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復刊總編序

《國立彰化師大文學院學報》，也稱《彰化師大文學院學報》，於民國 91 年 11 月由文學院首任院長張水木創刊。之後，每年刊出一期，至民國 94 年共刊了四期各領域數十篇優質論文。今日，評鑑時代來臨，院內同仁籲請復刊，以提供大家另一優質之研究論文與個人思想之發表園地，院務會議從善如流，迅速組成編輯委員會，委員們（蔡衡、張清泉、儲湘君、劉俊蘭、陳文豪等所長主任，以及蔣筱珍、王年双、劉漢奎、王麗雁、莊世滋等教授）分頭辦理所屬業務，並隨即責令院辦進行全國徵稿。本學報雖沈寂多年，但仍引起許多學者注意以及投稿。

創刊當時，正值本院草創，且當時外審牽絆少，我注意到院內同仁投稿踴躍，每位前輩均氣定神閒地將個人研究與講學化成文字成果丟給院長，院長隨即交代助理，完成編輯工作出版，大家不必擔憂，只等著看一本本的文字結果。本刊宣佈復刊後，過去數月，院內同仁投稿者眾，外稿亦不在少數，但由於須經複雜之外審過程，發現作者心情已然改變，投稿變成一種耐心與毅力的考驗和試煉，通過者固然喜不自勝，暗呼好險，未通過者不免心犯嘀咕。察言觀色，個人內心不禁有些悵然，並為名落孫山者抱不平。然彼一時也，此一時也，祝福有志學者，均能迅速適應新時代與新策略，一起為本刊建立符合時代的出版標竿。我們相信，只要小步平穩，就有機會大步向前邁進，承繼前人，繼續為國內學界培養藝文史地哲與語言學門的新一代學者，最終挖掘有影響力的思想家。

編輯方面，除刊登外審通過的文章之外，亦將試行「總編邀稿」制度，以彌補目前外審制度之不足。本期首先邀請彰化師大國文系資深漢語語音學者耿志堅博士，請他深談族群融合時，漢詩的音韻發展如何受到影響。金元是漢語史上一個很大的轉折時期，一是首都由長安向東遷到了汴京，另一是北方阿爾泰語系的民族在北京建首，形成政治、文化的中心。由於不同民族的語言快速融合，衝擊河北、山西兩地語言區塊，尤其是入聲音是否保留，流失的狀況又如何，其實是值得深究的一個議題。文學作品中的詩歌押韻，最直接反應「韻」的流失或合併，透過本文可以發掘入聲音在中國金元時期的北方官話，以及其所表現出來的實際語音現象。另外，這篇文章將河北、山西分別獨立出來，正說明「普語區」與「北方官語」此時所呈現的差異，更對現代漢語做一個往上追溯的發現。

《國立彰化師大文學院學報》第五期復刊號之出版，得到的協助眾多，我特請主編在其序中一一致謝，這邊則需特別這樣表示誠摯心意：謝謝校長大力支持出版所需經費，謝謝一凡兄和文正兄擔任美術顧問，謝謝漢平兄的書法，也謝謝玉萱設計封面。另，主編郭鳳蘭所長帶著盈琇、若竹與郁欣每日裡不厭其煩處理編輯雜務，居功厥偉，更應在此一併致上謝忱。

國立彰化師範大學文學院
彭輝榮謹誌

2012 年 3 月

主編的話

《國立彰化師範大學文學院學報》以提供優秀且專精的學術交流園地為宗旨，歡迎學術性、有創見的文稿。除了本校文學院各系所老師及博士班學生的大力支持與投稿外，亦廣邀校外專家學者加入投稿的行列。本刊另敦請 Seikichi Ren, Michael Nylan, Guey-meei Yan 及 Andrew P. Lian 擔任國際顧問，並邀請姜翠芳、何寄澎、薛益忠、楊永源、胡潔芳、陳彥豪、陳萬益及王明珂八位學者擔任校外編輯委員，以落實嚴謹的審查機制，藉此提升本刊的學術水準。

本期共收稿件 18 篇（含特約稿 1 篇），含 8 篇外稿及 9 篇內稿。稿件來自國內公私立大學之國文相關系所、英語相關系所及地理相關系所。其中，17 篇稿件分送二至三位相關領域之校外審查委員，共計通過 9 篇，通過率為 53%，退稿率為 47%。本期共刊登 10 篇論文，其中 7 篇為本校專任教師之稿件，內稿率為 70%。本刊外審過程嚴謹，本期雖內稿獲刊比率偏高，但其實純屬偶然。

本期刊登之 10 篇論文包括：彰化師大國文系耿志堅教授〈金元河北、山西詞人入聲詞作用韻之研究〉、彰化師大國文系博士後研究簡澤峰〈從理學觀點看楊簡解《易》之特色〉、彰化師大國文系胡瀚平教授及彰化師大國文系兼任講師閻耀棕共同著作〈心學、理學、史學兼綜之《詩》本義探尋—王應麟《詩經》學試析〉、彰化師大英語系張善賢副教授〈設定明確目標對英語為外語學生單字學習的自我效能和成就表現之影響〉、靜宜大學丁玟瑛講師與彰化師大兒英所郭鳳蘭教授共同著作〈解讀縮減音—以英語歌曲作為增進口語詞彙辨識能力之利器〉、彰化師大台灣文學研究所葉連鵬助理教授〈論陳恒嘉小說寫作技巧與主題意識—以「老師」形象的創作為核心〉、銘傳大學應用英語系蔡仁傑助理教授〈「淨化」作為「說服」—以修辭推論探究亞里斯多德的悲劇論〉、彰化師大地理系環境暨觀光遊憩碩士班劉瓊如副教授、彰化師大地理系廖葆禎講師與嘉義大學觀光休閒管理研究所博士候選人林維榕〈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〉、東方設計學院應用外語系鍾淑華助理教授〈安德魯·馬威爾五首詩中的英國地景花園〉及彰化師大英語系蕭韻華助理教授〈內存之異質性—華裔美籍女性書寫〉。每篇論文均是一時之選，蔚為佳作。

本期能順利出刊，感謝所有論文投稿人、論文審查委員、以及全體文學院常務編輯委員和編輯委員的投入。本學報將秉持嚴謹專業的學術精神，期盼能繼續受到校內外專家學者的批評指導。

國立彰化師範大學文學院學報第五期主編
郭鳳蘭謹誌

2012 年 3 月

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金元河北、山西詞人入聲詞作用韻之研究

耿志堅*

摘要

入聲字從何時開始相互混用，它又是以怎樣的形式進行融合，是否從中國北方官話逐漸形成的，是研究漢語語音學學者一向好奇的主題。民國初年的學者白滌洲、魏建功即已提出他們的推論，以為入聲字逐漸消失是從中國的西北向東發展，時間大約自宋、金、元代前後。

中國河北大學劉淑學於 2000 年發表《中古入聲字——在河北方言中的讀音研究》，指出在河北 149 個縣市裡，在其西部、西北部、西南部有 33 個存在入聲音，亦即河北省、山西省交界的北、中、南共有 33 個存在入聲音。

金元兩朝係北方女真、蒙古族統治中國的北方，並以北京為首都，筆者即欲以金、元時期河北、山西兩地之「詞」為押韻現象語料，藉此探究金元河北、山西兩地在入聲音方面實際的語音現象，期能有所發現。

關鍵字：入聲詞作、金元詞、河北、山西詞人、詞韻、中古音

* 國立彰化師範大學國文系教授。
到稿日期：2011 年 12 月 23 日。

On the Application of Ru Rhyme in Poetry from Hebei and Shanxi During the Jin Dynasty

Chih-chien Keng*

Abstract

The study of Ru rhyme has always been an interesting topic for Chinese phonology scholars. When did it start intermixing, and how did it become integrated with other words? How did it gradually become intermixed with the official language from the North? After studying the early years of Min Gou (after the Qing Dynasty), the scholars Bai Di Zhou and Wei Jian Gong proposed their theory which suggested that Ru rhyme had gradually vanished when Chinese started developing from the Northwest to the East of the mainland during the Song, Jin and Yuan dynasties.

Scholar Liu Shuxue of Hebei University of China published a thesis, “Medieval Ru Rhyme—The Study of Hebei Dialect Pronunciation,” in 2000 which claimed that there are 33 Ru rhyme words in the western, northeastern and southwestern regions among the counties and cities in Hebei province. In other words, there are 33 Ru rhyme words in existance in northern, central and southern parts near the border of Hebei and Shanxi.

During the Jin and Yuan dynasties, Jurchen and Mongols ruled northern China and established their capitals in Beijing. To make a thorough study of Ru rhyme practice in phonology, the researcher proposes to explore rhyming phenomenon in prose from Hebei and Shanxi during the Jin and Yuan dynasties. It is hoped that this will lead to a major breakthrough in this field of study.

Keywords: Ru Rhyme Words, Jin Yuan Proses, Hebei, Shanxi Poets, Rhyme, Ancient Chinese

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一、前言

漢語入聲字之音讀何時消失，又消失的過程是怎樣的，這是一個極複雜的問題。魏建功〈古陰陽入三聲考〉「宋以前語言，入聲尾尚有聲隨，南宋以降日漸消失。」（魏建功，1930）文中同時藉其師錢玄同之說，對北方入聲之讀法提出意見，並對入聲字-p、-t、-k 塞音尾的演變消失作出具體之看法。此後白滌洲發表〈北音入聲演變考〉，就魏建功之說進一步闡釋，首先界定「北音就是指黃河流域各省的聲音而言，若要代表那就是北京音。」然後對於入聲字的演變消失，從《中原音韻》、《中州音韻》、《詞林韻釋》、《等切元聲》、《音韻清濁鑑》、《韻學驪珠》、《李氏音鑑》等韻書入手，考定北音自元以降，逐步消失。（白滌洲，1931）再來王力《漢語史稿》更直接指出「普通話的入聲在十四世紀已經消失了。」（王力，1958）又在《漢語語言史》裡說：「元代共有十九個韻部，……入聲韻全部消失了，併入了陰聲韻部。」（王力，1980）

由以上前賢之說，總結入聲字當自北方官話開始逐步消失，而消失的時間約自十四世紀的元朝。

當然研究音韻學，尤其是入聲字的消失，「語料」的彙整是重要的依據。白滌洲〈北音入聲演變〉裡云：「考求隋唐以後的各時代聲音，也不見得容易，有人以為有了韻書之後，研究的材料方便多多，……殊不知事實上不然，……唐宋已降，詩詞流行，散文的材料誠然加多，……文學家所作詩詞，到底用的是某處方言，很難考定，加之有了韻書以後，他們受了多少影響，也就難說。」說明了藉重韻文裡詩詞押韻的韻腳分析，是一條研究漢語發展史的途徑。

王力《漢語史稿》裡更指出：「我們有必要研究唐詩、宋詞、元曲的實際押韻，來補充和修正韻書脫離實際的地方。」肯定了以唐詩、宋詞、元曲作為研究音韻學語料的價值。

又 2000 年劉淑學發表《中古入聲字一在河北方言中的讀音研究》，書中錢曾宜在序文裡指出：「入聲字消失的特點，從地域看是自西向東逐漸擴展，從古聲母條件看是先全濁、再次濁、最後清。」（劉淑學，2000），而本書中對河北省裡入聲字音讀的發現，劉淑學云：「河北省西邊與山西接壤，北邊與內蒙古相連，處於入聲區向非入聲區的過渡地帶。河北省有 149 個縣市，至今西部及西北部、西南部 33 縣市，仍保留著入聲。」又云：「搞清楚中古入聲字在河北的讀音情況及演變規律，可以為入聲消失的途徑、官話方言的形成等重大問題的解決提供一個理論和事實根據。」

這段文句和前面學者的論述是有出入的，也引起筆者的注意，因此 2008 年 7 月彰化師大主辦聲韻學研討會時發表〈金源全真教（含王重陽與全真七子）入聲詞用韻之研究〉，發現王重陽、馬鈺在入聲詞作裡的用韻，有其規律性，即王重陽可分

四部：屋部（屋、沃、燭、陌、麥、昔、錫、職、德）、覺部（覺、藥、鐸）、質部（質、術、櫛、物、沒、緝）、月部（月、屑、薛、曷、末、黠、鎋、葉、怗、業、合、盍、洽、狎、乏）；馬鈺亦可分四部，屋部（屋、沃、燭）、覺部（覺、藥、鐸）、質部（質、術、櫛、物、沒、陌、麥、昔、錫、職、德、緝）、月部（月、屑、薛、曷、末、黠、鎋、葉、怗、業、合、盍、洽、狎、乏），而兩人的月部若依押韻常例又可再分成二部，即月部（月、屑、薛、葉、怗、業）、曷部（曷、末、黠、鎋、合、盍、洽、狎、乏）。顯然入聲字在金源時期的山東牟平縣是存在的，其一致的現象是-p尾一律併入-t尾，-k尾覺部獨立。唯-k尾屋部、-t尾質部在分合上有所差異。

基於想在入聲韻字的分合與消失，再做發現，是以撰作本文〈金元河北、山西詞人入聲詞作用韻之研究〉，來印證前賢之推論，以及劉淑學大作中的一些問題。

二、 金元河北、山西詞人入聲詞用韻之統計與發現

金元河北、山西詞人在以入聲押韻的詞作裡，筆者根據北京中華書局排印本唐圭璋編之《全金元詞》為底本，進行韻腳的翻查與統計。由於撰寫詞韻譜勢必佔據數萬字之篇幅，因此僅就翻查後之結果，以統計數字將韻腳押韻所呈現的分合，作成統計表將現象顯示出來。

又有關金元詞作在入聲用韻的情形，為使讀者明顯的看出差異，本文裡筆者將河北、山西詞人作成二表，作分別之統計如下：

（一）河北詞人入聲詞作押韻統計表

《全金元詞》所收錄河北詞人詞作出現以入聲押韻的詞人有：蔡松年、王寂、趙秉文（金源詞人），李治、劉秉忠、白樸、魏初、張之翰、盧摯（元代詞人）。

| 人 名 里 籍 韻 譜 年 代 | 蔡松年 | 王寂 | 趙秉文 | 李治 | 劉秉忠 | 白樸 | 魏初 | 張之翰 | 盧摯 |
|--------------------------|-------------|-------------|------------|-------------|-------------|-------------|----------------|-------------|------------|
| | (正定縣) 真定 | (玉田縣) 玉田 | (磁縣) 滏陽 | (樂城縣) 樂城 | (邢台縣) 邢州 | (正定縣) 真定 | (弘州、順聖) 陽原縣 | (邯鄲市) 邯鄲 | (涿縣) 涿郡 |
| | 金 | 金 | 金 | 元 | 元 | 元 | 元 | 元 | 元 |
| 屋沃燭 | | | 1 | | | | | | |
| 屋沃燭沒 | | | | | | | | 1 | |
| 屋沃物 | | | | | | 1 | | | |
| 屋燭 | 3 | 1 | | | 1 | 1 | | | |
| 燭 | 1 | | | | | | | | |

| | 蔡松年 | 王寂 | 趙秉文 | 李治 | 劉秉忠 | 白樸 | 魏初 | 張之翰 | 盧摯 |
|------------|-----|----|-----|----|-----|----|----|-----|----|
| 覺 | | | | | | 1 | | | |
| 覺末藥鐸 | | | | | | | | 1 | |
| 藥鐸 | 1 | | | | 2 | | 1 | | |
| 覺藥鐸 | 1 | | | | | | 1 | | |
| 鐸 | 1 | | | | | | | | |
| 質術沒昔職德 | 1 | | | | | | | | |
| 質術錫緝 | | | | | | 2 | | | |
| 質物月麥錫職德 | 1 | | | | | | | | |
| 質陌職 | 1 | | | | | | | | |
| 質麥昔職緝 | | | | | | | | 1 | |
| 質昔 | | | | | | 1 | | | |
| 質昔錫 | 1 | | | | | | | | |
| 質昔錫職 | | | | | | | | | 1 |
| 質昔錫職德 | | | | | 1 | | | | |
| 質昔錫德緝 | | | | | | | 1 | 1 | |
| 質昔職德緝 | | | | | | 1 | | | |
| 物月沒薛陌 | | | | | | | 1 | | |
| 物月薛昔 | 1 | | | | | | | | |
| 物月薛錫 | 1 | | 1 | | | 2 | | 1 | |
| 物沒陌昔錫緝 | 1 | | | | | | | | |
| 月沒末陌昔職緝 | 1 | | | | | | | | |
| 月沒鐸昔職業 | | | | | | | 1 | | |
| 月屑 | | | | | 1 | | | | |
| 月屑薛 | 1 | | | | | | 1 | | |
| 月屑薛末業 | | 1 | | | | | | | |
| 月屑薛鐸陌昔錫葉盍業 | 1 | | | | | | | | |
| 月屑薛陌 | | | | | | 1 | | | |
| 月屑薛陌麥 | | | | | | | | 1 | |
| 月屑薛葉 | | | | | | 1 | | | |
| 月屑薛業 | | | | | | | 1 | | |

| | 蔡松年 | 王寂 | 趙秉文 | 李治 | 劉秉忠 | 白樸 | 魏初 | 張之翰 | 盧摯 |
|----------|-----|----|-----|----|-----|----|----|-----|----|
| 月屑陌職 | | | | | 1 | | | | |
| 月薛 | 1 | | | 1 | | | | | |
| 月薛陌昔職德 | 1 | | | | | | | | |
| 月昔職 | 1 | | | | | | | | |
| 屑薛 | | | | | | | 1 | | |
| 屑薛陌 | | | | | | | | 1 | |
| 屑薛陌麥 | | | | | | | | 1 | |
| 屑薛陌麥昔職葉 | 1 | | | | | | | | |
| 屑薛佔 | | | | | | | | | 1 |
| 薛 | | | 1 | | | | | | |
| 薛陌昔錫職德緝 | 1 | | | | | | | | |
| 末黠合洽狎（馬） | | 1 | | | | | | | |
| 陌 | | 1 | | | | | | | |
| 陌麥昔 | | 1 | | | | | | | |
| 陌麥職 | 1 | | | | | 1 | | | |
| 陌昔 | 1 | | | | | | | | |
| 陌昔錫職緝 | 1 | | | | | | | | |
| 陌昔錫德緝 | | 1 | | | | | | | |
| 陌昔洽 | | | 1 | | | | | | |
| 昔 | 1 | | | | | | | | |
| 昔錫 | 2 | 2 | | | | | | | |
| 昔錫職緝 | | | | | | | 1 | | |
| 昔職 | | 1 | | | | | | | |
| 昔職德緝 | | | | | | 1 | | | |
| 錫 | | | | 1 | | | | | |
| 緝 | | 1 | | | | | | | |

（二）山西詞人入聲詞作押韻統計表

《全金元詞》所收錄山西詞人其詞作出現有以入聲押韻的詞人有：元德明、趙

可、李獻能、王特起、李俊明、元好問、段克己、段成己 8 位，皆為金源詞人。

| 人 名 里 籍 年 代 韻 譜 | 元德明 | 趙可 | 李獻能 | 王特起 | 李俊明 | 元好問 | 段克己 | 段成己 |
|--------------------------|---------|---------|---------|--------|---------|---------|---------|---------|
| | (忻州秀容市) | (高平高平縣) | (永濟河中縣) | (渾源崞縣) | (晉城澤州縣) | (忻州秀容市) | (稷山河東縣) | (稷山河東縣) |
| | 金 | 金 | 金 | 金 | 金 | 金 | 金 | 金 |
| 屋燭 | | | | 1 | | 4 | | |
| 屋燭陌昔緝 | | | | | | | 1 | 1 |
| 屋月沒薛 | | | | | | 1 | | |
| 覺 | | | | | 1 | | | |
| 覺藥鐸 | | 1 | | | | 4 | | |
| 藥鐸 | | | | | 2 | 1 | | |
| 質屑陌昔緝 | | | | | | | 1 | 1 |
| 質薛陌昔職 | | | | | | | 1 | |
| 質陌麥昔職 | | | | | | 1 | | |
| 質陌麥昔職德 | | | | | 1 | | | |
| 質陌昔錫職緝 | | | | | | 1 | | |
| 質陌昔職德 | | | | | | 1 | | |
| 質陌昔職緝 | | | | | 1 | | | |
| 質昔錫職德 | | | | | | 2 | | |
| 質昔錫職緝 | | | | | | 1 | | |
| 質昔錫職德緝 | | | | | | 1 | | |
| 術陌昔錫職 | | | | | 1 | | | |
| 物月沒黠末 | | | | | | 1 | | |
| 物月薛錫 | | | | | | 1 | | |
| 物月黠末屑 | | | | | | 1 | | |
| 月沒屑薛陌 | | | | 1 | | | | |
| 月沒黠屑薛陌 | | | | | 1 | | | |
| 月曷屑薛 | | | | | | 1 | | |
| 月屑薛 | | | | | | 1 | | |

| | 元德明 | 趙可 | 李獻能 | 王特起 | 李俊明 | 元好問 | 段克己 | 段成己 |
|--------|-----|----|-----|-----|-----|-----|-----|-----|
| 月屑薛藥陌葉 | | | | | 1 | | | |
| 月屑薛陌 | | | | | 1 | | 1 | |
| 月屑薛麥職 | | | | | | | 1 | |
| 月屑薛佔 | | | | | 1 | | | |
| 月薛 | 1 | | | | | | | |
| 月薛黠葉佔 | | | 1 | | | | | |
| 葉佔業 | | | | 1 | | | | |
| 陌昔錫德 | | | | | 1 | | | |
| 陌昔錫職德 | | | | | 1 | | | |
| 陌昔職 | | | | | | 1 | | |
| 陌昔職德 | | | | | 1 | | 1 | 1 |
| 陌職 | | | | 1 | | | | |
| 昔職 | | | | | | 2 | | |
| 昔緝 | | | | 1 | | | | |
| 德 | | | | | | 1 | | |

從前面這兩個統計表裡可以發現，河北詞人所留下來的入聲押韻之詞作，以蔡松年為最多，山西詞人則為李俊民、元好問，而其他詞人所留下來的入聲詞作數量則較少，尤其是元代詞人，不僅詞作量少，入聲詞作更是有限。

總結來說，由統計表裡依然可以看出，金源河北詞人押入聲的詞作用韻，可分為四部，與筆者先前之作〈金源全真教（含王重陽與全真七子）入聲詞作用韻之研究〉相近似，不過較王重陽、馬鈺更寬鬆一些，依其用韻之常例，可將韻部分為四類。即：

1. 屋部：屋、沃、燭
2. 覺部：覺、藥、鐸
3. 質部：質、術、(櫛)、物、(沒)、陌、麥、昔、錫、職、德、緝
4. 月部：月、屑、薛、曷、末、黠、鎋、葉、佔、業、合、盍、洽、狎、(乏)

至於元代的河北詞人，即使入聲詞作所保留的有限，仍可清楚的發現，一向很特殊的屋部、覺部，這兩部幾乎是獨立不和其他韻部相混的，若以作品最多的蔡松年來做檢視，質部、月部混用有 6 次，但未見與屋部、覺部合用之作。而在元代的詞作裡，則出現屋部、覺部與質部通押 3 次，即：屋沃燭沒（張之翰）、屋沃物（白樸）、末藥鐸（張之翰）合用的韻例。說明了河北地區的入聲字，在金源時期即使已

經開始混用，但仍有部分入聲韻是被保留的。唯入元以後全部混用，致使-p、-t、-k 三塞音尾相互通押。因為詞作中只發現一首（金）王寂以「陌黠合洽狎（馬）」合用的陰入通押之作，所以推論此時入聲字並未完全消失。

至於山西詞人的入聲詞作，明顯的可以看出以李俊明、元好問的作品最多，但只能勉強將其用韻分為三部，即：屋部、覺部、質（月）部。若仔細分析，屋部在元好問、段克己、段成己已經分別和質（月）部通押。而李俊明則有一首以藥韻與質（月）部合用的韻例。其他則-p、-t、-k 屬臻、山、梗、曾、深、咸六攝的字全混。因為未見與陰聲各韻的混用現象，推論此時山西地區的入聲字應該依然存在，只是有可能一律讀為短促的喉塞音。

這個現象也證實了前賢的主張，入聲字的消失是從西向東逐漸經由-p、-t、-k 的混用，在逐漸消失併入陰聲尾各韻。

三、 特殊押韻韻例之分析

前文於統計表中，所呈現入聲各韻部押韻之常例，筆者將之統整為四部。然而金元詞人中入聲詞作保留下來較多者，大多成現有特殊押韻之韻例，這顯示了-p、-t、-k 三塞音韻尾之間已經開始混用，並且逐漸消失。在元·周德清《中原音韻》裡，已將入聲字併入陰聲各韻部裡，能否即說明《中原音韻》反應了當時實際的語音現象，尤其入聲字韻部的分合，是否完全符合《中原音韻》的範圍，這是一個極為嚴肅的問題。

是以筆者於本小節裡，將金元河北、山西入聲詞作用韻之特殊韻例，以《中原音韻》的韻部為依據，再次將入聲詞用韻之詞韻譜作歸納，藉此觀察這些韻例與《中原音韻》韻部之差異。

又《中原音韻》在韻部內的韻字，多有一字分別見於兩韻部之現象，如《廣韻》陌韻的「客」字，《中原音韻》分別出現於皆來、車遮兩韻；屋韻的「竹」字，分別見於魚模、尤侯兩韻；鐸韻的「索」字，分別見於皆來、蕭豪兩韻。下文中凡遇此現象時，則依整首詞作裡多數用字之韻例為主。如上下韻字多為「魚模」韻時，某字具「魚模」及「皆來」二音讀，則判定為「魚模」韻，如：蔡松年〈滿江紅·伯平舍人親友得意西歸〉，在韻字裡「屋目獨玉祿沐」皆為「魚模」韻，而其他韻字「肅麴竹」則有「魚模」、「尤侯」兩種音讀，本文一律將之歸入「魚模」韻。

又為明顯看出河北、山西入聲詞作用韻之差異，因此下文裡所引錄之合韻譜仍依前例，將河北、山西之入聲詞特殊之韻例，分別為二部分作陳述。

（一）金元河北詞人入聲詞作特殊韻例合韻譜

屋沃燭沒合用

張之翰〈滿江紅·寄張蘭山〉

宿（屋）屋（屋）獨（屋）讀（屋）足（燭）篤（沃）鶻（沒）逐（屋）複（屋）
——皆屬「魚模」韻

屋沃物合用

白樸〈滿江紅・庚戌春別燕城〉

物（物）獨（屋）曲（燭）續（燭）促（燭）綠（燭）卜（屋）玉（燭）復（屋）
——皆屬「魚模」韻

覺末藥鐸合用

張之翰〈滿江紅・益都時習閣睡起〉

著（藥）閣（鐸）薄（鐸）却（藥）豁（末）廓（鐸）酌（藥）角（覺）約（藥）
——皆屬「蕭宵」韻

質物月麥錫職德合用

蔡松年〈念奴嬌・辛亥新正五日〉

物（物）月（月）寂（錫）識（職）力（職）日（質）北（德）策（麥）
——為「魚模」（物）、「車遮」（月）、「齊微」（寂識力北日）、「皆來」（策）
合用

物月沒薛陌合用

魏初〈念奴嬌・為王約齋紹明壽〉

物（物）客（陌）雪（薛）傑（薛）發（月）骨（沒）髮（月）月（月）
——為「魚模」（物骨）、「車遮」（客雪傑月）、「家麻」（發髮）合用

物月薛昔合用

蔡松年〈念奴嬌・還都後諸公見迫和赤壁詞〉

物（物）壁（昔）雪（薛）傑（薛）發（月）滅（薛）髮（月）月（月）
——為「魚模」（物）、「齊微」（壁）、「車遮」（雪傑滅月）、「家麻」（發髮）
合用

物月薛錫合用

蔡松年〈念奴嬌・僕來京洛三年未嘗飽見春物〉

物（物）壁（錫）雪（薛）傑（薛）發（月）滅（薛）髮（月）月（月）
——以下三首所用韻字與本首完全相同

趙秉文〈大江東去・用東坡先生韻〉

物（物）壁（錫）雪（薛）傑（薛）發（月）滅（薛）髮（月）月（月）

白樸〈念奴嬌・題鎮江多景樓〉及〈念奴嬌・無題〉

物（物）壁（錫）雪（薛）傑（薛）發（月）滅（薛）髮（月）月（月）

張之翰〈酹江月・賦濟南風景〉

物（物）壁（錫）雪（薛）傑（薛）發（月）滅（薛）髮（月）月（月）
——為「魚模」（物）、「齊微」（壁）、「車遮」（雪傑滅月）、「家麻」（發髮）
合用

月沒末陌昔職緝合用

蔡松年〈滿江紅・舅氏丹房先生〉

骨（沒）月（月）窄（陌）客（陌）活（末）色（職）璧（昔）碧（昔）吸（緝）
——為「魚模」（骨）、「車遮」（月客）、「皆來」（窄色）、「歌戈」（活）、「齊微」（璧碧吸）合用

月沒鐸昔職業合用

魏初〈石州慢・留別雷御史〉

錯（鐸）益（昔）業（業）月（月）惜（昔）役（昔）髮（月）沒（沒）色（職）
——為「蕭豪」（錯）、「齊微」（益惜役）、「車遮」（業月）、「家麻」（髮）、「魚模」（沒）、「皆來」（色）合用

月屑薛末業合用

王寂〈大江東去・美人〉

抹（末）怯（業）徹（薛）雪（薛）月（月）結（屑）轆（月）折（薛）
——為「家麻」（抹轆）與「車遮」（怯徹雪月結折）合用

月屑薛鐸陌昔錫葉盍業合用

蔡松年〈江神子慢・賦瑞香〉

葉（葉）節（屑）潔（屑）魄（陌）碧（昔）月（月）絕（薛）泊（鐸）歇（月）
迹（昔）榻（盍）寂（錫）劫（業）客（陌）
——為「車遮」（葉節潔月絕歇劫客）、「蕭豪」（魄泊）、「齊微」（碧迹寂）、「家麻」（榻）合用

月屑薛陌合用

白樸〈滿江紅・題呂仙祠飛吟亭壁〉

客（陌）別（薛）血（屑）歇（月）結（屑）月（月）傑（薛）雪（薛）說（薛）
——皆屬「車遮」韻

月屑薛陌麥合用

張之翰〈酹江月〉

節（屑）澈（薛）隔（麥）裂（薛）客（陌）徹（薛）說（薛）月（月）
——為「車遮」（節澈裂客徹說月）與「皆來」（隔）合用

月屑陌職合用

劉秉忠〈秦月樓〉

側（職）陌（陌）陌（陌）色（職）結（屑）月（月）月（月）客（陌）
——為「車遮」（結月客）與「皆來」（側陌色）合用

月薛陌昔職德合用

蔡松年〈念奴嬌・別仲亨〉

北（德）璧（昔）力（職）逼（職）赤（昔）雪（薛）月（月）客（陌）
——為「齊微」（北璧力逼赤）與「車遮」（雪月客）合用

月昔職合用

蔡松年〈聲聲慢・涼陘寄內〉

色（職）夕（昔）役（昔）力（職）月（月）息（職）石（昔）碧（昔）
——為「皆來」（職）、「齊微」（夕役力息石碧）、「車遮」（月）合用

屑薛陌合用

張之翰〈萬年春・案此即點絳唇調〉

徹（薛）雪（薛）說（薛）客（陌）節（屑）陌（陌）

——為「車遮」（徹雪說客節）與「皆來」（陌）合用

屑薛陌麥合用

張之翰〈滿江紅・送劉叔謙御史〉

客（陌）節（屑）隔（麥）陌（陌）鐵（屑）別（薛）折（薛）策（麥）說（薛）

——為「車遮」（客節鐵別折說）與「皆來」（隔陌策）合用

屑薛陌麥昔職葉合用

蔡松年〈石州慢・毛澤民嘗九日以微疾不飲酒〉

碧（昔）擘（麥）節（屑）葉（葉）絕（薛）迹（昔）役（昔）側（職）客（陌）

——為「齊微」（碧迹役）、「皆來」（擘側）、「車遮」（節葉絕客）合用

薛陌昔錫職德緝合用

蔡松年〈念奴嬌〉

識（職）食（職）溼（緝）笛（錫）釋（昔）得（德）客（陌）雪（薛）

——為「齊微」（視食溼笛釋得）與「車遮」（客雪）合用

末黠合洽狎（馬）合用——「陰入」通押

王寂〈感皇恩・有贈〉

抹（末）帀（合）甲（狎）八（黠）恰（洽）啞（馬）滑（黠）插（洽）

——皆屬「家麻」韻

（二）金元河北詞人入聲詞作特殊韻例合韻譜

屋燭陌昔緝合用

段克己〈滿江紅・登河中鸛雀樓〉

矗（屋）續（燭）跡（昔）急（緝）客（陌）昔（昔）碧（昔）窄（陌）

段成己〈滿江紅・偶親春事闌珊〉

矗（屋）續（燭）跡（昔）急（緝）客（陌）昔（昔）碧（昔）窄（陌）

——為「魚模」（矗續）、「齊微」（跡急昔碧）、「車遮」（客）、「皆來」（窄）合用

屋月沒薛合用

元好問〈念奴嬌・飲渾源岳神仙會〉

傑（薛）月（月）復（屋）歿（沒）沒（沒）闕（月）髮（月）樾（月）

——為「車遮」（傑月闕樾）、「魚模」（復歿沒）、「家麻」（髮）合用

質屑陌昔緝合用

段克己〈滿江紅・遯菴主人植菊階下〉

射（昔）質（質）潔（屑）惜（昔）白（陌）昔（昔）節（屑）立（緝）泣（緝）

段成己〈滿江紅・遯菴兄以閔菊樂府見示〉

射（昔）質（質）潔（屑）惜（昔）白（陌）昔（昔）節（屑）立（緝）泣（緝）

——為「齊微」(射質惜昔立泣)、「車遮」(潔節)、「皆來」(白)合用
質薛陌昔職合用

段克己〈滿江紅〉

客(陌)食(職)億(職)昔(昔)說(薛)臆(職)息(職)日(質)識(職)

——為「車遮」(客說)與「齊微」(食億昔臆息日識)合用

物月沒黠末合用

元好問〈滿江紅・嵩山中作〉

沒(沒)髮(月)闕(月)骨(沒)發(月)滑(黠)末(末)物(物)月(月)

——為「魚模」(沒骨物)、「家麻」(髮發滑)、「車遮」(闕月)、「歌戈」(末)
合用

物月薛錫合用

元好問〈念奴嬌・欽叔欽用避兵太華絕頂〉

物(物)壁(錫)雪(薛)傑(薛)發(月)滅(薛)髮(月)月(月)

——為「魚模」(物)、「齊微」(壁)、「車遮」(雪傑滅月)、「家麻」(發髮)
合用

物月黠末屑合用

元好問〈滿江紅・再過水南〉

節(屑)闕(月)發(月)髮(月)撥(末)滑(黠)豁(末)物(物)缺(屑)

——為「車遮」(節闕缺)、「家麻」(發髮滑)、「歌戈」(撥豁)、「魚模」(物)
合用

月沒屑薛陌合用

王特起〈喜遷鶯・賀人生第三子〉

傑(薛)節(屑)崛(沒)薛(薛)愜(怙)百(陌)業(業)揭(月)接(葉)

——為「車遮」(傑節薛愜業揭接)、「魚模」(崛)、「皆來」(百)合用

月沒黠屑薛陌合用

李俊明〈謁金門・贈教授李勉之〉

歇(月)節(屑)滑(黠)潔(屑)沒(沒)缺(屑)客(陌)說(薛)

——為「車遮」(歇節潔沒缺客說)與「家麻」(滑)合用

月曷屑薛合用

元好問〈折丹桂〉

節(屑)發(月)裂(薛)列(薛)遏(曷)月(月)

——為「車遮」(節裂列月)、「家麻」(發)、「皆來」(遏)合用

月屑薛藥陌葉合用

李俊明〈感皇恩・楊成之生朝四月初三日〉

切(屑)葉(葉)雪(薛)節(屑)酌(藥)客(陌)月(月)結(屑)

——為「車遮」(切葉雪節客月結)與「蕭豪」(酌)合用

月屑薛陌合用

李俊明〈謁金門・西齋得梅數枝〉

徹（薛）折（薛）別（薛）月（月）節（屑）雪（薛）客（陌）鐵（屑）

——皆屬「車遮」韻

段克己〈大江東去・送楊國瑞西行〉

沅（屑）發（月）別（薛）闕（屑）屑（屑）鐵（屑）白（陌）說（薛）

——為「車遮」（沅別闕屑鐵說）、「家麻」（發）、「皆來」（白）合用

月屑薛麥職合用

段克己〈滿江紅・過汴梁故宮城〉

色（職）裂（薛）策（麥）闕（月）絕（薛）血（屑）別（薛）月（月）咽（屑）

——為「皆來」（色策）與「車遮」（裂闕絕血別月咽）合用

月薛黠業帖合用

李獻能〈春草碧〉

月（月）雪（薛）葉（葉）轡（月）絕（薛）髮（月）滑（黠）蝶（帖）

——為「車遮」（月雪葉絕蝶）與「家麻」（轡髮滑）合用

以上根據《中原音韻》所作的兩個合韻譜，可以得到以下的統計：

（一）在河北詞人部分：

1. 獨用部分有：魚模 2 次，蕭豪 1 次，家麻 1 次，車遮 4 次。
2. 合用部分有：
 - （1）齊微、魚模、皆來、蕭豪、家麻、車遮合用 1 次
 - （2）齊微、魚模、皆來、歌戈、車遮合用 1 次
 - （3）齊微、魚模、皆來、車遮合用 1 次
 - （4）齊微、魚模、家麻、車遮合用 5 次
 - （5）齊微、皆來合用 1 次
 - （6）齊微、皆來、車遮合用 2 次
 - （7）齊微、蕭豪、家麻、車遮合用 1 次
 - （8）齊微、車遮合用 2 次
 - （9）魚模、家麻、車遮合用 1 次
 - （10）皆來、車遮合用 4 次
 - （11）家麻、車遮合用 1 次

（二）在山西詞人部分：

1. 獨用部分有：家麻 1 次
2. 合用部分有：
 - （1）齊微、魚模、皆來、車遮合用 1 次
 - （2）齊微、魚模、家麻、車遮合用 1 次
 - （3）齊微、皆來、車遮合用 3 次
 - （4）齊微、車遮合用 3 次
 - （5）魚模、皆來、車遮合用 1 次

- (6) 魚模、歌戈、車遮、家麻合用 2 次
- (7) 魚模、車遮、家麻合用 1 次
- (8) 皆來、車遮合用 2 次

在以上的韻例之中，可以發現《中原音韻》裡的 9 個陰聲韻部，並未出現押「支思」韻字之作，經檢視全部河北、山西詞人之詞作用韻，也只有蔡松年用了兩次「支思」韻字，即〈念奴嬌·無題〉及〈念奴嬌·次許丹房印〉兩闕詞中各有一個韻腳押「食」字，但這個字亦見於「齊微」韻，另外在《全金元詞》裡亦復如此，這說明有可能入聲字在消失時，屬「支思」韻音讀的韻字甚少，且多為詞人不常用之字，才會有如此的押韻現象。

此外在河北詞人的入聲韻詞作裡，押韻之詞例依《中原音韻》的陰聲尾各韻部來看，它們竟然是其他八部之間完全混用通押，而山西詞人亦不例外，並無明顯的獨用或合用的常例。這也是一項令人訝異的發現。若由這個角度來看《中原音韻》裡韻部的分合，是否顯示了它與金元河北、山西的實際語音在入聲字方面，是不相同的，也就是說河北、山西的入聲字音讀有可能都一律發喉塞音尾，並且沒有和陰聲尾各韻之字完全相混，仍有其實際的發音特點。

再又筆者於河北、山西詞人的詞作裡，發現如：蔡松年〈念奴嬌·僕來京洛三年未嘗飽見春物〉、趙秉文〈大江東去·用東坡先生韻〉、白樸〈念奴嬌·題鎮江多景樓〉及〈念奴嬌·無題〉、張之翰〈酹江月·賦濟南風景〉等五闕詞，韻腳用字完全相同，為《廣韻》物、月、薛、錫合用，《中原音韻》為魚模、齊微、家麻、車遮合用。值得注意的是第二闕趙秉文的〈用東坡先生韻〉，說明了這闕詞是借用蘇東坡的〈念奴嬌·赤壁懷古〉的韻腳，此外又如全真七子裡馬鈺〈五靈妙山·借柳詞韻〉，即是和柳永的韻腳。這類「和詞」、「用某人韻」之作，金元詞中甚多，從這個角度來看，入聲字的混用已經不只是河北、山西詞人的問題，兩宋詞人之用韻，一樣需要彙整，然後相互比較，才能進一步看出入聲字於漢語方音裡在混用程度上的差異。

四、 結論

中國自周、秦、兩漢、隋唐以來一直以山西、陝西為漢民族的文化重心，尤其在漢、唐時期以長安為首都，無形中長安音系的語言，自然成為讀書人彼此交流的依據，也就是當時的官話。然而至北宋將首都向東遷移至河南汴京以後，似乎顯示出漢民族的武力不再如過去的強盛。是以從宋欽宗時的靖康之難，南宋高宗將首都南遷起，接踵而來的是女真族的金朝入主中國的北方，並於北京建都。自此以後，中國的各個朝代皆一致以此為行政中心，所以又逐漸形成了另一個以北京音系為主的官話。

金、元為入主中國的異族皆屬阿爾泰語系之民族，但金人進入中原以後，因襲遼宋舊制大興科舉考試，加速的促進了民族語言及民族文化的融合，影響所及以河

北、山西應該最為直接，令人好奇的是入聲字的音讀，是否係為女真族及後來蒙古人所影響，因此從金元詩詞用韻入手，正可一窺究竟。

在魯國堯〈論宋詞韻及其與金元詞韻的比較〉一文裡，將兩宋金元十一位詞家之詞韻做成比較表，在這個比較表裡約略分各家入聲詞之韻部為四部，即：鐸覺部、屋燭部、德質部、月帖部，由其比較表中的陳列，可以看出入聲四部只有宋代詞人柳永、周邦彥之詞作完全吻合，而朱敦儒、元好問、張翥則為德質部與月帖部合叶或偶叶，最特殊的是辛棄疾、吳文英為四部間彼此相互合叶或偶叶，同時再又與陰聲韻偶叶。蘇軾為鐸覺部與德質部、月帖部偶叶，而月帖部、德質部則為合叶。同時又有陰入混押之作，其他元代詞人白樸、張可久則只有屋燭、德質、月帖三部，唯彼此間並無合叶之作。

筆者於本論文中，發現河北、山西詞人之入聲詞作，其押韻之現象亦約略區分為四部，與魯教授所云相同，故亦仿魯教授之大作做成比較表，以金元河北、山西詞人入聲詞作較多者，將之填入比較表中，以便一目了然其個別之差異。

(一) 山西詞人

| | | | | | | | |
|-----|--------------------|---|----|---|----|---|--------|
| 蔡松年 | 屋 | 覺 | 偶叶 | 質 | 合叶 | 月 | |
| 王 寂 | 屋 | | | 質 | 偶叶 | 月 | 與陰聲韻偶叶 |
| 趙秉文 | 屋 | | | 質 | 偶叶 | 月 | |
| 白 樸 | 屋 與偶 質叶 部 | 覺 | | 質 | 偶叶 | 月 | |
| 張之翰 | 屋 與偶 質叶 部 | 覺 | 偶叶 | 質 | 偶叶 | 月 | |

(二) 河北詞人

| | | | | | | | |
|-----|----------------------|----------------------|--|---|----|---|--|
| 李俊明 | | 覺 與月 質部 偶、叶 | | 質 | 偶叶 | 月 | |
| 元好問 | 屋 與月 質部 偶、叶 | | | 質 | 偶叶 | 月 | |
| 段克己 | 屋 與偶 質叶 部 | | | 質 | 偶叶 | 月 | |
| 段成己 | 屋 與偶 質叶 部 | | | 質 | | | |

經由這兩個比較表，對河北、山西詞人的入聲詞作，可以明顯看出質、月兩部已經彼此混用通押，至於屋部則亦有少數韻倒是通質、月兩部的，又覺部河北詞人張之翰，山西詞人李俊明的詞例中亦有偶通質、月兩部。由此可見，入聲韻尾之各

韻在河北、山西這兩個地區正在逐漸步入全面混用，極有可能所呈現出來的音讀只是短促的喉塞音了。

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從理學觀點看楊簡解《易》之特色

簡澤峰*

摘要

理學的發展造就了宋代的學術特色，與前代相比，最大的特色就在於學者們賦予經典的不同解釋，尤其是心性天理等方面。受到佛道的刺激與影響，讓不少儒家學者試圖從傳統的經典中尋找可與釋、道外教相評比的思想，更積極的開發經典新的意涵。作為心學大師陸九淵的弟子，楊簡是少數心學家中積極從事經典注疏的學者，其詮解的經典涵蓋了《詩經》《易經》《春秋》《論語》《孝經》等，約共 79 卷，然而卻因為他特殊的解釋觀點，引來了不少批評。《楊氏易傳》便是其中備受批評的一本（為方便論述，底下簡稱為《楊傳》）。四庫館臣在論述楊簡這本解《易》的著作時說，就提出不同的意見。

先不論《四庫全書總目提要》的批評是否客觀，然而他的說法卻是代表了一種多數的意見，一種對《楊傳》的普遍印象。這種僅止於印象似的批評無法看清事實，也無法全面掌握楊簡該書的全貌。因此，筆者擬由解經的方法來詮析《楊傳》，藉由分析楊簡詮釋《易傳》的方法來看待《楊傳》一書的特點及衍生的缺失。透過全面的整理與瀏覽，筆者從「一」統「萬」之說入手，論析楊簡解《易》的特點，並釐清此「一」的內涵與由「一」以解《易》可能遭遇的困難。

關鍵字：楊簡、易經、詮釋、心學、主「一」

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Neo-Confucianist Viewpoints of the Characteristics of Yang Jian's Annotation of the *Classic of Changes*

Tse-feng Chien *

Abstract

The development of neo-confucianism determined the academic characteristics of the Song Dynasty. Compared with the previous generation, the most important is that scholars have different interpretations of the classics, especially for the aspects of disposition, heavenly principle and so on. Because of the stimulus and influence of Buddhism and Taoism, many confucianists tried to find from traditional classics, new thoughts to be assessed side by side with Buddhism and Taoism, and had been more actively developing new meaning for classics.

As a disciple of Lu Jiuyuan, a master in the school of mind, Yang Jian is one of the few scholars who is actively engaged in classic annotation. The classics he annotated include the *Classic of Poetry*, *Classic of Changes*, *Spring and Autumn Annals*, *The Analects*, *Classic of Filial Piety*, etc., a total of 79 volumes. Yet, he was much criticized because of his unusual viewpoint. *Yang's Annotation of the "Classic of Changes"*, referred to as *Yang's Annotation* below, is one of his works which had received severe criticism. The editor of "*Siku Quanshu*" (the *Imperial Collection of Four*), for instance, put forward different opinions from Yang's when discussing his annotation of *Classic of Changes*. Whether *Siku Quanshu Zongmu Tiyao* (*Summary of Imperial Library*) is objective or not, its argument represented the opinion held by the majority of scholars, general impression of *Yang's Annotation*.

With the criticism based on impression, it is not possible to see the truth of this annotation, nor to get the whole picture of it. Therefore this study aims to analyze *Yang's Annotation* by looking at his method of interpretation and to discuss the characteristic, as well as flaws, of this work. Through thorough reading and sorting, the researcher would start from the saying of "unifying ten-thousand with one" to make clear the connotation of "one" and the possible difficulties when interpreting the *Classic of Changes* with "one".

Keywords: Yang Jian, *Classic of Changs*, annotation, the school of mind, the principle of "one"

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一、前言

理學的發展造就了宋代的學術特色，與前代相比，最大的特色就在於學者們賦予經典的不同解釋，尤其是心性天理等方面。受到佛道的刺激與影響，讓不少儒家學者試圖從傳統的經典中尋找可與釋、道外教相評比的思想，更積極的開發經典新的意涵。作為心學大師陸九淵的弟子，楊簡是少數心學家中積極從事經典注疏的學者，其詮解的經典涵蓋了《詩經》《易經》《春秋》《論語》《孝經》等，約共 79 卷，《楊氏易傳》便是其中備受批評的一本（為方便論述，底下簡稱為《楊傳》）。四庫館臣在論述楊簡這本解《易》的著作時說：「簡之學出陸九淵，故其解《易》惟以人心為主，而象數事物皆在所略，甚至調《繫辭》中『近取諸身』一節，為不知道者所偽作，非孔子之言。故明楊時喬作《傳易考》，竟斥為異端，而元董真卿論林栗《易解》，亦引《朱子語錄》稱『楊敬仲文字可毀』云云，實簡之務談高遠，有以致之也。……夫《易》之為書，廣大悉備，聖人之為教，精粗本末兼該，心性之理，未嘗不蘊《易》中，特簡等專明此義，遂流於恍惚虛無耳。」¹

先不論《四庫全書總目提要》的批評是否客觀，然而他的說法卻代表了一種多數的意見，一種對《楊傳》的普遍印象。這種僅止於印象似的批評無法看清事實，也無法全面掌握楊簡該書的全貌。因此，筆者擬由解經的方法來詮析《楊傳》，藉由分析楊簡詮釋《易傳》的方法來看待《楊傳》一書的特點及衍生的缺失。透過全面的整理與瀏覽，筆者從以「一」統「萬」之說入手，論析楊簡解《易》的特點，並釐清此「一」的內涵與由「一」以解《易》可能遭遇的困難。

二、以「一」解《易》的詮經途徑

若仔細的瀏覽《楊傳》會有一種強烈的感覺，似乎楊簡對於六十四卦、三百八十四爻各卦爻間的具體之「象」解釋很少，而是強調其背後總的那個「理」。這種注重萬事萬物背後之「理」的論述方式，不止出現在《楊傳》中，也是楊簡詮釋其他經典時常用的方法。因此錢穆先生說慈湖主張的是「一元論」。²所謂以「一」解經，或以「一」解《易》是指面對紛然雜陳、品目繁多的經文內容，楊簡皆秉持著以「簡」化繁，以「一」解「萬」的方式，尋求經文背後所傳述的道理。而在這以簡化繁的詮釋背後，其實也暗含了詮釋者本人對經文的總體觀點、看法。也就是說，對楊簡來說，以「一」解經不只是一個單純的詮釋方式而已，它同時也是一個哲學或思想上的主張，足以彰顯楊簡學思特色的重要主張。因此，筆者擬就方法及思想觀點二途論述楊簡以「一」解《易》的特點。

¹ 見《四庫全書總目》第一冊，（台北：藝文印書館，1997 年），《四庫全書總目·經部·易類三》，頁 89—90。

² 錢穆：《宋明理學概述》，台北：聯經出版社，1994 年，頁 236。

從符號的角度而言，《易經》以「一」與「--」二個符號所組成，由此而推演出六十四卦、三百八十四爻，是上古哲人用來解釋、說明人生在世遭遇問題、困難時，種種可能的解決途徑，它是一種充滿了暗示與啟發的卜筮之書。而用來指涉人生意義的方式很特別，即利用其各別卦爻之間，所處時空位置、情境的不同來暗示、指代其吉凶、禍福、得失與應對解決之道。因此，各卦爻之間當然有程度深淺、實質意涵差異的不同。在這種認知下，古代哲人所設想的，以六十四卦、三百八十四爻解釋人世間千差萬別的可能情況，本已有不足之虞，而楊簡卻不如此設想，反而主張用最簡單、直捷的方式來看待《易經》，以為只要把握了聖人設卦分爻的用心，即可以全面的理解《易經》大意。所以他將六十四卦、三百八十四爻都視為同一「義」之表現。

首先是指出八卦與《易》之間的異同：「一者，《易》之一也，--者，《易》之--也。其純一者名之曰乾，其純一者名之曰坤。其一--雜雜者，名之曰震、坎、艮、離、兌，其實皆《易》之異名，初無本末精麤大小小之殊也。」³八卦之間本無差異，都是《易》道的表現，因此彼此之間只是名稱上的不同，實質上並無差異。所以說：「〈坤〉者，兩畫之乾，非乾道之外復有坤道也。」（《楊傳》卷1，頁217：4b）「〈坤〉者，〈乾〉之耦也，〈震〉〈坎〉〈艮〉〈巽〉〈離〉〈兌〉，〈乾〉之變錯者也。無二〈乾〉也，一言之謂之乾，兩言之謂之坤，八言之謂八卦，又別而言之謂之六十四卦，又謂之三百八十四爻，又謂之萬有一千五百二十，又謂之無窮，皆此物也。」（《楊傳》卷1，頁218：5a）

比較令人好奇的是，楊簡用這種不分別的說法，用此直捷簡易的方式來告訴讀者，《易經》中各卦爻之間只有名稱上的不同，並無大小優劣的差異，都是「《易》道」。仔細的分析這種說法，會發現楊簡好像開了一個玩笑，因為說了等於沒說。《易經》本來就是用不同的卦爻來顯示其道理，對於讀者來說，他所要瞭解的是，此「《易》道」的具體內涵為何？而楊簡也確實回答了這個問題，（關於這個問題，筆者將於後文論述）但他似乎不斷的強調這種不分別的主「一」思想。

除了說八卦、六十四卦彼此之間的同「一」，也以〈乾〉卦「元亨利貞」卦辭為例，說明六十四卦皆可言「元亨利貞」。所謂：「六十四卦皆可以言元亨利貞，聖人既於〈乾〉言之，又於〈坤〉言之，又於〈屯〉言之……六十四卦皆元也，皆亨也，皆利也，皆貞也。聖人偶有所言，偶有所不言，隨意發明，舉一隅三隅可反也。」（《慈湖遺書·家記一·汎論易》卷7，頁264：15b—16b）又說：「始信六十四卦，卦卦齊一，始信三百八十四爻，爻爻不殊。六十四卦皆可以言元亨利貞，聖人既於〈乾〉言之，又於〈坤〉言之」（《楊傳》卷20，頁400：7b）類似這種不分別的說元亨利貞，在《楊傳》中還有四處。⁴

³ 見《慈湖遺書·周易解序》，「四明叢書約園刊本」卷1，頁187：1b。又見《楊傳》卷1，頁216：2a。以下所引之《慈湖遺書》、《楊傳》皆出自此版本，若有引用則於文後僅註明卷數、頁數，不再作注。

⁴ 分見《楊傳》卷1，頁219：8b-220：9a；卷1，頁228：25a；卷8，頁284：2a—2b；《慈湖遺書·

「元亨利貞」作為《周易》裡重要的卦辭，不止出現在〈乾〉卦中，還有〈屯〉〈隨〉〈臨〉〈無妄〉〈革〉等卦。《文言》中有針對「元亨利貞」作分別的解釋，把它們當作是君子的四種德行，楊簡則打一開始即視為一貫相通的「道」。甚至「元亨利貞」又可以「元」字說之，以「元」字來貫通。在解說〈臨〉卦卦辭「元亨利貞」及〈彖辭〉：「臨，剛浸而長，說而順，剛中而應，大亨以正，天之道也。」云：「元，大也，元亨利貞，《彖》釋之曰大亨以正天之道也，……又不曰元而止曰乾，亦猶此曰大而不曰元，曰以而不曰利，一也，無不通也。物物皆元，事事皆元，念念皆元。大亨非元乎？以正非元乎？夫道一而已矣，或一言之，或兩言之，或三四言之，或易而言之，皆是物也。」（《楊傳》卷8，頁284：2a—2b）之所以用「元」一字統貫亨、利、貞，大概和「元」具有本始、源頭、根源之意有關。因此在面對《文言》解「元」為「善之長」的說法時，他不滿意的指出：「謂元為善則無害，謂為善之長則害道。道一而已矣，元亨利貞雖四而實一，聖人患人之昏昏，無從啟之，姑使究原本始，使知變化云為之所自出，則知無所不通之道矣。故《彖》舉其大體曰乾元，非謂元異乎亨與利與貞也。今謂元為善之本則可，枝葉皆生乎根本，今謂之長則截然與次少異。」（《楊傳》卷1，頁223：16a）

楊簡為《彖》辭中的「乾元」作解釋，設想聖人將「乾」與「元」相結合為一詞，其背後的用意在於提醒後人從萬物變化之源頭來思考易道，掌握了源頭本始之道後，便能推知其他的相關道理，所以他用了一個樹木的比喻，說明「元」與「亨、利、貞」之間的關係猶如根本與枝葉，無本質上的差異。用此推原本始的邏輯來說乾坤與八卦，或者乾坤與元亨利貞，與六十四卦、三百八十四爻之間的通同、一貫，可說是楊簡「主一」思想的重要依據，他說：

夫三才混然一而已矣，何為乎必推言其本始也？民生蚩蚩，安知《易》道？氣雖即道，人惟知氣而不知道。形雖即道，人惟觀形而不觀道。事雖即道，人惟見事而不見道。聖人於是乎不得不推窮其始而有元之名，且天行之所以剛健運化而無息者，其行其化何從而始乎？始吾不得而知也，始吾不得而思也。無聲無臭，不識不知，無思無為，我自之。其曰大哉乾元，所以指學者明道之路也。知始則知終矣，知本則知末矣。始終一物也，本末一致也。事理一貫也，非事外有理也，非理外有事也。曰事曰理曰本曰末曰始曰終，皆常人自分裂之自立，是名君子不得而驟違之，亦姑從而為是言也。明者自以為本一也，不明者自以為實不可一也。（《楊傳》卷1，頁220：9a—9b）

楊簡在這裡提出了許多組相對的客觀範疇：氣／道；形／道；事／道；事／理；末／本；終／始。就一般的認知而言，這些事物不僅名相有異，且其本質也不同。但楊簡卻從變化的角度說明其原始（元、本、道、理）與變化（末、形、氣、事）之間的不異。值得注意的是楊簡的「推原本始」就形式而言是一種往後推的工夫，然而就其應用上來說卻是往前推展的類比思維。按照這種思維，世間所有萬化萬變

背後的那個「道」、「理」，或者說推動其變化的原因、根本，都是同一無異的，則六經中不止《易經》有這種情形，其於五經也都有同樣的情形。以此再推至終極，則六經所傳述的道、理，其實都是同一的，都是聖人以不同的形式來表達同一的道理，即六經一旨、六經一道：「惟《易》《詩》《書》《禮》《樂》《春秋》一也。天下無二道，六經安得有二旨？……《春秋》之不亂即《詩》之不愚，即《書》之不誣，即《樂》之不奢，《易》之不賊，《禮》之不煩也。」（《慈湖遺書·春秋解序》卷 1，頁 188：2a-2b）

說六經一旨、六經一道，則六經或者其他經典都不過是同一道、一理的不同表現而已，因此楊簡在詮解《周易》時，又以一物而異名的方式來說明六十四卦、三百八十四爻彼此之間的通同、一貫。因為名言的不同並不礙其問道、理的相同：

言以啟人，因言而後生名，而人以名而致惑。天下之名眾矣，不可不思其故也，曰道曰德曰仁曰義曰禮曰樂，悉而數之，悉有窮盡？所謂道者，聖人特將以言夫人所共由無所不通之妙，故假借道路之名以名之，非有實體之可執也。所謂德者，特以言夫人之直心而行，亦非有實體之可執也。仁者……亦非有實體也……以是觀上數名者，則不為名所惑。不為名所惑則上數名者乃所以發明本無名言之妙，而非有數者之異也。是故道即《禮》，《禮》即《樂》，《樂》即《詩》《書》《易》《春秋》。（《先聖大訓·孔子燕居第五》卷 1，頁 612：51a-51b）

楊簡在此特別提指出那些聖人常用的名言：道、德、仁、義、禮、樂等，都無「實體」，只是虛名而已，猶如《周易》中用來說明《易》道的那些「大」、「正」、「光」、「孚」、「乾」、「坤」、「誠」、「神」、「幾」等詞彙，皆是一物而數名，名言不同而其實一體。⁵所以用黃金與玉石為喻，「曰白曰瑩曰潤，皆言一玉。曰黃曰剛曰聲，皆言一金」（《楊傳》卷 6，頁 267：12b）⁶

從上述的例證中，可以說明楊簡在詮解《周易》時的主要特色，面對如此繁複變化的不同卦爻，他選擇以最簡易也是最關鍵的方式來處理，以「一」說解。這種解《易》方式早在魏王弼那裡已得發軔。故而論者云楊氏之學為「一貫之學」，精要之處在「一」，或者乾脆說他是主張「一元論」。⁷然而這看似簡易的「一」，其背後的確實意涵為何，所指為何？這才是筆者關注的重點所在，也是具有追問到底精神

⁵ 楊簡於《楊傳》云：「大與正初非二物，皆道之虛名，道之異名。人自有二，道無二。道心無二，人心有二，正大之道即《易》之道，即天地之道，即萬物之道。」卷 12，頁 324：2a；「曰中曰正曰孚曰光亨，皆所以共明斯道，非有異義也，一也。」卷 4，頁 247：2a。相似的說法又見於《慈湖遺書·家記一·己易》卷 7，頁 257：2b；《慈湖遺書·汎論易》卷 7，頁 269：25a；《慈湖遺書·家記九·汎論學》卷 15，頁 396：7a。

⁶ 類似的說法又見《楊傳》卷 1，頁 228：25a-25b；卷 8，頁 284：2a；卷 14，頁 349：14b。

⁷ 楊世思說：「先生之學，一貫之學也。」見《慈湖遺書補編·附錄·楊世思書慈湖遺書節鈔略》，頁 494：22b。蔡國珍在《易傳敘》中就指出楊氏易學之要在「一」：「楊氏因易之理，以發摠其所學，精深融貫，要在一。」《楊傳·序》，頁 213：1a-1b。錢穆則認為楊簡主張「一元論」，見錢穆：《宋明理學概述》，236 頁。

的讀者所欲知道的。筆者以為，楊簡以「一」解《易》的詮釋方式和他的心學之說有絕對的關係，即和他對「心」的理解有關。

三、「一」的內涵與特性：與「易」、「己」、「心」的關係

楊簡在《慈湖遺書·家記一·己易》云：「一者，性也，亦曰道也，又曰易也。名言之不同而其實一體也。」（卷7，頁257：2b）一與「性」、「道」名異而實同，且顯然的，此「道」應指《周易》之道。楊氏以「一」解《易》不止在方法上具有直捷、簡易的特點，對後來的學者也有某種程度的啟發，只要掌握住這個「一」便可以知道六十四卦、三百八十四爻所要傳述的道理，所謂「即一可一知百」（《楊傳》卷1，頁221：12b）換一個角度說，若不知「一」，則不知〈乾〉〈坤〉等卦之意：「苟惟不知一，不惟不知〈乾〉，亦不知〈坤〉。」（《楊傳》卷2，頁237：13a）「一」是什麼？其內涵為何？就《易傳》來說，當然是指「易道」，在論〈乾〉卦卦辭，楊簡即明白的指出《易》道遍及於天地人三才之間，天地間萬事、萬物、萬理皆一，只因一般人不明瞭這個道理（「未能皆悟本一之妙」），所以聖人才因情立言，用不同的文字表述相同的道理。⁸如此一來，能通乎此「一」（《易》道）者，自然能通乎其他不一、相異的道理：「通乎一，則雖不一者皆通皆一。」（《楊傳》卷7，頁279：15a）

這個「一」（《易》道），其內涵到底為何？從楊簡的書中我們可以知道他所說的「一」（《易》道）充滿了楊氏特有的色調，而且不只是標誌著楊簡與其他傳統解《易》經學家的不同，也和其他心學家有絕對的差異。最大的差異即此「一」帶有很濃厚的虛靜、不動意調。楊簡云：「然則治蠱有道乎？有斯道也。何道也？六十四卦之道也，《易》之道也，一也，亦謂之元。乾元坤元即此元也。元非遠，近在人心。念慮未動之始其元乎！故曰天下何思何慮。……人惟因物有遷而動於思慮，動於思慮而後流而不交，昏而亂，則蠱益蠱，壞益壞矣。」（《楊傳》卷7，頁281：19a—19b）六十四卦之道即《易》之道，即一即元，而此「元」又指人念慮尚未啟動之時，此時最能顯明《易》道之精神、清明，沒有了後天人為的擾亂、騷動。同樣的，在說解〈乾〉卦卦辭「用九，天德不可為首也」時云：「能用九者，中虛無我，何思何慮，是謂本心，是謂天德。意動則為首，則有我，是謂人而非天，非《易》之道。」（《楊傳》卷1，頁223：15b）

對於楊簡來說，《易》道是本靜而不動的，無「我」且無「意」，和人心本來的狀態一樣，都是虛靜清明的。所以上述二段文字都可見楊簡將人心與《易》道連著說，且強調人本心的狀態。類似這種以不起意、意動則昏來解說《周易》之卦爻，根據筆者的統計約有72處，而在這72處中，又從人心、本心來說其本來虛靜清明、

⁸ 此說見《楊傳》卷1，頁216：2b-217：3a。楊簡又說：「夫道一而已矣，或一言之，或兩言之，或三言之，或易而言之，皆是物也。」卷8，頁284：2a；聖人：「立言隨義，言異而道一。」卷10，頁311：15b。《先聖大訓·齊景公第二十六》云：「夫道一而已矣，……而夫子別言之何也？道有言其大體者，有隨事而言者。」卷3，頁692：70a。

無動無意的，共有 25 處，可見其比例之高。⁹而楊簡用來形容「心」的虛明清靜，和他對「心」之性質的理解認知有關，在此先略，於後論述之。

類似這種說人心本清明、自靜自一，意動則昏則不一的說法散佈在整部《楊傳》中，幾乎可說是楊簡解《易》與其他學者之間的差異的最好標誌性觀念。這種觀念除了可能受到他父親的影響，¹⁰也和他對《周易》的基本理解有關。他說：「少讀《易大傳》，深愛『無思也，無為也。寂然不動，感而遂通天下之故』，竊自念學道必造此妙。」（《楊傳》卷 20，頁 400：6a）又說：「少時讀書，竊自念古聖人之道，高明廣大，不可以心思，不可以意度，當寂然不動，感而遂通，如曰惟精惟一，如曰一德，略見深旨。」（《慈湖遺書·論書》卷 8，頁 284：26b）顯然的，楊簡將「無思無為，寂然不動，感而遂通天下」一段話不止視為《周易》中最高的那個道理，也是聖人用來形容此「道」的變化無窮、廣大高明的話語。然而此「寂然不動」、「感而遂通」的形容語句，其內涵是否真如楊簡所理解的那般，是偏於靜態的虛靈不動、澄明靜止？這是值得討論，也是引起後人爭議批評的關鍵。¹¹

在慈湖《己易》中，一開始就點出所謂的《易》不在外而在「己」，「己」為大我之己，非小我之私己。包犧氏所畫之「一」正可以用來形容《易》，也可以用來形容我。然而這個「己」、「我」非血氣形貌的己我，而是本性澄然清明的己我。因此，《易》之「一」也在吾人之中，天地萬物、萬化萬理都是此「一」，都是〈乾道〉的變化。《己易》開篇說：「易者，己也，非有他也。以易為書，不以易為己，不可也。……天者，吾性中之象；地者，吾性中之形。故曰：在天成象，在地成形。皆我之所為也。」（《慈湖遺書》卷 7，頁 257：1a—2a）把表徵天地萬物的「易」內向主體化、將外在宇宙自我化，以「我」來函蓋宇宙。這裡的「我」、「己」，其內涵和「道」、「心」等同，都是指推動天地萬物萬化流行的那個至道、天理，也是人心。「不以天地萬物、萬化、萬理為己，而惟執耳目鼻口四肢為己，是剖吾之全體而裂取分寸之膚也，是梏於血氣而自私也，自小也；非吾之軀止於六尺、七尺而已也。坐井而觀天，不知天之廣大也；作血氣而觀己，不知己之廣也。」（《家記一·己易》卷 7，頁 258：4a）這裏的「我」、「己」當然非「血氣形貌而已也」，而是「心」。即「我」、「己」是脫

⁹ 此 25 處分見卷 1，頁 221：12b；頁 222：14a；頁 224：18b；頁 225：19b；卷 2，頁 233：4a；頁 238：14b；卷 4，頁 257：7b；卷 7，頁 276：10b；頁 277：12b；頁 281：19a—b；卷 9，頁 297：9b；頁 298：11a—b；頁 311：16b；卷 11，頁 317：3a；頁 317：4a—b；頁 326：6b；頁 329：13b；卷 14，頁 345：6b；頁 349：14a—b；卷 15，頁 356：10a；卷 16，頁 367：18b—368：19a；卷 17，頁 375：14a；卷 18，頁 385：13a—b；卷 19，頁 390：7a；卷 20，頁 401：8b。其餘 47 處分見卷 1，頁 219：7b；頁 221：12a；頁 228：26a—b；頁 230：30b；卷 2，頁 233：5a；頁 233：5b；頁 235：8a；頁 235：8b；頁 237：13b；頁 239：16b；卷 3，頁 241：3a—b；卷 4，頁 247：1b；卷 5，頁 254：1b；頁 259：11a；卷 7，頁 273：4b；頁 277：11a；卷 9，頁 299：12b；頁 299：13a；頁 300：15a；頁 301：17a；頁 301：17b；頁 303：20b；卷 10，頁 308：9b；頁 314：22a；卷 11，頁 317：3b；頁 319：7a；卷 12，卷 13，頁 332：2a；頁 333：4b；頁 335：7b；頁 337：12a；頁 338：13a—b；頁 339：16a；頁 341：20b；卷 14，頁 344：4b；卷 15，頁 351：1b；頁 355：9b；卷 16，頁 359：1b；頁 359：2b；卷 17，頁 369：1b；頁 370：4b；頁 371：6b；頁 372：7a；卷 18，頁 379：1a—b；頁 382：7a；卷 19，頁 389：5a；頁 391：10b；卷 20，頁 398：2b。

¹⁰ 鍾彩鈞：〈楊簡慈湖心學概述〉，《中國文哲研究集刊》，第 17 期，2000 年 9 月，頁 300。

¹¹ 關於這個問題見第四小節。

離了個體之軀進入到精神性領域神明神用的一體之「心」的別稱，而不是由血氣形我構成的「小我」。「我」、「己」與「心」乃同質異稱的關係。既然此「一」在我己之中，此「一」即吾人之心，此「一」即道，楊簡便以「道心」來稱呼此「一」。

而《己易》一文近六千字，雖然說的是解《易》的方法、途徑，實際上闡述的卻是更根本的清明之性、本心我等，屬於楊簡個人體悟最深的那個哲理。他除了將大易之道含攝於清明之性的本心我中，還將此清明之性、本心提高到另一至高的地位，或者說點出其絕對的根本性、超越性。說此「本心我」「不大不小，不彼不此，不縱不橫，不高不下，不可得而二」，其性能在宇宙時空中，恆然具有「永在」「超相對」「無分別」「超名言」等特性，即「視如此，聽如此……彼如此，此如此，萬如此，一如此」，這種觀點實為傳統儒家所沒有，反而更接近佛家「心包太虛，量周沙界」「萬法唯心」的境界。所以學者以為和禪宗重要經典《維摩詰不可思議解脫經》謂「自性」乃「不二之性」的說法相對暗合。因為在楊簡的觀念中，一般視為相對、無以並存的——「明昏」「斷續」「嚮今」「晝夜」「少壯、衰老」「強弱」「始終」「大小」「明晦」「遠近」等名言概念，在其「清明之性」「本心我」的性能境界中，都是「絕待」、「本一」、「無二」、「超言說」的。¹²

若仔細的追究楊簡這種思維背後的理據，大約不外乎《論語》及《中庸》的兩段話：「吾道一以貫之。」「天地之道，其唯物不貳。」或者加上《乾·彖》：「大哉乾元，萬物資始乃統天。」與《尚書·大禹謨》：「惟精惟一，允執厥中。」二句。¹³然而孔子的一貫之說與子思的不貳之論，其所著意提出的「一」是否真有如楊簡理解的那樣，是一個具有至高、超越，靈明、寂然，不動、絕對的意涵？答案顯然是否定的。

四、以不動的「一」解萬變的「易」

如前所述，楊簡不止把一般視為相對、無以並存的那些名言概念，在其「清明之性」「本心我」的性能境界中，都視為「絕待」、「本一」、「無二」、「超言說」的，就連他所強調的本心，也與孟子「四端」說中，那個具有「道德創生」「主體能動」意涵的「良知善性」不同。他所強調的「本心」是一種虛明不動、超越絕對的境界型態之心。這種意見在《楊傳》中隨處可見。綜觀《楊傳》對「心」的陳述，大約可分為兩種類型說法，即心無實體與寂然不動。楊簡云：「人心無體，自神自明，有體則不一，無體則無不一。」（《楊傳》卷 10，頁 311：16b）又說：「心者何也？心

¹² 有關楊簡《己易》一文中「清明之性」、「本心我」與佛教之間的思想論述，參見張念誠：《楊簡心、經學問題的義理考察》，中央大學中文所 2003 年博士論文，頁 41—42；44-45；47—48。

¹³ 楊簡以孔子「吾道一以貫之」、子思「天地之道，其唯物不貳」之語作為其「主一」思維的理據，見《楊傳》卷 1，頁 216：2a；頁 217：4a；頁 218：5a；卷 14，頁 349：14a；《慈湖遺書·周易解序》，卷 1，頁 187：1b；《慈湖遺書·樂平縣學記》卷 2，頁 197：13b；頁 209：36b。用《乾·彖》之語見頁《楊傳》卷 1，217：4a，用《尚書·大禹謨》之語見《慈湖遺書·樂平縣學記》卷 2，頁 197：13b。

非氣血、非形體，惟有虛明，而亦執以為己私若一物然，故聖人去心之名，庶乎己私之釋而虛之神著矣。」（《楊傳》卷 11，頁 317：4a—4b）「人心無體，無體則無際，則天地在其中，人物生其中，鬼神行其中，萬化萬變皆在其中。」（《楊傳》卷 13，頁 332：2a）「道心無體，何陰何陽？何之或損或益，或盈或虛？」（《楊傳》卷 13，頁 341：20a）「心無本體，清明如日月，變化如四時。……是其清明無體之妙非血氣也，非物也。」（《楊傳》卷 14，頁 349：14b）「人心非氣血，無體狀，至虛至柔，雖有作用視聽言動，其實無我。」（《楊傳》卷 19，頁：389：5a）

這些論述「心」的無我、無形體本質之說，不止充斥在楊簡解《易》的著作裡，在其他解經及日常講經說道的文字中也是如此。¹⁴ 底下這段文字尤可見出楊簡對「心」的無形體之認識：「意本於我，道心無體，何者為我？清明在躬，中虛無物。何者為我？雖有神用，變化云為，其實無體。知我之本無體，則聲色甘芳之美，毀譽榮辱之變，死生之大變，如太虛中之雲氣，亦如水鑑中之萬象。如四十之變化，其本體無所加損，何善之難遷，何惡之難改？……以舜之胸中洞然一無所有，故無所阻滯也。」（《楊傳》卷 14，頁 343：3a—3b）楊簡在這裡把此「心」喻為太虛、水、鏡，著重在其清明、虛靈之性，而那些生死變化、善惡遷改、毀譽榮辱等，都只是太虛中、水鏡中的萬象，並不影響這太虛、水鏡的清明、虛靈。然而這種特殊的看法，在歷來儒家思想中是前無所承的。且這種強調本心「清明之性」的虛空、無形體本質的觀念，反而較接近禪宗，而不是儒家。¹⁵

本心除了虛明無體之外，還具有寂然不動的特質，這也是凸顯楊簡心學之說最關鍵的指標。《楊傳》雖然不是楊簡用來詮說自己心學主張的書籍，但綜觀他在詮解六十四卦、三百八十四爻的歷程中，常常可見他對此心的不動、寂然、靜止等描述，如云：「心自無體、自清明、自寂然不動，視聽言動皆其變化。」（《楊傳》卷 5，頁 260：12b）「水靜則清，清則明，人靜則清明。人心本清明，惟動故昏。……人之本心自靜自清明，惟因物有遷者多。」（《楊傳》卷 7，頁 276：10b）「人之天性即天道，動於意則為人欲。動不以意，是謂道心。道無體無我，寂然不動而變化無方。如水鑑之象，象有升降往來而水鑑無升降往來，如天地陰陽之氣有升降上下，而道無升降上下。至動而常靜，至變而常一。」（《楊傳》卷 19，頁 391：10b—392：11a）楊簡在這裡點出了「心」的動與不動區別，關鍵在於是否有「意」。一有「意」則為人欲，則遠離天道，則不一。能動而不起「意」，才是真正的本心、清明的本心。這種

¹⁴ 在《楊傳》中類此說法共計 43 處，分見卷 1，頁 222：14a；223：15b；卷 2，頁 233：4a；234：6a；234：7b；235：8b；236：11a；236：11b；237：12a；237：13b；239：16b；卷 3，頁 241：4a；卷 5，頁 259：11a；260：12b；卷 6，頁 265：12a；卷 7，頁 272：2a；277：12b；卷 8，頁 288：9b；卷 10，頁 311：15a；311：15b；311：16b；313：19b；卷 11，頁 317：4b；319：7a；320：10b；321：12b；卷 12，頁 323：1b；325：4b；330：14b；卷 13，頁 332：2a；341：20a；卷 14，頁 343：2b；343：3a；349：14a-14b；卷 15，頁 351：1b；356：10a；356：10b；卷 16，頁 359：1b；365：14b；375：13a；卷 18，頁 379：2a；卷 19，頁 389：5a；391：10b。在《慈湖遺書》中也出現過 36 次，《先聖大訓》則有 14 次。

¹⁵ 張念誠以為楊簡這種強調本心「清明之性」——「不一不異」「不即不離」的心學論述，某種程度上即是禪宗比況「實性」（即自性）乃「無二之性」的心學論述。見張念誠：《楊簡心、經學問題的義理考察》，頁 37。

說法在《楊傳》中約出現 26 次。¹⁶值得注意的是，水鑑的譬喻又再一次出現，事實上以鏡或光來形容本心是楊簡常用的說理方式。對此，《慈湖遺書·附錄》中〈寶謨閣學士正奉大夫慈湖先生行狀〉這樣記載著：

淳熙元年春，喪妣氏，去官。居堊室，哀毀盡禮。后營墳車廄，更覺日用酬應未能無礙。沉思屢日，偶一事相提觸，亟起，旋草廬中，始大悟變化云為之旨，縱橫交錯萬變，虛明不動，如鑒中象矣。（《慈湖遺書》卷 18，頁 440：3a）

楊簡的「鑒中象」之悟，說明了他認識到宇宙萬物的變化，包括自然的、人世的，無非是「心鏡」之「象」而已。「心」在此如同鏡子一般「虛明不動」，而世間萬物雖然縱橫交錯，變化萬狀，都不過是映現在鏡中之象而已。通過「鑒中象」之喻，楊簡解決了「心」與「物」之間的關係。複雜紛繁、變動無方的人事萬物等外在事物，對於虛明不動的本心來說，都是虛假、空幻的，只有不動的鏡子是真實的。且此「心」不依賴任何載籍，不以任何觀念之物為內容，「洒然如有物脫去，此心益明」。¹⁷又說：「夫日用平常之心，何思何慮？虛明無體，廣大無際。天地範圍於其中，四時運行於其中，……萬物發育於其中，辭生於其中，事生於其中。屬而比之於其中，如鏡中象，雖紛擾參錯而未嘗動也。」（《慈湖遺書·著庭記》卷 2，頁 205：28b）「心」因為有著如鏡鑑一般靜止、虛明的特性，所以能即物而不滯於物。故能日用酬應而無礙。

綜觀上述楊簡對「心」的描述、形容文字，不免予人一種錯覺，即《楊傳》似乎是一本專門用來闡述他個人心學主張、體悟的專門書籍，而不是用來詮解那自西周以來流傳千餘年的卦爻之作。確實，這就是引起後人批評《楊傳》的重要關鍵之一。楊簡常常在詮解《周易》經傳的過程中，不自覺的將他的心學主張灌入字裡行間，且往往滿溢而出，甚至淹蓋了經傳本文，及其所欲傳達的意旨。試以〈無妄〉卦六二爻：「不耕穫，不菑畲，則利有攸往。」《象》曰：「不耕穫，未富也。」為例，楊氏云：

此爻曰「不耕穫，不菑畲，則利有攸往」者，其義何也？……不為而自成，不作而自得者，無妄之妙也。六二至陰至靜而得中，有得其道之象，聖人於是發揮其妙。蓋不思而知，不為而為者，無妄之妙也。道心至靈至神至明，變化云為，如水鑑之照物，如四時之錯行，如日月之代明。孔子不逆詐，不億不信，……夫哀樂皆可見也，皆可聞也，而曰不見曰不聞，萬古之所莫解也，而智者之所默識也。禹曰「安汝止」，人心自有寂然不動之妙，惟不安而

¹⁶ 分見《楊傳》卷 1，頁 222：14a；230：30b；卷 3，頁 245：11a；卷 5，頁 260：12a；260：12b；卷 6，頁 271：19a；卷 7，頁 276：10b；283：23a；卷 9，頁 294：3b；301：17a；卷 10，頁 314：21b；卷 13，頁 333：4a—4b；卷 14，頁 348：12a；卷 16，頁 359：1b；卷 17，頁 372：7a；372：8b；卷 18，頁 379：1a；379：2a；385：13a；卷 19，頁 389：6b；391：10b；396：19b；396：20a；卷 20，頁 398：2b-3a；401：8b。

¹⁷ 黃宗義著，全祖望補訂，陳金生、梁運華點校：《宋元學案》，北京：中華書局，1986 年，卷 74，《慈湖學案·小序》，頁 2466。

好動，故昏。故夫禹之所謂「止」，非無喜怒無思為也。終日心為而未嘗動也，雖有喜有怒而未嘗動也。（《楊傳》卷9，頁301：16b—17a）

楊簡在此抓住了不耕而獲、不菑而畲的特性，與聖人不思而知、無為而為的神妙境界相連，提出他自己一套的解說，這一套說明仍不外乎本心雖寂然不動，卻能成己成物，是宇宙天地間至高的真理等論述，帶有濃厚的「境界」意味。且這種「本心境界」又非尋常意識思維能把捉，也正是因為此心具有如此玄高、虛明的超越特性，才可以容納萬事萬變於其中，又超然其上，成為一種「形而上」的心。¹⁸然而若回到《易經》文本看，則可見楊簡解《易》重發揮的風格，發揮屬於他個人的體悟，對本心虛靜不動的體悟，欲以這種不變的道心、人心之說來詮解六十四卦、三百八十四爻。再加上這道心、人心的內涵又偏向於靜觀、絕對的境界型態，讓楊簡得到不少的批評。如陸象山對楊簡無時無刻不以「一」喻「本心」頗有意見，嘗言：「我不說一，楊敬仲說一，嘗與敬仲說箴他。」¹⁹因為楊簡常以「一」來喻示本心的超越名言概念、現實相對等有限的範圍，凸現其永恆的絕對狀態。後來的王陽明也說：「楊慈湖不為無見，又著在無聲無臭上見了。」²⁰指出了慈湖之學偏於靜觀的毛病。楊簡將所有的精力擺在對本心的說明上頭，而偏偏這本心又是一種無法以語言文字來形容、說明，必須靠學者自己去體會、證悟，那麼讀《易》，或者說讀經最重要的工夫便成了先明此心、先識此心。這也是《楊傳》中另一種解《易》的基本工夫。

五、反觀覺悟的解《易》法

楊簡何以用類似宗教體證、悟道的方式來解《易》？這和他對語言文字的態度有關。以《楊傳》為例，在面對紛然雜陳的眾多卦爻，楊簡常不自主的表現出他對傳統解經方式的不耐，或者應該說他對語言文字的不信任。從這些輕視語言文字的負面批評中，大約可以整理出幾個方向。首先是《易》道的廣大崇高、絕對境界，是有限的文字語言無法形容的，如云：「凡天道之有變，即九四之或躍，裂德與位而為二，則位非天位，德非天德，一以慣之曰『位乎天德』，斯為大《易》之道，斯為飛龍在天。此非訓詁之所能解也，非智思之所能道也。」（《楊傳》卷1，頁227：24a—24b）「《大傳》曰『範圍天地之化』，庶乎其寬矣。然此猶可以言而及。可以言而及者，猶有涯畔，未足以盡寬之至。」（《楊傳》卷1，頁229：28a）「夫道一而已矣，豈有道德之異哉？人心有昏之間，故聖賢立言辨析其所以異。自古昔以來崇道者紛紛，而得道者千無一萬無一，學者以思慮之所到為道，以言語之所及為道，則安能

¹⁸ 鍾彩鈞說：「慈湖的心則是虛明無體，容納萬事萬變於其中，又復超然其上，可以說，萬物在心中是影像的存在。……大體可看出象山的本心是道德心，慈湖的心不僅是象山概念進一步發展，而且是走上另一條路，泯去道德色彩，做為人生終極的依據，可以稱做『形上心』。」氏著：〈楊簡慈湖心學概述〉，頁330。

¹⁹ 陸九淵：《象山全集》，台北：中華書局四部備要本，1966年，卷35。

²⁰ 《傳習錄》下，吳光、錢明、董平、姚延福編校：《王陽明全集》（上海：上海古籍出版社，1992年），上冊，頁115。

無所不通，變化無窮哉？」（《楊傳》卷 15，頁 354：7a）²¹

《易》道、本心的境界除了是有限的文字無法形容外，想要透過後天人為的學習來得到，也是不可能的。所以楊簡又針對傳統的經典學習提出意見：「然則隨時之義豈勉強之所能，豈學習之所到？《易》曰『不習無不利』，惟不習者得此義矣。《易》曰『天下何思何慮』，無思無慮者得此義矣。得此義如水鑑，洞照萬象，如日月，遍照萬物，自神自明，不可度思。自孔子尚不能詳言其義，惟曰『大矣哉』，豈學習思慮之所至乎？以學習思慮而至者，必有所倚，必有所偏，必不能隨時而皆中，此義與六十四卦之義同。」（《楊傳》卷 7，頁 278：14a—14b）「夫道一而已矣，言之不同，初無二致。是道甚大，故曰大。是道非學習之所能，故曰不習。孟子曰『人之所不學而能者，其良能也。所不慮而知者，其良知也』。習者，勉強本有者，奚俟乎習？」（《楊傳》卷 20，頁 398：3a）人的良知良能為先天有所，非後天學習所得，故不用學。而《易》道、本心也是如此，對於楊簡來說，後天的學習是一種「思慮」活動，是一種屬於後天的任何實際的、具體的知覺、情感等思想意識活動，也就是「意」的活動。人心人性本寂然定靜，一動於「意」則為人欲，就影響這個先天寂然不動的、具有倫理本能和知覺能力的實體，就有偏頗、不中正，不能隨時而中，而「中」即《易》道，具有「中虛無體」、「無思無為」、「寂然不動」、「不起意」的特質。²²

後天的學習是一種思慮活動，屬於「意」的範疇，無法讓讀者掌握此大《易》之道，而用來傳述此道的文字更是如此。對於心學家而言，傳統訓詁學家、章句之儒最常用的方式，試圖以文字訓解的方式推敲經典中所含藏的聖人之意、大道，無異於緣木求魚，以網取水，不止方向錯了，也遺漏更多。所謂「言亦起病，言亦起意，故曰毋意。聖人尚不欲言，……一猶贅辭，二何足論，……姑假以言謂之一貫。愈辨愈支，愈說愈離，不說猶難，而況於費辭善說？」（《慈湖遺書·絕四記》卷 2，頁 195：9a—9b）很明顯的，楊簡的解經方法和他心學家的身份脫離不了關係，或者說和他的心學觀點有絕對的關係。因為相較於儒家言「心」總不離一「有體有用」「即體起用」的主體性意涵，楊簡的「心」卻強調其「虛明無體」、「不動」、「不起意」等特性，相對近似佛、道家的心學型態。具有虛靈空明的「形上」色彩。也就是說他不把「心」當作認識與表現「理」的主體條件，而是視為絕對者。於是學者進學修德的工夫便落在覺悟此心的本來光明狀態，而不是如孟子、象山說的那般「擴

²¹ 類此意見，又見《楊傳》卷 1，頁 230：29a；卷 6，頁 264：5a；卷 7，頁 275：7b—8a；卷 8，頁 288：10a-10b；卷 9，頁 303：20a—20b；卷 11，頁 319：8b；卷 14，頁 349：15a；卷 18，頁 379：2a；卷 20，頁 397：1b-398：2a。

²² 楊簡在詮解《周易》時，常用很多不同名詞來稱呼《易》道，中、正、時、復、剛、健、巽、元、大、忠信、大一等，其中尤其是「中」一詞。分見《楊傳》卷 3，頁 245：12a；卷 4，頁 248：4b；頁 251：9b；頁 253：14a；卷 5，頁 256：5a；頁 257：6a；卷 6，頁 264：5a；頁 264：6b；頁 267：11b；卷 7，頁 277：11a；卷 8，頁 286：6a；卷 9，頁 299：12b；卷 10，頁 313：20b；頁 314：22a；卷 13，頁 336：9b；頁 337：11a；頁 338：13a—13b；頁 341：20b；卷 14，頁 343：2a；卷 15，頁 356：11b；頁 357：13b；卷 16，頁 364：12a；頁 365：14b；頁 366：15a；卷 17，頁 375：14b；卷 19，頁 389：5b；頁 393：14a-14b；頁 396：19b。

充」四端之心。²³

從以「一」解《易》的角度來說，如上所言，「一」的內涵即「本心」，而這「心」又在我之內，則解《易》的最佳途徑自然是往內心求，往自己身上求，這就是《己易》所要闡述的道理。要往自己身上求就表示那些傳統的從文字語言上索解的訓詁方式，走錯了方向，無法掌握聖人之意、經典之意。所以宋儒所說的，尤其是朱子一派所主張的「格物」之說在他的手中便有了另一番新的風貌：

格物不可以窮理言，文曰格耳，雖有至義，何為乎轉而為窮。文曰物耳，初無理字義，何為乎轉而為理？據經直說格有去義，格去其物耳。程氏倡窮理之說，其意蓋謂物不必去，去物則反成偽。既以去物為不可，故不得不委曲遷就而為窮理之說。不知書不盡言，言不盡意，古人謂欲致知者在乎格物，深病學者之溺於物而此心不明，故不得已為是說。豈曰盡取事物屏而去之耶？……格物之論，論吾心中事耳。吾心本無物，忽有物焉，格去之可也。物格則吾心自瑩，塵去則鑑自明，滓去則水自清矣。天高地下，物生之中，十百千萬皆吾心耳。本無物也，天下同歸而殊塗，……事物之紛紛起於念慮之動耳。思慮不動，何者非一？何者非我？（《慈湖遺書》卷 10〈家記·論語上〉，頁 340：31a—341：32a）

楊簡把二程提出的格物窮理說做了修正，首先是將「格」解釋為「去」而非「至」，「去」什麼呢？自然是去除遮蔽在本心之上那些塵埃、黏著滯窒本心之上的那些意見（事物）。所以格物便和禪宗的明心見性相似，恢復了本心的清明狀態，自然能在面對紛繁不一的外在事物時，不迷不誤，不起思慮、意念。如此一來與格物相連著說的「窮理」也跟著轉變，格物所窮究之「理」，不是外在現象界的「理」，而成了吾人本心中的理，也就是窮「心」，「理」的位置完全被「心」所取代。且更重要的是「格物」之「物」又和他所主張的「毋意」之說有了關聯。因為當他把「物」釋為「事」，故「格物」轉換成了「去事」。重在人事之上，把原本朱子一派的格物之說所容納的那些對客觀知識的追求、外在事物的感知、分析否定了，使人的認知由向外而轉向內，不是對客觀外物的感知、分析和探究，而是對本心的體悟。因此認知的結果不是知識的增長，而是人的某種境界的確立。²⁴因此，格物窮理在他的理解中自然和「毋意」的工夫相同，是一種去除念慮、私意的保任工夫，也是一種覺悟本心清明的工夫。

在論述〈乾〉卦時，楊簡就已經點出讀《易》解《易》的工夫在於「悟」：「孔子曰：『夫《易》，聖人所以崇德而廣業也，知崇禮卑，崇法天，卑法地。天地設位而《易》行乎其中矣。』明三才皆《易》之道，崇廣效法。蓋以人心未能皆悟本一之妙，姑因情立言曰效法，而進至於果與天地相似無間，則自信其本一矣。」（《楊傳》卷 1，頁 217：3a）以「一」解《易》之說在這裡又出現了，而掌握此「一」的

²³ 鍾彩鈞：〈楊簡慈湖心學概述〉，頁 329。

²⁴ 鄭曉江、李承貴：《楊簡》，台北：東大圖書公司，1996 年，頁 94。

關鍵就在覺悟此「心」，覺悟此心本與天地相同、萬物、萬理不異，則〈乾〉道在我，《易》道在我。而所覺悟的本心到底為何？即一種超越言說、相對的無限廣大之心，充滿了境界型態意謂的本心。「覺悟」作為一種方法途徑，是否也是一種目的？或者應該說是讀者解經讀《易》的目標？如果是，那麼一旦覺悟了此心此道，是不是就一勞永逸，能觸類旁通的掌握全盤的道理，從此遠離人欲偏私，成就聖人境界？答案顯然是否定的。否則為何在第一次 28 歲的循禮齋之悟後，一直到 66 歲，還陸陸續續有七次的覺悟？²⁵

楊簡自己也說「覺」有大小、深淺、精粗等分別：「知者覺之始，仁者覺之純。不覺不足以言知。覺雖非心思之所及，而猶未精一，一而後可以言仁。」（《慈湖遺書·憤樂記》卷 2，頁 207：32a）「曾子覺雖小而悟孔聖之皜皜濯之暴之。……子思孟子皆近之，惜乎小覺而大非。」（《慈湖遺書·詩·大哉》卷 6，頁 252：31b—253：32a）「明道非無用於世，即利用安身無非大道，而人不自覺也。……惟覺雖通達而未精未一，故孔子為之不厭者，窮盡其神用也。」（《慈湖遺書·家記一·汎論易》卷 7，頁 273：33a）這表明覺悟並非一種終極的境界用語，讀經的目標。還必須有另外的修為工夫方能使覺悟發生作用。根據楊簡自己的經驗，這覺後的工夫便是去除舊習，把以前的習氣徹底的拋棄，方能進一步純化，達到至清至明的境界。他說：

學者初覺，縱心所之，無不元妙，往往遂足，不知進學，而舊習難遽消，未能念念不動，但謂此道無所復用其思為，雖自覺有過而不用其力，虛度歲月，終未造精一之地。……予自三十有二微覺已後，正墮斯病，後十餘年，念年邁而德不加進，殊為大害。偶得古聖遺訓，謂學道之初，繫心一致，久而精純，思為自泯。（《慈湖遺書·家記九·汎論學》卷 15，頁 393：2b—394：3a）

楊簡並沒有說明何謂「精一」之境地，何謂「未離意象」，根據研究者的推測，大概和他尚未讀到《孔叢子》的「心之精神是謂聖」，尚未把這句話當作以後立學講經的關鍵有關。²⁶不論如何，對於這存在已久卻極難根除的「舊習」、「故習」楊簡確實警惕學者要下一番工夫去克服。在論〈坤〉卦與〈蒙〉卦時都提醒學者去故習的重要，《遺書》、《先聖大訓》中更隨處可見他對除舊習的警惕、謹慎修為。²⁷

與「覺悟」之說相近的，還有「反觀」。反觀作為一種修養工夫，其所反觀的對象當然是自己，且是深入內心的一種返視。以自己為對象，進行直接的反省，根據楊簡自己的說法，是受到父親楊顯廷的啟發與影響，讓他透過深度的反觀更能審視

²⁵ 關於楊簡的覺悟歷程，見劉秀蘭：《化經學為心學——論慈湖之經學思想與理學之開新》，台大中文所 1999 年碩士論文，頁 6—13。劉氏整理出楊簡共八次的覺悟歷程：28、31、32、34、43-47、56、61、66 歲。

²⁶ 此說見劉秀蘭：《化經學為心學——論慈湖之經學思想與理學之開新》，頁 12。

²⁷ 分見《楊傳》卷 2，頁 234：6b；卷 15，頁 354：7b；頁 356：10a；《慈湖遺書》卷 2，頁 197：12a；頁 198：15a；卷 8，頁 283：21a；卷 10，頁 326：2b；頁 332：14b—15a；頁 333：16a-16b；頁 338：27a；頁 339：29b；卷 11，頁 350：3a；頁 368：38a；頁 369：40a；卷 15，頁 393：2b；《先聖大訓》卷 4，頁 702：15a；卷 5，頁 752：32b。

內心，改過修德。²⁸也在反觀中，楊簡體悟到心學的澄然清明狀態：

先大夫嘗有訓曰「時復反觀」。某方反觀，忽覺空洞無內外，無際畔，三才、萬物、萬化、萬事、幽明、有無通為一體，略無縫罅。疇昔意謂萬象森羅，一理貫通而已。有象與理之分，有一與萬之異。及反觀後所見，元來某心體如此廣大，天地有象有形有際畔，乃在某無際畔之中。《易》曰：「範圍天地。」《中庸》曰：「發育萬物。」灼然灼然，始信人人心量皆如此廣大。（《慈湖遺書續集·炳講師求訓》卷1，頁1a—1b：）

這是楊簡有名的循禮齊之悟。透過「反觀」，楊簡體悟到了心體廣大，虛中朗靜，清明神靈，無所不照，心體之中，天地、萬物、萬化、萬事、幽明、有無通為一體、澄然一片的境界。²⁹以〈履卦·上九〉「其旋其元吉」為例，楊簡論述了通過「反觀」掌握了「心即道在我」之情形：

何謂「旋」？人心逐逐乎外，惟能旋者則復此心矣，豈不大哉！孔子曰：「心之精神是謂聖。」孟子曰：「仁，人心也。」某自弱冠而聞先訓，啟道德之端，自是靜思力索者十餘年，至三十有二而聞象山先生之言，忽省此心之清明，神用變化，不可度思。始信此心之即道。深念人多外馳，不一反觀，一反觀，忽識此心即道在我矣。（《楊傳》卷5，頁261：14b—15a）

楊簡將「旋」解圍旋復、旋反，認為人因多逐外馳驚，不能反觀，不能旋復返回其本心，而他在象山的啟發下，透過反觀，旋反其心，則識此心即道在我。並且接著說這種「旋」「非心思之所及，非上行之可到，非進退之可言。如四時之錯行，如日月之代明」。再次強調了這種反觀後所得的境界非語言文字能傳達，只能親自身體力行方能體會的觀念。

其實，重視覺悟、反觀的內心體驗、領悟並不是楊簡個人獨有的，它甚至可說是中國哲學的根本傾向和特色。張岱年曾指出「重了悟而不重論證」是中國哲學的根本傾向和特色之一，認為「中國哲學只注重生活上的實證，或內心之神秘的冥證，而不注重邏輯的論證。體驗久久，忽有所悟，以前許多疑難渙然消釋，日常的經驗乃得到貫通，如此即是有所得」。³⁰但問題同樣在於這種覺悟、反觀之說，是一種內向返回自身心靈的自反思維指向，屬於非知識非邏輯化的心理情感體驗型直覺思維。³¹如何去檢證每一個人內心的覺、悟是符合了經典之道、聖人之理？更重要的

²⁸ 楊簡云：「少時初不知己有過，但見他人有過。一日自念曰：豈他人俱有過，而我獨無耶？殆不然，乃反觀內索，久之乃得一。既而，又內觀索，又得二三，已而又索，吾過惡乃如此其多，乃大懼，乃力改。」《慈湖遺書·記先訓》卷17，頁426：1a。

²⁹ 楊簡在《慈湖遺書·家記九·汎論學》裡對於自己早年循禮齊之悟又有相似的文字：「少年聞先大夫之誨，宜時復反觀。某後於循禮齊燕坐反觀，忽然見我與天地萬物萬事萬理，澄然一片，更無象與理之分，更無間斷。不必言象，不必言理，亦不必言萬，亦不必言一，自是一片，看喚作甚麼句絕，喚作天亦得，喚作地亦得，喚作人亦得，喚作象亦得，喚作理亦得，喚作萬亦得，喚作一二三四皆得。」卷15，頁398：12a—12b。

³⁰ 張岱年：《中國哲學大綱》，南京：江蘇教育出版社，2005年，頁9。

³¹ 曾凡朝將楊簡這種覺悟、反觀之法和西方的直覺說連結起來，以為：「它不僅是東方的專利，在西

是，這種重覺悟、反觀的修養工夫，和傳統儒家思想之間是否相符？這才是真正值得思考的。

面對楊簡這種「有意識」地以「覺」來詮經講學，引起不少的批評，如黃震說：「慈湖以覺為起悟，與孟子言先覺覺後覺，主於開曉後進之覺不同。」葉水心在《胡崇禮墓志銘》中說象山學「號稱徑要簡捷，諸生或立語已感動悟入矣，以故越人為其學尤眾，兩并笠，夜續燈，聚崇禮之家皆澄坐內觀」。《宋元學案·慈湖學案》卷74也說：「慈湖所傳，皆以明悟為主，故其言曰：『此一二十年以來，覺者踰百人矣，古未之見，吾道其亨乎。』」然考之自錢融堂、陳和仲以外，未必皆為豪傑之士也，而況于聖賢乎。史所載趙與燁以聚斂稱，而慈湖謂其已覺，何也？夫所謂覺者，識得本體之謂也。象山以是為始功，而慈湖以是為究竟，此慈湖之失其傳也。」³²黃震與黃宗羲分別從不同的角度指出楊簡覺悟之學與傳統儒家的不同，所以猶如學者指出的，楊簡以「覺」來定位他的心學，並以「覺者」啟悟他的心學傳人，此皆大大迥異於傳統儒學以——仁、義、禮、智、信、德、忠、孝、誠、中等關鍵字來詮釋儒學，或以「君子」「聖賢」等德行詞調來定位儒學傳人。在他心目中所謂的「聖人」反而更接近佛家的覺者、覺悟境界，而非傳統儒家那個具有道德創生意義的聖人。³³

六、結語

如同他的名字一樣，楊簡解經講學也運用最簡易的方式來詮解經文、啟迪後人，以為把握住此關鍵性的「一」，則自然能契入經典之旨、深合聖人之義。可以說他開啟了後學最方便直捷的進學路徑，但問題也由此引起。透過上述說明，可知楊簡所主張的「一」具有如下特點：（一）它是形上學宇宙的化生之源，為萬物之本根；（二）它是最高的本體；（三）它是形上本體在吾人身上分定的結果，寄寓在吾人心中，與「心」同質，是道德理性的本體；（四）它是道德理性的主體性；（五）就形下意義而言，具有一貫、一體、統一等特性與意義。但最根本的問題在於，楊簡此「一」是涵具佛教，尤其禪宗觀念的境界型態的「一」、靜態減損的「一」，而非從文王、孔子以來，蘊藏於六十四卦、三百八十四爻中，具有道德創生、生機勃發的「一」。而這個「一」又源自於他對本心的特殊體悟，此心虛明無體、寂然不動，一

方，直覺問題一直是人們關心的重要問題之一。直覺被當作人類直觀把握客觀世界的獨特思維形式。」又舉柏拉圖把這種非理性的力量稱之為靈感，認為靈感是神賜的一種神秘的力量。叔本華強調：「直觀是一切真理的泉源，是一切科學的基礎。」他所說的直觀是一種非理性的思維，是對事物直接的、整體的認知。伯格森認為哲學來自於直覺，他說：「所謂直覺，就是一種理智的交融，這種交融使人們將自己置於對象之內，以便與其中獨特的、從而是無法表達的東西相符合。」榮格將直覺看做一種先天的自發的能力，是主體完全無法掌握的一種思維形式。而新托馬斯主義的馬利坦則認為直覺是主觀和客觀的神秘統一，是一種不明所以的神秘力量，它可能來自於神靈的憑依。見曾凡朝：《楊簡易學思想研究》，山東大學哲學研究所，2006年博士論文，頁139。

³² 黃東發之語見《慈湖遺書新增附錄》，頁496：3a；葉氏之語見《葉水心集》，文淵閣四庫全書本，卷17，《宋元學案》，頁2506。

³³ 張念誠：《楊簡心、經學問題的義理考察》，頁153、229。

有思維意識（起意）則落於後天人為的造作，使本心偏離了清明澄靜的狀態，使本心有所遮蔽，蒙上了微塵。所以整個修德工夫、進學歷程都集中在如何保持此心的清明、虛靈、不動、不起狀態。以解《易》為例，楊簡在《楊傳》中便多次提醒讀者：《易》道廣大精微，學者不止要效法前人在「恐懼修省」裡尋求《易》道，還要體悟所謂「何思何慮」之妙；學道要學「不動心」；讀《易》要領悟人心「非氣血、無形體，虛明神用，又無所不通」之意。³⁴然而細審這些工夫修為、為學進德的「覺悟」、「反觀」法，卻是語言文字無法傳述表達的，甚至可說是不必透過經典的閱讀就可以去掌握的，無形中貶低了傳統經典的地位，³⁵甚至強調個人對心學的體悟，而將經典引入了另一個方向，將經典視為證明自己心學主張的「工具」（即對六經注我），掩蓋了經典中蘊藏的豐富意涵。這一點從《楊傳》中充斥著許多形容心體虛靈不動、有意無意、何思何慮等名詞可證。

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鍾彩鈞：〈楊簡慈湖心學概述〉，《中國文哲研究集刊》，第 17 期，2000 年 9 月

³⁴ 分見《楊傳》卷 16，頁 366：16b；卷 7，頁 277：12b；卷 10，頁 313：19b-20a。

³⁵ 貶低傳統經典的地位並不是只有楊簡個人，這是宋明理學家，尤其是陸王一派心學家都有的，參見祝平次：〈王陽明的經典觀與理學的文本傳統〉，《清華中文學報》，96 年 6 月，第 1 期，頁 119—121。

心學、理學、史學兼綜之《詩》本義探尋 ——王應麟《詩經》學試析

胡瀚平*、閻耀棕**

摘要

宋代經學風氣，多務於擺落漢唐舊說，學者一空依傍，習於間出己意，各肆其學思，疑經改經，蔚為風尚。揆諸《詩經》學，則除攻擊漢唐以外，又各有主張，皆言之成理、持之有故，遂至於紛然聚訟。洎至宋末元初之王應麟（1223—1296），字深寧，其學兼綜朱熹、陸九淵、呂祖謙三家，《宋元學案》述其學「和齊斟酌，不名一師」，是其先以呂學下達功夫為基礎，進而持朱學格物以辨證，而終達於陸學之致一，顯然據「下學而上達」為本而訂定其為學之序，此為學之序亦忠實地反映於其《詩經》學上。謹案王應麟《詩經》學專著現存者有《詩地理考》、《詩考》，又有《詩》論見於其《六經天文編》、《困學紀聞》，其於《詩》可謂戮力甚深。復王應麟年逾古稀，其學思歷程當必偕時晉篤，王應麟調和有宋以來諸學派之立場所界定之《詩》本義，及其所運用之調和方法，乃至於所開展《詩經》學之特色及時代意義，皆應為研究宋代《詩經》學者所值得關注之議題。本研究擬試就深寧所界定之《詩》本義，及其所運用之調和方法兩面向，析論深寧之《詩經》學，以求客觀呈現其《詩經》學之全貌。

關鍵詞：《詩經》、王應麟、三家詩、〈毛詩〉

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The Study on Wang Yinglin's *Shijing Study*

Han-ping Hu* & Yao-zong Yan**

Abstract

The trend of academic study in the Song Dynasty mostly aimed to get rid of the cliché brought forth in the Han and Tang Dynasties. Scholars no longer sought to imitate the works of their predecessors, but to carry out their own theories, doubting and re-editing the classics. As for the studies of the *Classic of Poetry*, apart from attaching the theories of Han and Tang Dynasties, each and every branch of study had its own argument. In the end, the theories were diverged and disaccorded.

Between the mid-1200s to the late-1200s A.D., Wang Yinglin (王應麟, 1223-1296) combined the arguments of Zhu Xi (朱熹, 1130-1200), Liu Jiuyuan (陸九淵, 1139-1193) and Lu Zuqian (呂祖謙, 1137-1181) in his studies. *Song-yuan Xue An* describes his studies as “a selected collection of arguments from multiple schools”. With the studies of Lu as bases, he advanced to Zhu’s studies to build up the method of analysis and demonstration; and he finally reached the state of Liu. He had apparently followed the principle of “starting from the modest and progressing upward” in his process of academic pursuit. This principle is also shown in the study of the *Classic of Poetry*. Wang’s remaining works which specialized in the *Classic of Poetry* include *Shi Di Li Kao* [literally meaning “a research on the geography of the *Classic of Poetry*”], *Shi Kao* [literally meaning “a research on the *Classic of Poetry*”]. His studies of the *Classic of Poetry* can also be found in *Liu Jin Tian Wen Bian* [or *Treaties on Astronomy in the Six Classics*] and *Kun Xue Ji Wen* [literally meaning “about the difficulties in learning”]. These indicate that there were great efforts put into the related area.

Wang lived till an old age and his academic level has advanced with his age. He gathered and unified different theories defining the essence of the *Classic of Poetry*. Close attention must be paid to his method of unification, the characteristics of the study of *Classic of Poetry* he established, as well as the historical significance of that study. This study aims to observe how Wang defined the essence of the *Classic of Poetry* and his method of unification. By doing this, the researcher wishes to analyze how the *Classic of Poetry* and to see objectively the overall perspective of this area of study.

Key words: Wang Ying-lin , Shijing Study , Three Schools of the *Classic of Poetry*, Mao School

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一、前言

有宋一代，經學發展幡然變古，多務求擺落漢唐，疑經改經，蔚為風尚。在《詩》則自歐陽修《詩本義》出，而啟尊〈序〉廢〈序〉之爭，至鄭樵《詩辨妄》後，爭端更趨熾烈。¹然兩宋學者所以主張尊〈序〉廢〈序〉者，根本皆僅各肆其學思，以界定《詩》之本義而已，是以說《詩》大率自出己意，新義迭出。若政治家以《詩》乃聖人所取合於禮義者，又尊〈序〉以為先王之法言，藉以託古改制；²又若理學家以《詩》載天理，而〈序〉僅漢儒所作一家之言，多有不可勝言致未明理者，故於〈序〉多有取捨；³又若心學一派強調發明本心，以為「學苟知本，六經皆我注腳」，⁴則於《詩》甚或恣意刪改添字，於〈序〉更無所取；更有折衷理學、心學之間而董理文獻，力求微而有信者，以《詩》至兩宋惟傳〈毛傳〉、〈鄭箋〉，而〈序〉義多與經傳同，是以翳然宗〈序〉。⁵除此以外，濟濟多士參核字句，針砭〈毛〉、〈鄭〉，各舉異義，不勝枚舉。諸家各持己見，均自謂得《詩》本義，紛然聚訟，迨宋覆迄至於今，仍時有餘響。

降及南宋末葉，諸學派隱然有合流之勢，王應麟（1223—1296）生當宋末元初，《宋元學案》述其學「和齊斟酌，不名一師」，兼賅朱熹（1130—1200）、呂祖謙（1137—1181）、陸九淵（1139—1193）三家，⁶謂「不名一師」是其學之廣大，可以廣納；

¹ 關於宋代《詩經》學者尊〈序〉廢〈序〉之爭，詳可參今人黃忠慎：《宋代《詩經》學探析——以歐陽修、蘇轍等六家為中心的考察》〔台北：花木蘭出版社，2009年9月〕一書第一章〈宋代《詩經》學著述解題〉，其據朱彝尊《經義考》所載目錄，詳考宋儒《詩經》學著作凡一百八十三冊，以鈎勒宋儒《詩經》學概況，證得尊〈序〉廢〈序〉之爭乃宋代《詩經》學重要課題。

² 謹案王安石就《尚書》、《詩》、《周官》作新義，合稱《三經新義》，藉以託古改制，行其新政，其中《尚書新義》、《詩經新義》已軼，然序皆猶在，其於《詩經新義·序》論曰：「《詩》上通乎道德，下止乎禮義，放其言之文，君子以興焉；循其道之序，聖人已成焉。」〔王安石著：《王安石全集》〔台北：河洛出版社，1974年10月〕，卷25，頁148。〕是安石亟言《詩》之可以為典制，而欲藉其以改制。

³ 謹案《朱子語類·詩一》載朱熹曰：「〈小序〉漢儒所作，有可信處絕少。〈大序〉好處多，然亦有不滿人意處。」〔〔宋〕朱熹著：《朱子全書·拾肆》〔上海古籍出版社，安徽教育出版社合編，2002年12月〕，頁2736。〕又載朱熹曰：「《詩》〈大序〉亦只是後人作，其間有病句。」〔《朱子全書·拾肆》，頁2742。〕顯見朱熹以〈序〉為漢儒所作，故內容間有不能合於《詩》本義者。此外又載朱熹論讀《詩》法曰：「看《詩》，義理外更好看他文章。」〔《朱子全書·拾肆》，頁2756。〕又可見其《詩經》學以義理、天理為第一義諦之理學家觀點。

⁴ 〔宋〕陸九淵著、傅子雲編次，〔明〕傅文兆校閱：《象山先生全集》，收入《四庫存目叢書》〔台北：莊嚴文化，1997年6月〕，集部19，頁330。

⁵ 謹案呂祖謙《呂氏家塾讀詩記》於〈關雎〉後作案語：「〈魯〉、〈齊〉、〈韓〉、〈毛〉，師讀既異，義亦不同，以〈魯〉、〈齊〉、〈韓〉之義，尚可見者較之，獨〈毛詩〉率與經傳合。〈關雎〉正風之首，三家者乃以為刺，餘可知矣，是則〈毛詩〉之義最為得其真也。間有反復煩重，時失經旨，如〈葛覃〉、〈卷耳〉之類，蘇氏以為非一人之辭蓋近之，至於止存其首一言而盡去其餘，則失之易也。」〔〔宋〕呂祖謙撰：收入〔清〕紀昀等編：《景印文淵閣四庫全書》〔台北：台灣商務印書館，1983年6月〕，總73，經部67，頁342。〕是呂祖謙之舉四家《詩》義與經傳相較，以證〈序〉義多與經傳合。

⁶ 謹案全祖望於《宋元學案》述深寧之學：「祖望謹案：四明之學多陸氏，深寧之父，亦師史獨善以接陸學，而深寧紹其家訓，又從王子文以接朱氏，從樓迂齋以接呂氏。又嘗與湯東澗游，東澗亦兼治朱、呂、陸之學者也。和齊斟酌，不名一師。」〔〔明〕黃宗羲撰、〔清〕全祖望續修、〔清〕王梓材校補：《宋元學案》〔台北：河洛出版社，1976年3月〕，卷85，頁2。〕是以深寧之學兼賅

「和齊斟酌」是其學之精微，可以調和，廣大精微兼而有之，是以深寧之學當為有宋一代殿軍。考深寧《詩經》學專著現存者有《詩地理考》、《詩考》，又有《詩》論見於其《六經天文編》、《困學紀聞》，其於《詩》可謂戮力甚深，則深寧調和有宋以來諸學派之立場所界定之《詩》本義，及其所運用之調和方法，乃至於所開展《詩經》學之特色及時代意義，皆應為研究宋代《詩經》學者所值得關注之議題。本研究擬試就深寧所界定之《詩》本義，及其所運用之調和方法兩面向，析論深寧之《詩經》學，以求客觀呈現深寧《詩經》學之全貌。

二、心學、理學、史學之兼綜

論者雖以深寧為兼治朱、呂、陸之學者，然朱、陸兩派對本體乃至功夫的看法殊異，朱學倡「性即理」，故首言「道問學」強調勤學之功夫；陸學以「心即理」，故首倡「尊德性」強調本心之發明，兩派歷呂東萊促成鵝湖之會論學，依舊相持不下，又學者多以東萊學兼朱、陸，素以總羅文獻聞名，較之朱、陸之重本體之上達，似更著眼於下學功夫，其功夫進路似乎又迥異於朱、陸，則深寧如何調和朱、陸，進而兼賅東萊以及兩宋以來諸家，以開展其《詩經》學？全祖望於《宋元學案》中述深寧之學，以為「四明之學多陸氏，深寧之父，亦師史獨善以接陸學，而深寧紹其家訓」，以深寧為四明學者，強調其陸學背景，而於其朱學、呂學僅曰：「又從王子文以接朱氏，從樓迂齋以接呂氏」，⁷顯然認為深寧所以兼賅三家，乃以陸學為本，朱學、呂學為輔。而早在全祖望前，黃百家於《宋元學案》論深寧之學思歷程曰：

百家謹案：清江貝瓊言：「自厚齋尚書倡學者以考亭朱子之說，一時從之而變，故今粹然皆出于正，無陸氏偏駁之弊。然則，四明之學以朱而變陸者，同時凡三人矣：史果齋也，黃東發也，王伯厚也。」⁸

此以深寧為「四明之學以朱而變陸者」，又述深寧「倡學者以考亭朱子之說」，使一時學者「粹然皆出于正，無陸氏偏駁之弊」。顯然黃百家亦以深寧之學大本在於陸學，而又輔以朱學矯陸學「偏駁」之弊，然於此未論何以陸學「偏駁」，更未論其如何以朱學矯陸學之「偏駁」。總觀《宋元學案》屢見學者論陸學「偏駁」之處，乃以陸學專於「先立其大」，則其學過於直截，又專於內求而少資於外，恐流於主觀臆斷之弊，⁹故雖可自以為本心已然發明，而謂「宇宙便是吾心，吾心即是宇宙」，¹⁰然若此心不能復合於外在現象界，甚至刪經改經，強將六經偽作己之註腳，則不能證本心已然

朱熹、陸九淵、呂祖謙三家。

⁷ 本段全祖望之論述，可參見於本文註六。

⁸ 《宋元學案》，卷 85，頁 3—4。

⁹ 謹案《宋元學案·序錄》論象山之學：「象山之學，先立乎其大者，本乎孟子，足以砭末俗口耳支離之學。但象山天分高，出語驚人，或失于偏而不自知，是則其病也。」〔明〕黃宗羲撰、〔清〕全祖望續修、〔清〕王梓材校補：《宋元學案》〔台北：河洛出版社，1976 年 3 月〕，卷 1，頁 11。〕又《宋元學案·劉李諸儒學案》載：「象山之學雖偏，而猛厲粗略之外，卻無枉尺直尋之意。」〔《宋元學案》，卷 30，頁 39。〕

¹⁰ 《象山先生全集》，頁 320。

發明，宇宙仍是宇宙，吾心仍是吾心，一切皆是私臆空言，是謂偽學。¹¹是以黃百家所謂深寧以陸學為大本，輔以朱學以矯陸氏「偏駁」之弊，或乃不廢陸學所謂「先立其大」之本心，又援朱學「道問學」、「格物致知」之功夫，藉格現象界萬物之理以參證之，¹²若能客觀證得內在本心與外在現象界相合，則宇宙方是吾心，吾心方是宇宙，當可以謂本心已然發明，非是私臆空言，亦不需刪經改經，強將六經偽作己之註腳，六經自然是己之註腳。

若以朱學功夫參證陸學本心，是王應麟融通陸、朱之法，而論者以深寧兼朱、呂、陸三家，其中東萊似更著眼於下學功夫，則專由功夫論之，朱學之功夫如何與呂學之功夫交融？黃百家於《宋元學案》引謝山《同谷三先生書院記》論曰：

厚齋著書之法，則在西山真為肖子矣。謝山《同谷三先生書院記》曰：「王尚書深寧獨得呂學之大宗。或曰：『深寧之學得之王氏堃、徐氏鳳。王、徐得之西山真氏，實自詹公元善之門，而又頗疑呂學未免和光同塵之失，則子之推為呂氏世嫡也，何歟？』曰：『深寧論學，蓋亦兼取諸家，然其綜羅文獻，實師法東萊，況深寧少師迂齋，則固明招之傳也。』」¹³

是黃百家以為深寧著書之法，兼得朱、呂二家，得之於東萊者，則為總羅文獻。謹案朱學所謂「格物」之「物」既包含現象界之萬有，則呂學所總羅之文獻，亦當屬現象界萬有，則呂學著書之法，應不悖於朱學格物之方，故深寧非僅當為西山尚子，亦是呂氏世嫡。然又謹案朱子之論文獻，以為六經與它書有別，不可以一概而論：

浩曰：「趙書記云：『自有見後，只是看六經、語孟，其他史書雜學皆不必看。』其說謂買金須問賣金人，雜賣店中那得金銀。不必問也。」曰：「如此，即不見古今成敗，便是荊公之學。書那有不可讀者？只怕無許多心力讀得。六經是三代以上之書，曾經聖人手，全是天理。三代以下文字有得失，然而天理卻在這邊自若也。要有主，覷得破，皆是學。」¹⁴

在「格物」之「物」包含現象界萬有的前提下，朱子以三代以上經聖人手之六經全是粹然天理，三代以下之史、子、集等則得失交雜，故有心力當先讀六經，於天理

¹¹ 今人何澤恆亦就此現象批判曰：「惟陸王倡心即理，以為吾心即天理，不知聖人之心固無不中理，然必不得即謂凡人之心得合於理也。」〔何澤恆：《王應麟之經史學》〔國立台灣大學博士論文，1981年〕，頁158。〕，此說則甚直指陸王之流治經弊病，陸王之流亟言「宇宙便是吾心，吾心即是宇宙」，卻無法就客觀現象界層面證明己心合於宇宙，而以凡為聖，以私臆為天理，謂己聖賢，甚者乃至楊簡之徒，以經義不合己意，無法自圓其說，而動輒刪改添字。

¹² 如《朱子語類·理氣上·太極天地》載朱熹曰：「天地以此心普及萬物，人得之遂為人心，物得之遂為物之心，草木禽獸接遂為草木禽獸之心，只是一箇天地之心爾。今須要知得他有心處，又要見得他無心處，只恁定說不得。」〔《朱子全書·拾肆》，頁117—118。〕是以天地生萬物，萬物皆具天地之心，又《朱子語類·大學一·經上》載朱子曰：「而今且說格物這箇事理，當初甚處得來？如今如何安頓它逐一只是虛心去看萬物之理，看日用常行之理，看聖賢所言之理。」〔《朱子全書·拾肆》，頁440。〕則進一步以天生萬物皆具理，論格物之「物」應包含萬物，而所謂「日用常行」，即言客觀之現象界。

¹³ 《宋元學案》，卷85，頁4。

¹⁴ 《朱子全書·拾肆》，頁347。

有所把握，再讀三代以下書方可進一步辨其中成敗，而無論讀六經抑或子、史、集俱是格現象界萬有之物，是以曰「書那有不可讀者」。顯然朱熹以三代為界劃分文獻，三代以上之六經為粹然，三代以下文字均是瑕中有疵，故論讀書則先以掌握六經粹然天理為本，行有餘力，方及其餘雜類以辨得失為末。¹⁵若順此推致，則面對三代以下文字，必須以六經、天理為本而有所取捨，是以在《詩經》學，朱熹於漢唐以來諸舊說均條條斟酌、有取有捨，其於《詩序辨說·序》論其辨曰：

又以尚有齊、魯、韓氏之說並傳於世，故讀者亦有知其出於後人之手，不盡信也……愚之病此久矣，然猶以其所從來也遠，其間或真有傳授證驗而不可廢者，故既頗采以附〈傳〉中，而復并為一編以還其舊，因以論之其得失云。¹⁶

〈大序〉、〈小序〉之說，乃至〈齊〉、〈魯〉、〈韓〉三家等均是三代以下非經之文字，於朱熹而言自然有瑕有疵，故考朱熹《詩序辨說》，於〈大序〉、〈小序〉逐條辨其得失，有取有捨。然〈大序〉、〈小序〉諸條雖有瑕有疵，仍得朱熹頗采以附〈傳〉中，其自云乃「以其所從來也遠」，或以較近於三代故，故或可謂朱熹以愈近於三代者，瑕愈勝疵；愈遠於三代者，疵愈勝瑕。復觀呂祖謙《呂氏家塾讀書記》，其總羅先秦至宋季以來史傳、諸子百家以說《詩》，其廣蒐文獻，務求徵詳，自為標舉三代六經之朱子所不許，然東萊所以廣蒐文獻，亦是先讀經，有其主張，方能附眾說於經句之間，則不可驟斷東萊滯於文獻而不明理，其廣蒐文獻，亦不出朱學格物之方，則專就著書之法論之，朱學、呂學不同處僅在選用文獻之態度，一講求古今先後次第，一則合於理者皆廣納之，論者以深寧兼朱、呂著書之法，或出於深寧不廢朱學格物之方，亦兼采呂學之博取。

總前人之評述，可推知深寧之兼陸、朱、呂三家，在於以呂學之博取，行朱學之格物，證陸學之本心。然由本體至於功夫，乃至治《詩》，深寧又如何自視其學？其於《困學紀聞·詩》徵引諸家，以考〈齊詩〉「四始五際」之說：

《詩緯·含神霧》曰：「集徵揆著，上統元皇，下序四始，羅列五際。」又曰：「《詩》者，天地之心，君德之祖，百福之宗，萬物之戶也。」《推災度》曰：「建四始五際而八節」《汎歷樞》曰：「午亥之際為革命，卯酉之際為改正，辰在天門，出入候聽。卯〈天保〉也，酉〈祈父〉也，午〈采芑〉也，亥〈大明〉也。〈大明〉在亥，水始也；〈四牡〉在寅，木始也；〈嘉魚〉在巳，火始也；〈鴻雁〉在申，金始也。」翼奉學〈齊詩〉，聞五際之要，〈十月之交〉。郎顗曰：「四始之缺，五際之危」，五際本於〈齊詩〉四始，與〈毛詩序〉異，蓋習聞其說而失之也。¹⁷

¹⁵ 謹案《朱子語類·學五·讀書法下》載朱熹曰：「看經書與看史書不同：史是皮外物事，沒緊要，可以筭記問人。若是經書有疑，這箇是切己病痛。如人負痛在身，欲斯須忘去而不可得。豈可比之看史，遇有疑則記之紙邪！」〔《朱子全書·拾肆》，頁347。〕顯見朱熹以經為本為先之立場。

¹⁶ 《朱子全書·壹》，頁353。

¹⁷ 〔宋〕王應麟著、〔清〕何焯、閻若璩評註：《困學紀聞》，收入〔清〕紀昀等編：《景印文淵閣四

首先觀深寧所引文獻，首列《詩緯·含神霧》以《詩》為天地之心，謹案「天地之心」一詞出於〈彖·復〉，孔疏曰：「天地養萬物以靜為心，不為而物自為，不生而物自生，寂然不動，此天地之心」，¹⁸此萬物共秉恆生之生化作用，亦同於〈繫辭上〉所述「生生之謂易」，¹⁹是以天地之心為本體，而此本體當範圍現象界君德、百福、萬物等一切萬有，其意亦同象山「宇宙便是吾心，吾心即是宇宙」；其次觀深寧所引文獻名目，《詩》緯凡三、翼奉事出《漢書》、²⁰郎顗事出《後漢書》，²¹總羅文獻，不侷於六經，是東萊著書之法；復次觀其內容，「四始五際」之說乃出於〈齊詩〉，將《詩》篇繫於五行十二支，以觀人事興廢盛衰，謹案《汎歷樞》以寅木始配卯木改正之際、巳火始配午火革命之際、申金始配酉金改正之際，唯亥水既為始又為革命之際，故深寧引翼奉、郎顗事以考之。謹案十二支順行，至亥而終，越亥至子而復；陰陽消長，至亥辟坤而純陰，越亥至子始生一陽。故亥所以同為始為際，乃既處將終、亦處將始，則將入亥之戌當為四始五際之要，是以深寧引翼奉所聞五際之要在〈十月之交〉補之，《詩》篇與五行相繫因之得全矣，而此序恆生循環，合於《周易》天地之心生生之義。陰陽五氣本是天地萬有，推致二氣五行之變，是朱學格物之方，繫以《詩》篇，輔之以《詩》緯、史傳，以明《詩》所載天地之心、生生之理，而《詩緯·含神霧》以〈彖·復〉「天地之心」與〈齊詩〉「四始五際」相提並論，意即在所秉天地之心、生生之理皆一故。顯然深寧此以呂學之廣納，行朱學之格物，證陸學之本心，則《詩》所載天地之心、生生之理雖為一本，但不可以別於外在客觀現象界之萬殊，故深寧又於《困學紀聞·詩》引薛士龍曰：「《詩》之音律，猶《易》之象數」，²²是深寧以為不僅《詩》所載之理可以遍通於現象界之萬事萬化，《易》所載之理亦可以遍通現象界之萬事萬化，則《易》、《詩》所載之理一，六經所載之理俱一，此理即陸象山所論：「此理塞宇宙，所謂道外無事，事外無道」，²³深寧更引而申之：「六經即聖人之心，隨其所用，皆切事理，此用經之法」，²⁴深寧所界定之《詩》本義殆此理也。

據上所論，既明深寧兼綜史學、理學、心學所界定之《詩》本義，乃可以範圍天地、周遊六虛之理，則深寧又如何據此理開展其《詩經》學？此宜就其《詩經》學著作析論之，下即就其《詩經》學著作析論之。

庫全書》〔台北：台灣商務印書館，1983年6月〕，總854，子部166，頁208。

¹⁸ 〔魏〕王弼、〔晉〕韓康伯注、〔唐〕孔穎達疏：《周易正義》〔台北：藝文印書館，1989年〕，頁65。

¹⁹ 《周易正義》，頁149。

²⁰ 謹案《漢書·翼奉傳》載翼奉上封事曰：「臣奉竊學《齊詩》，聞五際之要，〈十月之交〉篇。」〔〔漢〕班固撰、〔唐〕顏師古注、〔清〕王先謙補注：《漢書補注》〔台北：藝文印書館，1955年〕，頁715。〕

²¹ 謹案《後漢書·郎顗傳》載漢順帝時郎顗公車上書云：「四始之缺，五際之戾。」〔〔宋〕范曄撰、〔唐〕章懷注、〔清〕王先謙集解：《後漢書集解》〔台北：藝文印書館，1955年〕，頁387。〕

²² 《困學紀聞》，頁209。

²³ 《象山先生全集》，頁320。

²⁴ 《困學紀聞》，頁209。

三、格物致知乃至以意逆志

謹案深寧《詩經》學專著現存者有《詩地理考》、《詩考》，又有《詩》論見於其《六經天文編》、《困學紀聞》，深寧年逾古稀，其學思歷程當必偕時晉篤，則欲析論深寧之作，理當據於成書先後而疏理之。《困學紀聞》為深寧一生學力所萃，其作最晚，殆無疑矣，今人何澤恆氏又綜參版本、考核內文，以為《詩考》當作於深寧四十二歲，其作當在《周易鄭注》之先，為其輯佚最早著作，²⁵是知《詩地理考》、《六經天文編》作於《詩考》、《困學紀聞》之間，故以下據成書先後，依次試析《詩考》、《詩地理考》、《六經天文編》、《困學紀聞》。

（一）《詩考》

《詩考》一書共五卷，卷一〈韓詩〉、卷二〈魯詩〉、卷三〈齊詩〉、卷四〈詩異字異義〉、卷五〈逸詩〉、卷六〈補遺〉，乃采集三家《詩》之遺說、《詩》之異軼之文，彙成一編。前文已論朱熹以六經為粹然，六經以外文字或多有疵，是以朱熹不滿學者治《詩》獨尊〈毛〉、〈鄭〉一家之言，其欲參三家遺說乃必然，復呂東萊之重文獻，其著力輯三家《詩》遺軼，較之朱熹更為尤甚，故觀《呂氏家塾讀書記》引三家《詩》處甚多，而朱熹於是書作序贊曰：「兼總衆說，巨細不遺，挈領持綱，首尾該貫」。²⁶復觀深寧《詩考·序》自論其著作要旨曰：

諸儒說《詩》，一以〈毛〉、〈鄭〉為宗，未有參考三家者。獨朱文公《集傳》閱意眇指，卓然千載之上。……一洗末師專己守殘之陋。學者諷詠涵濡而自得之，躍如也。文公語門人，《文選·注》多《韓詩章句》，嘗欲寫出，應麟竊觀傳記所述三家緒言，尚多有之。網羅遺軼，傳以《說文》、《爾雅》諸書，萃為一編，以扶微學，廣異義，亦文公之意云爾。²⁷

此深寧自謂推崇朱熹治《詩》，不固守〈毛〉、〈鄭〉，又兼參三家《詩》，而因之廣披典籍、搜羅軼文，以求三家《詩》說、及《詩》異軼之文，不僅補朱熹於三家《詩》之未竟，更是東萊總羅文獻之法。其采集三家《詩》之遺說、《詩》之異軼之文，於諸條目下俱標明出處，未間以己意評論諸家《詩》之優劣高低，如《詩考·魯詩》云：

古有梁鄒者，天子之田也。《文選注》、《後漢書》注：「〈魯詩傳〉曰：『……』」

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²⁵ 謹案今人何澤恆考證云：「然如《詩考》後序所述各條，緣何《紀聞》竟一一及之，則殊不可解。《詩考》一書，據清陸心源《皕宋樓藏書志》所錄元泰定刊本翁序，署『宋理宗景定五年甲子良月』，則當深寧之四十二歲，可謂其輯軼之最早著作，尚在《周易鄭注》之先。」〔《王應麟之經史學》，頁175。〕

²⁶ 《呂氏家塾讀詩記》，頁323。

²⁷ 〔宋〕王應麟著：《詩考》，收入〔清〕紀昀等編：《景印文淵閣四庫全書》〔台北：台灣商務印書館，1983年6月〕，總75，經部69，頁598。

²⁸ 《詩考》，頁612。

謹案「梁鄒」一辭未見於〈毛詩〉，此深寧於《文選注》、《後漢書》注兩處所輯〈魯詩傳〉遺說。又若《詩考·齊詩》「四國是匡」條：

四國是皇，董氏曰：「《齊詩》作『四國是匡』。」賈公彥引以為據。²⁹

《詩·邶風·破斧》有「四國是皇」句，《毛傳》釋此句僅曰：「皇，匡也」，³⁰《鄭箋》下則未釋何以「皇，匡也」，深寧則總羅文獻，據董氏與賈公彥，乃知「皇，匡也」出於《毛》、《齊》異文故，而未以己意評論何者方是。至於全書之末，方述四家《詩》之異同：

《詩》四家異同，唯《韓詩》略見於《釋文》，而〈魯〉、〈齊〉無所考……漢儒言《詩》，其說不一，如此〈關雎〉正風之始也，〈魯〉、〈齊〉、〈韓〉以為康王政衰之詩……此皆先儒所不取。許叔重《說文》謂其稱《詩》毛氏皆古文也，而字多與今《詩》異，豈《詩》之文亦如《書》之有古今歟！併綴而錄之。³¹

深寧述《詩》四家異同，首先就四家所據《詩》版本述之，〈毛詩〉與〈韓詩〉之差異較為顯著，可見於《釋文》，而〈魯詩〉、〈齊詩〉與〈毛詩〉、〈韓詩〉彼此間的差異則難以考察，謹案《詩考·魯詩》、《詩考·齊詩》之篇幅尚不及《詩考·韓詩》之什一，難以考察之因，或以深寧所輯得〈魯詩〉、〈齊詩〉過少故。其次就四家說《詩》內容述之，則舉諸例而作「漢儒言《詩》，其說不一」之總結。總深寧以上所述兩現象，在四家所據《詩》版本異同無法完整考察的前提下，將「漢儒言《詩》，其說不一」歸因於所據《詩》版本異同，只是證據力不足的塗附，但若許慎近西漢之世，述四家《詩》說不同乃出於今古文之異，同樣在四家所據《詩》版本異同無法完整考察的前提下，亦不得斷其塗附，故於「漢儒言《詩》，其說不一」之現象亦只得存而不論而已，是以此「併綴而錄之」立場客觀，粹然總羅文獻以俟後學而已，合於其所自論「扶微學，廣異義」之旨。

（二）《六經天文編》、《詩地理考》

《六經天文編》、《詩地理考》作於《詩考》之後，《困學紀聞》之前，《詩地理考》要在詳考《詩》中所述之地理現象，《六經天文編·詩》則在詳考《詩》中所述之天文現象。〈繫辭上〉曰：「在天成象，在地成形，變化見矣」，³²〈序卦〉曰：「有天地，然後萬物生焉，盈天地之間者唯萬物」，³³復《淮南子》於〈原道〉、〈俶真〉後緊接〈天文〉、〈地形〉，是皆以萬物之始於天地，因之皆以天地相提並論，又謹案窮究《詩》中所述天文地理之風氣始於漢代，觀今所傳《詩》緯內容皆不出於此範

²⁹ 《詩考》，頁 612。

³⁰ [漢]毛亨傳、鄭玄箋、[唐]孔穎達疏：《毛詩正義》[台北：台灣古籍出版社，2001 年 10 月]，頁 616。

³¹ 《詩考》，頁 632。

³² 《周易正義》，頁 143。

³³ 《周易正義》，頁 187。

圍，而鄭玄更作〈詩譜〉以詳考之，則深寧於《詩考》總羅文獻、底定丕基之後，將持之以格天地萬物，明天地之心，故續作《六經天文編》、《詩地理考》，今本《六經天文編》未見深寧自序，謹案深寧於《詩地理考·序》論曰：

《詩》可以觀：廣谷大川異制，民生其間異俗，剛柔輕重遲速異齊。聲音之道，與政通矣。……夫《詩》由人心生也。風土之音曰風，朝廷之音曰雅，郊廟之音曰頌，其生於心一也。人之心與天地山川流通，發於聲，見於辭，莫不繫水土之風，而屬二光五嶽之氣。因詩以求其地之所在，稽風俗之薄厚，見政化之盛衰，感發善心而得性情之正，匪徒辨疆域云爾。世變日降，今非古矣。人之性情，古猶今也，今其不古乎。山川能說，為君子九能之一，毛公取而載於傳，有意其推本之也。是用據傳箋義疏，參諸〈禹貢〉、〈職方〉、《春秋》、《爾雅》、《說文》、《地志》、《水經》，網羅遺文古事，傳以諸儒之說，列鄭氏《譜》十首，為《詩地理考》。讀《詩》者觀乎此，亦升高自下之助云。³⁴

二氣五行交變以成天地，天時流轉，地生萬物，人有殊方，事有小大，人心雖皆能合於天地之心，而古今不二，然所處風土、所接事物不同，自然所感不同而各發其諷詠，一如大塊噫氣，此氣為一，而曲成萬物則眾。是以詳考諸詩人所以有感而諷詠者，可以明詩人之心——即詩人所以合於天地之心者，亦是格物致知之道。若觀全書著作體例，《詩地理考》、《六經天文編》皆廣引古今遺文古事，較之《詩考》僅輯三家《詩》舊說，雖俱是東萊著書之法，然前者於搜羅文獻用力更為深廣；復《詩考》之輯三家《詩》舊說，僅於全書之末述四家《詩》之異同而已，《詩地理考》、《六經天文編》則已於各條目之下總備舊說以後，又兼以己意辨證，如《詩地理考》「自北而南」條：

孔氏曰：「《書·西伯戡黎》注云：『文王為雍州之伯，南兼梁荊。』」文王之國在於岐周，東北近於紂都，西北迫於戎狄，故其風化南行也，從岐周被江漢之域。³⁵

此深寧就〈詩序〉釋二南之南意云：「南，言化自北而南也」句，³⁶參孔穎達疏鄭玄〈詩譜〉：「至紂，又命文王典治南國江、漢、汝旁之諸侯」³⁷句所引《尚書·西伯戡黎》注以辨證之。文王之國在於岐周，據《尚書·西伯戡黎》注時當屬雍州，至於時所兼梁、荊兩州，則當屬鄭玄〈詩譜〉所謂「江、漢、汝旁之諸侯」，故深寧推知所謂「自北而南」者，乃自岐周至江漢之域。又若《詩地理考》「周公出居東都」條：

³⁴ [宋]王應麟著：《詩地理考》，收入[清]紀昀等編：《景印文淵閣四庫全書》[台北：台灣商務印書館，1983年6月]，總75，經部69，頁635。

³⁵ 《詩地理考》，頁638。

³⁶ 《毛詩正義》，頁23。

³⁷ 《毛詩正義》，頁12。

〈金縢〉：「周公居東二年」，居國之東也。鄭氏謂避居東都，未知何據。³⁸

此深寧就鄭玄〈詩譜〉：「周公避流言之難，出居東都二年」句，³⁹引《尚書·金縢》：「周公居東二年」句，⁴⁰交相參照以辨證之。〈金縢〉既云「居東」，不言「出居」、「東都」，則周公避居固當不出畿內，是以深寧以為鄭玄曰「出居東都」不妥，當云「居國之東」。又若《六經天文編·詩》「七月流火」條：

《左傳》張耀曰：「火星中而寒暑退」，服虔云：「火，大火，心也。季冬十二月平旦正中在南方，大寒退；季夏六月黃昏火星中，大暑退。是火為寒暑之候。」又曰：「火猶西流，謂火下為流。」朱氏曰：「火以六月之昏，加以地之南方，至七月之昏，則下西流矣。」曹氏曰：「季夏昏正在於南方，暑已極矣，過是而流，流則暑退，故七月流火也。至九月流盡而伏於戌，寒氣始勝。」王氏曰：「七月、九月、一之日、二之日，何也？陽生矣則言日，陰生矣則言月，與《易·臨》『至于八月有凶』、〈復〉『七日來復』同意。然則四月正陽也，秀萼言月，何也？秀萼以言陰生也，陰始於四月，生於五月，而於四月言陰生者，氣之先至者也。」胡氏曰：「星辰之運，始則見於辰，至未然後得其中，至於申則流，至於戌則伏。《傳》言火見於辰，又以大火為大辰，又以日月星為三辰，豈非日月星辰至於辰而畢見故邪！」《詩》言「定之方中」，《左傳》言「火星中而寒暑退」，及〈月令〉所紀「昏旦中星」，非他取也，取其中於未耳。《詩》言「七月流火」，豈非至申則流歟！《傳》言「火伏於戌」，豈非至戌而伏歟！餘星皆類此，然〈堯典〉時取其見於午者，何哉？蓋聖人南面而聽天下，以答陽為義也。⁴¹

此深寧就《豳風·七月》「七月流火」句詳考之，先引《左傳》文及服注，以證「火」當為心宿，及心宿至七月運行至西以釋「流」字。次以朱氏、曹氏之論以證心宿自季夏至九月運行軌跡乃由南至西，而此運行軌跡又象徵陰陽二氣之消息，心宿七月在申位是「暑已極矣」，至九月伏於戌位「寒氣始勝」。續以王氏之論導入卦氣學以論陰陽消息，進而詳解《豳風·七月》全章詩句，謹案七月辟〈否〉䷋、九月辟〈剝〉

䷖，俱處陰消；一月辟〈復〉䷗、二月辟〈臨〉䷒，俱處陽息，是以曰「七月」、「九月」者因陰消故，曰「一之日」、「二之日」者因陽息故，而九月戌位一陽將剝盡，進而十月辟〈坤〉䷁純陰用事，故曰「寒氣始勝」，又謹案四月辟〈乾〉䷀，當陽極陰萌之交，是以《豳風·七月》曰「四月秀萼」。更以胡氏之論證日月星辰一切天體運行，皆由東而南而西，所不同者遲速而已，一如日出東方、正午而南、仄而落

³⁸ 《詩地理考》，頁 720。

³⁹ 《毛詩正義》，頁 565。

⁴⁰ [唐]孔穎達疏：《尚書正義》[台北：藝文印書館，1989 年]，頁 188。

⁴¹ [宋]王應麟著：《六經天文編》，收入《叢書集成初編》[北京：中華書局，1985 年]，頁 54—55。

西，而心宿亦出於辰、亢於未、流於申、伏於戌。以上深寧總羅文獻，明析天體運行實際情況以證《豳風·七月》之不誣，又持之以證諸經傳所述「中」皆為正南未位，復亢極而仄之義理可由天體推致人事，故《豳風·七月》、〈月令〉所述、《左傳·昭公三年》張趯持以論晉平公，三者所秉義理俱一，而深寧總羅文獻、格天地萬物，以致知義理也。又若《六經天文編·詩》「雲漢」條：

楊泉《物理論》云：「漢，水之精也，氣發而升，精華浮上，宛轉隨流，名曰天河，一曰雲漢。」《埤雅》曰：「萬物之精，上為列星，河精上為天漢。」《詩》曰：「倬彼雲漢，昭回于天」，言水氣之在天為雲，水象之在天為漢，今皆倬然昭明，回轉於上，則非雨之候也。又曰：「瞻仰昊天，有嘒其星」，言早久而繁星備見，則尤非雨之候也，且其正言昊天，則下之時也，以今觀之，炎夏早暘而熱，則小星森布如碁。星陽之精也，盛陽而亢，則星稠於上，其理然也。⁴²

此深寧就《大雅·雲漢》之「雲漢」二字，輯《物理論》、《埤雅》，又參以《大雅·雲漢》篇文以辨證之，案「雲漢」於今當為大氣現象，古所謂天文除星象外，尚包含大氣現象，蓋星象、大氣現象俱出於天，即〈繫辭上〉所謂「在天成象」⁴³也。先明「雲」、「漢」之本質，後持之以證《詩》旨，即格天地萬物，以致知天地之心也。

深寧於《詩地理考》、《六經天文編》所搜羅文獻之來源，遠廣於《詩考》，而於搜羅文獻之後，進一步根據文獻進行辯證，格萬物以致知天地之心，此又超於《詩考》之上。顯見深寧作《詩考》乃初搜文獻，為其底蘊，至《詩地理考》、《六經天文編》方才據其底蘊以行格物致知之事，非徒務為博聞強記，乃有次第地建立其《詩經》學。

（三）《困學紀聞·詩》

《困學紀聞》為深寧晚年碎金所萃，全書以筆記形式，分述其《易》、《書》、《詩》、《禮》、《春秋》、天文、地理、史、詩、文等學。謹案《困學紀聞·詩》諸條目排列方式，前依《詩》文之序，分別列《詩》文之考據，後為其治《詩》心得，結構緊實。考據之事，殆深寧已行之一生，而總論治《詩》心得，僅能多見於此，故或可於此窺其《詩經》學體系，其曰：

格物之學，莫近於《詩》。「關關之雎」，摯有別也；「呦呦之鹿」，食相呼也。「德如癩鳩」，言均一也；「德如羔羊」，取純潔也；「仁如騶虞」，不嗜殺也。「鴛鴦在梁」，得所止也；「桑扈啄粟」，失其性也。「倉庚」，陽之候也；「鳴鵙」，陰之兆也。「蒹葭露霜」，變也；「桃蟲拚飛」，化也。「鶴鳴於九皋，聲聞於野」，誠不可掩也；「鳶飛戾

⁴² 《六經天文編》，頁 59。

⁴³ 《周易正義》，頁 143。

天，魚躍於淵」，道無不在也。「南有喬木」，正女之操也；「隰有荷華」，君子之德也。「匪鱸匪鮪」，避危難也；「匪兕匪虎」，慨勞役也。〈蓼莪〉、〈常棣〉，知孝友也；〈繫鸕〉、〈行葦〉，見忠信也。〈葛屨〉褊，而〈羔裘〉急也；〈蟋蟀〉儉，而〈蜉蝣〉奢也。「爰有樹檀，其下維穀」，美必有惡也；「周原膴膴，萇茶如飴」，惡可為美也。「黍以為稷」，心眩於視也；「蠅以為雞」，心惑於聽也。「綠竹猗猗」，文章著也；「皎皎白駒」，賢人隱也。「贈以勺藥，貽我握椒」，芳馨之辱也；「焉得諼草，言采其虺」，憂思之深也。「柞棫斯拔，侯薪侯蒸」，盛衰之象也；「鳳凰於飛，雉離于羅」，治亂之符也。〈相鼠〉、〈碩鼠〉，疾惡也；〈采葛〉、〈采苓〉，傷讒也。引而伸之，觸類而長之，有多識之益也。⁴⁴

至此可證知深寧論其治《詩》方法在於格物，廣泛舉例以證《詩》中所述俱可以格，而自《詩》所格而得者同於《易》，故引〈繫辭上〉「引而伸之，觸類而長之」，而《易》、《詩》之間又可以互相參證：

文王之治，由身及家，風始於〈關雎〉，雅始於〈大明〉而〈思齊〉。又〈關雎〉之始也，〈家人〉之九五曰：「王假有家」。⁴⁵

然格物目的在於致知，格《詩》之物以致知如何可能？所致之知又為何？深寧論曰：

誦《詩》三百，不能專對，不足以一獻，皆誦言而忘味者也。自賜商之後，言《詩》莫若孟子，其述孔子之言以為知道者二，〈鴟鴞〉、〈蒸民〉是也。如〈靈臺〉、〈皇矣〉、〈北山〉、〈雲漢〉、〈小弁〉、〈凱風〉深得詩人之心，以意逆志，一言而盡說《詩》之要，學《詩》必自孟子始。⁴⁶

荀子曰：「善為《詩》者不說」，程子之優遊玩味，吟哦上下也。董子曰：「《詩》無達詁」，孟子之不以文害辭，不以辭害志也。⁴⁷

前文以「格物致知」為治《詩》之法，此又以孟子「以意逆志」為誦《詩》之法，更明言學《詩》必自孟子始，似前後文相扞格，然孟子論讀《詩》非僅「以意逆志」之法，亦言「知人論世」，⁴⁸知其人、論其世，是對詩人所處情境有精確之了解，方能「以意逆志」，可以知詩人之所感，而藉窮究《詩》中名物以知人、論世，又豈非「格物致知」？則格《詩》所述之物，知詩人其人、論詩人其世，進而知詩人之所感於天地之心——天地之理者，由「格物致知」乃至「以意逆志」，是深寧《詩經》學之全貌，而對詩人所處情境之了解、以及感詩人之所感，皆不出於任一讀者之主觀經驗，此主觀經驗又超於語言文字之外，故深寧又專就此主觀，帙荀、程、董、

⁴⁴ 《困學紀聞》，頁 207—208。

⁴⁵ 《困學紀聞》，頁 211。

⁴⁶ 《困學紀聞》，頁 208。

⁴⁷ 《困學紀聞》，頁 210。

⁴⁸ 謹案《孟子·萬章下》：「頌其詩，讀其書，不知其人，可乎？是以論其世也。」〔《孟子》〔台北：藝文印書館，1981 年〕，頁 145。〕是孟子亟言讀文學作品，需對作者所處情境有充分之掌握。

孟之說為一條目，以荀子「善為《詩》者不說」點明讀者之主觀，程子「優遊玩味，吟哦上下」闡述讀者主觀之運作方式，末以董仲舒「《詩》無達詁」、孟子「不以文害辭，不以辭害志」說明主觀經驗超於語言文字之外，故不可以言述。然讀者欲於獲取主觀經驗，仍離不開文字語言，故格物、知人論世僅是方法，僅具有工具性，所致之知、所逆之志方是目的、成果。

總本節所述，深寧《詩經》學之建構過程有跡可循：《詩考》僅總羅文獻，輯《詩》三家之軼而已，是呂氏著書之法；《詩地理考》、《六經天文編》更廣搜古今之說，間以辨證，不僅更為擴充呂氏著書之法，又加以朱熹格物致知之學；至《困學紀聞》正式提出格物致知乃至於以意逆志之體系，則是以呂氏著書之法為基礎以格物致知，進而證象山之本心。是知深寧融通呂、朱、陸三家之學，非是驟然為之，乃以一生精力循序漸進，而所以訂定此序者，或出於深寧鑑於呂、朱、陸三家之學優劣故：呂學總羅文獻，著眼於下達功夫；陸學著眼於本體豁顯發明，專務於上達境界，較未著眼於現象界；朱學著眼於格現象界之萬物以求上達，總羅文獻之方不及呂學、其上達難以致一又不及陸學，但能辯證以求理又勝於呂學、陸學。是以先以呂學下達功夫為基礎，進而持朱學以辨證，而終達於陸學之致一，顯然據「下學而上達」為本而訂定其為學之序，此序忠實地反映於其《詩經》學上。

四、結語

本研究試析王應麟之《詩經》學，知王應麟乃兼綜呂、朱、陸三家，更復向上為其《詩經》學。其兼綜三家，以呂學下達功夫為基礎，進而持朱學格物以辨證，而終達於陸學之致一，非是驟然未思，先是總核彼此優劣，截長補短，後以一生精力循序漸進。復參宋代從事經學者之於漢唐舊注，多罪其因襲固陋、抱殘守缺，故發以己意、堅持己見，乃至末流偏囿一師、一家、一派，交相辯駁，僅求最勝義，務求驅除異己，即便深寧已於宋末元初斟酌諸家得失，而得和齊向上之方，然觀元明間朱、陸末學之交相攻訐，又嘗不是因襲固陋、抱殘守缺？則宋儒與其所病之漢儒又有何異？至於清代學者論深寧之學，則又多僅止於推崇深寧之考據，而鮮見其所以為考據乃為求致一，多是困於下學而未及至上達，以致未深究其學之精微處。

深寧能於眾聲喧嘩中客觀分析當代諸家長短，於經、史、子、集乃至漢唐舊注等一切諸學又無成見，故其學廣大精微兼而有之，在於其《詩經》學，則學者罕能罪其一辭，較之元、明交詬不休、清之困於下學者，實為超然。雖其未能樹立旗幟，廣聚後學，然自我標榜以成家派，畫地自限，要非深寧之所願也，理萬殊而一本，學苟偏於萬殊，謂人我古今相別，則復於一本終無期矣，深寧之《詩經》學得超然於古今諸家之上，或其已明一本萬殊之至理矣。

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The Effect of Specific Goals on EFL Students' Self-efficacy and Performance of Vocabulary Learning

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Abstract

The purpose of the present study was two-fold. First, it investigated the relative effects of the specific goal and the vague goal on EFL students' self-efficacy and performance of vocabulary learning. Second, it aimed to obtain in-depth understandings of the teacher's and the students' perceptions about the goal setting in the study. One hundred and two junior high school students and their English teacher participated in the study. The students were divided into two different groups, i.e., specific goal group (experimental group) and vague goal group (control group). Both groups were instructed 25 new vocabulary words by the same EFL teacher. Prior to the instruction, all participants were informed that a test on the 25 vocabulary words would be given three days after the instruction. Meanwhile, each student in the experimental group was assigned an individual goal regarding the test by the teacher. The students of the control group were told to "do your best" and "work hard" for the test as their goal.

Both quantitative and qualitative methods were used. Student self-efficacy questionnaire responses and the vocabulary test scores of these two groups were compared at the end of the experiment. The *t-test* results showed that the experimental group outperformed the control goal group in both the vocabulary test and self-efficacy scores, which suggested that setting specific goals was more effective in enhancing students' self-efficacy and performance. In addition to the quantitative analysis, qualitative techniques such as student journals and the teacher interview were employed to obtain in-depth understandings about the students' and teacher's perceptions of the goal setting in this study. It was found that students and the teacher both perceived setting specific goals as an effective way to enhance learning motivation and self-efficacy.

Keywords: specific goals, self-efficacy of vocabulary learning, performance of vocabulary learning

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設定明確目標對英語為外語學生單字學習的自我效能 和成就表現之影響

張善賢*

摘要

本研究的目的之一在於探討明確目標和模糊目標，對於英語為外語國中學生學習單字方面，自我效能和成就表現方面所產生的影響；另一目的為深入了解師生對於本次目標設定的想法。本研究樣本為一百零二位國中學生和一位英語教師。學生依照研究目的分為二組：明確目標組（實驗組）和模糊目標組（對照組）。二組學生皆接受相同單字課程教學，由該教師進行教學，學習廿五個單字。教學開始時，教師告知所有學生，單字課程結束後三天，將實施以該廿五個單字為範圍的測驗；同時，教師針對實驗組每位學生根據其能力分別賦予一個明確目標，而對照組學生則以「盡全力」和「努力用功」準備考試作為該目標。本研究採用量性和質性研究法。在量性方面：學生的自我效能問卷反應和單字學習成就表現，在實驗結束後進行比較，統計結果顯示，實驗組在自我效能和成就表現優於對照組學生；此乃意味適切目標能有效提升學生學習動機、自我效能，和成就表現。在質性方面：本研究使用學生學習日誌以及和教師訪談等技巧，以求深入了解師生對於本次目標設定的想法。結果發現，師生雙方都肯定適切的目標設定能有效提升學習動機、成就和自我效能。

關鍵字：明確目標、單字學習自我效能、單字學習成就表現

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1. Introduction

Second language learning motivation (L2 motivation) has traditionally been researched through Lambert and Gardner's sociopsychological perspective of second language acquisition. Gardner's (1985) socio-educational model of second language learning has grounded its theory in the second language context rather than the foreign language context. In the second language context, language is usually mastered through the formal instructions in the classroom accompanied by sufficient exposures to the language outside the classroom. Besides, the sociopsychological approach primarily stresses on the role of the social variables such as attitudes and identity. In recent years, researchers have questioned Gardner's sociopsychological approach to L2 motivation in terms of its validity in other contexts than the North American setting, especially in the foreign language learning (FLL) context. Moreover, researchers have argued that Gardner's model of L2 motivation is too restricted and therefore called for alternative approaches to L2 motivation from other disciplines (e.g. Chang, 2005a, 2005b; Chang, 2006; Chang, Huang, & Wu, 2010; Huang, Chang, & Huang, 2007; Dörnyei, 1994; Oxford & Shearin, 1994; Tremblay & Gardner, 1995), especially those approaches that are more promising in generating classroom-specific motivational strategies (Dörnyei, 1994, 1998, 2001, 2003; Dörnyei & Csizér, 1998; Oxford & Shearin, 1994; Song, 2002). Oxford and Shearin (1994) further pointed out that L2 teachers should help students feel self-efficacious by setting challenging but proximal goals for them.

Previous studies have pointed out that vocabulary plays a crucial role in language learning (e.g. Penno et al., 2002; Saville-Troike, 1984). Vocabulary growth is closely linked to school progress and competence in reading (Penno et al., 2002). Vocabulary ability and memorization of students have often been emphasized by the EFL teachers in Taiwan. Vocabulary ability is usually tested in quizzes and examinations in the EFL classroom (Chang, Huang, & Wu, 2010).

The purpose of the present study was two-folded. First, it investigated how goal setting for EFL students would influence their self-efficacy and performance in vocabulary learning. The study would like to compare the relative effects of the two types of goals on student self-efficacy and performance, i.e., the specific goal and the vague goal. Second, the present study aimed to obtain in-depth understandings of the teacher's and the students' perceptions about the goal setting.

2. Literature Review

Goal setting has been extensively researched and practiced in different fields to boost humane motivation and performance. Goals provide specific directions, motivate them to expend more efforts, and push them to persist longer in learning. Setting

appropriate goals makes success more feasible to students, which foster the feeling of self-efficacy. Enhanced self-efficacy, in turn, helps sustain student motivation and improve consequent academic achievement. Researchers have concluded that goal setting is a useful motivational technique that enhances people's intrinsic motivation, self-efficacy, and academic performance (e.g., Latham & Locke, 1991, 2006; Locke & Latham, 1990, 2002; Pajares, 1996; Schunk, 1996a; Schunk & Swartz, 1993).

Locke (1996) indicated that goals affect the direction of action, the degree of effort exerted, and the persistence of action over time. Besides, goals are also viewed as immediate regulators of human action (see Wang, 2004). The effects of goals on behavior depend on the three crucial properties: specificity, proximity, and difficulty (Bandura, 1997; Schunk, 1990, 1994, 1996b, 1996c, 2001, 2003). Specific goals can direct people's action (Locke & Latham, 1990), focus people's attention on relevant task features and the useful strategies (Latham & Locke, 1991; Oxford & Shearin, 1994; Tremblay & Gardner, 1995), specify the amount of effort needed to attain the goals (Schunk, 1990, 1996c), and promote self-efficacy (Schunk, 1990, 1996c). Proximal goals can provide immediate incentives and guides for action (Bandura, 1982), help people to evaluate progress immediately, and strengthen people's confidence. In addition, proximal goals are especially influential with children, who have relatively short time frames of reference and are not fully capable of representing distant outcomes in thought (Schunk, 1996c). Difficult goals can create higher motivation (Schunk, 1990), greater effort expenditure, and better perseverance (Latham & Locke, 1991; Schunk, 1991).

Self-efficacy is defined as "people's judgments of their capabilities to organize and execute courses of action required to attain designated types of performances" (Bandura, 1986, p. 391). Self-efficacy for learning may be a good predictor of actual learning because it taps students' beliefs about their learning capabilities, which influences academic motivation and learning (Schunk, 1996a). Research findings showed that self-efficacy can affect people's choice behavior, effort expenditure and persistence, thought patterns, and emotional reactions (Bandura, 1982, 1986, 1989a, 1989b, 1997; Pajares, 1996; Schunk, 1991). Students with high self-efficacy would choose what are more challenging to undertake, expend more effort to attain standards, persist longer when encountering difficulties, attribute failure to internal causes, and take negative discrepancies between standards and performance as motivating ones. In addition, such beliefs affect the level of motivation as well as achievement. After overcoming challenges, people with a strong sense of efficacy generally would tend to undertake further challenges. Successful experiences in overcoming further challenges would enhance people's motivation to keep working.

Researchers proposed that there exists a reciprocal relationship between students' goal setting and their perceived efficacy (Bandura, 1986; Pajares, 1996). Self-efficacy influences people's choice of goal difficulty, the degree of commitment to goals, the

response to negative feedback or failure in the process of goal attainment, effort expenditure and persistence during the process of goal attainment, and the choice of task strategies to attain goals (Maddux, 1995; Pajares, 1996; Zimmerman et al., 1992). On the other hand, goals serve as standards for people to verify a growing sense of self-efficacy (Bandura, 1982; see Schunk, 1985). Goal attainment could further validate self-efficacy by giving individuals a sense of task mastery and bolster efficacy (Earley & Lituchy, 1991; see Schunk, 1985, 2003). Success raises self-efficacy, and failure lowers it. However, once students develop a strong sense of efficacy, a failure may not have a significant impact.

Although goal setting has been extensively researched and practiced as an effective motivational technique in different fields such as academics (e.g., Page-Voth & Graham, 1999; Schunk, 1985, 1994, 1996b, 2001; Schunk & Ertmer, 1999; Schunk & Swartz, 1993), athletics (e.g., Bandura, 1997; Locke & Latham, 1985, 1990), and business (e.g., Bandura, 1997; Locke & Latham, 1990), only a few studies have been conducted to explore its effect in the EFL context. Chang (2005a, 2005b) and Huang et al. (2007) in their experimental studies found that Taiwanese junior high school EFL students with specific goals outperformed their counterparts with vague goals or no goals in terms of vocabulary learning. In Japan, Haynes (2011) conducted a study among 34 university EFL students and found that the students perceived goal setting as a motivating tool that helped them see their progress and focus on specific language areas. Srichanyachon (2010) surveyed 370 EFL students at a university in Thailand and found that students who set high goals tended to have less learning problems than did those who set low goals.

3. Method

3.1 Participants

The participants were 102 2nd year students (gender mixed) and their EFL teacher from a private junior high school located in central Taiwan. The students' demographic information is summarized in Table 1. The participants were divided into two groups for the purpose of the present study: the specific goal group (experimental group) and vague goal group (control group). To determine if ability differences exist between these two groups, students' scores of the English test in the simulated exams were collected and analyzed by performing *t*-test prior to the experiment. The *t*-test results indicated that no significant difference existed between the two classes at the outset of the experiment, $t(101) = .956$, $p > .05$ (see Table 2). In Taiwan, simulated examinations are highly valued by students, schools and parents. Simulated exams are usually administered to junior high school students in order to familiarize them with the format and atmosphere of the entrance exams of senior high schools. The results of the simulated exams are often

regarded as predictions of students' future performance of the entrance exams. Therefore, these participants generally prepare for these exams seriously.

Table 1

Demographic Information of the Participants

| | Experimental Group | Control Group |
|-------------|--------------------|---------------|
| Male | 31 | 17 |
| Female | 18 | 36 |
| Subtotal | 49 | 53 |
| Grand Total | 102 | |

Table 2

T-test Results of the Scores of the English Simulated Examinations for the Control Group and the Experimental Group

| Group | N | Mean | SD | t |
|--------------------|----|-------|-------|------|
| Control Group | 53 | 76.41 | 9.20 | .956 |
| Experimental Group | 49 | 74.10 | 14.60 | |

Note: Total score= 100

3.2 Instruments

This study used both quantitative and qualitative methods. The quantitative data were collected through instruments such as the vocabulary test and self-efficacy strength questionnaire while the qualitative data were collected through student learning journals, the goal-setting response questionnaire and teacher's interview.

3.2.1 The Vocabulary Test

Prior to the experiment, a vocabulary test was administered to all participants as the pretest (see Appendix A). There were totally 25 items on the test. Each item tested one word and counted 4 points and the total score was 100 points. The *t*-test results showed that no significant group differences existed for the pretest scores, $t(101) = -.43$, $p > .05$ (see Table 3). As can be seen in Table 3, the low mean scores (1.43 and 2.04) indicated that the all the 25 words were new to the participants. The same test was administered to the participants after the instruction on these vocabulary words as the posttest.

Table 3

T-test Results of the Vocabulary Pretest for the Control Group and the Experimental Group

| Group | N | Mean | SD | t |
|--------------------|----|------|------|------|
| Control Group | 53 | 1.43 | 4.51 | -.43 |
| Experimental Group | 49 | 2.04 | 9.28 | |

Note: Total score = 100

3.2.2 Self-efficacy Strength Questionnaire

Although Bandura (1982) suggested self-efficacy be measured through level, strength and generality, Schunk (1996a) pointed out that Bandura's two-step efficacy judgment procedure made children confused. Schunk (1996a) indicated that self-efficacy strength alone could be an adequate measure for self-efficacy, which has been supported by many studies (e.g. Schunk & Swartz, 1993; Schunk, 1996a; Wang, 2004). Therefore, the present study used self-efficacy strength to measure students' perceived self-efficacy of the English vocabulary.

Self-efficacy strength questionnaire in this study was adopted from Wang (2004) (see Appendix D). Wang's (2004) questionnaire was designed to gain information about the strength of the students' confidence in English vocabulary test. In Wang (2004), seven items were included in the questionnaire and each item indicated the number of words that the student thought they could answer correctly. However, since self-efficacy means individual's self-confidence in the specific task, the seven items were expanded to twenty-five items according to the total number of the vocabulary words tested in the current experiment. Each item estimated students' strength of confidence in answering correctly the specific question in the vocabulary test. The students assessed the strength of their confidence on a 100-point scale, ranging in 10-unit interval from 0 ("completely unconfident") to 100 ("completely confident"). Self-efficacy strength was then calculated by summing up all of the scores across items and then the sum was divided by the total number of items.

The students filled out the questionnaire immediately after they finished the vocabulary pretest *and* posttests. To investigate whether group differences existed in self-efficacy toward the vocabulary pretest at the onset of the experiment, the *t*-test results showed no significant differences between the two groups, $t(101) = .69$, $p > .05$ (see Table 4). As can be seen in Table 4, it was reasonable that the mean scores for both groups were very low (.56 and .38) since students had not learned the new words when they took the pretest. The same questionnaire was administered to the participants immediately after they finished the vocabulary posttest.

Table 4

T-test Results of the Perceived Self-Efficacy Toward the Vocabulary Pretest for the Control Group and the Experimental Group

| Group | N | Mean | SD | t |
|--------------------|----|------|------|-----|
| Control Group | 53 | .56 | 1.18 | .69 |
| Experimental Group | 49 | .38 | 1.15 | |

Note: Total score = 100

3.2.3 The Student Learning Journals

In order to obtain in-depth understandings of the students' and teacher's perceptions about the goal setting in this study, several qualitative techniques were used to collect data among the experimental group and the teacher, i.e., the student learning journals, the goal-setting response questionnaire and the teacher interview.

The participants wrote the learning journal during the experiment. They were asked to write down their answers to the following two questions: 1) Does the assigned goal influence your motivation to learn English and why? and 2) Does the assigned goal influence your English learning in terms of preparation for the test, effort expenditure and persistence? (see Appendix C).

3.2.4 The Goal-setting Response Questionnaire

Previous studies suggested that the goal-setting response questionnaire needs to consist of the following four aspects: 1) the degree of usefulness of goal setting, 2) the students' intention to use goal setting in the future, 3) intention to recommend goal setting to other pupils and 4) their suggestions for making goal setting more successful (Lee & Gavine, 2003). In the present study, the goal-setting questionnaire adopted from Lee and Gavin (2003) was administered to the experimental group at the end of the study (see Appendix E).

3.2.5 The Teacher Interview

Prior to the interview, five main questions were generated as the guiding questions (see Appendix F). The interview, which lasted approximately thirty minutes, was conducted in the teacher's native language, Mandarin Chinese. It was digitally recorded and then transcribed. In the interview, the teacher was asked to provide comments on the goal setting in terms of practicability, advantages and disadvantages as well as difficulties. The teacher was also asked if she would use goal setting in the future. Moreover, the teacher was expected to give some suggestions for implementation of goal setting in the future.

3.3 Setting Goals for Students

Griffiee and Templin (1997) argued that learning 25 new words can be difficult but possible goal for students. Both groups were instructed 25 new vocabulary words by the same EFL teacher. Prior to the instruction, all participants were informed that a test on the 25 vocabulary words would be given three days after the instruction. Meanwhile, each student in the experimental group was assigned a specific goal by the teacher based on her judgment about the student's ability. The goals for the specific goal group were showed in Appendix B. The lowest goal was to score 20 points and the highest goal was to score 96 points for the vocabulary posttest. On the other hand, the teacher told the control group students to "do your best" and "work hard" for the test as their goal just as she usual had told students in class.

4. Results

PASW (SPSS) for Windows Version 19.0 was used to analyze the quantitative data. Qualitative data such as the learning journal, the goal-setting response questionnaire and the teacher interview transcription were analyzed to obtain the major themes.

4.1 Vocabulary and Self-efficacy Posttests

The goal attainments of the experimental group are calculated and summarized (see Appendix B). It was found that 38 out of 49 students (77.6%) attained their assigned goals. In addition, the *t*-test results showed that the experimental group performed significantly better than the control group in both the vocabulary posttest, $t(101) = -4.47^{**}$, $p < .01$ (Table 5) and self-efficacy toward the vocabulary posttest, $t(101) = -2.88^{**}$, $p < .01$ (Table 6).

Table 5

T-test Results of the Vocabulary Posttest for the Control Group and the Experimental Group

| Group | N | Mean | SD | t |
|--------------------|----|-------|-------|---------|
| Control Group | 53 | 61.64 | 28.09 | -4.47** |
| Experimental Group | 49 | 84.24 | 22.90 | |

Note: Total score = 100 ** $p < .01$.

Table 6

T-test Results of the Perceived Self-Efficacy Toward the Posttest for the Control Group and the Experimental Group

| Group | N | Mean | SD | T |
|--------------------|----|-------|-------|---------|
| Control Group | 53 | 59.33 | 31.59 | -2.88** |
| Experimental Group | 49 | 79.79 | 29.85 | |

Note: Total score = 100 **p<.01.

4.2 Results of the Students Learning Journals

4.2.1 Goals are challenging but motivating to students.

Students' writing in the learning journals generally showed that the assigned goals were challenging but motivating to them. In the research about goal setting, goal difficulty is taken as an important factor that motivates people to attain their goals. As long as individuals have enough abilities, the more challenging goals are, the more motivated they would become. In addition, goal attainment could provide students with a sense of achievement, which further enhances motivation. As one student stated, "... if I attain my goal, I would have a sense of achievement."

4.2.2 Goal made students strive to perform well.

Researchers of the expectancy-value theory argued that individuals' choice, persistence, and performance can be explained by their beliefs about how well they would do on the activity (see Wigfield & Eccles, 2000). This was found in several students' writing. As one student mentioned, "If I can't attain my goal, I will be very sad...I wanted to surpass my standard (the assigned goal)."

Locke (1996) indicated that goals influenced motivation in that they affected the direction of action, the persistence of action over time, and the degree of effort exerted. Students in this study generally agree that goals specified how well they should perform on the test and therefore influenced their effort. As a student mentioned, "[The goal] makes me know how many words I must memorize". As for students' persistence in working, another student stated that "I kept working [on memorizing the new words] although I was quite sleepy". The assigned goals also pushed them to spend more time studying English and to make best use of their time. Several students mentioned that "I spent more time reading English" and "I made use of the time when I was on the school bus."

4.3 Results of the Student Goal-setting Response Questionnaire

4.3.1 Goals are useful to students.

Most students indicated that the specific goal was useful for them (31 out of 49).

Some students mentioned that with specific goals they performed better than they did before. One student stated that "My grade was higher than before." Besides, several students said that goal setting had enhanced their motivation to study. As one student indicated in the questionnaire, "The goal enhanced my motivation to study." In addition, previous studies have revealed that goal setting increases effort expenditure and provides directions. This was found among students' questionnaires. For example, as one student mentioned, "[Goal setting] made me work harder." Another one stated he worked harder "because it [goal setting] provided a specific direction."

4.3.2 Goals were expected to help students' future learning.

When asked whether they will set specific learning goals in the future and whether they will recommend goal setting to other students, most of them stated that they would use it in the future (32 out of 49) and they would recommend that to others (35 out of 49). Students particularly pointed out that setting the specific goal had contributed to their learning. As one student claimed, "[Goal setting] was useful!" In general, students indicated that goal setting greatly influenced their effort expenditure. As another student stated, "With specific goals, I will study harder for the tests in the future."

4.3.3 The teacher should pay attention to individual needs and differences.

When asked to comment on the goal setting implementation, some students suggested that the teacher should give rewards upon goal attainment. This suggests that extrinsic incentives may play a role in the practice of goal setting. One student stated "providing rewards" would make goal setting even more successful. In addition, some students indicated that goals should be assigned based on individual abilities. For example, one student answered, "[The goals] should be set according to one's own ability." This comment suggests that goal difficulty should be considered when teachers assign goals to students of different abilities.

4.4 Results of the Teacher Interview

4.4.1 Goal setting is a practical technique.

The teacher expressed she was greatly impressed by the effect of the specific goal. Even for those "low-achieving" students, she believed it is a practical motivating technique. As she mentioned, "It was practicable because [many students] are passive. Assigning goals to students may make them work harder." When asked about what impressed her most in the goal-setting, the teacher indicated that the effects of goal setting on a low-achievement student impressed her a lot.

4.4.2 Appropriate goals were hard to be decided.

The teachers indicated that it was hard to assign an appropriate goal for every

student. As she said, “when assigning goals, we need to analyze students’ performances of previous tests and worry whether each assigned goal truly reflect the student’s ability. If we assign goals based on the easy tests, ... the assigned goal will not reflect students’ abilities.”

4.4.3 Use incentives to strengthen goal commitment.

In line with the students’ opinion, the teacher also suggested that rewards upon goal attainment should be provided. She further indicated that the rewards must be valued by students. As she stated, “To some students, rewards are important, because if they like the rewards, they would work harder.”

5. Discussion

It was found in the study that specific goals were more effective in improving the junior high school EFL students’ self-efficacy and performance of vocabulary learning. The findings are consistent with previous studies. For example, in a study examining the causal role of students’ self-efficacy beliefs and academic goals in self-motivated academic attainment, Zimmerman et al. (1992) found that goals played a key role in students’ attainment of grades in school. It was found these goals committed the students to specific grade achievements. In another study, Miller and Kelley (1994) taught students to divide homework assignment into small goals and found that specific goals could increase homework accuracy. Furthermore, in a study on goal setting effect on computer learning, Schunk and Ertmer (1999) found that providing students with a specific goal helped them focus on the learning process, which motivated them to use effective self-regulatory activities.

In the present study, the goal assigned to students of the experimental group can be considered to consist of the three important properties, i.e., specificity, proximity and difficulty. Specific, proximal and difficult goals have been argued to benefit students better than the goals which are easy, vague, or distal (Bandura, 1997; Schunk, 1996b, 1996c, 2003; Schunk & Swartz, 1993). Tests and quizzes are powerful proximal goals in the years-long language learning in the current Taiwanese educational context. Schunk (1996c) indicated that specific goals boost performance by greater specification of the amount of effort required for success and the self-satisfaction anticipated and they also promote self-efficacy because progress is easy to gauge. The goals in the present study were considered proximal since the posttest was given three days after the vocabulary instruction. Bandura (1982) proposed that motivation is best summoned and sustained by adopting attainable proximal goals in that proximal goals provide immediate incentives and guides for action.

The assigned goals also consisted of difficulty. Students’ feedbacks and the goal

attainment suggest that the goals were moderately difficult for students. This was considered one reason for making students work harder on the test. This finding is in line with Locke and Latham (1990, 2002), arguing that the moderately difficult goals would induce people to expend more effort and perform better.

In sum, students in the present study generally indicated that specific goals enhanced their effort expenditure and persistence in learning. This is consistent with previous research in which the influences of goal setting on effort expenditure and persistence were emphasized (Locke & Latham, 1990; Oxford & Shearin, 1994; Tremblay & Gardner, 1995; Zimmerman et al., 1992). For example, Locke and Latham (1990) claimed that goals affect effort intensity. It was assumed that under high demand conditions, people use more of their total capacity than under low ones. Therefore, as previous studies revealed, challenging goals would lead people to working longer at a task than easy goals.

6. Conclusion

Based on the findings, we conclude that setting specific goals would be useful in enhancing students' performance, self-efficacy and motivation in EFL learning. In addition, from the students' and teacher's responses, rewards upon goal attainment were considered as one important factor that commits students to their goals. As a result, teachers who intend to effectively implement goal setting in the classroom may consider providing appropriate rewards for students. Furthermore, as the teacher and the students suggested in this study, teachers should also take students' individual differences into consideration when assigning goals to them. Teachers should consider the students' needs, ability, and personality.

It is noted that little research of goal setting has been conducted in the EFL classroom. The value of this study could be both theoretical and practical. Theoretically, this study contributes to our knowledge of how goal setting relates to language learning. The findings of the present study provide empirical evidence for the effects of goal setting in the EFL context. Practically, the present study proposes setting specific goal can serve as an effective technique to enhance students' perceived self-efficacy and motivation, which in turn benefit performance. Teachers may assign students specific, moderately challenging and proximal goals in the English class.

Although the present study has shed light on the effectiveness of goal setting in the FLL context, two suggestions were proposed for the future studies. First, students were assigned goals solely based on their English teacher's perceptions and on their own performances on previous English tests. Further studies may involve students themselves in the decision-making process of goal setting. (see Earley & Kanfer, 1985; Schunk, 1985). Second, this study focused on the influences of goal setting on students' English

vocabulary learning. Further research may involve other aspects of language learning such as the four skills and grammatical rules.

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Appendix A: The Vocabulary Test

1. They plan to start a c _____ n against smoking. 他們計畫發起禁菸運動。
2. In this c _____ e, you should be careful. 在這個情勢下，你必須小心。
3. I hope I can win the e _____ n. 我希望我可以贏得這場選舉。
4. Mary went to work d _____ e her illness. 儘管生病，瑪莉還是去工作。
5. The United States has a f _____ l government. 美國有聯邦政府。
6. Jack is g _____ l for Kim's help. 傑克對金的幫忙很感謝。
7. A school is an i _____ n. 學校是公共機構。
8. Parents m _____ n their children at school. 父母供養還在學的小孩。
9. We have o _____ ved your behavior for a long time. 我們已經觀察你的行為很久了。
10. My mother does not p _____ t me to leave my room. 我媽媽不允許我離開房間。
11. Parents often make s _____ es for their children. 父母常為子女犧牲。
12. This painting is t _____ l of her early works. 這幅畫是她早期的代表作。
13. You need to tell me your u _____ e decision today. 你今天必須告訴我你最後的決定。
14. I need v _____ s ideas. 我需要各種的主意。
15. The show is very w _____ d. 這場表演很不可思議。
16. Many countries r _____ ed the new government. 許多國家承認新政府。
17. They s _____ e for love. 他們為愛奮鬥。
18. I have an o _____ y to go to the university. 我有機會上大學。
19. Mother always shows p _____ r love for my little brother. 媽媽總是對我弟弟表現特殊關懷。
20. Wood is the only m _____ l on the island. 木材是島上唯一的原料。

21. You need to j_____y your behavior. 你必須為你的行為辯護。
22. Air is e_____l to live. 空氣對生存是必要的。
23. The shooting is for d_____e. 開槍是爲了防衛。
24. Your a_____e is not good enough. 你的態度不夠好。
25. You need to a_____e the task at five o'clock. 你必須在五點完成這個任務。

Appendix B: Summary of the Goal Attainment of the Experimental Group

| Student | Gender | Pretest | Goal | Posttest |
|---------|--------|---------|------|----------|
| S1 | M | 0 | 56 | 68* |
| S2 | M | 0 | 80 | 56 |
| S3 | M | 0 | 96 | 96* |
| S4 | M | 0 | 88 | 96* |
| S5 | M | 0 | 88 | 56 |
| S6 | M | 52 | 96 | 84 |
| S7 | M | 0 | 56 | 60* |
| S8 | M | 0 | 72 | 100* |
| S9 | M | 0 | 84 | 52 |
| S10 | M | 0 | 20 | 20* |
| S11 | M | 0 | 92 | 96* |
| S12 | M | 0 | 28 | 4 |
| S13 | M | 0 | 96 | 100* |
| S14 | M | 0 | 88 | 96* |
| S15 | M | 0 | 72 | 100* |
| S16 | M | 0 | 92 | 84 |
| S17 | M | 0 | 84 | 88* |
| S18 | M | 0 | 84 | 92* |
| S19 | M | 0 | 92 | 96* |
| S20 | M | 0 | 76 | 40 |
| S21 | M | 0 | 84 | 92* |
| S22 | M | 0 | 80 | 96* |
| S23 | M | 40 | 92 | 96* |
| S24 | M | 0 | 96 | 96* |
| S25 | M | 0 | 72 | 40 |
| S26 | M | 0 | 84 | 92* |
| S27 | M | 0 | 88 | 92* |
| S28 | M | 4 | 80 | 76 |
| S29 | M | 0 | 92 | 100* |
| S30 | M | 0 | 80 | 88* |

The Effect of Specific Goals on EFL Students' Self-efficacy and Performance of Vocabulary Learning

| | | | | |
|-------|---|------|-------|-------|
| S32 | M | 0 | 80 | 72 |
| S34 | F | 0 | 88 | 100* |
| S35 | F | 0 | 88 | 96* |
| S36 | F | 0 | 92 | 96* |
| S37 | F | 0 | 76 | 48 |
| S38 | F | 0 | 88 | 100* |
| S39 | F | 0 | 72 | 100* |
| S40 | F | 0 | 88 | 100* |
| S41 | F | 0 | 84 | 100* |
| S43 | F | 0 | 96 | 100* |
| S44 | F | 4 | 84 | 96* |
| S45 | F | 0 | 96 | 100* |
| S46 | F | 0 | 92 | 100* |
| S47 | F | 0 | 96 | 100* |
| S48 | F | 0 | 84 | 96* |
| S49 | F | 0 | 68 | 100* |
| S50 | F | 0 | 84 | 84* |
| S51 | F | 0 | 88 | 100* |
| S54 | M | 0 | 76 | 88* |
| Total | | 2.04 | 81.80 | 84.24 |

Note: * The posttest scores indicate that goals were achieved by the student.

Appendix C: Student Learning Journal

1. 目標會提高你學習英文的動機嗎？為什麼？

2. 目標對你的英語學習是否有影響？請就以下三方面陳述。

(1) 準備方向：_____

(2) 努力程度：_____

(3) 唸書時間：_____

Appendix D: Self-efficacy Strength Questionnaire

請告訴我們，你覺得這次考試，你有信心答對多少個單字？

信心強度指數 (0-100)

| | 完 全 沒 信 心 | 0% | 10% | 20% | 30% | 40% | 50% | 60% | 70% | 80% | 90% | 百 分 百 有 信 心 |
|------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|----------------------------|
| 這次考試，我可以答對 1 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 2 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 3 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 4 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 5 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 6 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 7 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 8 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 這次考試，我可以答對 9 個單字 | | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

這次考試，我
可以答對 10
個單字



這次考試，我
可以答對 11
個單字



這次考試，我
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這次考試，我
可以答對 13
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這次考試，我
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這次考試，我
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個單字



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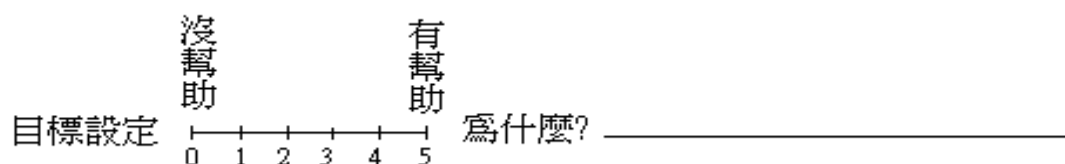
可以答對全部 25

個單字



Appendix E: Goal-setting Response Questionnaire

1. 整個活動中，目標設定對你的英語學習幫助有多大，且幫助了你什麼：



目標設定讓我_____

2. 你會再使用目標設定的方式學習嗎？為什麼？

3. 你認為什麼方式會讓目標設定更成功？

4. 你願不願意將這個方法介紹給其他同學

☐ 願意 原因 _____

☐ 不願意 原因 _____

Appendix F: Teacher Interview Guide

1. 整體而言，您對目標設定在課堂上的實用性評價為何？請陳述理由。

2. 您覺得目標設定是否有其優缺點，如果有，請問優缺點各為何？

3. 您覺得在整個過程中是否有遇到困難？如果有，困難點在哪？

4. 請問您對目標設定是否有建議以作為改進的依據？

5. 請問您之後還願意將目標設定帶入教學中嗎？為什麼？

Messages behind the Unheard Sounds: Crossing the Word Boundaries through Songs¹

Wen-ying Ting* & Feng-lan Kuo**

Abstract

The knowledge and application of reduced forms in word recognition is a decisive factor for English learners to attain a higher language proficiency. Listening comprehension for non-native English speakers involves aspects of diction, syntax, grammar and content. Language in the spoken form is more challenging in that learners have to discern sounds that tend to cross the word boundaries for fluency. Therefore, the ability to comprehend and identify correctly what is said is the key to understanding spoken English. To fully comprehend a naturally pronounced sentence well, ESL/EFL learners need a basic knowledge of reduced forms including C-C linking (elision), C-V linking, /h/-deletion, contraction, palatalization, flapping, and the like. An appropriate approach for students to improve listening comprehension is through songs (Crawford, 2006). The present study is a language experiment practiced on two homogeneous groups of sophomore English majors who aim at passing high-intermediate GEPT in the junior year. Both groups were given the intermediate GEPT listening test to establish their initial listening proficiency. The experimental group then underwent a six-session (240 minutes) training course, in which the afore-mentioned six reduced forms were taught through twelve songs in *Hit Parade Listening* (Kumai & Timson, 2003, 2010). The techniques and knowledge of reduced forms were explicitly taught through lectures and dictation exercises of song lyrics. Two forms of a dictation test of 17 digitally recorded sentences of similar reliability coefficient, containing the six targeted connected speech patterns, were developed as the pretest and the posttest, respectively. The results showed the subjects of the experimental group made overall significant improvement in recognizing spoken words than the control group after receiving the explicit connected speech instruction using the *Hit Parade Listening Class CD* and *Song CD*. Regarding the error types, in the pre-instructional phase, the subjects were found to have major difficulties in dictating sentences containing contraction and C-V linking; nevertheless, they made significant progress with these two patterns in the post-instructional phase. In contrast, the subjects didn't make progress regarding /h/-deletion and flapping. It's likely that the subjects have previously not been exposed enough to these two connected speech patterns.

Key words: reduced forms, connected speech instruction, word recognition in listening, song lyrics dictation

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解讀縮減音——以英語歌曲作為增進口語詞彙辨識能力之利器²

丁玫瑛*、郭鳳蘭**

摘要

英語學習者的縮減音知識，與運用此知識於口語詞彙辨識之能力，是影響英語能力高低的因素之一。非母語學習者的聽力理解面向包括字彙、句型、文法與內容。口說語言的理解在語言技巧中較具挑戰性，因為學習者必須立即辨識出說話者表達流暢時所省略的音。因此，正確理解與辨識口語詞彙便成了理解口說英語的利器。為完全掌握自然語流的口說英語，ESL/EFL 學習者須具備縮減音基本知識，如子音與子音的連音(C-C linking/elision)、子音與母音的連音(C-V linking)、h 音的省略(/h/-deletion)、顎化音(palatalization)、縮短音(contraction)及拍擊音(flapping)等。透過歌曲學習縮減音被視為合宜的學習方法(Crawford, 2006)。本研究屬於語言實驗，應用於兩班同質之大二英語系學生，通過中高級英檢是這些學生大三的學習目標之一。這兩組學生都做了中級英檢聽力測驗以確定其同質性。實驗組進而接受六堂(240分鐘)的縮減音訓練課程，課程內容為含上述六項縮減音之 *Hit Parade Listening* (Kumai & Timson, 2003, 2010)12 課教材。縮減音之技巧與知識以明確教學的方式傳授，並藉歌詞聽寫練習強化學習成效。本研究所自行開發之前後測，為兩種不同版本但信度相當的聽寫測驗，各含以前述六種縮減音類型為測驗目標之 17 句數位錄音的句子。研究結果顯示接受以 *Hit Parade Listening Class CD* 及 *Song CD* 做為縮減音教材明確教學後之實驗組學生，在辨識口語字彙方面較控制組學生獲得整體顯著改善。至於錯誤類型，在教學前學生之主要縮減音困難為縮短音(contraction)及子音與母音的連音(C-V linking)。施以教學後，這兩類型均有顯著進步。然而，h 音的省略(/h/-deletion)及拍擊音(flapping)卻未見進步；究其原因，可能是學生對該二類型之接觸量不足所致。

關鍵字：縮減音、口語語流教學、聽力理解之口語詞彙辨識、歌詞聽寫

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Introduction

For EFL learners, listening is the most challenging of the four language skills, for the process of reception and decoding demands immediate response to instantaneous intelligibility. Though some teachers believe that listening is the easiest skill to *teach*, most students regard it as the most difficult to *improve* (Fan, 1993). The discrepancy between the learner and the teacher lies in their different roles, one is to *give*, the other to *receive*. Second language acquisition researchers have maintained that enough exposure in the critical period (Krashen, 1982) is the most natural way of learning a foreign language, but the existing reality of English learning in Taiwan does not allow this ideal to benefit all learners. Therefore, the problem of slow or even stagnant improvement in skills of listening comprehension still exists in classes of English majors, who have passed preliminary intermediate GEPT (listening and reading) for admission.

The researchers have found that their students' difficulties in understanding some low-lexical sentences can be ascribed to not knowing where the word boundaries are. Field (2003) pointed out that low-level errors could cause problems in the flow of communication. Poor performances in the bottom-up processes might lead to poor performance in listening comprehension. Research on the issue of reduced forms has indicated that normal speech flows containing simplified patterns such as contraction, elision, deletion, assimilation, and linking can pose challenges to the novice L2 listeners (Field, 2008). In other words, when reduced forms are used in a stream of speech, word boundaries blur and difficulties occur, causing failure of listening comprehension. The key to improving listening comprehension for higher-level EFL learners therefore lies in the learning of reduced forms.

Listening is a complex skill, which involves the listeners' receiving and processing the input. When perceptual accuracy of the input diminishes, the challenge of listening comprehension will increase (Rosa, 2002). The common presence of reduced forms, assimilation, contraction, elision, linking, and deletion are found to significantly affect learners' listening comprehension (Henrichsen, 1984; Ito, 2001, 2006). Furthermore, it is estimated that about 35% of all words produced in natural speech can be reduced (Bowen, 1975, cited in Cahill, 2006). Kuo, Ting, and Pierce (2011) further confirmed in the previous study that the presence of reduced forms was a direct factor affecting the achievement of EFL English majors' listening comprehension. Instruction of reduced forms has thus been advocated as a means to remove the obstacle of improvement.

Previous studies mainly recruited adult learners (Brown & Hilferty, 1986/2006; Carreira, 2008; Crawford, 2006; Fan, 2003; Matsuzawa, 2006; Wang, 2005). Two studies experimented teaching connected speech to children (Chang, 2003; Kuo, 2009), and one most recent study used high-school students as subjects (Kuo, Lu, & Lee, 2010). But

none of them considered EFL English majors as learners who might need to be studied. The present research is a follow-up study, using subjects who were found to have encountered the same problems as those found in the previous research, linking (Kuo, 2009; Wang, 2005), contraction (Matsuzawa, 2006) and /h/- deletion in speech perception (Crawford, 2006) and some high frequency phrases (Carreira, 2006; Matsuzawa, 2006) to receive instruction of reduced forms. In order to enhance subjects' ability, palatalization, elision, C-V linking, and flapping were added to the list of instruction.

The present study aims to observe the effects of applying the knowledge of reduced forms to detect the reduced forms in a speech flow. When English majors are loaded with reading of literature and linguistics, many of the students neglect the training of listening. If the reduced forms are introduced at the juncture where professional knowledge of literature and linguistics can be applied, will students be better equipped with sensors to detect the unheard sounds? To compare the performances with and without the knowledge of reduced forms, an instruction of reduced forms through songs was intervened. The present research will address the following questions:

1. Does the learning of reduced forms through songs help intermediate-level EFL English majors improve their performance of detecting the presence of reduced forms?
2. Does the improvement vary in different connected speech patterns?

Literature Review

English in EFL classrooms tends to be spoken at a slower speech rate or with a mother-tongue accent, and when training learners' listening skills, instructors use materials of properly articulated speech (Rosa, 2002). And EFL students do not have equal exposure to English outside of class the way ESL students do (Crawford, 2006). But real-life English is actually spoken in a fluent speech flow with phonological modifications, also known as reduced forms, which can cause English learners to miscomprehend native speakers (Carreira, 2008). The reality is the use of reduced forms is common in all registers, even in the most formal speech (Brown & Kondo-Brown, 2006). To enhance EFL students' listening comprehension skills, many researchers have focused on the development of top-down skills rather than bottom-up skills (Vandergrift, 2004), without paying sufficient attention to segmentals and suprasegmentals in pronunciation instruction (Celce-Murcia, Brinton, & Goodwin, 2010). Reduced forms, features of suprasegmentals, are also considered vital to successful communication between non-native speakers and native-speakers of English even when the elements of *Lingua Franca Core* are taken into consideration (Jenkins, 2000, 2002). The instruction of reduced forms has thus been discussed (Brown & Hilferty, 1986/2006; Carreira, 2008; Crawford, 2006; Fan, 2003; Matsuzawa, 2006; Wang, 2005) and the findings revealed

that explicit instruction is effective in improving learners' perception of reduced forms.

Instructions of Connected Speech Implemented in EFL Contexts³

Empirical studies conducted in the past decade mostly focused on investigating the effectiveness of connected speech instruction on Japanese EFL students and Taiwanese EFL students. It is likely that English education in these two countries emphasizes more on written-form vocabulary, grammar, and reading comprehension, ignoring listening comprehension. Since Celce-Murcia et al. (2010) claimed that communicative competence should be cultivated, authentic listening input has therefore gained more attention; recently studies have been conducted to improve students' spoken-work recognition.

Connected speech instruction targeting Japanese EFL students

Matsuzawa (2006) adopted seven 30-minute lessons to explicitly teach 20 Japanese business persons 10 reduced forms, without a control group. The analysis of the participants' pretest scores showed that they had difficulty in comprehending reduced forms, especially those involving flapping and contraction. In the post-instructional phase, the participants made significant improvement. In addition, a positive correlation was found between the participants' English proficiency level and their comprehension of reduced forms, but the participants' degree of improvement in perceiving reduced forms wasn't related to their English proficiency level. All the participants consented that the instruction was helpful to their listening comprehension.

Centering on the reduced forms provided in *Whaddaya Say* (Weinstein, 1982), Crawford (2006) randomly assigned 23 Japanese freshmen to an experimental group and 26 to a control group. The experimental group worked on a worksheet for 15 minutes each week for a total of seven weeks. The experimental group showed significantly higher gains than the control group after receiving the instruction. The correct responses in the pretest and the posttest for each item, excluding those that were over 90% correct responses in the pretest, were compared. The results showed that for most of the reductions, gains were over 30%.

Unlike most previous studies which recruited subjects from a single language and cultural background, Carreira (2008) recruited 19 international students, from Asian countries, studying in Japan. Based on the textbook *Hit Parade Listening* (Kumai & Timson, 2003), Carreira investigated the effectiveness of teaching reduced forms by listening and dictating pop songs. The instruction didn't improve the participants' scores of TOEIC listening sections, but it did significantly improve the learners' listening abilities to recognize spoken words. The results of the questionnaire showed that the

³ In the present study "reduced forms" and "connected speech" are used interchangeably when it comes to how sounds are connected in speech.

participants enjoyed learning reduced forms by listening to pop songs.

Connected speech instruction targeting Taiwanese EFL learners

Targeting elementary school students

Two pioneering studies (Chang, 2003; Kuo, 2009) have been conducted to investigate Chinese EFL young learners' acquisition of connected speech modifications. Chang (2003) used a single-group pretest posttest design. Based on the textbook *Whaddaya Say* (Weinstein, 1982), Chang taught 20 sixth graders ten reduced forms including *yer* for *your*, *yers* for *yours*, *fer* for *for*, *a* for *of*, *ya* for *you*, *in* for *ing*, *whaddaya* for *what do you* and *what are you*, *wanna* for *want to*, and *gonna* for *going to*. The participants made significant improvement on their posttest. The results of the questionnaire showed that their self-esteem and motivation of learning reduced forms increased and their misconception of speaking and learning pronunciation decreased.

Unlike previous studies which mostly investigated the effectiveness of connected speech instruction by testing the participants' perception of reduced forms, Kuo (2009) examined the effectiveness of linking instruction on sixth graders' development of producing reduced forms. Two groups of sixth graders were chosen to be the experimental group (N = 33) or the control group (N = 32). The instruction focused on C-V linking, /h/-deletion, C-C linking, and V-V linking. The experimental group received instruction on linking twice a week for 14 weeks. After receiving the instruction, the experimental group significantly improved their speech production and developed phonological awareness. Among the taught categories, V-V linking with a large degree of variance posed more problems to the experimental group.

Targeting freshman students

Fan (2003) recruited two freshman language lab classes and divided them into one high-proficiency group (top 27%) and one low-proficiency group (bottom 27%) based on their English scores of the college entrance exam. Without a control group, the study included two experimental groups receiving instruction. The participants received six-week explicit instruction and listening training on five connected speech patterns including C-V linking, C-C linking, /h/-deletion, assimilation, and flap of /t/. The analysis of their pretest scores showed both groups had problems in C-V linking, /h/-deletion, assimilation, and flap of /t/. After receiving the instruction, both groups made significant improvements in each rule. The analysis of the questionnaire showed that there was a positive correlation between proficiency level and the subjects' confidence in listening comprehension.

Focusing on raising the participants' awareness of reduced forms, Wang (2005) recruited two classes of students enrolled in Freshmen English. Based on movie clips containing connected speech patterns, the experimental group (N = 37) received seven

30-minute explicit rule instruction, while the control group (N = 33) focused on checking listening comprehension using the same materials. The materials covered four types of reduced forms: elision, assimilation, contraction, and linking. Results of descriptive statistics showed that the experimental group gained higher scores than the control group on the cloze posttest. According to the participants' responses to the questionnaire, the experimental group held positive attitude toward the instruction.

Targeting graduate students

Brown and Hilferty (1986/2006) recruited 32 Chinese graduate students of the age around 40. The participants were randomly assigned to the experimental group or the control group. The experimental group received four weeks of daily 10-minute lesson on reduced forms, while the control group received a daily practice of 10 minutes drill in discriminating minimal pairs. The results showed that the experimental group gained significantly higher scores than the control group on the posttest. The four-week instruction had a marked effect on the participants' spoken word recognition.

Chung (2008) proposed a film-based learning system to aid learners' listening comprehension of reduced forms. The system could not only extract the reduced forms in the films but also automatically developed cloze tests based on the extracted materials. Chung recruited 32 graduate students and randomly assigned them to an experimental group or a control group based on their scores of TOEIC to achieve homogeneity. At first, the experimental group (N = 16) and the control group (N = 16) both self-learned the computer assisted materials on reduced forms. In the second section, the experimental group could search the key words in the movie to review specific movie segments related to reduced forms, while the control group could only review predetermined sample sentences stored in the computer. Finally, the experimental group did cloze tests based on the extracted examples of the movies to review the lesson, while the control group just watched the movie again. The results showed that the experimental group didn't surpass the control group on TOEIC listening but gained significantly higher scores on the reduced form cloze posttest than the control group.

In sum, some of the previous studies, though reporting effectiveness of instruction, were conducted without a control group (Carreira, 2008; Fan, 2003; Matsuzawa, 2006). Regarding teaching materials, some used films as teaching materials in Taiwanese EFL context (Chung, 2008; Wang, 2005), and only Carreira (2008) used pop songs in Japanese EFL context. Both films and songs have been shown to be effective materials for instructing connected speech. The subjects in the previous studies have encompassed elementary school students (Chang, 2003; Kuo, 2009), college freshman students (Fan, 2003; Wang, 2005), and even graduate students (Brown & Hilferty, 1986/2006; Chung, 2008), but no study has investigated whether presence of connected speech affects the listening comprehension of English majors with higher English proficiency. Furthermore,

it remained unknown whether instruction of connected speech patterns would improve English majors' word recognition in listening comprehension. In addition, the effectiveness of pop songs has not been examined as useful teaching materials in facilitating connected speech recognition in Taiwanese EFL context. Therefore, the present study recruited sophomore English majors for further investigation of the effectiveness of connected speech instruction. As for the connected speech patterns explored in previous studies, the range of connected speech was not comprehensive; some focused more on linking and /h/-deletion (Fan, 2003; Kuo, 2009), whereas some only limited on reduction and contraction (Chang, 2003; Chung, 2008). The present study thus targeted on six connected speech patterns, which are introduced below.

Types of Connected Speech Patterns

Chrystal (1980) defined connected speech as spoken language in continuous speech which differs from words being produced in isolation. According to Celce-Murcia, et al. (2010) and Brown and Kondo-Brown (2006), the common connected speech patterns found in English include assimilation, elision, contraction, and linking. Pioneering researchers in Taiwan have found that elision, C-V linking, C-C linking, contraction, /h/-deletion, and palatalization are the basic reduced forms causing problems for EFL learners (Fan, 2003; Kuo, 2009; Wang, 2005). On top of these reduced forms, the present study included one more confusing reduced form, flapping, for investigation. The definition of various connected speech patterns is provided as follows.

Elision, also named deletion or omission, refers to the phenomenon that a sound in the citation forms is eliminated in certain environment. Consonant clusters in English tend to undergo elision. When the consonant cluster occurs in the final position of a word and the next word starts with a consonant, the consonant cluster will be modified. For example, /d/ in "blind man" will be deleted.

Contraction is the only connected speech pattern that can be reflected in written forms. Contraction often occurs in function words, such as "am," "is," "will," "have," and "has." For example, "I am" can be contracted as "I'm." Previous studies such as Carreira (2008), Matsuzawa (2006), and Wang (2005) confirmed effectiveness of contraction instruction.

Linking is a process in which the final sound of a word is connected with initial sound of the next word. There are three subcategories in English: C-V linking, C-C linking, and V-V linking. It occurs when a final consonant is followed by an initial vowel. The consonant in the intervocalic position such as "pick up" will be produced as "pi-cup." Fan (2003) and Kuo (2009) suggested instruction of C-V linking.

/h/-deletion happens when the final consonant of a word is connected with an initial /h/ of the following word. The sound of /h/ tends to disappear. For example, "tell him" will sound like "telim".

Palatalization refers to the assimilation process, where a word ending with an alveolar consonant /s, z, t, d/ is followed by another word with an initial palatal glide /j/. Sample examples are “miss you”, “as you”, “just yet”, and “did you”.

Flapping is a sound in which the tip of the tongue rapidly flaps against the alveolar ridge in passing to the place of articulation of the succeeding sound (Pennington, 1996). Both voiced and voiceless stops appear on the surface as voiced flaps. For example, “I need a bit of butter.”

To conduct a more comprehensive investigation, the present study included the above six connected speech patterns in the instruction.

Methodology

Participants

The subjects for the present study are two intact classes of sophomore English majors in a university in central Taiwan, whose main courses are literature and linguistics. One group was randomly assigned to be the experimental group receiving explicit connected speech modification instruction, whereas the other group was treated as the control group without receiving connected speech instruction. The two groups were given the GEPT intermediate level listening test to ensure their homogeneity before the treatment. On the GEPT intermediate level listening section, the mean score of the experimental group is 40, while the mean score of the control group is 38.6 (out of the maximal score 45). The independent *t*-test result on the listening scores of the experimental group and the control group shows there is no significant difference ($t = 1.546, p > .05$). Hence, they are homogeneous in terms of their general listening abilities.

Material selection

Celce-Murcia, et. al. (2010) supported the use of songs in teaching reduced forms. They suggested using songs with clearly stressed words and conversational rhythm patterns. To expressively convey the feelings, the moods, and the power, singers tactfully and naturally use reduced forms so that the boundaries of words can be crossed artistically and fluently without leaving traces of choppy expressions. This kind of unforced flow is exactly what a fluent speaker possesses. Since the subjects were majors of English literature and linguistics and songs are considered close to the literary genre of poetry, songs are inspiring materials for learning reduced forms. Students can focus on not only forms but also content. In order to use the subjects' background knowledge to the fullest, the present study thus adopted the materials used by Carreira (2008), songs from *Hit Parade Listening* (Kumai & Timson, 2003, 2010) as the teaching materials. *Hit Parade Listening* selects songs properly demonstrating the use of connected speech. The

connected speech forms covered in the textbook are comprehensive, including contraction, deletion, elision, palatalization, flapping, linking, etc.

Instruments

The pretest and posttest was a self-developed dictation test, which consisted of 17 sentences read in two ways, presence and absence of reduced forms. The reliability coefficient of the pretest and posttest was determined to be .753. The recording was done by a native speaker, who is an experienced instructor of pronunciation in a university. Subjects were required to write down the full form of each word in the spoken sentence they heard. The test paper had blanks in it for the full sentences. Only the words related to reduced forms were scored. In order to prevent the subjects from predicting the answer, the 17 sentences present/absent of reduced forms are randomly mingled in two versions. In other words, there are two versions of dictation test; in each test, there are sentences read with presence and absence of reduced forms. This is to eliminate any kind of anticipation of reduced forms. The two versions of test were taken in the same class period, with an irrelevant activity of the regular course to interfere with the subjects' memory of the 1st version of test. In each version, there were 6 types of reduced forms to be detected. Among the 17 sentences, the scoring was on the percentile basis. To score the test, only the blanks for sentences with presence of reduced forms were counted.

According to Field (2003), pauses in natural speech normally appear every 12 syllables. Training students to dictate sentences within 12 syllable chunk limit is thus desirable. In the self-developed cloze test, each question was limited to 9 to 11 syllable chunks limit. Within each question, the gap-filled targeted connected speech patterns took the comprehensive triggering phonetic contexts into consideration. The cloze test aims to measure the participants' lexical segmentation abilities (spoken word recognition). The blanks in each question vary depending on the targeted connected speech patterns. One point will be given when a blank is filled with a correct word. A sample test sentence targeting palatalization is shown as follows. Though the students were required to transcribe the whole sentence, only the two words "praise yourself" were counted.

(If) (you) (*praise*) (*yourself*), (you) (will) (sound) (too) (proud)!

Treatment

The experimental group underwent explicit instruction of reduced forms through songs chosen from *Hit Parade Listening*, from which 12 units were used as the teaching materials. A total time for instruction was 240 minutes, evenly allotted to the 6 targeted connected speech patterns; i.e., 40 minutes were used for the instruction of one connected speech pattern. The regular format of connected-speech learning in each unit follows the pattern of *Sound Check*, *Listening for Language*, *Conversations in Action*, and *Lyrics*. A

sample example is given as follows.

Before the song was played, the class went over reduced form practice designed in the book, *Sound Check*, which familiarized students with the connected speech pattern they were about to learn. And fill-the-blank activities, *Listening for Language* and *Conversations in Action* were done as warm-up activities. *Listening for Language* focuses on words or phrases, and *Conversations in Action* focuses on complete sentences.

Listening for Language

Lisa's very busy. She _____ able to help me today. (won't be)

Conversations in Action

Lucy: Stay here, will you, Jack?

Jack: All right. Where are you going?

Lucy: _____. It _____. (I'm going to the bank) (won't take long)

Jack: I see. _____ for you here. (I'll wait) (p.27)

These exercises allowed students to sharpen their recognition for the connected speech pattern targeted in the unit. Then the song was played to the students, who were required to listen to the meaning of the lyrics, focusing on discerning words which had cross the word boundaries. During the second playing of the song, students filled in the blanks of reduced forms. Between the first and the second playing of the song, the formation of the targeted connected speech form was introduced and instructed to the class.

A passage of lyrics is shown here as an example.

Song: Stand by Me (Ben E. King)

When the _____ has come (night)

And the land is _____ (dark)

And the moon is the only light _____ see (I can)

No, I _____ be afraid (won't)

No, I _____ be afraid (won't)

Just _____ as you stand (as long)

Stand by me.

The scheduled class time for the *Oral Training course* was 2 sessions in a row for one week. The instruction was extended to 6 weeks, excluding pretests and posttests, based on sessions. That is to say, the researcher used part of the class time, for the experiment. The overview of the 6-week instruction design is shown in the appendix. After the instruction sessions were completed, the posttest following the format of the

pretest was administered in both the control and the experimental groups.

Data analysis

Students were required to transcribe the whole sentences in the pretest and posttest, but only the targeted reduced forms (2 words in each test sentence) were scored, 1 point each, making the maximal score 34. Two independent *t*-tests were utilized to answer the first research question; whereas paired-*t* tests were used to answer the second research question.

Results and Discussion

As shown in Table 1, the results of the independent *t*-test on the scores of the pretest showed that there was no significant difference between the experimental group and the control group, $t(67) = 1.772$, $p > .05$. The experimental group and the control group were homogeneous in dictating sentences with connected speech modifications.

Table 1. Independent *t*-test results on the pretest scores between the experimental group and the control group

| | <i>N</i> | <i>M</i> | <i>SD</i> | <i>t</i> | <i>p</i> |
|--------------|----------|----------|-----------|----------|----------|
| experimental | 36 | 13.5278 | 4.80170 | 1.772 | .081 |
| control | 33 | 15.4242 | 4.00804 | | |

Maximal score: 34

The correct-answering rates on the pretest for the experimental and the control groups were respectively 40% and 45% only. This indicates that English majors with intermediate level of GEPT listening proficiency still encountered difficulties recognizing spoken words.

To answer the first research question, “Does the learning of reduced forms through songs help intermediate-level EFL English majors improve their performance of detecting the presence of reduced forms?”, the results of the independent *t*-test on the scores of the posttest show that there is significant difference between the experimental group and the control group, $t(67) = 4.415$, $p < .001$. The experimental group performed significantly better than the control group after receiving the instruction. The results shown in Table 2 indicate that explicit instruction of connected speech forms through songs was a positive measure to assist intermediate-level EFL English majors in Taiwan. And pop songs were shown to be useful teaching materials to strengthen the understanding of reduced forms. This is in line with the finding of Carreira (2008) using pop songs in the Japanese EFL context.

Table 2. Independent *t*-test results on the posttest scores between the experimental group and the control group

| | <i>N</i> | <i>M</i> | <i>SD</i> | <i>t</i> | <i>p</i> |
|--------------|----------|----------|-----------|----------|----------|
| experimental | 36 | 20.5278 | 4.43677 | 4.145 | .000* |
| control | 33 | 16.2424 | 4.12334 | | |

Maximal score: 34

To answer the second research question, “Does the improvement vary in different connected speech patterns?”, Table 3 shows the descriptive statistics of the experimental group’s correct answering rate among the six targeted connected speech patterns in the pretest and the posttest respectively. As shown in Table 4, the paired *t*-test results of the experimental group’s performance between the pretest and posttest among the six types of connected speech patterns revealed that the experimental group made significant improvement on contraction, C-V linking, palatalization, and elision, but not on /h/-deletion and flapping. The results indicate that students’ improvement did vary in different connected speech patterns.

Table 3. Descriptive statistics of the correct answering rate in the pretest and posttest among the six types of connected speech patterns

| Type | | <i>M</i> | <i>SD</i> |
|----------------|----------|----------|-----------|
| contraction | Pretest | .3000 | .36078 |
| | Posttest | .5528 | .40767 |
| C-V linking | Pretest | .3688 | .36886 |
| | Posttest | .7130 | .42375 |
| palatalization | Pretest | .5741 | .34732 |
| | Posttest | .8194 | .32395 |
| /h/-deletion | Pretest | .4861 | .50331 |
| | Posttest | .4583 | .50176 |
| elision | Pretest | .4444 | .39855 |
| | Posttest | .6111 | .44581 |
| flapping | Pretest | .4444 | .44844 |
| | Posttest | .5208 | .43957 |

Table 4. Paired *t*-test results on the experimental group's performance in the six types of connected speech patterns

| Type | <i>Gain</i> | <i>SD</i> | <i>t</i> | <i>p</i> |
|----------------|-------------|-----------|----------|----------|
| contraction | .25277 | .51104 | 6.636 | .000* |
| C-V linking | .34414 | .53550 | 6.679 | .000* |
| palatalization | .24537 | .37749 | 6.755 | .000* |
| /h/-deletion | .02778 | .71152 | -0.331 | .741 |
| elision | .16667 | .64459 | 2.194 | .032* |
| flapping | .07639 | .51498 | 1.259 | .212 |

According to Jenkins (2000), English stress is considered as teachable, but intonation is as learnable. Teachable components can be achieved by concrete instruction during a shorter time. But it takes longer exposure to improve components which are regarded as learnable. Likewise, the researchers considered the connected speech patterns of contraction, C-V linking, palatalization, and elision as teachable components and assumed that /h/-deletion and flapping might be classified as learnable elements. Some prior empirical studies also included flapping and /h/-deletion in their investigation. Fan (2003) and Crawford (2006) taught flapping and /h/-deletion, while Kuo (2009) taught /h/-deletion.

Based on the comparison between the subjects' pretest and posttest performance, Fan (2003) found that her subjects made significant improvement on /h/-deletion, but the subjects still need to work on flapping even after receiving the instruction. Based on descriptive statistics, Crawford (2006) found that the subjects of his study were less familiar with /h/-deletion. According to survey results, the subjects of Kuo's (2009) study impressionistically considered /h/-deletion to be marginally difficult compared with C-V, C-C, and V-V linking. The results of the previous studies and the present study showed that flapping and /h/-deletion posed problems not only to non-English majors but also to English majors. Future studies are suggested to implement different teaching methods or extend the instructional period to improve Chinese EFL learner's connected speech perception regarding flapping and /h/-deletion.

The lack of knowledge and practice of reduced forms can lead to unsatisfactory performance of English listening and speaking, even for English majors with the intermediate GEPT level. Since the subjects for the present study are English majors, who have started to study literature and linguistics in their sophomore year, it would be highly advantageous for instructors of language courses to properly integrate the students' specialized fields of knowledge into the field of English language learning. For this study, the knowledge of phonetics and phonology the students have acquired in linguistics helps them a lot in understanding and applying the knowledge of reduced forms in the dictation

test. What is required of the students is not sufficient exposure to input only; it is more about the ability of analyzing, integration, and deduction. For students whose major is English, fluency is an ideal goal to attain. Knowledge is knowing the facts; wisdom is knowing what to do with the fact. Only when the knowledge of reduced forms is applied to constant practice will the value of the knowledge be revealed and treasured. Only when an English major tactfully applies his/her valuable professional knowledge to the production of good English will he/she possess the signature of an English major.

Conclusion

The present study investigated the effectiveness of learning connected speech through songs for intermediate-level EFL English majors and further determined if the improvement varied in different connected speech patterns. Results indicated that students in the experimental group made significant progress. Based on the compatible results of this study and previous ones, songs are highly recommended to be used in the courses training EFL students to recognize connected speech in a natural speech flow.

Previous studies concerning connected speech have mainly focused on confirming the problems and methods of instruction to improve perception. Studies working on the efficacy of production instruction are still limited, especially in the EFL context. Dauer and Browne (1992) suggested that students can greatly improve their production of English for better intelligibility by different ways like shortening function words, linking words together, authentically pronouncing /t/ and /d/, and pronouncing final consonant groups. Reed and Michaud (2005) also considered linking to be the first and most important sound concept in addition to function word reduction, sound deletion, and sound contraction. For future studies, the researchers, therefore, suggest that efforts be made to compare the effectiveness of instruction focusing on connected speech for more fluent and intelligible production.

Appendix

Instruction Design (a total of 240 minutes for instruction)

| Targeted reduced forms | Songs | Time |
|------------------------|--|------|
| Contraction | <i>Stand by Me</i> <i>Top of the World</i> | 40' |
| Palatalization | <i>I Don't Want to Miss a Thing</i> <i>Hero</i> | 40' |
| Elision | <i>I Just Called to Say I Love You;</i> <i>Yesterday Once Moe</i> | 40' |
| C-V linking | <i>If We Hold on Together</i> <i>Woman</i> | 40' |
| /h/-deletion | <i>When a Man Loves a Woman</i> <i>Save the Best for the Last</i> | 40' |
| Flapping | <i>Honesty</i> <i>Heal the World</i> | 40' |

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論陳恒嘉小說寫作技巧與主題意識 ——以「老師」形象的創作為核心¹

葉連鵬*

摘要

長期身處教育界的陳恒嘉，對於教育相關問題也就十分熟悉且關切，以致於他的小說人物當中，有很大的比例是「老師」，其中有出現「老師」角色的作品包括：〈從一個喪禮中離去〉、〈橫財〉、〈這些當老師的〉、〈沒有根的〉、〈騙徒〉、〈老師：人家也要升旗〉、〈影子〉、〈郎中〉、〈畫自像〉、〈剝〉、〈「夜尿」症者〉、〈暗鬼〉、〈無賴〉、〈落翅仔〉、〈師者〉、〈失蹤〉、〈遠足〉等。本文從陳恒嘉小說著手，以「老師」形象的創作為核心，討論他的寫作技巧與主題意識。

關鍵字：陳恒嘉、喬幸嘉、老師形象、寫作技巧、主題意識

¹ 本論文初稿〈傳道·受業·解惑乎？——論陳恒嘉小說中的師者〉發表於中山醫學大學台灣語文學系主辦「中山醫學大學第四屆台灣語文和文化學術研討會——中部學」（2009年10月31日），會議中蒙徐秀慧副教授講評指正，及《國立彰化師範大學文學院學報》兩名匿名審查委員的指正，在此一併致謝。

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Theme Awareness and Writing Skills on the Image of Teacher in Chen Heng-jia's Fiction

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Abstract

Chen Heng-jia had been workign as an educator for a long time. He was very familiar with education-related issues and paid close attention to theses issues. Therefore, a large proportion of the characters in his novels are teachers. The works in which teachers as characters exist include "Departed from a Funeral," "Such a Teacher," "Doctor," "Bad Girl," "Teachers," "Disappearance," "Hiking," and so on. This paper attempts to look at the images of teachers in these works to probe into the writing skills and the theme awareness of Chen's writing.

Keywords: Chen Heng-jia, Qiao Xin-jia, the image of teacher, writing skills, theme awareness

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一、前言

陳恒嘉²(1944~2009)，彰化縣溪州鄉人。彰化從日治時期以來，即是孕育作家的搖籃，從台灣新文學之父賴和(1894~1943)到深受年輕學子喜愛的九把刀(1978~)，在文壇占有一席之地之彰化縣籍作家，至少數十人³，可說是中部地區的文學聖地。其中和陳恒嘉一樣來自溪州鄉的知名作家還有吳晟(1944~)和詹澈(1954~)。

陳恒嘉的小說創作，大部分完成於 1960 年代後期到 1970 年代，1980 年代作品較少，但仍有〈一場骯髒的戰爭〉(1983)、〈失蹤〉(1985)等零星作品，1990 年代之後則往學術研究方向發展，並深化其台語文的創作與推廣，他的小說分別收錄在《譁笑的海》(1975)、《陳恆嘉集》(1993)、《影子—陳恒嘉短篇小說選》(1996)三本小說集中⁴，其中多有重複收錄的情形，經筆者統計(參見表一)，扣除重複者，三本小說集共收錄 42 篇小說，其中有 4 篇更改過題目，因此實際上共有 38 篇小說。

陳恒嘉的筆名眾多，包括：喬幸嘉、車亞夫、秦嘉、陳三觀、陳在來、皇甫嘉等，其中以喬幸嘉這個筆名最為世人所知。也許是生性低調，時常更換筆名，因此林瑞明稱他為「隱藏型的創作者」⁵，並為他在文壇受到小看而抱屈。由於在進入 1980 年代之後，陳恒嘉的小說創作銳減，最後甚至「停產」，在這個新人輩出的時代，並不屬於暢銷作家的陳恒嘉，對新一代的小說讀者而言已漸漸陌生化，甚至連文評家都將他遺忘了⁶，事實上陳恒嘉曾三度獲得吳濁流文學獎的肯定⁷，且有多篇小說入選年度選集⁸，並被前衛出版社視為戰後第二代作家，列為「台灣作家全集」

² 陳恒嘉，另有名為「陳恆嘉」，兩名皆通用，本文依從《飄撇·堅心—阿嘉紀念文集》(國立台灣文學館，2009 年 3 月。)稱「陳恒嘉」，引文則尊重各作者，不加以修改。

³ 從賴和開始，與彰化縣有關的知名作家甚多，例如：陳虛谷、周定山、葉榮鐘、王白淵、洪炎秋、謝春木、楊守愚、翁鬧、陳火泉、林亨泰、施翠峰、蕭翔文、錦連、李篤恭、曹開、林文月、邱家洪、姚嘉文、古貝、張良澤、吳晟、林武憲、施叔青、施善繼、康原、洪中周、蕭蕭、心岱、洪醒夫、愚溪、李昂、宋澤萊、詹澈、廖莫白、楊錦郁、紀小樣、邱妙津、九把刀等。

⁴ 陳恒嘉出版的小說集包括：《譁笑的海》(高雄：三信出版社，1975 年 9 月。);《陳恆嘉集》(台北：前衛出版社，1993 年 12 月。);《影子—陳恒嘉短篇小說選》(彰化縣：彰化縣立文化中心，1996 年 7 月。)其中《影子—陳恒嘉短篇小說選》列為「碩溪文學第四輯—彰化縣作家作品集⑥」，為陳恒嘉生前出版的最後一本小說集，但此書的編輯、校對出錯不少，先不論內文部分，此書書背和版權頁書名題為《影子—陳恒嘉短篇小說選》，封面的書名卻題為《影子—陳恆嘉短篇小說集》，本論文以版權頁所列書名稱之。

⁵ 參見林瑞明〈隱藏型的創作者—陳恆嘉集序〉，收錄於《陳恆嘉集》(台北：前衛出版社，1993 年 12 月。)

⁶ 1990 年代以後，鮮少有人針對陳恒嘉及其作品進行評論，在國家圖書館網站「期刊文獻資訊網」上查詢，從 1990 年至本論文初稿發表在研討會前，「期刊論文」的部分只有一篇針對陳恒嘉的文章，為陌上桑所寫的〈他的笑，叫人心疼—你所不知道的陳恆嘉〉，《文訊》第 282 期，2009 年 4 月。此篇還是因為陳恒嘉去逝所寫的懷念之作。2009 年年底以後，也只有一篇論文，為：莊文福：〈陳恆嘉小說中的鄉土書寫研究〉，《大葉大學通識教育學報》第 6 期，2010 年 11 月。

⁷ 陳恒嘉曾獲第二屆、第五屆、第九屆吳濁流文學獎佳作。

⁸ 陳恒嘉小說〈橫財〉、〈老師，人家也要升旗〉入選《徵信新聞報》(《中國時報》前身)年度小說選集《人間選集》；〈仙草冰〉入選《中央日報》《中副選集》；〈落翅仔〉入選《聯副三十年小說選》；

作家群之一，一個擁有如此成績的作家，若還被人小看甚至遺忘，這可謂是台灣文壇的缺憾。2009 年 2 月 25 日，陳恒嘉因流感引發併發症而過世，他的文友與學生們都深感震撼與不捨，自動自發幫忙料理後事，且架設部落格和舉辦追思會，國立台灣文學館並為他出版《飄撇·堅心—阿嘉紀念文集》，死後可說是備極哀榮，這是因為他為人處事的成功，才會深受懷念，然而隨著時間的消逝，認識他的人會逐漸老去，唯有好的文學作品才能使他永恆的存在，陳恒嘉雖然也創作詩和散文，但他在文壇上的定位一向被視為是「小說家」(出版的三本文學創作都是小說集)，因此本文企圖從陳恒嘉小說著手，以「老師」形象的創作為核心，討論他的寫作技巧與主題意識，讓更多人能進一步認識陳恒嘉及其作品。

二、陳恒嘉小說中的「老師」形象

林瑞明說：「陳恒嘉小說特色之一是藉著小說反映出社會狀況，具有現實主義文學的精神。」⁹閱讀他的小說，的確給人這樣的感覺，他常藉著「社會邊緣人物批判社會價值體系的混淆，對於社會層面觀察相當廣泛」¹⁰。至於他小說中的主要角色，形形色色的人物都有，但以教師和學生佔最大比例，這大概跟他的職業有很大的關係。陳恒嘉從 1965 年台中師專畢業，分發至台北北投清江國小任教後，即開啟他數十年春風化雨的人生，雖然其間曾有中斷，但他從國小教到國中，然後轉往高職，最後進入大學擔任講師，像他教學資歷如此「完整」的人恐怕並不多見，加上他求學過程曲折，一生當中，具有「學生」身分的時間也很長¹¹，因此長期身處教育界的陳恒嘉，對於教育相關問題也就十分熟悉且關切，以致於他的小說人物當中，有很大的比例是「老師」¹²，其中有出現「老師」角色的作品包括：〈從一個喪禮中離去〉、〈橫財〉、〈這些當老師的〉、〈沒有根的〉、〈騙徒〉、〈老師：人家也要升旗〉、〈影子〉、〈郎中〉、〈畫自像〉、〈剝〉、〈「夜尿」症者〉、〈暗鬼〉、〈無賴〉、〈落翅仔〉、〈師者〉、〈失蹤〉、〈遠足〉等(參見表二)，雖然並非每一篇中的「老師」都是小說中主要描述的對象，但能這麼頻繁的出現這個角色，絕對和其職業有密切的關聯。

「老師」這個行業，在眾多職業當中，算是較受一般人敬重的一種職業，原因是社會上普遍對「知識」的崇敬心態，因此負責傳授知識的老師，也就較為受到景仰。但相對的，社會上對老師的道德要求，也高於其它行業，因此這個職業的壓力亦不小。事實上，教師也是人，而俗語說「一樣米養百樣人」，形形色色的教師都有，

〈一場骯髒的戰爭〉入選李喬編選、爾雅版的《七十二年小說選》。

⁹ 參見林瑞明〈隱藏型的創作者—陳恆嘉集序〉，收錄於《陳恆嘉集》(台北：前衛出版社，1993 年 12 月。)

¹⁰ 林瑞明〈隱藏型的創作者—陳恆嘉集序〉，同上註。

¹¹ 陳恒嘉 1961 年員林農校畢業，1963 年進入台中師專，1971 年插大入淡江大學中文系，1976 年進京都大學人文科學研究所，1987 年入東吳大學日本文化研究所，2004 年入成功大學台文系博士班，到他過世時都還具有學籍。

¹² 據筆者統計，陳恒嘉的小說中，具有老師角色的共有 17 篇，扣掉一篇重複的(篇名從〈這些當老師的〉換成〈師者〉)，還有 16 篇，約佔所有小說 42% 的比例。

陳恒嘉既長期從事教育工作，利用小說反映出現實生活中各種形貌的老師，書寫跟教師有關的主題，似乎也就不足為怪了。針對陳恒嘉小說中的「老師」形象，筆者將其略分為兩種：一種是具有負面形象的教師；另一種則是具有正面形象的教師。茲分述如下：

（一）具有負面形象的教師

一般人總是不願意暴露自己的缺點和內心黑暗的一面，而希望多彰顯優點和光明的一面，陳恒嘉既身為教師，本應該多「隱惡揚善」，然而筆者發現，陳恒嘉小說中的老師，負面形象的描寫多過正面描寫，顯示出陳恒嘉勇於自省與善於批判的精神，這些具有負面形象的教師又可略分為以下幾種：

1、因經濟困頓而起貪念的老師

陳恒嘉小說中的老師，大部分的經濟情況都不好，薪水低、生活壓力大，例如〈師者〉中的陳稷是小學教員，但他卻因為怕養不起小孩暫時不敢生子，一心想進大學進修，卻因為太太正在讀師專夜間部，供不起兩夫妻同時念書而使計畫延後。窮固然不能視為負面形象，若窮得有骨氣，依然堅守崗位，反而值得肯定，但小說中有些老師卻因窮而起了貪念，例如〈橫財〉中的老師，因經濟困頓，常向學校借錢而受到管錢的教師羞辱，後來撿到一張中大獎的獎券，卻因貪心的想要完全據為己有而最後遭到橫禍。陳恒嘉是這麼描寫這位對現實不滿的老師：

只怪自己天真得跟他帶的那一班小鬼一般，居然選擇了教小學這行當。每一次他面對一張張儼然大教育家的家長們的嘴臉，每一次聽家長教訓他該如何如何教育他們的兒子，每一次領那份單薄得做一套像樣的西裝都夠不上二分之一之薪水時，他就懷疑當初有什麼鬼支使他選擇教書。（〈橫財〉，《影子——陳恒嘉短篇小說選》，頁14。）

從小說的描述來看，這個老師固然並不適合教育工作，但若一個教師的薪水「做一套像樣的西裝都夠不上二分之一」的話，的確在生活開銷上會較為困頓，若這時再要求教師具有高尚的道德觀，恐怕很難。當時教師的薪水普遍低廉，待遇不如現在，一個無法吃飽穿暖的教師，當然無法專心於教育工作上，這樣的教育品質令人憂心。經濟上的困頓讓極具尊嚴的「老師」形象蒙上一層灰霧，人人尊敬的光鮮假象，在資本主義社會似乎很容易被金錢所擊潰。

2、陽奉陰違的老師

陳恒嘉小說中，時常可以看到陽奉陰違的老師，例如規定教師要按照課表授課，但老師們卻常隨興授課，看到督學來才守起法來，〈師者〉裡的陳稷甚至面對督學訓話時，表面恭敬聆聽教誨，心底卻在想著別的事：

「這些小鬼看來欠『修理』的樣子，他們三四年級的女老師也太客氣了。」

「現在的小姐們已開始注意留口碑給學生們了，露出兇相是得不償失的，教

書自然沒有嫁人緊要。」

「回頭非大肆整頓一番不可……」(〈師者〉,《影子—陳恒嘉短篇小說選》,頁 142。)

督學的權威性既不可挑戰,乾脆任由他訓話,外恭內欺的陳稷,最後卻也能度過這次危機。除此之外,同篇小說裡還有其他陽奉陰違的教職人員,依照規定中午教師必須留在學校和學生一起吃營養午餐,但由於學校伙食很差,很多老師都是應付一下就到校外吃館子,或者回家用餐,或者自帶便當到學校:

主任每天都帶了便當來的,但是他還是要到校長室去端過來一盤擺在他掀開的便當蓋的右邊,盛他他嚥不下去的魚刺肉骨等菜渣(〈師者〉,《影子—陳恒嘉短篇小說選》,頁 143。)

主任逼不得已得留在學校坐鎮,又不能明目張膽的拒吃學校的營養午餐,只好裝模作樣一番,從這小說中雖然可猜出當時營養午餐菜色之差,但教師們陽奉陰違的情形亦值得批評。

3、翹班早退的老師

社會對於教師的刻板觀感往往較為正直守法,但陳恒嘉小說中的「老師」形象則揭露出教師早退或翹班的負面形象。如《師者》中教美術的曹老師就是一個常常早退的老師,以致主任諷刺他說「你曹先生神龍見首不見尾,學生們怕還不知道他們美術老師的尊姓大名哩!」(《影子—陳恒嘉短篇小說選》,頁 144。)同篇小說中的黃老師,由於學校欠薪的關係,不顧下午還有課,撂下話說:「我真走了,萬一校長回來問起,勞主任跟他說我找生活去了,薪水夠我撐到哪天,我就上班上到哪天。」(頁 148)然後就真的離開學校,完全不顧學生的受教權。

另外〈失蹤〉裡的陳老師,在被學生家長告知他們的孩子放學沒回家之後,他的反應竟不是為學生失蹤著急而是生氣:「這樣一群人一起遲歸,八成又是結夥幹什麼壞事去了,毛病一捅出來,我這個當級任老師的,免不了吃不完兜著走。」(《影子—陳恒嘉短篇小說選》,頁 180。)陳老師會生氣是因為怕自己翹班提前回家的事,會因為這起事件而曝光,為他自己惹上麻煩。

教師翹班早退,影響的是學生的受教權,本是不可取的事,雖然他們都有各自的理由,例如曹老師忙著兼差;黃老師為了「找生活」;陳老師則是回家等水電工要估修理樓梯間漏水的價錢,但這樣的行為總是給人不負責任的感覺。

4、兼營副業的老師

由於當時的教師待遇不好,光是領取這份教職薪水要應付日常生活開銷很吃力,所以很多老師只好在外兼差,像〈師者〉的曹老師就在「外頭兼了個說英語的肥差,每天都等不及下班就開溜了」;〈「夜尿」症者〉中的導師,除了在學校教書外,晚上還在家裡替學生補習數學,連叫學生到家裏問話,談沒幾句話,就把學生留給自己

的太太處理；〈郎中〉的老師，由於生活困難，就連放假都不能休息，奔波各地賣藥、賣衣服，當起江湖郎中來，可能因為太累，竟在上課時睡著了，恍惚之間，到底他是老師還是郎中都分不清楚。

為了生活兼營副業原無可厚非，但若因為副業而影響正職的工作，這就不應該，陳恒嘉小說中的這些兼營副業的老師，卻常因為副業而影響正職，值得批判。

5、言行不檢的老師

身為教師，一向被要求言行舉止要符合道德規範，以做為學生的表率，因此老師必須謹言慎行，避免違反「社會觀感」，但陳恒嘉小說中卻時常有言行不檢的老師，例如〈影子〉中的老師，面對學生批評他自私，他在心中的回應是：「他、他……管他媽的，老師就不是人啊？他還是不習慣……他、他媽的老師，人善被人欺，君子不重則不威，他媽的，這學生要造反嘛！」（《影子——陳恒嘉短篇小說選》，頁 175。）以上這還是心中所想並沒真的說出口，而〈無賴〉中的老師，面對警察故意找麻煩，雖然並沒有當著警察的面說，但還是爆出粗口：「死賴活賴，死賴活賴，他媽的！這不是無賴嘛！」（《陳恒嘉集》，頁 209。）罵髒話雖是因為被逼的，但總是不符合社會上對老師「口說好話」的期待。除了言語之外，小說裡的某些老師在行為上，也有「不檢點」的地方，例如〈落翅仔〉中，一群教師在猶豫著要不要前往兼營夜總會的大飯店時，陳恒嘉如此敘述：

可是，他大概窺出我們的膽怯了，有點嘲弄的又說了：「有落翅仔好撿」的話，這使得光棍的老黃他們大大的心動，因為閒聊中，我們屢屢聽到人家撿到落翅仔的豔遇，大家羨豔之餘，不免怨艾自己的福緣太薄，好像全世界的男人都撿過便宜了，就我們這批人被虧待了一樣，所以，一聽有落翅仔，興致都來了。（《陳恒嘉集》，頁 346。）

正當交朋友是很正常的，但若抱著尋找「一夜情」的獵豔心態就有問題，何況這群人的職業是「老師」，無論出入的場所和其心態，顯然皆非可供學生學習的「表率」。

（二）具有正面形象的教師

陳恒嘉似乎有意藉小說批評教育亂象，以及反映基層教師面臨生活困境的現實，因此他筆下的老師，負面多過正面，但也有一些較具正面形象的老師，例如〈遠足〉一文中的老師為了照顧家庭貧困的學生，就假藉學生幫忙收錢的原因，免除該學生繳交營養午餐、紅十字會、冬令救濟、遠足等費用，可以想見這批錢是老師幫忙付的，但他為了顧及學生的自尊心，就替這件事找理由，小說透過小女生的口吻道出：「我們老師說他最怕收錢，說收了錢就會花掉，到最後就欠一大堆債」（《影子——陳恒嘉短篇小說選》，頁 252。）其實這是為了安慰學生所說出的藉口，可見這個老師很有愛心而且能顧及受助者的脆弱心靈。

另外〈老師：人家也要升旗〉中的陳老師也是很有愛心，他班上有一位貧窮且

駝背的女學生，其身體缺陷相當程度影響了她的命運，加上「他排在最前面，不知道哪是左腳哪是右腳」所以以前沒有參加升降旗。然而自從陳老師擔任導師後，就鼓勵她參加班上的活動，對她相當照顧，也努力提升她的自信心，小說最後，原本有點自閉的女學生竟然自告奮勇要擔任升旗手，老師也應允讓她擔任這個工作，還暗中示意其他學生鼓掌歡迎。小說中的陳老師是一個關懷弱勢，積極幫助殘障學生的好老師。

而〈畫自像〉裡的陳老師也一樣，他所碰到的是一個侏儒學生，雖然未曾擔任這位侏儒學生(蕭其賢)的導師，但陳老師在與他認識的這幾年，常常與他有很多的互動，因此他們的關係倒像是某種程度的朋友，雖然後來陳老師不小心傷了蕭其賢的心，但他還是想辦法積極修補關係，最後兩人才能「和好」，也撫慰蕭其賢那顆受傷的心。面對這種身心障礙的學生，當老師的必須具有十足的耐心與愛心，才能化解學生心中那堵因自卑心理所高築的牆，讓他們敞開心胸擁抱人群，〈畫自像〉裡的陳老師雖然顯得有點「調皮」，但能在嬉笑怒罵中，輔導一個特殊兒童，也是值得肯定。

這些故事中的陳老師，正是以心理學家卡爾羅傑斯所發展出來的「當事人中心療法」¹³來輔導學生，以老師的真誠與無條件的關注與接納，同理心的走入學生的心理，使失去協調、急待求助的學生，因老師的引導，得以自我成長。在閱讀這些作品時，我們可以從角色的外貌及行為，得知角色的個性，也對照出教師親和的形象，而陳恒嘉親和的教師形象便立即湧現，因為這些具有愛心的教師形象正有著陳恒嘉的身影在¹⁴，因為深知貧窮的艱苦，因此更能以同理心對待貧窮或是弱勢的學生，不僅能顧及受助者的心理，更能給予適切的援助。此類發揮人性光輝的小說揭示了人性的光明面，不僅能鼓舞、安慰人心，更如一位良師將學生引導至好的方向，因此作品更經得起時空的考驗，受人喜愛。

三、陳恒嘉小說與「老師」有關的作品之寫作技巧與主題意識

上文指出陳恒嘉小說中「老師」角色的形象，並將其分類，以下針對這些作品的寫作技巧與小說所要呈現的主題意識進行分析討論：

(一)寫作技巧

陳恒嘉由於長期在學校任教的關係，林瑞明曾說他「善於描寫田莊困仔的兒童心理」¹⁵，其實除了兒童心理之外，陳恒嘉對教師的內心世界描述也非常突出，幾篇採用第一人稱敘事觀點的小說，角色心理的鋪呈十分深刻。例如：〈從一個喪禮中

¹³ 曾寶瑩：《圖解心理學》(台北：易博士文化，2004年6月)，頁152。

¹⁴ 筆者大學時曾受教於陳恒嘉，對其親和的態度印象深刻，另可參閱《飄撇·堅心—阿嘉紀念文集》中，諸多他的學生所寫的懷念老師之作可得到證明。

¹⁵ 林瑞明〈隱藏型的創作者—陳恆嘉集序〉，同註9。

離去〉、〈老師：人家也要升旗〉、〈影子〉、〈畫自像〉、〈暗鬼〉、〈落翅仔〉、〈失蹤〉等都能適當的呈現教師的心理轉折，讓讀者隨著小說的描述，探究也有七情六慾的教師內心世界。例如〈從一個喪禮中離去〉寫一個教員受校長之託，前往因耳癌導致胃出血而過世的同事家裡幫忙，對於這位才 39 歲就英年早逝的同事，因心生感慨，離去時忍不住眼淚直流，這篇小說呈現感傷的基調，頗能掌握此教員的憂鬱情緒。〈暗鬼〉寫一位已婚教師被太太懷疑與學校一位美麗的代課老師有曖昧，他雖然心裡坦蕩，不想理會流言，但為了避嫌，只好刻意躲開與女老師接觸的機會，一段純潔無邪的友情竟因此而變調，本篇小說將一位因自由意志被剝奪而痛苦不已的教師心境，描寫的非常透徹。

又如〈影子〉中的男學生「陳民主」，因懷疑從小學到大學都跟他同班的同學「梅頤」，之所以不接受他的感情，是因為梅頤愛上老師，因此希望老師退讓。而這位老師面對喝醉酒學生的言語衝撞，雖然後半段一直保持沉默，但內心卻是澎湃不已，師生之間你來我往，表面上老師像是安靜在聽學生訴說他的心情，其實內心世界裡對學生的言語有很多的反擊：

「不然…您為什麼還不結婚？」

（不結婚也有罪名好派？）

「您在等待著，懷一種隱私、一份罪惡感，在等她長大。」

（胡說八道！）

「現在她長大了，我不明白，為什麼她那麼死心眼？」

（怎樣？我又老又醜？）

「老師，您為什麼不聲不響？您不能採取行動，您趁趁著，因為那兒不是您的土地。」

（哼！）

「您真沉得住啊！老師，您何不把那個見不得您學生的您放出來溜溜？老師，放他出來說：讓給你吧！」

（我、空無長物，何讓之有？）

「老師，如果您為了自尊，不能承認，您不必說，您只消去結婚。」

（在這以前，無時無刻不可結婚，現在，好吧！就算是為了自尊好了，偏是不能結婚！）（《影子—陳恒嘉短篇小說選》，頁 176-177。）

面對學生的言語挑釁，老師當然有很多的不滿，但跟一個喝醉酒的學生產生言語衝突，又有違社會期待，因此只在內心裡反擊，陳恒嘉採用內心獨白方式，成功詮釋該名老師的內心世界。

這些第一人稱敘事觀點的小說，基於小說虛構的基本要素，作者不一定等同於敘事者「我」，卻往往會讓讀者認為陳恒嘉即主角本人，在事件中親身經歷、深刻體會，因此尤如剖析自況般揭露為人師表不為人知的心境。甚至讓某些教育界的讀者容易融入其中，以為自己便是小說中的我，而心有戚戚焉，並引以為戒。而這些便

是陳恒嘉善用第一人稱敘事觀點的寫作技巧，以利於鋪述小說人物的外在言行，以及刻劃人物的心理層面。

除了對小說中的師生人物心理掌握頗具功力外，陳恒嘉在修辭技巧上也相當出色，展現出他對學校生活的細微觀察結果，例如〈老師：人家也要升旗〉中的這一段：

太陽俯得低低的，就似串在旗杆頂端。一年級的小朋友，細眯著眼瞄著，口水就要淌下來的樣子，好像那就是他們愛吃的棒棒糖。（《陳恒嘉集》，頁19。）

太陽的高度恰好在旗杆的頂端，看起來就像是一根棒棒糖，加上升旗典禮時，學生們都必須注視著旗杆，很像小朋友望著好吃的棒棒糖一般，這是非常有趣又生動的聯想和譬喻。而〈師者〉中的這一段更是令人拍案叫絕：

上課的鈴聲一響，所有在操場上嬉玩著的學生，全叫教室給吃個精光。一種輕金屬的喻動聲在空闊的操場上唧然響起。寂靜持續數秒鐘之後，飽脹的辦公廳開始嘔出一串的老師。（《影子——陳恒嘉短篇小說選》，頁132。）

鐘響後學生進教室，接下來老師離開辦公室前往教室，這在學校是每個上課日子都在進行的事，也是千篇一律到近乎機械化般無趣的事，但透過陳恒嘉的這段描寫，就顯得活靈活現起來，其中「吃」字和「嘔」字用得非常好，使得小說的畫面立刻鮮活起來。

小說體裁適合用來說故事，作者敘述的越生動，讀者腦中的畫面就越清楚，給人的印象就越深刻，關於這一點，陳恒嘉在〈騙徒〉這一篇就經營得很成功，試看其中精采的一段：

「不！」辦公室裡還在吵著，聲聞九里：「是大家的事情就得在公眾面前解決，俗語說『養癰貽患』……」

「你們把錢交給老師，」女人說：「班長把名字記起來。」

「我有一個看法……」辦公室說。

「各位小朋友……」二年孝班的教室說。

「不，……」辦公室裏，陳老師據理力爭，一點也不肯妥協。

「老師姓張……」女人第五度改姓。

「校長應該……」辦公室說。

「該找錢以後……」三愛的教室說。

「陳老師請冷靜一下……」辦公室說。

「剛才校長同老師從走廊上經過……」三仁的教室說。

「不，學校應該……」辦公室說。

「老師這學期教你們……」教室說。

「林老師不應該……」辦公室說。

「三聯單還沒下來……」教室說。

「關於營養午餐的事……」辦公室換了一個議題。

「老師姓白……」女人也再換了一個姓。

「合作社的事……」

「老師姓……」女人已有點糊塗，事情順遂得大出她的意料，她一下子想不起來她在這個教室姓什麼，進到這校門以前，她根本沒想到該準備這麼多的姓：「姓黃，信口雌黃的黃……」(《影子——陳恒嘉短篇小說選》，頁161~162。)

〈騙徒〉是描述一個騙子假裝學生家長，利用開學日學校一團亂的情況潛入學校並騙過校長，當校長和老師們還在開會現場為某些觀點爭執不下時，這個騙子又假冒各班導師，將學生提早帶來繳交的代辦費給騙走，最後坐上公車揚長而去。陳恒嘉透過畫面切換，以蒙太奇拼貼手法分別描述辦公室和教室傳來的聲音，猶如電影畫面一般，透過鏡頭的快速轉換，造成一種強烈對比的節奏感，讀者也就隨著這樣的節奏感深深的被有趣的情節給吸引住，一種極端的諷刺感油然而生：辦公室裏「辯很大」，教室中「騙很大」；一邊面紅耳赤，一邊謊言充斥；校長老師們亂吵一通，孩子們的錢被橫掃一空，構成一種強烈的對比。陳恒嘉在寫作上並不特別賣弄技巧，屬於平實經營小說的一派，但他對人物心理的掌握能力、敘事功力和對場景轉換的掌控絕對不能讓人小覷，可說是個優秀的小說家。

(二)主題意識

綜觀陳恒嘉與「老師」有關的小說，「老師」的負面形象多於正面形象，之所以有如此結果，我認為他是為了反映現實社會所遇到的問題，所以這些小說大致呈現三種主題意識：第一，在突顯教師的待遇問題；第二，在批評教育體系的缺失；第三，在將教師「去權威化」。

1、突顯教師的待遇問題

基層教師的待遇是陳恒嘉關注的重點，小說中很多老師生活困難，例如〈橫財〉、〈沒有根的〉、〈郎中〉、〈師者〉等小說都有提到老師待遇微薄，這代表政府給的薪水不足以支應教師日常生活，這一點也是導致教師早退、翹班、經營副業等亂象的原因，除了錢少之外，老師還要面對千頭萬緒的學生問題，加上來自督學、家長的「指導」干預，這些都讓教師疲於奔命，自然也就無心在教學工作上，這是陳恒嘉小說所要反映的一大主題，好在如今教師薪資待遇問題，已經有很大的改善，這一點從目前教甄錄取的難度就可看出，有不少人搶著做這份工作。不過，老師的薪資待遇雖有改善，但「少子化」潮流之下，來自政府、家長、學生等衍生的各種壓力，「老師」這個工作「待遇」依然不輕鬆。

2、批評教育體系的缺失

從陳恒嘉小說我們可以看出，整個教育體系存在不少問題，從教育政策，到督學、校長、教師、學生，甚至是家長，都有值得檢討的地方，其中又以教師部分著墨最多，諸如翹班、早退、兼差、爭權、奪利等(可參考前文引證的例子)。另外，

教師在校外開設補習班，對沒有補習的學生產生不公平的現象，也是陳恒嘉所要批評的部分，例如〈「夜尿」症者〉中的「我」，在得不到導師關愛之下，內心裡就產生了疑惑：

有人說是因為我們沒去他家補數學，我起先不相信，現在，我是有一點相信了，因為我發現，導師雖然極少在課堂上或學校裏和同學們個別接觸，但他和許多在十九班的同學似乎又極有默契，很多事情好像他們已在哪裡談過一半才移到學校裏來似的，常常那麼沒頭沒尾地，一個話題就在課堂上續下去講……」（《陳恆嘉集》，頁 105。）

由於學校採用能力分班，小說中的「我」是從次優的十八班插進最優的十九班，課業壓力甚大，但導師並沒有盡到輔導的義務，因此讓「我」開始懷疑是因為沒有到導師家補數學的緣故。老師在校外補習班授課，教的又是自己班上的學生，這對沒有補習的學生來說是很不公平的，即使老師自認沒有偏心，但身為教師應該避免這種「瓜田李下」的情形出現，我國現已明文禁止學校教師在校外補習¹⁶，這是符合公平正義的政策，也大大減少這項教育體系的缺失。

3、將教師「去權威化」

閱讀陳恒嘉這些與「老師」有關的小說，讀者可能會產生一種疑惑，小說中的很多老師，怎麼跟「傳道、受業、解惑」的崇高形象有不小的差距？我想，這正是陳恒嘉值得肯定之處，他自己身為老師，卻懂得反省與檢討，將他所看到的教育亂象呈現出來，其中也不乏自揭瘡疤之處，向世人拆解「教師」的權威感，使之回歸平凡人角色。吳錦發說：「〈剝〉這篇作品所探討的，事實上就是如何把「權威角色」的假象一層一層『剝』下來，使它露出原型的過程。」¹⁷其實不只是〈剝〉，陳恒嘉很多篇小說都有將教師「去權威化」的這種企圖，例如：〈失蹤〉的陳老師，因學生放學後沒回家，只好於夜間回學校及學校附近尋找學生，過程中他相當害怕，但仍然自我催眠與心理建設：

我感到跣著拖鞋的腳丫子涼嗖嗖的，並且一路往上竄，我不禁再回望一眼我班教室，覺得應該先去教室看看比較正確，因為，只怕萬一，不怕一萬，教室是安全的，是一萬；竹櫥是危險的，是萬一，我可不能冒萬一之險，害小朋友一輩子受到良心的譴責吧？

我希望小朋友不要笑我不勇敢！我還是回頭往教室走了。教室黑麻麻的，搞不好有比蛇更可怕的「那個」哩！所以，我還是很勇敢的，是不是呢？（《影子——陳恒嘉短篇小說選》，頁 222-223。）

¹⁶ 據「教育人員任用條例」第三十四條「專任教育人員，除法令另有規定外，不得在外兼課或兼職。」學校專任教師在校外補習即屬兼課和兼職，依規定屬違法行為。參見 <http://law.moj.gov.tw/LawClass/LawAll.aspx?PCode=H0150017>（瀏覽日期：2012年2月27日）

¹⁷ 參見吳錦發〈剝·暴徒一笑論陳恆嘉兩篇與「洗澡」有關的小說〉，原文發表於《自立晚報》（1985年7月16日-17日），並收錄於《陳恆嘉集》（台北：前衛出版社，1993年12月。頁437-458。）

教師在班級裡是具有「領導者」的角色，一個領導者為了建立權威的形象，必須要表現出勇者無懼的精神，小說中的「我」在黑暗中行進，既怕被蛇咬，又怕被鬼嚇，其實跟一般人一樣，有其脆弱的一面，但由於怕被學生知道此事，影響了他的權威感，因此很「阿 Q」的自我催眠，告訴自己：怕被蛇咬並非自己害怕，而是怕學生因此受到良心的譴責，以合理化自己的行為。陳恒嘉將威權者的心態露骨的呈現出來，其實就是一種「去權威化」。唯有剝除老師的權威外衣，師生之間才能以真誠相處，畢竟師生之間不該以宰制者和被宰制者的關係存在，只有雙方對等，才會有真正的師生和諧。

四、結語

陳恒嘉因半生從事教育工作，對教育界問題特別熟悉，因此他的小說人物出現「老師」這個職業的比例很高，研究陳恒嘉的小說，當然不可忽視此議題。陳恒嘉並不因為自己身為教師而美化教師的形象，反倒出現不少負面形象的角色及教育界的亂象，之所以有如此結果，正突顯出作者所見、所經歷的教育生態，以及陳恒嘉個人的思想意識。筆者認為陳恒嘉小說跟「老師」有關的作品，大致呈現三種主題意識：第一，在突顯教師的待遇問題；第二，在批評教育體系的缺失；第三，在將教師「去權威化」。

陳恒嘉是一個終身學習的表率，幾近退休之年仍埋首於博論的撰寫，不僅作育英才無數，拜師學藝也不恥下問，其向學精神實令人敬佩。隱地談到陳恒嘉時，曾感慨的說：

這麼努力的人，當我提到他的名字，只有中生代寫作圈朋友知道他是誰，老的一代和年輕的孩子，都對他茫然不知，偶爾有人會說「好像聽過這個名字」，啊，台灣媒體和資訊太多的結果，反而讓每個人都患了「集體失憶症」，管你紅得發紫或紫得發紅，等你不寫了，老了或走了，人們仍然把你忘得一乾二淨，果然我們面對的是一個「每人只紅三分鐘」的酷世年代，三分鐘或三十天，三個月或三年，當歷史——王鼎鈞說「歷史」是個任人打扮的小姑娘——翻過去之後，誰還記得誰？¹⁸

處在這樣一個作家輩出又資訊氾濫的時代，要能在文學史上留名而不被忘記的作家的確不容易，但像陳恒嘉這樣一個在文壇默默耕耘，並且對台灣文學發展有不少貢獻的作家兼教育者，他的名字實在不該被遺忘。人的年壽有限，好的作品卻可以無窮，只要覓得知音，作品能被彰顯，我相信陳恒嘉這個名字未來必定不寂寞。

¹⁸ 隱地〈誰寫得最多？——兼懷陳恒嘉〉（《中國時報》，2009年3月23日。）

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表一：陳恆嘉小說篇目

| 編號 | 篇名 | 小說集 | 備註 |
|----|----------|--------------------------|---------------------------|
| 1 | 從一個喪禮中離去 | 《譁笑的海》 | |
| 2 | 事件 | 《譁笑的海》 《陳恆嘉集》 | |
| 3 | 橫財 | 《譁笑的海》 《影子——陳恆嘉短篇小說選》 | 入選《徵信新聞報》年度小說選集 《人間選集》 |
| 4 | 陰錯陽差 | 《譁笑的海》 《影子——陳恆嘉短篇小說選》 | |
| 5 | 秘密 | 《譁笑的海》 《影子——陳恆嘉短篇小說選》 | |
| 6 | 等待一個字 | 《譁笑的海》 《影子——陳恆嘉短篇小說選》 | |
| 7 | 一個球員之死 | 《譁笑的海》 《陳恆嘉集》 | 原名〈日薄崦嵫〉，獲第二屆吳濁流文學獎佳作 |

| | | | 獎 |
|----|-----------|--------------------------|-------------------------------------|
| 8 | 這些當老師的 | 《譁笑的海》 | 本篇修改後收入《影子——陳恆嘉短篇小說集》，並改篇名為〈師者〉 |
| 9 | 沒有根的 | 《譁笑的海》 | |
| 10 | 騙徒 | 《譁笑的海》 《影子——陳恒嘉短篇小說選》 | |
| 11 | 老師：人家也要升旗 | 《譁笑的海》 《陳恆嘉集》 | 入選《徵信新聞報》年度小說選集《人間選集》 |
| 12 | 最後一遭 | 《譁笑的海》 《影子——陳恒嘉短篇小說選》 | |
| 13 | 穿制服的神們 | 《譁笑的海》 《影子——陳恒嘉短篇小說選》 | |
| 14 | 饞嘴的菩薩們 | 《譁笑的海》 | 本篇後來微幅修正，收入《影子——陳恒嘉短篇小說選》。並修改篇名為〈拜〉 |
| 15 | 影子 | 《譁笑的海》 《影子——陳恒嘉短篇小說選》 | 獲第五屆吳濁流文學獎佳作獎 |
| 16 | 譁笑的海 | 《譁笑的海》 | |
| 17 | 神經病患 | 《譁笑的海》 | 本篇收入《陳恆嘉集》時改篇名為〈神經病〉 |
| 18 | 陷阱 | 《譁笑的海》 《影子——陳恒嘉短篇小說選》 | |
| 19 | 誰是要飯的？ | 《譁笑的海》 | 本篇收入 |

| | | | |
|----|---------|------------------|----------------------|
| | | | 《陳恆嘉集》時改篇名為〈要飯的〉 |
| 20 | 郎中 | 《譁笑的海》 《陳恆嘉集》 | |
| 21 | 暴徒 | 《譁笑的海》 《陳恆嘉集》 | |
| 22 | 畫自像 | 《陳恆嘉集》 | |
| 23 | 仙草冰 | 《陳恆嘉集》 | 入選《中央日報》《中副選集》 |
| 24 | 剝 | 《陳恆嘉集》 | 獲第九屆吳濁流文學獎佳作獎 |
| 25 | 「夜尿」症者 | 《陳恆嘉集》 | |
| 26 | 譴 | 《陳恆嘉集》 | |
| 27 | 暗鬼 | 《陳恆嘉集》 | |
| 28 | 奔喪 | 《陳恆嘉集》 | |
| 29 | 癡情 | 《陳恆嘉集》 | |
| 30 | 神經病 | 《陳恆嘉集》 | 原篇名〈神經病患〉，收入《譁笑的海》 |
| 31 | 無賴 | 《陳恆嘉集》 | |
| 32 | 要飯的 | 《陳恆嘉集》 | 原篇名〈誰是要飯的？〉，收入《譁笑的海》 |
| 33 | 金交椅 | 《陳恆嘉集》 | |
| 34 | 峙 | 《陳恆嘉集》 | |
| 35 | 一場骯髒的戰爭 | 《陳恆嘉集》 | 入選爾雅版的《七十二年小說選》 |
| 36 | 曳得長長的影子 | 《陳恆嘉集》 | |
| 37 | 落翅仔 | 《陳恆嘉集》 | 入選《聯副三十年小說 |

| | | | |
|----|-----|----------------|----------------------|
| | | | 選》 |
| 38 | 骨董田 | 《陳恆嘉集》 | |
| 39 | 拜 | 《影子——陳恒嘉短篇小說選》 | 原篇名〈饞嘴的菩薩們〉，收入《譁笑的海》 |
| 40 | 師者 | 《影子——陳恒嘉短篇小說選》 | 原篇名〈這些當老師的〉，收入《譁笑的海》 |
| 41 | 失蹤 | 《影子——陳恒嘉短篇小說選》 | |
| 42 | 遠足 | 《影子——陳恒嘉短篇小說選》 | |

表二：陳恒嘉小說中與「老師」有關的作品

| 編號 | 篇名 | 小說內容簡介 | 備註 |
|----|----------|---|----|
| 1 | 從一個喪禮中離去 | 一個教員受校長之託，前往因耳癌導致胃出血而過世的同事家裡幫忙，對於這位才 39 歲就英年早逝的同事，因心生感慨，離去時忍不住眼淚直流。 | |
| 2 | 橫財 | 一位經濟拮据的教師，意外撿到一張可得彩金 50 萬元的彩券，但卻遭到橫禍，為了這筆錢，陸續有人出了意外，最後這筆錢被人送到醫院，打算捐給醫院。 | |
| 3 | 這些當老師的 | 三段式故事：一位因作業改得慢被督學約談的老師；一個因體罰學生被家長興師問罪，欲提出辭呈的主任；一個因不甘被欠薪而提早離開學校的教師，結果卻在他離開時，校長回校發薪水。 | |
| 4 | 沒有根的 | 一個因上太多課而喉嚨沙啞的小學教員，本來周末晚上要去一位在部隊認識的朋友家裡吃拜拜， | |

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| | | 但後來決定放棄，本想打電話推辭卻始終沒接通，後來決定爽約到街上閒逛，結果卻度過一個空洞無趣的夜晚。 | |
| 5 | 騙徒 | 一個騙徒利用開學日學校一團亂的情況潛入學校，當校長和老師們還在開會現場為某些觀點爭執不下時，騙徒假冒各班導師，將學生提早帶來繳交的代辦費給騙走，坐上公車揚長而去。 | |
| 6 | 老師：人家也要升旗 | 一個新接小學六年級班級的導師，班上有一位駝背的小女生頗受他關注，原本她連升降旗典禮都不用參加，最後竟然自告奮勇要擔任升旗手，老師就成全她。 | |
| 7 | 影子 | 一個中年未婚的小學男老師，去參加多年前教過的一位學生的餞行宴，這位男學生打算出國留學，宴會結束後，學生留下老師，鼓起勇氣跟老師攤牌，他懷疑從小學到大學都跟他同學的一位女生，之所以不接受他的感情，是因為這個女生愛上老師，因此希望老師退讓。老師雖然認為學生喝醉酒胡思亂想，卻在離開時不知不覺走到那位女學生住的社區。 | |
| 8 | 郎中 | 一個連假日都要到市集賣藥、賣衣服的郎中(老師)，為生活所需過度疲累。最後場景從賣東西的地方轉到教室講台上，似夢似幻，何者才是真實的… | |
| 9 | 畫自像 | 一個老師在學校認識一個低年級的侏儒學生，在幾年的相處下，產生一種特殊的友情，卻因某個事件導致此侏儒學生自尊心受損而公開要與老師絕交，最後在老師的努力之下和解。 | |

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| 10 | 剝 | 一個因私處長癬而想利用洗溫泉治療的學生，在大眾池遇上學校的體育老師，在裸裎相對下，學生心理的轉折過程。 | |
| 11 | 「夜尿」症者 | 一個受自慰與夢遺困擾的國二男學生，由於成績大幅滑落，被導師叫到家裡問話，由於導師忙於幫學生補習工作，稍問幾句後，就交給他的太太處理，這位「師母」其實是學生國一時的國文老師，面對詢問，學生尷尬的不知如何回應。 | |
| 12 | 暗鬼 | 一位已婚教師被太太懷疑與學校一位美麗的代課老師有曖昧，他雖然心裡坦蕩，不想理會流言，但為了避嫌，男老師只好刻意躲開與女老師接觸的機會，但內心卻因自由意志被剝奪而痛苦不已。 | |
| 13 | 無賴 | 一個老師因機車在夜晚的荒郊野外拋錨，暫時將車子停在路邊，去尋找協助，卻被警察開罰單。 | |
| 14 | 落翅仔 | 一個老師某次在北上的火車上認識一位翹家的少女，後來再遇到她，這個女生已經是夜總會裡的「落翅仔」。 | |
| 15 | 師者 | 三段式故事：一位因作業改得慢被督學約談的老師；一個因體罰學生被家長興師問罪的主任；和一個因不甘被欠薪而提早離開學校的教師，結果卻在他離開時，校長回校發薪水。 | 由〈這些當老師的〉修改篇名而來，內容略作修正，但疑似排版時漏列一大段內容 |
| 16 | 失蹤 | 一個老師接到家長的電話，說她們的孩子放學後沒回家，老師深入追查後發現，原來孩子們以為自己為了報復工人欺騙他們，在 | |

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| | | 工人車子的油箱裡放鹽巴，卻導致工人意外身亡，因自覺闖禍而不敢回家，最後向警察自首，才發現原來是誤會一場。 | |
| 17 | 遠足 | 一個窮人家小女孩深受老師的照顧，學校要去遠足，小女孩的媽媽原先答應要給她十元，但卻忘記給，非常期盼獲得十元卻不敢跟母親開口的女孩，不只遠足前一晚睡不著，起床之後還一直期盼母親會想起這件事，最後卻誤了時間，眼睜睜的看著去遠足的車子離開學校。 | |

Catharsis as Persuasion—An Enthymematic Approach to the Aristotelian Tragedy

Jen-chieh Tsai*

Abstract

Although critics such as Jeffery Walker and Thomas Cole have elaborated on the correspondence between rhetoric and poetics by way of Aristotle, studies devoted to the Aristotelian tragedy have been inattentive to the interrelatedness between rhetorical persuasion and tragic catharsis. Therefore, this paper purposes to argue that catharsis is a concept integral to how Aristotle conceives of rhetoric by way of dialectic. In other words, with all its emotive connotations, catharsis is profoundly a logical notion: ideally, playwrights of tragedy arouse and purge pity and fear under the aegis of reason. Of particular concern is the role of the rhetorical enthymeme (an informal syllogism) in achieving cathartic effect. Aristotle's endeavor to solemnize poetic creations thus crystallizes. This paper then clarifies the status of poetics in the Greek rhetorical tradition, expounds the relation of the Aristotelian tragedy to logic, and specifically explores the enthymematic reasoning that underlies catharsis. Such a rhetorical approach may contextualize Aristotle's catharsis in a historicized framework and supplement related studies that have long been confined to elusive interpretations such as purgation, purification, and clarification.

Keywords: rhetoric, poetics, epideictic, catharsis, enthymeme, emotion

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「淨化」作為「說服」——以修辭推論 探究亞里斯多德的悲劇論

蔡仁傑*

摘要

雖然批評家如沃克(Jeffrey Walker)及柯爾(Thomas Cole)等人，已就亞里斯多德(Aristotle)的思想推敲修辭(rhetoric)與詩學(poetics)之間呼應之處，對其悲劇論的討論，卻未曾留意到修辭說服(persuasion)與悲劇淨化(catharsis)的互聯性。因此，本文旨在申論，淨化的概念與亞氏藉由辯證(dialectic)理解修辭的思考路徑，原為一致。即便此概念涉及情意相關的外延，在根本上仍為一邏輯體：理想上，劇作家須能在理性的庇護下，勾起並排除悲憫及恐懼的情緒。當中，特別需要注意的是在此淨化效應下修辭推論(enthymeme，即不完整的三段式論證法)的角色。亞式企圖莊嚴化文藝創作的嘗試因而極為明顯。準之，本文將先論及在希臘修辭傳統裡詩學的狀況，再闡明亞氏悲劇論的邏輯面向，並明確探討淨化作用所蘊含的修辭推論運作。這樣的修辭取徑可在一具歷史縱深的框架中，脈絡化亞式的淨化說，以及增補傳統上對淨化較為難以捉摸的種種詮釋。

關鍵字：修辭、詩學、禮節修辭、淨化、修辭推論、情緒

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With a view to reframing the correlation between rhetoric and poetics (in the Classical period) in terms of logical reasoning, this paper challenges the long-standing supposition concerning the benchmark of imitation used to differentiate the two subjects. This benchmark is not altogether unfitting in itself, but it belies the consanguinity of the two discourses. To illustrate such kindred, this paper first argues that poetics serves fundamentally as the subsystem of rhetoric. Moreover, Aristotle's idea of enthymemes in rhetorical persuasion is applied to poetics, for the sake of revealing that poetics is inherently enthymematic. One comes to observe that tragic catharsis points to the work of logic and that the accompanying emotions are not sheer affect but symptomatic of enthymematic regulation.

Between Rhetoric and Poetics: A Continuum

To enquire into what a thing is and dismiss that which is not, as in Socrates' dialectical proceeding, is to construct a form of knowledge whose center inevitably gives way to the Derridean notion of differences. This inquiry meets more rub when the object to be explored originates at the inception of civilization—to give it a conceptual form also, unfortunately, deprives it of its primordial coherence with other coexisting objects. Moreover, to call it an object at all is daring enough, hardly objective, with this or that preexisting framework already confining one to self-reflexive visions. Such obstacles to a reliable episteme are exemplified in the conventional attempt to understand the polemic between poetics and rhetoric in the Classical Greece. Take Paul Ricoeur for instance. For him,

Poetry is not oratory. Persuasion is not its aim; rather it purges the feelings of pity and fear. Thus, poetry and rhetoric mark out two distinct universes of discourse. (12)

Thus, as he continues, “the triad of *poiesis-mimesis-catharsis*” cannot possibly be confused with “the triad of *rhetoric-proof-persuasion*” (13). It is obvious that Ricoeur follows here the distinction between the non-mimetic and the mimetic in Aristotle's expositions of rhetoric and poetics. The “two separate approaches to the realities of human life” (Howell 57), viz. storytelling and argumentation, therefore determine the way the two subjects have come to be grasped in the tradition of literary criticism.

Such conceptualization is undoubtedly Aristotelian and makes sense in its own way. The distinction must work, because either rhetoric or poetics displays its own identifiable features in terms of context and expression. Rhetoric could be seen in courts, public assemblies, or ceremonies so as to render the three types of rhetoric (forensic, deliberative, and epideictic) presented by Aristotle. On the other hand, if not for entertainment's sake, poetics appears on religious occasions as in the presentation of tragedies for Dionysus. At the level of expression, the two also differ in that rhetoric

reasons and argues while poetics narrates and shows. However, in claiming that rhetoric is like this and poetics is like that, one fails to note that both subjects do not assume their disciplinary forms until Aristotle's first systematic approaches to them. In particular, the term "rhetoric" (*rhetorike*) makes its debut in Plato's *Gorgias* (449A) (Cole 2; Walker 34; McComiskey 6). The Platonic and Aristotelian probe into rhetoric and poetics, that is, means a discursive exploration into something that just comes into existence by dint of this very discourse. That is why G. B. Kerferd contends that "...the theory of literature and the rhetorical art was largely the creation of the sophistic period" (78). Hence, to make the two subjects *appear what they are* might have limited the multifarious proto-rhetoric and proto-poetics especially in point of contexts larger than the mere contrast (arbitrated, perhaps) between Aristotle's treatises on them.

To begin with, proto-poetics is primarily a method of enculturation and indoctrination. In E. A. Havelock's words, it forms "a sort of encyclopedia of ethics, politics, history and technology which the effective citizen was required to learn as the core of his educational equipment" (27). It is only later that rhetors undertake the task of teaching with a more self-conscious pedagogy for the inculcation of ideas. As Thomas Cole puts it, rhetoric then represents "the will attempting to do the work of the imagination" (1). One quite heuristic exemplar is *Illiad* 9.443, where Phoenix tutors Achilles to both do well and speak well. This shows a societal concern for an ideal citizen in an oral culture: not only does he have to commit honorable actions but also he has to master the art of speaking. This concern is nevertheless narrated in a fictitious context without explicit theorization of the citizen's duties. Conversely, rhetors make accessible specific ways of speaking to persuade and items of knowledge for appropriation. Thus proto-poetics serves as the means to knowledge on which the pre-sophistic period relies just as rhetoric does ever since that time.

However, poetics and rhetoric may be far closer to each other than one could imagine. In his subtle analysis of the three types of rhetoric formulated by Aristotle, Jeffrey Walker notes that the epideictic is more "amorphous" and "inclusive" in content than the deliberative and the forensic and that it tends to comprise, among others, what is regarded as literature (7). He cites the example of the sophist Isocrates' *Antidosis*, in which the panegyric discourse is portrayed as "akin" to poetics, an Isocratean perspective that seems to have dominated later antiquity regarding the kinship between rhetoric and poetics (7). Therefore, feasible as it is to follow the imitation criterion, one could have been unaware of the fact that rhetoric in the Classical period includes poetics in its various forms. What role does poetics play in the art of speaking?—One continues to ask. Walker then draws one's attention to the nature of hearers in rhetorical events: it often escapes scholars that the recipients for deliberative and forensic rhetoric differ from those for the epideictic in Aristotle's *Rhetoric*. While their identity in the former case is one who makes a judgment or a decision (*krites*), in the latter's case it is one who watches

and makes observations (*theoros*) (*R* 1.3.2-3). This watching is no simple viewing; it points to the power of the epideictic, which “shapes and cultivates the basic codes of value and belief by which a society lives” (Walker 9). In turn, the values and beliefs derived “will underlie and ultimately determine decision and debate in particular pragmatic [deliberative and forensic] forums” (Walker 9). Such an approach to the epideictic fundamentally revises the traditional view of the historical tendency of rhetoric to move from “primary” rhetoric to “secondary” rhetoric (from uses of rhetoric in persuasion to its literary applications) (Kennedy 5-6). It is the epideictic, so to speak, that makes possible the actualization of the so-called “primary” rhetoric. Literature comes to be not only integral to the rhetorical system but also conducive to the robustness of the *inventio* for the pragmatic rhetoric.

The kinship between poetics and rhetoric even occurs in Aristotle’s accounts of the two subjects. As Cole points out, there is obviously “a rhetorical approach” running throughout the *Poetics* (17). He enumerates a series of correlations between poetics and rhetoric, the most pronounced tie being the correspondence between the plot in the *Poetics* and the argument in the *Rhetoric*. That is, the formation of both plot and argument rests on “plausible constructions” (Cole 16), which do not stand for truths themselves but make believe through the marshalling of probabilities. In this sense, one can discern Aristotle’s continual focus on the logical stringency of ideas—so much so that there is a parallel account of proper means to persuasion and catharsis in the *Poetics* and in the *Rhetoric*. In both treatises, Aristotle distinguishes between rational and irrational means: for rhetoric, arguments that persuade are supposed to derive from “artificial” proofs, instead of “inartificial” ones (see discussion below); for poetics, plots that affect should be designed “in terms of probability or necessity,” attending to what is within human comprehension (*P* 15). In sum, the *Poetics* aligns itself with the *Rhetoric* in point of its inherent stress on well-reasoned thoughts as presented to recipients.

From the above, one can observe that the conventional distinction between rhetoric and poetics as in Ricoeur’s differential triads is too simple and reductive an interpretation. Given the kinship between rhetoric and poetics, this paper wishes to go on with the interrelatedness between them and attempts an argument hardly elaborated before. Namely, Aristotle’s differentiation between rhetoric and poetics does not actually sever one from the other; in fact, reduced to the core, both subjects put forward ideas through the employment of enthymematic reasoning. This argument leads one, as of necessity, to view tragic catharsis as a form of persuasion and it implies, at the same time, that catharsis signifies an intellectual movement¹ informed by inferential activities.² However,

¹ Elsewhere in his Ph.D. dissertation, Jen-chieh Tsai has also explored the logical aspect of catharsis. However, while his concern in it consists in the demonstration of “dialectic” (in the Platonic context) in the Oedipus tragedy (Tsai 95-9), the present paper studies Aristotle’s *Poetics* with the logical structure of enthymeme (rhetorical syllogism) being the point of departure. The two approaches, though

this is not to negate the utility of emotions. As will be argued later, emotions for Aristotle are not pure affect but inclusive of cognitive processes both in the *Rhetoric* and in the *Poetics*. Moreover, they result necessarily from the subjectification of arguments in the enthymematic mechanism.

Enthymematic Reasoning in the *Poetics*

Given the fact that rhetoric and poetics combine into a rhetorical system and the correlation between the two in point of the rationality of both plot and argument, one may explore how poetry persuades (culminating in catharsis) in face of spectators (*theoros*) by dint of enthymemes, which, as Aristotle contends, serve as the main of “proof” (*pistis*) for orators (*R* 1.1.3). This is, firstly, to claim that plot-making is inherently enthymematic, reliant on probabilities and intersubjective agglutination, and, secondly, to argue that mimesis forms the dynamics for the actualization of enthymematic reasoning. The latter also indicates that mimesis may well be the faculty fundamental to the art of persuasion.

Enthymemes, to begin with, refer to the proofs used by orators to effect decisions and actions. They reason syllogistically but not complete in form as required in syllogistic thought (*R* 1.2.13). The following exemplifies the form embodied by a syllogism:

Argument A: (a) Men are mortal.
(b) Socrates is human.
→ (c) He is fated to die.

In it, (a) and (b) constitute the premises leading to the conclusion (c). When it comes to an enthymeme, the three-step reasoning becomes simplified as below:

Argument B: (d) Men are mortal.
(b)
→ (e) Socrates is fated to die.

or,

Argument C: (f) Men are mortal.
(g) Socrates is human.

contextualized quite differently, could combine into a general view that the Aristotelian tragedy refers unmistakably over and over again to the philosophical traditions, Platonic or Aristotelian. By its very nature, the *Poetics* is hardly emotive or imaginative.

² Adnan K. Abdulla has done a thorough research on the long history of discussions regarding the term “catharsis”—the best, so far. In his study of related views ranging from anthropologists, aestheticians, psychologists, psychoanalysts, to Formalists, and many others, he sums up two core concepts that constitute the understanding of a cathartic process: “emotional excitation” and “intellectual understanding” (9). If they are the x- and y-coordinates dividing a plane, then any interpretation he finds falls within one of the four quadrants, roughly resulting in three possibilities brought about by catharsis: purgation, purification, and clarification (3). Yet, Abdulla has missed one historically pertinent approach; that is, a rhetorical perspective is also possible, and even probable, as discussed above, in the reading of catharsis. Moreover, this perspective will eventually contribute to the qualification of what is meant by “intellectual understanding”: to explore the Aristotelian tragedy via the administering of enthymemes.

(\rightarrow (c))

The logical integrity of B and C is hardly compatible with A, both missing a linking proposition that connects the other two. Such enthymemes remain feasible, however, because the desired integrity lies not so much in formal exposition as in the implicit understanding achieved in recipients of B or C. Thomas B. Farrell specifies this understanding as based on “tacit reference” (98)—that the attainability of enthymemes depends on recipients’ “social knowledge,” that is, “the mosaic of commonplaces, traditions, and provisional interests” (99). Thus, as Aristotle puts it, “the hearer can add it himself” (*R* 1.2.13): while (b) is understood in B, (c) in C. Actually, this addition by recipients points out a further distinction between syllogisms and enthymemes. The integrity for the former resides in the coherence and consistency between propositions,³ but that for the latter relies largely on the rapport between propositions and recipients.

Materials for enthymemes are variegated propositions, ranging from probabilities and signs (*R* 1.2.14), examples (*R* 2.20.3), maxims (*R* 2.20.2), to proverbs (*R* 2.21.13). One thing to note among these is the kind of sign called “necessary sign” (*tekmerion*) (*R* 1.2.18). It features an inferential process on which syllogisms can be constructed (*R* 1.2.17), as in the instance below:

(h) If there is fire, there is smoke.

(h) is necessary in the sense that the protasis leads naturally to the apodosis, unlike the case in (i):

(i) If there is smoke, there is fire.

This is merely an ordinary sign (*semeion*) whose coherence between propositions is not always sustained. Yet, even if the necessary sign tends to affiliate with syllogisms, one has to be aware that its application in rhetoric is well circumscribed by the contingent. Oratory, as Aristotle explains, means “the faculty of discovering the possible means of persuasion in reference to any subject matter” (*R* 1.2.1). Namely, as long as a proposition is found conducive to effect decisions or actions offhand, it can be employed for that purpose, albeit a necessary sign. It is thus clear that enthymemes operate in the mode of probability, with a view to making recipients arrive at decisions using whatever is available at the instant, instead of focusing on the coherence and consistency between propositions alone. Pivotal to the enthymematic reasoning is that a proposition has to be judged, confirmed or refuted, in the randomness of circumstances. This is what M. F. Burnyeat concludes regarding the nature of enthymeme: it points to an argument “in a context where certainty and conclusive proof are not to be had...yet a judgment must be made” (13). Accordingly, persuasion via enthymemes aims at the synchronicity of interlocutors’ consciousness.

As one proceeds to the *Poetics*, it is striking to observe that Aristotle’s “plot” takes

³ See Aristotle’s *Topica* 155b10.

on the virtue of an argument. In *P* 7, Aristotle avers that the plot should be “a whole,” with a beginning, a middle, and an end:

A beginning is that which does not itself follow necessarily from something else, but after which a further event or process naturally occurs. An end, by contrast, is that which naturally occurs, whether necessarily or usually, after a preceding event, but need not be followed by something else. A middle is that which both follows a preceding event and has further consequences. Well-constructed plots, therefore should neither begin nor end at an arbitrary point.

Note first that the plot is supposedly a whole, meaning that the events embedded in it follow the same line of ideation, and, in this account, plot-making seems to square with the three-step reasoning in a syllogism. This is not the case, though. Firstly, the plot itself cannot be a complete argument because its ideation still requires recipients’ judgment. Secondly, this requirement has been actually implied. For Aristotle, the events in the plot may recall things that have happened, but the poet should not make it the case. Instead, the poet undertakes to relate “the *kinds* of things that might occur and are possible in terms of probability or necessity” (*P* 9). In other words, in stringing together the beginning, the middle, and the end, he appeals to the “social knowledge” of recipients, who may in turn synchronize themselves with the plot-argument, giving rise to the completion of an enthymeme. Hence, the logical integrity of poetry depends on whether the poet could present something “universal”—“the kind of things which it suits a certain kind of person to say or do” (*P* 9) and whether recipients could authenticate their meaning structure in relation to the poetic universal. It is this realigning of poetics with rhetoric in point of enthymematic reasoning that arguably makes sense Aristotle’s statement that “poetry is more philosophical” than history (*P* 9).⁴

Enthymemes are therefore quite emphatic of a dialogic context in which the second person acts as the interpreting agent. The agent is interpreting in the sense that what both poetic plot and rhetorical argument propound needs to consider their recipients to be the

⁴ To be specific, the idea that poetry could be philosophical lies in that “...poetry relates more of the universal, while history relates particulars” (*P* 9). Tsai has attempted to analyze pity and fear based on such a general-particular dialectic in his Ph.D. dissertation and his analysis in it may corroborate my argument about the domestication of emotions in the next section. Here is a sample of his exploration:

There is initially in the tragedy a particular instance that invites pity and fear, and such emotions are in turn projected into the audience themselves. This transference is immediately a transaction between the particular and the general, the latter being represented by the audience. By contrast, as Aristotle specifies, anger is the kind of emotion that “has always an individual as its object” instead of classes (*AoR* II.4.31). So, from the very outset, it is barely thinkable that anger should be able to reach the audience because it fails to be a universalized emotion. In terms of *pathos*, persuasion via tragedy is therefore constitutive of two phases. The first one is to identify the situation to be pitied or feared and the second one is that, when pity and fear are accordingly aroused, it remains for the spectators to universalize those emotions. And, this transition from particular to universal complies significantly with the idea of *catharsis*, whereby the audience is successfully persuaded. (Tsai 93-4)

ones that arbitrate the nature and form of *episteme*. Besides, such consideration also takes care of the time and the place specific to the agent, whose *episteme*, bound by *kairos*,⁵ varies its form each moment. This is because rhetoric deals with things that could “be other than they are” (*R* 1.2.13) and, as regards human actions, “none of them [are] necessary” (*R* 1.2.14). Thus, the attention of rhetoric paid to “the immediacy of the present” (Hyde and Smith 81) cannot but prioritize subjective consciousness. Conversely, syllogisms are confined to propositional integrity, the coherence and consistency between propositions alone, irregardless of subjective desires and interests.

That said, the enthymematic reasoning intrinsic to plot and argument needs two more qualifications—though possibly in conflict with each other. For one thing, plot and argument operate to the exclusion of irrationality. In rhetoric, proofs derived from enthymemes are “artificial” ones, constructed from *logos*, to be distinguished from “inartificial” ones such as witnesses, tortures, contracts, laws, and oaths (*R* 1.15.1). For Aristotle, only the former constitute the substance of rhetoric: orators could also resort to emotions and their own moral character for credibility but these means must be conveyed through *logos*. Likewise, in *P* 6, Aristotle points out that spectacle, though one of the six elements of tragedy and as “emotionally potent” as the plot, “falls quite outside the art.” It is “outside the art,” that is, impertinent to poetics—whose *sine qua non* is exactly the plot, the argument structure that appeals to enthymematic reasoning.⁶ Thus, in both rhetoric and poetics, Aristotle maps out a “hypotaxis” by which enthymemes reign over elements unrelated to *logos*; they are at the same time readily dispensable.

The other thing is that the logical integrity invested in plot and argument, though placing the second person at the center of interpretation and suppressing irrationality, implies a devaluation of recipients’ intellectual capacity. The art of persuasion, as Aristotle argues, is suitable when instruction is impossible for the “multitude” (*R* 1.1.12). This group of people features not only “vulgarity” (*R* 2.21.15) but also the inability “to take a general view of many stages, or to follow a lengthy chain of argument” (*R* 1.2.12). Furthermore, enthymemes work well if they partake of propositions (generally put) “which they [recipients] have already specially formed” (*R* 2.21.15). In a word, the judgment to be made by recipients seems to have been contrived and anticipated. Yet, the rhetorical art, if genuine at all, needs not agonize over depravity and manipulation. As Aristotle expounds, “one who acts in accordance with sound argument, and one who acts in accordance with moral purpose, are both called rhetoricians” (*R* 1.1.14). It appears that rhetoric is on the whole a subject informed by ethical concerns.

One special thing to note is: to regard plot-making as catalytic to enthymematic

⁵ *Kairos* means timeliness and is a concept central to rhetorical operation since orators have to be aware of each moment’s specificity and then produce relevant arguments. By it, Isocrates sets up a “formal system of rhetorical *paideia*” that influences the following two millennia (Sipiora 7).

⁶ For more discussions about the role of emotion in relation to *logos* in rhetoric and poetics, please refer to the next section.

reasoning indicates simultaneously that mimesis is a mode of knowing through inferences. In Aristotle's famous definition of tragedy, it is said tragedy is "mimesis of an action which is elevated, complete, and of magnitude" (*P* 6). Critics have hardly explored what is meant by the phrase "an action," but it actually provides a key clue to the understanding of the rhetorical nature of poetics. The action to be imitated, as embodied in the making of a plot, implies the establishment of a meaning unit by the deployment of events. It is obviously the plot-argument discussed above. In light of this, when mimetic artists represent "people in action" (*P* 2), they try to model the plot-argument on the kind of probability-generated actions that could engage its recipients. Mimesis is consequently enthymematic, seeking the correlation between plot and recipients and culminating in "psychological assimilation" (Duggan and Grainger 68). Subjective consciousness still bespeaks the pivotal concern here.

Mimesis as an inferential activity is also explained by Aristotle himself, who proclaims in *P* 4 that

...everyone enjoys mimetic objects. A common occurrence indicates this: we enjoy contemplating the most precise images of things whose actual sight is painful to us, such as the forms of the vilest animals and of corpses. The explanation of this too is that understanding gives great pleasure not only to philosophers but likewise to others too, though the latter have a smaller share in it.

A cognitive aspect is accordingly implied in mimesis: to approach imitation means to understand it empathically (Belfiore 252), to know the meaning structure conferred on the objects imitated. To a greater extent, such empathy calls for subjective participation. That, when achieved, creates an enthymematic framework among subjects and ends up with catharsis—now better understood as "intellectual illumination" (Haskins 53). Finally, following Aristotle's understanding of mimesis also as "an instinct of human beings" (*P* 4), one can claim that this imitative act functions as the primordial agency that actualizes enthymematic reasoning and that this logical activity in rhetoric is fundamentally mimetic of the other, the so-called "psychological assimilation" above.

Facilitation of Enthymemes by Emotions

In the formation of the Aristotelian plot or argument, one could hardly fail to note that emotions play a conspicuous role in enthymematic reasoning. In the *Rhetoric*, Aristotle proposes that proofs are of three kinds: *logos*, speech that aims at acceptable reasoning; *ethos*, orators' moral character that invites confidence; *pathos*, emotion that prepares recipients for certain arguments (1.2.4-6). In *P* 6, the definition of tragedy goes that it imitates a heightened action and arrives at "catharsis" of pity and fear by arousing them. Thus, it appears that enthymemes bring arguments into effect to the concomitant of

emotions. This section then purposes to look into the correlation between enthymeme and emotion, to see how affect partakes in enthymematic operation. It is found that emotions originate with the modalization of arguments due to intersubjective agglutination and remain confined to rationality. Also, pity and fear are discussed for their immanence in and correspondence to enthymematic reasoning.

The inclusion of emotion in the Aristotelian rationality is obviously antithetical to the Platonic unalloyed truth. Nevertheless, in the former, proofs for persuasion other than *logos* must be displayed through this very *logos*. As Aristotle writes, confidence in orators “must be due to the speech itself [*dia ton logon*], not to any preconceived idea of the speaker’s character” (*R* 1.2.4), and, as to *pathos*, hearers are again “roused to it by his speech [*upo tou logou*]” (*R* 1.2.5). A hierarchy appears distinct in which *ethos* and *pathos* are subordinate to *logos*: this latter serves as the interpreting system of the former two proofs. One can thus say that, conspicuous as the role of emotion is for Aristotle, its status remains peripheral, and, in a sense, domesticated. In this vein, one also observes that “artificial” proofs for him refer to evidence mediated by *logos*, speech that reeks with rationality, being enthymematic in the rhetorical context.

It is likewise illuminating to see that Aristotle’s exposition of emotions in *R* 2 exhibits a drive over and over again to assimilate *pathos* with logical integrity. Firstly, one notes that Aristotle adopts a structural-cognitive framework for the cognizance of emotions. Before he moves on to accounts of *pathos*, he clarifies that each emotion is going to be approached in terms of frames, objects, and occasions (*R* 2.1.9). That is, for example, anger will be understood based on what kind of mindset that could be led to anger, what kind of things that could excite anger, and in what context anger could be roused. Implied in this approach is a strong desire to confer causality on emotional expressions. There must be a cause that prompts an emotion. Hence, Aristotle’s move regarding emotions is aptly a cause-effect analysis: in actuality, they are not detached from the world of reason. Owing to this, Alexander Nehamas explains that “a value judgment is inherently involved in every emotional reaction” in Aristotle’s rhetoric (264). In Ellen Quandahl’s words, emotion is, composed of “judgment” and “affect,” “not a simple phenomenon of the individual body, but a complex phenomenon of attention, body, belief, and the judgment that can both contribute to argument and deliberation and be influenced by them” (17). The difference between Aristotle and Plato therefore lies not so much in the in/exclusion of emotion as in whether to domesticate it or not.

One more thing to note about Aristotle’s treatment of *pathos* in the *Rhetoric* is that the “judgment” accompanying each emotion is a recognized one, no contingent nor random ideation. According to John M. Cooper, when Aristotle offers possibilities of causing or preventing certain emotion in recipients in *R* 2, “dialectic” is practiced to assemble “established” and “reputable” opinions about various facets of emotions (408). This dialectic means that orators should not rely solely on *doxa*, simple and ordinary

opinions, but they should resort to *endoxa*, opinions that are popularly endorsed. Applied to enthymematic reasoning, the recognized opinions indicate that subjective consciousness remains subject to the structuring and patterning tendency of thought. Once beyond the confine of this tendency (signified by *logos*), *pathos* would become “inartificial.”

The domestication of emotions is also evident in the *Poetics*. As mentioned previously, tragedy’s plot can generate the utmost “emotional effect” (*P* 6). Spectacle can function similarly in exciting recipients, but, evading the subsumption of enthymemes, it “falls quite outside the art [poetics].” Stephen Halliwell explains the potency of plot quite precisely: there is no pure affect; “the tragic emotions are related, on Aristotle’s own theory, to the understanding of a total pattern of action” (133). Hence, if emotions in tragedy arise in response to plot, this response is due to an engagement with its enthymematic capacity in the logical progression from beginning, middle, to end.

Judging from the above, enthymeme and emotion are vigorously correlated. Such correlation arises largely because of the intersubjective agglutination called for in enthymematic reasoning—when subjective consciousness necessarily entails personal desires and interests, in contradistinction to the desubjectification of syllogisms in dialectic. It is in light of this that one can argue that emotion is fundamentally symptomatic of enthymematic processes. Namely, as arguments become *modalized* through subjects (who make judgments via possibility, probability, or necessity *kairitically*⁷), emotions are the natural indications of enthymematic reasoning. Simultaneously, they are conformably bound by *endoxa*. Thus, the Aristotelian *pathos* is never pure affect but cognitive-structural, carefully inscribed in a rational scheme.

Correspondingly, the two emotions specific to the Aristotelian tragedy appear to tally with the offshoot of such modalization. If one peruses the account of *pathos* in *R* 2, it is found that pity and fear are the only two emotions characteristic of the enthymematic dynamics—the primeval mimesis—inclined to the other. Let’s review their definitions first:

Let fear be defined as a painful or troubled feeling caused by the impression of an imminent evil that causes destruction or pain; for men do not fear all evils...but only such as involve great pain or destruction, and only if they appear not far off but near at hand and threatening.... (*R* 2.5.1)

and

Let pity then be a kind of pain excited by the sight of evil, deadly or painful, which befalls one who does not deserve it; an evil which one might expect to come upon himself or one of his friends, and when it seems near. (*R* 2.8.2)

In both, what strikes one as impressive is that, in contrast to the other emotions, pity and

⁷ “Kairitically” is derived from “kairos” to mean opportunely. Please refer to the fifth footnote.

fear are specified for creating proximity of evils to recipients: they make evils seem near. At work here is an appeal to intersubjective agglutination for affecting recipients through probability-driven reasoning. Therefore, pity and fear, symptomatic of the beliefs and opinions that provoke them, appear quite effective in negotiating between subjects and bringing about transaction of ideas.

Actually, the *Rhetoric* also offers a very important clue to the understanding of tragic emotions. In the exposition of pity, one may find that causes of this emotion are virtually similar to those of fear. However, at *R* 2.8.13, Aristotle indicates that pity depends on fear and that threatening evils cannot be so close as to dispel pity, which would be “terror” in this case. Applied to the Aristotelian tragedy, this indication signifies. That is, recipients of the tragic plot experiences fear first and then pity, but, as one finds that causes of both emotions are virtually the same, it appears that fear transforms into pity, the final affect proper to recipients. If evils are shown to be too close, such transformation would be impossible. Accordingly, pity plays a distinct and paramount role in the enthymematic reasoning leading to catharsis. The study of pity by Elizabeth S. Belfiore is quite pertinent here. She concludes that pity is an action-oriented emotion for

In Greek thought generally, pity (*eleos*, *oiktos*) has the physical manifestations of weeping and groaning. *Eleein* in Homer, unlike the English “to pity,” is primarily to do an action rather than to feel a certain way. For example, to pity a friend in war is to seek revenge. In later times also, the orator has a very special aim in awakening the pity of the judges. (Belfiore 186)

Thus, to feel pity is to take a specific action. To receive the epideictic and form proper opinions and beliefs is as dynamic as persuasion in pragmatic rhetoric. Recipients of tragedy are then expected to implement an ethical action in the future: terror would only confine one to present affect without expediting prospective goodness. Eventually, as Belfiore continues, pity entails “more complex judgments” than fear and “an understanding of universals” (189). In the final analysis, this emotion symbolizes Aristotle’s rationalization of the tragic and the potential of tragedy in facilitating ethical actions via enthymematic reasoning.

Redefining Catharsis

Repositioned in the rhetorical framework, catharsis signifies the moment of persuasion. Moreover, such persuasion carries two implications. For one thing, it points to the cultivation of recognized opinions and beliefs in recipients, as appropriate to the gist of the epideictic. The other thing is that it is achieved through enthymematic reasoning that seeks intersubjective correspondence. This not only results in a form of logical integrity dissimilar to syllogistic inference but also engenders a *logos* reeking with

emotional expressions. However, these expressions arise fundamentally out of the modalization of arguments between subjects so that they remain subordinate to *logos*. In sum, catharsis ultimately suggests “intellectual understanding” while “emotional excitement” is simply symptomatic of such a cognitive process due to the nature of enthymematic work.

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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

劉瓊如^{*}、廖葆禎^{**}、林濰榕^{***}

摘要

購物能發展成一種觀光資源乃仰賴購物環境的品質、吸引力和安全。當觀光客感受到購物風險時，如購物被騙、遭受商家為難、或於目的地被限制活動，可能會影響其購物行為。因此降低觀光客在購物環境中的風險知覺乃管理單位的重要課題。本研究基於Yüksel and Yüksel (2007)發展的「風險知覺-購物情緒-滿意度-忠誠意圖」模型為基礎，改編驗證阿里山地區，購茶大陸觀光客「風險知覺-購物情緒-購買意願」的消費行為理論模式。本研究訪查244名大陸觀光客，以線性結構方程式進行模式檢定。研究結果證實，觀光客知覺到的風險將負向影響愉悅購物情緒，觀光客的愉悅與所喚起的購物情緒將正向影響購買意願。本文貢獻在針對過去「風險知覺-購物情緒-購買意願」模式，提出較合宜的消費行為理論模式。最後將提出研究結果的意涵與未來研究建議。

關鍵字：風險理論、購物風險、情緒、購買意願

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Tea Shopping Risk Perception: Effects on Chinese Tourists' Emotions and Willingness to Purchase

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Abstract

The potential for shopping to be developed as a tourism resource depends on quality, attractiveness, and safety of the shopping environment. When tourists perceive a risk in shopping, such as fraudery, harassment from the vender, or restriction of activity at the destination, this may in turn affect their purchasing behavior. Thus reducing the perception of risk in tourist shopping environments is an issue of significance for management. This paper builds on the model adapted by Yüksel and Yüksel (2007) to validate the “risk perception—buying emotion—purchasing intention” consumer behavioral model through an investigation of tourists from Mainland China buying tea in the Alishan area. 244 tourists from Mainland China were surveyed, the results of which were tested with linear structural equation analysis. The results indicate that the perception of shopping risks by the tourists have a negative influence on purchasing emotion. Happiness or excited purchasing emotions in turn have a positive influence on willingness to purchase. This paper aims to contribute a more appropriate theoretical model of consumer behavior than the past “risk perception—buying emotion—purchase intention” model. It will be followed by analysis of these results and suggestions for possible future research.

Keywords: risk theory, shopping risks, emotions, purchase intention

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壹、前言

台灣的阿里山茶向來是茶業市場的高檔貨，也是大陸觀光客(以下簡稱陸客)來臺喜愛購買伴手禮商品之一，惟依據觀光局2006年至2008年「來臺旅客消費及向調查報告」指出近三年來陸客對茶葉佔整體購物費用的比例，由2006年茶葉消費金額13.68美元(13.61%)到2008年茶葉消費金額10.88 美元(10.41%)，有逐年下滑的趨勢，推論可能與越南茶進口來台，許多不肖業者將劣質茶混入販售，讓人難以分辨茶葉真偽，或僅用一般茶葉包裝成比賽茶盒販售，或店家哄抬價格，標價未列明以人民幣販售，讓陸客在購買時有風險的知覺產生。

觀光客在有限的旅遊時間內，經由在目的地購物將是最容易且直接地體驗當地文化的方式之一。先前研究指出，與觀光產業有關的企業必須要讓觀光客感受到安全感(George, 2003; Pizam, Tarlow, & Bloom, 1997)，當中也應包括觀光目的地中的購物商店。渡假時，觀光客總會希望購物地點可以提供多樣性的產品選擇和良好的購物氣氛，同時具有社交和安全的環境 (Bloch, Ridgway, & Dawson, 1994)。安全的購物環境可以增進觀光客的正向情感，同時也讓觀光客感到滿意並且願意停留更多的時間。反之，與財務、心理、生理和產品(或)時間等有關的風險知覺則會引發觀光客的負面反應(Sonmez & Graefe, 1998)。當外在環境的風險超過觀光客個人可容忍的範圍將會降低其購物意願(Mitchell, Davies, Moutinho, & Vassos, 1999)。換言之，如果觀光客在商店中瀏覽或購買商品時知覺到財務、身體、心理與產品上的風險，他們可能決定離開或建議其他人不要前往該商店，此外也會對該目的地形成不好的印象。因此，觀光客在目的地購物時若知覺到風險將會不利於觀光目的地和與觀光有關的企業或商店(Yüksel & Yüksel, 2007)。

檢視目前國內外有關購物之研究多沿用Mehrabian-Russell (1974)的環境心理理論，證實商店的環境確實會個人情感與行為產生影響，例如：商店環境氣氛(Zimmer & Golden, 1988)、顧客服務品質(Baker, Levy & Grewal, 1992)、價格知覺(Doyle & Fenwick, 1974)、商店環境形象(Bell, 1999)、產品涉入(吳德君，2005)、品牌形象(林碧霞，2006)等。直到Yüksel and Yüksel (2007)從風險的觀點指出，觀光客的風險知覺會影響其購物情緒，進而降低滿意度與忠誠度。然而，Yüksel and Yüksel (2007)雖證實觀光客的情緒會影響對商店的滿意度及忠誠度，但從商店業者而言，觀光客的購買意願更是商家所重視的議題，尤其是面對參與團體旅遊的觀光客。目前陸客來臺多採團體旅遊方式，行程中所安排的購物地點已事先安排，許多團體旅客在行程結束後早遺忘曾在何地與何間商家購物。因此，瞭解影響團體旅客購買意願的因素更顯重要，惟Yüksel and Yüksel (2007)之研究則無法適用於本研所欲探討的管理課題。此外，在茶觀光客購茶消費行為相關研究中，大多以茶觀光客之觀光動機(鄭如婷，2006)、茶觀光客體驗(陳宏斌，胡俊傑與林世能，2007)、購茶行為模式(劉瑞都與李宗鴻，2008)、觀光茶園顧客價值創新策略(劉瓊如與廖葆禎，2009)等議題探

討，鮮少探究購茶之風險知覺。

另一方面，依據交通部觀光局「2008年來台旅客消費及動向調查報告」中「購物費」部分，陸客觀光團體旅客在臺每人每日平均購物費為131.36美元，遠高於日本之97.87美元及全體之89.42美元的消費金額，並依據觀光客每人每日消費細項調查，陸客在臺購物費用的金額即佔在臺消費總額的44.53%，此比例居來臺觀光客購物消費比例之冠，可見陸客消費能力不容小覷。此外，2008年陸客在台購物金額多花費於採購名產或特產(每日平均消費金額33.02美元，佔消費金額25.14%)、珠寶或玉器(每日平均消費金額29.43美元，佔消費金額22.40%)、服飾或相關配件(每日平均消費金額17.13美元，佔消費金額13.04%)，其中以購買「名產或特產」消費金額為最多，尤其是在茶葉採購方面亦佔全部消費金額10.41%(每人日平均消費金額13.68美元)，比例亦相當高。再者，現階段陸客來臺觀光，由於業者競爭激烈，因而大多以短天數為主，且以購物團操作或外加自費行程額外收入等方式弭補團費不足(王致遠, 2006)，因此，不論食、住、行、遊、購、娛等品質不佳時有所聞，對台灣產生不良的印象。爰此，以陸客來臺購茶之消費行為模式，確有其研究需要。因此，本研究試圖瞭解陸客購茶的風險知覺及其對購物情緒的影響，進而對購買意願的影響。歸納本研究目的包括：

- 一、探討陸客在購茶上的風險知覺與購物情緒之關係。
- 二、探討陸客在購茶上的購物情緒與購買意願之關係。
- 三、建立「風險知覺-購物情緒-購買意願」之購物行為理論。

貳、文獻回顧

一、風險知覺和行為

知覺風險係指「消費者在進行消費行為時，知覺到不確定性或不利且有害的結果」(Dowling & Staelin, 1994; Mitchell et al., 1999)，高風險會降低造訪意願，因此應該要降低風險程度，風險知覺會影響觀光客相關購買決策(Floyd & Pennington-Gray, 2004)。影響購物的風險程度有很多因素，包括：購物地區和商店提供的設備和活動、購物區的關稅和環境、選擇複雜性、鮮少購買和有限的經驗等項。通常消費者會積極的避開負面的體驗，而不是講求產品效用最大化。因此，消費者越感到風險，越不可能去購買(Lim, 2003)。過去研究指出風險知覺會直接影響購買意圖(Mitchell et al., 1999; Tsaur, Tzeng & Wang, 1997)。Schneider and Bowen (1999)指出若一零售商店違反消費者的安全需求，這樣令人不愉快的經驗可能會讓消費者充滿憤怒。

風險是由多方面組成的(Tsaur et al., 1997)，Moutinho(1987)將觀光客風險分為五類：功能性風險、身體風險、財務風險、社會風險及心理風險。此外，Roselius (1971)則定義消費者損失的型態有時間損失、危險損失、自尊損失和金錢損失等4類；Roehl

and Fesenmaier (1992)研究知覺風險與旅遊間的關係，將觀光客風險分為7類：設備風險、財務風險、身體風險、心理風險、滿意風險、社會風險和時間風險；Sonmez and Graefe (1998)指出除了典型的渡假消費外(例如交通、住宿)，觀光客可以帶來其他花費，例如：心理、社會、時間和健康。從這些型態中發現，財務、心理、滿意和時間風險最常與觀光有關聯。Tsaor et al. (1997)綜合了先前的研究，認為觀光客風險知覺為旅客在旅遊過程或行程中面對所可能感到的風險，此風險的產生主要來自行程中及目的地所提供之旅遊服務條件。他們研究了兩個主要的風險類型：第一是身體的風險，關係到個人的健康可能暴露於風險、損傷和疾病中；第二為設備風險，因為不適用或故障的設備會提升危險的發生。此外，于丹等人(2007)將網上購物風險來源及類型可分為產品(感知績效風險)、遠距離交易(時間、交付及服務等風險)、互聯網(社會、隱私、付款、心理、身體等風險)及網站(信息風險)等項。

Yüksel and Yüksel (2007)認為觀光客渡假時可能會引起財物的損失，也許是攤販販售不合要求的產品給觀光客。有時，觀光客得花費額外的金錢去更換這些產品。同時，觀光客的信用卡明細可能在商家處理中不知不覺的被竊取，可能被店員欺騙產品的價格或有效期限，也有可能因為貨幣交換的手法造成財物損失。此外，購買的產品可能不是合法的或使用期限很短，產品的風險可能是因為消費者沒有能力去判斷產品的品質，或是商店店員傳遞了錯誤的資訊給消費者。觀光客可能只限於用身體或其他方式(如觸摸、試用產品、閱讀資訊不足的商標和聽介紹)去判斷產品品質。觀光客也可能因為當地習俗而遭受心理風險。例如：在一個國家可能採取不平常的購物模式-「殺價文化」，是購物文化和體驗的一部份(Yüksel, 2004)。殺價的感覺可以變成是觀光目的地提升愉快購物的潛力，付了較少的錢可以讓觀光客感到自豪、興奮和一種成就的感覺(Cox, Cox, & Anderson, 2005)。當某些觀光客因殺價感到開心時，其他人也可能有失望的體驗。假如購買失敗，觀光客可能會有內心的壓力或感覺挫敗。

綜言之，觀光客於渡假時可能會規劃一個購物地點，提供自己做產品選擇，並且擁有良好的購物氣氛，但前提是該購物地點必須是符合安全的；當觀光客感覺有財務風險問題，或對該購物地點感到不安全或受到威脅時，他們可能決定不去或不建議其他人到這家商店購物。本研究參考Yüksel and Yüksel (2007)之研究問項並瞭解阿里山地區目前所關注的購物風險計有3項：1.消費者與店員的互動關係，購物時有被欺騙的感覺(例如：產品有假貨、產品訂價過高)；2.在購物時有受到服務人員的為難(例如：殺價不成、兌換匯率吃虧)；3.在購物時有受到任何犯罪的行為(例如：信用卡盜刷、收到偽鈔等)。

二、購物情緒

Mehrabian and Russell (1974)提出三種情緒狀態影響觀光客對環境的接近或逃避的行為。這些情緒的反應，和大家所熟知的愉悅、喚起和支配的模式是相同的觀點(PAD, Pleasure, Arousal, Dominance)。這模式假設觀光地的購物環境會讓觀光客進入

愉悅、喚起和支配的情境(Donovan & Rossiter, 1982)。愉悅—不愉悅程度指個人對環境感覺好的、喜歡的、愉悅的，或滿意的程度。喚起—非喚起指個人對環境覺得興奮的、刺激的、或積極的程度。支配—非支配指個人對環境感覺被控制或自由活動的程度。Donovan and Rossiter (1982)發現愉悅-喚起的情緒面向較能代表個人對環境的情緒反應，而購物行為對支配的情緒衡量較無相關。

目前國內研究商店環境刺激影響消費者之情緒與購買行為等相關文獻，僅有少數商店氣氛影響情緒及購買行為的研究，且範圍多集中於商店氣氛中以聽覺(如音樂)、視覺(如燈光)、設備美學、員工形象等因子以測量其情緒和購物行為的影響。例如：陳翰平(2001)的研究採用現場實驗法，選擇在連鎖商店「生活工場」進行問卷調查，並在店內操弄自變數—照明強弱與音量大小，研究顯示照明強弱、音量大小對消費情緒的影響，及消費情緒對趨避行為的影響，大多有顯著性的差異；陳囿任(2005)的研究探討咖啡店商店氣氛對顧客情緒及忠誠之影響模型，指出周遭環境、設備美學、員工形象與顧客類型對顧客情緒的影響，都有顯著性的差異。

同時，Donovan and Rossiter (1982)也認為店內環境所引發的情緒反應是非預期性購買的決定因素，當消費者感受到環境刺激而產生感性情緒時，容易引發衝動性購買的可能性。關於愉悅-喚起的情緒面向運用於行銷研究已獲得共識(Bigne, Andreu, & Gnoth, 2005)。購物會影響多樣反應，像是接近行為等情緒(Hui, Dube & Chebat, 1997; 陳翰平, 2001)，花費額度(Donovan & Rossiter, 1982)，購買偏好與選擇(Dawson, Bloch, & Ridgway, 1990)，願意購買(Baker, levy, & Grewal, 1992; 陳囿任, 2005)，和購買滿意度(Machleit & Mantel, 2001)。正向鼓勵購物者停留較長時間且與銷售員之間有互動(Babin & Darden, 1995)，而負面的影響增加購物者想要離開商店(Chebat & Michon, 2003)。

旅遊購物決策是一個包括從內在心理活動到外在行為的連續過程。由於旅遊購物者購物時受時間、空間的限制，其資訊管道是非常有限。因此，多屬於不確定決策居多。蔣玉飛(2006)運用推拉模式研究旅遊購物決策，分析旅遊購物之心理。此外，薛英(2006)進行旅遊購物決策過程和影響因素之研究，強調要重視影響旅遊購物決策的客觀因素如：時間、收入、環境及商品等，主觀因素如：感知印象、偏好、態度、需要、動機等，並認為旅遊購物決策是決策者在主、客觀條件的約束下，選擇讓自己滿意旅遊商品的過程。

綜言之，當消費者接收環境的刺激之後，能夠創造出情感的回應，並進一步影響消費者行為(Machleit, & Eroglu, 2000; 陳翰平, 2001)。因此，消費者在商店購物時所表現的「行為意圖」是指體驗過程中進入商店環境後的「行為結果」階段，但在此行為結果的表現前，是須經過接收了各項商店中的氣氛、提示或是刺激，再經由內在情感面與認知面對於各種刺激物的處理所導致而成。Leone, Perugini and Bagozzi (2005)研究結果顯示預期情緒會影響到消費者在作決策的同時以及未來的決策行為。因此，本研究認為消費者於商店中接受心理層面的刺激而引起的情緒反應，足

以影響消費者對商品的購買意願，提出研究假設：

H1a：購物地點的風險知覺和愉悅的情緒的反應之間具有負向關係。

H1b：購物地點的風險知覺和喚起的情緒的反應之間具有負向關係。

H2a：愉悅的購物情緒反應會正向影響購買意願，更多的愉悅情緒伴隨想要在購物地點停留和對購物地點更有互動。

H2b：喚起的購物情緒反應會正向影響購買意願，更多的喚起情緒伴隨想要在購物地點停留和對購物地點更有互動。

參、研究方法

一、研究架構

本研究參考Leone, Perugini and Bagozzi (2005)提出預期情緒將會影響消費者在作決策的同時以及未來的決策行為。同時，Yüksel and Yüksel (2007)研究發現消費者對購物地區的風險知覺也是影響購物情緒與滿意度、忠誠度的因素之一。也就是說，購物情緒與購買意願之間具有一定的關聯性。有鑑於此，本文欲以Yüksel and Yüksel (2007)之研究架構為基礎，選取阿里山地區購茶之陸客作為實證對象，檢驗風險知覺、購物情緒與購買意願之間的關係。(詳如研究架構圖1所示)

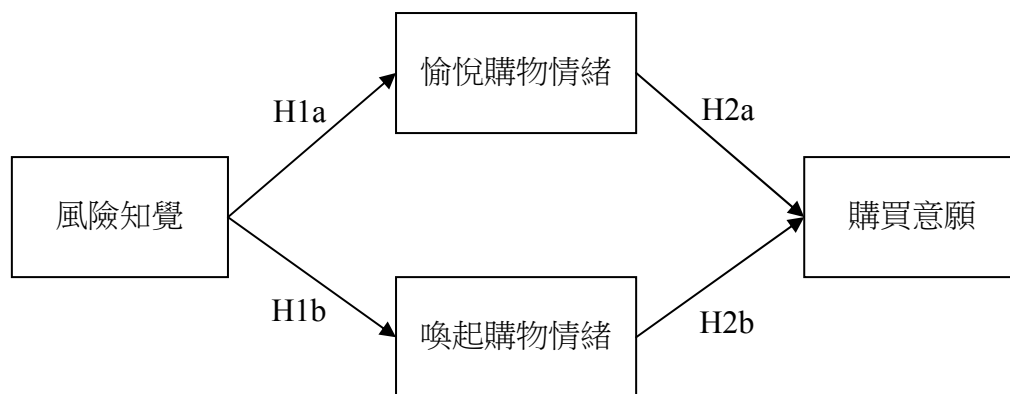


圖 1 研究架構圖

二、問卷設計與變項衡量

透過國內、外文獻的收集與彙整，確定並選擇適宜的測量工具，以搜集研究中所欲探討之研究變數。

(一)「風險知覺」衡量

本量表引用 Yüksel and Yüksel (2007)的研究問項，調查前往阿里山某一茶行的陸客對購物知覺的風險感受。計有「購物時有被欺騙的可能(例如：產品有假貨、產品訂價過高)」、「購物時可能會受到服務人員的為難(例如：殺價不成、兌換匯率吃虧)」和「購物時可能會受到任何犯罪的行為(例如：信用卡盜刷、收到偽鈔等)」等3項，並以Likert五點尺度量表來進行衡量(1=非常不同意、2=不同意、3=普通、4=同意、5=非常同意)。

(二)「購物情緒」衡量

本量表引用Bigne, Andreu and Gnoth(2005)的研究問項，調查前往阿里山某一茶行陸客的購物情緒。計有「此次購物我是高興的」、「此次購物我是被取悅的」、「此次購物我是滿意的」、「此次購物我是讓我感到刺激」、「此次購物我是興奮的」、「此次購物我有購買的慾望」等6項，並以Likert五點尺度量表來進行衡量(1=非常不同意、2=不同意、3=普通、4=同意、5=非常同意)。

(三)「購買意願」衡量

引用Grewal, Krishnan, Baker, and Borin (1998)量表，來測量遊客對於阿里山某一茶行之茶品購買意願程度，這些問項包括「我願意購買這家茶行的茶品」、「我會考慮用定價來購買想要的茶品」、「我在這家茶行購買茶品的可能性高」，以Likert五點尺度量表來進行衡量(1=非常不同意、2=不同意、3=普通、4=同意、5=非常同意)。

(四)「人口統計變數」衡量

包括：性別、家庭組成、職業、年齡、教育程度、居住地區、購物花費、購物決策影響因素等8題問項。

三、抽樣方法

本研究於2009年6月在阿里山某一茶行門市出口處(為保護茶行業者聲譽本研究不公開茶行名稱)，採人員實地發放的方式進行前測問卷調查，預定發出50份問卷，以前往該處之陸客為抽樣調查對象，其目的在於檢視受訪者對問題的瞭解以及調查執行的流暢程度，前測問卷結果顯示本研究各構念之Cronbach's α 均達0.8以上，表示問卷題項具內部一致性。正式問卷則在2009年7月~12月期間的假日與非假日，邀請已光顧過茶行的陸客進行問卷的填寫。在茶行出口處採便利抽樣方式，在結束前一位受訪者之後，選取最鄰近調查員的陸客(Next to Pass Technique)，作為下一份問卷的受訪對象。本研究共計調查310份問卷，扣除66份填答不完整，有效問卷共244份，有效問卷率約79%。

四、資料處理與分析

本研究利用SPSS統計軟體作為分析工具，就陸客基本資料進行次數分配及百分比

分析，以瞭解至阿里山地區購茶之陸客特性；其次運用結構方程模式(Structural Equation Model, SEM) 分析研究變數之間的共變關係，並以LISREL軟體進行模式之參數校估與假設檢定。此外，也以卡方檢定驗證整體模式之適合度，以瞭解研究之因果模式與實際資料之間的配適程度。LISREL為Jöreskog and Sörbom (1989)根據共變數結構分析(covariance structure analysis)發展而成，基於：(1)能夠同時處理一系列變項間之關係；(2)提供研究者由探索性分析(exploratory analysis)轉換為驗證性分析(confirmatory analysis)；(3)不受因果路徑關係之假設限制等優點，並且允許研究者在模式關係上增加固定(fixed)或限制(constraint)參數，因而廣泛地運用於社會科學(Bagozzi and Yi, 1988)。由於本研究中涉及一組潛在變數，而且研究變數之間具有相關性，故採行LISREL模式以解決研究構念之間的複雜關係。

肆、分析結果

一、基本資料及旅遊特性分析

有效的受訪樣本中，受訪者男性居多(50.8%)；婚姻狀況以已婚者為最多(70.5%)；職業類型以技術員、服務人員(37.7%)及民意代表/行政主管/企業主管 (20.5%)佔多數；年齡以35~44歲(33.2%)、45~54歲(28.7%)為多數；教育程度以高中職(含以下)(16.7%)和大專／大學(73.7%)為主；來阿里山購物前是否已預先做過茶品相關資訊查詢以否者居多(69.7%)；在阿里山購買茶品時的購物決策以自己決定購買(58.2%)佔多數，其次是受親友影響(17.2%)；在阿里山購物時主要付款方式則以支付台幣及信用卡為主(42.6%)；在此次購茶費用方面(以人民幣為單位)約以1000元以下(35.2%)和1,001~1,500元(26.2%) 佔大宗；在阿里山購買茶品的動機則以當作送親朋好友的禮品(29.4%)、享受購物的愉悅(16.2%)和滿足個人的社交需求(12.9%)佔多數。(詳表1)

二、信度與效度分析

(一)信度

本文運用驗證性因素分析(confirmatory factor analysis)檢測潛在變數之衡量模型；首先，個別項目信度(individual item reliability)是評估衡量模型之測量變項對該潛在變數的因素負荷量是否大於0.70，以及是否具有統計之顯著性(Bagozzi & Yi, 1988)。然而Bagozzi與Yi(1988)所建議的標準值是適用於量表的建構，對於廣義的SEM而言，為一嚴格的門檻值，經常使得測量模式未能通過檢測標準(黃芳銘，2002)。因此，當因素負荷量介於0.79~0.94，亦表示衡量模式達到理想的基本模式適合度(Bagozzi & Yi, 1988)。其次，潛在變數的組成信度(composite reliability, CR)為測量潛在變數之信度的組成，CR值愈高表示衡量指標愈能測出該潛在變數的建構信度(construct reliability)，依Fornell與Larcker (1981)、Bagozzi與Yi (1988)之建議CR值應在0.60以上。從表2得知，各變數的CR值介於0.79~0.96，即表示研究模式的內部品質良好。

表1 受訪遊客之人口統計分析(n=244)

| 變數名稱 | | 樣本 數 | 百分 比 | 變數名稱 | | 樣本 數 | 百分 比 |
|------|------------|---------|---------|------|------------------|---------|---------|
| 性別 | 男性 | 124 | 50.8 | 購 買 | 獲知流行產品訊息 | 51 | 9.2 |
| | 女性 | 120 | 49.2 | 茶 品 | 當作送親朋好友的禮 | 164 | 29.4 |
| | | | | 動機 | 品 | | |
| 婚 姻 | 單身 | 72 | 29.5 | | 享受購物的愉悅 | 90 | 16.2 |
| 狀況 | 已婚 | 172 | 70.5 | | 用合理價格購買茶品 | 54 | 9.7 |
| 茶 品 | 是 | 74 | 30.3 | | 感受到更好的服務 | 38 | 6.8 |
| 相 關 | 否 | 170 | 69.7 | | 享受購物的便利 | 29 | 5.2 |
| 資 訊 | | | | | | | |
| 查詢 | | | | | | | |
| 購 物 | 自己決定購買 | 142 | 58.2 | | 消磨無聊的時間 | 36 | 6.5 |
| 決策 | 受親友影響 | 42 | 17.2 | | 滿足個人的社交需求 | 72 | 12.9 |
| | 銷售員意見 | 36 | 14.8 | | 展現個人的身分地位 | 23 | 4.1 |
| | 商店產品信息影響 | 24 | 9.9 | 付 款 | 台幣 | 104 | 42.6 |
| 職業 | 民意代表/主管/ | 50 | 20.5 | 方式 | 人民幣 | 36 | 14.8 |
| | 專業人員(含軍工教) | 45 | 18.4 | | 信用卡 | 104 | 42.6 |
| | 農林漁牧人員 | 1 | 0.4 | 購 物 | 沒花費 | 16 | 6.6 |
| | 技術員/服務人員 | 92 | 37.7 | 花費 | 1000 元以下人民幣 | 86 | 35.2 |
| | 家庭主婦 | 16 | 6.6 | | 1,001~1,500 元人民幣 | 64 | 26.2 |
| | 退休人員 | 9 | 3.7 | | 1,501~2,000 元人民幣 | 23 | 9.4 |
| | 學生 | 22 | 9.0 | | 2,001~2,500 元人民幣 | 13 | 5.3 |
| | 其他 | 9 | 3.7 | | 2,501~3,000 元人民幣 | 11 | 4.5 |
| 年齡 | 24 歲以下 | 17 | 7.0 | | 3,001~3,500 元人民幣 | 6 | 2.5 |
| | 25~34 歲 | 60 | 24.6 | | 3,501~4,000 元人民幣 | 15 | 6.1 |
| | 35~44 歲 | 81 | 33.2 | | 4,001 元以上人民幣 | 10 | 4.1 |
| | 45~54 歲 | 70 | 28.7 | 學歷 | 高中/職(含以下) | 51 | 20.9 |
| | 55~64 歲 | 12 | 4.9 | | 大專/學 | 163 | 66.8 |
| | 65 歲以上 | 4 | 1.6 | | 研究所(含以上) | 30 | 12.3 |

(二)效度

檢驗衡量模型之收斂效度(convergent validity)與區別效度(discriminant validity)是為了確定每個測量變項是否收斂至所欲衡量的潛在變數(構念)，以及量表是否可以區別出不同特質的測量變數(Anderson & Gerbing, 1988)。潛在變數與其對應之所有衡

量問項間所萃取的平均變異抽取量(average variances extracted, AVE)是計算各測量變項對該構念的平均解釋能力，如果達0.50以上則表示具有收斂效度；區別效度係以判定每個構念之AVE須大於各成對構念間之相關係數的平方值(Fornell & Larcker, 1981)。表2顯示出各潛在變數之AVE介於0.56~0.80之間，因此確定研究之量表具有收斂效度；表3顯示出各變數之AVE的平方根介於0.89~0.75之間，均大於成對構念之間的相關係數，顯示研究的構念大致上具有區別效度。

表2 各構念之驗證性因素分析

| 構念 | 測量變數 | <i>M</i> | <i>SD</i> | <i>SFL</i> | <i>CR</i> | <i>AVE</i> | α 值 |
|-----------|-----------------|----------|-----------|------------|-----------|------------|------------|
| 風 險 知覺 | 購物時有被欺騙的可能 | 1.77 | 1.07 | 0.90* | | | |
| | 購物時可能會受到服務人員的為難 | 1.61 | 1.03 | 0.88* | 0.92 | 0.80 | 0.884 |
| | 購物時可能會受到任何犯罪的行為 | 1.39 | 0.99 | 0.63* | | | |
| 愉 悅 情緒 | 此次購物我是高興的 | 4.23 | 0.76 | 0.80* | | | |
| | 此次購物我是被取悅的 | 3.97 | 0.95 | 0.45* | 0.85 | 0.65 | 0.878 |
| | 此次購物我是滿意的 | 4.10 | 0.87 | 0.40* | | | |
| 喚 起 情緒 | 此次購物讓我感到刺激 | 3.11 | 1.19 | 0.84* | | | |
| | 此次購物我是興奮的 | 3.25 | 1.13 | 0.79* | 0.82 | 0.61 | 0.814 |
| | 此次購物我有購買的慾望 | 4.00 | 0.82 | 0.70* | | | |
| 購 買 意願 | 我願意購買這家茶行的茶品 | 4.13 | 0.76 | 0.82* | | | |
| | 我會考慮用定價來購買想要的茶品 | 3.64 | 0.93 | 0.63* | 0.79 | 0.56 | 0.801 |
| | 我在這家茶行購買茶品的可能性高 | 4.03 | 0.83 | 0.78* | | | |

註1：*表示在 $\alpha=0.05$ 時，達統計之顯著水準。

註2：*M*為平均數；*SD*為標準差；*SFL*為標準化之因素負荷量；*CR*為組合信度；*AVE*為平均變異萃取量； α 值為Cronbach's α 。

表3 各構念間之相關係數

| | 風險知覺 | 愉悅情緒 | 喚起情緒 | 購買意願 |
|------|-------|--------|--------|------|
| 風險知覺 | 0.89 | | | |
| 愉悅情緒 | -0.04 | 0.81 | | |
| 喚起情緒 | -0.01 | 0.69** | 0.78 | |
| 購買意願 | -0.01 | 0.55** | 0.54** | 0.75 |

註1：對角線之值為此一潛在變數之平均變異抽取量(AVE)的平方根，該值應大於非對角線之值。

註2：**在顯著水準 $\alpha=0.01$ 時，變數間之相關係數達顯著水準。

(三)研究假設之驗證

本研究旨在風險知覺、購物情緒及購買意願之因果模式，利用結構方程模式對假設模型進行驗證。整體模型的配適度統計量如下：GFI=0.88，NFI=0.93，NNFI=0.92，CFI=0.94，上述數值顯示，樣本資料與假設模式二者間具有相當程度之配適。其次，以結構方程模式來驗證構面之間的因果關係，本研究模式之結構係數部分達統計之顯著水準，分析結果詳如表4與圖2。其中，風險知覺對愉悅購物情緒之影響的結構係數為-0.15($t=2.42$)，亦即知覺風險對愉悅購物情緒具有顯著的影響關係，因此假說H1a獲得支持；此外，風險知覺對喚起購物情緒之影響的結構係數為-0.08($t=1.32$)，亦即知覺風險對喚起購物情緒未具有顯著的影響關係，因此假說H1b未獲得支持。接著，愉悅購物情緒對購買意願之影響的結構係數為0.41($t=5.11$)，亦即愉悅購物情緒對購買意願具有顯著的影響關係，因此假說H2a獲得支持；再者，喚起購物情緒對購買意願之影響的結構係數為0.28($t=3.72$)，亦即喚起購物情緒對購買意願亦有影響關係，因此假說H2b獲得支持。

表 4 研究假設檢驗

| 假設 | 影響路徑 | γ | t -value | 假設檢驗 |
|-----|---------------|----------|------------|------|
| H1a | 風險知覺 → 愉悅情緒 | -0.15* | 2.42 | 成立 |
| H1b | 風險知覺 → 喚起情緒 | -0.08 | 1.32 | 不成立 |
| H2a | 愉悅情緒反應 → 購買意願 | 0.41* | 5.11 | 成立 |
| H2b | 喚起情緒反應 → 購買意願 | 0.28* | 3.72 | 成立 |

註1：*表示在 $\alpha = 0.05$ 時達統計之顯著水準。

註2： γ 代表潛在自變數對潛在依變數的路徑係數。

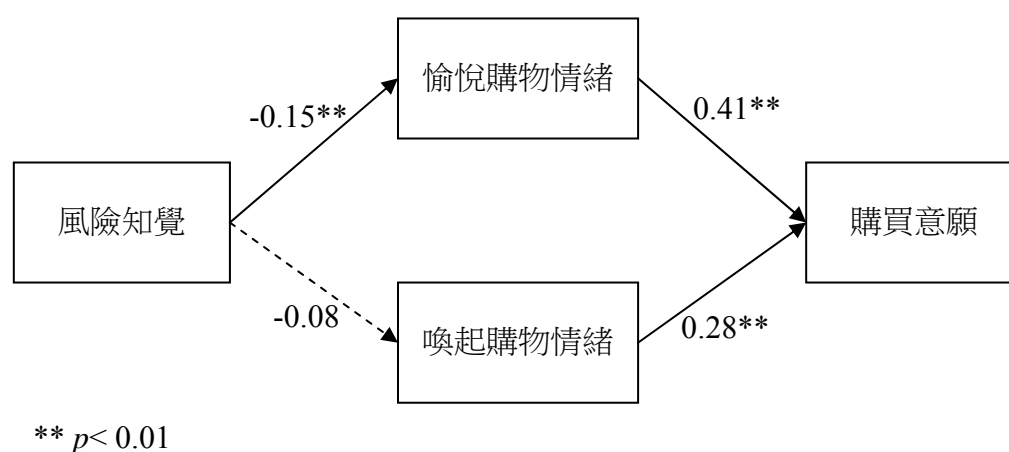


圖 2 整體結構方程模式驗證圖

伍、結果與討論

觀光區的購物商店能吸引觀光客前往，主要是因為其環境品質、吸引性及安全性，不僅是物品的供應而已。在觀光客未進入商店之前，最先感受的風險是在購物區位是否安全。風險往往伴隨著觀光活動而來，讓觀光客的購物行為有很大的限制(Yüksel & Yüksel, 2007)。因此，建議購物商店的業者首先要思考顧客會感受購物風險類型，並依據其類型研擬管理策略。風景區管理單位應該體認創造吸引性且安全的購物環境，畢竟觀光客喜歡免於風險的購物經驗。本研究主要探究購物知覺風險、購物情緒及購買意願之關係，尤其是觀光客在一個購物地點的知覺風險是特別重要的，要讓一個購物地點可以普遍被接受，前提是必須讓觀光客感覺購物的過程是安全的，因為購物時的風險知覺，是形成觀光客想法、感覺和可能行為的重要因素。

本研究結果顯示陸客知覺到的風險(結構係數為-0.15)將負向影響愉悅購物情緒，其中陸客感知購物時有被欺騙的可能(0.90)、購物時可能會受到服務人員的為難(0.88)等題項之負荷量較高，顯示對陸客愉悅的情緒之間有負向的影響力。換言之，當陸客在購茶過程中有受騙的感覺時，例如：面臨少許不肖業者的故意隱瞞或哄抬價格等狀況，將會降低陸客的愉悅情緒。此外，陸客若受到服務人員之為難，例如：面臨不易殺價或者兌換匯率吃虧等狀況時，也會減低陸客購物時的愉悅情緒。本研究結果與Choi(2002)提出觀光客在購物時多會關切價格與產品價值之論點一致與Yüksel(2004)認為觀光客因當地習俗(如：殺價文化)而遭受之心理風險之觀點相同。

其次，陸客的愉悅(結構係數為0.41)與喚起(結構係數為0.28)兩種購物情緒對購買意願有正向的影響，顯示陸客在購物時具有較愉悅的感受時，愈能激發其購買意願，亦即陸客在購物時能讓其覺得高興的(0.80)或讓其感到刺激(0.84)等項之負荷量較高，有助於激發其購買茶品之意願。推論可能與茶行業者提供多樣焙火之茶品及試茶服務，且在品茗過程中提供阿里山茶特色、如何泡茶、辨識好茶等茶藝表演與茶道知識，茶行內裝潢採中國古典式風格設計，引發陸客之購茶意願。本研究結果與Donovan and Rossiter (1982)認為當消費者感受到環境刺激而產生感性情緒時，容易引發衝動性購買的可能性；並與Choi 等人(2008)研究發現在香港購物來自北方地區(上海)的陸客相較於南方地區(深圳)陸客對購物店內環境佈置較有感知等結果一致。

值得注意的是，本研究之結果顯示陸客在阿里山地區購茶的風險知覺是負向的，但對陸客引發其愉悅情緒相較於喚起情緒更能提升其購買意願。研究證實陸客之購茶情緒在知覺風險與購買意願之間扮演一個很重要的角色。本研究結果Yüksel and Yüksel (2007)之研究相符，證實低的風險知覺可以讓觀光客引發購買行為，同時證實情緒的影響是構成購買行為的重要因素；並與陳翰平(2001)、Lin (2004)與Yüksel (2004)等研究發現購物行為不再只是為了購買所需要的物品，而是一種享受休閒購物情境的過程等論點相符。因此，相關單位應營造各種不同的購物環境讓觀光客深入

其境，盡情享受購物情境帶來的放鬆和歡娛，以吸引觀光客前來造訪並延長停留時間。

陸、結論與建議

一、理論貢獻

本研究應用Yüksel and Yüksel (2007)發展「風險知覺-購物情緒-滿意度-忠誠意圖」模型，驗證陸客至阿里山地區購茶「風險知覺-購物情緒-購買意願」的消費行為理論模式。研究結果證實陸客知覺到的風險將負向影響愉悅購物情緒，其愉悅與喚起的購物情緒將正向影響購買意願。此外，本研究發現符合Yüksel and Yüksel (2007)觀光客購物風險的主張，即認為低的風險知覺可以讓觀光客引發購買行為，同時研究證實情緒在知覺風險與購買意願之間扮演一個很重要的角色(陳翰平, 2001；Lin, 2004; Yüksel, 2004)。因此，本文的貢獻為：在一般的購物行為理論之外，特別針對「風險知覺-購物情緒-購買意願」提出一套較適宜的理論模式。

二、管理意涵

本研究根據實證結果，對阿里山地區相關管理單位及茶行業者提供若干管理建議：

- (一) 本研究結果顯示購茶之陸客所知覺之風險有一般茶葉包裝成比賽茶的盒裝、或將劣質茶混入販售等項，建議管理單位除輔導茶行業者在茶盒標有防偽標章、茶盒附有茶身份證明、無毒茶葉生產認證等作為外，應不定期對相關茶行抽查茶品之真偽，以降低陸客購茶之風險知覺。
- (二) 本研究結果顯示購茶之陸客所知覺之風險有哄抬物價之情事，建議管理單位除強化宣傳觀光客預先搜集茶產品相關資訊及售價外，應不定期對相關茶行加強審查茶產品以人民幣或台幣販售標價應清楚列明，以降低陸客購茶之風險知覺。
- (三) 本研究結果顯示阿里山地區購茶之風險如信用卡盜刷、收到偽鈔之情事，因此，避免銷售員一時因匯率之貨幣交換造成觀光客財物損失是不可助長的，因此，提升茶行之銷售員瞭解觀光客認知的風險有助於其對觀光客的同理心，並激發銷售員實行降低觀光客購物恐懼的方式。
- (四) 本研究結果證實陸客之購茶情緒在知覺風險與購買意願之間扮演一個很重要的角色，建議茶行業者從商店外觀環境營造高尚意象，內部裝潢將阿里山茶種、茶湯、梯田茶園景觀、製茶師傅技藝與茶道文化等意涵展示出來，或採用話劇或戲劇方式呈現阿里山採茶、製茶之過程及演進歷史並讓觀光客體驗泡茶及製茶之愉悅，以引發觀光客之愉悅、喚起等情緒並進而提高其購茶

意願。

三、研究限制與未來建議

本研究僅能以某一茶行進行訪查，因大部分茶行及導遊排斥本研究之調查進行，增加本研究調查之難度，為本文之研究限制。風險預防比起事後處理的成本較低(Pizam et al., 1997)，必需注意的是不同的購物型態會有不同的風險，因此降低風險的作法也會有所不同。風險知覺會影響觀光客在商店內的行為，因此未來研究建議可檢視觀光客在購物區位花費多少時間和金錢。風險知覺會隨著購物環境情境、個人屬性(例如：年齡、性別)、停留時間、遊覽次數、旅遊目的、民族性及是否有碰到犯罪行為等而有差異(George, 2003)；此外，本研究僅探索風險知覺未詳細探究為何會引發風險知覺的前因變數，觀光客當購物和進行殺價引發正、負面的購物價值之可忍受範圍未來也是可納入研究的方向。再者，也可運用本研究所建構之「風險知覺-購物情緒-購買意願」的消費行為理論模式，與來自其他國家或地區之觀光客比較其消費行為模式之差異。

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The English Landscape Garden in Andrew Marvell's Five Poems

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Abstract

Landscape garden is a recurrent theme in the seventeenth century English literature, and a number of poets have made contributions to it. Among them, Andrew Marvell (1621-1678) in his five poems depicts the landscape garden, including the external world in nature and the internal mind of mankind. Focusing upon the landscape garden in Marvell's five poems, "The Garden" (1662), "The Mower, Against Gardens" (1664-1665), "The Damon Mower," "The Mower to the Glo-worms" (1667) and "The Mower's Song" (1668), this paper aims to explore the poet's philosophy of nature, especially his perspective of the relationship between nature and mankind. In these five poems, Marvell reveals his philosophy of nature which is composed of three dimensions—the pastoral, the Biblical and the mythological. He suggests that the philosophy of nature, in the frame of traditional pastoral, tends to be by no means a Dionysian libertinism but rather a Christian contemplation observed in "The Garden." In "The Mower, Against Gardens," he declares that a natural order rather than an artificial decoration in nature is important and deserves attention. The relationship between nature and mankind is illustrated in "The Mower to the Glo-worms" and in "The Mower's Song." The author will apply the landscape theory to the discussion on these five poems and would argue that the relationship between nature and mankind under the plume of Marvell presents an ambivalent phenomenon: hostile but harmonious.

Key words: landscape, garden, nature, philosophy, relationship

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安德魯·馬威爾五首詩中的英國地景花園

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摘要

地景花園是十七世紀英國文學的常見主題，許多詩人對此有所貢獻。其中，安德魯·馬威爾(1621-1678)在五首詩中描繪地景花園，包括自然的外在世界與人的內在心靈。本文集中在馬威爾的五首詩，〈花園〉(1662)、〈割草者，對抗花園〉(1664-1665)、〈割草者〉、〈割草者對螢火蟲說〉(1667)、〈割草者之歌〉(1668)，試探索詩人的自然哲學，特別是他對自然與人之關係的看法。馬威爾在這五首詩中顯露三度空間——田園詩、聖經、神話——自然哲學。他暗示，傳統田園詩架構下的自然哲學絕非是酒神式的放蕩行為，而是基督教的沈思冥想；見於〈花園〉。他在〈割草者，對抗花園〉中聲明，自然秩序而非自然中的人工裝飾，才是重要而值得注意的。自然與人之關係闡明於〈割草者對螢火蟲說〉、〈割草者之歌〉。筆者將應用地景理論以討論這五首詩，而證明馬威爾筆下，自然與人之關係模稜兩可的現象：不僅敵對亦是和諧。

關鍵字：地景、花園、自然、哲學、關係

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Introduction

Landscape is a recurrent theme in seventeenth-century English literature, and many an author has a great contribution to the theme of landscape in a variety of viewpoints. Among those authors, Andrew Marvell (1621-1678) is the one who focuses on the description of garden in respect to the theme of landscape and merits our attention. The English landscape garden under Marvell's plume presents the features of seventeenth-century English garden, along with the contemporary trend, as Roy Strong shows in *The Renaissance Garden in England*, where people were intoxicated with "exotic plants" (112) which make the garden become colorful but grotesque. The garden for which the poet aspires is a natural, solitary and serene one different from the social and formal garden which his contemporaries possess. In description of the garden, the poet also reveals his philosophy of nature, the relationship between nature and mankind, in particular. In his five poems concerning the garden, Marvell exhibits a spectrum: three dimensions--one is the pastoral literary tradition; another is the philosophical tradition of nature and art; the third is the Christian tradition which gives a particular shape and meaning to the other two. On the other hand, in a highly metaphysical vein, he employs the mythological allusion for classical conceits. By close reading of five poems--"The Garden," "The Mower, Against Gardens," "Damon the Mower," "The Mower to the Glo-worms" and "The Mower's Song," I would like to examine the English landscape garden painted by Marvell to explore his philosophy of nature, especially the relationship between nature and mankind. Landscape theory will be applied while discussing these five poems. In this paper, I would like to make an attempt to argue that Marvell's perspective of the relationship between nature and mankind is ambivalent, discordant and harmonious. The harmonious relationship between nature and mankind is paradoxically constructed through the mower's integration into nature after the mower has experienced sexual frustration and destroyed his life.

The English Landscape Garden in Andrew Marvell's Five Poems

With the fruit of landscape literary works, landscape theories flourish and are expounded by a number of scholars in a diversity of perspectives, such as ecology, psychology, philology, architecture, feminism and post-colonialism. Dianne Harris maintains the idea: Landscape is a method of perceiving, "a symbolic system," "a matrix for conveying ideologies" and a method of recognition (191). In Joy Appleton's view, landscape is "a kind of backcloth to the whole stage of human activity" (2). In Anne Whiston Spira's opinion, landscape's deep structure is a milieu where "cultures and languages" evolve as well as "the human community" builds and lives (57). Besides, landscape seems to her, a bridge, can permit her to perceive "pasts" she fails to

experience, to anticipate the possible, to envision, choose and shape “the future” (61). I would echo her landscape idea, landscape is a dimension where human story occurred, is occurring and will occur. Garden is one of landscapes, and many a scholar is devoted to it. For James Elkins, a garden is between “nature” and “culture,” and it is partly random since the growth of plants is partly “unpredictable”. He adds a further insight to our understanding of gardens: “Gardens are involved in “the histories of leisure (the viridarium), of social classes (the locus amoenus), of religious symbolism (the hortus conclusus), of utopia and paradise, of jokes and festivals, of journeys and exploration, and of theater” (70).

Apart from the landscape theory, the English landscape garden in the seventeenth century is actually “an oblique projection” replete with wildness, different from the French landscape garden in the seventeenth century which may be normally thought in “a monothematic fashion” (Elkins 78), with a strong emphasis on order by Louis XIV, such as Parc de Sceaux, a garden outside Paris, where yews are clipped into cones and large trees are sheared into a solid green wall. The English landscape garden in the seventeenth century literature declines to be a sheer description of nature, whereas the English landscape garden in Marvell’s five poems which I want to discuss is often supposed to be the description of internal mind as well as external nature. As for the construction of garden in seventeenth-century England, it has its own features. One of essential features demonstrates that the garden is, “by definition, an articulated boundary” (Stewart 111). Namely, the garden is limited and domestic as well. Therefore, the garden, in a sense, hints at a private sphere where an individual is able to relax himself by way of undertaking personal activities and of expressing personal feelings. In “The Garden,” Marvell pictures garden as a contemplative life where the poet can relax himself and as nature where he can enjoy the beautiful scenery. In the first stanza, the poet presents the phenomenon that it is useless for ambitious people to constantly pursue fame on earth in terms of the images--palm, oak and bays--the emblems of name. People’s fruitless pursuit of fame is also suggested in the last two lines of this poem--“While all flowers and all trees do close / To weave the garlands of repose!”(7-8). These two lines imply that the reputation is vanity since all flowers and all trees are to be woven into the garlands of repose which symbolize, to some degree, the decoration for death. The poet’s denial of aspiration for reputation hints at his pursuit of a prudently passive life-style in contrast to an active life-style. Such a pursuit of passive life style is more private than public, a proof of garden as a private sphere rather than as a public sphere.

Since the garden is, to some degree, identified as a private sphere, Marvell’s picture of garden in the poems not only presents the description of external natural phenomena but also reveals the expression of internal thinking. In the second stanza as in the first stanza of “The Garden,” Marvell uses the plant-image to embody abstract concepts: “sacred plants” are emblematically identified with “Fair Quiet” and “Innocence” as well.

It is obscure where the speaker is, but it is evident that he has a passion for “delicious solitude” (16) which he seeks in vain among busy people in the world but finally finds among the easy plants in the garden. To some extent, it is not the external world but the internal mind that is the place where a man can find serene happiness. In this case, the external natural garden seems a projection of the internal human mind which aspires for a tranquil life. The external natural garden is described as a peaceful place by virtue of the plant-image which closes just like the poet does not open his mind to contact the external world. Within the domestic, the plant-image which is perennial and circulates from birth to death symbolizes “life cycles” (Alexander 866).

In seventeenth-century England, most gardens are permeated with natural scenery, whereas in Marvell's poem, “The Garden,” the garden is formal as well as natural (Drabble 108). Besides, Marvell's garden is full of a variety of colors bearing a symbolic significance, “as his language suggests, a luxurious trap” (Drabble 48). The color of plant-image as a symbol is found in the third stanza. Among the plants, the “green,” Marvell's favorite color, often used as the emblem of hope and of vitality, substitutes for “white” and for “red” which are traditional emblems of lily suggesting innocence and of rose implying passion. In the way of contrasting colors, the poet distinguishes spiritual love from passionate love. By comparison, the fair trees are perennial, while passionate love is ephemeral. The poet's aspiration for the trees symbolizing spiritual love can be visualized and more strongly confirmed in the fourth stanza: “When we have run our passion's heat, / Love hither makes his best retreat. / The gods, that mortal beauty chase, / Still in a tree did end their race” (25-28). Here the poet precipitates passionate love into spiritual love by means of the allusions to mythology: Apollo and Pan chased after the two mortal beauties Daphne and Syrinx: “Apollo hunted Daphne so, / Only that she might laurel grow; / And Pan did after Syrinx speed, / Not as a nymph, but for a reed” (29-32). On the verge of being caught, both of them respectively metamorphosed themselves into a laurel and into a reed, metaphors of perennial love. A circle forms among gods, human beings and trees which are the end of the former two. According to David's *Metamorphoses*, Apollo and Pan suffered from sexual frustration on account of the rejection by Daphne and Syrinx respectively. In contrast to Edmund Waller's “The Story of Phoebus and Daphne Applied” (1601), the last couplet goes: “Like Phoebus thus, acquiring unsought praise, / He catches at love, and filled his arms with bays,” Marvell proposes a great reversal of traditional Petrarchan love poetry; he changes it from Dionysian attachment to Apollonian detachment. Most significantly, Apollo and Pan drive Daphne and Syrinx to metamorphose from the mortal to the immortal, but not the beauties recompense the gods with a laurel and a reed. Paradoxically, extracting the metamorphosis from the mythology, Marvell implies the resurrection emphasized by Christianity, as Margarite Stocker points out:

Wrapped in the classical formula of ‘Gods,’ this introduction to the classical myths of metamorphosis thus underpins the Christological reference of ‘Apollo’ and ‘Pan,’ and signifies the redeeming paradoxes of the passion--the Creator killed, the death that promises resurrection (243).

The poet employs with felicity the metamorphosis as a means of conceit, which is one of the essential characteristics of the metaphysical school, to create a witty version. Such a subtle comparison is a triumphantly remarkable achievement in Marvell’s “The Garden” (Pritchard 383).

Not merely the metamorphosis from human beings to plants presented by comparison but also the growth of plants described by contrast are shown in the fifth stanza of “The Garden”. By virtue of the spatial description of the growth of the five mature fruits, apple, grape, nectarine, peach and melon, Marvell paints the sensuous richness of the garden. His spatial description of the growth of fruits hints at a good order which is essential for the poet to construct the garden. According to Susan Stewart, the garden thereby is connected with other means of ordering life: “codifying and ritualizing social time and space, creating political orders and social hierarchies—including the organization of military order, or structures of force” (111). Paradoxically, the garden is no longer a private sphere but a public sphere where social order is highly emphasized. As a consequence, the mind as well as the garden starts to be open to the external world; namely, the speaker of the poem begins to move from a private sphere to a public sphere. On the other hand, the mature fruits are, in some degree, emblematically identified with mature women, playing “the feminine role” (Craze 175). It seems that the speaker of the poem, by contrast, is luckier than those people who chase after women, for he is conscious that he is surrounded by a variety of women; actually, searching for women to him is a needless trouble. If he gains a perspective on the garden, it would be a sexual vision rather than a spiritual one. It is very special for the poet to put human desires in the garden or in nature, and it is “the triumph of his attempt to impose a sexual interest upon nature” (Empson 64). In this case, the garden is not the “representations” of “history,” “nature,” “painting,” “fiction,” neither “the meeting place of various disciplines” nor the set of “polarities,” but rather, psychologically, the open-ended site of “desire” (Elkins 72-74). In the poem, natural garden haunt human desires, and such a description suggests that there is a man who manipulates all secretly in the serene garden. The situation at this moment seems to become more complicated than the previous time.

The poem displays a garden more human than natural since the speaker ponders over matters and manipulates all there. A garden is metaphorically the “narrative of human life” since human beings brood in garden, from cradle to tomb (Elkins 74). In “The Garden,” besides the description of external world full of a variety of plants, the poet depicts the internal world where he reveals his thought as the sixth stanza shows:

“Yet it creates, transcending these, / Far other worlds and other seas, / Annihilating all that's made / To a green thought in a green shade” (45-48). The garden for which that the poet aspires is a garden of solitude totally different from that of pleasure for which most of his contemporaries pine. So much solitude immediately comes into the mind that it, transcending these counterparts, creates another world to destroy all and transforms them into a green thought in a green garden which is supposed to be a symbol of contemplative life. In such a secure retreat, the mind successfully attains to a genuine serene state. Consequently, the poet's soul is pregnant with freedom as the simile suggested in the seventh stanza--“My soul into the boughs does glide: / There, like a bird, it sits and sings” (52-53). In terms of the description of garden, Marvell imperceptibly reveals his philosophy of leisure and seems to be an “easy philosopher” (Fitter 292). In addition to the plant-image, the light-image in this poem plays an important role. Rather than the white radiance of eternity, the changeable light of this world projects on the bird. It not only hints at human consciousness but also implies that the poet takes a fancy to Greek and Roman philosophy as well as to Christian contemplation to establish his “philosophical and theological position” (Deming 84). Marvell's philosophy of nature is three-dimensional perspective like a spectrum shines so brilliantly in the realm of poetry.

Marvell's three-dimensional philosophy of nature in “The Garden” not merely makes his garden of literature mysterious and vital, but also paradoxically unveils his aspiration for repose. In seventeenth-century England, the garden is a place of “repose” as well as “games” and “relaxation” (Alexander 867). Similarly, in “The Garden,” the poet regards the garden as a place to repose and longs to have a solitary garden to repose. His longing for a garden of solitude is so implicated that he does not point out that “here” is “garden-state” until the eighth stanza: “Such was that happy garden-state, / While man there walked without a mate: / After a place so pure and sweet, / What other help could yet be met!” (57-60). The eighth stanza echoes the second one to repeatedly emphasize the poet's pining for a garden of solitude. By virtue of the Biblical allusion, the poet distinguishes his garden where he wanders alone from Eden where Adam is required to coexist with Eve. A double entendre that living alone in the garden is a double bliss implied in the last two lines—“Two paradises ‘twere in one / To live in paradise alone” (63-64). The garden that Marvell pines for is as what Frank Kermode asserts: “This is the Solitude, not the Jouissance; the garden of the solitaire whose soul rises towards divine beauty, not that of the voluptuary who voluntarily surrenders to the delights of the senses” (213-14). It seems probably that the poet transforms his sexual frustration, which is one of frequent themes spread throughout his five poems which I discuss, into a narcissistic individualism; as a consequence, he emphasizes the pursuit of a solitary garden to cure his hurt or agony.

In such a solitary garden, time is endlessly moving and shifting. Such a changeable phenomenon is accounted by the flourishing and the languishing of plants. In the last

stanza of "The Garden," from the perspective of Marvell, although the mutability of time menaces the beautiful garden, the beauty of herbs and flowers, parts of nature, the new dial, paradoxically, measures the passing of time. The poet proposes a special vision in the last two lines: "How could such sweet and wholesome hours / Be reckoned but with herbs and flowers?" (71-72). Donald M. Friedman claims: the herbs and flowers have proved themselves "a real means of conquering time through natural beauty" alongside "the proper setting for contemplation and the approach to wisdom" (100). I would like to assert, the beauty of nature is able to triumph over the mutability of time and death, for the plants in nature are perennial and will revive.

In Marvell's garden, the speaker of the poem contemplates both "the familiar" and "the strange," which paradoxically "lead to peaceful but blank state where thought and landscape seem indistinguishable" (Crane 45). Mary Thomas Crane's observation is true, but I would like to make a further emphasis that such a harmonious relationship between mankind and nature is transient and remains ambivalent since a three-dimensioned philosophy revealed in the poem. Actually, the speaker of "The Garden" is in various states of "suspended amazement," suspended at the moment of "choice between mind and body," presenting "analogy between microcosm and macrocosm, Neoplatonism, mechanism, vitalism, scientific analysis" as sources of "wonder" (Crane 50). In other words, the speaker's "amazement" is a state of "hyper-awareness," through it his mind is engaged with the world but not yet completely becomes a part of it (Crane 50).

As in "The Garden," in "The Mower, Against Gardens," the description of the natural phenomena in the garden to reveal the philosophy of nature is vividly presented. Different from the presentation in the former, the presentation in the latter suggests that the poet not only expresses his relish for nature but also proposes his objection to the mower who destroys nature by means of vicious habits and skills. In the garden, after the mower's abuse, all the natural order is spoiled entirely, and the worst of it is that all the flowers and trees are shown grotesquely and are painted in an exotic style--multiple color in a flower, the mixture between the trees. At that time, exotic plants, especially tulips imported from the Dutch, won the popularity of the contemporaries and had an enormous vogue. All of the plants in the garden become as sophisticated and hypocritical as the mower shows: "He grafts upon the wild the tame, / That the uncertain and adulterate fruit / Might put the palate in dispute. / His green seraglio has its eunuchs too, / Lest any tyrant him outdo; / And in the cherry he does Nature vex, / To procreate without a sex" (24-30). In addition to the graft, the mower's abuse of asexual propagation completely destroys the originally natural order. Marvell subtly uses a conceit to connect the seraglio and the garden, the eunuchs with the asexually produced cherry, to present chaos by the luxurious mower's maltreatment. To some extent, the mower's maltreating the garden may be regarded as a symbolic performance that human civilization desperately destroys nature, the art created by God. In this case, the garden may be viewed as an epitome of the life in

seventeenth-century England. To some degree, by virtue of the description of the abnormal growth of plants in the garden, the poet seems to satirize his contemporaries' crazy pursuit of exotic culture.

Although the garden in seventeenth-century England is full of exotic and strange plants, the poet still has his own imagination to create the garden for which he pines. The garden is a place exposed to have "dreams and fantasy" (Alexander 868). In "The Mower, Against Gardens," the mower's abusing the garden is not merely a sin but also a crime, from the perspective of the poet. After having accused the mower of the crime, the poet displays his ideal garden by imagination, in contrast with the mower's chaotic garden by destruction: "'Tis all enforced, the fountain and the grot, / While the sweet fields do lie forgot, / Where willing Nature does to all dispense / A wild and fragrant innocence; / And fauns and fairies do the meadows till / More by their presence than their skill. / Their statues polished by some ancient hand, / May to adorn the gardens stand; / But, howsoe'er the figures do excel, / The gods themselves with us do dwell" (31-40). A paradox lurks in the poem: although the mower destroys nature in the garden, his potential talent for getting along with nature is revealed (Taylor 129). Such a contradictory description of the mower's behavior—to destroy nature totally and to integrate into nature potentially--hints that the poet prefers to wild nature retracing to a mythological setting where all is in harmony rather than the garden where the mower spoils the purity and innocence by means of abnormal habits. In terms of the allusion to mythology, through his eyes, the poet envisions that nature is close to mankind and that he longs for a combination of himself and nature.

In "Damon the Mower," Marvell depicts pastoral landscape in his own way which is not completely similar to the traditional way. As far as literature on pastoral landscape is concerned, we can retrace Roman literature which extends way beyond the Mediterranean region and the territory Romans once occupied and is further strengthened by the biblical tradition of pastoralism: "He lets me rest in fields of green grass and leads me to quiet pools of fresh water" (Psalms 23.2). Taking pastoral landscape as a frame, the poet in "Damon the Mower" reveals that the relationship between nature and mankind presents a different feature via the juxtaposition between hurting nature and frustrated love as the first stanza depicts: "Heark how the Mower Damon Sung. / With love of Juliana stung! / While ev'ry thing did seem to paint / The Scene more fit for his complaint. / Like her fair Eyes the day was fair; / But scorching like his am'rous Care. / Sharp like his Sythe his Sorrow was, / And wither'd like his Hopes the Grass" (1-8). Ironically, the mower cruelly mistreats the garden and destroys nature without taking any notice that he should be hurt by his mistress Juliana. Comparatively, Juliana hurts the mower more crucially than he hurts nature: "Not July causeth these Extremes, / But Juliana's scorching beams" (23-24). In the fourth stanza, like the typical lover in a pastoral who pays all of his affection for his best-loved but gains no reward, the mower

suffers from hurt without remedies. As a consequence, the mower's waiting for his best-loved is a long way without ending shown in stanza five: "How long wilt Thou, fair shepherdess, / Esteem me, and my Presents less?" (33-34). The mower's interrogation gets no answer as well as his passionate love for his indifferent best-loved gains no equal reward. Just as the mower brutally damages the grass, so Juliana disparately hurts the mower. Irony is obviously demonstrated in stanza nine: "And with my Sythe cut down the Grass, / Yet still my Grief is where it was: / But, when the Iron blunter grows, / Sighing I whet my Syche and Woes" (69-72). The mower is extremely lack of sympathy and empathy without any conscience until he is strikingly hurt by his best-loved. The mower's suffering from the indifference of his best-loved intrigues him to commit suicide, which is suggested by an understatement revealed in stanza ten: "And there among the Grass fell down, / By his own Sythe, the Mower mown" (79-80). His agony is so deep that mower desires to terminate his life. Paradoxically, his death should become an entry on account of which he can integrate into nature that he has deeply hurt, and his relationship to nature, from now on, starts to change, from hostile to friendly; namely, his suicide suddenly changes his relationship with nature from detachment to attachment.

Change occurs in the relationship between nature and mankind, from hostile to harmonious, whereas change happens in the identification of the mower, from mankind to Death. As far as the identification of the mower is concerned, Marvell presents a multitude of features in a series of mower poems. The mower is identified as Death in the last stanza of "Damon the Mower": "Only for him no Cure is found, / Whom Julianas Eyes do wound. / 'Tis death alone that this must do: / For Death thou art a Mower too" (85-88). Here the poet uses the third person's point of view to echo the first three stanzas to show the mower's change in identification. Changing perspective not merely makes a proof of the mower's changed identification, in a sense, but also is supposed to make a comment: Death is also a mower.

Different from the former poems in which Marvell uses a diversity of plant-image, in "The Mower to the Glo-worms," the poet employs a lot of light-image which is shifting and shimmering. Comparatively, this poem is more dynamic than the former poems. In terms of light-image, the poet presents not only external world but also internal mind shown in the beginning of the first stanza: "Ye living lamps" (1), "Ye country comets" (5) and "Ye glo-worms" (9). His usage of "comets" which belong to the field of astronomy as a conceit exhibits one of the metaphysical characteristics. The light-image prevailing in the poem, on the one hand, implies that the mower maintains a hope to obtain love from his mistress while the light is glimmering. On the other hand, the light-image hints that the former may lose it from the latter when the light has extinguished shown in the last stanza: "You courteous fires in vain you waste, / Since Juliana here is come, / For she my mind hath so displaced / That I shall never find my home" (13-16). The mower is enamoured of Juliana so much that the fire of the

glowworms cannot lead him home just like the speaker's soul is dominated by Julia in Robert Herrick's the last stanza of "The Night-Piece, To Julia": "Then, Julia, let me woo thee, / Thus, thus to come unto me; / And when I shall meet/ Thy silv'ry feet/ My soul I'll pour into thee." As Marvell writes a series of "mower" poems, so Herrick writes a number of "Julia" poems, to elaborate the theme of lovesick that the hero fails to get any reward from his mistress though he has a passionate love for her. In addition, just as the former chooses Juliana as his imaginary mistress, so the latter chooses Julia as his fantastic mistress to whom he addresses in his poetry. Both poets inherit from the pastoral tradition that the lover not merely admires his mistress's beauty which intoxicates him temporarily but also complains of her coldness which tortures him eternally.

The hope conceived in the mind of the mower is suggested by the light-image, whereas the low mood of the mower is foreshowed by the dark-image in the first three stanzas of "The Mower to the Glo-worms". The Mower lovingly describes his lost "innocent existence" and incompletely paints his "idyllic picture"; consequently, the poem becomes "progressively darker as it continues" (Haber 99). I would like to contend that Marvell maintains two contradictory ideas with regard to the relationship between nature and mankind—hostile and harmonious. His garden is presented as an ambivalent feature which is light as well as dark; namely, the two extremes coexist. The light-image shining the garden suggests that hope is visible, but despair lurks behind. The dark-image dimming the garden hints that danger is potential, but security is expectable and provides us with a world which is full of "disturbances, but remains essentially secure" (Haber 100).

Like Marvell's a series of mower poems, "The Mower's Song" presents the relationship between nature and mankind via the mower's damage to nature and his sexual frustration from his cold mistress. In the poem, by virtue of the love between male and female, Marvell expands his imaginative power, in decent melody, offering self-restraint of phrase to present a relationship between nature and mankind. In the first stanza of this poem, notwithstanding though the mower's mind is the genuine image of all these meadows, fresh and gray, the color of the grass, the greenness, seems a reflection of his own optimistic thinking. It is reflected in a mirror, which simultaneously suggests his transient hope and his sorrowful mood oscillating between hope and despair. Greenness in Marvell, usually symbolizing hope as well as vitality, here no longer brings any hope for the mower. Such a denial is strongly proved in the refrain of each stanza: "When Juliana came, and she, / What I do to the grass, does to my thoughts and me." The grass is a metaphor of flesh, so the action of mowing the grass, to some degree, is a self-destruction hinting that the mower extirpates the hope of love and of life as well. In accordance with Joseph H. Summers, the mower's "capacity for self-destruction is clearly implied by the contrast between nature's fecundity and man's harassed and frustrated attempts at love" (148). This refrain not only holds a musical characteristic that seems to

reveal harmony but also makes an implication that the mower can never mow without missing Juliana. Furthermore, the refrain insists that the mower's relation to nature exactly parallels his cruel mistress's relation to him: he mows the grass as much as she hurts him. The incoherence of tense--the interaction between the past tense and the present tense in the refrain--confirms an eternal torture that Juliana always, with her caprice, treats the mower cruelly. On the other hand, the incoherence of tense suggests that the poem is the retrospection of a dead but fond mower-lover; even though he is dead, the image of Juliana is embedded in his memory so profoundly that he cannot drive her shadow from his mind for eternity.

In "The Mower's Song," the mower's brutality is shown when he mows grass to maltreat nature, whereas his softness or weakness is exhibited when he is rejected by his indifferent mistress. Caught in the disappointing situation, the mower's mind languishes, though his life flourishes; his fatal mood is revealed in the fourth stanza: "But what you in compassion ought / Shall now by my revenge be wrought, / And flowers, and grass, and I, and all, / Will in one common ruin fall; / For Juliana comes, and she, / What I do to the grass, does to my thoughts and me" (19-24). It is really difficult for the male or for the female to demonstrate equality and reciprocity in the realm of love though both of them always long for an equal love or a reciprocal reward. The mower sows his seed of love in the mind of Juliana, but in vain, his seed of love is frozen by her coldness. As a consequence, what sprouts up in his mind is an idea of taking revenge on his cold mistress by means of committing suicide, a radical action of self-destruction--"Will in one common ruin fall" (22). As for the wildness of landscapes, most scholars maintain a positive point of view, whereas James Elkins hold a different perspective: "The wilder world of landscapes offers many more complicated problems of control and conceptualization" (82). Being alone in such a garden that provides him with wild phenomena, the lonely mower is apt to have a negative thinking. The mower broods in garden but gains no way; consequently, he would rather destroy himself in the way he cuts the grass than survive without harvesting any fruit of love from Juliana. Actually, such a self-destruction is a self-punishment but not a revenge on his mistress since she is so cold that she cannot take sympathy for his death. Such a deep-rooted sexual frustration caused by his mistress's cruel rejection seriously injures him. Even when he is dead, he fails to efface the image of Juliana. So vivid and fresh is her image that he cannot drive it from his memory at all.

In "The Mower's Song," it is bad for the mower to show his love for his mistress without getting any recompense from her, and it is worst for him to pay much more affection than her when love is unequal. The mower loses his heart to Juliana, but the latter breaks the heart of the former. In the fifth stanza, the jilt, Juliana, despite the mower's fondness, shows her coldness which gradually drives the mower to commit suicide: "And thus ye meadows, which have been / Companions of my thoughts ore

green, / Shall now the heraldry become / With which I shall adorn my tomb" (25-28). The tragic climax is completed when the mower terminates his life, and all of his love for Juliana is buried with him simultaneously and eternally. In the self-destruction of the mower, we are informed that it is possible for him to cure his injury resulting from nature, whereas it is impossible for him to recover his sexual frustration resulting from his indifferent mistress. In "The Mower's Song," dealing with the theme of love, Marvell, on the one hand, inherits from the tradition of pastoral poetry where a lovesick man complains of his hard-hearted mistress. On the other hand, he substitutes mower for shepherd in his poem where the mower often plays a tragic role by way of committing suicide to take revenge on his cruel mistress when he ensures that her indifference recompenses him for his love. Meanwhile, by virtue of the action of destroying himself, the mower integrates into nature. Gordon Braden has an articulation: "Neoplatonic philosophy" paradoxically promises that the lover's "frustrated self-absorption" is the beginning of a "spiritual ascent" (19). I would like to claim, Marvell in the poem proposes a philosophy of nature hinting at the capricious relationship between nature and mankind. At the same time, the poem implies "the dislocation of man from his universe by the impact of frustrated sexual experience" (Nevo 178). Nevertheless, the harmonious relationship between nature and mankind can be attained as long as he absorbs in nature after having experienced the frustrated sexual desire. Such a situation can be observed on two different levels: one is from a "naïve" perspective, displaying a facial meaning, the separation between the lovers; the other is from an experienced perspective, presenting a deep significance, the mower's conversion from sexual desire to integration into nature, "a displacement of sexual desire," in Judith Deborah Haber's term (111).

Conclusion

In the seventeenth-century literature, the landscape garden is a description of natural scenery, whereas in Marvell's five poems, the garden is an epitome of formal world as well as an enclosure of natural landscape. Marvell not merely depicts the social and grotesque garden which his contemporaries construct but also creates his own garden by imagination, a natural, solitary and peaceful one. His picture of the English landscape garden of the seventeenth century in his poetic realm is often supposed to be the description of internal mind as well as external nature since garden is a private sphere where an individual can undertake personal activities and express personal feelings. Presenting the garden, the poet reveals his philosophy of nature which contains three dimensions--the pastoral, the Biblical and the mythological, like a spectrum sheds a new light on the garden of literature. Under the frame of traditional pastoral, he suggests that the philosophy of nature tend to by no means a Dionysian libertinism but rather a Christian contemplation which can be observed in "The Garden". Marvell's garden and

three-dimensional philosophy of nature, to some degree, reveal his aspiration for repose. In “The Mower, Against Gardens,” by virtue of portraying the fashionable phenomena in seventeenth-century England that people took a fancy to exotic culture and inclined to the imported exotic plants, Marvell declares that a natural order rather than an artificial decoration in nature is treasure worthy of attention and admiration. The beauty of nature is able to overcome the mutability of time and death since the plants in nature are perennial and will revive. In regard to Marvell’s philosophy of nature, the relationship between nature and mankind is particularly emphasized. It is illustrated with “The Damon Mower,” “The Mower to the Glo-worms” and “The Mower’s Song” in ambivalent way, changeable as well as harmonious. In Marvell’s a series of mower poems, the relationship between nature and mankind is presented via the mower’s damage to nature and his sexual frustration from his cold mistress. Paradoxically, the harmony between nature and mankind is achieved when mankind fuses himself into nature by way of self-destruction, and such a philosophy of nature is illuminated in “The Garden” and in “The Mower’s Song” as well.

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Heterogeneity Within: Chinese American Women's Writing

Yun-hua Hsiao*

Abstract

Feminists of color have been questioning the homogeneity of feminism as written about by middle-class Caucasian women and demanding a space for the voices of minority female in order to create feminist discourses which are more appropriate for women of different ethnicities, social classes, political positions and historical backgrounds. This paper, therefore, is devoted to the discovery of heterogeneity within Chinese American women's writing to refute the indiscernibility of their works and to request more visibility for them. Furthermore, in this paper, I have selected Maxine Hong Kingston and Amy Tan, two renowned Chinese American female writers for comparison and contrast, which then unveil their similarities but more importantly, their differences as distinct authors. The heterogeneity of writers of seemingly similar backgrounds suggests a need for close reading and understanding of various subjects. Through the identification of the heterogeneity among Chinese American women writers, this paper has offered a way to distinguish the subjectivity of different individuals.

Key words: heterogeneity, ethnicity, Chinese American

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內存之異質性——華裔美籍女性書寫

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摘要

非白人女性主義者，長期質疑中產階級白人女性在書寫女性主義時，同質性高，並爭取弱勢女性發聲的空間，以創造更為適用不同族裔、社會階級、歷史背景的女性論述。本篇論文致力發掘華裔美籍女性書寫之異質性，以反駁華裔美籍女性作品不可辨識之說法，望提高她們的能見度。再者，本文中筆者取湯亭亭與譚恩美兩位著名華裔美籍女性作家，詳加比較其異同，除提出她們相似之處，更為重要的是舉出她們差異。看似來自相同背景的作家卻有其雜異性，這暗示了各個作家的作品，需要更為細緻的閱讀，與對其背景更深刻的了解。經由確認華裔美籍女性作家之異質性，本文提供了一個區別不同個體之主體性的方式。

關鍵字：異質性、族性、華裔美籍

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Feminists of color have been questioning the homogeneity of feminism as written about by middle-class white women and demanding a space for the voices of minority women in order to create feminist discourses which are more appropriate to women of different ethnicities, social classes, political positions and historical backgrounds. In resistance to the hegemonic idea of women as a homogeneous group, feminists of color prompt a consideration of the differences between women. Meanwhile, in order to avoid becoming homogenized represented objects, women of color are urged to break their silence and express their particular concerns. African American women, for example, have successfully established their need to articulate their own experiences, and they have received wide public attention; however, Asian American women are relatively less visible, due to the cultural, historical and political restrictions.

Women in Asian American Literature

The canon of Asian American literature was established in the 1970s. Given that the largest Asian American groups at that time were Chinese and Japanese, the literary tradition was initiated by these two groups. Three Asian American anthologies appeared in the 1970s: Kai-yu Hsu compiled *Asian-American Authors* (1972); David Hsin Fu Wand edited *Asian-American Heritage: An Anthology of Prose and Poetry* (1974), and Frank Chin, Jeffrey Paul Chan, Shawn Wong, and the Japanese poet Lawson Fusao Inada created a landmark work in Asian American literature — *Aiiieeeee! An Anthology of Asian-American Writers* (1974). According to Sau-ling Cynthia Wong, in this anthology, Chin and his associates' manifesto first articulated an Asian American literary identity; nevertheless, their "anti-Orientalist" stance, preference for the "American-born male" background and interest in "rehabilitating Chinese American masculinity" fermented debates on what should be included into Asian American literature ("Chinese American Literature" 40). To illustrate, these male critics ranked *Eat a Bowl of Tea* as an Asian American literary classic for its well-depicted father-son conflicts and insider's view of Chinatown life from the perspectives of Chinese male waiters and laundrymen. Chin's and his allies' Asian American nationalism was apparently constructed through the sacrifice of women, and their literary canon ignored the wealth of Asian American women's writing. Amy Ling declares in her book *Between Worlds: Women Writers of Chinese Ancestry* that

[in the] literature written in English by ethnic Chinese and Chinese Eurasians and published in the United States, the women not only outnumber the men but the women's books are more authentic, more numerous, quite simply — better. (xii)

The relatively "better" quality and number do not necessarily guarantee public acknowledgement of these women writers. Sucheta Mazumbar argues for Asian

American women's invisibility as follows:

If society has ever thought about these women, it has been in clichés: the depraved prostitute in nineteenth-century San Francisco; the quiet, courteous, and efficient Asian female office worker today. Asian women in America have emerged not as individuals but as nameless and faceless members of an alien community. Their identity has been formed by the lore of the majority community, not by their own history, their own stories. (1)

The indiscernibility of Asian women in America results from their comparatively minor status compared to Americans of European origin and male Asian Americans. Asian American women are rendered a minority while the males endeavor to recuperate their manhood as they are viewed as weak, castrated, incompetent — in short, “feminine” — and inferior people. To assert their manhood, Asian American men made women of their ethnic group even more feminine and submissive. In consequence, literary research and anthologies of Asian American women developed some decades after those of men. The above excerpt by Mazumbar is extracted from *Making Waves*, the first anthology dedicated to the collection of Asian American women's works. In succession, Elaine H. Kim has edited *Making More Waves* (1997) to gather more works written by Asian American women. The writing tradition of Asian American women has been closely examined by Harold Bloom and Helena Grice,¹ and Amy Ling has scrutinized the literature especially produced by Chinese American women in her *Between Worlds*.

The majority of early female Chinese immigrants in America, like the male ones, belonged to the working class and had little education or leisure to write; those who wrote came from the upper or middle classes. The first Chinese American writer, recognized by most of the scholars of Chinese American studies, is female: the Eurasian writer Sui Sin Far, the pseudonym of Edith Maude Eaton, who wrote journal articles and short stories. Her sister, Winnifred Eaton, known as her Japanese-sounding pseudonym Onoto Watanna, published some novels. In the late nineteenth century and the early twentieth centuries, the Eaton sisters' choice of writing under Asian pen names stated not only their inclination with regard to their personal identification but also the wish to hide their Eurasian background, which seemed intolerable in both racial worlds at that time.

After the Eaton sisters, the Chinese American women who wrote were upper-class Chinese female émigrés including Helena Kuo, Lin Tai-yi and Hazel Lin. These writers share the same concern about China, either during the Second World War or under communist rule. In the post-war period, some well-traveled female novelists published their works, such as the Amerasian Diana Chang's *The Frontiers*

of Love (1956) and Chuang Hua's *Crossings* (1968). American-born Chinese women's writing began with Jade Snow Wong's *Fifth Chinese Daughter*; Wong's tone in her autobiography is reserved and polite, for she was living in a society where racism was pervasive. In contrast, published decades later, the words of Maxine Hong Kingston's semi-autobiographical work *The Woman Warrior* (1976) are bitter and challenging. In recent American-born Chinese women's literary productions, one of the foci is on mother-daughter relationships; a classical example is Amy Tan's *The Joy Luck Club* (1989). Contemporary Chinese American female writers have displayed their ability to deal with diverse themes; for example, Gish Jen wrote *Typical American* (1992), which echoes the ethnic minority's constant interest in cultural identity, and Kitty Tsui, who is seldom mentioned in the main critical discussions on Asian or Chinese American women's writing, published *Words of A Woman Who Breathes Fire* (1983), which concentrates on the experiences of being a Chinese American lesbian.

Grice argues that "the critical debate on Asian American women's writing has barely begun" (viii). Although I am suspicious of this argument when I think about the burgeoning productions of critical work in this field, I am also aware that this body of writing is still inadequate and not fully considered the way Chinese American women's writing addresses questions of ethnic and gender inequality.

Hybridity for Visibility

In order to fight against their invisibility, it is important for Chinese American women both to collaborate on their shared project to obtain political power and to represent the heterogeneity within their group so that subjective differences are highlighted. Malini Johar Schueller has suggested that for women of color in the United States, a homogeneous American identity is of little use, and an urgent and difficult task for them is to "articulate a politics of resistance and difference without resorting to purely definitional conceptions of ethnic identity" (4). Lisa Lowe, in her often quoted essay, "Heterogeneity, Hybridity, Multiplicity: Asian American Differences," questions the idea of homogenizing the category of Asian Americans. On the one hand, she affirms the political necessity of forming a homogeneous Asian American culture to counter the dominant mainstream ideology; on the other, she emphasizes the importance of recognizing the differences between ethnic groups. She elaborates the latter point in this essay, which refutes the essentialism of Asian Americans and underscores the diverse forces, including gender, class and nation, which contribute to the formation of Asian American cultures and identities. For Lowe, Asian American identities are incomplete, inconsistent and always in the process of transformation. For instance, once being "free-off-the-boats" in the United States, Chinese American immigrants are exposed to "mixing," whether in work or

through socializing. During cultural mingling, the Chinese Americans' identities are subject to reconstruction: they may assimilate into the mainstream American culture, remain exclusively in Chinatown or live in the borderland of both.

"Hybridity," in Lowe's analysis, is "the formation of cultural objects and practices that are produced by the histories of uneven and unsynthetic power relations"; in her elaboration of this viewpoint, Filipino Americans' racial and linguistic mixings imply "the history of Spanish colonialism, U.S. colonialism, and U.S. neocolonialism" (67). Hence, hybridity "marks the history of survival within relationships of unequal power and domination" (67). An example of these "uneven" power relations is displayed considering the reasons why Asian Americans migrate: Sau-ling Cynthia Wong has recognized the force of im/mobility in the formation of Asian American identities; she describes how the immobility of early Asian American immigrants was coercive since early Chinese immigrants were confined in Chinatowns, and how their mobility was also a forced action, like the imposed interment of Japanese Americans during the Second World War. Thus, Wong encourages a "map-making" strategy to interpret the "mobility narrative," that is, contextualizing Asian American writing in terms of time and space, taking into account the notions of class, gender and ethnicity.

In response to Wong's theory, Lowe suggests that im/mobility is not the only force in the shaping of the hybrid identity. "Hybridization is not the 'free' oscillation between or among chosen identities," and the process of it is "uneven," always subject to change in response to the external violence faced by the Asian Americans from outside. They will have to adapt to changes through "living, inventing, and reproducing different cultural alternatives" (82). Moreover, Lowe marks, in the making of Asian American identities, the significance of different "horizontal" and "vertical" relationships, namely, sisterhood and the mother-daughter bond in her cited examples. The mother and daughter dyad and sisterhood have been the central concerns of minority American women's writing; this is partly derived from a culture where women have traditionally occupied a separate space and partly a new strategy formed by these women to explore the formation of the female subject. It is through the construction of female symbolic that ethnic American women will be able to acquire a sense of belonging and through the alliance of women of similar situations they will draw public attention. Chinese American female writers are also interested in this women-centered genre; however, I would like to note that the contexts in which they situate their works are different from those of other ethnic American women's works. Many Chinese American women writers set their characters in China, American Chinatowns, and Chinese American families strongly attached to Chinese culture. In Chinese American women's works, it is often mothers or sisters who

introduce and awaken the Americanized characters to the Chinese part of their selves. Amy Tan, for example, in *The Kitchen God's Wife*, arranges for the mother to describe to her daughter traditional Chinese society in China, how China changed during wartime and the time of the Japanese invasion, the formation of the Chinese community in America, and how Chinese culture is preserved in Chinese American families. In *The Hundred Secret Senses*, it is an elder sister who familiarizes her American half sister with Chinese food, legends, values and beliefs, and who is also the medium carrying the Americanized woman of Chinese descent back to her ancestral land to search for answers to her current problems.

Lowe has stressed the hybridity within Asian Americans, and this paper aims to further hybridize Chinese American women: hybridity highlights differences, emphasizes individualities, and hence reveals the subjectivities of Chinese American women. Chinese American women have long been seen as a homogeneous group, and this misrecognition of differences has strengthened the negative stereotypes imposed upon them. The heterogeneity inside the Chinese American group is noteworthy: the origins of these people are various; they may emigrate from Taiwan, Hong Kong, Mainland China or Singapore, Malaysia and other Chinese diasporic areas in Asia. The differences among them may be identified through their accents, behavior or usages for a Chinese "insider"; to an outsider, unfamiliar with Chinese culture or the language itself, Chinese Americans may be regarded as having the same origin, even though one from colonial Hong Kong may receive a British-style education, a Singaporean may consider English as his or her native language, and a Taiwanese may have grown up in a democratic and modern society, while one from mainland Chinese background may have received a rigid education within a communist state. Even though there is hybridity within Chinese Americans, I argue that their apparent resemblance in terms of racial origin often blocks people of different races from recognizing their differences; hence, literary reviewers may fail to distinguish dissimilar works produced by women writers of Chinese ancestry. For example, due to their popularity, Maxine Hong Kingston and Amy Tan are often mentioned together in discussions of Chinese American writing; nevertheless, their works are actually different in several important ways.

Differences between Kingston and Tan

One of these two writers' differences is relevant to their personal background. Both Kingston and Tan are profoundly influenced by their parents' experiences, and many of the differences within their writing come from this source. Having been born female in the United States to Chinese immigrant parents, Kingston and Tan share the same position as second-generation Chinese Americans; nevertheless, the

backgrounds of their parents are different, despite the fact that they are all from China. Kingston was born in 1940 to first-generation immigrant parents who spoke Cantonese; Tan was born in 1952, also to first-generation Chinese immigrants who used Mandarin Chinese. Therefore, Tan's Chinese usages in her writing are derived from Mandarin while what Kingston describes as Chinese is sometimes Cantonese and sometimes Mandarin. The ambiguity of Kingston's language is exemplified in the naming of the woman warrior who repeatedly appears in her books: she is called "Fa Mu Lan" in *The Woman Warrior* but "Fa Mook Lan" in *The Fifth Book of Peace*.

Moreover, Kingston was born into a working-class family and her texts have touched on how she shared the labor in the family-owned laundry; Tan's father was a minister and her mother came from a wealthy Chinese family — in Tan's works, therefore, the daughters have the luxury of learning to play the piano or chess, and she frequently portrays rich Chinese families: "We were one of the riches families in Wushi. ...We had many riches in that house. Silk rugs and jewels. Rare bowls and carved ivory" (*Joy Luck* 244).

Another significant difference between Kingston and Tan is the issues that attract their attention. The facts that Kingston's father was an illegal immigrant and a laundry worker partly answer why she writes about Chinese men's emigration to the United States and their labor in America since she is interested in the issue of class. By comparison, Tan's emphasis is predominantly on women, and most of her narrators are female. While Kingston wishes to claim full American membership by integrating Chinese men and women into American history, Tan's interest is more in the struggles within one's self and the subtle relationships between women of Chinese origin living in America, and how they, as Chinese immigrant women, come to terms with their pasts in China. Tan is famous for her concern with the mother-daughter relationship while Kingston's depiction of the Chinese immigrant mother and Americanized daughter only occurs in *The Woman Warrior*. Furthermore, a thorough reading of all Kingston's and Tan's works will reveal that these two authors' chosen topics have gradually moved away from one other: Kingston's latest works are on war-related issues and Tan, in her most recent work, *Saving Fish from Drowning* (2005), directs her interest to American tourists' cultural confrontations in Burma. Judging from the differences between Kingston and Tan, it is inappropriate to simply group them together as Chinese American women's writing.

Kingston's writing relates to various issues and a comprehensive reading of her works reveals the equivalent importance of male and female Chinese Americans to her; therefore, in her literary productions, the Chinese American women's experience is not always obvious or easy to decipher. In 1976, Kingston published her first book, *The Woman Warrior: Memoirs of a Girlhood Among Ghosts*, which tells of a

second-generation Chinese American girl's story growing up in hostility and her exploration of self-identity. Kingston's second book is *China Men* (1980), and it accounts the history of Chinese America through Chinese men's sharing efforts to build the nation. Her third major work is entitled *Tripmaster Monkey: His Fake Book* (1989), where a five-generation Chinese American man who wishes to even social injustice as expressed in his maniac monologues and to bring the world together through his epic play. In 2003, *The Fifth Book of Peace* was published; this book details how the author lost her book-in-progress and earthly possessions in a fire, how she tried to retrieve the lost work and her participation in a veteran writing workshop. According to the above-mentioned works produced by Kingston, it is obvious that the writer has displayed her interest in various topics, including ethnic identity and history, femininity and masculinity, war and peace, and a general concern about human beings on the earth.

Tan, on the other hand, has demonstrated her specific interest in Chinese American women; an interpretation of Tan's works thus pays special attention to female Chinese Americans. Amy Tan, from 1989 to 2005, had published five novels and a collection of essays. Her first work, *The Joy Luck Club* (1989), is fictitious account of sixteen stories shared by Chinese American immigrant mothers and American-born daughters. Tan's second novel is *The Kitchen God's Wife* (1991), which details a Chinese story told by an immigrant mother to her daughter in America. The author released another novel in 1995, *The Hundred Secret Senses*, narrating a mysterious past between a pair of half sisters, one Chinese and the other American. Tan's following work is *The Bonesetter's Daughter* (2001), in which an American daughter shared her Chinese mother's traumatic past. The writer's collection of essays *The Opposite of Fate*, was published in 2003, and she also focused on the mother-daughter relationship while elaborating her views of language and aesthetics. The difference between Kingston and Tan can be further probed through a detailed discussion of the reception of their literary productions and I will start with the reasons leading to Kingston's fame.

Kingston's Writing and Reception

One of the reasons for Kingston's popularity in the United States lies in her concern with ethnicity and gender. Her works involve Chinese American identity, feminist and nationalist points of view, the artistic creation of multi-generic texts, and the linguistic mixing of English, Mandarin Chinese and Cantonese. Soon after *The Woman Warrior* was published and received massive acclaim, its content in relation to ethnicity and gender provoked a "pen war," a Chinese term to describe an exchange of combative articles, between critics. According to Laura E. Skandera-Trombley, the famous Chinese American male critic and playwright Frank Chin was the first to voice

disapproval of Kingston's work by refusing to endorse Kingston's book before its publication; in fact, Chin regarded all autobiographies written by Asian Americans as "bids for white literary and popular acceptance" (5). The pen war formally started with Jeffery Paul Chan's reply to Diane Johnson's review in the *New York Review of Books* in 1977. Chan criticized Johnson for her generalization about Chinese Americans' resistance to assimilation while blaming Kingston for misleading her readers. In return Johnson replied by asserting Chinese Americans' unassimilated culture and the value of Kingston's writing (7).

Chin and other male Chinese American critics claimed that Kingston reinforced the essentialist concept of Chinese chauvinism, sold out Asian America, and distorted Chinese myths and literary masterpieces. The complexity of Kingston's works aggravated the pen war. Her writing is hybrid in generic terms and is a compound of autobiography, memoir, prose, poetry, history and fiction. For example, *The Woman Warrior* was subtitled memoirs by Kingston, classified as an autobiography by the publisher, and considered a semi-fiction, due to Kingston's re-creation of Chinese stories, by many critics. There is dissent about how to name the work as well: for instance, Sidonie Smith categorized *The Woman Warrior* as "autobiography" while Chin prefers to describe this book as "fiction".² Readers and critics from different cultural backgrounds have diverse views on Kingston's works: Chin, as an insider within Chinese culture, brings to his reading knowledge about the differences between the original Chinese stories in Kingston's books and her reconstructions of them; hence, to him, *The Woman Warrior* is fictitious and full of Kingston's imaginative re-working, if not distortion; for Smith, as an outsider, this book is unquestionably autobiographical, recording a Chinese American girl's growing-up process.

The issue about the genre and authenticity of Kingston's books has been a battlefield for critics: shortly after *The Woman Warrior* was published as an autobiography and well received by American readers of European ancestry, most of whom wholeheartedly embraced the stories as her Chinese inheritance and as what had truly happened in Kingston's life, Kingston was attacked by Chinese American male critics for her falsifying of Chinese myths and legends to suit her own purpose of assimilation into American mainstream culture by pandering to white readers. Autobiography is seen to be composed of an authentic voice and true stories, and those male critics' fear was that *The Woman Warrior* would lead readers into regarding Chinese men as chauvinists and China as an underdeveloped country with an outdated and gender-biased society. Many Chinese American female critics, however, took Kingston's side and refuted the idea that Kingston was an assimilationist who eulogizes Americanness and despises Chineseness. Elaine H. Kim suggests that those male critics clung to an anti-female stance since they themselves had created Chinese American

male heroes and female heroines very different from those constructed by the female writers (199). King-kok Cheung defended Kingston by declaring that

a writer's imagination should not be circumscribed by potential readers' backgrounds, and it is not the writer's fault if a reader cannot pick up the plethora of allusions that enrich Kingston's texts. Scholars and critics must assume the responsibility of identifying the more esoteric references. (121)

Cheung further points out that to request Kingston to be faithful to original Chinese stories is to "occlude one of her most innovative — and uniquely Chinese American — narrative strategies: Americanizing Chinese tales and Sinicizing Euro-American ones, she in fact takes ample liberties with both" (122). This hybridization of Chinese American texts was not readily approved, however, and the debate between critics has lasted for two decades. Responding to this "pen war," Kingston, as a living author who is concerned about how her works are perceived, defended herself by asserting her aesthetic freedom in her writing. She implied that she should not be "denied an individual artistic vision" ("Cultural Misreadings," 101). Essays about this debate over authenticity were collected in Sau-ling Cynthia Wong's *Maxine Hong Kingston's The Woman Warrior: A Casebook*, and a detailed survey of criticism on Kingston, *Critical Essays on Maxine Hong Kingston*, edited by Laura E. Skandera-Trombley, was published in 1998. After Kingston's "first fiction" *Tripmaster Monkey: His Fake Books* (1989), as defined by her publisher, was issued, the pen war gradually diminished. With the publication of Kingston's book *The Fifth Book of Peace* (2003), it seems that this pen war has become history.

In addition to the topics she addresses and her writing techniques, Kingston's popularity is also a result of pan-Asian American political movements in the 1960s. As mentioned earlier in this paper, Americans of Asian ancestry had been excluded from immigration into the United States and discriminated against, suffering both mental and economic oppression and even physical violence. It was not until the 1960s that Asian Americans, stimulated by African American protests for Civil Rights, went on demonstrations for their own equal rights. The purposes of this movement, as Sucheng Chan, were to claim their "full membership in American society" (40), have their forefather's contributions to America acknowledged, and request equal rights with those Americans of European ancestry. Moreover, in 1968 and 1969, Asian American students "went on strike for the establishment of ethnic studies programs" in California (198). During the time of radical ethnic movements, Kingston's stay in Berkeley, which Skandera-Trombley names the "epicenter of the Days of Rage and the activist peace movements" (4), influenced her writing about war and peace.

Consonant with this political activism, Asian American literature blossomed. Although there were literary works written by Asian Americans long before this period

of thriving political campaigns, they hardly reached a wide readership. It was during this era of the civil rights movement that American racial minority groups tried to clarify and construct their own identities. The Asian American literary anthologies were finally published in the 1970s, and Kingston's first book was issued in 1976, just in time for this first flourishing of Asian American literature. Several critics, such as Amy Ling, have suggested that Kingston's works are indebted to her forerunners, namely, Chinese American women who wrote before her; for example, in Jody Hoy's opinion, a commonly referred to author is the autobiographer Jade Snow Wong, the only Asian American writer who Kingston admitted that she is indebted to (62). What Kingston inherited from the Chinese American women writers' tradition was writing about personal events and Chinese culture; what she, as a second-generation Chinese American woman, brought as innovation was a unique Chinese American way of writing, a combination of Chinese and American cultures and writing styles. Kingston's works cross the boundaries between genres and languages, and the settings of her books are rich in both time and space, ranging from ancient imperial China, modern democratic and communist China, to contemporary America.

Kingston's success corresponds to feminist concerns at that time as well. After the radical liberation movements for American women's rights in the 1960s, the 1970s was an important period for the development of American feminism: African American feminism began to challenge mainstream feminism led by women of European origin and demanded feminist discussions consider ethnicity and class; simultaneously, the genre of fiction became popular in feminist representations in America in the 1970s. Consonant with the 1970s feminist interests, *The Woman Warrior* articulates the fantasy of a Chinese American girl and the adversities for Chinese American women. As ethnic American feminists have argued, minority women encounter a double adversity, resulting from gender and race. For instance, the narrator in *The Woman Warrior* has to deal with both the traditional Chinese idea that girls are only food wasters and conflicts between Chinese and mainstream American cultures. In fact, for Ling, Chinese American women are "triply vulnerable: as Chinese in a Euro-American world, as a woman in a Chinese man's world, as a Chinese woman in a white man's world" (15).

Furthermore, the post-war atmosphere also contributed to Kingston's achievement: a common theme of her works is "war"; the Second World War, the Korean War and especially the Vietnam War are mentioned in her texts. Kingston was born in 1940, just before America's declaration of war against Japan and participation in the Second World War, and she consequently grew up in a time of wars. During this time of turbulence, Kingston and other Chinese Americans had to face not only war-time instability but also a fear of connection to Communist China — this fear came from the internment of Japanese Americans during the Second World War. Connected to Japan,

America's enemy during this war, Americans of Japanese ancestry were interned by the American government, and this was perceived as a warning to other ethnic groups since they might suffer the same fate. Reception of Chinese Americans and their literary productions was subject to the relationship between the United States and various Asian countries. The Second World War, complicated by the Japanese bombing of the Pearl Harbor, had caused thousands of Japanese Americans to be sent to internment camps. In contrast, Chinese Americans are praised as reliable brothers and sisters. Reversely, communists' victory in China, the Korean War and the Cold War changed Chinese Americans' status from trustworthy allies to suspects or spies. It is worth noting that Asian Americans did not passively accept the American government's decisions to go to war against Asian countries: for example, Asian American students took part in "nationwide protests against the American invasion of Cambodia and the broadening of the war in Vietnam" (Chan, *Asian Americans* 198), and Kingston was one of the protesters. The Americans started their involvement with the Vietnam War in the 1950s and sent their troops to Vietnam in the 1960s; two of Kingston's brothers were drafted in this war. Pacifist and ethnic movements in the 1960s have stimulated Kingston's writing. Guan Gong, God of War and Literature in Chinese belief, continually appears in Kingston's texts, and Kingston follows him by combining war with literature: as a warrior fighting for ethnic and gender justice herself, her weapon for the battles is words.

On the other side of the world in Asia, Kingston is deemed to be someone who helps to acquaint Western readers with Chinese culture and history: she introduces Chinese beliefs, stories and also the language itself in her works, which have touched on Chinese history in the late nineteenth and twentieth century. China in this transitional time in a new century was in political turmoil, caused by the corruption of the Qing Dynasty, the invasion of foreign countries, and the revolution led by Doctor Sun Yat-sen, who founded the Republic of China in 1911. The civil war between the Nationalist Party (also known as Kuomintang or KMT) and the Chinese Communist Party occurred in the late 1920s, and the Japanese invasion of China compelled Chinese people to discard the partisan battle and fight together against foreign aggression. However, the war between the two parties resumed in 1940s after Japan surrendered. The communists triumphed in the end, and the democrats retreated to Taiwan. To evade the communist regime, countless Chinese people fled to Taiwan, Hong Kong and other countries. The communists then closed the door to and out of China. Under communist rule, the people of China experienced famine, poverty, terror and torture during the ten years of the Cultural Revolution from 1966 to 1976; political reforms took place after this revolution ceased and China finally opened its door to the outside world in 1979. Setting her texts in the mid-twentieth century, Kingston pictured the past of her parents

and ancestors in China and why they traveled to America; this visit to the past presents a sketch of the Chinese history during their lives, namely, the end of Chinese monarchy to the rise of the democrats and then the communists. Kingston's works not only provide a personal familial record but also a communal history, both Chinese and Chinese American.

Kingston is well received among the academics in the East, where literary criticism on her writing is less controversial than that in the United States, probably because the menace of losing Chinese manhood hardly exists and readers are able to tell the difference between fantasy and authentic Chinese stories in her works. Kingston once confessed her fear of being unwelcome in China after she converted Chinese stories into Americanized versions; however, to her surprise, she was greeted with delight. Nevertheless, even though most academics in the East applaud Kingston's writing, there are also a small number of critics who hold negative views, for example, Qiong-qiong Yuan, a Taiwanese writer, who stated that popular books about China in the West such as Kingston's *The Woman Warrior*, Bette Bao Lord's *Spring Moon*, Nien Cheng's *Life and Death in Shanghai*, Amy Tan's *The Joy Luck Club*, Jung Chang's *Wild Swans*, Hong Ying's *Daughter of the River* and Adeline Yen Mah's *Falling Leaves*, are biographical stories without authorial creativity, and that these writers' success is meaningless to the whole literary world and has no relation to Chinese literature.³ I have almost exactly the opposite opinion to Yuan's: these writers' works have opened a window to China and Chinese culture for Western readers; examples of their contribution are attracting Western readers' interest in Chinese culture and history, drawing attention to the problems of cultural identity, and providing Chinese readers alternative ways of seeing their own culture and legends. Similarly, Amy Tan's works also provide the same functions.

As a writer, Kingston has her limitations even though she has demonstrated her literary contribution to American literature by enriching it with multiplicity. Being a Chinese American whose ancestors emigrated from the province Canton, south east of China, Kingston's view of Chinese people and China are limited to an extent. Keen to claim her ancestors' historical status in America, she has failed to include Chinese people from other parts of China and to recognize other reasons for emigration. For example, there were overseas students studying at American institutions; some of them stayed and became Americans. When Kingston mentions where Chinese Americans come from, she indicates Canton and when she talks about Chinese people, most of them are Cantonese. It should be noted that Cantonese people cannot represent the whole population of Chinese people, and Cantonese language cannot stand for Chinese, which is composed of numerous dialects. It is confusing in Kingston's texts that she adopts both Cantonese and Mandarin. As mentioned earlier, for the same woman

warrior, it is “Fa Mu Lan” in *The Woman Warrior* and “Fa Mook Lan” in *The Fifth Book of Peace*. Moreover, Kingston’s use of the Chinese language and Chinese stories are sometimes different from the original Chinese ones: Kingston claims that Chinese people do not distinguish the colors green and blue; in fact, there is a Chinese word *Chin* for both green and blue, and also specific and precise words like *Lu* for green and *Lan* for blue as well. Another example is that in *Journey to the West*, the Monkey King is imprisoned by Buddha in the original Chinese version, not Tripitaka. Either being unaware of some parts of Chinese culture or to avoid interruption of her style, occasionally, Kingston is unable to fully explain Chinese customs — for instance, she writes about a Chinese behavior in *The Fifth Book of Peace*: “He tagged the house all over with Contentment, a few upside down, which some Chinese say gives more luck, like a horseshoe upside down” (166). To be more precise, the words are upside down because the sound of “arriving” is the same as “upside down” in Chinese; arranging “Contentment” upside down suggests its arrival. Besides, in order to reduce negative images about Chinese Americans and glorify her ancestors, Kingston sometimes over-romanticizes Chinese Americans: she asserts, “the difference between us and other pioneers, we did not come here for the gold streets. We came to play” (249-50). Moreover, even though Kingston has set out her goal to overturn biased views about Chinese Americans, she falls into stereotypes sometimes herself: she mentions one of Asian people’s disabilities in speaking English — “Earll’s name is impossible for an Asian to say in one syllable” (371). However, it may be Kingston’s intention to satirize the stereotypes by providing “inauthentic” Chinese information: for instance, in saying that “all Chinese are gamblers” (*Tripmaster Monkey* 249), Kingston may have intended to mock a common stereotype about Chinese Americans.

Although Kingston has her own limitations and sometimes offers confusing and misleading Chinese concepts, she has provided valuable texts depicting American life from the standpoint of a Chinese American woman. Nevertheless, it should be noted that Kingston’s writing cannot represent every Chinese American’s experience, the idea which was a reason for the pen war; Elaine Kim has taken a similar view: “It is important to remember that Asian Americans who write are not necessarily ‘typical’ or ‘representative’ of their nationality or racial group” (xviii).

It is intriguing to think that articles on and comparisons between Kingston’s first two books, *The Woman Warrior* and *China Men* (1980), are abundant, but the quantity of critiques of *Tripmaster Monkey* is relatively small, and discussions of the shift in her writing are few. After a thorough survey of Kingston’s books, Skandera-Trombley finds that “there is scant published criticism addressing Kingston’s latest book [*Tripmaster Monkey*]” (20). Why do Kingston’s readers lose interest in her works? Is there any change in her content and writing that made readers and critics turn away? In the same

year when this novel was published, Tan's first book, *The Joy Luck Club*, was released and achieved immediate success; under the shadow of Tan's achievement, Kingston's *Tripmaster Monkey* received much less notice. In addition, Sau-ling Cynthia Wong calls Tan's works "less taxing to read' than Kingston's" (*Kingston's Woman Warrior*, 51); this may be one reason why readers prefer Tan's writing: the diminishing popularity of Kingston's writing probably comes from its complexity, which cannot be easily understood outside the context of Chinese American history. On the other hand, Tan has been attacked by critiques for her simplicity.

Tan's Writing and Reception

Amy Tan has been criticized for her simple solution to the complex identity issue that she explores in her novels; her answer to the confusion of hybrid identity is to ignore differences through cultural understanding: "The three of us [Lindo, Waverly, Rich], leaving our differences behind, stepping on the plane [to China] together, sitting side by side, lifting off, moving West to reach the East" (*Joy Luck* 180). At the end of all her four novels, the main protagonists reach a better state of mind by acknowledging maternal love and their link to Chinese culture. However, according to Ben Xu, the trip to China is "temporary and disillusioning," suggests "no more than a 'visit'" and entails "a painful realization of 'going home as a stranger'" (17). Hence, I argue that the visit to one's ancestral land does not necessarily imply a sudden clarification of her confusion about cultural identity.

Stephen Souris confesses that his initial response to Tan's ending of *The Joy Luck Club* was "overly sentimental and facile resolution" (114), but he refutes himself by examining the cultural factors in the closure of the novel and suggests that it is Tan's desire for "an ending that brings the resonating diversity and conflicting positions to a tidy close" (116). However, it should be noted that there are continual conflicts within Tan's mother-daughter relationships, and the characters still have to face their hybridity and confusion in the real world in America. As identity is always shifting, the hyphenated characters are constantly under construction. The daughters still have to deal with their inner conflicts though they achieve understanding with their mothers to some degree. Tan's intention in creating easy and happy endings, nevertheless, is understandable; she writes to release her traumatic experiences and search for compensation in the happiness of the protagonists. Perhaps it is Tan's wish to create a simple and easy resolution to a complicated identity issue and thus give hope to those who suffer from the confusion of hybrid identity like herself. Conscious of Tan being attacked for her simple endings, I would like to complicate Tan's writing by discussing her own identity, her adoption of hybrid settings and the reception of her works.

Like the American daughters who she has created in her novels, Amy Tan herself is also an American-born subject of Chinese ancestry. As discussed by some critics, Chinese (-) Americans are trying to avoid the negative influence caused by the hyphenation. King-Kok Cheung reads the term "Asian American" as a recognition of the "American status" of the Asian immigrants and their descendants but simultaneously, she states that the overt indication of their Asian ancestry is a "racist treatment," as it excludes Asian Americans from the notion of "pure Americans," which is used to indicate the mainstream Americans of European origin (5). With the addition of ethnic origin, the term "Asian American" emphasizes the condition of being both Asian and American; hence, an Asian American is neither fully Asian nor American. Tan has expressed her discomfort about being labeled as a "Chinese American" writer in *The Opposite of Fate*:

If I had to give myself any sort of label, I would have to say I am an American writer. I am Chinese by racial heritage. I am Chinese-American by family and social upbringing. But I believe that what I write is American fiction. (310)

Tan stresses her Americanness in her writing. However, even though Tan feels uneasy being labeled a hyphenated American author, the influence of Chinese culture on her works and the hybridity of the environment in which she grew up cannot be denied. From childhood, Tan has been ashamed of Chinese culture and has tried to assimilate herself into American society, and the cost of her assimilation is distance from her mother. It was not until her mother, Daisy Tan, was sent to a hospital that Tan, who was spending her vacation in Hawaii, determined to take her mother back to China and carefully examine her relationship with her own mother. The trip to China has a profound meaning for Tan's identity and writing since she found a sense of belonging in China. Because of the China trip and her deeper understanding of her mother, Tan is more aware of her hybrid identity. For Tan, it is writing which helps her to release her inner emotion and overcome psychic stress; writing is also a way for her to explore the mother-daughter relationship.

Morris suggests that "much current women's work moves continually across the boundaries of autobiography, realism, experimentalism and earlier traditional forms of fairy tale and rhyme" (188), and she calls this form "multiply intertextual" as it transcends the classifications of texts (178). Huntley suggests that Tan, like Kingston, fabricates a "hybrid multigeneric and multiperspectival text" (69), mingling the narratives with other genres such as poetry, myth, memoirs, and Chinese talk story.

Not only Tan's style but also the settings of her novels are hybrid. For example, Chinatown is a site of hybridity: in the territory of America, a group of Chinese immigrants refuse to assimilate into American society or are forced to inhabit this

borderland; they build oriental and exotic surroundings, speak Chinese or Chinese American patois, cook Chinese food and attach themselves to Chinese culture and traditions. Tan's settings in China are hybridized as well: in *The Kitchen God's Wife*, Weili's mother dresses in western-style clothes, eats English biscuits and uses French perfume, and lives in Shanghai before communist rule, an international city which encompasses both Chinese and western cultures: "That day we also went to all the places where the best things in the world could be found. ... French-style leather shoes, ... American ice cream sundae, ... any kind of newspaper, Chinese and foreign too" (95). Tan's style of writing projects her as a mixture of the East and the West. In Suyuan's story, Kweilin is "a city of leftovers mixed together" because of the refugees fluxing into the city to evade the Japanese intrusion (*Joy Luck* 11). The structure of the novel *The Joy Luck Club* itself is also hybrid, with four tales inserted in front of every four short stories in this book. Hence, Bella Adams asserts that Tan's writing is a hybridized representation, consisting of "the Chinese American experience," "the post-colonial experience," and "the postmodern condition" (167). The reception of Tan's writing is extreme like Kingston's, as reviewers either highly praise her works or consider them obsequious products for white readers; it seems that the authenticity of ethnic minority's writing is unceasingly debated.

In Morris's view, postcolonial women writers seek to form a collective and positive female identity by articulating their history and cultural tradition, and by constituting a sense of national belonging. However, there is meanwhile a need to object to the "essentialist national metaphors of feminine identity," which usually signifies passivity and inferiority (179). To illustrate this point, while men construct a sense of manhood within an oppressed group, women are shaped as the docile and relegated to the domestic roles. Therefore, minority women writers who claim the men from the same minority group as sexist oppressors are deemed betrayers, undermining the nationalist discourse. For instance, as mentioned in the last chapter, Chinese American women writers like Kingston and Tan are accused of being assimilationists by the nationalists, such as Frank Chin; they are considered as selling out their own identity by flattering white mainstream ideology and helping essentialize Chinese patriarchal society. Chin claims that Chinese American writers have the responsibility to convey a "politically right" sense of Chinese culture in their books. In *The Opposite of Fate*, Tan responds to this accusation by declaring her freedom and creativity as a writer. Moreover, Jinqi Ling deems "ethnic authenticity" a "necessary but weak choice," for ethnic American writing involving a political process of being "America's racial other" (147).

Lowe's viewpoint helps to explain the debate between textual authenticity and a writer's responsibility — she points out that Chin's charge is a "false opposition of

'nationalism' and 'assimilation'" (71) and "the dialogue between nationalist and feminist concerns animates a debate about identity and difference, or identity and heterogeneity, rather than between nationalism and assimilationism" (76). Lowe suggests that the debate between the nationalists and female writers is a false opposition because their main concerns are different: the nationalists emphasize the political status of the ethnic groups while the female writers focus on ethnic women's experience; the heterogeneity, such as differences between men and women, within ethnic groups needs to be taken into consideration. Therefore, she argues that to differentiate the male and female in ethnic groups help to increase political strength and the urge to cooperate with other minority groups in order to subvert the mainstream. It is Tan's popularity that brings both attention and accusation; she has made her readers who are unfamiliar with Chinese culture become aware of it and those brought up in Chinese culture to re-examine it.

Tan's works are well received both in the West and the East. Her success raises questions about both the reason why her works are so well received and who her intended readers are. Sau-ling Cynthia Wong discusses the existing "Amy Tan phenomenon" in her essay "Sugar Sisterhood" and analyses the reasons for Tan's popularity via the contexts of "mainstream" feminist writing, Asian American matrilineal literature quasi-ethnography about the Orient, Chinese American "tour-guiding" works, post-civil rights ethnic soul-searching, the "Chinese *Gone with the Wind*" genre, multiculturalist rhetoric, and Regan-era critiques of materialism' (202). Instead of completely applauding Tan's literary achievements, Wong has suggested several alternative aspects of Tan's sensational success.

Of her five books discussed here, Tan dedicates three of them to her mother. In *The Opposite of Fate*, she describes her intention to write for her mother, and her decision to write in simple English which is easy for her mother to understand. Her intended readers also include those who are not familiar with Chinese culture since she often tries to explain the meaning of the Chinese words and culture in her narratives: " 'O! Hwei Dungsyu' — You bad little thing — said the woman" (*Joy Luck*, 209). Nevertheless, it should be noted that translation has its limitation as cultures are sometimes untranslatable, and Tan's translation is sometimes problematic as her Chinese is limited. For example, Tan translates the phrase "*lihai*" into "Wild and stubborn" while it should be formidable, powerful and knowing (*Joy Luck*, 241). Although there are limitations to Tan and negative comments to be made about her works, it is undeniable that her writing has provided a valuable vehicle to examine the issues of gender, hybridity and identity.

Conclusion

The comparison of written works created by Maxine Hong Kingston and Amy Tan unveils their similarities but more importantly, their differences as distinct authors. The hybridization of writers of seemingly similar backgrounds suggests a close reading and understanding of various subjects. In her reading of Chinese American mother-daughter stories, Wendy Ho asserts that through both Tan's and Kingston's

various narratives of a self-in-process, the Chinese American mothers and daughters learn to name and to compassionately understand their differences as well as similarities as women and to gradually extend this critical political practice to an understanding of men, family and community. It can therefore be empowering and heroic for women to tell their diverse stories and attend to one another. (23)

I would like to extend Ho's notion of Chinese American women to all human beings since the main characters in Kingston's works are not limited to Chinese American females; telling diverse tales, Maxine Hong Kingston and Amy Tan have led their readers into a world full of confession, compassion, and understanding, a world which acknowledges heterogeneity of different individuals and therefore brings more attention to diverse discourses from the minority groups. The homogenization of distinct individuals in minority groups often leads to negative stereotypes and therefore, this paper has endeavored to elaborate the hybridity within the Chinese American women writers through the case study of Maxine Hong Kingston and Amy Tan. Pleading with readers to scrutinize the various styles of authors from seemingly indistinguishable background, this paper asserts the needs for opening up space for minority voices and recognizing the subjectivities of different ethnic individuals.

Notes

1. See *Asian American Women Writers*, edited by Harold Bloom (Philadelphia: Chelsea House, 1997) and Helena Grice's book *Negotiating Identities: An Introduction to Asian American Women's Writing* (Manchester: Manchester U.P., 2002).
2. Frank Chin was willing to accept *The Woman Warrior* under the condition that it was read as fiction, instead of an authentic work.
3. See Yuan Qiong-qiong, "[After Myth Comes Reality]." *United Daily News*

4 October 1999 (my translation).

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