

ISL

文学跨学科研究

Interdisciplinary Studies of Literature

Vol. 7, No. 1, March 2023

ISSN 2520-4920(Print)

ISSN 2616-4566(Online)

Interdisciplinary Studies of Literature

文学跨学科研究

Volume 7, Number 1
March 2023



Published by
Knowledge Hub Publishing Company Limited
Hong Kong

Interdisciplinary Studies of Literature

文学跨学科研究

Volume 7, Number 1
March 2023

Editor

Nie Zhenzhao, Guangdong University of Foreign Studies

Associate Editors

Wu Di, Zhejiang University

Wang Yong, Zhejiang University

Director of Editorial Office

Yang Gexin, Zhejiang University

Published by

Knowledge Hub Publishing Company Limited

Hong Kong

About: *Interdisciplinary Studies of Literature* (“ISL”) is a peer-reviewed journal sponsored by Guangdong University of Foreign Studies and Zhejiang University and published by Knowledge Hub Publishing Company (Hong Kong) in collaboration with the International Conference for Ethical Literary Criticism. With a strategic focus on literary, ethical, historical and interdisciplinary approaches, ISL encourages dialogues between literature and other disciplines of humanities, aiming to establish an international platform for scholars to exchange their innovative views that stimulate critical interdisciplinary discussions. ISL publishes four issues each year in both Chinese and English.

International Conference for Ethical Literary Criticism (ICELC, since 2012) is an annual international conference for academics and research-oriented scholars in the area of literature and related disciplines. ICELC is the flagship conference of the International Association for Ethical Literary Criticism which is an international literary and cultural organization aiming to link all those working in ethical literary criticism in theory and practice and to encourage the discussions of ethical function and value in literary works and criticism.

Interdisciplinary Studies of Literature is registered with ISSN 2520-4920(print) and 2616-4566(online), and is indexed by Arts and Humanities Citation Index. It is also included in EBSCO, MLA International Bibliography and Annual Bibliography of English Language and Literature.

Submissions and subscription: As the official journal of International Association for Ethical Literary Criticism (IAELC), *Interdisciplinary Studies of Literature* publishes articles only from members of IAELC, and their submissions presented in the annual convention and forums will be accepted for publication in priority. Those authors who are not members of IAELC are encouraged to apply for membership of the association before their submissions. All submissions must include a cover letter that includes the author’s full mailing address, email address, telephone numbers, and professional or academic affiliation. The cover letter should indicate that the manuscript contains original content, has not previously been published, and is not under review by another publication. Submissions or subscription should be addressed to: isl2017@163.com.

Contact information: Editorial office, *Interdisciplinary Studies of Literature*, 6 East Building, Zijingang Campus, Zhejiang University, 866 Yuhangtang Rd, Hangzhou 310058, P.R. China. Tel:+86-571-8898-2010

Copyright ©2017 by *Interdisciplinary Studies of Literature*. All rights reserved. No copy shall be made without the permission of the publisher.

Advisory Board

Massimo Bacigalupo / Università di Genova, ITA

Michael Bell / University of Warwick, UK

Charles Bernstein / University of Pennsylvania, USA

Vladimir Biti / University of Vienna, AT

Marshall Brown / University of Washington, USA

Knut Brynhildsvoll / University of Oslo, NOR

Stefan Collini / University of Cambridge, UK

Khairy Douma / Cairo University, EGY

Luo Lianggong / Central China Normal University, CHN

Byeongho Jung / Korea University, KOR

Anne-Marie Mai / University of Southern Denmark, DEN

Wolfgang Müller / Friedrich-Schiller University Jena, GER

Marjorie Perloff / Stanford University, USA

John Rathmell / University of Cambridge, UK

Claude Rawson / Yale University, USA

Joshua Scodel / University of Chicago, USA

Shang Biwu / Shanghai Jiaotong University, CHN

Igor Shaytanov / *Problems of Literature*, RUS

Inseop Shin / Konkuk University, KOR

Su Hui / Central China Normal University, CHN

Galin Tihanov / Queen Mary University of London, UK

Wang Songlin / Ningbo University, CHN

Zhang Xin / Guangdong University of Foreign Studies, CHN

Contents

- 1-15 Reflections on Metacritical Analysis
Chengzhou He
- 16-30 Chinese Encounters with Western Theories: A Metacommentary
Liu Kang
- 31-52 Translation and the Reconstruction of World Literature: Wang Ning's
World Literature Theory
Liu Dan
Xiong Hui
- 53-66 Chinese Literature as World Literature: Revisiting Wang Ning's Literary
Vision and Revisualizing Chinese Literature in the Age of Globalisation
Yao Lingling
- 67-80 New World System and New World Literature Framework: A Comparative
Analysis of Wang Ning and David Damrosch's World Literature Studies
Zou Li
- 81-98 Practicing Ecocriticism and the Environmental Humanities during the Age
of COVID and Beyond: An Interview with Scott Slovic
Jiang Lifu
Scott Slovic
- 99-110 Metaphors of Diseases, Ethical Violation of Historical Writing and
Political Ethics as Shown in William Shakespeare's *Julius Caesar*
Zhang Baike
Tian Junwu
- 111-121 The Revelations from the Formation of the *Book of the Dead* and the
Traces of Brain Texts
Wu Di
- 122-131 Robert Burns' Ethical Identities and Ethical Choices Reflected in His
Poems
Li Zhengshuan
Zhu Huimin

- 132-139 Amélie's Ethical Choice and Identity Construction in Amélie Nothomb's
Stupeur et tremblements
Song Ge
- 140-154 On the Aesthetic Estrangement from the Neurological Perspective
He Huibin
- 155-161 Ethical Literary Criticism, the Evolution of Ethical Thought and the
Function of Moral Teaching: A Review of *Ethical Literary Criticism of
English Literature*
Tang Jie
Yang Jincal
- 162-168 A Review of *Pinter's World: Relationships, Obsessions, and Artistic
Endeavors* by William Baker
Liu Hongwei
- 169-176 A New Historical Scale for Research on Literary Realism: A Review of
Research on Western Literary Trends in the 19th Century Vol.2: Realism
Liu Xinyu

目 录

- 1-18 对元批评分析的反思
何成洲
- 16-30 中国与西方理论的对话：元批评视角
刘 康
- 31-52 翻译与世界文学的重构：王宁的世界文学观管窥
刘 丹
熊 辉
- 53-66 作为世界文学的中国文学：重温王宁教授的文学构想以及重新想象
全球化时代的中国文学
姚玲玲
- 67-80 新世界体系，新世界文学框架：王宁与大卫·丹穆诺什的世界文学
构建比较研究
邹 理
- 81-98 新冠病毒时代及之后的生态批评和环境人文实践：斯科特·斯洛维克
访谈录
姜礼福
斯科特·斯洛维克
- 99-110 论威廉·莎士比亚《裘力斯·凯撒》中的疾病隐喻、历史书写的伦
理违背和共和主义政治伦理
张柏柯
田俊武
- 111-121 《亡灵书》的生成启示与脑文本的呈现轨迹
吴 笛
- 122-131 罗伯特·彭斯投射在其诗歌中的伦理身份与伦理选择
李正栓
朱慧敏

- 132-139 阿梅丽·诺冬《诚惶诚恐》中阿梅丽的伦理选择与身份建构
宋 歌
- 140-154 神经科学视野中的审美陌生化
何辉斌
- 155-161 文学伦理学批评、伦理思想流变与道德教诲功能：评《英国文学的伦理学批评》
唐 洁
杨金才
- 162-168 哈罗德·品特研究新成果：威廉·贝克《品特的世界》评介
刘红卫
- 169-176 “文学现实主义”研究的历史新刻度：评《19世纪西方文学思潮研究（第二卷）现实主义》
柳鑫宇

Reflections on Metacritical Analysis

Chengzhou He

Abstract: As a criticism of criticism, metacritical analysis is inseparable from critical theory and practice, which constitutes a distinctive feature of all the essays in this column. In correspondence with Wang Ning's academic contributions, the approaches that those essays undertake can be mainly categorized into the following three, namely, historical-contextual, intercultural, post-theoretical and post-critical, which are also representative of major modes of criticism in literary studies in recent decades. It needs to be emphasized that the three approaches are not conflicting but rather complementary and supplementary both within individual essays and in general terms. It argues that a relatively thorough and comprehensive analysis of the literary studies by such Chinese scholars as Wang Ning can hardly be accomplished without deep reflections on the status quo of literary criticism and its future directions.

Keywords: metacriticism; literary theory; world literature; cosmopolitanism; Wang Ning
Author: Chengzhou He, Yangtze River distinguished professor of English and drama, School of Arts and School of Foreign Studies, Nanjing University (Nanjing 210093, China). Foreign member of *Academia Europaea* (Email: chengzhou@nju.edu.cn).

标题: 对元批评分析的反思

内容摘要: 作为对于批评的批评，元批评分析与批评理论和实践密不可分，这也正是本期专栏所有文章的一个显著特征。与王宁的学术贡献相对应，本文主要采取以下三种研究视角，即历史语境的、跨文化的、后理论和后批评的，这也是近几十年以来文学研究中主要批评模式的代表。需要强调的是，这三种方法并不冲突，无论是在单篇论文中还是从一般意义上来说，都是相互补充、互为助益的。对王宁等中国学者的文学研究进行较为透彻和全面的分析，离不开对文学批评现状及其未来发展方向的深刻反思。

关键词: 元批评；文学理论；世界文学；世界主义；王宁

作者简介: 何成洲，南京大学艺术学院和外国语学院长江学者特聘教授，欧洲科学院外籍院士。

A criticism of criticism, which features all the essays in this column, is called

metacriticism, which “examines theories or critical approaches to textual meaning, author-text-reader relationships, and the criteria by which texts and other cultural artefacts should be judged” (Makaryk 102). To put it differently, metacritical analysis engages a critique of various possible modes of reading literary works, reflections on the efficacy of literary theories and their interrelatedness, contemplations on the relationship between literary writing, critical work and different aspects of social life, and explorations on the future directions of literary theory and criticism.

Notwithstanding the foregoing, how metacriticism is related to criticism is still a very complicated issue. “Metacriticism and criticism as well as metacriticism and critical theory are logically independent of each other, but they are not incompatible” (Raval 239). Metacriticism does not replace criticism, but rather is entangled with different modes of criticism, the complexities of which are subject to further scrutiny. “Criticism, literary theory and metacriticism are all logically independent of each other, but the distinctions among them are not precisely marked, and every question raised does not allow for instantly recognizable classificatory categories” (Preminger and Brogan 757). On the one hand, metacriticism as a study of criticism retains its unique features and performs its special roles; on the other hand, it is closely integrated into or interwoven with the process of criticism and theoretical discussions.

Take critical concepts as an example. In literary studies, such concepts as cosmopolitanism and poetics are generally applicable in textual analysis. However, those concepts are so complicated and unstable that they are always subject to criticism and revision. Referring to Wittgenstein, Suesh Raval explains that we “are unable clearly to circumscribe the concepts we use; not because we don’t know their real definition, but because there is no real ‘definition’ to them” (247). Without doubt, critical concepts constitute the focus of metacriticism, since they will be under constant reinterpretation and reformulation, which does not undermine but rather gives new impetus to the value of critical discourse. “The built-in inadequacy of each concept accounts for the contesting and changing nature of conceptual structures in humanistic discourse” (Raval 247). In addition to interdisciplinarity, interculturalism is also accountable for the so-called “inadequacy” of certain concepts, for example world literature and globalization. Thus, metacritical analysis and debates around certain key concepts as well as relevant scholars remain to be a crucial and exciting part of literary scholarship, as the essays in this column have revealed.

In metacritical analysis, a descriptive restatement of the existing critical work is intersected by reflective commentaries and revisions. “A broader and historically more informed form of metacriticism would embrace the tasks of both

descriptivists and revisionists, seeking to show why critical vocabulary cannot be standardized or improved (in the sense of being logically grounded) beyond a point, and how a sound and intelligent critical practice need not remain strictly bound by a particular set of criteria” (Preminger and Brogan 759). As the essays in the column have demonstrated, metacritical analysis is made to fulfill a variety of different academic purposes: both a critique of Wang Ning’s academic writings and a reevaluation of the related academic field, both a retrospective reflection of Chinese literary criticism in the past four decades and a look-ahead of its future, both a contemplation of the universality of literature and literary theory and a recognition of their exceptional uniqueness. To clarify as well as classify some major statements in those essays with reference to metacritical analysis in general, it will benefit from the following three approaches, namely historical-contextual, intercultural, post-critical and post-theoretical. It needs to be emphasized that the three approaches are not conflicting but rather complementary and supplementary. It is in our deep reflections on the status quo of literary criticism and its future directions that a relatively thorough and comprehensive study of the contributions in literary studies by such Chinese scholars as Wang Ning may be better situated.

1. Context Still Matters

In *The Limits of Critique*, Rita Felski puts forward an unusual and provocative statement “context stinks,” through which she launches an assault on the hermeneutic tradition in literary studies. Though challenged by literary scholars like Susan Sontag, Amanda Anderson, Toril Moi, Joseph North and so on, historical and contextual criticism remains a useful approach, and practices of literary criticism also need to be situated in a certain context. “The historicist (or pragmatist) view, on the other hand, considers criticism and its theories to be quasi-autonomous rather than fully autonomous, and shows them to be situated in particular historical, institutional, and cultural contexts” (Preminger and Brogan 759). Though having made steady and remarkable progress, contemporary Chinese literary criticism is confronted with some serious problems, which are both its symptoms and what it resolves to deal with.

The unbalanced literary and cultural exchanges between China and the West are believed to be partly accountable for misunderstandings and distortions in the Western representations of China and Chinese culture. The translation of foreign, Western in particular, literature into Chinese, as has been widely known, has overwhelmed significantly the translation of Chinese literature into foreign languages, especially English. As has been emphasized by David Damrosch in his

conception of world literature, translation is one of the most important factors to facilitate literary transmission and exert cultural impact. In “Translating Modernity and Reconstructing World Literature,” Wang Ning argues that “[t]ranslation will continue to function dynamically in deconstructing the West-centric mode of world literature and reconstructing new world literature” (111). In reference to Lu Xun’s “importism” (nalai zhuyi), Ji Xianlin calls for “exportism” (songqu zhuyi), which Wang Ning frequently refers to in his articles and lectures. In addition, Wang Ning is also an ardent practitioner of exportism in that he supervised “Chinese Classics Translation Project”, through which a large number of Chinese literary works across genres, be it novel or poetry or drama, were translated and published in English with prestigious Western academic press. Considering the inadequacy of English publications about or from China, it is necessary for Chinese-to-English translation not to be limited to literature but to extend over a variety of different kinds of writings. Furthermore, in this digital era, the transmission of Chinese literature and culture should take full advantages of different media forms, including film and internet. It has been widely acknowledged that Mo Yan’s international fame and his subsequent honor of winning the Nobel Prize in literature is to some extent indebted to the successful film adaptation based on his first novel *The Red Sorghum* (Hong Gaoliang).

The controversial Western hegemony in literary theory and criticism gives rise to the anxiety of influence among Chinese scholars, especially when so little of Chinese literary theory has been introduced into the West. “Unfortunately, for lack of translation and critical introduction, some of these discussions are seldom heard in the outside world, like many renowned Chinese theorists or scholars, including Qian Zhongshu, Li Zehou, and Liu Zaifu. Consequently, Chinese-Western literary and cultural interaction remains largely unidirectional, with too few opportunities for balanced exchange” (Wang and Brown 246). Admittedly, the introduction of Western theories has played a significant role in advancing modernity in China, so they have been more or less assimilated into Chinese academic discourse. Any simplistic, binary distinction between Chinese and Western theories turns out to be unfounded and detrimental to the progress of critical entrepreneurship, let alone culture and society. “To compete, you have to understand, but to understand, you also have to compete—to find how foreign sources resonate with and empower your native culture without letting them overpower it” (Wang and Brown 246). On the other hand, it will be naïve not to be able to realize the fact that the Western sovereign has shaped its critical discourse, which seeks to defend its own interest. Therefore, it becomes necessary for Chinese scholars to carry on dialogues with

their Western counterparts, to influence their habitual (mis-)understandings of things Chinese, and to implement certain revisions on Western theories and criticism. In terms of world literature, Damrosch is said to be conservative, upholding the mainstream values in the West. In his various encounters with Damrosch and other scholars, Wang Ning in “Chinese Literature as World Literature” states that “Chinese literature should be regarded as an integral part of world literature” (380). With such innovative concepts as world literatures and new world literature, Wang Ning along with Cao Sunqing, Fang Weigui and so on, contributes to a critique of West-centrism in world literature studies.

The status quo of Chinese literature and literary theories does not reflect the growing impact of Chinese economy and China’s importance in the world system. Will the new world system, of which China is a significant part and in which China is assuming an increasingly important role, be a catalyst to the theoretical innovations in Chinese scholarship and its global impact? In *Against World Literature*, Emily Apter reflects on how literature would respond to the changes in the world system. “Ideally, one could redesign the teaching of literature to respond critically and in real time to cartographies of emergent world systems” (Apter 39). Nevertheless, it seems that the teaching of Chinese literature is still rather limited at schools and universities in the West. At least, it is true that in those English language anthologies of world literature, as Wang Ning has regrettably pointed out, Chinese literature is disproportionately underrepresented. Recently, the so-called “Western impact/Chinese response” model has been under unprecedented challenges and revisions. The complaint towards the dominance of Western theories is being converted into the much-needed innate motivating force to become more innovative and creative in theory-making. In the meantime, some related issues need to be addressed properly.

At least since the reform and opening-up in the late 1970s, Western theoretical discourses have multiplied and prevailed in Chinese academia, and they have become gradually integrated into Chinese theory and criticism. It should be acknowledged that the introduction and appropriation of Western theories have been very productive just like Western science, technology and higher education that have contributed to the progress of Chinese modernity. Nevertheless, it is equally justifiable to be critical of the dominance of Western theories in Chinese academia as well as their weaknesses, which have also been under critique by Western scholars themselves. On the other hand, it is also not in favor of our academic work to completely denigrate Western theories as being no longer of use or inapplicable to Chinese reality. Thus, neither universalism nor exceptionalism would do good

to the prospects of theoretical advancement. As Liu Kang points out earlier in his essay, they “cannot be viewed as binary and mutual exclusions. Rather, it is overdetermined by multiple factors of integration and complementarity.” Without doubt, new theories will benefit from cross-disciplinary perspectives and from taking into account cultural practices both local and global.

In this respect, academic dialogues between Chinese and Western scholars on an equal basis prove to be extremely valuable and beneficiary. “By debating, we come to understand what our respondents draw out, the unplumbed premises and biases in their thinking and knowledge, and ultimately, we hope, in ours” (Wang and Brown 247). So far, as has been unanimously acknowledged by many of my colleagues home and abroad, the various international conferences, seminars, special issues at international journals as well as lectures by high-profile international scholars that Wang Nang has (co-)organized over the last forty years or so both in and outside of China have helped facilitate the academic exchanges across borders, which succeed one way or another in changing the mindsets of scholars on both sides towards literature and culture alien to their own. “And to grasp the complexity of the concept of literature is to realize that literary works do not share common features among them so that one can describe their necessary and sufficient qualities. The critic who has grasped this complexity does not look for the same set of experiential features in all literary works, but rather knows how to apprehend the diversity of their contexts, however indeterminate and shifting these contexts might be” (Ravel 245). The same is true with literary theories. Chinese literary theories are subject to changing social and cultural realities, whose complexities would be incomprehensible without sufficient, effective cross-cultural communications in different forms.

The growing impact of Chinese literature and literary theories is no doubt inseparable from the social and economic development that China has undergone till today. In a similar note, the academic career of such individual scholars as Wang Ning, according to Theo D’Haen, “parallel[s] that of China itself on the global scene” (cf. his essay in this issue). What’s more, Chinese scholars have become more and more self-confident, or to borrow Theo D’Haen again, “assertive,” in the international academic arena. The symptoms that have manifested in Chinese literary theories, literary criticism and critics themselves provide clues for metacritical analysis, for the sake of which another intercultural perspective would seem highly relevant and enlightening.

2. The Intricacies of Intercultural Interaction

So far, it has not been common for metacriticism to take into account intercultural

practices and experiences. Consequently, comparative literature, world literature and intercultural studies have been mostly out of focus in metacritical analysis. Thus, the articles in this column make a significant contribution to sorting out some intricacies in those areas through a cross-cultural (meta)commentary of Wang Ning's scholarship. Some of the major issues include: How should Chinese scholars respond to Western theories from a local perspective? In what ways will Chinese theories benefit from intercultural encounters with the West? What kinds of barriers would Chinese scholars have to be confronted with if they intend their scholarship to go global?

In *Provincializing Europe: Postcolonial Thought and Historical Difference* (2000), Dipesh Chakrabarty questions the hegemony of European modernity discourse and proposes to revisit, revise and transform it from regional perspectives and for the sake of different regions, which will influence and shape theory-making in general. Apart from resistance to and deconstruction of West-centrism, as the debates around the so-called "imposed interpretation" have suggested, it is perhaps equally valuable to explore how Chinese issues and intellectual resources could affect the theoretical reconsiderations, which will hopefully be able to have universalism better integrated with exceptionalism. "[W]hat is happening to Western traditions of literary and cultural theory—and of critical thought more generally—as they encounter the overwhelming reality of China: the unrivalled depth and antiquity of its intellectual and cultural traditions; the sheer abundance of its human resources" (Mitchell and Wang 268). That scholars become more used to modes of thinking from intercultural perspectives, thanks to the increasing availability of academic dialogues and interactions, will be conducive to unexpected and promising process of theory-making as well as epistemological replenishment.

In the 20th century, the significance of the so-called "double Westernizations" should not be underestimated. In the literary arena, there have been successive waves of translating foreign literature into Chinese, among which such leading figures as Shakespeare, Ibsen, Goethe, Tolstoy and so on, have won the hearts of generations of readers in China. In the meantime, the scholarship about them in foreign languages, especially in their native languages or in English, is naturally regarded as useful and has also been introduced on a large scale, most of it via Chinese translation. Thus, how to react to such foreign academic resources turns out to be a matter of great importance. Some Chinese literary scholars have not just provided exemplary work by means of their own research, but also put forward critical concepts to instigate serious discussions, which would then resonate in literary circles. Such concepts as Ibsenization and Shakespearization, which Wang

Ning once elaborated on, proved to be quite necessary and inspiring, as both great authors have been actively introduced in China since the beginning of the 20th century, with Ibsen being exceptionally influential in the 1920s and 30s, not just acting as a catalyst for the women's liberation cause and the new culture movement in general, but also serving as a model for the birth of modern spoken drama.

When world literature became a heatedly debated topic at the turn of the 21st century, Chinese scholars enthusiastically took part in the discussions, in terms of publications, conferences as well as the newly established academic journals, either formally or informally as regularly serialized books. Their contributions have been highly recognized, exerting impact on the international academic discourse on world literature to an extent that has not been usually the case in the history of intercultural literary theory and criticism. In addition to a critique of the West-centric discourse of world literature by such Western scholars as Emily Apter and Pascale Casanova (*The World Republic of Letters*, 1999), Chinese scholars like Wang Ning put forward their own interpretations and conceptions of world literature(s), adopting pluralistic, diversified viewpoints to displace the centralized, totalizing, and undifferentiated ones. Drawing on localization strategies such as "world poetics" (Wang Ning) and "variation theory" (Cao Sunqing) in conceptualizing world literature, the Chinese theorization of world literature adds important intercultural perspectives to the field, which is aptly described as "Sinicizing World literature" (Theo D'Haen) or perhaps even better in Wang Ning's words, "Chinese world literature."

Similar to world literature, theorizing cosmopolitanism has also gone through a process of external rotation as it has been reconceptualized as rooted, vernacular, secular and so on. Being an active part of this academic chorus, Chinese explications of cosmopolitanism tend to draw from both classical thoughts and contemporary writings. The fact that the translated works of foreign authors in all disciplines have occupied such a prominent status in Chinese book market and among readers speaks volumes about the openness and cosmopolitan ethos in Chinese intellectual life. Having constantly been confronted by this worrisome situation, Wang Ning sadly exclaims, "[t]oday's young Chinese readers admire Western thinkers and writers much more than their Chinese counterparts" ("Cosmopolitanism" 176). The problem does not lie in that young people should not read Western literature and theories; as a matter of fact, they should be encouraged to do so given that Chinese humanities are still in the process of making up for what got lost during the turbulent periods of modern Chinese history, including the Cultural Revolution (1966-1976). What really matters is whether they can adopt a critical attitude and make reference to Chinese reality, usually in the form of localization.

Since the May-Fourth period, Marxism has been introduced, appropriated, and transformed to serve as a guide for the practices and theoretical innovations in China. Despite the ups and downs in social, political and economic development, Marxism is constantly requested to be associated with Chinese reality and thus has undergone a long and fruitful process of Sinification, of which Mao Zedong's thoughts became a convincing example. When stories of China's success in socialist cause in the aftermath of the establishment of new China reached some left-wing intellectuals in Europe, Mao Zedong's works began to be read and discussed with great enthusiasm among them, which yielded a huge impact on European intellectual and political lives. "Although Mao Zedong's thoughts on literature and art matured under the impact of Marxism, they have also undergone a reverse journey in the past few decades, namely from China to the world, thus realizing the globalization of Chinese Marxism [...] Mao Zedong's thoughts not only influenced French theorists like Althusser and Sartre, but also profoundly inspired feminist thinkers such as Beauvoir and Badiou" (Wang, "Translation" 4; translation mine). Another interesting turn in this transmission of global Marxism is that those Western thinkers, some of which visited and lectured in China, such as Sartre and Beauvoir, have been translated and created a big stir in Chinese intellectual life. This, indeed, serves as an example of so-called "glocalization," which Wang Ning has kept referring to in his writings.

Recently, it has become a common belief and concerted practice that Chinese scholarship would benefit from being introduced into the world, especially by means of translation into foreign languages under the governmental sponsorship. As Estok has pointed out in his essay earlier, there has been "an important emerging trend in Chinese literary scholarship—namely, a trend that aims toward a global readership and impacts." As a strong advocate for "worlding" Chinese literary and literary theory, Wang Ning attaches special emphasis to traditional thoughts like Confucianism and Daoism, which are once again credited with great potential for transforming global humanities. "We should, on the one hand, reconstruct traditional Confucianism from a postmodern and global perspective so that it becomes an important theoretical resource for building a harmonious society today. On the other hand, Western postmodern theories may be approached critically from the perspective of new Confucianism in an attempt to make it one of the important discursive forces in the current era of globalization, in which different civilizations co-exist and complement one another" (Wang, "Reconstructing" 77; translation mine) To be more specific, the Confucian concept of "unity of heaven and man" (tianren heyi) was revived by leading scholars of so-called "contemporary new

Confucianism,” such as Tang Yijie, Ji Xianlin and Tu Weiming, who helped to bridge the gap between humanities and science towards reinventing what I would call “new Confucian ecological humanism” (He 378).

Interculturalism, as proposed by Erika Fischer-Lichte and Rustom Barucha, may run risk of a totalizing understanding of cultures, without taking adequate consideration of the complexity, diversity, or even conflicts within what is usually presented as a culture. To introduce Chinese literature and culture to the West, as Estok explains in his essay, one should realize that there has been as much diversity in Western culture as in Chinese culture. The academic exchanges and interactions between China and the West do not just constitute a kind of competitive relationship, in which each side strives for greater influence or the central position. It is certainly undesirable to replace West-centrism with China-centrism, which is an obsolete mindset; instead, we should, through communications and interactions, foster the progress of human civilizations, and build an “academic community” (cf. Zou Li’s essay) based on equality and cooperation. Humanities, known for its usefulness of the useless, should better respond to the common challenges facing all mankind, such as the covid-19 pandemic threatening countless lives and the Ukrainian war tearing apart the international community. Regrettably, the world is currently clouded by divisions, misunderstandings and malicious attacks. Otherization, which is proceeding at all levels across different cultures, including governments, NGOs and civil society, is being further extended and upgraded by the mass media. In this regard, the West, which holds the right to speak and most of the material resources in this world, is endowed with a much greater responsibility, and should make more contributions, thus positively influencing the future of the global community.

3. Post-theory and Post-criticism in Action

In “Way of Post-Confucianism: Transformation and Genealogy” (2010), Zhuoyue Huang explicates new developments in Confucianism, which are responsive to major concerns in contemporary times, such as cultural conflicts and climate change. In this regard, “post-Confucianism” becomes a trendy term to denigrate what Tu Weiming in his book *Neo-Confucian Thought in Action: Wang Yang-Ming’s Youth* (1472-1509) had argued for, namely, the effectiveness of Confucianism in guiding social practice and empowering individual actions. In a similar vein, the various discussions in the name of post-theory or post-criticism are essentially not to deny the relevance of theory or criticism, though theory per se needs to be further interrogated as suggested by Galin Tihanov in his book *The Birth and Death of Literary Theory* (2019), but rather to reflect on the trajectory of theoretical

discussions to ponder on the possibilities that theory can and has to be made more useful and applicable in new and changing circumstances, especially under the condition of rapid technological and social developments.

Interestingly, what has been discussed under the name of “the ends of theory” leads to an interesting (re-)discovery that theory is actually very vibrant across disciplines and in those non-western places where the creativity in theory-making has not been fully recognized, especially by those residing in and occupying the so-called centers of critical theory in the West. As W. J. T. Mitchell and Wang Ning write after co-hosting an international conference on critical theory, “[f]ar from being dead or dying, theory in Beijing seemed at once exuberantly youthful in its energy and maturely modest in its goal of not only facilitating the exchange of ideas but patiently treating the very idea of exchange itself as an object of reflection and critique” (269). Such academic exchanges provided opportunities for Chinese scholars to make their voices heard by a much larger audience beyond China. “The advent of the ‘post-theoretic era’ enables the previously marginalized theoretical discourses to come to the forefront, which deconstructs a unified West-centric orthodoxy, so that scholars from small nations or non-Western cultures to engage in equal dialogues with their Western and international counterparts” (Wang, “On” 169; translation mine). Such Chinese theoretical concepts as world poetics put forward by Wang Ning has aroused critical attention both at home and abroad. In addition to cross-cultural exchanges, which should have taken place in a more efficient and productive manner, theory would also benefit from the developments in new directions of criticism, such as performativity studies, Actor-Network-Theory (ANT), post-humanism, new materialism and so on.

Notwithstanding its negative effects, science and technology have brought significant changes in our lives in terms of both the scale of influence and exceedingly rapid pace, which make some literary scholars worried about the decreasing influence of literature in public life. The so-called “end of literature,” as put forward by J. Hillis Miller, has triggered heated debates in literary circles, but its message may have been misinterpreted. “From what Zhu labels Miller’s subsequent ‘unpacking’ of Derrida’s passage, we see that Miller was not prophesying the end of literature as such but the end of the formal and informal influence that literature has exerted over the past two centuries on personal and public relations” (D’haen 310). With reference to Martha Nussbaum’s *Poetic Justice: The Literary Imagination and Public Life* (1993) and *Cultivating Humanity: A Classical Defense of Reform in Liberal Education* (1997), Theo D’Haen suggests that literature in the digital era makes things happen differently than before. Other scholars like Fanco Morretti

embraced the digital era, and his theory of “distant reading” opened the way for more innovative experiments with literature and literary criticism. Technology is not just a tool, but rather constitutes an important shift in ontological paradigms, which would raise important questions for academic research. In “Medium Theory: Preface to the 2003 *Critical Inquiry* Symposium,” Mitchell says, “[i]t has been suggested that the rapid transformation in contemporary media (high-speed computing and the internet; the revolution in bio-technology; the latest mutations of speculative and finance capital) are producing new horizons for theoretical investigations in politics, science, the arts, and religion that go well beyond the resources of structuralism, poststructuralism, and the ‘theory of revolution’ of the late twentieth century” (330-331). The regime of relevance for science and technology expands to almost all aspects of culture, which is especially true during the current pandemic. It is estimated that in the post-pandemic era, new technology will no doubt become further, and more efficiently, integrated into our teaching and research. Under the call for new humanities, Chinese literary scholars seek opportunities to push for new modes of reading and interpretation, which would exert transformative power over theory-making now and in the future. “In today’s construction of modernization, is the so-called anthropocentrism still viewed as a sort of universal truth? Is man still the only rational species in the world? How shall we establish a new relationship between man and nature and between science and technology and humanities? These are what we should answer from the perspective of posthumanism” (Wang, “Rise” 9).

In *Use of Literatures* (2008) and *The Limits of Critique* (2015), Rita Felski explores how to do with literature and literary criticism with reference to Bruno Latour’s Actor-Network-Theory (ANT), which advocates an association of diversified actors for the explication of literary works. With regard to world literature, the agency of institutions other than the usual literary actors has not been adequately acknowledged. Commenting on the reception of Japanese literature in the US in contrast with that of Chinese literature, David Damrosch writes the following in his published conversation with Wang Ning. “I think the modern Japanese fiction is more widely known in the United States than modern Chinese fiction. I do not know why Japanese became known, but I think there are enough market reasons, with some publishers such as Kodansha making a real push to have Japanese works translated and published in America. Also, generations ago there were a lot more contacts for cultural and political reasons particularly in the postwar era between Japan and the United States than between China and the United States” (Damrosch 188). Similarly, Casanova also argues that world literature is equally—

or perhaps more—a product of its mediators: translators, publishers, literary critics, teachers, government functionaries, and literary entrepreneurs. If literature does things in association with other actors in and outside of the literary arena, then perhaps it is also feasible to acknowledge that literary theory and criticism do not work independently but rather interactively with other related partners, no matter whether they are visible or not.

It is no coincidence that Thomas Beebee, in “Wang Ning, Inc.: Intercultural Collaboration in the Study of World Literature,” discusses how the different kinds of academic activities, such as hosting conferences, editing special issues, having interviews, that Wang Ning has been actively engaged with so far, have contributed to his success as an internationally recognized scholar and “a bridge” connecting academic circles across cultures. As an efficient and respectable organizer of academic events, Wang Ning represents what Beebee calls “corporate approach to literary and cultural investigations” (cf. Beebee’s essay in this issue), which not just yields valuable research work but also helps young scholars to grow and mature, especially in the areas of world literature and intercultural studies. In contrast with the micro perspective, Wang Ning’s academic career, as Theo D’Haen has argued, needs to be further situated in the historical development of Chinese economy, society and culture. Understandably, both micro and macro actors do not function independently but rather become intersected or interwoven, which would provide a more apt framework for metacritical analysis, whether it is Wang Ning or some other scholars, or critical theories.

It may indeed sound puzzling and awkward, as pointed out by Beebee, that in the academic works by Chinese authors or in Chinese there have been frequent references to and abundant discussions on Western sources, but insufficient attention has been given to academic works by other Chinese authors. Under this background, it is therefore highly appreciable that Wang Ning often refers to new contributions by his peers as well as some younger colleagues of his, and helps introduce them to international academia, which wins him a unique status among scholars young and old, and strengthens his academic leadership. What he has done not just provides convincing evidence of academic confidence, which is becoming more evident among Chinese scholars, but also a footnote for defining what good research may look like. Taking as an example Qian Zhongshu’s essay “詩可以怨” (“Our Sweetest Songs,” a translation by Zhang Longxi), Theo D’Haen comments, “Qian’s essay, while constituting a meaningful intervention on a national scale, is performing the same service on a global, ‘world literature’ scale, and doing so precisely in the service of China’s ‘national’ literature” (320). Literary studies with

sophistication and wisdom would enlighten readers from every corner of the earth, no matter East or West.

Epilogue

What can literature and literary criticism do in this digital era? To answer this question adequately requires the concerted efforts of scholars across disciplinary and cultural boundaries. Amid this new wave of literary theory and criticism, Chinese critics will not and should not be absent; instead, they remain highly motivated toward innovative research, in particular theory-making. As Theo D’Haen has noted in his metacritical response, academic work by Wang Ning and other Chinese scholars features “an ever-increasing confidence in China’s strengths, in its peculiarly ‘Chinese’ character” (311). What the “Chinese characteristics” may signify does not and should not have a clear definition. And it is not entirely a Chinese issue subject to what Chinese scholars have done and will do in their academic work, but rather a global issue that Chinese and non-Chinese would join hands in mapping its boundaries and portraying its distinctive features.

Along the stream of this thought, it is not of great pragmatic significance to be obsessed with the emergence of Chinese School on par with the established French School or Frankfurt School. It does not suffice to simply “impose” Western concepts on things Chinese, and vice versa. Rather, it may be feasible to focus on specific problems situated in local contexts but with global implications, build a solid foundation in theories and methodologies, be it Chinese or Western, and seek opportunities to have in-depth discussions across disciplines and cultures so as to take in different responses and critiques. To do so is by no means an easy job, but fortunately scholars like Wang Ning have paved the way.

Works Cited

- Apter, Emily. *Against World Literature, On the Politics of Untranslatability*. London & New York: Verso, 2013.
- Damrosch, David. “What Is World Literature? David Damrosch in Conversation with Wang Ning.” *Ariel* 42 (2011): 171-190.
- D’haen, Theo. “With Chinese Characteristics.” *Modern Language Quarterly* 79 (2018): 309-322.
- He Chengzhou. “New Confucianism, Science and the Future of the Environment.” *European Review* 26 (2018): 368-380.
- Makaryk, Irene Rima, ed. *Encyclopedia of Contemporary Literature Theory: Approaches, Scholars, Terms*. Toronto: UT Press, 1993.
- Mitchell, W. J. T. “Medium Theory: Preface to the 2003 *Critical Inquiry* Symposium.” *Critical Inquiry*

30 (2004): 324-335.

Mitchell, W. J. T. and Wang Ning. "The Ends of Theory: The Beijing Symposium on Critical Inquiry." *Critical Inquiry* 31(2005): 265-270.

Preminger, Alex and T. V. F. Brogan, eds. *The Princeton Encyclopedia of Poetry and Poetics*. Princeton: Princeton UP, 1993.

Raval, Suresh. *Metacriticism*. Athens: U of Georgia P, 1981.

Wang Ning. "Chinese Literature as World Literature." *Canadian Review of Comparative Literature* 43 (2016): 380-392.

—. "Cosmopolitanism and the Internationalization of Chinese Literature." *Mo Yan in Context: Nobel Laureate and Global Storyteller*. Angelica Duran and Yuhan Huang. West Lafayette: Purdue UP, 2014.

—. "The Rise of Posthumanism: Challenge to and Prospect for Mankind." *Fudan Journal of the Humanities and Social Sciences* 12 (2019): 1-13.

—. "Translating Modernity and Reconstructing World Literature." *The Minnesota Review* 79 (2012): 101-112.

王宁: "世界诗学的构想", 《中国社会科学》15 (2015): 169-176。

[Wang Ning. "On the Construction of World Poetics." *Social Sciences in China* 15 (2015): 169-176.]

——: "'全球本土化' 语境下的后现代、后殖民与新儒学重建", 《南京大学学报》1 (2008): 68-77+143。

[—: "Reconstructing Confucianism in a 'Glocal' Postmodern and Postcolonial Context." *Journal of Nanjing University* 1 (2008): 68-77+143.]

——: "翻译与马克思主义中国化: 文学和文化的维度", 《上海翻译》6 (2021): 1-6+95。

[—: "Translation and the Sinicization of Marxism: A Literary and Cultural Dimension." *Shanghai Journal of Translators* 6 (2021): 1-6+95.]

Wang Ning and Marshall Brown. "Introduction." *Modern Language Quarterly* 79 (2018): 245-247.

Chinese Encounters with Western Theories: A Metacommentary

Liu Kang

Abstract: The essay takes the Special Issue of Chinese Encounters with Western Theories of *Modern Language Quarterly* as a case study, reviewing the essays of three Chinese authors Wang Ning, Zhang Jiang, and Zhu Liyuan and commentaries by Theo D’haen, Hillis Miller and myself. The essay offers a metacommentary of the essays and commentaries with respect to issues of the academic contexts in which the dialogue in this special issue is conducted, Chinese scholars’ anxiety of influence over western theories, the problem of “*Dao* (principles)” and “*Shu* (techniques),” and universalism vis-à-vis exceptionalism. This essay argues that the historical facts of modern China, especially the history of reform and opening up of the last four decades, show that China is in the world and the world is in China, and that the relationship of universalism and exceptionalism cannot be viewed as binary oppositions and mutual exclusions. Rather, it is overdetermined by multiple factors of integration and complementarity.

Keywords: The China question of western theory; metacommentary; anxiety of influence; principles and methods; universalism vis-à-vis exceptionalism

Author: **Liu Kang** is Visiting Professor at Shanghai Jiao Tong University (Shanghai 200240, China), and Professor at Duke University, USA. His research covers China Studies, Marxism, literary theory, media studies, and international relations (Email: liukang@duke.edu).

标题: 中国与西方理论的对话：元批评视角

内容摘要: 本文就美国《现代语文期刊》“中国遭遇西方理论”英文专辑发表感想，以王宁、张江、朱立元三位中国学者的文章和德汉、米勒及作者本人三位国际学者的回应为案例，围绕着中国与世界的学术语境、对西方理论影响的焦虑、学术的“术”与“道”的问题，即普世理念与特殊论的关系，做了元批评和思想史（知识谱系学）角度的分析。本文认为，中国现代化历史（尤其是改革开放四十年的历史）事实告诉我们，中国是世界的中国，世界是中国的中国。在观念上思考普世理念与特殊论的关系，不应视为是二元对立、非此即彼的关系，而是相辅相成和融汇的多元决定关系。

关键词: 西方理论的中国问题；元批评；影响的焦虑；学术道与术；普世论

与特殊

作者简介：刘康，上海交通大学访问教授、美国杜克大学教授。研究范围包括中国研究、马克思主义、文艺理论、媒体研究和国际关系等。

The Reform and Opening-up (*gaige kaifang*) that began in 1978 ushered in an era of intellectual and cultural reflections during the 1980s through renewed translations and commentaries of western ideas. During the three decades of the PRC's self-imposed foreclosure of 1949-1978, little intellectual exchanges with the world occurred, except the Soviet Union, which served as the only source of knowledge and ideas. The 1980s Chinese encounter with western ideas and theories is comparable in scope and impact to that of the late Qing period, around the 1890s, to the May Fourth Cultural Movement of 1919. These two historical moments, spanning a century's time, have shaped modern China's political trajectory as well as its history of thoughts, and has had a decisive impact on China today, especially in ideological and cultural realms. Marxism, a 19th century German thought, is now touted as the guiding ideology for the Communist Party of China. In recent years I have initiated a series of conversations with scholars in China and around the world, on the issue of "the China Question of Western Theory," taking cultural and literary theory and aesthetics as a point of departure, to rethink the legacy of these two historical encounters and their current ramifications (Liu 2020). These conversations attempt to interrogate the ways in which modern western theories and knowledge understand and interpret the rise of China, and how these western critical frameworks present China not only as an object of study but also as a question intrinsic to western theories and knowledge themselves.

The China Question is viewed in multilinear, multivalent ways, focusing on the discursive formation of modern Chinese literary theory and criticism during the PRC period from 1949 to the present, in terms of the reception, appropriation, and transformation of western theories that lay the foundation of the discipline and institution of art and literary studies in modern China. The China Question of Western theory is both extraneous and immanent in terms of its objects and methodology. Though extraneous to China, Western theories and the questions they arouse, once appropriated and transformed in China, can turn into modes of inquiry intrinsic in Chinese intellectual thinking and academic research. This has been especially true during the last four decades of *gaige kaifang* in China, in which "translating and borrowing" and "addressing Chinese issues with Western discourses" have become the predominant modes of both intellectual inquiry and

political decision and policy making. I have argued that the widely accepted phrase of “China *and* the world” ought to be replaced by “China *of* the world,” for China is an integral, inseparable part of the world, not a self-contained entity parallel to, and independent of, the world today, as denoted by the preposition “and” in the phrase “China and the world” (Liu, “Introduction: China Question of Western Theory” 323-340). In recent years, the paradigms of Western impact/Chinese response, tradition/modernity that once dominated the western understanding of modern China have been challenged by the western scholars of Chinese studies. Now the hot-button topics are how the dynamics of complex and multi-dimensional interactions and integrations of China into the modern world have fundamentally reshaped the world today, and, consequently, how the dominant (western) modes of thinking have been impacted by the new, emergent world order in which China plays a leading role.

In literary and cultural studies these debates over the China question echo the larger controversies. As the Chinese state has become increasingly assertive of its self-confidence and global leadership role vis-à-vis the western dominance, trends toward the western theory and knowledge that prevailed over thirty plus years have shifted in academic circles. In 2014, Zhang Jiang fired the first shot in a series of polemics against “[western] imposed interpretation,” i.e. western literary theory, in academic venues in China, and then in international English-language journals through translations and other forms of dialogues (Zhang, 5-18). It must be noted that western (i.e. North American and western European) academic circles, especially in literary studies, have thus far shown little interests in what Chinese academic have done, even though large swath of scholarly works have been translated into Chinese and a great deal of American and western European scholars had traveled to China to lecture, which was jolted only by the onset of the pandemic in 2020. However, through tireless efforts of Chinese scholars such as Wang Ning, conversations with western colleagues on issues of translation, reception, and transformation of western theory in China have gained traction amidst American and western European scholars. The conversations on the China Question of Western Theory is part of that general endeavor. Marshall Brown, editor of *Modern Language Quarterly*(*MLQ*), and Wang Ning co-edited a special issue entitled “China Encounters with Western Theories” in 2018, which includes essays authored by three Chinese scholars, i.e. Wang Ning, Zhang Jiang, and Zhu Liyuan, and commentaries on these essays by three non- Chinese scholars, i.e. Hillis Miller, Theo D’Haen, and myself. This essay is my commentary on the *MLQ* special issue as a whole. It is also a self-reflexive meta-commentary, since I myself am a contributor/commentator of that issue.

In what follows, I will raise some questions. First of all, what is the principal method for such kinds of theoretical conversations? Metacommentary is probably the best approach or method. Metacommentary here refers to rethinking the China Question of Western Theory from the perspectives of intellectual history, or archeology/genealogy of knowledge in a Foucauldian sense, to interrogate the historical trajectory of the Chinese reception, alteration, revision, and transformation of western literary theory. More specifically, how shall we engage in such theoretical conversations in divergent contexts and circumstances? The essays in the *MLQ* special issue highlight the differences in terms of discursive styles, academic norms and formats, indicative of broader divergence in Chinese and non-Chinese academic practices and paradigms. Some of these differences are a matter of techniques (术 *Shu*), such as different ways of communication and expression. Some have more to do with different principles or the ways (道 *Dao*), by which we think, analyze, and critique, etc. Techniques derive from principles/ways, and metacommentary must take both *Shu* and *Dao* into account. Thirdly, what are the salient issues or tendencies in such conversations that deserve our attention? It seems that the “anxiety of influence” has permeated the modern Chinese encounters with western theories in general nearly two centuries. The anxiety has recently grown stronger, more pronounced than ever, in almost all social sectors, even though sometimes it assumes the form of hubris or bloated sense of self-confidence, the opposite of the anxiety or angst. The growing sense of anxiety and uncertainty has much to do with China’s self-perception in the world and, vice versa, the world’s perception of China today. An inquiry of the debate of universalism vis-à-vis exceptionalism as a philosophical and intellectual question may shed some light on the issue of anxiety of influence.

Metacommentary and Context of Academic Conversations

Metacommentary refers to criticism of criticism, or theoretical reflections and critique of literary theory and criticism per se. Fredric Jameson first coined up the concept in his 1971 critique of the New Criticism then dominating the U.S. literary studies (Jameson, 9-18). The New Criticism emerged in Anglo-American academia in the mid-20th century as a formalist, “intrinsic” mode of literary criticism. It shared the basic values with the then prevailing modernist literary and aesthetic trends, insisting on the intrinsic value of a work of art and focused attention on the individual work alone as an independent unit of meaning. The New Criticism was opposed to the historical studies of literature and arts that dominated Anglo-American academia for centuries, and proposed instead a meticulous method of close-reading

or textual analysis, dissecting the formal, rhetorical, linguistic features intrinsic in literary works. It should be acknowledged that the New Criticism has established since then a principal critical paradigm as well as the criteria for canonical works of literature that lay the foundation for modern and contemporary literary studies in north American and western European countries.

As a Marxist theorist, however, Jameson wants to reinstate historical studies into the New Criticism's close-reading of literary texts. In his view, political and historical meaning is no longer exterior to the textuality but inherently textualized, and subject to interpretations foregrounded on certain codes and categories of interpretations. The codes for the New Critic are decidedly formal and rhetorical, such as irony, ambiguity, allegory, symbolism, metaphor, imagery, and narrative points of views, and so on. For Jameson the codes turn out to be political and historical, as he takes pains to identify the "ideologeme," or ideological message latent in the formal features such as metaphors or allegories in literary texts. Metacommentary for Jameson is thus a toolbox of interpretation to tease out political and historical messages: "every individual interpretation must include an interpretation of its own existence, must show its own credentials and justify itself: every commentary must be at the same time a metacommentary as well" (Jameson 10). And also: "metacommentary therefore implies a model not unlike the Freudian hermeneutic [...] one based on the distinction between symptom and repressed idea, between manifest and latent content, between the disguise and the message disguised" (Jameson 15). In short, Jameson attempts to perform a symptomatic reading of both literary and theoretical texts in order to reconstruct their socio-historical contexts. Metacommentary therefore would serve as a tool of symptomatic reading of the essays in the *MLQ* special issue.

The *MLQ* special issue is in effect an exemplar case of metacommentary. In its introduction, Wang Ning and Marshall Brown note that "Chinese-Western literary and cultural interaction remains largely unidirectional, with too few opportunities for balanced exchange. Almost all the important Western theorists have had their major works translated into Chinese, whereas few Chinese theorists and comparatists have published internationally or have been introduced to or translated for English-language academic circles. The present collection is meant to expand the dialogue between Chinese and Western theorists and literary scholars" (Wang & Brown 246). The introduction then summarizes the three essays by Chinese scholars: Zhu Liyuan focuses on Hillis Miller's 2000 China lecture on the issue of "end of literature" and the ensuing controversies in Chinese academic circles, while Wang Ning's "middle focus surveys three of the most intensively received theorists

over the past sixty years, showcasing their impact so as to identify the gaps and distortions in it” (Wang & Brown 246). The sentence on Zhang Jiang can be read as a mini-exercise of symptomatic reading: “Zhang Jiang, as a central figure in China’s intellectual life in the past few years, represents in his broad view fundamental drives simultaneously toward closer relationship and greater autonomy” (Wang & Brown 246). It underscores both the position that Zhang Jiang holds in China’s academic circles and the contradictory movements of “closer relationship and greater autonomy” that Zhang’s essay “represents.” For a *MLQ*’s intended English reader, the highlight of the central positionality and representational potency of the author will certainly escape no one’s attention, along with the “broad view of fundamental drives” that informs, and is represented by, Zhang’s essay rather than as an individual view of the author himself.

The three commentaries by non-Chinese authors, on the other hand, can be read symptomatically, too. The introduction, though co-signed by Wang and Brown, is most likely composed by Brown, indicating his editorial views of the journal as well as the special issue, since Brown, like the other non-Chinese respondents, has long been interested in scholarly exchanges with Chinese colleagues and is keen on the issues at stake. In a self-reflexive and self-critical mode, the introduction states that “we always argue, and should, yet always, and properly, we do it with the nagging awareness that we are equally partial. By debating, we come to understand what our respondents draw out, the unplumbed premises and biases in their thinking and knowledge, and ultimately, we hope, in ours” (Wang & Brown 247). Here I refer to the “three respondents” in a rather awkward manner as “non-Chinese authors,” since as one of the three respondents I must differentiate myself from both three colleagues in China and other “westerners,” namely Brown, Miller, and D’Haen. The introduction describes the special issue as “exchange of views between three of China’s most influential scholars of literary theory and three leading Western comparatists with broad experience in China. (Liu Kang is Chinese-born and has held a prominent post at Shanghai Jiao Tong University but has been US-based since arriving in Wisconsin as a graduate student in 1982)” (Wang & Brown 246). The immediate parenthesis is probably intended to preempt possible suspicion over my identity as a “Western comparatist,” by adding the name tag “China-born” and “U.S.-based.” Even though racial and ethnic identities are rarely discussed in Chinese academic circles, in the current circumstances of identity politics and postcolonialism, the issue is not really irrelevant. My self-identity here as a “non-Chinese” refers only to my intellectual background and academic affiliation, but not to my identity as an ethnic Chinese or a Chinese-American immigrant. Regardless,

I am aware that it is a truly awful way of naming and identifying oneself, let alone lumping with different groups of individuals. It deserves symptomatic reading, too.

Translation is another major question with regard to such an “exchange of views.” Brown and I, along with other English authors, had extensive discussions via email concerning the translation and writing of the essays. Marshall Brown is known for being a punctilious stylist, and, as the editor of a major English journal of literary studies, he is also famous for his uncompromising fastidiousness in writing and editing. To quote Brown’s own observations: “Academic styles vary nationally, of course. Translating Chinese language and style into American language and style is a challenge. The translators in China did yeoman work, and then Zach [*MLQ*’s copy-editor] and I have put a lot more into the effort of crafting formulations that will be idiomatic for domestic as well as international readers. This work has to go in stages” (Brown 2017). The “yeoman work” that Brown describes the Chinese translator’s job is a high accolade, especially in view of the predominant mode of academic production with massive assembly line (particularly in China) that sharply contrasts with the image of the medieval yeoman’s labor. But Brown is not shy in expressing his feelings about the limelight that the Chinese academics seem to have enjoyed: “I think that the essays already give a very interesting representation of kinds of discussion that takes place among leading academics in the world’s largest country, which we--I, at any rate--can only look on with envy” (Brown 2017) .

The commentaries by D’Haen and Miller do not necessarily display similar feelings of “envy” for Chinese academic activities, but explore unabashedly differences in rules and norms of scholarship in three Chinese essays. As the editor of the prestigious *European Review*, D’Haen is quite at ease with those differences in academic practice of western Europe, North America, and, to some extent, China. His commentary “With Chinese Characteristics” begins with a quote from the China travelogue by American journalist Peter Hessler, “that everything foreign, be it Shakespeare, Marxism, or capitalism, assumes ‘Chinese characteristics’ when imported into China” (D’Haen 329). And then: “The three essays that form the core of this issue of *MLQ*, by Wang Ning, Zhang Jiang, and Zhu Liyuan, address how Western theories of literature, on their reception in China, assume such Chinese characteristics. Zhang even uses the same term to describe the kind of criticism he calls for in his essay, ‘On Imposed Interpretation and Chinese Construction of Literary Theory’”(D’Haen 330). D’Haen’s somewhat facetious overtone on “Chinese characteristics” from Shakespeare, Marx, to capitalism, however, shifts abruptly to an observation with high seriousness, that in Wang’s and Zhang’s essays “we note an ever-increasing confidence in China’s strengths, in its peculiarly

‘Chinese’ characteristics, [...] us(e)ing their reflections as springboards toward a Chinese literary theory. Their purpose is clearest, and takes its most general formulation, with Zhang, who seems to predicate that what is needed, and is at hand, is a purely Chinese literary theory, bypassing the necessity of outfitting Western theories with Chinese characteristics” (D’Haen 311).

D’Haen, however, notes the nuanced difference between Wang Ning and Zhang Jiang. In D’Haen’s view, Wang is “largely descriptive,” and emphasizes the “all-important” role of dialogue, aiming at “a cosmopolitan literary theory of common aesthetic principles and universal standards” (D’Haen 309). By contrast, “Zhang takes umbrage both at the more recent variations of Western theory... and at world literature” (D’Haen 314). The archaic word “umbrage” in modern English simply means offense, resentment, or annoyance. Avoiding direct response to Zhang’s unveiled hostility, D’Haen cites profusely Jameson, Gadamer, and so on, to address the specific issue of literary texts and interpretation of texts. By so doing, D’Haen adroitly reconciles Zhang’s pique towards western theory with formalism and New Criticism, which happens to concern themselves primarily with the “text” itself, thus allowing D’Haen to link this intrinsic, textual priority of a New Critic with Zhang’s “objective existence” of a text. But D’Haen does not dwell on the concepts and theories of formalism and New Criticism. Instead, he spends a considerable amount of space detailing Qian Zhongshu’s scattered literary treatises in an effort to sketch out an indigenous “Chinese literary theory,” in deference to the “Chinese characteristics.” Moreover, his commentary ends with a quote from George Brandes, a 19th century Danish scholar preeminent among Chinese scholars of literature in early decades of the 20th century, reaffirming the future of the “Chinese characteristics”: “The world literature of the future will become all the more captivating the more the mark of the national appears in it and the more heterogeneous it becomes, as long as it retains a universally human aspect as art and science” (D’Haen 321). Such a *mise on abyme* is elaborate, and laborious, even though it may incidentally obfuscate, rather than compliment, the strive for pure Chinese theory. For D’Haen may not know the controversy around the famous motto often attributed to Lu Xun, the modern Chinese literary giant, that “the more national, the more global.” It sounds just like what Brandes said as quoted by D’Haen. But some Chinese literary historians find the attribution of the saying to Lu Xun simply false, and many question its wisdom, too (Yuan 49-52). Nevertheless, D’Haen delivers his well-wish.

Miller, on the other hand, is forthright, earnest, sometimes even blunt, when dealing with specific issues raised by the Chinese essays. Hillis Miller enjoys a

high reputation among today's Chinese literary scholars, almost equivalent to that of George Brandes in earlier years. And as a person, the late Miller was amicable and graceful, and quite diplomatic when greeting the three Chinese colleagues in his commentary. He compliments the illustrious biographies of the three Chinese scholars, and recounts his frequent lecture tours in China over the years, showing his genuine affection for China. Then he is raising a series of questions: "What, exactly, a uniquely Chinese form of literary theory would be like is also not specified beyond saying that it would be distinctively "Chinese." Does that mean Marxist, or Confucian, or Chinese Zen, or what?" (Miller 342) And "China has a several-thousand-year-old tradition of literary study and literary theory. It should not be all that difficult for them to do without 'Western values' and to return to their roots in those old traditions. Reconciling those with the distinctively Chinese Marxism might be a problem, however" (Miller 342). Pointedly, Miller is questioning the viability of a pure Chinese theory without western values in modern times, citing "the distinctively Chinese Marxism" that inextricably integrates Marxism that derives from "western values" with China's culture and society. He brings out this question again when commenting on Zhang's essay: "Zhang says nothing about the difficulties of reconciling that tradition with China's official commitment now to Marxism in all areas of thought and action. He does not mention a single work of traditional Chinese literary theory. Nor does he mention a single work of Chinese literature. Examples would have been helpful, even in a relatively short essay" (Miller 345).

Apart from his query on the position of Marxism in the purported "pure Chinese theory," Miller emphatically calls attention to the academic norms of extensive reference and analysis of concrete, detailed evidence. His criticism of Zhang's over-generalization seems mild and oblique ("examples would have been helpful"), and yet, by contrast, he lavishly praises Zhu's essay for the latter's exemplar scholarship: "Zhu's essay, moreover, is an exemplary demonstration of what a circumstantial account of Western theory's influence in China should be like. He not only gives an accurate reading of the example of Western theory he chooses, as well as of later works like my *On Literature*. He also presents specific details about the various essays published in China that participated pro and con in the "end of literature" debate there" (Miller 346). Miller spends more than two-thirds of his commentary engaging in detailed discussions with Zhu over issues ranging from Derrida's *Post Card* to hermeneutics vis-à-vis poetics. Zhu later wrote a Chinese essay to further the conversation on these questions, and the essay was rewritten and translated into English and published ((Zhu 2020A; 2020B). Miller indeed

had a chance to read Zhu's response to his early commentary, before his death in 2021.¹ The exchanges between Hillis Miller and Zhu Liyuan are truly exemplary, a good model for the conversation between Chinese scholars and their international interlocutors. By contrast, Miller spends less than one page on Zhang, primarily charging the latter for lack of concrete evidence and analysis: "Zhang's essay remains almost completely at the level of condemnatory generalization" (Miller 345).

In the essays of the special issue one finds a common passion for, and dedication to scholarly issues of literary studies and academic norms, with a great deal of attention to concrete evidence and meticulous, theoretically well-informed analyses and argumentations. This is what I call the *Shu*, the techniques, or more precisely the norms, rules and protocols of scholarship. *Shu* (techniques) derive from *Dao* (principles/ways). Scholarly exchanges can take place in the special issue of *MLQ* and other international venues because the authors by and large agree on and adhere to the norms of technique as well as the principles of scholarly and intellectual inquiry. First, arguments or viewpoints in the humanities and hypothesis in social sciences and natural sciences are the organizing principles for scholarly inquiry. Second, the arguments or hypothesis must be based on rigorous research that includes exhaustive review of the existing literature on the subject, as well as meticulous analysis of evidence. Last but not the least, concrete, detailed evidence constitutes the necessary and sufficient condition for academic research. In natural sciences and social sciences evidence means empirical and logical evidence from either induction or deduction; in the humanities it is the concrete text, verbal or non-verbal, subject to interpretation. However, it is sometimes hard to rigorously adhere to these norms, as shown in the essays of the *MLQ* special issue. While acknowledging that differences do occur in academic practice and norms, for instances between China and Euro-America, a metacommentary ought to probe into the underlying assumptions and principles, i.e. *Dao*, in terms of universalism vis-à-vis exceptionalism.

Universalism vis-à-vis Exceptionalism

My commentary in the *MLQ* special issue first explore the question of "anxiety of influence," commenting on the three essays by Chinese colleagues. In the second part I take Jameson and Chinese Jamesonism as a case in point to illustrate the Chinese anxiety of influence with Western theory and the battle between (Western)

¹ I forwarded Zhu Liyuan's CLCWeb essay to Miller on October 30, 2020, and Miller replied to my email on November 2, 2020: "Zhu's paper received." Miller died on February 7, 2021.

universalism and Chinese exceptionalism. I argue that Chinese Jamesonism shows how an eclectic American neo-Marxist academic discourse has been reinvented in China on selected themes of postmodernism and Third World “national allegory.” However, as a “shadowy but central presence” in Jameson and other Western left theories, Maoism is nearly absent from China’s appropriation of Western theories. At the beginning of this essay, I mention that the main problematic, or the cluster of related theoretical issues, that informs my *MLQ* commentary, is “the China Question of Western Theory” (Liu, “A (Meta) commentary on Western Literary Theories in China: The Case of Jameson and Chinese Jamesonism” 323). It can be viewed as the larger context for the *MLQ* special issue and the issues of anxiety of influence and universalism/exceptionalism that I detect from the essays.

From the end of the 1990s to the present, neo-Marxist critical theory and a garden-variety of “post-isms”—poststructuralism, postmodernism, and postcolonialism—have been translated, borrowed, and appropriated in China en masse and become dominant critical discourse in Chinese academia. These more recent years contrast sharply with the decade of the 1980s, or the so-called Chinese Cultural Reflection Movement. Chinese intellectuals then passionately embraced Western ideas from the late nineteenth and early twentieth centuries, translating works of Sigmund Freud, Friedrich Nietzsche, Friedrich Hayek, Martin Heidegger, Ludwig Wittgenstein, Jean-Paul Sartre, Susan Sontag, the New Critics, and so forth.

A few salient features of the historical context for the Chinese reception of Western theories should be noted. First, the brief yet historic period of the 1980s Chinese cultural reflection movement unleashed a heteroglossia of ideas, to borrow Mikhail Bakhtin’s concept. Massive modern Euro-American ideas, both liberal and conservative, opened up new ways of thinking about Chinese modernity, which challenged the powerful leftist tradition that has legitimated the Communist Party of China (CPC) rule. Second, the Marxist and leftist orthodoxy in China, though largely scorned and rejected by Chinese intellectuals in the 1980s, provided fertile ground for the reception of neo-Marxist and leftist Western theories in the new millennium. Third, a more assertive and increasingly nationalist China, especially during the recent years, called forth renewed efforts for Chinese exceptionalism vis-à-vis Western universalism. Since Western literary theories, be they leftist, liberal, or conservative, are lumped together under the rubric of Western ideas, they have become the targets of (CPC)-sanctioned campaigns against universalism. However, these assaults on universalism cause great anxiety and consternation, especially among those who have dedicated themselves to the translation, dissemination, and appropriation of Western theories which they must now denigrate, if not entirely

reject.

In the essays by Chinese authors I sense the anxiety of influence permeating almost every page. The anxiety arises primarily from the issues of Western impact/Chinese response, tradition/modernity, even though such dichotomous paradigms that had dominated China Studies in the U.S. and western Europe have been under assault for decades by Euro-American academics themselves. In my *MLQ* commentary I acknowledge my own share of such an anxiety. How should China act (or react) when encountering the West that, for the most part, is still perceived by the Chinese as a globally dominant power? This question haunts the collective imaginary of the Chinese, even though the myth of the West as a totality is mostly rejected by the so-called “Westerners” themselves, and the rising nationalist sentiment stokes a hubris of China’s imminent overtaking of the West. Setting aside the emotional aspect of anxiety, how should China position itself rationally, and realistically, in a rapidly changing, and extremely volatile world of today? As a Chinese-American scholar living in between the walls, barriers, and barricades, imagined or real, I feel most intensely the pressures from both sides, in terms of technical norms and protocols (*Shu*) and conceptual (ideological) assumptions (*Dao*).

My *MLQ* essay focuses primarily on the anxiety of influence that Chinese scholars feel when encountering western literary theory. I explore the absence of Maoism in Chinese appropriation of Jameson’s theory to showcase the dilemma of the Chinese academics when dealing with an ostensibly western, i.e. Jameson’s theory that actually draws centrally on Mao Zedong’s thought, though in reinvented configurations known as (western) Maoism. It’s an immensely complex conceptual trajectory, or “traveling theory.” The narrative must begin with Mao Zedong’s historic endeavor of “making Marxism Chinese” during the formative years of his ideas in the 1940s. Consequently a Chinese Marxism emerged, and canonized as Mao Zedong Thought. The second phase occurred during Mao’s reign (1949-1976), when Mao Zedong Thought served as the guiding ideology and policies of the Communist Party of China. The third episode, the moment when Mao’s Chinese appropriation or Sinicization of Marxism became global, occurred during (and coincided with) this second phase, as western European leftist intellectuals (primarily French) and Third World leftist guerilla leaders congregated on their newly discovered revolutionary gospel from the East, namely Mao’s writings, disseminated through massive global propaganda campaigns (Zhang & Yan 54-63). These radical intellectuals or revolutionary rebels invented various versions of Maoism, during the apex of the global “cultural revolutions” of the 1960s, in which the Chinese Cultural Revolution served as the indisputable beacon for the global revolutionaries. The

last, and the present episode is marked by China's re-appropriation of the western Marxist and leftist theories, where Maoism occupies a singular and central position. This fourth episode unfurled in the 1990s, and the drama is still going on now, being watched, and commented by the *MLQ* special issues, and through many scholarly venues around the world today.

The dilemma and anxiety of the Chinese academics with regard to the ongoing, complex, four-episode drama of theoretical journey of western Marxism and Maoism needs to be further explored. In the present context, I'd like to reiterate a point I have made in numerous occasions, a point nevertheless is quite obvious and straightforward. Simply put, the journeys of Chinese appropriation of Marxism, western Marxist theory's appropriation of Maoism, and then Chinese appropriation of western Marxist theory reaffirm over and again the inseparability of the ideas (and of course social practices of all aspects) of Chinese and the world. Marxism as a universalist idea can be appropriated locally as in the case of Chinese Marxism, from Mao Zedong Thought to the newer versions such as Deng Xiaoping Theory and Xi Jinping Thought, and, likewise, Chinese Marxism or Maoism can be appropriated by western Marxists, and then re-appropriated back to China. Unquestionably, Marxism is a universalism through and through. It aspires to a universalist ideal of human liberation and equality. In the meantime, Marxism has spawned numerous local, indigenous versions and variations, including Chinese Marxism, western Marxism, and so on and so forth. One can certainly argue that Chinese Marxism is not an ideology of exceptionalism, but a version of Marxist universalism. It may prove that the relationship of universalism and exceptionalism should not, and cannot be viewed as binary oppositions and mutual exclusions. Rather, it is overdetermined by multiple factors of integration and complementarity.

But why is there still so much anxiety? The concept of anxiety of influence is coined by Harold Bloom, whose ambivalence towards the "old school" norms of New Criticism and newer school of French theory turned out to be his trademark, compared especially with his more French-leaning, deconstructionist Yale colleagues such as Paul de Man, Geoffrey Hartman, and Hillis Miller. Anxiety of influence is Bloom's Freudian diagnosis of the unconscious, a struggle in which the young artist rebels against preceding traditions, seeking that burst of originality that distinguishes greatness (Bloom). Anxiety is an emotional, or affective response rather than a cool-headed, rational calculation. But in today's era of post-truth, what matters is not so much "objective facts" as "appeals to emotion and personal believe," as defined by Oxford Dictionary as the Word of the Year 2016 and onward (Oxford). The post-truth era is the perfect incubator of nationalist-populist

sentiments, emotions, and attitudes, sweeping across the whole world now. It is an era where ideology, rather than reason and science, reigns supreme. Ideology here refers to the emotional, imaginary and affective (aesthetic) ways of viewing and thinking about the world.¹ Nationalist-populist ideologies often ally themselves with various kinds of essentialism and exceptionalism, and attack universalism as the archenemy. In the North America and western Europe, the cultural war against universalism is waged in the name of promoting cultural diversity against Eurocentrism, but such a whole-sale rejection of universal human values risks embracing exceptionalist claims to racial, ethnic, and cultural exclusion, polarizing and tribalizing different peoples and nations. This is exactly what happens across the world today. Under such circumstances China is certainly not immune to the global wave of nationalism-populism. It is thus imperative to remind ourselves of the necessity to ceaselessly combat various kinds of essentialist, and exceptionalist claims that ultimately undermine the endeavors for building a “community of shared future for mankind” or 构建人类命运共同体 in Chinese.²

Conclusion

My commentary on the MLQ special issue attempts to identify the logic underlying the questions of different academic contexts, techniques (*Shu*) and principles (*Dao*) for scholarship raised in the essays. The strong anxiety evinced especially in the essays by Chinese authors is symptomatic of the dichotomous mode of universalism vis-à-vis exceptionalism, which can be better understood in the light of the global resurgence of nationalism-populism. However, the dichotomous mode of thinking on universalism and exceptionalism is not only conceptually misleading, but also historically false. As history has amply demonstrated, what defines China’s modernity is precisely China’s integration into the world. A commonwealth of shared values or universal values is the foundation of the commonwealth of humanity, or “community of shared future for mankind.” In the domains of literary theory and research, such shared values should guide us in our intellectual inquiry.

1 Louis Althusser defines ideology as “a representation of the imaginary relationship of individuals to their real conditions of existence.” In Louis Althusser, “Idéologie et appareils idéologiques d’État (Notes pour une recherche)”. *Positions* (1964-1975), Paris : Les Éditions sociales (1976): 67-125.

2 Xi Jinping, General Secretary of Communist Party of China, first mentioned the concept of “community of shared future for mankind” or 构建人类命运共同体 in his 2013 speech at the Moscow State Institute of International Relations, and since then it became a guideline for the CPC. See China Focus, “The Idea of a Community with a Shared Future,” *China Daily*, January 28, 2021. Available at: http://www.chinatoday.com.cn/ctenglish/2018/commentaries/202101/t20210128_800234170.html.

Works Cited

- Boom, Harold. *The Anxiety of Influence: A Theory of Poetry*. New York: Oxford UP, 1973.
- Brown, Marshall. The Email Exchange with Wang Ning, Liu Kang, J. Hillis Miller and Theo D'haen, September 16, 2017.
- D'haen, Theo. "With Chinese Characteristics." *Modern Language Quarterly* 79 (2018): 309-322.
- Jameson, Fredric. "Metacommentary." *PMLA* 86 (1971): 9-18.
- Liu Kang. "A (Meta) commentary on Western Literary Theories in China: The Case of Jameson and Chinese Jamesonism." *Modern Language Quarterly* 79 (2018): 323-340.
- . "Introduction: China Question of Western Theory." *CLCWeb: Comparative Literature and Culture* 5 (2020). Available at: <https://doi.org/10.7771/1481-4374.3819>.
- Miller, J. Hillis. "Western Literary Theory in China." *Modern Language Quarterly* 79 (2018): 341-353.
- Wang Ning and Brown Marshall. "Introduction." *Modern Language Quarterly* 79 (2018): 245-247.
- Word of the Year 2016. Oxford Languages. Available at: <https://languages.oup.com/word-of-the-year/2016/>.
- 袁良骏: "地方色彩·民族性·世界性", 《八方风雨》。福州: 福建教育出版社, 2000年。
[Yuan Liangjun. "Local Color, National Character, Global Character." *Winds from All Sides*. Fuzhou: Fujian Education Press, 2000.]
- 张放、严丹: "毛泽东著述多语种版本的海外传播及利用", 《图书馆杂志》40 (2021): 54-63。
[Zhang Fang and Yan Dan. "The International Communication and Utilizations of Multilingual Versions of Mao's Literature." *Library Journal* 40 (2021): 54-63.]
- 张江: "强制阐释论", 《文学评论》6 (2014): 5-18。
[Zhang Jiang. "On Imposed Interpretation." *Literature Review* 6 (2014): 5-18.]
- Zhu Liyuan. "Print Culture, Digital Culture, Poetics and Hermeneutics: Discussion with J. Hillis Miller." *CLCWeb: Comparative Literature and Culture* 22.5 (2020B). Available at: <https://doi.org/10.7771/1481-4374.3823>.
- 朱立元: "印刷文化、数字文化、诗学和解释学——与希利斯·米勒讨论", 《武汉大学学报: 哲学社会科学版》5 (2020): 60-69。
[Zhu Liyuan. "Print Culture, Digital Culture, Poetics and Hermeneutics: Discussion with J. Hillis Miller." *Journal of Wuhan University* 5 (2020): 60-69.]

Translation and the Reconstruction of World Literature: Wang Ning's World Literature Theory

Liu Dan & Xiong Hui

Abstract: As one of the most influential comparatists in China, Wang Ning has taken the lead in updating the world on new advances in literary studies in China and initiating equal conversations with Western comparative literature scholars from a global perspective. More importantly, Wang, from the vantage point of being a Chinese scholar, has brought about a new notion of world literature under the aegis of cultural globalization that challenges Eurocentrism on multiple fronts. Two questions are central to his notion of world literature: first, how we reconstruct the western centric notion of world literature; and, second, how we remap the landscape to encompass marginalized national literatures. Translation, as a medium for literary exchanges, emerges as the key to Wang's reconstruction of world literature. He advocates that we use cultural translation as a means of deconstructing the prevailing Ecocentrism to carve up legitimate places for disadvantaged national literatures, so that they can be readily accounted as an important part of world literature. His theory showcases a strong national stance and a deconstructionist attitude. Taking Chinese literature as an example, he argues that good translation necessarily contributes to better cultural images, which in turn can upend the current hierarchy of literatures, consequently help position national literatures in world literary system. In this light, translation, the bedrock of Wang's theories, sheds light on how national literatures can be a significant part of world literature.

Keywords: world literature; translation; national literatures; cultural globalization; discourse

Authors: **Liu Dan** is Associate Professor of English Literature, Sichuan University (Chengdu 610065, China). Her major research area is postcolonial literary criticism.

Xiong Hui (Corresponding Author) is Professor of Translation Studies, Sichuan University (Chengdu 610065, China). His research focuses on translated literature (Email: xiongh@sjtu.edu.cn).

标题: 翻译与世界文学的重构: 王宁的世界文学观管窥

内容摘要: 王宁是中国最具国际影响力的比较文学学者之一, 他不仅率先向世界文坛展示了中国文学研究的前沿成果, 而且用朝向世界的视野与国际比

较文学专家展开平等对话；更为重要的是，在文化全球化和欧美中心主义遭遇挑战的时代语境下，王宁从一位东方学者的身份和立场出发，提出了崭新的世界文学观念，这包含两点：一、重构世界文学的路径和策略；二、弱势民族文学如何突围并进入世界文学的行列。其中，翻译在王宁的世界文学观中扮演着重要角色，它是各民族文学交融的中介，是实现世界文学重构的关键环节。王宁的世界文学观无疑具有浓厚的民族性和解构色彩，他主张通过文化翻译来解构欧美文化中心地位，为所有处于弱势地位的民族文学在世界文学版图上开掘出合法的生存空间；并以中国文学的发展为例，认为弱势民族只有加强自身文学的对外翻译才能更好地展示并建构自我文化形象，改变当前文学地位的不平衡状态，从而确立本民族文学在世界文学中的地位和身份。翻译是王宁世界文学观念建立的根基，为各民族文学走向世界提供了参考和启示。

关键词：世界文学；文学翻译；民族文学；文化全球化；话语权力

作者简介：刘丹，四川大学外国语学院副教授，主要从事后殖民文学研究；熊辉（通讯作者），四川大学外国语学院教授，主要从事翻译文学研究。

World literature as a concept is discursively constructed. European literature dominates the map of world literature, whereas African literature and literatures of the Middle and Far East have been marginalized and overlooked. Following World War II, when more nation-states became independent and their economies began flourishing, Eurocentrism seemed to disintegrate with the process of globalization. In this context, where should world literature go? As a scholar from a country with a long history and rich cultural tradition, Wang Ning re-examines translation's paramount significance in the reconstruction of world literature, timely enhancing discussions about the relationship between world literature and national literatures.

1. Translation and World Literature Reconstructed

The concept of world literature has been constructed differently over time. In today's globalized and post-colonial context, in which cultural Eurocentrism has been increasingly deconstructed, Wang's intellectual quest raises two central questions. First, how, by the means of translation, can national literatures find their legitimate places in the oeuvre world literature? Second, how can translation help gauge and reconstruct the ecosystem and order of world literature?

Starting from the common literary aesthetics, Wang believes that "translatability" is a yardstick for deciding whether a work can be considered as world literature. Accordingly, world literature, as a fluid concept, is constantly constructed and

enriched through translation. David Damrosch, Harvard University's Bernbaum professor of Comparative Literature, assumes that the term "world literature," instead of being merely used for the purpose of evaluation, denotes a unique type of literary production, distribution, and reception. He argues that "*world literature is writing that gains in translation*" (emphasis original) (Damrosch 281). However, Wang believes that world literature is a result of "literary evolution" (Wang, "'World Literature' and Translation" 26), which can be regarded as a process that involves "production, circulation, translation and critical selection in different languages" (Wang, "World Literature and the Dynamic Function of Translation" 5). Unlike Damrosch's concern that world literature is partly a result of translation, Wang pays more attention to the dynamic function of translation in the process of constructing world literature. According to him, it is the dynamic literary evolution rather than the static, translated texts that makes world literature more clearly manifested as "not a set canon of texts" (4) but a constantly evolving concept. This leads to what Wang has described as the third form of world literature as a process of cross-cultural/language communication. In other words, without translation, literatures produced on the ground of cultural relativism can only be published and circulated within the national borders, losing the possibility to gain a foothold in world literature. Thus, it is evident that national literatures can become world literature through translation.

Hence, arises the immediate question: what kind of work can and should be translated? The answer lies in the work's quality as much as in the complex standards of selection. Only those texts that are selected by the translator are eligible for consideration as world literature. However, selection of a literary work is largely determined by whether it possesses some properties that pertain to the common aesthetics value, which points to what we call "translatability." World literature, in a nutshell, denotes literary works with common aesthetic qualities and far-reaching significance. Its two essential qualities are "transnational" and "translational," both of which are indispensable and mutually constitutive (Wang, "'World Literature' and Translation" 26). How can national literatures break their linguistic and cultural boundary and travel to other languages and cultures? And how can they be understood and appreciated by readers in different languages and cultural backgrounds? These are important questions to ask. Arguably, translation plays a vital mediating role in making transnational literatures become part of world literature. Without it, national literature might remain "dead" to the canon of world literature. Thus, by means of active rewriting and creative manipulation, translation greatly contributes to the canonization of world literature. To demonstrate this, Wang takes China's literary translation as a convincing example. Meanwhile, he

expounds that translation, especially with its mediating and rewriting function, is essential for a national literature, one which aspires to break through regional restrictions, and become part of world literature and be accepted by other nations. It is the same for ambitious writers. To this end, Wang singles out Chinese translations and discussions of Henrik Ibsen's plays during the May Fourth period and their adaptation into contemporary theatrical performance in China as a vivid example (Wang, "'Translated' and 'Constructed' Ibsen: Ibsen Metamorphosed in China" 55-59). Indeed, Wang's "translation" is not the literal meaning, or the simple "equivalence" of textual information championed by some linguists. Rather, it necessarily involves elements of rewriting and even readaptation known by cultural scholars. What is worth further exploration is that it is not the translator or the readers' aesthetic demand that determines the translation of a certain literary work. Instead, it is political ideology which ultimately matters. It renders a translated text, somewhat "transformed" compared with the original, into a suitable work for the target country. In other words, the original work takes on a new meaning before it is widely circulated and well received in other languages, and subsequently recognized as a canonical text for a certain era of its original country.

Hence, it is clear why Ibsen's plays, renowned for modernism and avant-garde experimentation, were "translated" into realist works regarded by Chinese readers as canonical world literature. It is worth pondering whether Ibsen's plays would still be received so highly as part of world literature in China, if the translators did not rewrite them during the May Fourth period when Chinese society urgently called for enlightenment and social criticism. Further, regarding modern Chinese literature, Wang comments, "those translated works are often regarded by today's scholars as an integral part of modern Chinese literature. In fact, they become 'modern Chinese literary classics' that are different from both traditional Chinese literary works and modern Western ones" (Wang, "'Translated' and 'Constructed' Ibsen: Ibsen Metamorphosed in China" 52). This quotation can be interpreted in two ways: first, translated works, often incorporating elements of rewriting and creation, bring modern elements to Chinese national literature, and can be regarded as an integral part of national literatures; second, translated works, which might have subjected to rewriting, differ from both traditional national literature of the target languages and the original work. Thus, they become a fresh literary form, making it possible to reconstruct world literature classics. Therefore, translation has contributed remarkably to the innovation and globalization of national literatures. The modern form of national literatures read today would not exist without translation. Similarly, Western literature or literatures of other nation-states can never break through

barriers of languages and cultures before being transformed into world literature.

Wang has also demonstrated the translator's importance in the construction of world literary classics. Literary translation is a complex creative activity. Necessarily, the translator must creatively rewrite the original work according to the cultural needs of the target languages. In some sense, such translation "determines" the fate of national literatures, for it can improve a literary work in the translation. There are numerous such instances worldwide. For example, Shakespeare's plays, after being successfully translated into Chinese by Cao Weifeng, Zhu Shenghao, Liang Shiqiu and Fu Guangming, found immense favor among generations of Chinese readers. In the case of British literary history, Edward FitzGerald, with his marvelous translations, "resurrected" the ancient Persian poet Omar Khayyám's *Rubáiyát* into masterpieces. Ezra Pound's rewriting of Chinese and Japanese poems, which has long become famous in American literary history, is another illustrious example. Hence, a good translator is vital to enable national literatures to enter the canon of world literature. However, inadequate translation may be harmful, for the translated text might lose its original significance and value in a foreign cultural context, remaining obscured in the forest of world literature. Drawing on Walter Benjamin's conceptualization of "the translator's agency," Wang argues that the translator can endow the work with a "continued" life, reconstruing "an afterlife" for the original text before it achieves a canonical standing in the target language. As Benjamin claims, "Just as the manifestations of life are intimately connected with the phenomenon of life without being of importance to it, a translation issues from the original—not so much from its life as from its afterlife" (Benjamin 73). Informed by Benjamin's theory, Wang believes that the translator takes on multiple roles simultaneously: a judge of a work's literary value, an intimate reader of the original, and a dynamic interpreter and re-writer. In this regard, the translator takes charges of the fate of a work in the foreign cultural contexts. Wang asserts, "A good translator may well improve a work or even render it canonical in the target language, while a bad one may ruin it and destroy its potential for canonization in that language" (Wang, "'Translated' and 'Constructed' Ibsen: Ibsen Metamorphosed in China" 55). In addition, influenced by Jacques Derrida's deconstructive translation theory, Wang points out that a single translator only has limited influence in this regard because translation is "always an incomplete process that can be perpetually advanced by successive generations of translators." A literary work has to be retranslated before it can be canonized as part of world literature. For Derrida, a particular translator's role is limited. His deconstructive translation theory holds that translation can never be the same to the original. Yet we cannot deny that

translation provides the original work with a continued life and more living space. Given this, we cannot ignore the translators' positive roles in the canonization of world literature.

The construction of world literature involves the travel of literary texts, which is inseparable from creative translation. National literatures become globally celebrated world literature only by breaking through cultural and regional boundaries. Without it, national literatures might remain in the blind zone or "dead" to other cultures and consigned to their peripheries. "World literature is thus by no means a fixed phenomenon but a traveling concept," Wang contended ("World Literature': From Utopian Imagination to Aesthetic Reality" 4). Thus, how can literary texts achieve their world travel? Apparently, the role of translation cannot be overlooked. Without the hard work of Chinese translators, it would not be possible for English, French, German, Russian and Japanese literature, among others, to travel to China. Similarly, without English translators, Chinese and Japanese literature in the East cannot travel to the West either. It is through the translators' bridging role that some works have gained more potency in a foreign cultural environment and thus, are regarded as classics by readers in target countries. On the contrary, inadequate translation can ruin even what have been considered as the best in the canon of national literatures. With artistic significance lost during the translation, such works have no "continued life" to speak of. Given this, translation determines how far a literary work can travel as much as it shapes its international influence. It also decides the difference between texts of world literature and national literatures, revealing the connections as well as distinction between the two. As Wang maintains, the travels of "world literature" are "two-way." World literature can travel from the West to the East, and vice versa. In an essay delving into the cultural background of Goethe's "world literature," Wang believes that Goethe's conceptualization is closely linked to his reading of many translated literary works outside Europe, including Chinese and Persian literatures that were widely regarded as unimportant by European cultural centrists at that time (Wang, "The Two-way Travel of World Literature" 15-16). Indeed, only those works that profess world qualities can "travel" by means of translation. That is, the worldly characteristics and translatability of world literature complement each other. The higher degree of the common aesthetic value is a prerequisite for a text to travel. Translatability, in a similar way, determines whether it is practical for such travels. After all, any literary work that aspires to transcend national and linguistic barriers must rely on the intermediary translation. In short, without translation there is no travelling text, and without texts that travel there is no world literature.

By virtue of translation, world literature has multiple versions in different national cultures and languages. Through this process, a deconstruction of Eurocentrism can be conducted, resulting in a new ecosystem of world literature. In Wang's view, world literature has already moved beyond the realm of utopian imagination into the realm of aesthetic reality. This stage has seen world literature take on greater connotations and richer forms of expression, as it is no longer restricted to literatures in English, Chinese, or other national languages. Wang argues:

Cultural globalization has brought about both homogenization and diversity at the same time, and during this process, the intervening role translation has been playing is impotent. Through the intermediary function of translation, world literature can be found in different versions in different countries, thus dispelling the myth that there is a single 'world literature'. (Wang, "'World Literature': From Utopian Imagination to Aesthetic Reality" 3)

Wang's remarks mean several things. First, it recognizes the intervening function of translation in reducing the homogenization of world literature. For example, without translation and its role in the dissolution of West-centrism, audiences around the world might read Shakespeare and Milton's works only in the original English. For non-English national literatures, linguistic and cultural obstacles difficult to overcome in term of entering the forest of world literature is one thing, and the other thing is that even if they do have been received well by readers of other cultures, they can only be read in their "original form and authentic flavor." Although this seems to respect the original work, it actually reduces the possibility for the work to travel further in other languages. Second, Wang fully affirms that translation is constructive for the diversity of world literature, thus deconstructing West-centrism. Precisely because of the translation boom in national literatures, the monopoly of powerful nations on world literature has been broken. Therefore, readers worldwide can access Shakespeare in translated versions in languages such as Chinese, Japanese, Arabic and many more. Thus, world literature, exemplified by Shakespeare, takes on much richer forms. However, the multilingual and multi-version literature produced by translation is only the surface. Diversity of world literature is primarily driven by the myriad demands and interpretations offered by different ethnic groups. Their rewriting in the process of translation to meet national needs, and different emotions and aesthetic pursuits, are the underlying causes for the true diversity of world literature.

In a nutshell, Wang argues that there is no world literature in its entirety without translation, and national literatures can only circulate locally. Translations, rewriting, and creative manipulations may transform an original work and make it “alienated,” but they also enable the work to travel further into cross-cultural space and to gain an “afterlife.” However, Wang is also clear-eyed about the limitations. Such as, aside from the limitations imposed by political and cultural ideologies, translation does not guarantee the inclusion of national literatures in world literature. A literary work’s quality, or, more specifically, its “translatability,” is the ultimate criterion for recognition within world literature.

2. Translation and Chinese Literature as World Literature

In discussing the reconstruction of world literature from the perspective of globalization, Wang uses Chinese literature as an example to explicate how marginal literatures can become a part of world literature. While Wang acknowledges that translation facilitates the integration of national and world literatures, he also believes that it is important to shift the imbalance inherent in literary translations. To do so, the disadvantaged and small nations must improve translations of their own literatures to build better cultural images. So that, as a result, their literatures can gain a position among the family of world literature.

Translation, as evident, has changed national literatures and their ways of expression, for it makes the narrative mode of national literatures closer to that of world literature. A good example is the development of modern Chinese literature. Numerous intellectuals who had received cultural enlightenment initiated Western modernity into China through translation since the late Qing Dynasty. Such translation experiences and resulting texts provided fresh writing resources for Chinese modern writers, who created works departing from both the Chinese traditional and Western literary conventions. This leads Wang to make the following argument: When writing the literary history of modern Chinese literature, we must fully recognize the importance of translation. However, this form of translation was not the conservative word-to-word renderings. Instead, it was a cultural transformation using language as a medium. Through this large-scale cultural translation, a new literature was born which contributed to the construction of a type of transnationalism.(Wang, “‘World Literature’: From Utopian Imagination to Aesthetic Reality” 7) Thus, Wang re-interprets the innovative importance of translation in Chinese literature and culture. From a cultural perspective, he illustrates how translations have preceded the spread of Chinese literature as an important part of world literature. Thus, he goes beyond earlier scholars who

examined translation's role solely from a linguistic perspective. Wang undoubtedly hits the nail on the head with his emphasis on the language media. For example, in the case of cultural exchanges and dialogues between Chinese literature and foreign literatures, it was precisely the language media obtained in the translation process that had created fresh expressions in modern Chinese literature. In turn, such new expressions had affected how Chinese literature were written. As a result, the modern Chinese, as a more open form, has claimed legitimacy as a language of literary creation. Furthermore, what Wang values most in translation is not its impact on Chinese language and literature per se, but its influence on the capability of Chinese literature to interact with world literatures. Turning away cultural conservatism about "Westernization" or "colonization," Wang appreciates the rich possibilities translation can engender in terms of Chinese literature's admission into world literature, especially the language transformation it has generated. More specifically, translation, as he conceives, has refined Chinese literature's qualities as part of world literature as much as it has enhanced the chances for exchanges between the two. In this sense, the New Culture Movement initiated by Hu Shi has far-reaching implications. On the one hand, it has helped writers to follow their hearts and write what they wish; on the other hand, it has also opened up the language channel for Chinese literature to enter the stage of world literature. Additionally, it has helped in the translation of foreign books into Chinese. Had translators stuck with Yan Fu's practice of rendering Western languages into classic Chinese (that is eternally monosyllabic), translated texts would have largely slipped into oblivion. Hence, some scholars contend that the ultimate purpose of the "vernacular movement" during the May Fourth period is not to ask people to write articles in everyday speech. Rather, it intends to "make Chinese a language that is translatable and capable of translating other languages, so that we can clearly hear the voices of the world and understand their meanings in impeccable ways" (Jingze 229).

Translation introduces modern and cosmopolitan elements to national literatures, which are increasingly integrated into the oeuvre of world literature. From the late Qing dynasty onwards, Chinese people have been on a progressive journey of learning from the West—ranging from scientific objects, institutional systems to cultures. A large number of Western literatures and theories have been enthusiastically translated into Chinese. Such a boom shows no signs of abating, leading some scholars to voice their concern over the so-called "Europeanization"

or “colonization” of the Chinese language.¹ In other words, “Chinese literature has become more and more open to the outside world in an attempt to become part of world literature” (Wang, “Contemporary Chinese Fiction and World Literature” 585). Moreover, globalization has brought about increasingly close exchanges between China and the rest of the world. Against this background, Wang contends that telling good Chinese stories in the mainstream English builds up positive national images to circulate abroad. Essentially, this process is a kind of “cultural translation and representation.” Translation in this case includes not only the transmission of information between languages but also the “inter-semiotic translation” between images and significations (Wang, “Translation and the Construction of National Image and Overseas Communication” 2). At the same time, translation, as a means of cross-cultural interpretation, plays an increasingly important role in the process of Chinese literature’s international dissemination. It can contribute to “the efficient promotion and international circulation of Chinese literature and culture” (Wang, “Translation and Cross-cultural Interpretation” 5). In short, Chinese literature gains more opportunities to become part of world literature by means of translation. The closer it is to the mainstream of world literatures, the more dialogues it will have with literatures of other nationalities. In the end, it helps in projecting Chinese literature’s global influence as an important part of world literature.

Wang has amply illustrated this point in his article commemorating the centenary of the May Fourth New Culture Movement, arguing that “without translation of foreign literatures, there would be no New Culture Movement” (Wang, “Translation’s Indispensable Role in China’s Modern History: From the New Culture Movement to the New Era of National Rejuvenation” 13). Inversely, without the intermediary role of translation, Chinese modern literature, arts and humanities research are possible to spread worldwide. China’s translation history, with its rich experiences, serves as an acute reminder for nowadays intellectuals. We should not rely on a mode of word-to-word translation or interpretation that over-emphasizes the signification if we want to successfully translate our literary works and humanities academic works for an international reader republic. Only creative translation can “make the spiritual essence of Chinese culture be accepted globally” (13). If we blindly stick to traditional translation modes trapped in outdated

¹ For example, Yu Guangzhong once said: “Many translators have subconsciously worshipping English. In their translation, they blindly imitate English grammar to the extent of making silly mistakes. If things go on like this, would not our beautiful Chinese become a colony of English language?” See Yu Guangzhong. *On Translation*. Beijing: China Translation & Publishing House, 2002. 59.

standards, we will encounter unsurmountable obstacles in Chinese literature's international dissemination. It is only through creative translation that Chinese literature has become more cosmopolitan, engaging in dynamic conversations with other world literatures. As such, a large number of contemporary writers, including Mo Yan, Jia Pingwa, Ge Fei, Li Er and others, have found their way into the world, attracting many Western readers.

Moreover, translating foreign literatures into Chinese has played a pivotal role in drawing Chinese literature closer to and making it a part of world literature. However, at this stage, our priority should be "translating Chinese literature into foreign languages" so it can reinforce its place in the family of world literature. Following the revitalization of Chinese society, politics and economy, Chinese culture should develop in ways that can be reflexive of China's status as one of world's "major power." To this end, Wang suggests, we should "resolutely shift tack in translation. Although, we previously focused on the translation of foreign literatures to Chinese, but at this moment, our top priority should go to the translation of Chinese texts. By means of excellent translation, Chinese cultural theories and intellectual thoughts can attain their due place among the forest of the world's excellent works" (Wang, "Change the Direction of Translation and Make the World Understand Chinese Literature"). The translation of Western books since late Qing dynasty has brought about changes in Chinese literature, making its expression and content closer to these of world-literature classics. However, Chinese literature has to be translated into other languages so that it can be known, read and appreciated by foreign readers, and recognized as an organic part of world literature. Therefore, the focus of our present work, aside from pushing on introducing foreign masterpieces into China, should be translating and introducing excellent Chinese literary works to foreign countries, thus "gradually shifting the direction to focus on translating Chinese literature into other major languages" (Wang, "Cultural Studies and Translation Studies in the Age of Globalization" 10). In Wang's view, what holds back Chinese literature from achieving a better position in world literature is its insufficient translations. Compared with Chinese scholars' huge amount of work introducing Western literatures in large numbers, few foreign scholars are committed to translating Chinese literature into their languages. Some Chinese scholars and translators indeed are doing this work, but they fail to generate warm responses in Western audiences, which has enormously slowed down Chinese literature's integration into the family of world literature. Despite our considerable progress in English education, only a small number of scholars are able to translate our excellent Chinese works for wider distribution in the West. There are

few Chinese scholars who can write for Western journals. The lack of adequate translation has become a bottleneck hindering Chinese literature's integration into world literature. Thus, it is crucial to train professional translators so more Chinese literature can be successfully translated into major foreign languages. To relieve translation pressure, this should be the top priority. If we primarily introduce and translate foreign literary works into Chinese at the expense of translating Chinese literature, it will harm the ecosystem of world literature. This also applies to the fact that major countries in Europe and America only export their literatures to third-world nations rather than importing literatures from developing countries. With the sufficient help of excellent translations, Chinese literature will spread worldwide quickly. However, it is crucial, Wang argues, that translation should be capable of deconstructing the centrality of European and American literatures, creating a better ecosystem for world literature.

Undoubtedly, translation bridges Chinese literature and the outside world, but while translating Chinese literature to foreign languages, we must avoid the phenomenon of "talking only to ourselves." Rather, we should stay open to suggestions of foreign sinologists. A nationalist complex is evident in Wang's theories regarding world literature. He constantly speaks out for Chinese literature and other national literatures in the East, calling for the rise of Chinese literature in the world. But how can Chinese literature achieve such a worldwide breakthrough? Can we just rely on cultivating more translation talents or on improving the translation quality? Obviously, this is not a problem that will be easily solved as China becomes a major economic power, nor the solution is as simple as merely improving foreign translations. In the process of translating Chinese literature, "we need foreign sinologists' cooperation and assistance, which can help to implement the strategy of 'local globalization' so that Chinese literature can be better received by the rest of the world" (Wang, "'World Literature': From Utopian Imagination to Aesthetic Reality" 8). Wang emphasizes this point in "World Literature and China": "By cooperating with foreign sinologists, we have greater chances to effectively promote Chinese literature to the world, making it an inseparable part of world literature" (21). Why does Wang credit such an importance to overseas sinologists? Wouldn't their intervention undermine the literary subjectivity of Chinese works? In fact, Wang's proposition reflects his broad horizon and professionalism as a scholar. He pays attention to and emphasizes the difference between translation principles adhering to Western translation and publishing circles and upheld by the Chinese side. To the core, he admonishes us to follow translation's inherent laws. Western and Chinese readers have different horizons of expectations, which

determines the difference in the selection of texts as well as translation strategies. Indeed, it is difficult to satisfy foreign readers' expectations through translations of Chinese literature without the participation of foreign sinologists. As far as the translation of Chinese literature is concerned, we need international readers' opinion to help us select suitable materials and to inform our translation process, so that the translated works can be successfully published and well received before circulating widely. Practices such as self-centered translation without considering foreign needs will harm Chinese literature's international growth. They might fall into a kind of wishful thinking while translated works get a cold response from the readers of the target country, thus restricting the "circulation" of Chinese literature abroad.

Once translated into foreign languages, Chinese literature travels beyond the borders, and its reception is no longer decided by Chinese aesthetic standards. Rather, it is constantly constrained by the cultural context of the target countries. Given this, we should seek help of foreign scholars who can advise us on many aspects such as selection of text, cultural mutation during the translation, publication, circulation, and others. If we do not heed to their suggestions, our translation will not fulfill its potential. This is testified by the fact that some books translated into English only by Chinese participants are not welcomed by many foreign readers. Therefore, Wang insists, "while maintaining our independence, we should also develop a mode of Chinese-foreign cooperation in translating Chinese literature" (Wang, "On the Feasibility and Possibility of Chinese Literary Theory to March Towards the World" 46). Chinese literature must be translated before it can travel abroad, and during translation, foreign sinologists' opinions should be consulted, ensuring that the translated works are well received by foreign readers, shining brightly in the galaxy of world literature.

An internationally renowned comparatist, Wang has been known for his great vision and sense of responsibility as a Chinese scholar. He is convinced that Chinese scholars should shoulder the responsibility of promoting "the translational turn in cultural studies." As an interdisciplinary field, translation studies in China has not been clearly identified as a self-sufficient and systematic disciplinary. But this does not deny its disciplinary attributes. In the wake of the cultural studies crisis, translation studies, propelled by sophisticated research, has become an important means of stimulating cultural studies. Influenced by André Lefevere (1944–1996) and Susan Bassnett (1945–), translation studies has gained access to the broader "cultural" space after moving out of the shackles imposed by language and signification. Postmodern scholars such as J. Hillis Miller (1928–2021) and Gayatri C. Spivak (1942–) are determined to undermine and break Western-

centrism in cultural studies, bringing the field to a new stage that highlights east-west dialogues or literatures' two-way travels. This will inevitably usher in a "translational turn" in cultural studies. The paradigm shift in cultural studies and the mission of translation studies have led comparative literature scholars to focus on cross-cultural exchanges. Consequently, their language proficiency and cultural competence have been challenged, for they must learn eastern languages and cultures. In this case, how can the translational turn of cultural studies within the scope of world literature be realized, and how can we eliminate of West-centrism to achieve west-east conversations on equal ground in the postmodern context? Given that Western scholars are facing the linguistic dilemma, Wang, from the vantage point of Chinese comparatists' linguistic capability and the current development of Chinese translation studies, asserts that Chinese scholars can better solve the problem to advance the translational turn in cultural studies. In the early years of the new century, he wrote: "In view of the enormous progress made in translation studies, which has already become a well-established field, we are fully capable of proclaiming to the international academic community that Chinese scholars will initiate the translational turn in cultural studies" (Wang, "Theorizing Translatology: Toward an Interdisciplinary Approach" 10). He further suggested that China should shift from consuming borrowed foreign theories to producing them. Wang's vision thus reflects his deep national feelings and high cultural expectations.

In addition to having a global view and a sense of responsibility, Wang's research interests are simultaneously local and transnational. Essentially, he argues, substantial and adequate translations constitute the solid foundation upon which we can facilitate the integration of Chinese literature into the world, and during the translation process, foreign experts should be consulted as well. Such views, undoubtedly, can benefit the literatures of disadvantaged nations striving to gain a place in the forest of world literature.

3. Translation and World Literature within a National Context

As a comparatist from China, Wang's theory of world literature undoubtedly has a strong national color. This sense of national belonging manifests majorly in his own cultural identity. His strong identification with Chinese traditional culture, which he strives to inherit, is the emotional grounds upon which he places his extensive international participation in the discussions of frontier topics regarding translation theories. He promotes a reconstruction of the ecosystem of world literature by translating more disadvantaged national literatures into mainstream languages, thus carving a legitimate space for national literatures of small countries to survive and

flourish in the map of world literature. Also, drawing on influential scholarship in the field of translation studies, Wang has formulated his own theories regarding translation and world literature.

The development of comparative literature and cultural criticism has led to a shift in translation studies. Comparatists, when examining the factual connection between two national literatures, readily consider how translation shape the text's dissemination and reception in a target language. Starting from this, they add a dose of comparatism to translation studies. In essence, influence study in the domain of comparative literature depends on the reception or creative interpretation of the translated work by readers in the target country. This process can cause variation to the original work. Following the boom of cultural studies and postcolonial theories, "scholars of translation studies pay more attention to phenomena rich in cultural studies elements, such as representation, hegemony, manipulation, gender, race, colonization, identity, etc., greatly promoting a cultural turn in translation studies" (Wang, "Comparative Literature and the Cultural Turn of Translation Studies" 19). Wang's conceptualization of translation originates from his extensive readings of translated works by scholars at home and abroad. He not only builds on established scholarship, but also combines his own research experience with the realities of Chinese literature to develop groundbreaking critical discourse. For instance, Benjamin's "The Task of the Translator" has inspired him to recognize the vital role played by the translation process and the translator in determining the fate of work in the target country. From Derrida's deconstruction theories, he learns the complexity of evaluating translations. He also profoundly sympathizes with the "foreignizing translation" theory uphold by Lawrence Venuti (1953-), which is to deconstruct the centrality of English culture (Wang, "Deconstruction, Postcolonial and Cultural Translation" 51). In Wang's opinion, Venuti's theory has accelerated the disintegration of English-speaking countries' dominance over translation. In defending national literatures' status and agency, such a theory helps them to gain a foothold in the English-speaking world. However, it is Lefevre and Basnett who have influenced Wang the most. These two are the leading figures of the "translation studies school." In *Constructing Culture: Essays on Literary Translation*, they introduced the concept of the translation turn in cultural criticism. Wang resonates strongly with this concept. He believes that it is a rebuttal to Anglocentrism in cultural studies, and at the same time, taking translation as departure point, it brings cultural studies to a broader cross-cultural context. Clearly, Lefevre and Basnett's translation theories have profoundly influenced Wang's understanding of the translation process: the "manipulation" pertaining to translation is indispensable

for a national literature to be accepted by readers of other countries and to enter the palace of world literature. Having established a closer connection between concepts of world literature and translation as an intermediary, Wang has provided world literature with a profounder theoretical foundation and practical value.

Further, Wang suggests, national literatures will unavoidably suffer some loss in translation, but as long as these can resist or deconstruct Western discourse, and ultimately make the translated work achieve a global influence, the loss can be considered as worthy and positive. Therefore, a strong national complex underlies Wang's world literature studies. He is good at tracing Western studies of Chinese literature and other oriental national literatures, making them a possible cornerstone for building a dialogue between Western and Chinese literatures, from which he unfolds his exploration. For instance, Wang fully endorses the "conversational" studies advocated by J. Hillis Miller, a famous American comparative literature scholar. Miller transmitted his theoretical works to China through speeches and publications. Additionally, he actively engaged in direct dialogues with Chinese scholars and readers. He was willing to revise and update his theories whenever he found them flawed, making them more widely adaptable in the end. Chinese scholars should follow Miller to initiate conversations with their international counterparts, so that they can introduce Chinese literary and cultural masterpieces to the world. Instead of a one-way mode of importing Western literature to China, Chinese literature and culture should also be exported so it can be received and appreciated by international readers. Why does Wang approve Miller to such a high degree? The reason is that Miller has dismantled a mode of one-way travel noted by Edward Said's (1935–2003) in his "Travelling Theory." As Said reveals, literatures and theories travel mostly from the privileged West to the disadvantaged East. In contrast to Said, Miller clearly recognized the two-way and conversational characteristics of this kind of travel. Thus, with rapid rise in economic power, China will play an increasingly important role in the international community. Chinese scholars, equipped with skills and capability to converse with mainstream international experts, should take on the historical mission of helping Chinese literature going global. In achieving this, Sino-west cultural exchanges will stop being "one-way" and "unbalanced."

As far as translation is concerned, Chinese literary or theoretical works, when traveling abroad, will definitely encounter many "metamorphoses," "variation" or "misinterpretations." What Wang values in such a progress is its potential to deconstruct the monopoly of Western discourse. In addition, he advocates the "two-way travel" to overthrow the West's dominance over and manipulation of the East.

He writes:

Translation, as an intermediary, will cause metamorphoses to happen to Chinese theoretical works travelling to the West. In other words, part of their inherent ideas and aesthetic spirit might suffer and even get lost. However, such variation and loss are not a failure at all if they can push forward the continued dialogue between Chinese and Western literary theories. (Wang, “Theory Transmission: from One-way to Two-way” 127)

Indeed, various nationalities in the world translate different literatures to learn from each other and during this process, mistranslations “for my own use” are unavoidable. Such practices have positive implications when viewed from the perspective of literary exchanges. Wang elaborates further:

Any theoretical work, once mediated by translation, will undergo misreading or mistranslations. From the flip side, it can lead to new development, or help this theory, albeit in its transformed forms, to travel to another languages and cultures. If the varied version of this theory can help it to gain an “afterlife” in the target country, the translation should be considered more meritorious than harmful. (Wang, “Translation of Theory and Its Transformation” 5)

Translation, despite the risks of variation, is the only way for a national literature to travel to other languages. In some sense, compared with indifference and zero contact, “mistranslation” or “variation” is far more conducive to cultural exchanges and mutual understandings. It has to be admitted that it takes time for the West to understand and appreciate Chinese literature. Yet, a small step can change the whole picture in the end. Step by step, the West can gradually develop the capability to enjoy part of the eastern literature, and from there, it will not be long before they appreciate eastern culture as a whole. As a result, West and East can have dialogues on equal grounds.

Furthermore, Wang’s conceptualization of world literature is grounded in his distinctive academic background as much as on a unique cultural context. It is forward-looking, firmly situated within a national framework and yet deconstructive in terms of challenging West-centrism. As a scholar from a third-world country, in the traditional sense, Wang configures world literature in ways obviously different from that of Western scholars since Goethe. His re-discussion of world literature is not just a reiteration of an old topic. Rather, he answers the urgent

call to reconsider it in the new age. Wang believes, following the unstoppable cultural globalization, cultural studies will “break the confinement posed by the mode of ‘West-centrism’ and ‘Anglo-centrism’”. In its wake, other languages, national/ethnic cultural traditions as research objects will gain increasing critical attention” (Wang, “Cultural Construction of Translation and Translation Turn in Cultural Studies” 7). For example, China, a country with its ancient history and rich culture, should be accounted as important and indispensable in the field of cultural studies. For a long time, scholars tend to equate “world literature” with foreign literatures either in academic discussions or during textbook compilation to the extent of excluding Chinese literature at all. As a corollary, they have denied Chinese literature opportunities to have conversations with other national literatures on the same platform. How can an anthology of world literatures, edited by Chinese scholars, exclude literary works of their own nation? This puzzles many. It certainly is tied to mode of thinking largely influenced by cultural Eurocentrism. Faced with such an embarrassing situation, Wang proposes the idea of “reconstructing the Chinese version of world literature” (Wang, “The Chinese Version of World Literature” 133). His aim is to make more and more Chinese literary works to be included in authoritative works such as *The Norton Anthology of World Literature* and *The Longman Anthology of World Literature*. As well, he urges Chinese scholars to publish anthologies of world literature according to their own standards. Ultimately, he hopes for a Chinese version of world literature with a considerable dose of Chinese aesthetic elements. Wang claims, cultural globalization will undermine “Anglocentrism” and its cultural monopoly. He further suggests, “Along with English, other major languages will play increasingly important roles in future cultural exchanges. As China’s comprehensive national power grows, so too does its cultural value. In this context, Chinese as a major language will become increasingly popular” (Wang, “Cultural Construction of Translation and Translation Turn in Cultural Studies” 8). Wang has the foresight to see the future of world literature and cultural development. His cultural identity as a scholar from a relatively marginalized country in the East is indeed the starting point to reconceptualize world literature. But what is more important is that he has eliminated the narrow vision of Eurocentrism and the idea of the East and the West as a binary. He situates his thought within the globalization context in which many emerging nation-states have arisen both in economic and cultural fields since the end of World War II. Essentially, his formulation of world literature is based on the dynamic dialogue and exchange on the ground of equality. In today’s globalized world, language barriers are no longer a hindrance to literary creations as exchanges

have increased intensively. It is impossible for a national or ethnic literature to thrive within a single cultural milieu and without interactions with the outside world. An interdependence of this kind also enables national literatures to go global, contributing to the prosperity of world literature. For this reason, translation has become increasingly important.

According to Wang, foreign translations can facilitate the travel of marginal national literatures to other languages and destabilize the centrality of European literatures before a remapping of world literature is possible. Further, in the wake of globalization, translation has become more and more essential to the construction of world literature that takes two different paths. On the one hand, Euro-American literature, enjoying a dominant position, is expanding throughout the world, resulting in an increasingly homogenous literary landscape. On the other hand, marginal cultures are trying to break through hegemonic cultures and find a place in the mainstream to diversify world literature. In fact, no matter what path is taken, the construction of world literature closely depends on translation's negotiating and intermediary roles. From a postcolonial perspective, translation is considered responsible for deconstructing Western cultural centralism and for redrawing the map of world literature. Likewise, Wang argues, "as globalization accelerates, translation's intermediary and coordinating roles will become growingly prominent" (Wang, "Translation and Translation Studies in the Age of Globalization: Definitions, Functions and Future Directions" 8). Globalization has brought opportunities for Chinese literature and cultures to be translated into other languages and go global. Moreover, The translation of Chinese literature can contribute to world literature's reconstruction in at least two aspects. First, it enriches world literature in terms of craftsmanship and aesthetics, when the translated Chinese literary works become an organic part of world literature, especially in the postmodern age of multicultural dialogue and exchanges. Second, it sets out to deconstruct Euro-American centrism, striving for a more equal context for constructing world literature. In some sense, translated Chinese works can make the predominant Euro-American literature more "hybrid," (Bhabha 227) to use the term by Homi K. Bhabha (1949–), thereby undermining its centrality and dominance over world literature. Doing so can create a more egalitarian cultural milieu for world literature. Given the paramount importance of translating national literatures in the construction of world literature, how can Chinese literature achieve its goal of going global? Wang has proposed three paths. First, Chinese scholars who have studied abroad or ethnic Chinese scholars overseas can write in English, rather than turning to translation, to introduce and promote Chinese culture and

literature. They are very “promising” in terms of contributing to Chinese literature’s global spread. Second, translation experts who are immersed in both Chinese and foreign cultures and languages must be trained as a priority. We should also publish translated works in established international journals or with famous publishers. This is an effective way to attract foreign readers’ attention to Chinese literature and culture. Furthermore, Chinese scholars should publish their research in international journals as a way of participating in the international community of literary studies. By doing this, we can make our voices heard, contributing to Chinese literature’s global circulation and reception. Wang calls this mode “voyaging out in a borrowed boat.” Obviously, these three paths also apply to other national literatures. Yet whatever route to take, translation, or at least the “cultural translation” formulated by Wang and others, is the essential key. All this demonstrates the irreplaceable role of translation in the reconstruction of world literature.

Finally, it should be noted that Wang’s reconceptualization of world literature, which is firmly grounded on his national stance, is not a matter of short-sight vision or narrow-mindedness. On the contrary, it fully showcases his grand vision and broad-mindedness. To some extent, it is this conspicuous national identity that makes Wang a spokesperson of marginal literatures in the world. His various efforts to construct a new landscape of world literature have strong practical significance and far-reaching historical influence. In this regard, Wang’s configuration of world literature serves as a sharp reminder for scholars worldwide, urging them to rethink the location and development of national literatures as well as to reconsider how to construct a more dynamic and democratic international literary relationship through translation under the aegis of globalization.

Works Cited

- Benjamin, Walter. “The Task of the Translator.” *Theories of Translation: An Anthology of Essays from Dryden to Derrida*, edited by Rainer Schulte and John Biguenet. Chicago and London: U of Chicago P, 1992.
- Bhabha, Homi. *The Location of Culture*. London and New York: Routledge, 1994.
- Damrosch, David. *What Is World Literature?* Princeton & Oxford: Princeton UP, 2003.
- 李敬泽：《青鸟故事集》。南京：译林出版社，2017年。
- [Li Jingze. *Story Collection of Bluebird*. Nanjing: Yilin Publishing House, 2017.]
- 王宁：“转变翻译方向，让世界了解中国文学”，《社会科学报》，2012年7月12日第5版。
- [Wang Ning. “Change the Direction of Translation and Make the World Understand Chinese Literature.” *Social Sciences Weekly* 12 July. 2012, late ed.: C5.]
- . “Chinese literature as world literature.” *Canadian Review of Comparative Literature / Revue*

Canadienne de Littérature Comparée 3 (2016): 380-392.

- : “世界文学的中国版本”, 《学术研究》4 (2014): 129-35+160.
- [—.“Chinese Version of World Literature.” *Academic Research* 4 (2014): 129-35+160.]
- : “比较文学与翻译研究的文化转”, 《中国翻译》5 (2009): 16-29+95.
- [—.“Comparative Literature and the Cultural Turn of Translation Studies.” *Chinese Translators Journal* 5 (2009): 16-29+95.]
- : “Contemporary Chinese Fiction and World Literature.” *Modern Fiction Studies* 4 (2016): 579-589.
- : “翻译的文化建构和文化研究的翻译学转向”, 《中国翻译》6 (2005): 5-9.
- [—.“The Cultural Construction of Translation and the Transformation Turn in Cultural Studies.” *Chinese Translators Journal* 6 (2005): 5-9.]
- : “全球化时代的文化研究和翻译研究”, 《中国翻译》1 (2000): 10-14.
- [—.“Cultural Studies and Translation Studies in the Age of Globalization.” *Chinese Translators Journal* 1 (2000): 10-14.]
- : “解构、后殖民和文化翻译”, 《外语与外语教学》4 (2009): 51-56.
- [—.“Deconstruction, Postcolonial and Cultural Translation.” *Foreign Languages and Their Teaching* 4 (2009): 51-56.]
- : “中国文论走向世界的可行性及可能性思考”, 《徐州工程学院学报》1 (2013): 46-48.
- [—.“On the Feasibility and Possibility of Chinese Literary Theory to March towards the World.” *Journal of Xuzhou Institute of Technology* 1 (2013): 46-48.]
- : “翻译学的理论化: 跨学科的视角”, 《中国翻译》6 (2006): 6-10.
- [—.“Theorizing Translatology: Toward an Interdisciplinary Approach.” *Chinese Translators Journal* 6 (2006): 6-10.]
- : “从理论的(单向)旅行到(双向)对话”, 《深圳大学学报》3 (2016): 122-27+133.
- [—.“Theory Transmission: from One-way to Two-way.” *Journal of Shenzhen University* 3 (2016): 122-27+133.]
- : “‘被译介’和‘被建构’的易卜生: 易卜生在中国的变形”, 《外国文学研究》6 (2009): 50-59.
- [—.“‘Translated’ and ‘Constructed’ Ibsen: Ibsen Metamorphosed in China.” *Foreign Literature Studies* 6 (2009): 50-59.]
- : “翻译与跨文化阐释”, 《中国翻译》2 (2014): 5-13.
- [—.“Translation and Cross-cultural Interpretation.” *Chinese Translators Journal* 2 (2014): 5-13.]
- : “翻译与国家形象的建构及海外传播”, 《外语教学》5 (2018): 1-6.
- [—.“Translation and the Construction of National Image and Overseas Communication.” *Foreign Language Education* 5(2018): 1-6.]
- : “全球化时代的翻译及翻译研究: 定义、功能及未来走向”, 《外语教学》3 (2016):

88-93。

- [—.“Translation and Translation Studies in the Age of Globalization: Definitions, Functions and Future Directions.” *Foreign Language Education* 3 (2016): 88-93.]
- .“Translating Modernity and Reconstructing World Literature.” *The Minnesota Review* 79 (2012): 101-111.
- ：“理论的翻译与变异”，《当代外国文学》2（2009）：5-10。
- [—.“Translation of Theory and Its Transformation.” *Contemporary Foreign Literature* 2 (2009): 5-10.]
- ：“翻译在新文化运动中的历史作用及未来前景”，《中国翻译》3（2019）：13-21+188。
- [—.“Translation’s Indispensable Role in China’s Modern History: From the New Culture Movement to the New Era of National Rejuvenation.” *Chinese Translators Journal* 3 (2019): 13-21+188.]
- ：“世界文学的双向旅行”，《文艺研究》7（2011）：14-20。
- [—.“The Two-way Travel of World Literature.” *Literature & Art Studies* 7 (2011): 14-20.]
- .“‘Weltliteratur’: from a utopian imagination to diversified forms of world literatures.” *Neohelicon* 38 (2011): 295-306.
- ：“世界文学与中国”，《中国比较文学》4（2010）：10-22。
- [—.“World Literature and China.” *Comparative Literature in China* 4 (2010): 10-22.]
- .“World Literature and the Dynamic Function of Translation.” *The Modern Language Quarterly* 1 (2010): 1-14.
- ：“‘世界文学’与翻译”，《文艺研究》3（2009）：23-31。
- [—.“‘World Literature’ and Translation.” *Literature & Art Studies* 3 (2009): 23-31.]
- ：“‘世界文学’：从乌托邦想象到审美现实”，《探索与争鸣》7（2010）：3-9。
- [—.“‘World Literature’: From Utopian Imagination to Aesthetic Reality.” *Exploration and Free Views* 7 (2010): 3-9.]

Chinese Literature as World Literature: Revisiting Wang Ning's Literary Vision and Revisualizing Chinese Literature in the Age of Globalisation

Yao Lingling

Abstract: Professor Wang Ning is a visionary Chinese literary theorist and comparatist who has played a prominent role in both Chinese and international academic debates about the construction of world literature and global humanities. This article revisits his evolving theories on world literature, discusses his emphasis on the necessity of a tripartite translation strategy in the formation of a more democratic world literary system from a Chinese perspective, scrutinises his historical approach to understanding Chinese literature in relation to the Nobel Prize in Literature, and the importance of literary film adaptation after the world's turn to the visual. As a world-class literary theorist, Prof. Wang Ning has had a profound influence on Chinese humanities scholars who write in both Chinese and English, compelling us to ponder over how to practice his cosmopolitan spirit and join him in advancing China's scholarship in the age of globalisation.

Keywords: Chinese literature; world literature; cultural translation; visual turn; literary film adaptation

Author: Yao Lingling received her PhD in East Asian Languages and Cultures from the University of Illinois at Urbana-Champaign. She is currently a Senior Lecturer in the School of Foreign Studies at the Capital University of Economics and Business. Her research interests are women's literature, gender and women's studies, and visual culture (Email: yaolingling@cueb.edu.cn).

标题: 作为世界文学的中国文学：重温王宁教授的文学构想以及重新想象全球化时代的中国文学

内容摘要: 王宁教授是一位具有远见卓识的中国文学理论家和比较文学学者，他在中国和国际学术界关于构建世界文学和全球人文的论争中发挥了重要作用。这篇文章重新回顾了他有关世界文学的丰富的理论，探讨了他从中国文学的角度强调构建更民主的世界文学体系必须注重的三种翻译策略，细读了他从历史的角度理解中国文学与诺贝尔文学奖的复杂关系以及在全球视觉转向后中国文学电影改编的重要性。作为世界级文学理论家，王宁教授对于中国所有从

事双语写作的人文学者产生了深远的影响，促使我们思考如何赓续他的世界主义精神，如何在全球化时代加入他的行列共同促进中国学术的发展。

关键词：中国文学；世界文学；文化翻译；视觉转向；文学电影改编

作者简介：姚玲玲，美国伊利诺伊大学东亚语言与文化研究博士、首都经济贸易大学外国语学院讲师，主要研究方向为女性文学、妇女与性别、视觉文化。本文为首都经济贸易大学北京市属高校基本科研业务费专项资金资助【项目批号：XRZ2022073】阶段性成果。

David Damrosch has called for collaborative work to mitigate “both the global generalist’s besetting hubris and the national specialist’s deeply ingrained caution” (286). Franco Moretti has expressed a similar view, albeit in a more explicit manner (54-68). Like Damrosch and Moretti, Professor Wang Ning is the embodiment of the ideal scholar, a master of both national and general literature. His unflinching effort to build cultural and academic bridges between China and the world, and his indisputable theoretical contributions to Chinese and global humanities over the span of four decades entitle him to be recognised as a master of both Chinese and western learning whose forward thinking has shaped and will continue to shape the literary world in China and beyond into a more democratic, inclusive, and diversified community. This article revisits his evolving theories on literature, discusses his emphasis on the necessity of a tripartite translation approach in the formation of a more just world literature from a Chinese perspective, and scrutinises his historical approach to understanding Chinese literature in relation to the Nobel Prize in Literature. Inspired by his great theoretical contributions to both Chinese and world academia, and in light of the global turn to the visual, the author proposes that, on the one hand, we should continue the tripartite translation strategy, with an emphasis now on creating an active translation mindset, and on the other hand, we should embrace a visual translation, namely, adapting Chinese literature to film, to bring visibility to Chinese literature at home and abroad so as to visually promote Chinese literature as world literature.

1. Chinese Literature as World Literature and Its Contemporary Challenges

As early as 1991, Professor Wang Ning was already a firm believer in and a strong advocate of Chinese literature. Interviewed by Ravni Rai Thakur, then a student of Chinese literature at Leiden University, he defined the relationship between Chinese literature and world literature thus: “Chinese literature is no longer a small tributary of the mainstream of world literature, but has found its own place within it, and

has already reached the point where it can carry on a real dialogue with its Western partner” (68). His academic career of over four decades has been a fruitful journey in promoting Chinese literature among world literature and engaging his western counterparts in dialogues and debates that have helped shape today’s more plural, decentered, and progressive literary world.

One of Professor Wang’s biggest contributions is his relativist definition of world literature which simultaneously captures its complexity and simplicity. Based on Goethe’s universalist concept of *Weltliteratur*, inspired by Karl Marx and Friedrich Engels’s cosmopolitan elaborations on world literature as global intellectual production, and after many constructive dialogues with Douwe Fokkema, Franco Moretti, and David Damrosch on their contemporary theorization of world literature, Wang put forward his relativist definition in an effort to push back the universalist presupposition and the homogenization accusations often associated with both world literature and globalization:

To avoid this problem, I adopted a relativist attitude toward cultures and literatures of all countries, since by its nature world literature must be represented in different languages. It is appropriate, then, that such a literature should sometimes be mentioned in the plural. That is, we should have both world literature in general and world literatures in particular, the former referring to a universal criterion by which to evaluate literature of the greatest world significance, the latter to the different representations, including translations, of literatures from all countries. (“World Literature and the Dynamic Function of Translation” 4)

In the above-quoted definition, his relativist approach to world literature implies his practical embrace and creative fusion of both literary elitism and pluralism, to the actual effect of pluralizing the elitist world literature and making the plural world literatures elite—the former, through dewesternising the canon of world literature, and the latter, through elevating marginalised national literatures, including Chinese literature, to the status of world literature.

With that being said, the central competing arena remains firmly within the singular form of world literature. Anthologies of world literature, through their evaluating practices of inclusion and exclusion, have largely shaped people’s knowledge and imagination of what world literature is. In *The Longman Anthology of World Literature*, General Editors David Damrosch and David L. Pike note that “world literature” used to be narrowly understood as “masterworks by European

writers from Homer onward, together with a few favored North American writers, heirs to the Europeans” in North America, but North Americans today have generally recognised “that Europe is only part of the story of the world’s literatures, and only part of the story of North America’s cultural heritage”(xxvii). What is implied is Damrosch and Pike’s double vision that, in addition to its inclusive strategy serving as an index of how far world literature has been breaking away from its Eurocentric prejudices, which has largely freed American literature from its subordination to European canons as well, *The Longman Anthology*’s inclusion of Chinese literature and other non-European masterpieces is an appropriate response to America’s claim of ownership of the literary or cultural legacies of its vast immigrant population. The editors of *The Bedford Anthology of World Literature*, including Paul Davis, also claim to have offered “an entire world of literature” “in the best available editions and translations” (V). Anthologising world literature in English is to reshape and re-form the literary canon per se.

Although some great Chinese traditional masterpieces of various genres and times have been included in the aforementioned world literature anthologies, modern Chinese writers do not fare well. *Longman* and *Bedford* both recognise one modern Chinese writer, Lu Xun. The second edition of *The Norton Anthology of World Literature*, released in 2012, includes two modern writers, Lu Xun and Zhang Ailing. Apart from advocating for the inclusion of traditional Chinese masterpieces, Professor Wang Ning is also concerned with when contemporary Chinese writers from the second half of the 20th century onward will enter anthologies of great books and be recognised as masters alongside the greatest writers of all time.

To remove Chinese literature from the periphery and reposition it in the polycentric world literary system, Professor Wang has strongly advocated the translation of Chinese literature and emphatically stated that “in the era of globalization, enthusiastically promoting Chinese must be done with the intermediary of English” (“Cosmopolitanism and the Internationalization of Chinese Literature” 175). However, as a keen advocate of Chinese literature and a true comparatist, he does not hesitate to point out that contemporary Chinese writers have to learn to become masters of the language, because regardless of whether they are ready or not, or wish to or not, in the age of rapid global translation flow, they will be read alongside the greatest writers in human history.

In responding to German sinologist Wolfgang Kubin, contemporary Chinese literature’s loudest critic who takes issue with Chinese writers’ (lack of) foreign language reading ability and their (lack of) Chinese language writing ability, Professor Wang Ning largely shares Kubin’s concerns but offers his solutions in

a more constructive, encouraging manner. In his reasoning, if Chinese writers learn to read directly in today's world lingua franca, they will be able to access more literary works of global significance for creative development and aesthetic inspiration. Moreover, he presses Chinese writers further by asking them whether they want to write merely for their fellow native readers or for all the readers of the world. To answer his own question, he writes, "If a writer writes not only for his own contemporary readers, but rather for all the readers of the world, he will at least think over whether the subject matter he deals with is his own initiative, and whether it is of certain universal significance. If not, it will not be thought of as original, even though he might not deliberately repeat or even plagiarize others" (Wang, "Chinese Literature as World Literature" 390). Given time, future Chinese writers will be well-read bilinguals or polyglots, but Wang's provoking question about whether they are writing for the entire world, and by extension, how their works will be viewed within the framework of world literature will always be relevant and alarming, and so is his suggested answer.

Matter-of-factly, Kubin's open criticism of contemporary Chinese novelists can be ascribed to his cosmopolitan view of literature. As a sinologist who simultaneously does creative writing and translation, he mainly expresses his concerns about contemporary Chinese novelists while thinking highly of contemporary Chinese poets (Gu Bin and Hu Sang 85-92; Zhu Anbo 118-124). His critical views can be summarised in the following aspects: First, psychologically speaking, Chinese contemporary novelists, due to their superficial understanding of people and places, are unable to recreate an authentic person or city. Second, intellectually speaking, Chinese novelists do not think deeply or creatively, and therefore their works cannot nourish German intellectuals and writers. Third, from a translator's perspective, Chinese novelists tend to overwrite for the sake of monetary reward, and therefore, their works are not refined language-wise. Fourth, from the gender equality perspective, the narrators of many Chinese writers' works are overly misogynistic, taking pleasure in oversexualizing women characters. Fifth, in terms of the quality of translation, young Chinese translators are inexperienced and non-writers, which is a big disadvantage compared to senior German translators who are experienced and often do research and creative writing as well.

To understand Kubin's criticism, one has to, first of all, acknowledge Kubin as a typical German writer-scholar who is simultaneously a translator, and who lives up to the work ethic that requires one to be polyglot and multitasked. His well-intended remarks, unpleasant and to some extent unfair, highlight the challenges contemporary Chinese novelists have to learn to overcome as their works are

increasingly likely to be evaluated by literary scholars in favor of a cosmopolitan concept of world literature and by more sophisticated, progressive, and gender-conscious readers, both at home and abroad.

2. Toward an Active Translation

As a comparatist, Professor Wang Ning is keenly aware of the fact that the works of many authors such as Goethe and Shakespeare travel far and wide because of translation, and that many others are in oblivion because of the lack of translation. It is his historical consciousness of the role of translation in shaping world canons that makes him tireless in advocating the translation of Chinese literature into the global lingua franca. In his understanding, it is “through translation” that Chinese literature has reasserted itself in the mainstream of world literature (“Translating Modernity and Reconstructing World Literature” 111).

To that end, Professor Wang Ning has proposed a tripartite translation solution to promote Chinese literature in the world (“Translating Modernity and Reconstructing World Literature” 111). Firstly, he recommends that Chinese literature be jointly translated into the target language by Chinese literary scholars and western sinologists. Wang’s purpose is to use sinologists’ help to meet the specific demand of a western market, whatever that may be. Wang differs from Kubin in that he believes that Chinese translators will be, if not yet, capable of elegantly and idiomatically translating Chinese literature into a foreign language, while the latter believes that Chinese literary works should be translated only by the native target language users for the sake of retaining any poetical flavor (Zhu 122). In my opinion, both Wang’s and Kubin’s approaches can be utilised and encouraged to maximise the spread of Chinese literature and offer diversified literary translation products to readers with different aesthetic needs.

Secondly, Wang encourages Chinese scholars to directly publish their studies in English in high-impact international academic journals to engage leading western scholars in conversations and debates. In light of his suggestion, a great way to respond to Kubin’s accusation of the misogynist undercurrent in Chinese writers’ works is to create and nurture critical spaces for more women scholars at home and abroad to voice their opinions on Chinese writers, male and female alike, to help raise their gender consciousness, and ready them for a sophisticated and progressive global readership.

Thirdly, Wang highlights the importance of anthologising both Chinese literature – especially modern Chinese literature – and world literature in the world lingua franca by Chinese scholars. In his vision, Chinese scholars will not only

make translated Chinese literature available to the global reading public, but also become an important force in formulating a new world literary canon that will give full credit to the long-marginalised Chinese literature. Given that American universities are using their English anthologies of world literature – for instance, *The Bedford Anthology* used at the University of New Mexico—Chinese universities certainly need a handy Chinese version of a world literature anthology in English. As a result of this growing anthologizing effort, more national versions of world literature anthologies written in English will be available in the marketplace to end the monopoly of certain anthologies.

Inspired by Professor Wang's vision for Chinese literary and cultural translation in the ongoing process of global literary production, distribution, and consumption, I propose to adopt an active translation strategy. In Ali Darwish's critique of the translator's interference with the original text, he categorises interference into two kinds—the active interference, and the passive interference—describing the former as intentional, the latter as inadvertent. According to Darwish, active translation can occur on both personal and general levels. When it occurs on a personal level, it means the translator is imposing “a certain attitude or personal view or a set of beliefs that dictate a certain way of thinking or writing” (Darwish 117). When it occurs on a general level, it often implies that “a certain translation approach is adopted by authorities, organizations, governments and other official apparatuses as a form of censorship” (Darwish 111). In Barbara Pauk's study of Helen Maria Williams's well-known English translation of *Paul et Virginie* by Jacques-Henri Bernardin de Saint-Pierre, a student and disciple of Rousseau, she suggests that Williams has actively transformed the philosophical and naturalist original in order to make it conform to her personal belief of feminism by giving a female protagonist a voice while significantly reducing that of the male narrator (106). Although Darwish and Pauk have conflicting views on interference in translation, their studies both show that an active interference can be disturbingly productive and productively disturbing.

In addition to Professor Wang Ning's three solutions analysed above, my proposed version of an active translation includes the following three solutions: First, an active translation has to be gender-conscious and incorporate a gendered approach. It means that the genders of all persons involved, fictional or not, have to be factored into creating a progressive space. Second, an active translation means to translate not only what the world requests or craves to know about China, but also what China wishes to show the world. Rather than passively meeting the demand of the world, this active translation mentality allows China to proactively assume

the responsibility to share its rich traditions and cultures to help envision a global community of shared destiny where cultural diversity and pluralism is respected and appreciated. Third, an active translation is inclusive, embracing various forms of translation in its broadest sense, which means visual translation and rewriting should be considered an integral part of translating Chinese. The following section will discuss in greater detail why adapting Chinese literature into film is critical in establishing and imagining Chinese literature as world literature in the increasingly visualised world community.

3. The Nobel Prize in Literature and Literary Film Adaptation

In his monograph *A Comparative Study of Twentieth-Century Western Literature*, Prof. Wang Ning acknowledges the utmost prestige of the Nobel Prize in Literature compared to other important literary awards such as the Dante Prize, the Miguel de Cervantes Prize, and the Goncourt Prize, and considers the Nobel Prize in Literature, albeit imperfect in its selection criteria, reflective of the changing literary trends and schools in the 20th century (237). He also poses challenging questions: “Since the Nobel Committee for Literature at the Swedish Academy considers a fair distribution of the prizes across nations and regions important, why over eighty years has it never awarded a writer from China whose population accounts for one-fifth of the world population? Doesn’t China have one single writer who deserves the Nobel Prize in Literature?” (Wang, *A Comparative Study of Twentieth-Century Western Literature* 256). In addressing these questions, he examines China’s great literary history and legacies, identifies the missed Noble Prize in Literature opportunities due to the negligence of the authorities of the first half of 20th-Century China, and optimistically promotes the emerging middle-aged and young writers, including Mo Yan and Ma Yuan, whose works, in his view, are almost as good as some world literary classics (Wang, *A Comparative Study of Twentieth-Century Western Literature* 257-258).

Professor Wang Ning further acknowledges the prestige of the Nobel Prize in Literature and remarks, “The institutional authority capable of manipulating the fame of authors and their works most powerfully has been, since the early 20th century, the Swedish Academy” (“World Literature and the Dynamic Function of Translation” 8). In his interview with Kjell Espmark, the then Chair of the Nobel Committee for Literature and professor of the history of literature at Stockholm University, he pressed the latter to reveal who among Chinese writers was favored to win the Nobel Prize in Literature (*A Comparative Study of Twentieth-Century Western Literature* 401). Espmark told him that the Committee was aware of China’s

literary progress through reading translated Chinese literature, watching films and their contact with late sinologist Goran Malmqvist, and that winning the Nobel Prize in Literature was merely a matter of time for Chinese writers (Wang, *A Comparative Study of Twentieth-Century Western Literature* 401). It is unclear what films the committee watched and how exactly the aforementioned films helped update the committee members on Chinese writers, but Espmark did acknowledge the role of film in informing the Committee of or familiarizing it with Chinese literature. Those who adore literature cannot agree more with Espmark that literature will never die out, that people cannot fully appreciate literary works through watching films and TV, and that they can only enjoy the pleasure of literature by reading it (Wang, *A Comparative Study of Twentieth-Century Western Literature* 402). With that being said, film, mentioned in passing in Espmark's exchange with Wang, is too important to be ignored in an increasingly visualised world. Films on China in general, and film adaptations of Chinese literature in particular, can facilitate the dissemination of Chinese literature and should be taken full advantage of.

With regard to the ongoing visualization of the world, Professor Wang has long pointed out that “upon entering the age of globalization, there has also appeared a shift in current literature and culture: from traditional verbal writing to the newly emergent picture or image writing” (“An ‘Iconological Turn’ in Literary and Cultural Studies and the Reconstruction of Visual Culture” 29-30). Referencing André Lefevere's concept of translation as rewriting, Wang argues that translation studies “should more or less shift its focus to that of pictorial criticism, or iconological criticism” (“An ‘Iconological Turn’ in Literary and Cultural Studies and the Reconstruction of Visual Culture” 30). He further identifies the deconstructive force of iconographical writing and its criticism “lies in its forceful deconstruction of the verbal-centric mode of thinking and writing, and emancipating the creative and critical imagination of artists and art critics” (Wang, “An ‘Iconological Turn’ in Literary and Cultural Studies and the Reconstruction of Visual Culture” 39). Although he doesn't discuss films specifically in this emerging visual culture, he emphasises the necessary turn to the visual in literary and cultural studies, which includes films.

George Bluestone, in his 1957 classic monograph *Novels into Film: The Metamorphosis of Fiction into Cinema*, uses both great Hollywood director D. W. Griffith and great Polish-British writer Joseph Conrad's shared goal “to make you see” to advance his theory of the two ways of seeing: “Novelist and director meet here in a common intention. One may, on the one hand, see visually through the eye or imaginatively through the mind. And between the percept of the visual

image and the concept of the mental image lies the root difference between the two media” (1). According to Bluestone, a literary film adaptation and its source differ in the medium used but essentially, they are simply two ways of seeing – one, through the visual image and the other, the mental image. Although Bluestone considers the mental image superior to the visual image, his theory of the two ways of seeing suggests that literary film adaptation produces one more or an alternative way to make one see visually the image the literary source intends to make one see mentally.

Unlike Bluestone who insists on the superiority of classical novels to their film adaptations, Charles Eidsvik believes that literary film adaptations “frequently provide major advances in the art of film” (255). His four reasons for why adaptations are good for literature still hold true today and are worth recapping here. The first reason is that movies work as introductions to books like ninety-minute free “ads” because they aid the imagination to help sell books. The second reason is that movies help bring literature beyond college classrooms, and therefore help literature to regain its significance. The third reason is that the melodramatic style of storytelling in movies connects the viewers with the popular Victorian literary tradition, and therefore helps link today’s hard-to-read Joycean-Faulknerian literature with its past. The last reason is most relevant to the issue of Chinese writers and worth quoting here word by word:

Four. Movies help make writers self-conscious, nervous, and aggressively experimental. Movies are, after all, a co-opting medium, a great middle-class sponge of ideas, plots, and characters. Writers hate being co-opted; they hate the fact that movies can reach audiences better than books; they hate taking money to see their creative offspring gang-raped in a screenwriter’s conference room; they hate the formulaic-cliché side of Hollywood. I tend to think that hate helps reinforce the paranoid love of romantic individuality necessary to literary genius.[...] Dislike of the movies has been useful to the advance of literature. The whole Lawrence-Joycean-Millerian thrust of modern literature has been to explore the dangerous, to keep from being co-opted by the Kitsch trade, to stay authentic. I believe film has kept modern literature pure by producing adaptations which serve as cautionary tales about what will happen to your work if you sell out, if you popularize. [...] movies, by carrying on literature’s popular traditions, free serious writers from having to carry on those traditions themselves. (Eidsvik 259)

In the above quote, Eidsvik argues that film adaptations, with their popular cultural tendency, have the actual effect of freeing writers from restraining themselves to popular traditions, pushing writers to stay authentic and experimental, making writers more self-conscious and appreciative of romantic individuality. He proposes a “politique des adaptations”, namely, a policy to highlight the importance of analyzing literary film adaptations (Eidsvik 262). His theory of literary film adaptations can greatly inspire Chinese literary scholars and writers searching for ways to grow Chinese literature in order to transform literary challenges into opportunities in the globalised literary world.

Moreover, a film adaptation can also serve as a cultural criticism of its literary source. Marilyn Hoder-Salmon uses screenwriting in her criticism of Hollywood’s sexist practices in adapting women’s novels. According to Thomas M. Leitch: “This approach does not neglect the traditional activity of interpretation; it simply changes the medium through which the novel must be interpreted from the critical essay into the screenplay, which selects what the screenwriter takes to be most important about the novel and rewrites it” (19). In Hoder-Salmon’s model, screenwriting—a kind of rewriting—is used as a form of criticism, and by extension, the film adaptation itself—another form of rewriting but twice removed from the original source—can also be used as a form of criticism. In this sense, a film adaptation is a criticism of its literary source from the popular cultural perspective, while the literary original is already a criticism of its filmic offspring(s) from the literary perspective. The filmic differences from the literary text are not an index of the film being faithful or not to the original, but a criticism of it per se. Hoder-Salmon thus establishes a critical relationship between literature and literary film adaptations. Her critical method can be used in teaching and advancing both genres under discussion.

There has always existed a deep affinity between Chinese literature and Chinese cinema. The first Chinese film *Dingjun Shan* (*Mountain Ding Jun*) (dir. Ren Qingtai, 1905), a recording of a famous Chinese traditional opera of the same name, was adapted from *Sanguo Yanyi* (*Romance of Three Kingdoms*), a great classical Chinese novel written by Luo Guanzhong in the 14th century. This affinity, established since the birth of Chinese cinema, has successfully weathered great social and cultural changes over a century. Many contemporary writers such as Mo Yan, Yu Hua, Su Tong, Liu Heng, Liu Zhenyun, Lilian Lee, and Chi Li have works adapted to the big screen. Needless to say, the international success of Chinese fifth-generation directors is aided, if not made possible, by the best contemporary writers and their works. The literary film adaptations have helped diffuse those works in return. When Espmark mentioned films among the several means that helped update

the Nobel Committee for Literature on Chinese writers, he likely referred to literary film adaptations of those contemporary writers. In the case of Mo Yan, of his four literature-to-film adaptations, *Red Sorghum* was adapted from the namesake novella and directed by Zhang Yimou in 1987, *Happy Times* was adapted from his novella *Shifu Yuelaiyue Youmo* (*Master Shifu Is Becoming Increasingly Humorous*) and directed by Zhang Yimou in 2000, *Bai Mianhua* (*Cotton Fleece*) was adapted from his namesake novel and directed by Li Youqiao in 2000, and *Nuan* was adapted from *Baigou Qiuqianjia* (*White Dog and the Swing*) and directed by Huo Jianqi in 2003. Those films have certainly helped bring visibility to Mo Yan, and advertised him as one of the best writers in contemporary China.

Literary film adaptations will help advance and advertise Chinese literature in the world which is increasingly experienced and understood visually. Film adaptations will play an irreplaceable role in asserting Chinese literature as world literature, introducing emerging writers—especially serious writers—to the world, and helping proactively create Chinese culture as global cultural literacy. Needless to say, the call for more literary film adaptations is not to negate the significance of the written word or the experience of reading a book. Far from that, the call is based on the belief in the written word and the visual as an organic whole, complementing and advancing each other, rather than subverting and substituting each other, as some may worry.

4. Conclusion

This article starts by celebrating Professor Wang Ning's assertion of Chinese literature as world literature, not only because China has become culturally confident to feel comfortable and proud to regard its great literary tradition as part of the world literary tradition, but also because of the visible literary progress collectively achieved in the past few decades by a global community of Chinese writers, translators, scholars, and sinologists. Wang's dispassionate evaluation of Kubin's sharp criticism of contemporary Chinese novelists compels Chinese literary scholars as well as writers to reorient themselves with a cosmopolitan mentality so as to adopt a writing style embracing not only Chinese literary tradition, but also the world literary legacy. Wang's emphasis on the significance of translation comes from his profound historical understanding of the formation of national and world literary canons, for any writer not translated into the then world lingua franca means zero possibility of enjoying an afterlife beyond their national boundary. Based on his tripartite translation strategy to aid the internationalization of Chinese literature, I propose to adopt an active translation mindset to expand his strategy, and to bring

other factors such as gender and visual translation into play, with an aim to offer more diversified approaches to growing Chinese literature and its visibility in the increasingly gender-conscious, visualised world.

No matter how a film adaptation is defined in relation to its literary text, a film has many undeniable benefits for the diffusion of the latter in the image-saturated world where serious literature is increasingly confined to few college classrooms. In the foreseeable future, visualising literature will become not a choice but a necessity, not a threat to literature but its best companion. In his 1991 interview, Professor Wang Ning concludes by this remark: “We need to have a national literature with its own characteristics, within the broader context of world literature. I am not a prophet, but I think the future of Chinese literature is bright” (Thakur 68-69). With the collaboration of translators, filmmakers, national specialists and global generalists, the internationalisation of Chinese literature, along with other minor literatures, will contribute to the demise of what Moretti calls ‘the one-and-unequal world literature’ and to the birth of a one-and-equal *Weltliteratur*.

Works Cited

- Bluestone, George. *Novels into Film: The Metamorphosis of Fiction into Cinema*. Berkeley and Los Angeles: U of California P, 1966.
- Damrosch, David. *What Is World Literature?* Princeton and Oxford: Princeton UP, 2003.
- Damrosch, David and David L. Pike. “Preface.” *The Longman Anthology of World Literature*, edited by David Damrosch and David L. Pike. New York: Longman Publishing Group, 2007. xxvii.
- Darwish, Ali. *Elements of Translation: A Practical Guide for Translators*. Melbourne: Writescope, 2010.
- Davis, Paul et al. “Preface.” *The Bedford Anthology of World Literature: The Modern World, 1650-The Present*, edited by Paul Davis et al. Crawford. New York: Bedford/St. Martin’s, 2008.v.
- Eidsvik, Charles. “Toward a ‘Politique des Adaptations’.” *Literature/Film Quarterly* 3 (1975): 255-263.
- 顾彬、胡桑：“在津问津：对另外一种生活的渴望——顾彬访谈”，《西湖》7（2020）：85-92。
- [Gu Bin and Hu Sang. “Desiring the Other Half of Life: An Interview With Wolfgang Kubin.” *West Lake* 7 (2020): 85-92.]
- Leitch, Thomas M. *Film Adaptation and Its Discontents: From Gone with the Wind to The Passion of the Christ*. Baltimore: The Johns Hopkins UP, 2007.
- Moretti, Franco. “Conjectures on World Literature.” *New Left Review* 1 (2000): 54-68.
- Pauk, Barbara. “Chapter Seven Promoting Feminism and an International Community of Letters: Helen Maria Williams’ Paul and Virginia.” *Literature as Translation/Translation as Literature*, edited by Christopher Conti and James Gourley. Newcastle upon Tyne, UK: Cambridge Scholars

Publishing, 2014. 101-116.

Thakur, Ravni Rai. "Western Literary Theory in China Today: An Interview with Professor Wang Ning." *China Information* 6 (1991): 62-69.

王宁：《二十世纪西方文学比较研究》。北京：人民文学出版社，2000年。

[Wang Ning. *A Comparative Study of Twentieth-Century Western Literature*. Beijing: People's Literature Press, 2000.]

—. "Chinese Literature as World Literature." *Canadian Review of Comparative Literature* 43 (2016): 380-392.

—. "Cosmopolitanism and the Internationalization of Chinese Literature." *Mo Yan in Context: Nobel Laureate and Global Storyteller*, edited by Angelica Duran and Yuhan Huang. Lafayette, Indiana: Purdue UP, 2014. 167-181.

—. "Highlighting the Humanities Spirit in the Age of Globalization: Humanities Education in China." *European Review* 23 (2015): 273-285.

—. "An 'Iconological Turn' in Literary and Cultural Studies and the Reconstruction of Visual Culture." *Semiotica* 176 (2009): 29-46.

—. "Translating Modernity and Reconstructing World Literature." *Minnesota Review* 79 (2012): 101-112.

—. "World Literature and the Dynamic Function of Translation." *Modern Language Quarterly* 71 (2010): 1-14.

朱安博：“中国文学的‘世界化’愿景——德国汉学家顾彬访谈录”，《吉首大学学报（社会科学版）》38（2017）：118-124。

[Zhu Anbo. "The Future Prospects of the Globalization of Chinese Literature-A Talk with the German Sinologist Wolfgang Kubin." *Journal of Jishou University (Social Sciences)* 38 (2017): 118-124.]

New World System and New World Literature Framework: A Comparative Analysis of Wang Ning and David Damrosch's World Literature Studies

Zou Li

Abstract: The past two decades have witnessed the renaissance of debates about “world literature” in both the East and West. Wang Ning is one of the most important and productive scholars in this international debate. This article compares Wang’s world literature studies with that of another important critic, David Damrosch, focusing on Wang’s deconstruction of the western-centrism in Damrosch’s world literature studies. It argues that Damrosch’s construction of world literature demonstrates traces of “enlightened conservatism” to reduce the appeal of the radical cultural movement of Third World countries after the 9/11 terrorist attacks and maintains the running of the traditional Euro-American world system; Wang’s world literature studies deconstructed Damrosch’s world literature framework by first revealing the referential crisis in Damrosch’s theory and then re-establishing the referential connection by reconsidering the ordering principles, interpretation framework, and agencies of world literature according to newly emerging world structures. These analyses show that Damrosch’s notion of world literature is, actually, an expanded version of the previous Euro-American centred world literature outlook; Wang’s world literature studies, at the beginning, were inspired and influenced by Damrosch, but he later went beyond Damrosch’s framework by bringing forth a more balanced notion of world literature which takes into account literatures of all countries and regions and at the same emphasizes the quality and world influence of certain literary texts.

Keywords: Wang Ning; David Damrosch; world literature; enlightened conservatism; referential re-connection

Author: **Zou Li** is Associate Professor Professor of English and Comparative Literature at Shanghai Jiao Tong University (Shanghai 200240, China). His research mainly focuses on English and comparative literature studies (Email: zouli@sjtu.edu.cn).

标题: 新世界体系，新世界文学框架：王宁与大卫·丹穆诺什的世界文学构

建比较研究

内容摘要：世界文学概念和框架的构建成为新世纪东西方文学批评家关注的焦点。王宁是当今世界文学批评领域最为重要和成果最为丰富的学者之一。本文将王宁的世界文学研究与另一位著名学者大卫·丹穆诺什的世界文学框架进行比较研究，重点关注王宁对丹穆诺什世界文学研究中西方中心主义倾向的解构。研究认为丹穆诺什的世界文学框架存在明显的“明智保守主义”特征，即通过对第三世界国家文学的有限吸纳来减少反资本主义世界文学和文化体系的情绪和运动，从而维持欧美主导的世界文学文化体系的运行；王宁的世界文学研究揭示了以欧美为中心构建的世界文学体系与新世纪多元化的世界体系之间的指涉危机，以及重构世界文学的组织原则、学术逻辑、形成中介和阐释框架来解构西方中心主义的世界文学体系，并构建与新世纪世界文学文化体系相适应的世界文学框架。由此可见，丹穆诺什所主张的仍是一种“西方中心主义的”世界文学的有限扩展版，而王宁虽然开始从事世界文学时受到丹穆诺什的启迪和影响，但很快超越了后者的思维定势，提出了一种真正既兼顾世界各国文学的分布同时又注重文学本身的质量和世界性影响的世界文学愿景。

关键词：大卫·丹穆诺什；王宁；世界文学；明智保守主义；指涉连接

作者简介：邹理，上海交通大学外国语学院副教授，主要从事英语与比较文学研究。本文为上海市哲学社会科学青年项目“英语抗战文学中的上海叙事研究”【项目批号：2019EWY003】的阶段性成果。

The past two decades have witnessed the emergence of a large amount of world literature scholarship both in the East and West to address the newly configured global system of literary production, consumption and exchange in the 21st century. Wang Ning and David Damrosch are two of the most important and productive critics in this international debate. This article delivers a comparative study of their construction of world literature, focusing on the ways Wang deconstructs the western centrism in Damrosch's construction of world literature. It argues that while Damrosch's views on world literature demonstrate clear evidence of "enlightened conservatism" to maintain the US-led world system, in a wide range of essays published in both English- and Chinese-language journals, Wang has communicated to a global audience that traditional Western assumptions about the production and consumption of world literature texts is not compatible with the changing world situation and that the newly emerging structure of the world system calls for a new world literature framework.

Wang is considered as "one of the most prolific" and "almost 'seismographic'"

interpreters of the relation of Chinese literary scholarship to Western theory and practice”(D’haen 171). He served as president of the Chinese Comparative Literature Association between 2017 and 2021. As well as publishing more than 20 books, including *Globalization and Cultural Translation* (2004), *Translated Modernities: Literary and Cultural Perspectives of Globalization and China* (2010) and *After Postmodernism* (2022) in English, he has published research articles in English, according to Hillis Miller, in “an impressive array of journals” such as *Critical Inquiry*, *New Literary History* and *Modern Language Quarterly*. Damrosch is another leading critic in comparative literature and world literature studies and a past president of the American Comparative Literature Association. He has written widely on world literature; for instance: *What is World Literature?* (2003), *How to Read World Literature* (2008) and *World Literature in Theory* (2014). And some of his books and articles have been translated into Chinese and published in China.

Wang and Damrosch had face to face discussion about the notion of world literature (2011) and their world literature studies share many similarities. For instance, both of them emphasize cross-cultural and cross-lingual translation as the major agent of world literature formation (Damrosch, “World Literature, National Contexts,” “Toward a History of World Literature,” “Global Comparatism and the Question of Language;” Wang, “World Literature and Translation,” “World Literature and the Dynamic Function of Translation,” “Translating Modernity and Reconstructing World Literature”). Nevertheless, in this comparative analysis, I mainly focus on their differences in order to consider how world literature scholarship from the East and West interact with each other. While world literature has become a focus of contemporary literary studies, to my knowledge, mine is the first published comparative analysis of world literature scholarship from different countries and cultures. This article first analyzes the “Enlightened Conservatism” in Damrosch’s world literature studies, and then examines the ways Wang Ning deconstructs the “Enlightened Conservatism” in Damrosch’s world literature framework and establishes the referential link between world literature theories and the sociocultural realities.

Anti-system Movements, Enlightened Conservatism and David Damrosch’s World Literature Studies

Before exploring Damrosch’s views in detail, I will briefly analyze the historical context and its role in shaping his arguments on world literature. Following the dissolution of the Soviet Union, the United States became the only superpower in the international community and the US-led capitalist world system achieved

hegemonic status. Especially after the Iraq war in 1990, the United States secured political control over almost all Middle Eastern countries, which are the major oil suppliers for the world economies. In this way, the US guaranteed its dominance in the world financial system by making sure that these Middle Eastern countries would use the US dollar as the primary source of revenue in the oil trade.

The continuous dominance of the US in the world political and financial system resulted in severe anti-system movements, and these movements led to crisis in the maintenance of the world system. For instance, on September 11, 2001, Al-Qaeda terrorists conducted four coordinated assaults against the US that caused thousands of casualties and huge economic loss. In response, the US launched the second Iraq war in 2003. These events opened a new epistemology of the structure of knowledge for both parties. As for the Western countries, Edward Said notes that in this period a “simplified view of the world” proposed by the political elites of the US government, such as “terror,” “pre-emptive war” and “unilateral regime change,” became the continuous focus of media debate and dominated American social discourse about the conception of Middle Eastern countries (xix). Said further notes that these conceptions of Western people, formed from the anger of the attacks and patriotism, “celebrate American or western exceptionalism” and broke the connections between the realities of Middle Eastern countries and the dominant ways of knowledge production about these countries (xix). Similar patterns of knowledge production about the Western world also happened in the Middle Eastern countries. The local governments were not able to cope with America’s unilateral foreign policy and chose to repress the anger and opposition from their own populations. These repressive government practices led to anti-American sentiment such as “resentment, anger and interpretations” that show “little understanding of what the US is really like a society” (Roula Khalaf, qtd from Said xxi). These broken connections between knowledge production and reality and between the Western world and other regions damaged the equilibrium of international society and led to crisis in the maintenance of the Western-led world system.

Partly as a response to this epistemological crisis, David Damrosch in 2003 published his influential book *What Is World Literature?* to propose a new notion of world literature, or, in a broader sense, a new understanding of world culture, so as to change this defective pattern of knowledge production and maintain the current world system. In his construction of world literature in this book, Damrosch demonstrated traces of what Immanuel Wallerstein termed “Enlightened Conservatism,” so as to fix this epistemological crisis and at the same time maintain the dominant status of North American literature and culture in international

society. After examining the political strategy that European powers adopted amid the revolutions in the 19th century, Wallerstein notes that many Western countries, inspired by the strategy used by English royalty to successfully avoid revolution in 1848, chose to make timely but limited concessions in the face of radical socio-political movements in order to maintain the preeminence of traditional institutions and reduce the potential “long-term appeal of radical action” (Wallerstein 64).

In resonance with Wallerstein’s observation, Damrosch in his book attempts to bring forth a pattern conceptualizing the current world literature system, which encourages cross-cultural communication and seeks the co-existence of different peoples and cultures, and thus solve the epistemological crisis. Damrosch posits world literature as an elliptical refraction of national literatures that juxtaposes the local context of literature of different regions with the Euro-American cultural ideologies as the two foci of the elliptocytosis. With this understanding of world literature, Damrosch explains that, while reading world-reaching literary works, both the local history, culture and socio-economic contexts that shape the production of these literary works and target culture should be seriously considered. While discussing the scope of world literature texts, he maintains that the traditional bank of world literature, which mainly contains canonical works from Euro-American countries, should be expanded to include popular forms of literature and literary works from Third World countries such as the Middle East, China and Japan. By emphasizing the real situations of both parties and including literature from Third World countries, this conception of world literature provides a possible way of establishing the referential link between language and reality and demonstrates a knowledge production pattern that could bridge the divergence between different countries.

Meanwhile, reading the structures of world literary space portrayed in this book, we find that Damrosch assumed US cultural politics, academics and the capitalist market as the central agents in defining the ordering principles of world literary texts. This assumption is evident from his description of the formation of the traditional body of world literature to his construction of world literature in the current era, which he termed “elliptical refractions.” In the chapter “From the Old World to the Whole World,” in analyzing the genesis of major traditional world literature anthologies, such as *The Norton Anthology of World Literature*, *The HarperCollins World Reader* and Frank Magill’s *Masterpieces of World Literature in Digest Form*, Damrosch shows that US cultural political logic plays a decisive role in defining what is world literature instead of the characteristics of literary works being “good” and “beautiful,” which traditional humanity scholars

emphasize. He specifically notes that the preference of the editors, the financial interest of the publishers, the public concern to assist educating “a new and better American citizen” (Damrosch, “*What is World Literature?*” 120), and the rise of the US as a superpower in the middle decades of the 20th century became the premises and assumptions shaping the frame of world literature in these anthologies. Damrosch especially made a detailed comparative analysis of the assumptions and logic of the multivolume world literature anthologies edited by American Senator Henry Cabot and Harvard’s president Charles W. Eliot. According to Damrosch, both anthologies were projects that were initiated by American publishers and “designed for a general-interest public” (Damrosch, “*What is World Literature?*” 120), suggesting the important role of the interest of market players in bringing forth these two serials.

By describing US cultural politics, academics and the capitalist market as the central agents in shaping the structure of the situation in which the concept of world literature applies, Damrosch shows that the North American academic factory functioned as what Carl Schmitt termed a “sovereign power” in generating and guaranteeing the situation where the law of world literature assumes its validity. Schmitt notes that sovereignty has the monopoly to decide the framework of “a juridical and a territorial ordering” and what should be taken out of the juridical-political order (qtd from Agamben, trans. by Daniel Heller-Roazen 16, 19). In a similar sense, by emphasizing the role of the American editor, market, and the needs of American public concern in the formation of world literature, the American academic factory defined world literature as those works that are mainly read in the American classroom, appeared on American bookstore shelves, on American course syllabi and in anthologies for American students and public readers. This definition of world literature suggests that literary works read in the literary and public spaces of Third World countries have been taken outside of the framework of world literature and are prohibited from acquiring recognition and meaning in the world literary space, and, thus, deprives the right of Third World countries in participating in constructing the map of world literature.

These assumptions and ideological principles exemplify their “sovereign” or regulative power not only by making exclusions in the process of world literature production, as shown in the two cases analyzed above, but also by “creating the sphere of its own reference in real life and make that reference regular” (Agamben 26). In Damrosch’s descriptions, all through the 20th century, the cultural political interests of the US regulated the interpretation of world literature. At the beginning of the 20th century, in his selection of the world literary giants for the US’ Library

of Congress, the librarian in charge, Ainsworth Rand Spofford, as mentioned above, gave an emphasis to American writers and complied with the assumption that American writers in the 18th and 19th century were a better representation of modernity (Damrosch, “*What is World Literature?*” 118). Thus, among the nine selected writers, six were from the US, including figures such as Emerson, Irving and Benjamin Franklin, accounting for two thirds of the whole. No writers from the UK, France or other countries of the same period are included in his consideration to represent the modernity of world literature.

This sovereign power of US cultural politics, academics and the capitalist market continues its presence in Damrosch’s construction of the notion of world literature in the contemporary era. As mentioned earlier, Damrosch proposes world literature in the current time as an “elliptical refraction of national literatures,” cross-cultural translation and a mode of reading (Damrosch, “*What is World Literature?*” 281-282). Within this framework of world literature, he further maintains that literatures of other cultures and regions should be included. However, in order to be included in the running of the current world literature system, it has to “objectify itself, constituting himself as a subject,” and at the same time binding himself to the violent reshaping of the mechanisms and calculation of the Anglo-American cultural political power. This view about the relationship between literature from Third World countries and this world literature “regime” means that the spaces and recognition won by the literary works from Third World countries in their encounters with Western literary powers always at the same time require a “tacit” reframing of their content and forms according to Western premises and assumptions about the Third World. In this case, the appearance of Third World literature in the world literature system, rather than overcome the division dividing the western and third world countries, in a sense, functions as a means to reinforce the structure of the Anglo-American-dominated world literature system and to strengthen the difference between the culture of the West and other parts of the world.

Restructured World System, Referential Re-connection and Wang’s World Literature Studies

By portraying the assumptions, working ideological principles and central actors in the world literature field, Damrosch views the world literature system as an international structure/society dominated by the North American academic industry. Non-Euro-American national literatures are members of this society on the basis of complying to the values, norms and rules of the distribution system of this

international literary structure. This understanding of the global literary system does not recognize the possibility that the rise of non-Euro-American countries could bring changes to and restructure the current world literature system. Wang's world literature studies, at the beginning, were inspired and influenced by Damrosch. Nevertheless, he went beyond Damrosch's framework later and worked constantly to undermine Damrosch's Euro-American-centered assumptions by inventing and practicing new approaches of inquiry for the world literature system.

Wang begins by deconstructing the assumed constant structure of the world system in Damrosch's arguments. In the article "Globalization as Glocalization in China: A New Perspective," he proposes that the world system is an unstable structure through analyzing the shifting roles and identity of developing countries in international society. He notes that in the context of globalization, China and many other developing countries changed their relations with international society by expanding their wealth and material capabilities, and that this newly gained economic power and intellectual capacity such as the "innovation and renovation of China's high-speed rail technology and other high technologies" was transformed into "institutional power" and cultural influence in the world's literary, cultural and intellectual arenas (2063). This view about the transformative power of developing countries' intellectual achievement and economic development shows that the world system is an unstable structure and the changing presence and role of its components, in the words of Xiaoming Huang and Robert G. Patman, can exert influence, produce visible outcomes and result in a new equilibrium through re-balancing and restructuring the relations between the member constituents (1-13). Wang's analysis of the new status quo of China and other developing countries' relations to the world system was echoed by the seismic shifts in China's role and influence in international society in the past two decades. In 2001, China joined the WTO and began its process of transitioning from being an outsider to being an insider of the Euro-American-dominated world system. In the following years, China's economy experienced robust growth as it soared past major Western powers such as France, Britain, and Italy in 2005, Germany in 2008, and Japan in 2010, becoming the second largest economic power in the world next to the US. This economic rise and its increasing integration with the global economy expanded China's presence in the world system and enabled it to take on more international responsibilities and play a more active role in global governance. These practices reshaped China's position on the world map as well as in the overall world system.

After offering a map of the new status quo of the world system, Wang set out to deconstruct the referential link between the Euro-American-centered cultural and

literary views and the newly emerging world social-cultural realities. He carefully analyzed the seven aspects of the phenomenon of globalization in China in the current era, namely: 1) globalization as a means of global economic operation, 2) globalization as a historical process, 3) globalization as a process of financial marketization and political democratization, 4) globalization as a critical concept, 5) globalization as a narrative category, 6) globalization as a cultural construction, and 7) globalization as a theoretical discourse (Wang, “Globalisation as Glocalisation in China: a New Perspective” 2063-2066), and suggested that the change of China’s position and role in the global division of labor and the world political cultural system and the destruction of national boundaries in the flow of capital forged new ties among Eastern and Western cultures, literature and intellectual productions. These new ties between the East and West and the globalization of cultural and intellectual production and studies, according to Wang, deconstructed and illegalized the referential power of all the artificial constructions of cultural and literary centers. Therefore, the world literature knowledge production practices, institutions and methods for understanding world literature that emerged on the sole basis of the Western socio-economic context are deficient both “institutionally and epidemiologically” to understand the present global intellectual productions (Wang, “Globalisation as Glocalisation in China: a New Perspective” 2061). In this regard, in order to re-establish the referential link between the world literature framework and the newly configured cultural and literary situations, Wang insists that we should take into account the diversified forms of globalization and the role performed by developing countries such as China in the current globalized world.

As a response, Wang devoted his energy to examining the premises, ordering logic and principles, interpretation framework, and agencies of world literature that are compatible with the reconstituted and restructured global literary and cultural equilibrium, in an attempt to re-establish the referential link between the epistemological framework of the world literature system and the global socio-cultural realities. In the article “‘Weltliteratur’: From a Utopian Imagination to Diversified Forms of World Literatures,” Wang brought forth his major arguments about world literature in the current era and maintains that the world literary status of certain texts should be viewed from the following five perspectives:

- (1) Whether it grasps the Zeitgeist of a given historical period with its high aesthetic quality;
- (2) Whether its influence has gone beyond the boundary of national languages and cultures;
- (3) Whether it is included in an authoritative anthology edited by major literary scholars;
- (4) Whether it is taught in

universities and imitated by writers of different countries in different languages; (5) Whether it invites critical studies in other cultural and literary contexts (Wang, “‘Weltliteratur’: from a utopian imagination to diversified forms of world literatures” 298-302).

The crux of Wang’s intervention in re-establishing the referential link first takes shape in his attempts to prevent the standardization and homogeneity of world literature and those unilateral reductive assumptions about the literature and culture of a foreign other in order to retain an original vision of what they are. Wang explains that, by the first criteria, he means that literary works belonging to the category of world literature should be ordered according to the extent to which they “feel the pulse of the time and represent with high literary quality its true cultural and aesthetic spirit” (Wang, “‘Weltliteratur’: from a utopian imagination to diversified forms of world literatures” 299). The emphasis of its connection to the time, culture and history in this criteria is a suggestion that literary works should be interpreted within the context of concrete individual human history and experience for their own sake rather than allowing imperial ideologies to work their way into literature studies to create collective identities and achieve control and domination of other regions. After delineating the necessity of avoiding the production of distorted knowledge about other culture and literature, Wang deploys ideas drawn from Marx’s critique about economic and cultural globalization and Douwe Fokkema’s research about cultural relativism and cultural universalism to conceive a formation of world literature as a community that foregrounds the coexistence, process of intellectual exchange, and the working together of different literatures. He notes that “today the traditional boundaries of national literatures are increasingly obscured” (Wang, “World Literature and the Dynamic Function of Translation” 3) and that world literature manifests itself in two forms, namely: world literature in general addressing the common aesthetic qualities of different national literatures, and world literature in particular regarding the diversified but equally valued faculties of national literatures (Wang, “World Literature and China” 5). In doing so, Wang invested the conception of world literature with a dimension of respecting human individuality and “subjective intuition” of people of different regions as represented in their literary productions. He made a forceful call for the translation of these varied forms of literature so as to facilitate the working together of these literatures in order to increase the interdependence of different forms of literature and to expand world horizons. Translation, he explains, could give a literary work an “afterlife” or a continued life, using Benjamin’s term, in

other languages and cultures and could open up the possibility of it becoming international or cosmopolitan (Wang, "On World Literatures, Comparative Literature, and (Comparative) Cultural Studies" 6). By boosting the transcultural and transnational flow of literary works, such acts are beneficial in presenting the overlapping of humanistic productions of different regions, providing the chance for people of different countries to borrow from each other and "invite critical studies from other languages and cultures," and eventually help the emergence of the category of literature shared by people of different nations.

After highlighting the working together of literatures of different regions and the need to retain their original visions as the ordering logic and principles and interpretive framework for the world literary texts in the new era, Wang continues to re-establish the referential link by examining literary agencies in the process of world literature formation. Wang departs from a vision of the role and function of the institutions in both Western and developing countries as equally valued agents in the world literary community. He notes that world literature anthologies edited by both eminent Western scholars, such as Stephen Greenblatt and David Damrosch, and Chinese scholars such as Zhou Xiliang play a critical role in "canonizing world literature or individual national literatures" (Wang, "'Weltliteratur': from a utopian imagination to diversified forms of world literatures" 300). The selection of these works by these prominent editors and publishers delivers a message to world readers that these are "excellent works of certain international influence" and help these works to reach a wide range of readers across the world (Wang, "'Weltliteratur': from a utopian imagination to diversified forms of world literatures" 300). Wang further identified the formation of world literature as a process in relation to a wide range of other institutions, such as universities and literary-prize-awarding organizations. Not only have these institutions served as the official and authoritative speaking organs to introduce and justify the quality and influence of literary works into the consciousness of students and the public by including certain literary works in university textbooks or officially declaring certain literary works as the most eminent works of a certain period across the world (e.g. the Nobel Prize for Literature awarding academy), but also their interventions in the world literature arena have reorganized the discourse about how to value eminent literary works. Wang especially addressed the heterogeneity of these institutions by mentioning the function of teaching world literature in Chinese universities in shaping the canon of world literature. He notes that "in the Chinese context, we have a tradition of teaching world literature in the Chinese department" and "with such a framework of world literature, scholars of Chinese literature major could

evaluate our own literature in an objective, international and comparative way” (Wang, “‘Weltliteratur’: from a utopian imagination to diversified forms of world literatures” 301). By bringing the important role of both Chinese and Western agents in the world literary field to public attention, Wang brought forth a more balanced perspective on the formation of world literature than those Western-centered views.

New Situations and New World Literature Framework

During the virtual summit of G20 leaders hosted by Saudi Arabia on November 21–22, 2020, China’s president Xi Jinping proposed a “global mechanism that would use QR codes to open up international travel” (BBC News 2020) to the global community amid the Covid-19 pandemic, based on China’s successful experience of using QR codes to restore its social and economic orders. President Xi’s efforts to restore the global order during the pandemic shows that emerging countries such as China in the current era not only changed their position in the world system in terms of economic strength, but took on a new role in maintaining and facilitating the running of the current world system by structuring their useful experiences into the global system. Therefore, the contributions and experiences of these nations should be seriously counted while considering any global issues, including the construction of the world literature system.

However, Damrosch’s enlightened conservative construction of world literature, as mentioned earlier, only emphasizes cross-cultural communication and the co-existence of different peoples as a complement to his overall world literature argument. What lies at the center of his arguments is that North American universities, publishers, scholars and markets are the decisive factors in the process of world literature formation, with little space given to voices from Third World countries. This enlightened conservative view of world literature, which overlooks emerging countries, especially China’s increasing presence and role in shaping the map of both the world market and the cultural industry, indicates that the American intellectual field still puts its faith in the socio-cultural structures of developing countries and refuses to acknowledge the equal rights of Third World countries to participate in leading the cultural and literary changes of the world. These characteristics of Damrosch’s world literature studies shows that his outlook of world literature is, actually, an expanded version of the previous Euro-American centred world literature framework.

New situations emerge with the increasing presence and participation of non-European countries in the world system and require a corresponding reform of the organizing principles, logic and interpretation framework of the world

literature system. Wang's view of world literature responds to these changes and poses resistance to the conservative views first by deconstructing the legitimacy of American's assumption about the Euro-American-centered ordering principle and logic of the world literature system, which makes possible the social mobility of literature from Third World countries to the center of current world system. Wang notes that the global system of literary exchange today has become a mutual and bilateral communication rather than the one-sided flow from the core countries to the periphery (Wang, "The Double Sided Travel of World Literature"), and emerging countries such as China should provide their own map of world literature to the international community on the basis of their understandings and experiences in the new world system (Wang, "World Literature as an Issue-driven Concept"). Especially, after the "artificial centres" are destructed, Wang argues, literary scholars could explore "the fundamental national problems in a broad cosmopolitan context with regard to human concerns at large" (Wang, "Cosmopolitanism, World Literature and the Cosmopolitan Quality of Chinese Literature"), and thus provide new perspectives to the international community of humanity studies. Moreover, the emphasis of the role of literary specialist and institutions from non-European countries in his world literature framework, such as Zhou Xiliang and Chinese universities' role in forming the world literature body, expands the scope of players and the access to lead changes in the process of world literature formation. These practices in Wang's research indicates that he has gone beyond Damrosch's world literature framework and brought forth a more balanced outlook of world literature which takes into account literatures of all different countries and regions and at the same time emphasizes the quality and world influence of certain literary text.

Works Cited

- Agamben, Giorgio. *Homo Sacer: Sovereign Power and Bare Life*, translated by Daniel Heller-Roazen. Stanford, California: Stanford UP, 1998.
- "Covid-19: China pushes for QR code based global travel system." 1 December, 2020. BBC news. Available at: <https://www.bbc.com/news/business-55039662>.
- D'haen, Theo. *The Routledge Concise History of World Literature*. London and New York: Routledge, 2012.
- Damrosch, David and Wang Ning. "What Is World Literature? David Damrosch in Conversation with Wang Ning." *Ariel: a Review of International English Literature* 42 (2011): 171-190.
- Damrosch, David. "Global Comparatism and the Question of Language." *PMLA* 128 (2013): 622-628.
- . "Toward a History of World Literature." *New Literary History* 39 (2008): 481-495.
- . *What is World Literature?* Princeton and Oxford: Princeton UP, 2003.

- .“World Literature, National Contexts.” *Modern Philology* 100 (2003): 512-531.
- Huang Xiaoming and Robert G. Patman. “Introduction: China and the international system — structure, society, and context.” In *China and the International System: Becoming a World Power*, edited by Xiaoming Huang and Robert G. Patman. London and New York: Routledge, 2013. 1-13.
- Wallerstein, Immanuel. *World System Analysis: An Introduction*. Durham and London: Duke UP, 2006.
- Nie zhenzhao, “Chinese Literature as World Literature.” *Canadian Review of Comparative Literature / Revue Canadienne de Littérature Comparée* 43 (2016): 380-392.
- 王宁：“世界主义、世界文学以及中国文学的世界性”，《中国比较文学》1（2014）：11-26。
[Wang Ning. “Cosmopolitanism, World Literature and the Cosmopolitan Quality of Chinese Literature.” *Comparative Literature in China* 1 (2014): 11-26.]
- ：“世界文学的双向旅行”，《文艺研究》7（2011）：14-20。
[—.“The Double Sided Travel of World Literature.” *Literary Theory Studies* 7 (2011): 14-20.]
- .“Globalisation as Glocalisation in China: a New Perspective.” *Third World Quarterly* 11 (2015): 2059-2074.
- .“Translating Modernity and Reconstructing World Literature.” *Minnesota Review* 79 (2012): 101-112, DOI 10.1215/00265667-1708286.
- .“‘Weltliteratur’: From a Utopian Imagination to Diversified forms of World Literatures.” *Neohelicon* 38 (2011): 295-306.
- ：“世界文学与中国”，《中国比较文学》4（2010）：10-22。
[—.“World Literature and China.” *Comparative Literature in China* 4 (2010): 10-22.]
- .“World Literature and the Dynamic Function of Translation.” *Modern Language Quarterly* 1 (2010): 1-14.
- ：“世界文学与翻译”，《文艺研究》3（2009）：23-31。
[—.“World Literature and Translation.” *Literary Theory Studies* 3 (2009): 23-31.]
- .“On World Literatures, Comparative Literature, and (Comparative) Cultural Studies.” *CLCWeb: Comparative Literature and Culture* 15 (2013). Available at: <https://doi.org/10.7771/1481-4374.2336>.

Practicing Ecocriticism and the Environmental Humanities during the Age of COVID and Beyond: An Interview with Scott Slovic

Jiang Lifu & Scott Slovic

Abstract: Scott Slovic, University Distinguished Professor of Environmental Humanities at the University of Idaho in the United States, was the founding president of the Association for the Study of Literature and Environment (ASLE) from 1992 to 1995, and he edited *ISLE: Interdisciplinary Studies in Literature and Environment*, the major journal in the field of ecocriticism, from 1995-2020. He is currently the co-editor of two book series: Routledge Series in World Literatures and the Environment (2017-present) and Routledge Environmental Humanities (2018-present). Professor Slovic has written, edited, or co-edited thirty books in the field of ecocriticism. This interview focuses on the latest ecocritical developments, as well as key issues in the environmental humanities, in the Age of COVID and more broadly, the context of the Anthropocene. It stresses mainly three aspects: new ideas and directions in ecocriticism, the clarification of some key concepts in the environmental humanities, and studies of ecocriticism relevant with China. Professor Slovic expounds the “fourth wave” and “fifth wave” of ecocriticism, scrutinizes various terms, such as Anthropocene ecocriticism, climate fiction criticism, material ecocriticism, affective ecocriticism, empirical ecocriticism, critical animal studies, critical plant studies, etc., and crystallizes the connections and differences between ecocriticism, the environmental humanities and the medical-environmental humanities. He also explores the impacts of COVID-19 on ecocriticism studies, reveals the concerns of establishing “TCM ecocriticism,” sheds light on the new possibilities for ecocriticism in the future, and offers constructive suggestions for Chinese scholars.

Keywords: ecocriticism; the interdisciplinary studies; the environmental humanities; Scott Slovic

Authors: **Jiang Lifu** is Associate Professor of English at Nanjing University of Aeronautics and Astronautics (Nanjing 211106, China), specializing in the Anthropocene, ecocriticism, and climate fiction (Email: lfjiang@nuaa.edu.cn). **Scott Slovic** is University Distinguished Professor of Environmental Humanities at

the University of Idaho (Moscow 83844, USA), specializing in ecocriticism and the environmental humanities (Email: slovic@uidaho.edu).

标题：新冠病毒时代及之后的生态批评和环境人文实践：斯科特·斯洛维克访谈录

内容提要：斯科特·斯洛维克，美国爱达荷大学环境人文杰出教授，美国“文学与环境研究协会”首任主席（1992-1995）、生态批评权威期刊《文学与环境跨学科研究》主编（1995-2020），目前担任“劳特利奇世界文学和环境”（2017至今）、“劳特利奇环境人文”（2018至今）等丛书联合主编。斯洛维克著述等身，在生态批评领域出版专著、编著和合著30余部。本次访谈聚焦新世纪新冠病毒时代生态批评的新进展和环境人文的核心话题。斯洛维克阐明了生态批评的新发展、新趋势，明晰了环境人文同生态批评以及医学—环境人文的异同，探讨了新冠肺炎疫情对生态批评研究的影响，回应了建构“中医生态批评”的关切，为中国学者开展相关生态批评提供了建设性意见。

关键词：生态批评；跨学科研究；环境人文；斯洛维克

作者简介：姜礼福，南京航空航天大学外国语学院副教授，主要从事人类世、生态批评和气候小说研究；斯科特·斯洛维克，美国爱达荷大学环境人文学杰出教授，主要从事生态批评和环境人文研究。本文为江苏省社科基金重点项目“21世纪西北欧气候小说中的中国形象研究”【项目批号：22WWA001】、中央高校基本科研业务费专项基金项目“当代英语气候小说中的中国书写研究”【项目批号：ND2022014】阶段性成果。

Jiang Lifu (Jiang for short hereafter): Hi, Professor Slovic. It has been thirty years since you published your first book in the field of ecocriticism in 1992. Being a global leader in the field, you have tried to trigger and guide the development of ecocriticism. What do you think of the latest development of ecocriticism after the outbreak of COVID-19? What is the impact of COVID-19 on the development of ecocriticism and will it be a potential turning point of ecocriticism?

Scott Slovic (Slovic for short hereafter): The COVID-19 pandemic has been a very interesting time to work in the field of ecocriticism and more generally in the environmental humanities. In June 2020, not long after the beginning of the pandemic, the Swedish website *bifrost.org* published a group of short articles on the environmental humanities in the context of the pandemic. Many contributors to this collection focused on various aspects of how the pandemic was teaching us to think in different ways about our relationships with other species (such as bats and

pangolins, the animals that may have spread the COVID virus to humans) and our relationship with the virus itself. Also, because most of us were not traveling during the early period of the pandemic and it became more difficult even to get certain kinds of foods that were coming from far away, many environmental humanities scholars began thinking about using the pandemic as a way to re-think how we use travel in our personal and professional lives and also about whether our usual dietary practices (what we prefer to eat) are ethical and ecologically reasonable. There is an Open Letter to the community of environmental humanities scholars included in the Bifrost collection that focuses on the need to reconsider our travel practices and our dietary habits.

My own contribution to the collection “COVID World, COVID Mind: Toward a New Consciousness” focuses on how we might learn new things about the way humans think as a result of the pandemic. Perhaps the most important way of thinking that has been impressive to me during the pandemic is the feeling of vulnerability, of fragility and exposure to risk. Remember how at the beginning of the pandemic all of us were afraid to be in contact with other people, afraid to be exposed to this mysterious and potentially deadly disease? To me, this sense of vulnerability—what cultural theorists would call *precarity*—is actually a potentially good thing. If we felt more precarious during our ordinary lives when we’re not thinking about the pandemic, perhaps we would behave more carefully, more cautiously, more mindfully. And this would enable us as individuals and as a species to have a lighter, less destructive impact on the planet.

One of the main projects I’m trying to work on now, in my own research, is a study of how pandemic literature might inspire a sense of healthy precarity in readers, guiding us to apply the sense of precarity to aspects of our lives not directly related to the pandemic. For instance, if reminded about our precarity when exposed to disease, might we also be inclined to be more careful with regard to our use of fossil fuels, animals as food, air conditioning, and various other modern conveniences that can potentially have detrimental effects on planetary ecology?

We are still experiencing the pandemic in mid-2022. It is certainly not finished. But I believe we can learn a lot from this experience if we take the time to pay attention and to apply our experiences to the kinds of concerns—such as the meaning of precarity—that we work on in the environmental humanities.

Jiang: You mention your study on pandemic literature. This is a very interesting research area, which is becoming increasingly popular in China. Can you share with us a little bit of your research, a definition of pandemic literature, and also some

thoughts about how to approach it?

Slovic: I had never really thought much about pandemic literature—what some people refer to as “plague literature”—until we all began to experience the pandemic in 2019 and 2020, and at that time I found myself looking for things to read that would help me to think about our current pandemic situation. I would define pandemic literature as any kind of literary text that represents the scientific phenomenon of viruses, public health crises as a result of large-scale spread of disease, or the phenomenon of trans-species disease transfer (also known as “zoonosis”). Back in 2012 or 2013, I read a book by the American environmental writer David Quammen, a writer I’ve worked with many times over the years, titled *Spillover: Animal Infections and the Next Human Pandemic*, and this book, which focuses on the transfer of disease from other animal species to humans (thus the term “spillover”), led me to begin thinking about pandemics much more carefully than had been the case before. When the COVID-19 pandemic arose, I went back and reread *Spillover*, and I began also reading various examples of pandemic fiction, such as Albert Camus’s *The Plague* (1947), Geraldine Brooks’s *Year of Wonders* (2001), Peter Heller’s *The Dog Stars* (2011), and Lawrence Wright’s *The End of October* (2020).

In my own scholarship, I have been writing especially about Heller’s *The Dog Stars*, a novel set in a post-pandemic North America, following an influenza outbreak that has led to the deaths of most human beings. The male narrator has lost his wife and the rest of his family. He lives alone with his dog in the mountains of Colorado and has almost no other contact with other surviving humans, except when he is threatened by strangers who want to harm him or steal his food. The narrator, whose name is Hig, flies a small airplane over the countryside and looks down at what seems to be an almost “normal” landscape, peaceful and even beautiful, but at the same time he is haunted by the knowledge of the disease that has wiped out most of humanity. The novel raises deep questions about how human beings respond to crises and restore a psychological sense of normalcy, even after such a crisis has occurred.

I have been working to develop empirical ecocritical studies of how to use pandemic texts, such as Heller’s novel *The Dog Stars*, to instill in readers a sense of what I call “healthy precarity,” feeling of vulnerability that might lead to more cautious and mindful behavior, not only in the context of disease but even with regard to such phenomena as global climate change. I believe that we must be more mindful of the effects of our lifestyles, our use of too much fossil fuel (coal, oil) to support our energy habits. If we were more mindful, more aware, that our

lifestyle is leading to catastrophic global climate change that could imperil our entire species and many other species, perhaps we would live more carefully. So I've been working with colleagues from the social sciences to develop experiments to test whether readers of pandemic novels (or at least key passages from the novels) that depict extreme human vulnerability might also become more careful with regard to other aspects of our contemporary lives. This is ongoing research, and my colleagues and I do not yet have any results from our work. But I would like to pursue this further after I gather some research funding that will enable me to conduct the empirical studies I have in mind.

Jiang: Can you tell us the connection and difference between ecocriticism and the environmental humanities which has been developing very fast in the 21st century?

Slovic: Ecocriticism is a sub-field within the environmental humanities. The environmental humanities consist of numerous other disciplines—environmental anthropology, environmental history, environmental literary and cultural studies (or “ecocriticism”), environmental philosophy, environmental psychology, environmental religious studies, etc. Ecocriticism is not separate from the environmental humanities—ecocritics do a specific kind of environmental humanities research and teaching that is focused on cultural texts. But when ecocritics describe themselves as environmental humanities scholars, it means that ecocritics are especially interested in doing their work in an interdisciplinary way that brings history, philosophy, psychology, and other disciplinary perspectives into the discussion of cultural texts.

I have been using ideas from philosophy and psychology for many years—in fact, since I began my work in the field of ecocriticism as a postgraduate student in the 1980s. So when people began using the term *environmental humanities* in the early 2000s to describe interdisciplinary environmental research focused on humanistic topics, I immediately recognized what I was doing to be part of this trend, this movement. These days I describe myself as an environmental humanities scholar who is especially interested in doing interdisciplinary ecocriticism.

Jiang: I think there will be more and more ecocritics tending to study in an interdisciplinary way, to be described as environmental humanities scholars. Should we study in a transdisciplinary way? And what will the digital humanities bring to ecocriticism and environmental humanities?

Slovic: To be honest, I am not an expert in the digital humanities. However, I do have an article coming out in a new book on empirical ecocriticism that uses the

digital humanities. I worked with communication scholar David Markowitz to conduct a corpus linguistics study of all of the issues of the journal *ISLE* from 2004 to 2018, using an automated text analysis method known as Linguistic Inquiry and Word Count (LIWC) to identify language patterns in a total of 713 texts published in the journal during this time period, including editor's notes, articles, book reviews, and even creative writing (poetry, literary essays, and excerpts from novels). What we discovered is that there is a general trend toward more abstract language and more jargon during this fifteen-year period when the field of ecocriticism was rapidly developing its identity as a field of study. I interpret this as evidence of the discipline's growing sophistication and the creation of a new theoretical vocabulary to match this sophistication. In general, ecocritics tend to be somewhat suspicious of theoretical jargon and inaccessible language, but a certain amount of jargon can actually enable scholars to be more precise in analyzing particular kinds of problems. So I view the early twenty-first century as a time of rapid development in the discipline of ecocriticism, and this idea is reinforced by what David Markowitz and I have described in our new article titled "Tracing the Language of Ecocriticism: Insights from an Automated Text Analysis of *ISLE: Interdisciplinary Studies in Literature and Environment*," which will appear in a book on empirical ecocriticism in 2023.

I'm sure there are many other ways to use the digital humanities in ecocriticism, but what I've mentioned here is one particular example I'm familiar with.

One other example that I'll mention briefly in an article by Canadian scholar Lai-Tze Fan titled "Digital Nature," which has appeared in 2022 in the book *Nature and Literary Studies*, a book I co-edited with Peter Remien. Lai-Tze uses N. Katherine Hayles's concept of "technogenesis" to describe how humans have coevolved with technology (Lai-Tze 340), both influencing new technologies and, in turn, being shaped by technologies in how we think about and exert impacts on the environment. In her article "Digital Nature," Lai-Tze Fan analyzes what she calls "electronic literature"—storytelling that has been created with the special assistance of computers and mobile devices as well as digital photography, film, and art—to understand the "multimodal, multimedial, multilinear, and interactive" aspects of this "e-literature" (Lai-Tze 340). For example, she writes about a 2017 video game and electronic literary text by Eugenio Tisselli called *The Gate*, in which "the user is made aware of their own dependency on the larger ecological network to which they belong, not that which they rule" (Lai-Tze 347).

Jiang: Your newly published book *The Bloomsbury Handbook to the Medical-Environmental Humanities* (edited together with Swarnalatha Rangarajan and Vidya Sarveswaran) in 2022 represents the latest development of environmental humanities in the context of the COVID-19. It is timely effort to ally the medical humanities and the environmental humanities. Can you tell us more about it?

Slovic: Sometimes we find that there are parallel disciplines—such as ecocriticism and environmental communication studies—that seem to have much to say to each other but that don't come into direct contact unless scholars make an explicit, conscious effort to bring them together. Swarnalatha, Vidya, and I tried to do this when we worked on our book *The Routledge Handbook to Ecocriticism and Environmental Communication*, which came out in 2019.

In the new Bloomsbury book, we tried to bring together two existing fields that seemed mutually relevant but that hadn't been formally, explicitly brought together before this. People have often noticed, of course, that human physical and mental health is affected by what's happening in the external environment, so it was not difficult to find a number of colleagues who were interested in writing articles that bring this connection to light. We recruited nearly thirty authors to write about a wide range of topics for this handbook to medical-environmental humanities, a collection of articles that seeks explicitly to write about issues of individual and public health from environmental angles and about environmental experience from the perspective of medical knowledge and concerns. Some of the fundamental ideas related to the book emerge from previous research such as Pramod K. Nayar's *Bhopal's Ecological Gothic* and *Ecoprecarity* and Sarah Jaquette Ray and Jay Sibara's collection *Disability Studies and the Environmental Humanities: Toward an Eco-Crip Theory*. On the most basic level, the medical-environmental humanities highlights how human mental and physical health are tenuous, precarious qualities—we cannot take our health for granted. And what we do to the planet will sooner or later have a serious impact on our own wellbeing.

One of my favorite aspects of the book is the section devoted to ideas about the conjunction of human and environmental health in various cultures around the world. The idea that a healthy environment is necessary for healthy human lives is not really new, but we seem to have forgotten this in the modern world. Several of these chapters focus on traditional cultures that have much to teach us in the twenty-first century about the intersections between nature and human health. One of the chapters, by Kiu-wai Chu from Hong Kong (who is currently a professor in Singapore), focuses on how Traditional Chinese Medicine (TCM) is being represented to the Chinese public by way of popular culture, such as television

series devoted to teaching general audiences about TCM, offering not only medical information but environmental education.

For me, the idea of emphasizing how our physical and mental health are deeply connected to the natural world is very personal. I became interested in ecocriticism many years ago because I love being physically active—running, climbing mountains, going for long hikes in nature. But that was almost forty years ago! Even now I love being physically active and having as much contact as possible with nature, but I realize now that we cannot take our physical health for granted, especially as we get older. So in the epilogue to the book, for which Swarnalatha, Vidya, and I each wrote a short essay, I called my part “You Don’t Know What You Got ‘Til It’s Gone” (a line from a popular environmental song by Joni Mitchell titled “Big Yellow Taxi”), and I wrote about the challenge of appreciating our personal health while we still enjoy it and appreciating the importance of the nonhuman environment before we destroy the environment. We often don’t really know what we have—what we should celebrate and value—until “it’s gone.” For me, this is a key message from the effort to bring together the medical and environmental approaches to the humanities.

Jiang: You talked about the connection between the environmental humanities and the medical-environmental humanities, but what are their differences?

Slovic: Not all scholarship in the environmental humanities explicitly touches upon the medical aspects of our environmental experience. The medical-environmental humanities compels a more conscious effort to make the connection between health and environment. In producing the new book, we are not trying to say that all environmental humanities scholars should be adopting this medical approach, but we did want to point out that it could be helpful for scholars and teaches, and for students, to be aware of the possibility of making these connections. Perhaps it would make sense to say that the medical-environmental humanities is a subset of the broader field called the environmental humanities, just as the medical-environmental humanities constitutes a small part of the larger field known as the medical humanities.

Jiang: What do you think of the relationship between ecocriticism and the medical-environmental humanities?

Slovic: Many of the articles in the new *Bloomsbury Handbook to the Medical-Environmental Humanities* are works of ecocriticism, using literature or film—or sometimes works of popular culture, such as television series—as lenses through

which to show various things about the intersection between human health and the nonhuman environment. For instance, Samantha Walton's chapter "Eco-Recovery Memoir and the Medical-Environmental Humanities" focuses on a particular type of autobiographical book that tells the stories of how the authors recovered from depression or other forms of mental distress by way of contact with nature. One example she writes about here is Helen Macdonald's well-known memoir *H Is for Hawk*. The chapter is ecocritical because the author writes in detail about specific literary works that illustrate her argument. Another ecocritical chapter is Tobin Chen-Hsing Tsai's "Toward an Ethics of Transcorporeality and Public Health in Taiwanese Ecopathodocumentary," which analyzes several documentary films from Taiwan (China) that focus on air pollution and public health. This chapter is also ecocritical because it uses cultural texts—the films—as lenses through which to understand a public health and environmental issue: air pollution.

Some of the articles in this book are more historical, others more theoretical or philosophical. But the chapters that clearly use cultural texts seem to fit within the scholarly category that we would call ecocriticism.

Jiang: Inspired by your study, I have one immature idea about the further development of medical-environmental humanities from the perspective of China. Yin-Yang Wu-Xing (Yin-Yang and Five Elements, subsystems of human body) is the theoretical basis of traditional Chinese for more than 5,000 years. The fundamental idea is "Tianren Heyi" (Oneness of Heaven and Man) which emphasizes the interconnection and interaction between the health of man and nature (Earth as a living organism), and it has a set of unique terms such as *Yin*, *Yang*, *qi*, *Wuxing*, etc. Do you think it is possible or meaningful to explore or develop TCM ecocriticism by referring to the ideas and terms of TCM?

Slovic: I really like where you're going with these suggestions. There is some of this already in Kiu-wai Chu's article on TCM for the *Bloomsbury Handbook*, but I think he would agree that TCM ecocriticism could be developed much further. I really like the phrase "TCM ecocriticism," by the way. What you say here makes a lot of sense to me—the ideas and terms of TCM can certainly be used as lenses through which to examine cultural texts. There is also some of this happening, I think, in Kathryn Yalan Chang's chapter for the *Bloomsbury Handbook*, which focuses on food and medicine in Taiwan (China) and the United States. Perhaps there are other elements of Traditional Ecological Knowledge (TEK) in China and other countries where traditional ideas and terms related to medicine and food could be brought into ecocritical contexts.

Jiang: Can you name another one or two newly developed and important specific approaches to the study of ecocriticism?

Slovic: A number of ecocritics who once were focused on specific authors and texts have now shifted to write about broader historical trends in human culture vis-à-vis the larger planet. If I look at the book series *Elements in Environmental Humanities*, published by Cambridge University Press, I see that ecocritic Louise Westling has a new book titled *Deep History, Climate Change, and the Evolution of Human Culture*. This is what I mean by expanding beyond specific textual analysis to a broader, more sweeping view of human history. Also in that series, Marco Armiero has published *Wasteocene* (a book about the phenomenon of waste as a definitive aspect of our time in history), and Christopher Schliephake has written *The Environmental Humanities and the Ancient World*. So this effort to describe and define vast periods of time from an ecocritical or an interdisciplinary environmental humanities outlook is happening.

I also see a trend to look at different kinds of places from an environmental angle, using various types of cultural texts as examples. Allison M. Schifani has just published *Urban Ecology and Intervention in the 21st Century Americas: Verticality, Catastrophe, and the Mediated City* (2021), which is an example of analyzing urban material culture (architecture and city planning) from an environmental humanities angle; at the same time, Michael J. Gormley has recently published *The End of the Anthropocene: Ecocriticism, the Universal Ecosystem, and the Astropocene* (2021), which offers readings of fiction that weaves together astrophysics and ecology, moving beyond the planet Earth. So there are some recent projects that seem to be looking at non-traditional spaces in innovative environmental ways.

I find that I am always trying to look in new directions in my own work, too. I believe there is much more research to be done from an empirical ecocritical perspective, studying how audiences respond to specific kinds of texts. This is what I'm doing with my studies of pandemic literature and how such work influences readers' thinking about precarity and vigilance (a sense of urgency) with regard to public health and ecological threats. There is a new book on empirical ecocriticism forthcoming in 2023, and this will help to greatly advance the field, I believe.

I would also point to the special issue of the new journal *Lagoonscapes: Venice Journal of Environmental Humanities* that Serena Chou and I are guest co-editing on the topic of "arboreal ecocriticism" (tree-related ecocriticism). In recent years, a number of colleagues from around the world have been telling me they are interested in connections between trees and literature, so it occurred to me to pull

together a journal issue on this subject. Serena and I came up with the term “arboreal ecocriticism” to describe such scholarship. We have contributors like John C. Ryan writing about human relationships with trees in Australian Aboriginal stories and poetry and Françoise Besson talking about the theme of tree-planting and forestry in a classic work of French literature by Jean Giono titled *The Man Who Planted Trees*. I am hoping Serena and I can develop the journal issue into a larger, book-length collection of arboreal ecocriticism for the new book series on Critical Plant Studies that Lexington Books, a leading American publisher of ecocriticism, has just started recently.

Jiang: You advocate that ecocritics should “go public” (Gasman 127). Can you provide a further explanation?

Slovic: As I suggested in my 2008 book *Going Away to Think: Engagement, Retreat, and Ecocritical Responsibility*, there is a central tension in the field of ecocriticism (and in the minds of individual ecocritics) between, on the one hand, the desire to experience beautiful art and the beauty of nature and, on the other hand, the desire to contribute to social reform and environmental protection. More recently, I published an article titled “Environmental Humanities and the Public Intellectual” in the book *Imaginative Ecologies: Inspiring Change through the Humanities* (2022), in which I place not only ecocriticism but the broader field of the environmental humanities within the tradition of what Edward Said called “the public intellectual.” My argument here is that many ecocritics hope that their work, as teachers and as scholars, will reach audiences beyond traditional academic audiences and will contribute positively to the well-being of society. I first mentioned the fifth wave of ecocriticism during a lecture at Beijing Forestry University in the summer of 2019, and then I wrote about the fifth wave in my editor’s note for the Summer 2019 issue of *ISLE*, where I stated: “It seems to me that there has been increasing focus in recent years, in this fifth phase of ecocriticism, on information management, the psychology of information processing, and on the efficacy of various communication strategies and these concerns appear to work in tandem with the efforts of ecocritics to reach out beyond our traditional academic audiences by writing op-eds and blog entries, speaking at public meetings, publishing creative writing in addition to scholarship, and using other creative outlets.” (Slovic, “Editor’s Note” 514) I mention, too, that there is a clear effort among ecocritics in the recent fifth wave “to connect with lay audiences and practical decision-makers: to make our work count for something in the world, not merely within the academy” (Slovic, “Editor’s Note” 514).

I certainly find this to be the case in my own life. Of course, ecocriticism and interdisciplinary environmental humanities research and teaching are my career, my job—I earn a living doing these things. But I have also long been interested in writing articles for newspapers and organizing conferences and literary events for the general public. In 2015, I began writing op-ed articles (short opinion essays) for both national newspapers like *The New York Times* and regional papers in Idaho and in my home state of Oregon, sometimes for websites that publish articles relevant to current public issues. In my environmental writing course for the University of Idaho’s Semester in the Wild Program (which takes place each fall at a research station in the Idaho wilderness), the final writing assignment for my students is a short piece of “personal testimony,” in which students write 500 words or so about a social or environmental issue that concerns them, weaving together their personal stories with information and suggestions regarding the issue of concern, which could be the importance of protecting predators (such as wolves) in particular ecosystems or the value of having community gardens where students can grow healthy food on university campuses. There is no limit to the range of topics students—and people in general—can write their testimonies about. Testimonies are a very practical form of social engagement—these are the kinds of statements people can present at public meetings, send as letters to academic, corporate, or government officials, or publish in newspapers or on website. During the past decade, in addition to teaching testimony writing in my environmental writing classes, I have also been offering public workshops for community groups on writing testimony—sometimes when I travel to conferences in various parts of the world, such as Guam or Pakistan, I have been asked to teach such workshops for local groups. I consider such public teaching to be a way of extending the reach of ecocriticism (and the ideas of the humanities) to broader audiences.

The phrase “going public” came to me when I became aware of Marybeth Gasman’s 2016 book *Academics Going Public: How to Write and Speak Beyond Academe*. This little book is focused specifically on the idea that experts in the study of university education might want to take their ideas beyond academic conferences and journals and find ways to communicate with the broader public. However, I believe the idea of going public is also extremely relevant to many other fields, including ecocriticism, so I began using the phrase “ecocritics going public.” The Gasman collection includes chapters on “Writing Opinion Articles” (or op-eds), “Using Social Media to Promote Scholarship,” and “Writing an Influential Press Release.” When I was a graduate student and a young professor, none of my own teachers and mentors suggested to me that I might want to consider writing

for “the public,” for non-academic audiences. In fact, I was trained to write for highly specialized audiences in academic journals—and readers of academic books. But I began to realize later that if I hoped to make a difference in the world through my work as a scholar and thinker, I needed to adapt my writing style to make it appropriate for other kinds of readers—and I needed, at times, to attend public events and share my ideas with different kinds of listeners. In recent years I have begun to include this idea of going public in my own classes on the environmental humanities for postgraduate students, asking the students not only to write traditional scholarly papers but also to take the research they do for their final papers and prepare either a press release that explains their research in a way that journalists might find interesting or to write a short op-ed essay (500-800 words long) that could be submitted to a newspaper or a website for publication. My students have often succeeded in having their op-eds published in places that reach large audiences and actually could contribute to public conversations much more quickly than a traditional academic article would. For instance, last year one of my environmental humanities students published her op-ed in *The Washington Post* newspaper (one of the major newspapers in the United States, based in the national capital) before the semester was even finished. She submitted it to the editors at the paper, they found it relevant to the Thanksgiving holiday in November, and they published it within a few days. I find this to be a very impressive example of going public with the ideas we’re talking about in university classes.

I encourage other colleagues to consider sharing their own research or training their students to share their work with readers and listeners beyond academia. If we believe our work has relevance to society’s important issues, we should probably be trying to communicate with people beyond our colleagues and students, in addition to our colleagues and students.

Jiang: What do think of the biggest feature of ecocriticism in the 21st century?

Slovic: As I’ve mentioned above when talking about the fifth wave of ecocriticism, there does seem to be an increasing practical dimension to the field, an engagement with various forms of human cultural expression (transportation, food, architecture, etc.) in addition to art and literature, and also an increasing willingness to speak out to general audiences, not only to a small group of fellow scholars. Perhaps these new waves of ecocriticism reflect the increasing sense of the urgency of our ecological predicament. The situation of the planet is not good, to put it mildly. Planetary temperatures are steadily rising, the weather patterns are becoming more and more erratic with huge storms and raging wildfires affecting many different

regions. Species continue to disappear—to go extinct—at a frightening pace. And various forms of contamination, from microplastics in the sea to the release of dioxins into the atmosphere through the burning of commercial, industrial, and medical waste, are creating dire public health crises. And the list of problems goes on and on.

There is something hopeful about doing our best to respond to these crises as teachers and scholars in the humanities. As Donald Worster wrote in his foundational essay “Paths Across the Levee” from *The Wealth of Nature* (1993), “We are facing a global crisis today, not because of how ecosystems function but rather because of how our ethical systems function. Getting through the crisis requires understanding our impact on nature as precisely as possible, but even more, it requires understanding those ethical systems and using that understanding to reform them. Historians, along with literary scholars, anthropologists, and philosophers, cannot do the reforming, of course, but they can help with the understanding” (Worster 27). Global environmental crises have increased tremendously since Worster published those words thirty years ago, but the environmental humanities—including ecocriticism—has also become much more sophisticated and aggressive in responding to these crises.

I imagine that ecocritics and other colleagues will continue to find new and increasingly high-profile ways to go public. Some of my colleagues, such as the postcolonial ecocritic George Handley, have actually run for political office in the United States and become policy makers in their communities (Handley is a city councilman in Provo, Utah), not merely writing to government decision makers but becoming part of the government. I look forward to seeing how the fifth wave of ecocriticism—the going public phase—continues to develop in the coming years.

Jiang: According to your understanding, what will be the major trends of ecocriticism in the coming years?

Slovic: Sometimes I try to imagine what micro-disciplines within ecocriticism might develop in the coming years, but it’s very hard to predict the field’s coming directions. I think there may be new projects focusing on specific cultures and regions of the world that have not yet been explored sufficiently by ecocritics—perhaps more work on Arabic language texts. I know there are quite a few students studying ecocriticism in countries like Morocco. And many are working with English-language texts or working in Farsi in Iran. There must be other countries and regions, too, where there is room to develop important new focuses within ecocriticism.

Another area that might develop in the coming years would be in combining trans-species empathy from disciplines like anthropology and psychology with textual studies to form a new trans-species ecocriticism or empathic ecocriticism or something like that. What makes me think of this is the work of anthropologist Eduardo Kohn at McGill University in Canada, who published the book *How Forests Think: Anthropology Beyond the Human* in 2013. Recently I was in touch with one of Kohn's Ph.D. students, Amy Donovan, because of a fascinating article she wrote about trans-species empathy and whales. Her article "Raw, Dense, and Loud: A Whale's Perspective on Cold Water Energy" came out in 2022 in the book *Cold Water Oil: Offshore Petroleum Cultures*. I interviewed the author about her fascinating essay, which includes ecocritical analysis of whale-related poetry as one of several ways of sensing how whales perceive the world, for the website [www.arithmeticofcompassion.org](https://www.arithmeticofcompassion.org/blog/2022/3/18/communicating-trans-species-empathy-an-interview-with-amy-donovan): <https://www.arithmeticofcompassion.org/blog/2022/3/18/communicating-trans-species-empathy-an-interview-with-amy-donovan>.

My point is that there will likely be many new styles or sub-movements within ecocriticism in the coming years. There is a lot flexibility for scholars to invent approaches to the field that match the intellectual and cultural problems they are trying to understand. This is a wonderful thing.

Jiang: There seem to be some differences between the studies of ecocriticism in the North and the Global South. Do you have any suggestions for scholars who study ecocriticism in China?

Slovic: I've always been interested in how Chinese culture seems to include both the Global North and the Global South. There are many communities in China that are quite wealthy and technologically advanced, while there are nearby communities that do not seem to have much access to wealth or advanced technology.

In my experience, ecocritics from the Global South have a very strong sense of social justice. They often apply vocabularies and methodologies from environmental justice ecocriticism and postcolonial ecocriticism in their research, and they tend to choose authors and texts who are highly sensitive to social justice issues when doing their work. For instance, in the collection *Ecocriticism of the Global South*, which I edited with Swarnalatha Rangarajan and Vidya Sarveswaran, we included Zhou Xiaojing's article titled "Scenes from the Global South in China: Zheng Xiaoqiong's Poetic Agency for Labor and Environmental Justice," which focuses on the poetry of Zheng, a former migrant worker who was born in Sichuan Province before moving to work in factories in southern Guangdong Province for seven

years. A key aspect of ecocriticism of the Global South is the decision to focus on writers or artists whose work illustrates social justice issues that are often associated with inequality that comes from industrial and economic development. Other works of art that could possibly be studied by Chinese ecocritics include the paintings of Liu Xiaodong of workers involved with the Three Gorges dam-building project and the 2015 art film *Behemoth* (bēixī móshòu) by Zhao Liang, which represents coal-mining in China and Inner Mongolia. Focusing on these texts and asking the kinds of questions typically asked in the fields of environmental justice and postcolonial ecocriticism would be appropriate ways of bringing Global South perspectives into Chinese ecocriticism.

Jiang: As an original critical theory formulated by the Chinese scholar Nie Zhenzhao, ethical literary criticism, has received a large amount of attention from academics. Is it possible to make an alliance between ecocriticism and ethical literary criticism?

Slovic: There is a strong ethical aspect to ecocriticism and to the environmental humanities more generally. When considering the most important features of ecocriticism in the twenty-first century, I referred to historian Donald Worster's famous statement from thirty years ago that the humanities help us to understand the ethical questions about why we behave as we do toward the environment. I think Worster and many other environmental humanists, including literary scholars, would strongly agree with Nie Zhenzhao about the importance of focusing on the ethical features of cultural texts, but in the environmental humanities we would be concerned not only with the implications of literary texts for human rights and human wellbeing but with the broader environmental implications of ethical questions. In fact, you could say that the environmental arts and humanities have sought to broaden the sphere of ethical concern from human-centeredness to a larger concern for all living beings. With the development of new materialist philosophy and material ecocriticism, you might even argue that ethical considerations apply to non-living phenomena, such as rivers and stones, oceans and mountains.

Indigenous communities throughout the world have long understood that ethical responsibility applies to our behavior toward the natural world. We are now catching up to such ancient ideas in modern humanities scholarship, re-learning ethical perspectives that our tribal ancestors knew centuries ago. If we had not forgotten or ignored these ways of thinking, we might not be in such a terrible ecological predicament today.

In any case, I certainly agree that it makes sense for ecocritics to consciously

bring together ecocriticism and ethical literary criticism. This sounds like a good idea for a new book project!

Jiang: Yes. That is really a good idea! Also, I think there will be more Chinese scholars who will get into and make more contributions to the field of ecocriticism. Thank you very much for all of your responses.

Slovic: You're welcome.

Works Cited

- "An Environmental Humanities Response to the COVID-19 Pandemic: An Open Letter." *Bifrost.org* 8 June 2020. 9 August 2022. Available at: <https://bifrostonline.org/environmental-humanities-response-to-covid-19/>.
- Donovan, Amy. "Raw, Dense, and Loud: A Whale's Perspective on Cold Water Energy." *Cold Water Oil: Offshore Petroleum Cultures*, edited by Fiona Polack and Danine Farquharson. London: Routledge, 2022. 238-263.
- Fan, Lai-Tze. "Digital Nature." *Nature and Literary Studies*, edited by Peter C. Remien and Scott Slovic. Cambridge: Cambridge UP, 2022. 339-354.
- Gasman, Marybeth. *Academics Going Public: How to Write and Speak Beyond Academe*. London: Routledge, 2016.
- Gormely, Michael J. *The End of the Anthropocene: Ecocriticism, the Universal Ecosystem, and the Astropocene*. Lanham: Lexington Books, 2021.
- Nayar, Pramod K. *Bhopal's Ecological Gothic: Disaster, Precarity, and the Biopolitical Uncanny*. Lanham: Lexington, 2017.
- Ray, Sarah Jaquette and Jay Sibara, eds. *Disability Studies and the Environmental Humanities: Toward an Eco-Crip Theory*. Lincoln: U of Nebraska P, 2017.
- Schifani, Allison M. *Urban Ecology and Intervention in the 21st Century Americas: Verticality, Catastrophe, and the Mediated City*. London: Routledge, 2021.
- Slovic, Scott. "Communicating Trans-Species Empathy: An Interview with Amy Donovan." *The Arithmetic of Compassion*. 18 March 2022. 12 August 2022. Available at: <https://www.arithmeticofcompassion.org/blog/2022/3/18/communicating-trans-species-empathy-an-interview-with-amy-donovan>.
- . "COVID World, COVID Mind: Toward a New Consciousness." *Bifrost.org*. June 2020. 9 August 2022. Available at: <https://bifrostonline.org/scott-slovic/>.
- . "Editor's Note." *ISLE: Interdisciplinary Studies in Literature and Environment* 3 (2019): 513-517.
- Slovic, Scott and David M. Markowitz. "Tracing the Language of Ecocriticism: Insights from an Automated Text Analysis of *ISLE: Interdisciplinary Studies in Literature and Environment*." *Empirical Ecocriticism*, edited by Matthew Schneider-Mayerson, Alexa Weik von Mossner, W.P.

- Malecki and Frank Hakemulder. Minneapolis: U of Minnesota P, 2023.
- Slovic, Scott, Swarnalatha Rangarajan and Vidya Sarveswaran, eds. *The Bloomsbury Handbook to Medical-Environmental Humanities*. London: Bloomsbury Academic, 2022.
- Westling, Louise. *Deep History, Climate Change, and the Evolution of Human Culture*. Cambridge: Cambridge UP, 2022.
- Worster, Donald. "Paths Across the Levee." *The Wealth of Nature: Environmental History and the Ecological Imagination*. Cambridge: Cambridge UP, 1993. 16-29.
- Zhou Xiaojing. "Scenes from the Global South in China: Zheng Xiaoqiong's Poetic Agency for Labor and Environmental Justice." *Ecocriticism of the Global South*, edited by Scott Slovic, Swarnalatha Rangarajan and Vidya Sarveswaran. Lanham: Lexington, 2015. 55-76.

Metaphors of Diseases, Ethical Violation of Historical Writing and Political Ethics as Shown in William Shakespeare's *Julius Caesar*

Zhang Baike & Tian Junwu

Abstract: Metaphors of diseases and deformities abound in *Julius Caesar*, one of William Shakespeare's Roman historical plays. In this tragedy, which is adapted from Plutarch's *Lives of the Caesars*, Shakespeare portrays Caesar, an awe-inspiring general and dictator, as suffering from several diseases and deformities, such as deafness on the left ear, epilepsy and possible sterility. As the diseases and deformities are not recorded in Plutarch's *Lives of the Caesars*, Shakespeare's such adaptation touches the issue of ethics of historical literature writing, particularly the ethics in writing historical figures. In our view, although the bard may be not correct ethically in adapting Plutarch's historical work, the diseases and deformities from which Shakespeare portrays Caesar to suffer nevertheless reflect the historical brain text of the English people in the 16th and 17th centuries, which are metaphor of body politic and demythologization of Caesar, and they represent Shakespeare's own ethical politics, namely, his support of republicanism and attack against despotism.

Keywords: Shakespeare; *Julius Caesar*; metaphor of disease; brain text; political ethics

Authors: Zhang Baike is Associate Professor at the School of Foreign Languages, Luoyang Institute of Science and Technology (Luoyang 471023, China). Her research focuses on foreign literature and culture. Tian Junwu (Corresponding author) is Professor at the School of Foreign Languages at Beihang University (Beijing 100191, China). His research is mainly focused on foreign literature and comparative literature (Email: tjw1966@163.com).

标题: 论威廉·莎士比亚《裘力斯·凯撒》中的疾病隐喻、历史书写的伦理违背和共和主义政治伦理

内容摘要: 莎士比亚的罗马历史剧《裘力斯·凯撒》充满了疾病和残疾的描述，一个历史上威震四方的罗马将军和统治者，在莎士比亚的笔下被塑造成一个患有多种疾病和残疾的可笑人物，例如左耳失聪、癫痫以及可能的不孕症。这部历史悲剧改编于古罗马历史学家普鲁塔克《希腊罗马英豪传》中

的《凯撒传》部分，而《凯撒传》中基本没有关于凯撒身体疾病和残疾的记录。莎翁在改编中让凯撒患有各种疾病和残疾，涉及到历史文学书写和改编中的伦理问题。笔者认为，尽管莎翁的改编有违历史真实，但这些疾病反映了16、17世纪英国民众的脑文本，即对凯撒的身体政治和祛魅化的隐喻，表达了莎士比亚的伦理政治观，即拥护共和，反对独裁。

关键词：莎士比亚；《裘力斯·凯撒》；疾病隐喻；脑文本；政治伦理学

作者简介：张柏柯，洛阳理工学院外国语学院副教授，研究方向为外国文学与文化；田俊武（通讯作者），北京航空航天大学外国语学院教授，主要从事外国文学与比较文学学研究。本文为北京航空航天大学“西方文论精品课项目”【项目批号：12112302】的阶段性成果。

In William Shakespeare's historical drama, *Julius Caesar*, the titular hero Julius Caesar is depicted to suffer from diseases and deformities, such as deafness on the left ear, epilepsy and possible sterility by his wife. Did the historical Julius Caesar really contract these deadly diseases or were they merely fictionalized by Shakespeare? For these questions, some scholars have different opinions. For instance, Terence Cawthorne holds that Julius Caesar in Shakespeare's titular play had epilepsy and Meniere's Disease whose symptoms are typically exemplified by unilateral deafness and "falling sickness" (1442). Cedric Watts shares the same idea with Terence Cawthorne, saying that "Caesar is also subject to the 'falling sickness', evidently some form of epilepsy" (49). These affirmative conclusions, of course, can find their evidences in this play. The question is, whether Shakespeare's plausible descriptions of Caesar's diseases are historically true, in comparison with the Caesar in Plutarch's *Lives of the Caesars* or the real Caesar in history. If Julius Caesar as a historical figure suffered from those diseases, how could he have become a renowned general, politician, scholar and even dictator of the Roman Empire? If Caesar is falsely represented by Shakespeare, then does the bard's re-writing violate the literary ethics of adaptation, with that of historical literature in particular? What is Shakespeare's political ethics when he purposefully uses metaphors of body politic? To answer these questions, the historical environment in which Julius Caesar and Plutarch lived is to be considered. Just as Nie Zhenzhao says about ethical environment,

Ethical literary criticism pays particular attention to the analysis of the ethical environment, which comprises the historical conditions for the production and dissemination of literature. Ethical literary critics are thus exhorted to set their

study in a certain historical context. In other words, they need to investigate literature in a given ethical environment. Historically speaking, literature is only a part of human civilization and human history. It cannot work without history or be disconnected from history. Literature in distinct historical periods has its own specific ethical environment and ethical context. Hence the basic premise for studying literature is to read it against a particular ethical environment and ethical context. Since literature is produced in a certain historical context, any changes of its ethical environment in our criticism will necessarily lead to misreading and misjudgment. (Nie, “Towards an Ethical Literary Criticism”⁹¹)

Political Ethics and Truth of Historiography in Plutarch’s *Lives of the Caesars*

“The underlying protest is against Shakespeare as a mere player who muscled into the craft of the playwright, arrogantly taking it upon himself to imitate or appropriate or pad out the plays of the established dramatists” (Jowett 7). John Jowett’s words indicate that the bard seemed to have never invented a story by himself but just to have adapted or rewritten plots from the works of his predecessors or contemporary writers. For instance, *Hamlet* is rewritten from an earlier play known as *The Source of Hamlet* or *Ur-Hamlet* (Satin 385). *Romeo and Juliet* derives its plot from Arthur Brooke’s *Tragical History of Romeus and Juliet* (1562), a long poem. *Julius Caesar* is no exception. This historical tragedy is mainly adapted from Plutarch, whose “account of the death of Julius Caesar at the hands of the republican conspirators Brutus and Cassius provided Shakespeare with a story ideally suited to his dramatic intents” (Taylor 301). Since Plutarch’s *Lives of the Caesars*, like Sima Qian’s *Records of the Grand Historian*, is both read as history and literature because of its values of historiography and literature, to study the historical environment of its production is also to study the ethical environment of its production, with particular consideration of Plutarch’s political ethics in writing the book.

Plutarch was born in Chaeronea, a Greek town which had been colonized by Romans for two centuries. This post-colonial situation of his home town provided Plutarch with full access to Roman culture and politics, and his travel to and stay in Rome engaged “his personal contacts with Romans” which “would have enriched his general knowledge of Roman customs, traditions, and practices” (Stadter, *Plutarch and Rome* 16). *Roman Questions*, a work written after the death of Domitian in 96 CE, evidently indicates that Plutarch “had immersed himself not only in Roman history but its antiquarian lore” (Stadter, *Plutarch and His*

Roman Readers 11). *Lives of the Caesars*, which treated the eight emperors from Augustus to Vitellius, is “the first known work to have presented Roman history as a series of biographies, directing attention especially to the character and actions of the emperors” (Stadter, *Plutarch and Rome* 18). In writing the biographies of the Roman emperors, Plutarch expresses his own political ethics. Political ethics, according to Dennis F. Thompson, refers to “the practice of making moral judgment about political action” (1), and it is divided into two branches: one is the ethics of process focusing on the moral behaviors of political officials, and the other is the ethics of policy concentrating on the moral judgments about the policies and laws made by the political officials. Both branches draw on moral and political philosophy, concerning on whether a political state is democratic or dictatorial, or whether a politician is utilitarian or altruistic. Influenced by Plato and Aristotle’s theory of politics, Plutarch developed his own political ethics, regarding that “politics is a business of uttermost importance, of pivotal significance for human life. Politics [...] is for him a, or better still, the essential human activity, a fundamental being of civilized people” (Wzn 5). Guided by his political ethics, Plutarch

wished to write history with a philosophical cast, giving attention to moral values and to general issues of just government, according to ethical principles found also in his essays and dialogues. Plutarch held the Platonic view that a monarch should be devoted to the welfare of his people and establish justice, harmony, and peace in his kingdom. (Stadter 18)

Although this biographical book contains many supernatural phenomena commentating upon political events in ancient Rome and expressed his moral criticism on Roman emperors, it generally remains historically accurate in recounting the lives of historical characters. As Chrysanthos Chrysanthou utters, “Plutarch stresses the truth—that is, neither excessive praise, nor excessive blame—which should lie at the core of his narrative” (130). Despite his neutral attitude towards historical figures, Plutarch still eulogizes Caesar’s personality and military efforts:

And now for him selfe, after he had ended his civill warres, he did so honorably behave him selfe, that there was no fault to be founde in him: and therefore me thinkes, amongst other honors they gave him, he rightly deserved this, that they should builde him a temple of clemency, to thanke him for his curtesie he had used unto them in his victorie. (Plutarch 78)

As for Caesar's diseases and deformities, Plutarch only says that he had a usual attack of headache, which was a common ailment in ancient Rome. "For concerning the constitution of his body, he was lean, white, and soft skinned, and often subject to headache, and otherwise to the falling sickness [...] but yet therefore yielded not to the disease of his body" (qtd, in Spencer 37). Living in ancient Rome for a long time and having been very familiar with the Roman historical figures, Plutarch was more authentic than later historians in writing the Roman history.

Violation of Historical Writing Ethics, Brain Text of Body-Politic Metaphor and Demythologization of Caesar

Then why did Shakespeare invent other diseases and endow them to Caesar? For these fabricated plots in *Julius Caesar* and his other historical plays, Shakespeare was sometimes criticized by critics from Ben Johnson to the present, particularly by Thomas Rymer, who accused Shakespeare of "abuse of history" (Rymer 147). In the view of Rymer, Caesar and Brutus were above Shakespeare's "conversation," and "to put them in Fools Coats, and make them Jack-puddens in the Shakespeare dress, is a Sacrilege" (148). Rymer's words indicate that in rewriting Plutarch's *Lives of the Caesars*, Shakespeare violates the ethics of historical fiction writing. In the ethics of historical writing,

the use and abuse of anachronism are often seen as the quintessence of the writing of history. Historians tend to conceive it as the hardcore of their métier to avoid anachronism. It designates confusion in order of time, especially the mistake of placing an event, attitude or circumstance too early. (Verbeeck 181)

Although historical literature permits fictional elements and is not exactly equivalent to historiography, it is still required to follow the basic ethics of historical writing, namely, to be truthful to historical events and historical figures. However, Shakespeare's deliberate violation of historical writing ethics in *Julius Caesar* is *métier métier métier* nearly everywhere. Besides portraying Caesar as a senile despot afflicted with diseases and deformities, Shakespeare even characterizes the ancient Rome with the scenes of London of his time, including the notorious London clocks.

As "*Julius Caesar* is a play that enacts the events of an earlier culture within the ethical consciousness of a latter one" (Roe181), Shakespeare's deliberate or inadvertent fallacies in appropriation of historical recourses are even fascinated by

his contemporary English audiences. As is recorded, since it was firstly performed in the “straw-thatched” Globe Theatre on September 11, 1599 (Schanzer 466), *Julius Caesar* “remained in the repertoire of Shakespeare’s company [...] even up to nearly 40 years later. Its theatrical life was vigorous throughout the history of the seventeenth- and eighteenth- century theatre” (Ure 12). To this paradoxical phenomenon, some scholars’ explanation is that by portraying Caesar in such an anti-hero way, Shakespeare clinked with the audience of the Elizabethan era. For instance, Simon Jarvis holds that “Shakespeare was an actor in a day when actors were low, was required to cater to the taste of low audiences” (94). Jarvis’ assertion fails to explicate the true reason of Shakespeare’s blasphemy of Caesar and it can only vulgarize this great historical tragedy into a play of low interest. In our view, Shakespeare’s deliberate anachronism and its wide reception among the English audiences at that time reflected the historical brain text of the English people in the sixteenth and seventeenth centuries. Brain text, according to Nie Zhenzhao, “can be defined as memory stored in the human brain. As a peculiar biological form, the brain text contains human beings’ perception and cognition of the world stored in memory. Brain texts can be recollected through memorization, represented via auditory organs, and transformed into written texts that usually take the form of materials such as paper, rock, pottery, metal, and so on” (Nie, “Ethical Literary Criticism: A Basic Theory” 194). Brain texts are not innately born, but are influenced by social environment and human ideology.

One historical brain text of the English people in the sixteenth and seventeenth centuries was the metaphor of body politic. According to George Lakoff and Mark Johnson, “Metaphor is for most people a device of the poetic imagination and the rhetorical flourish—a matter of extraordinary rather than ordinary language” (Lakoff & Johnson 3). In explicating their theory of metaphor, Lakoff and Johnson list some famous conceptual metaphors, such as “life is a journey” and “a state is a person.” Even before Lakoff and Johnson, Susan Sontag, an American writer, philosopher and political activist, had studied the metaphorical meanings of diseases in politics, asserting that “illness has always been used as metaphors to enliven charges that a society was corrupt or unjust” (Sontag 72). Sontag’s such assertion, as a matter of fact, is the idea of body politic, a medieval metaphor that likens a nation to a corporation (Olwig 87). In Ancient Greece, Plato might be the first to analogize a city-state to a human body, saying “Is not that the best-ordered state...which most nearly approaches the condition of the individual—as in the body? (350) To Plato, “The creation of health is the institution of a natural order and government of one by another in the parts of the body; and the creation of disease is the production of

a state of things at variance with this natural order” (330). In the Roman period, Plato’s idea of body politic was inherited by Cicero, who compared the Roman Republic to a body weakened by disease. In the Medieval Times, body politic found its new expression in Christian thinkers represented by Saint Paul, Saint Augustine and Thomas Aquinas, who transformed the social and political body into that of Christ and the Church. In their eyes, “The body politic, which can be likened to the physical body of Christ...is not merely similar, it is the body of Christ” (Barkan 69). Also in the Medieval Times, political thinkers like John of Salisbury, John Fortescue, Christine de Pizan and Marsilius of Padua all inherited and developed the theory of body politic, agreeing that the health of a political community relies on the mutual cooperation of the diverse institutional organs and disorder among these parts cause disputes and even rebellion. According to Benard J. Dobski and Dustin A. Gish, such theories of the body politic proliferated in Shakespeare’s own times, in the treatises of English commonwealth men...and in the rhetoric of the monarchs and their ministers. The age of Shakespeare, therefore, was ripe with discussion of the body politic as one of the most significant political metaphors for describing England’s constitution and dissecting the constituent parts of the political community, both to diagnose its illness and to celebrate its corporate health as justice. To view the ageing Elizabethan monarchy as a metaphor of body politic had become the common brain text of the English people at that turbulent era (8-10). As a playwright for the royal court as well as a popular dramatist, Shakespeare could hardly be unaware of the brain text of the English people, which found its outside representations in political rhetoric and debate about the dethronement of the English monarchy.

Another brain text of the English people in the sixteenth and seventeenth centuries was the demythologization of Caesar. After his death, Caesar was deified as a god and Caesarian temples were erected in Rome. Not only Octavian the first emperor of Roman Empire chose “Caesar” as his imperial title, but the other emperors after him all followed suit. Even poets of the so-called Golden Age, such as Horace, Ovid and Virgil were demanded to eulogize Caesar. For instance, in his epic *Aeneid*, Virgil not only connects Caesar as the descendant of the hero Aeneas, the son of goddess Venus, but also describes Aeneas’s visit to the Underworld, where he is told by his father Anchises that the future rulers of Rome would be Julius Caesar and Augustus. “Now turn the twin gaze of your eyes this way, and look at that family, your own true Romans. For there is Caesar, and all the line of Iulus, who are destined to reach the brilliant height of Heaven” (Virgil 171). From late Antiquity to the thirteenth century, deification of Caesar continued and reached

its height in Francesco Petrarca and Dante Alighieri. For instance, as a poet who supported imperial government, Dante eulogizes Julius Caesar for his taking control of the Empire by both the will of God and the will of the Roman people (*Armour* 40), and he severely punishes Brutus and Cassius, the major assassins of Caesar, by making them suffer forever in the *Inferno*. However, since the publication of *Vindiciae contra Tyrannos* in France in 1579, deification of Brutus as an anti-despotic hero and demythologization of Caesar happened in France and gradually spread in Great Britain, imperceptibly became the brain text of the British people, until they were transformed into out-open political principles of republicanism.

Fully aware of the brain text of the English people regarding metaphor of the queen's ageing body as a deteriorating nation-state and the brain text of anti-Tudor dynasty in his time, Shakespeare naturally did not forget to represent them in his drama, particularly his English and Roman historical plays. In Shakespeare's time, although the Tudor Dynasty was in its heyday, Queen Elizabeth I came into the twilight of her life, ageing and having no heir to her throne. The Queen's dotage and possible death with no lawful successor to her throne served as a vivid metaphor of the national morbidity at that time, "a moment of acute political turbulence; a period of social upheaval, often shorthanded by cultural historians as the crisis of 1590s" (Joughin 6). The whole nation was out of order and was prevalent with intellectual thinkers' heated discussion of republicanism, court factional struggles, political assassinations and aristocrat rebellions, among which the most famous event was Earl Essex's rebellion against the ageing Queen. Though an aristocrat rebellion, it was done under the banner of political ethics of republicanism, namely, the rebellion was for the sake of the English people. On the eve of rebellion, Earl Essex and his gang were said to have fervidly read the works written by Roman republican historians and regarded the Roman republicanism as the political ideal of the British aristocrats.

Though being merely an actor and playwright, Shakespeare harbored his own political ethics. "To Shakespeare, then, 'politics' signified the ethics and art of government, the moral management of civil affairs" (Friesner 166). According to Shakespeare, if a king or queen can not manage the state affairs because of his/her dotage or ill health, or if he/she manages the state affairs in immoral ways, then people has the right to overthrow him/ her. Shakespeare's such political ethics is in essence republicanism. Besides being influenced by the social brain texts of body politic and demythologization of Caesar, Shakespeare's republicanism also had something to do with the brain text of his family background. According to Richard Wilson, when Shakespeare was 19 years old, his family was "fatally entangled

with in a conspiracy to assassinate the Queen” (Wilson 2). John Somerville, Shakespeare’s cousin in his mother’s clan, was selected by the Throckmorton Plot to shoot the Queen, but he committed suicide after the failure of the assassination. Wilson further contends that “Shakespeare’s closeness to this suicidal conspiracy may explain how in his tragedy about assassination—Julius Caesar” (3). That means, the stories that Shakespeare heard about ancestors and relatives’ assassination of the Queen had, with time passing by, become the brain text of the bard, which was the direct cause of his political ethics of republicanism.

Metaphor of Body Politic and Shakespeare’s Political Ethics in *Julius Caesar*

As a tragedy about assassination, *Julius Caesar* implicitly expresses Shakespeare’s support of republicanism by dramatizing the great Caesar as an ailing protagonist. As a matter of fact, even before writing *Julius Caesar*, Shakespeare had already dealt with the political imagery between institutional “disease” and social “disorder” (Charney 41). The principle of “the king’s two bodies” advocated by the Tudor Dynasty made the symbolic relevance between the physical body of the king and the body politic more clear. That is to say, the physical disease of the king directly metaphorizes the political disease and disorder of the monarchy. In *Julius Caesar*, Shakespeare particularly dramatizes Caesar’s three physical diseases—his sterility from his wife’s side, deafness on the left ear and epilepsy. Firstly, Caesar’s sterility, or his inability of fathering children is represented through his ordering Antonious to touch the hand of his wife Calpurnia during the Lupercal holiday: “Forget not, in your speed, Antonious, to touch Calpurnia; for our elders say, the barren, touched in this holy chase, shake off their sterile curse” (Shakespeare 7-8). In Plutarch’s account, Caesar did have two children: a daughter by his first wife Cornelia and a son by Cleopatra. Shakespeare chooses to ignore this historical fact for the purpose of highlighting Caesar’s physical sterility and undermining his dynastic ambition. If a dictator fails to produce an heir, his regime is doomed to ephemerality.

Secondly, Caesar’s deafness on the left ear is represented through his dialogue with Antonious. “I rather tell thee what is to be feared. Than what I fear; for always I am Caesar... Come on my right hand, for this ear is deaf” (17). Caesar’s own mentioning of his left ear deafness can be regarded as Shakespeare’s another imaginative fabrication, since it nowhere appears in Plutarch’s *The Lives*. As a metaphor of body politic, Caesar’s deafness in the left ear signifies his political inability of listening to good advice and his vulnerability to flattery. He will just listen to what he thinks is right for him. To a despot, the right words are no more than the ones of servility and flattery, epitomized by Antonious’s saying “When

Caesar says ‘Do this,’ it is performed” (8) and Decius’ positive interpretation of Calpurnia’s nightmare of prophesying Caesar’s death at the Senate. If a political government fails to listen to both sides and only chooses to heed one side, then it will be benighted instead of enlightened.

Thirdly, Caesar’s possible suffering from epilepsy is dramatized through the dialogue between Casca, who says that Caesar “fell down in the marketplace, and foamed at mouth, at speechless” (18), and Brutus, who judges that Caesar “hath the falling sickness” (19). Since this disease is reported by Casca, a conspirator who harbors the same political hatred toward Caesar as Cassius does, its authenticity is subject to suspicion. As Shakespeare’s another sheer fabrication, the “epilepsy” helps to disenchant the Caesar myth that was prevalent since the Roman times. Viewed from a metaphor of body politic, Caesar’s epilepsy symbolizes that the dictator regime he pursued is vulnerable, easy to be physically and mentally destroyed. This metaphor is correspondently verified in the later process of assassinating Caesar. In Plutarch’s *The Lives*, the assassination of Caesar is breathtaking and terrifying. While in Shakespeare’s *Julius Caesar*, this action is done in an anti-climatic and ironic way. Before his being assassinated, Caesar delivers a speech about his powerfulness and invulnerability:

But I am constant as the northern star, of whose true-fix’d and resting quality there is no fellow in the firmament. The skies are painted with unnumber’d sparks...But there’s but one in all doth hold his place: So in the world; ‘t is furnish’d well with men. And men are flesh and blood, and apprehensive: Yet in the number I do know but one that unassailable holds on his rank, unshak’d of motion: and that I am he. (60)

However, the words are hardly out of Caesar’s mouth, when he is stabbed to death by Marcus Brutus and the other conspirators.

According to Richard Wilson, this play “uses Roman history in order to hold a mirror up to the state of Shakespeare’s England, and in particular, to reflect and reflect on, to identify and provide terms for imaging [...] the crisis of the aristocracy” (49). Many anachronistic scenes in *Julius Caesar*, though violating the ethics of historical writing, are purposefully portrayed by Shakespeare to remind the English audiences of associating the play with the situation of the contemporary England, such as the clocks that strike the hour and Caesar’s night gown. As far as the infirmities of Caesar are concerned, Shakespeare mean them as an innuendo of the ageing Queen Elizabeth I and the political disorder of the late Tudor Dynasty.

Caesar is sterile, and the Queen is ageing without an heir; Caesar favours Mark Antonius, while the Queen trusts unduly Earl Essex. Caesar suffers from epilepsy, while the Queen is bedridden with small pox (Whitelock 68). By dramatizing Caesar's physical infirmities and the subsequent assassination and social chaos, Shakespeare not only implicitly reflects the brain texts of the English people at his era, expresses his political ethics of supporting republicanism, but also warns the Tudor Dynasty by innuendo that the English people's brain texts of regarding the ageing monarch as a deteriorating state and demythologization of Caesar, once transformed into public political ethics and concrete political movements, social rebellion is sure to happen.

Works Cited:

- Armour, Peter. "Dante and Popular Sovereignty." *Dante and Governance*, edited by John Woodhouse. Oxford: Clarendon Press, 1997.
- Barkan, Leonard. *Nature's Work of Art: Human Body as Image of the World*. New Haven: Yale UP, 1975.
- Cawthorne, Terence. "Julius Caesar and the Falling Sickness." *Laryngoscope* 8 (1958): 1442-1450.
- Charney, Maurice. *Shakespeare's Roman Plays—The Function of Imagery in the Drama*. Cambridge, Mass.: Harvard UP, 1961.
- Chrysanthou, Chrysanthos S. "The Proems of Plutarch's *Lives* and Historiography." *Histos* 11 (2017): 128-153.
- Dobski, Richard J and Dustin A. Gish. "Shakespeare and the Body Politic." *Shakespeare and the Body Politic*, edited by Richard J. Dobski and Dustin A. Gish, Lanham, MD.: Lexington Books, 2013. 1-29.
- Friesner, Donald Neil. "William Shakespeare, Conservative." *Shakespeare Quarterly* 2 (1969): 165-178.
- Javis, Simon. "Alexander Pope." *Great Shakespearians Set II*, edited by Adrian Pool, Peter Holland. London: Bloomsbury Publishing, 2001. 68-116.
- Joughin, John H. "Introduction." *Shakespeare and Politics*, edited by Catherine M. S. Alexander, Cambridge & New York: Cambridge UP, 2004. 1-21.
- Jowett, John. *Shakespeare and Text*. New York & Oxford: Oxford UP, 2007.
- Lakoff, George and Mark Johnson. *Metaphors We Live By*. Chicago and London: the U of Chicago P, 1980.
- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Towards an Ethical Literary Criticism." *Arcadia* 1 (2015): 83-101.
- Olwig, Kenneth. *Landscape, Nature and the Body Politic*. Madison: U of Wisconsin P, 2002.
- Plato. *Apology, Crito, Phaedo, Symposium, Republic*, translated by Benjamin Jowett. New York: Walter J.

Black, 1942.

Plutarch. "The Life of Julius Caesar." Translated by Thomas North. *Narrative and Dramatic Sources of Shakespeare V The Roman Plays: Julius Caesar Antony and Cleopatra Coriolanus*, edited by Geoffrey Bullough. London: Routledge and Kegan Paul, 1964. 58-135.

Roe, John. "Character in Plutarch and Shakespeare: Brutus, Julius Caesar and Mark Anthony." *Shakespeare and the Classics*, edited by Charles Martindale. A. B. Taylor, Cambridge: Cambridge UP, 2004. 173-187.

Rymer, Thomas. *A Short View of Tragedy*. London: Scolar Press, 1693.

Satin, Joseph. *Shakespeare and his Sources*. Boston: Houghton Mifflin Company, 1966.

Sontag, Susan. *Illness as Metaphor*. New York: Farraus, Straus and Giroux, 1978.

Schanzer, Ernest. "Thomas Platter's observations on the Elizabethan stage." *Notes and Queries* 201n.s (1956): 465-467.

Spencer, Terence John Bew, ed. *Shakespeare's Plutarch: The Lives of Julius Caesar, Brutus, Marcus Antonius and Coriolanus in the Translation of Sir. Thomas North*. Harmondsworth: Penguin Books, 1964.

Shakespeare, William. *The Complete Works of William Shakespeare in Twenty Volumes, with Annotations and a General Introduction by Sidney Lee, vol. 15*. New York: Harper & Brothers Publishers, 1908.

Stadter, Philip A. *Plutuch and His Roman Readers*. Oxford: Oxford UP, 2015.

—. "Plutarch and Rome." *A Companion to Plutarch*, edited by Mark Beck. Oxford: Blackwell Publishing Limited, 2014. 13-31.

Taylor, Myron. "Shakespeare's Julius Caesar and the Irony of History." *Shakespeare Quarterly* 3 (1973): 301-308.

Thompson, Dennis F. *Political Ethics and Public Office*. Cambridge, Massachusetts: Cambridge UP, 1987.

Ure, Peter. "Introduction." *Shakespeare: Julius Caesar, A Case Book*. London, Macmillan, 1969. 11-24.

Watts, Cedric. *Shakespeare's 'Julius Caesar': A Critical Introduction*. Morrisville: Lulu Com, 2016.

Verbeeck, Georgi. "Anachronism and the Rewriting of History: the South Africa Case." *The Journal for Trans-disciplinary Research in Southern Africa* 1 (2006): 181-200.

Virgil. *The Aeneid*, translated by W.F. Jackson Knight. London: Penguin Books, 1968.

Whitlock, Anne. *Elizabeth's Bedfellows: An Intimate History of the Queen's Court*. London: Bloomsbury Publishing, 2013.

Wilson, Richard. "Introduction." *Julius Caesar, atlas*, edited by Richard Wilson. New York: Palgrave, 2002. 1-28.

Wzn, Aalders H. *Plutarch's Political Thought*. Amsterdam, Oxford, New York: North Holland Publishing House, 1982.

《亡灵书》的生成启示与脑文本的呈现轨迹

The Revelations from the Formation of the *Book of the Dead* and the Traces of Brain Texts

吴 笛 (Wu Di)

内容摘要: 脑文本主要是相对于文学文本、影像文本等物质文本而言的,是一种非物质文本,是文学经典得以生成的重要步骤。本文以人类最早的书面文学《亡灵书》为例,探究经典生成中的脑文本的呈现。本文共分三个部分,第一部分认为,“万物有灵论”的理念出于对脑文本的感知,体现了人类最早的宗教意识,适应了伦理选择的需求,而且激发了大脑中的所具有的运动概念,继而使得运动画面逐渐成型,化为文本。本文第二部分认为,《亡灵书》的脑文本在依靠口口相传的同时,也竭力寻求文本转换,而纸草和象形文字是文本转换中的两个要素。本文第三部分则主要探究经典生成过程中的伦理需求和教诲功能。作为文学经典,《亡灵书》的伦理教诲功能更是充分说明,没有伦理,就没有经典,包括脑文本意蕴在内的伦理选择,在经典生成过程中的作用是极为重要的。

关键词: 《亡灵书》; 脑文本; 经典生成; 伦理教诲

作者简介: 吴笛,文学博士,浙江越秀外国语学院教授、浙江大学世界文学与比较文学研究所教授,主要从事英美文学、俄罗斯文学和比较文学研究。本文为国家社科基金后期资助重点项目“俄罗斯古代诗歌发展史”【项目批号:21FWWA002】阶段性成果。

Title: The Revelations from the Formation of the *Book of the Dead* and the Traces of Brain Texts

Abstract: The brain text, which is mainly relative to material texts such as literary texts and visual texts, is an immaterial text and a crucial step in the formation of literary classics. This paper takes *Book of the Dead*, the earliest written literary work, as an example to explore the presentation of brain text in the generation of classics. The first part of the paper argues that the concept of “animism” is based on the perception of the brain text, which reflects the earliest religious consciousness of human beings and adapts to the needs of ethical choices. The second part of the paper argues that the brain text of *Book of the Dead*, while relying on oral transmission, also strives for textual transformation, of which papyrus and

hieroglyphics are two elements. The third part of the paper, on the other hand, focuses on the ethical needs and didactic functions in the process of the generation of classics. As a literary classic, the ethical teaching function of *Book of the Dead* fully illustrates that there is no classic without ethics, and the role of ethical choices, including the meaning of the brain text, in the process of the formation of classics is extremely important.

Keywords: *Book of the Dead*; brain text; the generation of literary classics; ethical teaching

Author: **Wu Di**, Professor at Zhejiang Yuexiu University (Shaoxing 312000, China), Professor and Ph. D. supervisor at the Institute of World Literature and Comparative Literature, Zhejiang University (310058 Hangzhou, China). His research interests include English literature, Russian literature and comparative literature (Email: hzwudi@yahoo.com).

文学经典的价值是一个不断发现的过程，也是一个不断演变和深化的过程。文学经典正是在不断审视过程中，新的价值才不断呈现出来。而且，对经典的意义进行探索的过程，反过来又促使经典的传播。我们对古埃及的《亡灵书》（*Book of the Dead*）进行审视时，其流传的过程以及脑文本的作用是不可忽略的。作为人类最早的书面文学作品，《亡灵书》的生成过程，脑文本的呈现轨迹是显而易见的，正是脑文本的潜在的存在以及较长时间的口头流传，才为其后向书写文本的转换提供了可能，也为包括古希腊罗马以及古罗斯文学在内的口头诗歌的生成和流传提供了参照。

一、“万物有灵论”与脑文本的生成缘由

促使文学经典生成和流传的，并不只是情感表达方面的需求，更是伦理意识的作用。《亡灵书》生成过程中的脑文本形态，典型地说明了这一伦理需求。所谓脑文本，是指“存储在人的大脑中的文本”（聂珍钊，“脑文本和脑概念的形成机制与文学伦理学批评” 29），它“并不是人类文明初期或书写符号出现之前才有的文本形式，在文字出现之后，脑文本同样存在。只要人脑活动，就会不断地产生出各种各样的脑文本”（聂珍钊，《文学伦理学批评导论》 271）。脑文本主要是相对于文学文本、影响文本等物质文本而言的，是一种非物质文本。主要是指“以人的大脑为介质保存的记忆”（Nie, “Ethical Literary Criticism” 194）¹。尽管脑文本并非归属于人类文明的初期，但是，对人类文明初期文学经典的生成进行考量，更具典型性，也更能呈现脑文本的功能所在。这也是我们在此选择《亡灵书》进行论述的初衷所在。古代埃《亡灵

1 本文外文引文均出自笔者译。

书》是人类历史上最为古老的书面文学形式，大约产生于公元前3000多年至公元后的几百年间，其中最早的诗篇至今已有近5000年的历史。在古埃及的史前时期和古王国时期（前3200-前2280），就已经产生歌谣、祷文等文学体裁。但是由于仍然处于口头文学，其“记忆”特性尤为明显。更何况，在《亡灵书》中，“记忆”也同样赋予重要的功能。在题为《牢记本身，勿昧前因》的诗中，就强调了对自我要“念念不忘”的意义：“在巨星中，在火星中，/在清点年岁的暗夜中，/在清算岁月的暗夜里，/但愿还我我的本名！”（飞白52）

鉴于“脑文本是一种特殊的生物形态，是人的大脑以记忆形式保存的对事物的感知和认识”（聂珍钊，《文学伦理学批评导论》270），所以，脑文本之所以得以生成，其缘由是因为具有对事物的“感知”和“认识”，正是这些感知和认识的形成，强化了记忆，成为一种有别于其他动物的主导的思想。为加深对这些思想的记忆和认知，形成相应的反映，经过不断深化，逐渐形成脑文本，又经过口口相传，不断完善，成为基于脑文本的口头文本。在《亡灵书》中，这种作为脑文本生成缘由的思想意识，便是远古时代与人类伦理需求密切相关的处于原始状态的宗教意识“万物有灵论”（animism）。正是古埃及人的世界观“万物有灵论”，促使了诗集《亡灵书》的生成。其实，与原始宗教相关的还有“巫术说”。不过，从“巫术说”中虽然也可以发现人类早期诗歌（如《吠陀》等）与巫术之间的一定的联系，但巫术作为人类早期的重要的社会活动，对诗歌的发展所起到的也只是“中介”作用。更何况“经典”（canon）一词最直接与宗教发生关联。杰勒米·霍桑（Jeremy Hawthorn）就坚持认为“经典”起源于基督教会内部关于希伯来圣经和新约全书书籍的本真性（authenticity）的争论。他写道：“在教会中认定具有神圣权威而接受的，就被称作经典，而那些没有权威或者权威可疑的，就被说成是伪经”（34）。从中不难看出文学经典以及经典研究与宗教之间的关系以及相应的伦理需求。

“Animism”（万物有灵论）源自于拉丁语的“anima”，而“anima”意为“灵魂”（soul）或“生命气息”（the breath of life）。“万物有灵论”是指在一切物体中以及一切生物中都存在着处于支配地位的超自然的灵性，换句话说，这也就是人类最原始的宗教形式，但是，由于它是一种对现象的解释，所以也有论者认为：“与其将万物有灵论看作是宗教思想，不如说它是一种哲学思想”（Rose 237）。无论宗教还是哲学，其中的伦理意识是显而易见的。在《亡灵书》生成的古埃及，人们就已经具有这种朴素的或最原始的宗教观念或伦理意识，相信人在死亡之后，还有另一种生命的存活方式，《亡灵书》在某种意义上就是以另一种方式而存活的亡灵在下界的旅行指南。

“万物有灵论”这一术语最早是由德国医学家兼哲学家斯达尔（Stahl）提出的，所强调的生命之源与灵魂的关联，到了19世纪，爱德华·泰勒（Edward B. Tylor）继承了这一观点，在1871年出版的《原始文化》（*Primitive*

Culture) 中, 系统陈述了这一理论, 强调这是“关于灵魂的哲学”, 而“灵魂是生命之源”(404)。其后, 这一概念被系统论述, 威特利解释说: “传统术语万物有灵论, 是指非人类动物(甚至非动物, 如无生命的物体和灵魂)被赋予与人类相似的智力、情感和精神品质”(Willerslev 2)。

“万物有灵论”不仅体现了人类最早的宗教意识, 适应了伦理选择的需求, 而且正是“animism”这一意识, 激发了大脑中所具有的运动概念, 继而使得运动画面逐渐成型, 化为文本。万物有灵论者肯定某种形而上的实体的存在, 相信宇宙万物中所存在的灵魂, 与人类灵魂相互关联。这一关联, 不仅使得“静的物体”成为“动的物体”, 而且更使得无生命的物体具备有生命的概念。有学者在定义“万物有灵论”时, 认为“万物有灵论, 这是一个关于运动的问题”(Rooney 1)。这更是中肯地说明了“万物有灵论”这一思想概念与以运动为根基的“动画”之间所存在的关联。一部动画作品成功与否, 在很大的程度上取决于它是否具有动画的特定的“灵气”, 是否呈现“万物”之中的“灵”, 是否给观众造成一种“活灵活现”的印象。将平淡无奇的静态意象化为富有“灵气”动态画面的这一过程, 就是从“思想意识”到“活动画面”再到“艺术文本”的过程, 其中, 我们很容易感受到脑文本的存在以及在其中所发挥的鲜明的作用和呈现的轨迹。因为, “在认知过程中, 图像概念同声音概念一样可以进入思维过程, 也可以形成脑概念以及脑文本”(聂珍钊, “论脑文本与语言生成” 121)。

二、《亡灵书》的传播途径与脑文本转换的要素

作为古代埃及文学中最重要的作品《亡灵书》, 是古埃及人写在纸草上而置于死者陵墓中的诗作, 包括各种咒语、祷文、颂诗、歌谣等等。诗集中最早的创作, 是公元前 3500 年时的作品, 大部分则是公元前 2000 年到公元前 1800 年间的中王国时期的创作。这部作品之所以得以流传至今, 与古埃及特有的传播途径密切相关, 也与古埃及特定的历史文化和地理环境有关。

在古埃及的重要诗集《亡灵书》的生成与传播过程中, 由于为现世“亡灵”服务这一创作特性, 使得这部作品符合人们的精神需求。但是, 由于“通过口头表达的文学能够以口耳相传的方式复制成脑文本, 但是不能遗传。因此, (……) 脑文本都随着其所有者的死亡而永远地消失湮灭了”(聂珍钊, 《文学伦理学批评导论》 270), 所以, 《亡灵书》的脑文本在依靠口口相传的同时, 也竭力寻求文本转换, 脑文本“可借助陶片、纸草、龟甲、青铜、纸张等转化为以物质材料为载体的物质文本”(聂珍钊, 《文学伦理学批评导论》 17), 于是, 为了使其变为更难失传的物质文本, 古埃及人找到了纸草。作为介质的纸草就成为这一传播过程中一个得天独厚的重要媒介。纸草与象形文字是《亡灵书》文本转换过程中的两个要素, 正是这两个要素, 使得《亡灵书》不仅在当时发挥应有的作用, 而且也使得它得以流

传下来。

纸草 (papyrus, 英文 “paper” 即由此演变而来) 是古代尼罗河两岸沼泽中生长的植物, 类似于芦苇, 植物学上的学名为 “纸莎草” (哈里斯 175)。以纸草记录的文献称为纸草文献。它最初产生的时间已经难以考证。现存最早的纸草文献是从出土的公元前 3500 年埃及的木乃伊盒中发现的。一般认为, 公元前 25 世纪以后, 纸草成为古埃及人最主要的书写材料, 也是古代图书馆所藏文献的主要形式。纸草于公元前 5 世纪传入希腊, 后又传入罗马。

由于纸草是一种理想的书写材料, 古埃及人们才会乐意使用。正是因为有了这一特产, 古代埃及人得以创制纸草纸张, 使得重要文献资料得以保存和流传。于是, 古埃及的书面文学文本成为人类历史上最早的书面文本也就不足为奇了。古罗马作家普林尼强调了纸草对于人类生活的实质作用, 认为 “文明生活中的点点滴滴都极大地取决于纸草的运用” (Pliny 185)。在其重要著作《自然史》(*Naturalis Historia*, 又译《博物志》) 的第 13 卷第 22 章中, 普林尼详细记叙了纸草纸以及纸草文献的制作过程: 纸张是用纸草制作的, 纸草去掉外皮, 将主茎切成薄薄的长条, 并且尽可能地让薄片切得宽一些。高质量的薄片是最中心的部分。这些薄薄的长条随后放在平板上, 铺成两层。其中第一层所有的长条平行地横向铺展; 第二层则铺在第一层的上面, 所有的长条平行地纵向铺展。经过挤压, 纸草内的汁液被压了出来, 形成天然的胶水, 使得上下两层紧紧地粘在一起, 经阳光晾干后, 用象牙或者贝壳进行打磨, 便于书写, 然后把边缘修剪整齐, 就成为纸草纸。书写时, 把多张纸草纸粘接在一起, 便形成一个卷轴, 一般是由不超过 20 张纸草纸拼成的。¹

在纸草纸张尚未普及之前, 人们也尝试用其他材料书写, 普林尼在《自然史》中同样作了描述: “早期, 人们主要用棕榈的叶子来进行书写, 后来用树皮书写。随后的时代, 公共文件记载在铅块上, 私人的备忘录则记在亚麻布上, 或者刻在蜡版上” (Pliny 186)。

纸草文献为各国学者所重视, 以至于 19 世纪下半叶产生了专门的研究学科——纸草文献学 (papyrology)。“纸草的使用不仅在当时埃及流行, 而且后来还不断外传, 一度成为古希腊、古罗马乃至中世纪初期的主要书写材料” (文言 56)。当然, 纸草也曾在古代地中海东部地区大量使用, 而且在整个罗马帝国时代, 纸草仍是属于首位的书写材料。只是进入中世纪之后, 纸草的这种优势地位逐渐被羊皮纸所取代。“到公元 8、9 世纪, 随着中国造纸术西传和纸张的大量生产, 延续了 4000 年之久的纸草纸最终被造价便宜的纸张所取代” (令狐若明 276)。

在《亡灵书》生成与流传过程中, 或者说, 在其脑文本被表达出来, 进行

¹ See Pliny, *The Natural History of Pliny* vol. III, translated by John Bostock and H. T. Riley, London: G. Bell & Sons, 1898, 186-189.

文本转换过程中，其重要因素除了纸草，还有象形文字。“一般而言，借助人的发音器官进行口头表达和借助符号进行书写是表现脑文本的两种基本方法”（聂珍钊，“论脑文本与语言生成”115）。前述的纸草记录，便是将“借助人的发音器官进行口头表达”的脑文本记录下来一个基本方法，但是，仅有纸草这样的工具是不行的，还需要进行书写的“符号”。而使得《亡灵书》等重要文献得以流传的另一个重要因素是埃及象形文字（Egyptian hieroglyphs）这一书写符号。Hieroglyphs（希腊文单词ἱερογλύφος）是希腊语“神圣”（ἱερός）与“铭刻”（γλύφειν）组成的复合词，即“神的文字”。“古埃及的文字产生于公元前4000年左右，它脱胎于原始社会中的图画和花纹。当氏族中大部分人都能理解一个图画代表的意思时，这个图画也就开始向简单化发展，这个时候文字就产生了”（赵勇 157）。有学者把文字视为人类从野蛮进入文明状态的主要标志和“分水岭”（拱玉书 1）。

埃及象形文字是古代埃及人将语标和字母要素结合在一种书写体系。很多学者认为“埃及象形文字的产生略晚于苏美尔文字，而且（……）大概是在后者的影响之下得以产生的”（Sampson 78）。但也有学者指出，“这一直接影响的根据是不足信的”，而且声称“有可靠的证据说明埃及的书写是独立发展的”（Najovits 55-56）。但无论如何，从中可以看出，象形文字在脑文本转换过程中，呈现了其图像和声音两个方面的要素。

古埃及的著名诗集《亡灵书》得以认知和传播，与象形文字的破解以及翻译密切相关。《亡灵书》在中世纪就被人们重新发现，只不过人们对其内容无法破译。我们难以在此难以评述其破解过程。但是，有一点可以肯定，《亡灵书》的破译，与破译者逆转脑文本有关。也就是追溯《亡灵书》脑文本的发音构成以及图像构成，借助于与声音和图像相关的文字发展史，对其进行破译，形成新的脑文本，然后以新的语言文字记录下来。

《亡灵书》的第一部现代摹写是于1805年由拿破仑埃及远征队成员完成的。1822年，法国古典学者尚博良（J. F. Champollion）开始翻译象形文字，在前辈学者杨格（Thomas Young）的研究基础上，取得了重要突破，获得肯定。他考察了部分作为葬礼仪式用品的《亡灵书》纸草。1842年，莱普休斯（K. R. Lepsius）翻译了托勒密时代的手稿，以《亡灵书》为名出版。他还介绍了咒语编号方式，鉴别了165篇不同的咒语。

1875年至1886年，纳维尔（E. Naville）编辑了三卷集《亡灵书》，共186篇，包括插图以及变体，并且作了较为详尽的注解。

大英博物馆的华理士·布奇（E. A. Wallis Budge），所编撰的《亡灵书》，于1895年出版，1913年修订再版。该版本包括象形文字版和英文翻译，并且附有长篇导言，全书由《导言》和《译文》两个部分组成，译文部分共搜集《亡灵书》纸草37片，共186首，是一个较为流行的版本。

而艾伦（T. G. Allen）的英译本（1974）和福克纳（R. Faulkner）的英译

本（1972），语言更为流畅，还增添了得以鉴别的咒语，总数达到 192 首。

《亡灵书》在中文世界的翻译与传播，是由锡金开创的。锡金所译的《亡灵书》于 1957 年出版，该书在我国古埃及诗歌译介方面具有开拓性意义。全书篇幅不长，只有 45 页，共选 27 篇，每篇长短不一，内容繁杂，广泛描写了当时的人们热爱生命、崇拜神灵的思想意识和社会风貌。

锡金译本是从罗拔·赫里耶（Robert Hillyer）的英译本翻译的。赫里耶的英文译本是一个选本，总共 68 页，书名为《白昼的来临：埃及亡灵书诗选》（*The Coming Forth by Day: An Anthology of Poems from the Egyptian Book of the Dead*），于 1923 年出版。由于赫里耶是一位颇有成就的诗人，所以其译文诗意浓郁。锡金的译文则以忠实取胜，也较好地表现了英译者的精练与文采。自 1957 年至 20 世纪末，中国对《亡灵书》的认知，主要基于锡金译本以及飞白的数篇翻译。相对于锡金译本，飞白的译文显然更为流畅，亦更富有诗意，他一改锡金稍嫌笨拙的语句和原始粗犷的格律，译文措辞凝练，才华横溢，格律严谨，结构匀称，适合现代读者研读。

进入 21 世纪之后，对《亡灵书》的译介进入了一个新的发展时期，大英博物馆的华理士·布奇所编撰的《亡灵书》，以及福克纳的《亡灵书》都先后翻译成中文出版。《亡灵书》在中文世界的传播，进一步奠定了其作为古代经典的地位。

三、《亡灵书》的伦理责任与教诲功能

尽管学者们总是声称，《亡灵书》是为亡灵而作的，但是并非仅限如此，作为由脑文本转换以及记录下来的文学经典，正如其他文学经典一样，其创作者和受众都是当时在世的人们，如果在墓中藏有《亡灵书》抄本，也只是一种流传的方式，至少，因“万物有灵论”的作用，墓中的人们也是被视为现实世界的组成部分，更何况所期待的是他们复归上界，获得新生。因此，《亡灵书》如同其他的文学作品，其伦理教诲功能是不可忽略的。对于这一点，美国学者麦克吉恩说得非常中肯，“当我们阅读小说，或观看戏剧和电影，或阅读诗歌和短篇小说的时候，会发生大量的伦理道德的思考和感受。实际上，毫不夸张地说，对于大多数人们而言，在这些作品中，特别是在当代文化中，获得伦理需求是他们的最基本的途径”（McGinn 174）。在《亡灵书》中，对太阳神喇神的赞颂，就表明了古埃及人有着自身的精神追求，有着崇拜的对象，如在《亡灵起身，歌颂太阳》中写道：

向你顶礼，喇神，你唤醒了生命！
你上升！你放光！现出辉煌容颜！
千年万代已逝去，不可计算；
千年万代将来到，你光照万年！（飞白 57）

《亡灵起身，歌颂太阳》共分七节，是《亡灵书》中最著名的一首颂歌，所歌颂的喇神（Ra）是埃及神话中的太阳神。由于喇神是审判亡灵的神之一，所以，亡灵必须学习喇神颂歌，而且，只有在喇神佑护之下，亡灵才能得到复生。所以，历经重重劫难的亡灵，为了超度复生，便向喇神祈求，便赞美太阳。颂歌的第一节，便是对喇神进行赞美，说他“众神之王”，是万物的创造者和人类的创造者，是他赋予了人们神圣的生命力。

在第二至第四诗节中，透过“祭司黎明”、“神风”等表现大自然的词语，可以感到，该诗中对赞美，已经突破了单纯对喇神赞美的范畴，而是对以太阳为象征的光明、完美与生命力的礼赞。第五至第七诗节中，则是从时间的意识上对喇神赞美：“你创造时间，你又超越时间”（飞白 55）。从而赋予喇神以超越时间、拯救亡灵的神力。

作为抒写死亡主题的诗篇。我们从中可以看出：从人类最早的诗作起，描写死亡的诗篇主要是从生的意义上来探讨死亡的，是以死亡主题来追求生命意义，表达对生命意义的关注。其实，经典的生成缘由与情感传达和审美需求也是密切相关的。主张“摹仿说”的，其实也包含着思想传达的成分。“摹仿说”始于古希腊哲学家德谟克利特和亚里士多德等人。德谟克利特认为诗歌起源于人对自然界声音的模仿，亚里士多德在《诗学》中写道：“一般说来，诗的起源仿佛有两个原因，都是出于人的天性”（亚里士多德 11）。“情感说”认为诗歌起源于情感的表现和交流思想的需要。这种观点揭示了诗歌创作与情感表现之间的一些本质的联系，但并不能说明诗歌产生的源泉，而只是说明了诗歌创作的某些动机。世界文学的发展历程也得以证明，人类最早出现的文学作品应是口头流传的劳动歌谣。劳动歌谣是沿袭劳动呼声的样式而出现的。劳动呼声是人们在集体劳动中所发出的有节奏的呐喊。这种呐喊既有协调动作，也有情绪交流、消除疲劳、愉悦心情的作用。这样，劳动也就决定了诗歌的形式特征以及诗歌的功能意义，使诗歌与节奏、韵律等联系在一起。由于伴随着劳动呼声的，还有工具的挥动和身姿的扭动，所以，原始的诗歌的一个重要特征便是诗歌、音乐、舞蹈这三者的合一（三位一体）。朱光潜先生就曾指出中西都认为诗的起源以人类天性为基础，认为诗歌、音乐、舞蹈原是三位一体的混合艺术，其共同命脉是节奏。“后来三种艺术分化，每种均仍保存节奏，但于节奏之外，音乐尽量向‘和谐’方面发展，舞蹈尽量向姿态方面发展，诗歌尽量向文字方面发展，于是彼此距离遂日渐其远”（朱光潜 11）。这也从一个方面说明，文学的产生是情感交流和愉悦的需要，更是出于自然选择之后的伦理选择的需求。“单纯的审美本质主义很难解释经典包括文学经典的本质”（阎景娟 1）。

经典的生成缘由与伦理教诲以及伦理需求有关。在《亡灵书》中，无论是对神的赞颂还是对神的诉求，很多内容是出于伦理需求，具有教诲的功能。

如在第十三章中，书中先是表达对神的赞颂：“啊！尊崇的大神，你居住在玛阿特神殿，你心中蕴藏正义和真知（……）”（布奇 288）。接着，提出了自己对神的诉求：“请别让罪恶靠近我，我从来生活在真知中，我做了神灵所喜欢的事，我遵从神律，做神灵希望的事。我把面包送给饥饿者，我把饮水送给干渴者，我把寒衣送给无衣者，我把渡船送给过河者，我把祭品献给神灵，我把蛋糕送给亡灵”（布奇 288）。在《亡灵书》的这些对神的诉求中，很多内容所涉及的是伦理的内涵，是做人的道德规范，所发挥的是伦理教诲的功能。

从人类最早的文学经典，就可以看出，文学的伦理价值是文学与生俱有的。从文学经典中得到教诲，无疑也是文学经典得以存在的一个重要方面。正如聂珍钊教授所说，“文学经典的价值在于其伦理价值，其艺术审美只是其伦理价值的一种延伸，或是实现其伦理价值的形式和途径。因此，文学是否成为经典是由其伦理价值所决定的”（聂珍钊，《文学伦理学批评导论》142）。且不说《亡灵书》具体的内容充满了伦理告诫的成分，就是整体构思，也是渗透着“学以成人”的伦理教诲理念。按照《亡灵书》的整体结构和基本内涵，现在编辑成书的《亡灵书》，由近两百篇组成，每篇长短不一，内容繁杂，广泛描写了当时的人们热爱生命、崇拜神灵的思想意识和社会风貌。在古埃及人看来，人不仅灵魂不灭，而且具有身后的生命，第一次在世上死亡之后，灵魂经由瀑布进入下界，如果能够在下界经过种种劫难、度过重重难关，就能够复归上界，回到原身之中，得以再生。而且，进入下界的目的，是为了经过洗礼，得以净化，复归上界，达到更高的境界，这其实就是传达一种伦理追求。所以，该书中对亡灵的一切指示和引导，实际上就是在规划自出生起始的人生历程，贯彻“学以成人”的使命。

可见，《亡灵书》的生成，本身就是出自伦理选择的需求。伦理教诲的功能在一部文学作品中极其重要。正是人们所需的这种伦理选择，才使得人们企盼从《亡灵书》这样的文学经典中获得对于人生奥秘的探究，获得人生历程的答案和教益，这也是文学经典具有经久不衰的艺术魅力的一个重要原因。

文学经典的生成与伦理选择以及伦理教诲的关联不仅可以从《亡灵书》等文学经典中深深地领悟，而且还可以从古埃及的其他作品中领悟。古埃及的不少作品的产生，都是源自于教诲功能的需求。埃及早期的自传作品中，就有强烈的教诲意图。如《梅腾自传》《大臣乌尼传》《霍尔胡夫自传》等，大多陈述帝王大臣的高尚的德行，或者炫耀如何为帝王效劳，并且灌输古埃及人们心中的道德规范。“这种乐善好施美德的自我表白，充斥于当时的许多自传铭文之中，对后世的传记文学亦有一定的影响”（令狐若明 286）。当然，相比自传作品，古埃及的《亡灵书》所具有的“学以成人”的成分更为具体，内容都涉及到包括生命与死亡的社会伦理内容的方方面面，直接体现了文学所具有的

伦理教诲功能。

结语

综上所述，作为人类历史上的第一部书面文学的《亡灵书》，在其生成过程中，脑文本的形成轨迹及其作用是显而易见的。构成这部作品思想基础的“万物有灵论”，也是脑文本意识的一种原始呈现。“脑文本借助人的视觉、听觉和感觉将人的意识转换成记忆符号，存储在大脑里。人听见的声音，看见的图像，感觉到的事物和状态，都可以转换成记忆符号，变成存储在大脑中的信息，构成脑文本”（聂珍钊，“文学伦理学批评：口头文学与脑文本” 11）。而纸草和象形文字是文本转换中的两个积极要素。作为文学经典，《亡灵书》的伦理教诲功能更是充分说明，没有伦理，就没有经典，包括脑文本意蕴在内的伦理选择，在经典生成过程中的作用是极为重要的。

Works Cited

- 亚里士多德：《诗学》。北京：人民文学出版社，1962年。
 [Aristotle. *Poetics*. Beijing: People's Literature Publishing House, 1962.]
- 布奇：《埃及亡灵书》，罗尘译。北京：京华出版社，2001年。
 [Budge, E. A. Wallis. *The Egyptian Book of the Dead*, translated by Luo Chen. Beijing: Jinghua Publishing House, 2001.]
- 飞白：《诗海——世界诗歌史纲》。桂林：漓江出版社，1989年。
 [Fei Bai. *The Sea of Poetry: An Outline of the History of World Poetry*. Guilin: Lijiang Publishing House, 1989.]
- 拱玉书等：《苏美尔、埃及及中国古文字比较研究》。北京：科学出版社，2009年。
 [Gong Yushu et al. *A Comparative Study of Sumerian, Egyptian and Chinese Ancient Writings*. Beijing: Science Press, 2009.]
- 哈里斯：《埃及的遗产》，田明等译。上海：上海人民出版社，2006年。
 [Harris. *The Legacy of Egypt*, translated by Tian Ming et al. Shanghai: Shanghai People's Publishing House, 2006.]
- Hawthorn, Jeremy. *A Glossary of Contemporary Literary Theory*. London: Oxford UP, 2010.
- 令狐若明：《埃及学研究：辉煌的古代埃及文明》。长春：吉林大学出版社，2008年。
 [Linghu Ruoming. *A Study of Egyptology: The Glorious Ancient Egyptian Civilization*. Changchun: Jilin UP, 2008.]
- McGinn, Colin. *Ethics, Evil and Fiction*. Oxford: Clarendon Press, 1997.
- Najovits, Simson. *Egypt, Trunk of the Tree: A Modern Survey of an Ancient Land*. New York: Algora Publishing, 2004.
- 聂珍钊：“论脑文本与语言生成”，《华中师范大学学报》（人文社会科学版）6（2019）：115-121。

- [Nie Zhenzhao. "On Brain Text and Language Generating." *Journal of Central China Normal University (Humanities and Social Sciences)* 6 (2019): 115-121.]
- : "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- : "文学伦理学批评: 口头文学与脑文本", 《外国文学研究》6 (2013): 8-15.
- [—: "Ethical Literary Criticism: Oral Literature and Brain Text." *Foreign Literature Studies* 6 (2013): 8-15.]
- : "脑文本和脑概念的形成机制与文学伦理学批评", 《外国文学研究》5 (2017): 26-34.
- [—: "The Forming Mechanism of Brain Text and Brain Concept in Theory of Ethical Literary Criticism." *Foreign Literature Studies* 5 (2017): 26-34.]
- : 《文学伦理学批评导论》。北京: 北京大学出版社, 2014年。
- [—: *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]
- Pliny. *The Natural History of Pliny* vol. III, translated by John Bostock and H. T. Riley. London: G. Bell & Sons, 1898.
- Rose, Herbert J. "Numen Inest: 'Animism' in Greek and Roman Religion." *Harvard Theological Review* 27 (1935): 237-257.
- Rooney, Caroline. *African Literature, Animism and Politics*. London: Routledge, 2000.
- Sampson, Geoffrey. *Writing Systems: A Linguistic Introduction*. Stanford: Stanford UP, 1990.
- 爱德华·泰勒: 《原始文化》, 连树声译。上海: 上海文艺出版社, 1992年。
- [Taylor, Edward B. *Primitive Culture*, translated by Lian Shusheng. Shanghai: Shanghai Literature and Art Publishing House, 1992.]
- 文言编: 《文学传播学引论》。沈阳: 辽宁人民出版社, 2006年。
- [Wen Yan, ed. *Introduction to Literary Communication*. Shenyang: Liaoning People's Publishing House, 2006.]
- Willerslev, Rane. *Soul Hunters: Hunting, Animism, and Personhood among the Siberian Yukaghirs*. Berkeley: U California P, 2007.
- 阎景娟: 《文学经典论争在美国》。北京: 社会科学文献出版社, 2010年。
- [Yan Jingjuan. *The Literary Classics Debate in America*. Beijing: Social Science Literature Press, 2010.]
- 赵勇编: 《古埃及文明读本》。北京: 中国档案出版社, 2005年。
- [Zhao Yong ed. *A Reader on Ancient Egyptian Civilization*. Beijing: China Archives Press, 2005.]
- 朱光潜: 《诗论》。北京: 生活·读书·新知三联书店, 1984年。
- [Zhu Guangqian. *A Treatise on Poetry*. Beijing: SDX Joint Publishing Company, 1984.]

罗伯特·彭斯投射在其诗歌中的伦理身份与伦理选择

Robert Burns' Ethical Identities and Ethical Choices Reflected in His Poems

李正栓 (Li Zhengshuan) 朱慧敏 (Zhu Huimin)

内容摘要: 罗伯特·彭斯的伦理思想在其诗歌中体现得淋漓尽致。彭斯的伦理身份映射在诗歌里, 诗中人物成为他的代言人。身为国民、爱恋者、农民, 彭斯在诗歌中体现了苏格兰人的民族选择、苏格兰人的爱恋选择、苏格兰农民坚守田园理想的选择。运用文学伦理学批评理论研究彭斯的伦理身份和伦理选择在其诗歌文本中的投射, 在促进彭斯诗歌国际传播、推动文化交流和实现世界文明互鉴等方面具有价值和意义。

关键词: 罗伯特·彭斯; 诗歌; 文学伦理学批评; 伦理身份; 伦理选择

作者简介: 李正栓, 河北师范大学外国语学院教授, 主要研究领域为英美诗歌、文学翻译与批评等; 朱慧敏, 河北师范大学外国语学院硕士研究生, 主要研究领域为英美文学、文学翻译。

Title: Robert Burns' Ethical Identities and Ethical Choices Reflected in His Poems

Abstract: Robert Burns' ethical thoughts are embodied incisively and vividly in his poems. His ethical identities are reflected in his poems and the figures in his poems become his spokesmen. As a Scot, person in love and farmer, he displayed the Scottish national choice, Scots choice of love, Scottish people's ideal of sticking to their land. The study of Burns' ethical identities and ethical choices reflected in his poems from the perspective of ethical literary criticism can facilitate the international communication of Burns' poems, promote cultural exchange and realize mutual learning between world civilizations.

Keywords: Robert Burns; poems; ethical literary criticism; ethical identity; ethical choice

Authors: **Li Zhengshuan** is Professor at the School of Foreign Studies in Hebei Normal University (Shijiazhuang 050024, China). His area of research focuses mainly on British and American poetry, literary translation and criticism (E-mail: zhengshuanli@126.com). **Zhu Huimin** is master candidate at the School of Foreign Studies in Hebei Normal University (Shijiazhuang 050024, China). Her area of research focuses mainly on British and American literature and literary translation (E-mail: zhuhuimin1999@126.com).

学界对罗伯特·彭斯（Robert Burns）诗歌的研究主要集中在诗歌翻译研究和诗歌文本研究两方面。其中，对彭斯诗歌文本的研究主要包括：挖掘彭斯诗歌的抒情性、民族性和革命性等。这些研究多赞许彭斯讽刺统治阶层和教会的深刻性以及彭斯鼓励世人争取民主、自由和平等的先进性。近年来，随着文学伦理学批评的发展与繁荣，学者开始重视对彭斯诗歌进行伦理研究。苏静和姚本标表示，作为农民诗人的彭斯用朴实的语言表达了他对人与自然的关系的道德态度以及对自然的伦理关怀。¹ 张景玲和郑佩伟从文学伦理学批评视角出发，结合彭斯诗歌文本分析其中蕴含的伦理道德思想，例如婚姻伦理观、爱情伦理观、自然伦理观、政治伦理观和善恶伦理观等。²

彭斯诗歌的语言很朴实，并无精雕细琢，却富含伦理价值和教诲意义，对世人具有启迪和警示作用，苏格兰人因此奉他为“national bard”（“国家诗人”，亦译“民族诗人”）。文学伦理学批评提示我们，应当在具体的历史伦理语境下分析彭斯的伦理身份（ethical identity）和伦理选择（ethical choice）对其诗歌创作的影响。伦理身份是指人在社会中所需承担的身份。聂珍钊指出，“伦理身份赋予了人所应当承担的责任和义务。伦理身份分类较多，如以血亲为基础的身份、以伦理关系为基础的身份、以集体和社会关系为基础的身份、以从事的职业为基础的身份等”（《文学伦理学批评导论》263-264）。彭斯拥有多种伦理身份：苏格兰人、种地的农民、被女子们喜欢的男人、用诗和歌表达情感的诗人等。伦理身份影响人的伦理价值观，进而影响其做出伦理选择。“伦理选择具有两方面的意义。一是指人的道德选择，即通过选择达到道德成熟和完善。二是指对两个或两个以上的道德选项的选择，不同选择有不同的伦理价值”（266-267）。从伦理选择的角度来看，彭斯本人与其在诗歌中塑造的人物非常相似，有着紧密的联系，都有爱国者、爱恋者、农民等身份，并且他个人的各种经历也在一定程度上映射在诗歌中人物的选择之中。本文试图探讨彭斯诗歌创作的历史伦理语境，剖析彭斯的伦理身份和伦理选择在其诗歌创作中的投射，研究彭斯诗歌创作的伦理思想。

一、苏格兰人的民族选择

彭斯的国民身份是以集体和社会身份为基础的身份。作为苏格兰人，彭斯无比热爱自己的国家，以苏格兰为荣，为自己苏格兰人的伦理身份而感到自豪，这无疑符合托宾·希伯斯（Tobin Siebers）所说的“伦理的核心乃对群体生活之渴望”（202）。因此，彭斯的诗歌，尤其是抒情诗，饱含民主爱国精神。其中，《苏格兰人》（“Scots Wha Hae”）一诗展示了饱满的苏格兰性，即苏格兰的方言和热爱苏格兰的思想。诗中写道：

1 参见 苏静、姚本标：“罗伯特·彭斯：自然中成长的诗人”，《宜春学院学报》2（2011）：82-84。

2 参见 张景玲、郑佩伟：“文学伦理学批评视野中的彭斯诗歌”，《中国外语研究》1（2016）：66-71+151。

凭着受压迫的苦难发誓！
为子孙不受奴役而发誓！
我们将血战到底，
但子孙必获自由！

打倒傲慢地侵略我们的人，
每杀一个敌人就少一个暴君！
每一次痛击都铸就自由之魂——
行动吧，要么就等死！（彭斯 140）

不难看出，在民族伦理的影响下，大众对普通国民道德的具体要求：为了国家的自由，必须血战到底。彭斯塑造了一位号召人们为保卫国家而战的人物，用富含伦理价值的诗歌，彰显他的爱憎和道德取向，鼓舞大众情感。作为一位苏格兰人，彭斯倡导人民为国家和人民的自由而战。这看似只是他个人的情感态度，实则也是族群的伦理态度，与社会伦理环境息息相关。在抗敌的关键时刻，苏格兰人民在伦理层面上有责任、有义务为国家效力并英勇作战。彭斯在《高傲的高卢人入侵可怕吗？》（“Does Haughty Gaul Invasion Threat?”）一诗中写道：

教会和国家的水壶
可能会有漏洞需要修补；
但是外国魔鬼坏蛋补锅匠
非要把漏洞给补上。
水壶是我们祖辈用鲜血换来的，
谁会乐意把它毁掉？
凭天起誓，这样冒犯天威的小人，
要化作烧水的柴禾被烧掉。（127）

彭斯通过诗中的人物，投射了自己作为苏格兰人的伦理思想，使诗歌人物做出选择：坚决捍卫国家的主权，对外敌进行批判，视他们为应被烧掉的柴禾，维护了民族伦理。其实，为国效力、维护国家利益不仅是彭斯的个人选择，还是苏格兰人民集体的选择。

“文学是特定历史阶段伦理观念和道德生活的独特表达形式，文学在本质上是伦理的艺术”（Nie 384）。彭斯从低地艾尔郡搬到高原，以高原作为第二故乡，产生了浓烈的高原情结，写下大量歌颂高原风光和高原男女的诗。他把对苏格兰的情义寄托在对高原的诗性书写上，表达了他对苏格兰土

地和人民的热爱。“诗歌的教诲不仅在‘道德层面’上见证真相，还在‘技术层面’上通过审美过程力图超越现实生活，在结构和形式上构成一个艺术伦理寓言”（蔡海燕 23）。彭斯赋予了高原特殊的情感和意义。他对苏格兰的爱在一定程度上表现于他在描写苏格兰高原时所运用的艺术手法，含蓄地表达了他的家国情怀。高原意象突出了彭斯诗歌的“乡土性”和“普适性”。彭斯善于寻觅和捕捉身边的美好。野鹿、野狗、高山、山谷、河滩、森林、野树、河流都有着苏格兰风情，这些家乡的自然景象使诗人联想到家乡的品德和勇士。在许多诗篇中，彭斯对苏格兰风光的描写是与对苏格兰英雄的赞颂一起进行的。正是基于此种苏格兰本土诗人的身份，彭斯对高原依依不舍，对高原的万物进行讴歌，为高原的勇士而自豪，并选择发出无论何时何地都永远不会忘记故乡苏格兰的宣言。彭斯类似这样的情感抒发在他的诗中比比皆是，形成他的一种抒情风格。彭斯诗歌中的高原意象也常与英雄形象联系起来。例如，彭斯在诗歌《高原少年》（“Highland Laddie”）中凸显了高原少年炽热的爱国之情。高原少年的英雄气概和斗争精神甚至能够撼动太阳，使太阳逆向运转，改变其固有规律，可见高原意象使少年的形象更加英俊和伟岸。身为苏格兰人，彭斯对高原英雄少年的高度赞扬也是他选择为苏格兰的独立与自由而斗争的体现之一。彭斯还写过多首含有依依惜别爱人或所爱之人勇赴战场为国家而战的青年的诗篇，呈现了人民为国奋战的选择，将其伦理思想进一步投射至诗歌中的人物，使之做出了符合伦理语境和伦理秩序的伦理选择。

彭斯也在诗歌中表达了自己对政党的意见。他在《走开，辉格党人，走开》（“Awa', Whigs, Awa'”）一诗中强烈表达了对辉格党的反感与厌恶，号召苏格兰人忠于国家、维护人民利益。辉格党由苏格兰长老会派教徒组成，推崇新教。光荣革命时期的法令在政治上庇护了辉格党，使之获得了充足的成长空间，壮大了起来。“辉格”原意指“强盗”，苏格兰人以此来对辉格党进行责骂，可见苏格兰人对辉格党的反对态度。“走开”这一字眼重复出现，表达了苏格兰人对辉格党的厌恶情绪。辉格党是叛徒，迫害了英格兰之王詹姆斯二世，邪恶地摧毁了昔日经济繁荣且国家兴旺的苏格兰。在辉格党人的一系列行动下，教会也受到了消极影响，使苏格兰由盛转衰。由此，诗人的政治倾向显而易见。彭斯是一位热爱祖国的人，其苏格兰国民身份使他处处为苏格兰着想，为苏格兰人民发声。诗歌人物的言语和行为刻有彭斯本人身份和选择的印记。彭斯倡议苏格兰人民速速清醒，站起来反抗和复仇。并且，彭斯号召大家相信上苍会为苏格兰人们带来希望，掀起由抑转扬、激昂的民主爱国热潮。当然，彭斯在强调国民应爱国与忠诚的同时，也突出了人民的重要性，警示当权者时刻牢记人民的贡献和功劳，维护人民的利益，勿忘人民，例如在《高傲的高卢人入侵可怕吗？》（“Does Haughty Gaul Invasion Threat?”）一诗中，彭斯通过诗句“但是不能把人民忘掉！”（127）强调人民的重要性，人民不应

被忽视。苏格兰人要谨记自己的国民身份，强化国家意识，恪守民族伦理，团结犹如一心，抵御一切外敌。同时，彭斯将其伦理思想映射至诗歌中，提醒当权者重视人民的力量，不然终会失去民心，迎来可悲的结局。这也是彭斯从国民身份出发得出的感悟，对人民和当权者同时敲响警钟，教诲当权者和民众都要遵从民族伦理，做出正确的利于国家长久稳健发展的选择。

二、苏格兰人的爱恋选择

彭斯性情浪漫，情感经历很多。作为诗人，他将自己在爱恋中进行的伦理选择投射在诗歌人物中，将其伦理思想呈现在诗歌作品里。他的诗歌中既有其在恋人身份下对倾慕者的个人小爱，也有在国民身份下对国家和民族的大爱，并将小爱和大爱结合起来，告诉读者在爱恋中如何选择才是符合伦理的。

彭斯在爱情诗中体现了其爱恋伦理观，阐明了男女在婚恋中应做出的选择。在《我沿那城堡根走过来》（“As I Cam Down By Yon Castle Wa”）一诗中，诗中的男子想用五百万镑打动诗中女子的心，但诗人笔下的这位女子不为所动，甚至表示用苏格兰王后的尊贵地位来引诱她也无法打动她。彭斯把花园意象和人的情感一起描写，花园里美女不为物质所惑，表现了女子的爱恋伦理：重情感、轻物质。这位女子的爱恋伦理同时也是彭斯本人的爱恋伦理在诗歌中的映射。身为农民的彭斯没有多少钱，若爱情需要金钱去换，彭斯会不堪其负，会难以获得爱情。因此，通过诗歌中这位女子的选择，彭斯在诗歌中巧妙地表达了自己对爱情的理解和看法，一定程度上表达了他对未来的期盼。彭斯表现了浪漫主义诗人的共同特点，即“将自然情感化，把情感（花园）意象化”（张箭飞 108）。花园一定程度上代表着质朴。在彭斯诗歌中，花园影响着身在花园内的女子，使她保留着质朴和纯真的品德，使她不被世俗钱财和权利所玷污和诱惑。是花篱墙在客观现实环境中阻挡了男子接近女子。其实，这堵花篱墙把男子和女子的思想差异实质化，表明男子和女子之间迥异的思想观念和价值观使他们分隔。所以，无论是身还是心，他们都存在着不可逾越的鸿沟。女子质朴自然的少女身份使她能够刚硬地拒绝金钱和地位的诱惑，做出符合她身份的理性行为，在人性因子（human factor）的作用下选择真挚的感情。彭斯在这首诗中通过女子的话语表达他自己的伦理思想，阐述他对女子的期待，希望女子符合伦理道德，做出正确的决定。不止女子，男子也抱有这样的爱恋伦理观。《她进来时鞠了躬》（“When She Cam Ben, She Bobbed”）一诗表达了宁娶贫家女、不要富家娇的思想，体现了质朴的爱恋伦理：不被外部钱财权动摇，勇敢追求内心真爱。比起金钱与权利，男子更看重女子的品质和行为。女子的衣衫虽不华贵却很精致，这也表现了女子手工精巧且辛勤劳作，男子深爱着这位脚踏实地的女子。彭斯借诗中这位男子的价值观和选择表明精神生活的重要性。男女双方作为爱恋中的人，不应囿于世俗钱权，应当关注内心

真实情感，看重内在的精神品质，追寻与自己所求相契合的爱人。这既是诗歌中这位男子的爱恋选择，也是彭斯的爱恋选择。彭斯借此诗教诲人们何为真爱，如何追寻真爱，做出无悔的爱恋选择。

彭斯在描写个人小爱的同时，也突出了他对国家与民族的大爱。这更能启发读者：对国家和民族的爱是最高的伦理之爱。彭斯擅长写爱，但并非仅仅因为其笔下的小爱而被众人关注，而是因为在写小爱的同时还结合了国家与民族大爱，尤其强调了个人的爱恋如何同对国家和民族的爱结合在一起，彰显了不凡的格局。一个只表现个人之爱而缺乏对国家和民族之爱的人是不会受青睐的。彭斯的许多诗表现了这样的情怀和伦理。他的《士兵归来》（“The Soldier's Return”）一诗堪称经典。在残酷的战争环境中，社会动荡，生灵涂炭，无数妇女和孩童痛失亲人。士兵威利（Willie）虽然贫穷，但具有诚实和忠诚的好品质，立志为祖国奉献自己。科伊尔的河岸有士兵心中所念的人，但国家和民族的危机正在逼近，战事迫在眉睫，士兵威利面对民族危机时，选择舍小爱，毅然决然选择背井离乡、前往战场、守护国家利益，即使自己可能在战场上为国捐躯也不犹豫、不退缩。同时，恋人南希（Nancy）也十分理解士兵威利的选择，对士兵这一群体极为尊重。面对故意伪装成陌生士兵的威利，南希热情欢迎：

她说：“我爱过一个当兵的，
永远也不能把他忘怀。
我们这卑微田舍和粗茶淡饭，
你尽可自由来享用。
看你那勇敢勋章和可爱的帽檐，
就凭这，你也受欢迎。”（165）

以勋章和军帽作为代表身份的信物，士兵便能受到百姓的关怀和爱戴，在民舍中享用米饭和茶水。士兵保家卫国、不怕牺牲的精神令民众肃然起敬、由衷爱戴。这是对英雄的崇拜，也是苏格兰民风的体现。彭斯在诗中刻画的女子南希是广大苏格兰人民的一分子，更是其代表，她的个人态度反映了苏格兰人民的集体态度：苏格兰人民心怀大爱，发自内心地爱戴着这些和平的守护者、国家利益的保卫者，自发地保障士兵的权益。南希爱威利和爱国家是一体的，有内在联系，体现了她的英雄观。由此可见，广大民众十分支持和理解这些离开家乡、保家卫国的士兵。南希认出这位士兵正是她日思夜想的恋人威利后，深情告白，并不嫌弃威利贫穷，而是大力赞赏他的忠诚品质，表示可以分享自己爷爷留下的钱财和存货充裕的农场。南希期望她和威利勤恳劳动，为美好的未来奋斗。

为了钱，商人过海又漂洋，
为了钱，农夫耕耘着庄园。
但荣誉才是士兵的奖赏，
士兵的财富是荣誉和尊严！（166）

威利为捍卫国家主权和自由而战，获得荣誉和尊严，体现了社会伦理对人的影响、对人的价值塑造，展示了人民对爱国行为的赞许。这也是千千万万选择奔赴战场的士兵的心愿，是他们共同的爱国选择。正是威利对国家和民族的责任感使他不囿于为金钱而漂洋过海经商或者埋头耕耘庄园，坚定地选择奋力拼搏，保卫国家和民族的安全，为民生献力。士兵威利虽然贫穷，但其品质和精神无比高贵。彭斯没有当过兵，但他关注战争，关心国家安危。通过塑造这样一位士兵的形象，彭斯传递了他对国家的爱，展示了他的选择。当今，这种小爱和大爱的结合仍具有巨大的伦理价值，有利于促进集体协调发展，形成命运共同体。

三、苏格兰农民坚守田园理想的选择

彭斯诗歌多写于18世纪后期。当时，在现代工业革命的冲击之下，现代工业文明和田园传统之间的冲突日益加剧，苏格兰农民最终做出了坚守田园理想的伦理选择。对农民出身的彭斯而言，其诗歌体现了苏格兰农民对田园理想和生态和谐的坚守。作为农民，彭斯对自然有着款款柔情。他自幼与自然生态相伴，受自然的馈赠而得以为生，也受自然生态启迪而有所感悟，心怀田园理想。因此，他珍视和保护自然生态，反对工业革命对生态的破坏，表现了对苏格兰田园理想的坚守，其诗歌强调生态的美丽及其对人类的重要性，对所处时代盛行的人类中心主义进行了一定程度的批判和修正。

人与自然生态的伦理关系并不是一成不变的。伦理关系的调节原则就是生态伦理。生态伦理是人类在社会化过程中进行伦理选择的结果。聂珍钊指出，“自从人类进入伦理选择的文明进程以来，‘人与自然的关系应该是怎样的？’成为人类面临的重要问题”（“从人类中心主义到人类主体”23）。简而言之，什么样的选择形成什么样的伦理，人类的选择重塑了生态伦理。无论人类中心主义还是生态中心论，都是一种伦理选择。伦理选择影响着人类的社会生活与生产工作，对文艺创作也有着重要影响。一般来说，诗歌创作中或多或少都含有一定的生态伦理，给人以伦理启示。诗人的生态伦理思想也影响着诗歌素材和主题的选择。彭斯诗歌尤为典型，彭斯的反人类中心主义的生态伦理思想渗透在诗歌创作之中，他的伦理身份决定了诗歌创作中的伦理选择。彭斯的生态立场与生态观点、彭斯诗歌创作中的伦理选择，例如素材与主题的选择，都是由其伦理身份决定的。作为农民，彭斯与大自然的关系十分密切，其生产活动和日常生活都离不开大自然，田园

理想已经深入其内心并且根深蒂固。由于其农民身份，彭斯拥有生态伦理观念，做出符合其身份的选择，创作出含有其生态伦理思想的佳作。彭斯的诗歌明显体现了其生态伦理思想，表现了他对田园理想的坚守。

文学的产生源于人类对伦理表达的需求，彭斯的诗歌也是如此。文学是伦理的艺术，彭斯关注在生活中进行的选择，不断为人类文明的发展提供伦理道德启示。彭斯在《见一野兔受伤跛行经过我身边而作》（“On Seeing A Wounded Hare Limp By Me”）一诗中，借诗歌中的叙述者的控告，深刻地批判了人类对自然生物的伤害。

你惨无人道！我诅咒你那野蛮的枪技，
诅咒你用以瞄准的眼睛变瞎；
怜悯永不发出叹息安慰你呀，
诅咒你残忍的心永远得不到片刻欢娱。（201）

枪支等器具的使用使人类具有近乎压倒性的优势，这使人类盲目地认为人高于自然，高于自然界的其他生物。身为农民，彭斯与自然界的动植物相处融洽，不容此类滥杀行为，做出批判猎杀者和保护动物生命的选择。彭斯以一种诅咒的语气，痛斥人类残忍的暴行。他认为野兔因为人类的猎杀而沦为树林和田野中的流浪者，受伤的野兔只能被迫孤独地度过余生。受到人类攻击而受伤的野兔只能静默地等待死亡，再也吃不到长势茂盛的野菜，无法在翠绿的平原上嬉闹、休息。地上的斑斑血迹也明晃晃地昭示着人类的暴力行径，野兔冰冷的身体更是令人痛心。因为人类用猎枪进行射击时势必需要用眼睛这一器官进行攻击辅助和位置校对，所以彭斯对猎人的眼睛发出诅咒。彭斯化为自然界生物的保护者，抨击人类剥夺生物的生存权。在《悼可怜的梅莉》（“Poor Mailie's Elegy”）一诗中，他还哀悼死去的羊。

第一个制作邪恶和危险东西的人，
即首先制作绳子的那人该有厄运。
它让好人也埋怨不断并呻吟，
令人窒息，很可怕。
罗宾的帽子缠着黑纱巾：
因为梅莉死啦。（206）

人类用其创造的绳子害死了小羊梅莉（Mailie），但可怕的不是工具，而是利用工具做恶的人。人伤害动物的行为与生态伦理相悖，恶行被人批评。并且，不仅恶人会迎来厄运，好人也会因其他人目睹违背生态伦理的行为而感到心理不适。此种非人类中心主义的生态伦理即使放在当今社会也仍不过

时。罗宾（Robin，彭斯的昵称）在帽子上缠黑纱巾的行为暗示着人类为小羊之死而默哀，为小羊梅莉的遭遇而伤怀。彭斯认为人类在自由意志（free will）支配、兽性因子（animal factor）占据上风时做出无故残忍杀害有主生物的选择是不符合生态伦理的。身为农民，彭斯视家畜为友，对人类无故滥杀动物的行为十分不齿，反对这种不符合生态伦理的行为。这样的思想也映射在其诗歌中，所以诗歌中的叙述者选择诅咒这类人，认为他们终将被反噬并迎来悲惨命运。彭斯的反人类中心主义的伦理思想体现得淋漓尽致。那个时代的彭斯虽然不知道生态主义这一概念，更不知道生态伦理思想为何物，但他确实有着生态意识。彭斯关注生态，其诗歌处处展现了人与自然生态的关系，倡导人与自然共生共存、友好相处，消解了人与自然的对立，体现了他反人类中心主义的自然生态伦理思想，守护着苏格兰田园生活。农民这一伦理身份使彭斯对自然有着亲和力，他认为人类需要遵从大自然的规律，维持伦理道德秩序，关怀动物和植物，其诗歌充分体现了人类应当自觉地尊重自然、保护自然、与自然处于平等地位、与自然和谐相处的思想，蕴含着丰富的生态伦理。彭斯认为人类和生态相互依存，反对人类中心主义。彭斯的诗歌体现了他对自然生态的关怀。同时，他通过诗歌提出了保护生态的观点，发出了共存倡议。在彭斯所处的时代，其生态伦理思想具有前瞻性。当然，这与他农民的伦理身份息息相关。彭斯身为农民，怀揣田园理想，不囿于权钱，重视精神品质的修养，关注动物和植物，重视生态平衡。这也是认可自身农民身份的彭斯所做出的选择。随着社会的进步和科学技术的发展，全球已经发生翻天覆地的变化，人类在发展过程中强调生态文明，彰显了人文关怀和环境关怀，不断以正确的伦理定位逐渐实现人类的健康发展。通过彭斯的伦理选择，我们能窥见田园理想，获得启示与教诲。

彭斯拥有独特的感知力和思想观念。他的诗歌创作与其伦理思想密切相关，其伦理身份和伦理选择对其诗歌创作有深刻的影响。以伦理选择为切入视角，我们可以发现，彭斯本人与其在诗歌中塑造的人物十分相似，彭斯将他本人的伦理身份和伦理选择映射在诗歌中的人物上。本文探寻了彭斯诗歌创作的历史伦理语境，分析了彭斯诗歌中民族伦理、爱恋伦理和生态伦理等伦理观，剖析了彭斯的伦理身份和伦理选择在其诗歌中的投射，以期对研究彭斯诗歌创作有借鉴作用，扩大彭斯研究的领域，进一步促进国际传播、推动文化交流、实现世界文明互鉴。

Work Cited

蔡海燕：“‘道德的见证者’：后期奥登的诗歌伦理观”，《国外文学》1（2020）：23-30+156。

[Cai Haiyan. "‘A Moral Witness’: The Ethical Concern in Later Auden’s Poetics." *Foreign Literatures* 1

(2020): 23-30+156.]

罗伯特·彭斯：《彭斯诗歌精选：英汉对照》，李正栓译。北京：清华大学出版社，2016年。

[Robert Burns. *Select Poems of Robert Burns*, translated by Li Zhengshuan. Beijing: Tsinghua UP, 2016.]

Nie Zhenzhao. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍钊：“从人类中心主义到人类主体：生态危机解困之路”，《外国文学研究》1（2020）：22-33。

[-. "From Anthropocentrism to Human Subjectivity: A Possible Solution to Ecological Crises." *Foreign Literature Studies* 1 (2020): 22-33.]

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[-. *Introduction of Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

Siebers, Tobin. *The Ethics of Criticism*. Ithaca and London: Cornell UP, 1988.

张箭飞：“解读英国浪漫主义——从一个结构性的意象‘花园’开始”，《外国文学评论》1（2003）：100-109。

[Zhang Jianfei. "The Garden: A Constructing Image in British Romanticism." *Foreign Literature Review* 1 (2003): 100-109.]

阿梅丽·诺冬《诚惶诚恐》中阿梅丽的伦理选择与身份建构

Amélie's Ethical Choice and Identity Construction in Amélie Nothomb's *Stupeur et tremblements*

宋 歌 (Song Ge)

内容摘要：《诚惶诚恐》是比利时女作家阿梅丽·诺冬最重要的小说之一。该作品以比利时女孩阿梅丽与日本同事之间的文化冲突为中心，讲述了阿梅丽在日本工作期间遭受挫折的故事。比利时女孩阿梅丽从小饱受日本文化熏陶，因此她渴望日本人的身份。于是，成年后的她选择重返日本。然而她所遇见的日本同事冷漠又虚伪，他们对阿梅丽的排斥态度表明他们并不认可阿梅丽的日本人身份。阿梅丽因此陷入伦理困境，而不得不逃离日本回到比利时，并重新审视自己的比利时人身份。阿梅丽·诺冬在《诚惶诚恐》中着重强调伦理在价值观重建过程中的重要性，表明了自身及阿梅丽对种族中心主义的否定态度。

关键词：《诚惶诚恐》；伦理身份；伦理选择；身份建构

作者简介：宋歌，华中科技大学外国语学院讲师，主要从事法国文论、当代法国文学研究。

Title: Amélie's Ethical Choice and Identity Construction in Amélie Nothomb's *Stupeur et tremblements*

Abstract: *Stupeur et tremblements* is one of the most important novels of the Belgian female writer Amélie Nothomb. The work centers on the cultural conflict between the Belgian girl Amélie and her Japanese colleagues, and tells the story of Amélie's setbacks while working in Japan. Amélie, a Belgian girl, has been influenced by Japanese culture since she was a child, so she yearns for a Japanese identity. She chooses to return to Japan at adult age. However, some of the Japanese colleagues she met were indifferent and hypocritical, the rejection of Amélie shows that they do not recognize Amélie's Japanese identity. As a result, Amélie fell into an ethical predicament and had to flee Japan and return to Belgium, re-examining her Belgian identity. Amélie Nothomb emphasized the importance of ethics in the process of value reconstruction in *Stupeur et tremblements* expressing her own and Amélie's negative attitude towards ethnocentrism.

Keywords: *Stupeur et tremblements*; ethical identity; ethical choices; identity construction

Author: Song Ge is Lecturer at the French Department of School of Foreign Languages, Huazhong University of Science and Technology (Wuhan, 430074, China). His research interests include Theory of French literature and Contemporary French Literature (Email: leosongge@163.com).

阿梅丽·诺冬 (Amélie Nothomb) 是比利时女作家, 因其自传体小说《诚惶诚恐》 (*Stupeur et tremblements*, 1999) 对东西方文化差异的别样呈现, 于 1999 年获得法兰西学院小说大奖。《诚惶诚恐》描写了选择做日本人的比利时女孩阿梅丽来到日本工作, 在屡次遭受到日本同事排斥后, 终于认清现实, 选择做比利时人, 并实现了比利时人身份建构的故事。有研究者认为阿梅丽放弃日本生活返回比利时重新选择做比利时人, 与作者本人人生经历吻合, 阿梅丽身份转变的过程似乎也是作者探究自身身份之谜的尝试, 于是提出该小说区别于阿梅丽·诺冬其他文学作品的特点在于虚构与真实的结合。¹ 然而, 从文学伦理学批评的视角来看, 阿梅丽的转变过程本质上是一个伦理选择 (ethical choice) 的过程, 体现了伦理环境 (ethical environment) 对于身份建构的影响, 强调文化差异的特性。“在人类文明发展史上, 人类在做出第一次生物学选择即获得获得人的形式之后, 还经历了第二次选择即伦理选择” (Nie 384)。伴随阿梅丽对日本人身份与比利时人身份的理解加深, 她将选择比利时人身份的意识转换为实践, 实现了对日本人身份的解构与对比利时人身份的建构, 成长为具有自觉理性和伦理意识的人, 完成了自己的伦理选择。本文运用文学伦理学批评方法, 对阿梅丽重返日本过程中经历的伦理选择和导致的结果进行分析, 揭示阿梅丽·诺冬的伦理思想, 以及小说表达的对于东西方文化差异的思考。

一、阿梅丽的日本人身份建构

《诚惶诚恐》有着一条清晰的伦理线 (ethical line), 这条伦理线串联了几个重要伦理结 (ethical knots), 其中最要的是阿梅丽在建构日本人身份的过程中与不同日本同事间产生的文化冲突。“伦理结是文学作品结构中矛盾与冲突的集中提现。伦理结构成伦理困境, 揭示文学文本的基本问题” (聂珍钊, 《文学伦理学批评导论》258)。在面对日本同事排斥时, 阿梅丽最初尝试通过妥协来换取对方的认同, 但一次次的打击表明妥协无法使她成为真正的日本人。日本同事所表露的排斥态度在追求融入的阿梅丽的意识里投下

¹ See L. Amanieux, *Le récit siamois: Identité et personnage dans l'œuvre d'Amélie Nothomb*, Paris: Albin Michel, 2009.

了阴影，选择做日本人的阿梅丽逐渐陷入伦理困境并开始思考是否要再次做出伦理选择。

阿梅丽出生于日本，在那里度过童年并接受日本教育，她对日本怀有真挚的感情。这来源特殊的伦理环境：阿梅丽的父亲曾任比利时驻日本外交官，父亲本人被日本文化深深吸引，因此阿梅丽在成长过程重饱受日本文化熏陶。“文学伦理学批评要求在特定的伦理环境中分析和批评文学作品，对文学作品本身进行客观的伦理阐释，而不是进行抽象或者主观的道德评价”（聂珍钊，《文学伦理学批评导论》256）。父亲营造的伦理环境直接影响了阿梅丽对日本的情感。对于日本人的身份，阿梅丽在孩提时期就有了初步的认识，她“一直这样认为（自己是日本人），直到我五岁那年离开日本”（147-148）¹。因此，当她成年后对身份问题有了更深刻认知时，她毫不犹豫选择做日本人。然而，家庭文化塑造出的伦理环境不仅影响了阿梅丽的伦理选择，也给她重返日本带来了困惑。

特殊的伦理环境使阿梅丽未认识到自己的比利时人身份，即她的隐性伦理身份。“所谓隐性伦理身份，就是指作品情节赋予了人物某种伦理关系而人物对这种伦理身份没有认知”（刘家思 刘璨 513）。阿梅丽总按照自己显性伦理身份（*ethical identity*）——日本人身份展开行动。所谓的显性伦理身份，就是小说情节中明显呈现的人物之间的伦理关系。²小说中人物对其伦理身份有自觉的认知。例如，阿梅丽的行为往往朝着自己日本人身份的相反方向行进，这也最终导致了她在公司不得不承受文化冲突所带来的精神打击。

阿梅丽刚入职就立即对公司森严的等级制度产生了直观印象：“羽田先生是尾持先生的上司，尾持先生是西户先生的上司，西户先生是莫利小姐（胡布纪）的上司，莫利小姐是我的上司。我呢，不是任何人的上司”（1）。位于等级金字塔最底层的地位，似乎预示着阿梅丽在公司的发展注定非常艰难。对于阿梅丽来说，她选择做日本人意味着当自己遭受日本同事的压迫与排斥时不能进行反抗，而只能选择妥协来得到日本同事的认可，因为这才是她所理解的日本企业文化。然而，遗憾的是，她的妥协并没有被日本同事接受。

阿梅丽·诺冬运用自传体小说形式表现阿梅丽尝试建构日本人身份的过程，该过程以阿梅丽与日本同事冲突的情节展现。第一次冲突发生在阿梅丽与日本同事西户先生之间。西户先生是日本文化的阐释者，他与阿梅丽之间的“文化冲突”对于阿梅丽意识到自己对日本文化缺乏了解有着重要影响。西户先生追求日本人至上，不相信外国人阿梅丽的能力，他的想法也折射出部分日本同事的种族中心主义心理。例如，阿梅丽应聘的是正常工作岗位，却被命令打扫公

1 本文有关《诚惶诚恐》的引文均来自 阿梅丽·诺冬：《诚惶诚恐》，廖观友译（深圳：海天出版社，2000年）。以下只标注页码，不再一一说明。

2 参见 刘家思、刘璨：“论曹禺戏剧创作中的伦理问题”，《文学跨学科研究》3（2021）：513。

司男厕所，还被冠以“厕所女郎”（173）称呼，而部分男同事也服从上级指示专门前往该厕所，他们认为“外国人受到侮辱与我没有关系”（108）。

在公司里，外国人被认为无法胜任工作。在西户先生眼里，阿梅丽是一个不折不扣的西方白人，她的智商、情商、语言能力不可能与日本人相媲美。在一次接待其他公司代表团来访时，阿梅丽熟练地使用日语沟通，而西户先生则认为阿梅丽展现流利的日语是一种愚蠢的行为。因此，他禁止阿梅丽使用日语，并提出她应该忘记日语这一荒唐要求。对此，阿梅丽也提出了质疑：“可正因为我懂日语，伊美本公司才录用我的呀！”（12）但西户先生以上司身份发出不容置疑的命令：“这我不管！我命令你不懂日语”，“必须服从，这正是西方人必须明白的”（12）。最终，阿梅丽作出了与其他普通日本同事一样的选择——无条件服从上司的命令，哪怕是不合理的。听到西户先生充满种族中心主义的命令，以日本人自居的阿梅丽选择用日本社会的伦理规范来约束自己，其目的是使自己尽量表现得像一名日本人。

第二次文化冲突发生在阿梅丽与公司副总裁尾持先生之间。尾持先生也是一个种族中心主义者，他十分推崇日本社会所遵守的等级制度文化与面子文化，因此认为作为工作能力不足的外国人，阿梅丽应无条件服从他的命令，而他的粗鲁行为使阿梅丽坚持做日本人的决心产生了动摇。当阿梅丽来到尾持先生的办公室商谈离职事宜时，尾持先生强迫阿梅丽吞下令人作呕的绿色巧克力，这再次导致冲突爆发。当阿梅丽拒绝吃下巧克力时，尾持先生愤怒地喊道：“放肆！你不能向我提问！你应该服从我的命令”（131）。尾持先生的强硬态度逼迫阿梅丽做出选择：“折下了一小块四四方方的绿色巧克力，把它送到嘴里”（132）。面对尾持先生的无理要求，阿梅丽作出了与第一次冲突一样的选择——妥协，她以为“侮辱自己可以挽回他们的面子”（132），并得到公司的挽留。但是，尾持先生不但没有“提出异议，反而愉快地接受了”（133）。

两次文化冲突实际上是阿梅丽建构日本人身份的两次尝试，究其因是因为她始终无法摆脱儿时伦理环境的影响，她“完全地、充满亲切感地甚至悲剧式地迷恋日本”（Zumkir 95）。对于阿梅丽而言，重返日本最大的动力便是美好的回忆，这显然是一个感性的决定。“个体的选择容易被情感主导，一旦缺乏理性就会形成悲剧”（刘家思 刘璨 516）。日本同事的种族中心主义思想使她感到挫败，“什么是我真正的身份？”这个问题提醒阿梅丽应尽快确认自己的身份。固有的认知和现实中的遭遇暗示着阿梅丽最初的伦理选择是错误的，她必须作出新的伦理选择。阿梅丽的显性伦理身份日本人身份与隐性伦理身份比利时人身份无法共存，这导致她陷入了伦理困境。

二、阿梅丽的伦理困境与伦理选择

“伦理困境指文学文本中由于伦理混乱往往是伦理悖论导致的，普遍存

在于文学文本中。伦理困境有多重表现形式，例如，伦理两难就是伦理困境的主要表现形式之一”（聂珍钊，《文学伦理学批评导论》258）。在《诚惶诚恐》中，阿梅丽的伦理两难（ethical dilemma）表现为继续尝试做日本人还是做比利时人。她在既有的生活模式与世俗思维定势中苦苦挣扎：接受意味着继续面对无尽的东西方文化冲突事件，继续向日本同事的否定与排斥妥协；拒绝则意味着与现在生存状况的决裂，放弃美好的回忆。

与日本同事间的文化冲突使阿梅丽意识到他们并不把自己当做日本人看待，这也意味着她的日本人身份无法受到认可，而在离开日本前与日本同事的道别则印证了她的猜测。因为长期打扫厕所，阿梅丽在日本同事眼中竟然不被看做是人，更遑论被看做日本人，这使得她做日本人的决心彻底动摇，她坚定地意识到应该做出新的伦理选择了。阿梅丽建构日本人身份失败的原因，可以归结为低估了被日本同事所认同的困难程度。

两次文化冲突事件很好地展现了阿梅丽所遭遇的困境。第一件事仍然与等级制度问题有关，不过它还同时涉及到日本文化中的另一问题——男女地位不平等。一天，阿梅丽亲眼目睹了女上司莫利胡布纪如何被副总裁尾持先生当众训斥，而且“并不是在他的办公室臭骂她，而是当着财务部四十多个人的面当场骂她”（85）。一方面，男性可以如此公开地侮辱女性使她感到震惊，“对于随便哪个人来说，尤其是对日本人来说，对傲慢而高贵的莫利小姐来说，没有比这种公开撤职更侮辱人的了”（85）；另一方面，日本森严的等级制度使阿梅丽在面对该问题时倍感无力，“同事们个个深感痛苦。他们尽可能地板起脸，把自己的耻辱藏在案卷或电脑的荧屏后面”（85）。对阿梅丽来说，以往对日本文化的回忆和幻想不复存在了。阿梅丽·诺冬在其涉及东西方文化差异的自传体小说中一贯强调伦理观念的实践性本质，正如阿梅丽一直以来对待日本文化的态度：“所有想融入日本的外国人，都把尊重帝国的习俗当作是名誉攸关的事”（97）。在决定做日本人后，阿梅丽始终遵循着日本的伦理规范。但是在对外国人要求严苛的日本企业，日本同事对她的排斥态度表明自己的日本人身份并未得到认可，陷入困境的阿梅丽逐渐意识到在日本同事的眼中她可能自始至终是比利时人阿梅丽。

第二件文化冲突事件的发生促使阿梅丽直面自己日本人身份建构失败。在公开侮辱事件发生后，阿梅丽试图安慰莫利胡布纪。此时，摆在阿梅丽面前的是双重伦理规则，其一是西方文化所给与的对于个人处境的关怀意识；其二则是日本的“面子文化”，即一个人在遭受侮辱后并不需要他人的安慰，而是希望大家回避事情的发生，采取避而不谈的方式来保证受辱者的面子。阿梅丽做出了安慰莫利胡布纪的选择，直接用话语向女上司表明了对她遭遇的同情。阿梅丽甚至伸出自己的胳膊试图安慰莫利胡布纪，然而莫利胡布纪的反应令阿梅丽意识到自己做了蠢事。“就在这时，我看见她两眼冒着愤怒的光芒，惊讶地向我转过脸来。她愤怒得声音都变了，朝我吼道：‘你怎么敢这样？你怎么敢

这样?’”(91)

阿梅丽安慰莫利胡布纪失败的原因可以归结为她事实上对日本文化缺乏真正了解。在讲究含蓄表达自己悲伤情感的东方国度，阿梅丽的直接安慰行为使自己的上司感到羞耻与愤怒。在莫利胡布纪眼中，阿梅丽并不是真正想安慰自己，而是一种赤裸裸的挑衅行为。这一举动也导致莫利胡布纪对阿梅丽做出了更多排斥行为，以达到使阿梅丽离开的目的。在建构日本人身份的过程中，尽管阿梅丽努力按照自己的方式获得日本同事的接纳，但却不得不面对遭受排斥的现实。随着友善行为的减少、排斥行为的增多，阿梅丽陷入孤立无援状态，她企图获得日本同事身份认同的努力宣告失败，并面临新的伦理选择，即：或继续尝试以日本人的身份工作下去，或离开日本返回比利时。

阿梅丽与日本同事相处的失败意味着她的日本人伦理身份失去主导地位，她被这个自己深爱的“祖国”彻底拒绝。她试图融入日本同事之间，却深感自己永远也无法成为真正的日本人。因此，阿梅丽只有重新做出伦理选择，才能建构新身份。

三、阿梅丽的比利时人身份建构

对阿梅丽而言，一方面她不得不做出新的伦理选择，她希望在日本人不认可她的身份时，比利时同胞们能够承认她的比利时人身份；另一方面离开日本的选择对她来说也意味着对日本人身份的告别，即她不再需要其他日本人对于自己日本人身份的认可。“在伦理选择的过程中，人的伦理意识开始产生，善恶的观念逐渐形成，而这些都是通过教诲实现的（……）人类的文明史表明，人类主要通过一系列道德事例和榜样进行教诲或从中得到教诲”（聂珍钊，《文学伦理学批评：论文学的基本功能与核心价值》10）。促使阿梅丽下定决心进行伦理选择的关键点是莫利胡布纪命令她专职打扫公司厕所，正是这一有辱人格的工作使阿梅丽彻底醒悟。对于阿梅丽来说，一些枯燥无聊的本职工作与言行上的嘲讽或许是可以接受的，但打扫厕所这一工作安排不仅是在丑化她在公司的个人形象，而且更是对她日本人身份的一种完全否定。

针对阿梅丽被迫成为厕所女郎后的心态变化，我们需要关注小说中多次出现的事物——窗户。窗户在阿梅丽·诺冬的作品中往往具有强烈的象征意义。从整体来看，伊美本公司是一个巨大的封闭空间，故事情节全部在大楼内部展开，窗户是大楼里唯一可以感知外界的途径。阿梅丽在打扫厕所时发现了窗户的价值，即现实与想象的分界线，“窗是可怕的灯光与可爱的黑暗、厕所与永恒、卫生保健与难以洗净、抽水马桶的水箱与天空之间的界限”（137）。在凝视窗外的虚无时，阿梅丽曾尝试投身其中，“几小时几小时地站在那里，额头贴在玻璃上，想象着自己被投入了虚空当中”（109）。这意味着阿梅丽对现实丧失了信心，屡次打击使阿梅丽尝试自杀，她幻想自

己跨过窗户纵深跳向窗外的虚无，以此摆脱现实中的压力。

“日本皇家的旧仪式规定，对天皇说话应该‘诚惶诚恐’”（126），种族中心主义已经让伊美本公司变成了等级森严的“帝国”。阿梅丽认识到无论自己如何努力，以莫利胡布纪为代表的日本同事都不会认可她的日本人身份，她逐渐厘清了东西方文化碰撞所传授给自己的成长经验。事实上，被否定和重获新生是一个相互作用、不断生发、持续深化的过程，再次投身于虚无的决定不仅意味着阿梅丽对日本人身份态度的转变，也表明了阿梅丽伦理选择的成功。于是，阿梅丽在合同到期之前选择放弃续约，从而实现了真正的伦理身份与血缘身份的合一。在阿梅丽离开日本前与莫利胡布纪道别时，莫利胡布纪对她的排斥态度仍然没有改变，“你有没有意识到自己有智力障碍？”（124）为使莫利胡布纪满意，阿梅丽选择继续配合，她说道：“有，伊美本公司帮助我发现了一点”（124）。在回到比利时后，阿梅丽尝试出版自己的第一部小说。令她颇感意外的是，莫利胡布纪仍然对她保持关注。在小说出版后不久，阿梅丽收到了一封来自东京的信，信是这样写的“阿梅丽：祝贺你。——莫利胡布纪”（138）。尽管信的内容十分简短，但阿梅丽难掩喜悦之情。日语的书写表明莫利胡布纪对阿梅丽的态度从完全的排斥转变为承认后者的能力与价值，这也暗示了阿梅丽尝试做日本人的努力并不完全是失败的。

《诚惶诚恐》通过展示阿梅丽由尝试建构日本人身份到遭遇伦理困境，无奈进行伦理选择并建构比利时人身份的过程，表明在充满种族中心主义思想的日本公司，阿梅丽对自身尝试建构的日本人伦理身份缺乏认知。虽然她认为自身符合作为日本人的一切客观条件，但她生理上的西方人特征以及并不真正意义上了解等级制度、男女地位、面子观等日本文化，使得她无论如何努力都不可能获得来自日本同事的身份认同。对于阿梅丽而言，她选择以日本人的身份重返日本的结局一开始就注定是悲剧式的。在这记忆中“神话般的地方”（16），她无奈选择与日本人身份告别，回到祖国比利时意味着她做出了伦理选择，并开始对比利时人的身份进行建构，这是伦理环境对阿梅丽的内在要求。最终阿梅丽在比利时取得了事业上的成功，这意味着她所建构的比利时人伦理身份得到了认可。小说对阿梅丽的伦理选择、伦理困境以及伦理身份建构过程的描写紧紧围绕她对东西方文化差异认知的改变展开，给饱受多重伦理身份困扰的人们带来伦理启示，即只有客观分析自己是否真正了解即将面对的文化环境，并能够应对不同文化间差异所造成的冲击，才能在遭遇伦理困境时作出正确选择，拥有理想未来。

Works Cited

- Amanieux, Laureline. *Le récit siamois: Identité et personnage dans l'œuvre d'Amélie Nothomb*. Paris: Albin Michel, 2009.

阿梅丽·诺冬：《诚惶诚恐》，廖观友译。深圳：海天出版社，2000年。

[Nothomb, Amélie. *Stupeurs et tremblements*, translated by Liao Guanyou. Shenzhen: Haitian Press, 2000.]

刘家思、刘璨：“论曹禺戏剧创作中的伦理问题”，《文学跨学科研究》3（2021）：509-523。

[Liu Jiasi and Liu Can. “On Ethical Issues in Cao Yu’s Drama Production.” *Interdisciplinary Studies of Literature* 3 (2021): 509-523.]

Lou, Jean-Michel. *Le Japon d’Amélie Nothomb*. Paris: Harmattan, 2011.

聂珍钊：“文学伦理学批评：论文学的基本功能与核心价值”，《外国文学研究》4（2014）：8-13。

[Nie Zhenzhao. “Ethical Literary Criticism: On Fundamental Function and Core Value of Literature.” *Foreign Literature Studies* 4 (2014): 8-13.]

——“Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[——. *An Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

Zumkir, Michel. *Amélie Nothomb de A à Z*. Paris: Le Grand Miroir, 2007.

神经科学视野中的审美陌生化

On the Aesthetic Estrangement from the Neurological Perspective

何辉斌 (He Huibin)

内容摘要: 神经系统初次遇到新鲜事物一般大面积兴奋, 但习惯化之后, 相关信息将由少数专门的细胞处理, 甚至可以达到自动化的程度, 基本没有什么感觉, 从而节省脑力。习惯化为动态核心假设提供了前提。该假设断定, 人在某一时刻只允许一个费脑力的自觉意识存在, 其他部分由习惯化的无意识构成, 意识的整个结构时刻都在变, 但核心始终只有一个。习惯化可以节省脑力, 但也会让神经系统变得麻木, 对事物没有什么感觉, 所以文艺理论家提出了陌生化原理, 试图恢复感受的经验。陌生化的第一种方式可以用动态核心理论进行解释。作家往往把长期处于潜意识状态的重要思想提高到自觉意识的状态, 通过改变意识的核心创造陌生的感觉。作家还可以将同一人物的动态核心轻松地进行切换, 将不同人物的动态核心并置, 在对比中创造出陌生化的效果。第二种陌生化效果可以用异突触易化进行解释。异突触易化的第一种形式是敏感化, 即一条神经通路感受到一个强大刺激之后, 所有的神经通路都会对刺激产生强烈的反应。作家往往在作品中渲染一个很强的刺激, 特别是悬念, 从而使读者以警觉的眼光审视每个细节, 从而产生陌生化的效果。异突触易化的第二种形式是条件作用, 即通过另外一条神经通路强化要关注的通路。文学作品中的比喻、拟人、象征、排比等修辞格都建立在条件作用之上, 科幻、乌托邦、寓言等, 属于扩大的条件作用, 都是异突触易化的结果。陌生化首先都属于形式的问题, 但形式的改变必然意味着感受到的内容也不一样。就算完全不用新的形式, 内容创新也完全可以给人以陌生的感觉, 只是内容创新空间比较有限。

关键词: 陌生化; 动态核心假说; 异突触易化

作者简介: 何辉斌, 浙江大学外国语学院教授, 主要研究领域为中西比较文学和文学认知研究。

Title: On the Aesthetic Estrangement from the Neurological Perspective

Abstract: A large area of the neural system will be activated by the information of something new, but it will be greatly lessened in the process of habituation, leaving the task to a small number of specific neurals, which can even function

automatically, without much consciousness and effort. Habituation is the one of the preconditions of the dynamic core hypothesis, which supposes that only one power-consuming self-conscious mental activity, however it changes, is allowed for one moment, with a lot of automatic unconsciousness. Habituation can help to save mental power, but it can also make the neural system senseless to the objects, therefore estrangement theory is raised to renew the experience of feeling. Estrangement can be neurally explained by dynamic core hypothesis. In literary works, some important unconsciousness is often raised to the level of consciousness, and the dynamic core is changed, in order to produce the effect of estrangement. This effect can also be acquired by the contrast achieved by swiftly changing the dynamic core of one character or by putting together the dynamic cores of different characters. The estrangement effect can also be discussed from the perspective of heterosynaptic facilitation. Sensitization is the first form, which supposes that strong stimulus in one neural circuit can lead to the strengthening of the stimulus in other circuits. The shocking stimulus, esp. suspension, is often used by writers, to make readers sensitive to every detail to get the estrangement effect. Conditional function, which assumes that the strong stimulus in one neural circuit can strengthen the stimulus in another by repeating successively, is the second form of heterosynaptic facilitation. Metaphor, personification, symbolization, contrast etc. are all based upon conditional function, and scientific fantasy, utopian, fable etc. are based upon extended conditional function, which are both the results of heterosynaptic facilitation. Estrangement is often regarded as the formal art, and yet, the change of form can also lead to the differences of content observed. Even without the change of form, the new content can also produce the impression of estrangement, although the room for this kind of strangeness is limited.

Keywords: estrangement; dynamic core hypothesis; heterosynaptic facilitation

Author: He Huibin is Professor at the School of International Studies, Zhejiang University (Hangzhou 310058, China). His academic research focuses on Chinese and Western drama, cognitive literary criticism (Email: hehuibin@163.com).

美国诗人埃米·洛厄尔 (Perciva Lowell) 在《十年》 (*A Decade*, 2002) 中这样描绘恋爱与婚姻: “那时你走来, 犹如红酒和蜂蜜, / 甜美的滋味烧灼了我的双唇。/ 现在你就像早餐的面包, / 柔和而且美味。/ 熟悉了你的味道, 几乎不用品尝, / 我就完完全全得到了滋养” (Lowell 62)。婚姻虽然很美好, 但十年之后对方的味道已经“几乎不用品尝”, 完全熟悉了, 换个角度说, 没有多少感觉了。文学的意义就要通过陌生化恢复这种“烧灼”的感

觉。人的神经系统为什么对新鲜的事物如此敏感而对熟悉的事物没有多少感觉呢？文学的陌生化为何能够再次激活人的神经系统呢？神经科学在近年已经取得了突破性成就，可以为陌生感、熟悉感、陌生化等提供很好的科学解释。

一、美妙的新世界

新鲜事物一直受到作家的青睐。文学的重要任务之一就是描写新事物和创造新事物。莎剧《暴风雨》（*The Tempest*）中的米兰达，在与世隔绝的孤岛上长大，突然碰上一群来客，感觉眼前一亮，发出这样的感叹：“人类是多么美丽！啊，美妙的新世界，如此人杰地灵！”（Shakespeare 1634）¹这种美妙的新世界，深受到作家喜欢。

面对新鲜事物，神经系统往往十分兴奋。科学家发现：“每天让猫几次看闪烁的视觉刺激（譬如说6赫兹），在一开始的时候，在脑的广泛区域里都可以看到同样频率的反应”（埃德尔曼 托诺尼 67）。面对新的事物，猫的大脑多个区域都兴奋起来，但这种兴奋是短暂的。在习惯了之后，如果还想让大脑高度关注，就得有更新的事物。这一点也得到了实验的证明：“如果训练猫去辨认新的或者更复杂的刺激，反应就一直很强，而且扩布到许多脑区”（埃德尔曼 托诺尼 67）。埃德尔曼和托诺尼还这样解释道：“这就好像在一开始的时候，有一大群分布于皮层各处的专家到一起来领受一项任务。很快他们就达成谁最适合完成这个任务的共识，就此选定了任务的执行者”（68）。面对未知的事物，人的大脑也需要把不同的神经元都积极地调动起来。

新鲜事物虽然让神经系统兴奋，但持续的时间不太长。坎德尔曾说：“我通过向连着R2细胞的轴突束施加一个微弱的电刺激、接着重复这一刺激10次来模拟习惯化。我发现细胞响应刺激而发出的动作电位会随着重复逐渐降低。到第10次刺激时，反应强度只有初值的二十分之一，正如一个动物的行为反应随着中性刺激的重复出现而降低一样”（180-181）。这个实验告诉我们，新的内容的对神经的刺激，马上就会衰退下去。坎德尔还提出了一个专门的术语来解释这种现象。他说：“我将上述过程称作同突触抑制：抑制指的是突触反应的降低，同突触指的是抑制发生在受到刺激的同一条神经通路上”（181），这个同突触抑制的实验显示，相同的中性内容重复了十遍，反应的强度只有二十分之一，已经基本上不受神经系统的重视。

新鲜事物还有一个局限性，那就是真正的新事物在数量上并非那么多。《圣经》的《传道书》（*Ecclesiastes*）里有一句这样的话：“已有的事，后必再有。已行的事，后必再行。日光之下并无新事”（Ecc 1: 9）。这种说法当然有些绝对化，但陌生的内容的确是有限的。而且追求新异，在文明社会还会受到

1 外文引文均出自笔者译。

各种限制。可见光从内容方面创新，难有大的作为。

新的内容虽然能够给人以陌生和新奇的感觉，也受到了作家的重视，但陌生化的理论家都不谈内容的陌生化，只关注形式。什克洛夫斯基在谈到什么是艺术的时候曾说：“艺术的手法是将事物‘奇异化’的手法，是把形式艰深化，从而增加感受的难度和时间的手法，因为在艺术中感受过程本身就是目的，应该使之延长”（10）。这里的“奇异化”，是“陌生化”的另一种翻译。什克洛夫斯基指出，艺术的本质只在于“形式艰深化”，以便“增加感受的难度和时间”。新的内容可以让神经系统兴奋，完全能够“增加感受的难度和时间”，把读者吸引住，但陌生化的理论家都不关心内容创新，显然有一定的偏颇，也给后人的研究留下了一些空间。

另一方面，什克洛夫斯基等不重视内容创新，也有一定的道理。新的内容对于作家来说的确非常重要，但真正的新鲜事物数量有限，激起神经系统兴奋的时间不长，还受到伦理道德的限制，所以发展空间比较有限。文人虽说也经常以“诗的破格”（poetic license）为由，争取更大的自由，甚至有人像王尔德一样认为艺术无关乎道德，但也有著名学者主张“文学在本质上是伦理的艺术”（聂珍钊⁴），不可能真正离开道德而存在。内容陌生化受到了不少限制，所以没有引起人们的重视，但我们绝对不能忽视新鲜的内容，因为大面积神经元对新事物的兴奋是一切陌生化效果的基础。

二、默默奉献的西西弗

神经系统刚刚见到新鲜事物都高度兴奋，但时间长了就不再兴奋，其目的在于节省脑力。这一点已经从很多方面得到了科学的证明。科学家曾让年轻的被试玩计算机游戏俄罗斯方块。在训练的前后分别用正电子发射断层扫描测量其大脑皮层的葡萄糖代谢率。在每天都练习俄罗斯方块四到八周后，尽管得分提高了七倍多，皮层浅部的葡萄糖代谢率却减少了。就练习之后分数提高得最快的被试而言，其葡萄糖代谢在若干脑区减少得最快。¹葡萄糖代谢减少，是大脑活跃度降低的重要指标。神经越兴奋是费力的表现，兴奋度下降，是省力的需要。

这个省力的过程中也是一个习惯化的过程。第一种习惯化表现为，把大部分习以为常的安全的刺激纳入背景的范围。埃德尔曼和托诺尼曾说道：“在教室里我们会逐渐习惯钟表的滴答声，我们对自己的心跳、肠胃揉动和其他身体感觉也都很习惯。如果没有特殊情况，这些感觉很少会再进入我们的意识中”（坎德尔 179）。一旦把刺激变成安全的背景之后，只需非常少的神经细胞进行关注，可以把大部分注意力用于必需认真对待的事情之上。

还有一些新鲜的事情，并没有变为我们的生活背景，而是成为我们的新

¹ See Richard J. Haier et al., “Regional Glucose Metabolic Changes after Learning a Complex Visuo-spatial/Motor Task: A Positron Emission Tomographic Study,” *Brain Research* 570 (1992): 134.

任务，需要进一步适应和学习。为了完成新的任务，神经系统得充分调动起来，但习惯化之后，神经活动就大为减少，习惯化消除了执行时的不必要的意识。有科学家如此描述这个过程：如果执行一个任务需要一连串相继的神经事件ABCDEFGH等，在第一次执行任务的时候，面对每一个事件，意识都必须从许多种可能中挑选出正确的那个事件；但是习惯化很快就把每个环节简化为那个合适的事件，而不需要呈现其他的可能事件，也不需要有意志参与其中。只要A开了头，整个事件链ABCDEFGH就会自动地延续下去。¹在习惯化之后，神经系统和运动系统都大为简化。

在习惯化之后，有些行为由于长期重复，甚至可以达到自动化的地步，基本上在潜意识中进行。例如说，经过长期练习之后一个老师傅可能根本不需要有意识地指挥自己的手脚，凭着潜意识就能把车开好。埃德尔曼和托诺尼指出：“如果这种任务是无意识执行的，或者近乎无意识的，那么有关活动脑区的范围就要缩小”（埃德尔曼 托诺尼 64）。自动化之后，人就可以把脑力空间腾出来，以便做更多的事情。

习惯化和自动化可以把相关的神经系统和运动系统准确化，最小化，可以更好地把任务完成，并把更多的神经系统和运动系统空出来去做其他事情。人的体力有限，人的脑力也有极限。一个系统一旦自动化了，就可以毫不费劲地一遍一遍地重复。这就使人想起了古希腊神话中的西西弗。西西弗由于触犯了众神，受到了严厉的惩罚，每天都要把一块巨石推上山，但在快要达到山顶时，由于那巨石太重，又滚下山去，前功尽弃，但他还得不断重复，永无止境。我们拿筷子夹菜、双脚蹬自行车等动作就像西西弗推巨石的动作一样，无数次地重复，本身也无所谓意义。只有这样，我们才可以一边用眼睛观看，一边用筷子夹菜，同时还可以与朋友谈笑风生。

如果无法习惯化和自动化，生活将举步维艰。詹姆士曾说：“人的自动的动作特别多，而且大多数都是艰苦地学习的结果。如果不是熟能生巧，如果习惯不能节约神经和肌肉的能量，人的处境就会十分不妙”（James 118）。没有习惯化，就会对每样刺激都很敏感，让神经系统应接不暇，甚至会感到惶惶不可终日。兴奋度降低，才可以腾出更多的神经元去处理其他事情，否则生活中的任何具有一定复杂性的任务都难以完成。

三、让生活化为乌有的习惯化

习惯化虽然可以给我们带来很多好处，但具有不少负面的作用。首先，习惯化往往把对象极端抽象化，遮蔽了事物的丰富性。什克洛夫斯基曾指出：“如果我们来研究感受的一般规律，就会发现，动作一旦成为习惯，就会自动完成（……）代数学是这一过程的理想表现，在代数学里一切事物都

¹ See William James, *The Principles of Psychology*, Cambridge, Mass.: Harvard University Press, 1983, 119.

为符号所代替（……）在事物的代数化和自动化过程中感受力量得到最大的节约，事物或只以某一特征（……）甚至都不在意识中出现”（9-10）。例如说，在理发店里，理发师只有号码，没有名字。这就是最省力化的结果。这个号码是极度简化的，再也没有情感和个性等。号码对于顾客方便识别和称呼，但对于理发师，基本遮蔽了他的丰富性。

习惯化之后，人们会想当然地把有限的认知当作全面的了解。黑格尔说：“一般来说，熟知的东西所以不是真正知道了的东西，正因为它是熟知的。有一种最习以为常的自欺欺人的事情，就是在认识的时候先假定某种东西已是熟知的了，因而就这样地不去管它了”（20）。布莱希特也指出：“认为‘二乘二等于四’的公式是理所当然的人，不是一个数学家，他还是一个并不理解这个公式的人”（199）。习惯化只是认识了事物的很小的一个方面，事物的复杂性和丰富性就会在这种安全的习以为常中被忽略。人的认识因此就会固定化，用很小的一部分特性代表事物全体。

对于习惯化的事物，人们往往没有什么感觉，甚至会让有限的一点点认知沉入潜意识，完全被自觉的意识忽视。从文学艺术的角度来说，习惯化和自动化是麻木不仁的体现。托尔斯泰曾经有过一段这样的描写：

我在房间里抹擦灰尘，抹了一圈之后走到沙发前，记不起我是否抹过沙发。由于这些动作是无意识的，我不能、而且也觉得不可能把这回忆起来。所以，如果我抹了灰，但又忘记了，也就是说作了无意识的行动，那么这就等于根本没有过这回事。如果那个有心人看见了，则可以恢复。如果没有人看见，或者看见了也是无意识地；如果许多人一辈子的生活都是在无意识中渡过，那么这种生活如同没有过一样。（转引自 什克洛夫斯基 10）

什克洛夫斯基引用了这段话，并且评论说：“生活就是这样化为乌有。自动化吞没事物、衣服、家具、妻子和对战争的恐怖”（什克洛夫斯基 10）。

自动化虽然是为了给大脑留出空间，以便把自觉的意识用于解决更紧迫的问题，但自动化，就像托尔斯泰描写的无意识的抹灰动作一样，的确会把相关内容的丰富性遮蔽掉，甚至使之化为乌有。

四、动态核心的调整

既然人的脑力在某个时刻有总量的限制，艺术的陌生化只能在注意力再分配上做文章。埃德尔曼和托诺尼提出的动态核心假说（dynamic core hypothesis）对于研究陌生化颇有启发意义。他们认为，“在任一给定的时刻，人脑中都只有神经元的一个子集，直接对意识经验产生贡献，虽然这个子集并不小”（埃德尔曼 托诺尼 158）。也就是说，自觉的意识在给定的时

刻只有一个。埃德尔曼和托诺尼还说：“有的时候，我们的意识本身看起来就像一家公司的首席执行官。首席执行官需要一份报告，公司中就有人准备好这份报告（首席执行官可能都不知道是谁或是在哪儿准备的）。在某个时刻，这份报告就被交到了他或她的手中”（65）。他们把自觉的意识比作首席执行官，公司里的各种活动比作潜意识。自觉的意识只有一个，但潜意识却非常复杂。这些潜意识都是习惯化和自动化的结果。没有它们，复杂意识就没有可能。自觉的意识并非稳定不变，而是动态变化的。埃德尔曼和托诺尼还说：

意识经验明显的串行本质（意识状态或思想是前后相继的），也与核心的动态演化有关。因为动态核心是一个统一和高度整体性的过程，它必定是从一种全局状态变化到另一种全局状态。换句话说，其时间演化必定是沿着单一的轨迹进行的，而在一个时刻，只能做一个‘决定’或者‘选择’。这一结论与众所周知的意识难以执行双重任务范式（dual-task paradigm）的特点相一致，也与我们在第三章中提到的心理不应期（即在一个时刻只能做一个有意识的选择，或者识别/区分）相吻合。（167）

不管下面的潜意识有多复杂，而自觉的核心只有一个。这并不意味着核心是固定不变的，恰恰相反，它总是在不停地变化。文学作品往往利用陌生化的手段揭示那些被习惯化遮蔽的事情。《哈姆莱特》中的墓地对话描写的就是这种遮蔽。

小丑甲 别尽绞你的脑汁了，懒驴子是打死也走不快的；下回有人问你这个问题的时候，你就对他说，“掘坟的人”因为他造的房子是可以一直住到世界末日的。去，到约翰的酒店里去给我倒一杯酒来。（小丑乙下。小丑甲且掘且歌）

年轻时候最爱偷情，
觉得那事很有趣味；
规规矩矩学做好人，
在我看来太无意义。

哈姆莱特 这家伙难道对于他的工作一点没有什么感觉，在掘坟的时候还会唱歌吗？

霍拉旭 他做惯了这种事，所以不以为意。（莎士比亚 121）

一个正在工作的普通人，假如突然听到朋友的死讯，他会把手中的工作交给无意识管理，自觉的意识肯定专注于怀念他的朋友。这是我们生活中的

常态。与我们不一样的是，这两个挖墓穴的人把挖掘视为一种职业。他们没有任何的悲痛感，情感系统的付出已经达到了最小化的水平。我们也可以想象，他们的神经系统和肌肉系统也已经习惯化了，甚至已经自动化了，最大程度地达到了省力的目的。从个人职业素质来说，这是合理的优化。下葬对于普通人来说，会激起撕心裂肺的感觉，但对于这两个挖掘墓穴的人来说，为下葬挖墓穴只是日常工作，已经完全习惯化，几乎没有了感觉。小丑甲有时甚至把自觉的意识留给说笑、唱曲和喝酒上面。从一般人的视角来看，这是意识和无意识的逆转，属于神经系统动态核心的异常状态，所以能够给读者以陌生化的效果。这是用主流的视野看非主流的事情。有时也可以反过来，用非主流的视野看主流的事情，同样可以获得陌生化的效果。

莎士比亚对这两个小丑的批评当然是合理的，但另外一方面，我们也要看到，如果他们像常人那样，一想到死亡就悲痛欲绝，挖墓穴的任务就无法正常完成。哈姆莱特关于生和死的独白可以用来说明这个问题。

生存还是毁灭，这是一个值得考虑的问题〔……〕死了；睡着了；睡着了也许还会做梦；嗯，阻碍就在这儿：因为当我们摆脱了这一具朽腐的皮囊以后，在那死的睡眠里，究竟将要做些什么梦，那不能不使我们踌躇顾虑〔……〕，伟大的事业在这一种考虑之下，也会逆流而退，失去了行动的意义。（莎士比亚 63-64）

有的人认为，哈姆莱特之所以变成行动的懦夫，迟迟没有复仇，就是因为他太喜欢思辨。这个观点是否正确，这里不加置评。有一点可以肯定，假如挖墓穴的人拿着锄头，像哈姆莱特一样，在墓地踱来踱去，绞尽脑汁地想：挖还是不挖，这是一个问题？这样的话，当然有情有义，但墓穴就无法按时挖好，尸体就无法及时安葬。这是把意识的核心从挖掘转移到生死思辨的必然结果。

为了恢复对挖墓穴经验的体验，我们也可以把重点放在挖的行为之上。我们可以参照一下《嘉莉妹妹》（*Sister Carrie*）女主角第一次到皮鞋厂当学徒的场景。

弄到后来，嘉莉实在坐不住了。两腿开始发酸，她觉得不管怎么样都要站起来，伸一伸腰。中午难道永远不会来到了吗？她好像已经工作了一整天。她一点也不饿，但是觉得很虚弱，眼睛老是盯着打眼机打下来，从皮革上冲掉一小片的地方，看的眼花缭乱了。她右边那位女工看到她身子不安生的样子，心里很替她难过。她的注意力太集中了——实在她做的工作不需要在精神和肉体上都这么紧张的。可是也没有办法可想。半片鞋面皮不断堆积起来。她的手腕开始发痛，然后痛到手指

上，到后来就浑身肌肉麻痹、疼痛，老是保持着一种姿势，做着一一种简单刻板的动作，使她觉得越来越可厌，到后来竟要令人作呕了。（德来塞 27）

嘉莉妹妹由于没有制作皮鞋的经验，一下子还难以适应。她在学习的过程中，感到腰酸背疼，眼花缭乱，精神和肉体高度紧张，感到度日如年。这种经验没有任何自动化的遮蔽，是那么的真实，不会把生活化为乌有，但这种经验是非常痛苦的，也很耽搁时间，拖延了整个生产线。

神经系统的动态核心的特点，在现实世界中很难改变。在文学的世界中，作家在一定的程度上也受这一原理的制约。在墓地，那两个小丑把自觉意识放在挖掘墓穴这个任务之上，他们就得忽视情感问题和许多挖掘的细节。如果他们的自觉意识像哈姆莱特一样转向生死问题，或者像嘉莉妹妹一样关注劳动的细节，他们就会无法完成挖掘墓穴的任务。当作家强调了这一面，其他方面就被忽视了。人的意识总是由一个自觉的意识和一些无意识一起构成的，无法使所有的部分都成为自觉意识，也不能让所有的部分都沉入无意识。托尔斯泰的担心是片面的。抹灰尘的人虽然忽略了抹沙发的经验，但那时他心中可能在想着如何与女友约会，他的经验并没有化为零。另一方面，我们也不必对什克洛夫斯基提出的陌生化理论寄予过高的希望，因为他强调了这方面的自觉意识，只能把其他方面的意识打入无意识。

文学的世界与现实当然也有一定的区别，作家可以积极利用动态核心原理为更好的艺术效果服务。首先作家总是有着特别的眼光，能够把那些平时似乎很熟悉，实则被受忽视的意识展示出来，给人以陌生化的效果。例如说，在传统社会女人一直过着相夫教子的生活，在家里处于从属的地位，但《玩偶之家》（*A Doll's House*）挑战了这个习以为常的家庭观念，创造出了陌生化的效果。当然，女主角把这种边缘化的女性主体意识提高到自觉的层面，必然会把那一刻的其他意识沉入潜意识。娜拉的自觉意识也只有一个，但她这一瞬间的意识结构与其他的人类意识不同，因此是一种创新。如果一直强调这一点，其他意识就会受到遮蔽。成功的作家能够合理处理意识的动态核心，协调好去蔽与遮蔽的关系。

作家还可以轻松地把不同的动态核心进行比照，从而产生陌生化的效果，正如《哈姆莱特》的墓地场景一样。理论上，现实世界中也有这种可以形成强烈对照的场景，但现实世界必然受到各种限制，这种场面很有限。作家可以轻易地构想出这种具有戏剧性的场面，甚至可以创造出现实中不可能出现的场景，如通过动物或者植物的视野看人。再次，作家笔下同一人物的动态核心的转换非常容易。在文学作品中，作家可以轻松地切换，把各种动态核心展现出来，在对比的张力中创造出陌生化效果。

四、异突触易化

坎德尔提出的异突触易化理论对于研究陌生化现象也颇有借鉴价值。他曾说：

与之前的习惯化实验一样，我通过向连着 R2 细胞的同一条神经通路施加微弱刺激来模拟敏感化。我刺激它一到两次以诱发一个突触电位，作为细胞反应性的基线度量。接着我向连着 R2 细胞的另一条通路连续施加 5 个更强的刺激（模仿的是不愉快或有害刺激）。在我呈现了更强的刺激之后，细胞对第一条通路上的刺激的突触的反应显著增强了，这意味着那条通路的突触连接增强了。这一增强的反应持续时间可以长达 30 分钟。我们将上述过程称作异突触易化：易化指的是突触连接强度增强了，异突触则指的是对第一条通路的突触刺激的增强反应是另一条通路的强刺激引起的。（坎德尔 181-182）

这种现象的本质为，通过刺激另外一条神经通路，来增强原来不太兴奋的神经通路。在上文的同突触抑制的实验中，接连刺激 10 次，反应的强度马上降为二十分之一，而在这个异突触易化的实验中，增强的反应可持续 30 分钟。可见这是保持神经兴奋的好方法。如果从文学艺术的角度看，这是陌生化的重要手段。

异突触易化的方式之一为敏感化。坎德尔说：“敏感化就是习惯化的镜像。（……）敏感化是一种习得性恐惧：它训练动物受到一个威胁性刺激后，要对几乎任何刺激都注意并做出比以往更强的反应。因此，对一只动物的足部施加一次电击后，这只动物会对钟声、铃声或轻抚都做出夸张的退缩和逃跑反应”（181）。人类也一样。坎德尔还指出，“听到一声枪响之后，一个人就会在听到铃声或感到有人碰到他肩膀时，做出夸张的反应”（坎德尔 181）。

为了使感知系统摆脱习惯化和自动化，作家往往在作品中加入一个强大的刺激，这样可以让世界显得新奇和陌生，增加感知的难度，延长感知的时间。美国电影导演、悬念大师希区柯克曾举例，如果有四个人围坐在桌子边谈论棒球，而且事先让观众知道桌底下有一颗炸弹，将在五分钟之内爆炸，那么你的预示就会造成有力的悬念，使观众十分关注这个谈论棒球的场面；可是如果观众事先不知道有炸弹，四个人谈了五分钟，突然炸弹爆炸，人被炸成碎片，观众只会感到十秒钟的震惊，而对四个人谈话的那五分钟，则感到非常沉闷。¹ 这颗炸弹是一个强刺激，能够使观众敏感化，让大家仔细审视习以为常的一切。如果按照希区柯克的方法进行安排，可以把这种效果最大化。

1 参见希区柯克：“漫谈电影导演”，邵牧君译，《电影艺术译丛》1（1978）：93-114。

异突触易化的另一种方式是条件作用。坎德尔曾指出：“我尝试模拟的是厌恶性经典条件作用。这一形式的经典条件作用训练动物将一个不愉快的刺激（如电击）和一个原本不引起反应的刺激进行连结”（182）。提起条件作用，自然使我们想起巴甫洛夫的著名实验。首先摇铃，然后电击狗的腿，狗马上缩腿。重复若干次之后，只要铃声一响，狗就会缩腿，就算后面没有电击出现。如果以异突触易化的理论来分析这个现象，我们可以说，听铃声是一个感知系统，而感知电击又是另一个系统，但通过这个实验，在两个系统之间建立起了联系，电击大大加强了听到铃声的反应。

作家也常常把一个因熟悉而没有多少感觉的东西与一个能够产生刺激的东西联系起来描写，从而通过其他神经通路激活原来并不活跃的神经通路。在梅尔维尔（Herman Melville）的《白鲸》（*Moby Dick*）中，作者把白色与恐怖联系在一起。书的第42章为《白鲸之白》。作者指出，在各种文化中，白色虽然在很多情况下都与甜美、光荣、至高无上的事物相联系，但“在这种颜色所蕴含的内在的意念中却仍然潜藏着某种难以捉摸的东西，它在心灵中引起的惊惶，远过于红色令人想起鲜血而造成的恐惧”（梅尔维尔 208）。他说：“看一看那南北极的白熊和热带的白鲨鱼，使它们成为超越寻常的恐怖对象的岂不正是它们的那种平滑的雪花般的白色？赋予它们的迟钝而又凶残的外貌以这样一种可恶的温良假象（这甚至比凶恶还要可恨）的正是这望而生畏的白色”（梅尔维尔 208）。然后他描述了不少让人恐怖的白色的东西，如信天翁，白驹，白化病，滔天的白浪等。他还把白色与死亡联系起来。他说：“死者的容貌中使目睹的人看在眼里最为骇怕的正是那脸上残留的大理石般的苍白色；这苍白色既是阴间惊愕失色的象征，又在同样程度上是这阳间凡人心惊胆战的象征”（梅尔维尔 211）。这样就把白色陌生化了。作者不仅仅刺激了感知白色的神经通路，而且不停地描述恐怖的对象，如北极熊、死亡等，激活相关神经通路，通过这些通路的激活返过来影响原来的通路。这里的描写，与电击狗的实验也有一些区别。在那个狗的实验中，电击与铃声之间的联系是任意的，而在白色和恐怖之间有一定的内在联系，作者只是加强了这种联系。实验中的电击每次都一样的，而《白鲸》却借用了多种不同的恐怖对象，如信天翁、白驹、白化病、滔天的白浪等，展现了多样性和变化性。

在文学作品中，异突触易化的手法，不一定与强刺激相联系。更多的情况是，有一定的相同点，又有明显的区别。相同点使读者轻松地把两者联系起来，区别使读者重新反思原来已经熟悉的对象，从而产生陌生化现象。例如说，劳伦斯的小说常常把女人与月亮联系在一描写，从而促使读者以陌生化的眼光进行反思。在《热恋中的女人》（*Women in Love*）中，伯金是个比较自我中心主义的男人，而他的女友厄秀拉是一位有独立个性的女人。厄秀拉曾这样批评伯金：“你只要达到你的目的。你并不想为我做什么，却只要我为你做。这太不公平了！”（劳伦斯 315）两个人在精神上有一定的冲突。

在小说中，劳伦斯把厄秀拉比作月亮。我们读一读下面的选段。

他站在那儿凝视着水面。然后他弯下腰去拾起一块石头，用力把石头扔向水池中。厄秀拉看到明亮的月亮跳动着、荡漾着，月亮在眼中变形了，它就像乌贼鱼一样似乎伸手臂来要放火，像珊瑚虫一样在她眼前颤动。

他站在水塘边凝视着水面，又弯下身去在地上摸索着。一阵响声过后〔……〕就在这中心，那生动、白亮白亮的月亮在震颤，但没有被毁灭。这闪着白光的躯体在蠕动、在挣扎，但没有破碎。它似乎盲目地极力缩紧全身。它的光芒愈来愈强烈，再一次显示出自己的力量，表明它是不可侵犯的。月亮再一次聚起强烈的光线，凯旋般地在水面上飘荡着。（劳伦斯 311-312）

伯金还继续多次扔石头，他声称：“我想看看我是否可以把月亮赶出水面”（劳伦斯 313）。但月亮最后还是完好无缺地恢复原状。伯金“尽了最大的努力来维持这种对话并强迫她在精神上投降”（劳伦斯 315），却未能获得成功。很显然，在这里月亮的特性代表着厄秀拉的个性，伯金的扔石头象征着试图征服和控制女友的行为，但月亮还是那么圆，伯金一无所获。这就是通过一条神经通路影响另一通路的陌生化手段。当然，文学与科学有定的区别。一般的科学实验，重视的是准确性和稳定性，而文学作品更加关注细节和变化，所以这里多次扔石头的情景都有一些区别。月亮并不像死神一样，可以激起强烈的情感，但作者通过描写女主角与月亮的异同，使我们产生了陌生感，从而对这个女人有了深刻的认识。

在《热恋中的女人》和《白鲸》中，不同神经通路的关系通过多次重复的刺激才建立起来，达到异突触易化的目的。在更多的文学作品中，异突触易化的关系往往可以一次性地建立起来。在莎翁的第 99 首十四行诗有很多这样的例子：

百合花盗用了你的素手，
墨角兰偷用了你的秀发；
枝头上忧心忡忡的玫瑰，
红的是你的羞涩，白的是你的绝望；
非红非白的盗用了两者，
甚至还占有你的气息。（Shakespeare 1767）

这首诗有很多比喻，把素手比作百合花，把秀发比作墨角兰等，属于异突触易化，但这些比喻都只出现一次，没有像对狗的电击一样多次重复。

这种关系之所以可以一次性地建立起来，关键在于本体与喻体具有不少相同点，关联起来比较容易。

在电击狗的实验中，经过多次电击之后，只要出现铃声，狗就会缩腿。在文学作品里面也有很多这样的异突触易化现象。例如说，在象征中，本体不用出现，只要喻体出现，我们就知道它象征什么。在寒冬时节，竹松梅这三种植物仍保持着顽强的生命力，所以古人喜欢用三者象征高尚的人格和忠贞的友谊。时间长了，人们就再也不用提人格和友谊了，直接给朋友三竹松梅，别人就明白你的意思，正如狗听到铃声而缩腿，属于典型的异突触易化。文学的大多数手法都可以划入经典条件作用的范畴，如比喻、象征、拟人、夸张、排比等修辞格都是如此。很多文类，如寓言、乌托邦、科幻小说等，也离不开经典条件作用。我们可以肯定，经典条件作用是大多数陌生化手法的基础。

敏感化和条件作用，都是由其他神经通道引起这条通路的感知的强化，但两者有一定的区别。科学家发现，“第一，在经典条件作用中，连结是由快速相继出现的两个刺激配对形成的。第二，经典条件作用只增强动物对中性刺激的防御性反应，而不像敏感化会使它们对环境中各种刺激的反应都有所加强”（坎德尔 182）。敏感化体现了一通路与多条通路的关系，而条件作用体现的是一条通路与另一条通路的关系。科学家还发现：“两个刺激的配对大大增强了细胞对弱刺激的反应，而且这一增强的反应远远大于敏感化实验中细胞对弱刺激的增强反应”（坎德尔 182）。在文学作品中，敏感化手法主要用于渲染环境，而建立于条件作用之上的艺术形式更多样，表达能力更为丰富，效果也更好。

通过动态核心原理和异突触易化进行陌生化，都属于形式的问题。通过形式的手法可以创造出无数多的陌生化途径，而且效果相当好，所以受到了理论家的高度重视。

结语

神经系统初次遇到新鲜事物一般大面积兴奋，以便进行识别，但习惯化之后，相关信息将由少数专门的细胞处理，甚至可以达到自动化的程度，基本没有什么感觉，从而节省脑力。习惯化是埃德尔曼和托诺尼的动态核心假设的前提。该假设断定，人在某一时刻只允许一个费脑力的自觉意识存在，其他部分由习惯化的无意识构成，意识的整个结构时刻都在变，但核心始终只有一个。习惯化可以节省脑力，但也会让神经系统变得麻木，对事物没有什么感觉，所以文艺理论家提出了陌生化原理，试图恢复感受的经验。陌生化的第一种方式可以用动态核心理论进行解释。作家往往把长期处于潜意识状态的重要思想提高到自觉意识的状态，通过改变意识的核心创造陌生的感觉。作家还可以将同一人物的动态核心轻松地进行切换，将不同人物的动态

核心并置，在对比中创造出陌生化的效果。第二种陌生化效果可以用坎德尔提出的异突触易化进行解释。异突触易化的主要特点为：如果想强化一条神经通路中的刺激，可以对另外一条神经通路施以强刺激；这个刺激可以反过来强化第一通路中的刺激。异突触易化之一是敏感化，即一条神经通路感受到一个强大刺激之后，所有的神经通路都会对刺激产生强烈的反应。作家往往在作品中渲染一个很强的刺激，特别是悬念，使读者产生草木皆兵的感觉，以警觉的眼光审视每个细节，从而产生陌生化的效果。异突触易化之二是条件作用，即通过另外一条神经通路强化要关注的通路。文学作品中的比喻、拟人、象征、排比等修辞格都建立在条件作用之上，科幻、乌托邦、寓言等，属于扩大的条件作用，都是异突触易化的结果。目前文艺理论家注意到的陌生化都属于形式的问题，但形式的改变必然意味着感受到的内容也不一样。就算完全不用新的形式，内容创新也完全可以给人以陌生的感觉，只是内容创新空间比较有限。这个有限的空间也有研究价值，不应该忽视。

Works Cited

- 布莱希特：《布莱希特论戏剧》，丁扬忠等译。北京：中国戏剧出版社，1990年。
[Brecht, Bertolt. *Brecht on Theatre*, translated by Ding Yangzhong et al. Beijing: China Theatre Press, 1990.]
- 德来塞：《嘉莉妹妹》，裘柱常译。上海：上海译文出版社，2001年。
[Dreiser, Theodore. *Sister Carrie*, translated by Qiu Zhuchang. Shanghai: Shanghai Translation Publishing House, 2001.]
- 杰拉尔德·埃德尔曼、朱利欧·托诺尼：《意识的宇宙》，顾凡及译。上海：上海科学技术出版社，2019年。
[Edelman, Gerald and Tononi Giulio. *A Universe Of Consciousness*, translated by Gu Fanji. Shanghai: Shanghai Science and Technology Publishing House, 2019.]
- Haier, Richard J. et al. "Regional Glucose Metabolic Changes after Learning a Complex Visuospatial/Motor Task: A Positron Emission Tomographic Study." *Brain Research* 570 (1992): 134-143.
- 黑格尔：《精神现象学》（上卷），贺麟、王玖兴译。北京：商务印书馆，1997年。
[Hegel, Georg Wilhelm Friedrich. *The Phenomenology of Spirit* vol.1, translated by He lin and Wang Jiuxing. Beijing: The Commercial Press, 1997.]
- 希区柯克：“漫谈电影导演”，邵牧君译，《电影艺术译丛》1（1978）：93-114。
[Hitchcock, Alfred. "On Film Direction." Translated by Shao Meijun. *Translation of Film Art* 1 (1978): 93-114.]
- James, William. *The Principles of Psychology*. Cambridge, Mass.: Harvard UP, 1983.
- 埃里克·坎德尔：《追寻记忆的痕迹》，喻柏雅译。北京：中国友谊出版公司，2019年。
[Kandel, Eric R. *In Search of Memory: The Emergence of a New Science of Mind*, translated by Yu Biaya. Beijing: Chian Friendship Publishing House, 2019.]

大卫·劳伦斯：《热恋中的女人》，毕冰宾译。太原：北岳文艺出版社，1992年。

[Lawrence, David. *Women in Love*, translated by Bi Bingbin. Taiyuan: Beiyue Literature & Art Publishing House, 1992.]

Lowell, Amy. *Selected poems of Amy Lowell*. New Brunswick; New Jersey; London: Rutgers UP, 2002.

赫尔曼·梅尔维尔：《白鲸》，成时译。北京：人民文学出版社，2008年。

[Melville, Herman. *Moby Dick*, translated by Cheng shi. Beijing: People's Literature Publishing House, 2008.]

聂珍钊：《文学伦理学批评及其其它——聂珍钊自选集》。武汉：华中师范大学出版社，2012年。

[Nie Zhenzhao. *Ethical Literary Criticism and Other Essay: A self-selected collection*. Wuhan: Central China Normal UP, 2012.]

Shakespeare, William. *The Riverside Shakespeare*. Boston: Houghton Mifflin, 1966.

莎士比亚：“哈姆莱特”，《莎士比亚全集》第9卷，朱生豪译。北京：人民文学出版社，1991年。

[Shakespeare, William. “Hamlet.” *Complete Works of Shakespeare* vol.9, translated by Zhu Shenghao. Beijing: People's Literature Publishing House, 1991.]

什克洛夫斯基：《散文理论》，刘宗次译。南昌：百花洲文艺出版社，1997年。

[Shklovsky, Viktor. *Theory of Prose*, translated by Liu Zongci. Nanchang: Baihuazhou Literature and Art Publishing House, 1997.]

文学伦理学批评、伦理思想流变与道德教诲功能： 评《英国文学的伦理学批评》

Ethical Literary Criticism, the Evolution of Ethical Thought and the Function of Moral Teaching: A Review of *Ethical Literary Criticism of English Literature*

唐 洁 (Tang Jie) 杨金才 (Yang Jincai)

内容摘要：《英国文学的伦理学批评》运用文学伦理学批评理论及其与多种理论耦合共生的新型文学伦理学批评理论，精选 16 世纪至 20 世纪具有代表性的英国文学文本，通过扎实的文本细读，采用跨学科视域探索英国文学文本的批评实践，挖掘英国伦理思想流变及英国文学的道德教诲功能，为英国文学和文学理论教学与研究的百花齐放做出了独创贡献，具有重要学术价值和现实意义。

关键词：《英国文学的伦理学批评》；文学伦理学批评；伦理思想流变；道德教诲功能

作者简介：唐洁，南京大学外国语学院博士生、南京大学金陵学院副教授，主要从事英美文学和文学理论研究；杨金才，南京大学外国语学院教授，主要从事英美文学和文学理论研究。

Title: Ethical Literary Criticism, the Evolution of Ethical Thought and the Function of Moral Teaching: A Review of *Ethical Literary Criticism of English Literature*

Abstract: *Ethical Literary Criticism of English Literature* uses the theory of ethical literary criticism and the new theory of ethical literary criticism after coupling with various other theories to carry out the criticism practice of English literary texts from the 16th century to the 20th century through solid close reading. It excavates the evolution of British ethical thought and plays a role in moral teaching, which have made original contributions to the blooming of English literature and literary theories' teaching and research. It has important academic value and practical significance.

Keywords: *Ethical Literary Criticism of English Literature*; ethical literary criticism; the evolution of ethical thought; the function of moral teaching

Authors: **Tang Jie** is PhD candidate at the School of Foreign Studies, Nanjing University (Nanjing 210023, China) and Associate Professor of Jinling College, Nanjing University (Nanjing 210023, China). Her research focuses on British and American literature and literary theory (Email: tangjiemail2002@126.com). **Yang Jincui** is Professor at the School of Foreign Studies, Nanjing University (Nanjing 210023, China). His area of academic research includes British and American literature and literary theory (Email: jcyang@nju.edu.cn).

聂珍钊教授和苏晖教授总主编的《文学伦理学批评研究》（五卷本）是中国特色文学理论建构的里程碑之作¹，极大拓展了文学伦理学批评认知视野的广度与深度，在致力构建中国特色文学批评话语体系的新时代，具有里程碑式的创新意义²。从2004年聂珍钊教授引领团队启动并激活了文学伦理学批评研究到2020年《文学伦理学批评研究》（五卷本）的出版发行，文学伦理学批评经过16年发展，焕发出旺盛的生命力和无穷的活力，显示出独特的理论方法价值和批评实践意义，挖掘了文学作品所蕴含的伦理道德思想，发挥了文学作品的教诲功能。该研究得到学术界的高度关注和广泛研讨，取得了重要突破，研究进程进入到新阶段。如果说《文学伦理学批评研究》综合呈现了文学伦理学批评系统的宏大格局和复杂体系，那么徐彬教授主编的《英国文学的伦理学批评》则从英国文学的视角凸显了该系统的本质特征。本文从理论方法内涵、批评实践范例、伦理思想流变和道德教诲功能四个维度对《英国文学的伦理学批评》（以下简称为《英》）进行评述。

一、理论方法内涵

文学伦理学批评形成了独立的理论体系，为《英》的文学批评实践提供了理论方法上的创新指导。“中国文学伦理学批评自提出以来，其理论建构经历了一个不断完善发展的过程。文学伦理学批评基本理论框架的建构主要是由聂珍钊教授完成的”（朱振武 朱晓亚 99）。文学伦理学批评的批评术语被灵活地运用于英国文学文本的批评实践中，以横组合和纵聚合关系精确地描述并解码了英国文学文本所隐藏的伦理道德思想。第一章中威廉·莎士比亚悲剧《雅典的泰门》（*Timon of Athens*, 1607），作者解码文本所影射的封建主义经济的“赠与伦理”和资本主义经济“契约伦理”之间的对立和冲突。“赠与伦理”和“契约伦理”中的伦理结（ethical knots）构成了横组合关系。“赠与伦理”和“契约伦理”形成的伦理线（ethical line）构成纵聚合关

1 参见 刘英：“中国特色文学理论建构的里程碑——评五卷本《文学伦理学批评研究》”，《外国文学研究》1（2021）：164-170。

2 参见 李伟昉：“在对话中构建中国特色文学批评话语体系的里程碑——评聂珍钊与苏晖总主编《文学伦理学批评研究》”，《当代外国文学》2（2021）：166-169。

系。文学伦理学批评理论被运用于分析英国文学文本复杂的伦理结构，显示出极大的理论张力。

《英》采用跨学科视域耦合多种文学批评理论进行文学伦理学批评实践，产生了积极的联动效应。“文学伦理学批评理论具有开放的品格和跨学科的视域，借鉴并吸收了伦理学、哲学、心理学、社会学、历史学等学科的研究成果，并融合了叙事学、生态批评、后殖民主义批评等现当代文学批评理论和方法”（苏晖 41）。耦合共生所产生的新型文学伦理学批评理论被巧妙地运用于英国文学文本的批评实践中，因为多种理论的联合产生增力，有益于剖析英国文学文本所蕴藏的伦理道德思想。第一章对于莎士比亚悲剧和喜剧文本的伦理学批评研究中，作者运用政治经济学相关理论，探讨了多种经济现象或事件。经济元素与伦理道德元素密切交织在一起，前者甚至具有影响和改变后者的功能。由主人公的经济身份和伦理道德身份引起的冲突是此类文学作品中常见的主题。第九章劳伦斯·达雷尔的《亚历山大四重奏》（*The Alexandria Quartet*, 1957-1960），作者融合文学伦理学批评和后殖民理论与精神分析批评理论，揭示出文本人物关于制服的畅想是殖民政治“力比多”冲破潜意识压制，最终到达意识层面，英国殖民巨人虽然消亡，然而被称为“神圣幽灵”的殖民伦理却一直阴魂不散。作者吸收社会学的“场所”概念，运用文学伦理学批评理论解读后殖民背景下亚历山大城的伦理环境（ethical environment）和伦理语境（ethical context），揭露出亚历山大城“伦理真空”和“贱民的发言”地的双重“伦理环境”特征。跨学科和耦合增强了文学伦理学批评理论的指导性和适用性，凸显了理论的巨大活力和丰富内涵。

二、批评实践范例

《英》的批评实践是经过深入研究文学伦理学批评理论和扎实的英国文学文本细读后的学理性论证。作者不仅重视文学伦理学批评理论及其与其他文学理论的耦合研究，而且重视具有代表性的英国文学文本细读，直面理论并立足文本，相互促进，进行学理性论证。第五章中约瑟夫·康拉德的《黑暗之心》（*Heart of Darkness*, 1902），作者运用文学伦理学批评的兽性因子（animal factor）和人性因子（human factor）揭示出以库尔兹为代表的肩负欧洲使命和责任的那些人到达非洲之后，因缺乏有效的监管后权力和私欲膨胀，在自身兽性因子的驱使下走向堕落，又在临终前认识到自己的黑暗之心，恢复人的人性因子的觉悟。这无疑是对现代社会伦理道德思想的深刻反思。批评实践要通过细读文本才能获得珍贵的细节，14条文本细节引用生动详实地论证了小说人物库尔兹的兽性因子和人性因子。阅读文本和研究文学伦理学批评理论齐头并进，创建了深中肯綮和令人信服的英国文学文本批评实践。

《英》的批评实践是文学伦理学批评基本原理阐释下的英国文学文本分

析范例。“文学伦理学批评在理论建构和批评实践方面取得突出的成果，为文学研究提供了新的研究路径和批评范式”（苏晖 39）。疏离文学文本无法验证理论的可行性和正确性，反之，抛开理论也无法开展有深度的批评实践。作者将文学伦理学理论研究和英国文学文本批评实践紧密联系起来，创造出理论和批评实践互不脱节且相辅相成的范例。第七章中伊恩·麦克尤恩的《儿童法案》（*The Children Act*, 2014），作者综合运用文学伦理学批评的伦理身份（ethical identity）、伦理选择（ethical choice）、自由意志（free will）、人性因子（human factor）、兽性因子、伦理禁忌（ethical taboo）、伦理结等术语，条分缕析探讨菲奥娜法官对雷切尔和劳拉姐妹的监护权争夺案，马太和马克兄弟的连体手术分离案以及亚当输血案的处理所折射出的“儿童福祉”的不同理解。最后，菲奥娜法官获得生命乃是儿童最根本的福祉的伦理顿悟。《英》深入细致地阐释了二十多部有代表性的英国文学作品，文本体裁多样，涉及小说、戏剧、诗歌、童话等，理论方法的延展和批评论证的推演既相得益彰，又相互推进，非常具象化地为读者进行文学伦理学批评实践提供了范例支撑和重要参照。

三、伦理思想流变

《英》所选的英国文学文本历史时间跨度数百年，系统化挖掘了特定历史时期的英国伦理道德思想。《英》主要包括总序（一）、总序（二）、导论和9章内容，作者精选从16世纪文艺复兴时期到20世纪后现代、后殖民理论兴起之时的英国文学文本，主要运用文学伦理学批评理论，综合跨学科研究方法，系统地阐释了英国文学在特定文化审美现象或社会政治经济条件下的伦理道德思想。导论中的中古时代的伦理道德思想综述具有溯源英国历史的参考价值。公元8世纪的骁勇善战、慷慨、荣誉和忠诚是贯穿史诗《贝奥武甫》（*Beowulf*）的伦理道德准则。14世纪的罗曼司《高文爵士和绿衣骑士》（*Sir Gawain and the Green Knight*）中的骑士精神成为封建阶层高尚的社会理想。《坎特伯雷故事集》（*The Canterbury Tales*）反映骑士精神的消失，以信奉上帝和禁欲为核心的宗教领域内的伦理道德被世俗利益和享乐原则所替代。15世纪都铎王朝的道德剧中公平、正义等伦理道德实现了从宗教到世俗社会的迁移。¹ 伦理思想变化是广泛的历史发展过程的一部分。任何伦理道德思想模式都不是静止不变的，作者把历史时间跨度作为研究的重要指标之一，充分理解英国历史渊源和进程，把不同历史时间节点的伦理道德思想还原到英国文学文本当中，挖掘闪耀其间的伦理思想流变，有助于了解英国文化及西方文化。

《英》追踪历史进程，动态化考察英国伦理道德思想的历史变迁。亚里士多德指出，“对于我们，没有一种伦理德性是自然生成的”（转引自 聂珍

1 参见 徐彬编：《英国文学的伦理学批评》，北京：北京大学出版社，2020年，第2-4页。

钊4)。在特定的历史阶段，社会有其自身的道德观念和伦理规范。历史变迁必然伴随着伦理变革，而伦理变革也会加速社会进化。伦理变革是历史变迁一部分。“文学是特定历史阶段的伦理观念和道德生活的独特表达形式，文学在本质上是伦理的艺术”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 384）。经过剖析不同社会模态下的文学文本所衍射出的伦理思想反映了所属社会模态的历史信息，伦理思想随着社会模态的变化而发生变化，而伦理思想流变也加剧社会模态的转变并产生更新，这是一个辩证发展的过程。《英》中的社会模态包括英国文艺复兴时期、英国18世纪启蒙运动时期、英国19世纪造钱时代、20世纪后殖民时代和第四次科技革命时代。在不同社会模态下，作者挖掘相应的代表性英国文学文本，归纳了伦理思想流变的多种范式，如扩张伦理、秩序伦理、伦理秩序、（后）现代伦理焦虑与殖民政治伦理等。作者采用辩证唯物主义历史观研究伦理思想流变范式中的道德现象和伦理原则，既有对不同历史时期伦理思潮的综述，也有对具有代表性的英国文学文本的文学伦理学批评实践，依据英国文学文本分析并阐释了不同历史阶段所对应的英国伦理道德思想及其嬗变，这不仅有助于深刻理解英国伦理道德观念的演变和发展情况，亦有助于深入学习和思考英国文学，更为进一步探索和研究英国文学提供了崭新视角。

四、道德教诲功能

《英》的道德教诲功能可以理解作为一种系统化地培养“美与善”的品味风格和情感模式的努力。“优秀的文学作品应该塑造美善统一的人物形象，宣扬美善一体的主题思想，并藉此来感召读者，达到道德教诲和审美的双重目的”（聂珍钊 王松林 113）。第二章比较了塞缪尔·理查生（Samuel Richardson）和亨利·菲尔丁（Henry Fielding）文学作品的共性和差异，强调贞洁美德的重要性，进行道德劝善。文本人物经过伦理磨难，成为道德榜样。第三章探究了维多利亚教育小说的道德情感教育。查尔斯·狄更斯（Charles Dickens）的《艰难时世》（*Hard Times*, 1854）提倡道德情感培养以弥合阶级冲突来解决阶级矛盾，强调文学培养道德情感的伦理功能。夏洛蒂·勃朗特（Charlotte Brontë）的《简·爱》（*Jane Eyre*, 1847）描述了爱情和亲情的道德转化，突出道德情感的形在女性构建新的家庭身份和社会身份中的重要性。第四章探讨了唯美主义的艺术原则与道德意识。奥斯卡·王尔德（Oscar Wilde）的童话《快乐王子》（*The Happy Prince*, 1888）认为内在美比外在美更有价值，王子的善美心灵具有感动人心的力量。小说《道林·格雷的画像》（*The Picture of Dorian Gray*, 1891）阐发了青春之美，道林的青春、美丽和善良都留在了画中，令人心向往之。戏剧《莎乐美》（*Salomé*, 1893）中莎乐美为爱疯狂，利用希律杀死约翰，她的非理性意志（irrational will）是一种不道德的意志。第五章《查泰莱夫人的情人》（*Lady Chatterley's Lover*, 1928），作者运用人

性因子、兽性因子以及斯芬克斯因子（Sphinx Factor）探讨了文本的伦理冲突与平衡，反映了戴维·赫伯特·劳伦斯（David Herbert Lawrence）积极构建理想的伦理平衡的尝试，但是文本所倡导的非理性主义性伦理观是消极的，具有明显的局限性。道德教诲功能对人的品味风格和情感模式培养的介入，有助于引导人们向美向善，识别丑恶，选择健康而合乎道德的生活方式，对我国伦理道德秩序建设提供有益参考。

《英》的道德教诲功能是为了实现“立德树人”的教育根本任务。“教诲就是教人如何做人，教是学的前提，学是教的结果。伦理选择强调经由教诲做出正确的伦理选择，从而做一个道德高尚的人”（聂珍钊 王松林 15）。第六章探索了20世纪诗歌的伦理关怀。菲利普·拉金（Philip Larkin）的《北方的船》（*The North Ship*, 1945）和《受骗较少者》（*The Less Deceived*, 1955）诗集中爱情诗歌折射出人们理性意志（rational will）和自由意志的对抗与平衡，赞美真挚的爱情，描述了社会转型时期伦理重构中的伦理焦虑和伦理思考。《降灵节婚礼》（*The Whitsun Wedding*, 1964）肯定升华为道德的爱情，体现诗人伦理意识增强。泰德·休斯（Ted Hughes）的《雨中鹰》（*The Hawk In the Rain*, 1957）《乌鸦》（*Crow: from the Life and Songs of the Crow*, 1970）《四季歌》（*Season Songs*, 1976）《什么是真？》（*What is the Truth?* 1984）诗集中的诗歌关注人与自然之间的伦理关系以及自然对人的伦理启蒙，反映了人与自然和谐相处的生态伦理观。谢默斯·希尼（Seamus Heaney）的《进入黑暗之门》（*Door into the Dark*, 1969）、《在外过冬》（*Wintering Out*, 1972）《北方》（*North*, 1975）《山楂灯笼》（*The Haw lantern*, 1987）诗集中的诗歌更关注人与社会的伦理关系，描述伦理环境的改变会导致人们陷入伦理困境（ethical predicament），只有做出合适的伦理选择，才能找到出路。第八章对哈罗德·品特（Harold Pinter）的《背叛》（*Betrayal*, 1978）和汤姆·斯托帕德（Tom Stoppard）的《阿卡狄亚》（*Arcadia*, 1993）中的婚外情以及卡丽尔·丘吉尔（Caryl Churchill）的《优秀女子》（*Top Girls*, 1979）中的女强人和未婚母亲的双重身份进行了伦理道德分析，表达了伦理关切，体现出戏剧的道德教诲功能，避免了道德说教。习近平总书记要求：落实立德树人根本任务，发展素质教育，推进教育公平，培养德智体美全面发展的社会主义建设者和接班人。¹文学研究者也是文学教育者。道德教诲功能帮助教育者履行伦理教育和道德教化的责任，以期完成“立德树人”的教育根本任务。

作为文学伦理学批评系统的子系统，《英》既凸显了文学伦理学批评理论方法内涵，又提供了文学伦理学批评实践范例，还挖掘了英国伦理思想流变及英国文学道德教诲功能，为英国文学和文学理论教学与研究的百花齐放

1 参见教育部课题组：《深入学习习近平关于教育的重要论述》，北京：人民出版社，2019年，第46页。

做出了独创贡献，具有重要的学术价值和现实意义。《英》内容涵盖较为全面，与英国建国和中世纪文学文化发展相关的伦理学层面上的探讨涉及英国民族性的本源基础问题，具有极高的学术价值和社会意义，但相关探讨仅在导论部分出现，未能深入展开系统性研究，这也产生些许遗憾。然而，毋庸置疑的是，英国文学的伦理学批评在未来有着广阔的发展空间，文学伦理学批评理论及实践将会是学术界继续关注的前沿问题。

Works Cited

教育部课题组：《深入学习习近平关于教育的重要论述》。北京：人民出版社，2019年。

[Research Group of the Ministry of Education. *Further Study of Xi Jinping's Important Exposition on Education*. Beijing: People's Publishing House, 2019.]

李伟昉：“在对话中构建中国特色文学批评话语体系的里程碑——评聂珍钊与苏晖总主编《文学伦理学批评研究》”，《当代外国文学》2（2021）：166-169。

[Li Weifang. "A Milestone in Constructing the Discourse System of Literary Criticism with Chinese Characteristics in Dialogue: A Review on *A Study on Ethical Literary Criticism* Edited by Nie Zhenzhao and Su Hui." *Contemporary Foreign Literature Studies* 2 (2021): 166-169.]

刘英：“中国特色文学理论建构的里程碑——评五卷本《文学伦理学批评研究》”，《外国文学研究》1（2021）：164-170。

[Liu Ying. "A Milestone in Initiating a Literary Theory with Chinese Characteristics: A Review on the Five-Volume *Ethical Literary Criticism Studies*." *Foreign Literature Studies* 1 (2021): 164-170.]

Nie Zhenzhao. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍钊等：《英国文学的伦理学批评》。武汉：华中师范大学出版社，2007年。

[Nie Zhenzhao, et al. *Ethical Literary Criticism of English Literature*. Wuhan: Central China Normal UP, 2007.]

聂珍钊、王松林编：《文学伦理学批评理论研究》。北京：北京大学出版社，2020年。

[Nie Zhenzhao and Wang Songlin, eds. *A Study on the Theory of Ethical Literary Criticism*. Beijing: Peking UP, 2020.]

苏晖：“总序（二）”，《文学伦理学批评研究》，聂珍钊、苏晖主编。北京：北京大学出版社，2020年。

[Su Hui. "Introduction (II)." *A Study on Ethical Literary Criticism*, edited by Su Hui and Nie Zhenzhao. Beijing: Peking UP, 2020.]

徐彬编：《英国文学的伦理学批评》。北京：北京大学出版社，2020年。

[Xu Bin ed. *Ethical Literary Criticism of English Literature*. Beijing: Peking UP, 2020.]

朱振武、朱晓亚：“中国文学伦理学批评的发生与垦拓”，《当代外国文学》2（2013）：98-105。

[Zhu Zhenwu and Zhu Xiaoya. "Ethical Literary Criticism in China." *Contemporary Foreign Literature Studies* 2 (2013): 98-105.]

哈罗德·品特研究新成果：威廉·贝克《品特的世界》评介

***A Review of Pinter's World: Relationships, Obsessions, and Artistic Endeavors* by William Baker**

刘红卫 (Liu Hongwei)

内容摘要：2018年出版的《品特的世界》是威廉·贝克教授研究哈罗德·品特的最新成果。该书通过深度挖掘和利用包括日记、书信、回忆录、访谈等重要文献史料，论及品特近50年诗歌、舞台剧、影视剧、文论等不同形式的文学创作经历、渊源、批评及影响，形成了品特整体研究新范式及多文本间性研究的新方法。贝克教授这部著作与其前4部著述表现出独有的品特研究治学之道。无论是对普通“品特迷”还是专业品特研究者，都有着重要的参考价值。

关键词：威廉·贝克；《品特的世界》；文献史料；整体研究；多文本间性研究

作者简介：刘红卫，中南财经政法大学外语学院教授，主要研究方向为现当代英美戏剧、文学伦理学批评研究。

Title: *A Review of Pinter's World: Relationships, Obsessions, and Artistic Endeavors* by William Baker

Abstract: William Baker's *Pinter's World: Relationships, Obsessions, and Artistic Endeavors* published in 2018 is the latest research on Harold Pinter. By exploring rare and primary sources, including diaries, letters, memoirs, interviews, etc., Professor Baker innovatively expounds the creative experiences, sources, criticism and influences of Pinter's poetry, dramas, screen scripts, public lectures, which forms new paradigm of overall research and new methodology of inter-textual study on Pinter's writings. Baker's *Pinter's World* and his other four works manifest a unique way of criticism on Pinter. Accordingly, it is vital for Pinter enthusiasts and professional scholars as an invaluable reference.

Keywords: William Baker; *Pinter's World: Relationships, Obsessions, and Artistic Endeavors*; documentary archive; overall research; inter-textual study

Author: Liu Hongwei is Professor at the School of Foreign Languages, Zhongnan University of Economics and Law (Wuhan 430073, China). Her academic research

mainly focuses on the modern American and British drama and Ethical Literary Criticism (Email: liuhw@zuel.edu.cn).

20世纪的英国剧坛被誉为是继莎士比亚之后“戏剧复兴”的世纪。2005年诺贝尔文学奖获得者英国剧作家哈罗德·品特（Harold Pinter）无疑是其中最重要的代表之一。西方学界对于品特及其作品所展开的学术性批评研究，主要依据其在不同时期的作品创作特点以及期间出现的主要批评思潮，大致可以概括为：比较（影响）研究、主题研究、语言风格研究、心理批评研究、女性批评研究、文化批评研究、批评史研究、传记研究等。由此可见，已有的品特批评研究的规模化、批评角度的多元化使得品特研究已成“显学”，“甚至形成了一个庞大的‘品特批评’产业”（Merritt xv）。也因此，学界实际上面临着品特研究新的可能性的问题。2018年威廉·贝克（William Baker）教授撰写的《品特的世界》（*Pinter's World: Relationships, Obsessions, and Artistic Endeavors*）¹不仅是他数十年研究品特的倾心新作，更以新材料、新方法、新范式力促品特研究推陈出新。

贝克教授现执教于美国北伊利诺伊大学英语系，对于英美文学研究有着很深的造诣，尤其在品特研究领域有着重要影响，已著有《哈罗德·品特》（*Harold Pinter*, 1973）《哈罗德·品特：文献史研究》（*Harold Pinter: A Bibliographical History*, 2005）《哈罗德·品特》（*Harold Pinter*, 2008）《哈罗德·品特年谱》（*A Harold Pinter Chronology*, 2013）等著述。2018年出版的最新成果《品特的世界》是贝克教授关于品特研究的第五部著作。

《品特的世界》一书共分“戏剧与电影”（The Theatre and Film）、“痴迷”（Passions）、“餐馆与友情”（Restaurants and Friendships）、“女性”（Women）、“政治与宗教”（Politics and Religion）、“文学影响与钟爱的作家”（Literary Influence and Favorites）六个章节。该书通过深度挖掘和运用包括日记、书信、回忆录、访谈等重要文献史料，论及品特近50年诗歌、舞台剧、影视剧、文论等不同形式的文学创作经历、渊源、批评及影响，形成了品特整体研究新范式和多文本间性研究新方法。

《品特的世界》最大的特色是对包括书信、日记、回忆录、传记、访谈等重要文献史料的深度挖掘和运用。相较于品特纯文学作品，这类文献史料不仅塑造了一个真实且多面“点描式的品特形象”（xii）²，而且另辟蹊径地重现了英国当代戏剧“现场”，形成了一方“纪实的”、“可溯的”品特研究

1 书名为笔者自译。

2 本文有关《品特的世界》的引文均来自 William Baker, *Pinter's World: Relationships, Obsessions, and Artistic Endeavors* (Vancouver: Fairleigh Dickinson University Press, 2018)。以下引文仅标注页码，不再一一说明。引文均为笔者译。

新视野。

目前，大英图书馆的“哈罗德·品特档案馆”是最丰富、最重要的品特文献史料来源之一。该馆1993年9月以长期租借的方式馆藏了60多箱品特大部分文稿，1994-2005年间增加到近150箱。2007年，大英图书馆买断了“哈罗德·品特档案馆”馆藏所有文献史料。这些馆藏的品特文献史料包括品特作品打字稿和手稿、信件、日记、笔记、剪贴簿、照片以及电邮文字稿等，为品特的舞台剧、广播剧、影视剧和诗歌等艺术创作研究提供了极为珍贵的资料来源。贝克教授的《品特的世界》使得这些馆藏文献史料活了、深了起来。

贝克教授认为，品特在不同时期写的信件应该“与其创作的文学作品有着不相上下的重要性”（xii）。例如品特写给启蒙老师约瑟夫·布瑞尔里（Joseph Brearley）的信件以及与亨利·伍尔夫（Henry Woolf）、莫伊舍·韦尼克（Morris Wernick）、米克·戈德斯坦（Mick Goldstein）等“哈克尼帮密友”（“Hackney gang”）的通信都是品特研究的重要文献。

第一章“戏剧与电影”主要论及品特青少年时期学习和演艺经历。品特曾在伦敦哈克尼下区文法学校就读期间，遇到了让他一生受益的老师布瑞尔里，也正是因为布瑞尔里先生的不断鼓励，激发起品特对文学的热爱以及表演潜能，并最终跨入戏剧艺术殿堂。“直到1977年布瑞尔里先生离世之前，两人一直通过写信保持密切联系”（3）。收藏在大英图书馆品特与布瑞尔里近20年的信件记录下这段深厚的师生情。

贝克教授对品特与亨利·伍尔夫、米克·戈德斯坦等“哈克尼帮密友”通信的引用几乎出现在这本书的所有章节。如在第一章，贝克教授引用早年品特与“哈克尼帮密友”的通信，“纪实性的”记录了品特在爱尔兰、英格兰等地跟随纽·麦克马斯特巡演剧团、唐纳德·乌尔菲特莎士比亚剧团等演出公司长达10年（1949-1959）的演出经历。品特写给戈德斯坦的信件还记录了他早年拮据生活窘状。品特在信中写到，演出之外，为了维持日常开销，自己做过看门人、干过洗碗工、推销员、俱乐部服务生、街头小贩、铲雪工等活计。尽管日子过得非常艰辛，演出也非常忙，但在空余时间，品特开始戏剧创作，“创作对于品特来讲非常重要”（9）。1957年，品特在他的第一部戏剧《房间》布里斯托首演前夕，写信给伍尔夫表示“自己对喧闹的演出感到厌倦了”（14）。此后，他逐渐停止跟团演出，转为舞台剧、广播剧和影视剧的创作，正式开启了作家生涯。

《品特的世界》一书还充分利用了一些新文献资料，如品特去世后才公开的文献，包括与品特有多年合作的英国当代戏剧导演彼得·霍尔（Peter Hall）的《日记》（*Diaries: The Story of a Dramatic Battle*, 1983）、英国当代戏剧家西蒙·格雷（Simon Gray）的回忆录、密友亨利·伍尔夫的回忆录《困局中的巴塞罗那》（*Barcelona is in Trouble*, 2013）以及2015年出版的限量版《哈

罗德·品特回忆录》(*Memories of Harold Pinter*)《写给哈罗德·品特的书信(1974-2008)》(*Letters to Harold Pinter 1974-2008*)等。

这些新文献有着直接史料的价值。作为20世纪下半叶英国剧坛最优秀的导演之一,霍尔曾执导过塞缪尔·贝克特(Samuel Beckett)《等待戈多》(*Waiting for Godot*, 1955)伦敦首演,与品特在1962-1980年间有过多次合作。霍尔曾执导过品特的《收集证据》(*The Collection*, 1963)《旧日时光》(*Old Times*, 1971)《无人之境》(*No Man's Land*, 1975)《背叛》(*Betrayal*, 1978),并且“力促品特在欧洲大陆戏剧界赢得重要声誉”(35)。记载在霍尔《日记》里的这些合作经历,被用于第一章“彼得·霍尔”一节的重要引证文献。

第一章“作为导演的品特”一节中,贝克教授则是通过充分利用西蒙·格雷的回忆录以及格雷八本日记,回溯了品特身为导演,执导格雷多部戏剧作品的密切合作经历。第三章“餐馆与友情”看似琐碎平淡,但品特“约会日记”里记载的与格雷在外就餐的具体时间地点,似还原了他们之间长达几十年友情的历史现场。

上个世纪80年代至90年代,人们越来越多地看到,作为一个社会公众人物,品特活跃在一些公共场合,反对和抨击充斥世界各地的独裁统治、虐待犯人、滥用权力等各种不公正现象。在第五章“政治与宗教”中,贝克教授引用品特遗孀安东尼·弗莱泽(Antonia Fraser)2010年出版的自传《你非得走吗?我与哈罗德·品特在一起的日子》(*Must You Go? My Life with Harold Pinter*),披露了一些关于品特少有人知的事情,同时,也对品特的创作做出了一些观点独到的批评。品特与弗莱泽从1975年8月开始同居,直到2008年12月品特病逝,两人一起携手度过近30年的婚姻生活。这部自传是弗莱泽根据自己从1968年初识品特那年开始写的日记而写成的。据弗莱泽这部自传记载,1989年,品特听闻英国小说家萨尔曼·拉什迪(Salman Rushdie)因其小说《撒旦诗篇》(*The Satanic Verses*, 1988)被认为亵渎神灵而遭到追杀,公开联名声援拉什迪。“1989年3月12-13日,拉什迪借用品特的宅邸与儿子和家人见面”(Fraser 159),尽管品特夫妇非常清楚,“为拉什迪提供保护是将他们自己置于危险之境的行为”(162)。

此外,贝克教授还多次引用品特在不同场合接受的访谈,作为分析其价值理念、政治立场的文献。如1985年品特接受尼古拉·赫恩(Nick Hern)的采访。这次访谈发表在独幕剧《钱行酒》(*One for The Road*)1985年版的前言。在回答因何会转向创作政治戏剧的问题时,品特认为,虽然“艺术家对于政治的影响力微乎其微”,但是身为一个公民,他以“一个公民最基本的义务就是对于自己所生活的这个社会予以道德关注”(Pinter 6)作为其行事的宗旨。

《品特的世界》另一大特色是构建了品特整体研究。品特在诗歌、小

说、舞台剧、广播剧、影视剧等多种文学艺术创作作品，促发了多种新的研究方法，如跨界研究，多文本或跨文本间性研究等。

如对品特戏剧与电影创作的跨界研究。在第一章“戏剧与电影”中，贝克教授就曾指出，早在1948年，还是学生的品特就语出惊人预见到“电影将在未来很长时间成为戏剧的强大对手”，“相较于剧院，电影院对青少年时期的品特吸引力更强大”（23）。自1962年以来，品特通过改编自己的舞台剧以及其他小说家的作品，创作了大量的电影剧本。其中，多部小说经由品特的改编被拍摄成电影，如《幽情密使》（*The Go-Between*, 1971）《最后的大亨》（*The Last Tycoon*, 1974）《事故》（*Accidence*, 1976）《法国中尉的女人》（*The French Lieutenant's Woman*, 1978）《陌生人的慰藉》（*The Comfort of Strangers*, 1989）《使女的故事》（*The Handmaid's Tale*, 1990）《长日将尽》（*The Remains of the Day*, 1990）《审判》（*Trials*, 1993）等。

贝克教授分析认为，“影视剧创作及改编突显了品特写作戏剧对话、戏剧情境、沉默的能力，也表现出他对电影的迷恋”（22）。如由品特改编尼古拉·莫斯利小说《事故》（*Accident*, 1965）的电影获得1976年戛纳电影节特别评委奖时，刊发在《周日时报》上的影评指出“这部电影带有重要的品特艺术风格”（23）。又如由品特改编电影《幽情密使》通过倒叙和旁白，对回忆的掌控等手法，与同时期的《风景》（*Landscape*, 1967）《沉默》（*Silence*, 1969）《旧日时光》等戏剧作品有着相似的艺术风格和主旨。

在第六章“文学影响与钟爱的作家”中，贝克教授特别谈到了威廉·莎士比亚、约翰·韦伯斯特、W. B. 叶芝、詹姆斯·乔伊斯、马塞尔·普鲁斯特、贝克特等作家对品特的影响。在“普鲁斯特”一节中，贝克教授写到，“70年代开始，品特致力于将普鲁斯特的小说《追忆似水年华》（*A la Recherche du Temps Perdu*, 1871-1922）改编成电影剧本”（197）。尽管后来没有改编成功，但是1977年他出版了一部题为《普鲁斯特的电影剧本》（*The Proust Screenplay*）的作品。品特在剧本简介中写到，“改编《追忆似水年华》是我有生之年最有意义的工作”（巴克尔 99）。也如英国戏剧批评家迈克尔·比林顿（Michael Billington）所言，品特与普鲁斯特的相遇，激发了他“对时间和记忆的体验，驱使他进一步远离了逼仄又过于写实的现实主义”（Billington 233）。《回家》（*The Homecoming*, 1965）《风景》《沉默》《旧日时光》《无人之境》《背叛》等剧作，均可发现普鲁斯特对品特的影响。

品特在20世纪六七十年代期间创作的戏剧常被归为“记忆戏剧”。然而，如果将品特在同时期创作及改编的电影剧本纳入考量的对象，我们会发现，品特戏剧创作出现的这些重要变化，呈现出在戏剧形式、语言策略、人物关系等方面向内转的趋势，即创作的表现对象转向反映主观的内在世界，关注焦点转向人物的心理层面，体现出现代主义心理戏剧的特征。贝克教授这部著作第一、六章的相关研究，无疑能够帮助我们对这些变化进行系统解读分析，

即在一定程度上，这些创作变化受到了乔伊斯、普鲁斯特、贝克特等作家的影响和启发。

贝克教授在这本书里一直强调品特诗歌创作的重要性。他认为，品特在艺术上的成就，不仅体现在其戏剧方面的造诣，在其艺术生涯中，他还创作了大量的诗歌。如果说品特的艺术生涯始于他的演艺经历，那么“他的艺术创作应该是从诗歌创作开始的”（xiii）。可以说，诗歌创作是品特的整个艺术创作和思想表达的重要组成部分，所具有的重要性并不逊色于戏剧。同时，这些诗歌也与品特戏剧作品形成了文本间性解读的新视野。

品特早期的诗歌创作表现出他对于语言的热爱，为其日后的戏剧创作提供了锤炼语言的试验场，更重要的是，这些早期的诗歌中还预构出品特日后戏剧创作中的一些重要主题。如散文诗《库鲁斯》就能“马上把我们引到一个品特的世界：这个世界看起来极其常见一个房间，一个空间，一场领地之争，两个男人和一个女人之间的三角关系，力量的颠倒”（Billington 26）。

品特诗歌创作的另一个高峰期出现在20世纪90年代以后，特别是在他宣布停止戏剧创作之后，诗歌写作成为其表达自己思想情感的重要方式。在第四章“政治与宗教”中，贝克教授对收录在品特诗歌集《战争》（*War*, 2003）中的“美式足球！海湾战争反思”（“American Football! A reflection upon the Gulf War”, 1991）、“上帝保佑美国”（“God Belss America”, 2003）、“民主”（“Democracy”, 2003）、“特殊关系”（“The Special Relationship”, 2004）等多首诗歌的创作背景、主旨、语言风格、诗歌韵律等诗歌元素进行了详细的分析解读，为其他品特诗歌研究者提供了很好的范例。这些后期诗歌中饱含着丰厚的伦理内涵，表现出品特对于生命的珍视、对造成死亡的战争的强烈谴责、主张正义、抨击强权统治、倡导人道主义等品格。

贝克教授在《品特的世界》的结语部分，谈到1960年15岁的他第一次观演《看门人》（*The Caretaker*, 1960）时，就迷上了品特，从此“只要有机会，我就会通过广播和电视收听和观看品特的剧作，并且开始收集报纸刊发的访谈、短讯等各种关于品特的资讯”（225）。这种近60年的痴迷和执着铸成5部品特研究著述，贝克教授也成为当之无愧的品特研究权威学者。

对于普通“品特迷”而言，在贝克教授的这部著作导引下，能够进入到一个不一样的“品特世界”，会发现品特不仅是一位杰出的剧作家，还是一位诗人、影视剧作家、政论作家，更是一位有着独特的戏剧理想和强烈社会责任感的艺术家。对于专业品特研究者而言，贝克教授的《品特的世界》与其前四部著述形成了独有的品特研究治学之道，有着重要的参考价值。他的这些著述不仅拓展了品特研究的历时、共时等多种维度，还打开了更加广阔的批评空间，更为后来研究者在品特及其作品的持续性研究中找到新的突破口提供了强有力的支撑。

Works Cited

威廉·巴克爾：《哈罗德·品特传》，任蕾蕾、孟国锋译。南京：江苏人民出版社，2017年。

[Baker, William. *Harold Pinter*, translated by Ren Leilei and Meng Guofeng. Nanjing: Jiangsu People's Publishing House, 2017.]

Baker, William. *Pinter's World: Relationships, Obsessions, and Artistic Endeavors*. Vancouver: Fairleigh Dickinson UP, 2018.

Billington, Michael. *Harold Pinter*. London: Faber and Faber, 2007.

Fraser, Antonia. *Must You Go? My Life with Harold Pinter*. New York: Nan A. Talese, 2010.

Merritt, Susan Hollis. *Pinter in Play: Critical Strategies and the plays of Harold Pinter*. Durham and London: Duke UP, 1990.

Pinter, Harold. *One for the Road*. London: Methuen, 1985.

“文学现实主义”研究的历史新刻度：评《19世纪西方文学思潮研究（第二卷）现实主义》

A New Historical Scale for Research on Literary Realism: A Review of *Research on Western Literary Trends in the 19th Century Vol.2: Realism*

柳鑫宇 (Liu Xinyu)

内容摘要：19世纪西方现实主义是世界文学史上的一种重要文学思潮和文学现象，也是在我国本土文学与文化领域传播最为深入而广泛的，但同时也是争议最多、内涵最具复杂性与多变性的文学思潮之一。蒋承勇教授的《19世纪西方文学思潮研究（第二卷）现实主义》立足于崭新的学术基点，用新理念、新方法对19世纪西方现代现实主义文学思潮展开深度研究与阐释，力图揭示该文学思潮的本原性特质，提出了一系列富有原创性的新观点，大大突破并廓新了国内该领域的既有研究。

关键词：《19世纪西方文学思潮研究（第二卷）现实主义》；现代现实主义；求真

作者简介：柳鑫宇，浙江工商大学外国语学院博士研究生，主要研究方向为西方文学与比较文学、英国诗歌。本文为浙江工商大学浙江省“外国语言文学”学科建设高层次项目【项目批号：2022YLZS02】阶段性成果。

Title: A New Historical Scale for Research on Literary Realism: A Review of *Research on Western Literary Trends in the 19th Century Vol.2: Realism*

Abstract: The Realism movement of 19th century Western literature is a significant literary phenomenon with far-reaching influence on global literary history. In the context of Chinese literature and culture, it holds a preeminent position due to its depth and extent. Nevertheless, the meaning and reception of Realism has been a subject of considerable controversy, complexity, and variation. Professor Jiang Chengyong's latest publication, *Research on Western Literary Trends in the 19th Century Vol.2: Realism*, adopts an innovative academic perspective and employs cutting-edge ideas and methods to undertake a thorough examination and interpretation of this literary trend. The book aims to uncover the original features of Realism and put forward a set of innovative perspectives that substantially enrich

and expand the existing body of research in this field in China.

Keywords: *Research on Western Literary Trends in the 19th Century Vol.2: Realism*; modern literary realism; truth-seeking

Author: Liu Xinyu is a doctoral candidate at the School of Foreign Languages, Zhejiang Gongshang University (Hangzhou 310018, China), whose main research interests are Western literature and comparative literature, and English poetry (Email: liuxypeter@foxmail.com).

“现实主义”（realism）作为人们耳熟能详的文学学术术语，主要源自于19世纪西方现实主义文学思潮。且不说现实主义是否果真是“无边的”¹，但因其内涵的丰富性、复杂性及其“变体”之多样性，还真有其“说不尽”（蒋承勇，“‘说不尽’的‘现实主义’”120）和常说常新的特质，所以迄今为止学界对它依旧是众说纷纭、莫衷一是。在我国，现实主义无论作为一种文学思潮还是创作方法、创作原则，长期以来其境遇颇为尴尬。一方面，“现代派文学的‘先锋性’及其对传统文学尤其是19世纪现实主义文学的反叛性，使不少人一度认为现实主义文学已经‘过时’”（蒋承勇，“‘说不尽’的‘现实主义’”120）；另一方面，“无边的”、“说不尽”的“现实主义”因其指涉之庞大、内涵之丰富，令人望之而生畏，许多研究者不敢问津。不过，由蒋承勇教授撰写的作为国家社科基金重大项目子课题的《19世纪西方文学思潮研究（第二卷）现实主义》（后文简称《现实主义》）一书，却直面这种学术上的“尴尬”，以作者惯有的反思既有陈规定论、挑战成见乃至“常识”的学术勇气，聚焦19世纪西方现实主义文学思潮，以皇皇约70万字的篇幅，对文学现实主义问题作了全新的阐释。这种反思性研究对我们了解现实主义文学思潮、理解文学现实主义及诸多文学现象和基本理论，进而深度观照中国现当代文学的实践都具有重要的参考价值与指导意义。

一、“熟知未必真知”：作为文学思潮的“现代现实主义”

在诸多外来的文学思潮流派中，19世纪现实主义不仅是在我国本土文学与文化领域传播最为深入而广泛的，同时也是争议最多、内涵最具复杂性与多变性的文学思潮之一，但或许是因为当“现实主义”作为术语时，其含义实在过于丰富——“它可以指称一种文学思潮、文学观念、创作方法、写作精神、批评标准和原则、艺术价值观等”（蒋承勇，《现实主义》44）²——当人们运用“现实主义”一词时，往往会自以为熟知内里，其实却指代不明，含糊其辞，或者直接将其等同于过去常说的“批判现实主义”。黑格尔曾说：“熟知的东西所以不是真正知道了的东西，正因为它是熟知的。有一

1 参见 罗杰·加洛蒂：《论无边的现实主义》，吴岳添译，天津：百花文艺出版社，1998年。

2 以下出自该书的引文仅标注页码，不再一一说明。

种最习以为常的自欺欺人的事情，就是在认识的时候先假定某种东西是已经熟知了的，因而就这样地不去管它了”（黑格尔 22-23）。而文学中的“现实主义”，无论是作为文学思潮，还是一般性批评术语，都是需要细加辨析、深入研究的。

蒋承勇教授在《现实主义》一书中，首先在“导论”中阐明了19世纪现实主义文学思潮研究的背景和语境，梳理了现实主义文学思潮在中国百年传播与研究的历程，介绍了西方关于该思潮的研究概况，指出了我国学界该领域研究中存在的教训与不足，提出了值得深入研究的基本内容、基本思路和方法。蒋承勇教授首先搁置诸多关于“现实主义”的别称，而把研究对象清晰地聚焦于作为文学思潮的19世纪现实主义，在第一章“现代现实主义：渊源与缘由”中，深入考察了19世纪现实主义文学思潮产生的政治、经济和科学、文化背景，并将其定义为“现代现实主义”。正是在工业革命、科学精神、社会转型、价值观念演变等因素的影响下，具有现代特性的“现代现实主义”文学思潮才拥有了迥然有别于传统“摹仿现实主义”（mimetic realism）或“古典现实主义”（classical realism）的特征。

在我国学界，通常认为“现实主义”文学与“现代主义”（modernism）文学泾渭分明，其审美范式和表现方法都有较大的差异，而且，往往后者代表着文学的进步和创新，前者则意味着陈旧与过时。但蒋承勇教授不赞同这种对现实主义“过时”了的评价，他指出“文学史的发展，不存在割裂传统基础上的‘创新’与‘先进’，而永远只是继承传统基础上的创新性发展与延续”（2）。该著作首先厘清的一个关键问题是为什么赋予“现代现实主义”以“现代”一词？换言之，相较于于既往由“摹仿说”（mimesis）主导的西方文学，我们如何在学理上论述19世纪西方现实主义文学思潮的创新性和独特性？

蒋承勇教授认为，“现代性”是“现代现实主义”文学思潮的一种质的规定性（45）。“现代性的历史就是社会存在与其文化之间紧张对峙的历史。现代存在迫使它的文化站在自己的对立面。这种不和谐恰恰是现代性所需要的和谐”（Bauman 10）¹。我们通常会认为，似乎只有浪漫主义（romanticism）、唯美主义（aestheticism）和现代主义等文学思潮才是富有“现代性”的。然而事实上，现代性的两幅基本面相——“社会现代性（或称启蒙现代性）与审美现代性（或者叫‘文化现代性’）”——表面上看是对立的，但“在其内在本质与哲学的意义上，它们恰恰是西方现代化社会发展之一体两翼，它们共同以‘相反而相成’之张力促进和保障了人的生存与发展以及西方文明的演进”（82）。正因如此，该著作冠之19世纪现实主义以“现代”一词，正是“因为其间无可否认地体现了‘社会现代性’之内涵。它表征了19世纪西方社会在理性与科学催化下现代文明急剧壮大以及现

1 外文引文均出自笔者译。

代资本主义社会的快速发展”（82）。由此，19世纪现代现实主义文学思潮之“现代性”便得到了充分的证明，同时，我们也得以借此反观：以往我们对“现代性”的理解往往偏重“审美”一端，而对另一端的“社会”则有所偏废。应当说，蒋承勇教授在书中的这一番阐释是极富启发意义的。

《现实主义》的第三、四章所阐述的是现代现实主义文学思潮的本质特征与最高宗旨——“求真”精神与“写实”传统。蒋承勇教授深度阐释了现代现实主义文学思潮与自然科学的关系，揭示了自然科学之类比方法与科学理性对现代现实主义文学“求真”精神之形成所起的重要作用，论析了现代现实主义之“求真”追求在西方文学史上达成的历史新刻度、文学史意义与价值及历史局限性。不惟如此，蒋承勇教授还通过探究实证哲学、实证理性对现代现实主义的“写实”方法之形成所起的重要作用，细致辨析了现代现实主义的“写实”精神与传统“摹仿说”和“摹仿现实主义”之间的传承性与差异性，指出了“变数”的“写实”与“复数”的“主义”之间的关系，指出了现代现实主义的“写实”传统与马克思主义文艺思想的关系及其当代价值。在后现代文化十分流行的当下，面对其裹挟而来的反本质主义、虚无主义、感官主义等倾向，蒋承勇教授做出了清醒且发人深省的判断：“现实主义和写实倾向的文学对我们的社会来说不仅没有过时，而且是一种不可或缺的期待与需要”（304）。

可以说，蒋承勇教授在《现实主义》中的论述清晰、准确地展现了作为文学思潮的“现代现实主义”的诸多特质与禀赋，厘清了这个我们似乎“熟知”但实际上却常常语焉不详的概念，有拨云见日之功用。

二、“现代现实主义”的审美禀赋探究

在以往的一些教科书和参考材料上，通常用“批判现实主义”指称19世纪现实主义。“批判现实主义”语出高尔基，用它来形容19世纪西欧的现实主义文学创作固然有其合理之处，但仅“批判”一词终究难以总括整个欧洲的文学现实主义的创作面貌。诚然，19世纪西方现实主义以其强烈的社会批判性和高度的社会认识价值而著称于世，但是我们不能因此忽视其审美功能与价值及其作为文学经典的当代意义。正因如此，蒋承勇教授在《现实主义》的第六章“理性书写与现代现实主义的审美禀赋”中着重分析了现代现实主义除功利性特征和社会功能之外，在审美特性方面所取得的独特成就及其所达成的历史新刻度。

蒋承勇教授指出，现代现实主义的创作大多是在“科学精神、实证理性支配下，强调细致观察和客观写实的基础上，对生活的真实再现与反映，是一种追求文本内容的客观真实性理性化与形象化书写”（370）。由此，便也相应地体现出其所特有的艺术范式和审美理念，其中尤为突出的是：“环境—性格型”人物的典型塑造；情节与结构的事理逻辑与线型结构特征；叙述方

法上的从叙“事”、叙“情”到叙“心”的演变。

蒋承勇教授从西方文学史发展的宽阔视野出发，探讨了现代现实主义人物的典型塑造。他指出：“塑造‘典型环境中的典型人物’，是现代现实主义文学创作的一条基本原则，也是这一文学思潮的美学和艺术成就的重要贡献之一”（371）。作者通过对西方文学史上源远流长的“性格类型”说进行追溯，揭示了“典型论”（371）从古希腊至20世纪的诸多变异与不同面貌；再通过返回到现代现实主义的经典文本，对于连、拉斯蒂涅和安娜·卡列尼娜等经典人物形象进行个案考察，分析了他们和环境的密切关系，继而将现代现实主义作品中的典型人物归纳为“环境—性格型”。这些人物无不是社会环境的产物，而“这种‘环境—性格型’典型因其不可磨灭的时代和社会的印记，其性格内蕴也必然地透射出特定时代之社会和生活的本质特征，于是，人物塑造本身也就是‘再现’或‘反映’现实生活的重要途径（388）。应该说，现代现实主义文学的“环境—性格型”人物在刻画的艺术水准上超越了过往偏于符号化、类型化的“观念—性格型”人物，把叙事文学对典型人物形象的塑造艺术推向了西方文学史上的新的历史刻度。

除此之外，现代现实主义的审美禀赋同样表现在情节结构与叙述方法等层面。就前者而言，情节是人物塑造和描写得以展开的基础，人物性格要在情节的发展中才能得以刻画。因此那些经典的现代现实主义文学自然也有其独特、巧妙的情节结构，这种“对生动而完美之情节的追求，也是现代现实主义文学的重要美学旨趣。而正是这种艺术与美学追求，使现代现实主义在西方叙事文学的情节与结构方面达到了历史上空前成熟的境界”（397）。而现代现实主义文学在叙述方法层面，则不仅反映了外部社会的广阔与真实，同时也对人的内心进行了实证式的研究，“揭示人的精神——心理的客观真实性，也是现代现实主义作家艺术创作的根本任务之一”（434）。从薄伽丘（Giovanni Boccaccio）、塞万提斯（Miguel de Cervantes）到理查生（Samuel Richardson）、斯特恩（Laurence Sterne），再到司汤达（Stendhal）、托尔斯泰（Leo Tolstoy）和陀思妥耶夫斯基（Fyodor Dostoevsky），我们可以较为清晰地看到一条从叙“事”、叙“情”再到叙“心”的演化路径。也正是在这种变奏的过程中，我们可以看到“现代现实主义循着内倾性叙述的方向，为20世纪现代派文学更加向内转的发展提供了艺术的前因”（463）。

总之，蒋承勇教授对现代现实主义审美价值的深度发掘，深化了过往对现实主义研究的基本问题，并对我国当今的文学创作和大众阅读有着重要的指导意义。正如蒋承勇教授所言，我们今天所期待的无论是宏大叙事还是微观叙事抑或是两者结合的文学创作，讲好信息时代关于人的生存状况的故事，提高文学的现实性与可读性，让文学更广泛地走进人民大众的文化生活，体现“为人民”的宗旨，都有必要在新的更高的意义上“回归”丰富的情节与精致完美的结构，对叙事文学来说，它们并不是可以任凭作家无限地“淡化”“解

构”“消解”的可有可无的东西，而是其根基性元素，现实主义倾向的文艺尤其如此。

三、文学思潮间“矛盾中的勾连”

历史是绵延的河流而绝非断裂的碎片，无论是昔日勃兰兑斯（Georg Brandes）所用的“文学主流”（main currents）一词，还是如今我们所更常用的“文学思潮”（literary trends），都强调了诸文学现象在流变过程中彼此间紧密的、延续性的、难以切断的联系。但正如蒋承勇教授在著作“总序”中所指出的：

国内学界在文学史乃至一般历史的撰写中，长期存在着严重的反科学倾向——一味强调“斗争”而看不到“扬弃”，延续的历史常常被描述为碎裂的断片。比如，就西方文学史而言，20世纪现代主义与19世纪现实主义是断裂的，现实主义与浪漫主义是断裂的，浪漫主义与古典主义是断裂的。（17）

《现实主义》一书很好地回拨了这种对文学史理解的片面倾向。全书尤其注重在概念与概念的对立中寻找统一，寻找诸概念、思潮间“矛盾中的勾连”（88）。欧内斯特·伯恩鲍姆（Ernest Bernbaum）说过：“文学运动的主要特征最能从它的历史发展和攻击它的敌对运动中看出”（303）。在《现实主义》一书中，蒋承勇教授正是在现实主义与浪漫主义、现实主义与自然主义、现实主义与现代主义等彼此的“斗争”和“攻击”中寻求其“扬弃”与“联系”，对其异同点进行了深度的辨析。

在现实主义和浪漫主义的关系问题上，尽管我们必须承认浪漫主义与现实主义这两大文学思潮是属于“两个不同阵营的‘主义’”，但蒋承勇教授提醒我们“不能习惯性地将两者分裂甚至扩大两者的差异，而无视两者在相反中有相成、对立中有依存、反叛中有勾连的深层关系”（88）。至于现实主义与自然主义，蒋承勇教授指出，既不能笼而统之地用“写实主义”将两者一锅煮，也不能以现实主义的标尺削足适履地评价自然主义。在崇尚科学思维和实用理性这一方面，现实主义与自然主义有某种程度的同根同源性，因此它们对现实生活有共同的“写实”追求。当然，自然主义又有其特有的文学观念和价值追求，自然主义作家强调体验的直接性与强烈性，“主张经由‘体验’这个载体让生活本身‘进入’文本，而不是接受观念的统摄以文本‘再现’生活”，由此开拓的“显现”理论不仅达成了对浪漫主义之“表现”与现实主义之“再现”的超越，也达成了自然主义对20世纪现代主义之

“内倾性”风格的接续。¹

最后，在现实主义与现代主义的关系问题上，蒋承勇教授从现代现实主义的叙述方式切入，指出不同作家的审美心理机制的差异性使得他们对现实生活的叙述方式在总体上呈现出“内倾型”和“外倾型”的区别。这两种不同倾向的艺术思维模式和叙述方式各有侧重和特点，“前者在展示心灵世界上更具直接性、真实性和深刻性，而在再现外部社会形态上趋于主观性、宽泛性；后者则在再现外部社会形态上更具直观性、真实性和广阔性，而在表现心灵世界上则趋于间接性和粗略性”（533）。当我们沿着19世纪现代现实主义文学向后看去，可以发现20世纪现代主义一方面把内倾型传统发扬到了新的境界，空前地强调人的主观性和非理性世界；同时其也在另一方面沿着外倾型传统的路径与“20世纪的纪实文学、报告文学和刻求外形摹写之真的新小说派相沟通”（534）。

当然，该著作中对上述问题的讨论决不仅限于笔者所谈及的这些层面，且这些问题也只是《现实主义》一书中的部分话题。但透过这些讨论我们已不难发现，眼下对“现实主义”这一领域的探索亟需拓展，一如蒋承勇教授对学界的呼吁：“对19世纪现代现实主义和文学现实主义问题的研究不应该总是停留于‘过去时’状态，满足于一些一般性的乃至常识性的认识（……）而应该拓宽视野与思路，更新观念与方法，始终使这种研究保持‘进行时’状态，不断展开深度阐释”（537）。

可以说，该著作的研究不仅更准确、透彻地认识与把握了19世纪现实主义的本原性内涵与本质特征，更揭示了这种文学史发展在传承基础上的创新、发展与延续，其学术价值是超越现实主义问题研究本身的。另外，该著作的行文典雅质朴，大巧不工，没有种种故作晦涩的、过度精英化的“行话”和术语，令人读之如沐春风。总而言之，《现实主义》立足于中国学者的学术立场，广泛吸纳了国内外的研究成果。以该书对19世纪西方现实主义文学思潮的洞见之清晰、研究之深入、创新之巨大，当无愧为国内“文学现实主义”研究的历史新刻度。

Work Cited

Bauman, Zygmunt. *Modernity and Ambivalence*. Cambridge: Polity, 1991.

Bernbaum, Ernest. *Guide Through the Romantic Movement*. New York: Ronald Press, 1949.

罗杰·加洛蒂：《论无边的现实主义》，吴岳添译。天津：百花文艺出版社，1998年。

[Garaudy, Roger. *Infinite Realism*, translated by Wu Yuetian. Tianjin: Baihua Literature and Art Publishing House, 1998.]

黑格尔：《精神现象学》，贺麟、王玖兴译。北京：商务印书馆，2017年。

1 参见蒋承勇、曾繁亨：“‘屏’之显现——自然主义与西方现代文学本体论的重构”，《外国文学》1（2019）：108-120。

[Hegel, G. W. F. *The Phenomenology of Mind*, translated by He Lin and Wang Jiuxing. Beijing: The Commercial Press, 2017.]

蒋承勇：“‘说不尽’的‘现实主义’——19世纪现实主义研究的十大问题”，《社会科学战线》10（2021）：120-132。

[Jiang Chengyong. “On the Top Ten Issues in the Study of Realism in the 19th Century.” *Social Science Front* 10 (2021): 120-132.]

——：《19世纪西方文学思潮研究（第二卷）现实主义》。北京：北京大学出版社，2022年。

[—, *Research on Western Literary Trends in the 19th Century vol. 2: Realism*. Beijing: Peking UP, 2022.]

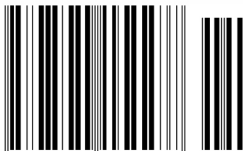
蒋承勇、曾繁亭：“‘屏’之显现——自然主义与西方现代文学本体论的重构”，《外国文学》1（2019）：108-120。

[Jiang Chengyong and Zeng Fanting. “The Disintegration of Essentialist Poetics and the Reconstruction of the Ontology of Modern Literature.” *Foreign Literature* 1 (2019): 108-120.]



Published by
Knowledge Hub Publishing Company Limited
Hong Kong

ISSN 2520-4920



9 772520 49 2238 01