接表述「熹」。可知方、圓二圖原來合在一起，有如現存《周易本義》卷首所列，然而在《易學啟蒙》卻僅有圓圖。朱子《周易本義》訂稿於淳熙四年(西元 1177 年)，在此之前，朱子曾經與弟子討論過《朱子本義》，說明未定稿早已流傳。而《易學啟蒙》則作於淳熙十三年(西元 1186 年)。書名《啟蒙》，便是為了普及和簡明。才會將方圖與圓圖分開。對這圖討論改易過程的記載，也證明了朱子與《先天圖》的密切關係。因此，從《朱子語類》的這些記載看來，《周易本義》前所列九圖應為朱子所附，而非後人所妄加。

十一、結論

解讀上述九項貢獻，可能發現每一項觀點都不是割裂獨立的，彼此間存在有某種聯繫。整體看得出朱子恢復《周易》本來面貌的企圖，朱子認為在治《易》時，應「先通得《易》本指後，道理儘無窮，推說不妨。若便以所推說者去解《易》，則失《易》之本指矣」[81]此正是有鑒於歷代治《易》之弊病。他認為應當同情理解聖人作《易》目的，強調要注重《易》的本源性，並博采眾家，兼顧象數與義理，獨樹一幟。朱子說：「（易）皆依象數以斷吉凶。今其法已不傳，諸儒之言象數者例皆穿鑿，言義理者又太汗漫，故其書為難讀。」[82]論到「《易》之有象，其取之有所從，其推之有所用，非苟為寓言也。」在分析了象數、義理和卜筮的關係後，他提出原象數學為《易》的第一要義、強調易為筮書以推原本義，說明象數闡發義理的涵義時他說：「《易》本是個空底物事括得盡許多道理」、「指出太極不離陰陽而在陰陽之中」，他的貢獻還在於分析了治易的路徑，他提出「讀《易》當分為三等以符卦爻辭之義」、「研《易》不可專主聖人庶民都用得」「主張取象有由來，推象求有用，避免滯泥不通」的說法，證明易象數學「取象有所自來，推之有用」不是甚麼寓言之書了。

這些見地，不僅針對當時的義理學派而發，對象數學派的《周易》派也有撞擊。一方面，他駁正學界對《周易》的誤讀，不至使人「墮於諸儒術數之末流」[83]；另一方面，也糾正了《易》學研究的混亂的場面，廓清研《易》的迷障。就像熊良輔所說：

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[79] 【宋】黎靖德編，王星賢點校：《朱子語類》卷 65，第四冊，（北京:中華書局 1986 年），頁 1617-1618。

[80] 【宋】黎靖德編，王星賢點校：《朱子語類》卷 65，第四冊，（北京:中華書局，1986 年），頁 1613。

[81] 〔宋〕朱鑑編：《文公易說》卷十八，頁 791《文淵閣四庫全書本》。

[82] 〔宋〕朱熹，〈答劉君房〉，《晦庵先生朱文公集》，卷六十，頁 2886。

[83] 〔宋〕董楷，《周易傳義》（臺北：臺灣商務印書館，1986 年），卷一。

> 古今易說傳千餘家，據所見聞，由宋以前何啻百家，由宋以來亦又二百
> 家矣！或見其書而取之，或見其書而未暇遍覽，或見其姓名而不及見其書，
> 或有其姓名而亡其書，是何學易之多也？雖然天地之間理一而已，易自朱
> 子而本義大明，象、占、義理殆無餘蘊，則夫千有餘家之說，縱或有之，
> 徒蔓辭耳，雖多亦奚以為。[84]

在紛雜繁蕪的《易》學研究中，若「主一先生之言，以盡廢諸家，雖未免於太狹，
然宋儒說易，其途至雜，言數者或失之巧，言理者或失之鑿，求其平正通達，顯
有門徑可循者，終以朱子為得中」[85]。

上述「求其平正通達，顯有門徑可循者，終以朱子為得中」，是對朱子治易成績
一個很允當的評價。

《易》自焦贛、京房以來，穿鑿太甚，學者治易，注解、詮釋各從其途，或着
眼卦氣、象數；或深究義理，使得《易》學愈來愈趨向狹隘，對於《周易》之本義
也很難去理解了。一些守理的宋儒遂鄙象數不願去研究它，到了邵雍傳圖書發明圖
卦著策皆易學的根本，朱子作本義就是把卦爻辭都作象與占來理解，義理象數兼重，
實則以易爲卜筮之書。朱子克服程頤義理義及邵雍象數《易》學的不足，把圖書象
數與義理統一起來，爲闡發義理作論證，這在中國《易》學發展上確實是一項創新。
同時，朱子提出理、象、數、辭相結合的思想，既肯定了《易》的占筮本義，又不
停留於此，進一步主張從占筮、象數中發揮出義理來，強調義理建立在卜筮之辭的
基礎上，不可與象數相脫離，補充了程頤義理《易》學與邵雍象數《易》學的不足，
同時分別汲取了他們的長處，把兩派綜合起來發展，從而集宋代《易》學之大成。
從《易經》經典的本義著眼，他主張以象數求易理，而象數本以陰陽之理、自然法
象爲存在根據，又可通過象數推論其理，並強調義、卜筮、象數的結合，在這個過
程中，將《周易》的原理高度哲理化，發展了宋代《易》學，是對中國《易》學史
上先前思想資料的吸取、揚棄、創新和發展。

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[84] 朱彝尊《周易本義》卷三十一（臺北：臺灣中華書局，1797 年 2 月）。
[85] 見《四庫全書提要・周易本義通釋》（臺北：臺灣商務印書館，1983 年）。

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胡瀚平

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國立彰化師範大學文學院學報

2014 年度下載使用報告

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華藝線上圖書館已收錄超過 1,600 種臺灣學術期刊，全臺超過 500 家研究機構單位使用，含括 159 所大專院校圖書館、重點醫院之醫學中心圖書館與公/市立圖書館等，每年高達 800 多萬被下載次數。華藝作為華文知識數位傳播的先鋒，除了持續促進臺灣學術成果的國際能見度，也希冀藉由本報告協助貴單位發掘期刊優勢與使用狀況，與您攜手並進為臺灣的學術發展貢獻向上的動能。

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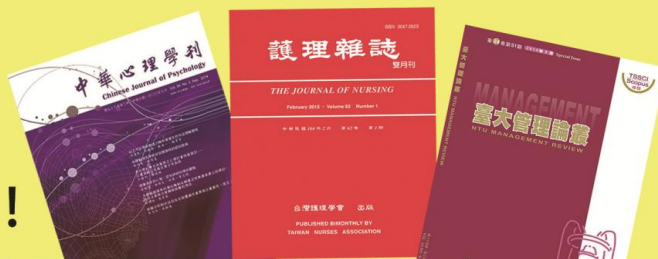
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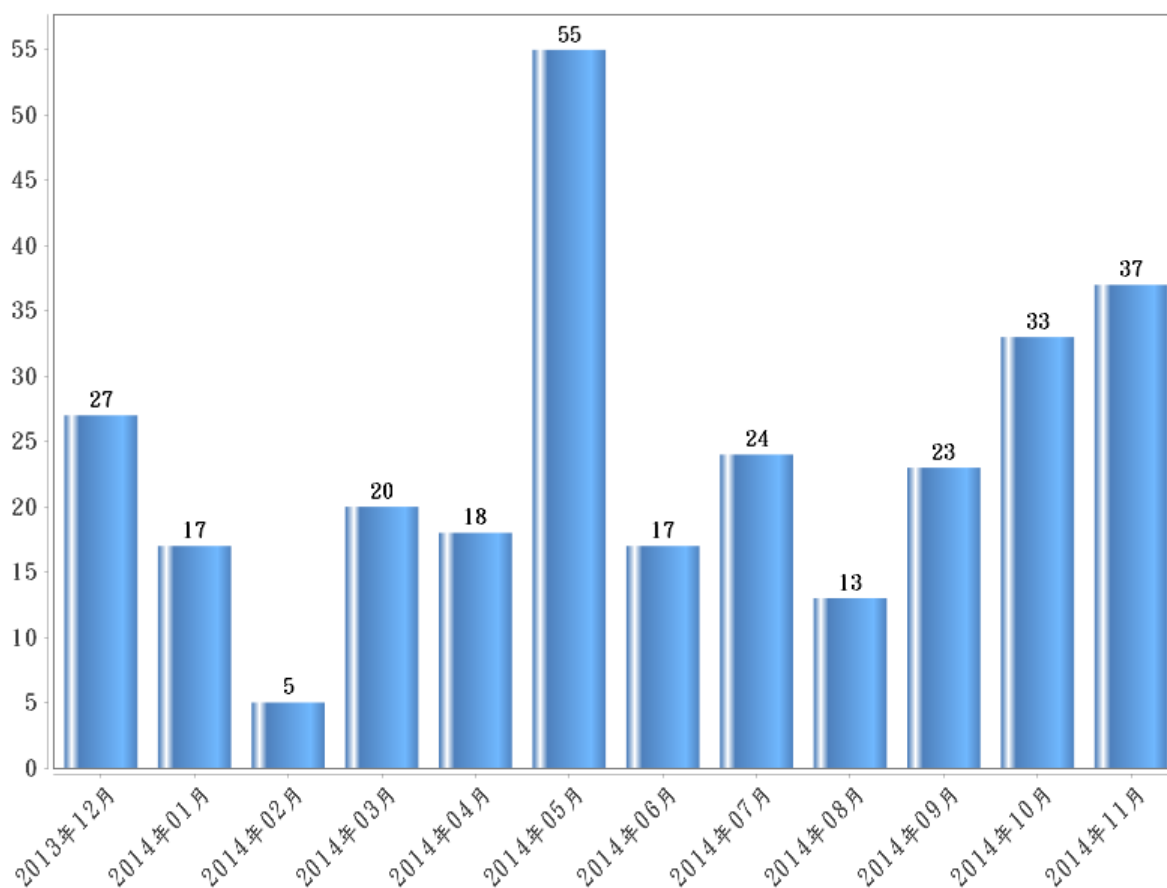
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2014 年熱門文章

排名	篇名(DOI*)	卷期	作者	次數
1	大陸觀光客購茶風險知覺影響其購買情緒及購買意願之研究	5 期 20120301	劉瓊如(Chyong-Ru Liu);廖葆禎(Bao-Chen Liao);林濰榕(Wei-Rong Lin)	79
2	The Effect of Specific Goals on EFL Students' Self-efficacy and Performance of Vocabulary Learning	5 期 20120301	張善貿(Shan-Mao Chang)	22
3	A Study of the Relationship between College EFL Learners' Vocabulary Size and Idiomatic Reading Comprehension	7 期 20130301	莊媖纓(Ying-Ying Chuang)	13
4	Taiwanese Mountain Area as Place/Landscape Presented in "Seediq Bale"	7 期 20130301	李晶菁(Chin-Ching Lee)	11
5	都市公園綠地外部性之空間分析－以臺中市為例	6 期 20120901	劉漢奎(Han-Kui Liu);陳建良(Chien-Liang Chen)	10
6	今文《尚書》的篇數與〈顧命〉、〈康王之誥〉的分合問題	7 期 20130301	黃忠慎(Chung-Shen Huang)	10
7	Using Task-based and Reader-response Approaches in Teaching Children's Literature in the ESL Classroom	6 期 20120901	鍾淑玫(Shu-Mei Chung);李美燕(Mei-Yan Lee)	10
8	篇章分析下的風格論－柯裕棻散文中的書寫特質探析	6 期 20120901	林美伶(Mei-Ling Lin)	10
9	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	7 期 20130301	蔡淑芬(Shu-Fen Tsai)	9
10	Social-Constructivist	7 期	胡依嘉(Yee-Chia Hu)	8

	Course Design and Efficacy of Teaching Translation as Language Skill-Taking a Media Translation Class as an Example	20130301		

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排名	篇名(DOI*)	卷期	作者	次數
1	大陸觀光客購茶風險知覺影響其購買情緒及購買意願之研究	5 期 20120301	劉瓊如(Chyong-Ru Liu);廖葆禎(Bao-Chen Liao);林濰榕(Wei-Rong Lin)	21
2	The Effect of Specific Goals on EFL Students' Self-efficacy and Performance of Vocabulary Learning	5 期 20120301	張善貿(Shan-Mao Chang)	13
3	心學、理學、史學兼綜之《詩》本義探尋──王應麟《詩經》學試析	5 期 20120301	胡瀚平(Han-Ping Hu);閻耀棕(Yao-Zong Yan)	9
4	都市公園綠地外部性之空間分析─以臺中市為例	6 期 20120901	劉漢奎(Han-Kui Liu);陳建良(Chien-Liang Chen)	9
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	Literature in the ESL Classroom			
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5	莊媖纓(Ying-Ying Chuang)	13
6	鍾淑玫(Shu-Mei Chung)	11
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2	華語文教學	358
3	日本	294

排名	學門關鍵字（英文）	次數
1	Taiwan	376
2	Chinese teaching	295
3	Chinese	266

學門高下載期刊熱門關鍵字

下列三表為學門下載數前三名高的期刊其熱門關鍵字排名。

- **語言學門**
- 《國文天地》

排名	期刊關鍵字（中文）	次數
1	素養	78
2	閱讀	78
3	閱讀教學	78

排名	期刊關鍵字（英文）	次數
1	Literacy	78
2	Reading	78
3	Reading Instruction	78

- 《華語文教學研究》

排名	期刊關鍵字（中文）	次數
1	華語教學	235
2	華語	220
3	隱喻	116

排名	期刊關鍵字（英文）	次數
1	Chinese teaching	185
2	Business Chinese	171
3	Chinese	154

- 《英語教學期刊》

排名	期刊關鍵字（中文）	次數
1	英語教學	229
2	國小英語教學	121
3	故事	113

排名	期刊關鍵字（英文）	次數
1	English teaching	147
2	remedial instruction	125
3	English for young learners（EYL）	113

附件一、卷期下載狀況總表

下表呈現期刊各卷期於統計區間內，各月份的被下載情況，本表可比較各卷期主題受讀者關切的程度。

*表格空白處表示本統計周期內無下載紀錄。

卷期/時間	2013/12	2014/01	2014/02	2014/03	2014/04	2014/05	2014/06	2014/07	2014/08	2014/09	2014/10	2014/11	總計
8 期 201309											2	5	**7**
7 期 201303	5	4		11	7	15	3	8	3	6	6	6	**74**
6 期 201209	11	8	4	4	4	23	5	6	2	9	7	6	**89**
5 期 201203	11	5	1	5	7	17	9	10	8	8	18	20	**119**
總計	27	17	5	20	18	55	17	24	13	23	33	37	**289**
全平台平均*	389	137	146	321	360	389	316	301	232	308	459	468	3826

*全平台期刊於 2013/12~2014/11，總被下載次數為 X 次，上線期刊數量為 Y 種，則全平台平均即為 X/Y

*表格空白處表示本統計周期內無下載紀錄。

airiti

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《國立彰化師範大學文學院學報》第十一期徵稿啟事

(投稿截止日期：中華民國103年12月31日)

中華民國104年3月出刊

一、「**國立彰化師範大學文學院學報**」（以下簡稱「本學報」)是由國立彰化師範大學文學院負責發行之學術期刊，本刊以英語、國文、地理（及休閒、觀光遊憩）、美術（暨藝術教育）、兒童英語、翻譯(口、筆譯)、台灣文學、歷史研究領域為主之學術專刊，每半年發行一次(預訂每年三、九月出版，截稿日為每年6月30日及12月31日)，舉凡相關領域之論著皆所歡迎，敬請公私立大學專、兼任教師、學術研究單位人員、博士研究生(於基本資料表上請指導教授簽名)踴躍賜稿。來稿刊出前，均經過正式之審查程序。

二、本學報除公開徵稿外，為拓展本刊視野，豐富其內容，增進其學術能量，得於不違背本學報宗旨之前提下，經總編輯(由院長擔任)推薦，經編輯委員會審定後成為特稿。

三、稿件得以英文或中文撰寫，並遵循APA及MLA最新版格式，本學報內容可能用於非商業性之複製。

四、稿件字數中文以不超過30,000為原則，英文以不超過15,000為原則；中文摘要約600字，英文摘要約350字，無論以任何語言，均請由左至右橫排。

五、稿件版面以A4紙張，註明頁碼，一律採電腦打字，並請用Word軟體編輯(12號字，中文字體以新細明體，英文字體以Times New Roman，1倍行高，中文標點符號用全形，英文標點符號用半形，邊界採用Word預設格式)。

六、來稿一律請附:中英文篇名、摘要、關鍵詞及投稿者基本資料表。

七、請將稿件電子檔以附件檔案形式電郵至coarts@cc2.ncue.edu.tw（收件人:曾盈琇小姐);另外請影印三份，連同其他文件掛號交寄至『50007 彰化市進德路一號 國立彰化師範大學文學院』。

八、本學報稿件審查採匿名雙審制，文稿中請避免出現作者相關資訊，編輯委員會斟酌審稿員意見及建議後做最後決議，未獲採用者則致函通知，恕不退稿。

九、投稿若經刊載，稿件著作權歸屬本學報，本學報亦有刪改權，投稿時需繳交「投稿授權聲明書」。本學報不接受已刊登之文章，如發生抄襲、侵犯著作權而引起糾紛，一切法律問題由投稿者自行負責。

十、來稿且刊出後，將致贈投稿者二十份抽印本及當期學報一本，並附上該論文PDF電子檔，不另支稿酬。簽署著作權授權書的稿件刊登者，其文章將收錄於國立彰化師範大學圖書館機構典藏系統、國家圖書館、南華大學彰雲嘉無盡藏學術期刊資料庫、文化部、華藝數位電子期刊資料庫、凌網科技數位出版品營運平台、遠流/智慧藏學習科技股份有限公司。

NCUE Journal of Humanities, Vol.11

Call for Papers

(Submission Deadline: Dec. 31, 2014)

1. *NCUE Journal of Humanities* (hereafter referred to as JOH) is an academic journal published by the effort of the College of Arts at National Changhua University of Education. We welcome papers and reviews on areas of English, Chinese, Geography (including environmental and tourism studies), Art (including art education), Children's English, Translation (including interpretation), Taiwan Literature and History. JOH appears twice a year, in March and September (the deadline of each will be June 30th and December 31st). Faculty members and doctoral candidates (submitting with the letters of recommendation of the advisor) of public and private universities are all welcome to contribute papers. All received papers will be sent to two peer reviewers for review at the cost of JOH.

2. Contributions should consult the format demonstrated in the latest edition of *Publication Manual of the American Psychological Association* or *The MLA Handbook for Writers of Research Papers*.

3. The manuscript should not exceed 15,000 words. The abstract should be approximately 350 words. Every contribution should be typed from left to right horizontally.

4. A4 or Letter Size paper is required for all contributions. Please use Microsoft Office Word to edit your papers. The essay should be typed in single space and in the font of Times New Roman Size 12. The punctuations should be typed in single-byte, and the margins should be in the default setting of Word.

5. All submissions should be complete with the following information: title, abstract, keywords and author's information.

6. When submitting a manuscript, please send three hard copies along with other documents to the following address:

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   50007, Taiwan, R.O.C.

   In addition, please send an electronic version in Word format to the following email address: coarts@cc2.ncue.edu.tw.

7. A submission under consideration is sent to at least two reviewers recommended by the Editorial Committee. Be sure to avoid leaving any author-related information on the manuscripts. Based on the comments and suggestions of these reviewers, the members of the Editorial Committee and the editor, who meet periodically, make final decisions. Authors of unaccepted papers will be notified, but manuscripts will not be returned.

8. Once submissions have been accepted for publication, authors shall sign an Agreement to assign property rights of their works to JOH for search, download from the Internet,

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