



2020 NALLTS 綜述

東北亞語言學文學和教學國際論壇(Northeast Asia International Symposium on Linguistics, Literature and Teaching, 簡稱NALLTS),是由東北師範大學外國語學院發起,旨在提高東北亞地區語言學、文學和教學學術水平的國際論壇。本論壇得到國際上許多高等院校,尤其英國、美國、韓國、日本、俄羅斯等國家院校的關注和支持,也得到了國內東北、西北等很多地區高校的響應,成立了以張紹杰為主席,楊俊峰、劉永兵、李正栓、馬占祥、周玉忠、董廣才、楊躍、袁洪庚、姜毓鋒、文旭為副主席等衆多院校外語學院領導為常務理事的組委會機構。

2020東北亞語言學文學和教學國際論壇(2020NALLTS),于2020年11月25日舉行,本次會議由東北亞語言學文學和教學國際論壇組委會主辦,上海外國語大學文學研究院與廣東前沿教育科學研究院承辦,東師瑞普教育科技有限公司和美國新視野出版社共同協辦。400多位專家學者及高校同仁出席了本次會議,100多所高校的142位老師向大會遞交了國際CPCI-SSH會議論文,5位中外專家做了主旨演講。此外,還有40多位代表在本次會議上進行了論文摘要宣讀。

本次會議開幕式由東北亞語言學文學和教學國際論壇秘書長丁俊華博士主持,東北亞語言學文學和教學國際論壇主席張紹杰教授致開幕辭,上海外國語大學文學研究院虞建華教授致歡迎辭。本次論壇發表了5個主旨演講,40多位學者進行了論文摘要宣讀,主題涉及文學、語言學、教學和翻譯研究等。東北師範大學外國語學院楊玉晨教授、上海外國語大學文學研究院虞建華教授、東北師範大學外國語學院張紹杰教授、河北師範大學外國語學院李正栓教授、國外著名專家 Dr. Stephen E. Ronto 等五位國內外知名專家學者分別以“On a Clause Relational Approach to Discourse Analysis”“連接不同的讀者群:關於《美國文學大辭典》的編撰”“語法-語用界面研究的新路徑:以語態構式為例”“鄧恩奇思妙想藝術解析”“EdTech in Language Teaching: A Cup of TEA”為題做了主旨發言。

東北亞語言學文學和教學國際論壇秘書長丁俊華博對本次會議進行總結發言,丁俊華博士主持閉幕式并致閉幕辭,并宣讀2019 NALLTS文集獲獎論文名單,李葉、高艷、王曉梅、鹿彬等11人獲獎。

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Reconciliation with Traumas: Marginalized Experiences of Three Male Characters in *Everything I Never Told You*

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[Abstract] Critics tend to concentrate on thematic concerns of *Everything I Never Told You*, with focus on the female characters and James. So far, little attention has been paid to the similarly marginalized existence of three male characters. This paper employs trauma theory to interpret the experiences of James, Nath and Jack. Having gone through various traumatic events, they all show different traumatic symptoms, such as invasion, hyperarousal and constriction. Lydia's death leads them to confront their painful past and embark on recovery journeys by confronting traumas, creating a sense of security and rebuilding a harmonious relationship with others.

[Keywords] *Everything I Never Told You*; Trauma; Chinese-American; Eurasian; Gay

I. Introduction

Hailed as a *New York Times* bestseller on Amazon's Best Book of 2014, Celeste Ng's *Everything I Never Told You* has gained wide recognition and caught academic attention since its publication.

1. Literature Review

Book reviews find Ng's themes, characterization, and writing skills engaging and insightful (*HuffPost*, 2014; Akpan, 2014; Collison, 2014; Bland, 2016). When the Chinese version was released in 2015, four types of criticism can be identified. The first kind emphasizes the mother–

daughter relationships in the story (Wang & Gao, 2017; Li, 2017). The second group focuses on the burden of identity crisis (Yin & Niu, 2016; Du & Su, 2015). The third kind discusses the influence of family education (Nan & Zhou, 2018; Lu & Zhang, 2019), and the last type critiques the novel from feminist perspectives (Meng, 2018; Zhang, 2016). Narrative features of the novel also draw critical attention (Wang & Li, 2018).

Only two theses (Li, 2015; Xu, 2019) explore the trauma of the Lee family. Yet none of them highlights the similarly mar–

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ginalized experiences of three male characters, James, Nath and Jack. This paper intends to demonstrate the tormenting experiences upon the male characters and how they manage to reconcile with trauma.

2. Theoretical Basis: Trauma Theory

Trauma theory was first introduced by Jean Martin Charcot in the early 19th century with the focus on hysteria (Ringel & Brandell, 2012: 1). Later the focus shifted to the investigation of shell shock after WWI and post-traumatic stress disorder in the wake the Vietnam War. The 1990s witnessed the trauma theory extending to the literary field and building up to a climax with the feminist movements. Dr. Judith Lewis Herman gave insights into the nature of trauma and the process of healing in her *Trauma and Recovery —the Aftermath of Violence from Domestic Abuse to Political Terror* and Cathy Caruth redefined the term "trauma" in her work *Unclaimed Experience: Trauma, Narrative and History*.

According to Herman, the salient feature of traumatic events is their power to inspire helplessness and terror. If the traumatic experience appears repeatedly, the person will slip into three symptoms: intrusion, hyperarousal and constriction. Intrusion refers to the indelible imprint of the traumatic moment; hyperarousal means the constant expectation of danger; and constriction presents the numbing response of surrender. Recovery from trauma is based on the em-

powerment of the survivor and establishment of new connections and involves three stages: building a sense of safety, narrating trauma stories and reconnecting with ordinary life. In the first stage, traumatized people are powerless and feel out of control, so the major task is to restore bodily integrity and control the environment. The second stage requires facing the horrors of the past through narrating trauma stories. The last stage is concerned with tasks of developing a new self and creating a future, with trauma memories put aside, damaged self-esteem restored, and important relations reestablished. (Herman, 1997)

3. Thesis Statement

Extant studies fail to notice the marginalized existence of James, Nath, and Jack as second-generation Chinese immigrant, hybrid child and gay respectively in the mid-20th century when they are all oppressed and alienated by the mainstream culture. Lydia's death is a major event that stimulates them to confront their past and search for their identities. Following Herman's trauma theory, this paper focuses on the trauma causes, symptoms and recovery of the three male characters.

II. Trauma of Marginalized Second-Generation Chinese American

Lydia's father, James Lee, is a second-generation Chinese American and a tenured college professor. In a racially divided society, James has trouble estab-

lishing his own identity. His sense of "otherness" keeps haunting him even after he marries a white woman and has a family of his own.

1. Racial Discrimination against Chinese Immigrants

Edward W. Said argues that "western hegemony has the power to make immigrants see and experience themselves as 'Other'" (1978: 65). In the novel, James embraces the white culture and tries to blend in, yet he never feels that he really belongs.

(1) Chinese Exclusion Act

The Chinese Exclusion Act enacted in 1882 excluded Chinese Americans from access to American citizenship. In 1906, when earthquake fires in San Francisco destroyed public birth documents, Chinese immigrants took the opportunity to go back to China as American citizens and claim that their wives had given birth to a son, who, in turn, could receive a document and become eligible for US citizenship. As those documents could be sold, there was a flood of "paper sons" entering the United States. In the novel, James' father had taken the name of his neighbor's dead son, and come to join his "father" in San Francisco. When James was six, the family moved to Iowa and his parents worked as kitchen helper and repairman at Lloyd Academy so that James could attend school for free. However, as the first Oriental student there, James was markedly different.

Gripped by his sense of inferiority, he devoted himself to studying American culture. As he got older, he rarely attended social events and lived in fear that he would be exposed as a "fake" American, a descendent from an "imposter" parent who came on fraudulent documents.

(2) Anti-miscegenation Laws and Inter-racial Marriages

Although the Chinese Exclusion Act was repealed in 1943, the laws in many states banning non-whites from marrying whites were still effective. By 1910 anti-miscegenation laws had been extended to include people of Asian descent. It was not until 1967 that U.S. Supreme Court ruled that anti-miscegenation laws were unconstitutional (Tucker, 2006).

In the novel, James was a graduate student teaching an American culture course when Marilyn first met him. James's class was chaotic as students challenged his qualifications, but James responded with feigned nonchalance and composure. Marilyn loved James for being different, whereas for James, Marilyn was part of the white American society that he wished to blend in. Marilyn's love seems to indicate that America was finally taking him in. They got married in 1958, a time when only 4% of Americans approved of mixed marriage, and when a score of states still had anti-miscegenation laws (Ji, 2008). In Boston, the newly-wed couple often saw disapproval in the eyes of strangers.

Marilyn's mother was shocked to find out that James was a Chinese-American. She had doubts about his motive and feared that this intermarriage would ruin Marilyn. Without Marilyn's mother's approval and blessing, James was plunged back into his identity crisis: he was still an "Other" in the land of strangers. These traumatic experiences forced James to shift his unfulfilled aspiration of integration onto Lydia.

2. Symptoms of Trauma

Herman observes that trauma produces "profound and lasting changes in one's psychological arousal, emotion, cognition and memory" (1997: 25). After the trauma, the victim will show different symptoms, such as intrusion and constriction. In the novel, James responds by shifting his hope on Lydia and having an affair.

(1) Pinning Hope on Lydia

The traumatic childhood experience has left a deep scar on James. And childhood is a "crucial period which shapes later mental structure even the personality, because the early experiences of the victims will inevitably influence the nature of the severe psychic wounding" (Garland, 1998: 4). Trauma victims will repress the painful feelings and pin their hopes on others in order to survive. For James, he turns to the blue-eyed Lydia, hoping that she could realize his dream of fitting in.

Lydia was once forced to call one of her classmates, someone James believed to be her friend. But the girl was busy and

quickly hung up. Under James gaze, Lydia had to pretend that nothing was wrong and kept speaking. From then on, Lydia has developed the habit of faking phone conversations. Yet led by the fake sociality of his daughter, James puts more pressure on Lydia. He once picks a present for Lydia—the best-selling book of the year *How to Win Friends and Influence People*. On Lydia's birthday, James presents Lydia with a silver necklace which was popular that year. However, when James fastens the necklace at Lydia's nape, "the metal cut a line of cold, like a ring of ice around her throat" (Ng, 2014: 227). The icy cold Lydia feels is a perfect metaphor for the unsolicited favor from her father, the necklace a reminder of James's expectations that she could never live up to. The mounting socializing pressure contributes to Lydia's death, which, in turn, becomes a harrowing experience for James.

(2) An Affair with Louisa

Having an affair with Louisa, to some extent, can be read as James's symptom of "constriction". Lydia's death marks the peak of the hitherto muted conflicts between Marilyn and James. When the police and news coverage emphasize Lydia's loneliness and claim that her death was a suicide, Marilyn vehemently denies it. She accuses James of "kowtowing" to the police, and asserts that "if she were a white girl, they'd keep looking". Marilyn's direct reference to the Chinese custom of

"kowitz" and to Lydia's non-whiteness hurt James so deeply that he believes that his wife is also racially biased and their marriage is a total mistake. Marilyn's scorn, together with his grief over Lydia's death, pushes James to Louisa, a Chinese-American teaching assistant. He indulges himself in the sexual pleasure in order to erase his painful memory, because "in Louisa's bed, he can stop thinking about Lydia, about the headline, about the lake, about what Marilyn must be doing at home" (Ng, 2014: 118). James now undergoes another traumatic symptom—intrusion. Intrusion will happen "in the forms of traumatic dreams, flashback and memories" (Herman, 1997: 26). James is frequently tortured by his dreams about Lydia. Hearing the squeak of floorboards at home, he will run to Lydia's room, only to find Marilyn pacing before Lydia's desk. At his office, James finds himself mesmerized by the family photo on his desk. Louisa's apartment provides a cushion against those repeated "traumatic intrusions". The temporary comfort and confidence that James derives from this affair helps him control his life.

3. Recovery from Trauma

Lydia's death and Marilyn's scorn are devastating to James' sense of self. He starts an affair in order to relieve his distress. Yet, as the affair is exposed, James must learn to comprehend his trauma rather than indulge in sorrows.

(1) Recognition of Chinese Cultural Identity

If James wants to recover, he has to deal with his identity crisis. Identity refers to the signs that distinguish one from others, and individual identity is closely related to one's cultural identity, which, as "a part of self-concept" (Lusting & Koester, 1995: 329) involves cognition and acceptance of a certain language, one's ancestry, and cultural heritage. James learns to appreciate Chinese culture and identifies himself with it in the process of recovery.

Once at Louisa's apartment, Louisa takes out some buns. Although he has not said a word in Chinese in forty years, James can remember their name: Char siu bau. Since he was a child, James has refused to have Chinese food. This refusal of ethnic food symbolizes a denial of his Chinese identity. But this time, when he puts a bun into his mouth, James feels that it tastes like "a kiss: sweet and salty, and warm" (Ng, 2014: 205). This act of eating is symbolic of James' recognition and embrace of the Chinese culture, a step toward a realistic reconstruction of his own identity. Later James tells Louisa that she is the kind of woman he should marry. It is the first time that James has not been ashamed of who he is. The Chinese food enables him to acknowledge that his Chinese identity can offer him warmth and courage so that he can regain a sense of safety.

(2) Return to Family

With Lydia's death, James's last hope of vicarious integration died with her. But in the aftermath his newly-gained sense of cultural identity gives him some strength to confront his agonizing past.

When Marilyn looks for him in Louisa's apartment, James knows it is time to end his affair. What awaits him at home first is Marilyn's eerie calmness, but in the ensuing conversation, James flies into rage over Marilyn's comment on his being "different", and pours out his humiliation of having been seen as "different" over the years. His outburst triggers Marilyn's own reflection of her unfulfilled dream, resigned sacrifice, and high expectations of Lydia. After so many years, the couple is finally able to lay bare their genuine feelings. Though unpleasant and harrowing, the retelling of old traumas provides a therapeutic catharsis for both. Indeed, the reconstruction of trauma story is another step to recovery. As James drives aimlessly along the road, it dawns on him how "being different" means totally different things for Marilyn. She has actually longed for being different: she never subscribes to her mother's philosophy about the proper female roles as wife and mother, but she gave up her dream of becoming a doctor for the sake of the family.

Recognizing Marilyn's sacrifice, James comes to understand that by pinning too much hope on Lydia and keeping away from other family members, he is partly to

blame for the tragedy. James now embarks on the next stage of recovery—reconciliation with family members. In the process, "he no longer feels possessed by his traumatic past; he creates a new self" (Herman, 1997: 202). Hoping that "it is not too late", James returns home (Ng, 2014: 277) and is determined to mend his ways. To James, the loss of Lydia could never be repaired, but he realizes he also has commitment to the rest of the family, a commitment that imbues him with a new purpose of life and sense of identity.

III. Trauma of Marginalized Mixed-blood

Nath is the first child of the Lees. Academically gifted, he is later admitted to Harvard. Yet as a hybrid, Nath faces racial discrimination, and like his father, Nath has difficulty establishing his self-identity. Marginalized as a Eurasian in the community he feels like an "outsider" even at home because his parents seem to give all their love to Lydia. To deal with these agonies, Nath resorts to studies for consolation and with his academic success, he manages to escape to Harvard. However, Lydia's death brings him back to reality, and Nath has to learn to face those old and new traumas head on before he can fully recover.

1. Marginalization as a Eurasian

Eurasians are men "on the margin of two societies and two cultures, forging in

the painful experiences of rejection and marginalization" (Park, 1990: 892). In fact, they belong to nowhere but "live in a 'in-betweenness' space" (Ling, 1982: 20), the main source of their trauma.

The term "Eurasian" first referred to the descendants of a British white father and an Indian or Muslim mother in the British-Indian colonies in the 17th century (Wang, 2015). With the expansion of colonization and more immigrations from Asian countries, the scope of "Eurasian" gradually extended to describe the hybrid based on race (white and Oriental) rather than geography. The increasing number of Eurasians led to the theory of hybrid degeneracy: the fusion between different races would inevitably lead to "biological degradation" (Knox, 1862: 25). Because hybrids broke the racial boundaries and posed a threat to white supremacy, they were regarded as a dangerous force and a symbol of moral depravity in America (Xiao, 2018: 16). In the eyes of Americans of European ancestry, hybrids tarnished the purity of their blood, disrupt the racial hierarchy, and threatened social and political order.

In the novel, Nath, as a hybrid child, has to deal with a trauma similar to his father's —racial discrimination and marginalization. Unlike James, Nath also suffers from the obvious partiality of his parents to Lydia.

2. Symptoms of Trauma

Nath shows two symptoms of trauma:

constriction as manifested by his silence in the face of peer taunt, and hyperarousal as shown in his covert hostility toward Lydia.

(1) Isolation from Peers

As a mixed-blood, Nath is confused about who he is and can barely get support from his social environment. Danger or threat will provoke a "complex, integrated system of reactions, encompassing both body and mind", and the evoked fear and anger may "mobilize the threatened person for strenuous action, either in battle or in flight" (Herman, 1997: 34). Nath feels insecure and powerless as a young boy because in the face of racist abuse he has no one to rely on, not even his father James. James wants Nath to be a popular sporty kid and that's why he takes Nath to learn the breaststroke. Yet in the swimming pool Nath is ruthlessly taunted by the white kids. No stranger to such abuse, James chooses to blame Nath for being too sensitive. In doing so, James hopes to spur Nath to behave more like a carefree white boy. To James' well-intentioned criticism, Nath refuses to say a word, but kicks the locker so hard as to leave a dent in the door.

Herman points out that "when someone is completely powerless, realizing that any form of resistance is futile, he would go into a state of surrender" (1997: 42). Instead of resisting, the victim tries to avoid any information that may arouse their traumatic

memories. Rage and terror are common reactions to danger, but sometimes when the danger is perceived as inescapable, a state of detached calm may be triggered. The swimming-pool incident makes Nath realize that as a minority, to fight is pointless; silence is a better armor against racial bias. He no longer tries to do sports to prove his capability, but surrenders to racial stereotypes of Chinese: "too clumsy for the baseball team, too slight for the football team and too short for the basketball team" (Ng, 2014: 92).

(2) Covert Hostility to Lydia

Nath also suffers from another symptom of trauma—hyperarousal. To prevent the repetition of trauma the victim will become more motivated to protect himself. In other words, the victim's self-preservation system is activated (Herman, 1997).

At home, James' existential anxiety is intensified. He feels marginalized because of the absence of parental love and concern. Marilyn looks at Nath as if he is made of air and James always stares at Nath with disappointment. Lydia, the unwilling "favorite" child, sees an ally in Nath, whereas for Nath, sibling love sometimes gives way to rivalry and misunderstanding, as he feels "Everything in his life, including his mother and father, slide towards Lydia" (Ng, 2014: 153–54). Once driven by envy and resentment, Nath pushes Lydia into the lake. He wants to bury this cause of his misery—Lydia—under it. But as Lydia

disappears under the water, Nath feels a great pang of loneliness and guilt, so he quickly pulls her out. This incident makes Nath realize that Lydia is just as helpless, the only difference between them lying in the fact that Lydia is oppressed by their parents' suffocating love, while he has to endure their callous indifference.

Facing parental indifference, Nath makes up his mind to get away as soon as possible. Harvard's admission offers him the opportunity to escape. Once in a new environment, Nath feels so happily occupied that he forgets to call Lydia as promised. Receiving Lydia's call, Nath gives impatient short answers, and quickly hangs up. Nath has always dreamed of "leaving everyone behind," but he never anticipates that his refusal to talk shatters Lydia's last attempt at communication and crushes her will to live.

3. Recovery from Trauma

Discriminated and teased by peers, Nath lives in constant self-doubt and identity confusion. His parents' partiality to Lydia destroys his sense of safety. But fortunately, Nath develops his own coping strategies and manages to recover from trauma by establishing a sense of safety and reconnecting with others.

(1) Pursuit of Intellectual Life

According to Herman, it is of great importance for victims to establish a sense of safety, as it helps them avoid indul-

ging in the past. In the process of recovery, the traumatized should try to control their body, and moves outward towards the organization of a safe environment (1997).

Without a sense of belonging, Nath craves for an intellectual life as a refuge. In 1966, upon watching the NASA mission news, Nath wants to know all about the space. Compared with the infinite cosmos, everything on earth—a father who doesn't love him, a mother who disappears, or peers who mock him—"would shrink to pinpoints and then vanish" (Ng, 2014: 133). Nath's determination to pursue studies helps create a relatively safe environment. He takes advanced courses in Harvard to prepare for his astronaut dream. However, before he could celebrate his new birth, Lydia's death forces him to embark upon another phase of recovery: reconnecting with others.

(2) Reconciliation with James

Lydia's death deals a heavy blow to Nath and in the course of finding the real "murderer", Nath comes to realize that his parents and himself should be held accountable. In Herman's view, "disempowerment and disconnection with others are the basic experience of psychological trauma" (1997: 134). Recovery never occurs in the state of isolation and loneliness. Rebuilding an intimate relationship helps the traumatized to restore the damaged faculties, such as intimacy, trust and autonomy.

After Lydia's death, Nath tries to drown his sorrows and in his drunken state, he hears someone call his name and feels the grip on his shoulder. He wishes it were James, but it is only a policeman. Disillusioned, Nath begins to cry for the lack of love and concern. Yet, deep down, Nath has forgiven James; it is Lydia's death that makes Nath know better about cherishing family ties.

With Lydia gone, Nath is no longer the invisible and silent one in the family; he tries to mend the relationship with his father. But it takes a long time before they learn to appreciate each other's presence. Although still marginalized by the white society because of his hybrid identity, Nath is no longer an "outsider" in the family.

IV. Trauma of Marginalized Homosexual

Jack Wolff is a white boy from a single-parent family. Though a minor character, Jack plays a significant role in the story as he is an important "other"—a "pure blood" white boy to the hybrid Lee children. The portrayal of Jack is usually indirect, through the eyes of the Lees. Nath dislikes Jack and blames him for Lydia's death. In reality, Jack is Lydia's only friend and he is secretly in love with Nath. When hanging out with Lydia, Jack never does anything inappropriate and only invites Lydia out to ask about Nath.

1. Oppressed Homosexuality

Homosexuality has been subjected to discrimination, oppression as well as religious and legal prohibitions for a long time. Many homosexuals choose to repress their sexuality to avoid stigma and oppression. In the novel, Jack is a gay, but is seen as a libertine at school. Secretly, he is in love with Nath. When Nath is taunted by peers for his Chinese descent, Jack is the only one who offers help, but Nath is too distressed to notice and even holds a grudge against Jack. Although he wishes to be close to Nath, Jack never dares to confess his love.

Jack's personal trauma epitomizes the collective trauma of homosexuals. According to Gibson, "gay and lesbian youth always take on increasing risk of suicide, substance abuse and school problems" (1989: 67). In 1952, homosexuality was listed as a mental disorder by the American Psychiatric Association. In the 1950s, homosexuality was also politically oppressed. When Joseph McCarthy served as Republican U.S. Senator, homosexuality was "a big taboo" (Zhang, 2010: 17). In fact, President Dwight D. Eisenhower issued an Executive Order in 1953, declaring homosexuals a threat to national security, and ordering the immediate firing of all gay and lesbian government staff. That Executive Order stayed in effect until President Clinton finally signed another one in 1998 banning discrimination on the basis of

sexual orientation in federal hiring practices and in the granting of security clearances (Kohler, 2020).

Jack was born in 1959 when homosexuality was considered a mental disorder and a national threat. On the surface, he is a "bad" white boy, poor at studies but popular with girls; underneath he is a sensitive boy afraid of becoming the target of homophobia. He is sympathetic to the Lees because he understands what it is like to be an "outsider", marginalized and silenced by the mainstream society. Their only difference lies in the cause of trauma, one resulting from racial discrimination, the other from heterosexual hegemony.

2. Symptoms of Trauma

Jack's trauma is a result of his repressed sexuality. Jack's traumatic symptoms are disguise and avoidance. At school, he acts as a bad white boy to disguise his sexuality and he keeps avoiding direct contact with Nath and remains "in the closet".

(1) Dissolute Lifestyle

According to Herman, victims of trauma will suffer from a combination of anxiety and fear, and their body will be on the alert for danger. If the danger appears repeatedly, victims may respond to each repetition as if it were a more dangerous one. As they become more sensitive to the unexpected danger, they strengthen vigilance against any conflicts. Such a reaction is called "hyperarousal" (1997: 35). Jack, to

some extent, experiences the traumatic symptoms of hyperarousal.

Jack's mother is a single parent and a doctor, who often leaves Jack unsupervised during her late shifts. Without maternal care, Jack was seen as an idle, worthless boy. When he grows up, he has been a repeater for quite a few years. Older than his schoolmates, Jack smokes and has got his own car. The image of a "bad" boy has particular appeal to well-behaved teenage girls who secretly crave for rebellion. To conceal his sexual orientation, Jack frequently takes advantage of such interest and invites those girls out. But ultimately, Jack is a loner, ashamed of his own sexual identity. Time and again, Jack drives girls out as if to demonstrate that he is a "straight" boy with normal desires. The harder he tries, the weaker and more confused he gets. But nonetheless, knowing the price a homosexual has to pay, Jack continues to play his game as a means of self-preservation.

(2) Avoidance of Direct Contact with Nath

The traumatized will do their best to avoid traumatic experiences or memories because they "can provoke intense emotional distress" (Herman, 1997: 42). Jack knows well that if he gives way to his desire and tries to contact Nath, his "perverted" sexuality will be exposed. Therefore, like other victims of trauma, he spares no efforts to avoid any stimuli. At school, Jack never talks to Nath, but he keeps a close eye on

him. After Nath receives the admission letter to Harvard, Jack approaches Lydia. When they hang out together, their conversation always revolves around Nath. As a homosexual, Jack lives in constant fear of being exposed and his humble love for Nath is both a result of the social stigmatization and a symptom of trauma.

3. Recovery from Trauma

Born and growing up in a homophobic era, Jack has suffered psychologically but fortunately, he faces up to it and tries to recover by narrating traumatic stories to Lydia and reconciling with Nath.

(1) Reconstruction of Trauma Story

Herman believes that "trauma victims should be encouraged to share the traumatic stories about their important relationships, struggles and conflicts" (1997: 176). Victims may first develop a partially dissociated narrative language, but the final goal is to narrate the traumatic story which can also be heard by others. In the case of Jack, his relationship with Lydia offers him an opportunity to narrate his story.

Lydia falls in love with Jack as they hang out more. In one ride, Lydia kisses Jack but Jack firmly resists her advances. Later Jack confesses that Nath is the one he loves. Recalling how frequently Nath's name crops up during their conversations, Lydia realizes her blunder, but out of spite, she says that she is sorry for Jack because he loves someone who hates him. Jack, though hurt, frankly reaffirms his love

toward Nath. To Jack, this confession symbolizes his first step to reconciling with his trauma. In the past, Jack has to bear the psychological agony all alone in fear. After reconstructing the story about Nath, Jack finally takes off his mask and face squarely his real sexual identity.

(2) Reconciliation with Nath

After narrating the trauma story, Jack's sense of insecurity is alleviated. However, loneliness still lingers and he has to continue his journey of recovery.

After Lydia's death, Nath becomes angry when he learns that Lydia spends much time with Jack. At the funeral, Nath challenges the white boy. Seeing the police questioning Jack, Nath is more convinced of Jack's involvement in Lydia's death. To "seek revenge", Nath follows Jack angrily, shouting "you can't hide forever" (Ng, 2014: 286). Jack comes to realize that he should have told Nath that he is not a "bad" boy, but before he speaks, Jack notices that Nath is intent on having someone to blame, so he decides not to defend himself. When Nath punches him, Jack looks at him with tenderness and refuses to hit back. Taking the hit is obviously a gesture of love. And more importantly, Nath's attack breaks the intangible barrier that exists between them, making possible physical contact between the two boys. With confrontation comes reconciliation: Not hitting back, Jack expresses his love for Nath and shows his recognition of his sexuality;

Nath, for his part, releases his guilt over Lydia's death by taking it out on Jack, and his anger and frustration are effectively defused by Jack's recognition of his pain and tolerance of his aggressive behavior. In the end, the reestablished relationship between the two leads both Jack and Nath to "forgiveness" of and reconciliation with themselves and contributes to their respective recovery from trauma.

V. Conclusion

Guided by Judith Herman's trauma theory, this paper has tried to unveil the marginalized experiences of James, Nath and Jack, from three aspects: traumatic causes, traumatic symptoms and their respective recovery process. Before Lydia's death their reactions to traumatizing experiences have been rather negative and defensive. It is Lydia's death that link them together and forces them to face the problems squarely. In the wake of this tragedy, the three male characters, painfully and gradually, manage to recover from the traumas through communication and re-established connections. Hopefully, this brief analysis will trigger more critical interest in this rich novel and in trauma-related studies.

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Must Antigone Die? A Comparative Study of Anouilh and Brecht's Adapted Versions of Sophocles' *Antigone*

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[Abstract] *This essay focusses on Anouilh and Brecht's different treatments and implications on Antigone's death. Though Antigone comes to her demise in both two adapted versions, Anouilh emphasizes the inevitability of Antigone's death and its connection with the essence of tragedy. However, for Brecht, the death of Antigone is avoidable if a successful revolution is done against Creon's dictatorship and oppression. This essay holds that the reason why they opposite in whether Antigone must die lies in their different aesthetic practice. The difference can be seen as the distinction between tragedy and melodrama. To put it in Brecht's words, it is the difference between dramatic theatre and epic theatre.*

[Keywords] *Anouilh; Brecht; Antigone; aesthetic practice; tragedy*

This essay is inspired by a debate in Angela Curran's Article on whether emotional engagement with the characters helps or hinders critical intellectual reflections (Curran, 2001: 167). Bertolt Brecht attacks Aristotle's catharsis and argues that personal emotion with characters prevents viewers from reflecting critically on human suffering and social and political issues (167). However, the famous French playwright Jean Anouilh's tragedies are mostly based on classical themes like the inevitability of death which form as a modern expression of Ar-

istotelian principles (Heiney, 1955: 331). The opposition of Anouilh and Brecht not only lies in their views but also in their practice on the adaptations of Sophocles' *Antigone*.

This essay chooses to do a comparative analysis on Anouilh and Brecht's versions of *Antigone*, under the topic "Must Antigone die?" with a particular focus on Anouilh and Brecht's different treatment and implication on Antigone's death. Though Antigone comes to her demise in both two versions, Anouilh emphasizes the inevitability of Antigone's death and

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its connection with the essence of tragedy. However, for Brecht, the death of Antigone is avoidable if a successful revolution is done against Creon's dictatorship and oppression (Johns, 43). This implication is essentially linked with his epic theatre practice. This essay holds that the reason why they oppose in whether Antigone must die lies in their different aesthetic practice. The difference can be seen as the distinction between tragedy and melodrama. To put it in Brecht's words, it is the difference between dramatic theatre and epic theatre.

In the first part, this essay will firstly look at how Anouilh and Brecht's Antigone come to demise, paying close attention to their construction of plot and characterization in order to see what tragic effect they intend to produce and what themes arise from it, and these are important grounds for laying out the distinction between tragedy and melodrama and putting forward Brecht's epic theatre in contrast with dramatic theatre in the second part of this essay.

One of Anouilh's *Antigone*'s distinguishing elements from other versions is that Antigone's death does not make her a victim who suffers under the oppression of Creon or any outside force. She dies for loyalty to her integrity instead of filial or religious piety to Polyneices. As Creon put it "She is born to die, Polyneices is only an excuse." (125). In Anouilh's version,

Creon spares no effort in concealing her deeds in burying Polyneices and persistently offers her a way to live. He also expects Antigone to be an obedient wife for Haemon and make compromises for happiness. However, Antigone despises Creon's offer of petty and banal happiness. She wants "everything to be as wonderful as it when I was little, otherwise, I prefer to die." (Anouilh, 1987: 123). For Anouilh, Antigone must die in preventing her ideal childhood from the corruption of the adult world.

The corrupting force of the adult world is best explained in Anouilh's treatment of Polyneices and Eteocles' indistinguishable corpses. The two corpses are "damaged to be scraped together" (120). This is an essential detail because it decides Creon's fatal failure in honoring Eteocles and dishonoring Polyneices. In other words, Creon can never actually give one a glorious burial and the other unburied as he himself confessed "I don't know which was which" (120) because the two bodies are inseparably mingled together. As long as one corpse is left unburied, both Polyneices and Eteocles are insulted and humiliated. And the moment Eteocles's corpse is rewarded with a glorious burial, Polyneices is also honored with him. Creon confesses to Antigone that "Don't listen to me when I make my next speech over Eteocles' grave. It won't be the truth" (121). So, it turns out that forbidding the

burial of Polyneices is merely one of Creon's self-deceit compromises in compliance with the demands of the state. This is the point where the burial of Polyneices becomes symbolic. Creon considers it as a "senseless gesture" (110) for Antigone to do it and even doubts if Antigone wants to impress people who believe in ghosts and set them against him (111). It is true that the burial of Polyneices could symbolize a political act for rebellion, but in Anouilh's *Antigone*, the burial symbolizes Antigone's rejection of self-deceit compromises.

Under Anouilh's metatheatrical approach, everything is made clear in the Prologue, the tragic process and the tragic end is predestined. The metatheatrical approach also creates in Antigone both a sense of distance and intimacy with the audience (Spingler, 1974: 234). Audiences are asked to judge in a distance when the chorus is commenting about the nature of tragedy and are also allowed to sympathize and to identify with Antigone's feelings when she passionately shouting out her desire and struggling with her inner conflicts. This is also why Antigone's coming to her demise is presented as both touching and convincing.

Having discussed how Antigone comes to demise in Anouilh's version, this essay shall turn its focus to Brecht. Though Brecht's plot follows Hölderlin's translation of *Antigone* in most of his play, the departure from it is also significant. For

Anouilh, When the play approaches the catalyst of Antigone's death, the plot most effectively excites cathartic pathos is the best plot for Aristotle. However, Brecht claims that audiences' emotion should not be governed by the proceeding of the plot (Curran, 2001: 177). In Brecht's version, Antigone's demise is more like an ominous foreshowing of the fall of Thebes, the true catalyst happens when the city is attacked, and Creon realizes he is power-blinded and seeks salvation from Haemon, but it is too late. Cathartic pathos is replaced by a reflection on what lead to the disaster.

For Brecht, the war of aggression started by Creon and his failure in protecting Thebes from attack is the centre of the plot. It is the war set by Creon that leads to the sacrifice of many innocent lives, including Eteocles and Polyneices. The burial of Polyneices is forbidden not for Polyneices' alliance with the Argos as a traitor, but for trying to desert the army as a poltroon in the war. This is a crucial departure because it characterizes Creon as an irrational and merciless tyrant. "Humanity weighs with him not a jot" (Brecht, 1964: 18). Brecht's *Antigone* and Creon are characterized as his absolute ideals of good and evil. Among so many adaptations, Brecht seems to be the only one who epitomizes Antigone as absolute reason and justice and Creon as foolishness and anti-humanity. In *Anti-*

gone's confrontation with Creon, she was a champion of peace and democracy against war and dictatorship (Jones, 1957: 40).

What makes Antigone's rebellion different in Brecht's version is that she violates the law and dies to set an example for Theban people. In addressing Theban people, Brecht's Antigone is no longer alone in fighting against injustice. In ringing the warning bell for people who suffer in silence, she rises their collective awareness and gains public appeal. She is no longer an unprivileged woman fighting against the supreme power of the king and destined to be crashed into ruins. Instead, she is with the people and people stand with her in forming a strong force in rebellion. Creon keeps on enforcing violence, ignoring the force of his own people and also the force of Argos. As Antigone has claimed "When you have need of violence abroad. Then you'll have need of violence at home." (Brecht, 1964: 23). and made the prophecy that "foreigners will feast on the city" (23). The death of Antigone brought away Haemon who is Creon's last hope in saving the city from Argos. Because of the aggressive war on Argos and his merciless sentence on Antigone, both violence abroad and violence at home he has done are turned reversely against Creon himself.

Though Antigone comes to demise in the end, it doesn't mean for Brecht that Antigone's death and the failure in rebellion are fatal. Brecht rejects the interven-

tion of fate when Antigone asks the chorus not to blame fate because the root of terror and catastrophe is Creon. "Do not speak of fate, speak of him who lays me out innocent for death." (36). Instead of lamenting on Antigone's death, the audience should think about the root of terror and catastrophe.

Having discussed how Anouilh and Brecht's Antigone come to demise and the tragic effect they tend to produce, this essay shall explore the themes that arise from them to further explain Antigone's death motive. Anouilh's Antigone believes actions decide essence, as soon as she chose to be the one who will bury Polyneices, she must rebel against compromise to the end. The highly innovative twist on the two indistinguishable corpses of Polyneices and Eteocles carries Anouilh's implication on the absurdity of human existence, which is seen from the intermingling of hero and traitor, of honor and dishonor. Thus, in existential terms, living in a world full of absurdity, only in death, Antigone's character may reach its integrity because her choice and her actions decide her essence (Chancellor, 1979: 92). This gives rise to the play's theme of existentialism. As Jean-Paul Sartre has claimed in his lecture "Existentialism Is a Humanism" that "Man is nothing else but that which he makes of himself." (Sartre, 1989: 4). The existentialism theme not only explains Antigone's death motive but

also implies Anouilh's implication on humanism. Antigone's death is brought about by the irreconcilable conflicts within herself, that is, the conflict between her desire for integrity and the corrupting force of compromise and self-deceit. As Felski has declared in his *Rethinking Tragedy* "Irresolvable conflict and unsatisfied desire are not temporary conditions but make up the very substance of what it means to be human." (Felski, 2004: xi). This also recalls Sartre's claim that existentialism is a humanism (Sartre, 1989: 1).

Brecht also has implications for humanism, but his humanism is shown in his emphasis on the importance of Marxist collectivity. "Your action is limited, obviously by your death, but you can rely upon the help of others" (Sartre, 1989: 9). *Antigone's* rebellion against Creon is not lead by personal motivation but is representative of the community's voice (Chancellor, 1979: 92). She sees herself as a member of citizens who bears the duty to defend them against dictatorship. When Germany is under Hitler's oppression, if more people rebels like what *Antigone* has done, suffering will be avoidable. "She condemns those when they remain silent which is typical of Brecht's emphasize on the collective" (92). Instead of sympathizing with Antigone, Brecht expects that after her death, the community will carry the mission that she has not achieved forward and rebel against tyranny. Brecht also stresses

the educational purpose of drama (Brecht, 2004: 78). Brecht rejects the inevitability of suffering in his version of *Antigone* to remind the audience of Germany under Hitler's oppression and educate them to learn from suffering and not to let history repeat.

Having discussed the existentialism theme arise from Anouilh's *Antigone* and Brecht's call on collectivism, this essay tends to further explore why Anouilh believes in the inevitability of Antigone's Death while Brecht holds an opposite view from their different aesthetic practice. Seen from Anouilh's perspective, this opposition is the confrontation between tragedy and melodrama.

Anouilh let the chorus comment on tragedy in *Antigone* as "tragedy is pointless and irremediable." (Anouilh, 1987: 102). Antigone wants Haemon to be always as demanding and loyal as her, but it turns out to be a fantasy. As Fleming commented, "what was true and beautiful is essentially ephemeral and impossible" (Fleming, 2008: 176). Antigone's immitigable desire for what is essentially ephemeral and impossible foreshadows the thwarted romance between her and Haemon and her inevitable demise. Furthermore, the chorus's comment on tragedy has a resonance in *The Death of Tragedy* as George Steiner puts it "If the cause of disasters is temporal, and the conflict can be resolved through technical or social means, we

may have serious drama, but not tragedy" (Steiner, 1984: 8). Here, Steiner defends the authentic tragedy against serious drama focusing on the irresolvable conflict. In Anouilh's *Antigone*, the conflict between innocent youth and adulthood compromise is unable to be resolved through technical or social means. In this sense, *Antigone's* death also proves Antigone as an authentic tragedy for Steiner.

In the introduction of *Rethinking tragedy*, Felski argues that "tragedy is prized for its refusal to offer clear-cut solutions, and absolute judgements. In contrast with melodrama, which speaks in register with exaggeration, overstatement, and absolutism." (Felski, 2004: ix). Felski's argument best explains why this essay argues that Anouilh tends to tragedy while Brecht prefers melodrama. Anouilh's sympathetic portrayal of Creon gives the play a certain moral ambiguity about whether Antigone is represented as a humanist, or anti-human, and whether Creon is the oppressor or the one oppressed by state power. This lack of clear-cut solutions and absolute judgement does help in half-covering and half-revealing Anouilh's political message under a sensitive political background in occupied Paris. Antigone's unrelenting pursuit for purity and superiority and her death as achieving integrity are indicative of Anouilh's sympathy for fascism (Fleming, 2008: 175). Felski's argument also helps in explaining why moral ambigui-

ty is absent from Brecht's *Antigone*. The clear-cut judgements remind the audience that not indulging in laments on Antigone's death and complaining about fate. Besides, the absolutism of good and evil in characterization prevents the audience from sympathizing with the characters and leads them to an after-war reflection on the root of terror, violence, and human suffering under Hitler's oppression.

The opposition between Anouilh and Brecht can also be seen as the confrontation of dramatic theatre and epic theatre in Brecht's words. For the audience of dramatic theatre, "the suffering of this man appeals to me because they are inescapable" (Brecht, 2004: 71). For the audience of epic theatre, "the suffering of this man appeals to me because they are unnecessary, this is great art." (71). Brecht wants epic theatre to replace dramatic theatre because he holds that instead of letting audiences indulge in pity and fear of the tragic end, their attention should be directed towards the cause of it. This refusal in paying too much attention to personal emotions gives his audiences more space for critical thinking. But it doesn't mean for Brecht that emotion and reason cannot be part of an integrated aesthetic response (Curran, 2001: 167). Brecht wants audiences' critical thinking on emotion instead of being governed by emotion. Under Brecht's epic theatre practice, Antigone is no longer an unprivileged woman fighting

against the supreme power of the king and destined to be crashed into ruins. Her suffering intends to arouse collective awareness and critical thinking about how uncontrollable power can damage the whole community. If people learn from suffering, they shall carry on the spirit of Antigone and no longer let history repeat.

Brecht may strongly attack Antigone's death motive in Anouilh's version as she is swayed by her passion for purity and integrity and dies for individual pursuit. But Brecht shall admit that Antigone's coming to her inevitable demise is presented as both touching and convincing. It is notable that audiences' intellectual response is not hindered in Anouilh's *Antigone*, because Anouilh's practice on tragedy together with his metatheatrical approach enables the audience to view the play with objective critical thinking in a distance, and also intimately sympathize and identify with Antigone's passion and desire. In this way, both intellectual and emotional responses are triggered in the mind of audiences.

In conclusion, what is intriguing for a comparative analysis of the two versions of *Antigone* lies in the two authors' opposition in whether Antigone must die. Seen from Anouilh's perspective, this opposition is the confrontation between tragedy and melodrama. In tragedies, the tragic end is a result of irresolvable conflicts between characters of moral ambiguity, so that the

audience may not stick on absolute judgments and share sympathy in catharsis. In contrast, melodrama wants absolute and clear judgements on good and evil so that audiences will not indulge themselves in emotion but respond to the whole play with reason and critical thinking. In Brecht's words, this opposition underlines the difference between dramatic theatre and epic theatre because dramatic theatre presents suffering as both touching and convincing and regards the inescapability of suffering as the great art (Brecht, 2004: 71). But epic theatre holds that suffering is unnecessary and the cause of suffering is alterable with collective effort.

The two versions combined both ancient and contemporary elements, both made innovation in the construction of the plot and characterization and add spice to the debate on whether Antigone must die. In Anouilh and Brecht's clashing of ideas, more sparkling insights are generated on discussing *Antigone*.

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從後殖民視角解讀扎迪·史密斯《白牙》 的雜糅身份的建構

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摘要：作為當代英國文學界最受矚目的移民女作家，扎迪·史密斯是英國文化最具影響力的二十大人物之一。她的處女作——《白牙》被評為美國《時代周刊》列入最佳100本英語小說名單。該作品以其幽默詼諧的寫作風格，深刻的主題和包容的人文關懷，奠定了扎迪·史密斯在現代文壇的聲譽。《白牙》這本書主要圍繞三個陷入身份危機的家庭之間的內在關係展開，充分展現了二戰後的文化雜糅現象。不同于從後殖民女性主義或者多元文化視角對該書進行解讀，本文基于霍米巴巴的雜糅理論，探究《白牙》一書中少數族裔移民的種族身份，文化身份的建構問題，揭示在全球化帶來的身份危機背景下，構建好自己的身份將成為散居者的必由之路。

關鍵詞：扎迪·史密斯；《白牙》；雜糅；身份建構

一、作者與作品簡介

1975年出生于倫敦西北部的扎迪·史密斯 (Zadie Smith) 是英國當代文學界廣受贊譽的女作家之一，她被《時代周刊》評為2016年度全球最具影響力100位名人，成為當時唯一上榜的英國人。曾有人將他與後殖民文學教父薩爾曼·拉什迪相提并論，認為她是“種族、年輕、女性”的解杰出代言人。扎迪·史密斯在多族裔混居的環境下長大，父親是英國白人，而母親是牙買加黑人。這種家庭背景不僅引起她對少數族裔移民身份問題的興趣，也為她的創作提供了靈感和真實素材。扎迪從小就表現出了非凡

的寫作才能，從6歲開始寫詩，9歲開始寫短篇小說，後來在劍橋大學國王學院進修英語文學。作為英國青年一代作家的代表，扎迪·史密斯是一個獨具個性的作家。14歲時父母離異，她將自己的名字Sadie改成了Zadie，因為在她看來，Z的發音帶有異域色彩，并且也更加獨特和響亮。目前扎迪·史密斯有三部小說作品備受世界關注，《白牙》(White Teeth)，《論美》(On Beauty) 和《簽名商人》(The Autograph Man)。其中她的長篇處女作《白牙》被譽為“新千年第一部偉大小說”。該書出版後便吸引了眾多讀者，備受好評，也奠定了扎迪·史密

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斯在文壇中的地位和聲譽。此外，倫敦西北區是扎迪·史密斯創作的重要元素，她將自己對那片土地的特殊感情融入文字中，創作出“倫敦西北區三部曲”——《白牙》、《西北》和《搖擺時光》。

基于扎迪·史密斯自身的生命體驗，《白牙》這部作品充滿了對種族、文化和身份的探討。它講述了三個不同家庭——阿吉一家、薩瑪德一家和馬庫斯一家所經歷的不同文化的衝突交鋒，幾代人溝通的障礙，宗教信仰差異，充分展現了英國社會多元文化、多民族背景之下人們的生活狀況(Wirya, 2019: 330–342)。阿吉是個剛剛離婚的英國白人男子，他認為自己生來就是失敗者。當他決定自殺來結束自己生命的時候，因為車停在了卸貨通道上而被他人阻止。之後他在一次嬉皮士聚會上遇到了牙買加黑人克拉拉，兩人很快相愛並結婚。孟加拉移民薩瑪德是阿吉的二戰戰友，他在二戰結束後來到英國，並在英國的餐廳坐服務員，種族歧視和拮据生活使他陷入困境。後來他遇到了白人女人佩琵並和她墜入愛河。但後來感到自己被白人的文化所感染，為了他的雙胞胎孩子不受白人文明影響，他決定將孩子送回孟加拉。但因為缺錢，祇有馬吉德回到了孟加拉。等孩子長大之後，馬吉德由于欽慕西方文明，變得比英國人還要英國人；而米拉特在倫敦却對西方白人文明充滿了敵對。此外，阿吉的女兒艾麗也陷入身份危機，身為黑白人種的後代，她

很難涇渭分明地定義自己的種族身份。儘管這三個家庭的種族、膚色、信仰、文化和教育背景截然不同，他們都經歷着種族歧視，溝通障礙，文化衝突等問題。總而言之，“白色牙齒”展示了三個家庭的不同種族觀念，以及由此產生的衝突和身份危機。這部小說既諷刺又嚴肅，它涵蓋了種族、文化、歷史、政治、文明、宗教信仰等諸多話題，是文化多樣、種族混雜的後殖民英國社會的真實寫照。此外，《白牙》這本書是史密斯第一次用第一人稱來撰寫的，這不僅是她寫作生涯的一種新嘗試，也是一種契合時代精神的描寫角度。

近年來，國內外大多學者主要對扎迪·史密斯的創作思想、小說的主題和歷史文化問題等方面進行研究，也有部分學者從女性主義、象徵主義、後殖民主義和多元文化等角度分析《白牙》中移民文化身份的構建。而本文將從霍米巴巴的雜糅理論出發，探究小說《白牙》中少數族裔移民的身份雜糅問題。

二、霍米巴巴“雜糅”理論的基本觀點

霍米·巴巴出生于印度孟買，現任教于哈佛大學。作為當代著名的後殖民理論家，他與愛德華·賽義德(Edward Said)和佳亞特裏·斯皮瓦克(Spivak)一起被譽為後殖民理論“聖三位一體”。他的兩部著作《民族與敘事》(*Nation and Narration*)和《文化的定位》(*The Location of Culture*)，為後殖民理論的研究者提供了新

的研究視角和理論工具,在世界範圍內產生巨大的反響。霍米·巴巴以其雜糅理論獨樹一幟,對於國際學術界對少數族裔移民的文化身份認同研究具有重大影響。他的雜糅理論最早來源于俄國形式主義文學理論家巴赫金的混雜理論,巴赫金提出,混雜性指“在同一語言的限度內所表達的兩種話語的混雜,是時代、社會差別和一些其他因素分割開來,在同一表述中相遇的兩種不同的語言意識”。此外,霍米·巴巴基于拉康的精神分析法,研究殖民主義背後隱藏的心理因素,分析殖民者與被殖民者共存的復雜狀態,以及雙方在心理上的相互影響等。

賽義德的著作《東方學》堪稱是後殖民理論誕生的標志。東方學的目的并非是爲了全面了解東方的客觀事物,而是西方隱藏的政治和權利意圖,他們試圖通過對東方情形的“再現”的方式,塑造出滿足西方利益和要求的東方,從而便于其對東方國家實行壓迫和統治(Martha, 2008: 72-83)。不同于賽義德的東西方“二元對立”研究,霍米·巴巴從賽義德的東方學入手研究後殖民主義理論,首次將“混雜性”運用到文化研究中,他重點關注東西方之間的相互交融,認爲世界上所有文化都是雜糅的、相互流動的、相互滲透和影響的,因此“殖民與被殖民地情景彼此雜糅”——當被殖民文化在受到殖民文化的入侵時,也會對殖民文化產生影響(Beukema, 2009: 3)。巴巴提出:“國際文化的基礎不是倡導文化

的多樣性的崇洋求異思想,而是對文化的混雜性的刻寫和表達。”從某種程度上看來,混雜化的產生不僅爲殖民者爲殖民闡述創造了條件,還標志着反殖民抵抗的可能性,它展現了一種在斯文掩蓋下的非暴力反抗。

霍米·巴巴雜糅理論的核心就是“從殖民話語的內部對其實行壓迫,使之帶有雜質進而變得不純,最後其防禦機制徹底崩潰,對殖民主義霸權的批判和顛覆也就得以實現。”這意味着在雜糅話語中,本土文化不斷揭露殖民權力話語的片面性,從而使殖民權利逐漸瓦解。基于德裏達的解構主義,霍米·巴巴運用他的混雜性理論解構了殖民話語的二元對立結構,揭示了殖民文化的混雜性特點。相對於傳統意義上殖民與被殖民之間的話語對抗方式,他的混雜性理論主張挖掘隱藏在雙方之間的矛盾,并通過瓦解他們的對立關係,來消除殖民文化權威。針對後殖民理論中的“自我”和“他者”問題的研究,霍米巴巴指出殖民者一方面樂于迫使被殖民者遵循他們的文化,以此展現其文化權威性;另一方面他們對於雜糅文化造成的身份危機感到擔憂。因此,巴巴提出“自我”身份的確立需要“他者”的襯托才具有意義。在研究文化認同時,霍米·巴巴提出文化的意義來自于混雜文化,因爲文化認同祇有在文化的交流和協商中產生。對於混雜性而言,“第三空間”爲混雜性的產生提供了場所,并提供了一種新的發聲方式。另外,在巴巴的混雜性理論中,他強調

了對“第四世界”群體的關注，即那些前殖民地移民、少數族裔、契約勞工、黑奴和難民等一群游離在國家邊界的邊緣群體，他們往往是殖民主義、奴隸制和戰爭的受害者。這些流亡者的邊緣身份迫使他們受到差別對待和種族歧視，沒有話語表達的權利。而這些邊緣化的群體恰恰對於霍米巴巴這樣的後殖民理論家來說，具有重大研究價值，因為在這個多元文化相互融合的世界，他們是雜糅文化的代表，他們的話語權和身份也需要被認可和接受。霍米·巴巴的混雜理論將無疑為這些第四世界的人們打破身份界限提供了強有力的理論支撐，也為“移民”對於世界文化流動性的影響提供了新的理論視角(Balama, 2019: 1-14)。

三、《白牙》種族身份的建構

在小說《白牙》中，扎迪·史密斯(Zadie Smith)用幽默詼諧的筆調描述了來自不同社會的三個移民家庭在白人主流社會中面臨的種族、歷史文化、宗教和家庭問題。在英國的雜糅文化背景下，不同種族、宗教和文化相互碰撞，發生衝突，迫使少數族裔陷入身份危機，這些有色移民在尋求自己的種族身份時做出了各種不同選擇。

1. 查爾芬夫婦：白人至高無上

由於二戰後對勞動力的需求大量增加，1948年，英國頒布了《英國國籍法》，允許所有英國殖民地和英聯邦公民自由進入英國，從而導致了大規模的移民潮。但是，隨著移民人數的大量增加，英國為其民族認同感到

擔憂，因此1960年，英國開始修改法律限制非白人移民入境，種族歧視從此不斷加深。最初，英國通過黑奴貿易和剝削殖民地進行資本擴張。英國資本家將黑人奴隸作為商品進行交易，并把對印度黑人的剝削視為理所當然，這促使了英國人身份優越感的形成。他們堅持種族等級制度，並認為自己生來就是屬於社會頂層，而有色人種則屬於社會最底層。正是這種根據膚色來區別對待不同種族人類的行為導致了種族歧視現象不斷蔓延，白人對於非白人種族的歧視從此深深植根於英國霸權文化和意識形態之中。

扎迪·史密斯(Zadie Smith)的小說通過描繪人物的生活經歷，充分展現非白人移民遭受種族歧視的悲劇經歷。例如，當三個孩子被安排去退伍軍人漢密爾頓先生家做社區服務時，漢密爾頓一看到他們的膚色就推斷這幾個孩子只是來賣東西或要錢，于是他只是打開門縫讓他們趕緊離開。後來得知他們的食物是免費提供時，他才讓孩子們進屋。當談論到牙齒時，漢密爾頓先生說：“當我在剛果時，我唯一能識別出黑鬼的方法就是他們的牙齒……黑得像臭蟲”(171)對於普通人來說，牙齒只是人體器官之一，但是漢密爾頓卻將牙齒的顏色看作是識別有色人種的決定性因素。此外，他堅決否認米拉特的父親曾經為英國戰爭做出的貢獻。他認為，巴基斯坦人和阿拉伯人不能參加英軍，而應該只能加入自己國家的軍隊。由此

可以發現，英國人不僅無視有色移民對英國做出的貢獻，而且往往將他們視為劣等人。

科學種族主義理論始於18世紀末和19世紀初，成為歐洲國家用來鞏固其帝國統治的一種手段。在這種意識形態的影響下，少數族裔移民不僅遭受物質壓迫，也受到了精神壓制，導致他們盲目地追隨白人，陷入種族身份危機。這些人往往通過接受白人價值觀，敵視其他非白人移民來提升自我的種族身份，例如，《白牙》小說中的查爾芬夫婦就是這類人的典型代表。事實上，他們不是純英國血統，而是德國和波蘭移民的後裔。但他們尊崇白人至高無上的地位，並且因自己皮膚白皙而自稱為英國白人。這種身份優越感甚至讓他們鄙視像他們一樣都是移民的瓊斯一家和伊克巴爾一家。馬庫斯·查爾芬是一名科學家，主要從事基因研究，並試圖通過改變人類基因來改變種族。多年來他一直從事“未來小鼠”研究計劃，目的就是通過改變基因將白化病小鼠轉化為小白鼠。在他看來，白老鼠代表白人，如果他可以改變老鼠的基因而將其變成白老鼠，那麼他就可以改變有色移民的基因將其變成白人。作為一個科學種族主義者，他認為祇有白人才是純英國人，也祇有白人才是完美的種族。他的妻子喬伊斯·查爾芬是一位園藝家，從事研究物種起源，並認為事物的好壞與其根源息息相關。她在自己的著作書中解釋說異花授粉更有利，因為其後代是更容易適應環

境變化。喬伊斯內心非常鄙視有色女性移民。在第一次見到克拉拉時，喬伊斯沒有稱呼她瓊斯太太，而是直呼其名，暗示自己白人女性的身份高人一等。此外，當克拉拉感謝她幫助艾麗時，她暗示艾麗以前學習成績不好是因為克拉拉的牙買加基因。這些舉止都體現了她的白人至上的思想觀念和優越感。

2. 米拉特：抵抗白人歧視

史密斯在小說中描述了不同人物面對白人主流文化的壓迫和歧視時的不同態度及其後果。有些人羨慕白人生活方式並選擇模仿他們，而另一些人則憎惡白人並選擇抵制種族歧視。米拉特就屬於後者，他是抵抗西方種族偏見的有色移民的典型代表。

米拉特的父親因為擔心雙胞胎孩子被白人文化“腐化”，決定將他們送回孟加拉。可因為缺錢，祇有馬吉德被送回了。米拉特從小嬉鬧玩樂，被父親稱作“一無是處”，而他的雙胞胎兄弟馬吉德則備受父親寵愛和器重。受種族歧視的影響，少數族裔移民被看作是劣等移民，並在生活中處處遭到排斥。有一次米拉特因為在學校吸煙，被要求去查爾芬家，與約書亞一起加入課後學習小組。校長認為，“米拉特很有潛力，但是受到了移民家庭背景的約束...而多與查爾芬一家交往讓他更多地接觸白人價值觀，從而幫助他擺脫家庭束縛。”所有這些種族歧視的經歷使他對西方社會充滿仇視，他開始與白人作鬥爭，堅持自己的民族身份，甚至加入激進組

織來維持自己的民族主義。在受到不平等待遇和歧視之後，一些少數民族移民在本民族的傳統文化中尋求身份認同感，這同樣也是他們抵制種族偏見，在西方主流社會中進行身份建構的一種方式。

自文藝復興以來，西方社會仍然激烈地反對伊斯蘭教。無論是在新聞報道，影視作品，圖片還是書籍中，阿拉伯人往往被描繪成非理性的、有暴力傾向的人。因此，在白人主流社會的霸權話語影響下，米拉特錯誤地將白人所敵視的“暴躁的阿拉伯人”視為自己國家人的真實面貌。在充滿種族歧視的文化環境中長大的米拉特明白，他沒有任何表徵自己的權力，並且無論他如何模仿白人，都不會被白人所認可。實際上，西方媒體報道的“暴躁的阿拉伯人”是伊斯蘭激進分子和恐怖分子。當米拉特看到這些新聞時，他突然想起自己的曾祖父潘德曾在1857年煽動印度士兵的叛亂。在米拉特看來，潘德是印度叛逆精神的代表，也是印度文明的象徵。他希望成為像他這樣的民族英雄，抵抗西方社會的壓迫來保持自己的種族身份。因此，米拉特加入了一個伊斯蘭宗教組織，該組織實際上是為了維護其宗教信仰的純潔性。盡管該組織的行為有些殘酷，米拉特試圖在這種狂熱的宗教組織中尋求歸屬感，並釋放內在對白人的憤怒。他們每天主要是在大街上發傳單宣揚伊斯蘭教，並強烈反抗那些異教徒。一開始，米拉特非常積極地參與，但是後來隨着熱情

的減退，他逐漸開始對自己的所作所為感到困惑。諷刺的是，他曾跟隨該組織去焚毀薩爾曼·拉什迪的書的，而這些書他以前從未讀過。由此看來，米拉特對於自己國家的宗教和傳統文化了解甚少，他在堅持自己的種族文化傳統的過程中失去了對自我身份的判斷。事實上，米拉特所堅持的純粹的種族身份脫離了與歷史現實。米拉特之所以參加這一組織，並非完全出于個人信念，而是出于精神的空虛，以及對於社會身份認同的渴望。盡管米拉特堅持自己的民族傳統來抵抗西方社會，但實際上他深受西方文化的影響。他喜歡好萊塢電影，崇拜電影裏那些幫派頭目，因此他內心真正的英雄是好萊塢黑幫電影中的那些大人物。史密斯通過米拉特的故事來表明，在西方文化與傳統文化的相互碰撞下，種族移民不可能堅持其傳統種族身份，他們應該在兩種文明的融合中建立起雜糅身份。

3. 艾麗：雜糅種族身份

雜糅理論是霍米·巴巴後殖民理論體系中的一個重要概念，該理論模糊了不同種族之間的界限，並賦予了移民雜糅身份。隨着全球化的發展，越來越多的人面臨身份危機，而雜糅理論將為他們建構身份提供新的思路。小說《白牙》中，艾麗·瓊斯就是“一個充分體現種族身份雜糅的人物。”史密斯通過描述混血兒艾麗如何建構自己的混合種族身份，強調了雜糅身份對於少數族裔移民身份構建的重要性。

艾麗·瓊斯是白人阿吉·瓊斯和牙買加移民克拉拉的女兒。首先，她的名字就是文化雜糅的象徵。瓊斯是典型的英國姓氏，而艾麗則是具有牙買加文化特色的名字。儘管父親是一位純正的英國人，但她完全沒有繼承父親的基因，顯現出任何白人的生物屬性，而是繼承了母親的牙買加卷發、大骨架、黑色皮膚和醜陋的牙齒。因此，她經常被白人同學嘲笑和鄙視，使得艾麗感覺很難融入白人主流社會。一次在課堂，艾麗問老師莎士比亞的一首詩中的黑人美女是否是黑人婦女時，她的白人同學嘲笑她是“卷毛大屁股母狗”。因為在英國人的眼中，祇有白皮膚和藍眼睛才是美麗的，而“黑色代表截然相反的東西：醜陋，罪惡，黑暗，不道德等等。在白人美學的衝擊下，她認為自己的牙買加容貌極其醜陋。在家中，由于父母忙于處理自己的事務，他們之間很少交流。因此，在探索自己身份的過程中，艾麗必須像眾多其他移民一樣獨自面對在英國社會中被邊緣化的無助困境，這使得她對自己的身份差異感到十分厭惡。她從一開始就迷戀米拉特，但她逐漸意識到米拉特不會愛上她，因為她永遠不會擁有像白人女孩那樣白皙的皮膚和直發。最終，她為迎合英國白人女性的審美標準，努力改變自己。她去理髮店拉直自己暴露牙買加血統的卷發，但不幸的是，理髮師把她的頭髮弄斷裂了，她不得不戴着紅色的假發，而這使她看起來更怪异了。斷裂的頭髮也暗示

着艾麗和過去的自我分割開來。艾麗的失敗嘗試表明，即使非白人種族移民改變其面貌或發型，也無法改變其非白人血統的本質。

在試圖改變自己外觀失敗之後，艾麗決定融入英國社會，通過與白人接觸來模仿他們的舉止。因此，當她初次與查爾芬一家人接觸時，就深深地被他們高雅脫俗的言談舉止所吸引。她視他們為純正的英國人（事實上他們是波蘭和德國移民的後裔），渴望成為他們生活的一部分。對她而言，查爾芬一家是典型的英國中產階級家庭，與她的家庭完全不同。可是，在模仿他們的行為時，艾麗逐漸意識到了他們光鮮外表背後的虛偽和無趣，大大減退了她對融入英國白人社會的興趣。她發現，實際上，他們的“英國身份”是虛假的，他們並沒有任何英國朋友，因此查爾芬一家並未得到英國白人社會的真正認可。這使艾麗意識到她所做的一切改變都是徒勞。她嘗試了各種方式使自己看起來像白人，却忽視了到自己的牙買加血統，她明白在這種白人文化同化的環境下，建立自己種族的獨特身份是不可能實現的。後來當她無意中踢翻了母親的玻璃杯發現了母親美麗潔白的牙齒實際上是假牙，這種掩蓋事實的虛假行為再次擊碎了她對家庭的期望，在這個家中“永遠不可能知道全部真相的歷史、永遠弄不清的謠言”。她迫切想要了解清楚自己的文化身份和家族史，因為在她看來“文化身份是有源頭的、有歷史的”。于

是她離家出走去找了霍騰絲。在霍騰絲那裏，艾麗了解了家庭過往歷史，她在腦海中勾勒出了她想象中的牙買加——“沒有虛構、沒有訛傳、沒有謊言、沒有亂成一團的家園”。艾麗對自己牙買加基因歷史的了解彌補了她缺失的根，重建了她的源頭。

“文化身份是在差異中尋找相同，在與他者的互動中形成的”。艾麗最終在這兩種文化的衝突下構建了雜糅身份，並意識到自己的這種獨特身份是“種族和文化的融合”。對於過去的記憶，她用牙周術語——刺痛、隱痛等來描述，但艾麗堅信“過去總是糟糕的，將來總是完美的”，未來的多元文化，也許沒有人會在意膚色和血統。她腹中的孩子也正暗示着英國血統與少數族裔特性的融合，是一種雜糅文化身份的象徵。

通過艾麗這個人物，扎迪·史密斯旨在鼓勵少數族裔們在混雜文化中構建“中間”身份，揭示在多元社會中，追求單一和純粹的身份是不可能，祇有正視民族與家族歷史，直面異質文化，才能在雜糅的文化環境中確證自我。

四、《白牙》文化身份的構建

《白牙》這部小說具有濃鬱的多元文化色彩，它全球化背景下文化融合和衝突中，不同種族、不同性別，不同家庭都面臨着一個相同的問題：在一個以白人文化為主導的社會中，如何選擇和構建自己的文化身份。史密斯作為白人和牙買加黑人的混血後裔，具有不同的文化背景和生活經

驗，這使她能夠超越狹隘的民族主義視角，以更加開放和包容的態度看待種族和文化差異(Liu, 2004: 137-141)。在她的小說《白牙》中描述了各種角色以不同方式應對他們的身份危機。從他們中我們可以看出，在多元文化的倫敦社會中追求單一和純粹的身份建構是不現實的，而少數族裔移民實現其身份的唯一方式是構建像艾麗這樣的雜糅身份。

阿吉·瓊斯是小說中唯一的純正英國白人，看似與雜糅身份無關，但他像種族移民一樣生活在社會底層。他認為自己是個天生的失敗者，無論做什麼都必須扔硬幣來決定。與患有精神病的前妻離婚後，他失去了對生活的熱情，並通過投擲硬幣來決定自殺。但這一人物恰恰是史密斯筆下創造的最成功的人。實際上，他是人文主義的體現，這一角色對於文化多樣性充滿希望，對多元文化持開放和包容的態度。

離婚後，阿吉遇到了牙買加黑人女孩克拉拉，兩人墜入愛河並很快結婚。在其他白人甚至是移民眼中，這種“不同膚色”的婚姻都是不合適的。克拉拉的母親首先提出反對，並將她趕出家門。他們的婚禮祇有薩瑪德和他的妻子參加，“其他所有親戚和朋友都拒絕了婚禮邀請。因此，他們的婚姻沒有得到白人主流社會的認可，這也使得阿吉遭到了白人的區別對待，處於和有色移民相同的境地——被白人社會邊緣化。例如，他的老板雖然聲稱自己不是種族主義

者，却用各種理由阻止阿吉帶妻子參加公司的年會。但是在阿奇的心中，膚色并不是很重要。此外，阿吉與孟加拉移民薩瑪德的友誼也體現了他的開放思想。在白人文化盛行的英國，大家普遍認為白人不應當與有色人種交朋友。因此，對其他人而言，他們的友誼是違背常理的。然而，自二戰以來他們一直是彼此最好的朋友。薩瑪德與白人傳統印象中落後的東方人不同，他知識淵博，受過良好的教育。當薩瑪德擔心孩子受到白人文化的侵蝕時，阿吉認為這不是什麼嚴重問題，因為在他看來，“人類文明應該和平共處”。根據霍米·巴巴的觀點，某種文化的特徵不是固定的，而是在與其他文化交流的過程中形成的一個“第三空間”，它使不同的文化能够相互交流和協商。也就是說，在這個沒有文化等級制度的空間中，殖民和被殖民者，西方和東方，白人和有色人種可以通過相互交流和融合而生活在一起。小說的最後就呈現了這樣一個“第三空間”，當馬庫斯在新聞發布會宣布他的白鼠實驗成功時，對此實驗持不同態度的人們都聚集在這個空間中，所有的差異和衝突都暴露了出來。當KEVIN組織試圖在新聞發布會上暗殺馬庫斯時，阿吉堅決地為他擋住子彈，這一次，他並沒有用扔硬幣來決定。在他跌落的那一刻，他看到那祇老鼠從無數祇想要抓住它的手中逃脫。盡管阿吉知道查爾芬是納粹分子，並且不同意他的基因改造理論，但阿吉仍然救了他並讓老鼠逃

脫。從這祇老鼠身上，阿吉看到了他女兒這一代移民可能面臨的命運。和這祇不幸的老鼠一樣，他們在身份認同過程中會面臨各種困難和歧視，但最終他們將會成功地構建自己的身份。

他與克拉拉的婚姻，與薩瑪德的友誼，對查爾芬的寬容以及對老鼠的同情，都體現了阿吉對待多元文化之間的衝突的寬容和包容的態度。像阿吉這樣的人是不同文化之間的紐帶，在多元文化的建構中發揮着重要作用。通過阿吉這一人物形象，扎迪·史密斯傳達着她對多元文化的態度，即反對文化霸權和種族歧視，堅持對不同種族，文化和信仰的人們的尊重、理解和包容，同時共同努力開創多元文化時代的新紀元。

五、結語

扎迪·史密斯密切關注少數族裔移民的身份危機，文化衝突，種族衝突等問題。她的文學作品主要反映了生活在西方主流社會中的非白人移民遭受壓迫和歧視的生活狀況。她的處女作《白牙》是一部具有多元文化色彩的小說，涵蓋了種族，性別，宗教，歷史，政治，文化等多種主題。本文基于霍米·巴巴的雜糅理論，從種族身份和文化身份兩個層面分析了少數族裔移民的身份建構問題。

二戰後，許多少數族裔移居英國並受到英國白人的歧視和壓迫。不同移民采取不同的種族身份建構方式。有些加入了種族主義陣營，追求白人至上，例如查爾芬夫婦。有些人選擇

抵抗白人種族的壓迫，如米拉特，但他們最終陷入了民族純粹主義。而像艾麗這類人在經歷了一系列改變後建立雜糅種族身份，因為他們意識到在多元文化中建立單一的純種族身份是不現實的。

少數族裔移民在受到西方主流文化影響的同時，又無法抹去自己民族文化的烙印，因此也陷入了文化身份建構的困境。以書中孟加拉移民薩瑪德為例，為孩子不受白人文化的“污染”，他將馬吉德送回了孟加拉。但馬吉德並沒有像他期望的那樣成為虔誠的穆斯林教徒。相反，他完全接受了西方文化，並且成為比英國人還英國人。而小說中唯一的純英國白人阿吉·瓊斯則對不同種族和文化懷有開放包容的人文主義態度，他是多元文化雜糅的象徵。

通過揭示不同種族和文化之間的意識形態衝突，史密斯的小說達到了淡化種族矛盾並強調人類共同體的目的。儘管史密斯在小說中描寫了種族、女性和文化等諸多問題，但她並不是一個激進的女權主義作家，她的小說《白牙》鼓勵移民在全球化背景下構建混合身份，並以寬容和開放的態度對待種族、性別和文化差異。

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An Interpretation of Hybrid Identity in Zadie Smith's *White Teeth*: From the Perspective of Post-colonialism

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[Abstract] *As a prominent figure in contemporary British literature, Zadie Smith is named among the top twenty most influential people in British culture. White Teeth is her debut novel, which is on the list of 100 Best English-language Novels by Time magazine. This book lays a solid foundation for Smith's reputation in post-colonial literature with its humorous writing style, profound themes and inclusive humanistic care. White Teeth is centered around the interrelationships of three families who typically represent the mixed culture after WW II and are confronted with identity crisis. Unlike those who interpret this novel from the perspective of multiculturalism and post-colonial feminism, this paper adopts Homi Bhabha's hybridity theory to study the construction of racial identity and cultural identity of minority immigrants in White Teeth to dig out the hybrid identity in this novel. It reveals that as globalization gives rise to identity crisis of immigrants, the only way for the diaspora is to construct their own identity in the mainstream society.*

[Keywords] *Zadie Smith; White Teeth; hybridity; identity construction*

政治規避策略中會話準則的違反 及其語境因素探析

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摘 要：本研究以語用學中的Grice(1975)會話原則理論切入政治話語研究，在明晰政治規避策略的定義與特徵基礎上，以2019-2020年美國白宮媒體問答的轉寫文本為語料，揭示美國白宮官員如何通過肆意違反、蓄意違反、無意違反、決意違反會話準則的方式達成規避的政治交際目的。此外，本研究基于Verschueren(1999)對語境因素的劃分，從語言使用者、物理世界、社交世界、心理世界、語言語境五個方面探究政治規避策略的影響因素，以期深入闡析話語與社會互為建構的共變關係，為政治話語研究提供啟示。

關鍵詞：政治規避策略；會話準則；語境因素

一、引言

近年來，各國媒體多次報道美國政府在公開採訪中，無視記者問題、攻擊記者等不正面回答問題的新聞。在公開採訪中，盡管互動雙方通常希望對方對問題做出適當的回應，但不同于日常交際，在政治情境中，政治家的回應行為會受到大眾更嚴密的審視，因此政治家通常選擇規避策略去避免正面回答產生的負面影響。作為觀察者，通過分析政治家的規避行為更易于推測其背後隱藏的動機(Clayman, 2001)，其規避語言形式及內容可反映出權力關係等政治現實。本研究將基于Grice(1975)會話原則理論探討政治規避策略的實現方式，並從Verschueren(1999)的語境分類觀，闡析政治規避策略的影響因素。

二、政治規避策略研究

規避是政治家常用的策略性的回答方式 (Dillon, 1990)，也是政治家典型的特徵之一。Bavelas et al. (1988) 通過實證研究證明“在‘回避-回避矛盾’情境中政治家會避免給出他們的觀點和直接回答問題”，例如信息的保密性和告知事實之間的矛盾、不知情和編造答案之間的矛盾等。此外，政治問答情境下時間的壓力以及對問題中涉及知識的了解程度等因素也會影響政治家對回答策略的選擇 (Bull & Mayer, 1993)。綜上所述，本文將政治規避策略界定為在“回避-回避矛盾”政治交際情境制約下，政治家為了降低政治話語風險、使政治利益最大化，而通過違反會話準則的方式，未對提問者的問題給予直接回答的語

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言現象。

關於政治規避策略的類型，學界從功能觀、語義觀、會話準則等不同角度對其加以分類。Galasinki (1996) 提出規避可分為明示規避和隱蔽規避，其中明示規避是不合作、拒絕回答問題；隱蔽規避是看似合作，却没有給出問題的答案。Galasinki (2000) 在隨後的研究中提出可以通過分析違反合作的各種情形對規避策略進行分類。Marsh (2018) 基于Grice會話原則違反方式將規避分為三種類型：1) 蓄意違反(violating)會話準則，即Galasinki (1996) 所說的暗示規避；2) 肆意違反(flouting)會話準則，即故意違反合作原則產生特殊會話含意，意在讓聽者尋找言外之意；3) 無意違反(fringing)會話準則，例如誤解了問題。Marsh (2018) 認為決意違反不屬於規避，而Berninger & Garvey (1981) 認為由于拒絕回答也沒有解決提出的問題，因此規避中應該包括拒絕。Marsh (2018) 僅探討了日常話語，却没有涉及政治話語。本文在Marsh (2018) 對規避策略分類的基礎上，結合劉風光、張紹杰(2008) 對會話準則違反方式的補正，將常見的政治規避策略分為：肆意違反、蓄意違反、無意違反、決意違反會話準則的方式達成規避的政治交際目的。

三、政治規避策略的語言實現方式

1. 肆意違反會話準則的規避策略：
政治家故意違反會話準則但通過產生的特殊會話含意可推測出所需信息，例如：

Q: There will almost certainly be a House Judiciary Committee hearing about this site selection.

A: You think so? (2019-10-11)

在此例中發言人采用反問句“**You think so?**”，間接給予了否定答案，通過故意違反會話準則而讓聽話人推斷出特殊會話含意。

2. 蓄意違反會話準則的規避策略：

政治家以一種提問者無法即時識破的方式試圖隱藏不合作意圖，如通過陳述、建議、承諾等其他言語行為實現規避意圖；

Q: Would you like to be nominated for your position?

A: Here's what I'll say, is: **I'm here to serve the President of the United States in whatever capacity he thinks I can best serve...**(2019-11-14)

在該例中，發言人並沒有給予肯定或否定回答，而是陳述了自己對於職位的觀點，通過“I'm here to serve the President of the United States.....”表達了自己對於總統以及政府的忠誠，塑造了一個恪盡職守的政治形象，因此在此例中，發言人通過陳述類言語行為，以貌似合作的態度實現間接規避，這種間接性並非表達對於記者的尊重，而是一種對於第三方聽眾的尊重和聯結，這也是政治交互儀式中禮貌的獨特之處。

3. 無意違反會話準則的規避策略：

政治家由于主客觀的原因如緊張、語言能力等限制而無意識地違反了會話準則，如由于沒有聽清而讓提問者重複

問題，為回答者留出緩衝和思考的空間；

Q: But this is something he did during his time in the White House. Does the White House deny that the President is "Individual 1"?

A: I'm sorry? (2019-3-11)

該例中回答者使用 "I'm sorry?" 表示自己並沒有聽清問題，記者再次詳細解釋了問題後，回答者依舊規避了問題的答案，"I'm sorry?" 在此處為回答者提供了緩衝的餘地。

4. 決意違反會話準則的規避策略：
政治家在公開正式的政治交際中出于制度、身份等原因不願合作而違反會話準則，如表示不願提前透露信息；

Q: And just one more question on Russia. Since Russian President Vladimir Putin has congratulated President-elect Joe Biden, any comment on that from the Russian President?(2020-12-15)

A: **No comment on that.** I leave it to the President to react to that.

在此例中記者的問題涉及總統，出于隱私性和職能範疇等原因，回答者直接表明無可奉告 "No comment"，將回答權留給總統自己。基于以上研究結果，下面將探討語境因素如何影響發言人回答方式的選擇。

四、政治規避回答策略的語境影響因素

1. 語言使用者

交際語境的第一個語境就是語言使用者，包括發話人和釋話人。通過分析發現，發言人的角色和聽話人的

範圍會影響發言人使用規避策略的語境因素。白宮發言人是白宮向記者宣傳情況、回答提問的人員。首先，白宮發言人的角色代表了總統和政府，因此超出白宮管轄之外的提問，發言人會採取決意違反，如不便透露，或蓄意違反，如建議記者向相關負責部門進行諮詢，以貌似合作的態度規避答案。再者，不同于日常人際交流，白宮新聞發布會上的釋話人不單單是記者，換言之，記者祇是起到了一個拋出話題的作用，而真正的釋話者除了記者外還有國內外民衆、媒體、官員等。因此，發布會上的回答會被多方解讀，這個語境因素也使得發言人在一定程度上會採取規避策略，避免引發不必要的矛盾。

2. 物理世界

Verschueren(1999)將物理世界主要分為時間和空間。新聞發布會的召開時間是一個重要的語境因素。白宮新聞發布會上提到的事件基本分為已經構成事實的，正在進行中的和未構成事實的。因此事件發展的階段會直接影響發言人採取的回答策略。當問題涉及的事件處於正在進行或即將進行時，發言人會採取如推遲回答，模糊回答等，留出回旋的餘地，避免信息泄露。規避策略的選擇未必是祇由于一種語境因素，也可能受多種因素影響。在空間上，白宮發言人站在臺上，是整個空間的焦點，下面是很多國內外的媒體記者。不同于生活交際，在這種政治公開場合的空間中，發言人會承受一定程度的壓力，對於

記者們的提問，發言人講話會謹慎又小心，避免帶來他人的揣測和誤解。

3. 社交世界

權力與距離是影響發言人采用規避回答策略的一個語境因素。不同文化社會有其自己的行為規範和秩序。當記者提出敏感或假設性問題時，發言人則會直接質疑問題可信度以及質疑提問者本身。同樣，距離也是會使發言人采用規避策略的一種因素，在這裏“距離”不是單純指人與人之間的親疏距離，還指代國家與國家之間，當記者的問題涉及不同國家時，發言人也會采取不同的回答策略。

4. 心理世界

對於發言人個人來說，當遇到一些記者的問題時，可能會引起內心的一些情感變化，例如遇到挑釁的或是重複追問的問題時可能會產生憤怒等情感；發言人所處的焦點位置和思考時間不足會使發言人產生焦慮感等。因此，心理因素也是影響發言人采用規避回答策略的因素之一。

5. 語言語境

語言語境主要是選用的語言手段，主要指上下文，包括邏輯關係、重複、語篇主題、語體風格等。根據語料分析發現問題的敏感度和相似度會影響發言人采用規避回答策略與否。研究發現，當記者的問題涉及多方國家等敏感問題時，最易引發規避；此外，當問題與問題間相似度越高(如重複問題、追問問題)，發言人采取規避策略的可能性越大，發言人會表明問題已經回答過。

五、結語

本文首先基于前人研究將厘清了政治規避策略的定義及分類，并在此基礎上以具體實例闡析政治規避策略的實現方式。依據Verschueren(1999)對於語境因素的分類，分別探討了語言使用者、物理世界、社交世界、心理世界、語言語境對於外交規避回答策略的影響。在後續研究中，還可以進行跨文化的規避策略對比研究以及結合定量分析探究不同文化中規避策略的使用頻率等。

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Non-observances of the Conversational Maxims in Political Evasions and Their Contextual Factors

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[Abstract] *Based on the transcribed data of press conferences held by White House, the present study explores the strategies of evasive responding employed by American spokespersons from the perspective of non-observances of conversational maxims, namely, flout, violate, infringe, opt out. On account of the classification of contextual factors by Verschueren(1999), this study also explores the influencing factors of political evasions, aiming at providing enlightenment for the study of political discourse.*

[Keywords] *political evasion; conversational maxims; contextual factors*

“全球化”在美國主流報紙媒體的話語建構

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摘要：隨着全球化在各個國家和地區的不斷深入發展，各個國家都或多或少受到了全球化的影響。“經濟全球化”“貿易全球化”“全球衛生”等相關話題也因此在世界範圍內廣泛熱議。作為超級強國的美國，一直在全球化的不斷發展中發揮着舉足輕重的作用。為揭示美國對全球化的看法已經未來國際發展的走向，本文選用了1995年到2019年的與全球化相關的媒體報道，採用語料庫輔助批評話語分析方法開展研究。具體從歷時維度出發，從語篇——話語實踐——社會實踐三個層面，分析全球化的搭配詞，探討潛藏在文本中的社會態度及意識形態，了解新聞報道語篇中話語生產者和話語策略的關係，最後總結影響美國媒體話語策略的因素。該研究的意義豐富了全球化的媒體形象研究，為推動全球合作共贏提供了有益啟示。

關鍵詞：全球化；美國主流報紙媒體；話語建構；語料庫

一、引言

隨着人類社會的不斷發展，全球化這一現象已滲透進世界的方方面面。就目前而言，在全球化進程中，強國、弱國、大國、小國都可能獲益，也都可能吃虧。眼下的美國，雖然一直是全球化最大的獲益國，却呈現冷淡全球化的傾向。作為世界唯一的超級大國的美國，其一舉一動都舉足輕重，因此研究美國主流媒體對“全球化”的相關報道並對此進行分析，有助於了解美國對國際形勢的態度，為中國的發展和如何應對中美關係提供建議和參考。

截止到目前，“全球化”研究進

程大多將全球化和具體某一領域聯繫起來研究探討，研究較片面且忽視了全球化的主導因素，並沒有很多從語言學角度分析的全球化研究報告。同時當前研究形勢並未詳細研究近些年來世界局勢的系列性變化，呈現出時效性不足的狀況。

因此本文採用批評話語分析方法分析媒體美國媒體對“全球化”所採取的建構話語策略以及影響話語建構的社會、政治、文化的因素，具體關注如下方面：

(1)針對不同新聞立場，美國媒體針對“全球化”所採取的話語建構策略；

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(2)在變化社會語境下美國主流媒體對“全球化”的相關報道構成的框架和特點;

(3)影響美國媒體“全球化”話語建構的社會、政治、文化的因素。

二、文獻綜述

1. 全球化

全球化是我們這個時代的中心概念。然而關於全球化的性質究竟是積極還是消極，存在很多爭論，業界鮮少達成共識。總體來說，許多人將全球化視全球力量的真正重組。全球化是產生整合與瓦解、合作與衝突、秩序與無序的力量的高度複雜的相互作用。

“全球化”研究進程在國內外大多從政治學、經濟學等具體角度切入探討全球化的現象與特徵，將全球化和具體某一領域聯系進行研究探討，如：全球化與不平等、全球化與經濟增長的責任歸因。同時，海外多以實用主義方式歸類全球化，以事件和數據作為依據，依托對相關現象的研究得出成果，還通過重要人物的言行來反映全球化，如：川普與全球化、全球化的美國化。而國內較多文獻是關於全球化的應對措施和中國方案的研究，如：全球化語境下大學出版社如何講好中國故事、全球化視域中的中國傳統等。

2. 批評話語分析

批評話語分析作為一種語言研究的方法最早是20世紀70年代，費爾克拉夫在話語分析的基礎上首次提出的。批評性話語分析，作為新興的語

篇分析研究方法，其應用主要涉及情態、語氣、詞匯選擇等分析技巧，主要研究內容包括與語篇和語篇生成有關的社會政治問題及其與社會和意識形態的關係，旨在通過分析語言特徵 (discourse features) 及其生成的社會文化背景挖掘隱含于語言中的意識形態，進而揭露語言、權勢和意識形態之間的複雜關係。

費爾克拉夫在《語言與權力》一書中提出了可能的話語分析過程與技巧并發展了批評性話語分析的程序。具體來說，話語有三個層面的作用，即社會實踐層面、話語實踐層面和文本層面。(Fairclough, 1989)首先，社會實踐，也稱為社會生產和解釋條件，在這一層面的分析其中可能涉及到對社會因素的分析，這些社會因素可能會產生文本，同時又影響人們的理解。第二，話語實踐，也被稱為話語產生和解釋的過程，這指的是文本產生的方式以及它如何對人們的理解起作用。第三，文本，這就是前兩個層次的產物。而根據以上三個話語層面，費爾克拉夫隨後將批評性話語分析概括為三個階段：(1)對文本形式性質的描述。(2)解讀文本與其生產過程之間的關係。(3)解釋文本生產與社會語境之間的關係。這三個階段被稱為“三層框架”，是批評話語分析學家常用的一種框架。(Horváth, 2009)

目前，批評話語分析發展迅速，形成了一種新趨勢，研究和實踐的隊伍日益壯大。它用于話語本身，在各個領域都有運用，如：話語、主觀性

與意識形態、現代主義話語分析、擴展的話語：女權主義和藝術史等。

3. 媒體話語分析

現代世界的媒體作為一個公共論壇發揮着至關重要的作用，在提供話語、傳播多種觀點和立場方面具有無可爭議的重要意義。媒體話語與話語具有同樣的屬性，既可以含蓄地表達，也可以隱晦地表達，但更為重要的是，由於具有傳播性，媒體已相當深入地嵌入到人們的日常生活中。因此，媒體話語在構成現象現實的同時，影響甚至塑造人們對現象的認知、態度，並激發人們採取行動方面發揮着更為重要和必不可少的作用。從這個角度上說，它是語言學特別是批評語篇分析中一個重要且必要的研究課題。批評性話語分析被認為是研究媒體話語的最佳方式，它有助於揭示某種社會現象是如何在語言、意識形態和權力的互動中建構起來的。通過對媒體話語的審視，揭示其隱藏的意識形態和細微操縱的存在，具有戲劇性的本質。(Liu, 2019)

綜上所述，語料庫輔助批判話語分析非常適合媒體話語的研究，特別是在尋求全面、客觀地挖掘意識形態和隱藏的權力及話語影響因素之間的關係。本研究將運用批評話語分析方法解析美國媒體語言，最終揭示美國報紙媒體背後的話語策略及影響因素。

三、數據和分析

由於印刷媒體的新聞報道被認為是更清晰和客觀地呈現，並有更廣泛

的讀者群，所以本研究收集的語料選自《華盛頓郵報》和《紐約時報》這兩個美國主流媒體的報道。通過自建小型語料庫來進行研究，選取的語料時間是從1995年至2019年間與全球化有關的相關報道，共計298篇文章，145180個字符。通過關鍵詞分析，索引行分析，詞頻分析以及搭配強度的具體分析，從批評話語分析的角度來解讀美國媒體對全球化的態度和立場，從而洞悉美國媒體在全球化建構所採取話語策略，以及影響美國媒體“全球化”話語建構的社會、政治、文化的因素。

四、分析結果

1. 微觀語篇文本層面

(1) 關鍵高頻詞角度分析：

“全球化”在美國主流媒體的報導中，出現頻率較高，以“globalize”“globalize”“globalisation”“globalization”四種形式出現的全球化總計2177次，其中與之搭配最長出現的最常出現的領域性詞語為economic和economy。與globalization相搭配的詞叢中集中體現為名詞和情態動詞較常出現在globalization之前的單詞多為介詞。這表明在經濟貿易方面的全球化占據主流，這方面的全球化範圍最廣，受人們的關注最多。

在全球化過程中，全球化所涉及的領域主要分為經濟、政治與民生。其中，經濟領域的相關詞匯出現頻率最高，遠超政治與民生。經濟當中“trade”占比最高，最常出現的搭配“trade agreement”則體現出在全球

化話語構建中美國更注重經濟貿易的層面，同時對於市場、投資、金融、製造業等等領域的關注度較高。政府作為經濟生活的參與主體之一，在全球化中也多有提及。具體多涉及政府的行為、預算、人權，以及全球化中經濟部分處於政府控制或主導的領域。勞動力是美國主流媒體全球化報道最為關注的話題，反映出經濟全球化和技術的全球化將會對勞動力和就業產生前所未有的影響。健康醫療等話題的提及也表明了美國對於全球化過程當中的“health care”和其它非盈利領域的重視。

(2) 從情感態度詞頻分析：

針對全球化的態度方面，美國在全球化話語構建的過程當中是趨于全面的，在不同時期也有着輕微的態度傾向的不同。在這些大量的新聞報道中，其中表示負面信息的anti-globalization共計39次，多出現在華盛頓郵報有關民衆反抗的報道中，數量較少。而在紐約時報中，負面的報道較常以映射和隱喻的形式出現。沒有特別直接的反對詞語出現，但against和其他隱喻性詞匯還是存在。通過研究語料分析發現紐約時報在2010年以後，運用了大量了帶有貶義含義的詞語。此外，媒體報道還常用帶有消極含義從詞語和句子來表達對貿易全球化的不滿。例如：

(a)The most *egregious* example of a special-interest provision is the W.T.O.'s rules on intellectual property. (Tina, 2002)

2. 中觀話語實踐層面

從中觀話語實踐層面來看，在兩家媒體的報道中，我們可以發現美國主流報紙媒體中的話語生產者主要為各國國家領導人、政策制定者、國際組織代表以及相關領域的專家學者，他們主要關注國家經貿、民生和世界政治、人權、氣候環境等全球發展問題。

通過不同執政時期主流媒體在語篇中所關心的主要領域以及主要態度深入分析來看：

2001-2009布什執政時期，美國主張以侵略性帝國主義和堅定的單邊主義為特徵的全球化，以軍事實力和美國的力量投射為基礎的外交政策，在貿易政策上完全符合美國的價值觀。布什注重全球化中的恐怖主義，以及經濟貿易協定等主導權。然而他并不支持盟國或者國際機構應該限制美國行動自由的想法。經濟上，布什傾向于與周邊地區與發達國家進行協作。

2009-2017奧巴馬執政時期：奧巴馬政府面臨着國際上第三世界國家的崛起以及南北合作迫切深入的需求。奧巴馬認為美國必須更多聽取他人意見，強調共同利益并支持多國行動。奧巴馬政府認識到全球化已從根本上重塑了世界政治結構，因此目前美國需要使全球化對大多數美國人起作用。

2017-2020特朗普執政時期：如果說在前兩任總統執政時期，媒體將美國話語建構成“全球化”的引領

者和推動者主導，特朗普時期的媒體則呈現出“逆全球化”特徵。從特朗普上臺以後，美國“逆全球化”思潮不斷涌動，美國先後退出聯合國人權理事會、教科文組織和《巴黎氣候協定》，又不斷在各國挑起貿易戰。

3. 宏觀社會實踐層面

從宏觀社會實踐層面來看，我們發現隨着科技的進步、新媒體產業的蓬勃發展，全球化已從各個方面滲透進人們的生活。隨着時代的進步和深入發展，美國對全球化的態度發生了很大的變化。影響因素有如下幾個方面：

(1) 政治

在第二次世界大戰後，美國憑借其強大的軍事實力和經濟實力從而一躍成為超級強國，在世界舞臺上掌握了話語權，由此美國作為超級大國，開始不斷構建自己的霸權身份，用本國政治策略影響世界，各類新聞媒體報道中也飽含濃烈的政治色彩。並且美國作為世界大國，其話語權還影響着國際組織，它通過操控國際組織來引導全球化。

(2) 經濟

從經濟影響因素方面，數字經濟帶動資金全球流通，跨國公司不斷興起，推進商業貿易發展，帶來經濟全球化持續深入。經貿的發展就使得發展中國家從中受益，而美國等發達國家出現就業問題和日趨明顯的貧富差距。隨着中國等發展中國家經濟實力不斷提升，美國愈發感到自己不再處於貿易的獲利端。于是美國逐漸傾向

于北北合作，在給予發展中國家便利的方面止步不前，更多強調美國本國人民的利益。到2010年左右，美國主流媒體重點關注了貿易自由和保護主義問題以及政府採取的政策和態度。

(3) 其他影響因素

科技與經濟的發展，使得人們生活水平得到了不斷提高，交通的便利促進人口不斷流動，隨之在帶來了文化交流的全球化的同時，也帶來了健康疾病的全球化。一系列世界氣候環境等問題也成為了人類共同面臨的挑戰。美國作為國際大國，很多國際組織的總部都設在美國，因此國際組織對於全球化所採取的行動也多由美國媒體進行了報道。人們廣泛地討論影響全球的問題，也積極探討全球化在不同領域的影響。

五、結語

綜上所述，本文以來自《紐約時報》和《華盛頓郵報》的媒體新聞報道為文本，借助批評話語分析的方法，從微觀、中觀、宏觀三個層面進行分析：美國主流媒體在全球化建構所採取話語策略以及影響美國媒體“全球化”話語建構的社會、政治、文化的因素。總體來看，美國媒體報道內容全面廣泛，但以經濟和貿易全球化為主，話語發出者主要為各國國家領導人、政策制定者、國際組織代表以及相關領域的專家學者。媒體報道所包含的話語情態，隨着時代的變化而不斷變化，大致呈客觀-積極-積極消極參半存疑-消極的發展態度。在不同歷史時期，美國執政總統對全

全球化的態度不同，影響着美國媒體對全球化的態度。此外我們可以看出，美國媒體對全球化的報道受政治因素影響很大，並且主要是經濟政策的影響。美國希望全球化能惠及美國本國人民的利益，而不是通過貿易全球化帶來本國就業機會的大量損失。該項研究解釋了美國主流媒體話語策略傾向及影響因素，為今後美國對外政策的發展態度和方向提供了借鑒意義。

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Discourse Construction of Globalization in the U.S. Mainstream Newspaper Media

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[Abstract] *With the continuous and in-depth development of globalization in various countries and regions, countries large or small have been affected by globalization to a greater or lesser extent. "Economic globalization", "Trade globalization", "Global health" and other related topics have thus been widely discussed around the world. The United States, as a super power, has been playing a pivotal role in the continuous development of globalization. In order to reveal the main views of the United States on globalization and the future trend of international development. This paper attempts to conduct a corpus-assisted critical discourse analysis, based on the corpus of the relevant new reportson globalization from 1995 to 2019 in American mainstream newspapers. This research, from the perspective of diachronic dimension and from three levels of textual level, discourse practice and social practice, analyzes the collocation words of globalization, explores the social attitudes and ideologies hidden in the text, understands the relationship between discourse producers*

and discourse strategies in news reports, and finally summarizes the factors that affect the discourse strategies of American media. The primary meaning of this paper is to enrich the study on media image of globalization and shed light on win-win cooperation among the world.

[Keywords] *Globalization; American newspaper media; Discursive construction; corpus*

禮貌理論視闕下當代中國女大學生 日常告別語研究

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摘 要：告別語是人們在分別時使用的一種日常禮貌用語。本研究以當代女大學生自然發生的日常告別語為語料，基于Brown&Levinson提出的經典禮貌理論分析探討當代女大學生與不同身份的會話參與者在道別時所使用的告別語語用策略特徵，系統總結了參與者的不同身份對女大學生禮貌策略選擇的影響。研究發現，當代女大學生在告別時多主動使用禮貌告別用語，且因對話中參與者的不同身份而選擇使用不同的禮貌策略：與參與者身份地位差距較小時，若彼此關係較為密切多依據語境選擇禮貌策略；若為陌生關係則多選擇使用消極禮貌策略。與會話參與者身份地位相差較大時，女大學生告別語禮貌策略的選擇則更傾向於積極禮貌策略。本研究通過分析當代女大學生的告別話語特徵和策略，旨在為變異語用學的研究提供有益參考。

關鍵詞：面子理論；禮貌原則；女性告別語

一、引言

告別語是語言體系中不可缺少的一部分（胡曉宇，2011），指在交談結束時，作為主、客雙方所說的一種歡送道別和告辭答謝的禮節用語。學界對於告別語的研究多將其看作一種言語行為或者一種禮貌用語所具有的語言特徵，且多為中外對比研究，缺乏某一特定群體的告別語研究。青年話語生產作為中國特色社會主義青年話語體系建設的重要內容，其本質要求和價值旨歸是“青年掌握話語”，青年利用自身話語權力表達主體意志和利益訴求（李雲峰 譚培文，2020）；作為青年群體的中堅力量，高校大學生

的話語狀況研究故而十分必要。因此，本研究以當代女大學生自然發生的日常告別語為語料，探究其會話策略方面的禮貌特徵，旨在從Brown&Levinson提出的禮貌理論角度揭示當代女大學生話語禮貌策略的獨特性。

二、告別語相關研究綜述及分析框架

1. 告別語的定義及功能

從告別語的會話功能溯源可知，Goffman(1971)首先從公共關係角度界定告別行為，將告別視作一種標誌着向減少訪問的狀態過渡的儀式行為。Firth(1972)從言外之意的角度將告別語定義為傳遞非公開信息的一類

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符號系統。Schegloff & Sacks (1973) 將告別語視作與對話機制相關的一種相鄰語對。Laver (1981) 則認為告別是一種例行的禮貌行為。

基于上述學者的界定，現階段告別語被視作人們在日常生活中隨處可見的一種對話儀式，是用來建立和維持社會人際關係的一種溝通工具（劉翠瑩，2019）。一般來說，告別語是告辭的人首先招呼對方，請求允許離開的慣用語，以示禮貌。常用告別語有諸如“再見”“拜拜”“回頭見”等；但在大多數的告別情景下，告別本身並沒有直接涉及以上此類的告別語，但雙方在告別時發生了一系列的對話，這也可以被認定為雙方進行了一個告別言語行為。因此本研究將告別語界定為分別時所使用的具有告別作用的話語，範圍既包括告別語本身，也涵蓋先于或伴隨告別行為發生的對話，統稱為告別語。

告別語是日常社交活動中不可忽視的一種交際言語行為。Austin (1960) 提出，一個人說話時在大多數情況下同時實施了三種行為，分別是言內行為 (locution)、言外行為 (illocution)、以及言後行為 (perlocution)，因此告別語在不同的語境下具有不同的功能。首先是告別功能，這是告別語作為一種言語行為本身的效果，從這個角度看告別語的目的就是結束一段對話並與聽者告別。告別語還可以鞏固交談雙方的社會關係，即交際功能（唐燕玲 蔣向勇，2005）。告別語作為一種日常人際交際言語需要與禮

貌相伴相隨，進而履行其作為一種社會行為的功能，即參與者在告別時同時完成了告別語的言外行為和言後行為。本研究對告別語的研究側重於其交際功能。

2. 告別語相關研究綜述

國內外關於告別語的研究成果頗豐。研究多將告別語視作研究目標的一部分，且多與問候語等禮貌用語相并列，一般與跨文化交際、語言的日常使用等相關聯。

國外學者主要探討告別語的表現形式和語用功能，集中在話語分析和社會語用學層面，多採用定性和定量相結合的研究方法。如：Knapp 等 (1972) 分析了涉及到決定和評估人際交往終止時的特殊言語和非言語行為的告別語的修辭，從實證的角度對告別行為進行了分析，對告別語的話語特徵做出了貢獻。Clark & French (1981) 研究了與電話道別有關的私人行為和使用道別的頻率，並揭示告別語在電話溝通中的實際意義。Haddington (2018) 基于視頻語料，採用會話分析的方法，研究在英國和芬蘭的自然駕駛情況下司機和乘客如何互動及暫時道別，並提出將告別作為一種多活動管理方式有助於交通安全建設的觀點。Knapp 等 (1972) 從語用功能方面得出告別語的使用會根據情境和關係的限制而不同的結論。

而國內對告別語的研究主要集中於以下方面：一、通過跨文化對比分析探討告別語的使用差異，如：畢繼萬 (1997) 從中西方文化方面對中英

告別語引起的誤解進行了對比分析和評價，并就中英告別語差異得出了“中國人注重的是卑己尊人和相互關切；英文化的人強調的是獨立自主和平等互尊。”的結論。徐萍飛（2001）從Leech提出的禮貌原則（Politeness Principle）的民族性出發，將告別語作為禮貌用語的一部分，對比了中日禮貌表達話語。唐燕玲、蔣向勇（2005）將問候語與告別語列為一組，從社會語用的角度分析其語用功能，並通過中英告別語對比解釋了社會用語的民族性。胡曉宇（2011）則首先從國內外對英漢告別語的理解誤區切入，對告別語進行英漢比較分析，進而說明英漢告別語在跨文化交際中的重要意義。

二、從話語分析和社會語用學視角分析單一語種（漢語）中的告別語使用情況，且多為口語化告別語分析，如：曲衛國、陳流芳（2005）就告別語口語化的“拜拜”一詞，分別從使用群體、使用場合及流行原因展開分析探討，並提出口語化的告別語相關詞語的引進有特別重要的語體學和社會語言學意義。周筱娟（2013）則從認知域、認知原型及實際應用的差異性出發，提出以“道別語”稱說“再見、拜拜”類日常禮貌語為宜，並呼學界對“道別語”和“告別語”進行區分幹預。

綜上，以上研究在研究對象的選擇上較為寬泛，研究內容涉及告別語的日常使用、禮貌表達、跨文化差異等，鮮有研究涉及不同身份交際雙方告別語禮貌使用的策略。

3. 分析框架

本研究以Brown & Levinson（1978/1987）提出的經典禮貌理論為分析框架，主要從積極面子（positive face）和消極面子（negative face）層面進行探討。積極面子指渴望得到他人的認可、需要被他人接受和喜歡、被視為社會群體的一員、知道自己的需求被他人所分享等。與此相對應的積極禮貌（positive politeness）是指說話者要保持與聽者的團結一致性。而消極面子指聽者希望能夠獨立、有行動的自由、不被別人強加給意願，即個人想要得到不受阻礙的行動自由和注意力，而消極禮貌（negative politeness）尊重了聽者的消極面子，即說話者會避免冒犯他人的自由。

面子的維持需要說話者與聽者的相互合作，但在對話中完全不威脅到雙方的面子是幾乎不可能的，因此會出現不同程度的“面子威脅行為”（face-threatening acts, FTAs）。

通過分析告別語自然語料發現：在緊急突發性語境下，說話者通常不考慮參與者的面子問題，在對話中多使用明目張膽地威脅面子策略（without redressive action, baldly）；在威脅面子行為發生時，說話者會使用具有禮貌補償行為的積極禮貌策略（positive politeness strategy with redressive action）表達伙伴關係，尊重聽者積極面子；或採用具有禮貌補償行為的消極禮貌策略（negative politeness strategy with redressive action）尊重聽者消極面子，給予聽者選擇餘地；在面

子威脅程度較高的語境下，說話者會選擇采取非公開禮貌策略（off-record strategy）避免明確表達自己的想法；在面子重要程度過高的語境下，說話者通常會采用轉移話題等方式避免面子威脅行為的發生。

三、研究設計

1. 研究問題

(1) 當代女大學生與不同身份的會話參與者所使用的告別語語用策略特徵是什麼？

(2) 當代女大學生與不同身份的會話參與者所使用的告別語語用禮貌策略有何不同？

2. 數據來源

本研究基于國內多所大學2017–2020級當代女大學生與不同身份的會話參與者之間自然發生的日常對話中所使用的告別語，采用日常觀察記錄、語篇補全測試（DCT）和角色扮演等問卷調查方法收集了208條自然發生語料。考慮到收集語料主體的全面性，當代女大學生與校內各身份群體（同學、老師、陌生人等）的對話皆有收錄。

四、研究結果與分析

本研究對收集的語料按照Brown & Levinson (1978/1987) 提出的禮貌策略由高到低的風險呈現順序依次分析各組對話中所使用告別語的面子威脅程度，並做出如下歸納總結。

1. 明目張膽地威脅面子策略 (without redressive action, baldly)

明目張膽地威脅面子策略，即在對話時不考慮參與者的面子問題。這

種禮貌策略多使用于經過自我評判後認為自己和他人處在對面子威脅程度較小的、較為追求效率的語境，例如在一些緊急突發事件中會話參與者多使用明目張膽地威脅面子策略；在對話者雙方地位或權利相差較大且不考慮面子的情景下也多有使用。

例1：A、B為室友，兩人關係很好且多數情況下都是一起去上課。某天早上兩人醒來後發現上課馬上要遲到：

A：“你動作快一點啊，馬上要遲到了！哎呀你屬烏龜的吧，慢死了！我可不想陪你一起扣出勤分。不等你了，我先走了！”

在此語境下上課即將遲到是緊急事件，A在話語中既沒有顧及與B的室友關係，也沒有考慮B的面子問題，而是直接指責對方動作緩慢，且自己一個人先離開。

在該語境下收集到的208條自然發生語料中，有153條（74%）語料采用明目張膽地威脅面子策略，有40條（19%）語料采用積極禮貌策略，有9條（4%）語料采用其他方式，有6條（3%）語料采用非公開禮貌策略（表1）。

2. 具有禮貌補償行為的積極禮貌策略 (positive politeness strategy with redressive action)

積極禮貌策略指在對話中尊重聽者的積極面子，即在對話中雙方尋求一致、避免不和、假設有共同點、表達伙伴關係、提高說話人興趣、注意聽話人的需求和誇張自己對聽話人的

表 1 當代女大學生告別語禮貌使用策略類別及分布

禮貌策略	語言實現形式	頻數	百分比	合計
明目張膽地威脅面子策略	你快點…/慢死了… 我不等你了/我先走了。	23	74%	100%
積極禮貌策略	咱們得快點了…/ 我們走吧…	7	19%	
其他方式	等室友一塊走。	9	4%	
非公開禮貌策略	我還有別的事情…/ 我先去商店買東西…	6	3%	
總計	208			

興趣、贊同、同情等。

例2：同學A就某問題在課間休息時間向老師B求解，B答疑結束後：

A：“老師您講解的非常清楚，我完全理解了！非常抱歉占用老師休息時間了，謝謝老師，老師下節課再見呀！”

在該語境下，A首先表明B的講解消除了自己的疑惑，表達對占用B休息時間的歉意（注意到了聽話人的需求），同時向B道謝、道別（語氣輕鬆，意圖表明彼此的伙伴關係）。

在此語境下收集的208條（100%）自然發生語料全部采用積極禮貌策略。

3. 具有禮貌補償行為的消極禮貌策略（negative politeness strategy with redressive action）

消極禮貌策略是尊重聽者的消極面子，即說話者給予聽者選擇的餘地，不强加自己的意願給他人。消極禮貌策略的特徵有：謙讓、避免出風頭、自制而不誇誇其談；說話迂回、模稜兩可、尊重對方、避免突出個人；表示悲觀、道歉，減少對對方的强加等。

例3：在超市排隊等待結賬時，同學A突然覺得身體有些不舒服，但此時還有一位同學B排在其前面：

A：“同學，非常不好意思打擾了，我現在突然感覺有點不舒服，方便讓我排在你前面先結賬嗎？”

在該語境下同學A尊重了同學B的消極面子，給予B兩種選擇：

① B：“可以的，我們換一下吧。”

A：“謝謝同學！”

此時同學A能够先于同學B付款離開。

② B：“不好意思啊同學，我也趕時間。”

A：“沒關係，很抱歉打擾你了。”

此時同學B可以按照原有排隊順序先行結賬離開。

該組對話是先于告別行為發生的，即同學A與同學B在對話結束後先後付款告別離去。基于本研究對告別語的定義，認定例3既是請求，也是一種告別言語行為。對話中A采用消極禮貌策略，既尊重了B的消極面

表 2 當代女大學生告別語禮貌使用策略類別及分布

禮貌策略/ 其他方式	語言實現形式	頻數	百分比	合計
消極禮貌策略	同學你好/不好意思打擾一下/對不起，我現在身體有些不舒服，可以/請問你方便/能不能讓我先結賬？	163	78%	100%
其他方式	繼續排隊/放棄購買。	45	22%	

子，也給予了B選擇的餘地：答應A的請求讓A先結賬，或者拒絕A的請求按照現有順序付款。

在208條語料中，有163條（78%）語料采用消極禮貌策略，有45條（22%）語料選擇采用其他方式（表2）。

4. 非公開禮貌策略（off-record strategy）

非公開禮貌策略多發生于說話者意識到其話語的面子威脅程度非常高，或不適于在此語境下使用的情况，一般呈現出誇張、暗示、暗喻、模糊、反語、低調陳述、修辭設問、同義反復等特徵。此外，因多數情況下說話者在使用非公開禮貌策略時不會明確表達自己的真實想法，所以在遭到質疑時也可以否認其意圖。

例4：A與B同在寢室，A在寫論文。此時B要去取快遞：

B：“新買的衛衣終於到了，我出門啦，去取快遞！”

A：“我也有三個快遞，在菜鳥驛站都放兩天了。唉，還不是因為寫論文沒時間……”

該組對話發生于B即將離開宿捨，此時二人對話實為伴隨告別行為發生，基于定義認定該組對話為告別

語。該語境下A其實希望B可以幫忙代取快遞，但因快遞數量或其他原因沒有明說，采用暗示方法。

因此這組對話可能有以下幾種結果：

①B：“那我幫你一起取回來吧，取件碼發給我。”

A：“那就太感謝你了，辛苦你了！”

②B：“那咱倆一起去取快遞吧，正好你還可以活動一下。”

這時A可以答應一同前去，或以寫論文為由表明自己改天去取。

③B：“你是想讓我幫你一起把快遞取回來嗎？”

此時A可以選擇否認其真實意圖，表明自己祇是隨口一提。

在208條自然發生語料中，有85條（41%）語料采用非公開策略，有53條（25%）語料采用消極禮貌策略，有27條（13%）語料采用明目張膽地威脅面子策略，有27條（13%）語料采用其他方式，有16條（8%）語料采用積極禮貌策略（表3）。

5. 不威脅面子行為策略（Don't do the FTA strategy）

不威脅面子行為策略多發生在面

表 3 當代女大學生告別語禮貌使用策略類別及分布

禮貌策略/ 其他方式	語言實現形式	頻數	百分比	合計
非公開策略	你的快遞多嗎/你有幾個快遞/我這幾天都忙死了，都沒有時間去取快遞。	85	41%	100%
消極禮貌策略	你方便/可不可以/能不能幫我取一下快遞，如果拿不了這麼多的話就不麻煩你了。	53	25%	
明目張膽地威脅面子策略	幫我取一下快遞，取件碼發給你了。/ 我有幾個快遞，你幫我取一下。	27	13%	
其他方式	自己跟着去取快遞/改天再去。	27	13%	
積極禮貌策略	我的中國好室友/美女/寶貝/好姐妹 你順路幫我把快遞也取回來唄，我請你吃飯/喝奶茶，謝謝你！	16	8%	

子過于重要的語境，說話者判斷過後認為其話語對於參與者的面子威脅程度過高，因此采用轉移話題等方式來避免威脅面子行為發生。

綜上，本研究通過分析當代女大學生自然發生的日常告別言語行為的語料發現，當代女大學生在禮貌理論視闕下選擇使用的禮貌策略與會話參與者的身份關聯度很高，禮貌策略的使用取決于女大學生與參與者的身份地位差距及關係密切程度：當會話參與者為室友、同學等身份地位相同或相似，且彼此之間的關係較為密切時，當代女大學生選擇使用的會話禮貌策略較為多元化，其策略的選擇與語境聯系密切且更大程度上取決于關係密切程度；當會話參與者為老師、學校領導等與學生的身份地位差距較大時，當代女大學生在選擇告別語禮貌策略時更傾向于積極禮貌策略；當會話參與者為身份地位差距較小的陌

生人，當代女大學生在告別時多采取消極禮貌策略。

五、結語

本研究在明晰告別語定義的基礎上，基于Brown & Levinson (1978/1987) 提出的經典禮貌理論，以當代女大學生與不同身份的會話參與者的日常告別語為語料分析探討其語用策略特徵。研究發現，會話參與者的不同身份及其與當代女大學生關係的密切程度影響着當代女大學生在道別時禮貌策略的選擇。此外，本研究以中國當代女大學生的日常告別語為研究對象，拓寬了Brown & Levinson的經典禮貌理論在話語分析中的適用範圍，為後續國內特定群體的日常話語研究提供了新的視角。

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Research on Daily Partings of Contemporary Chinese Female College Students from the Perspective of Politeness Theory

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[Abstract] Parting is a kind of daily polite expression used by people when they say goodbye to each other. Based on the naturally occurring corpus of daily partings of the contemporary female college students, and from the perspective of the classical Politeness Theory proposed by Brown and Levinson, this study aims at analyzing the different pragmatic strategies of the parting words between contemporary female college students and others of different social status, and thus summarizing the influence of the different status of interlocutors on female college students' politeness strategy choice. It is found that contemporary female college students choose to take the initiative to use polite parting words when saying goodbye, and use different politeness strategies according to the different identities of participants in the dialogue. When there is a small gap in the status between the participants, and when they are close to each other, the female contemporary college students choose politeness strategies according to the contexts. If unfamiliar, they choose to use negative politeness strategy. When there is a big difference in the status of conversation participants, female college students tend to choose positive politeness strategy. In addition, the purpose of this paper is to reveal the characteristics of different politeness strategies used by contemporary female college students with other groups in valedictory dialogues, which attempt to provide useful references for the further study of variant pragmatics.

[Keywords] face; Brown & Levinson's politeness model; partings

儀式順應模式下美國政治演講承諾 言語行為研究

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摘 要：政治演講作為一種儀式活動，儀式參與者即政治家通常會使用儀式化承諾言語行為為就公眾所關注的問題對未來行動或狀態作出承諾。本研究融合Verschueren的語言順應論和Kadar的儀式理論，提出新的“儀式順應”模式，并基于該模式從語言表徵和語用策略兩個方面探討美國政治演講中的承諾言語行為，對其產生的語用功能進行了闡析，以期揭示美國政治話語特徵，為政治語言學研究提供新視角。

關鍵詞：承諾言語行為；美國政治演講；儀式順應模式

一、引言

承諾作為一種承諾類言語行為 (Searle, 1979: 14),是說話者表明自己有責任在不同程度上對其未來行為做出承諾并且對聽話者有利的行為；Searle指出承諾類言語行為的根本目的是說話人在不同程度上對將要實施某個行為或承擔某種義務。

學界對於承諾言語行為的研究大致可歸為兩個方向，一是對承諾言語行為某一微觀特徵進行詳細闡述，如對承諾動詞、構成性規則的研究 (Boguslawski,1983; Hickey,1986; 向娟,2007); 二是對不同類型語篇中的承諾言語行為特點和策略進行研究，如政治語篇(Ilić,2015; 杜栩涵 劉風光, 2020)、廣告語篇(Syafitri, 2019)、商務語篇 (Bilbow, 2002)、新聞語篇 (Rus-tam et al., 2019)等。國內學者對於政治

承諾的研究較少且主要從微觀視角進行分析，而國外對於政治承諾的研究主要集中于對政治家使用的承諾類言語行為類型進行宏觀分析，或將承諾言語行為與其他言語行為進行對比，鮮有學者從承諾言語行為的語言表徵、語用策略和語用功能這一由微觀到宏觀的視角對政治演講中的承諾言語行為進行詳實探究。

鑒于此，本文融合Verschueren (1999) 的順應論和Kadar (2013) 的儀式理論，提出新的“儀式順應”模式，探討美國政治演講語篇中承諾言語行為的儀式順應化語言表徵、語用策略及其功能。

二、政治承諾言語行為

Searle將承諾看做一種承諾類言語行為，是說話人在不同程度上對未來行為作出承諾并對聽話者有利

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的動作。承諾可以由說話者一人發出也可以由說話者所在地的團體發出，Yule (1996) 認為承諾是通過說話者使世界匹配語言的一種言語行為；Mey (2001) 指出，承諾類言語行為和指令性言語行為一樣，都是通過創造一種責任義務來改變世界。

作為政治交際的載體之一，政治語篇的語言體現了一個國家的政治態度和意識形態，對政治活動具有潛在和現實的影響（孫玉華 彭文釗 劉宏，2015）。政治演講是政治語篇中最為凸顯的一種體裁（Wodak, 2011），在政治演講這種儀式化語境中，政治家具有權利和義務，通常會使用儀式化承諾言語行為就公眾所關注的問題對未來行動或狀態做出承諾。

綜上，本研究將政治承諾言語行為界定為政治家本人或政治家代表的所屬機構針對未來某事件或某一行為向集體或個人做出的符合對方利益的承諾類言語，承諾方有義務且真心實意想做這一動作，被承諾方相信並願意接受這一動作。

三、理論框架

Jef Verschueren 于1999年提出語言順應論：語言使用者在言語交際中不停地做出選擇以達到交際目的和意圖，語言使用是動態地根據不同程度的意識突顯性而從語境和語言結構方面做出的某種順應。順應包括語境關係順應、結構順應、動態順應和意識突顯四個部分，其中語境關係包括交際語境和語言語境，交際語境由心理、社交和物理世界組成，交際者在

交際中對於語言的選擇與使用要不斷順應這三個世界。

Goffman (1967) 在社會學領域中提出“儀式 (ritual)”概念，Kádár (2017) 在語用學領域中擴展了Goffman的思想，指出儀式是一種形式化的、反復出現的行為，在儀式中，儀式參與者具有權利與義務，並根據自己的身份和所處語境選擇其語言表達方式。

本研究在融合Verschueren的順應論和Kadar的儀式理論基礎上，試圖提出新的模式：“儀式順應”。本研究將“儀式順應”模式界定為政治家在參與政治活動時因順應政治儀式語境而選擇適切的語言表達方式，“儀式順應”包括結構順應和語境順應，其中結構順應包含詞匯、句法和語義層面；語境順應包括對物理世界、心理世界和社交世界的順應，體現在語用策略的選擇與使用上。具體如圖1所示：

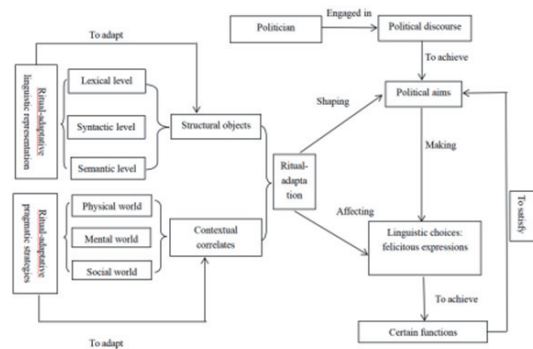


圖1 本研究構建的儀式順應模式

四、研究設計

1. 研究問題

1) 美國政治演講中承諾言語行為儀式順應的語言表徵有哪些特點？

2) 美國政治演講中承諾言語行為

爲運用了哪些儀式順應的語用策略？

3) 儀式順應模式下美國政治演講中的承諾言語行爲實現了哪些功能？

2. 數據來源及分析步驟

本研究主要抽取2020年1月至3月總統及副總統發表的政治演講轉寫文本爲語料，語料內容涵蓋經濟、政治、教育、醫療、國防等方面，筆者基于以上語料自建小型語料庫，容量約爲6萬詞。首先，依據承諾言語行爲的言外之力指示手段的分類標準，借助AntConc工具對言外之力指示手段進行查找與提取；而後根據上下文語境，通過閱讀檢索人工剔除不含有承諾語力的實例；最後，對提取出來符合標準的承諾言語行爲進行語用層面的分析。

五、結果與討論

1. 美國政治演講中承諾言語行爲儀式順應的語言表徵：言外之力指示手段

基于“儀式順應”模式，語言選擇可以發生在語言的詞匯、句法和語義層面，本文主要聚焦于詞匯這一層面上，即從言外之力指示手段這一角

度進行探討美國政治演講語言儀式表徵規律。

Searle (1969) 提出“言外之力指示手段”這一術語來識別言語行爲，其中施爲動詞是重要的言外之力指示手段之一。政治演講語篇由于其受衆的復雜性、語境的特殊性和高度公開化等特點，其中承諾言語行爲的言外之力指示手段都比較明確。

Blum-Kulka 和 Olshtain (1984) 曾將請求類言語行爲策略宏觀分爲直接、規約間接和非規約間接請求策略，本研究基于以上學者的分類對美國總統和副總統政治演講語篇進行分析和歸納，發現語料中的承諾類言語行爲也符合上述請求言語行爲策略的分類。鑒于此，本文構建了美國政治演講中承諾類言語行爲言外之力指示手段分類模式，并對所提取的各種言外之力指示手段進行了頻率統計，結果如表1所示。

由表1可知，美國政治演講語篇中共出現616例具有言外之力指示手段的承諾言語行爲。總體而言，間接承諾類的言外之力指示手段所占比例

表1. 政治演講承諾言外之力指示手段類別及分布

類別		言外之力指示手段	頻數	百分比	頻數合計	百分比合計
直接承諾類		施為動詞				
		assure/ ensure/promise/guarantee/	30		30	4.87%
間接承諾類	規約承諾類	將來時			581	94.32%
		Will do/be going to do/ be doing/won't do/would do/be to do	557	90.62%		
		可能性/義務性				
		Can/could/must/have to	9	2.20%		
		含有承諾意義的詞組				
		Make sure/project to do/committed/be determined to	15	1.82%		
	非規約承諾類	Believe in/convinced/Be confident./ have confidence.../Our goal is to...	5	0.77%	5	0.81%
总计		616				

高于直接承諾類；其中規約間接承諾類言外之力指示手段最為常用，出現頻次為581，占比94.32%；直接承諾類指示手段次之，共出現30次，占比4.87%；非規約間接承諾類指示手段出現頻次最小，共5次，僅占0.81%。

在政治演講這種儀式化語境下，出現以上這種差異不是偶然，政治家也不是隨意選擇直接或間接承諾類的言外之力指示手段，而是對政治演講中詞匯結構儀式順應的結果。規約間接承諾指說話人通過規約指示手段或一些語境前提使聽話人明確推斷出其承諾語意，願意說話人實施他承諾將要做的事（何兆熊，2000：101），此類在政治演講語篇中所占比例最大，言外之力指示手段的形式也比較豐富。通過分析發現，美國政治家演講時多使用將來時態和表達可能性、義務性的情態動詞、含有承諾意義的詞組等規約間接的言外之力指示手段來實現承諾，這種簡潔、通俗易懂的儀式化表達方式順應了政治演講中聽眾的認知和期待，將承諾含義委婉地表達了出來。與此相反，直接承諾的言外之力指示手段較單一，主要由施為動詞構成，由于這類詞語力較強，故政治家在演講中往往避免使用。而非規約性間接承諾的言外之力指示手段最委婉且規約程度低，因此說話人的承諾意圖并未顯性體現在話語表達中，往往需通過轉義、暗示等手段實現，因此需要聽話人基于已知其他信息推斷獲取。

（杜栩涵 劉風光，2020）但是在政治演講這種儀式化語境中，聽眾沒有太

多時間去推理演講者所要表達的意圖，所以政治家幾乎不使用非規約間接的言外之力指示手段來承諾。

2. 美國政治演講中承諾言語行為儀式順應的語用策略

Verschueren (1999) 指出，語言使用總是策略的，有所選擇地使用語言形式就意味着有策略地使用語言（劉金森，2003）。Li (2010) 提出了從視角、直接程度和禮貌三個維度進行分析的建議言語行為策略模式。（劉風光等，2019）筆者認為，此模式也適用於分析承諾言語行為，但承諾本質是對聽話人有利的，故禮貌這一維度不適用於承諾言語行為的分析。鑒于此，本研究擬從視角和直接程度兩個維度來分析美國政治演講語篇中承諾言語行為的實施策略。視角指承諾的實現方，即未來行動的實施方，直接程度包括直接、規約間接和非規約間接承諾三種策略。具體策略的分布情況如表2所示：

由表2可知，從視角維度來看，美國政治演講中承諾實現方為說話人的占比最多，為47.56%；其次是實現方為其他人這一視角，占比為42.67%；以實現方為聽話者的視角占比最少，僅為9.78%。從直接程度維度來看，政治家在政治演講中主要采用規約性間接承諾策略來作出承諾，其次是直接承諾策略，使用非規約性間接承諾策略的頻率最低。

在“儀式順應”模式下，政治家在演講時會順應儀式心理、儀式物理和儀式社交世界，從而選擇儀式化

表2 政治演講中承諾言語行為實施策略及其分布

宏觀	微觀	頻次	百分比
視角	說話人	214	47.56%
	听话人	44	9.78%
	其他人	192	42.67%
总计	450		
直接程度	直接	30	4.87%
	規約性間接	581	94.32%
	非規約性間接	5	0.81%
总计	616		

的語用策略來作出承諾。如演講者爲了達到政治交際目的，會順應演講的時間、場合，順應交際者的地位、權利、關係，順應交際雙方的信仰、意圖、欲望等選擇相應的語用策略來承諾。從視角層面來看，不同施爲主體的承諾效果也不同，承諾實施方爲說話者及其所代表的政府時，人稱指示語多使用“I”“we”第一人稱，此時說話者所承擔的責任較大，有助於樹立負責任國家的形象，順應了政治家地位和具有的權利，因此美國政治演講中以說話者爲承諾實施方出現的頻率最高。當行動方爲其他人時，主語多爲各個機構及其相關負責人等第三人稱，此時演講者本人所承擔的責任較小，即使承諾最後沒有兌現也不必承擔相應責任，同時還能凸顯第三方的職能，體現出不同機構能够各司其職，故以行動方爲其他人這一視角作出承諾也是政治家經常使用的一種語用策略。當行動方爲聽話者時，主語多是第二人稱，既可以指在場的聽衆及媒體，也可以指不在場的民衆，使演講具有動感和互動性，但政治演講主要目的是向聽衆傳達政治立場、宣布方針政策等，民衆的參與度有限，所以美國政治演講中以聽話者爲承諾

實施方這一策略使用頻率最低。此外，從承諾的直接程度來看，不同程度的承諾策略所達到的承諾效果也不同，承諾策略越直接，語力越強，實現的可能性越大，責任承擔的越多；承諾策略越間接，語力越弱，委婉程度更高，實現的可能性越小，責任承擔的也越少。因此政治家在政治演講中，爲了避免承擔過多責任和作出不切實際的承諾，最常使用委婉的規約間接承諾向他人作出保證。

3. 儀式順應模式下美國政治演講中承諾言語行為的功能

政治演講是向聽衆傳遞國內外政治方針政策和信息的重要途徑之一。在“儀式順應”模式下，政治家演講時會順應儀式化語境而選擇相應的語言表徵和語用策略，從而實現塑造良好形象、創造美好願景、深孚衆望、凝聚民心等功能。

(1) 塑造良好形象

政治演講的一個目的就是通過語言來樹立良好的政府形象，政治家經常通過承諾言語行為來暗示自己及其政府能力之強和恪盡職守的態度，從而贏得民衆好感，塑造負責任政府的良好形象。如：

We will continue to work closely with

state and local authorities to hold any to account who are responsible for this heinous crime. (Pence)

彭斯副總統在南卡羅萊納軍事學院所發表講話時向聽眾作出承諾，保證美國政府將繼續與州和地方當局密切合作，追究罪犯。保護國民安全是國家最基本的職責之一，彭斯向民衆承諾政府將追究罪行，凸顯了政府的責任感。

(2) 創造美好願景

政治演講的主要目的是贏得民衆的支持，因此政治家在演講中會通過承諾言語行為來描繪美好未來，以吸引聽眾注意，增強群眾信心，拉進與群眾之間的關係。如：

And we're building a future where all of our citizens can achieve their own beautiful American Dream. (Trump)

在這句話中，特朗普向群眾描繪了光明美好未來，承諾美國將會建設一個所有公民都能實現自己美國夢的未來。“美國夢”是激勵世世代代美國人不懈奮鬥的源泉，是全體美國公民共同的夢想，特朗普通過這一共同文化背景，拉進與民衆之間的距離，給予聽眾極大信心，創造美國未來經濟美好願景，贏得了民衆信任與支持，從而實現其政治目標。

(3) 深孚衆望

政治家在演講中除了宣布方針政策、傳達政治立場等，還會尋求對某些現存問題的解決方案，因此通常會通過承諾來表明解決問題的決心，增加了演講的可信度，使民衆信服，增

強了民衆對演講者及其所屬機構的好感。

In a few moments, I will sign legislation authorizing \$375 million for federal grants to help houses of worship and other faith-based and non-profit organizations defend against violence. (Trump)

特朗普向民衆承諾稍後他將簽署一項法案，授權提供聯邦撥款，幫助禮拜場所和其他宗教信仰的非營利組織來抵禦暴力。這表明特朗普會對暴力問題采取相應措施，符合民衆的利益，政治家作出這些承諾，更能取信于民，樹立權威，深孚衆望。

(4) 凝聚民心

承諾言語行為是對未來的行為或發展狀態作出保證、允諾等，在特殊時期能够起到鼓舞士氣、凝聚民心的作用。如：

With the courage of our doctors and nurses, with the skill of our scientists and innovators, with the determination of the American people, and with the grace of God, we will win this war and we will win this war quickly with as little death as possible. (Trump)

特朗普發表演講時正值新冠病毒肆虐時期，在這一特殊緊急情況下，他向民衆作出承諾：我們將贏得這場戰爭。在疫情期間，民衆難免會有恐慌、失落情緒，國家領導人藉由“上帝”，從精神上向民衆承諾將打贏這場戰爭，有助於緩解恐慌、鼓舞士氣、凝聚民心，從而調動抗疫的積極性。

總之，政治家在演講中的語言選擇受到“儀式順應”模式的影響，不斷順應儀式語境選擇適切語言傳達政治立場態度，從而實現特定功能。

六、結語

本研究將語言順應論和儀式理論相結合，在此基礎上提出新的“儀式順應”模式；基于該理論框架，從語言表徵和語用策略兩個方面探討美國政治演講中的承諾言語行為，並對其產生的語用功能進行了闡釋。研究發現，在語言表徵方面，美國領導人在政治演講中多使用規約性承言外之力指示手段委婉實施承諾；在語用策略方面，以說話者為承諾實施方出現的頻率最高，並且多使用間接策略來進行承諾，有助於實現塑造良好形象、創造美好願景、深孚衆望和凝聚民心等功能。本研究擴大了儀式理論和順應論的應用範圍，並初步印證了將兩者結合分析語篇的可行性，揭示了美國政治話語特徵。但由于本研究的語料範圍較小，理論框架還不够成熟，後期研究可進一步豐富“儀式順應”模式，將其應用於其他類型的語篇分析。

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A Study of the Speech Act of Promising in American Political Speeches Based on Ritual-Adaptation Model

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[Abstract] *Political speeches is a kind of ritual activity, politicians often perform ritualized speech act of promising to make promises on issues of public concern for future action or state. When making promises, politicians adapt to ritual contexts, and then present ritualized linguistic representations and pragmatic strategies of promising. Combing Verschueren's adaptation theory and Kadar's ritual theory, the present study put forward a new Ritual-Adaptation model. Based on this model and taking political speeches by American leaders as data, this study explores linguistic representations and pragmatic strategies of promising in American political speeches, and their pragmatic functions are also analyzed. The present study aims to reveal American political linguistic features and provide some reference for political linguistics studies.*

[Keywords] *the speech act of promising; American political speeches; Ritual-Adaptation model*

會話含義視角下單口喜劇對美政府疫情應對的解構

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摘 要：單口喜劇因其緊迫生活言語幽默的特點廣泛流傳，廣受歡迎。本文基于語用學範疇下的會話含義理論，以單口喜劇節目“The Daily Show With Trevor Noah”為語料，以合作原則為切入點對該節目中點評疫情下美國政府的所作所為，分析單口喜劇中言語幽默的產生，以及單口喜劇對於疫情下美國民眾與社會的影響。

關鍵詞：會話含義理論；單口喜劇；新冠疫情；特殊會話含義

一、前言

單口喜劇(stand-up comedy)，也被譯為站立喜劇，是通常由一名表演者以即興的方式直接對觀眾表演的喜劇(Zoglin, 2010: EB/OL)。它是一種以某個固定的話題為內容，以幽默、逗人發笑為表演目的，是一種側重娛樂，放鬆心情的表演形式。國內通常將其與脫口秀(talk show)概念混淆。脫口秀不同于單口喜劇，是一種觀眾聚集在一起討論主持人提出的話題的廣播或電視節目。單口喜劇在西方的歷史悠久，起源于18世紀的英國集會，興起于19世紀的美國。它在結合喜劇演員自身言語風格的基礎上，通過一種談諧的方式，豐富的舞臺表現力和吸引力，對當今的社會時事等現實問題提出獨到的見解，在傳播娛樂的同時提供表達自己的觀點警醒人們關注社會問題，參與社會建設。單口喜劇如何

表達出彩，吸引受眾，主要源于言語幽默的特殊會話含義。本文將以會話含義理論中的合作原則為基礎，研究單口喜劇如何通過違反原則來傳達出特殊會話含義，起到幽默與諷刺的效果。

二、單口喜劇研究綜述

國內對單口喜劇的研究大致分為四個角度：修辭學、語用學禮貌原則、文化多樣性、以及大眾傳播學。

從修辭學角度觀之，單口喜劇往往會運用一些如仿擬、反語、雙關等的修辭手法，通過誇大事實或產生歧義從而構成幽默或者諷刺效果(Guan, 2016: 89-98)。從語用學禮貌原則角度分析，單口喜劇節目中的語言打破了禮貌原則中的得體準則、慷慨準則、贊譽準則、謙虛準則、一致準則和同情原則，從而產生了幽默諷刺的效果(Yang&Zhang, 2020: 58-61)。從文化

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多樣性角度來看，單口喜劇中的幽默語言被賦予了鮮明的民族性特徵與宗教色彩，強調個人主義、注重觀點的直接表達(Lv & Jin, 2010: 163–166)。從大眾傳播學角度分析有以下三種特點：1. 單口喜劇以時事熱點話題為主；2. 單口喜劇堅持所謂的“政治正確”與對大眾的娛樂；3. 用幽默包裝價值觀進行宣傳(Chen & Pan, 2014: 27–30)。

三、會話含義理論與合作原則中的特殊會話含義

1957年，語言哲學家保爾·格萊斯發表了《意義》一文，在該文中他提出了會話含義理論。“非自然意義理論”。他把意義分為兩類：“自然意義”(natural meaning)和“非自然意義”(non-natural meaning)。其重要理論意義是主張運用“非自然意義理論”去全面地、深入地分析言語交際中的話語意義或信息交流內容(Grice, 1957: 377–88)。1965年他于《邏輯與對話》一文中指出在人們交際過程中，會受到一些雙方都認可的因素影響，以求有效地配合從而完成交際任務。這種對話雙方有意無意地遵循着的原則被稱為合作原則。它包括四個準則：量的準則、質的準則、關係準則、方式準則。合作原則是會話含義理論的重要組成部分和要求，祇有對話時遵循了合作原則，傳達出正確的意思，即一般會話含義(generalized conversational implicature)，才能保證對話的順利進行。但如果違背原則則會產生言外之意，這種言外之意被稱為特殊會話含義(particularized conversational impli-

cature)。特殊會話含義與一般會話含義相對，是一種需要特定語境來附加表達意義的會話含義(Grice, 1975: 41–58)。它的產生是對格萊斯合作原則的違背。單口喜劇中主持人常常通過這種違反原則的方式來傳達出言外之意，以達到娛樂觀眾或諷刺談論對象的目的。

四、合作原則下的單口喜劇話語分析

《崔娃每日秀》(《The Daily Show With Trevor Noah》，以下簡稱為每日秀)，是由一位非裔美國喜劇人崔娃(Trevor)所主持的深夜單口喜劇節目，往往針對最近所發生的一些時事，提出自己的見解與評論，帶有鮮明的風格。在新冠疫情期間，針對美國政府的每項疫情應對措施，Trevor憑借其自身幽默風趣的語言，豐富的舞臺表現力，在緊張的疫情大環境下對美國政府的應對措施進行點評。下面將借助合作原則，以該節目中主持人點評美國政府疫情應對措施為例，闡述其幽默的產生原理及其特點，以及產生的特殊會話含義。本文將借助格賴斯的合作原則，以該節目中對美國政府對於新冠疫情的應對的點評為例進行分析，從而對單口喜劇中針對時事的言語幽默的產生及其特點作探討。

從會話含義理論角度來看，單口喜劇中言語幽默的產生，是由于喜劇人違反了正常交流所遵循的合作原則中的不同準則。正常的言語交際需要遵循會話合作原則，傳達出正確的會話含義即一般會話含義來保證對

話的順利進行。如果違反準則可能會產生與一般會話含義相反的特殊會話含義。而對原則有意的違反却會產生幽默與諷刺的效果。在單口喜劇節目中，主持人有意違反原則，所說出的誇張、荒謬、概念模糊、不符合實際的話語產生了特殊的會話含義，並賦予其幽默和諷刺的元素來表達對事件獨到的看法。下面我們通過具體的語料進行分析：

1. 對量的準則的打破

量的準則是指所說的話應該滿足交際所需的信息量，不要過多也不要過少(Grice, 1975: 41-58)。在該節目中，主持人Trevor通過將語言所包含的信息量進行變化，來達到幽默的效果。將原信息的信息量的大或縮小是其最常用的手法。請看下面這個例子：

例1. I'm gonna go out on la limb and say that Donald Trump is as freaked out by coronavirus as regular citizens, which is wild, because he's the president. And the reason I say that is because it turns out the cameras carried on rolling After Trump ended his speech...

Yeah, that's not the sound you want to hear from a president after a serious address. FDR didn't reassure the nation by saying "The only thing we have to fear is fear itself". OK, daddy needs a Margarita. Can I get a Margarita? I need a drink. Oh they still ... they're still here?

在講話結束後，攝像機依舊沒停，誤以為拍攝已經結束的特朗普在攝像頭下直接解開衣扣，如釋重負的

感覺像是佯裝冷靜實則極度惶恐，而這種失態的行為與面對緊急情況驚慌失措的狀態並不應該出現在國家領導人身上。這種失態的表現引起了美國民衆的不滿。Trevor在此巧妙地違反了量的準則，通過講述羅斯福總統在經典的就職演講場合如果誤以為是非正式場合而急切地想要喝酒的行為從而擴大了原語境的信息量，將總統的失態行為類比，擴大了特朗普總統行為的荒誕性，由此產生幽默效果，傳達出的特殊會話含義是——一般國家領導人即使在誤以為是非正式場合時也不會做出此類不當舉止。同時讓民衆反思特朗普是否具備與民衆不同的出色本領去擔任美國總統，而不是像普通民衆一樣面對新冠疫情很惶恐而又手足無措。

2. 對質的準則的打破

質的準則要求交際中說的話要符合事實，不能說虛假的，缺乏證據的話語(Grice, 1975: 41-58)。在日常交際中，質的準則非常受人重視，因為這涉及到一個人是否誠實的問題。隱喻屬於“非自然意義”，因而我們無法從字面意思去理解其真正含義。通過運用隱喻的方式可以迫使觀眾去設法理解所說話語的隱含意義。由於隱喻就話語的字面意思上是不真實的，所以從合作原則的角度看隱喻的手法違反了質的準則。在單口喜劇中往往使用隱喻的方式虛構情節，將事實荒謬化，違反質的準則，從而達到幽默的效果。

例2. And Earlier, earlier this week

when Trump was briefed on virus, he seemed less concerned about a pandemic hurting people than he was about it hurting the economy. Cause that's Trump's real nightmare. Right? If his stock market gets sick, he would be like "No, not my poor stock market, not wall street, I'll nurse you back to health with my special chicken soup. It's a KFC bucket poured with diet coke".

特朗普總統在疫情報告會上對於疫情的重視遠遠低於其對經濟的重視。Trevor爲了諷刺這一點，將問題隱喻爲疾病，建構出當股市受到重創，如民衆受新冠疫情威脅一般，以特朗普總統的口吻，誇張演繹了其在此場景下的反應。他虛構了特朗普總統將肯德基全家桶加健怡可樂作爲藥方去醫治股市重創的情節，違反了質的準則，在使用隱喻構建幽默效果的同時傳達出特殊的會話含義——美國政府目前的防疫措施不利，使民衆更加清醒的認識到這一現狀。

3. 對關係準則的打破

關係準則要求說的話要與話題相關，上下文要有關聯(Grice, 1975: 41-58)。單口喜劇中經常違反了關係準則，出現與前文關聯度較低的表述，從而打破觀衆的預期構成幽默元素。

例3. Donald Jehoshaphat Trump, he's the one man we're all forced to listen to during this crisis and everyday he reminds us *why hiring was America's biggest mistake*.

美國民衆認爲總統在疫情如此嚴

重的情況下，向民衆匯報疫情狀況時應該給出合理有效的解決方案或撫慰民心。但特朗普總統執政下的政府却兩者兼未實現。Trevor在諷刺此現狀時，首先用“作爲在如此危機中每位民衆必須聆聽的總統”作爲鋪墊，引導觀衆等待對總統的正面評價，而畫風突轉，“他每天都在提醒我們爲什麼選他當總統是美國犯的最大的錯誤”。這句話通過違反關聯準則，傳達出的特殊會話含義是美國總統特朗普疫情應對的不當讓人們開始質疑他作爲總統的能力。與此同時，通過違反關聯準則打破了觀衆的預期，引得觀衆大笑，緩解了疫情之下緊張的氛圍。

(4) 方式準則的打破

方式準則即要求人們在交際中說話要清楚明了，有條理，不會產生歧義，避免啰嗦，繁冗與晦澀(Grice, 1975: 41-58)。單口喜劇中反其道而行之，通過運用言語表述的模糊或歧義，打破方式準則，從而產生幽默和諷刺的效果。

例4. Trump: Nobody know there'd be a pandemic or an epidemic of this proportion, nobody's ever seen anything like this before.

Trevor's comment: Yes, everybody including Trump didn't know *how big the thing was* except Trump, who knew *how big this thing was* but he didn't do anything cause he didn't know *how big this thing was* makes perfect sense.

這裏多次運用了短語 “How big the

thing was”，但指代却不是同一件事物。第一個和第二個“*How big the thing was*”指的是新冠疫情的後果有多嚴重，第三個“*How big the thing was*”是指政府漠視疫情的後果有多嚴重。這裏巧妙運用了同一表達的不同代指意義，使句子變得復雜、繁冗，打破了方式準則，傳達出的特殊會話含義是對以特朗普為代表的美國政府新冠疫情毫不重視的態度和糟糕的應對措施表示不滿與嘲弄。Trevor運用了這種手段，以幽默的風格諷刺了美國政府糟糕的疫情應對態度與措施，娛樂美國民衆的同時引起民衆對新冠疫情的關注。

五、結論

在單口喜劇中，特殊會話含義的傳達離不開對語用原則的打破。本文以會話含義理論為理論基礎，通過對Trevor單口喜劇中美國政府疫情應對措施的點評的研究，重點分析了如何通過違反合作原則傳達出特殊會話含義，違反原則以達到幽默與諷刺的效果。這一研究意在為人們對單口喜劇中特殊會話含義的傳達提供新的視角，也有利于人們更好的去分析會話交際的語言現象，從而提高欣賞、分析語言的能力，同時，單口喜劇以幽默的方式解構時事，將注意力轉移至對新冠疫情的重視與對時事政治的思辨。

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On Deconstruction of US Government's Response to Coronavirus in Stand-up Comedy by Conversational Implicature Theory

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[Abstract] *Stand-up comedy is widely spread and popular because of its verbal humor that closely follows life. Based on the Theory of Conversational Implicature in pragmatics, this paper takes the stand-up comedy program The Daily Show With Trevor Noah as the corpus, and analyzes the responses of the US government to coronavirus from the perspectives of cooperative principles, with the intention of how verbal humor in stand-up comedy is generated and what impact it will exert on the American people and society during the coronavirus epidemic.*

[Keywords] *Conversational implicature theory; Stand-up comedy; COVID-19 pandemic; particularized conversational implicature*

A Harmonious Discourse Analysis of *The Secret Garden* in Light of Modality System

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[Abstract] This paper is designed to study Chinese traditional harmonious thoughts by virtue of Modality System within the framework of Harmonious Discourse Analysis. The combination of Modality System and HDA might shed light on the further research of discourse analysis. *The Secret Garden* is a classic Western masterpiece that plays an important role in showing harmonious thoughts. Accordingly, this paper chooses several chapters in *The Secret Garden* as discourse to explore Chinese traditional harmonious thoughts based on the harmonosphy of HDA, namely the unity of heaven and human (tian ren he yi), harmony is most precious (he wei gui), and the unity of body and spirit (xing shen he yi). Furthermore, it attempts to analyze modality resources in selected discourse to present harmonious thoughts implied in this novel. In short, it is found that, within the framework of HDA, Modality System can be a tool to study a harmonious version of language.

[Keywords] Harmonious Discourse Analysis; Modality System; *The Secret Garden*

I . Introduction

As the ecological crisis has worsened increasingly, harmony becomes a universal pursuit to all mankind. Harmonious Discourse Analysis (henceforth HDA) is proposed based on Chinese traditional ecological philosophy with the core of harmony. Thereupon, HDA aims to explore harmonious thoughts implied in the ecological discourse. *The Secret Garden*, a classic children's novel, is the masterpiece of American writer F. H. Burnett.

There are vivid descriptions of the nature, the positive influence of nature on children in mind and body, and a benign transformation of relationship among people. This paper chooses *The Secret Garden* as an ecological discourse to analyze its harmonious thoughts within the framework of HDA.

With the expectation to conduct a harmonious discourse analysis in non-Chinese context, Modality System is employed as a tool to explore harmo-

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nious thoughts. More specifically, through the analysis of finite modal operators and modal adjuncts occurring in selected discourse, it finds that, in this study, HDA proposed in Chinese context is applied to discourse in non-Chinese context, which expands application range of HDA and provides some insights and references for carrying forward Chinese traditional culture and strengthening communication between Chinese and Western culture.

In this study, both quantitative and qualitative methods are adopted to guarantee the objectivity and accuracy of the results as much as possible. The data is from chapter seven to ten and chapter twenty in *The Secret Garden*. Quantitative analysis is used to reflect overall distribution of modality resources in selected discourse. And qualitative method is employed to further conduct a deep investigation about harmonious thoughts connotated in modality resources.

This paper is in three parts. Section 1 mainly reviews the origin and development of HDA including the relevant studies on HDA from aspects of theoretical studies and empirical studies. Section 2 deals with the theoretical framework covering the harmosophy (Zhou & Huang, 2017: 264) of HDA and Modality System. In section 3, firstly, the harmonious thoughts in *The Secret Garden*, coinciding with the harmosophy of HDA, are depicted. Then, it analyzes how finite modal operators and

modal adjuncts occurring in the selected discourse represent these harmonious thoughts.

II. Literature Review

Since the 1970s, linguists have begun to study the ecology and language. In recent years, Ecolinguistic, as an interdisciplinary, has developed into an emerging branch of linguistics. Ecological Discourse Analysis (henceforth EDA), involving criticism of the current ecological environment problems, is a main method of Ecolinguistics (Stibbe, 2015). Whereas, in pursuing a method established on the basis of Chinese philosophy to study Ecolinguistics, Huang (2016a: 10) proposes HDA to emphasize the EDA in Chinese context focusing on the construction and discussion of "harmonious discourse". All in all, HDA is used to express harmony stressing the relationship between man and man, human and other species, human and nature, as well as language and nature (Huang & Zhao, 2017: 589).

HDA, until now, has experienced a process of being explored, constructed, recognized and developed. At present, there are two main research directions. One is the theoretical interpretation and improvement. For one thing, the ecosophy and principles of HDA based on Chinese traditional philosophical thoughts are introduced. Huang (2017b) claims that viewpoints of Confucianism towards the ecology is the ecosophy of HDA. Zhou

and Huang (2017), through stating the traditional Chinese Philosophy—Confucian—Daoist, discuss the construction of harmonious discourse. For another, Halliday's Systemic Functional Grammar is recognized as the theoretical guidance of HDA (Huang, 2018: 44). SFL, as the theoretical support for HDA, highlights the intervention function of language to represent harmonious thoughts implied in the discourse.

The other is the analysis of specific discourse from the perspective of HDA. Because HDA has not been developed for a very long time, it is found that the scope of HDA research is very limited. Some scholars attempt to explore HDA based on Systemic Functional Grammar, like Zhao and Huang (2019) discuss the construction of ecological harmony in Chinese based on Systemic Functional Grammar, and others tend to combine HDA with translation.

III. Theoretical Framework

1. The Harmosophy of HDA

As mentioned in the literature review, HDA is proposed based on Chinese traditional ecological philosophy, namely, harmony. Hereby, the harmosophy of HDA is the connotation of Chinese traditional harmonious thoughts. Generally speaking, the harmosophy of HDA can be discussed from following three aspects.

(1)The unity of heaven and human (*tian ren he yi*)

The unity of heaven and human (*tian*

ren he yi) in Chinese traditional ecological philosophy stresses that mankind should understand nature, respect nature and protect nature. The harmony between human and nature actually represents the relationship between human and nature. Confucianism, strengthening harmonious development among Heaven, Earth and Mankind, believes that nature and human are mutually connected rather than opposites. Lao Tzu insists on that respecting the laws of nature should be viewed as the highest criterion, cherishing nature as well as following the laws of Heaven and Earth should be taken as the basic guidance of life behavior. To this end, people should follow the laws of nature, conform to nature, and maintain harmony with nature.

(2)Harmony is most precious (*he wei gui*)

Chinese traditional ecological philosophy advocates harmony is the most precious (*he wei gui*), which means that people should be lenient to others in the world so as to create a harmonious social environment. For the sake of safeguarding good personal relationships, Confucian ideology of benevolence (*ren ai*) emphasizes interpersonal harmony. And the ideology of harmony but not uniformity (*he er bu tong*) is also regarded as manifestation to pursue harmonious relationship between man and man. Taoism, featuring Actionless Governance (*wu wei er zhi*), ad-

vocates avoiding conflicts, achieving social stability and peace as well as cherishing a world that people are no desire (*wu yu*), no action (*wu wei*), no dispute (*wu zheng*) and that they always show generosity to others for achieving interpersonal harmony.

(3)The unity of body and spirit (*xing shen he yi*)

In ancient China, the unity of body and spirit (*xing shen he yi*) means that people, living in the world, should maintain a peaceful and calm state of mind, meanwhile, should have a good moral cultivation and personality to keep individual physical and mental harmony. Confucianism encourages people to pursue a noble and harmonious life through turning inward and reflecting on oneself three times a day. it also believes that everyone should take self-cultivation as essential. Moreover, Taoism requires people to eliminate all estrangements in personal relations, transcend limitations of secular and narrow human relations, as well as always keep an open mind and an unbiased state of mind to treat everything in the world. Based on this, the individual physical and mental harmony can be achieved.

2. Approach of HDA: Modality System

According to Halliday & Matthiessen (2004 : 108), modality includes two types, namely, modalization and modulation. Modalization can be further divided into probability and usuality. And modulation

involves inclination and obligation. Probability and usuality express respectively the likelihood and the frequency of the event. Inclination refers to the willingness to meet the demand, and obligation means the responsibility to execute the command. Modalization and modulation can be represented by finite modal operators.

Modal adjuncts can be categorized into mood adjuncts and comment adjuncts. Mood adjuncts indicate meanings to express probability, usuality, inclination and obligation. Mood adjuncts are closely related to the finite and they express meanings associated with tense, polarity, and modality (Halliday & Matthiessen, 2004: 126). Nevertheless, comment adjuncts are mainly to render writer's attitude towards the topic or proposition. More importantly, there is no absolute boundaries between mood adjuncts and comment adjuncts.

IV. Analysis and Discussion

1. Harmonious Thoughts in *The Secret Garden*

Harmonious thoughts, implied in *The secret Garden*, is actually the result of Westerners' long-time exploration and deep reflection on the relationship between human and nature, man and man, individual mind and body. It coincides with Chinese traditional harmosophy in the ecosystem. In this part, the harmonious thoughts in *The Secret Garden* will be analyzed according to harmosophy of HDA that is mentioned above.

(1)The unity of heaven and human

In *The Secret Garden*, there is a big closed house and several big bare gardens, symbolizing the original natural environment that has not yet been destroyed by humans. In this place, people are closely linked and integrate with nature. Through living side by side with nature, their hearts are imperceptibly purified.

At Misselthwaite Manor, Ben Weatherstaff has dedicated his life to caring for gardens all the time. Children protect everything in the rose garden. They loosen the soil, remove the weeds and plant various flowers, hoping that it will become a wild and brilliant place full of pleasure and magic. In addition, the characters also have a dependent and amicable relationship with animals. Ben Weatherstaff makes a friend with a robin. And this robin is made up its mind to make friends with Mary when it firstly sees her. Dickon, considered as a member of animals, is even more of a friend of animals, and always helps those animals who are in trouble.

This beautiful picture that human is in accordance with the nature is derived from human's friendship and respect for nature. Thus, in *The Secret Garden*, the author fosters a harmonious relationship between human and nature.

(2)Harmony is most precious

With the development of modern industry, the author Burnett realized that class relation was deeply entrenched in

society, making people cold to each other and leading to form an inharmonious interpersonal relationship.

Mary, born in India where she is instilled the concept of racism, often beats and scolds servants. Colin, as the same as Mary, impacted by that status of young master at Misselthwaite Manor, requires everyone to comply with him. Compared with them, Martha and her families are totally different in that Martha only views Mary as a lovely child rather than a master who is superior. And Martha's mother Susan Sowerby, giving Colin love and care, sincerely treats Colin as her son rather than the young master. The brother Dickon is even more so. He is always eager to help Colin and Mary, and his kindness makes them become more intimate friends. This family, full of love and friendly with everyone, always create a harmonious atmosphere around those who get along with them.

Moreover, as Mary and Colin have changed gradually under the influence of nature, they become more tolerant and happier to interact with others, which marks a harmonious relationship between man and man.

(3)The unity of body and spirit

The Secret Garden was created in the period that the spiritual world of people appeared the serious crisis brought by modern industry. In this novel, it clearly sees that author creates Mary and Colin,

to reflect this crisis that people suffer from mental health problems.

In the beginning, Mary is a selfish, fretful and bossy child who do not know how to get along with others, let alone to help others. Colin is a boy who always thinks that he will not live long, being anxious, tyrannical and irritable. It follows that their inner world, full of willfulness, seclusiveness, and indifference, is distorted despite their material richness. Yet after the secret garden occurring, Mary and Colin spend more time out of doors in the fresh air to play and plant. They close to nature and cheer for the miracles of various life in nature, which makes their distorted inner world disappear gradually. Under the influence of nature, these two kids slowly create a harmonious spiritual world for themselves.

In *The Secret Garden*, there is an ecosystem in which people have a good mental cultivation. More to the point, in this ecosystem, as characters' physical and mental harmony is achieved by magic of nature, it shows that the pursuit of physical

and mental harmony is significant to every individual life.

2. Representations of Harmonious Thoughts

(1) Realization of finite modal operator

It is known that finite modal operators tend to express the meaning of probability, inclination and obligation. In selected discourse, modals of probability, inclination and obligation imply some Chinese traditional harmonious thoughts. Besides, the three values of modality, namely, high, median and low show the different attitudes and dispositions of characters in this novel, to some extent, displaying the harmonious thoughts. Based on the categorizations mentioned above, the overall distributions of modals of probability, inclination and obligation can be analyzed.

According to the table, modals of inclination and probability account for a large proportion in selected discourse, which indicates willingness and capability that characters in *The Secret Garden* tends to keep a harmonious relationship be-

Table 2.1 Distribution of Finite Modal Operators in selected discourse

Values	Types	Finite modal operators	Number	Total
High	Probability	can't, couldn't	11	29
	Obligation	must, have to, mustn't	18	
Median	Inclination	will('ll), would('d), won't wouldn't, should, shall	90	98
	Obligation	should, ought to	8	
Low	Probability	can, could, may, might, mayn't, shall, would, should	66	66
Total			193	

tween human and nature, man and man as well as individual mind and body. In addition, media-value finite operators which appear 98 times take a large share among the three levels. It is shown that author attempts to leave a space for readers to feel the harmonious thoughts implied in the discourse.

In the following parts, some examples are listed to indicate what harmonious thoughts are realized by using these finite modal operators.

Example 1: "I *shall* (probability) get well! I *shall* (probability) get well!" he cried out. "Mary! Dickon! I *shall* (probability) get well!"

(Probability: from *The Secret Garden*, 2011 : 186)

The finite modal operator *shall*, in this example, occurs three times to convey the meaning of probability. More specifically, the use of *shall* expresses that Colin is full of confidence in his future life and his determination to live optimistically and positively. Additionally, *shall* belongs to the median value, which leaves a space for readers to feel Colin's confidence and determination. Hence, by using *shall* to express probability, it indicates that Colin's confidence and determination to life brings him tranquility and inner harmony. He, achieving the unity of body and spirit, is no longer the boy who is anxious and irritable. It reflects a harmonious relationship between individual mind and body.

Example 2: To think that he *should* (inclination) actually let her come as near to him as that. He knew nothing in the world *would* (inclination) make her put out her hand toward him or startle him in the least tiniest way.

(Inclination: from *The Secret Garden*, 2003 : 57)

There are two expressions rendering the modality meaning of inclination and tendency. Firstly, the finite modal operator *should* is used with the subject *he* personifying the robin, which expresses the willingness of the robin to let Mary approach it. It points an intimate relationship between the robin and little Mary. Secondly, the finite modal operator *would* occurs with subject *nothing* conveying negative polarity, which emphasizes that Mary has no plan and intention to hurt the robin and the robin trusts Mary. Therefore, through the use of modals of inclination, it is clear that the robin likes Mary and Mary is kind to the robin, which creates a harmonious relationship between human and nature and benefits to achieve the unity of heaven and human.

Example 3: "If I went I *should* (obligation) see your mother as well as Dickon," said Mary, thinking it over and liking the idea very much.

(Obligation: from *The Secret Garden*, 2003 : 76)

In this example, the finite modal operator *should* conveys the modality mean-

ing of necessity and obligation. The use of *should* is to show the duty and obligation that Mary wants to visit Martha's mother Susan Sowerby and brother Dickon out of politeness and curiousness if she went to Martha's home. What's more, *should* belonging to the median value modality is adopted to put forward suggestions, which makes the tone of language may not be strong. Therefore, using *should* to express obligation displays that Mary begins to care for others and be friendly to others. More importantly, it represents that Mary creates a harmonious interpersonal relationship with others.

(2) Realization of modal adjunct

Modal adjuncts can be further divided into comment adjuncts and mood adjuncts. It is an important device to convey the meaning that connotated in the discourse. In this parts, Chinese traditional harmonious thoughts can be explored through analyzing comment adjuncts and

mood adjuncts in selected discourse. The distributions of the modal adjuncts are shown on the following table.

As is shown in the table, it is clear that mood adjuncts account for the largest number of modal adjuncts. Mood adjuncts occur 393 times. Some of them convey the meaning of harmonious thoughts, which will be analyzed in the following. Compared with mood adjuncts, comment adjuncts, covering fewer proportions, features subjectivism of the author who wants to depict the harmonious thoughts in this novel. Some examples are shown in the following.

Example 4: "Could I ever get there?" asked Mary *wistfully* (comment adjunct), looking through her window at the far-off blue.

(Comment adjunct: from *The Secret Garden*, 2003 : 53)

Comment adjunct *wistfully* belongs to the type of desirability. It shows the desir-

Table 2.2 Distribution of Modal Adjuncts in selected discourse

Modal adjuncts	Instances	Number
Comment adjuncts	elaborately, hurriedly, attentively, slowly, quickly, privately, sufficiently, impolitely, softly, stiffly, wistfully, fortunately, curiously...	82
Mood adjuncts	no, not, so, perhaps, sometimes, really, often, ever, always, never, certainly, just, already, surely, only, in fact, just, simply, even, really, actually, nearly, quite...	393
Total		475

ability and willingness of Mary to be close to nature and enjoy the beauty of nature. Besides, it also stresses that Mary actually has a deep affinity with nature. Through the use of *wistfully*, thereby, it mirrors a harmonious relationship between human and nature, which embodies Chinese traditional harmonious thought, namely, the unity of heaven and human.

Example 5: It sounded as if he liked her and was *not* (mood adjunct) the *least* (mood adjunct) afraid she would *not* (mood adjunct) like him, though he was *only* (mood adjunct) a common moor boy, in patched clothes with a funny face and a rough, rusty-red head.

(Comment adjunct: from *The Secret Garden*, 2003 : 85)

There are four mood adjuncts in this example. Firstly, *not* belongs to the adjuncts of polarity, which signals Dickon's belief clearly that Mary is kind to him just like he is always friendly to others, and the second *not*, expressing a prediction together with the finite modal operator *would*, plays an important role in marking the confidence of Dickon to be liked by others. Secondly, *least*, the type of degree in mood adjuncts, conveys that Dickon actually does not worry about Mary's dislike to him. Thirdly, *only*, expressing intensity of the mood, stresses the low status of Dickon from the perspective of context. On these grounds, it is apparent that Dickon treats people sincerely and simply in that

he never cares about person's identity and is never prejudiced against others. It benefits to create a harmonious relationship between man and man.

Example 6: She worked and dug and pulled up weeds steadily, *only* (mood adjunct) becoming more pleased with her work every hour instead of tiring of it.

(Comment adjunct: from *The Secret Garden*, 2003 : 79)

only means the one and the unique situation, emphasizing Mary's buoyant and cheerful mood. By using *only*, it highlights that Mary feels pleasant although she just goes on working. She is no longer fed up with surroundings. Instead, she appears delighted to explore nature. In this process, Mary achieves her own inner harmony. The mood adjunct *only*, intensifying Mary's joyfulness, reflects the unity of body and spirit.

To summarize, in *The secret Garden*, it connotes harmonious thoughts reflecting in relationships between human and nature, man and man, individual mind and body. And these three harmonious relationships respectively correspond to the unity of heaven and human (*tian ren he yi*), harmony is most precious (*he wei gui*), and the unity of body and spirit (*xing shen he yi*) in harmonology of HDA. Furthermore, after showing the overall distribution of modal operators and modal adjuncts in selected discourse, the representations of these harmonious thoughts can be realized

through analyzing these modality resources.

V. Conclusion

This paper studies and discusses the harmonious thoughts implied in *The Secret Garden*. And it attempts to analyze these harmonious thoughts through finite modal operators and modal adjuncts in Modality System based on the harmonious ecological philosophy of HDA. Through analyzing, on the one hand, the three harmonious thoughts that are the unity of heaven and human (*tian ren he yi*), harmony is most precious (*he wei gui*), and the unity of body and spirit (*xing shen he yi*) are unfolded before our eyes in this novel, which generates a new understanding of "harmony" and enriches the connotation of "harmony". On the other hand, it studies how modality resources in selected discourse can realize these harmonious thoughts. Above all, this paper offers a new perspective to conduct discourse analysis. For one thing, HDA proposed to analyze Chinese context is adopted to research discourse in Western context, and it is found that HDA, based on Chinese traditional ecological philosophy, is also applicable to Western context. For another, it reveals that Modality System, mainly expressing interpersonal meaning, can be employed to probe into harmonious thoughts within the framework of HDA, which expands the application range of Modality System in discourse analysis. In brief, the combi-

nation of HDA and Modality System is a new attempt to study a harmonious version of language.

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Notes:

1. All the Chinese terms occurring in this paper are translated by the author.

2. The Chinese harmonious ecological philosophy (harmosophy) that is discussed in this paper can be found in Chinese classical works such as *Lun Yu (The Analects of Confucius)*, *Lao Zi (The Book of Lao Tzu)*, and some other philosophical concepts. See Qiao (2013) for relevant comments.

新文科背景下外語學科課程思政體系構建

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摘 要：新文科之“新”體現在時代新要求，歷史新節點，科技新發展與全球新格局，之“重”在於構建中國特色高等文科人才培養體系，傳統文科必須適應時代變革，與之相融合。外語學科本身具有跨學科特性，在促進中外人文交流，提升中國國家形象方面能夠發揮更大作用，因此，學科發展方向和人才培養目標理應與新文科建設更為契合。作為外語教師，如何在引導學生理解、體驗西方文化時堅定社會主義理想信念，堅定文化自信，依據《高等學校課程建設指導綱要》要求，實現外語專業課程全程育人、全方位育人是值得探索的新命題。本文以筆者調研結果和所在單位的相關實踐為例，探討如何進一步提升外語專業教學與課程思政的融合度，做好新課程開發和現有課程思政元素挖掘，構建外語專門的思政和德育課程體系。

關鍵詞：外語學科；課程思政；學生中心；跨學科

引言

學科發展和專業建設都應植根於時代土壤，以服務時代為目標。2016年12月，全國高校思想政治工作會議提出“要堅持把立德樹人作為中心環節，把思想政治工作貫穿教育教學全過程，實現全程育人、全方位育人，努力開創我國高等教育事業發展新局面”。這次具有裏程碑意義的重要講話，揭開了高校思想政治工作新的歷史篇章，拉開了高校將“課程思政”貫通人才培養體系的探索研究和生動實踐。

2020年6月5日，教育部印發《高等學校課程思政建設指導綱要》，在所有高校所有學科專業中全面推進課

程思政建設，是深入貫徹落實總書記關於教育重要論述和全國教育大會精神的又一重要舉措。《綱要》的部署意味着國家已經把課程思政上升到了戰略高度，必須引起高校和老師們的高度重視。課程思政建設成效已經成為“雙一流”建設、學科評估、本科教學評估、一流專業和一流課程建設、專業認證等工作的監測評價重要內容。

外語學科既是中西文化思想碰撞激烈的前沿學科，又是具有跨學科和多學科特性的綜合性人文學科，能夠促進多國文化交流、百家思想聚合。作為外語教師，如何在引導學生理解、體驗西方文化時堅定社會主

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義理想信念，堅定文化自信，依據《綱要》要求，實現外語專業課程全程育人、全方位育人是值得探索的新命題。當下首要任務是統一思想，達成共識，進一步提升專業教學與課程思政的融合度，做好新課程開發和現有課程思政元素挖掘，構建外語專門的思政和德育課程體系。遴選打造“課程思政”示範課堂，着力培養學生審辨意識，既引導學生培養家國情懷又幫助其拓展國際視野。把專業課程這道傳統菜肴烹出“思政味兒”，使其“有意思”又“有意義”，“有藝術”又“有益處”。

一、國內外語課程思政相關研究

截止到2020年8月15日為止，知網共收錄“課程思政”相關文章8,138篇，2016–2020年總計7,256篇（2016年181篇，2017年270篇，2018年738篇，2019年2893篇，2020年3174篇）。但2016–2017年，學者們的關注點依舊是思政課程教育教學的創新，有關其他學科專業課程思政的文章實際所占比例并不多。2017年《中國高等教育》和《思想理論教育導刊》分別刊登了高德毅、宗愛東的兩篇文章，提出“課程思政”不是單純增設課程，或是創新活動，而是“將高校思想政治教育融入課程教學和改革的各環節、各方面”（高德毅，宗愛東：46），就此拉開了學界專業課程思政研究的序幕。2019年以後呈井噴狀態，相關成果較之前有大幅增長。

然而，其中僅有75篇文章以“外語課程思政”為研究主題，最早從

2016年開始，2016和2017年分別有1篇，2018年12篇，2019年36篇，2020年（截止到8月10日）已發表25篇，呈持續增長趨勢，顯示了高校、專業、教師對課程思政的關注度。已發表成果中僅有30%（23篇）從專業建設和人才培養角度，關注普通本科高等學校外語專業教育與課程思政的融入，14篇具體探討了某語種或課程教學中的課程思政實踐案例，包括綜合英語、基礎英語、跨文化交際、中國文化通論、外貿函電、翻譯與傳播、畢業論文寫作、基礎法語、日語寫作等課程；16篇關於高職院校外語課程思政，10篇關注課程思政背景下的大學英語教學；以學校做法為例，探討新時代背景下課程思政的路徑與方法，包括海口經濟學院外國語學院、海南外國語職業學院、衢州職業技術學院、長治學院、揚州職業大學。

由此可見，外語院校/系對外語課程思政的重視程度還有待提升，相比其他教育教學命題，有關課程思政的探索和研究遠不能達到國家要求，對外語課程思政建設中重點、難點、前瞻性問題的研究不足。《綱要》對教師課程思政建設意識和能力提高指明了方向，其中一條為“深研究”。教師應該認真理解課程思政的內涵和外延，將思想性和學術性統一起來，思考產出更多相關成果。但目前已有教學實踐和研究成果顯然還缺乏系統性，頂層設計不夠。依托學校實踐做法進行研究的文章多是高職或是民辦院校；依托課程進行研究的文章多是

關注公共基礎課程，對專業教育課程和實踐課程關注不夠。今年7月29日，新中國成立後的首次全國研究生教育會議召開，充分表明新時代比以往更加呼喚德才兼備的高層次創新人才。

《綱要》也對碩博士培養提出了明確要求。因此，如何才能培養出“有靈魂”的“中華民族脊梁”，落實研究生培養環節中的課程思政內容也是當下亟待思考解決的關鍵問題之一。但就現有成果看，僅有1篇關注研究生公共英語課程思政研究。當然，成果撰寫和發表僅是觀測點之一，筆者也調研了不少高校，發現很多外語院系已經有了很好的實踐，比如上海外國語大學、南開大學、廣東外語外貿大學、青島科技大學、江蘇大學等等，下文會分別提到。毋庸置疑的是，相對新時代對外語學科提出的思政育人新要求，無論是目前的研究成果還是具體實踐，還遠遠不夠。

二、新文科建設背景下外語學科課程思政使命

2016年5月，總書記主持召開哲學社會科學工作座談會，強調要加快構建中國特色哲學社會科學，在指導思想、學科體系、學術體系、話語體系等方面充分體現中國特色、中國風格、中國氣派。同年9月，他在主持中共十八屆中央政治局第三十五次集體學習時講到，“要提高我國參與全球治理的能力。參與全球治理需要一大批熟悉黨和國家方針政策、了解我國國情、具有全球視野、熟練運用外語、通曉國際規則、精通國際談判的

專業人才。”2018年10月，教育部等部門決定實施“六卓越一拔尖”計劃2.0，“新文科”概念浮出水面。2019年5月，總書記在亞洲文明對話大會上提出：“我們要加强世界上不同國家、不同民族、不同文化的交流互鑒，夯實共建亞洲命運共同體、人類命運共同體的人文基礎。”

以上理念既是中國智慧和方略，同時具有外向型和國際性特點。提高學生的全球視野、國際交往能力和全球就業能力，是全球新格局對文科發展的新要求。傳統文科必須適應時代變革，與新時代要求相融合，相比其他學科，外語學科發展方向和人才培養目標與此更為契合，在促進中外人文交流，提升中國國家形象方面能夠發揮更大作用。2018年教育部頒布《普通高等學校本科專業類教學質量國家標準（外國語言文學）》後，2020年最新出臺《普通高等學校本科外國語言文學類專業教學指南》，進一步明確了外語專業定位，同樣要求不斷完善構建具有中國特色、中國風格、中國氣派的外語教育體系。今年7月29日召開的新中國成立後首次全國研究生教育會議，充分表明新時代比以往更加呼喚德才兼備的高層次創新人才。因此，如何才能培養出“有靈魂”的“中華民族脊梁”，實現專業課程全方位思政育人是值得探索的新命題。

因此，新時期新文科建設既是挑戰更是難得的機遇，外語人責無旁貸應擔負起新時代賦予的使命和責任，

抓住契機，以《綱要》為引領，堅持立德樹人為根本任務，進一步提升課程思政意識和能力，深挖學科內涵，持續創新教育教學模式，把外國語言文學學科建設和專業人才培養，與服務於國家戰略及河北省發展需求結合起來，利用優勢，整合資源，講好並努力傳播“中國故事”。

三、頂層設計專業人才培養體系，課程設置貫穿思政教育

《綱要》根據不同課程學科專業特點和育人要求，按照公共基礎課、專業課、實踐類課程3種類型，分別明確了每類課程思政建設的重點。又按照學科專業特點，提出了文史哲、經管法、教育學等7大類專業課程的具體建設目標，具有很强的現實指導意義。外語專業人才培養方案要契合《綱要》要求，根據本學科專業特色和優勢，進行科學規劃。

1. 堅持“學生中心、產出導向、持續改進”的理念，反向思考設計人才培養體系。外語學科在思考如何加強課程思政建設中，應積極服務國家戰略發展需求，抓住“培養什麼人”這個教育的首要問題，從實踐中找準課程思政內容

體系和課程體系這兩個坐標。（劉瑾，2020：2）明確了要培養什麼樣的人，實現什麼樣的課程思政任務，針對性地修訂教學大綱。要引導學生深刻理解社會主義核心價值觀，自覺弘揚中華優秀傳統文化、革命文化、社會主義先進文化，那麼由哪些課程具體支撐這一目標的達成？課堂教學又

有哪些具體內容在支撐相關課程的目標？應以此思考和實踐為核心，落實本科專業類教學質量國家標準和一級學科、專業學位類別（領域）博士碩士學位基本要求，構建科學合理的課程思政教學體系，完善課程內容動態調整機制，統籌調整課程目標對畢業要求支撐度低的課程，不斷提升學生課程學習體驗、學習效果，形成一個持續評價、改進的閉環系統，才是真正的“學生中心、產出導向”。

2. 精心篩選，調整內容，選取專業課程進行課程思政工作試點。比如“媒體語言分析”“批判思維與學術寫作”“典籍英譯”等課程，有鮮明的思政元素，可以在課程目標、內容設計方面要根據《綱要》標準進行進一步修訂建設，形成特色品牌課，樹標示範。同時，可以考慮打破語種界限，成立相近課程教研團隊，努力創新課程思政的教學內容，研發構建彰顯學科特色的多語種“課程思政”課程群或者課程思政教學模塊。其次，還可嘗試教師接力打段，共建外語思政必修課程，作為學科平臺課程。例如上海外國語大學的《世界中國》將中國置于世界歷史文明、地緣政治、全球治理體系、對外文化傳播等10個專題中加以對比詮釋，對堅定學生文化自信，有着良好促進作用。

在目前中國與別國多方位合作，構建人類命運共同體的背景，還應進一步拓展專業課程的廣度，開設國別區域知識課程，引導學生關注中國與不同國別之間的關係發展和國際熱

點問題，培養學生的社會使命感和跨學科意識，幫助其了解國別研究的基本特點和具體路徑；利用在綫或其他學科優質資源，擴充學生的選修課程範圍，增強在中國與世界通史、哲學史、一帶一路國家國情、中國國家國情、國家語言能力、語言技術和安全等領域的了解。

四、深挖課堂建設全過程中的思政價值和學科精神

若想真正落實課程思政，就要有效利用課堂教學這一建設主渠道。依據《綱要》對專業教育課程和文學類課程的要求，“深度挖掘提煉專業知識體系中所蘊含的思想價值和精神內涵，科學合理拓展專業課程的廣度、深度和溫度，增加課程的知識性、人文性，提升引領性、時代性和開放性”；“要在課程教學中幫助學生掌握馬克思主義世界觀和方法論，從歷史與現實、理論與實踐等維度深刻理解新時代中國特色社會主義思想。要結合專業知識教育引導學生深刻理解社會主義核心價值觀，自覺弘揚中華優秀傳統文化、革命文化、社會主義先進文化”。教材是土壤，為思政教育提供實施的根基。挖掘現有教材的思政元素同時，還要頂層設計校本教材，進行德育滲透的教學設計與實踐。教學設計既要“全球化”又要“接地氣”，既要“長見識”又要“強國志”。

1. 凸顯中華優秀傳統文化，辨析東西方思維方式差異。

思維品質和文化意識本就是外語

學科素養的重要內容。教師應提升學生向典籍尋寶的意識，幫助其深刻了解中國文化的獨特優勢。可從口語話題設計、講解文本時的例句、課文主題的詮釋，以及翻譯和作文題目的擬定等環節來引導學生，把他們個體經歷、社會實踐，根植在民族文化沃土中，實現價值引領。比如以“批判性思維與學術寫作”課程為例，中華文化博大精深。雖然批判性思維作為一個術語，首先在西方學界創建和使用，但與批判思維緊密相關的思想，我國古代哲學家早有論述和體悟。例如，在介紹批判思維的概念時，引用“博學之，審問之，慎思之，明辨之，篤行之”——《禮記·中庸》的名言，向學生說明，“批判性思維”也譯為“審辨思維”，與中國優秀傳統文化很是契合。再如“中外翻譯史”課程學習歷代中外翻譯家及其思想時，可重點挖掘佛經翻譯中中國翻譯家的貢獻（玄奘，道安的“五失本，三不易”譯論和彥琮的“八備”說），以及陳望道翻譯《共產黨宣言》等活動作為思政育人資源。

抗擊疫情期間，筆者所在單位“中國典籍賞析”課程的學生們在老師指導下發揮中國詩歌“合為時而做”的傳統，吸收了《詩經》中“風”篇吟咏時事、“雅”篇典雅中正的風格，創作書寫了當時的疫情以及黨領導下的抗疫阻擊戰。之後翻譯成不同語種，作為系列視頻，在國際網站傳播，也是在彰顯學科內涵，思政使命的實際行動。學習外語，不單祇是為

了背誦幾首詩歌，掌握幾個概念，或是單純爲了解歷史，繼承中國傳統優秀文化的最好形式是讓這些經典在今天煥發新生命，走上世界舞臺。

2. 引導學生說‘中國話’、懂‘中國事’，在實踐中“立民族心”。

我們培養的翻譯人才不但要把外語語言技能學專學精，更要“通識博雅”，最重要的是要有家國情懷。中華典籍蘊涵着豐富的智慧和思想，本土文明擁有着強大的生命力和創造力，這一切都需要外語人來向世界講述。除去能够用不同語言準確傳遞中文的含義，外語專業學生還一定要了解中國特色的話語表達。南開大學設置“必讀必看”項目例如《新聞30分》《參考消息》《經濟學人》等權威雜誌或節目，引領學生在翻譯實踐中使用“標準中文”，提升綜合翻譯實踐能力。應進一步研討利用好《治國理政》第三卷等政治理論書籍和對外話語體系建設的重要素材，使其成爲“時政翻譯”等密切相關課程的講授內容，同時進行相關“課程思政”資源庫建設，以滿足不同門類外語課程教學選擇的需要。(崔戈，2019：139)

3. 課程設計上突出學生在翻譯實踐中的成長和提高，強化體驗式學習。實踐內容設計應引導學生更專注於基於現實的主動學習，共同研究解決本地化或全球化的挑戰以及其他世界共同面臨的問題，例如“科技翻譯”課程所選擇材料主要涉及人工智能、物聯網、新能源汽車、5G、基因

檢測、環境保護等內容，在提高學生科技翻譯實踐能力的同時，使學生對我國各項事業發展的需要有更加明確的認識，增強愛國熱情和擔當精神。

“交替傳譯”課程可以在背景知識陳述和口譯模擬練習部分滲透思政元素。教師課上可通過安排學生報告近期國際國內熱點事件，模擬記者提問等環節，展開相關話題討論，不但促進學生了解時事，掌握口譯專業技能，又能幫助其提升鑒別力，站在國家利益的角度分析問題利弊，提升自身語言表達中的政治素養。

4. 引導學生樹立友善合作的團隊意識和嚴謹的職業態度。要深入了解課程思政的教學對象特徵，給予學生正確、及時的指導。翻譯課程教學通常采取小組合作形式，注重團隊精神和能力的培養。筆譯類課程課堂互動主要以任務引領，采取專題討論和案例分析等互動形式，使學生自覺調動知識體系和學習能力。以文學翻譯課爲例，學生都要在實踐基礎上撰寫個人翻譯日志，目的在於幫他們梳理翻譯過程中的文本分析、難點問題和解決策略，實現有聲思維。隨後，利用在綫平臺開展“生生互評”，有效調動學生積極性，在批閱同行作業過程中取長補短，深入理解文本。在這一過程中，老師祇需耐心做一個引導者，幫助學生完成分析-探究-表達-反思-描述的完整過程。當然，針對性點評和相關理論原則滲透也非常關鍵。學生的批判性思維，探究、表達、合作、反應、和解決問題的綜合

能力都可以得到訓練。同時在課堂教學中，從翻譯產品質量、程序質量和服務質量維度對學生翻譯成果進行點評，幫助其對職業道德和實踐規範有更加深入的體驗。

總之，通過開展課程思政，將專業知識與思政元素相融合，會有效增強學生的社會責任心和歷史使命感，使學生們更加意識到自己的責任擔當，更加明確自己翻譯實踐能力培養和提高的目標，更加勇于探索、精益求精、追求卓越，幫助學生能夠以正確的人生觀和價值觀指導和調控自己的職業行為。

五、打造“綫下綫上，課堂內外”結合的外語課程思政養成體系

新時代技術推動教學改革的背景下，課程思政還要綫上綫下一體化。充分利用現代媒體課程思政的教育手段，運用圖文并茂的多媒體教學課件、微視頻和電影片段等，增強教學的生動性，選用網絡課程資源，形成綫上綫下混合教學的合力。

第一，組建“在綫教學研究團隊”，引導教師利用多種平臺工具，通過有溫度的課前互動、有深度的話題選取、有熱度的任務設計，有靈活度的展示形式，開展豐富多彩的綫上“課堂思政”活動，在傳授知識、鍛煉專業技能的同時，有效引導學生樹立正確的世界觀，建設優秀在綫教學案例成果。

第二，有效利用虛擬仿真技術輔助教學，開發具有地方和教育特色的校本課程實訓模式。傳統教學中缺乏

真實交流場景和外界幹預的實訓，升級成具有沉浸感的真實的訓練場景，使學生獲得真實的體驗式、感受式實訓實操，全面提高綜合技能。筆者所在單位為對接“中巴經濟走廊”語言人才培養戰略，提高學生的語言服務能力，結合國際會議真實語料，開發了“中巴經濟走廊語言服務VR情境化教學實訓平臺”，利用虛擬現實3D引擎技術和全景技術打造沉浸式綫上VR教學及課後訓練項目，學生自主、互動式訓練為主要內容，是技術融合翻譯能力訓練和思政教育的有效嘗試。

第三，充分發揮第二課堂的育人功能，將思政教育和專業學習延展到各項團學活動中。強化課外實踐在課程教學中的作用，使課堂教學能夠得到有效的補充和延伸，提高課程教學效率。

構建師生翻譯實踐共同體。筆者所在單位于2017年開展“精英計劃”，遴選口筆譯精英小組學生和專業能力過硬的優秀教師作為骨幹，承擔重要外事活動、高端會議等翻譯任務，通過實戰項目，提高翻譯能力的同時也提升學生的使命感和職業素養。疫情期間，教師帶領學生及時搜集、翻譯相關資料，撰寫文章發表于海外網站。利用不同語種優勢進行翻譯，借助新媒體技術制作“疫情中的雙標”“中美敘事話語40年之比較”“疫情中的生命觀和價值觀”“抗擊新冠白皮書中的數字”等“講中國故事，發中國聲音”系列視頻，在公眾號和國外社交媒體發布，通過海外孔院、校友在海外傳播，傳遞語言正

能量，營造良好的國際輿論氛圍。彰顯了外語人發揮語言優勢，服務于應急外宣的使命擔當。

通過公眾號為學生提供語言實踐和專業學習平臺，鼓勵學生原創寫作關於中國文化介紹、中國社會變化的內容發表。學生主要通過微信、微博等社交媒體碎片化信息了解疫情的現狀，發起“重讀經典，同聲抗疫”活動，通過領讀經典名著，引導學生從中汲取力量，自律向學。學生不但寫來觀後感受，還自覺發起了互動PK挑戰賽，以及“以聲傳溫暖，感恩抗疫行”配音大賽，可以說充分實現了第二課堂的思政功能，取得了良好成效。

六、組建多語種、跨學科教研團隊，設立協同學術研討機制，產出更多高端專業課程思政成果

外語不止是一種工具，既與文化密切相關，也涉及歷史、哲學、政治、傳媒、地理、社會學、人類學和經濟學等領域，新時期其人文性理應更加凸顯。要把握契機，進一步加強跨學科交叉和融合，整合服務于人才培養的優質資源，探索外語學科發展和課程思政建設的創新點。“課程思政”和“思政課程”本應步調一致，同向同行（邱仁富，2018：109），相互補充促進，共享信息和資源，協同發展。

1. 專業課程思政與思政課程可以從孤立“絕緣”到互為“導體”。

首先，專業課程思政的一項重要內容是將馬克思主義哲學方法論充分

運用到課堂教學中，例如結合課堂教學需要，選取同一新聞事件的國內外不同媒體報道文章來對學生進行批判性辯證思維的培養。

其次，可以開展課程跨學科合作，打破思政課“孤立”與專業課之外的尷尬。外語專業教師可以考慮與馬克思主義學院思政課教師合力，共同設計課程內容，輪流上課。例如上海外國語大學馬克思主義學院與外國語學院面向全校開設的“中外時文選讀”課程，精選來自中外有關領導人、主流媒體、著名學者關於中國問題的講話發言、深度報道以及研究文章，分析時文所持的不同立場、觀點、方法及邏輯，培養學生的理性思考和批判意識，特別是如何從中外兩種角度出發、客觀公允看待中外政治、經濟、社會和文化現象。

2. 創新學術研究協同機制，促進跨學科融合組建多語種、跨學科教研團隊，設立協同學術研討機制，產出更多高端學術和課程思政成果，也是當下亟待思考實施的一項重要工作。

很多學校在調動教師進行課程思政積極性方面，也采取了有效措施。江蘇大學外國語學院分“聽說、讀、寫、譯”四條綫充分挖掘各門課程的思政教育資源。對照社會主義核心價值觀和中國文化價值觀，研討小組充分開發思政教學資源。青島科技大學成立“課堂思政”工作小組，並按照學生所學專業分為三個部分，即：小語種、英語以及理論中心，以黨員教師為主體，探索“課堂思政”新模

式，着力打造一批理論功底扎實、影響力廣的教師隊伍。

筆者所在單位，正在努力打破語種界限，推進二級學科之間的合作與聯動，利用語言優勢，聯合學校歐、美研究力量，聯系文學院、馬克思主義學院、歷史文化學院等相關專業，建立相關相近研究方向交叉融合科研平臺，進行文獻翻譯、學術研究和課程思政課例開發，同時助推中國文化對外傳播。可以開展國際教育比較、區域與國別、國際傳播等方向的研究，促進交叉學科成果產出。同時，依托平臺實踐成果，打造理論與實踐相結合的思政“金課”，反哺教學。

總之，外語人才的培養要秉持立德樹人的教育理念，將價值塑造、知識傳授和能力培養融為一體，不斷優化課程設計，潛移默化地培養學生的人文素質，在教書中育人，在實踐中引領學生堅定中國立場，講好中國故事，外語人責無旁貸，更應首當其中，深入理解新文科背景下學科的思政使命，不斷升級提質，合作求變，追求卓越。

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Curriculum Construction Aimed at Fostering Students' Virtue through Education for Discipline of Foreign Languages against "New Liberal Arts" Background

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[Abstract] *The "newness" of New Liberal Arts lies in the updated requirements of the new era, the latest development of science and technology and the new global pattern, and the "emphasis" of it is to construct the training system of higher liberal arts talents with Chinese characteristics. The traditional liberal arts must adapt to and integrate with these new changes. The discipline of foreign languages and literature itself is interdisciplinary and has played a greater role in promoting cultural exchanges between China and foreign countries and enhancing China's national image. Therefore, the direction and the training goal of this discipline should be more consistent with the construction of new liberal arts. As a foreign language teacher, how to guide students to understand and experience western culture while keeping firm their socialist ideals and cultural confidence, and how to achieve the all-round virtue-fostering through foreign language education in accordance with the requirements of "Curriculum Construction Guidelines for Institutions of Higher Learning", is a new proposition worth exploring. Based on the author's research results and the relevant practice of the university where she works for, this paper discusses the possibilities of further integrating the foreign language teaching with students' virtue-fostering education, launching new courses and exploring the virtue-fostering elements out of existing courses, and constructing a specialized virtue-fostering curriculum system of foreign language education.*

[Keywords] *Discipline of Foreign Languages; Fostering Students' Virtue through Education; Student-centered; interdisciplinary*

基于中國慕課的大學英語寫作混合式教學模式研究

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摘 要：大學英語寫作教學中，學生的英語語法一直是短板，寫作水平難以得到有效提高。本文探索采用基于慕課的大學英語寫作混合式教學模式，依托慕課《英語語法與寫作》，采用課前、課中、課後的線上和線下相結合的教學模式，進行兩個學期的教學實踐。通過教學實踐，完善和加強學生的語法知識，提高學生的英語寫作水平。

關鍵詞：英語寫作；慕課；混合式教學；英語語法

一、引言

隨着大學英語教學改革的深入和現代化教育技術的發展，有學者提出“將傳統課堂教學與網絡教學相結合的混合式教學模式才能使學習者獲得最佳的學習效果”（何克抗，2004：37）。將基于慕課的混合教學模式運用于英語寫作教學中，不僅順應教育信息化與高效率教學的要求，而且為大學英語寫作教學的改革提供了新思路。

二、實施基于慕課的大學英語寫作混合式教學的背景

1. 實現“以學生為中心”的教育理念，既能實現線上學習的個性化需求，又能促進線下的合作學習和自主學習。隨着社會各界對應用型人才需求的增加，學生的英語書面表達能力越來越得到重視。目前我院大部分學

生的英語寫作能力欠佳，主要是由英語語法基礎薄弱，經常出現語法和句法錯誤，詞語搭配錯誤等，寫作能力無法得到明顯提高。本文擬利用中國大學慕課線上課程資源《英語語法與寫作》，與線下課堂進行緊密結合。通過個性化的反復觀看課程視頻、閱讀文本、完成作業，進行反芻理解、內化英語語法的相關知識，實現記憶、理解等低階學習目標。線下部分以實體課堂為主，課後互評為輔。學生通過課堂討論、課堂展示、同伴互評、教師答疑等活動，進一步深化、建構和內化核心的英語語法知識，並在寫作實踐中對核心內容進行重構，使學生對英語寫作產生興趣和信心，形成良性循環。

2. 提高英語寫作教學的效率和效果。教師對學生的作文進行逐一批改

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花費了大量的時間和精力，但是效果并不理想，學生在下次的作文中甚至會犯同樣的錯誤，所以這種傳統的教學方式費時低效。采用混合式教學模式，學生可以提前進行系統地并且針對自己的情況學習英語語法知識，為線上課堂的學習效果奠定良好的基礎。同時，教師不再是僅僅給出寫作題目，而是學習的引導者和組織者，組織學生進行討論互評，對語法進行具體反饋，從而激發學生內在學習動機，提高英語寫作教學效果。

三、基于慕課的大學英語寫作混合式教學擬解決的問題

1. 彌補英語語法短板，奠定寫作基礎。目前我院大部分學生的英語語法基礎比較薄弱，英語寫作成績欠佳。對句子成分、短語結構、從句和句子等重要語法點的功能和形式的認知含混不清，嚴重影響了寫作能力的提升。《英語語法與寫作》慕課和線下課堂的結合能幫助學生對英語語法有比較系統的訓練，為英語寫作奠定堅實基礎。

2. 加強英語句法訓練，寫出正確英語句子。目前，學生缺乏一定的句法知識，英語作文中經常出現殘缺句、不間斷句、雜亂句等錯誤句子。“英語語法與寫作”在線課程和線下課堂的結合能加強英語句法訓練，讓學生能夠鑒別句法錯誤，掌握正確的句法規則并能寫出正確的英語句子，為構建英語段落和篇章做好準備。

3. 培養英語思維品質，減少中式英語。由于學生受到漢語思維方式的

影響，經常出現中式英語。包括：詞匯誤用、不必要的重復、簡單句泛濫、主語頻繁變換、懸垂修飾、不恰當的主語等。《英語語法與寫作》慕課和線下課堂的結合能有效培養學生的英語思維，掌握寫作的基本規範、詞語的恰當選擇、句子和段落的寫作規則，減少中式英語表達，最終能夠寫出內容切題、語法正確、表達地道的文章。

四、基于慕課的大學英語寫作混合式教學實踐

1. 教學實踐的思路與框架：2020年秋季學期起，課題組選取大學英語三個班開展為期一年的教學實踐。將優質慕課資源《英語語法與寫作》引入課程教學，通過混合教學模式提高學生的英語寫作水平。在大學英語的第一學期開始教學實踐，通過把所學英語語法知識應用到句子寫作中，幫助學生寫出正確的英語句子。第二學期，通過在句酷批改網上進行篇章寫作練習，使學生能夠對所學的知識進行鞏固和強化。采用慕課資源《英語語法與寫作》和課堂的混合式教學模式，以合作式討論、成果展示與分享等活動，批改網自動評閱、同伴互評、教師反饋等多元評價為核心，開展大學英語寫作教學實踐。

課前——根據教學安排，學生在慕課上觀看課程視頻，進行在線學習，完成作業，同時學生記錄需要討論或解決的問題。課中——教師為主導，學生為主體。教師檢查學生的在線學習情況，學生向全班匯報

自己的學習任務情況、課堂上需要解決的問題。接着學生可以就要解決的問題進行討論，由學生互相解答，教師要適時補充相關的知識點，進行點評，並且利用講解、練習等方式幫助學生掌握和鞏固相關的語法知識。最後，學生根據教師的指導和同伴的意見，運用學習內容來完成一個英語寫作任務。課後——學生完成老師布置的任務，初稿提交到批改網進行自動評價、糾錯並生成評語。學生完成二稿後進行同伴互評，教師進行補充。學生根據同伴的意見和教師的反饋完成文稿的修改。結合線上課程學習內容和線下教師及同伴互動反饋的內容，進一步鞏固語法知識點，使語法知識逐漸內化。通過兩個學期的教學實踐，學生能夠較好地運用英語語法與寫作的基本知識，寫出語法正確、符合英語表達習慣的句子、段落和篇章，從而使英語寫作水平得到提高。

2. 教學實踐的計劃與方案：第一學期開展句子寫作訓練。

(1) 前測：根據慕課《英語語法與寫作》的內容，針對學生的語法短板，挑選出適合學生實際情況的六個單元的內容，布置學生進行重點學習。在學生完成每個單元的線上任務

之前，教師在課堂上安排一次前測。通過測試，檢查和發現學生的語法短板，同時也能夠使學生們對本單元的語法內容有個初步的了解和掌握。

(2) 線上自主學習：根據學生的實際英語水平，安排學生一學期完成慕課《英語語法與寫作》中的六個單元的內容，包括觀看課程視頻、安暢線上作業和測試。學習內容如下：

(3) 後測：在學生完成每個單元的線上任務之後，教師在課堂上進行一次後測。通過以測代練來檢驗學生的學習效果，根據測試情況，再針對重點和難點進行講解。

第二學期開展篇章寫作訓練。

本學期內，學生需要在句酷批改網上完成5篇定題作文，主要是通過篇章寫作，綜合應用所學的英語語法知識，從而使語法知識得到進一步的鞏固和內化。作文評閱是非常重要的反饋方式。混合教學模式下的學生初稿提交作為自動評閱系統“句酷批改網”進行自動評價、糾錯並生成評語。數字化評價系統能夠幫助學生處理詞匯、語法、搭配和句子結構等錯誤，學生完成二稿後進行同伴互評。同伴互評是學生身份轉化的階段，學生從全新角度審視不同構思方式和寫

學習內容	學習時間
Unit 1 Subject and Verb	5-6周
Unit 8 Participial Phrases	7-8周
Unit 10 Gerund and Absolute Phrases	9-10周
Unit 11 Adjective Clauses	11-12周
Unit 13 Subject Clauses and Predictive Clauses	13-14周
Unit 14 Object Clauses and Appositive Clauses	15-16周

作方法，在糾正他人習作的同時發現自身存在的類似錯誤，或者在閱讀他人作品時借鑒其閃光點，從而主動完成知識構建。

3. 教學實踐的成果與反思：基于Chandler (Chandler, 2003: 267) 的錯誤分類方法以及批改網能識別的錯誤類型，以三個班共80個學生所提交的學期初完成的第一篇作文和學期末完成的第五篇作文為例，把語言錯誤分為中式英語、詞匯、語法和規範性錯誤（拼寫、標點、大小寫等）進行分析。四類錯誤分別在第一篇和第五篇中出現的次數如下：

由此可見，經過混合式教學模式訓練後，學生在作文中所出現的語言方面的錯誤次數有明顯的減少。同時，根據批改網的分數統計情況，學生的第一篇作文平均分數為74.32分，第五篇作文的評價分數為80.56分。學生的寫作成績有了明顯提高，說明混合式教學模式對提高學生的英語寫作水平的提升有一定的促進作用。

五、結語

混合式教學模式對於提高學生的英語寫作水平有很大的促進作用，但

是在教學實踐中，我們注意到，在綫自動評分系統還存在弊端，同伴互評由于英語基礎和寫作水平的制約，反饋存在一定局限性，因此，混合教學模式中的作文評價依然離不開教師評價。教師在終稿評閱的基礎上，找出寫作中存在的共性問題，結合作文自動評閱系統和師生反饋，實現教學動態評價，使大學英語寫作混合式教學模式更加體現系統性和完整性。

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	中式英語	詞匯錯誤	語法錯誤	規範性錯誤
第一篇	325	432	2801	52
第五篇	98	95	72	51

The Exploration of the Blended Teaching Mode of College English Writing Based on MOOC

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[Abstract] *In teaching college English writing, teachers may find that English grammar is the major obstacle so that it is difficult for students to improve English writing effectively. This essay will focus on improving students' writing by blended teaching mode based on MOOC, English Grammar and Writing. Through one-year teaching practice, students English writing is expected to become better.*

[Keywords] *English writing; Blended teaching; MOOC; English grammar*

泛在網絡環境下英語口譯多元化教學模式探索——以一個子單元教學爲實例

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摘 要：現代網絡信息技術在英語教學中的廣泛應用，極大地促進了教學創新及教學效果的提高。英語口譯，作爲一門綜合性強、涉及面廣，極大提高學生實踐能力的課程，應充分利用泛在網絡環境和信息技術，搭建多樣化的口譯教學平臺，以實現全面提升學生口譯能力的教學目標。

關鍵詞：泛在網絡；口譯能力；教學模式

一、引言

作爲外語專業技能類課程，翻譯課程的教學是達到外語教學基本目標與測試語言技能熟練程度的一種手段，但同時也訓練並培養着學習者的基本翻譯技能與素養。因此，外語專業翻譯教學應該是以語言教學爲目的的“教學翻譯”向以翻譯技能培養爲目的的“翻譯教學”之間的過渡（劉和平，2001）。

口譯課作爲英語專業高年級的必修核心骨幹課程，爲應用型人才的培養、學生專業知識及實踐能力的拓展，奠定堅實的基礎。該課程是英語專業課程體系中綜合性最強、涉及面最廣、對學生實踐能力的培養效果最顯著的課程，該課程的教法極大程度上关系到英語專業人才培養的質量。

口譯能力的提高必須循序漸進的通過大量的口譯實踐才能得以實現，

因此，口譯教學的重心應該轉向對口譯過程的關注、並加強實踐教學，這就要求教師實現對學生口譯過程的量化管理與監控，因此口譯教學就要充分利用“互聯網+時代”的泛在網絡環境和信息技術，搭建多樣化的口譯教學平臺，以培養適應時代要求的實用型口譯人才。

二、口譯教學的現狀

隨着國際交流的日益頻繁，對口譯人才的需求促使全國諸多院校開設了口譯課程，包括交替傳譯、商務英語口譯、旅游口譯、專題口譯等課程。但筆者從事高校英語專業口譯課程教學工作已有十餘年，不停反省口譯教學過程中存在的諸多難以解決的問題：1）應用型本科院校因其自身特點決定了學生語言水平一般，學習難度大，而口譯課程要求學生的綜合語言能力程度較高，這就導致

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一部分學生畏難，影響口譯技能的訓練；2) 在課程設置上，該課程一周2節課，一學期共32課時，課時嚴重不足，導致學生難以將理論知識應用到實踐中去，口譯實踐能力得不到提高；3) 學生自主學習能力差，習慣了課堂的填鴨式教學，在口譯課堂上主動性不強；4) 因課時少，教師力求在課上多講解，這就導致了口譯課堂模式依然是教師為中心，學生難以將被動學習轉為主動學習；5) 評估手段單一，沒有做到平時監管與期末評估相結合，導致不擅長考試或心理素質不佳的學生得不到公正的評價。

而泛在網絡環境下的口譯教學模式有效的為以上難題提供了解決途徑。泛在學習 (Ubiquitous Learning) 這一概念源于泛在計算 (Ubiquitous Computing), 最早由美國科學家 Mark Weiser 于 1988 年提出，旨在將計算機通過微縮技術植入每個事物中，這樣就可以通過計算機和無線通訊網絡，無所不在、隨時隨地為人們服務。泛

在網絡 (Ubiquitous Network), 即是指使人置身于無所不在的網絡之中，實現人在任何時間、地點、使用任何網絡與任何人與物信息交換的一種網絡通信方式 (張平, 2010)。

這符合《高等學校英語專業教學大綱》(2000) 中提出的教師應積極採用現代的、多元的全方位的教學模式，在充分利用原有的電教設備的基礎上，探索和開發計算機輔助教學，為學生提供一個更加靈活、方便使用和廣闊的學習和實踐的空間的觀點。因此教師有必要在信息技術的支撐下不斷的探索口譯教學的改革與研究。

三、具體教學實例

本次課程的線上學習通過超星平臺提供我校的網絡教學綜合平臺進行。

1. 子單元教學設計 (表1)

2. 教學過程

教學過程圍繞譯前準備+成果展示+譯後評估+鞏固練習展開，即成立學習小組—提出問題—教學實施—成

1. 子單元教學設計 (表1)

單元名稱	接待性口譯		
學生年級	2018 級	課時2	
教學內容分析	口譯技巧 (信息分層) + 主題性口譯 (接待性口譯)		
教學目標	1) 掌握口譯中“信息分層”的原則和概念，了解不同信息的不同價值，能够綜合運用口譯中“信息分層的技巧”； 2) 了解接待性口譯的工作內容，包括如何進行迎來送往、接待入住、宴會招待、禮儀致辭口譯工作等； 3) 掌握接待性口譯的常用表達，并在大量練習中不斷豐富相關表達。		

果展示—總結反饋進行，以先練後講、先學後教的模式展開。

(1) 譯前準備（線上）

網絡作為教學中獨立于教師和學生中的第三方，為師生之間的交流起到了橋梁的作用。並有效的解決了口譯課時少的問題。課程組教師將口譯理論與技巧的學習提前成微課或慕課視頻，發布在超星平臺上，並根據視頻內容設計測試問題、發布討論問題、布置練習內容，教師可在後臺隨時觀測到學生的學習狀態，對學生的學習起到監督的作用；同學之間也可以通過討論問題框進行交流，分享對問題的理解和看法。

(2) 課上成果展示（綫下）

“教學是擁有教學理論素養的教師與學生進行溝通的文化”，師生之間有效互動有助於學生提高學習熱情，網絡手段的融入也為課堂提供了

新生的力量。在本次課堂教學中，學生根據教師在線上平臺提前布置的慕課視頻學習信息分層技巧，並完成超星平臺發布的作業及時做出信息分層結構圖，並上傳到作業欄，教師可利用線上平臺查收學生作業並進行批注。同時學生利用網絡資源查閱關於“接待性口譯”相關表達制作用于課堂展示的PPT，通過QQ、微信等媒介傳給老師，經老師反饋後再進行課堂展示。

(3) 課後作業（線上）

本次課後作業的目的以鞏固所學表達為主，教師要求學生完成教師在超星作業庫中發布的音頻、視頻，並以小組為單位錄制音頻或視頻，並及時回傳到作業庫；同時要求學生關注口譯公眾號，更新時事新聞，學習相關表達，進行日積月累。

3. 評估手段

表2：譯前準備（線上多種平臺活動設計）

教學內容	教師活動	學生活動	設計意圖
一、譯前準備：提出問題、創設情境、導入新課	錄制並發布慕課視頻、提出問題、導入新課： 1. 布置學生在超星平臺上提前觀看老師發放的關於“信息分層”技巧的慕課視頻，完成測驗，總結信息分層技巧，進行自主練習； 2. 要求學生根據本課主題“接待性口譯”利用互聯網查閱相關資料，並進行課文語言點的預習和提煉。	確定小組合作目標：（獨立學習+合作學習法） 1. 觀看超星平臺網教師發布的“信息分層”慕課視頻，完成老師的檢測作業，並進行小組內的成果探討； 2. 利用互聯網查閱“接待性口譯”主題的相關資料，找出“接待性口譯”的相關表達，在QQ或微信群內進行分享、探討、補充，形成完整的課件。 3. 小組商定成果展示的項目（如機場迎賓、賓館入住、宴會接待、城市觀光、宴會致辭等），成員按相應的角色準備任務。	帶着問題導入新單元，使學生對口譯主題感興趣，以積極的心態通過查閱資料完成相關主題的譯前準備。

表3：成果展示（綫下課堂活動）

教學內容	教師活動	學生活動	設計意圖
二、成果展示：技巧學習反饋+小組項目展示	<ol style="list-style-type: none"> 對學生的技巧匯報進行點評，並對課前“信息分層”技巧熱身練習的學生成果展示從信息價值、信息結構方面進行反饋，以多媒體課件總結並教授學生口譯員是 如何在頭 腦中畫出 mental map的。 要求學生展示預習作業中關於接待性口譯常用表達的總結歸納，並進行點評反饋，幫學生分清哪些是有用及常用表達。 組織各小組將課前確定好的接待主題及按角色分工完成準備的相應任務與課上學習總結的內容相結合並進行再次修改、編輯、演練。 教師深入到學生中間，回答學生在準備過程中的問題，並組織學生進行項目展示。 	<ol style="list-style-type: none"> 回答課前導入問題、總結信息分層技巧、說出聽辨思路，能够大體復述或口譯練習文本。 匯報在預習課文及查閱課外材料中所總結的“接待性口譯”主題相關表達，並能够用相關表達進行即席造句和演練。 梳理課上總結的接待性口譯常用表達，使口譯場景模擬的更加真實，口譯表達更加地道。 各小組按照所分配角色進行選定主題的成果展示。 	<ol style="list-style-type: none"> 如何分清不同信息的不同價值，是聽辨理解和口譯輸出的基礎。因此，此部分的教學是本次教學的重點和難點。通過成果的展示，強化了學生的語言能力提高課堂參與度和積極性，也增強了團隊合作能力、臨場應變能力。

貫徹“過程性評價與終結性評價相結合”的評價體系，重視學生過程學習，考核方式設計合理，可操作性強，有推廣價值。過程性評價由5次階段性評估（每次20%）構成，共占期末總成績的30%。評價主要集中在線上學習情況（30%）；作業展示情況（30%）；課堂提問情況（20%）；課後拓展項目（20%），重點考察

學生對單項口譯技能的階段性掌握階段；終結性評價為綜合性期末口試，占期末總成績的70%，由教師完成考試前的錄音，結合課本和課外材料，模擬真實的口譯場景，從知識、技能和心理能力對學生的整體學習情況進行綜合評定。

四、結語

無所不在的網絡環境，更加便利的

表4：總結反饋（綫上鞏固練習）

三、鞏固練習：布置作業—課、內外材料鞏固練習	<ol style="list-style-type: none"> 教師在超星平臺作業庫中布置“接待性口譯”相關音、視頻，要求學生錄制自己的口譯音頻或視頻，並上傳到超星作業庫。 教師要求學生關注口譯類的應用和公眾號，找到相關主題的時事報告，例如“國家主席會見他國領導人的講話致辭、外國元首的節日致辭”等材料，學習相關表達，進行日積月累。 	學生按要求完成作業，從而鞏固本節的學習內容。	學生在課下作業中鞏固本節所學內容，並通過每節課後對時事材料的閱讀查找，養成關心時事的習慣，並能就熱門話題或專題進行口頭介紹和闡釋。
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將有限的課堂時間延伸到無限的網絡空間，泛在技術使學生真正實現在任何地點、任何終端設備便捷的獲取更新的學習資源，享受泛在的學習服務。

泛在網絡環境有助于教師們徹底打破課堂內容囿于課堂時間的限制，普適計算環境的及時支持使學生的學習需求隨時得到滿足，這有效的鞏固并延伸了口譯課堂教學的效果。

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An Integrated Approach to English Interpreting Teaching in the Ubiquitous Network Environment --As Seen from One Teaching Unit

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[Abstract] The widespread use of modern information technology in English teaching has greatly promoted innovation and effectiveness of classroom teaching. English Interpreting, as one of the most comprehensive subjects, has significantly enhanced students' practical ability with its extensive content. Therefore, teachers of English Interpreting should make full use of ubiquitous network environment and information technology, and create a multi-faceted interpreting teaching platform, so as to exert a positive influence on the enhancement of students' interpreting skills in an all-round way.

[Keywords] Ubiquitous network; interpreting skill; Teaching model

皮亞傑知理論視域下高中英語教學 重難點設定研究

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摘 要：教學重點和難點的設定即是教學設計的關鍵環節，也是衡量教師教學效果的一把標尺。在各類教案設計與真實課堂中，常見教學重點難點混淆不清、界限不明等情況。本文從皮亞傑認知理論的視角，以同化的概念解釋重點的設定，以順應的概念解釋難點的設定，結合人教版必修三第二單元課文為例進行闡釋，提出結合現代技術從“文本”“試卷”和“學生”三個方面突破重難點的建議，旨在為教師把握重難點提供理論視角並提高教學的有效性。

關鍵詞：認知理論；重難點突破；同化；順應

設定教學重點和難點，是教師們難以回避的問題。重難點設定的重要性不言而喻，提高課堂教學效率的前提是教師能夠準確把握每一節課的“教學重難點”。英語教師在一堂課內即要達成知識、技能、目標，又要兼顧學生創新意識、科學素養、批判思維等能力的培養，時間緊、任務重的情況下，還要講通講透重點、帶領學生突破難點，這讓教師們陷入教學困境。因此，教師如何厘清、區分、設定和突破重難點，就顯得尤為重要。

一、教學重難點與認知理論

1. 重點與難點

教學重點指的是在整個知識體系中處於重要地位、承載重要技能、或傳達重要思維質量的教學內容（趙國忠，2009：35）。英語教學的重點多

指教學中重要的基本概念，如定語從句、現在進行時表將來等語法點及構詞法等，或是聽說讀寫相關的基本技能等。講解重點會消耗老師較多精力和時間，必要時輔以現代工具或多種方式把重點講通講透，使學生能牢固掌握。教學重點區別於難點的地方在於教學重點基於文本和教材(text-based)，是客觀存在的。而教學難點則多指向學生(learner-based)，學生當前的認知水平難以理解或掌握的內容就是難點所在。例如命題、數理邏輯、概括等綜合性和抽象性較強的內容。教師在界定難點時要了解學生是否有相關知識基礎，背景經驗是否充足，像內容抽象、思辨性強、態度判斷、價值觀轉換等相關內容都將是教學的難點。

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2. 皮亞杰認知理論

皮亞杰認知理論包含組織(organization)、同化(assimilation)、順應(accommodation)和平衡 (equilibrium) 等核心概念，他認為認識和學習是主體與客體環境之間的相互作用產生，並在行為主義的SR模式基礎上進行改進，提出S(A)R模式。S是刺激，R是由刺激產生的特定反應，A是適應或調節。在SR之間，主體不是機械的做出反應，而是依每個個體自身的背景知識和特點經過同化或者順應而做出反應(王憲鈿, 2007: 3)。在這個過程中個體本身具備的圖式是這一切的基礎，個體在同化、順應兩種作用中自我調節，做到主體與客體之間的平衡，就是對外界環境的適應過程。

二、皮亞杰認知理論視域下的重難點設定

皮亞杰認為知識或技能的獲取是同化、順應或平衡的過程，教學的重難點便出現在同化或順應的過程中 (David, 2009: 54)。實際教學過程中，學生因已有圖式的不同，同樣的知識點對某些學生而言是祇要同化就能吸收的重點，而對另外的學習者

可能需要重組建構來適應或順應的難點。因而重難點要分開闡釋，下文將以同化概念分析重點的設定，以順應概念闡述難點的設定。

1. 基于皮亞杰認知理論的重點設定

教學的重點和難點與學生的認知結構的關係，在於學生已有知識圖式與新內容之間的矛盾和兼容模式。如果新知識能夠納入已有知識結構即已有圖式，從而擴大和豐富原有知識結構，那麼就產生同化 (Christian, 2008: 9) 通過同化直接納入已有知識結構的新知就是重點所在 (如圖1)。

例如 Come and eat here文本中，講述了身材臃腫的Wang Peng與苗條的Yong Hui兩人開的肉食重口味餐廳與素食餐廳從競爭到友好合作的故事。倡導的是一種葷素搭配，濃淡相宜，健康均衡飲食的生活觀和飲食觀。重點設定就應該充分考慮解決關鍵字組，為學生掃清閱讀理解障礙。

語篇中Diet, get away with, consult, lie, discount, 及從句和長句等表達就可以考慮設置為教學重點。教師基于該文本的重點設定，就可以立足于對

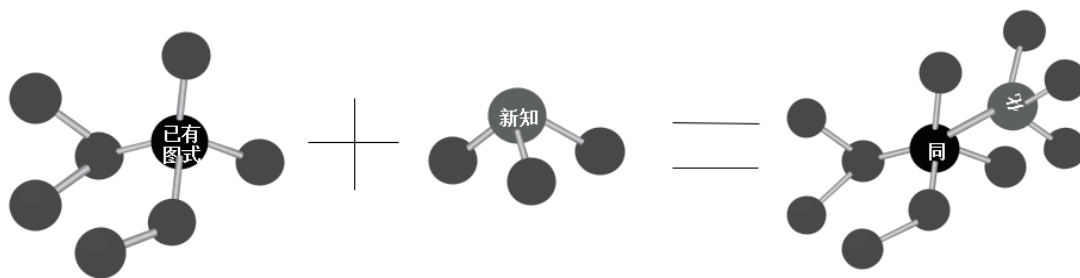


圖1. 基于認知理論的重點

單元	閱讀課文	學習者已有圖式	同化知識（重點）設定
Unit 2 Healthy eating	Come and eat here	了解文本中提到的食物的基本特點，能够區分健康食物和垃圾食品。	在學生能够區分健康食品與不健康食品，拓展energy-giving food、fabric food以及junk food三類食物相關知識，讓學生明白合理的攝入不同類型的食物才是健康的飲食。

比兩種不同飲食生活習慣對健康的影響，通過小組活動引導學生對比、分析、批判，并整合Wang Peng和Yong Hui兩人的飲食理念的優點與不足，將兩者進行整合給出建議，培養學生正確的飲食觀念、發展學生理性而批判的看待問題的重點就巧妙達成。但教師應避免過渡依賴文本，從微觀層面上吃透文本和知識點，也要從單元小循環到必修系列或全冊的宏觀大循環中把握內部邏輯來定位和解決重點。

2. 基于皮亞杰認知理論的難點設定
教學難點的設定主要是基于學生的認知層面。那麼教學難點的產生，主要在于學生原有認知結構與學習新內容之間的矛盾中衍生。順應是對學生舊有的知識結構進行了改造和重構（Christian, 2008: 10）。當新知識未納入已有圖式，而是已有圖式被新知識轉化，組合成新的圖式，順應就產生了。從教學層面來看，通過順應掌握的知識點就是難點所在。

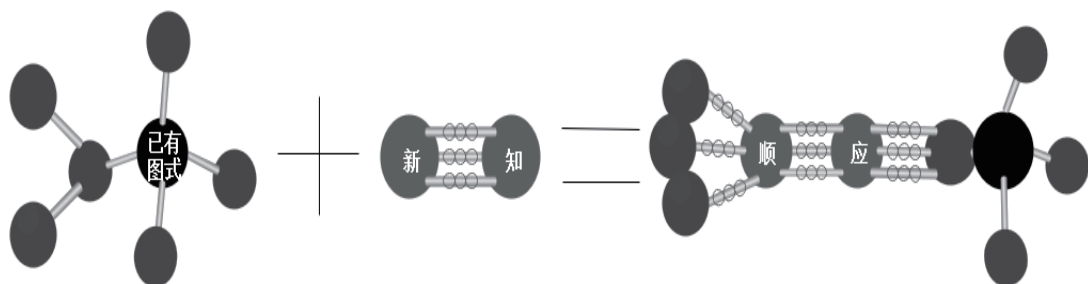


圖2. 基于認知理論的難點

同樣以Come and eat here為例，教師可基于學生已有圖式，即對健康飲食和食物特徵的基本把握，以Wang Peng 和Yong Hui兩人餐館的功能表之間的不同，進行逐級對比，逐步引領學生去比較不同，發現文本中矛盾所在，在角色對比和討論中超越文本表層理解，甚至能够達到深度理解文本。

單元	閱讀課文	學習者已有圖式	順應知識（難點）設定
Unit 2 Healthy eating	Come and eat here	學生對健康飲食和不健康飲食已有基本的概念和理解。但不明白作者意圖，以及Wang Peng和Yong Hui的故事之外的意義。	Reading for conflicts between Yong Hui and Wang Peng, know how to deal with the conflicts when a problem arises.

最後讓學生討論生活中遇到問題或產生矛盾時，如何通過分析、觀察、對比、思考等思維去分析矛盾以培養學生問題解決的能力。在這個過程中，因學生已有的圖式中並沒有對應的生活經驗，是在教師引導下對同一篇文本形成了新的認識，形成新的圖式。這個過程所產生的變化就是順應，也就是難點解決的過程。

三、如何突破重難點

重難點的設定決定了一堂課的整體設計，重點難點的突破可以說是一堂課成敗的關鍵。為提高教學效率，順利突破重難點，教師可從以下三個方面着力。

1. 深挖教材，文本角度找重點

教師首先要熟悉教材、吃透教材和深挖教材，從單元整體設計上理解知識點的邏輯關係來宏觀的定位重難點。人教版高中英語的必修、選擇性必修、選修系列是相互關聯的系統性大循環，教師要從整體上把握知識的邏輯關係，引導學生組織知識的遷移以促進新知的構建。在新知與舊識相似的地方，突出共同點，促進同化的產生；在新知與多個舊知共通的地方，找好連接點，搭建支架，引導學生達到支架頂端，促進同化或順應的產生，從而步步突破，達成重難點。

2. 解析高考評價體系，分析試卷找重點

高考試卷是“風向標”式的存在，教材的取捨和重點的設定取決於對考點的剖析和把握。高考影響教師的教學，並對教學起着“指揮棒”的

作用（董連忠，2014：59）。教學重點和難點也必然依托試卷，而試卷又依托高考評價體系。因此，教師也可參考高考評價體系“一核”“四層”“四翼”等要求，有依據的進行重難點設定。

3. 現代技術智慧教學，學生角度破難點

教師要備足學生，並根據學生實際和學情的深度分析和把握，考慮認知水平和學生差異，合理設定重難點（趙國忠，2009：35-39）。在準確把握學生的認知發展水平和已有經驗基礎上，教師可靈活利用平板、計算機、投影等現代多媒體技術，結合語料庫、慕課、希沃、翼課app教師版和翼課app學生版輔助教學，並利用微課視頻資源等精準解決疑難點。這樣，既能夯實知識與技能、又能兼顧思想與方法的培養和發展。通過多種管道創新教學方法，升華重點，解決難點，將新課程標準、教材以及現代教育技術三大元素結合來順利突破重難點（趙國忠，2009：39）。

教學重點和難點的設定，是教師不可回避的問題，也是教學設計和教學環節中的重要一環，它關係着教學效果的好壞和學生學習層次的深淺。而認知理論對學習與認知的闡釋，讓教師更好的把握學生現有的認知水平，在正確的把握學情和研讀教材的基礎上，精準而恰當的設定適合學生認知特點和認知水平的重點、難點。

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A Study on the Setting of Senior English Teaching Key Points and Difficult Points from the Perspective of Piaget's Cognitive Theory

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[Abstract] *The setting of teaching key and difficult points is not only an essential part in instructional design, but also a yardstick to measure teachers' teaching effect and teaching quality, which reflects teachers' teaching ability and their interpretation of teaching materials. In various instructional designs, open classes and real classrooms, there are common problems such as unclearness of boundaries and mixture of key points and difficult points in teaching. From the perspective of Piaget's cognitive theory, this article uses the concept of assimilation and adaptation, combining with examples from NSEFC to explain the setting of key points and difficult points. The article also gives advice for breaking through the key and difficult points from three aspects, including the text, the examination paper and the learners, which aims at providing a theoretical perspective for teachers to grasp the key points and difficult points so as to improve the effectiveness of teaching.*

[Keywords] *cognitive theory; break through the key points and difficult points; assimilation; adaptation*

英語專業線上翻轉課堂與傳統課堂 學習投入對比研究

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摘 要：本研究以學習投入理論為框架，通過問卷數據分析與半結構化訪談，對60名英語專業高校學生進行了調查，得出線上翻轉課堂對學生的學習投入產生積極影響，並通過進一步探究其背後的原因以及提出參考意見，致力於發展多樣化的英語專業課堂教學模式，進而提升英語專業學生的課堂投入程度。

關鍵詞：翻轉課堂；學習投入；英語

一、引言

1. 研究背景

在這個信息化時代，互聯網及相關技術使得學生們獲取知識的渠道日益多樣化。近年來，為順應時代發展需要，傳統課堂不斷改革，翻轉課堂成為一種新型教學模式。翻轉課堂創始人是可汗學院薩爾曼·可汗，在為其表妹講解數學題時采取了錄視頻講解的方式，其表妹認為這種方式十分有效。于是，可汗將可汗學院與傳統課堂教學相結合，在線學習用可汗學院，線下根據學習數據與進度設計翻轉教學（付艷麗，2020）。國內在2011年以前很少有人關注翻轉課堂。2012年僅有16篇文章對翻轉課堂進行相關研究；2013年，相關研究論文數量已多達125篇，增長速度驚人。“翻轉課堂”教學形式融合了當代教育發展國際化、信息化和個性化

的三大特點，以其移動、開放的特點，悄然變革着傳統課堂教學結構。根據前述對國內外翻轉課堂研究領域的分析發現，翻轉課堂作為近年來教育行業的熱門話題，引起了更多學者的關注，因為一些學校已經通過實踐驗證了其可操作性。然而，與西方國家相比，我國在翻轉課堂領域的研究起步較晚。雖然我國對翻轉課堂在理論研究與實踐研究方面都有很高的關注度，但目前的研究還不夠深入，仍處於探索階段。目前國內翻轉課堂的研究多集中于中小學、大學英語，英語專業的相關研究較少。且翻轉課堂與傳統課堂的對比研究更少之又少。更重要的是，理論研究的數量遠遠多於實證研究，研究方向主要集中在教師角度。關於翻轉課堂模式下學生學習參與度的研究幾乎沒有。鑒於國內對翻轉課堂教學模式中英語專業學生

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課堂學習投入的實證研究相對較少，本研究旨在研究翻轉課堂教學模式中大學英語專業學生的課堂學習投入與傳統課堂的教學模式中大學英語專業學生的課堂學習投入的對比（以東北地區某高校英語專業的翻轉課堂為例），進一步完善翻轉課堂理論，為翻轉課堂模式下英語專業的教學提供建議和策略。

二、文獻綜述

1. 翻轉課堂

翻轉課堂(Flipped Classroom)的思想與實踐起源于美國，由美國林地公園高中兩位化學老師喬納森·伯格曼(Jonathan Bergmann)和亞倫·薩姆斯(Aaron Sams)在2007年提出，他們將結合實時講解和PPT演示的視頻上傳到網絡供那些因故不能上課的學生補習功課而引起關注(管思怡，2016)。翻轉課堂以其“以學生為中心”的教育理念、靈活的教與學的方式、關注學生個性化與全面化發展的思想，受到越來越多教育工作者的青睞。翻轉課堂將學生與老師的決定權對調，強調學生的主動權與積極性，老師作為知識授予者，可以讓學生自行學習屬於單向傳授的知識，將面對面的時間用于解決個別問題。而在整個教學過程中，讓學生主動地去了解、探索問題及深入思考，才能真正地讓學習深化，而所培養的自主學習態度也是一切創新研究的根本。這種教學形式融合了當代教育發展國際化、信息化和個性化的三大特點，以其移動、開放的特點，悄然變革着傳統課堂教學結構。

自2011年翻轉課堂理念傳入我國以來，國內對於翻轉課堂理念模式也已開展了研究，並初顯成效。國外對於翻轉課堂的研究主要有：翻轉課堂的理論介紹(Lage & Platt, 2000; Bergmann & Sams, 2012)，翻轉課堂與傳統課堂的對比研究(Strayer, 2012)，教師角色探討(Adedojia, 2016)。除此之外，美國林地公園高中、可汗學院、河畔聯合學區、哈佛大學等翻轉課堂實踐學校，也都在實踐的基礎上構建了自己的模式，以被人們所熟知。自2011年翻轉課堂理念傳入我國以來，國內對於翻轉課堂理念模式也已開展了研究，並初顯成效。國內研究主要有：模式設計與構建研究(張金磊 張寶輝 王穎，2012; 胡杰輝 伍忠杰，2014);理論綜述研究(秦煒煒，2013);翻轉課堂對學生自主學習能力(呂婷婷，2016; 張悅，2017)、批判性思維能力(徐海燕，2017)的影響等(曹曉粉，2015)。2020年受疫情影響，大部分高校在2019-2020學年第二學期都采用線上授課的模式。因此，現階段對線上翻轉課堂中學習投入的研究尚不完善。

2. 學習投入

學習投入是指個體在學習過程中表現出來的充沛精力、靈活性以及積極的情緒，是學習者領悟學習本質，沉浸其中的體現。Tyler最早將學習投入的概念帶入到有效教育情境中，將其界定為“任務時間”，他認為學生投入到學習上的時間越多，學到的知識也就越多。Kuh等人將學習投入進一步推廣，並指出教育質量高低的核

心要素就是提升學習者的投入度，同時將學習投入界定為測量學習者投入到有效學習活動中的時間與精力（張琪 武法提，2018）。20世紀80年代 Mosher等最早參與學習投入這一術語的文獻編寫，到Finn基于輟學及完成學業視角對提出“參與—認同”模型的開拓性進展，學習投入一直被視作一個多維概念。Jimerson等梳理了相關文獻中的多個理論模型，對每一個模型和定義進行了分析。研究發現大部分模型抽取的要素可以分類為行為、情感與認知的組合。Jimerson的觀點同樣Fredricks等人的研究所證實。其中學習行為投入指學習者積極參與學習活動與學習任務的行為狀態；學習情感投入指學習者對教師和學校的情感反應和態度；學習認知投入與學習者對學習和教育的理解有關（劉志紅，2014）。基于Fredricks的研究結論，我們從學習行為、情感、認知三個方面為出發點設計了有關綜合英語傳統課堂和線上翻轉課堂學生課前、課堂、課後學習投入的調查問卷。

三、研究方法

本研究采用定性與定量相結合的方法，對英語專業學生在傳統課堂與線上翻轉課堂教學模式下的學習投入情況進行對比研究。

1. 研究問題

(1) 線上翻轉課堂與傳統課堂的教學模式下大學英語專業學生的課堂學習投入是否有顯著差異？

(2) 線上翻轉課堂與傳統課堂的教

學模式下大學英語專業學生在行為、情感、認知投入上有哪些差異以及原因？

2. 研究對象

本研究以東北某高校英語專業2019級兩個班級的總計60名學生為研究對象得出基本數據。這兩個班級的同學，均由同一老師教授過CLI綜合英語課程。

3. CLI綜合英語課程——英國文學作品

為更好地解決我國英語專業學生知識面偏窄、思辨能力偏弱、綜合素質偏低的問題，東北地區某高校在CBI（Content-based Instruction，內容依托教學模式）的啟發下于2006年啟動了系統的英語專業課程體系改革。在CBI的基礎上，常俊躍和趙永青（2020）明確提出CLI（Content and Language Integration）是一種內容與語言融合的教育理念，其漢語可以表述為“盡最大可能、以最合適的方式將目標語用于融合教授、學習內容和語言，以達到多種教育目標的教育理念”，此理念的核心是內容與語言在教育教學中的有機融合，不再人為將二者割裂。英美文學作品課程依托優秀的世界文學內容進行語言知識教學和語言技能訓練，涉及閱讀、練習和活動等多個板塊，不僅有助於提高學生的語言能力，而且還能對學生綜合素質的提升起到積極作用。

4. 研究工具

“大連外國語大學英語專業學生線上翻轉課堂學習投入調查問卷及傳

統課堂學習投入調查問卷”(以下簡稱為“學習投入調查問卷1和2”,見附錄一和附錄二)的樣本均來自東北某高校英語專業2019級兩個班級的60名學生。

“學習投入調查問卷1和2”分別包括20道題,分為四個部分:一是調查對象的基本情況,包括性別,對課程的總體印象;二是調查對象課堂認知投入情況;三是調查對象課堂情感投入情況;四是調查對象課堂行為投入情況。“學習投入調查問卷1和2”所涉及的題目內容大體一致,由於上課模式不同,部分題目的內容稍有改動。

在收集分析問卷數據後,還用分層抽樣的方法挑選了5名同學進行半結構化訪談,以此分析造成兩種課堂模式下學生學習投入情況不同的原因。

5. 數據收集與分析

考慮到疫情當前的安全因素,課題組線上發放與收集問卷。課題組於2020年9月將問卷導入問卷星後通過微信發放問卷。由於事先已與被調查者進行過溝通,收集到的60份問卷均為有效問卷。

本研究採用定量分析與定性分析相結合的方式對數據進行了處理。問卷回收後,首先通過計算每一問題的平均值對比了兩種教學模式中學生學習投入情況的不同。然後通過半結構化訪談了解了造成這種不同的深層原因。

四、結果與討論

1. 學習投入情況

(1) 線上翻轉課堂認知投入較高

根據調查顯示,線上翻轉課堂的班級課堂氛圍的學生滿意度為3.98,高出傳統課堂。由此可見線上翻轉課堂的課堂氛圍比傳統課堂更活躍。數據表明,儘管學生對線上翻轉課堂的滿意度較高,但小組成員討論時的積極性並不像普遍認為的那麼高(學生討論積極性為3.66,低於傳統課堂),這可能與線上討論沒有面對面討論更有直觀的感受,因此不容易激發討論的興趣有關。這與在面向學習雲空間的認知投入量化研究中提出的學習雲空間中師生時空分離特性使得學習主體容易受到外界因素的幹擾,出現學習投入不足、學習效率低等問題相吻合(張曉峰 李明喜 俞建慧 吳剛, 2020)。

(2) 線上翻轉課堂情感投入較高

按照調查結果統計數據,學生對線上翻轉課堂的情感投入高於傳統課堂。線上翻轉課堂提高了學生對綜合英語的興趣,激發了學生的求知欲。也因為線上翻轉課堂的形式多樣,老師的授課活動形式變得更加豐富有趣。據訪談得知,學生們普遍認為課下預習復習和課上討論時,自己具有更高的興致。情感投入高的學生,具有強烈的信心和願望學習英語,對英語學習的必要性和重要性有比較正確的認識,能夠積極主動、認真地進行自主學習(劉曉紅, 2018)。

(3) 線上翻轉課堂行為投入較高

基于 A P T 模型提出的雲平臺翻轉課堂需要學生投入更多學習時間和精力的(張玲雲, 2017)。學生對線上翻轉課堂的行為投入總體高于傳統課堂。因為翻轉課堂將學生與老師的決定權對調, 強調學生的主動權與積極性, 學生在課上會更為踴躍討論交流(線上翻轉課堂的學生討論積極度為4.00, 明顯高于傳統課堂的學生積極度), 有疑問時也會積極尋求幫助, 課下學生會更主動地查找資料進行知識拓展。翻轉課堂通過加深學生對知識的探索和理解, 使得學生更好掌握課堂內容, 從而順利完成課後相關習題。但是據訪談得知, 學生發言積極性受學生自身性格的影響, 與課堂形式無關。所以線上翻轉課堂學生發言積極性為3.34, 與傳統課堂上的發言積極性幾乎一致。受線上授課形式的影響, 部分學生對課堂的重視度明顯降低, 完成老師布置的任務時有所鬆懈。

2. 影響學習投入的因素

(1) 自身

著名的心理學家榮格將人的性格分為外向型和內向型這兩大類。在課堂上, 內向型性格的人更為安靜, 甚至有的會刻意回避老師的眼光(于飛飛, 2017)。但是內向型性格的人一旦回答問題, 他們的回答準確率相較于外向型性格的人要高。他們對於課後的學習投入更高, 因為他們能更好地制定目標並努力完成。而在課堂

上, 外向型性格的人往往表現更加地活躍, 雖然積極回答問題, 但是回答準確率却不及內向性格的人。

其次, 大學生如果從學習環境中得到更多的積極感受支持, 可以提高對學習的滿意度, 增強學習興趣, 更有助於其學業的完成。在考慮到學生的學習興趣時, 研究發現學生對某一學科的興趣與學習投入和課堂表現密切相關。學生對某一學科有興趣, 就會持續地專心致志地鑽研它, 從而提高學習效果, 表現出良好的學習投入(金牧羊 甘雨, 2019)。翻轉課堂教學法將課堂主動權交于學生, 通過學生共同探討問題、解決問題, 減化了綜合英語課本中文章的理解難度和認知難度; 通過思維碰撞, 增強課堂趣味性, 從而大大提升了學生學習綜合英語的興趣, 形成良性循環, 提高學生的課堂積極性和參與度, 以及深入探索文章汲取知識的渴望。

此外, 學生對課堂的專注度會直接反映出學生對這門課的學習投入。學生對課堂的專注度越高, 說明其對這門課的學習投入越多。與以教師為主體的傳統課堂不同, 翻轉課堂更關注學生主體, 以學生為中心。在線上翻轉課堂中, 老師會將預習任務提前發給同學, 課上也不再是老師講、同學聽的單調模式, 同學們在課上以小組為單位積極討論預習的內容, 討論結束後再和同學們分享。

有趣、有內容、有深度、有思考的課堂才能抓住學生的注意力, 避免學生身在課堂, 心在課外(劉孝利, 2019)。

由此可見，學生們爲了跟上老師講課的進度、更好的回答老師的問題，對課堂更加專注、更加投入。這種課堂模式使同學們積極參與課堂活動，在課堂中的專注度和對課堂的參與度大大提升。

學生自身的性格、對課堂的興趣度和課堂關注度都是影響學生學習投入的重要影響因素之一。因此，在課堂上，外向型性格的人往往表現積極，如果該同學對此課堂更有興趣，將會大大提升課堂參與度，進一步融入課堂，從而達到更好的學習效果。翻轉課堂通過將課堂主動權交予學生，打破原有的“填鴨式”教學模式，使學生們的個性得到充分展現，達到更好的學習投入效果。

(2) 同伴

積極的協作學習不僅能使學生主動參與，還能鼓勵學生在分享集體智慧成果的同時，找到最佳的解決方案。黃教授(2002)在“協作學習中的動機因素”一文中論證了協作學習可以促進學生之間的動機和學習成績的觀點。目前，協作學習已被廣泛應用於課堂教學中。

與個人獨立思考相比，小組或雙人討論是學生更樂意選擇的方式。小組運用正確的、具體的策略，有促進每個成員的積極性，增強他們的群體意識，獲得更多的技能，進一步提高學習成績的作用。

此外，小組中的同伴的積極性與其他同學的表現有着密不可分的關係。在本研究中，“如果小組成員討

論積極，我的積極性也會提高”這一問題的均值爲3.88分，高於中等水平。結果表明，一個小組中同學的主動性和貢獻度會影響其他學生的積極性，從而影響學生的參與度。

在問及小組成員的選擇時，大多數學生都傾向於和比較活躍、精力充沛的同學在一起，這是他們首要考慮的因素。其他特徵如小組成員的親密程度和熟悉程度，起到其他決定性因素的作用。雙方的了解和熟悉程度會對互動過程和結果產生較大的影響，這一結果與Kang(2005)和曹建國(2006)的研究結果一致。

彼此比較熟悉的學生，會以小組活動爲契機，深入了解同伴，包括他/她的有趣經歷、某些問題的見解等。另外，結果表明，當需要與其他對子或小組競爭時，每個成員都會積極承擔各自的責任，相互配合，盡自己最大的努力爲個人和同伴贏得榮譽。成員們熱情投入，積極參與，在一輪一輪的互動中，一方面，學生可以繼續討論話題，保證課堂任務的順利完成，另一方面，親密積極的互動也進一步加強了他們之間的親密關係（Gan等，2008）。因此，在課後的學習中，每個小組成員也會有更多的機會交流學習經驗，交換學習資料，共同參與學習活動（如英語角、英語演講比賽等），這在訪談中也得到了證實。

學生對課堂上小組互動的看法也與以往的小組/對子合作學習經歷有關。研究表明，小組合作學習可以促

進語言學習參與度 (Storch, 2002)。結果表明，有過成功的小組合作學習經歷的學生態度積極，因而參與度高，而經歷過不成功的合作性學習的學生態度消極，參與度低。

因此，教師需要對學生在小組互動中的表現進行監督，在開展小組/對子合作學習之前，更需要對學生進行小組互動策略的訓練。

此外，同學的能力水平、性格等因素也會在一定程度上影響學生參與度的發展。如有學生提到：“有時我的伙伴太沉悶了，我積極地和他（她）聊天，但他（她）似乎對我說的話不感興趣。過了一會兒，我就失去了興趣，不再說話了”。

小組有助於促進學生合作學習，小組成員是翻轉課堂下學生學習參與度的重要影響因素之一。因此，活動需要通過促進學生主動、深入、多維度的合作來提高學生綜合素質的發展，從而打破傳統教學中“知識掌握”的目標，真正確深化以“學生素質發展”為中心的導向。

(3) 教師

課堂上師生之間的積極互動能更好地激發學生的參與意識。大部分學生願意在課上和課後向老師諮詢。根據訪談，大部分學生表示，老師的表揚和積極的反饋會讓學生更加努力，對這門課程投入更多的精力。

“老師的表揚和鼓勵給了我更多的底氣，所以我會努力把話說得更清楚、更響亮，多想辦法補充一些細節。” (學生4)

“老師用自己的生活經驗幫助我理清思路，開闊視野，激發我的學習興趣。” (學生3)

很多學生表示，通過教師的積極反饋，他們在英語口語方面獲得了比以前更多的自信。

五、結語

本研究運用問卷調查對英語專業學生在翻轉課堂教學模式和傳統課堂下學習投入進行了全面的對比和研究。研究結果表明，本專業學生對翻轉課堂的認可度很強，在翻轉課堂教學模式下學習投入度也很高。但目前，國內對翻轉課堂的研究尚不全面。因此，高等院校應豐富英語課堂教學模式，提供翻轉課堂教學模式，使學習者們能夠深入語言學習探索背景文化知識，全面提升聽說讀寫技能及交際技能。此外，應加強師資隊伍建設，為學生提供更優質的教學環境，教師團隊自身要不斷學習新技術、新思想，做信息化時代下的學習型教師。

我們的研究仍有改進的餘地。首先，參與者的數量很少(N=60)，因此研究所得結論可能無法推廣到翻轉課堂下的所有學習。其次，觀察次數少，觀察周期不規律。對於進一步的研究，我們可以增加課堂觀察次數，延長觀察期，進行半學期或一學期的觀察。最後，在疫情期間，我們無法觀察網上課堂上師生的非語言互動，祇能通過課堂上師生的語音交流來判斷參與情況。恢復正常的線下學習後，這些問題都可以得到有效解決。

英語翻轉課堂教學模式在高等

教育中既是機會也是挑戰。科技的發展已經改變了人們的工作、生活和交流方式，改變了知識生產方式等，同時也使教師向學生提供信息的方式更加多樣化。在這樣的背景下，如果教育工作者拒絕信息技術對教教學的影響，不充分利用信息技術的優勢來變革當今教育中的不足之處，是注定要被時代淘汰的。抓住機會信息化社會所帶來的機會，在時代的浪潮中發展翻轉課堂，迎來一個更加先進的教育時代，而我們都是這個時代的踐行者。

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A Comparative Study of Learning Engagement Between Flipped Classroom and Traditional Classroom for English Majors

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[Abstract] *Based on the framework of learning input theory, this study conducted a survey of 60 English major college students through questionnaire data analysis and semi-structured interviews, and found that online flipped classrooms have a positive impact on students' learning input, and further explored the underlying factors. The reasons and the suggestions for reference are devoted to the development of diversified classroom teaching models, thereby enhancing the level of classroom engagement of English majors.*

[Keywords] *Flipped classroom; Learning engagement; English*

The Necessity of Learning Strategy Training on Vocabulary Learning in Chinese EFL Context

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[Abstract] This paper begins with an introduction and discussion on the current problems with Chinese English vocabulary teaching and learning. Then, after briefly defining the terms of learning strategy and learning strategy training, it introduces Effective versus ineffective learners, followed by a discussion on the necessity of learning strategy training in Chinese EFL context.

[Keywords] English vocabulary learning; learning strategies; learning strategy training

I. Introduction

1. The Significance of Vocabulary and Introduction of Terms

The importance of vocabulary has been referred to by various researchers. Folse (2004) refers to vocabulary as the most important aspect in learning a language. Lewis (1993) notes that vocabulary is basic to communication. However, he continues to point out that vocabulary is often seen as the greatest problem by second language learners.

The Chinese teachers and researchers have realized problems Chinese EFL learners have in learning vocabulary as well as the importance of it. Considerable research has been carried out on teaching

methodologies in hopes of helping learners facilitate their second language vocabulary learning.

However, only emphasizing teaching methods is not enough, because when teachers are making efforts to improve their teaching, many of them are likely to overemphasize their own perspectives and ignore the perspectives of learners. As is pointed out by Chamot (1987), learning usually involves the collaboration of two people—a teacher and a learner. "The teacher cannot do it all alone". Therefore, in recent years there has been an increasing interest in shifting the focus of the teacher-centered classroom to a learner-centered one (Rosna & Shar-

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ifah,1994), and the concept of *learning strategy* and *learning strategy training* has captured increasing attention, not only of western language teachers and scholars but also Chinese ones in an EFL context.

2. Definition of Terms

(1) Learning Strategy

According to Oxford (1990), The word strategy generally means a plan, step, or conscious action toward the achievement of an object. *Learning strategy* is defined as "behaviors or actions which learners use to make language learning more successful, self-directed and enjoyable" (Oxford, 1989).

This definition not only points out that learning strategies are learners' behaviors or actions, but also contains the positive effects strategies have on learners' language learning.

(2) Learning Strategy Training

According to Nuttall (1993), the theoretical foundation for learning strategy training was a social-cognitive model of college learning and teaching developed by McKeachie, Pintrich, Lin and Smith (1986). This model hypothesized that students' knowledge of learning strategies and their motivation lead to both engagement in learning and academic performance.

According to Oxford (1990), strategy training is also called "learner training", "learn-to-learn training" and "learner methodology training".

From these definitions, one can see

that strategy training involves teaching learners how to learn and teachers how to facilitate the learning (Li, 2000).

II. Defining the Problem

Vocabulary has been regarded as one of the most important parts of English learning. However, many EFL learners in China, especially college students who are supposed to acquire much larger quantity of vocabulary to cope with CET Band 4 and Band 6, find it hard to learn and remember words.

Yuan Fengshi et al. found that non-English majored students are using very limited strategies when they are learning. According to Huang Guowen, Chinese English teaching has been ignoring the cultivation of students' strategies in learning. He also suggests students' motivation and attitude should be taken into consideration in the process of teaching.

Xu Jingfen and Wu Weiping conducted an investigation of college English learning inadaptability of 350 first-year non-English major undergraduates. One important result shows that the first-year non-English major undergraduates cannot adapt to the large quantity of English vocabulary. To assist them to solve this problem, teachers should try to cultivate students' autonomous learning ability, and teachers should try to advocate their students' positive learning attitudes.

The author of this paper have long found that many students feel frustrated

and some of them even have lost their interest or desire in learning English, which is mainly due to the large quantity of vocabulary they are supposed to acquire. Many of them report that they do spend much time remembering new words, but soon forget them. The fact is that for almost all students, vocabulary learning strategies they are using are usually confined to repeating words. They are not able to use other strategies which may be helpful to each of them. As Yang Jian (2004) discovered, students are not satisfied with many of the strategies they most frequently use, and they have not used or even have no knowledge of many strategies they consider useful.

III. Effective Versus Ineffective Learners

Researchers have been doing investigations on the difference between effective and less efficient learners' learning strategies, and the characteristics of effective learners.

Some EFL teachers wonder why some students can learn L2 easily while some others find it difficult. O'Malley and Chamot (2001) found that in general, more effective students use a greater variety of strategies and use them in an appropriate way which enables them to complete the language task successfully, while the less effective students not only use fewer strategy types but also use inappropriate strategies for the task, which does not

lead to successful task completion. Moreover, effective students were "purposeful in their approach to a task, monitor their comprehension and production for overall meaningfulness rather than only for individual components, and effectively use their prior general knowledge as well as their linguistic knowledge while working on a task".

"Good language learner" studies show that such learners consistently use certain types of learning strategies, but they do not use a single set of strategies (Oxford, 2003). Good learners use an array of strategies, matching those strategies to their own characteristics such as their learning style, personality and cultural background, and they develop combinations of strategies for their individual needs (Oxford, 1990).

In the comparison between the effective and less effective learners in their use of learning strategies, the positive effects of strategies have become obvious. Oxford (1990) states that strategies "are tools for active, self-directed involvement, which is essential for developing communicative competence". And learners who use appropriate learning strategies have greater self-confidence and learn more effectively. And after Green and Oxford (1995) investigated the patterns of variation in strategy use by students at different levels of proficiency, they found a significant relationship between strategy

use and language learning success. They concluded from their study that active use strategies help students attain higher proficiency (cited in Nunan, 2001).

IV. The Necessity of Learning Strategy Training

The success of good learners lies in their frequent and adequate use of learning strategies and there is a strong association between strategy use and learning proficiency. But students are not always aware of the power of consciously using L2 learning strategies for making learning quicker and more effective.

Some less effective learners tend to blame their present failure in studying L2 on "not having talent in learning language", "not having a solid foundation in language knowledge" or "not having a good teacher". Even when some of these learners have realized that their unsuccessful learning experience is partly due to not having found some efficient learning strategies, and try to consult their peers who seem to learn successfully, help they may get is very likely to be temporary and limited, which can not lead them to success. The reasons could be: first, the learners who consult others are probably not expert in interviewing. That is to say, they may begin with "Could you just tell me how you have acquired your reading skills?" General questions like this may not help those being consulted to reveal their learning strategies fully and clearly.

Second, not all strategies suit every learner. According to Ellis (1994), a number of individual learner differences and situational factors are related to strategy use, such as motivation, beliefs about language learning, personality and language proficiency. Not all learners automatically know which strategies work best for them and they may be misled. Third, even if learners have collected some good strategies from their peer learners, whether they can master those strategies becomes another question. They may feel at a loss, thinking what on earth they can do to use those strategies with the language task they are encountered with. They may lose their heart in keeping on trying the strategies because they cannot always find support from others. Or they do not know how to transfer the strategies to other language tasks. Cook (2000) suggests that strategies be explained to them to equip the students with the means to guide themselves, so that they can take on responsibility for their learning such as choosing their goals, controlling the teaching methods and materials and assessing how well they are doing themselves.

Therefore, a formal and systematic strategy instruction is needed. Teachers can help them develop an awareness of learning strategies and enable them to use a wider range of appropriate strategies (Nyikos & Oxford, 1993, cited in Oxford, 2003).

V. Conclusion

In the context of Chinese EFL teaching, although the study of learning strategy is not new in China, the training of it is scant. Therefore, Chinese teacher should further realize the necessity to provide learning strategy training in their teaching. And training programs can be designed to introduce more learning strategies or methodologies to the students, through which students will be able to employ more learning strategies and know how to learn, and their learning can be facilitated.

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悅讀繪本 悅動課堂

——淺談繪本在小學英語中的應用

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摘 要：閱讀在學生語言輸入方面發揮着不可替代的重要作用，學會閱讀英語不僅是中小學生形成語言能力的重要途徑，也是促進他們身心全面發展的重要基礎。《義務教育階段英語課程標準》中規定了各個級別的閱讀目標，對中小學生的英語閱讀能力提出了循序漸進的要求。目前，課本的閱讀並不能滿足學生的閱讀需要，語言純正地道的英語繪本對發展學生的閱讀能力則是一個很好的選擇。

關鍵詞：繪本；小學；英語閱讀；英語教學

一、繪本

“繪本”（Picture Book）一詞，最初是美國公共圖書館兒童圖書館的分類術語，是供兒童閱讀和欣賞的書籍。許多學者對繪本給出過不同的定義：Bishop & Hickman將繪本定義為祇有圖片的故事書(Bishop & Hickman, 1987:124)，兒童文學理論家Nodelman認為繪本是一種兒童讀物，它依靠圖片和很少的文字(或沒有文字)來傳遞書中故事的信息，Nodelman認為繪本中的圖畫不是文字的附屬物，相反，文字與圖畫是不可缺少的，是相輔相成的(Nodelman, 1988)。日本繪本專家鬆居直則用兩個公式來描述繪本和圖畫書的區別：文+畫=圖畫書、文×畫=繪本

總的來說，繪本依靠一系列的圖

片和一些文字(或沒有文字)來傳遞關於書中故事的信息，是專門針對兒童設計的一類書，英語繪本則是為母語為英語的孩子設計的。在圖畫書中，雖然圖畫很有趣，很吸引人，但圖畫主要是對文本的補充。相比于圖畫書，繪本中包含插圖和文字，有時沒有文字，其中圖片的價值甚至超過文字，繪本中的作者和插畫者通常是不同的人，畫面是專門繪制的，帶有明顯的個人風格，可以說，繪本中的圖畫和文字相輔相成，缺一不可。

英語繪本最常針對幼兒，有些英語繪本有非常基礎的語言，主要是用來幫助孩子們發展閱讀技能的。這些繪本大多數是用孩子能夠理解但不一定能讀的詞匯寫的。因此，繪本往往對兒童有兩種功能：英語繪本首先由

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成人讀給幼兒聽，兒童一旦開始學習閱讀，就自己讀。有些英文繪本的出版內容是針對年齡較大的兒童甚至成人的。

在中國，繪本在臺灣地區始于20世紀60年代，發展于80年代，而在中國大陸，繪本還處于起步階段。隨着繪本的普及，英語繪本受到了學者們的關注，也有越來越多的英語教師將英語繪本應用到教學中。

二、英語繪本的特點

作為兒童文學的一個分支，英語繪本因其插圖的重要性而有別于其他文學作品。總的來說，英語繪本有以下特點。

(1)內容豐富，圖文并茂。繪本主題內容豐富多樣，故事充滿想象力，同時又貼近學生的生活實際，可以拓寬學生的知識面，豐富他們的生活，發展他們的認知能力；繪本圖文并茂，與純文字閱讀相比，繪本閱讀更具有直觀性與形象性，更加符合小學生認知能力和心理特點。

(2)句型簡單，重復率高。英語繪本語言生動鮮活，其中有許多重復的、交替的、連續的和累積的單詞和句子，能幫助學生更好地理解繪本內容，這樣漸進積累單詞的方式也使得英語繪本成為學生學習英語的有效材料。

(3)語言生動，詞匯豐富。英語繪本中有許多書面語和口語詞匯，為學生提供了豐富而地道的詞匯，且繪本多是用孩子能理解但不一定能讀懂的詞匯寫成，閱讀繪本能夠不斷拓展學

生詞匯，鍛煉學生的閱讀能力。

(4)富有情境，整體感知。繪本是一個完整的故事，有故事情境，有情節發展，豐富生動的情境能夠喚起學生的相關背景知識，讓學生在輕鬆的氛圍中學習語言，實現學生與文本的互動，享受“悅”讀的快樂。

(5)其他社會功能與價值。除了對提高語言能力外，英語繪本還能夠幫助學生了解英美文化，培養學生的跨文化意識，拓展學生思維，發展想象力，促進學生的情感表達，提高學生的提出問題、分析問題和解決問題的能力等。

三、繪本的教育意義

英語繪本圖文并茂，富有情境，句型簡單，語言生動，從學生的認知發展規律和心理特點來看，英語繪本具有其獨特的優越性和教育意義，也越來越多地作為閱讀材料被應用於教學來提高學生的思維能力，培養學生的閱讀素養。

1. 認知發展理論

元認知和認知策略的形成是隨着信息接收和編碼方式的不斷完善而發展起來的。在小學階段，學生的記憶能力在不斷提高，記憶存儲量也在不斷增加，在這一時期，學生的無意識關注與情感起着至關重要的作用，有意識記憶則需要外來因素的影響，他們的注意力高度依賴於教學的直觀性，他們的思維是具體的、形象的，同時他們的抽象邏輯思維也在蓬勃發展中。

英語繪本可以為學生提供鮮明、

直觀、生動和具體的刺激，文本與圖片的結合可以幫助學生集中精力閱讀材料，同時，為了能够理解整個故事，學生需要關注故事情節的發展，關注人物與圖片的關係和變化，有利于保持小學生的有意識注意，發展小學生的觀察能力。

在閱讀繪本的過程中，學生需要不斷回憶起與插圖相結合的語言敘述，這個過程要求學生在閱讀時要有意地接收信息，並進行編碼，在重新閱讀材料時，學生則需要運用記憶策略提取到繪本中的原信息，從而使學生的邏輯記憶能力得到培養和提升。同時，學生需要根據故事情節來判斷和推斷故事中的人物關係、故事邏輯關係和因果關係，這都有助於培養學生的邏輯記憶能力和抽象邏輯思維能力。

2. Piaget的認知發展理論

Piaget的認知發展理論是20世紀最權威的發展心理學理論，Piaget指出，認知發展是一種生物成熟和環境經驗對心理過程的漸進重組，孩子們像小科學家一樣，他們積極探索世界，並了解周圍的環境。每個兒童都要經歷認知發展的四個關鍵階段：感知運動階段從出生到語言習得（0-2歲）；前運算階段從2歲開始學習說話，持續到7歲；具體運算階段發生在7至12歲之間；形式運算階段從青春期到成年，大致年齡12歲至15-20歲。小學生的年齡在7至12歲之間，正處於具體運算階段。在這個階段，孩子的思想變得更加成熟，更像成人，他們有

能力邏輯地思考具體的對象和情況，因此他開始以更合乎邏輯的方式解決問題。然而，抽象思維和假設思維在現階段還沒有發展起來，孩子們祇能解決具體的問題。

由於兒童認知發展有規律性，教師的教育教學應遵循這一規律。Piaget認為，並非所有的邏輯材料都能被各個年齡段的孩子吸收，教師應該考慮每個階段學生的特殊興趣和需要，教師的主要任務是通過心理結構來探索具體的知識，以易于同化的方式傳授學生。因此，在閱讀教學中，教師應充分考慮學生的年齡，引導學生閱讀符合學生智力和認知發展水平的材料。

小學生的具體形象思維占主體，而抽象思維還沒有得到很好地發展。文本是一個抽象的符號系統，小學生很難理解，學生從圖片中獲取信息更像是識別與其他對象的相似性，而不是熟悉文本符號，因此繪本傳達的信息更容易被學生接收和理解。對此，國內心理學家陳立也做了一些相關研究，他指出，形狀抽象出現最早，3歲以後，形狀抽象比逐漸下降，顏色抽象比逐漸上升，並達到峰值（陳立，1965：156）。由此可見，集色彩、形狀、情景、語言于一體的英語繪本，圖文并茂，更直觀、生動，更貼近學生的生活，是小學生開展閱讀的一種理想的閱讀材料。

3. 圖式理論

圖式的概念最早是由18世紀哲學家Kant提出的，圖式理論的主要觀點

是，當人們理解新事物時，需要將新事物與已知的概念、過去的經驗和背景知識聯繫起來，對新事物的理解和解釋依賴于頭腦中已經存在的圖式，輸入必須與這些圖式一致。

20世紀20年代，格式塔心理學家Bartlett在Kant的基礎上發展了圖式的概念，圖式被定義為過去經驗新形成的知識結構。20世紀60、70年代，在現代認知心理學出現後，圖式的概念得到了更新，擁有了更豐富的含義，教育心理學專家Rumelhart認為，圖式是認知的基石，是信息處理的基本要素，人類已經擁有的知識和知識結構對當前的認知活動起着決定性的作用。圖式具有以下功能：影響人們對所呈現信息的注意和理解，它具有思辨和推理的功能，模式具有遷移效果。換句話說，當信息加工過程中相關圖式被激活時，圖式會為人們提供背景知識來解釋信息，使人們能够在給定信息之外做出預測和推理。

根據圖式理論，人類大腦中儲存的所有知識都是一個圖式單位。要提高學生的閱讀能力，教師必須有意識地加強和培養學生形成主動的、有針對性的圖式，并持之以恆地去做訓練。在語言學習領域，圖式理論認為學習者的閱讀能力是由三種圖式定義決定的：語言圖式(language schema)、內容圖式(content schema)和形式圖式(formal schema)。這些圖式與文章的語言、內容和表達方式協調互動，最終實現對話語的理解。其中，閱讀理解中的語言圖式是指詞匯、習語、句法

和語法方面的知識，內容圖式是指對與文章主題相關的內容的熟悉程度，或者對文章內容的過去經驗和背景知識，形式圖式是指對文本風格和組織結構差異的認識。

如果將一個詞與一個圖式聯系在一起等同于將整個圖式的信息聯系在一起，那麼大腦中相應的圖式將有助于學生理解閱讀材料。英語繪本圖文并茂，圖片生動，語言豐富，內容貼近學生的生活，有利于學生聯系自己的生活實際和以往的生活經驗，形成積極的、有針對性的圖示。同時，圖式理論通過推理來描述認知過程，不僅可以幫助學生理解原文的內容，還可以推斷出文章的深層含義，優化記憶。由此可見，將英語繪本作為閱讀材料應用于閱讀教學，有利于培養學生的閱讀能力，提高學生的閱讀素養。

四、繪本在小學英語閱讀教學中的應用

近年來，我國對繪本的研究日趨豐富，圖象研究的理論和體系也逐漸建立起來，英語繪本在教學中的應用受到了廣泛的關注和重視，越來越多的專家學者就繪本及繪本閱讀開展了研究。通過研究發現，小學階段的英語繪本教學更加注重繪本的情感價值和道德價值，更多的是將生活教育課程融入到英語繪本教學中，探討如何建立孩子的自信和適當的人生價值觀。

對於繪本在教學中的應用，英語教師也進一步探索了具體的使用方法。程寧寧、胡鳳娟認為，教師應當

根據教學的主題或主題選擇繪本，在選擇繪本時要聯系學生的日常生活，讓學生能够輕鬆掌握各種英語單詞、句子和語法(程寧寧 胡鳳娟，2013)。舒璇對長沙市岳麓區388名小學英語教師的調查，解讀了小學課堂繪本的實際情況和使用情況并對小學英語課堂的教學內容提出了一些建議(舒璇，2016)。趙毅對初中英語課堂英語繪本閱讀教學設計進行了研究，論述了英語繪本在初中英語課堂英語閱讀教學中的應用價值。他還為一綫英語教師提供了具體的教學設計方法，從英語繪本閱讀的準備、實施和評價三個方面來開展英語繪本閱讀教學(趙毅，2015)。

在教育實踐方面，深圳南山後海小學是中國大陸第一所推廣繪本閱讀的學校。後海小學校長袁曉峰認為

繪本應用于閱讀教學的目的是激發小學生的學習熱情，從小培養良好的閱讀習慣，在閱讀的過程中潛移默化地學習知識，從而提高小學生的閱讀能力。她還指出，教師在教學過程中過度的說教行為不利于學生閱讀能力的提高，不利于學生思維能力的拓展，在教學中，教師應遵循平等、分享的原則，發揮主導作用，以學生為主體，引導學生閱讀。(袁曉峰，2006：35-37)

在實際教學中，作者嘗試就英語繪本在小學閱讀教學中的應用展開了行動研究，作者以青島市市南區某小學六年級70名學生為研究對象，將英語繪本作為拓展閱讀材料應用到小學英語閱讀教學中。

以英語繪本*Big Cat Babies*的教學設計為例：

The Teaching Plan of *Big Cat Babies*

Teaching Procedures	Teaching Activities	Time																								
Pre-reading	1. Show students a picture of a baby cat and ask students “What’s this?”. Students answer “It is a cat.” or “It’s a baby cat.” 2. Teacher asks students “Do you know big cat babies?”. Students can express their opinions. 3. Show students the cover of the book: These are big cats. Let’s read a picture book and know more about big cat babies.	2 min																								
While-reading	1. Students read the book themselves to have an overall understanding of the whole book. 2. Teacher reads the book again and helps students to work out the new words and understand the picture book. 3. Ask students to find information about lion, leopard and cheetah and finish the worksheet. <table><tr><td>Big cats</td><td>They live</td><td>They like</td><td>Mothers</td><td>Babies</td><td>What else</td></tr><tr><td>Lion</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Leopard</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Cheetah</td><td></td><td></td><td></td><td></td><td></td></tr></table> 4. Check the answers.	Big cats	They live	They like	Mothers	Babies	What else	Lion						Leopard						Cheetah						15 min
Big cats	They live	They like	Mothers	Babies	What else																					
Lion																										
Leopard																										
Cheetah																										
Post-reading	Teacher asks students two questions and let students answer the questions: 1. What are the big cats in common? 2. Do you like baby lions?	5 min																								

在實施過程中，作者注重培養學生的閱讀策略以及學生分析、解決問題的能力。研究發現，閱讀英語繪本可以豐富學生的詞匯量，培養學生的文化意識，在圖片的幫助下，學生可以更好地理解文本并預測繪本的內容。學生就繪本內容提出自己的問題，在提問和回答的過程中，學生的思維能力得到了提高。英語繪本圖文并茂，貼近學生的實際生活，有助于激發學生的學習興趣，而成功的閱讀體驗又可以提高學生對英語閱讀的信心，有助于培養可持續的閱讀興趣。

綜上所述，英語繪本圖文并茂，貼近學生的實際生活，有助于激發學生的學習興趣，成功的閱讀體驗可以提高學生對英語閱讀的信心，有助于培養可持續的閱讀興趣。由此可見，英語繪本可以充當閱讀材料，作為英語教材的有效補充，滿足學生的閱讀需求。

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Joy to Read, Happy to Teach —the Application of English Picture Books in Primary School

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[Abstract] *Reading is an indispensable way of language input in language learning. Learning to read English is not only an important way to form students' language ability, but also an important basis to promote their physical and mental development. The English Curriculum Standards for Compulsory Education prescribes reading objectives at all levels and puts forward step-by-step requirements for the reading ability of primary school students. Current textbook reading does not meet students' reading needs. With the authentic language, English picture book is a good choice in developing students' reading ability.*

[Keywords] *Picture book; Primary school; English Reading; English Teaching*

Strategies Employed by the 2015—2019 First-Prize Works of “The World of English Cup” National Translation Contest

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[Abstract] *“The World of English Cup” National Translation Contest has drawn the attention of more and more translation enthusiasts. The principle of transmigration proposed by Chinese scholar Qian Zhongshu sets out a viable standard for translation. It calls for preserving the original taste and spirit while avoiding any roughness and obscurity in rendering. By exploring and analyzing the first-prize English-Chinese translations of this contest in light of the principle of transmigration, this paper summarizes three effective strategies, namely understanding thoroughly, aligning style with meaning, and seeking interlingual resonance, to cope with difficulties with which translators are generally confronted.*

[Keywords] *English-Chinese translation; transmigration; strategies; “The World of English Cup” National Translation Contest*

I. Introduction

“The World of English Cup” National Translation Contest mainly focuses on literary translation, which tests participants' skills and grasp of translation. However, lots of participants cannot get a satisfactory result due to a lack of guidance of certain translation principles or theories. Most importantly, they fail to work out effective solutions to the problems and difficulties faced in translation practice.

This paper is devoted to figuring out how to produce better translation works

under the guidance of the principle of transmigration. It first elaborates the principle of transmigration, a renowned translation theory proposed by Chinese scholar Qian Zhongshu. Then it analyzes the difficulties in translation practice and takes the first-prize works as examples to summarize a series of practical strategies, namely understanding thoroughly, aligning style with meaning, and seeking interlingual resonance. Understanding is the prerequisite for producing any translations, without which the rendering is

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likely to be unfaithful to the original texts. Aligning style with meaning, as another critical element in achieving transmigration, serves as an accessible tactic in refining the translation. Bearing the top priority, seeking interlingual resonance bridges two distinct cultures and creates a sense of familiarity for the target language readers.

II. Qian Zhongshu's Principle of Transmigration

Qian Zhongshu is an erudite scholar who has a distinct perception of translation. In 1980s, he put forward the principle of transmigration in "Lin Shu's Translation" (《林紓的翻譯》)¹. He demonstrated that the highest standard of literary translation is "hua" (化 ; to sublimate). When translating, two requirements should be born in mind. One is to avoid any roughness and obscurity in language, and the other is to preserve the original taste and spirit. These being achieved, "huajing" (化境; transmigration) is materialized in the translation (Qian, 1985).

Qian considered transmigration as the highest standard of literary translation. In his opinion, transmigration means "the transmigration of the soul" of the original work. That is to say, although the appearance of a work is transformed, the spirit and core is intact. In other words, a translation

is supposed to be as faithful to the original as possible so as to seek an echo with it.

To achieve transmigration, a translator needs to thoroughly understand the original work and then overcome the language barrier and re-create what the author intends to convey in another language, which requires the translator to fuse the two sorts of languages and cultures into a unity and keep spiritual consonance with the author. The principle of transmigration does not merely emphasize on spirit, instead, it also pays attention to the form. However, this does not mean to damage the essence of the original for the sake of the form. In Qian's view, the form should be in correspondence with the meaning (Qian, 1985).

In the preface of *A Record of Arts* (《談藝錄》), Qian Zhongshu argued that the mind of Easterners and Westerners is similar. It demonstrates that the nature of humankind is identical or interlinked, which lays the foundation not only for the communication between the East and the West, but also for translation (Yuan, 2017). In this sense, the principle of transmigration means actually to break down the barriers of two different cultures, and brings about transcendence.

Another aspect of this principle is that the translator should make target language

1 "Lin Shu's Translation": 《林紓的翻譯》, a passage from 1979 edition of *Four Previous Passages* (refer to 《舊文四篇》上海古籍出版社) by Qian Zhongshu.

readers "feel at home", which is seen as the psychological basis of transmigration. Hence, a translator must have an acute mind to extract the core idea of the original work as well as being highly adept at both source and target languages. Qian's translation of Goethe's "Ein Gleiches"² is a case in point:

Ein Gleiches

by Goethe

Über allen Gipfeln

Ist Ruh,

In allen Wipfeln

Spürest Du

Kaum einen Hauch;

Die Vögelein schweigen im Walde.

Warte nur, Balde

Ruhest du auch.

有喻

錢鐘書 譯

微風收木末，群動息山頭。

鳥眠靜不噪，我亦欲歸休。

(Yuan, 2017)

In a sense, his translation gives Chinese readers a dimly familiar feeling as if they had already known the poem. Qian expounded that Goethe's poem is surprisingly similar to that of Tao Yuanming (365A.D.-427A.D.), a well-known poet of the Eastern Jin Dynasty, in respect of the meaning and tone, and this similarity is quite crucial for a translator to grasp. As

Qian has considered, a translation is supposed to make readers rejoiced as if they have met an old acquaintance.

III. Effective Strategies Employed by the "The World of English Cup" First-Prize Works

From the perspective of the theory of transmigration, this chapter analyzes the first-prize English-Chinese works of "The World of English Cup" National Translation Contest in recent 5 years and sums up three effective strategies: understanding thoroughly, aligning style with meaning, and seeking interlingual resonance.

1. Understanding Thoroughly

The principle of transmigration calls for preserving the original meaning and spirit on the one hand, and rendering smoothly on the other hand. Obviously, understanding is the prerequisite of achieving the ideal. Understanding is undeniably the foundation of translation. A false understanding is prone to cause irreversible consequences including leading readers astray and a bad reputation to the translator. Generally, a language is composed of words. Hence, an excellent translation cannot go without thorough understanding of each word. A seemingly negligible misunderstanding of a small word may probably lead to ambiguity or reverse in the whole meaning, which is extremely irresponsible to target language readers. The original English text of the 10th Contest (abbreviated from "the

10th 'The World of English Cup' National Translation Contest, similarly hereinafter) is a prime example indicating that each word deserves accurate understanding.

Example 1:

I long to stylize language such that it becomes a new encounter for the reader and honors the idioms of our age.

我希望給語言以獨特的風格，給讀者以全新的體驗，同時也尊重我們這個時代的習語。

The key point lies in the words "honor" and "idiom". Most of the participants render "honor" as "尊重" (respect) or "致敬" (show respect for), resulting from an inaccurate comprehension of the word in the context. From "I long to stylize language...", it's clear that the author does not intend to show respect to or pay tribute to "the idioms of our age". On the contrary, he hopes to make innovation in language. Therefore, the implication of the word "honor" here is to add luster to "the idioms of our age". As a result, it is far better to render "honor" as "增光" (add luster to). Apart from "honor", the word "idiom" is worth a notice. A large number of participants take "idiom" for granted and simply render it as "習語" (a group of

words whose meaning is different from the meanings of the individual words) without contemplating comprehensively. The *Oxford Advanced Learner's English Chinese Dictionary* (8th edition) defines "idiom" as: the kind of language and grammar used by particular people at a particular time or place (Hornby, 2014). Taking the context into consideration, then "語言" is evidently more suitable than "習語". In a manner of speaking, the reference translation is advisable:

“我渴望寫出風格獨特的語言，給讀者新的閱讀體驗，為我們這個時代的語言增光。” (Ren & Wang, 2019)

Tense is another indispensable essential in English, which appears hard to master for many Chinese learners. Among the 16 tenses, Chinese generally lack true understanding of the present perfect tense, thus leading to mistranslation. In the 8th Contest, there is an intractable detail of this tense:

Example 2:

All the modern historians from Marx to Spengler have identified the contemporary phenomenon of emigration. Why add more words?

2 "Ein Gleiches": a poem from Goethe's poetry anthology *Wandrer's Nachtlid*.

Two translation versions are listed as follows:

從馬克思到斯賓格勒，所有現代歷史學家都確認了當代移民現象的存在。那麼為什麼還要寫上幾句呢？

從馬克思到斯賓格勒的所有現代史學家都發現了當代遷徙現象。失去的已經失去了，何必再說什麼呢？(Lin, 2017)

The challenge lies in the second sentence. Lots of participants feel bewildered due to the fact that the subject in here is indeterminate. Actually, once the present perfect tense is grasped, the problem will be smoothly solved. In grammar, the present perfect tense "is used to talk about things which happened before the time one is speaking or writing but are relevant to the present situation, or things that began in the past and are still happening with an emphasis on the impact on the present." (Collins, 2018) According to Lin Yuanbiao (2017), the impact on the present, in effect, means to foreshadow what will be talked about in the following. In other words, there exists an extended relationship between "have identified" and "add more words", from which it can be implied that "identified" should be taken as "discussed", not "confirmed" or "discovered" as is adopted in the above versions. A superior version is as below:

所有的近現代史學家，從馬克思

到施本格勒，對當今的人口遷移現象都有過論述。既如此，又何需我等贅言？(Zhang, 2017)

2. Aligning Style with Meaning

The principle of transmigration calls for faithfulness not only in the content, but in the style as well. The style of a literary text, in a sense, is the lifeline. Hence, in literary translation, the style is as vital as the meaning, and it is unrealistic to separate style from meaning.

To a passage, the title, like a gateway, is of utmost importance. As a proverb goes, the title is to a passage what the eyes are to human. In *Literary Translation, A Practical Guide*, Clifford E. Landers (2001) states that "since readers generally assume the title is indicative of the theme of the work, a bad title can color or even falsify their perception of its meaning." An arresting title contributes largely to the success of a translation. Hence, a translator must pay heed to the title and take it as a top priority. Aligning style with meaning in a title graces not only the title itself, but also the whole work.

An appropriate instance can be found in the 9th Contest. The title in the source language is "The Whoomper Factor", which is really a Gordian knot. The word "whoomper" can barely be found in any dictionary, therefore it is obviously a new word coined by the author. In English-Chinese Dictionary compiled by Lu

Gusun, the explanation of "whoomp" is "突發的巨響、低沉的爆裂聲" (a sudden blare or a low crack). With an affix "-er", one can conjecture that "whoomper" means something that makes deafening sounds or growls. From the description in the whole passage, it can be inferred that "whoomper" refers to something like a blizzard which is much heavier than a general storm. Besides, the word "blizzard" is already used in the original passage, and is generally translated as "暴風雪", so it's unsuitable to use "暴風雪" again to translate "whoomper". And now that "whoomper" is a word coined by the author, the translator may as well coin a Chinese word, such as "轟雪" or "烈雪", to correspond to "whoomper". On the one hand, the style of the title is preserved, and on the other, its meaning is precisely conveyed. The word "factor" is another knotty problem. In effect, "the...factor" is a phrase. According to The New Oxford Dictionary of English, it is "used to indicate that something specified will have a powerful, though unpredictable, influence on a result or outcome" (Han, 2018a). The translator is supposed to deduce from the context that "factor" suggests whoomper's huge impact on people's way of life. Hence, it is highly desirable to render the title as "最是那轟雪" (Han, 2018b), "烈雪之威" (Ding, 2018) or "'雪轟'之妙" (Yao, 2018), which are absolutely faithful both in style and in meaning.

The 7th Contest chose "Great Possession" as the E-C translation text. It is an excerpt from Aldo Leopold's A Sand County Almanac, regarded as a naturalistic masterpiece that rivals Thoreau's Walden. As far as the essay is concerned, its bright style is the most striking feature and should be portrayed in the translation. Take the following sentence as an example:

Example 3:

More often we see only the interweaving darkened lines that lazy hoofs have traced on the silken fabric of the dew.

更多時候，我們看到的祇有懶散動物的蹄子在綿軟露水地上踩出的交織的暗色足跡。

Obviously, the above lengthy translation is severely affected by the English sentence structure, thus missing the sense of beauty. In respect of this prose, a translator should attempt to maintain the ethereal style while being faithful to its content. It is not desirable to barely focus on meaning, and style should never be neglected. The following manipulation is worthy of a reference:

而通常我們所見，不過是一行縱橫交織的暗色蹄印，那是慵懶的動物在灑滿露水的絲滑草地上留下的足跡。(Wu, 2016)

Another instance is listed below:

Example 4:

We sally forth, the dog and I, at random.

我和我的狗隨意前行。

It is clear that this rendering cannot match the style of the prose. Actually, a kind of relaxing tone pervades this seemingly manageable sentence, but too insipid language in the translation harms the rhythm and fails to delineate the glistening style. A translator might as well impregnate the translation with a lingering charm that perfectly corresponds to the unique taste of the prose. The following rendering is worth a reference:

我和我的狗，邁步出發，隨意而行。(Wu, 2016)

3. Seeking Interlingual Resonance

As Qian Zhongshu pointed out, the East and the West is, to a large extent, interlinked regarding the nature of people's thought. That is to say, what an English author expresses is likely to be correspondent with that of a Chinese author. Hence, in the case of literary translation, it is highly crucial to extract the core ideas of the original work before reconstructing vividly and expressively in a way that is familiar to target language readers.

In the 6th Contest, the last sentence of the 12th paragraph is noteworthy:

Example 5:

But her garden has reminded me of mortality; gardeners and the gardens they make are fragile things, creature of time, hostages to chance and to decay.

Two translation versions are listed below:

但是，她的花園總讓我想到必死的命運，種花人和其花園都是脆弱之物，是時間的傀儡、命運與衰亡的人質。

然而，她的花園令我想起死亡，想起種花人和花園都是不堪一擊的，是有始有終的生命體，都要面臨興衰成敗。(Cao, 2015a)

The translators here definitely have understood the literal meaning; however, they just fail to grasp the underlying pathos between the lines. The author witnessed the exuberance and desolation of the garden, which was reminiscent of vicissitudes and transience of life. Furthermore, the outpouring of sorrow in the essay is analogous to that in "Preface to the Collection of Poetry at Lanting" (《蘭亭集序》) by Wang Xizhi (303A.D.–361A.D.), a poet of the Eastern Jin Dynasty and "The Autumn Sound" (《秋聲賦》) by Ou Yangxiu (1007A.D.–1072A.D.), a poet of the Northern Song Dynasty. Both Chinese works lament the transient life and volatile world. Hence, a translator is supposed

to convey the intrinsic sentiment in his rendering. The translation below is more palatable:

然而，她那座花園總讓我想到物盛必衰，想到種花人及其營造的花園都像春草秋花，乃時間之造物，由時運擺弄，易衰朽飄零。(Cao, 2015b)

Another example comes from the 7th Contest:

Example 6:

Expanses unknown to deed or map are known to every dawn, and solitude, supposed no longer to exist in my county, extends on every hand as far as the dew can reach.

契據和地圖上未知的廣袤，每個黎明都知曉；本以為沙郡中不復存在的孤寂，却企及每顆露珠。

There is no doubt that the translator has grasped the meaning, but what he missed is the deeper implication. Judging from the whole essay, the author shows his love and respect for nature through the depiction of a morning of Sand County. The author lives a life of ease which accounts for the idyllic style in the essay. A poetic tone can better echo with Chinese readers, for instance:

契據和地圖上没法標明的無邊光景，其美妙展現在每天的黎明時分。

而那份獨處的悠然，我本以為在這沙郡中已覓而不得，却不想在每一顆露珠上尋到了它的踪影。(Jiang, 2016)

In the above translation, “無邊光景” reminds Chinese readers of a poem “A Spring Day”(《春日》)by Zhu Xi (1130A.D.–1200A.D.), a renowned poet of the Southern Song Dynasty. In the poem, Zhu Xi describes the picturesque scenery that makes him refresh. Moreover, the latter part of the translation gives readers an impression of peace and leisureliness just as shown in “The Zhongnan Villa”(《終南別業》)by Wang Wei (701A.D.–761A.D.), in which the poet of the Tang Dynasty depicts his tranquil life of a recluse in the Zhongnan Mountain and expresses his love for nature.

IV. Conclusion

“The World of English Cup” National Translation Contest provides a platform for translators to exercise and hone their competency and dexterity of translating. The principle of transmigration exerts a positive effect on translation in that the quintessence of this principle offers profound insights for translators to understand translation and their unique role. Hence, the principle of transmigration can not only guide but also refine translation. And it makes exploring the first-prize works of “The World of English Cup” National Translation Contest feasible and

rewarding. To achieve transmigration, preserving the original spirit and taste is all the more important. Keeping style in line with meaning, indeed, adds leaven to a piece of translation in terms of both the title and the whole passage. Last but not least, seeking interlingual resonance is the soul of transmigration, which requests the translator to be totally familiar with the cultures involved, and to be competent to reconstruct the target language vividly as well.

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認知隱喻視角下《牡丹亭》文化意象 翻譯策略研究

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摘 要：本文基於認知隱喻理論，以昆曲《牡丹亭》為語料，以概念隱喻認知機制為切入點對昆曲中的文化意象進行分類及考察，對比分析了許淵衝和汪榕培譯本，探討意象隱喻的翻譯策略，如意象移植、轉化、省略和補償。

關鍵詞：認知隱喻；《牡丹亭》；意象；翻譯策略

一、引言

《牡丹亭》是我國戲劇史上一部浪漫主義傑作，其曲詞展現了湯顯祖高超的文學藝術素養，具體表現在其對曲詞意象的描繪。意象是融入詩人思想感情的“物象”，借合適的物抒發自身感情。所以戲曲中意象的存在往往具有隱晦性及文學性，與小說或詩歌的翻譯不同，戲劇藝術所固有的二元性需要語言與場景相結合，通過視覺和聲音圖像來表現出來，而恰恰是因為這個特點，使其在英譯的過程中成為最難的一環。譯者首先需要認識、闡釋並理解意象，然後用譯入語表達出來，構建認知世界，再現原文本意象的意義和審美效果。目前《牡丹亭》共有4個全英譯本，最早是1980年的Cyril Birch版本，然後是1994年出版的張光前先生譯本，隨後2000年汪榕培先生也發表了自己的譯本，最後

便是2013年出版的許淵衝先生的譯本。如今在昆曲藝術逐漸走向世界的大背景下，中外學者對於《牡丹亭》的翻譯研究逐漸興起，但鮮有從認知隱喻的角度進行分析。因此本文從概念隱喻的視角出發，研究《牡丹亭》中的文化意象翻譯，以第三本第四出“驚夢”為例，對比分析許淵衝、汪榕培譯文，探討意象隱喻翻譯策略。

二、意象翻譯研究綜述

意象是詩歌以及戲曲內在構造的基本元素，聯系詩人和讀者經驗的媒介，用來寄托主觀情思的客觀物象。龐德在他的文章中是這樣闡釋“意象”的：“意象並非一個概念。它是一個能量輻射的中心或者集束——我祇能稱之為漩渦。意象不斷地涌進、涌過、涌出這個漩渦”(Pound, 1970: 92); 杜夫海納認為：“意象是處於

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物體感知與它成為概念思維之間的中介，物體在此階段作為表徵而出現。”(Dufrenne, 1973 : 345)；而我國學者夏之放認為：“意象是在大量表象基礎上新生的，超前的，意向性的設計圖象。其內容偏向主體願望和設想”(Xia, 1993 : 165-166)。張燕玲對意象進行了較為全面的界定，認為中國古典詩學的意象就是指詩人的主觀情志與客觀景物在審美感興中相碰撞而產生的“意中之象”或“心中之象”。就一首詩而言，它既可以指作品中單個的景和物，人和事，也可以指由多個獨立意象所構成的整體意象(Zhang, 2006 : 104-111)。詩人根據表情達意的需要，可能在一首詩中採用一種形式的意象，也可能同時使用幾種不同形式的意象來塑造畫面感。

國內的意象翻譯研究主要將研究重點放在翻譯風格、譯者的主體性、美學元素的傳遞等主題上，研究視角主要有生態翻譯學、目的論等理論視角。近二三十年來，無論是許淵衝提出的“三美”理論從美學的角度研究，還是基于語料庫對詩詞意象的統計，亦或是近年來興起的多模態視角下的詩詞翻譯，在詩詞意象翻譯方面皆是收獲頗豐，李氣糾和李世琴提出意象翻譯可採用以異化為主，歸化為輔的策略(Li & Li, 2009 : 58-61)；周蕾和黃乙玲則提出可以通過異化、模糊策略有效地傳遞和重構原文的意象(Zhou & Huang, 2010 : 132-135)；但對於昆曲意象翻譯卻鮮有提及，然而意境之美卻又在昆曲曲詞中得到極致的

體現。昆曲創作主體通過意象組合方式等手段對曲詞進行了修飾與渲染，在創造了意境美的同時，也表達了豐富的情感。

三、認知隱喻理論概述

認知隱喻理論最初是由Lakoff和Johnson提出的，認為認知隱喻與傳統隱喻並不相同。傳統隱喻觀將隱喻視為對兩個事先存在的客觀事物的比較，與人類的思維結果並無關係，並且廣泛存在于文學領域，是文人雅士之語。(Ye, 2013 : 5-6)而Lakoff和Johnson則提出了完全相反的理論，他們對認知隱喻理論進行了如下概括：

“Metaphor is so ordinary that we use it unconsciously and automatically; as a result metaphor does not belong to the category of literature only. In fact, metaphors in literature also rely heavily on everyday ones.”

“Metaphor is not only a matter of language, but more importantly a matter of thought.”(Lakoff & Johnson, 2003 : 3) Lakoff & Johnson認為目標域(Target domain)的結構與源域(Source domain)相似，即隱喻對應，或者換句話說，在它們之間建立隱喻映射(mapping)(Lakoff & Johnson, 2003)。即隱喻是兩個概念域(concept domain)之間的映射(mapping)；在映射過程中，屬於某一領域的相關概念和結構被轉移到另一領域，形成一種經過合成的新的概念結構。

由此可見，認知隱喻觀認為隱喻絕非文學語言所特有，隱喻中的兩

個事物的相似性雖然是隱喻所形成的必要條件，但在認知語言家看來，概念隱喻的基礎並不是依靠于這種相似性，而是出自人類主觀的經驗。

四、《牡丹亭·驚夢》中意象隱喻的運行機制及其英譯分析

湯顯祖在《牡丹亭·驚夢》中廣泛運用意象來表達抽象情感，在讀者心中產生一種“映射”，從認知隱喻的視角來解讀，這正是從一個具體的源域到抽象的目標域之間的映射，而譯者在翻譯過程中首先需要感悟和識解原作意象，還原詩人的認知世界，通過意象的移植或轉換，在譯入語讀者的心中再現這種“映射”。《牡丹亭》的第二本第四出《驚夢》是最為經典的一個段落，此段落講述了深受封建束縛的杜麗娘趁春景游園，疲倦後伏幾小睡誤入驚夢，夢一佳人的愛情故事，湯顯祖通過杜麗娘這一角色借花、雲、春色等意象來表達思想解放和人性自由的光輝。本節分析了兩類意象隱喻的運行機制，包括以自然物為源域和以虛擬世界為源域的概念隱喻，比較了許淵衝和汪榕培譯本對於不同意象的翻譯策略，包括意象的移植、轉化、省略和補償策略。

1. 以自然物為源域的概念隱喻

自然物是可見可感的，成為詩人生命感悟的對象(Gao, 2012: 14-21)，能够喚起讀者的聯想，所以大多被詩人用作源域來隱喻其想表達的抽象情感。

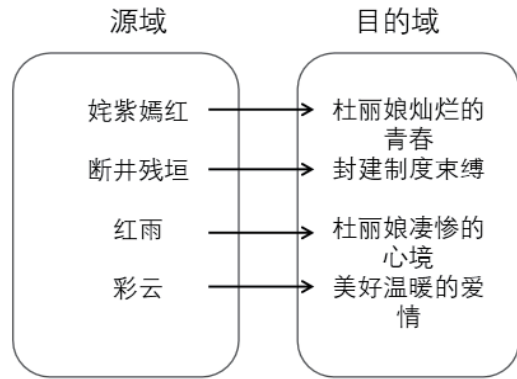


圖1 《牡丹亭·驚夢》中以自然物為源域的概念隱喻

例1

原文：原來姹紫嫣紅開遍，
似這般都付與斷井頽垣。

許譯：

A riot of deep purple and bright red,
What pity on the ruins they overspread!

汪譯：

The flowers glitter brightly in the air,
Around the wells and walls deserted here
and there.

《皂羅袍》是《驚夢》中最廣為傳唱的一段，杜麗娘來到園中見到姹紫嫣紅、春色滿園令人沉醉，感嘆“不到園林，怎知春色如許”，却又不禁傷感，這滿園的春色却祇能被禁錮在方寸園中，這也正是杜麗娘本身命運的寫照，所以“姹紫嫣紅”禁錮于“斷井頽垣”之中，這兩個點也是此曲翻譯的重點。

此句中最為核心的意象是“姹紫嫣紅”，其源域是絢爛多彩的花

朵，原作以此來映射了杜麗娘美好的青春。許淵衝先生巧妙地采用意象的移植策略，也就是直接將源語種的源域與目標域完全對應到目的語種的源域與目標域，保留了源語中的審美意境。其譯文 “deep purple and bright red”，既保留了原文的句意和源語的意象而又不失華麗，同時將“開遍”譯為“a riot of”，體現出“亂花漸欲迷人眼”的動態的視覺美感。汪榕培先生則譯為“The flowers glitter brightly”的“繁花”，同樣采用了意象的移植策略，不過為了避免讀者產生理解偏差，還把姹紫嫣紅這樣斑斕的色彩具體化，翻譯成了綻放的鮮花，幫助讀者理解其隱喻意義，即生動美好的春天→美好的青春；“in the air”則給讀者一種花開的香氣蔓延在空氣中的感覺。

“斷井”和“頽垣”這類殘缺的物象隱喻了“杜麗娘被封建束縛住而殘破的青春”，許譯將“斷井頽垣”的源域“破敗景象”通過意象的移植策略轉換為“ruins they overspread”，將特定的“院子中殘破景象”泛化為廣義上的“ruins”。汪榕培先生這裏也是采用了意象的移植策略將原文譯為“the wells and walls deserted here and there” “wells and walls”押了輔音韻 (Consonant rhyme) “here and there”押了元音韻 (vowel rhyme)且在視覺非常對稱，移植了原文“斷井頽垣”的并列結構，使其譯文看起來十分工整。

例2

原文：蘸客傷心紅雨下，
勾人懸夢采雲邊。

許譯：

The poet grieves when petals fall in shower.
By rainbow cloud he could dream of the flower.

汪譯：

When petals fall from flowers in a rain,
The flower gazer starts to dream in vain.

《山桃紅》這一曲描述的是杜麗娘的“驚夢”，“蘸客傷心紅雨下，勾人懸夢彩雲邊”是這一曲的核心，這兩句同樣是描繪出漫天花朵飄零的場景，塑造出一種淒美的意境。杜麗娘游春見那繁花似錦不由得激起傷感之情，美好青春無人欣賞祇能被困于園中。而“彩雲歸”這一意象，與杜麗娘的心境形成強烈反差，以後半句的樂境寫哀更顯其哀。湯顯祖用他最熟練的手法描繪出杜麗娘夢中的畫面，將一幅淒美的圖畫展現給讀者。

許譯對“紅雨”進行了意象轉換，用譯入語的隱喻翻譯原語的隱喻，譯為“petals fall in shower”，同時又對意象進行補償，“grieves”幫助讀者理解“落花”這一意象映射的傷感的情感色彩，即青春易逝。而後文的“-petals fall in shower”將作者口中的“紅雨”譯為“fall in shower”的“petals”，這種譯法“fall in shower”賦予落花動態美感，將一幅生動的落花圖展現在讀者眼前。我認為許淵衝先生所譯制的後半句才是這段曲中的核心，“By rain-

bow cloud he could dream of the flower”將“彩雲邊”的意境完美的表現了出來，看似將“彩雲”這絢爛的畫面表現的淋漓盡致，實則以此樂境襯出杜麗娘的淒美夢境。

此句中最為精髓的“紅雨”，汪榕培先生選擇的同樣是意象的轉換。“petals fall from flowers in a rain”將虛無縹緲的“紅雨”譯成實體可見的“petals fall from flowers”，看似對原句的句意有所改變，但隨後對花落方式“下”的處理則可以稱為本句的點睛之筆，“in a rain”將花落表現為“雨”，剛好符合原句中的“紅雨”。而“dream in vain”則通過意象的省略將原文的意象省略，但卻闡述了原文映射出的隱喻意義，將“勾人懸夢彩雲邊”一切夢醒成空的含義表現得淋漓盡致，把湯顯祖想要塑造的淒美畫面生動地表現出來。

2. 以虛擬世界為源域的概念隱喻

在日常的認知過程中，人們常常會通過想象中構建一個虛擬的世界，將虛擬世界的想法通過認知機制映射到人類的情感上。

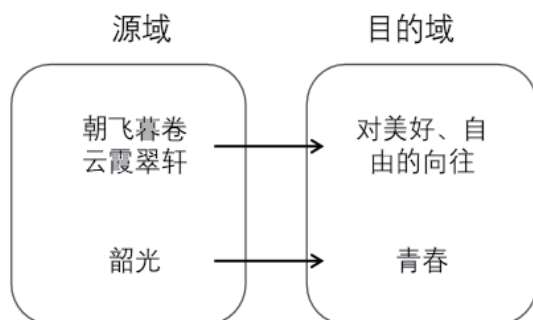


圖2 《牡丹亭·驚夢》中以虛擬世界為源域的概念隱喻

下面我將仍然以最著名的《皂羅袍》一段為例，分析兩位學者對湯顯祖結構隱喻手法的翻譯：

例1

朝飛暮卷，雲霞翠軒；
雨絲風片，烟波畫船
——錦屏人忒看的這韶光賤！

許譯：

At dawn on high
Rainbow clouds fly;
At dusk the green
Pavilion is seen.
In misty waves mingle the threads of
rain,
The wind swells sails of painted boats
in vain.
For those behind the screen
Make light of vernal scene.

汪譯：

The clouds at dawn and rain at dusk,
The bowers in the evening rays,
The threads of shower in gales of
wind,
The painted boat in hazy sprays:
All are foreign to secluded maids.

這一曲出自《牡丹亭·驚夢》中《皂羅袍》的第二段，描述了杜麗娘在感嘆滿園春色被禁錮在方寸之園後，所唱出的宏偉景觀。作者通過“朝飛暮卷，雲霞翠軒”描繪出被束縛住的“錦屏人”無法見到的象徵自由

的宏偉景致，表達對自由精神的追求。

“朝飛暮卷”引用王勃《滕王閣序》中的名句“畫棟朝飛南浦雲，朱簾暮卷西山雨。”我認為這也正是這幅圖畫的點睛之筆，而下文筆鋒一轉，由高遠“雲霞翠軒”轉為低處的“烟波畫船”，這種視覺轉換給讀者帶來了衝擊感。而實際上這一曲是杜麗娘在游園後此來感嘆自家園中難以見到這種景致，並非真實所見，所以是虛景。下文杜麗娘稱之為“韶光”，韶光也恰好是隱喻了她自己的美好青春，以虛景隱喻自己的青春，揭示了渴望自由愛情的杜麗娘被封建枷鎖束縛的無奈與淒慘。

在這一宏偉景象中，“朝暮”“雲霞”用空間的實物的存在表現了流逝的不可見的時間，許譯選擇為雲霞賦予了動態美，“rainbow clouds fly”這一“fly”是點睛之筆，瞬間使整幅圖畫動了起來。許淵衝先生對於朝暮的把握也拿捏得十分妥當，“dawn”和“dusk”互相對照，使句式顯得十分工整。後半句的“烟波畫船”，這祇船在許淵衝先生筆下也被賦予了動態，“The wind swells sails of painted boats in vain”成功將船擬人化，給予了讀者意外的驚喜感。在處理“韶光”這一意象時，許淵衝先生採用了意象的轉換，將其譯為“vernal scene”，即“春光”，保留了其“青春”的隱喻含義，將原語讀者熟悉的“韶光——美好的青春”譯成目標域讀者認知中的“vernal scene”。

汪榕培先生對於此段的處理則更為工整排比形式使其朗朗上口。對於雲霞的處理與許淵衝先生相比少了些許動態感，但換來的是更為工整的譯文行文。這並不表示汪榕培先生沒有把此段的動態表現出來，“The painted boat in hazy sprays”正是展現出船漂流于波濤風雨中的動態。但對於“韶光”，汪榕培先生運用了意象的省略策略，以“all”相代指代上文的景致，行文上簡潔幹脆。

五、結語

概念隱喻是基于人類的主觀經驗而形成的，在探索《牡丹亭》這類抽象情感的經驗時，我們就不得不尋求概念隱喻的幫助。所以本文基于認知隱喻理論，從許淵衝和汪榕培譯本入手，研究湯顯祖《牡丹亭·驚夢》中所運用的意象。分析了兩類意象隱喻的運行機制，對比不同譯本對於不同意象的翻譯策略，包括意象的移植、轉化、省略和補償策略。Lakoff和Johnson的認知隱喻觀無形中為文學作品的英譯留下了寶貴的財富，它不僅衍生出概念隱喻，更讓文學作品的傳播進入了新的時代。

考慮到昆曲藝術的翻譯正處在蒸蒸日上的時期，可參考的英譯研究并不多，針對其文化意象英譯的研究更是捉襟見肘，本文祇是簡單選取《牡丹亭·驚夢》中的三處意象進行研究，對不同譯本關於文化意象的英譯提出自己的理解，其深度也比較淺顯。同時受限于本人對於文化意象英譯這一淵博學問認識及思考研究能力

的不成熟，本文仍存在一些問題，今後若有條件，能够更進一步對《牡丹亭·驚夢》中文化意象的英譯進行研究。

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Translation Strategies of Cultural Images in *Peony Pavilion* from the Perspective of Cognitive Metaphor

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[Abstract] *Based on the theory of cognitive metaphor, this paper classifies and investigates the cultural images in Kunqu Opera Peony Pavilion from the perspective of cognitive mechanism of conceptual metaphor. It makes a comparative analysis of Xu Yuanchong's and Wang Rongpei's versions and discusses the translation strategies of image metaphor, such as image transplantation, transformation, omission and compensation.*

[Keywords] *Cognitive metaphor; Peony Pavilion; Image; Translation strategy*

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