

高等院校双语教材

社会学系列

人类学

(第十二版)

Anthropology

The Exploration of Human Diversity

(Twelfth Edition)

[美] 康拉德·菲利普·科塔克 著
(Conrad Phillip Kottak)

庄孔韶 编审

冯 跃 改编

中国人民大学出版社



Anthropology

Anthropology is the study of humankind's past and present. Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

Anthropologists study the biology, behavior, and culture of people.

高等院校双语教材
社会学系列

人类学

(第十二版)

Anthropology

The Exploration of Human Diversity

(Twelfth Edition)

[美] 康拉德·菲利普·科塔克 著
(Conrad Phillip Kottak)
庄孔韶 编审
冯跃 改编

中国 人 民 大 学 出 版 社
· 北京 ·

图书在版编目 (CIP) 数据

人类学 (第 12 版) / (美) 科塔克著; 庄孔韶编审, 冯跃改编.

北京: 中国人民大学出版社, 2008

高等院校双语教材·社会学系列

ISBN 978-7-300-09318-5

I. 人…

II. ①科…②庄…③冯…

III. 人类学-双语教学-高等学校-教材

IV. Q98

中国版本图书馆 CIP 数据核字 (2008) 第 064582 号

高等院校双语教材·社会学系列

人类学

(第十二版)

[美] 康拉德·菲利普·科塔克 著

庄孔韶 编审

冯 跃 改编

出版发行 中国人民大学出版社

社 址 北京中关村大街 31 号 **邮政编码** 100080

电 话 010-62511242 (总编室) 010-62511398 (质管部)

010-82501766 (邮购部) 010-62514148 (门市部)

010-62515195 (发行公司) 010-62515275 (盗版举报)

网 址 <http://www.crup.com.cn>
<http://www.ttrnet.com> (人大教研网)

经 销 新华书店

印 刷 河北涿州星河印刷有限公司

规 格 215 mm×275 mm 16 开本 **版 次** 2008 年 9 月第 1 版

印 张 27.25 插页 1 **印 次** 2008 年 9 月第 1 次印刷

字 数 851 000 **定 价** 59.80 元

导言

作为在密歇根讲坛上辛勤耕耘了近 40 年的人类学者，科塔克教授 (Conrad Phillip Kottak, Ph.D., Columbia University) 不仅在生态环境及经济人类学研究领域贡献颇多，更是在人类学的教学与知识普及方面影响深远。由他主编的《人类学》教科书已经连续更新十余个版本，在北美众多人类学教材中堪称典范。科塔克教授本人也因此获得“北美人类学协会” (AAA) 颁发的“人类学本科教学杰出贡献奖” (1999) 的殊荣。

能够编写出一本十分有分量并经得起推敲的教材并非易事，读者手中拿到的这本新版《人类学》教材，已经是作者在第十二次修改基础上完成的。正如科塔克教授本人所言：“这本书的目的是让读者获得对人类学这门学科最为系统性、前沿性和整体性的把握，同时在教材编写的可读性、拓展性及启发性上深下工夫。”当然在主题的设定上，作者依然尝试整合多重观点，灵活地转换教学视角，帮助不同阅读群体深入领会教材主旨。因此，在每个版本的修改过程中，作者在编写格式、体系及内容上都会有所不同。

最近，我们很高兴能够获得他的最新版本《人类学》的中国地区改编权。受中国人民大学出版社之托，我们在为中国读者缩编这本人类学英文教材的时候，有机会尝试理解原作者科塔克教授的编写结构与用意，总是力求保留原书的基本框架与线索；然而，考虑到国内读者对教科书的阅读习惯，中、美教材在文化理解及问题引申等方面的思路差异，以及适应中国大学教学周期和教科书/教辅读物的要求，我们在保持原作者的主干教材的同时，增加了少量中译篇幅以方便中国读者，同时又不得不对英文原版内容做了如下删节与调整：

1. 增加原书“目录”与“关键词”之中译工作；
2. 对每一章的“Interesting Issues”、“Beyong the Classroom”、“News Brief”、“Bringing it all together”、“Understanding Ourselves”、“Internet Connection”、“Living Anthropology Videos”七个部分酌情删减。
3. 在每个章节的结尾部分，保留了“小结”、“思考题”及“推荐书目”，删去在线训练及相关链接部分。
4. 对每个章节中的图片及图表，仅保留了首页图片，删去了正文的大部分图片，同时保留少量必要的图表。
5. 在附录部分，保留了“人类学理论史”和“人类学与伦理”两部分内容，删去“美国大众文化”部分。
6. 保留了全书的关键词索引，删掉了参考文献、致谢、姓名索引及主题索引。

显然，囿于篇幅，如何增删仅仅是仁者见仁，智者见智的事情，只能凭借主编者的教学体验，以及在仔细思考和征求其他专家意见之后做出一种选择，尽管可能还有其他可供选择的方案。笔者认为，就大学本科生的教学需求和一般读者的兴趣而言，上述调整与增删也许已经够用，但对于深入研究之需，则要根据授权中国地区出版的英文本教科书里标明的版权页和相应的资料出处，自行寻找原版教材（特别是对于人类学教师的教学准备而言）和进一步的相关的人类学参考资料。我们希望读者能以本书为引导，对照中文版的人类学译本，对感兴趣的篇章做进一步的拓展阅读。

众所周知，人类学在中国是一门年轻的、发展中的学科，我们编辑的这一出版物是近年来数以百计的人类学读物之一，然而，教材类的读物并不多见，我们感谢中国人民大学出版社诸位编辑，他（她）们的远见卓识促成了一系列人类学教材和教辅读物刊行。随着大量兄弟院校、出版机构对人类学普及事业的热心，我们相信人类学将会不断赢得更多的追随者和爱好者。

庄孔韶 冯 跃

2008 年 7 月

Brief Contents

PART I The Dimensions of Anthropology 3

- 1** What Is Anthropology? 3
- 2** Applying Anthropology 15

PART II Physical Anthropology and Archaeology 29

- 3** Ethics and Methods in Physical Anthropology and Archaeology 29
- 4** Evolution and Genetics 43
- 5** Human Variation and Adaptation 59
- 6** The Primates 69
- 7** Primate Evolution 89
- 8** Early Hominins 103
- 9** The Genus *Homo* 119
- 10** The First Farmers 139
- 11** The First Cities and States 157

Part III Cultural Diversity 175

- 12** Methods in Cultural Anthropology 175
- 13** Culture 189
- 14** Ethnicity and Race 201
- 15** Language and Communication 221
- 16** Making a Living 237
- 17** Political Systems 257

18 Families, Kinship, and Descent 279

19 Marriage 295

20 Gender 311

21 Religion 329

22 The Arts 349

Part IV The Changing World 363

23 The Modern World System 363

24 Colonialism and Development 375

25 Cultural Exchange and Survival 393

Appendix 1: A History of Theories in Anthropology 405

Appendix 2: Ethics and Anthropology 415

简明目录

第一部分 人类学的领域	3
第1章 什么是人类学?	3
第2章 应用人类学	15
第二部分 体质人类学与考古学	29
第3章 伦理规范与研究方法	29
第4章 进化与遗传学	43
第5章 人类的变化及适应	59
第6章 灵长类动物	69
第7章 灵长类动物的进化	89
第8章 早期人猿	103
第9章 人属	119
第10章 早期的农人	139
第11章 早期的城市与国家	157
第三部分 文化多样性	175
第12章 文化人类学研究方法	175
第13章 文化	189
第14章 族性与种族	201
第15章 语言与交际	221
第16章 生活方式	237
第17章 政治系统	257
第18章 家庭、亲属制度与继嗣	279
第19章 婚姻	295
第20章 性别	311
第21章 宗教	329
第22章 艺术	349
第四部分 变化中的世界	363
第23章 现代世界体系	363
第24章 殖民主义与发展	375
第25章 文化变革与生存	393
附录1：人类学理论史	405
附录2：伦理规范与人类学	415

Contents

PART I The Dimensions of Anthropology 3

1 What Is Anthropology? 3

- Human Adaptability 3
- Adaptation, Variation, and Change 4
- General Anthropology 5
 - Cultural Forces Shape Human Biology 6
- The Subdisciplines of Anthropology 6
 - Cultural Anthropology 6
 - Archaeological Anthropology 7
 - Biological, or Physical, Anthropology 8
 - Linguistic Anthropology 9
- Anthropology and Other Academic Fields 9
 - Cultural Anthropology and Sociology 10
 - Anthropology and Psychology 10
- Science, Explanation, and Hypothesis Testing 10



2 Applying Anthropology 15

- What Is Applied Anthropology? 15
- The Role of the Applied Anthropologist 17
- Academic and Applied Anthropology 18
 - Theory and Practice 18
 - Anthropology and Education 19
- Urban Anthropology 20
 - Urban versus Rural 20
- Medical Anthropology 21
- Anthropology and Business 22
- Careers and Anthropology 23



PART II Physical Anthropology and Archaeology 29

3 Ethics and Methods in Physical Anthropology and Archaeology 29

Ethics	29
Methods	31
Multidisciplinary Approaches	31
Primateology	32
Anthropometry	32
Bone Biology	33
Molecular Anthropology	33
Paleoanthropology	34
Survey and Excavation	34
Systematic Survey	34
Excavation	35
Kinds of Archaeology	36
Dating the Past	36
Relative Dating	37
Absolute Dating: Radiometric Techniques	37
Absolute Dating: Dendrochronology	38
Molecular Dating	39

4 Evolution and Genetics 43

Evolution	43
Theory and Fact	44
Genetics	46
Mendel's Experiments	46
Independent Assortment and Recombination	47
Biochemical, or Molecular, Genetics	48
Cell Division	49
Crossing Over	49
Mutation	49
Population Genetics and Mechanisms of Genetic Evolution	50
Natural Selection	50
Random Genetic Drift	52
Gene Flow	52
The Modern Synthesis	53
Punctuated Equilibrium	54

5 Human Variation and Adaptation 59

Race: A Discredited Concept in Biology	59
Races Are Not Biologically Distinct	60
Explaining Skin Color	61
Human Biological Adaptation	62
Genes and Disease	63
Facial Features	64
Size and Body Build	64
Lactose Tolerance	65

6 The Primates 69

Our Place among Primates	69
Homologies and Analogies	71
Primate Tendencies	72
Prosimians	74
Anthropoids	74

Monkeys	74
New World Monkeys	75
Old World Monkeys	76
Apes	76
Gibbons	77
Orangutans	77
Gorillas	77
Chimpanzees	78
Bonobos	79
Endangered Primates	79
Similarities between Humans and Nonhuman Primates	80
Learning	81
Tools	81
Predation and Hunting	81
Aggression and Resources	82
Differences between Humans and Nonhuman Primates	83
Sharing and Cooperation	83
Mating and Kinship	83
Behavioral Ecology and Fitness	84

7 Primate Evolution 89

Fossils and Chronology	89
Early Primates	91
Early Cenozoic Primates	92
Oligocene Anthropoids	93
Early Miocene Hominoids	94
<i>Proconsul</i>	94
<i>Afropithecus</i>	95
Eurasian Apes	95
<i>Dryopithecus</i>	95
<i>Sivapithecus</i>	95
<i>Gigantopithecus</i>	96
<i>Oreopithecus</i>	96
A Missing Link?	97
<i>Pierolapithecus catalaunicus</i>	97
“Toumai”	98
<i>Orrorin tugenensis</i>	99

8 Early Hominins 103

What Makes Us Human?	103
Bipedalism	104
Brains, Skulls, and Childhood Dependency	104
Tools	105
Teeth	105
Chronology of Hominin Evolution	105
The Earliest Hominins	105
<i>Ardipithecus</i>	105
<i>Kenyanthropus</i>	106
The Varied Australopithecines	107
<i>Australopithecus anamensis</i>	107
<i>Australopithecus afarensis</i>	107
Gracile and Robust Australopithecines	111
The Australopithecines and Early <i>Homo</i>	113
Oldowan Tools	113
<i>A. garhi</i> and Early Stone Tools	114

9 The Genus *Homo* 119

Early <i>Homo</i>	119
<i>H. rudolfensis</i> and <i>H. habilis</i>	120
<i>H. habilis</i> and <i>H. ergaster/erectus</i>	120
Out of Africa I: <i>H. erectus</i>	121
Paleolithic Tools	122
Adaptive Strategies of <i>H. erectus</i>	122
The Evolution and Expansion of <i>H. erectus</i>	123
Archaic <i>H. sapiens</i>	125
Ice Ages of the Pleistocene	125
<i>H. antecessor</i> and <i>H. heidelbergensis</i>	126
The Neandertals	127
Cold-Adapted Neandertals	127
The Neandertals and Modern People	127
Anatomically Modern Humans (AMHs)	129
Out of Africa II	129
Multiregional Evolution	130
Advances in Technology	131
Glacial Retreat	133
Cave Art	133
The Mesolithic	134
<i>Homo floresiensis</i>	135

10 The First Farmers 139

The Neolithic	139
The First Farmers and Herders in the Middle East	141
Genetic Changes and Domestication	142
Food Production and the State	143
Other Old World Food Producers	144
The African Neolithic	144
The Neolithic in Europe and Asia	145
The First American Farmers	146
America's First Immigrants	146
The Foundations of Food Production	147
Early Farming in the Mexican Highlands	148
From Early Farming to the State	149
Explaining the Neolithic	149
Geography and the Spread of Food Production	150
Costs and Benefits	152

11 The First Cities and States 157

The Origin of the State	157
Hydraulic Systems	158
Long-Distance Trade Routes	158
Population, War, and Circumscription	158
Attributes of States	160
State Formation in the Middle East	160
Urban Life	160
The Elite Level	162
Social Ranking and Chiefdoms	162
How Ethnography Helps in Interpreting the Archaeological Record	163
Advanced Chiefdoms	164
The Rise of the State	164
Other Early States	166
African States	167
State Formation in Mesoamerica	168

Early Chiefdoms and Elites	168
States in the Valley of Mexico	169
Why States Collapse	170
The Mayan Decline	170

PART III Cultural Diversity 175



12 Methods in Cultural Anthropology 175

Ethical Considerations: Networking and Reciprocal	175
Methods—Ethnography	177
Ethnographic Techniques	177
Observation and Participant Observation	178
Conversation, Interviewing, and Interview Schedules	178
The Genealogical Method	179
Key Cultural Consultants	179
Life Histories	179
Local Beliefs and Perceptions, and the Ethnographer's	180
The Evolution of Ethnography	180
Problem-Oriented Ethnography	181
Longitudinal Research	181
Team Research	182
Culture, Space, and Scale	183
Survey Research	183

13 Culture 189

What Is Culture?	189
Culture Is Learned	190
Culture Is Shared	190
Culture Is Symbolic	191
Culture and Nature	191
Culture Is All-Encompassing	192
Culture Is Integrated	192
Culture Can Be Adaptive and Maladaptive	192
Culture and the Individual: Agency and Practice	192
Levels of Culture	193
Ethnocentrism, Cultural Relativism, and Human Rights	194
Universality, Generality, and Particularity	195
Universality	195
Generality	196
Particularity: Patterns of Culture	196
Mechanisms of Cultural Change	197
Globalization	197

14 Ethnicity and Race 201

Ethnic Groups and Ethnicity	201
Status Shifting	203
Race	204
The Social Construction of Race	204
Hypodescent: Race in the United States	204
Race in the Census	205
Not Us: Race in Japan	206
Phenotype and Fluidity: Race in Brazil	208
Stratification and “Intelligence”	208
Ethnic Groups, Nations, and Nationalities	210

Nationalities and Imagined Communities	210
Peaceful Coexistence	211
Assimilation	211
The Plural Society	211
Multiculturalism and Ethnic Identity	211
Roots of Ethnic Conflict	212
Prejudice and Discrimination	213
Chips in the Mosaic	213
Aftermaths of Oppression	213

15 Language and Communication 221

What Is Language?	221
Nonhuman Primate Communication	222
Call Systems	222
Sign Language	222
The Origin of Language	224
Nonverbal Communication	224
The Structure of Language	225
Speech Sounds	225
Language, Thought, and Culture	226
The Sapir-Whorf Hypothesis	226
Focal Vocabulary	227
Meaning	227
Sociolinguistics	228
Linguistic Diversity	228
Gender Speech Contrasts	229
Language and Status Position	229
Stratification	230
Black English Vernacular (BEV)	231
Historical Linguistics	232

16 Making a Living 237

Adaptive Strategies	237
Foraging	238
Correlates of Foraging	240
Cultivation	240
Horticulture	241
Agriculture	241
The Cultivation Continuum	242
Intensification: People and the Environment	242
Pastoralism	243
Modes of Production	244
Production in Nonindustrial Societies	244
Means of Production	245
Alienation in Industrial Economies	246
Economizing and Maximization	247
Alternative Ends	247
Distribution, Exchange	248
The Market Principle	248
Redistribution	248
Reciprocity	248
Coexistence of Exchange Principles	249
Potlatching	250

17 Political Systems 257

- What Is “The Political”? 257
- Types and Trends 258
- Bands and Tribes 259
 - Foraging Bands 259
 - Tribal Cultivators 260
 - The Village Head 261
 - The “Big Man” 262
- Pantribal Sodalities and Age Grades 263
- Nomadic Politics 265
- Chiefdoms 266
 - Political and Economic Systems in Chiefdoms 266
 - Social Status in Chiefdoms 267
 - Status Systems in Chiefdoms and States 267
 - The Emergence of Stratification 268
- States 268
 - Population Control 268
 - Judiciary 269
 - Enforcement 269
 - Fiscal Systems 270
- Social Control 270
 - Hegemony 270
 - Weapons of the Weak 271
 - Politics, Shame, and Sorcery 271

18 Families, Kinship, and Descent 279

- Families 279
 - Nuclear and Extended Families 280
 - Industrialism and Family Organization 281
 - Changes in North American Kinship 282
 - The Family among Foragers 283
- Descent 284
 - Descent Groups 284
 - Lineages, Clans, and Residence Rules 285
 - Ambilineal Descent 286
 - Family versus Descent 286
- Kinship Calculation 286
 - Genealogical Kin Types and Kin Terms 287
- Kinship Terminology 288
 - Lineal Terminology 288
 - Bifurcate Merging Terminology 288
 - Generational Terminology 289
 - Bifurcate Collateral Terminology 290

19 Marriage 295

- What Is Marriage? 295
- Incest and Exogamy 296
- Explaining the Taboo 297
- Endogamy 300
 - Caste 300
 - Royal Endogamy 301
- Marital Rights and Same-Sex Marriage 301
- Marriage as Group Alliance 302
 - Bridewealth and Dowry 303

Durable Alliances 304

Divorce 304

Plural Marriages 305

Polygyny 306

Polyandry 307

20 Gender 311

Sex and Gender 311

Recurrent Gender Patterns 313

Gender among Foragers 315

Gender among Horticulturalists 317

Gender among Agriculturalists 318

Patriarchy and Violence 320

Gender and Industrialism 320

The Feminization of Poverty 321

Sexual Orientation 323

21 Religion 329

What Is Religion? 329

Origins, Functions, and Expressions of Religion 330

Animism 330

Mana and Taboo 331

Magic and Religion 331

Anxiety, Control, Solace 331

Rituals 332

Rites of Passage 332

Totemism 334

Religion and Cultural Ecology 334

Sacred Cattle in India 334

Social Control 335

Kinds of Religion 337

Religion in States 338

Protestant Values and the Rise of Capitalism 338

World Religions 338

Religion and Change 339

Revitalization Movements 340

Syncretisms 340

Antimodernism and Fundamentalism 342

A New Age 342

Secular Rituals 343

22 The Arts 349

What Is Art? 349

Art and Religion 350

Locating Art 351

Art and Individuality 352

The Work of Art 353

Art, Society, and Culture 353

Ethnomusicology 354

Representations of Art and Culture 356

Art and Communication 356

Art and Politics 356

The Cultural Transmission of the Arts 357

The Artistic Career 358

Continuity and Change 359

PART IV The Changing World 363



23 The Modern World System 363

- The Emergence of the World System 363
- Industrialization 365
 - Causes of the Industrial Revolution 365
- Stratification 367
 - Industrial Stratification 367
 - Open and Closed Class Systems 368
- The World System Today 368
 - Industrial Degradation 369

24 Colonialism and Development 375

- Colonialism 375
 - Imperialism 376
 - British Colonialism 376
 - French Colonialism 377
 - Colonialism and Identity 378
 - Postcolonial Studies 379
- Development 379
 - Neoliberalism 379
- The Second World 380
 - Communism 380
 - Postsocialist Transitions 381
- Development Anthropology 383
 - The Greening of Java 384
 - Equity 384
- Strategies for Innovation 386
 - Overinnovation 386
 - Underdifferentiation 387
 - Third World Models 387

25 Cultural Exchange and Survival 393

- Acculturation 393
 - Contact and Domination 394
 - Development and Environmentalism 394
 - Religious Change 395
 - Cultural Imperialism 396
 - Making and Remaking Culture 397
 - Popular Culture 397
 - Indigenizing Popular Culture 397
 - A World System of Images 397
 - A Transnational Culture of Consumption 398
 - People in Motion 398
 - Indigenous Peoples 399
 - Identity in Indigenous Politics 400
 - Indigenous Peoples and Ethnography 401
 - The Continuance of Diversity 401
- Appendix 1: A History of Theories in Anthropology 405
Appendix 2: Ethics and Anthropology 415