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《國立彰化師範大學文學院學報》第八期總編序

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

《國立彰化師範大學文學院學報》，也稱《彰化師大文學院學報》，於民國 91 年由文學院首任院長創刊。之後，每年刊出一期，至民國 94 年共刊了四期各領域數十篇優質論文。本人 99 年接任第四任院長時，鑑於學術亦需喉舌，文學院基本人文哲思尤待宣揚，且改變學術研究生態的評鑑時代降臨，學院評鑑需要刊物支撐，以拓展華文世界人文學門論文發表園地，鼓吹新一代學者從事系統學科思想研究，並與台灣數十年來之顯學——理工科學——進行對話，以達相輔相成，互為勝場之效果，乃毅然決定從有限經費中撥款復刊。院務會議隨即組成編輯委員會（100 年 6 月），委員們分頭辦理業務，進行全國徵稿。之後由於院內同仁辛勤耕耘、歷任校長及學校高層大力支持，以及國內外學者之積極投稿，各項編輯業務得以順利推展。由於係半年刊，截至目前，已然出版五、六、七三期（出版日期分別為 101 年 3 月、101 年 9 月及 102 年 3 月），每期均獲佳評，稿源順利湧進，而以外稿居多。隨著這本第八期之順利出刊（102 年 9 月），即滿四期，作為連續第五期之第九期稿源無虞，刻正聘請外校審查委員審稿當中，學報今年即會向國科會申請優良學術刊物審核，編輯業務顯然又能更上一層樓。編委會認

為，學報之今日，令人欣慰，未來必定一片光明；同時也認為，刊物之發展，對本院百餘位教職員，千五百位學生之學術研究，定能產生正面影響，對國內各大學人文研究及世界華人人文學門之發展，也會有侷處一隅卻涓滴興學之貢獻。

和其他學報不一樣之處，本學報除了選刊國內外學者投稿之論文以外，尚有「總編邀稿」之設計。此一設計旨在多方認識學者，費神借將，誠意累積不同學門重要論文，最後完成介紹華文學界主要學門的重要學者為終極目標。過去三期，我們介紹的學者有耿志堅博士這位國文系的漢語語言學家，郭鳳蘭博士這位英語系的語言學與英語教學學家，黃忠慎博士這位國文系的經學家，及賴秉彥博士這位翻譯所的經濟學家與法學家。本期我們再介紹王素芬博士這位地理學家，她目前兼任地理系系主任，忙碌之餘，還能積極回應本人邀請，為第八期「總編邀稿」做出貢獻，其敬業精神，著實令人欽佩。王博士於國立臺灣大學森林學系博士班獲取學位之後，即開始其服務本校之教學與學術生涯，專長為遙感探測學、地景生態學及環境資源保育，研究方向為應用空間資訊技術進行環境變遷之相關研究。除環境相關議題之外，因任教於本院，對人文議題亦多所涉獵，故讀其論文，不但有人文關懷之本質發現，亦感受到科學與人文對話之誠意，使讀本文者，有如從事人文學門之第三類接觸。值得一提的是，本篇論文之得以完成，是透過與國立科學博物館人類學組屈慧麗主任合作，進行遙測技術和地理資訊系統輔助考古探坑挖掘的研究，目的在開啟更多空間資訊技術在考古研究上的應用，也期待新興科學技術能為古代遺址保存做出更多貢獻，其人與其文在本學報之特殊地位，不言可喻；為此，本人代表編委會向兩位學者一併致謝。

一件有意義的工作之得以順利完成，背後總是有一些無名英雄。本學報第八期之出版，一如往常，仍要繼續感謝國內外學者們之投稿，編輯委員們之提供審查委員名單，數十位外校審查委員之悉心閱讀，美術系的一凡兄及文正兄帶著學生們之美編，還有我一群認真負責而可愛的研究生，盈琇、一卿、若竹、思靜及名慧在文字編輯工作上之細心處理。一凡兄主持系務與教學創作之餘，還願擔任本期主編，思考法規，主持會議，並協助撰寫「主編的話」，亦當受我一拜。

《國立彰化師範大學文學院學報》總編

彭輝榮 謹誌



中華民國 102 年 9 月

主編的話

《國立彰化師範大學文學院學報》向以提供優秀且專精的學術交流園地為宗旨，並展現本校文學院之學術能量與品質，不但提供本院各系所教師及博士生發表研究成果之園地，更廣向校外各相關領域之專家學者徵稿，領域涵括英語、國文、地理、美術、歷史、口筆譯等相關學門，反映本院學術面向之多元性。在各方的努力之下，本學報發行至今已屆第八期，成為本校文學院促進專業成長的沃土與學術交流的平台。

本學報秉持嚴謹專業的學術精神，除院內各系之代表組成編輯委員會，更敦聘臺灣師大楊永源教授、臺灣大學何寄澎教授、建國科大周國屏教授、民俗藝術基金會董事林明德教授、彰化師大胡潔芳教授、中興大學宋德喜教授、靜宜大學曾守德教授、臺北大學陳彥豪教授等人擔任校外編輯委員，編輯與審查機制皆稱完備嚴謹，藉以把關與提升本刊之學術水準。本期共收稿17篇，特邀稿1篇。17篇收稿中含15篇外稿及2篇內稿，全送二至三位相關領域之校外審查委員，在嚴謹的審查機制下，最後總計8篇通過(兩篇為內稿)，通過率約47%，退稿率達53%。論文被刊登之難度逐年提升，顯示本學報受各學界肯定的事實。

本人非常榮幸獲文學彭院長之邀，擔任第八期主編，在校內、外編輯委員們的協助之下，終於完成任務順利出刊，並藉此對所有賜稿者、審查委員與編輯群先進們，以及行政作業襄助人員等，致上深深的謝忱。

《國立彰化師範大學文學院學報》第八期主編

美術學系教授



謹誌

中華民國 102 年 9 月

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應用遙測技術與地理資訊系統輔助考古遺址探坑抽樣試掘 之研究——以台中市國家歌劇院為例

王素芬*、屈慧麗*

摘要

考古工作中的探坑挖掘費時費力，往往趕不上都市發展與開發的腳步，使得史前遺址在還來不及發現之前已先遭受破壞，因此利用遙測技術進行大面積調查分析並推測遺址可能的分布地點，確有其必要性。本研究以遙測技術，進行考古遺址潛在地區分析，並輔以現地探坑挖掘，以了解遙測技術和地理資訊系統在輔助考古遺址探坑抽樣位置選擇的可行性。

研究過程中，由於台中都市已屬高度開發地區，對於遺址的探勘有很大的干擾，導致衛星影像分析應用受限，因此除了衛星影像之外，另以像片基本圖進行河川的判定，以確認遺址的分布和地理環境之間的關聯性，並建議可能的遺址分布線作為人工抽樣挖掘的參考地。最後配合考古專業人員的經驗，修正上述探坑抽樣建議樣線，進行現場考古挖掘及探坑抽樣分佈。

研究結果顯示史前文化選擇聚落的地點的確落在建議樣線之間，可供探坑抽樣之參考，若配合考古人員之經驗及專業判斷，可降低探坑試掘的工作量。出土遺址最豐富的探坑距抽樣建議線約 60 公尺，可能因本研究區地形環境大致平坦，但是仍有些微的地形起伏差異，且區域內東、北下層含有豐富的有機物質和較細的質地，顯示過去是一水域的沉積環境，由於黎明溝支線貫穿「公 3」基地，故可知基地經歷流水活動影響甚大，進而影響推估遺址分布位置的正確度。未來可經由舊環境資料的重建及完整遺址分布資料，提高推估遺址潛在分布地點的準確度。

關鍵詞：遙測、水系分布、考古挖掘、探坑抽樣

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Application of Remote Sensing and Geographic Information System in Archaeological Excavation and Pits Sampling: A Case Study in Taichung Metropolitan Opera House

Su-fen Wang*, Whei-lee Chu*

Abstract

Test pitting in archaeological excavation is time consuming and not keeping pace with urban development, therefore, the prehistoric sites are virtually destroyed before they are found. The technique of remote sensing can be applied to large area survey for analyzing and predicting possible site distributions. Based on the technique, this study analyzes potential site areas with the assistance of on-site test pitting. It also examines the feasibility of the technique and geological information system in determining alternative test pitting in archeological excavation.

The city of Taichung is a highly developed area which might interfere with site exploration and consequently lead to the limitation of satellite image analysis. Therefore, orthophoto base maps are included to evaluate the rivers and determine the correlation between site distributions and geographical environment. Suggestions about possible site distributions as reference for randomized manual digging. Based on archeological experts' experiences, the suggested distributing lines be revised and the on-site archeological excavation and the location of the pits sampling can be initiated.

The study results indicate that the location of the chosen prehistoric cultural settlement is within the range of suggested line sampling which can be used as a reference for trial pitting. With archaeological experts' professional judgment the workload of digging can be reduced. Possibly due to the flat terrain, the most abundant exposed site is 60 meters from the suggested sampling line. However, the slope variation of the terrain and the underground sphere on the north and the east contains rich organic materials and fine soil texture, the evidence of a sediment environment. Li-ming ditch branch stretches across the site of "public land number 3", therefore, the effects of water flowing through the area are enormous and further influence the accuracy of the predictions on site distribution. It is suggested that future study should include reconstructing information on archaic environment and complete site distribution to improve the accuracy of predicting potential site distributions.

Keywords: remote sensing, river system, archaeological excavation, pits sampling

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一、前言

由於台灣地處亞洲大陸的東南沿海，是遠古人群和文化由大陸向海洋移動的跳板之一，因此台灣的考古研究除了可以提供台灣本身的歷史資料外，對於太平洋和東南亞海島地區人類文化和歷史源流的瞭解，也具有特殊的意義。台灣的自然環境極為複雜，在很小的範圍內，具有多樣性的地形、氣候和生物區帶，是研究人類生態適應及其變異的良好地點。

台灣地區從距今兩萬年前的舊石器時代晚期開始就已經有人類居住，歷經新石器時代、金石並用與鐵器時代，其間有很多時空分佈不一的史前文化。台灣史前文化從新石器時代中期開始，逐漸適應不同生態區位而有複雜化的趨向，到新石器時代晚期和其後的金屬器與金石並用時代，地區性文化十分龐雜，當為日後台灣原住民複雜的源起。台灣本島周緣的平地或海拔較低的丘陵台地是史前台灣人類活動較頻繁的地區，北自台灣最北端的三芝、金山及基隆社寮島，南至恆春半島鵝鑾鼻燈塔，東起東海岸全線，西至西部海濱皆可見遺址。除台灣本島之外，澎湖諸島、小琉球、綠島及蘭嶼也都發現有史前遺址，顯見台灣地區從古至今都是人類樂於居住之地。

台灣地區遺址的空間分佈隨著地區不同，遺址發現的頻率也有變化。例如 2000 公尺以上的高山和古代河流所經的河床地區不適用於人類居住活動，遺址出現頻率低，年代較晚的沖積平原、晚近形成的海埔新生地較不可能有舊石器時期遺址。再者遭受現代土地利用開發的地區，遺址也易受破壞而不可見。近年隨著都市的快速發展，土地的大量開發，埋藏於地底的古代遺址，往往在土地開發的過程中受到破壞，為保存珍貴的遺址，應加速遺址調查，以便能在土地開發之前先行挖掘並加以保存。考古遺址有如一座保存過去人類生活資料的檔案庫，雖然其中的檔案內容不見得完整，有些甚至殘破不堪，但經由考古學家仔細整理、分類和排比，再將各項線索做有系統的串連和分析，仍能將過去人類的生活情況相當幅度地呈現出來。這些出自地下的史料，都是有關古代人類歷史文化的具體證據。而遺址一旦遭受破壞，不但其中的遺物和遺跡會受到損害，更重要的是它們之間原來存在的脈絡關係也會隨之消失，使後人永遠失去可藉以瞭解古代文化的線索（臧振華，1999）。

然而遺址調查若只依靠探坑試掘，不僅費時費力，而且並非所有土地所有人皆能接受土地的開挖，若引發衝突不但考古研究受阻，更增加許多社會成本。此外，有關考古田野調查是透過地區調查展開對整個區域的研究工作，方法包括地表踏勘，但結果可能受到覆蓋差異、受損變化率及因耕作造成考古遺物移動之影響。因為逐漸意識到考古發掘的高成本和破壞性，許多日新月異的調查技術不但可以用來發現遺址、遺跡，亦可於發現後，輔助學者對遺址進行選擇性發掘。例如透過地理物理學技巧，利用電流穿透阻力看帶磁率（magnetic susceptibility）土內氧化鐵出現之程度，一般泥土如有考古活動干擾，氧化鐵的磁率會改變。考古活動引起之磁場變化雖很弱，但可使用適宜的儀器精確測出。考古特徵的表土（topsoil）富含磁化的氧化鐵，次土（subsoil）含氧化鐵較少，所以考古特徵上之表土與次土會與基地附近的土地有些微的差異。一般情況它可以找出溝渠、爐、火塘、燒窯、燃料、陶廢土、磚、磁磚、燒過物質及石頭之位置，有時也可以找到柱洞、小孔及排水溝(Clark, 1996)。

遙感探測也是發現遺址的方法之一，遙感探測係利用某種系統裝置，在不直接接觸目標物或現象的情況下，收集有關電磁波等輻射能量的資訊，透過光譜分析和識別，萃取有關目標物或現象的特徵資訊。遙測技術可從空中向地面取得大面積的資訊，和傳統地面調查相較，能節省許多調查的人力、物力與時間。此外，遙測技術在資料收集的過程中不需要直接接觸目標物，所以可以減少對研究對象的干擾，因此在資源調查上的應用十分普遍。遙測應用於考古遺址的相關研究，大多著重在尋找大面積明顯的遺址，例如沙漠中的金字塔、西域的古代城池或是特殊建物如兵馬俑墓葬等。如果遺址被其他地物覆蓋的情況不嚴重，亦可以從地面上顯示的幾何圖形來分辨埋在地下的遺跡。透過遙測技術，有時可以得到在地面調查中不易察覺的現象，如土壤、地形的細微差別，不同季節中植物生長狀態的對比，分析對比各種現象的差別，就有可能找到埋藏在地下的遺址或遺物。但不同年、日拍的照片或影像可能會不一樣，要表現考古特徵需要適宜的地表、農作、氣候、時間及拍攝角度。它是有系統調查的充份條件但不是必要條件，亦即出現了特徵代表可能有遺址，但沒出現特徵不代表一定沒有(Gaffney, C., Gater, J., 1993)。

有鑑於此，本研究旨在利用航空照片資料及衛星影像，瞭解台中地區考古遺址分布的地理環境特性，並分析七期重劃區內考古遺址與國家歌劇院在空間分布的關連性，期能為考古試掘的方式，提供基地探坑開挖前試掘抽樣之參考。此外，本研究透過現地實際考古探坑挖掘，瞭解遙測在考古學應用的潛力與限制，並提出後續相關研究之建議。

二、 研究試區、材料及方法

(一) 研究試掘區介紹

在台中市發現的惠來遺址位於大肚台地以西的台中盆地，盆地內有旱溪、綠川、麻園頭溪、筏子溪等溪流，由北向南注入大肚溪後出海；史前人多近河、海而居，台中盆地內的史前聚落即點狀分布於上述溪流兩側，估計範圍達 15 萬公頃。惠來遺址的出土物中，人工遺物包含陶器、石器、玉器及琉璃珠，自然遺存包括獸骨(鹿骨、野兔骨、野豬骨、狗獾骨、食蟹獾骨、鯰魚骨)，和植物(苦楝、梅子、梗稻、圓果青剛櫟、油葉石櫟)等。從遺物器型比對分析和科學定年結果得知，惠來遺址包含牛罵頭文化(4500~3500 BP)、營埔文化(3500~2000 BP)和番仔園文化(2000~400 BP)(何傳坤、屈慧麗，2005)。

惠來遺址，是一個包含牛罵頭、營埔及番仔園三文化層的重要考古遺址。牛罵頭文化層約在新石器時代中期，是目前中部地區發現最早的一層文化，陶器以繩紋紅陶為主，營埔文化層是繼牛罵頭文化之後出現的以灰黑陶為代表的文化，番仔園文化層是距今約 2000 至 400 年間，主要分佈在大肚、八卦台地的史前文化，當時陶器花紋以波浪與刺點為主，葬俗特徵是俯身葬，並已進入鐵器時代。綜合遺物與遺存證據，證實台中市至少經歷過新石器時代和鐵器時代，先民的生計活動從採集游獵到農耕。在與西班牙、荷蘭及漢人接觸之前，台灣缺乏詳細的文獻記載，惠來遺址的發現，使台中市歷史一舉向前推 4,000 年，其重要性不言可喻。

(二) 研究材料

台灣現有的遙測資料可以分成航空照片、空載多譜掃描資料、衛星資料等三大類，其中以航空照片解析度最好，但照片缺乏不同光譜反射的資料，所得資訊有限。

衛星資料的解析度雖較差，卻有不同光譜的反射資料，空載多譜掃描是將多譜掃描器載於飛機之上，由於航高較衛星低了許多，相對的解析度提高不少，並同時具有多光譜的特性，原為較理想的研究工具，然而空載多譜掃描資料為任務型拍攝資料，多用於農田或災害調查。經向農委會林務局農林航空測量所查詢，台中市並無相關資料，故本研究採用像片基本圖配合衛星影像嘗試克服空間解析度和光譜解析度的問題。

本研究選用的 SPOT 衛星影像解析度為 12.5 公尺，具有三個波段，分別是綠光、紅光和紅外光。而像片基本圖原始資料來自於航空照片經正射化之後所製成，比例尺為 1/5000。

（三）研究方法

（四）影像判讀及分析

台中惠來遺址之前所發現的遺物，為距今約三千年的牛罵頭時期繩紋陶及距今約一千多年的番仔園時期灰黑陶器等(屈慧麗、何傳坤 2008)，但出土遺物多為不完整之殘件，因為 SPOT 衛星影像的解析度經處理後為 12.5 公尺，比較適於大規模的遺址或地表自然情況的異常(如：植生變化、水系改向)，對於直接發現遺址遺物的可能性不高，故本研究使用衛星影像除了肉眼判釋之外，另進行植生指標分析，以了解植生分布情形。

綠色植物有吸收藍光、紅光並反射綠光，因此健康植物會呈現綠色，同時健康植物具有強烈反射紅外光之特性，雖不能為肉眼所見，但可透過儀器接收。SPOT 衛星影像感測器所接收的波段為綠光、紅光及近紅外光三個波段，故可用於植物資源之探測。常態化差異植生指標(normalized difference vegetation index, NDVI)常被用來分析評估綠色植物之光合作用、植物之覆蓋率及生物量等。其計算公式為： $NDVI = (IR - R) / (IR + R)$ ，其中 IR 為近紅外光輻射值，R 為紅光輻射值，NDVI 之值域介於 -1 至 +1 間，指數愈大，代表綠色生物量愈多。

1. 遺址與水系套疊分析

水為史前人類生活的基本要件，為了解水系分布與史前遺址分布之間的相關性，本研究先利用 GIS 標定六個台中市之前發現遺址的地區(惠來遺址、新市政中心(原古根漢基地)、台中公園、軍功公墓、楓樹里與鎮平里等)，再套疊台中市 1/1000 水系圖，以了解出土考古遺址與水系之間的關連性，此外，亦透過像片基本圖了解基地與水系的關係。

由於古水路可能因地形變遷或人為開發而有所改變或破壞，故擬分析七期重劃區附近的水路分布，並找出可能的水路與現有遺址的關聯性，以供人工探坑挖掘選點之參考。

2. 探坑試掘

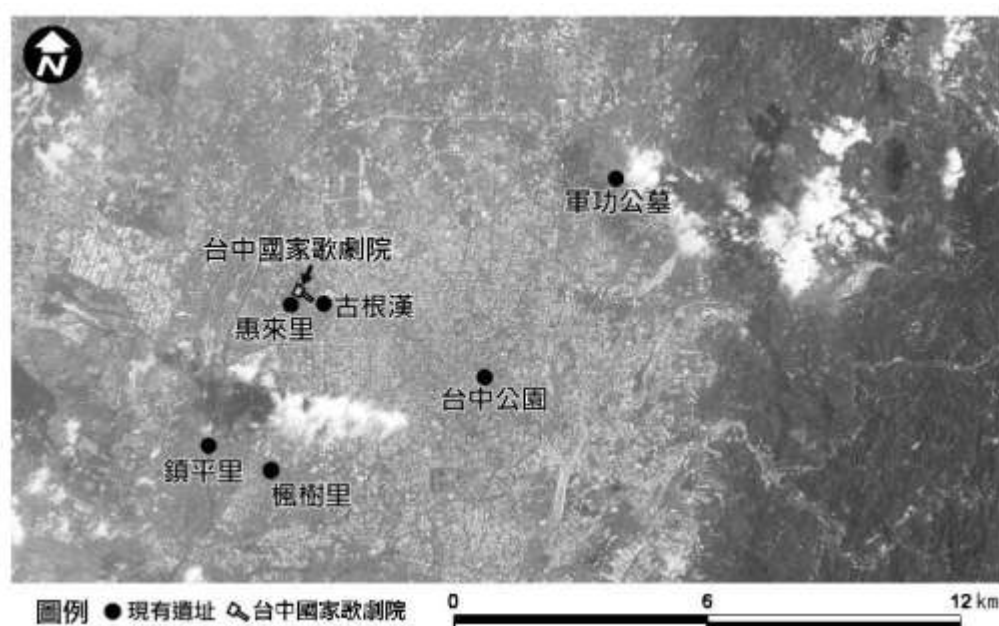
台中市國家歌劇院基地位於台中市西屯區惠來里惠民路、惠來路二段、市政北六路及市政北二路之間，並向東南方延伸至惠中路一段及市政北三路、五路，基地總面積為 57,685.78 m²。由於國家歌劇院基地位於第七期重劃區。2003 年科博館考古團隊於惠民段 144 號抵費地發掘牛罵頭與番仔園文化層的遺物和遺跡，之後所試掘過的區域也包括惠來停車場及新市政中心等基地，皆發現史前文化遺物，因此本基地位於 144 號抵費地和新市政中心之間，屬惠來遺址的範圍內。

依據 2005 年頒佈的《文化資產保存法》第 51 條「遺址所在地都市計畫之訂定或變更，應先徵求主管機關之意見。政府機關策定重大營建工程計畫時，不得妨礙遺址之保存及維護，並應先調查工程地區有無遺址或疑似遺址；如有發見，應即通報主管機關依第四十條審查程序辦理。」因此，按照文化資產保存法的程序，應先調查該地區是否有疑似遺址或遺址，如發現遺址或疑似遺址，則向文化資產主管機關提報，然後由文化資產主管機關進行審議後決定是否進行指定，或其它後續處理之方式。因此歌劇院基地施工前依文資法之規定，2007 年委託科博館進行調查及試掘以減低工程對遺址的破壞及影響。

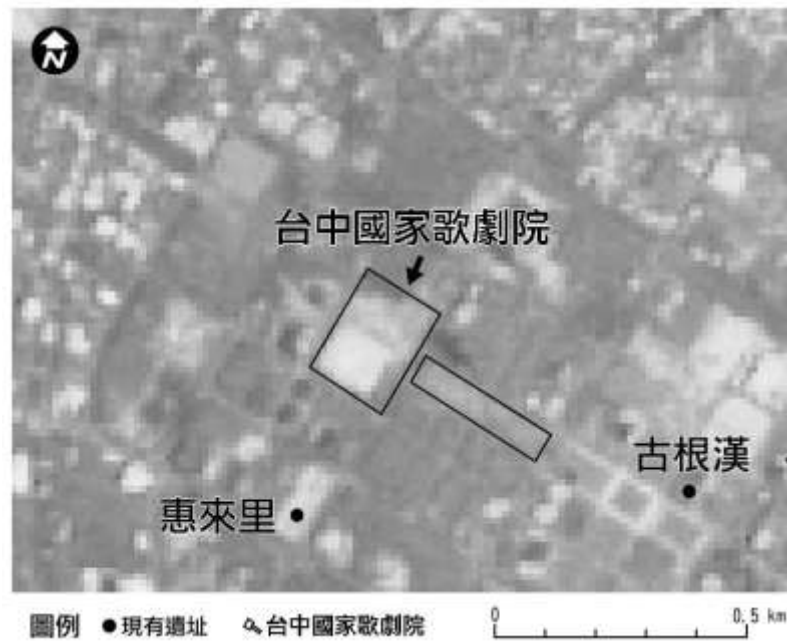
三、 影像分析結果

（一）影像判釋及相關遺址位置

本研究以民國 89 年 SPOT 衛星影像進行基地判釋，該基地在當時已經經過人為整地，原有地況已遭破壞，如圖一所示，深色部份表示植生，色調較亮的部份表示人工建物。圖二係台中市七期重劃區現有遺址(黑點處)與國家歌劇院(黑框處)位置圖，由圖可知在國家歌劇院附近曾有遺址出土。



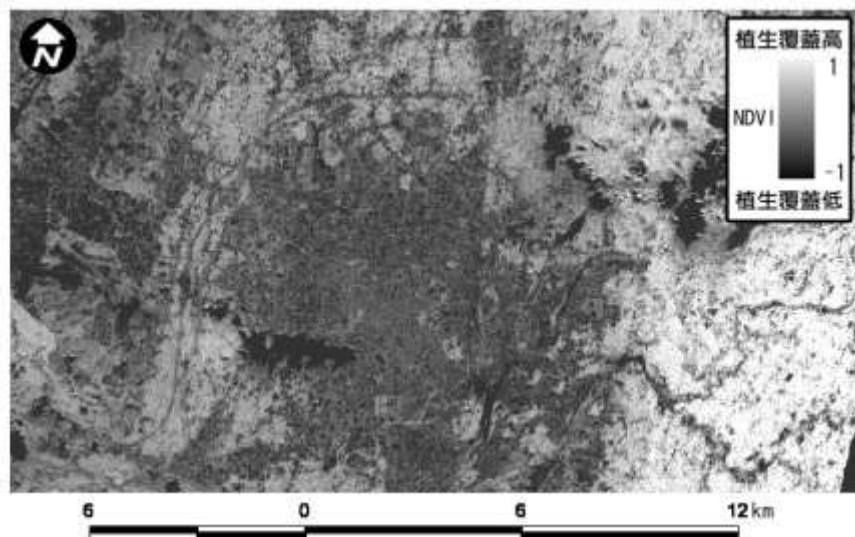
圖一：89 年台中市衛星影像與部份現有遺址發現處



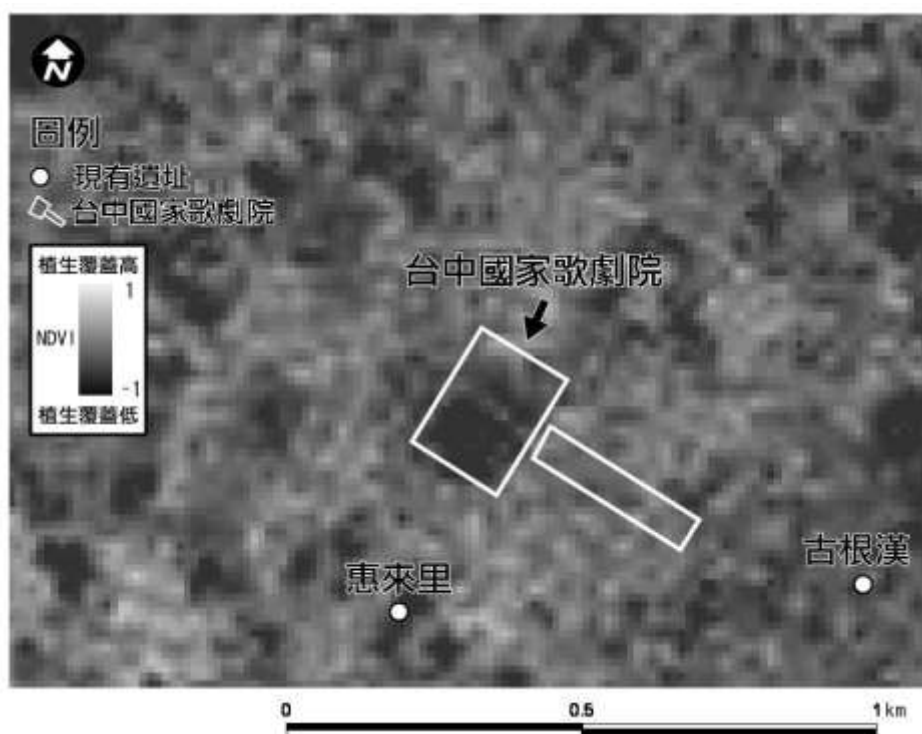
圖二：國家歌劇院預定地衛星影像與七期重劃區現有遺址位置

(二) 植生指標與水系分析

圖三是台中市植生指標計算的結果，圖四則是預定地附近的植生指標計算結果，暗色調表示非植生地區，色調愈亮者，表示植生生長狀況愈好，從圖三、圖四可以看出台中市的土地利用大多是人工建築，基地附近植生覆蓋情況不佳，且由於高度開發，已不易由植生生長情形判斷地表下的狀況。

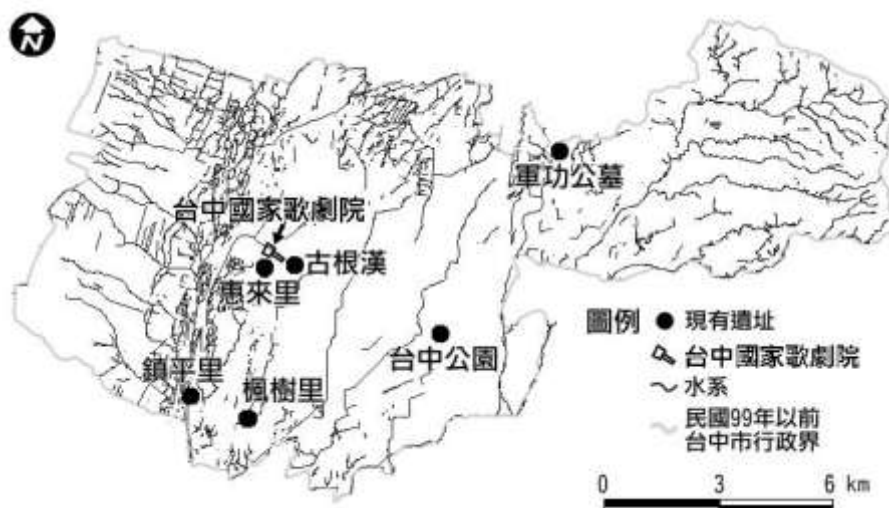


圖三：台中地區植生指標分布圖



圖四：預定地附近植生指標分布圖

由於地表變遷快速，歷史資料保存不易，相較之下，水系的變化量小相對較小，故本研究以水系分布現況做為推測遺址可能分布地點之參考。圖五為台中市水系分布狀況，配合台中市過去發現遺址的部份地區來看可以發現，這些遺址出土的位置附近都有水系分布，由於遺址出土有時分布廣泛，故本研究係以大概位置進行標定及圖面量測。初步量測結果，遺址與水系之間的最近距離都在 500 公之內。



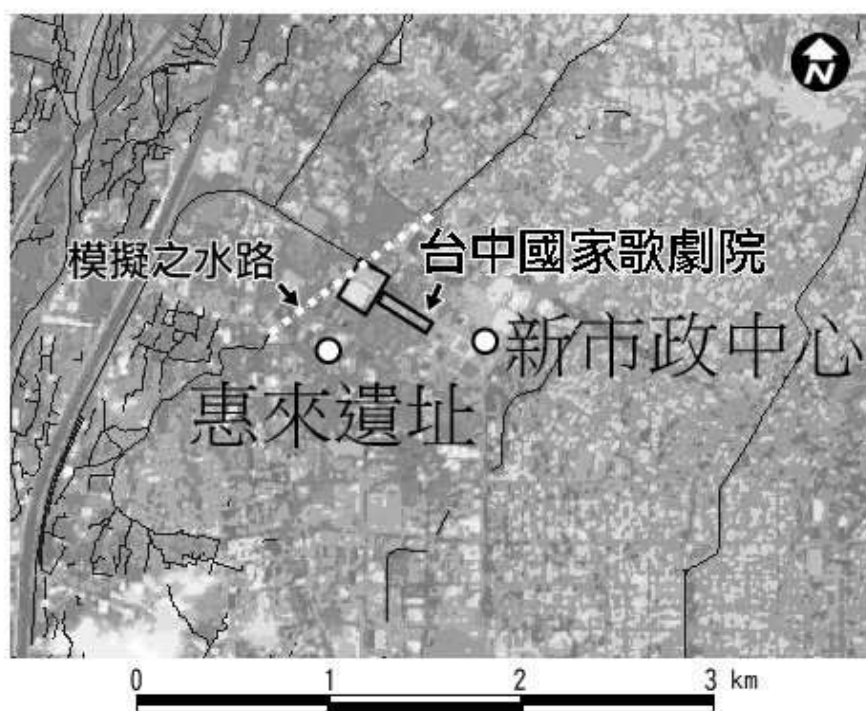
圖五：台中市水系分布與部份現有遺址發現處

從圖五可以看出水系不連續的狀況，可能是在台中市都市發展的過程中，對水系造成的改變，其中七期重劃區附近有一水路不連續狀況出現，該水路原有呈東北西南走向，止於中港路以北，在重劃區內中斷後又於市政路以南出現，故可推測該水路因都市發展而受到破壞。研判該水道應為同一水路，故進行直線連接（如圖六白色虛線部份）。

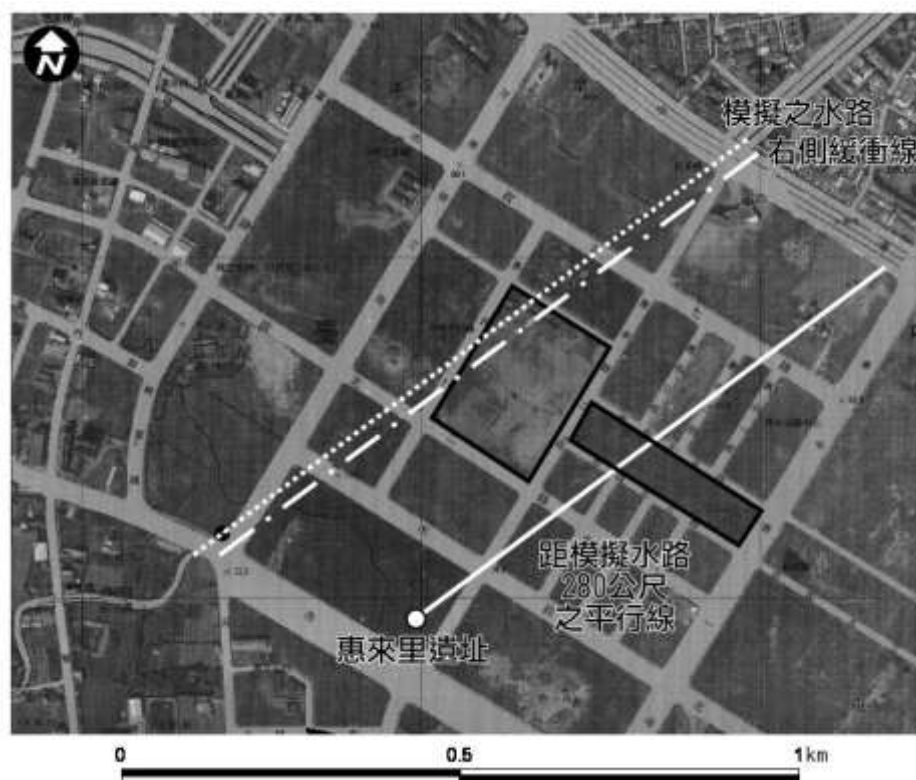
以生活型態推估，遺址應有漁獵生活相關器物遺留或遭流水沖積於河岸附近，此外由圖七可看出該模擬線段通過市政路與河南路口，經查惠來遺址在該地點有一出土處，故初步研判該模擬線為遺物存在的可能地區。

若考慮河川改道及水道模擬之誤差，應於模擬水道二側加上緩衝地帶，經圖面量測該可能水道為 20 公尺寬，遂以 20 公尺劃設緩衝線，其中水道左側的緩衝線已不屬於預定地範圍，故僅標示右側緩衝線(如圖七白色長虛線所示)，建議於模擬水道和緩衝線等二條虛線與預定地交會的部份輔以人工挖掘。

此外，該模擬線距惠來停車場的遺址出土處直線距離約 280 公尺，故以 280 公尺的距離做模擬線的平行線(如圖七白色實線部份)，該平行線可視為人類活動的範圍線，與預定地交會的部份亦建議輔以人工挖掘。



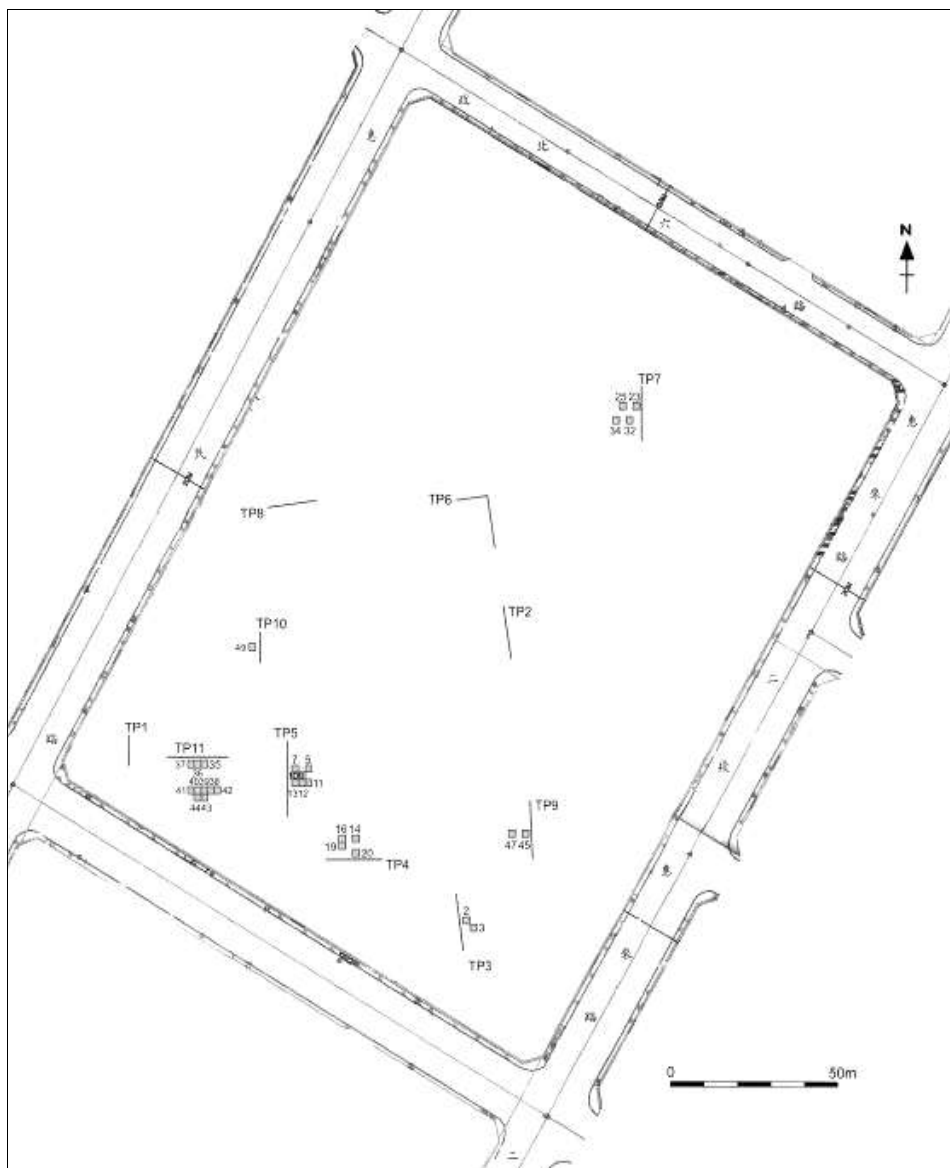
圖六：水路模擬



圖七：探坑抽樣建議樣線

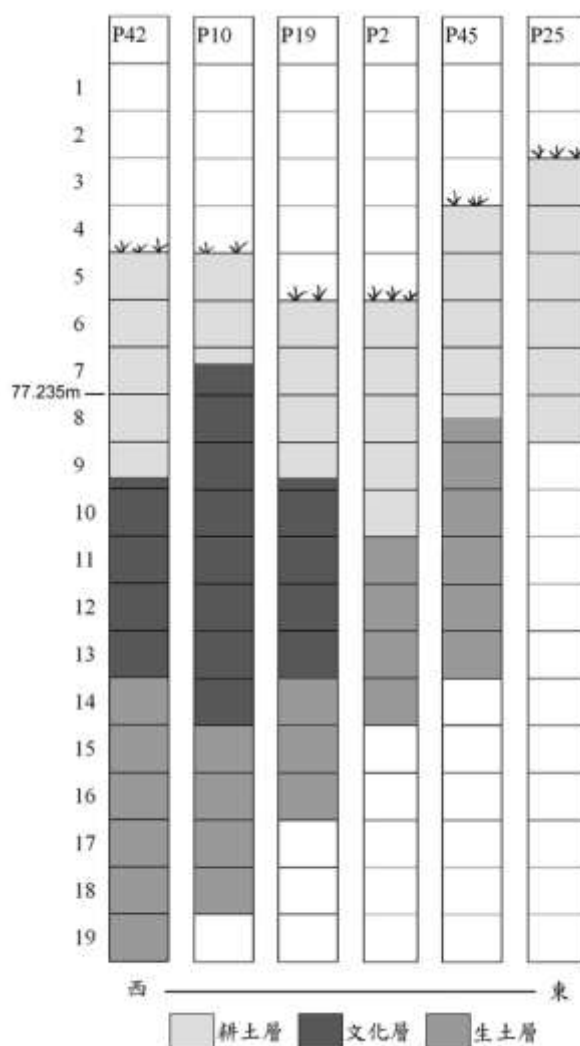
四、 台中市惠來遺址國家歌劇院試掘結果

本研究於建議樣線繪製完成後，配合考古專業人員的經驗，修正上述探坑抽樣建議樣線，進行現場開挖，在「公 3」地中間、西、東、北及南側四個區先以怪手探測 11 個約 10 米長的探溝，其中靠西南角的 TP4 與 TP5 皆出現文化層及史前陶片，接著再抽樣試掘 30 個探坑，其分佈位置如（圖八）。



圖八：國家歌劇院基地試掘探溝及探坑分佈圖

基地由北往南的抽樣過程中，6 個抽樣探坑試掘的地層堆積情形，遺物分佈以西南探坑出現較多，文化層出現在 P10、P19、P42。



圖九：6 個抽樣探坑層位分佈圖

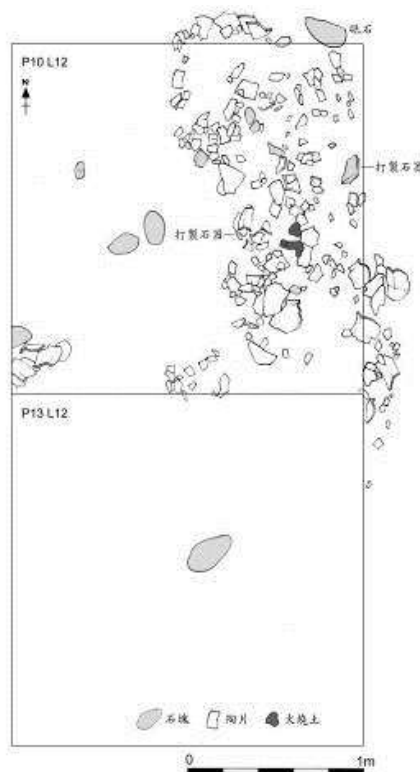
(一) P2 探坑

在挖土機挖掘 TP3 東側定坑 P1 至 P4，但僅抽樣 P2、P3 兩坑，兩者為西北、東南對角坑，P2 面積 2m×2m、方向正南北，耕土層為 L6(L6 結束面海拔高度為 77.335 公尺)。

1. **耕土層**：L6、L7 土色為灰色(N 4/0)，土質黏土，出現 2 件陶片。L8 土色灰(Hue10Y3/1)，至底層時轉灰黃，開始出現硬陶、瓷片，碳末少許。沒有明顯的文化層，遺物少量、無規則性。L9 土色仍為淺灰(Hue 10Y 3/1)，出土一件硬陶口緣、捲唇為近代漢人遺物。L10 土色灰略帶黃色風化斑紋，土質黏度略低偏砂質。
2. **生土、礫石層**：L11 漸出現黑色土質黏，無遺物。L12 數顆礫石出現，土中仍可見有機雜物。L13、L14 土色深黑，土質濕軟而黏，開始出現較多的礫石，東南側的 P3、L13 仍未出現礫石。礫石大小不均，大者約 20cm×12cm，中者約 6cm×4cm，大多為圓、橢圓形中、巨礫，無明顯覆瓦方向。坑內礫石出現水平是西高東低，北高南低。最後以挖土機將礫石層挖深，但再挖深 2 米仍為礫石而停止探測。根據富國技術公司 2007 年的鑽孔記錄，P2 附近為編號 BH-17 的鑽孔，地下 1.8 公尺是回填土，從 3 公尺以下出現的礫石層可達 30 公尺。

(二) P10 探坑

1. 耕土層：與 P9 相似，L5、6 土色灰(10Y 4/1)，無遺物。L7 土色略轉深黃褐(2.5YR 4/2)，開始出現細碎的灰褐泥質陶。
2. 文化層：L8 黃褐壤土質硬(7.5YR 4/2)，遺物增多，可見較大的灰褐泥質陶口緣及腹片集中在北區，並向東側 P9 延伸。L9 壤土中顆粒狀鐵錳結核物增多，L10 陶片集中在北區向東延伸，有不少紅燒土出現。L11 有石錘、砥石出現。L12 土色黑灰(10YR 3/1)，以本坑為主現象向北延伸 30 公分，向東延伸 45 公分，向南延伸 50 公分，以距今約一千年的番仔園時期陶片為主。P9 西、P10 東、P13 北的現象合稱 F1 灰坑(圖十)。



圖十：P10L12 出現番仔園文化灰坑現象

F1 灰坑範圍東西約 2 公尺、南北約 2.8 公尺、深達 90 公分，L13 出土碳末、紅燒土及苦楝，較特別的是有數件繩紋陶碎片夾雜於灰黑陶片文化層中。P9 西、P10 東、P12 西、P13 北的灰坑在 L13 以下採自然層位法繼續挖深至 L17。底層灰黑泥質陶密集，多有白色泥狀陶衣，此外亦出土大量條狀碳塊。在 L17、L18 有紡輪、炭化的苦楝(*Melia azedarach* L.)、石托、石鋤等出土。P10L12 灰坑所收集的炭末標本經美國 Beta 實驗室碳十四年代測定，年代為 1380 ± 40 BP；校正年代 1340-1270 yr BP、P10L17 碳十四年代 1590 ± 40 BP；校正年代 1570-1370 yr BP；亦即年代分佈約距今 1300 至 1600 年之間。

(三) P19 探坑

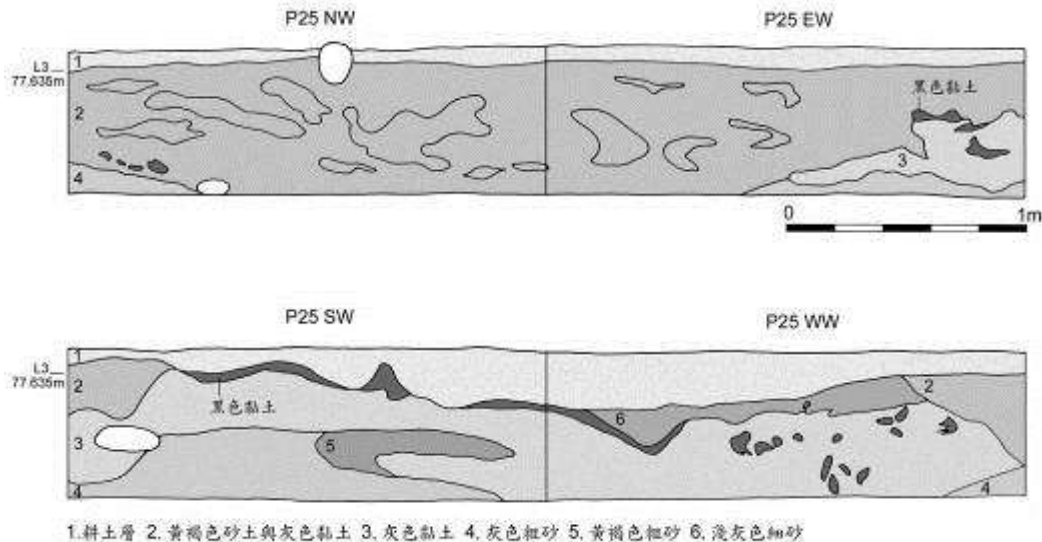
1. 耕土層：L6 至 L8 土色灰褐(7.5YR 4/1)，壤土質，僅數片硬磚、硬瓷出土，L9 土色轉淡黃褐(7.5Y 3/1)。

2.文化層：L10 壤土色淺灰(10YR 3/1)，出現數片繩紋陶及礫石。L11 黃褐土層夾灰黏土，黏土中有粗繩紋陶片及三連杯殘件。L12 土色黃褐(10YR 4/2)，東北角聚集有較多的紅色粗砂陶包括三連杯、盆、罐、鉢形器等。石器包括石錘、砥石、石片器、邊刃器及石材等。L13 仍是黃褐壤土，遺物減少，全為細碎繩紋陶，西北角有淺盆器，腹近口緣處有突脊，屬於距今約三千年的牛罵頭時期遺物。

3.生土層：L14、L15 土色灰褐(10YR 4/2)，無遺物，以下停止發掘。

(四) P25 探坑

1.砂土層：L3、L4 土色灰(10YR 4/1)，半砂質略黏；東南角為灰黑(5Y 4/1)黏土，無遺物，L3 結束面海拔高度為 77.635 公尺。L5 全為黏土，底層結束時開始出現砂質土。L6、L7 北及西黏土色淺灰(N 3/0)，東南砂土色灰(5Y 3/1)，無遺物。L8 北半坑是黏土色灰(N 4/0)，仍有水溝的味道應是現代的土層，南半坑砂土色灰(10YR 4/1)，無遺物。與右側 P23L8 粗砂生土層比較，本層仍屬擾亂。在西牆距 L8 結束面六公分處一木碳標本測年，年代為 $280 \pm 100\text{BP}$ (台大地質系 C14 定年實驗室)。據富國技公司的鑽探記錄，P25 鄰近的 TP-1 鑽孔，地表下 2.5 公尺是回填土，其下 1.7 公尺為灰砂、黏土，其下 1.6 公尺是礫石層。



圖十一：P25 北、東牆剖面圖（上）、P23 南、西牆剖面圖（下）

(五) P45 探坑

位於「公3」號地東側，TP9 地表下 160 公分為擾亂回填物，其下約 20 公分的耕土，接著 60 公分厚灰河砂。TP9 的西側定坑 P42 至 P50，抽樣挖 P45、P47，P45 位於 P47 的東側。

1.表土層：L4 至 L6 土質是壤土與砂土混合，西側灰(10Y 4/1)東側深灰(N 4/0)，有硬陶、玻璃等現代物。

2.生土、礫石層：L7 靠東是砂土混雜黑色黏土，靠西牆是沖積灰河砂土，一顆徑約 40 公分的大礫石出現在西南角。L8、L9 靠北為灰白色軟質黏土，靠南土色暗灰(10YR 3/1)土質稍黏，無遺物。L10 大礫石取出壓在下面有許多植物纖維，L11、L12 仍是灰色粗砂，L13 出現 20 至 30 公分礫石，礫石排列的方向由北往南有覆瓦狀結構，因此推測水流方向是由北往南。

五、 結論與建議

（一） 結論

考古田野調查在傳統上被認為是對遺址的發現與發掘，至今遺址的探坑或探溝發掘仍極為重要，但隨著科技的日新月異發展，現今對史前人居住在何地的重點，已可擴展到在整個區域遺存的調查。本研究利用遙測和空間資訊的技術找出建議樣線後配合探坑抽樣的開挖，發現史前人選擇聚落的地點的確在樣線之間，尤其遺物較為豐富的位置約距離建議樣線右方 60 公尺處。

本基地地形環境大致平坦，但是仍有些微的地形起伏差異。由黎明溝支線貫穿「公 3」基地顯示基地經歷流水活動影響甚大，東、北下層含有豐富的有機物質和較細的質地，顯示過去是一水域的沉積環境，其中 P25 探坑碳標本測年顯示在三百年前仍有氾濫。南側地層的古土壤層的厚度較大，但其化育程度卻都較小，在短暫露出水面後，又被覆以沉積物，開始現代土壤的化育。歌劇院預定地四周出現多處被人為活動顯著改造的天然排水道，這些水道的原始水路如筏仔溪支流穿越基地鄰近地區，故鄰近台中盆地影響惠來遺址較多的應是筏仔溪支流及其小支流。盆地中的大河流有源自於雪山山脈之大甲溪、大肚溪、烏溪，小河流則源自於鄰近的麓山帶與大肚台地。歌劇院預定地延伸到朝富路、河南路、市政路和市政北二路之間的 144 號抵費地，可能在史前就是一個連續分佈的洪泛堆積高地，顯示為一以河系為主的空間網絡。

（二） 建議

近年來國際上利用遙測影像判釋並發現考古遺址的應用案例越來越多，為遙測影像開拓新的應用價值。然因地形地貌與土地利用的快速變化，若能採用越早期的遙測影像，越有機會觀察到貼近真實考古遺址現場的地貌。在影像選用上，高光譜遙測是目前遙測技術發展的一大重點，高光譜具有從可見光到熱紅外光的一系列波段，對資訊較微弱的地面及地下遺跡的識別能力高於一般的光學遙測技術。此外，在空間解析度方面，目前可以獲取較高空間解析度影像的遙測衛星日益增加，多光譜波段的解析度甚至可高達 1 公尺，這樣的解析度對古代聚落址、城址、房址、大型墓葬等所引起的土壤或植被異常識別的可能性較高。建議未來相關研究可選用波段數較多、空間解度較高的遙測影像，並配合史前環境資料的重建，以提高遙測技術在考古學上的應用性。

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Enhancing Vocabulary Acquisition in the Language Classroom Using Vocabulary Notebooks

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Abstract

The purpose of this study was to investigate how students respond to a vocabulary notebook assignment to understand their approaches to learning vocabulary. The data were gathered from 152 English as a Foreign Language (EFL) learners using self-report questionnaires. The study highlights the importance of exposing language learners to a variety of learning techniques and providing them with guidance on how to use those techniques during the learning process. The investigation reveals that learning vocabulary by keeping vocabulary notebooks is helpful to students and effective at promoting skills necessary for learner autonomy. Students reported that this learning approach improved their English learning skills. These students subsequently became more attentive to their own learning, spent more time and effort in that learning, and developed better study habits.

Keywords: EFL, vocabulary, learning strategy, notebook

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運用單字筆記本學習英語字彙

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摘要

此研究論文主要在探討以使用單字筆記本之學習方法，增進學生的字彙學習和促進獨立學習。152 個大學生參與這項研究。在大學的大一英文課程中，於歷時一年的期間，學生依據教師之指導，記錄單字於筆記本中，並配合使用相關之學習策略，有效的使用單字筆記本去學習生字。於第二次學期結束時，研究者以問卷方式調查學生學習情形、學習心得以及對此學習方式的看法。研究結果顯示，實施使用單字筆記本有其價值與重要性。絕大多數的學生表示，當從事於這項學習方式時，他們付出更多的努力，也更有效率的學習英語。此外，大多數學生表示考慮將來會繼續使用類似方法去學習單字。許多學生反映，相較於先前，他們學習的方法有所改變，讓學習效果更好，許多學生亦表示自己在語言能力上有所增進。對此學習方法多數學生持正面看法，也有部分學生對這此單字作業與學習方式提出建議。

關鍵詞：外語學習、字彙、學習策略、筆記本

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Introduction

Researchers have found that lexical competence is an important component of second/foreign language learning (e.g., Astika, 1993; Knight, 1994; Huang, 2003; Laufer, 1998; Laufer & Nation, 1999; Laufer & Ravenhorst-Kalovski, 2010; Meara, 2009). To ensure that English as a Second/Foreign Language (ESL/EFL) students become successful learners, researchers have attempted to seek effective ways of fostering vocabulary acquisition with the ultimate goal to help students learn how to acquire vocabulary on their own. One factor that contributes to independence in vocabulary acquisition is to assist learners in developing appropriate learning strategies; as empirical evidence has shown, this assistance is key in promoting independence in vocabulary learning (Buehl, 2009; Koenig, 2010; Nation, 2001; Takač, 2008).

Previous research has demonstrated a positive connection between the use of various learning strategies and success in language learning. Researchers have found that successful learners use a variety of vocabulary learning strategies (Ahmed, 1989; Fan, 2003; Gu & Johnson, 1996; Kojic-Sabo & Lightbown, 1999; Lawson & Hogben, 1996; Sanaoui, 1995); furthermore, successful learners use these strategies more frequently (Ahmed, 1989; Kojic-Sabo & Lightbown, 1999; Lawson & Hogben, 1996; Yeh & Wang, 2004) and more elaborately (Ahmed, 1989; Gu & Johnson, 1996; Kojic-Sabo & Lightbown, 1999) and are aware of their strategy use (Ahmed, 1989; Sanaoui, 1995).

A large body of research further supports the positive effects of strategy training (Chamot & Kupper, 1989; Cohen, 1990; Huang, 2002; Mizumoto & Takeuchi, 2009; O'Malley & Chamot, 1990; Oxford, 1990; Oxford, Crookall, Cohen, Lavine, Nyikos, & Sutter, 1990). To understand how learners acquire vocabulary, researchers (e.g., Gu & Johnson, 1996; Nation, 2001; Sanaoui, 1995; Schmitt, 1997) have investigated the specific strategies that learners apply as they acquire vocabulary with the goal of exploring new ways of empowering language learners to be more effective in expanding their vocabulary. Among these various vocabulary learning strategies, keeping records of unfamiliar words was found to be crucial in the vocabulary learning process (Carroll & Mordaunt, 1991; Cohen, 1990; Gairns & Redman, 1986; Lewis, 2000; McCarthy, 1990; Nation, 2001).

This study addresses one strategy for more effective vocabulary learning: vocabulary notebooks. The use of vocabulary notebooks was incorporated into a language curriculum to investigate their influences on student learning habits and explore student opinions on this approach. This study reveals the aspects of word knowledge that students attend to while keeping a vocabulary notebook as well as student needs and expectations with regard to the assignment.

Literature Review

Numerous researchers (e.g., McCarthy, 1990; Nation, 2001, 2005; Nation & Waring, 1997; Schmitt & Schmitt, 1995; Walters & Bozkurt, 2009) have noted the importance of language learners keeping personal written records of new words in the form of word lists, word cards, or notebooks. Such records commonly include the unfamiliar words, their meanings, and their L1 translations or L2 synonyms; they may also include other types of word knowledge, such as phonetic transcription and part of speech. To optimize functions of the vocabulary learning tool, Schmitt & Schmitt (1995) suggested including multiple dimensions of word knowledge about the word in each written record.

Vocabulary notebooks provide learners with opportunities for repeated exposure to

target words and other related lexical knowledge. This single vocabulary learning strategy may also involve the combined use of other learning strategies, including rehearsal, dictionary, and self-regulation strategies. Learners take responsibility for their own learning by utilizing various strategies when compiling vocabulary notebooks. Schmitt (2000) and others (e.g., Fowle, 2002; McCarthy, 1990) have acknowledged the potential in developing learner autonomy through promoting self-directed and self-regulated learning.

Another strength of maintaining vocabulary notebooks lies in its potential to meet the diverse needs of all learners and support different learning styles. The learning task is designed to be flexible to accommodate individual needs. Several researchers (e.g., Kramersch, 1979; McCarthy, 1990; Nation, 2005)) have stressed the importance of addressing students' individual differences and preferences by giving them the freedom to make their own vocabulary learning decisions when acquiring vocabulary; they have suggested having students choose words that match their proficiency levels, learning goals, and personal interests. When learners are allowed to make their own learning choices and to study at their own pace, learning becomes even more meaningful.

In support of this learning method, there are a number of practical and theoretical issues to consider. For example, Carroll and Mordaunt (1991), Cohen (1990), and Kramersch (1979) suggest using word cards or vocabulary notebooks (either loose-leaf or index card binders) to select words and organize learning materials based on the learner's own needs. Schmitt and Schmitt (1995) discuss the fundamental theories of memory and vocabulary acquisition and provide pedagogical guidelines for integrating the use of vocabulary notebooks into classroom activities. In addition to suggesting ways to organize vocabulary notebooks, the researchers describe effective techniques to enrich learners' word knowledge by repeatedly exposing learners to the target words and reviewing learned vocabulary at increasingly longer intervals. Important strategies for practicing include the following: learning words from the same word family; learning synonyms and antonyms; creating semantic maps; learning collocations; and studying common prefixes, roots, and suffixes (e.g., Cohen, 1990; Gairns & Redman, 1986; McCarthy, 1990; Nation, 1990; Sökmen, 1997).

Vocabulary knowledge, in both breadth and depth aspects, is critically important in language learning (Meara, 2009; Qian, 2002). The depth, or quality, of vocabulary knowledge refers to how well one knows a word (Meara, 2005; Read, 2000). It is generally acknowledged that knowing a word entails an understanding of multiple aspects of the word. To address the complexity of the word knowledge, several researchers have attempted to identify the aspects of what is involved in comprehending a word (e.g., Nagy & Scott, 2000; Nation, 1990, 2001; Richards, 1976). According to Nation (2001), knowing a word requires understanding its form, meaning, and use. Nagy and Scott (2000) also identify five aspects of vocabulary knowledge that indicate the complexity of word learning: incrementality, multidimensionality, polysemy, interrelatedness, and heterogeneity. These components of word acquisition are considered important in vocabulary learning. As Schmitt (2000) asserts, word knowledge is essential for effective use of language in various contexts. Although learning vocabulary via word cards cannot help students learn every aspect of word knowledge, certain important aspects are involved, including the written form of the word, learning the concept of the word, making connection between form and meaning, and understanding the grammatical use of the word (Nation, 2001). Ellis (1994) indicates that the knowledge aspect of language learning (semantic meaning) requires close attention and elaboration.

Dictionaries also serve as valuable references for language learners; they accelerate vocabulary development by providing learners with extra vocabulary-related information

and increasing learners' exposure to words in other contexts (Summers, 1988). Dictionary consultation processes involved deliberate and explicit study of words (Nation, 2001), and empirical evidence suggests that the use of dictionaries can increase vocabulary knowledge (Luppescu & Day, 1993; Shore & Durso, 1990). Because language learners can benefit through deliberate study of words, they are often advised to use dictionaries when recording new vocabulary in notebooks (Fowle, 2002; Schmitt & Schmitt, 1995). Learners may obtain various information about a word, such as its meaning, pronunciation, and grammatical information and may record what they found useful into their notebooks for later review. During the process of looking up newly acquired words in dictionaries and adding the useful elements to their notebooks, language learners are deliberately learning new vocabulary. Such learning activities involve deliberate, language-focused learning and may help cultivate vocabulary development.

Several studies have examined the use of vocabulary learning strategies in second/foreign language learning. Among these studies, some researchers discovered that for many learners, making notes about unknown words in vocabulary notebooks or on word cards and internalizing the words using mnemonic techniques, metacognitive strategies, and cognitive strategies was an efficient means of developing lexical competence (e.g., Gu, 2003; Gu & Johnson, 1996; Sanaoui, 1995). For example, Sanaoui (1995) conducted case studies investigating the vocabulary learning strategies of adult learners of English and French through the use of their learning dairies and records as well as interviews. Sanaoui identified two distinct learning approaches: "structured," i.e., a systematic and organized approach to study; and "unstructured," i.e., a less systematic approach in learning. The results showed that those who adopted the structured approach recorded and reviewed extensive and systematic records of vocabulary items. Similar findings were reported by Gu (2003), who used think-aloud protocols and interviews to investigate how two successful Chinese EFL learners improved their vocabulary during and after reading. The results also demonstrated that compiling and reviewing word lists was an important vocabulary learning strategy. The combined findings of Gu and Sanaoui reveal that keeping vocabulary notes in conjunction with extensive use of learning strategies to practice and memorize lexical items could promote vocabulary acquisition.

Other researchers investigated learners' prior experience of compiling vocabulary records (e.g., Leeke & Shaw, 2000), examined learners' vocabulary notebook assignments (e.g., McCrostie, 2007), or implemented a vocabulary notebook program (e.g., Fowle, 2002; Walters & Bozkurt, 2009) to explore and document the impact on vocabulary acquisition. In Fowle's (2002) study, a language program in Thailand adopted the use of vocabulary notebooks based on prior researchers' training guidelines (e.g., Gairns & Redman, 1986; Schmitt & Schmitt, 1995). Feedback from teachers and students showed that this approach improved students' study skills and cognitive strategies; the students subsequently became more actively involved in learning. Adapting the training models proposed by Schmitt and Schmitt (1995) and Ledbury (n.d.), Walters and Bozkurt (2009) investigated the impact of notebook keeping in EFL learners' vocabulary learning by comparing learners who implemented the use of vocabulary notebooks and those who did not. The results showed that the treatment group outperformed the control group in the use of the target words; after four weeks, researchers observed significantly greater performance in vocabulary tests and more frequent usage of the words in compositions. Although empirical findings generally indicate that overall positive attitudes toward vocabulary notebook use were reported by students and instructors alike (Fowle, 2002), Walters and Bozkurt noted that long-term positive effects of self-initiated learning brought about by vocabulary notebooks are questionable. In their study, the participants generally did not tend to be intrinsically

motivated to learn English, and many of them would likely not continue using the learning tool. This phenomenon was also discovered by Leeke and Shaw (2000), who found that many learners who had been compiling their own word records were unable to maintain the habit.

In general, research findings (e.g., Fowle, 2002; Gu, 2003; Leeke & Shaw, 2000; Sanaoui, 1995; Walters & Bozkurt, 2009) suggested that vocabulary workbooks could make an effective learning tool; however, caution has been raised with regard to the effective implementation of a vocabulary notebook approach. Schmitt and Schmitt (1995) stress the importance of guiding learners to create sound vocabulary notebooks and instructing them on how to make the best use of vocabulary notebooks to achieve learning goals. Without extended training and proper guidance, such methods may be insufficient in generating the desired learning outcomes. The results of a study by McCrostie (2007), for example, revealed flaws in the vocabulary notebook method caused by a lack of training and monitoring by the course instructor. The major problem appeared to be that students had difficulty selecting words on their own; they did not choose words purposefully and could not distinguish between important and unimportant words.

Given the importance of vocabulary knowledge to language learning and the current concern for promoting learner autonomy, increased attention has been given to the use of vocabulary notebooks in enhancing vocabulary acquisition. Despite comprehensive discussions regarding the theories and guidelines for the use of vocabulary notebooks, very few studies have touched upon the details of actual vocabulary notebook implementation. In this regard, an investigation of challenges facing the implementation of vocabulary notebooks would be of interest to language teachers.

Method

Research Questions

The research questions addressed in the study are as follows:

1. What aspects of word knowledge do students attend to when they look up words in the dictionary?
2. What types of dictionaries do students use, and what are their preferences after being introduced to a variety of dictionary types?
3. What are student perceptions of the vocabulary notebook technique?
4. What are student reasons for selecting vocabulary words, and where do they encounter the words?
5. What suggestions do students offer for improving the vocabulary notebook technique?

Participants

The participants were 152 students from 4 freshman English classes at a university in Taiwan and included 70 females and 82 males. These students represented the population of EFL learners at universities in Taiwan in terms of native language, cultural background, English learning background, and chronological age. The participants had been studying English for at least six years as a required course before entering college. The first language of this population was Mandarin Chinese, and their age ranged from 18-20 years old.

Instruments

The researcher developed two questionnaires: the Background Questionnaire (see

Appendix A) and the Vocabulary Notebook Questionnaire (see Appendix B). To improve the reliability of the instruments, a pilot test was performed with a sample of 20 students enrolled in the freshman English program. The researcher revised survey questions that were poorly worded or problematic or that did not yield useable data.

At the beginning of the first semester, the participants completed the Background Questionnaire, which elicited information about their previous experience with vocabulary note-taking and dictionary consultation. This process allowed for a comparison of the students' learning habits before and after implementation. All the questions addressed in the Background Questionnaire were check-off items.

At the end of the second semester, the participants completed the Vocabulary Notebook Questionnaire and were encouraged to reflect on the following points:

1. Student perceptions concerning vocabulary notebook implementation;
2. Student opinions regarding the usefulness of the information they recorded in their vocabulary notebooks;
3. Student reasons for their word selections and the sources of their words;
4. Student preferences regarding use of the dictionary; and
5. Student suggestions for the vocabulary notebook assignment.

The Vocabulary Notebook Questionnaire consisted of both check-off type items and open-ended questions. Students' responses for the three open-ended items, which inquired into the reasons for their word selections and collect their opinions and suggestions for the assignments, were coded by combining similar responses into categories before they were summarized.

Data Collection

The researcher explained the purpose of the study and data collection procedures to the students at the beginning of the academic year. The students were informed that participation in the study was voluntary, and it was not a part of the course grade. As stated on the informed consent form, the students were guaranteed confidentiality and anonymity, and they were free to withdraw from the study at any time. The students could decide whether they would like to participate in the research by filling out the surveys and returning them to the researcher.

To participate in the study, students had to complete both the Background Questionnaire and the Vocabulary Notebook Questionnaire. To enhance the accuracy and reliability of the data, the researcher presented Mandarin Chinese versions of the questionnaires to the students via PowerPoint and explained the questions in Mandarin Chinese before the students started working on the questionnaires. This ensured that the possibility of failure to understand the instructions or questions would not affect students' responses. The students answered the open-ended questions in Mandarin Chinese. The qualitative data were analyzed in Mandarin Chinese and the results were translated into English.

For data matching purposes, the participants were asked to write their student identification number on both questionnaires. Because the author served as both the instructor and the researcher, the students were informed that their identification numbers would be eliminated before being reviewed by the instructor; this elimination minimized the possibility that the participants might be reluctant to give their honest responses or opinions, which may have impacted the quality of the data. The class leaders collected the questionnaires and matched up students' Vocabulary Notebook Questionnaires to their Background Questionnaires before handing them to the instructor. Students who did not complete both of the questionnaires were excluded from the study.

Procedures

On the first day of class, the instructor (the researcher of the current study) informed the students that they were required to keep a vocabulary notebook throughout the academic year as part of the course requirements. General guidelines for the assignment were also given. The students were introduced to two notebook formats, an index card binder and a loose-leaf binder, from which they were free to choose. Students had to add 16 unfamiliar words to their notebooks each week. At least half of the words were from their course textbooks. The other half could be obtained from other sources, such as conversations, movies, class discussions, or outside readings. The students were advised to record words that were useful, important, or relevant for them personally.

To build students' lexical competence, the participants were required to include aspects of word knowledge other than word meaning in their vocabulary notebooks, such as part of speech and phonetic transcription. The exercises practiced during this assignment included parts of speech, phonetic transcription, definition or synonym, example sentence, and additional parts of speech for the word. Participants were also encouraged to include other relevant information in their exercise books to make their vocabulary learning more efficient and effective, such as collocations, semantic maps, negative or positive connections, and illustrations of word meanings.

Training in vocabulary learning skills was embedded in the course and the students were guided to practice the strategies involved in the vocabulary assignment over the academic year. In addition to guiding the students in developing their vocabulary through exploring different dimensions of word knowledge, effective tips on how to organize vocabulary learning were also introduced. These tips addressed word selection, vocabulary memorization, and scheduling time for review of the newly acquired vocabulary. Most of these learning techniques were embedded in the course content and included in Gu and Johnson's (1996), Nation's (2001), Oxford's (1990), and Schmitt's (1997, 2000) and learning strategy taxonomies. Specific skills for practicing new vocabulary mentioned in previous research (e.g., Cohen, 1990; Gairns & Redman, 1986; McCarthy, 1990; Nation, 1990; Sökmen, 1997) were introduced to the participants.

According to the results of the Background Questionnaire, the majority of participants (88%) reported having used only English-Chinese bilingual dictionaries, which translate words or phrases from English to Chinese. Researchers have acknowledged the usefulness of bilingual dictionaries to develop vocabulary learning (Grabe & Stoller, 1997; Knight, 1994; Luppescu & Day, 1993); yet, there is still some debate with regard to whether monolingual or bilingual dictionaries are better at facilitating vocabulary acquisition (see Carter & McCarthy, 1988). The researcher believes that introducing new types of dictionaries to learners is worthwhile. It may be that some of the participants find that unfamiliar dictionaries, either bilingualized (dictionaries that provide L2 definitions, L2 example sentences, as well as L1 translations) or monolingual dictionaries, are more helpful for learning English. Therefore, three major types of dictionary (i.e., bilingual, bilingualized and monolingual dictionaries) were introduced to the students.

In the first semester, the students were required to use monolingual or bilingualized dictionaries when working on their vocabulary assignments; they were asked to write the English definition and/or a synonym for each word. In the second semester, the students were allowed to use their dictionary and could choose to write either an English or a Chinese definition in their notebooks. With regard to example sentences of target words, in both semesters, students had the freedom either to copy the example sentences from dictionaries or make new sentences of their own. However, the students were reminded that if they were unsure about the accuracy of their sentences, they should consult their

instructor.

To monitor student progress and ensure that students had written the correct information, the notebooks were collected and checked once a month. Ten-minute review sessions were held bi-weekly during class time. In these sessions, pairs of students exchanged notebooks and quizzed each other on the words and the additional vocabulary-related information they had recorded.

Results

The data collected through the Background Questionnaire indicated where students were in their learning process prior to the implementation of the vocabulary learning approach. The results revealed that 53% (N = 80) of the participants (N = 152) had previously kept vocabulary cards or notebooks; approximately half of those participants reported that they had been required to do so as part of their English language course requirements.

Word Knowledge

Research Question 1: What aspects of word knowledge do students attend to when they look up words in the dictionary?

As reported by the participants on the questionnaires, when consulting dictionaries prior to entering college, most of the students “always” or “usually” paid attention to a word’s “definition” and “part of speech.” However, more than 70% of students tended to ignore “example sentences” and “other word forms” (see Table 1). Regarding information students previously recorded on their word cards or in their vocabulary notebooks (Table 2), only 24% (N = 36) of students indicated “other word forms,” 8% (N = 12) cited “sentence using the words,” and only 1% (N = 2) noted the “English definition/synonym.”

Table 1

Percentage of Respondents Reporting the Information They Paid Attention to When Consulting Dictionaries Prior to Entering College, by Frequency

	Never	Seldom	Sometimes	Usually	Always
Word’s phonetic transcription	0%	7%	33%	32%	28%
Word’s part of speech	0%	7%	19%	31%	43%
Definitions	0%	0%	10%	23%	67%
Example sentences	3%	40%	37%	12%	8%
Other word forms	1%	22%	50%	18%	9%

Table 2

Percentage of Respondents Reporting Different Aspects of Word Knowledge They Recorded on Word Cards or in Vocabulary Notebooks

Word Knowledge	% of students
Phonetic transcription	52%
Part of speech	75%
Chinese translation	96%
English definition/synonym	1%
Sentence using the words	8%
Other word forms	24%

The results of the post-course questionnaire show the changes in the students' perceptions of vocabulary knowledge. In general, students thought highly of the acquisition of word knowledge. More than 80% of students "agreed" or "strongly agreed" that the "part of speech," "Chinese translation," "English definition," and "example sentence" were very beneficial in learning vocabulary. Less than 10% of students held the opposite view. When asked about the usefulness of "phonetic transcription," "other word forms," and "creating new sentences," the percentage of students who gave positive responses for these features were 75% (N = 114), 56% (N = 85), and 23% (N = 35), respectively. The "English definition" and "a sample sentence containing the word," which were previously neglected, were found to be very helpful in learning by the participants after working on a yearlong vocabulary assignment. More than 80% of students either "agreed" or "strongly agreed" with this viewpoint based on the results of the questionnaire completed at the end of the academic year.

Dictionary Use

Research Question 2: What types of dictionaries do students use, and what are their preferences after being introduced to a variety of dictionary types?

A comparison of dictionary-consulting behaviors of the participants before and after the vocabulary notebook implementation showed several significant differences. Prior to entering college, bilingual dictionaries were clearly noted as the primary dictionary preference. Nearly four-fifths (78%) of students mentioned a bilingual dictionary as their primary choice; approximately one-tenth (12%) of students reported that they had used monolingual dictionaries before. It is worth noting that by the end of the academic year, however, there was an increase in the popularity of both monolingual and bilingualized dictionaries. The percentages of students who reported using bilingual, bilingualized, and monolingual dictionaries by the end of the academic year were 64% (N = 97), 76% (N = 116), and 45% (N = 68), respectively (students were instructed to indicate all dictionary types that applied). The number of students who preferred using dictionaries that provided English definitions, namely bilingualized and monolingual dictionaries, increased. When asked whether monolingual or bilingual dictionaries better aided their learning of English language, 43% (N = 65) of the students picked the monolingual dictionary. One-fifth of the students (N = 30) considered monolingual and bilingual dictionaries equally helpful. From the above results, it was determined that after trying out the three types of dictionaries, many students discovered that dictionaries providing English definitions of new words (monolingual and bilingualized dictionaries) were useful in helping them learn English.

Student Perceptions of Vocabulary Notebook Implementation

Research Question 3: What are student perceptions of the vocabulary notebook technique?

Students were generally positive about the use of vocabulary notebooks. Sixty percent of students (N = 91) "agreed" or "strongly agreed" that notebooks had been beneficial, while only 10% (N = 15) of students disagreed. Furthermore, among students who expressed an intention to continue learning English, 76% (N = 116) gave a positive response and answered they would consider a similar approach in learning more vocabulary in the future. A high percentage of students (83%) affirmed the idea of being given the freedom to make their own decisions about vocabulary acquisition appealed to them, which was indicated by marking "agree" or "strongly agree."

Another result involved the instructor's role as the facilitator of the vocabulary notebook technique. The majority of students (80%) "strongly agreed" that it is important

for the instructor to check their assignments regularly. The students also replied affirmatively regarding the in-class cooperative vocabulary reviewing session; sixty-seven percent of students ($N = 102$) gave positive responses to this query.

Qualitative data generated through an open-ended question concerning students' perceptions of the vocabulary notebook were organized and categorized. In general, the participants perceived the vocabulary notebook implementation as rewarding. The majority of students (88%) stated that the assignment had a positive effect on their learning. More than half of the respondents claimed that the learning approach helped them improve their lexical competence (63%, $N = 96$) and facilitated memorization of target vocabulary (51%, $N = 78$). Students were also more engaged in the learning experience. Thirty percent of students ($N = 46$) reported spending more time and/or greater effort studying English, and 13% ($N = 20$) sought out new learning opportunities and materials outside the classroom more frequently.

Some students reported the use of metacognitive learning skills, such as planning, goal setting, self-monitoring, and self-evaluating. Eighteen percent of students ($N = 27$) reported that the approach promoted their self-responsibility and encouraged them to have greater self-discipline in their learning. Some students reported that they had become better at planning and managing their own learning; others said that they set up and adhered to a regular study routine.

Word Selection

Research Question 4: What are student reasons for selecting vocabulary words, and where do they encounter the words?

For the vocabulary assignment, at least half of the words in students' notebooks had to come from their course textbooks. The other half could come from other sources. Thirty-eight percent of all the words recorded in the student notebooks came from sources other than their course textbooks. The students' reasons for word selection were categorized. The ten most common reasons are listed in Table 3. "Words that are important (reasons not specified)" was the most popular reason for word selection, with 86% of students listing it. "New or unknown" and "useful" words also ranked high on the list (items 2 and 3). Another important consideration was whether the words students chose were important for their academic studies (items 4 and 10). To qualify for graduation, the students must pass English comprehension tests; this requirement most likely led to the students' stronger interests in learning words that were likely to appear on their English comprehension tests. It is also interesting to note that some students liked to include important words or terminologies that they encountered while studying other textbooks written in English. Another notable finding was that aside from "new words," which were prioritized by most students, approximately one-fifth (19%) of students selected words that "they had learned before but had found confusing or hard to memorize." The results clearly indicate that the students purposefully chose their words and that they considered their own learning goals and objectives in deciding which words to include in their notebooks.

Table 3
Top 10 Reasons for Word Selection

Rank	% of students
1. Words that are important (reasons were not specified)	86%
2. Words that are new or unknown	64%
3. Words that are useful	63%

4. Words that might appear on tests (including the course mid-term exam, final exam, or other English language comprehension tests)	43%
5. High frequency words	27%
6. Words the instructor emphasizes	24%
7. Words that one might encounter or use in the future	22%
8. Words that one had learned before, but were confusing or hard to memorize	19%
9. Words that one couldn't think of or failed to use correctly when trying to express himself/herself (including oral and written)	13%
10. Words related to one's field of study	8%

(Respondents could give more than one reason, so the percentages will not add up to 100%)

Student Suggestions for Vocabulary Notebook Implementation

Research Question 5: What suggestions do students offer for improving the vocabulary notebook technique?

Students offered many suggestions for improving the effectiveness of the vocabulary notebook assignment. The most frequently raised suggestion was the need for instructors to monitor the learning process regularly. Eight percent of students suggested that the instructor collect and inspect the notebooks more frequently—with weekly being widely suggested. Two main reasons were as follows: (1) students sometimes procrastinated completing their homework assignments; and (2) they were not capable of seeing and correcting their own errors. The students believed these errors would interfere with their learning. The following comments from students are typical.

“It is better for the instructor to collect and check my assignments once a week. Sometimes I am too busy or lazy to do the homework every week.”

“Discipline from the instructor could prevent me from falling behind with my assignments.”

“I like to create sentences using the words I just learned, but I do not know if the sentences I made were correct or not. I know I could have asked the teacher for help, but I was shy.”

“It would be nice if the instructor could check our assignments once or twice a week and mark the mistakes I made.”

Many students requested additional guidance and assistance. Several students suggested that the instructor give more explicit suggestions on word selection. Some students mentioned that they were not good at distinguishing more important words from less important ones. As one student wrote, “I don't know which words are more important. I did record most of the words that the teacher specifically emphasized, but I picked the rest of the words randomly. Maybe teacher could give us a word list each week.” Another wrote, “I am unsure whether the words I chose to memorize were high frequency words or not. I hope I am not learning words that are not useful. I think that the instructor should help us select words.” Among the less frequently mentioned suggestions were offering recommendations for English learning materials that students can read outside of class and giving students class time to work on their assignments.

Students also expressed a desire for more flexibility in completing their assignments. The following are some of the suggestions and comments from the questionnaire:

“I practice pronouncing words using my electronic pronouncing dictionary. Copying down phonetic spellings does not do me any good.”

“I find using bilingualized dictionaries helpful because they contain both

English definitions and their Chinese equivalents. I always read words' English definitions, but writing them down takes too much time."

"We should include other important language elements in our notebooks, such as grammar points and idioms."

"It would be better if we were not required to select words from our textbooks. The textbooks already contain vocabulary sections, which makes vocabulary learning and reviewing convenient. It is more important for me to organize and record new words I encounter outside the classroom."

As shown above, some students wanted to decide for themselves which aspects of word knowledge to include in their workbooks. Some students wanted to omit certain aspects of word knowledge, while others suggested that it would be better if they could decide the proportion of words they needed to choose from the course textbooks and outside of class. Overall student feedback makes it clear that the instructor must identify learner needs and offer ongoing guidance.

Discussion

The purpose of this study was to investigate how students respond to a vocabulary notebook assignment and better understand their approaches to learning vocabulary. The vocabulary notebook assignment aimed to help students become more effective and independent in acquiring new English vocabulary. Overall, students reported that the implementation of a vocabulary notebook learning approach was beneficial and that it positively affected their learning. The students claimed that while undergoing the learning process, they became more attentive to their own learning, spent more time and effort in that learning, and developed better study habits.

The findings from student reflections and perceptions regarding the implementation revealed that learning vocabulary by keeping vocabulary notebooks, with appropriate instructor guidance, is helpful to students and effective at promoting skills necessary for learner autonomy. Many students cited the use of metacognitive learning skills, including planning, goal setting, self-monitoring, self-evaluating and reflections on learning, which have proven to be critically important in language learning (Abraham & Vann, 1987; Green & Oxford, 1995; O'Malley & Chamot, 1990; Wharton, 2000).

Based on results of this study, some recommendations and implications are offered below. This study demonstrated the importance of compensating for differences among individual learners by allowing them to explore different ways of learning and find the best one for them. The comparison of dictionary-consulting behaviors before and after the vocabulary notebook implementation showed that given the opportunity to test different types of dictionaries, many students discovered that dictionaries providing English definitions were useful. During the second semester, bilingualized dictionaries became the most popular dictionary type. This finding suggested that though students found English definitions helpful, they were more confident using dictionaries that contained both English definitions and their Chinese equivalents.

The use of the vocabulary notebook also brought about changes in students' perceptions of word knowledge. All knowledge areas are essential in vocabulary learning (Nation, 1990); however, the participants in this study were accustomed to using some aspects of vocabulary knowledge more than others. As asserted by Fowle (2002), Nation (2001), and Schmitt and Schmitt (1995), dictionary use in combination with the use of vocabulary notebooks can benefit vocabulary learning. Once engaged in the vocabulary assignment, the participants became more focused and deliberate in gaining word knowledge and, accordingly, much more appreciative of its value. When looking up

unknown words, students paid closer attention to the specifics of word knowledge. The findings also have practical implications for EFL/ESL vocabulary instruction. If students regard certain aspects of word knowledge as important, they should be encouraged to engage in practice activities to facilitate learning. In this study, for example, students found “English definition” and “a sample sentence containing the word” useful, although they had previously neglected these aspects. It would be imperative for the instructor to create more practice opportunities by asking students to define new words in English and create sentences using those words, both orally and in writing.

This investigation revealed the crucial role of the instructor in identifying learner needs, monitoring learner progress, and providing learners with ongoing, appropriate guidance in the learning process. Based on the students’ feedback, recommending learning materials that are suited to their abilities and needs promote students’ English learning and vocabulary development outside of the classroom. Similar to McCrostie’s (2007) study, this study found that many students struggled to identify high-frequency words. In response to students’ difficulties in selecting words that are most useful to them, instructors should give their students a list of important words chosen from course texts or activities every week. More importantly, it is imperative that teachers assist their students in identifying high-frequency words. For instance, teachers could set aside some class time to introduce students to the use of concordancers, such as the British National Corpus, and word lists, such as Hindmarsh (1980), and teach them to check word frequency by consulting the frequency markings. In addition to providing all students with the general rules for word selection, it is vital to identify and assist those who need extra help. As McCrostie (2007) notes, more guidance from teachers is needed because some students are unable to make wise word selections.

Concordancers and corpora, which provide large amounts of authentic examples of the way words and phrases are used in context, can also serve as valuable tools for solving grammar and usage problems learners encounter. Some participants indicated that they were reluctant to create new sentences because they were uncertain about the correctness of their own sentences. With the better quality of language samples that concordancers and corpora provide, identifying and correcting their own errors would become easier for students. Having students correct each other’s work can also promote cooperative learning.

Although intermediate to advanced level learners are generally more capable of using learning strategies and making learning decisions than novice learners, this study revealed that there will always be some students who need extra learning support. In light of this finding, the importance of identifying students who are in need of extra support and offering them more extensive assistance cannot be overemphasized.

Limitations

In this study, the questionnaires were designed to elicit the participants’ self-perceived changes in their study habits and their attitudes toward the vocabulary learning approach, which might provide some useful information about the effects of using vocabulary notebook in enhancing learner vocabulary development. This study, however, does not provide evidence on the students’ actual vocabulary growth. The scope of this study is limited in that no formal assessments were given to measure the participants’ vocabulary size, vocabulary growth, or long-term word retention, therefore, cautions should be taken in evaluating the effectiveness of this vocabulary notebook approach. Furthermore, the questionnaires did not address the participant’s actual word use. For a more in-depth examination of the impact of this learning approach, the

questionnaires should also have included specific questions regarding which aspects of the learning approach actually assist the students becoming more effective or independent learners.

When interpreting the study results, the following limitations should be taken into consideration. This study relies on self-reported data, which depend upon respondents' willingness, honesty and memory to respond to questions and are subject to response error. The validity of the results is threatened if responses given by the participants do not reflect their actual behaviors or opinions.

This study is a work of educational action research, in which classroom teachers typically design and conduct investigations regarding their own teaching styles. When conducted properly, action research can be valuable and valid (Nunan, 2001). In such research, however, the role of the instructor as researcher can raise issues concerning validity. Some participants may attempt to please the instructor by doing what they think is expected of them. In the current study, it is impossible to verify whether the participants answered all questions honestly. In addition, this action research is restricted to four classes in a single setting. It aims to generate findings that are useful only within a specific context, thus the results might not be applicable to other learning situations.

Conclusion

In general, students considered the vocabulary notebook learning approach very useful and see the method as a basis for future vocabulary development. The combined findings of Fowle (2002), Gu (2003), Gu and Johnson (1996), Leeke and Shaw (2000), Sanaoui (1995), and the present study show that keeping records of unknown words is beneficial in second/foreign language learning. Furthermore, the results of this study and those of Fowle (2002) show that vocabulary notebook implementation receives favorable feedback from EFL learners and promotes successful learning strategies and learner independence.

Based upon the findings of this study, correctly incorporating vocabulary notebooks into a second/foreign language curriculum seems beneficial for vocabulary learning. To effectively assist learners in acquiring vocabulary using this tool, it is necessary that learners are provided with ongoing guidance. More importantly, one should never overlook the importance of continuous monitoring of student progress and identifying those that need additional assistance. These elements are crucial for maximizing the potential benefits of the learning activity. The effective use of the vocabulary notebook can lead to enhance outcomes in vocabulary and help equip students with learning strategies for studying independently.

The researcher believes that this approach may be adapted for use in a variety of different learning contexts. By using vocabulary notebooks, teachers can develop students' awareness of different learning strategies and assist them in discovering methods of learning that are best suited to their individual styles. Attending to individual learner needs is crucial for large, multi-leveled classes. Given opportunities to make their own choices when learning vocabulary, students can learn at their own pace and by applying their own approaches. Thus, students are more likely to become intrinsically involved in their learning and in expanding their vocabulary.

The findings of this study encourage further refinement of vocabulary notebook usage to enable language teachers to empower their students in acquiring vocabulary. The current investigation expands our understanding of the benefits of vocabulary notebook to students' study habits. However, this study did not measure gains in learners' vocabulary knowledge. In future studies, researchers should evaluate the effectiveness of a

vocabulary notebook learning approach in terms of learners' actual vocabulary growth. Future researchers may also investigate whether training students to define words in English and generate sentences using new words, two strategies that were unpopular among the students in this study, may have positive outcomes for lexical development.

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Appendix A

Background Questionnaire

Student ID number:

Age: _____

Gender: ☐ Male

☐ Female

1. (a) Did you keep any record of your words or phrases? (Indicate “Yes” or “No”)

☐ Yes

☐ No

(b) IF YES: In what forms? (Check all items that apply.)

☐ Notebooks

☐ Cards

☐ Other forms (write in the margin, between the lines, etc.)

(c) IF YES: Was that a required assignment? (Indicate “Yes” or “No”)

☐ Yes

☐ No

2. Which of the following details were included on your word cards or in your vocabulary notebooks? (Check all items that apply.)

☐ Phonetic transcription

☐ Part of speech

☐ Chinese translation

☐ English definition/synonym

☐ Sentence using the words

☐ Other word forms

3. Which types of dictionary do you use on a regular basis? (Check all items that apply.)

☐ Bilingual dictionaries

☐ Bilingualized dictionaries

☐ Monolingual dictionaries

4. How often did you pay attention to the following kinds of information when you looked up an unknown word in a dictionary?

	Never	Seldom	Sometimes	Usually	Always
Word's phonetic transcription	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Word's part of speech	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Definitions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Example sentences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other word forms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Appendix B

Vocabulary Notebook Questionnaire

Student ID number:

Part A. Listed below are statements and questions about your opinions concerning the vocabulary assignment, the information you recorded in your notebooks, and your preferred dictionary type(s). For item 1-13, 17, and 18, check the box which best describes whether you agree or disagree with each statement. (SD = Strongly Disagree, D = Disagree, N = Neither agree nor disagree, A = Agree, SA = Strongly Agree)

	SD	D	N	A	SA
<u>Opinions Regarding the Vocabulary Assignment</u>					
1. I like the idea that I can choose the words I want to learn.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. I like the vocabulary activity of pairing students to test each other on the words listed in the vocabulary notebooks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. It is important for the instructor to check my notebook regularly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Working on this assignment is beneficial for learning vocabulary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. I will continue to study English next year or in college.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. I will consider using vocabulary notebooks to help me learn vocabulary in the future.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>Information Recorded in the Vocabulary Notebooks</u>					
(a) Word Knowledge					
7. Recording phonetic transcription is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Recording the part of speech is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Recording the Chinese translation is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Recording English definitions/synonyms is beneficial in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Recording example sentences from dictionaries or from original texts is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Making your own sentences is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Recording the other parts of speech for a word is helpful in learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Word Selection					
14. What proportion of the words you entered in your notebook are ones that you come across outside the classroom? (If none, indicate "0") _____ %					
15. What are the major reasons behind your word selection?					

Use of Dictionary

16. What dictionaries did you use when you worked on the vocabulary assignment during the second semester of the academic year? (Check all that apply.)
- ☐ Bilingual dictionaries
 - ☐ Bilingualized dictionaries
 - ☐ Monolingual dictionaries
17. Which type of dictionary is more useful in helping you learn English? (Tick one answer.)
- ☐ Bilingual dictionaries
 - ☐ Monolingual dictionaries
 - ☐ They are equally helpful

Part B. Please answer the following questions as fully as you can.

1. Think about what you have got out of this vocabulary learning experience. Has this method changed any of your learning habits? Did it provide you with new learning skills? Did it facilitate your learning? How?
2. What suggestions, if any, do you have for the vocabulary notebook.

從文化資產的保存觀察戰後「鹽水八角樓」的轉化(1945—2013)

陳美惠*

摘要

臺灣文化資產保存的歷程，在日治或二次戰後，文化資產保存對象具有濃厚的政治色彩。政權的更迭，直接影響了「文化資產保存」的精神與內涵。期間，民間或各地團體積極努力保存文化資產的作為，催促著政府立法及修法，然政府握有法令及權力，在文資保存工作上扮演關鍵性角色。

本文「八角樓」，為鹽水知名的古建築，亦是臺灣閣樓宅第的經典之作。從清末臺灣商賈興建、日治時期被官方徵用，到目前只剩下最後一進八角樓，其變遷猶如一部臺灣近代史，極具保存價值。

惟 1945 年二次大戰結束，臺灣脫離日本的統治，八角樓卻因歷經乙未鼎革之際伏見宮貞愛親王的御駐，及日治時期列入「史蹟」（伏見宮貞愛親王御遺跡鹽水港御舍營所），使得原本充滿中國色彩的古典建築，背負一層日本殖民的烙印。期間，「八角樓」的定位與價值之轉化，乃隨著政府政策以及文化資產的演變，而有所不同。

八角樓具有代表性，其歷程除足以突顯具有文化資產價值的私有建物在登錄、修護、維護上可能面臨的種種困境，也說明台灣近代推動古蹟保存發展歷程的重要案例。本文之探討，亦藉由「鹽水八角樓」的例子，重新審視政府在文資保存上的變革與努力。時間追溯，二次戰後至今（1945—2013），從文化資產保存的角度，重新詮釋鹽水八角樓的時代意義。

關鍵詞：鹽水、八角樓、文化資產保存

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The Transitions of the Octagon Building in Yensui from 1945 to 2013 : Perspectives on Cultural Asset Preservations

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Abstract

The preservations of cultural assets have been highly political under Japanese rule and after the Second World War in Taiwan and the shifting of political powers has direct impacts on the essence and contents of preservations. Local residents and societies have pleaded with the governments to enact and revise laws in this regard, therefore, the governments which hold the power and authority play a critical role in cultural preservations.

The octagon building in Yensui is a typical Taiwanese ancient house with attics. Built at the end of Ching Dynasty by Taiwanese business tycoons and conscripted by the Japanese government, it is the only surviving octagonal building in Taiwan. The building symbolizes the progression of Taiwanese modern history which is highly valuable and in need of protection.

After the Second World War when Taiwan broke away from Japan in 1945, due to the fact that the building was once resided by the royal house of Fushimi in the Yi-Wei War and listed as a historic site under Japanese rule (the royal residence of the house of Fushimi in Yensui). Thereupon, the classical Chinese building has a tinge of Japanese colonialism. In the meantime, the shifting of octagon building's position and its value depends on the local government's policies and their perspectives on cultural assets.

The octagon building exemplifies the difficulties of registering, improving and maintenance of privately own cultural assets. It also demonstrates an importance case of evolving practices of preserving historic relics in modern Taiwan. This study presents the case of the octagon building in Yensui to reexamine government's reform and exertions on cultural preservations. From a perspective of cultural preservations this research takes a retrospective look from 1945 to 2013 to reinterpret the significance of the building's historic meaning.

Keywords: Yensui, the octagon building, cultural asset preservations

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一、前言

臺南市為全國文化資產密度很高的地區，其中文化資產數量又以古蹟最為龐大，且私人所有者比例很高。多處古蹟、歷史建築，盡屬私人擁有，這些古厝、家祠過去礙於經費、技術，加上持分人太多，維修不易，往往也造成私有古蹟成為文資保護失落的一環。

本文「八角樓」，如同私有古蹟與歷史建築牽涉私人權益，其保存問題更加複雜，也差點在都市發展與經濟利益衝擊下湮滅。「八角樓」，為鹽水知名的古建築，亦是臺灣閣樓宅第的經典之作。八角樓創建於清道光 27 年（1847），為「葉連成商號」主人葉開鴻及其兒子所建兩層樓建築。葉家經營糖業而致富，葉開鴻原受雇於糖商，遷居糖的集散地鹽水港，負責採買作業，其後熟稔糖業買賣，便與四個兒子（葉瑞西、葉百畝、葉春庭、葉澄波）獨立經營糖行。大房的葉瑞西乃鹽水名仕，官權位重，而葉家之「葉連成商號」，乃清道光年間鹽水港有名的蔗糖經銷商（糖行）。¹

也因經營糖業生意與大陸往來密切，因此後來興建葉家宅第其建材全部來自大陸。每次利用船隻把糖運到大陸，再由大陸將貨物運回臺時怕船身太輕，故裝載大批福杉及石磚等壓船底，以求船身平穩，及至累積為數不少建材後，便開始興建大厝。葉家古宅，可謂葉家成立商號發達後所建造的宅第，因此當地人也習慣以「葉連成商號」稱呼。²

全屋以中國福杉與石磚為主要建材，歷時十年才完成。當時的規模，原為坐西朝東的三進大厝，佔地約三百坪；第一進，俗稱「樓半」的四間店面式建築；第二進，閩南式正面三間起建築；第三進，閣樓式宅第。後因日治鹽水市區改正與興建日本親王紀念館等，最後僅留今日所見的第三進，因屋頂八角分執而得名之八角樓。³

¹ 洪郁程：《鹽水港街市變遷中地方菁英的角色（1624—1945）》（臺南：臺南大學臺灣文化研究所碩士論文，2007 年），頁 55。

² 謝玲玉：〈臺南鹽水『八角樓』期待新生〉，《歷史月刊》137（1999 年 6 月）。陳美惠訪問記錄，〈葉爾修先生訪問記錄〉，2012 年 3 月。

³ 葉連成商號的第一進，於 1935（昭和 10）年鹽水市區改正計畫而拆除改建水泥樓房，第二進也因興建伏見宮貞愛親王紀念館，而於 1942（昭和 17）年拆除。黃明雅，《南瀛古厝誌》，臺南：南縣文化，1997 年，頁 66-81。許文綺：《南瀛古早建築》（臺南：南縣文化，1996 年），頁 38。鄭清文：〈八角樓情懷〉，《大同雜誌》，1948 年 9 月。劉茲穎：《從時空歷程與地方感探究歷史街區之解說體系建構》（高雄：樹德科技大學建築與古蹟維護研究所碩士論文，2004 年），頁 85-86。



圖一：葉連成商號三進宅第（第三進為八角樓）。圖片來源：山中樵，〈伏見宮貞愛親王の御遺跡（下）〉，《科學の臺灣》10：2（1942年5月）。

第三進八角樓，又名八卦樓，建築特色以大陸福杉為主要建材的二層樓建物。整棟建築由十六支長二十四尺，直通二樓的福杉支撐，樑、楹、門、窗全以榫接法完成，並以大量格扇門做為壁體。為臺灣僅存少數閣樓宅第經典之作。



圖二：八角樓外觀



圖三：八角樓外觀

八角樓的變遷，如同一部臺灣近代史。從清代中國移民（葉家）紮根臺灣的過程，⁴搖身一變成為臺灣商賈（糖商）與大陸做生意，再經歷日本據臺而侵臺的路線都在此上演過。值得注意的是，乙未鼎革之際，鹽水八角樓成為日本伏見宮貞愛親王的「御舍營所」（御駐），日人為了彰顯該處為伏見宮遺跡地，1943（昭和18）年特別將八角樓列入「史蹟」，並在廣場前豎立正面「伏見宮貞愛親王御遺跡鹽水港御舍營所」石碑，⁵見證日本殖民統治的歷程。

⁴ 鹽水葉家來自泉州府同安蓮溪葉派。楊緒賢：《臺灣區姓氏堂號考》（南投：臺灣省文獻會，1997年），頁251。

⁵ 石碑正面「伏見宮貞愛親王御遺跡鹽水港御舍營所」，背面「明治二十八年十月自十二日至十八日御舍營 昭和十八年三月三十一日建之」。石碑砂岩材質，碑高215公分，寬不規則，造型相當雄偉。何培夫，《南瀛古碑誌》（臺南：南縣文化，2001年）。



圖四：「伏見宮貞愛親王御遺跡鹽水港御舍營所」石碑。圖片來源：葉耀煌提供。

惟 1945 年二次大戰結束，臺灣脫離日本的統治，新時代、新政權的來臨，八角樓卻因歷經伏見宮貞愛親王的御駐，及日治列入「史蹟」（伏見宮貞愛親王御遺跡鹽水港御舍營所），使得原本充滿中國色彩的古典建築，背負一層日本殖民的烙印。

不可否認，對葉家而言，這段日本親王與葉家古宅結下的緣分，已是無法抹滅的事實，既成為歷史的一部分，他們坦然面對、欣然承受，但這歷程讓葉家嘗盡人間之冷暖。據調查，期間葉家度過黯淡無言的歲月，而八角樓的轉化，乃隨著政府政策與文化資產價值的演變，而有所不同。

因此，八角樓之具代表性，其歷程除了足以突顯具有文化資產價值的私有建物在登錄、修護、維護上可能面臨的種種困境，也說明了台灣近代推動古蹟保存發展歷程的重要案例。以下即分成三階段分述之：

二、1940 年代以後反日情緒高漲，八角樓成為日本殖民意象的建築

臺灣文化資產保存的歷程，在二次戰後，文化資產保存對象具有濃厚的「政治色彩」。政權的更迭，直接影響了「文化資產保存」的精神與內涵。舉例而言，日本戰敗，日治法令「史蹟名勝天然紀念物保存法」遭廢止，1974 年臺灣當局通過〈清除臺灣日據時代表現日本帝國主義優越感之殖民統治紀念物要點〉，⁶大部分與日本殖民統治紀念物有關，逃不過被銷毀的命運。期間，民間或各地團體積極努力保存文化資產的作為，催促著政府立法及修法，但政府握有法令及權力，在文資保存工作上扮演關鍵性角色。

「鹽水八角樓」有其殖民歷程特殊屬性，尤其歷經伏見宮貞愛親王的御駐，及日治列入「史蹟」，因此，戰後也被視為日本殖民意象的建築，擁有強烈的「政治意涵」。

另一方面，經過二次大戰炮火洗禮的葉家古厝，第一進在日治時期改建為樓房，卻於戰爭期間被炸毀，留下斷垣殘壁；躲過一劫的第三進八角樓，樓身雖留下盟軍飛機掃射的彈孔痕跡，但整座樓房堪稱完好。

⁶ 莊芳榮：《古蹟管理與維護》（臺北：臺灣學生，1983 年），頁 100。



圖五：二次戰火洗禮下葉家



圖六：遭戰機掃射的彈孔痕跡

八角樓，一直是家族的生活中心，日治後期不得已搬離古厝的四房子孫，戰後紛紛回到最熟悉的地方，然此時的大厝已非昔日風光一時、象徵鹽水風華之經典宅第，幾經時空改變，葉家「葉連成」商號已成歷史名詞，唯獨古厝仍是家族凝聚的力量。



圖七：八角樓（1956年）。圖片來源：楊富田提供。

據葉家大房第六代且從小在八角樓長大的葉美香表示，⁷在她的印象中八角樓的樓上、樓下各住四戶人家，都是戰後回到八角樓居住的葉家子孫。平時各自開伙，生活、居住也都侷限在各自狹窄的空間，唯有公媽廳為公共活動空間，每當開飯時各戶飯菜擺上桌，即可見識樓上、下共八戶熱鬧用餐的情形。

戰後蕭條、求生不易，八角樓成為葉家八戶人口棲身之所，也是萬不得已。葉家大房第四代葉庭樹之遺孀柯瑪老重返八角樓後，就將二次戰爭末期遭美軍轟炸損毀的第一進樓房，改建為經營冰果室生意。照片中（圖 8）可見改建後冰果室的原樣，站在正中央穿著傳統服飾者即柯瑪老女士，當年為了撫養六名子女長大成人，歷經艱辛。而冰果室販賣的冰品，琳瑯滿目，這是戰後蕭條經濟下，葉家謀生方式之一，比起以前「葉連成商號」叱吒商場之榮景，已不能同日而語。

⁷ 陳美惠訪問記錄：〈葉美香女士訪問記錄〉，2012年5月12日。葉美香女士從小在八角樓長大，現居八角樓附近。



圖八：戰後改建經營水果室。圖片來源：葉美香提供。

至於戰後並未重返故居的其他葉家子孫，也不代表生活比較富裕。當年分了家、各自營生，但食指浩繁，坐吃山空，連僅能倚靠的祖產也耗用殆盡，故葉家後代經濟至戰後，可謂大不如前。

失去「葉連成」商號光環的葉家子孫，與一般市井小民無異，在各自領域尋求生存之道，他們從事的行業，包括農、漁、工、商、教、基層公職人員等，其中服務於戰後轉型的「臺糖」者，也不在少數。其中，在本地表現傑出且延續葉家顯赫門風者，應是大房的第五代葉秋源，他曾留學日本大學牙醫科，戰後就在鹽水執業，至今仍是鹽水人尊敬且懷念的「葉醫生」。

另外同樣具有留學日本背景，葉家大房第四代的葉盛吉，命運卻大不同。葉盛吉留學日本帝國大學，戰後畢業於臺灣大學醫學院，1950年隨即任職於潮州瘧疾研究所，前途被看好，但萬萬沒想到最後卻以思想左傾、參加共產黨組織的罪名被當時的政府處死。⁸

在「白色恐怖」時期，人民多噤若寒蟬。葉盛吉因案被槍決後，多少造成葉家族之衝擊，在自顧溫飽的年代裡，其他葉家人也只能默默關心葉盛吉的妻兒，而葉家人在鹽水的行事是更加低調了。

1970年代，鹽水實施都市計畫改建郵局，葉家亦配合政令拆除自家的後花園，留下四米巷道與郵局接連，也使得八角樓的範圍更為縮減。

此外，戰後「反日情緒」高漲，八角樓也因親王的御駐，備受質疑。在接收臺灣後開始的臺灣省行政長官公署時代，很明白的將「毒化思想的清除」列為教育方針的重點項目之一。在國府主其事者的眼中，臺灣的「日本化」就是等同「皇民化」、「奴化」和「毒化」，日本遺留下來的文化、思想、風俗習慣，皆被列為肅清的對象。

⁹ 不可否認，戰後提起鹽水「葉家八角樓」，就會讓人聯想到日本侵略者，這種直覺似乎使八角樓背負了過重的「民族主義」包袱，毫無疑問的，這個包袱也為葉家後代所承擔。

「八角樓」無意成為日本殖民意象的建築，但在政權轉移的過程中卻成為焦點。內政部明白揭槩「清除臺灣日據時代表現日本帝國主義優越感之殖民統治紀念物」，

⁸ 楊威里著，陳映真譯：《雙鄉記》（臺北：人間，1995年）。

⁹ 黃英哲：《「去日本化」「再中國化」：戰後臺灣文化重建（1945-1947）》（臺北：麥田，城邦文化，2007年），頁206。

使得大部分與日本皇室有關的建物都逃不過被拆除的命運，同樣地，八角樓在「消除殖民色彩」的聲浪下，地方也出現將這親王占駐的記號予以破壞的主張。

但幸運地是，都化險為夷並未在激情的民族情緒下被拆毀。八角樓與其他日治建物比較起來，當時能夠避過拆除之命運，算是奇蹟，而關鍵的因素則有三：

第一、八角樓乃清領時期的建物，建築屬中國古典色彩的宅第，非日人所建，即使日治時期親王占駐，但亦非葉家所願，故無充份理由去拆除。

第二、八角樓雖為親王遺跡，但所幸為私人家產，無權強制處理，故得以暫免被拆。

第三、鹽水亦念及昔日葉家在本地之聲望及勢力，給予尊重，故未發生非理性之拆除八角樓的行為。

當然，葉家後代捍衛自家大宅的決心也是不容忽視的力量，尤其在那年代排除民族情緒造成之非理性行為，以及杜絕眾人拆除八角樓的悠悠之口，談何容易。但葉家的隱忍、低調，換取了八角樓繼續存在的權利，也使得百年葉家古宅度過最漫長的歲月。

黯淡無言的歲月裡，葉家後代各守本份，低調生活，經濟已大不如前，出外討生活已是必然的結果，而繼續留在八角樓生活者則需要更多勇氣去面對。戰後不久，在消除殖民色彩的聲浪及鹽水鎮長吳棋耀的命令下，「伏見宮貞愛親王御遺跡鹽水港御舍營所」碑文被人用水泥塗蓋，¹⁰儘管如此，陸續還是有人主張將這塊羞恥的記號予以砸毀，但葉家並沒有這樣做。族人選擇把電視天線繫在紀念碑上，把廁所建在紀念碑邊，把垃圾堆在紀念碑前，表示葉家人並沒眷念伏見宮曾在此駐紮。¹¹或許，這也是葉家另一種「民族意識」的表現，才得以讓紀念碑還可以靜靜矗立於八角樓前。葉家第五代葉爾修回憶當年那段過程，還是氣憤難平，他坦言他就是看那塊塗蓋水泥的紀念碑「不順眼」，甚至，氣憤之下還用鑿子敲落紀念碑上的水泥，試圖還原紀念碑的原文。¹²如今紀念碑上的泥塊早已剝落，「伏見宮貞愛親王御遺跡鹽水港御舍營所」字樣完好如初，令人嘖嘖稱奇，而一般認為長時間風吹日曬的結果，其真相只有葉家最清楚。



圖九：葉爾修與「伏見宮貞愛親王御遺跡鹽水港御舍營所」紀念碑

在政治敏感與反日情緒高漲的年代，八角樓選擇性的被遺忘，昔日的驕傲與傷痛都不重要了，這張 1953 年八角樓的照片，看來幾分落寞，經過的人似乎不再多看它一眼。

¹⁰ 陳美惠訪問記錄：〈葉爾修先生訪問記錄〉，2012 年 11 月 17 日。

¹¹ 陳豔秋：〈喚不回的繁華－葉家八角樓〉，《聯合報》，1982 年 6 月 18 日。

¹² 陳美惠訪問記錄：〈葉爾修先生訪問記錄〉，2012 年 11 月 17 日。



圖十：八角樓（1953 年）。圖片來源：謝玲玉，《舊情南瀛：臺南縣老照片之一》（臺南：南縣文化，1996）。

三、1970 年代以後維護備受考驗，八角樓面臨無力保養與迅速老化

一般私有古宅最大的問題，在於沒有錢進行維護，因為是私有，所以期待政府的補助是不大可能的事，但維護的經費是經常性的支出，這對私有建物的所有者來說，確實是一大壓力。

歷史性建築，都是彌足珍貴的文化資產，就產權歸屬而言，可分為公有及私有，前者有公部門的經費做後盾，能進行完善的整修維護，後者大多屬於私人宅第，要維修必須自食其力，因此有很多所有權人因無力負擔龐大經費，只好任其荒廢傾圮，造成不可回復的遺憾。

逾百年歷史之八角樓，也因年久失修疏於維護，差點造無法恢復之憾事。在艱辛維護的歲月裡，葉家意見分歧，維修乏人，八角樓因此陷入既不能修，又不能列入古蹟的尷尬，任其風吹雨打，隨歲月腐朽，進退不得的困境。

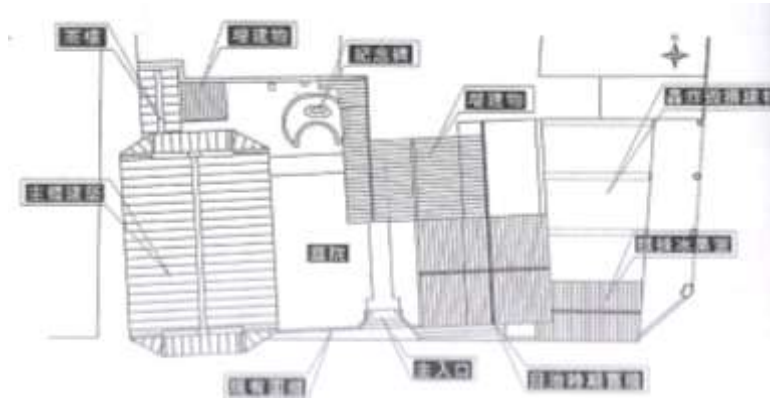
1970 年代以後，老者凋零、年輕一輩外出工作或結婚，葉家後代子孫陸續搬離了八角樓，一個房間擠滿一個家庭的景象已不復見，而八角樓的居住功能也隨著時間的流逝備受考驗。

由於當時舉凡煮飯與洗澡等生活大事皆在房間內進行，生活的遺跡可由各室內因高溫而迸裂與重物壓碎的地磚得知，令人感受不只當時生活的困苦，八角樓的原始結構也因此破壞無遺。¹³

在八角樓的居住功能逐漸低減與葉家經營水果室的空間需求下，可見以八角樓為基地範圍的「增建物」。增建物位於主體建築東側及附著於茶房，主體建築東側的增建物由北而南依序為廁所及葉家新的居住空間與水果室的餐飲空間；附著於茶房的增建物為葉家的小孩房。¹⁴增建物主要分布在原葉家古厝第一、二進位置。

¹³ 張玉璜：《臺南縣歷史建築「鹽水八角樓」調查研究與修復計畫》（臺南：臺南縣政府，2003 年），頁 3-10。

¹⁴ 同上，頁 3-14。



圖十一：八角樓增建物配置示意圖。圖片來源：張玉璜建築師事務所，《臺南縣歷史建築「鹽水八角樓」調查研究與修復計畫》。

八角樓在戰火、天災中存留下來，卻因長年以來無力保養，迅速老化腐朽。探究八角樓漸失其功能，原因有二：第一、歲月的摧殘。第二、葉家後代管理乏善。

戰後八角樓的殘破，不僅在建築物本身，外觀更因歲月而褪色。整棟樓房的木材，久未彩繪保養已經龜裂。據出生八角樓的耆老回憶，從小八角樓就沒什麼色彩，可見葉家早已無力保養整修。¹⁵直到古蹟保存的觀念提出，葉家四房子孫也只能在經濟許可範圍內盡可能的修補。

但情況卻是，二樓走廊樓板打上了水泥，造成木製樓板的傾斜；二樓正廳前欄杆是咖啡色，但三方環繞的欄杆卻是紅色，這是葉家自己用油漆一層層刷上的，畢竟大夥經濟狀況不是很充裕。1980年代的一場大颱風，更突顯問題的嚴重，當時做工精緻的木製與雲母製百葉窗幾乎全毀，葉家只好將兩側欄杆上方，圍上不銹鋼板，以防風雨侵入，同時也把部分欄杆換成鐵條，因而形成八角樓視覺的混亂。



圖十二：缺乏維修的八角樓（1990年）。圖片來源：《聯合報》，1990年4月22日；雷顯威攝。

當年，葉家人無奈地表示，戰後八角樓未被有關單位列入古蹟，在缺乏經費補助以及專家學者的協助下，只好由民間自行維修，雖然此舉破壞舊觀，但也無可奈何，因此籲請有關單位重視維護。而臺南縣政府則回應，依據八角樓客觀條件，確可列入國家古蹟，但葉家對放棄「所有權」存有爭議，因此才未採納。¹⁶

八角樓不論年代或在鹽水的獨特性，具資格列為古蹟，惟當初未被列為古蹟，葉家子嗣認為是地方政府未提報所致。然平心而論，當時葉家後裔廣達百餘人，平

¹⁵ 張必瑜：〈八角樓古蹟興衰史〉，《聯合報》，1990年8月25日。

¹⁶ 雷顯威：〈百年八角樓鐵皮護身〉，《聯合報》，1990年4月22日。

日散居國內外，缺乏聯繫，又加上八角樓屬家族「祭祀公業」，而當時八角樓內部只剩二戶居住，如何積極整合家族力量，解決「產權」問題，再循管道向有關單位反映，都需要時間來解決。

況且，葉家後裔存在疑慮，認為私有宅第一旦被指定為古蹟，雖能保有歷史的風采，實際上卻受到重重限制，對管理單位或所有權人似是弊多於利，如買賣過戶、開發利用的機會全被凍結，即使附近地價飛漲，也不能處分。

這一場拉鋸戰，就在葉家對私有古蹟所有權的堅持，以及政府古蹟維護法令未能鬆綁的情形下，使得八角樓妾身未明。

1989年鹽水都市計畫重要道路拓寬工程，差一點也讓八角樓陷入萬劫不復的地步。因為八角樓位處中山路，俗稱「行政街」的鹽水最重要道路，沿線有鎮公所、郵局、地政事務所等重要機關，平日洽公民眾絡繹不絕，但均礙於道路僅有六米寬，交通不便，因此鎮公所鑑於此，決定將中山路拓寬為十一米。而八角樓在拓寬作業中，南面將有長二米、寬七十公分的礎石地基，將被剷除。¹⁷

當時任職鹽水鎮公所兵役課長的葉家後代葉耀煌等，雖能理解為了繁榮地方拓寬道路的確有其必要，但還是積極整合家族的力量，亟思循正常管道向有關單位反映。葉家憂心的是，在道路拓寬先期作業中，未作好補強、遷移或變更計畫等因應措施，八角樓極可能因「遷一角而動全身」，面臨毀於一旦之厄運。

然而，問題又回到八角樓未被列入古蹟，無法依照文化資產保存法，予以保護，葉家因而拒領土地徵收補償費，以為抗議。最後，在鎮公所網開一面有關單位重新測量勘驗，確定八角樓免於截角或拆除的情況下，才讓事情平和落幕。

八角樓未來命運，沒人能預期。痛心的是，又發生屋簷上具百餘年歷史的泥塑蟾蜍遭竊，¹⁸葉家後代殷盼政府應加緊協助維護的腳步。雖然期間各學術機構頻組團前來參觀，也提出諸多對八角樓的建議與補救，但終究都無法理出百年古宅內部紛雜不清的問題。葉家後代憂心忡忡，子孫意見又不一，對這棟百年祖產是否予以整修？是否納入古蹟保護？以及如何分配權益？意見分歧。這也是台灣推動古蹟保護運動中，很典型的私人古蹟維護的瓶頸。

私有古蹟與歷史建築牽涉私人權益，其保存問題更加複雜。甚至，葉家一度考慮八角樓與日本皇室之淵源，乾脆「臺灣古蹟，日本維護」來解決八角樓的未來。1990年8月由樂山文教基金會召開「臺南縣鹽水鎮葉家八角樓」討論會，參與人員包括國內城鄉建築專家、日本早稻田大學教授等。¹⁹與會人士皆肯定，八角樓具有歷史性，是彌足珍貴的文化資產，極具保存價值。

除此之外，日本學者淺野聰則表示，葉家有意將八角樓遷到日本以老建築為號召的「明治村」的作法，並無意義，同時「明治村」內多為明治時代建築，而八角樓為清朝中國建築，遷入並不恰當；他建言，八角樓應維持原地整建原則，同時日治時代已搬遷到文武街上的第二進房舍，也應盡可能「歸位」。²⁰

¹⁷ 查元生：〈鹽水八角樓未被列入古蹟，無法依規定保護，葉氏家族拒收土地補償費，醞釀循管道陳請〉，《臺灣日報》，1989年8月10日。

¹⁸ 雷顯威：〈鹽水八角樓石獅落單〉，《聯合報》，1990年9月14日。報載有誤，應為泥塑蟾蜍遭竊。

¹⁹ 葉耀煌：《葉連成家譜》，（臺南：葉耀煌，1988年），「臺南縣鹽水鎮葉家八角樓」討論會紀錄。

²⁰ 張必瑜：〈葉氏子孫為八角樓請命〉，《聯合報》，1990年8月21日。張必瑜：〈八角樓應盡可能歸位〉，《聯合報》，1990年8月26日。葉耀煌：《葉連成家譜》，「臺南縣鹽水鎮葉家八角樓」討論會紀錄。



圖十三：葉家第二進房舍。圖片來源：葉耀煌提供。

葉宅第二進昔日稱花廳，原為祭祀祖先的祠堂。1942（昭和 17）年葉宅第二進被迫拆除，拆下來的建材為鹽水名人翁鐘五購得，並依原樣建造住宅。興建後翁宅，屋身高大，屬一廳四房式閩南紅瓦厝，屋內大多葉家原有建材。出步柱、青斗石柱珠、簷下大木作、楹樑、格扇門等也都是葉宅原物。²¹1989 年鹽水水災肆虐，古宅無法居住，翁家三代舉家遷出，格扇門、大木作部分木雕紛紛失竊，翁宅已成廢墟。



圖十四：葉家第二進房舍現況

葉家第二進房舍是否「歸位」？牽涉翁家私產，非葉家可決定；且葉家第二進房舍多次遭竊，破壞無遺，是否具有「歸位」之價值？也需從長計議。在日人建議下，葉家乃打消「八角樓放洋的計畫」，讓當時喧騰一時「葉家賣祖厝，日人來管」的古蹟維護事件，得以平息下來。

最終，與會的國內學者夏鑄九並做出四點建議：第一、八角樓的產權必須明確化。第二、調查葉氏家族子孫的保存意願。第三、相關主管機關（內政部、文建會）應協助民間解決問題，儘速邀專家會勘、著手測繪調查，做保存設計，將八角樓納入古蹟保護。第四、民間維修古蹟經費拮据，地方縣市政府、民政局，應儘速協助處理。²²

的確，古蹟問題在私人所有方面，主要在眾多後人彼此之間對古蹟之保存認同差距甚大，在遙遙無期的共識整合過程中，造成古蹟隨風凋零逐漸損毀。此外，在政府部門所有方面，則出現在管理及使用單位未管用合一，或是公部門自己對於保

²¹ 黃明雅：《南瀛古厝誌》，頁 81。

²² 葉耀煌編：《葉連成家譜》，「臺南縣鹽水鎮葉家八角樓」討論會紀錄。

存認知差異等情形之下，部門與部門之間在互相推諉的過程中古蹟逐漸坍塌。²³

四、1990 年代以後古蹟維護鬆綁，八角樓議題達成共識與列入古蹟

國內古蹟保存機制，因長年停留於「工程化」思維，因此，只有當古蹟已經毀壞嚴重、殘破不堪，才有正當性與優先性被列入古蹟搶修清單，以便向中央主管機關申請巨額經費進行大規模整修，然而，許多私有古蹟皆仍處於實際使用的狀態，若能在平時即定期或持續針對古蹟保存狀態進行檢測，一旦發現問題就立即評估與執行解決方案，或許就不需要等到狀況已經非常嚴重再耗費巨資進行搶救與復原。²⁴

八角樓是否納入古蹟，在 1990 年一度成為媒體的焦點。樂山文教基金會有意認養維護，相關學術座談會也熱鬧舉行，終究因政府古蹟維護法令無法鬆綁，及葉氏家族各方認知有差距等諸多複雜因素，議題始終沒有達成共識。

1997 年搶救八角樓終露出曙光。全國文藝季在鹽水推出「鹽水製糖一百年」，葉家四房第五代子孫臺南縣立文化中心主任葉佳雄努力奔走下，鹽水鎮公所決定提撥經費和葉家合力局部整修八角樓。大刀闊斧地拆去遮蔽二樓多年的鐵皮，重修原始的木造百葉窗，同時將庭院現代水泥地改為接近原味的大紅磚地板，門面短牆也整修了。



圖十五：搶救八角樓後照片（1997 年）。圖片來源：葉耀煌提供。

局部整修後的八角樓，整體外觀較之前整齊不少，但二樓岌岌可危的傾斜現象，搶修十分迫切。

1999 年行政院文建會鑑於未列級古蹟的建築物被破壞情形層出不窮，修法新增補助地方政府辦理古建築物、遺址和其他文物遺跡的保存維護，使得政府補助未列級古建築作法更有彈性。此時，葉家子孫臺南縣立文化中心主任葉佳雄又再度出面，積極為緊急搶修八角樓請命，也終於獲得葉家四房代表簽字同意。²⁵

文建會派員勘查並與相關單位研商，初步決議同意緊急搶修，但八角樓已並非及時可以修復完善，該階段只能先局部整修，文建會主張，搶救八角樓最具體的辦

²³ 廖世璋、錢學陶：「文化、認同、運動：邁向臺北市古蹟保存之路」（2001 臺灣文化資產保存研究年會-追求文化資產的真實性）論壇。

²⁴ 傅清琪：《臺南市古蹟管理維護暨補助自辦修復工程研討會會議手冊》，（臺南：臺南市政府文化觀光處，2009 年）。

²⁵ 謝玲玉：〈臺南鹽水『八角樓』期待新生〉，頁 23。

法是納入古蹟，交給國家維護。

當年，國內私有古蹟在現行法令限制下，面臨存廢兩難的窘境，經過時空更迭，納入古蹟的問題似乎不再像昔日那般棘手。2000年2月，我國文化資產保存法修正，在第三條所稱之文化資產中加入一項「歷史建築」，使歷史建築於臺灣有了法定上的地位。²⁶

歷史建築雖不像古蹟是經過嚴密篩選的少數，但它常常是分布在我們生活周遭，與自己的生活經驗貼近，因此對歷史建築的評定基準除了實體上的工藝成就與藝術價值外，也包含了地方環境的共同記憶與人文意義。換句話說，生活性與一般性也是歷史建築價值之所在。

八角樓是鹽水最為知名的古建築，走過一個半世紀，也是鹽水地方共同的記憶，終因政府古蹟維護法令鬆綁，葉家代表凝聚共識，總算克服難題在2003年納入「歷史建築」。

指定理由：1.創建年代久遠，且具重要歷史意義。2.形制特殊，具稀少性，且不易再現。3.具建築史。

八角樓正式公告為歷史建築，陸續完成調查研究與修復作業。針對鹽水八角樓歷史建築的價值特色有：²⁷

- 一、樓閣建築，為臺灣目前僅存少數的二樓傳統民宅。
- 二、裝飾部位典雅，磚工、泥作、木雕皆屬精美。
- 三、疊斗式大木構架頗具規模、磚石與木作的混合構造，尤其是以貫穿一、二樓的十六根木通柱所構成的主要結構系統，皆可作為傳統建築構造發展史及結構系統分析之研究對象。
- 四、鹽水八角樓座落於昔日月津港埤附近，因而得以了解鹽水八角樓擇址與當時月津港貿易活動有著相當關聯性。
- 五、「葉連成商號」從事紅糖的買賣為當時鹽水港新興的蔗糖經銷商，於臺灣糖業歷史上有其重要價值。

修復作業，以八角樓「屋面解體仿作」、「木作局部修復」、「結構補強」為三大主要項目，以「真實性」、「可逆性」、「舊有構件再利用」及「最小程度的修復干預」為原則。修復範圍擴及八角樓整棟主體結構與裝飾部位。修復前八角樓呈低度使用狀態，多數空間非儲藏室即遭閒置，考量歷史建築未來之保存與發展，八角樓整體空間機能也納入規劃。戰後八角樓基地增添了數處增建物，影響環境景觀，在尊重葉家後代意願下，並未拆除。

經各單位的努力與合作，修復後的八角樓大體仍然保存原有的樸實風貌。一樓做為葉家八角樓史料展示室，二樓則因維護困難並不對外開放參觀。

²⁶ 王惠君：《歷史建築保存維護再利用執行手冊》，屏東：屏縣文化局，2004）。傅朝卿：〈關於臺灣的歷史建築〉，《成大建築簡訊》29，2002年7月。

²⁷ 張玉璜：《臺南縣歷史建築「鹽水八角樓」調查研究與修復計畫》，頁8-1。



圖十六：修復後八角樓（正面）



圖十七：修復後八角樓（背面）

2009 年 5 月，八角樓再公告為「縣定古蹟」，改制後為直轄市「市定古蹟」宅第類。現為鹽水旅遊的熱點，居八角樓的葉爾修老先生，成為八角樓最稱職的解說員，為遊客解說八角樓的歷史。而八角樓與葉家子孫逐漸走出當年莫名的歲月，為未來八角樓的重生持續努力中。

多年前，日本皇親也先後組團前來瞻仰先人遺跡，而貞愛親王的後裔也在其中，²⁸一行人在八角樓駐足、參拜良久，感佩，八角樓一路走來展現最堅強的生命力。



圖十八：圖片來源：《聯合報》，1998 年 11 月 10 日；謝玲玉攝。

五、結論

隨著地方觀光休閒的興起，在地文化漸受重視，原一般眼中平凡鄉村也漸開始保留地方特色與建築，去營造屬於地方的在地風情，鹽水自不例外，開始尋回地方原有的歷史，但許多古資產早已僅存殘蹟，部分屬私人的特色古建築也敵不過眼前的利益而遭拆除，誠如鹽水國小對面黃朝琴故居「思園」、在地名人翁鐘五的庭園宅第等，多少珍貴而深具特色的建築，皆已消失在現實的洪流裡。

由於古蹟修復有專業門檻，並挹注大量資金，加上多數私有古蹟、歷史建築產權複雜，民眾想修也是有心無力。但「鹽水八角」案例，卻可證明，對保存私有文化資產態度積極，只要家族有人出來整合，政府行政、技術層面給予協助，百年歷史的古厝，也有風華再現的一天。

²⁸ 謝玲玉：〈鹽水葉家八角樓訴說日據滄桑〉，《聯合報》，1998 年 11 月 10 日。

然而，「文化資產保存法」執行至今日已有數十年，其中浮現出許多古蹟保存失敗的問題，然而這些問題並不僅是保存技術得當與否的問題而已，更是一個文化現象與社會議題。例如，經常發生私有古蹟損毀的現象，尤其古蹟於指定的過程前後當中，其惡意毀壞的社會事件頻頻不斷發生。如轟動一時，當年台北縣汐止周家花園遭陽明海運拆除，以及過去也發生舊三峽農會老建築以及鶯歌農會穀倉被拆毀等事件，由於這些建物並非指定古蹟，文資法也未規定所有權人不能拆除，即使私有建物，極具保存價值。對於私有古蹟的認定，即使當地政府沒有取得所有權人同意，逕自登錄為歷史建築或指定古蹟，之後無權進駐修繕，達不到實質保存意義，時間一久，建物也有滅失疑慮，雖然文資法有規定得以徵收，但很少有當地政府具如此財力。

研究中發現，古蹟保存工作的最根本問題：為過於傾向外力介入的保存方式，此外，這些不同問題卻共同指向一個在地性的保存議題，必須透過當地社會基層的文化認同來取得歷史空間認同，才能達到永續保存的目標。換言之，一個古蹟所有人、管理人及附近居民，在古蹟保存過程中所扮演的關鍵性地位，古蹟保存，由外力介入保存應該轉為內力自發性保存，當地古蹟保存內力才是永續保存的真實動力，而要凝聚此集體的意識，需要在當地針對古蹟所有人（或管理人）、當地附近居民、政府有關部門等，可以進一步發展或運用的概念及作法。²⁹

最可貴的例子，新北市蘆洲區李家古厝，是臺籍抗日英雄李友邦將軍的故居，也是李家七大房共有的祖厝，與其他私有古宅一樣，曾面臨保存與否的現實問題，李家基於保存歷史文化的精神，1983 年向政府申請文化資產保護，後由內政部核定為古蹟，成為台灣私有古蹟保存運動的重大分水嶺。另外，台南市後壁區黃家古厝，也都屬私有，卻主動提報文化局審查，為臺南市市定古蹟，也是前國策顧問黃崑虎的宅第。而古厝建造於大正 12 年(1917)，古樸的傳統造型，極富文化藝術氣質，相當具歷史、建築價值，為南部知名閩南五合院建築。

古蹟永續保存的動力源自於當地民眾的保存認同之外，公部門或主管機關提供行政、技術層面協助亦具關鍵性。文化部文化資產局指出，法令雖已釐清私有古蹟管理維護之責，然而部份古蹟修復或維護需要龐大經費，對於民間私人或團體等造成較龐大之負擔，此時亦可依據法令由公部門或主管機關提供協助；有關「私有古蹟、歷史建築及聚落之管理維護、修復及再利用所需經費，主管機關得酌予補助。」（文資法第 26 條），亦即中央主管機關文建會與直轄市、縣市政府可依一定分擔比例酌量補助私有古蹟歷史建築及聚落之管理維護、修復及再利用所需經費。³⁰

此外，臺南市為全國文化資產密度很高的地區，其中文化資產數量私人所有者比例很高。因此，早在文資法修法將古蹟之管理維護權責由「古蹟所在地之直轄市、縣（市）政府」歸還給「古蹟所有人、使用人、管理人」以前，臺南市政府即意識到古蹟之保存維護，若無古蹟所有人、使用人、管理人之認同及參與，將無以有效落實相關工作之執行與推動。臺南市政府文化觀光處特別於 2009 年 8 月 18 日舉辦「臺南市政府古蹟管理維護暨補助自辦修復工程研討會」，針對上述補助要點與自辦工程發包之機制及案例進行推廣、研討，希望經由行政機制調整，更有助於提升私有古蹟所有人、使用人、管理人對於古蹟管理維護及修復、再利用之概念提升與實質參與，強化文化資產保護之支持力量。然而，有關實務工作之推動與執行，即

²⁹ 廖世璋、錢學陶：「文化、認同、運動：邁向臺北市古蹟保存之路」（2001 臺灣文化資產保存研究年會—追求文化資產的真實性）論壇。

³⁰ 文化部文化資產局提供之資料。

便臺南市政府文化觀光處已經盡量簡化作業程序，並經由教育訓練過程，提升私有古蹟所有人、使用人、管理人，對於該項機制之認識與理解，然而，真要落實自主推動仍將面臨相當大之瓶頸與障礙。不過，以將過往傾向由政府部門主導推動之古蹟保護權責回歸私有古蹟之所有人、使用人、管理人，是相當符合新修定文資法之立法精神，並具備前瞻目標與政策視野之實務機制設計，值得參考與借鏡。³¹

另《文化資產保存法》修正後，增列容積率轉移、贊助古蹟維護減免徵稅等條款，並補助私有古蹟維修，做為促進私有所有權人善盡維護之責的誘因。容積率移轉的限制放寬後，許多建築讓建物符合容積率的規定，便會向這些私有古蹟租購容積率；這對擁有私有古蹟的家族來說，在經濟上，也有很大的幫助。

本文探討之「鹽水八角樓」，經歷私有建物在登錄、修護、維護上可能面臨的種種困境，也是台灣近代推動古蹟保存發展歷程重要的案例。八角樓從戰後至今（1945—2013），一路走來所展現的生命力，終因政府古蹟維護法令鬆綁，葉家代表凝聚共識，克服難題，納入了「古蹟」，亦讓差點要搬遷到日本的八角樓，繼續留存在鹽水。

八角樓具有文資價值，作者認為，其意義在於：

第一、八角樓座落於昔日鹽水港埠附近，八角樓擇址與當時鹽水港貿易活動有著關聯性。鹽水港早期的紳商富戶，大抵住在鹽水港碼頭附近，本身大都經營行郊有關。

第二、八角樓被視為從殖民歷程的特殊屬性中平反。八角樓與日本皇室的淵源，隨著日本政府的戰敗撤退，失去其原建物的本質與價值，如今列入古蹟，有了法定上的地位。

第三、八角樓除實體的工藝成就與藝術價值外，也包含地方環境的共同記憶與人文意義。八角樓的歷史性與地方性亦是價值之所在。

現今，八角樓成為鹽水最知名的古建築，也是臺南市有名的古蹟，在政府持續的關注與葉家子孫的用心經營下，將促使古宅再現歷史之美，走向新生的原動力。

³¹ 傅清琪：《臺南市古蹟管理維護暨補助自辦修復工程研討會會議手冊》。

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金源全真教（含王重陽與全真七子）入聲詞用韻之研究

耿志堅*

摘要

多數學者主張入聲字在北方官話裡，自宋、金、元這幾個朝代裡已經逐漸消失。民初學者自白滌洲又提出古代詩、詞的押韻，多係以方言為依據，王力更指出，古代詩詞押韻的實際現象，反應了當時的語音，可以補充韻書、韻圖的不足，尤其各年個時期的詩人詞人，在押韻的分合的範圍上，往往有他的不同特色，亦即鄰韻通押的範圍，是隨時代、地區而有不同。

金源全真教的幾位重要人物，他們的詞作，約佔全金詞總數的二分之一，由於全真教的詞作多係以宣揚教義為主，目的多用在傳教，是以詞作的押韻更富研究價值。尤其在入聲字方面所呈現的押韻現象，是值得注意的。也就是說它是否即是反應了山東寧海的語音，還是當時的官話。因此本論文即以全真教的所代表的人物——王重陽與全真七子的作品為語料，進行歸納與分析，借此期望有所發現。

關鍵詞：入聲詞、全真教、全真七子、詞韻、山東語音、中古音

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On the Entering Tone Rhymes of Quan Zhen Religion in the Jin Yuan Period: The Corpuses of Wang Chong Yang's and Quan Zhen Qi Zi's works

Chih-chien Keng*

Abstract

Most scholars advocate that entering tone rhymes have gradually vanished from the Northern Mandarin since the Song, Jin and Yuan Dynasties. Di Zhou, Bai, a scholar in the early years of Min Gou, proposed that most rhyming in ancient poems and prose is based on local dialects. Wang Li also made the point that phones used in rhyming in the ancient times could compensate for the deficiencies derived from the Rhyme Books and Rhyme Tables. In particular, poets of different dynasties have their characteristic expressions in merging and separating different rhymes. Therefore, the variations on para-rhyming range from different times to different areas.

Some of the important poets of Quan Zhen religion in the Jin-Yuan period whose works represent half of the available Jin proses. Since the prose writings of the Quan Zhen religion were mainly to propagate their religious doctrines, therefore, the prose rhyming provides a valuable resource for research, especially to determine whether the uses of entering tone rhymes are phonetic properties in Ninhai Shandong or the Mandarin at the time. Thus, this study analyzes the corpuses of Wang Chong Yang's and Quan Zhen Qi Zi's works, the representative poets of the Quan Zhen religion. It is expected to lead to more research findings about the entering tone rhymes.

Keywords: Entering Tone Rhymes, Quan Zhen Religion, Quan Zhen Qi Zi (The Seven Priests of Quan Zhen), Rhyme, Phonetic Properties in Shandong, Middle Chinese

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一、前言

唐代文學作品以詩歌（尤其是近體詩）為代表，而《平水韻》卻出自於南宋末（宋理宗淳祐 12 年，A.D.1252）劉淵之手，宋代文學作品以詞為代表，然《詞林正韻》則完成於清朝中葉（清道光元年，A.D.1821）之戈載，即使是再早一些的《詞林要韻》，（實際是曲韻），也是明朝的陳鐸於明憲宗成化 19 年（A.D.1483）所撰，是以唐、宋詩人、詞人於詩、詞中押韻的依據自是當時通行的語音，甚至是方音，至於每個時期語音之現象為何，則是值得學者一探究竟的議題。

白滌洲〈北音入聲演變〉云：「唐宋以降詩詞流行，韻文的材料誠然加多，然而文化進展、交通方便，語言也因之混淆，文學家所作詩詞，到底用的是某處方言很難考定。加之有了韻書之後，他們受了多少影響，也就很難說。」又云：「研究聲韻的人，究竟應當一點一滴的作起來，逐漸研求各時期各區域的聲韻真像，多方面找材料，多方面想辦法，一直到完全清楚為止。」（白滌洲，1931），是以筆者先後撰寫《宋代近體詩用韻通轉之研究》（1975）、《唐代近體詩用韻通轉之研究》（1982）、《全金近體詩用韻之研究》（1994），全面繫聯近體詩用韻在不同時代、不同地區詩人押韻之現象。事實上就區域之特徵而言，筆者也發現了詩人運用方音創作的痕跡。近年來筆者積極探索宋金元期間，入聲字融入陰聲各韻的脈絡。因此就宋金元詞作之用韻，指導研究生進行用韻之分析，企圖就「詞」作之押韻，一探詞人於語音裡所呈現的訊息。尤其金元詞之押韻，不但是因為此時的首都已由長安遷至北京，再則契丹、女真、蒙古等阿爾泰語系民族進入了中原，在語言上對漢族所造成的衝擊，自是不可小覷，其中入聲各韻，在文學作品裡所呈現的具體現象，絕對是相當重要的語料。再又筆者在全面的對全金詞進行韻腳分析時，發現用韻通轉的範圍及程度遠超過宋詞，而全真七子更是反應了不同於一般的文人詞家之詞作。究其原因，若檢視全真七子詞作之內容，多屬宣揚教義之作，亦即全真七子之詞作，目的不在於文學角度之舒發，而是藉當地之語音傳教揚善、渡化眾生。因此在韻腳的押韻上，自是以當地百姓所熟悉的方音為創作之前提，而非士大夫階層之通語雅言。由於本論文受篇幅之限制，故筆者僅就入聲詞部份，作心得之發表。

二、全真教與全真七子

全真教又稱全真道，創始於陝西咸陽人王重陽，王重陽本名王喆。相傳於金·完顏亮主政時，王重陽曾多次遇仙，並傳口訣點化，乃拋家棄子於終南山附近之南時村修煉，後又遷劉蔣村北。金世宗大定 7 年（A.D.1167）再焚燬廬舍，逕往山東，先後收馬鈺、孫不二、譚處端、劉處玄、邱處機、王處一、郝大通等七位弟子，即全真教所謂之「七真」。王重陽死後，七子乃散至各地傳教，由於全真教所接納之弟子包含了一般的販夫走卒，以及中上階層的地主或文人士子，至邱處機掌教時，全真教達到巔峰，盛況空前。

至於王重陽以及全真七子之生平、里籍，簡述如下：

姓名	別號	里籍	生年	卒年	備註
王喆（重陽）	重陽真人	陝西咸陽	宋徽宗政和二年（1112）	金世宗大定 10 年（1170）	金世宗初聚徒山東

					寧海傳道
馬鈺	丹陽子	陝西扶風	金太宗天會元年（1123）	金世宗大定23年（1183）	遷寧海（山東牟平縣）
孫不二	清靜散人	寧海	宋徽宗宣和元年（1119）	金世宗大定22年（1182）	配馬鈺
譚處端	長真子	寧海	金太宗天會元年（1123）	金世宗大定25年（1185）	
劉處玄	長生子	東萊	金熙宗皇統7年（1147）	金章宗泰和3年（1203）	
王處一	玉陽子	？	金熙宗皇統2年（1142）	金宣宗貞祐5年（1217）	家居寧海
邱處機	長春子	登州栖霞	金熙宗皇統8年（1148）	元太祖22年（1227）	
郝大通	廣寧子	寧海	金熙宗天眷3年（1140）	金廢帝崇慶元年（1212）	

由上述生卒及里籍中，可以發現除王重陽、馬鈺為陝西人以外，其他六人皆為山東人，同時共同點即定居於寧海（山東牟平縣），若以筆者過去對宋、金詩詞押韻所作的歸納，統整宋、金詩人、詞人押韻之風格來看，宋、金詩詞大多具有運用方音押韻的特色。因此王重陽及全真七子之詞作，所展現用韻之韻例，應係金元時期山東牟平一帶之方音。

三、詞作用韻之統計表

對於分析王重陽及全真七子詞作之押韻，筆者有感於宋金詞之韻腳，大多仍依詩歌押韻之習慣為依據，韻部之範圍與宋金近體詩合用通轉之韻例相同，如上文所云，宋金詞作多以方音押韻，是以若用《平水韻》、《詞林正韻》為本文系聯之憑藉，顯然不能彰顯實際押韻的風格。是故筆者以《廣韻》為翻查韻腳之依據，如此才能從細微的分合差異中，找出合用的常例以及少數之特例，並從其中發掘各韻部裡精確之結構。

唯本論文若撰寫韻部分合之合韻譜，勢必過度膨脹篇幅，因此僅就押韻現象做成統計表，至於下文中的討論，若觸及韻部分合之特例時，為使清楚見到押韻用字彼此之關係，則引述合韻譜，藉此便於分析及說明。

全真教入聲詞用韻統計表

	王重陽	馬鈺	譚處端	郝大通	劉處玄	王處一	邱處機
屋		1			1		
屋沃燭		3					
屋燭	9	6	1		1	5	3
屋燭錫職	1						

德							
屋燭職德	1						
屋德	1						
燭	1	3					
燭月沒	1						
燭錫職德	1						
覺		2					
覺末黠鎋		1					
覺藥	1	2					
覺藥鐸	1	1					
藥		1					
藥鐸	14	16	3				3
鐸	1	2					
質		1					1
質術	1						1
質術物							1
質術緝 （霽）	1						
質昔錫職		1					
質昔錫職 緝		1					
質錫職緝		1					
質職		2					
質緝	2						
月		1					
月曷盍合 乏		1					
月黠鎋合		1					
月屑薛	3	7	6	1			5
月屑薛黠		4					
月屑薛德		1					
月屑薛葉		3					
月屑薛怙		1					
月屑薛業		2					
月薛	2	1	1		1		1
月薛黠合		1					
月薛業	1						
屑薛	10						
屑薛葉	1						
屑薛業	1	1					

屑薛佔	1						
薛		2					
薛陌麥	1						
薛錫		1					
薛葉	1						
薛業		2					
曷末黠鎋 合盍狎	1						
曷末黠鎋 乏		1					
曷黠鎋盍		1					
曷鎋合盍 洽狎	1						
曷合(馬)	1						
末藥鐸		2					
黠合	1						
緝		1					
葉佔	2						
陌							1
陌麥	3						
陌麥昔職	1						
陌麥錫職	1						
陌麥錫職 緝		16					
陌麥職	1						
陌麥職德		1				1	
陌麥德	1	1				1	
陌昔錫職							3
陌昔職		1					
陌職	2						1
陌職德		5					2
陌德		1					
陌葉佔業	1						
昔錫職	1	1			1		2
昔錫職 (止)			1				
昔錫職	1						
昔錫職	1						
麥德							1
錫	4	1					
錫職德	1						

職			1				
職德	1						

由前面統計表中所呈現的語料，除孫不二無任何入聲詞作外，其他詞作也多集中於王重陽、馬鈺二人之手，若將語料依押韻之常例，可分析其韻部為六，分別如下：

1. 屋部：含屋、沃、燭等韻
2. 覺部：含覺、藥、鐸等韻
3. 陌部：含陌、麥、昔、錫、職、德等韻
4. 質部：含質、術、(櫛)、物、(迄)、(沒)、緝等韻
5. 月部：含月、屑、薛、葉、帖、業等韻
6. 曷部：含曷、末、黠、鎋、合、盍、(洽)、狎、乏等韻

由以上六部中，呈現－k 尾及－t 尾各三部，－p 尾各韻之字則分別融入－t 尾各韻部之中。

若是再將王重陽、馬鈺之詞作，分別以各別用韻特徵分部，則又可將韻部分為：

(一) 王重陽：四部

1. 屋部：屋、沃、燭、陌、麥、昔、錫、職、德等韻
2. 覺部：覺、藥、鐸等韻
3. 質部：質、術、物、緝等韻
4. 月部：月、屑、薛、沒、曷、末、黠、鎋、合、盍、葉、帖、洽、狎、業、乏等韻

(二) 馬鈺：四部

1. 屋部：屋、沃、燭等韻
2. 覺部：覺、藥、鐸等韻
3. 質部：質、術、物、陌、麥、昔、錫、職、德、緝等韻
4. 月部：月、屑、薛、(沒)、曷、末、黠、鎋、合、盍、葉、帖、(洽)、(狎)、業、乏等韻

由王重陽和馬鈺二人詞作的押韻來看，他們在屋部、質部的分合上差異是很大的。主要的關鍵在於－k 尾的陌、麥、昔、錫、職、德六韻，王重陽是將之與屋、沃、燭三韻合用，為同屬－k 尾韻字之通轉。而馬鈺則與質、術、物（－t 尾）、緝（－p 尾）協韻。今考二人於陽聲韻尾之各韻通押，東、冬、鍾（東部）皆未與庚、耕、清、青、蒸、登各韻合用，為相當清晰的韻部，唯「庚、耕、清、青、蒸、登」等韻，王重陽的用韻情形尚能獨立為一部（庚部），而馬鈺則是多次與「真、諄、文」或「侵」合用。因此就馬鈺而言，陽聲韻「真諄文」、「庚耕清青蒸登」、「侵」已混為一部，這和他入聲字押韻情形完全吻合。至於「月」部，就相承之陽聲各韻而言，二人之韻例中「元先仙」與「寒桓刪山」（－n 尾）合用，亦通「覃談鹽添咸銜嚴凡」（－m 尾）各韻，是以入聲月部所包含之各韻，於二人的詞作中，其押韻通轉的情形也是和陽聲尾的各韻相吻合的。

四、詞作押韻之分析

王重陽及全真七子之詞作，基本上如前所云，大多為王重陽、馬鈺之作，而王、馬二人之韻部歸納亦有其不同之處，本節僅就二人於詞作中幾個特殊的韻例加以分析，由於部分韻例已與《中原音韻》的分合相同，雖然《中原音韻》為曲韻，但韻部分合，更接近北方官話之語音，因此亦陳列合韻譜之中：

（一）王重陽：

1. 屋燭職德合用

〈漁家傲〉速（屋）識（職）足、足（燭）宿（屋）哭（屋）屋（屋）黑、黑（德）燭（燭）——本首屬《中原音韻》「魚模」與「齊微」合用（劃“—”表齊微韻）

2. 屋燭錫職德合用

〈漁家傲〉得（德）六（屋）玉（燭）宿（屋）欲（燭）燭（燭）曲（燭）識（職）覓（錫）息（職）——本首屬《中原音韻》齊微、尤侯、魚模合用（劃“—”表齊微韻，劃“~~~~~”表尤侯韻）

3. 屋德合用

〈梅花引〉福（屋）國（德）祿（屋）——本首屬《中原音韻》「魚模」、「齊微」合用（劃“—”表「齊微」韻）

4. 質術緝霽合用（陰入通押）

〈漁家傲〉十（緝）出（術）急（緝）密（質）實（質）室（質）粒（緝）謚（質）詣（霽）集（緝）——本首屬《中原音韻》「齊微」、「魚模」合用（劃“—”表「魚模」韻）

5. 質緝合用

〈紅窗迴〉七（質）吉（質）失（質）執（緝）日（質）十（緝）

〈驀山溪〉急（緝）漆（質）失（質）蜜（質）汁（緝）入（緝）

——二首皆屬《中原音韻》之「支思」韻

6. 月薛業合用

〈雙雁兒〉劣（薛）喆（薛）厥（月）業（業）說（薛）月（月）徹（薛）折（薛）——本首屬《中原音韻》之「車遮」韻

7. 屑薛葉合用

〈如夢令〉葉（葉）熱（薛）訣（屑）哲（薛）——本首屬《中原音韻》之「車遮」韻

8. 屑薛業合用

〈金花葉〉徹（薛）結（屑）燭（業）業（業）拙（薛）切（屑）訣（屑）滅（薛）——本首屬《中原音韻》之「車遮」韻

9. 屑薛帖合用

〈川撥棹〉缺（薛）舌（薛）結（屑）決（屑）滅（薛）捻（帖）說（薛）——本首屬《中原音韻》之「車遮」韻

10. 薛葉合用

〈惜芳時〉別.劣.設.悅.拽.滅.徹（薛）接（葉）——本首屬《中原音韻》之「車遮」韻

11. 曷末黠鎋合盍狎合用

〈蘇幕遮〉八（黠）刷（鎋）壓（狎）答（合）察（黠）薩（曷）抹（末）塔（盍）——本首屬《中原音韻》之「家麻」韻

12. 曷合盍洽狎合用

〈蘇幕遮〉剎（鏑）匝（合）薩（曷）答（合）恰（洽）洽（洽）甲（狎）塔（盍）——本首屬《中原音韻》之「家麻」韻

13. 曷合（馬）合用——（陰入通押）

〈踏莎行〉納.答.咂（合）薩.達（曷）撒（馬）——本首屬《中原音韻》之「家麻」韻

14. 黠合合用

〈減字木蘭花〉八（黠）匝（合）——本首屬《中原音韻》之「家麻」韻

15. 陌葉帖葉合用

〈花心動〉接（葉）赫（陌）曄（葉）浹（帖）捻（帖）業（業）攝（葉）變（帖）躡（葉）獵（葉）——本首屬《中原音韻》之「車遮」韻

（二）馬鈺

1. 覺末黠鏑合用

〈滿庭芳〉窆（黠）刷（鏑）角（覺）抹（末）覺、學、朴、邈、握（覺）——本首屬《中原音韻》「家麻」、「蕭豪」合用（劃“—”表「家麻」韻）

2. 質昔錫職合用

〈踏雲行〉吉（質）易（昔）益（昔）剔（錫）極（職）的（錫）——本首屬《中原音韻》之「齊微」韻

3. 質昔錫職緝合用

〈滿庭芳〉急（緝）的（錫）日（質）蜜（質）覓（錫）滌（錫）失（質）息（職）尺（昔）——本首屬《中原音韻》之「齊微」韻

4. 質錫職緝合用

〈蘇幕遮〉質（質）息（職）食（職）習（緝）識（職）歷（錫）覓（錫）蜜（質）——本首屬《中原音韻》之「齊微」韻

5. 月曷合盍乏合用

〈清心鏡〉達（曷）髮（月）法（乏）塔（盍）帀（合）薩（曷）——本首屬《中原音韻》之「家麻」韻

6. 月黠鏑合合用

〈清心鏡〉答（合）拔（黠）刷（鏑）發（月）察（黠）八（黠）——本首屬《中原音韻》之「家麻」韻

7. 月屑薛黠合用

〈五靈妙仙〉乚（黠）黠（黠）絕（薛）滑（黠）缺（屑）雪（薛）節（屑）悅（薛）月（月）——本首屬《中原音韻》之「車遮」與「家麻」合用

8. 月屑薛德合用

〈清心鏡〉徹（薛）穴（屑）悅（薛）說（薛）歇（月）得（德）——本首屬《中原音韻》「車遮」、「齊微」合用（劃“—”表「齊微」韻）

9. 月屑薛葉合用

〈踏雲行〉訣（屑）說（薛）攝（葉）別（薛）闕（月）歇（月）——本首屬《中原音韻》之「車遮」韻

10. 月屑薛帖合用

〈踏雲行〉屑（屑）雪（薛）疊（帖）切（屑）歇（月）滅（薛）——本首屬《中原音韻》之「車遮」韻

11. 月屑薛業合用

〈清心鏡〉別（薛）鐵（屑）爚（業）血（屑）徹（薛）歇（月）——本首屬《中原音韻》之「車遮」韻

12. 屑薛業合用

〈金花葉〉徹（薛）結（屑）爚（業）業（業）拙（薛）切（屑）訣（屑）滅（薛）——本首屬《中原音韻》之「車遮」韻

13. 薛錫合用

〈卜算子〉笛（錫）寂（錫）鼈（薛）的（錫）——本首屬《中原音韻》「齊微」、「車遮」合用（劃“—”表「車遮」韻）

14. 曷黠鎋盍合用

〈萬年春〉剎、剎（鎋）察（黠）刷（鎋）達（曷）轄（鎋）塔（盍）——本首屬《中原音韻》之「家麻」韻

15. 曷末黠鎋乏合用

〈清心鏡〉刷（鎋）法（乏）抹（末）達（曷）拔（黠）薩（曷）——本首屬《中原音韻》之「家麻」韻

16. 末藥鐸合用

〈桃源憶故人〉錯、惡、廓（鐸）掇（末）灼、謔（藥）榔、樂（鐸）——本首屬《中原音韻》「蕭豪」、「歌戈」合用（劃“—”表「歌戈」韻）

從以上所列舉的韻例來看，可以發現大多數的韻腳押韻現象是符合《中原音韻》的，另一部份則為《中原音韻》的鄰韻通押，這顯示了王重陽與全真七子的詞作，在語料的統整以後，所呈現出來的是更接近《中原音韻》，說明他們的押韻韻例，與入元以後的語音至少是非常接近的。

五、結論

元代周德清《中原音韻正語作詞起例》云：「入聲作三聲者，廣其押韻，為作詞而設耳。毋以此為比，當以呼吸言語還有入聲之別而辨之可也。」（藝文印書館，1972）這段文句，似乎是周德清教導人們如何辨識入聲字，反應了當時入聲字在北方官話裡有逐漸消失的跡象。因此，王力《中國語言學史》即指出「普通話的入聲在十四世紀已經消失了。」（王力，1987）又在《漢語史稿》裡說：「我們知道，韻尾—p、—t、—k 是和入聲字有連帶關係的。應該說，先是韻尾—p、—t、—k 消失了，然後入聲字跟著也消失了。」（王力，1988）

但在全真教王重陽及馬鈺等全真七子之詞作中，入聲字押韻仍有其規律性，雖然多次出現入聲各韻混押的現象，但依然有其押韻之常例，正如筆者所歸納之入聲六部。然混押之情形雖然存在，但並未至入聲 34 韻大亂的地步。而其分合又是有一定的規律，因此經由本論文之歸納彙整，所要彰顯的是入聲字於金元時期依然存在，只是一—p 尾各韻混入—t 尾各韻之中，而—k 尾各韻部份如馬鈺之用韻，若陽聲韻「真諄文」與「庚耕清青蒸登」及「侵」通押，而入聲用韻則「質術物」與「陌麥昔錫職德」及「緝」通押；又「元先仙」與「寒桓刪山」及「覃談鹽添咸銜嚴凡」通押，則入聲用韻即以「月屑薛」與「曷末黠鎋」及「合盍葉帖洽狎業乏」合用，所呈現出來的是陽聲各韻與入聲各韻呈一致性的變化，這也可以看出入聲字至少在此時尚不致—p、—t、—k 全混的地步。

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Factors Affecting College EFL Learners' Listening Comprehension and Listening Problems

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Abstract

Listening comprehension plays a pivotal role in effective communication in spoken language in the global village. However, comprehending English speech is not an easy task for EFL learners in Taiwan. This study aimed to investigate non-English majors' English listening performance and listening problems. Seventy-five college students participated in the study. At last, sixty-eight valid data were used in this study. The instruments comprised of a General English Proficiency Test (GEPT) at the intermediate level and a Listening Comprehension Problem Questionnaire (LCPQ). The results showed that, first, most of the subjects (62%) did not reach the passing score of intermediate level. The subjects generally performed better on the subcategory of Part A followed by Part B, and Part C ranked the lowest of the GEPT listening test. Second, the listening problems met by the subjects were mainly from the input factor, followed by the listener factor and the task factor. Most frequently encountered listening problems included easily forgetting the content, long listening texts, not knowing which strategy to use, unclear pronunciation, and unfamiliar intonation patterns. Third, there was strong relationship between listening problems and listening proficiency. The proficient listeners identified their main problem as easily forgetting the content when hearing new words as the foremost problem. The less proficient listeners identified difficulty to focus on the text while having trouble understanding as the major obstacle. Finally, significant differences existed in listening problems encountered by students from different colleges. Conclusions and pedagogical implications of listening instruction were provided at the end of the paper.

Keywords: listening comprehension, listening problems, GEPT listening test, college student

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大學生英語聽解程度及聽力困難因素之研究

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摘要

為提升大學生英文能力、加強競爭力，台灣各大專院校為學生訂定英文能力檢定畢業門檻。本研究目的在於調查不同學院大學生的英語聽力理解與聽力困難。研究對象為68位來自二個學院的大一學生，其中包含37位來自技職學院及31位教育學院的學生。研究工具包括全民英檢中級聽力測驗、以及聽力困難問卷。問卷資料以SPSS 20.0版進行描述性統計與t檢定分析。研究結果顯示，第一，有六成二的大一學生仍無法通過全民英檢中級聽力及格門檻。教育學院通過比率較高，技職學院通過比率低。第二，對大一學生而言，最主要的聽力困難是聽力內容，其次是聽者個人因素、聽力任務、聽力過程、情意因素及情境因素。第三，除了聽力任務之外，不同學院學生在聽者個人、考題題型、聽力過程、情意因素、情境因素皆有顯著差異。技職教育學院學生比教育學院學生遇到更多聽力困難。此外，教育學院學生表示造成其聽力困難的主因為遇到生字就容易忘記所聽內容、不熟悉的音調、發音不清楚、不知用甚麼策略等，技職學院學生聽力困難的主因為思考不熟悉的字、無法立刻想出意思、內容太長、生字太多、速度太快等。最後，本論文針對大學英語教學上之應用、本研究的限制以及未來相關研究提供進一步建議。

關鍵詞：英語聽力理解、聽力困難、大學生

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Introduction

Listening is an essential skill of language learning as children learn their first language (L1). Just as the fundamental role listening plays in L1 acquisition, it is by no means less important in second language (L2) learning (Rost, 2011). In fact, learners spend over 50% of the time on listening while functioning in a foreign language (Nunan, 2002). Research has also found that improvement in listening skill has a positive effect on other language skills—reading, speaking, and writing (Pearson & Fielding, 1991; Rost, 1994; Yalcinkaya, Muluk & Ashin, 2009). Apparently, listening plays an important role in foreign language learning, so it has gained more and more attention in foreign language classroom.

The Ministry of Education (MOE) of Taiwan embodied an English proficiency benchmark policy for college undergraduates to promote globalization in Taiwan. For college students, they need to provide the evidence of passing the threshold for English proficiency by graduation. For example, for the GEPT intermediate level, college students have to obtain a listening score and a reading score of 80 or higher. Poor listening is a major barrier to effective communication. Therefore, it is necessary to investigate non-English major college students' listening performance and listening problems on the GEPT Listening Comprehension Test at the intermediate level. Based on this purpose, three research questions were developed as follows.

1. How do non-English major college students perform on the GEPT Listening Comprehension Test?
2. What listening problems do college students encounter while taking the listening comprehension test?
3. Is there any difference in listening problems between different colleges?

Review of Literature

Factors Affecting Listening Test Performance

Listening comprehension is a complex process. There are various factors influencing the comprehension in the process. Alderson et al. (2006), Bridley and Slatyer (2002), Kostin (2004), Ying-hui (2006), Wagner (2010), Rost (2011) and others have synthesized several factors that are likely to influence performance and interpretation of test results. L2 listening test-takers and instructors must take into account a variety of factors in order to reduce the effect of these factors on test performance of the listening abilities. Based on Jamieson et al.'s (2000) learner process models during listening tests, Rost (2011) added a number of variables that may affect listeners' test performance during each stage. These variables included stimulus variable, listener variable and item variable.

Furthermore, Rost (2011) listed four factors as a summary, including medium of the input, nature of the input, nature of the assessment task, and individual listener factors.

First of all, medium of the input includes video or audio-only presentation or accompaniment with graphic or text enhancement. Enhancements tend to improve test taker performance, such as video presentation, graphic cues, text subtitling or selective captioning. Second, nature of the input refers to dialect, speech rate, length, background, prepositional density, and amount of redundancy. Third, nature of the assessment task involves use of visual context, amount of context given, clarity of instructions, availability of question preview, and types of thinking process. The final one is individual listener factor, including memory, interest, background knowledge, motivation, and readiness to take the test.

Studies on L2 Learners' Performance on Listening Test

Students of English in a foreign language environment have difficulty comprehending the spoken language, especially in one-way listening situations. Test takers are not informed of the test topics in advance, they are allowed to listen to the input only once, and they may not receive any supporting information (Chang & Read, 2006). It is not surprising that EFL learners experience considerable stress when taking a high stakes listening tests.

In order to examine the effects of test format and text type on the listening comprehension of senior high school students, Luo (2005) conducted an intermediate listening test of the GEPT. The results showed that senior high school students performed significantly better on the tests with pictures than those without pictures. They also scored significantly higher in response to statements than dialogues. On the contrary, Yang and Lee (2008) investigated the performance of 250 college students from a University of Technology on the intermediate GEPT listening comprehension test. Almost half of the students failed the listening test. The results showed significant differences among three sections. The students performed best on the Part A; Part B ranked the second; and the Part C scored the worst.

Taxonomy of the Factors Affecting L2 Listening

In the last two decades, several studies on the effects of specific factors on the learner's listening comprehension have been pointed out (e.g. Boyle, 1984; Brown, 1995; Chang & Roehl, 2011; Chiang & Dunkel, 1992; Lotfi, 2012; Rubin, 1994; Rubin & Thompson, 1994; Teng, 2002; Yagang, 1993). Rubin (1994) was the first to classify listening factors into five categories, including text, interlocutor, task, listener and process characteristics. Text characteristics refer to features of the listening content delivered to the listeners. Interlocutor characteristics identify the speaker's personal variations. Task characteristics refer to the tasks teachers use in class. Listener characteristics identify the listener's personal traits. Process characteristics reveal listeners' cognitive activities while listening. According to Teng (2002), there are two factors that influence listening comprehension, the internal factor and the external factor. Internal factor indicates the inside factor of the listener. The external factor represents the factor outside of the listener, for example the speaker, stimulus, and context.

Moreover, Chang and Roehl (2011) investigated the factors affecting listening difficulties by a six-point Likert scale questionnaire containing 31 items. The results largely supported previous research that L2 listening difficulties come from text, listener, speaker, and task. They added two more factors— 'input channel and surroundings' and 'relevance.' The former was particularly important in test situations because noise may come at a critical point, which can be frustrating for listeners. The latter has been widely discussed in communication contexts, and refers to listeners only paying attention to information that is relevant to them in order to obtain maximal contextual effect with minimal effort.

Unlike previous studies, Lotfi (2012) conducted an exploratory factor analysis of the responses of a sample of Iranian EFL learners and then designed a forty-item questionnaire with six distinct factors: process, input, listener, task, affect and context to assess EFL learners' beliefs about the English listening comprehension problems they may encounter in unidirectional listening. The first factor, process, reflects learners' beliefs about listening problems associated with different aspects of listening comprehension process—applying cognitive and metacognitive strategies. The second factor, input, represents learners' beliefs about problems related to different aspects of aural input—vocabulary, speech clarity, grammatical structure, speech rate, prosodic feature, accent, pause, and text length. The third factor, listener, reflects learners' beliefs about listeners' characteristics, including attention, attitude, and memory. The fourth factor, task, reflects learners' beliefs about problems associated with characteristics of listening tasks—task type and type of responses demanded when answering global and local questions. The fifth factor, affect, reflects learners' beliefs about problems related to affective dimension of listening, such as comprehension failure and the level of anxiety. The sixth factor, context, reflects learners' beliefs about unfavorable characteristics of the learning context affecting listening comprehension, including inferior machine and acoustically unsuitable rooms. Among all taxonomies of listening difficulties, Lotfi's taxonomy is one of the most comprehensive classifications.

Studies on L2 Listening Problems in Taiwan

In Taiwan, there were studies investigating learners' problems in comprehending listening input (e.g. Chen, 2002; Cheng, 2004; Chien, 2007; Chiu, 2008; Chuang, 2009; Sun, 2002; Teng, 2002; Yang, 2011). Teng (2002) investigated EFL listening difficulties of 95 college students at a university of technology in Taiwan through a 43-item questionnaire with eight open-ended questions. The results showed that stimulus factor ranked the highest, followed by speaker factor, context factor, and listener factor. With regard to the greatest difficulty in each factor, vocabulary load and vocabulary expression was the main problem in stimulus factor. Clarity of the speech enunciation was the main problem in speaker factor. Noise and interference was the main problem in context factor. English proficiency was the main problem in listener's factor.

In addition, Chen and Cheng (2007) investigated listening difficulties of 51 civil engineering students enrolled in the two-year junior college program at a technical college.

The data were based on three listening exams the students took during two semesters of a general English course and a survey conducted at the end of the course. According to students' responses, fast, natural native-sounding speech, limited vocabulary capacity to understand the message, speakers' habitual expression of spoken English such as accent, stress, linking, and omitting of sounds, and insufficient knowledge or cultural differences were four major listening problems.

Recently, Yang (2011) conducted a study on exploring the English-listening difficulties encountered by 32 students at an institute of technology in order to better understand the listening process from the perspective of EFL learners. The subjects were asked to keep a listening diary about their English listening experience and their listening problems. From an analysis of the diaries of EFL learners, listening comprehension problems were divided into five categories: text, listener, listening process, speaker, and task. The top five listening problems encountered by the subjects were unknown words in the text, the speedy delivery of listening text, limited vocabulary knowledge, insufficient practice, and inability to pay attention to the next part of the text when thinking about the meaning of the previous text.

Based on the findings of the studies, most Taiwanese EFL learners seemed to encounter different listening problems. As regard to the listening problems encountered by college students, apparently a fairly large body of research focused on listening problems related to learners with different proficiency level. However, few studies focused on university students' listening problems from different colleges. Therefore, the present study aimed to investigate college student's listening performance and listening problems. It is hoped to provide useful insights into learners' performance on the listening comprehension test and its relation to listening problems.

Methodology

Subjects

The participants in the study were 75 non-English major college students. However, since there were seven subjects who did not complete the questionnaire or hand in the listening test sheet, their data was treated as invalid. Therefore, finally, 68 valid data were analyzed, including 37 students from College of Technology and 31 from College of Education.

Instruments

The instruments employed in the study included a listening comprehension test and a listening problem questionnaire. The listening section of the GEPT at the intermediate level was adopted to determine the subjects' listening proficiency. Each section contained 15 questions so that there were 45 questions in total, as shown in Table 3.1. All of the test items were the multiple choice type. The Part A was the picture description, the Part B was question or statement response, and the Part C was short conversation. As for scoring, the scoring list was adopted from Talovich and Liu (2006). The total score of the GEPT

Listening Test at the intermediate level was 120.

Table 3.1

Structure of the Listening Comprehension Test

Part	Nature of the Task	Nature of Input	Question Number
A	Picture recognition	description	Qs 1~15
B	question response	dialogue	Qs 16~30
C	written options	conversation	Qs 31~45

The listening problem questionnaire employed in the study was based on the six categories specified by Lotfi (2012). The questionnaire was comprised of two sections: the background information and the listening comprehension problems. The listening comprehension problems included six factors: Process Factor (Item 1 to 12), Task Factor (Item 13 to 15), Input Factor (Item 16 to 25), Listener Factor (Item 26 to 35), Affect Factor (Item 36 to 39), and Context Factor (Item 40 to 41). Responses to each item were on a six-point Likert scale, ranging from 1 for “strongly disagree” to 6 for “strongly agree.”

This questionnaire was proved to be reliable and practicable. Cronbach's alpha was employed to test the internal consistency reliability of the questionnaire using in this study. The results yielded .96 for all 41 items on the LCPQ. As for each category, the reliability coefficients of the process factor, the task factor, the input factor, the listener factor, the affect factor, and the context factor were .94, .87, .89, .89, .90, and .94 respectively.

The data collection was conducted in class. All of the participants followed the same procedures. First of all, the purpose and the procedures of the study were explained in five minutes. Second, the GEPT Listening Comprehension Test took approximately 30 minutes to finish. After the participants finished the test, the Listening Comprehension Problem Questionnaire was distributed to students. In order to obtain more comprehensive results, students were welcome to give their feedbacks about the questionnaire at the end. The approximate time of the whole experiment was about an hour. The data gathered from the listening comprehension test and the listening comprehension problem questionnaire was analyzed quantitatively on the SPSS, version 18.0 for Windows, such as descriptive statistics and the independent-samples t-test.

Results and Discussions

To answer the first research question, descriptive statistics and the independent-samples t-test were employed to analyze the data of listening comprehension test. The passing and failure rates of college students on the GEPT Listening Comprehension Test are shown in Table 4.1.

Table 4.1

The Passing and Failure Rates on the GEPT Listening Comprehension Test

	Education	Technology	Total
Passing	17 (55%)	9 (24%)	26 (38%)
Failure	14 (45%)	28 (76%)	42 (62%)
Total	31 (100%)	37 (100%)	68 (100%)

It shows that only 38% college students passed the GEPT Listening Comprehension Test, but 62% college students failed the listening test. For College of Technology, only 24% students passed the test. Most of students (76%) failed the test. For College of Education, 55% students passed the test. It means that more than half of students could not pass the threshold of the GEPT intermediate level listening comprehension test, especially those in College of Technology.

The results of students' performance on three different sections of the GEPT Listening Comprehension Test are shown in Table 4.2. It shows that the students generally performed best on Part A; Part B the second, and Part C was the worst. The means of students from College of Education were significantly higher than those from College of Technology in overall and for each section of the GEPT Listening Comprehension Test.

Table 4.2

Students' Performance on the GEPT Listening Comprehension Test

College	Technology (N=37)		Education (N=31)		<i>t</i>	
	Mean	SD	Mean	SD		
Part A	24.00	6.24	29.97	5.17	4.24	***
Part B	20.62	7.20	27.39	7.54	3.78	***
Part C	18.11	8.33	25.29	9.10	3.40	**
Overall	62.73	17.63	82.65	18.45	4.54	**

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

The finding shows that most of college students' listening comprehension has not reached the intermediate level. Students from college of Education performed better than college of Technology. Based on the learners' performance on the each section of the listening comprehension test, picture cues did enhance listening performance significantly because they can activate background knowledge. However, comprehending dialogues involves the ability to grasp the main ideas and framework of utterances. Moreover, figuring out the purpose of talking or the relationship between speakers, locating important details, and making inference made college the listening more problematic to understand the listening texts for college students.

The descriptive statistics were employed to analyze the data from the Questionnaire. As shown in Table 4.3, the overall mean of the participants' listening problems was slightly high ($M = 4.05$). Among the six listening problem factors, the input factor ($M =$

4.26) had the highest frequency, followed by the listener factor ($M= 4.20$), the task factor ($M= 4.00$), the process factor ($M=3.92$), the affect factor ($M=3.80$), and the context factor ($M= 3.69$). Then, listening problems of each item in each listening factor category were presented as follows. The mean scores above 4.00 as 'slightly agree' are included in the results of the study.

Table 4.3

The Rank of Listening Problems Factor Category

Factor Category	Mean	SD	Rank
Input Factor	4.26	0.71	1
Listener Factor	4.20	0.79	2
Task Factor	4.00	1.00	3
Process Factor	3.92	0.94	4
Affect Factor	3.80	0.96	5
Context Factor	3.69	1.35	6
Overall	4.05	0.73	

The top five listening problems encountered by college students are presented in Table 4.4. It demonstrated that the students met with listening problems the most frequently in two listener factors: "I forget the content when hearing the new words" and "not knowing which strategy to use" and three input factors: "long listening texts", "unclear pronunciation" and "unfamiliar intonation patterns".

Table 4.4

The most frequently encountered listening problems

Item	Description	Category	Mean	SD	Rank
30	When I hear the new words, I forget the content which was mentioned before.	Listener	4.62	0.96	1
19	The listening text is too long.	Input	4.46	0.85	2
34	I don't know which strategy to use while listening.	Listener	4.46	1.08	3
21	Words are not pronounced clearly.	Input	4.38	0.91	4
24	Unfamiliar intonation patterns interfere with my listening comprehension.	Input	4.38	1.17	5

The findings showed that the listening problems met by the college students were mainly from input factor and listener factor. College students considered that easily forgetting the content, long listening texts, not knowing which strategy to use, unclear pronunciation, and unfamiliar intonation patterns as most difficult listening problems. These findings were similar to Chien's (2007) findings in which English majors

considered text factor and listener factor as their primary obstacles. In Teng's (2002) study, however, most technical college students selected stimulus factor and speaker factor as their major problems in listening.

In order to find out if there were any significant differences in listening problems between different colleges, the independent sample t-test was used. A comparison of listening problems between two different colleges in each listening factor category is presented in Table 4.5.

Table 4.5

Differences in Each Listening Factor Category between Different Colleges

Category	Technology (N=37)			Education (N=31)			t	
	Mean	SD	Rank	Mean	SD	Rank		
Process Factor	4.32	0.91	3	3.44	0.75	5	4.28	***
Task Factor	4.11	1.15	4	3.87	0.78	3	1.00	
Input Factor	4.49	0.77	1	3.98	0.50	1	3.28	**
Listener Factor	4.44	0.79	2	3.92	0.70	2	2.83	**
Affect Factor	4.04	1.15	5	3.52	0.56	4	2.44	*
Context Factor	4.00	1.45	6	3.32	1.14	6	2.11	*
Overall	4.33	0.75		3.72	0.55		3.74	***

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

It indicated that there were significant differences between different colleges overall. There were five significant differences between the students from different colleges, except for task factor. Generally, the students from college of Technology reported listening problems more strongly than college of Education. The results also showed that students from both colleges encountered problems in the input factor and the listener factor more frequently than the other factors.

The top five listening problems encountered by college of Education are presented in Table 4.6. It demonstrated that the students met with listening problems the most frequently in two listener factors: "I forget the content when hearing the new words" and "not knowing which strategy to use," two input factors: "unfamiliar intonation patterns" and "unclear pronunciation," and one task factor: "having difficulty to answer wh-questions."

Table 4.6

Top Five Listening Problems Encountered by the College of Education

Item	Description	Category	Mean	SD	Rank
30	I forget the content when hearing the new words	Listener	4.81	0.87	1

34	I don't know which strategy to use.	Listener	4.77	0.88	2
24	unfamiliar intonation patterns	Input	4.55	1.06	3
15	difficulty to answer wh-questions	Task	4.48	0.72	4
21	unclear pronunciation	Input	4.32	0.60	5

Moreover, the top five listening problems encountered by college of Technology are presented in Table 4.7. Generally speaking, these top five listening problems are totally different from and all of the means are higher than those of college of education. It showed that the students from college of Technology had great difficulty in two listener factors: "neglect the next part of the listening text when thinking about meaning of unfamiliar words" and "cannot recall their meaning immediately although some words sound familiar" and three input factors: "long listening texts," "too many unfamiliar words" and "fast speech".

Table 4.7

Top Five Listening Problems Encountered by College of Technology

Item	Description	Category	Mean	SD	Rank
26	I neglect the next part of the listening text when thinking about meaning of unfamiliar words.	Listener	4.89	0.74	1
29	I cannot recall their meaning immediately although some words sound familiar.	Listener	4.81	0.81	2
19	the long listening texts	Input	4.78	0.89	3
16	too many unfamiliar words	Input	4.70	1.00	4
22	fast speech	Input	4.62	1.19	5

The findings show that there were significant differences between college of Education and Technology in overall. Except for task factor, students from college of Technology reported listening problems more strongly than those from college of Education. As for the top five listening problems for each college, the major listening problems met by college of Education students were primarily associated with memory, strategy, intonation patterns, difficulty to answer wh-questions, and unclear pronunciation. Due to poor memory and limited strategy use, it's hard for college of Education students to retain information. Because of lacking practice, when Education students listen to different speakers' accents, intonation patterns and pronunciation cause them listening problems. As compared, for college of Technology students, their listening problems were related to attention, inability to recall meaning, a long listening text, too many unfamiliar words, and fast speech. Since college of Technology students with low listening proficiency had limited vocabulary and relatively short attention span, the length of the input and speed of delivery can affect their listening comprehension.

Conclusions

As the findings of this study shown, most freshman college students failed to pass the GEPT intermediate level Listening Comprehension Test. They performed best on the Part A, followed by the Part B, but worst on the Part C. In addition, the main listening problems identified by all college students were input factor and listener factors, such as easily forgetting the content while encountering new words, long listening texts, and not knowing which strategy to use as the most frequently encountered listening problems. Moreover, there were significant differences in listening problems between students from college of Education and students from college of Technology. Students from college of Technology reported greater listening problems than those from college of Education students did.

According to the findings of this study, a number of pedagogical implications were suggested. First-year college students listening comprehension is still under the standard of graduation threshold. This may be due to the fact that they take English courses for only three hours per week in each semester. Apparently, they need more specific instruction in listening to improve their listening ability. The strategy-based listening instruction with authentic listening materials may facilitate college students EFL listening comprehension. Furthermore, the findings provide teachers information to train students developing proper EFL listening strategies to eliminate problems in comprehending the authentic listening in order to accommodate the need of communicative competence in the global village.

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《世說》學的擬構者：劉強《世說學引論》述評

曾敬宗*

摘要

本文為一書評性文章，旨在對劉強《世說學引論》一書進行介紹與評論。文章一開始先對劉強教授其人與著作略作紹述，隨後試圖闡發該書的殊勝之處。筆者認為該書的特點有二：(一)、「世說學」系譜的脈絡化(二)、「世說學」概念的顯題化。劉氏從宏觀的視角與多層面的進路擬構出《世說》學的研究藍圖，對於日後《世說》學的探索上提供了值得期待的研究願景。

關鍵詞：劉強、世說學、世說新語

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The Drafter of the Studies: Comments on Liu Qiang's "An Introduction to the Studies on *Shi Shuo Xin Yu*"

Jing-zong Zeng*

Abstract

This paper is a book review that purports to present and comment on Liu Qiang's "An Introduction to the studies on *Shi Shuo Xin Yu*." It begins with a brief introduction of Professor Liu Qiang and his works, followed by expounding the intriguing aspects of the book. The author maintains that Liu's book has two distinctive features, i.e. contextualization and conceptual thematization. From macro and multi-dimensional perspectives, Liu Qiang outlines a research blueprint for studies on *Shi Shuo Xin Yu*, thus providing a grand vision for its future research.

Keywords: Liu Qiang, Studies on *Shi Shuo Xin Yu*, *Shi Shuo Xin Yu*

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《世說》學的擬構者：劉強《世說學引論》述評



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一、前言

劉強教授，筆名留白，西元 2004 年榮獲復旦大學中文博士學位，目前執教於同濟大學中文系。著有《世說新語會評》、¹《曾胡治兵語錄譯注》、²《今月曾經照古人：古詩今讀》、³《一種風流吾最愛：《世說新語》今讀·人物篇》、⁴《一種風流吾最愛：《世說新語》今讀·典故風俗篇》、⁵《有刺的書囊》、⁶《竹林七賢》、⁷《驚豔臺灣》、⁸《世說學引論》⁹等書。其研究領域集中在魏晉南北朝文學與文化，尤專注於《世說》學。

劉強教授曾於 2011 年接受東華大學中文系的延攬來臺從事研究與參訪，¹⁰來臺期間主要從事考察臺灣對於《世說新語》的研究情況，在東華其間曾開設過四次講座，也曾到過臺大、成大、佛大等多所學校進行學術訪問與演講。臺灣學界對《世說新語》的研究，成效斐然，卓然可觀，但向來偏重於局部的拓深延展，而在統整性的建構上經營較少，尤其於「後人對《世說新語》的傳播與接受」上仍有進一步開展的空間。劉教授對於《世說》學之研究，不僅格局恢宏，又能立基於紮實的史料文獻，其中包括不少臺灣沒有收藏的珍貴資料，相信《世說新語會評》與《世說學引論》的出版面世，對於爾後《世說》學在世界的傳播交流、發揚光大亦助益良多。

¹ 南朝宋·劉義慶撰，南朝梁·劉孝標注，劉強會評輯校：《世說新語會評》（南京：鳳凰出版社，2007 年）。

² 劉強：《曾胡治兵語錄譯注》（桂林：廣西師範大學出版社，2007 年）。

³ 劉強：《今月曾經照古人：古詩今讀》（桂林：廣西師範大學出版社，2009 年）。

⁴ 劉強：《一種風流吾最愛：世說新語今讀·人物篇》（桂林：廣西師範大學出版社，2009 年）。

⁵ 劉強：《一種風流吾最愛：世說新語今讀·典故風俗篇》（桂林：廣西師範大學出版社，2009 年）。

⁶ 劉強：《有刺的書囊》（北京：中國青年出版社，2010 年）。

⁷ 劉強：《竹林七賢》（北京：中國青年出版社，2010 年）。

⁸ 劉強：《驚豔臺灣》（北京：華文出版社，2012 年）。

⁹ 劉強：《世說學引論》（上海：上海古籍出版社，2012 年）。

¹⁰ 劉強：《世說學引論·後記》云：「2011 年春天，在臺灣東華大學吳冠宏教授的盛情邀請下，我踏上了至今想來都妙不可言的臺灣訪學之旅。」，頁 413-414。

《世說學引論》一書為劉氏在其博士論文¹¹的基礎上修改增訂而成，前前後後用了十餘年的光陰努力搜羅爬梳、比對分析，終成如此宏觀的研究視域與多層面的研究架構，¹²可視為目前學界對《世說新語》領域最新的研究力作。筆者這幾年來也一直在專研《世說新語》一書在後世的流播情況，今欣見此書出版，多次閱讀之後深受啟發，猶覺書中仍有許多議題，尚有耕耘、深化的空間，希望透過此一學術平台，進行古人所謂的「疑義相與析」，¹³其中若有許多不成熟的想法，甚至是錯誤的見解，還希望作者能以包容的態度看待之。

二、「世說學」系譜的脈絡化

劉義慶所編撰的《世說新語》一書，記載了西漢（賢媛第 1 則記錄秦末漢初陳嬰與母親之對話）至劉宋初年間（言語第 108 則記錄謝靈運與孔淳之的對話）人物的遺聞軼事。其所涵涉的內容旨趣甚為廣泛，因而向來被學人視為探索魏晉歷史、語言、文學、思想與文化的必備案頭之書。宗白華《美學的散步》甚至稱魏晉為「世說新語時代」¹⁴，宗氏這樣說法的緣起是聚焦於美學視域，或許著眼點略為狹小；然而從宗氏如此的美譽，《世說新語》該書的重要性自是不言而喻。劉強《世說學引論》一書最大特點是從宏觀的學術格局，多層面的研究視野，將「世說學」的研究系譜脈絡化。劉氏將世說學的研究脈絡區分為（一）、《世說》文獻學（二）、《世說》文體學（三）、《世說》接受學（四）、《世說》美學（五）、《世說》文化學（六）、《世說》語言學等六大區塊，劉氏一書扣除〈前言〉、〈後記〉之外，採取緒論與分論的架構進行論述，今將其各篇內容歸納說明如下：

緒論：《世說》學整體觀

本章可視為全書的總論，嘗試提出「世說學」這一學術概念，並企圖從其「稱名」、「分類」、「形態及其系統」與「分期」四個面向辨析論證「世說學」這一觀點的合理性與信效度。在分類方面，劉氏立基於學術研究史的視角，區分為《世說》文獻學、《世說》文體學、《世說》美學、《世說》接受學、《世說》文化學與《世說》語言學等六個分支。在系統方面，作者試圖透過從《世說》學的文獻形態和傳播接受樣式，歸納出四個系統，即版本系統、校注系統、批點系統與續仿系統。在分期方面，作者立足於歷時性之向度，歸結出四期，（一）齊梁至隋唐為「史學期」（二）宋代至晚明為「說部期」（三）清代至民初為「小學期」（四）20 世紀後半葉至今為「綜合期」。劉氏構築出規模如此龐大的世說學體系，可見其用力之深，眼界甚廣，為世說學發揚光大的重要推手。

第一章：《世說》文獻學研究

本章主要嘗試梳理《世說新語》的編撰成書背景。作者透過與正史、雜史別傳、

¹¹ 劉強：《世說學引論》（上海：復旦大學中文所博士論文，2004 年）。

¹² 劉強：《世說學引論·後記》曾云：「當我終於將書稿交給上海古籍出版社時，已是博士畢業八年之後了。……好在其中兩種——《世說新語會評》和《世說新語今讀》——還算是我的“世說學”研究計劃的一部分，……八年之間，對本書先後有過三次補充和修訂，但整體的框架則基本未變。」頁 413。另外南朝宋·劉義慶撰；南朝梁·劉孝標注；劉強會評輯校：《世說新語會評·自序》：亦云「余數年前負笈海上，先後師從曹旭、駱玉明二先生問學，乃與《世說》朝夕相伴，倏忽已近十載。」頁 5。

¹³ 東晉·陶潛撰，楊勇校箋：《陶淵明集校箋·移居二首·其一》（臺北：正文書局有限公司，1999 年），頁 86。

¹⁴ 宗白華：《美學的散步·論世說新語和晉人的美》（臺北：洪範書店有限公司，1981 年），頁 61 與頁 65。

志人小說、其他文獻四方面的比對分析，力圖展現《世說新語》的取材和編撰情況，最後劉氏針對《世說新語》部分條目內容略作考辨闡發，頗具識見。

第二章：《世說》文體學研究

該章先對《世說新語》的文體進行考辨，隨後再梳理考述歷代「世說體」之續仿著作情況，最後透過西方敘事學理論為參照點，論述《世說新語》的敘事方式與特色。歷代有關「世說體」續仿作品非常的多，劉氏只考述二十三部作品，似乎有所遺漏，據當今學人的研究成果顯示，似乎遠多於這個數字，筆者據蔡麗玲《從晚明「世說體」著作的流行論張岱的《快園道古》》、¹⁵姚琪姝《「世說體」小說發展述論》、¹⁶官廷森《晚明世說體著作研究》、¹⁷劉家幸《服部南郭《大東世語》探微—兼與《世說新語》之比較研究》¹⁸等人的研究成果，將中日歷代「世說體」續仿著作整理如下：

（一）、中國方面

唐朝：大唐新語、封氏聞見記、朝野僉載、續世說新書、隋唐佳話

宋朝：續世說、唐語林

明朝：何氏語林、世說新語補、皇明世說新語、焦氏類林、初潭集、玉堂叢語、舌華錄、續世說、清言、南北朝新語、芙蓉鏡寓言、快園道古、僧世說、廿一史識餘

清朝：玉劍尊聞、明語林、說鈴、今世說、兒世說、庭聞州世說、明逸編、漢世說、女世說

民國：新世說、新語林

（二）、日本方面

本朝世說、和漢世說故事苑、世說愚案問答、世說兒談、大東世語、大東世語考、世說新語茶、皇和世說、假名世說、假名世說後編、近世叢語、續近世叢語、世說記

劉氏所考述歷代「世說體」之續仿著作情況，雖然說不是很完備，但已略見其發展脈絡，其文中亦曾自言：「以上是對歷代《世說》體續仿之作的考述，大略已備，囿於見聞不廣，個別著作只能存目以俟通博。」¹⁹其實作者已非常勤奮治學，實不忍苛責。但從這裡也正好可以看出「世說體」這一議題，尚有進一步拓深的空間。

第三章：《世說》接受學研究

此章主要在探討《世說新語》一書在後代的流播情況，透過個案的方式呈現出讀者的接受情況。劉氏考察的個案主要為：《殷芸小說》、《高僧傳》、《晉書》、《玉境台》、《剪髮待賓》、凌濛初《世說新語》鼓吹本等等。其實《世說》接受學這一主題是劉氏所擬構的六大脈絡之中，文獻資料最為龐大，所牽涉的層面最為廣泛，極不容易處理，作者亦明白的表示：「關於《世說》的接受研究，遠非幾篇文章可以道盡。上面所述，不過筆者平日較為關注的幾個個案，許多問題尚未涉及，更為深入、系統、詳盡的研究唯有俟諸來日了。」²⁰關於這方面文獻整理的工作，劉氏亦曾下過苦工夫，將歷代曾對《世說新語》下過評注箋疏的資料匯編付梓成書，書名為《世說

¹⁵ 蔡麗玲：《從晚明「世說體」著作的流行論張岱的《快園道古》》（新竹：清華大學中文所碩士論文，1992年）。

¹⁶ 姚琪姝：《「世說體」小說發展述論》（臺中：中興大學中文所碩士論文，1995年）。

¹⁷ 官廷森：《晚明世說體著作研究》（臺北：政治大學中文所碩士論文，1996年）。

¹⁸ 劉家幸：《服部南郭《大東世語》探微—兼與《世說新語》之比較研究》（臺南：成功大學中文所碩士論文，2009年）。

¹⁹ 劉強：《世說學引論》，頁131。

²⁰ 劉強：《世說學引論》，頁231。

新語會評》。²¹此書用力甚深，立基於紮實的史料文獻，尤其特別著重明清評點資料之採集，其中包括不少臺灣沒有收藏的珍貴資料。然而該書是彙編性質的學術成果，並沒有再進一步論述，所以這都顯示歷代對於《世說新語》注評箋疏仍有進一步探索之空間。²²

除了評點、箋疏之外，小說、繪畫、書法、雕刻、藝品……等等對《世說新語》的接受與詮解，相較而言就明顯乏人問津，這方面也尚有開墾的園地。另外，劉氏一書照察面主要著眼於中國境內，其實也可略為將視野拓展到域外，例如考察日本、韓國等地《世說新語》的流播情況，²³或是考察《世說新語》曾經被翻譯成哪幾國語言，在西方國度又是一個怎麼流傳的樣貌，²⁴若能如此或許會有許多讓人意想不到的發現與結果。

第四章：《世說》美學研究

這章分成人物美學、人物畫美學與接受美學三個區塊進行論述，作者認為《世說新語》中的形、神、意、氣、韻、度、才、性、情、理、識、器、格、量等概念在人物品藻和識鑒中屢屢出現，可視為魏晉人物美學的「本體論」，而清、通、簡、遠、暢、達、俊、美、朗、徹、雅、正、高、量、秀、潤等品評價值標準則構成魏晉人物美學的「認識論」，另外人物畫中「傳神寫照」的美學訴求與「以形寫神」的繪畫技法，構成魏晉人物畫「方法論」的理論體系。劉氏試圖以西方哲學概念來駕馭魏晉人物美學與人物畫美學，這樣的理解進路頗具殊趣，然是否愜切，似有商榷空間。最後，作者嘗試從西方接受美學的視野，站在讀者審美的立場，以小說特質與戲劇性特徵闡釋《世說新語》文本的美學意涵。

第五章：《世說》文化學研究

由於文化學是一個十分龐大的研究領域，劉氏自知不可能以一個章節完成如此浩大工程，故採取「詳人之所略，略人之所詳」的寫作態度，對《世說新語》所呈現的諸多魏晉文化風俗作一鳥瞰式的瀏覽，其中主題包括士、品第、清談、飲食、服飾、器物、娛樂、宗教、地域、家族、婚姻、性別、孝悌等等文化現象。此章比較特別的地方在於第三節討論《世說新語》對後世文學觀念、詩學概念、詩歌批評方法與詩話創作模式的影響，這樣的論點別具隻眼，但此小節若能歸屬〈《世說》美學研究〉似乎比較恰當。

第六章：《世說》語言學研究

劉氏先對當代《世說》語言學進行回顧與反思，獲得的結果為：專業性更明顯、分科更系統與方法更多樣，他亦勇於提出日後可以發展的幾個面向。其次以個案研

²¹ 南朝宋·劉義慶撰；梁·劉孝標注；劉強會評輯校：《世說新語會評》（南京：鳳凰出版社，2007年）。在此之前朱鑄禹先生亦從事過這樣的整理工作，見朱鑄禹：《世說新語彙校集注》（上海：上海古籍出版社，2002年）。

²² 王能憲：《世說新語研究》：「總之，《世說新語》是我國最早的一部批點小說，儘管它還不是十分完善和純粹，卻開創了這一獨特的批評形式。劉辰翁、王世懋、李卓吾等的批點，對其後金聖嘆、毛宗崗、張竹坡等的小說評點，提供了一個可供參照的範本，因此，批點《世說》的價值和意義，還有待進一步研究和總結。」（南京：江蘇古籍出版社，2000年），頁109。

²³ 可參看王能憲，〈《世說新語》在日本的流傳與研究〉，收錄於王能憲，《世說新語研究》（南京：江蘇古籍出版社，1992年），頁242-264。井波律子，〈《世說新語》在日本的流傳及研究〉，收錄於井波律子著；李慶、張榮湄譯，《中國人的機智—以《世說新語》為中心》（上海：學林出版社，1998年），頁139-158。金長煥，〈《世說新語》在韓國的流傳與研究〉，收錄於東海大學中國文學系主編，《第三屆魏晉南北朝文學國際學術研討會論文集》（臺北：文史哲出版社，1998年），頁771-788。

²⁴ 可參看唐翼明，〈評《世說新語》英譯本〉，收錄於唐翼明，《魏晉文學與玄學》（武漢：長江文藝出版社，2004年），頁222-231。

究的方式，探討清代語言學家劉淇《助字辨略》一書中對《世說新語》虛詞的研究情況。最後用釋例的方式，討論《世說新語》中 10 則的通假字與 7 則的古今字，可見其在宏觀的學術視野之外，亦有治學精細的一面。

三、「世說學」概念的顯題化

若檢視目前學界對《世說新語》的研究面向與探討視角，可以知道是非常繽紛多元與豐燦可觀。²⁵然而仔細綜觀前人的這些研究成果，可知大部分均聚焦於《世說新語》之原典文獻的探討，若再進一步檢視《世說新語》一書在歷代的流播概貌，尤其是後世讀者對於《世說新語》的傳播與接受情況，就可以發現學界對這一領域相對而言是比較忽略。²⁶或許有人會認為這是次要的研究，並非是研究《世說新語》的核心主體；然若立足於《世說新語》發展史的角度而言，或許應該給予這些文獻一定的地位。試想若沒有後人這樣的傳承，《世說新語》一書如何輾轉傳遞至今日讀者眼前。

劉氏《世說學引論》一書最大的貢獻點之一，在於將「世說學」此一學術概念給予顯題化。根據劉強教授的考察「世說學」這一名詞應為明代王世懋（1536–1588）首先提出，明人顧懋宏《世說補精華序》云：

近時何元朗氏（即何良俊）著《語林》，亦仿其（指《世說》）意；而弇州王長公（即王世貞）伯仲，特加刪定，以續《新語》，次公敬美（即王世懋）尤嗜此書，至謂之‘世說學’。²⁷

《世說新語》在歷史洪流的傳播之中，最耀眼的是在明代時期曾引起一股文人對《世說新語》的續仿與熱愛，如世說體之作品大量產生，²⁸《世說》閱讀批點的風氣大行

²⁵關於《世說新語》的當代研究情況，可以參考鄭利安編著：《魏晉南北朝史研究論文書目引得》（臺北：臺灣中華書局，1985 年），頁 139–140。洪順隆主編：《中外六朝文學研究文獻目錄·增訂版》（臺北：漢學研究中心，1992 年），頁 149–155。王能憲，〈《世說新語》研究之回顧〉，收錄於王能憲：《世說新語研究》（南京：江蘇古籍出版社，1992 年），頁 223–241。金長煥：〈《世說新語》研究資料目錄〉，《中國小說研究會報》第 28 號（1996 年 11 月），頁 88–102。王國良編輯：《魏晉南北朝文學論著集目正編》（臺北：五南圖書出版有限公司，1996 年），頁 157–170。王國良編輯：《魏晉南北朝文學論著集目續編》（臺北：五南圖書出版有限公司，1997 年），頁 56–59。王國良：〈近五十年來台灣地區六朝小說研究論著目錄〉，《古典文學通訊》第 33 期（1998 年 12 月），頁 5–13。劉強：〈二十世紀《世說新語》研究綜述〉，《文史知識》2000 年第 4 期，頁 119–127。林麗真主編：《魏晉玄學研究論著目錄（1884–2004）》（臺北：漢學研究中心，2005 年），頁 295–304 與頁 449–453。劉強；郭永輝：〈當代《世說新語》語言學研究述論〉，《同濟大學學報（社會科學版）》2006 年第 4 期，頁 68–74。何秋瑛；胡志，〈《世說新語》研究述評〉，《中南林業科技大學學報（社會科學版）》2009 年第 5 期，頁 150–152。王浩：〈20 世紀 90 年代以來《世說新語》女性形象研究綜述〉，《安徽文學》2010 年第 7 期，頁 45–46。

²⁶ 據筆者所知，近人頗為關注世說體之發展，如蔡麗玲：《從晚明「世說體」著作的流行論張岱的《快園道古》》（新竹：清華大學中文所碩士論文，1992 年）。姚琪姝：《「世說體」小說發展述論》（臺中：中興大學中文所碩士論文，1995 年）。官廷森：《晚明世說體著作研究》（臺北：政治大學中文所碩士論文，1996 年）。毛香懿：《明清世說體之著作兒童書寫析論》（嘉義：中正大學中文所碩士論文，2008 年）。……等等。

²⁷ 轉引自劉強：《世說學引論》，頁 2。

²⁸ 謝國楨：《江浙訪書記》：「自明代中期以後模仿《世說新語》的體裁，如何良俊著《何氏語林》等書不下數十種之多，成了一種風氣。」（北京：生活·讀書·新知三聯書店，2008 年），頁 180。近人寧稼雨，《世說新語與中古文化·“世說體”及其文化蘊涵》：「從唐的兩種，到宋代的三種，再到明清的幾十種，這個數字本身，說明“世說體”是在發展的。」，（石家庄：河北教育出版社，

其道²⁹，文人生活與思想亦頗多類於魏晉風度。³⁰

「魏晉風度」一詞，最早由魯迅於 1927 年的一場名為「廣州夏期學術演講會」上所拈出，他所提出的講題為「魏晉風度及文章與藥及酒之關係」，³¹雖然他並沒有正式對魏晉風度一詞下定義，但他仍透過魏晉文章之清峻、通脫等風格與名士之服藥飲酒的風氣，來鋪陳闡釋魏晉風度。自從此後，魏晉風度這一文化概念屢屢被提起，或加以衍繹，如馮友蘭於 1943 年發表〈論風流〉一文，³²將魏晉風度一詞換為魏晉風流，並進一步闡釋其構成條件，即玄心、洞見、妙賞與深情。考察中國魏晉以後的歷史的發展情況，可知魏晉風度確實有著一股莫名吸引讀書人的力量，尤其是明清時期，如以李贄其人其行作為案例而言，可以發現其言行頗多類於魏晉名士之風度，如其〈自贊〉言：

其性褊急，其色矜高，其詞鄙俗，其心狂癡，其行率易，其交寡而面見親熱。其與人也，好求其過，而不悅其所長；其惡人也，既絕其人，又終身欲害其人。³³

而較之嵇康〈與山巨源絕交書〉

足下傍通，多可而少恠。吾直性狹中，多所不堪，偶與足下相知耳，間聞足下遷，惕然不喜，恐足下羞庖人之獨割，引尸祝以自助，手薦鸞刀，漫之羶腥。」³⁴

李贄在〈自贊〉描述自己的個性褊急、行為率易、內心狂癡，這與嵇康在〈與山巨源絕交書〉說自己「直性狹中，多所不堪」相當的類似。嵇康文中雖然非常客氣婉拒山濤邀其出仕的好意，然細讀通篇文章，可以發現嵇康非常不認同山濤「傍通、多可、少恠」的為人處世之道，故後文聽說山濤又升官，其反應為「惕然不喜」，以庖祝之喻暗諷山濤一身羶腥。李贄「褊急、狂癡、率易」的個性行為與嵇康「剛腸疾惡，輕肆直言，遇事便發」³⁵也頗有異曲同工之處。除此之外，李贄批判、反諷假道學之言論，與嵇康、阮籍反禮教、諷刺禮法之士更是如出一轍。李贄與當世學者

1994 年），頁 298。

²⁹ 明代文人曾閱讀批點《世說新語》有：楊慎（1488～1559）、何良俊（1506～1573）、王世貞（1526～1590）、李卓吾（1527～1602）、王世懋（1536～1588）、黃輝（？～？）、袁中道（1570～1626）、王思任（1574～1646）、鍾惺（1574～1624）、凌濛初（1580～1644）、張懋辰（？～？）、馮夢龍（1574～1646）……等等。

³⁰ 參閱宮曉衛：《王士禎·三、揚州五年》（上海：上海古籍出版社，1993 年），頁 38。周策縱：《紅樓夢案：棄園紅學論文集·十三、周汝昌著《曹雪芹小傳》序》（香港：中文大學出版社，2000 年），頁 169–184。余英時：《紅樓夢的兩個世界·曹雪芹的反傳統思想》（上海：上海社會科學院出版社，2002 年），頁 201–220。余英時講，吳齊仁整理：〈魏晉與明清文人生活與思想之比較〉，《中國時報》第八版，1985 年 6 月 24–25 日。王汎森：《晚明清初思想十論·清初士人的悔罪心態與消極行為——不入城、不赴講會、不結社》（上海：復旦大學出版社，2004 年），頁 193。郭玉雯：〈《紅樓夢》與魏晉名士思想〉，《漢學研究》第 21 卷第 1 期，2003 年 6 月，頁 335–365。于浴賢：〈論李贄的魏晉情結〉，《泉州師範學院學報（社會科學）》第 26 卷第 3 期，2008 年 5 月，頁 1–7。

³¹ 收入《而已集》，見魯迅：《魯迅雜文全編·第 2 卷》（北京：人民文學出版社，2006 年），頁 269–299。

³² 收入《南渡集》，見馮友蘭：《三松堂全集·第 5 卷》（鄭州：河南人民出版社，2000 年），頁 309–317。

³³ 明·李贄撰；張建業主編：《李贄文集·焚書》（北京：社會科學文獻出版社，2000 年），頁 121。

³⁴ 三國魏·嵇康著；戴明揚校注：《嵇康集校注》（北京：人民文學出版社，1962 年），頁 113。

³⁵ 三國魏·嵇康著；戴明揚校注：《嵇康集校注·與山巨源絕交書》，頁 123。

之針鋒相對是眾所周知的事情，他曾用尖銳的語言文字批評假道學，如：「以孔子之是非為不足據」³⁶、〈答耿司寇〉：「以此而觀，所講者未必公之所行，所行者又公之所不講，其與言顧行、行顧言何異乎？」³⁷〈復焦弱侯〉：「本為富貴，而外矯詞以為不願，實欲托此以為榮身之梯，又兼採道德仁義之事以自蓋。」³⁸這樣的言論與如嵇康的「非湯、武，而薄周、孔」、³⁹「越名教而任自然」、⁴⁰「以六經為蕪穢，以仁義為臭腐」，⁴¹阮籍的「禮豈為我輩設也？」⁴²與〈大人先生傳〉中對禮法之士進行極盡調侃諷刺之能事⁴³……等等，頗為類似。就連李贄也曾說過自己對魏晉人物心嚮往之，尤其是嵇康。

〈答焦漪園〉：「竊以魏、晉諸人標致殊甚。」

〈絕交書〉：「此書實峻絕可畏，千載之下，猶可想見其人也。」

〈養生論〉：「以此聰明出塵好漢，雖向、阮亦無如之何，真令人恨恨。雖然，若其人品之高，文辭之妙，則豈“七賢”之所可及哉！」

〈思舊賦〉：「夫康之才之技，亦今古所有；但其人品氣骨，則古今所希也。」⁴⁴

《初潭集·師友·標榜》批曰：「甚矣，史之文勝質也。方其揚搥不顧之時，目中無鍾久矣，其愛惡喜怒為如何者。此雖中散之累，而不足以損中散之高，胡為乎蓋之哉！」⁴⁵

³⁶ 中央研究院歷史語言研究所校刊：《明實錄·明神宗實錄·卷三六九》（臺北：中央研究院歷史語言研究所，1964年），頁6918。另外〈藏書世紀列傳總目論〉亦有類似的言論，其云：「咸以孔子之是非為是非，故未嘗有是非耳。……雖使孔夫子復生於今，又不知作如何非是也，而可遽以定本行罰賞哉！」見明·李贄撰；張建業主編：《李贄文集·藏書上》，頁7。

³⁷ 明·李贄撰；張建業主編：《李贄文集·焚書》，頁28。李贄甚至更嚴厲批判耿定向說謊、名心太重、回護太多、偏私所好、執定己見。見明·李贄撰；張建業主編：《李贄文集·焚書》，頁30-31。

³⁸ 明·李贄撰；張建業主編：《李贄文集·焚書》，頁42。這樣的諷刺在〈又與焦弱侯〉也再一次提出來，其云：「展轉反覆，以欺世獲利，名為山人而心同商賈，口談道德而志在穿窬。」見明·李贄撰；張建業主編：《李贄文集·焚書》，頁45。

³⁹ 三國魏·嵇康著；戴明揚校注：《嵇康集校注·與山巨源絕交書》，頁122。

⁴⁰ 三國魏·嵇康著；戴明揚校注：《嵇康集校注·釋私論》，頁234。

⁴¹ 三國魏·嵇康著；戴明揚校注：《嵇康集校注·難自然好學論》，頁263。

⁴² 劉宋·劉義慶撰；梁·劉孝標注；余嘉錫箋疏：《世說新語箋疏·任誕·7》（臺北：華正書局，2002年），頁731。

⁴³ 阮籍〈大人先生傳〉：「汝獨不見乎蝨之處乎禪中，逃乎深縫、匿乎壞絮，自以為吉宅也。行不敢離縫隙，動不敢出禪襠，自以為得繩墨也。饑則囓人，自以為無窮食也。然炎丘火流，焦邑滅都，羣蝨死於禪中而不能出。汝君子之處區內亦何異夫蝨之處禪中乎？悲夫！而乃自以為遠禍近福，堅無窮已。」又曰：「汝君子之禮法，誠天下殘賊、亂危、死亡之術耳；而乃目以為美行不易之道，不亦過乎！」分別見三國魏·阮籍著；陳伯君校注，《阮籍集校注》（北京：中華書局，2004年），頁165-166與頁170。李贄在〈因記往事〉中也調侃當世學者曰：「平居無事，只解打恭作揖，終日匡坐，同於泥塑，以為雜念不起，便是真實大聖大賢人矣。其稍學姦詐者，又攬入良知講席，以陰博高官。一旦有警，則面面相覷，絕無人色，甚至互相推委，以為能明哲。」見明·李贄撰；張建業主編：《李贄文集·焚書》，頁147。從這些調侃文字，均可見阮、李二人諷刺手法之相似。

⁴⁴ 以上四則文獻分別見明·李贄撰；張建業主編：《李贄文集·焚書》，頁7、頁191、頁191與頁193。

⁴⁵ 見明·李贄撰，《初潭集》，收入於《續修四庫全書》編纂委員會編：《續修四庫全書》第1189

從這些文獻資料可以看出李贄非常欣賞魏晉名士之風流精神，嵇康的人品氣骨更是李贄心目中理想人格之典範。除此之外，李贄亦曾對《世說新語》進行閱讀、編輯與批點，⁴⁶進而抒發自身情感，嘗云「至潭而讀之，讀而喜，喜而復合，賞心悅目於是焉在矣。」⁴⁷、「落髮龍潭時即纂此」，⁴⁸從這裡均可看出李贄嗜讀《世說新語》一書。以上這些文獻是劉氏一書所忽略的部份，在此將這些資料呈現出來，主要是讓人可以更清楚知道「魏晉風度」對明代人實有著深深的吸引魅力，這或許可以補強劉氏的見解。

劉氏除了從古代典籍中梳理出「世說學」一詞的出處，更進一步對「《世說》學」此一名詞下一詳細界義，⁴⁹劉強《世說學引論》云：

“《世說學》”，顧名思義，乃是以《世說》為中心的所有學術研究的總稱，一種學術研究一旦以“學”名之，必須滿足以下條件：首先，研究對象自身必須具有豐富的文化蘊含和廣闊的闡釋空間；其次，研究對象在其所以產生的文化語境中有著舉足輕重的地位，並對後世的文化生態產生過深遠影響；第三，對此一對象的研究已經或開始具備相當的規模，在時間和空間、深度和廣度上擁有相當的基礎，能夠形成自身較為獨立的學術譜系。⁵⁰

劉氏在這樣的界義之下進行「世說學」研究框架的建構，嘗試從共時性與歷時性兩個視野來觀察，認為「世說學」的研究分類區分為文獻學、文體學、美學、接受學、語言學及文化學等六個分支；其研究型態區分為版本系統、校注系統、批點系統、續仿系統等四個系統；其發展分期區分為史學期、說部期、小學期、綜合期等四期，經由劉氏這樣的擬構，世說學研究之議題逐漸顯題化。繼劉氏之後，陸續亦見其他學人從事這方面的探究，如李佳玲《李慈銘批注《世說新語》研究》，⁵¹甄靜《元明清時期《世說新語》傳播研究》，⁵²楊之嫻《《世說新語》歷代重要評注的比較研究》，⁵³林威宇《從互文性觀點探察辛棄疾詞對《世說新語》的引用及其生命情調的反映》，⁵⁴林玉敏《從互文性觀點看魏晉風流在李白詩中的體現——以山簡、謝安、王子猷為例》……⁵⁵等等，此足見劉氏之作所引發的拋磚引玉功效。⁵⁶

冊（上海：上海古籍出版社，2002年），頁11。

⁴⁶ 李贄對《世說新語》的批點，目前可見於兩種著作，一為萬曆十六年（1588年）編纂成的《初潭集》；另一為萬曆年間刊行的《李卓吾批點世說新語補》。

⁴⁷ 見明·李贄撰，《初潭集·又敘》，收入於《續修四庫全書》編纂委員會編：《續修四庫全書》第1188冊，頁520。

⁴⁸ 見明·李贄撰，《初潭集·序》，收入於《續修四庫全書》編纂委員會編：《續修四庫全書》第1188冊，頁517。

⁴⁹ 近人江建俊教授亦曾多次倡導「《世說》學」這一概念，其在對金長煥，〈《世說新語》在韓國的流傳與研究〉一文的講評稿云：「此論文之價值：（1）為東亞世說學之完整性提供很大的貢獻。……可否深入韓國迎接世說的時代背景、韓國世說學的特色、所重、與中、日學者的研究成果有何差異…等。」，收錄於東海大學中國文學系主編，《第三屆魏晉南北朝文學國際學術研討會論文集》（臺北：文史哲出版社，1998年），頁788。

⁵⁰ 劉強：《世說學引論》，頁1。

⁵¹ 李佳玲：《李慈銘批注《世說新語》研究》（高雄：中山大學中文所碩士論文，2008年）。

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⁵³ 楊之嫻：《《世說新語》歷代重要評注的比較研究》（臺北：臺北大學古典文獻學所，2011年）。

⁵⁴ 林威宇：《從互文性觀點探察辛棄疾詞對《世說新語》的引用及其生命情調的反映》（臺中：中興大學中文所碩士論文，2010年）。

⁵⁵ 林玉敏：《從互文性觀點看魏晉風流在李白詩中的體現——以山簡、謝安、王子猷為例》（臺中：中興大學中文所碩士論文，2010年）。

四、《世說》詮釋學成立的可能性

經由如上的論述，可知「世說學」這一議題尚有許多進一步的探索空間，若以劉氏所擬構的研究框架而言，筆者認為《世說》接受學此一體系過於龐大，似有進一步細分的空間，或許可以將「接受」與「詮釋」分開討論，劉氏所說的《世說》接受學此一面向仍極具文獻梳理的必要性與主題研究的拓深性。就梳理文獻資料而言，目前已經有朱鑄禹先生⁵⁷與劉強先生⁵⁸做過初步的整理工作，然而他們所整理出來的彙編資料，仍然存在許多問題，如朱鑄禹《世說新語彙校集注》仿照眉批的形式，輯錄宋明諸家評點之語於文本上方，然而這樣的編輯方式卻忽略評點者有時是採取圈點、夾批的方式，所以採用這樣的編輯方式容易滑失評點者當下所想表達之意見與閱讀感受，進而造成判讀文獻的困擾。這還是小問題，其最大的問題在於遺珠棄璧之憾、張冠李戴之失，甚至將程炎震《世說新語箋證》許多看法視為自己的見解，實有違學術倫理。⁵⁹劉強《世說新語會評》明顯是發覺出朱鑄禹《世說新語彙校集注》之問題所在，所以增補了許多宋明評點文獻，其中亦包括許多的近人評論資料，但其所收錄近人的評論文獻，有許多是在不同情況之下觸及《世說新語》，這與宋明評點性質不一樣，若硬將它們放在一起，似難以統一收錄標準，進而可能引起他人批評自己也有搜集不全的毛病。另外其編輯方式則是將所有的評語置於文本後方，如此方式仍會造成閱讀的誤解與困擾，失去評點之原味。兩位前輩學人的文獻匯編雖然有所缺失，但仍必須給予鼓勵與肯定，因為若沒有這些基礎文獻材料的匯聚整理，後續的研究工作勢必更難進行。

另就主題研究的拓深而言，目前已有些許的個案研究成果，雖然已經有人著手整理與研究，然而都因為缺乏整體視域的觀照，因此可說是見樹不見林，正因為如此，此一主題尚有許多的研究空間，如以詮解這一系統為說明例子，歷代關於《世說新語》詮解的文獻非常龐雜，因此必須在眾多的資料中擇取出比較具有代表性的箋釋批點者進行「個案研究法」，這些探討的個案如劉孝標、劉辰翁、李卓吾、王世懋、凌濛初、李慈銘、余嘉錫等人，進而由每一個案的「點」串聯成一條「線」，當此線一出，其「史」的脈絡就自然成形，其間又透過史敬胤、劉知幾、劉應登、楊慎、何良俊、王世貞、黃輝、袁中道、王思任、鍾惺、張懋辰、馮夢龍、方苞、文廷式、王先謙、葉德輝、嚴復、程炎震、劉盼遂、李審言等人作為支援輔助的角色，如此一來，《世說》詮釋系統的網絡就能相對完整的建構。

當代學界對西方「詮釋學」、「敘事學」等議題相當感興趣，也廣泛運用來研究在中國古代經典，採取這樣研究進路而獲得的學術成果頗為豐燦可觀，因此可以《世說》註解學與西方「詮釋學」、「敘事學」進行對話，進而拓深《世說學》的研究廣度與深度。另外當今學界一直在討論「傳統經典與詮釋」之議題，筆者認為歷代《世說》詮解史是一個非常好的釋例，因為歷代《世說》的詮解兼涉「文體本源」與「影響流行」之問題，正好是經典詮釋學的落實與具現。自從《世說新語》問世之後，後代無數箋釋的文獻如同涓涓細流，逐漸匯聚成《世說》學洪流，馳騁於中國文化的歷史長河之中，而這文化的泉源灌溉士人的心田，然而歷來學界的研究均聚焦在

⁵⁶ 劉氏此書雖然是在 2012 年 7 月才出版面世，然該作是在其 2004 年博士論文的基礎修訂而來，且其博論在網路上是開放下載瀏覽；此外《世說新語會評》是劉氏《世說學引論》的文獻整理工具書，故言劉氏之作具有拋磚引玉之功效應不為過。

⁵⁷ 朱鑄禹：《世說新語彙校集注》（上海：上海古籍出版社，2002 年）。

⁵⁸ 劉強：《世說新語會評》（南京：鳳凰出版社，2007 年）。

⁵⁹ 劉強：〈一則以喜，一則以憾：朱鑄禹《世說新語彙校集注》指瑕〉，《讀書》2003 年第 9 期，頁 155-158。

《世說新語》文本本身的探討，卻忽略對歷代的箋釋文獻進行整理與研究，因此使得「世說詮釋學」始終是隱微而不彰，若能對此一論題進行完整的文獻整理與深入的探究，相信此舉能使「世說學」更為完整，進而與「三國學」、「文選學」、「水經學」並列以觀。⁶⁰

五、結論

劉強教授以宏觀的視角與多層面的進路勾勒出《世說》學的研究架構，對於當今學界在《世說》學的探索上提供了值得期待的研究願景。然而此書仍有商榷的地方，例如將《世說》學的研究分類為文獻學、文體學、美學、接受學、語言學及文化學等六個分支，其對此六類的分類判準依據為何？這樣的分類可能有重疊之處，似乎不夠周延，如同其師駱玉明教授在序中所言「某些局部難免牽強之感」，⁶¹又如其在〈緒論〉將《世說》學的研究型態上區分為版本系統、校注系統、批點系統、續仿系統等四個系統，至於發展分期上則歸結出史學期、說部期、小學期、綜合期等四個階段，關於這部分的闡釋上，作者在其後的行文論述上可以再進一步強化。如上所提的這些商榷與建議之處其實都是見仁見智的問題，全書整體上仍是瑕不掩瑜的，可謂是一部優秀的學術作品，尤其是作者試圖擬構「世說學」研究藍圖的企圖心，當可引起學界的注意。

最後筆者也殷切期盼見到《世說新語》研究文獻整理之相關工具書的出版，⁶²諸如「世說學研究論著目錄彙編（1949～迄今）」這類的參考工具書，相信此種工具書的出版對「世說學」的研究具有方便與深化之作用。⁶³劉強《世說學引論》一書出版之後，已可看出「世說學」研究已從「點」的研究邁向「線」的進程，至於如何提升研究水準，深化至「面」的階段，可能是後進研究者需要思索與討論的方向，透過面與面的結合，相信日後便能看到更多元面向的「世說學」圖景。

⁶⁰ 清·紀昀總纂，《四庫全書總目提要·卷一百四十》：「孝標所注特為典贍，高似孫《緯略》亟推之，其糾正義慶之紕繆，尤為精核。所引諸書，今已佚其十之九，惟賴是注以傳，故與裴松之《三國志注》、酈道元《水經注》、李善《文選注》，同為考證家所引據焉。」（石家莊：河北人民出版社，2000年），頁3562。從紀昀之評語，此四本註解之書，其價值可想而知，然目前學界極少人對此四書的註解方法進行比較性的研究。

⁶¹ 劉強：《世說學引論》，頁4。劉氏亦自言：「儘管對《世說》學六大分支的釐正，難免存在不夠周延的地方，特別是，在具體的研究中，各種研究領域和方法常常可以“兼容並包”，如本書的《世說》美學研究與文體學和文化學的個別章節“置換”一下也無太大問題。」，頁412-413。

⁶² 目前有關研究《世說新語》的工具書，如引得編纂處，《世說新語引得附劉注引書引得》（北平：燕京大學圖書館，1933年）。高橋清編：《世說新語索引》（臺北：臺灣學生書局，1972年）。古田敬一輯：《世說新語校勘表附佚文》（京都：中文出版社，1977年）。張永言編：《世說新語辭典》（成都：四川人民出版社，1992年）。張萬起編：《世說新語詞典》（北京：商務印書館，1993年）。

⁶³ 據劉強《世說學引論》書中註文，可知劉氏已經整理出「20世紀世說學著述論文編年目錄」，期望劉氏將該著作儘快付梓成書，以利深化世說學之研究。見劉強：《世說學引論》，頁363。

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A Political-Economic Comparative Analysis between *the Fable of the Bees* and *Chi-mi*

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Abstract

The Fable of the Bees argues that private vices like human wants, vanity and extravagant consumption bring forth public benefits like charity, division of labor, hard work, innovation, social progress and prosperity. The chapter of *Chi-mi* in *Guan Zi* advocates extravagant consumption by the rich and powerful to stimulate economic prosperity and employment especially in times of natural disaster and economic downturn. *The Fable of the Bees* and *Chi-mi* share many similarities in their economic reasoning. However, their fates, political backgrounds and objectives are quite different.

The Fable of the Bees was written in England a few decades after the Glorious Revolution. It opposes putting religious and moral restraints on consumption. It acknowledges the following preconditions for turning private vices into public benefits: security of private property, political equality, the rule of law and freedom of thoughts. These preconditions were largely satisfied in post Glorious Revolution England. The triumph of parliamentary supremacy resolved major political conflicts between the landed aristocracy and the middle class. Furthermore, great power rivalry among European states prompted many intellectual enquiries into state powers and the nature of wealth. Consequently, *The Fable of the Bees* inspired classical economics.

Chi-mi is a statecraft, its main concern is the centralization of power. It advocates extravagance as a means to strengthen the control of the sovereign over powerful lords, officials and aristocrats to reduce their wealth and power thus avoid their challenges to the political center. Despite the calls for consumption, *Chi-mi* places the status of agriculture over that of commerce and industry. *Chi-mi* was written during the formation period of the traditional centralized imperial state of China. China maintained such political ideology for the next two millennium where internal political control and stability were the main concern of the empire. Therefore, mind control regime (including the Confucian orthodoxy) was firmly established while commerce and industry were suppressed. Furthermore, the lack of a competitive external environment means that there was no motive to inquire into the state power and the nature of wealth. Consequently, *Chi-mi* became virtually obsolete.

Keywords: mercantilism, liberalism, classical economics, statecraft, legalism, extravagance, luxury

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《蜜蜂的故事》與《侈靡》之比較政治經濟分析

丁志鳴*

摘要

《蜜蜂的寓言》認為欲望，虛榮和奢侈的消費等私人的惡習帶來慈善事業，專業分工，辛勤的工作、創新、社會的進步和經濟繁榮等公共的利益。《管子》的《侈靡》主張讓富商與權貴奢侈消費來刺激經濟的繁榮和就業，特別是在自然災害和經濟不景的時候。《蜜蜂的寓言》和《侈靡》的經濟推理有很多相似之處。然而，他們的命運和政治背景和目標卻大不相同。

《蜜蜂的寓言》寫於英國的光榮革命後的幾十年。它反對宗教和道德對消費的約束。它認識到私人的惡習要變成公共的利益有一些先決條件，包括私有財產的保障，政治上的平等，法治和思想的自由。在英國光榮革命後，這些先決條件基本上都滿足了。國會至上的勝利，解決了貴族和工商階級之間的主要政治矛盾。而歐洲國家間的權力的競爭，則促使了許多關於的國家的實力和財富的本質和來源的探討。因此，《蜜蜂的寓言》啟發了古典經濟學。

《侈靡》是一種政治權謀，它的主要關注的是集權。其目的是國家通過鼓勵鋪張浪費的政策來控制強大的富商，官員和貴族和削弱他們的財富和權力，以免他們對中央政治中心形成挑戰。所以儘管呼籲消費，《侈靡》強調農業的地位在工商業之上。《侈靡》寫作於中國傳統的中央集權帝國形成的時期。在未來的兩千年內，中國大致上維持著這種政治形態。內部的政治控制和穩定是帝國主要的關注。因此，有了控制思想的政策（包括獨尊儒術）和抑商政策。而且，外部環境缺乏競爭。於是，缺乏了對國家的實力和財富的性質和原因的研究和探索。因此，《侈靡》幾乎被遺忘。

關鍵詞：重商主義、自由主義、古典經濟學、政治權謀、法家、揮霍無度、奢侈

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Introduction

In *The Fable of the Bees*, Barnard Mandeville (AD 1670-1733) argues that wants of the mind and extravagant consumption are the cause of progress and prosperity of society. Wants of the mind and extravagant consumption bring forth hard work and innovations that raise output and productivity.

About two thousand years ago, ancient China produced the essay *Chi-mi* (侈靡). It is a chapter in *The Book of Guan Zi* (管子). *Chi-mi* advocates extravagant spending in the pursuit of pleasure and luxurious living by the rich and powerful to stimulate economic prosperity and employment especially during the time of natural disasters and economic distress.

The Fable of the Bees inspired classical economics. Adam Smith, for instance, took important elements from Mandeville to build his own theoretical system and followed the path of economic analysis beyond moral considerations.¹ The economic reasoning of *Chi-mi* however was almost forgotten and produced no major intellectual descendants in the long two millennium history of pre modern China.² Why did *Chi-mi* have such a different reception from its English counterpart?

Section two studies the economic reasoning and liberal inclinations of *The Fable of the Bees*. Section three analyzes the economic reasoning and statecraft considerations of *Chi-mi*. Section four examines why the two defenses for extravagant consumption spending met with so different fates. Section five concludes the paper.

The Fable of the Bees

Mandeville's *The Fable of the Bees* is the most well known and controversial among the earlier defenders for extravagant spending.³ Mandeville argues that wants of the mind spurs progress while abundance in natural condition causes stagnation. Extravagance in consumption increases desires of human beings and is therefore good for society as it will bring forth greater work effort and economic prosperity.

Mandeville argues that amiable natural environment causes economic underdevelopment since nature provides man with almost everything he needs:

“Let us examine then what things are requisite to aggrandize and enrich a nation. The first desirable blessings for any society of men are a fertile soil and a happy climate, a mild government, and more land than people. These things will render man easy, loving, honest and sincere. In this condition they may be as virtuous as they can, without the least injury to the public, and consequently as happy as they please themselves. But they shall have no arts or sciences, or be quiet longer than their neighbours will let them; they must be poor, ignorant, and almost wholly destitute of what we call the comforts of life, and all the cardinal virtues together won't so much as procure a tolerable coat or a porridge-pot among them: for in this state of slothful ease and stupid innocence, as you need not fear great vices, so you must not expect any considerable virtues. Man never exerts himself but when he is rous'd by his desires: while they lie dormant, and there is nothing to raise them, his excellence and abilities will be for ever undiscover'd, and the lumpish machine, without the influence of his passions, may be justly compar'd to a

¹ Refer to Prieto (2004, 1, 14-21).

² 陸輯 of Ming Dynasty advocated policies proposed by *Chi-mi*.

³ Refer to Chalk (1966, 5-6) and Rashid (1985, 313- 317).

huge wind-mill without a breath of air.” (Mandeville, 1924, part I, p. 183-4)

A hostile natural environment and wants of the mind are therefore blessings in disguise.

The wants of the mind spur man to labor and innovations:

“whereas the excellency of human thought and contrivances has been and is yet no where more conspicuous than in the variety of tools and instruments of workmen and artificers, and the multiplicity of engines, that were all invented either to assist the weakness of man, to correct his many imperfections, to gratify his laziness, or obviate his impatience.” (Mandeville, 1924, part I, p. 367)

Desires and vices bring forth progress:

“Thus vice nurs’d ingenuity, which join’d with time and industry, had carry’d life’s conveniences. It is real pleasures, comforts, ease, to such a height, the very poor liv’d better than the rich before, and nothing could be added more.” (Mandeville, 1924, part I, p. 26)

Among the vices that Mandeville has in mind are: “the love man has for his ease and security, and his perpetual desire of meliorating his condition.” (Mandeville, 1924, part I, p. 180)

The vices also include lust and vanity: “Millions endeavouring to supply each other’s lust and vanity.” (Mandeville, 1924, part I, p. 18)

Mandeville’s favorite vice is vanity:

“To this emulation and continual striving to out-do one another it is owing, that after so many various shiftings and changings of modes, in trumping up new ones and renewing of old ones, there is still a plus ultra left for the ingenious; it is this, or at least the consequences of it, that sets the poor to work, adds spurs to industry, and encourages the skilful artificer to search after further improvement.” (Mandeville, 1924, part I, p. 130)

Private vices and imperfections contribute to public benefits: “But the necessities, the vices and imperfections of man, together with the various inclemencies of the air and other elements, contain in them the seeds of all arts, industry and labour.” (Mandeville, 1924, part I, p. 366)

The end result is greater prosperity and specialization of labor in society:

“The greater the variety of trades and manufactures, the more operose they are, and the more they are divided in many branches, the greater numbers may be contained in a society without being in one another’s way, and the more easily they may be render’d a rich potent and flourishing people.” (Mandeville, 1924, part I, p. 367)

Mandeville defends private vices (including extravagance) by the public benefits (including increased employment and innovations and charity works) they generated. Mandeville stresses that vanity, that is, the concern for social status, leads to consumption of luxury. That in turns leads to greater work effort, innovation, greater specialization of labor and thereby increases the wealth of the nation. Therefore, private vices, including extravagance in consumption, are public benefits. This is the famous Mandevillian paradox.

Mandeville attacks frugality and argues that luxury employs people:⁴ “The root of evil, avarice, that damn’d ill-natur’d baneful vice, was slave to prodigality, that noble sine; whilst extravagance employ’d a million of the poor, and odious pride a million more.” (Mandeville, 1924, part I, p. 25)

Virtues, in contrast, are no basis for exchange, interdependence and specialization of

⁴ Refer to Prieto (2004, 16).

labor and therefore could not be a basis for society:

“for as this is entirely built upon the variety of our wants, so the whole superstructure is made up of the reciprocal services, which men do to each other.....To expect, that others should serve us for nothing, is unreasonable; therefore all commerce, that men can have together, must be a continual bartering of one thing for another.” (Mandeville, 1924, part II, p. 349)

Virtues are only fit for a small nation: “Few virtues employ any hand, and therefore they may render a small nation good, but they can never make a great one.” (Mandeville, 1924, part I, p. 367)

Mandeville argues that even for charity, selfish passions such as pride and vanity have more contributions than virtues: “Pride and Vanity have built more Hospitals than all the Virtues together.”

Mandeville argues that it is the individual’s concern with status which inspires diligence.⁵ “A Search into the Nature of Society” also stresses the same point:

“here a man has every thing he desires, and nothing to vex or disturb him, there is nothing can be added to his happiness; and it is impossible to name a trade, art, science, dignity or employment that would not be superfluous in such a blessed state. If we pursue this thought we shall easily perceive that no societies could have sprung from the amiable virtues and loving qualities of man, but on the contrary that all of them must have had their origin from his wants, his imperfections, and the variety of his appetites: we shall find like-wise that the more their pride and vanity are display’d and all their desires enlarg’d, the more capable they must be of being rais’d into large and vastly numerous societies.” (Mandeville, 1924, part I, p. 346-347)

There are of course preconditions for private vices to turn into public benefits. These preconditions are:

“Would you render a society of men strong and powerful, you must touch their passions. Divide the land, tho’ there be never so much to spare, and their possessions will make them covetous: rouse them, tho’ but in jest, from their idleness with praises, and pride will set them to work in earnest: teach them trades and handicrafts, and you’ll bring envy and emulation among them: to increase their numbers, set up a variety of manufactures, and leave no ground uncultivated; let property be inviolably secured, and privileges equal to all men; suffer no body to act but what is lawful, and every body to think what he pleases; for a country where every body may be maintained that will be employ’d, and the other maxims are observ’d, must always be throng’d and can never want people, as long as there is any in the world.” (Mandeville, 1924, part I, p. 184)

The preconditions are sanctity of private property rights, political equality, the rule of law and the freedom of thoughts.⁶

Chi-mi

Chi-mi agrees with Mandeville’s argument that wants of the mind spurs employment and production and hence extravagance should be encouraged:

“Let those who have accumulated wealth dress and eat in lavish fashion, use highly decorated carriages and horses in an extravagant way, and consume

⁵ Refer to Dew (2005, 154-5).

⁶ This argument is shared by the classical economist. Refer to Rosenberg (1963, 187-191) and Chalk (1966, 12).

large quantities of sweet wine in a luxurious manner. Then no one, even in a thousand years, will ever lack for food. This is because there will have been the promotion of essential production. The income from harvests in the outer districts is especially important. The use of this income should be controlled. If it is not controlled, it will accumulate in the markets. If it accumulates either in the hands of those below or those on high, it means that profits will be irregular. For the hundred surnames, nothing is more precious. They consider profit above all. Both those on high and those below will concentrate where profits are to be found. Once there is profit, goods can circulate. Once they circulate, a ruler may establish a true state. If profits fail to materialize, people will look for places where they are forthcoming and move there. When you observe members of the gentry who cannot be employed, reduce them to ordinary people's level. Select those of good reputation, those who demonstrate their goodness unceasingly, should be treated as national models." (Rickett, 1985, p. 315-316)

Chi-mi goes to the extreme of advocating extravagance for the dead:

"Have the rich build grandiose tombs to employ the poor, construct highly elaborate graves sites to employ engravers and sculptors, use large coffins to provide work for carpenters, and prepare numerous sets of funerary clothing and coverlets to provide work for seamstresses. Since this is still not enough, there should be bundles containing different gradations of sacrificial meat, containers holding different types of grain, and funerary objects of metal, pottery, and jade. Doing this provides a source of living from which, thereafter, all people benefit, and it is appropriate even when the country is preparing for war." (Rickett, 1985, p. 319)

Despite its proposal for extravagance in consumption, *Chi-mi* emphasizes the agricultural sector above the commercial and industrial sectors. *Chi-mi* considers agriculture as essential and commercial and industrial as subsidiary:

"When cities are poor, but outlying areas are prosperous, nothing could be better for the court. When the cities are rich, but outlying areas are poor, nothing is more efficacious than having markets. Markets are stimulators. As stimulators, they are a means to develop essential production. When they are well managed, subsidiary production will develop. Without extravagant spending for consumer and extravagance goods, essential production cannot be firmly established." (Rickett, 1985, p. 306.)

The purpose of encouraging extravagance in consumption is to promote agricultural production:

"Nothing is better than a policy of extravagance in spending. If the prince treats the necessities of life as having little value but useless things with great respect, man can be shaped at will. Accordingly, the prince should treat grain as having little value but pearls and jade with respect. Likewise, he should express his liking for ceremony and music but belittle productive enterprise. Such a policy is the beginning of essential production." (Rickett, 1985, p. 306-307)

Chi-mi argues that due to scarcity in natural resources, commerce and industry are necessary for supporting the population. Yet, agriculture is still the most important:

"Land has become expensive and the population has increased. Broken and exhausted and unable to support themselves, people have prospered only by pursuing nonessential production. For this reason, they denigrate the empty name of agricultural and esteem the reality of trade and handicraft production.

The sage pays special attention to essential production so that his people may indulge in various pleasures, including music and chess.” (Rickett, 1985, p. 305-306)

It is important to note that *Chi-mi* is not speaking on behalf of the commercial class. *Chi-mi* in fact criticizes them for not being loyal and useful to the sovereign:

“After doing this, have itinerant merchants move into the country. These are not ordinary people. They claim no district as their home nor adopt any prince as the object of their service. When selling, it is to seek profit; when buying, it is not to acquire possessions. From the country’s mountains and forests they take what they can for profit. In the official markets, their income will amount to twice their capital expenditures. Because of these flourishing markets, those on high will indulge in extravagant spending while their subordinates will be given to luxurious living, and both the prince and his ministers will benefit accordingly. When both those on high and those below feel close to one another, the wealth of the prince and his ministers need not be hidden away. This being so, the poor will have work to do and food to eat. Moving people from feudal estates to the markets is another way to solve this problem.” (Rickett, 1985, p. 329-330)

Chi-mi is not mercantilist nor advocates the importance of commerce. It does not advocate greater autonomy or political power or higher social status for the commerce class. The main targets of *Chi-mi*’s extravagance policy are the powerful feudal lords and members of the officialdom, as well as rich merchants. The extension of the special privilege to luxurious consumption to the powerful lords and officers and rich merchants is to make them willing to serve the sovereign: “One must expound the benefits of Earth so that the people may become prosperous, and promote extravagant spending so that one may gain the allegiance of the gentry.” (Rickett, 1985, p. 309)

Chi-mi proposes extravagant consumption for the rich merchants and powerful lords and officers as a mean of statecraft.⁷ *Chi-mi* is a way to control the powerful and rich subordinates and associates of the sovereign. It does so by satisfying the desires of the subordinates and associates for extravagant consumptions and thereby inducing them to exert effort for the sovereign:

“Should you, our present prince, become involved in war, I suggest that you act in accordance with what the people consider important. Drink and food, extravagance and pleasure - these are what the people want. Satisfy their desires and supply their wants, then you will be able to employ them. Now, if they are forced to wear skins for clothing, fashion their hats from animal horn, eat wild grasses, and drink raw water, who will be able to employ them?” (Rickett, 1985, p. 310-311)

Encouraging the rich and powerful to consume extravagantly not only increases social stability by reducing income inequality, it also reduces the wealth of the rich and powerful and thereby their ability to resist or rebel against the power of the sovereign:

“Lengthen the mourning period to reduce the time a family may be rich. See the funeral escort is very lavish so the rich will spend their money. Keeping relatives coming and going is a way to keep people cooperative. This is called having much but being poor.” (Rickett, 1985, p. 318-319)

The following passage gives a good glimpse of the statecraft consideration of *Chi-mi*:

“People who are disturbed in mind cannot be expected to perform meritorious

⁷ Refer to 張固也 (2001, 87-88, 90-91).

service. Therefore, let people taste the richest tastes, satiate themselves with the finest music, elaborately decorate eggs only to boil them, and finely carve wood only to burn it. Never close the entrances to cinnabar mines so that merchants and traders will not remain at home. Let the rich live in extravagance and the poor do work for them. In this way the hundred surnames may spend their lives in comfort, full of vigor, and with plenty to eat. This is not something they could do on their own. One must accumulate wealth on their behalf.” (Rickett, 1985, p. 311)

Chi-mi worries that if the merchants, ministers or lords become too powerful or too rich, they might become threats to the sovereign or refuse to take orders from the sovereign.⁸ In fact, “mi” in *Chi-mi* has the meaning of scatter or dissipate or disperse. *Chi-mi* therefore means to dissipate or disperse the wealth of the rich and powerful through a policy of encouraging them to consume extravagantly.⁹

In sum, the main focus of *Chi-mi* is not economics but politics. It is about how to use luxurious consumption as a mean to control the subordinates and associates of the sovereign. Greater consumption and production is not the ultimate aim, but a mean to the ultimate goal of better political control. This is the traditional understanding of *Chi-mi* in pre modern China.¹⁰ This statecraft focus and political emphasis of *Chi-mi* is especially clear if one reads it in the context of the whole work of *The Book of Guan Zi*.¹¹ The main aim is not to strengthen the economy. It is to strengthen the ruler’s control over potential internal rivals and to enable him to assert his dominance over the other states so that he may become a true king. The ruler himself must not overindulge.

Differences in Historical Background and Reception of the Two Calls for Extravagance

Both *The Fables of the Bees* and *Chi-mi* share the conviction that human beings are motivated by self-interest. Both understand that if properly channeled, such self seeking human nature could bring forth prosperity. However, despite the similarities they share, their fates are fundamentally different. Mandeville has classical economics as his intellectual offspring.¹² *Chi-mi*, in sharp contrast, has no economic science as its intellectual descendent. The only notable impact it has on Chinese intellectual history is the work of Lu Ji (陸輯) of Ming Dynasty which similarly argues for luxury consumption to stimulate employment. Why the two justifications for extravagance have with so different fates?

The conventional reason given for the neglect of *Chi-mi* in pre modern China is that pre modern China was a large landmass agrarian society. Many Chinese scholars cite China’s backward agricultural economy as the chief reason for the failure of *Chi-mi*’s economic reasoning to develop further.¹³ By this conventional argument, England was highly commercialized when Mandeville wrote *The Fable of the Bees*. It is therefore no surprise that thoughts of the agrarian sector such as frugality and saving dominated traditional Chinese economic thinking while thoughts from the commercial sector such as extravagance and spending dominated the English thinking.

⁸ Refer to 張固也 (2001, 88-90).

⁹ Refer to 王輝 (2011, 50).

¹⁰ Refer to 張固也 (2001, 91).

¹¹ Refer to 張固也 (2001, 87-89, 91) and 萬英敏 (2007, 24-25).

¹² Refer to Hayek (1948, 9) and Chalk (1966, 1).

¹³ Refer to Yang (1957, 39-43) and 郭沫若 (1984, 192-193).

This conventional reasoning overlooks two points. First is the fact that England during the time of Mandeville still had a very large agricultural sector. Most employments in Great Britain during that time were still in the agricultural sector.¹⁴ At the time *Chi-mi* was written, China, while predominantly an agrarian civilization, was having thriving commercial activities.¹⁵ Merchants not only accumulated immense amount of wealth, they also participated actively in politics. The First Emperor, for instance, once had a foreign prime minister (呂不韋) with a commercial background. The second point is that according to this conventional reasoning, *Chi-mi* advocated on behalf of the merchant class, defended its interests and thoughts. As shown in the previous section, this was not true. *Chi-mi* was neither mercantilist nor was it advocating the rights and interests of the merchant class. Though the English and Chinese calls for extravagance are very similar in their economic reasoning that consumption of luxuries stimulate employment and production, their main objectives are very different. *Chi-mi* is primarily about statecraft and its main concern is centralization of power while *The Fable of the Bees* is arguing for freeing economic activities especially consumption from moral and religious restraints.

The differences in the primary objectives of the two works have a lot to do with their different historical background. Barnard Mandeville (AD 1670-1733) wrote *The Fable of the Bees* a few decades after the Glorious Revolution (AD 1688) in England. The Glorious Revolution affirmed parliamentary supremacy and democracy. The Bill of Rights (AD 1689) further limited monarchical power and strengthened democracy. The preconditions for the main argument of *The Fables of the Bees* (private vices are public benefits) to work are sanctity of private property rights, political equality and the rule of law.¹⁶ These preconditions were largely satisfied in post Glorious Revolution England. Therefore, in the England when Mandeville was writing, private vices would become public benefits and Mandeville's argument found an audience. *The Fable of the Bees* was to further liberate consumption and economic activity and reasoning from religious and moral restraints. It was written within a political and cultural environment whereby the rule of law was in place. It was a liberal thinking in a liberal cultural tradition, with strong free market and individualism inclinations. Mandeville's work could be seen as a further attempt to enlarge the domain of individual liberty.¹⁷ Consequently, the new perspective of looking at the economy offered by *The Fable of the Bees*, one that is relatively freed from concern with morality, virtues or justices, paved the way for the emergence of classical economics.¹⁸ The Mandevillian paradox is the precursor to Adam Smith's argument that that individuals' pursuit of private gains benefits the society through the invisible hand of the market mechanism even though they have no benevolent intentions.¹⁹

The international political environment played a role too. Ever since the collapse of the Roman Empire, Europe had largely remained politically fragmented. Political fragmentation and competition spurred the competitive pursuit of wealth and power among states.²⁰ For the few centuries after Mandeville wrote *The Fable of the Bees*, England remained a major player of the European competitive states system. External defense was a paramount concern to the English state. The English commercial class

¹⁴ Refer to North and Thomas (1973, 146-156).

¹⁵ Refer to 郭沫若 (1984, 179-187).

¹⁶ This argument is shared by the classical economist. Refer to Rosenberg (1963, 187-191) and Chalk (1966, 12).

¹⁷ Refer to Rashid (1985, 316), Rosenberg (1963, 183) and Chalk (1966, 1-2, 12).

¹⁸ Refer to Chalk (1966, 1-2, 5, 15-16) and Dew (2005, 151-152, 154-156).

¹⁹ Refer to Dew (2005, 152).

²⁰ Refer to Bernholz et al. (1998) and Teng (2014).

played a dominant role in English politics since the wealth and skill of the commercial class were needed for England to fare well in her rivalry with other European great powers. The incorporation of the commercial class into politics through the parliamentary system further integrated the interests of the commercial class with that of the state. There were therefore many inquiries into the causes of wealth and power of nations. The search for the causes of wealth and power of nations spurred scientific and economic inquiries. Consequently, the line of economic analysis pioneered by *The Fable of the Bees* was inherited by the classical economists.

The historical background of *Chi-mi* (and *The Book of Guan Zi* as well) was very different. Historians do not know exactly when the essay *Chi-mi* (侈靡) of *The Book of Guan Zi* (管子) was written. Most of the researchers believe that *Chi-mi* was written during the early Western Han Dynasty (206 BC – 24 AD) while some think that it was written during the later part of the Warring State Era (475 BC – 221 BC) or Chin Dynasty (221 BC – 206 BC).²¹ However, it is certain that *Chi-mi* was written during the formative period of the imperial tradition of China, that is, from the later period of the Warring State Era through the Chin Dynasty till the early Western Han Dynasty.

Imperial China greatly worried about the power of the feudal lords, high ranking officials and rich merchants. How to control the powerful aristocrats and officials and rich merchants was a major concern for the central government and imperial house. Consequently, centralization of power and repression of commerce and the merchant class was the mainstream policy of pre modern China.²² The Western Han Dynasty, for instance, adopted the suppression of commerce and the commercial class as state policy. This intentional suppression of commerce and merchants class by Western Han Dynasty and later Chinese governments had a political rationale. The purpose is to ensure and tighten the grip of the government on the society. The merchants, given their exposure, skill and wealth, were considered detrimental to the imperial order. For instance, the founders of Western Han dynasty were all of commercial or urban background. The imperial house therefore undertook measures to prevent another dynastic turnover.²³

A careful reading of *Chi-mi*'s advocacy of extravagance, as done in the previous section, reveals that the primary objective of *Chi-mi* is not to strengthen the economy. It is to strengthen the ruler's control over potential internal rivals and to enable him to assert his dominance over the other states so that he may become a true king. The ruler himself must not overindulge in extravagance. The intended audience was the imperial house. The concern for maintenance of political control and the practical aspect of statecraft permeates the *Chi-mi* essay, *The Book of Guan Zi* as well as the other works of the School of Statecraft (or Legalism).

Chi-mi is essentially a work of statecraft or political art and strategy of manipulation. It was part of *The Book of Guan Zi*, a major work of the School of Statecraft (or Legalism), the school of thought which significantly affected the imperial tradition of China. Most of the works of the major Chinese schools of thought, including the School of Statecraft, were written during the Warring States era of China, BC 481 to BC 221. From BC 772 until BC 221, China was without an effective central government. BC 772 to BC 481 was termed the Spring and Autumn Era. During the Spring and Autumn Era and the Warring States Era, feudal lords or regional powers constantly jockeyed for power and influence. The rivalry among different states was especially intensive during the Warring States era. This was quite similar to the competitive states system of early

²¹ Refer to 郭沫若 (1983, 145-193) and Rickett (1985, 3-24).

²² Refer to 劉伯蘭 (2003, 106), 劉顏東 (2004, 137) and 陳小葵 (2008, 22-23).

²³ Refer to 劉伯蘭 (2003, 107-108), 劉顏東 (2004, 137) and 陳小葵 (2008, 22-23).

modern and modern Europe. Under such competitive states environment, both economic activities and intellectual inquiry had larger room of freedom from the control of a centralized unified authority.²⁴

During this period of political fragmentation, no school of thought had an intellectual monopoly, including the School of Statecraft. The major intellectual rivals of Legalism were Confucianism, Moism and Philosophical Taoism. Confucianism, Moism and Philosophical Taoism advocated frugality. Confucianism was especially a powerful intellectual rival. Confucianism was the traditional thought and education of Chinese aristocracy existed since the founding of Zhou Dynasty, BC 1066. It had a powerful grip on the thinking of intellectuals and statesmen. However, since the demise of central authority from BC 481 onwards, statesmen were looking for new intellectual guidance for their pursuit of power and wealth in a world of competitive and warring states. Legalism, Moism and Philosophical Taoism were all the products of that search for new ideological guidance. Legalism, as well as Moism and Philosophical Taoism, were rebels against Confucianism. *Chi-mi* was the product of such intellectual rivalry. *Chi-mi* was a chapter in *The Book of Guan Zi*, a major piece of work of Legalism. Legalism stressed practical statecraft and relentlessly challenged the teachings of rival schools. By arguing for extravagance in consumption as a means to stimulate production and exchange, as well as a way of practical statecraft, *Chi-mi* was assaulting the teaching of frugality of the other three rival schools in general, and Confucianism in particular.²⁵ This was very similar to the role Mandeville played in the intellectual history of England. Mandeville was a major figure in the rebellion against the dominant ascetic teaching of Christianity.

However, since B.C. 200, China had been under the rule of a unified empire for most of the time. The intellectual rebellion against Confucianism ended soon after the Western Han Dynasty was established. The Western Han government crowned Confucianism as the orthodox doctrine of Chinese thinking, a practice to be followed by all unified dynasties later. The preaching of frugality by Confucianism in both private and public spheres soon made *Chi-mi* a heresy. Confucianism concerns mainly with morality, not practical statecraft or economic inquiry. Consequently, an economic science such as that of classical economics failed to emerge in imperial China as the Chinese intellectuals self indoctrinated themselves in the way of the sages for a career in the officialdom. The sophisticated economic reasoning put forth in *Chi-mi* was therefore forgotten by the Chinese for over two thousand years.

Conclusions

In sum, *Chi-mi* was a work of statecraft aimed to strengthen the rule of the sovereign domestically. It aimed to decrease the wealth and power of high ranking officials and feudal lords and rich merchants by luxurious consumption on their parts. However, a unified imperial China soon enshrined Confucianism as state orthodoxy and stifled Chinese minds. Consequently, the sophisticated economic reasoning of *Chi-mi* was largely forgotten in pre modern China. In contrast, *The Fable of the Bees* aimed to liberate consumption and economic activities and thoughts from religious and moral restraints. It was an intellectual product of a politically and culturally liberal nation within a competitive state system. The economic reasoning of *The Fable of the Bees* was soon extended and refined by other inquires into the causes of wealth and power of nations within that competitive state system.

²⁴ Refer to Bernholz and Vaubel (2004) and Teng (2014).

²⁵ Refer to 郭沫若 (1984, 185-187).

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Let's "Read Their Lips"!: An Empirical Study Probing the Effects of Adopting Shadowing in an EFL Classroom

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Abstract

This study probed into the effects of shadowing on students' listening comprehension, speaking proficiency and their response to and attitudes towards the skill. Subjects consist of 28 freshman students from a private technical college with lower intermediate to intermediate level of English proficiency and the participants are given a weekly 20-minute lecture for two semesters. All participants took a TOEIC test on the listening and speaking sections before and after the experiment. Paired-samples *t*-test was conducted to check the statistical significance in the participants' pre and post mean scores. In addition, if the mean scores reach statistical significance, the eta squared may suggest the correlation between shadowing and post test, and shadowing skill can further explain the measures of variance in the scores. Individual interviews were conducted to survey participants' attitudes towards shadowing. After one-year shadowing lecture the results indicate that 28 participants have shown significant improvements in their listening comprehension and speaking proficiency. The eta squared also suggests that shadowing has significant effect on the improvements. Moreover, the qualitative findings also indicate that the participants hold more positive attitudes towards shadowing lecture in terms of language improvements, motivation to learn, and changes in English learning. As a result, the findings suggest that shadowing is an effective method to provide EFL learners with enormous amount of language input and opportunities for spoken English. The paper concludes with discussions of the pedagogical implications of the research findings, author's views on the shadowing and the limitations of the study.

Keywords: Shadowing, listening comprehension, speaking proficiency, EFL, interpretation

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讓我們一起來『跟述』吧！：

一個檢測在英語教室裏使用跟述效果的實驗研究

高士凡*

摘要

本論文的主要目的在檢試課堂上使用跟述方法來增進英語聽說能力的效果，並了解學生對於跟述教學的反應與態度。二十八位時為一私立科技大學應英系一年級的學生參與本研究，參與者的英文程度為中初級至中級，他們接受為期一學年的跟述練習（每週二十分鐘）。參與者在跟述教學的開始前及結束後均接受多益聽說測驗。在資料分析方面，成對樣本 t 檢定來檢測前測與後測的平均數是否有統計上顯著的不同。此外，如平均數達統計上的顯著不同，規模效應值(eta squared)也用來進一步檢定跟述教學與後測進步成績之間的關聯強度，及進步成績有多少的變異量可由跟述教學來解釋。二十八參與者也個別接受一次訪談以了解他們對跟述教學的態度及看法。統計結果顯示出：在經過一年的跟述教學後，二十八參與者在英語聽說能力均有顯著的進步；規模效應值也顯出跟述教學對此顯著的進步有重大的影響。另外，訪談的質性資料也顯示參與者在語言上的進步、動機興趣的提升、英語學習的改變三方面均表達他們對跟述教學的正面態度與想法。因此，本論文的結果指出：跟述教學是有效的英語習得方法，能提供大量的語言輸入和口說機會。最後，本論文也探討研究結果可給予的教學啟示，作者本身對跟述教學的觀點，和研究本身的限制。

關鍵詞：跟述、英語聽力、英語口語能力、英語為外國語言、口譯

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Introduction

It is a great idea to state the background and purpose of this study with my own personal experience and story. Having been out of school for eight years, I decided to go to an American university in the Midwest for graduate studies. As a non-English major (political science) in college, I was truly worried about my general English proficiency. I was especially worried about my speaking ability since I would study in an English-related field, Teaching English to Speakers of Other Languages (TESOL). A senior Taiwanese couple (Walter and Yvonne) who had a great command of English (both of their TOEFL¹ scores were over 650 in the pencil-and-paper version) kindly offered me an original learning method: speaking what I hear while watching a TV program or a movie. They told me that they had been watching TV programs (especially 30-minute sitcoms standing for situation comedies) three hours a day since they had arrived in the United States. Moreover, they repeated what the characters said and mimicked the tones and intonations immediately after they heard the words. I was very surprised at Yvonne's speaking fluency; she was one of a few people I met who spoke English almost like a native speaker though she was raised and educated in Taiwan and had never been to an English-speaking country until she was 25. Walter, who was a then doctoral student in industrial engineering, jokingly called this approach "read their lips." The couple highly recommended this method to me because it worked wonderfully for them.

In my days (the 1980s), "repeat after me" was widely used by English teachers in Taiwan and it is still popular in some ESL/EFL (English as a second/foreign language) classrooms. However, I had never heard of the "read their lips" method. It was very novel to me. Because I really admired the couple's English proficiency, I tried to "read their lips" since then, and I, in addition to heavy loads of graduate studies, watched TV shows almost two hours a day. That was in 1998, September. During those days, sitcoms like *Family Matters*, *Friends*, *Seinfeld*, *Will and Grace*, etc. were my favorites. In addition, the campus cable programs had many reruns of previous popular sitcoms such as *Family Ties* (the most popular TV sitcom during the 1980s), *Saved by the Bell*, and *Doogie Howser, M.D.* These sitcoms were wonderful material for English learning. The shows were incredibly hilarious, and the language in them was plain and easy to understand in terms of the linguistic aspects and culture background. However, listening was one thing, and speaking ("reading their lips") another. I understood at least over 70% of these shows. However, at the beginning, I could hardly repeat over 30% of what I heard though I already had a TOEFL score of 603. I did "read their lips" almost every day and was not sure (or noticed) if I was making great strides in listening or speaking. By doing it on a daily basis, gradually I could simultaneously repeat 70%-95% of what I heard in a sitcom, depending on the speed, length, and clarity of the language. Also, I did notice that I spoke faster and did not have to first organize a sentence on my mind every time I spoke English. In other words, being able to speak English more intuitively, I did not think about grammar and sentence structures too much, as I usually did before, every time I produced an utterance. More interestingly, I found that doing "read their lips" actually helped me not only pay more attention to listening and speak more fluently but also organize what I heard and understand the meanings better. After one semester, I went to New York City to

¹ TOEFL stands for Test of English as a Foreign Language. For the past five decades, it has been a mandatory, standardized proficiency test for non-native speakers who want to go to college (both at the undergraduate and graduate level) in the United States. The admission scores varied from school to school and program to program. During the 1990s, the admission scores for graduate school usually ranged from 550 to 600 (with 677 the highest).

visit my friend studying law at New York University. When hearing me speaking English in some public places, she said that she was very surprised at my improvements in speaking because it had been just one semester.

After finishing my graduate studies for a few years, I gradually found that Walter's so-called "read their lips" method is actually also known as "shadowing," one of the most commonly used methods in the training of professional interpreters. In fact, previous research studies showed that shadowing could improve language learners' speaking ability in terms of intonation, accent, speed, and even a sense of collocations (Mackintosh, 1991). For years, I have been reflecting on my own experience and thinking about how to adopt shadowing in my own class because many Taiwanese students do not have many chances to speak English even in the classroom, let alone outside the classroom. Shadowing provides students with both large amounts of listening input and many opportunities to produce English output.

For these reasons, this study was conducted to probe whether or not shadowing can improve the listening and speaking ability of students with low-intermediate or intermediate levels of English at a private technological university. Moreover, it also investigated into participants' attitudes and reactions toward to the shadowing method used in an English conversation class.

Literature Review

It is necessary to first mention interpreting before we review Shadowing. Generally speaking, interpretation or interpreting is a type of product of communication from one language into another language. When doing interpretation either consecutively or simultaneously, interpreters hardly have time to entirely digest their input and they usually have to make an instant reaction (interpretation) of the aural input (Bathgate, 1985).

With the advent of advanced technology, the whole world has become a global village. International relations rely more on cross-cultural communication now than ever. In other words, interpretation is in great demand for the reasons of politics, economy, etc. For this reason, interpreters play an important role in this global communication. To train qualified or professional interpreters, many institutes and universities offer a wide variety of courses and training programs on interpreting at either undergraduate or mostly, graduate level.

For interpreters, bilingual (or multilingual) language proficiency is certainly crucial and mandatory though it is more than just language ability that makes a highly professional interpreter. Many researchers proposed different methods, techniques or activities for interpreting programs to enhance interpreters' language ability (Lambert, 1992; Mackintosh, 1991; Van Dam, 1989; Wu, 1999). These programs have one thing in common: They all include Shadowing as a basic and important method to improve interpreters' language proficiency and interpreting skills.

What is Shadowing exactly? It means that the trainees of interpretation or interpreters repeat verbatim what they hear immediately after listening to the aural input, often without waiting for the completion of a meaning unit, or even a word in a sentence. The repeating could be the native language of the trainees/interpreters or a foreign language though it often refers to the latter.

Originally, Shadowing was used to treat stuttering, which is a disorder affecting the fluency of speech, in the field of language or speech therapy. The stutterers follow the words spoken by the speech therapist. Shadowing produced dramatic results in speaking fluency (Kelham & McHale, 1966). The studies showed that 90% reduction in stuttering occurred under some conditions like Shadowing (Andrews et al, 1982; Guitar, 2005).

Later, Shadowing is usually included in a training program of interpretation because the interpreters, like stutterers, also have to listen and speak at the same time. In addition, research showed that the ability to shadow the input of a foreign language could be a strong predictor of a person's potential to become an efficient simultaneous interpreter (Lambert, 1992; Schweda Nicholson, 1990).

Here it should be noted that there are differences among interpreting, Shadowing, and traditional repetition drills ("repeat after me" or "repeat after the CD") in the ESL/EFL classroom. Interpreters often listen to one language (source language) and speak another language (target language) with the same meanings of the source language. However, while also listening and speaking at the same time, people who are doing Shadowing do not take the source language ideas and convert them into the target language structures. In other words, both the source language and target language are involved in interpreting, whereas there is only the source language involved in Shadowing. In this case, the language output is different (Lin, 2009).

In addition, the main difference between traditional "listen and repeat" drills and Shadowing is that in the former method, students listen while usually looking at a written script and repeat after listening to a complete sentence by often looking at the script too, while, in the latter, students listen without looking at a written script and repeat word by word without waiting for the completion of a sentence (Lin, 2009). That is, with the traditional repetition, students just read a sentence out loud by looking at the words of the sentence. Students pay less attention to listening since they can look at the words. On the other hand, with Shadowing, students need to listen more attentively because there are no written words they can look at, and almost speak out the sentence they hear simultaneously. Thus, compared to the traditional "listen and repeat," Shadowing is a more demanding task in listening and speaking though it does not involve reading.

For these reasons, Shadowing is almost always a compulsory training technique in interpreting courses due to its nature of simultaneity (listening and speaking a language at the same time). It is believed that Shadowing can train both pre-service and in-service interpreters to eliminate distraction when listening and speaking at the same time and to improve pronunciation and enunciation (Schweda Nicholson, 1990).

Since Shadowing (listening and speaking simultaneously) imposes a certain load on the cognitive capacities of the shadower, it is an acquired skill and is more than just listening and speaking (Lambert, 1991). For this reason, researchers provided instructors, trainees, interpreters, or even people who just want to practice Shadowing to enhance their language proficiency with some considerations. First of all, shadowers' language proficiency should be taken into consideration. Mackintosh (1991) suggested that the materials chosen for Shadowing should be fairly slow and easy. Also, the chosen materials are preferably representative of the work that interpreters will be performing (Schweda Nicholson, 1990). For example, with many international meetings on business, interpreting instructors should choose topics, dialogues, and texts related to business meetings, participants and situations involved.

Second, a common problem with Shadowing is that shadowers are easily, especially at the beginning stage of practice, distracted by the sound of their own voice (Schweda Nicholson, 1986). This is particularly true when people are shadowing a second or foreign language together in a classroom. On the other hand, Shadowing in one's native language tends to be much easier for the beginners than in a second or foreign language. For this reason, it is methodologically better to begin with Shadowing in the native language. It will also slowly but surely help trainees or shadowers without advanced level of foreign language proficiency build confidence.

Last, it is very important for the interpreting instructors to demonstrate Shadowing to

trainees before they start to try it on their own. After explanations and demonstrations by instructors, shadowers might still have some problems and cannot identify them on their own. In such cases, Schweda Nicholson (1990) suggested instructors demonstrate what shadowers are doing and what shadowers should be doing. Instructors are responsible for clear and correct Shadowing techniques.

As discussed above, imitating other people's speaking and shadowing aloud provides learners with a great deal of oral practice to improve speaking fluency, and it is a good way to practice pronunciation and intonation patterns (Graves & Graves, 1994). Actually, Shadowing also provides learners with large amounts of aural input from listening and the concept of input is "perhaps the single most important concept" in the field of second language acquisition (Gass, 1997, p.1). Without input, successful second language acquisition cannot happen at all (Wong, 2003). Thus, in the field of interpretation, Shadowing is considered an elementary skill, taught to help pre-service interpreters feel comfortable with concurrent listening and speaking, and served as the preparation for consecutive or simultaneous interpretation. Although Shadowing has received much attention in the field of interpretation, it has not received much notice in the ESL/EFL education yet. I recently read Lin's study (2009) about exploring the effectiveness of Shadowing in an EFL program in a junior high school in Taiwan. Based on an EFL project, Lin taught English to 25 eighth graders (with a beginning level of English proficiency) by using the Shadowing approach for five weeks (a total of 25 hours). The results showed that the Shadowing program helped the participants improve their listening and speaking. However, few studies about utilizing Shadowing in the English classroom to enhance students' aural and oral skills have generally been conducted across all the educational levels in Taiwan. Similarly, there is a paucity of empirical research regarding how Shadowing can be applied in the English classrooms of technological universities as well.

As a result, this study was conducted to explore the possibility and outcome of using Shadowing in an EFL classroom at a private university of science and technology. It aimed to find answers to two research questions:

1. Are there significant improvements in listening comprehension and speaking proficiency after the student participants received the one-year treatment of Shadowing? In other words, does Shadowing have a significant impact on participants' progress in listening comprehension and speaking proficiency?
2. What are the students' attitudes and reactions toward the one-year treatment of Shadowing?

Method

For most researchers, generalizability is often one of the major concerns in research. However, generalizability is not just about an adequate sample size. Merriam (1998) suggested that a thorough description of the context, setting, and participants is helpful to those who are interested in making decisions about whether generalizability could be suitable in other settings. Dornyei (2007) also thought that after an appropriate description of the research sample, readers could better decide whether the generalization of the findings is legitimate. For these reasons, this methodology section has four subsections. The first two depict the participants and context of this study, and instruments and materials adopted, both of which can add to the generalizability of the findings presented afterwards (Creswell, 2009, 2012). The latter two describe the procedures during the data collection, and data analysis summarizing the procedures of data processing.

Participants

The participants were 28 first-year applied-English majors, including seven males and 21 females, at a private university of science and technology in Taipei. All the 28 participants were taking an intermediate, two-hour English conversation class under the instruction of the author of this paper during the 2010 academic year. Due to the nature of the course, the English conversation class was conducted in a language laboratory where it had audio and visual equipment. The age of the student participants ranged from 18 to 20. Judging from their entrance exam scores, their English proficiency was considered low-intermediate to intermediate level (C. L. Kwan, personal communication, September 28, 2010).

In addition, the 28 student participants had some common background. First of all, they all started to learn English no later than ten years of age, with some doing it before six. For this reason, all the participants had learned English in regular schools at least over eight years before this study was conducted. Moreover, though majoring in different disciplines previously in vocational high schools, they all were interested in English after going to college and hoped that they would pursue careers related to the English language such as English teachers, translators or interpreters, flight attendants, and receptionists in a foreign company. Last, they had never been taught or heard of the Shadowing method while all of them had been taught the traditional "repeat after me" method in elementary or high schools.

The teacher researcher (thereafter the instructor)² in this study worked as the instructor teaching the English conversation class as well as the researcher conducting this research data with regard to Shadowing. He had already been teaching English-related classes for eight years when this study was being conducted. As a lifelong EFL learner, he usually tried various activities to stimulate his and students' motivation to keep acquiring English and use the language outside the classroom. One of his major goals in English education was that his students would keep using the English language after leaving his classroom and even school. This was the first time he adopted Shadowing in his own classroom based on his personal experience and previous studies as discussed in the first two sections.

Instruments and Materials

Shadowing Materials. The considerations of adopting Shadowing discussed aforementioned indicate that the content of the Shadowing material should be easy (because students need to listen and speak at the same time) and relevant to students' life or jobs (because students would be greatly motivated by something they are interested in). Furthermore, the language and recording speed of the materials should be suitable for students' level of language proficiency. For these reasons, the instructor adopted six articles from an EFL book *Reading People for Better Reading* (Brand, 2009). The difficulty level of the adopted articles (an intermediate level) was close to that of the participants' textbook adopted in the conversation class. Brand's book included 28 terse biographies of influential people. The instructors let the student participants choose six biographies they preferred because self-selected materials would certainly motivate their learning. The student participants chose biographies of Barack Obama (the President of the US), Aung San Suu Kyi (the democracy fighter in Myanmar), J. K. Rowling (the

² Researchers have different opinions on if using the first singular pronoun is appropriate in a research study. Generally, most researchers agree that using a neutral term is more suitable for a quantitative study such as an experimental study, whereas using the first singular pronoun a qualitative study such as an ethnographical study (Creswell, 2009). This study adopted a mixed methods approach combining the quantitative with qualitative methods. However, to be neutral and consistent, "the instructor" was used throughout the Method section.

author of Harry Potter series), Jerry Yang (the founder of Yahoo), Michelle Kwan (the figure skating champion), and Tiger Woods (the leading golfer). All six influential people that interested the 28 student participants were living people who were famous and often made headline news. The six chosen articles were also in audio form on a CD recorded by native speakers of English.

Syllabus for the Shadowing Treatment. The Shadowing treatment lasted for one academic year. The English conversation class ran two hours per week and there were 36 weeks during the entire academic year. Generally speaking, the instructor and the student participants completed one biographical reading via the Shadowing method only using five weeks. In other words, the participants shadowed another new article every five weeks. Every week, the instructor spent the first 20 minutes of the weekly conversation class leading the participants to practice Shadowing on a selected article to improve listening ability and speaking fluency.

Before anything went further, the instructor explained what Shadowing was and modeled it every time he asked the student to do a new activity. For example, the instructor, at the beginning, showed participants how to shadow a short Chinese passage (both the instructor and participants' native language was Chinese) and asked the participants to practice in the same way to have a clear idea about what Shadowing is. Then the instructor shadowed a short and easy English passage and again asked the participants to do the same thing.

After the participants knew better what Shadowing was and why they would do in the first 20 minutes of each class meeting, they started to shadow the chosen articles mentioned above. Take the class meeting using the first paragraph of the Obama article (see Appendix A) for example. For each class meeting, there were usually four major steps involved in order to shadow a paragraph.

First of all, the instructor showed the text of the target paragraph of the Obama article on the monitors and played the recording of the paragraph to the participants two to three times to make sure that they identified the pronunciation of words in the paragraph. It should be noted that the class was conducted in a language laboratory; for this reason, every student had a monitor in front of him/her. Also, in this step, the instructor briefly explained some linguistic items, cultural background that the participants might not be familiar with, and the meaning of the paragraph.

Then, still with the text of the paragraph on the monitors, the instructor played the recording and led the participants to read aloud the paragraph two times by looking at the text on the monitors. For the first time, the instructor played the recording of a sentence, paused the recording, and read aloud the sentence, and then the participants repeated that sentence. The second time both the instructor and participants read aloud all the sentences in the recording together without any pauses. It should be noted that the first practice in this step was similar to "repeat after me" and the second was like simultaneous Shadowing except for looking at the text. The purposes of this step were to try to match the participants' visual words with audio words and let them speak aloud to train their tongue muscles.

Third, the instructor completely turned off the monitors and guided students to shadow the recording consecutively. In other words, the instructor played the recording, paused after one complete sentence, and asked them read it aloud. This time, the participants practiced "consecutive" Shadowing without looking at the written text.³

³ The instructor coined the word "consecutive" here. From previous studies concerning Shadowing, we cannot find a collocation of consecutive Shadowing. It seems that in the field of interpretation, Shadowing is supposed to be simultaneous. However, the instructor thought the step of "consecutive Shadowing" would lay the groundwork for the participants to do "simultaneous Shadowing."

Last, still with no text on the monitors, the instructor played the recording without any pauses, and asked the participants to put on the earphones and shadow what they heard simultaneously. When the participants put on earphones and shadowed what they heard individually, the voice interference from others would have been reduced to a minimum. While students were shadowing what they heard, the instructor was also walking around the classroom (to check if every student opened his/her mouth) as well as shadowing what he heard with the class (to encourage students to do Shadowing). This step was actually the Shadowing method usually included in the training program for professional interpreters. However, these 28 student participants could not compare to professional interpreters or trainees in terms of background knowledge and English proficiency. For these reasons, the first three steps were very important to let the participants shadow the target paragraph without much difficulty eventually. In fact, the first three steps took less time than the instructor had expected maybe because the difficulty level of the text suited participants' level of English proficiency. Depending on the time allowed, the participants often did simultaneous Shadowing two or three times.

Overall, each class meeting went through the above four steps. Usually, one to two paragraphs of an article was covered each week depending on the length of the paragraph, and one article was completed after five weeks. After one article was done, the instructor sent the entire article with its audio file to the participants via the school digital system. It was hoped that the participants would shadow the completed article(s) on their own as many times as possible outside the classroom. During the year of the treatment, the instructor always encouraged the participants to do this: If they felt that they had not spoken any English today, just shadow the completed article(s) a few times to train their oral fluency (actually, it trained their listening comprehension as well while doing this).

In the first article (the Obama article), a few student participants still had difficulty keeping up with the recording speed simultaneously. However, they all did much better and shadowed what they heard more fluently after the first Shadowing article. After one academic year, the participants finished shadowing the six self-chosen biographical articles of influential people in class.

Pre-test and Post-test. The pre-test was administered before the one-year treatment of Shadowing. The pre-test was a proficiency test based on a TOEIC (Test of English for International Communication) test. TOEIC is an English proficiency test for non-native speakers of English, and mainly measures the kind of English used in everyday activities. Considering limited time for one class meeting, the listening section was a reduced version of a TOEIC mock test (Rilcy, 2008) and included two parts: Short Conversations (SC, 30 items), and Short Talks (ST, 30 items). Participants' listening raw scores (0-60 points) on the TOEIC test were used as the scores for the listening section of the pre-test.

The speaking section of the TOEIC mock test had 11 questions including five parts: Read a Text Aloud (2 questions), Describe a Picture (2 questions), Respond to Questions (3 questions), Respond to Questions Using Information Provided (3 questions), Propose a Solution (1 question), and Express an Opinion (1 question). According to Educational Testing Service (ETS, 2009),⁴ these five parts precisely measure test-takers' speaking ability in terms of pronunciation, intonation and stress, grammar, vocabulary, cohesion, relevance of content and completeness of content. Technically speaking, the assessment of the speaking ability was more subjective and thus harder. For this reason, two well-trained

⁴ ETS is a nonprofit testing organization and advances quality and equity in education for people worldwide by creating assessments based on rigorous research. It develops, administers and scores more than 50 million tests annually, including the TOEFL (Test of English as a Foreign Language) and TOEIC tests, in more than 180 countries, at more than 9,000 locations worldwide.

native speaking English teachers from Acme Language Institute (ALI),⁵ a language school in Taiwan, were employed to score the participants' speaking ability. Both English-speaking teachers were also certified IELTS raters. The two independent raters could increase the inter-rater reliability of the speaking score (Richards & Schmidt, 2010). By following the scoring rubrics by ETS, each rater assigned a raw score (0-17 points) to each participant, and each participant got an average score for the speaking section of the pre-test.

Right after the one-year treatment of Shadowing, the 28 participants took the post-test. To increase the test reliability, the same TOEIC test items on the pre-test were used again for the post-test. The one-year interval between two tests was considered reasonable and strongly reliable because it could avoid any memory effect (Worthen, White, Fan, & Sudweeks, 1999). In addition, no participants would pay extra efforts for the post-test because they did not get the results of the pre-test either. At the very beginning of this study, they were already told that the results of the pre-test and post-test and interview data were used only for academic research in a confidential way and not related to their final scores in the English conversation course.

The pre-test and post-test were compared to determine whether or not the 28 participants made significant progress in the listening comprehension and speaking proficiency after the one-year treatment of Shadowing.

Interviews. Interviews are important sources to check the trustworthiness of a study (Rubin & Rubin, 1995). To be flexible and to explore possible emerging issues, the questions in the interviews were open-ended and less structured (Appendix B). During the last three weeks of the treatment, each participant was interviewed once and each interview conducted in Chinese lasted about 10 minutes. The interview questions were about the participants' overall attitudes and reactions toward the Shadowing treatment. Their advice and experiences could also offer suggestions for EFL teachers who want to adopt Shadowing in the future.

Procedures

The entire study began in mid-September 2010. The instructor spent the first two class meetings administering the pre-test, and explaining and modeling simple Shadowing activities. As depicted above, the Shadowing treatment lasted for one academic year and the participants finished shadowing six biographical articles of influential people. The post-test and interviews were conducted during the last three weeks of the spring semester. During the entire period of the Shadowing treatment, there were no forms of assessment. The instructor just led participants to do Shadowing in the first 20 minutes of each conversation class. The data collection officially ended in late June 2011.

Data Analysis

To test the null hypothesis that there was no significant difference between the means for the pre-test and the post-test, a paired-samples *t*-test (two-tailed) in Statistical Package for Social Science (SPSS) was run and the alpha decision level was set at .05. If the null hypothesis was rejected at $p < .05$ and the research hypothesis that the two means for the pre-test and the post-test were significantly different was accepted, eta squared (effect size) would also be calculated to indicate the strength of association between the Shadowing treatment and the improvements in listening and speaking on the post-test. In other words,

⁵ ALI was a private English school that mainly helped learners take English standardized tests such as TOEFL, TOEIC and IELTS (International English Language Testing System). Besides, ALI also offered over 25 specific English courses such as Journalistic English, Business English, English Etymology, and English Writing, to name just a few. I have been affiliated with ALI since 2004 and conducting a few studies with teachers at ALI. The institute had many qualified English teachers. With its permission, I employed two experienced English teachers to help me score the speaking section on the pre-test and post-test.

eta squared could be interpreted as the percentage of the variance in the dependent variables (in this case, the improvements on the post-test) explained by the independent variable (in this case, the one-year treatment of Shadowing).

As for the qualitative data from the interviews, they were collected to attempt to cross-validate the quantitative findings. The qualitative data explored participants' attitudes toward the one-year treatment of Shadowing and were characterized into different striking themes if there were any. All the interviews were first transcribed into Chinese and checked by the participants to confirm the accuracy (Creswell, 2012). Then they were examined, coded, and sorted into themes that expressed details of the participants' thoughts. For easier coding and privacy protection, the female participants were simply named from G1 to G21 and male participants from B1 to B7.

Results and Discussion

This section includes two subsections. The first subsection shows the results of the pair-samples *t*-tests and interviews as well as interprets the findings, and is further divided into the quantitative and qualitative data. The second discusses pedagogical implications from the findings.

Quantitative Data

Table 1 shows the descriptive statistics and significance of differences for listening comprehension and speaking proficiency between the pre-test and post-test.

Table 1⁶

Paired-Samples t-tests of the Participants' Performance on Listening Comprehension and Speaking Proficiency of the Pre-test and Post-test (N28)

	<i>M</i>	<i>SD</i>	<i>d</i>	<i>t</i>	Effect Size ^a
Listening Comprehension			27	-12.69***	.86
Pre-test	41.61	2.56			
Post-test	47.36	3.25			
Speaking Proficiency			27	-16.59***	.91
Pre-test	5.57	1.26			
Post-test	8.18	1.28			

*** $p < .001$.

^aEta squared.

A descriptive mean comparison between the pre-test and post-test for listening comprehension indicated that the 28 student participants of this study, after one-year treatment of Shadowing, did perform better on the post-test. The participants scored better on the post-test than the pre-test by 5.75 points in listening comprehension. In addition, the results of the *t*-test showed that this mean difference for listening comprehension was statistically significant ($p < .001$). It meant the 5.75 points difference in means on the listening comprehension section of the TOEIC test between the pre-test (in which the 28 participants did not receive the Shadowing treatment) and the post-test (in which the 28 participants received the Shadowing treatment for one academic year) probably did not occur by chance alone (99.9 percent sure). That is, after the one-year Shadowing treatment, there was a statistically significant improvement in the listening comprehension section of the TOEIC test from the pre-test ($M = 41.61$, $SD = 2.56$) to the post-test [$M =$

⁶ SPSS printouts usually provide several tables with a great many statistic data for paired-samples *t*-tests. However, many statistics are not necessary in reporting the findings. Thus, Table 1 was constructed by following the statistic requirements of American Psychology Association (American Psychology Association, 2009; Dornyei, 2007; Nicol & Pexman, 1999).

47.36, $SD = 3.25$, $t(27) = -12.69$, $p < .001$].

Similarly, the participants also performed better in speaking proficiency by 2.61 points on the post-test. Moreover, the paired-samples t -test also showed that there was a significant difference in speaking proficiency ($p < .001$) between the pre-test and the post-test. Statistically speaking, the mean difference (2.61 points) in speaking proficiency between the two tests probably did not occur by chance alone (99.9 percent sure). For this reason, the inferential statistics confirmed again that after the one-year treatment, there was a statistically significant improvement in the speaking section of the TOEIC test from the pre-test ($M = 5.57$, $SD = 1.26$) to the post-test [$M = 8.18$, $SD = 1.28$, $t(27) = -16.59$, $p < .001$].

Many applied statisticians have warned researchers that statistical significance only means that an observed phenomenon is most probably true in the population (and not just in the sample); thus, what is true in the sample may not necessarily be important (Dornyei, 2007; Pallant, 2007). With very large sample sizes even tiny differences between two groups or tests could easily reach statistical significance. However, these “significant differences” may have no practical or theoretical importance. For this reason, it has been highly suggested that after a significance level is reached, effect sizes be computed for a study as well to provide information about the magnitude (of the treatment) on an observed phenomenon (Dornyei, 2007).

For these reasons, though the results presented above had already told us that the differences in listening comprehension and speaking proficiency between the pre-test and post-test were very unlikely to occur by chance, it did not yet tell much about the magnitude of the intervention’s effect (in this case, the one-year treatment of Shadowing). So far, we can only state that there is only a 0.1 percent probability that the observed differences in listening comprehension and speaking proficiency between the pre-test and post-test occurred by change alone. We do not know how strong the Shadowing treatment has on the improved differences.

Thus, to avoid over-interpreting the t -test results, statisticians usually suggest that researchers calculate the “effect size” (also known as “strength of association”) and the most commonly used effect size statistic has been eta squared. Eta squared⁷ is often calculated to provide an indication of the magnitude of the differences between two variables (not just whether the differences could have occurred by chance). The value of eta squared can range from 0 to 1 and represents the proportion of variance in the dependent variable that is explained by the independent or intervention variable (Pallant, 2007). The eta squared from Table 1 (the right column) was .86 for listening comprehension and .91 for speaking proficiency. The guidelines proposed by Cohen (1988) showed that both of the eta squared values were very large. As a result, the one-year treatment of Shadowing had a large effect on the improvements in listening comprehension and speaking proficiency on the post-test. It also meant that, on the post-test, 86 % of the variance in listening comprehension and 91% of the variance in speaking proficiency on the post-test could be explained by the one-year treatment of Shadowing. It was obvious that the Shadowing treatment truly had a large impact on the progress in listening comprehension and speaking proficiency on the post-test.

Both the above descriptive and inferential statistics displayed that there were significant improvements in listening comprehension and speaking proficiency on the post-test after the 28 student participants received the one-year treatment of Shadowing.

⁷ Cohen (1988) provided the following guidelines to interpret the strength of eta squared: 0.01=small effect, 0.06=moderate effect, 0.14=large effect.

Furthermore, eta squared values showed that the treatment had a large effect on the improvements on the post-test and thus large amounts of variances in listening comprehension and speaking proficiency on the post-test could be accounted for by the Shadowing treatment. Therefore, the quantitative data confirmed the power of the Shadowing treatment with statistical significance and large effect sizes.

Qualitative Data

The interviews were conducted to explore participants' attitudes and reactions toward Shadowing after the treatment. These qualitative data were analyzed, assembled and categorized by the nature of similarities. Generally speaking, three major themes were emerged and categorized. The first theme was about language improvement, second affective enhancement, and third changes in English learning. Thus, this part is discussed in terms of the three striking themes as follows.

Language Improvements. The first and foremost theme from the interview data was that all the 28 student participants reported that they improved their listening comprehension and speaking proficiency, especially in pronunciation and fluency, after the treatment. Listening-wise, the participants thought that they developed a habit of listening to English without reading texts after the Shadowing treatment, whereas previously, they could not continue to listen to English recording for long without looking at the written texts. They even jokingly said that their previous habit of "listening" was more like a mixture of listening and reading with more weight on reading. Listening to English materials without texts really helped them improve their listening comprehension ability. Although the participants could look at the text scripts of the recording in the first two steps of the Shadowing syllabus as described above, the first two steps were designed mainly to help them do consecutive and simultaneous Shadowing subsequently. For this reason, the instructor placed much more emphasis on the last two steps (doing Shadowing without scripts). All they had to do in the last two steps were just listen and shadow what they heard. With the help of the first two steps in the syllabus, the participants could better understand the meaning, sentence structures, vocabulary and idioms of the recording, and even cultural background, all of which helped them build ability and confidence in shadowing what they heard in the last two steps. In other words, the Shadowing syllabus helped them listen better and thus make improvements in listening comprehension. Here are two of the excerpts related to this point.

For some reason, I can "just listen" to English recordings now. Previously, I was used to listening to English materials while looking at the scripts. Without a script, I couldn't listen to the recording for too long. I am surprised that I don't need scripts anymore after shadowing those articles about influential people. (Participant G2)

I used to depend on written texts to understand a recording or repeat a sentence; without texts, I couldn't concentrate on listening very well. However, now I can concentrate on just listening, and it seems that listening without looking at texts actually improves my listening ability. (Participant B6)

Speaking-wise, the participants reported that previously, they were shy to speak English due to poor grammar, pronunciation, fluency, etc. They seldom spoke English actively unless it was necessary (like being required in class or taking a speaking test). However, after the Shadowing treatment, they spoke out fairly actively when they heard something in English, and this happened more often than ever. Like the improvements in listening comprehension, they felt that Shadowing also helped them speak better and make improvements in speaking confidence and proficiency. When they understood what

they heard better, they tended to speak better as well. Below are some related excerpts from the interviews:

I don't know why. Previously, I was used to first looking at a sentence and then reading it out loud as most students did in class. But now I need to listen to the recording (of the sentence) first. In other words, I've changed my habit: Now I feel more comfortable that I speak out a sentence after I listen to it. I know it sounds weird, but I do need listening first in order to better improve my speaking. I think that the Shadowing treatment unconsciously changed my habit. And, the new habit really lets me speak better. (Participant G12)

I think I do speak better now. Before the Shadowing treatment, I seldom spoke English either in public or in private. I often thought too much about grammar and sentence structures every time I needed to speak English. This resulted in my unwillingness to speak English. However, now I feel more comfortable to speak English and I do it more often too. Also, I feel that I can just speak out the English words without thinking too much about correct grammar and sentence structures. I know nothing about the theory of Shadowing but it does miraculously help me speak English more fluently and naturally. That's my feeling. (Participant G15)

In addition, 25 participants (89% of the student participants) believed that large amounts of English input received via tasks from the Shadowing process contributed to their improvements in listening comprehension and speaking proficiency. Due to Taiwan's EFL context (where English is not spoken), how to have adequate English exposure indeed stays as one of the major problems to most English learners. For this reason, Shadowing is a feasible alternative to creating a speaking environment. As some participants stated as follows:

I still remember that in the very beginning of the Conversation class, the teacher asked us how often we speak English and most of the students said that they seldom speak the language on a daily basis. Honestly speaking, I had "almost never" spoken English since I learned English, especially outside the classroom, before the teacher asked us the question. I considered my English above the average though I didn't speak it in real life. However, at that time, I was a bit shocked by my own answer: "almost never." Then I was wondering: how can I improve my English if I don't even use it every day? It seems impossible to make it via just a few English classes in school, right? I felt then that I needed to create my own language exposure and doing Shadowing has been one of the major tasks to me since then. Now I do feel that I've listened to and spoken a lot of English after the one-year treatment of Shadowing. (Participant G8)

I do think that of all the English-related activities in all the English courses I was taking during my freshman year, Shadowing was the method that let me receive most English input and produce most English output. In other English classes, teachers often used Chinese to explain grammar or vocabulary items, or translated the reading passages. Even though a few classes were conducted in most English, the teachers usually did most talking and there were the same students who dominated the interactions or conversations with the teachers. Most students like me just kept silent and did not speak much English. Of course, some teachers led us to do "repeat after me," but that was more like "reading" rather than "speaking" a sentence aloud.

However, with the steps the instructor used in Shadowing, everyone needed to listen carefully to the English recordings with and without scripts. Moreover, everyone needed to listen to and speak what he/she heard at the same time for many times. At first, I thought it was impossible for us to listen and speak at the same time and Shadowing sounded a strange method. I mean, who will listen and speak English at the same time? But, we did it after following the step-by-step syllabus! The entire process gave us a large amount of English input; it also gave us an opportunity to produce English output. For this reason, I believed that the English exposure we had from Shadowing was much more than that in other classes. (Participant G21)

Two more intriguing findings were found along the same line here and they should be noted as well. First, 13 participants (almost 50%) reported that the part they did not like most was the first step of the syllabus when the instructor was explaining the meaning, sentence structures, and vocabulary and phrases of the target paragraphs. The reason was that they thought the first step was a little mechanic and dull as they often did in other English classes. Another possible explanation for this was that the Shadowing articles were suitable for their literacy level. These participants did not really need the instructor's further explanations on the articles. That is to say, they did not need much emphasis on linguistic aspects.

Second, after shadowing the six biographical articles of influential people, 16 participants (57%) reported that they almost memorized the written texts and could shadow the article with the recordings almost at the same time. They felt that they spoke more fluently after Shadowing but they did not know why. This interesting finding was consistent with Chang's observation on her friends (2003). Chang stated that she observed people around her who could speak English like native speakers and she sorted these people into a few categories like people who made many foreign friends, people who insisted on using English in school or a certain period of time during a day, people who loved to watch English movies and TV shows (with or without English captions), etc. One category was that some people (who spoke English natively or almost natively) did one thing outside the classroom: Since the first day they began to learn English, they just memorized all the readings taught in class by reading them aloud numerous times. In this regard, the experience of the 16 participants was similar to that of this category described by Chang. It is fairly possible for EFL learners to speak English more fluently and intuitively if they keep shadowing what they hear, or reading aloud something they are interested in and then memorized them unconsciously on a daily basis.⁸

As a result, it was not surprising that the student participants performed significantly better in the listening comprehension and speaking proficiency of the post-test since they truly felt that they listened and spoke better after receiving large amounts of listening input and producing a great deal output during the treatment.

Affective Enhancement. It was fairly surprising that all the 28 participants unanimously reported that the Shadowing treatment interested them and motivated them in learning English to some extent. The entire Shadowing syllabus motivated the participants to listen and speak English at the same time because of its novelty. Not a

⁸ This finding was actually consistent with my personal experience too. As I mentioned it in the Introduction section, after doing "read their lips" for one semester, I went to New York City to visit my friend who was studying there during my first winter break. When my friend was surprised at my improvement in speaking, she asked me how I could speak more fluently after just four months. She was wondering if I hired an American tutor or hung out with Americans very often, none of which I did at that time. When I told my friend that I just "read their lips" every day, she was even more surprised at how this simple method could help non-native speakers speak more fluently and intuitively.

single one of them had ever heard of Shadowing before the treatment. In my opinion, young students were usually more open to a new learning method, especially when the method was confirmed effective by previous literature. Shadowing was also more interesting and challenging than the traditional “repeat after me” drills because more mental efforts were involved in the Shadowing tasks. Interestingly, the participants also felt that they were using the English language for a real purpose instead of just repeating something mechanically. For instance, they felt that they were more like telling a story of Obama rather than just speaking or repeating what they heard from the recordings while shadowing the Obama article. In this regard, Participant G16 expressed how she felt about Shadowing while shadowing the Obama article:

I’d never heard of Shadowing before, frankly speaking; however, it’s an innovative method for me after the teacher introduced it to the class. At first, I couldn’t get used to it because I had to listen to and speak English, a foreign language, at the same time. But, I started to love this method after just a few weeks. You might not believe this, but I feel like I was telling a story or delivering a speech while doing Shadowing. This made me feel that I was actually using the English language for a real purpose like telling people a story instead of just listening and speaking robotically at the same time. Take the Obama article for example. While shadowing the article, I felt like I was telling others Obama’s fabulous life story though I knew it was the writer’s ideas not mine. My point here is that Shadowing made me feel that I was using the language with my own feelings and intonations instead of listening to something in English and speaking what I just heard at the same time. Let’s face the fact: Most people including myself don’t use English often, especially the aspect of speaking, outside the classroom because we simply don’t need to use it in the most cases of real life. Thus, the entire Shadowing treatment let me feel that I was using English for real purposes, and it enhanced my interest in learning English as well as motivated me to use English outside the classroom.

Participant G16 was not alone in this aspect; all the other participants had similar feelings as hers to some degree. Indeed, compared to the traditional “repeat after me” approach, Shadowing provided relatively more authentic situations to the student participants. Most researchers and practitioners in the field of second or foreign language acquisition have agreed that a second/foreign language is best learnt when it is used for real purposes or communication (Brown, 2007). For these reasons, I think that Shadowing is not only a method that trains EFL learners to listen and speak simultaneously and then improves EFL learners’ listening comprehension and speaking proficiency but also a relatively authentic source that provides them with more input to listen to and opportunities to speak, which an EFL country such as Taiwan usually lacks. In other words, Shadowing can compensate for the inadequacy of language exposure in Taiwan. Thus, EFL teachers in Taiwan can use Shadowing to build up students’ confidence and facilitate their learning in listening and speaking.

Changes in English Learning. The third theme from the interview data was categorized as changes in English learning. It meant that most student participants adjusted or even totally changed their learning habits, attitudes, styles, or methods after the Shadowing treatment. Before the treatment, they were all used to the “repeat after me/CD” method since it was widely used in the English classrooms. They were all accustomed to repeating an English sentence by looking at the text after they heard the sentence read by the teacher or played by the CD. The findings showed that the first big change in English learning was that the participants felt now they prefer or need to first

listen to audio input (without texts) to produce output (speaking), while previously they needed to look at the script before they spoke English. As quoted above, Participant G12 said, "I know it sounds weird, but I do need listening first in order to better improve my speaking. I think that the Shadowing treatment unconsciously changed my habit. And, the new habit really lets me speak better."

The second change in the participants' attitudes toward learning English was that they became more independent EFL acquirers after the Shadowing treatment. From my experience and observation, I have noticed that many adult EFL learners in Taiwan have been complaining about the local English education. These complaints usually include the exam-based orientation, over-emphasis on the rote memorization of grammar and vocabulary, lack of environment for using English particularly in the speaking aspect, a dearth of native English-speaking teachers (or so-called foreign teachers), inadequacy of teaching hours in school, incompetence of English teachers, ineffectiveness of teaching methods (one of the harshly criticized methods has been almost always "Grammar Translation Method," whereas one of the critically acclaimed methods "Communicative Language Teaching"), poor quality of English textbooks, etc., to name just a few (C. L. Kwan, personal communication, September 28, 2010). These complaints are all true to a certain degree. However, shouldn't the adult learners take full responsibility for their own learning? Using these complaints as excuses for not learning English well only block them from improving their English and moving on. Conversely, I have met many people who were born, raised and educated in Taiwan (a so-called EFL context), but they turned out to be great English learners. Some of them (for example, Walter and Yvonne mentioned in the Introduction section) even spoke English almost natively. People might think that Walter and Yvonne were native speakers of English if they just heard their voice. How could these people possibly achieve a native or native-like English proficiency in Taiwan where all the aforementioned learning difficulties have existed for years? They did have one thing in common: They all tried hard to create their English environments (language exposure) with their own preferred learning methods all the time. In other words, they all considered themselves autonomous English acquirers. Similarly, I found out that all the participants in this study changed their attitudes or ideas about learning English after the treatment. It was that not only they considered Shadowing an effective method but also they re-thought their experiences of English learning and adjusted their learning in the future. Here are two quintessential excerpts in this regard from the interviews.

When I was in elementary or high school, I thought that my English would be great only if I went to live or study in the US, or met great English teachers. I blamed Taiwan's English education for my mediocre English. However, after this year, especially after the Shadowing treatment, I gradually found that I was wrong to expect my English to become great automatically and simply by having some wonderful teachers or great textbooks. We often complain that Taiwan doesn't have an environment of using English, but we still can see that many people around us have a good command of English. Most people seem to ignore that it should be the learners instead of the teachers, textbooks, or other factors who take full responsibility for their final achievements. People may wonder: Then why do we need English teachers or classrooms if we really can improve our English just via self-studies or using English every day outside the classroom? It might sound a little philosophical, but in my opinion, a good English teacher or a classroom is like an inspiration. The teacher or classroom should give us some innovative and effective learning methods or ideas, and we (as learners) decide to adopt or not adopt them

outside the classroom to improve our English. I did meet some people who speak English very well, and I found that these people had some things in common. For instance, they all did a lot of outside-the-classroom activities with some effective methods that fit their learning styles. In this class, I was happy that our instructor introduced the Shadowing method and led us to practice it at the beginning of every class meeting for the whole year. I think the entire Shadowing treatment sort of changed my learning habit and ideas of speaking English because now I shadow what I hear quite often. Of course, the English input I receive should be fitting to my level too as the instructor said in class many times; otherwise, I can't shadow it smoothly. I know in Taiwan, it is almost impossible to speak English very often or every day; however, with Shadowing, I do feel that I speak English every day. (Participant B2)

I was really into the instructor's personal story when in the first class meeting, he was telling us about his "read their lips" almost two hours a day in the US. I also love to watch American movies and TV shows. After the Shadowing treatment, I found that I do this very often. If I watch the movies or shows on DVD's, I sometimes turn off the Chinese subtitles and just listen attentively to the movies/shows. Besides, if some scenes are really easy, interesting, or impressive, I not only turn off the Chinese subtitles but also shadow what I hear. I wrote down some interesting expressions too! I never did one of them before the Shadowing treatment. I just watched the movies/shows by looking at the Chinese subtitles and my ears were almost 99% off to the English sound. Looking back, I feel that I was more like "reading" American movies and TV shows instead of "watching" them. Overall, I do enjoy my new learning habit. Also, after the treatment, I've gradually realized that learning a language, especially a foreign language such as English, is a lifelong process because there is always room for improvement. (Participant G20)

I really enjoy the two above excerpts because how many college students of this generation are as reflective as Participant B2 and as enthusiastic as in using English as Participants G20 (turning off the Chinese subtitles, shadowing the interesting scenes, or writing down idiomatic expressions that interested her)? Furthermore, I cannot agree more with what the two participants said above because I had the similar feelings when I started to "read their lips" while watching American sitcoms in the late 1990s. After studying in the US for a few months, I realized that an English environment was an important factor but it was not the only factor to acquire a native-like English proficiency. I found that many international students who went to the United States for a few years had not yet acquired a great command of English ability. The main reason was simple: They did not use the language every day. The American environment might give them enough language exposure but they did not utilize it for some reasons. Therefore, it is the adult learners who should take full responsibility for their English learning. They may expose themselves to many effective learning methods and see what fit their learning styles instead of simply relying on teachers, classes, textbooks, etc. In this regard, the findings showed that Shadowing is one of these effective learning/teaching methods. 24 participants (86%) said that they would surely keep practicing Shadowing after the treatment.

As a result, the qualitative data concluded that the participants had positive attitudes and reactions toward the Shadowing treatment. After the treatment of shadowing the six self-chosen articles, the participants felt that it became easier for them to listen and speak at the same time. They also spoke English more intuitively and confidently without too

much thinking about linguistic concerns after the treatment. Moreover, the entire treatment helped them develop new habits and ideas in learning English as well. The qualitative data re-affirmed their significantly better performance on the post-test.

To sum up thus far, both the quantitative and qualitative findings showed that owing to a great deal of language exposure to input and output, Shadowing not only improved the listening and speaking ability of the student participants but also enhance their interest, motivation, and confidence in learning English. Furthermore, it also changed their attitudes and habits toward English learning in a positive way.

Pedagogical implications

Three implications can be derived from the findings of this study. First and foremost, if providing students with abundant English input is one of the English teacher's main responsibilities in the classroom, Shadowing can be used to resolve the deficiency of listening and speaking practice at regular schools. Both listening and speaking skills could be combined, instead of being considered separate skills, in Shadowing. Lin's study (2009) also concluded that repeating the listening text verbatim is a good way to develop oral fluency, and more English input helps students' overall English performance. To shadow well, students need to listen to a recording many times. After numerous times of listening, they can speak simultaneously or almost synchronously with the audio recordings. All the entire process does significantly improve their listening and speaking ability. Therefore, Shadowing could be merged into the conversation class or other EFL classes focusing on the aspects of listening and speaking since in EFL situations, students often do not have many chances to use English in real life. To put it in a nutshell, Shadowing could provide students with large amounts of listening and speaking practice. Moreover, after students get used to the Shadowing tasks, it is very possible for them to speak better, reduce their speaking anxiety and build up their confidence, and motivate their further English learning outside the classroom.

Second, Shadowing should not be the only activity the entire class time. 20 to 25 minutes should be the maximum due to its "mechanic" nature. In Lin's study (2009), her participants (the second-year students at a public junior high school) thought that some of the shortcomings about Shadowing were that it was repetitive, time-consuming, and tiring. In this study, almost half of the student participants also thought the first two steps were not very interesting though they were helpful to the last two steps. However, in Lin's study, she spent the entire class (50 minutes) doing only Shadowing and her Shadowing treatment lasted five weeks in a row, with three classes a week (a total of 15 class periods). Thus, it is suggested that English teachers who want to adopt Shadowing in their class spend no more than 25 minutes on Shadowing. It is a better idea to start other language activities before the students get bored with Shadowing.

The third implication is about the materials used in Shadowing. Although I first let the student participants select six articles they enjoyed, some still encountered a few difficulties when first receiving the Shadowing treatment. For example, some students did have difficulty listening and speaking at the same time. Moreover, a few of them said that the articles had some vocabulary items (that they did not know) or that the recording speed was a little fast. For these reasons, I would recommend that the Shadowing materials be readings fitting or even a little below shadowers' level of language proficiency. Additionally, the readings should be accompanied with audio files (recordings) with natural and clear pronunciation and moderate (or even a little slower) speaking speed. According to Krashen's Comprehensible Input Hypothesis (2004), language acquisition happens best if a learner receives input that a bit beyond his/her comprehension. Krashen further called it comprehensible input or $i+1$ input (i refers to the learner's current level of language proficiency). Krashen claimed that the Comprehensible Input Hypothesis works

very well in acquiring a first, second, or foreign language. However, while shadowing English as a foreign language, shadowers have to not only pay great attention to what they hear but also speak it out loud simultaneously. Therefore, due to the intensive mental efforts required, materials with *i* or even *i*-1 would be more suitable for the Shadowing tasks.

Conclusion and Limitations of Study

This study investigated the effect of Shadowing through a one-year treatment with a four-step syllabus and 28 student participants of a private technological university took part in the treatment. Moreover, it probed the student participants' attitudes and reactions toward the Shadowing treatment.

The statistical results indicated that after the one-year treatment of Shadowing, the participants significantly improved both listening comprehension and speaking proficiency. The large effect sizes further confirmed the strong magnitude of the Shadowing treatment. That is, the Shadowing treatment had a large impact on the participants' progress in listening comprehension and speaking proficiency and explained large amounts of variances of the participants' improvements on the post-test.

Moreover, the findings from the interviews showed that the student participants had positive attitudes and reactions toward the Shadowing treatment. Specifically, they reported that after the one-year treatment, they improved their listening and speaking ability, enhanced their motivation and confidence in English learning, and adjusted or changed their learning methods or ideas in English learning (in a more effective way). For these reasons, the qualitative data also affirmed the power of the Shadowing treatment.

As for my personal perspectives on the proposed syllabus of Shadowing, I think that Shadowing has three major advantages. First of all, as argued previously, in an EFL context like Taiwan, whether or not we can improve our English proficiency depends on the amount of comprehensible language input and output (and personal efforts, of course). Language-wise, Shadowing is one of the simple methods that can provide students with large amounts of language input and chances of producing output. Also, the language used in Shadowing can be relatively authentic though it is not technically interactive. For EFL learners in Taiwan, Shadowing could be one of the substitutes for speaking English with native speakers or foreigners, if learners do not have many chances to speak English in real life.

Second, inspiration-wise, Shadowing gives students an alternative for their own learning. Teaching is not just a process of explaining English words, phrases, grammar, sentence structures, etc. This linguistic process is unquestionably important. However, how many linguistic items can a school teacher cover in a classroom? From my experience, most students forget what the teacher teaches in the classroom after the course is over, but they possibly remember the original approaches or activities the teacher adopts. Thus, the EFL teacher needs to make efforts to provide students with inspiring and effective methods. Shadowing is surely one of them for the EFL learners. More than a decade ago, I learned the Shadowing method from the couple (Walter and Yvonne) and it inspired me a great deal (though at that time I did not know this method had been called Shadowing in the field of interpretation, and neither did the couple). Years later, I adopted it as the first part of my conversation class and it also inspired the student participants too as discussed above. Lin's study (2009) indicated that Shadowing could help students to think and organize the meanings while performing it, besides providing them with large amounts of listening and speaking practice. When learners get used to Shadowing, they will gradually understand that Shadowing is more than listening and speaking

simultaneously. It is also a way to organize what they hear and understand it better. All the entire process improves not only language ability but also thinking capacity.

Last but not least, shadowing is an inexpensive and accessible learning method after EFL students leave the classroom or even school. All we need is a simple MP3 player or any electronic devices that can play out audio files. 24 participants (86%) in this study reported that they would keep practicing Shadowing after the course was over. It happened to me as well. It has been 14 years since I started to "read their lips" from the TV sitcoms for the first time. I did shadow more intensively during the four years of my doctoral program. However, I still do Shadowing rather often in all occasions, especially when I watch the popular and easy TV sitcoms. I love to "read their lips" by imitating sitcom characters' pronunciation, stress, intonation, and even speaking speed. Via Shadowing, I feel that I am acquiring the English language unconsciously and naturally. And, I do not have to worry that I cannot find any foreigners to talk to on a daily basis. From my personal experience and classroom observation, EFL learners who went through the Shadowing treatment tend to keep practicing Shadowing after they leave the classroom. In other words, these "shadowers" tend to become autonomous English acquirers, and training students to be autonomous English acquirers should be the one of the major goals in Taiwan's English education (Kao, 2009). One of the serious problems in the local English education is that students stop learning, acquiring or using English after leaving school or even the classroom. There are many factors involved, and one of them is that the mechanic and boring methods the teachers use de-motivate students to further use English outside the classroom.⁹ The findings of this study showed that most participants felt that Shadowing enhanced their motivation and interest in English learning and they kept practicing Shadowing after the one-year treatment was over. For these reasons, Shadowing is an easy way that is worth trying for any EFL teachers in order to train their students to be autonomous English acquirers.

Every research study has its limitations, and this study is no exception. It has two limitations. First, the sample used was small. The *t* test is widely applied in language studies because theoretically, it does not require large samples (Brown, 1988). In other words, when the samples are small, the *t* test can show its flexibility; it can adjust the critical values of small samples. For example, the critical values of the *t* test necessary to reject the null hypothesis will increase when smaller samples are used. However, the sample size of this study was still too small to represent the population by any standards. Therefore, anyone who would like to generalize the results of this study should prudently consider the context of the study.

Second, there was no control group. For this reason, I would not rule out a possibility that part of the significant improvements in listening comprehension and speaking proficiency on the post-test might result from the general learning effect (more time with English) or a combination of the Shadowing treatment and the weekly English classes the 28 student participants were taking since there was no control group used in this study.¹⁰

⁹ For example, I took a reading class in a famous language institute in early 1998 (right before I went to the United States for graduate studies). The teacher adopted the Time magazine as the textbook. I found that I had to memorize at least over 50 vocabulary items every time I finished a three-hour class with the teacher's detailed explanations on words, idioms, cultures, etc. The result was that I lost my interest in reading Time for the next 10 years.

¹⁰ During the Shadowing treatment, the student participants of this study also took the Freshman English course. According to the participants, the teacher of Freshman English also played the audio recordings of some texts before she explained or translated the meanings, but they were not required to speak English or repeat after the recordings. For this reason, Freshman English was more like an English course combining reading and listening, depending on the teacher's preferences.

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Appendix A: The First Paragraph of the Obama Article

(Brand, 2009, p. 43)

Barack Obama was born into a mixed race family. His mother was a white American woman, and his father was an exchange student from Kenya in Africa. They met when they were in college, and got married. Two years after Obama's birth, they divorced, and Obama's father returned to Kenya. Obama's mother they married again, this time to a man from Indonesia. After some time, the family moved to Indonesia where Obama spent his early childhood. At the age of 10, he returned to Hawaii where he was brought up by his grandparents.

Appendix B: A list of Questions for Semi-Structured Interviews

1. What is your overall attitude or reaction toward the Shadowing treatment?
2. What are the differences before and after the treatment in terms of your English learning including motivation, interest, listening comprehension, speaking proficiency, learning approaches, learning habits, etc.?
3. What do you think of the syllabus of Shadowing adopted by the instructor? How could the four-step syllabus help you do simultaneous Shadowing?
4. Which part(s) of the Shadowing syllabus did you like most and which did you not like most?
5. Do you understand the meanings autonomously while shadowing the assigned texts after the four-step training?
6. Do you do Shadowing after the treatment? Why or why not?
7. How does the Shadowing treatment influence your English learning, if this is the case?

Violence and Popular Music in Nigeria

Nkechi M. Christopher*

Abstract

Youth music culture is relatively a new phenomenon in Nigeria, but the rise of hip hop/rap threatens the survival of other genres of popular music targeted at youth audience, such as rhythm and blues (R&B), reggae, afro-beat and yo-pop. Innocuous as youth music may seem to adult Nigerians, it may contain elements with potential to provoke or aggravate violence. To determine what this newly discovered culture could reveal about violence in the system, and particularly among youth, a group of youth were asked to assess popular music with bias to violence. The premise is that music could reveal the mindset of its composers and consumers. In a descriptive study, essays written by undergraduate students were analyzed to ascertain whether youth music contains elements of violence in title, lyric, beat, narrative and video presentation; and whether violent music elicits aggression from the consumers. Violence in society can be restrained by taking cognizance of potential causes of violence, and managing situations that can engender violence. This can be done by examining various aspects of community life, events, communication and language use. This study of music violence reveals that artistes, by being accepted by their youth audience, do influence their consumers' behaviours through their music.

Keywords: behaviour, hip hop, music, society, violence, youth

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奈及利亞流行音樂中的暴力問題研究

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摘要

在奈及利亞，青年音樂文化相對來說是一種新的現象。然而，嘻哈和饒舌音樂的崛起，對於其他目標同為年輕人族群的流行音樂類別而言，是可能帶來威脅的。青年流行音樂對於成年的奈及利亞人來說看似無害，但卻可能含有煽動或激發暴力的潛在因素。以音樂能呈現出作曲家及消費者的心態為前提，為了找出這個此一音樂新潮流是否為社會和特定年輕族群帶來暴力影響，本文請一群青年為內容傾向暴力的流行音樂作出量化評估。大學生撰寫的文章指出，青年流行音樂裡的歌名、歌詞、節奏、故事和影音的呈現，除了涵蓋暴力因素，還引發消費者之侵略性行為。透過了解造成潛在暴力的原因和掌控引發暴力的情勢，社會暴力可以控制；要達成目的，社群生活、周遭事物、溝通和語言使用的種種面向均需要受到檢視。本文對暴力音樂的研究結果顯示，透過青年接受，藝術家們著實能藉著音樂影響消費者的行為。

關鍵詞：行為、嘻哈、音樂、社會、暴力、青年

Introduction

It is difficult to contemplate a world without music, rhythms for dance and pleasurable distraction. However, music lends itself to diverse message embodiment and communication and may influence its consumers' behaviour. Thus, music could be used by political and social movements to achieve particular goals. Bob Marley and Fela Anikulapo Kuti became legends because of their political conscience music – music that attacked government or the highly placed in society who oppressed or ignored the masses. In the era of mass consumerism, composers and producers of youth music explore the entertainment features of music to a great gain. The portrayal and celebration of aberrations and the absurd have much appeal; but also impacts consumers and the society at large negatively. Music may, in fact, constitute a young person's first teacher on some critical life issues, such as sexuality, sexual behaviours and criminal adventurism.

Hip hop took Nigeria's music industry by a storm, with tracks hitting the airwaves faster than youth could compose their lyrics. It is important that society pays attention to what youth are listening to, especially where the music scene may be developing faster than other aspects of urban culture, since youth easily access the sound waves of the global popular (Dolby, 1999). This article is concerned with how violence-laden music engenders violence. The significance of this study stems from the fact that the global popular, embedded in Nigerian youth music, holds much appeal for the youth in pristine Nigerian society where the general concern of the population is how to meet basic human needs. The society and security management may lack the capacity to contain consequences associated with youth music elsewhere. Already, at the present, murders are committed with little hope of finding their perpetrators, even when those killed are key national figures; and criminal acts are often tolerated as "acts of God." Allowing the system to heat up beyond its present level through youth aggression may be more than a developing nation can accommodate and ensure that peace and development coexist.

Recently, violence in Nigeria took a new turn, from an ethnic crisis in (urban) Jos in the middle belt that lasted for some years, causing dislocation and relocation of families that had established themselves there for decades, to terrorism in the northern part of the country. Hundreds of thousands have been killed by the Boko Haram group since 2009. It is noteworthy that these crises perpetrated with the youth have proven more intractable than a militant uprising in the Niger Delta. Decades of structural and exploitative violence in the Niger Delta that led to environmental devastation of communities attracted the ire of able-bodied youth who employed sophisticated weaponry in guerrilla warfare that gravely undermined the nation's economic stronghold. Despite the return of peace in the area, the Niger Delta crisis bequeathed the nation a new type of violence – widespread kidnapping for huge ransom. It became very attractive to youth across the nation, degenerating into a seemingly intractable social malady in parts of the country. However, peace and national development have been subjected to indiscriminate terrorism by Boko Haram, which have bombed gatherings and churches in states in the northern part of the country, and the United Nations building in the country's capital. It almost undermined the nation's electoral process in 2011, and has cast a shadow of doubt on the necessity for a national youth service programme designed for increased interaction and peaceful coexistence among the diverse peoples of Nigeria.

The potential for violence in society should be understood so that violence can be restrained through regulations, education and responsible governance. This researcher felt that popular music may be one of the areas youth's perceptions of society are expressed; and that if there is going to be any violent reaction, popular culture of the day will not

only presage it, it will contribute to it. If youth discourse is analyzed, their line of thinking can be deciphered and appropriate measures taken to address their needs and/or forestall aggression. Youth music may present a potential source of violence or of violence escalation in urban communities. Thus, youth were requested to assess youth music with bias to violence content and its tendency to engender violence. This article is derived from information given in undergraduate students' essays on youth music and violence.

Literature Review

Violence in Society

Violence is a social reality. According to the American Psychological Association, "violence refers to immediate or chronic situations that result in injury to the psychological, social, or physical well-being of individuals or groups" (Jipguep and Sanders-Phillips, 2003, p.379). In associating violence with development, Galtung (1990) contends that if peace is a necessity for development, diverse forms of violence must be confronted by peace and development scholars. Violence is "avoidable insults to basic human needs ... lowering the real level of needs satisfaction below what is potentially possible" (Galtung 1990, p.292). Thus, Sylvain (2007) observes that neglect is a form of violence and Galtung (p.292) that "threats of violence are also violence" (Galtung, 1990, p.292).

Galtung's (1990) treatise on "cultural violence" graphically illustrates how direct and structural violence threaten the individual's/group's potential somatic and mental realizations, albeit, with concentration on the "oppressor authority." But there are potent violent acts from below that confront individuals in society, for example, poor living conditions can lead to and heighten conflict, crime and violence in urban communities (Winton, 2004). Direct or physical violence is a tool that states or individuals employ to make a point or to dominate the weak. From the home to the community, and across national boundaries physical violence pose a threat to the individual's well being. Galtung linked different types of direct violence to various needs that they undermine – survival needs (killing), well-being needs (e.g. maiming), identity needs (e.g. desocialization) and freedom (e.g. repression). And one form of violence may be accompanied by another, for example resource exploitation usually involves physical violence in addition to structural violence (le Billon, 1996).

Due to institutionalized political injustice and ethnocentrism, elitism, racism and colonialism, the people of South Sudan faced several years of civil wars which led to the death of millions (Hanzich, 2011). For the living, "both institutions and social frameworks inhibit the population from achieving basic human needs" (Hanzich, p.38), a situation that leads to other direct violence, such as early deaths and poor physical and mental health (van der Wusten, 2005). In the United States gang wars, drive-by shootings, sniper attacks, and widespread sexual and other physical abuses constitute daily life-threatening community violence in many low-income inner-cities (Jipgued & Sander-Phillips, 2003). By implication, the individual can be under threat of violence from institutionalized order and from those within an "oppressed" community. According to Winton (2004, p.165) "the often challenging economic, social and political environment of many cities increases the rate, intensity and impact of violence there." And whereas physical aggression to a person is easily understood as violence, structural violence and cultural violence are invisible.

Generally, life-expectancy of those exposed to structural violence is lower than that of members of other groups in the same geopolitical entity, as Eckermann (1999) discovered of Aboriginal Australians. Structural violence manifests in privileged access to

necessary goods for the achievement of the good life. Meyer (1998) lists seven “real goods” identified by Mortimer Adler for achieving happy or good life, including the goods of the body, economic goods, political goods, social goods, goods of personal association, goods of the mind and goods of character.

But cultural values come into play on how people are treated by those who have or exercise the power to inflict direct or structural violence. Cultural violence is based on an ideology that accepts that some people are placed higher than others in society, and that this privileged position warrants undue advantage of the one over the others. A society’s belief on the relationships between people creates a foundation for determining whether direct and structural violence are acceptable norms. For example, if women are inferior to men then the husband makes the laws for the family and determines how family income is to be spent (structural violence), and he may choose to abuse his wife physically or verbally – patriarchal dominance contributes to domestic violence (Held, 1997; Michalski, 2005). In an African family setting, the husband should have the choicest piece of meat in the pot, and children may go without. Similarly, in a society like Nigeria many accept that the rich may live in choice areas, and their children attend good schools, while the poor can live in ghettos and their children attend poorly provided for public schools. The latter set of children struggles to achieve their life ambitions and many cannot. Eckermann (1999) observes that systemic frustration characterizes aboriginal education.

Structural violence brings about psychological hurt and thereby alienation, repression and deprivation. It also triggers off urban violence, poverty, inequality and exclusion (Winton, 2004). Further, Bowen, Gwiasda and Brown (2006) observe that forces outside the community give rise to violence, especially policies and values that induce structural and cultural violence. When a people fail to recognize and negotiate the principles and practice that arrange power structure and access to necessary goods, other violence could occur. For example, Madriz (2001) suggests that terrorist acts perpetrated by people of the Arab world in non-Arab countries spring from violence within the Arab world itself as well as direct and invisible violence from outside the Arab world. For the individual, “material deprivation and exclusion from educational and cultural networks open up ways for more immediate identification and make demands to consume [drugs] more pressing” (De Castro, 2006, p.180; Eckermann, 1999 also).

Experience shows that, unattended to or poorly handled, one type of violence reproduces itself and other kinds of violence. Galtung (1990) establishes in his work that the three types of violence are so connected that: “Violence can start at any corner in the direct-structural-cultural violence triangle and is easily transmitted to the other corners.” Thus, Weinstock and Riedner (1999, p.7) observe that: “The potential for conflict becomes most acute ... when internal inconsistencies exist, when ... unexamined assumptions and contradictions – discrepancies between principles and practices – structure responses in the absence of understanding and communication.” In line with this argument, Sugrue and Goodman (2007) attribute civil disorder of the 1960s in suburban north (America) in part to the failure of the local government to address the grievances of African Americans and militant rhetoric of self-determination among suburban youth. The inherent potency of the second factor, militant rhetoric, is often ignored. Hamm (2004, p.326) observes that language is one of the factors that give meaning to terrorist subcultures, noting that “White power rock exposes these youths to the raw and vitriolic language of racial and ethnic hatred.”

Violence and Popular Music

Music, as other types of popular culture, lends itself to the articulation of all types of violence, verbally and visually – in fact, it provides a window for “seeing” diverse forms

of violence in society. As Adams and Fuller (2006, p. 952) observe: “Music is a powerful art form that has the potential to be influential, particularly when it is supported by a structural system and cultural ideologies.” Hip hop provides youth in a society a means of self-expression, and particularly, for expressing frustrations experienced in that system – usually social injustice deriving from structural and cultural violence, such as marginalization, brutality, truncated opportunity and oppression (Adams & Fuller, 2006, Bennett, 2001). Writing about Brazil, De Castro (2006, p. 194) avers that “musical expression has become the ample, and perhaps the sole, cultural means whereby poor youth can voice and express the silent and perverse conditions to which they are subjected.” Music becomes a means of creating emotional and social bond.

However, hip hop attracts admiration as well as criticism. “Detractors have criticized most rap music as a boastful promotion of violence and misogyny; others have admired it as an inventive manipulation of cultural idioms and credit many rappers with an acute social and political awareness” (*The Columbia Encyclopedia* 2009, p. 40560). Niang’s (2010) observation substantiates this assertion: “Bboys (hip hop performers or fans) have tried to use their rising popularity to influence Senegalese society, its culture and even politics ... they sometimes dare to break certain social and political taboos.” Apparently, some musicians transmute from mere musicians into, perhaps, “the chosen ones” (Galtung, 1990) or voice of the people; and “consumers of this music, in turn, seek to reconstruct themselves from their ordinary realities to something wider, something that enlarges them as people” (Hamm, 2004, p. 327). Thus, music can have strong impact on its consumers. White power rock music conveys “raw and vitriolic language of racial and ethnic hatred” (p. 326) and “such powerful emotions that youths began to link musical messages to their focal concerns about white male hegemony” (p. 327).

Music with violent content not only makes consumers more aggressive but also increases “the prevalence of symptoms of psychological trauma, and other psychological and behavioral sequelae” (Jipguep and Sanders-Phillips, 2003, p. 379), since violent media creates an image of a world replete with violence. Expectedly, consumption and effect of media violence will vary with individuals. Jipguep and Sanders-Phillips avow that poor and working class children in the US would engage in much television viewership since it is the most available non-school extracurricular activity, while Slater, Henry, Swaim and Anderson (2003) found that violent youth seek out violent media. Consequently, a positive relationship exists between media violence consumption and aggressive behaviour, more so in youth and communities predisposed to violence (Jipguep and Sanders-Phillips; Slater et al.). Specifically, Bennett (2001) and Brian Primack (Nauert, 2009) found similar evidence as Jipguep and Sanders-Phillips:

... that adolescents who had greater exposure to rap music videos were 3 times more likely to have hit a teacher; more than 2.5 times as likely to have been arrested; 2 times as likely to have had multiple sexual partners; and more than 1.5 times as likely to have acquired a new sexually transmitted disease, used drugs, and used alcohol over the 12-month follow-up period (p. 387).

In the celebration of social taboos on sex hip hop denigrates the female gender, placing her as an object to be used, abused and discarded – an ideology that is common in society (Adams and Fuller, 2006). Adams and Fuller further observe that misogyny, the hatred or disdain for women, emerged in rap music in late 1980s. They described its manifestation thus:

Misogyny in gansta rap is the promotion, glamorization, support, humorization, justification, or normalization of oppressive ideas about women. In this genre of rap music, women ... are reduced to mere objects -

objects that are only good for sex and abuse and are ultimately a burden to men (p. 940).

Adams and Fuller (2006) opine that such a message passed across on a particular set of women could have implication for all personalities of the female gender. Moreover, young women could grow up acting out what celebrated artistes are singing believing that it is what is expected of a woman (Basu, 2008). According to Biran (2003, p. 496), "when we are exposed to images that leave no room for imagination, reality becomes chaotic and undifferentiated." Incidentally, misogyny seems to sell: "Since its emergence in rap, misogyny has become a constant feature in the works of several artistes" (Adams and Fuller, 2006, p. 939).

It is safe to conclude then that some musicians promote violence in society through their lyrics, beats and videos. Violence in this paper is not limited to physical bodily harm; and even though particular songs may not portray any physical violence, their messages can convey or mediate violence. The rest of this work discusses violent features in Nigerian youth music and their consequences from the perspective of third year undergraduate students.

Methodology

This descriptive study of youth music and violence in Nigeria is based on data derived from 31 third year undergraduate students' essays on the subject matter. Although the immediate objective of the essay was to test students' competences in developmental writing, the topic was deliberately chosen for two reasons: to encourage productive writing – students write with greater ease on topics that they are familiar with. Secondly, the students were to act as the researcher's observers on the subject of music and violence in Nigeria since they belong to the age and social groups that consume youth music. This data generation procedure had the added advantage of eliminating bias in observation, as the students were not told that their writing would be subjected to a study on youth music.

The students were aware of the music scene through party attendance, and/or being active or passive audience in their university hostels and neighbourhoods (during the holidays). In the Nigerian environment, music is usually "in the air," there being little or no restrictions to musical sounds emanating from buildings or apartments. Moreover, companies, beverage and mobile telephony providers in particular, take advantage of popularity of musicians to promote their products through music events. Such music events are often aired on television.

Four major themes deducible from, and employed in analysing, the students' essays on youth music and violence include: a) perception of what music was/is, b) violent elements in youth music, c) manifestations of violence in music, and d) consequences of violent-engendering music content.

Discussion of Findings

What music is

In students' assessment, the recent phenomenon of youth music is quite different from what the society had been conversant with. Generally, they assess the messages of old time (adult) music as more acceptable and beneficial to society than the current "invasion," which however, is characterized by the vibrancy youth prefer to the rhythm adults "wriggle" to. Table 1 gives further details.

Table1: What music is: a comparison between old school and youth music

<i>Description</i>	<i>Old school (e.g. Highlife)</i>	<i>Youth music (particularly Hip hop)</i>
Entertainment (means of)	Yes	Yes
Exercise (means of)	Yes	Yes
Relaxation	Yes	?
Nourishment to the soul	Yes	No
Means of education	Yes	No
Moral education	Yes	No (Lust, sex, money)
Content	Sense. Value-laden	Sense and senselessness
Cathartic	No	Yes
Criticism of government	Advisory	Adversarial
Manifest goals of artistes	Entertainment and education	Short-cut to fame and fortune

The above summary shows that youth music is clearly distinct from earlier popular music. Hip hop has provided youth a means with which to express their frustrations with a system that does not provide for its youth, cannot stem poverty but permits wanton corruption and embezzlement. However, as in many other contexts (Niang, 2010), after a while, hip hop artistes take licence of their popularity to exuberate in youthful impulses. A student observes that youth musicians encourage their consumers to satisfy today's desires and impulses with no regard for the future.

Music elements suggestive of violence

Violence in music is largely a new introduction in Nigeria, and is evident in or suggested by these features:

1. Song titles, e.g.: *Kolomental* [Madness], *o4kasibe* [It dashed in pieces "there"], *Bumper to Bumper*, and *Shayo* [Drink to a stupor]
2. Song lyrics:
 - a) Message – promotion of aberrant sexuality, drug use, alcohol, fraud and violence against government, e.g. *Elewon* [Drive them – politicians] and *Flog the politicians*
 - b) Direct use of obscene language
 - c) Use of non-taboo words obscenely, e.g. Manchester as "man chester"
 - d) Coinage of new words and phrases – use of coded language.
 - e) Use of violent words, e.g. *orie*, *o fokasibe* [your head dashed in pieces]
3. Violent beat: e.g. *o4kasibe* starts with a very loud and violent beat.
4. Video – e.g. deranged and normal-looking people acting insanely in *Kolomental*.
5. General presentation of music: glamorization of social taboos and violence.

Further, when youth sing about their perception of society, especially with reference to governance, they render it in a violent fashion, unlike old-style melodies which advise and give education about life.

Manifestations of violence in youth music

All forms of violence are manifested or song about in youth music. Some artistes have used their songs to draw attention to social ills in society, particularly structural violence. African China is credited with bringing to public consciousness youth's awareness of, and concern about corruption in government, poor provision of social amenities, maltreatment of the poor, and denial of a voice for the poor while the rich receive preferential treatment. However, African China's and Timaya's choice of word in some of the lyrics is perceived as capable of instigating violence.

African China (on neglect of the youth)
 Our government bad oh!
 They no want give ghetto man job
 If ghetto man no get job my brother
 how he go take survive

Timaya (on direct violence in the Niger Delta)
 They rape our girls
 And make us homeless o *chai*
 Them kill our mama *iyó*
 Them kill our papa *iyó*
 Them make children orphans and homeless

P-square (Paul and Peter) elucidate government's insensitivity to the plight of the people in their songs titled *Why e be say* [Why is it that]. In *Stand up* they sang "Them are faking, accumulating. Debating, money deprecating. Manipulating to hold us down, but nobody can stop us now." Consequently, another artiste, Junglist, recommends: *Flog politicians* – part of the lyric (translated) says: "We shall flog the politicians. We shall tell them that we don't want their dirty messages (i.e. vain promises)."

Some students opine that such lyrics can start a social upheaval or fuel one. Lagbaja's (adult musician) *Suru lere* [patience has its reward] is preferred as it advocates cooperation between the government and the governed. However, a few other students are unapologetic, noting that violence in music is a reaction to violence in society, and that music only documents societal violence. This view of violence in music may not be supported by other evidence in the study. Violence manifests in renditions promoting easy and quick money, drug and alcohol abuse, expression of enmity and invitation to violent acts, and sexuality and misogyny (not started but exacerbated by youth).

Despite hunger and poverty in Nigerian, the society has a culture of ostentation. Thus, mental poverty and ostentation drive wealth accumulation, unending corruption and embezzlement at every level in the system. Moreover, the public rarely raises eyebrows about one's sources of fortune. It is therefore not surprising that the youth want easy and quick means of acquiring wealth to live "the life" constructed from music videos, peer associations and imagined lifestyles of artistes. Fraud, corruption and cybercrime sung about and portrayed in music videos show how to make quick and easy money. Consequently, it was observed that *Yahoozee* (by Olu Maintain), which gives a vivid picture of what is gained through cybercrime, increased the incidence of cybercrime. Students infer that the line: "If I hammer, first thing *na* Hummer (jeep)" [meaning: "If I make a hit, the first thing I will buy is a Hummer jeep"] made youth crazy about getting money by any means. Similarly, other lines in *Yahoozee* support indolence among youth, suggesting that some are born to harvest the labour of others for revelry.

Further, Internet fraud may come to be viewed as a normal practice by young music consumers, since it is promoted by their icons. Kelly Hansome's *Maga don pay* [the fraud victim has paid] is explicit in its message on how patience on the Internet by the criminal would yield result eventually. The messages in these song lyrics contradict youth musicians' criticism of corruption and other social vices that are associated with structural violence.

Music violence becomes particularly problematic when drugs, sex and fraud are associated with success in life, and modelled for young people to emulate. Bigiano's *Shayo* encourages drinking to a stupor in parties, insisting that "to attend my party you must *shayo*" [get drunk]. As a result, various forms of direct violence, particularly fighting and rapes were witnessed after youths acted in line with the lyric's demand. Some other musicians celebrate the drug habit, for example, Jogodo. Students wondered why 9ice, who claims that he does not take drug or alcohol, nicely celebrates drug habit in *Ganja* [marijuana]. Students believe that, at the least, these song lyrics would create identity problems for young ones, some of who would indulge in drug and alcohol habits

in order to belong. At some parties those that do not take drug and alcohol are mocked; and some young women feel it a pride to date a guy that “is happening” [drinks a lot].

Some artistes actually promote aggression and enmity in their music. Eedris Abdulkareem satirizes Olusegun Obasanjo and Tuface in *Ko le ye won*, blaming the former president for giving to Tuface an award that he (Abdulkareem) deserved. In another song he accuses his producer of exploiting artistes under his label. Some musicians go further to include violent acts in their music, even killing and suicide. Youth are also invited to execute violent acts, for example Wande Coal’s call to youth to drive *Bumper to Bumper*. Faze’s *Kolomental* (video) that exhibits mad behaviours topped the charts. But the most notorious violence that sells is sex, especially when it degrades women.

Sexual immorality had the highest mention in students’ essays as a predominant form of violence, either on the psyche of the audience or directly on participants in musical acts – the victims are women. Starting from indecent dressing, students listed as forms of violence to women: negative portrayal of women, pornography, use of vulgar language, provocative dance steps, promotion of sex and lust, and the presentation of rape and violent sex as normal and acceptable practices. It is clear that students oppose the demeaning of women in society; that is, they are against misogyny.

Abdulkareem had won people’s admiration when he condemned lecturers that sexually exploit female students, but he also contributes to the genre celebrating sexual immorality. His use of foul language in *Oko Asewo* [the husband of prostitutes] promotes promiscuity in the mind of the simple, to the effect that rape can easily be perpetrated with impunity. Some other singers portray women as sex commodities or as property for a male to possess, manipulate and discard as deemed fit. An example is D’Banj who unconscionably sings about sex and promiscuity. In *Suddenly* he sings: “Late in the night she is bugging me. Late in the night she is ****ing me.” Students frown at this artiste’s suggestion that women are sex-starved animals. But Obesere (sings in vernacular) is more notorious and is extremely explicit on the erotic and sensual in lyrics and music videos. His songs appeal to commercial drivers (largely illiterate) who use his vocabulary in parks. Students find his lyrics chauvinistic and unfair to women; especially as they promote polygamy and promiscuity among the male folk while engendering gender discrimination.

On the other hand, Zule Zuu supports infidelity among women in *Kerewa*, and X-project’s *Lori ile* [On the floor] promotes unscrupulous sex. *Konga* by Oritse Femi was observed to have wrecked havoc in society with its promotion of indiscriminate sex, in fact, right on the party floor. A line in the song says anyone at the party who is not interested in indiscriminate sex should be sent out. But perhaps a more disturbing celebration of the sacredness in public is the report that a musician stationed a nude woman on stage during a concert, and in a true spirit of commodification, people came out and dropped money on her, and could touch the “statue.” As Langman (2003, p. 237) aptly puts it: “A woman is not a person but a pastiche of breasts and orifices to be penetrated, dominated and denigrated, thereby dramatizing masculinity as superior.” Misogyny in Nigerian music promotes all forms of violence – direct, in the form of rape; structural, by placing women on a pedestal lower than men’s; and cultural, by perpetrating cultural ideologies that demean women.

Students lament that some artistes do not see anything wrong with “their emotionally disturbing lyrics and dark melodies.” In eulogizing sex, alcoholism and drug habits artistes are celebrating (private) sensuality that is best jettisoned, repressed or controlled to ensure that youth’s personal drives are channelled into the development and advancement of the person and society. Consumers on their part tend to fall in love with artistes that exhibit violence and eulogize sex.

Observed Music Mediated Violence

Constant access to music guaranteed by technological advancement (e.g. iPods and phones) means that youth can be connected with their own world and values and images contained in lyrics and music videos while distanced from reality and their immediate environment. The student-observers in the study found that youth emulate artistes who they see as role models in lifestyle, dressing, mode of talking, beliefs, etc. This is not unconnected with artistes' success, affluence and life style that reflect desired media images. A student believes that "youth take advantage of popular music to indulge in hedonistic behaviours, which ordinarily they would not have [done] without being externally influenced." It is disturbing that some young lovers go out of their ways to kill perceived trespassers.

Media effect of youth music on youth may be contestable, but there is no doubt that music consumption elicits observable particular behaviours among youth; for example, students found that when *Yahoozee* was popular cybercrime increased, but reduced after its popularity waned. Further, ritual killing, armed robbery and frauds (cybercrime and advanced fee fraud) are increasingly being perpetrated by youth. Nonetheless, the students recognize that the larger society is also culpable because as 9ice says in his virulent sermon, *Gongo Aso*, people will accept a rich person without asking questions about the source of his wealth. He therefore urges people to make money by all means – a situation that undermines the dignity in labour and the importance of developing respect for self and others.

Summary and Conclusion

Students in this study note that in the past music was developed to nourish the soul, relax the mind and provide exercise for the body. In recent times, hip hop created a space for youth to be heard, but hip hop has become a means of celebrating social aberrations. Student-observers maintain that the messages in music erode the sense of judgement and limit thinking capabilities of adolescents. In identifying with media images and artistes' lifestyle, youth construct identities that are out of tune with the expectations of their family and community.

Should youth musicians take all the blame for the ills they are accused of foisting on society, considering "the uncertainty created in every facet of the socio-economic system: no food, no jobs after graduation," as a student says, and that social injustices persist? The question of hip hop violence and violence in society is analogous to the chicken and egg metaphor, not just in the sense of which came first but that violence in the one raises violence in the other. Galtung (1990) argues that structural and cultural violence lowers needs satisfaction below potential levels. By presenting the different forms of violence existing in the system in their songs, artistes raise youth consciousness on apparent causes of their inability to access public goods and have the good things of life. Subsequently adding to this awareness a desire to react among youth causes physical violence to escalate among youth and heightens violence in society. In addition, the celebration of the absurd and aberrations increases existing cultural violence, particularly misogyny.

Nonetheless, the evidence from this study suggests that most of the music misrepresent reality in the real sense. Apparently, profitability and marketability criteria "take precedence over quality, artistry, integrity and intellectual challenge" (Strinati, 2004, p. 3). Thus, what is projected to youth is not a true picture of society. High level of media violence inadvertently signals that violence is normal, glamorous and widespread in

society. It is noteworthy that popular genres that promote violence are borrowed from other cultures, and is inimical to the wellbeing of evolving urban communities in Nigeria, particularly considering that: “In a mass society, the individual is left more and more to his or her own devices, has fewer and fewer communities or institutions in which to find identity or values by which to live, and has less and less idea of the morally appropriate ways to live (Strinati, 2004, p. 6).

As advertisement messages are capable of creating a desire for a product or service, in similar ways, long hours of watching music videos and listening to popular music can engender the construction of undesirable perceptions of life in the minds of the young. To counter such views, the youth require the capacity to develop desirable concepts about life, negotiate their conceptions and conceptualize appropriate view of life that will guide them to contemplate options and choices. The importance of media literacy in such a process cannot be overemphasized. Moreover, it is improbable that a mind can be sufficiently developed in today’s modern world (and mass society) without adequate provision of books and literacy activities in the school and society. The role of appropriate literature as a medium that helps the individual to construct and negotiate identity is yet to be recognized and emphasized. Further, debate forums will encourage self-reflection by society and the individual.

What youth consume can be controlled through regulation of consumption, if not production. A student recommends proactive censorship to prevent unwholesome music and videos getting to young people. According to McFarland and Kimmons (2008) advisory warning labels on music was viewed by some as censorship, and led to public denouncement of some rappers, rejection of some musicians from performing in some cities, and importantly, self-censorship.

Further research is required to understand youth identity construction and behaviour, such as a survey of relation between consumption of youth music and youth lifestyle and behaviour; and identity construction among Nigerian youth and how this relates with their life aspirations.

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- 一、「國立彰化師範大學文學院學報」(以下簡稱「本學報」)是由國立彰化師範大學文學院負責發行之學術期刊，本刊以英語、國文、地理(及休閒、觀光遊憩)、美術(暨藝術教育)、兒童英語、翻譯(口、筆譯)、台灣文學、歷史研究領域為主之學術專刊，每半年發行一次(預訂每年三、九月出版，截稿日為每年6月30日及12月31日)，舉凡相關領域之論著皆所歡迎，敬請公私立大學專、兼任教師、學術研究單位人員、博士研究生(於基本資料表上請指導教授簽名)踴躍賜稿。來稿刊出前，均經過正式之審查程序。
- 二、本學報除公開徵稿外，為拓展本刊視野，豐富其內容，增進其學術能量，得於不違背本學報宗旨之前提下，經總編輯(由院長擔任)推薦，經編輯委員會審定後成為特稿。
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- 五、稿件版面以A4紙張，註明頁碼，一律採電腦打字，並請用Word軟體編輯(12號字，中文字體以新細明體，英文字體以Times New Roman，1倍行高，中文標點符號用全形，英文標點符號用半形，邊界採用Word預設格式)。
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- 八、本學報稿件審查採匿名雙審制，文稿中請避免出現作者相關資訊，編輯委員會斟酌審稿員意見及建議後做最後決議，未獲採用者則致函通知，恕不退稿。
- 九、投稿若經刊載，稿件著作權歸屬本學報，本學報亦有刪改權，投稿時需繳交「投稿授權聲明書」。本學報不接受已刊登之文章，如發生抄襲、侵犯著作權而引起糾紛，一切法律問題由投稿者自行負責。
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