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文学跨学科研究

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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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Contact information: Editorial office, *Interdisciplinary Studies of Literature*, Amtel Building, 148 Des Voeux Road Central, Hong Kong SAR, China.

Advisory Board

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World Literature and World History of Literature in Transnational Context: An Interview with Theodoor L. D'haen

Wan Xiaomeng & Theodoor Louis D'haen

Abstract: Theodoor Louis D'haen is Professor Emeritus of English and Comparative Literature at Leuven University, Belgium. An elected member of Academia Europaea and editor-in-chief of the journal *European Review*, D'haen has authored, co-authored and edited over fifty books on postcolonialism, American literature and world literature, including *The Routledge Concise History of World Literature* (2012), *American Literature: A History* (2014), and the latest *Literary Transnationalism* (2018). In May 2019, Dr. Wan Xiaomeng interviewed D'haen during his academic visit to Shanghai Jiao Tong University. In this interview, D'haen illuminates such issues in world literature as transnationalism, nationalism, and translation. In addition, D'haen also shares his experiences in compiling a world history of literature, in which he and his colleagues put transnationalism into practice. D'haen claims that world literature studies depend much on American academe, while new academic trends and forerunners should be welcome in the future.

Keywords: world literature; transnationalism; literary history

Authors: Wan Xiaomeng is a Ph. D candidate at School of Foreign Languages, Shanghai Jiao Tong University (Shanghai 200240, China). She is currently engaged in the study of narratology and David Foster Wallace. (Email: wanxm1993@sjtu.edu.cn); **Theodoor Louis D'haen** is Professor Emeritus of English & Comparative Literature at Leuven University, Belgium, an elected member of Academia Europaea and editor-in-chief of the journal *European Review*. His scholarly interests include postcolonialism, American literature, and world literature. (Email: theo.dhaen@kuleuven.be)

标题：跨国主义语境下的世界文学与世界文学史：西奥多 L. 德汉访谈录

内容摘要：西奥多·路易斯·德汉，比利时鲁汶大学英语文学与比较文学教授、欧洲科学院院士、《欧洲评论》主编，其主要研究方向为后殖民主义、美国文学和世界文学，出版《劳特利奇简明世界史》(2012)、《美国文学史》(2014)

和《文学跨国主义》（2018）等相关著作五十余部。2019 年 5 月，德汉教授在上海交通大学外国语学院讲学期间，接受了万晓蒙博士的访谈。访谈中，德汉教授阐释了跨国主义、世界文学、民族主义和翻译等一系列世界文学相关问题。此外，德汉教授还分享了他所在的团队在编纂世界文学史中克服障碍、践行跨国主义的经历。他认为，现阶段世界文学研究的动向主要取决于美国的学术机构，但对于未来可能出现的各种新发展，我们亦应拭目以待。

关键词：世界文学；跨国主义；文学史

作者简介：万晓蒙，上海交通大学外国语学院博士生，主要从事叙事学和大卫·华莱士小说研究；西奥多·德汉，比利时鲁汶大学英语文学与比较文学教授、欧洲科学院院士、《欧洲评论》主编，主要研究方向为后殖民主义、美国文学和世界文学。本文系国家社科基金重大项目"当代西方叙事学前沿理论的翻译与研究"(17ZDA281) 的阶段性成果。

Wan Xiaomeng (Wan for short hereafter): Good afternoon, Professor D'haen. Let's begin with a very general question. What do you think about the relationship between national literature and world literature?

Theodoor Louis D'haen (D'haen for short hereafter): I think people will always go on studying national literatures because that's part of their own identity, of their own background and of their own history. Obviously, it's usually the language they are most at ease in, to read and to write and to speak. At the same time, with globalization and the growing role of China and many other countries joining in world commerce and in world politics, it's a good thing to also know a little bit about other cultures. One of the things that can help is to read novels, poems, also other things about other cultures. World literature is precisely one discipline or one course of studies in which you could become acquainted with many different cultures from around the world through their literature. I think that makes you not only a citizen of your own country, but also a little bit a citizen of the world, which is a good thing.

Wan: Yes, almost everyone dreams of being a citizen of the world. In your latest book *Literary Transnationalism* (2018), you place much emphasis on the concept of "transnationalism" which is "generally considered to be very closely related to globalization" (Vandebosch & D'haen 2). What is the difference between transnationalism and globalization? What are the key issues of transnationalism?

D'haen: Globalization is usually interpreted with respect to international trade, with the doing away with trade barriers or trade tariffs, making it possible that people can buy products from other countries without having to pay many taxes,

but also with the possibility of moving production around the world, very often to countries with lower wages so that products can be produced cheaper and therefore be sold to more countries. Transnationalism, in the particular sense in which we use it in that particular book, has to do with breaking through the barriers precisely of national literatures and looking at literature not from a national point of view, but precisely from outside. In other words, it is to look in on another literature from your own point of view. Somebody else asked me the question with respect to American literature, because I've also written a history of American literature, and she asked me whether I looked at American literature differently than Americans themselves do. Unfortunately, I had to reply that in that particular book, we basically wrote an American literary history from an American perspective. Even though my co-author and myself, we are Europeans, but we have been studying American literature for a long time, and we have more or less adopted the way of looking at the Americans as themselves do. But I also said that if I were to write another literary history of the United States, I would probably do it differently, and I would do it precisely informed by a transnational point of view. I would look at what parts of American literature have been important, meaningful, significant to people from other countries, what parts of American literature they feel appeal to them and mean something to them. That would probably give a different kind of American literature. In Nanjing University, I gave a talk in which I show that what some critics and literary historians have been doing over the last ten or fifteen years is looking at canonical works from outside, and that gives a different interpretation. One example is Mark Twain's *Huckleberry Finn*, which is a book that every American child has to read. Mark Twain is usually seen as the archetypal, a very typical American author. But what has been overlooked very often is that Mark Twain has also written other things. Some of the things he's written early in his career were stories that dealt with the Chinese immigrants to California and San Francisco. He wrote short stories about that. He also wrote a play about it together with another American author, Bret Harte. In these early stories, Mark Twain is very negative about Chinese immigrants to California. But forty years later, after he'd been around the world and after he had visited among other places China, he came back to the United States and was interviewed. They expected him to be on the side of imperialism. You should also know that at this particular moment, what was happening in China was the so-called Boxer revolt. This was basically a peasant revolt around 1900, supported by the empress against foreign powers, especially against, for instance, the French, the Germans and the English that have concessions in Shanghai, Guangdong and a couple of other places. This revolt

aimed to do away with foreign influence in China. The Germans, the French and the Americans sent troops to China to suppress the revolt, and they did so very bloodly. When Mark Twain came back to America and he was interviewed, his interviewers expected him to support sending American troops to China. Instead, he said "I think this is very wrong. China should be for the Chinese, and we shouldn't meddle in what they do in their own country." In other words, in these forty years he had changed his ideas about China completely. I also mentioned another writer, a German writer, Karl May, who was a writer of adventure stories, many of them set in the so-called "Far West" of the United States, the same time as Mark Twain, who in his early career also wrote a couple of stories about China in which he was very negative about China. He also traveled and visited China around the same year that Mark Twain did so. Karl May also spoke out against sending foreign troops to China. He also said that China should be for the Chinese. So he changed his mind too. I mean, this is interesting for Chinese, but it is also interesting for Americans to know. It is also interesting for Germans to know. It is also interesting for Europeans to know. And that gives a different idea of American literature or of German literature, for instance. You know, not only looking at Mark Twain and Karl May what they said about America, but also how they related their own culture and their own country to other countries—in this particular case, China. Of course, there could be other examples that do not have to do with China. But since I am in China, I thought those were two particularly relevant examples. So if you talk about transnationalism, that's precisely an example where you can look at how authors that occupy a specific place in a national literature can change face. They can become different if you look at them from outside, from another culture, or from another literature. The book *Literary Transnationalism* contains essays that deal in one way or another with looking at a literature from a non-national point, but looking at it in a way that involves at least two or three literatures, and usually even more than that.

Wan: Peter Morgan sees "transnationalism" as "a means of bringing American literary discourse into a new relationship with the world that it inhabits" (Morgan 3). Does this mean that transnationalism is born with a sort of Western superiority? Will it produce controversies by enhancing Wallerstein's world system?

D'haen: No, the aim or ambition of the purpose is not to impose a Western or an American point of view. I mean, the aim is precisely to get away from that. I'm not even sure whether it's actually introduced in American literary discourse. Very often the Americans think that they have invented something when actually it was

invented somewhere else, but they always think that they have invented it. So I'm not even sure whether this actually does not originate from France or something like that. But the idea is precisely to get away from imposing one view upon everybody else, the idea is to achieve some kind of equality.

Wan: In "Routes, Roads, and Maps (of) Literature" (2018), you argue that world literature often resorts under the aegis of comparative literature, and that its actual practice came to shadow the organization of Wallerstein's economic and political world system (D'haen 153). Does this problem still exist in today's world? What should we take into consideration when dealing with comparative literature and world literature?

D'haen: The relationship between comparative literature and world literature has always been a difficult one. Usually, world literature has been seen as one part of comparative literature, but precisely between the present proponents of world literature and those of comparative literature there's very often disagreement, and that usually has to do with the issue of translation. In orthodox comparative literature, the idea was always that you study usually two or three literatures in the original, for instance, Spanish, Italian, French, English or German or whatever languages in which you can read literature in the original. Then you can work across borders, so to speak, but in different languages. In world literature, at least as it is being practiced now, that is simply impossible. I mean, who could read literature in all the languages of the world? It is just impossible. So actually the necessary instrument for historians of world literature is translation. If you want to read works from many different cultures and literatures, you have to read at least part of them in translation, otherwise you wouldn't be able to read them. That's also the standpoint of somebody like David Damrosch in his book, *What Is World Literature* (2003). But things are different for some adherents of orthodox comparative literature, somebody like Gayatri Spivak, for instance. She says this (translation) is a bad thing, because it makes all the world look as if it exists in English, because the translation, of course, is in English. So in a sense, it anglicizes, it makes everything English. One should also say that most of these, especially anthologies of world literature, which is what she's talking about in translation, they are mostly for American students doing an undergraduate degree, who very often have to take one or two courses of world literature as mandatory part of their education. What Spivak says is that it supposedly brings all of the world to America in translation, but because it is in English, American students get the idea that all of the world is actually America. That is one of her big critiques of what these people

are doing. Of course, there's something to be said for both sides. On the other hand, again from the point that David is making, even if it must be an English translation, at least it's available in translation, people can read it. Maybe they cannot read the original, but at least they can get some idea of what it is in translation. If you can't read it because it's in the original and there is no translation, you will never read it. You will never know anything about it. I'd rather be on the side of David Damrosch, although I must say in my own practice I have tried to deal as much as possible only with literatures that I can read myself. But for instance, if I do want to know something about Chinese literature as I do, especially since I've been here quite a lot over the last years, of course I have to do it in translation because I simply don't know any Chinese.

Wan: I am very interested in your current project on world history of literature. How do you understand the world history of literature? What are the distinctive features in writing such a history?

D'haen: The idea of a world history of literature is not new. For the last 200 years, there have been many attempts actually to do that, either in volumes written by one person or in sets of volumes written by many collaborators. They exist in German, in Russian, in Danish, for instance. One thing that most of these world history volumes share is that they originate from Europe, or from the west but actually from Europe. I know no examples from the United States even. They are written by Europeans, or in any case, Westerners, even if they are writing about Japan or China or India, or things like that. But in general, eighty percent or more of these works is taken up by European literature. There's only twenty percent or less left for all other literatures, including Chinese, Indian, Japanese, etc. Usually in these histories literatures other than European literatures are only treated in their early phases – for Chinese literature Confucius, Laozi, maybe Du Fu, maybe Li Bai, just not much further than that. For Indian literature it is the Vedas and the Rayana, writings in Sanskrit and things like that, usually nothing contemporary, nothing even what we would call remotely modern. Referring to what we want to do in this new world history of literature, actually I'm not one of the main editors of that. The main editors are a number of Swedish scholars, David Damrosch and also Longxi Zhang from the City University of Hong Kong. But the idea behind this new history is precisely that it will not be Eurocentric. To begin with, we have divided the world not into Europe and the rest. We have chosen six big geographical regions, which will be dealt with on an equal basis. Europe is only one of the six. The Americas, north and south together, is another one of the six. Africa is one of

the six, the three others are Asian. One is East Asia—Japan, China, Korea; another one is south Asia and southeast Asia, which includes India, Myanmar and Malaysia, and maybe Vietnam, Cambodia and all the rest. We will also include Australia and New Zealand here, because they were too small to make into a separate region. Then there's Western Asia with Iran and Turkey and also Arabia, as there is a lot to be said about that. In other words, the explicit aim is that this is not a Eurocentric history where European literature takes up most of the space, and the others are only treated peripherally. It's going to be the other way around. Another new thing is that we draw on a large set of contributors and these contributors come from the regions themselves. In other words, it's not going to be Europeans and Americans writing about the literatures of other regions. Of course there's going to be some of that, but in principle, it's not going to be Americans writing about Japanese literature or Germans writing about Chinese literature. It's going to be Chinese writing about Chinese literature, Koreans about Korean literature, Japanese about Japanese literature and so on. In that sense this is very different from other kind of world histories of literature that we have had until now. I must say the whole project does have its own problems. To begin with, we are already at least five years behind our original schedule. Some of it has to do precisely with the fact that the we are dealing with a lot of contributors from a lot of different regions, but also from a lot of different cultures that sometimes have different ideas about what writing literary history is. There are coordinators on the level of the regions, but also on the level of the divisions we have made in time. We first have all the old classical literatures, not just Greek and Latin, but also classical Chinese, Indian, and all the rest until 200 CE, basically the end of your Han dynasty, which actually was the cut-off point that we took. And then 200-1500, because that's when the voyages of discovery change power relations in the world. That's when America comes into the picture, and then 1500 to 1800, and 1800 to 2000, basically. There's going to be four books according to the four periods. But in each of the four books, we are going to deal with those six macro regions. We have geographical coordinators, but we also have period coordinators. They all have to work together in order to make sure that this is a fair literary history. The total thing should be about two thousand five hundred pages. I will give you an idea of how it's not going to be Eurocentric. I have written a great part of the European history and a Swedish colleague has written also a big part, actually, the two of us together. We have written all of Europe, everything about Europe, but we only have four hundred pages, because the total is two thousand five hundred. If you divide it by six, you end at about four hundred. The idea is precisely that all of the regions get the same amount of

pages. Now, this is not evident. For instance, to be quite frank, there is much less literature from the Americas, maybe nothing to present before 1500. There is not much literature, at least written literature, of Africa before 1800, because in most Africa there was no writing system. They did have oral literature, but these oral literatures are usually only recorded maybe a hundred years ago by anthropologists. So we run into problems with certain questions, especially if we want to give as much space to Africa or to the Americas in the very first volume. Why do we do with that? If they get a hundred pages, just like European literature does, first of all, what are they going to say? Because there basically isn't anything. This has led to big discussions among the group. If they get a little bit less pages in the first one or two volumes, maybe they can get some more pages in the later volumes. But the later volumes are precisely of the period when there's very much to say about European literature, very much to say about Chinese literature, very much to say about Japanese literature. What are we going to do with that? Maybe we will have to arrive at some point, but I'm only speculating now, at some point where the first volume should be smaller than the others. Maybe there should be more pages in the others. We should divide it differently. But we haven't finished yet. We should have finished five years ago. A number of contributions and a number of texts have not yet been delivered. With some of them, we have doubts whether they actually will be delivered because some of the contributors are getting on in age, like me. But I'm one of the younger ones. I think the idea behind it is very solid. There is need for such a world history of literature, but the practicalities are sometimes a little bit troublesome to manage.

Wan: To manage a long period of history in limited pages is rather challenging. What narrative forms do you employ?

D'haen: The first thing to say is that this world history of literature is, in an important sense, not meant for specialists. Obviously, in two thousand five hundred pages or in four hundred pages on European literature, I cannot say very much, because most national literary histories are more than four hundred pages. You should stop to think that in Europe there's about thirty-five different languages and literatures. If I have to deal with all of these in four hundred pages, there's a lot I cannot say. The same goes for Chinese literature, Korean literature, Japanese literature and so on. Basically, it is going to be a history for non-specialists, in a sense that anybody that knows already about European literature is not going to read what I wrote about European literature or what my Swedish colleague wrote about European literature. The idea is that people from other regions that are

specialists in their own region, but may want to know something about European literature, would read the part about European literature. Just as I, who know something about European literature but may be interested in literature in Western Asia or in Eastern Asia, may turn to the part on China, Japan, and Korea and things like that. If you are interested in particular aspects of what you read there, you will have to go to more specialized histories of Chinese literature, of Japanese literature and so on. Secondly, we of course cannot deal with all authors. We cannot even deal with all major authors or even all canonical authors. Obviously, we try to cover those authors that we cannot avoid, so to speak. I mean, we cannot not mention Shakespeare, to give an example. But there are others like that. In general, also we try to make clear what literature means in a particular time and in a particular area. For that reason, we also say things about what is literature in a given society at a given moment. We also ask who and what authors are, in a given society at a given period, as well as who and what readers are, what are their expectations, how do literary institutions function—publishers, journals, universities, schools, critics, academies, everything that has to do with that. We always give a sort of general introduction to the area and period at the beginning of each part dealing with region, because it's important that readers know at least a little bit about the history of the particular region during that particular period. But the emphasis is still always on the literature. After all, it's a literary history. But we try to illustrate all these points by referring to specific authors and specific texts, and making all of that a narrative that explains things to our readers. Here and there we also analyze a short bit of poetry or of prose.

Wan: As you have mentioned earlier, "changes in world history also led to changes in the ways literature is studied" (D'haen 154). In the age after postmodernism, what are those changes in world history that influence the ways literature is studied?

D'haen: I'm now talking basically about the development of literary studies in the West. Because that's what I know best of course. You have had postmodernism in the 1960-1980s. After that, what we get is two things that are basically two sides of the same coin. One is postcolonialism, and the other one is multiculturalism. They both have to do with the growing importance of writers that are not male and not white, that are not from the center from Europe or from the US. When I say postcolonialism, that mostly relates to literatures emanating from countries that once were colonies of European powers. Multiculturalism initially had to do with Canada and the United States. That has to do with people that for the longest time

were minorized or minorities, in Canada and the United States. But in many ways they are the same, whether they are postcolonial or multicultural. It springs from the same desire to now fully be part of the culture and the society in which they are living. I think that was particularly strong during late 1980s and the 1990s, maybe even the beginning of the 2000s. I'm not so sure whether that's still the case. Things change after 2001, that is why we get world literature. World literature is an attempt to transcend the oppositions that are an innate part of postcolonialism, because postcolonialism, by definition, opposes literature from the center and literature from the old colonies. And multiculturalism, by definition, is opposed to the old canonical literature of the United States. I think that very often led to adversarial points of view, and also methodologies that in the end became a little bit predictable, where you could read almost any work coming from the ex-colonies as wanting to emancipate people, wanting to accuse the old colonizers. The same thing applies to multiculturalism in the United States. So I think world literature is precisely an attempt to get away from these oppositions and to try to look at literature again a in a more global way, not in an oppositional way. That's also of course, one of the reasons why world literature studies are usually very much opposed by, for instance, adherents of postcolonialism. They say that the main thing about postcolonialism or multiculturalism is precisely that it has a political background, because it comes from people that have been discriminated and that now want to get or achieve their place in the world and in society. So there has to be this element of resistance, whereas world literature precisely does away with that, and tries to look at literature both from the colonies and from the colonizer, both white, male and black, female, and all the rest from the same perspective. It's not as political as postcolonialism or multiculturalism.

Wan: You have been editor-in-chief of *European Review* for quite a few years. How the future of world literature studies is focalized from that position?

D'haen: Well, I'm not sure whether I should say this. First of all, the *European Review* does not only deal with literature, it's actually a very general journal. Basically, it's the official journal of the European Academy, and the Academy has members from all sciences and all kinds of scholarship. The journal publishes in all fields, from physics and mathematics, through music to sociology, political science and everything else, but also occasionally on literature, then, on world literature. According to my own experience, what is happening right now, or has been happening with it over the last twenty years or so, has mostly to do with the development of literary studies in the United States. In many ways what happens

in US academe has very much determined what is going on in the rest of the world, at least since the Second World War. For the last 70 or 80 years, then what I've seen is a succession of movements in literary studies or of approaches in literary studies that sort of keeps step with generations. Right after the second World War, we have New Criticism, which is a particular mode of reading literature, especially close reading and text analysis, that basically lasts until the late 1960s. Then that is followed by what often has been called poststructuralism and deconstruction— Derrida, Foucault, Paul de Man, Lacan and all the rest, that lasted until the 1980s. Poststructuralism and deconstruction largely ran parallel to postmodernism, to the point that very often they have been interpreted as being the same almost. Then we get multiculturalism and postcolonialism side by side. But we have had those now for more than twenty-five years. So they are at an end. I think we have now had world literature for something like ten or fifteen years. I would expect that in five or ten years world literature is at an end too, and we will get something new. I don't know what it will be, but it's probably something that a new generation will invent and propagate. As I say, I have no idea what it will be. But as far as I can see, sort of every twenty to twenty-five years you get something new in American literary scholarship. So if you figure twenty years of New Criticism, (actually it started before the second World War, but I'm only reckoning after the Second World War. Let's say twenty years of New Criticism, twenty years of poststructuralism, twenty years of multiculturalism and postcolonialism. We have now had almost twenty years of world literature. So, it's maybe time for something new, time for a new generation and for something new.

Wan: So, you choose not to make predictions.

D'haen: Yes, well, I can't say what it will be, but as I say, I would not be surprised if something changes in a few years' time, though that may be another five or ten years from now. Usually what you see in these movements or approaches is that there's a couple of instigators, in this particular case Pascale Casanova, Franco Moretti, and David Damrosch. Although it actually started a little bit before them with Sarah Lawall in the university of Massachusetts who was my supervisor, but Casanova, Moretti and Damrosch made it popular again. Then a lot of people start doing it. But it takes another five or six years before it's in full swing. You can see that by 2012, a lot of people, including me, are publishing on this, and now there's scores of books on it. But at a given moment, there are too many books on it, and people start looking for something new, for something else. So as I say, I can't predict what it will be, but I can almost certainly predict that there will be

something new and something else in a few years' time.

Wan: There are infinite possibilities.

D'haen: Well, I don't know. I mean, something may change because of political conditions changing. I've often thought that one of the reasons for the recent success of world literature in the United States has been the attacks on the world trade center in 2001, because that made Americans aware that they were not immune, that they were not isolated from the world and, as they had always thought, safe behind their two oceans. This was the first time that a foreign power attacked and succeeded in hurting America on its own soil. It caused a great shock all through America politically, militarily, but also intellectually. I think world literature is partially a response to that, or at least, the generalization of world literature studies in American teaching and thought is partially a reply to that—trying to bring America more into contact with the rest of the world, to integrate with the rest of the world. Just as in creative literature, we have also seen changes with sort of a return to more realistic fiction—Jonathan Franzen and other people like that, and their popularity. So there's no predicting what will happen in that respect, whether we will have another such shock or whatever. I hope not, of course. Maybe the presidency of Trump and what follows from that may cause changes in attitudes that lead to changes in literary studies approaches.

Wan: Thank you very much for taking this interview.

D'haen: Thank you.

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World Literature, War, Revolution: The Significance of Viktor Shklovskii's *A Sentimental Journey*

Galin Tihanov

Abstract: This article examines Shklovskii's previously overlooked engagement with a discursive domain we currently tend to refer to as "world literature;" as such, it is an original contribution not just to understanding A Sentimental Journey, arguably the richest part of Shklovskii's 1920s memoir trilogy, but also to honing a transnational approach to his writing. While Shklovskii's work has already been discussed through the prism of mobility and nomadism, this article emphasises his active involvement in, and reaction to, early Soviet discourses and practices of "world literature." It places Shklovskii's commitment to the idea of world literature in the broader context of our present debates on the subject. To understand "world literature" as a specific construct, we must ask the unavoidable question about the location of "world literature" vis-à-vis language, which has important consequences for how we interpret the dispersed legacy of modern literary theory (founded, undoubtedly, by Shklovskii and the Russian Formalists); this would allow us to recognize the enduring relevance of Shklovskii's understanding of literariness for current debates on world literature.

Author: Galin Tihanov is the George Steiner Professor of Comparative Literature at Queen Mary University of London and Leading Research Fellow at the HSE University, Russian Federation. This article was prepared within the framework of the HSE University Basic Research Program and funded by the Russian Academic Excellence Project "5-100." Further research was conducted, and additional funding received, under the auspices of the AHRC OWRI Research Programme "Cross-Language Dynamics: Reshaping Community." The author is grateful to Stephen Hutchings, Catherine Davies, and Andy Byford for the productive collaboration within this programme (Email: g.tihanov@qmul.ac.uk).

标题：世界文学、战争和革命：论维克多·什克洛夫斯基《感伤之旅》的意

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内容摘要： 什克洛夫斯基参与了我们现今称为"世界文学"的话题领域，先前学界忽视了这一点。因此，本文不仅对理解什克洛夫斯基在 20 世纪 20 年代发表的回忆录三部曲中最丰富的作品《感伤之旅》具有创新意义，而且能够挖掘其创作中的跨国视角。鉴于学界已经广泛探讨了什克洛夫斯基作品中的流动性和游牧文化，本文强调了他在苏维埃早期的"世界文学"话语建构与实践，将什克洛夫斯基对世界文学的贡献置于我们当今探讨这一概念的更加宽泛的语境中。为了理解"世界文学"的特殊属性，"世界文学"的语言处于何地是我们不可回避的问题，它对我们如何解读（由什克洛夫斯基和俄国形式主义学者创立的）现代文学理论也具有重要影响，使我们认识到什克洛夫斯基对文学性的理解之于当今有关世界文学的争论有着持久相关性。

关键词： 世界文学；文学理论；文学性；翻译；什克洛夫斯基；高尔基

作者简介： 加林·提哈诺夫是伦敦大学玛丽女王学院比较文学系乔治·斯坦纳教授，俄罗斯联邦 HSE 大学的首席研究员。本文是 HSE 大学基础研究项目阶段性成果，由俄罗斯学术卓越项目"5-100"资助。在 AHRC OWRI 研究项目"跨语言动态：重塑社区"的支持下，进行了进一步的研究并获得了额外资助。感谢 Stephen Hutchings，Catherine Davies 和 Andy Byford 在该项目中富有成效的合作。

Viktor Shklovskii (1893-1984) was one of the foremost exponents of Russian Formalism;[1] at the same time, his work was embedded in the discourses and practices of what was later to emerge as "world literature:" a specific focus in the study of literature that emphasizes the travel and circulation of texts across cultural environments in a multitude of languages. This article seeks to uncover Shklovskii's previously overlooked engagement with this discursive domain; as such, it is an original contribution not just to understanding his A Sentimental Journey [Sentimental'noe puteshestvie, 1919-23], arguably the richest part of Shklovskii's 1920s memoir trilogy, but also to honing a transnational approach to his writing. Shklovskii's work has already been discussed through the prism of mobility and nomadism (Dwyer 2009; 2016);[2] the present study shifts the discussion towards Shklovskii's so far unexplored involvement in, and reaction to, early Soviet discourses and practices of "world literature."[3] I begin by placing

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1   For background on Russian Formalism, see Tihanov 2012a.

2   On nomadism in Russian culture, see, most recently, Hansen-Löve 2017.

3   On Shklovskii and world literature, from a very different perspective that does not engage with the historical context or with Shklovskii's *A Sentimental Journey* and his hands-on involvement in Gor'kii's "World Literature" project, see Hamilton 2018.

his work in the larger context of Russian literary theory (notably the writings of Mikhail Bakhtin) and its engagement with world literature; I then proceed to take a fresh look at *A Sentimental Journey* as a document of war and revolution, but also as an intervention in debates on literary theory and world literature.

Today the legacy of modern literary theory is not available in a pure and concentrated fashion; instead, it is dispersed, dissipated, often fittingly elusive. The reason for this is that this inheritance is now performing its work in a climate already dominated by a different regime of relevance, which it faces directly and must negotiate. The patrimony of literary theory is currently active within a regime of relevance that evaluates literature based on its market and entertainment value, with only residual recall of its previously highly treasured autonomy. This regime of relevance has engendered a distinctive interpretative framework that has recently grown and gained enormous popularity, not least in the classroom, as "world literature." I place these words in quotation marks, for, by now, they tend to refer to a particular liberal Anglo-Saxon discourse grounded in assumptions of mobility, transparency, and re-contextualizing (but also de-contextualizing) circulation that supports free consumption and unrestricted comparison of literary artefacts.

A look at Russian literary theory during the interwar decades reveals that some of its major trends are highly relevant, obliquely or more directly, to this new framework of understanding and valorising literature in the regime of its global production and consumption. Mikhail Bakhtin begins his book on Rabelais with a reference precisely to world literature: "Of all great writers of world literature, Rabelais is the least popular, the least understood and appreciated" (Bakhtin, *Rabelais and His World* 1). Bakhtin, however, pays lip service to the then powerful notion of world literature as a body of canonical writing: he ostensibly compares Rabelais to Cervantes, Shakespeare, and Voltaire. But this understanding of world literature does not really interest him. Instead, he takes a different route, re-conceptualizing the study of world literature as a study of the processes that shape the novel to become a world genre, a global discursive power. Of course, Bakhtin is here indebted to the Russian Formalists: for him, too, the novel is the underdog of world literature, whose discursive energies are at first feeble and scattered, unnamed for a long time, until they begin to coalesce and rise to prominence.[1]

Bakhtin's engagement with world literature holds a distinctly non-Eurocentric and, I would emphasize, non-philological charge. He works with the novels he lists mostly in translation, as does Shklovskii before him. While Bakhtin appears

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1   For another inscription of Bakhtin in the context of Russian engagements with world literature during the 1930s, see Clark 2011.

to be relying on a Western canon to validate his theses, his primary interest lies in the literature and culture of pre-modernity, when Europe is not yet a dominant force and does not see itself as the centre of the world. Bakhtin is fascinated by the subterranean cultural deposits of folklore, of minor discourses, of ancient genres, of anonymous verbal masses — all of which long predates European culture of the age of modernity (beginning roughly with the Renaissance, but especially since the eighteenth century when the doctrine of cultural Eurocentrism is worked out by the French philosophes, only to witness its first major crisis in the years immediately after the First World War), which is the only dominant (Eurocentric) European culture we know. Even Rabelais' novel interests Bakhtin above all for its traditional, pre-modern, folklore-based layers. He performs a flight away from Eurocentrism not by writing on non-European cultures, but by writing on pre-European cultures, on cultures that thrive on the shared property of folklore, rites, rituals, and epic narratives, centuries before Europe even began to emerge as an entity on the cultural and political map of the world; his is an anti-Eurocentric journey not in space, but in time.[1] Bakhtin's contemporaries, the semantic palaeontologists Nikolai Marr and Ol'ga Freidenberg, whose writings he knew, achieved something similar in their work on myth and pre-literary discourses (Tihanov, "Framing Semantic Paleontology: The 1930s and Beyond"). Seeing Bakhtin in this new light allows us to enlist him as an early predecessor of the non-Eurocentric and translation-friendly thrust of today's Anglo-Saxon academic programmes in world literature. One can thus appreciate that Shklovskii was far from alone in his engagement with the agenda of world literature; but he embraced this agenda earlier, and — as we shall see later on in this article — his work had seminal implications for the future methodology of this particular paradigm.

War, Revolution, World Literature

The publication history of Viktor Shklovskii's *A Sentimental Journey* in Russia is indicative of the turmoil Shklovskii captures in his memoir. Written and published in parts between June 1919 and January 1923, it is a book begun in Russia and completed in emigration. It is a book about war, revolution, literary theory, yet it also deals with world literature in ways that have not previously been appreciated

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1   Which is not to say that Bakhtin did not appreciate the need to undertake serious research on literatures beyond Europe and the West; cf. his praise for Nikolai Konrad's important book *West and East* (Bakhtin 1986: 2). Konrad was the foremost Soviet Japanologist and Sinologist during the 1950s-1960s; he was the engine behind the multivolume Soviet *History of World Literature* at the early stages of working out its methodology.

and discussed. The memoir first appeared in its entirety January 1923 in Berlin; the many Russian editions since 1923 would omit various portions of the book (deemed to be incompatible with official dogma), all through to 2002 when the Berlin edition was eventually republished in Moscow.[1] Thus *A Sentimental Journey* is also about exile and the long journey home, which sometimes comes to an end only posthumously (Shklovskii had passed away in Moscow in December 1984).

On first reading, *A Sentimental Journey* is a book about two revolutions (the February and October revolutions of 1917) and the ensuing civil war that engulfed Russia and its empire. It starts with memorable passages about Shklovskii's life before the revolutions: dullness, dreariness, and constant oppression through the tedious passage of time make up the dominant mood in the opening paragraphs. The beginning is thus mutely suggestive of cataclysm and estrangement waiting to happen, mitigating this unbearable sense of flatness. Estrangement is very much Shklovskii's master technique in *A Sentimental Journey*: he often chronologically reshuffles the episodes he narrates, leaves entire semantic entities dangling without resolution, and resurrects the tradition of wit and paradox in order to present the reader with a non-linear exposition of the war and the two revolutions. Ultimately, he eschews taking sides, working instead across political dividing lines. (In an extraordinary passage on the death of his brother, Evgenii, Shklovskii states: "He was killed by the Reds or the Whites. I don't remember which — I really don't remember. But his death was unjust" (156). (Rarely can one find a better example of political withdrawal in favour of a strong ethical judgment; only Kolia, Gaito Gazdanov's protagonist from his émigré novel *An Evening with Claire* [Vecher u Kler, completed in 1929 and published as a book the following year], rivals this reluctance to commit politically when he says that joining the Whites was mere accident — he might just as easily have joined the Reds.)

While the concept of estrangement in Shklovskii may have had a number of sources in various scholarly and philosophical traditions, with which he may have been (often indirectly) familiar, the crucial formative factor that contributed to the rise of this concept was undoubtedly the First World War (Tihanov, "The Politics of Estrangement: The Case of the Early Shklovsky"). The war was the propitious ground on which a materialist, substance-orientated view of the world grew strong and flourished amidst and out of — ultimately as a protest against — the cacophony and chaos of annihilation. Facilitating a return to the pristine nature of things

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1   All quotations are to the English translation (Shklovsky 1970), occasionally modified by me for the sake of accuracy. For the first full republication of the 1923 Berlin edition in Russia, see Shklovskii 2002.

seemed to be for so many other writers of the war generation the greatest gift that the progress of technology, industry, and warfare, so evident on the eve of the war and during it, could give back to a frustrated Europe. Estrangement was a technique designed to assist this process by equipping the reading public with the required acuteness of perception. The time is ripe to place the early Shklovskii — even more forcefully than this has been done on occasion in the past — in his proper context, that of the First World War, and to see him as an author participating in the larger constellation of brilliant European essayists, whose work and ideas were rooted in their war experience. At the same time, we need to be aware of the role the October Revolution played in Shklovskii's evolution after 1917. The revolution no doubt added to his war experience, amplifying and throwing into relief his main dilemma, that of aesthetic innovation (ambiguous and at times shaky) vis-à-vis social and political conservatism. It was this dilemma that led him to reject the October Revolution as a member of the Socialist Revolutionary party — but also to highlight its attractiveness, its sheer incommensurability, scale, and purifying force. The revolution superimposed a new political dynamic which, while not cancelling the dispositions of the war experience, demanded different responses; in other words, in Shklovskii's memoir the War and the Revolution are to be thought together without being conflated. Remarkably, Shklovskii's memoir weaves into these powerful narratives a third one: an examination of Jewish identity and anti-Semitism during the war (in the East, in Persia, Shklovskii notes the absence of anti-Semitism as a factor that helps his reconciliation with, and acceptance of, the locals). *A Sentimental Journey* is thus a book that straddles intense self-reflection and unmitigated self-abandonment to fate: Shklovskii refers to Spinoza's famous example of the "falling stone" (*A Sentimental Journey: Memoirs, 1917-1922* 133) in order to quip, self-ironically, that "a falling stone does not need to think."[1]

Shklovskii's memoir, however, is not just about war and revolution, but also about world literature. Shklovskii's involvement in the emergent Russian debate on world literature was direct and, as often with Shklovskii, marked by commitment and distance in the same breath. He joined Gor'kii's "World Literature" project in 1919.[2] This was a large-scale publishing project, educational and socially ameliorative at its core. The idea was for a new, expanded canon of world literature to be established in post-revolutionary Russia, including — for the first time —

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1   Spinoza used the example of the falling stone to suggest that free will was an illusion: if the stone were endowed with self-consciousness, it would still be convinced that it was moving of its own accord, even if it had been thrown by someone or otherwise obeying the force of gravity.

2   Gor'kii's project was called "Vsemirnaia literatura" in Russian, a term that can be translated as both *world literature* and *universal literature*.

not just works from Western literatures, but also from the literatures of Asia, the Middle East, and Latin America. These works had to be translated (in some cases retranslated to replace poor existing translations), equipped with proper introductions and apparatus, and made available in reliable but cheap scholarly editions to those previously disenfranchised: the workers, peasants, and soldiers, in short, the classes of the oppressed. The project was centred in Petrograd, and its infrastructure included a publishing house which, at its zenith, would employ around 350 editors and translators, as well as a translators' studio which was meant to familiarize younger translators with translation theory, literary theory, and other cognate fields.[1]

It is to this studio that Shklovskii was recruited by Gor'kii in 1919 to give lectures in literary theory. One has to recall that at that time Petrograd was a city ravished by famine and civil war, in the grip of dire poverty and utter insecurity. In A Sentimental Journey, Shklovskii laconically notes his aunt's death from starvation; it is in this atmosphere that he threw himself into Gor'kii's project. The ambition to promote a non-Eurocentric approach to world literature was particularly important: early on, Gor'kii established an editorial committee on oriental literatures chaired by his friend of long standing and dean of Russian Indology, academician Sergei Ol'denburg; the committee also included the brilliant sinologist Vasilii Alekseev, the renowned Arabist Ignatii Krachkovskii, the already famous archaeologist and linguist Nikolai Marr, journalist and writer Aleksandr Tikhonov, and Gor'kii himself.[2] The paradox at the heart of this project was not, of course, the fact that Gor'kii set out to redress decades of social injustice; he regarded his project precisely as an instrument of radical social transformation, in which previously disadvantaged layers of society would be offered access to the greatest works of literature. But this radical social transformation, meant to facilitate upward mobility for millions of people, was to be achieved through the most conservative of methods: by invoking a secure (if augmented) canon of, to recall Matthew Arnold's definition of culture from Culture and Anarchy, "the best that has been thought and said." Gor'kii's radical project was thus tempered by his humanist notion of world literature as a canon of texts and a tool of inculcating the

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1   On Gor'kii's project, see, most recently, Khotimsky 2013 and Tyulenev 2016; for a more essayistic account, see the chapter 'Petrograd, 1918' in David 2011. On Soviet engagements with world literature between the World Wars, see, more generally, Epelboin 2005.

2   When later Gor'kii published his journal Beseda (1923-1925) in Berlin, he once again sought to recruit Ol'denburg and Alekseev as contributors (Yedlin 1999: 158); according to Khodasevich, the idea of establishing Beseda (initially under the title Putnik) was actually Shklovskii's (Yedlin 1999: 157-158).

virtues of civility and erudition (or "learnedness," in the language of that epoch). This understanding of "world literature" goes back to the late-eighteenth and early-nineteenth century when Wieland (not by accident the author of the first important German novel of education), some 25 years before Goethe, in a somewhat elliptical manner talked about world literature as an instrument of self-improvement that teaches us to better communicate with others and supplies knowledge of the world we would otherwise not have access to.[1]

The translators' studio established in 1919 had some of the best contemporary Russian writers and translators contributing to its work: Evgenii Zamiatin, Nikolai Gumilev, Kornei Chukovskii (one of the best translators of literature from the English language who had already produced translations of Walt Whitman's poetry); of the Russian Formalists, Boris Eikhenbaum was also invited to contribute. Shklovskii notes in his memoir that the translators' studio quickly evolved into a "literary studio," where drafts of literary works were discussed and literary theory and criticism were on the agenda. "I never in my life worked the way I did that year" (Shklovsky, *A Sentimental Journey: Memoirs, 1917-1922* 186), he writes. Before a young audience, Shklovskii was teaching Don Quixote and Sterne, writing, in conversation with his students, the chapters on Cervantes and Sterne that were to be included in his book O teorii prozy (1925; second, expanded edition, 1929; English translation, Theory of Prose).

The Portability of Literariness: Shklovskii's Enduring Relevance

At this juncture, it is important to place Shklovskii's commitment to the idea of world literature in the broader context of our present debates on the subject. To understand "world literature" as a specific construct, we must ask the unavoidable question about the location of "world literature" vis-à-vis language, which has important consequences for how we interpret the dispersed legacy of modern literary theory (founded, undoubtedly, by Shklovskii and the Russian Formalists). This question appears to be banal at first sight; yet, there could not be a more fundamental question when it comes to how we think about literature than the question of language. Here we need to confront the issue of translation and recognize its legitimacy, not just with reference to current debates (between those who champion the beneficial role of translation and those who treasure the idea of untranslatability as a way of opposing politically dubious equivalences),[2] but by going to the very origins of modern literary theory and the work that Shklovskii

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1   See Tihanov 2011, esp. 143.

2   For these two positions, see, respectively, Damrosch 2003 and Apter 2013.

himself was doing in 1919/1920, some of which he succinctly captures in A Sentimental Journey.

My contention here is that we need to begin to understand the current Anglo-Saxon discourse of world literature, in which the legitimization of reading and analysing literature in and through translation plays a pivotal role, as an echo of, and a late intervention in, a debate that begins in the early days of classic literary theory.[1] By "classic literary theory" I mean here the paradigm of thinking about literature that rests on the assumption that literature is a specific and unique discourse, whose distinctiveness crystalizes around the abstract quality of "literariness." This way of thinking about literature begins around the First World War — with Shklovskii and his fellow Formalists — and is largely dead by the late 1980s. In *A Sentimental Journey* (192), Shklovskii rages against those who think of literature primarily as a conveyor of political ideas and civic values rather than as a specific, self-sufficient use of language: "How strange to substitute the history of Russian liberalism for the history of Russian literature." But classic literary theory does not disappear without leaving behind a dissipated legacy consisting in rehearsing, in various ways, the question of the centrality — or otherwise — of language in how we understand literature. The current debate on "world literature" is part and parcel of this dissipated legacy of classic literary theory, re-enacting the cardinal debate on whether one should think literature within the horizon of language or beyond that horizon. It is incumbent upon us to recognize that the current polemics on "world literature" in the Anglo-American academy are an extension of these earlier debates on language and literariness originating in classic literary theory, not least because, like so many other discourses of liberal persuasion, the Anglo-Saxon discourse of world literature, too, often passes over in silence its own premises, leaving them insufficiently reflected upon, at times even naturalizing them.

As is well-known, the Russian Formalists agreed that what lends literature its specificity is literariness. But we tend to forget that they disagreed on what constitutes literariness.[2] Roman Jakobson (mentioned once in *A Sentimental Journey*, but more frequently in Shklovskii's only slightly later memoirs Zoo, or Letters not about Love and Third Factory) believed that literariness is lodged in the intricate, fine-grained workings of language. To him, only the language of the original matters, as this intricacy cannot be captured in translation. Not by chance

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1   This argument is more fully developed in Tihanov 2017b.
2   For an early and insightful interpretation, from a different perspective, of the split within Russian Formalism over how literariness should be understood and captured, see Hopensztand 1938 (of which there is a passable English translation: see Hopensztand 1989).

does Jakobson spend his entire career (when it comes to his work as a literary scholar) analysing texts written in verse, basing these analyses on the language of the original. Shklovskii, Eikhenbaum, and, to some extent, Tynianov, on the other hand, believed that the effects of literariness are also (and, in a sense, primarily) produced on levels above and beyond language. In a striking difference to Jakobson, Shklovskii, in particular, chose to analyse prose rather than poetry, and to do this in translation. This is precisely the work he was doing in the translators' studio in Petrograd, of which he reminisces in *A Sentimental Journey*. It is the level of composition, rather than the micro-level of language, that claimed Shklovskii's attention when trying to explain the effects of literariness. His famous distinction between fabula and siuzhet, for example, works with undiminished validity also when we read in translation.[1] We do not need the language of the original to appreciate the transposition of the material and its reorganization through retrospection, retardation, etc. (techniques which Shklovskii, sometimes following Sterne, himself abundantly employs in *A Sentimental Journey*).[2] Moreover, Shklovskii and Tynianov proved that even on the level of style the language of the original is not the only vehicle of literariness. The parodic aspects of Don Quixote, for instance, can be gleaned and grasped also in translation, provided we have some background knowledge of chivalric culture and its conventions. Thus, the Russian Formalists' internal debate on what constitutes literariness — and Shklovskii's belief in its portability beyond the language of the original — had the unintended consequence of lending today ammunition and justification to those who believe in the legitimacy of reading and analysing literature in translation.

Let me repeat: the current discourse of "world literature" is an iteration of this principal question of classic literary theory: should one think literature within or beyond the horizon of language? This specific iteration recasts the question, while retaining its theoretical momentum. Shklovskii (who was blissfully monolingual and taught in the translators' studio Cervantes and Sterne in translation), together with Eikhenbaum (who, despite being a reader of English who could — and did — work with texts of fiction in the original, would also often highlight the fact that literariness materializes on the level of composition rather than solely on the micro-level of language), was facing the foundational conundrum of literary theory: how to account for literariness with reference to both individual languages and language

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1   For the Russian Formalists, *fabula* was the chronological sequence of events as they progress from the start to the end of a narrative text, whereas *siuzhet* was the way in which these events are reorganized to appear (through devices such as retrospection, prolepsis, retardation, and so on) in the literary work of art (a novel, a story, etc.).

2   On Shklovskii's uses of, and debt to, Sterne's prose, see Finer 2010.

per se. If Shklovskii's response was to be seminal in terms of theory, it had to be a response that addressed both the singularity of language (the language of the original) and its multiplicity (the multiple languages in which a literary text reaches its potential audiences in translation). No claim to theory would lawfully exist unless literariness could be demonstrated to operate across languages, in an act of continuous estrangement from the language of the original.

The Anglo-Saxon discourse on world literature, foremost in the work of David Damrosch, has proceeded — so it seems to me — in the steps of Shklovskii by foregrounding the legitimacy of working in translation. Damrosch has implicitly confronted the tension between the singularity and multiplicity of language by concluding that studying a work of literature in the languages of its socialization is more important than studying it in the language of its production, not least because this new priority restricts and undermines the monopoly of methodological nationalism in literary studies. (The languages of creation and socialization can, of course, coincide, and the implications flowing from this, especially where this coincidence involves a global language such as English, are something worth thinking about; equally, there are cases in which more than one language can be deployed in producing a work of literature — but never as many as the plethora of languages that provide the infrastructure for its circulation.)[1]

Shklovskii's *A Sentimental Journey* is thus not just a monument to the February and October revolutions and the ensuing civil war; it is also a monument to one of the most seminal moments in classic literary theory which still reverberates in our current debates on world literature. The wide-ranging implications of Shklovskii's highlighting the legitimacy of reading and analysing literature in translation mitigates, at least to some extent, concerns by some of his contemporaries that the Formalists' concept of literariness was based on the discussion of an overwhelmingly Eurocentric (and thus relatively narrow and insufficiently representative) corpus of texts.[2]

Yet one should not assume that Shklovskii embraced Gor'kii's project unreservedly. In a splendid passage from *A Sentimental Journey*, Shklovskii ironically distances himself from what he clearly perceived as a project on too grand a scale, and one that sought to revolutionize culture through the conservative educational tools of the canon. In the passage in question Shklovskii refers to both Gor'kii's world literature project and the eponymous publishing house:

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1   On the political and cultural baggage of English (and hence the dangers of asserting it as a seemingly transparent medium of translation), see, e.g. Mufti 2016.

2   For a more detailed discussion of these concerns, see Tihanov 2017a, esp. 426-427.

"World Literature." A Russian writer mustn't write what he wants to: he must translate the classics, all the classics; everyone must translate and everyone must read. Everyone will read everything and will know everything, absolutely everything. No need for hundreds of publishing houses; one will do — Grzhebin's. And a catalogue projected to one hundred years, a catalogue one hundred printer's signatures long; in English, French, Indo-Chinese and Sanskrit. And all the literati and all the writers will fill in the schemes according to rubrics, supervised by none other than S. Ol'denburg and Alexandre Benois, and then shelves of books will be born, and everyone will read all the shelves and know everything. No heroism or faith in people is needed here. […] (Shklovskii, *A Sentimental Journey: Memoirs, 1917-1922* 189; translation modified)

This is Shklovskii at his best: both passionate and restrained, ironically distanced yet committed. He clearly objects to Gor'kii's project of world literature, as he sees in it a coercive instrument with which to impose a non-negotiable canon ("the classics"); he even seems to suggest that Gor'kii's project is a form of censorship, and of contempt for the freedom of expression. There is also a dormant nationalism in Shklovskii's indictment of Gor'kii's implied criticism of Russian literature as provincial compared to the canon of world literature. The enumeration of languages into which the overambitious catalogue of the "World Literature" publishing house was to be printed is — without a shadow of a doubt — only half-serious in tone ("Indo-Chinese" is Shklovskii's way of mockingly referring to a non-extant (single) language of the East; 'Sanskrit' is by that time a language endowed with huge cultural capital accumulated over centuries, but nonetheless strongly reduced in its vernacular use). As a matter of fact, Gor'kii's World Literature publishing house published two separate catalogues (both in 1919): one containing a list (marked as "provisional", as the catalogue put it) of translations of literary works from Europe and North America, and one of (intended) translations from non-Western literatures (titled "The Literature of the Orient"); the first catalogue featured an essay by Gor'kii and editorial apparatus, both also translated into French, English, and German, whereas the second catalogue had an unsigned brief introduction and editorial apparatus, both available in the catalogue solely in Russian and French (cf. Katalog 1919a and Katalog 1919b). Even before the criticism voiced in his memoir, Shklovskii had openly written to Gor'kii about his discontent with the project's extensive understanding of world literature that was in danger of

reproducing a mechanical view of it as the sum total of its parts, and accounting for its variety in merely spatial terms: "Grzhebin's publishing house, and the House of Scholars, and 'World Literature' (real name: 'the whole of the world' [literature]) — this is also a [case of] spatial perception."[1] Shklovskii's irony was shared by Eikhenbaum who in his 1925 article 'O. Henry and the Theory of the Novella' referred to 1919-1924 as the time when, in Russia, Russian literature "lost its seat to 'world literature'" under the pressure of a flourishing translation industry; Eikhenbaum deliberately put the words 'world literature' in quotation marks to signal his sarcasm (Eikhenbaum, Literatura: Teoriia. Kritika. Polemika 166).

The fascination of *A Sentimental Journey* for today's reader lies in its idiosyncratic, sometimes even whimsical, portrayal of war and revolution — a memoir which zig-zags through five years of history, from Russia to Galicia to northern Iran to Russia, then to Ukraine, back to Russia, back to Ukraine, and then on again to Russia, to Finland and Germany, capturing acts of profound historical transformation through the ephemera of daily life; a memoir displaying Shklovskii's blissful disregard for dates — he cannot recall whether he married in 1919 or 1920 (Shklovsky, *A Sentimental Journey: Memoirs, 1917-1922* 177) — and his playful employment of compositional techniques of estrangement à la Sterne. But Shklovskii's *A Sentimental Journey* is also a valuable piece of engagement with literary theory through fiction: an early — and at the time pioneering — attempt to practice theory without a theoretical meta-language. This daring attempt, which begins with *A Sentimental Journey*, intensifies in the next two memoirs written by Shklovskii (Zoo, or Letters not about Love and Third Factory); it foreshadows post-structuralism's own endeavour (especially visible in Roland Barthes's later work) to amalgamate productively fiction and theory in an uncharted journey through the text. Paradoxical, ironic, difficult, at times soberly pessimistic, Shklovskii's greatest achievement in his Sentimental Journey is the realization that one has to confront and test the language of (Formalist) literary theory against the language of fiction by staging their symbiotic existence within a single work. Through Shklovskii's early memoirs — including his Sentimental Journey — Russian Formalism comes into its own, realizing that the most significant Other of literary theory is literature itself.[2]

It is this twofold relevance of Shklovskii's text — as a quirky document of its time and as an intervention in consequential debates on literary theory and on world

1   Shklovskii's letter to Gor'kii (April 1922), quoted in Shklovskii 2018 (191). ("Grzhebinskoe izdatel'stvo, i Dom uchenykh, i 'Vsemirnaia literatura' (nastoiashchee nazvanie: vsia vsemirnaia) — tozhe prostranstvennoe vospriiatie;" my translation - GT).

2   For more on this, see Tihanov 2016.

literature — that extends its life across time and space. Shklovskii was to continue his engagement with the Soviet discourse of world literature during the 1930s, especially in the several different versions of his Marco Polo,[1] a narrative about travel to and from East Asia that, in fact, staged a journey across land masses which were to become a part of the Asian territories of the Soviet Union. Orientalism, empire, and world literature[2] were to meet in this deceptively modest book in a way that was both fascinating and ideologically profoundly ambivalent.

Shklovskii was thus directly engaged with the Soviet discourse and practices of world literature; but his single most important contribution, in my view, was to have posed the question about what constitutes literariness — and to have answered it in a way that continues to impact our current polemics around world literature. His insistence that the literary core of literature travels well, his belief, in other words, that literariness is in the end portable, remains an unavoidable argument in these disputes, even when the academic practitioners of 'world literature' are not always prepared to acknowledge this. Shklovskii, then, furnishes an ideal example of the diffuse, subterranean afterlife of Russian literary theory in our own century.

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1   Different incarnations of this text were published over more than 35 years, since 1931 into the late 1960s; particularly influential was the 1936 version in the book series "The Life of Remarkable People" [Zhizn' zamechatel'nykh liudei] founded by Gor'kii (Shklovskii 1936).

2   Suffice it to mention the importance of Marco Polo's travelogue for Coleridge, Kafka, Borges, and Calvino, amongst others.

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RENWENXUE YINKUO: An Alternative Interpretation of Western Learning

Luan Dong

Abstract: The Way is consistent with Heaven and Earth, and humanities humanize learning. All beings are of YINKUO, with illusion and reality being inseparable. RENWENXUE YINKUO is harmony of the Way to learning between man and nature. Academic differences complement each other wherever the spirit of YINKUO is regarded as the most appropriate quality in humanities. From the perspective of YINKUO, we have a special journey to the Western learning. "The essence of logos" opens a philosophical door dominated by the Western thinking matrix with the key of YINKUO. "The judgment of modern and contemporary Western learning" has summarized the advantages and disadvantages of humanities since the Modern times. "The Western learning in the spirit of YINKUO" proposes suggestions on the construction of the Western learning in terms of globalization, taking the civilization of the earth in a cosmos, and discipline construction in the spirit of YINKUO. In a word, RENWENXUE YINKUO is an efficient way out of logos-centrism.

Key words: RENWENXUE YINKUO; the essence of logos; evaluation of the Western learning

Author: **Luan Dong**, Professor of Zhejiang Yuexiu University of Foreign Languages，and Professor of Guangdong Univerisity of Foreign Studies, Doctor of Philosophy by the National Doctoral Training System in the First University of Sorbonne in France (Email: 13570557235 @163.com).

标题：人文学骤栝：西方学术别解

内容摘要：道通天地，人文其学。万类骤栝，虚实相生。人文学骤栝，是学问道的天人合一。古今中外的学术差异在人文学中契合，差差有补，异异得合，骤栝精神是其最得体的思想特质。我们从人文学骤栝的视角，对西方学术做一次特殊的巡礼。"逻各斯要义简说"是借人文学骤栝的钥匙，开启被西方思维基质统辖的文化哲学门户。"现当代西学品鉴"是以骤栝性的思想精神，对西方近代以降人文学术成败利钝的盘点。"骤栝性西学刍议"是从人文学角度，对西学开放性建设的若干建议，涉及到了人类世界全球化、地球文明宇宙化、学科建设骤栝化等重大问题的思索。质言之，人文学骤栝是走出逻

各斯中心主义的有效途径。

隰栝（YINKUO）can be traced back to the three generations of old (Xia, Shang, Zhou Dynasties) , not later than the Spring and Autumn Era, and spread wide in the Warring States period. Thought-provoking is implication of this humble YINKUO with YIN(隰) being in correctable color and with KUO(栝) having a arrow-shooting shade. The ancients make the word (隰) with the part of 木 (wood), and the word 栝 with the component of 木 (wood) instead of 扌 (hand), which connotes something of guarding and keeping mountains and Forests. Natural humanity contains humanistic nature, with active advance in retreat.

RENWENXUE (roughly speaking, a holistic study of humanities) has a kind of YINKUO spirit. Why mention RENWENXUE and YINKUO together? There are many reasons for that. It is true that the convergence or continuity of humanities is a rectification of disintegration of liberal arts, the broad pattern of humanities can dissolve today's academic rampart and provide various talents with rooted cultivation. But at the depth, the relationship between RENWENXUE and YINKUO is close to the relation of tree and ground, of star groups and the universe.

For two thousands of years, the basic starting point and ending point of human academic thinking has been the Way (道 in pinyin dào) and the logos. The two thinking mechanisms are the product of axial civilization in high ancient times, that is, the culture by taking the earth as a standpoint. Definitely, the Way originated from the land of China, while the logos were derived from the Mediterranean. Both are the pearl of the earth culture, but cannot be regarded as a measuring standard for the depth of universe.

The expansion of research on RENWENXUE YINKUO is actually cross-cultural refinement of invisible wisdom in Chinese culture, a forging of the premise and reservation of the Way (the Dao) as organizing the opening chaotic and confused world, a reformed integration for college disciplinary system, and a melting solution to the current culture of science and technology and Western academic variables. Here is the discussion on the humanities of the Western learning under the vision of YINKUO.

I. The Essence of the Logos

The logos has many-sided meanings like language, proportion, regulation, etc. The person who introduces the concept into the philosophy at the first time is Heraclitus. In the *Fragments of his books*, he uses it to illustrate the yardstick of change between the birth and death of all things. Socrates, Plato, Aristotle tacitly use logos which become a philosophical category of language and thinking in the history of Western thought during the very earliest period. It is Philo of Alexander who associates the concept of the logos with the "Way" of Jewish Christianity. Philo thinks the Hebrew Bible speaks of God creating the world by words. Greek philosophy and Jewish thought are interdependent. All-powerful wisdoms of God are internal logos, while God's words are external logos. Afterwards, universal internal law, the media between man and god, speech rule, formal logic, dialectical logic and psychological mysteries become the pronouns of the logos. Conversely, as a governing speech law, the logos has become the ultimate basis which determines Western rational thinking and religion. As the Westerners' thinking mechanism of the depth of the soul, the shadow of the logos is everywhere.

For the great role of the logos, Westerners and scholars around the world have no much controversy, and even make positive and complimentary remarks to the greatest extent. It is Derrida who alerts the thought of the logos. As a thoughtful scholar like Nietzsche, he really feels the problem of the logos, and he is classified into postmodernism in accordance with the academic division of domestic and foreign scholars. As to the very problem and limitations of the logos itself, Derrida still confines himself to phono-logocentrism. As for the diagnosis of the chronic illness of Western thought, he has similar views to Nietzsche's and Heidegger's, but they all hesitate to move forward in tracing the reasons for logos metaphysics.

In our view, as to chronic handicaps of the Western culture, we should trace its source to the logos mechanism created by ancient Greek thinkers. Metaphysical speculation or phono-logocentrism is in the second place. The metaphysical speculation is the greatest achievement of the logos in association with formal logic and dialectical logic. Metaphysics is the extreme product of the logos; formal logic is the rule and radius of logos in the cultural and educational popularization; dialectical logic is strategic integration of logos in wisdom and thinking. There are close links among them. Concept, judgment and inference of formal logic lay the foundation for the three laws and five dimensions of dialectical logic. The dialectical logic clear up extreme connotation which forms cannot wrap for formal logic. The metaphysics is the extreme product of two logical methods as well as

their gantry crane, and in turn sets the benchmark for the two logics so as to elevate thinking once more. In a sense, both logical methods are production process of metaphysics which is a sign advancing the two formers to the height. However, the logos is Zeus of this three crossed-woven line of thinking and the production line of academic factories. We comment the close relationship between the logos and the above thinking by way of mechanical production, such as description, metaphor and more real perspective. The logos and various methods of Western thinking have mechanism features derived from the same origin. Both logic and metaphysics are thinking weapons forged by the logos. The logos is the "archetypical machine" of thinking weapons.

The logos is the mystery of the Western thinking. Containing language subtlety is where the deep purpose of logos is. As the essence of Western thought and culture, the logos is often regarded as the spiritual thought of Western language, the soul of language and linguistic motivation. This mystery and profundity make the logos the ultimate reason for supporting and demonstrating faith and the philosophy of mind. Simply speaking, being nothing but the nerve center of Western culture, the logos makes speech be speech. No wonder that from the ancient Greek philosophers to modern and contemporary scholars, such as Saussure, Heidegger, Wittgenstein, etc., they all understand tacitly the logos and frequently bring up this magic weapon. Since the linguistic turn in the last century, the meaning of logos has been repetitiously restated — language speaks of men and determines them.

Besides, category, latitude, system are available. All of these symbols can be put in a position of substitution in theology, philosophy, culture, science and even art through the light and shade of the logos. As long as we closely analyze them, it is not difficult to find a tightly interwoven process of theoretical system and logical links, so instrumental rationality plays an important role. The latter secrets are from formal logic, dialectical logic, at the root of which is the "archetypical machine" of the logos. Demystifying the logos, it shows the original source of instrumental rationality which is more than formal logic and dialectical logic.

What does this kind of thought and culture lack? It is lack of harmony, peace, and republic spirit of complementing and putting differences in agreement in the wisdom of YINKUO, because in the name of the logos everyone can establish the supreme idea(Eidos), Creed (Doxa), logic, subject, even the political mechanism of democracy and liberty.

The culture of YINKUO is the most inclusive and open wisdom of thinking in Chinese culture. It is a kind of universal spirit of humble advance in retreat, of containing success and dissolution in the transition process of primitive culture and

civilized culture, and is also a kind of "otherness" feelings which tends to stay at loneness and nourish and transform all creatures in history. The spirit of YINKUO is humanistic results in the treasury of Chinese thought created with tenacious efforts and goes beyond the multi-dimension of space–time. It began with myth, stretching in legends, born in the three dynasties (Xia, Shang and Zhou dynasties), scattering like branches in the Spring and Autumn Period, collecting like leave-folding in the period of the Warring States, changing invisible in the Qin and Han dynasties, influencing subtly and quietly in the Wei and Jin dynasties, transforming in the Tang and Song dynasties, hiding deep in the Ming and Qing Dynasties, accumulating glory in the contemporary society. Why can it evolve into an art of thought without any prominence?

It is because it experienced the most difficult conditions over the world — the survival of the most tragic and fierce slavery, feudal system and a semi-feudal and semi-colonial rule. In the early time of YINKUO cultural provenance taking root and sprouting, the social structure of patriarchal kinship makes it know how to develop the sense of suffering and hardship in a brutal environment. Under an advanced technology or improvement of productivity, feudal system keeps the upper hand in long years, while the forest-guarding culture of YINKUO retreats from the world, influencing imperceptibly in the discourse at the bottom of society. Whatever a relatively enlightened peaceful and flourishing Age in history is, the seedlings of YINKUO never "follow the trend and take the opportunity bravely."

In one sentence, YINKUO thought is the wisdom of cultivating men, like trees tenaciously thriving, like trees treating differences to the utmost extent, like trees taciturnly rooting in the earth, like trees persistently for the benefit of otherness, like trees taking a hundred years to educate Man, and taking a thousand to rear Saint, like trees cherishing dripping patch of land for the cosmos, like trees fruiting for human thought, like trees harmonizing the world without creating any circle of system. Jaspers also attributes the intellectual contributions of the Warring States of China to the "axial" theory, which shows his broad horizon and unique ideas. The extensive and profound Chinese thought and culture discloses the process of YINKUO culture from the explicit to the implicit. The thought and culture of the Spring and Autumn Period and the Warring States is known rather as the reclusive spirit of YINKUO than as the emergence of the "axial" civilization, resolving the cruelty and violence of the "axial" civilization by the ordinariness of the former. It is due to the finale of YINKUO culture that hundreds of schools of thought striving in the Spring and Autumn period and the Warring States make all differences complementary, and subsequently people take up different trades to enhance each

other's radiance.

Of course, it is difficult for YINKUO thinking to free itself from the puncture of the instrumental rationality like the logos. Since the Warring States, the so-called "straightener" meaning repeatedly alleged in the literature told us the penetration of technical rationality. For YINKUO culture, it is the spirit of the non-instrumental implanted with technology thinking, or the idea of cultivating men endowed with instrumental elements. It displays its advance with the times. YINKUO can subsume "axial" civilization, breeding technology, looking to complementing and putting differences in agreement. This is just a kind of realm the logos civilization needs.

Many people compare the ancient Way (道 , Dao) with the Western logos. In fact, between the Way (道) and the logos there are still great differences. The component " 辶 " of the character " 道 " means "go," and " 首 "(shou) means "head" and "leader" placed in the middle of the character. The meaning and the formation of this character are really similar to the logos. But the premise, foundation and lively spirit of the Way (道) show an archaic virtue of YINKUO. The Way and the logos are the crystallization of ideas in high ancient times. Confucius, Chuang Tzu, Mencius name the fundamental of human scholarship the Way. And the Western thinkers Heraclitus, Filo and early Christian classic regard similar ideas as the Logos. Their similarities show that, China and the West have been developing important concepts with regard to the essence of things and the law. Obviously, between the Way and the determinant, dominant, arbitrary Logos, there are significantly differences. The Way in Chinese culture is endowed with an internal YINKUO spirit, which has more of inclusive and reclusive quality in cultivation of men and more of universal sentiments from the premise than the Logos of conquering the universe.

There are intrinsic inks between the Way and YINKUO, but also many differences. In general, both of them refer to false or true situation of the universe. But to think a little deep, the Way and YINKUO are different. What YINKUO conveys is the forest-guarding ancient image, a living wisdom of prehistoric civilization, earlier than the Way and the logos, including the Way without its limitation, and beyond the usual saying of the Way. YINKUO guards and keeps the mountains and forests without acting as a lord, locating in the world without a border demarcation. In contrast to "Metaphysics is called the Way," being the Way of YINKUO is open, thus inclining to comprehend, keeping modesty, affiliating subordinates, seeking nothing in return to help others, conforming to the mighty force of the universe without boasting. YINKUO opens up the mind and

atmosphere for philosophers of pre-Qin days and generations after generations. The Logos does not have these characteristics. Between them, YINKUO conserves the Way, helping the Way, and enduring the Way; but compared with the Way, YINKUO undoubtedly has broad, profound and ordinary characters of not taking the preemptive opportunities, not baring, not sticking to the idea of the One, not worshipping circles, not closing, not following currents, not establishing schools, etc.

II. An Interpretation of Modern and Contemporary Western Learning

What we interpret is to put Modern Western learning on the platform of human thought and culture under the vision of YINKUO. The period of modern and contemporary here refers to the past one hundred years. Reading under the vision of YINKUO means that our insight and understanding should break the limit of time and space. Conventional interpretation often takes us into continuous linear sequence while reading under the YINKUO is beyond one-dimensional space-time, with different points implanted into different nodes. In general, Western contemporary learning has the three of the most commendable aspects.

Firstly, the Western modern and contemporary learning is a rare release of human creativity. In the past hundred years, there are a group of outstanding scholars and symbolic disciplines in major universities or well-known institutions of higher education. In addition, there are some scholars living outside university system, such as Jean-Paul Sartre, Simone de Beauvoir, Malraux, Thoreau, etc.. Their academic influences are also unusual. From Eastern Europe to Western Europe, from Europe to North America, the famous schools of thought spring up with a curious coincidence. In terms of macroscopic range of humanities, it concerns philosophical phenomenology, psychoanalysis, structural linguistics, ultra-racism anthropology, existentialism, generative grammar, the great variety of literary and art criticism, a new cultural and social criticism, feminist, postmodernism, etc..

For hundreds of years before the 20th century, there are at best 3 to 5 important academic figures in each country in each period in Europe or the United States. However, the twentieth century is quite different. Each country has a large group of academic elites and talents of each school of thought are counted by tens. The academic giants in the twentieth century are more than the sum of scholars in the past two thousand years.

Academic prosperity of a hundred years exceeds two thousand years in terms of quality judgment instead of number. The view of outstanding Western

scholars of the 20th century is quite open and broad, mostly involved in a variety of academic areas. The schools of thought created during this period are too numerous to enumerate. So do other disciplines, such as philosophy, history, literature, art, culture, education etc.— all of which produce different schools and famous experts one after another. Entering from one school of thought, readers can benefit from a number of disciplines. If they study schools of thought together instead of a glance from a corner, what the Western learning achieves in the last hundred years is considerable.

Why the Western learning in the 20th century shows the sight of academic eruption? There are some reasons available. To begin with, Humanistic ideas under the long dominion of Christianity reach the stage of the eruption as a volcano of long hibernation. Since "God is dead" (as Nietzsche said) made earthly energy unleash in the 20th century, the desire of research, the reserve of knowledge and the passion of exploration of scholars have been full-ignited. The changes of Western society and the advancement of scientific and technological level is another aspect of the academic development. The capitalist production and trade formed in the 16th century achieved the aggressive expansion at the end of the 19th century. Huge international markets, the burgeoning of new universities, the idea of freedom and independent spirit, especially the two world wars of the last century with the baptism of blood and fire — All of these conditions help academic creativity burst out. Once an academic strength becomes a long-ready volcanic magma, it will save up and start out as a Chinese proverb says, "fly high if flying, sing to the people's surprise if singing."

Secondly, the Western modern and contemporary learning is considered to be a reflection of the history of human civilization. The history of civilization records the origins and brilliance of humans, progress and prosperity. Since modern times, this thinking of Westerners has many problems to be solved. At least the following three aspects will be excluded. The first aspect is that Western historians have obstructed by time and space for long; The second one is that the western historiography has long been influenced by the impact of racial discrimination and bias; The third one is that the Western historiography has long been bound by the shackles of linear thinking. The second aspect is embodied by racial discrimination of some Western historians, determined by some wrong national ideas like skin color or race in designating closeness by geographical delineation, thus making significant errors in historic writings. This is also one of Western historiography defects. As for the third aspect, the limitation of linear thinking which historiographers commonly encounter is often ignored by most of them.

However, the Western historical researches have greatly improved in the twentieth century.

There is a significant change in terms of space and time in the twentieth century. The rapid development of land, sea and air transport, unprecedented enriched cultural historical data of each country, frequent cultural exchanges, especially the rapid progress of electronic communication technology, and the shortening of the distance of time-space — all of these remind us that the earth seems like a small village. While some scholars do not change their bad habits as cultural politicians like Huntington, but generally speaking, Western historians tend to openness and peace. However, especially in the late twentieth century, the shadow of the Cold War mentality gradually disappears.

Historians like Arnold Joseph Toynbee, Joseph Needham, Léon Vandermeersch, Jacques Gernet have been gone out of the bad habits and prejudice of holding the alien culture in contempt. In overcoming the linear thinking over the past century, some trials of Western historians have characteristics of their own. The efforts of New History School are very successful. Their common feature is to vigorously explore the field of historical research, cooperating with the branch of the social sciences, humanities, emphasizing the depth of explaining things by historians, paying attention to the relationship between history and reality (namely, historians functions). Since the mid-twentieth century, "histoire totale" and "Longue durée" (Fernand Braudel) have had a great impact on the international historians. Micro-history research also has developed considerably since the past twenty years.

The new historians of the Annales meet the challenges of the micro-historians. Although the macro-view of the overall history and micro-view of history vary, even in sharp opposition in historiography, historical theory, the practice of writing history, etc., they are consistent in what the discipline of history is and what a serious attitude is. Both arrive at the same end by different means, overcoming the linear view of history and the way of linear writing programs. Like most of the twentieth century historians, all of them conduct unconventional reflection on human civilizations and unconventional exploration into the history of human civilization and historical methodology.

Thirdly, the Western contemporary learning is the multi-dimensional breakthrough of the circle of human axis. The "axial" civilization of Jaspers reveals the regularity of cultural trend in the history of civilization. Two thousand years of civilization is indeed subjected to the radiation effects of the "axis," and the posterity indeed often returns to this axis to draw wisdom. "Axis," as the center of civilization in the navigation, makes the historical evolution with its criterion.

However, the "axis" is the hollow parts of joint of civilization too; with the "axis" orbiting, all primates sheltered in captivity. As a result, human being has norms; meanwhile, lose creativity. With the attraction of centripetal conception, human civilization is like a kite without broken line.

Thanks to the buckle of the "axis," thought and culture seem to be worn with the necklace. From the opposite angle of positive and negative poles of the "axis," Western civilization is not merely subjected to the center in the operation, but is also wrapped into an inward-folded "umbrella." In the above we discuss advantages and disadvantages of the logos, logic and dialectics; it also originally elucidates the strength and weakness of the "axis." When the positive value of the "axial" civilization reaches its saturation point, its negative effects also will get out-of-control. At this juncture the changes of the "axial" civilization come to the point of breakthrough in a new direction.

In our view, the twentieth century is the breakthrough of "axial" civilization. In the first half of the twentieth century, two world wars are the obvious marks that indicate the problems of the mechanism of human civilization. Two unprecedented wars show that the Western "axial" civilization finally creates machines to destroy human beings, and also show that other two "axial" civilizations, ancient Chinese civilization and ancient Indian civilization, almost have no power to constrain human demons. In the latter half of the twentieth century, the trend of European and American thought and culture formally initiate the total reflection and various clean-up of Western "axial" civilized machine, thus achieving multi-faceted breakthrough. The repeatedly stated postmodernism is such concentrated expression. Observed from the surface and the directed impact point, postmodernism is naturally to set out revolt to the illness of modernity. From the perspective of integrated check and connected poles, it can be seen that the greatest contribution and the most positive significance of post-modernism do not lie in impacting and deconstructing the modernity, but in launching a "general offensive" to the Western "axial" civilization.

Here the "general offensive" is a noun with quotation marks, which means attack in the style of game-playing, of simulation or of demonstration. Of course, the meaning shown in quotation marks is not without force, sense and risk; on the contrary, significant meaning contains quite harsh risk. To take "digging graves" as game, how can I say it does not matter? From this perspective, such a rare thought trend as this dubbed by "post-modernism" is that a big problem has been undoubtedly given a small name, in other words, postmodernism after all makes a big sound as if atomic bombs seem to be taken as firecrackers. With in

View the overall blasting of Postmodernism and the shock wave of its result, this unprecedented upheaval of thought should be said to realize multi-dimensional breakthrough of the "axial" civilization. Although postmodernists do not understand the significance of the movement and its consequences, yet "players can't see most of the game clearly" does not mean that the bursting point of their ideas is just confined to modernity. Here, we briefly illustrate the great significance of multi-dimensional breakthrough by three big clues of passing through time and space. They are language concept, objective thinking and historical dimension.

III. The Western Learning in a YINKUO Perspective

The cultivation of Western learning under the vision of YINKUO is a hope and a prospect. The generation of biological nature on the earth depends on water and fire; and the development of civilized human nature lives by blood and fire; and the preservation of cross-culture rests on wood and fire. Primordial Qi, Two (Yin and Yang), Four images, five elements (metal, wood, water, fire, earth), six directions, eight trigrams, logos, mythos, science, democracy, and philosophy and doctrine of all the world, can have some truth; but whether people live on the earth or emigrate to other planet today or in the future world, humans must have trees shielding, oxygen surrounding, and appropriate temperature. Man on the earth cannot live without oxygen, thus must obtain oxygen by planting trees. There is a concentration of YINKUO wisdom on the cultural and ecological conditions that vegetation of the earth and human reproduction maintain and nourish each other for ten millions of years. Regarding Western thought and culture of the twentieth century, we borrow YINKUO wisdom mainly from the following aspects.

The transition of language needs the wisdom of YINKUO. Language is the home of being and the carrier of cultural vitality. For the Logos dominates Western languages, including its negative impact on the languages of the world, it urgently needs to borrow stones from other hills which may serve to polish this jade. Heidegger takes efforts to explore the poetic philosophy of Western culture from ancient Greek language and old High German. Derrida asks help from Chinese written characters quite different from the Western phonetic logo-centrism. But in the final analysis, regardless of the flowering of his pen, he cannot fundamentally change the linear characteristics of spelling language. Despite double meanings in his exposition of the words logos, physis, being, this language is after all not essentially of multi-facultative quality across time and space; whereas, Chinese written characters include such feature as YINKUO. Chinese characters show readers sound, form and meaning, with the open history of continuity; the evolution

of characters can even be a time tunnel of reversibility into the past society. Chinese characters are not just "text trees" as Rao Zongyi said, but "the forest of YINKUO" conserving humanity. From ancient ancestors "walking in the mountains and cutting down the trees" (in Shangshu · Yugong), "Bamboo Annals," "driving shabby carts and wearing rags to open up mountains and forests," to the scholars of pre-Qin and Two Hans Dynasties being excellent in both character and learning, to the mutual change between poetry and ci poems in the literary development of the Tang and Song dynasties, all of which form a broad realm of YINKUO culture. People today can demonstrate fully the advantages of Chinese characters, complementing the Western postmodernism by the contained spirit of humanity.

Fragmented personality is in need of the care of YINKUO. In a sense, the anxiety of postmodernism can be summarized in one sentence, that is, the state of brokenness in man. Modernity is crushing human by the giant integrated mechanism. The components of integrated heavy punch are startling: a complete civilization system is framed up to forge men as if being genuine beings, the extravagantly colorful ideology intoxicates people, the sulfuric acid of ubiquitous capital corrupts people, political mechanism like seamless heavenly robe minces people, and the future promise of technocracy empties people. YINKUO of Humanities is naturally not a panacea for salvation, but it can unleash the various bounds of people in the civilized butchery. If we say that "the whole is false" (Adorno), YINKUO is a wide range of open space, with the humanistic inseparability of truth and illusion, so people of today can be liberated from baited hooks of realistic law to live a new living, free from being a ontological or subjective being, legal body, broker, patent holder, etc.. Therefore, it is possible to conserve the fragmented personality.

If humans of today are being stranded by civilization, then YINKUO may be a way of correction. It is possible to achieve looseness in tightness and success in allowing errors. In the system of organization lies the practice of transcending the secular world and of comprehending humanities in nature. It dredges the overall mechanism for the disadvantaged, dissolving the supremacy of power discourses. What the person of YINKUO means is one who is developed like being in the forests of YINKUO, fighting against violence in natural humanity, eliminating the vices in human nature, with a close affinity at the broken points and liberality in the debris. The broad outlook of YINKUO exists in the fragmented personality, and has no lack of the big pattern. There is a fresh spirit along with the small modification of fragmented personality. Integrity can produce fragments, but cannot prevent the treatment of YINKUO in fragment.

The linear dilemma of time and space can be solved by YINKUO. Since the "axial" civilization, the cognition of time and space has been governed by linear thinking. The name of postmodernism will illustrate that postmodernists cannot escape the linear reins.

These contributions can be regarded as the academic initiation of RENWENXUE YINKUO. The attempt to break the established time-space have been fiercely opposed, such as Derrida's deconstruction and Hayden White's metaphorical historiography, but it is very inspiring in terms of innovative idea and methods. Measured in the full sense, they indeed step forwards along the line of RENWENXUE YINKUO. But what they lack of? They lack the acts of both advance and retreat, of both de-axialization and practical effect, of inclusiveness and unconventional thinking, and of tacit affinity between YINKUO and the theories by Brian Greene, Schwarcz, Hawking and others. The latter point is very important. Western cosmologists have many high-end thoughts, while European and American scholars in humanity do not keep up with the pace of the former scholars, despite the good work done by such scholars such as Foucault, Deleuze,etc..

Out-of-bound thinking of civilization on the earth is expecting the wisdom of YINKUO. The civilizations of the present development have their own course. So far all of the humanistic studies and some natural sciences have been exploring to solve the plight of the present and to find outlet of the next step. This vision is quite good, yet has its limitations. It cannot be counted as a true cosmic consciousness and cosmic thinking to consider the present only. Without considering cosmic and ultimate question, humanistic research cannot go beyond the thought of horizon. Such questions may be regarded as pedantic or groundless by some realistic thinkers. However, this is human critical consciousness with the sense of urgency. It is a kind of crisis consciousness. Deeper than the critical consciousness is the zero-bound thinking which is an out-of-bound thinking on the earth.

Either the Way (Tao) or the logos has been very limited in the reference value of out-of-bound thinking. Zero-bound spirit reminds humans of leading thought. The realm of leading thought is to open up territories and to plant forests in extraterrestrial fields, guarding and developing the "nowhere" instead of taking hegemonic mentality. This is what we call the thinking of "Three Realms," namely, the so-called idea of RENWENXUE YINKUO.[1] In the twentieth-century, the Western world contributed a series of technological inventions like nuclear reaction,

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1   Luan Dong, "YI-Dialectics: The Methodology of Humanities," *Philosophical Enquiry* 8 (2003): 52-57, 95-96.

gene chain, space exploration, etc., while the corresponding humanistic studies lagged behind, without assimilating cosmology and astrophysics into synchronized exploration. We advocate the thinking of "Three Realms" which involves the exploration of astral objects outside of the Earth, to find a new path in nebulae, to plant forests in the fields of universe and to inflate and condense time-space. Just at this time, studies in humanities will change, so will vision, methods and terms, but where will they change? They will move towards the big construction of YINKUO wisdom.

All of humanities call for the wisdom of YINKUO. Why European humanities present a splendid and spectacular sight in the past hundred years? Because higher education has a profound heritage, and so far there are a number of academic forest guards. Why humanities and science of UK universities also have outstanding performance? Despite following the footsteps of the United States, there are groups of elites in this field and a true spirit of academic study. Why are the British Isles and European Continent restless in the construction of disciplines, with "where-to" being the obsession of discipline planning? France and Germany always disagree with cultural and educational institutions of the United States, but facing the encroachment of American education being like enterprises; they suffer from being crowded out and marginalized, but cannot find any way out.

We believe that the European higher education can flower in full bloom, like the luxuriance of millions of trees in the global higher education. It is of necessity to implement discipline planning, design of educational system, layout of language in the spirit of YINKUO. The disciplines of science, technology, medicine and agriculture have become the objects of national policies and social resources, while humanities have been reduced into the condition of embellishment. With a view of standing on the high-end of the world, a country or nation not only needs high technology, but also disciplines of humanities and social sciences at the international forefront. Simply speaking, humanities should lead the world, not letting instrumental rationality govern humans. Humanities have spirit and soul while Science and technology should be tools and means. Science and technology have a significant role of incentive and promotion to the development of humanities, but high-tech without the guide of humanities will lead to a serious deviation.

In the first half of the last century, the rapid expansion and scourging mankind of Germany and Japan are obvious cases. RENWENXUE YINKUO proposes the complex of body and soul between humanistic culture and technology. The YINKUO character is actually a convergent spirit of humanities. The "convergence"

requires open constructions of creating an academic occasion of complementing each other between humanistic nature and natural human. Any one university which would like to make a difference should not underestimate the wisdom of YINKUO and the convergent spirit of humanities.

From the perspective of RENWENXUE YINKUO, we made a special journey to the Western scholarship. We call it an alternative explanation, it means some unique interpretation. The brief description of the essence of the logos makes an explanation of the relationship between the logos and the postmodern concisely, illustrating that RENWENXUE YINKUO is an effective way out of the wholesale center of the logos. The judgment of contemporary Western learning is the measurement and appreciation of the failure and success of Western humanistic scholarship, displaying the outstanding contributions and the various limitations of Western learning for one hundred years. The preliminary study of the Western learning in a YINKUO perspective concerns some suggestions of open construction in regard to globalization, taking the civilization of the earth in cosmos, and discipline construction in the spirit of YINKUO. My viewpoint may not be entirely correct, but must seriously concern the way out of human predicament and future prospects.

A Comparative Study on Meaning and Vocabulary Distribution in Chinese and Japanese Disaster Poetry: Focusing on Disaster Poetry after the 5.12 Great Sichuan Earthquake and the 3.11 Great East Japan Earthquake

Kim Youngmin, Choi Gahyung & Nie Zhenzhao

Abstract: This study focused on the disaster poetry after The 3.11 Great East Japan Earthquake and Great Sichuan Earthquake, investigating common features and differences in the poetic diction used in Chinese and Japanese disaster poetry through a quantitative analysis of the diction, also identified the commonly used dictions to create images, exploring the literary meaning that is implied in the poetic diction. In this paper, we adopted a Word Cloud method to analyze the poetic diction in the two anthologies. Through a comparative examination of the distribution of poetic dictions in the disaster poetry of China and Japan, it was found that the vocabularies used to describe disaster appearing with high frequency. Additionally, the most commonly appearing diction in Chinese poet is "life" for the poetry describing families damaged by an earthquake or tsunami as well as their mothers and children whereas "people" had the highest appearance frequency in Japanese poetry. Although the most frequently appearing dictions are different from each other, they have the similarity that "Life" is a metonymic form of "people," and the driving force to move 'people' is nothing but "life." The common characteristics found in the analysis of poetic diction in the disaster poetry of both countries were as follows: the descriptions of damage caused by disaster using direct expressions, the expressions of condolence for victims; the pursuit of hope even in despair; and the will to overcome the current hardship. These common features became more obvious when the poetic diction with the highest frequency in the Chinese and Japanese disaster poetry was examined. The anthologies from both countries contained the universal sentiments that everyone can sympathize in the face of disastrous reality.

Author: Kim Youngmin (lead author) is Lecturer of Korea University (Seoul 02841, Korea), her scholarly interests include Mandarin Chinese Grammar and Comparative Linguistics (Emailwinny333@hanmail.net); **Choi Gahyung** (corresponding author) is Assistant Professor of SahmYook University (Seoul 01795, Korea), her scholarly interests include Modern and Contemporary Japanese Literature (Email: cj0917@naver.com). **Nie Zhenzhao** (corresponding author) is Invited Professor at Korea University(Seoul 02841, Korea), his scholarly interests include Ethical literary criticism, Literary theory, poetry and poetics (Email: niezhenzhao@163.com). This work was supported by the Ministry of Education of the Republic of Korea and the National Research Foundation of Korea (NRF-2016S1A5A2A03927685).

标题：中日灾难诗歌的语义与分布比较研究：以 5.12 汶川大地震与 3.11 东日本大地震灾难诗歌为例

内容摘要：本文以 3.11 东日本大地震与 5.12 汶川大地震发生以后的灾难诗歌为主要研究对象，对灾难诗歌里的词汇进行定量分析，探讨了在两国灾难诗歌中所运用的词汇之共性和个性，并考察了诗歌中蕴含的文学审美意义，探究其中有哪些诗歌词语相互交叉，形成意象。本文运用字云 (Word Cloud) 方法分析了中国和日本出版的收录不同作家作品的两本选集中的词汇。分析结果显示：中日两国诗歌中除了与"灾难"有关的词汇以外，还频繁运用了地震或海啸中遇难的家庭，如"母亲"、"孩子"等的词汇。中国诗歌里出现频率最高的词汇是"生命"，而日本诗歌里出现频率最高的词汇是"人"。尽管如此，两者具有紧密相连的关系："生命"是"人类"得以生存的来源，而推动"人类"的动力无非是"生命"。通过对两国灾难诗歌词语的分析，我们找到了以下共同点：两国诗歌对于灾害情况都进行了及时的描述，寄托了作者对受害者的哀悼，包含了在绝望中寻找希望，以及克服当前苦难的意志等。由此可知，中日两国灾难诗歌都蕴涵着面对艰难的现实谁都能给予认同的普遍情感。

关键词：3.11 东日本大地震；5·12 汶川地震；灾难诗歌；词云；定量分析；特征分析

作者简介：金嵘敏 (第一作者)，韩国高丽大学中文系讲师，主要研究方向为现代汉语语法与对比语言学；崔佳亨 (通信作者)，韩国三育大学助教授，主要主要从事日本近现代文学研究，最近主要研究 1990 年代日本社会里发生的灾难以及相关的灾难叙事；聂针钊 (通信作者)，韩国高丽大学特聘教授，主要从事文学伦理学批评、英美小说与诗歌，比较文学与文学批评研究。

Introduction

Natural disasters and other calamities are essential to describe human history (Um Inkyung 217). The Great East Japan Earthquake (hereafter, "the 3.11") on March 11, 2011, was a major disaster that shook the foundations of Japanese society. A tremendous earthquake and tsunami resulted in fatal damage not only to the northeastern region of Japan (東 北) but also to a part of the capital area. In addition, subsequent radioactive leakage from the Fukushima Nuclear Power Plant filled Japanese people with fear. The 3.11, which was described as an "unprecedented incident" like "never before" was a complex incident that was a mix of natural and man-made disasters (人 災). And there was an attempt to promote reconstruction assistance through the use of various media including images, photos, audio and text (Wada-Marciano Mitsuyo 8).

The Great Sichuan Earthquake (hereafter, "the 5.12") that occurred in Sichuan (四 川) in China on May 12, 2008, was the largest-scale earthquake since the establishment of the People's Republic of China. It was so strong that the shock was felt not only in regions within 5,000 km from Wenchuan (文川), the epicenter, but also in areas that were farther away such as Beijing (北 京), Hongkong, and Taiwan (台湾). The earthquake caused damage in Shanxi (陝西) and Gansu (甘肅) as well as Sichuan (四 川) and led to a paralysis of various residential functions and to many landslides. Beichuan (北川) city near the epicenter was too ruined to restore, so it was decided to move the city elsewhere. Further, the damage to human life included 69,000 deaths, 17,000 missing people, and 374,000 injured people.

After this unprecedented catastrophe, the literary communities of China and Japan started to publish descriptions of the situation in literary works. These works covered every facet of Chinese and Japanese societies after the disaster. Disaster poetry became common in the two countries. Because disaster poetry can express the situation and emotions at the time of a disaster both implicitly and explicitly, and because regular people as well as professional writers can easily write such poems, disaster poetry became highly popular after the above disasters.

In Japan, the poems of Ryoichi Wago (和合亮一 2011), a high school teacher and poet, are the best-known works on the 3.11. Wago, who was from Fukushima Prefecture, began to write poems on Twitter from March 16, after the 3.11. He uploaded poems to Twitter almost every day for about two months from March 16 to May 26. They were later published in a book titled *Shino Gareki* (詩の礫 , *Poetry gravel*). The publication date of the first edition was June 30, 2011. The expedited publication was attributed to the popularity of Wago's poems in various

media, particularly newspapers, after the 3.11. Additionally, the poems went viral on social networking sites (SNS), leading to a sensation among the general public.

Yamagawa Noboru (山川のぼる , 2013) uploaded a Tanka (短歌) piece to SNS every day after the 3.11, reporting the situation in damaged areas and expressing hope for restoration and for the victims to not be forgotten. These poems also created a considerable sensation.

In addition to these individual writers' works, there were works by multiple writers. *Kanasimino Uta* (悲しみの海 , *The sea of sorrow*) contained various poems by many poets. The poems ranged from general poems to Japanese traditional poems such as Tanka, which contained descriptions of the situation at the time of the disaster and the poets' feelings about the disaster.

In China, disasters have been acknowledged in various literature genres such as poetry, prose, and novels as well as in mythical descriptions of the relationship between humans and nature. There has been a deepening of the acknowledgment of nature since ancient times. In modern times, disaster literature has started to acknowledge "man-made disasters" along with natural disaster, leading to further diversification of disaster narration. Further, conferences related to disaster literature have been frequently held, leading to the initiation of discussion about the term "disaster literature's" implication and meaning (范 藻 , "Definition and Reflection of Disaster Literature" 158-159).

About 4,000 poems and 100 reports were created in Sichuan alone within about two weeks from the day of the 5.12 to May 25 (范 藻 , "Dizhen Wenxue, Ganwenlu zaihefang" 130). Of them, the anthology, Let's face the disaster together: The World Poets Commemorate the Sichuan Earthquake, *The World Poets Commemorate the Sichuan Earthquake* (让我们共同面对灾难：世界诗人同祭四川大地震) published in September 2008, as indicated by the title, contained not only works of domestic Chinese poets but also translated works by professional poets around the world commemorating the 5.12 and conveying sympathy and comfort for the 5.12.

This study focused on the disaster poetry genre, which attempts to discuss various aspects of disasters in a more rapid pace than other literature genres. The study investigated common features and differences in the poetic diction used in Chinese and Japanese disaster poetry through a quantitative analysis of the diction. In addition, it identified the literary meaning that is embedded in the poetic diction. Books of disaster poetry published in China and Japan containing various works of many writers were selected as the subjects of analysis. The study explored which poetic diction was commonly used to create images. Based on many aspects such

as the level of disaster in the two countries, the characteristics of the selected texts, and the social differences in the discourse between China and Japan, it was determined that the diverse poems needed to be analyzed to conduct a comparative study of disaster poetry between the two countries.

Comparison of Linguistic Distribution of Disaster Poetry between China and Japan

The subjects of analysis in the present study were 58 pieces of poems translated to Chinese and English in the Chinese anthology *The World Poets Commemorate the Sichuan Earthquake*[1] and 54 pieces of Japanese poetry and Tanka in the Japanese anthology *Kanasimino Uta* .

In the present section, the poetic diction in the two anthologies was analyzed using the Word Cloud method. The Word Cloud method, a data visualization method, shows texts with higher appearance frequency in larger letters and those with lower appearance frequency in smaller letters. In the word cloud, an appearance frequency of a word can be indirectly observed depending on the size of the word within a certain space.

To make word clouds, content words such as nouns, verbs, and adjectives were selected from the Chinese anthology and Japanese anthology while excluding function words such as prepositions, postpositions, conjunctions, and exclamations.[2] Regarding the characteristics of word clouds as a method for achieving quantitative data visualization, they can differentially show diverse data, clearly reveal relationships and differences among data, express them macroscopically or microscopically as necessary, and assign hierarchy (Written by the Big Data Strategy Institute of the Korea Software Engineers Association 221-22). Through application of this data processing method to the analysis of poetic diction, word clouds, unlike previous methods that extract and analyze poetic diction from the viewpoints of researchers, allow investigation of the facets of individual poetic diction in an entire poem, enabling more objective analysis of the poems.

Through word clouds that were visualized after the extraction of poetic diction from the anthologies of China and Japan,[3] this study examined the characteristics of poetic diction in the disaster poetry of the two countries and comparatively analyzed common features and differences of the poetic diction in the disaster

1   A total of 27 works was by Chinese poets, and 28 works were by poets from the United Kingdom, Canada, Finland, and Hongkong and overseas Chinese poets.

2   Because each poem was different in width, average vocabularies were not listed.

3   For Word Clouds, https://www.wordclouds.com/, which supports both Japanese and Chinese languages, was used.

poetry of the two countries.

In the Chinese anthology *The World Poets Commemorate the Sichuan Earthquake*, a total of 58 poems were contained as mentioned above. A total of 1436 words were subsequently extracted from them, resulting in the following word cloud:

Figure 1 The Word Cloud from *The World Poets Commemorate the Sichuan Earthquake*

As shown in Figure 1, the Word Cloud allowed the identification of poetic diction with high and low frequencies throughout the Chinese anthology *The World Poets Commemorate the Sichuan Earthquake*. Vocabularies with high appearance frequency in the Chinese poetic diction are shown in Table 1:

Table 1. Vocabularies with high appearance frequency in Chinese poetic diction

Rank	Frequency	Poetic diction	Rank	Frequency	Poetic diction	Rank	Frequency	Poetic diction
1	29	生命 (life)	7	8	黑暗 (darkness)	13	7	爱 (love)
2	18	废墟 (ruin)	8	8	母亲 (mother)	14	6	名字 (name)
3	14	孩子 (children)	9	8	地震 (earthquake)	15	6	肉体 (flesh)
4	11	灾难 (disaster)	10	8	灵魂 (soul)	16	6	挺住 (endure)
5	11	妈妈 (mom)	11	8	手 (hand)	17	6	瓦砾 (building debris)
6	10	灾区 (disaster area)	12	7	童话 (fairy tale)	18	6	泪水 (tear)

Of the Chinese poetic diction, "life" (生 命) had the highest frequency of appearance. Regarding vocabularies besides disaster-related poetic diction such as "ruin (废墟)," "disaster (灾难)," "disaster area (灾区)," "earthquake (地震)," and "debris (瓦砾)," the most notable poetic diction with high appearance frequency was for family relationships, including "children (孩子)," "mom (妈妈)," and "mother (母亲)", and poetic diction, including "love" (爱). Of words for body parts, "hand (手)" had the highest appearance frequency.

Thus, the poetic diction Word Cloud from the Japanese anthology *Kanasimino Uta* was as follows:

Figure 2 *Kanasimino Uta* Word Cloud

Table 2. Vocabularies with high appearance frequency in Japanese poetic diction

Rank	Frequency	Poetic diction	Rank	Frequency	Poetic diction	Rank	Frequency	Poetic diction
1	11	ひと (human)	7	7	光 (light)	13	6	あなた (you)
2	8	海 (sea)	8	7	水 (water)	14	5	ひとり (alone)
3	7	生まれる (birth)	9	7	波 (tsunami)	15	5	いま (now, present)
4	7	わたし (I, me)	10	6	そと (outsaide)	16	5	声 (voice)
5	7	がれき (building debris)	11	6	朝 (morning)	17	5	空 (sky)
6	7	死者 (the dead)	12	6	船 (ship)	18	5	母 (mom)

As shown in the Word Cloud in Figure 2, the words highly used in the Japanese disaster poetry anthology *Kanasimino Uta* can be largely divided into two categories. First, words such as "people (ひと)," "mother (母)," "light (光)," "heart (こ こ ろ)," and "life (生 涯)" were poetic diction that emphasized emotional aspects such as feelings after the disaster, remembrance of people and victims, and family love. Additionally, poetic diction such as "debris" (がれき), "tsunami (津波)," "coast (海岸)," and "roof (屋根)" were frequently used to describe the situation at the time of the disaster.

Through a comparative examination of the distribution of poetic diction in the disaster poetry of China and Japan, it was found that the vocabularies used to describe disaster, such as "disaster (灾难)," "ruin (废墟)," "earthquake (地震)," "tsunami (津波)," "coast (海岸)," and "roof (屋根)" frequently appeared in the poems of China and Japan. In particular, " 瓦砾 " and " がれき " were used to describe debris from ruins, and they appeared frequently in the poetic diction in China and Japan. Additionally, families that were damaged by an earthquake or tsunami as well as related poetic diction like 'mother' and 'child' commonly appeared with high frequency. The poetic diction with the highest appearance frequency in the Chinese poetry was "life (生命)," whereas "people (ひと)" had the highest appearance frequency in Japanese poetry. "Life" is a metonymic form of people, and the driving force to move "people" is nothing but "life." Although the poems of the two countries were different in both direct and indirect expression, "people (ひ と)" and "life" shared the same characteristics because both are the victims of disaster and the principal agents to overcome it. Meanwhile, Japanese poetry used "light (光)" to symbolize hope, whereas Chinese poetry utilized "light (阳光)" and "sun (太阳)" in similar frequencies, though "hope (希望)" was sometimes used directly. As such, the disaster poetry of China and Japan showed some differences in the mode of expression and frequency of poetic diction. However, they also commonly reflected the characteristics of disaster poetry and expressed pain and sympathy for those who faced disaster but still had hope.

Poetic Diction of Chinese Disaster Poetry and Its Literary Meaning

The Chinese anthology *The World Poets Commemorate the Sichuan Earthquake*, the subject of analysis in the present study, expressed much love for the human race and humanitarianism in various forms through the 58 pieces of poems that were translated to Chinese and English. In this anthology, professional poets realistically described the hardships and misfortunes caused by the 5.12 and recorded every aspect of the disaster, expressed deep condolences to the victims and urged them

to realize the true value of life, and described the efforts of Chinese people to overcome the disaster through poems and achieve healing and encouragement. Additionally, the anthology was translated from Chinese to English and vice versa, allowing the human race as well as the Chinese to sympathize with the pain of disaster and emphasizing that the human race has a common destiny. This is what separates this anthology from the others published in the same period.

In the current section, the literary meaning of the poetic diction of *The World Poets Commemorate the Sichuan Earthquake* is discussed. As mentioned before, "life（生 命）" was the word with the highest frequency in the Chinese poetic diction. This may be because the Chinese disaster poetry dealt with subjects and topics such as sorrow and condolences for those who had lost their lives as well as the preciousness of life.

在肉体和精神重新组合中的我	and I who was recreated in the combination of light and spirit
像古老的占星家	like an old astrologer
仰望无穷的宇宙天空	looking up into the endless sky
窥视生命的秘籍以及	to peep at the secrets of life
世界的真理	and the truth of the world

「生命 (Life)」

生命哟	Ah life,
肉体拥抱着白骨白骨追随着灵魂	the flesh embraces white bone and the white bone chases the soul!

「生命 (Life)」

"Life" conveyed the idea that the survivors gained insights into the ego and the world through death and that the survivors mourned the dead, whereas the dead encouraged and comforted the survivors.

Poems such as 「妈妈，请帮我收好书包 : Please Take the Schoolbag for Me, Mama」,「踏过聚源中学的废墟 : Treading on the Ruins of Juyuan Middle School」, and 「孩子，妈妈来接你回家 : Baby, Mum Is Here to Take You Home」 either described the deaths of children caused by the disaster — children who were the hope for the future and the pillar of the country at the macroscopic (national) level — or mourned the sadness of the mothers who lost their children. Poetic diction such as "children（孩子），" "mom（妈妈），" and "mother（母亲）" as well as "love（爱）" appeared frequently.

让我们如何忘记那些面容　　　　Never can we forget those faces.
那些天真的尚对生活无知的婴儿的面容　the innocent faces of the babies
　　　　　　　　　　　　　　　who knew little about the world
那些以为紧紧把握了命运的母亲的面容　the benign faces of the mothers
　　　　　　　　　　　　　　　who assumed their tight hold on
　　　　　　　　　　　　　　　destiny
　　　　　「悲回风 : 哀吊日 (Wailing Winds Whirling: The Mourning Day)」

In the above poem, we feel for the deaths of innocent children who knew nothing about the world and the sorrow of the mothers who were unable to accept the deaths.

像清水中的珍珠　　Like a freshwater pearl
離開了貝殼　　　　released from its shell,
孩子们的靈魂　　　the souls of the children
離開了媽媽　　　　have left their mother
向着太阳飛去　　　to ascend towards the sun
像白鴿衔着　　　　as white doves with gold ribbons
金色的絲帶　　　　betwixt their beaks
翱 — 翔 —　　　　s o a r i n g
在地球的　　　　　high above
廢墟之上　　　　　the earth's ruins
然後在雲間　　　　before finding their perch
找到栖息地　　　　among the clouds
　　　　　　　　　　　　「In Memory of the Lost Children」

Although it describes the sad plight of children who are unable to return to their mothers' arms, the above poem also comforts the reader with the idea that the child has gone to a comfortable place and will no longer face the troubles of life.

你们用自己的血肉　　With your flesh and blood
卫护了四个孩子的生命　you saved the lives of four children.
我的热泪模糊了报纸上的文字　My scalding tears blur the words of the
　　　　　　　　　　　　newspaper.
　　　　　　　　　　　　　「伟大的姿态 (Great Posture)」

The above poem praises a mother who tried to save and nurse her child even when facing death.

Another noticeable poetic diction is " 手 (hand)". " 手 (hand)" is the word for used for body parts, and it had the highest appearance frequency in Chinese poetry. In addition to " 手 (hand, 8)," hand-related poetic diction including " 小手 (little hand, 4)," " 双手 (both hands, 4)," and " 手臂 (wrist, 3)" appeared highly frequently. Many poems described the various situations faced by helpless disaster victims using "hand."

孩子，你在哪里　　　　　　Child, where are you
为什么只见你的小手　　　　Why can I only see your little hand
才无力地垂下这柔嫩的手臂　Your little hand lolls feebly
　　　　「孩子，妈妈来接你回家 (Baby, Mum Is Here to Take You Home)」

Through the image of the feebly lolling little hands of a child, the above poem describes the helplessness faced by humans in a disaster and the sadness of parents who can do nothing about it. The hand acts as a symbol of the will of the victims to live.

你被废墟压住了不能动弹但你仍然握住了他的手
这是你第一次握住一个男生的手握住一个美丽的童话
一颗青春的太阳在你的哭喊中在你的手中渐渐地熄灭

Buried under the debris, you can't move, but still hold his hand.
For the first time you hold a boy's hand, a beautiful fairy tale you hold.
In your cries, in your hand, the sun of youth is extinguished.
　　　　　　　　　　　　　　　　　　　　「童话 (Fairy Tales)」

The above poem describes a situation where a victim trapped under debris tightly holds the hand of a boy student until the end without losing hope for rescue and survival. The hand not only symbolizes the will to live but also acts as a medium to link life and love.

我要牵着你的小手回家孩子　　I'll take your hand home, my child
　　　　「孩子，妈妈来接你回家 (Baby, Mum Is Here to Take You Home)」

Note the high frequency of " 挺　住 (endure, 6)," which represents the main

behavior related with a disaster. In vocabularies such as " 希望 (hope, 5)," " 复活 (resurrection, 3)," and " 生命 (life, 28)," we can find the powerful message that although disasters bring sorrow, pain, and helplessness to many people, we need to continue living life and endure.

要挺住！，我们要出去！　　Hold on! We must get out!!

「童話 (Fairy Tales)」

挺住，让勇气和信心对抗泪水和悲剧
挺住，让良知和仁爱拯救毁灭与绝望！

Hold on, let's confront tears and tragedies with courage and confidence
Hold on, let's defeat destruction and despair with conscience and benevolence

「祈愿 (Pray)」

Because it is difficult for individuals to move on from despair to hope and from death to resurrection through courage and faith in times of tragedy, the anthology encouraged Chinese people to overcome disasters together with the citizens of the world.

红色经典代代相传，　　Red classics are devolved from generation to generation
共和国大厦植根深稳　　and the Republic is based deep and solid.

「洗礼 (Baptism)」

此刻，共和国停住了脚步　At this moment, the Republic stops her steps

「悲回风：哀吊日 (Wailing Winds Whirling: The mourning Day)」

爱的接力，让共和国今夜无眠　　The love relay leaves our republic sleepless tonight.

「爱的寓言 (The Allegory of Love)」

The Chinese poetry had a high appearance frequency of vocabularies related to the country and people, including " 中国 (China, 5)," " 共和国 (republic, 4)," " 祖国 (homeland, 4)," and " 民族 (people, 3)." Thus, the Chinese poetry conveyed the strong will of the homeland and people to overcome natural disasters. This

sentiment is unique to the Chinese anthology.

Poetic Diction of Japanese Disaster Poetry and Its Literary Meaning

おなじ光のなかにいるのです
あなたも わたしも
（中略）
ねえ
光にもそとがあるの?
もし光のそとから波がきたら?
波はどうやって
光 この光のなかに入るのでしょうか
入れるのでしょうか
光のそとからくる波を
光はどうやって受けとめたらよいのでしょう

We are in the same light

both you and me

(omitted)

Does the light also have an outside?

What if a wave comes from outside of the light?

What did the wave do

to the light to come inside the light?

How can the wave coming from outside of the light

be blocked (received) by the light?

「波 (wave)」

Through the above poem, we can explore in detail how poetic diction is used in the actual poems in the Japanese anthology in *Kanasimino Uta* (Tanikawa Kenichi 14-15). The poem, titled 「波 (wave)」, begins with the line 'We are in the same light.' In the subsequent lines, the poem asks whether a wave can attack from the outside if the light has an outside and, when the wave hits, how the light can block (うけとめる) the wave. If the light is considered a metaphor for the will to overcome adversity in the face of disaster and hope for life after the disaster, the wave can be interpreted as something that tries to bend one's will and hope and makes one confront a despairing situation again.

Note the last line questioning how the light can block (う け と め る) the

wave. In Japanese, うけとめる is a verb that means both blocking and receiving. Hence, うけとめる has dual meanings: it can mean that the wave is blocked from entering the light, and it can question how, if the wave comes in, it can be received well. The poem「Wave」compares hopeful aspects and negative aspects of life after a disaster to a light and a wave, respectively, to convey the idea that citizens' life should not be washed away by a disaster and the hope that citizens will receive hardships well no matter how and when they strike. Regarding poetic diction with high frequency, debris (瓦礫、がれき) was repeatedly used in many poems as follows in *Kanasimino Uta* :

瓦礫の山の向こうに   Over the mountain of debris
青い穏やかな海が見える   green and peaceful sea is seen
        「風の電話ボックス (a windy telephone booth)」

人が建造したものは、あんなふうに   What people have made becomes
ガレキになるのだ、ガレキ   debris. Yes, debris
ガレキになるのだ   It becomes debris
               「ガレキ (rubble)」

In the above two poems, debris (瓦礫、がれき) commonly refers to the ruined condition of towns, cities, and humans after a disaster. However, whereas debris in「風の電話ボックス」refers to the situation of ruined villages and broken buildings superficially, the same poetic diction in「 ガ レ キ 」, has a more comprehensive meaning. The debris in「 ガ レ キ 」 is used to generally refer to not just the ruins after the disaster but everything that humans have made. In other words, it is used as general poetic diction for the worthlessness of everything humans have made before the power of nature. In addition, it emphasizes depictions of people's helplessness before natural disasters through the repetition of the expression "becomes debris". The repeated appearance of the poetic diction of debris not only refers to the ruins after the disaster but also the insignificance of human lives in contrast to nature.

Even though they do not have a high frequency in the word list, the words that are excluded from the two mentioned categories should be discussed. One of the best examples is "fisherman (漁 師)". The word "fisherman" appears as poetic diction several times in relation to the vast damage to villages along the coast caused by the tsunami during 3.11. However, the anthology used the word "fisherman" as a representative poetic diction for the general public.

津波から百日過ぎても　　　　　　After a hundred days from the tsunami,
姿を見せないひとに　　　　　　　people who are invisible
早く帰ってきてとせがんでいる　　are pestered to come back
（中略）　　　　　　　　　　　　(omitted)
なにかにしがみついて生き残ったひとが

　　　　　　　　　　　　　　　　People who survived by hanging on
　　　　　　　　　　　　　　　　something,
漁師が 農民が 商人が 職人が　　fishermen, farmers, merchants,
　　　　　　　　　　　　　　　　craftsmen (職人),
会社員が 主婦が　　　　　　　　salary men and homemakers
　　　　　　　　　　　「風の電話ボックス (Windy phone box) 」

身内に死者と行方不明者を抱えながら
　　　　　　　　　　With tightly holding death and missing acquaintances,
漁師は逆境の陸でふんばっている
　　　　　　　　　　　　　　　fisherman endures despite adversity
（中略）　　　　　　　　　　　　(omitted)
人知を越えた　　　　　　　　　　Unbelievable accidents
信じられないことや　　　　　　　or unrealistic accidents over
　　　　　　　　　　　　　　　　humans' wisdom

あり得ないことが現実に起きている　occur in the reality
人間の傲りと愚行を恥じるが　　　Although humans deserve to be
　　　　　　　　　　　　　　　　ashamed for their

arrogance and foolishness,
いつも犠牲になるのは　　　　　　　it is the life of ordinary people
名もない民衆のいのちとくらしなのだ　that is always sacrificed
　　　　　「船が屋根を越えた日 (The day when a ship went over the roof) 」

The two quotations are from 「風の電話ボックス (Windy phone box, Tanikawa Kenichi 35)」 and 「船が屋根を越えた日 (The day when a ship went over the roof, Tanikawa Kenichi 30)」, respectively. In 「The day when a ship went over the roof」, the fisherman is a figure who fights to overcome adversity while confronting death and missing close acquaintances. In addition to describing the fisherman's situation, the poem mentions at the end that the life of ordinary people is threatened by sudden disaster.

　　「Windy phone box」 mentions fishermen along with other ordinary people

such as merchants, homemakers, and students. The fishermen, together with other ordinary people, mourn the dead.

The part describing the life of ordinary people threatened by disasters contrasts with the part criticizing those who are not ordinary, such as government officials or the CEO of the Tokyo Electric Power Company, which was particularly responsible for the occurrence of the 3.11 disaster. This is a common trend that can be found in many anthologies published after the 3.11.

Conclusion

In the present study, distribution patterns of poetic diction and the characteristics of the contents of the Chinese and Japanese disaster poetry were discussed. The common characteristics found in the analysis of poetic diction in the disaster poetry of the two countries were as follows: descriptions of damage caused by disaster using direct expressions, expressions of condolence for victims; pursuit of hope even in despair; and the will to overcome the current hardship. These common features became more obvious when the poetic diction with the highest frequency in the Chinese and Japanese disaster poetry was examined. The anthologies from both countries contained universal sentiments that everyone can sympathize with in the face of an overwhelming and difficult reality.

However, the Chinese poetry mainly used poetic diction and poetic expressions to show images that readers can universally sympathize with, whereas the Japanese poetry used poetic diction with dual meanings and conferred new images to general poetic diction. The best example of this in the Japanese disaster poetry was the poetic diction 'fisherman,' which was used as a symbol for victims who lost their families and also as an occupational group to represent ordinary people.

The Japanese disaster poetry, unlike the Chinese poetry, did not embrace all people and all sentiments. It separated ordinary people from nonordinary people such as the presidential board of the Tokyo Electric Power Company, politicians, and the upper class, who had faced no damage. This differentiated the Japanese poetry from the Chinese poetry, which encouraged people to support each other to overcome disasters.

These differences are attributable to the differences in the characteristics of the disasters between the two countries. In China, the 5.12 was a clear natural disaster, and it was difficult to find out who was responsible for it. In contrast, the 3.11 in Japan was caused by an accident at a nuclear power plant, and politicians and the Tokyo Electric Power Company were blamed for the accident. Such a difference in

the characteristics of the two disasters was reflected in the usage of poetic diction and the contents of the disaster poetry of the two countries.

In the future, the differences in the disaster poetry between the two countries with be studied in greater detail from the contextual aspects of the countries' societies after the disasters.

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The Translingual Expressions in Overseas Chinese English Writings

Pu Ruoqian & Li Huifang

Abstract: The translingual writing of overseas Chinese writers, at its widest scope, plays an increasingly prominent role in world literature. Such creative writing practice embodies the characteristics of diversity, heterogeneity and hybridity, and transcends the border of Chinese and English languages. Focusing on the English works of some representative overseas Chinese writers in North America and the United Kingdom, this article identifies and illustrates the types and characteristics of their translingual writing in relation to their creative use of languages and cultural resources. Given its unique aesthetic characteristics, the cross-cultural and translingual practice not only highlights the aesthetic connotations of the diversity and heterogeneity of overseas Chinese literature, but also expands the expressive space of world literature.
Key words: overseas Chinese English writings; translingual; border-crossing; hybridity

Authors: Pu Ruoqian, Ph.D in literature, is Professor of English and Ph.D supervisor of Comparative and World Literature at Jinan University. She is the author of over 60 papers mostly on Asian American literature and the poetics of overseas Chinese literature, and author/translator/editor of over 10 books in this field (Email: tprq@jnu.edu.cn)；**Li Huifang** is PhD student of Comparative Literature and World Literature at Department of Chinese Language and Literature, Jinan University. Her research focuses on Asian American literature and the poetics of overseas Chinese literature (Email: lihuifang1991@163.com). This paper is sponsored by the Chinese National Fund of Philosophy and Social Sciences project entitled "A Study of the 'X Generation' Asian American Poetry from Cross-cultural Perspective" (Project Number: 17BWW009).

标题：海外华人英语写作中的跨语言表达
内容摘要：在世界文学范围内，中国海外华人作家的跨语言书写引人注目。这些作家的创作语言跨越中文、英文的藩篱，体现出多元、异质、杂糅的特征。本文聚焦于北美和英国在跨语言写作上卓有建树的华人作家的代表性英语作品，分析其跨语言创作的不同类型及特色，其对东西方语言、文化资源

的创造性使用。本文认为，海外华人作家英文创作中的跨文化和跨语言实践，不仅彰显了海外华人文学多元异质的美学内涵，同时也以其独特的美学特征，丰富和拓展了世界文学的表达空间。

关键词：海外华人英语写作；跨语言；跨界；杂糅

作者简介：蒲若茜，文学博士，暨南大学外国语学院教授，比较文学与世界文学专业 博士生导师。主要研究为亚裔美国文学及海外华人诗学，发表论文60 余篇，出版专著、译著、编著 10 余部；李卉芳，暨南大学文学院比较文学与世界文学博士，主要研究亚裔美国文学及海外华人文学。

Introduction

In the late 19th and the early 20th centuries, China started promoting cultural and educational exchanges with the West, which led to a burgeoning field of overseas Chinese writings. Lin Yutang（林语堂，1895-1976), S. I. Hsiung（熊式一，1902-1991) and C. Y. Lee（黎锦扬，1917—) of the period are known as the first generation of overseas Chinese writers. From 1949 to the 1970s, however, the diplomatic contact between China and most of the Western countries was suspended. It was not until 1972 that China resumed its contact with the United States. China's Reform and Opening-Up in 1978 further developed interactions with the Western world, which boosted the prosperity of the younger generation of overseas Chinese writings. Writers such as Lien Chao（赵廉), Yan Li（李彦), Geling Yan（严歌苓) and Anchee Min（闵安琪), in appropriating Chinese and Western cultures and going beyond the boundaries of languages, have demonstrated unique features in their "creative self-expression[s]" (Stakhnevick 11).

Language plays a significant role in cultural inheritance and daily communication, which has its philosophical root in Martin Heidegger's philosophy. According to Heidegger, "What is critical is developing a manner of thinking through language," the thinking that "opens up new avenues and discovers unexpected insights less by way of concepts or arguments than by a specific way of listening to and being guided by language and its intrinsic ingenuity" (Qtd. in Ziarek 1). Language, through a Heideggerian lens, is a constitutive tool of human existence and being. This anthropocentric approach to language has been adopted by bilingual writers like François Cheng（程抱一，1929—). He notes that "Through languages, each of us forms respective personalities, thoughts, spirits and inner worlds filled with rich affections, desires and fantasies. Languages carry our minds and feelings, and

at an upper level, languages serve as the access for human beings to go beyond themselves and accomplish certain kind of creation" (Cheng 114). Affected by his bilingual educational background, Cheng aptly incorporates his sensitivity to and insightful understanding of both languages in his Chinese and French writings and research. Cheng's writings, among others, showcase how the hybridized application of two or more languages can generate more possibilities in human communication and creation.

In this translingual context, this paper focuses on the English works of translingual Overseas Chinese Writers in North America and the United Kingdom, including those of Lin Yutang, S. I. Hsiung, C. Y. Lee, Lien Chao, Yan Li, Geling Yan, Chun Yu and Anchee Min, to distinguish their bilingual forms and features, explore the creative use of Chinese linguistic and cultural resources and further investigate the significance they have brought to both Chinese literature and world literature. With a close textual reading of the selected works, ranging from poetry, novel to autobiography, we argue that the translingual expressions can be illustrated from the aspects of border-crossing bi/multilingualism, hybridized English with Chinese characters or Pin-yin, linguistic de-familiarization and bilingual thinking.

The Border-Crossing in Translingual Writings

The "translingual writers" under study here refers to "authors writing in more than one language" (Stakhnevich 11), while the term "border-crossing" means to cross the border "not simply of national regions, but of disciplines, cultures, methodologies, perspectives and the texts as well" (Wong 1). The border-crossing translingual writings encompass at least two or more languages, national regions or cultures, not limited to one singular discipline, methodology, perspective and text. The poems in Lien Chao's *Maples and the Stream* (《枫溪情》, 1999) and *More Than Skin Deep* (《切肤之痛》, 2004) are cases in point as they signify the authorial quest for a viable language that transcends a specific national and cultural origin.

Chao reveals her creative process and calls it "cultural processing which forms "a sense of dialogue" (More ix). As she put it, "In the creative process, I composed my poems initially in English and later, I translated/rewrote them into Chinese. This writing experience itself illuminates a phenomenon of cultural processing" (More ix). As we read, Chao's bilingual poems form an integrated cultural interaction between the two languages, as in *Maples and the Stream*:

摘起一片红叶 Picking up a maple leaf

溪水凝情 nourished by the stream
我寻找，我的溪流 I search for my own stream
我的激情 my passionate vision (Maples 2-3)

The maple leaf, the national symbol of Canada, is also frequented in classical Chinese poetry. The contextual symbolism is invoked as maple leaf is also a recurrent motif to convey homesickness or frustration in official career in classical Chinese poetry. In the poem "Mooring by Fengqiao at Night," Tang poet Zhang Ji writes, "The fisher's lights gleam, the maples croon; with much sorrow I lie" (Zhang 503)[1]. Comparatively, in Chao's maple leaves in a wooden frame on a gallery wall, as in her poem "Maples and the Stream," remind the persona of the maple trees under the sunny autumn sky, of the blood flaming through the veins, of the stream on which maple leaves drift, and metaphorically, of her "own stream" that conjures up a "passionate vision." The stream, connotative of its origin in Chinese culture, is now flowing under the maple trees on the foreign land. With a lyrical retrospect, Chao sets to making sense of her Canadian life through a reappreciation of the memories of her homeland. The poet's nostalgia for and contemplation on both cultures are fused into the distinctive images in her bilingual poetry as, in her words, "a linguistic parallel to the cross-cultural journey myself and thousands of others have taken" (Chao Maples Preface).

While the title poem "Maples and the Stream" provides a linguistic parallel to enunciate the lived cultural reality for bilingual writing, "A Painter's Poem" tends to break the formal constraints of bilingual poetry by striking equivalence in the form and content, language and culture:

东方的神韵 Eastern rhythm
西方的神采 Western vigour
缪斯下凡 the Muse transcends
隐喻与色彩同源 metaphor shares an origin with colour (Chao Maples 14-15)

Combining the "eastern rhythm" with the "western vigor," the poet juxtaposes Chinese and English versions for the two distinctive cultures to be compared and integrated. As is observed by Zhao Qingqing (赵 庆 庆), "the Chinese cultural legacy in their (overseas Chinese) writings has been integrated to the overseas Chinese literature with unity in diversity, which has established a comparative and integrative framework of overseas Chinese and non-Chinese writings" (16,

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1　《张继·枫桥夜泊》："江枫渔火对愁眠"（Zhang 1997, 502）.

our translation). Although Zhao draws notice to the significance of the Chinese cultural legacy, she overlooks the effect of bilingual cultures on the aesthetic communication and cultural interaction therein, a key point that is highlighted in this paper.

In experimenting with poetic forms, Chao's bilingual writings are more than simple translations from one language to the other. For example, both versions of "Eternity" featuring "a drop of water" allow readers to extract meaning independently and interactively:

一滴水 A drop of water
顺势而流 born to migrate

永不休止 never ceases flowing
以白云为翼 ascending with the clouds
以大海为床 Descending into the sea (Chao Maples 18-19)

In the Chinese version, the nouns "clouds" and "the sea" stand out metaphorically and anthropomorphically with the former as wings for the "drop of water" and the latter as its bed. In contrast, the English version is verb-oriented with the uses of "ascend" and "descend." Underlying the depiction of the dynamics of "a drop of water" is the poet's contemplation on immigrant life, which assumes the symbolic force of water as it "never ceases flowing." Moreover, both versions cast the universal paradox of permanence and immanence amidst the fluid and the changeable. Drawing from her immigration experiences, Chao articulates poetic expressions across geographical borders. In her words, "The significance of a bilingual format lies in the sense of dialoguing other than creating a word-to-word match" (More ix). She further attests to the rhetorical differences that "the two languages are placed side by side in print to mirror what we are, what we think, and how our bi-cultural background affects our being," with the hope that "the bilingual format will present a similar process to the reader, linguistically and visually" (Chao More ix). In the same vein, Chao applies the bilingual format to another collection More Than Skin Deep, in which she delves into the Chinese immigration history and contemporary life in Canada to delineate that the pains, brought by the second language learning, cultural collisions and racism, are "more than skin deep."

Besides the intentional application of bilingual format, the features of border-crossing expressions manifest themselves in the English translations of Chinese American writings. For example, Yan Li translated her English novel *Daughters*

of the Red Land (1995) into Chinese and re-published it in China in 2010. Though the two versions are not written in bilingual format as that in Chao's poetry collections, Li justifies her method of rewriting by saying that "When I translated my English novels into Chinese, I made those cuts and rewritings for Chinese readers" (Li 228, our translation). For her, "It is natural to delete, simplify and rewrite the illustrations of Chinese historical background or customs in the original novel" (Li 228). Li speaks even more specifically than Chao on the creative process, which may also be called "cultural processing." Similar to Chao, Li is sensitive to the differences between Chinese and Western languages, cultures and histories, eschewing the word-to-word correspondence in content. Pin-Chia Feng echoes Yan Li's appreciation of the role of bilingual intellectual "whose task involves more than translating linguistic and cultural codes from one country to another, but moving beyond linguistic barriers to facilitate 'cultural agency' as 'cultural translator'" (Feng 172). Feng's definition of bilingual intellectuals as "cultural agents," rather than those who simply perform the act of "translating linguistic and cultural codes," refreshes a different perspective to approach bilingual writings (Feng 172).

Hybridity of English, Chinese Characters and Pin-yin

In contrast to the border-crossing bilingualism, the English expressions, after hybridization with Chinese linguistic codes, further obscure the border between the two languages and cultures. The Chinese linguistic codes, consisting of Chinese characters and Pin-yin, gains a new momentum in the English-language narrative genres, such as autobiography. In the meantime, such writing practice unmasks the diasporic identity of overseas Chinese writers.

In Anchee Min's autobiography *Red Azalea: Life and Love in China* (1996), Min relates to the political sufferings her whole family underwent during the Cultural Revolution in China. The names in this book are literally translated, not in Chinese Pin-yin, which indicates Min's detachment from the memories. However, "红杜鹃"(lit. red azaleas), as a Chinese image and three-character word, is used in chapter titles or intervals between parts. In so doing, the author seems to stamp the novel with a Chinese "logo" and conjures up a visual picture of the red azaleas blossoming all over the settings of the novel. The insertion of Chinese characters explicates precisely what King-Kok Cheung describes as "the inventive and subversive uses of Chinese sources" (55). In Cheung's view, such use may "challenge the cultural dominance in Sinophone and Anglophone nations and displace the supremacy of the Western heritage in the New World [America]" (56). Following Cheung's lead, we would like to add that Min makes creative efforts to challenge

the Anglo-American cultural domination, and therefore, displaces the language su-premacy through hybridizing the Chinese and English expressions.

Chinese American writer Chun Yu (俞淳 , 1966—) recalls the sweet and sor-rowful events that occurred during the Cultural Revolution in her poetry collection *Little Green* (2005). In this book, the Chinese characters and Pin-yin are pervasive, ranging from the kinship addresses like "Taiye (great-grandfather)" and "Waipo or Nainai (grandmother)" listed in the family tree to "Destroy the Four Olds (Po Si Jiu)" and "Down with (Da Dao)" in the glossary. On the one hand, the poet coun-ters the political authority in writing about the Cultural Revolution; on the other hand, she deconstructs the hegemony of English by inserting Chinese characters and Pin-yin in English expressions. This kind of hybridization, to borrow Homi K. Bhabha's words, is a "displacement of value from symbol to sign that causes the dominant discourse to split along the axis of its power to be representative, authori-tative" (162). It undercuts the tension between English language as an authorita-tive discourse and other languages in the process of multi-cultural interaction. In the case of *Little Green*, the hybridization or appropriation of Pin-yin weakens the "representative and authoritative" power of English in a way that exhibits a new possibility pertained to the bilingual writing. In other words, the translingual and multicultural hybridity not only provides Yu with abundant linguistic and cultural resources, but also empowers her to confront the dominant language and cultural paradigm in the host countries.

While a strong family tie can be traced in how Yu maintains all the Pin-yin formats of the kinship addresses, some culture-specific terms are translated in Pin-yin, despite a sharp sense of satire in Pin-yin, for example, "xiang-xia-ren, a coun-try folk" (59), "du-shu-ren, one who reads books"(62), "Da ChuanLian, / a revolu-tionary mass rally"(65). These terms help to dramatize the plot, increase the effects of linguistic de-familiarization, and furthermore disturb the authenticity of Standard English language. As Brigitte Wallinger-Schorn notes,

[A]ll linguistically hybrid poems refuse to quietly acquiesce to a racist Ameri-can power pyramid with a dominating Anglo-American group and its language at the top, instead engaging in ethnic empowerment as linguistic activism and thereby negotiating and retrieving a distinctive, but fully American, Asian American subjectivity. (101)

Wallinger-Schorn notes that the linguistic hybridity, as the source of the ethnic em-powerment, challenges the linguistic domination of Anglo-American group. Simi-

larly, the putatively "inappropriate" use of words has turned the language into the quiessential site of resistance to the supremacy of the languages and cultures of the host countries.

As discussed in the first part, Lien Chao expresses her wish to create "a linguistic parallel to the cross-cultural journey" through the English/Chinese format in her two collections of poetry. Chao's memoir *Tiger Girl* (《虎女》, 2001), an account of her life experiences during the Cultural Revolution, sees a mixture of Chinese characters and Pin-yin. The book presents a hybridization of Chinese characters, Pin-yin and English in the cover and a large number of Pin-yin expressions inside the text. Below are three examples:

> duo-zi-duo-fu, "more sons more happiness" (Chao, *Tiger* 13)
> Congratulations, another thousand jin(26)
> the ancient Chinese saying, buyao fang huguishan, "Do not let the tiger return to the mountain" (42)

Writing an autobiography in a foreign language is conducive to the free interpretation of historical events without being subjected to the political constraints of the motherland. On the other hand, the deployment of Chinese characters and Pin-yin also reveals the author's bond to Chinese culture. Although Chao adopts the "tool language" (English) of the host country, her mother tongue (Chinese) affects her writing to a great extent (Huang, *Border-crossing* 117). Therefore, the overseas Chinese writers engage with trans-cultural wordplay, a linguistic gesture towards their sensibility in forging an ethnic identity, which complicates the cultural continuum of their mother country as well as offers diverse representational forms of displacement in American reality. In this process, the cultural features of overseas Chinese writings operate on the incorporation of Chinese characters and Pin-yin expressions as interesting cross-cultural resonances.

Linguistic De-familiarization and Cultural Enrichment

Besides linguistic hybridity, traditional Chinese customs and cultural heritage can be detected in most English works by overseas Chinese immigrant writers, in particular, Lin Yutang's *Moment in Peking* (《京华烟云》,1939), S. I. Hsiung's *Lady Precious Stream* (《王宝川》, 1934) and *The Bridge of Heaven* (《天桥》, 1943), and C. Y. Lee's *The Flower Drum Song* (《花鼓歌》, 1957). These works commonly disregard the rules of so-called "standard English" and challenge English readers' thinking paradigms by means of linguistic de-familiarization.

The kinship terms of address in *Lady Precious Stream,* such as "my dear relative," "my honourable sons-in-law," and "my dear father-in-law" (Hsiung, *Lady* 21), exemplify the traditional Chinese strategy of claiming closeness in a socially interactive context. By comparison, the way to address younger males in an extensive family in *The Bridge of Heaven*, such as "Ta-Shiao-Ya" and "Erh-Shiao-Ya" (Hsiung, *Bridge* 19), is transliterated from Chinese provincial dialects, which may be cognitively challenging for most of the Chinese and western readership. A number of folk expressions and practices in *The Flower Drum Song*, such as "tsa-chiang-mein," "chiao-tze," "lao-ping," "incense money," and "icebox," are transliterated from Cantonese. By using these expressions, Hsiung and Lee achieve the linguistic effect of "de-familiarization" while reinforcing their trans-cultural identity. To affect conscious linguistic signification of its relation to local dialects, the bilingual writers studied here break the established mono-linguistic rules for the pursuit of creative freedom.

By the same token, slangs and sayings, though translated into English, still maintain the Chinese linguistic rules and cultural favor in the selected writings of overseas Chinese writers:

> Hearing isn't believing; seeing is believing! (Hsiung, *Lady* 68)
> The reminder of my declining years may be compared to a candle exposed to the wind, which is very soon extinguished. (68)
> I would have become his subordinate if my father didn't smash the rice bowl for me. (Lee 20)
> Wish you a longevity comparable to that of the South Mountain, and a fortune as wide as the East Sea. (89)

These Chinese-English expressions have bridged the two cultures, and enriched English expressions. As Huang Wanhua （黄万华）remarks, overseas Chinese writers' "hybridization of Chinese" makes its own contribution to "the enrichment and development of one language" (Huang Border Crossing 114). The heterogeneity of these expressions, disturbing the semantic rules of the mainstream discourses, has continued to underlie the value system of translingual writings. According to Wai-lim Yip（叶维廉）, "the literature out of the mainstream represents the dialogue and the tension between different cultures. The cross-fertilizing reproduction creates the space that is liminal or inaccessible to the mainstream consciousness, but in this sense, the mainstream discourse is enriched" (Yip 5, our translation). Yip considers the heterogeneous writings to be "the cross-fertilizing reproduction"

and "the dialogue" between different cultures, which not only diversifies the mainstream culture, but also empowers the marginalized culture.

The heterogeneity of "Chinglish" writings is accentuated in the works of C. Y. Lee and Geling Yan. Take their fragmented short sentences and irregular expressions mimicking oral speech as examples:

> "You've come the wlong day," Charlie said. "Seaweed soup for today. It is good. Come to this loom, please. The best loom — like it is leserved for you."(Lee 106)
> "So, Mister is a journalist?" (Yan 138)
> "get beyond my peasant limitations" (272)

These expressions, representing "new mixes of linguistic, cultural, political and racial beliefs and forms" with "polyphony of voices, narrative forms and viewpoints" (Wisker 190), are nevertheless hybridized. In this way, the writers seek to entail a sense of linguistic and cultural equality. As Gina Wisker observes, "Hybridity aligns itself with a sense of a cultural equity despite difference, through varieties of voices" (190). Specifically speaking, in displaying the hybridity and the multiplicity of voices, the overseas Chinese writers disregard, resist or subvert the representation system of the mainstream culture so as to fulfil their cultural demands for a heterogeneous representation system (Feng, *Chinese* 176). Their efforts to foster a modification of the hegemonic literary representation in their works are, as the following section will show, characterized by their openness to embrace cross-cultural hybridity especially in philosophy and art of fiction.

Hybridity of Chinese and Western Philosophies and Art of Fiction

In terms of thematic concerns and writing techniques, the trans-lingual writings of overseas Chinese writers also demonstrate their uniqueness in crossing the border of Chinese literature and foreign literature.

Though written in English, Lin Yutang's *Moment in Peking* displays the Chinese philosophical thinking as exemplified in Confucianism and Taoism. Take its implication of Taoist philosophy for example, the three books of the novel have extensive literary references to *Chuangtse* (《庄子》). The preface of Book One "The Daughters of a Taoist" is quoted from Chuangtse's essay "The Master": "To Tao, the zenith is not high, nor the nadir low; no point in time is long ago, nor by lapse

of ages has it grown old"[1] (Lin 2), which encapsulates the mystery and eternity of Tao. Book Two "Tragedy in the Garden" is excerpted from Chuangtse's "Relativity," and Book Three "The Song of the Autumn" from Chuangtse's "The Northern Travels of Knowledge"[2]:

> Therefore, all things are one. What we love is the mystery of life. What we hate is corruption in death. But the corruptible in its turn becomes mysterious life, and this mysterious life once more becomes corruptible. (656)[3]

The quotations from Chuangtse fundamentally guide the plot development of the three volumes of *Moment in Peking*, which is mainly about the rise and fall of three big families from 1900 to the 1930s. Book One recounts the comparatively peaceful childhood and adolescence of the major characters, such as Mulan and Yao Mochow under the guidance of their Taoist father, the self-disciplined Kung Lifu of a late Confucian father. Book Two mainly narrates the turbulence of each family facing the social upheavals in the tones of lament and sorrow. Last but not least, Book Three mainly dwells on the enlightenment of life: "all things are one" and "what we love is the mystery of life." The novel, interwoven with Confucian notions and Taoist ideas in its plot development, promotes the readers' understanding of Chinese culture.

 Moment in Peking is also influenced by Cao Xueqin's classic The *Dream of Red Mansions* in the creation of characters, the realistic portrayal and narrative techniques. According to Lin Rusi(林 如 斯), Lin Yutang intended to translate The Dream of Red Mansions in 1938 but felt that the time was not ripe for such a project (5). Instead, he borrowed descriptions of the social customs and the historical context from The Dream of Red Mansions. Moment in Peking is set in the early 20th century when Western concepts of individual freedom and the modern Western intellectual resources were imported in China. In such a context of social transformation, a focal point in Moments in Peking is how the characters trace out

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1　《庄子・大宗师第六》："夫道……，在太极之先而不为高，在六极之下而不为深，先天地生而不为久，长于上古而不为老 "(Chuangtse 2011, 137)。

2　The preface is as follows: "Those who dream of the banquet wake to lamentation and sorrow. Those who dream of lamentation and sorrow wake to join the hunt … This is a paradox. Tomorrow a sage may arise to explain it; but that tomorrow will not be until ten thousand generations have gone by. Yet you may meet him any day just around the corner" (Lin 2009, 400). 《庄子・齐物论第二》："梦饮酒者的，旦而哭泣；梦哭泣者，旦而田猎。……是名也，其名为吊诡。万世之后而一遇大圣知其解者，是旦暮遇之也 "(Chuangtse 2011, 56)。

3　《庄子・知北游第二十二》："故万物一也。是其所美者为神奇，其所恶者为臭腐，神奇复化为臭腐 "(Chuangtse 2011, 391)。

a growth trajectory among the convergent forces of old and new social, educational and marital systems.

Lin Yutang and S. I. Hsiung, representative of the early immigrant Chinese writers and the first generation of overseas Chinese writers, have displayed the similar hybridity of Chinese and western philosophies and arts of fiction in their writings, and consciously demonstrated their respect for the cross-cultural heritage. As Frances Wood remarks at the preface of Hsiung's *The Bridge of Heaven*, "His insights into traditional family life, into the continuing significance of Confucian belief and family ties, his descriptions of birth, marriage and death rituals are as valid, enjoyable and informative as they are in 1943" (vii). Through their writings, western readers get access to Chinese philosophies, customs and even people's daily lives.

However, the new overseas Chinese writers, such as Geling Yan, manifest diversity in the thematic concerns and narrative styles. Other than the autobiographical memory of the Cultural Revolution, Yan's English novel *The Banquet Bug* is the representative trans-lingual writing of the Chinese "new immigrant writers." This novel, set in modern China after the Reform and Opening-up, tells the story of Dong Dan, who, laid-off, pretends to be a journalist to attend different banquets.

Various banquets are portrayed in great detail, such as the luxurious pigeon-tongue banquet, the delicate Chinese-character banquet and even the sexual nudity banquet:

> The food? It is going to be the best collection of seafood. The freshest and the rarest, shipped over by airplanes the same afternoon, directly from the fishing boats along the shores of Beidaihe. The girls? Well, they have to be college students eighteen to twenty-two, all virgins of course, selected from among thousands of candidates … Their skin color matters a lot, too. It has to look white and tender, smooth as tofu, half-translucent as fugu, the rare Japanese blowfish delicacy. They will look better than any food displayed upon them, so you'll realize that the best food is not for your mouth; it's for your eyes and all your senses. (Yan 226-227)

Yan satirizes the Chinese "upper class," including the government officials, journalists, artists and scholars for their luxury or hypocrisy, which reflects a sordid or contorted social reality that the corruption runs parallel to the uninhibited sensuous pleasures. However, written and published in English, the novel is intended mostly for the Western readers. It has, to a certain extent, exaggerated the dark side of Chi-

nese society, which caters to some Westerners' stereotypical imagination of China as "Orientalized." In Edward Said's view, Orientalism, "as a Western style for dominating, restricting, and having authority over the Orient," takes effects by "making statements about it, authorizing views of it, describing it, by teaching it, settling it, ruling over it" (3). So to speak, Banquet Bug chronicles and insinuates the negative side of Chinese culture.

In addition, Yan Li's autobiography Daughters of the Red Land and its Chinese version are bilingual. First published in 1995, the author rewrote it into Chinese. This process brings bilingual and trans-cultural interactions to the fore. The narration progresses with two major threads: one is the story in China during the 1950s and the 1960s, the social period that witnessed numerous political movements; the other is the narrator's experiences in Canada as a writer and a housekeeper of a rich, old and lonely Canadian woman. Banquet Bug and Daughters of the Red Land renews the traditional autobiographical pattern that often points to the Cultural Revolution by eliciting cross-cultural narratives in a different direction.

Compared with the early immigrant Chinese writers, Lien Chao, Yan Li and Geling Yan tend to enact Chinese cultural repertoires as a positive outlet of their ethnic identity and to attract the interest of western readership in overseas Chinese stories. The distinction between the two generations of immigrant Chinese writers is largely contingent upon the cultural environments they lived through in China, and their living conditions and pursuits in the host countries.

Conclusion

Crossing the geographical, linguistic and cultural borders, translingual overseas Chinese writings observe the cultural interplay between their native country and host country, and incorporate the characteristics of diversity, heterogeneity and hybridity. The textual analysis, posit at the liminal expressive space of two different cultures, shows that the significance of transcultural identity and translingual capabilities in artistic creation is increasingly valued by a wide range of overseas Chinese writers. In a rapidly globalizing world, it is commendable that overseas Chinese writers should continue to adhere closely and critically to their bilingual and bicultural traditions, so as to amplify the strength of the multicultural aesthetic features, establish a unique ethnic culture of their own, and expand the expressive space of world literature.

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后帝国时代的欧洲与跨境共同体
Post-imperial Europe and Transborder Communities

弗拉基米尔·比蒂（**Vladimir Biti**）/ 李银波（**Li Yinbo**）译

内容摘要： 中东欧的德意志帝国、奥匈帝国、沙俄帝国和奥斯曼帝国在第一次世界大战中崩溃后，后帝国时代的中东欧普遍弥漫着一种沮丧情绪。在这些帝国的废墟上建立起来的国家之间相互仇视，国内也因民族仇恨而陷入分裂，领土被迫割让，数千万人因此丧生，引发大规模的难民潮。另一方面，这些新生民族国家也处于经济和社会上的悲惨境地，现代化道路上的诸多障碍如基础设施落后、失业、通货膨胀、社会分层僵化、政府腐败无能等又引起大规模的人口迁徙。出人意料的是这些人口迁徙巨大地增强了中东欧人民的流动性和想象力。在后帝国时代中东欧完全重塑的政治版图上，连那些最卑贱最绝望的生活也受到其愿景的影响。其结果就是出现了由处于"身份不确定区域"的后帝国时代受害者们组成的跨境联盟。这些受害者们在其愿景的驱动下相互联络，给所属的民族国家带来了社会和政治上的动荡甚至分裂。

作者简介： 弗拉基米尔·比蒂，奥地利维也纳大学文学与文化系教授，欧洲科学院院士，主要从事比较文学与文化研究。
译者简介： 李银波，武汉理工大学文法学院传播系副教授，主要从事跨文化传播研究。

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Abstract: In the post-imperial East Central Europe after the dissolution of the German, Austro-Hungarian, Ottoman, and Russian empires, disappointment was commonplace. The imperial *successor states* were involved in revengeful animosities with neighbouring states, torn by their majority population's hatred of domestic minorities, bereft of tens of millions of their co-nationals who had remained in now foreign nation-states, exposed to huge influxes of refugees, and embittered by the territorial concessions that they were forced to make. By contrast, the *newly established nation-states* were plagued by miserable social and economic conditions, poor infrastructures, unemployment, inflation, rigid and immobile social stratification, and corrupt and inefficient administrations. Such developments gave rise to huge and hitherto unimaginable deportations and migrations of populations,

which, paradoxically, simultaneously immensely increased the mobility of their imagination. In the completely reshaped geopolitical space that now loomed large on the horizon, even the meanest and most hopeless of lives became open to the play of the imagination. This is how the transborder alliances of post-imperial victims who were banished into the "zones of indeterminacy" came into being. Carried by the energy of their *longing*, their interlocking introduced imbalances, fissures, and divisions into the nation-state communities, which determined their *belonging*.

Key words: post-imperial Europe; transborder communities; zones of indeterminacy; subversive mimicry

Author: Vladimir Biti is Professor of World Literature and Comparative Literature at the Faculty for Literary and Cultural Studies, University of Vienna, Austria, as well as a member of Academia Europaea (Email: vladimir.biti@univie.ac.at).

Translator: Li Yinbo is Associate Professor of intercultural communication at Department of Journalism and Communication, School of Arts & Law, Wuhan University of Technology (Wuhan 430079, China) (Email: yinbo163cn@163.com).

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第一次世界大战（1914-1918）后中东欧四大帝国（即德意志帝国、奥匈帝国、沙俄帝国和奥斯曼土耳其帝国）的解体，以及随后在它们版图上新建立起来的帝国主要继承国及众多民族国家，导致中东欧出现了后帝国时代的残乱局面。根据《凡尔赛条约》（1919），西方大国在重塑中东欧地区时引入了"民族自决"的原则，赋予中东欧各民族建立其自治国家的政治权力。然而在中东欧建立这些在宗教上、民族上、文化上和语言上混杂的民族国家，并不是西方大国单方面强加的一个决定，它也是中东欧各民族解放运动倡导者所热情追求的目标，这些民族解放运动倡导者认为建立新的民族国家是他们建立自己新政权的天赐良机。尽管"民族自决"的原则在中东欧地区的实施是旨在将中东欧国家"西欧化"，但该原则却加剧了中东欧国家中出现的挫折。该原则将中东欧各民族人民系于一个民族独立的模糊愿景之上，然而由于各民族国家糟糕的社会和经济状况、落后的基础设施、失业、通货膨胀、僵化的社会阶层、政府腐败无能等诸因素，民族独立之愿景实际上是一个不可能实现的使命。

这些新生的民族国家将其落后混乱状况归咎于前帝国或外国长期施加给它们的剥削和奴役。实际上，这些国家的民族精英们也在致力于医治这种长期遗留的"病态"状况（Brubaker 79）。然而不幸的是，他们的那些医治

创伤的政治行动有一个意外的后果，就是其国内从前的权力关系发生了逆转，就象伊凡·贝伦德（Ivan Berend）所说："以前的统治民族现在变成了少数民族，而新的统治民族则为从前所受苦难寻求报复"（Berend 187）。此外，这些民族国家还普遍弥漫着一种落后感，现代化道路上的无数障碍也激起了民众的痛苦、仇恨和反抗。而且，这些民族国家中的许多少数民族，如乌克兰人、克罗地亚人、斯洛伐克人、尤其是犹太人，因为他们在国内受到不公平的待遇，感到自己是《凡尔赛条约》的受害者（Kożuchowski 8-9）。而另一些少数民族由于被剥夺了自决权，象捷克斯洛伐克的德意志人、匈牙利人和波兰人，或象南斯拉夫的阿尔巴尼亚人，他们永远是这些国家分裂甚至毁灭的内部因素。

中东欧各民族为发泄其伴随《凡尔赛条约》而出现的挫败感，还引起这些新建立的民族国家之间相互敌对和仇恨，如波兰和捷克斯洛伐克之间、罗马尼亚与南斯拉夫之间、意大利与南斯拉夫之间的矛盾。这些矛盾最终为这些民族国家内部的民粹主义独裁者上台执政铺平了道路 [如南斯拉夫的亚历山大国王（King Alexander）、波兰的毕苏茨基（Piłsudski）、罗马尼亚的安东内斯库（Antonescu）]。进入 20 世纪以来，尽管西欧的意识形态存在以社会主义及共产主义意识形态为一方，而以民族主义、法西斯主义及反闪米特主义意识形态为另一方的明确区分，但在东中欧这一区分的界线却越来越模糊，而这里的民粹主义思想的影响力却持续增长。值得注意的是，随着中东欧在 19 世纪最后几十年中建立起通讯网、交通网、公共机构网，西欧现代民主社会的人口流动性也出现在中东欧地区。然而中东欧的那些民粹主义领袖们通过充分参与各种意识形态间的杂交与融合，滥用了这种现代民主社会的人口流动性，将其利弊颠倒过来了。

现代性让我们认识到："一个人所设想的社会却是另一个人的政治监狱"（Appadurai 32）。当中东欧的那些帝国解体后出现人口流动时，这种人口流动性失去了其在西欧国家呈现出的解放作用，相反却呈现出胁迫性质，因而引起难以想象的大规模移民。"到 1890 年，有近 40% 的奥匈帝国居民离开了其家乡或原来的居住地而移居到帝国其它的地方居住"（Judson 334）。奥匈帝国大约有 400 万人移民海外，其中有数十万在几年后返回帝国。这些大规模迁徙的一个后果就是帝国的一些大城市象维也纳、布达佩斯、布拉格、萨格勒布等的人口激增（Judson 335）。帝国其它的大都市或中心城市也情况类似。可是"哈布斯堡王朝的覆没使得占维也纳人口 25% 的居民成为住在新生奥地利国家的外国人，因为这些人出生于新生奥地利国家之外，除非他们选择当地国籍"（Hobsbawm 15）。当苏联瓦解时，从 16 世纪中到 20 世纪中因殖民而居住在苏联境内俄罗斯共和国以外各地的俄罗斯人约有 2500 万人，他们现在突然变成俄罗斯联邦的国外侨民（Brubaker 6-7）。此外，有 300 万匈牙利人居住在罗马利亚、斯洛伐克、塞尔维亚、乌克兰，有 200 万

阿尔巴尼亚人居住在塞尔维亚、蒙特内哥罗、马其顿，有 200 万塞尔维亚人居住在克罗地亚、波斯尼亚和黑塞哥维那，有 100 万土耳其人居住在保加利亚（Brubaker 56）。不言而喻，后帝国时代欧洲政治地理的破坏性重构深刻地惊动和搅乱了原帝国大多数居民的生活，并使他们普遍产生一种无保护感。民粹主义者则利用这种社会动荡来达到其实用目的。因此就大多数欧洲居民而言，人口流动作为西欧民主政治的基本前提，它一方面成为西欧的福音，另一方面却成为中东欧的恶梦。

　　然而，后帝国时代的欧洲出现的巨大重构在严重威胁其居民的物质生活时，却极大地增加了其居民的愿景的变动性（Appadurai 6）。在中东欧完全重构的政治版图上，就象阿尔琼·阿帕杜拉（Arjun Appadura) 所说，"即使那些最卑贱、最绝望的生活，那些最野蛮最不人道的环境，最严峻的不平等"也变成"人们可以想象的事情"（Appadurai 54）。这就是说，无论迁徙是多么艰辛，它仍带有一定程度的解放效果。以前的那些帝国已经构筑了它们的通讯网、交通网和商业网，以增强它们对边境族群的军事控制和经济剥削，防止他们投奔其它的帝国。这些帝国的交通网一方面促进从周边省份运进粮食和原材料（Barkey 106），另一方面也向相反的方向输出制成品。尽管现代化声称可令所有参与方实现平等，它却使帝国中心与边缘之间的经济不平等变得更加严重（Berend 20-22）。就象奥地利皇帝约瑟夫二世（Joseph II）于一个世纪前实行的语言标准化政策一样，下面这句话强调了帝国对周边省份的整合措施："只有服从该政策者才能被视作是进步的或现代化的人"。而那些继续忠于其古怪传统习俗的人则将自己局限于自我封闭的本土之上，将自己排除在普世文明的进程之外，这类人被蔑称为落后者。其结果是现代化将帝国边缘省份也置于加速适应的压力之下，尽管那里装备落后，也不得不妥协。

　　但是，面临这种"同等歧视"的压力，那些边缘省份的居民也形成了自己独特的生存技能。帝国现代化所提供的共同背景使那些边缘省份也认识到彼此间的差异并寻求趋同化（Evans; Cornwall 174-175）。通过现代化所引起的破坏性迁徙，这些边缘省份的居民获得了解许多其它省份的的机会，而此前他们对那些省份几乎是闻所未闻的。由于帝国各省份之间存在着政治上、宗教上、文化上和语言上的差异，尽管人们见到别的省份的感受也是不愉快的、沮丧的、甚至是恐怖的，但这种感受使得各省份的族群与同样遭受帝国中心居民歧视的族群之间结成联盟以加强他们反抗中心歧视的力量。各省份为反抗共同的压迫者而结成牺牲共同体，他们这时忽略彼此之间的巨大差异。

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　　的确，被剥夺者为加强和巩固自己的力量而与遥远地方同样处于困境的他者进行联络，这种做法并不新鲜。在两次世界大战之间的中东欧，人们又

对以前的做法刚刚做了改编和校正。就近代欧洲来说，法国的新教派学者皮埃尔·贝尔（Pierre Bayle) 于 17 世纪末发起了一个由因持"错误"宗教信仰而被迫离开自己国家者组成的国际学者组织"文字共和国"（Republic of Letters），他是第一个这样做的人。在 18 世纪中期，法国著名作家卢梭（Jean-Jacques Rousseau，1712-1778）再次投身于这种选择性参加的同类人组织，但他的目的是联合政治上的弱者和被剥夺者。尽管他属于法国的文学和文化界，但他是一个新教徒、持异见者、贫穷的小资产阶级，总之一句话：他是一个居住在法国的外国人，是贵族社会中的 一个陌生人。这些都是描绘他个人卑贱身份的词语。由于卢梭那带标志性的二等公民身份令他深感沮丧，他被迫在法国内外的新教徒中寻求有影响力的同盟者。为在法国内部寻求支持，他曾求助于孟得斯鸠（Montesquieu，1689-1755）对新教徒个人主义倾向的赞扬，以反对天主教徒的相互依赖倾向（*The Spirit of the Laws*, XXIV.5 and XXV.2）。为在国外寻求支持，他将伟大的英国文学作品介绍到法语世界。

　　卢梭作为一个法兰西民族的二等公民，住在一个南部的城市共和国日内瓦，于是建立起一个"跨境联盟"（*transborder alliances*），以支持国外其它民族抵抗由他的特权同胞施加的文化压制政策。同时，他当然也想取得国外其它民族的支持来进行他在国内的抵抗行动。然而，卢梭的复杂联络行动带有在整个现代欧洲受压迫的个人和群体所具有的特征，这不仅源于其宗教信仰方面的因素，那仅次于他新教信仰的日内瓦共和国也因处于边缘位置和次等角色而与巴黎迥异。卢梭在其《论不平等》（*Discourse on Inequality*）[1]中解释说，这样一种处于边缘而又受压迫的共同体促进了共同体中各成员之间的彼此归属感。在他看来，小民族或小国家更有利于未来共和国宪法的制订和实施，从而取代腐朽落后的君主政体。

　　因此，当卢梭在一封"反对强大而狡诈的侵略者"的公开信《关于波兰政府的思考》（*Considerations on the Government of Poland*）中谈论波兰民族时，他采取公开谈论的方式，有意选择与伏尔泰（Voltaire）致俄国专制君主凯瑟琳二世（Catherine II ）的私人信件方式绝然相反。他选择支持被侵略者而不是侵略者（Wolff 238）。他说："如果你让一个波兰人永远不能变成俄国人，那么我可以告诉你俄国就永远不能征服波兰"（Rousseau 170–171）[2]。无人能摧毁一个如此天然根植于自己品味、风格、偏见甚至罪恶之中的民族，即如此有别于其邻邦的民族（Rousseau 163）。 卢梭对波兰的这种独特认识，也与伏尔泰对俄罗斯人、波兰人、鞑靼人和匈牙利人不加区分混为一谈的认识绝然不同。当整个欧洲都在法国的品味影响下而变得千篇一律时，波兰人则必须通过耐心的民族教育来培育自己独特的民族情感并捍卫之（Wolff 240–241）。只有继承并捍卫自己的历史和文化之根，才能成为世界民族大家

1　即《论人类不平等的起源和基础》，译者注。

2　译文为译者根据作者译文译出。

庭之一员，而避免变成仆从。基于这样一种认识，卢梭通过提供一种更为公正的共性，以致力于联合那些在政治上和文化上受到压迫的受害者们。

　　卢梭坚决捍卫那些受到启蒙运动、现代化、政府管控和人类理性损害的"天然族群"的思想，深深吸引着德国的浪漫主义者。 然而，由于所拥有的参与宏大历史进程的世界性资源并不充分，这些边缘族群遇到了已经启动的全球化进程引起的深层动荡效应。因卢梭在其所在的小城市共和国中亲身体验过这些边缘族群遭受的挫败感，他满怀同情地支持他们借助本土神话来保护自己的族群免遭除根的做法。德国最杰出的浪漫主义者弗里德里希·施莱格尔（Friedrich Schlegel,1772-1829）接收了卢梭的基本理论，认为所有民族都必须推翻强加在其头上的代理人以回归到自己民族的天然起源。卢梭有一句话，即"一旦一个民族接受了代理人的统治，它就不再自由，它也不再存在"，这句话在早期德国浪漫主义者中间引起了强烈共鸣，因为他们正在试图推翻法国专横统治，而当时德国贵族就是法国专横统治的代表[1]。为此，他们积极参加卢梭倡导的从属民族联盟。

　　德国反启蒙运动者赫尔德（Johann Gottfried Herder, 1744-1803）在其文章《希伯莱诗歌的精神》（*The Spirit of Hebraic Poetry*, 1783）中继承了卢梭的自强式跨境联盟。他在该文中从回顾历史的角度深刻地讨论了当时欧洲的犹太民族问题。他说，"正如德意志是一个由众多国家组成的民族而奥地利则是一个由众多民族构成的国家一样， 古代的以色列也是一个类似的'极好例子'，即它早在成为一个国家之前就是一个由 12 个部落或独立共和国构成的民族"（Barnard 20）。他似乎要给自己的德国同胞一个例证，因此他强调了犹太民族在二千多年的历史里已形成一种在充满仇犹的恶劣环境中保持自己犹太身份的能力。他们既保持有对共同法典的忠诚，又保持有共同的历史语言、民族传说与记忆，他们供养家庭和维持家庭纽带，热爱并尊敬他们的先辈，这一切都使他们逐渐走向免受中央权力胁迫的某种共产主义秩序。"是法律而不是立法者在统治，一个自由的民族应当自由地接受并尊重它，那隐性的、理性的、仁慈的权力应当指导我们，没有任何锁链来囚禁我们"，这不仅是古代犹太先知摩西（Moses）提出的愿景，也是赫尔德认为现代德国应实现的民主愿景。

　　大约 30 年后，施莱格尔在其第十次维也纳演讲中表达了他对当时匈牙利民族运动的热情关注，其中他赞美了 16 和 17 世纪匈牙利民族抵抗科菲努斯国王（King Matthias Corvinus）统治的斗争（Schlegel 237） 。科菲努斯国王喜欢意大利和拉丁文化，就象普鲁士国王弗里德里克大帝（Frederick the Great）喜欢法国文化一样引人注目。同样，就象匈牙利民族运动为抵抗当时奥地利的霸权而借用科菲努斯国王时期的匈牙利民族传说一样，施莱格尔也

1　18 世纪的德国贵族包括普鲁士国王腓特烈大帝（Frederic the Great，1712-1786）在内都对法国的语言、文学和文化怀有特殊癖好，他们认为德国的东西太粗俗。

希望他的德国同胞们借用德国的文学与文化记忆来抵抗法国文化在欧洲的蔓延。他的第一个愿望就是促进正在形成中的德国文学来反对已经广为接受的法国文学，并将德国文学作为德意志民族在精神上形成的标志。他想建立德意志民族精神以将其同胞从法国文化霸权下拯救出来。但这意味着施莱格尔采用一个更为广义的文学观来作为德意志人民的身份识别手段，因为德意志民族在一些帝国的侵占下已被剥夺了自己的民族身份。在这种文学观念上他接触到了卢梭和赫尔德，他们都相信"通过理解历史根源而提升的自我身份意识可引起自己认识上的变化"。

　　"首先，它可以在他者的时间、空间以及语境中促进本族人民的反思性自我认同和自我定位；其次，它可使本族人民认识到自己不只是历史的被动旁观者，他们也可将自己看作是历史的积极参与者"。（Barnard 161–162）

　　成为历史的积极参与者是那些民族摆脱被驱逐、被污辱和被贬低的痛苦经历的唯一途径。由于欧洲有许多相互联络的杰出知识分子，而且这些知识分子又反对认同中心权力，认为那是不可接受的监护，因而跨境联盟的解放潜力变得异常突出。如果人类社会是按照人们的设想建立起来的，那么他们唯一可行的选择将是那些相互合作的弱小群体整体实行自治。人类将是由内向外和由下向上地呈现自我，而不 是《文字共和国》所提出的从上面强加这一所谓普遍模式。这种通过相互联络强调边缘文学和文化的方式明显是对城邦国家进行世界主义重新定位的一种新眼光。

　　通过反抗法国的文化霸权，早期德国浪漫主义者的跨境联盟为大约半个世纪后在 1848 年的欧洲民族革命风暴中确立的中东欧"受压迫的民族主义论"（dominated nationalisms）竖立了标准 (Balibar 62)。1848 年爆发的那些革命展现出类似的相互联络倾向，即在国外寻求盟友来加强自己在国内反压迫斗争的力量。它们力求在异己的国内贵族统治下捍卫自己脆弱的本族自我身份，就象卢梭以民族差异为由反对其巴黎同胞所宣称的普世主义一样。在德国的浪漫主义者之后，中东欧的"受压迫的民族主义论"突出地将矛头指向启蒙运动所标称的人类共性观，因为它忽视了人类的语言多样性和差异性。在浪漫主义者看来，人性永远是与语言相关联的，而且由于民族语言的多样性，人性的构成也有差异性。对浪漫主义者来说，民族语言不仅是其使用者之间交流的外在工具，而且也是他们思考、感知、想象的内在结构。

三

　　总之，跨境联盟这一传统在欧洲现代化的历程中一直很引人注目。然而中东欧后帝国时代的受害者们极大地重构了这一技术。他们之间的相互联络

采取了行动的形式，印度的后殖民主义理论家霍米·巴巴（Homi Bhabha）在其关于殖民环境的开创性分析中将这种形式称之为"破坏性的模仿"（subversive mimicry）(Bhabha 1994, 94-132)。通过复制殖民者的手法，被殖民者无意中在拙劣地套用着这些手法。根据巴巴的分析，被殖民者通过采用殖民者的成就一次又一次地试图抹去他们与殖民者之间的差异，相反却只是强化这些差异 (Bhabha 1994, 122)。的确，欧洲帝国的那些边缘省份已经通过采纳帝国所取得的成就破坏了现代化。然而帝国边缘的臣民们通过贬损西欧的成就不情愿地强调自己的落后与帝国中心间的关系，而实际上他们是努力想取得这些成就的。帝国边缘地区通过吸纳后重新表达的这种行为不自觉地强调了其边缘的模糊性。让我们来回顾一下德国哲学家尼采（Friedrich Nietzsche）在其《论道德谱系》（*On the Genealogy of Morals*）中关于"仇富"的著名分析：

> 贵族品质产生于凯旋式的自我肯定，而奴隶品质从一开始就对"外界"、"他者"、"非我"说"不"。正是这个"不"字成为其创造性行为。以眼还眼是"仇富"的一个特征，而欣赏的目光本是指向外部而不是内部自我的。为了生存，奴隶品质从一开始总是需要一个对立的外部，从心理学上讲，它需要外部的刺激才能行动，其行动从根本上来说是反应。(Nietzsche 22)

例如，最初修筑铁路是为扩展帝国中心的经济，但后来逐渐变成了帝国边缘地区抵抗中心的工具（Schenk 2013）。边缘省份的精英们是在帝国建立的中央或地方学校中受的教育，却利用他们学得的知识来反抗帝国的中心 (Barkey 110)。如果说帝国教育的目的是要使帝国的社会成份差异化，而这些边缘省份的精英们却利用教育使自己的"共同体"同质化。因此近代出现的"社会"（society）概念无意之中"为'共同体'（community）概念的更精准扩散创造条件，因为'共同体'现在成为所有不能归于'社会'概念者的一个集体名词" (Rosa et al. 37-38)。然而，不仅仅哈布斯堡王朝统治的奥匈帝国政治上的系统差异化产生了民族主义这一不治之症，"这种民族主义形成于奥匈帝国体制的背景下并出现于该体制所提供的可能性中" (Judson 452)。奥斯曼帝国的商业化和货币化浪潮也导致后院起火，因为"旨在加强帝国统一和现代化的商业化与货币化改革最终却引起旨在分裂帝国的各种民族运动" (Keyder 32)。

上面所描述的通过吸纳帝国的成就而进行的"颠覆行动"（operation of subversion）在帝国的边缘已经成为现实，而在帝国崩溃后建立的民族国家中再次掀起新的浪潮。如果说在过去的帝国时代颠覆行动是由作为帝国中心之受害者的各民族精英们进行的，那么在后帝国时代新建立的各民族

国家中颠覆行动则是由这些精英们的受害者进行的。其结果是，在后帝国时代的中东欧地区，即从前西欧国家试图通过建立民族国家将其同化到西欧的地区，那些"跨境牺牲共同体"（transborder sacrificial communities）崛起成为"国籍忽略区"（zones of national indifference）（Zahra 2010）。颠覆行动作为从帝国转化为民族国家的过路中不可转化的顽瘤，它们发展出了一种源自国内民间的"地方世界主义"（vernacular cosmopolitanism）（Bhabha 1996），以对抗帝国中源自官方的"国际世界主义"（*inter*national cosmopolitanism，即独立的民族国家之间的合作）。这些"身份不确定区域"（zones of indeterminacy）的逐渐扩散破坏了以民族为基础的社会整合平台。根据"身份不确定区域"这一术语的提出者伊丽莎白·波维内利（Elizabeth Povinelli）的解释，"身份不确定区域"充满被压制的可能性，即这些区域会将自己的潜能释放到所在的社会集合中去，因而导致社会的条块化和分裂断层（Povinelli 3–4; 11–13）。

通过将众多弱小群体的多样性融入到一个相互作用的整体中，跨境牺牲共同体创造出另一种互利主义模式。这使得因某种亲缘关系而对想象中的家乡所怀有的向往之情冲破了所处民族国家的法律。对政府领导的统一政策所进行的这些内部"零星抵抗"（pockets of resistance），被当代一系列杰出政治理论家解释为现代化与全球化过程中出现的"同等的歧视"所导致的直接后果。在这些理论家看来，现代世界的生产引起了一个附效应，就是出现了被阻止进入既定人类空间的未来人、幽灵人和非人 (Agamben 121; Esposito 209; Butler 92)。这些不合时宜者或被时代淘汰者们为将自己从其卑贱处境中解救出来，他们也找到另一种形式的同类归属感。

的确，政治地理被重构的中东欧成为其众多成员民族的可怕政治监狱，这导致其成员民族对新建立的民族国家的归属感被他们要求将这些新建立的国家从其宪法和官方记忆中抹除的愿望所代替。新的国家民族主义（state nationalisms）降生并临时拼凑了这些成员民族，以强加的"他者"为名将各成员民族拴在统治民族的院墙之上，剥夺它们的选择，封杀它们的不同声音，灭除它们的复杂身份 (Brubaker 20-21)。由于这些成员民族希望一种新的方式来共享所处的政治空间，因此它们与国外有同样不幸感受的被剥夺者们建立联盟的大门就大大敞开了(Fritzsche 2004)。然而，当这些成员民族跨越按民族、宗教、阶级、性别、文化或意识形态新标出的国界线去认同于国外有同样不幸感受的人并和他们联络时 [1]，"跨境共同体"的缔造者们将自己所在的国家逐步引向分裂或解体。为将有各种各样挫败感的人凝聚成可向他们许诺救药的平台，跨境共同体的缔造者们不惜鼓动最怪异的受害者为其行动计划服务

1 　少数民族认同于其国外祖国的代表人物，宗教少数派也认同于他国同教派的代表人物，受压迫的工人阶级则认同于外国的工人阶级，受压迫的妇女也认同于外国的妇女，受挫的法西斯也认同于外国的法西斯，先锋派艺术家亦认同于他国有同样主张的同类。

(Hanson xvi)。这样，在新建立的民族共同体中出现的最初具有解放性质的跨境共同体堕落成为民粹主义集团。

当跨境共同体的缔造者从"身份不确定区域"中建立新型的人类群体时，他们求助于过去对受害者所做的描绘，因为这些描绘具有美化异类迷者的潜能。在建立这种对过去的联系时，他们除超越国家、宗教、文化、语言、意识形态的界限外，也超越了历史时代，忽视共同体中极端不同的异类成员族群之间存在的一系列重要差异。他们不断地利用此类模糊的类似，例如他们甚至认同于一些伟大的宗教创始人，因为这些宗教创始人的殉难曾激起无数各类受害者们的挫败感（Mylonas 7-8）。通过将新的社会主义、法西斯、民族主义的因素融入到一些根深蒂固的宗教模式中（Berend 201），他们激励新国家的受害者们投身于对所谓长期折磨者的复仇行动之中，而那些折磨者们也同样不加分别地进行联合。因此那些被召募的受害者共同体则被直接投于复仇行动中。总之，如果说西欧的民族国家将通讯、交通和商业上的移动性用于促进其社会的个人差异，那么中东欧的民族国家则将这些移动性用于促进其共同体的集体同质化，这种同质化是以对他者不加区分地妖魔化并加以驱逐为基础的。他们混杂而激进的牺牲叙事不是独特地、微妙地、私下而秘密地进行，而是将施暴者和受害者以一种明确对立的两极化术语来以加描绘（Alexander 16-19）。

然而，仅在几十年后，当第二次世界大战导致西欧殖民帝国纷纷瓦解时，反殖民运动表明这种畸形现象不仅仅存在于中东欧，就象西欧人在两次世界大战之间时期所宣称的那样。人们突然发现，所谓伟大的西欧民族的独特身份也同样建立在欧洲之外所形成的无数"身份不确定区域"的基础之上。这些"身份不确定区域"的迅猛扩散不仅在二战后慢慢渗透到以前的西欧帝国中心，也慢慢分解了西欧那些所谓的"导师"民族。当殖民主义的暴行如大屠杀等象回飞镖一样出现在欧洲心脏后，整个欧洲都进入了动乱的后帝国状态。欧洲内部的不平衡、不和、分裂等迫使欧洲面对其过去帝国时代所造成的后果。最近欧盟内部和外部出现的民粹主义、法西斯主义及分离主义意识形态和政策，证明其对抗远远没有结束，它还将以新的、扩大的、变换的形式继续下去。

这意味着欧洲必须面对其内部和外部的"身份不确定区域"，这些"身份不确定区域"是欧洲不可同化的组成部分。这些区域的不协调性并不表明它们是绝对的他者，相反却是一种带伤痕的近亲。这些"身份不确定区域"作为不可处理的残渣寓居在欧洲，污损其声誉，破坏其自足，挫败其开发人类财富的宏伟计划。欧洲的这些带伤痕的近亲及其"身份不确定区域"意味着一种艰难的共栖关系。然而，并没有证据表明欧洲已经面对这个挑战，更谈不上接受这个挑战。

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英国文学中的幸福伦理与共同体形塑
Eudaimonistic Ethics and Community Building in English Literature

殷企平（**Yin Qiping**）

内容摘要：英国文学中的共同体形塑是一个值得深入研究的课题。然而，此项研究并未摆脱一个困境，即如何应对布朗肖、南希和米勒等人对共同体有机／内在属性的质疑。要走出这一困境，可从历来英国文学家们对幸福伦理的探究入手。从奥斯汀到乔治·艾略特，从狄更斯到乔治·吉辛，再从普里斯特利到拜厄特，英国文学家们都把幸福伦理看作通向共同体的一把钥匙；通过如椽之笔，一股股川流不息的诗性叙事，全都流向"秩序"与"自由"之间平衡的渊薮，而这平衡的关键在于进行幸福伦理的建构，在于以情感文化为基石而树立的社会责任感。

关键词：共同体；幸福伦理；秩序；自由；平衡；情感文化

作者简介：殷企平，博士，杭州师范大学外语学院教授，主要研究英国文学。

Title: Eudaimonistic Ethics and Community Building in English Literature

Abstract: Community building in English literature is a project which calls for thorough studies. The project, however, is still confronted with a predicament, namely the difficulty in meeting the challenges from such people as Maurice Blanchot, Jean-Luc Nancy and Joseph Hillis Miller who query the concept of any organic or inherent community. One way out of that predicament lies in a close examination of the way literati in Britain probe into the ethics of eudemonia which is regarded, by many writers including Jane Austen, George Eliot, Charles Dickens, George Gissing, J. B. Priestley and A. S, Byatt, as a key to community. From the powerful pens of the above-mentioned writers flow one poetic narrative after another which invariably points to an equilibrium, between "order" and "freedom," which presupposes the development of eudaimonistic ethics and a sense of social duty formed on the bedrock of sensibility.

Key words: community; eudaimonistic ethics; order; freedom; equilibrium; sensibility

Author: Yin Qiping, Ph. D., is Professor of English at the School of Foreign Languages, Hangzhou Normal University (Hangzhou 310036, China). His research areas are English literature and Western literary theories (Email: qipyin@hotmail.com).

　　近年来，关于英国文学中共同体形塑的研究日渐增多，但是此项研究并未摆脱一个困境，即如何应对解构主义思潮对共同体真实性、内在性、和谐性的质疑——解构主义思潮影响所及，居然使共同体究竟是否存在成了问题。针对这一问题，笔者曾发表《西方文论关键词：共同体》一文，以梳理共同体观念的内涵和外延，并反驳了南希（Jean-Luc Nancy, 1940—）、巴塔耶（George Bataille, 1897-1962）、布朗肖（Maurice Blanchot, 1907-2003）和米勒（Joseph Hillis Miller, 1928—）等人把"共同体"等同于"独体"的观点。不过，这篇文章还有一个不足之处，即未能从幸福伦理（ethics of eudaimonia）的角度探讨共同体话题，而要走出上述困境，我们还可从历来英国文学家们对幸福伦理的探究入手。[1] 伦理和幸福宛若一对孪生姐妹，这在聂珍钊教授所梳理的伦理思想史中可见一斑：霍布斯等哲学家在"完成……从中世纪伦理思想到近代伦理思想的真正转变"时所做的一项主要工作就是"规定幸福的内容"（聂珍钊 117-119）。哲学家们是如此，文学家们更是如此。从奥斯汀（Jane Austen, 1775-1817）到乔治·艾略特（George Eliot, 1819 -1880），从狄更斯（Charles Dickens, 1812-1870）到乔治·吉辛（George Gissing, 1857-1903），再从普里斯特利（J. B. Priestley, 1894-1984）到拜厄特（A. S. Byatt, 1936—），英国文学家们都把幸福和伦理结合起来考量，并把幸福伦理看作通向共同体的一把钥匙；通过如椽之笔，一股股川流不息的诗性叙事，全都流向"秩序"与"自由"之间平衡的渊薮，而这平衡的关键在于进行幸福伦理的建构，在于以情感文化为基石而树立的社会责任感。

　　要说清"秩序"与"自由"之间的关系，还得从"霍姆斯之辩"说起。

1、霍姆斯之辩

　　跟南希等人一样，美国学者霍姆斯（Stephen Holmes）否认以黑格尔、马克思、滕尼斯、威廉斯和麦金泰尔（Alasdair MacIntyre, 1929—）为代表的、主张个人与共同体之间辩证关系的思想，即既主张个人对共同体负有责任，又主张共同体是个人全面发展的保障，就如马克思在《德意志意识形态》中所说的那样："只有在共同体中，每个人才有全面发展自己能力的手段；因此，只有在共同体中，人的自由才有可能……在真正的共同体中，个人在联合的状态下通过联合获得自由"（Marx 171）。此处，尤其值得关注的是"自由"一词——个人在共同体中分明是自由的；共同体似和谐之水，而个人则如鱼

1　详见拙文《西方文论关键词：共同体》，载《外国文学》2016 年第 2 期，第 70-79 页。

处其中。用麦金泰尔的话说，共同体模式的社会秩序不仅向社会成员提供了基本的生活福祉，而且使"厚实的自我"（thick self）牢牢地扎根于自己所在的环境，因此"既过得很好，又干得很好"（MacIntyre, *After Virtue* 139）。然而，霍姆斯不认同这样的共同体理想。他在《反自由思想的永久性结构》（*The Permanent Structure of Abntiliberal Thought*, 1989）一文中，把上述共同体图景描绘为"不真实的"，或者说是"有悖于情理的"（implausible），并把上述"个人扎根于自己所在环境"的共同体模式定性为"镶嵌性模式"（embeddedness），而这种"镶嵌"又无异于"限制"（restriction）或"遏制"（restraint）（Holmes 159-182）。用意大利学者瓦莱丽·温赖特（Valerie Wainwright）的话说，霍姆斯这样的"自由主义者把'镶嵌'阐释为限制和遏制；他们认为，一旦人们追求归属于某个团体，个人自由和个性发展等开明目标就会被丢弃"（Wainwright 110）。也就是说，在霍姆斯的词典里，共同体／秩序诉求必然意味着个人自由的丢失。

霍姆斯的"镶嵌论"可以追溯到海德格尔（Martin Heidegger, 1889-1976）的"湮没论"。后者在《存在与时间》(*Sein und Zeit*, 1927) 中提出，"自我"/"此在"(Dasein) 有湮没于"他们"（das Man）的危险；他把"此在"——即人类特有的存在体验——区分成"真实的此在"和"不真实的此在"，前者是一种独体（始终保留自己的独特性和有限性），而后者则丢失了自我，迷失／湮没于"他们"（das Man），即日常性的存在（Childers and Hentzi 70）。关于这一点，米勒曾经有过简洁的解释："对海德格尔来说，处于共同体就是迷失于'他们'，而挣脱共同体就是为了变成真实的此在，而我们本来就具备成为此在的潜在性"（Miller 13）。情形果真如此吗？共同体／秩序诉求必然意味着个人自由的丢失吗？

诚然，没有个人的自由，就无所谓共同体，反之亦然。个人自由和共同体互为依存，相辅相成，彼此之间是一种辩证的关系，这本来是一种常识，可是到了那些自命高深的哲学家／批评家手里，却成了水火不相容的东西。这种非此即彼的思维方式，究其根源，与启蒙现代性不无关系——启蒙思想家们过度依赖工具理性，过度"热衷于个人对福祉的主观感受"（Norton 10），因而使个人自由／幸福与共同体／秩序诉求截然对立，导致现代幸福观念中认知维度和伦理维度的分裂。用麦金泰尔的话说，"责任和幸福的纽带逐渐被撕裂了……原先幸福定义中的满足感，要根据主导社会生活形态的标准来衡量，而如今幸福不再根据那种满足感来界定了，而是仅仅从个人的心理感受层面来界定"（*MacIntyre, A Short History* 167）。换言之，责任本来应该是幸福伦理的核心要素，可是如今它已游离了许多现代西方人的幸福观念；在启蒙现代性语境下，自由主义者往往无视个人对社会的责任。那么，履行个人对社会的责任，追求具有良好秩序的共同体，是否就必然意味着个人自由和幸福的丧失呢？事实上，从 19 世纪至今，英国文学家们对此一直进

行着不懈的探讨。他们在想象共同体时，已经对如何保持"秩序"与"自由"之间的平衡这一问题有深入的思考。无论是 19 世纪的奥斯汀、狄更斯、乔治•艾略特和乔治•吉辛，还是当代的麦克尤恩（Ian McEwan, 1948 —）、斯威夫特（Graham Swift, 1949 —）、阿克罗伊德（Peter Ackroyd, 1949 —）和拜厄特，英国文学家们描绘了一幅幅呈现上述平衡的共同体图景，而维系这种平衡的关键在于他们所主张的幸福伦理。

为探究上述小说英国文学家们所构建的幸福伦理，我们不妨从"另一个穆勒"说起。

二、"另一个穆勒"

就"幸福"和"自由"这两个文化命题而言，英国文学史上有一个绕不过去的人物，即穆勒（John Stuart Mill, 1806-1873）。这位横跨文学和哲学两大领域的思想家通常被视为西方自由主义的鼻祖，他的《论自由》（*On Liberty*, 1859）总会被列入西方大学课程的必读书目，就像芝加哥大学的卡汉（Alan S. Kahan）博士所说的那样："假如您只能通过阅读一本书来了解现代西方文化，那么《论自由》会是一个很好的选择"（Kahan 2）。然而，正如美国学者希梅尔法勃 (Gertrude Himmelfarb) 所说，穆勒的思想还有另一面，或者说存在着"另一个穆勒"，"而对这个穆勒来说，思想自由和言论自由本身并非目的，甚至不是通向真理这一更高目标的手段；个性自由本身既不构成善，也不足以成为手段来使人类臻于完善；社会并非个人的天敌"（Himmelfarb 102）。此处的"社会"跟我们在上文中所说的"秩序"同义，因此也就是肯定了"自由"与"秩序"共存的可能性，或者说暗示了两者相辅相成的辩证关系。在这一思想的基础上，穆勒还表达了下面这一观点：

> 人们来到世上，并非为了实现某个单一目的；任何单一目的，即便完满地实现了，也不能使人幸福。（Himmelfarb 102）

这段话的关键词是"幸福"。结合前面的那段引文，我们可以这样来理解穆勒的意思：若把自由本身当作目的，人类就无幸福可言。

穆勒的上述观点在他的《自传》(*Autobiography*, 1873)—— 该书是英国文学史上公认的佳作 —— 里得到了更加生动的表述。《自传》中最富有戏剧性的事件是穆勒 20 岁那年经历的一场精神危机：他深受父亲詹姆斯•穆勒和偶像人物边沁的影响，全身心地投入了以"人类自由"为目标的社会改革，然而他突然迟疑了，甚至患上了忧郁症，其起因源于他对幸福命题的思考。他在书中这样回忆道：

> 我对自己直接发问："假设你生活中的所有目标都实现了，你所期

待的所有机构改革和思想变更都能在这一刻得以完成，你会因此而欢欣鼓舞并感到幸福吗？"一个不可压抑的自我意识清楚地答道："不！"我的心随之下沉了：支撑我生命的全部基础轰然倒塌。我全部的幸福原本都寄托于对上述目标的不懈追求。既然目标已经失去了魅力，那么对手段的兴趣又何以为继呢？我生活的意义似乎荡然无存了。（Mill 112）

　　此处，穆勒以"幸福"为标准，对边沁和老穆勒所发动的"机构改革和思想变更"——这些变革总是打着"自由"的大旗——进行了深刻反思。谓其深刻，是因为穆勒把矛头对准了边沁的"幸福原则"，即所谓"最大多数人的最大幸福"——边沁把它简单地归结为"自由放任"（laissez faire）的工商业政策、"公平竞争"和市场供求关系等（Bentham 17-20）。事实上，上述改革并未给最大多数人带来最大幸福，而是如阿诺德当年所批评的那样，造成了如下自由而无序的状况：

　　　　就在我们的自由、体格锻炼和工业才能开始得到世界的瞩目时，世界却没有因为看到我们的这些长处而表现出热爱、钦美……原因难道不正是我们那种机械的行为方式吗？我们将自由、强健的体魄和工业技术本身当作了目的来追求，而没有将这些事情同人类臻于完美的总目标联系起来……英式的自由，英式的工业，英式的强健，我们一概都在盲目地推进，我们把握这些事物时根本没有适度感、分寸感，因为我们的头脑里缺乏人类和谐发展、达到完善的理想，我们并不是在这理想的促动下开始行动，不是用理想来指导我们所做的工作。（阿诺德 145）

　　穆勒正是因为看到这种"自由"无法给世人带来幸福，所以才重新思考"幸福"的要义。经过反思，他总结出了幸福生活的要素，其中包括"阳光、空气和书籍"，以及"与人交谈"和"公共事务"所带来的欢乐（Mill 117）；他还特别强调"美感激荡下的情感状态，以及带有感情色彩的思想"，并把后者称为"情感文化"，进而从中发现了"幸福的永久源泉"（Mill 121）。

　　须特别指出的是，穆勒认定的幸福观有着坚实的伦理维度，这体现于他对"与人交谈"和"公共事务"的强调。如本文第一小节中所述，幸福伦理的核心要素是责任，而穆勒强调"与人交谈"和"公共事务"，这显然表达了两层意思：1）对他人和公共事务的高度责任感（任何社会/共同体秩序都需要这种责任感）；2）这种责任不但没有让人感到不自由，而且还给人带来欢乐。换言之，穆勒在摆脱了（前文所说的）精神危机之后，找到了通向自由与秩序之间平衡的一把钥匙，即以上述责任感为前提的幸福伦理。

　　还须进一步指出的是，上述责任感并非纯粹地为责任而责任。前文提

到，穆勒在陷入精神危机之前就是富有责任心的人，他对于社会 / 政治改革的抱负就说明了这一点，但是那时他却缺乏幸福感，因此导致他的抱负难以为继；后来之所以能重获幸福感，是因为他学会了把责任建筑在"情感文化"的基础之上，也就是使自己的责任感处于"美感激荡下的情感状态"，并"带有感情色彩的思想"。此处所说的"情感文化"原文为 "the culture of feelings"，其含义跟伯克（Edmund Burke, 1729-1797）所说的 "sensibility" 十分吻合（Burke 281），两者其实就是同义词。美国弗吉尼亚大学教授麦克甘恩（Jerome John McGann, 1937 —）曾在追溯以 sensibility 为关键词的诗学传统时提出，"情感诗学"（the poetics of sensibility）标志着"文学风格的一场革命"，[1] 但是他只在一处提到了伯克，并把后者的思想概括为"多愁善感的伯克式意识形态"（sentimental Burkean ideology），甚至把它跟"浅薄的阅读"联系在一起（MaGann 186）。事实上，伯克所提倡的 sensibility 跟浅薄的多愁善感大相径庭，他在《法国革命回想录》（*Reflections on the Revolution in France*, 1790）中有一段相关论述："真正的立法者应该心中充满情感。他应该热爱同胞，尊重同胞，并对自我保持警觉"（Burke 281）。此处，"心中充满情感"一语的原文为 "to have an heart full of sensibility"——笔者出于不得已，把 sensibility 译成了"情感"，其实它有着很丰富的含义，既指感受 / 甄别他人情感的能力和敏感性（尤指不伤害别人的感情），又指上引文字中"热爱同胞"、"尊重同胞"以及"对自我保持警觉"等品质。一言以蔽之，sensibility 意味着既有感情，又懂感情。在这一意义上，它跟穆勒所说的"情感文化"别无二致。正是这种情感文化，构成了幸福伦理所需责任感的前提。

参与上述情感文化建设的不光有穆勒，不光有伯克，还有许多其他英国文学家。这将是本文下一小节的话题。

三、情感文化：幸福伦理的关捩

幸福伦理的关捩在于情感文化。在英国历史上，无论是 19 世纪的奥斯汀、狄更斯、乔治•爱略特和乔治•吉辛，还是 20 世纪的普里斯特利，或是仍然活跃在 21 世纪的拜厄特、麦克尤恩、斯威夫特和阿克罗伊德，都用生动的文学语言参与了情感文化的建设，而这又是一种共同体形塑。

先说奥斯汀。她的名著《理智与情感》（*Sense and Sensibility*, 1811）标题中就有 sensibility 一词，目前国内一般都把它译为"情感"，但是如前文所述，它的实际涵义是情感文化。也就是说，当年奥斯汀就已经十分重视情感文化的建设。仅就《理智与情感》而言，女主人公玛丽安的情感就经历了一个成长过程，而这正折射了奥斯汀在情感文化建设方面的思考。在学界，我们常常听到有人简单地把玛丽安说成小说题目中 sensibility 的化身，进而认

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1 麦克甘恩所著《情感诗学》一书的副标题就是"文学风格的一场革命"（A Revolution in Literary Style）。

为她之所以遭受情感挫折，是因为情感过多。例如，孙致礼先生就说"玛丽安是吃了'感情有余、理智不足'的亏"（孙致礼 2）。依笔者之见，故事的寓意远非那样简单。玛丽安之受挫于初，并非因为她情感太丰富，而是因为她不太懂感情，不善于感受或甄别他人的情感。更具体地说，她起先根本就不具备察觉／甄别布兰登上校和威洛比各自真实情感的悟性 —— 布兰登真心爱她，她却感受不到这份感情的力量，而威洛比只是逢场作戏，她却真心相许。有一次，玛丽安在巴顿庄园为众人演唱，其他人都假装"听得欣喜若狂"，而"上校只是怀有敬意地听着"，此时玛丽安虽然看穿了其他人的虚情假意，但是并未察觉布兰登上校的"敬意"背后有着真情；她"非常通情达理地认为，一个三十五岁的男人可能早已失去了敏锐的情感和高度的鉴赏力。她完全可以理解上校的老成持重"（奥斯汀 31）。玛丽安未能感受布兰登蕴蓄着深情的"敬意"，皆因她本人的情感未经淬砺，以致流于浅薄。正因为如此，她跟威洛比反而几乎一见如故：

> 她问起他的读书情况，搬出了她最喜爱的几位作家，而且谈得眉飞色舞……他们有着惊人相似的兴趣。两人崇拜相同的书籍、相同的段落，一旦出现差别和异议，只要经她一争辩，眼睛一闪亮，就都烟消云散。凡是她所决定的，他都默认；凡是她所热衷的，他都喜爱。早在访问结束之前，他们就像故友重逢似地亲切交谈着。[1]（奥斯汀 40-41）

熟悉奥斯汀文风[2]的读者都能看出上引文字的反讽意味：威洛比明明是在投其所好，玛丽安却一厢情愿地以为情投意合。在这一阶段，玛丽安和威洛比都完全地按自由意志行事：玛丽安一味地想入非非，以为自己找到了知音，而不顾姐姐埃丽诺的警告，更不考虑自己可能给布兰登带来的痛苦，而威洛比则根本就是逢场作戏，寻欢取乐；他俩的行为在不同程度上都意味着对家庭／社会秩序的破坏。不过，玛丽安最终学会了反思，并选择了布兰登，这表明她的情感发生了升华，终于具备了鉴赏力；随着这一故事结局的出现，一种家庭和睦、社会祥和的秩序感也从而凸显。换言之，玛丽安的故事含有如下寓意：不经过情感的淬砺，没有人能具备上述鉴赏力，即情理交融的文化素质，而这种文化素质正是一个共同体所深为倚赖的。

在狄更斯的《艰难时世》（*Hard Times*, 1854）中，也有一个威洛比式的人物，即哈特豪斯。后者跟前者一样，是个只顾个人自由、不顾他人感受的人，或者说是个置权利／欲望于责任之上的人。对这样的人来说，自由的确与秩序格格不入，因而也就毫无幸福伦理可言。那么，问题也就来了：人总是有欲

1　笔者根据原文，对译文的个别文字作了更动。
2　奥斯汀惯用"戏剧反讽"（dramatic irony），即现实是一回事，而故事人物对现实的理解又是一回事，两者往往大相径庭，甚至截然相反。

望 / 意愿的，而意愿 / 自由难免跟责任 / 秩序发生矛盾，这难道就意味着两者必然形同水火，不能相容吗？狄更斯自有其思考，或者说找到了答案——他刻画了两位与哈特豪斯形成鲜明对照的人物，即具有高度社会责任心的西丝和蕾切尔。用意大利学者温赖特（Valerie Wainwright）博士的话说，"哈特豪斯的恶意皆由冲动所致，纯属心血来潮，因而于秩序有百害而无一利，而由西丝和蕾切尔作为化身的善意则既有自由，又有约束"（Wainwright 119）。温赖特此处把人性的意愿分成了两类，一类是"恶意"（wanton will），另一类是"善意"（good will）。言下之意，只要有善意，自由与秩序即便发生矛盾，也是可以化解的，或者说人的自由是能够与秩序保持平衡的。温赖特的这一见解受益于美国普林斯顿大学哲学教授法兰克福（Harry Frankfurt）的启发。后者把有理性的人分成了两类，一类是"有理性的恣意妄为者"（the rational wanton），另一类是普通"理性施动者"（rational agents）："有理性的恣意妄为者不同于其他理性施动者，前者只顾自己的意愿，而不关心其是否可取。他根本就无视这样一个问题: 他的意愿会变成什么？"（Frankfurt 16-17）在《艰难时世》中，哈特豪斯从不问问自己的意愿是否可取，但是西丝和蕾切尔则相反——她们虽然也有强烈的个人意愿，但是在与他人利益或社会秩序发生矛盾时，她们总能妥善地予以化解。限于篇幅，我们仅以西丝为例：西丝被父亲送到葛擂硬的学校去念书，但是她发现那座学校简直就像监狱，因而产生了"想要逃离的强烈冲动"（Dickens 95）；然而，这种追求自由的愿望却受制于一种更强烈的愿望，即想要让父亲安心——父亲含辛茹苦地把她养大，一心指望她能上学成才，而中途辍学必然会使父亲伤心。换言之，西丝对父亲的爱（包括她对父亲的责任感）是一种更强烈的意愿，促使她战胜了一己私欲。必须指出，不无悖论的是，西丝限制自己自由的意愿其实是自由的，或者说是一种更大的自由。用小说叙述者的原话说，"这种限制是自我强加的"（Dickens 95），因而是一种自由选择，反倒使她获得了幸福，而且是伦理意义上的幸福。

简而言之，西丝的故事生动地演绎了一种幸福伦理观，即一个人能够通过限制自身的自由，付出爱心，来履行责任，从中获得幸福感，进而在更高的境界上实现自由与秩序的平衡。这种幸福伦理观也体现于乔治·爱略特的作品，尤其体现于她所著《米德尔马契》(*Middlemarch*, 1871-1872) 中多萝西娅和利德盖特在履行责任方面所表现出来的不同特点。从表面上看，萝西娅和利德盖特都不会逃避责任，但是他俩在履行责任时的心态却有不同。就利德盖特而言，一个典型的事例发生在他救助银行家布尔斯特罗德之时：在一次市政会议上，布尔斯特罗德贪赃枉法的丑行败露，身心崩溃的他站立不稳，此时作为医生的利德盖特立即起身去搀扶他，"但是他的这一举动此刻竟夹杂着难言的苦涩……可怜的利德盖特只是出于道德心，无奈地护送布尔斯特罗德先生回到了银行……"（Eliot 783-784）此处值得留意的是"无奈地"一词，

它表明利德盖特虽然在表面上履行了职责，却没有幸福感。这就又把我们带回到了前文所提的问题：履行个人对社会／他人的责任，是否就必然意味着个人自由和幸福的丧失呢？利德盖特和布尔斯特罗德的故事似乎给出了肯定的回答。然而，《米德尔马契》中还有一起与此相对照的事例，即多萝西娅帮助罗莎蒙德（利德盖特之妻）的事例。当罗莎蒙德与利德盖特的婚姻出现了裂缝之际，多萝西娅决定帮助他们和解，但是就在这过程中却发现罗莎蒙德跟威尔（多萝西娅的恋人）有一些暧昧的举动，这使她陷入了痛苦，不过她最终仍然鼓起勇气，满怀热情地去找罗莎蒙德谈心，澄清了后者与利德盖特之间的误会，而自己也从中获取了幸福感。书中关于她鼓足勇气之前的描写一连用了两个"迫使自己"（forcing herself）这一词语来形容："她现在又把昨天上午的事情从头至尾地回顾了一遍，迫使自己审视当时的每一个细节，思考这些细节可能意味着什么。难道那一幕只涉及她一个人？只是她一个人的际遇吗？她迫使自己把整个事件跟另一个女人的生活结合起来考虑……"[1]（Eliot 845）这两个"迫使自己"表明，多萝西娅是主动而积极的（英语原文用的是主动语态），而上文中的利德盖特则是消极被动的（英语原文 "was forced to" 用的是被动语态）。从这一对比中，爱略特的幸福伦理观再也清晰不过：一个人在履行责任时是否有幸福感，关键在于他／她是否出于积极主动。

以上分析表明，幸福伦理的前提是情感文化，即以懂感情、有善意、尊重人、有爱心为内涵的 sensibility。这既是一种深切的感受力，又是一种无私的想象力，或者说是一种设身处地为他人着想的情愫，而这正是任何共同体的立足之本。从这一意义上说，弘扬情感文化，就是从事共同体想象。在爱略特和狄更斯之后，书写情感文化——亦即共同体形塑——的传统从未消失，一直延续至今。例如，在乔治·吉辛的《文苑外史》（*New Grub Street*, 1891）中，情趣高雅的毕芬因生活所迫而选择自杀，但是他即便在万念俱灰之际，仍然想到了别人——为了不连累房东，他选择了人烟稀少的森林作为自杀场所（Gissing 436-437）。又如，在普里斯特利的《好伙伴》（*The Good Companions*, 1929）中，特兰忒小姐依靠爱心、友情和事业心来管理歌舞剧团，她赔上了所有的积蓄，换来了剧团成员们同甘苦、共患难的生机，因此获得了莫大的幸福感。再如，阿克罗伊德在《英国音乐》（*English Music*, 1992）中描写了哈库姆先生、玛格丽特和伯登等小人物，他们常常互相帮助，并且只要"发现大家都在一起"，就能"突然找到通向幸福的秘诀"（Ackroyd 56）。无论是哈库姆等人的"幸福秘诀"，还是特兰忒小姐寻找幸福感的方式，或是毕芬选择自杀场所的举止，都显示着伦理维度，而其中又都融入了前文所说的想象力，即设身处地为他人着想的悟性。可以说，如今英国文学家们比以往更强调想象力的重要性。布克奖得主斯威夫特就认为小说创作"全是关于想象，即设身处地想象他人……我们至少要努力想象其他

1　此处的黑体为笔者所加。译文参考了项星耀的译本（人民文学出版社 1987 年版）。

人的生活是怎样的；假如不这么做，我们就会失败，不光做人失败，而且导致社会的失败 "（Swift 155）。另一位布克奖得主麦克尤恩也说，他写小说的目的就是 " 展示设身处地想象他人的可能性……人之所以会残酷，就是因为缺乏想象力 "(Atonement 3)。这种想象力显然是 sensibility/情感文化的前提。

还须强调的是，情感文化层面的想象力往往表现为得体的言行举止。当代英国小说家拜厄特就曾把 " 得体 "（decorum）提到构筑 " 人类共同体 "（the human community）的高度，这在她关于自己父亲临终前情形的一段描述中说得很明白（她父亲死于一家荷兰临终医院，那里的医生和护士都言行得体，举止文雅）：" 我想我看到的是一个很复杂的人类共同体意象。这个共同体的维系体现于得体的言行、良好的举止；当人们相互传递精心烹调的食物时，或是周到而体贴地相互交谈时，或是恪守某些规矩时，共同体就得以维系了。……我指的是修养，是良好的举止，这些非常、非常重要 "（Byatt 5-6）。拜厄特关于 " 得体 " 的见解，不仅溶入她自己的作品中，而且代表着英国文学 / 文化中一个较为悠久的思想传统——鉴于笔者已在《英国文学中的会话与共同体形塑》[1] 一文中曾经对此有所论述，此处不再赘述。本文所要强调的是，我们在讨论作为幸福伦理前提的情感文化时，" 得体 " 不失为一条贯穿其中的重要线索。

结　语

要探究英国文学中的共同体书写，可以从幸福伦理这一角度入手。两百多年以来，英国文学史上不乏有关幸福伦理的诗性叙事，后者有一个共同的旨归，即共同体形塑。进一步说，能否理解英国文学中幸福伦理与共同体之间的关系，关键在于能否捕捉以情感文化为基石的责任感。哲学家们或许有更宏大的 " 幸福话语 " 和 " 共同体话语 "，但是文学中的相关叙事和画面不容忽视，甚至会更生动，更富有诗意，更具有感染力。

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伍尔夫《达洛维夫人》的伦理选择和中国之"道"
Ethical Choice in Virginia Woolf's *Mrs. Dalloway* and Chinese "Way"

高奋（**Gao Fen**）　　陈思（**Chen Si**）

内容摘要：弗吉尼亚·伍尔夫的《达洛维夫人》以生与死、健全与疯狂并置的方式表现她为第一次世界大战后的西方社会所作的伦理选择，体现出用中国之"道"反观西方文明的特性。她汲取同时期英国哲学家伯特兰·罗素对中国之"道"的论述，在小说中并置不同类型人物的处世之道，用伊丽莎白·达洛维、理查德·达洛维、萨利等人物所体现的顺其自然、无欲无争的"无为"之道，反照彼得、基尔曼等人物所体现的强制、主宰的"独断"之道给人带来的痛苦；用克拉丽莎·达洛维所体现的"柔弱胜刚强"、"无为"和"慈爱"等"贵生"之道，反照出赛普蒂莫斯所体现的"理想"和"绝情"的"无情"之道给生命带来的毁灭性打击。伍尔夫最终阐明"以生命为本"、"尊重生命"和"联结生命"的尊爱生命伦理观，表现了中西融合的伦理取舍。

关键词：弗吉尼亚·伍尔夫；《达洛维夫人》；道；伦理选择

作者简介：高奋，浙江大学外国语言文化与国际交流学院教授、博导，主要从事英美文学研究。陈思，浙江大学外国语言文化与国际交流学院博士研究生，主要从事英国文学研究。本文为国家社科基金项目《英国形式主义美学及其文学创作实践研究》（项目编号：14BWW006）的阶段性成果。

Title: Ethical Choice in Virginia Woolf's *Mrs. Dalloway* and Chinese "Way"

Abstract: In *Mrs. Dalloway*, Virginia Woolf juxtaposes life with death, sanity with insanity, to demonstrate her ethical choice for the Western society after WWI, which implies her critique of the Western culture from the perspective of Chinese "Way." Based on her contemporary philosopher Bertrand Russell's view of Chinese "Way," Woolf apposes different ways of life through different characters in the novel: Elizabeth Dalloway, Richard Dalloway and Sally embody the way of "let nature take its course" and "unselfish and uncontested," in contrast, Peter Walsh and Kilman represent the way of self-assertion, possession and domination, which brings pain to their friends and themselves. Clarissa represents the way of "cherishing life," holding the truth of "softness prior to hardness," "production without possession" and "love," on the contrary, Septimus demonstrates the way

of "idealism," "ruthlessness" and "heartlessness," which defeats his life. Woolf illustrates her life ethics of "life-orient," "life-esteem" and "life-unification" through unifying Western and Eastern ethics.

Key words: Virginia Woolf; *Mrs. Dalloway*; Way; Ethical Choice

Author: Gao Fen is professor of English at School of International Studies, Zhejiang University (Hangzhou 310058, China). Her major research area is British and American literature (Email: gfed2002@163.com). **Chen Si** is a doctoral candidate at School of International Studies, Zhejiang University (Hangzhou 310058, China). Her research area is British literature (Email: c80s@163.com).

20 世纪英国女作家弗吉尼亚·伍尔夫（Virginia Woolf, 1882-1941）在构思小说《达洛维夫人》（*Mrs. Dalloway*, 1925）时曾这样阐明其创作意图，"我要描写生命和死亡，健全和疯狂；我要批判社会体制，以最强烈的形态揭露它的运行"（*Dairy* 248）。她在创作意图中所表明的"双重性"和她在小说中将主要和次要人物的处世之道和生死之道并置的"双重性"，表明她的作品隐含着伦理选择。

一直以来，中西批评界很少关注《达洛维夫人》中的伦理取向。批评家在论析这部作品的"双重性"时大致持两种观点：对立论与和谐论。前者认为，《达洛维夫人》表现两种对立观点之间的斗争，比如"两种对立的适应世界方式之间的本质的、辩证的斗争"（Harper 127）、"两种生命观之间的对立"（Fleishman 94）。后者认为，《达洛维夫人》中的对立观点是和谐统一的，比如 J. 希利斯·米勒的观点就颇具代表性，他认为小说中的人物共享一个无所不知的叙事人，他代表"一种普遍意识或者社会思绪"，发挥着将多个人物的意识流整合为一个整体的作用（388）；另有批评家认为，作品"揭示了和谐是如何被领悟和被建构的"（Caughie 75）。对立论与和谐论均以作品的意识流叙事形式为研究对象，其优势在于用共时研究揭示了对立观念的内涵，阐明了它们的差异性或共通性，以及冲突或融合的方式；其局限在于忽视了作品的特定历史背景，忽视了观念冲突中隐含的善恶选择和批判性反思。实际上，文学旨在表现并揭示人的本质，它以辨明善恶的伦理选择昭示对"人的本质的选择"（聂珍钊 35），它是作品最震撼人心的关键之所在，隐在地主导着作品的走向，决定着不同观念的真正价值。与对立观、和谐观的静态共时研究相比，伦理选择研究融历时研究与共时研究为一体，能充分揭示思想的动态变化和本质意蕴。

伍尔夫相信文学是伦理道德的表现，发挥着心灵教诲的作用。她将作家分为两类，一类像牧师，手拉着手将读者领进道德殿堂，华兹华斯、雪莱属于这一类；另一类"是普通人，他们把教诲包藏在血肉之中，描绘出整个世界，不剔除坏的方面或强调好的方面"，乔叟属于后一类，他将道德融入

人们的生活中，作者没说一个字，却能让读者深深地感悟到人物的道德观。伍尔夫认为再没有比乔叟这样的描写"更有力的教诲"（"The Pastons and Chaucer" 31）了。她的《达洛维夫人》便是典型的将伦理道德融入生活的作品。《达洛维夫人》创作于 1922-1924 年间，当时第一次世界大战刚结束不久，欧洲许多思想家、文学家都沉浸在对西方文明的反思和批判中。他们中很多人将目光转向东方，翻译中国典籍，论析中西文明的异同，罗素的《中国问题》就是代表作之一。《达洛维夫人》正是在这样的氛围中写成的，体现出用中国之道反观西方文明的特性。

近年来，中西学者已开始关注伍尔夫与中国文化的关系问题。帕特丽莎·劳伦斯（Patricia Laurance）在《伍尔夫与东方》（*Virginia Woolf and the East*, 1995）和《丽莉·布里斯科的中国眼睛》（*Lily Briscoe's Chinese Eyes*, 2003）中论述了以伍尔夫为核心成员的英国布鲁姆斯伯里文化圈与中国"新月派"诗社的文化交往关系[1]。高奋在《弗吉尼亚·伍尔夫的"中国眼睛"》（2016）中考证了伍尔夫与中国文化的关系，指出伍尔夫作品中的三双"中国眼睛"分别体现了她对"中国式创作心境、人物性格和审美视野的感悟"（128）。若能进一步深入探讨中国之"道"在伍尔夫作品中的深层意蕴，有益于更深层次地阐明中西思想的交融。

本论文拟探讨的主要问题是: 伍尔夫是如何接受中国之"道"的？她在《达洛维夫人》中如何以中国之"道"为镜，反思和批判西方伦理观？她的伦理选择体现了怎样的内涵和价值?

一、中国之"道"的西渐与伍尔夫的接受

中国之"道"作为一种抽象理念，主要是通过中国典籍的外译而进入欧洲思想界和文艺界的，其中影响最大、传播最广的典籍是老子的《道德经》。大约在 18 世纪中叶,西方传教士和汉学家卫方济、傅圣泽、雷慕萨等相继将《道德经》翻译成拉丁文、法文; 19 世纪，《道德经》的德文本和俄文本陆续出现。最早的英译本出现在 19 世纪 70 年代，1884 年伦敦出版巴尔弗的《道书》，1891 年理雅各的《道书》译本在牛津出版; 20 世纪初出现多种《老子》英译本，已有译本也大量重印。在 20 世纪的诸多英译本中，亚瑟·韦利 1934 年的译本影响最大（老子，前言 31-32）。

20 世纪初期，尤其是第一次世界大战后，欧洲各国学界对中国之"道"表现出异乎寻常的热切关注。比如，1919 年德国汉学家、诗人克拉邦德（Klabund) 提倡西方将道家思想运用于生活,"把他之所以能克服悲伤，归于自己成了道的孩子，懂得了生死同一的道家学说"（卫茂平 388）。1925 年英国小说家毛姆（Maugham）发表小说《面纱》，借小说人物诠释他作为一

1　详见 Patricia Laurence, *Lily Briscoe's Chinese Eyes: Bloomsbury, Modernism and China* (Columbia: University of South Carolina Press, 2003), Patricia Laurence, *Virginia Woolf and the East* (London: Cecil Woolf Publishers, 1995).

名西方作家对 " 道 " 的理解：" 道（Tao) 就是道路及行人 " (228)。德国哲学家海德格尔（Heidegger）在《海德格尔全集》第 75 卷中引用《道德经》第十一章 " 三十辐共一毂 " 来讨论存在，并将其称为 " 箴言 "（43）。1930 年瑞士心理学家荣格指出 " 道 " 对西方的重要意义，" 在我看来，对道的追求，对生活意义的追求，在我们中间似乎已成了一种集体现象，其范围远远超过了人们通常所意识到的 "（255）。

　　欧洲学界对 " 道 " 的译法各不相同，大致体现了从归化走向异化的翻译取向，显现出西方对 " 道 " 的接受方式的渐变。早期翻译大都将 " 道 " 转化为西方文化价值观；现代翻译大都保留 " 道 " 的中国文化特色。比如在 18 世纪末的拉丁文译本中，" 道 " 被译作 " 理 "；19 世纪初，法国汉学家雷慕萨（Rémusat）在编译《道德经》时，将 " 道 " 对应于 " 逻各斯 "；然后，儒莲（Julien）忠实于中文注释，将 " 道 " 译为 " 路 "（卜松山 76）。19 世纪末英国汉学家理雅各（James Legge）在《道书》（1891）中将 " 道 " 大部分音译为 "Tao"，但也有部分意译为 "way"，如第 59 章中的 " 长生久视之道也 " 译为 "this is the way to secure that its enduring life shall long be seen"（Lao Tse 109）。20 世纪汉学家亚瑟·韦利（Arthur Waley）将 " 道 " 大部分译成 "way"，比如《道德经》第一章第一句译为 "The Way that can be told of is not an Unvarying Way"(道可道，非常道）（老子 3）。

　　伍尔夫对中国之 " 道 "（way）的认识经历了从了解到领悟两个阶段。布鲁姆斯伯里文化圈成员、汉学家亚瑟·韦利是伍尔夫了解中国之道的重要来源，伍尔夫曾在《奥兰多》（*Orlando*，1926）序言中特别感谢韦利，" 无法想象亚瑟·韦利的中国知识竟如此之丰富，我从中获益良多 "（5）。伍尔夫的藏书中有韦利出版于 1918 年的《170 首中国古诗》（Laurence 164），韦利在该书的自序中写道：" 道 (Tao)，即自然之道（Nature's Way），相当于佛教的涅槃，基督教神秘教义中的上帝 "（14）。布鲁姆斯伯里文化圈的另一重要成员，英国哲学家伯特兰·罗素（Bertrand Russell) 是伍尔夫了解中国文化和思想的另一重要来源。1922 年罗素在论著《中国问题》（1922）中解析老子的 " 道 " 的内涵时，将 " 道 " 与西方《圣经》作比照，" 每个人、每只动物和其他世界万物都有其自身特定的、自然的处世方式或方法（way or manner），我们不仅应该自己遵从它，也要鼓励别人遵从它。' 道 '（Tao）指称 ' 道路 '（way），但含义更为玄妙，犹如《新约》中 ' 我是道路（Way）、真理（Truth）和生命（Life）' 这句话 "（188）。罗素是伍尔夫的长辈，她阅读他的著作，曾多次在随笔、日记中提到他。她在随笔《劳动妇女联合会的记忆》中为妇女罗列的阅读书目就包括罗素的《中国问题》（69）。此外，伍尔夫曾阅读《聊斋志异》译本，大量阅读英美作家撰写的东方故事，撰写了《中国故事》、《东方的呼唤》等多篇随笔，论述她对中国文化的领悟，以及对中国人宁静恬淡性情的喜爱（高奋 121-26）。

伍尔夫小说中对中国的描写体现了由表及里的过程。在小说《远航》（1915）中，中国作为一个远东国家被提到；在《夜与日》（1919）和《雅各的房间》（1922）中，出现有关中国瓷器、饰物的描写；在《达洛维夫人》（1925）和《到灯塔去》（1927）中，两位重要人物伊丽莎白·达洛维和莉莉·布利斯科都长着一双"中国眼睛"。从笼统的地理概念到具体的文化物品，再到传达情感和思想的眼睛，伍尔夫对中国的领悟逐渐进入思想层面。伍尔夫像罗素、韦利等学者作家一样，"把目光转向东方，希望在东方文化，尤其是中国哲学文化中找寻拯救欧洲文化危机的出路"（葛桂录 379），《达洛维夫人》是她以中国之"道"为镜，反观西方文化，表现其伦理取舍的典型作品。

二、中西之"道"的并置与伦理批判

《达洛维夫人》的显性和隐性结构均体现"道"（way）的喻意。小说的显性结构包含两条平行发展的"伦敦街道行走"的主线：一条表现克拉丽莎·达洛维与亲朋好友，从一早上街买花到盛大晚宴结束的一天活动；另一条表现赛普蒂莫斯·史密斯与妻子行走在伦敦街道，找医生看病，直至赛普蒂莫斯傍晚跳楼自杀的一天活动。两群人互不相识，但他们同一时间在相近的伦敦街道行走，几次擦肩而过。小说的隐性结构是由"道"（way）这一关键词所编织的网状结构构成的。小说中"way"这一单词共出现 73 次，比较匀称地用于主、次要人物的性格和言行描写，也用于描写社会和大自然的运行之道。这 73 个"way"就像飘在水面上的浮标，标示出人物的处世方式和生命态度，浮标的下面连接着人物的意识流大网。这是伍尔夫最欣赏的俄国作家陀思妥耶夫斯基的灵魂描写模式：它用"海面上的一圈浮标"联结着"拖在海底的一张大网"，大网中包含着深不可测的灵魂这一巨大的"海怪"（"More Dostoevsky" 84）。不过《达洛维夫人》中的"way"浮标连接的是不同人物的意识并置，与陀氏的深度灵魂探测略有不同。

整部小说是由多个人物的心境纵横交叉所构成的巨网，充分展现"生命和死亡，健全和疯狂"（Woolf, *Dairy* 248）的对抗与连接，但人物的心境各不相同："人人都有自己的处世方式"（Every man has his ways）(31)。伍尔夫将人物的伦理道德融入他们的处世方式之中，用并置方式展现，然后从克拉丽莎的视角作出伦理批判。人物并置的模式有两种：

1）不同处事方式的并置：以克拉丽莎的态度为分界线，她所赞赏的伊丽莎白、理查德·达洛维和萨利·西顿三人，与她所批判的彼得·沃尔什、多丽丝·基尔曼二人，其处世之道并置，前者体现中国的"无为之道"，后者体现西方的"独断之道"。

2）不同生命之道的并置：克拉丽莎（生命之道）与赛普蒂莫斯（死亡之道）并置，前者体现中国的"贵生之道"，后者体现西方的"无情之道"。

一）以"无为之道"反观"独断之道"

老子《道德经》中的"无为之道"，既是社会治理之道，也是个人处世之道，其主要内涵有二：1）顺其自然。老子认为，"是以圣人处无为之事，行不言之教；万物作而弗始，生而弗有，为而弗恃，功成而弗居"（4）[1]。有道之人以"无为"的态度来处理世事，让万物兴起而不加倡导；生养万物而不据为己有，作育万物而不自恃己能，功业成就而不自我夸耀。无为，就是让万物自由生长而不加干涉，一切随顺。2）无欲无争。老子说"'道'常无为而无不为……不欲以静，天下将自正"（74）。"道"永远是顺其自然的，然而没有一件事情不是它所作为的……不起贪欲而归于安静，天下自然走上正常的轨道。无为，就是无欲。

伊丽莎白·达洛维、理查德·达洛维和萨利·西顿三个人物均表现出顺应天性、无争无欲的处世之道，体现"无为"之道的特性。

伊丽莎白，克拉丽莎和理查德的女儿，她的处世方式是"趋向消极"（inclined to be passive）(149)[2]。她是一位"黑头发，白净的脸上长着一双中国眼睛，带着东方人的神秘色彩，个性温和、宁静、体贴"（135）的女孩。她喜欢"自由自在"（149）；喜欢"住在乡村，做她自己喜欢做的事"（148）；她推崇"友善，姐妹之情、母爱之情和兄弟之情"(152)。伊丽莎白的"消极"处世方式在小说中是一种人人喜爱的品性。她母亲克拉丽莎觉得伊丽莎白"看上去总是那么有魅力"（149）；她的家庭教师基尔曼虽然对世界充满仇恨，却"把她看作露天中的小鹿，林间空地里的月亮"（149）；亲朋好友们将她比作"风信子、幼鹿、流水、百合花"（148）。伊丽莎白自由自在、无欲无争的性情，体现的是老子的"无为"之道。老子相信，"无为"之所以有力量，是因为"无有入无间"（88），无形的力量能够穿透没有缝隙的东西。这也正是伊丽莎白获众人喜爱的原因：她像大自然那样自在地显露天性，无争无欲，尽显善意。众人被她的美丽和单纯折服，视其为自然之化身。

理查德·达洛维的处世方式是"客观明智"（matter-of-fact sensible way）（83），同样展现"无为"的处世方式。"他是一个十足的好人……无论承诺了什么事，他都会以同样的客观明智的方法去完成，不掺杂任何想象，也不使用任何心机"（83）。"他性情单纯，品德高尚……依照自己的天性在下议院中维护受压迫民众的权益"（127）。他处世方式的亮点在于，始终用自己的天性去看待事物，顺其自然处理事物，不掺杂偏见和欲念。他所达到的境界就是老子所说的，"为无为，事无事，味无味"（128），以无为的态度去作为，以不搅扰的方式去做事，视恬淡无味为味。

1 老子《道德经》原文和英文均引自：老子：《老子》，亚瑟·韦利英译，陈鼓应今译，傅惠生校注。长沙：湖南人民出版社，2007 年。此后只标注页码，不再一一注明。
2 《达洛维夫人》小说的引文均出自 Virginia Woolf, *Mrs. Dalloway* (London: Penguin Group, 1996), 均为自译。此后只标注页码，不再一一注明。

萨利·西顿的处世方式是"我行我素，绝不屈服"（gallantly taking her way unvanquished）（41）。她作为克拉丽莎的闺蜜，在一次散步中忽然吻了她一下，被彼得看见了，"而萨利依然我行我素，绝不屈服。她哈哈大笑"（41）。她喜爱花道，颇具超凡脱俗的东方神韵："萨利有神奇的魅力，有她自己的天赋和秉性。比方说，她懂花道（way with flowers）。"(38)。萨利一直"我行我素"：她一文不名地离开家庭，独立生活；她嫁给自己喜爱的商人，生了五个孩子，全然不顾世俗偏见。她生性快活，依循天性自在地生活，大体上属于老子所说的"上德无为而无以为"（76），顺其自然而无心作为的有德之人。

伊丽莎白、达洛维先生、萨利三人共同的处世原则是依照天性、顺其自然和无争无欲；他们从不用自己的观念去强迫和压制他人。他们是伍尔夫笔下"健全"的人。与他们相对的是"疯狂"的人，他们试图以各种名义去压制和改变他人，给他人带来困扰和痛苦。彼得·沃尔什和多丽丝·基尔曼便是这类人物。前者以爱情的名义，用各种方式伤害恋人克拉丽莎，导致恋情破裂；后者以宗教的名义，仇视世界，伤害他人，自己也陷入痛苦深渊。

罗素在《中国问题》中对比中西文化时，曾这样说："老子这样描述'道'的运作，'生而弗有（production without possession），为而弗恃（action without self-assertion），功成而弗居（development without domination）'，人们可以从中获得关于人生归宿的观念，正如善思的中国人获得的那样。必须承认，中国人的归宿与大多数白人所设定的归宿截然不同。'占有'（possession）、'独断'（self-assertion）和'主宰'（domination）是欧美国家和个人趋之若鹜的信念"（194）。如果说伊丽莎白、达洛维、萨利具有"生而弗有，为而弗恃，功成而弗居"的中国之道的特性，那么彼得和基尔曼所操持的正是西方文明所推崇的"占有"、"独断"和"主宰"的信念。

彼得·沃尔什的处世方式是"对抗"（be up against）（52）。他用自己的观点去对抗社会、习俗和所有人，"我知道我对抗的是什么，他一边用手指抚摸着刀刃一边想，是克拉丽莎和达洛维以及所有他们这样的人"（52）。他被牛津大学开除，遭遇各种挫折，一生都很失败。他与克拉丽莎相爱，却不断指责她"懦弱、无情、傲慢、拘谨"（66），"用一切办法去伤害她"（69）。克拉丽莎认为他很愚蠢，"他从不遵从社会习俗的愚蠢表现，他的脆弱；他丝毫不理解别人的感受，这一切使她很恼火"（52）。他也觉得自己很荒谬，"他向克拉丽莎提出的许多要求是荒谬的……他带给她许多痛苦。她原本会接纳他，如果他不是那么荒谬的话"（70）。彼得体现了"独断"信念的某种后果。

基尔曼的处世方式是"自我中心主义"（egotism）（146）。"她知道是自我中心主义导致她一事无成"（145-46），但是她觉得"这个世界鄙视她，讥讽她，抛弃她，给了她这种耻辱"（142）。"她心中激起一种征服的欲望，要战胜她，撕碎她的假面具"（138）。"控制"和"主宰"是她个性中最主

要的特征。

　　伍尔夫通过克拉丽莎的意识流，对彼得和基尔曼以爱情和宗教的名义，独断专行地去占有和征服他人的行为作出激烈的伦理批判。"爱情和宗教是世界上最残忍的东西，她想，看着它们笨拙、激动、专制、虚伪、窃听、嫉妒、极度残酷、肆无忌惮，穿着防水布上衣，站在楼梯平台上"（139）。他们的可怕之处在于，他们从不尊重生命，从不理会生命的差异，从不知道他们正在毁灭最美好的东西——人的生命本身。

　　通过两组人物的并置，伊丽莎白、达洛维、萨利所代表的'生而弗有，为而弗恃，功成而弗居'，与彼得和基尔曼所代表的"占有"、"独断"和"主宰"，两种处世之道的利弊不言自明。无为之道的根基是善，它的立场是利人利己，因而人人和谐相处，人人各得其所。独断之道的根基是一种偏狭的善，它的立场是利己损人，只能导致对立和冲突，结果是害人害己。仇恨、冲突、战争是独断之道的产物。

　　二）以"贵生之道"反观"无情之道"

　　老子倡导珍爱生命，他从生命本质、处世原则、生命法则和生死关系等多个方面突显了呵护生命的"贵生之道"：1）生命的本质是"柔弱胜刚强"。老子从鲜活的身体是柔弱的，生机勃勃的草木是柔脆的这些生命现象出发，阐明生命的属性即柔弱，死亡的属性即刚硬，进而提出"柔弱胜刚强"的生命本质："人之生也柔弱，其死也坚强。草木之生也柔脆，其死也枯槁。故坚强者死之徒，柔弱者生之徒"（154）。2）处世的原则是"无为"。"故'道'生之，'德'畜之；长之育之；亭之毒之；养之覆之。生而不有，为而不恃，长而不宰。是为'玄德'"（104）。也就是说，道生成万物，德蓄养万物；使万物成长发育；使万物成熟结果；对万物抚养调理。生成万物却不据为己有，兴作万物却不自恃已能，滋长万物却不加以主宰。这就是最深的德。3）生命的法宝是"以慈卫之"。老子指出保全生命的三大法宝是，慈爱、俭朴、不敢为天下先。慈爱赋予勇气，俭朴带来宽广，不敢居天下先才能成为万物之首。"我有三宝，持之保之。一曰慈，二曰俭，三曰慈不敢为天下先，慈故能勇；俭故能广；不敢为天下先，故能成器长"（136）。4）生死的关系是"死而不亡者寿"。"不失其所者久。死而不亡者寿"（66）。不迷失本性的人活得长久，身体死亡后不被人忘记是真正的长寿。

　　老子所阐释的生命以柔弱、无为、慈爱、死而不亡为特性，在《达洛维夫人》中得到了生动的描写，主要体现在克拉丽莎的生命之道上。

　　克拉丽莎的处世之道是"慈爱"："她的态度中有一种自在（ease）、一种母爱（something maternal），一种温柔 (something gentle)"（69）：1）她的慈爱表现为对自我生命的珍爱。她凭直觉感悟到生命的脆弱，常常有"危机四伏"（11）的感觉，因而果断拒绝不断伤害她的恋人彼得，嫁给了个性

宽厚的达洛维，她明白彼得的极度嫉妒会"毁了他们两人"（10）。2）她的慈爱表现为对他人的"无为"善意。面对彼得的伤害，她除了偷偷哭泣和主动割断恋爱关系之外，从未批驳或反击彼得，而是努力保持对他的善意和友情。面对基尔曼出于宗教信仰的仇恨目光，她虽然大为震惊，但尽量让自己明白，她恨基尔曼的思想而不是她本人，因此将仇恨化为"哈哈一笑"（139）。但是，她内心始终严厉批判用爱情和宗教指责和压制他人的行为，认为它们最大的危害是毁灭生命本身："生命中有某种神圣的东西，不管它是什么，但是爱情和宗教却要毁掉它，毁掉灵魂的隐私"（140）。她为此发展出一套无神论准则："为善而行善"（87）。3）她的慈爱表现为对生命和世界的热爱。她善待彼得和基尔曼即使他们伤害她，因为她爱他们，她明白每个个体都有自己的生存方式，她不能侵犯他们。她热衷于举办家庭晚会，因为她热爱生命："他们都想错了。她喜欢的不过是生命本身。这就是我办晚会的原因"（134）。4）她对生死关系有一种本能的理解，类似老子的"死而不亡者寿"。她问自己："她的生命某一天会终结，这要紧吗？"她的回答是："在伦敦的大街上，在世事的沉浮中，这里，那里，她会幸存下去……她像薄雾一样飘散在她最熟悉的亲人中间"（11）。她相信，死亡是生命的延续，生命将以记忆的方式留存在亲朋好友的心中，死而不亡。

而赛普蒂莫斯的"死亡之道"所体现的是克拉丽莎"贵生之道"的反面，以理想、无情和绝情为主要特性：1）赛普蒂莫斯的处世之道是无情（He could not feel）(96)。他的无情表现为理想主义膨胀，心中充满"虚荣心、雄心、理想"，且急于"完善自己"（94）。他的思想与国家意志一致，但缺乏对自我天性的认知。2）他的无情表现为对生命的漠然和绝望。世界大战初期，他义无反顾地走上战场；他英勇善战，却漠然地看着亲密战友阵亡，"无动于衷"（96）。战争结束后，他经历了"巨大的恐惧"，从此彻底"失去感受力"（96）。他对生活感到绝望，认为"世界没有意义"（98），认为"人类没有仁慈，没有信念"（99）。3）他的无情表现为对生命的绝情。医生诊断他没病，于是他觉得他精神出问题是因为他对战友的死亡没感觉，他犯罪了，"人性已经判处他死刑"（101）。于是他宣布，"他要自杀"（18）。当医生要将他从妻子身边强制带走，送医院隔离治疗时，他便跳楼自杀了。

对于赛普蒂莫斯的死，伍尔夫作出了严厉的伦理批判。她批判了被医学界置入神坛的"均衡"理论，以及它所代表的"只重理性精神，漠视情感需求"的荒唐理论被神化后所产生的巨大危害。"均衡"理论坚信"健康就是均衡"（110），病人必须被隔离，不准会友、看书和发表观点。它像宗教"劝皈"一样，打着博爱、自我牺牲等幌子，"吞噬弱者的意志，将自己强加于人，将自己印刻在公众脸上，并为此而洋洋得意"（111），它的欲望是"践踏它的对手，将自己的形象不可磨灭地刻入他人的殿堂"（113）。在它的强大压力下，"一些意志薄弱的人崩溃了，哭泣屈服了；而另一些人则极度疯狂地

当面质骂威廉爵士是该死的骗子"（112）。赛普蒂莫斯属于后一种人，他不愿违反本性臣服于"均衡"理论，因而跳楼自杀了。克拉丽莎称他的"死亡是反抗"（202）。他年轻时候的思想是被他的老师点燃的，里面全都是放入神坛的理想主义思想。由于它们从未与他的自我本性相融，因而这些思想"没有活力，闪烁着虚幻、脆弱的金红色光泽"（94）。当虚幻的理想被世界大战的惨烈击碎后，他便精神崩溃了，同时丧失了他原本就发育不良的感受力，他的世界和生命变得毫无意义。伍尔夫通过克拉丽莎的意识流，"为他的自杀感到高兴"（204），认为他的死亡是"一种反抗"（202）；有了这样的反抗，人们才能推开被宗教和理性主义置于神坛的权威理论；只有这样，人们才能用自己的生命去直观感受世界。

伍尔夫这种超越神学和理性主义的思想，一方面来自 20 世纪的英国伦理学家 G. E. 摩尔的《伦理学原理》的启示。摩尔批判了自然主义伦理学、快乐主义伦理学、形而上学伦理学分别视自然、快乐、超感觉的实在为善的观点，提出"'善'是不能下定义的"的观点（摩尔 13）。摩尔的论述使伍尔夫和布鲁姆斯伯里文化圈其他学者们豁然开朗，他向他们展示了对真理、自明以及普通常识的追求，也传达了他所认可的一些价值，其中包括"纯净"（purification）（Leonard Woolf 24-25）。伍尔夫的写作风格中就流露着这种由自明、光亮和真实带来的纯净。另一方面来自中国之道带给她的启示。就如荣格所说，中国思想"不是仅仅诉诸于头脑而是同时诉诸于心灵，它给沉思的精神带来明朗，给压抑不安的情绪带来宁静。"（255）。"同时诉诸于头脑和心灵"正是伍尔夫所渴望，伍尔夫的伦理选择体现的是对善的全新诠释。

三、伦理选择

通过两组人物的处世之道和生死之路的并置和伦理批判，伍尔夫已经隐在地表明了她对无为之道和贵生之道的赞赏和对独断之道和无情之道的批判。伍尔夫作为对西方社会和思想有透彻领悟的作家，她在汲取道家思想的长处的基础上，对西方理念进行修正，提出了适合西方社会的伦理观。

她接受摩尔的伦理学原理，将伦理思考聚焦于"作为目的是善的"这一本质层面，而不是置于"作为手段是善的"这一方法论层面，前者在一切情况下都是善的，后者只有在一些情况下是善的，而在另一些情况下是恶的（摩尔 25-31）。就比如，'生而弗有，为而弗恃，功成而弗居'的信念在一切情况下都是善的，它是"作为目的的善"；而"占有"、"独断"和"主宰"等信念只有对自己是善的，对他人却是恶的，因而只能归入"作为手段是善的"。伍尔夫所做的，就是借助中国之道，将西方的伦理观提升到"作为目的是善的"这一本质层面。

伍尔夫的伦理选择是"珍爱生命"。

首先，她推崇"以生命为本"的伦理立场。她通过克拉丽莎的意识流阐明：生活的奥秘就是呵护每一个个体的天性，不要用宗教和理性去压制和毁灭它。

"为什么还需要信条、祷告词和防水布衣服呢？克拉丽莎想，既然那就是奇迹，那就是奥秘，她指的是那个老妇人……基尔曼会说她已经解开了这个至高无上的奥秘，彼得或许会说他已经解开了，但是克拉丽莎相信他们两人一点都不知道怎样解开它；其实那奥秘很简单，它就是：这是一间房间，那是一间房间。宗教解开它了吗？爱情解开它了吗？"（140-141）

生活至高无上的奥秘就是那个"老妇人"和那些居住在房间里的"生命个体"。尊重他们，让他们有尊严地活着，那是最根本的。"以生命为本"的原则体现了伍尔夫用老子的"贵生之道"对西方"真理为本"的主导观念的适度修正。

其次，她呼吁"尊重生命"的伦理原则。"人都有尊严，有独处的愿望，即便夫妻之间也存在着鸿沟；必须尊重这一点"(132)。伍尔夫表达了对维护自我尊严和自我隐私的强烈关注。只有消去"占有"、"独断"、"主宰"信念中的"好斗"的成分，学会尊重生命，那样自我意识才会对自我、他人和社会都大有裨益。"尊重生命"原则体现了伍尔夫对"无为"之道与"独断"之道的适度融合。

最后，她倡导"联结生命"的伦理实践。伍尔夫相信，生命的价值就在于感受生命本身，并为人与人的融合做出奉献：

"她称之为生命的东西对她意味着什么呢？哦，很奇怪。某人住在南肯辛顿，另一个在贝斯沃特，另一个在梅费尔，比方说。她不断感觉到他们的存在，她觉得那是多大的浪费啊，多大的遗憾啊；若能将他们聚集在一起有多好；所以她就那样做了。这是一种奉献；去联合，去创造"。（135）

而生命的幸福归根结底来自人与自然的交融。她这样揭示克拉丽莎的幸福："有一次，她在伯顿的平台上散步……突然间她惊喜地获得了幸福，在太阳升起的时候，在白日逝去的时候，没有任何快乐能与这种幸福相比"（203-04）。西方一向关注人与人的联结，而中国一向关注天与人的联结。伍尔夫将两者均视为伦理实践最重要的因素，以此获得真正的生命回归。

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记忆、欲望与伦理：艾丽丝·门罗小说集《好女人的爱情》的女性主义解读

Memory, Desire and Ethics：Feminist Interpretation of Alice Munro's *The Love of a Good Woman*

王　芳（**Wang Fang**）

内容摘要：本文从心理分析学、文学伦理学等角度对门罗的小说集《好女人的爱情》进行了解读，分析小说集对童年记忆的关注，指出门罗对父权制母性神话和伦理的颠覆，并分析小说中情欲与空间的关系。在思考女性独立的历史进程的时候，门罗一方面充分地利用女性主义的思想资源，一面又为她的人物设置独特的生活情境和伦理现实，把她们安置在与他人尤其是女性的互动关系中，记录她们的选择、对立与分歧，以及可能出现的同情或理解，有着她独特的道德判断。
关键词：门罗；《好女人的爱情》；女性主义；伦理

作者简介：王芳，文学硕士，绍兴文理学院人文学院副教授，主要从事外国文学与比较文学研究。

Title：Memory, Desire and Ethics：Feminist Interpretation of Alice Munro's *The Love of a Good Woman*
Abstract: This paper analyzes Alice Munro's short story collection *The Love of a Good Woman* from the perspectives of psychoanalysis and literary ethics, analyzes Munro's attention to childhood memory, points out Munro's subversion of patriarchal maternal myth and ethics, and analyzes the relationship between eroticism and space in this book. In thinking about the historical process of women's independence, respect to take the door to make full use of the feminist thought resources, and the character set for her unique life situation and ethical reality, put them in the interaction with others, especially women, record their choices, confrontation and differences, as well as the possible sympathy or understand, with her unique moral judgment.
Keyword：Alice Munro; *The Love of a Good Woman*; feminism; ethic

Author: **Wang Fang**, Master and Associate Professor at College of Humanities, Shaoxing University (Shaoxing 312000, China). Her research interests include Foreign literature and comparative literature (Email: 983004359@qq.com).

　　一九九八年，艾丽丝·门罗出版了小说集《好女人的爱情》[1]，斩获吉勒文学奖和全美书评人协会奖，进一步奠定了她为当代最出色的小说家之一的地位。《好女人的爱情》共八个短篇，这些小说的核心事件大多发生在 20 世纪 40-70 年代，通过复杂的多层次叙述和有限全知视角把时间跨度拉长，"叙事在几十年间来去变换，把各种类型的人物和他们的整个人生都聚集在 20 页的空间里"（Boston 32-33），时间因而成为叙述的重要构成部分，叙述者正是因为拥有时间才获得了洞察一切的智慧，得以审视 20 世纪中期以来在女性主义运动的演进中女性的自我追求历程和她们的伦理处境与命运。

一、童年记忆与伊内德的突变

　　《好女人的爱情》中散落着许多关注人物童年记忆的叙述，比如《孩子们留下》，小说讲述的是身为两个女孩的母亲鲍玲抛夫弃子跟情人私奔而去，尾声部分两个孩子已经成年，"卡特琳对于度假小屋里的夏天隐隐有一点回忆，玛拉什么都不记得了"[2]（门罗 226）。这些散落在集子里的句子显示出门罗对个体生命的延续性、整体性的关注。过去如何绵延至当下，怎样影响人的选择与命运，无疑是《好女人的爱情》中的一个突出主题。

　　《好女人的爱情》中的八个故事都有对童年记忆的关注，但是真正写到童年记忆对人的根本性影响的，是标题小说《好女人的爱情》。《好》的叙述以验光师魏伦斯先生死亡之谜驱动：他浸在池塘中的汽车和尸体如何被三个男孩发现，他们又如何在一再拖延后让公众得知。魏伦斯先生被官方确认为意外溺亡，但住家护理员伊内德，魏伦斯先生的邻居，却在自己护理的、身患尿毒症的奎因夫人那里得知另一个版本：因为怀疑二人有染，在魏伦斯先生为她检查视力的时候，她的丈夫、农夫鲁佩特突然闯进来杀死了魏伦斯先生。这段讲述辅以粗鲁的性描写，严丝密合的细节（如地板上的棕色油漆），对伊内德造成了极大的困扰。纯洁、高尚的伊内德在两天两夜没合眼后，构思了浪漫的、自我牺牲的行动计划，在奎因夫人葬礼结束后回到农场，意欲冒着生命危险劝说鲁佩特——伊内德的高中同学，她和女友们主要的捉弄对象，重逢后伊内德对他产生了温柔的情愫——去自首。但当他们并肩站在奎因夫人的病房，看到已经清理过的房间时，突然想起奎因夫人说的"扯谎"，觉得长久呆在那样的房间里——窗户上挂着厚厚的被子遮挡阳光，充满了药味、病体气味，空气停滞，闷热异常——的人，是会产生怪异想象以至于编出惊人的谎言来的。她决定保持沉默，"通过她的沉默，通过她无言的合作，将会绽放出何等的好处啊。为其他人，也为她自己"(73)。

1　为了把短篇小说《好女人的爱情》和小说集《好女人的爱情》区别开来，下文在谈到集子时保留全称，而在谈到单篇作品时，用缩写《好》。

2　艾丽丝·门罗：《好女人的爱情》，殷杲译，南京：译林出版社，2013 年。以下标出页码，不再一一说明。

伊内德的突然转变是极其意味深长的，"正是伊内德的突然转变，而不是奎因夫妇可能的勾结，成了这个故事微妙的道德手法的核心行为"（Carrington 159-70），这个"门罗式"的行动，蕴含着精神分析学、伦理学、社会学、政治经济学等复杂的内涵，构建了深邃的文本内部空间。促成伊内德突然转变的直接原因是童年记忆。在四、五岁的时候，伊内德有一天去父亲办公室，发现爸爸腿上坐了个女人，"那个女人戴了一顶装饰了无数花朵、带面纱的帽子"，她告诉了母亲："前面那两个东西里有一个塞在爸爸嘴里"。由于年幼，不知道如何说"乳房"一词，伊内德把它描述成冰淇淋蛋筒：

> 妈妈于是做了一件非常令人出乎意料的事。她解开裙子，掏出一个肤色灰暗、摊满手掌的东西。"像这样的？"她问。
> 伊内德说不是。"是像冰激凌蛋筒那样。"她说。
> "那你肯定是在做梦咯"，妈妈回答，"有时候人会做一些非常蠢的梦。别告诉爹地这事，这可太蠢了。"(门罗 72)

这个回忆表面上是为奎因夫人说谎寻找合理性，实际上却蕴含着伊内德最初的性意识及在此影响下产生的性观念，她的性别认同、价值观念等复杂的信息，为她的突变提供充足的心理学、社会学依据。年幼的伊内德把乳房描述为冰淇淋蛋筒，把性和饮食联系起来，这让人想起弗洛伊德《性学三论》中关于幼儿性欲的口唇期的相关论述，她母亲端出自己的乳房，显然强化了这种联系。目睹这一幕时伊内德四五岁，弗洛伊德认为这个年龄段是儿童性生活达到第一个高峰的时期，与此同时，他们开始表现出另一种活动，即"求知本能或者探索本能"，这个时期的幼儿会对孩子从哪里来感到着迷，会对异性的生殖器感到好奇，"一方面它的活动对应着升华了的征服欲，另一方面，它利用了窥淫癖的能量"（弗洛伊德 56）。这个时期的探索将会对成年后的对象选择产生极为重要的影响，如果受到抑制则会出现相应的病症。母亲出乎意料的暴露乳房行为和隐含贬斥的、权威的命令显然抑制了伊内德的探索本能，她陷入困惑之中，领悟到了这种"幻想"的不洁，最后归因于自己智力的欠缺。伊内德后来反复回到这种探索上来，但是是以一种看上去十分高尚的方式：住家护理员。她护理过孩子、生孩子的女人、垂死的老人等形形色色的人，但这些身体是全然被动的，无助于她理解人的主体性。

性欲的口唇期尚无明确的性欲对象，是一种自体享乐的欲望，随后的探索又受到了抑制，虽然母亲否认了父亲的背叛，但对父亲的道德疑虑却保留了下来，这解释了伊内德为什么身材丰满，容貌出众，精力充沛、性格开朗、乐于助人，却 37 岁还从未有过男女。童年的这次窥视产生的影响若隐若现，当奎因夫人问她是否觉得魏伦斯先生是自杀时，"伊尼德想起送她一朵玫瑰的魏伦斯先生。他那种半开开玩笑的殷勤令她牙齿发酸，就像吃得太甜时的

感觉。"（门罗 48）"吃得太甜"让人想起"冰淇淋甜筒"的比喻，这个带有明显性暗示的句子，指认了魏伦斯先生的性放纵，身为邻居，并且每周在一起打牌，伊内德却没有去参加他的葬礼，显然已经对他的道德做出了自己的审判。这个细节也暗示了伊内德对性挑逗的敏感与排斥，这显然是她"总与人若即若离"（门罗 39）的真正原因。

童年的这一幕给伊内德留下深刻印象的还有那顶装饰了无数花朵、带面纱的帽子。帽子上的花朵让人想起魏伦斯太太，她"抱着一大捆把脸都挡住的花枝"(门罗 21)送给三位发现尸体的男孩，以至于他们难以启齿说出魏伦斯先生的死讯，和伊内德母亲一样，她对丈夫的不忠早已心知肚明，对丈夫夜不归宿处之泰然。它的过度装饰也让人想起小说第一部分中巴德正处在青春期的两个姐姐，她们用五花八门的饰品、化妆品过度装扮自己，把家里弄得又脏又乱。因此，过度装饰的帽子一方面和男权社会中女性被物化的命运相关，一方面以它光鲜的外表掩盖了中产阶级家庭内部夫妻关系的真相。

这类用鲜花、蕾丝手套、带面纱的帽子等武装起来的女性，也出现在《变化之前》中。"我"因为没有母亲，童年时期曾经长期躲在灌木丛中偷窥精心打扮、来找父亲"打维他命针"（堕胎）的女性，"为她们的女性魅力倾倒"。成年后"我"拥有了"女性魅力"，和神学院哲学教师罗宾订了婚，但在得知"我"怀孕后，罗宾以前途、道德压力等说辞要求"我"堕胎，甚至不敢亲自去打听堕胎的医生。"我"独自生下孩子，不知道性别就送了人，回家休养却发现父亲多年来一直偷偷为女性堕胎。刚刚经历过生育之痛的"我"以为可以和父亲谈一谈，却受到父亲粗鲁的斥责，后因父亲的助手 B 夫人胳膊受伤，"我"帮助父亲做了一次堕胎手术，并在此后的某天对父亲讲述了自己的经历，直接导致了父亲中风而死。《变化之前》详细地描写了手术台上的女性的衣着、刮宫过程以及堕胎 / 生育后女性下半身红肿的伤口，又用嘲讽语气描写了罗宾爬到车下去找"我"扔掉的订婚戒指，"大衣裹着臀部，下摆摊开在地上那样子"（门罗 306），拥有了女性魅力的"我"终于明白了女性魅力下的斑斑血泪，明白了男性道德规范的伪善。

伊内德同样把过度装饰看成是女性气质，但她的个性与童年记忆让她远离、否定女性气质。进入青春期后，在其他女孩都注重外表、耽于罗曼蒂克幻想的时候，她想得最多的是自己的野心，并在两个目标之间徘徊：传教士以及护理员，前者照顾人的灵魂，后者照顾人的肉体，都有治病救人的意图，带有自我牺牲的理想主义色彩。后来她选择了做护理员，在受到父亲阻挠（父亲病逝前要求她发誓放弃护理职业）后却不畏辛劳、折衷成为住家护理员，一做就是 16 年，以不计得失的忘我精神，赢得了周围人的敬重。显然，伊内德以放弃女性的性别特征和个人欲望，进入了公共领域并获得了一定的成就，这是早期女权主义者谋求的目标，以年龄而论，故事发生的 1951 年，伊内德 37 岁，也表明她是一位受馈于两次世界大战、得以进入公共服务领域的早期

女权主义者。这一代女性主义者最大的缺陷就在于抑制了女性性属的自然，过于强调男女两性的同一性。伊内德在决定从事护理工作的时候，把父母希望她结婚、过中产阶级优裕生活的愿望当笑话听，正是这种观念的体现。

但是奎因夫人勾起了她的童年记忆，让她重新考量自己的人生目标。和伊内德原来护理过的人完全不同，奎因夫人清醒冷静，没有任何羞耻心、温情与善意，甚至对两个女儿也是如此。她有敏锐的洞察力，并且不惮对他人做最恶意的猜测，她很可能猜到了伊内德和自己丈夫之间隐秘的情意，故而在临终前分别和两人交谈，设下障碍阻挠他们的幸福。奎因夫人出身底层，在孤儿院长大、曾经做过旅馆女仆，这个职业常常是堕落为妓女的前奏，在讲述自己和魏伦斯先生的关系时，奎因夫人用语恶毒，毫不避讳自己和他做性交易的事实，显示出了对男性的愤怒与蔑视，像极了《第二性》中描绘的妓女对"体面"男人的恨："难道我们不比任何人都更清楚，这种男人会轻易撕去他们斯文、自制和自大的假面具，行为如禽兽一般吗"（波伏娃 527）。但是，不能把奎因夫人单纯地理解为一个受害者，她毋宁是个强者。鲁佩特·奎因性格腼腆，婚前从未接触过异性，他们的婚姻显然是她为自己争得的一块地盘，而婚后她显然也无意恪守妇道。

这个冷酷无情的女人撕开了中产阶级家庭虚伪的道德面纱，她问起伊内德母亲的大房子是否是 16 个房间，新汽车是什么牌子什么颜色，魏伦斯夫妇关系是否融洽，她嘲笑伊内德的"据我所知"，认为她"啥都不知道"）门罗 34）。奎因夫人的问题，暗示了伊内德母亲为了维持中产阶级的优裕生活所做的交易，让伊内德重估自己和母亲的关系。母亲对伊内德一直爱护有加，在伊内德心中占有相当高的地位，当面临重大选择时，她会听取母亲的意见。在她从事护理工作的十六年内，母亲一直是她的助手，在某种程度上，母亲既是伊内德的伙伴，又是她与世界的中介。母亲的过度保护，让伊内德的世界洁净有序，使得她得以保持一种孩子式的天真，在小说中，伊内德一直对母亲使用儿童式的称谓"妈妈"，门罗用语讲究，称谓的选择绝非随意为之。伊内德在奎因夫人的病房里做的噩梦，实际上是她压抑多年的性能量在冲击她那儿童式的洁净，引导她进入成熟女性的新阶段。在梦中，她与"肥胖扭动的婴儿，裹满绷带的病人，甚至她的亲妈"（门罗 49）交欢或者交欢未遂，从精神分析的角度来看，梦中出现的人往往代表着梦者的不同人格，婴儿象征着伊内德不成熟的自我，病人是她在公共领域中身份的投射，而母亲的过度保护，正是导致她过度贞洁的原因，是她必须反叛的权威：如果她嫁给鲁佩特，则违背了对母亲的承诺："一定不会嫁给某个农夫"（门罗 41），这正是她的噩梦中会出现母亲的原因。

伊内德是标准的好女人，贤德、美丽、和气、聪明。奎因夫人的临终叙述，让她身陷严重的道德考验之中，有论者认为"奎因夫人是伊内德黑暗的镜像。伊内德无法确定自己对于奎因夫人的厌恶之情究竟是奎因夫人的道德败坏与

冷酷无情，还是出于她自身的邪恶欲望 "（周怡 151）。[1] 无论如何，正是奎因夫人让她从一个好女人，变成了一个 "坏" 女人：从业以来她第一次放任自己的病人孤独地死去，并且在医生到来之前抹除了所有的痕迹。

和鲁佩特并肩站在前厅门口的伊尼德，是一个有了污点的伊尼德，此时的她终于理解了母亲当年的妥协，她 "抽泣起来。并非出于悲哀，而是因为一种猛烈的、突如其来的宽慰"（门罗 73）。这是一种和解，对世界的不洁，对人本身不洁的接受。但她也终于不再是生活的旁观者，徒劳地看护终将一死的生命，她将投身其中。

二、作为伦理起源的母性

门罗出生于 1931 年，她的盛年时期正值加拿大乃至世界女性主义第二次浪潮，在这一时代浪潮中，门罗成年、求学、结婚、生育、离婚、再婚，同时开始创作，并最终为自己谋得了独立与声誉。当她以花甲之年开始创作《好女人的爱情》中的故事时，激进时代已经远去，女性的现实生活和面对的问题都发生了变化，又恰逢新世纪即将来临，此时对自己曾经卷入其中的女性思潮做一个反思，呈现女性独立的艰难进程，显然最合适不过。

巴巴拉·阿内尔在《政治学与女性主义》一书中对西方女性主义发展的三个阶段做了梳理，把第二代女性主义称之为连字符女性主义，包括自由主义的女性主义、社会主义与马克思主义的女性主义、激进的女性主义、心理分析的女性主义等不同的流派，认为她们 "都相信女性的生存条件具有普遍性"，认为 "对解决方法的探寻必须始于性别与公共 / 私人、文化 / 自然这两种二元论之间的联系"，"第一次以一种持续的、批判的方式，挑战并动摇女性与私人领域的联系"（阿内尔 241）。[2] 这使得重新定义母性、考察女性在家庭中的地位和经济处境，关注女性情欲与心理状态，成为那个时期女性主义的突出议题，而这些在《好女人的爱情》中得到了深刻的反思与呈现。

"无论是文学伦理学批评还是道德批评，研究的对象都是文学作品中的道德现象，都需要作出道德价值的判断，并在分析研究的基础上得出结论。这是文学作品自身的要求"（聂珍钊 8-17）。《好女人的爱情》对母性进行了集中的思考，写了各种各样的母亲、以及履行了母亲职责的阿姨、护士等，这些不同类型的母亲的个性与命运，蕴含着门罗对女性命运与父权制家庭伦理的理解与判断。《好》中伊内德的母亲、《雅加达》中科达尔的母亲、《库特斯岛》中的格里夫人、《唯余收割者》中伊芙的母亲、《孩子们留下》中布莱恩的母亲、《我妈的梦》中乔治的母亲和 "我" 的姑姑艾尔娜 (代理母亲) 是传统的母亲，这些女性由于个性、际遇的不同，而表现出不同的命运。

1　周怡的著作直接使用英文作品，书中译文是周怡自译，此处引用人名根据译林版做了调整。

2　巴巴拉·阿内尔对第二阶段的女性主义的详细分析见第 240–76 页。

其中伊内德的母亲和伊芙的母亲最符合传统的道德标准，同典型的好母亲，她们和平、友好、活跃，以女儿为荣，没有病态的控制欲。《库特斯岛》中的格里夫人同样是一位传统女性，在某种程度上，她代替了"我"的母亲，对新婚的"我"滔滔不绝地谈论糕点、瓷器、亚麻布和丝巾，以及"照料你男人的方式"（门罗 133）。格里夫人是典型的传统家庭的受害者，她精力充沛，却无所事事，由于格里先生瘫痪在床，她只能被困家中。她那永远得不到满足的情欲部分地转移到所有物上，"多亏她身边有了天鹅绒、丝绸和瓷器，女人才可以在某种程度上使她的性生活几乎不能给予满足的触觉肉欲得到了满足"（波伏娃 425）。但拥有"某物"只是一种假相，她住着的房子，产权是儿子的，而长大成人的儿子对她所有的关怀都给予拒斥。因此，她的情欲只能演化为病态的偷窥欲，尤其是交往欲望受挫、尊严受到侵犯后，她会变得具有攻击性，成为一个恶意中伤者。因为缺乏独立精神与分寸得当的界限意识，她招致了"我"的丈夫切斯的辱骂。不过这一类母亲并非门罗表现的重点，她们是过去的化身，是新一代女性建设自主选择的权力主体、反思的理性主体、以及追求幸福的伦理主体的参照物、起点。

《好女人的爱情》重点刻划的是第二代女性主义浪潮中的新生代母亲，她们大多数在 50 年代至 70 年代初成家、生育，成为母亲，包括《好》中的奎因夫人、《雅加达》中的卡斯、《库特斯岛》中的"我"、《唯余收割者》中的伊芙、《孩子们留下》中的鲍玲、《富得流油》中的罗斯玛丽、《变化之前》的"我"、《我妈的梦》中的吉尔。这些母亲中有对孩子完全没有感情的奎因夫人，也有觉得有了孩子是"生命中最伟大的变化"（门罗 162）的伊芙；有极端自我、对"公社之家"定期交换性伴侣的实验生活模式产生了浓厚的兴趣、哺乳只是为了促进宫缩、恢复体型的卡斯，有饱尝母性与自我分裂痛苦的鲍玲——在私奔之后，她在漫长的人生中感受着失去孩子的痛苦，只能劝自己"忍下去，习惯它，直到它成为一段令她悲哀的过去，而不是任何可能的现实"（门罗 226），也有混乱不堪，只是受时代浪潮影响而被拖进了激进生活中、导致自己的女儿被大面积烧伤的罗斯玛丽；有《变化之前》迫于男权文化伪善的道德压力、孩子生下来就送人的"我"，也有《库特斯岛》中为了丰裕的物质生活而压抑了自己的情欲、数年来做着怪异春梦的"我"。

集中体现了门罗对母性本质思考的是《我妈的梦》。孤儿院长大的吉尔是一位颇有艺术天份的女性，通过自己的努力考上了音乐学院，随后懵懵懂懂地成了空军飞行员乔治的妻子并很快成为烈士遗孀。她将音乐"视为人生的责任"（门罗 345），"即使我在她肚子里翻筋斗，她仍旧做了公开演奏"（门罗 324）。事实上整个孕期她都没有做好当母亲的准备，怀孕让她感觉多有不便，她暗自期待着孩子生下后，又可以和从前一样全身心投入小提琴练习、演奏之中。但孩子生下后她反而需要承受更大的心理压力：为了恢复体型紧紧缠住胸腹的裹巾让她浑身疼痛，由于婴儿拒绝母乳，她不得不忍痛断乳，

除了生物性带给她的挫折，她精神追求的那一面也因孩子而被迫中断：她拿出小提琴刚刚打算练习，婴儿就发出难以置信的惨叫、号哭，倾泻"愤怒之洪"，"超过了我之前发出过的任何响声"（门罗 344）。

与吉尔难以适应母亲的新身份不同，吉尔的小姑子艾尔娜在照顾婴儿方面有独特的禀赋。艾尔娜是个胆怯敏感，有神经质倾向的老姑娘，因为承受不了学校的压力，她中途从护理学校退学，在家中照料患有帕金森综合症的母亲，并在一间糕点店工作谋生。艾尔娜"这辈子就从来无法对任何人表现出什么权威"（门罗 330），在人前，"她双手总抖个不停，连给人端茶都做不到"（门罗 337）。这时，吉尔生下了"我"，婴儿的依赖让她荣光焕发，"能够直视所有人的眼睛了"（门罗 342）。艾尔娜接过了全部照看婴儿的职责，但在婴儿 6 周左右时，艾尔娜姐妹俩要带着母亲去对圭尔夫市的表亲做年度拜访，照顾婴儿的职责不得不落在了吉尔的身上。于是吉尔母女长达一天的战争开始了：除了极其疲倦后的小憩，婴儿整天都在哭号，吉尔头痛欲裂，在服用治疗痛经的强力镇痛药缓解头痛的同时，她刮了一点放在孩子的奶瓶里，哭闹了一整天的婴儿进入了昏睡。出访归来的艾尔娜以为婴儿已经死亡，受到刺激，陷入歇斯底里，把"死婴"藏在了沙发下，在一片混乱之中，吉尔听到了婴儿的哭声，救出了气息微弱的婴儿。经此一难，"我"接受了拉小提琴的吉尔，吉尔也接受了"我"，在从音乐学院毕业后，吉尔带着"我"离开夫家自立，以一个音乐家的身份谋生、再婚。吉尔和艾尔娜——一个经历了孕产期却无法爱孩子，一个没有经过孕产期却对孩子爱护有加——的对比，充分说明了生物决定论的荒谬，母性并非什么本能、天性，"母亲身份是获得性的，首先通过一种强烈的生理和心理过程——怀孕与生孩子，然后通过对哺育孩子技能的学习、了解"（里奇 2）。

在婴儿奶粉中下药，暴露了吉尔心灵中的黑暗力量。作为一个个性独立的女性，她被生物性裹挟着成为母亲，但内心深处却并没有接受这种创造的"神圣"，她对孩子产生了敌意，因为"孩子……威胁了她的肉体，她的自由，她的整个自我"（波伏娃 477）。但门罗谨慎地保持着与激进女性主义的距离，她的人物在黑暗与光明之间努力地控制着自己的方向，这种自我救赎的努力，完好地呈现在小说开篇的梦境之中。小说以吉尔服用镇痛药陷入昏睡后的梦境开篇，在这个典型的抑郁症患者的梦境中，一场大雪覆盖了夏天的花园，万籁俱寂，吉尔呆在一所"高大宽敞的房子里，四周围绕着中规中矩的树木和花园"，突然想起她很久以前丢弃的一个娃娃，她感到愧疚并最终找到了孩子。叙述者说梦中的情境"像《哦，伯利恒小镇》里描述的情景"，这个典故暗示了吉尔的救赎与孩子的关联。梦境在小说结束部分被艾尔娜的尖叫惊扰，衔接着现实中母女的和解，叙述者总结说：

对我而言，似乎只有在那时，我才变成了女性。我知道这事在我出

生之前很久就注定了，所有其他人在我生命刚开始时就对它一清二楚，可我相信只有在我决定醒来，在我放弃与妈妈的抗争（想必是场不逼得她全面投降就不会罢休的抗争）的那一刻，以及我事实上选择了生存而非胜利（所谓胜利也就是死去）的那一刻，我才拥有了我的女性身份。

在某种意义上，吉尔也因此获得了她的女性身份。她清醒了，感天谢地地，想都不敢想她刚刚逃脱的是什么样的命运，她开始爱我了，因为如果不爱的话，就意味着灭顶之灾啊。（门罗 364）

这段总结把女性身份认同的时间点追溯到母亲和孩子相互适应的那个时刻，吉尔头上悬着的"杀婴罪"利剑，把这一时刻置于父权制的律法之下，明确指认性别是文化的而非生物的。女性顽强的生存意志，就体现在她们妥协的姿态上，体现在她们对不完满生活的接受上。

《我妈的梦》叙述视角十分独特，叙述者"我"是那个曾经被认为已经死去的婴儿，在讲述自己出生前以及具有语言能力之前的这段历史时，却带有全知全能的色彩，叙述者的年龄是一个谜，这让故事的合法性颇为可疑。有论者认为，"正是从这个看似不可能的地方开始讲述，门罗才能重现（性别）主题的诞生，以及人类亲缘关系（伦理）的起源"（Morgenstern 69-97），这个说法是富于洞见的。

三、深不可测的家宅

渴望生活常等同于渴望性，是《好女人的爱情》中众多女性的特点，八个故事都直接或含蓄地写到了女性对性满足的需要——《我妈的梦》中的尚茨夫人嫁给了儿子的同学、比自己年轻二十多岁的尚茨医生，过着奢侈的放逐生活，可谓是渴望生活的最佳注解，和她年龄相近的伊芙，在搭车女孩伸手摸她的大腿时，也"成功地撩拨起了几根老迈的神经"（门罗 181），"大有可能她是依旧，而且一如既往地，渴望着爱情"（门罗 182）。

如果说《好女人的爱情》中童年记忆多以现实手法通过空间重叠或者时间绵延来呈现的话，女性的性唤醒／压抑，则多借助梦境与互文来呈现。伊内德的情欲多年来一直处在沉睡状态，但当她置身于鲁佩特·奎因家中时情欲却猛烈地爆发了。门罗以互文手法，通过植入格林童话《睡美人》来呈现伊内德的性唤醒。鲁佩特·奎因的家和童话中的皇宫一样隐秘："大路上看不见他们家院子，这一点很幸运。外面只能看到屋顶尖儿和楼上的窗子"（门罗 57），进入他家的路上，"浆果树沿着小巷生长，长得越过路面"（门罗 53），通往河边的路是长满藤蔓、杂草。"美丽、贤慧、和气、聪明"（格林兄弟 150）的伊内德是沉睡的公主，沉入可怕的梦境，手持利斧在前面开路的鲁佩特则是童话中的王子。《库特斯岛》中的"我"和切斯积极进取，谋求世俗的成功，生活逐渐富裕，但这种富裕却以性压抑为代价，多年来我一

直在梦中和格里先生交媾，"从这些粗野的梦中惊醒，心头一片空白，连一丝惊讶和羞耻都没有，旋即又睡着，早上带着一种我习惯要否认的记忆醒来"（门罗 149）。《雅加达》引入凯瑟琳·曼斯菲尔德和劳伦斯的小说，药剂师肯特和凯瑟琳·曼斯菲尔德《在海湾》中的斯坦利一样一本正经，他的妻子卡斯在舞会上和陌生男人互相挑逗的热舞，和劳伦斯《恋爱中的女人》中戈珍在牛群前的舞蹈相似，充满着狂热奔放的欲望。鲍玲与杰弗里的婚外情是在排练法国戏剧家让·阿努伊的剧本《欧律狄克》的过程中发生的，她在情欲与母性之间的挣扎则呼应着《安娜·卡列尼娜》。

鲁思·斯科尔认为门罗所有小说的核心都是"对动物性欲非理性的大胆承认"（Scurr 4 Oct. 2011），这种说法其实大缪不然。无论是从心理分析学角度引入人物不堪的春梦，还是以互文的手法呈现人物的性压抑／觉醒，性在门罗这里，首先是文化的，而非自然的，这一点在《库特斯岛》中表现得成为突出。这个故事讲述的是"我"1953 年新婚时租住在格里先生家地下室的一段经历，结束于已经取得了富裕物质生活的"我"被压抑的性能量被消耗殆尽的老年，格里先生的剪报故事——一个男人在家宅中被火烧死，年仅 7 岁的儿子在离家一英里森林里被发现，其妻在事故前已经离家出走——发生在 1923 年，蕴含着三代女性的情欲与父权制家庭的关系。格里先生既作为简报故事中受伤自闭的孩子，又作为"一个遗迹"，拖着"废弃的失事船只般的躯体"，成为传统父权家庭中未得满足的女性情欲的见证：为了"最最辉煌、前所未有的房子"（门罗 146），"我"多年来时不时地在梦中和格里先生交媾，发泄压抑的性能量，"我"的怪诞春梦和格里夫人的偷窃癖、妄想狂本质上是一样的，都是谋求物质生活的女性被压抑的性本能的曲折宣泄。当然，作为新时代的女性，"我"具有反思的理性，意识到这一切是男女共谋、自主选择的结果，因此，我没有受害者的的愤怒，"掉在那位丈夫尸体上的焦黑房梁，我倒从不曾看到"（门罗 149）。

《库特斯岛》通过文明导致的性压抑揭示人类的世代更替，循环往复，当显然已经不年轻了的叙述者把自己的婚姻描述为"为了欲望，我们做了这笔交易……我们从没想过老一辈人……也会做这种交易"（门罗 127）的时候，对她年轻时极端厌恶的格里夫人，应该多少有了一点理解。这一点迟到的理解甚至歉意在《唯余收割者》中表现得更明显。"你最恨你妈什么？"伊芙在成为外祖母、开车带着外甥走在乡村公路上时，想起了年轻时常玩的这个游戏，"感觉就像咬到一枚痛牙"（门罗 169）。和那些女孩厌恶母亲"紧身胸衣"、"湿漉漉的围裙"、"引用《圣经》的话"不同，伊芙厌恶母亲的鸡眼，这是对青春对衰老的厌恶。伊芙是个没有名气的小演员，年轻时曾纵情地投身性解放运动，过着自由放纵的生活，女儿就是她在火车上发生一夜情而生下的。当年轻的她揣着饱满的情欲奔向自由的时候，并没有想过人也不过是自然物，逃不掉生老病死，正如现在女儿索菲也毫不顾念地扔下她，只想和

丈夫在一起一样。在女儿来度假的这些天，伊芙小心翼翼，却仍然留不住女儿的心。在女儿去机场接丈夫的期间，她驱车去还录相带，想起了童年时期母亲带自己在乡村的漫游，在回忆的引导下误入一幢混乱的私宅。相比"体态丰满、娴静古典"（门罗 163）的女儿，她在这宅子里遇到后来让她搭车离开的女孩更像她的青年时代：吸毒、滥交，人生毫无规划。

正如《库特斯岛》中"我""最最辉煌、前所未有的房子"建立于地下室的基础之上，《好女人的爱情》中的家宅，都隐含着暴力的阴影：《好》中的农场是凶杀第一现场，《变化之前》中父亲的房子，肮脏、混乱，周期性地杀婴，《富得流油》中德里克妻子的祖传家宅烧着了卡琳，努力适应母亲和情人夫妇的三人行现实的孤独女孩。隐含着罪恶与血腥的父权制家宅已经没落，正如伊芙寻找的有镶嵌画的古老房屋已经坍塌，然而人类对家宅的渴望是永恒的，流动的寓所对应的是不负责任的母亲和受伤的孩子。卡斯喜欢租住的"伟大的小破屋"的浪漫情调，无意和丈夫一起购置房产，最终抛夫别女，几十年后，她的女儿诺埃勒正要离开第二任丈夫。住房车的罗斯玛丽目睹了亲生女儿在情夫妻子家宅里被烧成一团火。和情人度过了纵欲狂欢的一夜后，鲍玲在汽车旅馆醒来，意识到她与丈夫布莱恩的那套小屋，"那幢可谓表达了她与布莱恩的生活，表达了他们所希望的生活方式的房子的关系也断绝了"（门罗 219）。伊芙始终没能为女儿提供一幢可供回忆的家宅，当她和女儿兴致勃勃地想象着装修出租屋时，已经埋下了女儿离开她的伏笔：索菲婚后购置了一幢私宅，显然，那才是家的感觉。

女性欲望与空间的复杂关系，为我们揭示出门罗内心存在的地形图，这其中显然有激进的女性主义、马克思主义女性主义批判私人领域的影响，但是却保持着谨慎的距离。鲍玲的孩子们都长大了，"她们并不恨她……她们也不原谅她"（门罗 226）。"或许她这代女孩都觉得，每个人理所当然都有一段充满各种故人，无法说清的过去吧"（门罗 88），全知叙述者的这些评价，显示出了女性反思主体的生成。

《好女人的爱情》中有很多细节取自门罗自己的生平与经历，"门罗的虚构故事往往与真实的现实构成了一种镜像关系，使得现实呈现出复义性"（周怡 151）。[1] 正如聂珍钊所说："文学家的责任通过作品表现，而批评家的责任则通过对作品的批评表现。因此，今天的文学批评不能背离社会公认的基本伦理法则，不能破坏大家遵从的道德风尚，更不能滥用未来的道德假设为今天违背道德法则的文学辩护"（聂珍钊 7-17）。虽然写作《好女人的爱情》

1　周怡主编《艾丽丝·门罗：其人其作其思》以介绍、赏析为主，内有一篇《好女人的爱情》的评论，对这个短篇中与门罗生平有关的时间点做了介绍，比如故事发生的 1951 年是门罗发表处女作与结婚的年份，奎因夫人的死亡日期是门罗的生日。附录部分有门罗生平，和《好女人的爱情》的八个短篇中涉及的时间对照，可以发现它和门罗生活的高度对应关系。

中的故事时，门罗已经六十多岁，已经做了外祖母，激进的浪潮早已退去，但她并没有忘记自己的责任，在一定伦理道德法则中呈现着人和事，我们还原语境通过批评深入探索它，在全球化的今天回望，我们是否能够得到一些前行的智慧与力量？也许，这正是门罗讲述这些故事最值得思考的地方。

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英美西尔维亚・普拉斯诗歌研究五十年
Fifty Years of Sylvia Plath's Poetry Studies in the UK and US

曾　巍 (Zeng Wei)

内容摘要：美国女诗人西尔维亚・普拉斯 1963 年去世以来，随着其诗歌作品的陆续出版，以及书信、日记等材料的面世，受到英美文学批评和研究界的持续关注，众多批评家对其诗歌作品进行了多角度的阐释：最早的是传记批评与自白诗研究，将作品与诗人的特殊人生经历联系起来，将其归入"自白派"的阵营，聚焦于诗的自传性；后续的视角有神话批评与女性主义，关注诗歌中的身体与性别、女性的身份建构与言说方式等问题，并将诗人塑造为挑战男性权威的女性神话人物；其他有较大影响的还包括精神分析和心理研究，深入诗人内心世界探寻诗歌经验的内在驱力，以及从政治和历史视域的外部视域发掘诗歌的社会意义。这些研究方法，逐步呈现出交叉融合的趋势，推动着普拉斯诗歌研究仍在不断升温。
关键词：西尔维亚・普拉斯；诗歌；文学批评；文学研究
作者简介：曾巍，华中师范大学文学院、文化传播研究中心副教授，文学博士，主要研究方向为英美当代诗歌。

Title: Fifty Years of Sylvia Plath's Poetry Studies in the UK and US
Abstract: Since her death in the year of 1963, Sylvia Plath, the American female poet, has received continuous attention from the British and American academia, along with the publications of her poetry, letters and journals. Critics have interpreted her works from a wide range of perspectives. They began with biographies and her confessional poetry, combining the works with the poet's life experiences, and focusing on the autobiographical writing of her poetry. Other approaches include archetypal criticism and feminism, which investigate the body and gender, the identity construction and discourse style of women in Plath's poetry, establishing her as a mythical goddess that challenges male authority. Psychoanalysis in Plath studies is also influential. It delves into her inner world and probes the internal impetus of the poetic experience. In addition, critics have uncovered the social significance of her poetry through the exterior scope of politics and history. These research perspectives integrate with each other and

propel the development of Plath studies.

Key words: Sylvia Plath; poetry; literary criticism; literary studies

Author: Zeng Wei, Ph.D., is Associate Professor at School of Chinese Language and Literature and Cultural Communication Research Center, Central China Normal University (Wuhan 430079, China). His research interest is contemporary British and American poetry (Email: yilai@sina.com).

　　自 1963 年西尔维亚·普拉斯 (Sylvia Plath) 逝世，至今已经超过了五十个年头。生前，她的文学创作并没有引起多少批评家的关注，主要原因是她仅仅出版过一部诗集和一部小说：《巨像及其他》（*The Colossus and Other Poems*）主要收录的是早期作品，《钟形罩》（*The Bell Jar*）还是以"维多利亚·卢卡斯"（Victoria Lucas）的笔名发表的；此外零零星星发表于文学杂志以及通过录音广播的诗，有一定反响但是谈不上轰动。她离世后，其作品作为遗产为丈夫特德·休斯（Ted Hughes）管理。休斯先于 70 年代初出版了她的两部诗集《渡水》（*Crossing water*）和《冬天的树》（*Winter Trees*），接着出版了普拉斯与家人的通信集《家书》（*Letters Home:Correspondence:1950-1965*）以及小说散文集《约翰尼·派尼克和梦经及其他》（*Jonny Panic and the Bible of Dreams and Other Prose Writings*）；到了 80 年代，休斯整理出版了《普拉斯诗选》（*The Collected Poems*），收录了她 1956 年之后的全部作品，近乎完整呈现出普拉斯诗歌的整体面貌。除此之外，同一时期，《普拉斯日记》（*The Journals of Sylvia Plath*）也终于问世。随着她的作品逐步公开，不仅那些"爱丽尔"高峰时期的诗引起了批评家的关注和激赏，她的诗歌总体也呈现出清晰的面目和发展脉络。而书信、日记和小说，则为读者观察她的生活、心理，进而和她的诗进行互文阅读提供了丰富、详实和可靠的材料。普拉斯与休斯的婚恋与婚变，普拉斯谜一样的死亡方式同样吸引着人们的注意力，她"精彩而乱糟糟的一生"，就像一出传奇剧，不断汇聚关注的目光。五十年余来，对普拉斯的研究特别是对她的诗歌的研究，一直在持续升温。

　　较早对普拉斯诗歌给予关注和评论的是英国《观察家报》（The Observer）的评论家，也是普拉斯的好友 A. 阿尔瓦雷兹（A.Alvarez）。早在 1960 年《巨像及其他》出版不久，他就撰文高度评价了这部作品，称"她的大多数诗篇都是根植于可靠的大量生活基础上的，而这种生活经历从没有完全公之于众……她好像不断受到只有她眼角才能窥见的某种东西所威胁着，就是这种恐吓的意识，使她的作品别具一格，卓尔不群"(Alvarez, The Poet and the Poetess 12)。此后他还在著作《野蛮的上帝：自杀研究》（*The Savage God: A study of Suicide*,1971）中专门谈到了普拉斯的自杀和写作的关系，他将以普拉斯为代表的诗人称为"极端主义诗人"（extremist poet），并且提

到了罗伯特·洛威尔、约翰·贝里曼等具有相似风格的诗人，认为这样极端风格的写作给它的践行者带来了极大的精神危机和生命风险 (Alvarez, The Savage God 278-283)。而 1967 年，M.L. 罗森塔尔（M.L.Rosenthal）第一次使用了"自白派诗歌"(confessional poetry) 来描述罗伯特·洛威尔的诗歌特征，并将包括普拉斯、贝里曼、安妮·塞克斯顿，甚至艾伦·金斯堡（Allen Ginsberg）等诗人都纳入这一流派 (Rosenthal 79-80)。以上两种论断事实上奠定了普拉斯研究的早期方向：一是将她的作品和特殊的人生经历联系起来做传记研究；二是从"自白诗"的特点入手去分析诗作，而"自传性"是聚焦点。大体上，70 年代的普拉斯研究就是沿着这样的思路，而随着新的相关材料的不断发掘，这一方向至今不衰，标志是不断有新的普拉斯传记的诞生。

传记批评也有明显的问题，那就是过多纠缠于对诗人生平事件的发掘，试图将所有诗歌甚至是诗句、意象都和个人经历挂起钩来，这样导致了对诗歌艺术性的忽视。从 70 年代中后期开始，一些学者逐步突破这一局限，开始运用多种文学批评方法观照普拉斯的诗歌，其中最主要的是精神分析和心理研究、神话批评和女性主义。这几种方法对普拉斯的研究几乎同时起步，而且大多和传记研究结合起来。这些研究的展开，也和相应批评理论在英美文学研究界的盛行有关，特别是精神分析和女性主义。而理论自身的深入和拓展，自然也会促进普拉斯研究不断提升到新的高度，因此 80 年代以来在这几个主要方向上不断有新的研究成果出现。另外，文化学者也贡献了一个新的视角，那就是从政治和历史的角度来考察普拉斯的诗，考察她诗歌中的公共事件，由此，普拉斯一下子由一个沉溺于个人的自白诗人形象而摇身变为"深刻的政治诗人"，因为"私人和公共之间没有距离"（Smith 209-212）。此后，普拉斯的研究变得更加丰富多元，并呈现出相互融合、多学科互相渗透的趋势。下面将分"传记与自白诗研究"、"神话批评与女性主义"、"精神分析和心理研究及其他"三个部分，分别选取代表性论述予以介绍。

一、传记与自白诗研究

第一部普拉斯的传记，是由爱德华·布彻（Edward Bustcher）撰写的《西尔维亚·普拉斯：方法与疯狂》（*Sylvia Plath: Method and Madness*），该书出版于 1976 年。与此同时，布彻还编有一本《西尔维亚·普拉斯：女人和她的作品》（*Sylvia Plath: The Woman and Her Work*），收录了普拉斯的家人和朋友的回忆性质的文章，以及早期报刊杂志对普拉斯作品的评论性文章。他的传记是以这些材料为基础，结合自己对其中一些人的采访完成的。这部传记的重点，落在分析普拉斯的作品和其心理状况的关系上。他在书中将普拉斯的人格特征描述和定义为"泼妇女神"（bitch goddess）："泼妇"指的是在男性社会中被压抑和扭曲的充满愤怒的女性；"女神"是指具有创造力的女性（Bustcher 6-7）。而看似矛盾的两个形象在普拉斯身上得以结合，使她表

现出两面性。传记即围绕这个矛盾形象展开，分析形成这一双重人格的原因，以及其创作与这一典型人格的关系。而这一视角得出的结论则是，普拉斯具有恋父情结、分裂人格、自恋倾向等精神疾病。从标题上看，传记的重点似乎是讨论普拉斯作品的审美特质和精神状况之间的关联，但结果却是，作者将普拉斯的作品和其家人、朋友的描述当作了"症状"，而他的引述和探究演变成了某种"病理分析"和"诊断"。因此，也有人认为这种方法是预设了一个前提，然后去材料中寻找证据，使之适应于预设的框架（Gill 113），也有人认为它"过于简单"，"充其量只是草率的批评"（Lane x）。

1987 年，芝加哥州立大学的教授琳达·瓦格纳—马丁（Linda Wagner-Martin）出版了《西尔维亚·普拉斯传》（*Sylvia Plath: A Biography*）。该传记将普拉斯置于 20 世纪美国文学的宏观背景、置于具体的性别和文学环境考察，分十五章详述了普拉斯从出生到离世的完整人生。这部书援引了许多第一手资料，既包括普拉斯的手稿、日记、书信，也包括作者对近两百个和普拉斯生活有交集的人的采访。这使得该传记的可信度较高，因此得到了"可靠、适度"，既不"追求轰动"也不试图"面面俱到"的赞誉 (Van Dyne 8-9)。在瓦格纳—马丁的描述中，普拉斯是一个"明显的女性主义者"，表现为她对自我才能的确信，对写作的献身精神，一生中众多的女性朋友、导师和艺术榜样，以及她意识到作为一个女性，其作品遭遇到双重标准评判时的愤怒等（Wagner-Martin 11-12）。这样的视角与爱德华·布彻有很大差异，一是因为传记作者本人的性别差异，同为女性的琳达，更能贴近普拉斯的实际感受；而这部在《西尔维亚·普拉斯：方法与疯狂》之后十多年后完成的书，相对而言也拥有更丰富的材料。更重要的是，在这十年里，也正是女性主义批评风起云涌的一个高潮期，这些都使得瓦格纳—马丁的这部普拉斯传记有更大的影响力。然而，瓦格纳—马丁也抱怨过，她撰写这部书时，在一些材料的引用上遭到了普拉斯遗产的管理者休斯和他的姐姐奥尔雯的"审查"，并要求她做了大量修改，不得不删去其中的一万五千字，这同样引起了极大的争议。

随后出现的一本传记是安妮·史蒂文森（Anne Stevenson）于 1989 年出版的《苦涩的名声：西尔维亚·普拉斯的一生》（*Bitter Fame: A Life of Sylvia Plath*）。按理说，这部传记应该得到更广泛的认同，因为作者本人也是女诗人，按理说对诗人的内心世界更容易产生共鸣，也更能敏锐触摸到诗人在创作时的心灵律动，在结合诗歌文本阐发诗人的创作心境、精神状态方面，应该更具说服力。同时，传记的写作得到了普拉斯遗产管理者的授权，她能够更方便地接触到更多的资料。然而，据作者自己描述，在写作过程之中，她就受到了过多的干预，最后，斯蒂文森不得不在前言中加上一个作者注，声明这本书"几乎可以说是两个作者共同的作品（dual authorship）"，然而，待到正式出版，奥尔雯将这句话也改成了"作品来自与和奥尔雯·休斯长达三年

的对话……是合作的作品（joint authorship）"（Malcom 12），奥尔雯甚至声称，未经授权的引用还要追究责任（Stevenson2）。因此，传记遭到诟病之处则是，其立场更多是站在休斯一方的，休斯被塑造成了一个"圣贤般的丈夫和宽宏大量的导师"，而普拉斯则是偏执而极端形象，"具有一系列性格缺陷"和"精神疾病的症状"（Van Dyne 12）。也正因为如此，这部传记相反被认为"对诗人，更重要的是对诗歌，缺乏同情"（Van Dyne 11）。尽管如此，该书对普拉斯研究仍然具有参考价值，它也是迄今为止唯一有中译本的普拉斯传记。

1991 年有两部普拉斯的传记诞生，一是美国传记作家保罗·亚历山大（Paul Alexander）的《粗砺的魔法：西尔维亚·普拉斯传》（*Rough Magic: A Biography of Sylvia Plath*），一是英国作家罗纳德·海曼（Ronald Hayman）的《西尔维亚·普拉斯的死与生》（*The Death and Life of Sylvia Plath*）。亚历山大的传记得到了普拉斯的母亲奥蕾莉亚的支持，作者也走访了普拉斯曾经就读的史密斯学院（Smith College）以及收藏普拉斯档案的印第安纳大学莉莉图书馆（Lilly library），并进行了三百多次访谈 (Alexander 1)。这部传记披露了普拉斯生命中的更多细节，解开了一些谜团，并展现了普拉斯与更多人物的交往和情感关联。但这部传记的关注点在人，对诗人作品投入的笔墨有限。海曼的传记，如其标题所示，将"死"放在"生"的前面，所以不同于一般的传记，这部书采用的是倒叙的手法，由普拉斯的自杀事件入手，引出关于死亡的话题，再逐渐扩展到她生活的方方面面。作者在"前言"里表明："如果不能理解普拉斯长期存在的，最终在自杀中达致高潮的和死亡的关联，就无法理解普拉斯的生命"(Hayman xv)。这部作品的中心并不是"生"而是"死"，它不仅向前追述普拉斯的人生经历，还将视角向后延展，探析了她的死亡给他人、给她的声名等等带来的影响。它采用的是并非"全景式"的勾勒，而是从一个点扩散、生发出来的研究。

虽然大多数传记作者都声称他们的传记采用了"客观"的视角，然而，读者从这些作品中看到的却是面貌和个性有差异的普拉斯。上面的五部作品，布彻描绘出"泼妇女神"，瓦格纳—马丁塑造的是女权主义的支持者，史蒂文森笔下的普拉斯则显得苛刻、自私和冷漠，亚历山大则在突出死亡"净化"作用的同时强调了普拉斯对死亡的迷恋，而在海曼那里，普拉斯则是一个牺牲者的角色（Gill 115）。这表明，传记中的普拉斯所呈现出的模样和状态，既取决于材料的发掘，也取决于传记作者的立场和视角。只要这两者有所更新，还会涌现出更多的普拉斯的传记。我们也的确看到，每隔一段时间，就会有新的普拉斯传记问世。最新的一本，是卡尔·罗里森（Carl Rollyson）于 2013 年普拉斯逝世五十周年之际推出的《美国伊西斯：西尔维亚·普拉斯的生活和艺术》（*American Isis: The Life and Art of Sylvia Plath*），在这部作品中，普拉斯被形容为古埃及神话中的女神伊西斯，这样的类比，让休斯都显

得黯然失色，正如伊西斯的丈夫奥西里斯（Osiris）之于伊利斯一样。更有意思的是，罗里森同时也是美国著名影星玛丽莲·梦露（Marilyn Monroe）的传记作者，他比较了梦露和普拉斯这两位 20 世纪美国文化史上的著名女性人物，认为两者之间有许多相同点。而他在普拉斯的日记里也的确发现了她流露出对梦露的欣赏，并曾模仿她的发型以示重新开始新生活。另外，两人都选择了自杀。更重要的是，作者也通过梦露的人格特征来反观普拉斯，认为她也同样渴望像梦露一样，时时刻刻成为他人关注的焦点，成为人群和"文学舞台"上的中心人物。而一旦这样的渴望得不到满足，就会陷入极端的情绪直至自我折磨并放弃生命。此外，80 年代至今还涌现出了一些集中关注普拉斯生活的某一个方面或某一个阶段的作品，如黛安·米德尔布鲁克（Diane Middlebrook）的《她的丈夫：普拉斯的婚姻》（*Her husband: Hughes and Plath- A Marriage*，2003）聚焦于她和休斯之间关系，安德鲁·威尔逊（Andrew Wilson）的《疯丫头的情歌：普拉斯遇上休斯之前》（*Mad Girl's Love Song: Sylvia Plath and Life Before Ted*）放眼于其他人关注较少的童年和青少年时期等等。这些作品的层出不穷，既说明了普拉斯研究的热度，也展现了其深度。

  传记研究深入挖掘出了普拉斯生活中的许多细节，而当这些细节继而被发现与她的诗歌存在某种对应关系时，自然引出对诗歌做"自传性"的解读，加上众所周知的洛威尔的创作理念对普拉斯的影响，将她的诗当作典型的"自白诗"来解读，寻找诗人的生活原型和艺术表达之间的关联，也是难以避免，甚至在早期的研究中非常流行。这样，普拉斯的诗歌被标定为具有自白诗的显在特征：难以抑制的强烈情感、内心的真实声音，语言的直率 (Cox 107-122)。当洛威尔在《爱丽尔》的"前言"中评价说"这些诗歌中的每一样东西都是个人的，自白式的，感受到的，但是感受的方式是受控制的幻觉，高烧中的自传体"(Lowell ix-xi) 时，更为这种"自传性"解读提供了支持。早期以这种方式进行解读的比较有影响力的评论家包括 A. 阿尔瓦雷兹、M.L. 罗森塔尔、C.B. 考克斯（C.B.Cox）与 A.R. 琼斯（A.R.Jones）。他们界定了一种观察普拉斯诗歌的基本模式，就是从诗歌出发，直接到诗人的传记中寻找对应的事件，或者将诗歌流露的情感与创作该诗阶段诗人的情感画上等号，由此获得进入诗人纷乱复杂内心世界的钥匙。如普拉斯在日记和书信里所袒露的，有些诗歌确实和生活密切相关，遇到这些诗歌，这种解读也显示出有效性。然而，当批评家被洛威尔的评价中的"个人"、"自白"、"感受""自传体"等词语吸引时，却忽视了另外一个关键词"受控制"。而这个词分明表明，普拉斯的诗歌写作并非完全是简单地照搬生活，而同样经过了深思熟虑，她的手稿更表明，她的诗并非是简单的事实白描和愤怒宣泄，诗的字句选择都经过了反复的推敲，展现出高超的语言技巧。发现了这一点，后来的一些批评家慢慢有意规避这一单向视角，避免将普拉斯的诗歌用自传来进行"编码"，甚至开始有意识着眼于普拉斯诗歌与自白派诗歌之间存在的明显差异，从而

将诗歌的艺术性放在了同等重要的位置。

二、神话批评与女性主义

朱迪斯·科洛尔（Judith Kroll）的《神话中的章节：西尔维亚·普拉斯的诗歌》（*Chapters in a Mythology: The Poetry of Sylvia Plath*）运用神话批评细致解读普拉斯的后期诗歌，是普拉斯诗歌研究中非常重要的一部著作。作者是普拉斯史密斯学院的学妹，普拉斯毕业六年也就是自杀的前一年她进入史密斯学院学习，一次偶然的机会她从当年普拉斯的老师那里看到了普拉斯的诗歌并激发起浓厚的兴趣。于是她选择普拉斯作为她的毕业论文的研究对象。论文完成后，科洛尔才有机会与休斯见面，并帮助休斯整理普拉斯的诗集。科洛尔独立地洞悉普拉斯创作的灵感之源令休斯非常惊讶，而这篇论文就是《神话中的章节》一书的基础。在这部著作中，科洛尔超越了一种普遍性的理解，即认为普拉斯的自白诗是对其精神痛苦的如实记录，是普拉斯迈向自杀之途的诗歌自传，它认为这种错觉认识与在犯罪现场寻找血迹没有什么不同 (Kroll 1)。科洛尔运用神话原型批评方法提升了对诗人及其作品的认识，她发现，普拉斯生前对神话十分感兴趣，也对塔罗牌、占卜板和其他宗教仪式颇有兴趣。她在普拉斯的诗歌中发现了诸多 "女巫" 出没的踪迹，也发现了火刑架等与重生相关的神话意象。科洛尔创造性地指出，有一个 "月亮缪斯"（moon-muse）主导着普拉斯的创作灵感，它呼唤着一种周期性再生，而诗歌创作也需要反映出生死轮回的过程 (Kroll 41-47)。循着这一思路，科洛尔还解析了普拉斯的 20 多首诗歌，她向读者表明，普拉斯是沉迷于死亡的诗人，而死亡之诗的指向并不是消失，而是浴火重生，她的诗歌则是死的预兆，也是寻找涅槃方式的审美选择。科洛尔的这部著作还有许多创见，如她还运用罗伯特·格雷夫斯（Robert Graves）在《白色女神: 诗歌神话的历史语法》（*The White Goddess: Historical Grammar of Poetry Myth*）中对女性诗歌的分析方法，以及与詹姆斯·弗雷泽（James Frazer）在《金枝》（*The Golden Bough*）中分析古代重生神话相类比，分析普拉斯诗歌中出现的月亮意象以及蜜蜂社会的等级制度，从而视普拉斯为 "白色女神"，并试图梳理普拉斯意图在诗歌中创造的神话体系。这就把普拉斯从 "泼妇女神" 的标签中解放出来，同时也洞见到普拉斯笔下的人物和意象，更多是 "象征和原型"，这也使得她较之于同时代的自白诗人，具有不同的声音，"在某种意义上是和个人分离的"，"她的视野既完整又独立"，"是一种神秘的整体性视野" (Kroll 3)。

神话批评的另一个视角来自巴内特·古滕伯格（Barnett Guttenberg）的文章《普拉斯的宇宙观与叶芝的房子》（"Plath's Cosmology and the House of Yeats"）。在生命的最后阶段，普拉斯曾租住在叶芝曾经住过的伦敦公寓里，她对这仿佛上天的安排感到欣喜若狂。古滕伯格重点分析的是普拉斯诗歌中存在的辩证的太阳和月亮的对立关系和叶芝之间的关联，并举出例子比较了

两个诗人作品之间的相似性。当然，对于神话批评也有另外的不同声音，主要的意见在于认为这种解读显然是在一种父权制的背景下展开的，因此，它们将一些象征置于性别化的框架中。而传统的价值观和意象之间的勾连，则会导致可疑的固化的二元对立。而新近的普拉斯研究则表明，这样的价值观，以及截然的二元对立，恰恰是普拉斯所驳斥的，也是她努力克服的（Gill 118）。而另一个弊病则在于，神话解读追求研究普遍的、永恒的神话原型，而忽视了深植于普拉斯诗歌中的文化、历史和意识形态的因素（Gill 119）。

另外一篇突出的运用神话批评的文章，是桑德拉·M. 吉尔伯特的《"飞翔的精美白色神话"：一个普拉斯迷的自白》（"'A Fine, White Flying Myth: Confessions of a Plath Addict"）。文章中提出一个切中肯綮的问题：为什么这么多女作家的写作，典型地披上神话的面纱？作者继而以普拉斯为例进行了分析，他认为女性由于"被剥夺了教育、选举、工作和财产权，甚至更重要的是被剥夺了她们的自我"，因此，就选择"把自己的心灵成长的故事，甚至是来自自身的故事，伪装成大量铺张的，表面上看起来无关的形式和故事"（Gilbert 1978,589）。由此，由于意识到现实中身份和地位的缺失，普拉斯转向了一个想象的领域，用一种非理性、不真实、情感激越、具有象征意味的方式来呈现自我。这是从现实中的抽离，本意或许是在写作中隐藏现实中的自我，但其结果却相反更真实地反映出自我的主体性和现实经验之间的分裂。而构建神话王国（如"普拉斯神话"中的月亮缪斯、神化父亲）则成为了一种策略，用以逃离现实社会的困境，普拉斯的诗则探索了各种逃离的方式。值得注意的是，在和苏珊·古芭（Susan Gubar）一起主编文集《莎士比亚的妹妹们：女性主义论女性诗人》（*Shakespeare's Sisters: Feminist Essays on Women Poets,1979*）时，吉尔伯特也收录了这篇文章，并将标题中的"一个普拉斯迷的自白"更改为"普拉斯的生活与创作"（The Life/Work of Sylvia Plath），这表明作者的态度，这篇文章不仅是一篇神话批评，更是女性主义批评的成果。

普拉斯逝世后几个月，美国女作家贝蒂·弗里丹（Betty Fridan）出版了影响力很大的著作《女性的奥秘》（*The Feminine Mystique*）。书中描写了普拉斯同时代的女性，如何被社会和家庭所规定的角色所局限，她们不得不在自己的智慧、抱负、理想和残酷的社会现实之间努力求得平衡。而这样的经历，同样是普拉斯诗歌中的重要主题。随着女权运动第二次浪潮的到来，普拉斯的诗歌受到了更多女性主义批评家的关注。早期的解读者如科拉·卡普兰（Cora Kaplan）认为，普拉斯的拥趸们通过阅读她的诗歌，将她的死因归咎于父亲的早亡以及丈夫的离弃，这样的方式某种程度上是"严重的误读"，因为这"削弱了普拉斯抑郁的文化源头"。这一解读将矛头对准了父权制度，对准了"父亲、丈夫和神祇的原型，以及成为他们的同谋的女人们"。而普拉斯的书写则是大胆的反抗，因此，她就被抬升为"美国女性文学创

作的女先辈（foremother）", 她的开创之功使得 " 当今女作家对社会和自身地位的诅咒和书写成为可能 "(Kaplan 290-291)。而随着女性主义自身的理论发展，当它在艾莱娜·西苏（Helene Cixous）、茱莉亚·克里斯特娃（Julia Kristeva）、露丝·伊利格瑞（Luce Irigaray）那里与精神分析、后结构主义碰撞融合，不断产生新的理论视角和方法后，更为普拉斯诗歌的女性主义解读开拓了新的空间，开始关注诗歌中的身体与性别、女性的特殊经历、女性的身份建构、女性的言说方式等问题，相关成果异常丰富。如阿丽西亚·奥斯特瑞克（Alicia Ostriker）的著作《偷窃语言：美国女性诗歌的出现》（*Stealing the language: The Emergence of Women's Poetry in America*，1986），关注的重点是 " 有意识选择自己的性别作为探索经验中心 "(Ostriker 83) 的女作家，普拉斯则被作为典型进行分析。她通过诗歌作品的解读指出普拉斯身上存在一个 " 分裂的自我 "，而造成这种分裂的根源则在于社会的总体文化对女性和女性诗人的限制 (Ostriker 144)。桑德拉·M. 吉尔伯特的另一篇文章《在叶芝的房子里：西尔维亚·普拉斯的死亡与复活》（"In Yeats's House: The Death and Resurrection of Sylvia Plath"，1984）认为，普拉斯的诗歌作品中探索了 " 男性权威和女性身份之间的关系 "，后期诗歌中战争隐喻指向的是 " 两性之间的战争 "，是 " 个人的、政治的和美学的战争 "(Gilbert 1994,270-271)。英国学者苏珊·巴斯内特（Susan Bassnett）在《西尔维亚·普拉斯诗歌导读》（*Sylvia Plath: An Introduction to the Poetry*）也反对从自传性角度对普拉斯诗歌做过多的解读，她从诗歌的文本出发，重点关注 " 主题和语言类型 " 以及诗歌的 " 艺术性和技巧 "(Bassnett 2)，将普拉斯还原为一个具有独特女性声音的女诗人。她将普拉斯和阿根廷女诗人阿莱杭德娜·皮扎尼克（Alejandra Pizarnik）并提，认为她们之间有许多相似性，并将普拉斯置于自沃尔特·惠特曼（Walt Whitman）以来伟大的美国诗歌传统之中，她 " 同样创造出了属于自己的独一无二的诗歌宇宙 "(Bassnett 45-46)。凯伦·杰克逊·福德（Karen Jackson Ford）的《性别与超越诗学：织锦时刻》（*Gender and the Poetics of Excess: Moment of Brocade*，1997）同样把普拉斯的诗放在女性文学传统中考察，认为普拉斯的写作策略能够使其超越那曾经塑造和控制她写作的男性主导的审美趣味，在这样一个过程中，她创造了一种新诗学，" 使她能够面对、反抗不仅是主流文化的语言，也包括她自身语言的共谋 "(Ford 133)。福德发现了普拉斯诗歌中的自我反思性，而正是这贯穿其写作生涯的艺术自觉，使得普拉斯的诗歌在女诗人中显得卓尔不群，具有独特的风格。

三、精神分析和心理研究及其他

精神分析和心理研究的方法很早即运用于普拉斯的研究，它通常和传记研究结合起来，用以呈现诗人的内心世界。前面提到的布彻所写的传记，就是运用这一方法对诗人生活的考察。同样的方法，也见之于大卫·霍尔布

鲁克（David Holbrook）的著作《西尔维亚·普拉斯：诗人与存在》（*Sylvia Plath: Poetry and Existence*, 1976）。考虑到普拉斯生前对弗洛伊德理论的沉迷，以及她的确曾经接受心理治疗的经历，这一方法的确有其有效性。但这一方法的过度使用，就会将普拉斯"诊断"为各种神经官能症的患者，就像布彻得出的结论："神经过敏式的狂怒"、"恋父情结"、"内心狂躁"、"分裂人格"、"自恋"、"潜在的精神错乱"（Butcher 48,49,67,72,34）。此外，前期的相关研究更多关注诗人而非作品，也引起了许多非议。但是，精神分析和心理研究并没有就此停下脚步，随着这一理论本身的发展，如在雅克·拉康（Jacques Lacan）那里和语言学研究的交汇，在克里斯特娃那里和女性主义、后结构主义的融合，一些学者以新的视角来观照普拉斯和她的诗歌，更多聚焦于作品本身，从而突破了精神分析的局限性，取得了心理研究的新进展。

其中值得关注的一部著作是亚奎琳·罗斯（Jacqueline Rose）的《普拉斯阴魂不散》（*The Haunting of Sylvia Plath*）。该书的"导言"开篇即说："普拉斯之魂时常萦绕于我们的文化之上"(Rose 1)。因此，在书中，罗斯从文化不同层面考察了普拉斯的诗歌，既有诗学层面的，也有从性别角度的，还关注了写作中的身体以及这几者之间的关联。其中第二章所采用弗洛伊德与克里斯特娃的理论，运用精神分析方法解释普拉斯诗歌的生产方式，并试图发现普拉斯写作中所呈现出来的身体；第四章则采用的是女性主义的批评方法，试图发掘出普拉斯诗歌中显明的性别意识，并阐明这种性别意识如何促成普拉斯在诗歌中写下女性独特的身体经验与情感体验。罗斯的工作向我们表明，普拉斯的诗歌是对"人"的发现，而不仅仅是为了凸显人在社会中所扮演的角色，因此，她认为，在普拉斯身上并不存在许多批评者刻意寻找的一致性，以某种一致性去分析普拉斯无异于给原作者套上莫须有的枷锁。罗斯总结道："普拉斯既不是一种身份，也不是简单的分裂的多重身份。她尽力描写某种张力 —— 愉悦/危险，你的/我的过失，高级/低级文化 —— 但并没有解决或消除这两者之间冲突"(Rose 10)。在罗斯看来，批评者和读者都无法接近那个真实的普拉斯，她认为我们从作品中看到的普拉斯是一个"幻觉"，这样的解读为"我们破译作品及其在我们文化中地位的丰富性和启发性提供了可能"(Gill 125)。

斯蒂文·戈尔德·艾克斯罗德（Steven Gould Axelrod）的《西尔维亚·普拉斯：文字的创伤和疗治》（*Sylvia Plath*：*The Wound and Cure of Words*, 1992）将精神分析和文化、历史的视角综合起来，深入到文本的细节，去发掘普拉斯与父亲、母亲及他人之间的关系，以及与语言之间的关系。在艾克斯罗德看来，精神分析批评应该关注语言和主体性之间的关系，而不是预先假定作者的病理。克里斯蒂娜·布里佐拉基斯（Christina Britzolazis）在《西尔维亚·普拉斯和悲悼的剧场》（*Sylvia Plath and the Theatre of Mouning*, 1999）中运用镜像理论分析普拉斯的诗，关注诗人心理的自我映射，并指出

关注弗洛伊德理论的普拉斯与精神分析之间的互动关系："当精神分析在质询她的时候，普拉斯也在质询精神分析"（Britzolazis 7）。可见，后期的精神分析和心理研究已经不再局限于对诗人的研究，而是朝向作品、社会、历史的多个维度延伸，从而实现了对"自传性"单一维度的超越。

从政治和历史的角度分析普拉斯的诗歌，大致兴起于 80 年代。在一些学者眼中，将普拉斯描述为沉溺于个人经验的诗人，消减了她的诗歌的社会价值。事实上，她的作品中也有许多意象和经验，直接和社会公共事件密切相关，表现出她对人类总体命运的担忧。五六十年代美国麦卡锡主义的盛行、美苏冷战的不断升级，尤其是德国纳粹在犹太人集中营犯下的滔天罪行在战后被不断披露大量进入公众视线，这些都为普拉斯的诗歌创作提供了历史文化语境和写作素材。纳粹的暴行给人类带来的毁灭性灾难，还被她创造性地与个人经验联系起来，创伤记忆也因此从个体上升到群体，不断唤醒读者的同情心，深化对政治和历史的认识程度。而很多学者也开始着力剖析普拉斯诗歌中的社会问题。乔治·斯坦纳（George Steiner）认为普拉斯高峰时期的诗歌，可以和毕加索的《格尔尼卡》相提并论，她和"大屠杀"相关的诗歌，"将明显不可忍受的私人伤害转换成平铺直述的符号，转化成立刻与我们所有人相关的公共意象"（斯坦纳 347）。黛博拉·尼尔森（Deborah Nelson）将普拉斯诗歌置于冷战文化语境中考察，在个人生活与公共政治彼此交错的时代，自白诗提供了一种路径，"通过自我暴露的方式，粉碎了家庭意识形态"（Nelson 77），而她们的目标，最终指向反抗历史和政治的环境。此外，还有雷尼·R.库瑞（Renee R. Curry）、罗宾·皮尔（Robin Peel）、特蕾西·布瑞恩（Tracy Brain）等学者，分别从不同角度探究普拉斯诗歌中的政治色彩、种族意识、大西洋两岸的身份和文化认同、环境关切等等问题，在这些解读中，普拉斯个人的精神危机，演变成人类整体的生存危机的缩影，这就大大拓宽了她诗歌的阐释空间。

还值得注意的是诗人同行的评论，爱尔兰诗人西默斯·希尼（Seamus Heaney）的《不倦的蹄音：西尔维亚·普拉斯》("Indefatigable Hoof-Taps: Sylvia Plath") 是其中的出色篇章。希尼他以诗人敏锐的洞察力，用华兹华斯的一首诗作为隐喻，逐一剖析了普拉斯诗歌创作的三个不同的阶段，为普拉斯诗歌的跃升绘制出一条清晰的轨迹。他的分析是纯粹的诗艺层面的探讨。当然，作为丈夫的休斯如何看待普拉斯和她的诗，这是一个饶有兴味的话题。休斯本人有几篇文章专门阐明自己的态度，除了《普拉斯诗选》中的导言为他亲笔所写，散见于报纸杂志的文章《关于普拉斯》（"On Sylvia Plath"）、《普拉斯和她的日记》（"Sylvia Plath, and her Journals"）、《普拉斯安眠之所》（"The Place Where Sylvia Plath Should Rest in Peace"）、《当研究变为侵扰》（"Where Research Becomes Instrusion"）"等都谈到了他们的情感纠葛，也或多或少涉及对普拉斯诗歌的看法与评析，以及对普拉斯研究的态度。另外，

休斯在 1998 年推出的新诗集《生日信札》（*Birthday Letters*），以诗的形式回忆了自己逝去多年的妻子，这也为普拉斯的研究者提供了互文研究的视角和素材。

在过去的五十多年里，许多文学批评方法都在普拉斯研究中找到了空间，一大批著作、论文涉及了这位生命定格在三十岁的女性诗歌天才的方方面面。这些研究不断塑造着普拉斯，不断丰富着读者对普拉斯诗歌的认识。普拉斯的传奇人生，她的独特诗歌，一定还将继续吸引更多读者的关注，激起研究者的热情，在世界范围内获得她生前梦寐以求的不朽声名。

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艾德林译本《长恨歌》的译者伦理

Translator's Ethics in L. Eydlin's Translation of *The Everlasting Regret*

袁淼叙（**Yuan Miaoxu**）

内容摘要：译者伦理强调不同文化之间开展交流合作，体现译者身份的跨文化本质属性。本文以艾德林译本《长恨歌》为例，通过原诗与译诗的对比，揭示译者兼顾不同文化差异的翻译策略，考察译者对诗歌爱情主题的解读，分析译者对原诗再创作所选择的三种手段：1）保留诗行节律，舍弃行末韵脚，按四三式划分诗行；2）添加并细化情节，点出人物冲突，明晰人物形象；3）设置人物话语模式，以此为人物塑造的维度之一。

关键词：艾德林；《长恨歌》；译者伦理；俄译

Title: Translator's Ethics in L. Eydlin's Translation of The Everlasting Regret

Abstract: Translator's ethics highlights exchanges between different cultures and demonstrates a translator as an intercultural actor. Based on the comparison between the Chinese ancient poem "The Everlasting Regret" and L. Eydlin's Russian version, the author anatomizes the cultural-differences-oriented translation strategies, analyses Eydlin's interpretation of love theme, concludes his three translation methods. That is, a. Rhythm reservation and end rhyme deletion, so as to maintain one caesura in each seven-letter line and separate each line into 4-letter and 3-letter parts; b. Plots addition and details illustration, so as to strengthen character conflicts and to reinforce character images; c. Characters' discourse resetting, so as to employ more methods for character development.

Key words: L. Eydlin; *The Everlasting Regret*; translator ethics; Russian translation

Author: Yuan Miaoxu, Ph. D., is Lecturer at School of International Studies, Zhejiang University (Hangzhou 310058, China). Her major fields of inquiry include

Russian translation studies on Chinese Literature (Email: galinayuan@hotmail. com).

　　20 世纪俄国汉学"阿列克谢耶夫学派"对汉学研究的任务、目标和方法提出一系列新主张,"从根本上影响并改变了苏联汉学的面貌"(阎国栋,138)。该学派奠基人阿列克谢耶夫院士(Алексеев В.М., 1881-1951)培养了一大批杰出人才,堪称俄罗斯译介白居易第一人的艾德林(Эйдлин Л.З., 1910-1985)即是其中佼佼者。他以中国古诗词翻译研究为主,兼涉中国文学史问题,而对于这样一位重要的汉学家,国内却鲜有研究者关注。

　　据俄罗斯科学院东方学研究所中国研究室主任科布泽夫(Кобзев А.И.)统计 [1],迄今正式发表的 255 首白居易诗歌译作中,艾德林翻译了 244 首,其中 209 首收入在他五卷本博士论文《白居易绝句》[2],另有 35 首译作分别收在 1965 年和 1978 年出版的《白居易抒情诗集》(以下简称《诗集》)。艾德林将自己独到的见解融入翻译实践,其译笔下的白居易诗歌不仅最大限度保留了原来诗行内的节奏停顿,精当诠释了原诗内涵,而且读来全无晦涩生硬之感,可谓源语文化与译入语文化兼顾共存的译文。目前唯一正式发表的俄译《长恨歌》是译者的代表之作,它生动体现了艾德林身为译者的伦理,即译者是跨越不同文化的交流者,译者所采用的翻译策略须以兼容不同文化,实现跨文化交际为旨归;为实施此策略,译者的首要责任便是正确解读原诗内涵,辨清诗人的创作意图;在此基础上,译者选择不同手段转化原诗的形式和内容,完成对原诗的再创作。西班牙学者皮姆(A. Pym)在谈及翻译研究中涉及的伦理问题时明确提出术语"译者伦理",认为"译者处于两种文化的交汇处,他并不仅仅属于其中的任何一个文化社群"(Pym 11)。因此,译者伦理的核心是其身份属性,而译者的身份就是他在不同文化交流活动中被接受和认可的伦理身份。聂珍钊教授指出,"伦理身份是道德行为及道德规范的前提,并对道德行为主体产生约束"(聂珍钊 264),将之联系到翻译活动中,则译者在自身跨文化交际人的伦理身份约束下,发挥主观能动性,协调冲突关系,改善文化隔阂,期间所发生的具体翻译行为,包括采用的翻译策略、对翻译作品的解读诠释、选择的翻译手段等均须符合跨文化交际的要求,并服务于实现跨文化交际的目的,归根结底,是须与译者的伦理身份相一致。本文将以艾德林俄译本《长恨歌》为例,通过原诗与译诗的对比,揭示译者翻译中国古诗词的基本策略,考察他对诗歌主题意义的解读诠释,

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1　详见 Кобзев А.И., Орлова Н.А. Жизнь и поэзия Бо Цзюй-и. В кн.: Общество и государство в Китае. Т. XLVIII, ч. 2. М.: ИВ РАН, 2018. 640-737.

2　艾德林于 1942 年完成博士论文答辩,但此份近七百页的论文手稿因种种历史原因,至今尚未公开。目前已列入科布泽夫主编的丛书《俄罗斯汉学档案》(«Архив российской китаистики»)出版计划之中。

分析译者选择何种具体手段对原诗进行再创作，由此三个方面展现艾德林的翻译伦理思想。

一、译者身份与策略

俄罗斯汉学界的中国古诗词翻译研究历来注重汉诗"含蓄"特征并将"以诗译诗"原则视为基本策略。此观点的提出者阿列克谢耶夫院士认为，中国古典诗歌固有的"含蓄"是一种意义的"聚藏"（таящееся накопление），它"超越诗作本身而成为诗歌本质"（Алексеев, Vol.1 100）。为传达这一本质，院士提倡翻译诗歌时"应当同样以诗歌作回应"（Алексеев, Vol.2 159）。当代汉学家科布泽夫将保留"含蓄"特征和"以诗译诗"原则分别列入内容和形式的范畴，将两者视为中国古诗翻译的两大要点并认为其在白居易诗歌翻译中尤需关注。科布泽夫指出，若丢失含蓄将使白诗译作"大大失色"（Кобзев, Орлова 649），与此同时，真正意义上的诗歌要靠韵脚体现，而译诗中的韵脚"只能通过节奏、元音及辅音重复进行部分的补偿"（Кобзев, Орлова 649）。在科布泽夫看来，做到押韵的白居易诗歌译作数量有限，俄罗斯科学院远东研究所高级研究员托罗普采夫（Торопцев С.А.）翻译的《暮江吟》[1]是其中之一。原诗第一二四句末尾押ong韵，译诗采用俄语四行诗常见的交叉韵，第一三行押韵，第二四行押韵，韵式为abab：

一道残阳铺水中，	Заря вечерняя на гладь упала,
半江瑟瑟半江红。	Лазурь окрасив в розовое вдруг.
可怜九月初三夜，	О, эти ночи осени начала!
露似真珠月似弓。	Роса – жемчужинки, а месяц – лук.

作为阿列克谢耶夫院士治学思想的继承者，艾德林赞同汉诗的含蓄性，理解院士追求理想翻译的愿望，但同时又从译者伦理身份出发提出自己的思考。艾德林借用王世祯《渔洋诗话》中"神龙见首不见尾"的神韵说，指出隐藏的"龙尾"正是汉诗含蓄部分，它与外露的"龙首"不相仿，若想明了诗人主旨所在的"龙尾"，须通见整条龙，须完整展现诗作意义[2]。就具体展现之法，艾德林认为，蕴意丰富的汉字使中国古诗更多依靠读者想象，而非仅仅记录诗歌的汉字本身，"作为读者之一的译者，需要从自己掌握的

1　该首译诗摘自 Три вершины, семь столетий. Антология лирики средневекового Китая. пер. с кит. С.А. Торопцева. СПб.: ИД «Гиперион», 2016.

2　详见 Кобзев А.И., Орлова Н.А. Жизнь и поэзия Бо Цзюй-и. В кн.: Общество и государство в Китае. Т. XLVIII, ч. 2. М.: ИВ РАН, 2018. 640-737.

不同解释中选择一种呈现给读者 "（Эйдлин, "The Chinese Classical Poetry" 194）。可以说，艾德林对自己既是译者，又是读者的双重角色认知，正是因为将自己放在了跨文化交际中间人的位置上。如在处理《长恨歌》诗句 " 九重城阙烟尘生 " 的后三字时，艾德林没有束缚于 " 生 " 字的 " 产生、出现 " 意义，而采用 " 烟尘遮蔽了眼睛 "（дым и пыль их закрыли от глаз[1]）的形象描写让读者感受尘土飞扬的场面。的确，中国与俄罗斯分属东西方不同文化体系，人们在思维观念和知识背景上的固有差异不可避免，且中国古人受整体性意识传统影响，习惯于委婉表达，因此在译文中适当增加原诗字面外的背景内容，可以帮助读者快速领会诗作内涵。此外，就目前掌握的资料看，艾德林未曾对 " 以诗译诗 " 原则做明确回应，但通过自己的翻译实践表明了看法。在艾德林的译诗中，原本七言诗句按照四三式断开分割成两行，节律得以较好保留，但诗行末尾的韵脚已几不可闻。如下面四句诗原本在第二四句押 e 韵，可译文中已无诗韵：

天生丽质 // 难自弃，	Красоту, что получена в дар от небес, разве можно навек запереть?
一朝选在 // 君王侧。	И однажды избрали прелестную Ян самому государю служить.
回眸一笑 // 百媚生，	Кинет взгляд, улыбнется – и сразу пленит обаяньем родившихся чар,
六宫粉黛 // 无颜色。	И с дворцовых красавиц румяна и тушь словно снимет движеньем одним.

　　诚然，诗歌有别于散文的显著特点在于其音乐美，而艾德林在译诗中保留了节律，舍弃了韵脚。这样的译作是否真如科布泽夫所言仅仅是 " 符合语言规范、质量上乘的参考译文 "（Кобзев, Орлова 646）？答案是否定的。对于身处中俄两种文化中间的艾德林来说，要使陌生的中国古诗被俄罗斯读者接纳，除了诗作内涵易于理解外，译诗诵读起来能够琅琅上口也格外重要。就后者而言，诗歌诵读的音乐性与诗行节律、行末韵脚等均相关。七言古诗可以句句押韵，也可以隔句押韵，基本节律为二二二一或二二一二，且声律节奏和语法结构紧密相关。诗句的 " 三字尾 " 虽因单音节位置先后而产生 " 二一 " 和 " 一二 " 两种变化，但 " 把三字尾看成一个整体，连三字尾以外的部分也看成一个整体。这样分析更合于语言的实际，也更富于概括性 "（王力 119）。而在俄语诗中最常见的是音节重音诗，其 " 诗行末尾的停顿对构

1　本文所摘《长恨歌》俄译诗句均出自 1965 年出版的《白居易抒情诗集》（Бо Цзюй-и. Лирика. Пер. с кит. Л. Эйдлина. М.: Художественная литература, 1965.）。

成诗的节奏有着极其重要的意义，它使诗行成为节律单位最重要的手段。……韵脚对于诗行末尾的停顿具有强调作用"（黄玫 197）。因此可以说，不论汉语还是俄语，节奏鲜明都是诗歌最明显的特征之一，而押韵是在节奏感之外重复乐音以构成声音回环美。上文《暮江吟》译作中虽然采用了 abab 的交叉韵，但押韵方式与原诗第一二四句用韵方式截然不同，读者朗读译作后无从感受原作诗韵。即便译者尽力复制原诗押韵方式，译诗中韵脚的声音回环效果也与原诗不同 [1]，所以更能令俄罗斯读者对中国古诗音乐美感同身受的是诗行内的节律。对此，艾德林不囿于诗歌押韵规则，将原诗行中最大的一个节拍停顿"三字尾"分行划出，既展现了古诗节奏感，又保留了意义完整性，从视觉和听觉两方面给读者留下深刻印象。

可见，艾德林始终遵从自己的伦理身份，把自己定位成跨文化交际的使者，坚持源语文化与译入语文化协调兼顾的翻译策略，展开诗作内容、保留节律、舍弃韵脚，以求俄译汉诗贴近读者，虽然在还原中国古诗含蓄美和音乐美特征上尚有遗憾，但其长处值得借鉴。

二、译者责任与解读

译者采用对源语文化与译入语文化协调兼顾的策略进行翻译转化活动，离不开对原诗的解读。翻译伦理研究者切斯特曼（Andrew Chesterman）明确提出，"译者的首要任务是……理解原文，了解读者期待，为读者提供解释"（Chesterman 182）。可以说，准确把握原文意蕴，从中衍生出某种诠释，建立稳定的跨文化交流关系是伦理身份要求译者承担的责任，也是翻译前的必备基础，且贯穿翻译活动全过程，更是译者伦理的一个重要体现。

自《长恨歌》问世以来，人们对其解读与批评从未间断，尤以主题研究引各家争鸣。到艾德林译诗的二十世纪中后期，国内学界就爱情说还是讽喻说的辩争尤为激烈，双方你来我往，势均力敌。一方以白居易有意剔除历史上带负面色彩的事实为基础，认为《长恨歌》最动人之处是对帝妃感情的肯定，进而升华为对团圆美满生活的向往。另一方以现代史学家陈寅恪提出的《歌》《传》"非通常序文与本诗之关系，而为一不可分离之共同机构"[2]（陈寅恪 4）为理据，论证全诗重心在于曲笔批判统治者贻误国政的教训。

俄罗斯汉学界对《长恨歌》主题做过专门论述的是艾德林。他在首次刊登该诗译作的 1965 年版《诗集》前言中详细介绍了诗人与朋友陈鸿、王质夫游览途中创作该诗的缘起，回顾了诗中故事发生的历史背景，并推出陈鸿所

1　在译作中复制原诗押韵方式的例子详见曾思艺的文章"复制原诗韵脚的重要性——也谈俄语诗歌翻译中的格律问题"，刊于《景德镇学院学报》，2017 年第 2 期。

2　陈寅恪认为白居易之《长恨歌》与陈鸿之《长恨歌传》同属一体，"则《长恨歌》者，……即'长恨歌及传'中分出别行，……实不能脱离传文而独立也"，同时提出在白氏诗集中归入讽喻诗的《李夫人》是《歌》及《传》的缩写。陈寅恪虽未明指讽喻，但导向十分清楚。

谓"白居易作诗不仅为了写感人故事，还为警示后人以免重蹈覆辙"（Эйдлин, "Bai Juyi (Foreword)" 10）的观点。对此，艾德林指出，陈鸿"束缚于儒家思想而误解了白居易的意图，将长诗理解为训诫文的尝试是徒劳的"（Эйдлин, "Bai Juyi (Foreword)" 11）。艾德林认可白居易是一位成功的入仕者，认可他践行了"文章合为时而著，歌诗合为事而作"的文学创作追求，但《长恨歌》不同于诗人其他作品，诗中描绘的"一切都是升华的和美丽的"（Эйдлин, "Bai Juyi (Foreword)" 21）。因而与讽喻功能为旨归的观点相比，艾德林坚定支持爱情主题说，更看重诗作本身的审美价值，更关注诗中两位主要人物的命运。

在艾德林看来，《长恨歌》中糅杂了民间传说的成分，主要人物玄宗是"一个痛失所爱的普通人……（诗中）既没有对统治者的恭维，也没有对沉迷爱情而'不早朝'者的指摘，有的只是对遭受深切不幸者的巨大同情。"（Эйдлин, "Bai Juyi (Foreword)" 12）不仅如此，艾德林还提出，与玄宗相比，"白居易更关注杨贵妃的命运"（Эйдлин, "Bai Juyi (Foreword)" 12）。他将人物杨贵妃与白居易其他诗作中描写的女性形象，如诗人的妻子、无名农妇、王昭君等归为同类，认为这些形象的塑造均体现出诗人对女性不幸遭遇的惋惜怜悯之情。他逝世后第三年出版的《唐诗选集》仍然以其题为《唐代诗歌》的文章作序，在该序文中艾德林分出笔墨讨论杨贵妃，并直截了当指出"白居易十年后写就的《琵琶行》……已经全无《长恨歌》中的光采鲜明。杨贵妃化作仙子，成为永恒爱情的象征。"（Эйдлин, "Tang's Poetry (Foreword)" 18）同时，序文中还提出，从《长恨歌》中"可以深入探察到人类的内心世界……在一个极其透明的掩饰之下描写的是唐明皇对杨贵妃的爱情"（Эйдлин, "Tang's Poetry (Foreword)" 18）。艾德林认为此作品是诗人"唯一一次触及统治者内心痛苦的尝试"（Эйдлин, "Tang's Poetry (Foreword)" 18），作品颂扬了人类伟大的情感。由此可见，艾德林借"透明的掩饰"承认诗中有对帝妃的负面描写，但那些负面信息掩饰不住帝妃之间真挚的感情，也掩饰不住诗人直击人类内心情感的创作意图。

艾德林以《长恨歌》的主要人物为抓手，通过与诗人其他作品中人物的对比关照，做出《长恨歌》爱情主题说的解读，履行了译者正确理解原诗的责任，为实践翻译转化做了充分准备。

三、译者选择与再创作

上文中艾德林围绕《长恨歌》爱情主题说的阐释是译者履行自己责任的过程，也是进行该诗翻译的前提和基础。通过原诗与译诗的比读可以发现，艾德林并非复制式再现原诗，而是对原诗进行了再创作。下面将着重从译诗形式、情节加工、话语模式三个方面具体分析译者选择何种语言手段来兼顾两种文化差异，凸显主人公形象，以此表达自己对主人公爱情悲剧的惋惜之情。

　　首先，从译诗形式看。歌，本是中国古代歌曲的一种形式，其音节、格律相对比较自由。王力先生在谈诗词格律时，将《长恨歌》归为"入律的古风一类"（王力 244）。中央文史研究馆资深馆员程毅中先生在《中国诗体流变》一书中也以该诗为例谈论新式古风，指出全诗一百二十句，"合律的句子有七十句，近似合律的拗句有三十句……因此可以称之为基本合律的七古。而且……大多是一韵四句"（程毅中 133）。据此，若以四行为一个单位，那么全诗三十个单位中的一半是用韵的，或一二四行押韵，或二四行押韵，但韵脚做了改换。艾德林将整首七言古诗全部按照四三式进行了切分，得到二百四十行诗，既传达了诵读节奏，又借"三字尾"保留了相对完整的意义；每句俄文诗行的长度大体相当，但俄语诗歌的押韵规则已被打破。如以下四句诗在原诗中第一二四句押 ao 韵，每句的"三字尾"是一个独立短语，或主谓结构，或动宾结构，或偏正结构，且意义并不与前四字粘连，译文中将后三字独立成行，从形式上与前四字断开，节奏明朗，意义也随之相对独立：

云鬓花颜 // 金步摇，	Эти тучи волос, эти краски ланит 　　и дрожащий убор золотой…
芙蓉帐暖 // 度春宵。	За фужуновым пологом в жаркой тиши 　　провели ту весеннюю ночь.
春宵苦短 // 日高起，	Но, увы, быстротечна весенняя ночь, – 　　в ясный полдень проснулись они.
从此君王 // 不早朝。	С той поры государь для вершения дел перестал по утрам выходить.

　　在对译诗加注时，艾德林也站在普通读者立场，避繁就简。他仅以寥寥几词在译诗正文前交代创作背景，仅对原诗中十四个专有名词给出解释并附于译诗正文之后，如"太液"（название озера）、"黄泉"（ключи, бьющие под землей; могила）等，避开学究式追本溯源的冗长形式。这样一来，译作可以说是一篇句长统一、节奏工整的无韵诗歌，配合点到为止的名词注释，带给俄罗斯读者直观上整齐的形式美感，缓解了大众由于异域文学造成的阅读压力，使其获得流畅无中断的阅读体验。

　　其次，从情节加工看。艾德林作为爱情主题说的支持者，在翻译过程中自然以刻画人物形象、突出人物关系张力、颂扬真挚情感为导向。为此，对原诗情节补充增添或化粗为细成为译者加工故事内容的两个主要着力点。遇到原诗中上下诗句内容跳跃、衔接疏松的部分，艾德林勾勒出事件发展隐含的线索，完善上下行间起承转合的关系，把原本含蓄的"意会"之义通过"言传"挑明。例如在故事演绎到叛军来袭，玄宗的随从护卫军逼迫其处死贵妃

这一转折事件时，白居易仅用两句诗交代过程和结果："六军不发无奈何，宛转娥眉马前死"。试对比译文：

Непреклонны войска. Но чего они ждут,

что заставит в поход их пойти?

Брови-бабочки – этого ждали они –

наконец перед ними мертвы!

　　诗人没有将笔墨落于玄宗或贵妃的形象描摹上，而借玄宗之口发出"无奈何"的慨叹，用他的心理活动引出接下来不得已的"马前死"之举。"宛转"意指贵妃的哀怨缠绵，犹如运用了中国绘画技艺中的"传神"[1]手法，将具象虚化，留出更多品味想象空间。经艾德林译笔转换后，两位主人公形象完全退到幕后，仅余"娥眉"（брови-бабочки）令人分辨联想到女性。艾德林正面聚焦"六军"，呈现其"不服从"（непреклонны）的状态，剖析其内心活动：他们不依不饶，等待玄宗做出抉择后才愿意重新出发。之后借 наконец 一词，艾德林从结果推导过程，强调当时双方僵持胶着的局势：玄宗下不了狠心，而护卫军苦苦相逼，最终后者等来了眼前的"娥眉"之死。艾德林没有多费笔墨，也不借助文外手段，通过视角改变插入各路人物的冲突关系。表面上看，译者翻转颠倒了人物的主次位置，将白居易诗中未尽之语推到前景，实则是对主要人物先抑后扬的故意为之，反衬以帝王之尊亦无可为的窘迫，为后文玄宗的追思行为做了铺垫。同时，这也是译者出于俄罗斯读者缺乏背景知识的考虑，捋清事件发展脉络，提高译本接受效果。

　　除了对原诗情节空缺部分进行完善，艾德林还对诗中情节添墨加色，化粗为细。原诗描写了叛乱平息后玄宗回朝途经马嵬坡时的触景生情。诗人在此处抛开了人物肖像勾勒，仅用一句"到此踌躇不能去"概括点染出玄宗徘徊不舍离去的心理状态。而艾德林的处理则仿佛架起长焦镜头，压缩空间纵深距离，将视觉焦点对准玄宗，通过人物的三个连贯动作，像延时回放一般拉长画面，使原本虚糊朦胧的人像在纷乱的环境中得到凸显，暂缓了事件推送节奏。虽没有"踌躇"二字，却有"踌躇"之举：

Подъезжая к Мавэю, поник головой

и невольно коня придержал.

　　译文于此处首次点明贵妃身死之地马嵬（Мавэй），比原诗中该地名的

1　古代人物画家顾恺之将"传神"作为评画的第一标准。如何能使画传神，画家在其《传神论》中提出"迁想妙得"的方法。本文作者认为，此法若用于诗歌吟咏，可理解为读者从文本中感悟到的思想与自身先验知识相结合，进而迸发对诗歌的新感受。

出现位置提前了一个诗行，以空间场景的移换暗示叛乱纷争渐远；同时译者根据之后诗行中"信马归"的信息，在此处细致描画玄宗骑马回长安靠近马嵬时，情不自禁勒住缰绳，垂头感伤的动态画面。译文通过对人物细微动作的铺陈放大，完成了玄宗这一形象自安史之乱起"先抑"的阶段，使其逐渐明晰并回归到主要人物的中心位置，蓄势之后开始"后扬"，引出下文物是人非的感伤情思。

　　最后，从话语模式看。人物话语是塑造人物形象的重要维度之一。为此，艾德林在译文中为贵妃增设了话语，且集中在全诗后三分之一篇幅的仙界寻访情节。白居易以民间传说为蓝本，随着故事上演空间由人间到仙界、由真实到虚构的切换，为贵妃改换了身份，令其重新登场。诗中围绕她做了由外而内、由远及近的描写，起笔于场所环境、家仆婢女，继而起居内室和服饰发鬓，最后落笔于其面部表情和内心活动。艾德林基本沿用了白诗的结构，但对最后的人物内心活动，也是全诗高潮尾声部分做了更改，代之以话语模式配合相应动作，与原诗中本有的外貌描写共同支撑起立体式的、活生生的人物形象，使饱含深情又凄婉悲凉的临别绝唱牢牢吸引住读者眼球，渲染了全诗悲情色彩。试看以下三组在译文中引导人物话语的诗行：

①含情凝睇谢君王，	Скрыв волненье, велит государю сказать, как она благодарна ему:
②钗擘黄金合分钿。	И от шпильки кусочек взяла золотой, в платье спрятала крышку она:
③临别殷勤重寄词， 词中有誓两心知。	И прощаясь, просила еще передать государю такие слова (Содержалась в них клятва былая одна, два лишь сердца и знало о ней):

　　白诗中由①开始往下的二十行诗表现贵妃到仙界后对玄宗的思念，可以看作由心理描写和赠物寄词两部分构成的整体。在这二十行诗中，第一行借道士的视角描写贵妃表情与举止，接下来五行诗从贵妃视角出发，表相离之后的苦楚，属心理活动。之后的十四行诗围绕贵妃与道士告别时的叮嘱寄词，没有运用人物对话形式，而以转述方式展开，造成语言心理化的效果，无形中使贵妃形象退回后景，拉大了作品人物与读者的距离感，也符合中国人思维中对仙界虚无朦胧的惯有联想。而艾德林将话语模式带入译本，把①转换为人物话语前的提示语，以直接引语带出之后的十一行诗，增强了人物的真实存在感。值得一提的是，②在原诗中处于两联诗行的下半联，但艾德林将之当作连贯直接引语的中部提示语单独划出且附加人物动作。一方面，此行诗中的"钗""合"二字确与上行诗中字眼重合，从形式上将两行分隔开，可

以相对弱化重复感；另一方面，接下来的两行"但教心似金钿坚，天上人间会相见"暗含誓言之意，不同于上文的场景描摹，故而艾德林借助"她将分出的一块宝钿藏于衣中"的动作，提示读者关于"旧物"的叙述结束，将过渡到"寄词"部分。③是原诗中"寄词"部分引子，放缓故事进度以推出全诗最强音"在天愿作比翼鸟，在地愿为连理枝"。艾德林沿用此联诗作为引子的功能，但重设了诗行结构以突出接下来的寄词。上联处理为话语前提示语，导出直接引语；下联内容仍然保留，但以诗外注释形式局限于括号中，成为阅读的辅助信息。可以说，艾德林巧妙运用标点符号对原诗行精心布局，使得译作中各诗行主次功能分明，层次清晰，衔接有致。从原诗中静态心理活动转换而来的动态话语不仅有效推动了故事进展，更为人物塑造提供了鲜活的素材，使贵妃形象得到容貌、动作、话语三个维度的组合呈现。如此一来，人物形象伴随着情节上演逐步完善丰满，又因自身清晰的辨识度而与情节拉开适当距离获得独立性和典型性，成为译者呈现自己对诗歌主题思想解读的重要载体。同时，经译者之笔刻意彰显后的人物不仅烘托了诗歌主旨，还可以顺利带领读者进入作品的世界，以优先且相对详尽展露的人物情感引导读者思维，获得其认同感。

综上所述，俄译本《长恨歌》充分体现了艾德林的译者伦理。身为译者，他以协调缓和两种文化差异、实现跨文化交际为翻译策略；他积极承担译者责任，对诗作主题爱情说进行细致解读；他选择恰当手段对原诗再创作，保留原诗行内节律，加工情节内容，凸显人物形象，为俄罗斯读者呈上了一曲真挚感人的爱情颂歌。

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编史元小说的史学性和诗学性解读
Historic and Poetic: Interpreting Historiographic Metafiction

张　谡（**Zhang Su**）

内容摘要：编史元小说就是把历史事实进行诗学叙述的元小说。20 世纪 70 年代，分析的历史哲学替代思辨的历史哲学，并开始主导史学界。分析的历史哲学认为"历史"本身的概念就是模糊的和变化的。编史元小说是分析哲学思潮的体现，它通过互文性和后现代性重构了历史与文学的关系。另外，编史元小说从形式主义和历史主义的角度重构历史，阐释历史多样可能性，是一种文学创新。但是，编史元小说深受新历史主义和解构主义的影响，存在历史虚无主义倾向。特别是在中国，编史元小说可能不利于文化自信心的培养。同时，其叙事借鉴的互文性，常常是故事结构和情节的过分指涉，容易构成某种剽窃。
关键词：编史元小说；历史性；文学性；历史虚无主义；剽窃
作者简介：张谡，天津商业大学外国语学院副教授，研究方向为比较文论与话语批评。

Title: Historic and Poetic: Interpreting Historiographic Metafiction
Abstract：Historiographic metafiction is referred as a metafiction that relates historic events in a poetic language. Since 1970s, analytical philosophy of history becomes to dominate historic field by replacing speculative historicism, which contends that history itself is a discipline with ambiguity and variation. Historic philosophy embodies analytical philosophy of history and reconstructs the relationship between history and literature through intertextuality and postmodernity. What is more, historiographic metafiction reconstructs historic events and discloses variable historic possibilities, which amounts to literature innovation. But historiographic metafiction, much impacted by neo-historicism and deconstructionism, contains a tendency of historic nihilism. Especially in China, historiographic metafiction possibly blemishes cultural confidence fostering and its narrative intertextuality is so over-referring the existing structure and plots that it sometimes amounts to a kind of plagiarism.
Key words: historiographic metafiction; intertextuality; postmodernity; historic

nihilism; plagiarism.

Author: Zhang Su is Associate Professor at School of Foreign Languages, Tianjin University of Commerce (Tianjin 300134, China), specializing in comparative literary theory, critical discourse analysis (Email: 849872107@qq.com).

引言

　　元小说，是叙事中通过自我暴露叙述层，即以小说自身为对象来探讨小说所具有的内涵与意义的一种具有"自反性"的一种小说类型。"元小说的宙斯"威廉·加斯（Willlian. Gass）认为元小说是"关于小说的小说"。元小说的主要特征是自我意识、自我反省和自我指涉。在元小说中，作者经常暴露写作技巧、创作过程和情节虚构性，作者、叙述者与主人公以及目标读者等角色经常穿插。传统的元小说的叙事特征在于话语形式，而编史元小说主要指涉小说的价值层面，它涉及到叙述形式、故事内容以及价值与意义等。 如果后现代主义元小说悖论式地以历史事件和真实人物作为小说题材，通过解构已经构成意义与价值的历史事件，从文学的角度把历史进行诗学的叙述，那就是后现代历史诗学。1988 年，加拿大文艺理论家琳达·哈琴（Linda Hutcheon）在出版的《后现代主义诗学：历史、理论与小说》一书中最早归纳和定义了后现代历史诗学，并把这种小说定义为"历史编撰元小说"（historiographic metafiction），或可译为"编史元小说"。

　　自从上世纪 60-70 年代， 欧美文学界出现编史小说热潮以来，编史元小说的创作一直深受读者欢迎。 学术界对这种小说文体的研究也比较多。概括而言，欧美文学界对编史元小说研究的主流角度是文本结构与叙事策略，即历史的诗学叙事研究。海登·怀特（Hayden White）、米歇尔·德·瑟特（Michel de Certeau）、保罗·维恩（Paul Veyne）、路易斯·明克（Louis Mink）和莱昂尼·格斯曼（Lionel Gossman）等主要研究都可以归入此类。赫伯特·林登博格（Herbert Lindenberger）认为，在 20 世纪 70 年代的理论氛围下成长起来新历史主义小说家认为历史与小说都是话语、建构行为和符号系统。这样，小说也可以通过诗化的手段，以文本化的形式，即文件、档案、叙述、目击者的陈述等来建构历史。而且，赫伯特·林登博格也指出，这一时期学术界已经无法继续沿用旧的样式或使用传统的文学史语言。马克·柯里（Mark Kurrie）认可保罗·德曼关于历史知识的基础不是经验的事实而是书写的文本。在《后现代叙事理论》中，马克·柯里专门论述了传统历史文本的"遏制战略"以及历史话语的重构问题，认为编史元小说重构了真实与虚构的关系，是历史材料的诗学叙事。艾米·伊利亚斯（Amy J. Elias）在《元历史罗曼司：崇高的历史和对话的历史》中，认为编史元小说重复和延续了自司各特以来的历史罗曼司书写，又加入许多后现代主义历史书写的基本思路，尤其是对话

主义。而其中的对话主义思路是对"绝对的怀疑主义"造成的紧张的一种缓解方式。安斯加·努宁（Ansgar Nunning）在《编史元小说与叙事学的相遇：走向实用主义叙事学》一文中，认为编史元小说中有目的的叙事实为一种实用主义叙事学。同时，以具体作品作为研究对象，探讨小说的主题或者母题是西方文论界编史元小说第二个研究主流。这类研究的结论大都旨在揭示作品中所蕴含的后现代历史哲学观。特丽莎·露登（Teresa Ludden）在《安妮·杜登＜达兹·约达斯恰夫＞中的历史、记忆和蒙太奇》一文中探讨了小说《达兹·约达恰夫》对"大屠杀"母题的复杂阐释和重述，并对后现代历史编纂中有关身份、移情以及空白等观念进行了小说文体的解读。琳恩·沃尔夫（Linn Wolf）在《文学的历史编撰：W.G 司博德的小说》一文中探讨了司博德小说中的美学主题。琳恩·沃尔夫也发现在小说《奥斯特利兹》中，司博德不仅重构了奥斯特利兹的个人历史，更迂回地再现了大屠杀的图景，并前置了对大屠杀的重述中面临的种种问题，为作家和读者以"召唤—应答"的方式植入个人历史观提供了开放的空间。米古尔·洛佩兹·洛迦诺（Miguel Lopez lozano）《红色踪迹: 加西亚小说＜黑曜石的天空＞中的编史元小说和"之家诺"身份建构》认为小说《黑曜石的天空》最典型的叙事手法是戏仿和拼贴。同时，发现作者"露迹"，米古尔认为作品的主题是重述当今仍被边缘化的印度安人历史，旨在对抗殖民者对印第安人游戏般的历史书写。本文试图从历史哲学发展史的角度阐释编史元小说，尤其是对历史与小说关系的重新构建，并探讨编史元小说的不足之处。

互文性与后现代性：从历史哲学发展角度的阐释

历史编撰元小说的理论内涵的关键词是后现代、元语言和元历史。我们知道，维科所开创的以历史作为本体的致力于探讨历史规律的、思辨历史哲学导致了人文主义和科学主义的对立。黑格尔推崇启蒙的"理性"的大旗，把历史定义为"整体"。黑格尔认为，历史的"绝对理性"在线性时间中展开，具有整体性和稳定性。也就是说，历史具有规律性。历史是通过"总体"和"过程"的规律展示自身终极目的的"元历史"。柏拉图的形而上学、黑格尔的"历史个人"影响下的历史叙事必然是宏大叙事，也就是现代性叙事。相应的，现代性启蒙的历史作品都是用时间构建一切价值和意义。20 世纪 70 年代，分析的历史哲学开始代替思辨的历史哲学，新历史主义开始主导史学界。分析的哲学关注人类对历史的"认识论"，认为"历史"本身的概念就是模糊的和变化的。德里达、利奥塔和福柯致力于解构启蒙理性带来的"逻格斯中心"、话语霸权和知识的权力关系。分析哲学主导下历史学家开始关注文本和话语的历史。此时的历史哲学把修辞学引入历史，历史叙事不再拘泥于人类整体的、民族的、国家的政治史、帝王史等大写历史的宏大叙事，而是开始考察家族史、个人史、地方史等小历史的微观叙事。新历史主义史学家开始把历

史事实与语言符号对等看待，降低了历史事件的"真实"的高贵地位。历史真实成为不可能或者多样性的语言构建。历史知识的不确定性和对历史"唯一"或"最佳"真实的阐释的怀疑直接剥夺了历史文本的优越地位。历史本身成为模糊的、矛盾的术语。事实以及事实的内在逻辑与因果关系、真理、价值以及叙事的"统一"关系都遭到怀疑和解构。"科学"与"诗学"界限成为伪命题，历史文本成为文本的一种，历史叙事也成为叙事中的一种，历史的呈现变成了呈现的历史。历史学也就成为文学修辞和符号编码了。历史不再是绝对的真实，小说不再是纯粹的虚构。历史和小说"都是话语、人为建构和表意系统"（Hutcheon 93）。历史编撰元小说不否认历史的真实，但是把历史事件（events）和历史事实（facts）加以区分，而历史事件存在于"文本化的残余——文献、档案证物或者目击证据中"（Hutcheon 96）。历史事实则成为结果阐释和编排的"被赋予意义的事件"。强调"不同的历史视角可以从同一历史事件中找到不同的事实"（Hutcheon 119）。历史编撰元小说正是在这种历史的模糊处发力，把时间叙事转变为空间叙事，把历史的宏大阐释转变为"自身和个人"的解释。所以，在批评家眼中，历史编撰元小说重新构建了历史和小说的关系，"（它）在理论上对历史和小说均属人为建筑物具有清醒的自我认识，从而为它对过去的形式和内容进行重新思考和再加工奠定了基础"。（Hutcheon 5) 当然，哈琴的历史编撰元小说对纯粹"自恋式"的元小说和以"悖谬"和"戏仿"的方式关注和重构历史与社会的后现代小说进行了区分。

　　如何理解编史元小说的后现代性与互文性呢？"互文性理论认为，任何一个文本都是历史地存在，都是从历史或现实的其他文本中汲取写作养料"（罗虹、刘紫丰 39）。让·弗·利奥塔说："用极其简要的话来说，我给后现代主义下的定义是对元叙述的怀疑态度"（Lyotard XXIV）。现代主义一直致力于构建理性、本质和普遍性。后现代主义则以不确定性作为主要的特点。一般而言，评论界用"模糊的文学"、"文学无政府主义"、"美国 X 一代文学"、"荒诞派文学"来指代后现代主义文学。后现代主义的叙事方式是符号游戏化、无主题、无情节、无人物、无中心和无意义。詹姆逊指出，后现代主义文学的主要特征是: 深度的消解、历史观念的消解、情感的消解和距离感的消解（张谡 157）。后现代主义元小说是对小说这一体裁和叙事本身的反思、结构和颠覆，大量使用反题材、文类穿越、语言游戏、通俗化、戏仿、拼贴、迷宫、黑色幽默等叙事手法，其语言能指漂移、结构零散、主体价值虚无（即所谓的零度写作）。例如，约瑟夫·海勒的《第二十二条军规》的出版标志着美国文学进入后现代主义时代，它的主要特色就是黑色幽默、荒诞狂欢的叙事和体裁混杂。糅杂了后现代主义元素编史元小说的互文性也不同于一般小说的互文性，其主要有两种互文性：一、文本间性，也就是小说文本中有大量典故（或术语、俚语、口头禅等）影射先前历史文本。而这种典故往往和众

所周知的历史事件和历史人物有关。二、前景与后景的互文。编史元小说的故事的前景与后景经常互文。这种互文往往解构或颠覆了读者的历史信仰和历史常识，其情节往往不仅仅是意义虚无，有时甚至是意义怪诞。

<center>**事件构建与意义重构：从形式主义与历史主义角度的阐释**</center>

西方从亚里士多德开始，认为叙事文学在哲学之下，而在历史之上。历史学家被认为是着眼于过去，还原"真实"是其"高贵的梦想"。"历史是对外在世界最权威、最全面和最深邃的真理的探索"（杨春 57）。事件是历史学家与世界的唯一联系。相反，文学是虚构的。文学家主要讨论可能或将要发生的事情。文学家与世界的联系是通过语言的构建，其联系方式是多样的。文学家运用想象力进行文学虚构的再现技巧来展现他们心目中想象的世界图景，不受线性时间的约束。20 世纪初期，历史主义与时兴的形式主义文学批评一直关系紧张。20 世纪 20 年代，作为俄国形式主义变种的美国版形式主义的新批评取得理论的中心位置。新批评强调文本的"仔细阅读"，就文本本身的语言和结构进行审美批评，反对把文本导向文化、历史或者现实的意识形态批评。"新批评主义"作为一种比较纯洁的形式主义批评，主张发掘文学作品封闭的文字意义，强调批评家的任务就是对文本进行封闭性的语言"细读"（close reading），反对参照任何传记的、社会的、心理的或历史的"方法"或"体系"（张燮 134）。新批评的理论预设是历史和文学都具有同一性，批评家的任务是发现文学的艺术性。保罗·维因认为历史可以定义为"一种真实的小说"。海登·怀特和保罗·维因都认为，文学和历史本身都是历史的产物，他们的定义和相互关系也是历史地变化的。文学总是在某种程度上——无论是镜像反映还是戏仿——形象化地表现社会或政治的历史。也就是说，维因的小说是一种虚构历史现实，揭示历史价值的艺术形式。历史和文本是两种叙事类型，都需要通过文本构建以及互文性来展现价值评判和意识形态。所以，形式主义缓解了历史叙事与文学叙事的对立关系。到了 20 世纪 80 年代，以"反本质、反基础和反中心"为主要特征的解构主义占据理论舞台。结构主义进一步取消了事实与虚构的区分，把历史还原为语言与符号的认知知识，历史叙事与文学叙事的界限进一步混淆。历史编撰元小说以历史事件为小说素材来源，历史真实与文学虚构同时出现，小说虚构与历史真实的互动关系构成一种新的互文性。

相应地，我们不仅仅可以从形式主义的角度，还可以从历史主义的角度来考察文学文本和历史事实的关系。经典马克思主义认为，文学与史学都属于上层建筑，都是经济基础的反应，同时也反作用于经济基础。也就是说，经典马克思主义从发生学的角度主张文学与史学都是由经济基础决定的。而对于上层建筑各个层面和各个部分之间的关系，马克思的著作特别强调了政党和政体的主导作用，强调了文学和史学都具有的阶级属性。对文学和历史

很感兴趣，并通过文学和历史（主要是艺术史）展开革命实践活动的西方马克思主义的开创者卢卡奇从"主体与客体"辩证法的角度，提出："只有从历史发展过程中主体与客体的相互作用出发，才能做到真正阐述无产阶级及其阶级意识对革命成败的根本意义。"卢卡奇认为，不应该拘泥于马克思的某一个判断和某一个观点，应该把马克思主义看作一种总体的方法论，从历史实践出发考察作为无产阶级的阶级意识的文学和史学。可见，卢卡奇把史学和文学都作为无产阶级的意识形态。在 1962 年发表的《小说理论》集中论述了小说与文化的关系。此书共分两大部分：第一部分主要论述了古希腊时代史诗与现代资本主义社会取代史诗的小说的差异与对立。古希腊的荷马史诗时代，心灵和世界是同质的。自我肯定是这个时代突出的特征。从这点出发，詹姆逊也认为，政治和诗学原本是一回事。后来，资本主义兴起，击碎了这个光亮可人的整体性。（张京媛 4）卢卡奇说，小说作为一种现代艺术形式，不在于"塑造思想"，而在于历史哲学的必然性，是近代资本主义的产物，是"我们时代的最具有代表性的艺术形式"（卢卡奇 24）。卢卡奇认为，现代社会的异化，"即人与其产物之间的异化"（卢卡奇 57）使得自我和世界之间出现一道鸿沟，"小说的形式比其他任何形式更能使作者想象驰骋。"小说就是人物在疏离的世界中寻找意义的过程。在书中，卢卡奇把时代看成史诗和小说的承担者，把小说视为"一个时代的史诗。"同时，卢卡奇提出了小说类型学的概念，并把小说分为三种，一种是多行为描写而少心理刻画型。 第二种是多心理刻画而少行为描写型。第三种是前面两类创作类型的综合型。卢卡奇认为托尔斯泰和陀思妥耶夫斯基的小说中，小说与史诗重叠很大。它们在深刻揭露旧制度的同时，也抽象地预示着一个新世界。也就是说托尔斯泰和陀思妥耶夫斯基用小说的形式揭示了历史的矛盾和历史矛盾解决的希望。
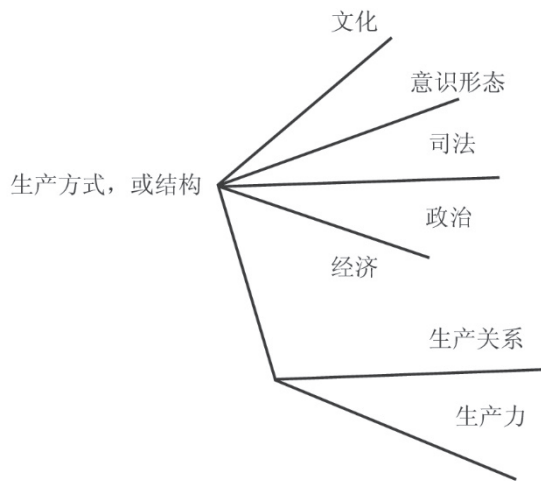

图 1　阿尔都塞"不在场的历史"因果律

阿尔都塞把结构主义与马克思主义相结合，提出了"解释不在场的历史"的小说文本阐释理论。阿尔都塞认为提出了意识形态国家机器理论，主张文本是阶级斗争的场所。他提出应该通过文本，发掘"不在场的历史"，也就是被遮蔽的被统治阶级的历史话语，表现为历史的因果律。（见图1）美国当代著名新马克思主义批评家、后现代主义理论家和文化批评家詹姆逊提出了"永远历史化"的马克思主义阐释学。他认为，文本的生产机制，也就是生产方式符码是理解小说解构与意义的关键出发点。小说文本的阐释应该通过文本的形式历史化阐释、文本的政治无意识阐释、文本的人类大历史的这三个同心圆来阐释包括小说在类的文学与历史的关系。（见图2）需要说明的是阿尔都塞和詹姆逊的历史阐释已经走出元历史本身的意义，属于意识形态的范畴了。
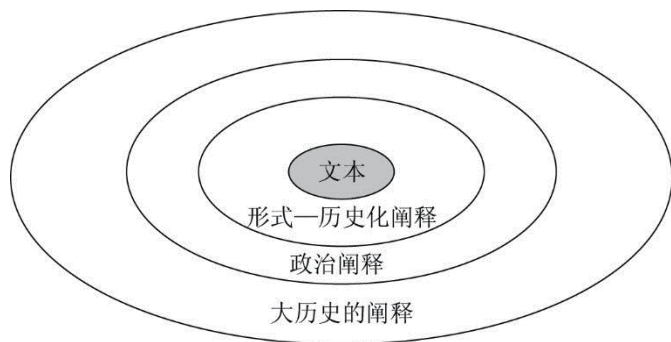

图 2　詹姆逊文本阐释学的三个视域

创新与不足：后现代历史诗学评价

华莱士·马丁认为："在与其他文学作品的关系上，小说是局外人，与其他文类和'诗学'（传统文学理论）特有的规则相对立"。（马丁34）也就是说，小说家通过新形式的发明，吸收和混合各种文类而与规范（通常是批评家所强调的）相冲突。编史元小说是小说对历史的介入，是一个全新的小说问题。另外，小说作为"地方知识"，即具有区域性或者族群特征的符号体系"（格尔兹，地方知识：阐释人类学论文集136）。我们可以对小说的解释安置在日常之中，用小说自身的逻辑，即文化发展的逻辑来审视。上个世纪欧美社会生产方式断裂式变化之后，资本主义文化进入了"晚期资本主义时期"（詹姆逊语），编史元小说适应了人们解构历史意义、寻找新的历史阐释方式的心理需求。编史元小说把"历史编撰学"和"元小说"相结合，是一种混合历史小说、解构主义、后现代主义（包括语言观和叙事策略）等文学思潮的小说体裁，是历史的诗学话语。哈琴正是从对编史元小说的分析来反驳

詹姆逊等关于后现代主义文学没有历史深度的观点的。从 20 世纪 60-70 年代出现以来，编史元小说一直深受欧美文坛和普通读者欢迎。但是，编史元小说也有可能的问题：

一、历史虚无主义的问题。编史元小说深受新历史主义和解构主义的影响，放弃了单一的符合论，质疑以往被"知识"所确立的信念是否真实。虽然，大部分编史元小说没有全盘否定已经构建的历史意义，对真相、真实和真理的认知以及世界可能性采取了多元化的解释以及"混合推论"的方式（刘璐 87）。但是，大部分的编史元小说都解构了已经存在的历史意义，造成了人们对历史的曲解和费解。虽然，海登·怀特强调历史学家撰写历史和小说家创作小说，使用的是同样的修辞手段，有同样的叙事结构，历史学家自以为可靠地真实实际和小说家的想象与虚构一样（White 98）。但从史料价值和创作实践来看，部分编史元小说解构官方话语，有意曲解历史和混淆真实，对后人的历史研究有害。许多戏说（其实是戏弄）历史和穿越历史的作品不利于培养读者的历史认同感，尤其是缺乏鉴赏力的中小学生读者。

此外，编史元小说在欧美一出现，其写作手法、情节、主题等等都被中国作家全面模仿。但是，中国的文化传统、法律法规以及经济社会发展阶段都和欧美不同。在中国，"一直存在着普通话、国家意识形态的向心力和地方话语的弥散带的点状聚集，小说呈现出隐形和显性两个层面的割裂"（葛红兵 135）。另外，在西方，小说在哲学与史诗之间扮演着及其重要的角色。而在中国，中国文化中的文学主要是抒情诗歌、议论记事的散文。小说一直是不登大雅之堂，得不到正统文人的重视，与历史更加没法相提并论。在这种传统之下，任由小说对历史的肆意介入和解构，不利于民族凝聚力和文化自信心的培养。

二、互文性和剽窃的问题。加拿大文学评论家哈琴用后结构主义语言再现观和新历史主义的话语概念系统分析过编史元小说的"互文"、"戏仿"、"借用"等叙事手法，并把对这种小说的语言研究导向历史、文化、政治和社会的研究。哈琴认为，实际上，编史元小说还存在一种更加广义上的互文，即叙事借鉴的互文。例如，纳博科夫说他写的《洛丽塔》"暗指示和戏仿了六十多个作家"。伍迪艾伦的《星辰往事》戏仿费里尼的《81/2》，而《81/2》的名字 X 明显戏仿巴斯的《S/Z》。张爱玲的《半生缘》借鉴了美国畅销书《普汉先生》的解构技巧、情节以及人物关系。加德纳（John Gardener）的《格伦代尔》（Grendel）实际是颠覆了英国史诗《贝尔武莆》(Beowulf)。当然，也有小说家映射自己的作品。例如，特鲁福的《日以继夜》除了拼贴《公民凯恩》的电影海报，也大量铺贴了自己的作品《四百击》等等。稍加分析，我们可以看出，这种故事结构和故事情节的过分指涉，容易过界，和剽窃非常相近。小说应该是创作者使用自己最有个性的语言展现自己的想象力。如果沉迷于叙事借鉴式样的互文，就会影响小说自身的价值了。

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[—."Language and Ideology: Exploring the Problems that Jameson's Hermeneutics Aims at." *Contemporary Foreign Literature* 2(2019):112-18]

印刷文化视野下的胡兰成文化理念的践行与失败：
以台湾"三三集刊"创作生活为中心的考察
The Patrice and Failure of Hu Lancheng's Thought from the Perspective of Print Culture:
The Creative Life of *The Threes Journal*

金　进（**Jin Jin**）

内容摘要：1974 年 5 月，胡兰成应台湾"中国文化大学"之聘来台任教，1976 年 11 月 8 日被逼离开台湾。1977 年 4 月 20 日（三月初三）"三三"成立，胡兰成以通信方式鼓励朱天文创办刊物，朱天文、仙枝等人共同主编三三集刊，1978 年 10 月，胡兰成以"李磐"为名，自三三集刊十五辑(《日出西山雨》)起，开始为三三撰稿。1981 年胡兰成逝世，《三三集刊》随即停办。从三三集刊入手，研究胡兰成文化理念的实践过程是一个新的研究角度，本文将从胡兰成的文化理念内容的内涵以及"三三集刊"所受影响的具体表现形式入手，分析在具体的历史情境下，胡兰成的学说失败的原因，从而试图对胡兰成和三三集刊的文学史地位进行新的评价和定位。
关键词：胡兰成；文化保守主义；文化中国；三三集刊

Title: The Patrice and Failure of Hu Lancheng's Thought from the Perspective of Print Culture: The Creative Life of *The Threes Journal*
Abstract: In May 1974, Hu Lancheng was invited to teach at Chinese Culture University in Taiwan. On 8 November 1976, he was forced to leave. Encouraged by Hu, Zhu Tianwen together with Xianzhi founded The Threes Literary Society on 20 April 1977 and started publishing *The Threes Journal*. Starting from October 1978, Hu under the penname Li Pan began contributing to the journal. With the death of Hu's death in 1981, *The Threes Journal* has also come to an end as well. I believe that it is a novel perspective to examine Hu's thought and his cultural practice by using the journal as a point of entry. This essay investigates the reasons behind the

failure of Hu's doctrines by looking at how his cultural ideas had influenced the The Threes. By doing so, I intend to re-evaluate the significance of Hu and The Threes Journal in Chinese literary history.

Key words: Hu Lancheng; cultural conservatism, cultural China, *The Threes Journal*

Author: Jin Jin, Ph.D. in Literature, is Professor of the Department of Chinese Studies, Zhejiang University (Hangzhou 310028, China), specializing in literature of Taiwan and Hong Kong literature and Singaporean-Malaysian literature (Email: chsjj@zju.edu.cn).

  1974 年 5 月，胡兰成入境台湾，应中国文化大学之聘来台任教，同年秋，开始教授中国古典小说、日本文学、禅宗思想和"华学、科学与哲学"数门课程。在华冈遇到林慧娥（后易名仙枝，时为中国文化学院中文系二年级学生），其从暑假起就为胡兰成誊抄文件。1974 年 8 月和 1975 年 9 月，朱天文两度随父亲朱西宁上华冈拜访胡兰成，其间曾重读胡兰成《今生今世》。1976 年 4 月底，胡兰成因抗战汉奸之名被揭发，10 月被迫停课，《今生今世》《山河岁月》被禁。随后由朱西宁安排避居景美朱家隔壁，此后胡兰成为朱家姊妹及其文友讲经论道，在日常生活里随处点拨。因颜元叔、余光中等学者的驱胡行为，胡兰成终于 1976 年 11 月 8 日被逼离开台湾。1977 年 4 月 20 日（三月初三）"三三"成立，在胡兰成的通信鼓励下，朱天文、仙枝等人共同主编三三集刊。1978 年 10 月，胡兰成以"李磐"为名，自三三集刊十五辑（《日出西山雨》）起，开始为三三撰稿。1981 年胡兰成逝世，同年 8 月，《三三集刊》停办。1989 年三三书坊停止运作。名噪一时的"三三集刊"本身包括"三三集刊"二十八册和"三三书坊"十二册，其中"三三书坊"中有胡兰成化名"李磐"所作的《禅是一枝花》（1979）、《中国礼乐》（1979）、《中国文学史话》（1980）和《今日何日兮》（1981）。

  朱天文曾经这样回溯自己的前期创作，"当时十八岁到二十五岁的我。〔……〕我后来的写作生涯，整个的其实都在咀嚼、吞吐、反复涂写和利用这个'前身'"（朱天文 311）。这段时间正好与胡兰成与朱家结识、旅居台湾及被迫逃到日本，直至 1981 年去世的时间重合。可以说，从"三三集刊"的研究入手，进而研究胡兰成文化理念的影响和实践是一个全新的研究角度，本文将从胡兰成的文化理念内涵以及"三三集刊"所受其影响的具体表现形式入手，分析在具体的历史情境和文学场域下，胡兰成的学说失败的原因，从而试图对胡兰成和三三集刊的文学史地位进行新的评价和定位。

<h2 style="text-align:center">一、胡兰成的文化理念中的保守主义和教化意图</h2>

  何谓"三三"？三三集刊扉页上所写：

　　"你若认为'三三'纵排出乾卦，横排出坤卦，也好。你若认为'三三'向往中国文学传统的'兴比赋'，也好。你若认为'三三'想要三达德，也好。或者你若认为'三三'说的'一生二，二生三，三生万物'的故事，也好。你若认为'三三'说的'三位一体'真神的故事，也好。你若认为'三三'说的'三民主义'真理的故事，也好。也许你若认为'三三'就只是那样一个'三三'，也好。"

　　"三三"即尊崇三民主义与三位一体，前者为孙文学说，后者为基督教义。三三集刊本欲取名"江河"，可见其中浓烈的中国意识。三三的精神领袖就是胡兰成，朱西宁则是背后的支持者。台湾学者庄宜文归纳胡兰成的文化信念，一是"复兴中华文化"，二是"遵行三民主义"，三是"批驳乡土文学"，四是"完成伐共建国"（庄宜文 144-46）。但我认为，这份宣言糅杂着文化中国、孙中山的三民主义和基督教教义的政治／文化信仰，三三成员一开始就陷入到一个庞杂的文化理想图景中，而文学创作是一种语言和情感结合的艺术，这些矛盾都为胡兰成文化理念的失败埋下了导火线。

　　胡兰成为什么能成为三三群士的精神领袖？这是我们要讨论的第一个问题。首先跟败退台湾之后的国民党教育政策有关。1949 年国民党当局撤退到台湾地区，因为战时环境的限制，在文化方面的建树不多，很多文化机构都是以"临时"的形式形成的。加上对中共文艺政策和日本军国主义的忌惮和敌意，对中国现代文学传统和日治时期台湾新文学都采取禁绝态度，所以文学传统相当的支离破碎。

　　"正是这种意识形态上的薄弱，导致了国民党当局的文化政策迅速遁入'大中华中心主义'修辞和带有新传统主义色彩的道德主义之中。比如，为了对抗共产主义宣扬的阶级仇恨，国民党的右翼理论家鼓吹'人性'或儒家思想中的性善主张，然而'人性'很快就沦为文化官僚口中的教诲性修辞。此外，怂恿知识分子回避赤裸裸的社会经济问题，把有关'阶级'的讨论列为禁忌。诸如此类的消极策略，多年后终于引发了 20 世纪七十年代乡土文学运动那样的强烈反扑。而与此同时，接受国民党'教诲式'意识形态灌输的知识分子则发展出一套保守的文化主义观点，广泛地为占据主流文学位置的文化参与者所信从。"（张诵圣 57）

　　虽然胡兰成的学说被余光中等人认为是一种反理性的、乌托邦式的文化

保守主义，[1] 但因为 20 世纪七十年代台湾文坛右翼化的 " 文化民族主义 " 或者 " 文化保守主义 " 倾向，胡兰成的《山河岁月》（1975）中对前现代中国的文化思想梳理正当其道，也因此用这种对前现代中国乌托邦式的召唤吸引了国民党 " 文化民族主义 " 意识形态下培养的三三群士，其反共言论是非常明显的。第二点就是张爱玲的文学影响力。毋庸置疑地说，胡兰成一直在利用自己张爱玲前夫的身份消费张爱玲，再加上朱西宁父女的崇拜心态和努力实践，也加强着他对三三群士的影响力。

　　早在抗战时期，胡兰成就认为 " 西方文明在资本主义时代的成就，的确比东方在同时代的成就更多。但东方文明在已往一切时代中的成就，这样蓄积而成的传统，却是大于西方文明的传统，也就是所谓民族的本来面目 "（胡兰成 176），基本上是一种文化保守主义的倾向。三三集刊中有一组连载了十四辑 " 建立中国的现代文学 " 的集体讨论，这些标榜 " 集体讨论 " 的文章，都是对胡兰成理论的阐发。如第 7 辑的《建立中国的现代文学：感激大自然》，文章讨论的是胡兰成的《中国文学史话》中 " 古来中国文学的传统，第一是感激大自然 " 这一观点，文中把胡兰成化名为 " 早升旭 " 这个人物，借这个人物之口来解释中国文学和西洋文学的传统，认为 " 至于西洋文学呢，就低俗在他们有人事而没有天意 "（第 7 辑 226-27）。之后，三三群士，分别化名为 " 红玉 "、" 花皮五爪 "、" 喇叭三号 " 探讨 " 人事 " 与 " 天意 "，不过结果是 " 众人纷纷云云，勉强得了一个结论，说天意是包含了人事与神意，而神意就是神意，与人事无关。但这也说到其大小的问题，与神意与天意的根本不同仍旧口齿不清。一伙人便僵在那里 "（第 7 辑 第 229 页）。这篇讨论文章也暴露出胡兰成学说的漏洞。后续的《建立中国的现代文学：人世的妙相》（第 8 辑）、《建立中国的现代文学：喜反与好玩》（第 9 辑）、《建立中国的现代文学：中国文学的作者》（第 10 辑）、《建立中国的现代文学：文学与历史的气运》（第 11 辑）。这些讨论文章所涉及的文化（文学）观点凸显出胡兰成的文化保守主义立场。

　　首先是反五四新文化立场。胡兰成说：" ' 五四 ' 新文学运动之后，北京大学一派疑古的新风气，但是尧典里所讲的星象位置，竟在天文学上得到了证实 "（第 11 辑 232-33）。第 14 辑《建立中国的现代文学：知性的文学》也是出自胡兰成的文章，其中对五四新文学不断进行攻击和否定。更有甚者，他曾这样否定五四运动的价值：

1　余光中说："胡兰成对于中国历史，一往情深，对于中国文化，则是绝对信任。可惜《山河岁月》的严重缺陷，也因此而来。胡兰成对于中国文化，只有肯定，绝少检讨。直接间接，他认定中国五千年的文化是至上美满，冠于世界，相形之下，夷狄的文明总有所不足。这种感觉，当做一种爱国情绪来欣赏，也许是动人的，可是当做一种知性的认识来宣扬，则容易误认。"参见余光中："山河岁月话渔樵——评胡兰成新出的旧书"，《青青边愁》（台北：纯文学出版社，1977 年）261。

"五四是中国文学的一个革命，若非这革命，不会有今天的许多好文章。但是五四犯了三个错误：一否定礼教。二否定士。三把文学作为艺术的一种。把文学当作艺术的一种是把文学看小了，其原因见于前几期的讨论文。这里只说礼教这种东西，就有肯定即妄，宋儒妄到女人不可出门一步，但是五四把礼教给否定了，这又是使人的情义漂失了。礼教只可有更革，但史上每换朝代，顶多也只是改了正朔与服色，没有改到祭祀与宾主伦常间之礼的。礼仪是中国人情意表现的形式，五四在原则上把礼教打倒了，至少在文学上写中国人的情意没有了形式，以致小说里用了西洋人的情意与动作的形式来描写中国人，这样，文学先就不美了，"（第 12 辑 248）

其次是反共立场。第 12 辑《建立中国的现代文学：文学与时代的运气——三三集刊作者讨论会》这篇一看就知道是胡兰成的文章，与第 11 辑一样，出自胡兰成的同一篇论文。在中国大陆版本中，最后一段删掉了："中国今日之处境，犹甚于五胡乱华，而国父的革命已迈七十个年头，中国的前途将往何所？世界的前景又将如何？'革命尚未成功，同志仍须努力'竟会是一句空话吗？"（第 12 辑 245）在这一段中，一句"五胡乱华变奏局"，就隐藏着浓厚的反共意识。

最后，胡兰成学说有着明显的"文化中国"教化意图。从第 15 辑《音乐论——声的究极》开始，一直到第 24 辑，胡兰成直接化名"李磐"来现身说法。他直接指出：

"三三会写文章的年轻人今知读中国的古书与国父全集，这是使创作的前途可以日月长新花长生。〔……〕学唱是或昆曲，或平剧，或古乐的颂歌，都可，也必定要练习出正音来。曲调是秦汉至清的郊庙颂乐，与大雅小雅的谱调，以及自孔子的幽兰操以来的琴曲、宋词元曲等谱调，与汉魏六朝以来的童谣民歌的唱法与舞姿都讲究练习，必定要唱出舞出一个江山风景、英雄胸襟与万民之情来。"（第 24 辑 44）

就胡兰成对三三诸子的影响来看，三三合唱团的建立必然与之有相当关系。需要指出的是，除了三三群士之外，三三集刊有一支"文化中国"的外援文学部队。诗人郑愁予就是一例，"《衣钵》系列组诗"（第 11 辑 124-40），由《仰望》、《芥子》、《热血》、《背影》和《衣钵》等 5 首诗歌组成，其旨在悼念孙中山先生，其中《背影》的最后一段："两万人提灯为一个老壮士照路 / 带着最后生日的感概　您将远行 / 在深灰的大氅里　裹着一腔什么 / 啊 / 那是革命的衣钵　历史已预知 / 当夕阳　浮雕您底背影在临江的黄

埔 / 那时正是您满意的诀别 / 因为 第二代的同志已长成 ”，联系前后文，这其中的 “ 第二代的同志 ” 指的是外省第一代，而《衣钵》最后一段中的 “ 第三代 ” 指的就是三三诸子，但其中的反共思维是相当明显的。第 12 辑重刊了郑愁予的《仁者无敌》，“（ 诗歌 ）分六节，“ 慈母 ”“ 祖国 ”“ 负重 ”“ 功成 ”“ 致远 ” 和 “ 誓言 ”，其中的内容相当空洞，不过也可以从反面看出蒋介石在台湾的无作为。

整首诗中一味赞美蒋介石的 “ 仁 ”，可是稍懂历史的人，就知道蒋介石的一系列罪行，“ 宁汉合流 ” 后的反革命大屠杀（ 1928 ）、抗日战争中的消极抗日（ 1937-1945 ）、“ 解放战争 ” 中挑起的国共内战（ 1945-1949 ），这些似乎都被当代台湾主流知识分子遗忘了，有的只是被洗脑之后的 “ 讴歌 ”。[1] 这些对 “ 中华民国 ” 的悲情回溯，故意营造的没落朝代的遗民身份，这些都契合着 20 世纪七十年代海外方兴未艾的文化中国思潮，支撑着胡兰成所倡导的文化中国理念。

二、三三群士[2] 与 “ 张腔 ”“ 胡说 ”[3] 及他们所受影响的具体表现形式

从整体创作特色来定位的话，三三群士的创作属于 20 世纪七十年代的台湾校园青春文学范畴。三三群士都是眷村子弟，这些眷村子弟多有军中背景，这些出身于中上层家庭、相对来说受过良好教育的军人，形成了台湾独特的眷村次文化的骨干，他们的文化传统以及文坛地位惠及外省第二代作家，培养了以朱天文、朱天心、马叔礼为首的三三群士。无论从创作内容还是艺术实践，再加上他们在校大学生的身份归属，其作品中的校园文学气息是相当浓厚的。“ 促使早期 ‘ 三三社 ’ 成员在 20 世纪七十年代后期和八十年代以

1　《台湾省戒严令》（正式名称：《台湾省警备总司令部布告戒字第一号》），是一个于 1949 年 5 月 19 日由中华民国台湾省政府主席兼台湾省警备总司令陈诚颁布的戒严令，内容为宣告自同年 5 月 20 日零时起在台湾省全境（含台湾本岛、澎湖群岛及其它附属岛屿）实施戒严，从戒严令颁布直到 1949 年底，中华民国政府相关单位陆续颁布了一些相关管制法令。至 1987 年 7 月 15 日由蒋经国总统宣布解严为止，共持续了 38 年又 56 天之久，是世界上持续时间最久的戒严。

2　“ 三三群士 ” 是当时台湾文化界对三三集刊作者群的称呼。原文是 “ 自从书坊出了 ‘ 中国站起 ’，文化界的先辈们便开始唤三三的朋友们是 ‘ 三三群士 ’，这让三三的朋友们又愧煞又惊惶。” 参见仙枝：“ 三三小根苗 ”，《三三集刊》第 25 辑（ 台北：皇冠出版社，1979 年 ） 132。

3　这两个词都是王德威教授发明的，前者原文为 “ 小说界也有张腔，肇始者不是别人，正是张爱玲 ”，参见王德威：“ 张爱玲成了祖师奶奶 ”，《小说中国》，台北：麦田出版社，1993 年，第 337–41 页。后者原文 “ 彼时的朱天文还太 ‘ 正经 ’；要再等十年，她才终于把 ‘ 张腔 ’ 与 ‘ 胡说 ’ 熔为一炉，从而炼出自己的风格 ”，参见王德威：“ 落地的麦子不死——张爱玲的文学影响力与 ‘ 张派 ’ 作家的超越之路 ”，《想象中国的方法：历史·小说·叙事》（北京：三联书店，1998 年 ） 251。

华丽的身姿所展示的文化保守主义，与其说是出于意识形态的动机，可能更多地反映了年轻气盛的理想主义"（张诵圣 130）。这种青春理想主义式的校园文学的表现方式是一种文化中国视野下的文学创作。这些年轻作家，他们都没有在大陆生活的经验，小说中的中国并非当时的中国现实，有的是大学校园中的学习生活，有的是诗歌中用文本建构起来的文化幻影，有的是军中文艺的颠倒历史的战斗。可以说他们将胡兰成学说中关于中国文化的思考，用记忆和虚构对"文化中国"进行阐释。三三群士与他们的偶像张爱玲相较而言：

> "张爱玲那时代的人们比现在的人们多有接触时势的感觉，也比较会独立的思考事情，也比较多读书。但第二次世界大战后，朱天文的一代年轻人，则惟是趋时尚，而于时势无感觉，很少会独立思想，很少读功课作业外的书，受美国式教育的影响，体格成人了，精神多未成人，每是成人的骏竖。青年作家因为见识不及，根底不够，多像草生一秋即萎。这点我与朱天文谈起，她倒是肯重新用功读书。知道今是颓废的时代，即你是可以不受一个时代的限制，而生于许多时代中，生出革命的朝气的。"（胡兰成 268）

从整体风格而言，三三群士的创作是对"张腔""胡说"的继承和发挥。首先是胡兰成文化理论对三三群士创作的统摄。"胡派学说讲的是天人革命，诗礼中国；儒释兼备，却又透露妩媚娇娆之气。有趣的是，尽管胡兰成写得天花乱坠，总有个呼之欲出的张爱玲权充他的缪斯。'三三'诸子中，兼修张、胡两家而出类拔萃者，当然是朱天文"（仙枝 1979）。胡兰成说朱天文与张爱玲不但都是大学三年级，"两人相像的地方是一个新字，一个柔字，又一个大字。而且两人都谦虚，张爱玲肯称赞苏青的文章与相貌，朱天文亦看同辈的作品〔……〕。还有在事物上的笨拙相像。两人的相貌神情也有几分相似，文章也有几分相近"（胡兰成 283）。另外，也提到仙枝这一笔名，也是胡兰成为她取自苏轼的名句"别有红尘外，仙枝日月长"（王德威 251）。这些给朱天文、朱天心、仙枝众弟子巨大的压力，一直以张爱玲为模仿甚至超越的对象。1995 年，朱天文以《荒人手记》获得华语文坛一致赞赏，在接受访问时候，她说自己十年不读张爱玲，以前总觉得她是无法超越的偶像，"今天看看，感觉自己好像可以平了。也不是平，是总算可以不同了"（朱天文第 7 版）。可见在其创作生涯中，朱天文无意识中也在跟张爱玲较劲。胡兰成的专著中对"三三诸人"影响最深的是《中国文学史话》。仙枝曾经撰文道："自民初五四以来于今六十年，文坛皆是据西洋文学来评论中国文学，有多少傲慢无知，彼此斗争，如禅语脚下草深数丈，骷髅遍地无人知。今李先生此书也不与人争，而只让中国文学自己出来说话，就自然都澄清了。读此书

使人觉得自己亦要对天地是智者，对中国是情人。文章是智者之言，而亦是情人之言"（仙枝 5）。

而最能直接表达李磐（胡兰成）与"三三诸人"关系的是十年后朱天文之言："以上是胡先生于民国六十六年夏天于侨居地日本写完的《中国文学史话》。因胡先生在台湾授课的学生中多有青年写作者，故著此作励教激志，且援彼等青年的作品为例多做说明，其背景如此"（朱天文 2）。在这本著作中，不到十万字的《中国文学史话》中，对仙枝、朱天文、朱天心和袁琼琼的评价竟共有八十多处，如此提携未成名的作家少作，胡兰成的护犊之心可见一斑。不过联系胡兰成当时落水狗般的生活际遇，我更愿意把他的提携行为看作心中文学理想的印证与实现。以朱天心为例，她连载于"三三集刊"的《击壤歌：北一女三年记》被胡兰成盛赞"那好处是有唐虞三代传下来的高旷清亮强大。现在是朱天心的《击壤歌》有这个"（胡兰成 95）；"《方舟上的日子》与《击壤歌》里的，与朱天文《青青子衿》里的对世人世事与物的无差别的善意，就是文学的绝对的境地"（胡兰成 145），赞誉之辞溢于笔端。

三、胡兰成文化理念失败的内外原因分析

从 1947 年"二·二八事件"之后，台湾进入了世界上历时最长的戒严时期，直至 1987 年解严。而 20 世纪七十年代末更是台湾史上风起云涌的时期，随着蒋介石的去世（1975）、中美建交（1979）、美丽岛事件（1979），国民党在台湾的威权统治正处于剧变和松动之中，毕竟"从时序上划分段落，或许可以从一九六九年蒋经国出任'行政院'副院长开始，因为他标志着'蒋经国时代'不可避免的终将到来；至于它的结束，则毫无疑问的是一九七九年十二月的'中'美断交。十年台湾，十年坎坷，而我们以及我们的今天都是从这里长大的"（杨泽 118）。长期以来，朱天文、朱天心等三三群士被其他台湾作家视为主流意识形态影响下的文学群体。朱天心回忆起被认为"御用文人"或"国民党"的打手，至今仍觉委屈。同为三三群士成员的谢材俊说："乡土论战，我和朋友从纯文学这边很奇怪的变成纯国民党的这一边，至今清白难复——谁晓得在漏洞百出的文学意见和天真浪漫的作品背后，藏着那么大的政治、民族觉醒加权力意识呢？"（谢材俊 131）从所刊发的文章而言，三三集刊中大量的刊登军中文艺作品，确实有迎合国民党文艺政策的嫌疑。如第 8、9 辑连载的《剑门》（1978）就是典型的军中文艺作品，曾经获得第十三届国军文艺金像奖中篇小说银像奖。第一段就把矛头直指海峡两岸的军

事对峙，涉及到两岸对抗时期的"剑门舰事件"。[1]如果熟悉台海历史的话，这部小说所描述的故事完全是造假，它设置了"剑门舰"没有被击沉，而是由"镇南舰"营救成功的虚构结局。小说结尾部分：

> "〔……〕国军已向内陆推进了。七天来，我们势如破竹，与大陆内部反共力量节节呼应。海军除了已掌握了制海权，更进而封锁了大陆沿岸及长江口——永彬，你们是首功，恐怕你们都不知道自己扮演了多重要的角色。你们单舰欺敌行动把敌主力诱散，我们各个击破，奇袭作战顺利的成功了——迅雷演习实际上就是真正的反攻登陆实兵行动。"（马叔礼 第 9 辑 156）

这一段中的所谓"单舰欺敌"、"掌握了制海权"等等说法，足见这是一篇罔顾历史事实的订制之作，让人感觉到文学被极端政治化之后的造作与恶心。第 10 辑陈万军《种火行动》（1978）是"国军金鹰奖中篇小说金鹰作"，故事内容满含着冷战政治。

这类作品还有第 11、12 辑连载的汪洋《春蚕到死》（1978），这篇反共小说肆意抹黑共产党抗日军民，在一些历史书写上不尊重史实，如为国民党对日投降政策开脱，"中央也有苦衷，不得不安抚他们，不然的话，两面作战，那是兵家大忌，他们是乘机全力扩张势力"，更过分的是，虚构抗日军民策应日军，帮日军解围的情节。这些作品中关于反共文学的描写让人感到其中浓厚的敌对情绪。

其次，朱西宁的对基督教教义的文学化理念和军中作家的文学身份对"三三群士"的创作有着重要影响，也使得胡兰成的理论与朱西宁所推荐发表的文学作品产生了相当的距离，分散了践行胡兰成文艺理论的作品的篇幅和影响力。朱西宁一直到第 13 辑才公开自己与基督教信仰之间的关系，那就是刊在这一辑中的孙文《致中国基督教青年书》，其中认为基督教能够让"今中国人民即由散沙而渐结团体，〔……〕诸君既置身于此高尚坚强宏大之团体，而适中国此时有倒悬待救之人民，岂不当发其宏愿，以此青年之团体而负约西亚之责任，以救此四万万人民出水火之中，而登之衽席之上乎？中国基督教青年勉旃！毋负国人之望"（第 13 辑 227）。紧接着的第 14 辑指出

1　剑门舰事件："剑门号"原系美国"海鸦"级舰队扫雷舰，由美国于 1965 年 4 月交给蒋介石集团。1965 年 8 月 5 日，汕头水警区东山岛金刚山观通站雷达观测到台湾东营港 84 海里处，有"剑门舰"和"章江号"混在商船中，向我沿海地区袭来。当晚发生激战，8 月 6 日凌晨"章江号""剑门号"先后被击沉。此役历时 3 小时 43 分钟，击沉国民党猎潜舰 2 艘，击毙国民党海军舰队少将司令胡嘉恒等 170 余人，生俘"剑门舰"舰长王蕴山等 34 人。"八六海战"是新中国成立后规模最大的一次海战，对台湾国民党海军是一次沉重的打击，标志着国民党海军在台湾海峡的军事优势已成为过去。

"三三"的真意："西洋化教会的低文化，一向是，也断乎是不足凌驾中国的高文化。这也正是以三位一体真神为乐，为能力，以三民主义真理为体，为方向的'三三'所抱持的大信"（第 14 辑 22）。

加之朱西宁"军中三剑客"的身份，特别是一直发表军中文艺，其中很多对抗思维，不只是分掉了三三集刊的大量篇幅，同时也使得三三集刊蒙上了政治上归属国民党主流文学的色彩，如陈万军的《天之骄子》曾获得国军文艺金像奖长篇小说奖，他是三三集刊《种火行动》（第 10 辑）、《霹雳塔》（第 14 辑）的作者；履疆的《水势》曾获得长篇小说银像奖，他是三三集刊《阿晖先生及其他》（第 1 辑）、《雨夜》（第 4 辑）、《卜居》（第 7 辑）、《战士手记》（第 11 辑）、《惊艳》（第 13 辑）的作者；马蹄铁的中篇小说《生死场》曾获得长篇小说佳作奖，他是三三集刊《夜来风雨声》（第 3 辑）、《阿贵》（第 8 辑）的作者；程幻欢的《归航》曾获得短篇小说银像奖，他是《喜相逢》（第 4 辑）的作者，还有汪启疆的《给我们中国的儿女》曾获得短诗银像奖，他也是三三集刊第 8、9 辑连载的《剑门》的作者。如果说胡兰成的文化保守主义是民间文人的立场，那么朱西宁的身份就颇具官方文艺的本色，从三三集刊的内容来看，官方意识压倒民间话语的痕迹也是相当明显的。

还有一点是，"三三"本身的青春校园文学对胡兰成文学理念的稀释。如朱天心的长篇连载《击壤歌：北一女三年记》，讲述的是台北第一女子高中女生小虾的中学故事，同题材的还有蒋晓云的短篇连载小说的《宴》三部曲、谢材俊连载于第 1-2 辑的中篇小说《岭山雁字》（上、下）等等，都是校园文学的代表。另外，在《日出东南隅》（谢材俊）可见被服厂的眷村生活，《守着阳光守着你》（丁亚民）中回忆的是眷村童年生活，等等。这些情感真挚的现实生活书写，冲淡了胡兰成干巴巴的文化理论，形成了台湾文学历史上最具特色的青春文学团体。

总而言之，"三三时期"的结束，一方面是因其精神导师胡兰成远走日本，并在 1981 年 7 月去世。另一方面因是胡兰成的礼乐中国，以及三三集团的梦想，与现实中的台湾相距太远。政治上的剧变，如 1979 年台美断交，随后发生的美丽岛事件，文化上的乡土文学的兴起、1975 年校园民歌兴起、1977 年的乡土文学论战，这些现实社会处境，在在都冲击三三集团的生存。就这样，在剧变的新时代浪潮冲击下，三三群士曾经的文学理想，慢慢被推到历史的暗处。

结语

毋庸置疑，三三集刊的诞生和发展是胡兰成一手扶持的。王德威认为胡兰成在台湾与三三诸子的接触，

"在《三三集刊》这个社团里，一群青年男女就跟着胡老师吟哦礼乐、

遐想日月江山，想象有朝一日以王师之态回到中原，建立他们的礼乐中国。这个礼乐的江山最后到底也没有达成。没有，一切都没有。才不过几年的时光，这些当年的'三三'少年都已经逐渐地成长，历尽台湾剧烈的转变，成为所谓的'老灵魂'。胡兰成的礼乐方案，他的抒情大业，最后都要九九还原，划归到民间的、俗骨凡胎的流动痴嗔爱怨之中"。（王德威 198）

三三群士对台湾文坛的影响是巨大的，如第 1 辑中，吴念真的《今夜西风冷》（1977）中一开篇就是老萧怀念河北老家，关于秋天落叶的描写，让人想起了十年后吴念真编剧的《暗恋桃花源》。在这一辑里，银正雄的《一座纯真的桥——评陈雨航的〈策马入林〉》（1977）中谈到的桃花源、武陵人，也启发了吴念真和朱天文的《暗恋桃花源》。再如，第 23 辑静圆中的《黄春明的〈小琪的那一顶帽子〉》（1977），黄春明的这篇小说后来被改编成侯孝贤的电影，而编剧也是三三群士中的吴念真。这些都为我们重新定位三三、胡兰成与台湾文坛的关系，从而为研究外省第一代（朱西宁）、外省第二代（朱天心、朱天文）两代人的创作姿态和精神世界提供了新的视角和方向。

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从抵触到接受：慕雅德与中国孝道伦理
From Resistance to Acceptance: Arthur Evans Moule and Chinese Ethics of Filial Piety

丁　光 (Ding Guang)

内容提要：英国传教士慕雅德在华近五十年，长期浸润于中国文化，与中国普通民众交往广泛，著述颇丰。其著述向西方世界介绍了中国的城市和乡村、社会和文化、宗教和伦理，反应了作者这样的一个的心路历程：即前期抵触中国孝道伦理观和祖先崇拜等仪式，到逐渐理解和接受其中所包含的情感因素，最终宽容地看待"中国礼仪之争"，进而向西方传播中国文化。本文试图从文学伦理学的批评角度入手，籍慕氏的伦理身份，考察其秉持的基督教一神论与中国孝道伦理观是如何从抵牾冲突到水乳交融的，同时也揭示了以慕雅德为代表的一批近代来华传教士认知中国孝道伦理的思想路径，从抵触——审视——理解——接受——宽容。

关键词：慕雅德；凝聚力；孝悌；礼仪之争；祖先崇拜；伦理身份；伦理接受

作者简介：丁光，浙江大学外国语言文化与国际交流学院讲师，博士，主要从事晚清来华传教士、海外汉学及文学伦理学批评研究。本文为国家社科基金项目"近代来华传教士慕阿德家族与中外文化传播研究"【项目编号：16BZJ028】的阶段性成果。

Title: From Resistance to Acceptance: Arthur Evans Moule and Chinese Ethics of Filial Piety

Abstract: British missionary Arthur Evans Moule has been living in China for 50 years and has published a lot of writings on China, vividly introducing the cities and countries, society and culture, religion and ethics of the Chinese people to the western world. He also showed the resistance of Filial Piety and the ritual of ancestor worship. Long-term infiltration in Chinese culture and extensive exchanges with ordinary Chinese people have enabled him to understand and gradually accept the emotional factors involved in filial piety and show his tolerance to Ancestral Worship. From the perspective of Ethical Literary Criticism, the paper aims to analyze how Arthur Evans Moule understood and accepted filial piety in Chinese culture from his ethical identity, and spread it to the West. The course of the conflict between Christianity monotheism and Chinese Ethics and the fusion of them in

his mind also reflects his thought path of contradiction-scrutiny-understanding-tolerance and acceptance of filial piety by the missionaries represented by Arthur Evans Moule.

Author: Ding Guang, Ph.D., is Lecturer of English at the School of International Studies, Zhejiang University (Hangzhou 310058, China) Her main research interests are the missionaries in Late Qing Dynasty, Overseas Sinology, Ethical Literary Criticism (Email:dingguang222@126.com).

慕雅德（Arthur Evans Moule）是英国来华传教士，于 1861-1910 年在中国传教，前后近五十年。他筚路蓝缕、不辞辛劳，潜心传教，同时也研究和书写中国。他陆续出版了有关中国的一系列著述，达 18 本之多，如《四亿人：关于中国和中国人的重要篇章》(1871)、《辉煌的土地——中国的篇章和传教工作》(1891)、《新中国和旧中国: 来华三十年的个人回忆和观察》(1891)、《毛簇和辫子：与中国儿童交谈》(1903) 、《年轻的中国》(1908)、《在华五十年：回忆和观察》(1911)、《中华民族，一本中国手册》(1914)、《中国故事与中国智慧》（1918）等等。慕雅德饶有趣味地叙述和评论了中国的凝聚力、宗教和迷信、祖先崇拜、语言与文学、官府与乡村生活等，吸引了西方世界关注中国的目光。孝道思想是儒家的伦理基石，慕雅德等传教士看待孝道思想的方式直接反映了他们对待中国儒家伦理的态度，如何看待孝道，意味着能否正视中国儒学、能否接纳中国人最根本的伦理思想。慕雅德的著述迸发出中西方宗教和伦理思想的碰撞。他对中国孝道伦理的认识和接受是如何产生变化的？

一、伦理身份与慕雅德对中国孝道伦理的抵触

1861 年 8 月，25 岁的慕雅德肩负 " 中华归主 " 的使命，携新婚妻子远涉重洋，来到中国传教。此时恰逢第二次鸦片战争，中国一败再败，国力式微。太平天国运动又肆虐江浙，可谓内忧外患。" 中国已经完全没有了凝聚力，满清政府摇摇欲坠，太平天国缺乏执政能力，许多细心的观察家注意到帝国即将被俄、英、法三国瓜分 "(Moule, *New China and Old* 14 ）。

> 我刚到中国的时候，中国处于乱世。我在中国五十年的生活和记忆是跟中国的太平天国起义和动乱联系在一起的。如果没有关于那些事件的描述，我的回忆是不完整的。那个时期中国正处于太平天国的动荡期，运动已经接近尾声，在风暴平息之前，整个国家一直被笼罩在阴霾和萧瑟之中。（ Moule, *Personal Recollections* 21 ）

身为传教士，慕雅德异常关注太平天国运动的发展，关注这支同样信仰基督教的中国力量会给他们在中国传播福音带来多大帮助，中国又将何去何从。"而太平军，成长于血雨腥风之中，对于杀人，他们从来不加以节制。（Moule, *Half a Century* 42）初来乍到宁波的慕雅德及其兄弟慕稼谷曾经结伴去过浙江余姚的一个村庄，受到村民们的热情款待。然而几个月之后，该村惨遭劫难，所有村民死于太平军的屠刀之下。"1851 年至 1865 年这 14 年间中国总人数减少了 1.12 亿"，太平天国运动给初来中国的慕雅德带来强烈的心灵震撼，他说太平天国并没有给中国带来太平。

在慕雅德看来，太平天国运动始于基督教改革，最终却演变成对无辜百姓的无情屠杀。虽然帝国的暴政和强权需要通过强大的力量来遏制，但是太平天国的暴力已经违背了基督教信徒的理想。他曾用圣经里的一句话来评价太平天国："凡动刀剑者，必死于刀剑之下"。对于同样信仰上帝的太平天国，慕雅德是持否定态度的，因为他从这个打着"拜上帝教"旗号的所谓宗教运动中，并未找到与基督教真正相通的信仰。

不过，他非常赞同太平天国铲除偶像崇拜的态度。洪秀全的"拜上帝教"崇拜独一真神，与传教士们有着共同的目标。太平军砸庙宇，斥邪神，毁偶像，全力抨击偶像崇拜，表现出毫不妥协的精神，这与《圣经》"不可跪拜那些偶像，也不可事奉它们"（出埃及记 20:4）是一致的。

作为传教士，慕雅德排斥中国人的偶像崇拜。他查阅中国古籍得知，祖先崇拜的习俗由古至今源远流长，诸多中国古代先王的祭祀有着偶像崇拜的深深烙印。如某一个商王在祭祀的时候，祈求先王成汤不断降福，保佑他们延年益寿。假如死者的灵魂能知悉尘世俗事，并产生影响力，假如先祖的神灵扮演调解者和仲裁者的角色，这就是偶像崇拜。如每年农历七月十二日，杭州市民都要举行庄严的仪式来祭祀祖先、祈求福祉，静宴六日（Moule, *New China and Old* 31）。

佛教的场景正如慕雅德所描述的，每一个虔诚的佛门僧尼，早中晚一遍遍地念着"阿弥陀佛"，来对抗魑魅魍魉的巨大魔力；阿弥陀佛一身荣耀，端坐说法（Moule, *New China and Old* 171）。人们焚烧纸钱，慰藉死者的灵魂，为己祈福。

慕雅德说过，很难精确估量佛教对中国商业的影响。在中国，相当一部分妇女是佛教信徒，她们不惜财力，烧香拜佛。一位中国妇女一年要花费 8 英镑，用来购买香烛和布施。当她被问及为何如此虔诚时，她说愿来生做男人，这样就会受到更多人的尊敬，或转世投胎为鸟兽，虽然降级，但仍可远离十八层地狱。

布施佛寺成了一种赎罪的方式。一位富人生前妻妾成群，声名不佳，但他广为布施穷人，慷慨捐助佛寺重建，人们就宽宥了他的劣迹。有赖于佛教

对道德一以贯之的强大影响力，凶残暴虐的海盗，在开始杀人之旅之前，也要去中国最大的佛教圣地——普陀山大寺布施，祈求海神的保佑。

几乎每个中国家庭都有供奉家神的神龛；道教大神的牌位与祖先的牌位比肩而立；地位最尊贵的"大神"居左，次位的"家神"居右；不过他们受到祭祀和崇拜的地位完全相同，财神则坐立在每家店铺的醒目位置 (Moule, *New China and Old* 210)。慕雅德还诟病现代中国的道教：装鬼弄神，阴阳对话，祈求生者的怜悯和捐助，已经蜕变成祛除邪神的妖术体系。《新约·提摩太前书》说："在神和人中间，只有一位中介，乃是降世为人的基督耶稣"（2:5）。显然，祭拜先祖和神灵是与基督教的一神论相违背的。

迷信普遍存在于中国，与其说它是一种信仰，还不如说它是一个恶魔。1871 年，在中国修建铁路和架设电线杆，一度遭到民众强烈的抵制。这条"铁的路"的修建亵渎了难以计数的坟墓，破坏了成千上万座城市和城镇的风水，骚乱时有发生，进程受到阻扰。

以行孝的名义，以物殉和人殉的方式来祭奠死者，中国古代惨绝人寰的殉葬制度使慕雅德非常震惊，虽然中国已不再施行这一祭奠仪式，但是对于来世的庇佑，对于死者畸形的情感寄托，两者结合在一起，产生了可怕的迷信。无论是在古代习俗，或者现代仪轨这两方面，中国的祖先崇拜都打上了偶像崇拜和迷信的深刻烙印。

为了推进传教事业，慕雅德必须要了解中国人的道德和信仰。他开始思考，为什么这个看似巨大实则笨拙的帝国，在外患内乱之后，虽满目疮痍、摇摇欲坠，却没有灭亡？法国探险家邦瓦洛特（Gabriel Bonvalot）曾这样评价中国当时的国力："中国无法抵挡欧洲的武力，毫无凝聚力。我认为一支一万名精兵强将组成的欧洲军队，即可横扫整个中国，不会遭遇任何像样的抵抗。中国人不知爱国主义为何物，他们唯一迫切的想法，一个一直困扰他们的想法，就是找到足够的食物"（Moule, *New China and Old* 5）。然而这个帝国不仅从太平天国叛乱的大震荡中生还，而且从废墟中站立起来，焕发新生，它得以巩固和团结的秘密是什么？慕雅德一直在追寻这个答案。

太平天国运动失败后，偶像崇拜的回潮使慕雅德倍感失望："偶像崇拜得以恢复，人们的习俗并没有改变，相反，偶像崇拜和整修寺庙越来越风行"(Church Missionary Society Record 342)。可见，祖先崇拜在中国人的心里根深蒂固。

"所有伦理问题的产生往往都同伦理身份相关"（聂珍钊 263），身为传教士的慕雅德概莫能外。在他眼里，中国是遍地偶像崇拜的异教国度，他的态度是抵触的，他的评论也显示出西方基督教中心观。中国人对基督教和上帝有着本能的抗拒，传教事业在中国举步维艰。坚守信仰的慕雅德内心满怀焦虑，他开始研读中国经典，去探索这个"苍老衰落"帝国背后的力量。

二、伦理环境与慕雅德对中国孝道伦理的接受

慕雅德孜孜不倦地阅读、记录和书写中国。他的六个儿子共同编著的回忆录里这样写道："在中国的传教生涯中，父亲工作兢兢业业，70 岁时，他每天依旧五点起床，一天行走三十英里，布道十四次，晚上还要给坎特布雷大主教写信，或阅读中国典籍"（Moule, *Missionary to the Chinese* 22）。

他发现，中国伦理中，"孝"历来被看作是最基本、最重要的德行之一，也是中国典籍里赞颂的主题。在其《中国故事与中国智慧》一书中，慕雅德讲述了三十一则中国故事，"它们有着同一主题，就是行孝"（Moule, *Chinese Stories* preface）。首先，中国人发自内心地敬仰父母。如"子路背米"。孔子的得意门生子路经常从百里之外背米回家，侍奉双亲。父母亡故后，他拥有车马百乘，粮食万钟。在盛筵之上，他却常常怀念起父母，即使他想吃野菜，为父母背米，也是不可复得。[1] 这个故事发人深省，慕雅德感慨："如果一个儿子对去世的父母是如此地孝敬，那么生活在父母身边的子女，又怎能不及时孝敬近在咫尺的父母呢？"（Moule, *Chinese Stories* 36）

慕雅德指出，尽管世上有很多人对朋友很忠诚，但是他们却忽略了自己的父母。他记述过另一则故事——"闻雷泣墓"：一个孝子一听到雷声，就会跑到母亲坟前，跪拜并安抚生前惧怕雷鸣的母亲（Moule, *Chinese Stories* 40）。其孝心跃然纸上。中国《二十四孝》故事取材于西汉经学家刘向编辑的《孝子传》，图文并茂，讲述历代二十四个孝子的故事。慕雅德《中国故事与中国智慧》一书从中收录了"恣蚊饱血"、"怀橘遗亲"、"鹿乳奉亲"、"戏彩娱亲"、"扼虎救父"等故事，向西方读者宣扬了儒家思想的孝道精神。

儒教的孝道还包含对父母的顺从。汉朝孝子韩伯俞的母亲常常用拐杖惩戒他，他总是毫无怨怼。直到有一天，母亲打他，而他不觉得痛，于是放声大哭，因为他感觉到母亲垂垂老矣（Moule, *Chinese Stories* 37）。行孝如此体贴入微，着实令人赞叹。

孝道思想从孔子生活的时代延续至今，深深地根植于中国的哲学和伦理，为中国人提供道德教诲。"中国人尽管缺点多多，但他们敬重父母，这一点是他们国家的骄傲"（Moule, *Four Hundred Millions* 13）。慕雅德发现，君臣、父子、夫妇、兄弟、朋友间的关系，是儒家伦理体系中最基本的人伦五常。孟子曰"……教以人伦: 父子有亲，君臣有义，夫妇有别，长幼有序，朋友有信"（《孟子·滕文公上》）。慕雅德向英国的孩子解释，如果一个中国人对他的朋友友好，却不善待兄弟，一个女人爱她的兄弟，却抛弃丈夫，或一个丈夫爱他的妻子，却不管不顾父母，或一个人忠于他的父母却忤逆君王，这些

1　《孔子家语·致思》："昔者由也，事二亲之时，常食藜藿之实，为亲负米百里之外，亲殁之后，南游于楚，从车百乘，积粟万钟，累茵而坐，列鼎而食，愿欲食藜藿，为亲负米，不可复得也。"

人在中国人眼里是受鄙视的（Moule, *Chinese Stories* 18）。

在中国"人伦五常"思想潜移默化的长期影响下，慕雅德在他的生活中也遵循着中国人的"长幼有序"。1880年，圣公会华中教区主教缺职，英国圣公会举荐慕雅德出任此职，当年1月22日，慕雅德给圣公会复函，将这一职位让给了哥哥慕稼谷。这不仅是出于他"对哥哥的爱戴和敬仰"，更是因为他哥哥先行一步，引领他开始了在中国的传教生涯，兄弟俩并肩工作了四十多年。慕雅德说："中国人非常重视长幼有序，年轻的应该服从年长的"(G/Y/ CH1/ 2-3)。

阅读中国古代经典开启了慕雅德中国式的道德情感，他在中国生活，与善良朴素的中国人交往，在心底里滋生出对这片土地和中国人的热爱，这种感情从他的演讲或字里行间自然地流露出来。1890年2月4日，在题为《1861-1890中国传教生活的回忆》上海传教会演讲中，慕雅德表达了对中国朋友的怀念之情，一位是他们疗养院的看守老人，经常背着他的儿子爬山；另一位是宁波阿妈，长期照顾他们生活。他们的善良和忠贞是他在中国感触最深的"朋友有信"。

1910年10月15日，慕雅德永远离开了他传教五十年的中国。返回英国之时，他还期待着90岁前能再来中国。1918年，在他生命的最后一年，他写下了《年轻的中国》，在卷首就开宗明义道："虽然中国人的习俗是多么地古怪，但那些被教育要热爱父母、尊敬长者的人是不该被嘲笑和鄙视的。英国的孩子们应从他们那里得到很多好的教训"(Moule, *Chinese Stories* 16)。慕雅德还把中国孩子的故事和生活方式讲给英国孩子们听。因为他们（中国孩子和英国孩子）是兄弟，孔夫子说过，"四海之内皆兄弟"(Moule, *Chinese Stories* 18)。他已经深刻理解了孔子这句话的含义，这个"兄弟"的概念已经超越了血缘关系，进而推及和涵盖了不同国籍、不同宗教的异国同胞。

慕雅德考证了孔子的生平、学说和编著，研究其思想形成的轨迹。1909年，他发表《孔子》一文，他认为伟大的作家影响世界，不仅是因为他们的作品，还有他们的人格和思想之魅力。荷马、维吉尔、但丁和莎士比亚的作品之所以成为世界文学宝库中珍贵的遗产，是因为他们的才智和思想对后世产生了深远的影响。孔子影响中国的不仅是他的著作，他的思想和道德教诲深刻地影响了中国和日本，成为士大夫和平民百姓为人处世的准则。

慕雅德虽然高度评价孔子，赞同孔子的伦理教诲，但是不认可孔子祭拜祖先。《摩西十诫》第一条——"除了我之外，你不可有别的神"；第二条——"不可为自己雕刻偶像，不可跪拜假神像。"显然，孔子的祖先祭拜与上帝的戒律是相违背的。他认为孔子将祭祖上升到最高的道德责任，有如祭神 (Moule, *Confucius* 32)。聂珍钊指出："伦理身份是评价道德行为的前提"(聂珍钊 264)，"由于身份是同道德规范联系在一起的，因此身份的改变就容易导致伦理混乱，引起冲突"(聂珍钊 257)。作为基督教传教士，慕雅德尊奉

基督教一神论的伦理准则，赞同儒家的孝道思想及其教化作用，但对孔子的祭祖始终不能完全理解。他引用了圣经的一句话来描述孔子的这一行为："他离弃了活水的泉源，自凿水池，是破裂不能存水的池子"（Jeremiah 2:13）。慕雅德以传教士身份评论儒家思想和中国伦理，无论他与中国文化有多大的交融，基督教一神论跟中国伦理之间，总是有较多的藩篱与窠臼，很难跳脱、超越。

三、"中国礼仪之争"与慕雅德对中国崇拜的宽容

十七世纪天主教耶稣会士来华传教，曾引发了一场"中国礼仪之争"。争论的焦点是"怎样对待中国祖先崇拜之礼仪"。这场争论使康熙皇帝与罗马教廷分道扬镳、彻底决裂，导致了康、雍、乾、嘉四朝禁教。慕雅德提出过一个问题："祖先崇拜为罗马天主教会所禁止，但深思熟虑的中国人会问，为什么我们西方人的祖先、教堂中的圣人可以受人祭拜，而他们景仰的中国祖先却遭受冷落，被赶下至尊的位置？"(Moule, *New China and* Old 202)

慕雅德来华之时，中国历史上的"礼仪之争"并未降下帷幕。十九世纪鸦片战争之后，来华传教热再次掀起，蜂拥而至的传教士依然不得不面对"中国礼仪之争"。

首先是第一次传教士大会与"上帝"译名之争。1877 年，慕雅德参加了上海第一次在华传教士大会，祭祖仪式等中国礼仪问题是会议中的一个重要议题。对于"礼仪之争"，在华传教士存在两种截然相反的态度。美国浸礼会牧师晏玛太（Matthew Tyson Yates）认为后世子孙跪拜在牌位、坟墓和神灵前祭奠祖先，并非真正的孝敬，是中国先辈给他们的子孙灌输奴化思想；再者，祖先崇拜蕴含着强大的力量，既定的习俗和规约束缚着中国人，世代相承，这其实是文明进步的一个重大障碍（Shanghai Missionary Conference 368）。

弛禁派理雅各在他题为《儒教与基督教的关系》的发言中则对中国儒教表现出同情（Legge 2-12）。慕雅德在《教务杂志》上发表《"上帝"之词的协调》一文，认为耶稣教有称上帝、天主、神、真神等等，各种称呼不一而足，都是指独一无二的大主宰。耶稣教各书有谓神、灵，皆指人之魂灵，而圣灵、圣神则是指三位一体的父子圣灵圣神（Moule, Compromise on the Term for God 251）。毫无疑问，在"译名之争"中，慕雅德站在基督教的立场，从基督教神学的角度来阐释"上帝"一词的翻译，为此正本清源：大主宰即是上帝。而中国人的天、神或帝则与基督教的上帝无关。

第二，1885 年 9 月，亚洲文会在中国外侨中调查"何谓孝道？"（王毅 227）结果显示，在 17 名调查者中，有 11 名持"孝道是有益的"立场，其中就包括慕雅德兄弟。1885 年 10 月 15 日，亚洲文会传教士会议讨论"孝道"问题，慕雅德在会上发表意见。他首先就指出孝道的罪，认为中国人关于孝

道的教育并非言行一致。孔子的弟子曾参所著的《孝经》，图文并茂地讲述了中国人关于孝道的伦理思想。他认为"孝道"教育人们父母和兄弟比天子更加重要，这个权威的中国伦理思想会推导出一个狭隘、自私的结论，即家庭的和谐、有序和兴旺高于国家的和谐、有序和兴旺。中国政府的整个体系和文明秩序是基于这一家庭模式，皇帝为君，君为臣父，因此孝道必始于家庭，如果家庭这个根部和源头腐烂或涸竭，孝道则难以为继。《孝经》进一步阐明，古老的美德在于：崇拜和祭祀已故父母和祖先尤如"配天配上帝"。凡此种种，会导致有神论者思想混乱。这一理念也是基督徒指责祖先崇拜之原因，抨击其为偶像崇拜。"以孝治天下"的理念也体现在《圣谕广训》一书中，人们被规劝回家，崇拜家里的两位生神——父亲和母亲，因为只有孝子才能成为顺民和忠臣。孝道在诸多案例里被歪曲，比如孩子的生死操于父母之手；中国法律在孝道的名义下表现出残忍的一面。一些古代流传至今的孝道故事，荒诞无稽，只能起威慑作用，无法启迪道德。

另一方面，慕雅德又认为祖先崇拜表达了一种虔诚和尊贵的情感，基督教徒不应粗暴干涉，而是应该加以修补。虽然乔治国王和阿尔伯特亲王不应该像天一样被崇拜，但他并不认为美国人向华盛顿的肖像脱帽致礼、英国女王前往温浮若阁摩尔宫[1]是一种偶像崇拜。

他还指出，这种孝道教育利大于弊，它能使各个省、城市或村庄都遵循共同的伦理道德，达成共识，形成高度的思想统一，反过来又使孝道得以更广泛地传播（Filial Piety 125）。据他观察，在大部分中国人的生活中，孩子尊重父母和老人，表现出孝顺和服从。如果没有这个引以为豪的美德，中国社会将变得更加糟糕，国家将出现分裂和衰变。

中国人遵循的孝道在《圣经》里也有类似的体现，即"第一条带应许的诫命"(Filial Piety123)。"当孝敬父母，使你的日子在耶和华——你神所赐你的地上得以长久"(出埃及记 20:12)。只有"孝敬父母"，才能得福份，享长寿，这是神对你的应许。

值得一提的是，亚洲文会各代表在会议发言后，进行了投票表决，最终认定"孝道"在中国产生了邪恶。

在 1890 年召开的第二次来华传教士大会上，以戴德生为代表的基要派与弛禁派就中国祭祖仪式再次展开辩论。弛禁派丁韪良在《祖先崇拜》中建议"传教士不要干涉华人敬拜祖先的礼仪，留待神圣的真理深入人心后，在真理的影响下发生变革"(Martin 629)。慕雅德虽然没有在大会上发言，但他在《新中国和旧中国》一书中专章探讨了来华传教士对祖先崇拜的评价，表达了对孝道的同情。

1886 年，在杭州至宁波的轮船上，慕雅德偶遇一位中国提督。从他们关

1　浮若阁摩尔宫 (Frogmore House) 坐落于温莎城堡公园内，是英国皇室行宫，维多利亚女王居所。

于祖先崇拜的对话中，可见对其思想之触动。提督指出：中国人对基督教并无恶意，但是阻碍中国人信仰基督教的一大障碍是，中国基督徒必须放弃祖先祭拜，令中国人心生反感。慕雅德答道："祖先崇拜意味着死者在活人和上天之间起到了某种媒介作用，他们是我们和上天之间的调停人，需要供奉祭品。这种行为与人、耶稣基督、上帝的信仰完全背道而驰。这一思想体系显然转移了只归功于上帝的荣耀。"提督反驳道："祖先崇拜不是偶像崇拜。它仅意味着举行虔诚而深情的仪式，以此纪念逝者，事死如事生"(Moule，*New China and Old* 195)。

与中国官员关于祖先崇拜的这段对话，促使慕雅德再次反思。他认为祖先崇拜触及了基督教和中国古老信仰间冲突的核心。如果告诉一位中国人祖先崇拜是错误的，这近乎摧毁了他的道德根基，犹如一个中国人说服他们信仰上帝是愚蠢错误的 (196)。拒绝基督教信徒参与祖先崇拜，将伤害中国人内心深处巨大的宗教本能。

在华三十年后，慕雅德著《新中国和旧中国》一书，专章讨论了中国的凝聚力。首先，"中国比其他任何文明国家都更容易统治。如果归因于他们天性冷漠、理性和逆来顺受，也许不是一个令人满意的答案。有一个作家评论过中国人的满足感：中国人并非满足于他们的个人环境，而是他们赖以生活的体系，即道德优势高于物质力量"(Moule，*New China and Old* 27)。中国通过漫长的科举考试过程，把一些最具德行和能力的人筛选出来，供职于基层。以儒家经典为考试科目的科举考试，在中国延续了 1200 多年，这足以说明帝国凝聚力形成的原因。

第二，"忠孝节义"的伦理思想是中国传统文化的道德准则。慕雅德在阅读儒家经典《四书五经》、《三字经》、《千字文》或与中国人相处时，发现中国人对国家尽忠，对父母尽孝，对朋友尽义，是整个社会普遍赞同的伦理道德和行为准则。中国皇帝是天子，他如神一样被百姓顶礼膜拜，官吏在执法过程中也贯彻了天子的意志。在这地域跨度如此之大的、高度中央集权的国家里，这种道德规范和意识形态维系和凝聚着这个国家的精神。造反和革命不仅仅被认为是分裂国家，而是对他们大家庭的不忠不孝。

慕雅德经常往返于宁波和杭州之间，运河两岸牌坊鳞次栉比，长达三英里，于他而言这是一种文化震撼。牌坊是中国人标榜功德、臣服皇权的一种象征。重义轻生的烈女、忠贞不二的节妇、孝彰天下的子孙，或德高望重的老者——所有这些功德之人都在这些奇特的露天圣殿中得到表彰。无处不在的牌坊默默讲述的壮烈故事虽然各异，但是它们传递的精神却是一致的，即中国人"忠、孝、节、义"的道德伦理观，这一褒奖体系在中国团结和统一的进程中作用巨大。

第三，在挨家挨户的布道中，慕雅德发现四世同堂的大家族是中国家庭的普遍模式，受人赞誉。儒家文化已经融入中国人的骨血，"人伦五常"这

一伦理思想成为中国人重视的道德规约。和谐的家庭是中国社会安定、国家稳定的基础。凝聚力不是中国人突如其来的军事热情，也不是对西方武装入侵的恐惧，而是中国人一如既往，"年复一年地追求和平之道"（Moule, *New China and Old* 17）。这股力量不仅增强了中央政府的控制力，而且团结了中华民族，使之在数百年间的打击和剧变中作为一个整体得以延续。

慕雅德宽容祖先崇拜，源于对"孝道"含义的真正理解。中国古老仪式中最能打动人心的是清明扫墓，这一仪式有助于家族成员的团结，增强家族群体意识，维系着家族这一血缘共同体的长久存在。慕雅德的传教士身份，常常使他陷入伦理困境，他既反对偶像崇拜，又理解和同情中国人的孝道或祭祖仪式的情感蕴意，而这绝不会改变他五十年坚定不移的基督教伦理观和态度：放弃偶像崇拜，以基督教代替家神、异教神以及偶像崇拜赖以存在的一切。

基督教的伦理观同样重视孝道，与中国伦理观差异重大。儒家学说遵循"性善说"的道德本能，"人之初，性本善"，尊重父母是自然良知的一部分，妇孺皆知，它不是被后天教导出来的。《摩西十诫》之孝敬父母，是上帝关于孝道的命令，爱上帝的人也应该爱他的父母、兄弟及他人。而当孝敬父母的要求与上帝的旨意存在冲突时，遵从上帝的旨意则是优先选项。

中国人的祖先崇拜与基督教伦理相悖，必然产生冲突。传教士对此的前后态度基本遵循了这样的转变：第一阶段是毫不妥协地否定所有含有偶像崇拜成分的宗教，第二阶段是基督教仪轨渐渐适应并保留了祖先崇拜中真实、高尚的原则。

可以看出，慕雅德等一批传教士反对祖先崇拜的立场虽然一以贯之、并未改变，但他们的态度慢慢温和，思想逐渐变化，开始宽容和接受中国伦理与基督教伦理相左的部分，承认祖先崇拜的确包含着怀念死者的感情，是人类美好情感的体现。

1907 年，在华传教士举行基督教来华百年大会。传教士们在会上商讨：与其否定祖先崇拜，还不如从这长期形成的习俗之中，探索潜在的某些真理，最终把"孝道列为基督教徒的最重要的义务之一。"这一讨论意义深远，影响非同一般，不啻石破天惊。

结语

基督教是一种排他、普世性的宗教，传教士来华的目的和宗旨就是要让基督教福音传遍世界。慕雅德的伦理身份使他肩负特殊的使命：中国成为一个基督教国家。在两次来华传教士大会的"译名之争"和"中国礼仪之争"等辩论中，慕雅德都秉持虔诚的基督教信仰，维护基督教一神论，视上帝为基督教唯一的真神；他期待从祖先崇拜中剔除迷信的部分，保留其孝道。他始终从传教士的立场出发，做出有利于基督教传播事业的选择。在华传教

五十年，慕雅德精通中国文言文和多种方言，这为他了解中国人和中国文化提供了良好的语言工具。通过研读大量的中国经典和民间文学，他逐渐理解中国的孝道思想、该思想的情感含义和联结纽带，这是一个从排斥到扬弃的过程。

　　通过知识的积累和思想的梳理，赴穷乡僻壤布道和传教，与中国民众广泛交流，深入中国家庭生活的现实体验，慕雅德与中国、与中国人民建立的深厚感情影响了他对"祖先崇拜"的态度，使他进一步理解宗教、民间信仰和百姓日常生活的关系。他对中国孝道思想的接受基本上经历了抵触——审视——理解——宽容——接受的思想路径，这也是他的身份认同、基督教伦理与中国的伦理和道德情感逐渐融合的心路轨迹。不难看出，慕雅德浸润于中国文化，他的记叙自然流露出他对中国人"孝道"思想的理解和欣赏，并把它介绍给了西方读者，他对中国文化的传播功不可没。

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The Clash of Amalgamations: Tomo Virk's Approach to the Ethical Turn in Literary Criticism

Matic Kocijančič

Abstract: The author discusses the monograph *Etični obrat v literarni vedi* (*The Ethical Turn in Literary Studies*), in which Tomo Virk presents and evaluates the main currents of ethical criticism from the 1980s to the present. The first part of the paper outlines Virk's confrontation with the humanist tradition of the ethical turn and sets out the basic polemical concepts of his study. The second part of the paper analyses more closely one of these concepts, the so-called amalgamation, and its use in Virk's critique of equations made in literary theory between rhetoric, aesthetics, politics and ethics. The conclusion identifies Virk's original theoretical contribution to ethical criticism.
Key words: Tomo Virk; ethical turn; ethical criticism; amalgamation; neo-Aristotelianism.
Author: Matic Kocijančič, is Researcher at Department of Comparative Literature and Literary Theory, University of Ljubljana, Askerceva 2, 1000 Ljubljana, Slovenia. His research interests include ancient Greek drama, philosophy of tragedy, and post-war theatre (Email: matic.kocijancic@ff.uni-lj.si).

标题：融合中的冲突：托莫·维尔克论文学批评中的伦理转向
内容摘要：托莫·维尔克在其的学术专著《文学研究中的伦理转向》中讨论了二十世纪八十年代以来伦理批评的主要流派。本文作者首先梳理了维尔克对伦理转向中人文主义的研究，并提出了他研究中引起争议的观点；其次作者集中讨论了融合这一概念以及维尔克如何运用这一概念在修辞学、美学、政治学和伦理学之间构建自己的文学批评模式；最后本文作者总结了维尔克对伦理批评的理论贡献。
关键词：托莫·维尔克；伦理转向；伦理批评；融合；新人文主义
作者简介：马蒂克·柯西贾希奇，卢布尔雅那大学比较文学与文学理论系研究学者。研究领域主要为古希腊戏剧、悲剧哲学和战后戏剧。

Tomo Virk, one of the leading Slovene literary theorists and historians, has recently published the book *Etični obrat v literarni vedi* (*The Ethical Turn in Literary Studies*).[1] The book is divided into four parts. In the first two parts, Virk gives an overview of the phenomenon mentioned in the title, the intensive interrogation of the relationship between literature and ethics that pervaded American literary studies — and was soon to have a global impact — in the 1980s and 1990s. In the field of literary criticism, this evident growth of ethical studies became known as the "ethical turn", while the broader term "ethical criticism" was applied to its prominent representatives, theses and methods. The third part of the book is devoted to Nie Zhenzhao, "undoubtedly the leading non-Western representative of the ethical turn" (10), in whose work Virk finds not only "a new, minutely elaborated, systematic approach to literature" but also one of the most successful editorial, organizational and institutional supports for ethical literary studies (25). The fourth and final part of the book, which forms a thematic arc together with the introduction, sets out Virk's original identification of productive starting points for contemporary ethical criticism, along with its main aporias and promises.

Outline of the "Humanist Tradition" in Ethical Criticism

In his historical outline, Virk takes into account the close connection between the fields of philosophical ethics and ethical criticism; as he highlights throughout, it was precisely in the key decades of the ethical turn that the mutual influences between the two fields clearly went both ways. The two predominant ethical orientations in contemporary literary studies — which Virk calls "the humanist tradition" and the "ethics of otherness" — have been shaped by philosophical impulses. In the context of the first we find an attempted literary-critical application and development of Aristotelian ethics. Virk discusses the two leading representatives of this orientation, Martha Nussbaum and Wayne Booth, under the joint (sub)heading of "neo-Aristotelianism". In the context of the second we find literary studies confronting the ethical challenge of Emmanuel Levinas and the "primacy of the other/Other" (158). One of first works in the canon of the ethical turn as outlined by Virk, Nussbaum's *Love's Knowledge: Essays on Philosophy and Literature,* which Virk calls "one of the central and most influential works of ethical criticism" (35), already in its subtitle directs the reader's attention to the question of the relationship between philosophy and literature — and the connections between their characteristic discursive strategies. Here the American

philosopher and literary critic, who throughout the work unveils the diverse ethical nuances of the connections between *emotion* and *belief*, programmatically sums up her philosophical apology for literature as ethical reflection *par excellence*: "One good way to get really clear philosophically about what acceptance of a belief in the commensurability of values would really mean in a human life is to turn to the literary imagination, asking for stories of people who really live this belief, stories that would show us with a concreteness and reach that are frequently absent in abstract philosophical reflections on the topic, just what the world would look like to such people" (124).

This dimension of her project largely coincides with one of Virk's defining intuitions, according to which "literature itself — and not just the abstract theoretical and logical discourse of philosophy and theory — is perhaps the most important form of moral philosophy or ethics, that is, the most appropriate *thematization* of ethics, the ethical, ethical questions and dilemmas"; he defines this intuition as "the logical consequence" of one of the "most productive insights of ethical criticism", namely, that the "ethical situation is singular" and that "in this singularity lies the analogy between ethics and literature" (331). Though Virk perceives "much that is unclear, inconsistent, based on a preconceived thesis, and otherwise flawed" in Nussbaum's work, he still considers the "'sound core' of her theory" to contain "one of the most complete and systematic forms of ethical criticism" (76). He acknowledges her as "one of the founders of the ethical turn in literary studies" (35) and as an important link between the ethical turns in philosophy and in literary studies (36).

Virk gives Booth, too, a decisive place among the instigators of ethical criticism. According to Virk, Booth's work *The Company We Keep: An Ethics of Fiction* — along with *Love's Knowledge* and Hillis Miller's *The Ethics of Reading* — "triggered the avalanche we call the ethical turn" (78), and is at the same time "also more specifically a work of literary studies than the works of Nussbaum and Hillis Miller, which take a more philosophical tone" (88). He is nonetheless far more critical toward Booth than toward Nussbaum; while appreciating Booth's project for its strenuous and quantitatively impressive "cataloging of dilemmas [of ethical criticism]" (100), Virk remains unconvinced by most of his theoretical propositions, be it the broadening of the notion of *literature* to certain traditionally non-literary genres and art forms, the erasure of the difference between the ethical and the aesthetic, or Booth's insistently pragmatic discourse, which in Virk's view too often ends up in "inconsistency, laxity and superficiality" (89) precisely for its forced pragmatism.

Beside his analysis of the neo-Aristotelian findings of Nussbaum and Booth — and of their critics, among whom he discusses Charles Altieri, Hanna Meretoja and Richard Posner more closely — Virk also includes in his presentation of the humanist current of the ethical turn an outline of so-called narrative ethical criticism, to which he adds — with considerable reservations over terminology (154) — a sub-chapter on "ethical narratology". In this two-part section, he lays out and evaluates the intersections between the ethical and literary-theoretical projects of Alasdair MacIntyre, Hanna Meretoja, James Phelan, Wolfgang G. Müller and Ansgar Nünning. Their central theses extend and deepen the neo-Aristotelian reflection on the superiority — or at least the indispensable role — of literature in the thematizing of ethical dilemmas, but do so by concentrating on the ethical status of *narrative* as such, which leads many representatives of this movement to a unique conceptual turn in which they no longer understand literature merely as the primary medium for ethical reflection, but also raise the question of the narrative structure of life itself, of the irreducible *narrativity* of the real ethical situation. This section, too, is characterized by its close entanglement with related — preceding and contemporary — philosophical projects; already in his initial delineation of the problem, Virk draws on theses and quotes from Bernard Williams and Paul Ricoeur, but he pays the most attention to Alasdair MacIntyre — who is primarily a philosopher and theologian — and to Hanna Meretoja, who is a comparatist, not a philosopher, but whose "narrative ethical criticism is richly lined with philosophy" (110).

In his polemical juxtaposition of these two writers — who concur at least in their basic view of narrativity as a fundamental ethical question — Virk stresses the problem of the homogeneity of life-as-narrative. To MacIntyre, "life [is] a uniform search for identity and meaning and a completed, coherent whole, a narrative" (112), but Meretoja takes the opposing view on two levels: first, narrativity does not determine life itself, but only its transmission; second, any attempt to transmit the narrative of life is inevitably many-layered, non-linear, often even fragmented; "life does not form one coherent narrative, but is instead a process of constant narrative reinterpretation" (Meretoja 2018, 44). This incoherence, which prevents interpretive stagnation in how we relate to our own lives, also stems from the inevitable plurality of narrative voices through which our lives are articulated, be it as "internal dialogue, dialogue with others, intersubjective relations or social and cultural narrratives" (Virk 112).

MacIntyre's project itself is in principle favourably received in Virk's book; among other things, Virk writes that MacIntyre has "given a fairly detailed

philosophical and anthropological argument for the unbreakable tie between ethics and narrativity" and that his "findings are a good example of the thinking that forms […] the innermost core of every narrative ethical criticism", namely "the thinking that has connected the outcomes of the two turns in the humanities of the last third of the 20th century: the narrative and the ethical" (109). Nevertheless, Virk is won over by Meretoja's misgivings; in her refined critique of MacIntyre, Nussbaum and Booth, he recognizes a welcome "grounding" and hermeneutic "specification" of ethical criticism (113); he also takes a positive view of her wider hermeneutic starting point, such as her stress on the ethical potential of narrative "to cultivate and expand our sense of the possible" (Meretoja 2018, 35), which he even declares to be "Meretoja's most innovative contribution" (Virk 114). He sees her approach to narrative ethics as "the most appropriate and elaborate model of narrative criticism to date", although Virk immediately adds to this praise the explanation that "this kind of criticism is not the only possible approach to literature at the intersection of narrativity and ethics" (121).

"Unjustified Amalgamation" as the Basic Problem of Ethical Criticism

While the encounter with the "ethics of otherness"[1] in Virk's book takes about as much space as the already outlined discussion of the "humanist tradition", it is particularly in connection with the latter that Virk develops the basic polemical concepts of his study, which he later tests out on all the other movements of ethical criticism under discussion. One of these basic concepts, and the one I will focus on in the present part of my paper, is *amalgamation*. This is an expression that

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1   Virk divides the section on "the ethics of otherness" into two parts. In the first he discusses Emmanuel Levinas, who "with his ethics actually remains the foremost philosophical reference of ethical criticism" (181), "more frequent than e.g. Aristotle or Derrida" (158). In the second he discusses deconstructionist ethical criticism, focusing on Jacques Derrida, Paul de Man, J. Hillis Miller and Gayatri Spivak. Deconstruction, Virk finds, "plays a somewhat unusual role in the ethical turn in literary studies. Most of the central protagonists and chroniclers of this development stress that one of the main motive forces for the turn was precisely the glut of deconstruction and the opposition to it in literary studies. On the other hand, chroniclers (sometimes the same) also include the deconstructionist version among the central currents of ethical criticism" (182). Even though Virk is enthusiastic about many of the stylistic features and the "analytical perspicacity" (295) of the leading deconstructionists, their confrontations with ethical questions largely leave him cold: "Deconstruction […] fails at positively grasping the ethical. This even applies to its celebrated notion of the *relation* and *responsibility/responsiveness to the Other*, which gets its specific ethical coloring only in a field outside the (inter)textuality characteristic of deconstruction, that is, in the field of *intersubjectivity* (which despite occasional over-complicated theorizing is front and center e.g. for Spivak). Such an ethic of otherness was probably most influentially developed by Levinas, not by deconstruction" (295—296).

Virk applies critically — often along with pejoratives like "unjustified", "hasty" and so on — to those attempts at solving ethical-literary quandaries that rashly equate the ethical dimensions of literatures with other, traditionally connected, but nevertheless independent areas of life, thought and art. Virk, who appreciates ambivalence and paradoxes — even, and especially, in the ethical domain — as a basic constituent part of literature, thinks this attitude risks impoverishing the discourse of literary theory for no convincing reason. He particularly points to three forms of amalgamation in ethical criticism:

1. *Amalgamation of ethics and rhetoric* (92, 123). Virk harshly criticizes those parts of Booth's work that fall into "amalgamation of the ethical and rhetorical understanding of *ethos*" (92) or "amalgamation of the philosophical-ethical concept of *êthos* with the rhetorical" (157), as he puts it later, seeing in this problem one of the most noticeable weaknesses of the wider neo-Aristotelian coalition in the ethical turn. He describes "the watering down of ethics with rhetoric" as "one of the poorer, but not one of the rarer options within ethical criticism" (323).[1] He finds the basic reason for this "option" in a problematic reading of Aristotle — in "the derivation of the ethical from the êthos that is employed e.g. by Booth, Müller in L. Korthals Altes (and vaguely suggested also by de Man)" (322—323) — in which the rhetorical *êthos* (one of the three modes of persuasion in the Aristotelian art of rhetoric beside *logos* and *pathos*) is equated with the underpinnings of ethics as such.

2. *Amalgamation of ethics and aesthetics* (92, 316). In contrast with the "equation of the ethical with the aesthetic" (157), Virk defends "the position that regardless of the fact that every literary work is made up of aesthetic, ethical and epistemological dimensions which are mutually connected in various ways and therefore form a kind of whole, these dimensions must nevertheless also be distinguished from each other without privileging one at the expense of the others. If we act differently […], we actually slip out of ethical criticism and find ourselves deep in moralist, ideological criticism […], a phenomenon that is not at all a thing of the past, but highly topical today

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1   In connection with this phenomenon, Virk fleetingly notes the related linguistic amalgamations in deconstruction, "where ethics is sometimes understood as a linguistic phenomenon or equated with understanding or even with the ontological structure of (language-moderated) reality in general." Against such a theoretical horizon, ethics, "takes on the role of a rather freely floating signifier which can be stuck onto any signified whatsoever if we only formulate it with enough skill" (323).

and, in the guise of the ethical turn, no less self-confident than before" (316). The danger of moralism is of course also connected with the aforementioned terminological quandaries of distinguishing between ethics and morality,[1] which often end up conflating them completely (315) and thus inevitably also descend into moralism. Particularly with regard to the "humanist tradition" in the ethical turn, Virk points out the "dangerous closeness between ethical and moralist criticism" (157).

3. *Amalgamation of ethics and politics.* Here Virk — more clearly than with his other critical observations — finds many fellow-thinkers who see the trend of equating the ethical with the political as a burning problem (327-328); among others, these include David Parker, Hillis Miller, Adam Zachary Newton, C. A. J. Coady, Seumas Miller and Nie Zhenzhao. Here, he cites Nie's critique of "political" approaches to literary criticism, with particular regard to "Feminism, Ecocriticism, New Historicism, and Postcolonialism", which he accuses of "a deficit of ethical engagement" (Nie 2015, 84). Virk defines the relationship between ethics and politics as hierarchical — "politics is based on ethics and derives from it" — and at the same time conflictual — "ethics and politics are not at all the same thing; in some regards they are even opposed to each other" (329). He points to Sophocles' *Antigone* as the emblematic literary account of this dynamics (ibid.).

The phenomenon of so-called politically correct criticism — characterised by merciless score-settling with the great literary works of the past in the name of modern moral stances, calls for the radical transformation of literary canons in accordance with the collective values prevailing at the moment, etc. — actually rests on a kind of synthesis of all three types of amalgamations: in this "ethics", the "ethical" is only a suitable or unsuitable rhetorical strategy which expresses correct or incorrect moral principles, the highest potential aim of which is to participate in the political project of bringing about social justice. Ethics becomes another name for politics, with moralism as the main weapon of its struggle. Virk perceives a considerable dose of hypocrisy in the fashionable forms of critical political correctness, particularly in their progressivism-based aggression against traditional moral codes: "The characteristic psychological deformation of many of the newer approaches that are considered 'progressive' and sometimes tied to

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1   Virk devotes a significant part of the book's introduction and conclusion to terminological problems in the distinction between ethics and morality, both in literary studies and in philosophy (see 12-17, 313-330).

the issue of so-called 'political correctness' is that they are highly critical towards traditional moralist forms of ethical criticism, but fail to recognize themselves in this type, even though they are themselves highly moralist in orientation and assess literary works mainly from the point of view of moral values (their own, of course), giving less weight, if any, to the aesthetic" (31). Despite this "lesser weight" given to the aesthetic — or perhaps because of it — the amalgam of politically based moralism, under the flag of theoretical ethics, ultimately subordinates to itself all other dimensions of the literary art, including the aesthetic ones. Virk sees this subordination as one of the key aporias of contemporary ethical literary studies — the unreflective, casual passage back and forth between proudly contemporary and supposedly time-proof value systems: "It is right that, from today's point of view, the reprehensible ethical acts and standards of the past, too, should come in for their share of our criticism; after all, this is one (perhaps even the main) way in which ethical/moral awareness is raised. But this should not be allowed to influence our aesthetic evaluation of past literary works. Those classical literary works that are based on ethical standards unacceptable today are in principle just as ethically 'reprehensible' as those based on contemporary ones; we only have yet to realize this perspective [...]. But both the historically older ethical standards and those of the present day always exist only within the frame of what is possible at a given time. The literary works based on them — to put it in simple and somewhat clumsy terms — are but the reflection of their time. And — to simplify once more — their aesthetic value depends only on how they reflect their time, not on what were the standard values of that time. For the sensitive (or simply: the sufficiently professional) literary historian or interpreter, then, the 'moral failings' of a work — which are failings only from the present point of view and not from that of the limited possibilities of that time — should not also be taken as aesthetic ones" (100).

Towards an Authentic Ethical Criticism

What, then, is Virk's alternative? How should the "literary historian or interpreter" in his view act when faced with the ethical challenges of high literature? What positive principles of ethical criticism can be found in Virk's opposition to amalgamation and in the other central themes of his book? At this point, we return to the question of the ethical singularity of the literary situation, which to Virk is the central topos of any convincing ethical criticism. He does not value this singularity for its help with demonstration and systematization, but quite the opposite, for its obstinate independent witness to the decisive and often unbridgeable paradoxes, ambivalence and contradictions of the human experience. As a place of systemic

predicament. As the exception that renders the rule problematic.

The ethical in literature, in his view, is most fully authentic precisely when it precludes placing things into a preexisting scheme; only then is it authentically ethical, only then is it authentically literary. The method of ethical criticism that is traced here, then, is oriented toward the preservation and communication of these unique ethical dimensions of literature, toward a thorough analysis of their depth and range, and not least also toward their defense against all attempts at simplifying instrumentalizations, be they complex theoretical amalgamations or one-dimensional activist appropriations. The kind of criticism that Virk advocates "takes place as a precise, careful reading of literary texts and, where ethics is concerned, learning from these texts, and not folding them up into preexisting templates of ethical theory" (332). It poses the question whether the most profound ethical dilemmas that are expressed in literature are enigmas that call on us to solve them — and whether they can be solved — or whether they convey the fundamental constants of human experience, its inalienable essence, full of internal struggles, contradictions and ambivalence.

Virk's critical starting point — which is strongly inclined toward the second answer — therefore differs from the approaches he criticizes most sharply, and not only in terms of the spectrum of scientific and methodological preferences; at the heart of his polemic we can see a clash of two world-view paradigms. The world view that Virk's critical project implicitly opposes is based on the optimistic illusion that all human problems can be solved through a refined system of collective rules and values, through the bureaucratization of life; in the context of criticism based on such an outlook, literature (and usually most other artistic enterprises as well) is degraded to a pedagogical medium that introduces the reader to the principles of a wider value system (a little more artfully and entertainingly than rule-books and textbooks do). This is an outlook that is anti-literary in its very nature. Seen from such a world-view, the literary situation is valuable only as a demonstration aid that in the final analysis remains clearly embedded in a department of the wider moral bureaucracy. This means that its singularity is valuable only when it is illusionary; when it is only a masked non-singularity, susceptible to unmasking. Real observation of the ethical uniqueness of the literary situation, as Virk convincingly shows, lies beyond the horizon of such criticism.

In the final paragraphs of his book, Virk raises a discursive question as well: What theoretical language, what theoretical form best suits the principles of authentic ethical criticism? To Virk, one of the fundamental problems of contemporary ethical-critical discourse is how it is trapped in the "primacy of the

theoretical", in the illusion of a pure, immaculate theoretical discourse, which would present general truths about the essence of literature beyond the literary; he perceives this often unreflective, but always fateful assumption even in literary theorists who in his opinion do understand the meaning of the Romantic thematization of literature's "insights into reality", said to be different from or even "higher" than those of philosophy (he highlights Hölderlin and Novalis as the key Romantic references for this question), but fail to embed them discursively in their own critical practice (331). Their schematic language in itself dictates schematic contents. What discourse, then, can successfully resist such a "primacy of the theoretical"?

The concluding surprise of Virk's book lies in his answer to this question, his first positive use of the notion of amalgamation: "The appropriate thematization of ethics […] draws close to the Derridean (or even the earlier Heideggerian) approach, which intentionally amalgamates philosophical discourse with literary discourse" (331). Even though he sees numerous problems with the deconstructionist approach to literature — first and foremost the "immanent methodical nature of the approach" that "overlays its template on reality" so that "for all the attention it devotes to the singular, it nevertheless always uncovers the same structure in the background" (332)[1] — he still sees its inventive, expressive language as one of the most powerful weapons in the struggle against the rigid and blind schematism that marks the sidetracks of modern literary theory discourse.

The book's conclusion thus once more confirms Virk's love for intriguing contradictions: In the creative discursive amalgamation of literary theory, he spots the antidote to its most controversial conceptual amalgamations.

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1   Against this templating he counterposes another concluding positive example, Erich Auerbach's *Mimesis,* where "the reading of literary works is not guided by a preexisting theoretical template, but the findings derive from the more or less immanent analysis of literary works. […F]rom such readings, the possibility of theory does not always follow — it only comes later and is subordinated to the findings of the 'analysis'" (ibid.)

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