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# Interdisciplinary Studies of Literature

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# **Interdisciplinary Studies of Literature**

**文学跨学科研究**

**Volume 5, Number 4  
December 2021**

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**About:** *Interdisciplinary Studies of Literature* (“ISL”) is a peer-reviewed journal sponsored by the Institute for Interdisciplinary Studies of World Literature (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.

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**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](mailto:isl2017@163.com).

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徐舒仪

# Theoretical Innovation, Academic Contribution, and International Communication of Ethical Literary Criticism: An Interview with Su Hui

**Li Mengyu & Su Hui**

**Abstract:** Su Hui is a professor of Chinese Language and Literature and the director of the International Center for Ethical Literary Criticism at Central China Normal University. She is the chief editor of *Foreign Literature Studies* and has authored, edited or co-edited more than ten books. *The Development and Variations of Western Comic Aesthetics* (2005), *Black Humor and the Humor Tradition of American Novel* (2013), and *Ethical Literary Criticism of American Literature* (2020) are among her best-known works. Her extensive research ranges from European and American literature, Ethical Literary Criticism, the aesthetics of drama to comparative literature. In this interview, Prof. Su starts off by sharing her insights on theoretical innovation, academic contribution, and international communication of Ethical Literary Criticism. She then comments on the scholarly achievements made by Prof. Nie Zhenzhao and other Chinese and international scholars in this field. She believes that Ethical Literary Criticism poses bold questions to existing literary theories while significantly enriching them. With its unique theoretical and discourse systems, Ethical Literary Criticism provides a significant guidance for practice. Under the leadership of Prof. Nie Zhenzhao, Chinese scholars have been committed to the spread of Ethical Literary Criticism worldwide by forging international collaboration, publishing scholarly articles in international journals, founding international academic associations and organizing international conferences.

**Keywords:** Ethical Literary Criticism; theoretical innovation; academic contribution; international communication

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**标题：**文学伦理学批评的理论创新、学术贡献与国际传播：苏晖访谈

**内容摘要：**苏晖是华中师范大学文学院教授、国际文学伦理学批评研究中心主任，《外国文学研究》杂志主编，主要从事欧美文学、文学伦理学批评、戏剧美学和比较文学研究。苏晖教授独撰、主编或合编了十余部著作，包括《西方喜剧美学的现代发展与变异》（2005）、《黑色幽默与美国小说的幽默传统》（2013）、《美国文学的伦理学批评》（2020）等。在本次采访中，她分享了对文学伦理学批评的理论创新、学术贡献和国际传播的见解，特别介绍了聂珍钊教授和其他中外学者在此领域的贡献。她认为，文学伦理学批评对现有文学理论提出了大胆质疑与补充，独创性地建构了自己的理论体系和话语体系，具有很强的实践指导性。在聂珍钊教授的引领下，中国学者致力于拓展国际合作，通过在国际期刊上发表学术论文、建立国际学术组织、举办国际会议，促进了文学伦理学批评的国际传播。

**关键词：**文学伦理学批评；理论创新；学术贡献；国际传播

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### Theoretical Innovation of Ethical Literary Criticism

**Li Mengyu:** Prof. Su, as the secretary general of the International Association for Ethical Literary Criticism (IAELC), you have witnessed the discipline's entire course of development and made important contributions. You must have a unique understanding of the field. Today I'd like to have an interview with you and we shall discuss a number of key issues in Ethical Literary Criticism. Thanks for being here and I very much look forward to hearing your insights.

**Su Hui:** It is my pleasure. Thanks for your invitation. Last year, I published an article, "Academic Influence and the Construction of International Discourse Power: The Development of Ethical Literary Criticism in the Past Fifteen Years" in *Foreign Literature Studies* (2019/5), in which I concluded that "over the past fifteen years, Ethical Literary Criticism has been successfully constructed with its originality, timeliness and national characteristics. It has put in place a theoretical and discourse

system with Chinese characteristics and style, demonstrating the effort made by the Chinese scholars to fulfill their historical mission and academic responsibility” (36).

**Li Mengyu:** What is the significance of Ethical Literary Criticism? What are the features that distinguish it from Western ethical criticism?

**Su Hui:** Ethical Literary Criticism is a paradigm of literary criticism established by Chinese scholars in 2004. Although it has adopted ideas from Western ethical criticism, it is based on theoretical innovations with typical Chinese features. We can say that it is a unique contribution of Chinese scholars. Ethical Literary Criticism has gone through a long journey before reaching full maturity and gaining wide recognition. In the past 16 years, it has been developed from a preliminary idea to a sound paradigm with well-established theoretical structure. The paradigm has been promoted and enriched with the application of its critical approaches, the expansion and consolidation of its theoretic principles, and the systematization of its critical practice. So far, it has become an original paradigm of theory and discourse, boasting numerous achievements in the application of its critical approaches and an ever-growing academic influence. Meanwhile, in an active response to the nation’s strategic call of “going global,” scholars of Ethical Literary Criticism are dedicated to promoting this new theory and obtaining worldwide academic influence by publishing papers in international journals, founding international academic associations and organizing international conferences. Many scholars around the world have joined us and they speak highly of what we have accomplished (34-35).

**Li Mengyu:** As a critical theory and method with Chinese characteristics, Ethical Literary Criticism has made brilliant achievements both in theoretical development and practice, functioning effectively as a new critical paradigm for the study of literature. How would you comment on the academic value and practical significance of Ethical Literary Criticism?

**Su Hui:** I think its value and significance lie in the following aspects:

First, it poses bold questions and significantly enriches existing literary theories. It offers new explanations on the origin, medium, purpose and functions of literature, and sheds light on the relationship between literary aesthetics and ethics and other aspects. It enables us to fully understand the complexity of literature and examine literature from a new perspective.

Secondly, Ethical Literary Criticism has created its own theoretical and discourse systems, but it is still open to new ideas. Though adhering to the principles of literary criticism, it draws on and even absorbs the research findings

of other disciplines such as ethics, philosophy, psychology, sociology and history. It also integrates theories and methods of modern and contemporary literary criticism, such as narratology, ecocriticism, and post-colonial criticism. Furthermore, it inherits the Chinese tradition of moral criticism and the Western tradition of ethics and ethical criticism. It has developed important theories of ethical expression, textual variation, ethical selection, Sphinx factor, three stages of human civilization, and discourse system, along with dozens of new terms.

Thirdly, Ethical Literary Criticism has the potential to be applied to the studies of ancient and modern Chinese and foreign literary works. Its application will encourage more innovative literary endeavors and insert great momentum to the world's academic research.

### **Academic Contribution of Chinese Scholars to Ethical Literary Criticism**

**Li Mengyu:** To be more specific, how would you comment on Chinese scholars' contribution to the study of Ethical Literary Criticism, especially that of Prof. Nie Zhenzhao?

**Su Hui:** Ethical Literary Criticism was first proposed by Prof. Nie Zhenzhao at two academic conferences in 2004, in which he presented his two papers "Ethical Approach to Literary Studies: A New Perspective" and "On Cambridge Tradition of Criticism: With Leavis as an Example." Both were published in *Foreign Literature Studies* (the 5<sup>th</sup> and 6<sup>th</sup> issues of 2004 respectively). The former, for the first time in our country, clearly put forward the methodology, theoretical foundation, origin of thought, content, and value of Ethical Literary Criticism; the latter further expounded the significance of Ethical Literary Criticism by discussing the features of Leavis criticism and the Cambridge Tradition of Criticism. From then on, Prof. Nie has published numerous articles on the topic in core domestic and international journals such as *Social Sciences in China*, *Literary Review*, *Foreign Literature Studies*, *Foreign Literature*, and *Literature & Art Studies*. He published "Ethical Literary Criticism: A Basic Theory" (the 2<sup>nd</sup> issue of 2021), "Ethical Literary Criticism: Sphinx Factor and Ethical Selection" (the 3<sup>rd</sup> issue of 2021), "Value Choice and the Theoretical Construction of Ethical Literary Criticism" in *Social Sciences in China* (the 10<sup>th</sup> issue of 2020) and "On the Theoretical Value and Teaching Function of Literature in Literary Review" (the 2<sup>nd</sup> issue of 2014). His articles published in *Foreign Literature Studies* include "On Ethical Literary Criticism and Moral Criticism" (the 2<sup>nd</sup> issue of 2006), "Ethical Literary Criticism: Its Fundamentals and Terms" (the 1<sup>st</sup> issue of 2010), "Ethical Literary Criticism: Ethical Choice and Sphinx Factor" (the 6<sup>th</sup> issue of 2011), "Ethical Literary

Criticism: Oral Literature and Brain Text” (the 6<sup>th</sup> issue of 2013), “Ethical Literary Criticism: On Fundamental Function and Core Value of Literature” (the 4<sup>th</sup> issue of 2014), “Ethical Literary Criticism: The Exposition and Textual Research on the Definition of Human Nature” (the 6<sup>th</sup> issue of 2015), “From Anthropocentrism to Human Subjectivity: A Possible Solution to Ecological Crises” (the 1<sup>st</sup> issue of 2020). According to the Web of Science, among the 16,235 A&HCI articles published worldwide from 2010 to 2014, Nie’s two articles, “Ethical Literary Criticism: Its Fundaments” and “Terms and Ethical Literary Criticism: Ethical Choice and Sphinx Factor,” were the 19<sup>th</sup> and 40<sup>th</sup> most cited. Clearly, his articles on the theory and discourse of Ethical Literary Criticism have exerted a great influence at home and abroad.

In the meantime, Prof. Nie has published many articles in the United States, Germany, South Korea, Malaysia, and other countries or regions. For instance, he published “Towards an Ethical Literary Criticism” in the renowned international journal *Arcadia* (the 1<sup>st</sup> issue of 2015), “Ethical Literary Criticism: A New Choice of Literary Criticism” in Taiwan’s journal *Philosophy and Culture* (the 4<sup>th</sup> issue of 2015), and “Ethical Literary Criticism: Basic Theory and Terminology” in the Korean journal *Diaspora and Cultural Criticism* (the 1<sup>st</sup> issue of 2015).

Prof. Nie’s book *Introduction to Ethical Literary Criticism* was included in the National Philosophy and Social Science Achievement Library in 2013. The book details the first comprehensive and in-depth study on the topic. It is a guiding work, which has solved basic academic issues in the theoretical construction and practical application of Ethical Literary Criticism.

Prof. Nie has also presided over “Ethical Literary Criticism: Theoretical System Construction and the Practice of Criticism,” a major project of the National Social Science Fund. His research has further expanded the theoretical system of Ethical Literary Criticism and gradually systematized the practice of criticism. The project consists of five sub-projects, the first of which, “A Study on the Theory of Ethical Literary Criticism,” traces the origin and development of the subject and broadens its boundaries. Its theoretical system constitutes a research paradigm that integrates ethics, aesthetics, psychology, linguistics, history, culture, anthropology, biology, morphology, politics, and narratology.

The other four sub-projects are “Ethical Literary Criticism of American Literature,” “Ethical Literary Criticism of English Literature,” “Ethical Literary Criticism of Japanese Literature,” and “Ethical Literary Criticism of Chinese Literature.” The sub-projects adopt the approach and terminology of Ethical Literary Criticism in analyzing important literary trends, literary schools, classical writers

and their works in American, British, Japanese and Chinese literature. I worked on the “Ethical Literary Criticism of American Literature,” and edited a book with the same title. Other concluding achievements of the project include *A Study on the Theory of Ethical Literary Criticism* edited by Nie Zhenzhao and Wang Songlin, *Ethical Literary Criticism of English Literature* edited by Xu Bin, *Ethical Literary Criticism of Japanese Literature* edited by Li Exian, and *Ethical Literary Criticism of Chinese Literature* edited by Huang Hui.

**Li Mengyu:** Prof. Nie has made great contributions to the field and we all benefit from his marvelous achievements. Can you give us an overview of the innovative ideas that he has put forth?

**Su Hui:** Prof. Nie is good at theoretical innovation, and he has put forth many valuable, creative ideas of Ethical Literary Criticism.

On the origin of literature, Prof. Nie questions the view that literature originates from labor and puts forward the theory of ethical expression, arguing that literature finds its origin in human beings’ needs of ethical expression.

As for the medium of literature, Prof. Nie defines literature as an art of texts consisting of characters, challenging the conventional idea that literature is an art of languages.

Regarding the purpose of literature, Prof. Nie does not see literature as a kind of aesthetic ideology. Instead, he argues that teaching or instruction is the essential attribute and the primary function of literature. Aesthetic appreciation is secondary and serves the main purpose.

Besides, Prof. Nie proposes the brain text theory, asserting that each literary genre has its text. Brain text is the textual form used before writing symbols is created, which still exists after the birth of writing symbols. Written and electronic texts are the other two types. Brain text constitutes the medium of thought. The nature of a person’s brain text determines the way he/she thinks and acts, and most importantly determines one’s self identity.

**Li Mengyu:** Prof. Nie has invented many terms of Ethical Literary Criticism, such as ethical environment, ethical order, ethical identity, ethical selection, ethical dilemma, ethical taboo, ethical line, ethical conclusion, ethical consciousness, Sphinx factor, human factor, animal factor, rational will, free will, irrational will, moral emotion, the discourse system and brain text. These terms are frequently used by scholars in their studies of literary works.

**Su Hui:** Yes, his *Introduction to Ethical Literary Criticism* has two appendices. The

first includes all the key terms of the subject, while the second defines 53 of them for the purpose of constructing a discourse system. The terminology has laid a solid foundation for the subject and has been widely used in the interpretation of ancient and modern literary works.

**Li Mengyu:** Recently Prof. Nie published “Value Choice and the Theoretical Construction of Ethical Literary Criticism” in *Social Sciences in China*. In this article, he underscored the significance of the rise of Ethical Literary Criticism in China: “At the beginning of the 21st century, ethical criticism as an ideological trend declined in the United States, but Ethical Literary Criticism as a critical theory has since developed rapidly in China. Over the past decade and more, Ethical Literary Criticism has constructed the theory of ethical selection on the basis of Darwin’s natural selection theory. It has also formed its own discourse system by putting forth new terms such as ethical choice, ethical identity, ethical environment, ethical context, animal factor, human factor, free will, rational will, ethical taboo and moral education. It has transformed from an ideological trend into a theory and method, which has been applied effectively to the analysis and study of literary texts.” The paragraph I just quoted summarizes the major achievements of Ethical Literary Criticism in China.

**Su Hui:** I think Prof. Nie’s new article further expounds the innovative value of Ethical Literary Criticism as a theory and method of literary criticism. It points out that Western theories, such as feminist criticism, ecological criticism, cultural criticism, and ethical criticism, which have great influence on Contemporary China, are not literary criticism, but, more accurately speaking, they are historical, political, social or cultural thoughts, for almost all of these thoughts have not constructed a systematic theoretical system and discourse system, nor have their own unique methodology. It’s a pity that we often confuse theory with trend of thought, instead of distinguishing them.

Prof. Nie points out that trend of thought is not a theory, but it can facilitate the generation of theory. Ethical Literary Criticism is founded on the basis of tradition of Chinese moral criticism and draws lessons from Western ethical criticism, which also promotes the innovation of Chinese literary theory. The theoretical construction of Ethical Literary Criticism in China reflects the efforts of Chinese scholars in putting forward original literary theories and methods, which is essential to expanding the influence of Chinese literary theory around the world.

**Li Mengyu:** Obviously, what we can see in this article is that prof. Nie places great



emphases on ethical selection, because he believes that “ethical selection is not only the core term, and it’s the basis for all the other terms” (77).

**Su Hui:** Yes, ethical selection is a key term that Nie put forth. As he stated in this article, “Ethical selection refers to the process in which human beings acquired human nature after they obtained human form through natural selection. It is the second selection that human beings experienced at a certain point in the history of their civilization. Human beings acquired human form and went through natural selection, or the first selection that was essentially biological. Natural selection only distinguished man from beast in form, but ethical selection made man different from beast in nature. Ethical selection is completely different from natural selection. Human nature is what had come out of the former while human form was what mattered in the latter. Through ethical selection, human beings formed their understanding of good and evil and cultivated their human nature, finally becoming people with morality. Therefore, ethical selection is about learning to be a person, and it is the process of becoming a moral person through education and learning” (73).

Thus the article has expounded Prof. Nie’s Ethical Literary Criticism theory thoroughly, with a further emphasis on the core position of ethical selection in the theoretical construction of Ethical Literary Criticism. He underscores that “ethical selection is a new stage of human moral civilization after natural selection was completed. It is a process that human beings must go through to obtain human morality by making specific ethical choices on their own. By ethical selection, human beings awake from ignorance and stay away from barbarism. Ethical selection is exclusive to humans. Natural selection concerns the form, determining what a person looks like. Ethical selection is about human nature and learning to be human. It is through ethical selection that we adopt moral standards and cultivate ourselves accordingly to be the kind of people we want to be. Ethical selection is made in accordance with certain social requirements and moral norms in a specific ethical environment and context according to the moral goal of a person, and the selection is carried out in the process of education and learning” (75).

**Li Mengyu:** Yes, according to Prof. Nie, a person under the influences of social norms and moral standards makes his or her ethical selection in a particular ethical environment, and it determines a person’s ethical identity and value orientation. Since the literary works record and comment on the ethical selections of the protagonists, in literary criticism, he stresses, “The focus of attention should be shifted to the analysis of specific ethical selection activities and the classification

of ethical selection activities should be combined with critical terms such as ethical identity and ethical environment” (77). This reminds me of Sartre’s existentialist philosophy, as Sartre believed that free choice determines a person’s nature and identity. However, I think Prof. Nie appeals for rational choice.

**Su Hui:** As you said, ethical selection, the core category of Ethical Literary Criticism, is related to Sartre’s notion of free choice, for Sartrean existentialism has always been as much concerned about moral issues in literature and social life as Ethical Literary Criticism is. But the two theories are essentially different. For Sartre, the self is conjectured as an absolutely solitary being, which results in his preference for the authenticity of the self, rather than ethical responsibility. From the perspective of Ethical Literary Criticism, however, the essence of ethical selection is the relationship between the self and others, which means not only ethical responsibility for each other, but also mutual understanding, sympathy, and forgiveness.

**Li Mengyu:** I have read another article of his, “From Anthropocentrism to Human Subjectivity: A Possible Solution to Ecological Crises.” Prof. Nie states that there has appeared a discursive turn from anthropocentrism to nature-centrism in the second half of the 20<sup>th</sup> century. He points out that too much blame has been put on anthropocentrism for the ecological crisis. For instance, in *Silent Spring*, Rachel Carson reminds the readers that humankind should be responsible for the worsening ecological crises, but Prof. Nie thinks that human beings should clearly understand their subjective identities and fulfill their responsibilities as the subjects. By making ethical choices wisely, human beings can find solutions to the ecological crises.

**Su Hui:** Prof. Nie is quite open-minded. He believes that we should avoid the anthropocentric tendency while pointing out the subjective role that humans can play in nature.

**Li Mengyu:** You have made remarkable achievements in the study of Ethical Literary Criticism. Your application of the theories to drama analysis is especially noteworthy.

**Su Hui:** I have done some research on drama by employing the theory of Ethical Literary Criticism. I published “The Teaching Function of Ethical Choice in Shakespeare’s Comedy” in China’s Taiwan journal *Philosophy and Culture* (the 4<sup>th</sup> issue of 2015). The article discusses the teaching function of comedies by analyzing their ethical displacements, the characters’ ethical selections as well as those of the writers, as exemplified by Shakespearean comedies such as *The Twelfth Night*. The

article also expounds how the teaching function of comedies is achieved from the reader's perspective. In Shakespearean comedies such as *The Twelfth Night*, there is a classical plot of a woman disguised as a man to show the displacement of the character's ethical identities, thus setting up comedic conflicts. In such conflicts, the good and the evil usually make different ethical selections: the latter chases worthless things under the guise of ornate and sacred outfits, whereas the former pursues truth, kindness and beauty, wisely dealing with opponents and prudently disclosing the hideous features of tyrants and hypocrites with talents. The two types of characters reveal their respective teaching values through contrast. A comedy usually ends like this: the good defeats the evil. The vicious ones are doomed to be punished severely, which may not always be the case in real life, but such endings adequately demonstrate the ethical selections and moral ideas of the playwright. The teaching function of comedies is realized in laughter. Comedy readers will relate to the characters who share similar ethical preferences, thus generating "sudden glory" when appreciating the lofty words and deeds or mocking the immoral words and deeds of the characters, hence strengthening their moral consciousness.

**Li Mengyu:** We usually analyze Shakespearean comedies from the angles of themes, characters and comic effects. Your article discusses the characters' ethical identities, selections and preferences in light of Ethical Literary Criticism, which not only provides the readers with new insights, but also probes into deep moral revelations. Your recent article "From Brain Text to the Final Draft: On Ibsen's Ethical Choices in *Pillars of Society*" analyzes the "brain texts" in Ibsen's play, *Pillars of Society*. As we have discussed above, "brain text" is a very important term in Ethical Literary Criticism. How do you apply the concept to the study of Ibsen's play?

**Su Hui:** My article examines the four drafts of *Pillars of Society*, as his "brain texts." Through discussing the revisions in each draft, I investigate Ibsen's ethical selections by looking at how he "decodes" his brain texts into written texts. The dynamic interconnection between ethical selections and brain texts is also embodied in the characters' development, such as the inner conflict that Kasten Bernick experiences when he chooses between his rational irrational wills. My purpose is to sort out Ibsen's ethical concerns in each revision, including the relationship between individuals and the society, the concept of the public, and the status of women in gender relations.

**Li Mengyu:** You have published articles abroad. For instance, "Perspectives

of Ethical Identity in Ng's *Steer toward Rock* and Jen's *Mona in the Promised Land*" was collected in *Comparative Literature and Culture* (Volume 17, Issue 5), published by Purdue University Press. The novels were written by two contemporary Chinese American women writers, Fae Myenne Ng and Gish Jen. The way you handled the comparative study of the novels from the ethical identity perspective is quite illuminating. Could you please share the main points in this article?

**Su Hui:** In the two novels, the protagonists make different decisions. In *Steer toward Rock*, Jack adopts an American identity after his displacement in China, while Mona, a second-generation Chinese American, in *Mona in the Promised Land*, selects a Jewish identity. Owing to their different situations, both protagonists experience challenges in the forming of their self identities, being seen as the "other" in American culture and society. Due to their different ethical environments, the two characters have taken on different ethical identities, reflecting the transformation of ethical identity consciousness in two generations of Chinese Americans and the change from dualism to diversity in their ideas on ethical identity.

**Li Mengyu:** Inspired by Prof. Nie, many Chinese scholars show great interests towards Ethical Literary Criticism, which has led to an upsurge of related research. What do you think of their contributions to the field?

**Su Hui:** Many Chinese scholars are devoted to Ethical Literary Criticism research, and they have published a large number of articles. For instance, Yang Jincai's "Realms of Ethical Literary Criticism in China: A Review of Nie Zhenzhao's Scholarship" and Shang Biwu's "'The Rise of a Critical Theory: Reading Introduction to Ethical Literary Criticism'" are papers written in English and published in *Foreign Literature Studies*, which provide English references for foreign scholars. Other scholars have defined Ethical Literary Criticism from different perspectives in their writings, such as "Ethical Literary Criticism: Construction of Academic Discourse with Chinese Characteristics" by Liu Jianjun, "Environmental Ethics of Literature: The Significance of Ecocriticism" by Wang Ning, "My Opinion on Literary Ethics Criticism" by Qiao Guoqiang, "Ethical Literary Criticism and the Construction of Humanistic Spirit" by Li Dingqing, "Interpretation of the Ethical Literary Criticism from the Perspective of Pluralism" by Zhang Jie and Liu Zengmei, "Ethical Literary Criticism in China" by Zhu Zhenwu and Zhu Xiaoya, "Ethical Literary Criticism as a Cultural Poetics" by Wang Lixin and "Paradigm and Discourse: The Rise, and Influence of Ethical Literary Criticism in China" by Zhang Lianqiao.

We can tell from these publications that the scholars involved in Ethical Literary Criticism study are scattered across universities and research institutions in China, and they are of all age groups. It is fair to say that Ethical Literary Criticism has an extensive influence within the academia.

### **International Communication of Ethical Literary Criticism**

**Li Mengyu:** In addition to its popularity with Chinese scholars, Ethical Literary Criticism has also been well received internationally. Why is it drawing attention from more and more international scholars?

**Su Hui:** After 17 years of development, Ethical Literary Criticism has constructed a new theoretical system and formed a unique discourse system. It aims at narrowing the gap between theory and practice, and fixing the moral absence in contemporary Chinese literary criticism. In the meantime, it also solves the problem of commonness in world literature. Therefore, it has laid a solid foundation for Chinese scholars to present their research to the world and find their voices on the international arena.

**Li Mengyu:** Could you please share with us the achievements of Chinese scholars in promoting Ethical Literary Criticism in the international academic circle?

**Su Hui:** Chinese scholars of Ethical Literary Criticism have made remarkable achievements in their cooperation and exchanges with scholars from other countries.

Disseminating Ethical Literary Criticism by publishing in international academic journals is an imperative step to take. Academic journals are important platforms for exhibiting scholarly findings, spreading innovative ideas, and facilitating academic exchanges and intercultural dialogues.

Publishing in international academic journals and organizing dialogues between Chinese and foreign scholars have turned out to be effective ways of promoting Ethical Literary Criticism beyond the borders of China. Some academic journals with international influence in the United States, the United Kingdom, Germany, Estonia, South Korea, Japan, Vietnam, Malaysia, China's Taiwan, China's Hong Kong and the Chinese mainland have set up special columns on Ethical Literary Criticism.

A variety of A&HCI and SCOPUS journals have delivered special issues on Ethical Literary Criticism along with articles by world-renowned scholars, attracting much attention from the international academic circle. *Arcadia* (the 1<sup>st</sup> of 2015), a prestigious international journal for intercultural and interdisciplinary studies, has offered a special issue, "Ethical Literary Criticism: East and West," in which

Chinese and German scholars including Nie Zhenzhao, Shang Biwu, Wolfgang G. Muller and Vera Nunning shared their views on literary ethics. It is also worth mentioning that *The Times Literary Supplement* published a commentary on Ethical Literary Criticism by William Baker, a distinguished professor of Northern Illinois University in the United States, in collaboration with the Chinese scholar Shang Biwu in 2015.

The well-established American journal, *Comparative Literature and Culture* did a special column in its 5th issue of 2015. *Fiction and Ethics in the Twenty-first Century* collected 13 articles by Chinese and international scholars, discussing Ethical Literary Criticism from different aspects. *The Philosophy and Culture* (the 4<sup>th</sup> issue of 2015, an A&HCI journal in Taiwan, China) ran a special issue on Ethical Literary Criticism with 8 articles by the Chinese scholars including Prof. Nie, Prof. Li Yinbo and myself, along with some international scholars from Malaysia and South Korea.

*Foreign Literature Studies* (included in SCOPUS and, from 2005 to 2016, also included in A&HCI), recently recognized as “the most influential Chinese journal of foreign literature studies in 2020,” has run nearly 40 columns on Ethical Literary Criticism since 2005. In its 5<sup>th</sup> issue of 2017, it launched a column, “Dialogue between Chinese and Foreign Scholars: Studies on Ethical Literary Criticism.”

*Interdisciplinary Studies of Literature* (included in A&HCI), a journal in Hong Kong, China, has published a large number of articles on literary ethics by Chinese and international scholars. In its 1<sup>st</sup> and 2<sup>nd</sup> issues of 2016, *Forum for World Literature Studies* (a journal included in SCOPUS) ran the special column “Transnational Ethical Literary Criticism Studies” consecutively, which published 12 articles by Chinese scholars and scholars from the United States, Hungary, Germany, Italy, Australia, South Korea, and Japan. The fact that Chinese and international scholars engage themselves in academic exchange, discussion, dialogue and debate on Ethical Literary Criticism via top-notch international journals shows its fast-growing influence in the world.

In addition to those mentioned above, journals from other countries have also introduced Ethical Literary Criticism to their readers, such as *Border Crossing*, *The Journal of Modern Chinese Literature*, *Diaspora and Cultural Criticism*, and *The Journal of English Language and Literature* in South Korea, *The Journal of Science and Education* in Vietnam, *Kyudai Nichibun* in Japan, *Contemporary China Studies* in Malaysia, and *Interlitteraria* in Estonia. So many international scholars have demonstrated in their articles not only their ample knowledge and deep understanding of the theory and discourse system of China’s Ethical Literary Criticism, but also

their constructive reflections and new approaches in practice.

**Li Mengyu:** The International Association for Ethical Literary Criticism (IAELC) is a very important international organization. What role has it played in promoting Ethical Literary Criticism worldwide?

**Su Hui:** IAELC was formally established during the Second International Conference on Ethical Literary Criticism in December 2012. Its founding indicates that for the first time, an academic association sponsored by Chinese scholars has taken on a leading role in facilitating continuous dialogues and exchanges among scholars from around the world on the theory and practice of a new literary criticism originating in China. The purpose of this association is to make theoretical innovations in Ethical Literary Criticism, improve on the subject's methodology and further raise the awareness of the importance of literary writing, literary criticism and cultural values.

IAELC has been recognized and accepted by the international academic community. As *The Times Literary Supplement* pointed out in its commentary, "The establishment of IAELC is a major event that is worth mentioning" (William Baker and Biwu Shang 15).

Prof. Wu Yuanmai, honorary member of the Chinese Academy of Social Sciences, served as president of IAELC's first executive committee. The current committee, established on Aug. 9, 2017, is headed by Prof. Claude Rawson of Yale University, fellow of the American Academy of Arts and Sciences. Prof. Nie Zhenzhao of Zhejiang University was elected executive vice president. Prof. Knut Brynhildsvoll of the University of Oslo (Norway), Prof. Youngmin Kim of Dongguk University (Korea), Prof. Jüri Talvet of the University of Tartu (Estonia), Prof. Wolfgang G. Müller of the University of Jena (Germany) and Prof. Igor Shaytanov of Russian State University for the Humanities (Russia) were elected vice presidents. Prof. Su Hui of Central China Normal University (China) is in the capacity of secretary general. Prof. Wang Songlin of Ningbo University (China), Prof. Shang Biwu of Shanghai Jiao Tong University (China), Prof. Lim DaeGeun of Hankuk University of Foreign Studies (Korea), Prof. Fan PikWah of the University of Malaya (Malaysia) and Prof. Peter Hajdu of the Hungarian Academy of Sciences (Hungary) are acting as deputy secretary generals. The 45 members of the executive committee are eminent scholars from countries and regions including China's mainland, China's Hong Kong, China's Taiwan, the US, Canada, the UK, Germany, Austria, Italy, Spain, Denmark, Poland, Slovenia, Korea, Japan and South Africa.

So far, IAELC has held nine annual conferences while making steady



progress in its internationalization. The annual conferences were held in Central China Normal University (2005), China Three Gorges University (2012), Ningbo University (2013), Shanghai Jiao Tong University (2014), Dongguk University (2015), Tartu University (2016), Queen Mary University of London (2017), Kyushu University of Japan (2018) and Zhejiang University (2019). It is worth noting that the 5th through 8th conferences were held abroad and attracted a large number of scholars from China and dozens of other countries.

We appreciate the hard work of Prof. Youngmin Kim, Prof. Jüri Talvet, Prof. Galin Tihanov of Queen Mary University of London and Prof. Namigata Tsuyoshi of Kyushu University of Japan in preparing and organizing these meetings. Their efforts are highly meaningful to the spread of Ethical Literary Criticism worldwide and to the exchanges of international scholars in this field. All this signifies an ever-growing influence of Ethical Literary Criticism at home and abroad.

**Li Mengyu:** As the president of the International Association for Ethical Literary Criticism, Claude Rawson once stated in an interview, “I have the highest expectations of the success of Ethical Literary Criticism in restoring to literary study a sense of its intellectual seriousness. Nie Zhenzhao’s personal activism as a promoter of international conferences and professional journals is the surest guarantor of this promise” (391). Prof. Nie and many other scholars have made great efforts in spreading Ethical Literary Criticism internationally.

**Su Hui:** Yes, Prof. Nie and a large number of scholars have been contributing to this endeavor. We see the assessment of the international academic community as the touchstone for whether China’s academic findings are recognized and accepted. An important part of this assessment is constituted by what experts in the field say. Comments of experts with a great influence from different countries and regions are especially important, as they indicate the potential of an academic theory to be accepted across the board. In its course of going global, Ethical Literary Criticism has been positively spoken of by a multitude of renowned scholars from many countries and regions.

As the president of IAELC, Prof. Claude Rawson always has on his mind the development of the association. He seeks time out of his busy schedule to be part of the annual meetings. In rare cases when he was unable to participate, he would send along letters of warm congratulations, in which he fully recognized and sang high praise for the achievements in Ethical Literary Criticism. In the opening ceremony of the 8<sup>th</sup> annual meeting, for example, he addressed Prof. Nie as “the founder of IAELC and the conceptual father of Ethical Literary Criticism,” and stressed the



significance of the achievements and contributions of Prof. Nie's team.

Prof. Marjorie Perloff of Stanford University, fellow of the American Academy of Arts and Sciences, once said, "ethical and moral values are among the most important values of literature. In light of this, Ethical Literary Criticism proposed by Chinese scholars is highly meaningful, for it captures the essence of literature in addition to reviving the methodology of literary criticism. In other words, Ethical Literary Criticism helps readers rediscover and uncover the ethical values of literature, and awakens its moral responsibilities" (Deng Younv 1).

Prof. Ansgar Nünning of the University of Giessen in Germany, fellow of the Academy of Europe, spoke highly of Ethical Literary Criticism: "Ethical criticism has been on a waning tide in the West since the 1990s, while ethical literary criticism, with a different conceptual system, is now on a surprising rise in China. Ethical literary criticism has more or less revived an ethical approach to literature, which is perhaps one of the most recent contributions to the studies of literature done by Chinese scholars" (Lin Yuzhen 165).

The famous poet and expert of poetic theory Hank Lazer, professor of English at the University of Alabama, referred to Prof. Nie as the "leading figure in Ethical Literary Criticism," believing that "the achievements made in Ethical Literary Criticism have drawn international attention and wide recognition." He wrote in his article, "Ethical criticism is important for at least two reasons: (1) it is a Chinese theory of literary criticism, and thus it alters, challenges, and enlivens from a very particular cultural and historical perspective the range of international conversations and writings about literature and the value of literary study at a time, perhaps, when the practicality of literary study is being treated by the public and by university planners and administrators somewhat skeptically and (2) it inevitably returns us to a fundamental set of questions (often bypassed as our critical considerations become more 'sophisticated' and specialized and professionalized?) about why we read, and about the value of studying literature and reading literature, particularly so-called difficult literature intensely and carefully" (Lazer 4).

In the 1<sup>st</sup> UCI Critical Theory Conference in 2015, which centered around the question "Is theory critical?", Prof. Georges Van Den Abbeele of the University of California, Irvine, fellow of the European Academy of Sciences, commented on the methodology of Ethical Literary Criticism proposed and continuously improved by Prof. Nie in recent years. According to Abbeele, "At present when Western literary theories rely too much on political discourse, Ethical Literary Criticism drives literary criticism back to its functions of moral education and aesthetics, forming an interactive and mutually supplementary relationship with the mainstream discourse

for criticism in the West. As a result, Ethical Literary Criticism will be accepted and used by an increasing number of Western scholars, and its systems will be further improved with the joint effort of Chinese and Western scholars” (Xia Yanhua and Abbeele 172).

The famous Slovenian scholar Tomo Virk, professor of comparative literature and literary theory at the University of Ljubljana, holds that a large part of contemporary literary criticism has basically broken away from close reading, hermeneutics and the anthropologic perspective. In Ethical Literary Criticism, the theory of Prof. Nie is the most systematic, complete and human-oriented method to date. It is not only a new theory, but also a new paradigm for literary research. In December 2018, Virk published a new book, *The Ethical Turn in Literary Research*, written in Slovenian. He dedicated the third chapter to Ethical Literary Criticism, naming it “Nie Zhenzhao and Ethical Literary Criticism” (Virk 299).

Prof. Shin Inseop of Konkuk University said, “Ethical Literary Criticism, as a new approach proposed by Chinese scholars, is rooted in the unique context of Chinese literary criticism and resolves the issues in contemporary Chinese literary research. At the same time, it also looks at the development and progress of the world literature. This fully demonstrates the Chinese scholars’ sense of mission and academic responsibility. It not only constitutes a unique branch of literary criticism, but also generates a trend of thought in the society. Looking back on its development, I can’t help feeling excited for Eastern scholars. By studying Ethical Literary Criticism, the Eastern scholarship, which had been weak in contemporary literary criticism and theory, has regained its confidence and assured its place in this area which used to be dominated by the West” (Shen Yinxie 197).

Prof. Youngmin Kim of Dongguk University, vice president of IAELC believes that Ethical Literary Criticism “offers a new approach to literature studies both in China and abroad” (Kim 397), and that Nie’s *An Introduction to Ethical Literary Criticism* is “the trailblazing piece for the future of Asian literary critical discourse” (Kim 400).

The foreign experts I quoted have made fair and objective comments on the theory created by Chinese scholars. It is clear that the pursuit of truth in academic research is a shared goal for scholars around the world. We can see that China’s theories are going out to the world and heading towards prosperity.

What’s more, the high-level Forum on Ethical Literary Criticism has been held five times, respectively in Jinan University (2016), Korea University (2017 and 2018, South Korea), Guangdong University of Foreign Studies (2019) and the University of St. Thomas (2019, Philippines). In the context of world literature, the

forums have expanded the theory and practice of Ethical Literary Criticism from different perspectives, and highlighted the distinct consciousness of problems and the spirit of exploration.

The 24<sup>th</sup> World Congress of Philosophy was held at the Great Hall of the People in Beijing on August 13-20, 2018. This was the first time for the world's largest philosophical conference with more than 100 years of history to be held in China. The conference arranged a symposium with the theme of "Ethical Philosophy of Nie Zhenzhao," in which nearly 20 keynote speeches were delivered. Participants discussed the philosophical basis, discourse system, areas of application and international influence of Ethical Literary Criticism. This conference had a massive turnout, attracting scholars from China, the United States, Britain, France, Italy, Hungary, Japan, South Korea and other countries. According to *People's Daily Overseas Edition*, "China's Ethical Literary Criticism has attracted much attention at the 24<sup>th</sup> World Congress of Philosophy. Brilliant speeches were delivered, proving that Ethical Literary Criticism has become a literary theory with academic cohesion.<sup>1</sup> This fully reflects China's discourse power in humanities."

In addition, the 21<sup>st</sup> and 22<sup>nd</sup> congresses of the International Comparative Literature Association, held at the University of Vienna and the University of Macau, hosted a special session on Ethical Literary Criticism. At the 21<sup>st</sup> annual conference, which focused on the theme of "The Teaching Function of Literature and Its Aesthetic: Ethical Literary Criticism," scholars from China, the United States, the United Kingdom, Austria, South Korea, and Norway delivered insightful speeches, speaking to the charm of the academic discourse of Ethical Literary Criticism. The 22<sup>nd</sup> annual conference set up two sub-forums: "Ethical Literary Criticism and Interdisciplinary Studies and across the Genre" and "Ethical Selection and Literary Classics Re-Reading." More than 30 scholars from well-known universities at home and abroad shared illuminating ideas in their presentations. This illustrates the important role that the discourse system of Ethical Literary Criticism constructed by Chinese scholars plays in the study of comparative literature and the subject's increasing impact on the international arena of comparative literature.

What happened at these international conferences clearly tells us that China's Ethical Literary Criticism has been recognized not only in literature but also in philosophy. It is another convincing proof that this new theory of literary criticism has successfully reached out to the international community of scholars.

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1 "The World Philosophy Congress was Held in Beijing, Literary Ethical Criticism Has Become the Subject of Growing Concern", *People's Daily Overseas Edition*, August 21, 2018, 9:36, [m.haiwainet.cn/middle/3543190/2018/0821/content\\_31379582\\_1.html](http://m.haiwainet.cn/middle/3543190/2018/0821/content_31379582_1.html)

**Li Mengyu:** Do you have any suggestions for the future development of Ethical Literary Criticism?

**Su Hui:** In order to further promote the development of its theory and practice, it is necessary to consider and explore the following issues:

First, we should figure out a new research direction among diverse theories and find a way to integrate new theoretical resources. By compiling and sorting ethical-moral criticism documents in Chinese and foreign literature in a systematic manner, we can comb through the history of ethical-moral criticism, especially its development since the 1980s when various concepts of ethics emerged with the revival of ethical criticism. Also, we should carry on with the dialogue and debate between Chinese and international scholars, and conduct interdisciplinary studies that cover literary ethical criticism and philosophy, aesthetics, ethics, sociology, psychology and natural sciences, in order to promote the development of Ethical Literary Criticism in greater depth.

Second, while practicing Ethical Literary Criticism in textual criticism, we should vigorously develop the Eastern literary ethics, including a probe into Chinese literature. In addition to the ethical connotation in texts, we should also emphasize in our analysis texts that reflect specific times, ethnic groups and national ethical concepts. We should try our best to construct discourse systems of ethical criticism for different genres, such as poetry, novel, and drama. Furthermore, we should conduct in-depth study of the ethical connotations conveyed by various artistic devices in the texts.

Third, we should sort out the development of Ethical Literary Criticism, exploring its critical paradigms, figuring out viable strategies for its internationalization, and maximizing its contribution to contemporary literary criticism and academic research. Meanwhile, we should probe into various possibilities of integrating Ethical Literary Criticism into the teaching of literature, such as compiling teaching and reading materials, providing corresponding teaching and learning guides, and offering training opportunities (“General Preface” 43).

**Li Mengyu:** Over the past few years, Ethical Literary Criticism has seen new development in China. For example, criticism of literary ethics in a science-based manner has contributed to literary theory and criticism as a whole. Much progress has been made in interdisciplinary studies. For example, studies on the generation of language and brain texts. What do you think of the prospects of Ethical Literary Criticism in China’s interdisciplinary research?

**Su Hui:** Indeed, Prof. Nie has published a number of articles in recent years. In addition to the aforementioned “Value Choice and the Theoretical Construction of Ethical Literary Criticism,” he also wrote “On Brain Texts and the Generation of Language,” “On the Ethical Mechanism in the Generation of Language” and “On Human Cognition and Awareness.” In his articles and conference presentations, Prof. Nie emphasized the necessity of reshaping fundamental theories of literature and put forward specific ideas for research. He believes that this reshaping is, in essence, the innovation of literary theories. This necessity is driven by the fact that current literary theories are no longer able to adapt to the changing landscape of literature. Nor are they able to answer the call of integrating with science and technology. In reshaping the fundamental theories of literature, we need to explore the possibilities of literary research with an open and innovative mind. We can also pursue the path of interdisciplinary research by drawing strengths from the theories and methodologies of other disciplines. As we reshape and restructure literary theories, we must adopt science-based ideas, theories and methods. Main topics of research are as follows:

1. New cognitive research in literature. It studies human cognition with computer simulation technology. It innovates philosophical cognition theory based on computer technology and lays a scientific and philosophical foundation for literary theory.

2. Research on the theory of human nature. Ethics has yet to fully unravel the concept of human nature, which significantly affects literature research based on human beings. This research will focus on three core concepts: human beings, human instincts and human nature. Human beings, as subjects, possess human instincts, which are essentially animalistic, and human nature. Animalistic instincts and human nature, combined in different proportions, make up human morality, while the binary opposition of the two eliminates confusion about the definition of human nature.

3. Theory on the generation of literary language. The study of literary theory cannot exclude the study of language, but current definitions of language, words and texts, which lay the foundation of language studies, remain unclear. The underlying logic of the generation of language is that language is not a pre-existing entity. Instead it is generated real time as a form of sound and a conversion of brain texts into sounds.

4. Research on the neural mechanism of literary theory and brain texts. Literary texts are the objects of literary theory research. Brain texts play a dominating role in the relationships among texts, language, cognition, mindset, behavior and morality.

They either transform into written and electronic texts or generate language. The neural mechanism for the formation of brain texts and principles of the brain texts' transformation into written and electronic texts or language will be emphasized in this research. Elon Musk recently announced the discovery of brain-computer interfaces, providing inspiration for the research on the neural mechanism of literary theory.

**Li Mengyu:** Your suggestions are very enlightening. On one hand, there is a great necessity to integrate Ethical Literary Criticism with other theories. Just as the Japanese scholar Tsuoshi Namigata argued, "Ethical Literary Criticism needs to be further discussed with current theories of literary criticism, postcolonial criticism, gender criticism, cultural studies, etc." (411). On the other hand, Eastern literary ethics needs further research. As Chinese scholars, it is our duty to explore our cultural and literary resources. In this regard, Prof. Nie has set a good example. In his recent article "Value Choice and the Theoretical Construction of Ethical Literary Criticism," published in *Social Sciences in China*, Nie not only analyzes many works of world literature, but also explores the richness of Chinese cultural, historical, and literary texts, including *Oracle Inscription of Shang Dynasty*, *Poetry*, *Chu ci*, Confucian classics, and many famous Chinese poems.

**Su Hui:** Yes, we need to have an international vision in this global era, but as Chinese scholars, we should also fully explore our own cultural and literary resources.

**Li Mengyu:** Prof. Su, many thanks for your brilliant insights. I am sure the readers will benefit a lot from what you've shared.

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# Women's Mobility and Literary Ethics: Ethical Conflicts in the Modern Japanese Novel *A Certain Woman*

**Inseop Shin**

**Abstract:** *A Certain Woman* ( 或る女 , 1919) by Takeo Arishima contributed to the new ethics necessary for establishing modern Japanese society. This novel is one of the first Japanese works to deal with women's pursuit of fulfillment of the modern self and ethical conflicts. So, how should the phenomenon of new attention to women's ethics in modern times be understood? When it comes to women's ethics, the most important of the various factors is that women have become bodies that move into public places. In this case, it is reasonable to assume that the problem of women on the move—that is, the problem of mobility—triggered the need to establish new ethics for modern women. This paper uses the concepts from Professor Nie Zhenzhao's theory and works on ethical literary criticism. The walking scene is essential in this novel. The female protagonist's mobility on foot is important because her walking is portrayed starkly to cause a cataclysmic shift in ethics. This article intends to argue that the female protagonist's orientation towards mobility, to go out to public places and receive public attention through walking, does not stem from the rational will. What is behind women's mobility, which lacks an ethical orientation, is an ethical line that throws the ethical status of the female protagonist into a contradiction. Depicting Yoko's ethical choices, this novel contains the total discrepancy that a modern woman faces on her way to self-realization.

**Keywords:** *A Certain Woman*; mobility; literary ethics; ethical conflicts; modern Japanese novel

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**标题：**女性的移动性与文学伦理：日本近代小说《一个女人》的伦理困境

**内容摘要：**本文中谈到的有岛武郎的《一个女人》（1919）有助于形成近代日本社会所必需的新伦理。该小说属于最早涉及近现代日本女性寻求自我实



现和伦理冲突的作品。那么应该如何理解近代注重女性伦理的现象呢？说到女性伦理问题，在诸多因素中，女生的身体已经成为了她们进入公共场所的最重要因素。在这里可以合理地认为，女性移动的问题，即移动性问题，触发了确立近代女性新伦理的必要性。本文运用聂珍钊教授关于文学伦理学批评的理论和著作，审视了日本近代女性的新伦理。行走的场景在这部小说中很重要，而女主人公的步态移动性之所以很重要，是因为她的步态极为鲜明地被刻画成了引发伦理巨变的契机。本文认为，女主人公步行去公共场所并受到公众注目的移动性意图并非基于理性意志。一个缺乏伦理取向的女性的移动性行动，是在一条与女主人公的伦理身份相矛盾的伦理线为背景运作的，即该小说里关于叶子的伦理选择包含了近代女性为了实现自我遭遇的种种矛盾之总和。

**关键词：**《一个女人》；移动性；文学伦理；伦理困境；日本近代小说

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### 1. Confusion of Ethical Identity

No one would deny that modern Japanese novels contributed to the formation of a new ethics that was necessary for the establishment of modern Japanese society. *A Certain Woman* (或る女, 1919) by Takeo Arishima (有島武郎, 1878—1923), which is covered in this paper, as well as earlier novels written by Ogai Mori (森鷗外, 1862—1922) and Soseki Natsume (夏目漱石, 1867—1916) attempted to express modernity based on ethical conflicts. In *Maihime* (舞姫, 1890), which marked the beginning of the modern novel in Japan, Mori portrayed a protagonist who had to make an ethical choice between the state and the love of an individual (Nie and Shin 24-34). Natsume dealt with the egoism<sup>1</sup> within the inner self of modern individuals in *Kokoro* (心, 1914), which is considered an essential part of the canon of Japanese modern novels.

He was active from late 1910, Shirakaba, a literary coterie that advocated humanism. “Takeo Arishima, a Japanese writer, Exposed to Western culture through his education and travels to the USA and Europe, he was brought up as an intellectual of international sensibilities, which was quite exceptional in Japan at the turn of the 20th century” (Shin, “A Narrative of Those on the Move” 215). In line with that, *A Certain Woman*, a representative novel of the Taisho era in Japan as a

1 Inseop, Shin. “Seoul National University Recommended Books 100 Books <71> *Kokoro* - Soseki Natsume.” *The Dong-A Ilbo*, June 25, 2005. <<https://www.donga.com/news/Culture/article/all/20050625/8203584/1>>.

narrative of ethical conflict, is evaluated as one of the top five novels in Japanese literature (Maeda 138). In fact, this novel is one of the first Japanese works to deal with women's pursuit of fulfillment of the modern self and ethical conflicts. In this novel, the attempt of its female protagonist to establish a modern self based on the "rational will" (Nie, "Sphinx Factor and Ethical Selection" 388)<sup>1</sup> ends in failure, but the novel was significant among Japanese novels for its portrayal of a woman's ethical conflicts. This is because women's modern self and ethics were not fully addressed until about 40 years after the Meiji Restoration, which was declared the starting point of modernity in Japan. *A Certain Woman* became a bestseller because of the shockingly unconventional behavior of the heroine during the Taisho era, but was not the subject of serious criticism because it was treated by critics as a popular novel (Yamada 1976, 3). This is probably because the basis for discussing the modernity of women raised by the author had not yet been formed at that time. However, as time passed and the novel began to be re-evaluated in Japan after the defeat in World War II, it received favorable reviews as a work depicting a tragic woman who had woken up to the modern self too early (Shin, *Light and Dark* 40-41). Her character became seen as a figure in opposition to the old customs, in line with the advancement of women's status at the time.

So, how should the phenomenon of a new attention to women's ethics in modern times be understood? When it comes to women's ethics, the most important of the various factors is that women have become bodies that move into public places. This is a view that has long been ignored by critics. In this case, it is reasonable to take the view that the problem of women on the move—that is, the problem of mobility—triggered the need to establish a new ethics for modern women. There is a problem with forming a view of women in the discussion of modernity in general without making such a hypothesis; that is, without considering the women's issue itself as a variable, whether active or passive. This is an idea that defines women a priori such that 'modern women should have this kind of subjectivity.' Underlying such a thought is the notion that the modernity of 'Western women' is a natural norm when discussing women's modernity in Japan, and that the East should learn it. In this way, it is common to fall into the trap of Orientalism without self-examination (Park 141-142). Perhaps Japanese modernity itself is a huge mass of Orientalism (Kamei 7).

Based on this observation, this paper intends to analyze the mobility of women in a well-known Japanese novel by drawing on ethical criticism. Through this, this

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1 In this paper, I intend to use the concepts from Professor Nie Zhenzhao's theory and works on ethical literary criticism.

paper will approach the literary motif of a modern Japan that plunges the female protagonist's self into contradiction. Such an attempt could ultimately clarify that the confusion of the female protagonist's "ethical identity" (Nie, *Introduction* 263-265) is a mirror reflecting the ethical contradictions of modern Japan.

## 2. Slowly Walking Heroine

In what cases does the woman's body moving into public places raise a problem? In what way is this subject to ethical literary criticism? In *A Certain Woman*, means of mobility such as rickshaws, trains, and steamboats appear frequently. The walking scene is important in this novel. The female protagonist's mobility on foot is important, because her walking is portrayed in such a stark manner as to cause a cataclysmic shift in ethics.

For the sake of understanding, I will briefly outline the plot of the novel. *A Certain Woman* has a self-destructive narrative in which Yoko Satsuki commits adultery with a man for which she has a strong sexual attraction, even at the expense of her own social and economic foundations during her engagement. The heroine with a strong ego, reminiscent of Anna Karenina or Madame Bovary, is a 24-year-old single mother with a history of divorce. She was raised by a father, who ran a large clinic, and an Amazonian mother, who served as vice president of the Christian Women's Federation. However, after the death of her parents, she was in dire straits and had to worry about her livelihood, living with her two younger sisters and a daughter from her ex-husband. She was a woman of remarkable beauty and talent, but had failed in her relationship with her ex-husband Kibe, whom she had married despite her mother's opposition. Since then, she has had relationships with several men in a *que sera, sera* manner. On the other hand, this novel depicts the hypocrisy of the Christian community at the time (Yamada, *The world of Arishima Takeo* 203). Kimura, a young businessman who has emigrated to the United States, obtains the consent from Yoko's mother to marry Yoko by begging her, exploiting the trust he has acquired among the Christian community. Yoko hates Kimura, thinking him a hypocritical bourgeoisie with a calculating personality, but Kimura never gives up his love for Yoko. Reluctantly, Yoko embarks on a long voyage to the United States and falls in love with Kurachi, the ship's chief engineer. She meets her fiancé Kimura on the moored ship, but feigns illness and makes fun of him. But eventually she does not land in the United States, but returns to Japan.

What awaits Yoko upon her return to Japan, after disregarding the expectations of her relatives and society, is a cold reaction, surveillance, and punishment. Meanwhile, the more she becomes obsessed with Kurachi, who has come to live

with her, the relationship between the two gets twisted. As her jealousy deepens, he distances himself from her. In a relationship reminiscent of Anna Karenina and Vronsky, she finally falls into hysteria and suffers from a disease of the uterus, and the novel ends with her dying of uterine disease.

The symbolic message of the beginning of the novel is very important because it foretells the direction of the story and implies the intent of the author. The scene in which the female protagonist Yoko Satsuki appears in the station of Shinbashi is particularly impressive, as the novel opens with the following: "As I was passing Shinbashi, the second bell rang indicating the departure. The sound of the bell was heard in the misty September morning air, though it was not as thick as the fog" (Arishima 7).<sup>1</sup> Late for the train, the rickshaw driver carrying Yoko was running frantically. A young man named Koto was arguing with the station attendant who was about to close the ticket gate, asking him to wait.

A train waiting for late passengers may be an unfamiliar scene to us who are accustomed to the punctuality of train departure. The conductor, station attendants and passengers preparing for departure must have been waiting for the train to slide forward. A whistle sounds to announce the departure, but the passengers who arrive late and want to board are bound to be in a hurry. Even in this situation, Yoko walks in with a deliberately leisurely gait, as if she is ignoring the people in a hurry around her. Naturally, everyone's gaze is directed toward Yoko. "On the platform, everyone standing, including the station attendants and those who came out to see off people, looked towards the two people" (8). Even today, walking in a public place while receiving a lot of public attention would be quite stressful for anyone. Considering how the status of women at that time was different from today, we can imagine how intense this first scene was. It would be the desire to walk, pointed out by Rebecca Solnit. Walking is "the body and the mind with the world, of knowing the world through the body and the body through the world." In other words, "walking returns the body to its original limits again, to something supple, sensitive, and vulnerable, but walking itself extends into the world as do those tools that augment the body" (Solnit 29).

Mobility or immobility is "a generator of shared emotions and feelings, as well as a historical production. That is, their activities, their daily circulations in the restricted region, can be interpreted as a practice of 'ethic'" (Kim etc. 103). It can

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1 Although this novel has an English translation (Arishima, Takeo. *A Certain Woman*. Translated by Kenneth, Strong. Tokyo: University of Tokyo Press, 1978.), to preserve the nuances of the original text, quoted from the original Japanese edition (Arishima, Takeo. *A Certain Woman*. The Collected Works of Takeo Arishima, vol. 4. Tokyo: Chikuma Syobo, 1979.)

be said that the modern era brought women out of the house into society. This is because, unlike in the past, where they helped with farming or did housework, they came to take charge of social chores as cafe waitresses, bus conductors, or factory workers (Minami 256). In other words, it is in modern times that active mobility was given to women, who used to move passively within the house. But even in the modern era, the scene in which women like Yoko attract attention is a very exaggerated situation. Here, I want to confirm one more important point regarding her mobility. That is the concept of a “non-place” (Augé 78). A place is a space in which traces of a subject’s experiences and historical memories are recorded. On the other hand, a non-place is a concept that contrasts with the home or workplace, and it is an ambiguous space that cannot become a personal place, such as a waiting room at a station, airport, a compartment on a train, or the inside of a bus (Augé 41-48).

Yoko is a woman who appears in these non-places. In a word, the beginning of the novel maximizes the exaggerated expression of mobility. She comes in her rickshaw from her house, receives numerous glances, and slowly walks through a non-place called the station to catch the train, a symbol of modernity. It is not surprising that Japanese readers, who had never seen this type of heroine in a novel before, cheered on *A Certain Woman*. The nervous and rebellious heroine was laying a milestone in the history of Japanese modern fiction through her excessively self-conscious walking. The novel begins with a walk that can be called a mysterious excess of self-consciousness and ends with the immobility of the protagonist, who dies in a hospital bed. In between, the novel depicts how her long journey as a subject with an excess of self-consciousness becomes involved in conflicts in ethical identity.

In this way, the appearance of a woman who walks in an unconventional manner was cast to emphasize the narrative of the ethical conflict of the time. Alighting at Yokohama Station, Yoko walks along the harbor with Koto, a friend of her fiancé Kimura. She came to Yokohama, where there is a steamship company, to buy a ticket for a passenger ship to the United States, but the mobility of this walk was not so smooth.

Using the parasol as a staff, Yoko gingerly descended from the deck and came out to the ticket gates with Koto’s help. But as she walked slowly, the other passengers passed, leaving only the two of them behind. 14 - 15 rickshaw drivers for the station, who had not found customers, gathered in front of the waiting room, looking at the slender Yoko and talking about something. Words such as ‘the girl’ and ‘foreigners’ whore’ were mixed into their obscene chatter.

The coarse, vulgar atmosphere of the open port immediately vexed Yoko's nerves. (21)

Yoko, who had drawn attention at Shinbashi Station, this time draws attention as an object of sexual contempt. This passage foreshadows the shaky identity of Yoko, the daughter of a well-to-do family. Modernity is a period of great upheaval. In fact, Yoko's family was also falling apart, and that is why she came to Yokohama to buy a ticket on a steamer to the United States. The view of her as a sexual object shows how the ethical status of women's liberation given by modernity and the negative gaze on it are in conflict with each other. And the contradiction of the protagonist, whose ethical identity is not clearly defined, is what this novel is trying to portray. Ultimately, the problem that arises from the lack of a properly established self-identity gives birth to new ethical conflicts.

### 3. Contradictions in the Heroine's Ethical Choices

The appearance of the heroine who walks in an unconventional way heralds the turbulent journey of her life in the future. Behind such an exceptional manner is her self-consciousness that resists social conventions. A woman of exceptional versatility, she has always been in conflict with her mother, a social celebrity. She has spent most of her life resisting not only her mother but everything that suppresses her freedom. The first half of the novel, in which she embarks on a steamer to the United States to marry Kimura, who had emigrated there, well describes why she is forced to fall into the contradiction of her ethical identity.

First of all, she recollects that she has lived 25 years, enjoying her strong-willed personality since girlhood without caring about worldly affairs. Then "as she suddenly looks back on her past, she finds herself standing alone at the edge of an unfamiliar field, out of the customary life of a woman that has long been taken for granted" (42).

Her deviation from the generally accepted path for women can be explained in terms of three ethical choices in relation to marriage. First, she married despite her parents' opposition. Second, she divorced just two months after her marriage. Third, she is raising a daughter from her ex-husband. Here, it is not a problem in itself for the modern subject to marry by her own choice against the will of the parents. A woman may also divorce shortly after marriage, and raising a child from the marriage may be a natural choice in life. However, this novel invites the reader into the complex ethical conflicts involved in this issue.

First, let's take a look at how the main character married with vanity, and

without love. People were always gathering around her mother, who was a social activist as the vice president of the Christian Women's Federation. Her husband, Kibe, was also a young literary man she met at her mother's salon. Her love affair with him began out of a rivalry with her mother, as the following quote shows:

Especially when her mother, who had known Kibe for a long time, praised him as a very promising young man, or treated him in public as if he was her own child or younger brother, Yoko scoffed in her heart. And she opened her heart and started to be friendly to him. (13)

Kibe was determined to fulfill his love with Yoko at the cost of his own life, in the face of a strong opposition from her mother which was close to jealousy. Kibe's loyalty "created in Yoko's heart pure sympathy and unconditional devotion to the man" (13). The narrator evaluates this, saying, "Yoko is absurdly intoxicated by the trap she has made herself" (13). And the narrator concludes with criticism, "She's won a brilliant victory over a competitor who she should not have competed with" (14). To seduce and take away a man from her mother because he is the man the mother prefers is an act of forgetting the ethical identity as a daughter. Her understanding that her mother's objection is due to jealousy is not really grounded. Of course, in the novel, her mother lacks sincerity, but she is carrying an attribute of worshiping Christianity because it is a Western culture. Her mother is a strong-willed, extravagant Christian woman of political tactics, but overall, she is not portrayed as amoral.

This ethical choice in relation to marriage does not conform to the traditional ethics of filial piety, as well as the modern virtue of rationality. It cannot be denied that Yoko's selection of Kibe as her husband was due to considerations of her mother and the fact that he was a famous poet of genius. She started living with him in "a little house of a hideout" (14) and "it didn't take more than two weeks for their love to go away" (14). It can hardly be described as true love.

Kibe increasingly came to scrutinize Yoko's every move with a watchful eye. Less than half a month after they started living together, Kibe began to develop an attitude that was often overbearing and restrictive of Yoko's freedom. (15)

When a married couple realize that they have fallen out of love with each other, they either put up with the marriage, or choose to divorce. Yoko chooses to break up with Kibe over his attitude of "restricting Yoko's freedom" "with a watchful eye."



This is because such an attitude locks women into a situation of immobility and prevents their self-realization. The problem with choosing a divorce here is that it is not clear what kind of life Yoko was aiming for. There should be a certain direction that does not stop with a performance that draws the attention of many people in a public place, but she did not have that. The conflict between being confined in the house as a wife and being granted active mobility is an important element of the establishment of ethics faced by modern women. As seen earlier, Yoko's ethical choice is directed towards the mobility of attracting people's attention in public places. Her choices should have been made by rational will, but there is a problem in that she stayed with the natural will, which was not given a direction. This is not only her problem, but also the problem of modern Japan.

The remaining problem relates to the daughter from her marriage to Kibe. She persuaded him to give up his paternity rights by telling him, her daughter's biological father, that the child was from an affair with another man. There are also descriptions in several places in the novel of her having promiscuous affairs with many men. The "ethical line" (Nie, "A Basic Theory" 191) of marriage runs through the family relationship between Yoko's mother, Yoko and her daughter. The wrong choices made while forgetting the ethical identity of mother and daughter are bound to affect Yoko's daughter, who must grow up without a father after Yoko's divorce. It is questionable whether Yoko's daughter, who should be brought up as an illegitimate child, will support her mother's choice. The biggest problem is that the marriage to Kibe was not based on the love chosen through the rational will of modern times, and further, it was far from the ethical status granted by modernity of the liberation of women's self.

In defense of Yoko, it must be mentioned that this novel fails to properly present a clear realization of the rational will of the liberation of women's self—that is, the direction—in the historical context of the times. It could be said that this was what made her choose her negative ethical identity, which came from her natural will, faithful to her instincts. From this perspective, it is no exaggeration to say that this novel contains the sum total of contradictions that modern women face in the pursuit of self-realization concerning Yoko's ethical choices.

#### **4. Lack of Ethical Orientation and a Mirror Split in Two**

At the time this novel was published, Japan did not have the necessary orientation to establish the ethics of a woman required by modern society. By ethical orientation, I mean the discussions and directions proposed for establishing an ethical paradigm in a new era. Significantly, this novel shows the lack of orientation of modern women,



using the metaphor of a path.

Yoko sneered at others, and with contempt for herself, wandered unconsciously into a strange path, dragged by a pitch-black and enormous force, and eventually dashed at full speed. There was no one to guide her on her way, and no one to teach her the right path. (42)

The phrase “pitch-black and enormous force” can be interpreted as meaning that there was no rational will in Japanese society at the time to guide the instinctively cultivated free will to the right path. As the social system has modernized, it has become a daily routine for women to walk in public places and spend time in non-places outside of places. Then, women’s ethical status and social norms must follow. But in reality, the exploration of a new ethics for women was not an important issue. Instead of suggesting a rational will to the new society, women were prescribed an immobility that prevented them from appearing in public places, just as Kibe curbed Yoko’s freedom with a watchful eye, resulting in a blatant contradiction to modern times.

This is an idea that limits mobility through the ethical norms of “good wife” and “wise mother,” which is not in line with modernity. In other words, the roles are divided into mobility and immobility, which allows men to go out and women to stay in the house.<sup>1</sup> This is no different from what feminist studies have pointed out as the harmful effects of androcentrism (Hirata ix-xii). From the perspective of mobility, it can be said that prior to the conclusion of the ideology of a good wife and wise mother, the ethics of modern women on the move should have been established. Before leaving for the United States, Yoko, who wants to gain a clear understanding of the rational will of the liberation of women’s self, goes to meet Uchida, a prominent Christian philosopher. In my view, this scene depicts the ethical path she pursued to find an answer to the rational will of modern women. Uchida was modeled after Kanzo Uchimura (内村鑑三, 1861-1930), one of the most influential Christian intellectuals in Japan at the time (Yamada, *The world of Arishima Takeo* 197-198). His appearance in the novel can be interpreted as the collapse of the Maginot Line of the rational will.

Then, as the sun went down softly in the afternoon, Yoko visited an

1 To briefly introduce the idea of the immobility of modern women, until the defeat of Japan in 1945, women were not allowed to enter the library of the Imperial University. Of course, their admission into the university was also not permitted. The lack of any ethical reflection about such an irrational situation is criticized today (Shin 2009, 142-164).

acquaintance of her mother, Uchida, who lived in Otsukakubomachi. Uchida was a zealous Christian evangelist, a genius who hated those he hated like a viper and worshiped those he liked like a prophet. [. . .] People were afraid of him, but Yoko was not intimidated by him at all. Rather, when she encountered the affection lurking deep under his scathing exterior, she felt a kind of warmth that she just could not get from an ordinary person. (45)

Uchida cut ties with Yoko's family because he did not like Yoko's mother running a business for personal gain, but he continued to keep in touch with Yoko. Then, five years before, Uchida became furious about Yoko's marriage, denouncing it as "a terrible sin" (46). At that time, she stormed out of the gate of his house, saying indignantly, "I'll never come to this crank again!" (46) However, she confesses, "At the same time, she couldn't help but feel a strange loneliness in her heart, as if she had dropped something precious, as if the thread that guided her in this world was cut off" (46). Given this description, it seems that Uchida was the only one in the world who was able to help Yoko. But when she visits him to say her goodbyes before going to America to remarry, she is rejected at his doorstep. Then on her way back from him, she feels a strange sense of *déjà vu* that she has been there before.

Her lips still trembled in anger as she walked out of the door of his house. The sun was setting under the woods of the botanical garden, and the wind that had been blowing since morning calmed down in the air near sunset. [. . .] She came out of the door, turned to the left, and suddenly got caught on an abandoned stone on the side of the road and looked around as if her eyes were wide open suddenly. It is still Yoko, twenty-five years old. No. Once upon a time, I was struck by a stone, certainly. Thinking so, she looked at the abandoned stone once more, as if a devotee of some cult. [. . .] Even so, that abandoned stone remains in my memory. It has been there since time immemorial. With this thought in mind, Yoko vividly remembered that one day, when she and her mother came here to play, something upset her and then she fixed her gaze on the abandoned stone and stopped still. At the time, she thought it was a big stone, but it was only a small one like this [. . .] The figure of her mother standing in embarrassment vividly appeared before her eyes. (50)

Here, the abandoned stone symbolizes Yoko herself, being rebuffed in her pursuit of a path. In that sense, it can be interpreted that the road to Uchida's house is the road of ethics. But as seen above, Uchida fails to show any path to Yoko, and

avoids meeting her. I interpret this avoidance of confrontation as Japanese society's avoidance of the 'way' of modern Japanese women. The memory of Yoko being hit by a stone and hanging on to an abandoned stone in the past can be read as the resistance of a woman who struggles to find her own abandoned identity in vain. And the next moment, she bleeds from her nose on the road, and the mirror she was holding to her chest breaks. Having a nosebleed on the road symbolizes that for her, the ethical path is not working, and it is a clear indication of her impaired mobility. After stopping her nosebleed, she took out the hand mirror from her bosom to fix her face and found that it was smashed in two. Then, there is a description that the mirror at her chest was broken due to her furiousness. This means that the mechanism that allows the subject "to face ethics has been lost" (Yamada, *The world of Arishima Takeo* 206).

As discussed so far, this article intends to argue that the female protagonist's orientation towards mobility, to go out to public places and receive public attention through walking, does not stem from rational will. What is at work behind women's mobility, which lacks an ethical orientation, is an ethical line that throws the ethical status of the female protagonist into a contradiction. Depicting Yoko's ethical choices, this novel contains the sum total of the contradictions that a modern woman faces on her way to self-realization. As she longs for an ethical life and sets out on her path to find it, she trips over a stone and her mirror is split in two. The mirror reflects the protagonist and the modernity of Japan simultaneously. Like a mirror that is split in two and can no longer reflect objects, the novel does not actually suggest a clear ethical orientation for modern women in Japan. After the acceptance of the Western model, there was no concern about establishing a new ethics for modern women in the modern social system of Japan. To describe this, the novel featured Kanzo Uchimura (1861—March 28, 1930), a great thinker of the time, as a model. The motif of the novel, which seems to criticize Christian ethics as well, criticized society through its lack of ethical orientation, confusion in ethical identity, and series of ethical choices and ethical conflicts. This criticism remains valid today.

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# A Korean Mobility-Themed Novel Read from an Ethical Literary Criticism Perspective: *The Green Juice Girl Has No Time for Sorrow*

**Jooyoung Kim**

**Abstract:** Ethical Literary Criticism expands its research areas and methodologically evolves into a generalized literary theory that reflects the relationship between text and society. *The Green Juice Girl has No Time for sorrow* (2021), which this paper intends to discuss, is a contemporary Korean novel about a young woman who is excluded from her family and society, addicted to alcohol, and works as a delivery woman who overcomes addiction and returns to the social system. By drawing on the concepts of Ethical Literary Criticism theory by Nie Zhenzhao as an analytical framework, this paper aims to elucidate how ethical criticism works in literature dealing with complex modern people. The novel reveals that the delivery person, *The Green Juice Girl has No Time for sorrow*, is unique. The novel focuses on the delivery person and visualizes this invisible person in the delivery culture. Therefore that is focused on the ethics of the underdog's mobility and immobility. Hence, as an explanation of the ethical issue in this novel, this paper analyzes the ethical structure related to thinking, human relationships, behavior, and norms through three ethical lines of alcoholism and rehabilitation, family relationships, and mobile delivery, and the ethical knots generated from the three ethical lines. In conclusion, *The Green Juice Girl has No Time for sorrow* has a unique ethical structure in which two ethical lines of alcoholism and delivery work in combination with the ethical line of relationships.

**Keywords:** *The Green Juice Girl has No Time for sorrow*; Ethical Literary Criticism; mobility; immobility; ethical line; ethical knot

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**标题:** 以文学伦理学批评的观点看韩国移动性小说《果蔬汁配送小姐没时间悲伤》

**内容摘要：**文学伦理学批评为了将其扩展为考察文本与社会关系的广义文学理论，不断拓展其研究对象和方法论。本文介绍的《果蔬汁配送小姐没时间悲伤》是一部韩国现代小说。小说中的主人公果蔬汁配送员 Kang Jeong-min 是一个被家人和社会抛弃的酒精中毒者，小说描述了主人公通过从事配送果蔬汁重返社会，最终克服酒精中毒的过程。聂珍钊教授在《文学伦理学批评导论》中提到了一些伦理学概念，本文旨在阐释在描述现代人复杂的社会生活的文学作品中这些伦理学概念是如何作为其分析框架发挥作用的。《果蔬汁配送员小姐没有时间悲伤》正如其题目中提到的一样是一部把配送员为中心将其形象化展示的十分有特色的小说。可见，这部小说着眼于展示社会弱者的移动性与不动性之伦理。因此，本文通过酒精中毒、康复、家庭关系和配送移动性三个伦理线和由此产生的伦理结，分析与该小说中伦理问题相关的思想、人际关系、行为和规范等伦理结构。这意味着《果蔬汁配送小姐没时间悲伤》有着其独特的伦理结构，文中酒精中毒和配送这两条伦理线与伦理关系线是以复杂的方式相互作用的。

**关键词：**《果蔬汁配送小姐没时间悲伤》；文学伦理学批评；移动性；不动性；伦理线；伦理结

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## I

*Introduction to Ethical Literary Criticism* (2014) is not just a declaration that the status of literature must be restored through ethical reflection. More importantly, an analytical theory of ethical literary criticism established by Professor Nie Zhenzhao has opened up a new methodological horizon (Lee 334). Ethical literary criticism continues to expand its research areas and methodologically evolve, expanding into a generalized literary theory that reflects the relationship between text and society (Nie & Shang 4-8). This is an open literary theory that not only crosses national boundaries, but also can be applied to any literature that captures the past as well as our rapidly changing contemporary society.

*The Green Juice Girl has No Time for sorrow* (2021)<sup>1</sup>, which this paper intends to discuss, is a contemporary Korean novel about a young woman who is excluded

1 Kim, Hyunjin. *The Green Juice Girl has No Time for sorrow*. Seoul: HanKyoreh Publishing Company, 2021. Author Hyunjin Kim studied screenplay and narrative creation at Korea National University of Arts. After starting writing the essay "Do whatever you want" at the age of 17, she had published several essays such as "Goodbye Hot" and "Life started a joke when I said I wanted to die." Furthermore, she has written the novels such as "Tell me why did you do that to me," "It is like XX, but this is a love story." In addition, she once worked as a green juice delivery person for a living.

from her family and society, addicted to alcohol, and works as a delivery woman, who overcomes addiction and returns to the social system. The novel intricately intertwines with vast “ethical lines” and “ethical knots” (Nie 2014, 265-266), involving family, close male and female friends, college friends, business people, delivery co-workers, delivery managers, recipients of delivered goods, and people the protagonist meets by chance.

The novel consists of two key concepts: delivery and the underdog. Kang Jeong-min as an underdog is involved with the ethical problem of alcoholism in addition to her job as a delivery worker. In other words, *the Green Juice Girl has No Time for sorrow* is a novel about ethical reconstruction related to personal rebirth. By drawing on the concepts of Ethical Literary Criticism theory as an analytical framework, this paper aims to elucidate how ethical criticism works in literature dealing with complex modern people.

## II

Today, delivery culture has become commonplace, and the recipient is the center around which delivery carried out. In Korea, delivery people are strangers who connect distance and time in a clearly differentiated structure of orderers, manufacturers, and intermediaries. A delivery person becomes an issue when a delivery is delayed, the wrong item was delivered, and the item was damaged, or was not delivered. In other words, they are invisible beings in the delivery system, except when certain problems arise. Who delivered the coffee I drank this morning, and how many people were involved in the delivery?

Our contemporary delivery culture connects the whole world through a mobility system that delivers goods directly to consumers, and also transforms the characteristics of a place called a store. People can conceive of the image of a producer, but they do not know much about the process of getting the goods to their table. This is largely due to human efforts to increase technological and economic efficiency. The invisibility of delivery today has driven the pursuit of convenience and increased returns to capital. As a result, delivery has combined with the advancement of mobility technology to create a new dimension of the world (Humes 61-78).

Just as the title of the novel reveals, *The Green Juice Girl has No Time for sorrow* is a unique novel that focuses on the delivery person and visualizes this invisible person in the delivery culture. Delivery people in Korea are typically members of an economically and socially underprivileged class (Park 205-210). The novel focuses on the ethics of the underdog. First of all, as an explanation of

the central plot of this novel, this paper will analyze the “ethical structure” (Nie, *Introduction to Ethical Literary Criticism* 265-266) related to thinking, human relationships, behavior, and norms through three ethical lines of alcoholism and rehabilitation, family relationships, and mobile delivery, and the ethical knots generated from the three ethical lines. First, the main character, Kang Jeong-min, who is the agent of thought, is an alcoholic woman in her early thirties. Her addiction creates the possibility that she will make different ethical choices than if she had not been addicted. Alcoholism inevitably leads to a lack of “rational will” (Nie, “Sphinx Factor and Ethical Selection” 388), a key concept in Professor Nie Zhenzhao’s *Ethical Literary Criticism*. Furthermore, whether alcoholism is classified as “free will” or “irrational will” (Nie, “Sphinx Factor and Ethical Selection” 388) depends on our judgment. Alcoholism can be considered free will in that it is attracted to desires and impulses, but it can also be considered as irrational will because there are many differences depending on the degree of addiction and the amount of alcohol consumed. Therefore, this paper interprets that the ethical device of alcoholism has a spectrum located between free will and irrational will, and clearly comes into conflict with “rational will.”

The key to the ethical situation in human relationships is the family relationship of the male preference idea, which is the trigger for Kang Jeong-min’s alcoholism. She is socially discriminated against or marginalized in her relationships with men. The story also features her female friend Min-joo, and her male friend Jun-hee, who supports the heroine. Her family members, friends, and co-workers play some role in her alcoholism, and by engaging in the norms of rehabilitation as “ethical facilitators,” they help the protagonist’s ethical thoughts and actions to have an ethical structure. In this paper, ‘ethical facilitators’ will be used to refer to key figures who help in such ethical reconstruction, and in this novel, the female friend Min-joo and male friend Jun-hee are such facilitators.

Next, I would like to pay attention to the fact that the main character’s action is delivery. Although she goes through a lot of hardship while doing her delivery job, eventually she learns to reconcile with those who distress her. In other words, she creates a foundation for rehabilitation by accepting social norms. Here, the social norm would be the ethics of civil society in which there is a function of ‘mutual trust’ among people because ‘exclusive selfishness’ has been abandoned (Son etc. 1-44). Alcoholism, which is eliminated from civil society, in the worst case can make the addict immobile by isolating the person from society. Delivery, on the other hand, is a mobile job. In other words, in the literary sense, alcoholism and delivery are expressions of opposite images.



### III

So, let's take a look at the ethical line that governs the ethical structure of mobility and rehabilitation narratives in relation to thought, human relationships, behavior, and norms. First, the ethical line between alcoholism and rehabilitation is the central ethical motif of this novel. The core of this novel is to deliver a message of comfort and healing to those who are frustrated because they think that they are losers in a contemporary society in which values are rapidly changing. This also sounds an ethical alarm regarding the potential desire of many young people, who are prone to falling behind in competition, to find their presence with the help of alcohol. This phenomenon also applies to non-alcoholic addictions.

The novel begins with a prologue about alcohol. The first lines begin by using the word "you" as a second person personification of alcohol, saying, "On a specially frustrating day, I can't stand it without seeing your golden luster" (*The Green Juice Girl has No Time for sorrow* 7). The narrator and protagonist, a woman in her early thirties, confesses: "Some people call me an alcoholic. I do not deny it" (11).

There are more people like us than we think. Do you know how many alcoholics are in Korea? (. . .) But most addicts are surprisingly ordinary. (. . .) It's just that their true nature hasn't been revealed to you. They will look just like ordinary drinkers. We try so hard to hide behind words like 'tippler', but unlike the 'tipplers,' we are addicted to alcohol and don't have the ability to control our drinking. Studies have shown that the suicide rate for alcoholics is four to ten times higher than that of the general population. The situation is so serious that there is a saying that more people have died from drinking than from drowning. It is said that there are only three endings for us: to die, to spend the rest of our life in isolation in a hospital, and to recover. Which card will I draw out of these? (14-15)

Several personal pronouns are used in the above quotation. "We" are alcoholics, and "you" are the readers of the novel. "They" also refers to alcoholics. The reason why first, second, and third person pronouns are all used is probably because alcoholism is latent in anyone who is "especially frustrated." The novel is telling us this as if it is a common ethical problem that we living in this age can be directly or indirectly involved in. The last paragraph of the Epilogue suggests that the options of mobility and immobility are at the end of the addict's journey. Death or isolation is an immobility situation, and it is a human with the capacity for mobility that

can recover and work. In other words, the ethical choice of alcoholics presupposes healthy mobility.

On the other hand, ethical knots related to alcoholism appear as a chain of large and small incidents related to alcohol. First, let us consider treatment in a hospital specializing in alcoholism.

This is a hospital specializing in alcoholism on the outskirts of the city designated by the Ministry of Health and Welfare. A juvenile detention center is two blocks away. Those children there will look at our hospital and find themselves in an ‘unpleasant facility’ area. (16)

The hospital specializing in alcoholism accepts outpatients, but it is also a facility for the confinement of severe addicts. The juvenile detention center is also a space of immobility, where the inmates are prohibited from moving outside (Adey 125-126). These places are full of predicaments, i.e., “ethical confusion”, created by changes in “ethical order” (Nie, *Introduction to Ethical Literary Criticism* 13-16) or “ethical identity” (Nie, *Introduction to Ethical Literary Criticism* 263-265). The ethical line of alcoholism suggests the reconstruction of an ethical order, in that the ethical status of Kang Jeong-min, who visits this hospital, is that of an alcoholic.

Through the literary device of an interview with the patient, the reader learns from a doctor at the hospital that the heroine started drinking when she was in college, and she is now a 32-year-old woman living alone. The therapeutic dialogue presents the ethical knots related to alcohol. If treatment is for ethical reconstruction, the blackout symptom of an inability to remember because of drunkenness is not only a memory problem, but also a problem with the mobility of the body without rational ability. This is an ethical knot that causes ethical confusion by losing one’s own ethical identity and acting against order. Hence, the doctor’s treatment and blackout are in a tension between ethical rehabilitation and confusion, which can be tied or unraveled.

When Kang Jeong-min’s boss, the middle manager of the company she was working for, touches her physically at a dinner party, she “swung a bottle of wine over his head” (38). She blacks out shortly thereafter and cannot remember anything. Eventually, she resigns from the company, and again in blackout, has a series of sexual encounters with men she does not even like. Awakened from her booze-induced haze, she runs out into the street, and talks to herself:

“I’ve never been like this before. It’s not like I’m like this all the time. . . Well,

in fact, it happens quite often. But I really don't want to live like this." She even wants to make excuses this way. The sun rises brightly, and when she sees the bright light, an unknown shame comes over her. If she doesn't run away right away, she'll burn like a zombie. Sizzling. Does Min-joo have time now? I need you. She sends a message that she needs her right now. (87)

Kang Jeong-min goes through the process of recovering her ethical identity through the "light" and "shame" she gained from blackout. Here, "light" is the longing for ordinary rational will that restores the confusion of ethical status, and "shame" is self-reflection on the loss of rational will. The sense of danger of self-extinction, which seemed to burn like a zombie, was because she also recognized her own need for ethical regeneration. Min-joo is a friend who comforts the protagonist who is tired of life and shares similar concerns. As will be discussed below, Kang Jeong-min, who is breaking out of her family, is comforted by talking to her ethical facilitator, Min-joo, about the unethical situation that has happened to her. This communication with an ethical facilitator is very important in that it is an effort to rebuild her rational will. This ethical facilitator helps the protagonist in the recovery of her ethical identity by listening and empathizing.

#### IV

The ethical line in Kang Jeong-min's family relationships involves ethical contradictions and conflicting ethical knots that show why she could not help but become an addict. The thing to note here is that "Ethical literary criticism is defined as a critical theory for reading, analyzing, and interpreting the ethical nature and function of literary works from the perspective of ethics" (Nie, "A Basic Theory" 189). That which is involved in ethical knots here is a modern turn of money and family ethic. This was due to the discrimination she had suffered from her mother since her childhood. This ethical knot causes ethical confusion, and shows the ethical paradox that has made Kang Jeong-min's ethical identity unstable. First of all, the protagonist lives with an economically incompetent father, a mother who struggles to make ends meet, and an elder brother who is respected simply because he is a son. Her mother happily paid her brother's tuition, who entered college on his third attempt. But she refused to pay the tuition for her daughter, who went to the art department to become a webtoon artist. Although the idea of favoring boys in Korea has largely disappeared these days, it is still a common notion in some families. While it is rare, one can find families like the one in this novel, where excessive Confucian traditional ideas remain.

“The Confucian ethical system was a system in which women were subordinated to men or in severe cases had to sacrifice themselves in order to maintain the family clan, and for this reason, it is criticized that Confucian ethics still remain in our society” (Jeon 94). Besides, Kang Jeong-min thinks that she is blatantly discriminated against compared to her brother, but her mother does not think so at all.

In order to overcome alcohol dependence, one is desperately in need of the help of family, but it’s hard to expect that. (Quoting the doctor)

Help of family. . . Well, I think they almost pushed me to alcoholism, but in fact, that’s just an excuse. As the saying goes, there is no grave without an excuse, there is no alcoholism without an excuse. (152-153)

Kang Jeong-min’s rupture with her family is tied to money as an ethical knot. She worked her way through college, and got a job after arduous efforts. But even there she had to endure discrimination as a woman. She tenaciously saved money, and asked her mother to invest her money to increase it. But her mother put all of this money into her son’s wedding, and when Jeong-min quit the company, she was left with no savings. The mother asks what is wrong with her daughter’s money being spent on family affairs. She pressures her daughter to withdraw her resignation and remain working, despite the humiliation the daughter has to endure there. The daughter says, “Wow, someone else would file a suit” (158). The mother snaps at the daughter, “Suit? Look at what she’s talking about. Family helps each other out. Do you think your brother will do nothing for you when you get married? When things get tough, we help each other, and when things get better, we pay them back, and that’s how we all live” (158).

This is a case in which the mother embezzled the money that the daughter earned for her own growth as funds for her brother’s marriage. It cannot be interpreted only as a comment on how the values of mutual support and help in the traditional ethical norms have collapsed in modern times. This is because “the feudal ethic that enforced the unilateral submission and sacrifice of women and children was a variant that did not conform to the original principle (Kim 2005, 128).” However, the main character has a knot of discrimination in that she has been excluded from her parents since she was growing up. From the protagonist’s point of view, the discrimination she experienced is contrary to ethics. Although the protagonist wants to file a “suit,” an ethical dilemma arises because the accused is a

family member. About this dilemma, Jeong-min says to herself:

I know they won't pay me back, even if things get better. You highway robbers, don't contact me again. Let's live forever as strangers. My brother thought that my parents owed me the cost of the wedding, and my parents thought that my brother owed me the cost of the wedding. That is, no one owed me. (158)

Here, we need to think about the work ethic of capitalism (Weeks 33-77), which money symbolizes. This is because the money earned as a result of the work ethic of Live to work is ambiguously mixed with the family ethic. The 50 million won Kang Jeong-min earned was used by her mother to pay for her brother's wedding. The will of the protagonist is not functioning at all. This is problematic when seen from the perspective of the modern subject's ethics. In the end, the brother who got married with her 'money' thinks "his parents borrowed money from her," and the parents think that "their son borrowed money from her." The conclusion is that no one borrowed money from her. The work ethic is a discourse of individualization, and the money earned by the protagonist's labor should be used according to her will.

On the other hand, the private sphere of family ethics compels work in a way that contributes without payment to the social reproduction of family members. In this respect, the family ethics is complicit in the work ethic. The following conversation with the doctor illustrates the dilemma.

There was such a thing. Still, they are parents. . . I saw your chart. It looks like you get angry and want to drink. This is the word I hate the most. 'They're still parents. It's still family.' Why is it that almost all the people who say this are men? Why don't they think about how parents and family could do this to me, their daughter and sister? (159)

It is against the ethics of filial piety between parents and children for Kang Jeong-min to rebel against her mother. It is unacceptable for her, as an independent individual, to accept her mother's recommendation to go to a nursing college that she does not like at all. This conflict seemed to be settled when Kang Jeong-min left home and earned the tuition fees and went to college. But, exhausted from her part-time work and studying together, she resorted to alcohol to get through difficult moments, and as a result became an alcoholic. She grew up in a typical petit-bourgeois class in the 21<sup>st</sup> century Korean society where the middle class was collapsing, and the poverty of her parents' generation has been passed down to

her. She managed to get a job and saved her money, but her mother had used it up to finance her brother's marriage, and she was penniless. Nevertheless, the ethic of filial piety made it impossible for her to claim her own money back from her mother.

Without the support of her parents, she earned and saved her own money to live the life she wanted, and then lost all that money to her mother. But with no way to appeal on this matter, she finds herself in a dilemma, and becomes an alcoholic of irrational will. Therefore, the ethical line of the family relationship forms a multi-layered relationship with another ethical line, alcoholism, and is the core of the ethical value of this novel.

## V

The ethical line of delivery mobility consists of ethical knots that lead to ethical reconstruction through the labor caused by economic deprivation. The main character makes a living by delivering green vegetable juice in the morning, and when the delivery shift is over, works at a part-time job to pay off her debts. This life consists of a chain of positive ethical knots and negative ethical knots. Among them, the ethical knot of immobility is an issue to pay attention to in an era of delivery. In short, delivery workers who work while on the move are supposed to be invisible, but paradoxically, live a life of immobility. This situation of immobility goes against the justice of mobility (Sheller 39-40).

First of all, when delivering at a high-rise building, "In principle, one must come down from the top because the use of elevators should be minimized so as not to interfere with the movement of employees." She moves mostly by emergency stairs, and only when in a hurry sneaks into the freight elevator, which the 'office people' are not even aware of and in which 'human loading' is prohibited. (49)

As shown in the quote above, delivery people who use stairs or freight elevators must work in a mobility-inconvenient manner so as not to disturb the "office people." Such restrictions on the right to mobility are a matter to consider from a perspective of human dignity, but are even more serious considering the importance of delivery in contemporary society. Instead of driving, taking a boat, or a vehicle such as an airplane, her mode of transportation is walking on foot while pulling a delivery cart. She is at the lowest level of mobility capability, having to take the stairs when she is denied access to the elevator at the delivery place. According

to John Urry, mobility capability is deeply involved with economic and social ownership of capital (Urry 38-39). In various places, the novel describes the delivery method with the lowest mobility capability. In fact, delivery at the last stage, whether by motorcycle, bicycle, or on foot, is different from the mobility of commuting. Can the delivery person's personal rights be ignored?

To predict the world that changes in the delivery industry will bring about, it is essential to take an interest in the delivery person, including taxi drivers and freight truck drivers. The reason why delivery workers are invisible is largely due to the way of thinking that limits delivery within the economic system. Mobility technology's planning of unmanned delivery paradoxically shows that in the delivery system (Kim 2021, 28), the personality rights of the person making the delivery are not required.

As a means of communication between the sender and the receiver of information or goods, delivery is built as a highly capitalist mobility system (Humes 5-6). Historically, mobility technology has profoundly changed human life and society, and it can be predicted that such changes will accelerate in the future. Delivery mobility is one of the important areas in such a prediction. These changes increase the need for discussion of new ethical norms in the world. Moreover, consumers often ignore the human rights of female delivery workers. This ethical knot of human rights is intertwined with discrimination against women and denounces the reality of modern capitalism. Here, I withhold judgment on whether indifference to the human rights of delivery workers is a phenomenon that is unique to Korea.

Of course, there is no character in this novel who completely denies the ethical idea of equality. However, the gap between rich and poor in a capitalist society undermines even the ethics of equality. Beyond that, even the delivery workers compete with each other to earn more. On the other hand, we can also see the main character making a positive ethical search, as follows.

Delivering even on Chuseok ( 秋夕 ) holiday and Lunar New Year's Day, and having a hard time not being able to collect money properly, I both hated and liked this delivery job. If I had delivered things like newspapers, I probably wouldn't have felt that way. Unlike newspapers, there was no bad news for green vegetable juice. (330-331)

The sentence "there was no bad news for green vegetable juice" clearly shows just how much the world today is hounded by stressful information. Here, green

vegetable juice is a symbol of recovery and healing. While delivering green juice, the main character always greets the people she meets cheerfully. As a working body and a mobile body, she comes into contact with people from various walks of life, from corporate executives to cleaning women and janitors.

The experience of these meetings is about the ethics of communication that we should live in harmony with each other, beyond the social hierarchy. That is, the protagonist who does not have any preexisting relationship with others can generate “a loose being-together by practicing restricted travel in a specific zone” (Kim, etc. 103) of the city. As a result, in this novel, the delivery act is tied to a complex reality: a configuration made of a city’s history, a diversity represented among the residents, and “the possible ethics of community” (Kim, etc.104). The protagonist, who was always victimized in conflicts with other delivery workers, was able to resolve such conflict by acting so that the other people could understand that people are all equal. She was able to do this because she realized the ethics of communication through her job.

As I have discussed so far, *The Green Juice Girl has No Time for sorrow* has a unique ethical structure in which two ethical lines of alcoholism and delivery work in combination with the ethical line of relationships. In other words, it is no exaggeration to say that this novel is an ethical text that depicts the process of rational thought of young people who are struggling to live in contemporary society while experiencing ethical conflicts. And the backlash against the disrespect for women in the background is raised as both a family and a social issue. Here, the ethical knots show the overcoming of the competitive logic and system of discrimination in capitalism.

In the worst case, alcoholism can make the addict immobile by isolating the person from society. On the other hand, delivery is a job involving mobility. In other words, in the literary sense, alcoholism and delivery are in contrast. As a foreshadowing in the novel, it suggests that, through ethical choices, the protagonist will be cured of alcoholism and become a new person. Green vegetable juice is a health supplement that provides nutrition to the body damaged by alcohol. Hence, the act of delivering the juice to people already has implications for improving human activities such as health recovery. The irony of an alcoholic delivering green vegetable juice suggests a winding ethical choice in today’s society.

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# Mobility Infrastructure, Literary Ethics, and Anti-Colonial Politics

**Jinhyoung Lee**

**Abstract:** This paper explores the entanglement of literary ethics and anti-colonial politics in Kirim Kim's novella, *The District along the Railway*, by analyzing and interpreting its ethical structure while addressing the historical context of colonial Korea via the ethical literary criticism terminology elaborated by Zhenzhao Nie. The ethical structure of Kim's work is transposed over the railway which is representative of the modern mobility infrastructure developed mainly through Japanese colonialism in the early modern period of Korea, which embodies the colonial modernity. Starting with the inception of railway construction and culminating with its finalization, its ethical line is constituted of a series of ethical conflicts between modern ethics of money and traditional ethics of solidarity as ethical knots, focusing on the fracture of a Korean family. The ethical value emerges in Kim's critical representation of both ethical context (i.e., money and solidarity) which encourages contextualizing literary ethics historically, while positing an alternative moral for colonial Koreans through his manipulation of metaphor in the arena of anti-colonial politics.

**Keywords:** mobility infrastructure; colonial modernity; modern ethics; traditional ethics; colonial politics; anti-colonial politics

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**标题：**移动性基础设施、文学伦理、反殖民政治

**内容摘要：**本论文探究了金起林的中篇小说《铁道沿线》所表现的文学伦理和反殖民政治的相互关系。为此，笔者在使用聂珍钊文学伦理学批评中的用语对该作品的伦理结构进行分析和解释的同时，还研究了殖民地朝鲜的历史性脉络。金起林作品中的伦理结构，建立在近代初期主要由日本帝国主义发展起来的代表性近代移动基础设施，即作为殖民地近代性体现的铁道之上。该作品的伦理结构与铁路建设同时开始，并在完工的同时完结，由近代的金钱伦理和传统的关系伦理间的一系列伦理矛盾组成。此时，这些伦理矛盾都围绕韩国家庭的解体而发生。本论文在对近代伦理和传统伦理的批判性再现中寻找《铁道沿线》的伦理价值。在历史的脉络中思索文学伦理，考量文学伦理和反殖民政治的相互关系，深入思考针对殖民地朝鲜人的替代性伦理。

**关键词：**移动性基础设施；殖民地近代性；近代伦理；传统伦理；殖民地政治；反殖民政治

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### Introduction: Literary Ethics and Mobility Politics

This paper explores the entanglement of literary ethics and anti-colonial politics in Kirim Kim<sup>1</sup>'s novella, *The District along the Railway* [鐵道沿線]<sup>2</sup> (1935-1936), by analyzing its ethical structure, as well as addressing its historical context, colonial Korea, in Ethical Literary Criticism's terminology, elaborated by Zhenzhao Nie. Additionally, this exploration also focuses on the railway, the mobility infrastructure as a material base conditioning the work's ethical structure and circumstance, which thus helps interpret its anti-colonial politics.

In his recent article, Nie defines Ethical Literary Criticism as “a critical

1 Kirim Kim graduated from Nihon University [日本大学] in 1930. After returning to Korea, Kim, influenced by I. A. Richard and drawing from Western intellectualism, devoted himself to criticizing capitalist civilization by publishing a corpus of work comprising hundreds of poems, dramas, novels, literary critiques, and essays, thereby co-organizing the most significant Korean literary modernist group in colonial Korea, Guinhoe [九人会].

2 All quotations from the Korean original in this article are my translations.

theory for reading, analyzing, and interpreting the ethical nature and function of literary works from the perspective of ethics” (Nie “Ethical Literary Criticism: A Basic Theory” 189). For him, reading literary texts primarily entails analysing and interpreting the ethical structure of literary texts. As textual structure constituted of the contexts of human thoughts and actions, ethical structure refers to a complicated whole, one comprising a constellation of human relations (i.e., ethical relations between figures), thoughts (i.e., figures’ process of thinking), actions (i.e., the appearance and objective recording media of thoughts), and norms (i.e., the ethics for thoughts and actions). Notably, the ethical structure of narrative in literary texts is composed of an “ethical line,” that is, a linear structure that enables the process of beginning, developing, modifying, and resolving an ethical question in a certain literary work. Relatedly, “ethical knots” refer to ethical contradictions and collisions by which the ethical line engages in shaping the narrative ethical structure by interconnecting ethical knots (Nie, *Introduction to Ethical Literary Criticism* 258-266).

At the same time, Nie argues that ethical literary criticism’s ultimate goal is to determine literature’s ethical value, which encompasses positive and negative moral values. Stipulating literary ethics as “ethical relationships and moral orders that maintain human relations” in the literary world, Nie stresses an objective ethical analysis and interpretation of literature from the perspective of historicism—instead of an abstract moral evaluation—which posits that literary interpretation has to understand literary works “based on the ethical environment and the ethical context of its particular historical period” (Nie, “Ethical Literary Criticism: A Basic Theory” 190-192). For this reason, Ethical Literary Criticism can be defined as a critical theory that analyses and interprets the ethical structure of literary texts and, from the perspective of historicism, discerns their ethical value.

Using the format of a frame story, *The District along the Railway*—published serially in December 1935 and February 1936—narrates the breakup of a Korean family, ultimately triggered by the railway construction, conducted in a remote mountain village of the Korean Peninsula. In Ethical Literary Criticism’s terminology, Kim’s novella first is deemed to represent ethical conflicts between the positive and the negative moral values. Whereas the former, guided by rational will, represents traditional ethics seeking a bloodline and community, the latter, the modern ethics of money, guided by free will, disturbs the former by seeking to satisfy private interests and instincts. Such ethical contradictions are materialized mainly in the complicated relations around Joni Park’s family members, central figures, who think and act in the direction of following or violating moral norms.

Thus, the relations constitute the narrative's ethical line and knots, thus shaping its ethical structure.

At the same time, seeking an ethical value in Kim's novella necessitates a particular historical context as an ethical circumstance. In this work, it is specified as the time when, after its occupation of the Korean Peninsula in 1910, Japanese imperialism was propelling colonial modernization of the Korean Peninsula, most of all, developing modern mobility infrastructures around the railway, across the country, aspiring to incorporate Korea into the Japanese Empire materially and ideally, which is discussed in the following chapter. Using John Urry's words that "the infrastructures of social life" condition "the movement of people, ideas and information from place to place, person-to-person, event to event" (Urry 12), the mobility infrastructure can be characterized as an apparatus by which the Japanese Empire rules its colony by governing mobilities on the Korean Peninsula (Lee 65-67). In this vein, the mobility infrastructure, the railway, in Kim's work serves as the base that conditions both its ethical structure and circumstance, reorganizing Korean villagers' social lives, including ethical conflicts and their solutions. Focusing on the mobility infrastructure, thus encourages the narrative's ethical value to be determined in relation to the historical context of colonial Korea, which helps understand the literary ethics in Kim's work as testifying to its anti-colonial politics.

To this end, in the following chapter, this paper discusses the railway, the mobility infrastructure as an embodiment of colonial modernity constructed by Japanese colonialism, which, serves as a material base underpinning *The District along the Railway*. Next, after analyzing and interpreting its ethical structure, focusing on collisions between modern ethics of money and traditional ethics of solidarity, chapter three elaborates on the ethical value in relation to the work's historical context, colonial Korea, revealing an entangled relationship between literary ethics and colonial politics in chapter four. The concluding chapter signifies Kim's novella's literary ethics as testifying to its anti-colonial politics.

### **A Literary World Built on Modern Mobility Infrastructure**

Kirim Kim's novella, *The District along the Railway*, opens with a typical scene of a train triumphantly racing along with lightning speed, overpoweringly through everything that exists and, thereby, making them a thing of the past. As a modernist, who was sensitive to but critical of modernization and material civilization in the colonial-capitalist society of Korea, he negatively and meaningfully portrays a landscape in which modernity drastically progresses:

A train is now dashing towards the north into the landscape without ornaments on the East Sea coast. The train with countless feet. ‘Piston’ muttering. On the back of the train running, yellow sunlight wriggles. Irrespective of mountain, rock, field, river, village, and street, it is constantly darting for a singular destination without reserve nor discrimination. The figure is like the ruthless rush of history completely ignoring all people’s intentions. (49)

In the quotation, as representative of modern mobility technologies (Schivelbusch 1-15), the train signifies “the ruthless rush of history,” namely, the overwhelming power of modernity that renders not only human environments but also human beings themselves impotent. Thus, the opening scene demonstrates that Kim’s work was against the backdrop of the historical period when modernity’s power came to dominate the Korean Peninsula.

The historical period is concretized in the following scene in a compartment on the train. First, through the phrase of “a newspaper featuring the words through ‘Ethiopia five times on the same page’” (49), Kim’s novella alludes to its temporal setting as when Italy invaded Ethiopia, October 1935, which is almost overlapped with the work’s publishing date of December 1935 and February 1936. At the same time, as a framework, the novel unfolds the main narrative, constituted of the conversations between two passengers, as a stage for its second narrative, in which Chambong Park, the narrator, tells his neighbour “lots of different things happened in a remote mountain village because of the railway construction work” (50) ten years ago, presumably in 1925.

In advance of “lots of different things,” Park briefly retails the ten years between the main narrative and the second narrative that an isolated mountain village gradually comes in contact with the modern culture, expressed as “the world different from their world” (51), significantly marked by the launch of the railroad. For example, Park explains that there remained ‘the dozing villages’ deep in mountain valleys until the railway was laid; although, in the meanwhile, ‘a steamship carrying the new enlightenment’ was bringing many modern products, including hair oil, Japanese cloth, and wool, as well as ‘a newspaper featuring the news concerning League of Nations,’ to ports in the East Sea coast of Korea, distant about 30 km from the villages (50). Thus, as a modern mobility infrastructure connecting an isolated village to “the world different from their world,” the railway makes ‘the dozing villages’ face the overwhelming power of modernity and thereby triggers “lots of different things” in the village. In addition, by describing the remote village’s process of opening as a direct effect of the consecutive construction

of mobility infrastructures—first a new sea route, next, a new road, and finally, a railway —, the novella underscores the significance of the railway as a final stage of mobility infrastructure development on the Korean Peninsula.

Notably, in Korea, modernization is inextricable from Japanese colonialism as modern mobility infrastructures on the Korean Peninsula were predominately constructed by Japanese imperialism even from before its occupation of Korea in 1910; it aspired not only to rule the Peninsula thoroughly but also incorporate it into the Japanese Empire materially and ideally. For example, while inaugurating a cross-channel liner between Busan, Korea, and Shimonoseki, Japan, in 1905, the Japanese Empire launched the construction of modern roads across the Korean Peninsula, seizing local administrative authority in Korea through the constitution of the Japanese Resident-General of Korea in 1906. In addition, just after its occupation of Korea, Japanese imperialism enthusiastically set modern mobility infrastructures in motion. For example, in 1910, the Japanese initiated the construction of the railways linking the four corners of the Peninsula to serve as a central axis of the colonial mobility system, thus enlarging dramatically colonial mobility network to encompass the whole colonized territory. In this vein, most newly inaugurated ports were connected to the railway network, and new roads were intended to underpin the railway network by linking small villages to the railway stations (Huh and Todoroki 176). Using Kate McDonald's words that "the historiography of Japan's modernization is inseparable from the historiography of the railway" (McDonald 70), the historiography of the railway on the Korean Peninsula can be rendered as the historiography of Japanese colonization of Korea. Hence, the railway cannot be characterized merely as "a sort of synonym for ultra-modernity" (Hobsbawm 89) but rather as a synonym for colonial modernity.

As the embodiment of colonial modernity, performing "the ruthless rush of history" with overwhelming power, the railway serves as a material base underpinning the narrative world of Kim's novella by completing a framework and conditioning its ethical structure. First, it opens and completes the narrative framework by linking the main narrative with the second narrative. In other words, it is by taking notice of the formidable mobile-ability of the railway allowing people to travel about 600 km—the distance of about a month walk —within a day that Park, a narrator, starts to tell his neighbor the second narrative, that is, "lots of different things." Also, it is with the railway construction ceremony that the second narrative ends, marked by a train traveling on the newly laid railway. More significantly, the railway shapes the ethical structure of narrative in Kim's work. As "the infrastructures of social life," it reorganizes "the movement of people"



and, thereby, forces people's lifestyle to be altered, imposes considerable impact on people's view of moral value and, accordingly, disturbs the village's moral order by triggering ethical conflicts. For example, a Korean family, composed of Joni Park—a head of household—, his son (Myungshik), daughter-in-law (Yun), and grandson (Jaesoo), irreversibly disintegrates with the completion of the railroading.

Therefore, Kim's novella can be deemed a work built on the mobility infrastructure. In this vein, it concerns a specific historical context that colonial government was enthusiastically engaging in the railway construction of the Korean Peninsula even such an extent as to cover a remote mountain village; that Koreans thus experienced a sort of ethical confusion, as an aftermath of the engineering work, in the face of "the ruthless rush of history," the overwhelming power of colonial modernity.

### **The Ethical Structure of *The District along the Railway***

In *The District along the Railway*, the mobility infrastructure does not have any ethical value per se but, as a sort of catalyst inducing an ethical question, conditions its ethical structure, shaping the second narrative. Expressly, the railway construction work incurs an ethical confusion in a remote mountain village by involving the movement of people, namely, the influx of workers, which fluidizes the village's moral order and disturbs its traditional ethics.

The second narrative opens with Joni Park's conversations with his friends concerning the news of the railway construction in their village: "Did you, Joni, hear it? It is said that the railway will be laid here, too" (51). This news causes a massive stir in a Korean village deep in the mountains, which had closed its ears to the modernized will for a long time, instigating villagers' anxiety of the train as "an unintended, new monster" (52). The older people envisage that, with ineffable misfortune, the train will trample on the stillness and tradition of the peaceful village; on the other hand, the younger look forward to it, imagining an incredible miracle to awaken the sleepy village. Even before the train runs, the village's change starts and develops contemporaneously with the engineering work. For instance, over a hundred and fifty workers from the south of the Korean Peninsula, speaking the unintelligible, antic dialects, flow into the village; and simultaneously, the sounds of "Confucius says, Mencius says" in a village school lose their luster; and, in addition, new taverns open here and there in the village, resulting in promiscuous barmaids. These changes are so radical that Myungshik, Joni Park's son, feels "the heart of a traveller who goes away" (52).

More importantly, the villagers, who previously were farmers, begin to earn



money due to the railroading, for example, by becoming wage workers or doing business for them. Consequently, it becomes to be tolerable that, although just sixteen years old, Jaesoo, Joni Park's grandson, goes to the construction site for the money, and that the older folk open shady bars where women work as loose barmaids. In other words, everything that could make money is acknowledged as unavoidable and necessary, if not desirable, in the name of making money. Notably, as villagers' view of moral value is oriented towards money, the village undergoes ethical confusion, as symbolized manifestly in the expression of "the blare of the distant explosive sounds outside the village" (53). In this way, the village is no longer able to maintain its moral order which had been supported by "Confucius says, Mencius says," namely, the traditional ethics of solidarity based on bloodline and community; instead, seeking the modern ethics of money, the villagers become passionate about satisfying private interests and instincts, immersing themselves mainly into acts that allow them to earn or spend money. As money dominates the villagers' view of moral value, traditional ethics loses its power over them.

Kim's novella materializes the ethical confusion by narrating Yun's affair with the railway construction's foreman, which, as the central ethical question, constitutes the main ethical line of the narrative which can be rendered as follows: surrounded by the intoxicating atmosphere generated by her neighbour workers' rackets, also located at the centre of the ethical confusion emerging in the village, Yun initiates and then quickly engages in a torrid affair with the foreman with whom she ultimately elopes. In the meantime, she consecutively experiences her husband's death, her son's vengeance on herself for his father's death, and her son's leaving home. These events, as the ethical knots of the narrative constitute its ethical line.

The ethical structure would be clarified by sifting through the processes of the formation and dissolution of the ethical conflicts. First, Myungshik dies prematurely due to an explosion accident while working hard on the railway construction. Though it could be disregarded as one of many explosion accidents, which sometime happen while breaking rocks or tunnelling through mountains, the explosion killing Myungshik cannot be deemed merely an unfortunate accident considering that the night before the accident, Myungshik slaps Yun's face after realizing her affair. Distracted by the previous night's incident, he cannot concentrate on his work at the construction site, his death needs to be considered the result of the ethical collision. In this vein, Myungshik's attack on her ultimately can be seen as guided by rational will, aiming to defend family solidarity, moral order; on the other hand, Yun's affair is to follow free will, the modern ethics that violates moral order to satisfy her instinct, seeking impulse. Therefore, his death can be understood as the result of

the ethical collision between traditional and modern ethics, more precisely, It is a metaphoric, ethical event testifying to the former's defeat by the latter in the time of the railway.

It is notable that, after Myugshik's untimely death, his son, Jaesoo starts to go to a shady bar in the village, learning to drink and enjoy that environment, following his older colleagues. Significantly, thinking that his father's death involves his mother's affair, he rationalizes his immoral behaviour as a sort of vengeance on her, namely, ethical practice to defend moral order. Thus, one night, when he heard her request that "Come in now and sleep," he feels like that "his ear heard a sound ordering the vengeance on his mother" (74); afterward, he runs to visit and drinks heavily with Sunnam, a barmaid, identifying his deviant behaviour with rational activity. At the same time, however, he thinks that "I led the vendetta. However, it seems that, rather, I retaliated against myself" (75) while returning to his home. As for his vengeance for his father, his deviant behaviour might be guided by rational will, the traditional ethics of solidarity; however, by performing an immoral activity that ultimately involves violating moral order, it would be registered as irrational. For this reason, the ethical conflict between both arguably demonstrates Jaesoo's irrational will; in this view, the words, "I led the vendetta. However, it seems that, rather, I retaliated against myself"(75) are interpreted as self-cognitively testifying to his ethical confusion, which oscillates between traditional and modern ethics.

As a critical event in the narrative development, Jaesoo's sudden leaving home is caused by his ethical conflict with his grandfather, Joni Park. Worrying about the village's moral corruption and his grandson's involvement, Park eventually adjures his grandson not to go to a shady bar; nevertheless, Jaesoo goes there at night as before, tricking and ignoring his grandfather, thus violating moral order. In the meantime, Park discovers that Jaesoo entered the bar, and, after then, he eventually decides to leave home to be free from the ethical restraint by his grandfather. An ethical conflict between Park, following his rational will, and his grandson, seeking free will, is resolved through the latter's running away from home. In addition, just after the completion of the railroad, the villagers resume performing ancestral rites and working in the field for about two years, and Park expects that "my grandson will come back! My daughter-in-law also will devote herself to her family" (80), hoping that the village's ethical conflicts are solved explicitly.

To reiterate, the narrative in Kim's novella has an ethical structure, which begins with an ethical question, Yun's affair, develops with Yun's husband's death and Jaesoo's vengeance for his father, and ends with Jaesoo's and Yun's leaving home as sorts of solution. Notably, with the ethical collisions or conflicts between

the traditional ethics as positive (the embodiment of rational will) and the modern as negative (the expression of free will), it weaves the ethical line; that is composed of such ethical knots as first the negative moral value's victory, next to the ethical confusion between both, and concludingly the positive moral value's restoration. By describing the modern ethics of money negatively as violating moral order and, thus, disturbing the village's solidarity, Kim's work might be considered seeking to restore the traditional moral value. However, its narrative demonstrates that, in modern times, the traditional ethics based on blood relation and community exposes its powerlessness, as exemplified in Joni Park's impotence to solve the ethical conflicts that happened in his family. Therefore, Kim's novella's ethical value would be found in its criticism of both ethics, which encourages considering the ethics in the time of the railway; that is, pondering literary ethics in its historical context.

### **An Ethical Value and Its Historical Contextualization**

As discussed previously, in Kim's work, the ethical structure ultimately is erected on the railway, the mobility infrastructure. Its ethical line and knots start to be shaped with the inception of the railway construction, and they culminate with its finalization. By presenting the railway as the embodiment of colonial mobility, the work's ethical value needs to be considered in its historical context of colonial Korea. In this vein, despite its resolution of ethical conflicts, the novella does not conclude its second narrative but rather to narrate a final episode concerning the opening of the railway, which markedly underlines the work's historical contextuality.

The ending episode is composed mainly of Yun's leaving home and the railway opening ceremony. With the completion of the railway construction, the villagers seem to be returning to their traditional farming lives; however, in practice, they live only by acculturating themselves to the altered circumstance. For example, in the feeling of "a mirthlessness of solitude" (81), Joni Park tolerates his daughter-in-law's affair, hopelessly expecting to restore the family; at the same time, he also expects to perform as a member of the modernized society by attending the ceremony as an invited guest.<sup>1</sup> In short, he expects the restoration of moral order based on a bloodline and community. However, on the day of the ceremony, his daughter-in-law leaves home, and he is not invited to the ceremony; ultimately, his expectations are exposed as futile, for despite the resolution of the ethical question,

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<sup>1</sup> From a moral perspective, he thinks the invitation to the railway construction ceremony is natural because he donated his land to the railway and also lost his son at the construction site.

the traditional ethics are not of central importance in the altered world<sup>1</sup>. As “the infrastructures of social life,” the railway instead foregrounds as an organizer of social relations and serves as a background for ethics.

In this regard, particularly noteworthy is the following scene that Joni Park converses with a man in a suit inside the station yard, newly constructed:

“Did ‘a sand train’ leave?”

“Yes, it already left at dawn.”

“At dawn?”

Joni Park’s mouth repeated as if imitating the words. On the way to turning back outside, he ran towards the man in a suit.

“Didn’t you see a man in a suit accompanying a young lady?”

“Yes, I saw that a foreman, who had worked at the construction site, was going with a lady.”

The man in a suit laughs uproariously, looking down the elder’s face. He quickly turned as if avoiding the young’s deriding look.

Suddenly, boisterously explosive sounds were heard overhead. His entire body, oriented toward the sky, detained a flock of smoke clumping in the air.”  
(86)

First, in connection with the utterances verifying Yun’s leaving home, “boisterously explosive sounds” can be read as celebrating the final elimination of an ethical question, specifically, Yun’s affair, in the village. From its composition, thus, Kim’s novella’s ethical structure can be said to be finally completed with the conversation. Meanwhile, in consideration of the sounds originating from the fireworks that celebrate the opening of the railway in a remote mountain village of the Korean Peninsula, the quotation needs to be understood in terms of its historical context, namely, the mobility infrastructure as the embodiment of colonial mobility. In this vein, the spectacular scenery of fireworks moves Joni Park’s body from the ethical context to the historical, colonial-political context.

Meaningfully, following the scene in the station yard, the railway opening ceremony and a train’s first travel using the new mobility infrastructure are

1 The centrality of the railway in the village is symbolically described in the landscape of the village after the finalization of the railroading, as follows:

“Outside a small mountain valley, the railway embankment engirded fields and hillsides. On the embankment, two-line railway lightening in black laid crossly down on wooden pillows.

A locomotive, which leads ten trucks fully carrying sands, ran through above the railway with the sounds of humming. It is a sand train which conveys the sands for the railway construction.” (79)

consecutively represented, significantly back-grounding Joni Park's ethical story. To be specific, a government official from the district office gives a talk that, with the railway, neighbourhood residents would become convenient, local industries would be developed, and people's lives would become abundant—which is interpreted in the Korean language by a short man in a suit —; next, a train from the town “made a lunge for the station like a fierce beast as it blew steam up” (87); after then, “Joni Park's gaze” stares “the back of the train” running on the railway for a long time by the time when it disappears into the forest (90). These scenes can be interpreted, respectively, as metaphors for the Japanese colonial rule accompanying material modernization, the mobility infrastructure as its effective apparatus, and the traditional ethics marginalized by and excluded from colonial modernization. Through synthesis, they bespeak that what is central in the village is not the traditional ethics but colonial politics, based on the mobility infrastructure.

In this regard, striking is the head of a village, expressed as “a foremost and, rather, one and only advanced thinker in the village” (56), who had actively propelled the railway construction in a mountain village; thus, who later is invited to the railway construction ceremony as one of the speakers and has a right to take the train on its “maiden” passage. Sociologically, he would be categorized as “a rural elite,” who is “from the social class that, with a certain level of economic power, had served as a political and social leader in a local society or village, particularly, “a representative of the colonial rule” in colonial Korea (Takenori 37-44). He is neither engaged in ethical conflicts nor interested in restoring any ethical relations. That is, he does not appear in the narrative's ethical line or knots, thereby seeming to be outside of its ethical structure. However, importantly, he is the one who makes others feel “a powerlessness,” walking with the police; for instance, Joni Park always experiences his impotence in the face of the “rural elite” with rank and wealth (56). For this reason, their relationship cannot be stipulated as ethical but rather political. More precisely, the head of a village attests that a Korean village is not structured merely ethically, but also politically, by an unequal distribution of power; therefore, that, in Kim's novella, ethics entangle with politics.

In the ceremony scene, the unequal power relation is immediately and obviously displayed. A government official from the district office gives the letter of appreciation to “those who generously supported with materials and sincerities, in particular, in laying the railway this time” (87). Also, among villagers, several collaborators, including the head of a village, alone are accorded the right to embark on the train's maiden voyage running on the new railway. Notably, except for the head, those who received the letter of appreciation and took the train are precisely

Daedong Park and Chosi Kim, who had run shady bars during the period of the engineering work. In other words, encouraging the villagers to seek the modern ethics of money and practice an immoral lifestyle, their behaviours were recognized as supporting the national policy project, the railway construction. Given that Joni Park was critical of the modern ethics, which ultimately aided the colonial policy, it is not surprising that Joni Park aspired to but could not take the train. Hence, the ceremony scene can be said testifying to the divided, hierarchical reorganization of a Korean society according to colonial politics, thus the collusive tie between modern ethics of money and colonial politics.

In consideration of Kim's novella's ethical structure based on the mobility infrastructure, its ethical value also needs to be assessed in its historical context when Korean villagers' social lives were reorganized according to modern ethics and colonial politics, simultaneously. Notably, as seen in the disrupted moral order during the railroading in the village, there would be no human moral relation in the colonial-modern society seeking private interest or satisfying instinct without also desiring power. Therefore, Kim's criticism of modern ethics as immoral and the traditional ethics as impotent addresses an ethical circumstance that Koreans' social lives are organized by an unequal money-power complex rather than a universal moral norm, and traditional ethics of solidarity based on a bloodline and community are no longer effective there. Hence, the novella demonstrates its ethical value in encouraging the contemplation of an alternative moral for the colonial Koreans necessarily by spelling over the entanglement of literary ethics and anti-colonial politics.

### **Conclusion: Literary Ethics and Anti-Colonial Politics in Colonial Korea**

Kirim Kim's novella, *The District along the Railway*, essentially addresses a historical context, when, after its occupation of Korea, Japanese imperialism enthusiastically developed the modern mobility infrastructure via the rail system, aspiring to rule the Korean Peninsula thoroughly. Starting with the launch of the railway construction and completing with its finalization, the narrative in Kim's work has an ethical structure, constituted of several ethical knots in which modern ethics of money and traditional ethics of solidarity collide. Also, the scene of the railway construction ceremony displays the entanglement of ethics and colonial politics that works in ruling over a Korean village, thus adjuring us to consider literary ethics in relation to colonial politics. In this vein, as a literary work of colonial Korea, Kim's novella encourages the pondering of an alternative moral for the colonial Koreans by considering an entanglement of literary ethics and anti-

colonial politics.

After the ceremony scene, Kim's work returns to the main narrative that a narrator, Chambong Park, converses with his neighbour. The train running at night leaves Park in the middle and, again, keeps passing through the landscapes of colonial Korea in about 1935, almost interminably:

The train is still entering the cramped flats of the valleys of many of the steep mountain peaks shaded black. (88)

The 'tanks' of heavy oil factories seem to be scattered like black ink here and there, and, above them, several lines of power cable pass through the sky. (88)

However, the suffocating sound of the train wheels running through this dense dark air alone is getting sharper. (89)

The quotations can be seen as alluding to the degree of the development of the mobility infrastructure on the Korean Peninsula, its ensuing industrialization, and the continuous progress of such development and industrialization. The narrative tells that "the ruthless rush of history" would progress endlessly, wholly covering the Korean Peninsula with the railway and reorganizing it in a colonial-modern way. Park, who lived in the remote mountain village, now lives in an "inn." Symbolically, while debarking the train, Park says: "That Gwanbuk inn is my home. Please stop by if you ever pass by" (89). Given the developed colonization-modernization of colonial Korea, his home, "inn," would imply the colonial Koreans' state of homelessness makes ethical or human relations a thing of the past. However, by portraying colonial Korea as endlessly unethical, significantly seen in "the suffocating sound of the train wheels running through this dense dark air," Kim's novella triggers an ethical imagination for people living in the "dense dark air."

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# Ethics of Place in a High-Mobility Era from the Perspective of Ethical Literary Criticism

**Kim Taehee**

**Abstract:** Ethics, a necessary condition for intersubjective existence, would be impossible without a genuine sense of place. Around the contemporary globalized world, however, the sense of place is being undermined by more temporary, unsettled affects and perceptions that result in volatile intersubjective and ethical relations. Exploring how literary works may represent and establish the ethics of place, this article, drawing on ethical literary criticism initiated by Nie Zhenzhao, considers a collection of short stories by Korean novelist Pyun Hye-Young, titled *Evening Proposal*. In the eight stories included in this collection, monotony and mobility lead to a loss of authentic individual identity. A dull, dry life of pseudo-identity gives rise to depression, boredom, or fear. With these negative affects in mobile and monotonous places, social relations are fragmented, a logical consequence of which is ethical egoism. Beyond these negative ethical values, we nevertheless can also identify a dim possibility of reshaping positive ethical values. The sudden proposal of the main character in the title story, “Evening Proposal”, is a reversal of his ethical attitude, showing the potential of reconstructing the ethical order and intersubjective relations with others. In particular, it is the perception and recognition of human vulnerability that encourages this conversion; only one’s apprehension of own death is capable of causing the conversion of one’s overall ethical attitude.

**Keywords:** ethics of place; mobility; Ethical Literary Criticism; Nie Zhenzhao; *Evening Proposal*; Pyun Hye-Young

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**标题：**高度移动时代的场所伦理：从文学伦理学批评的观点出发

**内容摘要：**伦理是相互主观的人类存在的必要条件，如果没有真正的场所感，就不可能存在伦理。然而，在全球化的现代世界中，短暂且不稳定的情绪和认知正在破坏场所感，因此相互主观和伦理的关系也在动摇。本论文是为探

求文学作品是如何再现和建立场所伦理的,运用聂珍钊的文学伦理学批评,集中分析了韩国小说家片惠英的短篇集《黄昏的求爱》。在该短篇集收纳的八部短篇小说中,单调和移动性让个人丧失了真正的自我认同。似是而非的自我认同让乏味枯燥的生活催生出抑郁症、厌烦和恐惧。在移动且单调的场所产生这种负面情绪的过程中,社会关系也变得支离破碎,这种逻辑的结果就是伦理的利己主义。尽管如此,我们也能看到超越这种负面伦理价值,重塑正面伦理价值的一丝可能性。《黄昏的求爱》的主人公突如其来的求爱颠覆了自身的伦理态度,表现出了重塑伦理秩序以及与他人的相互主观关系的潜力,引发这一转变的是对人类软弱性的感知和认识。只有对自身死亡的恐惧才会导致整个伦理态度的转变。

**关键词:** 场所的伦理; 移动性; 文学伦理学批评; 聂珍钊; 《黄昏的求爱》; 片惠英

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## 1. Introduction

Arguably, most societies around the contemporary globalized world are displaying substantial mobilities in contrast to previous more sedentary societies.<sup>1</sup> Mobilities in modern mobile societies involve highly fluid and liquid forms of life where “identities cannot but look fragile, temporary and ‘until further notice’” (Bauman 178). Among the various changes concerning forms and conditions of life, the fluidization of the place is particularly significant because the place is a fundamental condition of human life.

According to a phenomenological definition, the place is “any environmental locus that gathers human experiences, actions, and meanings spatially and temporally” (Seamon 2). Such a “gathering” is “the turning point of space and time, the pivot where space and time conjoin in place” (Casey, “How to Get from Space to Place in a Fairly Short Stretch of Time: Phenomenological Prolegomena” 38). A more traditional “anthropological place,” a place as “a principle of meaning for the people who live in it, and also a principle of intelligibility for the person who observes it”(Augé 52), is concerned with some solid identity of those living there by intimate intersubjective relations and relatively long-term history of their being-there. On the contrary, non-places, the “archetype” of which is “[t]he traveller’s space” (Augé 86), are permeating and substituting for permanent, static, and tranquil anthropological places. Thus, the sense of place, “the subjective

1 See Regarding the concept of mobilities, see John Urry, *Mobilities* (Cambridge: Polity Press, 2007) 6.

and emotional attachment people have to place” (Cresswell 8), or topophilia, “the affective bond between people and place or setting” (Tuan 4), is undermined by more temporary and unsettled affects and perceptions that give rise to volatile, anonymous intersubjective and ethical relations. “Ethics is impossible,” however, as Jeff Malpas properly states, “in the absence of a genuine sense of place” (Malpas 28). Ethics is, on the other hand, a *sine qua non* of any human intersubjective existence. Thus, the minimum adequate ethics of place in the contemporary mobile world are needed to meet the general necessary preconditions for human coexistence and sustainability.

In exploring how literary works may represent and establish the ethics of place, this article pays attention to ethical literary criticism initiated by Nie Zhenzhao ( 聂珍钊 ), a “critical theory for reading, analyzing, and interpreting the ethical nature and function of literary works from the perspective of ethics” (“A Basic Theory” 189). This theory may serve as an excellent methodological toolbox focusing on ethical aspects of literature as the “unique expression of ethic and morality within a certain historical period” (“A Basic Theory” 189), which “is produced out of the need of humans to express their views on morality or the desire to share their ethical experience” (“Its Fundaments and Terms” 14).

To explore the ethics of place, especially in the context of literary representations of contemporary uprooted and drifting forms of life, *Evening Proposal*, a collection of short stories by Korean author Pyun Hye-Young ( 片惠英 ), is considered as a representative work disclosing general changes in the sense of place and possible outlooks for an ethics of place in an elaborate and distinct literary language.

## 2. Place in the High-Mobility Era

As Michel Foucault famously puts it, “the descriptions of phenomenologists have taught us that we do not live in a homogeneous and empty space,” but in “a heterogeneous space”; “we live inside a set of relations that delineate emplacements that cannot be equated or in any way superimposed” (Foucault 16). This “emplacement” has been highlighted as a fundamental human condition in phenomenological philosophy and, in part influenced by it, in humanistic geography.

Drawing on a Heideggerian description of relations between the human subject (Dasein) and place that “Dasein names that which should first be experienced, and then properly thought of, as Place” (Heidegger 373), Jeff Malpas emphasizes that “place is integral to the very structure and possibility of experience” (*Place and Experience* 31-32). Thus, humans are inherently beings-in-place to the extent

that the place is a fundamental condition of human existence and human identity: “Who we are very much reflects where we are” (Casey, “J. E. Malpas’s Place and Experience: A Philosophical Topography” 226).

However, due to “current trends toward globalization, cyberspace, and virtual realities,” which we may call high mobility, “real-world places are, in many ways, becoming increasingly irrelevant and obsolete” (Seamon 186). As everything travels and changes rapidly, the placelessness, “the casual eradication of distinctive places and the making of standardized landscapes that results from an insensitivity to the significance of place”(Relph, “Preface”) seems to be generalized.

Despite such diagnosis, however, the significance of place for human life could hardly be denied, given the fundamental fact that a human as an embodied being is always an embedded and, by so much, emplaced being. Even if “bodily mobility rather than rootedness and authenticity, was the key component to the understanding of place” (Cresswell 33), mobilities do not necessarily rule out a sense of place, for “place remains one of the great stabilizing constituents of human life” (Seamon 187).

In these contemporary contexts, two points are significant for the ethics of place. Firstly, we should take into account the sense of place or “identification with a place as a unique community, landscape, and moral order” (Agnew 327). Malpas puts it clearly as follows.

[A] true ethics of place is surely one that would look to the way in which our attachment to and sense of place is based in our concrete engagement with the particularity, the ‘singularity’, of place, and of the persons, environments and things we find within them. (“Is there an Ethics of Place?” 27)

Secondly, however, we should re-conceptualize the sense of place for more mobile forms of life to avoid conservative and even reactionary mindsets attached to a place. In this sense, Malpas’s concern is noteworthy.

[I]n asserting one’s own connection to place, and thereby taking one’s own identity to be determined by that connection, one also excludes the other from that same place, since the other is other specifically through being not “of this place.” (“Is there an Ethics of Place?” 11)

Being aware of this problem, we will explore the sense of place and ethics of place in mobile forms of life by analyzing a literary work, Pyun Hye-Young’s *Evening*

*Proposal*, which reveals a new sense of place and ethics of place in the era of high mobility.

### 3. Sense of Place in Evening Proposal

Pyun Hye-Young is a domestically and internationally celebrated novelist who was born in Seoul in 1972 and started her literary career in 2000. Pyun is well-known for her use of the grotesque in her writing. Her third collection of short stories, *Evening Proposal*, was published in Korea in 2011, with an international/English edition following in 2016.<sup>1</sup>

The eight stories included in this collection have, overall, something in common. The main characters, who are all male and are never referred to by their full names, are mostly office or factory workers caught in meaningless, monotonous, though mobile life such as dispatches or business trips. In “Rabbit’s Tomb,” “he,” a man dispatched to another city to do meaningless, tedious things, picks up and raises an abandoned rabbit but abandons it when the dispatch work is over. In “Evening Proposal,” a florist named “Kim,” who is going to deliver condolence flowers to a funeral hall in a strange city, abruptly proposes to the woman on the phone after witnessing a fatal accident on the highway. The form of mobility in “Monotonous Lunch” is everyday commuting. “He” who runs a copy room on a university premises goes to work at the same time, does the same thing, and eats the same lunch every day, even after witnessing a deadly accident in the subway station. In “Would you like to Take a Tour Bus,” two men only referred to by the initials “K” and “S” are in charge of delivering unidentified bags to a place in another town, without knowing the meaning of their mission. “He,” the protagonist of “Out for a Walk,” is dispatched to a small city. His work life and relationship with his wife run monotonously like a workplace manual, until a catastrophic circumstance during his walk with a burdensome dog. In “Jungle Gym,” “he” is dispatched to China at the direction of his boss to avoid the audit process. This meaningless business trip leads to getting lost in a strange city and continuously returning to the same place. In “Room with a Beige Sofa,” the married couple referred to only by their surnames “Jin” and “Seo” are moving to Seoul, where a new house with a beige sofa is supposed to be awaiting them until some unfortunate things happen on the

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1 See Hye-Young Pyun, *Evening Proposal*, trans. by Youngsuk Park and Gloria Cosgrove Smith (Victoria, TX: Dalkey Archive Press, 2016). Her other works translated in English include *The Hole*, trans. by Sora Kim-Russell (New York: Arcade Publishing, 2017), the winner of the 2017 Shirley Jackson Award, *City of Ash and Red*, trans. by Sora Kim-Russell (New York: Arcade Publishing, 2018), an NPR Great Read, and *The Law of Lines*, trans. by Sora Kim-Russell (New York: Arcade Publishing, 2020).

road. In “Canning Factory,” people mechanically continue to seal cans in front of the conveyor belt, even after the factory manager goes missing.

Regarding the sense of place, it is worth taking note of two aforementioned common features in these stories; monotony and mobility, which are unified almost seamlessly into one. Moreover, they lead to a loss of individual identity that is demonstrated by the peculiar fact that all the main characters are referred to merely by the personal pronoun “he,” some by initials, or surnames (meaning certain anonymity in Korea, where typically the full name is used to refer to a person). The characters essentially all live the same, monotonous life, which seemingly allows them a stable identity but is, in fact, an uprooted, insecure identity during a dispatch or a business trip.

The monotonous forms of life strikingly represented in these stories have both subjective and intersubjective aspects; monotonous sameness of individual life and among the lives of many individuals. First, the characters are living a monotonous life every day and doing the same thing in the same place at the same time. “It’s the same routine over and over that’s really hard. All day long, the only thing I do is hermetic sealing” (Pyun, “Canning Factory” 170). They commute to and from work by the same mode of transportation and have “[t]he same thing for lunch every day” (Pyun, “Monotonous Lunch” 49).

This subjective monotonous sameness amounts to an intersubjective one, as this typical modern life does not allow for any relevant differences among individuals. Without knowing the meaning of what they are doing, they are living as parts in huge social machinery; “Sometimes, working at the branch, he felt that his whole life was an assembly-line item that the workers had made, destined to become a small part of a huge ship” (Pyun, “Room with a Beige Sofa” 146). These lives, indiscernible from each other, are always replaceable; “Everything went along fairly smoothly without the [missing] plant manager” (Pyun, “Canning Factory” 173). Therefore, the individual identity, if any, that this monotonous sameness manages to form is not an authentic, singular one based on differences; it would be, at most, a non-genuine, pseudo-identity, as it were, without any significant differences.

What does this monotonous sameness mean for a sense of place? Concerning the high mobility of the contemporary world, as is seen above, the places of these short stories continue to be the same monotonous place due to or despite extensive, constant physical mobility and uprootedness; they do not produce any authentic identity. This monotonous sameness as a universal condition of life in modern society disturbs the shaping of a sense of place with historicity and relationship, which are supposed to create authentic identities.

In the closed, monotonous place of “his basement copy room,” “today was the same as yesterday,” “tomorrow night would be no different than tonight” and, furthermore, it cannot be realized that “days and nights were passing differently for other people” (Pyun, “Monotonous Lunch” 50).

Such a subjective monotony fails to create historicity, since historicity is founded not on a mere repetition of the same thing but on narratives with all the ups and downs that, taking place in a place, contribute to the formation of authentic identity. The places in these short stories lack these narratives, and therefore, authentic identity is grounded in historicity.

Moreover, the intersubjective monotony fails to create a relationship with other people in those places, since each person living a secluded life is unable to interact with others. If such a relationship is lacking, it is difficult to create a proper identity that is deeply rooted in a place. Hence, such a life cut off from communal interrelations is liable to be perceived as “an unnecessary or useless thing” (Pyun, “Would You Like to Take a Tour Bus?” 80). “[U]prootedness and superfluousness” have been “the curse of modern masses,” since “[t]o be uprooted means to have no place in the world, recognized and guaranteed by others; to be superfluous means not to belong to the world at all” (Arendt 75).

Furthermore, in these stories, the main characters’ personal identities are pseudo-identities only during temporary movements, such as dispatch (“Rabbit’s Tomb”, “Out for a Walk”, “Room with a Beige Sofa”) or business trips (“Evening Proposal”, “Would You Like to Take a Tour Bus?”, “Jungle Gym”); as such, “[d]ispatched work isn’t that unusual” because “most of the people here are on temporary dispatched terms” (Pyun, “Rabbit’s Tomb” 75).

Then, what is the sense of place of a dispatch or business trip? In “Rabbit’s Tomb”, the protagonist’s accommodation during the dispatch period is only a temporary residence or, more drastically, a transfer station without any room for the attachment or intimacy which should form the foundation for unique individuality. “That meant that all the single-residence apartments in this city were roughly the same” (Pyun, “Rabbit’s Tomb” 18).

Furthermore, physical mobilities such as dispatches “are not voluntary but forced” (Pyun, “Room with a Beige Sofa” 147). For example, on the order form for the business trip, “[e]verything had been filled in except his signature and the date of his return” (Pyun, “Jungle Gym” 117). There is “no other option, since it was likely that he’d have had to accept an honorary retirement at a relatively young age if he hadn’t volunteered” (Pyun, “Room with a Beige Sofa” 147).

These forced mobilities could be an option to find “a good opportunity to



be promoted” or to “live somewhere else for a little while” (Pyun, “Out for a Walk” 95). Nevertheless, the men who reluctantly accept the dispatches cannot find genuinely new places; they iterate their old daily lives going back and forth on the same path, longing only to return to their hometown. “When his work was boring and he felt left out by his colleagues, Jin reminded himself that this dispatched position, which required him to live in this region, was only a temporary assignment” (Pyun, “Room with a Beige Sofa” 147). This dispatch in a strange city which should have been “only temporarily with hopes of going back soon” (Pyun, “Room with a Beige Sofa” 147), however, has extended to “eight years in a small city” (Pyun, “Room with a Beige Sofa” 136). The beige sofa, which “represented an immaculate and comfortable world far removed from broken springs and the smell of cheap sponge” (Pyun, “Room with a Beige Sofa” 152), did not fit into the new house in Seoul where they were on their way back; for the dispatched men, there seems to be no place to come back to.

In sum, through dispatch or business trips, monotonous sameness is not weakened, but is repeated and further strengthened. Despite hectic mobilities in late-modernity, we arrive all the time at the same place, without any notable differences. The same thing is repeated day after day, in monotonous places which are indistinguishable from each other.

#### **4. Ethics of Place from the Perspective of Ethical Literary Criticism**

As for the ethics of place in literary texts, in particular, ethical literary criticism may function as a relevant theoretical framework that analyzes literary texts based on the ethical nature of literature. Ethical literary criticism in the context of the “ethical turn” of literary criticism strives to restore the essential relationship between literature and ethics. Moreover, through developing beneficial concepts for ethical analyses of literary texts, rather than simply declaring the restoration of ethical values of literature, ethical literary criticism can provide a practical methodological toolbox for the current subject matter; ethics of place represented in literary texts.

According to Nie Zhenzhao, the founder of ethical literary criticism, reading literary texts should take place in two main ways. On the one hand, the ethical structure of a literary text is to be analyzed and interpreted; a literary text is, on the other, to be ethically appraised and evaluated. Nonetheless, one can never complete the task of ethical criticism by highlighting only the positive moral values in literary texts or praising only the character’s good behavior. The ultimate task of ethical literary criticism lies in discovering ethical values, both positive and negative. Furthermore, instead of “making an over-simplified judgment about literature by



determining whether it is good or bad” (“Towards an Ethical Literary Criticism” 100), this task can be completed by identifying the ethical norms embodied in literary texts and understanding the ethical implications of the characters’ actions in the literary texts on that basis.

What is critical here is the concept of “the ethical environment, which comprises the historical conditions for the production and dissemination of literature” (“Towards an Ethical Literary Criticism” 91). By this concept, a certain “historicism” is emphasized, to the extent that ethical values in a given work should be examined “with reference to a particular historical context or a period of time in which the text under discussion is written” (“Towards an Ethical Literary Criticism” 84).

In this sense, how can the ethics of place in “the ethical environment” of the high-mobility era be captured in terms of ethical literary criticism? As places in the traditional sense seem to be shrinking, if not disappearing, in this era, the previous ethics that drew on closed and static places also seem to be shaking. Thus, many behaviors which present themselves in this new kind of place are sometimes incomprehensible or unacceptable from the perspective of the long-established ethics of place. However, beyond the customary practices of “some traditional ethical critics” analyzing “literature from their personal ethical values and moral principles or, at best, the moral principles of their contemporaries,” (“Towards an Ethical Literary Criticism” 84-85), or from the conventional ideologies blind to the changes currently occurring, we should attempt to find general ethical values in this rapidly mutating social world. Since the ethical appraisal and evaluation pursued by ethical literary criticism presupposes the discovery of ethical values in literary texts, we should carefully weigh the characters’ ethical values rather than convicting or judging them based on established ethical values and moral principles.

Thus, we should set the ethical scene of this era to discover the ethical values revealed in *Evening Proposal*. What kinds of ethical values stand out in the plots and actions of our short stories, mostly taking place in those places of mobility, that strengthen the monotonous sameness? If the ethical values sought in ethical literary criticism are not only positive but also negative, we can begin our analyses of ethical values in these stories by identifying negative values—more precisely, negative values in ethical relations since ethics is a matter of the intersubjective relationship between human beings.

In specific literary works, central to ethics are those about the recognized and accepted ethical relations between human beings, between human beings and

society, and between human beings and nature, as well as about the ethical norms and orders established upon those relations. (Zhenzhao Nie, Introduction to Ethical Literary Criticism 13)

### 5. Ethics of Place in Evening Proposal

First of all, the affective sense of place is worth regarding because ethics is notably based on affect. Such affects attached to a place are often referred to as “topophilia” in a broader sense, which includes not only positive affects but “all of the human being’s affective ties with the material environment” (Tuan 93). In this sense, the negative affects such as topophobia as the expression of negative meanings of a place can be clearly identified in these stories.<sup>1</sup> A dull, dry life of pseudo-identity in a monotonous place brings depression, boredom, or a feeling of one’s own uselessness.

Feeling depressed and finding nothing else to do, they ended up completing the crossword puzzle in the newspaper. It took quite a while for them to find a word with two syllables starting with “b” which meant an unnecessary or useless thing. Eventually they found it. (Pyun, “Would You Like to Take a Tour Bus?” 80)

Moreover, in those lives, they feel fear in a place, “like a little boy who was just starting to climb a jungle gym” (Pyun, “Jungle Gym” 133).

Or perhaps he felt that he’d already reached the top trembling with fear. He’d been thrown into a dull and dangerous game that he was compelled to play, and he found little joy in it because he was too afraid of being hurt. (Pyun, “Jungle Gym” 133)

Ironically enough, however, this life with its monotonous temporalities or everyday routines amounts to a self-deceptive relief or satisfaction to be caught in the same place doing the same thing.

The future would always be divided from the past, the present divided from the past, and the future from the present. It would always be this way. Thinking

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1 See Petr Šimáček, Miloslav Šerý, David Fiedor, Lucia Brisudova, “To Fear or Not to Fear? Exploring the Temporality of Topophobia in Urban Environments.” *Moravian Geographical Reports* 28.4 (2020): 308-321.

this he sighed, but he also felt relieved. (Pyun, “Monotonous Lunch” 64-65)

This isn’t the kind of job where it’s possible to think. Standing in front of the belt, holding ourselves always at the same angle, our bodies become part of the machinery. For some reason, that’s satisfying, but we’re not proud of it. (Pyun, “Canning Factory” 170-71)

With these negative affects in mobile and monotonous places, social relations are fragmented. Then, “perfect intimacy with another person existed only in the longing for it” and “a distance of more than two-meters was required for humans to coexist” (Pyun, “Monotonous Lunch” 56).

He thought of the two-meter distance between the counter of the copy room and the corridor where the students and lecturers passed by. He maintained that distance. It was also the width of the counter that separated him from his customers. No one ever crossed to his side of the counter. (Pyun, “Monotonous Lunch” 56)

This two-meter distance, which reminds us of forced social distancing in the pandemic age, alludes to the ethics of the monotonous, claustrophobic place. “They were strangers which whom he had no connection and therefore no occasion, no opportunity to socialize” (Pyun, “Monotonous Lunch” 55-56).

The ethics of place represented in these stories is based on the feeling that “friendship has nothing to do with affection, but was a feeling valid only when it reaped benefits for one of the persons involved” (Pyun, “Evening Proposal” 28). Thus, “criticizing a person for being selfish makes no sense” because “everyone is selfish” (Pyun, “Evening Proposal” 28); ethical egoism seems to be a logical consequence of the lack of authentic intersubjective relations. Thus, in “Monotonous Lunch,” even casually witnessing the tragic death of another passenger at the station could not change the man’s overall ethical attitude; after the accident “nothing should be the same, but it appeared that everything was still the same” (Pyun, “Monotonous Lunch” 65).

So far, we have come to recognize that “[i]n some literary texts” such as these stories, the ethical presents itself in the negative “form of ethical chaos” (Nie, “Towards an Ethical Literary Criticism” 94). Beyond these negative ethical values, however, we can also identify the dim possibility of positive ethical values that can hint at “reconstruction of the ethical order” (Nie, “Towards an Ethical

Literary Criticism” 94). Only in one part of this whole collection can this potential of reconstructing the moral order by restoring the relationship with others in those mobile lives be vaguely glimpsed. It seems not without significance that “Evening Proposal”, the sole story in this collection that shows such possibility, is selected as the title story of this collection.

In this respect, the plot of this story is worth briefly describing. Kim, the main character of this story, is on the way to another distant city to bring a wreath to the funeral hall of an elderly acquaintance who is about to die. He roams around the funeral hall, waiting for a call from his friend that the elderly man is dead. Not being able to stand the situation, Kim calls the woman. However, when the woman’s phone call keeps getting annoyed, he declares her breakup. At that time, he witnesses the accidental (likely) death of a truck driver who looks just like him. Witnessing this unexpected accident, he calls her back to propose to her, without regard for sincerity.

Yet, because he had this feeling, he thought his confession might have some truth in it. | Regardless of the truth—regardless of her feelings—Kim knew without a doubt that he would soon be ashamed of the confession that providential fear had forced him to make. (Pyun, “Evening Proposal” 46)

This sudden proposal as an abrupt reversal of his ethical attitude is an act of affect, showing the possibility of reconstructing intersubjective relations with others and a positive ethics in places of a monotonous and mobile life.

How can this unexpected emergence of a possible positive ethics be understood? How are people, who live an endlessly monotonous life in unsettled mobilities without holding any true identity and positive relationship, able to access these positive ethics? How can a place in the high-mobility era create an authentic identity and ethics of places under these new forms and conditions of life?

It is a perception and recognition of human vulnerability that encourages this conversion: “A vulnerability must be perceived and recognized in order to come into play in an ethical encounter, and there is no guarantee that this will happen” (Butler 46). Still, it is noteworthy that, caught in the attitude of ethical egoism, it was not the apprehension of other’s death but his own that could trigger this only act: “[t]he misfortune he feared was the misfortune that affected only him, while the rest of the world was well and safe” (Pyun, “Evening Proposal” 38). As aforementioned, in “Monotonous Lunch,” the death of others does not affect anything. And, even though, in “Evening Proposal”, Kim is forced to think iteratively about the death

because “there was nothing else for him to do in this town to keep this deathwatch” (Pyun, “Evening Proposal” 36), the death of an elderly acquaintance has hardly any influence on him; he impatiently “awaits his death,” feeling just that “[t]ime was moving so slowly” (Pyun, “Evening Proposal” 36).

Kim realized that he’d never thought seriously about death. He was living. He didn’t want to think about death. Not yet. Not until the time came, far, far off in the future. (Pyun, “Evening Proposal” 41)

These idle thoughts about death set off by the imminent death of the elderly acquaintance never extend to a vivid emotional representation of his own death. Only the intense apprehension of own death, motivated by the car accident which leads to the death of the man who looks like himself, is capable of causing the conversion of his overall attitude.

This conversion in Kim’s mind is dramatically described by the changing consciousness of breathing. Beforehand, Kim had “never taken the time to notice this delicate everyday phenomenon taking place in his body,” just “as if it were completely unimportant” (Pyun, “Evening Proposal” 33). On the contrary, while he proposes, his own breathing becomes conscious and resonates with hers.

The sound of her shallow breathing reached his ears. It was a calm, rhythmic sound that calmed him. He imitated it, inhaling and exhaling, breathing faster than usual to keep up with her. Then, after several attempts and still finding it difficult, he abruptly confessed his love for her. The woman remained silent. (Pyun, “Evening Proposal” 45)

Without a doubt, this conversion is equivocal or even suspicious. First of all, in our commonsense perception of civic responsibility, what Kim should have done first, on witnessing the accident, which he might have caused himself, would be to call “the police, the paramedic, or the emergency room.” Instead, “he called the woman” (Pyun, “Evening Proposal” 45). Besides, even this short proposal happens “regardless of her feelings,” i.e., without considering the other’s feelings. Moreover, it happens “[r]egardless of the truth,” i.e., without considering the truth or authenticity of his intention. He was uncertain whether “the confession that providential fear had forced him to make” was authentic, such that “Kim was like a stranger to himself as he spoke these words to her” (Pyun, “Evening Proposal” 46). “If Kim had been at home, with no such problems or fears, he’d have gone on being unkind to this

woman” (Pyun, “Evening Proposal” 46).

Notwithstanding such critical limitations of reconstructing the moral order in “Evening Proposal”, this scene represents a significant reorientation that cannot be ignored; it is an ethical reorientation achieved by recognizing human “ontological vulnerability,” the most radical and insurmountable form of which is the fate of the mortal, through “an unavoidable receptivity, openness, and the ability to affect and be affected” (Gilson 37).

Moreover, in this story, it is not the active proposal itself but the passive reception and subtle response, that is Kim’s attentive listening to, imitating, and keeping up with the woman’s breathing on the phone, that seem to be critical. Such a responsibility for the others drawing on “an apprehension of common human vulnerability” might be a principle “by which we vow to protect others from the kinds of violence we have suffered” (Butler 30), reimagine “the possibility of community” (Butler 20), and return “to our collective responsibility for the physical lives of one another” (Butler 30).

## 6. Conclusion

By questioning the sense of place, this article attempted to capture the possibility of reconstructing the ethics of place in our contemporary, highly mobilized world. Place is a fundamental condition of human life, and correspondingly a change in place is associated with a change in ethics as a foundation for the human communal life. Exploring how the instance of literary works may establish the ethics of place, especially in the context of literary representations of contemporary uprooted and drifting forms of life, this article, drawing on ethical literary criticism as a theoretical and methodological framework, paid attention to a literary work, *Evening Proposal*, as a relevant instance.

This article identified some properties of the sense of place in these short stories as monotony and mobility, which amounts to a loss of genuine individual identity. Moreover, relying on the framework of ethical literary criticism, this article found the affects of depression, boredom, feeling of one’s own uselessness, fear, self-deceptive relief, and satisfaction, based on which the negative ethical values such as lack of relations with others and ethical egoism could be identified.

However, this article also identified the possibility of reconstructing positive moral values, especially in the title story “Evening Proposal.” The unexpected proposal of the protagonist and his willingness to attentively listen to and respond to the other was interpreted as a consequence of perception and recognition of shared human vulnerability, in this case, human mortality. This article concluded that this

perception and recognition might be a clue to reconstructing the ethics of place in a fragmented and mobile world.

Despite “the whole history of place as a center of meaning connected to a rooted and ‘authentic’ sense of identity forever challenged by mobility” (Cresswell 53), “the experience of a particular location with some measure of groundedness” is still significant for most people’s lives (Escobar 140). Thus, in such a changing ethical environment, “a proper sense of place” is not “a sense of something comforting and familiar”; it is rather “a sense of one’s own uncertain and fragile locatedness in the world, and to have to take responsibility for that” (Malpas, “Is there an Ethics of Place?” 28).

Furthermore, the reciprocal relations of place and ethics are at stake in this attempt to discover and evaluate the ethical values in a literary work based on ethical literary criticism. Not only that the proper sense of place constitutes, as we have seen, the sense of ethical responsibility; “[i]t is the sense of responsibility that shapes the relationships that constitute place” (Buchanan 91). The consideration of how to constitute place via responsible relations with others remains a future assignment for those concerned about the contemporary “form of ethical chaos” created, at least partly, by the lack of an ethics of place.

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# 外国文学的计量研究：

## 研究背景、发展现状及研究路径

### Quantitative Studies of Foreign Literature: Background, Development and Approach

王 永 (Wang Yong)

**内容摘要：** 计算机技术的发展不仅使社会生活发生了重大变革，也为学术研究带来了很大的便利。借助数据库，研究者可以节约大量耗费在文献检索方面的时间，并且可以通过数据分析发现传统研究无法发现的特征。然而，外国文学界对此关注较少，产出的相关成果不多。本文通过对文学计量研究成果的综合分析，阐明在外国文学研究中运用计量方法的必要性与可行性，同时，结合相关研究详细介绍文学计量研究的步骤和方法。本文不仅有助于外国文学研究者了解数据、统计方法及文学研究的关系，还可以为其提供具体的研究路径，推动外国文学计量研究成果的产出。

**关键词：** 外国文学；计量方法；数据库；统计分析

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**Title:** Quantitative Studies of Foreign Literature: Research Background, Development and Approach

**Abstract:** The development of computer technology has not only made significant changes in social life, but also brought great convenience to academic research. With the help of databases, researchers can save a lot of time spent on literature retrieval, and can discover features that cannot be discovered by traditional research through data analysis. However, in the foreign literary circles, the usage of databases hasn't been drawing much attention, thus having produced fewer related achievements. Through a comprehensive analysis of the literary measurement research results, this article clarifies the necessity and feasibility of using measurement methods in foreign literature research. At the same time, it introduces the steps and methods of literary measurement research in detail in conjunction with related research. This

article not only helps foreign literary researchers to understand the relationship between data, statistical methods and literary research, but also provides them with specific research paths to promote the output of quantitative research results in foreign literature.

**Keywords:** foreign literature; quantitative method; corpus; statistic analysis

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大数据、云计算、人工智能、数字人文，是新世纪尤其是近十年来的学术热点话题之一。面对大数据时代，有的高校和学术机构积极相应。2015年3月，复旦大学中文系启动“语言·大脑·计算”交叉学科平台。2020年1月，清华大学联合中华书局主办的《数字人文》创刊号发行。各种与大数据、数字人文相关的译著、编著先后出版。

毋庸置疑，计算机技术已渗透到社会的各个领域，且不论“全球化本身是由数字技术的崛起所推动的”（奥恩 19），即使从眼前发生的事来看，大数据在新冠疫情期间所发挥的重要作用有目共睹。可以说，“计算机已经达到改变世界的‘全力’发展阶段”“大数据正在彻底改变从社会科学到商业的各个领域”（奥恩 IV-V）。

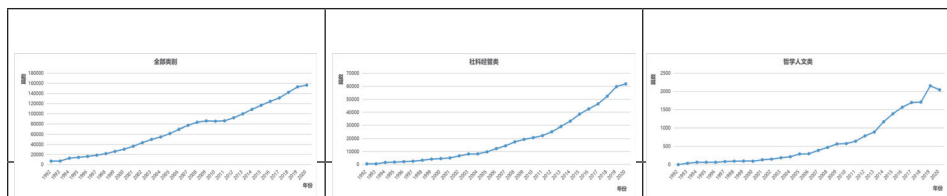
然而，迄今为止，数据这块石头尚未在外国文学界激起千层浪，不少学者持保留乃至质疑的态度。这一方面或许由于部分研究者过分夸大了定量研究的价值和有效性；另一方面，基于数据的研究往往停留在图表呈现及数据的陈述上，而进一步结合文学内容展开深度阐释的成果较少，难以充分显示出新方法对文学研究的价值。但最重要的原因，恐怕是由于对文学的计量研究了解不多之故。那么，面对大数据时代日新月异的计算机技术及其为各学科领域带来的丰硕成果，外国文学界该如何看待？文学的计量研究已取得哪些成果？如何开展外国文学的计量研究？本文将从外国文学开展计量研究的大背景、计量研究发展现状及具体的研究路径等方面展开阐述。

### 一、外国文学计量研究的背景

有学者断言，“‘大数据’时代的很多学科都将发生巨大甚至是本质性的变革和发展，进而影响人类的价值体系和知识体系，当然也影响到我们的学术研究”（郑永晓 143）。事实确实如此，计算机技术的发展正在影响着一个又一个学科。近二十年来，国内出版的相关著作及发表的论文增长迅速。自然科学自不必说，社科领域的应用也是如火如荼。在人文领域，历史学、传播学、语言学的定量研究已产出较为可观的成果，与此相比，文学领域的差距明显。

从出版的著作看,通过当当网搜索<sup>1</sup>关键词“大数据”,有292068个结果,排名靠前的有《大数据时代》《数据化决策》《大数据架构详解:从数据获取到深度学习》等;搜索“云计算”,有108268个结果,如《云计算:概念、技术与构架》《云计算通俗讲义》《图解云计算架构》等;搜索“人工智能”及“AI”,共计138469个结果,如《人工智能 从小白到大神》《人工智能:国家人工智能战略行动抓手》《AI·未来》《AI经济》等;搜索“数字人文”,种类显著减少,仅有1552个结果,且很多条目与数字人文无关,并有不少条目重复,主要文献有以下几种:《数字人文:改变知识创新与分享的游戏规则》《数字人文:数字时代的知识与批判》《赛博文化与数字人文》《〈献帝春秋〉钩沉——从数字人文角度刊古籍辑佚》《面向知识挖掘句法语料库构建研究:数字人文视角下的史部典籍信息组织》,以及清华大学和中华书局合办的辑刊《数字人文》,复旦大学国家文化创新研究中心推出的文集《数字人文研究》。

从产出的论文看,通过知网搜索关键词“数据”(自动关联“大数据”等相关关键词),可以检索到论文总数2156099篇。其中社科经管类590527篇,占总数27.39%;哲学人文类19366篇,占总数0.90%。<sup>2</sup>年度论文发表趋势图如下表:



数据显示,计算机技术在整体学术领域的应用上升趋势明显。1992年的论文仅7046篇,2000年增至30515篇,2010年为85260篇,2020年达156523篇,30年内增加到22倍。2000年前的9年,年均增加2607.67篇,年均涨幅37.01%;此后的两个十年,年均增加的论文数分别为5474.5及7126.3篇,年均涨幅分别为17.94%及8.36%。除了个别年度,每年发表的论文数绝对值不断增加。社科领域的发文数虽然增加的绝对值不如整体发文数,但增幅远大于前者。1992年的论文仅513篇,2000年增至4562篇,2010年为20693篇,2020年达61857篇,30年内增至120倍。2000年前,年均增加的论文数是449.9篇,年均涨幅87.70%;此后两个十年,年均增加的论文数分别为1613.1及4116.4篇,年均涨幅分别为35.36%和19.89%。哲学人文领域的发文数虽明显逊色,且前期进展速度较慢,但近些年有较大幅度的增长。1990年的论文34篇,2000年仍是二位数的93篇,2010年为577篇,2020

1 截止2021年8月14日13时10分。

2 截止2021年8月11日16时48分。

年达 2044 篇, 30 年内增至 60 倍。2000 年前增长缓慢, 年均增加的论文数是 5.9 篇, 年均涨幅 17.35%; 此后两个十年, 年均增加的论文数分别为 48.4 及 146.7 篇, 年均涨幅分别为 52.04% 和 25.42%。

从上述检索结果可以看出, 计算机技术引导的成果非常显著。尤其是新世纪以来, 随着大数据、人工智能、云计算等技术越来越多地在人们的生活中得到运用, 各学科领域越来越认识到计算机技术在学术研究中的重要性, 开始大规模运用数据开展研究, 相关成果显著增加, 至今保持持续增长。即使是落后于其他学科的哲学人文领域, 近十余年来的成果已有较大幅度的增长。

与此相比, 外国文学研究领域对计算机技术的接受明显滞后。尽管各种会议、各种论坛上“大数据”“数字人文”“跨学科”的字眼并不鲜见, 但在实际研讨过程中, 更多的跨学科关注点集中于文学与历史学、政治学、经济学、法学的跨界研究, 而对大数据、数字人文、数据库关注度较小, 对数据能如何用于外国文学研究更是了解不多。即使与文学学科内的中国文学相比, 也落在后面。知网上通过关键词“数据”可以搜索到的文学类(世界文学及中国文学)中文论文只有区区 480 篇, 而世界文学更是仅占其中的 18.75%, 90 篇。

然而, 我们身处一个数字化、互联网的时代, 人工智能发展迅速, Alpha-Go 的围棋水平令人心服口服; 人机协同创作的诗歌、AI 书法、AI 绘画、AI 主播, 让人难辨真伪。面对强大的计算机技术, 对比其他学科运用数据开展研究所取得的学术成果, 我们认为, 外国文学界既无需盲目追风, 但也不能视而不见。尽管在数十年甚至更长的时间内, 传统研究依然是其主流, 但与此同时, 我们应该正视大数据时代的技术发展给外国文学学科带来的机遇和挑战, 开拓视野, 学习和借鉴新方法。可以说, 外国文学的计量研究, 既是现代计算机技术发展的使然, 又是深入挖掘文学问题, 开拓文学文本研究范式的必然。

## 二、文学计量研究的发展现状

文学的计量研究之所以可行, 是由于这种研究已有一百多年的发展史, 并已形成了几个主要的研究方向。

国内对这部分的了解和介绍较少。《山东社会科学》发表的译文“查找与替换: 约瑟芬·迈尔斯与远距离阅读的起源”认为, 人文学科定量或计算方法的奠基学者起码应该往前追溯到迈尔斯。这位美国诗人兼加州大学伯克利分校的学者早在 20 世纪 30 年代的研究生期间就用人工方式“完成了自己的第一个远距离阅读项目: 分析罗马诗人偏爱的形容词”(雷切尔 46)。50 年代, 她与团队合作完成了计算词语检索项目。几十年中, 她采用单词计数方法, 对华兹华斯、怀亚特、奥登等诗人的语言及创作风格做了分析。这种研究无疑“有利于我们建立一个远距离阅读和定量文学史研究方法的多元化

的学科史谱系”（雷切尔 45）。也有学者提到 21 世纪英美学者基于语料库对文学文体所做的研究，如“Tabata 研究了狄更斯小说中的文体风格变化；Clupeper 对莎翁作品《罗密欧与朱丽叶》中的对白做了关键词、词性及语义域的研究 Fischer-Starcke 则集中在对简·奥斯汀众多文学作品的研究等”（任艳 陈建生 丁峻 17）。

但这只是文学计量研究发展史上的一鳞片爪。事实上，文学计量研究有着百余年的发展，大致可分为三个阶段：1）计算机尚未出现之前的统计分析；2）计算机技术开始发展的 20 世纪中期；3）大数据时代。为了系统展示其总体发展过程并为我国的文学研究者提供参照，前两个阶段的发展侧重介绍俄罗斯学者的研究成果<sup>1</sup>，第三个阶段综述我国学者的研究成果。

计算机尚未出现之前，文学的计量研究主要采用人工统计方法。20 世纪初，随着形式主义诗学的兴起，俄罗斯的文学批评家和语言学家开始采用统计方法研究文学（诗歌）作品。波利万诺夫（Л. Поливанов）、维诺库尔（Г. Винокур）等文学批评家和语言学家，以及别雷（А. Белый）、丘特切夫（Ф. Тютчев）等诗人对诗歌的节奏、韵脚、诗节乃至情节、结构、主题、题材、文学流派等方面做了统计分析，在诗体语言的量化特征研究上取得了一定的成就，也为现代文体测量奠定了基础。莫罗佐夫（Н. Морозов）对普希金、果戈里、托尔斯泰等作家使用的前置词、语气词、代词等词类做了统计分析，以此辨别作家作品真伪，成为最早采用定量方法鉴别著作权的研究者之一。雅尔霍（Б. Ярхо）则将统计方法运用于斯拉夫文学、日耳曼文学、中世纪文学、古俄罗斯文学、民间文学的研究中，试图构建文学研究的计量理论。他认为“运用统计方法，可以解决大量同作品的修辞、作品的主题和谋篇、作品的总体思想和情感以及作品的题材有关的各种问题。文学的生成、演变和类型学问题，尤其是文学流派问题可以转换为完全对等的数字语言”（Ярхо xviii）。这种方法是一种“精密”研究方法，其本质在于“从分析到综合”，即“先从文学文本中提取重要特征进行分析，再对这些数据进行统计运算，然后对研究现象的发展及功能规律得出结论”（Ярхо xviii）。遗憾的是雅尔霍英年早逝，而他写于 30 年代，近 400 页的未竟之作《精密文学研究方法论》，也直到 2006 年才得以整理出版。

20 世纪 50-60 年代，随着计算机科学的发展，更多的学者在文学研究中尝试运用概率论、信息论、控制论等自然科学的理论与方法。如博布罗夫（С. Бобров）用常数和变量进行排列组合获取统计数据的方法，将普希金的诗歌与俄罗斯民间创作进行对比分析，最终证明普希金的长诗《西斯拉夫之歌》虽然以俄罗斯民间歌曲为基础，但绝“不是俄罗斯古代诗歌的翻版，而是俄罗斯诗歌史上史无前例的新诗典范”（Бобров 134）。列斯基斯（Г. Лескис）则从 19 世纪 60 年代 7 位作家的 11 部心理小说中随机抽取了 70643 个

1 本文作者在这方面的研究仅限于俄罗斯，期待有学者能系统研究英美等国的文学计量研究发展。



句子进行研究,通过对描述性文字、对话说明、直接引语三大言语类型的统计分析,揭示出不同作家的写作风格。如陀思妥耶夫斯基的人物引语比例明显高于其他作家,显示出作家的“复调小说”特征。托尔斯泰使用描述性文字的比例高于其他作家,显示出其小说的哲理性特征。可以看到,这些研究已具备了当今数字人文的雏形。<sup>1</sup>

雅尔霍的精密方法论研究后继有人。伊万诺夫(В. Иванов)在诗歌节律研究的基础上对诗歌的统计分析做了理论思考。他认为,精密方法有助于发现文学创作的时代特征及个性特征。“诗行统计有助于清晰地显示某种创作手法在今天是否已变得寻常”,“在诗歌研究中采用精密方法的最终目的应该是清晰地揭示诗人在创作中贯彻的一些基本概念,这些概念模糊地存在于诗人对创作性质的直觉认识中”(Иванов 118)。

近几十年来,俄罗斯学者的文学计量研究偏向类型研究和规律性研究。比如文体测量侧重分析作家的个人风格,通过数据深层挖掘,揭示文本的内部结构及其构成规律,探究其不同维度和层面的相互关系。此类研究的结果可以用于作品甄别。安德列耶夫(С. Андреев)则在其专著《诗歌文本参数相互作用模型》(2014)中,集中分析了普希金、莱蒙托夫等俄罗斯诗人以及柯勒律治、济慈等英国诗人的作品,对诗歌文本的节律、句法、词法、词汇单位与主题的相关性进行多维度、多层面的分析研究,揭示出诗体文本各参数之间的相互关系与系统规律方面的特征,阐述了这些参数相互作用的机制,为诗歌文本的计量研究提供了理论与方法。<sup>2</sup>

总体而言,俄罗斯学者对文学开展的计量研究已有相当长的历史,且形成了文学计量研究的重点领域:诗歌格律研究、作家风格研究以及方法论研究。

我国文学研究界也较早就开始关注数学方法在研究中的运用。傅修延在《文学批评方法论基础》一书中介绍了系统论、控制论、信息论及数学方法的基本原则及其运用于文学批评所取得的成果,指出“文学批评要向更高的水平发展,要走向精确化与定量化,就不能不求助于数学方法”(傅修延 296)。数据的实际应用研究则可以追溯到1987年,《复旦学报》(社会科学版)发表了李贤平的论文《〈红楼梦〉成书新说》。作者凭借其数学专业出身的背景,将数理统计方法及计算机技术运用于《红楼梦》的著作权研究。论文选定四十七虚字作为识别特征,对小说各回中这些虚字出现的频率做出统计,采用主成份分析、典型相关分析、类 $x^2$ 距离与相关系数等聚类统计方法对各回进行分类,推翻了红学界盛行六十六年之久的胡适的观点。虽然该文统计方法中择取的数据点受到一些质疑,但毕竟“使红学研究开始有了‘量’

1 参见 Лесскис, Г. А. “О размерах предложений в русской научной и художественной прозе 60-х годов XIX в.” Вопросы языкознания 2 (1962): 78-95.

2 俄罗斯文学的计量研究是与语言学的计量研究共同发展起来的。参见 王永、李昊天、刘海涛:“俄罗斯计量语言学发展述评”,《外国语》6(2017): 86-97; Андреев, С. Н. Модели взаимодействия элементов стихотворного текста. М.: ФЛИНТА, Наука, 2014.

的概念”（李贤平 15）。不过，此后的若干年内，数据统计方法未能得到更多同行的响应。直至 21 世纪以来，在大数据学术潮流的影响下，我国文学研究界才迈开了文学计量研究的步伐。

21 世纪初，中国古典文学研究者敏锐地意识到计算机技术对于文学研究的重要性，从研究目标出发开始建设相应的数据库。在此后的 20 年间，先后建成了国学数典、文渊阁四库全书、四部丛刊、中国基本古籍库、中国古代方志、中国古代金石等全文数据库。这些数据库具有强大的检索功能，包含海量的古籍善本电子版。使我国的“古典文学研究至少在文献的搜集、整理层面，取得了堪称革命性的突破”（刘成国 132）。利用这些数据库和分析系统以及自建的数据库，古典文学界在影响研究、版本鉴别、考据、用典等方面取得了显著的研究成果。

刘成国在《王安石年谱长编》的研究过程中利用《中国基本古籍库》的《宋会要辑稿》检索系统，“几分钟内，便将王安石长媳萧氏、过继孙王棣、次子王旁、孙王桐、曾孙王璠王珪的相关记载全部查出。然后首次利用阅读南宋文集时偶然发现的王珪墓志铭，以及常见的《至正金陵新志》，得以全面重建王安石身后四代后裔谱系，并澄清了宋代笔记、史书中关于王安石二子王雱、王旁的诸多错误记载，进而对这些记载产生讹误的原因一一分析，抉发出隐含其间的修辞策略及叙事意图”（刘成国 132）。刘京臣则于 2007-2010 年间借助自建的数据库，从字句、用典、意象、意境等角度，以唐朝六大诗人中心，通过数据分析，考察盛唐中唐诗歌对于宋词的影响。所有结论均建立在数据分析挖掘基础之上（刘京臣 183）。

古典文学研究界讨论较多的还有数据库的信息标注问题，认为更完善的数据库应该包含诸多与作家相关的信息标注，如：作家的出生地、家族背景、科举、游历、仕宦、爱好、作品数量、作品创作时地、文体构成比例、作品选录情况。根据这些信息，可以对研究对象作可视化分析，可以构建地理知识图谱、作家关系图等。另一分析热点是文本情感分析（Text sentiment analysis）。有学者提出“将诗词文本经过语义概念分类，并将情感分为正面情感与负面情感，能使文学研究更趋细化和深化”（罗凤珠 141）。不过，迄今为止，情感分析主要用于互联网的舆情研判、大众点评分析以及各种媒体报道的倾向性分析上。

外国文学界的数据运用研究成果虽然较为单薄，但也有一定进展。相关论文，除了通过“数据”搜索到的 90 篇，加上通过关键词“计量”搜索到的世界文学类论文 18 篇，共计 108 篇。我们对此作了人工校对，剔除其中“敬告读者”“入选 CSSCI”“投稿须知”之类完全不属于文学研究的论文以及同数据运用无关的论文共 43 篇，与数据运用相关的论文为 65 篇。这些论文研究问题所属类别大致可分为六大类：1）大数据与外国文学研究关系的整体思考；2）大数据时代与文学教学；3）基于大数据的文学作品传播与接受度

研究；4）数据库建设构想；5）基于文献数据库的研究；6）文学文本的计量研究。可以看到，只有最后一类属于文学本体研究。此类论文不到十篇。从研究目标看，有的论文旨在阐释文学的创作特征，也有的试图检验计算机技术及其他学科的研究范式在文学研究领域的有效性；从研究角度看，主要依据的是语言学的相关理论，比如语料库语言学、文体学、语义学等；从具体研究路径看，既有根据研究问题采集数据再结合文本做定性研究的，也有利用数据挖掘、检索工具等技术手段获得相关数据再对数据做细致分析的。<sup>1</sup>

综上所述，文学的计量研究不仅有丰富的历史积累，且有可资借鉴的成果。正如研究者所指出，“数字人文的科学方法论和跨学科性质为建构外国文学研究新范式提供了可能性”（董洪川 潘琳琳 176）。

### 三、文学计量研究的路径与方法

文学的计量研究主要有三种范式：外部研究、文本内部的形式研究以及文本内部的内容研究。从近期的研究成果看，以外部研究成果居多，内部形式研究次之。这是由于外部研究及形式研究涉及的主要是客观知识，这些知识既容易实现数字化，又便于后期的计算机操作，挖掘统计数据。

作家谱系研究、作家关系网构建、文学地理知识图谱、文学发展的地区及时代研究，都属于外部研究。这类研究的重点在于构建数据库，将相关知识数字化，只要有数据库就可以得出统计分析的结果。内部研究的形式方面，如诗歌格律、作家创作风格、用典、版本等研究，其重点同样在于构建数据库。只要将相关的文学文本数字化，借助数据挖掘及统计分析工具，可以完成绝大部分任务。近来的热门话题之一“远读”<sup>2</sup>也属于此类研究。这类研究对主要依赖文献的研究（如考据研究）冲击最大，传统研究范式需要若干年甚至几十年才能完成的任务，借助大数据和计算机技术，可能不到半天就可以完成。有学者甚至预言，“随着数据库技术从‘机械检索’到‘智能分析’的进步，古典文学研究中的考证范式将面临崩溃”（刘成国 133）。正因如此，这两类研究亦或将成为数字人文首先攻克的堡垒，最终实现数字人文研究者的理想：让机器替代人工阅读和创作，因为“依托数字环境的各种技术，通过加强对文本的批判性集展，版本迭代和文本流动将得以实现”（安妮·伯迪克 30）。当然，这些研究虽然基本能自动完成，但自动化处理的前提是要

1 相关研究可参阅以下文献：任艳、陈建生、丁峻：“英国哥特式小说中的词丛——基于语料库的文学文体学研究”，《解放军外国语学院学报》5（2013）：16-20+127；王永、李昊天：“俄语视觉诗的计量特征——以卡缅斯基诗集《与母牛跳探戈》为中心”，《外国文学研究》5（2015）：48-58；詹宏伟、黄四宏：“大数据时代的文学经典解读——《罗密欧与朱丽叶》计量文体分析”，《外语与翻译》2（2017）：63-68；毛文伟：“数据挖掘技术在文本特征分析中的应用研究——以夏目漱石中篇小说为例”，《外语电化教学》6（2018）：（8-15）；韩诺等：“基于迁移学习的文学人物心理分析”，《心理技术与应用》7（2019）：63-68等。

2 参见 Moretti, Franco. *Distant Reading*. London-New York: Verso, 2013.



有相关的数据库，而数据库的构建远非一朝一夕、一己之力所能完成。

第三类，内部研究的内容方面，需要借助数据统计分析，发现某些诗学特征，并进一步结合文本做深入的阐释。目前已发表的此类研究成果大多是技术操作过程的展示有余，诗学特征的阐释不足。借助数据分析发现的某些特征未能进一步运用到文本分析中，深入阐释文学问题，这在一定程度上削弱了计量分析对文学研究的价值。然而，创作主旨、意象、文化内涵、人物情感等内容方面的特征，对文学研究而言恰恰是最为重要的。因此，须重点介绍对文学内容开展计量研究的路径与方法。

此类研究大致有以下几个步骤：1）确定研究问题；2）从语料库（公共语料库；自建语料库）采集数据；3）对数据进行统计分析并得出结论；4）以数据统计分析结论为线索，结合文学文本做深入阐释。

第一个步骤，确定研究问题。这看起来不言自明，任何一种研究都始于问题。但基于数据的研究更须强调研究问题的重要性。鉴于数据有可为与不可为之处，研究者须了解数据统计分析的应用范围。

一般而言，创作特征在语言上有较为明显体现的问题是计量研究的首选。因为语言的多种特征较易标注，而且可以量化。比如未来派诗人致力于艺术实验，试图用诗歌来表现社会，构划未来。为了达到这个目的，他们在创作中大胆对诗歌语言开展实验，以表达某些“基本概念”。视觉诗是其中非常典型的示例，为了表达视觉形象，诗人尝试采用与此相匹配的语言形式。正因如此，未来派诗人卡缅斯基的视觉诗《与母牛跳探戈》是文学计量研究的理想对象。研究者通过数据统计分析，发现了诗人在词类分布、句法结构及语义搭配上的诸多特征，进而揭示出诗人以词语完成立体未来主义构图，践行其“诗画同行”理念的诗学特征。<sup>1</sup> 美国语言诗派的重要代表，查尔斯·伯恩斯坦的诗歌也非常适合计量研究。此外，文学作品中与人物的情感有关的问题也可以做计量研究，因为人类情感不仅有质性的区别，还有程度上的不同。通过对某些情感词进行统计分析，可以研究作品主人公的性格、行为、道德等问题。

第二个步骤是从语料库采集数据。这个步骤涉及两个问题，其一是语料库，其二是采集哪些数据。

语料库是文学计量研究的重要基础。语料库越完善，研究就可以越深入。但语料库的建设需要相关学科研究者与技术人员的合力，要有足够的财力且不说，而且耗时费力还不一定讨好。文学文本语料库的构建非常复杂。在书籍的电子版越来越多、各种软件功能越来越强大的今天，文本数据的倒入可以轻而易举地完成，但仅能搜索到文本的语料库无法用于内容研究。内容研究需要的语料库，需要有语言方面如词法、句法、语义等信息标注。此外，

1 参见 王永、李昊天：“俄语视觉诗的计量特征——以卡缅斯基诗集《与母牛跳探戈》为中心”，《外国文学研究》5 (2015): 48-58。

数据统计分析的准确度和深度,取决于语料库信息标注的准确度和丰富度。目前互联网上开放的各种语料库,大多从上世纪90年代开始建设,并且在向公众开放后仍在不断更新迭代。信息较为完善的语料库背后,都有强大的技术团队和众多语言学各分支学科专家的支持。仅有技术,自动标注的数据错误率非常高,需要相关学科的研究专家在对错误进行分析后告知原因,再由技术人员重新修改代码,如此反复无数次之后,再由人工最后校对完成。因此,只有两股力量通力合作,才能构建出能够为语言研究者及文学研究者使用的语料库。在我们自己尚未掌握技术手段之前,可以先借助现有的语料库,挖掘可以挖掘的数据开展相关研究,视需要再自建小型语料库。

与中国古典文学研究界不同的是,外国文学研究具有相对便利的条件。因为国外尚无较好的中国古典文学数据库,所以只能自己建设。外国文学研究则不同,几种主要语言的国家都已建成强大的语料库。比如英国的杨百翰大学语料库(BYU)(<https://corpus.byu.edu/>),英国国家语料库(BNC)(<http://www.natcorp.ox.ac.uk/>; <https://corpus.byu.edu/bnc/>);美国国家语料库(ANC)(<http://www.anc.org/>);俄罗斯国家语料库(ruscorpora.ru)等,都包含了文学作品库。

用于文学文本内容计量研究的数据采集,须从研究目标出发。这个过程需要研究者基于自己的知识储备做出大致判断,做出某种假设<sup>1</sup>,再利用功能较为完善的数据库,获取高频词、词类、句法、语义等方面的相关数据。比如作家研究,可以先选定作为研究对象的作家,即能得到该作家的所有文本;之后,通过输入相关条件,就能得到各种所需的数据。前文提到的诗人卡姆斯基视觉诗的计量特征研究,假设视觉诗在词类分布和句法构成上均有体现。因此,主要采集词类及句法数据<sup>2</sup>。数据提取路径为:进入语料库的诗歌子库;选定诗人卡姆斯基,获得所有文本及其总词数;在“语法特征”框内依次输入名词、形容词、动词等词类为统计条件,获得各个词类的词数;对所有采集的数据进行人工校对,修改错误的数据。而“曼德尔施塔姆诗集《石头》的‘世界文化’网络”研究,先期推测是:曼氏诗作中“世界文化”的构成在很大程度上可以通过对人名地名的分析得出。因此,主要提取这两个语义类别的词语,从诗歌子库中采集曼德尔施塔姆作品中带有“人名(t:hum)”“地名(t:topon)”语义标注的词语,并对获取的词语参照纸质版进行人工校对。

当然,从公众语料库中采集的数据通常不足以完成任何计量研究的既定目标。大多数都需要自建语料库,即在电子文本的基础上,利用文本分析工具采集相关数据,或者人工对所需统计的特征进行标注,再得出数据。比如要对作品的人物做情感分析,须编制情感词表。虽然社科领域的情感分析为

1 这种假设有可能通过研究被证实,也可能被推翻。其实这也是数据统计分析具有挑战的地方。研究可能成功,也可能失败。但这次的失败可以成为下一次成功的基础。

2 因语料库中没有句法标注,该数据经人工标注后再统计。

文学作品的情感分析提供了一定的参照,但其情感分析的指标类别较为简单。绝大部分仅分为积极(正面/肯定)评价、消极(负面/否定)评价及中性(无明显评价特征)三大类。而文学作品的人物情感非常丰富,仅“爱”就有“喜”“恋”“怜”“好(hào)”“中意”“爱慕”“迷恋”“稀罕”等近义词,以及“如胶似漆”“心心相印”“情意绵绵”“一见钟情”等词语。因此,要做相关研究,须先设定若干指标,根据词典列出同义词、近义词、相同意象词表,再借助计算机辅助的文本分析软件,测量情感词表中单词在样本文本中的词频,进而做出情感计算分析。

第三个步骤,对数据进行统计分析,得出分析结果。

数据提取后,要对其进行统计分析。这是文学计量研究中最重要,但难度较大的步骤。不少研究者面对获取的数据,看不出任何端倪,不知数据背后隐藏着什么文学密码。解码的过程既需要研究者对研究对象非常熟悉,对文学文本有较深的理解,更需要有较为广博的知识。如果说在大数据分析条件下,词频分布是首要的统计参数,那么对于文学内容研究而言,词频退居次要位置,词语的语义分类更为重要。没有一定的知识积累,就无法对数据做出较为客观准确的分类,也就无法进一步做出数据分析。

以前文提到的“曼德尔施塔姆诗集《石头》的‘世界文化’网络”研究为例,数据采集完成后,人名和地名根据不同分类原则进行分类。人名涉及的因素较多,根据“世界文化”构成这一研究目标,以欧洲文化史、人物性质、文学艺术流派、人物所在国别为分类原则,将所有人名逐一分类;地名主要按地理行政区划来分。结合词频统计做出分析。最后,基于以上数据分析,得出结论:1)《石头》体现出阿克梅派的特征——“对世界文化的眷恋”。诗人笔下的“世界文化”网络,是一个上至古希腊罗马,下至诗人所处时代,以欧洲为中心,辐射到美洲、亚洲和非洲的时空域;2)在诗人的“世界文化”网络中,古希腊罗马文化占有独特地位,其中罗马构成了“世界文化”的核心;3)在“世界文化”网络中,文学艺术构成其最为重要的载体。这个结论构成了后续文本阐释(即第四个步骤)的基础,使得该研究最终得以揭示出曼德尔施塔姆诗歌创作中“世界文化”网络的特征,且所提出的观点和阐释都具有较高的科学性和精密性。<sup>1</sup>

第四个步骤是定性研究,文学研究者非常熟悉,在此不再赘述。

## 结语

综上所述,计量研究适用于诗歌、小说、戏剧等各种文学体裁,可以从外部研究、形式研究及内容研究等诸多层面进行数据统计分析。一方面,无论在哪个层面,数据都可以为文学研究提供科学的基础和准确的数据,带来

1 参见 王永:“曼德尔施塔姆诗集《石头》的‘世界文化’网络”,《文学跨学科研究》4(2017): 120-131。

定性研究可能无法获得的新发现,使文学研究具有精确性;另一方面,计算机技术也有其局限性,自动统计分析更多地适用于处理共性元素,在大数据分析基础上找寻文学创作的某些规律。然而,个性化永远是文学艺术创作的追求,也是研究者深入探讨的问题所在。因此,文学的计量研究不仅需要继续开展外部研究及文本的形式研究,更需要转向文本的内容研究。除了文本的文化内涵及语言特征,还可以通过情感分析对文学作品的爱情、婚姻、家庭以及道德伦理等问题进行计量研究。

当然,运用计量方法研究文本内容,是定性研究与定量研究的有机结合。这种研究需要研究者不仅具有传统研究所必备的文学知识、思维能力及问题意识,还要具备一定的数据库运用能力。但数据只是起点,而非终点。只有结合文学作品做深入阐释,数据的统计分析才能为文学研究带来既有深度又有精度的高质量成果。

外国文学研究有着深厚的学术传统,且不断推陈出新。在大数据时代,我们有理由相信,文学的计量研究,将使外国文学研究如虎添翼,在传统研究的深厚之上添加准确性、全面性、动态化的特质。那时,“定量研究与定性研究的联袂”,定能使“文学研究结出丰硕的成果”(王永 李昊天 刘海涛 95)。

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# 《垂死的肉身》中的记忆书写、空间表征与身份建构

## Memory Writing, Spatial Representation and Identity Construction in *The Dying Animal*

刘兮颖 (Liu Xiying)

**内容摘要：**美国杰出犹太作家菲利普·罗斯在其代表作《垂死的肉身》中以记忆书写的方式展现了大学教授大卫·凯普什关于学生情人康秀拉·卡斯底洛的视觉记忆、身体记忆以及儿子肯尼的个体记忆。不同的记忆建构了大卫的教师、情人、父亲等多重伦理身份，而他们之间伦理关系的变迁以及伦理秩序的更改都是在不同空间中铸就 and 完成的。同一空间对于个体而言具有截然不同的意义和价值，不仅展示了个体记忆的不一致性，同时构建了不一样的身份。公寓对大卫与康秀拉而言是私人空间，他们的伦理关系也随之由显性的师生关系转变为隐蔽的情人关系。与此同时，公寓对大卫与肯尼而言是家宅空间，他们之间的父子关系和个体记忆在此得以延续和发展。

**关键词：**《垂死的肉身》；记忆书写；空间表征；身份建构；文学伦理学批评

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**Title:** Memory Writing, Spatial Representation and Identity Construction in *The Dying Animal*

**Abstract:** Philip Roth, an outstanding American Jewish writer, presents David Kepesh's visual memory as well as physical memory about his student lover Consuela Castillo and individual memory about his son Kenny in his masterpiece *The Dying Animal*. Different memories construct David's multiple ethical identities as a teacher, a lover and a father. The changes of ethical relationship and ethical order among them are created and completed in different spaces. With the formation of memory in different spaces, the ethical identities of David and Consuela have changed accordingly, and the ethical relationship has changed from the explicit teacher and student relationship to a hidden lover relationship. Meanwhile, the father and son relationship between David and Kenny and the individual memory

continue and develop in the family space.

**Keywords:** *The Dying Animal*; memory writing; spatial representation; identity construction; Ethical Literary Criticism

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美国杰出犹太作家菲利普·罗斯 (Philip Roth, 1933-2018) 一生著述颇丰, 曾荣膺美国国家图书奖、普利策奖、布克奖等诸多奖项。他的代表作《垂死的肉身》(*The Dying Animal*, 2001) 以记忆书写的方式展现了大学教授大卫·凯普什关于学生情人康秀拉·卡斯底洛的视觉记忆、身体记忆以及儿子肯尼的个体记忆, 不同的记忆确认了大卫的教师、情人、父亲、好友等多重伦理身份, “在文学文本中, 所有伦理问题的产生往往都同伦理身份相关” (聂珍钊 263)。“正是伦理选择赋予人理性与伦理意识, 使之最终转变为真正的具有伦理意识的人” (Nie 386)<sup>1</sup>。身份是伦理选择的结果, “在具体的选择中, 由于选择的伦理性质的不同, 其选择过程和选择结果亦不同” (聂珍钊 267), 而记忆把身份保存下来, 使之成为身份存在。他们之间伦理关系的变迁以及伦理秩序的更改都是在不同的空间中铸就和完成的。

《垂死的肉身》中大卫对于康秀拉的记忆贯穿始终, 经由公共空间到私人空间的转换, 建构起各自不同的伦理身份。在大卫由视觉到触觉的记忆感知中康秀拉的身体经历了由遮蔽到敞开的过程, 前者对应着公共空间——教室、办公室以及剧院, 而后者对应着私人空间——公寓。与此同时, 记忆在不同的空间中形成, 他们的伦理身份也相应地发生变化, 伦理关系也随之由显性的师生关系转变为隐蔽的情人关系。另一方面, 大卫与肯尼之间的父子关系和个体记忆在家宅空间中得以延续。公寓这一处所对于不同类型的伦理关系来说有着各自非同一般的象征意义, 如果说它对于大卫和康秀拉而言是私人空间, 他们所有的亲密关系都在此完成, 那么对父亲大卫和儿子肯尼来说, 这是他们渴望而不可求的家宅空间, 紧张而富有张力的父子关系在此延伸并得到相当程度的缓和。应该指出的是, 大卫与他人之间复杂的伦理关系及情感记忆在不同的空间中铸就, 记忆附着于空间之中, 赋予其不一样的意义, 与此同时, 空间也铸造了伦理关系并镌刻个体记忆、集体记忆乃至历史记忆, “空间在千万个小洞里保存着压缩的时间。这就是空间的意义” (巴什拉 8)。时间之流与空间之维相融合, “回忆形象需要一个特定的空间使其被物质化, 需要一个特定的时间使其被现时化, 所以回忆形象在空间和时间上总是具体

1 凡未特殊注明, 均出自笔者拙译。

的”（阿斯曼 31），人的记忆正显现于其间。小说反映了大卫在公共空间、私人空间以及家宅空间中经由不同的记忆建构伦理身份与伦理关系的过程，以及对于性爱、衰老、父子关系和死亡等诸多问题的深刻思考和感悟。

### 一、公共空间中的视觉记忆：显性的师生关系

大卫的视觉记忆在公共空间中形成，与康秀拉的身体有关。小说中依次展示的公共空间包括教室、办公室以及剧院。大卫与康秀拉在教室——作用于教学的公共空间中初识和交流，并形成了显性的师生关系。公共空间中康秀拉的身体是被遮蔽的，大卫的个体记忆也是秘而不宣的。在所有的感官中，视觉的地位尤为突出和重要。视觉记忆与公共空间相辅相成、互为制衡。公共空间具有敞开性、非私密性和监督性，身处其中的人们既是观看者，也是被观看者。人们对于公共空间中个体隐私必须得到保护早已达成共识，公共空间对个人身体的展示和裸露存在着一定程度的规训与限制，这正是制约记忆不可或缺的因素，使得大卫最初的个体记忆只能受限于视觉领域。需要指出的是，视觉记忆作为记忆的一种，事实上也属于选择性记忆，这是大卫进行伦理选择的结果。

大卫的视觉记忆淡化了他的教师身份，凸显出他潜在的性意识和兽性因子。他的回忆预示了日后伦理身份转换的必然性，从第一次见到康秀拉开始大卫就根本没有将她视为自己的学生，而是潜在的未来情人。在大卫的回忆中康秀拉的身体被衣物遮挡着，仍然显示出无法抗拒的性魅力。他观察到“她是个丰满的女人。丝质衬衣敞开到第三颗纽扣处，因此你看得出她有一对魅力十足的漂亮乳房。你一眼就能看到乳沟。而你也明白她对此心领神会。你明白，尽管她端庄谨慎、考究时尚——或者正因为如此——她对自身有所认识”（5）<sup>1</sup>。叙述者从大卫的视角聚焦康秀拉的身体并进行了详尽的描绘，从上述引文可以发现，最初他们之间并没有任何语言上的交流。大卫以男人的眼光在审视作为女人的康秀拉的外表，而不是以师长的眼神在关爱学生。作为观看者，他把康秀拉当作了被凝视的客体和对象，由外向内的视觉描写隐藏着男性的主体意识和掌控欲，康秀拉在大卫的凝视中已成为男性主体视觉愉悦的色欲对象。

在教室这一公共空间中大卫与康秀拉是合法且保持安全社交距离的师生，他们展现出公开且恰如其分的伦理关系——老师与学生，即教导者与受教者。大卫传授知识的义务和权力得以在公共空间中实现和强化，相对地，公共空间在给予了大卫权力的同时，也在相当程度上限制了他的特权。大卫对此有着清醒的认知：“在他们完成期末考试拿到成绩之前，我不和他们有任何私人接触，而且我也不再是什么正式的监管人（……）我并不过早地和她们接

1 本文相关引文均出自菲利普·罗斯：《垂死的肉身》，吴其尧译（上海：上海译文出版社，2004年）。以下仅标出页码，不再一一说明。



触，免得给学校里的人落下口实”（7）。由此可见，大卫深谙公共空间中他必须遵循的伦理准则，这与他的知识分子身份密切相关。众所周知，知识分子因话语权在某种程度上具有一定的权威性，正如鲍曼在《立法者与阐释者》（*Legislators and Interpreters* 1987）中指出的那样：“权力需要知识，知识赋予权力以合法性和有效性（两者中有着必然联系）。拥有知识就是拥有权力”（Bauman 48），渊博的学识又进一步巩固了这种特性。鲍曼认为现代知识分子是立法者，“立法者的角色由对权威性话语的建构活动构成（……）他们的知识，与社会秩序的维护和完善有着直接的和决定性的关系”（Bauman 4）。权威的存在意味着师生关系具有天然的不平等性，知识分子的话语权在绝大多数情况下是凌驾于学生之上的。而基于这种不平等性的交往会导致两性关系的失衡，尤其是教师会利用特权区别对待学生情人，从而导致受教育者得不到公正对待。正因为此，师生之间的恋情在美国高校内是被明文禁止的。显而易见的是，作为教授的大卫与学生康秀拉之间存在着伦理禁忌，而这正是由他们的伦理身份决定的。

公共空间的存在制约了大卫的伦理逾矩，限制了性在空间中的自由表达，他只能借助视觉记忆，发挥想象。继教室之后，小说描述了大卫与康秀拉在另一重公共空间——办公室里两次见面的情形。在大卫的回忆中，“按照规定，门对着公共走廊敞开，两人的四肢，对比鲜明的两个躯体必须让路过的每个‘老大哥’看得到”（11-12），敞开的门意味着公开性和边界感，分隔着内与外，向外的公共空间昭示着师生关系的一清二白，肢体语言更能说明问题。而关上的门则意味着封闭与隔绝，营造出私人空间。在大卫的视觉记忆中，记录了康秀拉两次的穿着打扮，特别是有限裸露的肌肤。这是从第三人称有限视角进行叙述，康秀拉成为被观看的客体，作为学生的她仅仅存在于大卫的视觉记忆而非身体记忆中，公共空间限制了大卫的伦理行为，规范了他作为教师的伦理身份，使之止于视觉领域。

在大卫的回忆中，从公共空间过渡到私人空间，他与康秀拉经历了一段身份认同的错位。康秀拉的自我身份认同与他者眼中的身份认同存在不一致性，她认为自己是大卫的情人，以为大卫渴望了解本真的自我，两人之间会有深度的精神交流，然而在他者大卫的眼中，康秀拉只是性伙伴，后来大卫坦诚自己对康秀拉的社会阶层以及个性特征根本不感兴趣。他毫不讳言地表示：“我只想和这个女孩上床”（19）。康秀拉的存在对大卫而言仅仅在于肉身的审美意义和实用价值，能够唤起他的本能欲望。大卫记忆中他们最后一次出现的公共空间是剧院，小说从大卫的视角出发，详述了康秀拉美妙的身体，“雪白的皮肤，你一看到就想舔一下”（20），相较于演出，显然这是唯一给他留下深刻印象的视觉记忆。康秀拉美貌的外表对于大卫而言极具诱惑力，视觉上有着令人无法自拔的强烈的冲击力，它诱发了大卫渴望亲近的占有欲，而并非爱情。

身处公共空间中的大卫，不仅意识到自己受限于教师身份，更囿于公众人物——文化名人的身份。他的形象具有公开性。文化名人意味着大卫不再是传统意义上的学院派知识分子，他已经进入公共话语领域，享有普通知识分子所不具备的名望与声誉，经由学院之外普罗大众的认可与称赞，大卫已重构了自己的身份。作为公共空间中的知识分子，他获得了盛况空前的名誉，然而这一身份也意味着他被全方位地审视与观照，受到公众凝视，他不得不通过自我管理进行自我规训，身处公共空间中的大卫是无法抵御来自外界的道德凝视的。因此，为了避免受到他者的凝视和规训，他提出与康秀拉到私人空间——他的公寓中去进一步交流。

显而易见的是，知识分子大卫并不满足于视觉记忆，他与康秀拉之间的关系不可能停留在公开的师生关系上，“私人空间被认为是安全领域。公共空间则是危险的：公共空间被认为不适合女性”（Anderson, et al. 477），唯有从公共空间过渡到私人空间他们之间才有可能发生更为紧密的关联，从而形成不可磨灭的身体记忆，固化他们之间的情人关系。

## 二、私人空间中的身体记忆：隐秘的情人关系

大卫对于康秀拉身体记忆的不断回顾强化了他的情人身份，弱化了他的教师身份。他在往事中构建了自我身份，也必然囿于私人空间。沉重肉身的生命力转瞬即逝，私人空间也是受限的，裸露的身体必然在私人空间中才能得以充分展示。恰如列斐伏尔指出，“在重现占有空间的同时，重现占有身体，因为身体是空间中无法消除的组成部分”（Lefebvre 166-167）。大卫关于情人康秀拉的身体记忆仅仅存在于私人空间公寓之中，永远无法延展到更为广阔的公共空间中去。

在大卫的回忆中师生之间的伦理禁忌很快被破坏，随着大卫与康秀拉之间的交往由公共空间转移到了私人空间公寓，他们之间的伦理关系也发生着微妙的变化，由显性的师生关系发展成为隐秘的情人关系。公寓作为私人空间见证了大卫记忆中康秀拉的身体由遮蔽到敞开的过程，他们的伦理关系也随之发生改变——从师生到情人。他们之间的情人关系产生于公寓也终结于此。师生关系中康秀拉的身体一直被衣物所掩盖，大卫却透过服饰展开了男人的性幻想，之后当他们转变成情人关系时，康秀拉的身体无所遁形。大卫对于康秀拉的身体记忆不再欲盖弥彰，而是无所顾忌的展示与敞开。他的身体记忆形成于私人空间之中，他们在此肌肤相亲、相互占有。“身体敏感性决定记忆如何在个人情景中形成并起作用”（施密茨 158）。“身体记忆比头脑的记忆更可靠。头脑的记忆在老年时将变得不再牢固，当这一现象如期而至时，身体的记忆却不会失去它的力量”（阿斯曼 280）。所有关于康秀拉的身体记忆都在此产生并镌刻在他的脑海深处。

身体记忆具有私密性和个体性，私人空间意味着密闭性和非公开性，二

者在一定程度上相互契合、互为表征。康秀拉美好的肉身激发了大卫无穷无尽的欲望和想象。“乔治·巴塔耶认为，性爱是对禁忌和限制的基本的侵越。

（……）在不期而遇的性爱之中，不连续和界限被突破了，即使只是暂时的。一个身体进入了另一个身体，突破了它的墙壁，进入了它的身体入口”（Brooks 274）。情欲为现世短暂生活提供了暂时性的超越。“色情是‘对于自始至终通向死亡的生命之肯定’”（qtd. in Brooks 275）。康秀拉年轻美妙的躯体对于日趋衰老的大卫而言既是难以言喻的诱惑，也是勃勃生命力的象征。大卫为之吸引沉溺其中，与其说他膜拜的是康秀拉美妙绝伦的肉体，不如说他渴求的是永不衰竭的生命力。“乔治·巴塔耶断言，每一个体都觉得他或她自己是不连续的，而性欲——试图突破另一个人为自己的身体所设置的孤独的禁闭，从而对之有所了解——表明一种努力，与别人一起领会某种连续的感觉，哪怕只是暂时的”（Brooks 8）。个体可以通过向所爱之人投射与众不同的价值与意义，寻求生命的绵延与死亡的延迟。身为公众人物且拥有强大话语权的大卫日趋衰老，而他显然不甘于此。年老的躯体必将从公众关注的眼光中消失，身体资本不再具有魅力和价值，这是大卫不得不面对的残酷现实。身体的衰微与大卫依然蓬勃的精神相抵触，他渴求康秀拉年轻的肉身并投入性爱关系中正是为了逃避死亡的威胁。对康秀拉的身体记忆成为大卫对抗衰老与死亡的重要利器。“他将性看作是对死亡的报复，将欲望看作道德的对立面”（“The dying animal” 45）。

不仅如此，身体记忆还强化了大卫与康秀拉彼此之间的伦理关系和伦理身份，而这正是在私人空间中形成的。“私人空间里，通常看来最成问题的、最令人感兴趣也最令人痛苦的，就是身体”（Brooks 26）。大卫作为康秀拉的情人，只能在私人空间公寓中交往，身体成为双方最重要且最有效的沟通工具。身体本身是具有私密性的，然而人的情感是流动善变的。小说中，大卫与康秀拉之间伦理关系的建构经由教室转换到公寓，空间的流变带来了伦理身份的变化，由此伦理关系亦发生改变，他们由师生转变成了情人。情人关系藉由身体记忆得以绵延。

在大卫的自传体记忆中，他与康秀拉情人关系的决裂始于对方试图将他们的关系延续到公共空间——泽西城的毕业晚会中之时。对于康秀拉而言，毕业晚会是一场庄严而重大的仪式，意味着她从此脱离学生身份，成为社会人。这是她人生中的重大时刻，见证了她的成长，预示着未来的成熟，具有非同一般的纪念意义。然而，对于大卫来说，他意识到自己只能作为康秀拉的老师出现在毕业晚会上，因为康秀拉的父母、亲朋好友绝对不可能接受已接近暮年的大卫作为男友身份现身，他们之间的年龄如此悬殊、身份地位差异过大，这种有悖传统习俗的不伦关系是根本不会得到主流社会的接纳与祝福的。不仅康秀拉的声名被毁坏，大卫也将遭到质疑，舆论会怀疑他是否利用师生不对等的权力关系以不正当手段对康秀拉实施诱惑和胁迫。而彼时尚且年轻

的康秀拉没有考虑到大卫的担忧，她沉浸在即将到来庆典的愉悦氛围中，完全没有顾及大卫的真实想法。事实上，大卫与康秀拉彼此之间有着心照不宣和不言自明的认知：他们隐秘的情人关系永远无法延展到公寓以外的空间中去。在公共空间中，他们之间的身份将囿于教师和学生，无法逾矩。实质上，热切的情人关系与表面上疏离的师生关系形成了强烈反差和对照，如此荒谬的场景是大卫无法忍受和不愿意面对的。康秀拉伦理诉求的不被满足，导致了两人情人关系彻底地分崩离析，成为了陌路人。

大卫与康秀拉之间的情人关系被认为是逾越伦常与不合理的，在这段不正常的伦理关系中，大卫多重且复杂的伦理身份使其深陷矛盾的伦理困境中。作为大学教授，大卫拥有毋庸置疑的话语权，对于彼时尚是学生的康秀拉而言，他的身份是老师；作为文化名人，大卫是通过电视传媒播撒思想的公众人物、人生导师，他的形象正面公开且积极向上；作为离异男子，大卫是性解放者；作为花甲之年的情人，大卫面临着衰老与死亡的威胁。而“性是证明我们的活力，表明我们仍然年轻、强健、有魅力，表明我们尚未死亡的最简便的途径。它以最高的形式证明我们有凌驾于自然之上的能力。性欲与生育是保证我们的姓氏和基因在我们子女身上代代相传的唯一途径”（梅109）。年过半百，大卫的欲望仍未衰竭，这恰好是旺盛生命力的显现与非凡创造力的保障。而“死亡本能把‘心理’与‘自然’、性欲与自我保存结合在一起”（奥斯本159），大卫不得不面对向死而生的境况，他的自我身份认同感、与康秀拉之间伦理关系的嬗变都面临巨大考验。他们之间存在着颇为悬殊的等级落差，年龄、身份、财富、社会地位给双方带来沉重的精神压力和焦灼感。高级知识分子有着对于知识的绝对掌控权力，而这种不平等的权力关系后来延续到他们的情爱生活中。

大卫与康秀拉之间最大的鸿沟不仅仅在于社会地位和身份落差，更是无穷无尽的岁月以及无法跨越的时间。对于大卫而言，“觉察自己老了和正在变老意味着，在身体和在人们可以称为灵魂的东西中拥有时间”（埃默里29）。然而，作为老年人的他不得不面对的是日渐消逝的时间和逐步缩微的空间，年轻的情人康秀拉展望的却是敞开的时空。38年的差距令他们外表上形同父女，实质却是情人关系。性爱对大卫而言不仅是控制康秀拉的手段，同时也是他战胜衰老和死亡威胁的力量。衰老在现代美国社会中已具有负面的文化价值，成为需要治愈的疾病。强大的性能力正是对抗衰老的明证。小说中还写道：“性不只是肉体的摩擦、浅薄的玩笑。性还是对死亡的报复。别忘了死亡。千万别忘了它。是的，性也受制于死亡的力量”（76）。显而易见的是，大卫与康秀拉的情人关系仅仅且只能存在于私人空间中，康秀拉渴求的身份僭越未能实现，她的伦理逾矩终结了彼此之间的关联。而大卫始终保留着对于康秀拉的身体记忆，在记忆中他继续占有着康秀拉，并试图将这段身体记忆变为永恒，昭示着他曾经拥有的性权利，同时也为其日后的伦



理关怀提供了情感记忆。不得不指出的是,随着情人关系的终结,这段情感记忆也不再美好如初。“它不会试图开放自我,接受未来,从而让人们从根本上尝试着改善,而是固执地停留在过去不能自拔”(汉娜 160)。大卫相当长一段时间陷入困境中无法自持,他对于嘎然而止的情人关系带来的巨大虚空和无名之痛无能为力。尽管眷念着与康秀拉经历过的一切,然而他对于修复彼此之间的亲密关系却束手无策。因为双方都不可能跨越身份、地位与年龄的巨大沟壑。如果说这段情感记忆带给大卫一定程度上的精神创伤的话,那么患病之后康秀拉的复归治愈了他的创伤,他意识到两人的关系已随着时间的流逝和空间的变迁发生了彻底且不可抗拒的改变。

小说详细描述了大卫对于康秀拉的身体经历了从最初的觊觎到后来的占有妒忌再到告别这一历程,他迷恋康秀拉美妙的肉身无法自拔,直至最后得知康秀拉因罹患乳腺癌即将切除乳房时,身体记忆唤醒了大卫对于康秀拉的全部情感——怜悯、疼惜、倾慕、爱恋。身体成为联结他们感情的重要纽带。康秀拉得知自己罹患乳腺癌之后感到惊恐万分,“实际上疾病能够影响所有的生活选择,重新塑造个体的身份。病痛或失能会使人脱离之前的社会角色和社会活动,包括工作社会关系和家庭责任。患有严重疾病或失能的人将成为永久性的病人这是一种重要的状态改变”(Lupton 95)。乳腺癌不仅对康秀拉身体的完整性产生威胁,而且彻底改变了康秀拉的身份——她由健康的成年女性变为癌症患者,这种身份的改变是不可逆转的。癌症在现代社会中等同于死亡,“疾病本身唤起的是一种全然古老的恐惧。任何一种被作为神秘之物加以对待并确实令人大感恐怖的疾病,即使事实上不具有传染性,也会被感到在道德上具有传染性”(桑塔格 7)。患癌令康秀拉产生羞愧感和脆弱感,更削弱了她的自我控制“癌症是一种不体面的疾病,象征着邪恶(Lupton 62)。她仿佛已经在道德上低人一等。有关家族的死亡记忆更是加深了康秀拉的恐惧感、危机感和孤立感,令她深陷紊乱的情绪。

濒临绝境之时,康秀拉选择回归私人空间。当大卫与康秀拉在公寓中重逢时,他意识到康秀拉不再是作为情人或者学生出现,而是一个亟待帮助的朋友和病人。康秀拉表现出对大卫强烈的情感依赖,她需要进行一种告别仪式——大卫与她身体的一部分乳房的告别。大卫不仅触摸了带给他美好回忆的身体,还拍照进行了留念。有研究者指出,“我们之所以能够理解他人、体会他人感受,一定程度上跟我们的身体和他人之间的距离有关(……)当我们和某人或某物在身体上更亲近时,大脑中更加原始的情感区域就被激活了,可以推测这种变化能够帮助我们更好地理解其他人的感受”(贝洛克 279)。身体记忆激发了大卫全部的怜悯与同情,他意识到自己将面临与康秀拉生死相隔记忆尽失的决裂。表面上他触摸的是康秀拉即将垂死的肉身,实际上拥抱的是死亡本身。

综上,大卫的视觉记忆与身体记忆分别在公共空间与私人空间中形成,

而“记忆已成为我们时代的重要问题，因为它与身份形成密切相关”（Ndi and Fishkin 138）。视觉记忆限制了大卫与康秀拉之间的师生关系，而身体记忆却强化了他们的情人关系。

### 三、家宅空间中的个体记忆：重构的父子关系

如果说情人关系带给大卫的是刻骨铭心的身体记忆的话，那么大卫与肯尼的父子关系则给予了彼此完全不同的个体记忆。个体记忆通常是以碎片化的方式存在，并不构成完整的回忆，它在社会生活中形成并发挥作用，能够跨越世代进行代际之间的传递，并深刻影响到个体的选择及其命运走向。需要指出的是，无论是情人关系还是父子关系都是在公寓这一处所中建构和完成的。从小说中关于记忆的书写可以看出，大卫与肯尼对于彼此之间的父子关系和情感联系有着截然不同的个体记忆。这意味着个体记忆本身是个人化与私密性的，同时具有强烈的情感色彩。他们共同的记忆在大卫的公寓——属于父子俩的家宅空间中铸就 and 完成，也正是在这里，大卫开始重新审视作为父亲的自己和作为儿子的肯尼，而他们对于各自的身份和困境有了全新的认知和了解。身为父亲的大卫由最初的缺席到最终重释了父性权威，肯尼则经历了叛父到寻父的心理历程，他们的父子关系发生了实质性的改变。

大卫与肯尼在彼此的个体记忆中是完全不同的人。在肯尼的记忆中，父亲大卫自私自利放浪形骸，毫无责任心。在大卫的记忆中，儿子肯尼已经成长为与自己完全不同的男人，有着高度的家庭责任感，坚定自信严谨自律克己守礼。他不顾自己的反对，娶了未婚先孕的女孩为妻，承担起丈夫和父亲的责任。事实上，他们一起生活的时间非常短暂，属于彼此共同的家庭记忆也是微乎其微的。儿子肯尼从小在离异单亲家庭中长大，父亲于他而言是缺席的存在。记忆的缺失使得少年肯尼在相当长的时间之内对父亲的情感淡漠疏离甚至反感，他并不认同大卫作为父亲的身份。然而冷淡的情感随着儿子年龄的增长发生了微妙而复杂的变化。青年肯尼反叛甚至厌恶父亲，否认他的一切作为和劝导，更拒绝父性权威的指引。当步入中年的肯尼遭遇到精神危机时，他开始向父亲大卫求助。有心理学家指出，人们“和伴侣的关系是建立在和父母的早期经历基础之上的。每一个时代和每一个社会形态都有其独特的问题，母爱也是一样，被打上了时代和社会形态的烙印很明显，因为理想的父母和理想的教育并不存在”（弗洛伊德 63）。肯尼与妻子看似完美的婚姻生活遭遇到与父母一样的伦理困境，他力求缔结美好婚姻的愿望在人性深渊的凝视中土崩瓦解。

人到中年的肯尼在精神上开始与父亲和解，他意识到不应苛责父亲。作为父亲，肯尼出于对自己童年生活中父爱缺失的补偿心理，尽职尽责地为子女付出一切；作为丈夫，他却与父亲一样有了婚外情人，成为婚姻中的背叛者；作为儿子，面临中年危机的他渴求得到父亲的指引和关照。小说中，肯尼不

断打电话给大卫，到父亲的单身公寓里与其聊天，试图摆脱困扰。多年后父子在公寓中重聚并缔造了属于他俩的家宅空间，家宅空间事实上隶属于私人空间，“这些私人空间有助于实现一些新的价值观念，它们注重个体，注重与家庭、朋友以及自我之间的单独交流所需要的亲密”（Brooks 28）。大卫与肯尼在此得以重新审视彼此之间僵化已久的关系，并感受到相互之间的关怀和爱意。

在父子二人共同建构的家宅空间中，大卫通过回忆越来越清醒地认识到彼此的伦理身份和伦理困境。小说中提到，肯尼是忒勒马克斯。显然在父亲大卫眼中肯尼如同忒勒马克斯一般是迷惘而困惑的儿子。在开创西方叙事文学源头的荷马史诗中忒勒马克斯出门寻父，渴望找回并重塑父性权威。与此同时，奥德修斯重新获得的不仅仅是伊萨卡岛国的王位，更是父亲这一不可或缺的身份，为此他宁可放弃永生的机会。肯尼与荷马史诗中的忒勒马克斯一样，两人颇多共同之处：其一，在他们的成长过程中都缺乏父性权威的指引，年幼之时即缺失了父爱，由母亲抚养长大；其二，作为儿子，两人都有着主动寻父之旅，只不过肯尼的寻找更多体现在精神上，而忒勒马克斯的寻找体现在遥远的路途中，并克服了重重障碍；其三，肯尼和忒勒马克斯最终都找回了父亲。他们之间最大的区别在于：肯尼与父亲大卫在公寓中建构了家宅空间，重塑了父子关系；而忒勒马克斯在父亲奥德修斯的回归中一起构建了权力空间，宫殿之于他们父子的意义与其说是家宅不如说是权力倾轧的中心。

然而，与此相对照，大卫绝非荷马史诗中历经磨难最终返回故乡的奥德修斯，更不是乔伊斯在《尤利西斯》中塑造的“反英雄”布鲁姆，而是“卡拉马佐夫式的父亲”（85）。《垂死的肉身》中数次提到这一比喻。作家罗斯在这里运用了一个文学典故，俄国作家陀思妥耶夫斯基笔下的卡拉马佐夫是荒淫邪恶的老父亲，代表着腐化堕落的父性权威。卡拉马佐夫与大卫本人之间的确有共同点：第一，他们都是好色的老父亲；第二，他们都有儿子，血缘父子关系中儿子厌弃憎恨自己的父亲；第三，行将就木之年，父亲们还有着旺盛而邪恶的情欲，拥有年轻漂亮的情人。他们的区别在于肯尼并没有明显的弑父意图，至少在作品中未提及，也没有与父亲争夺情人，破坏伦理禁忌。大卫以“卡拉马佐夫式的父亲”自喻，颇富黑色幽默的色彩和夸张反讽的意味，由此可见作为知识分子，他对于自我身份有着不同寻常的清醒观照和自省意识。

在更深层次的意义，大卫与肯尼之间的关系是西方文学中“父与子”母题的再现，而寻父有着更加复杂深刻的文化精神意蕴和价值取向。远古时代的奥德修斯作为英雄父亲，在权力空间的争夺战中赢得了全面胜利，对于儿子忒勒马克斯有着毋庸置疑的引导和启迪的作用，而 21 世纪美国父亲大卫却只能蜷缩于公寓之中，以自嘲的方式倾听儿子肯尼的烦恼，无法给予任

何实质性帮助。从权力空间过渡到家宅空间，从无所不能的英雄父亲到无能为力日趋衰老的父亲，反映出父性权威的衰微与没落，时代的遽变带来伦理身份、个体记忆和空间的变化，由此也影响到父亲身份、地位和权力的巩固，血缘父子遭受到严峻的考验与淬炼，更平添荒诞感。肯尼在从儿子到父亲伦理身份的转换过程中，经历了厌弃父亲—寻找父亲—模仿父亲的历程，他复制了父亲不羁浪荡的人生，变成自己最鄙视的模样，仿佛成为大卫的替身——背信弃义的出轨丈夫，然而肯尼也在相当程度上达成了与父亲的和解，父子关系发生令人惊异的改变，似乎成为荒诞人生的注解。

在父子俩共同营造的家宅空间中，大卫深刻反省自己作为缺席的父亲曾给予肯尼的伤害，他的自我解剖是入木三分的，在某种程度上解构了自古希腊以来极富英雄主义色彩的父性权威，展示了父亲这一伦理身份之下人性的卑微脆弱与渺小彷徨。肯尼对父亲鞭辟入里的批判一方面显示出作为个体的独立性和思辨性，而另一方面作为儿子他对大卫情感上的眷恋与信任更展示了人性本身的复杂多变。父子之间展现出来的与其说是亲情的复归，不如说彼此的厌弃与审判加强了深刻的羁绊，远胜血脉情深。正如社会学家米尔斯指出的那样：“即使是在家庭这样的神圣小群体里，‘共同价值’的一体性也绝不是不可或缺的：不信任和憎恨倒可能恰恰是维系一个彼此关爱的家庭所需要的东西”（Mills 40）。父与子面临的是相同的伦理困境，大卫选择放弃丈夫的身份，仍以悲悯之心关照儿子的精神危机。肯尼则在丈夫、婚外情人与父亲三重身份之间寻求平衡时产生了伦理焦虑，他对于父亲离弃与缺席的审判实际上映射了自身的恐惧与愤怒，对于父亲伦理缺位的指责也是对自己未来有可能面对相同境遇时的情感投射。

菲利普·罗斯在小说《垂死的肉身》中以记忆书写的方式中展示了三重空间：公共空间、私人空间与家宅空间，个体的记忆在不同的空间中产生，形塑并铸造了人物彼此之间的错综复杂的伦理关系与伦理身份。空间、记忆与身份这三者之间相互印证，形成互相构建的关联。当大卫的视觉记忆受限于公共空间时，与康秀拉之间形成了显性的师生关系，而随着公共空间转移至至私人空间公寓，他们的伦理关系由师生变成了隐秘的情人，大卫的身体记忆则固化了这一伦理身份。不同个体对于同一空间的有着截然不同的体悟与感受，如果说公寓对于大卫与康秀拉而言是私人空间的话，那么对于大卫与肯尼来说是家宅空间的重构。大卫与肯尼之间的淡漠疏离的血缘父子关系在个体记忆中已铸成，而公寓给予了他们重新审视彼此身份的空间，共同的记忆在此绵延，最终形成了父与子之间坚不可摧的纽带。



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# 作为对话的反讽

## A Dialogic Account of Irony

赵旻燕 (Zhao Minyan) 黄华新 (Huang Huaxin)

**内容摘要:** 反讽的多样性使其很难用统一的理论框架来解释。本文探讨了反讽的对话性本质,并提出一个基于对话的理论框架。对话是反讽存在的前提,反讽是自我声音与他者声音评价性对立的“双声语”。一些棘手的非典型言语反讽在此框架下可以得到解释,对话性也是理解语言层面之外的复杂多样的反讽现象的关键。

**关键词:** 反讽; 对话性; 双声语; 评价性对立

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**Title:** A Dialogic Account of Irony

**Abstract:** The diversity of irony contributes to the difficulty in a theoretically unified explanation to it. This paper discusses the dialogic nature of irony: dialogism is the premise of the existence of irony, and irony is essentially a double-voiced utterance with opposite evaluation in the voice of the SELF and the OTHER. A theoretical framework based on dialogism is put forward, with which difficult atypical verbal ironies can be analyzed, and diversified ironic phenomena beyond language can be explained uniformly as well.

**Keywords:** irony; dialogism; double-voiced utterance; evaluative contrast

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### 一、反讽溯源

反讽 (irony) 源于古希腊的“eironeia”, 是“最令人头痛的概念之一”(赵

毅衡 178), “反讽的本质似乎就是逃避界定; 没有哪个定义可以涵盖它的所有属性”(Cuddon 338)<sup>1</sup>。米克也曾开玩笑说, “如果有谁觉得自己产生了一份雅兴, 要让人思路混乱、语无伦次, 那么, 最好的办法莫过于请他当场为‘反讽’做个界定”(11)。

反讽概念令人头痛, 原因之一在于它在历史长河中不断发展, 其内涵和外延都在演变。修辞学、语言学、哲学、文学等不同学科领域都对反讽有所关注: 古典修辞学将反讽视为一种修辞技巧和策略; 而现代诗学, 从德国浪漫主义文论到英美新批评, 逐渐将反讽发展成为一种文学审美化地关照与表现生活的艺术手段、哲学态度甚至创新与结构原则<sup>2</sup>: 反讽是文学创作的基本图式和内在结构, 也是自我在世界的存在方式和看待世界的哲学态度。随着语言学的发展, 反讽的语言特征受到关注, 其生成和理解机制更是现代语言学, 尤其是语用学研究的重点。各领域之间互相借鉴, 反讽概念更显得盘根错节, 难以厘清。

此外, 反讽现象的纷繁多变, 是反讽难以界定的另一个原因。反讽涵盖了各种性质迥异的现象: “戏剧反讽”、“命运反讽”、“自我反讽”、“态度反讽”、“总体反讽”、“世界反讽”(……)但是这些反讽现象的分类“不少重复和交叠(……)加重了笼罩着它的迷雾”(米克 17)。学界普遍承认的最基本的分类是将反讽分为言语反讽和情境反讽, 各种反讽现象可以作为其亚类。从研究范围讲, 相较其他领域的研究, 反讽的语言学研究集中于言语反讽, 但是即便如此, 言语反讽中也还是有许多非典型的棘手的案例没有得到解释。

反讽概念难以界定, 反讽现象又如此复杂多变, 但是抛开这些, 在特定语境中, 人们总是能够自然而然地辨识出反讽, 感受到它的魅力, 可见在纷乱的反讽现象背后必定有某些统一的核心要素, 使得人们可以顺理成章地给各种现象冠以“反讽”之名。有不少学者, 如米克、巴比等人就通过分析其要素来避开直接给反讽下定义这一“不可能完成的任务”<sup>3</sup>, 而反讽语言研究的三大主要路径——经典理论、回声论、假装论更是基于反讽的三个要素发展起来的。

## 二、语言层面的反讽研究

反讽语言研究的经典理论基于标准定义的路径<sup>4</sup>, 认为言语反讽是一种基于意义反转、逻辑否定的特殊的语言形式, 其语句陈述了一种意义, 而意

1 凡未特殊注明, 引文均出自笔者译。

2 参见 余向军: “论反讽叙事对读者的召唤”, 《中国文献研究》4 (2004): 31。

3 参见 米克: 《论反讽》, 周发祥译 (北京: 昆仑出版社, 1992 年) 37。

Katharina Barbe, *Irony in Context* (Amsterdam: Benjamins, 1995) 9.

4 See Paul Grice, “Logic and Conversation.” *Syntax and Semantics, Speech Acts*, Peter Cole and Jerry L. Morgan eds. (New York: Academic Press, 1975) 41-58.

图表达的通常是对立的或矛盾的意义。例如，下大雨的时候说：

(1) 真是好天气。

在反讽标准定义看来，(1) 与事实相反，表达的是话语命题意义相反的意义：天气真糟糕。循着标准定义或者经典理论，又发展出了间接否定<sup>1</sup>、语义逆转<sup>2</sup>、评价反转<sup>3</sup>等理论。但是，这种标准定义并不适用于所有反讽话语。威尔森和斯帕博提出了一个经典的反例<sup>4</sup>。想象一下 A 邀请朋友 B 五月份去托斯卡纳，因为在他看来五月的托斯卡纳总是艳阳高照。但是刚到就下起大雨，B 说：

(2) Oh, Tuscany in May!

显然(2)中反讽义并非与字面义相反，于是产生了第二种关联理论框架下反讽的回声论(echoic theory)研究。回声论认为言语反讽是对归属于某个人或某群人的思想或话语表征的回应，但说话者并不附和此话语或思想，而是与之保持距离，从而表达反讽态度。(2)中B的话回应了A先前的想法“五月托斯卡纳总是天气很好”，但很显然B并不赞同，通过回应A的观点，B实际上在嘲讽A。同样，回声论也只能解释一部分反讽现象，并非所有反讽都是回声性的，如(1)中很难找到回声来源。

克拉克和葛瑞格提出的第三种路径——假装论认为，反讽就是“假装一个蠢笨的人对一个不明就里的人说话”(Clark and Gerrig 121)。例如，评价一个专坑朋友的人：

(3) 他可真是个好朋友!

此例中，反讽发话者假装成为一个蒙昧无知看不清朋友的人，对一个假装的不了解情况的听者说话，识别出假装对理解说话者的反讽态度至关重要。

1 See Rachel Giora, Ofer Fein and Schwartz Tamir, "Irony: Graded Salience and Indirect Negation." *Metaphor and Symbol* 13 (1998): 83-101.

2 See Ken-ichi Seto, "On Non-echoic Irony." *Relevance Theory: Applications and Implications*, Robyn Carston and Seiji Uchida eds (Amsterdam: John Benjamins, 1998) 239-255.

3 See Alan Partington, "Irony and the Reversal of Evaluation." *Journal of Pragmatics* 39 (2007): 1547-1569; Marta Dynel, "The Irony of Irony: Irony Based on Truthfulness." *Corpus Pragmatics* 1 (2017): 3-36.

4 See Deirdre Wilson and Dan Sperber, "On Verbal Irony." *Lingua* 87 (1992): 53-76.

还有一些理论,如暗示假装理论<sup>1</sup>或相关不恰当理论<sup>2</sup>等,改进了前三种理论,但并未解决这些理论解释力不足的根本性问题<sup>3</sup>。

总结前人研究成果,这些理论是有一定道理的,它们至少体现了反讽的一些基本要素,例如否定和对立、回声性、假装等。当然,对它们的批评也不无理由,因为这些理论各自只解释了一部分反讽现象,有时候理论之间还显得互相矛盾,似乎针对的不是同一个对象,如果再加上言语反讽之外的其他反讽,这些理论就更加捉襟见肘了。可见,面对反讽这样复杂多变的现象,相应的理论需要有更大的解释力,也需要跨越语言层面来探讨反讽。巴赫金的对话理论有望提供解答:在各种反讽现象共同核心要素的基础上,给出一个相对统一的理论框架,并且能够超越语言层面对情景中的反讽和叙事层面的反讽作一些探讨。

之所以选择对话理论,首先是因为反讽跟对话涉及共同的范畴:巴赫金的对话不仅涉及语言层面,还超越了语言层面:如果把文学作品看成是对话的媒介,那么对话可以发生在文本叙事层面的作者、叙述者、人物、读者之间;如果像巴赫金一样把对话看成存在的方式,自我必将依赖于对话而存在,自我声音必然渗透着他者的声音,那么对于同一情景很容易就会形成两种对立的视镜。而反讽现象就像前面提到的,既有语言层面的言语反讽,也有叙事层面的反讽,还有涉及存在论的反讽。其次,对话与反讽有着天然的契合:对话是自我与他者之间的对话性对立:生活中一切全是对话,也就是对话性的对立<sup>4</sup>,对话性对立极易构成叙事主体声音之间的对立和意义的曲折,从而呈现出叙事的反讽意味;对话所带来的双重视角也极易将两种对立的时空或情景并置,而产生情景反讽;讽拟体双声语更是现成的反讽类型。最后,对话理论也符合当前的研究目的,希望通过对话理论,可以跨越纯粹的语言层面,在更多层面上对纷繁复杂的反讽现象做出统一的解释。

### 三、反讽的对话性本质

巴赫金作为上世纪最杰出的思想家之一,他的对话理论体系对哲学、文艺学、语言学、心理学等影响广泛而深远。巴赫金的对话超越了狭义的言语交谈,他从言语交谈中抽象出对话关系和对话性,作为其对话理论的一个核心概念。在巴赫金看来,话语不仅具有外部的对话性——处在与他者的对话

1 See Sachi Kumon-Nakamura, S. Glucksberg and M. Brown, "How about Another Piece of Pie: The Allusional Pretense Theory of Discourse Irony." *Journal of Experimental Psychology: General* 124 (1995): 3-21.

2 See Salvatore Attardo, "Irony as Relevant Inappropriateness." *Journal of Pragmatics* 6 (2000): 793-826.

3 参见 刘正光:“反语理论综述”,《解放军外国语学院学报》4(2000):16-20。

4 参见 辛斌:“巴赫金论语用:言语、对话、语境”,《外语研究》4(2002):8;王一川:《语言乌托邦》(昆明:云南人民出版社,1994年)。



互动之中,也具有内在的对话性,即话语内部存在两个以上相互作用的声音,它们形成同意和反对、肯定和补充、问和答等关系,是具有同等价值的意识之间相互作用的特殊形式。<sup>1</sup>

巴赫金认为,对话是社会交往的基本方式,对话概念离不开话语主体,他强调话语主体之间交互的重要性。<sup>2</sup>“天气真好”和“天气真糟糕”这两个命题,如果离开话语主体,就只是没有灵魂的语言材料,它们形成逻辑否定关系,但两者之间不存在对话关系。只有当它们出自两个主体,代表各自的评价,才真正进入对话。话语主体的观点、立场、评价、态度等,被称为声音(voice),代表着主体在某一话语中的存在。<sup>3</sup>对话结构反映了话语主体各自立场确立和协商的过程,意义在此过程中产生。

反讽的对话性首先体现在反讽的存在离不开对话所处的语境,并且反讽必须以推测对话者心理状态为前提;其次,言语反讽话语内部呈现出双声语的对话结构;最后,反讽提供了自我与他者两种声音并存的空间,打破了传统修辞学“言在此而意在彼”的独白性质,但是不同于其他双声语的是,反讽中他者声音与自我声音呈评价性对立关系。

#### (一) 对话:反讽存在的前提

反讽的对话性意味着话语主体的开放性和主动性,自我的立场、观点和思想意识对他者开放,主动积极地参与对话,主动回应他者的声音,并且善于引起他者对自我声音的回应。如巴赫金所言“说者力图在他者理解视野中确定其话语方位,并进入与这个视野的各种因素对话的关系。说者打入听者的他人视野,在他人的领土上,在听者的统觉背景上建立自己的表述”(董小英 43),也就是说要进入对话,说者就必须预测听者的知识水平,对他者特定的视角进行揣摩,评估当时的语境,并预测他者可能的应答和话语效果,而这些正是反讽之所以为反讽必不可少的条件。反讽依赖说者对听者信念、意图、知识水平等认知状态的预测和判断:同样是雨天的情况下,同一句“天气真好”,如果说者推断听者不知道当时天气情况,这句话就不是反讽而是谎言;如果说者推断听者知道当时天气情况,那么说者的意图就是反讽。而从听者角度来讲,如果听者知道当时在下雨,但说话者却说“天气真好”,那么只有在听者推断说者知道听者自己知道当时天雨的情况下,才能解读为反讽,否则就可能是谎言(听者判断说者知道听者不知道当时天雨)。

这种对他人心理状态(知识、信念、意图等)进行表征,并以此来理解、

1 参见 董小英:《再登巴比伦塔:巴赫金与对话理论》(北京:生活·读书·新知三联书店,1994年)46;李曙光:《巴赫金超语言学理论的重新语境化及其在书面新闻语篇分析中的应用》(南京:南京师范大学,2007年)64-65。

2 See Mikhail Bakhtin, *Problems of Dostoevsky's Poetics* (Minneapolis, MN: University of Minnesota Press, 1984).

3 参见 辛斌、陈腾澜:“语篇的对话性分析初探”,《外国语》5(1999):8-13;Valentin Voloshinov, *Marxism and the Philosophy of Language* (Cambridge, MA: Harvard UP, 1986).

预测和判断其他人的言语和行为的能力被称为心理理论 (Theory of Mind) 能力。<sup>1</sup> 反讽需要听者对说者的信念和意图作二阶推断, 即自我对他者对自我的心理状态的推论。心理学、脑科学、语言学的实验研究表明, 一些孤独症患者、脑损伤患者以及幼童无法理解反讽, 正是与他们二阶心理理论能力受损或不足有关。<sup>2</sup> 这从实证的角度证明了反讽离不开自我和他者的对话这一前提。

反讽的对话性还体现在反讽只能存在于对话的语境中, 反讽极度依赖语境: 同一句话“天气真好”, 晴天所言, 即为真实断言; 雨天所言, 则可能为反讽。与隐喻等非直义句不同的是, 抛开语境, 隐喻照样能够存在, 因为隐喻虽有字面的和引申的两重含义, 但内在的对比和类比活动都发生在作为类比对象的事物自身内部, 所以隐喻的含义是语义逻辑的发展和延伸 (巴赫金 (第 6 卷) 592-593), 而反讽则是应语境而生, 脱离语境, 反讽也就不存在了。新批评的布鲁克斯 (C. Brooks) 更是把反讽定义为“语境对于一个陈述语的明显的歪曲”<sup>3</sup>, 反讽“承担语境的压力, 它的意义都得受语境的修饰 (……) 它们的关联, 它们的合适性, 它们的修辞力量, 甚至它们的意义都离不开它们所植基的语境”<sup>4</sup>。离开了对话的语境, 反讽也不存在了。

反讽依赖于对话的语境和话语双方的信念、意图、知识水平等认知状态, 对话是一句话成为反讽的先决条件, 正是对话造就了反讽。

## (二) “双声语”: 言语反讽的对话结构

对话意味着包容性, 即便是在自我的独白之中, 也还是能够包容他者声音, 允许他者声音的存在, 尽管自我声音与他者声音可能对立、冲突。因此, 除了常规的发生在不同话语主体之间的对话, 如通常的言语交谈, 对话也可以发生在同一言语内部, 如独白中的“双声语”, “两种意识, 两种观点, 两种评价在一个意识和语言的每一成分中交锋和交错, 亦即不同声音在每一内在因素中交锋” (巴赫金 (第 5 卷) 110); 同一言语中暗含了两种判断、两个主体, 即说话者与他者, 两种声音一明一暗, 或赞同、或反驳、或一问一答, 形成对话<sup>5</sup>。双声语因为他者与自我声音之间的不同关系和利用他者声音的不同目的而产生了不同的双声语变体——仿格体、讽拟体、暗辩体。<sup>6</sup> 讽拟体中, 自我为表现立意而利用他人话语, 例如前面的言语反讽 (1)、(2)、(3) 中, 都包含着自我与他者的两种声音: (2) 中本身就是引用了朋友 A 的话, 他者

1 See N. J. Mitchley, J. Barber, et al., “Comprehension of Irony in Schizophrenia.” *Cognitive Neuropsychiatry* 3 (1998): 127-138.

2 See Laura Monetta, M. Christopher Grindrod and Marc D. Pell, “Irony Comprehension and Theory of Mind Deficits in Patients with Parkinson’s Disease.” *Cortex* 45 (2009): 972-981.

3 参见 赵毅衡编: 《“新批评”文集》(北京: 中国社会科学出版社, 1988 年) 335。

4 参见 赵毅衡编: 《“新批评”文集》(北京: 中国社会科学出版社, 1988 年) 336。

5 参见 辛斌: “转述言语与新闻语篇的对话性”, 《外国语》4 (2007): 36-42。

6 参见 王永祥、潘新宇: “对话性: 巴赫金超语言学的理论核心”, 《当代修辞学》3 (2012): 40-46; 凌建侯: “文学话语的对话性分析”, 《社会科学家》7 (2012): 9-12。



声音——朋友的观点、意识再明显不过了；而（1）和（3）中他者的声音实际上代表的是人们普遍的愿望——人们总是希望有个好天气和普遍的价值判断——朋友总是好的。自我的声音与他者声音交织在一起，同时又保持距离，自我声音所代表的价值立场和意向与他者相对立、相抵牾，发生冲突，最后迫使他人话语服务于完全相反的目的。

讽拟体双声语中可以找到现代言语反讽理论三种研究路径的交汇点，反讽的对话理论框架统一了反讽中对立、回声和假装等因素，前人看似矛盾的观点可以整合在对话论的框架下：首先，标准反讽定义所认为的字面义和反讽义相反其实就包含在自我与他者声音的对立之中，逻辑否定、语义逆转是其最常见的表现形式；其次，回声论中回声来源即他人声音；最后，假装和表演是假装论的基石，而假装的实质就是戴上他者面具，用他者声音说话，假装论中的他者声音是显而易见的。

### （三）反讽中的他者声音

巴赫金为解释反讽提供了一个初步的统一理论基础，但要应对复杂多样的反讽现象，这个分析框架需要更具可操作性，需进一步细化反讽对话存在的基础——他者声音：引入他者声音的原因，其类型，以及他者声音进入话语的方式。

第一，为何要费劲地在自我声音中引入一个与之对立的他者声音？直截了当的话语不是会简单得多吗？

首先，他者声音的存在打破了独白，制造了一个多重话语的空间。

对话原则认为在自我之外还应该存在他者意识，他者与自我平等的参与对话，他者的声音可以被反驳、被否定，但是不会被终止。他者积极回应自我声音，而不仅仅是自我观照下的客体。自我重视他者的声音，期待他者的应答，承认他者的声音在意义构建中有与自我等量齐观的重要性。

就反讽而言，传统修辞学所认为的“言在此而意在彼”或者语言学基于语义否定的经典理论都是独白性质的，反讽仅仅只是为了起到强调的效果，反讽的意义是单一的：取代字面意义。作为对话的反讽与传统修辞学不同，自我与他者各自保持独立，其意识互不相融，具有充分价值的不同声音组成他者声音，营造了一种对话的空间和丰富的、多层次的语义场，他者与自我价值的悖反产生张力，意义不再是非此即彼的直线，而是在对话的空间里，曲折迂回；自我声音也并非最终结束、取代他者声音。他者声音有充分展示自己的权利，在对话空间中两个声音互相质疑，互相辩论，在对话的过程中产生更丰富更多元的意涵：除了表面的话语内容之外，还有对待他者声音的态度，自我声音驳斥他者声音，讽刺他者观点，有时还甚至嘲讽自我；此外，在这一对话空间里，自我与他者声音制造的张力和意义的留白，带来了多重阐释的可能性，这意味着反讽言语的听者或者反讽文本的读者也必须进入对话空间，参与潜在意义的实现，成为意义的创造者。

其次,反讽话语中存在他者声音的另一个重要的目的是与自我声音对立,形成对比,进而产生评价和审美意义。

众所周知,通过语言表达观点是日常交流的核心组成部分,评价和情感成分经常出现在话语中,中立和完全客观是不可能的。但是评价有个程度问题,且评价是主观的,这都造成了评价的模糊性。语言使用者需要利用各种手段来解释他们对所谈论对象的积极或消极态度,对立的双声语就是这些手段之一:只有通过比较和对比事物、思想或事件,才能得出什么是好的什么是坏的,才能进行评价。巴赫金认为“拿两个彼此互不相干的言语来对比,只要它们稍微涉及同一主题(思想),彼此便不可避免地要进入对话关系。它们在共同主题、同一思想的疆域内互相接触”(巴赫金(第4卷)318)。这里有一个重要启示:他者声音与自我声音不一致时,声音的交锋交错,观点的碰撞,充满了审美和价值的评判。在这个意义上,反讽是不同价值体系对比的结果。反讽双声语中自我与他者之间的对立、比较,凸显出各自价值,最终产生评价。

在话语中引入他人声音是一种表达评价的方式:反讽话语在传递信息的同时进行评价<sup>1</sup>。反讽的几个重要理论途径对评价的关注也进一步印证了这一点:格莱斯抓住了反讽的评价性质,认为“反讽与情感、态度或评价的表达密切相关”(Grice 124)。斯帕博和威尔森也指出“反讽总是隐约地传递一种态度(拒绝或批评)”(Sperber and Wilson 239);假装论也提到了“反讽最终要通过识别伪装达到批评或褒扬的目的”(Clark and Gerrig 122)。

因此,反讽中自我声音和他者声音之间的对立或不相容本质上是评价性的而非逻辑性的。人们总是认为反讽背后的一个显著原则是逻辑否定或语义相反,但是逻辑否定只能解释例(1)这样反讽义为字面义的否定形式的句子,而在其他许多反讽现象中就会捉襟见肘,如例(2)。但是如果从评价的角度出发,例(2)中“Tuscany in May”在A看来总是天气晴好,他者声音是正向评价的;而与之对立的自我声音,是负面评价的,“Tuscany in May”意味着坏天气,评价被反转了。可见,如果要对反讽话语中起决定性作用的他人话语和自我话语的对立性进行统一解释的话,就不应该将两种声音的对立解释为逻辑否定而应该寻求一种更为普遍的形式,即价值的对立,逻辑否定只不过是价值对立的一种特殊表现罢了。

第二,他人话语有哪些类型,又是如何进入反讽话语的呢?

“他人话语,只能是具有强烈个性特点的个性命题,才能具有指向隐秘的另一个说者的标记功能”(董小英 99)。引入双声语的他人话语不是纯语言材料,而是具有鲜明个性色彩和独立判断的话语用词、思维方式、表达方式。个性命题作为他人声音,在文本中最明显的表现形式,是以某人的话语或思想的方式出现。他者声音具有明确来源,例如某个特定的人说过的话或想法,

1 See L. Hutcheon, *Irony's Edge: The Theory and Politics of Irony* (London and New York: Routledge, 1994) 2.

就像例(2)中A说过的话或者想法,便是最明显不过的他人话语。此类他人话语还有典故、格言、权威话语、行话、流行语等。此时,说话者通过直接或间接引用或者暗指,使得他人声音进入反讽话语。在这种他者话语具有强烈个性特征的反讽中,引入他者声音,可使他者成为嘲讽挖苦或谴责的对象,或者如克拉克和葛瑞格所说的反讽的受害者(victim)(Clark and Gerrig 122)。

此外,他者声音也可以是社会规约、常识、真理、人们一般认知倾向、普遍的社会价值判断等,这些都不具有强烈的个性特点,如何成为反讽话语中的他者声音呢?作为社会动物,个人的认知倾向,往往反映了社会的价值判断,而一般情况下个人意识不到这些普遍价值的存在。但有时候,人们对某一事件状态的评估可能与社会价值判断和人们的审美倾向背道而驰,这时候社会价值就与自我价值判断相对立而凸显,成为他者声音。在社会价值判断的基础上构建他者声音,为的是与自我声音对照,形成反差,强化评价。例如,人们通常倾向于认为“朋友是好的”,这也是普遍的社会价值判断,但是往往事与愿违,朋友可能背叛了你,此时你的价值判断(自我声音)是“朋友太差劲了”。当然你可以直接表达你的声音:“朋友太差劲了”,但是如果你在社会价值判断的基础上构建一个他者声音“朋友真好”与自我声音对立,反讽也就产生了。引入社会价值判断作为他者声音,与自我声音形成强烈反差,强化对朋友的负面评价。

#### 四、作为对话的反讽:超越语言

##### (一) 叙事中的反讽

比起日常会话,文学作品中的对话关系更为丰富多元。如果文本被看作话语,看作交流的介质,那么对话关系就不仅存在于作品中的人物与人物之间,作者、叙述者、人物、读者都可能成为对话者,这也意味着如果这些对话者声音存在着价值上的对立,反讽很可能随之产生。

中国古典小说叙述者与作者大多具有同一性,也就是说叙述者与作者的声音一致,往往代表当时集体的意识和普遍的社会价值观,例如中国古典文学作品《水浒传》、《三国演义》等,作者认同这种价值观,并通过叙述者宣扬这种价值观。叙述者因与作者同一而拥有了作者的权威,读者往往会服从这种权威,认为叙述者所言就是作者所指,并接受其背后的价值观。但是《红楼梦》的叙述者却是“不可信”的,作者的声音隐藏着,与叙述者保持距离,“弄笔狡狴”,实际上,作者无论是思想情感还是审美态度上,都与叙述者相背离,作者自我声音与叙述者声音发生碰撞,于是反讽便产生了。通过这种反讽式的叙事方式,作者嘲讽叙述者及其背后的社会价值观。

《红楼梦》中叙述者引了“后人”评贾宝玉的两首《西江月》:

无故寻愁觅恨，有时似傻如狂，纵然生得好皮囊，腹内原来草莽。  
潦倒不通世务，愚顽怕读文章。行为偏僻性乖张，那管世人诽谤。

富贵不知乐业，贫穷难耐凄凉，可怜辜负好韶光，于国于家无望。  
天下无能第一，古今不肖无双。寄言纨手夸与膏粱，莫效此儿形状。（曹雪芹 高鹗 22）

叙述者声称此《西江月》“批的极确”（22），他的声音代表着封建正统，是一本正经的严肃批判。但是综观全书意旨，贾宝玉正是作者所极力颂扬的，是浊世里的美玉，真挚、纯粹而美好，叙述者对宝玉的批判，带有迷惑性，是“不可靠”的，这种批评因为反讽而消解，转而却变成了对叙述者的嘲弄，进而嘲弄叙述者背后的封建正统和当时社会流行的价值观。读者如果认同叙述者的观点，也会成为被嘲弄的对象。只有聆听叙述者和作者对话的声音，把握两者的评价体系，体悟作者的思想情感、审美倾向，才能与作者达成默契，正确理解其中的反讽意味。

对话也会发生在作品中的人物和作者之间。《红楼梦》中众人对宝玉的评价，真真是如警幻所言“百口嘲谤，万目睚眦”（曹雪芹 高鹗 39-40）<sup>1</sup>：仆人们眼中的宝玉“色鬼无疑”（13）“自幼性格异常”（136）、“放纵驰骋，任情恣性，最不喜正务”（136）“痴痴癫癫”（527）、“外清而内浊”（527）、“也没个刚气儿”（527）、“徒有其表、糊涂颠倒”（527），姐妹们评宝玉“无事忙”（320）、“成年家只在我们（女人）队里混”（236）、“假长了一个胎子，究竟是个又傻又呆的”（574），“（说话）不是呆话，就是疯话”（574），就连父母都称他“酒色之徒”（12）、“弑父弑君”（243）、“孽根祸胎”（20）、“混世魔王”（20）……从文本内部句子层面很难发现反讽，但是如果跳出句子层面，让人物的声音和作者声音发生对话，就能够品出其中的反讽意味。宝玉为社会正统所不容，为庸众所不齿，在当时是个异类，是个叛逆者，但却是作者极力称颂的人。从语言表层看来是众人批评宝玉，但是考虑进对话关系，不难发现实际上作者在嘲弄众人，以及众人代表的当时的正统观念和世俗价值，这种反讽式的批判更为有力和深刻。

## （二）超现实反讽（Surrealistic irony）

这一类反讽之所以被冠以超现实主义之名，是借用了超现实主义文化运动所信奉的“不受任何理性支配的思想”，“相信梦想的无所不能和思想的任意发挥”<sup>2</sup>，简言之就是荒诞陆离：例（4）中像小龙女那样睡在一根绳子上，例（5）中跳完水用网捞上岸，例（6）骑着独角兽去阿拉斯，这些都像梦境般离奇。

1 本文有关《红楼梦》的引文均来自 曹雪芹、高鹗：《红楼梦》（上海：上海古籍出版社，2009年）。以下引文仅标注页码，不再一一说明。

2 See Andre Breton, “What is Surrealism?” *André Breton and the First Principles of Surrealism*, ed. F. Rosemont (London: Pluto Press, 1978) 122.

(4) A: 你晚上睡哪儿?

B: 我会在房间的两面墙之间拉根绳子, 然后睡绳子上。

(5) 东京奥运跳水项目受热捧, 田亮也受到关注, 与网友互动。

A: 跳水运动员会不会游泳?

B: 不会, 跳完用网捞起来。

(6) A: Are you going to school tomorrow?

B: No, I am riding my unicorn to Alaska! <sup>1</sup>

这类反讽一般都是对先行话语 A 的应答, 而先行话语总是显得多余、无聊、愚蠢或不可能。反讽话语 B 中, 他者声音荒诞或脱离现实, 反之, 自我清醒、严肃, 是理智的评判者, 自我对他者做出评判: 他者声音是荒诞不经的。超现实反讽打破了严格的日常对话的惯例, 以荒诞不经回应先前话语的无聊、愚蠢、多余、无意义、不可能。潜藏的自我声音通过批判他人话语的荒诞, 进而批评先行的话语 A 毫无道理、没有意义、愚蠢或者多余乏味。这里遵从着这样一个逻辑: 一般的对话是建立在理智的基础之上, 因此如果先行话语是理智的, 那么回应话语也是理智的, 现在应答(反讽话语 B)是荒谬的, 那么先行话语 A 也是不理智的或没有意义的。自我声音以荒诞不经的他人话语作掩护, 并以同样的荒诞的逻辑做出回应, 而不是直接批评别人的话为废话、蠢话、不切实际的话, 避免了正面冲突。

超现实反讽在王小波的作品中得到了淋漓尽致的发挥。他的《黄金时代》充满了离经叛道的荒诞感。小说一开始就在一本正经地谈论陈清扬到底是不是破鞋。北大医生陈清扬被下到偏远农村, 因长得好看而被贴上“破鞋”的标签:

“大家都认为, 结了婚的女人不偷汉, 就应该面色黝黑, 乳房下垂, 而你脸不黑且白, 乳房不下垂且高耸, 所以你是破鞋。”<sup>2</sup> 这是典型的王小波式归谬法: 荒谬的前提推出可笑的结论, 再以结论的可笑反证前提的荒谬。“要想证明自己不是破鞋, 就得证明自己的贞洁; 如果证明不了, 那只能成为大家心中的破鞋。”(王小波 1) 显然, 依照“大家”的逻辑, 陈清扬无法证明自己的贞洁, 因而似乎无法摆脱“破鞋”的污名, 于是她真就选择了与王二偷欢, 成为了真正的“破鞋”。但当这种关系公开后, 她却反倒摆脱了“破鞋”的污名。

这里的他者——“大家”遵循着荒谬的逻辑, 作者对这种荒诞保持着理智和警醒, 作者的自我声音以一种刻意的荒腔走板的调子讲述着他者的不自

1 See E. Kapogianni, “Irony via ‘Surrealism’.” *The Pragmatics of Humour across Discourse Domains*, ed. Marta Dynel (Amsterdam: John Benjamins, 2011) 51-68.

2 参见王小波: 《黄金时代》(南京: 译林出版社, 2017年) 1。



知的荒唐逻辑，展开了一张那个时代的荒诞图景，以荒诞对抗荒诞，这就是王小波的深刻之处。

### （三）情景中的反讽

与言语反讽不同的是，在情境反讽中，往往没有反讽者，只有反讽的观察者和被讽者。<sup>1</sup> 情景反讽中反讽已经提升到存在的高度，它考量的是观察者在面对世界的悖谬、荒诞以及面对自我的生存困境所持的哲学思考和生存态度。<sup>2</sup> “反讽也许具有‘形而上’的性质和总体的性质，反讽观察者认为，整个人类即是人类存在状况所固有的那种反讽的受嘲弄者”（米克 99）。对于反讽的观察者而言，世界的矛盾、悖谬和荒诞以及自我存在的困境才是真相。反讽既是一种人生观也是一种存在观，因此它不仅关涉客体的矛盾悖反，同时亦关涉主体的自我意识。<sup>3</sup> 正是因为了解这种真相，以及对存在的困境的清醒的自我意识，观察者才能发现情景中的反讽。而受到命运嘲弄的人，因为其盲目无知而显得可悲可笑。

世界本已经充满了悖谬和荒诞，反讽者只需带着“天地不仁，以万物为刍狗”的超然与冷静，或者说“保持一种奥林普斯神祇式的平静”<sup>4</sup>，作为一个旁观者来发现事件或情境中的反讽：情景反讽的观察者冷眼打量着佩涅洛佩的求婚者对扮成乞丐的奥德修斯的冷嘲热讽，却不知道死期将至；俄狄浦斯为了挣脱命运而出走戎拜，却不知道自已竟直奔宿命而去，当他咒骂杀死拉伊俄斯的那个不知姓名的凶手时，却不知道自已正是那个凶手。《红楼梦》中人物赞着“鲜花着锦，烈火烹油”（88），“说不尽这太平气象，富贵风流”（123），但是作者的声音却疏离、漠然地讲述着命运的无常，世界的乖谬，“忽喇喇似大厦倾，昏惨惨似灯将尽”（38），终不免“似食尽鸟投林，落了片白茫茫大地真干净”（39）。《花凋》结尾处，病重的川嫦伸脚去试母亲买的新鞋时，还在说“这种皮看上去倒很牢，总可以穿两三年呢”，谁知她却“死在三星期后”（张爱玲 34）。不同于言语反讽的话语内部自我与他者声音的冲撞，情境反讽中，单独的场景或事件是很正常的，并无任何诡谲、乖谬之处，可它们一旦被并置于自我与他者的双重视镜之下，便显露出命运的乖张、逻辑的悖谬和世界的荒诞来。情景反讽是作者将观察到的悖谬的情景或事件并置，以让读者体会到其中的反讽性，而只有具有反讽意识的人才能真正体会到情景中的反讽意味。

本文从分析反讽的对话性本质出发，描述反讽的对话结构和构成反讽对话的他者声音，试图提供一个以对话性为基础的理论框架，反讽要素在其中

1 参见 米克：《论反讽》，周发祥译（北京：昆仑出版社，1992 年）41。

2 参见 陈振华：《中国新时期小说反讽叙事论》（山东：山东师范大学，2006 年）73。

3 参见 陈振华：《中国新时期小说反讽叙事论》（山东：山东师范大学，2006 年）73。

4 参见 华莱士·马丁：《当代叙事学》，伍晓明译（北京：北京大学出版社，2018 年）227。

可以被整合起来。对一些跨越了语言层面的反讽现象的分析,也在一定程度上证明了这一框架所具有的解释力。由此,只有读懂了对话关系,才能真正理解反讽。

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# 李欧·李奥尼的图画书与儿童的伦理启蒙

## Leo Lionni's Picture Books and Children's Ethical Enlightenment

吕洪波 (Lyu Hongbo)

**内容摘要：**李欧·李奥尼在图画书的创作中采用儿童视角探讨人的身份问题，反映儿童获得伦理启蒙的过程。本文运用文学伦理学批评的方法分析李奥尼图画书作品中伦理启蒙过程的三个阶段：一、儿童通过感知世界获取脑概念，在不断拓展的新环境中认识和对比其他动物的形式，进而掌握自身形式的特征，以此作为建构自身脑文本的基础；二、在儿童从伦理混沌走向伦理意识的过程中，成人的教诲和伦理环境的约束帮助儿童认识到自己作为人的本质；三、儿童明确和认识自己的伦理身份，为正确的伦理选择做好准备。

**关键词：**李欧·李奥尼；图画书；文学伦理学批评；脑文本；伦理身份

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**Title:** Leo Lionni's Picture Books and Children's Ethical Enlightenment

**Abstract:** Leo Lionni uses children's perspectives in his picture books to explore the issue of human identity, which mainly reflects the process by which children obtain ethical enlightenment. This article analyzes the three stages of the ethical enlightenment in his works from the perspective of Ethical Literary Criticism. First, children acquire brain concepts by perceiving the world, recognize their form and compare it with the form of other animals in the constantly expanding new environment, and then master the characteristics of their own form. This is the basis for constructing brain texts. Second, in the process of children moving from ethical chaos to ethical consciousness, the guidance of adults and the restraint of ethical environment help children realize their essence as human beings. Third, children are prepared to make the right ethical choices by clarifying and recognizing their ethical identity.

**Keywords:** Leo Lionni; picture book; Ethical Literary Criticism; brain text; ethical



identity

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儿童图画书创作者李欧·李奥尼 (Leo Lionni, 1910-1999, 以下略称为李奥尼) 曾四次获得凯迪克金奖, 被誉为“20 世纪的伊索”。他的作品采用儿童视角探讨人的身份问题, 传达出人类渴望认同与融合的精神诉求。由于 20 世纪动荡的欧洲局势和反犹浪潮, 李奥尼自幼被迫随家人往返于意大利和美国之间, 犹太裔美国移民的经历使其在图画书作品中反映出深刻的伦理思考。李奥尼的图画书大量涉及“认识自我、接纳自我、塑造自我”<sup>1</sup> 的主题, 常常引发读者对自我伦理身份的追寻, 形成了独特风格。囿于李奥尼的少数族裔身份, 迄今为止的研究多从身份认同的角度展开讨论, 更多地关注作品中的自我概念<sup>2</sup> 与自我认同<sup>3</sup>, 探讨角色的身份建构、迷失和重构。然而本文认为, 这些研究无不忽略了对图画书基本功能的考察。图画书以儿童为主要受众, 尤其强调对儿童进行伦理启蒙的重要性。伦理启蒙是儿童走出伦理混沌、形成伦理意识并确认伦理身份的过程。李奥尼的图画书对处于伦理混沌中的儿童可以起到重要的教诲作用, 主要通过动物的形象, 逐渐让儿童把自己同兽区别开来, 从而建立起伦理观念, 成为理性的人<sup>4</sup>。因此, 本文将回归到图画书的基本功能——教诲, 运用文学伦理学批评的方法深入探讨李奥尼图画书中儿童伦理启蒙的机制问题。

### 一、从感知到脑文本

在文学研究领域, 文学伦理学批评关注人脑与文学之间的联系, 通过对文学文本的溯源, 探讨了文学与脑文本以及脑概念的关系问题。脑文本指以人的大脑为介质保存的记忆, 是人的大脑以记忆形式保存的对事物的感知和认知, 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。<sup>5</sup> 脑文本由脑概念组成, 脑概念是人们按照一定的伦理规范对特定事物的表象进行抽象化之后得到的结果。大脑借助脑概念对事物的认知过程就是思

1 参见 吕岚、黎璐: “关于李欧·李奥尼绘本对幼儿自我意识发展影响的研究”《早期教育》Z1 (2015): 39-42。

2 See Ahn Yubin, Choi YOUNG Hee, “Analysis Study of Self Concept in Leo Lionni's Picture Books.” *Asia-Pacific Journal of Multimedia Services Convergent with Art, Humanities and Sociology* 11(2016): 111-121.

3 参见 车莹: 《探究李欧·李奥尼图画书中的自我认同》(上海: 上海师范大学, 2015 年)。

4 See Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3(2021): 389.

5 参见 聂珍钊: 《文学伦理学批评导论》(北京: 北京大学出版社, 2014 年) 270。

维的过程, 幼儿依靠感觉形成思维, 他们主要从各种感官带来的刺激中获取物象脑概念, 为形成脑文本积累素材。在形成伦理意识之前, 儿童首先认识自己的外形, 通过对比其他动物的形式, 进而掌握人的形式特征。《鱼就是鱼》中的青蛙在周游岸上世界的过程中认识并总结了许多其他动物的外形特征, 比如鸟有翅膀, 有两条腿, 还有各种各样的颜色; 奶牛有四条腿, 长着犄角, 肚子下面坠着些粉红色的奶袋子。《小黑鱼》中的小黑鱼在逃往大海深处时看见了各种各样奇妙的生命, 水母像彩虹果冻, 大龙虾像行走的机器, 怪鱼像被一根看不见的线牵着, 森林似的海草长在糖果般的礁石上, 海鳗的尾巴很长, 海葵像粉红色的棕榈树。这些对事物特征进行分类总结的思维能力是儿童获得感知提升的必要前提, 主要依赖人自身的生物性发展。

但是, 仅仅在生理上具备识别外形的能力, 还不足以让儿童正确区分自我与其他动物, 这是因为基于观察和体验而获得的感知是必不可少的。感知是指身体的感觉器官受到刺激, 刺激以信号的方式传输到大脑, 大脑对信号产生反应, 然后形成对刺激物的理解。感知就像动物性一样会伴随人的一生, 是人类认识世界的最基本方式, 是认知发展的基础和初级阶段, 也是认知的组成部分和来源之一。<sup>1</sup> 虽然感知不受年龄限制, 但是由于儿童的抽象认知能力不够, 所以儿童主要依靠感知的方式与世界交流。根据感觉器官的不同功能, 感知包含视觉、听觉、味觉、嗅觉、触觉等多种渠道带来的大脑反应。在所有的感官中, 视觉是人类接受信息最多的一种方式, 是人类认识世界的最主要手段。通过观看, 人们在头脑中接受视觉图像, 形成记忆, 在思维的过程中不断提高对世界的认知水平。李奥尼图画书中隐喻儿童的那些角色主要通过现实世界中观察事物获得感知。《田鼠阿佛》中的田鼠们在冬天躲进石墙里的藏身处时, 随着阿佛的声音, 闭上眼睛依然能够在脑子里浮现出阳光的金色、长春花的蓝色、麦田的黄色、罂粟花的红色、草莓叶子的绿色。因为这些都是阿佛在冬天来临之前, 从他们一家的现实生活中采集来的, 所以这些熟悉的景象早已通过感知进入大脑, 形成了脑文本, 储存在记忆里, 阿佛利用语言将其提取出来。但是, 如果缺乏对现实的感知, 儿童则会产生错误的脑文本。《鱼就是鱼》中的青蛙向从未离开过池塘的米诺鱼讲述岸上的所见所闻, 通过语言这种抽象的方式传达给鱼概念。口头表达是脑文本的声音形态<sup>2</sup>, 青蛙在经历过视觉刺激以后形成的脑文本建立在真实事物具体形式的基础上, 然而鱼的头脑中缺乏对事物直接观察得到的表象, 因此鱼在听到青蛙讲述后形成的脑文本, 跟青蛙的脑文本不一致, 并且扭曲了事实。这是因为脑文本具有个体性, 受到经验和认知水平的影响, 所以每个人的脑文本都不一样。李奥尼充分运用图画书的图文结合形式完美呈现了个体脑文本之间的差异, 也生动形象地展示了感知对于儿童形成正确脑文本发挥的重要

1 参见 聂珍钊: “论人的认知与意识”, 《浙江社会科学》10 (2020): 91。

2 参见 聂珍钊: “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。

作用。

儿童的思维是表象思维，他们在接收和形成脑概念的时候依靠并调用有限的信息储备进行思考，所以儿童形成的脑文本有时候会与事实不符，通常表现为夸张的想象。实际上，这是儿童把头脑中仅有的表象进行拼接的结果，这种想象表现出儿童认知的自我中心性特征。在《鱼就是鱼》中，李奥尼用一个个白色气泡呈现米诺鱼的脑文本，讽喻这种虚幻的想象脱离了现实。米诺鱼在听青蛙讲述地面上的事物时，以他有限的认知在头脑中加工出来一些奇特的形象。无论青蛙描述的鸟、牛还是人，米诺鱼都把他们的形象特点挪移在一条鱼的身上，形成了现实中不可能存在的事物表象。在米诺鱼的头脑中，飞鸟是长满羽毛的鱼（见图 1.1）；牛是有四条腿、有角、有装了牛奶的粉红袋子、能吃草的鱼（见图 1.2）；男人、女人和孩子是穿着衣服、有手有脚、能直立行走的大鱼和小鱼（见图 1.3）。



图 1.1



图 1.2



图 1.3

那些形象的色彩很丰富，特征也很明确，只是米诺鱼没能把不同的动物从本质上区分开来。鱼的头脑中依然只有鱼，他不了解生物的多样性以及其他生物的特性，导致他不能正确认识自己，也不知道鱼离开水就不能生存。《蒂莉和高墙》中的小老鼠蒂莉想象着高墙的另一边生活着许多奇异的动物和植物，李奥尼巧用翻页在下一个跨页上呈现了蒂莉的脑文本。画面上是一个色彩斑斓的梦幻世界，无论动物、植物还是石头，都融合了多种温柔的颜色和丰富的形状。但是，那些高大复杂的动植物身上，却布满了小老鼠的圆眼睛、尖嘴巴、大耳朵和长尾巴。蒂莉的想象无法脱离她以自我为中心的有限认知，但却远远脱离了现实，所以当蒂莉费尽千辛万苦终于来到墙的另一边时，看到面前竟是普普通通的老鼠，她简直不敢相信自己的眼睛。这种美好想象与平淡现实之间的落差，需要儿童走入更广阔的环境，在推进社会化的过程中逐渐填平，进而获得伦理上的成长。

李奥尼利用图文结合的形式表达儿童在接受伦理启蒙时大脑工作的原理和机制，基于儿童认知的自我中心性特征，强调感知世界的必要性。婴儿自从诞生就开始由自然选择走向伦理选择，由于具备了人的形式<sup>1</sup>和大脑，在生

1 参见 聂珍钊：“文学伦理学批评的价值选择与理论建构”，《中国社会科学》10（2020）：75。

长过程中能够通过感知世界获取脑概念,在大脑处理脑概念的思维过程中形成最初的脑文本,在认识其他动物的同时加强对自己的认识,为获得人的伦理意识保障前提,完成伦理启蒙的第一步。由于人类的自然选择通过进化完成,因此人类和其他动物具有同源性。<sup>1</sup>但是,在进入伦理选择阶段时,人类又具备了独特的人性,所以一个完整的人由人性因子和兽性因子组合而成。<sup>2</sup>其中,人性因子即伦理意识,而人类脑文本代表伦理观念的形成。人在任何年龄阶段都会形成脑文本,但是儿童时期的脑文本有其自身特点和特殊意义,由儿童的具象思维决定,对儿童的伦理启蒙尤为关键。

## 二、从伦理混沌到伦理意识

儿童脑文本的初步建构促进儿童伦理启蒙的第二阶段发生,即走出伦理混沌,形成伦理意识。儿童复演了人类的发展历程,在生命之初只具备了人的形式,需要通过教诲获得伦理意识,认识到自己作为人的本质,真正把自己同兽区别开来。<sup>3</sup>婴儿的诞生,是伦理下的自然选择结果,然而在伦理上却是混沌之初。

《字母树》隐喻了处在自由意志控制下的儿童,其伦理是混沌的。自由意志是兽性因子的外在表现形式,是人在自然选择中保留的动物性本能,人同兽的区别就在于人能够用人性因子控制兽性因子,具有分辨善恶的能力。<sup>4</sup>凌乱的文字或字母本身是无意义的,只有按照一定的秩序和规则连接在一起,才能表达意义。从文字到文本,贯穿其中的就是人类社会的伦理规约。当单个字母杂乱无章地散落在树叶上时,面对微风(代表顺境),他们可以泰然处之。但当狂风大作(代表逆境),由于自由意志不受控制,字母之间没有联系、毫无秩序,他们则被吹落枝头。这正说明儿童要经过伦理启蒙,由伦理混沌走向一步步具备伦理意识,进而由伦理下的自然选择走向伦理选择,从而成为真正意义上的人。只有字母之间按规则秩序组合成词,组词成句,句意不断丰富深入时,他们才能对抗逆境,快乐地生活在字母树上。这又充分表明李奥尼想要向儿童揭示:只有在一定的理性意志控制下,人们才能够正确认识自我,发现人性,并且能够对周围的事物做出正确的判断,进而了解生命的真谛,实现人生的价值。因此,儿童文学通过故事教诲儿童走出伦理混沌,产生伦理意识,进入伦理选择阶段。

伦理启蒙离不开个体的社会化,因为伦理是人与人之间的关系,是人们共同认可、遵守和维护的集体的和社会的道德准则与标准。对自我的识别和

1 See Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2(2021): 190.

2 See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3(2021): 388.

3 See Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2(2021): 190.

4 参见 聂珍钊:《文学伦理学批评导论》(北京:北京大学出版社,2014年)39。



扩展,可以帮助儿童进行社会化,并对自己进行社会类别划分,在分类过程中,儿童不断审视自我,会对自己产生许多疑惑。《佩泽提诺》中的小P一直在追问自己是谁的一小块儿,他寻找答案的过程就是对个体进行社会化的推动。小P依次找到身边那些大块头的朋友询问,却没有得到满意的答复,因为他们都认为自己完整无缺,最后小P在智多星的建议下前往砰砰岛继续找答案。不断推进的社会化过程需要延展个体活动的场域,突破原有特定环境对个人提升认知的限制,小P历尽艰辛到达砰砰岛,在这个只有砾石的小岛上,当他摔碎了自己时,才顿悟到原来自己也是由小块儿组成的。小P发现自我本质的过程离不开社会化,同时也促进他在朋友中间找到自己的位置。《自己的颜色》中有一只变色龙一直在寻找自己的颜色,在他独自追寻的时候,无论如何也做不到像其他动物一样拥有自己的颜色。但是在他遇到另一只变色龙后,他们的相互陪伴在一定程度上帮助他找到了自己的颜色,因为他们两个的颜色总是一样的。由此可见,个体的社会化帮助其在特定的伦理环境中发现自我的本质并确立自我的伦理身份,这是对儿童进行伦理启蒙的主要任务。

儿童的社会化过程总是伴随伦理环境的变迁,他们主动或被动地进入新的伦理环境,获得更多的伦理身份,在接受原有伦理秩序的同时也参与确立新秩序的进程。海洋里大鱼吃小鱼的生存法则,逼迫小黑鱼从大海角落的家里逃到了大海深处。不过,这次灾难同时带给小黑鱼认识自我与世界的成长机会。通过细致观察表象、概括特征、总结分类,小黑鱼在大海里不仅见识了各种各样奇妙的生命,而且能够正确区分自己与其他生物。对外部环境的认知加强,消除了小黑鱼的恐惧,推动他走向社会化,并在社会化过程中确认自己的身份。小黑鱼基于已有的认知,为了改变小红鱼们的现状,他努力想办法,决定充当小红鱼们的引导者。人的思考过程就是形成脑文本的过程,小黑鱼运用抽象脑概念进行思考,在头脑中形成了一个大海的形状轮廓,并且可以用语言将脑文本表达出来。他告诉大家游在一起,这样他们就能变成海里最大的鱼。于是,他教给小红鱼们如何排列队伍,然后按照一定的规则和顺序紧紧地游在一起。当他们可以游得像一条大鱼了,小黑鱼在队伍中找到自己的位置,来充当大鱼的眼睛(见图2.1)。



图 2.1

这位了不起的领导者，不仅把自己的脑文本以队伍的形式呈现出来，教诲大家，而且指引着小红鱼们一起前进。他们勇敢地畅游在大海里，享受每天不同时段的美好。这种符合伦理规约的自由自在，拥有强大的力量，足以吓跑其他的大鱼。小黑鱼和他的同伴们依靠自己的智慧和勇气，冲破了生物界固有的自然法则，获得了更广阔的天地，发现了更好的自己。同样地，由于深受犹太基督文化的影响，特别是在圣经故事中“耶西的树”的启发之下，李奥尼于1968年创作出版了《字母树》，结合当时反对越南战争的局势，用树的形象隐喻人类智慧和历史的根源与发展。在故事末尾引用圣经中的经典句子“世界和平，造福全人类”（peace on earth and goodwill toward all men），表达了向往和平的主题。字母们先是在词语虫的帮助下组成词语，在原本的伦理环境中能够抵御风暴来袭。后来有了紫色毛毛虫的引导，字母们成为请愿书的组成部分，他们拥有了新的身份和使命，成为和平使者，去找总统请愿。这本看似讲述字母、词语和句子形成的故事，实际在传达深刻的伦理价值，教诲读者维护和平，改善旧有的伦理环境，在世界共同体内创建更好的伦理秩序。

李奥尼将儿童的伦理混沌状态描绘成零散的字母、寻找归属的小方块或者想要自己颜色的变色龙，在叙事进程中教诲儿童意识到自己的内在本质以及接受所处环境中的伦理规则。成人的教诲和伦理环境的约束开始发挥重要作用，引导儿童走出伦理混沌，形成伦理意识，完成伦理启蒙的第二阶段。伦理意识的培养主要是发现自我的本质，在伦理关系中找到自己的位置，为确认自己的伦理身份做好铺垫。

### 三、从人的伦理身份确认到伦理选择

儿童产生伦理意识之后，需要明确并认同自己的伦理身份，具备分辨善恶的能力和理性，才能做出正确的伦理选择。在文学伦理学批评提出的人类文明发展三阶段论中，自然选择阶段是第一个阶段，这是人类做出的一次生物性选择，完成自然选择使人类获得了人的形式，正如新生儿的诞生，具备了人在自然生理上的形式。<sup>1</sup> 当下人类正处于第二个阶段——伦理选择阶段，这是有关人的本质的选择，要从本质上把人同兽区别开来，先从产生人的伦理意识开始，再逐步形成善恶观念，明确伦理身份和伦理责任，做出正确的自我选择。伦理选择通过教诲实现，在教与学的过程中传递经验。从内容上说，文学是经验；从功能上看，文学是教诲的工具；从文学脑文本的生成机制上看，文学又是方法。因此，要完成伦理选择，人类需要文学。在伦理启蒙的过程中，图画书比其他文学样式更加适合教诲儿童。李欧·李奥尼的图画书中呈现出关于伦理身份和伦理选择的榜样和警示，揭示人物是否能够认同自我，是否能

1 See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3(2021): 384.

够做出较高的自我评价，这些作品可以为儿童读者扩大现实中无法完成的体验，并且启发儿童思考对自我身份的确认和自我选择，有效地帮助儿童获得伦理启蒙。

文学伦理学批评的一个重要术语是伦理身份，探讨伦理问题时都要从伦理身份出发。聂珍钊在界定“伦理身份”<sup>1</sup>时指出，人的身份可以分为两种：一种是与生俱来的，一种是后天获取的。对于人来讲，伦理身份会更加复杂，根据人所处的不同伦理环境以及多重伦理关系，它有多种分类。伦理身份赋予个人权利与责任，是道德行为和道德规范的前提。《西奥多和会说话的蘑菇》围绕西奥多不断演变的伦理身份展开故事。在故事中，西奥多是唯一被命名的角色，相继拥有四重身份，代表了人在身份问题上的复杂性。他的第一重身份是老鼠，因此具有胆小和能跑的天性，这是他无法选择的自然身份。第二重身份是老橡树墩儿里蜥蜴、青蛙和乌龟的好朋友，但是由于西奥多总是怕这怕那，他的自我评价较低，所以即使在好朋友面前谈论自己最擅长的事情时，他都红着脸，引起好朋友们大笑。这个朋友身份属于后天选择的社会伦理身份，因此存在可变性，后来西奥多因为欺骗朋友而失去了这个身份。第三重身份是蓝色蘑菇下的动物之王，这是西奥多在一个新的伦理环境下，自己通过说谎捏造的身份。巨大的蓝色蘑菇为西奥多提供了避难所和靠山，于是西奥多假借权威赢得一时的尊崇，他成功骗取了好朋友们和远方动物们敬献的王冠、鲜花和尊重，但是当谎言被揭穿，西奥多虚弱的本质再次浮出。第四重身份是骗子、冒牌货、坏蛋、恶棍、诈骗犯。当好朋友们在山顶揭穿了西奥多的谎言，他们愤怒地赋予西奥多这些新的身份。落荒而逃的西奥多无家可归，在朋友们面前永远消失了。西奥多对动物之王身份的选择是错误的，对好朋友们的说谎行为是不道德的，他背叛了朋友身份赋予他的责任，导致他失去了原有的身份，并且被原来的伦理环境淘汰。

在做出伦理选择之前，儿童需要明确并认同自己的伦理身份。“人类伦理选择的实质就是做人还是做兽，而做人还是做兽的前提是人类需要通过理性认识自己，即认识究竟是什么将人同兽区别开来的。”<sup>2</sup>《亚历山大和发条老鼠》探讨“做自己”还是“做别人”的问题，反映儿童在自我认同过程中的心路历程。亚历山大是一只为了找点儿面包屑就会遭到人人喊打的老鼠，他非常向往发条老鼠威利作为安妮心爱玩具的生活，因为他不喜欢躲在黑暗藏身处的孤独，渴望得到人的关爱。于是，亚历山大决定请求魔法蜥蜴把自己变成一只像威利那样的发条老鼠，但是当亚历山大发现威利很快就被当成旧玩具丢弃时，他改变了主意，用那颗珍贵的紫色鹅卵石把威利变成了像他一样的老鼠，收获了一个可以相互陪伴的好朋友。亚历山大在参照威利的时候，通过认识到玩具的局限性，进一步发现了自己身为老鼠的本质并认同了自我

1 参见 聂珍钊：《文学伦理学批评导论》（北京：北京大学出版社，2014年）263。

2 参见 聂珍钊：《文学伦理学批评导论》（北京：北京大学出版社，2014年）36。



的伦理身份,做出拯救他者的选择。威利虽然具有老鼠的外形,但终究是一个玩具,所以他不能像亚历山大那样自由地跑来跑去,只能等待有人给他上了发条,才能在一定范围内移动。在聊天中,亚历山大讲述的都是自己的冒险经历,而威利只能谈论别人,因为他没有自我,不具备老鼠的本质,只是别人可以随时抛弃的附属品。李奥尼借用这个寓言教诲儿童追问人为什么是人,以及应该如何做人的道理,通过隐喻的方式对斯芬克斯之谜给予解答。因此,儿童在外形上具备了人的特征之后,更重要的是让头脑中的人性因子发挥作用,意识到自己的人性,借助伦理意识分辨善恶,从而做一个有道德的人。

儿童不仅要认清自己的伦理身份,还应该知道身份对应的责任,然后才能做出正确的伦理选择,维系良好的伦理关系和伦理秩序。田鼠阿佛具有较高的自我认同水平和正确的自我认知,从一开始就明确自己作为诗人的身份和责任。在他们一家为准备过冬采集粮食的时候,他则坐在一旁采集阳光、颜色和词语,而非玉米、坚果、小麦和禾秆。当其他田鼠责备他不干活时,阿佛不仅能够向他们有力地解释原因,并且坚持继续做自己应该做的事情。冬天来临后,阿佛一家躲在冰冷的石墙里,吃光了其他田鼠囤积的食物,说完了想讲的话,这时阿佛采集的东西开始派上用场,帮助大家度过了最艰难的时刻。无论诗人阿佛,还是用智慧丈量歌声的一寸虫以及《玛修的梦》中的画家玛修,都具有较高的自我认同能力,能够坚守伦理身份,履行艺术家在家庭及社会中承担的义务和责任。

儿童的自我认同与伦理选择需要成人和社会的支持,因为只有包容的环境中儿童才能接受自我的多种可能性。李奥尼在《小蓝和小黄》中探讨了身份认同和文化融合的深刻话题,这部作品是他和年幼的孙子一起打发火车上的旅途时光时诞生的,看似偶然的创作,实则是创作者的脑文本外显。李奥尼借用颜色的改变暗喻人的变化,当移民的文化身份发生了变化,他们是否还能被原来的文化接受,这是全球化背景下许多移民面临的问题。即使抛开种族的问题不谈,任何一个人都会受到伦理环境的影响而发生改变,如果伦理环境发生了变化,人往往也会随之改变,对待这种变化的态度应该是拒绝还是接受,在这个故事中,儿童给成人做了很好的示范和引导。小蓝和小黄是一对好朋友,他们拥抱在一起之后都变成了绿色,但是他们并没有介意自己颜色的变化,而是在绿色的状态下开心地玩耍,一起去公园,一起穿隧道,一起追小橙,一起爬大山,直到玩累了,才回家去。结果,爸爸妈妈认不出他们,不接受他们。他们的伤心痛哭来自成人的拒绝,成年人对于身份的伦理要求使得小蓝和小黄必须做出改变,当他们选择变回原有身份的时候,皆大欢喜。但是,故事并没有结束,而是在小蓝和小黄的帮助下,成人认识到了变化的真相,并且最终欣然接受了变化,建立了新的伦理秩序。身为犹太族裔移民,李奥尼内心渴望获得身份认同,他借用图画书呼吁并教诲儿童和成人努力做

到文化、种族之间的融合。

人对身份进行确认是对人的本质的认识，是为了做一个有道德的人。李奥尼图画书中儿童伦理启蒙的落脚点是伦理身份的确认，旨在教诲儿童发现人的本质，用人性因子控制兽性因子，通过审视自己在伦理关系中的位置，明确并认同伦理身份。儿童对伦理身份的确认意味着开始承担相应的责任，继而做出符合道德规范的伦理选择。随着儿童不断地社会化，他们会进入越来越复杂的伦理关系中，拥有多重伦理身份，因此伦理启蒙的第三阶段需要教诲儿童确认自己的伦理身份，并且学会接受自我的多种可能性。

### 结语

对儿童进行伦理启蒙的内容和主要目的应该围绕“发现自己”展开。因为儿童最初处在伦理混沌之中，不具备伦理意识，更不知道人的本质，他们对世界的探索需要从认识自己开始。儿童的自我中心性反映出儿童无法区分自己与其他事物的意识状态，他们的思维类似原始人的思维，认为一切事物都有着和自己相同的感受与想法。李欧·李奥尼的图画书作品将图画和文字精巧地结合在一起，既能够使图画叙事在儿童头脑中留下深刻的具象脑文本，又能使文字叙事在儿童的心中深深地扎下根。它们的主要教诲功能就在于通过生动的不同形象让儿童获得人的概念，认识自我，实现自我发现，进而成长为真正意义上的人。同时，它们以榜样或警示带给儿童伦理意识，让他们明白只有正确认识到自己的身份才能做出正确的伦理选择。当儿童进入社会化的过程中，他们经常面临的问题是身份的改变，几乎所有的伦理问题都跟伦理身份有关，所以对儿童的教诲应该包括伦理身份所对应的责任。认清身份和承担责任是维系良好伦理秩序的基本保证，李欧·李奥尼的图画书在帮助儿童进行自我认知和走向社会化的伦理启蒙过程中可以发挥重要作用。

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# 文学伦理学批评视阈下的“兰妮私通”

## A Study on the Fornication Between Lancelot and Guinevere in *Idylls of the King* from the Perspective of Ethical Literary Criticism

张成军 (Zhang Chengjun)

**内容摘要:** 兰斯洛特与妮尼维尔的私情是传统亚瑟王传奇里最著名的事件之一，亦是丁尼生长诗《国王之歌》的重要事件。在《国王之歌》里，兰妮私通可谓是主导伦理结：其既破坏了“君臣之伦”，亦是对“夫妻伦理”的践踏，同时又违背了“骑士爱情伦理”；从而引发了伦理混乱，产生了种种恶劣的后果，以致成为亚瑟王国礼崩乐坏、圆桌骑士团理想破灭的罪魁祸首。兰妮私通之所以会产生如此巨大的危害，既与兰妮之伦理身份密切相关，可谓负面名人效应所致；更与人之斯芬克斯因子不无关系，实乃人性因子遭到抑制，兽性因子占据上风的结果。兰妮私通给我们的启示是：在迈向理想王国的过程中，既应有礼、法之规约，又需有“名人”的模范遵守，以贤明的礼法与正面名人效应，引导人们逐步向上、向善，最终臻于理想之境。

**关键词:** 《国王之歌》；兰妮私通；伦理环境；伦理身份；斯芬克斯因子

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**Abstract:** The love affair between Lancelot and Guinevere is one of most famous events in Arthurian romances, and is also an important event in *Idylls of the King*. In the long poem, the fornication of the two is the leading ethical knot, which not only breaches monarch-subject ethics, but also breaks marital ethics. Meanwhile, the fornication breaches chivalric love ethics. Consequently it gives rise to ethical confusion, and produces various abominable results, so that it becomes the most important cause of the fall of Arthur Dynasty. The reason why the fornication between Lancelot and Guinevere causes so large harm is both related to their ethical identity and related to Sphinx factor. That is to say, it results from celebrity negative effect, as well as the result of animal factor overwhelming human factor. The tragedy gives us a very truthful message that while stepping toward the ideal kingdom, there should be not only laws and rites, but also notabilities' exemplary observance, by

which people are guided step by step into the realm of beauty and good.

**Keywords:** *Idylls of the King*; the fornication between Lancelot and Guinevere; ethical environment; ethical identity; Sphinx factor

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兰斯洛特与妲尼维尔的恋情是亚瑟王传奇里最著名的事件之一，自克雷蒂安的《兰斯洛特，或囚车骑士》创始并对之做了大肆渲染后，便为诗人和读者们所瞩目，并最终成为亚瑟王传奇里的“保留剧目”。阿尔弗雷德·丁尼生的《国王之歌》（*Idylls of the King*, 1885）既取材于亚瑟王传奇，叙述了亚瑟王国从初始建立到兴盛，然后因骑士们的蜕变而衰落，最后倾圮的整个历程，就不能不涉及兰、妲私情。

截至目前，学界有关《国王之歌》的研究，多集中于其主旨或寓意。盖因诗人曾指出：“《国王之歌》有一个寓意或寓言的主旨”（Birch 515）。因此学者们纷纷运用各种批评理论去发掘其深层隐寓之意。与之形成对照，从伦理道德层面对《国王之歌》进行研究者相当稀少，至于从伦理视角对其中的兰妲私通进行探讨者，则非常罕见，且均为泛泛之论。有鉴于此，本文尝试运用文学伦理学批评对兰妲私通做一观照，以深入分析之，并就教于方家。

### 兰妲私通伦理结

用文学伦理学批评分析作品，发现和解析作品中的伦理结及伦理线是非常重要的。伦理结是文学作品中矛盾与冲突的集中体现，其构成伦理困境，揭示文学文本的基本伦理问题。文学伦理学批评正是通过对构成文本的伦理结进行解析，从而接近文本、理解文本（聂珍钊，《导论》260）。

作为丁尼生“最长和最为雄心勃勃的作品”（Tennyson 2），《国王之歌》有着数条伦理线，其中最主要的是叙述亚瑟王国的建立、兴盛与衰落。这是长诗的伦理主线。这条伦理主线串联了数个重要的伦理结，如盖瑞斯辞母赴京、薇薇安诱惑莫林、圆桌骑士追寻圣杯等。此中最重要的则是兰斯洛特与妲尼维尔的私通，其可谓《国王之歌》的主导伦理结。

亚瑟王后妲尼维尔，是卡米利阿德国王之女，“尘世最美丽的女人”<sup>1</sup>；亚瑟王视之为生命，对之忠贞如一。兰斯洛特是亚瑟王最心爱的圆桌骑士，武功超卓，彬彬有礼，乃“骑士之花”；亚瑟王对之极其器重：当初就是派他前往卡米利阿德迎接妲尼维尔。二人本是亚瑟王的两大支柱，亚瑟王最信赖之人。但不幸的是，后来他们之间竟发生了私情，以至私通。这期间，二

1 See Christopher Ricks, ed., Tennyson: A Selected Edition (Harlow: Longman, 1989) 679. 本文所引《国王之歌》里的诗句均出自此版本，译文由笔者自译，以下随文只标出页码，不再一一说明。



人尤其是兰斯洛特，虽曾有过痛苦挣扎，有过犹豫、彷徨，甚至深深自责；但最终并没有斩断情网，而是长久“暗中”保持着这一关系，以致亚瑟王朝内除国王外，尽人皆知，成了王国的一个公开的秘密。

在《国王之歌》里，丁尼生对兰姆私情的描述，既于前人有所承袭，同时又做出了自己独特的创造与诠释。在兰姆爱情的开山之作、克雷蒂安的名著《兰斯洛特，或囚车骑士》里，诗人描述的重点是兰斯洛特对皇后姆尼维尔的爱情：为了对王后的爱，兰斯洛特赴汤蹈火，在所不惜；而且长诗中的亚瑟王是个年老而无能的形象：面对皇后欲被劫持，他只知忧愁和悲痛，而不知采取任何措施。在亚瑟王传奇的集大成之作、马罗礼的《亚瑟王之死》里，作者叙述的重心则不在兰姆私情——作品中直接描述兰姆私情的篇幅并不多；而且在叙述兰姆私情时，尤其未言及其对圆桌骑士的行为有何负面影响：骑士们好似都认可、接受了这一爱情。丁尼生的《国王之歌》则与此不同。首先，《国王之歌》里的姆尼维尔与亚瑟并没有年龄上的悬殊，应是同辈人：当初亚瑟在成年登基后不久即见到姆尼维尔，为之倾倒，并渴望娶其为妻——可见此时姆亦已成人。其次，《国王之歌》里的亚瑟王亦非一位年老而无能的形象，而是一位贤明甚至完美的国王。兰斯洛特本人就曾说：“我从未见过像他那样的人：世上没有比他更伟大的领导者了”（843）。其他人物如莫林等则反复称誉其“完美无疵”（829）。再次，《国王之歌》叙述的重心不在兰姆私情本身，而在其负面影响。长诗花了大量篇幅描述了兰姆私情对圆桌骑士团产生的负面影响，从第三卷始直至最后一卷终，几乎贯穿了整部长诗。

总之，在《国王之歌》里，丁尼生通过对兰姆私情的种种改造，使其与传统的兰姆私情有了显著不同，而愈益成为了一宗不伦之爱。这一不伦之爱，继而引发了伦理混乱，产生了极其恶劣的后果，最终导致了亚瑟王国礼崩乐坏、圆桌骑士团分崩离析。故而堪称《国王之歌》的主导伦理结。

### 兰姆私通之不伦性质

在一般人思想里，“忠君”似乎是我们中国或东方封建国家特有的伦理观念，西方社会是不存在的。其实不然。西方的封建时代亦有“忠君”观念，即忠于自己的封君（或领主），甚至不乏“愚忠”的例子。威尔·杜兰特在《信仰时代》里指出：骑士“对他的君主领主，应付出比对父母的孝心更坚强的忠诚”（威尔·杜兰特 597）。蒂尔尼、佩因特在《西欧中世纪史》中亦指出：“一个封臣必须完全忠于他的领主（……）封臣可能犯的最严重的罪行，是伤害或者杀害其领主”（蒂尔尼、佩因特 161）。普雷斯蒂奇主编的《骑士制度》则说道：“在骑士制度出现之前很久，对领主的忠诚就是至高无上的义务”（埃德加·普雷斯蒂奇 256）。这种对封君忠诚的强调在这一时期的文学著作中亦有鲜明反映。在史诗《罗兰之歌》里，当面对数不清的敌人压上来时，罗兰对法兰西骑士们大声喊道：“一个人要为领主辛苦备尝，/ 炎暑和严寒要都能



抵挡，/ 丢些血和肉也是理所应当 / (……) 我即使战死，也要得到赞扬，/ 这把剑是一位忠臣的兵仗” (《罗兰之歌》61)。在另一著名史诗《熙德之歌》里，尽管因遭谗言被国王罢黜国门之外，熙德仍时刻眷恋着他的君主，每次取得重大胜利后，都派人将最好的马匹和最昂贵的礼物送给国王，以表示他的忠诚之心依旧。因此，忠诚于君主，不得背叛，亦是西欧封建时代基本的伦理规范。

在《国王之歌》里，兰斯洛特是亚瑟王的骑士，并为亚瑟王所亲自授封；而且这种君臣关系为“战场誓言”所强化。在王朝战争即将结束之际，二人“在死亡之地立下了永恒的爱之誓”——兰斯洛特说道：“在战场上上帝之火降临您身上，我即确认您为我的国王” (682)；亚瑟王则说道：“人之诺是神圣的。任机运变幻，我信任你至死” (682)。君臣关系和相互的忠诚借上帝之名以确立。然而令人遗憾的是，后来兰斯洛特却没能坚守其在“死亡之地”立下的誓言，而与亚瑟王后发生了私通，从而背弃了自己的誓言，践踏了君臣之伦，令人痛心。后来奸佞莫俊德在率人捉奸时，大呼其“叛徒” (945)，其实并非过分其词。

同时，兰姊私通又破坏了基督教社会的夫妻伦理。在人类社会发展史上，基督教社会较早确立了一夫一妻制的原则，并认为夫妻的结合是神圣的，故而把婚姻列为七大圣事之一。圣奥古斯丁曾说：“人类社会的第一种自然纽带就是丈夫和妻子。上帝甚至不是分别地创造他们，然后再让他们结合在一起，而是从一个中创造了另一个” (奥古斯丁 43)。《希伯来书》中则说：“婚姻，人人都当尊重，床也不可污秽，因为苟合行淫的人，神必要审判” (《新约全书》258)。《哥林多前书》中则说：“妻子没有权柄主张自己的身子，乃在丈夫；丈夫也没有权柄主张自己的身子，乃在妻子” (《新约全书》188)。因此，婚姻是神圣的，夫妻二人应相互忠贞。这种婚姻的神圣性以及夫妻间的相互忠贞通过婚礼上的誓约与神父的祝福被强化。在《国王之歌》里，诗人就描写了亚瑟王与妮尼维尔的结婚大典。在典礼上，长诗写道：“两人在基督的神坛前立下永恒的爱之誓言。亚瑟说道：‘看，你的命运就是我的。任机运变幻，我爱你至死！’” (691) 妮尼维尔回应道：“国王，我的主人，我爱你至死！” (691) 圣洁的杜伯瑞克主教则祝福道：“你们统治，生活，相爱，创造一个更美好的世界；愿王后与你一心” (692)。然而后来事件的发展表明，这只是一个美好的愿望。在情欲的诱惑下，妮尼维尔与兰斯洛特发生了私情，并最终私通。妮尼维尔之所为显然破坏了夫妻之伦，并为世人所指。因此事发后她说：“我将永远羞耻 (……) 因为我已身为人妻” (945)。

此外，兰姊私通又违背了《国王之歌》里的骑士爱情伦理。骑士爱情即通常所谓的“典雅爱情” (courtly love, 又译“宫廷爱情”)。在中古骑士文学作品里，书写了大量骑士对“贵妇”的爱情。这里的“贵妇” (lady)，其婚姻状况往往是含混的，有时即是已婚。丁尼生在《国王之歌》里，亦描

写到此种爱情，但却对之进行了改造。

在长诗的“妲尼维尔”卷中，亚瑟王说道：“我让他们把手放在我的手里发誓 / (……) 只爱一位少女 (maiden)，忠于她，/ 以经年的高贵行为来崇拜她，/ 直至赢得她的芳心” (954)。这是圆桌骑士团创始时期，亚瑟王为骑士们制定的爱情守则，实即《国王之歌》里的骑士爱情伦理。细读之，可以发现，它与传统典雅爱情有个细微不同，即：它将骑士爱情的对象由“lady”变成了“maiden”。我们知道，作为对女贵族或贵族之妻女的称号，“lady”一词既可指已婚的贵妇人，也可指未婚的贵族女性，其婚姻状况是含混的；而“maiden”一词，在这方面则是清晰透明的：未婚少女。这一词之变看似细微，实则显露了诗人的匠心：《国王之歌》通过将骑士爱情对象由含混的“lady”改为明晰的“maiden”，从而澄清了传统典雅爱情的暧昧之处，也是易遭后人诟病之处；同时明确将已婚贵妇排除在了骑士爱情的门槛之外——骑士爱恋的对象应是未婚少女，而非已婚的贵妇。因此，骑士与已婚贵妇相恋以致私通，便不再为亚瑟王朝的伦理规范所许可，而成了骑士爱情的伦理禁忌。由此观之，圆桌骑士兰斯洛特，亚瑟王后妲尼维尔，二人之间发生私情并私通，恰违背了《国王之歌》里的骑士爱情伦理，触犯了骑士爱情的伦理禁忌。

综上所述，兰妲私通实可谓悖理乱伦：其既破坏了封建时代的君臣之伦，又是对基督教社会夫妻伦理的践踏；同时，亦违背了《国王之歌》里的“骑士爱情伦理”。因此，丁尼生称之为“大罪 (the great sin)” (Tennyson 497)；并借诗中人物之口反复遣责之，鞭挞之。如天真无邪的小修女，称兰斯洛特“不忠诚” (951)，与亚瑟王相比，“必定是一千倍的不高贵” (950-951)；奸诈之徒莫俊德、薇薇安之流则直接称呼兰斯洛特为“叛徒” (945)，这一正一反可谓代表了诗中绝大部分人物对兰斯洛特的看法。而长诗在首次提及妲尼维尔时，称其为“尘世最美丽的肉体 (flesh)” (679)，这里即暗含对她的讽刺；事发后，妲尼维尔则自称“邪恶之人” (958)。总之，妲尼维尔与兰斯洛特二人发生私情，其乱伦性质是无可置疑的，而且可谓是诗中人物的“共识”。恰恰是其已成为人们的“共识”，使之后来对圆桌骑士团产生了极其恶劣的负面影响，并最终成为亚瑟王国礼崩乐坏的祸根。

### 兰妲私情与伦理环境

兰妲私情，在传统亚瑟王文学里历来被视为典雅爱情的典范，为诗人、作家们所反复描摹、宣扬；但丁尼生在《国王之歌》里却对之做了种种改动，以突出其不伦性质；并反复遣责之，鞭挞之。为何会出现如此抵牾的现象？

不同时期的文学有其特定的属于一定历史时期的伦理环境，我们对文学的理解必须回归属于它的当下的伦理环境（聂珍钊，《导论》14）。以兰妲私情为典范的典雅爱情创立于中世纪，丁尼生创作《国王之歌》的伦理环境则是维多利亚时代。二者有着迥然的不同。

在中世纪，贵族的婚姻一般都是经济婚姻、政治婚姻，无涉爱情。查尔斯·伍德在《追求永恒：中世纪的习俗和道德》一书中曾说道：“这是一个妇女的地位不比一件动产好的时代，没有一个贵族为爱而结婚”（Wood 68）。这话或许稍有武断，但是中世纪贵族的婚姻一般都是出于家族的经济或政治目的而缔结，则是无疑义的。因此，汤普逊在《中世纪经济社会史》中指出：“中世纪的婚姻关系，〔……〕大多是一种利害关系上的婚姻，也是一种野蛮强制的婚姻”（汤普逊 339）。布洛赫在《封建社会》中也指出：“贵族的婚姻常常是一宗平凡的交易”（布洛赫 508），以致“有的孩子尚在襁褓中便已经订了婚，有的新人直到结婚时才看到彼此的模样”（布姆克 478）。如此婚姻，何谈爱情？正因为此，典雅爱情的“理论家”安德瑞厄斯·卡佩拉努斯才在《论爱情》（*De amore*，英译为 *The Art of Courtly Love*）中直言不讳地说道：“爱情在夫妻之间没有立足之地”（Capellanus 107）、“婚姻不是回避爱情的充足理由”（Capellanus 184）。——也正因为此：在这样的婚姻背景下，有着私通之嫌的典雅爱情才获得了其特定的历史合理性与意义：它既是对中古宗教禁欲主义的突破，——“是对教会学说的一种反抗”（罗素 46）；亦是作为“第一个出现在历史上的性爱形式，亦即作为热恋，作为每个人（至少是统治阶级中的每个人）都能享受到的热恋，作为性的冲动的最高形式”（恩格斯 71），是对中世纪政治婚姻、经济婚姻的一种逆反，是对两性爱情的深切渴望与呼唤，是走向后来的爱情婚姻的特殊一步。故此在这一时期的骑士文学作品里，典雅爱情得到了诗人、作家们的反复描摹、宣扬。

然而时移世易。到了近代，经过了文艺复兴运动个性解放的洗礼，人们已不再遵奉禁欲主义；尤其是到了18世纪，人类社会经过几个世纪的发展演进，爱情与婚姻已不再那样形同陌路，而是逐渐携起手来，联袂而行。肯尼斯·克拉克教授在《文明》中曾指出：“建立在‘爱情基础上的婚姻’几乎可以说是18世纪后期的发明”（Clark 64）。这一方面道出了人类社长期存在的婚姻与爱情相分离的状况，另一方面亦指出了从18世纪后期开始爱情逐渐成为婚姻的基础或前提。劳伦斯·斯通教授在《英国的家庭、性与婚姻 1500-1800》中也指出：“金钱的重要性在18世纪婚姻中扮演的角色远不如在17世纪婚姻中扮演的角色那样大”（斯通 179），“越来越多的婚姻当事人在18世纪开始置情感于名利野心之前”（斯通 223）。以致到了“18世纪末时，着眼于金钱的婚姻已经名誉扫地”（斯通 246），“立基于新郎新娘自由选择 and 坚固情感联系的婚姻在18世纪末逐渐普遍”（斯通 196）。而到了19世纪，“婚姻应建立在爱情的基础上”这一观念已广为人们认可，并为越来越多的年轻人所奉行——追求建立在爱情基础上的婚姻已成为年轻人的目标。

在这样的伦理环境下，中世纪那种带有私通之嫌的典雅爱情便失去了其存在的历史合理性与土壤，很难再得到人们的认同，也很难再得到诗人们的宣扬；而日益沦为道德堕落的表征与藉口，甚而造成人欲横流、伦理失范。

——这恰是丁尼生在《国王之歌》里所描述与所批判。

不仅如此，维多利亚时代的英国又以道德谨严著称。这一时期道德规范的核心之一，即重视婚姻和家庭。对于很多维多利亚人来说，婚姻是神圣的，家庭是美好的。正如著名社会学家阿萨·布里格斯在《英国社会史》中指出：把家庭摆在一个特殊的位置上，“家，甜蜜的家！”，是那个时期的一个延续不断的主题。<sup>1</sup> 沃尔特·霍顿教授甚至指出：“维多利亚时期的社会是以家庭为中心的”（Houghton 341）。在人们心目中，稳定而亲密的家庭，是至高无上的，是最受珍视的，是不容破坏的。而且当时很多名人的婚姻都是美满、幸福的，成为人们心目中的楷模。如深为国人景仰的维多利亚女王，其与丈夫阿尔伯特亲王即可谓当时夫妻恩爱、伉俪情深的典型。此外，像卡莱尔、达尔文、约翰·穆勒，包括丁尼生本人等名人的夫妻关系也都是美满的、和谐的。

在如此伦理语境下，身为桂冠诗人的丁尼生对那种带有私通性质的、进而破坏别人家庭，甚至造成人欲横流的典雅爱情，是不能苟同和不愿接受的。故此，在《国王之歌》里，他对兰妮私情及传统典雅爱情观做了改造，从而彰显了兰妮私情的不伦性质，使其成为了一宗既破坏了君臣之伦，又是对夫妻之伦的践踏，同时亦违背了骑士爱情伦理的“大罪”。

这一不伦之爱，继而引发了亚瑟王朝的伦理混乱，造成了一系列悲剧性危害。聂珍钊在“文学伦理学批评：基本理论与术语”中指出：“在文学作品中，伦理混乱表现为理性的缺乏以及对禁忌的漠视或破坏（……）伦理混乱无法归于秩序或者不能秩序重构，则形成悲剧文本”（聂珍钊 21），《国王之歌》正是如此。

### 兰妮私通之危害

传统的《国王之歌》阐释认为：亚瑟王朝倾覆、圆桌骑士团瓦解盖因兰妮之间的私通。这或有责之过甚之嫌，但若说兰妮私通是亚瑟王朝陷落的首要原因，则应没有疑义，是符合文本实际的。丁尼生本人即曾说：“兰斯洛特的大罪逐渐毁坏了（sap）圆桌骑士团的基础”（Tennyson 497）。这里“兰斯洛特的大罪”，即指兰斯洛特与妮维儿的私通。纵观《国王之歌》，有多处直接展现或间接暗示了兰妮私通的恶劣影响。

在“妮维儿”卷中，亚瑟王对妮维儿如此说道：“你与兰斯洛特犯下了可耻的罪行；特里斯坦和伊瑟的罪行紧随其后；然后，其他骑士仿效我的这两位最强大的骑士，——从名人中挑选丑陋的榜样——，也犯下罪行，直至那些令人厌憎的我的心灵的对立面大行其道”（954）。此处诗人通过亚

1 参见阿萨·布里格斯：《英国社会史》，陈叔平等译（北京：商务印书馆，2015年）311。《家，甜蜜的家》（Home, Sweet Home）是维多利亚时期的一首流行歌曲。歌中唱道：“家，家，甜蜜，甜蜜的家！/ 天底下没有任何地方像家（Home! Home! sweet, sweet Home! / There's no place like Home!）”，曾令许许多多英国和美国的中产阶级为之动容，为之陶醉。



瑟王之口直接指出了兰奴私通的巨大负面影响。在“最后的比武大会”卷中，特里斯坦则明白地对他的情人、马克王后伊瑟说道：“如果我们的爱有罪，我们有皇室的依据”（936）。这里“皇室的依据”即指皇后妲尼维尔与首席圆桌骑士兰斯洛特的私通。而当初圆桌骑士赅闰特之所以匆忙将妻子伊妮德带离亚瑟王宫廷，就是害怕伊妮德受到皇后妲尼维尔这个坏榜样的影响，而步其后尘。至于接下来巴林兄弟之死，侏利阿斯的疯狂与逆反等，则直接与兰奴私情相关。

巴林是个脾气暴躁、粗鲁无文，但却立志向上的骑士。为了祛除自己身上的缺点，以成为一名优秀骑士，他暗暗将首席圆桌骑士兰斯洛特作为学习的榜样，“常常盘桓在他的周围”（792），观摩、学习他的骑士风度；又将“淑女的楷模”皇后妲尼维尔作为崇拜的偶像，把她的皇冠刻在自己的盾牌上，“凝视它，想起她——忘记我的暴躁和暴力，获得新生”（793）。然而后来一个偶然的机，巴林无意中瞥见了兰斯洛特和妲尼维尔幽会的情景，他起初不敢相信自己的眼睛，但后来听了伽隆的影射、嘲讽，尤其是薇薇安的“确证”，顿觉天昏地暗，信仰尽失，只见他“嚎叫一声跃起，/把盾牌从树枝上扯下，掷在地上，/用装甲的脚跟踩在皇冠上，/把它践踏得面目全非，然后/扔到林中杂草里”（802）。尤其不幸的是，巴林怪异的嚎叫，被潜伏在那里等待“林中恶魔”出现以将其除去的骑士巴兰——他的亲兄弟——听到了，巴兰以为这就是他苦苦追寻的对象，于是走上前去，与之恶斗起来，结果双双殒命。

侏利阿斯的经历也是悲剧性的。他本是一个单纯真诚、朝气蓬勃的骑士，热爱骑士精神。他也将妲尼维尔视作偶像，视作纯洁美丽女性的典范，并把自己的梦中情人比作妲尼维尔，暗自对想象中的情人说道：“你像妲尼维尔一样美丽和纯洁，/我将用我的矛和剑使你闻名于世”（904）。然而后来他却令人震惊地得知：皇后妲尼维尔竟与兰斯洛特长期私通！加之此前著名骑士高文可耻地背信弃义，使得侏利阿斯对亚瑟王朝与圆桌骑士团的美好想象破灭了——他所崇奉的崇高骑士理想立时倾覆了。在如此打击下的侏利阿斯一变而为荒淫无度、醉生梦死之徒，并表现得极其逆反：他脱离了圆桌骑士团，在北方另成立了一个骑士团，与圆桌骑士团相对立；并让人如此捎话给亚瑟王：“你告诉国王和他所有的撒谎者，我/已在北方建立了我的圆桌骑士团，/无论他的骑士曾立下什么誓言，/我的骑士都已反其道而行之——告诉他，/我的城堡里充满了妓女，像他的宫廷；/但我的更配，因为她们坦承/自己不是别的，就是妓女——告诉他，/我的骑士都是奸夫，像他的骑士；/但我的更真诚，因为他们坦承/自己不是别的，就是奸夫（……）”（923）此处可见，兰奴私通对侏利阿斯改变之巨！同时，透过侏利阿斯或许偏激的言词，我们亦可窥见：此时的亚瑟宫廷已通奸盛行。其实此前的“圣杯”卷即揭示了这一现实。亚瑟宫廷第一个自称见到圣杯者——帕齐发尔之妹，最

初即因“宫廷的丑闻，违背亚瑟王和圆桌的罪行，与通奸一族的奇怪的嘈杂声”（878）击打着她修道室的格栅，而“更加频繁地祈祷、斋戒”（878），以期看到圣杯；一位圣人则告诉她，当初亚瑟王创建圆桌骑士团时，所有人的心灵暂时变得纯洁——他曾确信，这样圣杯将会重现。但不幸的是后来“罪恶爆发了”（879），圣杯未能重现。这里所言的“罪恶”指的就是兰妮私通肇其端的宫廷通奸。可见此时通奸行为已在亚瑟宫廷流行，原本以真纯持身的圆桌骑士团已不复存在。

不仅如此。由于兰妮长期保持着私通关系，亚瑟王的权威也受到极大削弱。在《国王之歌》里，亚瑟王本是作为诗人心目中的理想人物塑造的，是一个近乎完美的形象。因此诗中人物反复赞誉亚瑟王“完美无疵”（829）、“纯洁无瑕”（838），等等。对这样一位国王，骑士们曾立誓：“履行您的意志”（686）、“崇敬国王如良心”（954），并在他面前高唱道：“〔……〕吹响吧，号角 / 〔……〕让亚瑟王来统治！ // 〔……〕为国王而生！ / 〔……〕为国王而死！ / 〔……〕让亚瑟王来统治！”（692）然而后来在兰妮私情的恶劣影响下，骑士们却一改誓死效忠亚瑟王，开始怀疑亚瑟王之为人，如同薇薇安对莫林之反诘：“他真是男人吗？知道了还睁一只眼闭一只眼。 / 知道了他美丽新娘的所作所为却装作看不见？”（829）并质疑他的权威：他们问“亚瑟从何而来的权力把他们绑在他身上？ / 从天空掉下来的吗？从海里冲上来的吗？ / 〔……〕一位可疑的国王〔……〕”（939）；进而“脚在那儿游荡闲逛，不吩咐不走， / 一一眼神对命令好似只有一半的忠诚〔……〕”（924）。终致后来在莫俊德伺机篡位之时，竟有很多骑士追随他。诚如忠臣拜德维尔对亚瑟王指出：“和他在一起有很多您的人民，和很多 / 您的骑士，您曾钟爱他们，但他们却变得 / 比异教徒还粗鄙，竟唾弃他们的誓言和您”（962），而倒戈相向。

综上可见，兰妮私情确实对圆桌骑士团产生了巨大的负面影响。在兰妮私通的恶劣榜样下，亚瑟王朝变得伦理失范，人欲横流，“真纯已逝”<sup>1</sup>。实可谓亚瑟王朝礼崩乐坏、道德沦丧的罪魁。

### 伦理身份·名人效应·斯芬克斯因子

兰妮私通为何会产生如此巨大的负面影响？

文学伦理学批评注重对人物伦理身份的分析。在阅读文学作品的过程中，我们发现：几乎所有伦理问题的产生都同伦理身份相关；在众多文学文本里，伦理结、伦理线、伦理禁忌等都同伦理身份联系在一起（聂珍钊，“基本术语”21）。在《国王之歌》里，兰妮私通之所以会产生如此巨大的危害，首先即与他们的伦理身份密切相关。

1 这本是亚瑟王为纪念一名早夭的女婴而举行的“最后的比武大会”的名称（或译为“已逝的真纯”），笔者认为，诗人亦借此暗指圆桌骑士团的真纯已逝，纯真的骑士精神已逝。



在长诗里，妲尼维尔是亚瑟王的妻子，亚瑟王后，在众人眼里，可谓集贞洁<sup>1</sup>、尊贵、美貌于一身，是名媛淑女们的楷模，亦是骑士心目中的女神；兰斯洛特则是亚瑟王的“首席圆桌骑士”（926），为亚瑟王亲自授封，乃群臣之首，骑士们效法的榜样；而且二人是亚瑟王最亲密和信赖者：长诗里，亚瑟王共与两人起过誓言，均在首卷。一个是与兰斯洛特——在王朝战争即将结束之际，“二人在死亡之地立下了永恒的爱之誓”，亚瑟王说道：“人之诺是神圣的。任机运变幻，我信任你至死”（682）。另一个则是与妲尼维尔：在结婚大典上，“二人在基督的神坛前立下了永恒的爱之誓”，亚瑟说道：“你的命运就是我的。任机运变幻，我爱你至死。”两相对照，不难发现：二者何其相似乃尔！总之，兰斯洛特和妲尼维尔可谓亚瑟王最为心腹之人，是亚瑟王朝除国王外最显要的人物，乃“名人中的名人”，万众瞩目的中心。二人本应对亚瑟王忠诚不贰，恪守其角色美德，表率天下。这也正是当初人们对他们的期许。然而后来人们却发现：这两尊偶像之间竟长期“暗中”存在着奸情！偶像轰然坍塌，偶像的坍塌，其影响可想而知。单纯的巴林们、俳利阿斯们，因心中偶像的坍塌而变得疯狂，更多的骑士则在兰妲私情的负面榜样下，上行下效，置亚瑟王朝的伦理规范于不顾，纷纷跃入欲望的泥沼……正如长诗最后部分亚瑟王对妲尼维尔所言：“你与兰斯洛特犯下了可耻的罪行；/特里斯坦和伊瑟的罪行紧随其后；/然后，其他骑士仿效我的这两位最强大的骑士，/——从名人中挑选丑陋的榜样——，/也犯下罪行，直至那些令人厌憎的/我的心灵的对立面大行其道。”诚乃负面名人效应。亚瑟王朝终致礼崩乐坏。

以上可谓兰妲私通产生巨大破坏性的首要原因。其实，若我们往深处挖掘，还可发现问题更根本的层面：众骑士及淑女之所以会受兰妲私通的影响而纷纷堕落，或者说名人的负面亦会对人们产生巨大影响，实根源于人之兽性因子。聂珍钊在“文学伦理学批评：伦理选择与斯芬克斯因子”中指出：“人是一种斯芬克斯因子的存在，由人性因子和兽性因子组成”（聂珍钊1）。人性因子即人的伦理意识，其表现形式为理性意志；兽性因子则与人性因子相对，是人的动物性本能。二者处于斗争状态，此消彼长，此起彼伏。当有着强有力的道德指引时，人性因子得到彰显，它控制着兽性因子，使之遵守伦理规范。此时人表现为一种伦理的存在。如果丧失道德指引，或受到负面榜样的蛊惑，人性因子就会被抑制，兽性因子便会占据上风，其任凭原欲驱使，无视伦理规约，变得几近于兽。这时人就会走入歧途，陷于伦理失范，从而引发伦理

1 中国封建社会对王妃的贞洁极其看重，西欧亦然。可以说，西欧封建社会对王后的第一要求即贞洁。布姆克在《宫廷文化：中世纪盛期的文学与社会》中指出：一个女人的表率作用归根结底只有一点：“如果她是一个能保持身体清白的正派女人，那么所有的缺点都可以忽略不计，她能永远昂着头过日子”、“除了个人生活作风无可挑剔外，作为君王的妻子，其名望取决于做善事的多少”……这里均指出了贞洁的第一重要性。

混乱，甚至伦理犯罪。在《国王之歌》里，当有亚瑟王的伦理规约<sup>1</sup>、有兰妮的“高洁”榜样屹立时，兽性因子得到有效的道德指引，人性因子便占据上风，它牢牢控制着兽性因子。这时“所有人的心灵暂时变得纯洁”（879）。亚瑟王朝因而一派欣欣向荣，蒸蒸日上。但是后来当皇后妮维儿和首席骑士兰斯洛特发生私情时，骑士淑女们心中高洁的偶像坍塌了；而且由于兰妮二人长期保持着私通关系，进而为众骑士淑女树立了一个负面榜样。人们开始丧失道德指引。于是兽性因子便活跃起来，不再甘受人性因子的控制，并进而占据上风。以致人欲横流，伦理失范。在长诗中，特里斯坦向他的情人、马克的王后金发伊瑟如此说道：“我们能爱就爱”（940），一任原欲的驱使，弃伦理规范于不顾，“公开”和马克的王后私通。步踵特里斯坦之后，其他骑士亦纷纷将伦理规约抛诸脑后，纵身跳入欲望的泥淖，以致“心灵的对立面大行其道”。

综上所述，兰妮私情之所以会产生如此巨大的危害，既与其伦理身份不无关系，更与斯芬克斯因子密切相关：实乃人性因子遭到抑制，兽性因子占据上风的结果。

圆桌骑士团本是为了一个高尚的目的而创建——“那时建立圆桌骑士团的问题第一次被提出，/ 为了对上帝、人类和高贵行为的爱”（819）；为了一个崇高的理想而立于尘世间——“它将成为全世界的花朵”，从而“开创一个美好的时代”（954）；曾一度欣欣向荣：君仁——“仁慈的国王在位”（702），臣忠——“骑士们（……）忠于他们伟大的国王，以纯真的感情”（702），民众安居乐业——“到处是健康的人民阔步向前”（702），人性因子熠熠高扬。但不幸的是，后来在名人兰妮私通等的负面榜样下，兽性因子开始蠢蠢欲动，并进而占据上风。于是人欲横流，礼崩乐坏。最终在“莫俊德叛乱”的一击下，亚瑟王朝土崩瓦解，“重又退回到野兽状态”（960）。曾经高扬的崇高理想亦随风飘散。

如此结局，令人唏嘘，令人深思。它展现了兽性因子力量的强大与难以控制，亦昭示了兽性因子脱离人性因子控制的可悲后果。

面对兽性因子之强大与难驯，我们应如何举措？兰妮私通给我们的启示应是：一个怀抱着高远目标的国度在向理想迈进的过程中，既应有礼、法之规约，又需有“名人”的模范遵守，以贤明的礼法与正面名人效应，引导人们逐步向上、向善，最终达致理想之境。

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1 即“亚瑟誓言”：在圆桌骑士团创建之初，亚瑟王即设立了骑士们需恪守的誓言：“我让他们把双手放在我的手里，发誓：/ 崇敬国王如他们的良心，/ 崇敬良心如他们的国王；/ 打击异教徒，维护基督教；/ 骑行世界，铲除邪恶；/ 不说诽谤之辞，亦不听之；/ 信守承诺，如同它来自上帝；/ 在最纯洁的节操中过甜美的生活，/ 只爱一位未婚女子，坚守对她的爱，/ 以经年的高贵行为来崇拜她，直至 / 赢得她的芳心”（954）。此乃圆桌骑士团的行为准则。

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# 论《柯夏玛因记》中柯夏玛因的伦理选择与悲剧

## *Koshamainki: Ethical Choice and Tragedy of Koshamain*

阿莉塔 (Alita)

**内容摘要：**鹤田知也的短篇小说《柯夏玛因记》是日本文学中少有的描写原住民题材的作品，虽然在主题和艺术性上获得芥川奖评委的高度评价，但在学术界的关注度较低。本文借助文学伦理学批评方法，围绕主人公柯夏玛因替父报仇以及振兴民族大业的伦理主线，对他在实施抱负的过程中经历的挫折和遭遇以及惨死的悲剧进行分析，由此指出该小说的伦理书写具有显著特色：以阿伊努社会遵循的伦理秩序为中心展开的，展现不为人知的阿伊努社会的伦理规则和伦理观念。本文通过对这些核心文化元素的分析，揭示出小说表面不复杂的情节下蕴含的深刻悲剧性，以及作品表达的对民族命运的思考和对武力征服侵略行径的谴责。

**关键词：**《柯夏玛因记》；柯夏玛因；文学伦理学批评；复仇；历史悲剧

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**Title:** *Koshamainki: Ethical Choice and Tragedy of Koshamain*

**Abstract:** Tomoya Tsuruta's short story *Koshamainki* is one of the very few literary works that describe the aborigines (Ainu) in Japan. Although it was highly praised by the judges of Akutagawa Prize in terms of theme and artistry, it received less attention in academic circles. In light of Ethical Literary Criticism, this study looks into the main ethical line of the hero Koshamain's revenge for his father's death and the revitalization of the nation. It also tackles with the frustrations and sufferings *Koshamain* encountered during the revenge as well as his tragic death. Thus, this study points out that the novel's ethical writing has remarkable characteristics: it focuses on the ethical order that Ainu society follows and shows the unknown ethical rules and concepts of Ainu society. Through the analysis of these core cultural elements, this study reveals the profound tragedy contained in the superficial uncomplicated story, as well as the reflection on the national destiny and the condemnation of conquering aggression by force.

**Key words:** *Koshamainki*; Koshamain; Ethical Literary Criticism; revenge; histori-

cal tragedy

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鹤田知也 (Tomoya Tsuruta, 1902-1988) 的短篇小说《柯夏玛因记》(『コシャマイン記』)<sup>1</sup> 发表于 1935 年 2 月, 运用阿伊努民族说唱神谣的文学表现形式, 以部落酋长柯夏玛因的复仇为主线, 描写了 17 世纪日本原住民阿伊努民族被大和民族殖民征服的历史悲剧。该小说获得 1936 年第三届芥川奖, 如室生犀星 (Saisei Muro) “这个悲哀的历史故事, 正是对所谓的文明与野蛮进行的辛辣的批判”、佐藤春夫 (Haruo Sato) “鹤田氏的《柯夏玛因记》是放射异彩的文学, 古朴的风格与沉痛的素材相辅相成”的评语所言, 在主题和艺术表现方面获得肯定和高度评价。<sup>2</sup>

对《柯夏玛因记》的研究数量较少, 大致分为两类: 一是着眼于小说的创作方法、文体、主题、现实意义的综合考察; 二是对阿伊努语言的研究。其中第一类占据多数, 主要是以日本“文学教育研究者集团”<sup>3</sup> 为中心展开的。在该组织举办的全国集会上, 曾三次把《柯夏玛因记》作为专题研讨对象, 从文本细读、时代背景考察、现实意义探究等方面进行研讨。关于现实意义, 高泽健三 (Kenzo Takasawa) 指出, 在“二·二六事件”发生后天皇制法西斯势力增强的背景下, 小说通过描写大和民族对阿伊努民族的侵略历史, 影射 1930 年代日本侵略中国的现实, 展现了小说的现实探求精神。<sup>4</sup> 关于创作方法, 熊谷孝 (Takashi Kumagai) 以“场景设定”作为关键词对小说进行解读<sup>5</sup>; 孙志豪从反战文学的角度归纳了创作特点。<sup>6</sup> 关于文体, 樋口正规 (Masanori Higuichi) 指出小说具有两种文体, 前半部是英雄叙事诗的世界, 后半部是凡人的世界。<sup>7</sup> 另外, 还有基于教授法的研究。<sup>8</sup>

不可否认, 上述研究均肯定了作者对日本殖民历史的批判态度, 但未进行深入分析, 尤其是从伦理角度进行的研究尚为空白。柯夏玛因的经历与他的酋长身份与复仇选择密切相关, 他遵循阿伊努社会的伦理秩序和道德规则,

1 凡未特殊注明, 均出自笔者拙译。

2 参见 石川達三ほか: 『芥川賞全集』第一巻 (東京: 文芸春秋, 1982 年) 348-350。

3 该组织于 1960 成立, 是以大中小学教师为主的民间组织, 每年举办两次大型教学科研研讨会。

4 参见 高澤健三: 「『コシャマイン記』(鶴田知也) — 文学史一九三六年へのアプローチ」, 『文学と教育』121 (1982): 18-19。

5 参见 「<特集> 文体作りの国語教育と総合読み: 「コシャマイン記」に即して」, 『文学と教育』54 (1968): 13。

6 参见 孙智豪、林进: “两种文明下的冲突: 《柯夏玛因记》创作方法研究”, 《文学教育》11 (2019): 54-56。

7 参见 樋口正規: 「文学史<一九二九>の課題と継承」, 『文学と教育』142 (1987): 48。

8 参见 香川智之: 「『コシャマイン記』を読む」, 『文学と教育』168 (1995): 49。



承担酋长的社会责任和义务，信仰神灵恪守神的戒律。但由于大和民族殖民统治的冲击和破坏，这些秩序和规范对一部分阿伊努人失去约束力，从而使得阿伊努社会的价值观发生分裂。可以说，小说对人物言行的书写是以阿伊努社会伦理规范为准则的，表达了对阿伊努民族文化的认同与热爱，对逐渐失去影响力的阿伊努文化现状的惋惜，对弱势民族的同情与尊重，以及对野蛮武力征服行径的批判。

“文学伦理学批评重视对文学的范例分析，强调要回到历史现场，在特定的伦理环境和伦理语境中分析文学作品，分析文学作品中人物的伦理选择过程及其结果，揭示文学作品的历史价值现实意义”（聂珍钊 24）。因此，本文将运用文学伦理学批评方法，紧扣主人公柯夏玛因立志替父报仇振兴民族大业的伦理主线，对他在施展抱负的过程中经历的伦理选择和导致的结果进行分析，揭示阿伊努民族被征服的历史悲剧，以及小说表达的对民族命运的思考和对武力征服侵略行径的谴责。

### 一、柯夏玛因的酋长身份与复仇信念的确立

《柯夏玛因记》虽然采用的是尤卡拉<sup>1</sup>的叙事形式，但与阿伊努传统的英雄叙事文学尤卡拉大团圆结局的叙事模式<sup>2</sup>有所不同，以主人公惨死的悲剧告终。传统的英雄叙事文学将讴歌胜利作为主题，具有浓厚的理想主义和浪漫主义色彩，而《柯夏玛因记》描写的是悲剧，体现了现实主义的创作风格，围绕柯夏玛因的伦理身份与选择、遭遇的困境等展开叙事，真实再现了阿伊努民族被大和民族吞并的历史。

《柯夏玛因记》最大的书写特点是注重描写了由伦理秩序的不同导致的矛盾冲突和悲剧。小说以柯夏玛因之前的几任酋长被暗算并惨遭杀害的事件拉开序幕。所谓暗算手段，是指大和将假意和好，把阿伊努首领骗至宅邸灌醉杀害。实际上，此时的大和民族已拥有比阿伊努民族强大的军事实力，即使不设奸计亦能取胜，却将暗算作为惯用手段，这说明他们从内心深处惧怕阿伊努人反抗。反观阿伊努人的反应，表面上他们屡遭陷害却不吸取教训，但事实上这是由阿伊努民族的伦理观决定的。据《阿伊努历史》记载：按阿伊努风俗，战争结束签订媾和条约时，战败者要向胜利者举行献宝仪式。<sup>3</sup>和人大将利用这一点，装成战败者假意献宝，致使阿伊努首领屡次上当。“暗算”反映了两个社会不同的伦理观念，是导致作品中矛盾冲突以及悲剧发生的要因之一。

继两任酋长遇害后，柯夏玛因的父亲赫那乌克也因反抗侵犯丧命。他给妻子希拉丽卡留下遗言，明确了柯夏玛因的伦理身份是塞塔那部落酋长唯一

1 “尤卡拉”是对阿伊努民族口传叙事诗的总称。主人公多为少年英雄，故亦称英雄叙事诗。

2 汪立珍指出，英雄叙事文学尤卡拉的情节构成大致分为四个重要部分，即：主人公神秘的出身——主人公征战——美少女的获得——大团圆结局等部分相互连接在一起。参见 汪立珍：“日本阿伊努人的说唱文学——尤卡拉浅析”，《满语研究》2（2000）：109。

3 参见 平山裕人：『アイヌの歴史』（東京：明石書店，2014年）148。

的继承人，以及作为首领应尽的责任和义务，即：希望他能像同名英雄一样，肩负起为争取阿伊努民族生存权利与殖民者抗争的民族使命。同时，柯夏玛因获得了部落酋长的伦理身份，必须担负起替父报仇的责任。

对于酋长身份，婴幼儿时期的柯夏玛因虽不具备认同能力，却得到阿伊努社会的普遍认可。不论是父亲的部下即使付出生命也忠心护卫新酋长的举动，还是柯夏玛因母子落难时得到其他部落酋长的善待，都是对柯夏玛因酋长伦理身份的认可。另外，和人把柯夏玛因视为斩草除根的对象，也可反正这一点。柯夏玛因的母亲为摆脱好色酋长的欺辱以及被出卖的险境，迫不得已再次选择逃命。在这场被族人追杀的战斗中，年幼的柯夏玛因得以迅速成长，同部下奇罗罗安并肩战斗，并意识到导致自己陷入险境的始作俑者是大和民族，因此他发誓作为塞塔那部落酋长向其复仇。这一经历促使柯夏玛因将酋长身份与复仇信念紧密连结起来，促使他认识到只有通过抗争赢得胜利才能改变自己的处境，改变部落和民族的命运。

为了躲避追杀，柯夏玛因跟随母亲开始了逃亡生活。因此，他成人后能否承担义务和责任很大程度上取决于母亲的保护和教诲。而事实上，他的母亲无论是在伊瓦那伊部落得到老酋长庇护度过的岁月，还是在被老酋长之子追赶的逃亡路上，都始终践行着复仇教育，忠实地履行着丈夫的嘱托。母亲的教诲使柯夏玛因对自己塞塔那部落酋长的伦理身份高度认同。

## 2、柯夏玛因的困境与伦理选择

《柯夏玛因记》对焦 17 世纪后半的日本社会，描写了 1643 年赫那乌克反抗和人被害、1668 年因阿伊努部落争斗致使奥尼荷西<sup>1</sup>被夏库夏因<sup>2</sup>杀死等历史事件<sup>3</sup>，以及 1660 年开始实施的“场地承包制”<sup>4</sup>等社会经济现象，通过主人公柯夏玛因的经历和感受，书写了阿伊努民族被大和民族殖民统治的历史空间。

柯夏玛因在母亲的辅佐下长大成人，经过多年卧薪尝胆，已具备担任首领的能力，且认识到想要实施复仇必须首先赢得族人支持。然而，他此时所面对的阿伊努社会已失去凝聚力，为争夺渔猎权同族人间不断发生争斗。因此，他所面临的首要任务是化解内部矛盾。柯夏玛因去拥有众多部落的萨罗乌恩佩茨地方斡旋，获得哈耶部落酋长的信任，但因突遭西比恰伊部落袭击，结果以失败告终。

分析柯夏玛因初战失利的原因，可以归结为低估了调节阿伊努部落间矛盾的困难程度。江户时期，日本人在虾夷地南端建立松前藩以巩固对统治地方的管辖，这无疑激化了有关控制权的争夺，限制了阿伊努对外贸易自由。

1 阿伊努语为：オニヒシ。

2 阿伊努语为：シャクシャイン。

3 参见 関口明ほか編：『アイヌ民族の歴史』（東京：山川出版社，2015 年）10。

4 日语为：場所請負制。

在调节过程中，柯夏玛因尽管已使部落酋长意识到共同抵御外敌的重要性，但却未能有效阻止争斗。可见，仅凭柯夏玛因一己之力，无法在短期内迅速改变复杂的社会结构和现实。随着支持者减少、反对者和旁观者增多，柯夏玛因陷入孤立无援状态，他企图联手抗敌的愿望落空。无法施展振兴民族大业抱负的柯夏玛因，失去了部落酋长的号召力，面临新的伦理选择：或彻底隐居，或融入被同化的社会。

回顾历史，阿伊努民族是日本本土原住民之一，自7世纪起，随着大和民族国力强盛，周围小国和族群被征服和驱赶，当时“虾夷人”<sup>1</sup>被视为未开化的异种人，在大和国征夷大将军一再讨伐下，其居住地逐渐退缩到“虾夷地”即今北海道。14至15世纪，随着和人进入虾夷地开垦土地以及经商人数的增多，以渔猎为生的阿伊努人的传统生活方式受到冲击，引起反感和不满，彼此间矛盾激化，终于在1457年爆发公开反抗和人的“柯夏玛因之战”<sup>2</sup>。在此后的几百年间，阿伊努人反抗和人压迫的斗争不曾中断。可以说，《柯夏玛因记》对柯夏玛因所处环境的描写是有据可依的，反映了小说尊重史实的历史观。

在柯夏玛因逃亡的二十多年间，一些阿伊努人被迫服从和人的统治，选择站在柯夏玛因的对立面。如以奇比因酋长、伊瓦那伊部落孙辈酋长等。他们起初是迫于维护族群生计而向大和民族势力屈从，但随后摄于和人的威慑变得主动配合，成为和人的帮凶。这是阿伊努社会固有伦理价值观受冲击的结果。室町幕府的镇压使和人在北海道的主导地位得以巩固，和人势力不断扩大和渗透，在加剧对阿伊努人统治的同时，又通过经济优势的影响，建立起新的社会秩序，从而动摇了阿伊努社会固有的伦理秩序。<sup>3</sup>柯夏玛因面对背叛自己的族人，感到愤怒和无奈，陷入困境。

当柯夏玛因步入中年决心再次实施复仇大业时，阿伊努民族已发生巨大变化：以失去酋长的哈耶部落和西北恰伊部落为代表，他们接受了和人的生活方式，选择融入和人社会。尤其是柯夏玛因遭遇了寄予厚望的年轻人的冷遇，年轻人普遍选择消沉、随波逐流，缺少振兴民族的胸怀大志，这使柯夏玛因再次陷入困境。他看到的是任由承包商<sup>4</sup>指使从事体力劳动、甘愿受和人奴役、向往和人生活方式的族人。柯夏玛因用充满憎恶的眼神看待这一切，当有人劝他入伙时，便不容分说地将对方打倒在地。他强烈意识到自己与他们格格不入，他依然怀有向和人复仇、恢复民族荣耀的志向，但他必须面对的却是一群会说和人话的变质的阿伊努人。

由于和人殖民统治已获得相对稳固的地位，且造成阿伊努社会四分五裂，

1 “虾夷人”是对阿伊努人的称呼，带有贬义，直译为“毛人、囚俘、蕃人”。

2 阿伊努语为：コシマインの戦い。

3 参见 嵯川圭介：阿伊努人的历史——文化特征，《世界民族》3（1996）：52。

4 日文为：“場所請負人”，指在日本幕府指定的地区被赋予经商权的人。

两者之间事实上已构成殖民主体与被殖民主体之间的主从关系。阿伊努人做出了倒向和人并将自己置于从属地位的选择,意味着血亲关系、同族关系失去主导地位,阿伊努社会伦理秩序失去平衡。在选择屈从的阿伊努人看来,比起冒生命危险与和人抗争,选择适应新秩序下的生活虽然可能是苟且偷生但可以获得相对的安全感。另一方面,面对社会变化构筑的强大阻力,柯夏玛因身上也发生了变化,他感到神也无力改变这种大势所趋的局面,对神的信仰产生了动摇。

阿伊努民族的反抗者终被无情消灭,而服从者亦被置于和人社会边缘。无论哪一种都是被征服民族的悲剧结局,体现了小说对殖民征服者的批判态度。大和民族政府从 1869 年开始实施北海道开拓,推行本土移民政策,抢夺阿伊努人的土地,剥夺他们的渔猎权,强迫他们务农,并禁止使用本民族语言,改变习俗,强行推进同化政策。随着 1899 年出台《北海道旧土人保护法》,把阿伊努人赶到指定地点,名曰保护,实际上固化了阿伊努人贫穷和被歧视。直至今,自诩单一民族国家的言论在日本社会具有很大影响力,这种剥夺其他民族如阿伊努人、琉球人话语权的言论,本身就说明了少数民族在日本社会的地位低下。基于这样的历史和现状,书写阿伊努历史的文学作品极少出现,而《柯夏玛因记》描写的正是阿伊努民族被剥夺居住地、被否定传统文化走向没落的历史,揭露了日本殖民征服的野蛮行径,富有史料价值和现实意义。

### 三、柯夏玛因的伦理身份转换与悲剧之死

柯夏玛因带领母亲到达尤拉普部落后,发誓等待时机进行战斗。与父亲有刎颈之交的伊克特伊酋长不仅接纳了他们,还为他们找到了被称为“神园”<sup>1</sup>的藏身之处,并且为助其实现父亲延续血脉的遗愿把小女儿许配给他。神园是人与自然和谐相处的阿伊努民族的理想家园,是未被殖民者践踏的圣地。对神的敬畏就是对自然的敬畏,是阿伊努人遵循的社会秩序,是他们做出各种伦理选择的核心观念。

为进行最后一战,柯夏玛因决定寻访部落聚集力量。然而,他却目睹了族人沉沦、旧地没落的荒凉景象,甚至回到故乡看到父亲战死的遗迹时也因沮丧变得麻木。他预感到自己将要面临的伦理选择,也是留给自己的无奈的选择,便是放弃复仇。可以说,这次游说之旅,是柯夏玛因对自己的人生以及阿伊努民族衰亡历史的回忆之旅,经历了最初的雄心勃勃、中途的失落沮丧、最后重整旗鼓之理想幻灭的心路历程。从中可以分析导致柯夏玛因游说失败被孤立的原因,而这与他脱离实际的理想主义不无关联。他和母亲、妻子三人在神园隐居多年,过着与外界隔绝的生活,在此期间,他虽然没有忘记复仇,但并未实施行动。与幼少年期接受母亲的复仇教育、青年期亲赴战场的经历相比,中年期的这段经历,没有体现再度卧薪尝胆的决心和积极行动。结果,

1 阿伊努语为:カムイミンダラ。



他做出的决战的选择，被发生巨变的外界现实社会轻易击败。另一方面，小说通过尤拉普部落老酋长“是智慧打败了我们”（鹤田知也 82）之语，对阿伊努的现状进行了理性的总结和反思，对日本社会先进的生活方式予以认同。确切地说，老酋长是对日本优势文化的认同，而非对其侵略行径的认输。因此，柯夏玛因也只能与老酋长一样选择隐忍，他既没有像一些部落酋长那样充当日本衙役，也没有像众多族人那样听命于承包商的使唤，他的内心深处并没有轻易放下对日本人的仇恨和戒备。

柯夏玛因失去酋长的伦理身份和社会身份后，开始从另一个角度看待日本社会，使他的道德准则和行为发生了变化，他开始区别对待日本人。当他看到日本伐木工人被日本监工头殴打后发出惨叫声时感到一丝快意，但看到打人的日本工头时却又感到无名的愤怒；当他从一个逃到自家门口濒死的工人口中得知日本工头残酷虐待生病工人之举时感到疑惑不解。在柯夏玛因遵循的阿伊努社会的伦理秩序看来，强迫患有重病的人劳动是违反戒律的行为，因此他无法理解日本工头不顾工人死活以最大限度地榨取为目的的行为。他们生活在两个伦理秩序中，不断发生着碰撞。值得注意的是，柯夏玛因通过偶然救助病死日本工人的事件，在行为上发生了改变，虽然他无法理解日本阶级社会的确切含义，对其存在的不平等的压榨现象感到困惑不解，更无法理解造成这种现象的根源，但是他开始区别看待日本人，对穷苦工人产生了同情。

在柯夏玛因怀有远大志向决心与日本殖民者斗争的时候，为了保全自我，他一直处于小心躲避和高度戒备的状态，有意避免与日本人做正面交锋。但在小说结尾出现了柯夏玛因与日本人直接接触的场景，这是他完成由酋长变成普通人的伦理身份转换后才产生的结果。柯夏玛因与日本人有刻骨铭心的杀父之仇，深知日本人的伎俩，但是当他开始同情日本底层工人时便放下了戒备。甚至以埋葬病逝者为契机开始与他们交往，对方也做出了回应，特意为同伴扫墓，这个举动让柯夏玛因觉得他们对自己心存感激，使他进一步放下了戒备。但是他没有防备到人性丑恶的一面，日本伐木工早已盯上了他的妻子，不怀好意地灌醉柯夏玛因设计夺走其生命。一个人动手后其他人蜂拥而上，而且抛尸后竟相上船划向对岸，显然早有预谋。而柯夏玛因则表现了正人君子的言行，不计仇恨施救病重的日本人、死后还将其埋葬并设置墓标，这与日本人将他的尸骸抛到河里、任鸟鼠啃食的行径形成了鲜明的对比。柯夏玛因临死前发出悲鸣“又被你们暗算了！”，将小说表现的伦理道德冲突推向高峰。小说具有两个对峙的伦理结构，一方面是以惯用暗算手段为代表的日本社会的行为规范，另一方面是遵循言行表里一致的阿伊努社会的道德准则，当双方发生冲突时便不可避免的导致了悲剧的发生。

《柯夏玛因记》站在同情阿伊努民族的立场上描写了阿伊努民族被大和民族征服的历史悲剧，从文学角度书写了日本殖民者征服阿伊努民族的侵略历史，以及日本依靠强大的武力镇压和经济文化渗透手段实现对阿伊努民族进行同化的历史空间。小说对阿伊努伦理价值观表示高度认同，对其遭到破坏表现痛惜，对导致这一切发生的殖民侵略行径给予谴责。小说对柯夏玛因的伦理身份和伦理选择以及伦理困惑的描写均紧紧围绕阿伊努社会的伦理秩序和价值观变迁展开。柯夏玛因恪守言行表里如一的道德准则却落得惨死的结局，这是由大和民族的殖民入侵导致的，也是由两个社会不同的价值观冲撞导致的。柯夏玛因从决心践行英雄之死到最后变成凡人之死的悲剧，正是阿伊努人被大和民族殖民入侵历史的真实写照。

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## 一个典型的伦理悲剧：

## 丧子情节中的伦理困境与伦理选择

# A Typical Ethical Tragedy: Ethical Dilemma and Ethical Choice in the Bereavement Plot

张必春（Zhang Bichun） 刘敏华（Liu Minhua）

**内容摘要：**作为一个典型的伦理悲剧，文学文本中的丧子情节不仅是一个有力推动故事发展、形成矛盾冲突的叙事情节，更是一个蕴含人物伦理困境和伦理选择的伦理事件。丧子事件不仅使丧子者长期陷入无法逃离的伦理环境，而且使其面临夫妻关系伦理和血脉祭祀伦理等无法跨越的伦理困境。在丧子之思的伦理焦虑中，夫妻双方的伦理选择蕴含人性因子与兽性因子彼此冲突的斯芬克斯因子。丧子夫妻之间聚合离散等多种形式的伦理选择，改变并重塑夫妻双方的伦理身份。因此，丧子情节映照出人类社会中普遍存在的伦理困境和伦理选择问题，兼具文本叙事、伦理探讨和思想分析等多重功能。

**关键词：**丧子情节；伦理困境；伦理选择；文学伦理学批评

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**Title:** Ethical Dilemma and Ethical Choice in the Bereavement Plot as a Typical Ethical Tragedy

**Abstract:** As a typical ethical tragedy, the bereavement plot in the literary text is not only a narrative plot that effectively promotes the development of the story and forms contradictions and conflicts, but also an ethical event containing the characters' ethical dilemma and ethical choice. The bereavement of children not only makes the bereaved fall into an ethical environment that they can't escape for a long time, but also makes them face insurmountable ethical dilemmas such as husband wife relationship ethics and blood sacrifice ethics. In the ethical anxiety of losing children, the ethical choice of husband and wife contains the Sphinx factor of the conflict between human factor and animal factor. Various forms of ethical choices between bereaved couples change and reshape the ethical identity of both

husband and wife. Therefore, the bereavement plot reflects the widespread ethical dilemma and ethical choice in human society, and has multiple functions such as text narration, ethical discussion and ideological analysis.

**Keywords:** the bereavement plot; ethical dilemma; ethical choice; Ethical Literary Criticism

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在充满不确定性、脆弱性和风险性的现代社会中，受家庭结构、社会关系和伦理文化等多重因素影响，丧子事件不仅仅直接意味父母血脉和家族传承的猝然中止，也深刻影响丧子父母的夫妻情感关系和家庭伦理结构。就此而论，丧子问题本质上是一个具有社会性结构、情感性因素和文化性特质的伦理问题，其中蕴涵着伦理困境的产生、伦理身份的转换、伦理选择的发生、伦理认同的重构。作为一种从伦理视角阅读、分析和阐释文学的批评方法，文学伦理学批评“以文学文本为主要批评对象，从伦理的视角解释文本中描写的不同生活现象，在人与自我、人与他人、人与社会以及人与自然的复杂伦理关系中，对处于特定历史环境中不同的伦理选择范例进行解剖，分析伦理选择的不同动机，剖析伦理选择的过程，揭示不同选择给我们带来的道德启示，发现可供效仿的道德榜样，为人类文明的进步提供经验和教训”（聂珍钊 5-6），其中伦理选择、伦理环境和伦理身份是三个重要维度。在文学文本的丧子情节中，丧子者常常会面临伦理环境和伦理身份剧变带来的强烈困惑，既会受到伦理语境、伦理困境和伦理焦虑的潜在折磨，也会在夫妻关系和血脉传承伦理之间发生摇摆。

### 一、丧子之痛与伦理环境的内在制约

在文学伦理学批评的概念体系中，“伦理的核心关注点是在人与他人、人与社会、人与自然之间建立的公认的伦理关系。此外，它还涉及从伦理关系和各种伦理规范中衍生出来的道德秩序”（Nie, “Ethical Literary Criticism: A Basic Theory” 190）<sup>1</sup>。从历史主义角度出发，“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 256）。丧子情节作为伦理事件发生之后，丧子父母往往会在情感和行为上发生前所未有的变化，面临多

<sup>1</sup> 凡未特殊注明，均出自笔者拙译。

重伦理环境的挤压拷问,产生强烈的伦理焦虑和身份迷失。换言之,丧子之痛带来的伦理变化,会对丧子者产生内在的精神制约;其中,文化伦理环境和时代伦理环境最为重要。

其一,丧子者无法逃离具体的文化伦理环境。尽管有着集体主义或个人主义的内在区别,中外主流文化传统大多注重个体或群体的道德修养和道德教化,强调人与人、人与社会之间的伦理意识和伦理规范,以及与此相关的一系列规范和理念;其中,东方文化大多强调血脉传承是家庭的第一要义,重视生育孩子传承家族。“婚姻的意义就在建立这社会结构中的基本三角〔……〕夫妇关系以亲子关系为前提,亲子关系也以夫妇关系为必要条件。这是三角形的三边,不能短缺的”(费孝通 159)。孩子去世或子女夭折,不仅会导致夫妻关系破裂,影响家庭稳定,而且会导致家族血脉中断,丧子者成为家族罪人。当丧子者的遭遇与所认同的伦理环境相悖时,这种文化伦理会内在制约丧子父母,成为其心头的沉重枷锁。注重家族和关注人伦的伦理环境,在文学文本中得到比较生动的再现与改写。班纳特太太只有五个女儿,根据彼时法律家族财产只能由男性继承,班纳特太太便寄希望于将女儿们嫁给有钱的单身汉。她认可给家庭带来耻辱却嫁给有钱人的琳达,显示了班纳特太太的伦理选择:在道德标准和继承伦理中选择继承伦理。<sup>1</sup>由于心爱的幼子夭折,布鲁姆在精神上受到无法弥补的创伤,妻子不忠使他再生子女的愿望落空。因此,布卢姆寻子在很大程度上是他需要一个后代来巩固自己的身份和延续家族。<sup>2</sup>女儿意外去世后,瑞德和斯嘉丽在一起的唯一原因和纽带也消失了,瑞德最终厌倦斯嘉丽的“感情游戏”,对失去孩子的家庭生活也再无留恋,独自回到故乡寻找宁静的生活。<sup>3</sup>卜绣文不惜通过再生育孩子并牺牲其性命来挽救患渐进性贫血症独女的生命,但遭到丈夫的极力反对。在根本上,卜绣文及丈夫有着同样的家庭伦理观:子女是家庭生活的核心,是他们生命意义的延续。<sup>4</sup>许三观先后十二次卖血,其中七次为一乐,一次为二乐,一次为全家。在许三观的认知中,家庭稳定、子女平安是最为重要的伦理纲常,是他的安身立命之本。<sup>5</sup>对于父母而言,孩子不仅是连结夫妻情感的纽带,也是家庭未来的希望、血脉和文化的传承。

其二,丧子者无法逃离特定的时代伦理环境。这是丧子者在特定的时代内塑型的特殊伦理观念,因为丧子者普遍年龄较大,根据其出生时代塑造的家庭伦理观念有以下特征:首先,家庭结构的变迁使得核心家庭成为最普遍的家庭形态,家庭结构呈现出小型化的趋势;其次,大多数人保有传统的家庭观和婚育观,拥有生育孩子的强烈意愿,希望孩子传承自身血脉。然而,

1 参见 简·奥斯汀:《傲慢与偏见》,孙致礼译(西安:西安交通大学出版社,2015年)2-24。

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4 参见 毕淑敏:《血玲珑》(长沙:湖南文艺出版社,2014年)7-29。

5 参见 余华:《许三观卖血记》(北京:人民文学出版社,2004年)206。

孩子去世后，固定的成长环境和思维模式导致他们难以改变对拥有孩子的渴望。由此，他们可能会丧失生活的激情与动力，独立面对时代塑造出的伦理环境给自己带来的困惑与苦痛。以《活着》为代表的文学文本的叙事重心和伦理意义，不仅是生动讲述中国普通人所承受和经历的世纪苦难，也是集中呈现中国底层民众的道德意识和伦理价值观，更反映了时代的伦理环境，形象折射出中国老百姓朴素的伦理认知和坚韧的伦理选择。福贵与妻子家珍本有一对儿女，过着平凡普通的日常生活。然而，因血型与县长夫人相同，儿子有庆为救人因抽血过多而不幸死去。闻听儿子死去，心情焦虑的福贵“一下子就看不见医生了，脑袋里黑乎乎一片，只有眼泪哗哗地掉出来”（余华 126）；得知儿子已下葬，骨瘦如柴的家珍“扑在了有庆坟上，眼泪哗哗地流，两只手在坟上像是要摸有庆”（余华 133）。儿子不仅仅是福贵与家珍之间伦理身份和伦理情感的重要纽带，更是人生希望和生活期待的情感寄托。儿子意外夭折后，聋哑女儿凤霞成为福贵的独子，不幸的是，女儿婚后因生产流血过多而意外死去，留下苦命的外孙苦根。“凤霞生下了孩子后大出血，天黑前断了气”（余华 172）。女儿的离去，彻底摧毁了二人对儿女基于血缘的伦理身份，也终结了二人对儿女朴素的牵挂操心，一如家珍所言：“凤霞、有庆都死在我前头，我心也定了，用不着再为他们操心，怎么说我也是做娘的女人，两个孩子活着时都孝顺我，做人能做成这样我该知足了”（余华 176）。在女儿凤霞去世三个月后，家珍也随之而亡，留下孙子苦根与福贵相依为命。谁知苦根因吃豆子过多撑死，福贵孑然一身，面对苦难重重的生活。

简言之，文学文本中丧子情节的发生，有力推动了故事情节的发展，使丧子者面临无法逃离的伦理环境，其中既有文化伦理环境的制约，又有时代伦理环境的型塑。丧子者会通过多种方式试图逃离以往的生活环境，但外在环境的改变显然无法弥合心中的伤痕。他们难以逃离的是被文化和时代内化于心的伦理环境。置身于社会性和文化性的伦理环境中，丧子者往往面临伴随丧子之问带来的难以跨越的伦理困境。

## 二、丧子之问与伦理困境的深层拷问

在文学文本中，子女死亡作为一个推进文本叙事、牵动伦理关系的伦理事件，直接把丧子者逼入难以跨越的伦理环境，使其面临来自夫妻关系与血脉传承的伦理拷问。二者常常彼此对立，难以协调，形成比较典型的伦理困境或伦理悖论。

其一，丧子事件使丧子者面临无法逃避的血脉传承的伦理困境。一般说来，生儿育女既延续家族血脉传承，又佐证家庭伦理品德。正因如此，子女死亡使得丧子者大多面临着家族血脉伦理和夫妻关系伦理的双重拷问。父权制社会伦理普遍重视父系血缘传承，关注家庭的完整和家族的繁衍。子女死亡，既关乎个人身份和夫妻关系，更关涉家族血脉传承；在东亚传统伦理文化中，子女夭

折短期消解的是丧子者的父母伦理身份和夫妻伦理关系，长期消解的是家族血脉传承伦理。对丧子父母而言，走出丧子之痛的有效途径之一是再生育子女。由于普遍年龄较大、男女生理结构差异，丧子父母常常面临彼此冲突、二中选一的伦理困境：要么牺牲血脉祭祀伦理，选择夫妻关系伦理，陪着伴侣终老一生；要么牺牲夫妻关系伦理，选择血脉祭祀伦理，另择配偶进行补救性生育。文学文本以形象的叙事和具体的场景，悄然呈现出丧子者两难的伦理困境与面临的巨大痛苦。在《祝福》中，相对丈夫遽然死去，痛失独子对祥林嫂的打击更强。它不仅在伦理关系上让母亲身份随之消失，也让她身体上备受打击形容枯槁面无血色，更在心理层面上让她饱受创伤精神错乱，成为闲人茶余饭后的笑料和谈资。<sup>1</sup>在丧夫和丧子的双重精神打击下，祥林嫂面临着难以跨越的伦理困境：是再嫁他人再生子女，还是孑然一身孤寡终生？是融入宗族放弃自我，还是麻木不仁放逐自己？如何以社会认同的伦理身份融入父权制家族中，融入以家族血脉为纽带的血脉祭祀伦理中，这应该是摆在祥林嫂面前的重要现实问题。在父权制、宗族势力和封建思想的多重压迫下，祥林嫂孤身一人，走投无路，只能离开夫家，靠打短工勉强糊口。丧子之痛让祥林嫂离开夫家，失去家族保护，这也等同于放弃血脉祭祀伦理。丧子之痛还让祥林嫂身心遭受沉重的双重打击，不仅直接导致她在日常工作中精神恍惚，记忆衰退，而且在众人眼中变得伤风败俗，祭祀时的伦理身份被彻底改变。“然而这一回，她的境遇却改变得非常大。上工之后得两三天，主人们就觉得她手脚已没有先前一样灵活，记性也坏得多，死尸似地脸上又整日没有笑影，四婶的口气上，已颇有些不满。当她初到的时候，四叔（……）暗暗地告诫四婶说，祭祀时候可用不着她插手，一切饭菜，只好自己做，否则，不干不净，祖宗是不吃的”（鲁迅 16）。面对众人的同情和戏谑、嘲讽和指摘，祥林嫂被剥离了曾经的社会身份和伦理身份，只能以沉默来回应一切，沉浸在悲伤麻木之中。由此，祥林嫂被彻底剥夺伦理身份，只能通过“捐门槛”获得片刻的心理慰藉，这一事实表明伦理身份的改变给丧子者带来的巨大伦理困境。

其二，丧子事件使丧子者面临岌岌可危的夫妻关系伦理困境。在面对夫妻关系伦理压力时，部分丧子者（主要是女性）会通过纵容丈夫出轨来保持婚姻的完整性，在维系夫妻关系伦理时弃绝了血脉祭祀伦理。文学作品也有相类似的情节。尽管黛西对盖茨比颇为爱慕并与之有越轨行为，尽管汤姆背叛黛西在外边情人不断，但最后黛西和汤姆的婚姻还是得以维系下去。<sup>2</sup>由于布卢姆性功能衰退，妻子莫莉不甘寂寞常常招蜂引蝶，这一切均使布卢姆蒙受着难言羞辱和精神折磨。但是，布鲁姆依然选择维持原有的夫妻关系，通过原谅妻子

1 参见鲁迅：“祝福”，《鲁迅全集》第2卷（北京：人民文学出版社，2005年）17-18。

2 参见菲茨杰拉德：《了不起的盖茨比》，董继平译（杭州：浙江文艺出版社，2017年）17、137、187。



的不忠行为，维系其夫妻关系伦理。<sup>1</sup>对于夫妻二人而言，无论遇到何种困境，轻易放弃夫妻关系是一种不负责任和有违伦理的行为，即使以颠覆另一种伦理关系为代价也要尽量保证夫妻关系的稳定。当面临血脉传承伦理压力时，部分丧子者会做出权宜之变，以延续血脉传承伦理。对于父权制社会而言，子嗣存续意味血脉传承，血脉继嗣涉及家族延续；较之女性，男性往往会对血脉祭祀伦理有更大的传承责任。处于伦理困境中的男性丧子者，大多会通过出轨和离婚两种途径寻求突破。出轨主要指丧子者保留原有的婚姻形式，但同时与处于生育年龄的女性生育私生子。就道德伦理而言，出轨显然是对夫妻关系伦理的强力背叛，私生子则是对传统家庭伦理的挑战。在文学文本中，二者均可视为对夫妻关系和家庭伦理等命题的叙事探讨。得知安娜与沃隆斯基偷情，卡列宁试图通过宗教、伦理和舆论约束安娜的出轨行为。<sup>2</sup>得知自己的私生子身份，亚瑟·博尔顿坚持的信仰和伦理纲常被摧毁，选择出走南美洲、流亡十三年，而蒙太尼里神父渴望父子亲情却无法得到，多年来内心一直备受煎熬。<sup>3</sup>每个人都在为伦理的颠覆付出代价。离婚主要指丧子者结束夫妻关系，男性再次组建家庭并生育子女。对于丧子者而言，子女死亡，夫妻双方失去联系纽带，此时夫妻二人如同断线的风筝，如果没有足够的吸引力，很难再到一起。各有家庭的九木与凇子相恋，其违背夫妻伦理的行为被察觉后，九木的妻子催促其在离婚书上签字，试图通过离婚结束夫妻关系；但凇子的丈夫通过不离婚惩罚凇子，不让她再找配偶。<sup>4</sup>杜洛瓦因为想要追求更年轻漂亮的苏珊而通过一场捉奸闹剧逼迫玛德莱娜与他离婚，夫妻双方的行为都颠覆了传统的道德约束，离婚也是必然的伦理选择。<sup>5</sup>

在丧子情节中，由于丧子者身份剧变而导致的伦理混乱，给丧子者带来难以解决的伦理矛盾与伦理冲突，形成普遍存在于文学文本中的伦理困境。若选择捍卫血脉祭祀伦理，就会违背夫妻关系伦理；若选择坚守夫妻关系伦理，就会违背血脉祭祀伦理。在两种伦理关系之间进行理性选择并非覆手易事，这主要涉及伦理选择中的三个阶段与斯芬克斯因子。

### 三、丧子之思与伦理选择的三个阶段

面对充满苦闷和焦虑的伦理困境中，丧子者经过自由意志与理性意志的冲突融合，会根据不同的身份认知做出不同的伦理选择，从而“从伦理上解决人的身份问题，（……）从责任、义务和道德等价值方面对人的身份进行

1 参见 詹姆斯·乔伊斯：《尤利西斯》，金隽译（北京：人民文学出版社，1996年）96—104。

2 参见 列夫·托尔斯泰：《安娜·卡列尼娜》上，草婴译（上海：上海译文出版社，1982年）887—890。

3 参见 艾·丽·伏尼契：《牛虻》，李俟民译（北京：中国青年出版社，2018年）74—90。

4 参见 渡边淳一：《失乐园》，林少华译（青岛：青岛出版社，2017年）215—217。

5 参见 莫泊桑：《漂亮朋友》，张冠尧译（北京：人民文学出版社，2016年）284—295。



确认”（聂珍钊 263）。这种伦理选择既会符合某一时期的道德准则，也会违背普遍认同的道德伦理，更会善恶并存难以简单论断。其中，斯芬克斯因子中人性因子和兽性因子的此消彼长，是伦理选择是否合乎道德的内在成因；而“人性因子是人类在从野蛮向文明进化过程中进行生物选择，由人类头脑所体现的伦理意识；兽性因子是指人在原始欲望影响下的动物本能”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 383）。

面对两难的伦理困境，男性丧子者的伦理选择具有明显的典型性和主动性，其内在运作逻辑就是斯芬克斯因子力量的较量。子女死亡后，丧子者面临家庭结构的改变，面对无法起死回生的子女，进行补偿性生育是可行办法。然而，大多数女性丧子者已经过了生育期，在婚姻内部寻求补偿性生育行不通。此时男性丧子者只能分居或离婚，努力重新寻找在生育期的配偶重新生育子女，这种选择主要遵从血脉传承伦理，属于人的动物本能，是兽性的具体表征。在伦理选择过程中，丧子者斯芬克斯因子内部力量的对比演进大致包括三个阶段。

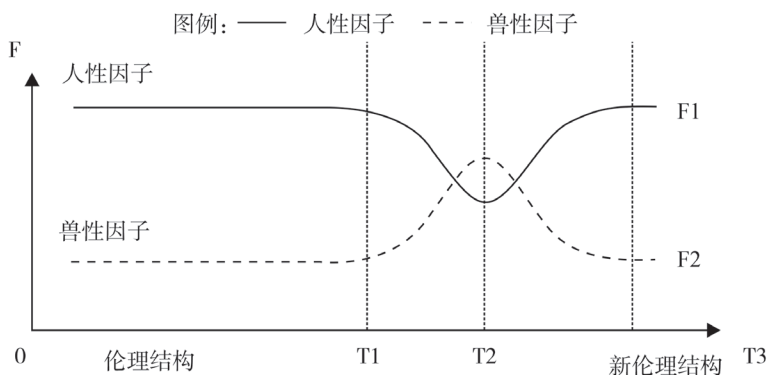


图1 丧子者的斯芬克斯因子内部力量对比演进图

**第一阶段：0-T1**代表丧子前的伦理教诲阶段，人性因子能够抑制兽性因子。因为长期生活在传统伦理语境中，行动者伦理意识形成，社会伦理身份确立，这时候各自的行为规范、人物关系是确定且稳定的，夫妻都应该做到爱情专一、感情忠诚、忠于对方，形塑造了一种夫妻恩爱、父慈子孝家庭伦理结构。在这种伦理环境中，人性因子在强度上远远超过兽性因子，当人性因子控制兽性因子时，当事者成为有伦理意识的人，此时其伦理结构保持稳定。

**第二阶段：T1-T2**代表丧子后的哀伤阶段，这时候人性因子逐渐降低，兽性因子逐渐上升，进入伦理结构震荡期。在这个阶段子女刚刚死亡，丧子者（尤其是男性）的人性因子强度开始下降，兽性因子强度增强，并反超人性因子，最终形成兽性因子占主导，控制或抑制人性因子。子女死亡后，面对已经过了生育周期的妻子，加上双方可能因为患有创伤后应激反应障碍，丧子者的

思想和行为偏向极端。如果此时出现补偿生育的可能，这会给丧子者带来极高的替代性选择比较水平（ $CL_{alt}$ ）。这种能够生育子女、延续血脉的预期，恰似《麦克白》中的女巫预言会诱发麦克白身上的兽性因子，并使其不受人性因子的约束，丧子者抛家弃子重新组建家庭的兽性因子被诱发出来，其强度（图1或图2中T1到T2阶段的F2所示）逐渐壮大。这在一定程度上反应出丧子者对人类伦理的放弃和对动物伦理的接受。选择离婚或者分居以谋求补偿性生育，必然意味着对婚姻的背叛。对女性丧子者而言，她既要遭受丧子打击，又要遭到婚姻背叛。这也说明男性丧子者的人性因子强度降低（图1或图2中T1到T2阶段的F1所示）；对此大部分女性丧子者多睁一眼闭一眼，予以无奈的默认。有配偶者与他人同居，很显然对现代婚姻制度的挑战和颠覆。然而女性丧子者非但没有进行权利维护，反而帮助男性丧子者抚育非婚生子女，这反向说明为了延续子嗣，男性丧子者的兽性因子（F2）逐渐升高，即便如此体贴的发妻也要选择背叛，人性因子强度（F1）的降低。

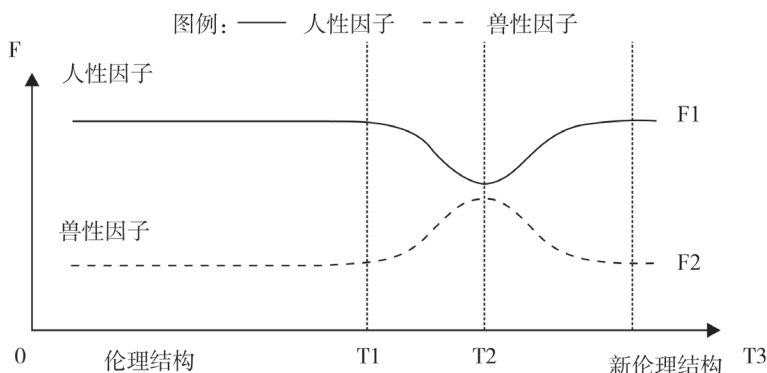


图2 丧子者的斯芬克斯因子内部力量对比演进图

第三个阶段：T2-T3代表丧子后的伦理选择阶段。首先，人性因子强度降低，兽性因子强度升高，到一定的时间，兽性因子会超过人性因子，即T2时间点上出现 $F1 < F2$ （详见图2）。这种情况下，人性因子难以再借助理性意志指导、约束和控制兽性因子中的自由意志，这时如果出现比较高的替代选择比较水平（ $CL_{alt}$ ），那离婚和分居几乎是必然选择。其次，虽然人性因子强度降低，兽性因子强度升高，但从强度上来看，人性因子强度会超过兽性因子，即T2时间点上出现 $F1 > F2$ 。这种情况下人性因子是主导因子，让人弃恶从善，避免兽性因子违背伦理，男性丧子者虽然有所动摇，但是最后时刻夫妻关系伦理战胜了血脉祭祀伦理，夫妻关系保持稳定。最后，经过人性因子强度的升高和兽性因子强度的降低，二者强度相差无几，即T2时间点上出现 $F1 = F2$ 。此时人性因子和兽性因子会相对平衡，达到伦理意识和伦理规范的动态稳定，即所谓的“追寻斯芬克斯因子的理想平衡”（吴笛 21）。此时伦理选择取决于替代选

择水平 ( $CL_{alt}$ ) 的强度高低: 如另择配偶补偿生育的可行性非常大, 男性丧子者也会发生动摇; 如可行性一般或代价极大, 男性丧子者会因年龄身体等原因而维持现状。

在丧子情节中, 从丧子前的伦理教诲阶段, 到丧子后的哀伤阶段, 再到丧子后的伦理选择阶段, 丧子者经历的不同阶段均包含潜在的伦理认知和伦理冲突, 蕴含人性因子与兽性因子的彼此冲突和相互平衡。惟有人性因子超过兽性因子, 达到斯芬克斯因子的理想平衡, 丧子夫妻才能在伦理困境中彼此扶持, 做出符合伦理身份、普遍道德和伦理诉求的伦理选择。

#### 四、丧子之变与伦理身份的自我重构

在文本叙事中, 丧子情节对丧子者伦理身份的影响是持续深远的。它不仅改变丧子者为人父母的身份, 也影响他们之间夫妻身份的延续。无论丧子者的伦理选择怎样, 他们都会在伦理困境的基础上重塑新的伦理结构, 在自我重构中获得新的伦理认知和伦理身份。

首先, 丧子者的伦理结构发生巨大的重组。当人性因子超过兽性因子时, 夫妻关系伦理战胜了血脉祭祀伦理。在这种状态中, 虽然在孩子死亡后丧子者仍坚持对婚姻的忠诚, 夫妻关系保持稳定状态, 但作为家庭的核心成员和支柱的孩子去世, 对丧子者的个人价值观、生活结构、婚姻功能和夫妻沟通具有极大的负面影响。<sup>1</sup> 子女既是夫妻关系的安全阀, 也是摧毁家庭的爆发点。由于经历了子女从有到无的过程, 他们在心理上会产生相对被剥夺感, 轻则影响夫妻关系的和谐, 重则影响家庭稳定, 使家庭从有核心变成无核心、从稳定状态变成松散状态。甚至子女死亡后, 一些丧子父母的夫妻关系出现形式化、空心化和躯壳化的趋势——虽有夫妻之名, 但无夫妻之实, 伦理结构被强力颠覆或重构。其次, 丧子者的伦理语境发生剧烈的变化。对核心家庭而言, 通常的伦理语境是一般围绕子女展开, 话题一般落脚在子女的成长成才、娶妻生子。然而, 丧子事件颠覆了这种伦理语境, 丧子者的意识、思考和观念都发生变化。就意识而言, 他们会更多地思考的生存问题, 而不是发展问题, 且这种思考往往缺乏逻辑性, 导致双方沟通中断。有丧子者夫妻双方虽然保持表面上的夫妻关系, 但是夫妻之间交流的中断, 感觉像是生活在两个世界的人<sup>2</sup>; 有丧子者相互压抑, 如履薄冰, 彼此隔膜。就观念而言, 从家族血脉的延续者到浑浑噩噩的丧子者, 相应的对当前权力和义务、未来声望和地位关注程度急剧降低, 这是子女死亡后丧子者的一个重要观念转变。最后, 伦理语境变化助推丧子者伦理身份重塑。当人性因子强度降低, 兽性因子超过人性因子或与人性因子相差无几时, 男性丧子者将会选择和前妻离婚或者分

1 See L.E. Oliver, "Effects of a Child's Death on the Marital Relationship: A Review." *Omega* 3 (1999): 197-227.

2 See R. Schwab, "Effects of a Child's Death on the Marital Relationship: A Preliminary Study." *Death Studies* 2 (1992): 141-54.

居，重新选择年轻配偶、组建家庭。新的婚姻关系形成后，男性丧子者进入新伦理结构，拥有新伦理身份，进而从责任、义务、道德等方面确认新的伦理身份。心爱的女儿莉迪亚死后，詹姆斯在痛苦和烦恼中背叛了自己的妻子，转而投向黑头发、温顺乖巧的华裔女孩路易莎的怀抱。<sup>1</sup> 当新伦理身份得到确认并认同之后，男性丧子者想要继续这段婚姻关系，他的兽性因子强度开始下降（即 T2 到 T3 时间段内 F2 的下降），人性因子强度开始上升（即 T2 到 T3 时间段内 F1 的上升），当人性因子超过兽性因子时，丧子者会做出符合道德规范和伦理秩序的行为，这时就会进入新的婚姻稳定期。

在诗剧《浮士德》中，中世纪后期德国小镇平民女孩玛甘泪与浮士德偷吃禁果，未婚先孕，违背宗教伦理和世俗道德，备受世人指责。迫于各种压力，玛甘泪淹死婴儿，主动选择坐牢赎罪。失去婴儿，不仅意味浮士德与玛甘泪失去父母的伦理身份，也预示浮士德开始认真思考爱情婚姻和家国责任。在这一伦理身份转换过程中，浮士德重新思考爱情价值、道德准则和伦理身份等问题，实现了从人生“小宇宙”到世界“大宇宙”的转换。<sup>2</sup> 由此，浮士德与玛甘泪失去婴儿，本质上可视为一个兼具文学叙事和思想价值、道德训诫和信仰分野的伦理事件。经历政治事业的失败后，浮士德在血脉祭祀和夫妻关系的张力结构中选择了后者。他游历古希腊神话世界，不可救药地爱上古希腊美女海伦，并与之生下孩子欧福里翁；后来，欧福里翁不幸坠崖死去后，浮士德与海伦为之陷入沉重的忧愁和思念之中。忧伤过度的海伦不禁感叹，幸福与美好无法持久两全，联系二人爱的纽带断掉了，生命的纽带亦随之断掉。在伦理身份上，欧福里翁之死意味着浮士德与海伦之间的伦理纽带猝然断裂。二人失去为人父母的伦理身份，回归最初夫妻的伦理身份，但彼此之间的伦理情感与自我认知发生巨大变化，而海伦的逝去则进一步消解了二人的夫妻伦理身份。在伦理结构上，欧福里翁坠崖而亡使以子女为纽带的家庭伦理结构悄然消逝，海伦叹谓离去则使以婚姻为基础的夫妻伦理关系彻底崩塌。面临丧子之变和爱妻离去带来的精神创伤，浮士德并未沉沦于伦理困境不可自拔，而是以填海造田、改造荒山、创建理性王国的事业追求，将个人价值和社会价值有机结合起来，在社会伦理身份的确立中，重塑了一个追求理性、启蒙民众、介入社会的理想自我。

总之，伴随伦理结构的重组和伦理语境的变化，丧子者会对自我身份有新的伦理认知和自我定位，在婚姻家庭、社会法律和道德文化等综合因素的共同作用下，重塑自我的伦理身份和伦理观念，进而消解丧子之变带来的难以言说的身体伤害和精神创伤。

从文学伦理学批评角度而言，丧子情节不仅是一个有力推动故事发展、

1 参见 伍绮诗：《无声告白》，孙璐译（南京：江苏凤凰文艺出版社，2015 年）202。

2 参见 歌德：《浮士德》，绿原译（北京：人民文学出版社，2003 年）128-133。

形成矛盾冲突的叙事情节，更是一个蕴含人物伦理困境和伦理选择的伦理事件。丧子事件作为典型伦理问题，不仅使丧子父母长期陷入无法逃离的伦理环境，而且使其面临夫妻关系和血脉传承伦理等无法跨越的伦理困境。在丧子之思的伦理焦虑中，夫妻双方的伦理选择蕴含人性因子与兽性因子彼此冲突的斯芬克斯因子。丧子夫妻之间聚合离散等多种形式的伦理选择，改变并重塑夫妻双方的伦理身份。在文化和时代的伦理环境背景下，面对子女死亡的巨大变故，丧子父母常常面临选择夫妻关系伦理还是血脉继嗣伦理的两难境地，往往会建构出新的伦理结构并面临新的伦理困惑。在人性因子与兽性因子、传统文化与婚姻价值等因素的共同作用下，如何做出理性的伦理选择并适应新的伦理结构，是需要进一步思考的问题。因此，既要平衡兽性因子与人性因子的内在关系，又要在传统文化和婚姻价值观中找到平衡点。克制兽性因子带来的违背道德的消极作用，发挥人性因子的符合道德的积极作用，可以使丧子者在伦理选择时能以坚定的道德准则为指引，从伦理困境中寻求出口；同时，民族文化伦理中的生育观念和思想，婚姻家庭伦理中的责任性和义务性，都是丧子者伦理选择时需要考量的重要因素。如此一来，文学文本中的丧子情节作为伦理事件，映照出人类社会中普遍存在的伦理困境和伦理选择问题，兼具文本叙事、伦理探讨和思想分析等多重功能。

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# 美国重要文学奖的变化与当代美国文学的发展

## Changes in Important American Literary Awards and the Development of Contemporary American Literature

曾艳钰 (Zeng Yanyu)

**内容摘要:** 普利策文学奖 (Pulitzer Prize) 及国家图书奖 (National Book Award) 是美国两大重要文学奖, 因为稳定的评奖质量、极大的公信力, 这两大奖一直是美国文学界的风向标, 其发展历史就是二十世纪以来的美国文学史, 它对于美国文学的意义持续而深远。本文将简要概述美国重要文学奖研究现状, 聚焦这两大文学奖的发展变化, 探讨美国重要文学奖所反映出的美国社会文化及思潮的变迁, 文学奖在建构美国民族特性和国家想象方面的作用, 在促进美国文学经典化进程中的作用, 以及文学奖通过作家与作品来阐释、修正何谓美国性、何谓美国生活、何谓优秀美国文学的动态发展谱系。

**关键词:** 普利策文学奖; 国家图书奖; 当代美国文学

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**Abstract:** As the most important literary awards in America, Pulitzer Prize and the National Book Award with its high evaluating standards and credibility have been the signs for the changes in American literature. The history of these two awards interacts with American literary historical development, which exerted great impact on American literature. Through a brief introduction of the scholarship on American literary awards, this paper will trace the historical development of these awards, and try to investigate the issues as how the literary awards reflect the changes of American social and cultural thoughts, what roles the literary awards played in constructing American national identity and imagination, how the literary awards promoted the canonization of American literature, and the ways of reinterpreting and redefining “Americanness,” “American Life” and “Excellent American Literary Works” by writers and their works under the dynamic development of American literature.

**Keywords:** Pulitzer Prize; National Book Award; contemporary American literature

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重要文学奖对文化界、读者及文学发展的走向都有着非常重要的影响。在美国, 各类文学奖林林总总, 每年有 1100 多种奖项颁发给美国作家。有较大影响力的文学奖包括普利策文学奖及国家图书奖。因为稳定的评奖质量、极大的公信力, 普利策文学奖及国家图书奖一直是美国文学界的风向标。作为社会生活的公共活动, 这些奖项获得了美国社会的极大关注。每年从公布决选名单起, 美国民众就开始高度关注这些奖项, 而评奖名单的最后公布已成为美国出版界的盛典, 成为美国社会文化生活最重要的组成部分之一。

在各种英国文学奖中, 曼布克文学奖(The Man Booker Prize)独领风骚, 但美国文学奖有所不同, 并无所谓的最权威奖项之说。普利策小说奖创立于 1917 年, 是历史最悠久的美国文学奖项。它以“美国作家创作的, 反映美国生活的优秀小说”为评选标准(Stuckey 7), 设置有小说及戏剧等文学奖项。国家图书奖创立于 1950 年, 被称为“作家的文学奖”。它始终以“扩大美国文学的影响, 增加美国文学的读者, 并加强美国作品的文化价值”为宗旨(National Book Foundation), 目前设置有小说、非小说、诗歌、青少年文学、翻译文学等奖项。这两大文学奖尽管评奖规则各有不同, 但都关注美国民族身份的构建与认同。获奖作品涉及不同题材、表现形式多样, 再现出美国社会文化及思潮的变迁, 是“美国文学经典的基石”(詹姆斯·英格利什 2017)。这两大重要文学奖的历史, 就是二十世纪以来的美国文学史, 对美国文学有着持续而深远的影响。本文将简要概述美国重要文学奖研究现状, 聚焦这两大文学奖的发展变化, 探讨美国重要文学奖所反映出的美国社会文化及思潮的变迁, 文学奖在建构美国民族特性和国家想象方面的作用, 在促进美国文学经典化进程中的作用, 以及文学奖通过作家与作品来阐释、修正何谓美国性、何谓美国生活、何谓优秀美国文学的动态发展谱系。

### 一、美国重要文学奖研究现状

自文学奖设立以来, 国外对文学奖的相关学术研究不断涌现。以诺贝尔文学奖为例, 诺贝尔基金会从诺贝尔奖的渊源与五大评委会入手, 分别于 1950、1962 和 1972 年相继推出的研究成果, 深入剖析诺贝尔奖的内涵与渊源, 曝光评奖内幕以及官方对各种批评做出的辩护。诺奖设立百年后, 出现了不少回顾其百年历史研究, 如伯顿·费尔德曼(Burton Feildman)对诺奖进行的综合性和批判性的研究。他清晰地钩沉史实, 在同其他奖项的对比分析中对评奖标准及文学奖价值进行批评和质疑。<sup>1</sup>理查德·瓦伊斯(Richard

1 参见 Burton Feildman, *The Nobel Prize: A History of Genius, Controversy and Prestige* (New York: Arcade Publishing, 2001)。

Wires) 对诺奖百年历史中政治因素对遴选获奖作家的影响进行考察, 认为其影响是对文学本质、目的和评奖标准的争论, 涉及国家、地区和国际利益在评奖中所起的作用。<sup>1</sup> 曼布克文学奖设立于 1968 年, 由于媒体的广泛介入, 评选范围从英联邦国家逐步面向所有英语国家, 在文化生产方面获得巨大成功。学者们高度关注奖项研究, 如把布克奖置于消费文化中进行考察, 研究作家、出版商、读者、销售商之间的互动关系, 布克奖在促使边缘文学作品转化为西方大众文化商品的过程中所起的作用, 以及布克奖评选的文化实践活动中隐藏的权力关系等。<sup>2</sup>

美国文学奖研究可以分为以下四类: 一是对获奖作品价值取向的研究。这类研究主要着眼于某部或者某些作品是否应该入选, 分析其题材、影响力、社会价值以及评选机制, 但关注的是奖项而非获奖作品。这类研究的代表性学者主要有道格拉斯·贝茨 (J. Douglas Bates)、W. J. 斯塔凯 (W. J. Stuckey) 等。<sup>3</sup> 二是对文学奖获奖作家、作品的相关研究。此类研究的主要对象是具体的获奖作家或作品, 在有关美国文学奖的研究中占了大多数。三是对文学奖所蕴含的美国文学观、价值观以及引起的社会思潮的研究。此类研究主要关注文学观念、社会价值导向等方面的内容, 展开更深入的思考和研究。<sup>4</sup> 四是对文学奖文化生产的研究。詹姆斯·英格里奇 (James English) 的研究最具影响力, 是这类研究的代表。他从文学社会学角度研究文学奖文化生产中象征资本的循环与流通, 认为文学奖是在文化与经济、文化与社会、文化资本与政治资本之间进行交易的“最佳协商工具”。<sup>5</sup>

国内学界对美国文学奖的研究分为两类。一是对获奖作品的研究, 以对

1 参见 Richard Wires, *The Politics of the Nobel Prize in Literature: How the Laureates Were Selected, 1901-2007* (New York: Edwin Mellen Press, 2009)。

2 如 Richard Todd 把布克奖置于消费文化中进行考察, 把文学奖视为文化工业, 英语小说为文化商品, 肯定文学奖在创造商业价值与文学经典化中的作用; Graham Huggan 分析了布克奖在促使边缘文学作品转化为西方大众文化商品的过程中所起的作用; Claire Squires 从书籍史角度出发指出布克奖在小说的“接受”环节中发挥的最显著作用; Simone Murray 对布克奖在影视业的声望以及影视改编布克奖小说反过来对书业界的影响进行考察, 等等。参见: Richard Todd, *Consuming Fictions: The Booker Prize and Fiction in Britain Today* (London: Bloomsbury Publishing, 1996); Graham Huggan, *The Post-Colonial Exotic: Marketing the Margins* (London: Routledge, 2005); Claire Squires, *Marketing Literature: The Making of Contemporary Writing in Britain* (Basingstoke: Palgrave, 2007); Simone Murray, *The Adaptation Industry: The Cultural Economy of Contemporary Literary Adaptation* (New York: Routledge, 2012)。

3 参见 J. Douglas Bates, *The Pulitzer Prize: The Inside Story of America's Most Prestigious Award* (Secaucus: Carol Publishing Corporation, 1991); W. J. Stuckey, *The Pulitzer prize novels: A critical backward look* (Norman: U of Oklahoma P, 1966)。

4 参见 Joseph Wensink, *Literary Philanthropy: The Pulitzer Prize, Oprah's Book Club, and Contemporary U. S. Fiction* [D] (Brandeis University, 2012)。

5 参见 James English, *The Economy of Prestige: Prizes, Awards, and the Circulation of Cultural Value* (Cambridge: Harvard UP, 2008)。

获奖作品的艺术价值的文本阐释为主。获奖作家及作品已成为国内学界研究对象的风向标,获奖作家一直都是国内学界重点研究的对象。二是对国家图书奖及普利策小说奖的文学观念、社会价值导向等方面的研究,例如郭英剑等学者对美国国家图书奖每年获奖作品的总体分析,徐颖果、史鹏路、陈广兴等对普利策小说奖价值取向等方面的研究。

综上所述,当前国内外对文学奖的研究已取得了一系列成果,但已有研究更多集中在某个作家的某部作品,孤立地研究某一类文学奖的评奖机制或者某部作品,对美国文学奖、美国文学及美国社会之间的关联互动关注不够,尤其对文学奖在建构美国民族特性和国家想象方面的作用、在促进美国文学经典化进程中的作用认识不足。文学奖既与美国社会、文化有联系,又与美国文学紧密相连。从上世纪90年代中后期开始,美国主要文学奖成为了中国出版界引进美国当代作品的重要参考,很多获奖作品被引进出版,有些获奖者的作品得以持续出版。例如2000—2015年间普利策小说奖产生了15部获奖作品,但有14部已在中国大陆出版。对美国文学奖评奖价值取向的研究,有助于我们从深层次用批评的眼光审视美国文化及价值体系。

## 二、普利策小说奖与美国文学传统的形成

普利策小说奖设立于1917年,是在美国参加第一次世界大战和决心向世界展示其强大的背景下产生的。可以说,该文学奖与美国成长为一个超级大国的过程并行不悖,记述了美国历史的发展。从1918年设立到1968年,怀旧和批判是贯穿早期普利策获奖作品的两大特征。《纯真年代》(*The Age of Innocence* 1921)、《乱世佳人》(*Gone with the Wind* 1937)等作品中的浪漫主义和怀旧主义,滋养了美国读者的想象力,因为它“是所有文学形式中最接近愿望实现的梦想”(Frye 186)并再现过去,使得这一文体广受欢迎。由于浪漫主义和怀旧主义永远存在,它们反哺了美国国内既定的意识形态。弗莱曾指出:“在每个时代,统治阶层或知识阶层都倾向于将其理想投射到某种形式的浪漫主义中”(Frye 186)。《愤怒的葡萄》(*The Grapes of Wrath* 1940)、《杀死一只知更鸟》(*To Kill a Mockingbird* 1961)则带有更多的批判性特征。它们之所以受到欢迎,是因为他们反映了“在普利策评奖委员会看来是的一个迫切公共问题”(Stuckey 256),那就是对美国意识形态的批判。正因为如此,普利策奖被当作一种被认可的批判形式。在《纳特·特纳的自白》(*The Confessions of Nat Turner* 1968)中,怀旧和批判交织在一起。这种怀旧与批判符合美国文化界意识形态的框架。根据阿尔都塞的观点,意识形态是“支配一个人或一个社会群体思想的观念和表象的系统”(158),意识形态源于课堂、家庭、教会和政府等场所,是任何能够影响普通人看待世界的方式。普利策奖不能控制美国文化,但它可以控制哪本书得奖。获奖作品具有较大

的影响力，其影响力可以从获奖小说销量的增长得到充分体现。<sup>1</sup>

普利策奖设立之初，有一套非常规范的标准。从1917年到1928年，该奖的原则为“每年颁发给当年出版的美国小说，该小说应最好地展现美国生活的健康氛围和美国人的最高标准和男子气概”（Stuckey 7）。到了1928年，标准变得不那么规范：“对于当年出版的美国小说，最好是最能表现美国生活整体氛围的小说”（Stuckey 9）。之后的评奖标准一直在变化，而这些变化日趋多元，如1928年获奖的第一本非美国背景的《圣路易斯雷伊桥》（*The Bridge of San Luis Rey*），1929年获奖的第一本关于非裔美国人社区的作品《斯嘉丽修女玛丽》（*Scarlett Sister Mary*），1930年第一本关于本土裔美国人的小说《笑男孩》（*Laughing Boy*）等。1931年，颁奖标准再次发生变化，奖项“颁给美国作家在这一年内出版的最好的小说，最好是涉及美国人的生活”（Stuckey 10）。可见，评奖标准有所松动，开始变得不那么规范。1947年，这套标准再次发生了变化，评奖开始重新接纳非长篇小说的作品，当年《南太平洋的故事》（*Tales of the South Pacific*）这本短篇小说集获得了该奖（Stuckey 11）。

受欢迎也意味着符合美利坚合众国的主流意识形态，而要想成为畅销书，就必须符合既有的传统。因此，那些在怀旧或批判与流行之间找到平衡点的作品，往往就会很流行。早期的普利策奖比较保守。詹姆斯·英格利什（James English）曾论及普利策奖的保守倾向，他指出：“普利策奖评委的背景使他们的选择具有保守性（……）普利策奖倾向于落在安全的、协商一致的选择上”（151）。马尔科姆·考利（Malcolm Cowley）在《新共和》（*The New Republic*）杂志上的一篇文章中讽刺道：“我们评委会的成员（……）害怕性，害怕思想，害怕血腥、革命和粗俗的语言（……）他们真正想传达的是向美国公众保证，他们所挑选的两本书和剧本中没有任何东西可以撼动传统或动摇国家（……）”（Stuckey 250）。因此，在是否给具有潜在革命性或者破坏性思想的作品授奖时，普利策奖往往偏于谨慎。像《土生子》（*Native Son* 1940）、《隐形人》（*Invisible Man* 1952）这类讲述非裔美国人的作品就都没有获奖。

由此可见，在美国社会环境的变化中，普利策奖的标准也在不断变化。普利策小说奖在其设立的最初五十年中，以怀旧和批判的形式向读者展示代表美国核心价值的两种倾向。这两种倾向在《纳特·特纳的自白》中开始交汇在一起，之后的获奖作品开始呈现出多样化的特征，如托尼·莫里森（Toni Morrison）的《宠儿》（*Beloved* 1988）、菲利普·罗斯（Philip Roth）的《美国牧歌》（*American Pastoral* 1998）、阮越成（Viet Thanh Nguyen）的《同情者》（*The Sympathizer* 2016）等等。在普利策奖的早期获奖作品中，出现这些获奖作品所涉及的主题是不可想象的。这种变化也表现出美国公众的审美倾向，

1 See English, James F. *The Economy of Prestige: Prizes, Awards, and the Circulation of Cultural Value* (Cambridge, MA: Harvard UP, 2008) 330.



即美国公众愿意参与和阅读更为复杂的社会性问题，并且希望看到普利策奖的多样化及多元化。

通过考察普利策小说奖对评选标准的修改以及百年来获奖小说的时代特征，不难发现，普利策小说奖认知中的“美国生活”及“美国性”并非一成不变的标准，而是“与社会、经济、政治、文化紧密关联的动态观念系统”（史鹏路 115）。普利策奖始终保持了该奖前五十年经久不衰的怀旧和批判的倾向，奠定了美国文学传统的基础，促进了美国文学的经典化进程，并通过文学作品构建了美国民族身份，提升了美国文化地位。

### 三、美国国家图书奖与美国国家意识的维系

国家图书奖设立于 1950 年，它的设立在很大程度上是源于对普利策奖长期以来的不满。该基金会由出版商、编辑、作家和评论家组成，其使命是“颂扬美国文学的优秀作品，扩大其受众面，提升美国优秀作品的文化价值”（National Book Foundation）。因此，“获国家图书奖的书籍在一定程度上代表了美国社会主流的价值取向和普通读者的阅读兴趣”（周昕 175）。虽然过去也有其他类别的奖项，但该奖目前表彰的是每年出版的最佳小说、非小说、诗歌、翻译文学和青年文学作品。

国家图书奖也随着时代变化而不断在变化。20 世纪 70 年代，它作为“作家的文学奖”的标准受到出版业界的猛烈抨击。编辑及出版社高管们声称：“获奖作品压根没人读，太难了，太晦涩，文学性太强，我们需要能够吸引广大读者的获奖作品”（詹姆斯·英格利什 2017）。在他们看来，该时期的国家图书奖更多的是代表高雅文学。进入 20 世纪 80 年代之后，国家图书奖仿效流行乐界的格莱美奖进行改革，设置了许多分项奖。获奖作品中不乏颇具商业价值的作品，这引发了严肃的文学读者、评论家、作家们的不满。他们认为：“这简直是开玩笑。这种文学奖没必要存在”（詹姆斯·英格利什 2017）。1986 年，国家图书奖恢复为“作家的文学奖”，但是 1987 年因托尼·莫里森的《宠儿》出版后未能获奖又再次引发争议。1989 年，国家图书奖理事会高层意识到各年龄层和不同文化背景的人在读书、写作方面存在巨大差异，于是设立美国国家图书基金，用以扩大该奖项在文学领域的认同范围以及影响力，以此提高全体民众对优秀作品的文学鉴赏力与文化修养。可见，国家图书奖总是在高雅与通俗文学之间摇摆，这也成为该奖项的一个重要特征。

新世纪以来，国家图书奖的另一鲜明特征是对种族议题的青睐。2010 年以来，涉及种族议题的获奖作品有 2011 年杰丝明·沃德（Jesmyn Ward）描写非裔美国人创伤的小说《挽救骨头》（*Salvage the Bones*），2012 年路易丝·厄德里克讲述北美原住民故事的小说《圆屋》（*The Round House*），2013 年詹姆斯·麦克布赖德（James McBride）以废奴运动为背景的小说《上帝鸟》（*The Good Lord Bird*），2015 年塔那西斯·科茨（Ta-Nehisi Coates）的非虚构作品《世

界与我之间》(*Between the World and Me*)等。

2017 年度的获奖作品有两个特点。首先,传统意义上的少数族裔作家再度占据优势。其次,获奖作品全都直面历史,但重在反映与再现当代的现实与政治。<sup>1</sup>2018 年的国家图书奖有两个重大变化,其共同特点是把目光投向了美国境外。一是恢复了翻译文学奖,日本作家多和田叶子(Yoko Tawada)和她的译者凭借小说《使者》(*The Emissary*)获得了翻译文学奖。二是在美国长期居住的非美国公民首次有资格参与评奖。在秘鲁出生在智利长大并曾是委内瑞拉难民的伊莎贝尔·阿连德(Isabel Allende),获得了美国文学杰出贡献奖。阿连德是第一位获此殊荣的西班牙语作家,也是第二位非美国出生获此殊荣的作家。她在获奖感言中谈到了该奖项的获得给一个移民带来的一种力量:“这个国家图书奖对我来说意义非凡,它意味着我不再是个外国人,意味着我可以种植我的根,意味着是放松的时候了。也许我找到了一个可以归属的地方。也许我不必再去其他地方”(转引自 Anne Victoria Clark)。小说家路易斯·阿尔贝托·乌雷亚(Luis Alberto Urrea)提到阿连德获奖时说:“伊莎贝尔意识到,美国文学的版图已经从火地岛延伸到北极圈”(转引自 Erin Vanderhoof)。

自 2018 年翻译文学被单独设置为一个奖项之后,众多高水平译著不断进入大众视线,形成百花齐放的局面。在各国各语种的文学精粹走向国际的过程中,美国文学的内涵也在悄然发生着变化。国家图书奖的这些变化表现出它在维系民族情感、民族认同、国家意识和美国价值观及审美观方面的重要作用,其内涵的变化展现出美国文学作为“世界文学”的一种态势。

### 结语

对美国主要文学奖进行考察,可以描绘出 20 世纪以来美国文学在建构民族特性和国家想象方面的发展脉络,勾勒出该奖项通过作家与作品来阐释、修正何谓美国性,何谓美国生活,何谓优秀美国文学的动态谱系,帮助我们反思美国文化表象之下的深层问题。同时,美国主要文学奖的设立不仅引领文学潮流,刺激美国文学市场消费、推动美国文学在全球流通,还通过提携新人创作新作、积极与媒体合作以吸引公众参与的模式,广泛利用文化资源,不但实现了经济价值和文化价值的生产与增值目标,而且成为美国力图保持其在世界文学中心地位、推行美国核心价值理念的不可或缺的力量。因此,通过对美国主要文学奖的研究,我们能够透视文学奖作为观念生产系统的运作机制。美国这两大文学奖培养对美国和美国文化感兴趣的阅读群体,力图建立一个以美国为中心和超越民族—国家界限的文学空间,从而加强美国的文化实力,实现文化、经济和政治利益的最佳结合,这对于我们面对文化层

1 参见 郭英剑:“二〇一七年美国国家图书奖获奖作品述评”,《博览群书》2018 年第 1 期,第 59 页。



面的国际竞争，提升文化自信，发展民族文化事业和文化产业，提升文化软实力具有重要启示和借鉴作用。

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# 文学伦理学批评的理论拓展与范式构建：

## 评五卷本《文学伦理学批评研究》

### Theoretical Expansion and Paradigmatic Construction of Ethical Literary Criticism: A Review on the Five-Volume *Ethical Literary Criticism Studies*

陈 靓 (Chen Liang)

**内容摘要：**文学伦理学批评理论的提出，立足于中国传统文艺理论中的伦理观，通过对文学作品的价值判断，系统构建了伦理学相关批评话语，展示了中国学者高度的主体性自觉和立场。该批评理论不仅具有鲜明的当代问题意识和强大的跨学科兼容性，展示了严谨的学理性和理论创新价值，而且在文本批评实践层面亦具有很高的指导价值。《文学伦理学批评研究》（五卷）作为近年来文学伦理学批评的标志性成果，全面、系统地展示了文学伦理学批评的最新发现。其中《文学伦理学批评理论研究》拓展了文学伦理批评批评的理论基础和相关理论话语，在中西文化和文学理论发展的历史中探求理论源起，以及与其它西方文学批评理论的关联和结合，不仅在理论建构方面体现出开放性和包容性的特点，而且学理性架构完善。另外四本著作运用文学伦理学批评方法和理论观点，研究美国、英国、日本和中国文学中的重要文学思潮、文学流派、文学现象以及经典作家与作品，从东方和西方两个文化语境对同时期的作品进行伦理价值的再挖掘，建构了文学伦理学批评的范式，为运用文学伦理学批评理论研究世界文学提供了范例。

**关键词：**文学伦理学批评；聂珍钊；理论拓展；批评范式

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**Abstract:** Founded on the traditional Chinese ethical values, Ethical Literary Criticism systematically constructs ethical critical discourses through the examination of ethical values in literary works, which has exhibited distinct subjectivity and self-positioning of Chinese literary scholars. Ethical Literary Criticism has not only the keen consciousness of contemporary issues, but also the strong compatibility of cross-disciplinary studies. With strict theoretical logic

and high innovative value, the criticism is also highly enlightening in guiding textual analysis. The five-volume *Ethical Literary Criticism Studies*, as the marked achievement of recent Ethical Literary Criticism studies, systematically exhibits new researches in the ethical literary field. Among the five volumes, *Theoretical Research of Ethical Literary Criticism* has greatly expanded the theoretical foundation and enriched related critical discourses by tracing back to the cultural and literary histories both in the East and West and by combining itself with other western literary theories, which shows wide openness, compatibility and comprehensiveness in its theoretical framework. The other four volumes investigate important literary trends, critical schools, literary phenomenon and classical works in American, British, Japanese and Chinese literature and reexamine the ethical values of literary works from both eastern and western cultural contexts. The collaboration of five volumes has constructed the paradigm of Ethical Literary Criticism and serves as a precedent for studying world literature through the perspective Ethical Literary Criticism.

**Keywords:** Ethical Literary Criticism; Nie Zhenzhao; theoretical expansion; paradigmatic construction

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中国的传统文艺理论历来强调艺术的伦理教化功能，如《乐记》中的“乐也，通伦理者也”（黄霖 60），明确了艺术的教诲功能。这一理念在儒家思想和道家思想中不断得以强化。“《诗》三百，一言以蔽之，思无邪”（黄霖 23）的提出，更是明确了文学创作中的伦理道德观。数千年的集体伦理思想有着强大的社会制约性，在批评方法上也有着严格而鲜明的二分法。随着个人伦理的发展，学界开始聚焦个体，研究焦点向内转向，对人性复杂性的挖掘及其与特定历史、社会环境的互动使得研究视角和内容呈现出多元态势。

聂珍钊教授近年来致力于构建的“文学伦理学批评”（Ethical Literary Criticism）从方法论上重视批评研究的视角多元和理论外延拓展，关注虚拟的文学作品中的伦理价值判断，强调文学的道德教诲功能，并“分析人物道德行为的动机、目的和手段的合理性和正当性，它指向的是虚构的文学世界中个人的心性操守、社会交往关系的正义性和社会结构的合法性等错综复杂的关系”（聂珍钊 苏晖，“总序（一）”《文学伦理学批评研究》17）。在批评话语构建中，聂珍钊教授借鉴中国传统文论中的伦理思想，创建了伦理选择（ethical choice）、伦理环境（ethical environment）、伦理身份（ethical

identity)、伦理结(ethical knots)和伦理线(ethical line)等系统性理论批评话语,以此探讨文学作品的基本功能、文本特性及文本与历史的互动等文学研究中的重要问题,奠定了文学伦理学批评理论和方法的话语基础。

在具体实践中,理论系统的建构本身具有很高的挑战性。它不仅需要在批评思想的构建上具有完备的系统性和逻辑关联,更要在具体的理论话语确定和内涵阐释中有足够的理论深度和丰富性,并能对文本阐释发挥有效的指导作用。文学伦理学批评所关注的伦理观直指人类存在的基本元素之一——道德正义,而这一点也是很多文学批评流派思考的出发点,也正是在这一点上,文学伦理学批评提出的很多观点可以在不同的文学批评理论中引起共鸣。同时,这个基于人类认知的基本出发点也有助于构建稳定的学理性分析框架,使得文学伦理学批评作为一种理论和批评方法成为可能。

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文学伦理学批评的理论建设,是一项庞大的工程,而其中最关键的,是作为基石的批评理论建设。在这一点上,文学伦理学批评展示了其独特的理论亮点:强大的理论兼容性。作为近年来文学伦理学批评研究的标志性成果,《文学伦理学批评研究》(五卷)的推出,全面、系统地展示了文学伦理学批评的最新发现。作为系列著作中最具理论价值的成果,《文学伦理学批评理论研究》拓展了文学伦理学批评的理论基础和相关理论话语,在中西文化和文学理论发展的历史中探求理论源起,以及与其他西方文学批评理论的关联与结合。该书从“历史主义视域下的文学伦理学批评”、“美学伦理批评”、“精神分析伦理批评”、“后殖民伦理批评”、“生态伦理批评”、“叙事学与文学伦理学批评”、“形式主义伦理批评”、“存在主义伦理批评”等视角探讨了不同文学批评流派中的伦理根基,并从此出发,探讨不同文学批评流派与文学伦理学批评的理论共识及其理论视角的融合机制。

文学批评理论的构建,应该重视理论本身的自我完善空间和自我批评能力。在这一点上,文学伦理学批评的理论展示了中国学者的理论自觉。在对文学伦理学批评的理论阐释中,聂珍钊教授提出了三组关系进行进一步的理论辨析:“一是文学伦理学批评与伦理学研究的关系;二是文学伦理学批评与道德批评的关系;三是文学伦理学批评与审美的关系”(聂珍钊 王松林,《文学伦理学批评研究》64)。在这三组中,最重要的是文学伦理学批评与道德批评的辨析,这也是决定文学伦理学批评理论发展空间的关键。

在批评话语的构建上,聂珍钊教授将伦理批评与道德批评做了明确的区分,提出要回到具体的历史语境进行伦理分析,认为“文学伦理学批评同道德批评的根本区别就在于它的历史客观性,即文学批评不能超越文学历史”(“文学伦理学批评:基本理论与术语”14)。从一定意义上说,文学伦理学批评与道德批评的区别类似于新历史主义与传统历史主义之分,通过提出

“伦理环境”，强调伦理批评的历史性，重视对具体行为的伦理现实的确定和研究。这种带有新历史主义的批评理念有效避免了将文学作品的分析进行道德二分法的简单模式，将批评重点转向探讨相关文本策略，从而使得文学伦理学批评可以有效地对文本性进行不断发掘，在提出跨学科研究的理论范式之余，提出文学伦理学批评应当抓住文学本体这个重点，如苏晖教授在该套著作总序（二）中所指出的，进一步“尝试建构针对小说、戏剧、诗歌等不同体裁的伦理批评话语体系，并就文本的艺术形式如何展现伦理内涵进行深入研究”（43）。理论只有在不断的自我更新中才能获得新的活力，文学伦理学批评本身从理论建构上具有开放性和包容性的特点。

首先，文学伦理学批评的具体的批评话语在理论构建上具有鲜活的生命力。例如，伦理结和伦理线作为文学伦理批评学中的核心概念，构建了文学文本中的伦理张力和伦理结构。聂珍钊教授在对“伦理结”和“伦理线”的界定中认为：

伦理线可以看成是文学文本的纵向伦理结构，伦理结可以看成是文学文本的横向伦理结构。在对文本的分析中，可以发现伦理结被一条或数条伦理线串连或并连在一起，构成文学文本的多种多样的伦理结构。文学文本伦理结构的复杂程度主要是由伦理结的数量及形成或解构过程中的难度决定的。文学伦理学批评的任务就是通过对文学文本的解读发现伦理线上伦理结的形成过程，或者是对已经形成的伦理结进行解构。在大多数情况下，伦理结的形成或解开（*untying*）的不同过程，则形成对文学文本的不同理解。（“文学伦理学批评：基本理论与术语”20）

这两个批评术语的价值主要体现在两个方面：一是在理论上，对文学伦理学批评理论进行基础的学理性构建，二是作为文本策略，通过对伦理结形成与解结的分析及伦理线的阐释可以形成相关的伦理价值和主题判断，可以有效地与结构主义、后结构主义及解构主义相结合，有效突破道德批评中的二元对立模式，引入多声部、动态性、杂糅性、对话机制等多元分析视角。这两个核心概念的提出，充分揭示文本的丰富肌理及其复杂构建，并为文学伦理学批评的理论拓展预留广阔的空间。

例如，可以将“互文性”概念引入到“伦理结”的阐释中。伦理结往往是人生的伦理困境真实再现，也正是文本的张力所在。互文性的英文前缀“*inter*”反映出“互文性”关注的焦点不仅在伦理结本身，更在伦理结之间的关系。通过“互文性”的概念，可以探究一个伦理结因与其他伦理结相互交织而由一元走向多元的复杂伦理选择困境。

具体而言，伦理结的互文性可以包括“内互文性”（伦理结内部各种因素之间的关系）和“外互文性”（不同伦理结之间的关系）两种形式。而伦



理结与伦理语境和伦理环境更是构成了广义的“互文性”，展示了伦理批评视角下文本与历史、文化等“文本”之间错综复杂、相互渗透的关系。在复杂的文本中，伦理结所构成的伦理线是一种开放的多向结构，呈辐射状展开，所有的伦理结都处于一个四通八达、纵横交错的伦理网系中。伦理结内外的“互文性”展示的是因伦理身份或伦理语境的复杂性所面临的伦理选择的困境和伦理意义的模糊性，而从宏观的伦理语境建构上来说，一部具有强大伦理教诲价值的作品，不仅需要展示伦理选择中的困难进程，更需要在向伦理意义由不确定性转化为确定性上努力。因此，从文学作品的教诲功能来看，作品的伦理意义就在于将伦理困境中的不确定性转化为确定性。

从文学伦理学批评的角度阅读文学作品，我们可以关注到很多作品所展示出的伦理选择中的困境往往是对人性和对人的存在的深刻思索。伦理结的机制在不同风格的作品中也呈现出不同的特质。如在批判现实主义作品中，相对于伦理结的形成及维持或强化，解结（*untying*）的出现几率往往要小些，这也是悲剧或对人性的矛盾性展示的文本策略所在，而解结往往适合于大团圆式的固定文化阅读模式及政治化文本中。

从“伦理结”的基本概念出发，可以进一步考虑伦理结的文本性、伦理结的美学价值、伦理结的边界、伦理结中的自我与他者、伦理结的互文性等问题，更可以从后现代性出发，对文本的多元性进行进一步阐发，并借助相关学科的批评范畴对理论进行丰富和延伸。

其次，从宏观上看，文学伦理学批评理论具有相对完善的系统性，环环相扣，学理性架构完善。如在对“伦理环境”术语的阐释中，聂珍钊教授指出：“不同历史时期的文学有其固定的属于特定历史的伦理环境和伦理语境，对文学的理解必须让文学回归属于它的伦理环境和伦理语境，这是理解文学的一个前提”（“文学伦理学批评：基本理论与术语”19）。如果把伦理环境理解为历史的现实，对它的研究就会集中于文本与历史的互动层面。文学伦理学批评理论中的“伦理语境”（*ethical context*）在文本层面会激发更强大的文学批评张力，会涉及到具体作品中伦理关系呈现的方式，也会由此“召唤”如叙事策略、互文性、主体间性及对话性等文本批评中具有可操作性的分析视角。

伦理环境的语境化（*contextualization*）将会充分展示文本语境的多元性。文本语境具有多个层次、多种类型，有上下文的语言语境、文本生成、阅读的情景语境（包含文化语境），也有心理层面的认知语境。这不仅要求从文本层面探讨伦理环境的构建特质，还从读者的文化认知、心理、伦理视野等层面把握作品的伦理意义建构。伦理的“语境化”过程既是作者和读者写作、阅读文本，对伦理结进行编码和解码的过程，也是伦理意义生成的过程。因为读者群伦理视野的差异，所以伦理解读也会在不同历史时期和读者对象群中有不同的结果。



从整体来看,对“伦理环境”和“伦理语境”术语的理论构建和相关文本策略的深入阐释,不仅从文本性的角度出发揭示了伦理解读是一个伴随读者阅读的动态化过程,更有效拓展了文学伦理学批评的理论内涵。由此可以看出,在文学伦理学批评的理论观照上,兼顾历史性与文本性这两个宏大的话题,并展示出相当的系统性。

## 二

除了系统阐发文学伦理学批评的理论话语,这套著作还推出了《美国文学的伦理学批评》(苏晖主编)、《英国文学的伦理学批评》(徐彬主编)、《日本文学的伦理学批评》(李俄宪主编)和《中国文学的伦理学批评》(黄晖主编)这四本进行文学伦理学批评实践的著作。这四本著作运用文学伦理学批评方法和理论观点,研究美国、英国、日本和中国文学中的重要文学思潮、文学流派、文学现象以及经典作家与作品,建构了文学伦理学批评的范式,为运用文学伦理学批评理论研究世界文学提供了范例。

首先,这四本著作在追溯四个国家文学中伦理观念发展史的基础上,从东方和西方两个文化语境对同时期的作品进行伦理价值的再挖掘。《美国文学的伦理学批评》从文学伦理学批评的视域重新审视美国文学史,选取美国文学史上影响较大的文学思潮、流派或文学类型的经典作家作品,运用文学伦理学批评方法对之进行重新解读,包括浪漫主义文学、现实主义文学、成长小说、“迷惘的一代”、南方文学、非裔美国小说、犹太裔美国小说、华裔美国小说以及现代戏剧的二十多部经典作品。该书既从实践层面丰富和检验文学伦理学批评理论,为文学伦理学批评提供范例,又拓展对于美国文学经典作家作品的批评视域,为美国文学研究不断创新和向纵深发展作出贡献。《英国文学的伦理学批评》以英国社会政治、经济和文化的流变为研究背景,秉承回归或还原文学创作的伦理现场的批评原则,选取英国16世纪至21世纪部分代表作家、作品灵活运用文学伦理学批评的研究方法,在文本细读的基础上充分阐释了英国文学对英国社会的伦理批评功能;通过“莎士比亚戏剧的伦理意义”、“18世纪英国小说的道德劝善”、“维多利亚教育小说的道德情感教育”、“唯美主义的艺术原则与道德意识”、“现代主义小说中的伦理冲突与伦理平衡”、“20世纪诗歌的伦理关怀”、“当代英国小说中的道德焦虑与伦理选择”、“当代英国戏剧的伦理关怀”和“英国后殖民流散作家的政治伦理批评”等九章,建构英国文学伦理批评体系。《日本文学的伦理学批评》运用文学伦理学批评理论对日本文学史上最具有代表性的文学样式和文学流派,最具有代表性的诗歌、小说与戏剧进行分析,包括物语文学、近世小说、“私小说”传统戏剧、白桦派、余裕派与高蹈派、左翼文学等,研究对象的普遍性和代表性突出。尤其是私小说和左翼文学的文学伦理学阐释,最具有学术挑战性和颠覆性。进而,该书将批评范畴进一步延伸,

对谷崎润一郎文学的伦理叙述、川端康成文学的伦理定位、大江健三郎的政治伦理与身份认同、村上春树的伦理取向与迷茫等作家作品展开论述，从多层面对其文学创作的伦理价值和意义进行了清晰梳理和阐述。《中国文学的伦理学批评》在导论部分对中国文学伦理观念的生成与流变进行了详细的梳理，追溯中国传统文艺观中的伦理根源和发展脉络，并在随后的章节中以历时性的脉络，探讨了白居易诗歌、《西厢记》、《牡丹亭》、《聊斋志异》、《水浒传》、“三言”、晚清谴责小说、鲁迅小说和先锋小说等不同历史时期作品中的伦理叙事和艺术创新，不仅在文本阐释中有充分的论证，更在篇章结构的设计和规划上展示了成熟的学理性脉络。《中国文学的伦理学批评》对文学伦理学批评及其运用于中国文学的性质与特点做了深入具体的阐发，通过对中国文学研究实践来检验文学伦理学批评的理论建构，在与西方文学的伦理学批评实践的比较中验证了文学的伦理学批评的普遍有效性。

其次，四本著作运用文学伦理学批评独特的理论和术语体系，并遵从回到历史语境的研究理念，通过对美国、英国、日本和中国文学经典作家作品文本中的伦理环境、伦理身份、伦理选择、斯芬克斯因子（sphinx factor）、伦理线、伦理结等的细致分析，将作品的伦理内涵与当时的历史语境和伦理环境相结合，并将讨论的作品纳入到相应国别文化的框架中进行审视。《美国文学的伦理学批评》提出，“美国文学代表性的小说和戏剧作品中，往往表现身处于复杂伦理环境中的人物所面临的伦理困境，他们对于伦理身份的探寻与确认，以及他们在进行伦理选择过程中的矛盾、犹疑和痛苦，从而给予读者以伦理道德启示，赋予作品以伦理教诲价值”，“美国文学的代表性作品表现出作家对于人与他人、人与社会、人与国家、人与自然以及人与自我之间的伦理关系的探讨，对于不同历史时期美国社会道德的批判和伦理拷问，对于道德秩序和伦理理想的前瞻性的思考和展望”（苏晖 2）。《英国文学的伦理学批评》认为道德教诲可被视为贯穿英国文学史的创作主旨，详细阐释了个人伦理身份、宗教信仰、文化传统、历史遗产与国家安全等问题之间错综复杂的关系在英国文学作品中的表现及其现实教育意义；将对英国文学伦理问题的阐释分为微观与宏观两个层面，即不仅关注英国文学文本内部的伦理问题，还聚焦英国文学作品所产生时代的英国社会普遍存在的伦理问题。《日本文学的伦理学批评》立足于文学在本质上是关于伦理的艺术这一文学伦理学批评的基本主张，梳理和论述了日本从古至今各个时期的伦理环境、伦理教育、伦理意识和伦理内涵及其整体上与文学产生、文学阅读的关系，阐明了对日本文学进行文学伦理学批评的学术和学理上的可能性；并从大量的第一手资料入手，立足于具体的文本，在日本文学丰厚的先行研究的基础上，重新审视和发现日本文学新的特质以及思想艺术价值。

在文本分析中，文学伦理学批评不仅可以为研究对象提供一个整体性的研究框架，更有助于挖掘新的文本亮点。例如，白居易的诗歌不仅数量众多，

其创作思想亦复杂多维。白居易诗歌的前期研究中,对其诗歌的整体性把握尚不足。《中国文学的伦理学批评》从“情感表达”出发,将其分为自然情感、自由情感、伦理情感和道德情感等视角,审视白居易诗歌中的多维度内涵。从这个脉络出发,就白居易诗歌创作中复杂的儒释道关系问题,著作认为“在白居易的身上,我们可以看到他的儒学是一极,而佛道思想是另一极。前者体现的是他的道德情感,后者体现的则是他的自由情感”(黄晖 71),从伦理的脉络对白居易复杂的诗歌创作思想做了有说服力的论述,而白居易的“中隐”观也是他的思想张力中的一个典型代表。《中隐》一诗所提出的“人生处一世,其道难两全。贱即苦冻馁,贵则多忧患。唯此中隐士,致身吉且安。穷通与丰约,正在四者间”在学界中引发不少讨论。在文学伦理学批评的视角下,该书结合当时诗人所处的历史语境和个人思想,把“中隐”被解读为“自由情感、自然情感和道德情感的平衡”(黄晖 79)下的伦理情感,对白居易的诗歌创作观做出新颖的解读。

再次,研究方法上力求与其它批评方法融合或进行跨学科研究。《美国文学的伦理学批评》在运用文学伦理学批评术语和方法解读经典美国文学作品时,既注重对文学作品内容方面传达出的伦理思想和道德观念的阐释,也重视从艺术形式的伦理表达方面展开研究。同时,也力求将文学伦理学批评与政治学、经济学、历史学、艺术学的研究视角和方法相结合,与生态批评、女性主义批评、后殖民批评、叙事学等批评方法相融合,开展跨学科、多视角的研究。《英国文学的伦理学批评》将文学伦理学批评与现有文学批评理论方法,如:新历史主义、心理分析、文化批评、女性主义、解构主义和后殖民主义文学批评等有机结合在一起,创建英国文学文内与文外交互批评的研究体系。此外,该书还采用了跨学科的研究方法,将社会学和政治经济学等学科的理论概念引入对英国文学的文学伦理学批评之中;将英国文学作品置于宏大的社会政治历史语境之中进行文学伦理学批评能更加深刻地阐释英国文学文本的伦理内涵。

综上所述,文学伦理学批评理论的提出,不仅将伦理学批评与文学研究进行创新性地结合,更在其话语和理论构建中展示出了成熟的体系性,并有助于发掘文本新的特质。而文学伦理学批评指向的“虚构的文学世界中个人的心性操守,社会交往关系的正义性和社会结构的合法性等错综负责的关系”(聂珍钊,“文学伦理学批评:基本理论与术语”17)关乎文学创作的性质、功能和本质特征等基本问题。作为文学批评理论的视角之一,它也会在这个基本的出发点上与其他文学批评理论找到更多的共鸣和学科交叉点。同时,我们要看到,文学伦理学批评在理论构建上还需要进一步完善和调整。所有的文学批评理论都是在某个维度对作品的发掘,而无法穷尽作品的全部内涵。而经典作品的伟大之处,也正是其丰富的文本性可以在不同的批评视角下绽放出多姿多彩的文学、美学乃至哲学价值。对文本中伦理价值和意义

的探索，可以有效丰富对作品的多维认知。

经过十七年的发展，文学伦理学批评已经展示出了相当的成熟度和学科特色。从学科的内部建设来看，可以加强对关键理论术语的学理性建构，深化理论内涵；在研究内容上，可以针对不同的国别语境、历史语境、文学体裁、族裔特质等领域进行更深入的探讨；在研究方法上需要继续加强跨学科研究的范式构建，对批评话语、学理逻辑和学科系统性进行强化，并尝试与哲学、美学、心理学、语言学、人类学及自然科学等学科在理论内涵和批评范式上展开对话，互相借鉴，进一步拓展学科外延。

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# 非洲英语文学的理论探讨与奠基：

## 评《非洲英语文学研究》

### Theoretical Discussion and Foundation of African English Literature: A Review on *A Study of African English Literature*

徐舒仪 (Xu Shuyi)

**内容摘要：**在世界非洲英语文学研究中，中国学术界的研究发展迅猛，是一支重要的新生力量。在中国学者奉献的研究成果中，由朱振武教授主编的《非洲英语文学研究》可以视为代表性成果之一。全书近 60 万字，分为总体面貌、主题意蕴、艺术表征、理论探讨四章，在整个非洲历史长河中对非洲英语文学进行了全面而系统的讨论，不仅揭示了非洲英语文学形成的历史条件，并且总结了非洲英语文学作为一种区域文学存在的总体特征。这部著作在中国非洲英语文学的研究方面具有开拓领域的性质，为非洲英语文学的深入研究奠定了坚实的基础，具有重要的理论价值和现实意义。

**关键词：**《非洲英语文学研究》；朱振武；本土表征；流散表征；混杂性表征

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**Title:** Theoretical Discussion and Foundation of African English Literature: A Review on *A Study of African English Literature*

**Abstract:** In the international academic field of African English literature, the study by the Chinese scholars has been developing exuberantly in recent years. Among the research dedicated by Chinese scholars, *A Study of African English Literature*, edited by Professor Zhu Zhenwu is regarded as Magnum opus. Having approximately 600 thousand words, this encyclopedic book is divided into 4 parts, namely overall image, thematic implication, artistic representation and literary theory. This book made a comprehensive and systematic discussion on African English literature, revealing not only the historical circumstances of the formation of this regional literature, but summarizing the general characteristics of it as well. As a ground-breaking collection of paper, this book has laid a solid foundation for further studies, thus maintaining enduring theoretical value and practical



significance.

**Keywords:** *A Study of African English Literature*; Zhu Zhenwu; indigenization; diaspora; hybridity

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非洲地域辽阔,位于欧洲以南,亚洲之西,纵跨赤道南北,是世界第二大洲。非洲是世界古人类和古文明的发源地之一,早在公元前 4000 年,地处非洲北部的埃及已经出现了象形文字,即埃及文字。埃及文字的出现为埃及文学的产生创造了条件。在公元前 3200 至公元前 2280 年间,古埃及就产生了歌谣、诗歌、故事和箴言等非洲最早的文学,形成世界文学源头之一。

虽然非洲文学的起源较早,但是到了近代,西方殖民主义者的入侵阻断了非洲本土文学的健康发展。同西方文学相比,非洲文学不仅落后,而且在文学史上存在文学传承的断代现象。20 世纪五六十年代,非洲掀起了独立浪潮,殖民者撤出,但他们的语言却被留了下来。与非洲本土文学被逐渐边缘化的景象相反,非洲英语文学逐渐崛起,取代了前者的地位,成为非洲文学的代表,从而改变了非洲文学的面貌。如何认识非洲文学的这一变化,如何解释和评价这种变化,成为世界文学研究中的重要问题。在世界非洲英语文学研究中,中国学术界的研究发展迅猛,是一支重要的新生力量。以上海师范大学文学院朱振武教授为代表的学者群逐渐显露头角,发表一系列专题论文,并出版学术著作,为非洲英语文学研究做出了重要贡献。在中国学者奉献的研究成果中,由朱振武教授主编的《非洲英语文学研究》可以视为代表性成果之一。

《非洲英语文学研究》全书近 60 万字,分为总体面貌、主题意蕴、艺术表征、理论探讨四章。该著作对非洲英语文学进行了全面而系统的讨论,不仅揭示了非洲英语文学形成的历史条件,同时总结了非洲英语文学作为一种区域文学存在的总体特征。该著作在中国非洲英语文学的研究方面具有开拓领域的性质,为非洲英语文学的深入研究奠定了坚实基础,具有重要的理论价值和现实意义。

《非洲英语文学研究》具有开创性的理论价值。我国的非洲英语文学研究虽然已经有了不少成果,但朱振武教授的著作从理论上对之前的成果给予了归纳和总结。朱振武教授指出,“经过考察我们发现,由于特殊的历史、文化和地理环境所致,非洲英语文学具有本土表征、流散表征和混杂性表征三个主要特征”(III)<sup>1</sup>。朱振武教授从特殊的历史、文化和地理环境三个方面归纳出非洲英语文学具有“本土表征、流散表征和混杂性表征”三个特征,

1 本文相关引文均出自 朱振武编《非洲英语文学研究》(上海:华东理工大学出版社,2019年)。下文只标注页码,不再一一说明。



这是学界第一次从理论上对非洲英语文学进行高度概括。

非洲英语文学无论其本土表征、流散表征还是混杂性表征，无一不是在特殊的历史、文化和地理环境中形成的。非洲存在多种民族语言以及用各民族语言写作的文学，但作为非主流的用“外来语言”英语创作的文学为什么能够渐近主流？对于这一问题，朱振武教授做出了解答。他列举了大批非洲优秀作家，如南非作家艾捷凯尔·姆赫雷雷（Ezekiel Mphahlele）、彼得·亚伯拉罕斯（Peter Abrahams）、辛迪薇·马冈娜（Sindiwe Magona），尼日利亚作家钦努阿·阿契贝（Chinua Achebe）、布奇·埃默切塔（Bushi Emecheta）、本·奥克里（Ben Okri），肯尼亚作家恩古吉·瓦·提安哥（Ngugi Wa Thiong’O），加纳作家阿伊·克韦·阿尔马赫（Ayi Kwei Armah），索马里作家纳努丁·法拉赫（Nuruddin Farah），津巴布韦作家陈杰莱·霍夫（Chenjerai Hove）等，并认为这种“逐渐接近主流”与英国的殖民扩张及殖民统治密切相关。这些用英语写作的、具有广泛影响力的非洲作家，以英语这种殖民语言为载体，引领非洲文学融入了世界文学，并为非洲文学赢得不可或缺的地位。朱振武教授指出，“‘非主流’的非洲英语文学极大地丰富了传统的英语文学，也受到了世界英语文学批评界的广泛关注”（4）。他从创作的主体即非洲英语文学的作者角度论证了非洲英语文学的价值。他强调，“早期接受西式教育的知识分子并没有完全被同化和规训，反而用英语书写出了反抗殖民主义的战斗檄文。他们从主题上拓展了英语文学的表现范围，为后来的英语文学创作奠定了思想基础”（朱振武 薛丹岩 64）。这些非洲作家用新的语言尤其使用非标准的各式各样的英语变体书写非洲的历史，描述非洲的风土人情，抒发非洲人民的情感和精神追求，非但没有失去非洲自身的本土性历史特征，相反，由于英语的世界通用性而摆脱了用非洲本土语言创作文学的历史局限性，使非洲本土的历史与文化得到更好的承袭与传播，使因为语言局限性而囿于某一区域或某一国家的非洲本土文学成为了世界文学的组成部分。

非洲英语文学尽管同英语文学一样使用英语进行创作，但它不是英语文学而是非洲文学。朱振武教授考察并对比加拿大、澳大利亚、新西兰等国的英语文学之后，认为非洲英语文学的非洲特性是由其“本土表征、流散表征和混杂性表征”决定的。朱振武教授分别对非洲英语文学的三个表征进行解释。其中，本土表征“指的是其文本深处和作者的无意识和潜意识里面，都渗透着积淀在非洲作家血液深处、沉淀在非洲作家灵魂深处的传统文化和本民族语言的特性”（III-IV）。关于流散表征，朱振武教授从创作的主体非洲作家这个特殊的群体出发，指出非洲作家“在旅居国的求生经历、求学经历等各种体验都成为他们创作的素材来源，成为他们审视和反观自己祖国的参照，但他们主要还是写自己祖国的人和事”（IV）。朱振武教授不仅揭示了旅居异国的非洲作家的流散特征，而且还强调了非洲原住民也经历过对本土文化与殖民文化的矛盾认同和心理挣扎，指出他们许多作品都是非洲本土的流散

心态与流散文化矛盾中的产物。关于混杂性表征,则是由于旅居其它国家的非洲作家返回故土后其流散特点与回归本土的传统文化相融合造成的。朱振武教授关于非洲英语文学三个表征的概括及其解释形成了研究非洲英语文学的基本观点,为其研究提供了理论支撑并确定了整体思路,这对于整个非洲英语文学的研究都具有启示意义。

在这部著作中,朱振武教授特别重视非洲英语文学的总体面貌,专门用第一编讨论非洲英语文学发展的历史并对其未来发展前景进行展望。其鲜明特点是在现有非洲英语文学研究成果的基础上精挑细选、科学编辑,每一篇文章都以解决一个重要的学术问题为目标。其中,既有关于南非、尼日利亚等具有代表性的国家的英语文学之源流的考察,也有对非洲英语文学代表性作家的专论,更有对非洲英语文学世界传播的探讨,还有对非洲英语文学在中国翻译出版状况的分析等。另外,还有文章从理论上对非洲英语文学总体特征进行总结和归纳。

第二编从殖民历史和非洲文化的视阈讨论非洲英语文学的主题意蕴,重在从非洲英语文学思想价值的肯定。需要指出的是,这一编开头第一篇选用的是中国社会科学院外国文学研究所董衡巽先生在20世纪60年代初撰写的论文,可以看出编者在编目安排上特别关注非洲英语文学研究整体脉络,注重梳理中国学者研究非洲英语文学的学术史线索。在这篇论文中,董衡巽先生对非洲小说的特点进行归纳和总结,揭示其反殖民主义的主题意蕴。这一编选取奴隶叙事、非洲宗教、种族主义、后殖民写作等视角,讨论非洲文学的历史与文化主题,为非洲英语文学史写作积累了经验。

第三编从传统承继与语言创新的视阈讨论非洲英语文学的艺术表征,重在从艺术特点上肯定非洲英语文学的价值。由于殖民主义的统治以及殖民教育,非洲被塑造成缺少历史和传统文化的形象,而非洲黑人被塑造成劣等种族的形象。在西方现代工业文明的冲击下,非洲与欧洲、传统与现代、本土与异域的矛盾日益突出,由于西方英语文学的强大影响力,人们往往忽视了非洲英语文学的艺术创造性,并导致从艺术上贬低非洲文学。第三编通过对一些具有代表性的作家作品的分析,揭示出新时代非洲人民的觉醒,书写他们自觉使用英语这种外来语言描写非洲的努力。非洲作家使用英语对非洲人的生活、风土人情展开描写,复兴非洲人的传统与宗教,对被西方殖民者霸凌的非洲历史进行平反,尝试构建一套不同于欧洲的本土表征话语,是一种文化反抗的策略。

第四编采用比较的视角在文艺思潮中对非洲英语文学进行理论探讨。对非洲文学尤其是非洲英语文学的研究,大多是在西方强势话语如后殖民主义、新历史主义、女性主义、西方马克思主义等各式批评理论的语境中进行的,既缺少用于非洲英语文学研究的非洲本土理论,也缺少可以用于非洲英语文学研究的异域理论。但是,当非洲英语文学作为非洲本土文学的主体出现在

世界文学中时，在不知不觉中改变了世界文学的格局，于是产生了一种强烈的渴望，希望有一些理论可以从西方理论与批评的樊篱中摆脱出来，能够有效解释非洲英语文学，改变文学理论与批评的现实格局，从理论上奠定非洲英语文学的世界地位。因此，从理论上探寻非洲英语文学的研究道路，成为《非洲英语文学研究》的重要任务。

在非洲英语文学形成过程中，关于非洲英语文学理论的探讨就没有停止过。例如 20 世纪 30 年代左右提出的黑人精神（Negritude）概念，在当时很快风靡世界。然而该概念并非源于非洲本土，而是由法属马提尼克诗人塞泽尔在留学法国期间提出的。该概念一经提出，不仅成为非洲作家文学创作的热门术语，而且也成为当时解释非洲政治、经济、文化等领域各种问题的理论思路。黑人精神是非洲英语文学最早的和最具代表性理论的探讨。Christopher Miller 在解释黑人精神时谈到，“黑人精神是一个政治的、马克思主义的和理性的词，而不是我们以为的那样是一个诗性的词”（743）。尽管如此，在当时和后来的非洲文学语境中，黑人精神实际上是既作为政治话语也作为诗性话语传播和发挥作用的。黑人作家在文学创作中借助黑人精神这一新术语，表达新的种族精神和伦理价值观念，因此，黑人精神后来发展成为一场黑人精神运动。无论在诗歌还是在小说创作中，黑人精神强调三方面内容：一是文学作品的非洲风土人情；二是文学作品的黑人主体性；三是文学作品表达的非洲情感。<sup>1</sup>对非洲作家而言，他们从非洲传统生活源泉中汲取创作灵感、寻找创作主题，歌颂黑人古老文明的悠久历史，描写他们的生活风俗和处世哲学，在创作中把黑人精神转化为对非洲特有的自然环境和风俗、礼节、习惯的叙述与描写。因此，黑人精神既是非洲文学的伦理也是非洲文学的理论，“在引领非洲黑人从事文学创作、加强非洲黑人民族自信、反对种族歧视和争取民族平等方面发挥了重要作用”（聂珍钊 51）。

《非洲英语文学研究》对非洲文学理论的探讨还通过对非洲中心主义批评理论的研讨表现出来。在非洲英语文学形成的过程中，美国黑人文学批评理论伴随而生，在 20 世纪后半期出现了“非洲中心主义文学批评理论”流派。非洲中心主义文学批评理论呼吁世界文化的多极化和多元化，强调每一个民族或种族都有自己的文化，都有权利书写和表达自己的文化，反对将黑人以及黑人文化边缘化，从黑人文学的性质、功能、作用以及黑人文学同现实和语言的关系等方面强调非洲文化精神审美观，追求建立非洲传统价值观中心地位的目标。<sup>2</sup>非洲中心主义聚焦于黑人文化传统、黑人种族语境以及黑人群体的文化身份，强调黑人文学具有的黑民族的审美价值观，对西方主流文学批评发起了挑战，因此遭到西方理论的排斥。尽管如此，非洲中心主义文

1 参见 聂珍钊：“黑人精神（Negritude）：非洲文学的伦理”，《华中科技大学学报（社会科学版）》1（2018）：58。

2 参见 朱振武编：《非洲英语文学研究》（上海：华东理工大学出版社，2019 年）201 页。

学批评由于拥有深厚的非洲文化土壤而在继续发展，为建构非洲英语文学理论做出贡献。

《非洲英语文学研究》还通过对非洲英语文学的代表作家库切（John Maxwell Coetzee）的个案解剖，探讨了后殖民理论、创伤书写等非洲英语文学的理论问题。在探讨多元文化主义理论（multiculturalism）的同时，把理论与作家和作家创作的作品紧密结合，并在此基础上对文学创作展开解释和研究。从《非洲英语文学研究》中可以看出，从文学创作出发无疑是研究非洲英语文学理论的正确方法。不仅如此，强调文学创作对于理论建构与解释的思想贯穿全书，也是全书研究非洲英语文学的主导思想。

正如朱振武教授所言，非洲英语文学由于在主题探究、行文品格、叙事方式和美学观念方面同英美文学相比具有很大异质性和差异性，它才能以自身的特点呈现出与英美文学交相辉映的景象，才具有世界意义。<sup>1</sup>《非洲英语文学研究》体现了中国学者在非洲英语文学研究领域的学术自信，“站在中国学者的立场，以中国学人的视角探讨非洲英语文学的总体特征与美学内涵，对于把握 20 世纪非洲英语文学的发展进程，并参与 21 世纪世界文学秩序的建构具有重要意义”（VIII）。十多年来，朱振武教授持续关注和研究非洲英语文学，特别是他的研究体现了中国学者的立场和观点，相信在这部著作的基础上，他将为建构非洲英语文学的世界地位做出新的重要贡献。

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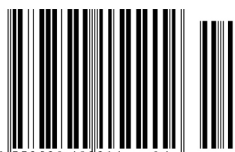
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1 参见朱振武、袁俊卿：“流散文学的时代表征及其世界意义——以非洲英语文学为例”，《中国社会科学》7（2019）：158。



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