

國立彰化師範大學 文學院學報

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《國立彰化師範大學文學院學報》第九期總編序

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

《國立彰化師範大學文學院學報》，也稱《彰化師大文學院學報》，於民國 91 年由首任院長創刊。之後，每年刊出一期，至民國 94 年共刊了四期各領域數十篇優質論文。本人 99 年接任第四任院長時，有鑑於學術亦需喉舌，文學院基本人文哲思尤待宣揚，且評鑑改變學術研究生態，教師專業成長需要刊物支撐，尚可拓展華文世界人文學門論文發表園地，並鼓吹系統學科思想研究，更能與理工科學進行對話，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。由於同仁辛勤耕耘、歷任校長及高層大力支持，以及國內外學者積極投稿，使得各項編輯業務得以順利推展。由於係半年刊，截至目前，已然出版五至八期（出版日期分別為 101 年 3 月、101 年 9 月、102 年 3 月及 102 年 9 月），每期均獲佳評，稿源順利湧進，而以外稿居多。隨著本期順利出刊（103 年 3 月），即滿五期，下一期（表定 103 年 9 月出刊）則刻正定稿中，學報今年即可向科技部申請優良學術刊物審核，希望能百尺竿頭，更進一步。編委會認為，學報之今日，令人欣慰，未來必定一片光明，而彰化師大文學院在這地球村雖侷處一隅，但奮力興學，不落人後。

和其他學報不一樣之處，本學報除了選刊國內外學者投稿之論文以外，尚有「總編邀稿」之設計。此設計旨在向各方借將，誠意累積不同學門重要論文，冀望有機會介紹更多華文學界主要學門的重要學者。過去四期，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，本期則介紹大陸的資深歷史學者王子今教授。王子今，1950年12月生。1982年1月陝西省西北大學歷史系考古專業畢業。1984年12月西北大學歷史系中國古代史專業攻讀碩士學位研究生畢業，獲歷史學碩士學位。現任人民大學國學院教授，中國秦漢史研究會顧問，中國河洛文化研究會副會長，中國岩畫學會副會長。曾任北京師範大學歷史系教授，香港科技大學人文學院訪問教授，香港城市大學中國文化客座教授，教學、研究、服務等，均極為傑出。出版《秦漢交通史稿》、《秦漢區域文化研究》、《秦漢時期生態環境研究》等學術專著30餘種，發表學術論文620餘篇。透過本院歷史所陳文豪教授的引介，本期特別邀請賜稿，獲其欣然同意，稿名〈公元前3世紀秦嶺西段的生態環境—放馬灘秦墓木板地圖研究〉，本人代表編委會在此特別致謝。王子今教授認為，天水放馬灘出土的地圖內容實有益於考察當地生態環境史的面貌。其中有關「大楠材」的記錄，尤其值得重視。古代行政地圖和軍事地圖都重視有關「林木」的信息的記錄和顯示。但是放馬灘地圖突出顯示「材」及其「大」「中」「小」以及是否已「刊」等，都應理解為林業史料。職是之故，有關秦人早期經濟形態的認識，因此出土地圖得到了新的條件。有關秦人先祖「養育草木」的歷史記憶，說明林業在秦早期經濟形式中也曾經具有相當重要的地位，此圖信息充實這一認識。關於某種「材」運程若干「里」，以及如何「道最」等運輸信息，乃至「關」（或釋作「閉」）的設置等，均體現林區交通開發的記錄和導引的圖示。這種傳世文獻、新史料結合的二重證據法及多學科綜合研究，展現王子今教授深厚文獻功底與史學見解。

一件有意義的工作之得以順利完成，總是有無名英雄。本期之出版，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，還有一群認真負責而可愛的研究生盈琇及郁欣在文字編輯工作上之細心處理。泰彬兄主持所務與教研之餘，還擔任本期主編，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 103 年 3 月

主編的話

本校文學院成立於民國89年，迄今擁有英語、國文、地理（暨休閒、觀光遊憩）、美術（暨藝術教育）、兒童英語、翻譯、臺灣文學、歷史等系所；創院伊始，為提升本院各系所在學術界的學術地位，特發行本學報，做為學術議題討論的園地。近年為強化本學報的學術性，建立嚴謹審查制度，每期並邀請特約稿。

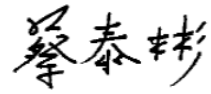
本學報每年發表二期，本刊為第九期，論文計有來稿20篇及特約稿1篇，特約稿為中國人民大學國學院王子今教授所撰稿的〈公元3世紀秦嶺西段的生態環境—放馬灘秦墓木板地圖研究〉；投稿論文則依照〈國立彰化師範大學文學院學報審查作業規則〉，召開審查委員會，由審查委員會提交校外專家學者2至3位審查，經評審通過者計有12篇，退稿率達40%。此12篇論文，屬外稿者有9篇，內稿者有3篇。

本院深刻體認《學報》為一個學院研究動向及研究成就的指標，也認知今日的北京大學之所以成為一流學府，實奠基於民國5年蔡元培擔任校長時期，為改革當時北大的頹喪學風，不僅成立進德會以增進師生的品德，還鼓勵師生靜心研究，發表論文，於是各式學術期刊如雨後春筍般紛紛出版，優質學風於焉建立。為此，期盼本學報能引領各系所從事跨領域的研究，提升在學術界的影響力。

本刊能順利出版，對於投稿者的賜稿，審查委員的盡心盡力，編輯同仁的任勞任怨，謹於此，獻上誠摯的感謝。

《國立彰化師範大學文學院學報》第九期主編

歷史學研究所教授



謹誌

中華民國 103 年 3 月

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第九期

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公元前 3 世紀秦嶺西段的生態環境 ——放馬灘秦墓木板地圖研究

王子今

摘要

放馬灘秦墓出土木板地圖圖示信息，對於中國古代地圖史、測量學史和地理學研究均有重要意義。有學者發表的“天水放馬灘地圖是中國也是世界上最早的實用地圖”的評價，似尚可商榷，但強調“實用”意義，卻切合秦人重視實用之學的文化傳統。放馬灘秦地圖的內容，有益於考察當地生態環境史的面貌。其中有關“大楠材”的記錄，尤其值得重視。古代行政地圖和軍事地圖都重視有關“林木”的信息的記錄和顯示。但是放馬灘地圖突出顯示“材”及其“大”“中”“小”以及是否已“刊”等，都應理解為反映當地植被條件及其經濟效應的重要信息。墓中出土木板畫描繪的林區野生動物形象，也有生態史料的意義。放馬灘秦墓地圖提供的有關林區水運的信息，對於我們認識當時的水資源狀況也有值得重視的價值。

關鍵詞：放馬灘、秦墓、地圖、植被、生態、環境

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The Ecology and Environment of West Qinling in the Third Century B.C. : The Wooden Maps of Qin Tombs at Fangmatan

Zi-jin Wang

Abstract

The graphic information on the wooden maps of Qin tombs unearthed in Fangmatan is of great significance in terms of ancient histories of Chinese cartography, surveying and geography. It is arguable that the maps of Tianshui Fangmatan are claimed to be the world's and Chinese earliest maps in practical use, however, the emphasis on their “practicality” bears resemblance to the tradition of practicality in Chin dynasty. The contents of the maps are useful in investigating the aspects of local ecology and environment where the documented “Phoebe zhennan material” proves to be most valuable. Both administrative and military maps in ancient times put emphasis on the recording and displaying of information about forest trees. The maps of Fangmatan highlight the trees' “materials”, “sizes” and their “publications” which are realized as reflecting on the local vegetation conditions and their economic benefits thereof. The excavated wooden board drawings depict images of wildlife in the forest region and represent significant historical data of ecology. The maps of Qin tombs in Fangmatan provide information about water transport in the forest region which familiarizes us with the water resources at the time and therefore proves to be invaluable.

Keywords: Fangmatan, Qin tombs, maps, vegetation, ecology, environment²

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天水放馬灘1號秦墓出土的年代判定為戰國時期的木板地圖³，可以提供重要的歷史文化信息，對於推動中國古代地圖史、測量學史和地理學研究的進步各有重要意義。從中我們也可以發現反映生態環境面貌的內容。放馬灘地圖突出顯示“材”及其“大”“中”“小”以及是否已“刊”等，都應理解為反映當地植被條件及其經濟效益的史料。聯繫秦人先祖“養育草木”的歷史記憶，可以考察相關歷史文化現象。

1. 放馬灘秦地圖在地圖史上的地位及其應用價值

放馬灘秦墓出土古地圖據發掘報告整理者判斷，“是迄今發現時代最早的地圖實物。”⁴有學者稱之為“我國目前發現的繪製年代最早，繪製頗為規範準確的地圖”。⁵雍際春的學術專著《天水放馬灘木板地圖研究》以為這組地圖“在地圖繪製技術、方法等方面的特點和成就，無疑體現了我國先秦時代地圖繪製技術所達到的實際水準，從而填補了先秦至戰國時期我國地圖學史和科技史的空白”。雍書又進一步指出，當時“地圖繪製所達到的實際水準”具體表現為：“1. 形成統一的圖式體例”；2. “基本比例的概念已經形成”；3. “以水系為地圖的基本框架”；4. “地圖準確性較高”。⁶

雍書就第一個特點進行的說明中，有值得我們重視的一則評斷：“符號注記配以文字和圖形，將地圖涉及的河流、山谷、分水嶺、植物分佈、關隘、特殊標記（亭形物）、城邑鄉里、交通線、里程、採伐點等內容醒目清楚、協調統一地有機結合起來，從而構成了放馬灘地圖完整統一的圖式體例系統。”⁷這樣的分析，我們是同意的。而指出圖中標示“植物分佈”和“採伐點”的意見，特別值得關注。

在總結“天水放馬灘地圖的歷史地位”時，雍際春寫道，“天水放馬灘地圖是世界上最早的實用地圖”。他說：“天水放馬灘地圖不僅反復細緻地標繪了天水地區的主要河流水系，而且對邑聚鄉里、道路里程、關隘方位、林木採伐等地理事物的分佈，都有具體翔實的反映。它無可爭議地表明地圖是出於實用目的而繪製的。就目前所知，早在距今2300年前西方類似的實用地圖尚未出現，即使是具有示意性質的希臘艾拉托色尼和羅馬托勒密所繪‘世界地圖’亦較天水放馬灘地圖晚出100至500年。因

³ 關於放馬灘秦地圖的繪製年代，尚有不同的判斷。何雙全以為當在秦始皇八年（前239）（《天水放馬灘秦墓出土地圖初探》，《文物》1989年2期）。朱玲玲贊同此說（《放馬灘戰國地圖與先秦時期的地圖學》，《鄭州大學學報》1992年1期）。任步雲以為可能在秦王政八年（前239）或漢高帝八年（前199）或文帝八年（前172）（《放馬灘出土竹簡〈日書〉芻議》，《西北史地》1989年2期）。李學勤以為在秦昭襄王三十八年（前269）（《放馬灘簡中的志怪故事》，《文物》1990年4期）。張修桂以為在秦昭襄王之前的公元前300年以前，並將圖分為兩組，分別各有推論（《天水〈放馬灘地圖〉的繪製年代》，《復旦學報》1991年1期）。雍際春以為在秦惠文王後元年間，約當於公元前323年至公元前310年（《天水放馬灘木板地圖研究》，甘肅人民出版社2002年6月版，第42頁）。《天水放馬灘墓葬發掘報告》說，“繪成時代早於墓葬年代，當應在公元前二三九年之前，屬戰國中期的作品”（甘肅省文物考古研究所編：《天水放馬灘秦簡》，中華書局2009年8月版，第131頁）。本文作者傾向於戰國中晚期的判斷。

⁴ 甘肅省文物考古研究所：《天水放馬灘墓葬發掘報告》，甘肅省文物考古研究所編：《天水放馬灘秦簡》，中華書局2009年8月版，第131頁。又有“迄今為止我國最古老的地圖”的說法。《天水放馬灘秦簡》，第1頁。

⁵ 朱士光：《〈天水放馬灘木板地圖研究〉序》，雍際春：《天水放馬灘木板地圖研究》，甘肅人民出版社2002年6月版，第7頁。

⁶ 雍際春：《天水放馬灘木板地圖研究》，第172頁至第180頁。

⁷ 雍際春：《天水放馬灘木板地圖研究》，第173頁。

而，可以毫不誇大地說，天水放馬灘地圖是中國也是世界上最早的實用地圖。”⁸

論者這樣的意見，也許還有商榷的必要。我們曾經看到中國“是最早繪製地圖的國家，在地圖學理論和製作技術上曾經走在世界各國的前列”這樣的論斷。⁹但是“最早”這一定論的提出，似乎還需要認真論證。地圖的發生，基本動機應主要是為“實用”服務。而論者其實自己也說到，“在埃及，也曾發現約繪於公元前 1150 年的採礦圖，地圖繪製在‘都靈紙草書’的殘片上（因其所藏地點而得名），這是世界上最古老的採礦圖。”¹⁰這樣的“採礦圖”，很可能是和放馬灘地圖性質類似的“實用地圖”，其繪制年代則要早得多。也許，提出“世界上最早的實用地圖”的結論，還應當慎重。

不過，雍書強調“實用”的特點，是有積極意義的。放馬灘地圖確實是中國古代迄今發現的最早的“實用”意義最為鮮明的古地圖的實物遺存。有學者稱之為“專題性地圖的萌芽”¹¹，可能也是適宜的。

應當注意到，其形式為“專題性地圖”的所謂“實用地圖”的這一發現，有必要與秦人重視實用之學的文化傳統聯繫起來理解。秦始皇登泰山時曾經就“封禪”事諮詢齊魯儒生博士，據說因儒生所議“難施用”，於是“由此絀儒生”。看來，可否“施用”，是秦始皇文化判斷和政策選擇的重要標尺。曾經以博士身份服務于秦始皇的孔子六世孫孔鮒宣言：“吾為無用之學”，“秦非吾友”¹²，也強調了文化態度的這種傾向性區別。秦學術文化具有明顯的重視實用的特點。其表現，在於技術之學有高上的地位。秦始皇、李斯焚書，“所不去者，醫藥卜筮種樹之書”¹³，就顯示了這一文化傾向。秦技術之學的成熟，體現出對理論的某種輕視。然而從另一角度看，似乎又在某種意義上可以理解為暗示著科學精神的萌芽。¹⁴這一文化傳統也影響到漢代。漢代子學也表現出實用主義傾向，表現為兵學、農學、醫學和天文曆算之學等技術之學的完好繼承與創新性進步。¹⁵對於這組地圖的性質，何雙全以為“按內容可分別稱為《政區圖》、《地形圖》和《經濟圖》”。¹⁶雍際春的意見相近，分別看作“政區圖”、“水系圖”、“物產圖”。或說《政區圖》、《水系圖》、《交通物產圖》。¹⁷這種拆分式或分解式的定

⁸ 雍際春：《天水放馬灘木板地圖研究》，第 180 頁，第 187 頁至第 188 頁。

⁹ 中國測繪科學研究院古地圖研究所：《〈中華古地圖珍品選集〉編者的話》，哈爾濱地圖出版社 1998 年 1 月版，第 1 頁。

¹⁰ 原注：〔英〕彼得·詹姆斯·尼克·索普著，顏可維譯：《世界古代發明》第 65 頁。雍際春：《天水放馬灘木板地圖研究》，第 181 頁。

¹¹ 盧嘉錫主編；唐錫仁、楊文衡分卷主編：《中國科學技術史：地學卷》，科學出版社 2000 年 1 月版，第 155 頁。

¹² 《資治通鑒》卷七《秦紀二》“始皇帝三十四年”。據北京大學歷史學系孫聞博提示，《孔叢子·獨治》陳餘謂子魚曰：“秦將滅先王之籍，而子為書籍之主，其危矣。”子魚曰：“顧有可懼者，必或求天下之書焚之。書不出則有禍，吾將先藏之以待其求，求至無患矣。”整理者於“子魚曰”下注：“‘曰’下，葉氏藏本、蔡宗堯本、漢承弼校跋本、章鈺校跋本並有‘吾不為有用之學，知吾者唯友。秦非吾友，吾何危哉？然’二十一字。”傅亞庶：《孔叢子校釋》，中華書局，2011 年 6 月版，第 410 頁，第 414 頁。據陳夢家研究，《孔叢子》最後成書大致在東晉時期。則很有可能成為司馬光《資治通鑒》的史源之一。

¹³ 《史記》卷六《秦始皇本紀》。

¹⁴ 參看王子今：《秦始皇嬴政的統一事業》，《秦漢史論——何清谷教授八十華誕慶祝文集》，三秦出版社 2009 年 10 月版。

¹⁵ 參看王子今：《漢代子學的實用主義傾向》，張豈之主編：《中國思想學說史·秦漢卷》，廣西師範大學出版社 2007 年 8 月版。

¹⁶ 何雙全：《天水放馬灘秦墓出土地圖初探》，《文物》1989 年 2 期。

¹⁷ 雍際春：《天水放馬灘木板地圖研究》，第 100 頁至第 104 頁。

義也許並不十分妥當。

《天水放馬灘墓葬發掘報告》定義這組木板地圖的性質，注意到“第一塊(M1.7、8、11) A 面是中心區域，其中以大方框標示的‘邽丘’，是戰國時期秦國邽縣的所在地，其他用小方框標示的地名當為縣以下里名，明確反映了其不同的行政級別”，於是稱“基本上可以說是戰國時秦國邽縣的部分政區地理圖”。¹⁸這樣的判斷，似乎並不符合放馬灘秦地圖中標記內容高度重視林產和交通，而並非行政管理諸信息的實際情形。通過以上的討論推定放馬灘秦地圖性質，應當重視反映林業生產規劃、開發、管理以及林區運輸組織這一主題。如果一定要為這組地圖定名，或許可以稱之為“林區圖”或“林區運輸線路圖”。¹⁹

2. 放馬灘秦地圖植被分佈信息

前引雍際春書指出圖中標示“植物分佈”。也有學者注意到這些地圖中，“對森林分佈的注記較詳細，有些地區標注出了樹木的種類，如薊木、灌木、楊木、榆木、大楠木等，……。”²⁰據《天水放馬灘秦簡》的《一號秦墓木板地圖釋文》，其中文字可能顯示樹種者，可以看到：

木板地圖一(M1.7、8、11A) 楊

木板地圖二(M1.7、8、11B) 格

木板地圖三(M1.9) 楊 松 松 松 松 松 桤 松

木板地圖四(M1.12A) 刺木 灌憂 柏 櫟 楊 楊 柏 楠

木板地圖六(M1.21A) 楊 楊 蘇木 蘇木

木板地圖七(M1.21B) 柴樅 柴 杻 杻

其中有些存有疑問，如“柴樅”、“柴”。又如“格”，《說文·木部》：“格，木長兒。”未能確定是否一定是樹種。有些尚不能判別是何種樹木，如“桤”、“刺木”、“灌憂”、“蘇木”、“杻”等。

如果僅僅以字頻統計，則最受重視，很可能也是木材產量居於前列的樹種是“松”(6次)和“楊”(6次)²¹。其次則是“柏”(2次)、“蘇木”(2次)、“杻”(2次)。這組木板地圖本身的材質是松木，也值得注意。

3. “大楠材”与“大梓”

有學者釋讀為“大楠木”者，發掘報告釋文作“大楠材”。²²更突出地顯示了取材的

¹⁸ 《天水放馬灘秦簡》，第 131 頁。

¹⁹ 王子今：《放馬灘秦地圖林業交通史料研究》，“早期絲綢之路暨早期秦文化”國際學術研討會論文，蘭州，2012 年 8 月。

²⁰ 盧嘉錫主編；唐錫仁、楊文衡分卷主編：《中國科學技術史：地學卷》，第 157 頁。

²¹ 不過，“楊”均出現與地名如木板地圖一“楊里”(M1.7、8、11A)、木板地圖三“楊谷”(M1.9)、木板地圖四“上楊谷”、“下楊谷”(M1.12A)、木板地圖六“下楊”、“上楊”(M1.21A)中，可以作為討論樹種分佈的資料，但是與直接標示樹種者還是有所不同。

²² 《一號秦墓木板地圖釋文》，《天水放馬灘秦簡》，第 109 頁。

實用意義。

特別寫作“大楠材”，應是取其樹種適宜材用。然而《戰國策·宋策》炫耀南方林業資源時說到“楠”和“梓”：“荆有長松文梓，梗栲豫樟。”司馬遷《史記》卷一二九《貨殖列傳》分析各地資源形勢時也寫道：“夫山西饒材、竹、穀、蠶、旄、玉石；山東多魚、鹽、漆、絲、聲色；江南出柎、梓、姜、桂、金、錫、連、丹沙、犀、瑇瑁、珠璣、齒革；龍門、碣石北多馬、牛、羊、旃裘、筋角；銅、鐵則千里往往山出棊置：此其大較也。皆中國人民所喜好，謠俗被服飲食奉生送死之具也。故待農而食之，虞而出之，工而成之，商而通之。”所謂“柎”即“楠”，是“江南”林產。後世人們的植物學經驗，也知道楠木生於南國。《本草綱目》卷三四《木部·楠》：“栲與楠字同。時珍曰：南方之木，故字從南。”

現代楠木出產區域只限于四川、雲南、貴州、湖北等地。²³然而戰國秦漢時代正值歷史上的暖期，許多歷史資料表明當時氣候較現今溫暖濕潤。而人為破壞因素尚有限，也使得植被條件較現今優越。²⁴

秦嶺地區“梓”的生長也見諸史籍。例如有關秦早期歷史的記載《史記》卷五《秦本紀》：“二十七年，伐南山大梓，豐大特。”秦文公時代的這一史事，具有濃重的神秘主義色彩。裴駟《集解》有這樣的解說：“徐廣曰：‘今武都故道有怒特祠，圖大牛，上生樹本，有牛從木中出，後見豐水之中。’”張守節《正義》引《括地志》云：

大梓樹在岐州陳倉縣南十里倉山上。《錄異傳》云：“秦文公時，雍南山有大梓樹，文公伐之，輒有大風雨，樹生合不斷。時有一人病，夜往山中，聞有鬼語樹神曰：‘秦若使人被發，以朱絲繞樹伐汝，汝得不困耶？’樹神無言。明日，病人語聞，公如其言伐樹，斷，中有一青牛出，走入豐水中。其後牛出豐水中，使騎擊之，不勝。有騎墮地復上，發解，牛畏之，入不出，故置髦頭。漢、魏、晉因之。武都郡立怒特祠，是大梓牛神也。”

漢賦也有鄰近長安地區有“楠”“梓”生長的記載。如《文選》卷二張衡《西京賦》描述上林苑“林麓之饒”：“木則樅栝榲桲，梓槲梗楓。”²⁵現在通過放馬灘秦墓出土地圖文字的印證，可知這樣的記錄有可能是真實的。

“櫟”，有可能即“梓”。《集韻·尤韻》：“楸，木名。《說文》：‘梓也。’或作櫟。”

4. 林區虎豹

還有一則討論生態史時應當關注的參考信息具有特殊價值，即 M14 出土木板畫（M14·9B）。²⁶

據發掘報告描述，“正面用墨線繪一虎拴在樹樁之上，虎前肢伸，後肢曲，回首

²³ 《辭海·生物分冊》，上海辭書出版社 1975 年 12 月版，第 235 頁。

²⁴ 竺可楨：《中國近五千年來氣候變遷的初步研究》，《考古學報》1972 年 1 期，收入《竺可楨文集》，科學出版社 1979 年 3 月版；王子今：《秦漢時期氣候變遷的歷史學考察》，《歷史研究》1995 年 2 期。

²⁵ 薛綜注：“樅，松葉柏身也。栝，柏葉松身。梓，如栗而小。槲，白蕤也。楓，香木也。”李善注：“郭璞《山海經注》曰：‘榲，一名並閭。’《爾雅》曰：‘梅，栲。’郭璞曰：‘栲木似水楊。’又曰：‘槲，白榲。’”“郭璞《上林賦注》曰：‘梗，杞也，似梓。’”今按：榲，應即棕。參看王子今：《方春蕃萌：秦漢文化的綠色背景》，《博覽群書》2008 年 5 期。

²⁶ 《天水放馬灘秦簡》，第 148 頁。

翹尾，作咆哮掙脫狀。”²⁷從畫面看，拴虎的並非“樹椿”，而是一棵樹。

畫面中心的動物，從頭形和皮毛花紋看，似乎也並非“一虎”，而更可能是一隻豹。當然，真切描繪虎的形象難度甚大，馬援因有“畫虎不成”的著名感歎。²⁸不排除M14出土木板畫的作者原意是以虎作為畫面主題的可能。姜守誠教授論證所畫是虎，並以歷史人類學方法有所討論。其說可以參考。²⁹

如果是虎，則對這一地區當時野生動物分佈的考慮，似乎還應當更為慎重。

與放馬灘同樣處於“秦嶺深山之中”³⁰的其他地方，在戰國秦漢時期是曾經有“虎”生存的。《華陽國志·巴志》記載：“秦昭襄王時，白虎為害，自秦、蜀、巴、漢患之。”虎患危害地方應包括“秦、蜀”之間的秦嶺山地。《隸釋》卷四《司隸校尉楊孟文石門頌》中所謂“惡蟲蔽狩，蛇蛭毒螫”，也是說明虎患曾威脅川陝古道交通安全的資料。

《漢書》卷二八上《地理志上》“京兆尹”條記載：“藍田，有虎候山祠，秦孝公置也。”《續漢書·郡國志一》劉昭注補引《地道記》：藍田“有虎候山”。王先謙《漢書補注》：“《長安志》亦載之。吳卓信云：‘《藍田縣志》：縣西十五里有虎圻山。疑是。’”由“虎候山”、“虎圻山”之定名，推想自藍田東南向經武關直抵南陽的古武關道，在經過秦嶺的路段曾經有虎患的危害。漢光武帝建武年間，劉昆任弘農太守。《後漢書》卷七九上《儒林列傳·劉昆》記載：“先是崑、睢驛道多虎災，行旅不通。（劉）昆為政三年，仁化大行，虎皆負子度河。”王充《論衡·初稟》中寫道：“光祿大夫劉琨，前為弘農太守，虎渡河。”弘農的“虎災”，也應在關注秦嶺多虎情形時參考。³¹

《漢書》卷八七下《揚雄傳下》：“上將大誇胡人以多禽獸，秋，命右扶風發民入南山，西自褒斜，東至弘農，南毆漢中，張羅罔置罟，捕熊羆豪豬虎豹豺獾狐菟麋鹿，載以檻車，輸長楊射熊館。”說秦嶺山區野生動物包括“虎豹”。

《山海經·西山經》：“南山上多丹粟，丹水出焉，北流注于渭。獸多猛豹。”則強調秦嶺多“豹”。《說郛》卷六一上《辛氏三秦記》：“豹林谷，在子午谷。”用“豹”字為地名，也說明秦嶺多有這種猛獸活動。

5. 放馬灘秦地圖林木資源利用信息

何雙全最初介紹這組地圖時，指出對研究邽縣的“自然資源”“有重大價值”。³²這一意見值得重視。有學者注意到放馬灘秦墓出土地圖中，除了標注植被分佈情形而外，“有些地區注出了森林的砍伐情況，……。”³³應是指第二塊M1.9地圖文字“七里松材刊”反映的情形。

²⁷ 《天水放馬灘秦簡》，第119頁。

²⁸ 《後漢書》卷二四《馬援傳》載馬援致兄子嚴、敦書：“龍伯高敦厚周慎，口無擇言，謙約節儉，廉公有威，吾愛之重之，願汝曹效之。杜季良豪俠好義，憂人之憂，樂人之樂，清濁無所失，父喪致客，數郡畢至，吾愛之重之，不願汝曹效也。效伯高不得，猶為謹勅之士，所謂刻鵠不成尚類鶩者也。效季良不得，陷為天下輕薄子，所謂畫虎不成反類狗者也。”

²⁹ 姜守誠：《天水放馬灘秦墓（M14）出土的繫虎及博局板畫考述》，《新史學》第24卷2期（2013年6月）。

³⁰ 《天水放馬灘秦墓發掘報告》第一章“地理位置與自然環境”，《天水放馬灘秦簡》，第113頁。

³¹ 參看王子今：《秦漢虎患考》，《華學》第1輯（中山大學出版社1995年8月）；《漢代驛道虎災——兼質疑幾種舊題“田獵”圖像的命名》，《中國歷史文物》2004年6期。

³² 何雙全：《天水放馬灘秦墓出土地圖初探》，《文物》1989年2期。

³³ 盧嘉錫主編；唐錫仁、楊文衡分卷主編：《中國科學技術史：地學卷》，第157頁。

秦人有經營林業的歷史，作為秦早期經濟發展基地的西垂之地，長期是林產豐盛的地區。³⁴原生林繁密的生態條件，成為特殊的物產優勢的基礎。《漢書》卷二八下《地理志下》說秦先祖柏益事蹟，有“養育草木鳥獸”語³⁵，經營對象包括“草木”。所謂“養育草木”，說明林業在秦早期經濟形式中也曾經具有相當重要的地位。“大梓牛神”傳說所謂“伐樹，斷，中有一青牛出”的情節，似乎暗示已經進入農耕經濟階段的秦人，在其文化的深層結構中，對於以往所熟悉的林業、牧業和田獵生活，依然保留著悠遠的追念。³⁶古時行政地圖和軍用地圖均重視生態環境條件的記錄和顯示。如《周禮·夏官司馬·司險》：“司險掌九州之圖，以周知其山林川澤之阻，而達其道路。”鄭玄注：“‘周’，猶徧也。‘達’‘道路’者，山林之阻則開鑿之，川澤之阻則橋樑之。”《管子·地圖》也說：“凡兵主者，必先審知地圖。輶輶之險、濫車之水、名山通谷、經川陵陸，丘阜之所在，苴草林木蒲葦之所茂，道里之遠近，城郭之大小，名邑、廢邑、困殖之地，必盡知之。地形之出入相錯者，盡藏之。然後可以行軍襲邑，舉錯知先後，不失地利。此地圖之常也。”關於古地圖學的經典論說，都強調了“山林”信息、“苴草林木蒲葦之所茂”等信息的載錄，但是放馬灘秦地圖與一般的地圖不同，其中突出顯示“材”及其“大”“中”“小”以及是否“刊”等，因此可以理解為珍貴的林業史料。

放馬灘秦地圖說到“材”的文字，有：

木板地圖三（M1.9） 楊谷材八里 多材木 大松材 松材十三里 松材刊

木板地圖四（M1.12A） 去谷口可五里櫟材 谷口可八里大楠材

“楊”、“松”、“楠”，是人們熟悉的材木。“櫟”，應當也是一種樹木。有說是楸木或梓木者。《說文·木部》：“櫟，長木兒。”《集韻·屋韻》：“櫟，木名。”《集韻·尤韻》：“楸，木名。《說文》：‘梓也。’或作櫟。”明楊慎《奇字韻》卷二：“櫟，古楸字。”

說到可能和“材”之體量有關的“大”“中”“小”的文字，有：

木板地圖三（M1.9） 大松材 大桤 大松

木板地圖四（M1.12A） 谷口可八里大楠材

木板地圖七（M1.21B） 大柴樅 大柴相鋪 中杙 小杙

關於“中杙”和“小杙”，“杙”可能是樹種。《廣韻·侵韻》：“杙，木名。其心黃。”“杙”字何雙全釋作“杙”。³⁷細察圖版，也可能應讀作“柞”。柞木現今分佈於中國西部、中部和東南部，為常綠灌木或小喬木。生長較慢，木材堅硬。又各地均有生長的通稱“青剛”的麻櫟也稱柞木。木質堅重，材用範圍很廣。這種落葉喬木高可達 25 米。³⁸此類

³⁴ 《漢書》卷二八下《地理志下》：“天水、隴西，山多林木，民以板為室屋。”“故《秦詩》曰‘在其板屋’。”

³⁵ 《書·舜典》：“帝曰：疇若予上下草木鳥獸。僉曰：益哉。”《史記》卷一《五帝本紀》：“舜曰：‘誰能馴予上下草木鳥獸？’皆曰益可。於是以益為朕虞。”裴駰《集解》：“馬融曰：‘上謂原，下謂隰。’”《史記》卷五《秦本紀》則只說“調馴鳥獸”。

³⁶ 參看王子今：《秦漢民間信仰體系中的“樹神”和“木妖”》，《周秦漢唐文化研究》第3輯，三秦出版社2004年11月版。

³⁷ 何雙全：《天水放馬灘秦墓出土地圖初探》，《文物》1989年2期。

³⁸ 《辭海·生物分冊》，第282頁，第215頁至第216頁。

同名異質的樹種，可能會形成“大”“中”“小”區別的情形。《說文·木部》：“柞，柞木也。”段玉裁注：“《詩》有單言‘柞’者，如‘維柞之枝’、‘析其柞薪’是也。有‘柞械’連言者，如《皇矣》、《旱麓》、《緜》是也。陸機引《三蒼》：‘械即柞也。’與許不合。假令許謂‘械’即‘柞’、則二篆當聯屬之。且《詩》不當或單言‘械’，或單言‘柞’，或‘柞械’並言也。鄭《詩箋》云：‘柞、櫟也。’孫炎《爾雅注》：‘櫟實、橡也。’《齊民要術》援《爾雅注》合‘柞’‘栩’‘櫟’爲一。亦皆非許意。”雖名義區分尚不明朗，但是可以說明“柞木”是習見材用。

其他“桤”、“柴”³⁹、“樅”等，也不排除是樹種的可能。

“桤”有可能可以讀作“櫟”。《說文·木部》：“櫟，河柳也。從木，聖聲。”段玉裁注：“《釋木》、《毛傳》同。陸機云：‘生水旁，皮正赤如絳，一名兩師。’羅願云：‘葉細如絲。天將雨，櫟先起氣迎之。故曰兩師。’按‘櫟’之言賴也。赤莖故曰‘櫟’。《廣韻》釋‘楊’爲‘赤莖柳’。非也。”木板地圖三標示“大桤”處，也正在“水旁”。

《說文·木部》：“柴，小木散材。從木，此聲。”“《月令》：‘乃命四監，收秩薪柴，以供郊廟及百祀之薪燎。’注云：‘大者可析謂之薪，小者合束謂之柴。薪施炊爨。柴以給燎。’按‘寮’，柴祭天也。燔柴曰‘柴’。《毛詩·車攻》假‘柴’爲‘積’字。”但是放馬灘地圖“大柴”的“柴”應不是“小木散材”。“柴”有可能是“杙”。《重修玉篇》卷一二：“杙，疾貲切，無杙木。”“無杙”，可能即“無疵”。《爾雅·釋木》：“楡無疵。”郭璞注：“楡，梗屬，似豫章。”然而細辨字形，釋文作“柴”字者，似不從木，應是“𣎵”。其字義還有討論的必要。

“樅”或即“樅”。《說文·木部》：“樅，松葉柏身。從木，從聲。”段玉裁注：“見《釋木》。郭引《尸子》曰：‘松柏之鼠，不知堂密之有美樅。’按‘堂密’，謂山如堂者。”

6. 放馬灘秦地圖水資源利用信息

圖中關隘用特殊形象符號表示，發掘者和研究者多稱“閉”，共見8處。即木板地圖二（M1.7、8、11B）2處，木板地圖三（M1.9）5處，木板地圖四（M1.12A）1處。由此也可以瞭解秦交通管理制度的嚴格。⁴⁰承甘肅省文物考古研究所張俊民研究員提示，肩水金關漢簡有簡文“張掖肩水塞閉門關嗇夫冀土臣”（73EJT1:18），其中“閉”、“關”二字的寫法，雖有稍許差異，但仍可以看作是一個字。”又如“□肩水都尉步安調監領關□”（73EJT3:110A），其中“關”字形“像‘閉’字”，“按照文義可以做‘關’字釋讀。”⁴¹這一意見可以贊同。

木板地圖四（M1.12A）有一橫貫直線，與曲折的河流不同，應是交通道路的示意。在這條線上，表現“關”的圖形，如《天水放馬灘墓葬發掘報告》所說，以“束腰形”圖示表示⁴²，正顯示扼守在交通道路上的控制性設置。

³⁹ “柴”，何雙全釋作“祭”。《天水放馬灘秦墓出土地圖初探》，《文物》1989年2期。

⁴⁰ 何雙全：《天水放馬灘秦墓出土地圖初探》，《文物》1989年2期；曹婉如：《有關天水放馬灘秦墓出土地圖的幾個問題》，《文物》1989年12期；王子今：《秦人經營的隴山通路》，《文博》1990年5期。

⁴¹ 張俊民：《肩水金關漢簡〔壹〕釋文補例》，《考古與文物》待刊；孔德眾、張俊民：《漢簡釋讀過程中存在的幾類問題字》，《敦煌研究》2013年6期。

⁴² 《天水放馬灘秦簡》，第120頁。

而另一種情形，木板地圖二（M1.7、8、11B）2處與木板地圖三（M1.9）5處的“關”⁴³，則如雍際春所說，“以兩個半月形點對稱繪於河流兩岸”⁴⁴，均顯示對河流航道的控制，應理解為水運木材的交通方式的體現。承陝西省考古研究院《考古與文物》編輯部張鵬程先生見告，榆林以北河道兩側發現的漢代建築遺存，與放馬灘秦地圖表現的這種設置十分相近。秦人較早開發水運的情形值得注意。《戰國策·趙策一》記載，趙豹警告趙王應避免與秦國對抗：“秦以牛田，水通糧，其死士皆列之於上地，令嚴政行，不可與戰。王自圖之！”繆文遠說，明人董說《七國考》卷二《秦食貨》“牛田”條“水通糧”原作“通水糧”，誤。⁴⁵所謂“水通糧”，是形成“不可與戰”之優越國力的重要因素。《說文·水部》：“漕，水轉穀也。”這種對於中國古代社會經濟交流和政治控制意義重大的運輸方式的啟用，秦人曾經有重要的貢獻。《石鼓文·靈雨》說到“舫舟”的使用，可見秦人很早就沿境內河流從事水上運輸。《左傳·僖公十三年》記述秦輸粟於于晉“自雍及絳相繼”的所謂“泛舟之役”，杜預《集解》：“從渭水運入河、汾。”這是史籍所載規模空前的運輸活動。中國歷史上第一次大規模河運的記錄，可能是由秦人創造的。《戰國策·楚策一》記載張儀說楚王時，炫耀秦國的水上航運能力：“秦西有巴蜀，方船積粟，起於汶山，循江而下，至郢三千餘里。舫船載卒，一舫載五十人，與三月之糧，下水而浮，一日行三百餘里；里數雖多，不費汗馬之勞，不至十日而距扞關。”如果這一記錄可以看作說士的語言恐嚇，則靈渠的遺存，又提供了秦人在統一戰爭期間開發水利工程以水力用於軍運的確定的實例。據《華陽國志·蜀志》，李冰曾經開通多處水上航路，於所謂“觸山脅湍崖，水脈漂疾，破害舟船”之處，“發卒鑿平湍崖，通正水道。”“乃壅江作壩，穿郫江、檢江，別支流雙過郡下，以行舟船。岷山多梓、柏、大竹，頽隨水流，坐致材木，功省用饒。”⁴⁶岷山林業資源的開發，因李冰的經營，可以通過水運“坐致材木”。這可能是最早的比較明確的水運材木的記錄。而放馬灘秦地圖透露的相關信息，更可以通過文物資料充實這一知識。

今天天水地方的河流水量，已經不具備開發水運的條件。放馬灘秦墓地圖提供的信息，對於我們認識當時的水資源狀況因此具有重要的意義。

⁴³ 《天水放馬灘墓葬發掘報告》以為“加圓點”表示者也是“關口”。《天水放馬灘秦簡》，第150頁。

⁴⁴ 雍際春：《天水放馬灘木板地圖研究》，第96頁。

⁴⁵ 〔明〕董說原著、繆文遠訂補：《七國考訂補》，上海古籍出版社1987年4月版，上冊第183頁。

⁴⁶ 參看王子今：《秦統一原因的技術層面考察》，《社會科學戰線》2009年9期。

第一語言漢字教學現況及其對華語文教學的啟示

張金蘭*

摘要

近年來興起一股中文熱，學習華語的外籍人士有逐漸增加的趨勢。由於學習目標、語言背景及個人特質等差異，對於漢字掌握程度的不同會直接影響到華語的學習，因此可將漢字教學視為華語文教學的一大關鍵。

在全世界的語言教學中，所教語言與漢字有關係者都有漢字教學的任務，如中國、台灣、日本、韓國以及海外各種形式的華語教學等都在進行著不同類型的漢字教學。包括第一語言漢字教學，如中文、日語、韓語等母語教育中的漢字教學；以及對外漢字教學，如對外華語、對外日語以及對外韓語中的漢字教學等。在此前提之下，本文先就前者，亦即第一語言漢字教學做一探討與比較，期望夠對於第一語言及華語文教學均有所啟發。

關鍵詞：華語教學、漢字教學、漢字圈/非漢字圈、識字教育

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Chinese Character Teaching for L1 Learners and Its Bearing on Teaching Chinese to L2 Learners

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Abstract

Chinese learning is on the increase in recent years with more foreigners learning the language. It is affected directly by the level of Chinese character comprehension due to the difference of a learner's objectives, language background and individual's personality, therefore, Chinese character teaching plays a key role in teaching Chinese as a second language. Chinese character-based language pedagogy of the world is assigned the task of Chinese character teaching. For instance, teaching Chinese as a first and second language is undergoing various forms of character teaching in China, Taiwan, Japan, Korea and abroad. The pedagogies include Chinese character teaching for L1 learners of native Chinese, Japanese and Koreans and Chinese character teaching for L2 learners of Chinese, Japanese and Korean. Given the premise, this paper intends to investigate and compare Chinese character teaching as a first language in the hope of shedding light on teaching Chinese as a first and second language.

Keywords: teaching Chinese as a second language, Chinese character teaching, the Sinophone world/ non-Sinophone world, literacy education

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一、前言

近年來興起一股中文熱，學習華語的外籍人士有逐漸增加的趨勢。由於學習目標、語言背景及個人特質等差異，對於漢字掌握程度的不同會直接影響到華語的學習，因此可將漢字教學視為華語文教學的一大關鍵。

何謂漢字教學？筆者認為在全世界的語言教學中，所教語言與漢字有關係者都有漢字教學的任務，如中國、台灣、日本、韓國以及海外各種形式的華語教學等都在進行著不同類型的漢字教學。馬燕華(2005)將漢字教學區分為兩類，其一為第一語言中的漢字教學，包括中文、日語、韓語等母語教育中的漢字教學；其二為第二語言中的漢字教學，包括對外華語、對外日語以及對外韓語中的漢字教學等。

在此前提之下，本文先就前者，亦即第一語言中的漢字教學做一探討與比較，期望夠對於第一語言漢字教學及華語文教學有所啟發。

前人關於第一語言漢字教學研究可分為兩大類：一為中文母語地區之漢字教學、二為漢字圈國家之漢字教學。以下分述之。

首先，中文母語地區之漢字教學相關研究有：

關於母語兒童漢字認知過程的研究，如趙元任(1980)、呂叔湘(1987)、曹思敏(2009)等學者均指出母語兒童在學習漢字前便已掌握聽說，而聽說能力是母語兒童學習漢字（包括形、音、義）的基礎，因此成人可為兒童創造有意義的學習環境，根據兒童的年齡教導漢字。

此外，還有針對母語兒童漢字能力發展的研究，有舒華、宋華(1993)針對小學兒童形旁意識發展進行了相關研究。秦麗花(2002)整理出從漢字字形、字音與字義所做的相關研究，認為兒童的漢字學習與策略隨著年齡增長而逐漸形成。李娟等人(2000)及畢鴻燕、翁旭初(2007)對小學兒童漢字閱讀特點的研究中均認為正字法意識會隨著年齡而增長。宣崇慧(2007)研究國小二年級學童在形聲字的學習上，聲旁提示及整字提示均可在產生正面的效果。然而該研究多集中於規則字的學習上。

在母語兒童識字量、寫字量及教學方式方面則有何三本(1994)詳盡比較兩岸國小兒童漢字教學的差異，認為中國對識字量與寫字量均有明確數量規定，台灣則無。文中並指出中國漢字教學方式首重筆順及部首，忽略漢字整體的架構及造字法；台灣則重視筆畫及筆順，亦缺乏漢字結構的整體認識，因此錯字較多。並提出應從文字學走向實用的漢字應用心理學。但該文年代乃針對舊教材從事分析，與現今的課程大綱有所不同，台灣當前九年一貫課程綱要已明定識字量與寫字量。較新的資料則有范家瑀(2011)分析台灣地區國小學童漢字教材中的識字量與寫字量的要求、練習與教材呈現方式，並對教材編輯者與教學者提出具體的建議。以上均顯示出兩岸對於母語學童的具體要求為識字量大於寫字量。

在漢字教學法方面，中國學者戴汝潛等人(2011)在《漢字教與學》中將中國大陸學童的識字教學做了詳盡的探討，分為漢字特徵、心理特徵及技術特徵三大類，共23種教學法。台灣學者胡永崇(2002)也分析了台灣的漢字教學法，共分為14類。

其次，漢字圈國家之漢字教學相關研究有：

在漢字教育現況分析方面有：張金蘭(2013)探討日本、韓國漢字教育問題，結果發現日本從小學一年級起全面進行漢字教育，韓國則從中學一年級開始。此外，日本文部省訂定《常用漢字表》共1945個用來表達法令、公文、報紙、雜誌、廣播及一般日常生活用語中的標準常用漢字，並對於小學學童學習漢字數有明確的規定。在《常用漢字表》1945個常用漢字外追加196字為小學、中學學童應學習的漢字字數。

此外，全香蘭(2000)從歷史演進起探討韓國漢字教育現況，討論韓國國內對於漢字教育分成漢字教育與韓文專用兩種爭論，並指出漢字教育為順應國際潮流的趨勢。在初中、高中學校漢文科目為必修科目，現在大部分中學教材中的漢字是教育部選定的 1800 個。

從相關資料可以發現，目前日本漢字教學經常採取的策略有：向山型漢字教學法，從漢字文化著手來從事漢字教學；卯月型漢字教學法，使學習者以遊戲方式學習漢字；以及宮下型漢字教學法，將漢字分為幾個不同的部首及偏旁來學習漢字等等(李軍，2008)，韓國則採取部首法及筆畫法(全香蘭，2000)。但對於日本及韓國漢字教學現況尚須加以深入分析與討論。

綜上所述，在前人的研究中，有探討中文母語地區之漢字教學者，也有分別探討日本、韓國漢字教學或日韓漢字教學比較者。前者研究多集中於母語學童的研究，並強調識字量應大於寫字量；後者則有明確之漢字教學數量規定，亦有主流之教學策略。但相關文獻少見第一語言學習者漢字教學異同之比較。

對此，筆者將深入研究中文母語地區（中國、台灣）以及漢字圈國家（日本、韓國）之漢字教學現況，包括漢字學習要求、漢字教學法及學習效果等。系統地探求第一語言學習者漢字教學的異同，並進行思考和分析，最後提出相關建議，期望能作為華語文教學中漢字教學之參考與對照。

二、中文母語地區的漢字教學現況

在語言學習中，文字是閱讀理解的基礎，閱讀能力則為自學能力的基礎(Hall, Hughes, & Filber, 2000；Lerner, 2003)。Lerner(2003)指出具有適當識字能力，未必具備閱讀理解能力，但缺乏適當識字能力者，卻必將無法完成閱讀理解任務。

何以聰等(1995)、許嘉璐(1999)均認為母語兒童要學習一定數量的漢字，一旦先學會識字就能閱讀、寫作，進一步獲得知識。因此中文母語地區的識字教學乃是小學學童各個學科的學習媒介與基礎。

要探討中文母語地區之漢字教學現況，則須深入考察兩岸對於漢字學習要求及漢字教學法。「課程標準」是兩岸主導中、小學教材與教法的重要依據，具有指標性作用，且能看出漢字教學的大方向。因此，本文先從兩岸最新的「課程標準」著手：包括中國大陸2011年《義務教育語文課程標準》、台灣2011年《九年一貫語文領域課程綱要》。並考察其教學指引：包括中國大陸載於2011年《義務教育語文課程標準》中之教學指引，台灣2011年《國民小學語文學習領域（國語文）補救教學基本學習內容（試行版）》等。

（一）中國大陸漢字教學現況

1. 漢字教學要求

中國大陸中國國家語言文字工作委員會和國家教育委員會 1988 年聯合發布了《現代漢語常用字表》，根據統計原則、分布原則、構詞構字原則和常識原則，收錄常用字 2500 字、次常用字 1000 字，以作為一般人識寫漢字的標準。而中小學學童的漢字學習標準則要根據 2011 年最新頒行之《義務教育語文課程標準》（下文簡稱為《2011 新課標》）對「識字寫字」、「閱讀」、「寫作」和「口語交際」四種能力提出要求。其中在識字和寫字方面，識字總目標為「學會漢語拼音。能說普通話。認識 3500 個常用漢字」、「九年課外閱讀總量應在 400 萬字以上」，描述相當具體。但

寫字總目標為「能正確工整地書寫漢字，並有一定的速度」，所謂「一定的速度」反而無具體描述。

《2011 新課標》將課程設計區分為四個學段：即 1-2 年級、3-4 年級、5-6 年級、7-9 年級，並分別提出階段目標。其中對於小學生的識字量與寫字量亦有明確規定，筆者將之整理成下表：

表 1：中國大陸 2011 年《義務教育語文課程標準》識字量及寫字量規定表

年級	識字量	寫字量
1-2	1600 字	800 字
3-4	累計 2500 字 (每學年 450 字)	累計 1600 字 (每學年 400 字)
5-6	累計 3000 字 (每學年 250 字)	累計 2500 字 (每學年 450 字)
7-9	累計 3500 字 (每學年 167 字)	未明訂

資料來源：筆者整理自《2011 新課標》，頁 7。

根據上表的統計，1-2 年級的識字任務最大，每學年約為 800 字；5-6 年級寫字任務最大，每學年約為 450 字。

除此之外，也談到「識字、寫字是閱讀和寫作的基礎，是第一學段的教學重點，也是貫串整個義務教育階段的重要教學內容」，明確指出識字、寫字的重要性。其次談到「低年級階段學生『會認』與『會寫』的字量要求有所不同。在教學過程中要『多認少寫』，要求學生會認的字不一定同時要求會寫」，直接點出「多識少寫」的教學目標。

但根據《2011 新課標》發現，1-2 年級須掌握小學總識字量將近 50%，但需「認識常用漢字 1600 個左右，其中 800 個左右會寫」。這樣的要求，明確地體現出了四會一讀、講、寫、用，並不是同步發展，而是重在提高識字量，使學生在 1-2 年級結束之後時能夠有獨立閱讀的能力，改變了多年來每學一字必須達到「四會」的教學觀念和做法。

針對這一現實狀況，在《2011 新課標》「附錄」中新增了兩個字表：《識字、寫字教學基本字表》（附錄 4）收錄 300 字以及《義務教育語文課程常用字表》（附錄 5）：字表一收錄 2500 字，字表二收錄 1000 字。這也是在中國大陸義務教育相關規定中首次提供的字表。將為教材及教學中字種的選擇提供明確的依據。

《識字、寫字教學基本字表》集中了 300 個「構形簡單，重現率高，其中的大多數能成為其他字的結構成分」的字，是低年級識字教學的重點，這 300 個高頻字包含漢字的各種筆畫類型和基本間架結構類型，因此先學習這些字有助於奠定識字、寫字的基礎。

《2011 新課標》除了識字量與寫字量的規定體現出「多識少寫」的大目標之外，尚其他的目標。筆者將之整理如下：

(1) 漢字學習興趣的培養：

除了識字量、寫字量的具體目標之外，養成對漢字學習的興趣也是《2011 新課綱》的重點：「喜歡學習漢字，有主動識字、寫字的願望」和「初步感受漢字的形體美」（第一學段），「對學習漢字有濃厚的興趣，養成主動識字的習慣」（第二學段）。這樣的目標與原來僅僅注重識字與寫字的知識和技能的目標是不同的，筆

者認為該課綱的主要目的是希望在注重漢字學習數量的同時，也能培養學習者主動學習的興趣，關注學習者在學習過程中的體會和認知，以及學習方法的嘗試和探索。因此，不能把字數的多少當成漢字教學的最終目的，也不能將其當成衡量一種教學方法是否有價值的唯一標準。但是在《2011 新課綱》中對於漢字學習興趣的培養並未看見具體的描述，實為可惜。

(2)漢字能力的訓練：

識字教學不是教學習者識字就算完成任務，學習者否培養獨立識字的能力才是關鍵。《2011新課標》對此有明確而連貫的要求：第一學段「學習獨立識字」，第二學段「有初步的獨立識字能力」、第三學段「有較強的獨立識字能力」、第四學段「能熟練地使用字典、詞典獨立識字」。短期的識字量是顯性的，但長期的識字方法的掌握與識字興趣的培養則是隱性的，且難以評估。但後者卻往往影響著識字能力。

洪儷瑜、陳美芳(1996)則認為識字發展可分為三個不同的階段，並說明學童識字的能力是循序漸進的，對漢字的要求也應有漸進的過程。因此中國大陸對於到學童獨立識字能力的培養與此研究不謀而合。

(3)漢字審美觀念的養成：

對於硬筆字與毛筆字的書寫，都強調漢字審美觀念的養成。1-2年級能「初步感受漢字的形體美」，3年級起寫字時做到「規範」、「端正」、「整潔」，並培養毛筆的書寫能力。5-6年級除了審美之外，還要做到「有一定的速度」，7-9年級「提高書寫的速度」。但相較於識字量與寫字量的具體規範，上述幾點較為抽象。

2.漢字教學法

1949 年以來，中國大陸在總結傳統語文教學經驗的基礎之上，創造了 20 多種不同的識字教學方法。戴汝潛等人(2011)在《漢字教與學》中將中國大陸學童的識字教學做了詳盡的探討，本文不再此贅述。其中在中國大陸正規語文教育中影響較大的漢字教學法有二：一是「分散識字教學法」，二是「集中識字教學法」。筆者將之分述如下：

(1)分散識字法：

特色為「字不離詞，詞不離句，句不離篇」，將漢字教學寓於文章語境中，符合兒童由具體到抽象的認知特性。當前的小學國語教學多採取此法，所學詞彙分散至各課課文中，每課約有十多個生字，教學時先概覽課文，再由句子提取新詞，進而由新詞中提取新字，講解生字的筆畫、部首與字義，最後再講解課文。亦即由課文摘出句子，再由句子摘出生詞與生字，最後從事識字與寫字教學。優點乃使學生在學習漢字的過程中不脫離相關的語言環境，使學生熟悉漢字的使用。

缺點則為漢字的出現順序是隨意的，並不按照漢字的難易程度來編排，其中包括筆畫多寡、結構難易、使用頻率及形音義相關性等等。且字與字之間缺乏關聯性與系統性，學習者難以了解漢字的規律，不容易按部就班歸納出漢字的規律，使漢字習得事倍功半，就漢字習得的角度來說速度與數量都顯不足。分散識字法包括一般分散識字法、注音識字法、漢標識字法、猜認識字法、聽讀識字法等。

(2)集中識字法：

自從中國大陸 1958 年在黑山北關實驗學校發展以來，此種運用中國文字特性來

教學的方法，強調以形近字、同音字及基本字帶字等方法從事漢字教學。此法「便於歸類、對比和突出漢字結構的共同規則，有利於兒童有計畫的編碼、組合、儲存和檢索」。

缺點在於先識字後讀書的教材內容過多，造成識字周期過長，因而識字鞏固率受到影響，與閱讀結合也受到影響。包括一般集中識字、韻語識字、字族文識字、字根識字、字理識字、部件識字等等。

除了標音系統外，集中識字法運用的是一般漢字知識：包括字形、字音、字義。也有將兩者融合的，如字族文教學法、生活教育科學分類識字法，便是將同一類型的生字編入課文。

總上所述，分散識字教學法屬於由上而下的方式，注重具體的語言環境，將漢字置於文章中學習，強調漢字在文章中的作用。而集中識字教學法則屬於由下而上的方式，先識字再閱讀。

3.漢字教學效果

中國大陸對於學童的漢字學習效果調查研究並不多，且因人口數量多，不易進行全國性的調查，因此筆者並未查出中國教育部全國性漢字學習效果普查相關的研究報告。

目前可見的具體研究有：吳忠豪(2003)對於上海、浙江及江蘇三地區 2000 多名小學低年級學童進行識字能力調查，結果發現兩年平均識字量達 2174 字，四個學期識字量差距呈現「大—小—大」。第一學年由於開始接觸漢字，對於漢字的形音義尚不熟悉，且有其他的學習任務，如學習拼音、認識漢字的筆畫、筆順、部首、部件及寫字等等，因此學習效果有限。但在學童學習 600-800 字就進入快速增加期。孫照保(2008)對安徽廬江縣 334 名小學學童進行調查，發現低年級平均識字量低於《2011 新課綱》標準，而高年級識字量則高於標準。

以上調查顯示識字量與語文成績呈現正相關，亦可證明前文所論述之「識字為閱讀的基礎」。並提供漢字要求與教學相當具體的建議，即第一學年的識字量與寫字量不宜過大。但漢字學習效果在中國為地區性的研究，僅就某地區進行調查，未見全面性的普查。

(二)台灣漢字教學現況

1.漢字教學要求

根據中華民國教育部 2011 年《九年一貫課程綱要》(下文簡稱為《2011 九年一貫課綱》)，將九年分為四個階段：第一階段為小學 1-2 年級，第二階段為小學 3-4 年級，第三階段為小學 5-6 年級，第四階段為中學 1-3 年級。在課程標準中，國語科包括說話、讀書、作文及寫字四個項目。要將識字能力與寫字能力合為「識字與寫字能力」，並羅列了各階段識字量的目標。

另訂《國民小學語文學習領域(國語文)補救教學基本學習內容(試行版)》(下文簡稱為《2011 基本學習內容》)，基本學習內容在於規範各年級必須的基本內容，其重要訴求在於「讓學生具備社會生活的能力，而最關鍵處就在識字量(認字量)的多寡」，其中將漢字學習分為「認念」、「書寫」、「聽寫」、「應用」等四類，並根據九年一貫課程大綱之原則，提出具體字數的規範。筆者現將相關規定整理如下表：

表 2：台灣《國民中小學九年一貫課程綱要》各階段識字量及寫字量規定表

年級	認念		書寫		聽寫		應用 (造詞/造句)		2011 年 課程綱要 識字量
	字 ¹	詞 ²	字 ³	詞	字	詞	字	詞	
1	400	600	300	400	300	400	300	400	700-800
2	800	1200	600	800	600	800	600	800	
3	1200	1800	900	1200	900	1200	900	1200	1500-1800
4	1600	2400	1200	1600	1200	1600	1200	1600	
5	2000	3000	1500	2400	1500	2400	1500	2400	2200-2700
6	2400	3600	1800	3000	1800	3000	1800	3000	

資料來源：筆者整理自《2011 九年一貫課綱》及教育部國民教育司：2012「補救教學基本學習內容—國民小學語文學習領域（國語文）（試行版）」，頁 5。

《2011 基本學習內容》明確規定出識字量與寫字量。識字量的多寡依據教育部國語推行委員會公告之字頻表，並參考審定通過之三家教科書編寫小學一年級課本時採用的識字量（南一版 337 字、翰林版 356 字、康軒版 363 字），商訂國小一年級基本識字量為 300 字，而後逐年增加。補救教材編寫亦依照此識字量螺旋式遞增。

《2011 基本學習內容》明確規定識字量應大於寫字量，「未列入習寫字量者可列為認讀字，並盡量於第二階段消化為習寫字」。亦即國語教科書的生字包括習寫字和認讀字，習寫字是課文中學生必須認識和書寫的字，認讀字則是只需認識不必會書寫的字。在增加識字量的同時減輕寫字量的負擔。讓學生先認識認讀字，沒有書寫的壓力，該字再次出現時則列為書寫字，更加熟悉。

上述分段能力指標在識字方面主要明確訂出各階段的識字量規範，考量兒童心理發展，隨年級升高逐漸增加。除了以上所討論的識字量與寫字量之規定外，關於識字與寫字教學的原則，茲分析如下：

(1)在識字方面：

在識字的方法上，第一、二階段提及用部首或簡單造字原理輔助識字，第三階段利用簡易六書原則，第四階段則運用六書的原則輔助認字。

在辭典的運用上，第一階段「利用音序及部首」，第二、三階段能利用字辭典「分辨字義」，第四階段除了字辭典外，還加上成語辭典用以「擴充詞彙，分辨詞義」，亦有階段性任務。

然而在實行「多識少寫」時，應輔以注音符號。處理原則如下：「各階段之注音原則，第一、二階段須全部注音。第三、四階段僅於生難字詞、歧音異義之字詞注音」。為了增加閱讀量而將注音視為輔助識字的工具。

(2)在寫字方面：

大體而言在寫字方面，寫字能力指標是要讓學習者在認知上能夠掌握漢字的部首結構，並培養鑑賞各種書體的審美觀。在技能上能夠掌握運筆原則，並用硬筆、毛筆正確書寫。在態度上則是激發寫字的興趣。

第一階段須掌握基本筆畫、字形和筆順，到第二階段加上掌握形體結構，第三、四階段則需掌握「楷書組合時筆畫的變化」、「應用筆畫、偏旁變化和間架結構原理

¹ 在該表中關於認念的字量說明為：「以識字量折衷，每年增加 400 字來計算」。

² 在該表中關於認念的詞量說明為：「以國字認念量的 1.5 倍來計算」。

³ 以識字量的下限×80%四捨五入來計算。例如低年級國字書寫量為：700×80%=560 四捨五入為 600 字。

寫字」。寫字教材「除寫字姿勢、執筆、運筆方法、臨摹要領等之基本要項外，並以基本筆畫與筆形、筆順、筆畫變化、偏旁寫法、間架結構與搭配要領為基礎訓練」，足見由基本筆畫到範圍加廣加深，並能應用。

寫字課所習寫的字，必須以教材習寫字之生字、或已學過的字為基礎，選擇適當的字例，作通盤規畫，而不是隨意取字。在字材編輯上應與學生的學習能力配套，循序漸進、由易入難。「可採用九宮格、米字格或田字格。」「以硬筆為主，毛筆為輔」。此外，「識字教學與寫字教學之間，應重視相互聯絡教學，配合各科作業的習作，隨機指導學生，將作業寫得正確，寫得美觀。」

「識字」與「寫字」二者在語文學習上是相輔相成的，寫字能力則由筆畫、筆順及整體結構表現出來。但在教學的操作性質上卻有著極大的分野，因為，「識字」的部份原則上屬於學科，而「寫字」操作方面則較偏向術科，兩者在教學精神上略有不同。

2. 漢字教學法

台灣學者胡永崇(2002)分析了當前台灣的漢字指導法，共提出造字原理教學、部首教學、部件教學、組字規則教學、形聲字教學、基本字帶字教學、意義化教學法、比較識字教學、歸類識字教學、分析口訣法、兒歌教學法、字謎識字教學法、笑話及故事識字教學法、遊戲識字教學法等14種教學法。

筆者根據教學模式及教材呈現方式作一探討：

(1) 根據教學模式：

可分為由上而下及由下而上。前者以學習者的語感經驗、世界知識作為學習資源，將單獨的詞彙與學習者的經驗相結合，如王明德教學法。⁴後者則由字形、字音、字義著手，讓學生完成識字任務，偏重識字過程而較忽略詞彙在語境中的作用。

(2) 根據教材的呈現方式：

與中國大陸相同，可分為分散識字教學法及集中識字教學法。目前台灣的漢字教學多採取分散識字法。而台灣對於小學學童的漢字教學研究多針對學習困難的特殊學生，對於一般學生的研究相對較少(柯華葳，1999；胡永崇，2002；洪儷瑜，2005)。常見的補救教學方式為部首識字教學法、字族教學法、基本字帶字教學法、形聲字教學法、圖解識字教學法等(洪儷瑜等人，2008)，所採取的多為集中識字教學法，與前述隨文出現的分散識字教學法並不相同。

以上的研究顯示這些教學法有不錯的成效，但因為台灣目前以分散識字教學法為主流，以上提及的集中識字教學法多為教學者自編的補充教材或是補救教學教材，少在正規課程中實施。

3. 漢字教學效果

教育部並未針對母語學童的漢字學習效果從事相關調查，對於中文母語者的漢字學習能力研究多集中於閱讀困難學童，且大部分都以識字能力(陳秀芬，1998；洪儷瑜，1999；陳慶順，2000；黃秀霜，1999；陳秀芬、洪儷瑜、陳慶順，2008等)和閱讀理解能力(邱上真、洪碧霞，1996；柯華葳，1999；陳美芳，1999等)為主。因此

⁴ 「王明德教學法」為1962年高雄苓洲國小校長王明德針對小學低年級國語科所提出的教學法，為聽說讀寫混合教學，先說話再作文，最後寫字與閱讀。以看圖說故事的方式引導，進一步認識書寫符號。

第一語言學習者之漢字學習效果僅能從個別研究中窺探一二。

其中較具體的研究為陳秀芬、洪儷瑜、陳慶順(2008)對小學1-3年級學童做了基本字讀寫能力的調查研究,該研究以洪儷瑜等(2003)所編制的「基本讀寫字綜合測驗」為工具,分別為「找出正確的字」(區辨字)、「看字讀音」(認讀字)及「聽寫」(寫字)等三個測驗。結果發現,一般學童首先精熟的能力是區辨字與認讀字的能力,在一年級上學期正確率分別為85%及82%,但僅能聽寫出11%的基本字。到三年級上學期才能夠聽寫出91%以上的基本字。

而根據洪儷瑜等(2008)依據教育部《國小學童常用字詞調查報告書》所得之國小常用字庫編製測驗,並按照學生寫注音和造詞的正確性估計其識字量。在全台灣北、中、南區選取小一到國三2842位學生來進行調查。各年級可能的識字量如下:

表3：台灣小學學童各年級識字量調查表

年級	平均識字量	95%信賴區間識字量
1年級	713	371~1053
2年級	1248	971~1527
3年級	2108	1410~2806
4年級	2660	1779~3543
5年級	3142	2425~3859
6年級	3340	2531~4149

資料來源：洪儷瑜、王瓊珠、張郁雯、陳秀芬(2008)。學童「識字量評估測驗」之編製報告。測驗學刊。55(3), 489-508。

筆者根據以上的研究發現,中文母語者(本文專指小學學童)的漢字學習效果有三項特點:

- A.漢字學習的先後順序為：先識讀後書寫，且識字量大於寫字量。
- B.無論是識字或是寫字都在小學三年級起較為熟練。
- C.漢字學習調查結果與《2011九年一貫課綱》對漢字字數的要求大致相符。⁵

三、漢字圈國家的漢字教學現況

周有光(1988)認為從漢字圈國家的發展歷史來看,其語言借用漢字書寫本國語言需經過學習、借用、仿造及創造等四個階段。然而,這些地區經過各個發展階段後發展出漢字及拼音符號兩種文字系統。張學謙(2000)提出漢字及拼音文字可以組合出三種書面系統:完全使用漢字(如中文)、完全使用非漢字的拼音文字(如越南的字喃 Quoc Ngu 及北韓的諺文)及混合這兩種文字的書面語(日文及韓文)。本文將探討漢字圈漢字母語者之漢字教學,此處排除完全使用拼音文字之越南及北韓,集中探討使用漢字的日本及韓國。

(一)日本漢字教學現況

1.漢字教學要求

限制漢字字數是日本語言文字改革的重點之一,其限制漢字的方法是制定政府機關及一般社會使用的漢字表。在過去的五十多年來,漢字表經過多次的修改:1942

⁵ 《2011 九年一貫課綱》中對於漢字數量的要求為：小學 1-2 年級 700-800 字，3-4 年級 1500-1800 字，5-6 年級 2200-2700 字。

年《標準漢字表》收錄 2669 個漢字，1946 年《當用漢字表》收錄 1850 個漢字，1981 年《常用漢字表》則有 1945 個漢字。常用漢字對於日本國民現實生活中經常使用的漢字提出了大致的標準。但是並沒有強制性，漢字的使用還是有彈性應用的空間（Seeley, 1991），但整體來說有減少漢字使用的趨勢。

要討論日本漢字學習要求，便需分析文部省中、小學《國語學習指導要領》、《學習指導計畫》及《學習指導計畫解說》。以下便分述之：

(1) 小學漢字教學要求：

根據文部省小學《學習指導要領》，小學國語分為說話、聽力、書寫及閱讀四大內容。關於漢字教學的具體內容主要列於「伝統的な言語文化と国語の特質に関する事項」之「文字に関する事項」項（「傳統語言文化與國語特質相關事項」之「文字相關事項」）中，包括識字和寫字兩方面。文部省並針對小學《國語指導要領》提出小學《國語指導解說》以作為說明之用。筆者據此發現日本對於漢字學習的要求考慮到漢字的系統性與學童發展，1-2 年級奠定漢字基礎知識與學習興趣；3-4 年級則能理解漢字結構、依據部首的知識擴大漢字量；5-6 年級則學習漢字的由來、假名與漢字的關係等。除此之外，漢字教學應於日常生活及其他學科中使用，學年別《漢字配當表》外之常用漢字需輔以假名，以增加兒童閱讀機會，實際在文章書寫中反覆練習等等。

此外，筆者根據文部省《漢字配當表》（教育部漢字分配表）及《新學習指導要領における漢字の取扱い（参考）》（新學習指導要領所列漢字處理參考）所列，將漢字學習的數量整理成下表：

表 4：日本小學漢字學習數量統計表

目標 年級	能識讀配當漢字 1006 字		能書寫至 5 年級止配當漢字 共 825 字	
	識字量	累計識字量	寫字量	累計寫字量
1	80 字	80 字	80 字漸次書寫	0 字
2	160 字	240 字	80 字會寫	80 字
3	200 字	440 字	160 字	240 字
4	200 字	640 字	200 字	440 字
5	185 字	825 字	200 字	640 字
6	181 字	1006 字	185 字	825 字

資料來源：筆者翻譯及整理自日本文部科學省《新學習指導要領における漢字の取扱い（参考）》，參見：

http://www.mext.go.jp/b_menu/houdou/22/06/attach/1295405.htm

（引用時間：2013/11/15）

小學六年一共學習漢字 1006 字，具體要求是：能識得各年級生字表中的漢字，能寫並能用前一學年學會之漢字，而當學年學習之漢字只要求做到逐漸會寫。觀察日本小學學童漢字學習的要求發現，除第一學年外識字與寫字任務分配平均，第二階段稍多，明顯採取「多識少寫」的策略。

(2)中學漢字教學要求：

根據文部省中學《學習指導要領》，中學國語與小學國語相同，亦分為四大內容。在中學《國語指導要領解說》中並明確指出漢字教學的兩個大方向：一是確立漢字的地位及實用性，認為漢字為一切學習的根本。為了能夠閱讀常用漢字，首先應習慣使用學年別漢字分配表。並且重視在社會生活中確實使用，且須充實因應學生實際習得情況的漢字指導。

二則是確立漢字教學的階段性。國語科的指導內容乃系統性、階段性，與前學年相連貫的，螺旋式、反覆不斷操練地學習。

平成 22 年《常用漢字改訂表》，增加 196 字，減少 5 字，原 1945 字增加到 2136 字，因此中學生應學習的漢字字數也有所調整。筆者根據文部省《中學學習指導要領》及《中學學習指導要領解說》，將中學三年識字量與寫字量整理出下表：

表 5：日本中學漢字學習數量統計表

中學	目標 年級	漢字量：以小學 1006 字為基礎再增加		
		能識讀常用漢字 1945 字 (應指導 1945-1006=939 字)	習慣使用配當漢字 1006 字 (應指導 1006-825=181 字)	
	1	250-300 字	(825+)75 字	900 字
	2	300-350 字	(900+)106 字	1006 字
	3	會識大部分常用漢字	習慣使用 1006 字	
高中		會識常用漢字 1945 字	會寫常用漢字 1945 字	

資料來源：筆者整理自日本文部省《中學學習指導要領》及《中學學習指導要領解說》。

與小學六年相較之下（最少 80 字，最多 200 字），中學的識字量大增而寫字任務並不算大。

2.漢字教學法

日本的漢字教學法在戰前戰後有不同的發展，李軍(2008)、川口義一(2010)均提到日本的漢字教育由戰前的「読み書き同時指導」（識寫同步），轉向戰後的「読み先行、漸次書く」（先讀後寫）。

由當前日本小學、中學的漢字學習要求來看，對於識字與寫字乃採取先識後寫、多識少寫的策略。此一論點大西久一(1968)早已提出，他在〈漢字の学習指導〉（漢字的學習指導）一文中談到「對於漢字指導，有所謂的『識寫分離論』，意即『理解在先，表現在後』、『先明確了解意義與用法，而後書寫』。因此一開始便教授筆順、字形實在是相當困難。」

再加上日本長期以來漢字教學的主流模式為反覆操練及漢字測驗。由於授課時數的限制，想要逐字地在課堂中仔細教授是不可能的。隨著常用漢字數的增加，學習者自學漢字的機會也跟著增加。在尚未完全理解漢字字義及趣味前應反覆書寫，導致厭惡漢字的學習者不在少數。半田淳子(2011)認為對於漢字缺乏興趣的學生只能採取死記硬背的方式。對此，學者提出了不少漢字教學方法。

大西久一(1968)提出有效率的漢字教學應著重於如何發音、如何書寫以及如何使用。岩田諦慧(1992)認為漢字教學應系統化，並使學童學習能正確唸出字音、能正確理解字義、能以正確筆順書寫出正確的字形、能在文章中正確使用等四個重點。

在具體的教學方面，因側重點不同而有向山型教學法、卯月型教學法及宮下型教學法三種：(1)向山型漢字教學法：「漢字文化の授業」(向山洋一，2002、2006)

由向山洋一在 1999 年所提出，於上海實驗學校五年級學生實驗漢字文化教學，他認為漢字與歷史有莫大的關係，因此不僅是教漢字，還要教漢字文化。除了讀寫，還包括以漢字結構、意義與漢字哲學為基礎的漢字教學。以圖畫與問題的方式引起學習者的興趣。而此漢字教學法在日本小學引起了極大的迴響與實踐。

但是具體實踐的漢字多為能以圖畫表現的漢字，至於漢字中佔大多數的形聲字由形符與聲符所組成，聲符如何表現則為一大問題。此外，採取此教學法對於漢字能力是否有所助益則有待具體地考察。

(2)卯月型漢字教學法：「漢字と遊ぶ、漢字で学ぶ」(卯月啟子，2003)

由卯月啟子所提出，重點在於採取多種方式實踐漢字學習的樂趣。卯月型漢字教學法不僅在漢字課程中採用，更巧妙運用在日常生活中出現的漢字，在遊戲中習得漢字。喜歡漢字、喜歡學習漢字，以提高漢字學習的意願。

但該指導法多為片段的學習，漢字指導應置於全體課程的何種定位？與其他學科的關聯為何？漢字指導的長期計畫等諸問題均未見具體措施。

(3)宮下型漢字教學法：「分ければ見つかる知ってる漢字」(宮下久夫，2000)

由宮下久夫所提出，主要的概念為將複雜的漢字分解為幾個部份，使學習者容易掌握局部並進而掌握全體。此乃教授漢字形、音、義以及容易混淆的漢字構成要素，整理象形、指事、形聲等漢字構成特徵等規則，將漢字系統化。

此教學法較具科學性，但以字典為漢字分類的基礎，抽象性較高。並將許多較難的漢字及常用漢字表外的漢字也包含其中。採用此法時應考慮學習者的理解力與教學者的教學能力，且實施難度較高。

3.漢字教學效果

矢部玲子(2007)等多位學者對於日本全國學童做了國語學習的調查，文中發現對漢字學習有興趣者從小學 1-2 年級對於漢字的學習有極大興趣，約佔 70-80%，但到了小學三年級之後呈現每況愈下的趨勢，這與各年級漢字學習量有關，亦即前文提到小學 3-4 年級為各年級之最。

此外，日本文部省國立教育政策研究所在 2012 年對全日本小學六年級與中學三年級學童作了學習狀況調查，⁶其中針對漢字學習效果（識字和寫字）的調查以「學年別漢字配當表」為中心，採取「選擇式」及「簡答式」兩種題型。題目舉例如下：

(1)識字：

- A.新しいビル建築をする
- B.親から独立してくらす
- C.参加することを許す

(2)寫字：

- A.病院でいしゃにみてもらう
- B.東からたいようがのぼる

⁶日本文部科學省國立教育政策研究所(2012)：〈平成 24 年度全国学力・学習狀況調査【小学校】報告書〉。

C. 白いぬのを青くそめる

識字三個問題正解率分別為 89.4%、92.2%、95.3%，而寫字三個問題正解率則分別為 83.3%、82.9%及 90.5%。識字正確率大於寫字正確率。

文部省在報告中指出，此學習調查結果可作為漢字教學的改進依據：「將所學之漢字適當地置於文章中運用。因此必須加強比較漢字的音讀、訓讀、部首、筆畫之差異，並注意字義」。但未提出具體的指導方法。

關於漢字教學，日本學者提出多種漢字教學法，但無論是何種方式，其最終目的均在於提高漢字學習的效果。由於日本小學漢字教學多採取分散識字的方式，但由效果調查發現寫字的學習效果不如識字效果。因此希望能有更好的教學法能夠全面而完整地提高學童學習漢字的興趣，並提高漢字教學效率。

(二)韓國漢字教學現況

1. 漢字教學要求

自1950年代以來，韓國中小學的漢字政策反覆不定，或實行韓文專用，或實行韓漢文混用。⁷如此的政策使得漢字教學產生了不穩定的狀態。不同的教師和不同的學校對漢字教育的重視程度不一樣，因此各學校和教師採用的教科書及教學方式也不相同。

韓國最新頒定之2011年《教育過程說明手冊》詳盡地說明漢字學習要求與漢字教學方針。將國語（韓語）區分為「論說語言教育」、「文學語言教育」及「生活語言教育」三個領域。漢字教育與後二者相關，小學以「生活語言教育」為中心來從事教學；國中以上則以「文學語言教育」為中心（이주호 (Yi Ju-Ho/李柱鎬), 1993），並設有「漢文」課程，為必修科目，對漢字的教育便在「漢文」課程中進行。

關於漢字學習的要求，在韓國的義務教育中，並未明定小學需學漢字，但國中與高中各需學900個漢字。一週學習一個小時，學習的內容是漢字的形、音、義，成語，講解漢字的常識（如六書等）。

韓國中學漢字教育在 2007 年改訂過後，將「漢文知識」的中心領域區分為「漢字、語彙、文章」，其中與漢字教學密切相關者為前兩者，亦即「漢字知識」及「語彙知識」。「漢字知識」包含「漢字的特性」及「漢字的結構」；「語彙知識」則包含「漢字的歷史」。（진철용 (Jin Cheol Yong/陳哲鏞), 2010；김동규 (Kim Dong Kyu/金東奎), 2011）。

相較於中國與日本，韓國教育部僅提出漢文教育用基礎漢字 1800 字，初中應學 900 字，高中應學 900 字。根據各家教科書編者不同，所選用的漢字也有所差異。但初一、初二漢文教科書中收錄了初中漢文教育用基礎漢字 900 字中的 600 多字（김동규 (Kim Dong Kyu/金東奎), 2011）。因此大部分學者認為初中用字 900 字，應平均分配，意即在各年級漢字習得數量為 300 字（김동규 (Kim Dong Kyu/金東奎), 2011）。

雖然在漢字教育中僅訂出字量，並未明確區分識字量與寫字量，但在漢字檢定考試中則有明確規定。目前韓國的漢字檢定考試分為八級，其字量規定如下表：

⁷韓國稱之為「國漢混用體制」。

表 6：韓國漢字檢定考試漢字數量表

級數	識字量	寫字量
特級	5978	3500
特級Ⅱ	4918	2355
1 級	3500	2005
2 級	2355	1817
3 級	1817	1000
準 3 級	1500	750
4 級	1000	500
準 5 級	750	400
5 級	500	300
準 5 級	400	225
6 級	300	150
準 6 級	225	50
7 級	150	—
準 7 級	100	—
8 級	50	—

資料來源：筆者根據韓國漢字能力檢定會網站資料整理而成。參見：<http://www.hanja.re.kr/>
(引用時間：2013/11/15)

根據上表，可以明顯看出在漢字檢定考試中，對於識字量與寫字量的規定呈現出「多識少寫」的趨勢。8 級、準 7 級以及 7 級僅要求識字量，而不要求寫字量。從 6 級開始，寫字量雖然略低但約為前一個級數的識字量，此與日本文部省對於小學漢字學習的要求規定相類似。

2. 漢字教學法

目前韓國關於漢字教學法有諸多討論，學者也有不同的研究。經過筆者整理之後認為欲討論韓國漢字教學法可分別由識字與寫字兩方面著手。在識字方面，以理解漢字形音義為指導重點。在寫字方面，以筆順為教學重點。

(1) 識字—理解漢字形、音、義：

한은수 (Han Eun Su/韓殷洙) (2007) 由結構主義的立場將漢字教學分為六種：分別是透過漢字的字形、字音、字義、形音、形義、形音義來建構精確的詞彙使用知識。此觀點與韓國教育部提出之漢字特色—字形、字音、字義三者相呼應，由此三者著手來建構漢字的知識。他強調學生的經驗世界和知識的統合，並提出「以字形為中心的方式」和「以字義為中心的方式」，表示以字形為中心的方式是「對照漢字、找出相似的字形、描繪字形變化」等。

韓國教育部 (2011) 指出欲理解漢字形、音、義則應由六書出發，但避免過度強調。而且對於文字的教學最好從「象形字」開始，以學習者都能理解的方式來教漢字的結構，並略過轉注、假借等太難的用語。在字音方面以韓國韓文字音來唸，在字義方面要以部首來類推，第一學年時主要要以「部首索引使用法」為重心來教導。並使用多樣化的方法來教學以引起學生興趣。

在理解漢字形音義的教學重點中，字源分析法相當受到重視。최주열 (Choi Ju-Youl/崔珠烈) (1994) 認為應鼓勵學生自己來進行分析和解說。但因學習者程度而無法進行字源分析的漢字，則由教師根據字源分析順序，一邊利用圖解一邊仔細

地給予解說是比較好的方法。因此，學習者必須自己體悟漢字構造的特性和方法，對於初次見到的漢字也必須解釋字音和字義、並與已學會的漢字相互比較。最後，教師須擔當學習的協調者和促進者，對於所有漢字學習都要讓學習者自己探索出來才行。

(2)書寫漢字—以筆順為原則：

진철용 (Jin Cheol Yong/陳哲鏞) (2010) 提出應「將漢字的筆畫順序以基本的原則為根據來教學，但不要過分強調筆畫順序、筆畫數、總劃數」。韓國教育部(2011)也提出了以下幾個筆順的原則：先左後右、先上後下、先橫後豎、先中間後兩邊、先外後內、右上角的筆畫最後寫。但不應過度強調筆順。因此，在書寫漢字時，筆順的指導為基本原則，但不應過分強調。

除此之外，허철 (Heo Chul /許喆) (2006) 提出應參考中國的漢字教學方式。對於中國的漢字教學方法，他大略分成字音教育、字形教育、字義教育、書寫教育等四大類，並表示漢字教育的核心在於「字義教育」。活用字形學習的方法則有分析筆畫和部件、利用漢字的形聲原理、掌握漢字的結構、學習形近字四種。並以字形為基礎進入到字義的學習。各個方法在學習上都有優缺點，因此不希望只採用某個固定的方法，教師須熟記各種方法，並具有活用多種方法的能力。

雖然許多學者提出漢字教學方法，各有不同的意義和價值，但至今仍然無一核心標準。

四、第一語言漢字教學現況之比較

前文已將第一語言之漢字教學做了詳盡的討論，此處將討分析中文母語地區及漢字圈國家漢字教學現況之異同，並從漢字學習要求及漢字教學法兩方面來探討：

(一)漢字教學要求

在漢字教學要求方面，各國對於均提出相關字表。可分為兩種，其一為針對一般人而制定的「常用漢字表」，其二為針對教育使用的「教育漢字表」。筆者將之分析如下：

表 7：第一語言漢字教學要求比較表

	常用漢字表	教育漢字表	小學漢字要求	
			識字量	寫字量
中國	《現代漢語常用字表》(1988) 分常用字 2500 字、次常用字 1000 字。 《現代漢語通用字表》7000 字。	《識字、寫字教學基本字表》(2011) 300 字。 《義務教育語文課程常用字表》(2011) 表一 2500 字、表二 1000 字。	3000 字	2500 字
台灣	《常用國字標準字體筆順手冊》(1999) 4808 字	「教材之編輯宜掌握基本識字量 3500-4500 (各階段識字量可自行調整)，並參酌部頒常用國字標準字體表」	2400 字	1800 字
日本	《常用漢字表》	《學年別漢字配當表》(1989) 共	1006 字	825 字

	(1981) 1945 字。《新常用漢字》(2010) 2136 字。	1006 字		
韓國	常用漢字 1300 字	教育用《新定通用漢字》1800 字	小學無明文規定。 中學與高中六年 1800 字，每學年 300 字，不分識寫。但漢字檢定考試則分識寫。	

資料來源：筆者根據各國字表整理而成。

1. 在字表的制定方面：

台灣、中國大陸及日本均有常用漢字表，以作為日常生活漢字使用之依據。中國大陸及日本、韓國均為小學義務教育制定了教育漢字表，以作為漢字學習要求的明確依據。台灣僅有常用漢字表，韓國僅有教育漢字表，並模糊地訂定一個字量的範圍。值得思考和借鑒的是日本對於小學漢字學習要求相當明確，制定出《學年別配當漢字表》，從小學一年級到中學三年級應學習的漢字都有明確的規範，給予教學者與學習者明確的指標。

關於常用漢字表與教育漢字表之間的差異，由於常用漢字表是根據社會漢字使用頻率而制定的，因此無論是字種還是字量都是基於成人的生活經驗，自然與小學學童所需學習之漢字有所差異。因此小學漢字要求之字量、字種與年級分布都有待進一步研究。

相較於日本，以中文為母語者的漢字字量與順序並無精確之規定，僅有模糊的字數或是範圍。兩岸的小學語文教材均無一定本，而是採取多套教材並行的方式。倘若沒有定量與定序的漢字規定，教材之間會出現差異。因此，筆者認為應仿效日本《漢字配當表》制定出以中文母語地區語文教育的「基本字表」，才能使漢字教學更加有效率。

2. 在識字量與寫字量的要求方面：

台灣、中國大陸及日本均有明確的區別，識字量均大於寫字量，明顯採取「多識少寫」策略。台灣寫字量佔識字量的 75%，中國大陸為 83%，日本則為 82%。台灣各年級要求相當，漢字學習任務分配較為平均。中國大陸識字量的要求按年級升高而遞減，寫字量則相反。日本則在小學四年級為高峰。韓國教育部在識字量與寫字量的規定是一致的，但漢字檢定考試則明顯為「多識少寫」，且從六級起，寫字量約為前一個級數的識字量，此規定與日本文部省中、小學漢字要求大致相同。

3. 在標音符號的地位方面：

由於中文、日文及韓文文字及語言的關係不同，因此標音符號的地位也不相同。中國大陸、台灣將拼音、注音符號視為輔助漢字教學及正音的工具，具有階段性的任務，無法代替漢字。中文母語者在寫字時若遇不會寫或臨時忘記的字時可能採取的方式為標註標音符號（拼音或注音）、尋找同音字或形似字暫時代替。但若為正式文書則不可。

日本假名亦具有標音作用，但假名可與漢字並用，遇到不會寫的漢字則可以假名代替。日文的漢字假名混合文對一般教育的推展很有幫助。假名除了補足漢字無法有效表達發音的缺點外，又減少漢字的字數，因而可以減輕學生的學習負擔，提昇教育的品質。

在漢字教學過程中，拼音、注音及假名在漢字教學中隨著年級提高作用亦不相同。中文母語者及日文母語者在小學低年級時，為鼓勵學生大量識字，漢字旁全部

標注拼音、注音及假名，為輔助識字之用。下一階段則在生難字旁標注之，作為輔助學習之用。而韓文母語者則以韓文讀漢字的音，並且能以韓文拼寫漢字，整篇文章以韓文書寫亦可。

(二)漢字教學法

中國大陸與台灣對於漢字教學策略均有相關研究與具體實驗成果。目前主流教學採取分散識字法，補救教學或特殊實驗班則採用集中識字法。

中國大陸重視筆畫、筆順及部首，台灣除了重視筆畫、筆順和部首之後，更以六書為指導重心。兩岸在漢字知識外，也重視漢字能力，包括學習者興趣的培養與獨立識寫能力的養成等。

日本亦重視筆畫、筆順及部首、偏旁，但在《學習指導要領》中僅能看出著重於漢字知識的教學，無法明確看出漢字能力的培養。韓國在漢字教學時強調筆順、結構的重要性與漢字形音義三者之關係。書空與反覆操練也是主要的學習方式。與台灣方式相近，皆教授筆畫、筆順、部首和六書，但六書講解時應採取學生易懂的方式，且不強調六書理論。

此外，在中文母語地區（台灣）與漢字圈國家（日本、韓國）的漢字教學中，都是從象形字開始學習，初學者在觀察字形演變圖並對照漢字字形的基礎上，利用一定的書寫練習熟悉漢字。因此，書寫練習有其合理之處，但要掌握其階段性，而不是一味地強調機械性地書寫。中國大陸則因採用簡化字的關係，幾乎不談六書。

總之，「先識後寫」、「多識少寫」均為漢字教學的大方向。

(三)漢字教學效果：

筆者對於第一語言學習者的漢字學習效果採取兩方面的研究：其一是各地區教育部（或教育局）提出的調查報告，其二為專家學者所做的個別調查。相較於日本漢字母語者來說，針對中文母語者漢字學習效果所做的調查與研究成果較少。

中國大陸的研究表示小學學童第一學年由於開始接觸漢字，對於漢字的形音義尚不熟悉，且有其他的學習任務，如學習拼音、認識漢字的筆畫、筆順、部首、部件及寫字等等，因此效果有限。但在學童學習600-800字就進入快速增加期。此調查提供漢字要求與教學方式相當具體的建議，即第一學年的識字量與寫字量不宜過大。

筆者根據台灣對於中文母語小學學童漢字學習效果的調查結果，歸納出三項特點：一是漢字學習的先後順序為先識讀後書寫，且識字量大於寫字量。二是無論是識字或是寫字都在小學三年級起較為熟練。三則是漢字學習調查結果與《2011九年一貫課綱》對漢字字數的要求相符合。

日本的調查顯示，在識字量與寫字量方面，小學學童隨著年級升高，識字與寫字能力差距也漸大。各學年識字率均超過 80%，識字正確率大於寫字正確率。寫字習得率隨著年級升高而降低，小學一年級超過 90%，四年級之後急速下降。在漢字學習興趣方面，小學 1-2 年級對於學習漢字有極大興趣，約佔 70-80%，但到了小學三年級之後呈現每況愈下的趨勢，這與各年級漢字學習量有關，亦即前文提到小學 3-4 年級漢字學習量為各年級之最。

根據以上的研究發現，第一語言學習者的漢字學習效果有異也有同。相同點在於小學學童的識字能力均優於寫字能力。相異點在於中文母語者自小學中年級起識讀與書寫能力漸次養成，因此小學第一年級時漢字學習任務不宜過大。但在漢字圈學習者如日本則自小學中年級起，漢字書寫興趣與能力均每況愈下。

五、結論與對外漢字教學建議

根據前文的考察發現，中文母語地區的研究多集中於兒童識字問題，並強調識字量應大於寫字量。在漢字圈國家中，日本有明確之漢字學習數量及字表規定。但韓國僅訂出字量、提出字表，但未區分識字量與寫字量。第一語言漢字教學採取的是「多識少寫」策略。筆者綜合以上第一語言漢字教學現況調查結果，對於以華語文教學中的漢字教學提出以下兩點建議：

(一)應建立漢字教學標準：

當前華語文教學對象的漢字背景及各地區對於漢字學習的要求不盡相同。中國大陸以《漢語水平詞彙與漢字等級大綱》與《漢語水平標準與語法等級大綱》為漢語水平考試及對外漢語教材的重要依據，應可作為中國大陸對外華語教學中漢字教學總量的規範。再加上2010年推出的新HSK考試標準可知，中國大陸對於華語文教學中的漢字學習要求為：來華學習者在四學年間累計約3000-3400學時，應學習約3000個漢字。但僅對於漢字的字量做了規範，並未對於漢字能力詳加描述。且在《漢語水平詞彙與漢字等級大綱》序言中提到常用字2500個應要求四會，在常用字之外可要求三會、兩會或一會。因此達到中高級程度前，對於漢字學習的要求為識寫一致，但程度越高，當漢字學習量超過常用字範圍則要求識字量大於寫字量，與母語者對漢字識寫的要求相同。但台灣對於高級學習者的要求為3000字，不分識寫。

根據張金蘭(2013)的研究發現，目前華語文教學在台灣並沒有統一教學綱領。黃沛榮(2001)認為應編寫3000字的字集以供對外華語教學參考使用。針對以華語為第二語言學習者所做的詞彙分級，以張莉萍所提出「華語八百詞」、「華語八千詞」最具代表性，制訂出初級1500個詞彙、中級3500個詞彙、高級5000個詞彙(張莉萍, 2008)。張莉萍(2008)認為如果以目前TOCFL考試對應CEFR等級的初步構想來規劃，基礎級相當於A2，初等考試相當於B1，中等考試相當於B2，高等考試相當於C1，對應於TOCFL詞彙量，可以朝此方向發展為A2-500字、B1-900字、B2-1800字、C1-3000字。

美國《中文聽說讀寫》及《實用漢語課本》均建議教材的使用時間為兩學年，習得漢字數為 2500-2700 字左右，與中文母語學習者之常用字數相當。但未區分識字量與寫字量。

在制訂出華語教學標準的地區中，法國對於漢字學習要求標準最為詳盡，教育部《公立中學中文課程規定》(2003)明確區分識字量與寫字量，識大於寫。如以華語為第一外語學習者，在高中一年級結束時已學習中文五年，其要求為被動認讀字 300 個，主動書寫字 505 個。

因此要制定統一的漢字教學標準實為不易。然而當前語言教學多訂有標準，如美國的《21世紀外語學習標準》(Standards for Foreign Language Learning in the 21st Century, 1996)、加拿大的《語言等級標準》(CLB, Canadian Language Benchmarks, 2000)、歐洲的《語言共同參考架構：學習、教學、評估》(CEFR, 2001)等。由於漢字相對於拼音文字的特殊性，且因應這些語言標準的提出，再加上第一語言的漢字教學也制定出了標準，因此華語文教學中的漢字教學也應訂有具體目標，使學習者與教學者均有參照的標準。

筆者建議應根據當前的語言標準並考量漢字特點來制訂，建議採取因地制宜的方式來制訂漢字學習標準。可根據漢字教學在各地區華語教學中的定位來探討。如

華語地區及非華語地區，由於語言環境不同，學習者接觸中文的機會多寡也有所差異。因此在字量與字種的選擇上應有所不同。華語地區的漢字學習標準應高於非華語地區，但兩者識字量均應大於寫字量。

(二)應針對不同漢字背景的學習者從事漢字教學：

當前的華語教學中關於漢字教學的課程安排有兩種類型：一為綜合課程中的漢字教學，二為獨立的漢字課，而兩者各有利弊。綜合課程較獨立的漢字課有語境，學習者可以將課堂上所學漢字在適當的語境中使用，且根據研究顯示漢字在教材中出現的頻率對於學習效果有相當的影響，漢字在教材中出現的頻率越高，學習者的學習效果也越好（張金蘭，2013）。但因為課程中隨著課文出現的漢字並未依照漢字規律，因此對於學習者來說較無系統。然而獨立的漢字課較綜合課程隨文識字有系統，可以根據漢字的筆畫繁簡、使用頻率加以編排，更符合第二語言學習者漢字習得的規律。但獨立漢字課程的漢字教材著重點在於識字與寫字，因此脫離容易語境，對於學習者來說識字、寫字固然重要，但用字亦為語言學習的重點。

因此，筆者認為若能同時開設綜合課程與針對不同母語背景學習者的獨立漢字課，不僅能使所學漢字在適當的語境中運用，也可針對漢字圈與非漢字圈學習者的漢字認知特點來從事更有效率的漢字教學。如日文漢字、韓文漢字與中文漢字有許多同形詞，若能指導學習者區分兩者形、音、義的原則，則能收事半功倍之效。

根據本文的考察發現漢字對第一語言學習者來說具有媒介作用，除了語文教育外，亦成為獲得其他知識的工具，因此對於閱讀能力與知識的取得具有相當重要的影響。但當前對於第一語言的漢字教學研究多為針對閱讀障礙學童的研究，對於一般學童及第一語言漢字教學並未見有較全面的研究成果，例如對中國大陸、台灣等中文母語地區以及日本、韓國等漢字圈國家進行全國性學童漢字學習效果的調查。若能以本文研究結果為基礎，投注相當人力，從事廣泛且深入的研究，定能對於提高第一語言學習者漢字學習效果有更具體的助益。

此外，筆者希望未來能對華語地區及非華語地區分別進行以華語為第二語言學習者的漢字教與學的調查，包括識字量與寫字量、教學時數與教學效果等進行全面性的考察。此般大規模的研究，就單一研究者來說往往礙於現實的侷限無法自由地調查與實驗，包括教學機構的編制與學習者的程度與人數難以控制等等都需要人力與物力。

最後，筆者希望本文的撰寫對於第一語言及華語文教學的漢字教學能有拋磚引玉的作用，以上所述不僅是筆者將來繼續研究的方向，也希望各位專家學者能投入相關研究，對於華語文教學能有所貢獻。

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五、法文

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On the Subjectivity of African-American Heroines: Seeking a Theoretical Contrast between Alice Walker's *The Color Purple* (1982) and Toni Morrison's *The Bluest Eye* (1970)

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Abstract

Alice Walker's *The Color Purple* (1982) won her both the Pulitzer Prize and the American Book Award for Fiction. The heroine Celie and her development of female subjectivity are reminiscent of, and in sharp contrast to, that of Pecola, the heroine in *The Bluest Eye* (1970) written by Toni Morrison, a Nobel Prize laureate in 1993. Walker allows her heroine to use a first-person perspective to speak from her own voice in order to reclaim back her female agency in resistance to the male holders of power who oppress and exploit colored women as a whole. Morrison is however concerned about the white norms of beauty and cultural citizenship as well as the psychological hegemony inherent in them. This paper uses Thomas Metzinger's Self-model Theory of Subjectivity (SMT) as the conceptual framework to compare how one heroine differs from the other in terms of their respective development of subjectivity. The reason why *The Color Purple* and *The Bluest Eye* are chosen for literary comparison is that both heroines are highly traumatized and allegedly believe they look ugly. In addition, both authors use color imagery of either purple or blue to evoke the (non-)assertiveness of one's ethnicity, with the backgrounds all set in the rural community under the caste system of the Jim Crow laws in the first half of the twentieth century. It is concluded that Celie can consciously experience the phenomenal property of her selfhood and go through the liberating and self-defining stages of development that are both transgressive and transformative enough to qualify her as a transient woman. In contrast, Pecola is permanently mired in a state of phenomenal transparency where she is so overwhelmed by out-of-body experience as to become an intrinsically disembodied spirit. This paper pioneers to use SMT as a conceptual tool not only to explain the divergent courses of development in each heroine's phenomenal self, but also to investigate the theoretical issues regarding the experiential perspectivity of one's epistemic subjectivity and how that subjectivity is being disintegrated.

Keywords: feminism, subjectivity, Metzinger, Alice Walker, Toni Morrison

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論美國非裔女性的主體意識：比較《最藍的眼睛》與《紫色姐妹花》

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摘要

愛麗絲華克得過普立茲小說獎，在她的《紫的顏色》（另譯《紫色姊妹花》）中，女主角 Celie 是一位因貌醜而對自己缺乏自信的黑人女性，剛開始她也面臨了女主角 Pecola 在湯尼莫里森《最藍的眼睛》中所遭遇的困境，而活在自我否定中自暴自棄。可是因緣際會，她透過好友以及失散多年的妹妹的啟蒙，使得女性意識逐漸抬頭，也學會了以批判觀點看待美國社會的族群與父權問題，以及運用後殖民觀點批判跨國的奴隸制度。反之，於 1993 年得到諾貝爾文學獎的湯尼莫里森，將她的女主角設計得全無超越性，完全符合了波娃在她的《第二性》中定義女性為 immanence 的所有特點。Pecola 的女性自主意識極低，她完全依賴男人的肯定，並且極度崇拜白人優越論中的美學觀點。她渴望被同化進白人的世界，欣然模仿白人的生活模式與價值觀，不時以自己族群的外貌特徵與文化標誌為恥，且盲目追求大眾文化所灌輸的時尚形象。本研究透過 Thomas Metzinger 的主體意識自我模型理論 (Self-model Theory of Subjectivity)，去解析美國非裔女性的主體意識。結論發現《紫的顏色》的女主角 Celie 能夠有意識地經驗其自我的 phenomenal property，並且在此過程中達到自我提昇的轉型。而《最藍的眼睛》的女主角 Pecola 深陷在現象透明的沼澤中，使其內在萎縮成脫離實體的靈魂、而逐漸沉淪。本篇論文首創以 SMT，去分析小說中的女主角，並以現象自我 (phenomenal self) 以及主體與客體之間的辯證關係 (intentionality relation) 為觀念工具，去檢視自我的觀點性 (perspectivity) 與觀點角度 (perspectivalness)。之所以選中以上兩部作品作為理論的對比，是因為作品皆大量運用顏色意象，去突顯族群圖騰的美學差異；此外兩位作者的當代性強，又是美國非裔文學界顯赫的女性主義代表人物，因此極有學術上對照的價值。

關鍵詞：愛麗絲華克、湯尼莫里森、女性主義、主體意識、自我模型理論

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Introduction

Subjectivity is inherently defined as something that is formed through countless numbers of interactions within society or with the surrounding environment. It is a process of one's individuation or socialization, if one refuses to isolate oneself in a self-contained environment. In other words, the living totality of a given society continuously undergoes transformation through which culture and subjectivity interactively shape each other in the areas of communities, political systems, the economy, and the natural world. Subjectivity presupposes a subject or the form of an existing being that manifests itself through constant changes of self-awareness. As that subject experiences a wide variety of phenomena, the content of that existing being will produce or constitute the subjectivity of that subject. As a result, the process, in terms of the alteration in becoming a subject, or so-called "subjectification" or "subjectivation" in French ¹ is highly philosophical, because of the ontological ² nature inherent in the transient or permanent existence of the self and the subject.

The Self-model Theory of Subjectivity (SMT) ³ is an interdisciplinary approach to investigating the phenomenology of consciousness and the self. Since its core content is the phenomenal self, the experiences of ownership, body-centered gender identity, and the long-term unity between beliefs and attitudes are brought into focus. Also of concern are thoughts, emotions, perceptions, and sensations that make up the psychic experience of a subject who, through the passage of time or the transformation of space, undergoes transformation in terms of the fluid in its subjective relationship with our world. The degree to which this subject can retain its permanency consists in its potentials to develop its subjectivity. As part of specific experiences and realistic organizations, subjectivity makes it possible for one to have one's distinction from others, who are usually regarded as alien, hostile, and incomprehensible. Given that cultural differences result in an alternate experience of existence, people use different means to form or modify their subjectivity.

As a corollary, objectification of the females and the oppressive nature of patriarchy are always the major issues targeted at by feminist writers. They generally believe that the

¹ In Culpitt's dissertation, subjectification is defined as a philosophical concept that refers to the construction of the individual subject (iv). This word was originally coined by a French philosopher and historian Paul-Michel Foucault who believes that one should think differently about things "taken for granted." In order to "think differently" about a multitude of practices, one should use one's subjectification of "limit-experiences" to introspect on the patterning that constructs the current discourses of political and social policy. Culpitt further contends that various "rationalizations" shape the process of subjectification which, being "ethical and aesthetic," partakes of knowledge and power (37; 46).

² Existentialist feminism extensively uses ontology as a conceptual tool to conduct a philosophical study of women's being, becoming, subjectivity and existence. Please see Rosemarie Tong's *Feminist Thought*. Chapter Seven.

³ Also known as the theory of phenomenal consciousness, this model is proposed by Thomas Metzinger (2004), a German scholar of philosophy, psychiatry, and neurosciences, who argues that we are perceiving "representations" of reality rather than perceiving reality directly. When these systematic representational experiences, transported by the data structures or mechanisms of the data, are connected with our subjective experience underlying episodic subject-object relations, the phenomenal property of selfhood is generated.

perspective from which a woman views her humanity and how she interacts with others manifest the growth, stagnation, or retrogression of her subjectivity that is perceived as crucial in the approach to women's enlightenment.

An overall literature review reveals that there have been many voluminous researches on black female identities. Among them, Lynette D. Myles's *Female Subjectivity in African American Women's Narratives of Enslavement* (2009) bears the greatest resemblance to this paper's title. Myles's innovative dissertation theorizes how American black females engender and reclaim realities in which their consciousness or subjectivity can develop from pained and marginal existence to power and transformation. However, the African American women's narratives under Myles's study do not include those of contemporary writers such as Toni Morrison and Alice Walker who are still alive. Besides, what she theorizes is simply the stages through which African American females develop their subjectivity, without pointing out exactly how such female subjectivity is being formed or being lost. This paper seeks to continue Myles's academic interest in subjectivity, deviating however a great deal of its attention toward the theoretical issues centering around the (de)formation of such subjectivity. To accomplish this goal, this paper pioneers to borrow Metzinger's SMT as a conceptual tool so as to explain the contrast between Celie and Pecola in the process of textual analysis.

The reason why this paper chooses *The Color Purple* and *The Bluest Eye* for literary comparison is that both authors are contemporary world renowned African American feminist writers who are highly concerned about the issues of race and gender. They coincidentally use color imagery of either purple or blue to evoke the (non-)assertiveness of one's ethnicity. Each of the female protagonists they create in their novels fictitiously lived in the rural community under the caste system of the Jim Crow laws in the first half of the twentieth century. Both black girls endure family incest, abuse, chaos, and hardship, and allegedly believe they look ugly. However, their subjectivity and selfhood as an African American female are entirely different in the course of their lives. This fact provides a perfect contrast for this paper to conduct a comparative study.

Walker's arrangement of a new radical alternative and outlook for her colonized ⁴ heroine is flawless. With a consummate skill and sensitivity, Walker writes her novel in a captivating form similar to Celie's repetitive and never ending letters to God and to her sister Nettie. Written from her own perspective, such an original and outstanding epistolary form of writing enables readers to thumb through the pages quickly, allowing the story to go by as if one was reading somebody else's diary or journal. Although full of adult language and explicit sexual content, this novel never plays cheap with the readers' emotions because it brings to light issues such as incest, teenage marriage and child birth, as well as the ultimate transition from being slaves to full-fledged individuals. Walker's style is unique and realistic in that Celie's letters, which are full of Southern English, resembles an actual journal.

In contrast, Morrison's novel embodies the Negro writing that, as observed by Neal

⁴ Slavery or Jim Crow segregation is considered to be an internal form of colonization by sociologist Edna Bonacich in her "Class Approaches to Ethnicity and Race" (1980).

(273) and Davis (142), speaks directly and authentically to blacks in order to alert them to the cohesive African American cultures and its continuity from the African traditions.⁵ Morrison's writing also conforms to what Clark and Clark suggest that self-loathing and lack of self-esteem on the part of blacks are engineered by a "racialized" society (172). Such a notion becomes the standard by which she can evaluate black females and the growth of their consciousness, as well as other cultural values indigenous to their ethnic roots. The thematic discussion of this paper employs SMT to elucidate the contrast between the growth of Celie's subjectivity and the atrophy of it in Pecola.

I. Metzinger's Self-Model Theory of Subjectivity (SMT)

As a theoretical entity, the notion of a self in Metzinger's voluminous work entitled *Being No One* (2004) refers to a representational content with the dynamic content of the phenomenal self simply serving as an integrated process of the cognitive processing, emotional situations, and the bodily sensations. Objects, scenes, and contextual information are all further examples of phenomenal holism in which subjects and objects are consciously represented in different sequences, as is the phenomenal experience of "self in the act of knowing" (144). The concept of "representation" in epistemological uses is analogous to the concept of "simulation" (63). What differs between both is the recognition that "phenomenal representations form a distinct class of experiential states, as opposed to simulations," and that there exists a mental representation of the self which is at any time available.

As a self-creating and self-persisting dynamical subsystem of the mind, the phenomenal self, or the so-called "the phenomenal property of selfhood," is a representational construct. In such a self-constructed dynamical phenomenon, human selfness approximates the whole mind without attaching deliberative or reflective consciousness to the primal awareness of the self. Understood as such, the phenomenal self functions as a full-scale defense and elaboration of the premise that phenomenal continuity keeps humans in existence. What implies in overtones is that any rupture in physical or psychological continuity will put an end to one's existence with the least to do with, or irrespective of, the flow of one's phenomenal consciousness. As quoted in Metzinger's theory (159): "a phenomenal self is a necessary, but not sufficient condition for a given system to develop a full-blown, consciously experienced first-person perspective."

According to Metzinger's theory of phenomenal consciousness and selfhood, not all the conscious beings have a conscious self. In fact, many are not an individual possessing an unchangeable essence in the sense of philosophical metaphysics. Neither a substance nor a thing, the self operates under a "transparent" self-model that, once phenomenal experience is satisfied by a given representational system, leads to the emergency of a

⁵ When receiving an interview from Thomas LeClair in 1981, Toni Morrison talked a great deal about her own writing (Taylor-Guthrie 125).

phenomenal self. As quoted from Metzinger:

Transparency and opacity are properties of phenomenal states. Because selfhood emerges through the phenomenal transparency of the system model, the unconscious phenomenal model of the intentionality relation could only portray a system in the act of knowing, but never a self in the act of knowing... It could at best be only a weak, functional form of internally modeled knowledge acquisition epistemic subjectivity is anchored in the phenomenal property of selfhood. If we ask for a better understanding of epistemic subjectivity, we always ask for a better understanding of the phenomenal self as subject. (621-22)

Metzinger suggests that the phenomenal self in a special form of inner darkness possesses simply a representational content with its self-consciousness inaccessible to the representational content of its subjective experience. Resulting from the closure in a self-representing system, the phenomenal self realizes itself in the absence of information or self-knowledge. If an organism has such a phenomenal self, instead of simply in complex brain states, its selfhood will become a representational construct of the phenomenal property with which to intrinsically and dynamically represent the organism as a whole. As quoted in Metzinger's theory:

The phenomenology of perspectivalness is the phenomenology of being someone. The first phenomenal target property here is the property of consciously experienced "selfhood." The experiential perspectivity of one's own consciousness is constituted by the fact that phenomenal space is centered by a phenomenal self: it possesses a focus of experience, a point of view. (157)

As further defined by Metzinger, phenomenal transparency means:

... the inability of a given system to experience, that is, to consciously represent, the vehicle-content distinction from the first-person perspective. Transparency creates the illusion of naïve realism: the inability to recognize a self-generated representation as a representation. (292)

According to Metzinger, higher forms of cognitive self-consciousness constitute a "consciously available self-world boundary, and together with it generates a genuinely inner world." He further argues that the phenomenal properties of agency are constituted "preattentively," and automatically on the "attentional, cognitive, and behavioral levels" (263). The dynamic content of the phenomenal self is also the content of the conscious self in terms of its development, within a given information-processing system, into the conscious content in the process of phenomenal representations. As property representations give rise to consciousness that basically emerges from matter, the

representational property of self-modeling will transform itself into consciously experienced phenomenal property of selfhood. Metzinger (158) calls such phenomenal selfhood "prereflexive self-intimacy," meaning "spontaneous and effortless way of inner acquaintance, of being in touch with, and phenomenally of being infinitely close to" one's self.

A phenomenal subject, as opposed to a mere phenomenal self, is a model of the system as acting and experiencing. What is needed is a theory about how the intentionality relation, the relation between subject and object, is itself depicted on the level of conscious experience. Phenomenal subjectivity makes phenomenal intersubjectivity possible, namely, in all those cases in which the object component of an individual first-person perspective is formed by another subject. (159)

As further elaborated by Metzinger (408), the object component in the subject-object relation is an "action goal, not yet existing in an egocentric frame of reference." The phenomenal property of agency must be exemplified at precisely the moment when the representation of a possible behavior "becomes real." Briefly introduced as such, SMT can hopefully be used as a conceptual framework for textual analysis in the following.

II. A Split Consciousness without the Self

As *The Color Purple* opens, the fourteen-year-old black girl Celie has already been raped, abused, degraded, and impregnated by her stepfather Alphonso, who later takes her two children away without leaving so much as a word. According to Donna Haisty Winchell (90), America, in order to maintain power and tradition among the people, must sustain a presence as intimate and accessible as the family. As a signifier of uncorrupted and disinterested love, the family is envisioned by Walker as the shelter for women who grow in a range of personal and social identities. Walker believes that a woman should never be content with being "good" in the eyes of others. Rather, her behavior should be so willful, outrageous, courageous, and determined as to de-legitimize the political institutions and language of racist and patriarchal violence. In *In Search of Our Mothers' Garden* (xi; 356), Walker suggests that one woman, while anxious to know more and in greater depth than sanctioned by the patriarch, might be "asking another for her underwear" and might love other women "sexually or non-sexually."

Gerri Bates (103) emphasizes that *The Color Purple* operates by "womanist" ⁶values and has little to do with wars, the occupation of lands, or the birth or death of great men. As observed by Cheung (163), feminist scholars such as Nancy Chodorow and Elizabeth Abel aim to unveil the objective and dispassionate quality and the modes of coercion and exploitation concealed behind the Father's authority and guidance. However, as Berlant

⁶ Walker (1983: xi) defines the term "womanist" as a "black feminist or feminist of color" with "outrageous, audacious, courageous or willful behavior."

(833) asserts, *The Color Purple* reproduces a negative, anti-patriarchal, and anti-elitist tone by replacing political articulation with the construction of “an aesthetic/symbolic logic”⁷ as a new domestic, though not trivial, issue of concern.⁸ Bobo (335) suggests that this novel has sped up the momentum of a larger movement of black women acting as cultural workers who seek to create and maintain images of black women “that are based on black women’s constructions, history, and real-life experiences.”

As contended by Du Bois’s *The Souls of Black Folk* (qtd. in Franklin 214-15), the discursive self-alienation of blacks is usually expressed through the multiple inversions of language, a phenomenon that can be everywhere exemplified by *The Color Purple*. When Squeak ventures forth to free Sofia out of the prison, she is raped. Squeak knows when to remain submissive and when to exercise the double talk strategy and the hypocrisy of feminine abnegation so that she can seduce the warden (CP 88-89; 92).⁹ Unlike Celie’s being raped by her stepfather, this mode of representation prefigures Squeak’s learning to lie and to play words because social mastery in wordplay and double talk can produce a discursive situation that, instead of marking black women as pariahs in the patriarchal public sphere, ironically initiates Squeak into the rank and file as a “womanist.” She restores her name as Mary Agnes and takes to singing because she becomes aware that, in order to become a woman among women, she must fight the delegitimizing pressure of female marginality by using the pure note of music as what Abbandonato calls “an elaborate act of female signifying” (1108). So construed, the female speech in the libratory distinction between music and words reflects the privileges articulated by both Shug and Mary Agnes as speaking women who find their expression through the masterful deployment of language in song, lies, or deadly silences.¹⁰

The violated ground of rape and humor in *The Color Purple*, can best illustrate Du

⁷ According to Rich (230), as the novel opens its discourse, the enforced privacy of Celie’s letters is elevated to an aesthetic, rather than political, representation, prefiguring the eventual awakening of her sexuality. Anderson (131) also contends that the discourse is laden with the utopian force that is associated with the spirit of women’s everyday relations. To him, the “aesthetic logic” in *The Color Purple* can be envisioned as a new form of “nationalist epistemology.”

⁸ Froula (641-42) contends that the issue of domesticity in *The Color Purple* operates neither according to the political language or historical values of patriarchal power; nor does it correspond to the patriarchal concerns of the historical novel.

⁹ References to *The Color Purple* are to the edition published by Harcourt Brace Jovanovich in New York, in 1992, and will be cited parenthetically as CP in the text. Likewise, references to *The Bluest Eye* are to the edition published by Signet Books, in 1970 and will be cited parenthetically as BE in the text.

¹⁰ Celie’s pleasure of playing words such as mixing “hospitality” with “horsepity” is first displayed when she sees Corinne carry her stolen child Oliva (CP 15). Since the pun on “hospitality” is revealed within the female context, Mr. _____ believes that such a joke will produce a power to threaten his control over the discursive space. In his eyes, a woman should remain an object, posed but not constituted, without knowing that Celie can be able to produce a multi-vocal discourse instead of being simply a victimized shadow masked by dumbness and muted utterance as before. Intrinsic to all the ironic repartee about “uncle Tomming” (CP 90) uttered by either Shug, Squeak, or Sofia is actually their eagerness, when facing sexism and racism, to resort to complex negotiation to attain legitimacy. If necessary, they even resort to backtalk to redress the sexually and racially fractured situations. Nettie’s tendency to use the near-homophone “cucumber” to satirize the national pride of “Columbus” is another case in point (CP 9). It seems to be in this sense that the colonized discourse in *The Color Purple* is simultaneously twisted by two opposite discursive modes with external irony being countered by internal “polemics” (Willimon 319).

Bois's "double consciousness" of African-Americans.¹¹ According to Abbondonato (1106-07), women experience "a double consciousness" in relation to "their representation in film: seduced into identification with women of their non-representation in that construct."¹² Morrison's Pecola and her infatuation with the feminine images as popularized by mass culture can best exemplify this argument.

The body of an American black as the site of identity contains different modes of self alienation when he or she "shuttles" in and out of subjectivity with his or her cultural and racial status as an object. Berlant contends that, in *The Color Purple*, the internalized awareness on the part of a hostile audience forms "the ground of negation" (838) or the context of "priori negation" (846) that inevitably leads to the production of double consciousness for the marginalized fictional characters. Taking on an almost allegorical charge, the irony or sarcasm used by most African-Americans seems to produce a negating effect of cultural delegitimation as if only the negative space reserved by whites for black cultures could signify something. Since blackness has lost its power to signify, Afro-American females are juxtaposed within a context of double erasure. A similar notion is also applied to gender relations.

As a black female writer, Morrison, however, seeks to adjudicate claims by using complementary discourses that construe the sexual. This provides an alternative perspective that reproduces the complicated subjectivity of even the most irredeemable characters with whom Morrison empathizes. Along with the deployment of one episode after another, Morrison in her *The Bluest Eye* examines the split consciousness of Pecola and other crazy women such as Aunt Julia. Gradually readers become aware that the meaning of blackness profoundly shapes the experience of gender with womanhood being deeply affected by the experience of race. Henderson proclaims, when Morrison talks as a black writer to white readers, she moves along the axis of race. In other words, when she talks as a female to male audiences, she has changed the axis of race to that of gender (2001: 20). Moving between these two axes enables Morrison, like Walker after her, to expand her readers' understanding. As a result, readers can structurally comprehend that, as suggested by Froula (643), the vulnerability of distorted black "female subjectivity" is deliberately produced by a dominant culture equipped with biased social and economic mechanisms.

When being alienated from each other, members in the black community cannot

¹¹ As a matter of fact, Harpo's first wife Sofia has a voice of racial and sexual resentment that is the loudest of all characters. She never allows Harpo to dominate or beat her. Her resistance to sexual coercion means her refusal to partake of the discourse that proclaims the "unworthiness" of Afro-American females. However, after being released out of the jail, she is forced into service as Mrs. Mayor's maid. Entering the servitude means she must conform to the "double discourse" in which whites require of Afro-Americans to participate.

¹² The traditional views of representation still conceive of language as articulations or reproductions of a prior presence, even though its non-transparency and its problematic relation to the world are gradually put into question; namely, more and more critics tend to deny language the capacity to imitate a non-linguistic reality (Rimmon-Kenan 7).

locate their placement in American Culture, because they have completely internalized the dominant white standards of value and beauty. In this regard, Morrison illustrates the extent to which mass commodity culture fails to sanction the representations of its context. As each ethnic member divides within himself or herself, he or she fosters doubleness in the form of self-denials or self-distortions that are approved of by the popular iconographic representation.

In the final disappearing act of *The Bluest Eye*, the “ugliness” of Pecola’s body is dissolved in and absolved by the blue eyes that can be seen only by her and her new imaginary friend. In her madness and isolation, she cannot distinguish the boundaries between self and other, sense and nonsense, inside and outside. Her mother Pauline’s definition of strength, beauty, and youth is also foreclosed because she defines the foresaid pleasures in the terms she has learned from film. Both the daughter and the mother vicariously live white experience as a denial of self and blackness. They use estimation and appropriation to see themselves in iconographic images which exist only in the domain beyond their reach, something intangible at all in their everyday environment. In the wake of their abstractions of whites into what Willis calls “reified” subjects (174), they cash in on one dream and abandon another, resulting in a transition from order to chaos, not in line with the trajectory in the prefatory Dick and Jane story.

III. Developing One’s Gender and Racial Identities

It is indisputable that, in the first half of *The Color Purple*, gender oppression circulates around Celie’s gender vulnerability. However, patriarchal subjugation of women gradually develops into racial violence as the novel deploys itself. When racism succeeds sexism as the cause of social violence, many problems concerning Celie’s identity are released into the forefront. It gradually dawns upon readers that horrific systematic sexual violence is simply parts of social violence with distinct language and logics of social relations governed by intricate Jim Crow racial and sexual codes.

Celie is envious of Sofia who asserts herself in her defiance against her husband and father-in-law. Sofia derives her strength or courage from her very tight-knit relationships with other five sisters, an awareness that deep ties among women are a means of combating sexism. Here readers observe Walker’s idea of the varied and multilayered nature of intimacy among women. Walker seemingly explores the spectrum of possibilities in sexuality and sexual orientation, insinuating that sexuality is more complex and more difficult to define than race. Instead of two opposite choices, sexuality is not an issue that can be easily polarized between homosexuality and heterosexuality. There is no denying that Celie is sexually aroused when seeing Shug’s “titties near bout to the nipple,” but such a body-centered sensation or self-eroticism is based broadly on gratitude, admiration, friendliness, and camaraderie:

All the men got they eyes glued to Shug’s bosom. I got my eyes glued there too.
I feel my nipples harden under my dress. My little button sort of perk up too.

Shug, I say to her in my mind, Girl, you looks like a real good time, the Good Lord knows you do. (CP 79)

Celie writes to God how she feels when she hears Shug sing Miss Celie's song to her:

First she hum it a little, like she do at home. The she sing the words. It all about some no count man doing her wrong, again. But I don't listen to that part. I look at her and I hum along a little with the tune. First time somebody made something and name it after me. (CP 72)

Equally noteworthy is Celie's confession to God that, after she successfully nurses Shug back to good health, Shug's feeling toward Celie is more out of maternal tenderness than sexual attraction.

Even though Celie is a married woman with two children, Shug pronounces her a virgin in her own terms. According to the traditional definition, a girl loses her virginity the moment she is penetrated by a man. However, Shug teaches her a new way of interpretation in which the loss of virginity results from a girl having sex with a man and finding it physically and emotionally pleasurable at the same time. Shug's pronouncement of Celie as a virgin and renaming her as Miss Celie means that Celie has acquired a new identity literally or figuratively. Such renaming not only empowers Celie to develop a new ability to interpret the world, but also introduces another dimension of Celie's submerged story. On the one hand, Shug enables Celie to understand the existence of an alternative to the mainstream ways of thinking and perceiving imposed on her by the dominant members of society; on the other, she trains Celie to recognize such an alternative so as to nurture and develop a sense of control for the growth of her independence.

In her *The Bluest Eye*, as argued by Smith (55), that Morrison however attempts to indicate the fact that African-American cultures and histories and the positive images and stories inherent in them have been effaced by all-pervasive commodity capitalism whose "representation" is based on the visible models of the white images. Unfortunately, such a mass culture industry is insidious in that it is premised on consumption and the normative values conducive to it. As a result, prosperity is encouraged at the expense of class as well as ethnic and racial differences. As commented by Willis (183-84), when "social contradictions" and antagonisms are purportedly erased or concealed, African-Americans suffer double layers of reversal or "negation" because their racial forms and cultural distinctiveness are deprived of any chance of representation. Such disallowance produces damaging effects, especially for black women, because commodity culture intersects with sex, causing their bodies to become the domain marked by the colonization and chauvinism of white cultures.

Morrison uses her narrative tactic to represent black female subjectivity in the context of the subdominant ghetto as the complex reality which is shifting and layered in nature. Along the axes of economic prosperity as promised by commodity capitalism, ethnic differences have been seemingly smoothed away to the extent that social conflicts

have been resolved and, above all, replaced by equal desire to consume on the part of blacks and whites alike. However, Fredric Jameson (145) argues in his “Reification and Utopia in Mass culture” that false images in connection with sex conjured up by mass culture intentionally ignore the race-specific attributes of African-American consumers. The following is Pecola’s fascination with little May Jane, a picture on the candy wrapper:

Smiling white face. Blond hair in gentle disarray, blue eyes looking at her out of a world of clean comfort. The eyes are petulant, mischievous. To Pecola they are simply pretty. She... love Mary Jane. Be Mary Jane. (BE 50)

In fact, Pecola, through an abdication of self, endlessly reproduces images of feminine beauty in everyday objects and consumer goods such as the model of white baby dolls, Shirley Temple cups, and Mary Jane candies. Like all the other black females in the ghetto, Pecola believes that black bodies should conform to the aesthetic criteria homogenized by gender and cultural production purportedly engineered by the host society. These criteria fail to distinguish any ethnic distinctiveness beyond that of the majority whites. The fact that Pecola eventually believes that she has acquired blue eyes indicates that many black girls have been socialized, or to be more specific, “sexualized,” into the images onto which they project themselves in line with the mainstream society. Little wonder, Pecola cannot see her images in herself and eventually cease to be seen at all.

Like Pecola, quite a few black female characters foster a sense of lack and unworthiness because there are countless limitations in the present actions. In his *Female Sexualization*, Haug argues that, as girls mature, they will be socialized into a process of femininity production; namely, the subordination within and the “sexualization” of various body parts as the site of multiple discourses comprising femininity (211-12). Such female sexualization enables one to see oneself in the body of another. In their interaction with mass culture, black females are unable to present their specific stories, histories, and bodies because all these appear invisible in the eyes of whites.

Morrison’s comparison between various characters and the seemingly idyllic lives of Dick and Jane unavoidably breeds resentment and class consciousness which are not accounted for in the representations of mass culture. In Morrison’s eyes, to counteract the oppressiveness of the present, black women delusively delimit their psychological unrest and dissatisfaction by maximizing the extent to which mass culture¹³ makes the process of self-denial a pleasurable sexual experience.

IV. Resistance to or Acceptance of Racialized Gender Identities?

Not unlike Pecola, Walker’s Celie is first seen as completely subdued by men

¹³ American Marxism perceives the social impact of mass media and the mass culture they create as highly suppressive, because they “isolate individuals from one another” and forcefully integrate the public into the “norms” of everyday life. Please see *The Essential Frankfurt School Reader*, ed. by Andrew Arato, 1982. p. 103.

without autonomy and assertiveness. As Celie's sense of self is awakened by Shug, she becomes aware that her perception of herself should differ from how other people perceive her. As her self-analysis becomes increasingly developed and complicated, increased self-awareness leads to the growth of sexual awakening through Shug's education. Before, she believed that Mr. _____ beats her for "being me," but she is now being educated into believing that she can take control of her own situation by telling her own story and developing her "sense of self" (Henderson 2001: 74). It dawns on readers that Shug and Celie take on each other's attributes and form a reciprocal impact between them. For one thing, Shug transforms Celie into a sexually vibrant and assertive woman; for another, Celie softens Shug with love and care, rendering her gentler and more nurturing. It is at this moment that she is elevated to a level of female exemplum as "sister Celie" (CP 41) ¹⁴

In retrospect, Shug is exactly the type of instructor from whom Celie learns desire and self-fulfillment, as well as other practical, technical, and symbolic human values. Specifically included in her instruction is the standard connection between male sexual desire and the male desire to downgrade women. ¹⁵

What Celie emphasizes in her Mass speech (CP 288) is the dream of founding an Afro-American nation constituted by rich, complex, and ambiguous cultures. For this purpose, blacks should struggle for the separatist movements, but, as Butler-Evans comments, they are "marginalized by its absence from the narration" (166).¹⁶ Just as the novel stages the instance of American blacks' struggle to clarify their national identity, so Celie sets up, or, in Selzer's word, "resituates" her subjectivity within the framework of Afro-American national consciousness without using patriarchal language and its power of logic (68). In this context, Winchell (95) uses the term "twin self" to highlight the conflict between the abused Celie and her own inner self — that part of herself that eventually makes her fight back.

Walker also aims to enter the communal model of utopian representation, allowing the partnership between sisterhood and economic independence to play a central role in the novel. Lupton (413-14) suggests that Celie's empowerment is actually accompanied

¹⁴ As the mistress of Celie's husband, Shug cultivates in Celie an awareness that her life is worth loving and caring about. She also teaches Celie how to read, fight back, and love and, most importantly, how to appreciate her own specialness and uniqueness. Rich (209-10) uses the term of "lesbian continuum" to describe how the overturning of gender identity in the novel has spanned the whole spectrum of women's friendships and sisterly solidarity. In Lupton's words (416), Walker "defiantly subverts the heterophobic quest for love at the heart of the Cinderella Line, offering instead a melange of fluctuating woman/woman/sister/man/brother/family relationship."

¹⁵ *The Color Purple* does not seem to appeal to male readers because of Walker's "supposedly overly negative portrayal of African American men" and her "representation of the unrepresentable" (Abbondato 1113). In a sense, the black women's discourse in this novel also subverts the image-making about them in the mainstream media constructed by white males. However, this novel still largely shows the negative images of black men, making them look like "screwed up" "brutal bastards" (Milloy B3). In 1986, another article in *New York* magazine (Denby 56) labeled the subversive sexuality of this novel as incendiary "candy passing itself off as soul food."

¹⁶ In response to this, John Simon (56) comments in the *National Review* that *The Color Purple* is "unable to transcend the two humanly legitimate but artistically burdensome chips on its shoulder, feminism and Black militancy."

with the economic independence she wins with the sewing, quilting, and clothing enterprise in which she works with other African American women under the same roof in the workshop. Reluctant to be treated as a helpless object, Celie uses clothing design as a form of creative self-expression. Such a form of entrepreneurship becomes a means for her self-sufficiency. Walker seems to imply that sewing as a domestic chore can be a crucial means for a woman to free herself from oppressive situations. After Celie inherits the old property of her family, she wins her economic independence through the accumulation of money, stories, business, and a circle of friends to become a fully autonomous woman.

By contrast, in *The Bluest Eye*, the movie industry in Hollywood is one of the mechanisms that perpetuate negative images of American blacks. As borne out by Pecola's mother Pauline, the pleasure of femininity and sexuality provided by the culture industry, namely the silver screen, immediately provides a context in which black girls can depend and affirm their continued existence:

... Then the screen would light up, and I'd move right on in them pictures. White men taking such good care of their women, and they are all dressed up in big clean houses with the bathtubs right in the same room with the toilet... (BE 123)

Historically speaking, such cooptation was partly facilitated by the migration of African-Americans to northern industrial cities like Lorain, where the novel lays its scene, in the first half of the twentieth century. Removed farther away from the common culture of the rural South, the network of their communities was undercut, causing members to be reluctant to drop by and look after each other. Such a process of displacement or such a sense of being uprooted accelerated their separation from friends and families, thus forcing them to look elsewhere for a self-affirming context after they felt they had been isolated from the past.

In the absence of alternative cultural models, black females were unable to validate and endorse a virtue or to provide another competitive set of definition for femininity without having them tied up with mass-produced fantasies about women's physical beauty, even if they did not repulse the ethnic distinctiveness of African American girls. Pauline's immersion in the pleasure of the movie images reflects her desire for a presumably idealistic life which she does not have, and is unable to enjoy, except when she casts herself in the role of an ideal servant in her employer's household.

As Modleski (93-94) puts it, mass-produced items and images projected in commercials negatively affect a woman's behavior and attitudes toward sexuality. Also affected are those who interact with her on the level of the body. In order to experience and understand sexuality on her own, a girl tends to objectify herself based on types such as hairstyle and fair skin. Geraldine's adaptation to the standards of white beauty, Pauline's imitation of Jean Harlow's hairstyle, and the way the three prostitutes convert themselves from one feminine type to another are all cases in point. The fact that

Claudia's sister Frieda is also reduced to objectified types indicates that black girls widely project themselves in the images of white ladies in favor of a denial, repression, and abnegation of their own ethnic experience. After they deliberately edit and bleach out their bodies, an endeavor encouraged by the movie industry, black appearances, histories, and cultures are supplanted accordingly.

Awkward (72) agrees that the reason why Claudia feels repulsive arises from her inability to accept the standards of white America. As the narrator of *The Bluest Eye*, Claudia desires to dismember the little white dolls in search of the dearness, beauty, and desirability that have escaped her. Implicit in her retaliation against whites is an endeavor to claim back the specificity of bodies, places, ethnic histories, and the root of black communities. Claudia's cruel hatred for Shirley Temple, the presence of *Bojangles* in the movie, and the white dolls that do not look like herself but were given to her as a Christmas gift in place of what she really prefers is an unproductive tactic and action without meaning, simply representing her resentment at the system she is eager to dismantle.

As for the real heroine Pecola, mass circulation of femininity and the image-making by mainstream media have gestated in her an eagerness to disclaim her connection with African American culture. Instead, what she desires is to substantiate for herself a bland respectability in conformity with the portrait of the female body featured by store-bought images promoted by mass commodity culture. Since she has been brainwashed into identifying with women based on her non-representation (i.e., the false belief that being white is beautiful), her female subjectivity is slowly "objectified" by the popular iconographic representation into "the bluest I."

V. With or without a Phenomenal Selfhood?

If the essence of self-hood consists of voice and visibility in solidarity, the distinct language with which Celie articulates her unique existence enables her not only to cross what Myles calls the "borderlands" (44-45) but also to recover from marginalization. For the development of her female subjectivity, she performs an act of radical transgression into different landscapes where she has the biased order of sexist and racist hegemony redefined.

Marginalized society refers to the place where the existence and history of black females are threatened and where the communal or personal uplifting transformation must be actualized. Otherwise, African-American women cannot exceed or transcend oppressive boundaries for the renewal and development of their female consciousness. Literally or figuratively speaking, such borders can be physical, psychological, or metaphysical. Once the scope of black female vision is broadened after crossing the borders, their newly acquired identities can enable them to open new landscapes for their racial and gender consciousness.¹⁷

¹⁷ Morrison uses the color imagery of blue in *The Bluest Eye*, the eye color of white Anglo-Saxon girls, to indicate that many black females have been socialized, or, to be more specific, sexualized, into the images

Unfortunately, Morrison's Pecola is misled, in the process of sexualization, to identify herself in accordance with whatever appearance and behavior of the properly idealized white women as prescribed by the medium of the Hollywood film industry in the forties. Constant circulation and mass dissemination of the popular images such as the faces of Ginger Rogers, Jean Harlow, Greta Garbo, and Shirley Temple in *The Bluest Eye* exaggerate and reintroduce romantic love and physical beauty in a way that has excluded both the standards and the cultural modes of African-American females.

Without doubt, feminist writers such as Morrison and Walker seek to explore into the historical context of women's treatment and occupations. Since a woman's consciousness of the self is largely defined by gender, both writers explore the social, political, and personal meanings of being female. They support the notion that a transformation of female subjectivity can either empower or undermine the consciousness of her individuality.

The essential process of self-definition has long been complicated and intervened by the patriarchy of a repressive society that tends to define female writers as excluded, displaced, and disinherited. As black feminist viewers and readers, Morrison and Walker draw on their self-defined liberative acts of moving from pained and marginal existence to power. Through their conscious act of refiguring black women in the hegemonic order of patriarchal supremacy, both writers struggle to remain at the center of dominant discourse, aiming to contextualize the stereotypical images of black females whose quality of life is affected by their identities and the relationship among sexism, classism, and racism.¹⁸ To elaborate on black female subjectivity, both writers use their narratives of (non)resistance to highlight the daily abuses faced by their heroines, believing that the ideology of resistance, once politicized and initiated, can enable an expansive and creative self-actualization for readers and fictional characters alike.

In terms of Metzinger's SMT, Pecola never experiences the contents of her conscious self as the contents of the representational process. Instead, she simply lives in the world right now as in a depersonalized state where consciously experienced first-person perspective does not exist. In other words, caught in a system of naïve self-misunderstanding, Pecola experiences non-subjective consciousness as a pure or disembodied spirit. The attentional unavailability, i.e. being "not attentionally available" in Metzinger's words (331), or distortion of the earlier information processing system in Pecola's brain, makes her phenomenal representation transparent, causing her system to be entangled in naïve realism without the prospect of reaching "introspection" (263). As

onto which they project themselves in tandem with the image of femininity engineered by mainstream society. On the contrary, Walker uses "the color of eggplant" (CP 84) and "the color purple in a field" (CP 191) as created by the un-gendered God to stand for the assertion of one's ethnicity in resistance to the image-making by mainstream society.

¹⁸ Morrison's tone is not as overly aggressive and antiseptic as that of Walker whose language reveals pain and detached numbness that can easily bring readers into the detached society in which Celie lives. In Celie's first-person account of the institutions of sexism and racism, she succumbs to the belief that to fight back against men is too dangerous, fatalistic and self-defeating. In fact, minor characters such as Shug, Squeak, and Sofia all use ironic repartees and backtalk to negotiate legitimacy with white men in the face of sexism and racism (CP 90).

her phenomenal experience is overshadowed by a pseudo- or “untranscendable” realism,¹⁹ she is vulnerable to being plagued by psychiatric disorders or schizophrenia.

As elaborated by Metzinger (563), if a representational state cannot be integrated into the phenomenal self model, it automatically becomes “a part of the world-model and its content is now experienced as external.” Pecola’s blue eyes drop out of the phenomenal self because her system is for some reason unable to integrate them into the globally available partition of her self-model. Phenomenally speaking, those blue eyes would then not be her own body part anymore. In Metzinger’s terms, it is an “out-of-body experience,” a specific kind of phenomenal content “normally constituted by the bodily self in the absence of a body” (488).

In contrast to Pecola’s “phenomenal transparency,” Celie’s phenomenal self-consciousness is underlined by “all higher-order and conceptually mediated forms of self-consciousness, and this nonconceptual form of selfhood constitutes the origin of the first-person perspective” (158). It is this phenomenal selfhood that makes Celie an experiential subject.

Out of conceptual necessity, this paper operationalizes Metzinger’s SMT to explain how Celie’s personal identity develops in her conscious experience, a process through which she acquires her intrinsic essence, individuality, and above all substantiality. Her phenomenal experience enables her to become a unique, indivisible, and independent entity that in principle exists all by itself in the possession of intrinsic properties and an unchangeable “innermost core” (563). Such a conscious and representational content on the level of phenomenal experience is evolutionally advantageous and epistemically justified, because her phenomenal property of the epistemic subjectivity is closely correlated with her phenomenal selfhood. As she experiences herself as “being identical through time,” (302) her phenomenal self-consciousness develops into a “coherent whole” capable of acquainting herself with the fundamental contents of self-consciousness. As testified by Metzinger in his clinical history, one of his patients who had been repeatedly sexually abused by her stepfather successfully integrated “the different phenomenal selves in the course of a therapeutic process” (524). In the end, she attempted to “save her personal integrity by splitting her phenomenal self,” a case highly reminiscent of what Celie has been through in the preceding textual analysis.

Celie’s case exemplifies a perceiving self as the subject component of “the self- or subject-model;” while Pecola remains in her perceived self as an object component that is, technically speaking, only a “system-model, but not a subject-model,” to borrow Metzinger’s terms (489). Unfortunately, Pecola’s phenomenal selfhood (i.e., the phenomenal content of the internal representational behavior or states) never becomes real. In contrast, Celie’s subject component is formed by the content of her currently subjective

¹⁹ In French existentialist feminist Simone de Beauvoir’s classic *The Second Sex*, transcendence means men’s free-subjectivity above mere life. In comparison, women can only exist as victims in the processes of nature that repeat in endless cycles —“maimed, mutilated, dependent, confined to a life of immanence and forced to be an object.” As proposed by Beauvoir, while humanity transcends, women are imprisoned to a life of immanence. Please see Rosemarie Tong’s *Feminist Thought*. p. 210.

phenomenal self underlying a much higher degree of coherence and stability. In Metzinger's dialectic of intentionality relation, Celie experiences herself as the thinker of her own thoughts. Capable of consciously experiencing the cognitive first-person perspective as a rational and introspective individual, Celie not only portrays a self in the act of knowing but also exercises mental representations within herself in a goal-directed manner.

In a larger context, what is so characteristic and suggestive about black women's writing, including that of Walker and Morrison, is:

... its interlocutory, or dialogic, character, reflecting not only a relationship with the 'other(s),' but an internal dialogue with the plural aspects of self that constitute the matrix of black female subjectivity. The interlocutory character of black women's writing is, thus, not only a consequence of a dialogic relationship with an imaginary or 'generalized Other,' but a dialogue with the aspects of 'otherness' within the self. (qtd. in Snelling 110) ²⁰

As feminist writers, both Walker and Morrison seem to believe that subjectivity and consciousness can be realized by crossing fixed boundaries, a movement from beyond, within, and in-between what Myles calls "space of difference" (4). ²¹Drawing on the perspectives of other black feminist predecessors, such as Pauline Hopkins, Nella Larsen, Ann Petry, and Paule Marshall, both Morrison and Walker are concerned about how to substantiate a change to black female identity, focusing on the challenges faced by their protagonists as to how to move toward the self outside the view of hegemony and how to rejuvenate their female psyche simultaneously.

Conclusion

If subjectivity is defined as a sense of the self and identity, it also means a stream of consciousness. Without a doubt, Celie's letters "constitute the matrix of black female subjectivity" with her inner private speech flowing uninterrupted. She finally manages to make sense of the chaotic and disorganized world, restore her faith in humanity, and come

²⁰ The borrowed words are from Mae Gwendolyn Henderson (1989: 17-18), as quoted by Sonia Louise Snelling in her doctoral thesis, entitled "'I had imagined myself into being': Storytelling Girls in Children's Fiction from the Beginning and End of the Twentieth Century," p. 110.

²¹ This expression also means shuttling in and out of subjectivity. To Myles, space or border also means the community. Female transformation presupposes locating space for the development of female subjectivity (66). Treating the growth of female subjectivity as a recurring theme and concern, Myles foregrounds the theoretical frame of "transient women" as a new working model that aims to explain how black females can affirm their subjectivity. The word "space" also corresponds to Carla Peterson's concept of the margin as a radical space of openness and possibility. As the site of both repression and resistance, this space serves as a point of departure for black female consciousness to develop. However, the marginal space here is not necessarily secure or creative, causing many unable to construct new identities and perspectives of black womanhood (Peterson 7).

to peace with nature in the belief that God is not merely a man but “everything” (CP 286). Celie’s subjective inner-workings are further consolidated by sisterhood and racial consciousness into a shared feeling of care and affection among female co-ethnics, a concept similar to what Gabriel Marcel called “inter-subjectivity,” meaning the process of psychological energy moving between two or more individuals partaking in a public world.²² In her textualities, Walker essentializes Celie’s “phenomenal self-consciousness” by subverting the policing power of the state in particular and shattering the boundaries of geopolitical spaces in general; whereas, Morrison’s Pecola is unable to stand up, express herself, have a life full of joy, attain belongingness and realize self-determination. In a state of “phenomenal transparency,” her “out-of-body experience” and “disembodied spirit” cannot be transformed into strength and a changed female consciousness. Unlike Celie, Pecola never consciously experiences the phenomenal property of her selfhood in the sense that she never goes through any liberating and self-defining stage of development that is either transgressive or transformative enough to qualify her as a “transient woman.”²³

Lacking relationships with female friends who can help her anchor her orientation (i.e., intersubjectivity), Pecola is unable to heal and develop a unique life perspective, allowing her split consciousness, shattered sense of self and inauthentic subjective identity to be misled, submerged and overwhelmed by commodity culture and what Hennessy calls capitalistic consumerism (73-74). Her reluctance to overcome obstacles for the maintenance of an independent subjectivity results in a gendered and racialized subject-hood, the one as prescribed by relentless and inexorable society. Since subjectivity means consciousness of self in relation to others, Pecola never seeks to change the opposing views held by the dominant white males about black females. As a result, she relegates herself to a permanent status of the “others” whose existence is for the subjects to observe, instead of observing them as subjects in return. In contrast, Celie’s life history can be integrated into the generic elements of resistance over submission. Like Walker who creates her, Celie also perceives literacy or letter writing as a liberative tool with which to engage in her ethics of resistance. She aims to elevate herself into the realm of racial and gender consciousness, ultimately causing her phenomenal selfhood to be closely related with the phenomenal property of her epistemic subjectivity. Her narratives in the latter half of the novel even epitomize the cogent textual evidences that constitute

²² Gabriel Marcel (1889-1973) was a French existentialist or philosopher of existence who argued that active participation may be either objective or non-objective. Non-objective participation may include subjective participation. However, non-objective participation may also include intersubjective participation. Intersubjectivity (or shared subjectivity) may bring unity to our being in the world. Please see Thomas Anderson’s *A Commentary on Gabriel Marcel’s The Mystery of Being*.

²³ Myles (9-10) proposes a five-stage process for a heroine’s transformation into a woman with enlightened subjectivity. These five stages are conceptualized as essential, because black females must recuperate their history from their colonizers through these five stages. They are: innocence, consciousness, rebelliousness, flight, entering women-centered places for renewal, and reentry into hegemonic society. According to Myles, when a “transient woman” engages in and completes these five stages, she can move toward sites outside the dominant order. The theoretical structure of Myles’ five-stage model has been treated as a paradigm by which to examine how African American women shift toward self redefinition, maintain spiritually and physically intact in resistance to violence, and save their history and time from extinction.

the transnational dimension of the slavery system.

Moving beyond the intricacies of enslavement, Walker and Morrison explicate their works in such a way as to allow readers to access, illuminate, and investigate the shaping influences of slavery. Only after the vivid accounts of violence and deprivation under that system are fully studied can readers recover from the crippling effects of Jim Crow laws and their suppressive hegemony. In sum, Morrison and Walker as literary figures have a troubled and tormented relationship with the female identity. As female writers, writing is an agony for each, because gender is a painful and debilitating obstacle in the Jim Crow context. Both writers try to read and write in multiple voices, and their works indicate that African American female writers can also make a great deal of contribution to American multiculturalism as a whole.

This paper focuses on how Celie, as a perceiving self who experiences the cognitive first-person perspective, can avoid repeating the course of life taken by Pecola. To the contrary, as a perceived self existing in the world of phenomenal simulations (as opposed to representations), Pecola lives her life without an egocentric frame of reference, and degenerates from self-effacement to self-destruction after being brainwashed by the mainstream ideas of cultural citizenship. On the other hand, Celie ascends from self-denial to self-affirmation and ultimate empowerment, even if she has been victimized by the combined totality of imperialism and patriarchy. To advance the argument regarding how one differs from the other, this paper laboriously elaborates on the development of female consciousness in a larger context of gender and race in general, or feminism and ethnic identity in particular, along the conceptual framework of the Self-model Theory of Subjectivity (SMT) that seeks to explain the development of one's "phenomenal self." Worth noting is the fact that much more emphases are put on the private sector of family domesticity than the political dimension of racial segregation. It is believed that succeeding topics like this in either literary or cultural studies, including the study of feminism, could significantly provoke more studies in the future.

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英語閱讀：有效的理解策略教學活動

沈富源*

摘要

文本理解教學(text comprehension instruction)藉著教導閱讀理解策略，增進學生文本理解的能力。思慮愈精熟的讀者，愈會善用各種理解策略來面對閱讀的挑戰；反之，閱讀不佳者則是因為不懂運用理解策略，所以無法克服理解上的困難。本文的主旨是，探討如何設計有效的理解策略教學活動。論文首先簡要說明美國全國閱讀研究小組(National Reading Panel)所提出的理解策略，及其在閱讀教學的重要性，並且討論教學活動設計的基本原則。然後，本文分別介紹改寫練習(paraphrasing)、互動式教學(reciprocal teaching)、教導故事結構認知(teaching narrative text structure awareness)、促進閱讀理解的聽講活動(speaking and listening activities)、合作式策略性閱讀(Collaborative Strategic Reading, CSR)等教學活動。這些教學活動可以實施在一般的閱讀課上，增進學生的英語閱讀理解能力。

關鍵詞：文本理解教學、改寫練習、互動式教學、文本結構認知、聽講活動、合作式策略性閱讀

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English Reading: Effective Comprehension Strategy Instruction

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Abstract

Text comprehension instruction aims to improve students' reading comprehension by teaching them comprehension strategies. Proficient readers employ multiple comprehension strategies to meet the challenges in reading; on the other hand, struggling readers have no idea of making use of comprehension strategies, thus being unable to overcome reading difficulties. The main purpose of this article is to explore how to design effective strategy instruction. The study first identifies the comprehension strategies proposed by the National Reading Panel, addresses their importance in reading teaching, and discusses the basic principles of creating teaching activities. Subsequently several teaching activities are introduced, e.g. paraphrasing, reciprocal teaching, teaching narrative text structure awareness, speaking and listening activities, and Collaborative Strategic Reading. These instructional activities can be applied in the reading class to enhance students' text comprehension ability.

Keywords: text comprehension instruction, paraphrasing, reciprocal teaching, text structure awareness, speaking and listening activities, Collaborative Strategic Reading

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壹、前言

理解在閱讀教學中是非常重要的環。如果讀者只是閱讀，但卻不懂所閱讀的內容，那麼閱讀便是枉費心力，不算是真正的閱讀。要有好的閱讀理解，必須先培養良好的閱讀習慣和方法。良好的閱讀是有目的性(purposeful)，而且是主動的(active) (Armbruster, Lehr, & Osborne, 2001)。讀者在閱讀之前就應該有明確的閱讀目標。例如，他們可能因為要知道如何使用食物調理機而閱讀；他們可能會讀一本旅遊指南，因為想要知道即將前往的旅遊景點的資訊；他們會閱讀教科書，因為課業的要求；他們會為了娛樂而讀雜誌，或是為了欣賞文學，而閱讀經典名著。此外，優秀的讀者更是主動的，即在閱讀的過程中，他們會主動積極地思考所讀到的訊息。他們會根據自己的經驗，運用單字和句型結構的知識，以及閱讀理解策略，解決閱讀上所遇到的困難。所以，好的閱讀者可以清楚地瞭解文本的內容。當遇到問題時，他們自己會意識到正遭遇到問題，並且設法解決問題。

文本理解教學(text comprehension instruction)藉著教導閱讀理解策略(comprehension strategies)，增進學生文本理解的能力。教學研究顯示，文本的理解是可以經由教學得到改善。特別是，教導學生一些閱讀理解策略，確實可以改善理解能力(Block & Pressley, 2002; Kincade & Beach, 1996; Pearson & Fielding, 1991; Pressley, 2006; RAND, 2002)。思慮愈精熟的讀者，愈會善用各種理解策略來完成閱讀的挑戰；反之，閱讀欠佳者則是因為不懂運用理解策略，所以無法克服理解上的困難(Lenski & Nierstheimer, 2002; Paris, Wasik, & Turner, 1991)。

本文的主旨是，討論如何設計文本理解策略的教學。論文首先簡要說明何謂理解策略，及其在閱讀教學的重要性，然後探討教學活動設計的原則。最後，本文分別介紹改寫練習(paraphrasing)、互動式教學(reciprocal teaching)、教導故事結構認知(teaching narrative text structure awareness)、聽講活動(speaking and listening activities)、合作式策略性閱讀(Collaborative Strategic Reading, CSR)等教學活動。這些簡易有趣的教學活動，可以在課堂上實施，促進學生的英語閱讀理解能力。

貳、閱讀理解策略

美國全國閱讀研究小組(National Reading Panel, NRP) (National Institute of Child Health and Human Development, 2000) 從現有的教學研究文獻中，歸納出六項主要的閱讀理解策略，以及二項次要的閱讀理解策略。這些閱讀理解策略都是經過實證研究的檢驗，確實能夠有效地提昇學生的理解，可以當作理解策略教學的準則。

一、主要的閱讀理解策略

閱讀理解策略是指在閱讀時，所採取刻意的、有意識的計畫來克服文本理解的障礙，亦即是一系列的理解步驟。NRP 列出六項具體的閱讀理解策略，當作學習的目標。這六項理解策略都是經過教學研究證實，可以有效地提昇 L1 和 L2 學生的文本理解 (August & Shanahan, 2006)。以下說明這些理解策略的功能(Armbruster, Lehr, & Osborne, 2001)。

- 1 監測理解(monitoring comprehension)：會監測自己閱讀理解的學生，能夠清楚地

知道自己讀懂什麼，還有哪些是讀不懂的¹。而且，當遇到閱讀上的問題時，他們會設法解決問題。即使是低年級的學童，經由教學指導，也可以學會監測自己的閱讀。監測閱讀理解要學生留意他們懂得的內容，找出哪裡是他們不懂的，運用適當的解決策略(fix-up strategies)排除理解上的疑惑。監測理解有下列的方法：

- 指出文本中哪一段或哪一頁，有理解困難。
 - 理解困難的癥結點是什麼？
 - 用自己的話，重述難以理解的句子或片語。
 - 回顧文本，重新思考文意。
 - 在文本中往前閱讀，找出有助於解決問題的訊息。
- 2 使用圖形和語意組織表(using graphic and semantic organizers)：利用表格(diagrams)或圖形設計(pictorial devices)，清楚展示文本中，概念和概念之間的聯結關係。圖形組織表有很多種形式，例如，地圖(map)，線網(web)，圖解表(graph)，圖表(chart)，表格(frame)，群聚表(cluster)。語意組織表又稱為語意地圖(semantic map)，或語意線網(semantic web)，指的是像蜘蛛網狀般的脈絡，中間有一個主要的核心概念，而聯結出去的線條都是與此核心概念相關的觀念。圖形組織表適用於資訊式的文本(informational text)，尤其是學生閱讀自然科和社會科的文章，有助於理解其文本所表達的概念。圖形組織表也可運用在閱讀敘述性的文本(narrative text)，畫出故事地圖(story map)。簡而言之，圖形和語意組織表有下列的功能：
- 幫助學生把注意力聚焦在文本的結構。
 - 利用圖表的視覺效果呈現概念之間的關係，讓學生容易理解文本內容，而且方便閱讀後的複習。
 - 幫助學生寫出組織良好的文本摘要。
- 3 回答問題(answering questions)：教師利用問題引導和監督學生的學習。這種提問的教學策略，已行之有年。Duke and Pearson (2002)指出，老師的提問問題確實可以增進學生的閱讀理解。提問能有效地促進學生的閱讀理解，主要是因為提問的問題能夠：
- 讓學生有明確的閱讀目的；
 - 使學生的注意力專注在閱讀的內容；
 - 幫助學生主動地思考；
 - 鼓勵學生監測自己閱讀理解的狀況；
 - 協助學生複習文本內容，聯結現在和以前學過的知識。

教師可以教給學生二項回答問題的技巧：(1)回顧文章；(2)思考問題與答案的關係。在初次閱讀之後，仍然無法回答問題，最直接的方法是，把文章再讀一遍，回

¹ 理解監測(comprehension monitoring)屬於一種後設認知(metacognition)的能力。後設認知的定義是「思考自己的思考」(thinking about thinking)。有後設認知能力的學生，會思考為什麼這裡懂，為什麼那裡不懂。熟練的讀者會利用後設認知策略，監測自己的閱讀理解程度。

顧文本找出可能的答案。另外，思考問題與答案的關係，可以讓學生瞭解，在文本的何處可以找到答案的線索。答案的線索可能出現在下列三種情況：

- 明確地出現在文本中(text explicit)：文章中某一個句子，清楚地提供必要的答題訊息。
 - 隱約在文本中(text implicit)：由二個以上的句子，間接地提示答題的訊息。
 - 在文本之外(scriptal)：答題的訊息存於在文本之外，讀者必須依據自己先前既有的知識、經驗回答問題。
- 4 設計問題(generating questions)：教導學生自己設計問題，可以讓學生積極地去理解消化文本的內容，進而提昇閱讀理解(Duke & Pearson, 2002)。藉由設計問題，學生會意識到他們是否能夠找出答案，正確地回答問題，並且檢視自己是否真正理解文本。教師要教導學生設計一些必須整合文本中各種訊息的問題，例如文章的主旨是什麼？
 - 5 辨認故事結構(recognizing story structure)：故事結構是指故事的事件，如何編排成情節的方式。辨認故事結構可以幫助學生理解與欣賞故事，並且容易記住故事內容(Baumann & Bergeron, 1993; Dymock, 2007)。在故事結構認知教學裡，學生要學習何謂背景、開場事件(initial events)、人物內心的反應(internal reaction)、動作的目的、故事的結局，以及安排這些故事元素的手法(Calfee & Patrick, 1995; Dymock & Nicholson, 1999)。教導故事結構可以利用故事地圖(story maps)認識故事架構。故事地圖是一張組織表，展示故事情節發生的先後順序。
 - 6 作摘要(summarizing)：摘要是綜合文本中重要的概念(Dole, Duffy, Roehler, & Pearson, 1991)。在寫摘要時，學生需要先決定文本裡有什麼重要的資訊，然後再濃縮(condense)成主要的概念。學生並且需用自己的語彙，敘述這些重要的概念。寫摘要能夠幫助學生：
 - 確認或產生主要的概念；
 - 聯結文本中主要的概念，有助於融會貫通文意；
 - 去蕪存菁，刪除多餘或不必要的資訊；
 - 記住文本的內容。

二、次要的閱讀理解策略

除了上述六項閱讀理解策略，另外還有兩項閱讀理解策略，雖非對閱讀理解有絕對的影響，但是也得到部分教學研究的支持，被認為能夠促進文本理解：

- 運用先前的知識(making use of prior knowledge)：鼓勵學生在閱讀時，運用以前學過的知識或相關的經驗在目前閱讀的文本 (Anstey & Freebody, 1987; Keene & Zimmermann, 2007)。教師可以幫助學生利用先前的知識來理解文章，具體的方法是，在閱讀之前做預習，向學生提問：是否知道文章相關的內容(例如主題、概念、時代背景)？是否認識作者？能否預測作者會用什麼樣的文本組織結構？
- 使用心智的意象(using mental imagery)：好的讀者在閱讀的過程，會想像文本內容，在腦海中形成圖像(Guerrero, 2003; Pressley, 2001; Sadoski & Paivio,

2001)。擅於想像的讀者會有較佳的理解，所以鼓勵學生在閱讀時，多構思視覺形象(visual image)，例如想像故事中的背景、人物、事件。

參、理解策略的教學原則

學生可以經由教師的指導，學會使用閱讀理解策略。教學研究顯示，最有效的閱讀理解策略教學是，教師直接明確地教導學生，使用理解策略的目的和時機(Block & Pressley, 2002; Calfee & Patrick, 1995; Gaskins, 2003; RAND, 2002; Sweet & Snow, 2003)。學生必須學會靈活地應用各種理解策略到自己的閱讀。教師可以採取以下的教學步驟，傳授理解策略(Armbruster, Lehr, & Osborne, 2001)：

- 直接解釋：教師明確地解釋閱讀理解策略的用途，告訴學生何時應用閱讀理解策略。
- 示範：老師在教課文時，使用「出聲思考」(thinking aloud)的方式，示範在閱讀過程中，如何應用閱讀理解策略。
- 引導式練習：教師提供閱讀的機會，讓學生練習理解策略的使用方法。
- 應用：教師幫助學生反覆練習閱讀理解策略，一直到學生可以獨立地運用理解策略。

另外，Pilonieta and Medina (2009)認為有效的理解策略教學應該要有三個要素：(1)直接的教學；(2)逐漸釋放責任給學生，使學生能夠獨立應用理解策略；(3)教導學生靈活運用多重的理解策略。總而言之，文本理解策略的教學模式基本上為：解釋、示範、應用(Roehler & Duffy, 1984)。教師必須講解閱讀理解策略，並且引導學生練習各種理解策略。

肆、理解策略的教學活動

依據上述的閱讀理解策略和教學原則，本文從最新的閱讀教學文獻中，篩選出幾項實用的教學活動：改寫練習、聽講活動、互動式教學、教導故事結構認知、合作式策略性閱讀。這些教學活動都有研究根據，經過教學實驗確認可以培養學生的文本理解策略，提昇閱讀理解能力。

一、改寫練習(paraphrasing)

文本改寫(paraphrasing)被認為是有效的理解策略教學活動，可以增進學生的閱讀理解(Bakken, Mastropieri, & Scruggs, 1997; Ellis & Graves, 1990; Schumaker & Dreshler, 1992)。因此，Kletzien (2009) 倡議用改寫取代摘要練習(summarizing)，培養學生的閱讀理解技巧。改寫是學生用自己的話，加上自己對文本的理解，重新改寫文本原有的句子。學生做改寫練習時，必須啟動舊有的知識，聯結現在所閱讀的新內容，形成知識存取線索(retrieval clues)，整合新舊知識。這樣的認知過程是閱讀理解中，很重要的一部份(Kintsch, 1998)。此外，文章的改寫練習可以幫助學生監測自己的理解，使他們知道對文章內容瞭解的程度，也有助於記住文本的內容。

改寫練習通常被視為與寫摘要一樣，但其實改寫遠比寫摘要容易。寫摘要時，必須從原文中找出主旨句，或是自己寫出主旨句，刪減文本中多餘、不重要的資訊，還要濃縮成原文的三分之一。這樣複雜的過程需要更多認知上的負荷。相反地，改寫不需要讀者耗費太多的思考，分辨文章中主要與次要的訊息，更不需要找出或自

已寫出主旨句。所以，改寫文本比起寫摘要，在理解認知的負擔較輕，學生比較容易練習。改寫練習是理解策略教學中，易於實施的入門活動。

實施改寫練習的教學程序為：講解、示範、應用。教師首先向學生解釋閱讀文本的認知過程。在開始閱讀時，縱使程度高的讀者，仍然會遇到難以理解的文句而停頓，暫時離開文本，思索其涵義。告訴學生在閱讀過程中，前後來回不斷地摸索意義，不失為一項閱讀理解的好方法。然後，教師示範改寫句子。教師選用的文章要符合學生的程度，文章不要過長，文類可以是故事或說明文(expository)。教師可以用「出聲思考」的方式，示範改寫文本。在示範的過程，教師儘量不要事先記住某些段落的内容，以便可以示範如何解決我們不懂的部分。教師在示範改寫時，可以問學生：「是否有遺漏的句子，沒有做改寫？」教師每天示範三到四段文章的改寫，同時邀請學生一起做改寫練習。最後，當學生開始參與改寫句子，教師可以漸漸地減少改寫，讓學生獨立練習改寫。

二、互動式教學(reciprocal teaching)

Palincsar and Brown (1984) 設計互動式教學法，教導學生綜合使用四項理解策略：預測(predicting)、澄清(clarifying)、提問(questioning)、作摘要(summarizing)。在閱讀文本前，做預測；閱讀中，澄清不懂的單字和概念。在閱讀中或閱讀後，提出問題檢視自己的理解狀況，最後做摘要練習。

為了加強學生對這四項理解策略的印象，Oczkus (2010) 建議教師可以把這四項理解策略擬人化，變成故事人物來介紹其作用。Oczkus 暱稱這四種理解策略為「超棒的 4 人組」(The Fab Four): 寶拉-預言家(Paula the Predictor)，克萊倫斯-解惑者(Clarence the Clarifier)，昆恩-出題者(Quinn the Questioner)，山姆-摘要的寫手(Sammy the Summarizer)。這些人物的名字與理解策略的名稱，均有相同的開頭字母，讓學生產生聯想，容易記住該項理解策略。以下是用閱讀 *Wolves in Yellowstone* (Houk, 1995) 為例子，教師假扮成四個人物，解釋這四項理解策略的作用。

- 寶拉-預言家(Paula the Predictor)

教師戴著圍巾，手拿水晶球裝扮成算命師，自我介紹：

Hello, I am Paula the Predictor, and I love to make predictions about the future. I also love to make predictions about what is going to happen in books. Let me look at this book and make a prediction. I see pictures of wolves and hunting, so I think I will learn how wolves hunt and live. What do you think you will learn from this book? (Stricklin, 2011, p. 620)

- 克萊倫斯-解惑者(Clarence the Clarifier)

教師戴著手套，拿著放大鏡假扮偵探，對著學生說：

Good morning, I am Clarence the Clarifier, and I like to solve mysteries. I look for clues that help me understand words and ideas. I see this word pack [hold magnifying glass over the word]. I know I can get clues by reading before and after the word. Ah, I see that wolves can be in a pack or wolves can be alone. If you're not alone, you're with others, so pack must mean a group of wolves. That reminds me of a six pack of Coke. Another important part of my job is interviewing people. Who can tell me more about a pack? (Stricklin, 2011, p. 621)

- 昆恩-出題者(Quinn the Questioner)

教師拿著麥克風，假扮益智遊戲節目的主持人，自我介紹：

Welcome to the game show Reading Is Fun, where you get the chance to ask and answer questions for a cash prize! I'm your host, Quinn the Questioner. I'll ask the first question for \$100. Who can answer the following "what" question: "What is the name for a group of wolves?" [student answers correctly] That's right! You win \$100! [hand out play money] Now, who can ask a "why" question for \$1,000? (Stricklin, 2011, p. 621)

- 山姆-摘要的寫手(Sammy the Summarizer)

教師裝扮成頭戴帽子、手拿套索的牛仔，介紹自己：

Howdy, folks. I am Sammy the Summarizer. I like to lasso cows, but I also like to lasso information about a story. The information has to be short and to the point [make lasso small]. This page was about how black, gray, and silver-blue wolves gather in a pack and howl at the moon. Yeehaw—that's it! (Stricklin, 2011, p. 621)

為了增進學生對這些理解策略的瞭解，Stricklin (2011) 建議利用一些手作的視覺教具，例如海報、紙盤指針(paper plate dials)、發言句(sentence starters)。

- 海報：壁報紙寫上理解策略的名稱，張貼在教室，提醒學生在閱讀過程中，適時地使用這些理解策略。
- 紙盤指針：紙盤的盤面均分為四個區塊，分別標明四項理解策略：預測、澄清、提問、摘要(圖一)。紙盤中間設置指針，讓學生在閱讀過程中，如果需要運用到哪一項理解策略，就撥動指針到該項理解策略。如此一來，學生就可以很清楚知道所用到的理解策略，以便自己和其他同學把注意力和思考，聚焦在該理解策略上。

圖一
理解策略的紙盤指針



取自 Stricklin (2011)

- 發言句：教導學生一些在使用理解策略會用到的關鍵句子，幫助學生做小組討論，例如：
預測：“I wonder ...” or “I think that ...”
澄清：“I was confused about ...” or “I don't understand ...”
提問：“How ...?” or “Why ...?”
摘要：“The author wants us to know ...” or “This big idea is ...”

互動式教學可以用整班的方式進行，也可以用分組討論的方式。學生進行小組討論互相交換意見，同時也練習使用理解策略。教師可利用以下的方法，鼓勵學生發言，活絡小組討論(Stricklin, 2011)。

- 夥伴分享(partner sharing)：把你的預測告訴同伴。
- 反應卡(response cards)：如果同意別人的意見，舉起笑臉卡(smiley face card)；不讚同則舉起愁容卡(frown face card)。
- 面對面(face-to-face)：把你的摘要，告訴坐在你對面的同學。
- 遞字條(passing notes)：把不懂的單字或概念，寫在字條上遞給其他同學。

互動式教學的效益已廣泛驗證在以英語為母語的學生(Ash, 2005; Goodman, 2005; Oczkus, 2010; Palincsar & Brown, 1986; Spörer, Brunstein, & Kieschke, 2009)。同時，教學研究也確認，互動式教學可以幫助英語學習者(English Language Learners)增加單字量和閱讀理解(García, Jensen, & Scribner, 2009)。

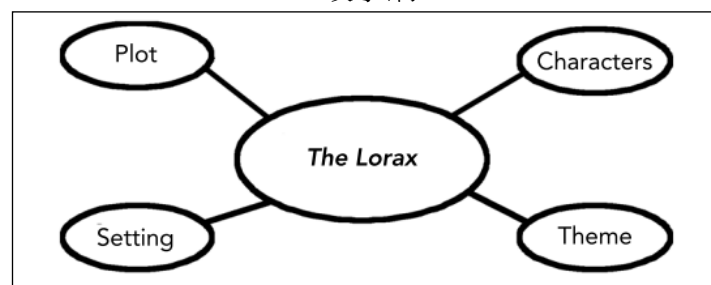
三、教導故事結構認知(teaching narrative text structure awareness)

故事結構的認知有助於提昇學生的閱讀理解(Baumann & Bergeron, 1993; Calfee & Patrick, 1995; Dymock & Nicholson, 1999)。教學研究顯示，熟悉故事結構的讀者，在閱讀理解上較少有困難。故事結構其實可視為故事文法(story grammar)。故事文法是一套創造、敘述故事的規則(Rayner & Pollatsek, 1989)。在故事文法裡，最重要的基本元素有背景、主題、人物、情節、事件的結局。教師需要教導學生以下故事結構的基本概念：

- 背景是指故事發生的時間、地點。
- 主題是指潛藏在故事中，作者想要傳達的訊息。所以，主題是有待讀者的詮釋。主題可以說明故事人物的動機，或評論一般社會現象。探索主題時，讀者要問：作者為何創作此故事？
- 故事人物可分成主要和次要角色。讀者可以分析故事人物的外貌、個性，找出人物之間相同與相異的特徵。
- 構成故事的整體情節有四項要件：引發故事衝突的問題，對問題的反應，解決問題所採取的行動，最後的結果。

Dymock (2007) 建議教師可以利用故事網(story web) (圖二)，教導學生認識故事的整體架構。整個故事是由背景(setting)、情節(plot)、人物(characters)、主題(theme)所組成，然後再分別說明各個故事元素的細節。

圖二
故事網

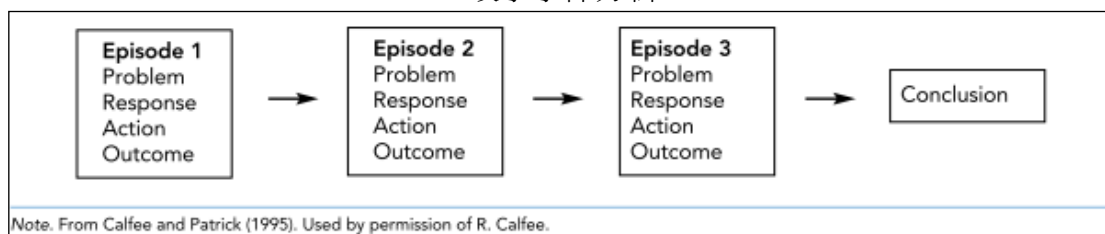


取自 Dymock (2007)

以情節為例，教師需要教導學生分析故事中所發生的事件(episodes)。做事件分

析，應考慮到每一事件所發生的問題(problem)，故事人物對問題的反應(response)，所採取的行動(action)，以及事件最後的結果(outcome)。整篇故事是由數個事件橋段聯結而成，然後得到最終的結局，形成一個完整的故事(圖三)。

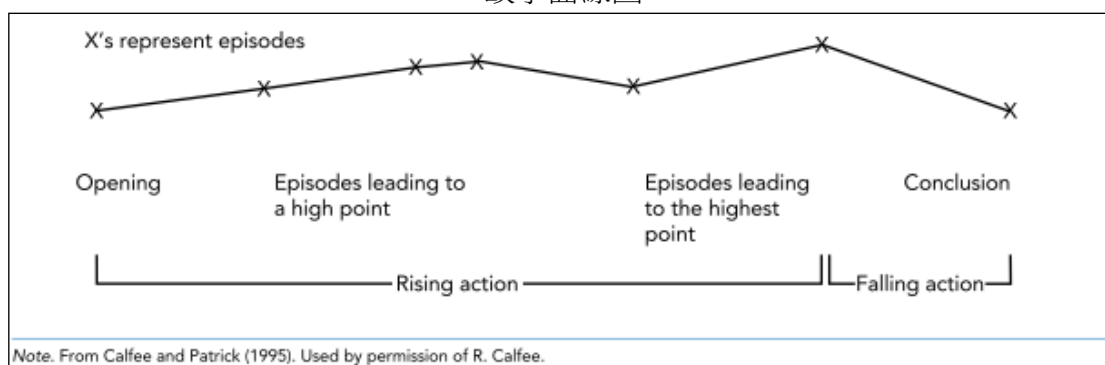
圖三
故事事件分析



取自 Dymock (2007)

教師可以進一步利用故事曲線圖(story graph) (圖四)，清楚顯示情節發展的結構：首先由開場(opening)起頭，故事裡的劇情漸漸進展至高點，然後到達故事最高潮，接著最後以結局(conclusion)收尾。整個故事的情節變化，剛開始有一連串向上發展的動作(rising action)，達到劇情的高潮，接下來就是急轉直下的動作(falling action)。

圖四
故事曲線圖



取自 Dymock (2007)

在人物分析方面，可以探討故事人物的外在特徵(appearance)和內在性格(personality)。表一為學生分析 *The Lorax* (Seuss, 1971)，所製作的人物對照表。故事中的主角 Lorax 和反叛角色 Once-ler 的人格特質，形成強烈的對比。教師可以設計類似表一的空白表格當作學習單，讓學生練習分析故事人物。學生按照故事人物編造表(Character Weave)的提示(表二)，找出人物的外貌、對環境的態度、待人的態度、當代等同的角色。

表一
故事人物分析

	Lorax	Once-ler
Appearance	Small Brown Animal Short Old Hairy	Long green arms Yellow eyes Beady eyes Green body
Personality	Environmentalist Caring Concerned about others Spoke for the trees, birds, animals, and fish Angry Sad Pushy Hassled the Once-ler Voice: sharp and bossy The voice of conscience	Evil Greedy Selfish Money hungry Loved making money Cunning Sly Creative, but for the worse Didn't care about others Responsible for the "mess" but didn't care until it was too late

取自 Dymock (2007)

表二
故事人物編造表

Character	Physical appearance	Attitude toward the environment	Feelings about others	Modern day equivalent
Lorax				
Once-ler				

取自 Dymock (2007)

四、聽講活動(speaking and listening activities)

教師在上課時，常常要求學生不要講話，心眼並用專心閱讀。雖然閱讀的確必須用眼閱讀，和用心去理解所讀的內容，但是教師也不能忽略「說話的潛在效力」(potential of talk)。在課堂上，讓學生開口講話做討論，思考文章的內容，互相提問交換意見。這種講話的形式，其實是有益教學。同儕之間的討論不僅可以活絡上課氣氛，更可以增進閱讀理解能力。因此，Mills (2009) 提倡運用一系列的聽講活動，訓練學生使用文本理解策略，增進閱讀理解能力。

讀者在閱讀的過程，可能需要運用到不同的文本理解策略。閱讀前，需要啟動先前既有的知識(activate prior knowledge)，以便理解新的文本內容。閱讀中，讀者根據文意線索與文章組織，推測文本的意義。所以，需要應用到的理解策略有：推論(make inference)、使用文本結構的知識(use knowledge of text structure)、視覺化想像(visualize)文章所描述的內容。在閱讀後，學生可以練習二項理解策略：自問自答(generate and answer questions)、複述與作摘要(retell and summarize)。針對每一項理解策略，Mills (2009) 設計相對應的聽講活動(表三)。

表三
練習理解策略的聽講活動

文本理解策略	聽講活動名稱
啟動先前既有的知識	說故事(Telling Tales)
推論	熱門人物寶座(Character Hot Seat)
使用文本結構的知識	挑出情節(Pick-a-Plot)
視覺化想像	三連環停格圖(Three-Step Freeze Frames)
自問自答	人物訪問(Interviewing a Character)
複述與作摘要	PARIS

以下分別說明如何實施這些聽講活動，使學生熟悉閱讀理解策略，提昇文本的理解。

(一)說故事(Telling Tales)

閱讀新的訊息，通常需要利用到先前既有的知識或經驗。還有，也需要利用文本的主題、文類、或單字等相關的知識。所以，啟動先前既有的知識是一項很重要的文本理解策略(Keene & Zimmermann, 2007)。教師可以使用「說故事」的方式，讓學生應用既有的文化知識、社會經驗，練習推測文本的內容。

「說故事」是讓學生從圖畫中的線索，根據自己原有的知識或經驗做推論，預測故事可能的內容。利用繪本，讓學生看著繪本的圖片，預測故事將會發生什麼事。首先，教師示範如何預測。例如，教師可以看著書本的封面，預測書本的內容。教師在端詳書本封面後，向學生說：「這本書的前封面(front cover)有恐龍的化石，我想這是一本非文學性的書。」然後，安排學生模仿教師的推測。把學生分成二人一組看圖片，預測故事可能發生的事情。例如，第一位同學可能會說：「將有大火發生，造成大量的財產損壞。」接著，第二位同學要根據第一位同學的預測，繼續猜想故事可能的演變，做故事接龍的遊戲。

(二) 熱門人物寶座(Character Hot Seat)

「熱門人物寶座」的教學目標是要學生練習推理的閱讀技巧。做推論性的思考(inferential thinking)不只要瞭解文章字面的意義，更要把文本的內容與自己原有的知識結合在一起，獲得更深入的理解(Trehearne, 2006)。推理的過程是一項複雜的認知，需要高階的思考能力。

進行「熱門人物寶座」的活動，可以在全班讀完故事後，選擇一位同學模擬故事中的主角，坐在教室前面，接受其他同學的詢問。學生可以提問一些有關故事的問題。例如，在“The Boy Who Cried Wolf”，故事中的主角高喊：「狼來了！」，假裝哭泣求援。所以，在閱讀本故事後，同學可能會問扮演主角的學生：「你為什麼要假裝放聲大哭，欺瞞大家？」他可能會回答：「因為我對自己沒有信心，不知道能否保護自己和羊群，以免受到狼群的攻擊。」同學的答案即是一種對故事情節的推理，推測故事人物可能的行為動機。這個教學活動訓練學生的推理能力，要學生運用不同的觀點詮釋故事。

(三) 挑出情節(Pick-a-Plot)

使用文本結構的知識有助於學生的閱讀理解。學生除了會閱讀一般的故事文本之外，也會接觸一些新形式的數位文本，例如部落格、維基百科、線上同步聊天、手機簡訊、線上購物等。這些文本都有其獨特的組織結構。所以，教師要多利用實

際的文本(authentic text)，教授學生文本結構的知識。

「挑出情節」的教學活動聚焦在故事結構。教學的方法為三位學生編成一個小組，合作編造一則有創意的故事。學生要利用故事的組成元素，創作故事。例如，第一位同學說出故事大綱，點出故事的人物和背景。接著，第二位同學杜撰情節的曲折變化。最後，第三位同學想出故事的高潮和結局。教師可以使用故事結構提示卡，幫助同學創作故事。例如，背景卡標示城市、叢林、外太空；人物卡有老人、小狗、外星人。問題卡列出迷路、天災、攻擊；結局卡提示逃跑、解救、自我改變。

(四) 三連環停格圖(Three-Step Freeze Frames)

在整個閱讀的過程中運用視覺化想像，可以幫助閱讀理解。視覺化是指讀者利用心智能力，想像文字、聲音、圖片、版面設計所傳遞的景像。藉著想像，可以把抽象的概念化成具體的物件，在腦海中形成鮮明清楚的意象。

為了練習視覺化想像的理解策略，教師可以實行「三連環停格圖」的教學活動。例如，在教完〈龜兔賽跑〉(“The Hare and Tortoise”)的故事後，教師可以讓同學表演，故事中最具代表性的三個橋段。例如，第一位同學用誇張的姿勢和臉部表情，表演兔子快速跑步、偷懶睡覺、睡醒慌張的窘態。第二位同學扮成烏龜，連續做三次龜速慢步的動作。其他的同學扮演在旁觀賽的動物，當烏龜抵達終點時，高聲歡呼。學生上台表演時，教師可以在旁拍手，暗示表演的同學變換動作。當同學在表演時，同組其他成員做旁白，解釋為何表演此動作，呈現故事中所發生的事件。

(五) 人物訪問(Interviewing a Character)

自問自答是一項後設認知的思考能力：自己提出問題，並且試著找出問題的答案。藉此，學生可以監測閱讀理解狀況。為了檢驗自己的理解，學生可以提出這類的問題：“What is the most important information here for my purpose?” 或 “What have I missed?” 或 “What is my opinion of this issue?” (Mills, 2009, p. 327)。

「人物訪問」是一種學生自問自答的教學活動。學生二人一組，模擬做廣播電台訪問。一人假裝是故事中的主角，接受另一位同學(扮演記者)的訪問。教師可以提醒學生，設計有深度的問題。例如，問題需要動腦筋去回想訊息(information recall)，或做推論(drawing inferences)。學生可以在課堂上做現場訪問，或錄下訪問然後在班上播放。

(六) PARIS

PARIS 是同儕討論的教學活動，可以幫助學生做自我監測閱讀理解。PARIS 是代表五項討論步驟的英文縮寫：P (預測 predict)，A (發問 ask questions)，R (重述 retell)，I (推論 infer)，S (摘要 summarize)。PARIS 結合多種理解策略的練習，參閱表四。學生在閱讀前，預測可能讀到的內容，提出與文章內容相關的問題。在閱讀中或閱讀後，學生做重述、推論、摘要等練習。

重述與作摘要是一項重要的閱讀理解策略。重述並不是單純地列出一連串故事的事件，而是要根據個人的理解，選擇最重要的事件，然後再以合乎邏輯的順序，做有條理的陳述。寫摘要更必須去蕪存菁，篩選文本中最重要的概念，敘述重點精華。

表四
PARIS 舉例

Strategy	Example question and answer
Predict	Q: What do you think this text is about when you look at the cover? A: "I think that the article is about a ferocious marsupial."
Ask questions	Q: What questions do you have when you look at the pictures? A: "Why does the Tasmanian Devil have sharp teeth?"
Retell	Q: What were the most important events (fiction) or information presented (nonfiction) in the text? A: "It describes the appearance, habitat, breeding, and diet of the Tasmanian Devil."
Infer	Q: What can you infer from the information that is not directly stated in the text? A: "Tasmanian Devils are nocturnal because the text states that they are awake during the night."
Summarize	Q: What was the main point of the text? A: "The article gives information about an endangered native marsupial, the Tasmanian Devil."

取自 Mills (2009)

五、合作式策略性閱讀(Collaborative Strategic Reading, CSR)

Klingner, Vaughn, and Schumm (1998) 提出合作式策略性閱讀(Collaborative Strategic Reading, CSR)，增進學生的閱讀理解能力。CSR 有三項教學目標：促進閱讀理解、提昇一般學科的學習(content learning)、幫助英文的習得(English acquisition)。CSR 的教學活動結合理解策略教學(comprehension strategy instruction)和合作式學習(collaborative learning)。教學研究證實 CSR 不只是適合 L1 學生，而且也能幫助 ESL 學生增加閱讀理解能力(Chang & Shimizu, 1997; Klingner, 1997)。

完整的 CSR 教學計畫包括閱讀前、閱讀中、閱讀後的教學活動。細詳的教學活動設計，參閱以下表格的說明(Klingner & Vaughn, 1999)：

閱讀前	預習課文	1	腦力激盪，思考與主題相關的知識。
		2	預測課文可能的內容，將會學到什麼知識？
閱讀中	找出問題與解惑	1	找出困惑點(clunks)，是不是有困難的字，或難以理解的段落？
		2	我們如何解惑？使用解惑策略： (a) 重讀句子，找出可以幫助理解的關鍵概念，(b) 把句子重複讀幾遍，找出幫助理解的線索，(c) 找出字彙的字根或字首，(d) 將困難的單字，拆解成小部分，觀察其字義。
	獲得文章的要旨	1	最重要的人、地、物是什麼？
		2	最重要的人、地、物代表什麼概念？
閱讀後	統整文章的內容	1	設計問題：什麼樣的理解測驗題目，最能檢驗是否理解文本中最重要訊息？
		2	複習所學的內容。

CSR 運用合作式學習的分組練習。五人編成一個小組形成讀書會，討論閱讀中所遭遇到的問題。為了增進討論的效率，小組中的成員分別擔任不同角色：組長(leader)、解惑專家(clunks expert)、要旨專家(gist expert)、司儀(announcer)、鼓勵者

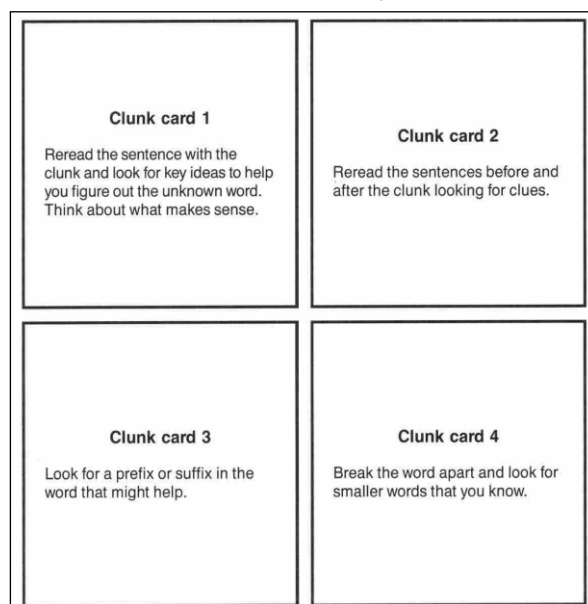
(encourager)。組員的職責如下表的說明。

組長	負責帶領組員實施 CSR 活動，告訴大家要讀什麼，應用什麼理解策略。在必要時，請求老師的協助。
解惑專家	利用解惑指示卡，提醒同學遇到不懂的字或艱難的概念時，要如何按部就班解決問題。
要旨專家	負責引導組員瞭解文章的主要概念，以及相關的細節。
司儀	給組員下達指令，指定誰要念課文，或是誰要陳述意見分享想法。確保每位組員都參與討論。維持討論秩序，每次只限一人發言。
鼓勵者	負責監看小組討論情況並給予回饋。尋找值得讚許的行為，鼓勵大家參與討論。

教師在 CSR 教學活動中，扮演監督的角色，觀察小組成員是否能夠合作，相互學習。老師穿梭在小組之間，隨時給予立即的協助。教師在必要時可以直接告訴學生單字的意思。此外，教師示範理解策略的使用，鼓勵學生積極參與小組討論，並且展現樂意相助的態度，當作學生的模範。

實施 CSR 教學活動，需要準備下列的教材：解惑指示卡(clunks cards)、提示卡(cue cards)、學習記錄誌(learning logs)、閱讀用的文本。解惑指示卡(圖五)提供具體的方法，幫助學生解決理解上的問題；提示卡(圖六)說明如何執行小組討論的步驟。學習記錄誌(圖七)是要讓學生寫下學習的過程，以便能改善閱讀技巧。在閱讀教材方面，CSR 通常會使用一般學科的說明文當作教材。

圖五
解惑指示卡



取自 Klingner and Vaughn (1999)

圖六
提示卡

Before reading	During reading	After reading
Preview S: We know that today's topic is _____. S: Let's brainstorm and write everything we already know about the topic in our learning logs. S: Who would like to share their best ideas? S: Now let's predict. Look at the title, pictures, and headings and think about what we might learn today. Write your ideas in your learning logs. S: Who would like to share their best ideas?	Read S: Who would like to read the next section Click and clunk S: Did everyone understand what we read? If you did not, write your clunks in your learning log. S: (if someone has a clunk): Clunk Expert, please help us out. Get the gist S: Gist Expert, please help us out. S: Now we will go around the group and each say the gist in our own words. <i>Go back and do all of the steps in this column over for each section that is read.</i>	Wrap-up S: Now let's think of some questions to check if we really understood what we read. Remember to start your questions with who, when, what, where, why, or how. Everyone write your questions in your learning log. S: Who would like to share their best question? S: In our learning logs, let's write down as much as we can about what we learned. Compliments and suggestions S: The Encourager has been watching carefully and will now tell us two things we did really well as a group today. S: Is there anything that would help us do even better next time?

取自 Klingner and Vaughn (1999)

圖七
學習記錄誌

Today's topic _____		Date _____	
Before reading Preview		After reading Wrap-up	
What I already know about the topic		Questions about the important ideas in the passage	
What I predict I will learn		What I learned	
During reading Clunks			

取自 Klingner and Vaughn (1999)

伍、結語

設計文本理解策略的教學活動，可以遵循幾項原則：(1)教師直接解釋理解策略，(2)教師示範如何使用理解策略，(3)教師引導學生練習理解策略，(4)學生獨立應用理解策略。理解策略的教學活動則有：改寫練習，聽講活動，互動式教學，教導故事結構認知，合作式策略性閱讀(CSR)。這些教學活動適合不同年級和英語程度的學

生。改寫練習、聽講活動、互動式教學，可以實施在初級和中級程度的學生。CSR 和教導故事結構認知，則適用於中級或中高級程度的學生。

本文所討論的教學活動，除了 CSR 之外，都是實用簡易的教學活動，可以激發學生的學習動機。教師可以把這些教學活動，融入現有的任何教學方式，不用變更課程設計。CSR 是比較複雜的教學活動，需要花較長的時間，透過小組討論增進學生運用理解策略的能力，培養獨立閱讀。事實上，CSR 是符合現在理解策略教學的趨勢，因為「以討論為主軸」(discussion-based)的教學法目前可說是蔚為風氣²。

教學研究顯示，一般閱讀教學大多只專注在文章本身的理解，缺乏教導學生如何解讀文本的理解技巧(comprehension skills) (Kelly, Moore, & Tuck, 2001; Pressley, Wharton-McDonald, Mistretta-Hampston, & Echevarria, 1998; Spörer, Brunstein, & Kieschke, 2009; Taylor, Peterson, Pearson, & Rodriguez, 2002)。台灣的英語教學也有類似偏失的情形，在閱讀教學太強調文意的翻譯解釋和文法知識的傳授。因此，文本理解策略的教學在國內的英語教學，應該獲得更多的重視。尤其在建構主義的課程中，強調學生自主學習，閱讀理解策略更顯得重要。在閱讀課上，學生不可以完全依賴教師的講解，而應該學習獨立閱讀。文本理解策略能夠提供學生自我檢視閱讀的過程，培養獨立思考的能力。冀望教師可以參考本文所介紹的教學活動，自行設計更符合學生需求的理解策略教學。

² 類似 CSR 小組討論教學法，還有讀書會(Book Club)(McMahon & Raphael, 1997)、文學圈(Literature Circles) (Daniels, 2002; Shorts, 1995)、教學性會話(Instructional Conversations) (Tharp & Gallimore, 1991)、互動式策略性討論(Interactive Strategic Discussion, ISD) (Shen, 2012)，已經廣泛運用在 L1 和 L2 英語閱讀教學。關於這些教學法詳細的介紹，參閱 Shen (2005) 和 Shen (2013)的研究報告。

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Magic as Gendered Knowledge in Merlin's Rise and Fall: A Discourse on Male Homosocial Bonding

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Abstract

The fictional character, 'Merlin', has been widely accepted as an icon of "wisdom" in Western culture. In Malory's *Le Morte D'Arthur*, the representation of Merlin's intellect is especially manifested in political foresight and acumen. Merlin's intellectual masculinity is potent enough to be mystified as magic. In Malory, magic is a significant factor in the valorization and emasculation of Merlin within the economy of male bonding. Merlin is initially portrayed as a positive magician whose magic is discursively moralized and gendered as masculine. Through his supernatural prowess, the divided Britain is united and Arthur's court of chivalry is fostered. Merlin's magic also contributes to enact and cement bonds among Arthurian knights. As the narrative progresses, however, Merlin is feminized. Despite that Merlin's magic functions as a positive force in the Arthurian male homosocial realm, it excludes Merlin from the Arthurian economy of male bonding. Further, in his pursuit of Nimue, Merlin's magic is gendered feminine because he abuses his magical knowledge as currency to buy Nimue's virginity. Merlin fails to hold himself to the high standard required of a positive magician. He is feminized and punished by "shameful death" at the hands of Nimue. Viewed through the lens of male homosociality, Merlin's death is a result of the paradoxical functioning of male homosocial bonding, which occurs when the demands of heterosexual love clash with those of male homosocial bonds and obligations.

Keywords: Malory, *Le Morte D'Arthur*, Merlin, Male Homosocial Bonding

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性別化的魔法與梅林的崛起/墮落：(男)同性社會性紐帶的建構

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摘要

在西方文化，巫師梅林常被當作智慧的象徵。在摩利理爵士的《亞瑟王之死》一書中，梅林的智慧尤其展現在政治遠見和權謀上。他的才智甚至被神秘化成魔法。在《亞瑟王之死》中，魔法是建構梅林正面巫師形象的要素。他首先被描繪成亞瑟王的智囊和守護者，因為他的協助，亞瑟王統一了分裂的王國。在這個角色建構中，梅林的魔法被性別化為男/陽剛，恰與其他女巫師的魔法形成二元對立（陰/陽；惡/善；女/男）。再者，梅林的魔法也促進了圓桌騎士們的情誼和同性紐帶關係的建立。然而，隨著故事進展，梅林卻被陰弱化。雖然梅林的魔法在《亞瑟王王國》男同性社會扮演著正面力量，它卻也吊詭地將梅林排除在（男）同性社會性紐帶經濟體之外。此外，在他追求妮薇中，梅林的魔法是被置位於女/陰弱/惡的位階，因為他以魔法為籌碼希冀能換取妮薇的貞操。梅林違反了作為一個正面巫師的道德要求。最後，他死在妮薇的手中。從（男）同性社會性結構的觀點解讀，梅林的死體現了一個（男）同性社會性結構運作的矛盾情況，這個吊詭說明了異性戀做為男性主體意識建構的必然標記和（男）同性社會性關係之間某種程度的不相容。

關鍵詞：摩利理爵士、亞瑟王之死、梅林、（男）同性社會性紐帶

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The fictional character, "Merlin," has been widely accepted as an icon of hermetic "wisdom" in Western culture. Traditionally a Celtic shaman-bard-seer—"man of the wild" figure, Merlin is portrayed as Britain's political prophet, kingmaker and the king's advisor in Malory's *Le Morte D'Arthur*.¹ In Malory, Merlin embodies male intellectual masculinity, in direct contrast to the military masculinity exemplified by the Round Table knights. The representation of Merlin's intellect is especially manifested in political foresight and acumen. Merlin's intellectual masculinity is potent enough to be mystified as magical. Depicted as the paragon of the positive magician, Merlin's magic is discursively moralized and gendered as masculine. However, I argue that although Merlin's magic functions as a positive force in the Arthurian realm, it excludes Merlin from the Arthurian economy of male homosocial bonding. Further, in his pursuit of Nimue, the chief Lady of the Lake, Merlin's magic is gendered as feminine because he abuses his magical knowledge as currency in order to buy Nimue's virginity. In light of contemporary theories of male homosociality, Merlin's wooing of Nimue can be interpreted as a strategy intended to validate his masculinity and to bond with the other men of Arthur's court. Yet Merlin's death at the hands of Nimue is nevertheless a result of the paradoxical functioning of male homosocial bonding, which occurs when the demands of heterosexual love clash with those of male homosocial bonds and obligations.

This paper explores the role of magic in both the valorizing and the emasculating of Merlin, within the economy of male homosocial bonding in Malory. Taking the concept of male homosociality as developed by Michael Kimmel (1994) and Michael Flood (2008), I will address the contradictory aspect of male homosocial bonding as embodied in Merlin's tragic end. "Homosociality," as defined by Jean Lipman-Blumen, refers to "the seeking, enjoyment, and/or preference for the company of the same sex" (16). According to her, "homosociality" is distinguished from "homosexuality" in that "it does not necessarily involve (although it may under certain circumstances) an explicitly erotic sexual interaction between members of the same sex" (16). Discussing Western culture, Lipman-Blumen claims that the basic premise of the homosocial view of male sex roles is that "men are attracted to, stimulated by, and interested in other men" (16). What is implicitly suggested here is that male same-sex friendships are more valued than male-female cross-sex friendships.² Also relevant to this notion of men's preference for same-sex relations is Kimmel's theory that masculinity is largely a homosocial enactment. Kimmel states that:

We are under constant careful scrutiny of other men. Other men watch us, rank us, grant our acceptance into the realm of manhood. Manhood is demonstrated

¹ The representation of Merlin as a political prophet and kingmaker is first seen in Geoffrey of Monmouth's *The History of the Kings of Britain*. Geoffrey's Merlin might be modeled on Nennius's Ambrosius, a young, fatherless prophet who reveals Vortigern's crumbling fortress as a result of battling between a red and a white serpent, symbolic of the war between the Britons and Saxons. However, in Geoffrey of Monmouth's *Vita Merlini* (Life of Merlin, c. 1150), Merlin is depicted as a "Wildman of the wood."

² Various studies show that both men and women have been found to prefer same-sex close friendships over cross-sex relationships, and to regard same-sex friendship as close to ideal. See Rose 65.

for other men's approval. It is other men who evaluate the performance. (128)

The significance of male homosocial bonding in the enactment and validation of masculinity and masculine identity is thus foregrounded. Kimmel further suggests that in contemporary Western societies, women are a form of currency contributing to a man's status and ranking on the masculine social scale (129).³ In other words, men are encouraged to pursue amorous relations with women so that they can enhance their social ranking among other men or bond with other men. Sociologist Michael Flood also points out that in the Western male homosocial realm, a man's heterosexual activity is a key path to his masculine status. Flood further observes that male homosocial relations take priority over male-female relations, both social and sexual, and male homosocial obligations are positioned as primary (330-59). What is overlooked within this homosocial manhood ideology as perceived by Kimmel and Flood, however, is a validation paradox: men are encouraged to pursue male-female amorous relations so that they can enhance their status among other men, but simultaneously, male-female relations are censured and suppressed as men demand that homosocial allegiance be given primacy over heterosexual bonds.

The contemporary dominant Western discourse of homosocial manhood is further characterized by male homophobia, which, as Kimmel notes, functions as a central organizing principle of the cultural definition of manhood (131). According to Kimmel, "male homophobia" is "more than the irrational fear of gay men, more than the fear that we might be perceived as gay," it is

the fear that other men will unmask us, emasculate us, reveal to us and the world that we do not measure up, that we are not real men. We are afraid to let other men see that fear. Fear makes us ashamed, because the recognition of fear in ourselves is proof to ourselves that we are not as manly as we pretend...Our fear is the fear of humiliation. We are ashamed to be afraid. (131)

Kimmel's expansion of the definition of "male homophobia" particularly highlights "fear," "anxiety," and "shame" as other characteristics of Western male homosocial bonding and draws attention to the pressure and fierce competitiveness men have to endure in their effort to attain and maintain respectable manhood.⁴ Male homophobia nevertheless signifies homosexuality as demeaning to masculinity. As Lipman-Blumen suggests, homosociality does not necessarily involve same-sex sexual interaction. How then, is homosexuality positioned in the spectrum of male homosocial bonding, in the

³ Working from Lévi-Strauss's study on primitive kinship systems, Galye Rubin has observed that in primitive societies women functioned as a conduit of male-male relationships and women were transacted to allow men to forge closer ties with other men. See Lévi-Strauss; Rubin 27-62.

⁴ I would like to emphasize the "anxiety" aspect of male homophobia. As Peter Redman suggests, the term "phobia" derives from psychoanalytic theory and phobias are understood as "the product of 'anxiety hysteria': an extreme fear of an object or situation characterized by avoidance strategies, in which anxiety arising from conflict in the inner-world of the psyche is displaced onto an external object or situation, which then stands in for the original." See Redman 485.

sense that it inevitably provokes a cognitive dissonance in relation to homosocial bonding?

In *Between Men: English Literature and Male Homosocial Desire*, Eve K. Sedgwick uses male homosociality and male homosexuality to refer to two ends of a continuum of male gender relations. As Sedgwick points out, "homosocial" is applied to such activities as "male bonding" which is often characterized by homophobia, fear and hatred of homosexuality (1). However, as she observes, the nature of gendered relations informing that continuum is sometimes ambiguous because what is conceptualized as erotic or sexual "depend[s] on and affect[s] historical power relationships" (2). To highlight the erotic/sexual potential of men's relations with other men yet without automatically including it, she names the entire continuum of male gender relations "male homosocial desire." "Desire" in this context, is seen as a "social force" which shapes an important relationship (2). Male homosexual desire is just one position on the continuum that her theory of male homosocial desire attempts to situate. In addition, Sedgwick observes that heterosexual relations may themselves be strategies of male homosocial desire (21). Drawing on Sedgwick's definition of male homosocial desire, I mean to suggest by "male homosocial bonds" those alliances between males among whom there are established social relationships, and to indicate by "male homosocial bonding" the broad spectrum of male-male bonding practices. Also, my use of the term "heterosexual" refers to male-female relationships, including both amorous relations and platonic friendships. By "homosexuality" I mean any forms of same-sex sexual desire and behaviors.

In this paper, I first examine the construction of Merlin as wisdom incarnate, and as the paragon of the positive magician. Next, I analyze Merlin's depiction as a social anomaly whose demonic origin, poor physical appearance, and magic articulate his "otherness" in the Arthurian male homosocial community. I end my paper with a third section that illustrates a homosocial paradox which is manifested in Merlin's "shameful death" at the hands of Nimue and the relations of this paradox and the gender tensions that obtain between Merlin, the knights, and Nimue, as these extend to and inform the overarching gender ideology of Western culture.

Merlin as Wisdom Incarnate

In Malory, Merlin functions as the architect of the Arthurian community. His actions coaching Arthur in chivalric practices reinforce the ideals of Arthur's court. He facilitates Arthur's birth (I.1) and devises the Round Table—the physical manifestation of Arthurian chivalry (XIV.2).⁵ When King Lot and many other lords defy the young Arthur's kingship, skeptical of his royal lineage, Merlin instructs Arthur not to be intimidated by their

⁵ The text also mentions that Uther bestows upon King Leodegrance (Guenever's father) the Round Table. When Guenever marries Arthur, it is given to Arthur as a wedding gift (III.1). The quotations and references in this paper are from *Caxton's Malory*, an edition edited by James W. Spisak (based on the Pierpont Morgan Library copy of Caxton's 1485 edition) and published by the University of California Press in 1983. Translations of the quotations are mostly based on Janet Cowen's edition of *Le Morte Darthur*, with my own modifications to modernize spelling and punctuation.

superior military strength, but advises him to bravely confront his challenges (I.8). King Lot and his allies eventually disregard Arthur's birthright and challenge his kingship by launching a war against him from the north. In a battle, the northern rebels are slaughtered by Arthur. Sixty thousand men are killed and only fifteen thousand left alive. Merlin cautions Arthur that it is sinful to kill too many humans under the eyes of heaven and, foreseeing that the northern rebels will not be overcome this time, Merlin advises Arthur to wait and meet his enemies later. Highlighting generosity as a required virtue of a worthy king, Merlin reminds Arthur that he owes his victory to his men, and that therefore he should rest and reward them (I.17). Merlin exemplifies intellectual masculinity. With his political and military acumen, Merlin helps Arthur defeat the northern rebels and establish a unified kingdom (II.10). When King Lot and his allies launch wars against Arthur, it is Merlin's idea that Arthur should seek external military support from King Ban of Benwick and Bors of Gaul, two of the worthiest men in the realm at that time, in his fight against Lot's superior force. Merlin knows that Ban and Bors have recently suffered a severe setback in their war with King Claudas, making the offer of a political tie both welcome and reciprocally beneficial (I.10). Impressed at Merlin's insight and judgment, Arthur and his barons say "[t]hys is wel counceilled" (this is well counseled, I.10). Joined by King Bors and Ban, Arthur's military strength is enhanced, and with Merlin's astute military deployment and tactics (I.14), Lot is soon trapped in an ambush and forced into a critical situation. In the end, Merlin's strategy successfully deters the northern rebels' advance.

Merlin's image as wisdom incarnate is further enhanced by his representation as a positive magician. In Malory, magic is represented in three different forms: the first, Christian miracles (such as the Holy Grail and the "sword-in-the-stone" trial); the second, sorcery or enchantment (non-Christian supernatural powers such as shape-shifting, healing power, and creating love potions); the third, political foreknowledge or prophetic ability. Merlin's magical prowess, his sorcery and prophetic ability, are the featured qualities of his wisdom status. Merlin is endowed with supernatural powers such as shape-shifting and foreknowledge, which enhance his sublime difference and mystical otherness and establish his high importance in his role as Arthur's court magician. Merlin's magical prowess is gendered masculine in Malory, but just what manner of masculinity Merlin possesses, and how he may manifest it, become the issues at hand. In her study of images of white magicians in the English literature of the Middle Ages and Renaissance, Joy Ellen Parker suggests that the boundary between good and evil, white and black magic is drawn according to magicians' intentions and actions. An examination of the morality of magic in Malory, as Parker observes, reveals a dichotomy between positive masculine magic and harmful feminine magic (27). With the exception of Nimue, the chief Lady of the Lake, female sorceresses such as Morgan le Fay, Lady Hellawes, and Lady Annowre are usually associated with evil and lust. They often use magic for selfish purposes, either to gain power or to satisfy their sexual desire (VI.3; VI.15; IX.16). In contrast, Merlin is the only male magician and the embodiment of benevolent magic. His magic is reserved for the cause of good for the Arthurian community. On an occasion,

Merlin puts a charm on King Lot that makes him fail to join his allies in time and results in their losing the battle to Arthur (II.10). At another time, Merlin uses magic to save Arthur from being killed by Pellinor, who, as Merlin prophesizes, will later do Arthur a great service in the future by killing King Lot (I.24). In addition, he predicts that Pellinor's sons, Percival and Lamorak, will become two of the most worthy knights of the Round Table. When Pellinor is about to kill Arthur in a joust, Merlin intervenes in their fight by casting an enchantment over Pellinor, who quickly falls asleep on the ground. In so doing, he not only saves Arthur's life but also secures Arthur's future bonding with Pellinor and his sons. Viewed through the dyadic lens of positive masculine magic and harmful feminine magic, Merlin's manhood is directly signified and validated by his magical ability. Further, Merlin's masculine status is exalted because the work discursively endorses his role as a divine spokesman when his magical prowess is represented as foreknowledge. All of Merlin's magical acts are exercised with the singular intent of maintaining Arthur's life, kingship and kingdom, which are the symbolic essence of chivalry and masculinity in Malory's cultural and moral universe. This in and of itself confirms his role as a keeper and guardian of the realm of masculine homosocial traditions and their attendant courtly ideals. However, whether he is validated as a member of that realm, or is relegated to the role of an outsider, turns on his ability to either manifest a masculine presence, or not.

Merlin as the "Other"

Although Merlin's magical prowess benefits Arthur's chivalric enterprise the text discursively marks him as intrinsically deviant, a social anomaly whose masculine identity is denied by the community. He is largely excluded from the Arthurian male homosocial bonding mechanism. In *Le Morte D'Arthur*, the Round Table Fellowship is the center of the Arthurian homosocial realm and the Round Table knights are the supreme exemplars of the highest masculine ideal. Among several virtues associated with a good knight, Tucker suggests that "martial prowess" is "the first quality demanded of a knight, and Malory gives it particular prominence in his stories and comments" (65).⁶ In their attempt to gain "worship,"⁷ Round Table knights are constantly searching for adventures, jousts, and tournaments. In this regard, military activities and physical valor are the primary strategies and requirements for male homosocial bonding. Unfortunately, Merlin is short of martial valor and neither his intellectual prowess nor his supernatural gifts earn him "worship" or elevate his social standing. Even though he helps Arthur defeat the northern rebels by providing military strategy and magical ruse, his peers are

⁶ When "chivalry" is used to refer to an ideal of knighthood, Maurice Keen notes that prowess, loyalty, largesse (generosity), courtesy, and franchise (the free and frank bearing that is visible testimony to the combination of good birth with virtue) have been regarded as classic virtues of a good knight and the association of these qualities with chivalry has been established as early as in Chrétien de Troyes's romances (c.1160-90). See Keen 2.

⁷ Tucker suggests that "worship" in Malory could mean "deeds of valor," but has connotations of glory and honor. It also implies "nobility," as the term "worship" or "worshipful" is never applied to common people. Tucker 65-67. On the other hand, P. J. C. Field suggests that "worship" means "honor" in two senses: noble idealism of mind and high reputation. See Field 49.

largely silent about his feats. Read in light of Kimmel's theory that masculinity is largely a homosocial enactment, Merlin's masculinity is not validated because his peers do not give him credit for his contributions.

The silence about Merlin's achievements might indicate a gender tension between Merlin and the knights. Given that Merlin can command the world with his intellectual and discursive power, put beside his supernatural abilities, the knights' military and physical prowess would amount to very little. What would have been very evident to them is that Merlin is someone who evidences powers far beyond their ken, and if he is not quite a "man," according to their purview, he is certainly someone whose mystical abilities are capable of calling the significance of their masculinity into question. In addition, Merlin is the architect and insurer of Arthur's most fundamental and necessary power of rulership, thus the masculinity of the knights might well have seemed diminished by virtue of Merlin's questionable yet superior status. On the other hand, the knights' indifference toward Merlin's feats could suggest their inability to comprehend Merlin's intellectual and mystical powers. In this regard, the silence of the knights may not necessarily have anything to do with either validating or not validating Merlin's masculinity, but may rather be an implicit articulation of their fear or jealousy of the absolute unknown he represents.

That Merlin is positioned as external to the Arthurian male homosocial mechanism is further highlighted in his portrayal as a man lacking of high birth and in good looks, which are two key requirements in the culture of male homosocial bonding in the Arthurian realm. "Worshipful" knights such as Launcelot, Gareth, and Tor are men of noble lineage and refined in physical appearance.⁸ Merlin, by contrast, is a "deuyls son" (devil's son, IV.1, IV.13). There are no detailed descriptions of Merlin's body or face in the text, nevertheless, it can be inferred that he is far from good-looking, strong, or big, all of which are components of ideal masculinity evidenced in Malory's portrayal of worthy knights such as Launcelot and Gareth. Except for one instance that tells how he changes his shape into the likeness of a fourteen-year-old child (I.20), Merlin is often referred to or appears as an old man (I.20), a beggar (I.1), and a poor man (I.3).⁹ On one occasion, he is portrayed as a "chorle" (churl),¹⁰ clothed in black sheep skins, big boots and a russet gown with a bow, arrows and wild geese in his hands (I.17). Notably, Merlin's physical strangeness might signify his presumed asexual nature. Based on these depictions, Merlin's physical appearance is in direct contrast to the valorous knightly images that populate Malory's lifeworld. His lack of a fine physical appearance, together with his demonic origin, reinforces Merlin's deficiency in terms of normative masculinity and highlights the fact that he does not "fit in" according to the cultural logic of the Arthurian gender system.

⁸ For the depictions of Launcelot's, Gareth's, and Tor's physical appearance, see VI.8; XII.4; III.1; VII.1.

⁹ In Geoffrey of Monmouth's *The History of the Kings of Britain*, however, Merlin is initially depicted as a lad. See Geoffrey of Monmouth 167.

¹⁰ "Churl" can mean peasant or countryman. The term usually connotes contempt or disparagement. See Oxford English Dictionary, Second edition 1989.

Throughout the work, Merlin's magical gift is assumed to derive from an evil paternal inheritance—the “deuyls crafte” (devil's craft) as it is referred to by a knight (III.14). King Lot and his allies also ridicule Merlin's supernatural prowess by calling him a “wytyche” (witch, I.8), a “dreme reder” (dream reader, I.9), and a “fayter” (fainter, meaning deceiver or impostor, II.10). Although the mocking of Merlin might be projected as mere bias (Lot being Arthur's major rival), it nevertheless marks Merlin as an anomaly and groups him with the marginalized. His diabolic birth and magical prowess articulate his “otherness” which positions him externally to the Arthurian male homosocial realm.¹¹

Furthermore, Merlin's prophetic ability, a gift which endorses his supremacy as supernatural agent who channels knowledge between the secular and the divine realms, does not help him to bond with other men. Most of the Arthurian knights find no interest in his political prophecies. At various times, Merlin warns Arthur of his doom (I.20; II.11), warns of Lancelot and Guenever's adultery (III.1), and cautions Arthur to keep his scabbard safe (II.11; IV.1),¹² yet Arthur pays little attention to Merlin's “uncomfortable predictions,” a term coined by Rachel Kapelle to refer to Merlin's prophecies (78). Perhaps, as noted by Kapelle, Merlin's foreknowledge is an unwelcome intrusion into the Arthurian community in that “he represented a voice that they did not always wish to hear” (78). The story of Arthur's massacre of infants born on May-day aptly illustrates Merlin's poor peer relations because of his foreknowledge. As recounted, Merlin discloses Mordred's date of birth (May-day) to Arthur.¹³ The information leads to Arthur's mass murder of many children born that day in an attempt to eliminate his future nemesis.¹⁴ Arthur's selfish act reproduces precisely King Herod's slaughter of the holy innocents as described in the Gospel of Matthew, in his mad attempt to intervene and kill his perceived future rival, Jesus Christ (Matthew 2: 16-18). Merlin, however, does not comment on or criticize Arthur's misconduct. Considering that Merlin is portrayed in the text as a judge of knightly morality (for instance, I.17; III.12-15),¹⁵ his silence implies that he might be Arthur's accomplice in this crime. Reinforcing this interpretation, many barons who lose their infants are very displeased and “many put the wyte on Merlyn more than on Arthur”

¹¹ Some critics suggest that to stress Merlin's significance as Britain's political prophet and kingmaker, Malory omits Merlin's birth and greatly decreases the element of magic in his portrayal of Merlin. See Spivack 18; Harding 146; Parker 70. Caxton, on the other hand, hardly mentions Merlin in his preface to *Le Morte Darthur*. The only time he speaks about Merlin is to refer to “how Merlyn was assotted,” implying Merlin's fatal romance with Nimue, in his brief introduction of Book Four.

¹² The scabbard can prevent anyone who carries it from bleeding if wounded. Merlin foresees that Morgan will steal it and attempt to kill Arthur.

¹³ Mordred is Arthur's illegitimate son. Arthur begets Mordred in his illicit affair with his half sister Margawse. Merlin predicts that Arthur will die at the hands of Mordred.

¹⁴ Arthur orders all the children born on May-day to be put in a ship and left in the open sea. All of them but Mordred die in a shipwreck. Mordred is saved by a man who takes care of him and brings him to Arthur's court when he reaches fourteen years old (I.27).

¹⁵ Merlin once denounces Arthur's brutal slaughter of King Lot's men in battle, saying to him that God is angry with him because of his excessive killing (I.17). In another incident, Merlin scolds Pellinor for not providing succor to a lady and reveals that the lady is in fact Pellinor's daughter. Merlin prophesizes that because of his misconduct, Pellinor is to be abandoned by his most trusted friend when he is in the greatest need (III.12-15).

(many place the wite [blame] on Merlin more than on Arthur, I.27).¹⁶ Viewed through the lens of Kimmel's concept that masculinity is largely a homosocial enactment, Merlin's reputation and masculine honor is blackened as the barons hold him responsible for the crime, which also goes a long way toward confirming Merlin's supposedly demonic roots.

At another time, Merlin informs Arthur of his future entombment underground, then asks Arthur: "had ye leuer than al your lands to haue me ageyne" (had you rather than all your lands to have me again, IV.1). Merlin seems to be soliciting sympathy from Arthur, a decidedly non-masculine gesture. Arthur responds simply with carelessness: "syn ye knowe of your aduenture, puruey for hit and put away by your craftes that mysauenture" (since you know of your adventure, prepare for it, and put away by your crafts that misadventure, IV.1). The indifference implicit in Arthur's remarks further supports my argument that Merlin is projected as an anomaly who is positioned as external to the Arthurian male homosocial bonding system. Once he is imprisoned in a cave by Nimue, Merlin is quickly forgotten by his peers and even by King Arthur himself.

I have thus far examined Merlin's otherness in the contexts of issues such as visual strangeness, supernatural abilities, and demonology. Arthur's entire saga represents a transition from the ancient pagan practices of the past, and the newly arrived Christian imperatives of Arthur's court. In this way, Merlin is the axial figure who symbolizes that transition, since his role delivers Arthur out of the pagan dangers of the past, and ushers him into his role as a Christian king, one who heralds the Grail quest undertaken by the Round Table Knights. However, as the narrative progresses, Merlin is marginalized, revealing a contradictory portrayal of Merlin. Initially he serves as an absolute necessity in his role as Arthur's mentor, savior, and supporter, yet his eventual apparent "othering" by Arthur, signifies that for all of his help and his many favors given, he has fallen to the status of a "necessary evil," a "corrupt" if essential advisor who has worn out his welcome.

Merlin's Validation Complex

Merlin is unable to bond with the Arthurian men by means of superior intellect and magical prowess. Together with his demonic origin, inferior physical appearance, Merlin's magical prowess is another essential factor that contributes to his exclusion from the Arthurian male homosocial bonding. Viewed in light of male homosocial theories that women are often employed as conduits of male homosocial bonding, Merlin's wooing of Nimue can be read as his attempt to prove his manliness and to bond with the Arthurian men. Simply put, Merlin is compelled to validate his manhood through heterosexual activities with Nimue, whose high social ranking would have helped elevate Merlin's ranking in the male homosocial realm if he had succeeded in his amorous pursuit.

In Malory, women are conventionally treated as markers of manhood (Armstrong 17, 36-37). Merlin says to Arthur once that "a man of your bounte and noblesse shold not be

¹⁶ It is also a recognized sociological phenomenon that groups attribute blame to "outsiders" to maintain group cohesion.

without a wyf" (a man of your bounty and noblesse should not be without a wife, III.1). At one point a damsel laments Lancelot's bachelorhood, saying "[S]yre knyghte, me thynketh ye lacke, ye that are a knyghte wyueles, that ye wyl not loue some mayden or genntylwoman...and that is grete pyte" (Sir knight, me think you lack, you that are a knight wifeless, that you will not love some maiden or gentlewoman...and that is great pity, VI.10). In the Arthurian community, Launcelot and Tristram's respective amorous relations with Guenever and Isoud, for example, facilitate their bonding with other Arthurian men: in particular, Launcelot with King Arthur and Tristram with Palomides.¹⁷ Further, their potency, revealed through their respective sexual activity with Guenever and Isoud, also allows them to validate their manliness.¹⁸ As if to validate his manhood to other men, Merlin leaves Arthur's chivalric enterprise for Nimue, the highest ranking lady in the realm of magic. Recalling Merlin's aforementioned revelation of his future imprisonment in a cave to Arthur, Merlin's pursuit of Nimue clearly establishes that he is looking to regain his former stature in Arthur's eyes by telling him about his courting of a "dangerous" woman, one of the oldest forms of homosocial bonding known to men. Unfortunately, Merlin's romance with Nimue reveals his debased, lecherous self—a man lacking in sexual self-control. Worse, impelled by his desire for Nimue, Merlin transgresses his role as the positive magician by abusing his magical knowledge.

The text tells that Merlin is infatuated with Nimue, he "wold lete haue her no rest, but alweyes he wold be with her" (would let have her no rest, but always he would be with her, IV.1). Overruled by his passion for Nimue, Merlin "wold haue had her pryuely away by his subtile craftes" (would have had her privily [secretly] away by his subtile crafts, IV.1). Notably, Merlin's passion for Nimue is dictated purely by sexual desire rather than by the true love that Launcelot feels for Guenever.¹⁹ Nimue herself tolerates Merlin's harassment only because she wants to learn his magical arts. To protect her sexual honor and virginity, she tactically makes Merlin swear that he will never use magic as a means to overcome her. Taking advantage of Merlin's folly, Nimue learns much secret knowledge of his magic during their trips together. Finally weary of Merlin's constant sexual advances, Nimue decides to get rid of him (IV.1). One day when Merlin shows her a secret underground cave, Nimue tricks him into going inside, then with her magic, blocks the entrance and imprisons Merlin forever. Merlin's death can be read as a symbol of the neutralizing of his magical prowess and as a metaphor for his emasculation,

¹⁷ The exchange of Guenever between Arthur and Launcelot cements the bonds between them and benefits the collective wellbeing of the Round Table Fellowship. Through the transaction of his queen to Launcelot, Arthur is able to keep Launcelot's service, and through Launcelot's valorous deeds Arthur's eminence and that of the Round Table Fellowship is elevated. Launcelot, at his end of the bargain, is able to establish superior status by being identified as the queen's lover. See also, Armstrong 193. The bonding between Tristram and Palomides is manifested in their rivalries and is enacted through their shared desire for Isoud (See Book X, chapter 86, for instance).

¹⁸ Sexual virility is universally regarded as a key component of ideal masculinity. See Gilmore 223; Bullough 41.

¹⁹ The depiction of Merlin's carnality partially coincides with the love Malory so condemned in his contemporaries, that "nowadays men can not loue seuen nyghte, but they must haue alle their desyres" (nowadays men cannot love seven night but they must have all their desire, XVIII.25).

because his magical prowess is the most direct, and the only real signifier of his masculinity, as indicated in the dichotomy of positive masculine magic and malevolent feminine magic framing his demise at the hands of Nimue. His attempt at sexual domination of Nimue is a dual failure of masculinity: he fails to dominate her sexually, and he is symbolically castrated by being trapped inside the cave, which is a classical feminine space in Western (Freudian) symbolism. Nimue delivers Merlin back to the womb, yet not in the fashion he desires, a trope on Merlin's libidinal foolishness, further suggesting that he had not what it takes to master either the sacred feminine wisdom that Nimue embodies, or her female sexual desire.

In this story, Merlin's desire impels him to abuse magic: he first tries to use his magic to persuade Nimue to have sex with him, and then he voluntarily transfers magical knowledge to her in the hope that this will convince her to go to bed with him. Merlin's action speaks for his transgression because as the paragon of the positive magician, Merlin should only use his magic to support Arthur and his community, rather than to satisfy personal lust. Also, magic used to support Arthurian society is gendered as masculine, while magic used to harm the Arthurian community or satisfy personal lust is gendered as feminine. As evil sorceresses usually resort to magic for sexual purposes, by using his magical knowledge as currency to buy Nimue's virginity, Merlin is metaphorically feminized. He is no different from evil and lustful sorceresses such as Morgan le Fay, who utilizes magic to imprison Launcelot in an attempt to sleep with him (VI.3). Merlin's desire for Nimue blinds him to his own self-destructiveness, an absolutely unforgivable thing for one gifted in his magical way. Although Merlin predicted his fateful falling under her spell to Arthur well in advance of his imprisonment in the cave, he nevertheless allows himself to be overruled by irrationality, which has long been equated with the feminine. Merlin's desperate and pathetic pursuit of Nimue bespeaks his failure to stand to in his (masculine) authority as a wizard.

Merlin fails to bond with Arthurian men through his relations with Nimue. He also fails to configure his masculinity through Nimue. Worse, his unsuccessful sexual advances towards Nimue invite suspicion about his sexual potency, a key attribute of ideal masculinity in Malory. Viewed through Kimmel's and Flood's concepts of male homosociality, Merlin's tragic end illustrates a paradoxical functioning of male homosocial bonding in Malory. Male homosociality demands Merlin prove his manhood to other men by means of women. Yet it also requires Merlin to prioritize his duty to Arthur and the community over his desire for Nimue. When Merlin deserts "his divinely ordained quest of the kingdom's welfare for the sake of self-gratification" (Goodrich 102), he is ultimately punished by "shameful death" (I.20), a metaphor for emasculation, which refers to a man dying at the hands of a woman in Malory. This taint on Merlin's manhood is highlighted by the contrast between his death and Arthur's "worshipful death" at the hands of men on the battleground (I.20).²⁰

²⁰ Merlin once warns Arthur that because of his incest with Margawse, God will punish him to die at the

Merlin's ignoble death articulates a contradictory aspect of male homosocial bonding in Malory which is distinguished by an incompatibility between heterosexual desire and homosocial allegiance and obligations. How does this problematic concept of homosocial manhood relate to the gender ideology of Western culture? The dominant Western gender ideology is primarily characterized by the conceptual binaries of man/woman and masculine/feminine (Song 12; Cixous and Kuhn 44). Viewing women as markers of manhood and conduits of male-male relations, Kimmel's and Flood's concepts of homosocial manhood highlight these rigid binaries, emphasizing heterosexual relations as crucial sites for cultural construction of masculinity and masculine identity in the West. Female sexuality is a key factor in the paradoxical functioning of male homosocial bonding as embodied in Merlin's tragedy. Merlin's death is a result of his desire for Nimue. Female sexuality, however destructive a role it may be given, nevertheless proves the centrality of heterosexuality in the construction of normative masculinity in Malory. Problematic as it is, the homosocial paradox, as demonstrated in Merlin's romantic misery and wretched end, discursively reinforces the binary oppositions of man/women and masculine/feminine as fundamental characteristics of Western gender ideology. In addition, in his relations with Nimue, Merlin's individual failing, in which his magic plays a crucial role, confirms that masculinity is also a heterosexual enactment. Nimue's rejections of Merlin's sexual advances and her trapping him underground bespeak her judgment on and denial of Merlin's masculinity.

As Sue E. Holbrook points out, after Merlin's entombment, Nimue replaces Merlin and carries on in his role as Arthur's advisor and guardian (771). She saves Arthur from the treacherous Morgan le Fay (IV.9-10, 16) and the lustful sorceress, the Lady of Annwre (IX.16). She also provides aid to Arthur's knights such as Pellinor (III.5, 12-15). More significantly, as Holbrook suggests, she is depicted as Sir Pelleas's devoted and loving wife (771), so that her virtue and chastity form a strong contrast to Merlin's lechery. The work thus highlights virtue and chastity as important attributes expected of a positive magician. Merlin's romantic misery exposes his failure to hold himself to the high standard required. On the other hand, by depicting Nimue as the new guardian of the Arthurian community, Malory provides another representation of femininity. In addition to the archetypal portrayals of Arthurian females as evil, lustful sorceresses or weak, distressed damsels, femininity is also a supportive and nurturing force in the male homosocial realm. After all, it is Nimue and other ladies who take the dying Arthur to the Isle of Avalon and give Arthur's men hope of the return of the king.²¹ The shift of gender roles between Merlin and Nimue then raises the following questions: what is the cultural significance in terms of gender ideology in Nimue's outwitting and displacing Merlin as

hands of his bastard son Mordred on the battlefield. Merlin then comforts Arthur that at least his death will be a worshipful death, whereas his own will be a shameful one.

²¹ Arthur is fatally injured in his battle with Mordred. Witnessed by Sir Bedevere, Arthur is taken to Avalon (the legendary magical realm) by Nimue, Morgan, the Queen of Northgalis, and the Queen of the Waste Lands to have his wounds healed. But Arthur's death is soon confirmed when his tomb is discovered in a chapel (XXI.5-6).

the new guardian of the Arthurian community by having him imprisoned in a cave? Does it reflect certain anxieties about gender identities that may have been present during the publication period of *Le Morte D'Arthur*? In Merlin's portrayal as initially a seemingly asexual man, as Arthur's advisor and court magician, then as someone of poor peer relations, a lecherous man, and a romantic loser, what is really at stake in this gender tension between Merlin, the knights, and Nimue?

In *Le Morte D'Arthur*, heteronormativity is one of the key aspects that define masculine identity (Armstrong 36-7). In addition, masculinity is regulated by homophobia, which is clearly illustrated in Launcelot's comic encounter with Sir Belleus, in which the fear of male-male sexual desire or physical intimacy is addressed. In this instance, Launcelot finds a pavilion in a forest and, tired from traveling, he quickly falls asleep in it. Sir Belleus, the owner of the pavilion, arrives shortly afterwards, and in the darkness, he mistakes Launcelot for his paramour. Lying down next to Launcelot, he "toke hym in his armes and beganne to kysse hym" (took him in his arms and began to kiss him, VI.5). Launcelot leaps to his feet and runs outside the minute he feels "a rough berd kyssyng hym" (a rough beard kissing him).²² Sir Belleus, realizing that he is about to have sex with a man, promptly follows behind with his sword in hand. Not knowing each other's identity and thinking that each bears hostile intent to the other, they start fighting. As a result, Launcelot inflicts a severe wound on Sir Belleus. The fighting scene is nevertheless eroticized—without the protection of armor, the knightly body is permeable and invites penetration. Even though Launcelot and Sir Belleus eventually find out it is a misunderstanding, this amusing incident presents homosexuality or homoeroticism as a transgression in terms of proper manly conduct, and likewise damaging to masculinity.²³ On the other hand, Armstrong comments on Launcelot's unintended erotic acts with Sir Belleus, "Lancelot's immediate and violent reaction reflects an awareness of the potential danger of homosexual rumor and reputation that overshadows such a community of males" (94). Homophobia as a key aspect of male homosociality in Malory is clearly manifested. This finding is in line with conventional views proposed by critics such as John Boswell (1980), James A. Brundage (1987), and David F. Greenberg (1988) who suggest that Western culture has become more and more homophobic since the late Middle Age (Mieszkowski 21-49). Malory's conception of homosocial manhood as represented in *Le Morte D'Arthur* stands for the hegemonic definition of masculinity in his era, given his aristocratic background and "noble and dyuers gentylmen of thys royaume of England" (noble and diverse gentlemen of this realm of England) as his

²² Kathleen Coyne Kelly notes that the beard "serves as an unambiguous sign of sexual *sameness*. It reveals the two knights' 'mistake' at the same time that it covers up the possibility that Lancelot might have followed through with his lovemaking." See Kelly 60.

²³ Although there is an instance of Launcelot sharing a bed with Sir Kay (VI.11), it is presented as an arrangement made by the host instead of an invitation from Launcelot to Kay or vice versa. Armstrong, however, reads it as an acceptable and nonthreatening act, suggesting that Launcelot and Kay's lodging together reinforces the heterosexual gender binary in the text, "with those more 'preux' and valiant knights occupying a masculine position in opposition to those less martially adept knights occupy a more subservient, 'feminine' role." See Armstrong 91.

projected readers. In this regard, Merlin gives negative confirmation of the requirements of male homosocial bonding. To ease the buried anxiety about homosexuality which might have been provoked by Merlin's seemingly asexual nature, Merlin is feminized as someone with poor peer relations, who, in an attempt to validate his masculine status, foolishly seduces Nimue and ultimately dies a shameful death at her hands. In staging this outcome, Malory establishes and implicitly reinforces heteronormativity as a crucial definition of masculinity, which is regulated by homophobia. On the other hand, the gender tension between Merlin, the knights, and Nimue, indicative of a buried anxiety about homosexuality, further supports and reinforces Kimmel's observation that homophobia is a central organizing principle in the Western definition of manhood (131). Thus does this cycle of tales transmit a prescriptive set of behaviors and role models structured around the tensions between heteronormativity, homosocial bonding, homosexuality and homophobia. The text's compelling rhetorical gesture is to provide an exciting and complex challenge to readers to decode these paradigms and contradictions according to the received notions of masculinity and homosocial desire that informed the cultural logic of chivalry and knightly virtue during Malory's day.

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The Role of EFL Teacher Beliefs in Web-Supported Writing Instruction and Feedback Practices

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Abstract

Research on writing via computer-assisted language learning (CALL), particularly for learners of English as a foreign language (EFL), has documented a great number of benefits. Yet how teacher beliefs impact their practices in a web-supported learning environment has not been fully explored. This study is to investigate whether teacher beliefs lead to different approaches to utilizing blogs as a tool for a writing curriculum. Two Taiwanese teachers from two universities in central Taiwan were selected because of the co-created syllabus for implementing blogs as the web-supported writing tool in classes and the similar teaching activities that they utilized in process-oriented writing instruction. First, qualitative methods of in-depth individual interviews and a group interview afterwards were conducted for investigating teachers' beliefs. Then two retrospective protocols of teachers' feedback were also explored for their patterns of feedback provision, such as the frequencies of teachers' correction on students' errors as well as their feedback on the content-wise issues. The analysis of interview data identified four categories, namely 1) teachers' teaching in general, 2) teachers' feedback provision in different modalities, 3) teacher beliefs in error correction, and 4) teachers' beliefs in web-based feedback. Further analyses of both qualitative and quantitative data suggest that teacher beliefs in the treatability of errors contributed to their selective error correction. In addition, teacher beliefs in the feasibility of online teacher feedback varied greatly and led to their different adaptation of it. Furthermore, teachers' experience also mediated their implementation of feedback on error correction and content-wise issues. Finally, pedagogical implications of the study suggest the important role that teacher beliefs play in sustaining the practice of CALL.

Keywords: teacher beliefs, EFL writing, blended learning, teacher feedback

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教師信念在網路輔助英語寫作教學以及反饋實施所扮演之角色

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摘要

電腦輔助語言教學與寫作教學課程應用上的研究，尤其是針對以英語為外國語學習者的部分，有很豐碩的成果。而我們也看到電腦輔助語言教學對寫作教學的好處很多，但是有關老師的信念如何影響老師在以網路為輔助的教學環境上反饋的實施，則尚無太多發現。這個研究主旨在於探討老師的信念是否會導致老師在以部落格為工具之寫作課程上所使用的不同的教學方法。兩位從台灣中部大學的老師為此一研究之參與者，因為他們共同創建以實施部落格為網路輔助寫作工具之共同課程大綱，並於課堂上應用以寫作過程為主的類似教學活動。首先這個研究運用質化方法來收集資料，主要以個別和群體訪談為主，用以了解老師之信念。另外兩個反思類型之報告則是要來探討老師們對於錯誤糾正以及內容相關之反饋實施及次數分析。面談資料分析分成四大類：第一個：個別老師整體的教學、第二個：老師在不同的情境中對於反饋類型實施的模式、第三個：老師對於錯誤糾正的信念、第四個：老師對於以網路為主的反饋實施的信念。針對質化跟量化資料的進一步分析，我們發現老師對於錯誤是否能夠被糾正的信念影響到他們對於錯誤糾正的選擇，而且老師對於線上教師反饋實施的可行性之信念也有很大的差異，也導致他們對於網路教師反饋實施運用的差別。更進一步而言，教師的教學經驗也會影響他們對於錯誤糾正的反饋實施，還有其他有關寫作內容問題的反饋實施。最後此研究之教學建議顯示出教師信念在運用電腦輔助語言教學上所扮演的重要角色。

關鍵詞：教師信念、英語為外語寫作、混合式學習、教師反饋

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Introduction

While the product-oriented approach in writing instruction addresses writing as a final result of student's performance and treats students' errors critically, the recent trend of writing research shifted from product-oriented to the process-oriented approach. As Deqi (2005) pointed out, the change to a process approach in writing instruction represented as a "paradigm shift (Reid 1993)" (p. 67), which led to greater amounts of peer and teacher feedback on facets of writing beyond error correction.

The debate over which approach's treatment of errors is more conducive to fostering EFL learners' writing accuracy continues to be waged due to many and opposing findings in the research on written feedback. For example, Truscott's research on error correction (1996, 2001, 2004, 2007, 2010) has indicated that teachers' error correction feedback does not contribute to students' improved writing accuracy, whereas Ferris (2001, 2002, 2004, 2006, 2007, 2010) argues that the documented reduction of student errors across drafts indicates that they do indeed attend to teachers' error correction and adapt their revisions accordingly. Nevertheless, it is likely that teacher provision of feedback may vary in different teaching contexts and factors, such as real-time or online interaction and teacher beliefs in teaching writing could lead to their different patterns of providing teacher feedback. It can be seen from the studies in error correction that teachers' beliefs have not been taken into much account regarding how their beliefs interact with their feedback on students' writing issues, including linguistic errors particularly in web-supported learning surrounding, namely a "blend of both face-to-face experiences and online interactive activities" (Liang & Bonk 2009, p. 3) (Face to face will be abbreviated as f2f hereafter). Such exploration can reveal EFL teachers' teaching, their provision of written feedback in the language classroom and how their beliefs influence their practices. Blogs, for example, have been integrated in EFL/ESL writing classes and abundant research has been conducted to investigate the effects of blogs on enhancing students' writing ability with respect to vocabulary capacity, more complex grammatical structures, and critical thinking skills. (e.g., Arslan & Şahin-Kızıl 2010; Fellner & Apple 2006; Jones 2006; Liang 2010; Miyazoe & Anderson 2010; Mynard 2008; Zhang 2009). Yet how teacher beliefs interact with their feedback practice in a web-supported EFL writing classroom has not been fully explored. Thus, this study aims to fill part of that gap by investigating whether teachers' beliefs contribute to different feedback practices in the blended learning context.

Literature Review

Teacher Beliefs

Definition of Teacher Beliefs

Teacher beliefs have come under examination by researchers with respect to pre-service teachers, for example (e.g., Lee, Tsai, & Chai 2012; Teo & Chai 2012; Teo, Chai, Hung, & Lee 2008). What is exactly meant by the term "belief", however, is foggy in the literature. Several terms have been used simultaneously in the research of teacher education to understand teachers' values or their knowledge systems concerning language teaching. With a comprehensive review of studies in teacher cognition, Borg (2003), however, seems to use the two terms, beliefs and cognition, interchangeably to refer to the same concept when discussing teacher cognition. He further characterized the notion of "teacher beliefs" by stating that teachers make instructional decisions and choices "by drawing on complex, practically -oriented, personalized, and context -sensitive networks

of knowledge, thought, and beliefs” (p. 81). In a similar vein, Zheng (2009) reviewed teacher belief research on EFL pre-service teachers. Noting the ambiguity existing between the two terms “knowledge” and “beliefs” in the literature, Zheng (2009) defined teacher beliefs as ‘the complexity of teachers’ mental lives underlying their practices.’” (p. 74). To sum up, in this study teacher beliefs were referred to as a teachers’ knowledge system with respect to language teaching and learning and a network that teacher would tap into when it comes to decision making in instruction.

Trends in teacher beliefs have been related to those concerning language teaching in general (Basturkmen 2012; Pajares 1992), grammar teaching (Borg 2003; Eisenstein-Ebsworth & Schweers, 1997; Connelly & Clandinin 1988; Elbaz 1981; Kagan 1992; Kagan & Tippins 1991), literacy instruction (Phipps & Borg 2009), and pronunciation instruction (Baker 2013; Chiu 2008). As teaching ESL/EFL writing has surfaced as the most challenging among the four language skills, external factors, such as large class sizes or grading work overload, also pose difficulties on teachers’ writing instruction. Given the inherent complexity of teaching writing, how teachers think about their work and what their mentality towards teaching writing play critical roles in their choice of teaching approaches and feedback practices in an EFL writing classroom (Borg 2009, 2011; Calderhead 1996). Khanalizadeh & Allami (2012) investigated how teacher beliefs have impacted on EFL writing Instruction and the findings suggested that teacher beliefs on the basis of three views, namely product-oriented, process -oriented, and socio-cultural-oriented, were not associated with their education, gender, and teaching experience. Furthermore, the majority of the teachers still held product-oriented perspective as critical in writing instruction.

With the advance of computer technology it is more achievable to communicate in the written language of English, comparing to paper-based writing. In a similar vein, the use of web-supported writing instruction provides EFL learners with considerable opportunities to write and to communicate beyond the time constraint and the onsite classroom. Increasingly, writing teachers have incorporated web-supported tools into their writing courses. Writing on the web is not simply a distribution channel for students’ work anymore, but a more engaging and meaningful process of self monitoring and peer interaction. Researchers (e.g., Lin, Chen, Liaw, & Liou, 2005; Wible, Kuo, Chien, & Liu, 2001) have discussed and urged the use of computer-mediated writing in the EFL class and two of the most widely-studied tools for writing are the blog and the wiki. The blog and the wiki offer prominent features for EFL writing and are pedagogically open source platforms that provide a solid ground on social interaction and collaboration (Godwin-Jones, 2003; Su, 2005). Furthermore, the advantages of computer-based writing instruction have been investigated since two decades ago (e.g., Beauvois, 1997; Gruber, 1995; Robinson-Staveley, 1990; Sullivan & Pratt, 1996). Many Taiwanese researchers (e.g., Chao & Huang, 2007; Lin, Chen, Liaw, & Liou, 2005; Wible, Kuo, Chien, & Liu, 2001; Yang, 2009) have discussed and urged the use of computer-mediated writing in the EFL class. Nevertheless, Petko (2012) argued that despite the availability of computers and the Internet in many schools, many factors remained influential in determining teachers’ willingness to use technology in the classrooms, and among them teacher’s competencies and beliefs are still considered essential.

Correspondence and Mismatches Between Teachers’ Stated Beliefs and Their Practices

Studies in teacher beliefs have shown that there are correspondence and mismatches

between teachers' stated beliefs and their classroom practices due to many contextual factors, such as students'/parents' expectations or administrative pressure (e.g., Kim 2006; Lim & Chai 2008; Mak 2011; Ng & Farrell 2003; Phipps & Burg 2009). Basturkmen (2012) indicated that novice teachers' stated beliefs deviated from their classroom teaching mainly because of this changing process that they were in whereas experienced teachers' beliefs were inclined to be more corresponding to their teaching practices due to their teaching experience. Lee (2009) extrapolated correspondences and mismatches between secondary teacher beliefs and written feedback practice and indicated that teachers spent more time on language form whilst they believed accuracy is not the only factor leading to good writing. Furthermore, teachers inclined to attribute their constraints of practicing their beliefs in reality to external factors, such as the exam culture or pressure from their institutions. However, it is still inconclusive how those factors contribute to the matches and mismatches between teachers' stated beliefs and their teaching behavior.

Teachers' Practices of Feedback in the EFL/ESL Writing Classrooms

Writing instruction has long held a central position in the teaching and learning of English as a second/foreign language. There is an extensive body of research on EFL/ESL writing instruction, and much attention has been paid to the usefulness of teacher feedback on error correction and that of their feedback on higher order writing concerns in improving student writing. After the publication of Truscott's (1996) article, which claims that error correction does not improve students' accuracy in writing, many studies have been conducted to further validate or invalidate the claim (Bitchener, Young, & Cameron 2005; Ferris 1999, 2002, 2004, 2006, 2007, 2010; Truscott 1999, 2001, 2004, 2007, 2010). On the basis of abundant research findings in CF, Ellis (2009) reviewed research in CF and proposed a guideline to assist in teacher's provision of feedback in the classrooms. He argued that error correction appears to be beneficial to L2 acquisition regardless of oral or written CF (Bitchener & Knoch 2010; Bitchener, Young, & Cameron 2005; Sheen 2007; Ellis, Sheen, Murakami, & Takashima 2008). This viewpoint clearly speaks against Truscott's claim. As Ellis (2009) concluded, "CF is clearly a topic of importance in teacher education programs, not least because of the growing evidence that it can play an important role in enhancing both oral and written linguistic accuracy, the key issue is how to handle this complex issue." Thus, it is important to understand teacher beliefs in feedback provision as to explore the relationship between their patterns when offering feedback in the classrooms and students' expectations and/or perceptions of corrective feedback (Hyland 2010). Sheen (2010) conducted a study attempting to investigate the effects of both oral and written corrective feedback (CF) on L2 learners' acquisition of English articles. One critical perspective of this study was whether the explicitness of corrective feedback affected learners' learning of the target linguistic feature. Students were divided into four groups in which three of them were the experimental ones for oral and written feedback and the other was the control group. The findings showed that the explicitness of CF was the significant factor in enhancing students' acquisition of the features. The type of feedback emphasized in this study, however, was predominantly associated with that in error correction, not content-wise issues and the role of teacher beliefs in the provision of written feedback was still not clear.

Stepping away from the question of which feedback type is ideal, Diab (2005) argued that while ESL writing research encouraged teachers to provide feedback on content and organization, in reality most of the teachers focus on correcting students' linguistic errors. In light of the controversy that surrounds form-focused feedback versus

content-based feedback, Diab examined teacher beliefs with regard to their responses to ESL writing. The results showed that teachers addressed both grammar/sentence-level and content-wide concerns. A factor not explored by Diab's (2005) study is whether and how teacher beliefs about teaching ESL/EFL writing have impacted the types of feedback they prefer to provide.

Notably, a majority of the research into ESL/EFL writing instruction has taken place in a western context. Writing instruction in eastern and western context has been differentiated with regard to teachers' teaching styles, political issues (Casanave 2003), as well as the influence of cultures (Hamp-Lyons 2006; Hamp-Lyons et al. 2001; Lee 2008; Lee & Coniam 2013). Thus, it is critical to understand teachers' writing instruction in an eastern context. Lee (2008) conducted a study to understand teachers' practice of providing written feedback in secondary education in Hong Kong. Many teachers in this study indicated that they had to provide error corrections on students' compositions in order to meet student and parent expectations as well as administrative demands, although this ran counter to their beliefs that written corrective feedback was not beneficial to students. This study, while providing a valuable window into Asian teachers' beliefs about paper-based writing feedback, did not explore the relation between teacher's online feedback and teacher beliefs.

To fill the gap between teacher beliefs and classroom practices, Hyland (2010) asserted that "the global reach of English suggests that need for wider ranging research on teachers' beliefs and practices to reflect the myriad variety of context where feedback on L2 writing is given and used." (p. 175). This statement highlights the importance of understanding teachers' beliefs in teaching ESL/EFL writing and why it is critical to examine how teachers provide written feedback on form and content. Hyland went on to cite a number of studies which had stressed the limitations of web-based feedback capabilities as the basis for her push for further research into how web-based feedback could be best used in combination with face-to-face and peer feedback. Thus, in response to Hyland's observations, and grounded in the literature, this study aimed to explore the following questions in the context of college education in Taiwan:

1. What are teacher beliefs in terms of teacher feedback practices in web-supported EFL writing instruction?
2. What is teacher beliefs' role in their provision of written feedback in an EFL web-supported writing environment?

Method

Participants

In selecting the participants for this study, the framework postulated by Mishra and Koehler (2006) has been employed. TPCK (i.e. technological pedagogical, content knowledge) is based on Shulman's (1986) notion about teacher knowledge as being a function of pedagogical and content knowledge, known as PCK. Schulman's PCK framework attempts to explain how aspects of content knowledge can be organized and integrated into pedagogies to make a subject matter more suitable for instruction. By adding a technological component (T), Mishra and Keohler (2006) argued that contemporary teachers have to adapt to the rapid progress of educational technology and should actively develop their ability to apply technologies to enrich their teaching and thus postulated the TPACK framework, which underpinned the intersection of the three types of knowledge. Nevertheless, the three individual types of knowledge in this framework were addressed to locate the two teachers' expertise without considering the intersection of the three areas of knowledge.

In light of this framework, the two selected participants in this qualitative study were Ming and Ping (names are pseudonyms). Ming is a male part-time novice instructor at a public university with a PhD degree in curriculum and instruction. Ping is a female full-time experienced writing instructor in the English department of a private university with a PhD degree in applied linguistics. Ping had been an English teacher for more than ten years and was a very experienced instructor. Her teaching specialty is English compositions and had taught writing classes for many years. In addition, Ping became interested in CALL (computer-assisted language learning) years after she obtained her PhD degree and henceforth combined web-based teaching approaches in her writing classes. Ming's teaching specialty is using technology to teach English of different language skills and taught part-time when the study was conducted. The focus features of the two teachers were the following: First, they both had teacher training in Teaching English as a Second Language (i.e. Ping has a PhD degree in applied linguistics and Ming has a master's degree in TESOL). Second, they both had the three types of knowledge indicated in the TPACK framework (Mishra & Koehler, 2006). Third, they both had strong motivation in using technology or web-supported writing approaches in the classrooms. Forth, they both employed technology for students to provide peer feedback. Furthermore, the course syllabus was co-created by the two teachers and integrated blog-writing into writing courses during the same semester at their respective institutions; thus, ensuring a high level of agreement in essentials, such as teaching content and approaches. Fifth, they co-constructed the syllabus and used similar methods in their writing classes.

Students from the two classes were composed of those with greatly varied English proficiency levels. Ming's class was a cohort of students at a public university, entailing much higher English ability. In contrast, Ping's students' English proficiency was much lower than those in Ming's class. The prominent differences between the two cohorts of students could be distinguished by their writing on blogs with regard to length and the complexity of students' compositions. Students were required to write descriptive and narrative compositions and were assigned to comment on three of their peers' writing on blogs based on the consecutive school ID. For instance student whose school ID was number one had to comment on those students whose ID numbers are No. 2, 3, and 4 consecutively and so forth (see appendix C for more details).

Data Collection

In order to obtain analyzable data regarding teachers' beliefs about providing written feedback, two individual interviews, and one group interview were conducted, and retrospective reports about feedback practices were collected from the teachers. Both the individual interviews and the group interview were semi-structured and were conducted in English (see appendix A and B). The individual interviews lasted about 40 to 45 minutes each whereas the group interview lasted about 40 minutes. The interviews were recorded and transcribed, and member checking was administered to ensure the authenticity and the correctness of the transcripts. With respect to the retrospective reports, the researcher randomly selected three pieces of students' writing from their blogs for each teacher respectively to aid for in their reflections on the feedback they may have given their students. Furthermore, the syllabuses for both classes were also collected as artifacts to provide further details concerning the teachers' beliefs and their instruction.

Data Analysis

Content comparison method was utilized for the interview data and the frequencies of types of written feedback were calculated for the retrospective reports. The interviews

were analyzed by first identifying concepts in the data. Initially, two overarching themes were identified. (a) teachers' conceptions concerning EFL writing and their provision of written feedback on student blogs (b) comparison between teacher beliefs in providing written feedback in paper-based and web-based modality. In addition, another researcher was invited to reexamine the codes, categories, and subcategories in order to confirm the trustworthiness of the data analysis protocols. The agreement rate between the two researchers on the coding scheme of the categories was 90%. Satisfactory relocation of two problematic categories was achieved via negotiation.

Results

The Findings from Qualitative Data

The analysis of the data revealed four major categories (a) Teachers' teaching in general (b) teacher's feedback provision in different modalities of writing instruction (c) teachers' beliefs in error correction (d) teachers' attitudes towards and beliefs in written feedback to online and analog writing. All of the main categories and the subcategories are shown below in Table 1, and will be concisely discussed in the analysis. Furthermore, the findings were combined with the TPACK framework (Mishra & Koehler, 2006) indicated in the method section to elucidate the relationship between teachers' beliefs and the conceptions with the premise in mind that Ping has more content knowledge than Ming while Ming has more technological knowledge than Ping because of their specialties in language education and the differential teaching experience.

Table 1: Categories and the subcategories identified in the interview data in combination with the TPACK framework.

Main category	TPACK framework	Subcategory
Teachers' teaching in general	PK	Teaching approach
	PK	Teaching procedure
Teachers' feedback provision in different modalities	TK	Online feedback
	CK	F2f feedback
Teacher attitudes towards and beliefs in error correction	CK	Selective /no correction
	CK	Explicit/ implicit correction
	CK	Raising students' metacognitive awareness of errors
Teacher attitudes towards and beliefs in web-based feedback	TK	Immediacy of teacher/peer feedback
	TK	The implementation of online feedback

Note: 1. TK means technological knowledge; PK means pedagogical knowledge; CK means content knowledge.

Teacher's Teaching in General

Teaching approach

Both teachers utilized a mixed process writing and genre writing approach in their classrooms whilst integrating web-based writing with face-to-face instruction.

The teaching method that I applied...is based on the process writing...a mixture of genre-based and process-based writing (Ming)

Basically similar to Ming's process writing and the genre-based (Ping)

The genre-based process writing approach focuses on the development of content and appropriate organization of writing, thus shifting teachers' focus of correction to helping students express their thoughts and ideas about the topic in question.

Teaching procedure

Despite the similar teaching approach that both teachers applied in their writing classes, their teaching procedures varied to some extent. The following are brief descriptions of their teaching procedures.

First (I) will encourage them or the positive part of writing, so positive comments, always needed at the very beginning. And then ... turn to...some area they need to improve. (Individual interview: Ping)

Actually we have three steps. The first one is compliment and suggestions, and correction...blog. So they will follow the three steps...we also give them a guideline that they can focus on in terms of the organization, content, and grammar. (Individual interview: Ming)

Both Ming and Ping follow a determined set of steps in their teaching procedures. Differences did emerge, however. Ping usually started her class with a mini-lesson and a short in-class writing activity on which she gave her students feedback immediately. In Ming's class, he usually started with brainstorming activities followed by drafting and revising.

In essence, both Ping and Ming had similar teaching approaches due to this co-constructed syllabus as well as their similar background in language teaching. Hence, their pedagogical knowledge was approximate and did not differ to a great extent.

Feedback Provision in Different Modalities

Online Feedback

Both teachers indicated that they provided students with online written feedback because of the functions that blog writing can offer. In blog writing, teachers address more of the content and organization. The following is an excerpt from Ping to show her feedback behavior in the online modality.

No, blog writing, you cannot correct them (errors)...Comments in the blog should be talking more about the content or the organization. (Individual: Ping)

As can be seen from the excerpt, Ping did not give much error correction on students' blog writing but focused more on content issues. Similarly, Ming emphasized on the content as well.

F2f feedback

To complement the online feedback provided to students' online writing, teachers provided feedback via focus class instruction and individual conferences outside of the

class time. The following are two excerpts from interviews regarding the face-to-face feedback that they provided in the real classrooms.

Usually, for these two writings, since all the students are writing in (on) the web, so in the class, I can do oral feedback by showing the example I have targeted.
(Individual: Ping)

I think teacher-student conferencing is good. I also want to show the student's individual essay on the screen, and everybody can read it... and give the feedback at the same time. (Individual: Ming)

Both Ming and Ping targeted common issues that they found in many students' writing regardless of the issue types, for classroom discussions. The teachers addressed both the local errors and the content issues so as to show students what they could do later to improve their own writing. However, teachers may put a different emphasis on their provision of feedback when teaching students face-to-face. Ping, for instance, indicated that she would focus on the organization of students' writing in the real classroom. This is type of negotiation and reciprocal feedback can hardly be achieved on the internet due to the impossibility of getting all of the students online at the same time. Thus, Ping addressed more of students' errors in f2f feedback, which also showed that her possession of content knowledge was more than Ming's because of her rich teaching experience in the traditional classroom setting.

Teachers' Attitudes towards and Beliefs in Error Correction ***Selective correction or no correction***

Given the fact that students made errors in writing most of the time, it is not likely for teachers to correct all of the errors. Both Ming and Ping engaged in selective error correction practices, and sometimes opted to simply not correct errors at all. The below excerpts illustrate one of their rationales for doing so.

I remember there's a research by a scholar at Ching-Hua University, Truscott's, he did the experimental design and there's no difference teachers who correct the errors and who don't. So based on that paper, I believe we can do adequate correction rather than comprehensive.
(Individual: Ming)

Another important reason that teachers selectively corrected or did not correct students' writing errors was their emphasis on developing writing fluency over accuracy. Furthermore, one more critical aspect of teachers in choosing to selectively correct errors is their belief about the treatability or the prominence of errors (Bitchener et al., 2005).

Researcher: So why are you giving this kind of, correct errors selectively?

Ping: Because I believe these are treatable errors... The other parts, the other ones are untreatable...those are lexical grammatical one. (Individual: Ping)

Both teachers held somewhat similar perspectives on selectively correcting errors. They believed that some errors were more treatable than others, that common errors were more worth addressing than uncommon ones, and that correcting some errors would not be useful as the represented aspects of the language beyond students' current language proficiency.

Explicit/Implicit correction

Ping and Ming varied in the ways that they provided error correction. Whereas Ming dwelled on what he called implicit correction, Ping preferred a simple and direct approach. The following are two excerpts from them to illustrate their attitudes towards the explicitness of error correction.

~~Ming~~...I copy and paste the sentence. ... It's very implicit...I copy and paste the sentence, but I say "Oh, there's a grammatical error" or fragment...I didn't point out.
(Individual: Ming)

For example, if I say, talk about SV agreement, I will point (it) out, show them some examples, and they will see how many (same kind of errors) they have made.
(Individual: Ping)

As can be seen from the examples, Ming did not give students the correct forms of the grammatical errors but attempted to elicit reflections and self-correction from students. Ping, on the other hand, would show her students explicit examples of the errors that have been made in the majority of students' writing. In addition, both stated their purposes of utilizing explicit/implicit correction were to raise students' metacognitive awareness of their own errors.

Teachers' Beliefs in Web-based Feedback

Immediacy of teacher/peer feedback

Both teachers mentioned the openness of the web and how this openness is beneficial to both students and teachers with respect to tracking students' progress in writing.

I prefer web-based feedback. The feedback can be reviewed... over and over again... So feedback, if it's web-based, probably they (students) can review it at night time, or when they need it. (Individual: Ping)

I prefer web-based feedback, and I can see how students modify their essay after they receive my suggestions or comments, and what kind of modification they have made through this process. (Individual: Ming)

Although the feedback that Ping provided was traditional in that it was oral and directed at the whole class, it was facilitated by a modern web-based environment. She was able to see her students' writing immediately, and, therefore, responded both orally and on-screen immediately, which resulted in the immediacy of teacher feedback. Furthermore, both teachers stated that the immediacy of online teacher/peer feedback led to collaborative learning because online feedback was available for all the learners to view and, therefore, any students could learn, not just from one's errors, but from the errors of others as well. An excerpt by Ming illustrates this perspective.

When we use the web-based environment, we want to bring in the peers, peer feedback; otherwise there is no reason to use a web-based platform...also we want more people to read the students' essay...I believe the openness of the web environment. (Individual: Ming)

The implementation of online teacher feedback

The teachers' habits of providing online feedback reflected their differing beliefs

about the effectiveness of teacher feedback on students regarding viewing teacher feedback before or after performing peer review. Ming required students to offer peer feedback on blog entries before giving his own. In contrast, Ping did not do peer feedback first but provided her feedback on students' blogs immediately.

Okay, the blog writing, if I give any comment before peer feedback activity, I think my comments will influence students' (opinions). Or they don't know what to say, so I'd better let them say it first.

(Individual: Ping)

It is shown that teachers' beliefs in the implementation of online feedback affected their priority of giving feedback when combining peer feedback in the online environment. It was Ping's concern that if she gave her feedback online; then all of the students would read it immediately and it may lead to students' lower motivation in giving their peer feedback. However, Ming's choice of applying peer feedback prior to teacher's feedback suggested that students' preview of teacher's feedback was not a concern to him. When explaining this phenomenon with the TPACK framework, it seemed that Ming considered it the first priority for students to provide their feedback on their peers' writing before his own and this different priority may have been attributable to his abundant training and specialty in educational technology while Ping still regarded it important for her students to obtain teacher feedback first.

The Findings from the Quantitative Data

Table 2 below illustrates the two teachers' error correction, based on their retrospective reports.

		Ping	Ming
Linguistic errors	Grammar	17	6
	Spelling	1	0
	Punctuation	1	0
	Cohesiveness	7	0
	Word usage	3	2
Content-related issues	Coherence	0	2
	Organization	0	4
	Content/ideas	2	6

At first glance, it appears that Ping administered error correction more than Ming, which contradicts what she claimed in her interview about focusing on content and organization issues. However, as Ping indicated in the interview, she tended to made more error correction because students asked for it. This stands in agreement with many studies that have concluded that ESL/EFL learners prefer teachers' written feedback on their errors to feedback on content (Lee, 2008). However, she pointed out students' linguistic errors and content-related issues mostly in face-to-face situations or during the individual teacher-student conferences outside of the class time. Ming's feedback numbers corresponded closely to his claim regarding putting emphasis on content-related issues. As can be seen in Table 2, Ming addressed content/idea issues more than the coherence issue. He also frequently pinpointed students' issues of organization issue. In contrast, Ping corrected more of students' linguistic errors, in particular grammar errors.

The difference between the two teachers' provision of feedback on varying aspects

of students' writing is probably due to their teaching experience and their individual understanding of students' expectations from teachers. Ping, as an experienced instructor at the college level was very aware of her students' expectations for writing classes. Ming, who is a novice teacher, may not have had much understanding regarding his students' expectations. Furthermore, the students' English proficiency varied a great deal between the two classes, which may have caused the different patterns of feedback provision between the teachers in retrospective reports.

Discussion

The two teachers' beliefs in providing online feedback have been affected by their expertise as well as their personal exposure and preferences to the rapidly advancing technologies available to instructors. They preferred web-based feedback due to their familiarity with tools and feasibility of the online learning environment, and due to their beliefs that open access for students to review teachers' and peer's feedback is of benefit to students. Part of the findings contradicted with the results of Khanalizadeh and Allami's (2012) study and the probable factors of the differences between the current study and Khanalizadeh and Allami's (2012) may lie in the sample size and the research methods. Nevertheless, both teachers in the current study did not discard the more traditional methods of teaching in writing, but reinforced instruction through the application of technology.

As the results suggested, Ping and Ming implemented different types of feedback in different modalities and gained insight into how to raise their students' awareness of different writing problems. Furthermore, both teachers harbored different levels of concerns with respect to the effects of peer feedback on students' comments on their peer's writing. In this aspect, teachers' teaching experience mediated their decisions on the priority of giving teacher and peer feedback online.

Both teachers' beliefs in error correction and feedback on other writing issues have been tremendously influenced by research findings in ESL/EFL writing and their academic training in the field of study. For example, Ping mentioned that her beliefs in feedback provision have been formed based on her understanding of research findings and her experiments with her own students over years of instruction of the same course. Ming, on the other hand, established his teaching beliefs formed when receiving academic training as a graduate student. Figure one shows the relationship between the three types of knowledge, the two teachers' beliefs, and how they have contributed to their teaching from different perspectives.

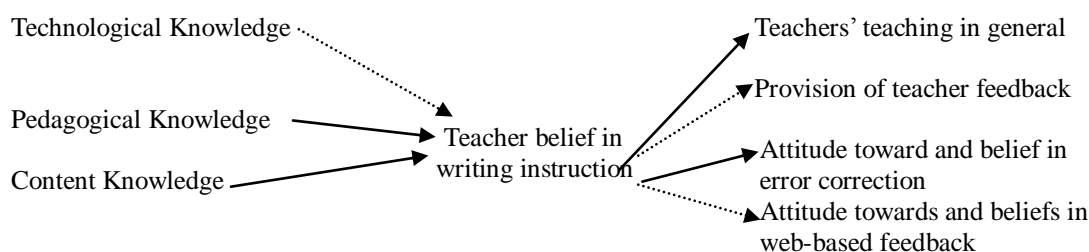


Figure 1: The TPACK framework, teacher beliefs, and teachers' teaching

In figure 1, the dotted arrow indicated the extent to which teachers' knowledge of different areas was co-related with their beliefs and eventually their teaching behaviors. For example, language teachers who did not have much knowledge or strong interest in using technology in the classroom may not provide any online feedback or even adapt

online peer feedback. The two teachers in this study, however, possessed different levels of the three types of knowledge and their beliefs in writing instruction reflected their teaching behaviors despite the fact that they both advocated the use of technology in language teaching.

The findings of the study indicated that there is a gap between teacher beliefs and their actual practices in a web-supported EFL classroom. This gap seems to be a common artifact among EFL teachers as they respond to factors, such as students' expectations that teachers will provide comprehensive error correction of their writing (Lee, 2010). Regardless, teachers' deeply held beliefs in error correction and other feedback on student writing still greatly influenced their teaching and feedback provision in the classroom. Ping, for example, gave mini lessons based on common errors in the online writing, and went through students' in-class writing immediately in order to identify and address major errors and other writing issues with students during in-class. Ming focused more frequently on issues of content, organization, or ideas yet still corrected students' linguistic errors from time to time. It is likely that due to Ming's students' much higher proficiency level, it is not critical for him to correct students' grammatical and lexical errors all the time and he could therefore direct more of his attention to the content of students' writing.

Teaching implications

In this section, we will discuss implications for the future of teaching EFL writing in a web-supported context. In accordance with the findings, teachers' knowledge as well as their ability to combining online writing tools into their writing instruction can enrich their teaching in general (Bache and Taslaci 2009). The implications of teachers' shift towards online writing instruction, and the implications of both teachers' perspectives and adaptations to this shift, indicate that f2f feedback is changing shape dramatically. Teachers will have to implement different types of f2f feedback in order for analog correction to stay relevant and research suggests that they need to stay relevant because they offer things that digital feedback avenues cannot provide. Furthermore, teachers' awareness of their roles in such a blended learning environment should be emphasized to a greater extent. (Motteram and Sharma 2009) Put differently, an ever-expanding variety of online writing activities are available (e.g., error logs or writing logs) as well as differing forms of feedback in the online and analog modalities, and teachers need to know how to best employ all of the above in order to raise their students' error awareness and foster self-correction and autonomous learning habits in the long run.

In order to make informed decisions about the use of many CALL tools, EFL writing teachers will need to know students' strengths and weaknesses in English writing before the class officially begins. Teachers may, for example, ask students to write a short paragraph of self-introduction online. A further analysis of students' writing pieces will help teachers establish a learner profile as a data base on blogs and take notes to document each student's potential writing ability at the time. Through the integration of online writing as well as types of feedback, such as peer feedback, teachers can ask students to compare their own writing errors with their peers and then divide students into small groups based on the errors or writing issues that they have made in common so that they can work collaboratively to enhance their writing accuracy and fluency simultaneously through the utilization of online writing tools. Teacher's role in the instructional setting will be as facilitators and should provide students at different proficiency levels with variant guidance in writing when combining CALL in writing instruction. For students of lower levels, more emphasis can be placed on their grammatical and lexical aspect in

addition to the content and teachers can utilize many online tutoring tools to help students correct their linguistic errors first and then teachers are able to pay more attention to students' content issues. To assist students of higher writing ability and through the employment of online writing tools, teachers can direct more of students' attention to their content-related issues by pinpointing how they have presented their thoughts and ideas in their writing and how the logic behind their writing may have been affected by their first language or how their writing can be revised to be more compatible with English writing styles. Additionally, through updating learner's online writing profiles throughout the period of instruction teachers can see the progress that students have made. The learner profiles can also provide teachers with important information regarding what has been missing in students' writing and how teachers can fill the gap through various writing practices and activities in both online and f2f situations.

Conclusion and limitations

This study has contributed to the field of ESL/EFL education research by exploring teachers' beliefs in web-based writing instruction and their feedback provision. Whilst the qualitative data showed that both teachers' stated beliefs in writing instruction have been interacted with research findings in ESL/EFL writing and with their own academic training, the quantitative data indicated that teachers' teaching experience plays a role in mediating their beliefs and feedback practices when giving peer and teacher feedback online. Students' expectations appear to be particularly influential in teachers' decision about what types of feedback to provide their students with.

There were limitations to this study. Because it is a qualitative study, the teacher beliefs that have been identified here cannot be generalized to other EFL teachers who are also currently teaching at the college level but may lack the technological knowledge held by the two teachers in this study. Furthermore, the two participating teachers' knowledge about integrating technology in their classrooms may have precipitated beliefs about teaching EFL writing and feedback provision that were different from those of traditional EFL writing teachers. Finally, a larger sample of teachers would provide more comprehensive information on teacher beliefs in relation to feedback practices in a web-based context.

Appendices

Appendix A

Prompts for individual teacher interviews

1. What are your beliefs regarding paper-based feedback and web-based feedback when teaching EFL writing?
2. What do you usually do to correct your students' errors in writing? Are there any aspects of errors that you put more emphasis on when commenting on your students' writing? Why?
3. Do you mark errors selectively or comprehensively? Why? Can you also describe and explain your preferred error feedback strategies.
4. Has your previous training given you any idea about how to provide feedback on student writing? What do you know about "effective" feedback?
5. What kinds of feedback to student blog writing and their wiki space writing do you usually give and why?
6. How have your beliefs in teaching EFL writing been changed after teaching this class?
7. How do you feel about teaching writing at the college level and how long have you been teaching writing classes?
8. What else can you think of concerning teaching ESL/EFL writing, responding to students' papers?

Appendix B

Prompts for the group interview

1. What teaching methods in writing do you usually use in your classrooms and why?
2. How do you think responding to your student's blog writing may assist in your writing instruction?
3. How do you feel about giving feedback to your students' blog writing and what would you pay attention to when giving your students feedback?
4. What else can you think of concerning teaching ESL/EFL writing, responding to students' papers...?"(Adapted from Diab, 2005)

Appendix C

The course content and assignments of the two writing classes

Content & Assignment
<ul style="list-style-type: none"> • Introduction of the course syllabus • Web-based writing orientation (i-writer, blog) • Pretest: Timed essay in 40 mins • Blog (1): Set up a personal blog space & self introduction
<ul style="list-style-type: none"> • Writing process: Pre-writing (listing) • Writing genre: Descriptive http://www.roanestate.edu/owl/Describe.html • In-class exercise: Describe a person • Blog (2): Continue your class into a 400-word essay
<ul style="list-style-type: none"> • Writing process: Peer editing • Writing genre: Descriptive • In-class exercise: Training of giving peer comments • Feedback on blog(2): Provide peer feedback to 3 classmates with consecutive school ID numbers
<ul style="list-style-type: none"> • Writing process: Revising

<ul style="list-style-type: none"> • Writing genre: Descriptive • In-class exercise: Training of revising • Blog (3): Revise blog (2) into a 500-word essay based on the feedback received
<ul style="list-style-type: none"> • Writing process: Pre-writing (mind mapping) • Writing genre: Narrative http://www.roanestate.edu/owl/Describe.html • In-class exercise: Describe an experience • Blog (4): Continue the class draft into a 400-word essay
<ul style="list-style-type: none"> • Writing process: Peer editing • Writing genre: Narrative • In-class exercise: Story summary • Feedback on blog (4): Provide peer feedback to 3 classmates
<ul style="list-style-type: none"> • Writing process: Revising • Writing genre: Narrative • In-class exercise: Timed essay with a mind map (An inspiring person/event/book) • Blog (5): Revise blog (4) the draft feedback into a 500-word essay based on the feedback received

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乾嘉學術中堅的揚州學派——阮元的經學之功暨仁學重建

張麗珠*

摘要

乾嘉學術在考據學和義理學兩方面均有突出表現，揚州學術則以其博通和創新的精神，對此二者皆有優異表現與開拓；阮元又是揚州學者中兼有考據與義理成就者，是以本文藉為線索，希冀通過對揚州學派和乾嘉學術的共同學風、但未必是當時普遍風趨的學術考察，論證揚州學派是為乾嘉學術的重要內容。本文論述架構，第一節先在「乾嘉學術」、「揚州學派」、「阮元」三者間建立起橋樑；第二節從「經部文獻之整理與保存」說明阮元對於乾嘉學術的貢獻；第三節說明阮元在訓詁學上對乾嘉學術的推進，包括語源學之「義從音生」、名物考證與古籍辨正、金石學三小節；第四節闡明阮元對「乾嘉新義理學」之繼續深化，包括阮元之道器觀、節性說、「相人偶」仁論三小節，最後次以結論，期於略見揚州學術和乾嘉考據學、新義理學的關係樣貌。

關鍵詞：揚州學派，義從音生，乾嘉新義理學，節性，相人偶。

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Yangzhou School—the Elite of Qian-jia Scholarship: Ruan Yuan’s Achievements in Confucian Classics and the Reconstruction of Confucian Ethics

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Abstract

Qian-jia scholarship excelled both in textology and Confucian philosophy where Yangzhou scholarship developed both learnings in the spirit of great erudition and innovation. Ruan Yuan was among the top Yangzhou scholars in both textology and Confucian philosophy. Based on the premise, the author presents Yangzhou school as the essential elements in Qian-jia scholarship while investigates the common style of Yangzhou school and Qian-jia scholarship. However, the style was not particularly prevalent at the time. The argument starts off by building bridges among “Qian-jia scholarship,” “Yangzhou school” and “Ruan Yuan” in section 1; section 2 describes Ruan Yuan’s contribution to Qian-jia scholarship with his “collections and preservations of classic literatures”; section 3 depicts Ruan Yuan’s achievements promoting Qian-jia scholarship in Chinese semantics which include “meanings derived from pronunciation” in etymology, verification of terms, proofreading of ancient books and epigraphy; section 4 illustrates the increasing depth of Ruan Yuan’s “Neo-Confucian philosophy” which consists of Ruan Yuan’s Taoist concepts of wares, controlling of desires, “mutual respect” in Confucian ethics (theory of *ren*) and conclusion. It is intended to have a glimpse at the relations among Yangzhou school, Qian-jia textology and Neo-Confucian philosophy.

Keywords: Yangzhou school, meanings derived from pronunciation, Neo-Confucian philosophy in Qian-jia , controlling of desires, mutual respect

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一、前言：乾嘉學術中堅的揚州學派暨阮元述略

乾嘉學術除後人所稱道的吳派惠棟（1697-1758）、皖派戴震（1723-1777）外，揚州學派亦師儒蔚起，成為鼎足的另一重要支派；¹大約起於乾嘉後期的揚州學派，對於前述包括考據學和義理學雙重成就的乾嘉學風頗有推進之功。揚州以一府之地，在清代學術史與思想史上前後踵繼出現了许多名卿碩儒，為清代學術寫下輝煌的一頁，學術成就可謂奪目！揚州學派的碩學宏才，焦循（1763-1820）、阮元（1764-1849）之外，如汪中（1744-1794）、江藩（1761-1831）、王念孫（1744-1832）、王引之（1766-1834）父子、劉寶楠（1791-1855）等，也都是當世極負盛名之學者；客寓揚州而有「一代禮宗」之稱的凌廷堪（1755-1809），也向被視為揚州學派。支偉成在《清代樸學大師列傳》中說「凌廷堪以歙人居揚州，與焦循友善。阮元問教於焦、凌，遂別創揚州學派。」徐復亦謂焦循、阮元、凌廷堪為揚州學派之「首創者三家。」²不過學派之分只是後人便於討論，實則吳、皖關係密切，有學風創始與繼承發展的歷程意義，並且戴震弟子以揚州為盛，如傳其典章制度的任大椿（1738-1789）、傳其聲音故訓的王念孫；又，清儒間問學甚勤，經常書信辯難或相互走訪，譬如惠棟、戴震，也都是來揚州的學者，故清代中期吳、皖、揚州諸學間關係密切、交互影響，形成了一個包括江蘇、浙江、皖南等地區的經學群體中心，並逐漸擴大影響力及於國內各地。學者張舜徽《清代揚州學記》曾自地域性指出揚州府治領二州（高郵、泰州）、六縣（江都、甘泉、儀徵、興化、寶應、東台），時間上則從康熙間的王懋竑（1668-1741）到近代的劉師培（1884-1919），幾將所有重要的揚州學者皆涵蓋其中；現代學者亦有依時間先後，劃分為第一期如任大椿、汪中，第二期如焦、阮、凌等，第三期如劉文淇、劉寶楠者。³故本文所論揚州學派，不限祖籍，客寓亦可，凡乾嘉以後依此地理條件問學切磋、而具地域性文化特質者，皆視為揚州學派。

清代是我國經學復盛的時代，梳理古籍、建立方法論，大有功焉！惠棟首標漢幟，引領一代風潮，通過輯存漢儒古義以及「漢學解經」進路，為乾嘉考據學立下普遍獲得遵循的「漢學」解經規範；戴震更建立了「識字審音」的「由詞通道」訓詁學方法論，要求治經先考字義的「字→詞→道」治經門徑。繼乾嘉前期儒者在文字、聲韻、訓詁上獲得可觀成就之後，揚州學派有諸多實踐成果：如在考證典制名物上，任大椿淹通禮學而長於名物，著有《弁服釋例》、《深衣釋例》、《釋繒》……等，凌廷堪則有歸納禮例的《禮經釋例》；而繼惠棟《明堂大道錄》開清儒考辨明堂風氣後，汪中、阮元等續有推進，亦皆有所發明；文字音韻及考辨、闡發經義方面，則有任大椿《小學鉤沉》、《字林考逸》，王念孫父子《廣雅疏證》、《讀書雜誌》、《經義述聞》、《經傳釋詞》、《春秋名字解詁》……等，王念孫並以《合韻譜》進一步完

¹ 有關近世之揚州學派研究概況及成果，可參考楊晉龍：〈臺灣學者研究「清乾嘉揚州學派」述略〉、蔣秋華：〈大陸學者對清乾嘉揚州學派的研究〉、張壽安：〈清代揚州學派研究展望〉，《漢學研究通訊》，19卷第4期，2000.11，頁596-610、611-618、619-624。

² 支偉成：《清代樸學大師列傳·皖派經學家列傳第六》（台北：藝文印書館，1970），頁145；趙航《揚州學派新論·序》（南京：江蘇文藝出版社，1991），頁1-2。

³ 詳楊晉龍前揭文，頁597。

善了戴震的古韻分部，王國維稱為「無可增損」、「臻其極也。」⁴王引之亦奉詔作《字典考證》，糾正《康熙字典》達二千餘條；阮元也在戴、段、二王「因聲求義」條例外，復以語源學角度的「義從音生」說補充了訓詁學方法論；而標幟清代經學成就的群經新疏，則揚州學者有劉文淇《左傳舊注疏證》、劉寶楠《論語正義》、焦循《孟子正義》等重要疏注，並為清注善本。若此皆有功於乾嘉音聲故訓之學。

此外，清儒能夠發揚乾嘉新義理學者，⁵亦主要在於揚州學派：如汪中〈大學平議〉激烈批評宋明理學，〈荀卿子通論〉並以孔、荀並稱取代孟子的地位；有「通儒」之稱的焦循則在著名的《雕菰樓易學三書》外，以《孟子正義》會通《易》、《孟》，並繼戴震「德性資於學問」之重智道德觀後，亦以強調德、智密切關聯的「趨利故義」、「能知故善」等命題突破傳統義理觀；阮元也在研經、校勘、整理經部文獻之外，又涉金石、銘文、義理學等諸多領域，並以「相人偶」仁論和「仁必須為」的現實取向，發揚實在界「爾我親愛」的仁學思想；凌廷堪則在經禮考據的《禮經釋例》外，復撰有提倡禮學思想的〈復禮〉數篇，致力於宏揚儒家禮治理想，突出行為儀則與具體規範，並「以禮代理」地肯定禮俗文化對道德實踐的裨益，有「一代禮宗」之稱；劉寶楠《論語正義》則稱「人未有知其不利而為之，則亦豈有知其利，而避之弗為哉？」⁶以此批判長期來的「義利對立」思想窠臼；汪中亦在文字、訓詁、名物度數及金石、諸子等眾多領域，頗有專精研究。對照當世學者對於戴震新義理學的冷漠態度與負面攻訐，則揚州學者不但是戴震在清代非常難得的義理知音，也表現了揚州學風博通和創新的精神，張舜徽亦嘗曰「無吳、皖之專精，則清學不能盛；無揚州之通學，則清學不能大。」⁷就學術分科言，揚州學風除以上述經學考據和義理學見長外，復多兼擅金石、銘文、戲曲、諺謠等領域之博通成就者；就學術精神與思想內涵言，其亦往往展現貫通與創新的精神，是以本文欲通過對揚州學派和乾嘉學術共同風趨、卻未必是當時普遍風趨的考察，論證揚州學派是為乾嘉學術的中堅——當時其他地區的學術發展，如浙東學術，則雖涉考據藩籬但主要以史學見長；常州學者則如莊存與（1719-1787）、莊述祖（1750-1816）、孫星衍（1753-1818）、洪亮吉（1746-1809）等，尚未擴大其影響力，晚清今文學亦尚未興起，且其經術文章的文士風氣與探賾微言傾向，也與乾嘉主流考據學風有別。至於擇就阮元以為考察線索，係因阮元是在考據和義理兩個範疇皆有建樹的代表性學者，能夠具現揚州學派精神。

阮元一生歷仕乾隆、嘉慶、道光三朝，正當清朝世運變遷之際，《清史稿》稱其「主持風會數十年，海內學者奉為山斗焉！」錢穆《中國近三百年學術史》盛推為「領袖一世」的「清代經學名臣最後一重鎮。」近世學者亦論以「乾嘉上下百年

⁴ 王國維：《定本觀堂集林·周代金石文韻讀序》（台北：世界書局，1991），頁394。

⁵ 關於清代新義理學，另參張麗珠：「清代新義理學三書」，分別由台北：里仁書局，於1999、2003、2006出版。

⁶ 劉寶楠：《論語正義》（台北：文史哲出版社，1990），卷10，頁320。

⁷ 張舜徽：《清代揚州學記》（揚州：廣陵書社，2004），頁2。

的考據學潮流，出而從正面加以理論指導的，前為戴震、後為阮元。」⁸阮元是儒學史上極難得的、集封疆大吏與學術成就於一身的經學名臣，他雖為顯宦，但著述宏富，編撰書籍不計其數。其所編刻而為世盛稱的曠世要籍主要有：大規模詳細校勘且重刻宋本的《十三經注疏》並附《校勘記》，迄今仍為最佳版本；輯刻清代學術精華總匯的《皇清經解》；主持編纂集傳注大成、規模極宏大的古漢語訓詁資料總匯：《經籍纂詁》，至今仍為古漢語詞義訓詁及辭書類重要的工具書——阮元幾乎輯刻了我國所有重要經學成就和訓詁工具書的文獻鉅編。此外，他並刻印了由他輯佚並親自謄校的《太平御覽》，蓋「存《御覽》一書即存秦、漢以來佚書千餘種矣！」⁹又編刻我國第一部天文數學及科技史的《疇人傳》，和戴震所輯的《算經十書》，共同為我國古代天算史奠定了資料基礎；他還重視地方方志與文物，纂有《廣東通志》、《雲南通志》和徵存時人詩文的《兩浙輶軒錄》、《淮海英靈集》等；復看重能「證經辨史」、「補經傳所未備」的金石學，嘗編纂《山左金石志》、《兩浙金石志》、《積古齋鐘鼎彝器款識》等；亦曾選刻《文選樓叢書》，集揚州「文選樓」古書善本三十二種；又主持增補《四庫全書》所闕遺之宋元以前圖籍的《四庫未收書目提要》，為仁宗皇帝賜名《宛委別藏》，並編入《擘經室集》中。¹⁰阮元所致力輯刻的圖籍之多，歷來罕有過之者，他曾自述「役志在書史，刻書卷三千」，¹¹誠非虛言；他之致力於獎掖人才、資助刊印並興建書院，亦為歷來少有，¹²其於學術之影響可謂深遠。至於阮元之學，則他在「封疆九省，揚歷中外」的仕宦生涯外，猶學兼多方地兼擅輯佚、校勘、考據、義理等專門之學；除擘經外，他並兼通史、文、哲、曆算、金石、譜牒、輿地、文字、音韻、訓詁等涵蓋面向極廣的各學，嘗撰《十三經注疏校勘記》、《國史儒林傳稿》、《三家詩補遺》、《考工記車制圖解》、《曾子注釋》、《詩書古訓》、《小滄浪筆談》以及詩文雜著《擘經室集》……等。

二、從「經學復盛」到經部文獻之整理與保存

清代是我國經學復盛的時代——在儒學漫長的演進歷程中，《五經》傳統與《四書》傳統是各領時代風騷的兩大脈絡；在宋明清近千年的學術發展中，緊接著宋明理學後的清學，就是以回歸經學傳統宣示其於儒學統緒之繼承。是故清代學術最重要的特徵，就是回歸《五經》傳統，並以此樹異於宋明理學的《四書》傳統。

⁸ 分詳《清史稿》（收在《二十五史》，上海：上海古籍出版社，1995），頁1289；錢穆：《中國近三百年學術史》（台北：台灣商務印書館，1987），頁478；王茂、蔣國保、余秉頤、陶清：《清代哲學》（合肥：安徽人民出版社，1992），頁724。

⁹ 阮元：〈重刻宋本《太平御覽》敘〉，《擘經室集》（北京：中華書局，1993），頁693。

¹⁰ 吳哲夫嘗撰〈《宛委別藏》簡介〉、〈阮元與宛委別藏叢書〉，詳細說明《宛委別藏》的來源、現況、數量出入與現存書目（詳《故宮圖書季刊》1【2】，1970，頁39-58；《故宮文物月刊》2【3】，1984，頁116-120）。

¹¹ 阮元：《擘經室續集·和香山知非篇》（據《叢書集成初編》補，北京：中華書局，1985），卷10，頁287。

¹² 阮元好獎掖人才，曾資助刊印焦循、凌廷堪、汪中、錢大昕、錢塘、劉台拱、孔廣森、張惠言……等各家遺作；又亟致力於興建書院，曾建「詁經精舍」於杭州西湖白沙堤、「安瀾書院」於海寧、「學海堂」及「三水行台書院」於廣州，皆當時國內重要書院，一時學者多出其中。

考據學對理學的學術典範取代，是在清初到乾嘉的形上學式微背景下，逐漸完成新舊典範交替的。此時儒者的關心議題，已經抽離程朱、陸王對立下的認識論或工夫論探討，轉趨經學主軸下、對詮釋經典所依賴的考據基礎關注，如名物度數、音韻訓詁等。在轉變歷程中，標舉「漢學解經」進路的惠棟和建立「由詞通道」訓詁學方法論的戴震，皆關鍵性代表人物。此外，清廷也從康熙敕纂《朱子全書》、《性理精義》，極力「尊朱」的理學興趣，¹³逐漸轉移到乾隆之好尚經術——高宗在乾隆元年即位初即諭開「三禮館」，命儒臣纂修《三禮義疏》；乾隆15年（1750）開「經學特科」，薦舉經術之士；¹⁴乾隆38年（1773）又開「四庫館」，儼然為漢學家大本營。並且高宗在乾隆中葉後也一改早年的推闡朱學態度，多次對於《中庸章句》、《朱子語類》以及朱子說法等提出異議和辯駁。¹⁵清廷由「尊理學→尊經學」的官方意識形態變遷，對乾嘉經學興盛也有推波之功。

自從惠棟等樹立「尊漢抑宋」旗幟並重回經學傳統以來，清儒開始對《五經正義》之魏晉以降群經義疏以及《十三經注疏》展開全面檢覈。乾隆到嘉道間，有諸多儒者在「漢學」典範下、從事於輯存漢儒「古義」並據以解經，並有直溯兩漢經師、或可以稱為「十三經新注」的群經新疏出現。譬如邵晉涵（1743-1796）《爾雅正義》、孫星衍《尚書今古文注疏》、焦循《孟子正義》、郝懿行（1757-1825）《爾雅義疏》、劉寶楠《論語正義》……等，故梁啟超（1873-1929）稱清學最有功經學者，在於「諸經殆皆有新疏。」學者張素卿亦以「從『古義』到『新疏』」稱此脈絡，¹⁶是為清代經學之復盛——而清儒此一重要經學成就，就是藉阮元纂輯《皇清經解》加以保存的。並且阮元之有功儒家經部文獻，不僅對於清代經學成果之輯存；對薈萃歷代經學成就的《十三經注疏》，他也重加整理並刊刻，且撰為《十三經注疏校勘記》。所以就我國整體經學言，阮元既有保存舊文獻之功，也以新編叢書的高度肯定清代經學成果，使我國經學成就得以通過《十三經注疏》→《通志堂經解》、《經義考》、《四庫全書》經部要籍→《皇清經解》、《皇清經解續編》，而獲得全面保存。

以下即依阮元的舊文獻之功和新編清代經學叢書，以為敘述脈絡：

我國經學匯刻本始於後唐長興三年（931）之《九經》印版；逮及兩宋，刻本漸多，存世以南宋所刻、附有釋音注疏的十行本《十三經》最古；其後明嘉靖有用十行本重刻之「閩版」，萬曆間又有用閩本重刻之「監版」，崇禎時也有用監本重刻之汲古閣「毛氏版」；清則書坊通行唯汲古閣毛本，然輾轉翻刻，訛謬百出，且多

¹³ 康熙雖也重視經學，也曾重修諸經，如御纂《易經解義》、《書經解義》等；但大抵未脫胡廣《五經大全》底色，康熙朝的學術好尚主要是提倡理學、崇獎朱學。

¹⁴ 康熙17年舉「博學鴻詞」科，雖然大儒如顧炎武、黃宗羲、李顥等皆堅辭不出；但所舉而授以《明史》編修的朱彝尊、汪琬、潘耒、施閏章、湯斌、毛奇齡等則確然相應於博學鴻儒之稱。高宗時雖亦曾舉「博學鴻詞」科，但虛應故事而已，意義不大；反倒是乾隆15年所開「經學特科」，具有呈現清初學術風趨之意義（論參林存陽：《清初三禮學·清廷決策與三禮學》，北京：社會科學文獻出版社，2002，頁289-302）。

¹⁵ 論參陳祖武：〈從經筵講論看乾隆時期的朱子學〉（台灣大學：「朱子與東亞文明」研討會，2000.11.16-18），頁11-21。

¹⁶ 分詳梁啟超：《清代學術概論》（《飲冰室專集》冊6，台北：中華書局，1978），頁36；張素卿：《清代「漢學」與《左傳》學——從「古義」到「新疏」的脈絡》（台北：里仁書局，2007）。

漫漶不可識讀，雖經後人重修，又滋更多訛舛。是以阮元之前，清儒已有陸續從事於諸經之考校注釋者，譬如惠棟《周易述》、戴震《毛鄭詩考證》、段玉裁《周禮漢讀考》、盧文弨《儀禮詳校》和《群書拾補》……等，然尚未有總匯《十三經注疏》之校刻本。至於阮元則家藏有宋十行本，祇缺《儀禮》和《爾雅》，但有北宋所刻賈公彥、邢昺單疏本，此二經更在十行本以前；因此阮元早年即立志匯校群經，並依宋十行本和單疏本，從事於「校理注疏，綜核經義」，只是尚未成書。其後阮元出任外省，又聚得漢、唐、宋石刻以及各宋、元版本等，且得段玉裁、臧庸、顧廣圻等當世校勘名家襄助，於是更悉心精校、辨證訛誤，終於完成我國校勘學上極其重要的《十三經注疏校勘記》。阮元曾自述因慕唐陸德明「慮舊籍散失，撰《經典釋文》一書，凡漢晉以來各本之異同、師承之源委，莫不兼收並載。凡唐以前諸經舊本賴以不墜。」¹⁷故他亦仿其意，而以「此我大清朝之《經典釋文》」自期。

除校勘學上撰有243卷之《十三經注疏校勘記》重要成就外，阮元於嘉慶20年（1815）任江西巡撫時，因感於毛本之朽，又以所藏宋本十一經并所購得可補藏本殘缺之諸經，復借校藏書家黃丕烈所藏單疏本二經，在南昌學堂重刻宋本《十三經注疏》，共460卷，並附錄《校勘記》於其後，歷19月刻成，宋本注疏終得以復行於世。阮元在〈江西校刻宋本《十三經注疏》書後〉，書及他對重刻宋本一事「慎之至也！」他說「刻書者最患以臆見改古書」，故對於即使明知宋版之誤字，亦不輕改，只加圈於誤字旁，別據《校勘記》擇說附載於卷末。不過刻版尚未完竣，阮元又已移撫河南，後來的校書者不如阮元精細，以致重刻本錯字仍多，甚至有監本、毛本不錯而今反錯者，對《校勘記》的去取也未盡善，阮元對此刻本仍不滿意，故道光6年（1826）江西書局又據學者校勘，修改其中訛誤而重新印版，自後該版即廣泛流傳，至今仍為學者治經所必備。

清代匯刻群經叢書，在阮元重刻《十三經注疏》之前，尚有康熙中葉署名納蘭性德、實由徐乾學（1631-1694）編纂的《通志堂經解》之宋元經學匯編；該叢書係依經書類次輯錄宋元解經百四十餘種，雖亦間有漢唐和明人經注，但僅存一二，主要是宋元經學總匯。此外，康熙間還有朱彝尊（1629-1709）纂輯的《經義考》，他遍考歷代經籍存亡佚闕，從目錄學的角度對清初經學史做了總結，凡參與校書者皆當時之經學名儒如惠棟等。再後來加以著錄歷代經部要籍的，便是博及群書、貫通古今的《四庫全書》。凡歷代經籍、包括迄於乾隆初葉的清儒經學著述，都兼容並蓄地包乎其中，是一部空前的通古經學叢書——故清學沿著《通志堂經解》、《經義考》所開闢的路徑，到乾隆時已是古學復興而經學昌明、大行於天下了，若此皆阮元匯編清代新經學叢書之基礎。因此若以編纂《四庫全書》，做為拔宋幟、立漢幟的乾嘉學術主盟學壇標誌，則此時新典範的局面已經形成；但欲進至匯聚清儒群經新疏於一堂，能夠標幟並總結清代經學成就者，則有待於阮元主持編纂的《皇清經解》。

《皇清經解》是阮元踵武《十三經注疏校勘記》之晚年重大學術編纂活動；該叢書匯集了從清初到乾嘉時期共73位經學家的解經著作183種，是清代考據學極盛時

¹⁷ 阮元：〈恭進《十三經注疏校勘記》摺子〉，《擘經室集》，頁590。

期的經學總匯。其纂修體例乃以作者為綱，依人著錄，或載其經著、或錄其文集和筆記。起自清初顧炎武、閻若璩、胡渭等，迄於道光宋翔鳳、凌曙，而終以嚴杰《經義叢鈔》，總計千四百卷。由於書在廣東「學海堂」輯刻完成，並庋藏於堂側之文瀾閣，故又名《學海堂經解》。阮元纂修《皇清經解》，係經《經郭》→《大清經解》→《皇清經解》歷程始得以完成；其間並歷從嘉慶6年（1801）阮元創「詁經精舍」於杭州，到嘉慶25年（1820）興建「學海堂」於廣州，長時期培養人才及創編義例、實際從事，最後才在道光9年（1829）於「學海堂」完成全書刊刻。

「詁經精舍」之創建，溯源自嘉慶2年（1797）阮元34歲督學浙江時纂輯《經籍纂詁》——阮元因乾嘉漢學在輯校、或注解古書上，都必須倚重漢唐舊注訓詁，所以選兩浙經古之士33人分別抄錄散見於唐前群籍中的所有注釋性文字，包含經史子集正文中的訓詁以及先秦漢唐的傳箋注釋，並及於歷代訓詁專書，譬如《爾雅》、《方言》、《釋名》、《廣雅》、《經典釋文》、《文選注》等，還輾轉鉤稽輯佚所得之古注，如賈逵、服虔之《左傳》注採自《史記》裴駰集解，子夏《易》傳、馬融《易》注則採自《經典釋文》等；全書以韻繫字，幾將唐以前所有的文字訓詁皆網羅其中，共106卷，收錄資料近十六萬條，集諸經訓詁之大成，為大型的訓詁工具書；後世重要的辭書編纂，如《中華大字典》、台灣的《中文大辭典》和日本的《大漢和辭典》，以及後來的《漢語大字典》、《漢語大詞典》等，都借重於其所輯錄。胡楚生《訓詁學大綱》嘗簡述《經籍纂詁》之編纂體例與內容價值。書成後，阮元亦已陞任浙江巡撫，遂將五十間往日修書用屋建為「詁經精舍」，並遴選兩浙諸生有志於經史古學者讀書其間。「精舍」係漢代生徒講學之所的稱名，阮元又奉祀許慎、鄭玄等漢代經師，且名曰「詁經」，其崇獎漢學的學術宗旨昭然可見。精舍延聘王昶、孫星衍等名儒主持講席，課以解經考史、兼及詩詞古文。其後佐助阮元實際編纂《皇清經解》的嚴杰，即當時精舍所培養的高徒。再後來嘉慶22年（1817）阮元改任兩廣總督時，為倡經史實學，他又沿用杭州「詁經精舍」規制另創「學海堂」，仍以經史詩文課學子，《皇清經解》就是此時在「學海堂」修纂完成的。

不過《皇清經解》係根基於以陳壽祺為首功以及精舍諸弟子合力完成之《經郭》初稿上——阮元經解謀始於道光元年（1821），初名《經郭》，囑之陳壽祺。該著主要匯集唐前諸儒詁經之經說，網羅眾家而鉤稽古說於九經傳注外；自周秦以迄於隋唐，對漢魏以前典籍搜採尤勤。後因陳氏北去，阮元也因事牽連左遷翰林院編修，事遂擱置；其後雖曾再加董理並改訂舊稿，但以規模浩大、採輯未全，書終未付刻。旋阮元去粵，不得已而委之嚴杰；杰以壽祺所原條列者不易著手，於是沿用《經郭》體例但改為叢書式之專輯清人經學著作，題曰《大清經解》。從經書彙解到清儒經學叢書，實非阮元初意；¹⁸惟這就隱然可見《皇清經解》之規模粗具了。

其初，阮元屬意由名儒江藩、顧廣圻主其事，但二人或遠在三吳、或他務纏身，皆未能膺此重任，最後始終其事者，為阮元昔日精舍弟子嚴杰。嚴杰嘗從段玉裁問學，並於阮元督學浙江時助修《經籍纂詁》；其後「學海堂」創設，嚴杰來粵，並留在阮元幕署，受命總理《皇清經解》輯刻之事。後來阮元又奉調雲貴總督，遂將

¹⁸ 論參楊家駱主編：《清儒五經彙解·序》（台北：鼎文書局，1972），頁1。

刻書事託付廣東督糧道夏修恕，編輯重任仍委由嚴杰主持。道光9年全書告成，修恕為撰序曰：

《皇清經解》之刻，乃聚本朝解經之書，以繼《十三經注疏》之迹也。自《十三經注疏》成，而唐宋解經諸家大義多括於其中。此後，李鼎祚書及宋元以來經解，則有康熙時《通志堂》之刻。我大清開國以來……經學昌明，軼於前代。……國初如顧亭林、閻百詩、毛西河諸家之書，已收入《四庫全書》；乾隆以來，惠定宇、戴東原等書，亦已久行宇內，惟未能如《通志堂》總匯成書，久之恐有散佚。……於是宮保（阮元）盡出所藏，選其應刻者付之梓人，以惠士林。¹⁹

是《皇清經解》繼《十三經注疏》之後，為我國經學史上前後輝映之兩大鉅編，而阮元或校勘重刻、或編纂成書，皆與有功焉！存古學之功，世罕有其匹，故侯外廬稱「阮元是在匯刻編纂上結束漢學的成績。」²⁰瞿林東〈阮元和歷史文獻學〉、黃愛平〈阮元學術述論〉，²¹並皆對其纂輯有相關論述。

《皇清經解》選輯精嚴，書將清代前期自順治到道光近二百年間、由顧炎武諸儒發端到惠棟、戴震等名家風騷於一時，長時間經學發展及其重要成就，匯編於一堂；全書以人之先後為序、不論書之次序，凡見於雜家、小說家及文集者，皆依次編錄之。虞萬里嘗有〈正續清經解編纂考〉，對《經解》之編纂去取、版本流傳及得失，述之甚詳；文中並指出阮元收錄原則，「非實事求是者不錄，武斷附會者亦不錄。」故於閻若璩《尚書古文疏證》、胡渭《易圖明辨》，二書雖有功於《書》、《易》，然皆不收，以其或有矯偏過激之論也；而阮元雖然推崇毛奇齡，為序全集，然亦未收《古文尚書冤辭》，亦以其強辭掎摭太過；又，收莊存與《春秋正辭》而略其《周官說》，收惠棟《周易述》而略其《易漢學》，收任大椿《弁服釋例》而略其《深衣釋例》，其書亦不免遭致去取未公、收錄失當以及割裂原書、任意刪節之議。²²是編雖名為《經解》，其所輯錄實未侷限於經說經解的經學範疇，間亦旁及可以補正經學的小學、文集等作。故其所收錄在如顧炎武《左傳杜解補正》，惠棟《春秋左傳補注》、《九經古義》，邵晉涵《爾雅正義》，金榜《禮箋》，戴震《毛鄭詩考正》，孔廣森《大戴禮記補注》，孫星衍《尚書今古文注疏》，郝懿行《爾雅義疏》，劉逢祿《春秋公羊經何氏釋例》……外；還收錄了天算曆法、音韻字書與集部之有功經學者，如顧炎武《音論》、《詩本音》、《日知錄》，全祖望《經史問答》，錢大昕《十駕齋養新錄》、《潛研堂文集》，段玉裁《說文解字注》、《六書音均表》、《經韻樓集》，王念孫《廣雅疏證》，阮元《揅經室集》，臧庸《拜經文集》……等；但是對於黃宗羲、顏元、李塨、李光地、孫奇逢等理學著作，則一概摒棄，於此可以見出阮元的經學旨趣及其去取標準。

¹⁹ 《皇清經解·序》（台北：復興書局，1967），頁1。

²⁰ 侯外廬：《中國思想通史》（北京：人民出版社，1995），第5卷，頁577。

²¹ 瞿文收入白壽彝編：《清史國際學術研討會論文集》（瀋陽，遼寧人民出版社，1990.8），頁608-621；黃文收入《史學集刊》（吉林大學，1992第1期），頁32-39。

²² 上參虞萬里：〈正續清經解編纂考〉，《學術集林》（上海：遠東出版社，1995），第4卷，頁179-212。

書成，阮元數十年宿願之苦心孤詣獲得實現，此一匯輯清代經師經解叢書的文獻鉅編，亦成為解經圭臬，不論在復興古學、發揚儒家經典上，或在彰顯清儒特有的經學成就與匯總清代學術精華上，皆有無可取代之崇高地位與價值。《皇清經解》在後來的兵燹中因戰火多有燬損，咸豐間賴兩廣總督勞崇光為之重刻並增補；繼《皇清經解》後，光緒間又有王先謙以江蘇學政而踵繼遺風，亦從事於纂輯《皇清經解續編》，以補《皇清經解》遺漏及其後之經學成果，總數凡209種，共320冊。

三、對訓詁學方法論之補充

建立訓詁學方法論，是乾嘉考據學重要成就之一，戴、段、二王並皆有功，如戴震立足在「考據治經」之「漢學」典範，結合了知識論、義理觀與方法論，建立起「由詞通道」方法論，倡論「所以明道者，其詞也；所以成詞者，未有能外小學文字者也。」是以主張「字學、故訓、音聲，未始相離。」「故訓、音聲，相為表裏。」²³又自音、義之「一音數義」或「一字數音」關係，建立起「因聲求義」、「聲義互求」等訓詁條例，以說六書「假借」之「義由聲出」、「聲同義別」以及「聲義各別」；並重新釐定古韻為25部，提出古韻分部之「陰、陽、入三分」及「轉語」理論。²⁴此外，如段玉裁主張「凡同聲多同義」，王念孫言「詁訓之旨，本於聲音。……就古音以求古義，引伸觸類，不限形體」，²⁵亦皆對於訓詁理論多所開拓，解決了許多前人未能解釋的問題。對此，阮元在宏揚經典文獻、發揮澤溉後學的影響力外，也以個人學術旨趣反映了此一存古學、復興經學的清代特殊學風。

經學是清儒特識所在，不論群經新疏或纂輯、校勘，都獲得前所未有的成就；阮元則學術興趣多方，有撰述、也有編輯，義理學外，其學術興趣主要在經學考據，除編刻經解叢書外，其集部作品亦不欲稱為文集，而以「擘經」之室名名之，其所創辦書院也稱「詁經」精舍。阮元不僅在詁經上有得，他在乾嘉諸儒所建立的訓詁學理論外，亦有所補充與開拓。他嘗以「語源」說補充了「聲訓」理論，從探求語源的角度說明本字本義之「義從音生」，以此突出於學界已有的「隨文釋義」理論；他並出自個人的金石愛好，以金石實物考經證史，亦獲得相當成績。於此也能照見揚州學派之能「創」與能「通」。

阮元立足在「尊經崇漢」的考據立場和取徑上，突出「聖賢之道存於經，經非詁不明」的「詁經」重要性；他繼惠棟標舉「漢學」典範、戴震強調「故訓明則古

²³ 戴震：〈古經解鈎沈序〉、〈與是仲明論學書〉、〈六書音均表序〉，《戴東原集》（台北：中華書局，1980），卷10，頁2、6，卷9，頁4。

²⁴ 不過必須加以說明：戴震雖然提出古韻「陰、陽、入三分」及「轉語」等理論，其時卻僅有「有入」、「無入」之說，須俟孔廣森始首倡陰陽對轉之說。戴震在清代古音學的貢獻，主要在於使介於陰、陽聲之間的人聲韻獨立，並以陰聲、陽聲韻與之配對，以入聲韻做為韻類通轉的樞紐，說明同部之陰、陽、入聲得以「相配互轉」，以陰陽對轉的系統理論闡明了古音的轉聲、合韻問題。他並嘗撰《轉語二十章》，其書佚；惟近人研究，認為《聲類表》即是《轉語》，故後來學者多以《聲類表》說「轉語」理論。

²⁵ 段玉裁：《說文解字注·斯》（台北：學海出版社，1977），頁101；王念孫：《廣雅疏證·自序》，《辭書集成》（北京：團結出版社，1993），冊7，頁666。

經明，古經明則賢人聖人之理義明」之後，²⁶亦謂「漢人之詁多得其實。」「漢人之詁，去聖賢為尤近。」²⁷因此他亟強調漢儒經義，主張欲彰明聖賢理義，首先必須講明聖賢經傳。其論曰：

竊謂士人讀書當從經學始，經學當從注疏始。空疏之士、高明之徒，讀注疏不終卷而思臥者，是不能潛心掣索，終身不知有聖賢諸儒經傳之學矣。²⁸

阮元推崇經學是聖賢所傳，注疏則是經學的敲門磚；他批評「不能潛心注疏」的空疏之士，雖自詡為「高明」，其實終身不知聖賢經傳之學。其《擘經室集》亦自述以「余三十餘年以來，說經記事，不能不筆之於書。然求其如《文選》序所謂『事出沈思，義歸翰藻』者甚鮮，是不得稱之為『文』也。」其集仍以說經記事為主，不但撰作旨趣與一般「文集」之「事出沈思，義歸翰藻」者旨歸不同，其意甚至欲「擬於賈、邢義疏」，故他追求一種「言之無文，惟紀其事，達其意而已」的學術境界。²⁹以下述阮元擘經之功及其訓詁學理論補充。

（一）語源學角度的「義從音生」說

「聲訓」是先秦已有的訓釋法，漢《釋名》一書略有發揮，但尚未稱善，清儒加以繼承並進一步發展，將譬如「同聲多同義」、「凡從某聲多有某義」等聲訓理論，成功運用在訓詁、校勘、考證等各個方面；清儒在訓詁學上最大的突破與貢獻，便在他們從「文字」記錄「語言」的角度，溝通了「語言」和「文字」的密切關係，並建立起系統理論。乾嘉儒者沿清初顧炎武「讀九經自考文始，考文自知音始」之波，在訓詁字義上更突出以聲音明訓詁，如戴震有曰「音聲失而假借之意何以得？」段玉裁亦曰「言者，文字之聲也；詞者，文字形聲之合也。……有義而後有聲，有聲而後有形，造字之本也。形在而聲在焉，形聲在而義在焉。」「學者之考字，因形以得其音，因音以得其義。治經莫重於得義，得義莫切於得音。」王念孫也說「訓詁之旨，存乎聲音。字之聲同聲近者，經傳往往假借。」³⁰要皆主張訓詁字義必須借重音義關係來判斷。故清代名訓詁家如戴震、段玉裁、王念孫、王引之等，都能純熟運用音義關係，以從事古學之詞義研究；至於阮元，則在多數清儒均將聲訓理論運用在校釋詞義與名物典章的訓釋、即「釋義」外，另外運用在探求語源的「推源」上，提出了當時著名的「義生於音」³¹——「義從音生也，字從音義造也」之說。

阮元認為造字的本源乃從音得義，故字隨音生、義從音出；音對於字義具有本源關係，音才是字義所起之所由，故謂「古人造字，字出乎音義，而義皆本乎音也。」³²以為凡「同音相假」、「音訓相兼」者皆本乎此。論曰：

²⁶ 戴震：〈題惠定宇先生授經圖〉，《戴東原集》，卷11，頁6。

²⁷ 阮元：〈詁經精舍策問〉、〈西湖詁經精舍記〉，《擘經室集》，頁237、548。

²⁸ 阮元：〈西湖詁經精舍記〉、〈江西校刻宋本十三經注疏書後〉，《擘經室集》，頁548、620。

²⁹ 阮元：〈擘經室集自序〉，《擘經室集》，頁1。

³⁰ 戴震：〈六書因均表序〉，《戴東原集》，卷10，頁6；段玉裁：《說文解字注·詞》，頁434、〈廣雅疏證序〉，《辭書集成》冊7，頁669；王引之：《經義述聞·序》轉述，台北：台灣商務印書館，1979，頁3。

³¹ 阮元：〈釋矢〉，《擘經室集》，頁25。

³² 同前註。

古人字從音出。喉舌之間，音之所通者簡；天下之大，言之所異者繁。……言由音聯，音在字前，聯音以為言，造字以赴音。音簡而字繁，得其簡者以通之，此聲韻文字訓詁之要也。³³

他強調「以聲音為主而通其訓詁」，正是訓詁學上執簡以御繁的「得其簡」要訣；雖然戴震為段玉裁書〈六書音均表序〉也曾提到故訓、音聲的表裏關係，注意到音、義的密切關係，而主張「因聲求義」；段玉裁《說文解字注》據此而論「有義而後有聲，有聲而後有形，造字之本也。」³⁴但是阮元所論與段玉裁不同，阮元持論「義生於音」、「此義即此音」，說與段氏「義先乎音」、「聲由義發」異；雖然同皆「聲義同源」、「音近義通」立場，但對於音先、或義先？兩人持論不同。

阮元具有語源學特色的「推源」主張，和王念孫、王引之父子《廣雅疏證》、《讀書雜誌》、《經義述聞》突出訓詁學「釋義」的「因聲求義」，重心亦不相同。學者劉文清嘗指出二王雖然強調由聲音以通乎訓詁，但「不求本字本義而說以義通」，重在「會通諸經」、「隨文釋義」之「義通」，主張根據文本語境對詞語做動態性解釋，故其「因聲求義」涵同字、同源字、轉注、轉語和純粹借音的假借而言；莊雅洲亦謂二王強調「引申觸類，不限形體」，其「因聲求義」的理論實踐運用廣泛，除「語源學」的同源字外還包括「語義學」的古音通假，並用在校訛誤、破段借、明連語、考物名、求語源、通轉語等諸多方向。³⁵至於阮元之強調「義從音生」，其目的聚焦在探求語源上，要從源流認識語義，所以強調本字本義，以推求聲、義結合關係之所由來，其曰「古聖人造一字，必有一字之本義，本義最精確無弊。」阮元並舉「佞」字為例，以說明探求本義之重要性：他根據《爾雅》「允、任、壬，佞也。」《說文》「佞，巧、諂、高材也。」以說「佞」與「仁」本義相近——蓋「佞」為「乃定切」，聲類為舌音「泥」紐、「徑」（古通「震」）韻，「仁」為「如鄰切」，其半舌半齒的聲類「日」紐在古音中亦屬舌音「泥」紐，³⁶其「真」韻則與「震」韻並屬段玉裁〈今韻古分十七部表〉之第十二部，³⁷故「仁」、「佞」本義近似。因此《論語》有「仁而不佞」之說，古人亦多謙稱「不佞」；而《國語·魯語》「寡君不佞」、《晉語》「吾不佞」……等，「佞」皆訓為「才」，所以阮元說「解文字者，當以虞夏商周初、周末分別觀之。」認為周初、周末時間點不同，

³³ 阮元：〈與郝蘭皋戶部論《爾雅》書〉，《擘經室集》，頁124。

³⁴ 段玉裁：《說文解字注·詞》，頁434。

³⁵ 分詳劉文清：〈《讀書雜誌》「之言」術語析論——兼論其「因聲求義」法〉（《台大中文學報》，第21期，2004.12，頁255-296）；莊雅洲：〈論高郵王室父子經學著述中的因聲求義〉，收入《乾嘉學者的治經方法》（台北：中研院文哲所，2000），頁351-405。

³⁶ 「日」紐在「守溫三十六字母分類表」和黃侃「《廣韻》四十一聲類表」中為半齒音（詳林尹：《中國聲韻學通論》，台北：世界書局，1976，頁29-36、134）。但有關古聲紐之研究，則章炳麟曾證明「古音娘、日二紐歸泥」說，謂古聲無半舌「日」及舌上「娘」，於古皆「泥」紐也；其弟子黃侃復在考察整個古音系統後，提出四十一聲紐有正聲、變聲之別，並釐定古聲紐為十九紐。在古正聲十九紐中，屬於後世變聲二十二紐之一、半舌半齒的「日」紐，不是古本聲，其在「四十一紐正聲變聲表」中，是由舌音變聲而來（論詳陳新雄：《音略證補》，台北：文史哲出版社，1985，頁246）。

³⁷ 以上分詳陳彭年重修：《宋本廣韻》（台北：黎明文化事業公司，1978），頁102、431；段玉裁：《說文解字注·今韻古分十七部表》，頁817。

字義亦遂有別；佞字原具美、巧、高材之義，逮及周末始轉為惡義。故他據此而論「漢人說《尚書》者一概以周末之佞義，釋虞、夏、周初之『王』、『任』字，恐非也。」³⁸是以阮元再三備述「此義即此音也」、「古字義隨音生」、「但言其音，而意即在其中」，³⁹以為字不究其源則每誤。後來章太炎受阮元啟發，亦謂「語言者，不憑虛起。呼馬而馬、呼牛而牛，此必非恣意妄稱也，諸言語皆有根。……故同一聲類，其義往往相似，如阮元說『从古聲者有枯藁、苦窳、沽薄諸義』，此已發其端矣！」⁴⁰是阮元乃倡為「義本乎音」之權輿。

為證明「義本乎音」，阮元引經據典、旁徵博引了許多實例，如〈釋矢〉中他具論施、矢、舍、尸、陳、水……等字音雖有輕重讀之別——「施」重讀曰「矢」，「舍」為「施」之重音；⁴¹但不論輕重讀，其音義皆同也，皆具「自此直施而去之彼」之「平陳」義，此即造用此字之本源命意及用法。其論曰：

義從音生也，字從音義造也。試開口直發其聲曰「施」，重讀之曰「矢」。「施」、「矢」之音皆有自此直施而去之彼之義。……《說文》「施，旗貌。」旗有自此斜平而去之貌。「尸」與「施」同音，故《禮記》「在床曰尸」，人死平陳也。《左傳》「荆尸而舉。」……「矢」為弓弩之矢，象形字，而義生於音。凡人引弓發矢，未有不平引延陳而去止於彼者，此義即此音也。《左傳》「公矢魚於棠」、《詩》「矢於牧野」、「無矢我陵」、「以矢其音」、「矢詩不多」，「矢」皆訓「陳」。又人之所遺曰「矢」，亦取施舍而去之義，故《史記·廉頗藺相如傳》「三遺矢矣。」……「水」音近「矢」，《說文》「水，準也。」水之流也，平引而去，義與「矢」、「雉」相同。……明乎此，可知古人造字，字出乎音義，而義皆本乎音也。⁴²

阮元分別考證了《說文》、《史記》、《詩經》、《禮記》、《中庸》、《左傳》、《爾雅》……等古籍，洋洋灑灑臚列出許多證據，以證明古人造字「此義即此音」之理，所以「音」才是決定字義以及用字之法的根本因素。

此例之外，阮元利用音韻訓詁的論證尚多，例如他又曾根據「音同義同」原則，舉證翔實地會通凡與「門」同紐雙聲或同部疊韻而輾轉相假者，謂皆自「門」之「有間可進，進而靡已」得義，因為「凡物中有間隙可進者莫首於門。」他並由此進論「進而靡已之義、之音則為『勉』；『勉』轉音為『每』。」蓋依《廣韻》，「門」莫奔切、「勉」亡辯切、「每」莫佩切，故從「勉」到「每」，聲類是從「亡」之「微」紐→「莫」之「明」紐，即「輕重相轉」地由次濁輕唇音→重唇音。故凡免、

³⁸ 以上分詳阮元：〈釋敬〉、〈釋佞〉，《擘經室集》，頁1016、1011-1013。

³⁹ 上詳阮元：〈釋矢〉、〈釋郵表嘏〉、〈釋易彖意〉，《擘經室集》，頁23、16、4。

⁴⁰ 章太炎：《國故論衡·語言緣起說》（台北：廣文書局，1977），頁39、43。

⁴¹ 詳阮元：〈釋矢〉，《擘經室集》，頁23。另依《廣韻》，「施」式支切，「審」紐「真」韻；「矢」式視切，「審」紐「旨」韻；「舍」書治切，「審」紐「馬」韻；「尸」式脂切，「審」紐「脂」韻；「陳」直珍切，「澄」紐「真」韻；「水」式軌切，「審」紐「旨」韻。此中，依段玉裁〈今韻古分十七部表〉，「脂」、「旨」同屬古韻第十五部（氏著：《說文解字注·今韻古分十七部表》，頁817）；而「式」、「書」同屬聲類「審」紐；「澄」、「審」依黃侃所考定古聲十九紐，則同屬舌音變聲（論詳陳新雄：《音略證補》，頁245-246），故皆同紐雙聲、或同部疊韻。

⁴² 阮元：〈釋矢〉，《擘經室集》，頁22-25。

每、敏、孟、夢、盟、黽、沒、密、懋、勸、勸、冒、邁……等，皆此音即此義，即皆「黽勉」之謂。如此一來，學界長期不解之惑，如《方言》曰「侔莫，強也。」《論語》曰「文莫吾猶人也。」其所謂「侔莫」、「文莫」，實即由同紐雙聲的「黽勉」轉音而來——「侔」莫浮切，「明」紐／「文」無分切，「微」紐／「黽」彌鄰切，「明」紐、或武幸切，「微」紐——則長期之為惑遂渙然冰釋矣！且阮元所考辨，亦可以釐正後人在「文莫」後斷句的誤解。斯亦阮元之謂「訓詁不明則聖賢之語必誤；語尚誤，遑言其理乎！」⁴³其例尚多，茲不枚舉。要之，阮元認為通過「義從音生」之以音韻訓詁解決文字本義問題後，可以釐清若干經典疑惑，並正傳注之誤。

（二）從名物考證到古籍辨正

強調禮制，是乾嘉時期從清廷到學界的一致趨向——乾隆開三禮館，命儒臣纂修《三禮義疏》，希望通過重修禮書、重訂禮典，能使冠婚喪祭等各種禮儀酌古準今、繁簡合度地被切實施行，化民成俗；清儒則亦強調「以禮經世」，期望通過「考禮」，提供百姓「習禮」之具體憑藉。正是在這樣的學術氛圍中，名物典制考成為乾嘉經學特色之一；清儒希望通過學習三代之治的王道楷模，實現禮治理想，故尊經崇古地考證諸如明堂、辟雍、封禪一類的聖賢遺制。阮元立足在此基礎上，對此議題亦頗涉藩籬地展開考證，並一一參驗古籍，將考據成果推向古籍辨正，釐正若干歷來傳注之誤。皮錫瑞曾稱讚「古禮有聚訟千年，至今日而始明者，明堂、辟雍、封禪是也。……今得阮氏之通識，可以破前儒之幽冥矣！」⁴⁴他認為阮元冰釋千古之疑地釐清了上述禮制。

我國宮室制度繁盛時期的秦、漢時代，阿房之恢弘、建章之繁複，皆空前絕後；而古代禮制研究中居重要地位的明堂制度，則是宮室制度中最重要、最核心的一部分。歷來之明堂考究，除了有關明堂原始文獻資料，像是對《左傳》或《周禮·考工記》一類的注釋外，尚有考其起源、名義、功能、堂數、形制、禮儀制度、職官、明堂與路寢關係……等議題，不一而足。⁴⁵清儒繼惠棟《明堂大道錄》考訂明堂禮制後，又有戴震、程瑤田、汪中、孫星衍、凌廷堪、焦循、阮元等多人迭加辨析。清儒之明堂著作及《皇清經解》所著錄者，如任啟運《宮室考》、《廟堂宮室考》，嚴杰補、洪頤煊注《禮經宮室答問》，孫星衍《明堂考》，焦循《群經宮室圖》，戴震《考工記圖》……等，另外，如《欽定周官義疏》、《欽定禮記義疏》、汪中《述學》、孔廣森《禮學卮言》、俞樾《群經平議》、黃以周《禮書通故》、曹元弼《禮經學》……，亦有若干辨析。在明堂形制和度數方面，如堂基、階、室、九室、太室、梁、檐、柱、屋蓋、堂、門、辟雍、殿垣、重楣、連栱、方衡、椽、飛檐椽……等，清儒皆有突破前人成果的研究佳績。

⁴³ 阮元〈釋門〉，《學經室集》，頁31-33。

⁴⁴ 皮錫瑞：《經學通論·三禮·論明堂辟雍封禪當從阮元之言為定論》（北京：中華書局，2003），頁42-44。

⁴⁵ 蔡邕〈明堂月令論〉言「明堂者，天子太廟。」凡祭祀、饗功、養老、教學、養士，皆在其中；其名則「取其宗祀之貌，則曰清廟；取其正室之貌，則曰太廟；取其尊崇，則曰太室；取其堂，則曰明堂，取其四門之學，則曰大學；取其四面周水圓如璧，則曰辟廱。異名而同事，其實一也。」（《蔡中郎集》，收入《四部備要》冊428，台北：台灣中華書局，1981，卷10，頁1-2）

關於明堂，阮元亦立足在前賢考據基礎上，並以〈明堂論〉、〈明堂圖說〉踵事增華之。他遍考古籍，詳考神農、黃帝、堯、舜、夏、商、周、魯、泰山下與漢明堂之謂，區分古籍之「古明堂」、「郊外明堂」等稱謂，謂以「古明堂」是始於上古神農氏「始為帝宮」的有蓋無四方簡陋結構，為「天子所居之初名」，「天子寢食恆於是。」⁴⁶凡天子祀上帝、祭祖先、朝會諸侯、養老尊賢、教國子、饗射獻俘馘、治天文與行告朔等，並皆在此。其後明堂功能進一步分化，遂於邦畿王城別建僅有南向堂的「路寢」以為王平日所居聽政，此外另有祭昊天上帝的「圜丘」、祭祖考的「宗廟」、朝諸侯的「朝廷」、養老尊賢教國子及獻俘馘的「辟雍」（又有「靈臺」、「太學」異名）；然為示「禮不忘本」，故復於城東南郊另建明堂以存古制，此即有五室的「郊外明堂」，亦〈月令〉所稱「有四室、八个、重屋、五室」者，非城內之廟寢。所以阮元論以邦畿王城內並無「明堂」，僅有南向堂的「路寢」，非如郊外明堂之有四面堂，凡〈洛誥〉周公之明堂、《考工記·匠人》所記明堂、《逸周書》之明堂四阿、《左氏傳》之清廟茅屋等，其「顯有屋室，皆在郊外，不能指為城內廟寢。」另外，因天子行封禪禮於泰山，故泰山下亦有明堂，此明堂即壇也，與他處明堂異制，如《史記·封禪書》云「初，天子封泰山，泰山東北址古時有明堂處。」《漢書·武帝紀》曰「元封元年夏四月癸卯，登封泰山，降坐明堂。」⁴⁷即皆指泰山明堂之壇。

惟後人因宮中路寢乃準式於郊外明堂四方之一，且仍襲用「明堂」之稱，致每將古籍王平日聽政的「路寢」和「郊外明堂」誤為一談，故阮元遍考《詩經》、《春秋》、《禮記》、《逸周書》、《淮南子》、《新論》、《文選》、《管子》、《國語》、《尚書》、《史記》、《漢書》……，釐正歷來傳注之誤。其所考證，如《尸子》有言「欲觀黃帝之行於合宮。」《文選·東京賦》言「則是皇帝合宮。」《考工記·匠人》言「夏后氏世室，五室。」「殷人重屋，……四阿重屋。」《尚書·堯典》言「賓于四門，四門穆穆。」《尸子》言「昔武王崩，成王少，周公踐東宮，宗祀明堂。明堂在左，故謂之東宮。」〈樂記〉云「武王伐殷，薦俘馘於京大室。」……阮元謂皆指郊外明堂，並曰「〈匠人〉言三代明堂之制，皆郊外明堂也。」「確為王都郊外之明堂，未可以城內廟寢當之。」因「城中朝、寢無四門之制。」⁴⁸阮元並據此以正鄭玄注錯將城內廟寢當明堂之誤。對此，戴震〈明堂考〉也有相同看法，亦曰「夏曰世室，殷曰重屋，周曰明堂，三代相因，異名同實與，明堂在國之陽。」⁴⁹皆主明堂不在王城而在國郊之說，阮元所考則更加詳。另外，阮元也據此辨正汪中《述學》之圖說和金榜《禮箋》之所誤，並清楚圖繪了明堂圖，明堂之制由此而明。不過類此上古遺制之啟兩千年聚訟，正因載籍闕如，清儒雖懷抱禮學理想，欲通過考禮以復見聖人之心與制禮之意、或復行古禮，如顏元欲行「堯舜周孔三事、六府、

⁴⁶ 阮元：〈明堂論〉，《擘經室集》，頁 57。

⁴⁷ 阮元：〈明堂論·泰山下明堂〉，《擘經室集》，頁 72。

⁴⁸ 上詳阮元：〈舜明堂〉、〈夏明堂〉、〈殷明堂〉、〈周明堂〉，〈明堂論〉，頁 62-64，69；〈明堂圖說〉，《擘經室集》，頁 994。

⁴⁹ 戴震：〈明堂考〉，《戴東原集》，卷 2，頁 2。

六德、六行、六藝之道」，凌廷堪亦強調「習禮」；⁵⁰然非但禮制考證眾說紛紜，縱禮制可考，也已時移事異、不合時義而難俱現於後世。

此外，阮元考釋之古代禮制尚多，如〈考工記車制圖解〉論車制；〈古戟圖考〉、〈匕圖考〉、〈璧羨考〉……釋古器物；釋宮室建築者，則如〈棟樑考〉；釋古樂器者，如〈銅和考〉、〈鐘枚說〉……等，其所考釋，種類繁多、並皆引證眾說，考辨翔實。

（三）以金石實物證經辨史、校勘古籍

重視金石學，也是清學特色之一。我國金石學發展雖然可以溯源至先秦；⁵¹但此時看待金石古物的角度，多自祥瑞出發。宋世以後，因金石文物出土漸多，金石學始漸褪去祥瑞表徵而獨立成學，如趙明誠《金石錄》已經觸及金石碑刻對古籍考證的重要性強調了。⁵²清儒則顧炎武、閻若璩、錢大昕、桂馥、嚴可均、全祖望、章學誠……等並皆重視金石之學，且都曾據金石銘文考經證史；阮元繼之，更有「金石十事」之卓越成績。他曾哀輯山左金石數千種為《山左金石志》、兩浙金石千餘種為《兩浙金石志》；積古金拓本五百餘種為《積古齋鐘鼎款識》；模鑄東南重寶之西周青銅器散氏盤；摹搨所獲之二西漢石以及秦石刻所獨存的「琅邪台石刻」；摹刻天一閣所藏秦獻公刻石的北宋石鼓拓本——天一閣「北宋石鼓拓本」是唐初陝西寶雞出土秦獻公刻石的最古拓本，錢大昕視為稀世之寶；摹刻漢延熹〈西嶽華山廟碑〉，此碑自唐以來即有著錄，清人題跋及詩文甚多，唯碑毀於明嘉靖間，阮元蒐得各方拓本，齊聚京師並摹為石刻流傳；摹刻秦「泰山石刻」殘字——秦始皇統一天下後，於國中選七處刻碑頌德，明以前僅存泰山及琅邪台石刻，泰山殘字石又於乾隆間燬於火，阮元以舊拓重刻之；摹刻三國吳〈天發神讖碑〉。此碑字體合篆、隸而取方折之勢，阮元疑即「八分書」——「八分書」起於隸字後，筆法篆多於隸、以存古法，北朝碑額往往有酷似此者，蓋北朝書家「長於碑榜」，頗不同於南朝二王（羲之、獻之）之「圓潤妍渾，不多圭角」，隋唐後歐、褚諸體實即魏齊諸碑之苗裔，而神讖之體開其先，⁵³唯是碑燬於嘉慶10年（1805）火，阮元以家藏舊拓刻石，昭明絕學並存古鄉賢矩矱。劉德美嘗撰〈阮元的考據學〉，對阮元之古器物考據、古制度詮釋、古金石論述等，皆有詳細論述。

阮元所模鑄、摹刻、摹搨以及收藏，皆極珍貴，而他之重視金石學，除了時風和個人興趣外，更有出自考據學和義理學的雙重理由：在考據學上，他認為古器銘文可以證經辨史、校勘古籍，曰「前賢事蹟，史所不能盡載者，每於文章碑版得之。」

⁵⁰ 論詳顏元：〈上太倉陸桴亭先生書〉（《習齋四存編·存學編》，上海：上海古籍出版社，2000），頁86；凌廷堪：〈復禮〉上、中、下，《校禮堂文集》（北京：中華書局，2006），頁27-32。

⁵¹ 《墨子·兼愛》有言「書于竹帛，鏤於金石，琢于盤盂，傳遺後世子孫者知之。」（《墨子閒詁·兼愛下》，台北：河洛出版社，1975，卷4，頁24）

⁵² 趙明誠《金石錄》有言「歲月、地理、世次、官爵，以金石刻考之，其抵牾十常三、四。蓋史牒出于後人之手，不能無失；而刻辭當時所立，可信不疑。」（《金石錄·序》，《石刻史料新編》，台北：新文豐出版社，1977）

⁵³ 上詳阮元：〈摹刻天發神讖碑跋〉、〈北碑南帖論〉、〈王右軍蘭亭詩序帖二跋〉，《擘經室集》，頁597、599-600。

「稽考古籍國邑大夫之名，有可補經傳所未備者；偏旁篆籀之字，有可補《說文》所未及者。」「所可以資經史篆隸證據者甚多。」⁵⁴在義理思想上，則阮元肯定「器者所以藏禮」，他認為凡鐘、鼎、尊、彝、槃、戈、劍……一切制器，都是聖人「教天下習禮博文之學」，都是藉以實現朝覲聘射、冠昏喪祭、子弟臣友、帝王治法以及性與天道等人生諸「禮」的憑藉——此一精神，與戴震強調禮俗文化，而企圖結合經學考據和道德實踐，寓落實道德實踐於客觀禮制之理想，亦皆一貫。

阮元之實際從事於以金石實物辨正禮制，譬如他曾根據焦山定陶鼎的銘文考證漢制；⁵⁵定陶共王陵廚鼎蓋及鼎身所鑄銘文，除了載明重量外，還刻有「隃廩、陶陵共廚銅鼎一。」所云「陶陵」即定陶共王陵也，故阮元即依定陶鼎稽考《史記》、《漢書·地理志》、《後漢書》、《續漢書·郡國志》、《水經注》等古籍之地理記載，又佐以漢好畤鼎銘、汾陰官鼎銘、上林鼎銘，發現其銘文皆有「共廚」、「共官銅鼎」等字樣說明二邑共廚銅鼎，他由此推論「漢陵廟皆有廚」、「漢器體制如是。」⁵⁶阮元類此運用鐘鼎彝器、金石銘文以考證禮制者尚多，茲不復舉。

此外，阮元也看重以碑刻校勘古書的考據價值。當他任山東學政時，曾率官士修繕頽沒的鄭玄祠墓，在侵沒祠宇的積沙中掘得了〈鄭玄碑〉，其碑在漢碑曾著錄，其後則求之不得；是碑為金承安5年（1199）重刻唐萬歲通天元年（696）史承節所撰碑；但因唐刻亦不傳，故〈鄭玄碑〉賴此金刻傳世。阮元即據此一因襲唐舊的金刻碑文，借校范曄《後漢書》之〈鄭玄傳〉，他發現其中有范曄書「使事蹟先後倒置」、「范書遺之」或「與司農本意相反」者，譬如「為父母群弟所容」句，言他徒學、不能為吏以益生產，幸得父母群弟包容；然范書以其父嘗因事「怒之」，故妄加「不」字其上，遂成為相反之「不容」意。不過金刻也有「唐碑本行書，石或剝落，金時不省而誤」者，故阮元曰「凡此異同，比而核之，可釋學者積疑。」此碑正以其文字異同而「與范書可互校正。」⁵⁷另外，阮元還曾借助余靖〈平蠻京觀碑〉、〈平蠻三將題名碑〉，辨正沈括《夢溪筆談》之謬誤，故他說「此碑之所以勝於史也。」⁵⁸惟運用碑刻亦須仔細辨正，不宜過度輕信，因碑傳文字也時有美詞，或刻意刪削、隱瞞事實者。要之，阮元已從事於實物校勘，以金石碑刻考經辨史了；其所示範的考證門徑，頗有後來「新史學」通過金石實物以研究古史的先驅意味，王國維提倡結合「紙上」、「地下」之多重材料互證的「二重證據法」，也頗有阮元上述研究法的影子，故日本學者貝塚茂樹以「清代金文學之祖」，⁵⁹來看待阮元。

⁵⁴ 阮元：〈漢延熹華嶽廟碑跋〉、〈積古齋鐘鼎彝器款識序〉、〈山左金石志序〉，《擘經室集》，頁651、637、639。

⁵⁵ 定陶故城在今山東曹州府定陶縣西南，共王康葬於此，共王為漢元帝子、哀帝之父。

⁵⁶ 阮元：〈焦山定陶鼎考〉，《擘經室集》，頁538。

⁵⁷ 阮元：〈金承安重刻唐萬歲通天史承節撰後漢大司農鄭公碑跋〉，《擘經室集》，頁540。

⁵⁸ 阮元：〈由賓州至邕州過崑崙關觀狄武襄進兵處〉，《擘經室集》，頁961。

⁵⁹ 該語係轉引自劉德美：〈阮元的考據學〉，《國立台灣師範大學歷史學報》，14期，1986.6，頁116。

四、對乾嘉新義理學之繼續推進

論乾嘉考據學必須結合乾嘉義理學以言，因為考據學是在治學典範上對理學的「學術典範」取代；乾嘉新義理學才是對理學的思想體系即「義理學典範」、或「思想典範」之取代。⁶⁰倘使偏落任一邊，便會造成認為考據學缺乏思想性、或清儒義理不合儒學傳統的誤解；然而這正是過去學界長期來對乾嘉學術的認識不足。

理學被考據學取代主流地位的「學術典範」轉移以及理學的「義理學典範」危機，實是二事，應該區別看待。理學被取代「學術典範」，是我國學術史發展歷經清初辨偽學興盛，在陳確（1604-1677）《大學辨》、黃宗羲（1610-1695）《易學象數論》、閻若璩（1636-1704）《尚書古文疏證》、萬斯大（1633-1683）《周官辨非》……等所引領的群經辨偽之後，由於清儒經典實證之風方興未艾，其於經典辨偽、校正、補注、訓詁、音韻等種種考據興趣，日益凌駕、超越了對道德講論的追求；反之，理學圭臬經典的《易》圖、《大學》、《古文尚書》等並被證立為非經或偽作，理學失去經典權威，被撼動立論根基，致其在宋明高峰發展後，走上難再賡續突破的學術危機及沒落之路，因此被考據學取代其學術主流的地位，兩種學術間出現「學術典範」轉移之治學型態嬗遞。⁶¹但是當論及理學的「義理學典範」危機時，則那必須聚焦在義理學範疇內的思想體系上來討論，必須正視清儒對理學的義理質疑，而純粹從義理學的角度來看待理學的信仰危機，此時就不能再和考據學對理學的學術典範取代混為一談。然而由於明、清間「學術典範」和「義理學典範」兩種轉移的起點都是理學，造成過去學界往往未加細辨，徑取清代主流學術型態之考據學而說其思想性缺乏；實則從明到清，清儒除了在治學途轍上，以考據學之實證方法論取代了理學的形上思辨，同時也以經驗取向之義理學新範式，取代理學形上學趨向的舊典範。這是今日重新審視清學所亟要注意的。

阮元湛精於經學，固是不錯；但他論學也與戴震「從故訓進求理義」之「由詞通道」同一主張，他未嘗偏廢義理，強調考據應與義理結合，缺一不可，曰「聖人之道，譬若宮牆，文字訓詁，其門徑也。門徑苟誤，跬步皆歧，安能升堂入室乎？……或者但求名物，不論聖道，又若終年寢饋於門廡之間，無復知有堂室矣！」所以他除喜好掣經外，也兼重義理，主張「崇宋學之性道，而以漢儒經義實之。」⁶²不過他

⁶⁰ 筆者所持論「新義理學」，係指由戴震集大成，對於明代中葉逐漸蔚起的氣論思想有所繼承並發揚光大，而其相對於宋明理學的「道德形上學」來說，是一種義理學轉向暨新理論建構，即強調「非形上學」但仍然肯定道德創造性的新義理模式。蓋戴震以繼承孔孟真精神自居，亟致批判於宋明理學「形上學模式」之錯說孔孟；他極力弘揚孔孟的現實精神，並以實踐哲學為理論重心。其義理學內容主要是將理學長期來偏重強調的道德價值之形上面以及工夫論之形上學進路，扭轉成為肯定道德價值之經驗面以及對形下經驗進路之要求；他強調道德之善必須能以客觀途徑實現於生活世界、能以「客觀事為」接受經驗檢驗，才是「善」的落實，亦即道德實踐之完成。此其用以解決儒學化成理性社會所遭遇的道德學「客觀化困境」之修正性理論，亦其認為孔孟思想之原義。故戴震「由詞通道」整體學術中對於「道」的追求，才是他花費諸多心力在考據學的終極目的，亦其言「故訓非以明理義，而故訓胡為？」之自我實踐。

⁶¹ 論參張麗珠：《清代的新義理學：理學在清初的沒落過程》（臺北：里仁書局，2003），頁53-82。

⁶² 上引皆見阮元：〈擬國史儒林傳序〉，《掣經室集》，頁37-38。

雖愛好性道之學，卻不喜形上學取向；他是揚州學派發揚經驗取向新義理學的代表學者之一，胡適稱他「是戴學的一個最有力的護法。」並認為其哲學，「成績在凌廷堪與焦循之上。」⁶³揚州學者阮元、焦循、凌廷堪等，對於戴震領軍的「乾嘉新義理學」各有一隅側重之義理繼承與發揚；阮元所最突出的思想，在於他反對視「性／情」為「形上／形下」不同存有層，以及由此衍生的「愛自是情，仁自是性」等說，他揄揚「仁必須為」的經驗取向。其義理觀主要為：重視形下之「器」的「道器觀」、「節性」主張的自然人性論、「相人偶」仁論的踐仁主張等。

（一）「器以藏禮」的文化史視角及「道、器觀」

有別於理學對《易繫辭》「形而上者謂之道，形而下者謂之器」之形上學角度，暨其「道／器」、「理／氣」二分架構；阮元轉從文化史角度看待「道」與「器」，對清人之重禮、推展禮俗文化、發揚禮治理想，有進一步之理論推展。

阮元以正面的肯定態度，把「形上謂道，形下謂器」落實在漫長的文化歷程，他認為後人所歆羨的三代之治應該涵蓋「道」、「器」兩重傳承與發展——「商、周二代之『道』存於今者，有《九經》焉；若『器』則罕有存者，所存者，銅器鐘鼎之屬耳。」他說從生活世界的文化積澱言，除聖賢用以「載道」的古經籍外，聖人所以「藏禮」的「制器」，如銅器、鐘鼎等實體形器，並皆為實現王道政治、禮治理想的具體憑藉，都是做為傳承三代之治的載器；而且「器」以其「罕有存者」，其實貴性有時更甚於載籍。是以阮元〈商周銅器說〉，謂鐘鼎彝器等皆「古王侯大夫賢者所為，其重與《九經》同之。」都是「先王所以馴天下尊王敬祖之心，教天下習禮博文之學。」因此「商祚六百，周祚八百，道與器皆不墜也！」則後人欲觀三代以上，「《九經》之外，舍鐘鼎之屬，曷由觀之？」⁶⁴如此一來，凡一切朝覲燕饗、祭祀飲射的「禮器」等，阮元都肯定其所內蘊的道德價值與意義，認為都深有「禮意」蘊藏乎其中；所論與戴震推重禮俗文化，肯定「禮」是「仁之顯」、天道之「藏諸用」者，在精神上並皆同趨。亦可以見清儒看重聖人包藏於典章制度中的「禮意」，強調藉諸現實生活的種種禮制和禮俗以實現道德理想。

因此阮元重視金石學，除了辨經證史的考據價值和個人「石醉金迷」的興趣外；在思想內涵上，也具備肯定其內蘊道德價值的理論基礎。他認為不論《九經》等經籍、或鐘鼎彝器之屬，同皆聖賢傳道之載體，只不過各有分工功能罷了——經籍從「道」寓乎文字的「載理」角度，以存聖人之道；金石制器則從實用的「禮器」角度，以存聖人之道。所以阮元又說「先王使用其才與力與禮與文於器之中，禮明而文達，位定而王尊。」「先王之制器也，齊其度量，同其文字，別其尊卑。……非有德位，保其富貴，則不能制其器；非有問學，通其文詞，則不能銘其器。」⁶⁵他認為禮器乃有德與位的聖王，用以別尊卑、宣教化的憑藉，所以他說孔子言「唯器與名，不可以假人」，正是唯王者能制「器」、能制禮作樂之意，可見「鐘鼎彝器，三代之所寶貴」，那麼對於「器」，如何以其經驗形器而輕之乎？

⁶³ 胡適：《戴東原的哲學》，頁138-139。

⁶⁴ 阮元：〈商周銅器說上〉，《擘經室集》，頁632-633。

⁶⁵ 同前註。

阮元此一切入點，經驗形器不僅以其「藏禮」而不能被輕忽；即對於在理學「道是經之推高一層」模式下被輕忽的經注經說，亦是一大扭轉。對「重道輕器」的理學而言，章句訓詁、名物典制等皆被視為形下言詮；然而在阮元「道器兼重」立場下，他以「禮器」為「器」，文字訓詁則被提昇為「聖人之道，譬若宮牆；文字訓詁，其門徑」之求道門徑，皆為「道」之載體，是以他研經特重「詁經」。阮元所論對於清學扭轉長期的形上學根本型態，有極大推動力量，他和戴震前後輝映，反映了宋明到清近千年的學術思想變遷。以此清代不但經學鼎盛，清儒並多愛好辨證古制，凡禮制、宮室、名物等皆在考辨之列，如井田、明堂、宗法、祭祀、車制、戟、匕、棟樑、磬、劍鋏、兵器……等實物形制與制度之考證，皆為清儒所熱衷。

（二）以「節性」說代「復性」說的自然人性論⁶⁶

清代新義理學和宋明理學工夫論的最大分歧處，在於對形上、形下進路之各有側重，理學重視內向存養的「復性」說，要求「人心」復歸「道心」的「復性」說，始終是宋明理學論性的重要主張；然而清儒為解決晚明以來儒學所面對的客觀化困境，於是轉為強調經驗取向的義理模式，並強調經驗進路的「擴充」說。⁶⁷因此繼清初梨洲等人考辨易圖，指〈太極圖〉、〈先天圖〉為「援道入儒」後；阮元也運用考據法，窮本溯源地指「復性」思想是釋、道思想，並且借用莊子語。他企圖從歷史源流的角度，推翻形上學模式的復性說。阮元〈復性辨〉中考證了《莊子·馬蹄篇》藉「伯樂治馬」以批判「治天下者之過」，猶乎伯樂治馬以燒之、剔之、刻之、餓之、渴之、馳之、整之、齊之……等滅馬性方法，以使中於千里馬要求，故莊子主張善治天下者應該順民之性，使「織而衣、耕而食」、「任天自在」，即「天放」是也；因此阮元從儒、道思想本質不同，指出「文」與「博」是堯舜孔顏之學，反之，李翱強調「情不作」的「復性」說，即祖述莊子以逐外為喪失本真，將造成「文滅質，博溺心」之「無以反其性情而復其初」，故謂李翱乃以「天放」為「初」。阮元正是以此批判理學形而上模式的「性即理」及「尊性黜情」、「復其初」等思想，指為借用道家「無為自化，清靜自正」、「馬蹄天放」、「任天無為」之思想內涵，反飾為孔孟心性之學，故謂「復性」說有悖於孔孟禮樂之教。

阮元藉〈性命古訓〉、〈塔性說〉、〈復性辨〉等數文以立論，通過考據學推窮本義的方法，廣採先秦古書之言性命者，以證明聖人論性皆主「節性」說，以「制禮節性」節制性中之不當情欲；非如李翱「復性」說之滅情、或理學之「存理滅欲」主張。阮元在〈性命古訓〉中旁徵博引《尚書》、《詩》、《周易》、《春秋左氏傳》、《禮記》、《穀梁傳》、《孝經》、《論語》、《孟子》……等諸多古說，取譬如《尚書·召誥》之「節性，惟日其邁」，《詩·卷阿》之「彌爾性」，《孟子·盡心》之「君子不謂性」等，以證成其所持論「聖人作禮樂以節之，修道以教之。」「古人但言『節性』，不言『復性』。」並謂「〈樂記〉曰『好惡無節』、〈王制〉曰『節民性』，皆式《尚書》

⁶⁶ 關於阮元之以「節性」說代「復性」說，張麗珠《清代義理學新貌·阮元向「群學」過渡的「相人偶」仁論》，已略及之，不過本文在取材及論述上另有發揮。

⁶⁷ 相關論述，另詳張麗珠前揭文。

『節性』之古訓也。」⁶⁸以此力闢「復其初」之形上進路。不過也有學者指出阮元文中借論〈西伯勘黎〉之「不虞天性」，實則古訓多以「度知」釋「虞」、並非「節度」之意，故阮元對相關典籍的「性」字字義有不恰當之「概括化」，其所突出做為先秦性論的「節性說」，並不違反儒家思想，但只能視為先秦的「一種」人性觀，而不能說是先秦「唯一」的人性觀。⁶⁹

要之，阮元對於儒學的核心概念——性與命，他持論「周時人所語之性，非李習之所復之性。」而強調周以前的聖賢立言「皆質實，無高妙之旨。」「雖言性而有命在內，故鄭箋兼性命言之。」⁷⁰所以他也採取戴震的自然人性論立場，也以「性中有味、色、聲、臭、安佚之欲」等自然情性，為其性論內涵及其理論之內在結構。其論曰：

「性」字從心，即血氣心知也。有血氣、無心知，非性也；有心知、無血氣，非性也。血氣心知皆天所命，人所受也。人既有血氣心知之性，即有九德、五典、五禮、七情、十義，故聖人作禮樂以節之，修道以教之。……是以周以前聖經古訓，皆言勤威儀以保定性命，未聞如李習之之說，以寂明通照復性也。欲生於情，在性之內，不能言性內無欲。欲不是善惡之惡。天既生人以血氣心知，則不能無欲。……欲在有節，不可縱，不可窮。⁷¹

阮元從肯定情性、情欲的角度論性，承認情、欲皆內在性中，反對排除氣質之性的「性即理」架構，他說「不能言性內無欲。」因此他對人欲的主張是「有節」、「不可縱，不可窮」，反映了清人重視實在界，既反對過度抑遏人欲、但也反對縱欲的社會普遍心理。

在《孟子·盡心下》嘗以性、命對舉，於耳目口鼻之欲求等，說以「性也，有命焉，君子不謂性也。」針對此一經文詮釋，宋明儒以人所獨具的道德理性、即人與物別的「人性」為性論著眼，偏重形而上的超越義，多據張載區別「天地之性／氣質之性」為說，於經驗形氣等說以「君子不謂性」，而於凡物皆然的經驗形氣，則視為天所定「命」，故死生窮達等「祿命」、「命限」，皆歸諸「命」；然而清儒之持論新義理觀者異乎是，從戴震、阮元到晚清康有為等，其性論思想都持自然人性論立場，乃以自然材質論性。戴震《原善》以「存乎材質」的耳目口鼻等欲求為「性」，以「如或限之」的仁義禮智等為「命」，曰「存乎材質所自為謂之『性』，如或限之謂之『命』。」《孟子字義疏證》也說「仁義禮智之懿，不能異人如一者，限於生初，所謂『命』也。」⁷²焦循《孟子正義》亦突出「食色，性也」，說「飲食男女，人之大欲存焉。欲在是，性即在是。」⁷³劉寶楠《論語正義》則援《韓詩外傳》以論「命」，

⁶⁸ 阮元：〈性命古訓〉，《擘經室集》，頁211、214。

⁶⁹ 論詳岑溢成：〈阮元《性命古訓》析論〉，《清代經學國際研討會論文集》，台北：中研院文哲所，1994，頁323-352。

⁷⁰ 阮元：〈性命古訓〉，《擘經室集》，頁214-216。

⁷¹ 同前註，頁217、228。

⁷² 戴震：《原善》（台北：世界書局，1974），卷上，頁7；〈性九〉，《孟子字義疏證》（台北：廣文書局，1978），卷中，頁11。

⁷³ 焦循：《孟子正義》（台北：中華書局，1987），頁743。

曰「言天之所生，皆有仁義禮智順善之心；不知天之所以命生，則無仁義禮智順善之心，謂之小人。」他以人所稟命於天的「德命」、「仁義禮智順善之心」以釋「命」，亦猶〈大雅〉之言「民之秉彝，好是懿德。」⁷⁴涵形上、超越的精神面而言，不同於理學形下形氣的命限、祿命說。如此一來，宋儒長期的「德性／祿命」性命觀，到了清儒就被轉回漢儒「情性／德命」之思想理路了。

故阮元立足在此性論基礎上，他以肯定實在界、強調經驗形氣的義理傾向，撰為〈性命古訓〉，他根據東漢趙岐注之以味色聲臭安佚為「性」、仁義禮智聖為「命」，以論「君子」係指能「節性」而不以性欲苟求之，復能「敬德」以修命者。其論曰：

趙岐注曰：「（味色聲臭安佚）此皆人性之所欲也。……凡人則任情從欲而求可樂；君子之道，則以仁義為先，禮節為制，不以性欲而苟求之也，故君子不謂之性也。……（仁義禮知）此皆命祿，遭遇乃得居而行之。……凡人則歸之命祿，任天而已，不復治性；以君子之道，則修仁行義、修禮學知，庶幾聖人，豐豐不倦，不但坐而聽命，故曰『君子不謂命也。』」……惟其味色聲臭安佚為性，所以性必須節，不節則性中之情欲縱矣；惟其仁義禮知聖為命，所以命必須敬德。⁷⁵

在阮元的性命觀中，「性」從「存乎材質」的味、色、聲、臭、安佚等欲求出發，因此對於情性所「好惡」，譬如口甘美味、目好美色、耳樂音聲、鼻喜芬香、四體思安佚等，阮元都認為應採取正視之肯定立場，並由此得出道德實踐在「節性」，即要能合理而適度地節制情性，而不在「復性」；至於「命」，則他也肯定漢儒趙岐指能實踐父子恩愛、君臣義理、賓主禮敬、明智達善、王道天下之「德命」說，認同其言「不但坐而聽命」、毋「任天」而歸諸「命祿」，故阮元也說「命必須敬德。」對此，揚州學者焦循並皆與之同調。

（三）強調經驗進路的「相人偶」仁論⁷⁶

仁是儒學的核心概念，是包涵個人道德、家族倫理和宗法制度等「三綱五倫」的全德總歸、最高價值；是以道德實踐之「踐仁」，也涵蓋了德性自主、終身實踐以及恕道推擴之理性社會終極實現等無限歷程。逮及理學發展階段，理學家又賦予仁「生生之理」、「本體化」了的「道體」高度，如程頤曰「萬物之生意最可觀，此元者善之長也，斯所謂仁也。」張載曰「天體物不遺，猶仁體事而無不在也。……無一物而非仁也。」⁷⁷是以「仁」猶天理，百理畢具乎其中。因此對宋儒而言，「仁」除了是道德目標外，也是兼該體用、兼攝形上形下而一體圓融的萬物之生理。故程

⁷⁴ 劉寶楠：《論語正義》（台北：文史哲出版社，1990），頁769。

⁷⁵ 阮元〈性命古訓〉，《擘經室集》，頁212。

⁷⁶ 另詳張麗珠：〈阮元向「群學」過渡的「相人偶」仁論〉、〈清代經學名臣一重鎮：阮元〉（文收入《清代學術講論》，桂林：廣西師範大學出版社，2005）；不過本文之論述重心與上述二文有異，本文除了阮元之「相人偶」仁論以外，並凸顯其強調「仁之實事」，並以「行之於實事」來闡釋孔子的「一貫」說。

⁷⁷ 朱熹編：《二程遺書》（上海：上海古籍出版社，1995），卷11，頁5；王夫之注：《張子正蒙·天道篇》（上海：上海古籍出版社，2000），頁109-110。

朱即連韓愈〈原道〉云「博愛之謂仁」，並皆不取——程頤曰「仁者固博愛；然便以博愛為仁，則不可。」他區別「形上／形下」地說「愛自是情，仁自是性；豈可專以愛為仁？」「心譬如穀種，生之性便是仁也。」⁷⁸朱子高足陳淳撰《北溪字義》亦言「自孔門後，人都不識仁，漢人只把做恩惠說，是又太泥了愛。」⁷⁹皆反對著於形下、未識「仁」之形而上及超越義的仁說。

然而以戴震為首的乾嘉新義理學，主要針對當時的儒學客觀化困境立說，為了針砭蹈空時弊與空疏學風的異質化發展，戴震改絃易轍地突出形下實在界，轉從「理」的下層建築——禮制、禮儀、禮俗等向度建構其理論，而要求道德實踐的經驗與客觀進路。他以萬物尚未成形的陰陽五行之「氣」為形而上，其謂「形以前」，而以氣化成形後的有形之物為形而下，其謂「形以後」；他認為道德實踐應該落實在「陰陽五行一道之實體、血氣心知一性之實體」之相通氣層上，故涵「人道」之人倫日用、身之所行與「天道」之氣化流行在內的，凡「人物」生生所有事，即皆戴震所欲強調者。因此萬物所「同然」者，即能通「情」遂「欲」的社群意識、而非徒事於個人內向存養之德性，才是戴震所欲凸顯者。⁸⁰至於阮元，則亦呼應戴震、焦循的義理新說，亦著力發揚實證精神，除論性的〈性命古訓〉外，他並撰有〈論語論仁論〉、〈孟子論仁論〉，重新詮釋儒家仁學概念，企圖重構儒家強調現實意義的仁學體系。阮元利用清儒所擅長的訓詁考證，在方法論上，他以借助古訓的方式，引經據典地溯源儒學歷史源流；在核心價值上，則他轉換價值地、將仁學思想拉回實在界的經驗視域，強調社會實踐與現實精神。所以道德進路之「形上→形下」轉趨，是「理學→乾嘉新義理學」的最根本轉變，而揚州學者焦、阮、凌等人則皆有理論建構的羽翼之功。

阮元仁論的核心要義，主要在於強調「仁必須為」的客觀實踐；他反對理學對仁的形而上意義凸顯，他說「一介之士，仁具於心；然具心者，仁之端也，必擴而充之，著於行事，始可稱仁。」此其對於戴震突出「擴充」說之進一步發揮——戴震之自居《孟子》正解，就在他認為《孟子》言「凡有四端於我者，知皆擴而充之」才是性善說的核心旨要，故曰「人則能擴充其知，至於神明，仁義禮智無不全。」他說仁義禮智即「心之明之所止也，知之極其量也」，以為仁義由「知之極其量」、「擴充」其智而得，故「於其知惻隱，則擴而充之，仁無不盡；於其知羞惡，則擴而充之，義無不盡。」此外，他又說「一人遂其生，推之而與天下共遂其生，仁也。」⁸¹亦著眼於心知之明經過「擴充」後，人能推一己之欲求使「與天下共遂」之經驗事實。而阮元之仁論，也就是發揮戴震上述以「擴充」及經驗事實為強調的觀點，阮元仁論亦著眼於「具於心」只是「仁之端」，須是「仁之實事」始可謂之「仁」，⁸²猶乎戴震區別「性善／善」，並將理論重心置放在「乃語其至，非原其本」之「性

⁷⁸ 程頤：《二程遺書·伊川先生語四》，卷18，頁1、4。

⁷⁹ 陳淳：〈仁義禮智信〉，《北溪字義》（《叢書集成初編》，冊645），卷上，頁24。

⁸⁰ 上詳戴震：〈天道二〉、〈天道一〉、〈道一〉，《孟子字義疏證》，卷中頁1、卷下頁4。

⁸¹ 以上分詳戴震：〈性二〉、〈性四〉、〈仁義禮智〉，《孟子字義疏證》，卷中頁6、7，卷下頁6。

⁸² 阮元：〈孟子論仁論〉，《擘經室集》，頁195。

善→善」的歷程實踐，即「善」的經驗實現，而非對「性善」的「證體」。⁸³故阮元借《孟子》言「仁之實，事親是也」，以進論：

實者，對「端」字而言。蓋惻隱為仁之端，充此端以行仁則孝。……「實」者，實事也。聖賢講學，不在空言，實而已矣。故孔子曰「吾道一以貫之。」貫者，行之於實事，非通悟也。⁸⁴

阮元仁論主要就在反對「通悟」而強調「行之於實事」，他之取證孔孟「壹是皆身體力行，見諸實行實事」，「其事皆歸實踐，非高言頓悟所可掩襲而得者也」，⁸⁵皆以闡明傳統儒學乃看重「實行實事」之經驗實踐。

由於強調「仁必須為」的客觀實踐，阮元復結合乾嘉考據學成果——對仁之「相人偶」古訓抉發，⁸⁶援引鄭玄對《中庸》「仁者，人也，親親為大」，注曰「人也，讀如『相人偶』之人，以人意相存問之言。」對〈聘禮〉「每曲揖」，亦注曰「每門輒揖者，以相人偶為敬也」⁸⁷……，而將「仁」轉向到「以此一人與彼一人相人偶，而盡其敬禮忠恕等事」之經驗事實，所論亦可視為對戴震重視「人情」與「我情」的「以情絜情」說之推進，並皆成為乾嘉新義理學表現經驗取向的重要理論建設。阮元取譬一人閉戶獨居，瞑目靜坐，則雖德理在心，終不能指為聖門之「仁」；他強調聖門行仁之方，必須「偶」於人而後得見，力主「仁」應從平易的人事現象出發，應自經驗實踐的角度以言。其曰：

元竊謂詮解「仁」字，不必煩稱遠引，但舉曾子〈制言篇〉「人之相與也，譬如舟車，然相濟達也。人非人不濟，馬非馬不走，水非水不流。」及〈中庸篇〉「仁者，人也」，鄭康成注「讀如相人偶之人」，數語足以明之矣。……相人偶者，謂人之偶之也。凡仁，必於身所行者驗之而始見，亦必有二人而仁乃見。⁸⁸

如此一來，理學「形上學」模式的內省默識途徑，就被阮元以「相人偶」轉成凸顯經驗進路，落實在社會倫理、人際相對待關係以言的「爾我親愛」了。凌廷堪對阮

⁸³ 另參張麗珠：〈戴震與荀子之思想歧異〉，《儒林》（濟南：山東大學儒學研究中心，2008.12），第4期，頁315-329；〈戴震人性論與孟、荀之異同〉（台灣哲學學會「科學、規範與實踐理性」學術研討會，政治大學，2008.10.25-26）。

⁸⁴ 阮元：〈孟子論仁論〉，《擘經室集》，頁206。

⁸⁵ 阮元：〈石刻孝經論語記〉，《擘經室集》，頁238。

⁸⁶ 錢大昕〈說文校譌字〉言「仁者，人也。鄭康成『讀如相人偶』之人。《儀禮》注屢言『相人偶』。」其下並自註以「惠氏《九經古義》、臧氏《經義雜記》，援引詳矣！」（《十駕齋養新錄》，台北：中華書局，1982，卷4，頁4。）

所謂「相人偶」，「耦」為「偶」之本字，本義是耕具，古時耜廣五寸為「伐」，二伐為「耦」，「耦」須由二人共持之，如《論語》「長沮、桀溺耦而耕」可證；其後「耦」遂由「並耕」引申成為「人耦」之義，並因古人改換部首之習而易「耦」為「偶」，於是作「相人偶」，是以段玉裁《說文解字注》言「凡言人耦、射耦、嘉耦、怨耦，皆取耦耕之意。……今皆作偶，則失古意矣！」（《說文解字注》，頁387）

⁸⁷ 分詳《禮記·中庸》、《儀禮·聘禮》（《十三經注疏》，台北：藝文印書館，1982），頁887、242。

⁸⁸ 阮元：〈論語論仁論〉，《擘經室集》，頁176。

元以「相人偶」說仁，稱以「不刊之識。」並言「即以《論語》克己章而論，下文云『為仁由己，而由人乎哉！』人、己對稱，正是鄭氏『相人偶』之說。」⁸⁹要皆宏揚乾嘉新義理學之現實意義。

阮元強調「著於行事」、「仁之實事」的仁論思想，在反映部分清人重視經驗意義的新義理觀之餘，亦不可避免地招致了如宋學派方東樹（1772-1851）等人之反對意見，方東樹強烈批判阮元，並舉例譬如孔子有言「回也，其心三月不違仁，其餘則日月至焉而已矣」，其謂若依阮說，難道顏回「三月之後忽不與人偶」？⁹⁰惟阮元亦曾指出「顏子三月不違仁，而孔子向內指之曰『其心不違』。可見心與仁究不能使之渾而為一曰『即仁即心也。』」⁹¹阮元區分「心」之不違與經驗實踐之「仁」有別，故於此他並未落入方東樹所批判的矛盾中。逮及晚清，則康有為、梁啟超、譚嗣同……等，在順應現代化潮流的儒學理論轉型以及「社群」倫理強調中，並皆對於阮元「相人偶」仁論，及其「仁必須為，非端坐靜觀即可曰仁也」，「聖賢之仁，必偶於人而始可見」等理論，有所借用與發揮⁹²。

五、結論

一生備極帝寵的阮元，曾獲賜紫禁城內可以騎馬；遠宦滇南時，並獲賜御筆春聯：「出門見喜」，阮元亦曾賦詩「我君令臣喜，喜氣盈鬚眉。春明門外路，豈是天之涯。」⁹³不過阮元之所名世者，更在他一代顯宦身分之外而極其難得的：特有功於儒學；其功並涵蓋保存經部文獻、研經與新義理學等數方面而言。阮元以個人力量推動了《皇清經解》、《十三經注疏》附《校勘記》、《經籍纂詁》等鉅編之纂輯、校勘與刻印，儒學史上罕有能出其右者。阮元精於校勘，嘗曰「世人每矜『一目十行』之才，余哂之；夫必『十目一行』，始是真能讀書也。」⁹⁴他致力於弘揚學術，曾刊刻諸多當世著名學者之遺著，並廣設書院，獎掖後進。阮元好經，其經學主張，謂「聖人之道譬若宮牆，文字訓詁其門徑也」，「士人讀書當從經學始，經學當從注疏始」，「漢人之詁多得其實」，皆推明古訓、闡揚實事求是精神，以彰顯「漢學」典範並標幟清學特長。其經學考證，如《擘經室集》中以音韻考釋文字、以訓詁辨析名物典制、或以金石碑刻證經辨史者，並有〈釋矢〉、〈釋且〉、〈釋門〉、〈釋順〉、〈釋達〉、〈釋相〉、〈明堂考〉、〈棟樑考〉、〈銅和考〉、〈鐘枚說〉、〈璧羨考〉、〈考工記車制圖解〉、〈商周銅器說〉……等諸多篇章，

⁸⁹ 凌廷堪：〈與阮中丞論克己書〉，《校禮堂文集》（北京：中華書局，2006），頁234。

⁹⁰ 方東樹：《漢學商兌·卷中》（台北：台灣商務印書館，1978），頁73。

⁹¹ 阮元：〈論語論仁論〉，《擘經室集》，頁180、182。

⁹² 康有為嘗言「仁從二人，人道相偶，有吸引之意，即愛力也。」「人不能離群獨處，無在不與人交，無處不與人偶。與人交偶，相親相愛，則人道成；相惡相殺，則人道息。故仁者，人道交偶之極則也。」（《中庸注》、《論語注》，《康有為全集》，北京：中國人民大學出版社，2007，頁379、443）梁啟超亦言「德之所由起，起於人與人之有交涉。」（〈論私德〉，《新民說》，《飲冰室專集》冊3，台北：台灣中華書局，1978，頁119）譚嗣同《仁學》也說「漢儒訓仁為『相人偶』。人于人不相偶，尚安有世界？」「仁从二从人，相偶之義也。」（《仁學》，台北：學生書局，1998，頁1、14）

⁹³ 阮元：〈秋祭東園齋居詩四十韻〉，《擘經室集》，頁1163。

⁹⁴ 阮元：〈題嚴厚民杰書福樓圖〉「校經校《文選》，十目始一行」下自註，《擘經室集》，頁1109。

皆旁徵博辨地融貫經傳、參驗古今。其義理主張，在道器觀與理氣論上，他肯定氣化流行而強調社群倫理，看重禮制禮俗而重視鐘鼎彝器等實體實物；在人性論上，他持自然人性論，要求以「節性」思想代「復性」主張；在工夫論上，他發揚「仁之實事」精神，持論「仁必須為」，以凸顯現實取向。其〈論語論仁論〉、〈孟子論仁論〉、〈性命古訓〉、〈塔性說〉、〈復性辨〉、〈論語一貫說〉、〈大學格致說〉、〈釋敬〉……等，皆自立於理學門庭外，而與乾嘉新義理學集大成的戴震思想互相輝映，並皆為清儒持論新義理學的代表人物，能自立於理學形上學模式外，故為胡適目為「從經學走上哲學路上去」的儒者。綜觀阮元一生，早膺顯達，年又老壽，悉心力於振興文教、表章學術，並究心於學術，終清世罕有與之匹敵者；其學衣被天下，學者奉為「山斗」，於時且有「阮元學圈」之稱。

至於本文所稱「乾嘉新義理學」：在儒學的長期發展中，由於宋明理學在義理學範疇的高峰發展，使得後世學者習慣於在義理學和宋明理學間劃上等號；這一來，遂使得學者很難再有理學以外的其他義理型態視野。因此當清儒如戴震另外建構起自立於理學道德形上學門庭外，轉而推崇道德價值之經驗面——「非形上學但仍強調道德創造性」的其他型態義理學時，⁹⁵普遍來說，不是被誤解就是被漠視，並未獲得應有之正視。以強烈捍衛程朱理學的方東樹而言，他面對戴震所領軍的乾嘉新義理學，即言「古今天下義理一而已矣，何得戴氏別有一種義理乎？」⁹⁶而即連在治學門徑上，站在理學凸顯邏輯思辨對立面的考據學領袖：朱筠（1729-1781），亦言「程朱大賢，立身制行卓絕，其所立說，不得復有異同。」⁹⁷他認為在義理學範疇內，程朱言論就是普世「不得復有異同」的最終定論版。可見義理學範疇內的理學獨尊地位及其義理模式，入清以後仍然一枝獨秀，並未動搖。故學界過去慣言乾嘉儒者「尊漢抑宋」，其實只能從經注經義之經學考據一方面言，並未涵蓋義理學範疇。處在清代前中葉，上層學界仍然普遍抱持「漢人經術，宋人理學」之“義理學最高典範在理學”的觀點；宋明理學的義理體系，斯時仍居不可動搖之思想指導地位。故總結清代前中葉義理學的發展走勢主要有二：一是理學陣營之「由王返朱」，這是當時的大勢以及清廷的官學立場；另一則是部分漢學家結合了考據學與義理學，以考據為方法、義理為目的，「從故訓進求理義」，並繼承十六、七世紀起日漸興盛的「氣本論」，轉以「形下之器」的「實在界」做為理論倡論推倒程朱理學的新義理主張漸趨成熟並受到部分士人接受以後，如章學誠曰「趨其風者，未有不以攻朱為能事也。」「誹聖排賢，毫無顧忌，流風大可懼也！」⁹⁸方東樹亦曰「近世有為漢學考證者，箸書以辟宋儒攻朱子為本。……海內名卿巨公、高才碩學，數十家遞相祖述。」斯亦即錢穆所論「蓋乾嘉以往，詆宋之風，自東原起而益甚。」⁹⁹——即理學在義理學領域內的長期獨尊地位開始鬆動並且風氣轉變；須是至此，才可以說是理學的「義理學典範」

⁹⁵ 論詳張麗珠：〈戴震人性論與孟、荀之異同〉，《國文學報》（臺北：臺灣師範大學），第47期，2010.6，頁37-70。

⁹⁶ 上述引言分見方東樹，《漢學商兌》（臺北：商務印書館，1978），頁134。

⁹⁷ 江藩轉述。江藩：〈洪榜傳〉，《國朝漢學師承記》，卷6，頁6。

⁹⁸ 章學誠：〈朱陸〉、〈書朱陸篇後〉，《文史通義》（臺北：華世出版社，1980），頁58、60。

⁹⁹ 方東樹：〈漢學商兌序例〉，頁1；錢穆：〈戴東原〉，《中國近三百年學術史》，頁322。

危機和乾嘉新義理學之意識型態取代。

阮元是乾嘉後期的學者，乾嘉學術則是學界盛稱的清代學術顛峰發展；惟乾嘉考據學人所共知，乾嘉新義理學之光芒，則長期為考據學所掩沒——該看法既迥異梁啟超《清代學術概論》之持論「清代學派之運動，乃『研究法的運動』，非『主義的運動』」¹⁰⁰；也殊異於錢穆《中國近三百年學術史》強調清儒義理為「理學餘緒」看法。筆者雖也認同清初孫奇逢（1584-1675）、李顥（1627-1705）、黃宗羲等人以經世實務修正了王學末流；但認為真正能夠代表清人思想特色的，應為真實流動在生活世界與大眾階層之間，能夠真實反映清人肯定實在界、具經驗取向的義理新趨。故清代的思想變遷暨理論轉型，表現了現實社會對理學極端道德主義反動，以及長期束縛人心的崇高道德標準出現鬆動；尤其乾嘉新義理學對儒學核心概念之價值重估，更顯示其為儒學在邁向現代化進程中，居間銜接宋明理學和清末民初現代化思想的過渡橋樑，在中國邁向早期現代化進程上具有義理學轉型的重要意義。故本文之書寫立場，頗異於多數學者所標舉的揚州學派對乾嘉學術之考據學發揚；本文對於揚州學術的博通、創新精神，係採取兼重其文字、聲韻、訓詁領域之辨、正、校、補成就，以及揚州學術對於乾嘉新義理學之深化發展。即筆者以為兼具義理與考據之長，是為揚州學術所最難能可貴者。

¹⁰⁰ 梁啟超：《清代學術概論》（《飲冰室專集》冊6，台北：中華書局，1978），頁31。

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Professionalization of Acting in Shakespeare's England

Hui-chuan Wang*

Abstract

The Elizabethan common players had a humble beginning. The 1572 Act for the punishment of vagabonds classed masterless and unlicensed "fencers, bear-wards, common players in interludes and minstrels" etc. as rogues, vagabonds, and sturdy beggars. Nevertheless, by the 1590s when Shakespeare started writing his major plays for the Chamberlain's Men, acting, at least what was done by the two officially licensed adult companies in London, was a bona fide occupation.

Although the word "profession" has been freely used to describe the job of Elizabethan common players, the appropriateness of this usage is not certain since the word can only be applied in its broadest sense. We therefore need to begin by examining the meanings of "profession" in the context of the early modern period. This examination is then followed by a look at the history of the emergence of commercial theatre in the early sixteenth century to see how the common players' professionalism evolved. Finally, concepts of profession will be used to discuss Shakespeare's treatments of players and play-acting in his dramatic works.

Shakespeare's representation of players' dependence on aristocratic patronage lags behind the reality of the commercial success of licensed companies. Yet, in suggesting players' unique license to change identities and create theatrical illusions, pointing out the skills required to create such illusions, and not to mention composing psychologically complex characters for lead actors of his company, Shakespeare affirms that acting was on its way to become a profession.

Professionalization involves division of labour and specialism in a society. The rise of the common players should be seen as part of the dynamics of occupational specialization in early modern England as a result of economic, social, and cultural changes of the times.

Keywords: acting, common player, profession, Shakespeare

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莎士比亞時代英國演員的專業化

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摘要

在十五到十六世紀之間，英國社會還無法承認演戲是一種可以和其他行業平起平坐的全職工作。然而，演員這一行背後有至少兩百年的娛樂表演歷史。英國戲劇在十六、十七世紀之交顯著地蓬勃發展；演員的社會地位也於此時開始提升。儘管因演戲而致富的仍是少數，但已證明演戲確實是一種可以謀生的工作，足以吸引新血加入。

演員社會地位提升的意義不僅僅在於生活條件的改善，更重要的在於演戲成為一項被認可的職業。而擺脫了與乞丐、流浪漢同類的命運之後，演員就和其他行業一樣，在現代化的過程中，要朝向專業化 (professionalization) 發展。各行各業專業化的過程和速度並不一致。演員專業化的進度也受到經濟、社會、文化等因素影響。本文所要探討的是，從中世紀到文藝復興時期，演員這一職業的社會意義如何因為諸多因素，如工作與休閒的新定義與市場經濟的發展，而產生重大改變。

莎士比亞劇本人物中的演員角色，多以依賴權貴贊助、巡迴流浪的形象出現，與莎士比亞劇團的實際運作情形很不相同。然而，莎士比亞經常在劇中傳達演戲乃是需要技術的行為，而演員則是有社會的默許，可以變換身分，扮演與自身完全不同的人物。莎劇一方面促使演員施展演技，也間接地為演員這個職業定義了其專業範圍，這是演戲走向專業化的重要發展。

關鍵詞：演戲、演員、專業、莎士比亞

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Introduction

Elizabethan theatre is an undisputed success story in the narrative of Western theatre history. The development of the commercial theatre is narrated as an almost unstoppable progress. The protagonists are the enterprising theatre managers, skilful players, and talented playwrights (with Shakespeare towering above everyone else). The villains are the interfering civic authorities, puritans, and government censors. Navigating the dangerous waters of political and religious controversies and judiciously allying themselves with powerful patrons, the ever-resourceful theatre troupes managed to produce works that not only appealed to contemporary audiences but also fascinated later generations of theatre practitioners and literary scholars alike. Elizabethan theatre seems to demonstrate the virtue of a competitive commercial environment in fostering professionalism. The success story is so brilliant that it is sometimes considered a model for theatrical excellence.

Besides the achievements of Elizabethan dramatists, the rise of the common players is another familiar aspect of the golden age of English theatre, a rags-to-riches story. To emphasize the humble beginning of the players, historians often draw attention to the 1572 Act for the punishment of vagabonds, which classed masterless and unlicensed “fencers, bear-wards, common players in interludes and minstrels” as rogues, vagabonds, and sturdy beggars. With the construction of permanent playhouses in London from 1576 on, so the story goes, players prospered to such a degree that in the early seventeenth century some of the most successful of them applied for or assumed coats of arms, symbols of the gentry. Though only a few players eventually became property owners, many more managed to support themselves and their families with earnings from performances in public places and private houses. Indeed, in the fifteenth century acting in interludes was becoming a financially viable occupation; and the players of interludes may be described as “professional actors” in the sense that they made a living from acting. Professional acting dominated Elizabethan theatrical scene in contrast to the mainly amateur-based medieval theatre.

As presenters of epoch-making dramas of Marlowe and Shakespeare, the Elizabethan common players are also seen as a new breed of performers, distinct from other entertainers, such as minstrels, mummers, dancers, and jugglers. The occupation of acting was so new, argues M. C. Bradbrook in *The Rise of the Common Player*, that the Elizabethan society initially had difficulty conceptualizing the social position of the actor: “Having no place in the scheme of things, he had no place in society” (40). Moreover, as Glynne Wickham remarks, “at no time during the fifteenth or the sixteenth century was society at large prepared to admit that acting should be recognized as a full-time occupation on a par with other crafts or professions” (188).

Nevertheless, by the 1590s when Shakespeare started writing his major plays for the Chamberlain's Men, acting, at least what was done by the two officially licensed adult companies in London, was a bona fide occupation. No longer social outcasts, members of the licensed troupes went about their business just as everyone else in other trades. They had come a long way since the days of travelling players. Yet, they did not have an organization to set standards of their work or define qualifications for entry into the occupation: Elizabethan common players were not only very different from modern professional actors who are trained in drama schools and have union membership; they were also different from their contemporaries whose work was regulated by guilds or professional bodies.

Since Shakespeare was himself an actor, his view on this profession should be of great interest to us. In *Shakespeare the Actor and the Purposes of Playing*, Meredith Anne

Skura notes the rarity of professional actors in the *dramatis personae* in Elizabethan and Jacobean drama despite the profusion of metatheatrical devices in many plays. Even when a plot calls for professional actors, they tend to be seen in a great lord's house rather than on a public stage. Shakespeare's portrayal of professional actors cannot be more low-key:

Although his own experience lay primarily on the up-to-date public stage in London, Shakespeare's players all conform to the outdated antitheatricalist's image of the player as itinerant, a proud beggar living on alms. In a period when players were moving away from aristocratic patronage to commercial theater, Shakespeare accentuated the displacement and social inferiority implied by the former. (85)

Perhaps our imagination of the origin of Elizabethan common players has been strongly coloured by the wording "rogues, vagabonds, and sturdy beggars" in the 1572 Act; studies of players' professionalization have tended to focus on the question of their social status. Yet, professionalization means more than a rising social status: it involves division of labour and specialism in a society. The rise of the common players should be seen as part of the dynamics of occupational specialization in early modern England as a result of economic, social, and cultural changes of the times.

Although the word "profession" has been freely used to describe the job of Elizabethan common players, the appropriateness of this usage is not certain since the word can only be applied in its broadest sense. We therefore need to begin by examining the meanings of "profession" in the context of the early modern period. This examination is then followed by a look at the history of the emergence of commercial theatre in the early sixteenth century to see how the common players' professionalism evolved. Finally, concepts of profession will be used to discuss Shakespeare's treatments of players and play-acting in his dramatic works.

Meanings of "Profession"

Division of labour is one of the most fundamental social processes. And terminology of work becomes more varied as work itself becomes more specialized. In the sixteenth century a variety of words were used to refer to the colloquial term "job." In the opening scene of Shakespeare's *Julius Caesar*, a Roman tribune halts some commoners on the street and reproaches them: "What, know you not, / Being mechanical, you ought not walk / Upon a labouring day without the sign / Of your profession? Speak, what trade art thou?" (1.1.2-5). In this example, "profession" and "trade" are used interchangeably. However, early modern people were aware of the hierarchy of jobs and of the nuances of synonyms. A Jacobean pamphleteer writing in 1616 remarked:

Now I cannot tell what I should call the study of law, whether I should term it to be a profession, a science, or an art; a trade, I cannot call it, yet there be some that do think it to be a craft. . . . But I think it may rather be called an occupation. (qtd. in Prest "Introduction" 13)

Apparently this pamphleteer could not decide easily the relative prestige of the study of law in occupational ranks. But he was sure that "trade" was low on the hierarchy, and that "profession" was high, with "occupation" in the middle. By the mid-seventeenth century anti-professional critics would use "professions" to refer to lawyers, clergy, and medical men, but not to tradesmen or artisans, and they could expect this distinction to be understood (O'Day 14).

It remains a fact that the word 'profession' in the English language has many contradictory denotations and connotations. In his *Professional Powers: A Study of the Institutionalization of Formal Knowledge*, Eliot Freidson summarizes a semantic history

of “profession,” beginning with meanings of “declaration, avowal, or expression of intention or purpose” which originated in the practice of taking consecrated vows by the clergy of medieval universities. As early as the sixteenth century, the term was used to mean the three traditional learned professions of divinity, law, and medicine as well as, conversely, any occupation by which people could make a living. The related word “professional” and its antonym “amateur,” too, carry reversibly positive or negative connotations. In certain contexts, “professional” would suggest an ungentlemanly, profit-making motive for undertaking an activity, whereas a gentlemanly “amateur” is unconcerned with earning a living and therefore can pursue an activity just for the love of it. This opposition contrasts the landed classes’ economic independence with common people’s dependence on their own labour for any income. However, a “professional” job implies good quality of work, but an “amateurish” job is poorly done. For professionals can be seen as dedicated practitioners, cultivating special skills, so they deserve being paid for their work; amateurs, on the other hand, lack the same kind of dedication to refine their skills (21-24).

American sociologist E. C. Hughes uses license and mandate as the two key terms in his thoughts on the professions. He thinks of “license” as something much broader than the specific legal permission to carry out certain activities: “Society, by its nature, consists in part of both allowing and expecting some people to do things which other people are not allowed or expected to do.” Then, if members of an occupation have any sense of community, “they will also claim a *mandate* to define—not merely for themselves, but for others as well—proper conduct with respect to matters concerned in their work.” Furthermore, when practitioners of an occupation collectively “presume to tell society what is good and right for it in a broad and crucial aspect of life” and when society accepts that presumption, a profession in the full sense of the word comes into being (25-26). Modern medical and legal professionals, for instance, define the terms of our thinking on matters such as health and justice.

Harold Perkin defines a professional society as one “made up of career hierarchies of specialized occupations, selected by merit and based on trained expertise” (2). Professional society in this definition is a logical continuation of industrial society and did not come into being until after the First World War. Yet, the basis of the professional ideal, selection by merit and trained expertise, was already evident in early modern professions. The early modern English physicians and lawyers were beginning to claim expertise and monopoly based on their esoteric knowledge acquired at universities or, in the case of common lawyers, at the Inns of Court. Formal academic qualifications were what distinguished them from both laymen and lower-status practitioners. However, in terms of professional activities, the difference between qualified and unqualified practitioners was not absolute. Legal services were provided by not only the institutionally affiliated lawyers but also by a host of semi-professional or para-legal practitioners (Prest “Lawyers” 69). Medical care involved an even broader range of practitioners, from physicians, barber-surgeons, and apothecaries, to women practitioners, immigrant practitioners, midwives, clerics, and schoolmasters; in the countryside the cunning men and women would use ritual, magic, and prayer to treat patients (Pelling 101, 109). On the other hand, the professionals themselves did not always practice full-time but combined their professional work with other activities. In short, the world of the early modern professional and that of the layman still shared a lot of common ground.

If early modern concepts of profession were still fluid regarding legal and medical practices, they were doubly so concerning the theatrical profession. For one thing, Elizabethan common players did not have a monopoly on dramatic entertainment: amateur civic dramas were still produced in the mid-sixteenth century, and students of

grammar schools and universities were called on to perform plays before the monarch. Moreover, although common players obtained licenses to tour towns and aristocratic estates with their shows, they had to maintain the fiction that they were some noblemen's household servants rather than professional actors. There was no trade guild to set standards of performance practices, regulate members' conduct, or oversee newcomers' training. Therefore, it was not possible for the players to speak as a community; they claimed no *mandate* to define the nature of their work.

Professionalization of Acting

One factor set the players' job apart from many other occupations: acting was so bound up with traditions of leisure that some religious people even had difficulty considering it "work". We may look at the professionalization of acting in sixteenth-century England in terms of a cluster of related concepts: work, occupation, leisure, and entertainment. For the common players, acting was work, a set of activities they did in exchange for money and/or other forms of reward. They worked when others were off work, giving the latter entertainment to while away some leisure hours. The professional actors came into being around the time when a new work ethic was introduced following the Reformation, and their place in the society was fairly established by the turn of the seventeenth century when the shift in the culture of entertainments in England became more and more conspicuous. In the controversies about the common players and their profession can be found competing visions of how people should organize their everyday life.

In his influential study on the relation of Protestantism to Capitalism, Max Weber observes how work was elevated by Protestants to be "a positive thing to be done well for the glory of God and the preservation of the individual's soul" (Anthony 42). Protestant ideology dignified work and taught believers to think of their work as a calling willed by God. This new ethic contrasts with not only the ancient Greek view of work as slavery, ideally to be avoided by cultured citizens, but also the medieval sense of necessity of working to ensure survival and to fulfil one's duty to the lord. In the premodern world a long work day of twelve or more hours was normal. Yet, "there could be little point in working harder or more productively because, as the market economy was rudimentary, there would be nothing to do with a surplus" (Anthony 30). The new discipline of work helped solve economic and social problems facing England around the seventeenth century. The ethos of diligent work pumped human resources into the economic life of the country to power a burgeoning market economy. At the same time, the work ethic stressed self-discipline and order, conducive to an orderly society.

Leisure, too, was redefined. As Protestant preachers praised the morality of work, leisure came to be seen as a trap that would endanger the human soul. Traditional leisure such as dancing, drinking, or gambling diverted people from serious work to sexual promiscuity and self-indulgence. Physical exercise was fine if it strengthened one's body for work, but sports might encourage the sin of vanity when a person became proud of his athletic expertise (Cross 27). There was also an economic argument against traditional leisure. In a predominantly agricultural society, the pace of peasant life was dictated by a rhythm of natural cycle, and a craftsman's work was paced by demand. Work stopped when the time of day or the weather did not allow it to continue. Religious or folk festivals also meant days off work. In general, the characteristic of preindustrial labour was "its preference for leisure over increased income." When the economic situation was favourable, artisans "often responded with working less and playing more rather than attempting to accumulate wealth" (Cross 13). Unless the population changed its mindset,

productivity could not rise. Protestant reformists managed to abolish many traditional holidays and saints' days and warned believers against idleness. However, the leisure ethic proved rather tenacious among the masses, even after the industrial revolution.

Where there is leisure time to spend, some form of entertainment would be needed. The Elizabethan common players, though lacking any fixed social status in the middle of the sixteenth century, had behind them a history of "at least two hundred years of scenic entertainment in English," "with their inheritance of traditional skill in mounting shows, singing, reciting" (Bradbrook 17). In the fourteenth and fifteenth centuries there were mystery plays as well as civic and royal pageantry in cities, and minstrels' shows in noblemen's households, college halls, and royal courts. These performance traditions later were absorbed by the commercial theatre of the sixteenth century. However, unlike Elizabethan professional theatre, the late medieval entertainment was closely connected with seasonal festivities and major ceremonies: it was sponsored by the royalty, nobility, landed gentry, or civic corporations and offered free to the spectators.

The sixteenth-century common players broke with medieval traditions. They began by travelling around and offered their shows whenever and wherever a venue was available, whether in a lord's house or in an inn yard. After the building of playhouses in London in the 1570s, performances could be held any day of the week, for several months a year. To those who believed dramatic entertainment should be tied to festivities only, the common players performing regularly "were living in a state of perpetual holiday" (Bradbrook 45). The transformation of dramatic entertainment from an occasional to a regular event was a function of the changing meaning of time. Leisure in preindustrial societies "was closely tied to the agricultural cycle and was far more irregular than in our rationalized industrial society" (Cross 20). However, in the towns where trade was the main activity a different pattern of work and recreation could develop; the rhythm of six days of work followed by one day of rest was more regular and yielded more work days a year. Even puritans recognized the necessity of balancing work and rest (Cross 29). From the point of view of professional actors, though this new pattern meant fewer days set aside for rest and recreation, it indirectly severed the tie between festivities and entertainment, which was a positive change for them. They, too, could work more regularly. Indeed, some troupes even performed on Sundays.

The commercial activity of common players also broke the connection between entertainment and patronage by the rich and powerful. Traditionally, entertainment was "the private 'Offering' to a superior from his servants or dependents" (Bradbrook 46). The servants could expect largesse from their lords in recognition of their effort, but they should not think of their offering as a money-spinner. Indeed, the concept of patronage continued well into the sixteenth and seventeenth centuries, and the professional theatre troupes remained nominally the household servants of their noble or royal patrons.

For these powerful patrons, entertainment was part of their hospitality programme, an obligation to provide food, drink, and amusement for their guests and inferiors especially during festive periods. The hosts might not be personally interested in the kinds of entertainment provided. Queen Elizabeth presided over shows by players, acrobats, bear keepers, and dancers; she watched a performance by the Chamberlain's Men on the eve of Essex's execution. King James watched a series of plays during the New Year celebrations of 1613 even though he had just lost his son and heir less than two months before. The two monarchs were indifferent to what they watched; they were simply adhering to the "sense of the condescending obligations of magnificence": holiday rituals had to go on whatever the circumstances (Barroll 97-98). It was a privilege and an obligation for those in power to provide hospitality and patronize entertainers. However, when common players charged the spectators for seeing their shows in a commercial

setting, they made every paying customer their patron.

Dramatic performance, originating in festivities and associated with days off work, was naturally disapproved of by puritans. Consequently, the players' work—the preparation for and the actual presentation of entertainment—was regarded as idleness rather than work, however arduous it might be. Worse, they were said to induce idleness in the audience, drawing people away from honest work to indulge in pleasure. From idleness it was a short step away from sin. The spate of antitheatrical writing, first in the 1570s and 1580s and later in the early seventeenth century, testified to the anxiety felt by the deeply religious when the masses were not at work.

We do not know how many people in early modern England shared the antitheatrical polemicists' sentiments. But local authorities' opposition to dramatic performances is well documented. The lord mayor and aldermen of the City of London made several attempts to restrict theatrical activities in London on various grounds, not all religious ones. Their arguments won the approval of the Privy Council, which led to the restriction of public performances to two adult companies in the capital in the 1590s. In some regions in the province the officials also tended more and more to pay travelling troupes to go away, especially after the 1620s. Some of the reasons were moral and religious, involving puritans' hostility to both playing and the players. There were also practical reasons for restricting performances: for instance, to prevent the spread of diseases and public disorder. During the economic depression of the 1620s local authorities not only cut down on payments to players but were also concerned to protect the poor from wasting money on entertainment (Keenan 179-80).

The vehemence of antitheatrical diatribes may give us the impression that players were singled out as society's scapegoats: their very visibility made them the easy targets of criticism, not unlike today's celebrities whose every move is watched and commented on by the media. Indeed even today being an actor is still seen as somewhat outside the normal way of life. E. C. Hughes observes:

[The occupations of artists and entertainers] seem to require, if they are to produce the very things for which society will give them a living of sorts (or, in some cases, unheard-of opulence), at least some people who deviate widely from the norms more or less adhered to and firmly espoused by other people. Their license is, however, periodically in a parlous state, and there seems no guarantee that it will not, at any moment, be attacked. (30)

The Elizabethan common players had to obtain an official license in order to perform. The formal license also implicitly licensed them to do certain things that others were not allowed. The players were permitted to pretend to be someone else and to dress as their roles required. Thus they were constantly flouting sartorial rules of the time, albeit only on the stage: commoners put on aristocratic or even royal outfits and men wore women's clothes. In addition, as Hughes remarks, "many occupations cannot be carried out without guilty knowledge." The priest, for instance, must become an expert in sin to be able to hear confessions and give penance (26). The players, too, must possess sufficient knowledge about the minds and manners of princes, tradesmen, criminals, and madmen so as to represent them convincingly on the stage. Of course, it was understood by all that the pretence and disguise was framed within the theatrical presentation. But all the criticism of players and playing proved that their license was often found suspect, resented, and attacked.

By 1594 when the Chamberlain's Men and the Admiral's Men were given a quasi-monopoly of performing drama in London, the common players were an established presence in the English society. Professionalism developed as a result of changes in the conditions of playing. The strolling players of interludes in the early Tudor period had to

be much more versatile than the amateur players of medieval religious drama. As they gave performances more than occasionally, they needed a variety of technical skills from dancing, fencing, and acrobatics to mimicry and declamation. Because of the small size of the troupe of normally four players, each of them had to be able to play several roles. The most important skill that marked their professionalism was the ability to manage their audiences: "how to obtain their attention in the first instance, how to maintain it thereafter, knowledge of how to make them laugh or cry, knowledge of what would distract or bore them, how not to lose their sympathy and how to avoid arousing their active displeasure" (Wickham 190). Itinerant players learned to adapt their shows to the demands of different playing spaces, occasions, and audiences.

The appearance in London in the 1570s of permanent playhouses furthered the quality of stage performance by first improving the lives of common players: "For the players London meant living in one place instead of travelling and more important, enjoying a steady income" (Gurr 28). The troupe could also enlarge its membership, which meant less doubling of parts, and use more elaborate props than was practical for touring. When Henry Carey, the Lord Chamberlain, decided in 1594 to tighten the control over playing troupes in the capital, he created two companies, allocated to each of them half of the best players and plays then available and a playhouse close to the city, and banned the rest of the players from working in London. Thus the top players of the time were given the security to develop their business, free from the pressure of cutthroat competition with rivals.¹

The Chamberlain's Men, of which Shakespeare was a sharer and principal playwright, did not waste their privileged position in the theatrical business. Like their chief rivals the Admiral's Men, they adopted a commercially effective repertory system, paying attention to theatregoers' changing tastes. On the whole, they played more comedies than tragedies. But when a type of tragedy was in vogue, e.g. the revenge tragedy, they produced similar items. A dramatic formula or a subject that proved popular would generate serials (Knutson 7). They scheduled a daily rotating programme, combining new plays and revivals. This practice made good commercial sense. New plays were more lucrative but more expensive to stage; doing revivals allowed the players time to rehearse a new offering.

As theatre companies became better organized, they also took on more responsibility of training young recruits for the job. It is not clear where famous Elizabethan clowns like Richard Tarlton, William Kemp, and Robert Armin learned their skills. When Tarlton performed with early companies, he was already an accomplished clown. Kemp moved from one company to another and often performed as a solo comedian, famous for his morris dance. Armin, who played many fool roles which Shakespeare wrote for him, including Feste in *Twelfth Night* and Fool in *King Lear*, was a goldsmith's apprentice before taking up acting. However, some members of the King's men, such as John Heminges and John Shank, did undertake the training of boy players. Heminges was a freeman of the Grocers' Company, and Shank one of the Weavers' Company. The apprentice system was apparently quite flexible so that a freeman of a company could actually train his apprentices in a different trade. The apprentices of Heminges and Shank were, technically, trainee grocers and weavers, but the training they received was in acting (Astington 77-78). Boy companies, such as Children of Paul's and the Children of the

¹ The two companies' quasi-monopoly of London theatrical scene turned out to be rather short-lived. In the first decade of the seventeenth century, they were joined by a third adult company, Worcester's Men, and then a fourth, the Duke of York's. The decade also saw the temporary popularity of two boy companies, Paul's Boys and the Chapel Children. See Gurr, *The Shakespearean Stage 1574-1642*, 49.

Chapel Royal, were another training ground for young players, trained by the choirmasters in singing and acting. Former boy company members might later join adult companies. The lead player in the Children of the Chapel Royal, Nathan Field, joined the King's men in his late twenties; he played Face in *The Alchemist* opposite Richard Burbage's Subtle (Astington 197). Apprenticeship in acting provided the companies with a supply of young players to succeed older ones; skills and knowledge could be passed on to a new generation.

Shakespeare and the Players' Profession

As a member of the Chamberlain's Men, Shakespeare was working in a financially secure environment, relatively speaking. A steady job could mean that one could better afford to invest time and energy in improving skills. As mentioned earlier, early modern physicians and lawyers were beginning to assert their prestige by claiming trained expertise; it is possible that licensed players could also seek distinction by emphasizing their specialized skills. Commercial theatre had to persuade the society that its product was of a higher quality. This was not necessarily easy to achieve for the players: civic and private theatrical entertainments were still popular, and acting was regarded as within everyone's ability.

Theatrum mundi, the medieval notion that "God and Lucifer viewed mankind's brief struggle in the theatre of mortal existence as audiences watched actors strut and gesticulate upon the stage" (Wickham 65), came down to the Renaissance and was famously summarized in these lines: "All the world's a stage / And all the men and women merely players" (2.7.139-40) from Shakespeare's *As You Like It*. Early modern dramas feature plenty of characters who see themselves as players on the stage of life. Coriolanus realizes towards the end of his career the hollowness of his role: "Like a dull actor now / I have forgot my part, and I am out, / Even to a full disgrace" (*Coriolanus*, 5.3.40-42). In John Webster's *The Duchess of Malfi*, the heroine, believing that her husband and children are all dead, loses the will to go on living: "I account this world a tedious theatre, / For I do play a part in't 'gainst my will" (4.1.84-85). Allusions to playing, especially in tragedies, tend to portray the activity as something indiscriminately imposed on individuals right from their birth. As the grief-stricken Lear remarks on the heath, "when we are born, we cry that we are come / To this great stage of fools" (*King Lear*, 4.6.182-83).

If all the men and women are players, then playing cannot be an occupation. For, according to E. C. Hughes, an occupation "consists in part in the implied or explicit license that some people claim and are given" to do certain things that others are not expected or allowed to do (25). Society does not need or allow everyone to do the same job. However, the principle of division of labour does not apply when playing is seen, not as a form of work, but as a metaphor for a condition of human existence.

Unlike the reluctant players on the stage of life, some characters in Shakespeare's dramas do voluntarily choose a role to play in the way ordinary people take up a trade. Julia in *The Two Gentlemen of Verona*, Rosalind in *As You Like It*, Portia in *The Merchant of Venice*, and Viola in *Twelfth Night* all don male clothing temporarily and pass themselves off successfully as boys. They do not seem required to seek anyone's permission first. Given the strict Elizabethan sumptuary laws, these heroines enjoy a degree of liberty beyond ordinary people's wildest dreams. Their success in inventing a different identity for themselves is so apparently unreal that it can only happen in a fiction. In real life, only actors are allowed and expected to assume different identities, which is the license of their occupation. The cross-dressing heroines and other characters skilled in

disguising themselves, by the sheer artificiality of their actions, remind the audience of the theatre and players.

The abundance of metatheatrical devices in early modern plays has often been interpreted as a method of reinforcing the ancient notion of *theatrum mundi*, making the audience see their real life as transient, insubstantial, and illusory as a stage play. At the end of *A Midsummer Night's Dream*, Puck suggests the audience consider the whole play "but a dream." And Prospero in *The Tempest* dismisses his actors as "spirits" and the spectacle he produces as "baseless fabric," "insubstantial pageant." A play is a dream, and players are shadows: the playwright highlights the ephemeral nature of theatrical performance. Such a nature stands in contrast to a solid, income-generating occupation. Yet, it is the creation of temporary illusions that marks the players' work, a service recognized by the society. The metatheatrical devices in plays could be seen as the theatre industry's self-advertisement, drawing attention to the peculiar nature of its product.

Although "all the men and women" are players, it does not follow that all are equally competent. Clearly some skills are required if a disguise is to be successful. The cross-dressing heroines are knowledgeable about male apparel and body language and capable of a good imitation. Portia in *The Merchant of Venice* even boasts that she has up her sleeve "a thousand raw tricks" (3.4.77) that she can practice like a bragging young man. The success of Portia and others in their disguise is unbelievable because where they might have acquired the skills is unknown: the technique seems to come naturally.

However, in several instances Shakespeare does show that performing before an audience requires practice. Viola in *Twelfth Night*, ordered by her master to deliver a speech in praise of Olivia, tells the lady: "I took great pains to study it" (1.5.160). In *A Midsummer Night's Dream* there is even a rehearsal of a play; we can see the amount of work that goes into preparing for a performance. First, a script is written and the actors are given their "parts." Then they need to learn their lines in private while the leader of the troupe prepares a list of the props they will use. Finally, they gather for a group rehearsal. Each actor also needs take care of his own costumes. Philostrate, Theseus's master of the revels, reports to the duke that the Mechanicals "have toiled their unbreathed memories" (5.1.74) with a play which they "conned with cruel pain" (5.1.80) in order to perform it at court. The Mechanicals' performance may be ridiculously crude; yet, even such a simple show cannot be mounted without the players' investment of time as well as mental and physical labour.

In *Hamlet* Shakespeare gives us a glimpse of what professional players of his days were capable of. At Hamlet's request, the First Player agrees to give a performance the following day of a play in his troupe's repertoire, with some dozen additional lines devised by the prince. The adaptability and readiness only comes with experience and marks the difference between professionals and amateurs.

Another skill noted with amazement by Hamlet is the professional tragedian's ability to coordinate his physical features to express imagined passion:

Is it not monstrous that this player here,
But in a fiction, in a dream of passion,
Could force his soul so to his own conceit
That from her working all his visage wanned,
Tears in his eyes, distraction in's aspect,
A broken voice, and his whole function suiting
With forms to his conceit? (2.2.503-09)

The skill is extraordinary because the cause of tears, broken voice, and contorted face is only a fiction. Coming from a person who insists that he does not know how to "seem," this description of the professional player's technique may sound a criticism of the

pretence, deceit, and insincerity involved in acting. Nevertheless, Hamlet does not confuse, as antitheatricalists often do, the techniques of a profession with the moral principles of the professional. If acting requires feigning an emotion, then the actor must feign it. He has confidence in the professional competence of the players. The “seeming” that Hamlet abhors is in the non-players who hide the truth from him.

Though Hamlet is amazed by the player’s ability to feign an emotion without real causes, we may doubt whether Shakespeare’s audiences were equally amazed. What the First Player does is no more than what Renaissance rhetorical theories taught orators to do. Quintilian, the ancient Roman author who remained the dominant authority on rhetoric down to the seventeenth century, advises orators to feel the emotions themselves if they want to stir the emotions of others. And the orators can be moved by visions, “fantastic . . . daydreams . . . whereby things absent are presented to our imagination with such extreme vividness that they seem actually to be before our very eyes.” When an orator strongly identify with the emotions, “his spirit has sufficient power over his body to alter its physical states, inwardly and outwardly” (Roach 24-25). In other words, the First Player’s tears, originating in vivid imagination, come close to a product of genuine feeling. As Quintilian’s rhetoric was taught in schools and universities, anyone with a little education in Latin would have some knowledge of this discipline. Therefore, Shakespeare’s educated audience would probably not find the First Player’s performance “monstrous”: rather, if he failed to weep convincingly, his professional competence would be seriously questioned.

Hamlet’s advice to the players to “suit the action to the word, the word to the action” and not to overstep “the modesty of nature” has been taken as indicating a turn toward a more naturalistic style of acting. In the sixteenth century “acting” referred to the orator’s use of gestures; what the common player did was “playing.” By the beginning of the seventeenth century a new term, “personation,” was coined to describe the players’ art of individual characterization as opposed to orators’ art of declamation. The change in terminology suggests that by the turn of the seventeenth century characterization became “the chief requisite of the successful player” (Gurr 99-100). Judging by Shakespeare’s many psychologically complicated characters, perhaps the playwright was nudging his fellow players into “personating,” encouraging the audience to notice the character more than the actor.

In his book *Author’s Pen and Actor’s Voice* Robert Weimann sees the shift of Elizabethan performance practice toward “personation” and the King’s Men’s move into the Blackfriars theatre as manifestations of a process of social stratification and cultural differentiation which began in the sixteenth century in Western Europe. The process was marked by the withdrawal of the upper classes from popular culture. The emergence in London of the more exclusive private theatres provided the educated theatregoers a place to watch a performance away from the masses. In dramatic writing, the scripted characterization imposed discipline on the player’s performance, confining his self-display to the impersonation of a character. The presentational mode of the minstrels, strolling players, and famous clowns was challenged by “an increasingly dominant and ultimately more exclusive regime of literacy in dramatic representations” (Weimann 109).

Upper-class theatregoers did not stop visiting public theatres. Nor did the naturalistic style of personation become the only acting style. But theatres gradually developed their “product identity” in the early seventeenth century (Shepherd 63). The Blackfriars was known for satirical comedies; those who wanted an old-fashioned heroic play could go to the Red Bull, for instance. Hamlet may dislike clowns who speak “more than is set down for them” and players who “tear a passion to totters,” but these kinds of performers can certainly find a welcome audience at some venues. Instead of aiming at versatility as early

strolling players did, players in the seventeenth century might find it useful to be known as specialists of particular styles in order to attract target audiences. Specialism is a criterion of professionalization. Common players were turning into theatre specialists.

Conclusion

The common players of sixteenth-century England turned an occasional, communal act of recreation into an occupation. The time was ripe for such a transformation: the rhythm of work and rest was becoming more regular, and, increasingly, leisure was spent individually. Those living in cities and especially in the capital did not need to wait for the Christmas season to see a show, paid for by their superiors. There was no shortage of occasional spectacles sponsored by the Court or civic authorities such as royal processions and the lord mayor's shows. However, commercially based pastimes, including theatregoing and bearbaiting, provided people additional choices of entertainment. Unless interrupted by official bans (often because of the outbreak of the plague), these pastimes were regularly offered.

Though an official license gave players a legal status, they did not have a monopoly of theatrical entertainment. Private theatricals continued at Court, great men's houses, universities, and the Inns of Court. Nor were players the arbiters of dramatic excellence: they must submit to the audience's judgment. Acting was recognized as a skill that improved with practice, and some people were deemed more skilled than others. However, players could not claim esoteric knowledge about acting since they shared the principles of acting with orators.

Shakespeare's representation of players' dependence on aristocratic patronage lags behind the reality of the commercial success of licensed companies. The continuation of the medieval *theatrum mundi* motif also goes against the trend toward playmaking by professionals. Yet, in suggesting players' unique license to change identities and create theatrical illusions, pointing out the skills required to create such illusions, and not to mention composing psychologically complex characters for lead actors of his company, Shakespeare affirms that acting was on its way to become a profession.

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試論真杉靜枝《南方紀行・臺灣の土地》(1941)的鄉愁內涵

許麗芳*

摘要

本文以殖民者觀察殖民地的內涵與意義為分析主軸，檢視日治時期在臺日本人以在臺日本人作家真杉靜枝(Masugi Shizue, 1901-1955)《南方紀行・臺灣の土地》對當時臺灣之書寫，分析其中的家國認同。皇民化運動之動員下，真杉靜枝以日本人角度所書寫本島人面對語言與文化等價值之重大扭轉下，實際生活面貌與對應態度之一端，尤其關注居於統治地位之日本人基於血緣與國族的認知背景下記錄日治時期臺灣相關政經與生活文化之外，亦得以藉此理解當時來臺日本人面對殖民地臺灣時，所具有的家國意象與鄉愁。

關鍵詞：皇民化、國族認同、文化差異、殖民文學、臺灣書寫

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The Connotation of Homesickness in Masugi Shizue's *Nanpo Kiko*

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Abstract

This paper investigates *Nanpo Kiko*, written by a Japanese settler Masugi Shizue during the Japanese occupation of Taiwan, from a colonist's perspective on the connotation and meaning of a colony. It is intended to analyze the national identity from the writings at the time. Under the Kominka Movement, Masugi Shizue wrote from a Japanese view point about the distortion of language and cultural values, the realities of actual life and the corresponding attitudes of Taiwanese. It focused in particular on the ruling Japanese identification with blood ties and nationalism and depicted the political economy, life and culture of Taiwan under Japanese rule. In addition, this study orients towards understanding the images of home, country and homesickness of Japanese settlers in the face of Taiwan.

Keywords: the Kominka, identification with nationalism, cultural differences, colonial literature, writings on Taiwan

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前言

本文以日本人作家真杉靜枝（Masugi Shizue, 1901-1955）為觀察中心，檢視日治時期在臺日本人的家國情懷與因之而起的臺灣印象。歷來有關真杉靜枝的研究，或關注其與臺灣之關係、或集中其對於蕃人蕃地之書寫，或與當時其他作家相比較等，論述各有側重。¹本文則集中分析《南方紀行・臺灣の土地》（1941）的系列散文，²此為昭和 15 年（1940）年底至次年早春數月間，來臺灣探視父母與其妹，並旅行臺灣各地的所見所聞。「台灣の土地」共十四篇，除三篇小說外，其他則是紀行，分別是〈臺灣の土地〉、〈異郷の言葉〉、〈木麻黄と藝妓〉、〈臺灣女性瞥見〉、〈淡水〉、〈臺灣の果物〉、〈水牛〉、〈南部點描〉、〈移り行く臺灣〉、〈雨〉、〈臺北驛前にて〉等，本文以散文為觀察中心，小說不列入。因各篇散文若干段落文字多有重出，故引用時將有所取捨，避免重複。

本文藉由分析真杉靜枝對臺灣之書寫，以期理解當時日本人如何觀察臺灣，又以真杉靜枝曾於臺灣成長的背景，本文亦關注其人的故鄉所在與鄉愁內涵，並及於家國之認同取向。本文以為，真杉靜枝雖有短暫的臺灣生長經驗，但重遊臺灣的思考中，實際的故鄉與鄉愁，所指向的仍是日本，亦即其所意識到的血緣與家國所在。其中所顯示的認同為身分認同，是個人或群體藉之以和其他的個人或群體區分彼此社會關係的方式（Jenkins, 1996）認同往往建立在與人的差異上，亦即與政治性及社會性息息相關，相關的研究文獻探討認同政治時，往往特別強調認同是流動且被動態建構而成，個人的經驗需要連結到社會結構，才能掌握認同之被建構或重構。藉著人我之間的同與異的區別，認同才被建構而成，³但這同與異之被承認與否，其實也與權力之運作有所關聯，而非純然情感導向。對於臺灣，真杉靜枝有多元且複雜的情感，此一充滿成長經驗的殖民地，有其個人情感色彩，然臺灣之於日本，畢竟是殖民地與殖民母國的關係，真杉靜枝於記錄熟悉的故鄉時，也不免也因種族與殖民因素，而有認同與選擇的擺盪牽扯。

一、熟悉/陌生：他者的觀看與驚艷

真杉畢生從事文字工作與社會運動，被視為寫實主義作家，⁴創作多關懷自身及女性遭遇及處境。⁵戰時於國策協力的動員下，曾隨日本女性作家報導慰問團至日中戰爭下的廣東，停留約十天，與婦女團體進行救濟五萬多戰爭難民的工作，並於

¹ 有關真杉靜枝的研究如吳佩珍，《真杉靜枝與殖民地台灣》，臺北：聯經出版公司，2013，蜂矢宣朗，〈真杉靜枝と台湾〉，《天理台灣學會年報》第四号，1995；蜂矢宣朗，〈真杉靜枝と窪川稻子〉，《天理台灣學會年報》第六号，1997。李文茹，〈敘述殖民地表象的悲傷與快樂——徘徊於日本與台灣之間的真杉靜枝自我意識形成〉，日本台灣學會《日本台灣學會報》4，(2003.5)，李文茹，〈真杉靜枝戰時下的台灣作品——以久違台灣 18 年後的作品為主〉，名古屋工業大學「日本比較文學會第 18 次中部大會」（2004）及林雪星，〈兩個祖國的漂泊者：從坂口 子〈鄭一家〉及真杉靜枝〈南方紀行〉〈囑咐〉中人物來看〉，《東吳外語學報》22（2006）等。

² 《南方紀行・臺灣の土地》原刊於《月刊文章》七卷四號（昭和 16 年 4 月）。本文所引則據真杉靜枝，《南方紀行》昭和書房 1941 年版，（東京：ゆまに書房，2000 復刻版。）《南方紀行》一書分別有「廣東春日記」（9 篇）與「台灣の土地」（14 篇）兩部份，其中〈烏秋〉與〈蕃女リオン〉〈阿里山〉三篇是小說，其他則是紀行。「臺灣の土地」系列共有〈臺灣の土地〉、〈異郷の言葉〉、〈木麻黄と藝妓〉、〈臺灣女性瞥見〉、〈淡水〉、〈臺灣の果物〉、〈水牛〉、〈南部點描〉、〈移り行く臺灣〉、〈雨〉、〈臺北驛前にて〉與小說〈征臺戰と蕃女オタイ〉、〈蕃女リオン〉與〈阿里山〉等三篇，散文篇章中相關記錄文字多有重出，本文主要研究散文，小說暫不列入。

³ Richard Jenkins, *Social Identity* Taylor & Francis Group, 1996, p4.

⁴ 見龍瑛宗，〈日人文學在台灣〉，《台北文物》三卷 3 期，1954。

⁵ 如〈駅長の若き妻〉、〈台湾の女性達〉、〈征台戰と蕃女オタイ〉等作品。

臺灣總督府主導官民合辦的「共榮會」中參與戰地宣撫及報導工作。⁶也因個人的人生經歷，作品中亦有明顯的性別關懷，如《南方紀行・廣東春日記》中〈私の見た陣中生活〉，對於長年離家在域外作戰的日本兵，所遭遇的物資缺乏與懷鄉苦悶之處境，以反省戰爭的意義（頁 104-105）；又如〈仏山へ行く道〉提及，身為一個日本女性，一回想長年離家苦戰之人，臉龐卻還浮現朝氣微笑，不禁聯想起那些把丈夫留在這裏的妻子、那些把父親留在這裏的女兒，以及把兒子留在這裏的母親，一思及此，屬於女性的情感滿溢胸中，淚水也因此湧現（頁 115-116）。如此的反思自覺之下，卻也以女作家支援日本政府文藝部隊之姿，前往中國廣東等戰地，協力戰爭，此亦顯現其中無法避免的日本帝國主義與民族意識之情結糾葛與特定限制，而此也是其人觀察及記錄臺灣的基調。⁷

真杉靜枝於昭和 15 年（1940）年底至次年早春數月間，來臺灣探視父母與其妹，其後旅行臺灣各地並紀錄所見所聞。對於臺灣，真杉靜枝有多元且複雜的情感，此一充滿成長經驗的殖民地，有其個人情感色彩，既是家族生活之地，也是度過青春歲月之所在，⁸然臺灣之於日本，畢竟是殖民地與殖民母國的關係，真杉靜枝雖於臺灣成長，對於臺灣，固然有熟悉的故鄉情懷與記憶，但也因種族與殖民因素，觀看臺灣人事風物之際，亦同時存有一定程度的審思，主要是自我選擇與認同等彼此擺盪牽扯。其於〈臺灣の土地〉自述云：

私は、福井県の田舎で生まれた。

けれども福井のことは、ほとんど何も知らない。小学の四年位から、大阪へ出て、母方の里になっている家に育った。両親は、私がずっと幼ない頃から、台湾にいつている。それで私も十四のころから、その台湾にいった。故郷といふ感情で私の心にしまひこまれている場所は、やっぱり両親の顔のある台湾である。台湾へゆくと、私のお父などは福井の田舎への郷愁がしきりで村役場などへお歳暮を送ったりしている。

そこに祖父の両親の死んだ家、墓地などがあるので、父にとっては、やっ

⁶真杉對廣東戰場之觀察，皆寫入《南方紀行》的另一部份「廣東春日記」，其中有所謂「聖戰」與「復興」等對立與矛盾思索。見沼沢和子，《南方紀行・解説》昭和書房 1941 版，（東京：ゆまに書房，2000 復刻版），頁 316-317。

⁷如金井景子，〈「前線」と「銃後」のジェンダー編成をめぐる：〉，《動員、抵抗、翼賛》，（東京：岩波書店，2006），頁 109-115。即提及當時日本女作家投稿雜誌，提出女性於戰時之遭遇或困境，這些女作家亦參與政府戰事協力等活動，而其中如林芙美子即曾於《北岸部隊》中有「不同於看到躺在擔架上的日本兵時，那種出自內心的感傷與崇敬，我對那些死去的中國士兵，竟然無甚反應」這樣的自問自答，此類文字或許顯現當時女性作家的愛國主義，然而同時卻也為國族主義之影響力量提供反省。

⁸真杉靜枝（1901--1955）為日本福井縣人，父真杉千里為神社神官，一家於 1901 年遷往台灣。真杉曾於豐原就讀小學，於大正五年（1916）畢業於台中看護養成所，當時十五歲。後至台中醫院工作，並加入醫院中的文學團體，十七歲時奉父母之命，與年長十三歲的台中車站助役藤井熊左衛門結婚。因無法忍受如此生活且憧憬文學世界，故於 1922 年離家前往大阪，先是暫居幼年時所生長的祖父家，而後獨自生活。1924 年為大阪每日新聞社之記者，結交武者小路實篤，1927 年兩人偕往東京居住，真杉開始以個人婚姻與家族經驗創作小說，並與友人創辦雜誌等。1934 年與中村地平同居，並於 1939 年一起前往台灣，中村此行為尋找小說寫作題材，而真杉則是省親，探視生病的母親，距離 1922 年離開臺灣，此次返臺已近十八年之久。1942 年與中山義秀結婚，四年後離婚，1952 年與 1953 年分別至廣島與美國，皆因參與支援原爆被害少女之社會運動，1955 年因肺癌過世。參河原功編，《日本統治期台灣文學日本人作家作品集》（別一卷，內地作家）〈內地作家略年譜、作品解説〉（東京：綠蔭書房，1998），頁 587-590。及林雪星，〈兩個祖國的漂泊者：從坂口零子〈鄭一家〉及真杉靜枝〈南方紀行〉〈囑咐〉中人物來看〉，《東吳外語學報》22（2006.3）：43-59。

ばりそこが故郷となるわけであらう。

私にとっては、父や母の住んでいる台湾が、故郷でもあるやうな、なつかしきでしのばれる。

そして、台湾のこととなると、お国自慢をするときのやうな顔になって喋りたくなるのである。

この間、その台湾へ出かけていった。この小さな植民地の政治が、いまは大へん複雑になって来ている。

うわべだけみると、物資にめぐまれているので、土着の台湾人はたいへん金持が多い。ゆったりした物持ちのようような性格で、台湾人は、生活をたのしんでいるやうにみえる。櫛で梳きたてるやうに、きれいに、役人の手の統治がゆき届いているやうにみえる。あまり、深刻なことは、なさそうにみえるのである。

中に住みこんで、よくみれば、さうはゆかない、心配な民族問題や何かが宿題としてのこっている。（頁 137-139）

中譯：

我生於福井的鄉下，但對於福井的事物完全不知。從小四年級左右即在大阪母親的故鄉成長。父母親在我尚幼小之際即到臺灣，而我也在十四歲以後前往居住。

在我心中充滿所謂故鄉情感的地方，還是有著父母容顏的臺灣，而前去臺灣的父親，對福井鄉下的鄉愁使他年底時頻繁地至村公所送禮。因為對父親而言，那個有著埋葬父母的墓地才是故鄉。

對我而言，父母居住的臺灣，卻具有故鄉般的追憶與懷念。而且，只要說到臺灣的事物，就像是自豪家鄉事物般的絮絮不休。來到臺灣，但此一小小殖民地的政治，卻越來越趨複雜。

只看表面的話，臺灣人因物資之惠，有錢人甚多。因具有儲備充裕物資的性格，臺灣人樂在生活。這似乎是統治者一絲不苟的治理所致。

但持續居住其間，相當嚴重的狀況亦因此顯現，若仔細看，不愉快的、令人擔心的民族問題仍是殘留的課題。（頁 137-139）⁹

所謂故鄉，未必是祖國的特定空間，「對父親而言，那個有著埋葬父母的墓地才是故鄉，對我而言，父母居住的臺灣，卻具有故鄉般的追憶與懷念」，無論是真杉靜枝或其父母，只要是情感所在的父母住所，就是情感的故鄉，只是，不同的情感內涵，親子有不同的故鄉定義與鄉愁。真杉於前段文字中自承對臺灣的特殊情感，但未免又意識到台灣為殖民地以及存有相關問題的現實，於此，真杉則以一定距離的眼光注視皇民化時的臺灣，是以，真杉本人與其父母家族，內在思路皆有兩個故鄉，但彼此卻有層次上的差異，也就是如此的複雜情致，形成真杉靜枝《南方紀行・臺灣的土地》領略臺灣書寫臺灣的基調。

再度返台旅遊的真杉靜枝，由臺灣北部沿著縱貫鐵路南下，筆端觸及基隆、淡水、臺中、臺南與阿里山等地，對於當時的皇民化措施與本島人內地人生活諸面向，皆有所介紹，包括臺灣當時的風土與皇民化的庶民生活。當時的臺灣被日本型塑成觀光地區，建設交通，並結合統治與教育需要，選擇強化日本在臺灣殖民價值的風

⁹ 本文所引用真杉靜枝的散文皆已先行中文翻譯，下文不另說明。

景名勝，建立一系列觀光及修學旅行景點，以合理化且普遍深化其殖民精神。¹⁰在此前提之下，此時的真杉卻以他者的視野觀察曾經熟悉的故里，而非融合於實際的臺灣諸面向，真杉著墨日治時期臺灣的諸多變遷，其於日本人而非本島人的視角下，對臺灣的印象不免是充滿芒果與蓮霧果香的南國風情，亦提及遊覽其間的內地女子與勞動的臺灣女性，且屢見對原住民之摹寫，觀看而非投入的書寫姿態明顯。

真杉以日本人的觀點描述臺灣山川風物之美，以及其間的女子形象，於觀看及記錄中結合了內地與本島的意象，日本價值一直是內在的衡量座標，如〈台灣女性瞥見〉所言，「當前台灣最盛行的皇民化運動應該是最快反映在少女的感受上」（今台湾で最も盛んな、皇民化運動は、かうした少女の心に、一番手早く浸したやうである。）（頁 162-163），對於洋裝印象的差異，「對老師而言是庸俗的服裝，何時竟成為此間代表內地女性的洋裝」（頁 164）（その先生方の殊更野暮をねらつた洋服はそのままいつの間にかその土地で内地人婦人の洋装を代表してしまつて）。而於〈木麻黄と藝妓〉中，也藉「開叉至大腿的濃豔和服」、充滿官能的手法描繪名為「月華」「梅花」兩位充滿本島人藝妓，一如南臺灣的濃烈與熾熱氣息（頁 160）。如於〈台灣女性瞥見〉中云：

台中の町では、合歡と柳の街路樹や、二筋の美しい川の流れが旅の心にしみ入るのであつた。合歡は、白い花を葉かげに房房と垂らし、風にのせて、甘く薫りの高い花粉をまきちらし、川沿ひに垂れた柳の枝には、若葉がすっかり出そろつて、風にざわめいている。（頁 164）

中譯：

台中讓旅人印象深刻的，是兩條美麗的河川與街道兩側的合歡與柳樹；合歡白色的花低垂於濃密的綠葉間，乘著風散播濃香的花粉，而沿岸的垂柳新葉在風中喧嘩。（頁 164）

而在美麗的城市中，橋面上行走的是優雅的盛裝女子，橋下則是穿著俐落、正在勞動的婦女，其文云：

真白の、のり気のたつた服をつけて、本島婦人が二人で、その川べりに蹲み砵を打っている。

橋の上を、洋傘をきりきりと肩の上にまはしながら、若い内地人婦人が通りすぎたが、その婦人の履いていた、エナメルらしい草履の色が、いかにもこつてりとしていて美しかった。（頁 165-166）

中譯：

年輕的內地女性走過橋上，洋傘緊緊地靠在肩膀上，穿的鞋有若塘瓷的草色，正與其美相互輝映。

兩個穿著雪白俐落衣服的本島婦女蹲在河邊搗衣。（頁 165-166）

這些女性或是內地人或是臺灣人，美麗似為共通的特徵，但身份的不同，也形成不同的內涵，其間內地與臺灣的區別明顯，橋上橋下的時空風情有所差異，相互並呈

¹⁰ 參考劉方瑀，《被選擇的台灣—日治時期台灣形象建構》，成功大學歷史系 94 學年度碩士論文，頁 29-32。陳石煌，《樂園臺灣の姿》（臺北：麗島出版社，1936），頁 79 所列之臺灣各地景點。

對照。而阿里山亦是其著墨焦點，其間的蕃人女子尤其是真杉驚豔之所在，對象是內地人巡查之妻的蕃人少婦，日治時期的蕃人形象隨統治時期而有所變化，日本人對臺灣蕃人的形象塑造由野蠻進至文明，甚至強調蕃人的天真，真杉的文字亦凸顯此一特質，其〈台灣女性瞥見〉云：

阿里山へ登る登山列車は、霧にぬれながら進むのであつた。
三人の先生に引率された、二十人ほどの元気のいい少女達であつたが、トンネルと霧の間を、あへぎ登る汽車の窓で、彼女達は、声を限りに歌ふのであつた。

「蕃人の婦人がいる」私の汽車の中に、そんなざわめきが起つて、みんなが車外に駆け出してしまった。

駅の前に背の高い、髪を内地の若い婦人がするやうに、無造作に後ろに束ねた婦人がはでなゆかたを着て、背に赤児を負つてたつている。その婦人がふとこちらを見た時、私は思はず声をあげさうだった。鼻の高い面長な顔に、くつききりときつい眉と、美しく幾分けはしい大きな眼をもった、大へん典雅とも云ひたいほどの美人なのである。（頁 173）

列車の窓窓から、いっせいに自分に向けて眼が集まっている、という事を意識していても、その蕃婦はそれを、大変素直な受け方で、まるで生れ落ちた時から馴らされてでもいるほどの無関心さでうけている。しかも、さういう失礼な眼色に対する反撥など、どこにもない姿で、ゆかたの下の地下足袋を履いたすそをさばきながら、「交易所」に何かを運び入れている。（頁 173-174）

中譯：

前往阿里山的登山列車染著霧氣行進，約二十名充滿朝氣的少女由三名老師率領，於隧道與霧氣間的登山列車窗邊大聲地歌唱著。

「蕃女！」在我坐的汽車內有了騷動，大家紛紛跑到車外。

車站前站著一位高大女子，頭髮如內地年輕婦女自然綁在腦後、穿著鮮豔浴衣、背著幼兒。當她偶然看向這邊時，我差點沒叫起來。有著高挺鼻子的鵝蛋臉上，鮮明的眉，美麗的大眼，是相當具有古典美的美人。
對於來自車窗眾多望向自己的目光，這個蕃婦相當自在，一付早已見慣無所謂的樣子。而且無視如此失禮的目光，一邊捲著短浴衣下的綁腿長度，一邊不知搬什麼東西到交易所去。（頁 173-174）

五官明顯無視觀看眼光的蕃婦引起車內乘客與真杉的注意，如此的注目乃因差異形成的特殊與好奇所致，實為具有異國情調的觀察心態。真杉也藉由小學老師之言，表達對於蕃人女子的關注與好感，其云：

阿里山の頂上に、小学校の先生をしてられる S さんを訪ねしたが、その S さんも、一人の蕃人女生徒を教へてられる、という話であった。「実

によく出来る子供でしてね。何をさせても一番ですよ。可愛くつて、背が大きいので、ひとかどの娘みたいにみえるんですね。いつかも、高等学校の学生達が社祭をみに登って来た時、うつくしい娘がいると騒いでいましたよ。」(頁 174-175)

中譯：

到阿里山頂時，拜訪一位小學老師 S 君，此位 S 老師也教過一位蕃人女學生，「確實是很優秀的孩子，做什麼都是最好的，因為是長得高又可愛的女生，經常引起上山來看社祭的高等學校學生一陣騷動。」(頁 174-175)

蕃人女學生「高又可愛」，往往引起騷動，一如被觀看贊嘆的臺灣風貌，真杉流連與讚嘆阿里山美景，心儀於高山的潔淨空氣與當地人的健康氣色，其云：

阿里山の海拔 8204 尺といふ高さに来て、はじめて、私は台湾の、重々しいねはりのある空氣の悪さを忘れた。そのためか阿里山の上でみかけた人々の頬には、みんな、内地の人みみたいなバラ色の血色があった。さういへば、台湾の平地では、かういふバラ色の頬を、どんな元気な子供の顔にさへ見ることが出来ない。(頁 174-175)

中譯：

來到海拔 8204 尺的阿里山，總算忘記台灣常有的惡劣空氣，所以，此地的眾人臉頰有著與內地人一樣如玫瑰般的血色。這是台灣平地小孩臉上所看不到的朝氣臉色。(頁 174-175)

真杉的思考中，「內地」與「臺灣」一直相互對照，人物之美不可避免地與土地相比擬，具有明顯的殖民地風情，以及其間的主體客體的差異對立，觀看與被觀看間距離明顯，亦有權力因素，異國情調大於鄉愁認同。真杉眼中的蕃人不似日治初期日本人的觀看態度，當時對生蕃的調查，呈現好奇、驚嘆等具有統治者的眼光與姿態，日人以軍事及知識力量施之蕃人，加以展示觀看。¹¹蕃人對其人而言，亦具有異文化的好奇與神秘的吸引力，如此的基本視角直到皇民化時期仍持續，即使真杉因個人家族經歷，對臺灣有特殊情感，卻不免於文字中顯現異鄉與故鄉的交疊情致，臺灣於此，應是有距離感的異鄉。

也因距離有了想像，一如其於〈南部點描〉自言「以旅人的一派輕鬆，欣羨派駐臺灣的日本官生活的浪漫性」，以為如此的人生流轉具有不同層次想念的詩情（頁 203-4），文中亦提及北投溫泉，「自然」「閑雅」，「與我所知的內地溫泉風貌並無二致」（頁 206），溫泉與旅人，於真杉筆下，都深具某種哀愁情懷，然而，對於臺灣風物出塵的美麗，總不忘與日本內地比較，溫泉情致一如內地，而阿里山的清淨美麗，也與日本相同，如此的讚嘆雖是對臺灣的肯定或某種故鄉般的親切，然而，對日本祖國的認同卻始終都在，依舊是衡量審視臺灣地基點，觀看者被觀看的土地存在明顯的距離。

¹¹ 如鳥居龍藏，楊南郡譯，《探險台灣》，（台北：遠流出版社，1996），頁 50，「對人類學者來說，正是展開在眼前的、令人驚嘆的研究領域。」甚至押生蕃以調查，（頁 250），又吳密察〈從人類學者到歷史學者：臺灣研究史巨峰伊能嘉矩〉，《當代》135 期，1998，頁 10-27，「若將來彼等之化育得宜，薰陶得以不失當，則無疑可為順良之民，可為捍護之兵」。其中皆得見當時日人調查生蕃的統治者視角。

二、故鄉/異鄉：認同的差異與斷裂

真杉亦意識到殖民地臺灣的語言矛盾與衝突，以及語言所蘊含的文化與家國意義，其陳述個人曾有的語言經驗，進而觀察臺灣學習日語的諸面向，於〈異郷の言葉〉中以臺灣為立場，提及因殖民地緣故，使臺灣於當時的重要與開發及交通地位，因而形成的豐富言語的特殊樣貌，土地上充滿異郷言語，自然也充滿往來行走的異國之人。其云：

私の両親達は、明治の末期頃から、台湾に住んでいる。それで、私も度々、この島へ出かけてゆく機会をもつわけであるが、この間出かけていった時には、この島の内の気配が、大へん複雑にゆれていた。日本の南方政策の起点になるせいで、南方へ向ってあふれる内地からの人口が、みんなこの島を通過するわけである。開発事業は、この島が根になって沢山興されている。いままでは、植民地として、土地は豊富であるし、わりにのんびりとしていたこの島が、いっぺんにあわただしい時代の台風の下におかれてしまったわけである。（頁 146-147）

ところで、この島を縦に貫いている鉄道の旅客になってみると、さういふいろいろな時代の波を通して来る人、いろいろな地理を経てくる人が、今、実に雑多に入りまじっている。
お国訛だけから云っても、内地からの船で、その日基隆に上陸し南方へ向って走っている人の中には、江戸っ子から、九州、東北までの訛が入りまじっている。（頁 146-147）

また、声の色あひからいふと、実に、その人その人の経て来ている時代的なちがひなどが感じられる。新しい南方開発にこれから向はうといふ、新鮮な気負に充ちた顔は、しぜんと声が大きくあふれ出ていて、思はず、あたりの人が振り返るほどである。いふまでもなく、国民服に身をかため、たったいまの日本の国策が、その人をかりたてているといった風貌にみえる。この人は、思はずしらず、大声になって話しをしている。

これとちがって、古くから、台湾の開拓事業などにたづさはり、台湾と内地の間を始終往復しているといふ人々の顔には、あまり大声に浮いてしまふことも出来ない現実の底に眼の届いた落着きがある。どこか皮肉味も含まれた、がつしりした片笑くぼで、車内のどよめくやうな、時代的な色彩を眺めているといふ風がみえる。こんな人の話し声は落着いていて簡単な旅行馴れのした静かさがある。それから、この人達よりも、もっと静かで、まるで、半分眠つてでもいるやうにきこえる声がある。
台湾に、もう何十年も住んでいる人の話し声である。若い頃から台湾へ来て官吏になっていた人らしい。台湾色の染みついた容貌に文官服を着ている。植民地の、静かな、割りに刺戟のすくない給料生活を、もう何十年といふほど續けて来ている人の話し声は、そのテンポが眠っているやうにゆるい。（頁 147-148）

中譯：

父母於明治末期即到臺灣居住，我也因此有幾次前往臺灣的機會。但此次來

到此地，發現這個島嶼的情況有複雜的變化。因為是日本南方政策的基地，每個前往南方的內地人都會經過臺灣，開發的事業也以這個島嶼為基礎蓬勃發展，以往，這個殖民地因土地豐饒，氣氛較從容，如今，一下子處在在這個慌亂時代的風暴下。(頁 146-147)

縱貫鐵路上的乘客中，事實上很多是經歷各種時代波動或走遍各地的人們。以鄉音來說，從內地坐船，今天剛從基隆港上岸，坐火車前往南方的旅客中，既有東京人，又有九州或東北人等各種口音都混雜其中。(頁 146-147)

而且，事實上，藉由音色音量，也能感受到彼此所經歷的時代差異。正要前往參加南方開發的、滿是新鮮朝氣的臉龐，說話自然大聲，自然，是大聲到令旁邊的人回頭的程度，不用說，就是一身國民服裝，似乎是當前日本國策所鼓勵的。這樣的人不知不覺間大聲地說著話。

與此不同的是，起始即因開拓臺灣事業而往返內地臺灣的旅人臉上，有著不會有什麼可引起高聲的事物般的安定，總是可見帶著嘲諷且沉穩的笑，眺望車內嘈嚷的時代色彩。此類旅人的聲音有著習於輕便旅行的安靜平穩。尤有甚者，是聽起來像是快入睡的聲音。那是已經居住臺灣幾十年的人的聲音，像是從年輕時就來臺灣的官吏，容貌帶有台灣氣息，身穿文官制服，已經過了幾十年且還要再繼續下去的殖民地寧靜的薪資生活，這樣的人連說話的聲音節拍都顯得慵懶緩慢。(頁 147-148)

來自各地的不同口音日語呈現了南進政策下的臺灣風貌，在所謂前進開發或追尋等氛圍下，臺灣因此具有「嘈嚷的時代色彩」，這些往返內地與殖民地的日本人充滿著自信朝氣、高聲地說話，未必有殖民主義或帝國侵略之反省，只有對人生的奮鬥熱情，車船上的日本人操著九州、東北等各地口音，即使是日語也有地區的腔調差異，那些人來往臺灣或以臺灣為跳板前往東南亞，所謂「異鄉的言語」，無論是對來臺灣的日本人，或是對轉往東南亞發展的日本人而言，以及來臺多年、容貌與口音都有臺灣的氣息的日人文官而言，都是不同於本土鄉音的異鄉言語，因差異使得日本的意象更趨鮮明，來到異鄉的同時也凸顯家國的存有，對離鄉的日本人而言，或對真杉而言，殖民地的臺灣，固然是異鄉，但也同時顯現故鄉日本的存有，在如此異質的文化衝擊中，臺灣顯然是異質的表徵，凸顯日本的正當與主導性，也形成日本同化臺灣的精神基礎。

於當時同化政策下的臺灣也有不同的語言經驗，語言政策是殖民時期日本政府對臺灣的主要行政工作之一，¹²至 1941 年四月，全台灣共設有 4875 個部落振興團體。¹³為推動此類草根日語運動，故於部落成立簡易國語講習所，課程上配合農村作息，且為教育更多農村民眾，故大量設立此類講習所。至 1943 年四月，全台灣共有 17248

¹²日治時期台灣行政單位依次為州（廳）、郡（市）、街（庄），理論上庄是最小行政單位，但日本政府為徹底貫徹政令，庄下又劃分為非正式的行政單位：「部落」，以為殖民政策的最末端組織，1930 年代中期，為加速農村日本化，每個部落陸續設有「部落振興會」，為皇民化時期殖民政府在農村鄉間推行日語的基層組織。台灣總督府編，《昭和十五年台灣に於ける優良部落施政概要》〈序〉，（台北，1940），頁 2-3。

¹³台灣總督府編，《昭和十五年台灣に於ける優良部落施政概要》〈目次〉前附表。

所簡易國語講習所，計收有學生 42 萬 7298 人。¹⁴於「皇民化」政策下，臺灣總督加強推動「國語運動」，即普及日語、普設國語講習所，臺灣人必須面對日語的學習經驗，即使學習成效不彰。¹⁵真杉的文字也反省了當時臺灣在學習日語成效有限的現象，〈淡水〉一文言其曾至台南州某郡的國語講習所，參觀國語教學的經驗，其云：

その粗末な木造の新築会場に整列した本島人の子供達は郡守、視学、庄長、警察署長などの臨席官のあとに續いて、私のやうな、見馴れない東京女がそこへ乗り込んだのをみると、もうすっかり畏縮してしまった。公学校もまだ建たない山間の子供達を其処へ集めて、オルガン一台を童心へのつながりにたのみながら、国語を教へたのであるが、そのせんせいか本島人であって、国語の発音がまだ中途であるのは、一の恨みであった。この先生の中途な発音による国語だけが児童達の耳を教育していて、さて、臨席官たちの訓辞になると、てんで、その耳には通じなくなってしまうのである。

「皆さんが、一年間此処に集まって毎日国語を習はれたといふので、私はけふ、その皆さんの成績をひとつ見せて頂きたい、と思います」と前おきされて郡守さんは

さ、これは何ですかと、高いところの神棚をさされた。こども達は、束になったミイラのやうに、その獨特の瘦せた表情を、びくとも変へず、まるで何もきこえなかったやうに眼を見はって、手をあげない。幾度も、かうした質問はくり返されたが、終わりまで、こども達の表情は同じであって、教堂は、いやが上にもしんと静まり、一年間教へられたといふ先生が、恐縮げに頭をたれてしまはれるのが、私の眼には痛いほどだった。

さういふ会場の開け放した窓からは、付近の傾きかけた竹造りの農家や、その家の前にたって手鼻をかんでいる農婦の姿、それから、瘦せた農民達よりか何倍か肥ってみえる豚の重しい足で歩いているのなぞが、陽炎に透けながらみえるのである。（頁 182-184）

中譯：

新建但簡陋的木造會場裏，本島人的孩子們排好隊，看到郡守、視學與警察署長等出席官員後面，有我這陌生的東京女子突然闖進來，都十分緊張。我所拜訪的這個連公學校都還沒有的山區，召集孩子們教國語，只有一台風琴算是可維繫童心的工具。遺憾的是，當地的老師是本島人，國語的發音還不熟練，受這位老師半生不熟的國語的薰陶，孩子們根本聽不懂出席官員的訓話。

¹⁴ 臺灣總督府，《臺灣統治要覽》，頁 52。

¹⁵ 《臺灣日日新報》，1940 年 4 月 10 日，夕刊，第 2 版。殖民政府的積極推動日語運動，雖使各地都有國語家庭或國語部落，而臺灣「國語解者」比例亦達百分之五十一，但因日語運動的成效是以百分比為指標，且計算時又將國語講習所與簡易國語講習所的學生都算在內，實際上，上完一整年的國語講習所的课程，多數人可能無法說出一句日語。。

「一年來大家每天聚集在這裏學習國語，我們希望能看到大家的學習表現。」

「喏，這是什麼呢？」指著安放在高處的神龕，郡守先生問。孩子們像是木乃伊般，特有的瘠瘦表情絲毫不變，完全置若罔聞的眼神，也沒舉手，無論這樣的詢問重複幾次，一直到結束，孩子們的表情都沒變，教堂越發寂靜起來，教了一年日語的老師，深感歉意般，頭低了下去，一如我眼中的痛。

在如此沉悶的會場窗外，附近竹造的農舍與站在屋前擤鼻涕的農婦身影、還有，比瘦小農民不知胖幾倍的豬沉重地移動，這些都在太陽熱氣中顯現出來。
(頁 182-184)

郡守先生所指的神龕，所使用的日語，並非學童所熟知，而是脫離實際生活的想像世界，語言的強制政策形成文化認同與生活模式的斷裂突兀，一如聽不懂日語的木然孩童所聚集的會場與場外農村農婦的畫面，真杉以極端對比的畫面，置若罔聞的孩童對照室外沉重步履的豬隻，隱約呈現當時臺灣面對日語政策之挑戰與困境。真杉以旁觀的角度展現對殖民政權與同化政策的反省，以極端的對照表現其對於日本於臺灣施行的日語政策之心痛。

即使會使用日語亦不免有錯用的現象，或有日語臺灣化的趨勢，如前述〈異郷の言葉〉所述，居住臺灣幾十年的文官，早已習慣這樣的薪資生活，「說話的聲音節拍都顯得慵懶緩慢」(頁 148)。真杉指出，鄉下的公學校老師斥責小學生時會將基本動詞同時並用。這類本是對台灣人對象使用的便宜之計而出現的說法或語言，不知不覺也在內地人同伴彼此間使用了。(〈異郷の言葉〉，頁 151) 日語於臺灣不免有日語臺灣化的命運，所謂「變態式的國語」在臺灣社會流行，國語有被臺灣話吸收的現象。¹⁶「不只是說話的節拍慢，不知何時開始，在台灣已經出現一種台灣化的日語」(けれども、言葉のテンポののろさばかりではなく、台湾には、一種の台湾製の日本語のやうなものが、いつの間にか出来あがっている。)(頁 150-151) 而習得的日語運用於臺灣的實際生活中，亦形成語言與人際關係的不協調或錯誤。¹⁷同為日本人，晚來的年輕日本人，亦需面對久居臺灣的資深日人前輩那種臺灣化的日語，真杉〈異郷の言葉〉云：

一寸した会話の際でも、東京生活から来たばかりの齒切れをもった若い役人が、下級の老年の、台湾馴れのした、のんびり伸とびきったテンポで話す声に一応の理解をもたなくてはならない、さういふ言葉のテンポののろい、ねつちりとどこか喰込みきった落ち着きのある気風は、とりもなほさ

¹⁶陳培豐，《「同化」の同床異夢：日治時期臺灣的語言政策、近代化與認同》(台北：麥田出版，2006)，頁 412，432。

¹⁷周婉窈，《海行兮的年代：日本殖民統治末期臺灣史論集》〈臺灣人第一次的「國語」經驗〉(台北：允晨文化實業公司，2003)，頁 100-102，引用曾任豐原郡瑞穗公學校校長的山崎睦雄所著，《二語併用地に於ける國語問題の解決》，頁 27 及頁 57 與 58 等。山崎以為，語言有三個範疇：家庭語、社會語及國家語。而日語在臺灣的使用範疇以社會語及國家語為主，於此前提之下，產生日語敬語的錯誤使用。大致而言，敬語使用於正式或公共場合，以表尊敬，但對於熟悉的平輩或晚輩講話，則不用です/ます。如敬語的錯誤使用，臺灣人多於學校習得日語，為公共且正式之用語，故日常生活使用或家人之間的對話時，則產生如父子間也使用尊敬句型的奇特現象。而對於敬語的正確或自然運用的能力也不算太高。日本人稱為「臺灣日語」(台湾出来な国語)。不僅是日語文法，連概念有是漢語式的，如臺灣小孩常將日語的「藥を飲んだ」(吃藥)說成「藥を食べた」，也將日語的「花が枯れそうです」說成「花が死にました」等。

ず、そのまま、台湾といふ所気風を物語っている、それを、若い方の役人の人は、一応理解することを強ひられるわけである。（頁 150）

中譯：

即使是極短的會話，帶著生活東京而有的口音的年輕官員聽不懂已熟習台灣的下級老年官吏那種悠哉語氣的說話也不行，此種語言節奏的緩慢、絮絮叨叨、也就是從容不迫，年輕的官員就這樣被迫對台灣如此的說話習氣有大致的了解。（頁 150）

長年居處臺灣的日本人，無形中也出現不純正的日語，這應也是另一種異鄉的語言經驗。於此，東京口音與臺灣口音的差異對比是明顯的，在比較中，「東京」「臺灣」界限分明，而前者顯然是純正的代表，後者則是一種變異或不協調。

於〈異郷の言葉〉中，真杉亦以某德國人為例，說明言語對人之影響，其人會說日語、英語及法語，但還是說德語時最流利，畢竟是故鄉的語言。真杉意識到語言所存有的文化內涵與意義，其云：

日本語を話す時など、やはり、日本の言葉の持つ礼儀の中に入り込まうとしながらはなすので、どこか痛い感じがする位、その人自身の人格が壊されてしまふのである。（頁 143）

中譯：

說日語時，也同時表現蘊含語言辭彙中的禮儀，讓人心痛的是自我的人格因此遭到扭曲。（頁 143）

真杉以德國友人為例，提出語言對個人之影響與意義，也由此反思臺灣人面對使用日語禁用漢語的困境，真杉意識到語言對於人格的扭曲，此時的反省是超越國族情感的。語言與文化息息相關，日治時期的臺灣人沒有日本人的生活模式與文化歷史背景，卻必須強制學習日語，被迫切斷與漢語的文化聯繫，卻又無法真正準確理解日語的文化意涵。此一語言狀況並非是自然而然的發展，而是在殖民者所欲改造的架構下刻意型塑，在「語言同化」下，殖民者將日文定義為官方語言，在大東亞共榮圈的架構之下，日文是唯一的共通語言，同時也是國家精神的象徵，其間存有的是日本人的價值認同，而非臺灣人固有的文化與思考模式，語言做為區判的界線，精準使用與否成為區別異同高下優劣的重要標準，殖民者更可能藉語言灌輸相關的價值認同與意識型態。然而，即使可以正確且流利使用日語的本島人，仍然是被殖民者，不僅本身傳統與文化受到壓抑，也未必受到殖民母國的認同，種族血緣始終是差異及對立的根源，難以超越。

除了語言政策的觀察反省，真杉亦關注臺灣神社的意涵，神社的設立亦為皇民化的具體措施，¹⁸也是真杉投注情感的焦點，日本殖民政權企圖透過信仰日本神話、

¹⁸ 1897 年日本將臺南「開山王廟」改為「開山神社」，為神社建立之始。兒玉源太郎於 1901 年建立台灣唯一的官幣大社—「台灣神社」，以此建立了台灣各神社的「總部」，代表日本「以教統台」的理念傳揚；其次，祭神已脫離原始自然神怪，而是入祀北白川宮能久親王，皇族的入祀，象徵國家政治權利開始滲透到宗教信仰，神道教也將逐漸成為政治工具。1923 年日本政府頒布的相關法令共有二十八個條文，對於神社之設立、選址、移轉或配置、合併、廢止及社內林木砍伐保護等環境配置亦有所制定，務求神聖肅穆，並界定神社為「社會教化中心」，1934 年以後，日本政府在台灣積極推動建造神社，推行「一街庄一社」，在全島樞要地區建設神社，使島民有敬神崇祖、報本返始之誠，

祭祀天照大神，以凝聚台灣的集體歷史記憶，進而創造一種與日本人共同的歷史起源與話語，從而確立新的身份認同。¹⁹真杉記錄政策宣傳之下，日本天皇神社及行禮祭神等活動儀式深入臺灣百姓生活諸面向的現象，並強調此類儀式其實是以不同於日本本土的方式加以進行，如〈移り行く台湾〉所言，即使在公車上，一旦經過神社或牌樓，車掌也會刻意提醒，於是車內的學生職員乃至官員等一致脫帽注目行禮（頁 213）。真杉對於臺灣人須向神社鞠躬的強制要求，亦提出反思，外在建設與行為模式得以強迫而立即改觀，但其中卻缺乏歷史經驗與文化認同的感情。真杉以殖民母國的價值認同與殖民本身之反省等複雜心態加以檢視，於〈淡水〉一文云：

台湾の、事務室と名付けられるべき室にはどういう種類の室にも、必ず金椽の椽に入った「日の丸」を仰ぎみるのと同じやうに、本島人家屋の正廳には必ず白木の神棚を発見する。（頁 180-181）

中譯：

就像凡是可稱為辦公室的房舍，無論是何等類型的房舍，都一定可瞻仰到用金框裱起來的太陽旗一般，本島人家中正廳也都有白木做的神龕。（頁 180-181）

「私は、植民地の人人の生き心地が、想像よりもずっと微妙な切実なところにあるのに打たれるのであった。」

一方、ある厳しい規則的な階律に、きれいに分類され、整理され、号令の下にきっちりと支配される「統治」といふものの美しさに私は、惚れ惚れと心を惹かれる思ひがした。台湾では今統治者である役人の活躍面が、非常な生彩をもって生き生きとしているのである。（頁 181）

中譯：

對於殖民地人民生活本質較想像中更微妙更具體之處印象深刻。
我對於嚴整規律地、清晰地分類、一絲不苟地統治支配下的美感，是相當心儀神往的。當前於台灣身為統治者的官員之活躍，是相當生動精彩的。（頁 181）

真杉自承對「嚴整規律」「一絲不苟」等日本文化與價值的肯定，也以為這正是形成殖民地臺灣特殊美感的主因，而日本精神在臺灣的具體展現或許就是神社，對日本人而言，對神社鞠躬敬禮是來自內在情感與歷史文化經驗，屬於日本人所特有的精神象徵與生活模式，對臺灣人而言，神社是文化移植的結果，雖也行禮如儀，卻有不同的認知背景。真杉內心既存對日本精神的認同，但對於日本以相同理念施之於臺灣影響價值認同的現象，也有所反省。其於〈移り行く台湾〉云：

使神社能兼作社會教化中心，既推崇敬拜神祇，如此的建設之後作為戰時全台動員的設施。參見陳鑾鳳，〈日據時期在臺神社社域特徵之研究〉，新竹師院社會科教育系《社會科教育學報》5(2002):92-93。1934 年文社第 504 令指示，「一街庄一社」的政策，既使每一街庄都能有神社，同時亦避免浮濫建社，有害神社之神聖性。次年並指示社內建築細節，如本殿應面朝南，使參拜者得朝北即日本國土方向朝拜等規制。主要在於振興崇敬神祇之醇俗，涵養國民道德，以為思想引導。

¹⁹王學玲，〈日據時期「皇民論述」的身份認同策略——以陳火泉〈道〉為主的討論〉，《中外文學》30:10，頁 192。

植民地らしき、といふものを非常に沢山瞥見したが、本来の台湾らしきといふ生活は、殆どみることが出来なくなっている。これは、一方から云へば、統治者の功績に依るものと云はねばならないのであらう。

ある高等教育をうけている、廿才前後の本島人青年の言葉として、私に興味深かった言葉がある。「台湾も、僕達が大人になって、活躍する頃になると、本当に立派な日本の一部分になりえますよ。」この人達は、この言葉どほりのことよりほかには、ほんとに、何も理想としていないのを私はみうけるのであった。（頁 210）

中譯：

雖可發現很多殖民地色彩，但原有的台灣式生活完全不得見，另一種說法是因為統治者治理之功所致。

我對一位二十歲左右接受高等教育的年輕人所說的話深感興趣，「當我們長大成人，在社會第一線工作的時候，臺灣也有可能變成名符其實毫不遜色的日本的一部分」。

這些人除此類言語外，我沒看到其他理想。（頁 210）

接受日本教育的臺灣年輕人自是認同日本，於其人知識領域與意識型態中，日本價值是據以努力與學習的標準，甚至有「臺灣也有可能變成名符其實、毫不遜色的日本的一部分」如此的期許。臺灣的青年的認同除了個人如何認定歸類自己外，也包含他們是否被他人認定為自己希望歸屬的身份類別，而這樣的自我歸類與他人的歸類往往有社會性或階級性的因素，亦即認同雖有自我的情感導向，但被認同與否卻與權力位置息息相關。

真杉反省臺灣年輕人此類認同以及積極追求的人生價值，而此實統治者於殖民地所欲促進的價值精神之同一。皇民化運動藉教育灌輸、戰爭動員，使本島人產生成為日本人的可能與希望。日本政府尤其注重對臺灣語言及教育的措施，欲從精神上徹底改造臺灣的企圖，不僅在語言文字上，強迫臺灣模仿學習日本，亦同時灌輸大和民族和頌揚軍國主義，此為民族價值之傳輸，亦是有特定意識與目的之傳輸，而非真正之種族同化，政權的維持有賴政治強制力與霸權文化的結合，日本藉由傳統文化與教育的改造，建立一套說服被統治者接受統治的信仰體系，使統治階級在道德與精神上取得勝利與合理化，在形式上與被統治者的利益取得平衡卻又不損害自身利益。²⁰

事實上，雖說本島人亦為日本人，但日本與臺灣的真正階級鴻溝在於先天種族血緣，而非後天的民族意識建構，此一衝突形諸於外的，則是日本臺灣風物的突兀，其於〈移り行く台湾〉云：

私は、汽車の窓から、内地ではあまりみかけられない、放し飼ひにした家鴨の群や、佛僧華の花、紫色の雲のやうに霞んだセンダンの花の大木なぞの、異郷の眺めに恍惚としていたのであったが、その、異郷的風物の中に、大へん沢山の、白い大鳥居が立っているのをみかけた。神社が非常にふえ

²⁰ 參考葛蘭西著，曹雷雨譯，《獄中札記》，（北京：中國社會科學出版社，2000）的文化霸權論述。日治時期有關天皇或日本建國神話的教材及相關價值傳輸，可參見何義麟，〈皇民化期間之學校教育〉，《臺灣風物》36：4，1986；陳培豐，〈「同化」の同床異夢：日治時期臺灣的語言政策、近代化與認同〉（台北：麥田出版，2006）。

たのである。(頁 211)

中譯：

我從車窗眺望著放牧的鴨群、佛僧華花、有著紫雲般花朵的苦楝樹等內地看不到的異鄉事物而出神，不過，在異鄉景物中卻看到很多矗立其間的白色神社鳥居，神社增加甚多。(頁 211)

所謂「異鄉景物中卻看到很多矗立期間的白色神社鳥居」，臺灣於真杉眼中，畢竟是「異鄉」，神社鳥居則是異鄉中的熟悉景物，在如此的文字陳述中可見，典型的臺灣風物中卻有代表日本精神的神社，為明顯的權力展示，也顯現同化政策的傳輸力量與產生的突兀，一如本島人正廳神龕上的神像與祖先牌位亦被日照天神所取代，其云：

そして、その正廳に祀られている神であるが、いままでは、多く孔子が祀られていた。そして、その前で、金泥のついた紙の束を焼いて祈禱する伝統が繰り返されている。

けれど、近頃は、さうではないのである。必ず「天照皇大神宮」が白木造りの中に祀って安置されているのであるが、孔子と並べて祀っている家もある。(頁 212)

中譯：

而且，正廳供奉神祇，至今多是奉祀孔子，在孔子像前燒金紙祈禱的傳統仍然延續。但是，頃近就不是這樣了，白木做的（神龕）中必定奉祀「天照皇大神宮」。(頁 212)

藉由並置與對比的文字凸顯被殖民者現實生活與殖民者所傳輸的民族精神論述之斷裂與突兀，並以日本政府鼓勵臺灣青年學習敬拜神社與樂舞訓練等現象，再次強調此類不協調：

複雑な意味あひから、神社の存在が、大きな意義をなして来ている。

本島人青年達は、今まで廟に集まって、支那風な一種の神樂んのやうなものを吹奏或は打奏していたのであったが、その代わり、近頃は、青年団の中から、選ばれた者丈けが、一郡に何十人といふほどづつ、神社に集まり、日本の神樂の「笙、笛、大鼓」の教示をうける。

私は、この講習を見学した。公学校卒業程度の、農民の子弟なので、国語も、さう立派とはいへない青年達であるが、彼等は、神社へ来ると、白足袋、白衣白襪を支給される。その扮装をつけると、大へん、立派な神に仕へる姿になり、ころまで、敬虔になるといふのが、神社の神職の意見なのである。「さて、けふから諸君達は、日本の天照皇大神宮さまにお神樂をおそなへ申しあげるための練習をするのでありますから、第一に注意して頂きたいことは、ニンニクを食べないやうにして頂きたい、」

中譯：

雖充滿了複雜的內涵，但神社在此間具有很大意義。本島青年以往聚集廟裡演奏中國式的祭神音樂，最近有所改變，從一郡的青年團中選出幾十人左右，

於神社集合，接受「笙、笛、太鼓」的教育。

我參加了這個講習，因為來參加的年輕人是只有公學校畢業的農民子弟，日語說得不算流利，他們一來神社，就分到白襪白衣與白束帶，一裝束好，馬上變成高尚的神官姿態，也由衷地虔敬起來。而神社的神職人員是這麼認為的，他們說，「因為諸位要練習祭祀天照大神的神樂，第一要注意的是不要吃大蒜……」

神職人員以如此謙遜的語調開始講課，而郡守與視學等也都出席，照例還是在講課中加入訓話。於此種狀況之下，讓我深感有趣的是毫無壓迫的語調，若是在內地的訓練所，還是使用較為嚴厲的語彙，而這裏實際上卻是恭敬地「希望」等謙遜語氣的說明方式，我對主管提出愚蠢的問題，「這需要學費嗎？」「不敢當，這是免費的，對表現較好的也可能支付日薪哦」（頁214-216）

以神社敬拜與樂舞訓練對臺灣年輕人進行教育，且刻意地以不同於日本的「免費」甚至「可能支付日薪」等操作模式加以獎勵與動員，以藉此傳輸日本人的想法與習慣以進行同化與改造的政策，但就臺灣人而言，神社是不具歷史或文化情感的移植符號，白襪、白衣、白束帶或笙、笛、太鼓等象徵日本的符號僅止於外表，所有的學習僅止於形式的模仿，真正的情感認同顯得遙遠不熟悉。日本與臺灣，是對照、斷裂、習染、沉默等異質關係，日本嘗試以其文化與文明同化臺灣，以改變臺灣的生活情態與精神內涵，對於臺灣人尤其庶民而言，顯然喪失文化認同之主體性，必須接受日本統治者之支配與定義。因殖民者的政治考量，臺灣的外在變化可以是立即或強制的，如臺灣人對神社鳥居敬禮，穿著神官服裝表演神樂，在鄉野田間大量興建神社，設立國語講習所等，然而其間最大衝突是難以親近熟悉的文化，缺乏習染的土壤與認同的情感，差異的界線始終明顯。於此現象中，文化是被抽離的，生活是斷裂的，語言自然也無法深入生活。

除〈淡水〉外，真杉於〈移り行く臺灣〉及〈雨〉等多篇皆提及台灣居民家中必有神龕，以及獎勵對神社鳥居鞠躬的規定，如穿文官服的公務員與一心想著考試的學生在車上看到遠處的神社或鳥居，也都須脫帽致敬。於〈雨〉一文中，真杉以個人經驗與情感反省對神社行禮的現象，其云：

広い神苑をめぐらした神社の鳥居の内にある私の両親のうちに滞在しながら私は一度も、神職の装束をつけた父の背後から、神様を拜んだ、といふことがなかった。父の白装束の生活は、毎朝五時を合図のやうに「祝辞」をあげつつ冷水を身に浴びることから始まる。みていると、このくらい神様に仕へるのに適切な人はいないと思はれるくらい、父の神殿を払ふ態度は、さながら生きた偉人に仕へるのと同じ感情で、手がこんでいる。かういふ父を、十六年も両親達をはなれていた私は不思議な人を眺めるやうな眼でみていながら、一度も、私自身が、その神殿の方へ歩み寄ったことはなかった。

皇民化運動のスローガンを事変に対処する植民地統治に使っているので、今は恰度神社が台湾統治の上に重要な位置におかれている。先づ附近の本島人や内地人、役人も町人も、神社の鳥居の前を通過する時は、必ず脱帽することが奨励されている。そんなわけで、滞在中私にあてがはれた勉強

部屋の窓からみていると、ずっと向ふの鳥居の前を通ったり、その下を出入りしたりする人は、どんなに自由主義者らしい風貌の人も、必ず最敬礼をして通る。けれども、私にも、滞在中それがなぜか為しにくくて困った。人が見ていないか、と恥しくて、礼をするにしても太い鳥居の柱のかげに身をかくすやうにして頭を下げた。

しかし、発つ朝は私は、どういふわけか、とても素直な気持で、鳥居の下に立ち、胸のふくらむやうな抑しあげてくる感情を味合ひながら、心から神殿のかたに頭を下げてしまったのである。

「それがもう見納めかもしれない……」というやうな、別れ際の断ち切れた感情で、どんよりとしたあたりの景色と、肉親たちの顔とを心にかき集め、頭を下げる神様が、そこに鎮座されていることが、ほっとするやうに有難かった。(頁 219-220)

中譯：

雖然暫居在寬廣神苑圍繞的神社的父母屋舍，但我從未在穿著神職服裝的父親背後參拜，父親白色裝束的生活是從每天早上五點像是信號般的邊誦「賀詞」，邊向身上沖冷水這些事開始的。應該再也沒有這樣適合服侍天神的人了，父親維護神殿的態度，就如同服侍活生生的偉人一般，程序繁複仔細，已經離開父母十六年的我以奇特的眼光望著如此的父親，卻一次也沒接近神殿。

因事變而使用於殖民地統治的皇民化運動的口號，恰使神社在統治臺灣上據有重要位置。現在獎勵當地的本島人、內地人、官吏或商人等經過神社前一定要脫帽致意，因此，暫居的我從讀書的房間窗口遠遠望去，從牌樓經過或出入的人、即使看似自由主義者也一定敬禮。但居住其中的我，卻無法也如此做，怕有人看見，即便行禮，也只能在牌樓鞠個躬而已。

但是，在即將動身的早晨，我不知何故，壓抑著心中的激動，站在牌樓下，衷心地對神殿低頭致意。以一種「也許是最後一眼也說不定」、即將離別時特有的灑脫，心中充滿著至親的面容與灰暗的景色，因有可以低頭致意的神之存在而感到幸福。(頁 219-220)

因父親為神官，真杉靜枝對於神社自不陌生，卻未必具有特殊或深刻的情感，其父居住台灣幾十年，既是教授台灣青年神樂的神官，也協助各地建神社，而其妹服務的公學校及所謂的成人講習所，家族皆熱衷於促進日語教育及改日本姓等運動。²¹臺灣之於真杉家族，可說是某一亟需改造的客體，但對真杉靜枝個人而言，則是既貼近卻又遙遠，一如其言，有故鄉般的情感，卻也不免具有日本人之本位思考，亦曾於協力國策動員下參與戰爭的後援與宣撫工作，但對於臺灣此一殖民地，卻也多少具有客觀批判。

真杉自述，一向羞於向神社行禮的態度，卻因即將與父母家人分別而有了不同的情感流露，神社與鳥居，成為故鄉的具體象徵，神社本為動員本島人而設，藉以傳輸日本的國族價值並形塑文化認同，另一方面卻也成為在臺日本人鄉愁之所在，成為懷鄉之意象。「在即將動身的早晨，我不知何故，壓抑著心中的激動，站在牌樓

²¹沼沢和子，《南方紀行・解説》（東京：ゆまに書房，2000 復刻版），頁 316-7。

下，衷心地對神殿低頭致意。以一種『也許是最後一眼也說不定』、即將離別時特有的灑脫，心中充滿著至親的面容與灰暗的景色，因有可以低頭致意的神之存在而感到幸福。」因有可以俯首致敬的神社而感到幸福，於此，真杉似乎展現了真正的家國情懷與認同，所謂的故鄉，不只是父母所在之處，也是文化與情感所認同的日本。

就真杉靜枝而言，故鄉既是臺灣，但更是日本，更具體的是，只要是神社之所在，就是鮮明的鄉愁之所在，日本於其人而言，是無法抹滅的血緣故鄉，是情感認同的最終歸向，臺灣則是殖民政治所形成的人生歷程中另一故鄉，具有後天的想像前提與建構。因殖民的歷史使然，在其人認知內涵中，兩個家國的符號與時空相互重疊，顯然有個人複雜且獨特的思索，然而，在文化、語言等異質衝突中，真杉靜枝的認同仍趨於一端，也就是日本的價值，臺灣之所以也是故鄉，在於父母家族生活此間，而非對臺灣風土有特定認同，或視臺灣純然為日本的一部分，真杉靜枝如此的觀察角度與文字書寫，或可見當時在臺日人某種家國認知與想像。

結語：異質對照下的認同強化

真杉靜枝以對照的眼光觀察曾經生長的故鄉及殖民地臺灣，以反思的基調書寫《南方紀行・台灣の土地》。以客觀卻亦關懷的角度來看待臺灣皇民化生活諸面向，既肯定日本對殖民地的內地化與現代化，其間也以情感角度，嘗試從殖民戰爭的角度，記錄其旅行這個南方異鄉的諸事物。²²描繪臺灣的文字，往往僅為讀者提供畫面，且是遠觀的角度所形成的畫面，被觀看的人事物多半是遙遠陌生或無言漠然的，偶而透過側面的言語取得約略的理解，然而，發言者始終為真杉靜枝，以其日本人的認同自覺書寫記錄，於其筆下，臺灣的藝妓、蕃人少女或內地女子各自有其人生姿態，而欽慕阿里山所代表的臺灣之美的同時，亦不忘比擬祖國日本之美，臺灣的人事之美固然值得讚嘆，亦是其相對熟悉的故土，但書寫與觀察卻始終維持一定距離，終究保有殖民者與殖民地的相對關係。

另一方面，真杉靜枝亦以其反省的角度，觀察臺灣的殖民地現象，如對於日本在臺灣之「皇民化」、「工業化」與「南進基地化」等政策，以及積極設立神社與促進國語（日語）教育為主軸的皇民化措施，真杉靜枝也呈現個人的相關反省，以及皇民化的臺灣隱含多重面貌的生活諸面相，也意識到所謂民族問題仍是殘留的課題，認同的鴻溝與斷裂始終存在。

真杉靜枝以對日本為角度，書寫曾經熟悉也具有某種認同的臺灣，因此，與其說記錄當時殖民地臺灣的皇民化諸面相、庶民的心境與生活之摹寫，毋寧說表達了身為日本人的真杉之某種鄉愁內在，對真杉而言，臺灣雖熟悉卻也遙遠，因家族的生活其間，因日本象徵的神社存在其間，使臺灣因而有了意義，但臺灣始終是臺灣，而未能真正成為日本的一部分，所以真杉有其矛盾與選擇。內地人與本島人，統治與被統治、內地與本島、故鄉與異鄉，彼此的對立、距離的鴻溝依舊存在，認同內涵與情感歸向，也各自分歧，各自詮釋，日本同化臺灣之同時，也一再強調臺灣的異質與邊緣，於特定歷史時空中，在臺灣的日本人用以對照衡量的日本價值座標始終存在，成為觀察與判斷各種異質性的主要視角。

²² 沼沢和子，《南方紀行・解説》，頁317。

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析論《水滸傳》中的「身體記號」

李蕙如*

摘要

本文以《水滸傳》人物為探討對象，「身體記號」為主軸，分梳出刺青、金印兩條理路，除了整理文獻資料外，亦對內在脈絡加以探討。同樣是對身體進行記號的刻畫行為，但在《水滸傳》的書寫上卻有刺青與金印的不同。梁山好漢刺青者計有：九紋龍史進、花和尚魯智深、短命二郎阮小五、病關索楊雄、雙尾蠍解寶、浪子燕青、花項虎龔旺七人；金印者則有呼保義宋江、豹子頭林冲、行者武松、青面獸楊志四人。此兩種不同類型的身體記號，除了刻畫的部位與方式相異外，刺青者的心理動機與金印者的接受反應亦為心理層面上的迥異呈現。其中，刻畫的部位與方式乃受歷史發展與文化變遷所影響；至於刺青與金印者的動機與反應則涉及心理學範疇。是故，筆者從歷史學、文化人類學、心理學系統三方面考察，並對梁山好漢的身體記號之意涵加以歸納，而得以看出《水滸》中社會文化之透顯。

關鍵詞：身體記號、《水滸傳》、刺青、金印

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The Analysis of the “Body Markings” in *All Men Are Brothers*

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Abstract

This paper explores the characters in *All Men Are Brothers* whose “body markings” are divided into tattoos and golden seals. In addition to sorting out the literature, this study also discusses the context in a similar vein. The markings on the body are presented as tattoos and golden seals in the writings of *All Men Are Brothers*. The Tattooed Liangshan heroes include “Nine Tattooed Dragons” Shi Jin, “Flowery Monk” Lu Zhishen, “Short-lived Second Son” Ruan Xiaowu, “Sick Guan Suo” Yang Xiong, “Twin-tailed Scorpion” Xie Bao, “Wonderer” Yan Qing and “Flowery Neck Tiger” Gong Wang; The golden sealed consists of “Protector of Justice” Song Jiang, “Panther Head” Lin Chong, “Pilgrim” Wu Song and “Blue Faced Beast” Yang Zhi. Two types of body markings not only differ in their locations and styles, the motives of the person being tattooed and the responses of the person being golden sealed vary on the psychological level. The locations and styles of the markings are influenced by the historical developments and cultural evolution; Their motivations and responses fall into the category of psychology. Therefore, the author investigates the implications of the body markings of Liangshan heroes from the perspectives of history, cultural anthropology and psychology to understand their social and cultural significance in *All Men Are Brothers*.

Keywords: body markings, *All Men Are Brothers*, tattoo, golden seal

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一、前言

小說家在進行人物形象的塑造時，或直接描繪，或如《紅樓夢》以名字暗喻遭遇，或是以行為動作表達個性，凡此，皆可見作者的巧思安排。以此觀之，筆者在閱讀《水滸傳》時，發現其中許多好漢皆有刺青，有的是自己主動文身，也有被動的；此外，由於情節安排所致，不少好漢因受罰而遭金印。刺青與金印，同樣是對肌膚的圖刻，然而，兩者有何不同？關於這一課題，學者研究不多，且多為單篇論文，而專著較少，此外，大多僅就「刺青」或「金印」其中之一進行說解，而未將同為「身體記號」的兩者加以討論。如王萬盈的〈論唐宋時期的刺青習俗〉¹，單就刺青習俗的流行進行討論；至於陳元朋：〈身體與花紋—傳統社會的文身習尚及其流變〉²，則是論述完整的一篇論文，從「文身」、「黥面」、「健兒文面」談起，接著述及唐宋時期的文身風尚，以及其間所涉及的心態與評價，本文受其啟發不少。此外，尚有張萍的〈中國古代的文身風習〉³則屬泛論式的論文，尚嫌不夠深入。至於「金印」一項，並未有專門的論著，僅能從相關資料爬梳剔羅，如郭東旭的〈宋代刺配法述論〉⁴以及王永寬的《中國古代酷刑》⁵等書，皆有可資利用之處。此外，由於本文試圖討論明代小說中梁山好漢的文身，因此，亦參考明代圖繪⁶，諸如：天啟五年(1625年)陳洪綬(1598-1652)以四個月時間所繪製的《水滸葉子》⁷，雖僅繪四十人，但卻是根據宋代畫家李嵩所繪的《宋江三十六人像》以及《大宋宣和遺事》中的三十六將姓名，酌予增減。⁸又，尚有杜堇的《水滸人物像贊》⁹與《水滸故事畫傳》¹⁰等書，皆對《水滸傳》的閱讀起了推波助瀾的效果。

基於上述，筆者以《水滸傳》人物為探討對象，「身體記號」為主軸，分梳出刺青、金印兩條理路。本文使用《水滸傳》的文字有兩種版本，一種是金聖嘆評點的七十回本，一種是一百二十回的刊本。為求辨別，本文使用「金評本」稱謂前者，後者則使用「《水滸全傳》本」之名。除了整理文獻資料外，亦對內在脈絡加以探討，同時，探究刺青、金印兩者雖然同樣是對身體進行記號的刻畫行為，但有何不同之處？兩者是否源於相同的歷史傳承？作者對於人物的或刺青、或受金印，有怎樣的寫作企圖？又暗喻了怎樣的社會？與今日文化是否有相融通之處？或是相悖離？首先，應先釐清兩者的定義與歷史來源，故分述如下：

¹ 王萬盈：〈論唐宋時期的刺青習俗〉，《西北師大學報》(社會科學版)第40卷第5期，2003年9月，頁64-69。

² 陳元朋：〈身體與花紋—傳統社會的文身習尚及其流變〉，台北：「健與美」的歷史研討會，1996年6月11-12日。

³ 張萍：〈中國古代的文身風俗〉，《歷史月刊》第112期，1996年，頁112-117。

⁴ 郭東旭：〈宋代刺配法述論〉，《宋史研究論文集》(石家莊：河北教育出版社，1987年)，頁396-387。

⁵ 王永寬：《中國古代酷刑》(台北：雲龍出版社，2000年2月)。

⁶ 根據馬幼垣推論，《水滸傳》成書約在弘治、正德時期，當時已有文字刻本《京本忠義傳》、《忠義水滸傳》，但均無附圖。直至萬曆年間，《水滸傳》木刻插圖才正式登場。相關討論可見吳桃源：〈代序—《水滸》人物圖譜〉，《畫說水滸人物》(台北：聯經出版社，2009年)。

⁷ 明末清初畫家陳洪綬(1598-1652)，字章侯、號老蓮，浙江諸暨人，所繪人物誇張獨特，受唐代周昉仕女畫、宋代李公麟人物畫影響。《水滸葉子》以白描線條展現黑白美學，「葉子」是一種博戲或行酒令用的紙牌。此圖繪出後，深受市井小民喜愛。

⁸ 陳洪綬於《水滸葉子》中刪除的是天罡星三十六成員中的阮小二、阮小五、張橫、解寶、楊雄，並增加地煞星七十二員中的朱武、蕭讓、安道全、扈三娘、樊瑞、施恩、顧大嫂、孫二娘、時遷。可看出陳洪綬對七十七回後的故事無多大興趣，因此人物也闕之弗如。

⁹ 明初杜堇：《水滸人物像贊》(上海：上海古籍出版社，2002)，據清光緒藏脩堂本校刊。

¹⁰ 明代的《水滸故事畫傳》，作者不詳，該書不以人物為主，而是以故事章回為序，共繪一百回，由上海古籍出版社據明萬曆容與堂刻本校刊，2002年。

(一)刺青

「刺青」一事，《水滸傳》中稱「花繡」，亦多見於古典文獻之中，然名稱各異，如：揚雄〈蜀都賦〉稱「鏤身」；「雕青」之名則見於《禮記》、《山海經》、《史記》；「扎青」、「點青」、「笏青」、「雕題」則見於《酉陽雜俎》¹¹。其中，《禮記·王制》云：「東方曰夷，被髮文身，有不火食者矣。」注疏：「越俗斷髮文身，以避蛟龍之害，故刻其肌，以丹青涅之。」由此可知，遠古時代的文身可求圖騰保護，避免蛟龍水怪的侵害，是力量的象徵。¹²此外，「青」字是指暗藍的色調而言，然而，事實上，文身圖案在視覺感官上所展現的暗藍特徵，並不是來自於施刺者所使用的顏料。根據日本學者、劇作家飯澤匡在《原色日本刺青大鑑》一書裡的研究可知，這種色調偏暗的藍色，其實是墨汁進入皮膚後的自然變化¹³。

(二)金印

打金印不過是刺配的一種好聽說法而已。¹⁴「刺配」是宋代制度，宋真宗時關於刺配的法律規定有四十六條，仁宗慶曆時有一百七十餘條，南宋竟多達五百七十條。宋律規定，流、徙、杖刑都可以同時黥刺。一般作為附加刑使用，特別流刑和充軍、一定要附加黥刑，而且黥刺的方法多種多樣。初犯刺於耳後，再犯、三犯刺於面部。流刑，徙刑犯刺方形，杖刑犯刺圓形，直徑不過五分，也有刺字的。強盜犯、竊盜犯在額上刺「盜」、「劫」等字樣，臉頰上還往往刺有發配的地點。這一來，一人之身，一事之犯，要兼受杖其脊、配其人、刺其面三種刑罰。到南宋孝宗時，到處充斥被刺配的人，全國各郡牢獄達幾十萬人。此種在臉上刺字而後流配充軍的方式，乃肉刑之一黥刑的復活，在人的臉上或身體的其他部位刺字，然後塗上墨或別的顏料，使所刺的字成為永久性的記號。同劓、宮、刖、殺相比，黥面顯然是最輕微的。但是，這種刑罰也要傷及皮肉甚至筋骨，而且施加於身體的明顯部位，無法掩飾，不僅給人造成肉體的痛苦，同時使人蒙受巨大的精神羞辱。《尚書·呂刑》篇中「墨辟疑赦」一句後，孔安國傳云：「刻其額而涅之曰墨刑。」又如《周禮·司刑》中「墨罪五百」，鄭玄注云：「墨，黥也，先刻其面，以墨窒之。言刻額文瘡，以墨窒瘡孔，令變色也。」可見墨刑的施行方法是用刀刻人的皮膚，然後在刻痕上塗墨。¹⁵

基於上述討論可知，「刺青」關涉美感的認知，「金印」則有其刑罰或人身控制的淵源脈絡。

¹¹ 書中記載王力奴讓人在胸腹上刺青，山川、亭院、池榭、草木、鳥獸悉具。宋元素則全身刺青達七十一處，左臂上刺的是首詩：「昔日已前家未貧，千金不惜結交親。乃至恓惶覓知己，行盡關山無一人。」右臂上刺的是帶人頭的葫蘆，為葫蘆精。此外，葛清則在身上刺了三十多首白居易的詩歌，且圖文並茂，體無完膚，有人稱他為「白舍人行詩圖」，這類的人堪稱為「一身錦片也似文字」。

¹² 相關資料見易中天：《藝術人類學》（上海：上海文藝出版社，2001年1月），頁319-335。施正康、施惠康著：《水滸縱橫談》（上海：學林出版社，1996年12月），頁24-26。

¹³ 見〔日〕飯澤匡、福士勝成所監修的《原色日本刺青大鑑》（東京：芳賀書店，1973年），頁157。日本存有許多以文身為題材的圖像史料，如吉岡郁夫：《文身的人類學》（東京都：雄山閣，1996年）。又妹尾河童：《窺看日本》（台北：遠流出版社，2006年9月）一書中的〈河童眼中的刺青和紋身〉亦提到《水滸傳》中的刺青人物，然僅帶過，無深入探討。

¹⁴ 見寧稼雨：《漫話水滸傳》（石家莊：河北人民出版社，2000年8月），〈打金印是怎麼回事〉，頁250-251。此外，關於刺配資料可參考郭東旭：〈宋代刺配法述論〉，收錄於《宋史研究論文集》（石家莊：河北教育出版社，1987年），頁369-387。

¹⁵ 相關資料見王永寬：《中國古代酷刑》（台北：雲龍出版社，2000年2月二版），頁93-103為「黥面」介紹。

二、《水滸傳》人物的身體記號

首先，必須釐清的是，「身體記號」固然可視為受管制、受拘束的身體，有其共同的社會文化意涵，形成一種「遊戲場域」、「生活風格」；然一旦鐫刻在人體上，身體也有其主體性，可隨角色行動而產生不同的象徵意義，反映出更複雜的人性與社會問題。¹⁶梁山好漢們的身體記號主要可分為刺青與金印兩者。首先臚列其在書中出現情節之描述，並藉以探討其身體記號與其人本身個性或所處背景之關聯。此外，早期的水滸故事《大宋宣和遺事》中，梁山泊頭領晁蓋也有一身刺青，形象為「一個大漢，身材選料，遍體雕青」，然非目前通行之《水滸》故事中所描述，故略之不談，僅聊備一說。以下則分別就「刺青者」與「金印者」加以說明：

(一)刺青者

1.九紋龍史進

史進出場的情景，是通過八十萬禁軍教頭王進的眼睛寫出的。《水滸傳》中寫王進路過史家莊，治好了母親的心疼病，要收拾行李出發：

當日因來後槽看馬，只見空地上一個後生，脫膊著，刺一身青龍，銀盤似的一個面皮，約有十八九歲，拿條棒在那裡使。(金評本第一回)

史進和王進比武輸了，這才由他父親交代這一身青龍的來歷：

老漢的兒子從小不務正業，只愛刺槍使棒。母親說他不得，一氣死了。老漢只得隨他性子，不知使了多少錢財，投師父教他；又請高手匠人，與他刺了這身花繡，肩臂胸膛總有九條龍，滿縣人口順，都叫他做九紋龍史進。(金評本第一回)

可見史進從小不務正業，只愛刺槍使棒，史太公請高手匠人為他刺了一身花繡，肩臂胸膛的一身青龍可以說是尚武的表現，或可視為史太公望子成龍的心態呈現。此外，銀盤也似一個面皮與青龍間也形成強烈視覺對比，令讀者難忘。¹⁷

至於「龍」的圖騰也有其特殊之義¹⁸，《說文》：「龍，鱗蟲之長，能幽能明，能細能巨，能短能長，春風而登天，秋至而潛淵。」可見龍之神通性。然而，在志怪小說中，龍卻往往被人捕殺利用：《拾遺記》提到燕昭王「以龍膏為燈，光清澄若水，光燄五色，人以為瑞。」¹⁹又《述異記》記載漢和帝「賜群臣龍羹，各一杯。」²⁰至於身為九紋龍的史進，也不免吃虧於娼妓李睡蘭，而陷於東平府。²¹

2.花和尚魯智深

魯智深的刺青由大鬧五台山時順筆交待出來：

¹⁶ 一如美國小說家納撒尼爾·霍桑(Nathaniel Hawthorne, 1804—1864)的小說《紅字》(*The Scarlet Letter*)就是最好的例證。

¹⁷ 見王同舟：《地煞天罡——水滸傳與民俗文化》(哈爾濱：黑龍江人民出版社，2003年5月)，頁128。

¹⁸ 關於龍的形象可見蕭春雷：《文化生靈——中國文化視野中的生物》(天津：百花文藝出版社，2001年8月)，頁1-3。

¹⁹ 〔秦〕王嘉：《拾遺記》(台北：世界書局，民國75年)，據國立故宮博物院藏摘藻堂四庫全書鈔要影印。

²⁰ 〔梁〕任昉：《述異記》(台北：藝文印書館，民國54至60年)，《百部叢書集成》。

²¹ 見〔明〕施耐庵：《水滸傳》(台北：桂冠出版社，1994年4月，再版)，第六十八回「東平府誤陷九紋龍，宋公明義釋雙鎗將」。

魯智深在亭子上坐了半日，酒卻上來；下得亭子，松樹根邊又坐了半歇，酒越湧上來。智深把皂直裰褪膊下來，把兩只袖子纏在腰裡，露出脊背上花繡來，扇著兩個膀子上山來。(金評本第三回)

此外，第十六回寫到楊志失了生辰綱，準備奪二龍山，吃了虧想到林子裡歇歇，次日再作計較時，又再次提到魯智深的一身花繡：

轉入林子裡來，吃了一驚。只見一個胖大和尚，脫得赤條條的，背上刺著花繡，坐在松樹根頭乘涼。(金評本第十六回)

後來魯智深向楊志自我介紹時說：「人見洒家背上有花繡，都叫俺做花和尚魯智深。」由此可知，魯智深因脊背上刺有花繡，得了花和尚的渾號。

3.短命二郎阮小五

阮小五外號「短命二郎」，為《水滸傳》中梁山水軍將領之一。與兄長阮小二、弟弟阮小七都是石碣村人，以打漁為生，後來與吳用、晁蓋、劉唐、公孫勝劫生辰綱，被官府抓拿，阮氏兄弟則在蘆葦港消滅官軍，並上了梁山，成為水軍將領，多次打敗前來的朝廷軍隊。三兄弟中，僅阮小五有刺青，書中寫道：

吳用看時，但見阮小五斜戴著一頂破頭巾，鬢道插朵石榴花，披著一領舊布衫，露出胸前刺著的青鬱鬱一個豹子來，裏面區扎起褲子，上面鬥著一條間道棋子布手巾。(金評本第十四回)

在第十四回中，阮小五為三兄弟中最後一個出場，其中，各人妝扮不盡相同：首先登場的阮小二「頭戴一頂破頭巾，身穿一領舊衣服，赤著雙腳」；阮小七則「頭戴一頂遮日黑簪笠，身上穿個棋子布背心，腰繫著一條生布裙」。相較於阮小五而言，兩人皆較為樸素，不若阮小五甚而插花為飾，胸前刺豹則增添其陽剛之氣，而與石榴花相互調和。

4.病關索楊雄

《水滸傳》中對楊雄的描述為：

那人生得好表人物：露出藍靛般一身花繡，兩眉入鬢，鳳眼朝天，淡黃面皮，細細有根髭髯。(金評本第四十三回)

面貌微黃的楊雄綽號為「病關索」，擁有一身好武藝的他個性粗疏，不如石秀細膩敏銳，對於其妻潘巧雲偷情一事顯得愚昧遲鈍，受石秀主導命運的他，成了殺妻洩憤的兇手。兩人的結義形成生命共同體，再進一步由梁山兄弟，形成規模更大的命運共同體。其人打扮不俗，身份為劊子手，刺在雙臂上的花繡特別引人注目，而有「兩臂雕青鑄嫩玉」的稱譽，可見身上的藍靛應該更接近翠綠之色，可視為武力象徵。

5.雙尾蠍解寶

「雙尾蠍」解寶和兄長「兩頭蛇」解珍都是獵戶，登州人氏。宋江二打祝家莊之際，解氏兄弟在登州山上射了一隻老虎，不料老虎進了毛太公家後園，兄弟二人在取虎時被人綁了，下到死牢去。得到樂和的通風報信，他們的舅舅孫新與顧大嫂、

孫立等人劫牢救出了兩兄弟，一同投奔梁山去。解寶為步軍第十名頭領，《水滸傳》中則先寫解珍，並借其襯托解寶的不凡：

那哥哥七尺以上身材，紫棠色面皮，腰細膀闊。這兄弟更是利害，也有七尺以上的身材，面圓身黑，兩隻腿上刺著飛天夜叉；有時性起，恨不得拔樹搖山，騰天倒地。（金評本第四十八回）

此處點出解寶刺青位置與前述好漢不同，非刺於全身或肩臂，乃刺於兩隻腿上。史載徽宗時，腿上有刺青的惡少在東京大街上騎馬追逐青樓女子，人們稱之為「花腿馬」。南宋初，大將張俊選少壯高大的士卒為他在杭州營造太平樓酒肆，為防止逃亡，讓軍士「自臀而下文刺至足，謂之花腿」、「既苦楚，又有費用，人皆怨之」²²，也不如史進、燕青請高手匠人刺青了。然而，就筆者推測，解寶非屬上述其中之一，疑僅《水滸》作者融合宋代社會生活所寫之題材，求其書寫之人物變化及當時聽說書者之熟悉罷了。

6.浪子燕青

燕青，是三十六天罡星最後一名。原為「北京大名府」人氏，自幼父母雙亡，在盧俊義家中長大，吹簫唱曲樣樣能行，射箭發鏢百步穿楊，人稱「浪子燕青」。盧俊義遭吳用計賺後，管家李固與盧俊義之妻賈氏勾搭成奸，霸佔家財，又將燕青趕走。盧俊義回家後，李固又向大名府告發盧俊義私通梁山、題藏頭反詩之事。盧俊義被下獄，李固買了董超、薛霸，要他們二人殺了盧俊義。當董、薛正要下手之際，燕青趕來將二人射死。盧俊義被判死刑之後，燕青又與楊雄上山報信，引來宋江大隊人馬，在法場救下盧俊義，一同投靠了梁山。最精美的刺青要推浪子燕青：

為見他一身雪練也似白肉，盧員外叫一個高手匠人，與他刺了這身遍體花繡，卻似玉亭柱上鋪著軟翠。若賽錦體，由你是誰，都輸與他。

這身刺青也理所當然地成為燕青的標誌。在第六十一回「放冷箭燕青救主，劫法場石秀跳樓」中描寫燕青偷襲楊雄、石秀未果，楊雄把燕青的手一拖，看到手腕上的花繡，忙問道：「你不是盧員外家甚麼浪子燕青？」可見燕青刺青之出名。而《水滸全傳》本則對燕青刺青有更詳細的描述，在第七十四回中開篇道出燕青遍身刺青之美：

中有一人名燕青，花繡遍身光閃爍。鳳凰踏碎玉玲瓏，孔雀斜穿花錯落。（《水滸全傳》本第七十四回）

此回內容敘述燕青智撲擎天柱任原，出發前特意「打扮得村村樸樸，將一身花繡把納袄包得不見。」等到一上台，則把布衫脫掉，吐個架子，成千上萬看客一時「如攪海翻江相似，迭頭價喝采，眾人都呆了。」此時的燕青尚未動手，已在氣勢上壓倒任原，而使自己得到優勢。此外，八十一回「燕青月夜遇道君，戴宗定計賺蕭讓」

²² 相關資料可參見〔宋〕孟元老：《東京夢華錄》（台北：藝文印書館，民國 54 至 60 年），《百部叢書集成》影印本。

中，燕青與李師師的相處情形更是描寫細膩。首先，李師師對於燕青的刺青十分感興趣：

聞知哥哥好身文繡，願求一觀如何？（《水滸全傳》本第八十一回）

燕青雖百般推辭，然而李師師卻道：

錦家社家子弟，哪裡去問揼衣裸體！（《水滸全傳》本第八十一回）

所謂的「錦體社」，即宋代刺青者組織，燕青為其中頂尖人物，即七十四回所說「錦體社內奪頭籌」，同時展現出以審美為著眼的人體雕鏤。之後，燕青只得脫膊下來，李師師看了大喜，並將玉手摸其身。燕青只得以姐弟相稱，托事離去，不被色所迷惑。

7. 花項虎龔旺

龔旺，原為東昌府張清的副將，在《水滸傳》中出現極晚，書中寫道：

渾身上刺著虎斑，脖子上刺著虎頭，馬上會使飛鎗。（金評本第六十九回）

可見龔旺因渾身刺有虎斑，脖子上刺著虎頭，而得外號「花項虎」。此了龔旺之外，張清另一副將喚做中箭虎丁得孫，面頰連項都有疤痕，馬上會使飛叉。然書中僅寫道疤痕，並未明確寫出是否刺青，或僅為戰鬥所遺留的標記，故本文略而不談，僅就龔旺部分加以說明。當盧俊義攻打東昌府失利，宋江前去支援時，龔旺便被林沖、花榮活捉，歸降了梁山。

值得注意的是，上述七人中，除身為東昌府副將之龔旺筆墨不多外，其餘六人皆可視為《水滸傳》中獨立篇章的重要人物。至於上述幾人的遭遇行徑而言，是非善惡極難有所判準。就一般社會倫常觀之，史進氣死其母，又與群盜結交；魯智深雖好打抱不平，卻三拳打死鎮關西；阮小五原捕魚為生，後卻劫取官家綱運；楊雄則有駭人之翠屏山命案；解寶則破壞民家，僅為追索逸虎；燕青則搶劫楊雄、石秀，亦非磊落之行。由上觀之，就梁山好漢內心探之，或為良善之輩，然就其行為而論，則無寧違常背俗。

(二) 金印者

1. 豹子頭林沖

林沖原為東京八十萬禁軍槍棒教頭，生得豹頭環眼，燕頤虎鬚，身長八尺，人稱「豹子頭」，善使林家槍法，使一支丈八蛇矛，有萬夫難當之勇。與倒拔垂楊柳的花和尚魯智深一見如故，結拜兄弟。其妻於東嶽廟上香時，遭殿帥府太尉高俅之子高衙內調戲，後陸謙騙林沖外出，又遭陷害刺配滄州，在野豬林險遭公差董超、薛霸害死，幸得魯智深相救。而在書中描述林沖雪夜上梁山前，先以朱貴與之對談留下上山伏筆，並點出臉上金印：

正飲之間，只見那個穿皮襖的漢子向前來把林沖劈腰揪住，說道：「你好大膽！你在滄州做下迷天大罪，卻在這裏！見今官司出三千貫信賞錢捉你，卻是要怎地？」林沖道：「你道我是誰？」那漢道：「你不是：豹子頭林沖？」林沖道：「我自姓張。」那漢笑道：「你莫胡說。見今壁上寫下名字。你臉上文著

金印，如何要賴得過！」林冲道：「你真個要拿我？」那漢笑道：「我卻拿你做甚麼！」便邀到後面一個水亭上，叫酒保點起燈來，和林冲施禮，對面坐下。(金評本第十回)

朱貴在此回扮演林冲上梁山的引渡者，初始對林冲興師問罪，後則實以禮待之，故事情節也由此峰迴路轉，引人入勝。

2. 青面獸楊志

楊志為楊老令公楊業之後代，武藝非凡。在東京時，因花光了錢財無奈當街叫賣祖傳寶刀。卻在賣刀之時與潑皮牛二發生爭吵，不得已殺了牛二，被發配到大名府充軍：

牢裏衆多押牢，禁子，節級見說楊志殺死沒毛大蟲牛二，都可鄰他是個好男子，不來問他取錢，又好生看覷他。天漢州橋下衆人爲是楊志除了街上害人之物，都斂些盤纏，湊些銀兩來與他送飯，上下又替他使用。推司也覷他是個有名的好漢，又與東京街上除了一害，牛二家又沒苦主，把款狀都改得輕了，三推六問，卻招做「一時鬥毆殺傷，誤傷人命；」待了六十日限滿，當廳推司稟過府尹，將楊志帶出廳前，除了長枷，斷了二十脊杖，喚個文墨匠人刺了兩行「金印」，疊配北京大名府留守司充軍。那口寶刀沒官入庫。當廳押了文牒，差兩個防送公人，免不得是張龍，趙虎，把七斤半鐵葉盤頭護身枷釘了，分付兩個公人，便教監押上路。(金評本第十一回)

楊志雖受刺配，然充軍時被大名府留守司梁中書所賞識，為其護送生辰綱，卻被晁蓋等用計所劫。無奈之中與魯智深打上二龍山，殺了鄧龍，做了山寨之主。三山聚義時與眾英雄共歸梁山。

3. 呼保義宋江

馬幼垣認為宋江為「最難理解之人」²³。小說著力突出他的「俠」與「義」，不僅稱他為「及時雨」、「孝義黑三郎」，還反覆強調宋江雖在公門，卻只好結交江湖好漢。盡量資助那些來投奔他的人，書中寫道：

人向他求財物，亦不推托、且好做方便，每每排難解紛，只是賑全人性命，散施棺材藥餌，濟人貧困，賑人之急，扶人之困。以此山東、河北聞名，都稱他做及時雨。(金評本第十七回)

至於遭刺配之由，則因殺害閻婆惜之故，閻婆受張三煽動而告官，然而卻因宋江平時賑濟他人，雖不至逢凶化吉，亦可謂大事化小。小說中寫道：

²³ 見馬幼垣：《水滸人物之最》(台北：聯經出版社，2003年10月)，頁42-53。類似說法的尚有王平，他在著作《中國古代小說文化研究》(濟南：山東教育出版社，1996年9月)，頁284中提到：「每個人都生活在一定的社會環境和文化環境之中，無時無刻不在接受一定社會文化的教化和薰陶，因而他們的思想、感情、性格、行為等，總是帶著一定社會文化的模式特徵。社會教化即人的社會化，也就是人的後天行為的規範化。一般地說，人都要經過雙重的社會教化，即初級教化和再社會教化。有時這兩種教化不相一致甚至互相衝突，這就使經常受教化者的思想、性格發生分裂。宋江正是兩種社會文化教化相矛盾的悲劇角色。」

府尹看了申解情由，赦前恩宥之事，已成減罪，把宋江脊杖二十，刺配江州牢城。本州官吏亦有認得宋江的，更兼他又有錢帛使用，名喚做斷杖刺配，又無苦主執證，衆人維持下來。都不甚深重，當廳帶上行枷，押了一道牒文差兩個防送公人，無非是張千、李萬。(金評本第三十五回)

由此可見宋江雖遭刺配，卻能有減罪的恩宥，更因有錢財使用，而未受太多苦。而在《水滸全傳》本中更描述神醫安道全²⁴將宋江臉上金印消除的情節：

看官聽說，宋江是箇文面的人，如何去得京師？原來得神醫安道全上山之後，把毒藥與他點去了。後用好藥調治，起了紅疤。再要良金美玉，碾為細末，每日塗搽，自然消磨去了。那醫書中說：『美玉滅』，正此意也。(《水滸全傳》本第七十二回)

金評本中並沒有以上情節，獨出現於《水滸全傳》本中，疑因在百二十回本中宋江接受招安，是故將金印視為恥辱而點去。

4. 行者武松

武松為清河縣人，原居柴進門下，後因其嫂潘金蓮殺害其兄，故為報仇血恨而殺害其嫂及潘氏姘夫西門慶，然府尹哀憐武松為仗義的烈漢，因此並未多加折磨：

東平府尹陳文昭看了來文，隨即行移，拘到何九叔、鄆哥並四家鄰舍和西門慶妻小，一千人等都到廳前聽斷。牢中取出武松，讀了朝廷明降，開了長枷，脊仗四十——上下公人都看覷他，止有五七下著肉。——取一面七斤半鐵葉團頭護身枷，釘了，臉上免不得刺了兩行「金印」，疊配孟州牢城。(金評本第二十六回)

至於在金評本第三十二回〈武行者醉打孔亮，錦毛虎義釋宋江〉中，當武松酒醉而遭孔家莊的孔亮抓住時，孔氏兄弟即說道：

看起這賊頭陀來，也不是出家人，臉上現刺著兩個金印，這賊卻把頭髮撥下來遮了，必是個避罪在逃的囚徒。(金評本第五十三回)

從以上描述可知武松為避開官府追補，因此不得不把扮為披髮頭陀，以遮擋臉上金印。此外，據《宋會要·刑法四》之十一記載，宋代對囚犯的刺面可分大刺和小刺。凡被認為是凶惡罪重的囚犯，所刺之字稍大一點，並且在兩面分刺；至於罪行輕的囚犯，就只刺一面。由此可知，武松為前者。

三、刺青與金印之比較

刺青與金印在不同部位造成痛楚程度的相異：就梁山好漢的刺青部位而言，楊雄與燕青皆一身花繡，龔旺則全身刺有虎斑，脖項有虎頭，面積最大；其次為史進

²⁴ 安道全，是梁山第五十六條好漢，人稱「當世華佗」。除了消除金印之外，當宋江率兵攻打大名府時背上生瘡，病勢嚴重，後張順便請安道全為宋江醫病。在《水滸全傳》本中，當安道全上梁山後，隨軍出診，救活許多梁山好漢的病，然在宋將征討方臘時，皇帝詔安道全進宮治病未能出征，梁山好漢因此未能及時救治而傷亡嚴重。

刺在肩臂胸膛的九條龍，以及魯智深脊背上的花繡；最後則是阮小五胸前的豹子、解寶腿上的飛天夜叉。總結來說，刺青位置多樣，遍及全身。

至於金印部位則是取決於犯人罪狀不同，刺的位置及字樣、排列的形狀也有區別。凡是竊盜罪，要刺在耳朵後面；徒罪和流罪要刺在面頰上或額角，所刺的字排列成一個方塊；若為杖罪，所刺的字排列為圓形。凡是犯有重罪必須發配遠惡軍州的牢城營者，都要黥面，當時稱為刺配。如林冲被刺配滄州牢城，武松被刺配孟州牢城；陸謙指使董超薛霸在半路上結束林冲性命，特意囑咐他們揭取林冲臉上刺字的那塊面皮來回話；武松被黥面是刺在額角上的，後來他扮成行者，把頭髮垂下來可以遮蓋著被刺的字。小說中的這些描寫，可以作為我們今天理解北宋時期黥刺刑罰的例證。²⁵

(一)方式

就刺青而言，一般來說是一針一針地刺透皮肉，使之出血，然後用顏料塗染。但也有人用刺印，就是把許多針固定一塊印下，針尖向外，排成一種圖案。把這印按在人的身體的某一部位，所有的針尖同時刺入皮肉，印起出來後，在一片密密麻麻的針孔上刷以石墨，皮膚上就清晰地顯出圖像，傷痕癒合後，圖像就永遠留存。²⁶而在上述所提及的刺青者中，大多數並未說明刺青來由。然而，從九紋龍史進與浪子燕青的描述來看，兩人身上刺青皆是高手匠人所刺，不同的是，前者是父親替他找來的，後者為盧俊義所主意的。是故，當時確有專門從事刺青的工匠，刺青技術的職業化也同時反應當時的社會需求。既然是一種職業，則必定講究其技術，除美觀外，安全與否應也是針筆匠的考量重點，故較之金印或穩定得多。

至於金印記載可見《禮記·文王世子》篇中注云，墨刑和劓、剕等刑一樣，「皆以刀鋸刺割人體也。」此外，《國語·魯語》亦云：「小刑用鑕鑿，次刑用刀鋸。」這些說明，墨刑在最初規定為刑罰的時候，施行時用刀，而不是後世才採用的針刺。人的面部神經是極其敏感的，犯人在被黥面時的疼痛之狀可想而知。由於傷口感染，有的犯人也因黥面而致死。是故才有神醫安道生為宋江除金印之情節。表面來看，刺青與金印方式類似，然其實大有不同。以刺青而言，「針墨刺之」，在施術上依循著「先沾墨，再點刺」的先後次第。金印則「先鑿面、再以墨涅」，其精粗判然可分。

(二)心理

就犯罪心理學²⁷而言，梁山好漢或可將其歸類：如宋江為「欠缺自信型」，易於屈服而缺乏自尊心，對環境過敏；魯智深則為「狂信型」，主要特徵為思想固執頑強，奮不顧身，能為其所信。不顧自己或家族之安全而甘於犧牲。與書中描述其軍功和武藝，嫉惡如仇的爆烈個性，並對不合理社會現實採取主動出擊態度恰好相應²⁸。然而，由於梁山好漢受到刺青或金印的不同命運，故吾人可藉以管窺其心理變化。首先就刺青而言，一為勇於展現，如魯智深之輩，總是赤條條的，背脊上的花繡其實也見證了他武力的發抒。至於如燕青之流，基於主人厚愛的美感展示。然而不論其

²⁵ 見王永寬：《中國古代酷刑》（台北：雲龍出版社，2000年2月，二版），頁96。相關資料尚有楊玉奎：《古代刑具史話》（天津：百花文藝出版社，2004年6月）

²⁶ 同前註，頁101。

²⁷ 此處資料根據楊士隆：《犯罪心理學》（台北：五南出版社，1996年9月），其中第七章〈反社會人格與犯罪〉中根據張麗卿教授綜合國內外文獻，就施耐德（德國精神醫學者 Schneider）之反社會人格分類及其犯罪關係列有十種，分別為：情緒高昂型（Hyperthymische）、抑鬱型（Depressive）、欠缺自信型（Selbstunsichere）、狂信型（Fanatische）、誇張型（Geltungssuchtige）、心情易變型（Stimmungslabile）、爆發型（Explosive）、無情型（Gemutlose）、缺乏意志型（Willenslose）、無力型（Asthenische）。

²⁸ 關於魯智深等水滸人物性格介紹，可參考王增斌、廉鋼生：〈虛負凌雲萬丈才——水滸傳的人物〉，《明清小說考論——胭脂神俠中的百戀人生》（太原：山西高校聯合出版社，1995年10月），頁49-56。

因為何，可以肯定的是，這些好漢並不以刺青為恥，而是將刺青行為視為對傳統價值觀、道德觀的一種挑戰。²⁹這挑戰也就是社會心理學家 Edward Tones 所認為的：「在人的自我顯示的目標背後還有另外一個動機——在社會互動過程中的能力的獲得」、「人們總是試著通過自我顯示來維持和改善自己的社會能力，以便更好地完成社會目標」³⁰，筆者以為刺青明志者的動機何嘗不是如此。其心理活動，在於向別人宣揚力量的來源，加強個人尚武強壯的特質；或是透過一個產生疼痛的儀式，用以掩飾心理上的自卑，證明自身價值，或以忍耐的過程，完成對自我的期許。

反觀金印，與刺青不類，重在羞辱警惕。故梁山好漢一旦有了金印後，無不心生羞愧，想盡辦法遮掩。如楊志身為將門之後，卻遭刺配，故深感慚愧；武松則以行者打扮遮蓋臉上金印；而在百二十回《水滸傳》中的宋江則因招安，而請神醫除掉臉上金印。由於金印者面目已非原貌，故無顏返回原籍，更遑論改頭換面，故最終成為流民，或入山為寇。這一點，統治階級是清楚的，因此，「刺面之法，專處情犯凶蠹，而其他偶麗於罪，皆得全其面目，知所顧藉，可以自新。」³¹然而此項規定似乎不適用於水滸人物身上，《水滸》好漢所犯皆重，因此遭面上刺字，唯有披下頭髮才能遮住；又一般男子束髮於頂，故一旦面上刺字，即為終身羞辱。³²

總結來說，刺青者的心理因素其實是比較複雜，主要的由於原始的自我美化意識作用。金印則是身體記號的殘酷發展，用作懲罰罪犯的手段，所留下的是恥辱的標記，既給犯罪者造成精神的壓力，也對其他人起著警誡和震懾的作用。刺青和金印目的雖然不同，但都是人類社會文化心態的反映。

四、身體記號之意涵

(一)身份的判準

就刺青者而言，由於在心理層次上抗拒社會傳統，因此也常成為幫會，甚至集結成流氓集團。身體記號能使他們展現自我有如神助，欺壓良善也非難事，如《水滸傳》中人物的道德觀念便侷限於他們自身所建構出的梁山天地中，在周遭氛圍的反面評價下，他們為與世俗、大眾、官府對立的一群，身體記號對於個人來說，彷彿是流氓集團的一種宣誓。

至於金印則更顯而易見，從主流社會的角度來看，金印鐫刻在人的身上，是一種懲罰性的印記，這個疤痕的意義有明顯報復性羞辱的意味，但卻在邊緣社會的好漢界域中成了勳章式的戳記，不是重刑犯就沒有金印，沒有金印，就不是頂級好漢。在眾多群聚於山泊水寨的好漢中，梁山第一代領袖王倫，遭有金印的林沖火拼掉，並在他力薦下，推舉出第二代領袖晁蓋；晁蓋死於曾頭市之役後，群龍無首之際，立刻接手領導且將梁山規模推向極致的宋江，頭額之上亦有金印。是故，「金印」在梁山群雄中，成為一種成長的印記，不但象徵當事人有叛離主流社會的勇氣，更是肩負挑戰不公不義的世俗「常道」，實踐「替天行道」終極價值的領袖標章。³³

由水滸英雄的身體記號來對其身份加以判準，發現結果雖不為同一類之人，然

²⁹ 相關資料可參考王萬盈：〈論唐宋時期的刺青習俗〉，《西北師大學報》（社會科學版）第40卷第5期，2003年9月，頁64-69。

³⁰ 參考許鋒：《社會心理學》（經濟日報出版社，2001年），頁110。此外，又如楊鑫輝在《中國心理學思想史》（南昌：江西出版社，1994年8月，頁187）所提的：「個體在社會影響下，吸收社會的文化，成為適合社會要求的社會成員。」

³¹ 見〔元〕脫脫：《宋史·刑法志三》（台北：藝文印書館，據清乾隆武英殿本刊行），卷201。

³² 相關資料可見尚園子、陳維禮：《宋元生活掠影》（瀋陽：瀋陽出版社，2001年11月），〈宋代的文身與刺字〉，頁142-146。

³³ 以上申論乃引用審查人意見，特此申謝。

其共同點皆是不為主流社會所重視。由於社會的分層³⁴，使他們成為社會階層的邊緣人物，因此，他們對於傳統社會的反叛與革命的行動，也就成為必然的結果了。

(二)個性的展現

金印是無法選擇的，所記載者為刺配地點，毫無個人特色可言，所能呈現的僅為與官府抗衡的結果，或可推測其個性是處世不夠細密，甚或思慮不周、衝動行事，在一定的程度上確實也能表現自我個性。至於刺青者則可以具體的身體記號展現其抽象個性，甚或人物形象。

金聖嘆認為，「史進、魯達、燕青，遍身花繡，各有意義」；而阮小五胸前「青鬱鬱一個豹子」、「蓋寓言胸中有一段壘塊」；至於史進，金聖嘆批道：「一部書一百單八人，而為頭先敘史進，作者蓋自許其書進於史也。九紋龍之號，亦作者自贊其書也。」，據金氏之言，史進文身則隱括「國族圖騰」的暗示，而觀史進之行，除氣死其母、結交群盜外，更醉於妓女李睡蘭，毫無龍之英姿，或可將史進身上的九紋龍視為「龍入薄山淺水，寓英雄之困也，國之危也。」³⁵之深層寓意，或因該刺青圖案為史公授意，而以物性轉移觀念為認知傾向，盼其能如人中之龍。至於魯達一身花繡，清代曾篤慶《水滸擷萃》：「花和尚其花在背，蓋花開有時；花在背，謂背時也。」書中雖未描述詳細圖案，然由一片花繡可知其個性大刺刺，不拘小節，而其好打抱不平的個性與其常赤身打鬥形象恰不謀而合。至於主事盧俊義的燕青，因其主請匠人將其刺了一身花繡，也可見其對主人的服從，並從放冷箭救主等事更可看出燕青的忠心耿耿。此外，又如楊雄的暴虐形象則與一身藍靛花繡相為呼應，其武力施展的淋漓情節乃是於翠屏山殺害潘巧雲與丫環迎兒，不但將潘氏割舌，且從其心窩裏直割至小肚子下，取出心肝五臟，掛在松樹上³⁶，可謂殘忍至極。

以上所論，僅涉及《水滸》一書意涵，是非亦無法判準，乃見仁見智，然對於人物個性並未多加開展。實則就史進、魯達、燕青三人來說，皆有一身花繡，個性卻南轅北轍。至於解寶腿上的飛天夜叉，則其武力的象徵，尚武精神的展現。相同的，龔旺的一身虎斑也代表他對自我的期許，冀望虎之性能上其身，予其勇猛神力。與物性有所關涉者，則或為本身能力之不足，或個性上之缺憾，因此，期能通過刺青行為，對個性有補強之功。

(三)美感的關聯

刺青與金印兩者，雖然意義並不相同，心態也大相逕庭，然而，藉由「美感」與兩者的關聯探討，期能由具體圖象與抽象的美感概念做一聯繫。首先，就金印者來說，以文字作為墨刺的主體，並將其刻鏤在面部的顯眼之處，對於一般庶民而言，這樣的刑罰有著阻嚇的作用。畢竟，大多數的人並不希冀在身體上留下犯罪的烙印。因此，對於遭刺配之人來說，身體記號之於他們，並未有美感可言，徒然為恥辱之印記。

刺青則不同，文身行為的背後，有其審美觀以為憑依。只是，這種觀點的秉持者，常在身份的屬性上，帶有些許邊緣的氣味。他們或是遊走法網的「浮浪」、「遊

³⁴ 見〔美〕威廉·A·哈維蘭著，瞿鐵鵬、張金玉譯：《文化人類學》（上海：上海社會科學院，2006年1月，第十版），第十一章〈依性別、年齡、共同利益和階級形成的群體〉中提到社會分層：「分層社會(stratified society)基本上是分成兩個或兩個以上類別人群的社會，這些類別彼此之間有相對的高低等級之分。當我們把這樣一個層次或者階級的人與另一個層次或階級的人進行比較的時候，他們在權利、報酬、限制和義務等方面的差別就變得明顯了。」，頁332。

³⁵ 相關資料可參考寧稼雨：〈水滸傳寫文身的用意何在〉，《漫話水滸傳》（石家莊：河北人民出版社，2000年8月），頁158-160。

³⁶ 參考〔明〕施耐庵：《水滸傳》（台北：桂冠出版社，1994年4月，再版），第四十五回「病關索大鬧翠屏山，拼命三火燒祝家店」。

手」，或是縱橫沙場的「健兒」、「軍漢」，勇健是彼輩生存的必要條件，而肌刻入理的文身，則在視覺與感覺的層次上，為勇健提供一個展現的舞台。³⁷就梁山好漢來說，刺青外的健美身體更能有效的突顯，由於刺青圖樣的引人注目，使他人能夠將勇健身體與美感圖樣加以聯繫。不同的刺青圖樣也造成不同的美感：史進身上的九條龍，或是魯達、楊雄身上的花繡，以及阮小五胸前的青鬱鬱豹子圖樣、龔旺的虎斑之紋皆為雄強之美；解寶腿上的飛天夜叉則帶有奇詭、靈異之美；至於燕青，在他身上，刺青行為則變成一種豔冶之美。

小說作者使用相當濃度的修辭，優化這個文身的想像，即便「容貌似海棠滋曉露，腰肢如楊柳裊東風。渾如閨苑瓊姬，絕勝桂宮仙姊」的李師師，卻也著迷於燕青的遍體花繡，是故益愈突顯燕青刺青之美。而且，這個文身恰好與花和尚背部花繡產生兩種不同的審美趣味：燕青是精緻之美，魯智深是粗獷之美，職是之故，同樣是刺青者，卻形成不同的美感表現，也使讀者在閱讀《水滸傳》故事時，能經由具體文字產生視覺美感與想像。

五、結論

對刺青與金印兩種身體記號而言，「身體髮膚，受之父母，不敢毀傷，孝之始也」³⁸之說已流於空談，今日人們更加強調對身體的自主權。同樣是對身體圖刻記號，金印因帶有羞辱、懲罰之意，故今日民主國家已不採用這種使人終生受辱的刑罰。刺青卻不然，在宋元以後的中國社會裡，刺青習俗一般只在非主流社會中流行，如江湖幫會、流氓團伙中。了解刺青之俗的原委後，再看《水滸傳》的描寫，就能對其藝術匠心有更深入的體會，更可了解《水滸傳》的人物系列呈現出與歷史演義小說判然有別的特色，即書中所頌揚的梁山泊一百單八將，都是宋徽宗統治時代官逼民反，外患頻仍這一典型環境中的典型人物。同時也暗示讀者，小說展示的是一個不守法度，以粗獷剽悍為美的非主流社會。³⁹而從這些文繡在身體上的圖案看來，毫無疑問的昭示小說作家在好漢們身上做記號，追求著與俗世不同的價值。

³⁷ 參考陳元朋：〈身體與花紋—傳統社會的文身習尚及其流變〉，台北：「健與美」的歷史研討會，1996年6月11-12日，頁2。以及孫一珍：《明代小說的藝術流變》（四川：四川文藝出版社，1996年10月），頁118。

³⁸ 《孝經》云：「身體髮膚，受之父母，不敢毀傷，孝之始也。立身行道，揚名於後世，以顯父母，孝之終也。夫孝，始於事親，中於事君終於立身。」

³⁹ 參考王同舟：〈水滸故事中的刺青習俗〉，《地煞天罡—水滸傳與民俗文化》（哈爾濱：黑龍江人民出版社，2003年5月），頁133-137。

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論《封神演義》呈現的儒道義理與小說之教

李建德*

摘要

成書於明代的神魔小說《封神演義》，其內容係兼採前代話本《武王伐紂平話》及當時民間流傳的各種商周戰爭故事，並加上作者豐富的想像力而成。全書以「天命」角度敘寫武王伐紂、太公封神之事，但因藝術手法不如說部「四大奇書」，歷來由文學方面所作的評論頗為低下。本文透過「同其情的理解」角度，對《封神演義》進行價值重估，探討書中對既有的儒家義理、道家思想、道教神譜的接受與改造，並反思該書「小說之教」對於中國、臺灣的道教與民間信仰所產生的影響。由是，吾人可知，就思想及對宗教信仰的影響層面而言，《封神演義》是一部不宜加以忽視的古典小說。

關鍵詞：《封神演義》、小說之教、道教思想、儒學、民間信仰

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Confucianism, Taoism and “Small-Talk Religion” of *Feng Shen Yan Yi* Chien-te Li *

Abstract

The fantasy novel *Feng Shen Yan Yi*, written during the Ming Dynasty and adapted from the Huaben novel *Wu Wang Fa Zhou Ping Hua*, fictionalized the folktales of Shang and Zhou war stories using rich imagination. This book recounts the stories of King Wu's crusade against King Zhou and *Investiture of the Gods* from the perspective of “fate”; however, its appraisal is much less favorable than the Four Great Masterpiece due to its artistic skills. From the view point of “empathetic understanding,” this paper reassesses the value of *Feng Shen Yan Yi*, discusses the reception and transformation of the existing Confucianism, Taoism and theogony of Taoism, and reflects on the effects of the “small-talk religion” on Taoism and folk religions in China and Taiwan. As a classical novel it is understood that the effects of *Feng Shen Yan Yi* on Chinese thought and religious beliefs cannot be underestimated.

Keywords: *Feng Shen Yan Yi*, small-talk religion, Taoism, Confucianism, folk religions

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前言

《封神演義》¹是一部根據元代講史話本《武王伐紂平話》、明代《列國志傳》及民間流傳的眾多商周戰爭故事改編而成的章回小說。全書以「成湯合滅、周室當興」²的天命觀念為最高指導原則，並採多線式的敘寫手法，對武王伐紂的史實加以改造。

全書卷首敘寫紂王前往女媧宮進香時，因作詩輕薄之舉，觸怒神靈，女媧遂指派千年妖狐等三妖惑亂紂王，助成周室革命。³狐妖殺死冀州侯蘇護之女妲己，並以其身分進宮後，屢次蠱惑紂王，做出炮烙、虺盆、酒池肉林……等許多倒行逆施之舉，導致臣民離心離德。在此同時，身為西方二百諸侯首領的西伯侯姬昌父子，則以民為本，施行仁政，故四海歸心，「三分天下有其二」。⁴而在人界之外，本應與世無爭、超脫一切紅塵俗事的群仙，也因為「神仙犯殺劫」的天數，由三教簽訂《封神榜》。⁵

此時，闡教門人姜子牙奉師命下山，起初食商之祿，但因紂王無道，勸諫不成後，遂遁居渭水，被姬昌禮聘為相。姬昌死後，次子姬發繼位，紂王屢次派兵征伐西岐。其間，闡、截二教的眾多門徒紛紛參與周、商兩陣營的戰事。最後，順應天數的周營得道多助，順利兵進朝歌，紂王因而自焚。武王克商建國，因勸諫紂王而被殺的忠臣義士及在戰役中捐軀的眾多亡靈，皆由姜子牙代替元始天尊分封神位而終。

然而，歷來對於《封神演義》這部神魔小說在文學史上的評價，始終頗為低下，認為遠遜於說部「四大奇書」之列。如早年的魯迅（1881～1936）在《中國小說史略》中所持論：

……（《封神演義》）似志在於演史，而侈談神怪，十九虛造，實不過假商周之爭，自寫幻想，較《水滸》固失之架空，方《西遊》又遜其雄肆，未有以鼎足視之者也。⁶

而劉大杰（1904～1977）亦云：

《封神傳》，演武王伐紂、姜太公封神事。……作者自然是根據舊本改編，再加以明代盛行的釋道神仙的穿插的一些民間傳說，……加上作者豐富的想象力，於是便成為一部虛幻奇異的神魔小說。……文字通順流利，曲折地反映了一定的社會生活，……但作者將政治和宗教鬭爭糾纏在一起，……削弱了主題思想。……書中也宣揚了宿命思想和宗教迷信，至於藝術技巧，則遠不如《水滸》與《西遊》。⁷

¹ 本文引用的《封神演義》版本，係採〔明〕陸西星撰，鍾伯敬評，楊宗瑩校注，繆天華校閱：《封神演義》（臺北：三民書局，2009年，二版），以下不另說明版本項。

² 《封神演義》第十五回〈崑崙山子牙下山〉，頁139。

³ 《封神演義》第一回〈紂王女媧宮進香〉，頁4-6。

⁴ 《封神演義》第九八回〈周武王鹿臺散財〉，頁958。此語原出《論語·泰伯》：「三分天下有其二，以服事殷。」參〔南宋〕朱熹撰：《四書章句集注》（北京：中華書局，1983年），頁108。

⁵ 《封神演義》第四七回〈公明輔佐聞太師〉，頁445「三教共議簽押封神榜」、「闡教道友犯了殺戒」。

⁶ 魯迅：《中國小說史略》（北京：人民文學出版社，1973年，《魯迅全集》本），第十八章〈明之神魔小說（下）〉，頁312-313。

⁷ 劉大杰：《中國文學發展史》（臺北：華正書局，2005年），下冊，第二六章〈《水滸傳》與明代

此後，中國眾多研究者亦以其左傾思想的「前理解」(vorverstandnis)，或因《封神演義》呈現「天命」、「天數」的敘寫⁸，而評之曰「通過解讀《封神演義》，……所謂天命觀，不過是荒誕無稽的神話，更是迷信與謊言，……是統治階級的意識型態偽裝，是強者、勝者的宣傳。」⁹或對書中「助紂為虐」的截教門人，投以近乎「翻案」、「平反」的論述，認為「這場被稱譽為『順民應天』、『成湯氣數已盡，周室天命當興』的殺戮戰場，又有什麼『道』、『義』可言呢？」¹⁰另一派學者則以索隱派的治學方法，將《封神演義》闡、截兩教的鬥法，附會為明代符籙、丹鼎兩派（即正一道與全真道）為爭奪道教正統而互相攻訐的縮影¹¹；或為證成己說而過度詮解，認為係清初秘密幫會間的鬥爭¹²；或為《封神演義》中的哪吒父子、西方教主之來源進行考證。¹³

此外，曾勤良教授將《封神演義》的研究視角關注到對臺灣民間信仰的影響¹⁴，有其先行貢獻；趙弘雅則以基督宗教的既有立場，批判《封神演義》與《西遊記》對臺灣民間信仰的影響¹⁵；李建武、尹桂香合撰的〈百年來《封神演義》研究評論〉¹⁶及曲曉紅的〈《封神演義》研究綜述〉¹⁷，則對歷來《封神演義》研究論文進行分類歸納與評述，而賴慧玲〈海峽兩岸「道教文學」研究資料（1926～2005）概況簡析〉¹⁸，在「道教小說研究」一類，亦收錄不少《封神演義》近八十年的論著目錄，皆具有一定的價值。

至於以《封神演義》撰成學位論文者，係由三十餘年前的沈淑芳《《封神演義》研究》¹⁹首開風氣，其後一度中斷。直到十餘年前，才又有論者分別由文學、思想、宗教、人物性格及心理等進路進行分析²⁰，論述成果斐然可觀，也為《封神演義》研

的小說》，頁 1174-1175。

⁸ 《封神演義》第三七回〈姜子牙一上崑崙〉，頁 339「吾今保武王，滅紂王，正應上天垂象。」

⁹ 魏文哲：〈天命觀：神話與謊言——論《封神演義》〉，《明清小說研究》2000 年 3 期，頁 158。

¹⁰ 才讓南杰：〈《封神演義》主題的再思考〉，《青海師範大學學報》（哲學社會科學版）2000 年 2 期（總 85 期），頁 88。

¹¹ 以闡教與截教分別代表明代的正一道與全真道者，如陳遼〈道教和《封神演義》〉，《吉林大學學報》1987 年 5 期，頁 72-77；以闡教與截教分別代表全真道與正一道者，如胡文輝〈《封神演義》的闡教和截教考〉，《學術研究》1990 年 2 期，頁 49-52；李建武〈再考《封神演義》的闡教和截教〉，《明清小說研究》2008 年 4 期，頁 281 則認為「闡教、截教是全真與正一混融的道教」。

¹² 衛聚賢：《《封神榜》故事探源》（香港：說文社，1960 年），下冊，頁 215-221。此書版本係採臺北天一影印社刊行之《封神演義故事探源》（臺北：天一影印，未題出版年，《中國古典小說研究資料彙編》本）

¹³ 對《封神演義》的李靖、哪吒父子來源進行考證，當以柳存仁教授所撰之〈昆沙門天王父子與中國小說之關係〉最早，收入氏著：《和風堂文集》（上海：上海古籍出版社，1991 年），頁 1045-1094；探討《封神演義》西方教主來源者，則以日人山下一夫〈《封神演義》西方教主考〉，《圓光佛學學報》3 期（1999 年 2 月），頁 241-259 較為詳實。

¹⁴ 曾勤良：《臺灣民間信仰與封神演義之比較研究》（臺北：華正書局，1985 年，再版）

¹⁵ 趙弘雅：《怪力亂神的民間信仰：《封神榜》與《西遊記》角色神格化之批判》（臺北：前衛出版社，2002 年）

¹⁶ 李建武、尹桂香：〈百年來《封神演義》研究評論〉，《中南民族大學學報》（人文社會科學版）27 卷 4 期（2007 年 7 月），頁 159-163。

¹⁷ 曲曉紅：〈《封神演義》研究綜述〉，《銅陵學院學報》2007 年 5 期，頁 79-82。

¹⁸ 賴慧玲：〈海峽兩岸「道教文學」研究資料（1926～2005）概況簡析〉，《成大宗教與文化學報》8 期（2007 年 8 月），頁 97-128。

¹⁹ 沈淑芳：《《封神演義》研究》（臺北：東吳大學中國文學研究所碩士論文，1979 年）

²⁰ 在這方面的研究成果，包括林朝全《《封神演義》的多重至上神研究》（臺北：淡江大學中國文學系碩士論文，1996 年），蕭鳳嫻《從思維方式剖析《封神演義》中封神的意義》（臺北：國立臺灣師範大學國文學系碩士論文，1997 年），朱秋鳳《《封神演義》神仙譜系研究》（臺北：國立臺

究注入一股新的源泉。

平心而論，《封神演義》與《西遊記》、《水滸傳》等書，同樣脫胎自前代話本，皆非拔空自出，而其藝術手法也互有高低。然歷來以文學性或自身左傾思想為出發點的研究者、評論者，多認為《封神演義》的文學價值方面較《西遊記》為劣，思想意涵則遠遜「反帝」、「反封建」的《水滸傳》。不過，筆者認為，吾人若能以「同其情的理解」之態度，對《封神演義》進行價值重估，應能有另一種體會。因此，筆者先歸納歷來對《封神演義》作者及其撰作年代的探討，再論述《封神演義》作者以接受者（recipient）的角度，對當時的儒家義理、道家思想、道教神譜的接受與改造，此外，筆者因在日常講學、從事田野調查時，見到《封神演義》、《西遊記》等神魔小說對明代以降的民間信仰產生「小說之教」，遂對此現象進行反思，期以個人在近世道教思想、臺灣道教研究的管見，對《封神演義》的論述略作補白。

一、《封神演義》的作者及其撰作年代

吾人倘欲進行《封神演義》思想方面的論述，宜先對其作者及撰作年代，有一較清晰之理解，方能不流於游談無根。而關於《封神演義》作者的探討，歷來共有五種較重要的說法，分別為明代一名宿、王世貞、許仲琳、陸西星及清初假託明人所作，其中，又以許仲琳、陸西星二說較為大眾所熟知並接受。筆者先臚列於次，再將其餘諸說之可商榷處附述於後。

（一）許仲琳所撰：近人孫楷第（1898～1989）在《中國通俗小說書目》卷五記載：

《封神演義》作者，明以來有二說：一云許仲琳撰，見明舒載陽刊本《封神演義》卷二，題云「鍾山逸叟許仲琳編輯」。魯迅先生有文記之。仲琳蓋南直隸應天府人，始末不詳。且全書惟此一卷有題，殊為可疑。²¹

孫氏於1932年在日本內閣文庫發現卷首有李雲翔作序的明刊本《封神演義》，而其卷二首葉刻有「鍾山逸叟許仲琳編輯」等字，故《封神演義》為許氏所撰之說，一時幾為大眾所接受。截至目前，仍有不少海內外學者或出版商認為許氏即《封神演義》的作者。然而，近人柳存仁（1917～2009）教授在《佛道影響中國小說考》中，曾對該說進行辯證，認為明代「編輯」二字的慣例，並不代表即是作者。²²因此，視許氏為《封神》作者之說，亦不完全可靠。

（二）陸西星所撰：孫氏《中國通俗小說書目》除記載前揭許氏所撰之說外，又載「一云陸長庚撰，余始於石印本《傳奇彙考》發見之。……按長庚乃陸西星字。……此陸西星撰《封神演義》說頗可注意，惜不言所據耳。」²³因此，陸西星（1520～1606）撰《封神演義》的說法，遂亦被一部分學者及書商接受，如柳存仁、楊宗瑩等人皆持此論。

就筆者所知，陸氏少業儒，然屢試不第，遂棄儒從道，後自稱受到呂洞賓（798？

灣師範大學國文學系碩士論文，1998年），江麗雯《〈封神演義〉人物塑造研究》（彰化：國立彰化師範大學國文學系碩士論文，2003年），林瑞卿《佛教毘沙門天王與那吒研究》（新竹：玄奘大學宗教學系碩士論文，2005年），梁淑惠《〈封神演義〉人物源流及其所呈現的社會意涵》（高雄：國立高雄師範大學回流中文碩士班碩士論文，2007年）等學位論文。

²¹ 孫楷第：《中國通俗小說書目》（臺北：鳳凰出版社，1974年），頁171。

²² 轉引自沈淑芳：〈封神演義的作者與版本〉，收入《〈封神演義〉雜考》，頁21右-22左。

²³ 孫楷第：《中國通俗小說書目》，頁171。

～862？）的「神啟」，以扶乩等「密契」（mysticism）經驗，成為內丹東派始祖，著作頗豐，現多收入《藏外道書》、《中華續道藏初輯》之中。²⁴然而，除《傳奇彙考》外，仍缺乏任何以陸氏為《封神演義》作者的記載，故此說亦非完全可信。

（三）明代一名宿所撰：魯迅《中國小說史略》引清梁章鉅（1775～1849）《浪跡續談》卷六載「《封神傳》一書是前明一名宿所撰，意欲與《西遊記》、《水滸傳》鼎立而三。因偶讀《尚書·武成篇》『唯爾有神，尚克相予』語，衍成此傳。」²⁵

然而，這種說法固有清人筆記足以佐證，但近乎傳奇式的撰作動機頗為神秘，故雖流傳日久，未嘗有人步趨該說。

（四）王世貞所撰：近人蔣瑞藻（1891～1929）在《小說枝談》書中引用《缺名筆記》所云：

俗傳王弼州作《金瓶梅》，為朝廷所知，令進呈御覽。弼州懼，一夜而成《封神演義》，以此代彼，因之頭白。此與云王實父撰《西廂》，至「碧雲天黃花地」一曲，思竭而死，同一無稽。然《封神》一書，實類倉卒而就者。²⁶

《缺名筆記》指出部分清人一度以王世貞（1526～1590）化名「蘭陵笑笑生」撰《金瓶梅》的說法，因被密報朝廷，遂懼而另撰《封神演義》瓜代。該書作者認為，此說與民間傳說王實甫（1260～1336）嘔心瀝血撰作《西廂記》而死一樣無稽，不足取。故王世貞撰《封神演義》亦僅能聊備一說，未發揮太大的影響力。

（五）清人假托明人撰：此說見諸衛聚賢《封神榜故事探源》，衛氏提出「白虎殿停喪是明末現象」、「幫會鬥爭」、「西方教主的參加」等十餘條論點²⁷，認為《封神演義》是清初支持吳三桂陣營者因反清而假托明人撰成。然而，衛氏部分論點過於附會，甚至有倒果為因之舉，故歷來學者多不認為此說可以成立。

除了上述說法外，尚有「劉伯溫作」、「李雲翔作」等說²⁸，但並未獲得大多數研究者的承認，在學界亦未發生影響力，故目前仍以許仲琳、陸西星為《封神演義》作者的二種說法，最為大眾所接受。筆者以為《封神演義》的作者固然已無法考證，但書中如第六七回〈姜子牙金臺拜將〉姜子牙所撰的〈出師表〉及散宜生、周公旦、召公奭三人宣讀的祝文內容²⁹，多引用自《書經》的〈泰誓〉、〈牧誓〉二篇³⁰，且《封神演義》的韻文書寫極多，足見經過文人改寫，且應非出自一人之手，至於陸、許二氏及李雲翔等人，可能皆曾對當時民間流傳的眾多《封神》故事進行改編與整理，

²⁴ 陸西星所撰《南華真經副墨》收入胡道靜等主編：《藏外道書》（成都：巴蜀書社，1994年）第二冊；《方壺外史》收入《藏外道書》第五冊。陸氏所編《純陽先生詩集》、《呂祖年譜海山奇遇》收入龔鵬程、陳廖安主編：《中華續道藏初輯》（臺北：新文豐出版股份有限公司，1999年）第十九冊。

²⁵ 魯迅：《中國小說史略》，頁312。

²⁶ 蔣瑞藻：《小說枝談》，收入不題撰人：《〈封神演義〉雜考》（臺北：天一影印，未題出版年，《中國古典小說研究資料彙編》本），頁8右。

²⁷ 衛聚賢：《〈封神榜〉故事探源》，頁201-230。

²⁸ 「劉伯溫所撰」之說，出自宋芸子〈《宋評封神演義》序〉，收入丁錫根編著：《中國歷代小說序跋集》（北京：人民文學出版社，1996年），下冊，頁1408-1409。該說認為《封神演義》是劉伯溫為向施耐庵炫才的急就章之作；「李雲翔所撰」說，出自同書，頁1400-1401。李雲翔〈《鍾伯敬評封神演義》序〉，然該序所言「不愧續貂」，係指李氏補作每回卷末的批評之語，實不宜視為《封神演義》之作者。

²⁹ 《封神演義》第六七回〈姜子牙金臺拜將〉，頁637、頁641-643。

³⁰ 題〔漢〕孔安國傳，〔唐〕孔穎達等疏：《尚書正義》，卷十一〈泰誓〉、〈牧誓〉，收入〔清〕阮元校刻：《十三經注疏》（北京：中華書局，2003年），上冊，頁179下-頁183下。

最後才由書商舒冲甫刊刻印行。³¹

至於《封神演義》的撰作年代問題，由於《封神演義》係脫胎於元代話本《武王伐紂平話》及明人余邵魚所編的《列國志傳》卷一，且孫楷第曾見海外所藏的明刊本《封神演義》，故《封神》成書於明代，殆無疑義。魯迅又云「張無咎作〈《平妖傳》序〉，已及《封神》，是殆成於隆慶、萬曆間」³²之說，兼以清人視陸西星為《封神演義》作者及書中特崇道教的背景，也可為《封神演義》成書進行斷限，至少需晚於近乎迷信佞道的世宗嘉靖朝（1522～1567）及陸氏活躍時期，故《封神演義》的撰作年代，應可推定為穆宗隆慶（1567～1572）至神宗萬曆（1573～1619）年間。

二、《封神演義》對儒學義理的接受與改變

早在戰國時期，儒者面對武王伐紂的史事，即以儒家本位的觀念，作出不同的解釋。如讀《書·武成》時，孟子針對經文「血流漂杵」³³的記載，便認為「盡信《書》，則不如無《書》。吾於〈武成〉，取二、三策而已矣。仁人無敵於天下，以至仁伐至不仁，而何其血之流杵也？」³⁴至於答齊宣王問湯、武革命之事時，孟子又云「賊仁者，謂之賊；賊義者，謂之殘。殘賊之人，謂之一夫。聞誅一夫紂矣，未聞弑君也。」³⁵正因為孟子一本其民貴君輕的思想，重新詮解武王伐紂之舉，故《孟子》在明初一度受到朝廷禁錮，除刪削其中不利統治者的言論，另頒《孟子節文》之外，孟子更曾被移出孔廟的祭享之列。³⁶

而自漢武帝獨尊儒術開始，儒學從此影響中國人二千餘年的文化心理層面，到元仁宗皇慶二年（1313）明定以朱子《四書章句集注》為科舉定本後，直祧思孟學派「千四百不傳之秘」的宋代新儒學，更成為元明清三代多數士人的思想基調。《封神演義》成書於明代，確切的作者雖仍眾說紛紜，然書中的部分人物形象，應可窺知是本書整理者對當時儒學的接受。³⁷而在人物對話方面，亦有如此的現象。試觀第六五回〈殷郊岐山受犁鋤〉中，闡教門人廣成子欲向西方教主準提道人借取「青蓮寶色旗」時的對話：

廣成子曰：「道雖二門，其理合一。以人心合天道，豈得有兩？……古語云：『金丹舍利同仁義，三教元來是一家。』」³⁸

³¹ 紀德君在〈明清神魔小說編創方式及其演變〉一文亦有相關論點，紀氏持論「李雲翔則受書坊主舒冲甫所托，續補、修訂了《封神演義》。」並認為明代神魔小說多為書坊主與下層文人的聯手炮製。詳參氏撰：〈明清神魔小說編創方式及其演變〉，《學術研究》2009年6期，頁143。

³² 魯迅：《中國小說史略》，頁312。

³³ 《尚書正義》卷十一〈武成〉：「前徒倒戈攻于後，以北，血流漂杵。」參《十三經注疏》，上冊，頁185上。

³⁴ 《孟子集注》卷十四〈盡心下〉，收入《四書章句集注》，頁364-365。

³⁵ 同前注，卷二〈梁惠王下〉，頁221。

³⁶ 《明史》卷五十〈禮志四·先師孔子〉載：「（洪武）五年罷孟子配享。踰年，帝曰：『孟子辨異端，闢邪說，發明孔子之道，配享如故。』」又同書卷一三九〈錢唐列傳〉載：「帝嘗覽《孟子》，至『草芥』、『寇讎』語，謂非臣子所宜言，議罷其配享，詔有諫者以大不敬論。（錢）唐抗疏入諫曰：『臣為孟軻死，死有餘榮。』時廷臣無不為唐危。帝鑒其誠懇，不之罪。孟子配享亦旋復。然卒命儒臣修《孟子節文》云。」參〔清〕張廷玉等撰：《明史》（北京：中華書局，1974年），第五冊，頁1296；第十三冊，頁3982。

³⁷ 如中國學者李亦輝、李秀萍：〈論《封神演義》中文王、武王形象的理學文化象徵〉，《學術交流》142期（2006年1月），頁175-178。該文便認為《封神演義》中的文、武二王，迥異於史籍或《武王伐紂平話》、《列國志傳》的記載，明顯係受到理學的影響。

³⁸ 《封神演義》第六五回〈殷郊岐山受犁鋤〉，頁619-620。

表面看來，這段話係呈現明代「三教同源」的思想基調。然而，「三教同源」之說並非始於明代，早在宋金之際的全真道始祖王嘉（1112～1170），便提倡「儒門釋戶道相通，三教從來一祖風。」³⁹而其思想根源，更與宋儒「理一分殊」若合符轍。同樣地，第八四回〈子牙兵進臨潼關〉中「一道傳三友」的鴻鈞道人，亦是《封神演義》對形上宇宙本體「道」的具象化，而老子、元始、通天三徒，則象徵因各有氣稟而產生分殊之判的萬事萬物，故三人心性、道法、修養工夫亦有高下之分。這種敘寫方式，實已暗藏對宋儒「理一分殊」底蘊的接受。

其次，儒家自古即有人神崇拜的禮制。如《禮記·祭法》云「法施於民則祀之，以死勤事則祀之，以勞定國則祀之，能禦大菑則祀之，能捍大患則祀之。」⁴⁰認為凡有功於民的先聖先賢，皆應納入祭祀的範圍，而孔子稱譽的鄭國賢大夫子產，更提出「鬼有所歸，乃不為厲」⁴¹的觀點。《封神演義》繼承這種「盡忠死事，應得祭享」之論，並在書中多有申說。如〈周武王鹿臺散財〉、〈姜子牙歸國封神〉二回，姜子牙分別對武王及元始天尊如此表述：

老臣奉天征討，滅紂興周，陛下大事已定；只有屢年陣亡人仙，未受封職。……封贈眾人，使他各安其位，不致他悵悵無依耳。⁴²

弟子今日上山，拜見老師，特為請玉符敕命，將陣亡忠臣孝子，逢劫神仙，早早封其品位，毋令他遊魂無依，終日懸望。乞老師大發慈悲，速賜施行。⁴³

吾人所知，若未得到君權（monarchial power）或神權（divine right）的允諾⁴⁴，便對某一神靈立祠祭祀，即屬於「非其鬼而祭之」的「淫祀」範疇，官員得命人將廟宇拆除⁴⁵；若能得到君權或神權的冊封，則民間私祀的神靈，亦可因為「先賜廟額，後加封號」的方式，被納入朝廷祀典之列。⁴⁶而姜子牙在上揭引文透過向武王（君權）與元始天尊（神權）請命封神的舉動，除使「鬼有所歸」之外，更能體現儒家「崇德報功」的固有理念。

再者，《封神演義》中，引起紂王屢次派兵征討西岐的一大因素——黃飛虎，在目睹紂王設下炮烙酷刑、處死忠臣梅伯時，即引《孟子》「君之視臣如手足，則臣視君如腹心；君之視臣如土芥，則臣視君如寇讎」加以評論。⁴⁷後來，其妻賈氏不願受辱於紂王而墜摘星樓自盡，飛虎亦因僚屬黃明以「嫂嫂守貞潔，為夫名節，為子綱

³⁹ [金]王嘉：《重陽全真集》卷一，收入[明]張宇初等編纂：《正統道藏》（北京：文物出版社、上海：上海書店、天津：天津古籍出版社，聯合影印上海涵芬樓藏北京白雲觀所藏明刊本，1988年）太平部枝字號，第二五冊，頁693中。

⁴⁰ [漢]鄭玄注，[唐]孔穎達等疏：《禮記正義》卷四六〈祭法〉，《十三經注疏》，下冊，頁1590中。

⁴¹ [晉]杜預注，[唐]孔穎達等疏：《春秋左傳正義》卷，《十三經注疏》，下冊，頁2050上。

⁴² 《封神演義》第九八回〈周武王鹿臺散財〉，頁963。

⁴³ 《封神演義》第九九回〈姜子牙歸國封神〉，頁967。

⁴⁴ 在古代的中國，皇帝以「天子」自居，代表君權與神權的雙重身分。

⁴⁵ 例如身為王學俊昆的清儒湯斌（1627～1697）任江蘇巡撫時，即強力查禁、拆毀屬於「非其所祭而祭之」的「五通神」祠廟。

⁴⁶ 例如筆者近年參與兩岸學者合編的《媽祖文化志》團隊，在研究、調查的過程中，便得知原為福建沿海漁村人氏，於生前、死後屢有靈驗事蹟出現的「媽祖」林默娘（960～987？），在宋代便因屢顯靈驗而受賜廟額、加贈封號，由民眾「私祭」進入朝廷的「正祀」行列，並受到宋至清歷朝皇帝的加封，其地位逐漸提升到「天妃」、「天后」的神格，甚至成為臺閩民眾心中的「大母神」——「天上聖母」。

⁴⁷ 《封神演義》第六回〈紂王無道造炮烙〉，頁54。

常，故此墜樓而死」的宋儒立場之語勸說，遂決定舉家投奔周營。⁴⁸由是，吾人亦可發現《封神演義》亦接受宋儒「餓死事小，失節事大」⁴⁹的立場。

此外，《封神演義》亦對繼承漢儒「三綱」之說⁵⁰而趨近僵化的禮教制度有所批判。這一點反映在本為天界「靈珠子」的哪吒，在其師太乙真人以蓮花化身、重造軀體之後，欲尋其俗世父親李靖報「毀廟」之仇的情節。⁵¹而申公豹與紂王二子殷郊、殷洪針對「扶周滅紂」與「保商伐周」之間的對話，亦體現身處儒家禮教因與國家機器結合而幾近僵化時，對於社會公理與倫常人情孰輕孰重的思考：

殷洪曰：「奉師命往西岐，助武王伐紂。」道人正色言曰：「豈有此理！紂王是你甚麼人？」洪曰：「是弟子之父。」道人大喝一聲曰：「世間豈有子助他人，反伐父親之理！」殷洪曰：「紂王無道，天下叛之。今以天之所順，行天之罰，天必順之；雖有孝子慈孫，不能改其愆尤。」申公豹笑曰：「你乃愚迷之人，執一之夫，不知大義。你乃成湯苗裔，雖紂王無道，無子伐父之理。……忤逆滅倫，為天下萬世之不肖，未有若殿下之甚者！」⁵²

道人笑曰：「我問你，紂王是你甚麼人？」殷郊答曰：「是吾父王。」道人曰：「恰又來！世間那有子助外人而伐父之理！此乃亂倫忤逆之說。……」殷郊答曰：「老師之言雖是，奈天數已定，吾父無道，天命人心已離。周主當興，吾何敢逆天哉！」……申公豹曰：「殿下有所不知。吾聞有德不滅人之彝倫，不戕人之天性，不妄殺無辜，不矜功自伐。殿下之父親固得罪于天下，可與為讎。……今殿下忘手足而事讎敵，吾為殿下不取也。」⁵³

殷郊兄弟本欲斬殺妲己，為母后姜氏報仇，險被泯絕人倫的紂王斬首，所幸為闡教仙人赤精子、廣成子所救，送至仙山學藝。後殷洪、殷郊先後奉師命下山助周滅紂，然闡教叛徒申公豹卻於半途阻止。殷氏兄弟起初以紂王無道，天數、民心在周為由，反映出順應公理的態度，而申公豹則以人倫至親的角度為紂王辯護，認為「以子伐父」是世間極忤逆不肖之舉。最後，殷氏兄弟終被申公豹說服，並應驗自己所發的誓言而死。平心而論，先秦儒家固然有「事父母幾諫。見志不從，又敬不違，勞而不怨」⁵⁴之語，但後世部分儒者為上位者張軍，將統治者視為萬民父母，過分擴張其說，遂使「天下無不是的父母」、「天下無不是的統治者」，禮教制度也就益趨僵化。

由於《封神演義》所處之世，正面臨朱明君權益張而日漸昏庸的時代，書中雖亦反映出對先秦儒家民本思想、崇德報功觀念的繼承，也體現對宋儒「理一分殊」、

⁴⁸ 《封神演義》第三十回〈周紀激反武成王〉，頁 281。

⁴⁹ 〔宋〕程顥、程頤撰：《河南程氏遺書》，卷二二下，收入王孝魚點校：《二程集》（北京：中華書局，2004 年，二版），上冊，頁 301。

⁵⁰ 今日吾人習見的「三綱」之說，係出自漢儒之手。如董仲舒《春秋繁露·基義》云：「君臣父子夫婦之義，皆取諸陰陽之道。君為陽，臣為陰；父為陽，子為陰；夫為陽，妻為陰。」見〔清〕蘇輿撰，鐘哲點校：《春秋繁露義證》（北京：中華書局，1992 年），頁 350。而漢代緯書《禮緯含文嘉》更將三綱詳細指涉為「君為臣綱，父為子綱，夫為妻綱。」見〔日〕安居香山、中村璋八輯：《緯書集成》（石家莊：河北人民出版社，1994 年），頁 499。但是，需聲明的是，漢儒雖持前揭「三綱」論點，並不代表他們承認身為君主、父親、丈夫者的權威，而是強調前者應以身作則，成為後者的取法對象。

⁵¹ 《封神演義》第十四回〈哪吒現蓮花化身〉，頁 132-137。

⁵² 《封神演義》第五九回〈殷洪下山收四將〉，頁 563。

⁵³ 《封神演義》第六三回〈申公豹說反殷郊〉，頁 601。

⁵⁴ 《論語·里仁》，《四書章句集注》，頁 73。

嚴守貞節觀念的接受。然而，方是時，上位者屢次委政奸黨、巨閹，民間遂藉由小說的神魔之筆，發出知識分子極欲改革僵化體制的聲音，因此，王平〈明代儒學的嬗替與小說的流變〉即認為《封神演義》反映泰州學派衝破道德名教樊籬的色彩⁵⁵，實不失為一擲地有聲之論。

三、《封神演義》對道家、道教的繼承與改造

在《封神演義》的研究成果中，前行論者已提出「崇道」、「尊道抑釋」及「三教合流」等論點，頗為可貴。然而，吾人所知，除了主流的儒學外，作為中國根柢及民族宗教的道教⁵⁶，亦有其可觀之處。《封神演義》雖屬說部的文學作品，然斯書既充滿崇道的色彩，吾人更應思考是否有繼承道家、道教的思想基調？作者或作者群、整理者對於近世道教的修煉工夫與現況，是否也以一己之見提出改造？這也是吾人欲進行價值重估時的必要課題之一。

首先，試觀第五回〈雲中子進劍除妖〉雲中子答紂王所問之語：

但觀三教，惟道至尊。上不朝於于天子，下不謁于於公卿。避樊籠而隱跡，脫俗網以修真。樂林泉兮絕名絕利，隱巖谷兮忘辱忘榮。……遇仙客兮則求玄問道，會道友兮則詩酒談文。笑奢華而濁富，樂自在之清貧。無一毫之罣礙，無半點之牽纏。或三三而參玄論道，或兩兩而究古談今。究古談今兮歎前朝之興廢，參玄論道兮究性命之根因。恁寒暑之更變，隨烏兔之逡巡。……闡道法，揚太上之正教；書符籙，除人世之妖氛。……運陰陽而煉性，養水火以凝胎。二八陰消兮若恍若惚，三九陽長兮如杳如冥。按四時而採取，煉九轉而丹成。跨青鸞直沖紫府，騎白鶴遊遍玉京。參乾坤之妙用，表道德之慇懃。比儒者兮官高職顯，富貴浮雲；比截教兮五刑道術，正果難成。但談三教，惟道獨尊。⁵⁷

李建武已證明此段語句脫胎自元代全真道士彭致中《鳴鶴餘音》的〈尊道賦〉，然其論述係著眼於「闡教」一詞的文獻探討，對該賦的論述則未或俱全。⁵⁸筆者覆覈《鳴鶴餘音》原典所載，該賦係宋仁宗御撰，然仁宗朝時，全真道尚未形成，可見賦中歌頌的道教，當係統論先秦「避樊籠而隱跡，脫俗網以修真」的道家及近世兼採步罡符籙、內丹煉養而言之道教宗教，《封神演義》作者引用〈尊道賦〉作為對闡教的描寫，實已接受了道家、道教一部分的固有觀點。

再者，《封神演義》的部分情節，也繼承道教自魏晉以來的「抑佛」觀點⁵⁹，如

⁵⁵ 王平：〈明代儒學的嬗替與小說的流變〉，《文學評論》2008年1期，頁150-151。

⁵⁶ 《魯迅全集》卷九：「中國根柢全在道教。」（北京：人民文學出版社，1958年），頁285。轉引自卿希泰：〈重溫魯迅先生「中國根柢全在道教」的科學論斷〉，《道教文化與現代社會生活研究》（成都：巴蜀書社，2007年），頁123-134。

⁵⁷ 《封神演義》第五回〈雲中子進劍除妖〉，頁41-42。

⁵⁸ 李建武：〈再考《封神演義》的闡教和截教〉，頁288。案：《鳴鶴餘音》卷九〈尊道賦〉原文收入《正統道藏》太玄部隨字號，第二四冊，頁307上-頁307中。《封神演義》該回所引文字，幾乎全部因襲自〈尊道賦〉，僅末段十餘字「比釋教兮寂滅為樂，豈脫凡塵」改為「比截教兮五刑道術，正果難成」等語。

⁵⁹ 道教的抑佛現象頗多，茲略舉數端，如西晉道士王浮撰《老子化胡經》，言老子出函關至印度，度化釋迦事；南宋道士蕭公瑾《地祇上將溫太保傳》云：「此地眾生，皆背道向佛之人，天道惡之。……（吳）道顯曰：『佛非正道，而太保何不滅之？』（溫）瓊曰：『佛有大覺之功，一念眾生為善。佛有蔽邪之罪，一本慈悲為心。故太上留此教以化愚民。』（《正統道藏》洞神部譜籙類孝字號，

闡教十二門人中的懼留孫、文殊廣法天尊、普賢真人、慈航真人，原為佛教的諸佛菩薩，但在第四四回〈子牙魂遊崑崙山〉裡，則被改寫為「後入釋成佛、後成文殊菩薩、普賢菩薩、觀世音大士。」⁶⁰至於書中西方的準提、接引二教主，則是以準提菩薩與阿彌陀佛為原型(archetype)。⁶¹其他如一百回〈武王封列國諸侯〉「肉身成聖」的李靖父子及韋護等五人，亦脫胎自印度的婆羅門原始神祇⁶²，皆呈現「佛自道出」的基本論點。有趣的是，在《封神演義》裡的闡教門人與西方教主間，表面雖是互敬互助的正向交往，迥異於往昔道教抑佛的基本立場，然卻借準提道人之口，說出「西方雖是極樂，其道何日得行於東南？不若借東南大教，兼行吾道，有何不可？」⁶³暗地點出佛教利用道教之便而傳教的宗教史實。

然而，《封神演義》對道家、道教的既有觀念亦有所否定。例如先秦道家原有「萬物流轉，道通為一」⁶⁴之說，主張萬物皆是「道」的體現，亦皆具有道性。《封神演義》則持反論，如截教的通天教主門下，除聞仲、趙公明兄妹、金鰲島十天君等部分修道人之外，其餘的龜靈聖母、羽翼仙、烏雲仙、虯首仙、靈牙仙、金光仙等，皆由動物修成人身。⁶⁵在大會「萬仙陣」時，闡教門下的黃龍真人即表示「截教門中一意濫傳，遍及匪類，真是可惜工夫，苦勞心力，徒費精神。不知性命雙修，枉了一生作用，不能免生死輪迴之苦，良可悲也！」⁶⁶駁斥先秦道家「道通為一」與原始道教(pre-Taoism)、薩滿信仰(shamanism)「萬物有靈」的說法。等到虯首仙、靈牙仙現出原形之後，身為闡教教主的老子與元始天尊，亦說了同一理路的言論：

老子指與通天教主看，曰：「你的門下多有此等之物，你還要自逞道德清高，真是可笑！」

元始笑曰：「二位道兄，似這樣東西，如何也要成正果？真個好笑！」⁶⁷

由於以披毛帶角之輩修成人身的截教徒，多採取扶商保紂的立場，不能順應「成湯合滅，周室當興」的天命、天數，故闡教從上到下咸認為渠等枉稱修道人，而不明天命所歸的截教門人，在《封神演義》作者的思考邏輯中，自然也就不能免除生死輪迴之苦，遑論修成正果了。

其次，《封神演義》對於道教的既有神譜進行大幅度的改造。最明顯的例子，即是貴為道教最高尊神「三清道祖」的元始天尊與道德天尊(民間多稱之為太上老君)，

第十八冊，頁93上)等。然佛教傳入中國後，亦屢次造作經典，並利用統治者的迷信而貶抑道教與儒家，例如創造「本地垂跡」的說法，將老子、孔子、顏回皆視為釋迦弟子，將玄武神、北斗星改為妙見菩薩、七佛八菩薩，甚至將關公改為佛教的護法，宣稱媽祖及陳靖姑為觀音寶血、指甲化身等，其餘相關辯證，詳參蕭登福：《道教與佛教》(臺北：東大圖書公司，2004年)。

⁶⁰ 《封神演義》第四四回〈子牙魂遊崑崙山〉，頁415-416。

⁶¹ 詳參〔日〕山下一夫：〈《封神演義》西方教主考〉，《圓光佛學學報》3期(1999年2月)，頁241-259。

⁶² 《封神演義》第一百回〈武王封列國諸侯〉，頁984-985。李靖的原型係婆羅門信仰的毗沙門天，金吒脫胎自婆羅門信仰的軍吒利，哪吒的原型亦來自婆羅門信仰，韋護的原型則是婆羅門的韋馱天，僅木吒未能找出其相對應的原型。

⁶³ 《封神演義》第六七回〈殷郊岐山受犁鋤〉，頁620。

⁶⁴ 《莊子·知北遊》：「萬物一也，……通天下氣耳」，參〔清〕郭慶藩撰、王孝魚點校：《莊子集釋》(北京：中華書局，2006年)，頁733。

⁶⁵ 龜靈聖母為龜，羽翼仙為大鵬鳥，烏雲仙為鰲魚，虯首仙為青獅，靈牙仙為白象，金光仙為金毛犼。

⁶⁶ 《封神演義》第八二回〈三教大會萬仙陣〉，頁794。

⁶⁷ 《封神演義》第八三回〈三大士收獅象犼〉，頁802、頁805。

原是道教思想中宇宙本體之「道」（元始祖炁）的具象化⁶⁸，但在《封神演義》中，老子卻搖身一變成為元始天尊的大師兄，其「三清」的身分，則改成老子一炁所化。⁶⁹元始與老子二人之上，更有啟蒙恩師「鴻鈞道人」存在。而在〈子牙兵取臨潼關〉一回，鴻鈞賜丹藥給老子、元始、通天三徒時所說的「若是先將念頭改，腹中丹發即時薨！」⁷⁰就更不可思議了。試想，身為宇宙本體的「道」，具備至高性與永恒性，是一種「即存有即活動」的狀態，要如何像形下萬物一般起心動念、服丹而薨呢？

再者，原型為瘟神的趙公明，在宋、元之際，先被道教奉為眾多護法神之一，並具有財神的功能⁷¹，而《封神演義》一方面接受民間以趙氏為財神的身分，一方面又將趙公明改造為修真成道而昧於天數的截教徒，最後身死陸壓散人授予姜子牙的「釘頭七箭書」，方受子牙代元始封為財神。同樣的情形，也發生在宋元神霄雷法諸神與晚出的「斗母神」身上。如雷祖、雷部諸天君被改造為聞仲及眾多截教門徒；於宋代出現的斗母「紫光夫人」，被道教視為「萬星之母」，到了元代神霄派之手，又與婆羅門信仰的「摩利支天」合流，《封神演義》繼承道教「萬星之母」的觀點，以渠統領斗闕，但也將其改為截教「金靈聖母」死後所受封。⁷²

此外，道教神譜中的瑤池金母，本為六朝上清派、金元全真道的傳經神聖⁷³，並非天庭的至上神，而《封神演義》將之改寫為昊天上帝之妻、龍吉公主之母⁷⁴，即仙界的皇后。就筆者所知，六朝雖有王母育女之仙話，民間「牛郎織女」傳說也將西王母視為織女之母，但李豐楙教授〈西王母五女傳說的形成及其演變〉⁷⁵已指出仙傳中的五女，皆係未嫁夭折的孤女而被王母所收養，非實有生子之舉。更遑論皆為元始祖炁化成、未曾投胎歷劫的王母與玉帝，要如何效凡夫的婚姻行為了。

綜觀上述，《封神演義》繼承先秦道家清靜無為思想、歷代道教的抑佛觀點，並接受宋元道教兼修符籙、內煉的工夫基調，但也否定先秦道家「道通為一」的觀念，並對六朝的「三清」與金母神性、宋元新道教的趙公明、雷法神譜、元代的斗母神

⁶⁸ 在漢魏六朝的道教宗派中，元始天尊被上清派、靈寶派奉為至上神；太上老君被正一道奉為至上神。如《老子想爾注》即云「一散形為氣，聚形為太上老君，常治崑崙。或言虛無，或言自然，或言無名，皆同一耳。」詳參《道德經想爾注》S.6825 寫卷，收入李德範輯：《敦煌道藏》（北京：中華全國圖書館文獻縮微複製中心，1999 年），第三冊，頁 1299。

⁶⁹ 《封神演義》第七七回〈老子一炁化三清〉，頁 745-746；第七八回〈三教會破誅仙陣〉，頁 748。

⁷⁰ 《封神演義》第八四回〈子牙兵取臨潼關〉，頁 819。

⁷¹ 有關明代所修《道藏》提及與趙公明有關的道法，多收在《道法會元》書中，如卷二三二〈正一玄壇趙元帥秘法〉、卷二三三〈玄壇趙元帥秘法〉、卷二三四〈正一龍虎玄壇金輪執法如意秘法〉、卷二三五〈正一玄壇飛虎都督趙元帥秘法〉、卷二三六〈正一龍虎玄壇大法〉、卷二三七〈玄壇如意大法〉、卷二三八〈清微西靈崇明丹華大法〉、卷二三九〈上清沖和妙道昭元五雷玄壇大法〉及卷二四〇〈正一玄壇元帥六陰草野舞袖雷法〉，收入《正統道藏》正一部涇字號，第三十冊，頁 445 中-頁 488 上。這些雷法僅以趙公明作為護法神將，極少提及其財神職能。另外，有關臺灣當代的道教財神信仰，今人柯奕銓〈與時俱進的當代臺灣道教財神信仰文化〉調查了供奉財神的近九十座正式立案臺灣道教廟宇（於 2013 年 10 月 27 日臺北保安宮「第七屆道教及民間宗教神祇學術研討會」宣讀），是較為詳實而富理據的論述。

⁷² 有關道教的斗母信仰，蕭登福教授撰有《太歲元辰與南北斗星神信仰》（香港：齋色園，2011 年），蕭進銘教授撰有〈從星斗之母到慈悲救度女神——斗母信仰源流考察〉，收入《道教神祇學術研討會論文集（IV）》（臺北：臺北保安宮，2011 年），頁 5-28。筆者則針對清代斗母信仰對六朝至宋元道教的接受加以討論，見拙撰：〈清刊本《大梵先天圓明斗母寶卷》析論〉，《有鳳初鳴年刊》第 9 期（2013 年 7 月），頁 42-62。

⁷³ 見拙撰：〈陶鈞萬彙，相讎相成——《木父懺》《金母懺》蠡探〉收入《海峽兩岸東王公西王母信仰學術研討會論文集》（臺中：國立臺中技術學院，2008 年），頁 157-187。

⁷⁴ 《封神演義》第五五回〈土行孫歸伏西岐〉，頁 515；第六四回〈羅宣火焚西岐城〉，頁 614。

⁷⁵ 李豐楙：〈西王母五女傳說的形成及其演變〉，收入氏著：《誤入與謫降：六朝隋唐道教文學論集》（臺北：臺灣學生書局，1996 年），頁 215-245。

等，進行「出身」上的改造，從而影響後來的民間信仰，以說部著作而宰制人民的心理層面，《封神演義》的影響實不可謂不大。

四、《封神演義》對民間信仰的「小說之教」

吾人所知，《封神演義》與《西遊記》皆是明代著名的神魔小說，然而，在《封神演義》撰成後，常民未必有意對其中的文學價值、藝術手法或思想內涵進行探討。相反地，一般大眾會因為透過自行閱讀、他人講述書中侈論的神仙精怪，而在潛意識中受到影響，進而接受、認同、崇拜這些由作者刻畫或改造過的角色。因此，清儒錢大昕（1728～1804）身處文網甚密的乾隆之世，便提出自己對「小說之教」的看法：

古有儒、釋、道三教，自明以來又多一教，曰小說。小說，演義之書也，未嘗自以為教也；而士大夫、農工商賈無不習聞之，以至兒童、婦女、不識字者，亦皆聞而如見之，是其教較之儒、釋、道而廣也。⁷⁶

錢氏以其純儒地位，對明代以降風行於社會中下階層的小說進行觀察，認為說部之書「以殺人為好漢，以漁色為風流，喪心病狂，無所忌憚」，應「焚而棄之，勿使流播。」平心而論，《水滸傳》、《金瓶梅》等小說，雖有勸善懲惡的作者用心，但因情節的比重問題，往往流於勸百諷一，故被視為「誨淫誨盜」之作。隨著小說在民間的廣為風行，書中的「小說之教」也就特別容易產生影響力。例如臺灣即有雲林縣四湖鄉海清宮、高雄市大寮區開封宮、高雄市旗津區廣濟宮等部分道教廟宇，受到清代說書藝人石玉崑《三俠五義》的「小說之教」影響，以宋代名臣包拯（999～1062）作為閻羅王，並加以供奉。⁷⁷至於本文所論述的《封神演義》，也對明代中、晚葉以降華人社會的民間信仰產生極大的影響。

隨著先民東渡來臺，受《封神演義》影響的民間信仰也開始傳入。其中影響最鉅者，首推哪吒崇拜。除了臺灣大多數的道教廟宇皆供奉哪吒三太子，並尊之為「五營」統帥外，學界對於哪吒的研究為數亦夥，甚至出現為哪吒為主題的學術會議論文集⁷⁸，對於「信仰學術化」有其助成之功。但臺灣常民對哪吒的印象，多來自《封神演義》與《西遊記》，且《道藏》未載的晚出道經《中壇元帥降魔真經》⁷⁹中，哪吒自述生平的情節，幾乎與《封神演義》的〈陳塘關哪吒出世〉、〈太乙真人收石磯〉、〈哪吒現蓮花化身〉等三回的敘寫完全相同，只略去「蓮花化身」後，一路「追殺」其父的情節，可見臺灣的哪吒信仰者受到《封神演義》大幅度的影響。

其次，中國、臺灣的部分道教宮觀、廟宇，在對神祇的認知上，也受到《封神演義》的影響。上海市的東嶽廟，係奉祀由自然神演變而成的「東嶽大帝」，但其信仰者因受《封神演義》影響，遂視東嶽大帝為「黃飛虎」，倡論「黃飛虎相助周王打

⁷⁶ [清]錢大昕：《潛研堂文集》卷十七〈正俗〉，見氏撰，陳文和主編：《嘉定錢大昕全集》（南京：江蘇古籍出版社，1997年），第九冊，頁272。

⁷⁷ 見拙撰：〈臺灣道教閻羅天子信仰研究初探——以宮廟供祀及經懺文檢為探討範圍〉，「第七屆道教及民間宗教神祇學術研討會」（臺北：財團法人大龍峒保安宮，2013年10月27日）

⁷⁸ 國立中山大學清代學術研究中心、新營太子宮管理委員會合編：《第一屆哪吒學術研討會論文集》（高雄：國立中山大學，2003年）

⁷⁹ 臺灣民間流傳的《中壇元帥降魔真經》，根據李豐楙教授所言，係由臺中市聖賢堂於七〇年代發行，經「臺灣區同祀中壇元帥宮廟聯誼會」校正，並獲得認可之後，始成為「正統道教之經典」。詳參氏撰：〈從哪吒太子到中壇元帥：「中央—四方」思維下的護境象徵〉，《中國文哲研究通訊》19卷2期（2009年6月），頁36。

紂王，是一位英雄，讓他當上東嶽聖帝也是可以的。」⁸⁰該宮觀信仰群的一位中學教師在接受訪談時，甚至認為：

東嶽聖帝反倒離我遠了許多，而黃飛虎通過《封神演義》小說的流傳，在農村中知道的人卻不少，我常與鄉里的香客談起黃飛虎，那些不識字的婦女到東嶽廟去燒香，說成是到黃飛虎那裡燒香，我們何不遵從這一習俗。⁸¹

中國農村大眾因為教育不夠普及的因素，將小說人物奉為神祇，是可以理解的。但知識水準較一般大眾稍高的教育工作者，也受到《封神演義》的影響而將虛構的小說角色「黃飛虎」與漢魏六朝道教掌管死亡世界的泰山神畫上等號，這也證明錢大昕「小說之中於人心風俗者，已非一朝一夕之故也」之語，實非虛誕。筆者在從事臺灣道教宮觀、廟宇主神與其來源之調查時，曾在宜蘭市東嶽廟發現該廟將《封神演義》的「武成王」黃飛虎視為東嶽大帝，並於廟壁使用磁磚書寫〈黃公飛虎（東嶽大帝）史畧〉⁸²一文，而筆者晚近前往嘉義縣新港鄉進行社會調查時，該鄉的太公廟甚至以哪吒、楊戩作為姜太公的協侍，正殿神案亦供奉姜太公的坐騎「四不像」，而其楹聯「除暴安民萬年民眾沾潤德，臺上封神億載神祇（當作「祇」）沐恩光」、「護國保民常駕風輪巡海內，體天渡世長使火槍佑人間」，亦分別受到《封神演義》所載姜太公、哪吒故事的影響。⁸³

再者，臺灣有部分的道教神職人員與道教徒受到《封神演義》的影響，對道教神譜產生不同的認知。筆者於 2013 年 12 月 5 日應邀前往東海大學一門通識課程進行「魏晉道教略論——宗派思想與發展」的專題講演時，在即席提問時，也有自稱信仰道教的理工學門大學生提問「為何只介紹三清尊神，而不提及其師尊鴻鈞道人？」可以看出係受到《封神演義》的影響。而筆者於 2009 年 6 月上旬前往南投市進行道教齋醮科儀的田野調查時⁸⁴，亦發現其「神聖空間」中的玉皇壇懸掛「碧遊三十六部卷、禹餘七十二道源」的對聯。就筆者所知，「禹餘」一詞來自道教「三清」中靈寶天尊所治的仙境「上清境禹餘天」，而「碧遊」則源於《封神演義》截教之首「通天教主」所居的宮闕。筆者在 2013 年 10 月 23 日前往嘉義縣新港鄉的國定古蹟笨港水仙宮從事社會調查時，該廟宇亦懸掛一紙對於道教、佛教各神系組合的解說觀點。其中，將「三清」稱作「原始天尊、太上老君、通天教主」。⁸⁵吾人當可窺知臺灣部分道教人士已接受這些源自神魔小說的神祇，或將靈寶天尊與向壁虛造的通天教主畫上等號。除了道教人士之外，臺灣有些民眾也受到《封神演義》的影響，進而接受「新型」的「三清道祖」排列觀念：

……清水先最特別的地方是他會做「三獻」之類的道教作醮儀式，得要請神（天庭、地府、水府之神等），然後才普渡，並且得設道士壇，中間坐元始天尊、通天教主、太上老君三尊神，受訪者莊文明表示，原本以地位、修行都

⁸⁰ 朱建明、談敬德編著：《上海南匯縣正一派道壇與東嶽廟科儀本彙編》（臺北：新文豐出版股份有限公司，2006 年），頁 93。

⁸¹ 同前注。

⁸² 調查地點、時間為宜蘭市東嶽廟（2013 年 4 月 26 日 16 時至 16 時 30 分），〈黃公飛虎（東嶽大帝）史畧〉該文則為東嶽廟於 1986 年所撰。

⁸³ 調查地點、時間為嘉義縣新港鄉太公廟（2013 年 10 月 23 日 10 時至 10 時 30 分）

⁸⁴ 調查時間為 2009 年 6 月 4 日、6 月 6 日至 6 月 10 日，共計六天，地點為南投縣立體育場。

⁸⁵ 調查地點、時間為嘉義縣新港鄉笨港水仙宮（2013 年 10 月 23 日 11 時至 11 時 30 分），該解說牌未登載撰寫者全名，僅標注一「洪」字，而撰寫日期則為 1991 年 10 月 15 日。

是太上老君最高，但因通天教主個性較邪，故太上老君讓出中間最尊的位置，以安撫通天教主。⁸⁶

在這段訪談記錄中，受訪者已經將醮典「三清壇」的神像畫軸，與《封神演義》三人同師的故事加以比附，又因《封神演義》記載通天教主設下誅仙陣、萬仙陣、六魂幡等情節，遂認為通天教主的個性較「邪」，乃替這些畫軸排列方式（以視線所及，由左至右的「太清、玉清、上清」排列方式）異於《封神演義》故事三人造詣高低（老子＞元始＞通天）的情形自圓其說。然而，這段採訪記錄除可作為民間受到《封神演義》影響的佐證之外，吾人更應思考的是：在進行田野調查時，採訪者是否有足夠的先備知識理解受訪者的敘述內容？對於受訪者「似是而非」的言論，是否應覆覈文獻或請益專家學者，並加注案語予以釐清？如此，方不致貽誤大眾，也能為學術的良心事業盡一己之心力。

此外，臺灣有一部分的鸞堂受到《封神演義》影響。如刊行前揭新出道經《中壇元帥降魔真經》的臺中聖賢堂，在 1972 年透過扶乩的方式，由元始天尊著造《玉皇普度聖經》，但卻稱渠為「太上無極混元教主元始天尊」，此稱號實已明顯受到《封神演義》第九九回〈姜子牙歸國封神〉的影響。⁸⁷而同為鸞堂體系的臺中市重生堂，一樓即配祀「鴻鈞老祖」，而該鸞堂更提出「鴻鈞老祖的座騎青鸞化為乩筆」的說法，從其供祀現象，亦可確知係受到《封神演義》的影響。⁸⁸

除了上述這些例證以外，《封神演義》也因為被布袋戲、歌仔戲等傳統戲劇接受，透過搬演而使民眾耳濡目染，並透過繪畫、剪黏、雕塑等傳統工藝的表現手法，出現在民間廟宇之中，對於常民大眾產生「境教」的作用，皆可視為「小說之教」的沿伸。由是，吾人可以窺知，正如近人何滿子（孫承勛，1919～2009）所言「在所有的神魔小說中，除了《西遊記》之外，成就最高、影響最大的，當推《封神演義》。如以對民間的信仰活動和民俗的影響論，《封神演義》的影響甚至超過《西遊記》。」⁸⁹由於傳統的漢民族社會多屬於「持香跟拜」⁹⁰，只有少數人成為制度化宗教

（institutionalized religion）的教徒，而漢民族日常崇拜的神祇，除脫胎於「萬物有靈」的自然崇拜、儒家傾向的聖賢崇拜，或是道、佛二教的固有神祇之外，也有一部分源自小說、戲曲中的角色。因此，筆者認為，吾人除了尊重民間信仰者對源自小說人物的崇拜之外，或許也可以透過涵泳、體察的態度，發掘該角色背後「懸像設教」的深層意義，如此一來，應可使原先的「小說之教」，更具有正向、積極的意義。

五、結語

《封神演義》是一本成書於明代的神魔小說，其作者眾說紛紜，向來以陸西星、

⁸⁶ 羅世明採訪：〈崁頭厝□樂軒（北管）、□□社（歌仔陣）〉，收入林美容主編：《彰化縣的曲館與武館》（彰化：彰化縣立文化中心，1997 年），上冊，頁 341。

⁸⁷ 對於《玉皇普度聖經》的相關辯證，詳見拙撰：〈近現代「玄靈」關帝經典及其儒學義理略論〉，收入蕭登福、林翠鳳主編：《關帝信仰與現代社會研究論文集》（臺北：宇河文化，2013 年），頁 662-700。

⁸⁸ 該次田野調查地點與時間為臺中市北區重生堂（2008 年 8 月 1 日 14 時至 14 時 30 分）。案：道教本來就有扶乩降真的傳統，早在魏晉時期的上清派，便以扶乩方式撰成《上清大洞真經》、《黃庭內景玉經》，而《真誥》更是扶乩者楊羲、許謐等人與仙真相酬答的語錄。此後各朝代皆有扶乩撰成的道經，皆遠遠早於「鴻鈞道人」被《封神演義》作者構造出來的明代中晚期。

⁸⁹ 何滿子：〈神魔小說與《封神演義》〉，《博覽群書》1996 年 9 期（1996 年 9 月），頁 8。

⁹⁰ 此為臺灣俚語，意指「尚無法對特定宗教之教義與神祇有清楚認知」的一般信徒。

許仲琳二氏較被接受，惟透過文獻的考察及其中大量韻文書寫、化用古籍語句的現象，筆者認為《封神演義》可能經過不只一位文人對當時民間流傳的眾多武王伐紂、太公封神故事加以改編、整理，也因為說部向有《三國演義》、《西遊記》、《水滸傳》、《紅樓夢》等出色作品，相較之下，《封神演義》在藝術手法及文學價值上，就顯得較不突出。

不過，倘若吾人能以「同其情的理解」的角度，對《封神演義》進行價值重估，當可發現其中對於先秦的儒道二家思想、宋明新儒學、道教修煉工夫及其神譜，皆有所接受與變革。此外，由於《封神演義》刊行後，廣受民間大眾的喜愛，書中的眾多神仙鬼怪，也從而影響民間信仰的發展，容易造成社會大眾對道教神學的誤解。對於這種現象，筆者無意以判教的角度進行批判性的解讀。相反地，筆者認為，倘若身為這些脫胎自神魔小說角色的「神祇」信仰者，應可進一步地思考，除了崇拜之外，再以涵泳、玩味的工夫，體會《封神演義》中人物「懸像設教」及其背後「小說之教」的深層意義。

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The Role of Reading Aloud in EFL Writing Revision

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Abstract

This study examines what changes EFL writers at three different proficiency levels can make when they read aloud their writing, and how they perceive the effect of reading aloud on their writing revision. Twenty-eight English-major sophomores of a university in Taiwan were given two writing assignments. After students completed their first drafts of each assignment, they read their writing aloud to the instructor while the instructor also marked on another copy of their writing. Then, the students were given questionnaires and interviews. The study found that reading aloud (RA) helped EFL students at various levels to self-detect mostly local problems. The advanced writers benefited from it the most. However, prepositions and word choice, whose correct usage depends much on native-speakers' competence, appeared to be challenging to students regardless of proficiency levels. In addition, occasionally RA triggered undesirable or unsuccessful corrections, and they happened more frequently when the beginning writers read aloud. Meanwhile, RA offered limited help in detecting global problems. The interview results revealed that most students felt relaxed and not distracted by their pronunciation while reading aloud, and that most of them found it a useful revision strategy. The results suggest that RA is not a panacea, yet EFL writers can still benefit from it, especially in making local changes.

Keywords: EFL writers, revision, reading aloud, L2 competence, L2 proficiency, L2 writing

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出聲讀稿在英/外語寫作修改中的角色

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摘要

本研究之目的在檢視出聲讀稿能幫助三種能力等級的英/外語寫作學生做什麼修改，及他們對出聲讀稿這種修改技巧的評價。台灣某大學英文系28個大二學生參與研究。一共兩次，每次各寫一篇作文。每次寫完初稿後，每個學生與老師會面，由學生讀稿並修改，老師同時在另一份學生初稿上修改。在第二次一對一讀稿修改後，每個學生填寫問卷，並接受老師訪談。研究結果顯示出聲讀稿能幫助所有不同能力等級的學生做局部（local）修改，但對外語能力最高的學生最有效。出聲讀稿能引起學生做的大範圍（global）修改非常少，不管能力高低都如此。同樣，所有學生，不管能力高低，對介系詞，選字等這些方面的錯誤也都很難經由學生出聲讀稿自行發現，因為正確用法常常必須靠說英語為母語的人的直覺力。此外，有時出聲讀稿偶而會讓有些學生（尤其能力較低的）把對的改成錯的。訪談結果顯示大部分的學生在出聲讀稿時不緊張，也不會被他們自己的發音干擾，而且大部分的學生覺得出聲讀稿是有用的作文修改技巧。總而言之，研究結果顯示出聲讀稿不是萬靈丹，但是對英/外語學生作文修改，尤其是局部修改，仍然有一定的好處。

關鍵詞：英/外語寫作者、寫作修改、出聲讀稿、二語能力、二語熟練程度、二語寫作。

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Introduction

Revision has been well-recognized as a crucial component in the development of L1 and L2 writing skills (Anson, 1989; Freedman, 1987; Hedgcock & Lefkowitz, 1992; Hillocks, 1986; Jenkins, 1987; Smith, 1982; Zamel, 1985). One of the most commonly used revision strategies is for students to read their writing aloud during the reviewing process. The value of reading aloud (RA) has been confirmed by many L1 writing experts, stating that when most L1 students read their writing aloud, they will find rhetorical problems and correct in essence all errors of spelling, grammar, punctuation (Bartholomae, 1980; Hartwell, 1997).

In the 1980s, some L2 writing experts suggested that there was much to learn from the research and pedagogy in the teaching of writing to native English speakers (see Zamel, 1976, 1982, 1983, 1985, 1987, 1988; Kroll, 1978; Raimes, 1983a; 1983b; 1986; 1991). Consequently, L1 writing pedagogy and revision strategies, including RA, were introduced to L2 writing instruction. Since then, RA has also been recommended by authors of L2 writing textbooks and L2 writing teacher-educators in training future L2 writing teachers (e.g., Ferris, 2007, 2008). However, learning to write in L2 is not the same as learning to write in L1. While L1 writers learn to write the language they already speak, L2 writers learn to write the language they are not completely familiar with. One question worth asking is whether RA is equally effective in helping L2 writers.

A literature review reveals that an abundant of research has focused on reading aloud as a reading strategy for both L1 and L2 learners (see, e.g., Deng & Huang, 2011; Gibson, 2008; He, 2009; Morrison & Wlodarczyk, 2009; Santoro, Chard, Howard, & Baker, 2008; Xie, 1998, 2000), yet fairly few studies have investigated reading aloud as a revision strategy for L2 writers. Moreover, in these few studies, researchers have different views on the effectiveness of RA when it is applied to L2 writing revision. Although some researchers have provided evidence to show positive effects of RA on student revision, they have not indicated if students at different levels of L2 proficiency can benefit equally from RA. On the other hand, some researchers have speculated that RA may even cause negative consequences, yet evidence is needed to verify their claims (see the Literature Review section for more details). In other words, the effectiveness of RA has not been clear. This study is a preliminary study that explores to what extent RA can help EFL writers become self-sufficient editors, just as it can help L1 writers.

The following sub-questions are designed to find out how RA may help EFL writers in their revising process:

1. Can RA trigger EFL students (L1=Chinese) to make self-initiated revision?
If so, what types of self-initiated changes are EFL students more likely to make?
2. What types of problems are difficult for EFL students to self-detect even after reading their writing aloud?
3. Which level of students can benefit most from RA? Does RA help one level of students more with global revisions and another level more with local?
4. What are EFL students' perceptions of the use of RA?

The teaching of second language writing sits at the junction of two disciplines--composition and rhetoric as well as language learning (Carson, 2001; Kroll, 2003; Silva & Matsuda, 2001). The importance of understanding the relationship between the two disciplines has been evident in the themes of recent second language writing conferences (e.g., 2010 Symposium on Second Language Writing) as well as a gradual increase of studies that focus on the connection between SLA theories and second language writing instruction. For example, Carson (2001) and Williams (2005) have attempted to explain the relationship between SLA theories and L2 writing (or L2 writing instruction). In addition, empirical studies on the interface of the two disciplines have also started to emerge. The majority of them, however, has focused on the relationship between teachers' written feedback (or instruction) and student writers' noticing (e.g., Ma, 1997; Qi & Lapkin, 2002; Swain & Lapkin, 2002; Chandler, 2003; Santos, Lopez-Serrano, & Manchon, 2010; Barnawi, 2010). This study represents an initial attempt to investigate the relationship between RA, a revision strategy, and EFL learners' interlanguage system, which is evidence of their second language learning. More specifically, it provides empirical evidence of EFL writers' self-initiated revision for the purpose of modifying their interlanguage production. Thus, this study serves to add one more building block to the recent endeavors to strengthen the interface between L2 writing research and second language acquisition.

The findings of the study have pedagogical significance. Firstly, the findings can inform writing teachers what problems EFL students at various proficiency levels are more (or less) likely to self-detect after reading their writing aloud. Secondly, the findings can increase teachers' awareness of EFL students' perceptions of the use of RA. With the understanding of the role RA plays in EFL writing revision, writing teachers can make informed decision in designing lessons that best meet EFL writers' needs.

Literature Review

RA as a Recommended Revision Strategy

Reading aloud is a revising strategy recommended by many writing experts. Murray (1988) argues writing does not exist until it is read, for the reading during writing helps the writer monitor, an act that involves awareness on many levels and includes the opportunity for change. Authors of writing textbooks have also recommended reading aloud. For instance, in his 8th edition of *College Writing Skills*, Langan (2011) recommends that students read their writing aloud as they revise: "Hearing how your writing sounds will help you pick up problems with meaning as well as with style" (p. 33). Likewise, in her 11th and also an international edition (for EFL writers) of *Steps to Writing Well*, Wyrick (2011) argues that "reading aloud is a good technique because it allows your ears to hear ungrammatical 'chunk' or unintended gaps in sense or sound you may otherwise miss. Reading aloud also flags omitted words" (p. 108). In her *Developing Composition Skills*, Ruetten (1997) advises ESL writers to get a classmate to read their paragraphs aloud and give them feedback. Lange (2011) presents an interview with author

Hannah Pittard, who states that nothing she has ever published has not been read aloud many times by herself, and that her advice to aspiring writers is to read everything aloud. Reading aloud, as Pittard stresses, helps her revise sentences for rhythm. Based on their own writing experiences, scholars such as Hughes (2003), Sousa (2006), and Griffin (2011) testify that reading aloud can be a key to effective revision. As Hughes (2003) states, “reading aloud helps us spot flaws and errors, . . . [find] holes in logic or construction, . . . [and detect] word problems” (p. 18). Thus, RA has been recommended as an effective strategy for revision because it helps writers revise not only surface errors but also rhetorical aspects such as meaning, style, and logic.

Reading aloud is also one of the typical practices found in writing center sessions. The ubiquity of this practice is evident in popular tutor training manuals, which frequently recommend the writer to read aloud: “Have the writer read the draft aloud” (Caposella, 1998, p. 10); “We recommend that you ask the writer to read the paper aloud to you while you take notes” (Gillespie & Lerner, 2004, p.30). One reason why these manuals encourage writers to read their own work concerns writer control. Caposella (1998), for example, argues that having “the writer read the draft aloud” is one of the “ways to encourage a high level of involvement from the writer” (p.10). Ryan and Zimmerelli (2006) also state that “asking writers to read aloud engages them more in the tutoring session” (p.46). Furthermore, RA may prompt self-initiated revision: “Reading his own work, . . . helps the writer hear passages that ‘sound funny’ even though they may look fine on paper” (Caposella, 1998, pp. 10-11). Finally, RA may help the writer become more aware of the audience: “When the writer reads the paper, . . . he [will notice] that the reader is listening . . . to the way the draft is working. . . he’s giving his draft a critical reading in ways that will help him revise” (Gillespie & Lerner, 2004, p. 30). Therefore, writer control, self-initiated revision, and audience awareness are at least three major reasons why RA is recommended by writing tutor training manuals.

Some Theoretical Bases of RA

L1 Competence. One obvious reason for L1 writers to read their writing aloud during the revision process is to check if the writing “sounds right.” The judgment is based on the writers’ competence, or the intuitive knowledge about the system of their native language. According to Chomsky (1965), native speakers’ competence develops naturally, and they can rely on it to judge whether the speech or writing is grammatical. Based on Chomsky’s notion of competence, Hartwell (1997) argues that “native speakers of English, regardless of dialect, show tacit mastery of the conventions of Standard English” (p. 202). This mastery of literacy, as Hartwell continues, “seems to transfer into abstract orthographic knowledge through interaction with print” (p. 202), and regardless of instruction, the mastery is “from the top down, from pragmatic questions of voice, tone, audience, register and rhetorical strategy” to errors of spelling, grammar and punctuation (p. 202). Hence, Hartwell (1997) suggests that reading aloud allows students to tap their unconscious or intuitive knowledge of their native language to check not only the mechanical but also the rhetorical aspects of their writing.

Comprehensible Output and Noticing. *Comprehensible output* and its related notion *noticing* are two reasons why RA may also help L2 writers. According to Swain's (1985, 1993) output hypothesis, comprehensible output is a necessary mechanism of language acquisition. The act of writing is a type of output. Based on Swain's (1985, 1993) hypothesis, output may prompt the learners/writers to consciously recognize some of their linguistic problems. The act of reading aloud is vocalizing the writers' written output, which may further increase students' consciousness of what needs to be changed. Schmidt (1990) describes the consciousness raising effect as noticing. In Schmidt's view, noticing is an essential element that accelerates the learner's language learning process. The importance of noticing for language learning can be found in assertions such as "those who notice most, learn most" (Schmidt & Frota, 1986, p. 313) and "no noticing, no acquisition" (Ellis, 1995, p. 89). In short, RA may be beneficial to L2 students because it serves as a route to noticing.

Monitoring. Another reason why RA may help L2 writers is that reading aloud allows them the time they need to monitor their language production. Krashen's monitor hypothesis (1982) predicts that under three circumstances L2 learners may call upon the learned knowledge to correct themselves when they communicate: (1) There must be sufficient time for the learner to apply a learned rule, (2) the learner must be focused on the form of the output, and (3), the learner must know the rules. Time is an essential element for self-correction to take place. Cohen, Larsen-Freeman, & Tarone (1991) also argue that when students are able to spot their errors, they are able to correct most of the errors, but the premise is that the learners need to have time to self-correct. Compared with reading silently, the speed of RA is relatively slower because writers have to vocalize the written words. The slower speed of RA offers the time that L2 writers need to focus on form and recall the rules learned.

The Effects of RA on L1 Writers

Most L1 writing teachers and researchers have recognized that RA has value in improving the quality of students' writing. In her case study of two L1 students' revising strategies, Selfe (1984) found that RA was a revision strategy often adopted by one student, who was not at all apprehensive about writing, but not by the other, who was an apprehensive writer. It was likely that the confidence of the non-apprehensive writer came from his ability to take advantage of reading aloud as a revision strategy.

Evans (1988) studied a remedial L1 writer whose tutor read his compositions back to him during the reviewing sessions. While hearing the sounds of his writing, the writer was able to not only attend to syntactic and morphological defects in his text, but also find the passages which inadequately expressed his intentions. Thus, hearing the sound of one's writing may cause the writer to re-check if the writing matches his or her internal voice or intended meaning.

Smith and Cosmic (1995) argue that RA may improve writing ability because it helps students learn to "hear" the sounds of the material written. Similarly, Gibson (2008)

indicates that RA has several benefits, two of which are related to writing. First, it can help develop writing skills by using it as oral proofreading. Gibson explains that RA makes students see the graphemic-phonemic correspondences; consequently, errors might be more easily picked up with visual and aural inputs working together. Second, RA may help writers listen to their “internal voice” as they write. While writing has no intonation, stress, or pauses (apart from those that punctuation and italicization can indicate), it is very likely that both readers and writers do assign these features to whatever they are reading and writing (Tench, 1996, cited by Gibson, 2008). Therefore, Gibson (2008) argues, intonation can affect what is written. When students write, they will need to organize the structure clearly using discourse markers, and to reinforce this with the appropriate intonation when they read aloud to themselves or friends so that the message will be understood. This process might involve students in listening to their “internal voice” as they write.

The Effects of RA on L2 Writing Revision

To date the literature on RA as an L2 revision strategy hardly exists. Some L2 writing researchers, however, have confirmed the value of reading aloud as a revision strategy, although RA was not the focus of their studies. While studying advanced ESL students’ composing processes, Zamel (1983) found all of the students reread their drafts aloud in order to evaluate whether the form matched their intent and to discover ideas that were to be recorded. She argued that reading aloud helped the students construct meaning and assess it at the same time. Zamel (1983) also noticed that RA seemed to be able to help students overcome writer’s block. When her students claimed to be “stuck,” after rereading their texts aloud several times, they figured out how to continue. Moreover, RA appeared to trigger global revision, whereby sentences were rewritten to express the writer’s intent, paragraphs or parts of paragraphs were shifted around, and new paragraphs were formed as thoughts were developed and expanded. “Very often these revisions would occur after rereading the text aloud, as if hearing it spoken meant ‘seeing’ it in a new and more removed way,” stated Zamel (1983, p. 174). Zamel (1983) further pointed out that more skilled writers seemed to be more aware of the recursive nature of writing, and they revised by rereading aloud larger parts of their writing, e.g., whole paragraphs rather than one sentence or two. Finally, Zamel’s students expressed that rereading their writing aloud helped them find errors and spelling problems.

Another confirmation of the value of RA to L2 writers comes from Hedgcock and Lefkowitz’s (1992) study of collaborative oral/aural revision in foreign language writing instruction (L1 = English). They found that students in the experimental group, who received feedback after reading aloud their texts in peer review sessions, produced better final drafts than the students in the control group, who received the teacher’s written feedback only. Hedgcock and Lefkowitz noticed that reading aloud to peers produces in students an awareness of the rhetorical structure of their own writing and an ability to self-correct surface errors. Hedgcock and Lefkowitz further indicated that reading aloud one’s text in a group of attentive peers fosters an awareness of audience, which

consequently enables writers “to identify and correct inconsistencies between what they have written and what they actually intended to write” (Hedgcock & Lefkowitz, 1992, p. 258).

Hedgcock and Lefkowitz (1992) have argued that a read-aloud revision procedure may be a particularly beneficial technique for L2 writers for two reasons: (1) thinking about language use as well as the ideas writers attempt to convey is central in L2 composing (Cumming, 1990), and (2) the vocalization aspect of the RA may “facilitate revision to an even greater extent, inducing less-proficient writers to capitalize on the ‘running accompaniment’ described by Vygotsky (1962, 1978)” (Hedgcock & Lefkowitz, 1992, p. 259).

Some Reservations about RA

Although Zamel, Lefkowitz and Hedgcock have attested to the usefulness of RA to L2 writers, some other researchers have cast doubt on the efficacy of this revision strategy. Powers (1993) pointed out that a couple of presumptions of adopting RA in L2 revision are that the writers hear the language correctly and are more familiar and comfortable with the oral than the written word. Yet Powers (1993) argued that those presumptions are not valid for ESL writers for two reasons. First, few beginning second language writers “hear” the language correctly; they do not have the “inner editor to prompt them to stop and raise questions about their writing” (Powers, 1993, p.43). Second, many ESL writers are more familiar with written than spoken English, as their L2 learning experience in their countries is usually more focused on reading and writing rather than speaking. Hence, some L2 writers may not feel more comfortable with reading their writing aloud than reading it silently.

Some writing researchers (e.g. Capossela, 1998; Cogie, 1999; Harris & Silva, 1993; Matsuda & Cox, 2009; Reid, 1997; Silva, 1993/2001; Williams, 2005; Williams & Severino, 2004) also believe that RA may not work well for ESL writers because of their less developed sense of what “sounds right.” Silva (1993/2001) noticed that L2 writers revised with more difficulty (than L1 writers) and that there was less “revising by ear” or making changes on the basis of what “sounds” good (p. 195). Matsuda & Cox (2009) argue that L2 writers who have not developed that intuitive sense of the English language, or those who have not internalized certain rules of the English grammar, may not benefit from reading aloud for revision. Reading aloud, in Matsuda and Cox’s view (2009), may even shift the writers’ attention to the pronunciation of their writing; as a result, the writers may miss the purpose of reading aloud for revision.

Some writing center tutor educators also advise tutors to be more reserved in applying RA when the clients are ESL writers. Gillespie & Lerner (2004) stated that some ESL writers will have great difficulty reading aloud because

reading aloud takes so much energy and concentration on the basic skills of decoding that they (the writers) don’t have anything left to listen to the words they are saying If writers feel hesitant, don’t force the issue (quoted in Gillespie, 2002, p. 45).

Williams & Severino (2004) suggest that RA may have different effects on different L2 writers: International L2 writers may be less able to catch errors than immigrant L2 writers when reading aloud, because the international L2 writers are sometimes described as eye-based learners; whereas immigrant L2 writers are sometimes described as ear-based English learners (Reid, 1997). That is, international L2 students and EFL learners have mostly learned their L2 or English through reading the language rather than picking up the language from listening to others' talking, as most immigrant students would do. Thus, international and EFL writers may have less sense about what sounds right or wrong than immigrant students and therefore may not benefit from RA as much as immigrant L2 writers would.

Reading aloud as a proofreading strategy can be difficult to do well. Harris (1987) noted that reading aloud as a proofreading strategy involves a deliberate effort to counteract the "normal" process of reading, which includes predicting. If readers predict, they will see or read what they mean rather than what the text really is. However, while applying reading aloud, writers should pay close attention to the text and suppress their tendency to predict as they would normally do in reading. In addition, reading aloud as a proofreading strategy can be challenging for less proficient writers due to the constraint of humans' short term memory. Citing cognitive psychologists' findings, Harris (1987) indicated that the number of discrete items that can be held in short-term memory is seven plus or minus two. Thus, when the subject and verb of a sentence are separated by seven or more words, the writer may forget to make the verb agree with the subject due to the writer's short memory constraint. Harris (1987) explains that because less proficient writers are unfamiliar with many of the sentence patterns used in academic writing, it is difficult for them to hold linguistic features in mind. Gibson (2008) also points out that reading aloud can be challenging even for native speakers in areas such as pronunciation, intonation, pace, and naturalness. These difficulties can be demoralizing for some L2 students who are self-conscious about their oral reading.

To sum up, the literature review shows that RA has been recognized as a useful strategy for L1 writing revision, yet its value for L2 writers has been inconclusive. While RA could be useful for L1 writers because it is based on their intuitions, some writing researchers have argued that RA may not be equally useful for L2 writers because whether L2 learners can develop the intuitions similar to those of the L1 speakers is still questionable. Although empirical studies by Zamel (1983) and Hedgcock & Lefkowitz (1992) have suggested that RA is beneficial to L2 writers, neither one of them has identified what kinds of self-initiated changes students were more likely to make intuitively, and how the changes may reflect the students' L2 proficiency. Furthermore, neither one of them has considered students' perceptions of the usefulness of RA to their revision. Although some researchers have argued that L2 students may be distracted by the pronunciation while reading their writing aloud, evidence is needed to verify this assumption. Likewise, since RA can be cognitively demanding for some L2 writers, whether they feel comfortable reading their own writing aloud to an audience is a question yet to be answered. Finally, even though Hedgcock & Lefkowitz's (1992) study has

illustrated that reading aloud coupled with peer interaction was more helpful than simply receiving teacher's written feedback, the gain ought to be attributed to a combined effect of both peer collaboration and reading aloud. It is not clear if the student writers they investigated could still gain as much if they just read their writing aloud without interacting with their peers. That is, we still do not know if (and to what extent) RA can help L2 writers to be self-sufficient in revising and editing. We equally do not know what self-initiated changes students are more likely to make, and how the changes may reflect their L2 proficiency. Therefore, this study intends to fill the gap in our knowledge of how useful RA can be in helping L2 writing revision.

Method

This preliminary study was conducted by the author, who is also the teacher/researcher, with an attempt to better understand how a pedagogical practice, RA, may influence EFL learners' writing revision. To achieve this goal, an action research approach was adopted. Defined by Mills (2011), action research is "any systematic inquiry conducted by teacher researchers, . . . , in the teaching/learning environment to gather information about . . . how they teach, and how well their students learn" (p. 20). Like other types of research, action research also engages the researcher in identifying the research focus, (in this case, the effectiveness of RA in EFL writing revision), collecting data, and analyzing as well as interpreting the data. The data of this study came from the teacher/researcher's students. The study involved 28 college-level English-major students (L1 = Chinese), who were enrolled in a sophomore English writing course at a university in Taiwan.

The following procedure was designed by the author to increase the validity of the findings. In the preliminary stage of this study, two steps were taken in order to find out the suitable participants. In the first step, each participant filled out a "Writer's Profile" form (see Appendix A), which was designed to identify students' proficiency levels and their revision habits. The form includes questions about the participants' experience of learning English; their performance on major English proficiency exams, if any; their grades in Freshman English writing; their habits or methods of revision, if any; and if they feel comfortable with reading aloud to an audience. In the second step, the students were given a diagnostic writing assignment. Based on students' proficiency test results, their grades in Freshman English, and their performance on the diagnostic writing, the students were separated into advanced (10 students), intermediate (9 students), and basic levels (9 students) according to their English proficiency.

In order to identify global and local errors, Zamel's (1983, pp. 165-187) descriptions of global revision were adopted as criteria to identify global revision. That is, global revision may include one or some of the following changes:

1. Sentences are deleted and added to clarify ideas and make them more concrete.
2. Sentences are rewritten until they expressed the writer's intention.
3. Paragraphs or parts of paragraphs are shifted around.
4. New paragraphs are formed. The writer find new focus and rewrite something anew.

Students revise globally when a change in one part of their drafts drives changes in other parts of the drafts. Global changes may result in improved unity, support, coherence, logic, and overall effectiveness of the essay. Local changes, on the other hand, focuses more on sentence-level revision: changing words so that a sentence is clearer, correcting grammatical or spelling errors, changing mechanical mistakes, etc. Local changes to a text affect only the one or two sentences that the writer is currently working on.

In the study, the students were given two essay assignments (See Appendix B, Appendix C), and they were required to meet with the instructor for a read-aloud review after they wrote their first drafts of the assignment. The review was carried out on a one-on-one basis, during which each student read his or her writing aloud twice to the instructor. Students read their own texts rather than their peers' to avoid decoding problems because reading an unfamiliar text may result in "barking at print" without much comprehension (Broughton, Brumfit, Flavell, Hill, and Pincas, 1980). For the first reading, they were advised to focus on meaning, and the second time, on form. Students were instructed to feel free to pause any time they wished to mark changes. While a student was reading his or her writing aloud to the instructor, the instructor also marked on another copy of the student's writing.

After students finished reading their writing aloud, the instructor asked the students to explain how they wished to change the marked items, so that the instructor could know their intent. Then, their marked copies were collected. In total, 56 student-marked drafts and 56 teacher-marked drafts were collected. Student-marked drafts and teacher-marked drafts were photocopied, making one set for students to facilitate their revision, and another set for the teacher/researcher for the sake of this study. The markings that students initiated and the teacher initiated were further categorized by the teacher/researcher into global and local changes that students and the teacher/researcher had marked respectively, and all the changes were tallied in order to find if any patterns existed.

The second reading aloud of the second assignment was followed by a survey as well as an interview on students' perceptions of applying RA in their revision process (See Appendix D, My Perception of Reading Aloud). The questions in the questionnaire and interview are based on claims about the potential benefits and problems of RA stated in the literature.

Results

The findings show that RA did help all the EFL students at various levels to self-detect some local as well as global problems, although it could not help EFL students correct "all the spelling, grammar, and punctuation errors" as L1 writing experts have claimed it could do to help most L1 writers (see Hartwell, 1980, p. 201). Below is a table of the global and local changes students made as a result of reading aloud.

Table 1

Students' Self-initiated Global and Local Changes

	Number of Ss	Global	Local	Total
Advanced	10	6 (11%)	47 (89%)	53
Intermediate	9	5 (14%)	32 (86%)	37
Basic	9	12 (29%)	29 (71%)	41

This Table demonstrates that among all the changes students made, regardless of levels, all made more local than global changes. However, the rate of the global to local changes differs at each level. Basic level students had the highest rate of global changes, yet advanced level students had the highest rate of local changes. That is, basic level students made global changes much more frequently than the advanced and intermediate level students.

Findings from the Students' Texts

Student-detected Global Problems. Findings of this study show that reading aloud did help students at all three levels make global revision, yet the global problems they detected were limited. Below is a table of each type of global problems students detected.

Table 2

Global Problems Detected by the Students

Level	Quantity	Distribution of Global Problems Detected by Students
Advanced	6	Unity (50%), Coherence (30%), Support (20%)
Intermediate	5	Coherence (60%), Unity (20%), Support (20%)
Basic	12	Support (73%), Unity (18%), Coherence (9%)

The global changes students made can be categorized into three areas: unity, support, and coherence. The most frequently detected problems for each level are different. The advanced students detected more global problems in unity (50%); the intermediate level students, in coherence (60%); and the basic level students, in support (73%). The actions students took to correct the global problems are similar at all three levels: Deleting irrelevant information, adding a thesis statement, increasing the clarity of a thesis statement, or modifying the support so that it backed up the main point (a thesis statement or a topic sentence). To improve the coherence of writing, students changed the title, added transitions, or provided concluding remarks or conclusions. To improve the support of writing, students often added background information or explanations in the form of sentences. Students also revised the support by rewording, rewriting sentences, deleting sentences, or shifting sentences around. Occasionally, however, the revision was futile, for the added information was not needed.

The global changes students made at all three level were very limited and at sentence-level only. No paragraphs were shifted around, and no new paragraphs were formed. Most of the changes made their writing more effective, although none of the changes was at paragraph-level.

Student-Detected Local Problems. Reading aloud proved to be beneficial to students in helping them detect local problems. In the advanced, intermediate, and basic level students' texts, the students self-corrected 45, 32, and 30 local problems respectively. In economy of space, listed below are only the top four kinds of problems, which take up over 50% of total local problems detected by students at each level (see Appendix E for the complete results).

Table 3

Local Problems Detected by Students Most Frequently

Level	Total # of Changes	Top Four Local Problems Detected by Students
Advanced	45	Ineffectiveness (33%), Word choice (11%), Tense (11%), Prepositions (9%)
Intermediate	32	Ineffectiveness (22%), Word choice (13%), Prepositions (9%), Part of Speech (9%)
Basic	30	Ineffectiveness (60%), Word choice (7%), Prepositions (7%), Tense (7%)

Students at all three levels self-detected many types of local problems in their texts. Among them, ineffectiveness, word choice, and prepositions were the most frequently detected problems shared by students of all three levels. Table 5 shows examples of frequent problems in student essays that students self-detected most often:

Table 4

Types of Most-Frequent Student-Detected and Self-Corrected Local Problems

Type of Problem	Example	Change
Ineffectiveness	I felt frustrated. After this winter, . . .	I felt frustrated completely. After this winter vacation, . . .
Word Choice	We were required to *remember one article every week.	We were required to memorize one article every week.
Preposition	We felt ashamed *to ourselves.	We felt ashamed of ourselves.
Tense	Our human beings *didn't change much from past till now.	Our human beings haven't changed much from past till now.
Part of Speech	In today's social, . . .	In today's society, . . .

What is worth noting is that ineffectiveness, which ranked as the top among all the self-detected problems, is not a grammatical or mechanical error, but spots where students decided to modify. The results show that 33% of the advanced, 22% of the intermediate, and 60% of the basic level students' self-detected problems belong to the category of ineffectiveness. To deal with the ineffectiveness, students added details/words such as adjective clauses, prepositional phrases, or adverbs, and they also reworded a sentence, deleted words, replaced the vague words with specific ones, or added modals to show possibility. Their modification did increase clarity, and their writing became easier for the

audience to understand.

In addition to ineffectiveness, two other types of the most often self-corrected local problems shared by students at three levels are word choice and prepositions. Word choice took up 11%, 13%, and 6% of the total local problems self-detected by advanced, intermediate, and basic level students respectively. Moreover, problems in prepositions detected by students of advanced and intermediate levels were 9% each, which is a little bit higher than the basic level students' 7%. Thus; students at higher proficiency levels were more able to self-correct word choice and preposition problems than basic-level students.

Tense errors were also among students' frequently corrected local problems. 11% of the advanced, 6% of the intermediate, and 7% of the basic level students' self-corrected local problems are tense errors. The rest of the grammatical and mechanical errors that were self-corrected by students at all three levels include problems in punctuation, articles, conjunctions, verb forms, sentence structures (missing a verb, an object, or a relative pronoun), idiomatic expressions, pronoun references, run-ons, and fragments. However, each of these errors was self-corrected only once or twice in each level students' texts.

Problems in Students' Texts Detected by the Teacher

The reading aloud sessions also allowed the teacher to mark the global and local problems that she found in students' texts. To obtain a clearer picture of the effectiveness of RA on students' revision, the numbers of problems that the students' detected and that the teacher detected were compared.

Teacher-detected Global Problems. The global problems identified by the teacher can be categorized into four major areas: unity, support, coherence, and logic. The last area, logic, is an area that only the teacher detected. The global problems detected by the teacher are 24, 20, and 42 at the advanced, intermediate, and basic level students' texts respectively. Below is a table of the most frequent problems that the teacher found in the students' texts of each level.

Table 5

Global Problems Detected by the Teacher

Level	Quantity	Global Problems Detected by the Teacher
Advanced	24	Support (29%), Logic (29%), Unity (25%), Coherence (17%)
Intermediate	20	Unity (47%), Support (29%), Coherence (18%), Logic (6%)
Basic	42	Support (64%), Logic (17%), Coherence (12%), Unity (7%)

An examination of the distribution of global problems reveals that advanced level students had a more even distribution in all four types of problems than students of two other levels. The most noticeable result is that the problems of support occupy 64% of all the problems the basic level students have. The problems of support are mostly caused by underdevelopment, such as incomplete meaning, incomplete explanations, or lack of

continuity between one idea and another. Other problems of support include redundancy, un-specific evidence, or unbalanced support (e.g., too much information about the background yet not enough about the topic).

Logic problems are also very frequent in the advanced and basic level students' texts. In fact, for the advanced students, the logic of writing is as challenging as the support: Each one of them occupies 29% of their global problems detected by the teacher. Oftentimes the logic problem is in the relationship between cause and effect: The cause does not necessarily lead to the effect; or the effect is exaggerated, forming over-generalization. Other times students were not aware that the information they provided in different places was in conflict. Yet other times, the students were not aware that there was a gap between the lead and the thesis statement.

Unity is the area that intermediate level students have most global problems. It is also the source of the third and the fourth most frequent global problems found in advanced and basic level students' texts. Some frequent problems include (1) the main point is not mentioned or not clear, (2) the focus of the essay is not right, and (3) the information provided is irrelevant to the topic.

Coherence is yet another area that causes global problems for students at all three levels, although the frequency of coherence problems is the lowest among the four areas of global problems. Coherence problems take various forms. For example, mismatches between the title and thesis statement, between the introduction and body, and between the body and conclusion. In addition, using inappropriate transitions and presenting new information in the conclusion were also common.

Teacher-detected Local Problems. In the advanced, intermediate, and basic level students' texts, the teacher found 53, 63, and 147 local problems respectively. It is clear that the lower the proficiency level, the more the local problems students have. Below is a chart that records the most frequent local problems detected by the teacher.

Table 6

Local Problems Detected by the Teacher Most Frequently

Level	Quantity	Top Four Local Problems Detected by the Teacher
Advanced	53	Word choice (25%), Prepositions (13%), Idiomatic (9%), Tense (9%)
Intermediate	63	Word choice (11%), Prepositions (10%), Idiomatic (10%), Run-ons (8%)
Basic	147	Word choice (21%), Prepositions (10%), Idiomatic (10%), Discourse Markers (7%)

The top three most frequently found local problems in students' texts at the three different levels are the same: Word choice, preposition, and idiomatic expressions.

Word choice appears to be the most challenging item for students at all three levels. Word choice problems may result from students' unfamiliarity with usages of certain words. It took up 25%, 11%, and 21% of the total local problems found in advanced, intermediate and basic level students' texts. In the advanced and basic level students' texts, the frequency of word choice problems is almost twice that of prepositions, the second

most frequent problems.

Looking at the second and third most frequent problems, we can find that the rates of both prepositions or idiomatic expressions are the same 10% for either intermediate or basic level. Therefore, prepositions and idiomatic expressions are equally difficult for students of these two levels.

In addition to the top three most frequent local problems, students at all three levels also share the following types of problems: tense, articles, capitalization, run-ons, and wordiness. Yet the frequencies of these problems are much lower.

Efficacy of RA on EFL Writers' Revision

Two questions in this study are (1) which level of students benefited most from RA, and (2) in what area they benefited most. The results indicate that RA helped the basic level students more than students of two other levels in detecting global problems. The ratios of student-self-detected to teacher-detected global problem at advanced, intermediate and basic levels are 25%, 25%, and 29% respectively. Although the basic level students' ratio of self-detected global problems is 4% higher than the ratios of two other levels, the difference is not significant because the total numbers of global problems self-detected by all three level students are not high. The global problems detected by students and teacher most often at each level do not completely match. While advanced students self-detected most global problems in unity, the teacher found they had most problems in support. The intermediate level students self-detected most problems in coherence, yet the teacher found they had most problems in unity. The basic level students self-detected most problems in support, and this is the only group that matched what the teacher detected. However, no students at any level detected any logic problems, which may suggest that they had little experience in dealing with logic problems prior to this study.

While RA is most beneficial for the basic level students to detect global problems, it is most beneficial for the advanced level students to detect local problems. Comparing the ratios of student-detected local problems to teacher-detected local problems, the advanced level students' is the highest (89%), much greater than the intermediate level (51%), and basic level (20%). That is, when advanced level students read aloud, they can find more local problems than intermediate and basic level students can do.

An examination of the local problems self-detected by students reveals that ineffectiveness was what all the students self-detected most often. As mentioned earlier, ineffectiveness is not a grammatical or mechanical problem, but the spot that students felt they wanted to change so that their meaning could become more effectively expressed. The basic level students had the highest rate of detecting ineffectiveness. In addition to ineffectiveness, grammatical or mechanical problems were the local problems that students could self-detect with higher rates of success than other types of local problems: 67% of the local problems detected by the advanced level students, 78% of the total local problems detected by the intermediate level students, and 40% of the total local problems detected by the basic level students were grammatical or mechanical problems. These

findings suggest that after reading aloud, basic level students are not as good as intermediate and advanced level students in detecting grammatical or mechanical problems.

Ineffectiveness is not an item identified by the teacher. It is because the problems of ineffectiveness perceived by the students sometimes were not considered to be ineffective by the teacher. Students were the ones who could decide whether they needed to add a prepositional phrase here or a few words there. Oftentimes, without the addition, the sentences were still correct or clear enough to understand.

In addition to ineffectiveness, word choice and prepositions are two local problems that both students and the teacher detected most frequently. However, a closer look at the results in Appendix E reveals that students of advanced and intermediate levels detected just about 50% of the word choice or preposition problems detected by the teacher, and basic-level students detected only 6% of the word choice and 13% of the preposition problems that were detected by the teacher. In other words, there were still a great number of word choice and preposition problems that students were not able to detect.

Furthermore, the results also show that the teacher found that local problems in idiomatic expression were the third most frequent local problems in the students' texts at all three levels, but they were rarely detected by students. In fact, there was only one case of idiomatic expression correction made by an advanced level student. Therefore, it is not exaggerating to say that problems in idiomatic expressions can be extremely challenging for EFL students to detect.

Moreover, run-ons and discourse markers are two other types of problems that teacher often detected but students did not. Run-ons are the fourth most frequent problems that the teacher found in intermediate level students' texts. The results show that there was only one case of run-on corrected by an advanced student. Problems in discourse markers are also the fourth most frequent problems in basic level students' texts yet rarely detected by the students. Both run-ons and discourse markers are related to the junction of two thoughts. Students' lack of ability to deal with them may suggest that intermediate and basic level students have more problems in identifying the boundary of thoughts and the logic between one thought and another.

Over all, the modification students initiated during RA mostly resulted in improvement. Occasionally, however, RA also caused the students to make unsuccessful or undesirable changes, which resulted in grammatical errors, unconventional wording or less effective sentences. Below are some examples from the students' texts:

1. My father **who* likes reading and also likes buying me books. ("who" added)
2. I didn't know what the words in the books ~~mean~~ **meaning*.
3. I had a passion ~~for~~ **of* reading.
4. I wanted nothing **for me* but my mother's approval ("for me" added).

The undesirable changes triggered by RA were found in students' local changes only, and the problems tended to happen more frequently when beginning level students read their writing aloud. Although the undesirable changes did not happen very often, it is clear that RA is not definitely helpful for EFL writers, especially for those who have less developed sense of what sounds right.

So far we have covered the most frequent problems found in the students' texts. Now we turn to the second major category of the research data—the interview results.

The Results of the Interview

The results of interview show that 94% of students have the habit of revising their writing, and 60% of them usually revise their writing by reading aloud. At the advanced level, 50% of the students prefer to read their drafts aloud; at the intermediate level, 75% of the students prefer to read aloud; at the basic level, 60% of the students prefer to read aloud. Thus, the intermediate level students have strongest preference in reading aloud.

In the interview, 80% of all students, even including some of those who prefer reading their drafts silently, agreed that RA did help them. Among them, 60% felt RA was very helpful, and 20% of them felt RA helped, but not much. In the teacher/ researcher's observation, 95% of students made some changes as they were reading their writing aloud to the teacher. In answering the question how RA helped them, 89% of the students felt that RA helped them become more aware if the language they used was accurate or clear enough to express their meaning, 71% of them felt RA helped them understand the audience's needs, and 57% of them felt RA could help them overcome writer's block.

In terms of their affective level, 78% of students felt relaxed when they read their writing aloud to the teacher. Some positive comments include: "I know the purpose of RA is to help me improve my composition," "I know exactly what I want to express," and "I feel like reading to a friend who is concerned about my writing." However there were also some students who were more reserved. One student felt "nervous" because she was afraid the teacher could not understand her writing. Another student felt "RA is interpersonal, and I'm not used to reading my thought out loud to teachers, especially." Yet another student expressed: "At first I felt nervous because I thought my writing was poor. But later, after reading my writing aloud and talking with the teacher, I became relaxed because I knew I could still do something to improve it."

In one question, the students were asked if they would be distracted by pronunciation when reading their writing aloud. Although 53% of students answered "no," 47% expressed that they would. Among those who would, one student stated, "I'm always aware how I sound when I'm reading aloud," another student worried about her "poor" pronunciation, yet another student said, "I felt I had to continue reading and I had no time to think about the meaning."

In the question regarding whether students can see their writing from the audience's point of view when they read their writing aloud, 44% affirmed that they could, 11% felt not sure, and 56% of students stated they could not. A student who answered "No" explained, "I would think in my own logic, and I felt satisfied with the content when I finished writing. I knew the background of my content, without thinking about what others might not know."

In the last question, the students were asked when they re-read their writing to revise, if they re-read a small portion (words or sentences) or a larger portion (a whole paragraph

or paragraphs) before and after the place where they wished to change. The majority (78%) of the students would re-read a larger portion, even though that their proficiency levels were different. One student noted, “I usually do so because I can know if the paragraph is fluent or not.” Only 22% of students would read a small portion. In this 22%, there were both advanced and basic level students.

Summary and Discussion

In this section, the key findings are first listed and then discussed. Below are the key findings.

1. RA did trigger EFL students to make self-initiated revision.
2. Regardless of students’ proficiency levels, most changes students made are local changes. Among them, modification of the ineffectiveness of sentences ranks the top. Other local changes are fairly few.
3. Although RA helped students most in making local changes, problems of word choice, prepositions, and idiomatic expressions are still difficult for them to self-detect.
4. RA was not quite effective in helping EFL writers revise globally. Less than 30% of the revisions students at all three levels made are global revisions.
5. The higher the students’ proficiency level, the more they gain from RA for local revision. RA appears to be most beneficial for the advanced level students to make local changes.
6. RA occasionally triggered students, especially of the basic level, to make unsuccessful changes.
7. Most students perceived RA as a useful revision strategy.

The findings show that RA did help students at all three levels revise their texts. It was particularly helpful for students to make local revisions: Over 70% of all the changes students made are local or at sentence level. There are two major categories of local problems students can self-detect as a result of reading aloud: One is the ineffectiveness in writing, and the other one is grammatical/mechanical errors. The ineffectiveness students could self-detect was mostly at sentence level, and they dealt with the problems by adding words or prepositional phrases to improve the clarity of the information. Students at all three levels revised ineffectiveness most often when they read their drafts aloud. In fact, RA proves to be most effective in helping the basic level students detect ineffectiveness, as 60% of their self-initiated revision is about modifying the ineffectiveness of their writing. This shows RA can help students, even students at basic level, engage in rhetorical concern. In addition, vocalization during revision when students think about the language and content may facilitate revision to an even greater extent; in this study, the basic level students did capitalize on RA as the “running accompaniment” described by Vygotsky (1962, 1978)” (Hedgcock & Lefkowitz, 1992, p. 259).

RA also helped students detect various types of grammatical problems, yet there were also other local problems that RA offered little help. The ratios of the of students’ self-initiated to the teacher’s recommended changes reveals that there were still a great number of problems in word choice, prepositions and idiomatic expressions un-detected

by students. Problems in these areas appeared to be very difficult for EFL learners to self-detect and self-correct because the correct usage depends much on the native speaker's competence. In other words, rules printed in grammar books cannot possibly provide everything L2 writers need to know in order to avoid errors. On the other hand, RA occasionally triggered unsuccessful corrections, making the original correct sentences wrong. This happened more frequently in beginning level students' revision while they were reading aloud. These findings confirmed what Matsuda and Cox (2009) have speculated: RA may not work well for the EFL or ESL students who have not developed that intuitive sense of the English language.

Furthermore, RA is not effective in helping them detect global problems. Students at all three levels in general detected about just one quarter of the global problems that the teacher detected. This lack of efficacy in detecting global problems may be attributed to that reading aloud may present a cognitive challenge to some students whose second language is not proficient enough for them to stay focused on many things at once. When reading their writing aloud, L2 writers' attention is split among several different demands: form, meaning, and even pronunciation. Based on Skehan and Foster (2007), humans have limited information processing capacity and must therefore prioritize where they allocate their attention. Learners cannot pay attention to language forms without a loss of attention to language content (VanPaten, 1990). When the learners have an even more pressing concern--to vocalize their writing, some of them may not be able to make use of everything they know to examine the form and meaning of their writing. That is, when their proficiency level in the English language is not high enough for them to stay focused on several things at once, some of them may shift their attention to pronunciation while reading aloud. The findings reveal that 47% of them were distracted by their pronunciation; consequently, it was difficult for them to pay attention to the global problems. Furthermore, some of them did not feel comfortable reading aloud to a teacher. When reading to the teacher becomes stressful, it was difficult for them to think about any local and not to mention global matters.

Although the changes triggered by RA were limited, the participants of this study generally had positive attitudes toward the use of RA as revision strategy. The majority of them expressed that RA helped them become more aware if the language they use is accurate or clear enough to express their meaning. Some of them expressed that RA helped them overcome writer's block; others stated RA helped them see what changes they need to make so that the audience can understand them. Furthermore, most students agreed that RA helped them see what they need to add to make the writing more concrete to the audience.

The interview results also indicate that the majority of the students could concentrate on revising their drafts, yet close to half (47%) of the students felt they were distracted by their pronunciation. Matsuda and Cox (2009) have pointed out that reading aloud may shift the writer's attention to pronunciation; consequently, students may miss the purpose of reading aloud for revision. Although reading their writing aloud did trigger noticing, which prompted the majority of students to consciously recognize some of their writing

problems, RA also triggered some students to notice their pronunciation. For instance, one of them worried about her poor pronunciation, another paid more attention to how she sounded, yet another one felt she was obligated to keeping the reading (vocalizing) going until it was concluded. Results like these suggest that RA may not be an appropriate revision strategy for all EFL students.

Hedgcock and Lefkowitz (1992) have argued that reading one's text aloud to attentive peers may foster an awareness of audience. In the interview, students were asked if they could see their writing from the perspective of an audience. Only 44% of the students said they could, and 56% of them said no. However, the results also show that when students read aloud, the most frequent action they took in their reviewing process was to modify the ineffective sentences by adding more information. This modification may indicate that they were aware of the audience, but they might not completely understand the question.

In the affective level, most students expressed they felt relaxed when they read aloud. Only 22% of students felt nervous due to a lack of confidence in writing (e.g., "I am a poor writer"), feeling uncomfortable to read personal thoughts to a teacher, or feeling their writing or pronunciation was not understandable to the teacher. Yet one student felt nervous first but relaxed later as the interaction between the teacher and her made her believe there was still hope to improve her writing. Apparently, the rapport between the student and the teacher seemed to have influenced the student's perception of reading aloud. For most students, RA did not make them nervous. They explained that they felt they were reading their drafts to a concerned friend, they had confidence in their writing, or they trust that the teacher is asking them to do something that will help them improve. In sum, affective factors do influence students' attitude toward the use of RA.

Conclusion

This study was inspired by Hartwell's (1997) statement that L1 writers can correct in essence all errors of spelling, grammar and punctuation by reading their writing aloud. The researcher wondered to what extent reading aloud could help L2 writers. The results of this study show that RA can trigger EFL students at various levels to make self-initiated revision, although not as comprehensive as what L1 writers could do after reading aloud their writing. The global problems students could self-detect were fairly limited. Most of the self-initiated revision is local. Even so, RA has proved to be helpful for students to self-detect the ineffectiveness in writing, albeit at sentence level. Overall, students at higher proficiency can benefit more from RA than students at lower proficiency in detecting local problems.

The results of this study also show that problems in word choice, prepositions, idiomatic expressions, and tense are most frequent yet very difficult problems for students to self-detect, even if they have read their writing aloud many times. One common characteristic of these problems is that they are all competence-related. When EFL writers have not developed their L2 competence, in this case their English sense, similar to that of native speakers', it is difficult for them to detect and correct these problems by reading

their texts aloud.

Furthermore, reading aloud may help students notice the language they produced, both written and pronounced. During RA, most students in this study could concentrate on the texts they wrote, yet some students noticed their pronunciation more; as a result, they missed the purpose of applying RA as a revision strategy. Moreover, interview results reveal that students' confidence in writing and/or pronunciation, and their trust in their teacher may influence their attitude toward RA.

Zamel (1983) has argued that proficient ESL writers have been found to revise substantially after reading their texts aloud. Yet in this study, even the advanced writers did not revise "substantially." In fact, students at all three levels did very little global revision. One possible explanation is that in this study the proficiency level of the advanced students is not high enough. Meanwhile, some of the students' anxiety levels might be raised due to their pronunciation or their worries about facing a teacher as their audience. Consequently, they did not make much global revision.

Limitations and Implications

One limitation of the current study is the low number of participants. Although 28 students participated in this study and each of them produced two drafts, each level has only 9 or 10 participants. Also, there was only one rater. Researchers of future studies can increase the numbers of both raters and participants in order to improve the reliability of the results.

The research design of a future study can also be improved by recruiting two groups of students whose English proficiency levels are sharply different, e.g., one equivalent to the superior level of GEPT, and the other one, intermediate level of GEPT. By doing so, the findings may reveal even more about the interface between the participants' L2 proficiency and their revision via RA. Nonetheless, this study has some important implications for teaching and research.

Implications for Teaching

In terms of teaching, we have learned that RA may help, but it is not a panacea, and it may not be suitable for every student. Also, teachers may want to establish a good rapport with students before they ask students to read aloud to them, for some students may not feel comfortable reading their writing aloud to teachers. Furthermore, since some accurate language usage may depend on the native speakers' competence, teachers may want to explicitly point out the problems related to students' competence and tell students to accept or even memorize how certain words, prepositions or idiomatic expressions are used by native speakers of English. Lastly, to help students benefit most from RA, teachers may need to emphasize that (1) students should read in a way that they can understand the meaning of the texts (e.g., with more intonation), and (2) students should feel free to stop any time to mark the parts that they wish to revise.

Implications for Research

This study can be seen as a stepping stone for some future studies on reading for revision. A future study may compare the effect of reading aloud with reading silently, as this study shows that some students did not feel comfortable with reading their drafts aloud. Another future study may compare the effect of students who read aloud twice with students who did a combination of reading aloud once and reading silently once, because some writers do use both in their revision. Yet another future study can compare the effects of students reading aloud with the teacher reading aloud on students' revision, so that we can know which method can help students more.

Despite its limitations, this study has shed light on what RA can do to help EFL writers revise. The results have informed writing teachers the problems that students can or cannot self-detect by EFL students at various proficiency levels after reading their writing aloud. The results of this study have further informed teachers how EFL students perceive the use of RA in their revision. With this understanding, writing teachers can design appropriate lessons or syllabi to help students revise more efficiently and effectively.

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Appendix A Writer's Profile

Name: _____ S. ID# _____

Email: _____ Cell Phone: _____

1. Number of years you have learned English _____
2. Have you studied or lived in an English-speaking country before? _____
If yes, how long? _____ How old were you when you were there? _____
3. Have you studied in an English-only program/cram school before entering THU?
_____, how long? _____
4. Which of the following English tests have you taken?
Please circle: GEPT, IELTS, TOEFL, or TOEIC
Which level did you pass? _____ (Or what is the score? _____)
1. What were the grades in Comp I? Fall (上) _____, Spring (下) _____
2. As a sophomore English major, how many hours at school are you exposed to English every week? _____
3. Do you like to see English movies? _____ If so, how often do you see English movies?
(_____ per month, or _____ per year)
4. Do you like to read in English? _____ How many hours per week do you spend on reading English (including, textbooks, Internet and other things for pleasure)? _____
5. Do you write journals, blogs, or communicate with friends in English? _____
If so, how much time per week do you spend on writing something in English? _____
10. Do you usually think in English or Chinese when you compose? _____
11. When you finish your writing, do you usually revise it? _____
12. If you do, which strategy seems to help you more? Please circle one:
A. Reading aloud B. reading silently
13. In Question 12, if you choose "A. Reading aloud," please circle one of the following:
A. You just do it naturally
B. You've learned to do so from someone or a teacher
14. Do you feel comfortable reading aloud your writing to an audience? _____

Appendix B Assignment I

Working part time will have an impact on students' learning—be it good or bad. Write an essay in which you argue for or against the idea of working part time while attending college.

Appendix C Assignment II: Literacy Autobiography

Definition: Literacy means ability to read and write. Therefore, this assignment is to write your personal story about how you have become a person who can read and write.

Instructions:

1. Divide your life into several sections chronologically--from childhood till now.
2. For each section, brainstorm the literacy events or experiences that made you feel positive or negative about reading or writing. How did you start to read or write? What experiences have made you want to read or write more? What experiences have made you feel frustrated about reading or writing?

3. Among the brainstorming results, select the most important events in life: What has changed your view toward reading and writing (in both Chinese and English)?
4. After you did 1-3, now you can write your first draft. Use appropriate transition words to show the chronological development.

Appendix D My Perception of Reading Aloud

Name: _____ Major English Exam(s) Passed: _____
 Comp I grades (上) _____, (下) _____ Diagnostic Writing: _____
 Do you have the habit to read aloud (RA) when you revise? _____

1. When you read aloud your draft to revise, whom do you prefer to read to? 當你出聲讀稿做修改時，你比較喜歡念給誰聽？
 - a. the teacher _____
 - b. yourself _____
 - c. a peer reviewer _____
 - d. It makes no difference _____
2. What does RA help you notice? 出聲讀稿能幫你注意到什麼？
3. How helpful is reading aloud (RA) to your writing revision? Please circle the number that best describes how you feel: 出聲讀你自己寫的東西，對你的文章修改，幫助有多大？

1	2	3	4	5
useless	may help but not much	not sure	helpful/useful	very useful
4. How has RA helped you? 出聲讀稿對你有哪些幫助？(可複選)
 - _____ a. Audience awareness: RA has helped me become aware what I need to change so that my audience can understand my intent. 幫我了解該改變什麼部份才能讓讀者看懂我的本意
 - _____ b. RA has helped me overcome writer's block (i.e., when I get stuck, I read aloud so that I know how to continue). 在沒靈感時或腦袋打結時，RA 可以幫我想出下面該怎麼接
 - _____ c. RA has helped me become aware if the language I use is accurate or clear enough to express my meaning (i.e., aware of the proprieties of the language). RA 讓我感覺到我用的字(或句子，或段落)是否能準確表達我的意思。
 - _____ d. Others 其他: _____
5. How did you feel when you read aloud your writing to the teacher? 讀給老師聽時，你感覺如何？
 - a. Nervous (Why? _____)
 - b. Shy (Why? _____)
 - c. It bothers me because _____
 - c. Relaxed
6. Do you get distracted by your pronunciation when you read aloud to the teacher? Circle one of the below choices: 讀給老師聽時，你會被你的發音干擾嗎？
 - a. Yes. 會。 b. No. 不會。
7. When you read to revise, do you usually re-read 當你讀稿修改時，你會重讀
 - A. a smaller portion (the words or sentences) or 一小部份 (字或句)

- B. a larger portion (the whole paragraph and/or the paragraph before and after the place where you wish to change)? 一大部份 (一整段, 或修改部份加前面及後面的段落, 一併都讀?)
8. When you are reading aloud, what gets your attention more often? 當你出聲讀稿時, 你會較常注意到下列哪一項?
- more on grammar accuracy 偏重文法正確與否
 - more on meaning 偏重意思
 - both are equal 兩項平均, 都會
9. What areas does RA help you improve? 出聲讀稿能幫你改進哪些方面? (可複選)
- Content (main idea, support) 內容 (主題, 支持)
 - Organization (transitions, logic) 組織 (轉接, 邏輯)
 - Grammar 文法
 - Spelling 拼字
 - Awareness of what is missing 知道缺了什麼
 - Others 其他

10. Would you recommend RA as a revision strategy to other students who do not know it?

你會推薦出聲讀稿這種修改作文技巧給其他不知道這個技巧的同學嗎?

Yes _____.

Why? _____

What did RA help you most? _____

No _____.

Why? _____

Appendix E Complete Results

Global and Local Problems Detected by Students and the Teacher

Level	Ss-Self-local	T-local	Ss-Self-global	T-Global
Advanced	1. Ineffectiveness =15 a. Add details = 5 b. Add prep phr = 4 c. Add an adverb =1 d. Add words =1 e. Change or reword = 2 f. Delete words =2 2. WC (word choice) = 5 3. ts (tense) = 5 4. Prep. (prepositions)= 4 5. Add punct (Punctuation) = 3	1. WC =13 2. Prep=7 3. Idiomatic=5 4. Tense = 5 5. Art =4 6. Awk =4 7. Caps =3 8. Conj =3 9. Pronoun Ref =2 10. Add modal =1, 11. Add "that" =1 12. Run-on = 1 13. Choppy sentence = 1 14. Wordy =3 <i>In total: 14 types of errors, 53 recommended changes</i>	A. Coherence =2 1. Adding concluding remarks =2 B. Unity =3 1. Changing the title 2. Delete irrelevant info=2, C. Support=1, add a sentence <i>In total: 6 changes</i>	A. Support =7 1.incomplete =1 2. Unclear =1 3. Lack of development =2 4. Redundant=1 5. Unneeded =2 B. Logic = 7 C. Unity = 6 1. No main point x2 2. Not matching the support x2 3. Not addressing the topic 4. Irlv info D. Coherence = 4 1. Conclusion not brought back to the main point 2. New info in the conclusion <i>In total: 24</i>

	6. Add an article =2				<i>recommended changes,</i>
	7. Conj. =2				
	8. Add a verb =2,				
	9. Add a noun = 2				
	10. Change part of speech =2				
	11. Correct idiomatic expression= 1				
	12. RO =1				
	13. pronoun reference = 1				
	<i>In total: 45 changes were made.</i>				
Inter-mediate	1. Ineffectiveness =7	1. WC = 7	A. Coherence =3	A. Unity = 8 (Unclear title, focus, unspecified main point, irlv, No topic sentence x2)	
	a. Rewording =3	2. Prep. = 6	1. Add conclusion =1		
	b. Adding details=2	3. Idiomatic = 6	2. Add transitions =2		
	c. Add adj clause =1	4. Run-on = 5	B. Unity =1	B. Support= 5 (underdeveloped x2, incomplete, clarity x2, unspecific)	
	d. Adding adverb =1,	5. Count/non-count =3	1. Delete unneeded info		
	2. WC = 4	6. Pronoun =3	C. Support =1	C. Coherence= 3 (example not matching main point x2, transition—lack of variety);	
	3. Prep =3	7. Wording =3	1. Gave background information, one OK, but no need	D. Logic =1	
	4. Part of spch = 3	8. Awkward sent =2		<i>In total:, 20 recommended changes</i>	
	5. Add punct = 2	9. Part of spch =2			
	6. Add article = 2	10. Wrong transition =2			
	7. Add which, who =2	11. Tense =2			
	8. Add obj =2	12. Article =2			
	9. Capitalization =2	13. Verb form =2			
	10. Tense =2	14. Redundant words =2			
	11. Prounoun =1	15. Hedge =2			
	12. Correct Frag. =1	16. 1 each: Conj, Number consistency, Cap, Tense, Faulty parallelism, Word order, Fragment, Format, Extra word, Compound noun			
	13. Verb form =1	17. Wordy =3			
	<i>In total: 32 changes were made</i>				
		<i>In total: 28 types of problems, 63 recommended changes</i>			
Basic	1. Ineffectiveness =15	1. WC = 31	A. Support = 8	A. Support	
	a. Add details =4	2. Discourse marker = 10	1. Add lines =4	1. incomplete = 5	
	b. Delete a word /words= 2	3. Idiomatic = 15	2. Drop lines = 1	2. incomplete meaning, underdeveloped/gap = 13	
	c. Add words = 5	4. Prep = 15	3. Rewrite sentences = 3	3. Lack of explanation of a proper noun =2	
	d. Change a word	5. Pron = 7	B. Unity =2	4. Not specific =2	
		6. Punct=7	1. Increase clarity of the thesis = 1	5. Overlapping points (redundant) =2	
		7. Unclear/inconsistent pronoun =6	2. Add a thesis =1		
		8. Relative pronouns =6	C. Coherence = 2		
		9. Wordiness =5	1. Shift a sentence around =1		
		10. Articles = 5			
		11. Tense =4			

= 1 (+1 no need)		12. Cap =4	2. Add something to connect ideas	6. Unclear meaning =2
e. Change to specific words =1		13. Unclear wording/noun =4		7. Not appropriate definition =1
f. Add a modal to show possibility =1		14. Modal aux =3		B. Logic =7
		15. Verb form =3		1. Over-generalization x2,
		16. Frag. = 3	<i>In total: 12 changes</i>	2. misplaced info and others x 5)
		17. Sp=2		C. Unity =3
		18. RO= 2		1. unclear title,
		19. Plurality =2		2. out of track,
		20. Fragment =2		3. Lack T.S.
		21. Number -s, inconsistency =2		D. Coherence = 5
		22. Passive voice =2		1. wrong transition
2. Useless changes = 2		23. No verb =2		2. New info at the end;
Add some words (but no need); but-however		24. This/that =2		3. Inconsistency between thesis and title;
3. Tense = 2		25. Verb form =1		4. Gap between lead and thesis)
4. Add prep= 2		26. Hedge =1		5. Info out of place =1
5. WC = 2		27. Faulty parallelism =1		
6. Art =1		28. Lack of a transition =1		
7. Verb form =1		29. Unfamiliar with whether to use "be": are lack of morals. =1		
8. Sp =1		30. Prt of spch =1		
9. Pron. = 1 each		<i>In total = 147 recommended changes</i>		<i>In total: 22 types of problems, 42 recommended changes</i>
10. Add a comma =1				
11. Add an object (pronoun) 1				
12. Add a transition =1				
<i>In total: 30 changes.</i>				

Simplification in Translated Chinese Texts: A Corpus-Based Study on Mean Sentence Length

Ting-hui Wen*

Abstract

Mean sentence length is proposed as a measure of simplification: if a text has shorter mean sentence length, it is assumed to be simpler for readers to comprehend. Since translated texts are hypothesized to be simpler than non-translated text, they would presumably exhibit shorter mean sentence length. The present research aims to investigate, using corpus-based methods, the phenomenon of simplification in translated, compared to non-translated, Chinese texts. This paper focuses on measuring sentence length of the translated texts in the Corpus of Comparable Mystery Fiction, analyzing the results of mean sentence length and its additional measures: mean sentence length in terms of characters, mean sentence sub-unit length in terms of words and mean sentence sub-unit length in terms of characters.

The measure of mean sentence length and its additional measures render consistent results showing that the translated texts of the corpus under study exhibit shorter sentence length than the non-translated texts.

Keywords: corpus-based translation studies, simplification, mean sentence length

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漢語翻譯文本中的簡化現象：以語料庫方法探究平均句長

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摘要

平均句長是簡化現象的測量方法之一：如果一個文本的句長較短，通常被認為較簡單，讓讀者易於了解。假設翻譯文本比非翻譯文本簡單，翻譯文本的平均句長就比較短。本研究旨在以語料庫方法研究漢語翻譯文本中的簡化現象，而且特別針對平均句長做研究。本研究所使用的語料庫為自建的懸疑小說可比語料庫（The Corpus of Comparable Mystery Fiction），分析平均句長（以詞計算）以及其延伸的測量方法：以字計算的平均句長，以詞計算的平均小句長和以字計算平均小句長。

分析平均句長以及其延伸的測量方法的結果皆顯示本語料庫的翻譯文本的句長比非翻譯文本的句長短。

關鍵詞：語料庫翻譯學、簡化現象、平均句長

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Introduction

In 1996, Mona Baker proposed four recurrent translation features: explicitation, simplification, normalisation and levelling out. Based on Baker's hypothesis, Sara Laviosa-Braithwaite (1996) then created the Translational English Corpus (TEC), adopted four measures from corpus linguistics—i.e., type/token ratio, percentage of high frequency words, lexical density and mean sentence length, to investigate simplification in translated texts. According to Laviosa-Braithwaite, translated texts tend to exhibit a higher type-token ratio, a higher percentage of high frequency words, a lower lexical density and a shorter mean sentence length.

The Comparable Corpus of the Chinese Mystery fiction (hereafter the CCCM, please refer to Appendix 1 for a complete list of texts included in the corpus under study), was created especially for the purpose of this study. Mystery fiction as a sub-genre was chosen as the object of this study due to its manageable size, its popularity in Taiwan and personal interest of the researcher. The CCCM consists of two subcorpora, one translated and one non-translated. The sizes of the two subcorpora are listed in Table 1:

Subcorpus	Number of texts	Number of words	Number of characters
Translated	8	787,128	1,191,734
Non-translated	12	823,600	1,245,455

Table 1 The size of the corpus

This paper focuses on one of the measures of simplification, i.e., mean sentence length, analyzing the results of mean sentence length and its additional measures: mean sentence length in terms of characters, mean sentence sub-unit length in terms of words and mean sentence sub-unit length in terms of characters. Mean sentence length is proposed as one of the measures of simplification: if a text has shorter mean sentence length, it is assumed to be simpler for readers to comprehend. Since translated texts are hypothesized to be simpler than non-translated texts, they would presumably exhibit shorter mean sentence length.

The texts in the CCCM have to be word-segmented before mean sentence length of a text is measured. Therefore, the basic concept of a Chinese word is discussed and the application of mean sentence length to the Chinese language is explained in section II. Mean sentence length in terms of Chinese characters is then proposed as an additional measure for the following two reasons: the definition of words in Chinese is still controversial; and the program of word-segmentation cannot achieve a hundred per cent accuracy.

Section III first presents the definition of a Chinese sentence. Punctuation is a relatively new and not well-developed concept in the Chinese language. A Chinese sentence is more a “discourse” unit: it can be as long as a whole paragraph and include different information relating to the same topic. Therefore, in addition to mean sentence length, an additional measure of mean sentence sub-unit length, with sentence sub-units defined as the segments between two commas, full stops, exclamation marks, question marks, semicolons, and colons, is proposed due to special characteristics of Chinese sentences. Mean sentence sub-unit length is also measured both in terms of words and characters.

The hypothesis, the results and tests of statistical significance of mean sentence length in terms of words (section IV), mean sentence length in terms of characters (section V), mean sentence sub-unit length in terms of words (section VI), and mean

sentence sub-unit length in terms of characters (section VII) are discussed in detail from sections IV to VII respectively.

II. Measuring mean sentence length in Chinese

1. Definition of Chinese characters and words

Since “words” are basic units in calculating mean sentence length, a discussion of what constitutes a Chinese word is appropriate here. In written English, words are formed by the continuation of a series of letters, with a break or space indicating separate units. Unlike English, Chinese words are formed by “characters,” rather than alphabetic letters, and there is no space between Chinese characters or words. Example (1a)¹ shows one Chinese sentence and its translation, and as noted, there are no spaces between words or characters.

(1a) 這幾年走在台北街頭，人們可以明顯感覺到日本觀光客似乎變多了，無論在故宮、永康街鼎泰豐、夜市、或各個捷運站，常可見東瀛客手持旅遊手冊，用好奇的眼神按圖索驥，期待貼近台灣民間的生活氣味。

Over the last few years, there has been a perceptible increase in the number of Japanese tourists in Taipei. You see them everywhere—the National Palace Museum, the famed restaurant DinTaiFung on Yungkuang Street, night markets, MRT stations—taking in the sights with guidebooks in hand, trying to get a glimpse of Taiwanese life.

If words are not segmented, *WordSmith* will count example (1a) as one word only. The first step to calculate mean sentence length of a Chinese text is thus to delimit Chinese words and segment them, inserting spaces between individual words. Therefore, Chinese words have to be defined first before they are segmented.

Chinese words can be categorised into four types, according to morphological rules: simple words, complex words, compound words, and repeated words (Tang 1988). Each type of word is discussed below.

A **simple word**, such as *pao* (跑, “run”), *shuo* (說, “say”), *ren* (人, “people”), *gao* (高, “tall”), *bo-li* (玻璃, “glass”), *pu-tao* (葡萄, “grapes”) and *wei-sheng-su* (維生素, “vitamin”), is a word formed by only one morpheme, which can include one or more characters; in extreme cases (usually transliteration of foreign terms), one morpheme can consist of several characters, such as the proper nouns *nuo-si-te-la-da-mu-si* (諾斯特拉達姆斯) “Nostradamus” and *jiu-mo-luo-shi* (鳩摩羅什) “Kumaarajiiva”. In both of these cases, the individual Chinese characters used to transliterate foreign names are not to be “read” as having separate meanings (which they might in other contexts); rather, they are treated as one unit. In the cases of *bo-li* (玻璃, “glass”) and *pu-tao* (葡萄, “grapes”), the two characters together form a unit that means one thing; they are almost never used separately, and both must be present to form the meaning.

A **complex word**, such as *yi-zi* (椅子, “chair”), *zhuo-zi* (桌子, “desk/ table”), *lao-shi* (老師, “teacher”), *lao-ba* (老爸, “father”), *keneng-xing* (可能性, “possibility”) and *diannao-hua* (電腦化, “computerisation”), is formed by one free morpheme and an affix. The affix may be at the end (*zi* 子, underlined in the first two examples) or the beginning (*lao* 老, underlined in the third and fourth examples). This may be likened to words in English such as “performer”, formed from the morpheme “perform”, plus the affix “-er”. Many new words in Chinese have been coined in the twentieth and twenty-first century in this manner, following the morphology of European languages, as

¹ Example (1a) and its English translation is extracted from “The new tourism—Young Japanese discover Taiwan” by Chang, *Taiwan Panorama*, the issue of March 2006, pp. 34.

in the last two examples, where *xing* (性, “nature”) is used as an analogy for “-ity” in English, and *hua* (化, “change”) has been used as an analogy for “-isation”.

Compounding is a productive morphological process in Chinese; a compound word is formed by two free morphemes. Different types of compounds abound in Chinese, for example, Verb-Verb, such as *da-kai* (打開; literally “hit-open”, i.e. “open”), Verb-Noun such as *sheng-qi* (生氣; literally “bear-anger”, i.e. “angry”), Noun-Verb such as *xia-zhi* (夏至; literally “arrival of summer”, i.e. “summer solstice”), and Noun-Noun *shu-fang* (書房; literally “book-room”, i.e. “study”) (Tang 1988). Some terms, such as *mi-yue* (蜜月, “honey-moon”) and *tu-chun* (兔唇, “hare-lip”) are translated according to the rules of compounding, just as their English equivalents are.

A **repeated word**, such as *cong-cong-mang-mang* (匆匆忙忙, “hurry”) and *shi-shi-kan* (試試看, “try”), is formed by the repetition of one or two morphemes in the same word.

After this brief discussion of the nature of Chinese words, example (1b) shows the sample sentence about Japanese tourists in Taipei (example [1a] above) after spaces are inserted between words.

(1b) 這 幾 年 走 在 台 北 街 頭 ， 人 們 可 以 明 顯 感 覺 到 日 本 觀 光 客 似 乎 變 多 了 ， 無 論 在 故 宮 、 永 康 街 鼎 泰 豐 、 夜 市 、 或 各 個 捷 運 站 ， 常 可 見 東 瀛 客 手 持 旅 遊 手 冊 ， 用 好 奇 的 眼 神 按 圖 索 驥 ， 期 待 貼 近 台 灣 民 間 的 生 活 氣 味 。

After words are segmented, there are 43 words in example (1b).

However, four issues emerge from example (1b): long compound words; *chengyu* and fixed expressions; proper nouns; and abbreviations.

First, **compounds** can be very long in modern Chinese and yet be treated as single words. In example (1b), *dong-ying-ke* (東瀛客, “Japanese tourist”) and *jie-yun-zhan* (捷運站, “Metropolitan Rapid Transit station”) include three Chinese characters, and are treated as single words. Extreme examples can be found in the Sinica Corpus: *guo-ji-hui-yi-ting* (國際會議廳, “international conference room”) and *di-er-ci-shi-jie-da-zhan* (第二次世界大戰, “The Second World War”) include five or more characters and are treated as single words.

Second, **chengyu** is a set of traditional idiomatic expressions, consisting mainly of four characters. In (1b), *an-tu-suo-ji* (按圖索驥; literally “to follow a drawing to find a steed”) actually means to try to locate something by following up a clue. These *chengyu* are typically derived from sentences in classical Chinese, but then four main characters were extracted and now treated as a single “word”. For example, *gua-tian-li-xia* (瓜田李下; literally “in a melon patch, under a plum tree”) was derived from two lines of a poem *guo-tian bu na lü, li-xia bu zheng guan* (瓜田不納履, 李下不整冠; “don’t adjust your shoes in a melon field and don’t tidy your hat under the plum trees—i.e., to avoid being suspected of stealing the melons and plums”), which describe a code of conduct to avoid anything to arouse suspicion.

Moreover, other **fixed expressions** might include more characters than *chengyu*, and yet still be treated as one word. For example, *yi-bu-zuo-er-bu-xiu* (一不做二不休, “to carry the thing through, whatever the consequences are”) includes six characters and might be treated as one word, while the similar English expression “in for a penny, in for a pound” is treated as eight words.

Third, long and complex **proper nouns** might also be treated as single words. For example, the names of places, such as *Yong-kang-jie* (永康街, “Yungkang Street”) and

bei-ka-luo-lai-na-zhou (北卡羅來納州, “North Carolina”) include three and six characters respectively, and might be treated as single words. The full names of Chinese people, such as *Li-yuan-ze* (李遠哲, “Lee, Yuan-Tseh”) and *Jiang-jing-guo* (蔣經國, “Chiang, Ching-kuo”), might be treated as single words.

Finally, **abbreviations** are classified as a type of compound and treated as single words. For example, *gu-gong* (故宮) is an abbreviation of *guo-li gu-gong bo-wu-yuan* (國立故宮博物院, “National Palace Museum”), and *bei-yue* (北約) is an abbreviation of *bei-da-xi-yang gong-yue zu-zhi* (北大西洋公約組織, “North Atlantic Treaty Organization”).

Whether these four types of words can really be treated as single words is a continued source of controversy among Chinese linguists. The Bureau of Standards, Metrology and Inspection, Ministry of Economic Affairs in Taiwan has authorised the Association for Computational Linguistics and Chinese Language Processing to draft *The Standard of Chinese Word Segmentation for Information Processing*, in order to establish a national standard for Chinese word processing. However, it only serves as a guideline, and its application varies. For example, in the largest Chinese corpus in Taiwan, the *Academia Sinica Balanced Corpus of Modern Chinese*, *lian-he-guo* (聯合國, “United Nations”) is treated as one word while *bei-da-xi-yang gong-yue zu-zhi* (北大西洋公約組織, “North Atlantic Treaty Organization”) is treated as three words; *bei-ka-luo-lai-na-zhou* (北卡羅來納州, “North Carolina”) is sometimes treated as one word, and sometimes as two: *bei* (北, “North”) and *ka-luo-lai-na-zhou* (卡羅來納州, “Carolina”). A Chinese name, such as *Jiang-jing-guo* (蔣經國, “Chiang, Ching-kuo”) is treated as one word in the Sinica Corpus, while an English name, such as Bill Gates, is transliterated into *bier · gaizi* (比爾 · 蓋茲) and counted as two words. The inconsistency and controversy of the concept of words thus exerts an influence on the measures of simplification. For the purpose of this study, *Autotag*, the software is used to segment words and *The Standard of Chinese Word Segmentation for Information Processing* is adopted as the guideline when segmenting words for both subcorpora of the CCCM. An additional/alternative measure in terms of Chinese characters is proposed to solve the problem of inconsistency and inaccuracy in segmenting words (see the following section for a detailed discussion of measuring mean sentence length in terms of Chinese characters).

2. Measuring mean sentence length in terms of Chinese characters and words

For English speakers, the ‘word’ is a salient and intuitive concept; they can easily distinguish words by writing conventions: spaces must be inserted between words. However, for Chinese speakers, instead of *ci*, words, the basic unit for Chinese written language is *zi*, characters, which generally represent morphemes rather than “words.” As noted by Jerome L. Packard (2000: 15), the status of characters in Chinese is as salient and robust as the status of words in English.

Packard gives examples of character puzzles in Chinese, instead of crossword puzzles (ibid). He also emphasises the fact that dictionaries and databases are arranged and searched according to characters: entries of a Chinese dictionary are always based on characters. The basic definition of a character is listed under each character, and the definitions and usages of different words consisting of the same character are listed as sub-entries underneath.

Moreover, from 1981 to 1997, there was a TV programme, called *Mei Ri Yi Zi* “A Character a Day”, which was produced and broadcast by The Chinese Television System in Taiwan. During the seventeen years, more than 1,600 characters were introduced to

Taiwanese students and foreigners learning the Chinese language. Characters are often perceived by learners to be the basic unit of the Chinese language.

Even in the world of computing, *Microsoft Word* has a tool for counting words in a document, but it actually counts characters in a Chinese document, instead of words. Writers and translators translating from different languages into Chinese are usually paid according to the characters they write/translate instead of words.

Calculating mean sentence length in terms of characters, instead of words, might also be an index in investigating simplification in the Chinese language. Since a Chinese word is formed by characters, the number of characters a word has will also have an influence on the total length of a sentence. For example, the issue of long compounds, *chengyu* and fixed expressions, and abbreviation can also be solved by calculating mean sentence length in terms of characters. Take the following two sentences (2)² and (3)³ for example.

(2) 後來，他們在一條偏僻的街道上看見一家小旅館，以為可以找到過夜的地方，偏偏這家旅館也客滿了。

They finally saw a small hotel on a deserted street and thought that they could find a place to stay overnight. However, this hotel was also full.

(3) 就是這種拋棄科技產品令人生畏的繁複功能，方便阿公、阿嬤隨時看見生活的快樂記憶，在歐洲一舉攻下該項產品的一半市場。

Dispensing with daunting, complicated functions makes it easier for grandma and grandpa to look back upon fond memories of their lives, and this product has captured half the market in Europe.

Example (2) is a sentence extracted from a Chinese textbook for Grade Four students in Taiwan, which contains 27 words and 41 characters, while example (3) is a sentence extracted from *Taiwan Panorama*, a bilingual magazine in Taiwan written for adult readers, which includes 28 words, but a significantly higher number of characters (52). Example (2) has only one more word than example (3), but it contains 11 more characters, which might indicate that sentences written for adult readers tend to use longer words which consist of more characters.

It might render insightful results if we count mean sentence length in terms of characters, which also takes word length somewhat into consideration. As shown in examples (2) and (3), if sentence length is calculated in terms of words, the difference is not obvious: example (2) is only one word less than example (3). If sentence length is calculated in terms of characters, example (2) is eleven characters less than example (3), which at the same time reflects that example (3) consists of longer words and might be more difficult for readers to comprehend.

Therefore, in this study, the texts included in the two subcorpora of the CCCM are both word-segmented and character-segmented, and sentence length is computed twice, once using the number of words, and once using the number of characters, to see if any significant patterns emerge.

III. Mean sentence sub-unit length as an additional measure

1 The definition of a Chinese sentence

² Example (2) is a Chinese sentence extracted from *Chinese VIII*, Taipei: National Institute for Compilation and Translation, and translated by the researcher of the current study.

³ Example (3) and its translation is extracted from “Philips’ simplicity revolution” by Teng, *Taiwan Panorama*, the issue of May 2007, pp. 22.

Chinese linguists have tried to define what constitutes a Chinese sentence from a functional perspective: Li and Thompson (1981) pointed out that Chinese is a discourse-oriented language whereas English is a sentence-oriented language. It should be noted that a comma in the Chinese language can occur after a phrase, a clause or even a sentence, and indicate a pause for readers, while a full stop in Chinese sometimes indicates a larger linguistic unit than a sentence in English. Therefore, a Chinese sentence should be regarded as “a discourse unit consisting of several information units bearing some relation to the same topic” (Gao 1997: 11).

The use of punctuation marks in the Chinese language was introduced and proposed in the early twentieth century following the vernacularization of Chinese. Therefore, punctuation is still a relatively new and not well-developed concept in the Chinese language. Sometimes a comma “,” appears in a position where a full stop “。” is expected, simply because frequent use of full stops in a paragraph would be considered awkward. It is actually not uncommon to see a whole Chinese paragraph with only one full stop, as shown in example (4). Example (4)⁴ is a paragraph extracted from *Taiwan Panorama*. The texts in this magazine are first written in Chinese, and then translated into English and other languages.

(4) 「設計師對空間永遠是貪得無饜的，」身穿粉紅色襯衫、牛仔褲、帆布鞋，一派輕鬆打扮的華碩工業設計部副理李政宜說，幾年前華碩新大樓規劃好後，由於立體隔板的隔間不利於團隊溝通討論，設計部門犧牲了個人隱私，自願搬來舊大樓，自己動手作室內設計，打掉一面牆，引進大片光源，讓視線延伸到戶外；常埋首於電腦螢幕前的設計師，累了就可以走到戶外陽台呼吸新鮮空氣或者吞雲吐霧，遠眺關渡平原的落日餘暉，偶而還會開拔到水鳥公園開會，一邊討論，一邊看著水鳥在旁飛來飛去。

(4a) “Designers are never satisfied with either the size or layout of their workspaces,” says Li Cheng-yi, deputy director of Asus Design.

(4b) He says that when Asustek completed plans for its new building a few years ago, they called for offices separated by solid dividers.

(4c) But such a layout doesn't lend itself to discussion and communication among the members of a team.

(4d) Upon consideration, Asus Design decided to forego the privacy that the new offices would have afforded and instead moved into the old building.

(4e) There, they redesigned their workspace by knocking out a wall, installing large light sources, and opening up sightlines to the outdoors.

(4f) The new layout allowed the designers, who spend most of their time in front of computer monitors, to walk out onto an exterior balcony for a breath of fresh air or a smoke, or for a glimpse of sunset on the Kuantu Plain.

(4g) The department now sometimes even holds meetings in Kuantu's waterfowl refuge, alternating between discussing issues and watching the birds.

As we can see from example (4), there is only one full stop “。” in the whole paragraph, which means that by Laviosa-Braithwaite's (1996) definition, there is only one sentence in this example. However, it is translated into seven sentences in English, as illustrated in (4a), (4b), (4c), (4d), (4e), (4f) and (4g). In example (4), the Chinese source text could also be divided into seven or more grammatical sentences as its English translation and end with a full stop under the syntactic notion of a sentence, i.e., a set of expressions consisting minimally of a noun phrase, followed by an auxiliary, followed by

⁴ Example (4) and its translation are extracted from “Taiwanese design takes flight” by Teng, *Taiwan Panorama*, the issue of May 2007, pp. 6.

a verb phrase in deep structure (Fromkin *et al.* 2003: 594). The writer and the editor, however, preferred to use commas and semicolons to group all these units into one Chinese sentence only because they bear information relating to the same topic, i.e., the office layout.

According to Show-lin Lin (2002: 95), articles written for adult readers have to be simplified to be included in the Chinese textbooks for students aged from 6 to 15 by using shorter sentences. Therefore, counting mean sentence length might still serve as an appropriate measure of simplification if we are comparing translated and non-translated texts both written in the Chinese language. We continue to define a Chinese sentence in the same way as an English sentence, for both of the two subcorpora, taking words between two full stops, exclamation marks and question marks as one sentence, to see whether translated texts have significantly shorter sentences than texts composed in Chinese.

In order to apply this measure to the Chinese language and make it possible for *WordSmith* to calculate mean sentence length automatically, the first step is that the texts should be word-segmented. Then, since *WordSmith* does not recognise Chinese punctuation marks, all the marks are substituted with their English counterparts.

2. Additional measure: mean sentence sub-unit length

As we have discussed in section 3.1, a Chinese sentence, i.e., words between two stops, exclamation marks and question marks, is actually a much larger linguistic unit than an English sentence. In Chinese, commas are usually used to connect sentences, where full stops are usually used in English (Tsao 1979, cited in Lin 2002: 17).

Unlike commas in English, which can be used in a parallel construction to separate words and short phrases, commas in the Chinese language are usually used to separate larger units, such as longer phrases, clauses and sentences. Semi-pauses (、), a punctuation mark which is specific to the Chinese language, are usually used to separate words and short phrases in a parallel construction.

According to the analysis of an article in a Chinese textbook for junior high school students, Lin (2002) discovered that 66% of the commas are used in this article to connect *xiao ju* (literally “small sentences”, or “short sentences”, similar to clauses in English). Example (5) is one Chinese sentence consisting of three *xiao ju* connecting with two commas (punctuation marks in its English translation are used according to the Chinese sentence).

(5) 外面正下著雨，雨雖然不大，卻一直沒有停歇。

(Literal translation) It is raining outside, although the rain is not heavy, it never stops.

A comma can sometimes be used after a phrase as well. In example (6), the phrase is underlined, and punctuation marks in its English translation are used according to the Chinese sentence.

(6) 那時候，他是小學三年級吧，阿地他們已是國中生。

(Literal translation) At that time, he was in his third grade, A-di and others were junior high school students.

Segments between commas in the Chinese language tend to indicate smaller sub-units than a full Chinese sentence, and it might render insightful results to measure mean length of these sentence sub-units.

In classical Chinese, although no punctuation marks were officially employed, *judou* was often marked after the Han Dynasty (206 BC–220 AD): *ju* (句), marked as “○”, is similar to a full stop, usually indicated at the end of discourse; *dou* (讀), marked as “、”,

is similar to commas, usually indicating a short break. *Judou* was used to clarify ambiguity and to increase comprehension, and words between *judou* are similar to the sentence sub-units proposed here.

In order to measure mean sentence sub-unit length automatically using *WordSmith*, punctuation marks which indicate these sub-units, i.e., commas (,), semicolons (;) and colons (:), are replaced with English full stops (.). The results of mean sentence length calculated by *WordSmith* after the replacement of punctuation marks are actually the results of mean sentence sub-unit length. As with sentence length, we also measure it in terms of both words and characters.

Examples (2) and (3) in section II have almost the same sentence length (27 and 28 words respectively). If we replace the punctuation marks with full stops, the mean sentence sub-unit length in example (2a) is 6.75 words and 10.25 characters, while the mean sentence sub-unit length for example (3a) is 9.33 words and 17.33 characters.

(2a) 後來 . 他們 在 一 條 偏僻 的 街道 上 看見 一 家 小旅館 . 以為 可以 找到 過夜 的 地方 . 偏偏 這 家 旅館 也 客滿了 .

(3a) 就是 這 種 拋棄 科技 產品 令人生畏 的 繁複 功能 . 方便 阿公 阿嬤 隨時 看見 生活 的 快樂 記憶 . 在 歐洲 一舉攻下 該 項 產品 的 一半 市場 .

Example (2a), the sentence written for Grade Four students, has fewer words and much fewer characters in terms of sentence sub-unit length than example (3a), the sentence written for adult readers. Therefore, the mean sentence sub-unit length might also serve as an index in measuring simplification in the Chinese language.

Moreover, since the translated texts in the CCCM are translations from English source texts, it might be expected that the punctuation marks of the source texts, especially full stops, exerted a great influence on the translations. The translated texts would have shorter mean sentence length as a result of the interference from their source texts. Measuring mean sentence sub-unit length of both the subcorpora of the CCCM would render more robust results, free from the influence of the English source texts on the translations.

IV. Mean sentence length in terms of words

1. Hypothesis

Since simplified texts tend to have shorter mean sentence length in terms of words, and we might assume that translated texts tend to be simpler than non-translated texts, it can be hypothesized that translated texts have shorter mean sentence length in terms of words than non-translated texts.

2. Results

First, all the word-segmented texts were processed by *WordSmith*. The overall results of the two subcorpora are shown in Figure 1.

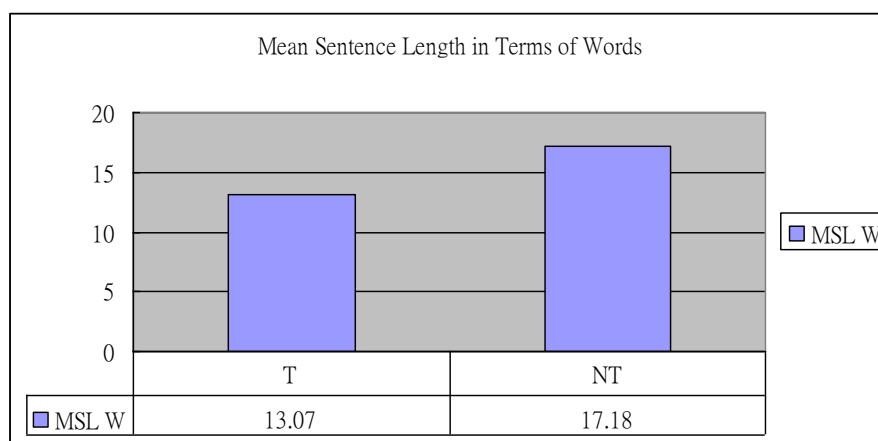


Figure 1 The results of mean sentence length in terms of words

The mean sentence length of the translated subcorpus is 13.07 words, 4.11 words fewer than the mean sentence length of the non-translated subcorpus (17.18 words). The translated subcorpus has shorter mean sentence length in terms of words than the non-translated one, as we have predicted in the hypothesis. However, a statistical test is required to confirm that the difference between the two subcorpora is statistically significant and does not happen by chance.

3. Statistical tests

In statistics, significance means “reaching a degree of statistical certainty at which it is unlikely that a result is due purely to chance” (Oakes, 1998: 255). There are several methods of testing significance in statistics, such as the *Chi-square* test, the *t*-test, and the *z*-test (Butler, 1985; Woods et al., 1986; Oakes, 1998). Since we are measuring mean sentence length of the two subcorpora in the CCCM, and there is only one variable concerned (mean sentence length), and the sample size of the corpora is large, according to the Central Limit Theorem⁵, the *z*-test is employed to test statistical significance^{vi} (Butler, 1985: 78-83; Oakes, 1998: 250; Baroni and Evert, 2008).

The significance level of a statistical test is the probability level below which the observed differences are treated as significant, and in linguistics, where the measurement is often less exact, a significance level of 0.05 (written as $\alpha = 0.05$) is common (Butler 1985: 71). Therefore, the significance level of the current study is set as $\alpha = 0.05$.

	Translated (word)	Non-translated (word)
Sample size	60138	47891
Mean sentence length	13.07	17.18
Standard deviation	10.17	14.32
Z score	-53.08	

Table 1 The statistical test of mean sentence length in terms of words

After applying the formula, $z = -53.08$, it can be concluded that mean sentence length in terms of words of the translated population is significantly shorter than that of the non-translated population.

⁵ A test of significance can only be applied when the populations from which the samples are taken are normally distributed, but according to the Central Limit Theorem, which states that “when samples are repeatedly drawn from a population, the means of the samples will be normally distributed around the population mean” (Oakes 1998: 250), the requirement can be relaxed in the case of large samples. In other words, if the sample size is large, then the Central Limit Theorem will assure the validity of the test.

The conclusion supports the hypothesis that modern translated mystery fiction in Taiwan (with the source texts in English) tends to have shorter mean sentence length in terms of words than the modern non-translated mystery fiction, and therefore, might be simpler for readers to comprehend, which serves as an index of simplification.

V. Mean sentence length in terms of characters

1. Hypothesis

Since simplified texts tend to have shorter mean sentence length in terms of characters, and we might assume that translated texts tend to be simpler than non-translated texts, it can be hypothesized that translated texts have shorter mean sentence length in terms of characters than non-translated texts.

2. Results

First, all the character-segmented texts were processed by *WordSmith*. The overall results of the two subcorpora are shown in Figure 2.

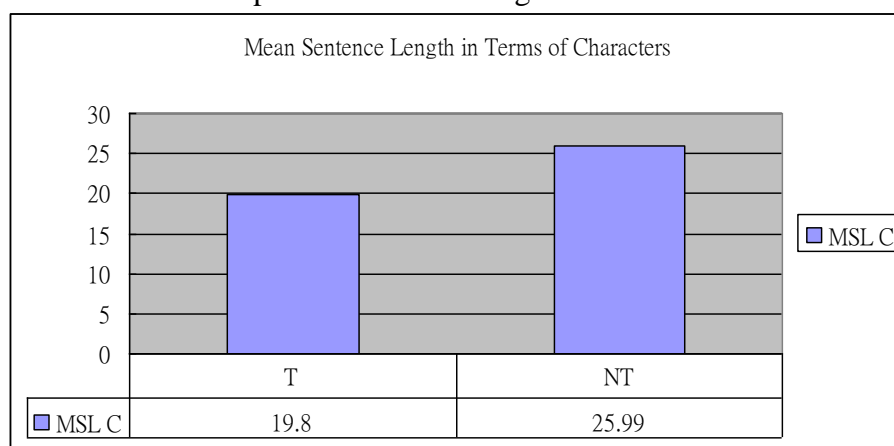


Figure 2 The results of mean sentence length in terms of characters

The mean sentence length of the translated subcorpus is 19.8 characters, 6.91 characters fewer than the mean sentence length of the non-translated subcorpus (25.99 characters). The translated subcorpus has shorter mean sentence length in terms of characters than the non-translated subcorpus, as we have predicted in the hypothesis. However, a statistical test is required to confirm that the difference between the two subcorpora is statistically significant and does not happen by chance.

3. Statistical tests

Using the same statistical z -test that is discussed above, we find:

	Translated (characters)	Non-translated (characters)
Sample size (n_i)	60139	47902
Mean sentence length (\bar{X}_i)	19.80	25.99
Standard deviation (s_i)	15.64	21.82
Z score	-52.28	

Table 2 The statistical test of mean sentence length in terms of characters

After applying the formula, $z = -52.28$. Since the significance level is still set as $\alpha = 0.05$, the values of z greater than 1.96 or less than -1.96 will be significant. Since $z = -52.28 < -1.96$, H_0 is rejected. In other words, the results of mean sentence length in terms of characters of the translated and non-translated subcorpora are significantly different in this test. Moreover, as $\bar{X}_1 = 19.8 < \bar{X}_2 = 25.99$, it can be concluded that mean sentence

length in terms of characters of the translated population is significantly shorter than that of the non-translated population.

The conclusion supports the hypothesis that modern translated mystery fiction in Taiwan (with the source texts in English) tends to have shorter mean sentence length in terms of characters than the modern non-translated mystery fiction, and therefore, might be simpler for readers to comprehend, which serves as an index of simplification.

VI. Mean sentence sub-unit length in terms of words

1. Hypothesis

Since simplified texts tend to have shorter mean sentence sub-unit length in terms of words, and we might assume that translated texts tend to be simpler than non-translated texts, it can be hypothesized that translated texts have shorter mean sentence sub-unit length in terms of words than non-translated texts.

2. Results

First, all the word-segmented texts with commas, colons and semicolons replaced by full stops were processed by *WordSmith*. The overall results of the two subcorpora are shown in Figure 3.

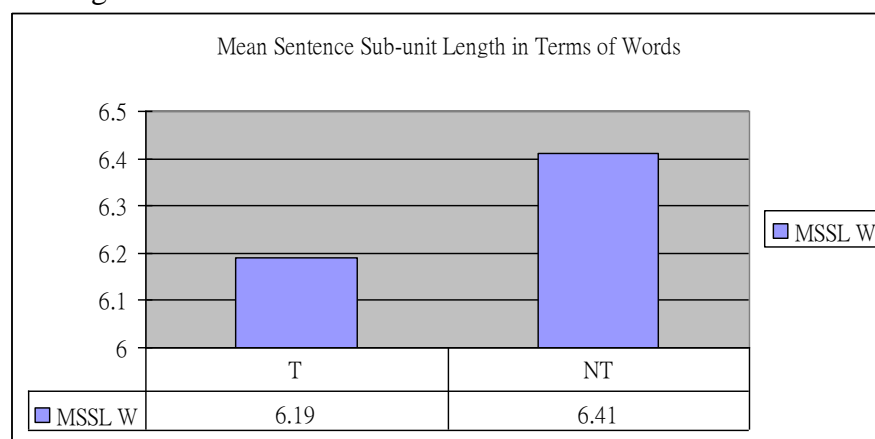


Figure 3 The results of mean sentence sub-unit length in terms of words

The mean sentence sub-unit length in terms of words of the translated subcorpus is 6.19 words, 0.22 words fewer than that of the non-translated subcorpus (6.41 words). The translated subcorpus has shorter mean sentence sub-unit length in terms of words than the non-translated subcorpus, as we have predicted in the hypothesis. However, a statistical test is required to confirm that the difference between the two subcorpora is statistically significant and does not happen by chance.

3. Statistical tests

Using the same statistical z -test that is discussed above, we find:

	Translat ed (word)	Non-translated (word)
Sample size (n_i)	126994	128465
Mean sentence sub-unit length (\bar{X}_i)	6.19	6.41
Standard deviation (s_i)	3.70	3.60
Z score	-15.02	

Table 3 The statistical test of mean sentence sub-unit length in terms of words

After applying the formula, $z = -15.02$. Since the significance level is still set as $\alpha = 0.05$, the values of z greater than 1.96 or less than -1.96 will be significant. Since $z = -15.02 < -1.96$, H_0 is rejected. In other words, the results of mean sentence sub-unit length in terms of words of the translated and non-translated subcorpora are significantly

different in this test. Moreover, as $\bar{X}_1 = 6.19 < \bar{X}_2 = 6.41$, it can be concluded that mean sentence sub-unit length in terms of words of the translated population is significantly shorter than the mean sentence sub-unit length of the non-translated population.

The conclusion supports the hypothesis that modern translated mystery fiction in Taiwan (with the source texts in English) tends to have shorter mean sentence sub-unit length in terms of words than the modern non-translated mystery fiction, and therefore, might be simpler for readers to comprehend, which serves as an index of simplification.

VII. Mean sentence sub-unit length in terms of characters

1. Hypothesis

Since simplified texts tend to have shorter mean sentence sub-unit length in terms of characters, and we might assume that translated texts tend to be simpler than non-translated texts, it can be hypothesized that translated texts have shorter mean sentence sub-unit length in terms of characters than non-translated texts.

2. Results

First, all the character-segmented texts with commas, colons and semicolons replaced by full stops were processed by *WordSmith*. The overall results of the two subcorpora are shown in Figure 4.

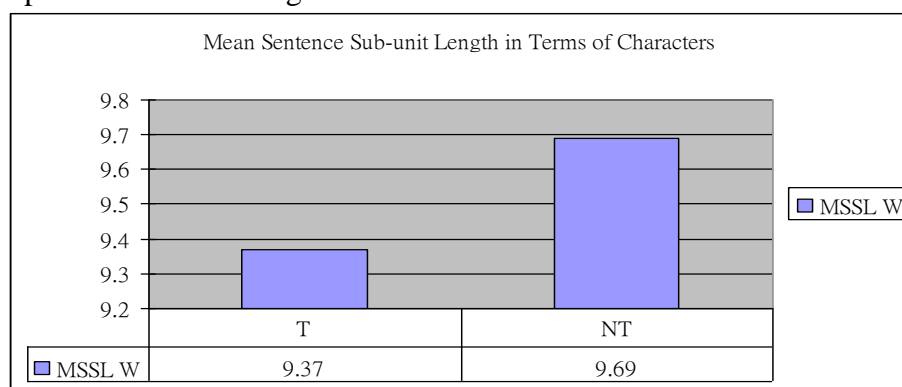


Figure 2 The results of mean sentence sub-unit length in terms of characters

The mean sentence sub-unit length in terms of characters of the translated subcorpus is 9.37 characters, 0.32 characters fewer than that of the non-translated subcorpus (9.69 characters). The translated subcorpus has shorter mean sentence sub-unit length in terms of characters than the non-translated subcorpus, as we have predicted in the hypothesis. However, a statistical test is required to confirm that the difference between the two subcorpora is statistically significant and does not happen by chance.

3. Statistical tests

Using the same statistical z -test that is discussed above, we find:

	Translated (characters)	Non-translated (characters)
Sample size (n_i)	127027	128518
Mean sentence sub-unit length (\bar{x}_i)	9.37	9.69
Standard deviation (s_i)	5.63	5.36
Z score	-14.40	

Table 4 The statistical results of mean sentence sub-unit length in terms of characters

After applying the formula, $z = -14.40$. Since the significance level is still set as $\alpha = 0.05$, the values of z greater than 1.96 or less than -1.96 will be significant. Since $z =$

$-14.40 < -1.96$, H_0 is rejected. In other words, the results of mean sentence sub-unit length in terms of characters of the translated and non-translated subcorpora are significantly different in this test. Moreover, as $\bar{X}_1 = 9.37 < \bar{X}_2 = 9.69$, it can be concluded that mean sentence sub-unit length in terms of characters of the translated population is significantly shorter than the mean sentence sub-unit length of the non-translated population.

The conclusion supports the hypothesis that modern translated mystery fiction in Taiwan (with the source texts in English) tends to have shorter mean sentence sub-unit length in terms of characters than the modern non-translated mystery fiction, and therefore, might be simpler for readers to comprehend, which serves as an index of simplification.

VIII. Summary

In conclusion, the modern translated mystery fiction in Taiwan (with source texts in English only) has significantly shorter mean sentence length both in terms of words and characters and significantly shorter mean sentence sub-unit length both in terms of words and characters than its non-translated counterpart. In other words, the results of the measure of mean sentence length and its additional measures all indicate that modern translated mystery fiction in Taiwan (with source texts in English only) does have shorter sentences and shorter sentence sub-units and exhibits syntactic simplification than its non-translated counterpart.

Due to the controversy over the definition of a Chinese word and the consideration of word length, the measure of mean sentence length in terms of characters has been proposed. Moreover, regarding the specific characteristics of Chinese sentences and Chinese punctuation marks, mean length of sentence sub-units, words between full stops, exclamation marks, question marks, commas, semicolons and colons, has been proposed as an additional measure. This additional measure of mean sentence sub-unit length is also measured both in terms of words and characters. The differences and the z scores of the measure of mean sentence length in terms of words, and its additional measures, i.e., mean sentence length in terms of characters, mean sentence sub-unit length in terms of words and mean sentence sub-unit length in terms of characters, are listed in table 5.

	Words		Characters	
	differences (T – NT)	z scores	differences (T – NT)	z scores
Mean sentence length	-4.11	-53.08	-6.91	-52.28
Mean sentence sub-unit length	-0.22	-15.02	-0.32	-14.40

Table 5 The z scores of mean sentence length and its additional measures

In statistics, however, once the test is chosen (the z -test) and the level of significance ($\alpha = 0.05$) is established, every result ($z > 1.96$ or $z < -1.96$) will be either statistically significant or not. Although the degrees of statistical significance are not usually distinguished, the table of z scores above indicates that the translated subcorpus has significantly shorter sentence length whether mean sentence length is measured in terms of words or in terms of characters. While the controversy of the definition of words remains unsolved, with the value of z much smaller than -1.96 , mean sentence length in terms of characters cannot only serve as an additional measure, but also as an adequate alternative measure.

Moreover, the table shows that the values of z of mean sentence length both in terms of words and characters are relatively much larger than 1.96 or much smaller than -1.96

compared with the values of z of mean sentence sub-unit length. The measure of mean sentence sub-unit length is proposed because a Chinese sentence is a much larger unit than an English sentence and commas in Chinese are often used to connect sentences, clauses, and longer phrases. This measure can further eliminate the possible influence of English punctuation marks, especially full stops, on the translated texts. It was expected that the translated texts might have shorter sentence length due to the usage of full stops in their English source texts, and mean sentence sub-unit length would further suggest that regardless of the interference from their source texts, the translated texts are still syntactically simplified by having shorter sentence sub-units length. The results show that the measures of mean sentence length and mean sentence sub-unit length both render consistent results.

According to the results and the statistical tests in this study, we can conclude that the modern translated mystery fiction published in Taiwan (with source texts in English only) tends to have shorter sentence length and shorter sentence sub-unit length than its non-translated counterpart, and is therefore simpler syntactically.

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Appendix 1: Texts included in the CCCM

The Translated Subcorpus

	Title	File name	Author	Translator	Date (TT)	Date (ST)	Publisher	Size: pages	Size: character s	Size: words
1	繁花將盡 <i>All Flowers Are Dying</i>	Flowers	勞倫斯·卜洛克 (Lawrence Block)	尤傳莉 (You, Chuan-li)	31/01/2005	2005	臉譜 (Faces Publishing Ltd)	415	147976	100376
2	第 12 張牌 <i>The Twelfth Card</i>	Twelfth	傑佛瑞·迪佛 (Jeffrey Deaver)	劉永毅 (Liu, Yong-yi)	21/11/2005	2005	皇冠 (Crown Culture Corporation)	536	245387	160545
3	第三隻魔 <i>3rd Degree</i>	Third	詹姆斯·派特森 (James Patterson)	鄭家瑾 (Cheng, Chia-ching)	08/03/2005	2005	宏道文化 (Elegant Books Ltd)	272	88395	57342
4	泣！死神的哀悼 <i>Monday Mourning</i>	Mourning	凱絲·萊克斯 (Kathy Reichs)	吳俊宏 (Wu, Chiun-hung)	28/11/2005	2004	皇冠 (Crown Culture Corporation)	400	153605	101443
5	噬血聖母的禁聲曲 <i>Hush</i>	Hush	安·佛萊瑟 (Anne Frasier)	胡洲賢 (Hu, Chou-hsian)	01/11/2005	2002	果藤書房 (Vine Publisher)	288	142311	94052
6	搖籃曲 <i>Lullaby</i>	Lullaby	恰克·帕拉尼克 (Chuck Palahniuk)	盧慈穎 (Lu, Tsi-ying)	09/10/2005	2002	麥田 (Rye Field Publishing Co.)	384	104583	69852
7	死亡傳喚 <i>The Summons</i>	Summons	約翰·葛里遜 (John Grisham)	宋偉航 (Song, Wei-hang)	01/10/2005	2002	遠流 (Yuan-Liou Publishing Co., Ltd)	454	137062	93739
8	人質 <i>Hostage</i>	Hostage	羅伯·克里斯 (Robert Crais)	莊綉雲 (Chuang, Xu-yun)	28/09/2005	2001	墨文堂文化 (Cheng Chung Books Co.)	480	171283	108692

The Non-Translated Subcorpus

	Title	File name	Author	Date	Publisher	Size: pages	Size: characters	Size: words
1	天人菊殺人事件 <i>Tian-ren-chu Murder Case</i>	TRJ	藍霄 (Lan, Hsiao)	15/08/2005	小知堂 (Wisdom Publisher)	240	90964	57795
2	雨夜莊謀殺案 <i>Murder Case at Yu-ye Village</i>	YYZ	林斯諺 (Lin, Si-yan)	10/12/2005	小知堂 (Wisdom Publisher)	384	123144	81235
3	超能殺人基因 <i>ESP Murderous Gene</i>	Gene	既晴 (Chi, Ching)	15/11/2005	皇冠 (Crown Culture Corporation)	272	111809	71735
4	殺人上癮 <i>Addicted to Killing</i>	Addicted	夏佩爾、烏奴奴 (Hsia, Pei-er & Wu, Nu-nu)	30/06/2005	小知堂 (Wisdom Publisher)	288	93697	62916
5	失落的印記 <i>Curse of the Eagle God</i>	Curse	伍臻祥 (Wu, Chen-hsiang)	15/09/2004	高寶 (Gobooks Publisher)	304	133984	88964
6	消失的天堂鳥 <i>Disappearing Bird of Paradise</i>	Paradise	吳國棟 (Wu, Kuo-tong)	04/07/2004	商周出版 (Business Weekly Publications)	224	80514	53675
7	偷天換日 <i>Deception</i>	Deception	黃河 (Huang, Ho)	01/03/2004	商周出版 (Business Weekly Publications)	264	89236	58798
8	皇陵天眼 <i>Imperial Mausoleum</i>	Imperial	景旭楓 (Ching, Hsiu-feng)	30/05/2005	滾石文化 (Rock Publisher)	448	252229	168359
9	無伴奏安魂曲 <i>Requiem without an Obligate</i>	Requiem	成英姝 (Cheng, Ying-shu)	01/11/2000	時報出版 (China Times Publishing Co.)	176	62741	42011
10	第四象限 <i>The Fourth Quadrant</i>	Fourth	天地無限 (Tian Ti Wu Hsian)	15/02/2002	皇冠 (Crown Culture Corporation)	256	90545	58946
11	Saltimbocca, 跳進嘴裡 <i>Saltimbocca, Jump into the Mouth</i>	Saltimbocca	張國立 (Chang, Kuo-li)	01/11/2000	時報出版 (China Times Publishing Co.)	144	46095	31543
12	疑惑與誘惑 <i>Confusion and Temptation</i>	Temptation	裴在美 (Pei, Tsai-mei)	01/11/2000	時報出版 (China Times Publishing Co.)	232	69823	46982

《國立彰化師範大學文學院學報》第十期徵稿啟事

(投稿截止日期：中華民國103年6月30日)

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