

Thesis Writer's Guide
Making an Argument in the Humanities
and Social Sciences



人文与社会科学
学术论文写作指南

(汉英对照)

[美] 迈克尔·E.查普曼 著 [美] 桑凯丽 译



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著作权合同登记号 图字：01-2012-0598

图书在版编目(CIP)数据

人文与社会科学学术论文写作指南/(美)迈克尔·E.查普曼著;(美)桑凯丽译. —北京:北京大学出版社,2012.12

ISBN 978-7-301-21176-2

I. ①人… II. ①查…②桑… III. ①人文科学—论文—写作②社会科学—论文—写作 IV. ①H052

中国版本图书馆 CIP 数据核字(2012)第 210366 号

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Published in the People's Republic of China by Peking University Press.

书 名: 人文与社会科学学术论文写作指南

著作责任者: [美]迈克尔·E.查普曼 著 [美]桑凯丽 译

策划编辑: 赵学敏

责任编辑: 赵学敏

标准书号: ISBN 978-7-301-21176-2/C·0797

出版发行: 北京大学出版社

地 址: 北京市海淀区成府路 205 号 100871

网 址: <http://www.pup.cn> 新浪官方微博: @北京大学出版社

电子信箱: zyjy@pup.cn

电 话: 邮购部 62752015 发行部 62750672 编辑部 62754934

出版部 62754962

印 刷 者: 三河市博文印刷厂

经 销 者: 新华书店

650 毫米×980 毫米 16 开本 13.25 印张 180 千字

2012 年 12 月第 1 版 2012 年 12 月第 1 次印刷

定 价: 35.00 元

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谨以此书献给我尊重的中国读者

Sincerely dedicated to my Chinese readers

推荐序

改革开放以来，中国各大学都越来越注重学术研究和学术论文的发表，一些学校还立志要在学术水准上赶超世界一流大学。这方面的进步是明显的。以本人所在的北京大学为例，从2001年到2010年的十年间，被SCI（Science Citation Index）收录的论文（以理、工、医论文为主），数量从2001年的1700余篇增加到了2010年的4700余篇，质量若以影响指数（Impact Factor）计算，则从不足1.0提升到了2.97。与此相对应，学科质量也有了明显提高。如果按照国际上22个学科的划分标准和评价指标（Essential Science Indicators），十年前北大只有4个学科能够进入全球最好的1%，而如今已经达到了17个，排名顺序也在快速前移。但是，研究北大我们也发现，在北大具有传统优势的人文社科的论文发表，特别是在国际学术界的影响力，其进步好像不如理、工、医学科明显。这是为什么呢？迈克尔·E.查普曼的这本《人文与社会科学学术论文写作指南》或许已经给出了答案。

迈克尔·E.查普曼目前在北京大学任教。正如他所观察到的：亚洲国家的论文更倾向于堆砌资料而非解释性分析，而一篇论文应该是有关一个论题的探讨。他说：“论文作者在学术意义上等同于辩护律师。换句话说，一篇论文，无论是博士学位论文还是期刊文章，如果没有明确的论点就不值得被授予学位或得到出版的机会。”

学术论文是学术研究物质化、社会化的载体，它使知识得以跨越时空广泛传播，穿越古今而源远流长，是科研的重要组成部分，集创造、传播、传承、应用于一体。作为严肃的研究性写作，学术论文因学科领域不同而拥有各自独特的写作规范和评定标准。学术论文的写作标准与国际接轨，不仅可以通过比照，自省学业训练的得失，反思国际人才培养经验的优势与不足，而且有利于将自身的学术研究成果推向国际，使更多成果得以在国际期刊上发表，让更多学术精英能够在世界舞台之上展风采。

迈克尔·E.查普曼先生是历史系副教授，国际关系史专家。他生于英国，在美国接受了历史学的学科训练，对于英式英语和美式英语，以及英国和美国的学术规范都有着切身的体验。现已出版几部专著和许多期刊论文，包括他最新的 *Arguing Americanism: Franco Lobbyists, Roosevelt's Foreign Policy, and the Spanish Civil War*（《再论美国主义：弗朗哥政府游说者，罗斯福的外

PREFACE

Since China's 1978 opening and reform, Chinese universities have placed increasing value on scholastic research and publication; some institutions even aspire to surpass the global best universities in the realm of academic standards. Progress has been obvious. Taking my own institution Peking University as an example, in the decade from 2001 to 2010, the annual number of local publications recorded in the Science Citation Index (SCI) (which centers on science, technology, and medical works) has increased from 1700 in 2001 to 4700 in 2010; furthermore, the impact factor of these works has also increased from less than 1.0 to 2.97. Correspondingly, the quality of our academic departments has also clearly risen. If we limit our argument to twenty-two Essential Science Indicators, internationally recognized indices for standardizing and critiquing academic endeavors, ten years ago only four of Peking University's departments could have been considered among the top one percent in the world, while today this number has risen to seventeen, with rapid progress in ranking order. Nevertheless, upon investigating Peking University's case, we also discover that even our traditionally excellent humanities and social science departments have made less than ideal progress toward increasing the influence of their publications on global academia; their growth seems to be less clear than that of the science, engineering, and medical departments. Why is this? Perhaps Michael E. Chapman's *Thesis Writer's Guide* has provided an answer.

Michael Chapman is currently a professor at Peking University. Just as he has observed, the academic papers of Asian countries tend toward repositories of data rather than interpretive analyses. But a paper should be a deep discussion of an argumentative thesis. He says: "Thesis writers are the scholarly equivalent of trial lawyers. To put it another way, a thesis, dissertation, or journal article that does not make an argument is unworthy of a degree or publication."

Academic papers are the materialized and socialized vehicles of scholastic inquiry; as such, they allow knowledge to broadcast widely across time and link the ancient with the current. They are a most important component of academia, bringing together the processes of creating, transmitting, and preserving knowledge into one material object. As the formal products of research, academic papers, owing to the differences among various disciplines, possess a variety of rules and standards of review. The alignment of these standards with international practices not only enables the introspective training of professional academic writers and honest review of the strengths and weaknesses of their cultivation as international scholars, but it also benefits the submission of academic results to the world, making more of our country's scholarship worth publishing and enabling more of our academic elites to stand atop the global stage.

10 推荐序

交政策和西班牙内战》)；其有关“九一八”事变的论文 *Fidgeting Over Foreign Policy: Henry L. Stimson and the Shenyang Incident, 1931* (《外交政策上的焦躁：亨利·L.斯廷森和“九一八”事变》)亦即将在美国顶级期刊 *Diplomatic History* (《外交史》)上发表。

由他执笔的该书可以作为人文学科和社会科学领域论文写作的入门教材。该书的实用性和可读性都很强。全文涉及了从提出问题、寻找线索、搜集资料、明确论点、正式写作到文本编辑等学术论文从构思成文到出版或发表的各个环节；逻辑清晰，简明扼要，深入浅出，并附有大量生动的语汇和作者自身的研究案例。我相信，对本书的精确理解和系统应用将大大提高人文学科和社会科学领域的研究者向国际一流期刊投稿的命中几率，也是有意出版研究专著，尤其是英语研究专著的研究者的必备工具读物。在此特向大家郑重推荐。

学术规范乃学科安身立命之本，厚积薄发之基，希望本书能够像《新华字典》之于初识文断字的小学生一般，成为有志于学术的文科同学的案头必备，得以随时翻阅；更希望各位能善用本书，严守学术规范，维护学术尊严，严明学术纪律，勇攀学术高峰。

周其凤

北京大学校长，2012年

Michael Chapman is an associate professor of history and scholar of international relations. Born in England and trained as a historian in the United States, he has firsthand experience with the linguistic and the academic practices of both countries. He has published several books and monographs, including his latest *Arguing Americanism: Franco Lobbyists, Roosevelt's Foreign Policy, and the Spanish Civil War*, as well as several articles, including his latest "Fidgeting Over Foreign Policy: Henry L. Stimson and the Shenyang Incident, 1931" on the September 18 Shenyang incident, to be published in the leading American journal *Diplomatic History*.

His book *Thesis Writer's Guide* is a fundamental source of study for students in the humanities and social sciences. It offers highly applicable and readable advice on every step of preparing and producing an academic paper, from developing a research question, searching for evidentiary leads, and collecting data, to clarifying a thesis, formally composing an argument, and finally editing your work. Its logic is clear and its style concise, with heady concepts explained in simple terms, using rich vocabulary and an abundance of personal anecdotes throughout. I believe that the precise understanding and systematic implementation of this system will greatly enhance the international standing of researchers in the humanities and social sciences, as well as increase the viability of their works before international publications. The book is a must-read for anyone who wishes to publish his or her research in English, and I earnestly recommend it to everyone.

Academic standards are the lifeblood of a discipline and the foundation of a solid education; therefore, I hope this book may become as fundamental a resource among students as the Xinhua Dictionary is to elementary school students learning to read, with a copy in the hand of every scholar with aspirations in the humanities to be browsed at will. I especially hope that everyone is able to apply this book to the fullest, respecting academic standards, protecting academic dignity, firmly and fairly upholding academic law, and bravely paving the way for new academic breakthroughs.

ZHOU QIFENG, PRESIDENT, PEKING UNIVERSITY, 2012

译者序

人乡随俗。

在翻译《人文与社会科学学术论文写作指南》的过程中，一直体现着这句中国俗语的意义。随着我和本书编辑者对这个任务的努力，我们越来越远离于美式英语读者的文化领域，而走向一个居住着十多亿中文读者的“村庄”。为了得到这些读者的信任并吸引他们的兴趣，我们就需要学会这里的习俗——就是说，学会用谈话性的方式，清楚地、地地道道地表达自己——尽管这样做就需要我们把作者的一部分初衷抛弃在“村庄”门外。

但是这个初衷——就是传播本书作者所认为的经过时间考验的、值得推广的研究、争论和陈述的方法与中国读者的语言和写作风格习惯之间的不同，甚至矛盾，正是我们企图进入这个“村庄”的根本理由。本书作者在前言中坦承，中国学术界好像缺乏一种创作严肃学术作品所需要的充满自信、直截了当、简练的争论方式，这个现象成为他创作《人文与社会科学学术论文写作指南》中文版的一部分动力。可能中国学者确实不习惯于本书英文版在各种层面所体现的直接而且简练的陈述形式，即直率的简介、直接的命令，还有单词的节省使用。中国读者或许更习惯于以第三人称虚心地提供其看法、以常见的“请”字来装饰命令性的句子，并且往往以“比如说”这个短语来作为证据内容开头。怎么解决这个问题呢？

我们的答案是，找到遵循中国“村庄”的习俗和传播美式英语传统之间的中间方法。这个平衡是通过与我的同事邹皓丹的不断积极讨论才得到的——我，努力维持对原文的忠诚，而邹皓丹则尽力使其符合中文阅读习惯。在此，感谢邹皓丹对本书的翻译工作给予的巨大帮助。我们对彼此作品的无数次重写和更改能产生一本体现作者的原意但又不显得完全奇怪的书籍。为此，在我们偶尔决定违反一些中文习惯并也许令中国读者有点不舒服的时候，该决定确实是经过了谦虚的犹豫后作出的。例如，我们选择保持原文的脚注页码格式“p.42”而没有改成中文的标准格式“第42页”，因为p.和pp.的用法就是本书着重说明的观点。我们也尽量减少“请”这个词在直接命令中的使用，因为本书反复提到简练写作方式的重要性。其他的与中文传统的差别还很多，大部分会在《中文格式注意事项》中明确谈到。

TRANSLATORS' FOREWORD

When entering a village, follow its customs.

This Chinese proverb's implications have never been far from the translation of *Thesis Writer's Guide*. As the editors and I strove to render Michael E. Chapman's book in a different language, we left the cultural territory of American English readers and stepped into a village of more than a billion Chinese ones, whose trust we needed to gain and interest we needed to attract. Imperative in this endeavor was learning to follow the customs of the village—or expressing ourselves as conversationally, clearly, and natively as possible—even at the cost of leaving behind some of Chapman's original intent at the gates.

But the difference, even antagonism, between this original intent—namely, to pass on a method of research, argumentation, and exposition that Chapman deems time-tested and worthy of dissemination—and the linguistic and stylistic customs of our Chinese readers, is precisely the reason that we attempted to gain access to the village in the first place. Chapman explains in his introduction that he decided, in part, to write a Chinese edition of *Thesis Writer's Guide* after observing a lack of confidence, directness, and concise argumentation in Chinese scholarship, which he feels are essential today. But if Chinese academics are indeed unused to the frank and parsimonious exposition exemplified on so many levels in the book's English edition, with its plainly stated judgments, direct commands, and economy of words, then how were we to render it in Chinese without offending the sensibilities of readers accustomed to scholars who humbly offer their thoughts in the third person, decorate imperative sentences with the frequent *please*, and rarely fail to precede evidence with the often superfluous words *for example*?

Our answer was to cultivate a middle ground between following the customs of the Chinese village and proselytizing the traditions of our own, a balance that we struck by constant and lively dialogue between the book's two translators—I striving for loyalty to the author's original messages and my colleague Zou Haodan, whose editing efforts deserve special mention and thanks, stressing comfort of use by Chinese readers. Only through scores of rewrites and reconfigurations of each other's work have we created a product that, we hope, embodies Chapman's lessons without sounding alien to our readers. To this end, when we did choose to break from custom at the risk of discomforting our Chinese audience, it was not without humble reluctance and always for good reason. We chose to keep the original footnote pagination format (p. 42) rather than changing it to the standard Chinese format (第42页) because the use of p. and pp. is a point specifically discussed in the guide. We strove to minimize the use of *please* in direct commands because the importance of concise style is also emphasized throughout the book. Other deviations from Chinese tradition abound, most of which the Note on Chinese Style addresses.

Still, the final balance we achieved is imperfect. Some readers will com-

虽然如此，我们最终所得到的平衡无疑仍不完美。有的读者会抱怨，本书中文版没有充分地体现作者所提倡的写作风格，而有的读者则会埋怨它离学术性中文写作的习惯太远。欢迎对这些或其他方面不满的读者把评论、建议和疑问发给我们（swanberg@post.harvard.edu）。我们带着开放的心态，进入这个“村庄”来了，在传播自己的传统的同时，也做好了向中国习俗学习的准备。

桑凯丽

2012年

plain that the Chinese inadequately exemplifies the style Chapman advocates, while others will judge it to be uncomfortably distant from convention. Readers dissatisfied by these or other aspects of the work are welcome to send their comments, suggestions, and questions to swanberg@post.harvard.edu. After all, it is not without open ears and open minds that we have entered your village, ready to learn from its customs even while passing on our own.

KELLEY SWANBERG, 2012

引 言

如果你希望撰写出一篇符合国际公认标准的、高品质的、具有突破性的、有深度的本科论文、硕士学位论文、博士学位论文或者期刊论文，无论是以中文、英文还是其他语言来撰写，我皆保证本指南将适用于你。我的视角是从一个历史学研究者的眼光出发，所以我所列举的案例自然皆来源于我进行历史研究的经验，而并非来源于诸如哲学等其他领域。不过，我所论述的这套方法也同样适用于与历史学有关的学科领域，例如民族志学、国际关系学或文学，还适用于从政治学到社会学这些会使用其他引用方式的社会科学领域。尽管我于1954年生于英国，但于2002—2006年在美国求学并受到专业训练。之所以提到这一点，是因为从20世纪90年代开始，在改良以引语段、被动态和轻浅的立论著称的欧洲模式的基础上形成的这套美式方法，其论证过程更加主动、文本分析更加深入、立论更加有说服力。此外，比起在欧洲、印度和亚洲的学校所教授的英式英语，美式英语因其在连贯性与精确性方面具有优势，目前正成为最具权威的国际学术期刊和出版社的标准语言。

我在中国的同事越来越感到亚洲国家的论文更倾向于堆砌资料而不是作解释性分析，故而促请我出版这本指南以纠错。事实上，我深有同感。最近在北京大学研究生的讨论班里，我问学生们：“什么是论文呢？”其中一个回答：“我的论题。”另一个补充说：“我的研究工作。”当他们发现字典中关于“论文”的解释是“一篇论文是以论证的形式提出的论点”时，感到很惊讶。确实，一篇论文是有关一个论题的探讨，并且呈现了作者的研究，但它同时也解读研究资料，以便把事实当做论据。论文作者在学术意义上等同于辩护律师。换句话说，一篇论文，无论是博士学位论文还是期刊文章，如果没有明确的论点就不值得被授予学位或得到出版的机会。

考虑到本指南的易用性和对于非英语国家读者的可读性，我把本书分为通过头脑风暴形成一个论点、搜集论据、写作和出版四个部分，每一部分再细分任务，然后再细分，直到差不多能够用一段来表述一个关键问题的程度。我感到抱歉的是，如此划分产生内容重复将无可避免，但是很多关键性的观点是值得被反复强调的。我的阅读建议是：先略读本指南，然后根据自身研究的项目、研究方法和研究进度，反过来再进行有选择的各部分的精读。在研究过程中，每年最好都要重读一遍本指南，因为实践可能会使得以前不懂的内容越来越清晰明晰。

INTRODUCTION

If you intend to produce a high-quality, groundbreaking senior research paper, graduation thesis, MA thesis, PhD dissertation, or journal article, whether in English, Chinese, or any other language, and in conformity with internationally-recognized standards, then this guide is for you. My perspective happens to be that of a historian, so naturally I will draw examples from my experience of doing history rather than, say, philosophy. Yet the system I describe applies just as well to related disciplines like ethnography, international relations, or literary studies, as well as to most social sciences fields from political science to sociology that may use alternative styles of citation. While I was born in Britain in 1954, I trained most recently in the United States during 2002—2006; I mention this because since the 1990s American historiography has improved on the European model characterized by multi-sentence quotations, passive voice, and understated argumentation to create expositions that are more textually immersive, actor driven, and argumentative. As distinct from the British English taught in European, Indian, and Asian schools, American English furthermore offers benefits of flow and precision, and is now normative at leading journals and publishing houses worldwide.

Colleagues in China urged me to publish this guide from a concern that Asian theses had become repositories of information rather than interpretive analyses. Indeed, at a recent graduate seminar at Peking University's history department, I asked my PhD students, "What is a thesis?" to which one replied, "My topic," and another added, "My research." They were surprised to hear the standard dictionary definition: "A thesis is *a proposition advanced as an argument.*" Yes, a thesis is about a topic, and, for sure, it does present research, but it interprets that research as evidence to build a case. Thesis writers are the scholarly equivalent of trial lawyers. To put it another way, a thesis, dissertation, or journal article that does not make an argument is unworthy of a degree or publication.

For ease of use, as well as readability by non-native English speakers, I have divided the process of brainstorming, gathering the evidence, writing, and publishing a thesis into four chapters, each of which I subdivide into tasks, and subdivide again virtually at the paragraph level into important points I wish to make. All this dividing has inevitably created duplication, for which I apologize, although the more crucial points bear restatement. I recommend skimming this guide at the outset, then returning to it in detail, a section here, a section there, as your project—and expertise—progresses. Re-read the guide each year of your program because concepts that might not make sense now will soon become clear.

请允许我给欧洲和北美以外的研究者一个建议。在亚洲和南美的社会科学研究领域，只有为数不多的毕业生用英文发表他们的成果。我希望本指南将给予你们用英文写作的信心，因为如此一来你会进入一个更广阔的学术领域，并在自己的同道中出类拔萃。随着研究质量的提高，你的研究将得到与之相应的国际认可，你所在的研究机构将会声名鹊起，从而提高你的学位的含金量。不过，我在中国大学的两年教学经验使我意识到了其中所面临的困难，并使我意识到其实我的一些建议，尤其是有关图书馆程序和档案查询的建议，在当前是不可行的。但是假使有足够的学生和教师有志于改进，我相信并期待，在本指南出版后的几年时间里，通过馆际互借得到一本书或者一个缩微胶卷，将不再需要支付一笔很高的费用；浏览开架书库和政府档案或者查阅丰富的网络在线资料，将不需要再进行付费。

学者在使用专业术语时未必十分严格，比如可能会交替使用“引证”、“引用”和“脚注”。请翻阅本书附注的词汇表，以免混淆以上专业术语。为了避免正文中遍布着零碎的案例，我将全书中用以说明关键概念和方法的案例汇总为独立的案例部分；其中许多案例都来源于我自己的写作成果，之所以如此，并非由于我骄矜自满，而是为了避免知识产权的纠纷。

假如你对本指南将来的第二次印刷有任何问题或看法，或者你发现我之前并未注意到的错误，敬请致函 m4chapman@verizon.net 予以告知。

我要对以下人士表示衷心感谢：我充满悟性的学生，评论这本书最初版本的人，特别是罗伯特·尼布尔（Robert Niebuhr）、钟逸明、桑凯丽（Kelley M. Swanberg）和邹皓丹，以及买到此指南的你。亲爱的读者——我希望它能够对你有所帮助。

迈克尔·E. 查普曼
北京大学副教授
2012年

A note, if I may, for researchers and writers outside Europe and North America. Few social sciences graduates in Asia and South America present their work in English. I hope this guide gives you the confidence to do so because you will then be able to reach a far larger scholarly universe, while distinguishing yourself from other graduates. As the quality of your work improves and it receives the international recognition it deserves, so the prestige of your institution will rise, thereby increasing the value of your degree. Still, having spent the last two years teaching at a Chinese university, I am well aware of the bureaucratic hurdles and institutional inertia you face, and that some of my recommendations, particularly regarding library procedures and archival accessibility, are inappropriate. But providing sufficient students and faculty lobby for improvements, I am optimistic that within a few years of this guide's publication, it will be possible to request a book or roll of microfilm from interlibrary loan without paying a hefty fee, or browse through open stacks of books and government documents, or quickly access a rich array of online databases without a charge.

Academics are not always rigorous in their use of professional terms, interchanging, say, *citation*, *reference*, and *footnote*, so to avoid confusion please consult the glossary at the end of the guide. Rather than fill the main chapters with clutter, I have included samples of work that illustrate key concepts and styles in a separate Examples section; several of the samples are my own work, not from egotism but to simplify copyright issues.

If you have questions or suggestions for enhancements to the second printing, or if you spot errors that have slipped my attention then please email: m4chapman@verizon.net.

My sincerest thanks to my students for your insights; to those who provided feedback on early drafts, particularly Robert Niebuhr, Cheng Yimeng, Kelley Swanberg and Zou Haodan; and to you, dear reader, for buying this guide—I hope you find it useful.

MICHAEL E. CHAPMAN,
ASSOCIATE PROFESSOR,
PEKING UNIVERSITY, 2012

中文格式注意事项

在19世纪，学者为补充中文标点句号“。”和顿号“、”的不足而增加了引号和其他符号的时候，不但借用了英式符号，而且保留了一些必需的本土传统。例如，英式符号以斜体字表达概念的方法虽然很容易在罗马字体环境下得到应用、在中文字体的环境下却显得不切实际，因此没有采纳斜体字形式，而是保留了中文传统。正如英式和美式标点体系的差别导致了环大西洋地区的符号混乱一样，中文使用地区由于标点发展而引起的不同格式习惯也导致了环太平洋地区的格式混乱，这种情况无论是在本科一年级论文的写作还是出版学术作品方面都有所体现。在谈到英语的标点用法时，本书遵照的是《芝加哥论文格式手册》所倡导的美式英语格式系统，即人文学科和社会科学领域撰写正式英语文章的实际国际通用标准。按照《芝加哥论文格式手册》的要求，本指南强调在中文写作时标点格式简化和一致化的必要性，不过却没有遵照香港的普遍趋势，即在写作时使用英文句号“.”而不用中文的“。”，或者使用英文的逗号“，”而不是中文的顿号“、”。

在本指南的中文文本中有以下几点需要说明。

- 书名号标注的斜体字标示任何出版作品名称，包括电影片名。¹例如：
我将探讨王岱的《雅典共和国》。

I will discuss *The Athenian Republic*, by Wang Dai.²

- 书名号标示英语书写时以斜体字、罗马字体显示的内容。例如：
我将探讨王岱的《柏拉图〈理想国〉的历史》。

I will discuss *The History of Plato's Republic*, by Wang Dai.

- 所有逗号和句号都被置于引号中，无论它们是否是原文的一部分（只有在添加冒号、分号或者问号时，才要把这些符号放在引号外）。³例如：

[原文] 亨利·戴维·梭罗（1849年）：“直到国家认可个体的更高层级的、独立的力量，并意识到个体力量是国家权力和权威的来源，并且给予个体相应的待遇，否则，它永远不会成为一个自由并开明的国家。”

[隐含性引言] 梭罗相信一个进步着的社会取决于国家是否认可“个

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2. 为了简化，假设本书中作为案例所提到的作品同时存在英语和中文两种版本。

3. 根据中文惯例，本书中文正文部分的逗号和句号将根据需要调整，并非都置于引号中。英语惯例请遵循英语部分的表述。——编者注