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Cultural Remission, Factographic Literature and Ethical Criticism: An Interview with Leona Toker

Lan Yun & Leona Toker

Abstract: Leona Toker is Professor of English at the Hebrew University of Jerusalem and editor of *Partial Answers: Journal of Literature and the History of Ideas*. She is the author of *Nabokov: The Mystery of Literary Structures* (1989), *Eloquent Reticence: Withholding Information in Fictional Narrative* (1993), *Return from the Archipelago: Narratives of Gulag Survivors* (2000), *Towards the Ethics of Form in Fiction: Narratives of Cultural Remission* (2010), and *Gulag Literature and the Literature of Nazi Camps: An Intercontextual Reading* (2019). Toker engages in a number of research areas, including narratology, ethical criticism, Gulag literature, and Holocaust literature. In December 2019, Ms. Lan Yun interviewed Toker during her academic visit to Shanghai Jiao Tong University. In this interview, Toker approaches the concept of cultural remission and Gulag and Holocaust literature from an ethical perspective, exploring the complex relationship between literary forms and their ethical consequences. She claims that ethical criticism is coming back in new ways and that analysis of the ethics of form may take over from that of the ethics of character behavior as a potential orientation for future studies.

Keywords: ethics; cultural remission; Gulag literature; Holocaust literature

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标题：文化缓解、纪实文学与伦理批评：利昂娜·托克访谈录

内容摘要: 利昂娜•托克是耶路撒冷希伯来大学英文系教授、国际权威期刊《部分解答》主编，主要从事叙事学、伦理批评、古拉格与大屠杀文学等领域的研究，著有《纳博科夫：文学结构之谜》（1989）、《雄辩的沉默：虚构叙

事中的隐瞒信息》（1993）、《从群岛归来：古拉格幸存者叙事》（2000）、《建构小说的形式伦理：文化缓解叙事》（2010）、《古拉格文学与纳粹集中营文学：语境间解读》（2019）等多部作品。2019 年 12 月，托克教授在访问上海交通大学期间接受了蓝云博士的采访。在访谈中，托克教授从伦理视角讨论了“文化缓解”、古拉格文学和大屠杀文学，详细剖析了文学形式与伦理之间的复杂关系。托克教授认为文学伦理学批评正以新的面貌回归人们的视野，对文学形式伦理的探讨将逐渐取代以往关于人物行动伦理的探讨，这也是该领域未来发展的潜势所在。

关键词：伦理；文化缓解；古拉格文学；大屠杀文学

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Ethics and Cultural Remission

Lan Yun (Lan for short hereafter): Good afternoon, Professor Toker. Let’s start our conversation with a very general question. How do you define ethics? Is ethics in ethical literary criticism different from the ethics discussed in your work *Towards the Ethics of Form in Fiction: Narratives of Cultural Remission* (2010)?

Leona Toker (Toker for short hereafter): The book takes a specific direction in ethical literary criticism. What it tries to do is discuss the ethical aspects of the narrative form, not so much the ethics of the characters’ ideology and conduct, not so much the ethics of the implied author or, for that matter, the historical author’s ideology and choices, because ethics pertaining to the character’s conduct as well as to what the author believes is not a purely literary matter. It belongs mainly to the external world and reflections of it. This point has already been made by Wayne Booth in *The Company We Keep* (1988). The ethical aspects of narrative form are entirely a literary matter. They can be studied in different ways. For example, they can be studied as a matter of rhetoric, the ethics of the kind of a demand that the narrative makes on the reader. So it is the ethics of the narrative-reader communication. What does the narrative want from us? The rhetoric of the narrative is a system of signals that are supposed to affect the receiver of the communication. There is a rather well-known book by Roger Sell about communicative criticism in which he talks about the ethical aspect of literary communication. You don’t necessarily

have to regard literature as a form of communication, but in so far as it is a form of communication, the book proposes that the positive ethical form of communication is leaving the reader some freedom and not imposing a certain way of looking at things on the reader.

Another approach to the ethics of form is watching how different features of the narrative create ethical situations in the novel. If you change one word in an episode of a Henry James novel, you may bring about a whole different ethical situation. Here we are talking about the influence of narrative details on the complex as an ethical whole. That is especially true in the cases of high artistic or ethical refinement.

In the book that I wrote on the subject, my starting point was this: I was very much under the influence of Sartre's statement that a narrative technique always relates back to the novelist's metaphysics. And I asked whether a narrative technique also relates to the novelist's moral philosophy and whether we can find ways of connecting narrative technique with the author's ethos. (I leave aside the question whether it's the author or the implied author which is at issue when talking about a system of ethical beliefs.) The immediate answer to this question was negative. The same technique can serve different ethical positions. So that's not the way to look for the connection. But then I noticed a very interesting phenomenon: certain narrative techniques, the ones which I classify as non-carnivalesque, pertain to a kind of a low view of human nature, whereas the techniques that I regard as the carnivalesque pertain to a higher view of human nature. What is a high view of human nature? It's a view that accepts the possibility of very lofty ethical ideals and selfless behavior, including self-sacrifice, etc. At the same time, this position also accepts the possibility of very low moral downfall, evil, and the possibility that an individual can really descend to the depth of evil. So the high view is not an ethical notion in itself. It's basically related to a deontological position that says "What is right is right. What is wrong is wrong," irrespective of the utility of the conduct. It contrasts with the low view of human nature, a more utilitarian view, which tends to see conduct as largely, if not wholly, determined by self-interest, not necessarily immediate self-interest, but also extended or delayed self-interest. For instance, extended self-interest is the interest of your community, not necessarily your own advantage; it tends towards the principle of "the greatest happiness for the greatest number." At the same time, the low view of human nature also refuses to see the depth of possible evil. So in my empirical observation, carnivalesque techniques with which my book largely deals are associated with this demanding high view of human nature, which largely combats cynicism and is opposed to the utilitarian

view of things. Though it recognizes the value of utilitarianism in its own limits, it leans towards deontological attitudes. This is largely influenced by an old book, *Three Traditions of Moral Thought* (1959) by Dorothea Krook.

Lan: You claim that you "still believe that aesthetic experience has an intrinsic ethical effect, irrespective of the presence or absence of 'message'" (*Towards the Ethics of Form in Fiction* 3). Do you mean that even if the "message" conveyed were unethical, the aesthetic experience would still produce ethical effects? Is form more important than content?

Toker: So long as the reader is left the freedom to resist the message, is not forced to accept the message. One of the most painful examples is, for instance, the French novelist Louis-Ferdinand Céline, whose ideology is really quite terrible, but whose artistic achievement is high. My own view comes from the correction that Schopenhauer introduced into Kant's aesthetics. Whereas Kant says that aesthetic experience is characterized by disinterestedness (in the sense of unselfishness), Schopenhauer goes further and says that at moments of aesthetic experience, the will in ourselves, which according to Schopenhauer is always negative, is silenced. In other words, our desires, our self-interest, our drives are for a moment laid aside and that effect, which is not a rational, is positive, if genuine.

Lan: So that's why you think that cultural remission is the ethics of form.

Toker: Cultural remission is my blanket term for three kinds of phenomena that may have some such effect. I mean the carnivalesque, the oppositional and the ludic. What is "culture"? I mean a system of significances that is transmitted not genetically — not the issue of going to theaters and museums, but the whole package of significances which is transmitted by education and by personal example. Culture usually lags behind the changes that take place in the world. Culture becomes formalized while transformations of reality continue.

Remission is a kind of a stoppage of thought-conventions and this is what culture depends on for its vitality. Whereas the world is constantly moving, the gap between the changes in the world and the culture that at a certain point gels is a dangerous gap, not only because the world moves on and at a certain point culture has to catch up with it, but also because, in the presence of this gap, cultural development can take a direction governed by its own dynamics and can lead into all kinds of big trouble. Culture can become a malady or illness. There are certain phenomena which are also part of culture, for example, writing and reading literature, but they have the potential of producing a kind of a pause in the continuity of

culture. Aesthetic experience also produces such a pause for an individual. In terms of culture, I see it as a remission, like a malady which stops for a while and then maybe its course can be changed.

Lan: So as long as a work can generate a certain aesthetic effect with a potential for cultural remission, it can be considered ethical. In this aspect, what matters is form rather than content.

Toker: I wouldn't exactly put it this way. I accept, to a large extent, the Russian formalist belief that content and form are inseparable. That is to say, to separate them is an artificial laboratory procedure. What is content? It is not just some kind of a thesis or some kind of a message, but also a recurrence of certain motifs, because a motif is part of the semiotic system or semantic system. The recurrence of the motifs is not only content but also form. So in the recurrence of motifs, for instance, the content and the form come together. Roger Sell's idea of communicational criticism says that the ethics of the literary communication goes part of the way towards explaining which kind of works are unethical, and that is not necessarily because of some kind of an ideology or attitude that they express but in the question of whether they impose it on the reader, whether they force it on the reader or whether they throw this ideology into the conversation as one of its ingredients, leaving the reader the freedom of not accepting it. There are actually many writers who deliberately produce contradictions, very often irreconcilable ones, in their works, exactly to create that space of freedom for the reader. Of course, there is no way I can consider the works of Marquis de Sade as ethically positive: he not just loves cruelty, but he attempts to seduce the reader to it.

Lan: In her book *Uses of Literature* (2008), Rita Felski proposes that "aesthetic experience has analogies with enchantment in a supposedly disenchanted age" (14). She also argues that "Aesthetic enchantment leads inexorably to ontological confusion, to a disturbing failure to differentiate between fact and fantasy, reality and wish fulfillment" (53). Is her "aesthetic enchantment" akin to your notion of "cultural remission"? Could you please comment on her remarks?

Toker: With apologies, I have not read that book. The point that aesthetic experience is enchantment or is analogous to enchantment speaks to me. It is a kind of a remission in the sense that it produces a break in the determinacies of practical and actual life in society. The determinacies are broken apart. There is this interval when we move elsewhere, for instance, to an enchanted world, or to the suspension of the will, as Schopenhauer would put it. One moves out of oneself.

Of course aesthetic experience doesn't last long, because the self usually asserts itself. It is interesting that people sometimes associate aesthetic experience with a to-and-fro movement. Indeed, images of to-and-fro movement in some of Nabokov's stories become almost symbols of aesthetic experience. You move out of yourself, then the self reasserts itself, and you move back into yourself. Then again, you move out of yourself, then you move back. This kind of experience very often happens when you least expect it. In the book, I write about this experience that I had in the Louvre. I did not have any kind of a sense of aesthetic heightening when I stood in front of Mona Lisa which I had wanted to see so much in the original. I just marked "seen that, done that." Then, going out of the museum, I was arrested by a little landscape which just did that to me, gave me a moment of complete self-forgetfulness. I talk about carnival because it is also a break from the determinacies of everyday life in society and everyday structure, though I treat carnival not according to the hydraulic metaphor--letting off steam and then returning to one's usual evil ways. During that circumscribed period of time, one gets free from the constraints of everyday life. One allows oneself all kinds of usually unacceptable forms of behavior, but at the same time, one also gets to see things differently. One forgets the self. One sees things in such a new way that when the carnival is over, it's not that one returns to the same old thing: the same old thing becomes somewhat defamiliarized, moved away from the dead spot in which it was captured or arrested before. That's my sense of carnival, though it's not the general sense. The general sense is letting off steam and then returning to the usual life. I believe that as one lets off steam (the metaphor is not quite appropriate), one begins to see things differently during that short period, and then what has been seen can no longer be unseen.

Lan: It seems that you try to establish a contrast between true or genuine carnival and fake carnival by noting that "True carnival can be a vehicle of social protest, but a fake carnival may use the forms of a popular festivity for purposes of a radical attack on social structures" (*Towards the Ethics of Form in Fiction* 13), and you seem to favor the former which is a form of cultural remission. I was wondering whether "fake carnival" is really bad or perilous in nature? Does it depend on certain situations?

Toker: The distinction is not mine. It comes from different sources, especially from the book *Carnival in Romans* (1979) by Le Roy Ladurie. In the French town Romans, a popular rebellion which became very destructive first took the shape of the carnival. It was a fake carnival. People pretended that they were just out to behave

in the carnivalesque way. There was the Lord of Misrule. There was dressing up. There was drunkenness. There were all kinds of Rabelaisian things, but it was a kind of a temporary cover for what was actually a rebellion and not just a carnival. So it was a kind of corrupted carnival. The idea of corrupted carnival comes from Bakhtin's discussion of the carnival, and his discussion is rooted in totally technical points. For instance, a carnival is usually limited in time. Real carnival is limited in time, just like real Lent, or Fasting; it has to be limited in time. If it is not limited in time, then it is fake or corrupt. Bakhtin uses the notion of corruption to suggest that the social consequences can be very sad. Carnival is limited in time, but it ought to cover broad spaces, as it is basically unlimited from the point of view of human experience in space. It's got to involve the whole community. It is corrupt if it is the experience of only one part of the community whereas another part is completely alienated and disassociated from it. So it's got to be limited in time, but vast in space.

Lan: Does that mean a true carnival is like a reform while a fake carnival a revolution?

Toker: The revolution in the bad sense of destructive, anarchic, revolutionary violence, because revolution can also be used in a positive sense, such as in "the scientific revolution." I do see it that way, and that is why carnival is in a certain way homologous to games, because they also mean taking a break from the determinacies of everyday existence. One enters a certain space for a game: unlike carnival, a game is circumscribed both in time and in space. Take soccer game for instance: you have the stadium that limits its place and it is circumscribed in time. The game gets corrupted if its participants do not enter it voluntarily, if they are forced into the game. Johan Huizinga's book *Homo Ludens* (1938) studies the play element in culture. When I say "play," I mean games, though there are formalized games and children's games which are not so formalized and not really circumscribed in time and space. A very interesting discussion is found in Roger Caillois's book *Man, Play, and Games* (1958) which distinguishes four kinds of games and shows the phenomenological relationship between the kinds of games and their different consequences. That book was also an influence on my thinking. Unfortunately, I have recently found out that the social ideology of Caillois was not something that I could accept.

Lan: You have also mentioned that "aesthetic experience is a 'time-out' from the consolidation of sociocultural determinacies, a space of inner freedom" (*Towards*

the Ethics of Form in Fiction 1). How can we be sure that what readers experience is not an illusion of cultural remission but an integral part of the sociocultural system?

Toker: That's a very profound question. I think that it is very difficult to decide which is which. I think that the decisions are made spontaneously rather than through the work of reason. Why is it that some of the writers inspire trust in us, whereas others tend to remain suspect and seem to be pulling our leg and making fun of us. When I first read James Joyce's *Ulysses*, I did not understand three quarters of it. Only on a fifth reading did I begin to understand three quarters with at least a quarter still left vague, and that was with the help of all kinds of reader's guides and secondary materials. Yet though I did not understand a great deal, I had an instinctive sense that this is a very good book and if I don't understand something, it's my fault (I am not yet an informed reader), rather than the fault of the author. I have to prepare myself to understand more. Why was there this intrinsic, instinctive trust? In terms of this instinctive trust, I do believe that the experience through which that book led me was the experience of cultural remission, not the experience of getting integrated into some kind of a cultural setup or remaining integrated in it, much as I got to know about early twentieth-century Dublin. I am not saying that this kind of spontaneous aesthetic trust is infallible. We do make mistakes. Very often we are not prepared to see the excellence of something new. And very often a book that is not very good still manages to entrance us because it touches on some of our own preferences and prejudices. But what I'm saying again is that one can never know exactly whether what one is experiencing is a suspension of cultural determinacies or whether it is the continuation and the perpetuation of these determinacies despite our best intentions. We can never know for sure, but in many cases, we have a feeling, a trust.

Lan: Regarding the substance of content, the form of content, the substance of expression, and the form of expression, which one do you think is more important or to which should scholars pay more attention?

Toker: Critics usually deal with the substance of content and the form of expression. It's the studies of intermediality nowadays, a new trend in narratology very developed in Germany, that deals with the substance of expression, with the way different media affect expression, communication and therefore also the content. The way I see my book is that it mainly deals with the form of content, not with the substance of content which is specific, social or moral philosophies or historiographical positions, but with the way this content is formed through types of mo-

tifs, recurrence of motifs, the structure of the narrative, the sequence of materials. So here we are already slipping between the form of content and the other parts of the Hjelmslev net, such as the form of expression. There is this kind of a deliberate slippage there.

Ethics and Factographic Literature

Lan: Let's move on to your latest book *Gulag Literature and the Literature of Nazi Camps: An Intercontextual Reading* (2019). About two decades ago, you published *Return from the Archipelago: Narratives of Gulag Survivors* (2000). What makes you so interested in Gulag literature?

Toker: The Gulag functioned not in the past, but in my time. I lived my childhood life unaware of what was happening. On the other hand, every child, at least every Jewish child in Lithuania, had deep inside him or her a kind of a chamber of horrors, or room 101, where one doesn't go. For me, at first it was the history of the Holocaust. In Vilnius, where I grew up, it was not very strongly felt, but in the second Lithuanian city, Kaunas, that past was felt very strongly. There are many memorials in Kaunas, and part of my family perished there, so I didn't want to go there. Also, we listened to transmissions from the BBC world service. At one point, the BBC world service started transmitting Solzhenitsyn's novel *The First Circle* (1968). Chapter by chapter, they just read it out loud. I was fascinated. Then at a certain point, it came to the episode of the arrest of one of the characters, Innokenty Volodin, and what happens to him after he is arrested. Compared to what I read later, that is not really horrifying, but I was horrified. I was so horrified that I did not touch that literature for a long time. I listened to Solzhenitsyn in the first place, because in 1962, we all read *One Day in the Life of Ivan Denisovich* (1962) which was published in the Soviet Union. The very fact that this book was published in the Soviet Union seemed to promise the liberalization of the regime. Only then, of course, Brezhnev and his companions turned the wheel backwards. When I was reading that book, I almost felt that I was living in a camp. I completely sympathized with that character. I looked at my own experience. I started looking at what I am eating. He is constantly hungry. And I imagined myself in the camp. I was totally overwhelmed. Later on, I found out that Solzhenitsyn presented an easier camp, and that there were other writers who represented the majority of the camps, that were much harsher in different respects.

But Solzhenitsyn's tale allowed millions of people in the Soviet Union and in the world to imagine what a concentration camp was like, so that stayed with me.

However, when I came to Israel in 1973, I did not want to deal with that kind of experience. My heart was full of other things. Among other matters, I wanted to study English literature. I devoted 10 years of concentrated study to English and American literature. I didn't hold a Russian book in my hands all that time until I came upon Nabokov, which changed it all.

And you have to read Shalamov. He got me to reading memoirs of the Gulag and then I found out that some of them are great literature. So when I found out that it was actually great literature, I decided that I have to write about it.

Lan: Do you think that Gulag or Holocaust literature can also generate cultural remission?

Toker: Some of the best works can, but it's complicated because when we read that literature, we feel that we should react to it not aesthetically, that we should think about people suffering, and when aesthetic experience overtakes us, we almost feel guilty. As if it shouldn't be the case, but it is. As a result of which, the reader of literature about concentration camps must always turn upon herself or himself and always try to analyze "What is going on with me? How am I reacting?" It's got to be self-reflecting in that sense. It becomes ethically complicated in a new way. I also find an additional importance in writing about Gulag literature, since many people write about the literature of the Holocaust. Nowadays, what I do is trying to watch how these literary strands, and the historical phenomena that they represent, comment on each other. I became aware that there is a trend in current Russian historiography to argue that "Yes, Stalin committed many crimes and caused people much suffering, but look how he developed the country." I even heard one report of a Ph.D. student in history who surveyed all the theatrical performances that were made in a certain region of camps; her conclusion was that "the Gulag brought culture to the North." I was angry. There is this kind of a pragmatic approach to history: "Yes. Maybe people suffered, but look how much good was done." I believe that much more good would have been done without making people suffer so much and without all these camps. And the fact that the people were made to suffer is an issue in itself, and it should not be waived in this utilitarian manner.

Lan: How do you view or evaluate the relationship between the factographic and the fictionalized in Gulag literature and Holocaust literature? What is their respective relationship with ethics? In your view, how should writers balance these two elements when writing?

Toker: It seems to me that fictionalization can sometimes be a useful tool for bring-

ing out the essential qualities of the event more strikingly. It helps to emphasize the central features and of the experience represented. Moreover, fictionalization is arranging matters in such a way that the substance of content converges into patterns that have an aesthetic value. I'm so sorry to have to say that because those bodies of literature deal with very sad things. Still, fictionalization can be an ethical tool. It seems to me that works that are fictionalized and not strictly factographic can be used as a kind of historical testimony (not testimony in court, of course; they would never be accepted in court), because they often involve "the sample convention." That is the concept that I introduced as a bit of a modification of Wolfgang Iser's theory of fiction. Iser explained that fiction is characterized by selection, recombination and the as-if convention. The selection and recombination under the aegis of the as-if convention. In a work of fiction plot events happen "as-if", so fictionalization is a matter of the as-if convention, and when this convention is operative, you cannot treat the narrative as testimony. Yet there are certain narratives that deliberately present events as examples of more general phenomena. And this is what I call the sample convention. Samples are very often used as examples in moral philosophy, and they reduce the situation to its bare minimum. They remove the details, so to say, because if you add details, it becomes already a fictional narrative and not just an example. In literature, it very often works the other way. Writers take a kind of actual human situation, and by introducing certain generalized traits, by reducing the number of concrete features, by turning narrative details into symbols, they produce the sense that this event is just an example of how things used to be. That sense is also what makes us read the works as testimony. So it's fiction and yet it's almost factography. It can be accepted as attesting. What seems to me rather unethical is using the setting of concentration camps for all kinds of titillating love stories and things like that.

Lan: How do you compare Shalamov and Solzhenitsyn from an ethical perspective? In *Towards the Ethics of Form in Fiction: Narratives of Cultural Remission* (2010), you raised a question about whether "A writer's technique always relates back to his...moral philosophy" (5), so which writer's moral philosophy do you identify with?

Toker: Shalamov's, even though he is much gloomier, but he is a writer who selects details in such a way that they all bring in certain depths of significance and generate different interpretations. There's a world of difference between saying "My life has no meaning" and "Life has no meaning" without the "My." One of his characters says, "I have just understood, there is no meaning of life." He's not saying

"my" life, but another character understands that he is about to commit suicide, so he risks his own life to keep the other man from doing so. It's a whole ethical situation concentrated in one word, in the presence or absence of one word. Shalamov also constantly contradicts himself, and very many of his generalizations have to be taken ironically. Therefore, he leaves a space of freedom for the reader. You do not have to be influenced. As a citizen, he has the right to express his opinions. As an artist, he feels obliged not to impose these opinions on the reader. So one of the things that he does is self-contradiction and sometimes self-repetition in difference. His language is very spare. It's as if his language imitates the body language of an exhausted prisoner who wants to move as little as possible to conserve as much energy as possible. That's also Shalamov's style. He condenses. He does not speak much. He does not explain much. He leaves a lot for the reader.

Solzhenitsyn tries to impose his opinions on the reader. And he wants to have an opinion on every subject, including women's fashions. (Why did he have to mention his preferences that women should not have shoulder pads?) On the other hand, Solzhenitsyn's works do carry one away. They are interesting; they engage the imagination and create suspense. You want to go on reading. And as you want to go on reading, you are sometimes angry with the author for doing that to you. I'm now (re)reading his novel sequence *The Red Wheel* (1986). He has studied a lot. He knows a lot. He has very strong opinions, though in this work he places them within the polyphony of other ideologies. Indeed, somehow in this work (in contrast to some of his other writings), he already leaves more leeway for the reader to resist his opinions. At first, several years ago, I found that work less interesting than *One Day in the Life of Ivan Denisovich* (1962), than *The First Circle* (1968) and *Cancer Ward* (1966), which I think is a masterpiece. Now, on the second reading, I am less critical and I flow with the text. But with Solzhenitsyn, you have also to try to be an informed reader, in order to understand what he is up to. It's not the situation with Joyce, where you have to be an informed reader in order to understand the subtlety of the details. With Solzhenitsyn, you have to be an informed reader in order to resist his opinions. For instance, his criticism of the Constitutional Democratic Party in pre-revolutionary Russia. I had read about the Constitutional Democratic Party from other sources and have a totally different picture. Maybe that picture is also wrong: it might be interesting to triangulate. What I'm sorry about is that for very many years, people who were Shalamov's fans decided that they had to hate Solzhenitsyn and vice versa, but it mainly came from people on the Shalamov's side. I remember somebody saying to me, "How can you mention Shalamov and Solzhenitsyn in the same breath?" I think that there doesn't have to be this kind of

polarization. Each of them does his job. Of course Solzhenitsyn was immensely influential in consciousness-raising all over the world, in calling public opinion to the critique of what was going on in the concentration camps, making people aware. But Shalamov deepened that consciousness and created works of more permanent artistic value.

Lan: What do you think of the factographic and the fictionalized in graphic narratives or other transmedial narratives about historical events like the Holocaust? Do different "forms of expression" generate different impacts on ethics?

Toker: When Spiegelman's *Maus* (1980) was first published, my first reaction was hostile and skeptical. Then I started reading it, and I saw it as a work of genius. Now what I think is that only people who have really been there can speak directly about the experience of concentration camps, of witnessing the mass murder, witnessing the Holocaust. They have the right to speak about it. The factographic is very often modeled on realistic novels. You think that realistic novels are modeled on natural narratives. Very often it's the other way around. Natural narratives are modeled on realistic novels. People who have not been there have to take recourse to other forms of narration and self-expression, to other substances of expression in order — to represent not what it was, but what it looks like to them. Therefore, they are right offering us works of fantasy that do not claim realistic representation.

Graphic narratives can be a very good way of dealing with that situation. If you cannot do genuine factography, better take recourse to experimental forms (or, say, "other forms," because graphic narratives are no longer an experimental form but a medium of its own in its own right, swerving away from the traditions of realistic fiction).

Lan: What attitude should readers assume and what reading methods should we adopt when reading factographic works?

Toker: I don't want to say what we should do, but what happens very often is that we tend to ask two kinds of questions. One kind of question is why I am reading this. Is it voyeurism? Is it a wish to understand, to reach some level of understanding of what our world used to be like, what it may be like, what it is still like? Are there any other motivations for my reading, for my exposing myself to this kind of experience? I hope that we can answer that question truthfully. In fact, I was shocked when I first read an article by Omer Bartov that implicitly accused the readers and some of the writers of Holocaust literature of a kind of voyeuristic attitude, which we then try to normalize by our protest against and critique of the historical events that are described. I did not believe that it was true of myself, but the seed of doubt was sown, and that seed of doubt made me ask that question with

particular intensity: why am I reading this? That's one kind of question that Emily Miller Budick's book *The Subject of Holocaust Fiction* (2015) is about. The subject is not the content, but the reading subject. Who reads? Who writes? What is the ethical position of that subject?

The other question that most people ask themselves while reading is "how I would have behaved under these circumstances." We often base our negative judgment of the people described on the wish to believe that we would have acted otherwise. There is an ethical obligation to understand all the features of the context and all the realities of that situation before we judge those people. Primo Levi said that when he addressed schoolchildren and talked to them about his experience in Auschwitz, they often asked him, "Why didn't you escape? Why didn't you try to escape?" Because in the old times the first duty of a prisoner of war was to try to escape. Then he had to explain to them why escape was impossible and why it was unethical: for one escapee, they would kill very many other people. All those features of this entirely new phenomenon went against our understanding of a romantic prison. Shalamov keeps saying that the prisoners in the camps were martyrs but not heroes. In other words, they did not resist actively, so they suffered as martyrs. And everybody somehow expects heroic behavior in the sense of active resistance. At the end of the 1970s, an American literary critic, Terrence Des Pres, wrote a book called *The Survivor* (1976) where he said that there is heroism in the survival itself. Survival without plunging into despair and without totally immoral behaviour towards others is also heroism. This book changed the attitudes of many readers.

Our suspension of judgement of camp inmates is necessary. The question is where it ends. You do not judge the survivors. Maybe you even imagine that you would have behaved the same meek way. I could easily imagine I could behave in the same way. But what about the collaborators? What about those prisoners who were at the service of the perpetrators? You can say that they are also survivors and victims. Where do you draw the line? There is now quite a lot of literature that tries to argue that some of the so-called "prominent" prisoners in the camps, who collaborated with the perpetrators, only pretended to be cruel in order to keep their position because they could actually do good to the other prisoners. Sometimes it's real and sometimes it's just a lame excuse, but from there, there is just one step towards the perpetrators, the guards, the killers. Can one project oneself into those? Can one suspend judgment about them? Where does one draw the line? There was a documentary by a Kampuchean director Rithy Panh about Tuol Sleng, the Pol Pot prison. It starts with showing a former guard who was cruel to the prisoners.

He said he had to be like that. It shows this guard washing his baby, playing with his baby, being a good son to his mother, being a good husband to his wife, and his mother said, "I don't understand what happened. I brought up my son to be a good man." And some of these former guards said, "If we had not done that, we would have been killed ourselves." That's how they present themselves, as themselves victims of the regime. Does our suspension of judgment extend to these people who were perpetrators? It's a big question.

There is this famous novel by Jonathan Littell called *The Kindly Ones* (2006) which is narrated in the first person by a fictional former SS officer who participated in all the worst things. He tries to argue that he himself was as much a victim of the regime as the people who were his victims. That's quite a popular argument. I think that one of the things that Littell wants to do with that book is to develop this argument so far that it would absolutely exhaust it and that nobody else could later on make it because it would be like scorched earth.

So basically one of the questions that we ask is about ourselves: where we would find ourselves in that situation? On which side, and how we might want to behave there? The more we know, the better qualified we are to try and answer this question. But there is a question of ethics in suspending judgment and in deciding where to stop suspending judgment, where to discontinue a train of thought.

Lan: And empathy also plays an important part in this reading process.
Toker: Absolutely. That is why Littell makes his protagonist speak in the first person and presents him as traumatized by difficult childhood. So he is a victim in his childhood and later on he becomes a victim of the regime though he is a perpetrator. A person who has had a difficult traumatic childhood immediately invites the reader's empathy, especially if he is the first-person narrator. And then little by little, he does such awful things that we have to stop, turn upon ourselves and ask again, how come we flowed sympathetically with him for a long while.

Forward Thinking, or Prospects of Literary Studies in the Future

Lan: You have been editor of the journal *Partial Answers: Journal of Literature and the History of Ideas* for quite a few years, how is the contemporary literary studies focalized from that position? Are there any remarkable changes in recent years in the ways that scholars approach literary texts? What challenges are there in the future development of literary studies?
Toker: I think that one of the greatest challenges for literary studies is overcoming

the negative qualities of professionalization. Both in narratology and previously in the deconstructive school, people got very focused on the methodology of analysis. They forgot to enjoy literature. That is what I mean by excess professionalization. I think that part of our challenge is still to enjoy reading literature, to subject ourselves to the possibility of aesthetic experience, to read and enjoy without immediately thinking what article I can write about this. Reading can and perhaps should be a spiritual experience.

Methodologically speaking, we in the journal *Partial Answers* don't accept articles that simply apply a theory to a text. It can be done in student papers, which is a very important part of training, but at the level of the Ph.D., it's got to be transcended.

The second question is very tough. I cannot really answer it because people who send papers to us are of two kinds. There are either those who send their papers anywhere without considering what the journal is about; these are usually very weak papers. Or they are people who really study the self-description of the journal and send us paper in the genre that we are asking for. So I cannot really diagnose changes in current literary studies on the basis of what we get in the journal. Rather, I can see that at the conferences that I attend. I think that ethical criticism is certainly coming back on new grounds, not through discussions focused on what the character does or thinks right or wrong and where the character goes wrong. Current ethical criticism is not about that. It is still looking for ways of studying the ethics of literary form. The literary form itself has ethical repercussions.

Lan: May I also ask for your advice for young scholars doing literary studies? Are there any particularities that we should pay more attention to?

Toker: I very much believe in the complex of the first reading and repeated reading. I think that we should try to approach the first reading not as students of literature but as regular readers and try to enjoy it. What makes us literary scholars is that we read not necessarily what is in fashion right now; though I did make a point to read Harry Potter and things like that. One should expose oneself to that experience as a regular reader and only on the second reading approach the work as a literary critic. And then analyze not only the text but also one's own previous responses and one's current responses.

There's also the question of resisting the text or being a compliant reader. There was this very influential book by Judith Fetterley, called *The Resistant Reader* (1977), which led to a significant change of attitudes. Wayne C. Booth (1961) talks about the rhetoric of fiction as a matter of the implied reader flowing with

the text and being affected by the rhetoric of the text. Fetterley says that there are certain texts that have to be read resisting the system of values of the author. For instance, she gives a feminist reading of *The Great Gatsby* by Fitzgerald; the critical consensus prior to her study treated the character of Daisy in a very dismissive way. What if we look at the whole story from a point of view which is more sympathetic to Daisy, resisting the narrator's system of values? Once a student of mine responded to a Jane Austen novel by saying, "I can't bear it. I can't bear reading about people who occupy themselves with just visiting each other, having dinners and parties, and caring about their clothes. Why should I read about them? What kind of people are they?" That's an example of resistant reading. My answer to her was that there is value in trying to understand what the world looked like from their point of view. Almost all of Henry James's characters are rich and do not have to worry about making a living; precisely because of that, they have more leisure for exploring human experience, human relationships and ethical issues, even though they forget that the pressures of making a living are also a very important part of human experience. What is the relationship between the possibility of compliant reading and resistant reading? With which do you start? There is no prescription. Maybe one starts resisting Jane Austen because her characters get on your nerves. And then on the second reading one looks at their world from their point of view, shifting out of ourselves a little and seeing what kind of a system of significances is created there. But one can also work the other way. One can first submit to the text and flow with it as an implied reader, as Booth and Iser would have it, and on the second reading become resistant, at least to some extent. That's freedom. One can go either way, but both possibilities have to be kept in mind as options.

One more piece advice that is very banal. As they say, the Devil is in the details and God is also in the details, figuratively speaking. The excellence of a work of art, I believe together with Nabokov, is in the details and in the handling of details.

Lan: Finally, the last question. May I ask what might be the next project you are planning to do?

Toker: I have two things in mind. One is maybe developing some thoughts on narratology that I put aside when I was working on the literature of concentration camps, especially because people who work in this field are very impatient of narratology for some reason, which is a pity.

I also want to write another book on Nabokov concentrating on his middle period, the last years before World War II and the early years after World War II, up

until *Lolita* maybe. I think that a big change took place for him during that period. He had been a very joyful person. There was a lot of joy in his life and in his poetry and fiction up to the mid-thirties. Then, owing to personal factors and the political situation, this changed. There was less and less place left for joy in his view of the world. Something else came to take this place. I want to show that change.

Lan: Thank you, Professor Toker, for taking this interview.
Toker: Thank you, Lan. It's a huge pleasure.

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Problems with Paradigms and Their Possible Solutions in Comparative Studies of East and West

Ming Dong Gu

Abstract: The heat of theory has long cooled off, but the controversy over theory in cross-cultural studies is far from over. A reconsideration of resistance to theory in China-West studies will be of value for the field of comparative studies of East and West and for finding answers to these questions: Do theoretical paradigms still possess guiding efficacy and explanatory power for literary and cross-cultural studies? Should we still pursue the formulation of new theories? If we should, how can we formulate conceptual frameworks that may have genuinely practical value? Moreover, it may offer clues to how to patch up the split between pro-theory and anti-theory advocates and bridge the gap between traditional and postmodern approaches to comparative studies of Eastern and Western cultures.

Key words: East-West studies; paradigm formation; resistance to theory; cultural theory; hermeneutics

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标题：东西比较研究领域的范式问题及其可能的解决方法

摘要：理论之热早已消退，但是跨文化研究的理论争论远远没有结束。重新审视中西研究中对理论的抵抗将有助于东西方比较研究，并对回答如下问题有一定的价值：理论范式仍然对文学研究和跨文化研究具有指导意义和解释力量吗？我们还应该追求建构新的理论吗？如果应该，我们如何建构真正具有适用价值的理论范式？此外，重新审视理论范式问题也许能在支持理论和反对理论的提倡者之间弥合分歧，并在研究东西方文化研究的传统路径和后现代路径的隔阂之间构建桥梁。

关键词：东西方研究；范式构成；抵抗理论；文化理论；诠释学

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The late Chinese leader Mao Zedong has a famous saying, "Where there is oppression, there is resistance." I wish to change one word in his aphorism to describe a phenomenon in the academia: "Where there is theory, there is resistance." Before the rise of theory as dominant critical discourse, there was no such a thing as resistance to theory in the field of Chinese and Asian studies. Since the introduction of postmodern theories into the field, however, resistance to theory has existed like a shadow that doggedly follows a shape. It has taken many forms, some openly hostile, some mildly skeptical, and still some sympathetically polemical. Because of this, there has been a split among scholars in the field, which has by now developed into a clearly demarcated divide between pro-theory and anti-theory orientations, traditional and postmodern approaches to scholarship. Acknowledging the effects and consequences caused by the controversy over theory long ago, Paul de Man famously described the criticism of and attack on theory as "resistance to theory." The controversy over theory is also widely spread in China-West studies.

Over three decades have elapsed. Has resistance to theory disappeared in the field of East-West studies? Obviously, it has not. In some areas, it has been strengthened by the fact that even theorists begin to challenge the value of theory and talk about the end of big theory, call for the practice of theory, or insist on a return to old paradigms.[1] This is duly reflected in the most recently published edition of *Norton Anthology of Theory and Criticism*. In the latest edition (2018), traditional criticism and rhetoric are given more emphasis and F.R. Leavis who openly disliked theory is anthologized (1052-63). At a time when the heat of theory has long cooled off, a reconsideration of resistance to theory and its various forms will have considerable theoretical and practical significance. It will certainly be of value for the field of comparative studies, and for finding answers to these general questions: Do theoretical paradigms still possess guiding efficacy and explanatory power for literary and cross-cultural studies? Should we still pursue the formulation of new theories? If we should, how can we formulate conceptual frameworks that may have genuinely practical value? Moreover, it may offer us clues to how to

1 For a full account of these views on theory, please refer to "Preface to the 2003 Critical Inquiry Symposium," *Critical Inquiry* 30 (2004): 324-335. The resistance to theory appeared when theory the heat reached an incandescent intensity in the 1980s. Some theorists challenged the notion that literary theory has any real work to do or any results to show. See W. J. T. Mitchell, ed., *Against Theory: Literary Studies and the New Pragmatism* (Chicago: University of Chicago Press, 1982).

patch up the split between pro-theory and anti-theory advocates and bridge the gap between traditional and postmodern approaches to scholarship.

Why the Resistance to Theory

In his influential essay "Resistance to Theory," originally commissioned for a special MLA volume but eventually published in *Yale French Studies*, Paul de Man made this observation: "The most effective of these attacks will denounce theory as an obstacle to scholarship and, consequently to teaching" (4). In an attempt to find answers to why there is so much resistance to theory, de Man raised a question: "What is it about literary theory that is so threatening that it provokes such strong resistances and attacks?" He offered some answers: "It upsets rooted ideologies by revealing the mechanics of their workings; it goes against a powerful philosophical tradition of which aesthetics is a prominent part; it upsets the established canon of literary works and blurs the borderlines between literary and non-literary discourse" (11-12). These answers suggest that the resistance to theory grows out of a conflict between new and old frameworks, approaches, and paradigms. As such, it should be examined in terms of the anxieties brought about by paradigm shift. But instead of examining the resistance from that perspective, de Man sought to locate its built-in reasons at the conceptual level of the theoretical enterprise itself. After critically analyzing the internal mechanism of resistance, he pronounced it to be a "resistance to the use of language about language" and "resistance to reading" (13 and 15). To the conceptually oriented theorists or theory sympathizers, de Man's article may have helped the cause of theory, but as it argues for theory in theory's own terms unfamiliar to those who resist theory precisely on that ground, it seems to have silenced few theory critics and converted still fewer theory skeptics. Small wonder that he drew a paradoxical conclusion: "Nothing can overcome the resistance to theory since theory *is* itself this resistance" (20).

De Man seemed rather pessimistic about resistance to theory in his conceptual inquiry. In my view, rather than treating resistance to theory as a pure conceptual issue, we ought to explore it from the perspective of paradigm changes and critically examine its various forms. In this essay, I will use mostly Chinese materials in the field of Sinology and focus on various responses to theory--enthusiastic adoption versus strong resistance; intricate endeavors in constructing conceptual frameworks versus sympathetic discontent with them. From this point of departure, I will move on to some general issues concerning theory and its discontent, paradigm shift and its accompanying anxieties, and attempt to find ways

to cope with the split between approaches, and gain insights into the formation of widely acceptable paradigms in literary and cultural studies.

The worldwide spread of contemporary theories has greatly shaped paradigms in cross-cultural studies. But the fate of theory differs from tradition to tradition, region to region, and even field to field. In the field of Chinese studies, for example, theory fares well in Mainland China, quite well in modern and contemporary Chinese studies, moderately well in pre-modern cultural studies, and worst in premodern Sinology. The different receptions of theory in different areas may be reduced to two major trends: one is characterized by a warm embrace with moderate complaints; the other is dominated by a cold rejection with hostile criticism. The warm reception is marked by a wholesale importation of contemporary Western theories, which started in the late 1970s when China started its openness and reform. Closed to the outside world, especially the West, for over two decades, Chinese intellectuals were more than eager to embrace almost any Western theories, from Freudianism to postmodernism, from political theories to economic theories, from literary theories to cultural theories, which inundated the Chinese academia as the gate was flung open. Amidst a neck-breaking frenzy of introduction, digestion, assimilation, and application, a paradigm gradually emerged. It may be described as a blind faith paradigm: most Chinese intellectuals held a blind faith in the efficacy of Western theories and applied them to their studies indiscriminately. This enthusiastic embracing of new theories coincided with a warm reception among young scholars of Chinese culture, especially in literary Sinology. But unlike their Chinese counterparts, the theory practitioners of Sinology have never gone uncontested and unresisted. The enthusiastic adoption and assimilation have met with enduring resistance in Western studies of Chinese culture. As a result, there is a split situation. While premodern Sinology is minimally informed by postmodern theories, modern and contemporary Chinese studies are soaked in postmodern theories so much so that one can hardly have a foothold in the modern field without some knowledge of postmodern theories. The enthusiasm for theory in Mainland China still seems to have a long way to cool off. One just needs to attend an international conference held in China to have a sense of the popularity of Western theory among Chinese intellectuals. I have often heard Western scholars who attended Chinese conferences raise the questions: Why were the conferences dominated by Western ideas and theories? Where have Chinese theories gone?

But the indiscriminate introduction and zealous application of postmodern theories has also given rise to a good deal of discontent. Critics complain about

the inability of postmodern theories and their practitioners to adequately address the radical otherness of Chinese cultural objects and the disconcerting dislocation between Western theories and Chinese practices. They argue that Chinese cultural tradition differs from its Western counterpart almost in all aspects, from language and history to ways of thinking and expression, and theories developed in the white, Christian West and applicable to Western materials do not always work well in the study of Chinese cultural objects, be they material objects or textual objects. These moderate complaints have given postmodern theories a mildly derogative name: *houxue*, which, literally translated, means "postisms." Accordingly, scholars who are active practitioners of postmodern theories have earned an epithet with satirical connotations *houzhu*: literally "postmodern masters." The dissatisfaction and complaints have constituted a mild form of resistance, which I call "discontent."

By contrast, in the field of Sinology in the West, "discontent" is far from adequate to describe the complaints against theory. Indeed, nothing short of what de Man describes as "resistance to theory" may be able to capture the fate of theory in premodern Chinese studies. Some scholars have openly displayed an antipathy and hostility to postmodern theory. To some of them, a mere mention of Derrida's name or deconstruction may trigger a tirade and a torrent of denunciation (Chaves 77-82). As a result, as late as in 1992 when postmodern theories were on the decline in the mainstream US academia, one scholar in Chinese and comparative literature still bemoans that the project of integrating postmodern theories with pre-modern Chinese literature is "essentially a utopia project" (Palumbo-Liu 195). There have been some conjectures on the reasons for this strong resistance. One reason is that the critical paradigm in traditional Sinology is philologically oriented, predicated on the notion that serious scholarship should rely on neutral recovery of objective truth in the text through recoverable language. The other reason, as some postmodern Sinologists remark in the private among themselves, is that the strong resistance is a symptom of a deep-seated critical inertia on the part of some traditional scholars and of a fear that the injection of new theories may deprive them of their authority in and scholarly hold onto a discipline. But to be fair, the strong resistance was mostly brought about by a strong discontent with the blind faith in and indiscriminate application of theory. The discontent takes a number of strands. First, some theory opponents have rightly pointed out that scholars of new theories have completely turned their back on traditional Chinese theories. Consequently, Chinese literary theory as a system does not exist anymore. It exists only as materials that serve to prove the correctness, efficacy, or universality of Western theories (Chaves 77-8). Indeed, the present day Chinese literary theory

has almost become a de facto branch of Western literary theory. Second, opponents have voiced a dissatisfaction with the fact that while introduced Western theories frequently turn out to be square pegs in the round hole of Chinese culture, efforts at application always give the impression that someone tries in vain to soothe an itching toe by scratching it outside the shoe. Opponents also complain that applications of theories are replete with new-fangled jargons, deprived of which, some scholarship is devoid of substances. Third, strong resistance to theory comes from a loath of ideological criticism. In his widely read book on postmodern literary theory, Terry Eagleton conducts a critical survey of literary theory from New Criticism to poststructuralism and draws the conclusion that all literary theory is political and ideological criticism (195). No doubt, all criticism is political and no criticism is free from ideology. This is especially so in the case of cross-cultural studies. In Chinese and Western studies, however, political criticism has often been stretched to its limit. In many ways, a large measure of discontent with theory emanates from the complaint that theory has made examinations of text and artifacts secondary to questions of political ideology, forms of oppression and resistance, thereby diminishing the rich varieties of texts and cultures.

Theory and Its Discontent

No one would completely deny the usefulness of theory, but as I have shown, for various reasons, theory has generated its discontent. In the reactions to theories, there is an intriguing phenomenon in cross-cultural studies that I would call "discontent with discontent," or "meta-discontent." Faced with the distinctive differences of cultures, cultural studies scholars have always aspired to formulate theories that may serve as constants in the sea of cultural variables and use them to construct theoretical frameworks or paradigms that may cope with the alterity of cultures. But after a theory is proposed, it will invariably arouse criticism. Because of their dissatisfaction with a proposed theory, some scholars will go ahead to pull it apart and in its place propose a new theory. Again dissatisfied with the newly constructed theory, some other scholars will come along and blast the newly formulated theory. This deconstructive process may go for several rounds. Here, I will critically examine a case of meta-discontent and articulate some meta-discontent myself.

In the field of Chinese and Western studies, there has been, since the first direct contact between Europe and China, a long lasting ambition to formulate paradigms that may possess total explanatory power and account for the vast knowledge about

Chinese history, language, literature, art, religion, and thought vis-à-vis the West. This ambition has attracted numerous scholars, Chinese and Western, and given rise to many hypotheses, speculations, assumptions, and theories, from which some paradigms or conceptual frameworks have arisen. The earliest framework may be called "accomodationist paradigm."[1] It is so called because scholars attempted to accommodate the vast knowledge about China within the European system. This paradigm may be said to have initiated by the famous Jesuit missionary Matteo Ricci (1552-1610) and won hearty endorsement from Leibniz. Ricci, in his attempt to convert the Chinese to Christianity, adopted an approach to Chinese culture that attempted to smooth out the Chinese differences. Leibniz's purpose is somewhat different. He adopted the accomodationist position because he considered it essential for Europe to learn about China for its own benefit and for China to be receptive to European ideas and artifacts. In other words, he aimed at the lofty goals of mutual understanding, closer cooperation, and cultural exchange between civilizations. One of the basic characteristic features of this paradigm is to see similarity and compatibility between Chinese and Western cultures.

As Europe's knowledge about China increased, the paradigm was unable to cope with the cultural differences. The paradigm of compatibility was therefore replaced by a paradigm of difference. In their attempt to deal with the distinctive differences between China and the West, scholars have resorted to the anthropological theory of "cultural relativism," which spawns a series of conceptual frameworks that conceive of China as the antithesis of the West. Curiously, the irresistible trend of globalization seems unable to dampen the popularity of cultural relativism. In the postmodern age, when cultural relativism turns into some radical forms, the paradigm of difference has been radicalized as well and developed into an arch paradigm that sees China as the ultimate "other" of the West. David Buck, a former editor of the *Journal of Asian Studies* observes that cultural relativism is so predominant in East and West studies that "[c]utting across the disciplines are epistemological and methodological problems involving the issue of whether any conceptual tools exist to understand and interpret human behavior and meaning in ways that are intersubjectively valid" (30).

Under the influence of the arch paradigm, various conceptual frameworks arise in different areas of China and West studies. In the areas of literature and art, there appeared a paradigm constructed on a series of dichotomies. It has been

1 I borrowed this term from what came to be called the "accomodationist" position in the seventeenth-century Roman Catholic Church's debates concerning the conversion of the Chinese to Christianity.

adequately summarized by Rey Chow: "[T]he assertion of the Chinese difference tends often to operate from a set of binary oppositions in which the Western literary tradition is understood to be metaphorical, figurative, thematically concerned with transcendence, and referring to a realm that is beyond this world, whereas the Chinese literary tradition is said to be metonymic, literal, immanentist, and self-referential (with literary signs referring not to an otherworldly realm above but back to the cosmic order of which the literary universe is part…. Accordingly, if mimesis has been the chief characteristic of Western writing since time immemorial, then nonmimesis is the principle of Chinese writing" (10). This paradigm is quite ironic. For in a conscious effort to resist the wholesale borrowing of contemporary theories, it falls under the influence of a not so contemporary cultural theory, which is anthropological culturalism. It is for good reasons that Rey Chow views it as "an a priori surrender to Western perspectives and categories" (10).

The arch paradigm has produced more dichotomies in other areas of Chinese and Western studies. Whereas Western language is highly abstract, Chinese language is barely capable of expressing abstraction; whereas Western literary writings are largely allegorical, Chinese literary writings are generally non-allegorical; whereas Western poetry emanates from *ex nihilo* creation, Chinese poetry grows out of immediate responses to real situations; whereas Western literature is founded on imaginative fictionality, Chinese literature as a whole is dominated by historical fidelity; whereas Western art is perceived to be the result of artificial making, Chinese art is the result of natural growth; whereas Chinese aesthetic theory is impressionistic, unsystematic, and lacking clearly defined terms, Western aesthetic theory is profound, systematic, couched in rigorous categories; whereas Chinese philosophy is predicated on intuitive concretization and sweeping generalization, Western philosophy is rooted in thoughtful abstraction and logical analysis.

Superficially, this oppositional paradigm may have risen under the influence of cultural relativism, but in its deep structure, it grows out of a historical perception of the patterns of human development and metaphysical conceptions of the differences between Chinese and Western thought. In historical development, the Chinese civilization is believed to have followed a pattern of continuity between past and present while the Western civilization is viewed as following a pattern of rupture. In modes of thinking, it is believed that while correlative thinking is predominant in Chinese thought, analytic thinking is the hallmark of Western thought. Metaphysically, Chinese thought is construed to be wholly monistic while Western thought is held to be thoroughly dualistic. While Western tradition

is understood to be founded on a disjunction between nature and culture, Chinese tradition is perceived to be based on a continuum between the human and natural world. Whereas there is a creation God in the West, who is viewed as the creator of all things, it is widely believed that in the Chinese tradition, there is no creation god. In consequence, whereas Western worldview displays a tragic tension between god and man, Chinese cosmology features a harmonious collaboration between the human and divine beings.

In these series of dichotomies, we may find a greater irony. Cultural relativism is meant to counter cultural universalism, which often leads to ethnocentrism and cultural chauvinism, and to challenge Eurocentric paradigms as well as to correct the imposition of Western views on non-Western cultures, but as a scholar of Indian culture perceptively points out: whether in the colonialist and imperialist eras of Rudyard Kiplin or in our own time of postcolonialism, those who defend the Eastern difference and those who devalue it "share the most important descriptive presumptions, differing primarily in terms of evaluation," and even those who "see themselves as struggling against imperialism, racism, and sexism share with their professed antagonists the bulk of relevant ideological beliefs" (Hogan, 6 and 8). Indeed, radical relativism is supposed to deflate the sense of superiority in Western cultures in cross-cultural studies, but the end result often turns out to be the opposite and reinforces Eurocentrism and Western superiority. In the established dichotomies concerning China and the West, whether the Chinese terms are criticized as negative categories or celebrated as positive values, an implicit and sometimes even explicit bias is inscribed within their internal structure. A closer look at the series of binary oppositions reveals that they implicitly allude to a hierarchy in which the Chinese system always occupies the lower position. This bias is clearly seen in these contrasts: Western artifice, abstraction, figurative tropes, *ex nihilo* creation, transcendental spirituality, logical analysis, and rational systemacity versus Chinese naturalness, concreteness, literal fidelity, stimulus-response transcription, immanentist worldliness, random commentaries, and impressionistic generalization.

Although we do not know exactly when this oppositional paradigm started to take shape, we are certain that it was not conceived by a single theorist or scholar. In fact, it gradually took shape in the scholarship and metaphysical speculations by many scholars including philosophers like Leibniz, Voltaire, Hegel, Weber, and scholars like Marcel Granet, Fredrick Mote, Benjamin Schwartz, Joseph Needham, K. C. Chang, A. C. Graham, Tu Wei-ming, David Keightly, David Hall, Roger Ames, Stephen Owen, Pauline Yu, and many others. It has exerted a

profound impact upon Chinese and Western studies as well as general studies of human civilizations, but at the same time aroused much discontent and has been subjected to critical scrutiny. While we must admit a certain degree of validity in the oppositional paradigm, one would ask: To what extent is it valid? In due time, most of the dichotomies have been proved to be problematic or simply false and untenable. In the comparative studies of Chinese and Western languages, literatures and aesthetics, scholars who have disputed the oppositional paradigm include Haun Saussy (13-73), Longxi Zhang (117-150), Ren Yong (98-119), Jonathan Chaves (77-82) and Martin Ekström (251-285). Among scholars of historical studies who challenge the contrastive paradigm in historical patterns and metaphysical thinking, Michael Puett convincingly argues that the various dichotomies concerning China and the West should not even be "construed as dominant assumptions; they were, on the contrary, consciously formulated claims made within a larger debate" (2001, 17). After a well-researched study of early Chinese thought, he draws a conclusion: "It is not true, then, that early Chinese thinkers assumed continuity between nature and culture, between past and present. Neither is it true that sages were assumed to be inherently linked to the natural world. On the contrary, the very attempt to claim continuity implied a strong concern with discontinuity" (2001, 17 and 214). In another book, he addresses the general issues of cosmology, worldview, god, and religion, and comes to a conclusion that "the categorization of early Chinese thought as 'monistic,' in opposition to a 'dualistic' cosmology of the West, breaks down at every level when we explore the historical contexts and implications of specific statements" (2002, 321).

In her criticism of the dichotomy between Western mimesis and Chinese nonmimesis, Rey Chow views it as "a classic example" of a "reactive construction of a fictive ethnicity in literary studies" (10), but at the time when she articulates her critique, there existed no solid scholarship, theoretical or evidential, to refute that dichotomy. It therefore still stands as a pillar in the conceptual framework of Chinese and Western studies. Indeed, it is the basis upon which the fundamental dichotomy between Chinese and Western literary traditions has been perceived and, the contrastic paradigm with a series of binary oppositions between the metaphorical, figurative, transcendental nature of Western art and the metonymic, literal, immanentist nature of Chinese art has been constructed. Then, one scholar has scrutinized this claim. From the evidential perspective, he has collected a large amount of incontrovertible data to prove that there is a mimetic theory in the Chinese tradition (Gu, 202-16). From the metaphysical perspective, he examines the ontological and epistemological basis of mimesis in the West and

located similar conceptual underpinnings and critical observations in the Chinese tradition. Indeed, all the cultural determinants for the rise of mimetic theory do exist in the Chinese tradition (Gu 459-499). Clearly, in order to argue for the dichotomy between the East and West, the scholar who claims Chinese nonmimesis forgets an Aristotelian common sense: mimesis is a basic human instinct (50). The cultural conditions for the rise of mimetic theory may vary from tradition to tradition; so may the ontological and epistemological conceptualizations. But the conceptual rationale for mimetic theory is basically the same irrespective of cultural differences: mimesis in art occurs when a copy is made after a prior model, be that model an abstract idea, the natural world, or the social world. It exists in large quantities in the discourses of the Chinese tradition. And it is certainly not a cultural invention unique to the West. With the removal of this last underpinning, the oppositional paradigm in East-West studies falls apart in its entirety.

Paradigm Formation: Top Down or Bottom Up

In my criticism of the nonmimetic theory of Chinese culture, I myself have expressed some discontent with the discontent. In my opinion, this meta-discontent has positive conceptual values. In fact, it is another form of meta-criticism. It has offered us some insights into what has been problematic in theories and paradigms and may gives us some hints at the direction in which we should approach formations of theories and conceptual frameworks. It has at least revealed these insights. First, it implies that a theory can be revised, refined, and perfected. Second, a new idea or theory should not bypass common sense and must be able to stand the test of traditional scholarship. Third, it allows us to have a deeper insight into why scholars of traditional paradigms are so resistant to new theory and paradigms. One main reason why people resist paradigm change is that new paradigms are more often than not invented from borrowed theory and not the natural growth from a native soil. By natural growth from a native soil, I have two aspects of concern in mind. On the one hand, it means theories inductively abstracted from a culture or tradition. On the other, it refers to theories generalized from a certain field. Traditionalists do not resist theory for the sake of resistance. My critical examination of some discontent shows that solid scholarship frequently problematizes and proves false established theories and paradigms. In terms of natural growth, resistance is a kind of discontent with a mismatch between borrowed Western theory and Eastern cultural praxis. Thus, the contention between postmodern and traditional approaches is essentially a contention over priorities.

What should come first: theory or scholarship? In terms of an anecdote, it is a contention between the head and bottom.

I recall an anecdote related to me by one of my teachers. In that anecdote, when asked how he accomplished so much in scholarship, one scholar modestly said that he does not have a good head, but has a good bottom. He means that he is not as clever in the head as some scholars who constantly spin out new ideas, but is more industrious and, sitting at his desk, he makes full use of his good bottom to accumulate scholarship. My critique of the discontent with theory makes me feel that in the field of cultural studies, there has been perhaps too much of a good head while there is not as much of a good bottom. In formulating paradigms that may have theoretical value, we need both a big head and a big bottom. The inherent weakness of the repudiated theories and paradigms reside in the fact that they are generally formulated out of a clever head, not constructed on a solid bottom. As those paradigms are supported by thin scholarship, they are castles in the air, or castle on the sand. Perhaps, at a time when scholars advocate a return to old models of paradigms, we need a good bottom more than any other times. Of course, I think we need to balance out the head with the bottom. A sturdy bottom guided by a clever head will be able to crank out good ideas that may have applicability in a field, if not total explanatory power for all fields. The repudiated theories found to be wanting are, of course, not entirely formulated by the head alone. They are also based on some forms of scholarship. But the problem is that the scholarship base is not thick enough or broad enough to cover the general conditions of a tradition, and the data collected are often purposefully selected to suit a preconceived notion. In a word, the head is too big while the bottom is too small. That is why paradigms formulated in this manner are frequently found to be shaky and deficient. In the formulation of cross cultural paradigms, what we need is not just a balance between the head and bottom. More than anything else, we need a right order for the head and bottom. The correct order is not one in which the head guides the bottom, but one in which the head is squarely placed on the bottom. In non-metaphorical terms, it means that a paradigm should be formulated on solid scholarship guided by a tentative, self-adjusting fore-conceptions and speculations.

My critique of resistance and discontent convinces me that we need to seriously consider our approaches to cultural paradigms. This is highly necessary because we have come to a juncture at which some scholars claim that "the great era of theory is now behind us and that we have now entered a period of timidity, backfilling, and (at best) empirical accumulation"; others reject speculative theories and insist on the "practice of theory" in the present, and still others call

for "returns" to formalism and aesthetics, and to rollbacks to earlier paradigms (Mitchell, 330-31). I still believe that theoretical paradigms with universal value and explanatory power are still desirable and even possible. But such paradigms cannot be formulated from the top down but should be constructed from the bottom up. By "bottom-up" approach, I mean an approach to paradigm formation, predicated on solid scholarship, rather than on a theory borrowed from another field or another tradition. In the dynamics of bottom up and top down approaches, we may derive some insights from René Descartes' similar approach to philosophy—his celebrated tree analogy. Descartes' analogy emphasizes the unity, practical value, and foundationalism of knowledge. His comparison of metaphysics to the roots of the tree is meant to express his belief that knowledge should be constructed from the bottom up and no knowledge can be taken for granted before it can be established from basic principles. In cross-cultural studies, the basic principles should be derived from systematic studies of specific areas. For example, if we want to formulate useful paradigms in the field of East and West studies, we need to adopt a bottom-up approach and formulate some first principles from solid scholarship. Equipped with these principles, we may construct descriptive paradigms inductively from observations and meticulous studies of Eastern and Western ideas and data, in contrast to prescriptive paradigms that evolve from borrowed theories through deductive reasoning. A descriptive paradigm should be based on objective observations and assessment of the similarities and differences in Eastern and Western cultures rather than on speculative reasoning guided by certain theories. The formulation of such a paradigm requires scholars to have patience, industry, and an overall command of their field, and engage in large quantities of rudimentary studies. However, we should not lose sight of the use of theory. Although I emphasize the need to return to intellectual scholarship, I believe that scholarship should be informed by familiarity with contemporary theories. This return rejects a top-down approach supported by a shaky bottom; it also rejects a fixation on the bottom with a muddled head. In common sense, I may call this approach a head-on-bottom model.

A Hermeneutic Approach to Paradigm Formation

In conceptual approaches to paradigm formation, one is likely to think of Thomas Kuhn's theory about paradigms. Kuhn's theory about paradigm formation is well-known in the scientific world and in the history of sciences. I, however, argue that we should leave out Kuhn's theory about paradigm formation because his theory is

not suitable for human sciences. Paradigms in natural sciences and human sciences are very different. According to Kuhn, discoveries and invention of new theories in sciences are the main contributing factors to paradigm shift. The changes caused by the discoveries and inventions are both destructive and constructive. They destroy old, existing paradigms and build new and unfamiliar paradigms. Paradigm shift is an exceedingly unsettling process. Indeed, as Kuhn notes, the emergence of a new paradigm "is generally preceded by a period of pronounced professional insecurity," and the insecurity is usually caused by a strong sense of crisis (67-68). In his opinion, "crises are a necessary precondition for the emergence of novel theories" (77). In the human sciences, however, the situation is very different, and almost the opposite. It is not so much the crises that lead to a paradigm shift as the invention or introduction of new theories that throw a field into professional crises. In literary studies, for example, if there had been no poststructualist theory, the world of literary scholarship and criticism might still have continued their course of development with no sense of crisis at all. Literary critics might have continued to view a literary text as a "well-wrought urn," or a "verbal icon" created with balance, harmony, and at most a tension caused by irony and ambiguity. In cross cultural studies, if there had not been postcolonial theories, Western scholars might have continued their study of Oriental and non-Western cultures and traditions, thinking all the time that they were carrying out scientifically objective, bias-free research. But the appearance of postmodern theories is like a bomb that destroys the serenity of time-honored scholarship. For this reason, some scholars openly blame the rise of theory for the crises in humanities (Wolfe 3-4; Shaw 5-9).

In the scientific world, no scientists who want to command respect and authority in the field can possibly ignore new discoveries and new theories. In the human sciences, however, scholars of traditional approaches can simply ignore new theories, approaches, and methodologies and still enjoy professional authority and command respect in their field. In fact, in order to maintain their status, some may deliberately resist new theories and paradigms and try to fend them off as though they were defending against the invasion by aliens. Their defensive measures sometimes may succeed in keeping scholars using new theories and approaches out of the field. Take traditional Chinese literature for example, quite a few competent scholars who have done fine work using postmodern approaches eventually left the field for modern Chinese literature, film, or comparative literature due to pressures on their approaches. It seems as though the older paradigms and newer paradigms can no more co-exist than fire and ice do in the same stove, to use a Chinese saying. An important question then arises: Are older and newer paradigms destined to be

exclusive of each other? My answer is a resounding "no." I argue that not only can they coexist but also complement each other. The crux of the matter is how to get each side see the strengths and weaknesses of the other, and how to orchestrate the bottom-up and top-down approaches into syncretic paradigms.

In common sense, I call a complementary approach to paradigms a head-on-bottom model. In conceptual terms, I wish to call it a hermeneutic model of paradigm formation. The hermeneutic circle immanent in the production of meaning in interpretation may offer us useful insights. The "hermeneutic circle" posits: interpretation is circular in nature and the circularity of interpretation involves the relation of parts to the whole. The interpretation of each part is dependent on the interpretation of the whole, which is also dependent on the interpretation of each part. It is in the constant interaction between part and whole that adequate interpretation is achieved. Schleiermacher conceives of hermeneutic circle as a prerequisite for adequate interpretation. It is in essence an inductive-cum-deductive paradigm for reading and interpretation. We may further tap its potentials for paradigm formation in literary and cultural studies. We are able to posit a hermeneutic approach to paradigm formation on the fact that hermeneutic circle is also the basis for all scientific knowledge: "Complete knowledge always involves an apparent circle, that each part can be understood only out of the whole to which it belongs, and vice versa. All knowledge which is scientific must be constructed in this way" (Schleiermacher, 84). A theory is a kind of knowledge; so is a conceptual framework in the study of a field. In terms of the hermeneutic circle, the paradigm formation for cultural studies does not involve a circular movement between part and whole of the text, but embraces an alternation between the analytical data of a whole field and the abstracted common themes governing those data. To continue my metaphor, it is a two-way communication between the head and the bottom.

I have stated in the above a general reason why we should leave out Kuhn's theory. Here, I will further explain my reason. I believe that Kuhn's model of paradigm formation is not compatible with the nature of human sciences. Kuhn's approach is basically geared to natural sciences and, the paradigm changes he envisions is revolutionary in nature, as is clearly indicated by the title of his book, and by his emphasis on the parallel between political revolution and paradigm shift (93). By contrast, a hermeneutic approach to paradigm formation is more attuned to human sciences, which have their orientation in the interpretation of texts. The paradigm change that I envision in human sciences is not revolutionary in nature. As it involves interplay between change and continuity, adjustment and

readjustment, it does not abandon former structures altogether but builds on top of them. It is therefore reformist in nature if we wish to follow the analogy of political change. Revolution means radical changes, re-orientations, and disruptions to existing order. In adopting a hermeneutic approach to paradigm formation, it is necessary to play down the disruption in Thomas Kuhn's conception of scientific paradigm formation. Kuhn argues that a scientific paradigm gradually emerges from some foundational principles and it will remain in dominance for some time until it is replaced by a new paradigm. In order for the new paradigm to prevail, the old paradigm must be removed. The new and the old are so incommensurate that the existence of one must depend upon the riddance of the other. Copernican astronomy became accepted only when Ptolemaic astronomy was proved to be wrong. Similarly, "Einstein's theory can be accepted only with the recognition that Newton's was wrong" (98).

I suggest that because of its revolutionary nature and exclusiveness, Kuhn's theory of paradigm formation is not ideal for paradigm formation in cultural studies. Paradigms of natural sciences and paradigms in human sciences are different in many ways. The most crucial difference is that the latter is formed as a result of cumulative developments and receptive to continuity and resistant to disruption because of the continuous nature of human culture. A hermeneutic approach to paradigm formation is able to address the continuous nature of human culture. In the hermeneutic circular model of paradigm formation, a cultural paradigm is not a fixed structure that, once formulated, is forever completed. And practitioners are not compelled to make a choice: he either sticks to an old paradigm or abandons it for a new one. In my conception, a cultural paradigm is like the correct understanding of an interpretation. It should be a shifting, constantly adjusting one, adaptable to the changes in social conditions and in intellectual scholarship. In this respect, a hermeneutic approach should be informed by Heiddegger's existentialist grounding of the hermeneutic circle. Before Heidegger, hermeneutic circle seems to have finite destination, which is clear in Schleiermacher's classical theory: "the circular movement of understanding runs backward and forward along the text, and ceases when the text is perfectly understood" (Gadamer, 293). But Heidegger's existentialist hermeneutics does not contain that sense of closure. Gadamer thus comments: "Heidegger describes the circle in such a way that the understanding of the text remains permanently determined by the anticipatory movement of fore-understanding. The circle of whole and part is not dissolved in perfect understanding but, on the contrary, is most fully realized" (293). Like understanding in the hermeneutic circle, a paradigm can constantly seek its full

perfection, but not its completion.

A hermeneutic approach to paradigm formation has many advantages. First, because it does not aim at formulating a closed system, it allows new elements to be added and new adjustment to be made. In this sense, it is much like T. S. Eliot's ideal order of the Great Tradition in literary canon formation: "The existing monuments form an ideal order among themselves, which is modified by the introduction of the new (the really new) work of art among them. The existing order is complete before the new work arrives; for order to persist after the supervention of novelty, the whole existing order must be, if ever so slightly, altered" (38). Second, because of its sense of continuity, the hermeneutic model can explain why nowadays there is a visible trend to return to old theories like formalism and aesthetics and is capable of accommodating reactive rollbacks to old paradigms. Third, the hermeneutic model can patch up the split between theory and criticism, and theory and scholarship. Criticism and scholarship are guided by theory and they in turn feed new data to alter and perfect existing theory. Fourth, the hermeneutic model can mediate between theories themselves, especially high theory and low theory. High theory, as Mitchell puts it, refers to "the aspiration to total mastery, coherence, explanatory power associated with metaphysics" while low theory refers to "the realm of 'futures' speculation-of market theories, opinion, belief, conviction, hunches, lucky guesses, and premature generalizations" (Mitchell, 332). In terms of the hermeneutic approach, I view the relationship between high theory and low theory as one between full understanding and fore-understanding. Low theory is like the hermeneutic fore-grounding or fore-understanding, or Gadamer's creative re-conception of "prejudice" in hermeneutic understanding (265-307). In paradigm formation, one needs to be first armed with haunches, intuitions, and fore-conceptions, but those speculative preconceptions need to be constantly modified by solid scholarship and perfected by rigorous reasoning and logical analysis until their perfected versions successfully stand the test of rigorous scrutiny. By then, low theory has transformed into high theory with heightened explanatory power. Last but not least, a hermeneutic model of paradigm formation has immense accommodating power that may pacify the conflict that has split traditional and postmodern scholars and unite the academic community. Kuhn compares paradigm change to political changes which "aim to change political institutions in ways that those institutions themselves prohibit" (93). A hermeneutic approach to paradigm formation has the potential of avoiding that confrontation in the academia and is conducive to formulating viable approaches to cross-cultural studies.

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Ethical Concerns of Jeanette Winterson as Shown in *The Gap of Time*, a Rewriting of William Shakespeare's *The Winter's Tale*

Li Na & Tian Junwu

Abstract: Jeanette Winterson's *The Gap of Time* is an adaptation of William Shakespeare's *The Winter's tale*, a tragic-comedy in the 17th century. Though the settings are transplanted from the ancient pastoral lands of Sicily and Bohemia into contemporary London, Paris and New Bohemia City of America, and the Shakespearean kings, queens, princes, princesses and courtiers are changed into modern professional people like bankers, chanteuses, game designers and car salesmen, the basic plots and ethical concerns of the adaptive novel are nearly identical to those of the Shakespearean play. As far as the ethical dimension of *The Gap of Time* is concerned, it reveals Winterson's ethical concern, that is, bad ethical environment leads to the prevalence of animal factor of human beings over human factor, which damages the ethical harmony of human relationships. It is only love and forgiveness that redress the unhealthy ethical environment, depress animal factors in human nature, repair the ethical human relationships and finally cure the ethical trauma of the main characters.

Keywords: Jeanette Winterson; *The Gap of Time*; *The Winter's Tale*; ethical literary criticism

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标题：詹妮特·温特森在莎士比亚《冬天的故事》改写本《时间之间》中的伦理关注

摘要: 詹妮特·温特森的《时间之间》是对威廉·莎士比亚传奇剧《冬天的故事》的改写。尽管故事的场景从古代的西西利亚和波西米亚王国移植到当代的伦敦、巴黎以及新波西米亚市，人物也由莎士比亚时代的国王、王后、王子、公主和臣僚置换成现代的银行经理、女歌手、游戏设计师和汽车销售商等，

这部改写本小说的基本故事情节和伦理关注与莎士比亚的剧本别无二致。就《时间之间》的伦理维度而言，它揭示了温特森的伦理关注，那就是：邪恶的伦理环境会导致人的兽性因子压倒人性因子，从而破坏人际关系的伦理和谐。只有通过爱和宽恕才能矫正不健康的伦理环境，抑制人性中的兽性因子，修复人际伦理关系，并最终医治人们的伦理创伤。

关键词：詹妮特·温特森、《时间之间》、《冬天的故事》、文学伦理学

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Jeanette Winterson (1959—) is a contemporary female English novelist famous for her *Oranges Are Not the Only Fruit* (1985), *Sexing the Cherry* (1989), *Written on the Body* (1992), *Why Be Happy When You Could Be Normal* and *The Power Book* (2000), most of which deal with LGBT(lesbian, gay, bisexual, and transgender) issues. For instance, concerning *Oranges Are Not the Only Fruit* (1985), Mara Reisman explores the privileging authority's "naturalizing moral judgments and perpetuating social, political, religious, and sexual norms" (Reisman 11). Julie Ellam locates Winterson's strong belief in true love, "an ongoing concern with the bonds of love" (Ellam 79). As far as *Written on the Body* (1992) is concerned, Ellam associates the "transcendent and powerful love" (Ellam 87) in this novel with Winterson's deconstructed narrator, asserting that love is eternal. Jose Sanchez shares Ellam's viewpoint, arguing that Winterson "creates a sexually undefined character who escapes any attempt of classification into the categories of female or male subjectivity" (Sanchez 96). However, Winterson's *The Gap of Time* (2015), a rewriting of William Shakespeare's *The Winter's Tale* in celebrating the 400th anniversary of the bard, is scarcely explicated by critics except book reviews published in newspaper columns. Up to the present, there are only two research papers on Winterson's rewriting of Shakespeare's *The Winter's Tale*. In his "The Trauma of Time in Shakespeare's *The Winter's Tale* and Winterson's *The Gap of Time*," Evrim Dogan Adanur mentions that "Jeanette Winterson's *The Gap of Time* is a rewriting of William Shakespeare's *The Winter's Tale*," and both the original play and the rewritten novel "have a preoccupation with time and are attempts to recove from what is lost in time by employing different approaches" (Adanur 471). Paul Joseph Zajac holds that Winterson's *The Gap of Time*, an adaptation of Shakespeare's *The Winter's Tale*, represents "the struggle to attain and maintain intimacy" (Zajac 332). However, the ethical concerns of the novel, which have also

been the consistent concern of Winterson, are unnoticed by critics. Therefore, in this paper, by employing Nie Zhenzhao's ethical literary criticism, we will reveal Winterson's profound ethical concerns that lie beneath the superficial issues of triangle love and foundling.

Awful Ethical Environment and Ethical Confusions

In comparison to the previous adaptations of Shakespearean plays, which were usually transformations from plays to plays or from plays to films, Winterson's rewriting of Shakespeare's *The Winter's Tale* into a contemporary novel is certainly a retrorse one. However, despite of their great differences in story settings and character names, *The Gap of Time* keeps its intrinsic relationship to *The Winter's Tale* through transtextual means. *The Winter's Tale* dramatizes how the jealousy of King Leontes of Sicily destroys his conjugal relationship with his pregnant wife Queen Hermione as well as his friendship with his childhood friend King Polixenes of Bohemia and how time, as a major character, erases the discords between King Leontes and his queen Hermione, between King Leontes and King Polixenes, and between King Leontes and his lost daughter Perdita. Winterson's *The Gap of Time* inherits the characters and plots of the original play, with Leo Kaiser, Xeno and MiMi respectively responding to Leontes, Polixenes and Hermione. Other characters like Shep, Perdita, Pauline, Tony, Milo, Clo, Zel also have their basic correspondence to the characters of the original play. Although the story settings are transplanted from ancient Sicily Kingdom and Bohemia Kingdom to contemporary London, New Bohemia City of America and Paris, and the character identities are changed from ancient kings, queens, princes and princesses into contemporary professional people like banker, chanteuse, game designer and car salesman etc, the basic plots of Winterson's novel still follow jealousy-destruction-repentance-serendipity-reunion, which is the storyline of *The Winter's Tale*. Despite the basic differences in settings, character identities and themes, *The Gap of Time* still inherits the ethical concerns as expressed in *The Winter's Tale*.

Leo, Xeno, MiMi, Shep, and Tony, the main characters of *The Gap of Time*, all suffer from ethical confusions. Because of the awful ethical environment in which they are brought up, it is hard for them to acquire normal ethical consciousness.

Meanwhile, Leo and Xeno's animal factors[1] win over their human factors[2], destroying their ethical consciousness and rational will. Leo's twice fratricidal "killings" of Xeno, together with Xeno and MiMi's possible incest, display how animal factors are powerful in destroying human relations. During their struggle in walking out of the ethical dilemma, Perdita's love and MiMi's music play an important role. They purge the characters' ethics and make them rediscover what has been lost. Besides, Xeno and Zel's affection for literature propels their efforts to renovate the embarrassing father- son relationship. In this light, the novel not only discloses the ethical traumas brought by the prevalence of animal factor over human factor, but also highlights that ethical selection, guided by love and forgiveness, can function like time, erasing the ethical traumas of the characters and restoring harmony to their relationship again.

When *The Gap of Time* is published, Allan Massie pinpoints that the novel has "dark shadows where danger and corruption lie in wait" (Massie, *Book Review*, 2015). Lucaster Miller thinks that the novel expresses "hope that human beings can muddle through" (Miller, *Book Review*, 2015). We share their comments on the novel, and incline to further point out that the "dark shadows" refer to the "ethical environment" and the "hope" is the "ethical consciousness" accomplished through "ethical selection." In *The Gap of Time*, Leo's twice fratricidal "killings" of Xeno, Xeno's awkwardness in father- son relationship, and Tony's fondness of plants can be partly explained by their ethical environment. When transplanting William Shakespeare's Sicily into London, Winterson exhibits the overall ethical environment, "this crazy, reckless world" (Winterson, *The Gap of Time* 13)[3] with "corporate control that runs the world for the few and ruins it for the rest of us" (162). In the beginning, Shep "saw the strangest sight tonight...the night hot and heavy...the weather broke in two and the rain came down like ice…it was ice-hailstones...The street had all the heat of the day, of the week, of the month, of the season...it was like throwing ice cubes into a fat fryer" (5-6). As T.S. Eliot puts it, "outward scene never exists for its own sake and the world which is being created from these sensory impressions and concrete objects is a world of emotional

1 The animal factor is human beings' animal instinct, which is mainly controlled by their primitive desires. As an irrational element, the animal factor accounts for the animal instinct retained in human beings in the evolutionary process. See Nie's "Towards an Ethical Literary Criticism" published in *Arcadia* 50. 1 (2015): 83-101.

2 Normally, the human factor is superior to the animal factor, and hence the former can take control of the latter, which explains why a man can become a person with ethical consciousness.

3 The quotation is from *The Gap of Time* published by Penguin Random House, 2015. Subsequent citations from this novel are noted with only page numbers parenthetically.

realities" (qtd Drew 33). In the same way, Shep's witness of such terrible weather indicates the stifling ethical environment in which he and the other main characters grow up. According to Nie, "Ethical literary criticism pays particular attention to the analysis of the ethical environment, which comprises the historical conditions for the production and dissemination of literature. Ethical literary critics are thus exhorted to set their study in a certain historical context. In other words, they need to investigate literature in a given ethical environment" (Nie, *Towards an Ethical Literary Criticism* 91). As far as a concrete literary text is concerned, an ethical environment may refer to the humanistic or moral environment in which characters live and have ethical relationship with other characters. When he was young, Leo was left by his father at a boarding school, and his mother was a lesbian, leaving his father for another woman. Even as a grown-up, Leo still cannot catch his mother's reason for leaving him away. Without parental love, Leo feels unsafe in the society and sometimes resorts to alcohol to eradicate his ethical loneliness. His sense of ethical loneliness is also demonstrated in his not daring to make a love proposal to MiMi, only asking Xeno to give a letter to her. Hearing what has been written in the letter, MiMi smiles, and Xeno says, "No, listen...he's awkward, but he means it. This is his way of being sure" (65). Leo and MiMi's new room is "private and secure", and his tight hold of MiMi testifies to his scrupulousness in the marriage. In order to monitor MiMi, Leo installs a webcam in her bedroom without sound, and when Leo "pressed ZOOM but the image went fuzzy" (50). It can be concluded that MiMi's ostensible adultery with Xeno is Leo's own illusion that is refuted by Pauline, "If MiMi has any sense she'll divorce you" (88). Ultimately, the shadow of his miserable childhood shatters his marriage with MiMi, almost killing her and his own daughter. Xeno, Leo's business partner, grows out of a boy in the same boarding school with Leo, and his mother is alcoholic and mentally unstable. Apart from their similar "horrible families", the boarding school where they had once been left by their fathers was shabby, neither fashionable nor academic, yet it made their fathers believe that their sons were brought up safe and sound. When others went home on weekends, Xeno, together with Leo, "invented worlds where they could live" (26-27). His parental abandonment gives rise to his sense of homelessness and pathological mentality, paving the way for his playing with women and formulating of an agreement of marriage of convenience with Zel's mother.

MiMi, the singer, also shows concerns about her marriage with Leo. In her letter to Leo, she is frank about her broken family relationships, "neither of us have a happy-ever-after story written inside us. We both come from broken families. We

are wary as wild animals" (102). The pathetic ethical environment and her loss of Leo's love and trust batter her, "she's not alive in any way that makes being alive a life" (210). In the game designed by Xeno, MiMi behaves like a living corpse, awaiting the kiss. However, the kiss never comes, and she cannot come to life mentally and spiritually. Consequently, in order to heal her loss of Leo and Perdita, she walks on every day's early morning "with her head down as far as the mouth of the Canal Saint-Martin, where she stands like a statue, her hands in her pockets, watching the water that has no memory and wanting to be like water" (228). Shep, Perdita's adoptive father, is a black, and once came to London on a slave ship. In his eyes, "the world was getting darker, not brighter. The poor were poorer, the rich were richer. People were killing each other in the name of God...through 'World of Warcraft'" (154). He now lives in New Bohemia, a former French colony with "sugar plantations, big colonial homes, beauty and horror all together" (10). His African bloodline is deemed as a stain by his Christian neighbors who close their windows as he and his son Zel move before their houses. Such miserable ethical environment pushes his smothering of his wife so as to end her sufferings. Since the death of his wife, Shep cannot sense love any more. Even though he can shelter himself from rain in the church, he cannot walk out of his sorrow of losing his wife.

Tony Gonzales, Leo and Pauline's gardener, is another victim of the awful ethical environment. His parents were Mexicans, who eloped to England in the 1950s. Unfortunately, his father was killed on a building site when Tony was only two. Very soon, his mother got married to the site's foreman, and this aroused Tony's aversion to his mother's immorality as well as his suspicion that the foreman had killed his father for the sake of marrying his mother. After the new marriage, Tony's mother had more children, and Tony was neglected and was always beaten by his stepfather. Disgusted by his stepfather and deserted by his ineligible mother, Tony left home at sixteen. Lack of belonging and security, Tony even turns to plants for warmth and "plants were better" (98). BabyHatch, the "saddest thing you ever saw" (121) emerges in Shep's reminiscence. It is a wrong and immoral place for infants because "once the baby is inside and the hatch is closed, a bell rings in the hospital and it doesn't take long for a nurse to come down, just long enough for the mother to walk away…" (6). The three foundling girls HollyPollyMolly were born there and they later name their band The Separations, demonstrating their affliction aroused by their parents' desertion and the degenerative ethical environment of the BabyHatch. Similarly, Perdita was also left in BabyHatch where Shep's wife died. The minute she learns of the fact, she sits down with fear, "laughing as well as crying" (192). She even questions her identity as Shep's daughter and Clo's sister,

and this ethical confusion permeates her whole life.

Sphinx Factors of the Main Characters

In *The Gap of Time*, nearly all the main characters possess the double features of good and evil. This good versus evil can be best explicated by Nie's theory of "Sphinx factor." According to Nie, the head of Sphinx symbolizes the rational will of mankind that is achieved through a long process of natural selection, and the Sphinx body configures the form of a snake, representing the animal factor remaining in human beings. Meanwhile, Nie contends that "from an ethical perspective, mankind exists as a Sphinx factor, which is composed of both the human factor and the animal factor. The Sphinx factor can be seen as the kernel element that literature expresses and explores" (Nie, "Ethical Literary Criticism: Ethical Selection and Sphinx Factor" 1). The combination of a human head and an animal body in Sphinx suggests "firstly, the most important feature of a human image lies in its head, which stands for reason as a result of the evolutionary process, and reason is a decisive factor that enables human beings to be human beings. Secondly, it indicates that human beings have evolved from animals yet still contain some features belonging to them" (qtd Baker, 15). In Winterson's novel, Shep's smothering of his wife manifests his animal factor, yet his confessions to the pastor is an exhibition of his human factor perfecting his human nature and redeeming himself from the sordid world. Autolycus, a character that appears in Shakespeare's *The Winter's Tale* , is reimaged as a used car-dealer in Winterson's *The Gap of Time*, and is delineated as "part crook, part sage" (135), saliently conveying the bond of animal factor and human factor. His animal factor emerges when he plans to ditch the DeLorean to Clo as Clo's birthday present to his father Shep. Hidden behind his animal factor is his human factor, evidenced by his offer to the slight Zel some kind of place to sleep in. To him, even though the society is brutal and cruel, "there's no need to be hurtful" (180).

Unlike Autolycus, Leo, when overwhelmed by his animal factor, harms people around him both verbally and bodily. "He's got his own way all his life so he can't control his emotions, desires, rages, affects. He's a typical Alpha Male. They don't grow up, they just get meaner" (57). Being hit by the eggs thrown by protesters out of the bank, Leo "tore off his jacket and grabbed two of the kids, throwing them down onto the pavement. He punched a third against the wall and broke his nose" (20). His almost twice fratricidal "killings" of Xeno once more prominently reveal his animal factor. One "killing" happened during a bicycle race in the boarding school one Saturday afternoon, and it bruised Xeno's legs and scratched

his face. The other "killing" happened during his chase of Xeno in the park. Xeno attributes Leo's frenzied chase to the fact that he "got off his head" (79). Nie holds that "the head" represents mankind's human factor or rational will. Without his head, Leo has no rationality, allowing his animal factor to abuse its power. His twice fratricidal behaviors subject Xeno to physical and mental tribulation, and bring shadows to their friendship. Besides, Leo disconnects all his phones with the outside world and confines himself to his own narrow room, illustrating his hurt head once again. Even in front of his own newborn daughter, Leo "couldn't lift his head. He couldn't look up" (87). All his losing of his head incarnates his animal factor gaining an upper hand over his human factor, placing him in an ethical dilemma and messing his ethical identity. Despite of his overt animal factor, Leo is undeniably a good father towards his son, Milo. "Leo's softness was here, with his son" (20), and "they talked about football in the car and Leo promised to take him to a game at the weekend" (100). Even his pernickety secretary Pauline holds that Leo "got a good heart" (57). Nonetheless, Leo's lack of parental love makes it hard for him to get rid of the manipulation of animal factor, engendering his tight hegemony over and strong desire for having sex with MiMi.

The animal factor also exists in Xeno's head. In the boarding school, Xeno enjoyed playing a rabbit-shooting game in the forest. "I'm in a forest...My own cabin. Rabbits come and I shoot them. Bang bang bang" (27). His revelry in target range competitions reflects his remaining animal factor. As Leo's once gay partner, Xeno also loves MiMi, Leo's wife. Xeno's affection for MiMi may reflect the natural will in his human nature. However, according to Nie, this natural will is a will symbolizing the animal factor, which is reflected in various forms of desires, such as the lust for food and sex. Winterson is never mean in her delineation of Xeno's paradoxical state of mind when he is with MiMi. As asked by Leo to send a proposal letter to MiMi, Xeno wanders:

What would it be like if we didn't have a body? If we communicated as spirits do? Then I wouldn't notice the...hair that falls into your eyes...the way you hook your boots on the bar of the chair...the word that comes to mind and is dismissed is love. Do you always leave your top button undone like that? Just one button? So that I can imagine your chest from the animal paw of hair that I can see? Disconcerting, the way you look at me when we talk...MiMi was sitting with her knees up, bare legs, her eyes like fireflies (66-67).

Winterson's ambiguous portrayal of Xeno and MiMi is a precise mirroring of Xeno's inclination to have sex with MiMi, displaying his animal factor. MiMi, at the same time, is attracted by Xeno, and her seemingly flirtation with Xeno is

recorded. After the dinner, they go to MiMi's apartment. As soon as they arrive, MiMi stands "framed in the window in her blue dress in the yellow light" (68), and Xeno moves directly behind her. She turns right into Xeno, takes his hand and leads him to her bed, lifting her hand and stroking Xeno's nape. Such details convey MiMi's lust for having sex with Xeno, which is vindicated by Xeno: "She trusted me. She was physically comfortable with me...I really think she loved me" (208). MiMi's greediness of sex with Xeno verifies her free will, one emblem of animal factor. Whether it is Xeno's or MiMi's active flirtation, the likely adultery evidences their powerful animal factors, ruining Leo and MiMi's marriage, Milo's life and the friendship between Leo and Xeno. Nevertheless, Xeno's and MiMi's human factors cannot be neglected. When learning from Cameron that Leo's madness originates from his "having an affair with MiMi", Xeno firmly refutes, "I'm not having an affair with MiMi" (79). His human factor prevails over his animal factor, and he decides to stop his ambiguous relationship with MiMi. Though hurt by Leo, MiMi forgives him, which indicates an active response to Winterson's statement that the novel is "a play about forgiveness" (284-285). Forgiveness is one type of kindness and it symbolizes mankind's human factor. It is MiMi's forgiveness that saves her from the physical and spiritual pain, making her a singer again.

Ethical Selection of the Main Characters

According to Nie, natural selection is "the process of evolving from ape to man. It is the selection of the form as man but not man as the civilized one...takes role only in human form evolving from ape but not in transformation of savages into civilized ones. Even though we have completed it in the history of evolution, everyone still must undertake it within context of ethical selection" (qtd from Ross, 11). In *The Gap of Time*, the ethical identities of Leo and Xeno both undergo a long process of ethical selection until the reappearance of MiMi and their encounter with Perdita, and this ethical selection succeeds in their recognizing and confirming their ethical identities and achieving their ethical consciousness.

Leo, "a reformed character" (210), is captured by MiMi's charm. His first meeting with MiMi is in a jazz club where "a small, slight, boyish woman with a face like a pretty sailor in red lipstick, wearing a black dress, holding the microphone like it had something to say to her, started to sing" (44), and Leo "felt the wind blowing through him. He felt lighter. She blew through him like a salt wind off the sea" (45). In this light, her love awakens him, and he makes up his mind to treat MiMi with his kindness, "he loved her so much. His feelings were a mixture of tenderness and pleasure...There was nothing he wouldn't do for her.

He kept cuttings of all her press notices. It was him, not her, who had the awards lined up in his study at home" (80). Milo's birth is the best evidence for their love. MiMi's love cures Leo's sense of non-belonging, and aids his completion of ethical selection, to some degree. Their union is supposed to be a happy one. Pitifully, Leo's dislocated identity gives rise to his irrational disbelief in MiMi and accuses her of an adultery with Xeno. In her farewell letter to Leo, MiMi interrogates Leo's mistrust, "I am married to you, Leo. I would not use Xeno to end our marriage. If I no longer loved you I would leave you. Do you not know that about me? Not even that? ... Is it because you would do such things that you imagine it is what I am doing to you?...When did I lose your love?" (103) Apart from MiMi's divorce from him, Milo's death is also an aftermath of Leo's crappy ethical identity. Suggested by Pauline, Leo determines to see MiMi after her giving birth to Perdita. Milo, the little "lighthouse", stands between Leo and Mimi, "between the rocks and the shipwreck." Having perceived their split, Milo "went quietly down to the kitchen" (101) and dies afterward. The injury caused by his parent's broken relationship, for the most part, is the hidden reason for Milo's death. Associating with the frightening ethical environment in which Leo is brought up, we can conclude that Leo's distorted ethical identity makes him difficult in believing MiMi and in having confidence in their marriage.

As a matter of fact, Leo is psychologically and emotionally attached to MiMi. He hangs a big black and white photo on the wall of his office and keeps its digital version as his iPhone screen. Even when he attempts to gain Milo's custody from Mimi, all he inclines to do is to "put his arms round his wife and cry until his tears made a river that would float them both away from this landlocked place" (102). Regretting, yet having no way to compensate for what he has done to MiMi, Leo arranges a room for her in his new house. However, MiMi will never be together with him, and what he can only do is to bury his face in her sweater, "his back against the wall, knees up, his head resting on his arms. No excuses. No reasons, No forgiveness. No hope" (230). He sentences himself to living his life as a punishment for his distorted ethical identity. Though falling in his life, Leo is still redeemed. In the novel, Winterson employs the narration intensity "Of course he loves you he worships you he can't get enough of you you have been the making of him he knows that his life would be empty without you...I know he isn't that attentive but he watches your every move" (57) to lay Leo's true love with MiMi bare. Only MiMi can save Leo from the hell. At length, MiMi is reborn, "a woman is standing like a statue in the light. She's wearing a simple black dress and red lipstick, her heavy hair cut short. She doesn't move. Then she does" (284). As soon

as Leo hears Mimi sing on the stage, he completes his ethical selection and gains his ethical consciousness. Put it in another way, to Leo, it is MiMi's immensity of love that lifts him up from the corrupt world, "grabbed her hand like he was steadying himself from falling" (81). Ultimately, his distorted ethical identity is set right.

Xeno, another victim, does not possess sound ethical identity, either. When asked about the reason for his sudden leaving, Xeno explains that he has a call from Zel's school for he does not speak in the class again. Prevented from leaving, Xeno contends, "my son is more important than a meeting" (36). It is a sarcasm that Xeno declares Zel as his son. On the basis of "an arrangement" (99), Zel's mother is only Zel's mother, not Xeno's wife. Therefore, Zel considers him "a vanity project" (170). The freakish father-and-mother relationship and family structure exert negative influences on Zel and he abhors Xeno. His parents are like strangers to each other, and there is little possibility for them to bring up Zel with their love. Therefore, Zel's loneliness and self-abasement are inevitable, so that he is not brave enough to show his love to Perdita, only "put himself outside...looked in dumbly through the window of his longing, hurt and beaten and knowing that he had hurt and beaten himself but still he did it, over and over" (169). Besides, as soon as he hears Xeno's voice, he feels tense, "the softness in his face froze over like he was staring at Medusa" (175), reprimanding his father's superficiality "you're just a coward. You control life by avoiding it…relationships, children, people. You don't know how to love…that's all...it's not noble and tragic, it's pathetic" (211). Disgusted with Xeno's ostensible easiness and gentility, Zel wants to "hit his father out of existence" (176). Overall, Zel's detestation of Xeno is not accidental, but out of his recognition of his father's distorted ethical identity of father.

However, Xeno manages to perfect his distorted ethical identity through wide reading. As he is widely read, Xeno is popular among women. On the contrary, Leo dislikes reading books as he thinks games are better than books. Xeno retorts Leo's wrong idea about reading books, saying that "games are too passive. Books change the way people think about the world" (32). To further make his friend realize the importance of reading, Xeno gives a Yiddish literary book to Leo as the Christmas gift. According to Nie, literature is an art of ethics, the primary function of which is to offer human beings moral enlightenment and moral lessons for the advancement of human civilization. Xeno even puts his literary knowledge into his game design, "I want to invent a game that's like a bookshop...layers, levels, poetry as well as plot. A chance to get lost and to find yourself again" (61), "why can't games be a game-changer?...why can't a game make us understand more, see more, feel

more?" (32). Thanks to Xeno's fondness of reading literary works, he is elevated, trying to fix his terrible relationship with and rectifying his wrong doings to his son Zel. The embarrassing yet authentic dialogue between Xeno and Zel before the initiation of the concert expresses their wish to have a better and deeper knowledge of each other:

> 'Nice suit.'
>
> Zel hesitated. Then he smiled. Xeno hesitated. Then he smiled. 'I'd like to get to know you.'
>
> Zel hesitated. 'I guess I'm walking down there. You walking too?' (281)

Following his father's step, Zel develops a love for reading. When asked who really knows about love, Zel chooses "a book." His knowledge of love from the book is shared with Perdita, who is mighty enough to row Zel from his "lonely island" back to "the lights and the warmth" (169). To Zel, Perdita is "sight of land" (200), and he walks out of his own cave, smiling "his slow, awkward, full-face smile like the sun coming through the clouds" (170) as he resolves to get married to Perdita.

Love and Forgiveness as Ethical Salvation

Having delineated the rain and the bloody grappling in the first part of her novel, Winterson begins the second part with the title "Saturday morning. Spring day" (133). The skyline of the city breaks the distant horizon, and the early sun turns buildings into gold ingots. The air is fresh and it starts to warm. This forms a sharp contrast to the weather in the first part of the novel, and of course, it symbolizes a different ethical environment from that in which Leo, Xeno and MiMi live. The green in spring symbolizes Perdita being reborn with Shep and Clo's loving care as well as their own life vitalization. The newborn baby is named "Perdita", meaning "little lost one" (105). What has been lost? Coincidentally, the cinema to which Tony and Pauline go is called *Everyman*, and the movie they are to watch is *To Have and Have Not*. By intertextually associating the cinema's name to that of a morality play in the Middle Ages and also the movie's name to that of a Hemingway novel, Winterson subconsciously answers the question as to who is rich and who is not. Leo, the seemingly successful entrepreneur, loses his wife, his daughter, his friend and his spiritual well-being. Shep and Clo, the despised blacks, lead a rich life with love. The contrasting lifestyles of the characters verify Winterson's affirmation that life without love is like stagnant water. Recalling his

deceased wife, Shep cries out, "where are you...Will I see you walking towards me at the end of the day...Look up and we see each other, first far away, then near...The atomic shape of your love" (13-14). Without his wife, Shep feels spiritual emptiness. He appears in the BabyHatch with his tyre lever and soaked clothing. The appearance of Perdita suddenly stuffs his lonely heart. He lifts "out the baby and she's as light as a star" (9). However, as a black, Shep has no right to keep a newborn white child at that time. Thus, Shep and Clo sell their house and move to another place. When Perdita grows up, her "unimaginable, vast love" (289) mends Shep's broken heart, as is said by Clo, "after Mom died he had a broken heart. You mended his heart" (193). Even Shep himself is honest about Perdita's redemption, "Perdita happened, like a miracle–it was a miracle–like a new start–she was my instructions to love" (276). Owing to the appearance of Perdita, Shep thinks that he has a home again. In Shep's seventy-year-old birthday party, Perdita voices her sincere gratitude to her adoptive father, "thank you...for being the best dad in the world" (165). From the start to the end, Perdita regards Shep as her father, "I love Shep. He's the one who's my father" (173). Perdita's frank indebtedness reminds Shep of that stormy night, "storm and rain and the moon like a mandala when the clouds parted, it was the moon that made him know...a map of discovery" (164). The discovery of Perdita opens Shep's heart again and it is conducive to his acquisition of ethical consciousness. In the meantime, the discovery of love fills the time gap and remedies mankind's psychic fragmentation, accelerating the process of growing into an ethical man.

As Leo's competent secretary, Pauline cannot be overlooked, and Winterson, indeed, speaks highly of her, "she ran things the way she wanted them to be run...Thanks to Pauline, Sicilia was compliant, transparent, charitable and, if not exactly ethical, they had standards" (34). Not regretting to be a career woman, Pauline still has a sense of loss in her heart. Tony's appearance gradually stuffs her loneliness, and their mutual attraction bourgeons. As Tony works in her garden, Pauline perceives his distinction as if he "was a man from another time" (98). Because of his miserable ethical environment, Tony never gets married and intends to love nobody until his encounter with Pauline. After their watching the movie, Tony is "strangely, or not strangely, light-hearted" (110). The similar ethical reaction goes to Pauline as well. She looks at "herself in the hall mirror, thinking that she'd pop to the chemist in the morning and get a new lipstick" (110). Their love embryo sprouts, replenishing their life and hearts. Pauline even imagines her having a family with Tony in "the wide, welcoming hall with flowers on the table" (263). Even though there is a death gap between them, love exists in their hearts.

Tony's entrustment of Perdita to Shep is to save a newborn life, and Pauline's suggestion to Leo on the construction of a playground for the kids whose parents can purchase those affordable houses delivers her "doing good in the world" (226). Due to their love and universal benevolence, they are successful in becoming ethical human beings.

Ellam holds that "the appeal of God's love, which is first described in *Oranges Are Not the Only Fruit*, reappears as a faith in familial and romantic love and undermines postmodern uncertainty. This proffered solution, that is, love being depicted as an answer, necessarily marks Winterson as one who is tied to the faith by which Jeanette is betrayed" (Ellam 83). Winterson's advocate of love accounts for MiMi's formidable appeal to Leo and the magic power of "Music" to redeem mankind from moral degeneration. In human relationship, ethics is a key to all the problems besetting mankind. According to Nie, "literature is fundamentally an art of ethics", and "moral enlightenment is the primary function of literature" (Nie, "Ethical Literary Criticism: Its Fundaments and Terms" 12). The intimate cooperation between "Music" and literature advances MiMi, Shep and Perdita's morality. As far as time is concerned, the discontinuity of time engendered by the random flowing of time can only be seamed with mankind's completion of ethical selection and accomplishment of ethical consciousness. To sum up, Winterson's *The Gap of Time* reveals the ethical disasters caused by the animal factor in human nature and advocates that love and forgiveness are the only panacea to depress the animal factor, to set men into healthy ethical environment and to cure the ethical trauma brought by human evils.

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Traditional Culture in Contemporary Vietnamese Poetry: A Perspective from Nie Zhenzhao's Ethical Literary Criticism[1]

Hue Hoang Thi & Nguyen Nguyen Hoang

Abstract: Nowadays, the preservation of the national cultural tradition is becoming an urgent issue for many countries around the world. However, the specification of traditional cultural values is often hindered by the diversity of perspectives and schools of studies. This research confirms the significance of Prof. Nie Zhenzhao's theory of ethical literary criticism in studying the retention of cultural values in contemporary Vietnamese poetry. Through the perspective of ethical literary criticism, this research shows the presence of traditional cultural elements in words, sentences, stanzas and archetypes, etc. in contemporary Vietnamese poetry. The research results show the interprative potential of ethical literary criticism not only for analyzing literature in general, but also for understanding contemporary Vietnamese poetry in particular, thus confirming the values of Vietnamese poetry and ethical literary criticism.

Key words: ethical literary criticism; ethical choice; Nie Zhenzhao; traditional culture; cultural identity; contemporary Vietnamese poetry.

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标题：文学伦理学批评视角下当代越南诗歌中的传统文化

内容提要：在全球化趋势下保存维护本土的传统文化为每个国家的关键问题。但是各学派间的传统文化维护观的碰撞又阻碍了传统文化价值观的具体化。我们的论文以越南诗歌为例，在理论上向其提出一种解难之道。笔者将聂珍钊 Nie Zhenzhao 所创新的文学伦理学批评的原理就越南当代诗歌进行多方面的论述，具体将越南当代诗歌的代表作中的句法，词法以及诗中的原型 (cổ mẫu) 形象创造揭示越南传统文化中的思维方式和本色之处。本文同时指出聂珍钊 Nie Zhenzhao 的文学伦理学批评观对越南当代诗歌的研究及读者接受活动各方面的效果和可能性。

关键词：文学伦理学批评；伦理选择；聂珍钊；传统文化；文化认识；越南当代诗歌

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Introduction

Nowadays, the trend of globalization and international economic integration is overwhelming on a large scale. Along with the stormy development of modern science and technology revolution and global information network, the world seems to become “smaller”. “While creating opportunities for development, economic globalization also brings forth many inequalities, causing great problems and challenges for many countries, especially for developing countries” (Communist Party of Vietnam 206). In addition to economic and social challenges, Vietnam also faces cultural challenges. The possibility of losing national cultural identity is a particular common threat for many developing countries. For every nation, cultural tradition is the most important and valuable thing, and literature is the expression and products of culture. As a form of spiritual culture, literature is a place to store, preserve and create cultural identities of the nation. National cultural identity is the unique core of a cultural community in the history of existence and development, which can help to distinguish one ethnic group from another. It is widely acknowledged that Nie Zhenzhao’s school of ethical literary criticism is very inspiring, because he has not only shown the development trend of literature, but also helped the writers and critics to appreciate their roles, positions and tasks in the fourth era of industrial revolution, as he writes: “Ethical literary criticism reads, interprets and analyzes literature from an ethical perspective. It argues that literature is a unique expression of ethic and morality within a certain historical period, and that literature is

not just an art of language but rather an art of text. In light of ethical literary criticism, moral enlightenment and education are literature's primary function, while aesthetic appreciation is merely second to it" (Nie 83). The more a society becomes modernized, the more it needs to protect and preserve its ethical and cultural values, because only ethics "distinguishes human from animals spiritually" (Nie 83).

Methodology of the Study

In this essay, I will apply Nie Zhenzhao' s theory of ethical literary criticism to the study of contemporary Vietnamese poetry, so as to understand the interactivity between culture, history and society, because literature is the most vivid picture of real life, and it carries the general breath of the era. Using the theory of ethical literary criticism, with some instrumental concepts such as: "Ethical taboo, ethical identity, ethical choice, ethical environment, ethical knot, ethical line, ethical confusion, the Sphinx factor, the human factor, the animal factor, rational will, irrational will, natural will, and free will" (Nie 84), this study will help to explain the practical bases and the cause of the aesthetic changes in contemporary Vietnamese poetry, hence to demonstrate the inevitable rule to preserve and promote national cultural values, ethics, as well as to apply the ethical literary criticism in writing and interpreting literature.

To clarify the typical features in content of contemporary Vietnamese poetry, it is impossible to be accomplished without textual analysis. By textual analysis of the features of contemporary Vietnamese poetry, it will be possible to discover the latent meaning hidden within it.

On the other hand, literature is directly and strongly influenced by social circumstances. By comparing differences between moral values and ethical values in literary works, the transformation of literature is associated with the ongoing movement of innovation throughout the society. In Professor Nie Zhenzhao: "Grounding itself on specific historical contexts or ethical environments, ethical literary criticism sees the contemporary value of literature as its historical value rediscovered" (Nie 85).

Hence, the use of comparative methods helps us compare ethical values in the poetry of "Doi moi" period, as well as specific points in the expression of ethical values among authors at the same time.

Results and Discussion

1. "Ethic as the Origin of Literature": The Similarities of the Preservation of National Literature, Culture and Moral Values Under the Impact of Globalization

Since 1986, Vietnam has begun to open and integrate into regional and world economies. With the policy of renovation and opening, in nearly 20 years, Vietnam has made great achievements on all aspects of social life. The rapid development of the scientific revolution—especially in modern technology and the global information network—creates many development opportunities as well as inequalities, causing difficulties and great challenges for the developing countries particularly. Cultures of each ethnic group must contact and interact with other cultures in the world. In the national culture, including knowledge, ideology, beliefs, arts, laws, customs, practices, traditions etc., the ethical and moral issues are the most concerned, "Sediment" of affection and national consciousness in the past, both the crystallization of the spirit of the era and the orientation of the nation's moral values.

The Tenth Congress of the Communist Party of Vietnam pointed out the inheritance, promotion and development of cultural values in the context of international economic integration: "We will build up and perfect the values and moral character of the Vietnamese people, protect and promote our national cultural identity in the period of industrialization, modernization and international economic integration. We will foster cultural values in young people, especially the ideal of life, intellectual capacity, morality and cultural character of the Vietnamese people" (Communist Party of Vietnam 106).

People are the subject in all cultural activities. In the trend of globalization, citizens of the countries participating in this process are all influenced by it in many ways, and globalization has opened to individuals many opportunities to pursue their own goals and make achievements according to different value systems.

Professor Nie Zhenzhao predicted the loss of cultural identities of many countries: "On the other hand, we feel that something is regrettably lost in this process, for our contribution to the development of literary theories is seriously limited" (Nie 84).

And young people, a dynamic social force, a large human resource of each country, is the most impacted. The shift in thinking, the lifestyle of society in the period of integration with the world, as well as ethical, moral, and harmonious social benefits need to be considered, so as to avoid undermining the moral tradition of the nation. Because of reasons mentioned above, Vietnamese literature and culture in the new period aim to build human character with traditional Vietnamese moral values, and at the same time have access to the values of the present times, the sense of respect, protection and pride in the source of national cultural heritage, preserving and promoting the fine traditions, promoting the moral tradition of filial piety. They also aim to perform civilized activities in communication, food, ac-

commodation, travel etc., so as to promote neighborhood love, solidarity, mutual support, mutual support and support in the community, cultural family standards, ethical and moral rules, helping each other to find inspirations to properly handle relationships between family members.

Therefore, ethical literary criticism with the theoretical system of Nie Zhenzhao, when "elaborated on the relationships between literature and society, the relations between writers and their works, and the relations between readers and works from said ethical perspective" (Biwu 2), had oriented for the preservation of traditional moral values are the basis for us to increase more investment in education, training and fostering human resources, strengthening ethics, community, promoting the foundation of social morality and cultural diversification to prepare to move to a new economy, knowledge-based economy.

2. "Ethical Selection," "Ethical Identities" and the Preserving the Cultural Traditions in Contemporary Vietnamese Poetry

The study of the relationship between literature and morality, ethics has been noticed even since the ancient times, but only by the second half of the nineteenth century, ethical literary studies has really appeared. For example, Literary Ethics in Dartmouth College, July 24, 1838 by Ralph Waldo Emerson (Ralph 2019), *Ethics* by Baruch de Spinoza, *Ethics and literature*, by Maurice Thompson, 1893, *Religion in Public and Private Life* by Clarke E. Cochran, 1986, etc. But it is necessary to affirm the important role of Prof. Nie Zhenzhao, whose theory about ethical literary criticism has developed into a worldwide research trend today. From 2004 up to now, he has chaired five international conferences on ethical literary criticism to attract the participation of hundreds of national and international universities each time, and also has published extensively on the topic of literary ethics (Nie 2014). With the general capacity and ability to detect the key issues of the moral criticism, to "distinguish human from animals spiritually", he points out the important role of ethical literary criticism in human and cultural, ethical and moral survival. He writes: "The biological choice of human beings does not distinguish human beings from other animals; it is through ethical choice that human beings really distinguish themselves from animals. … Human biological choice and ethical choice are two essentially different choices, the former being the choice of human form, the latter the choice of human nature" (Nie 83).

With *Ethical Literary Criticism: An Introduction* (《文学伦理学批评导论》) (Peiking University Press, 2014), Prof. Nie a leading scholar in ethical literary criti-

cism. "Internationally regarded as the father of ethical literary criticism (as called by Claude Rawson, co-founder and former chair of Warwick English Department and Maynard Mack Professor Emeritus of English at Yale), Prof. Nie writes and publishes extensively on this emerging critical theory, which has been featured by a full-page commentary in *Times Literary Supplement* (31 July 2015) as well as special issues of leading literary journals such as Germany's *Arcadia*: *International Journal of Literary Studies*, Purdue's *CLC Web: Comparative Literature and Culture*, and Taiwan-based *Universitas - Monthly Review of Philosophy and Culture*, culminating to an emerging literary movement with the establishment of the International Association of Ethical Literary Criticism. IAELC's annual conventions have been hosted by many leading universities, including Shanghai Jiaotong University (2014, China), Dongguk University (2015, Korea), Tartu University (2016, Estonia), Queen Mary University of London (2017, U.K.), Kyushu University (2018, Japan), etc.

He establishes the direction of studying literature from the text itself in relation to cultural values, raising literary moral criticism to a broad, human value. Because of human literature, the ultimate goal is for people to better understand themselves and others. Professor Nie's concepts are compatible and effective in the study of Vietnamese culture, in contemporary poetry, because, scientific bases such as: "literature is a unique expression of ethic and morality within a certain historical period, and that literature is not just an art of language but rather an art of text (Nie 83). Grounding itself on specific historical contexts or ethical environments, ethical literary criticism sees the contemporary value of literature as its historical value rediscovered" (Nie 83).

This concept meets the requirements of choosing ethical identities in preserving the cultural traditions of the nation, confirming the role of literature and art in preserving and promoting the traditional cultural values in period of industrialization and commercialization of Vietnam.

The life of Vietnamese and literary culture has been deeply influenced by Confucian moral ethics. Since the "Renovation" movement of 1986, focusing largely on economic reforms, moral and ethical issues in this new era have become more and more urgent. Ethical issues related to the family and social morality, and on the behavior of people toward nature, are predominant among both those who produce literature and those who receive it.

Applying Ethical literary criticism, which is fitted to the research community, is a new approach, which has the advantage of being more efficient and better able to point out the characteristics of Vietnam's literature. At the same time, it also

helps the artist to have a general view, with useful directions in the composition and significance of his work. Ethical literary criticism is also a basis for interpretation to help readers receive literature from basic cultural values of people, thereby determining responsibility for cultural as well as moral issues, ethics and society, and environment ... to preserve and promote those good moral values.

3. "Ethical Choice, Ethical Environment": A Sense of Ethic Humanity in Contemporary Vietnamese Poetry from the Perspective of Ethical Literary Criticism

Vietnamese literature and poetry in particular since 1986 have made a lot of achievements, and in many ways have caught up with world literature. A prominent topic in contemporary poetry is still a matter of humanity. The transformation of ethical values in the context of a globalized society requires establishing new values and new cultural identities. Exploring and building the ethics, modern, radical and ethical human model of Vietnamese culture on the basis of refining and adapting the quintessence of foreign culture is a requirement of art and literature, and in general, contemporary poetry in particular.

Along with contemporary Vietnamese prose and poetry on the journey of renovation and integration, there are many names that are highly appreciated in the academy and also by public opinion, such as Tran Dan, Le Dat, Duong Tuong, Hoang Cam, Phung Cung, Hoang Hung, Tran Anh Thai, Luu Quang Vu, Nguyen Quang Thieu, Truong Đang Dung, Nguyen Viet Chien, Mai Van Phan, Inrasara, Nguyen Binh Phuong, Nguyen Linh Khieu, Pham Đuong, Tran Tuan, Van Cam Hai, Vi Thuy Linh, Da Thao Phuong, Ly Hoang Ly, and many others.

Contemporary poetry, in the process of searching for and discovering the nature of society, had a "ethical choice, ethical environment" to building a moral human model with multi-dimensional contemporary cultural characteristics, has raised individuals into philosophical expression centers. The concept of individuality has only really been born in the great industrial production, which is late but it has gone beyond the traditional limits to reach the universal level. Individuals become key factors for self—assembly to create society—a consortium of individuals. In the modern society, the more economic development, the greater the individual role, each individual is an independent entity, capable of outstanding labor to assert itself as a complete unit. The more outstanding the individual, the greater the impact on society. "Individual culture in contemporary society manifests itself in dealing with reality. More specifically, individual culture manifests in words, gestures, ac-

tions, costumes ... immediate behaviors of every human being. The source of this cultural behavior is the philosophy of life and personal labor" (Many authors 363). Approaching the Vietnamese contemporary poetry from the perspective of ethical literary criticism, "we see the essential differences between human beings and other animals in a new light" (Baker, W. and Biwu, S. 15).

Ethics and talents are two important factors that make up the nature of cultural personality. Therefore, contemporary poetry always aims to build a bright symbol of personality, fully converging moral values combined with talent, wisdom, emotion—optimism, solidarity, mutual love and grateful birth origins, the roots nourished: "I went out in the morning to the flesh-and-blood angel of the day and returned to where I was waiting for the night before. The Awakened Man / The Bloody People flowed in me through the seasons, the dreams of the night. tired" (Opening day of the morning - Tran Anh Thai). "…the text is both the material form of language and the material form of thoughts, which allow their becoming the carrier of literature. In contrast to text, language cannot directly contribute to the existence of literature; it must go in a round- about way, that is, language must be converted into letters and text before it is used as a material form to convey meanings (Nie 86).

In Professor Nie Zhenzhao's opinion, the Vietnamese contemporary poets' ethical consciousness represented an acceptance of an ethical standard order "Ethical consciousness requires human beings to write down ethical experience and share it with others (Nie 89).

The moral subject in contemporary poetry is characterized by his homeland, as a source of nourishment for the spiritual life of man—the inspiration of the artist's infinite creativity, the place to return whenever he is enjoying success or suffering from failure: "I sang the song about my homeland / By the bowel I buried there," wishing "Lifelong being a small dog / To guard the sadness / Treasure of my country" (Song about the homeland - Nguyen Quang Thieu). Drinking water to remember the source is also a good quality of modern people to know to keep: "How many years Dad returned with white hair ."

Or, in the Hoang Hung's poetry: "Burning torch words/ Poetry help looking for face hey poetry!/ I went to find my face/ go find my face/ looking for face" (Looking for face - Hoang Hung; (Temporarily translate meaning). Find human own face like looking for our homeland, find the homeland identity, ethical identity. That is the need to assert essence.

Contemporary poetry preserves and promotes the traditional cultural values of the nation, building the human personality with sound moral qualities such as hard

work and diligence in labor, mothers, sisters, brothers ... always early in the morning: “The end of the day is full of mist / My sister gets into the sky and into the earth” (The day is open morning - Tran Anh Thai). The image of women suffering from such hardships exists as symbols of traditional cultural people in contemporary poetry.

Besides building a human model with traditional moral values, contemporary poetry also focus on portraying a moral subject with new cultural features. It is the type of person who harmonizes with the traditional and modern cultural elements, the postmodern, the individual person with the changed, elusive and recognizable internal structure, if from the criteria before. Modern individuals, in dealing with themselves and their surrounding, both self-adjusting and adapting to culture. A market economy with a desire to get rich, a pragmatic lifestyle is also at risk of corrupting personality. People may be sacrificed by economic power, noble moral values, love, vitality that will be exhausted if the economy is unified. Modern individual people assert themselves not only in ethics but also in talent and intellect. Modern human culture respects, promotes personal dignity and democratic thought. Because the individual is an important factor that creates community power, but traditional Eastern culture does not accept selfish individuals. The intellect and intuition of each individual are important factors, but the position of the people in endless life is even more important. Because “In human beings there is nothing eternal and permanent ... we are not the owners of life flowing into us, just as the light bulb is not the owner of the electricity making the light bulb bright” (Nie 11).

According to the evaluation of Professors William Baker and Shang Biwu in “Fruitful collaborations”: “In Nie’s opinion, literature is fundamentally an art of ethics, and the primary function of literature is to offer readers moral enlight- enment and moral lessons for the progression of human civilization” (William Baker and Shang Biwu 14), is completely objective, accurate and scientific. It shows the effectiveness when properly determining the literary nature of ethical literary criticism. Contemporary Vietnamese poetry with a moral choice has oriented towards building a good culture “by conveying the values of truth, goodness and beauty, literature and the arts enable people to improve their moral sensibility, shoulder their due ethical responsibility, and pursue an ethical life” (Baker, W. and Biwu, S. 14).

Modern moral people are conscious of personal rights but are also very aware of their obligations and responsibilities to the community, as a counterbalance for that individual to balance. “Dissenting child” is the way to affirm personal dignity in modern society with oriental cultural colors: “I returned to the old river wharf,/ You do not remember the time of running water/ I don’t know those childhood

days./ Drops of water through the cheeks, through the lips/ falling down on the warm hand of the person./ We shine./ The river is still peaceful singing songs impartially" (Maybe—Truong Dang Dung). Discovering and establishing the type of contemporary culture in poetry helps people to discover themselves more profoundly and comprehensively, on the basis of comparing traditional cultural values, to establish the right to life, freedom and democracy ... enrich the human spiritual life. The spirit of democratization and globalization of society creates conditions for Vietnamese poets to selectively acquire new philosophies of humanity, combining knowledge, culture and personal experience to build human models. In other words, contemporary culture contributes to enrich Vietnamese cultural capital in the trend of world integration.

Adopting the approach of the ethical literary criticism, focusing on the educational / teaching function of poetry, from the text of poems and moral scenes typical of contemporary Vietnamese poetry, a new critical school has been created. From there, we can see the lessons and revelations of ethical and moral clarity about contemporary individuals in the need to express themselves, affirming morality, talent and sense of self-worth, present in poetry in many ways: in life, in love, and in art work, etc. All of them aim to discover and build a model of individuals with contemporary cultural colors in the era of globalization, integration and development. It is a type of cultural people with a new value system: both inheriting the traditional values of the nation such as drinking water, remembering the source, loving, protecting, sharing, living for everyone ... combined with new values of modern society such as personal autonomy, creativity, consciously rise up to assert themselves, etc.

Conclusion

Ethical literary criticism, in particular with Prof. Nie Zhenzhao's findings, has provided an effective approach, a set of tools to reproduce, build and store cultural values that characterize the cultural period, from the beginning of the twentieth century till the present. From the manipulation of decoding the literary values of the theory of ethical literary criticism, it can be affirmed that contemporary Vietnamese poetry has contributed to create a model of modern moral humanity. Because, as Nie Zhenzhao argued, literature is not the product of labor, but "a product of morality," or "a unique expression of morality in a given historical period" and it is "fundamentally an art of ethics." He, then defines ethical literary criticism as "a critical theory that approaches literary works on the basis of their ethical essence and educational function from the perspective of ethics" (Nie 84).

People know how to put themselves in the middle of the operation of society, being an organic part of society, knowing how to catalyze their position, their ability to society, creating the values that promote the society assembly development. It is the type of people who respect the love of their homeland, their families, believing in life, yearning to affirm their dignity, talents, longing for life, love to the end of life, ready to burn in their lives. Living and experiencing art are labors that assert that essence. The contemporary individual in poetry, however manifest in any form, is always a cultural value that resonates with the echo of all that belongs to mankind, time and nation. Because "the historical lesson that the American people have is that: a meaningful, great life is more than personal freedom and material adequacy, a happy life also includes the promotion. community relations and taking care of social concerns" (Bill 124).

We can see that, the ethical literary criticism is a comprehensive theory, with sets of concepts and arguments core, Professor Nie Zhenzhao confirms the truth that: "literature is fundamentally an art of ethics, and the primary function of literature is to offer readers moral enlightenment and moral lessons for the progression of human civilization." "To a large extent, in the field of literature, this slogan was a timely response to problems provoked by industrialization, commercialization and materialism, which had contributed to the betrayal or abandonment of ethical concerns and moral values" (Baker, W. and Biwu, S. 14).

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文学伦理学批评理论话语构建的术语批评路径及反思

Terminologie-critique in Academic Discourse Construction: As Exemplified by Ethical Literary Criticism

黄鑫宇（**Huang Xinyu**） 魏向清（**Wei Xiangqing**）

内容摘要：文学伦理学批评是我国当代文学批评理论研究的重要成果，也是颇具国际影响力的中国学术话语构建的积极尝试。该理论的有效传播，离不开作为其话语构建基础的术语体系之创建与完善。术语是学科知识的语言结晶，以术语为切入点，管窥文学伦理学批评知识体系与话语传播现状，可在一定程度上揭示出该理论话语构建的合理性、有效性和局限性，同时也可为中国人文社科学术话语创新构建提供术语层面的思考与借鉴。本研究结合语料分析、问卷调研与人工内省，从宏观与微观两个角度对文学伦理学批评的理论话语进行较为系统全面的考察与描写，一方面利用 Citespace 可视化工具、AntConc 话语分析工具和问卷调研，对文学伦理学批评理论的宏观知识体系、话语传播与学界接受情况做一总观考察，另一方面以“伦理选择”这一核心术语为例，深度描述术语在理论的知识发展、符号建立和话语传播中扮演的重要角色。在此基础上，本文进一步探讨我国人文社科学术发展过程中如何构建体系性、发展性和对话性兼备的术语系统，促进我国理论话语体系的创新形成。

关键词：文学伦理学批评；理论话语；构建；术语批评；反思

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Title: Terminologie-critique in Academic Discourse Construction: As Exemplified by Ethical Literary Criticism

Abstract: Ethical literary criticism is an important theoretical achievement in literature studies of China, which is also an influential practice of discoursal construc-

tion. Its global success shall not be achieved without the completion of its terminology system, which forms the underlying structure of its discourse body. On the one hand, with the aid of Citespace, Antconc Tools as well as online questionnaires, this study probes into the status quo of ethical literary criticism both at home and abroad. On the other hand, it describes the functioning of terminology in knowledge practice with the example of the kernel term "ethical selection/choice." The implication of this terminology-based critical study is that for bettering the academic discourse of ethical literary criticism, a coordinated, systematic and dialogic terminology system shall be constructed. The methodological significance attached to terminology, namely, the terminologie-critique, might also be applicable in the studies of Chinese academic discourse in general in contemporary times.

Key words: ethical literary criticism, literary theory with Chinese characteristic, terminologie-critique, academic discourse construction

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一、引言

作为当代文学研究领域的本土原创成果，文学伦理学批评理论自 2004 年提出以来已走过十六个年头。十六年来，该理论逐渐从区域性学术讨论发展为颇具国际影响力的文学研究之“显学”（张连桥，“范式与话语：文学伦理学批评在中国的兴起与影响”148），创建了原创性、时代性和民族性的理论话语体系（苏晖，“学术影响力与国际话语权建构：文学伦理学批评十五年发展历程回顾”36），其话语构建路径与方法值得借鉴参考与深入反思。所谓“话语”，从根本上讲就是术语、概念、范畴和言说方式所构成的表达体系（高玉，“论‘话语’及其‘话语研究’的学术范式意义”109），术语的创制、阐释和传播很大程度上影响了理论话语构建的广度与深度。

在现有中国本土原创理论中，文学伦理学批评无疑是最具“术语意识”的一支。术语意识是“在对术语的本质的科学认识基础上产生的对待与使用术语的学术自觉性”（郑述谱 104），这一学术自觉在文学伦理学批评话语发展中得以显现。该理论一方面广泛汲取跨学科资源，构建术语系统；另一方面在传播过程中寻找生发土壤，拓宽应用疆域，提升话语影响。从这个意义

上说，理论术语系统的建制、应用和传播是理论创新发展的生命力源泉。对这一“代表中国话语权崛起”（王金娥 4）的文学理论之术语系统发展现状进行深入描写与研究，不仅可反思该理论自身的合理性、有效性与局限性，还关涉当代文学理论话语构建与传播等重要议题。

术语是学术话语建制的基础单位，是知识网络扩展的关键节点和理论传播的模因，术语的关键作用在文学伦理学批评话语实践中有显著体现。学术话语构建是知识激活、体系建立到国际传播、拓展应用的复杂过程，既依托宏观层面术语系统的整体构建，也借助微观层面单个术语的知识表征和应用发展。作为一种反思性研究，本文基于真实语料，探讨文学伦理学批评术语系统的类型、关联和应用，并对其中核心术语个案进行焦点探索；辅以问卷调研[1]，了解学界观点，为解读这一理论话语提供新思路。这一批评方法对于探究该理论进一步发展的可能性，乃至探索当代人文社科知识实践路径均有所裨益。

二、文学伦理学批评理论话语构建的宏观术语路径

1. 文学伦理学批评术语系统形成

学术话语构建的实质是知识生产和理论创新，术语作为学科知识的载体，在理论创建与发展中扮演重要角色。文学伦理学批评理论创始人聂珍钊对术语的理论构建作用有非常明确的认识，创制了一批术语，并借助这批术语的系统性衍生出相应的理论话语体系。“文学伦理学批评的主要任务，就是运用其批评术语对文学作品进行分析和阐释”（聂珍钊，“关于文学伦理学批评”9），这些理论术语在《文学伦理学批评导论》的附录中得到集中系统阐释，为该理论话语体系构建打下坚实基础。

总体来看，文学伦理学批评的基础术语具有鲜明的系统性和跨学科性。“特定领域的术语须处于层次结构明确的系统之中，术语命名要保持系统性和逻辑相关性”（冯志伟 40）。就系统性而言，该术语系统以“伦理”和“道德”为主要构词词素（约占总术语的 47.17%），显化理论关注点，初步塑型学术话语指向。就逻辑相关性而言，术语通过语符形式和术语解释加强概念关联，构成知识网络。举例而言，“伦理建构”“伦理结构”“伦理解构”“伦理结”“伦理线”等构成文学作品伦理分析的批评术语，“人性”“人性因子”“兽性因子”“斯芬克斯因子”关涉人的本质复杂性。此外，由于该理论起源于对具体文本批评实践的关注（黄开红 117）并进一步深入文学的伦理本质问题，实践与理论结合的构建路径加强了各层级术语间的概念关联。例如，宏观层面的伦理选择（ethical selection）是由微观层面的个人伦理选择（ethical

1　我们于 2019 年 6 月 25 日至 7 月 12 日面向文学研究者开展了对中国文学理论认识的网络调研（网址：https://www.wjx.cn/jq/41930188.aspx）。有效填写 121 人，其中文学学习者 60 人，文学教学与研究者 55 人，文学爱好者 5 人。

choice）构成（王金娥 6），不理解具体的伦理选择就无法把握理论本体的伦理选择。从术语构成来看，该术语系统综合伦理学、哲学、心理学等多领域资源，融合中西古今多时空案例，奠定理论的跨文化跨学科发展范式。例如，“伦理选择”是自然科学中自然选择学说的衔接（张连桥、聂珍钊 24），“脑文本”是文本学、语言学、神经科学等跨学科思考的综合（王金娥 10）。跨学科术语资源奠定了该理论跨域发展的基石。

系统性与跨学科的术语资源体现了该理论的本体特征，为理论的知识实践和话语传播提供了基础符号资源。这对于“中国学术走出去”大背景下思考基础理论构建方式具有一定启发意义。与此同时，术语的应用及话语传播是理论体系发展的重要推动力，深入国内外术语应用情况的具体探究是该理论合理性与有效性研究的重要线索。

2. 文学伦理学批评术语的传播与应用

学科知识伴随理论话语旅行得以不断传播，而术语的使用则是这一过程的显性表征。文学伦理学批评的术语使用可大致分为国内应用与国际传播两方面，并通过各自的术语生态展现。国内研究中的术语应用往往以学术文献中关键词的形式出现，鉴于此，本文作者在“中国知网”中检索得到 2004 年以来以“文学伦理学批评”为主题的 941 篇文献，并运用文献计量软件 Citespace 可视化工具（Chen Chaomei）绘制关键词共现图谱（图 1）[1]。

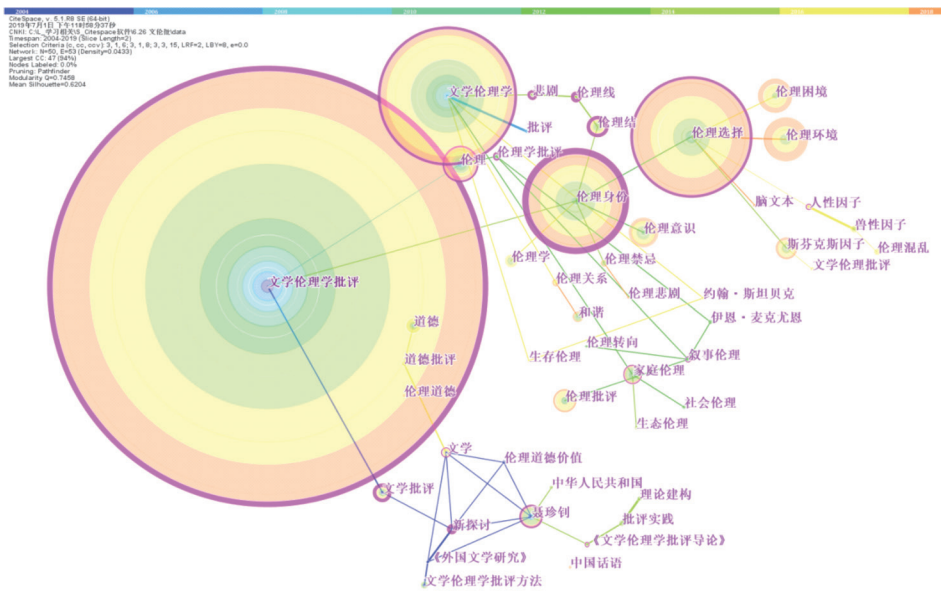

图 1　国内文学伦理学批评研究关键词共现图谱（2004-2019）

1　文献时间跨度为 2004 年 1 月 1 日至 2019 年 6 月 1 日，文献类别为学术期刊、博硕和会议论文。Citespace 知识图谱有两个度量指标，即模块化系数（modularity）为 0.4 至 0.8，轮廓系数（Silhouette）为 0.5 至 0.9 之间。图 1 的模块化系数为 0.7458，轮廓系数为 0.6204，均达到要求。

如图 1 所示，节点中的关键词覆盖并发展了文学伦理学批评的主要术语。系统的术语使用体现了国内学界对该理论价值的认可，文献中既有如“伦理道德”“伦理批评”“伦理选择”等理论本体话语，也有“伦理环境”“伦理线”“伦理身份”等作品分析方法论话语，还有“生存伦理”“社会伦理”“生态伦理”等跨学科借用或新创术语。上述不同类型术语集群中均含带深色外圈的关键节点，说明文学伦理学批评核心理论话语得到较为系统的运用。与此同时，理论的元理论定位和话语标记同样值得关注。图 1 下部的关键词如“中国话语”“理论建构”“伦理转向”等关键词共现体现了学界自觉的理论话语定位，这一定位进一步促进了基于该理论的知识再生产。一些学者基于本土批评实践提出了新术语，如图 1 中部关键词“和谐”“家庭伦理”等。国内文学伦理学批评话语实践的系统性、发展性、理论自觉性特征进一步显化于文献关键词图谱（如表 1、表 2）。

表 1　涉及研究维度的关键词 [1]

序号	关键词	关键度	频次
1	道德批评	0.09	17
2	伦理批评	0.08	37
3	叙事伦理	0.06	14
4	家庭伦理	0.03	21
5	作家作品	0.03	4
6	社会伦理	0.02	5
7	人与自然	0.02	5
8	文学理论	0.02	3
9	人与社会	0.01	9
10	生态伦理	0.01	5

表 2 涉及研究对象的关键词

序号	关键词	关键度	频次
1	伊恩 · 麦克尤恩	0.02	9
2	悲剧	0.01	7
3	福克纳	0.01	7
4	乔治 · 艾略特	0.02	3
5	科幻小说	0.01	3
6	谭恩美	0.01	5
7	世界文学	0.01	4
8	石黑一雄	0.01	4
9	托马斯 · 哈代	0.01	3
10	《红字》	0.01	2

可以看出，文学伦理学批评研究从伦理批评的视角出发，研究涵盖文学叙事、作家作品、人与社会、人与自然等研究维度，研究对象涉及科幻小说、悲剧、文学经典等多种文学类型与各时代各国著名作家。一方面，文学体裁与研究对象关键词种类丰富，彰显了该理论强大的方法论解释力。另一方面，新术语的阐发与运用反映了该理论本体构建的不断深化，“社会伦理”“政治伦理”“生态伦理”“叙事伦理”等关键词反映了“多元化批评”（刘建军 23）的理论走向。以上现象表明国内文学伦理学批评术语得到相对稳定的传播应用，这些术语在批评实践中的广泛运用也反哺于理论的知识再生产与传播。

以上分析一定程度上揭示了本土学术语境中文学伦理学批评的理论应用

1　筛选条件：每两年中被引前 10% 的文献关键词。

与发展现状。随着该理论的国际影响不断扩大，要了解其发展的真正样貌，需借助真实的国外学术文献语料进一步考察，进一步思考其后续发展及优化的问题。

考虑到文献来源的时效性、代表性与权威性，本文作者选取 Web of Science 核心合集收录期刊中由外国学者撰写或主要参与的文学伦理学批评相关英文论文、评论和访谈共 47 篇，整合成小型主题语料库，共计 266,317 词[1]，并借助语料分析工具 Antconc 提取主题词[2]（表 3），尝试分析文学伦理学批评术语的跨语应用情况。

表 3　国外英文文学伦理学批评文献语料主题词

序号	主题词	频次	主题相关度	序号	主题词	频次	主题相关度
1	ethical	1650	4313.11	17	scholars	136	355.404
2	ethics	744	1968.421	18	war	191	344.277
3	literature	1080	1402.97	19	perspective	157	343.86
4	moral	427	897.832	20	selection	153	343.284
5	Chinese	261	691.084	21	fiction	180	331.052
6	Japanese	230	607.765	22	western	153	308.212
7	novel	325	598.281	23	values	232	279.308
8	narrative	335	596.395	24	Korean	102	274.976
9	human	466	568.021	25	community	124	269.161
10	culture	331	529.994	26	choice	131	261.619
11	Nie	195	525.69	27	modern	205	254.8
12	translation	193	508.369	28	identity	152	245.115
13	love	231	466.029	29	children	123	227.874
14	story	238	443.269	30	philosophy	143	196.879
15	readers	241	364.929	31	Estonian	68	183.317
16	characters	188	357.049	32	alterity	61	164.447

1　Web of Science 核心合集是全球权威的学术信息数据库，包含 SCI、SSCI、A&HCI 与 ESCI 索引刊物。本研究选取 2004 年 1 月至 2019 年 9 月由国外学者发表或主要参与、以 “ethical literary criticism” 为主题的英文文献，文献来源分别为：《文学跨学科研究》（Interdisciplinary Studies of Literature）（13 篇）、《比较文学与比较文化》（CLC Web: Comparative Literature and Culture）（3 篇）、《阿卡迪亚》（Arcadia）（6 篇）、《世界文学研究论坛》（Forum for World Literature Studies）（8 篇）、《外国文学研究》（Foreign Literature Studies）（2 篇）、《哲学与文化》（Universitas: Monthly Review of Philosophy and Culture）（1 篇）、Interlitteraria（13 篇）、《泰晤士报文学增刊》（The Times Literary Supplement）（1 篇）。

2　指主题相关度为正、不含专名、且在三篇及以上文献中出现的实词。剔除的专名有 Nie，Zhenzhao 等人名，与 Japan，China，Korea 等地名，同一词的复数、形容词、副词形式仅统计主题相关度最高的一项。考虑到对照语料的规模与相关性要求，本研究将 Principles of Literary Criticism（Richards）, A Reader’s Guide to Contemporary Literary Theory（Selden, et.al），Literary Theory: An Introduction（Eagleton）的正文内容整合成为参照语料。

如表 3 所示，国外文学伦理学批评研究以“伦理”和“道德”为核心，伦理价值、视角在分析故事、小说、人物等方面发挥重要作用。此外，国际文学伦理学批评研究呈现东西学术交流的繁荣景象。一方面，如关键词 Japanese、Korean、Estonian、Chinese、Western 等所示，国外学者积极运用该理论开展多国文学批评实践，进一步拓展这一“国际认可的屈指可数的亚洲文学理论”（Marjorie Perloff, 转引自王金娥 4）的应用疆域。另一方面，国外学者既乐于使用我国原创术语（如 ethical selection 和 ethical choice 的高主题相关度），也阐释西方伦理批评概念（如表 3 中列维纳斯伦理学概念 alterity），体现了中西学术交流的特点。

此外，国际学界在理论接受的基础上进一步探索其发展可能，这一尝试集中表现为“伦理”相关核心术语的系统运用和新术语的创生。本文作者按照《文学伦理学批评导论》对文学伦理学批评理论的发展总结，将术语初步分为理论体系的基本理论术语与实践运用的批评术语，并以 ethical 显著词丛术语为例，统计各类术语在国外文献中的使用情况（见表 4）。统计发现，国外学界既高度关注和广泛应用已有术语，也生发了源于地方性批评实践的新创术语。“伦理选择、伦理价值、伦理两难”等高频术语反映了国外学界对该理论内核的认同，已有术语的跨界拓展与新创术语的出现表明该理论跨语旅行后出现了知识的再生产（如表 5，译文为笔者附）。例如，新创术语“伦理距离”将伦理观念与翻译学中译者和作者的文化差异有机结合（Anh 50）；新创术语“伦理告白”源于对日本现代小说形成中告白作为文学伦理手段的追溯（Inseop & Nie 25）。这些术语一方面通过跨界生长提升该理论话语影响力，另一方面整合跨学科资源反哺其理论建设。

表 4　主题形容词 ethical 的部分词丛术语及其类型

序号	术语类型		词丛	频次	序号	术语类型		词丛	频次
1	理论构建术语	元理论术语	ethical literary criticism 文学伦理学批评	317	10	批评应用术语	文学作品分析术语	ethical line(s) 伦理线	13
2			ethical selection 伦理选择	73	11			ethical question(s) 伦理问题	10
3			ethical value(s) 伦理价值	73	12			ethical situation(s) 伦理环境	10
4			ethical perspective(s) 伦理视角	26	13			ethical knot(s) 伦理结	9
5			ethical order(s) 伦理秩序	23	14			ethical conflict(s) 伦理冲突	7
6			ethical consciousness 伦理意识	17	15		人物分析术语	ethical choice(s) 伦理选择	100
7			ethical implications 伦理启示	7	16			ethical dilemma(s) 伦理两难	35
8			ethical education 伦理教诲	7	17			ethical identity(ies) 伦理身份	33
9			ethical taboo(s) 伦理禁忌	5	18			ethical confusion 伦理混乱	8

表 5　国外文献 ethical 词丛中的新创术语

序号	词丛	频次
1	ethical narratology 伦理叙事	28
2	ethical reading 伦理阅读	9
3	ethical fiction(s) 伦理小说	8
4	ethical confession 伦理告白	5
5	ethical distance 伦理距离	4

现阶段，文学伦理学批评的方法论价值已引起国外学者的广泛关注，但对其本体理论话语的理解与应用有待进一步深入，这在本研究掌握的语料中直观表现为关涉文学起源的重要元理论术语使用较为有限。例如，“脑文本”（brain text）这一涉及文学定义问题的术语仅出现 2 次，源于中国实践构建的新概念如“和谐”“家庭伦理”均未出现。这与国内相关术语运用的情形有较大差异。

从现有术语生态可以看出，文学伦理学批评的符号资源得到系统传播和发展。国内外学者通过对方法论术语的普遍运用和基于地方性知识的术语再创造，进一步推动该理论的知识再生产与话语传播。与此同时，从方法论回归认识论、本体论和价值论维度进行术语创造，或对已有术语重新阐释和界定是进一步发展术语体系的重要途径。以下术语应用的微观考察有助于进一步思考文学伦理学批评话语构建的深化问题。

三、文学伦理学批评理论构建的微观术语路径——以“伦理选择”为例

知识结构的建立依赖术语系统的应用与完善，而知识内涵的深化则依托术语个体的阐释和发展。所谓理论构建的“微观术语路径”，即是充分激活重要理论术语的知识属性、符号功能和话语策略，促进领域知识实践。作为文学伦理学批评的理论基础与核心概念，“伦理选择”在该理论的知识发展、符号建立和话语传播中发挥重要作用。以此管窥理论话语构建之微观路径，可对我国学术话语构建实践提供宝贵借鉴。

首先，术语是认知活动的工具和结果，是人对知识进行加工和结构化的产物（陈雪 55）。作为知识表达单位，术语通过概念叙述激活场域内的一系列知识结点，并成为新知识生发的起点，这在“伦理选择”的应用中尤为显著。该术语是对达尔文进化论的提升，认为“自然选择”（natural selection）确定了生物学意义上人区别于兽的形式，“伦理选择”（ethical selection）决定了伦理学意义上人区别于兽的本质（聂珍钊，《文学伦理学批评导论》 35）。术语阐释综合了《圣经》《俄狄浦斯王》《水浒传》等古今中外文学作品，是文学伦理学批评理论创新性的体现。一方面，该术语集中体现了人类文明从“自然选择”到“伦理选择”再到“科学选择”的发展逻辑，从哲学的高

度观照人类发展与文学本质，是“对进化论批评倡导的生物属性的‘普遍人性’说的有力批判”（金冰 90），“具有重要的认识论意义”（乔国强 24）。另一方面，该术语是文学伦理学批评理论的核心叙事结构：该理论本体研究“人如何完成伦理选择”与“文学如何促进伦理选择”，批评实践关注“人物如何进行伦理选择”与“伦理选择的启示意义”，“伦理选择”是理论知识表达的重要线索。此外，“伦理选择”概念的过程性、动态性与开放性使该术语在应用中实现多维拓展，触发相关知识的再生产。“伦理选择”与“自然选择”“科学选择”的过程性关系在该理论发展中得到进一步说明，如聂珍钊进一步阐述伦理选择与自然选择的关系，将婴儿的出生在伦理选择的语境中称为“伦理自然选择”（查尔斯 · 罗斯、杨革新 78）；尚必武（73）通过麦克尤恩小说分析揭示了科学选择与伦理选择的冲突。伦理选择的动态变化和影响因素也得到进一步探索，如李纲（55）讨论了儿童成长过程中伦理选择的渐进性与引导性；苏晖（“华裔美国文学中华人伦理身份与伦理选择的嬗变——以《望岩》和《莫娜在希望之乡》为例”53）勾勒了美国华人伦理选择的嬗变。此外，随着理论疆域的不断打开，“伦理选择”逐渐从文学人物的善恶选择向跨学科领域迈进。多种伦理选择研究视角出现，聂珍钊指出“社会伦理选择”“文化伦理选择”“心理伦理选择”等多维度开展文学作品分析的可行性（武月明、龙云 61），批评实践中也出现了类似表达，如曹莉（23）分析了后殖民批评的“政治伦理选择”，郑晓明（61）提出“人道伦理选择”，伦理选择的多样性是该理论兼容并包特点的表现。与此同时，术语外延有所拓展，例如个体意义上的伦理选择（ethical choice）超出了文学研究场域，拓展至社会现实中译者面临的翻译选择（Anh 47-48）中；整体意义上的伦理选择（ethical selection）在文本分析中聚焦为大众对文学类型的伦理选择（Gijae 399）。自聂珍钊 2006 年从伦理的视角指出哈姆莱特面临“一种两难的选择，更是一种伦理的选择”（聂珍钊，“文学伦理学批评与道德批评”15），到 2019 年确认“伦理选择是文学伦理学批评的基本理论”“伦理选择既是一个伦理学命题，也是一个基本的哲学命题”（张连桥、聂珍钊 22-23），“伦理选择”的理论广度与深度被不断拓展和深化，既是该理论构建的重要线索，也是批评实践的关注核心，形成开放广阔的知识空间。

其次，术语是概念的符号表达，术语符号的生成逻辑深刻影响理论塑型。作为符号工具的“伦理选择”以其具有标记性的符号形式及其蕴藏的对立统一、辩证转化的符号生成逻辑，贯穿术语系统形成。一方面，“伦理选择”统筹各层面具有“伦理”部件的核心术语。本体论层面，“伦理选择”与“伦理混沌”“伦理启蒙”“伦理意识”“伦理教诲”等共同解释了人与文学的伦理本质，构成基本理论术语体系。认识论层面，“伦理选择”受到“斯芬克斯因子”的制约体现了人的复杂性特征，其蕴含的二元思维模式关联一系列认识论术语如“兽性因子”和“人性因子”、“自然意志”和“自由意志”、“人性”和“天

性”等，并进一步影响批评方法论术语的运用。“伦理选择是文学作品的核心构成”(聂珍钊,《文学伦理学批评导论》267)，对具体作品中“伦理两难”“伦理身份”“伦理困境”的阐释都离不开对“伦理选择”（ethical choice）的理解与批评。一定程度上，文学伦理学批评即是关于“伦理选择”如何实现并表征于文学各层面的文学批评，“伦理选择”的理论能产性与符号衍生功能侧面印证了该术语“是所有术语的基础”（聂珍钊、黄开红 60）。

最后，术语并非纯粹形式化的符号系统，而是脱胎于日常生活的语言表达。“精确定义的、明确的术语只有嵌入语言的生活时才能生存并起到交往的作用”（伽达默尔 88），“伦理选择”（ethical choice/selection）在译介中结合多种话语策略，积极促进跨文化知识传播。一方面，“伦理选择”作为重要知识表征单元成为理论走向世界的重要媒介。据统计，术语 ethical selection 最早于 2013 年出现在国际英文期刊中，作者尚必武通过评介聂珍钊自选集《文学伦理学批评及其它》，较系统地译介了该理论的核心术语（Shang，“Ethical Criticism and Literary Studies: A Book Review about Nie’s Work” 19）。书评发表后的两年时间，文学伦理学批评开始广泛进入国外理论视野，ethical choice/selection 作为理论的“主要观点和核心话题”（core issues and major arguments）（Shang，“The Rise of a Critical Theory: Reading Introduction to Ethical Literary Criticism” 26）频繁出现在国内外学者的理论阐述中（如 Nie 94-97；Liu 14；Yang Jincai 35-36；Yang Liu 173；Ross）。另一方面，“伦理选择”复杂性的集中体现 —— 术语“斯芬克斯因子”在理论推介中发挥了独特而重要的作用。这一隐喻型术语既形象地表现了自然选择至伦理选择的文明发展，也体现了伦理选择中人性与兽性的共存和博弈。“斯芬克斯因子”的创制灵感来自对西方神话的全新解读，术语在保留人兽结合的希腊神话形象的同时，赋予其人兽因子相生相克的中国哲学特质，这一中西结合的新神话形象促使海外学者更好地认识这一文化母题，加深对“伦理选择”复杂性的理解。例如，《泰晤士文学增刊》发表的评论文章附上大幅斯芬克斯像，着力描写“伦理选择”与“斯芬克斯因子”的理论关联（Baker & Shang 14）。挪威学者 Knut 解读半人半兽的斯芬克斯形象表达了人类思想中的文明与兽性的持久冲突（Chen Lizhen 393）；韩国学者 Youngmin 认为“斯芬克斯因子”创造性地用中国特有的方式表现了人的身心融合，斯芬克斯之谜象征了伦理选择（Chen Lizhen 397）。通过中外学者的共同努力，以“伦理选择”为核心的术语集群得到广泛关注，使文学伦理学批评理论走出国门后被迅速捕捉接受，该术语也成为理论国际传播的重要模因。“伦理选择”是自然科学进化论思想与伦理道德批评传统的融合，该术语的传播使中西地方性知识在互动中生成新的普遍性知识，进入新的话语实践。

文学伦理学批评核心术语“伦理选择”贯穿理论话语的表达建立与传播应用各阶段，奠定其发展的坚实基础。术语作为话语实践的符号工具，同样

也是反思与指导进一步理论构建的批评工具。我们不妨借助术语批评路径，直面理论发展中的问题，进而思考中国学术话语构建的特殊复杂性。

四、文学伦理学批评理论构建的术语批评与反思

所谓“术语批评”(terminologie-critique)，“主要是就术语在学术话语构建中的思维性工具价值而言的，即基于术语的认知功能和社会功能，对学术话语的本体与应用价值进行系统描写、评价与反思。”（刘润泽、魏向清 78）基于这一路径，结合问卷调研结果，本文作者认为，术语作为话语构建的工具与知识体系外显形式，可在改进语言形式、促进知识再生产与优化话语方式三方面发挥重要作用。这不仅是促进文学伦理学批评理论发展的关键，也能为我国未来学术话语建设提供有益参考。

首先，术语体系的合理性是语言形式层面的重要考虑。术语体系合理性既包括单语中的术语系统充分性，也包括多语术语协调性。问卷调查中，文学研究者普遍认同术语系统在文学理论创新中的关键作用[1]。作为理论世界的“符号之网”（卡西尔 33），术语很大程度上规定了理论如何认识世界。因此，建立术语系统不是“造词运动”（沈壮海 103）或制造“概念木乃伊”（高玉，“文论关键词研究的多重维度”149），而是打磨记述思想的工具，具体到文学伦理学批评理论的话语实践中，即是在把握理论体系的基础上创造术语。聂珍钊曾批评盲目的术语扩展现象，认为在不清楚定义的情况下创造术语是对理论的误读与偏离（王金娥 11）。“文学伦理学批评的话语体系是以伦理选择为核心并由相互关联的术语构成的”（武月明、龙云 60），新术语的创造须基于对“伦理选择”核心概念的深刻理解，并遵循“专业性、理据性、简明性、稳定性、准确性”（冯志伟 64）等术语命名原则。同时，理论术语的多语协调也值得关注。“术语协调”是指在不同语言间确立术语的对应关系，实现术语国际化（格里尼奥夫 126-131），分为系统层面和使用层面。在系统层面应着力解决中外术语系统不对等问题。例如，ethical choice 与 ethical selection 的适用对象与使用层面不同，但都对应“伦理选择”，易引起概念混淆。此时可做必要的术语分离，保证术语单义性。在使用层面，依据术语的国际应用情况适时进行术语补充和调整。例如国外学者多使用 ethical situation(s) 指称“伦理环境”，少用中国学者定名的 ethical environment[2]。对此可借助学术期刊、专著等载体，系统译介、整理、修订术语及译名的使用语境，通过统一术语强化学术共同体的联系。

其次，理论深度和学术价值是知识层面的核心考量，激活术语的知识生

1　87.6% 的受访者认为成熟的文学理论应有一套专门的术语范畴系统；90.08% 的受访者认为建立具有辨识度的核心术语范畴与话语体系是中国特色文学理论创新的关键。

2　本文收集的外国学者文章中 ethical environment 出现 3 次，ethical situation(s) 出现 10 次。相比之下，中国学者的英文文章中 ethical environment 出现频率更高，仅在 3 本 A&HCI 期刊（Arcadia、CLC Web、Interdisciplinary Studies of Literature）的收录文章中出现多达 42 次。

产机制是理论优化的有效方式。这里的“知识生产”并非失却主体价值的“来料加工式的机械制作”（赖大仁 19），而是从实际问题出发、具有学理深度和价值信念的知识表述。本研究的问卷调研结果显示出学者们对理论发展的期待[1]，呼应了激活术语知识生产功能的两条路径。其一是拓展该理论的应用疆域，在批评实践中反哺理论建设，“进一步完善术语范畴体系”。在当下，文学伦理学批评的研究对象已从经典文学文本拓展至戏剧、电影、译作等多元体裁，在不断证实方法论术语解释力的同时拓展对术语的认识。以“斯芬克斯因子”为例，有学者通过论述“政治伦理”，说明组织国家层面的“斯芬克斯因子”复杂性（徐彬 89-90）；也有学者通过文本分析，挖掘“人性因子”和“兽性因子”之外的“斯芬克斯因子”新要素——“神性因子”（吴笛 255）。斯芬克斯的神话形象也成为知识生产的源泉，例如有学者分析斯芬克斯女性形象的文学伦理批评意义（张欣 112）。正如本研究问卷调研中有学者建议，文学伦理学批评可“进一步说明该理论独特的解释力”，以术语为工具“对现有文学现象与问题进行深入探究和反思”是理论发展的重要途径。其二是“广泛吸纳跨学科研究成果”，阐释理论基础术语，构建系统的文学理论体系。2010 年后的文学伦理学批评“从方法论拓展为包括文学本质论、功能论及价值论的系统理论体系”（李茂增、温华 70），这与学者们对本体论与价值论术语的深入阐发不无关系。例如，“脑文本”揭示了文学物质性与文学教诲功能的实现机制（聂珍钊、王永 174；张连桥，“文学伦理学批评：脑文本的定义、形态与价值——聂珍钊访谈录”86），是“最具原创性与独特性”的概念（李茂增、温华 72）；对“科学选择”的阐释揭示了人工智能时代伦理问题的复杂性，也为解读科学与伦理的关系提供新的视角。诚如本研究问卷调研中有学者建议，“要抓住伦理批评的核心概念深入阐释，形成深度理论资源”，术语的知识生产应基于对基础概念的深刻理解，结合跨学科资源，拓展理论疆域，增加理论深度。

最后，对话性是话语实践的指向，也是中国学术话语构建的内在要求。学术话语构建之最终目的是人类知识的平等交流，作为话语基础的术语不仅具有工具理性的方法论意义，更具有价值理性的主体性意义。在当今学术语境下，这一主体性集中体现为主体意识表达诉求和主体间交往诉求。前者致力于打破西方话语垄断，争取话语权；后者维护多元文化，确立话语共识以达成平等交往。历经十六年的发展，文学伦理学批评有望“成为 21 世纪的主要批评力量”（Chen Lizhen 299），其话语权确立意义毋庸置疑。在理论普适性得到广泛验证的今天，文学伦理学批评可尝试从地方性知识中汲取资源，

1　在对文学伦理学批评有所了解的 87 名受访者中，51.72% 认同该理论是世界范围内重要的文学理论；51.73% 认同该理论是具有中国特色的文学理论。而就该理论的未来发展，68.97% 认为该理论应进一步完善术语范畴体系；67.82% 认为应吸纳跨学科研究成果；59.77% 认为应吸纳国外研究成果；51.72% 认为应增加具有中国特色理论元素。

促进多元文化的对话。本研究问卷调研中，不少学者表达了对中西理论平等对话的希冀[1]，“加强彼此了解与对话，避免一叶障目”。落实在术语上，一方面可在对话的基础上适当提出具有文化身份性的术语概念，例如聂珍钊在“斯芬克斯因子”的基础上补充了“伏羲女娲因子”（张连桥、聂珍钊 25），说明人兽共体的文化普遍性。在此基础上，可尝试发现“异质性”，对比中西古代人兽神话形象体现的文学伦理思想。另一方面，可挖掘古代文论范畴与概念，基于中国文学研究现实，“在西方文论的盲区开创新的理论模式和方法论”。本研究问卷调研结果显示了我国传统资源的重要性[2]，有学者指出“要挖掘自己的传统理论”“继承传统文论的精华”“基于前人的思想基础构建出有创新性的理论体系”。在此基础上，如果说“文学伦理学批评的对象是文学作品中表现出来的‘关系’及其存在的‘法则’”（乔国强 26），那么儒家经典中的关系伦理术语如“仁”“三纲”“亲亲”等也可在文学伦理学的框架下重新阐释，激活本土伦理核心思想。“‘存异’的价值在于打破‘求同’的单向性”（刘润泽、魏向清 78），“全球本土化”时期的话语实践应适时凸显中国本土思想，实现真正意义上的“中国学术走出去”。

五、结语

本文基于术语批评路径，从宏观术语结构与微观术语应用两方面描述文学伦理学批评理论的话语构建现状，评价这一新兴理论体系发展的路径合理性，借此反思现阶段该理论话语在内容、结构和译介等方面的局限性与优化可能。这一术语批评路径对拓展理论知识实践研究思路或有一定参考价值。

文学伦理学批评理论发展面临的问题一定程度上反映了我国人文社科学术话语构建的共性问题，即话语系统本土性和世界性之间的复杂关系。由于西方对文化资本的长期把持，即使在后殖民运动兴起的今天，国际学界总体上仍遵循西方主导的话语逻辑；但与此同时，中国学术知识遵循不同的发展路径，需要独特的话语体系实现自我表达。这一矛盾是我国学术界长期以来面临的难题。是言说他者以被接受，还是自说自话以求独立，亦或努力对话以求互鉴融通，文学伦理学批评以其理论发展过程做出示范，也留给学界更多的反思空间。如何让身处“低势位”的学术文化走向前台是中国人文社科理论知识实践应着重思考的现实问题，术语作为知识实践、理论构建与话语传播的工具，其作用机制值得进一步关注与探索。

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1 受访者中，82.64% 认为我国文学理论与西方文学理论总体上缺乏平等对话；81% 认同我国传统文论必须与国外文论有机结合才能实现文论创新。

2 受访者中，90.92% 认为传统文论的传承与译介对中国文学研究走出去非常必要；85.95% 认为中国传统认识论与价值论思维模式是中国特色文学理论创新的关键。

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论卡拉姆津小说中的感伤主义伦理思想
A Study of Karamzin's Sentimentalist Ethical Thought

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内容摘要：18 世纪俄国著名作家卡拉姆津具有深邃的感伤主义伦理思想。他所创作的《一个俄国旅行者的书简》、《贵族女儿娜塔莉娅》和《可怜的丽莎》等一系列中长篇小说，传达了其独特的伦理思想。卡拉姆津感伤主义伦理思想的精神实质，主要包括两个部分。一是坚持以敏锐的思维和“一颗善良的温存的心灵”来抒写人类的苦难和“人类不幸的历史”，激发人们的宽恕与同情。不过，他主要探索的，是怎样摆脱人类不幸历史命运这一思想的桎梏，走出伦理困境，获得对自由平等的理想社会的眷恋与向往；二是主张在摆脱伦理困境的同时，力图成为理想的伦理楷模。为了实现这一选择，必须强调公民义务和公民责任，只有服从于社会和国家的利益，才能摆脱小我，从根本上走出伦理困境，达到理想的境界，从而赢得社会的尊重和生存的意义。
关键词：卡拉姆津；小说创作；伦理困境；伦理思想
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Title: A Study of Karamzin's Sentimentalist Ethical Thought

Abstract: Nikolay Karamzin was a famous Russian writer of 18th century with a deep sentimental ethical thought. His novels and novellas such as *Letters of a Russian Traveler*, *The Aristocratic Daughter Natalie,* and *The Poor Lisa*, express his distinctive ethical thought. The essential spirit of Karamzin's ethical thought includes two aspects. Firstly, he insisted on the expression of human misery and "the unfortunate history of the mankind" with the keen thinking and "a kind and affectionate heart" in order to motivate the forgiveness and sympathy. Besides, what he explored is how to cast off the spiritual shackle of historical destiny of the unfortunate mankind, get rid of the ethical dilemma, and realize the yearning for the equal and ideal society. Secondly, he laid stress on civil duty and citizen's responsibility in order to be subordinated to the community and the country, and become the ideal example or moral model. He thought that only in this way could

the people walk out from the ethical dilemma, achieve the desired state, win the respect from the society, and gain the significance of living.

Key word: Nikolay Karamzin; fiction writing; ethical dilemma; ethical thought

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18 世纪俄国著名作家尼古拉·卡拉姆津在长篇小说《当代骑士》的第四章中写道：“到处都有斯芬克斯之谜，甚至连俄狄浦斯本人也无法回答。玫瑰虽然凋谢，荆棘却留存下来……一个幸运的青年的生命，本可以称为命运和自然的微笑，却可以像流星一样，在瞬间之内凋亡”（Карамзин Т.1 761）。卡拉姆津的话语中蕴含着对人类经过自然选择之后的深沉的困惑以及浓郁的感伤。不过，虽然他的这段话中蕴含着感伤的情调，但是，却充满了哲理性的表述，表达了他对美好的人类命运的诉求。

一、作家“需要有一颗善良的温存的心灵”

斯芬克斯是“人类从猿进化而来的艺术写照，是人类完成自然选择后的最初的形象”（聂珍钊 37），然而，她确是人兽共体的形象。俄狄浦斯虽然揭开了斯芬克斯之谜的谜底，突出了“人的存在”，斯芬克斯从而觉得自己虽然有了人的脸部，有了人的头脑，已经不同于兽，但是，“由她的狮子身体和蛇尾所体现的原欲又让她感到自己无异于兽”（聂珍钊 37）。所以，斯芬克斯之谜虽然破解，人的自然选择业已完成，但是，斯芬克斯所体验的“究竟是人是兽”的存在的困惑，依然困扰着人类。人性因子和兽性因子的抗争依然存在。作为人在进化过程中残留身上的兽性因子，受到原欲的驱动，依然存在于人类社会，所以，俄国作家卡拉姆津抱着感伤的情调，哀叹人类世界到处存在的未被俄狄浦斯“破解”的斯芬克斯之谜。在他看来，要想真正破解斯芬克斯之谜，作家应当具有一颗感知人类不幸历史的善良的心，应该与人类同甘苦共命运，以敏锐的思维与善良的心灵感受并且抒发人类的苦难。

在其思维活动中，卡拉姆津总是以自己的作品呈现自己的感伤主义的伦理思想。卡拉姆津不仅是一位在诗歌创作领域和小说创作领域都体现了俄国感伤主义文学成就的作家，而且在俄国感伤主义文学理论方面同样为这派文学的发展做出了应有的贡献。在一篇题为《一个作家需要些什么？》（«Что нужно автору? »）的文章中，卡拉姆津论述了感伤主义文学的基本特性。他写道：“人们说，做一个作家需要才华和知识，需要敏锐的思维和生动的想象。说得正确，但是这些远远不够。作家还需要有一颗善良的温存的心灵……你要想成为一个作家，那么请你读一读人类不幸的历史，—— 如果你的心并不

为此滴血，那么你最好把笔丢在一旁，否则这支笔只会向我们描绘你心灵的冷酷与阴暗 "（Карамзин Т.2 120-121）。由此可见，怀有 " 一颗善良的温存的心灵 " 来呈现 " 人类不幸的历史 "，是卡拉姆津的感伤主义伦理思想的精神实质。卡拉姆津特别强调感伤情调所具有的重要意义，在他看来，对于一个作家而言，最为重要的不是生动的想象等艺术才华和创作技巧，而是要心地善良，感知人类的不幸，抒写人类的苦难，激发人们的怜悯与同情。

卡拉姆津所创作中篇小说《叶甫盖尼与尤利娅》(«Евгений и Юлия»)、《贵族女儿娜塔莉娅》（«Наталья, боярская дочь»)、《可怜的丽莎》（«Бедная Лиза»）以及长篇小说《一个俄国旅行者的书简》（«Письма русского путешественника»），充分表明他是一位具有敏锐的伦理思维，善于感受人类苦难的具有感伤主义伦理思想的作家。

在长篇小说《一个俄国旅行者的书简》中，就有这样明晰的感伤主义伦理思想。卡拉姆津也因该小说而被誉为 " 俄国长篇小说之父 "(Сиповский 5)。这部作品与作者在国外旅行的印象直接相关，同时，也显然受到了英国小说家劳伦斯 • 斯特恩的《感伤的旅行》的影响，尤其在小说形式和基本构思方面。当然，德国著名作家歌德的中篇小说《少年维特的烦恼》，对卡拉姆津以及当时的俄国作家所产生的影响也是显而易见的。《少年维特的烦恼》于 1781 年在圣彼得堡翻译成俄文出版，译者是加尔森科夫。"《少年维特的烦恼》像在欧洲其他任何地方一样，赢得了读者热切的阅读，并且也被作家所效仿 "（Frank 146）。由此可见，卡拉姆津在随后的 90 年代的文学创作，对歌德创作的形式上的借鉴以及思想情绪上的影响也是不能忽略的。

卡拉姆津的《一个俄国旅行者的书简》是一部书信体小说。书信体小说这种艺术形式为直接表达心绪和传达情感提供了最大的可能性。在小说中所叙说的一切，对周围的世界、自然、人们以及事件的感知，全都是通过主人公的感觉展现出来。主人公兼叙述者的基本特性就是紧张的感觉和思维。他深深感到与友人的别离，觉得自己孤独无援，遗弃他乡。如在第一封信中，作者深重地感到自己与祖国以及亲人的疏远。然而，旅行者在途中所遭遇的困难却又使他摆脱了其他郁悒的情绪。

在《一个俄国旅行者的书简》中，占有支配地位的是抑郁的心情，主人公总是陷于伦理困境，有时候，甚至令人感到，作者似乎不允许自己欢快，不让自己获得愉悦的思绪。当然，卡拉姆津在作品中主要探索的，是怎样努力摆脱人类不幸的历史命运思想的桎梏，走出伦理困境。所以，在这部作品所体现的伦理思想中，主要是传达作者对生活和幸福的独到的理解。在作者看来，真正幸福的人，应当具有一颗纯洁的心灵，他不去企求命运的过多的给予，而是善于与自己和平地相处。幸福的基础 —— 是拥有人与人之间的愉快的交谈，拥有对大自然之美的感悟，此外还有爱情的欢乐。这样的幸福是每个人都能够获得的，毫不取决于一个人的社会属性，也不取决于人物所处

的历史时代。可见，在这部基调感伤的作品中，又渗透着哲理的思考，并且有着对自由平等的理想社会的眷恋与向往。

卡拉姆津的伦理思想常常通过塑造理想的人物形象进行体现。在中篇小说《叶甫盖尼与尤利娅》中，他就塑造了一系列类似的人物形象。其中的三个主人公都是卡拉姆津所理想的人物形象，作品中的 L 夫人是一个理想的母亲，她将全部的热忱倾注于孩子的教育，尤其是关爱自己的养女尤利娅的成长。同样，叶甫盖尼与尤利娅也是理想的青年，富有爱心，乐于助人，心地善良，深受人们的爱戴，甚至受到庄园里的农奴们的爱戴。这部作品“被誉为俄国文学史上的第一部感伤主义小说”（Hammarberg 132），尽管该作品的叙述者“我”还不像后期作品那样典型，但是其基调是感伤的，尤其是当叶甫盖尼在国外读书的时候，他与 L 夫人以及尤利娅的信件成了两个女人之间的巨大的慰藉。然而，爱情的欢乐敌不过命运的无常，叶甫盖尼的疾病与死亡增添了小说的伤感。尤其是在小说结束的时候，尤利娅待在叶甫盖尼的坟头，她的泪水浇灌着叶甫盖尼坟头的花朵。《叶甫盖尼与尤利娅》这部作品所具有的爱情题材以及其他一些感伤主义要素在后来的《可怜的丽莎》等作品中得到了进一步的拓展。

正是因为作家有一颗“善良温存的心灵”，所以卡拉姆津在作品中祈求的是后来被普希金等作家所承袭的宽恕与同情。而且，这一“同情”也在一定程度上承袭了英国伦理学家大卫•休谟的同情主义伦理思想。“在休谟看来，道德情感既不来自先天的自私心，也不来自先人的利他心，而是由同情产生的”（刘伏海 240）。在《可怜的丽莎》中，就充满了这样的人道主义的同情，作者以自然法则与社会法则进行对照，对贫富差别和社会鸿沟进行反思和批判。男主人公艾拉斯特是一个贵族青年，头脑聪明，心地善良，但是他性格软弱，行为轻佻。他本想与世俗的传统观念进行抗争，所以，他能够被女主人公丽莎的质朴的美所感染，深深迷恋于她。在艾拉斯特看来，一个人的出身是无法选择的，也是无关紧要的，最为重要的是一个人的心灵。然而，他又无法摆脱阶级的鸿沟，也难以消除阶级的偏见。当他决心与丽莎相爱并且山盟海誓的时候，所表示的也是要等丽莎的母亲去世以后，他才有可能娶丽莎，与她一起生活。这一前提本身就是对平民百姓的一种藐视。而他在部队里输光了家产的时候，他同样也不打算心甘情愿地选择爱情，与贫苦的丽莎一起生活，而是选择与他所不爱的一位上了年纪的富孀结婚，以便获得金钱，继续贵族的生活。可见，爱情在金钱面前不堪一击，艾拉斯特所选择的不是爱情和朴质的生活，而且金钱与贵族的生活方式。丽莎得知艾拉斯特变心之后，顿时觉得心灰意冷，最后她在与艾拉斯特曾经幽会过的老橡树下，投水自杀身亡。而且，更为令人悲痛的是，丽莎的母亲也因过度悲痛而死。那么，究竟谁是造成这一悲剧事件的凶手呢？尽管艾拉斯特也感到伤心，觉得自己就是造成丽莎悲剧的凶手，但是，真正造成丽莎悲剧的，不是作为个体的艾

拉斯特，而是当时普遍存在的社会偏见和传统的观念。从这一意义上讲，丽莎的悲剧不是她个人的悲剧，而是社会的悲剧。即使是活下来的艾拉斯特，一生也是在痛苦中度过的。我们从小说的最后一段的描述中同样可以看出艾拉斯特的“可怜”之处：“艾拉斯特直到生命的最后时刻都郁郁不欢。得知丽莎的悲剧命运之后，他无法控制自己，认为自己就是杀人凶手。在他临死前一年，我认识了他。他亲口跟我讲了这个故事，并且领我去了丽莎的坟墓。——现在，也许，他们已经和好如初了”（Карамзин T.1 621）。

从这一段的描述中，我们可以看出其中悲剧的普遍性。作者向我们强调，我们所读的整篇作品，原来就是艾拉斯特自己讲述的，其实就是艾拉斯特自己所作的忏悔！而小说的叙述者，不过是故事的转述者而已，不过是将艾拉斯特口头的忏悔变成了文字的陈述。正因如此，俄罗斯评论家贝科夫甚至认为：小说中最可怜的，莫过于艾拉斯特，小说的标题甚至可以理解为“可怜的艾拉斯特”（Берков 5）。

二、摆脱伦理困境，成为伦理楷模

和谐的社会理想取决于理想的伦理结构。“伦理结构指的是以人物的思想和活动为线索建构的文本结构”（聂珍钊 260）。在伦理结构中，人物之间的相互关系是重要的一环，在卡拉姆津看来，和谐的家庭，是理想的家庭伦理的基础，然而，在卡拉姆津的笔下，复杂的家庭变故、多变的人物关系，常常使得他笔下的主人公处于一种伦理混乱之中。如何从伦理困境中摆脱出来，从而成为具有感化作用的伦理楷模或道德榜样，是卡拉姆津的中篇小说《贵族女儿娜塔莉娅》的主要意蕴。这篇小说所揭示的伦理困境体现在贵族女子娜塔莉娅在父爱与恋情的情感选择方面。如同 19 世纪普希金《别尔金小说集》中的贵族女子，在情人和父亲之间，女主人公选择情人而深深地伤害了父亲。尽管这部中篇小说的结尾不同于《可怜的丽莎》，没有了那样的悲剧的结局，但是，在作品的主人公及其经历中，依然有着感伤的情调。

这种感伤情调尤其体现在贵族老爷安德烈耶夫身上。作为莫斯科的一位富裕的贵族老爷，他慷慨好客，聪明能干，因而深得沙皇的信任。然而，令人无比遗憾的是，这位年过六旬的贵族老爷，却早已失去了自己的爱妻，于是女儿娜塔莉娅成了他唯一的安慰和欢乐的源泉。可是，随着娜塔莉娅逐渐长大成人，并且有了自己的恋情，她也不再依恋于父亲的宠爱。于是，终有一天，她与一个心爱的男子一起离家出走，住进了密林深处，留下来的年老的安德烈耶夫格外孤独凄凉。

当然，作品是以“贵族女儿娜塔莉娅”作为书名的，为了加深安德烈耶夫所受的伤害，卡拉姆津在小说开头部分就以独特的笔触，颂扬娜塔莉娅这位出类拔萃的贵族女性的形象。作品中的开头部分，她被描写成谁都无法与她媲美的温顺的姑娘：“我们美丽的娜塔莉娅拥有一颗美丽的心灵，她像鸽

子一样温柔，像天使一样纯洁，像五月的气候一样可爱，总之，她是拥有一切美好品质的姑娘……”（Карамзин T.1 626）白天的时候，娜塔莉娅常常不停地做些手工活儿，到了晚上，她则与其他姑娘们一起玩耍。一个老保姆，也就是她已故母亲的忠诚的女仆，现在像母亲一样对她照管。娜塔莉娅心地纯洁善良，成了她父亲失去爱妻之后极大的安慰：“日祷之后，娜塔莉娅总是分发几个戈比给贫穷的人们，然后走向自己的父亲，带着温柔的爱恋亲吻他的手。看到自己的女儿一天天变得更为美丽更为温柔，老人家简直高兴得热泪盈眶，不知道该如何感谢上帝馈赠了这样的无价之宝”（Карамзин T.1 628）。

然而，这一切未能长久持续。娜塔莉娅少女时代的无忧无虑，结束于恋爱时节所陷入的伦理困境。在她生命的第十七个春天的时候，她突然发现，大地上所有的生物都是成双结对的，于是，爱的需求在她的心中逐渐萌生，爱的意识在她身上得以苏醒。她从而变得忧伤，常常沉思默想，因为她不理解自己心灵的朦胧的愿望。在一个冬天的日子里，当她上教堂做日祷的时候，她在教堂里发现了一个英俊的年轻人。她立刻明白，这就是她的心灵的归宿。于是，她默默地听从心灵的呼唤，出于对恋人的情感而断然抛开了自己的父亲。但她的这一摆脱情感困境的行为，却让自己陷入了伦理混乱。她如同普希金《驿站长》中的杜尼娅，不顾养育之恩以及生父的不幸，跟随恋人私奔。

她所选择并跟随私奔的小伙子是阿列克塞。一连几天，阿列克塞总是将姑娘送到她家门口，不敢先开口说话。还是保姆安排两者相见。阿列克塞向娜塔莉娅表白了爱情，并且劝说她与他秘密结婚。因为阿列克塞担心，她的贵族父亲是不会认他这个女婿的，所以向娜塔莉娅承诺，等到他们结婚以后，他们再恳求安德烈耶夫答应他们的结合。

他们两人说服了保姆，当天晚上，阿列克塞将娜塔莉娅带到了一个古老的小教堂里，一位上了年纪的神甫为他们举行了简朴的婚礼。随后，新婚夫妇带上了年老的保姆，来到了丛林深处。在一间小木屋里，他们住了下来。

作者卡拉姆津为了体现感伤主义伦理思想，在这传统的悲凉故事中，却安插了一个道德榜样。阿列克塞并不类似于《驿站长》中的骠骑兵。生活在深林中的时候，阿列克塞承认，说自己是被贬黜的贵族刘波斯拉夫斯基的儿子。三十多年前，一些知名的贵族联合起来反对年轻国家的合法政权。阿列克塞的父亲没有参与暴动，但是因为遭到诽谤而被捕。不过，忠诚的朋友为他打开了牢狱的大门。这个贵族父亲从牢房里逃跑了，在异乡生活了多年，最后在唯一的儿子的怀抱中离开了人世。阿列克塞安葬了自己的父亲，回到了莫斯科，为的是要重新恢复家庭的荣誉。好心的朋友在密林地带为他建造了一处避难所。住在深林避难所的时候，阿列克塞经常去莫斯科，正是有一次在莫斯科，他遇到了娜塔莉娅，并且爱上了她。与此同时，贵族老爷安德烈耶夫发现了女儿的私奔之事，极度悲伤。他将阿列克塞所写的离别信拿给

沙皇看。看了信后，沙皇立刻命令手下人马帮助寻找自己忠诚奴仆的女儿。沙皇人马一直搜查到树林附近，但是都没有获得成功。在这段时间里，娜塔莉娅与自己亲爱的丈夫以及保姆住在密林深处，过着幸福的生活。

然而，出乎自然的男女恋情只是自然选择的延伸，难以获得真正的幸福。“在人通过自然选择获得人的形式之后，人仍然处于伦理混沌之中，只有经过伦理启蒙，人才能产生伦理意识，进入伦理选择的阶段”（聂珍钊 258）。娜塔莉娅的行为充分说明了这一点。她尽管过着美满的幸福生活，尽管做出了舍弃父亲投向情人的抉择，但是，她依然陷入沉重的伦理困境，这个做女儿的无法忘记自己的父亲。她力图从伦理困境中解脱出来，如何解脱呢？作者卡拉姆津通过这一人物表达了自己的崇高的伦理思想：以对公民义务的服从驱除属于小我范畴的个人情感困境。于是，在卡拉姆津笔下，娜塔莉娅开始托人了解有关贵族父亲的信息。正是在与外界接触的过程中，她和阿列克塞了解到了一个重要的消息：他们的国家爆发了与立陶宛之间的战争。阿列克塞决心参与战争，以便为自己的家族恢复名誉。他决定将娜塔莉娅托付给她的父亲，但是，娜塔莉娅坚决反对，她不愿与丈夫分离，于是，她女扮男装，自称是阿列克塞的弟弟，与他一起奔赴战场。

小说的结局是一个欢快的结局。娜塔莉娅与阿列克塞的婚姻终于得到了父亲的同意。经过一段时间的战争，信使为沙皇带来了战争获得胜利的消息。随后，战争指挥官向沙皇详细报告了有关战争的情况，并且讲述了一对勇敢的兄弟的英雄事迹，正是兄弟两人毫不顾及个人的安危，率领大家英勇地向敌人发动进攻，从而掌握了战争的主动权，赢得了战争最后的胜利。沙皇亲切地会见两位英雄，于是得知其中一位是被贬黜的贵族刘波斯拉夫斯基的儿子。沙皇其实已经从最近死去的一个暴乱者的口中得知刘波斯拉夫斯基是被人陷害的。而贵族老爷安德烈耶夫惊喜地发现，“两兄弟”中的另一个英雄正是他的女儿娜塔莉娅。于是，沙皇和贵族老爷原谅了两个年轻人擅作主张的婚姻。他们回到城中，重新为年轻的夫妇举行了婚礼。阿列克塞成了沙皇身边的红人，而贵族老爷安德烈耶夫最后也在子孙的呵护下，安详离开人世。

为了增强故事情节的真实性，卡拉姆津在小说的开头和结尾都安排了“讲故事的人”的角色。这个讲故事的人具有怀旧的心理，为了再现昔日的荣光，他决定转述他祖父的祖母所讲过的故事。而且，在时隔一个世纪以后，这个讲故事的人还在一座古老的教堂墓地找到了铭刻着娜塔莉娅和阿列克塞这对夫妇姓名的墓碑，而这座小教堂，正是他们第一次举行婚礼的地方。

结语

卡拉姆津的感伤主义伦理思想中，所强调的是怀着一颗善良的温存的心灵抒写社会和个人的苦难，以唤起人们的同情，然而，更为重要的是，作为人类社会的个体，在陷入伦理困境或发生伦理冲突的时候，要以公民义务和

公民责任为重。只有服从于社会和国家利益，才能根本上走出伦理困境，赢得社会的尊重和生存的意义。卡拉姆津在俄罗斯小说发展史上有着独特的意义和地位。他为俄罗斯小说的最终成型做出了重要的艺术贡献。“在他的创作中，全面而又明晰地揭示了感伤主义这种创作倾向的艺术的可能”（Орлов 147）。他倡导的感伤主义创作倾向不仅吸引了俄国国内的广大读者，而且在俄国文学与西欧文学接轨方面发挥了重要作用，他所实践的各种形式的小说体裁，体现了他的感伤主义伦理思想，同时也为俄罗斯小说艺术形式的发展做出了应有的贡献，“展开了俄国文学的新时代”（别林斯基 50）。

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拉什迪《金屋》中的伦理身份困境与共同体想象

Ethical Identity Predicament and Community Imagination in Salman Rushdie's *The Golden House*

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内容摘要：作为当代英国流散文学的代表人物，拉什迪在小说创作中一直聚焦移民和族裔流散群体在新世界的伦理身份建构。他的近作《金屋》以戈尔登一家移居美国纽约大都市后，个体在多元文化夹缝中的伦理身份错置与协商困境为主线，揭示了流散者对家园的渴望和少数族裔群体共同的文化身份诉求。同时，拉什迪通过逆写帝国的叙事解域，以及重构理性社会秩序的伦理意识，描绘了一幅多元、流动和对话的伦理身份图景，对全球多元文化语境下的伦理共同体进行了想象和追寻。

关键词：萨尔曼·拉什迪；《金屋》；伦理身份；伦理共同体

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Title: Ethical Identity Predicament and Community Imagination in Salman Rushdie's *The Golden House*

Abstract: As a leading figure of contemporary British diaspora writing, Rushdie engages with the construction of the complex ethical identities of the immigrants and the diaspora communities in the new world. His novel *The Golden House* exposes the predicament of the displacement and negotiation of individual ethical identity, with the clue of the Goldens' family who has encountered the challenges of ethical choice after moving to American metropolis New York, from which Rushdie tries to reveal the diaspora communities' perception of home and quest of cultural identity. Meanwhile, Rushdie outlines a pluralistic, fluid and dialogic view of ethical identity politics through the de-territorialization of the western imperial center of power and authority as well as the reconstruction of the rational social order, aiming to ponder and put out the vision of ethical community in the

multicultural and global discourse.

Key words: Salman Rushdie; *The Golden House*; ethical identity; ethical community

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印裔英国作家萨尔曼·拉什迪（Salman Rushdie, 1947—）是享誉世界的文学大师，迄今已发表 14 部长篇小说和一系列非虚构文学作品，获得了英国最佳布克文学奖等荣誉。作为当代英国流散文学的代表人物，他对当今西方社会的文化冲突和移民伦理身份等社会问题进行了审视，书写了一部部现实与虚构融合、传统与反传统互补、幽默与反讽并存的当代文化寓言。他 2017 年出版的《金屋》（*The Golden House*）对美国当代政治和文化的变迁史进行了全景描绘，讲述了戈尔登一家从印度移民到美国后，因时空位移带来的伦理身份困境和非家幻觉如影相随，他们开始对伦理身份归属进行重新审视和建构。小说以第一人称叙述者兼旁观者、参与者为主要视角，涉猎了当今社会的种族、暴恐、性别和家庭伦理等热点问题，被誉为重回英国现实主义传统的一大力作（Batra 501）。英国《卫报》评价道：“《金屋》的结构安排别具匠心，不仅是对菲茨杰拉德等作家艺术成就的一种致敬，更是以寓意的方式揭示了当下美国的社会与精神动荡，堪称是一部关于身份、真相、恐惧和谎言的终极读物，是人们寻找真相的另一种方式”。[1]

一、多元文化夹缝中的伦理身份困境

在当今时代，对伦理身份的认知比以往更为重要，人们的伦理身份认同常常受到既定的社会环境和道德规范影响。正视伦理身份的这种复杂性，解开导致伦理身份迷失的斯芬克斯之迷，“恢复文学的社会伦理使命”，是后现代主义作家的伦理责任（McLaughlin 55），拉什迪就是这种社会伦理使命的真实践行者。他在《金屋》中刻画了一系列处于边缘地位的“虚幻”、“物化”和“分裂”的个体形象，揭示了后传统秩序造成的个体先天身份的错置和后天伦理身份的困境，具体表现为碎片化、混杂的身份、个人与社会、家

1 Sian Cain, “New Salman Rushdie Novel Depicts Obama and Trump’s US,” *The Guardian*, 7 February 2017. < https://www.theguardian.com/books/2017/feb/07/new-salman-rushdie-novel-depicts-obama-trump-us-golden-house>

庭和社会的矛盾冲突等。这种因时空位移造成的伦理身份错乱导致个体成为边缘化的他者，承受着身份焦虑以及非家幻觉带来的精神创伤。

在小说中戈尔登一家遭遇了两种伦理身份困境——家庭伦理身份困境和社会伦理身份困境。在印度经商期间，戈尔登通过非法手段积累了大量财富。在泰姬陵酒店的一次恐怖袭击中，他的妻子遇害身亡，之后便举家移民美国。[1] 居住在纽约格林威治村的一处别墅内，戈尔登开始向外界隐匿自己的真实身份，也不准自己的三个儿子提及他们的名字、身份等任何来自母国的信息。对戈尔登而言，名字是融入美国社会的第一个印记，也是重塑为一个新美国人身份的重要符号，正如小说所说：“翻开电话簿，都是一些古老而又遥远的名字，如哈克贝利、丁梅斯代尔以及数不清的戈尔德，美国人可以决定自己成为谁”（20）。[2] 戈尔登为全家新取了颇具罗马身份和气质的名字：尼罗• 朱利亚斯• 戈尔登（Nero Julius Golden）、佩特洛尼乌斯（Petronius）、卢修斯• 阿普列尤斯（Lucius Apuleis）和迪俄尼索斯（Dionysus）。在机场到新家的路上，戈尔登对他的儿子们说：“名字代表一个人的德行和财富，如果有人问起我们是哪里人，就说我们刚从卡内基山搬过来，或者说我们乘着藏在彗星尾巴里的一艘宇宙飞船，从半人马座阿尔法星系飞到这里。欺骗、编造也罢，要让别人相信我们是美国人”（11）。戈尔登的邻居兼小说的叙事者热内（René）对此评价道：“身份问题在美国已成为一种新的强大势力，其地位不亚于任何神学或思想意识”（79）。戈尔登的自我命名一方面折射出在美国“白人至上”观念仍存余威的伦理环境之下，拥有身份话语就能进入政治和社会舞台的主导位置。另一方面，他的罗马名字如同他居住的那幢19 世纪中期建筑风格的别墅，充满了美丽的假象，映射了失根者“真实与虚幻交叠呈现的心理现实”（19）。

戈尔登的长子佩特洛尼乌斯（简称“佩蒂亚”）患有重度自闭症，他常坐在花园的凳子上，握着一杯马提尼酒，“对着空气大声讲话，喘息声如幽灵般在风中飘荡”（49），或坐在窗帘紧闭的室内，“沉浸在网络游戏世界里，只有几盏台灯和电脑屏幕发出一些昏暗的蓝光”（56）。电子媒介成为他表达自我话语权的主要渠道，电子游戏中的骑士、格斗士和西部牛仔等数字身份给他带来了“电子共同体”中所特有的群体认同感和心理满足。佩蒂亚的自闭症一定程度上源于他父亲严苛的家庭教育。身处父权专制的伦理困境里，他从小就性格胆怯，不善交际。在成长过程中，“心理自我”逐渐与“社会自我”之间产生了认知失调，佩蒂亚内心也萌生了“从自我憎恨到对全世界的仇恨”（56）。这种“格格不入”的封闭感随着移居到新环境而加剧，终于在一个

1　2008 年 11 月，印度孟买市中心的火车站、酒店和市政府等多处遭到武装恐怖分子袭击，其中泰姬陵酒店成为了首要袭击目标，拉什迪在此影射了这起恐怖事件。

2　本文相关引文均出自 Salman Rushdie, *The Golden House* (Toronto: Alfred A. Knopf, 2017)。译文均由笔者自译，以下凡出自该书的引文均只标注页码，不再一一说明。

午夜，佩蒂亚身上的兽性因子在非理性意志的诱使下膨胀、爆发，变成了邻居眼中挥舞着胳膊，歇斯底里吼叫的疯子。福柯曾说：“背负各种罪名的疯子是无辜的，有罪的只是社会及其权利话语”（转引自张之沧 28）。佩蒂亚的怪诞行为是对印度父权制和教条主义下的伦理身份，以及对美国流行文化建构的物化身份的认知与反抗，是对孤苦无依、混沌的伦理身份的宣泄。他通过夸张的语言和“肢体默剧”，[1] 张扬了对完整自我的渴求。

次子卢修斯 • 阿普列尤斯（简称“阿普”）是一个英俊有才华的画家，移民给他带来的毁灭性后果就是创作灵感的贫瘠和身份的迷失。他常游荡于纽约闹市和酒吧，渴望着再次回到他的出生地，“带着某种冲动去回顾过去，寻找失去的时光”（Rushdie, *Imaginary Homelands* 10）。在阿普的画室内，挂着一幅曼哈顿城市的写实油画，然而画上“没有川流不息的汽车和路人，只有一些漂浮着的半透明人，男人们都身着白色衣服，女人们都身着深红色衣服，他们或刚离开地面，或悬浮在半空”（230）。城市建筑的色彩十分阴郁，呈扭曲状，“犹如从一个坑洼的老旧玻璃窗格里折射出的镜像”。阿普这样描述他的感觉：“当你一只眼睛失明后，你就会感受到这样的世界。幽灵一样的人，不是我嗑药后的幻觉。无论白天还是夜晚，在卧室还是大街上，我都能感受到人们化为电子游戏中的人物，个个都残缺不全，分辨率极低”（232）。阿普对现代西方都市人群“诡景”般的勾勒有一种表现主义的特质，在看似荒诞的临摹中揭示了流散者在都市语境中丧失自我和信仰失落的异化形象，扭曲的都城则是大都市无生命性的现实写照。阿普的脑海充满了一些过去和现在混乱交织的回忆片段，一会儿是印度的泰姬陵、马拉巴山、孟买大酒店的恐怖袭击，一会儿是纽约的地铁、发电站、废弃的工厂、监狱和赌徒等，失去的过往和繁华多维城市空间下的异乡客体验如梦魇般在阿普的内心萦绕。正如艾略特笔下的“空心人”一样，拉什迪用图像叙事暗示了西方大都市中失根者“有态而无形，有影而无色”的伦理身份困境和家园感的缺席。不仅现代社会是一个牢笼，而且它里面的每一个人都要受到其铁栏杆的塑造：“我们都是一些没有灵魂、没有心肝、没有性别和个人身份的存在物”（伯曼 32）。在这种“家的影子不断徘徊和暗中作用”的非家幻觉下（童明 106），阿普决定踏上寻根之旅，重返孟买，他毅然决然地说：“我要回去，这既是一段旅程，也是对我思乡之情的一种慰藉。那里有我想要的东西，否则一股来自过去的黑暗力量会穿越而来，令我窒息”（233）。

小儿子迪俄尼索斯（简称“D”）是个私生子，从小就对自己的生理性别和身世感到困惑。他着装怪异，常被人嘲笑为“娘娘腔”（man-womanish）

1　肢体默剧（corporal mime）指演员透过肢体动作取代语言的表达，动作及运动常源自身体最深处的部分。拉什迪在此以隐晦的方式对人物伦理身份与精神的困境作出了注解。

和“野孩子毛克利”（Mowgli）（70）。[1] 由于血统缘故和对性别服饰伦理的违背，他年幼时饱受家人和外人排挤。移居美国为他的变形之路带来了希望，他开始讨好他的哥哥，渴望得到伦理关怀，“在他的心中有股情感的潮水，他想把它分享给别人，同时也期盼着能有同样的回报”（71）。获得他人的爱能让个体受到关注，具有相应的身份和相应的生存权利（德波顿 6）。被他人注意，得到他人的同情、赞美和支持，这就是 D 想从他的行动中获得的价值。同时，D 自诩为赫尔玛弗洛狄托斯神（Hermaphroditus）的化身，是仙女与主神之子的合体，从伦理身份上为自己塑造出了一种尼采式的优越感。

D 的女朋友瑞婭（Riya）在“身份博物馆”工作，对性别身份有着深刻的见解，她认为“承认差异才能实现共同的族群认同，人类历史正经历着前所未有的革新，英语中涌入了大量的新词汇来描写这种变化：如‘性别的流动性’、‘双性人’、‘变性者’、‘性别不适’等。身份并非是固定的，是可商榷的”（121）。在瑞婭的鼓励下，D 逐渐找到了一种认同感，“爱开始在他的心头扎根，把他变成了一个完整的人”（103）。于是 D 开始大胆地“戴上雷朋眼镜和白兰度式的毡帽，画上和瑞婭一样的烟熏妆”（104），以至于路人误认为他们是一对姊妹。然而，正如聂珍钊教授所说：“伦理身份变化往往会直接导致伦理混乱”（《文学伦理学批评》 21）。D 的伦理身份变化与整体的社会价值产生了激烈冲突。尽管他做了变性手术，准备挑战传统的性别身份，但还是不敢面对家人，无法调适生理和伦理身份之间的差异，“他的非身体自我，即意识认同了他的变化，然而他的身体自我，却本能地否定了他的改变，后果就是身心上的双重痛苦”（116）。霍米 • 巴巴将这一症状称为“压抑的复现”，也就是非家幻觉，是多数“异域”、“异质”者在跨越地域、跨越文化初期都会经历的一种状态（童明 106）。D 因无法应对“突然的阉割、性别的反差和他者的凝视与审判”（251），无法在自我与伦理规范之间找到平衡，最终选择了自杀这种极端方式来逃离他的伦理困境。D 的悲剧表明，伦理身份的获得是一个不断调整和协商的过程。只有居住在跨越性别阈限的第三空间，解开身份转变后家庭关系、社会关系的伦理结，D 的生命和家园想象才有可能延续。

拉什迪以热内的“窥视”叙事视角，追溯了戈尔登一家移民到美国后的身份错乱，探讨了处于边缘地位的族裔流散者伦理身份的流动性，并尝试挖掘导致伦理身份困境的社会归因。这些角色既相互独立，又彼此相连，他们都在不断地商榷着自己的个体身份、社会身份和文化身份，挑战了传统的身份观。移民改变了戈尔登一家，把他们变成了分裂和异化的自我。但他们若能像灰姑娘的姐姐一样来削足适履，纽约应该是一个童话镇（63）。然而，他们始终游移于印度这一“家”的影子和美国的现实之间，处于既无法遗忘

1　美国迪斯尼电影《奇幻森林》（The Jungle Book）中的主角，一个在父亲遇害后被狼群抚养长大的小男孩。

过去又难以完全融入现在的悬置状态。正如一位长居在美国的缅甸外交官在结尾时所说的那样：“总有那么一天我们会走到人生旅程的尽头，停下来望着奔流不息的河水，感慨到回家只是一种奢想”（266）。拉什迪采用纪实报道般的叙事结构和文学虚构相结合的写作手法，无论是从城市空间还是从历史文化方面都真实地呈现了流散者跨越边界后的伦理身份图景。

二、伦理身份的语言表征与秩序重构

在《金屋》中，拉什迪通过对帝国中心的“逆写”和解域，揭示了新殖民主义和文化帝国主义的政治伦理身份所导致的社会和文化生态失衡。他用英语创作为武器，展开了从语言、文化到社会层面的伦理身份表征与秩序重构。

语言是文化身份形成的基础和重要表现形式，在言语交际中语言的使用在很大程度上代表文化的归属（陈建平 127）。拉什迪小说的书写语言（英语）虽取自帝国的中心，但是经过了一定改造，杂糅了大量的印地语和标准英语变体，构成了消弱和解构以西方为中心的文化帝国主义的重要符号和伦理身份的隐喻。在小说中拉什迪采用印地语的拉丁字母转写形式加英语注解的文化翻译策略，实现了本土语言与标准英语的地位并置，比如，“*mathadi* workers, that is, laborers who carried loads on their heads.”中 mathadi 指“将货物放在头上的搬运工”(334)；“*gharaney*, households, or, nowadays, companies, a term presently popular in the mother country”中 gharaney 指的是“家庭或社群，母国当下非常流行的一个词”（346）。在作为界限或边界的原文被跨越或解域后，原文发生了质变，变成了一个被解域的文本，一组新的关系中的一个新的组合（陈永国 41）。这些地方词汇与标准英语共生现象体现了印裔散居群体印度语和英语交替使用的双重意识，同时它们被赋予的文化权利诉求也在翻译的行为中得到了强化。拉什迪的“方言音译”和“语符转换”等语言挪用策略，在一定程度上实现了弃用标准英语，将地方英语上升为重要文化话语的双重功效。事实上，地方英语的书写不仅引入了丰富多样的新词汇，用“他性”颠覆了强权语言的正统性，更对所谓的“英美及主要英语文学”以及作为英语经典文本基础的整个文化构想体系进行了秩序重构。

此外，在语言的词汇形态、句法规则和语篇层面，拉什迪采用了词汇变体、句法融合和打破英语常规语篇模式的语言批判，表明了伦理身份在社会层面的建构具有多重性和流动性的思想。当 D 完成生理性别转换后，拉什迪用“方括号 + 第三人称指示代词 ‘He’ 及其变格”的新词汇形式来界定这种伦理身份的模糊性，在对常规语言运用方式的“改造”中产生了新的意义，如 “After [his] adventure in Vasilisa’s clothes closet [he] had admitted to [himself] [his] pleasure in women’s clothing”（在偷翻瓦莉萨的衣柜后，【他】承认穿女装能给【他自己】带来一种莫名的愉悦）（252）。拉什迪在文中解释道：“对

于 D 的新身份，我仍使用了阳性代词，这有些不妥。为了界定这种模糊性，我把 ‘ 他 ’ 放进了方括号里 ”（251）。语言变异的物理特性为小说带来了视觉表征上的冲击效应，体现了创伤等刺激的语义信息充斥着 D 的整个感觉记忆。有意识 / 无意识、我们 / 他者以及真实 / 虚幻的二元对立边界被打破后，D 为自我构造了一个作为 “ 第三性 ” 的社会伦理身份认同，即 “ 我发现了属于我的生活，这种生活基于我的天性和我在世界中的位置 ”（阿皮亚 30）。拉什迪试图通过语言变型策略来解构被帝国强权视为权利结构的英语语法，对帝国语言的优势中心性进行了弃用。语言与伦理身份是相互依存的，在纯粹的文字层面，方括号中的 “ 他 ” 唤起的想象是移民和文化流散者等 “ 边缘人 ” 在文化夹缝中的屈辱姿态。语言本身成了转喻，以局部表示整体（阿希克洛夫特 48）。文本中嵌入的特殊标点符号阐释了 “ 文化真相 ”，表明了语言的示意和建构功能，对正统英语的话语权利和秩序 “ 标准 ” 进行了重构。

众所周知，文化符号是构成身份的重要因素，在小说中拉什迪植根于印度民间文化这个基石，保留了大量未被翻译的印度文化负载词，对民族记忆进行了重述，体现了拉什迪建构族裔群体伦理身份内在共同性的话语策略。比如，小说中的印度古典乐器 “tar-shehnai”（塔尔 — 薛奈琴）[1] 和谱写印度共同悲伤记忆的音乐 “bombay-meri-jaan lyric”（孟买悲歌），小吃 “mohinga”（鱼汤粉）以及宗教中的巫师 “shaman”（萨满）等，作为凝结着民族伦理和文化记忆的象征物，这些文化负载词成为了联结印裔流散群体的原生纽带，家园皈依和文化 / 身份记忆生产的催化剂。地方民族文化的使用，是一种将其自身作为政治话语嵌入后殖民写作中的话语策略（阿希克洛夫特 52）。“ 缺位 ” 也是一种建构，翻译的缺位在这里则具有特殊的解释功能，能够引导读者积极介入到使用这些词汇获得意义的文化领域。后殖民文本选择保留未经翻译的词语，构成后殖民话语的特殊符号，不仅构建了文化之间的差异，更是一种给予地方语言和文化以更高地位的政治行为。拉什迪的印度伦理身份就是在对印度文化俗语的挪用之中建立起来的，这种跨文化文本不断地把读者的注意力引向印度文化的特性与差异，质疑了文化上出现的民族身份的一元神话，重构了文化领域的秩序。

因备受压迫、流散、移民、流放等经历，拉什迪作为后殖民主义的主体虽居无定所，但占据着发声的场所（对比那些沉默不语的人）（圣胡安 5）。他通过解码本土语言文化符号和改造标准英语的编码方式，完成了对民族记忆的重述和伦理身份的重构。拉什迪对英语进行小民族使用，重新分布声音和词语、词语和意义，是为了 “ 瓦解隐含语言中的权利关系，解域克分子身份（molar identity），颠覆既定的身份秩序，为创作新的身份创造条件 ”（尹晶 136）。因此，他的语言挪用策略不仅实现了抗衡帝国文化权威的政治目的，更有呼吁后殖民 作家重构本民族历史、文化等伦理身份和伦理秩序的感召力。

1　印度一种传统弓弦乐器，和埃史拉吉琴（Esraj) 相似，声音如唢呐和小提琴般哀怨凄美。

三、伦理共同体建构及其道德意蕴

随着经济全球化和文化多元化的推进，人类世界交往的深度和广度远超过往，同时也引发了一系列诸如“人的全面发展、多元文化和世界体系重构”等全人类性的问题。作为一个“文化杂交”主义者，拉什迪将“伦理共同体”作为构建一种新的多重伦理身份、实现人类理想社会追求的重要域所。在他看来，这一自足的伦理空间能以隐喻的方式与外部世界形成根本性对抗，传达作家对生命、对个人存在和社会的关切和热爱（何卫华 70）。

“共同体追寻”，即寻找认同与故乡，是人类的境况本然的一部分（安德森 17）。在小说《金屋》中，拉什迪超越了民族渊源和地域空间，呼吁拥抱文化杂交，挑战文化霸权；在伦理选择道路中，寻求多元主体性的伦理共同体形式。殷企平教授指出：“文学家在倡导 / 想象共同体时并不仅仅是把它看作一种形而上的概念，更多的认为它是一种文化实践”（殷企平 76）。拉什迪的伦理共同体建构过程，就是一种找寻伦理身份认同和情感归属的文化实践。在《金屋》中，他通过重现东方传统文化和一些少数族裔的文化仪式，对“文化杂糅”的伦理共同体形式进行了“自我审视”和“自我叙述”。首先，中国的《易经》文化等为族裔流散群体提供了克服现代性伦理身份危机的文化空间。小儿子 D 随时都装着 3 个银币，对照《易经》中的卦图来为自己占卜。在一次音乐会上，D 的着装和相貌举止等受了别人的异样目光，于是他用银币卜出了“卦画二十三”——“下面五个阴爻，上面一个阳爻。卦解是‘剥’，山地剥，上艮下坤。大致是‘有所往则不利’的意思”(76)。随后 D 便离开了这个充满敌意的环境，回到了家中。当身体与文化都离乡背井，归属感就成为了他们随身携带的方舟（伊罗生 87）。处于他人的凝视中，D 的内心充满了不安，《易经》富有哲学和人文精神的诠释成为 D 确认自我存在的价值和意义的参照，成为帮他从非家的身份焦虑中逃离的方舟。此外，在中国戏剧的“反串”艺术中，D 也找到了共通的伦理身份认知。当在身份博物馆工作的瑞婭把他带到“中国戏曲的性别易服”展区时，他说道：“我的确要好好了解一下”（76）。中国特色的人文景观不仅为他提供了调适孤苦心理的社会物理空间，更能让和他一样的“边缘人”在流离失所的境遇中找到文化归属。其次，源自巴西的“萨满教的神圣弥撒仪式”[1]（ayahuasaca）（230）等充满异域特质的少数族裔文化，不仅对塑造民族情感有着重要的意义，也为阿普的伦理身份认同提供了重要的“他者镜像”。当阿普因无法定位自我伦理身份而产生身份焦虑的时候，这种神秘仪式就成为他直面恐惧和忘却创伤的文化实践。共同体承认每一个独特的民族身份认同，包括自我的认同与“他者”的认同，只有这样才能真正地摆脱傲慢偏执的民族中心主义，寻求

1 在亚马逊流域，原住民将迷幻草视为一种灵性药物，并将其广泛应用于宗教仪式中，主要作用为治疗心灵创伤，让人面对恐惧及净化身体。

不同的“想象的共同体”之间的和平共存之道（安德森 17）。对拉什迪来说，伦理共同体就是这样一种认同伦理身份多样性的文化实践，是遭遇后殖民 / 全球化时代冲击的族裔流散群体走出生存困境的化解之道，是强调人与人之间情感与相互关怀的精神追求。

“权利、价值平等”和“公德作为社会转型的道德形态”是伦理共同体的内核（Charvet 167）。拉什迪的“伦理共同体”想象旨在唤起个体文化身份、族裔身份等伦理身份的觉醒，以重构理性社会的道德理想，传递“人类共享道德经验的渴望”（聂珍钊，《文学伦理学批评》 14）。在《金屋》中，拉什迪用混乱的政治、媒介、家庭、婚姻等伦理关系揭露了美国政治和社会文化的动荡性，解域了“后真相”时代美国的社会伦理秩序。正如披着美女画皮的俄罗斯女孩瓦莉萨，美国等西方社会已被消费主义、流行文化等意识形态所侵蚀，奉行金钱至上、实用主义的伦理道德“在骨子里依旧是食人的巴巴 • 雅加”（83）。[1] 对于美国理性丧失、伦理缺位的社会现实，拉什迪道出了回归传统道德规范的伦理共同体心愿：“希望有一天电视上不再有假新闻，人们远离网络，朋友不再是虚拟的，一家人能坐下来好好吃一顿饭，一起享受美妙的音乐，爱才是至高无上的”（359）。伦理共同体必然是一个爱的共同体（曾云 19），拉什迪对西方现代社会道德的批判和建构诠释了只有遵循德行与爱的伦理法则才能实现伦理共同体的构想。

优秀的文学家都有一种“共同体”的创作冲动，憧憬一种超越亲缘和地域的、具有活力和凝聚力的共同体形式（殷企平 78）。通过对多民族文化身份的刻画及对美国政治伦理身份的解构，拉什迪从文学 / 文化文本的话语层面对伦理共同体的文化之根及道德之柱进行了塑造。正如聂珍钊教授所说：“伦理批评并没有同传统道德批评决裂，而只是一次对现实中文学批评抛弃道德倾向的反拨，是新时代文学批评回归传统的努力”（《从伦理批评到文学伦理学批评》 174）。拉什迪通过关注伦理身份的困境，指出建立新的伦理秩序和公平与理性的道德规范的必要性和迫切性。在他看来，“施暴者必须受到应有惩罚，这才是社会秩序重构的普遍伦理，否则我们将生活在一个荒谬的世界”（159）。作为当代移民文学中伦理身份问题的发言人，拉什迪对于流散者在后传统秩序中“应该如何生活”这一问题在文中也给出了他的答案：“学会深思，正视不幸，追求自由，身份的模糊状态终会消解”(291)。他刻画的伦理身份、重构理性社会秩序的伦理意识及伦理共同体想象不仅是对生命意义的本真追求，更是一种历史和文化上的“寻根”，对人类历史上文明的冲突以及文化的共生和融合等问题的伦理之思。

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1 在俄罗斯民间童话中，巴巴雅加（Baba-Yaga）是专吃小孩的女巫，会使魔法，形象狰狞可怖。

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对位·补位·延续：《啊，拓荒者！》中的女性伦理身份研究

Contrapuntality, Complementarity and Continuity: A Study of Woman's Ethical Identity in *O Pioneers!*

杨　林（**Yang Lin**）

内容提要：薇拉·凯瑟的《啊，拓荒者！》改写了男性话语主导的美国西部拓荒文学史，小说围绕女性拓荒者展开叙述，凸显了女性的伦理身份。小说中女性的伦理身份主要体现在三个方面，分别为与男性平等的对位的存在、与男性差异的补位的存在，以及衍生出的文化传承性的存在。亚历山德拉独立自主，开疆辟土，是与男性比肩、对位的女性拓荒者；以柏格森太太为代表的拓荒妇女持家有道，用辛劳的双手建立了温馨的家，是与在外披荆斩棘的男性形成了补位的存在；拓荒妇女在持家中同样衍生出了文化延续者的角色，她们用讲故事、饮食及珍藏物品的形式，把个体记忆融入到更大的文化空间。总而言之，凯瑟逆写了以男性为主导的拓荒文学，至此，女性拓荒者活灵活现地浮现，开始言说自我伦理身份，改变了女性在美国西部拓荒文学史上缺席的局面。

关键词：《啊，拓荒者！》；伦理身份；对位；补位；延续

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Title: Contrapuntality, Complementarity and Continuity: A Study of Woman's Ethical Identity in *O Pioneers!*

Abstract: Willa Cather's *O Pioneers!* writes against the male dominance in American western history of frontier literature, and the novel narrates the stories of frontierswomen to lay emphasis on Woman's ethical identity. Woman's ethical identity lies in three aspects, which are the frontierswoman's existence of contrapuntality as against the frontiersman, complementariy for the frontiersman, and continuity as for an enlargement of cultural space. Alexandra, as a frontierswoman, independent and strong in pioneering, stands opposed to frontierman. Mrs Bergson, representative of frontierwomen's inner domesticity, working diligently to create a sweet home, is a supplement to frontiersman's outside hardship and thus forms an ethical relation of complementariy with regard

to frontiersman. As domestic women, the frontierswomen also participate in a larger cultural space by telling stories, cooking food and cherishing memorable things, and accordingly their domesticity serves for the continuity of a larger cultural space. In a word, through Cather's efforts of writing against male dominance, the frontierswomen vividly come to surface, and start to tell stories of their ethical identity, therefore the absence of frontierswomen in Amercan frontier literature is changed.

Key words: *O Pioneers!*; Ethical Identity; contrapuntality; complementarity; continuity

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20 世纪前，美国西部的拓荒文学由男权话语主导，男性拓荒者把自己塑造成边疆的开辟者，在荒野中他们披荆斩棘，勇往直前，建功立业。相比于男性，女性拓荒者则软弱怯懦，缺乏勇气，被描述为“不情愿的拓荒者”、“穿裙子的拓荒者”（Riley 8）。西部拓荒文学的代表人物，詹姆斯·费尼莫尔·库珀（James Fenimore Cooper 1789-1851）和哈姆林·加兰（Hamlin Garland 1860-1940），在其小说的叙事中站在男性话语霸权的视角，不仅歪曲了女性拓荒者的形象，而且还压抑、贬低女性的主体性，故此，女性成为了男性笔下遁形的沉默的“他者”。库珀笔下的女性唯唯诺诺，经常跟随着男性拓荒者出没于荒野，她们只是男性的附属和影子。加兰笔下的男性拓荒者总是渴望征服西边更辽阔、丰饶的草原，而女性拓荒者则是默默地承受思乡之苦，煎熬度日，无法体验拓荒的乐趣（帕灵顿 1022-1035）。卡洛·费尔班克斯（Carol Fairbanks）指出，在加兰的笔下，女性拓荒者被贴上了消极负面的标签：痛苦、恐惧、疲惫、脆弱、迷茫、绝望，……而作家对与之相反的品格却视而不见”（Fairbanks 1-13）。不难看出，20 世纪前的西部拓荒文学由男性话语主导，女性拓荒者根本没有言说自我的权力，只能无情地被男性话语所宰制和建构，沦为边缘性、失语的“缺席”存在。

20 世纪初，薇拉·凯瑟（Willa Cather 1873-1947）以女性的伦理身份为出发点，陆续发表了草原小说三部曲：《啊，拓荒者！》（*O Pioneers!* 1913）、《云雀之歌》（*The Song of the Lark* 1915）、《我的安东妮亚》（*My Ántonia* 1918）。三部曲中的《啊，拓荒者！》是一部凸显、赞扬女性伦理身份的小说，正如聂珍钊教授说道“文学是特定历史阶段社会伦理的表达方式，文学在本质上是关于伦理的艺术”（聂珍钊 11）。凯瑟在《啊，拓荒者！》

中塑造了许多栩栩如生的女性拓荒者，并主要从三种不同的角度诠释了多元化的女性伦理身份。首先，凯瑟从集体和社会关系为基础的身份出发，刻画出与男性比肩的女性拓荒者 —— 亚历山德拉，她身上体现出了与男性平等、对位的女性伦理身份的独立性价值。其次，凯瑟从与男性丈夫相对照的家庭伦理出发，塑造了一个个贤妻良母般的温馨家庭的缔造者，作为妻子 —— 与男性差异的补位的伦理身份，她们虽然没有在外披荆斩棘，但却捍卫了家庭，成就了家庭的温馨与幸福。最后，凯瑟从更高的文化伦理层面，对女性作为文化延续者这一伦理身份进行了剖析。在《啊，拓荒者！》中，凯瑟让女性拓荒者的伦理价值再现，这无疑对西部拓荒文学史具有重要的历史价值。不难看出，凯瑟书写了以女性伦理身份为核心的拓荒文学史，并与以往男性话语主导的拓荒文学史形成了对话的协商关系。至此，女性拓荒者失语的症候一去不返，她们鲜活的生活跃然纸上。这些女性拓荒者积极地参与到拓荒中，用勤劳的双手和非凡的想象力将荒野变成了花园，是西部拓荒过程中难以褪去的缪斯。

一、与男性平等的对位的女性伦理身份：边疆的开辟者

凯瑟曾说：“女性在恶略的草原环境中，表现出了男性的力量和勇敢，而有时男性则显得软弱无能”（Woodress, *A Literary Life* 289）。《啊，拓荒者！》中的亚历山德拉具有独立的女性意识，毫不夸张地说，亚历山德拉是与男性话语相呼应的“对位”的存在。她的存在颠覆了以往对女性拓荒者的认识，是对男性拓荒文学史的逆写与协商。由此，女性拓荒者摆脱了男性话语的牢笼，以对位、平等的伦理关系登上了历史的舞台。在拓荒过程中，亚历山德拉面对荒原，毫不退缩，甚至比男性更勇敢、更刚毅。小说开篇，借由弟弟埃米尔的视角，这样写道：“他姐姐身材高挑，体格健硕，走路的步伐矫健而坚定，似乎清楚地知道要去何处，下一步要做什么”（Cather 4）。12 岁时，亚历山德拉就成了父亲的最为得力的助手，面对困难，她往往有自己的主张，在拓荒过程中她的父亲甚至“越来越依靠她的智谋和判断力”（13）。不幸的是，父亲难以忍受拓荒的苦难与折磨，撒手人寰，但父亲的离世没有击垮亚历山德拉，而是更加激发她勇敢前行。此时，她主动承担起了一家之主的角色，更有魄力的是，她不顾别人的反对，尝试在高粱地里种苜蓿，在玉米田里种小麦，甚至在干净的猪圈里养猪。她的尝试成功了，故此，家庭的产业得以扩张，她身上所展示的管理才能得到了认可。后来，三年的干旱让拓荒者的生活举步维艰，人们纷纷变卖土地，前往城市谋生。这时，亚历山德拉的弟弟们倡议变卖田产，另寻出路。但是，亚历山德拉没有被环境左右，而是有着自己的判断力，她认为，这是扩张农场的最佳时机，“尽一切力量筹钱，把能买的每一亩地都买下来……父亲当年一直盼着的机会终于来了”（36-37）。果不其然，正如亚历山德拉所料，后来土地价格上涨，她最终成了富有的农

场主。在婚姻问题上，她不顾家人的反对，毅然决定与儿时的朋友卡尔在一起，“这一切跟任何人都不相干，完全是卡尔和我自己的事”（166）。

不难看出，凯瑟笔下的亚历山德拉迥异于以往男性对女性的描写，她并非是男性的附属，而是具有独立意识的女性拓荒者。在拓荒事业上，她雷厉风行，开拓进取。在婚姻问题上，她独立自主，勇于决断。在性格上，她不屈不挠，乐观坚强。由此可见，亚历山德拉不逊色于其他男性拓荒者，在某种意义上而言，有过之而无不及，正如苏珊·罗索斯基（Susan Rosowski）评价道：“在拓荒过程中，亚历山德拉展现出了英雄般的品质，勤劳踏实，坚毅勇敢”（Rosowski 50）。凯瑟为女性拓荒者代言，再现了女性别样的拓荒生活。凯瑟的笔下，女性拓荒者不再是唯唯诺诺，言从计听的男性的想象建构，而是有血有肉，与男性比肩的英雄，她们“把自我融入到更大的事业之中”（Peck 15）。这样，摆脱男性话语霸权的女性拓荒者诞生了，她们的声音开始浮现，言说着她们的故事，建构着自我的身份。亚历山德拉，这一与男性对位的伦理存在，是对男性话语的颠覆与否定。至此，女性拓荒者不再是男性笔下顾影自怜、无病呻吟的弱者，而是勇敢无畏的边疆开拓者。她们积极地参与到西部拓荒中，扎根于大地。

亚历山德拉身上流露出对草原和土地的爱，小说中写道：“也许自那片土地从地质时代的汪洋中浮现出来之后，这还是第一次有人怀着爱心与渴望将脸朝向他……她如痴如醉地饱览那广袤的原野，直到她的视线被泪水模糊”（35-36）。可见，女性愿意与土地联合，这是因为女性热爱土地，她们与大地有着天然的联系，亚历山德拉说道：“我们来来往往，但是土地却长存。只有那些热爱、了解土地的人才真正拥有土地 —— 暂时拥有”（169）。亚历山德拉发现了辽阔荒原的秘密，那就是，当人们热爱、了解大地时，大地才反过来拥抱人们，正如小说中写道：“幸运的土地哟，它终有一天会把像亚历山德拉那颗心一样的心灵纳入它的怀抱，再把它们融进黄橙橙的小麦、沙沙响的玉米、还有青年们那一双双闪亮的眼睛”（170）。女性拓荒者根植于大地，与大地和谐共生，正如莫里斯·迪克斯坦（Morris Dickstein）所揭示：“金色的土地温柔地顺从铁犁，女性几乎是魔幻般与土地和季节的韵律结合”（迪克斯坦，72）。由此可见，女性拓荒者并不是男性所描述的不情愿的逃离者，而是积极参与拓荒事业的边疆开辟者。她们是大地的母亲，心系大地，并与之水乳交融，和谐栖居。

海伦·西苏（Helene Cixous）说道：“被压抑的女性的复归将会产生一次大爆炸，释放出一股前所未有的势不可挡的颠覆性力量”（Cixous 95）。亚历山德拉便是凯瑟笔下这一股势不可挡的力量，亚历山德拉的出现改写了女性在拓荒文学史上的命运。故此，女性在西部拓荒史中举足轻重的地位被重新审视，并得到了积极地肯定。作为与男性平等的对位的伦理存在，亚历山德拉的出现预示着真实意义上女性拓荒者的诞生，她们不再是附属于男性

存在的“第二性”，而是具有主体性的活生生的生命。亚历山德拉的出现，可以说，让女性埋没的过去重返当下，让女性拓荒者再次复活。她们是历史的参与者、见证者，是不逊色于男性拓荒者的具有独立精神的对位的伦理存在。

二、与男性差异的补位的女性伦理身份：家园的耕耘者

除了亚历山德拉这一边疆开辟者的形象外，凯瑟在《啊，拓荒者！》中，同时展示了女性拓荒者的家园意识。也就是说，作为妻子，这些女性拓荒者整日缝缝补补、洗衣做饭，用艺术家般的双手建立温馨的家庭。她们整日忙碌的场景让凯瑟难以忘却，凯瑟回忆道：“那时候，我常常和她们中的某一位呆上一个早上，看她们做蛋糕和黄油面包，然后，带着一种不可思议的兴奋策马回家”（Bohlke 10）。如果说，男性在更多意义上是边疆的开辟者的话，那么，女性则是边疆的守卫者，她们是男性边疆开拓者不可或缺的补位的伦理存在。女性让温馨的家庭在荒野中落地生根，她们是拓荒中家园的耕耘者与捍卫者。凯瑟笔下的女性，尤其是母亲，不论身处怎样贫瘠的土地，总能化腐朽为神奇，把荒原变成一个个美丽的花园。正如李莉指出：“草原妇女是女性版的鲁滨逊，但她们改写了男性与自然传统的对抗关系。男人来到荒原里砍伐，女人却在这里种植、培育”（李莉 196）。可见，有别于男性的征服欲，女性更能安居乐业，经营家庭，是与男性相互补充的补位的伦理关系。

《啊，拓荒者！》中的柏格森太太正是这一补位的伦理关系的鲜明写照。柏格森太太从早到晚忙个不停，烘烤、洗涮、熨烫、下厨，样样拿手，她把家里布置的井然有序。若是没有她，家里就会一团糟，她用亲手打造的温馨的家，来拥抱草原上疲惫归家的人。柏格森太太是整个家庭的核心，她如同多诺万所指出的母亲一样，“母亲的力量、母爱的力量是社会的内聚力。要创建一个崭新的、进步的、相互协作的社会，需要的正是这些力量”（多诺万 66-67）。就柏格森太太，小说中写道：

> 即使她被抛弃在荒岛上，她也会感激上帝会救她脱离苦海，同时开垦出一个花园，找到可以维持生活的食物。储备食物是柏格森太太的癖好。她如饥饿的动物寻找食物一般，在河畔上找寻可吃的野葡萄和梅子。她把草原上无味的梅子制成果酱，再用柠檬皮做辅料调味，她还把西红柿做成粘稠的酱储备起来。……若没有什么可以食用的东西可供储备，她便开始忙着腌制。……既然她已在荒野，她便尽力地建立起她过去曾有的生活。只要地窖里有腌肉，架子上有果酱，衣柜里有床单，她就能在世上享受一丝的幸福。（16）

柏格森太太虽不是拓荒中轰轰烈烈的边疆开拓者，但她却是令人敬佩的

温馨家园的耕耘者。可以看出，这些草原上的母亲全身心地拥抱生活，用燃烧的激情和生活的艺术让每个平凡的日子熠熠发光。柏格森太太是拓荒者的幕后英雄，男性驰骋于荒野，女性忙碌于家中，彼此支持，共同前行，继而在拓荒中形成了男性与女性相互补位的伦理关系。

凯瑟本人在小说中对柏格森太太予以了很高的评价，写道："11 年来，她竭尽全力地维持家的秩序与体面，她在日常生活上循规蹈矩、墨守成规，这个家没有在道德上土崩瓦解，没有在日常生活上敷衍了事，很大程度上归功于她的不懈努力"（16）。草原上的拓荒离不开女性，尤其是那些默默无闻的家庭主妇，是她们用汗水支撑、建立起了一个个温馨的家。她们终日劳作，负重前行，在日常的琐碎生活中，涌动着生活的激情和乐观的精神。锅碗瓢盆、油盐酱醋是她们生活的色彩，在单调的生活中，她们犹如艺术家，用爱与美点缀着生活的日日夜夜。小说的第三部分"冬忆"中记录了女性居家生活的温馨场景，亚历山德拉、李老太太、玛丽聚在一起，烘焙带有果仁和罂粟籽的咖啡糕，品尝杏脯小面包卷，喝着香浓的咖啡，聊着刺绣，畅谈着往事（106-108）。她们把枯燥的日常生活化为了生活的艺术，让每天的生活焕发光彩。在她们的经营下，家庭变成了荒野中的堡垒，慰藉着疲惫的拓荒者，并给予家人奋斗前行的动力。女性，尤其是家庭主妇，是拓荒过程中家园的耕耘者。在日常繁重的家务中，蕴藏着女性特有的持家本领，虽没有拓荒场上的轰轰烈烈，但也有一番别有洞天的日常艺术画面。她们精心地料理家务，无私地照顾丈夫和孩子，她们用温馨的爱慰藉着拓荒场上的丈夫，是男性可以依靠的心灵港湾。

拓荒过程中，女性与男性的分工不同，没有孰轻孰重之分，女性用辛劳的双手建设家园，和男性的驰骋边疆相比，毫不逊色，她们是在前方开疆辟土的男性的后盾，积极地参与到西部拓荒事业中。离开了女性，西部的拓荒事业难以想象，或者说根本是不可能实现的，她们对西部拓荒事业做出了重要的贡献。总而言之，女性拓荒者是丈夫依靠的港湾，是儿女们慈祥的母亲，是温馨家庭的缔造者和捍卫者，在西部拓荒事业中与男性并肩作战，形成了差异、互补的伦理关系。

三、维系民族传统的伦理身份：女性作为文化的延续者

凯瑟认为，我们不可能真正超越我们的过去，它早已成为我们的一部分，进入我们的血液里（Bohlke 15）。记忆维系着过去与现在的关系，是个体身份的延展，也是集体文化的传承。以往的观点认为，在拓荒者过程中女性总是回望过去，难以面对现实生活，是逃离拓荒生活的怀旧者。然而，凯瑟在《啊，拓荒者！》中对女性的怀旧有着不同的理解，她认为，怀旧不仅仅是回溯过去，而是更深层意义上与现在的对话，并对现在起到身份塑形的作用。《啊，拓荒者！》是关于凯瑟童年拓荒记忆的一部小说，小说中的女性常常在持家

过程中，用自己独有的方式与原有的欧陆文化保持伦理关系，在拓荒中延续着欧陆文化，可见，她们是欧陆文化的延续者。她们与原有欧陆文化保持关系的独有的方式主要体现在三个层面，分别为讲述过去的故事、旧有饮食习惯的维持，以及具有纪念价值的物品的珍存。借由以上三种方式，欧陆文化在荒野得以延续、扎根，最终形成了移民文化多元共生的局面。可以说，女性，作为文化的延续者这一伦理身份，是由女性的家园意识衍生而来，这是因为她们把家园意识扩展、融入到了更大的文化空间之中。

第一，讲述过去不仅仅是回忆往昔，而是让过去凸显出来，并于现在关联，产生意义，否则故事就是空洞的、抽象的。也就是说，“讲故事是指一种如何看待你自己、你身边的人、你的生活以及在更广阔的背景下看待你在生活中所处位置的方式”（李莉 249）。凯瑟小时候经常和来自欧洲的妇女来往，聆听到了她们从大洋彼岸带来的各式各样的故事。“她们大多来自丹麦、挪威、波希米亚，……她们给儿时的我讲述了大量的故事，和她们交往让我有了触电般的兴奋”（Woodress, *Her Life and Art* 33）。自儿时起，凯瑟就深谙欧洲移民妇人的故事，这些故事时常萦绕在她的耳畔，难以释怀。《啊，拓荒者！》中有很多关于欧洲移民的故事，这些故事不仅是对过去怀旧式的影射，而且也是对过去的传承。在传承中，欧陆的文化在美国落地生根，并与其他文化杂糅，获得了新生。小说中的李老太太是瑞典移民，她每次来到亚历山德拉家里，就如同回到了过去，和她们开怀畅谈，滔滔不绝地用瑞典语讲述“从瑞典文家庭报纸上读到的故事，或者她还是小姑娘时在哥特兰岛牧场上的生活，有时她混淆了哪些是读到的故事，哪些是真实的经历”（104）。

安格拉•开普勒（Angela Keppler）指出：“讲故事是支持记忆、保存过去、激活以往体验乃至构建集体认同的一个根本要素”（开普勒 93）。李老太太用瑞典语讲述过去的故事，旨在保持与瑞典文化的亲密关系，并构建自我身份的认同。她渴望来到瑞典移民亚历山德拉的家里做客，这时，她感慨道：“往昔的美好时光又回来了”（104）。在亚历山德拉家里，李老太太总是滔滔不绝地讲述着往事。对于李老太太而言，讲述过去，讲故事，是对自我体验和经历的表达，“没有故事，一个女人就会迷失……没有故事，她无法认清自己。没有故事，她将和更深刻的精神世界隔离，被囚禁在无声的混沌世界里”（Fryer 259）。李老太太正是通过讲述过去故事的方式，在西部荒野中找到了自我的稳定身份。作为移民，最终她才能安顿下来，延续自我的文化记忆，并融入到西部的拓荒生活之中。李老太太讲述过去是为了更好地融入现在，也是对自我身份的文化认同。

第二，保罗•菲尔德豪斯（Paul Fieldhouse）指出：“饮食习惯构成了人的归属感，确定和维护着个体的文化身份”（Fieldhouse 76）。在拓荒过程中，女性经常忙于家务，她们花费大量的时间在厨房中，为家人预备饭菜。凯瑟在 1936 年接受采访时，说道：“一个妇女不懂烹饪是难以饶恕的”（Bohlke

131）。《啊，拓荒者！》这部小说中，有大量与饮食文化相关的描写，柏格森太太热衷烹饪，为了能吃到家乡鱼的味道，她“每年夏天两次派儿子们去南边离家二十英里远的河里抓鲶鱼，孩子小的时候，她曾把孩子们塞进马车，放进婴儿床，自己驾车去捕鱼”（16）。柏格森太太对食物如此用心，为的是在荒野重建过去的生活，更为重要的是，通过品尝家乡鱼的味，她再次确定了自我的身份。可见，饮食不仅满足了柏格森太太的胃口，而且成为了她确定自己身份的依据。波希米亚移民玛丽热情好客，经常用波希米亚的美食款待亚历山德拉等朋友，为此，她由衷地感到自豪骄傲。亚历山德拉夸赞玛丽时说道：“波希米亚人能做出的面包花样肯定比世界上任何一个国家的人能做出的都多。……希勒太太曾说她会做七种花样的面包，但玛丽能做十多种”（107）。

饮食的差异体现了文化的差异，文化的差异同时又标识出不同的民族身份，正如凯瑟在另一部小说《大主教之死》中写道：“这样一罐汤，靠一个人是做不来的，它是一个精益求精不断进步的传统的成果，这罐汤里蕴藏着接近一千年的历史”（凯瑟 28）。饮食背后其实有着悠久传统的支撑，饮食本身也承载着丰富的历史文化。琳达·威尔士（Linda K. Welsch）在《凯瑟的厨房：文学与生活中的饮食方式》中写道：“在某种意义上而言，所有的食物都是心灵的食物，它是一种文化的表征。每一口、每一餐都展示着有关食物和文化的记忆与偏见”（Welsch 2）。不同民族身份的维系离不开其饮食文化，小说中的女性在日复一日与炉火、灶台的碰撞中，不仅烹饪出让人垂涎的美食，也用饮食传承、维系着自我与民族的情感与文化。

第三，《啊，拓荒者！》中女主人公爱珍藏、收集具有纪念价值的物品，对于凯瑟而言，这些物品既言说着时间的流逝，又镌刻着历久弥新的个人记忆。亚历山德拉珍藏了父亲的照片，以及父亲用过的胡桃木连橱桌。亚历山德拉家的起居室的墙头一直挂着一幅柏格森的照片，这个照片是她父亲来美国之前在瑞典拍的，当时柏格森先生 35 岁，对于亚历山德拉而言，这张照片承载着父亲过往的岁月，关联着现在的拓荒生活，同时也是对现在生活的记录与鼓励。这张照片对于家庭来说，是一种文化记忆，犹如桥梁连接着过去的欧陆文化与现在的拓荒生活。小说中写道：“35 岁的父亲身材修长，高高的额头，满头柔软的卷发，一绺下垂的胡子，他的一双眼睛凝视着远方，好像已经看到了这个新的世界”（55-56）。这张照片是家庭发展演变的见证，激励着亚历山德拉在艰苦的岁月中勇敢前行。这张照片能唤醒亚历山德拉的自我身份认同，起到建构其文化身份的作用。或者说，照片是一种回忆的方式，维系着亚历山德拉对自我身份的认知。阿莱达·阿斯曼（Aleida Assmann）指出：“若是没有回忆能力，我们就不能建构自我，而且也无法作为个人与他人进行沟通”（阿斯曼 57）。除此之外，亚历山德拉也珍藏，并一直使用着父亲生前用过的连橱桌。这张连橱桌不是一件普通的家具，而是连接着三代人记

忆的见证物，它沟通着家庭成员间往昔的记忆与情感。父亲柏格森先生去世前，经常在这张连橱桌上“要写很多的信寄回瑞典的老家。那儿他有很多朋友，直到他过世，朋友们还在给他写信。没有人因祖父的耻辱而责怪他。现在，我仿佛仍能看见他星期天坐在那儿，穿着白衬衫，认真地写着一页页的信”（129）。连橱桌凝缩着父亲鲜活的形象，系着女儿对父亲的爱，记录着家庭历史的演变。

无论是讲故事，还是烹饪美食，或是珍藏纪念物品，这些都延续着文化的传统。女性拓荒者便是这一文化传统延续的重要的媒介，她们把对文化的延续融入到日常生活中，表达了对自己文化传统的热爱。

结语

《啊，拓荒者！》中的亚历山德拉坚强独立，开疆辟土，是毫不逊色于男性的建功立业者，与男性拓荒者形成了平等、对位的伦理身份关系。以柏格森太太为代表的女性，她们不辞辛苦，持家有道，是幸福家庭耕耘者。她们身上展现的家园意识，迥异于男性拓荒者的征服意识，是男性拓荒者依赖的补位的伦理身份存在。除此之外，女性拓荒者还是文化的传承者，她们善于讲故事，烹饪美食，珍藏纪念品，并用这样的方式打捞记忆、保存过去、激活以往的体验，从而构建集体认同的文化伦理身份。在《啊，拓荒者！》中，凯瑟用童年的记忆改写了女性在西部拓荒文学中的地位，增补、言说了女性在拓荒中不可或缺的伦理价值。通过凯瑟的努力，女性拓荒者的形象开始浮出水面，至此，男性主导的西部拓荒文学史一去不返，女性拓荒者终于发现了自我的伦理身份与价值，同时也看到了生命存在的曙光。

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修辞与荣誉：莎士比亚《科利奥兰纳斯》中的伦理选择

Rhetoric and Honor: Ethical Choice in Shakespeare's *Coriolanus*

林志猛（**Lin Zhimeng**）　张　霄（**Zhang Xiao**）

内容摘要：莎士比亚《科利奥兰纳斯》揭示了伦理身份与伦理选择之间的复杂关系。科利奥兰纳斯认为，罗马公共生活的虚假修辞贬低了他作为将军这一身份的荣誉，使用诡诈的政治权谋则有损于他的高贵。科利奥兰纳斯的首要身份是罗马将军，这使他选择爱荣誉的生活，甚至渴望凭借荣誉脱离城邦而获得神一样的自足。由于科利奥兰纳斯过度热爱荣誉，他极为看重战争德性，而罔顾和平时期政治人所需要的品质及民众的基本欲求。遭放逐的科利奥兰纳斯又受制于作为儿子和罗马公民的伦理身份，而作出放弃攻打母邦的伦理选择。莎士比亚由此阐明，真正优秀的政治人，不能只有勇敢美德，而要有健全的美德。好政治人应能诉诸高贵的修辞和政治伦理，恰当地引导民众的爱欲，并使其转向高贵的道德。

关键词：莎士比亚；科利奥兰纳斯；修辞；荣誉；伦理选择

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Title: Rhetoric and Honor: Ethical Choice in Shakespeare's *Coriolanus*

Abstract: Shakespeare's *Coriolanus* reveals the complicated relationship between ethical identity and ethical choice. According to Coriolanus, the false rhetoric of Roman public life debases his honor as a general, and deceitful political trickery undermines his nobility. As a Roman general first, Coriolanus chooses to live an honorable life, and he even longs for independence from city and acquiring self-sufficient like a god by honor. Due to his excessive love of honor, he overestimates virtues in war, but ignores necessary qualities of politician in peace and basic needs of people. Having banished by Rome, Coriolanus is still restrained by his ethical identity as a son and a Roman citizen, and he makes an ethical choice to give up

attacking his homeland. Therefore, Shakespeare shows that the truly good political man not only has courage virtue, but has the whole virtues. A good politician should be able to appeal to noble rhetoric and political ethic, guiding desires of people properly and making them turn to the noble morality.

Key Words: Shakespeare; Coriolanus; Rhetoric; Honor; Ethical Choice

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莎士比亚的罗马剧《科利奥兰纳斯》（*Coriolanus*）[1] 以普鲁塔克的《希腊罗马名人传》为蓝本，讲述了公元前五世纪的故事。科利奥兰纳斯本名卡厄斯·马歇斯，是位罗马贵族。他因围攻沃尔西人占据的科利奥里城立下赫赫战功，而得名“科利奥兰纳斯”。回到罗马后，科利奥兰纳斯参选罗马执政官，因他素来对民众态度强硬，又不愿在竞选中取悦民众，护民官以此为由煽动民众致使他落选。科利奥兰纳斯在激愤之下痛陈罗马弊病，结果被愤怒的民众放逐出城邦。郁郁不平的科利奥兰纳斯转而投身罗马之敌，并率领沃尔西大军反攻母邦，以报复民众的忘恩负义。最后，在母亲等人的劝说下，科利奥兰纳斯幡然醒悟，放弃了进攻。在带兵返回科利奥里城后，科利奥兰纳斯被斥为叛徒，遭对手奥菲狄乌斯及其党徒杀害。

虽然莎剧《科利奥兰纳斯》的人物与基本情节源于普鲁塔克撰述的历史，但莎士比亚没有止步于普鲁塔克对科利奥兰纳斯个人品性与其行为方式的道德评判，他走向了对更为广阔和复杂的政治问题和伦理选择[2] 的反思。科利奥兰纳斯与民众发生冲突，并最终被放逐便显明地体现了这点。在普鲁塔克笔下，科利奥兰纳斯因维护贵族利益并对待民众态度强硬而失去民众的支持，但在莎士比亚笔下，科利奥兰纳斯则因拒绝接受充斥着修辞与谎言的政治权谋，进而公然选择质疑习俗，结果从罗马的英雄转变为罗马之敌。借由莎士比亚对科利奥兰纳斯的重新塑造，我们得以理解剧中所提出的严肃的伦理和政治问题。

1 莎士比亚：《科利奥兰纳斯》，见《莎士比亚全集》第 6 卷，朱生豪译，页 309-424。文中所引译文将随文注某幕某场，根据原文略有改动。英文版参 Philip Brockbank ed., *Coriolanus*; R. B. Parker ed., *The Tragedy of Coriolanus*; Lee Bliss ed., *Coriolanus*。

2 聂珍钊认为，人通过伦理选择获得理性，由此具有了分辨是非善恶的能力。参聂珍钊：《文学伦理学批评导论》，页 32-39。

一、修辞与真实

在第一幕将近结尾处，科利奥兰纳斯带领罗马士兵攻占了科利奥里，赶走了沃尔西人并大获全胜。与普鲁塔克的撰述相似，主帅考密涅斯当即就在营帐附近论功行赏，大大地褒奖科利奥兰纳斯的功绩。但莎士比亚在此处增添了普鲁塔克未提及的情节，即科利奥兰纳斯对考密涅斯称赞的极力拒绝：

> 马歇斯：我身上的剑痕尚新，它们听见人家提起它们的时候，就会作痛的……可是我不能同意让我的剑受人贿赂……愿这些被你们亵渎的乐器不再发出声音！当战地上的鼓角变成媚人的工具的时候，让宫廷和城市里都充斥着口是心非的阿谀奉承吧！（1.9）

科利奥兰纳斯极为抗拒考密涅斯对他的公然赞赏，他甚至将众人的致敬视作“阿谀奉承”，但他毫不推辞地接受了纪念他征战荣誉的“科利奥兰纳斯”之名，这使我们无法简单地用谦逊与慷慨来解释这种怪异而矛盾的态度。为什么科利奥兰纳斯心甘情愿地接受了他的荣誉之名？“或许因为他将它视为他的，他能支配的，然而其他人的声音终归是他们自己的”（Leggatt 193）。科利奥兰纳斯寻求的声名源于能自证自足的美德，是通过自己的行为而非他人的言语获得的荣誉。或许在科利奥兰纳斯看来，“科利奥兰纳斯”之名来自于自己在战场上出色的表现，这是他自身战功的证明而与他人无关。但是，他不信任言辞给予的赞美，不愿接受来自他人意见的“贿赂”与“亵渎”。这是否暗示了罗马政治生活中的言辞不同于真实？

罗马政治中的言辞与真实的问题在第二幕中得到了充分的展示。在第二幕开场，米尼涅斯问伏伦妮娅、维吉利娅等人，科利奥兰纳斯是否受伤，三个人却有完全不同的反应：

> 维吉利娅：啊！不，没有负伤，没有。
> 伏伦妮娅：啊！他受伤了，感谢天神！
> 米尼涅斯：只要受伤不厉害，我也要感谢天神。他把胜利放进他的口袋里了吗？（2.1）

不同的话语暗示了三人对受伤（wounded）与荣誉的关系的三种理解。妻子维吉利娅急切的否认暗示，她只关心丈夫的身体健康，她看不到受伤与否会对科利奥兰纳斯在公众眼中的形象产生何种影响，她对丈夫的关心全然是单纯的、个人的、源于自然本性的。友人米尼涅斯亦表现出对科利奥兰纳斯生命健康的关切，但他的询问则暗示，只有战争的胜利而非伤口本身才能证明受伤的价值，比起“受伤”这一表现，米尼涅斯认为实质性的结果更有

意义（Brockbank 158; Bliss 166）。母亲伏伦妮娅对儿子的受伤却显得异常兴奋、满怀期待，她甚至要为此而“感谢天神”，随后，她竟然骄傲地与米尼涅斯盘点起儿子历次战役所受的伤。因为，“伤口”是科利奥兰纳斯获取执政官的政治资本，是科利奥兰纳斯英勇作战的具体展现，代表着荣誉。

伏伦妮娅的话显示，荣誉的获得需仰仗罗马民众的意见。伏伦妮娅深谙其道并试图利用作为荣誉表象的“伤口”左右民众的意见，而无论是维吉利娅那种纯个人、非政治的看法，还是米尼涅斯那种更看重实质性结果的观念，都无法引导民众的情感判断，也无法左右罗马的政治局势。但伏伦妮娅清楚地认识到，罗马的公共生活具有强烈的修辞特征——是表现荣誉的方式而非荣誉实质的内涵在政治生活中更具影响力。

关于修辞与真实的差异集中体现在第二幕第二场的表彰大会上。考密涅斯在议会上叙述科利奥兰纳斯的功绩时，科利奥兰纳斯却“起身欲去”，并表示“我宁愿让我的伤痕消失了形迹，不愿听人家讲起我得到它们时的情形”，即便米尼涅斯竭力劝阻，科利奥兰纳斯还是以“不愿呆坐着听人家把我的一些不足道的小事信口夸张”为由离场（2.2）。想要理解科利奥兰纳斯对即将到来的演说感到如此不适的原因，我们首先应理解考密涅斯的公共演说：

> 我的声音太微弱了，不够叙述科利奥兰纳斯的功绩。勇敢是世人公认的最大美德，有勇的人是最值得崇敬的……他就这样从孺子变成了健儿，他就这样繁荣滋长，像大海一样奔腾向前……正像水草当着一艘疾驶的帆船一样，他的剑光挥处，人们不是降服就是死亡……他又单身脱围而出，带着一队生力军，像一颗彗星似的向科利奥里突击……在那里他奔走驰突，杀人如麻，好像这是一场永无休止的掠夺一样……（2.1）

考密涅斯的政治演说将科利奥兰纳斯比作大海、彗星，仿佛他已成了孤独的、永恒的、不变的自然物。他借用修辞赋予了科利奥兰纳斯自动的、自在的特征，虽则是为了宣扬他的荣耀，但这个形象已经超越了人的限度。在柏拉图《高尔吉亚》中，苏格拉底将修辞术看作说服的能手（柏拉图《高尔吉亚》453a）。他区分了没有知识的信仰与产生知识的说服，并迫使高尔吉亚承认，修辞术是确定信念的创造者，是说服性的而非关于对错的指示（柏拉图《高尔吉亚》454e-455a）。柏拉图认为，应将修辞术看作获得正义的过程而非最好的技艺，这证明了修辞术在道德立场上固有的含混性——只有朝向善，修辞才有益。

很难说考密涅斯的演说并非指向善，因为表彰城邦的优秀战士，使其英勇获得相应的报偿应属正义之事。因此科利奥兰纳斯此时面临的伦理选择是，是否应该接纳公共生活中必需的政治修辞，即便它确实远离真实。莱格特评论：“关于我们未曾见到的人物传统的夸张现在成了真实的问题，即语

言是否能与我们所见到的相匹配”（Leggatt 191）。科利奥兰纳斯发现自己置身于由言辞构建的假象之间，他直言自己不愿承受假象赋予自己荣誉的价值：“往往打击使我停留，空言却使我逃避”（2.2）。科利奥兰纳斯表明，言辞与行动分别作为虚假与真实彼此矛盾。对科利奥兰纳斯而言，行动与言辞截然对立而非相互补充（Peltonen 247）。战场杀敌在科利奥兰纳斯眼中具有了个人化的特征，因为他将行为视作与罗马虚假的政治言辞相反的真实自我的证明。科利奥兰纳斯以“离场”躲避考密涅斯的演说，并拒绝凭借他人的意见建构自己荣誉的价值。[1]科利奥兰纳斯拒绝正式的公共话语（Sicherman 189），但他的价值因此就无法得到罗马的认可，而被视为所在共同体的异类流放在外。

科利奥兰纳斯对政治话语的拒绝最终走向了对罗马传统习俗的反抗：“习俗（custom）逼着我这样做；习俗怎样命令我们，我们就该怎样做，陈年累世的灰尘让它堆在那儿不加扫拭，高积如山的错误把公道正义完全障蔽”（2.3）。科利奥兰纳斯对习俗合理性的质疑已经从捍卫个人荣誉层面上升到城邦正义的层面。作为罗马的将军，科利奥兰纳斯认为罗马的选举制度看重以伪饰的言辞奉承民众，而贬低了战争杀敌的行为带来的荣誉。但他公然抨击习俗导致了灾难性的后果。因民众的议论揭示出，他们并未具有表面所示的、能依凭自己的心意任命执政的大权，他们受制于实质上对贵族更有利的传统，即必须赋予建功立业者以相当的地位。罗马传统习俗视战功为至高荣誉，这使得民众害怕成为贵族口中的“忘恩负义”者，因此他们自觉地遵循着贵族的引导，授予城邦的英雄以至高权力。可以说习俗像是最后一道帷幕，使科利奥兰纳斯与平民的敌视关系不至过于明显，并维护着两阶层相安无事的表象。但科利奥兰纳斯对真实的坚守致使他撕破了习俗刻意遮蔽的内部冲突，这险些导致了罗马内战。

科利奥兰纳斯对公共演说的拒绝与对习俗的挑战，指向了自身美德与共同体政治修辞的冲突以及由之而来的僭越。科利奥兰纳斯不屑于关注表象与修辞，而公然质疑习俗甚至痛责民众，但他公开发表的言辞是本应私下在贵族之间讨论的政治问题。同时，莎士比亚为科利奥兰纳斯增加的另一特点是，他羞于公然在平民面前展示他的伤口，而只能在私下这样做。科利奥兰纳斯试图隐藏的，其实正是政治要求公开的东西。他不愿为了迎合他人的期待展现自己外表，这与对政治人的要求恰好相反（Cantor 91）。[2]由此表明，科利奥兰纳斯没能区分公共与私人言辞的差异，而无法认识到表象和修辞在政治生活中的作用。从战场到城邦，从将军到执政官的伦理环境的变化，本要求

1 William R. Bowden 在 “The ‘Unco Guid’ and Shakespeare’s Coriolanus”（43）中将科利奥兰纳斯与科迪利娅、夏洛克、马伏里奥、伊莎贝拉归为同类，即本性善良却自以为是的人。

2 本文所引 Paul Cantor, *Shakespeare's Rome: Republic and Empire* 均为张霄所译，将由华夏出版社于 2020 年出版。

科利奥兰纳斯转换他的伦理身份。但科利奥兰纳斯始终秉承以战场杀敌的英勇为美德的将军身份，而无法采取必要的政治技艺。这就表明，他还没有完成从战争英雄向合格政治人的转变。科利奥兰纳斯始终不肯为获得民众的"同意"而作出改变，既不迎合也没能提升民众的意见。

剧作由此引导我们思考政治人与修辞的关系。修辞术是说服的技艺，它的工具性表明了它在价值判断中所持有的道德中立立场，因此这一技艺自身并不能完成教育或教导的职能（施特劳斯 68）。但修辞术在公共生活中扮演着举足轻重的角色，它承担着沟通政治人与公民的功能。合格的统治者应借助指向共善的修辞术激励公民追求道德的生活，并完成对公民的教育。因此，好的政治人不应像科利奥兰纳斯那样逃避甚至极端厌恶修辞术，而应该在充分理解人的自然本性的前提下，借助修辞术引导民众的爱欲，安抚民众的激情，以培育民众高贵的道德义愤和对正义的热忱。但科利奥兰纳斯认为虚假的修辞是对其美德与荣誉的贬低，因此他拒绝使用任何包括谎言、伪装在内的权谋之术。那么，合格的政治人又该如何恰切处理荣誉与权谋的关系呢？

二、荣誉与权谋

科利奥兰纳斯认为，违反自己的"本性"向民众道歉是一种耻辱，虚与委蛇的权宜之计会损害他作为将领的荣誉。但与之相反，他的母亲伏伦妮娅则坚持两者并行不悖，并将科利奥兰纳斯直率地展现他"刚强的心"视作缺乏"头脑"，她试图运用过人的智谋与出色的修辞术劝说科利奥兰纳斯，以证明在竞选执政之位时政治权谋的必要性与有用性：

> 在危急的时候，一个人是应当通权达变的。我听你说过，在战争中间，荣誉和权谋（policy）就像是亲密的朋友一样不可分离 …… 要是在你们的战争中间，为了达到你们的目的起见，不妨采用权谋，示人以诈，而这样的行为对于荣誉并无损害，那么在和平的时候，万一也像战时一样需要权谋，为什么它就不能和荣誉并行不悖呢？（3.2）

伏伦妮娅将荣誉与权谋在战争中密不可分的观点归于科利奥兰纳斯，但无论在普鲁塔克笔下还是在本剧中，我们都未听到科利奥兰纳斯说过类似的话。[1] 科利奥兰纳斯在战争中展现的形象更接近一味进攻、纵横沙场的阿基琉斯，而非以足智多谋取胜的奥德修斯，这让伏伦妮娅的立论显得可疑。倒不如说，伏伦妮娅塑造的科利奥兰纳斯的将领形象源于自己的想象，她所言说的荣誉与权谋的关系更多出于自己的理解。另外，即便伏伦妮娅的说法能让

1 Philip Brockbank ed., *Coriolanus*："在莎士比亚采用的诺斯译本中，未有伏伦妮娅归于科利奥兰纳斯的类似观点，本剧中也没有出现"（见 p.220，40-41 行注释）。Lee Bliss ed., *Coriolanus* 亦提到："但我们没有听到科利奥兰纳斯声称，或看到他在战争中实践这种荣誉与权谋的统一"（见 p.214，43 行注释）。

不善言辞的科利奥兰纳斯哑口无言，她证明权谋和荣誉可以共存的方式却是以战争类比和平，可这如同说，使用对待外邦人的方式处理内政，以对待敌人的方式来对待民众合情合理。

伏伦妮娅同等对待民众与威胁着罗马安全的外敌，这无疑混淆了政治领域的敌人与朋友概念。伏伦妮娅的言辞没有区分敌友，她将本应属于战争时期的特殊手段看作和平时代的常态，甚至将权谋与欺诈作为对待平民的手段。伏伦妮娅始终视民众为敌人，并对民众有着根深蒂固的憎恶和不屑，正是她长久以来的言传身教孕育了科利奥兰纳斯对待民众的粗暴态度。因此，科利奥兰纳斯没有意识到，在战争与和平时期，政治人需要具备不同的品质。成为执政官要求他具有不同于将军的品质：和平时期的生活要培育民众的闲暇德性，这与战争时期的克敌制胜不同，而过于强调战争德性会无法适应和平时期的生活（亚里士多德《政治学》1333a30-1333b5）。在战场上，科利奥兰纳斯的勇敢可以使得民众暂时放下对个人利益的考量，激起他们为守卫共同体而战的勇气。但在和平时期，如果缺乏对闲暇德性的培育，那么和平生活对民众而言就是“麻木不仁的、平淡无味的”，只能使“人们彼此仇恨”（4.5），而无法培育出高贵的道德。由此也暴露了科利奥兰纳斯缺乏政治智慧。

伏伦妮娅还更进一步，试图教育科利奥兰纳斯以伪装取悦民众，她说：

> 为了避免把自己的命运作孤注，为了避免流许多的血，你可以用温和的词句招抚一个城邦，那么向人民说这样的话，对于你的荣誉有什么损害呢？要是我的财产和我的亲友处于生死存亡的关头，需要我用欺诈的手段保全他们，我就会毅然去干那样的事，并不以为有什么可耻……（3.2）

伏伦妮娅“大量谈及荣誉，但在政治危机中她完全乐意依赖权谋并玩弄手段和撒谎”（Goddard 212）。她理所当然地为欺诈和谎言辩护，声称为了避免敌人的威胁，同时保护自己的利益，以伪装示人完全正当。事实上，伏伦妮娅在言辞中刻意混淆了手段相似但性质相反的两种行为，即捍卫城邦的荣誉与维护私人的利益：前者体现为“招抚一个城邦”，即在战争中，为了城邦取得战争胜利并最大限度地减少敌我伤亡而逼不得已做出的让步；后者则体现在为了保护家庭、亲友，甚至为维护个人的地位与财富玩弄权谋之术。即便同样是使用伪装并运用欺骗性的修辞，目的不同的行为也有着天壤之别。因此，伏伦妮娅试图从捍卫城邦荣誉的角度论证科利奥兰纳斯欺骗民众的合理性，可能只是在刻意混淆高贵与私利间的差异。

那么，我们应如何理解权谋与荣誉的关系呢？首先应该承认，在面临一触即发的内战的情况下，使用谎言与修辞弥合贵族与平民间的裂痕，可视为必要的政治手段。但这种权谋是否应当作高贵之事则值得怀疑。柏拉图曾提

及政治生活中“高贵的谎言”（《理想国》414b）以及“有益的谎言”（柏拉图《法义》663e），但在柏拉图的意义上，“高贵的谎言”是为了让人过上有德性的生活，使个人的善与城邦的善统一（布鲁姆 98-100）。柏拉图高贵的谎言一方面突显，所有人皆为大地所生，因此人与人具有平等性，统治者应充分照料共同利益。另一方面又强调人存在自然差异，应尽可能让不同类型的人各司其职，并使最高贵的有德者行统治。换言之，虽然政治生活中难免有丑陋和不高贵之处，但政治人的“谎言”应秉持“高贵”的目的，朝向共同利益，而非服务于牟取私人权力或利益。

但伏伦妮娅劝导科利奥兰纳斯接受的，更像一种以荣誉之名掩盖的马基雅维利式权谋，因她似乎只是将谎言视作一种“在基础未固以前”的权宜之计，她甚至未提及此情此景下使用权谋之术对维护罗马和平有其必要性，这让我们怀疑，伏伦妮娅是否将战争而非和平视作城邦的目的。亚里士多德在批评斯巴达政体时指出，立法者应“务必以求取闲暇与和平为战争的终极目的”（亚里士多德《政治学》1334a5、1333b50），因为持续受到战争训练的公民亦会可能以暴力夺取城邦的政权。同时，由于城邦缺乏凝聚成员的团结与友善，尚武城邦的公民们便无法在和平时代共同生活。

科利奥兰纳斯最终未被真正地说服，这或许表明，即便伏伦妮娅大谈荣誉，但她以荣誉与高贵为其权谋与谎言做掩护有着无从避免的困难。科利奥兰纳斯对伏伦妮娅的服从源自儿子对母亲的尊重，作为儿子的伦理身份暂时压制了作为将领的骄傲与血气，但这并不能彻底解决科利奥兰纳斯所面对的伦理困境。在遭到放逐之后，科利奥兰纳斯再次成为锐不可当的将领，他率领沃尔西军队进攻母邦，以洗雪罗马给予他的耻辱。科利奥兰纳斯的骄傲包含着对自足的渴求，这隐含着对家庭与城邦的僭越。可以说，他的将军身份和作为儿子、罗马公民的身份始终隐含着冲突。

科利奥兰纳斯如神般自足的幻象最终被他对家人的爱打碎。当他坐在沃尔西人的营帐中接见他的罗马家人时，他感到自己的冷酷正在被温情消解。爱欲意味着匮乏，而对家人的思念彰显着他的不自足。母亲是科利奥兰纳斯的生命之源，是他“躯体的高贵的模型”，而孩子是他生命的延续，是他的“一个小小的缩影”（5.3）。他的家人是他无法获得自足的鲜活证明，即便他只关心自己的荣誉，他也需要后代来保有他的美名（Cantor 104）。科利奥兰纳斯的家人向他表明，他并非超然物外的神，他无法摆脱自己作为儿子、丈夫、父亲的伦理身份，更无法斩断他与罗马的纽带。此时，科利奥兰纳斯作为沃尔西将领的身份与他作为罗马亲人的伦理身份发生了冲突，但最后，对家人的爱战胜了他的冷酷，他将退兵作为自己的伦理选择。科利奥兰纳斯对荣誉的极度渴望险些毁灭了罗马这个崇尚荣誉的城邦。

科利奥兰纳斯渴求的荣誉包含着内在的矛盾。或许他希望一劳永逸地征服平民，但当他为罗马效力成为执政官时，他至少是部分地在为他所厌恶的

平民服务。只要科利奥兰纳斯还需要谎言与妥协才能赢得执政之位，平民就对他的荣誉有着绝对的影响力。他最终发现，荣誉作为对自身美德的报偿，建立在他所鄙弃的民众的意见之上。他或许会怀疑，荣誉是否使他更加依赖罗马，特别是罗马的民众，而非使他能够凭借绝对的价值而获得自足。

荣誉与权谋的内在关联显明，除了作为美德的报偿，荣誉具有习俗的一面，即它始终依赖民众的意见。为了获取荣誉以及实现相应的政治目的，科利奥兰纳斯必须学会利用意见。正如米尼涅斯的评价："他的天性太高贵了，不适宜这个世界"（3.1）。在罗马，权谋呈现为政治诡计这种较低的形式，而非政治智慧这种较高的形式。科利奥兰纳斯无法以牺牲荣誉为代价使用权谋，他的伦理困境在于，如果坚持个人荣誉至上而不迎合罗马民众，他就无法获得相应的职位，而成为执政官；如果他想成为执政官，就无法坚持荣誉至上和他心目中的高贵。因此，科利奥兰纳斯的故事最终指向了他选择荣誉生活的伦理困境。

三、科利奥兰纳斯的伦理选择

科利奥兰纳斯具有多重伦理身份：他既是儿子、丈夫和父亲，又是将军、罗马人和叛国者。这些不同的伦理身份，致使他作出的伦理选择隐含着内在冲突。自第三幕第三场起，科利奥兰纳斯展现出他摒弃政治权谋，走向荣誉生活甚至试图寻求自足的伦理选择，这一选择包含着他对善恶是非的价值判断。护民官早就为科利奥兰纳斯罗织好了"专政独裁"和"民众的叛徒"的罪名，他们抓住科利奥兰纳斯政治血气过盛的弱点，"激动他的怒气"。科利奥兰纳斯无法容忍谎言对自身荣誉的污蔑，他忘记了温和的态度，在盛怒之下出言不逊，痛斥民众和护民官，最终依护民官所愿被逐出罗马（3.3）。科利奥兰纳斯要求所得的荣誉与自身德性完全相称，他因过度自爱而过于尊崇荣誉，过盛的政治血气使他无法理智地接受不公正的诽谤。

科利奥兰纳斯多次被比作"狗"，他的身份让我们想起《理想国》中所描述的城邦护卫者。但苏格拉底所指的护卫者兼具节制与勇敢两种美德，他们能在战胜敌人的同时保护城邦的其他公民（柏拉图《理想国》375a-375b）。而科利奥兰纳斯不仅向敌人狂吠，也向平民吼叫，他的政治血气却未成为护卫罗马的武器。科利奥兰纳斯的愤怒指向了血气的固有含混性——灵魂中的血气（激情）可高可低，若没有受理性支配，便可能与欲望联手，而沦为低劣的血气，走向犯罪或对城邦的背叛。奥菲狄乌斯批评科利奥兰纳斯骄傲、见事不明且本性难移："刚毅严肃本来是治军的正道，他却用来对待和平时期的民众"（4.7）。这表明，科利奥兰纳斯混淆了战争与和平时期的不同品质。科利奥兰纳斯或许很难成为罗马和平时期的执政官，因他不具备这方面的美德。在战争时期，他可以激起人们保护城邦的血气及其对政治共同体的关怀，但在和平时期，他公然藐视民众生活的基本欲求，而遭受抛弃。

科利奥兰纳斯对荣誉的伦理选择彰显了他个人美德的局限性。将勇敢奉为最高美德是罗马的做法，但如果其他城邦视正义或虔敬为“最高美德”，科利奥兰纳斯就不再是最高类型的人（Cantor 58）。这意味着，由于视野被限制在罗马城内，科利奥兰纳斯尊奉的美德在更高的意义上并非完满。科利奥兰纳斯至多是罗马的英雄，但很难由此认定他是更高意义上的典范，因为勇敢美德不是最高的德性。柏拉图在《法义》中指出，勇敢是四重美德中最低的德性。仅仅拥有勇敢美德的人并非完整之人，还有比他更高的好人：“这个人比其他人要好得多，几乎就像是正义、节制、明智连同勇敢，集于一人身上，这好过只有勇敢本身”（柏拉图《法义》630b-c）。由此，我们得以看到政治人科利奥兰纳斯的缺陷，由于尊奉勇敢为最高价值，他的美德过于单一，没有完整的美德，尤其是智慧。

科利奥兰纳斯渴望凭借荣誉获得神一样的自足，最终却沦为冷酷而机械的自足（Cantor 100）。哲人爱智慧的生活方能达到真正的自足，政治人爱荣誉的生活有其内在的局限。但科利奥兰纳斯对荣誉的热爱本身也呈现了某种高贵性，隐含着对人的优异的追求（即便不是追求灵魂完善的最高优异性）。因此，罗马将科利奥兰纳斯驱逐出城邦意味着，人的优异与政治优异有着巨大矛盾。政治人的生活、哲人沉思的生活、多数人享乐的生活是不同的生活方式（亚里士多德《政治学》1095b15-20），成为好政治人、好人（哲人）或好公民乃是不同的伦理选择。

科利奥兰纳斯将爱荣誉的生活作为其伦理选择，他不受理性支配的过度的政治血气，导致他蔑视民众的基本欲求，忽视了和平时期政治人所需要的品质。科利奥兰纳斯本应虑及民众的欲求，从而使贵族与平民阶层更紧密地结合，而非相互分裂。但是，科利奥兰纳斯因为罗马的民众与护民官没能正确地尊重他而憎恶他们，也就是说，他要求自己无需做出任何妥协。科利奥兰纳斯在愤怒中离开了罗马，声称“我这样离开你们，这世界上还有别的地方”（3.3）。然而，如果科利奥兰纳斯的荣誉依赖于民众对他的崇拜，这至少显示，荣誉无法使他自足。毕竟，荣誉取决于授予者而非接受者，它并非如善一般，是属己的、不易被拿走的东西（亚里士多德《尼各马可伦理学》1095b20-30）。荣誉使他依赖罗马，或者任何和罗马一样的城邦。

科利奥兰纳斯的悲剧还在于他的公共角色与私人身份之间的分裂。科利奥兰纳斯是位将军，具有非常强烈的军人色彩（1.4，1.9，2.1，3.2，3.3，4.5），他要转变为执政官这一公共的身份就应恰切地对待民众的诉求，而不能只做他自己。一旦他面对社会的要求时，仍然忠于私人身份就具有破坏性（Eagleton 107）。科利奥兰纳斯厌恶自己的荣誉建立在民众的意见之上，“我轻视你们的好感，就像厌恶腐烂的露骨的尸骸一样。我放逐了你们”（3.3）。罗马放逐了科利奥兰纳斯，他便反过来放逐了罗马，两者显得自立自足。科利奥兰纳斯试图避免以任何形式依赖于他人。如果爱欲意味着缺乏与自足的不可能，

那么，科利奥兰纳斯有意摒弃包括亲情友情在内的各种爱欲，就是他对寻求自足的尝试。科利奥兰纳斯对荣誉的热爱使他固守着自己作为将领的身份，但将人性中的单一面发展到极致，却使得他最终无法履行政治人的义务，甚至无法忠于他的罗马亲人。

科利奥兰纳斯的故事指向了他的伦理选择带来的悲剧性结果，他缺乏理性的约束，其幼稚而易怒的血气使他叛离罗马及其家人。他凭借荣誉获得自足的追求下降为冷漠的执拗："可是去吧，感情！一切自然的伦常和荣耀（privilege），都撕裂吧！让倔强（obstinate）成为一种美德"（5.3）。他所试图摹仿的神性以牺牲人性中高贵的情感和伦理关系为代价。他的政治血气由追求高贵的荣誉，转变为一种顽固的坚持甚至鲁莽。正如西西涅斯所言，"他还缺少天神应有的慈悲"（5.4）。即便他成为神，他的神性亦是冷酷无情的。科利奥兰纳斯在试图成为神的同时，摈弃了人性的高贵，无可避免地走向了兽性的一面。

科利奥兰纳斯因厌恶他的荣誉沾染上平民习气，转而厌恶罗马。科利奥兰纳斯遭放逐后，他的伦理身份发生了变化——通常在他人的言辞中因其超群绝伦的勇气和孤独被塑造成"神"的科利奥兰纳斯，在远离罗马之际第一次将自己比作"龙"（dragon，4.1）。"神"与"兽"两种形象开始同时指涉离开罗马后的他，这一形象接近亚里士多德所说的远离城邦的人非神即兽（亚里士多德《政治学》1253a26-29）。[1] 神因其整全、兽因其无知无识而不需要城邦，但人天生是政治的动物，需要政治共同体才能活得幸福。城邦既赋予人身份，又教育和约束着人，为人的完满提供了实现的条件。科利奥兰纳斯率兵攻打母邦，而作为叛国者拒绝了自己作为罗马人的伦理身份。他想凭借其勇敢美德及荣誉独立于罗马，但最终还是得依赖于另一个城邦。这再次表明，仅凭荣誉本身无法获得真正的自足。

科利奥兰纳斯或许没有意识到，"科利奥兰纳斯"作为他进攻科利奥里城而获得的荣誉之名，本身便彰显着他作为罗马征服者的伦理身份。这个名字并未授予他所希望的独立与自足，反而使他更深地依赖罗马城邦。直到叛离罗马来到安提奥，他才发现，"科利奥兰纳斯"已经只剩了一个空洞的名字，他赖以为荣的英勇美德随着他对罗马的拒绝而被人遗忘。因此他以"无名无姓"的形象出现在剧中，选择以毁灭罗马的方式彻底断绝自身与罗马的联系，并给予自己全新的定义。但伏伦妮娅的请求点醒了科利奥兰纳斯：他的生命及荣誉与罗马悲剧性地结合在一起，他永远无法脱离政治意见并凭借自身的美德而独立。他的美德只能作为罗马的"科利奥兰纳斯"才能得到彰显，他只能作为家族和城邦的一部分存在。科利奥兰纳斯对神一样自足的追求险些导致了兽一般的残酷，如果泯灭了人性的因素，他将沦为野兽般的人（聂珍

1 Lees 认为："《科利奥兰纳斯》包含了源自《政治学》的血液、骨骼与筋腱；反过来，对《政治学》的阅读为理解本剧提供了确证"（Lees 123）。

钊 38）。在最后，科利奥兰纳斯回忆起自己征服科利奥里的功绩，他唤起沃尔西人的恐惧与仇恨，选择重新作为罗马之子死去。

科利奥兰纳斯的悲剧表明了荣誉生活的限度。作为罗马的将领，科利奥兰纳斯崇尚战争美德，而忽视和平时期的德性，这使他无法生活在城邦之内，从而选择无需城邦的自足生活；作为罗马公民，他既无法斩断亲情的纽带，也不能独立于罗马保有他的荣誉。在远离罗马之后，科利奥兰纳斯作为罗马人的伦理身份仍在他的伦理选择中发挥作用。最终，他选择重新恢复自己的罗马公民身份。科利奥兰纳斯受制于复杂的伦理关系，他终归无法变得像惩恶扬善的自足之神那样。随着科利奥兰纳斯对罗马以外世界的探索，他发现，城墙之外的世界与罗马并无什么不同。

结语

科利奥兰纳斯的故事展现了主人公维护个人荣誉的伦理选择及其悲剧性结果，彰显了政治人在战争时期与和平时期所需要的不同美德。科利奥兰纳斯的品质主要体现在战争中的勇敢，但他对待平民过于粗暴，缺乏节制与审慎，同时也缺乏对付居心叵测的护民官的智慧。而他通过荣誉获取自足的尝试，终被证明无法实现。行权谋之术的罗马与固守片面美德的科利奥兰纳斯之间的冲突显明，真正优秀的政治人，既不应该毫无顾忌地运用马基雅维利式的政治权谋损害美德，也不应该凭借单一的美德损害政治现实。政治人需要具备完整的德性，方能处理好政治和伦理困境。

莎士比亚也呈现了科利奥兰纳斯的伦理身份与伦理选择的复杂关系。科利奥兰纳斯的首要身份是罗马的将军，常年的战争生活让他无法适应城邦的和平生活，并成为合格的政治人。他选择爱荣誉的生活，甚至因过度热爱荣誉而渴望脱离城邦，像神那样自足存在。但科利奥兰纳斯在举兵入侵母邦之时，又受制于作为儿子和罗马公民的伦理身份，而最终作出放弃攻打母邦的伦理选择。《科利奥兰纳斯》通过阐明爱荣誉者无法实现彻底的自足，展示了城邦与个人的悲剧性冲突，以及人的伦理身份在其伦理选择中的重要作用。

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查尔斯·金斯利童话《水孩子》的伦理焦虑与伦理教诲

Ethical Anxiety and Ethical Teaching in Charles Kingsley's *The Water-Babies*

蒲海丰 (**Pu Haifeng**)

摘要: 作为英国维多利亚时代一部经典的儿童文学作品，查尔斯•金斯利的《水孩子》在用童话的形式演绎小主人公汤姆的进化成长过程的同时，也阐释了其中所蕴含的伦理意义。本文从文学伦理学批评视角出发，重点分析汤姆从扫烟囱小孩成为水孩子，再从经历一系列转变变成陆地孩子，直至最终成为科学家的进化旅程中所蕴含的伦理问题。本文认为金斯利用童话的形式展现了 19 世纪中期英国人对于进化论所引发的伦理焦虑。现实生活中的汤姆缺乏理性意志，失去了人性因子，成为没有灵魂的、退化的存在。在经历水下幻想世界的进化过程和伦理教诲后，他完成了伦理选择，获得了“英国绅士”的伦理身份。

关键词：《水孩子》；伦理焦虑；伦理环境；伦理教诲

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Title: Ethical Anxiety and Ethical Teaching in Charles Kingsley's The *Water-Babies*

Abstract: As one of the canonical literary works for children, Charles Kingsley's *The Water-Babies* not only demonstrates the protagonist's growth, but also elucidates the ethical significance in it. From the perspective of ethical literary criticism, the paper examines the ethical problems Tom's transformation from chimney sweeper to a water baby, then from the water baby to the land baby, until his turning out to be a scientist. It contends that Kingsley discloses the ethical anxiety in the form of fairy tale that Victorians had about the evolutionary theory. In his real life, for the lack of rational will, Tom loses his human factors and turns into a soulless and degenerated being. After experiencing the evolutionary process ethical teaching in the water and fantasy world, he finally completes his ethical choice and gains his ethical identity as an Englishman.

Key words: *The Water-Babies*; Ethical Anxiety; Ethical Environment; Ethical Teaching

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作为英国维多利亚时期作家查尔斯·金斯利创作的一部童话作品，《水孩子》“经常被认为是英国儿童文学中标志着儿童想象力解放的里程碑式的文本，儿童文学‘黄金时代’的第一部作品”(Hunt 164) 。英国学者汉弗莱·卡本特（Humphrey Carpenter）认为“这是一部前所未有的作品”，因为“之前还没有人敢在童话中掺杂这样的元素 —— 在格林童话、贝洛童话或是任何其他人的童话中都没有对于无产阶级工作条件的评论，也没有水生物生活习性的专业信息，更没有对于人在炼狱中道德和精神教育的但丁式的叙述，这完全是对童话的创新”（Carpenter 24）。金斯利被认为是“除了安徒生之外，世界上第一位把儿童文学书籍当作表达成人问题完美工具的作家”（37）。《水孩子》内涵丰富，以童话的形式阐释了作者对于维多利亚时代科学、宗教、种族和伦理问题的关切。本文从文学伦理学批评视角出发，重点分析汤姆从扫烟囱小孩成为水孩子，再从经历一系列转变变成陆地孩子，直至最终成为科学家的进化旅程中所蕴含的伦理问题。

一、维多利亚社会人与猿问题的论争

故事的叙述围绕着扫烟囱的小男孩汤姆从现实世界到虚幻世界的变化，还经历了一系列由人到兽及由兽到人的身体变形叙事展开。变形的问题涉及退化与进化的过程，也与成长的主题密切相关。主人公成为水孩子的变化代表了人类的胚胎形态，也用想象的方式揭示了所有生物都要经历的成长过程，特别是展示了达尔文关于胚胎是不同生物之间隐形联系的看法。文学伦理批评认为“文学是特定历史阶段伦理观念和道德生活的独特表达形式，文学在本质上是伦理的艺术”（聂珍钊，“文学伦理学批评：基本理论与术语”14）。文学伦理批评强调伦理环境和伦理语境对于理解文学作品艺术性的重要意义，认为文本的阐释应该“回到历史的伦理现场，进入文学的伦理环境或伦理语境中，站在当时的伦理立场上解读和阐释文学作品，寻找文学产生的客观伦理原因并解释其何以成立，分析作品中导致社会实践和影响人物命运的伦理因素，用伦理的观点对事件、人物、文学问题等给以解释，并从历史的角度作出道德评价”（聂珍钊，“文学伦理学批评：基本理论与术语”14）。“理解《水孩子》在当时的伟大魅力需要了解维多利亚时代的文化和科学语境”（Harper 122），如果回到金斯利童话《水孩子》创作的伦理现场，我们

发现它与维多利亚时期关于进化论的争论有着密切的联系。

1859 年达尔文《物种起源》的出版在改变人们对生物起源的认识，“为世界打开一扇绚丽之门”的同时，也加剧了英国维多利亚人的信仰危机（Evans 84）。虽然达尔文为避免引起争论并未提及人类进化的问题，科学界和公众的讨论却把讨论的焦点指向了猿向人的进化问题及冷酷的自然与全知全能的上帝之间是否可以调和的伦理问题 (Bratchell 71)。就人对自身和世界的认识而言，达尔文进化论的影响是革命性的，特别是在当时传统宗教势力依旧强大且不愿对于人的地位做出丝毫改变的社会里。进化论首先引发了人们对于自身伦理身份认识的危机，即人到底是神创造的人，还是由动物祖先演变而来的兽。“19 世纪达尔文创建的自然选择理论，科学地解释了我们人从何而来的问题。由于自然选择和进化理论解释了人的起源问题，因此它既是生物学理论，更是哲学理论。可以说，自然选择和进化论是 19 世纪影响最大而且也是极为重要的哲学思想。自然选择解释人类起源的问题，即人从何而来的问题，自然选择解决的是人的形式的问题。”（张连桥，聂珍钊 33）达尔文的进化论只解释了人获得形式的问题，并未解释人的本质问题。在文学伦理学批评理论看来，人在完成自然选择之后，还要进行伦理选择的过程，实现做一个文明社会中有道德的人的问题（23）。作为人类有意志、有意识的生命活动和特有的文化形式，宗教是人脑抽象思辨能力发展到一定程度的产物，也是人类实现伦理选择的重要标志。借助于宗教的伦理选择让人获得了理性，把人与动物区别开来，也帮助人找到了道德成熟和完善的途径。这种宗教的伦理选择让人获得了有别于其他动物的支配地位，但同时也让人类“开始在自身本质与其他动物之间划下了一道鸿沟，拒绝赋予它们理性的权利，却给予自己不朽的灵魂，宣称自己是神的后代，从而毁掉了自己与动物界的联系……”(转引自 Beer 9) 。不过，达尔文的进化论的提出却终结了这种认识，人不再有别于其他动物，而是与动物有着共同的祖先。“ 对于维多利亚人来说，生物进化既是生物问题，也是伦理道德问题 ”（Piers 552）。进化论引发的另一个危机是改变了人与上帝的伦理关系，用生物复杂的演变过程取代了上帝无所不能的设计，动摇了上帝绝对且不变的旨意。当初达尔文在出版《物种起源》一书之前也曾对其影响有过深深忧虑，担心进化论会冲击基督教的神创论，因而“ 觉得自己好像是在犯罪，在毁灭自己心目中上帝的神性 ”（戴维斯 69）。牛津主教威尔伯福斯就对达尔文进化论持一种批判的态度，认为达尔文“ 自然选择原则与上帝的道是格格不入的 ”，“ 否定了创造者与创造物之间的明确关系 ”，因而“ 是一种不光彩的自然观 ”(Wilberforce 258-260) 。人通过生物选择获得了人的形式，但并未把人与动物完全区别开来。人只有经过伦理选择，获得伦理意识之后人才真正与动物区别开来。“ 人类的生物选择和伦理选择是两种不同本质的选择，前者是人的形式的选择，后者是人的本质的选择（《文学伦理学批评导论》267）。” 从某种程度上说，维多利

亚时代的人猿之争一方面是科学与宗教的争论所引发的人的信仰危机，另一方面是对于人类自然选择与伦理选择关系问题的论争。

达尔文与金斯利虽都求学于剑桥大学，但两人的学习生活并没有交集：达尔文 1831 年从基督学院毕业，而金斯利于 1832 年进入玛格达琳学院学习。尽管金斯利后来的生涯与基督教有着密切的关系，曾先后做过助理牧师、切斯特大教堂牧师和西敏寺大教堂的牧师，但他同时也对自然科学，特别是植物学和地质学有着浓厚兴趣。无疑，金斯利游走于宗教和科学两极的声名为他与达尔文之间的学术交往创造了可能性。早在 1864 年的时候，金斯利就在“如何学习自然史”的讲座中对科学与宗教的关系进行了评论，认为二者之间并不存在彼此排斥的矛盾，相反，科学为上帝的存在提供了合理性的证明。“随着那些粗糙的、轻率的理论被更多的事实所纠正，人们越来越清楚地看到《圣经》和大自然的真正内涵。我相信这样的进程不会停息，上帝的地球和上帝的道从来都不会相互抵触”(Kingsley, *Scientific Lectures and Essays* 394)。不难看出，作为基督教牧师的金斯利对于科学的发展采取了积极、开放的态度，所以也就不难想见当得知达尔文提出进化论的观点之后，他积极地对这一新观点进行了回应。于是，1859 年 11 月 18 日，即《进化论》正式出版之前，达尔文特意把自己的书稿寄给金斯利审阅。金斯利对达尔文提出的观点表现出了浓厚的兴趣，并在回信中大加赞赏。“从书中读到的内容让我充满了敬畏之情，书中不但描述了大量事实，还展示了您的声名和清晰的客观判断”(Darwin, *The Life and Letters of Charles Darwin* 81)。能得到金斯利这样一位知名基督教人士热情的支持，达尔文非常高兴，还在出版的《进化论》的最后一章特意引用了他的说法。“一位著名的作者和牧师写信告诉我说‘他逐渐了解了这样一个神圣的观念，即神相信他创造了一些原初的的形式并可以自我发展成为其他需要的形式，神也相信他需要新的创造行为来弥补自己创造法则所留下的空白’”(Darwin, *On The Origin of the Species* 481)。作为一名牧师和自然历史学家，金斯利对当时新出现的科学观念采取一种非常开明的态度，认为新任命的神职人员要至少较好地掌握一门自然科学的知识。因为“在调查自然的外在形态和发挥支配作用的物质规律的同时，人也在探究上帝所使用的方法，因为他本身就是最至高无上的科学家”(Manlove 185)。虽然在大众的观点看来，科学与宗教存在相互对立的关系，但金斯利却看到了二者之间的共同联系——信仰。宗教是对无形的、更高的权力的信仰，而科学则是对普遍规律的信仰。金斯利把进化生物学看作是伟大的礼物，能让他用一种全新的方式表达对上帝的理解。

二、从人到猿：伦理身份与伦理焦虑

故事的叙事以两种模式进行，现实主义的叙事方式聚焦于主人公悲惨的生活，而幻想的叙述模式则以戏谑的方式展现了人物的成长过程，反思了达

尔文关于人是由低等动物进化而来的论述。《水孩子》的叙述以现实描写作为开端，为读者展现了英国维多利亚时期受工业化影响的、灰暗的色调。“沿着灰尘满地的黑色道路缓慢走着，道路两旁是黑色的矿渣墙，除了邻近旷野里的采矿机在呜呜呻吟、嗵嗵作响之外，四周寂静无声”（《水孩子》5）。晦暗的色调无疑具有某种暗示的色彩，隐喻了工业化进程所带来的道德堕落。小男孩汤姆是为别人家扫烟囱的童工，整天与黑乎乎的烟道和烟灰打交道，还时常受到老板的打骂，过着非人的生活。汤姆的种族身份虽然是模糊的，既非白人也非黑人，但他的伦理身份却是清楚的。对汤姆而言，他缺乏对自己和周围世界的认识，没有自己的宗教信仰，仍住在蒙昧的状态之中，“既不能读也不能写，他也不打算去学；他从来都没有洗过脸、洗过澡，因为他住的院子里没有水”（1）。虽然完成了生物选择，具有了人形，但却生活在无知之中，唯一生活的理想就是有一天可以像管束自己的老板那样，可以欺负学徒，口衔烟斗，大口喝着啤酒。汤姆缺乏引导与约束，善恶不分，灵肉背离，已经变成了失去灵魂的驱壳，没有清楚的伦理意识。正如童话在描写灵魂与躯体的关系时所写：“你要相信这个奇妙神话中惟一的真正教义；那就是：灵魂创造了身体，就像蜗牛创造自己的甲壳一样”（56）。“肉体一旦失去灵魂，就会失去人的本质，只留下没有灵魂的人的空壳。没有灵魂的人完全依靠本能生存，没有伦理，不辨善恶，与野兽无异”（聂珍钊，“文学伦理学批评：伦理选择与斯芬克斯因子” 10）。汤姆对自己灵肉背离，非人非兽的伦理身份是缺乏认识的，直到一次偶然的机会，去约翰·哈特霍维尔爵士府上扫烟囱时无意中闯入了艾莉小姐的房间，才吃惊而羞愧地从镜子里看到了黑乎乎的、像小猿猴一样的自己。“这么一个黑不溜秋的小猿猴在这样一位甜美的年轻小姐的房间里想干什么？”（《水孩子》15）故事的叙事有意突出了汤姆与小女孩艾莉之间的强烈对比。艾莉躺在雪白的被单下，枕着雪白的枕头，她的面颊和枕头一样洁白。这种黑与白的强烈反差让汤姆惊讶，发现自己很脏，也让他瞬间意识到了自己堕落的、非人般的伦理身份。汤姆的醒悟也映射了维多利亚时代的人们对于进化论引发的种族和伦理问题的焦虑。按照培根式的归纳推理，既然生物存在着进化的过程，那么是否也存在着逆向推倒出来的退化的可能。就像是故事的叙述者所反问的那样：“如果水里的动物可以不断变化，变成陆地动物，为什么陆地动物就不能在某些时候变成水里的动物呢？”（50）按照这样的逻辑，既然兽可以变成人，那么人就不能在某些时候变成兽吗？达尔文的进化论观点帮助许多维多利亚人想象出一个动态的、进步的世界。这一理论至少在一段时间内完美契合了英国处于工业化前列，且将自然置于人的驯服下的、富裕的现代社会形象。不过，到十九世纪末，进化理论仍是人们对于社会、种族和文化衰落恐惧的基础。

金斯利把人的伦理选择与进化论联系起来，认为人应该学习这一法则并有所获益，朝着进步的方向发展，从而找到自己在现实世界的位置，否则

就会陷入退化的进程中。在文学伦理学批评看来，人类的文明发展中一直存在着人性因子与兽性因子的平衡和斗争，人需要受到理性意志和伦理道德的约束和强制并做出与伦理环境或伦理语境相符合的选择，否则就会由人变兽（张连桥，聂珍钊 25）。汤姆的模糊的种族身份在某种程度上代表了维多利亚人对于人身份的伦理焦虑：一方面是对进化论破坏上帝神性的焦虑，另一方面是对于英国人种族和伦理身份的焦虑。在他们看来，人的退化与进化一样普遍和容易。“你只要让文明人放任自流，他们就会变成野蛮人”（Piers 590）。从那一刻起，意识到自己伦理身份的汤姆便踏上了逃跑的旅程。在路上遇到的爱尔兰女子（后来被证实是仙女）预言性地告诉了他应该如何选择自己的伦理身份：那些希望干净的人，他们会干净的；那些希望肮脏的人，他们就会肮脏的（《水孩子》9）。此后，他的生活目标就是要“让自己干净起来”，像“英国绅士”那样生活（《水孩子》37）。故事中“冷水（Cold water）”和“洗浴（Washing）”两个词汇反复出现，不但强调了汤姆伦理身份改变的路径，也隐含着金斯利对于英国人种族退化问题深层次的忧虑，即英国人如果贪图享乐而不辛勤劳动，就会堕落到像爱尔兰人和黑人那样的地步[1]，失去人的身份，最终成为退化和堕落的代名词。

三、从猿到人：伦理教诲与伦理学习

“文学的基本功能是伦理教诲，文学的基本价值也体现在伦理教诲上”（聂珍钊，吴迪，陈永国 72）。金斯利对进化论采取的是一种开放的态度，认为这一进程可以是向上的过程，也可以是向下的。于是，扫烟囱小男孩汤姆惊惶而逃，踏上了“让自己干净起来”的水下之旅，而旅程的终点是成为一名年轻的、信仰基督教的英国绅士，但在这一进化旅程背后，金斯利更强调其中所隐含的伦理教诲意义。进化旅程隐喻了汤姆的成长，也展示其善恶伦理意识的形成过程。对于缺乏善恶伦理意识的汤姆来说，他需要在水下的旅程中经历一次又一次的进化，在教诲与学习中形成善恶的观念和辨别善恶的能力，顺利完成成人通过仪式，实现从自然人向社会人的蜕变的成长仪式。在仙女的指引下，汤姆脱去了肮脏的外壳，来到小河里，在水中经历了一系列的奇遇与冒险，先是变成了一个水蜥，对大海的渴望使他不断向前进，最后游入大海成为了水孩子。从陆地到水下的空间变化也反映了主人公的成长

1　爱尔兰人也像犹太人和黑人一样，在维多利亚时代是颇受歧视的群体。金斯利看待爱尔兰人的态度与卡莱尔一致，把他们与原始、愚昧和退化联系在一起，称他们为“可怜的野蛮人”，认为他们长着“近于黑猩猩般的面孔”（hypo-gorillaceous visages），“无法照顾自己”，也缺乏强烈的宗教信仰，“不知道如何向上帝祈祷”（Kingsley, *The Roman and the Teuton* 187）。在 1860 年访问爱尔兰时，金斯利对爱尔兰人在经历了大饥荒后的堕落状态深感震惊。他在给妻子的信中说：“看见白色的猩猩真是件可怕的事。要是他们是黑人，也许不会让人产生这样的感受，可他们的皮肤除了暴露的部分外，简直和我们一样白”(Kingsley, *Charles Kingsley:His Letters and Memories of His Life* 111)。

过程。“空间变化背后的文明变迁与成长的社会化过程相契合。人诞生于母体中的水世界，出生后进入陆地世界。婴儿时期的人是与动物没有本质区别的自然存在，在成长过程中，他们开始进入社会文明，学习人类社会的生存法则”（柏灵 32）。后来汤姆又来到一个岛上接受教育，那里有个“自作自受（Bedonebyasyoudid）”夫人，根据孩子们的表现好坏给予奖惩；还有个“以己所欲施之于人 (Doasyouwouldbedoneby)”夫人，她给予孩子们至善的仁爱。在这一过程中，只要汤姆遵守规则，汤姆就可以走上不断发展进化的道路。不过，他却没有禁得住诱惑，不但从仙女的柜子里偷拿了糖果，还撒了谎。很快，他发现自己又退化成了低等的水生动物，身上长满了刺。当汤姆向“以己所欲施之于人”夫人求助时却被告知只有接受教训，不断地了解和学习世界的法则才能重新走上进化的道路。在汤姆的成长旅程中，一直存在着兽性因子与人性因子的斗争。当他一味地遵循自由意志，理性意志就会被抑制，那么他身上的兽性因子就会占上风，也就会表现为缺乏伦理意识，分不清善恶，也就不能成为真正的人。金斯利借此阐释了从野兽变成人的过程中道德进化之于自然进化的重要意义，因其决定了进化的方向和目的，从而实现由动物的兽性向文明的人性的转变。人所具有的理性意志和独特地位能让他用自身学到的自然法则获得对于不同环境的适应性，从而得到最好的结果。

文学伦理学批评认为伦理教诲与文学有着非常密切的关系：伦理教诲是文学的基本功能，也体现了文学的基本价值，而文学也是伦理教诲最重要的方法和途径（聂珍钊，吴迪，陈永国 72）。文学伦理学批评把文学文本分成三种基本形态，即脑文本、物质文本和电子文本。其中，脑文本是非物质形态的意识通过人的视觉、听觉和感觉存储到大脑里的形式。在汤姆从猿到人的成长旅程背后还隐藏着一个异教徒基督教皈依的文本。最初的汤姆没有自己的宗教信仰，“从来没听说过上帝，也没听说过基督教，除非是在你从来没有听到过的话里听到这样的字眼，这些话他还不如从来没有听到过从来没有人教他做祷告”（《水孩子》1）。在去哈特霍维尔宅邸扫烟囱时，偶然在艾莉小姐房间看到的耶稣的画像——“一幅画上画着一个钉在十字架上的男人”——让汤姆很吃惊（15）。当惊慌失措，一心想要干净起来的汤姆来到旺代尔一位老妇人家里时，教堂里响亮的钟声让他想去教堂看看，因为“有生以来，他还从来没进过教堂呢”（36）。此时，他对于把自己洗干净的欲望更加强烈了，急切地希望到小溪里洗浴。“洗浴（Washing）”也隐喻了汤姆对基督教皈依，暗示着“天路历程”式精神之旅的开始。汤姆在水下的成长进化旅程不但包括社会法则和伦理规则的学习，还包括宗教伦理的学习。他在大海里遇到的两位仙女——“以己所欲施之于人”和“自作自受夫人”的名字反映了两种基督教的特质，即督教伦理金规则和铜规则两个方面。两位仙女在对汤姆的道德教育过程中的作用是相辅相成的，“她（以己所欲施之于人）的工作是从我（自作自受夫人）结束的地方开始，而我的工作则从

她结束的地方开始，那些不愿意听她话的人就必须听我的话”（119）。“一般地说，道德金规则是指能够概括地表达一个伦理体系总精神的一条道德原则，也即能够‘一以贯之’的普遍原则”（赵汀阳 70）；通常人们把这类具有普遍性的伦理原则律叫“金规则”(the golden rule)。《马太福音》第七章第12节中所说的：Therefore, whatever you want men to do to you, do also to them, for this is the Law and the Prophets) 因此，你愿意别人怎样待你，你也要怎样待别人，因为这就是律法和先知的道理[1]。这不仅是“律法和先知的道理”，而且也是人类道德的理想，被称为伦理学的“金规则”。童话中的“以己所欲施之于人”夫人代表了金规则的正面形式，而“自作自受”夫人则代表了铜规则。铜规则不是“推己及人”的论断，而是对他人行径的反应，它要求人们根据他人对自己的行为来决定自己的反应。这一规则依据人我行为对等原则，而不是公正的原则。公正不等于“对等”和“平等”，公正要求差异对待。从文学伦理学批评的角度来看，儿童是原欲的产物，其自身存在着人性因子和兽性因子的冲突，兽性因子对于人性因子控制也造成了儿童伦理意识的缺乏，而伦理教诲与学习是完成由兽变成人伦理选择的重要手段。

文学伦理学批评认为“伦理选择是通过教诲实现的，但教诲是通过文学得到的。人类的文明史表明，只有文学才能通过一系列道德事例和榜样达到教诲、奖励和惩戒的目的，从而帮助人完成择善弃恶而做一个有道德的人的伦理选择过程”（《文学伦理学批评导论》248）。故事中的汤姆虽没听过基督和上帝，但却在水下的奇妙世界里受到了基督教故事元素潜移默化的影响。关于基督的圣经故事已经通过汤姆的感官有意或无意地影响着他，并存储到他的头脑中，形成了圣经故事的脑文本。汤姆的伦理学习与圣经的脑文本是密切联系在一起的，要想追求享乐到文明的转变，他就需要摆脱对“所欲”的限制，获得更高层次的基督教伦理意识。汤姆对已经成为水孩子的艾莉礼拜天回的“家”充满了好奇心，想和她一起去，但“自作自受”仙女却告知说那里不适合与水动物玩耍的小男孩，只有那些想做他们不喜欢的事，帮助他们不喜欢的人的才能去。在经过仙女的考验后，他又踏上了寻找艾莉的“家”—— 空界彼端的旅程。在那里，他找到了在陆地上指导自己扫烟囱的老板 —— 格兰姆。恶毒的格兰姆已经受到惩罚，被卡在黑漆漆的烟囱里。虽然汤姆想搬下烟囱上的砖头救下格兰姆，却一块也搬不动。“自作自受”仙女的意外出现和劝说才让格兰姆感到悔恨难当，而他的泪水不但冲掉了身上的烟灰，也让烟囱轰然倒塌，把他解救出来。空界彼端之旅让汤姆完成了宗教伦理的学习，认识到仁爱和宽容不仅体现在对待亲人和朋友，还要体现在对待敌人上，这样才能让“金规则”摆脱“所欲”而毫无功利地表现出来（邓晓芒 3）。故事最后，当那位仙女让汤姆和艾莉再看她一眼时，他们却

1　原文引自美国 The Gideons International 版 New Testament 中的《马太福音》第七章第 12 节第 11 页。

分不清她到底是“以己所欲施之于人”夫人、爱尔兰女子还是“自作自受”夫人，甚至于“她一忽儿谁也不是，一忽儿同时变成了她们三个”（《水孩子》192）。仙女的变化一方面展示了女性化的上帝权威，暗示着基督教的“三位一体”，另一方面汤姆的伦理教诲过程需要通过脑文本的形成和信仰的确立才能更好地实现。就这样，汤姆完成了自己的水下使命，也完成了他自己的成长之路，他重返陆地，成为了一个大科学家，完成了一个“向上”过程的进化，而“这一切都得益于他在海水下面做水孩子时学到的一切”（192）。汤姆在完成水下的冒险之旅的同时，也完成了从兽到人的自我救赎，但此时的汤姆已非彼时的汤姆，他不仅完成了兽到人的伦理选择，也实现了伦理身份的转变，由异教的“水孩子”变成了信教的“英国绅士”、“大科学家”。

综上所述，金斯利在演绎了小主人公汤姆的成长之旅和进化之旅的同时，也阐释了这部童话文本中交织的科学、宗教、种族和伦理内涵，但更强调隐藏其间的伦理立场。金斯利没有把科学与基督教的信仰对立起来，相反却看到了二者之间相互融合的可能性，把科学看做是上帝存在的证据，用童话的形式展示了二者的内在联系，“想用各种奇特的方式让孩子和大人们明白物质属性背后的神圣因素”，从而能够认识“我们的救世主”(Kingsley, *Charles Kingsley: His Letters and Memories of His Life* 137)，因为他知道人们“需要找到某种向下一代传达伦理和道德稳定的方式”（Harper 126），否则人就会走向退化，陷入非人非兽的伦理困境。

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诗的正义与伦理选择
Poetic Justice and Ethical Selection

何辉斌（**He Huibin**）

内容摘要：强调善恶报应的诗的正义，常常受到质疑，被不少人看作诗人的一厢情愿。但当代科学却发现，建立于伦理选择之上的善恶报应，有着特定的生理机制、心理机制和社会机制，是人类社会的基本规律之一。好人有好报的基本形式有5种：亲缘互惠、直接互惠、间接互惠、群组互惠和网络互惠。利他倾向一旦走向极端，就像孔雀长出成本高昂的羽毛，属于“失控的选择”，但仍然与回报有一定的联系。善恶如果公开对抗，恶的胜算不大，所以只能伪装成善来迎战。用这些理论分析中西悲剧，我们可以发现，两种悲剧都以善与伪善为主要冲突，5种互惠都贯穿始终，使善恶报应成为悲剧的主要框架。在西方悲剧中，极端利他的人物一般都是次要角色，主人公往往都是以牙还牙型的积极主动的英雄，最后都给对手以致命的打击，使恶遭到恶报，但主人公本身也在抗争中陷入灾难，使善的回报在最后阶段留有遗憾。中国悲剧常常以极端善良者为主角，很难凭自己的力量打击对手，常常由其他主持公正的力量帮助实现诗的正义。

关键词：诗的正义；伦理选择；悲剧

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Title: Poetic Justice and Ethical Selection

Abstract: Poetic justice, which advocates good and evil retribution, is criticized as poets' fantasy by many people. And yet contemporary science has discovered that poetic justice, which is based upon ethic selection, is a basic rule of human society, with its own physiological, psychological and social mechanism. Kin reciprocity, direct reciprocity, indirect reciprocity, group reciprocity and network reciprocity are the main forms of poetic justice. The extreme form of altruism, which is just like the expensive feather of the peacock, is a kind of "runaway selection", and yet it has its own reward to a certain degree. In an open conflict, the evil is difficult to defeat the good, and it usually has to assume the appearance of the good. From these perspectives, we can discover that the main conflict of both Chinese and Western tragedies is between the good and the false good, and poetic justice forms the key structure, with the 5 types of reciprocity as the important content. In a Western

tragedy, the extreme altruists are generally minor figures, the central character is often an active hero with TIT FOR TAT as his main skill, who brings about a fatal defeat to his enemy and due punishment to the evil, by running into a disaster himself, with some lament in the end. It is difficult for the extreme altruists, who are often the central figures in the Chinese tragedies, to defeat the enemies, and the poetic justice is usually achieved by other fair-minded forces.

Key words：poetic justice; ethic selection; tragedy

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“诗的正义”（poetic justice）是英国戏剧批评家托马斯·莱默（Thomas Rymer）于1678年在《近年悲剧考量》（The Tragedies of the Last Age Considere'd) 中创造出来的概念，其内涵主要为，文学作品应当展现善如何得到回报，恶如何受到惩罚，使善最终胜恶，以便在观众中培养正确的人生观。这种正义在西方古典主义时代得到了比较广泛的认同，但在其他时代受到了不少的批评。在中国文学中，善有善报恶有恶报是最常见的情节，受到的质疑比较少。好人是否真的有好报呢？最近的社会学伦理学等学科的新发现证明，这个观点有比较可靠的科学依据。

一、中西文学中的诗的正义及其受到的质疑

善有善报恶有恶报在中国文学中占据了重要地位。戏剧理论的集大成者李渔认为，戏剧的目的在于，“借文人说法，与大众齐听，谓善者如此收场，不善者如此收场，使人知所趋避”(李渔 20)。国学大师王国维也把善恶报应看作古代文学的普遍现象，并且试图解释成因。他说：“吾国人之精神，世间的也，乐天的也，故代表其精神之戏曲小说，无往而不著此乐天之色彩：始于悲者终于欢，始于离者终于合，始于困者终于亨；非是而欲厌阅者之心，难矣！”（王国维 213）当然新文化之后，善恶报应的内容受到了很多批评。胡适指出：“这种‘团圆的迷信’乃是中国人思想薄弱的铁证。做书的人明知世界上的真事都是不如意的居大部分，他明知世上的事不是颠倒是非，便是生离死别，他却偏要使‘天下有情人都成了眷属’，偏要说善恶分明，报应昭彰”（胡适 146）。不管怎么批评，这种心理原型在中国文化的影响力非常大。

善恶报应在西方文学中受到很多批评。早在古希腊时代，亚理斯多德就提醒过人们，不应当让报应取代真正的行动，他说：“完美的布局应有单一的结局，而不是如某些人所主张的，应有双重的结局”（亚里士多德 39）。亚氏所谓的双重结局指的就是善有善报、恶有恶报的结局。在西方，不少学

者对诗的正义提出了否定的看法。英国著名小说家菲尔丁曾经说：“有些宗教作家，或者毋宁说伦理作家，教导我们说，在这个世界上，为善必定走上幸福之路，为恶必定走上灾祸之途。这种教导，益人心智，令人惬意。我们有一点只能反对，那就是与事实不符”（Fielding 695）。莱默由于积极提倡诗的正义，也受到了很多的批评，大学者麦考莱甚至视之为“有人类以来最恶劣的批评家”（Macaulay 68）。

近代哲人康德在这方面的研究尤为深刻。他认为作为最高境界的至善必须由“德行和幸福一起构成”（康德，《实践理性批判》 122）。但同时他又看到它们是两个完全不同的成分，两者往往互为矛盾，所以他提出了实践理性的二律背反：“于是，或者追求幸福的欲望必须是道德准则的动机，或者德行的准则必须是幸福的有效原因。第一种情况是绝对不可能的：因为（就如在分析论里已经证明的）把意志的决定根据置于对幸福的渴求的准则，是完全非道德的，不能够为任何德行建立基础。但是，第二种情形也是不可能的，因为世上一切原因和结果的实践连接，作为意志决定的后果，并不取决于意志的道德意向，而取决于自然法则的知识以及把它们用于这个意志的目标的能力，从而通过一丝不苟遵循道德法则 [而成就的] 幸福与德行之间的必然的和足以达到善的连接，在这个世上是无法指望的”（康德，《实践理性批判》 125）。这是实践理性的“二律背反”，是道德领域的难题。在康德看来，德行体现了理性和理想的要求，属于自由和必然的内在世界，而幸福属于经验的感性世界，受制于物理必然性。康德认为，只有在宗教的天国里两者才能合一。这个观点似乎有点悲观。人作为最理性的存在物难道只受制于物理必然性而没有办法保障自己的幸福吗？现代科学证明，事实并非如此。

二、伦理选择的机制

伦理选择是聂珍钊教授提出的一个重要概念，是对进化论的重要发展。达尔文曾说：“自然选择在文明的民族国家中的影响 —— 到目前为止，我只考虑到了人从半人半兽的状态向近代野蛮人的状态进展的一段的情况”（达尔文，《人类的由来》（上册） 206）。由于自然选择的适用范围有一定的局限性，聂珍钊教授因此指出：“人类第一次在生物学的意义上完成自然选择之后，还经历了第二次选择即伦理选择”（聂珍钊 33）。聂先生还阐述了伦理选择的两方面的意义：“一方面，伦理选择指的是人的道德选择，即通过选择达到道德成熟和完善；另一方面，伦理选择指对两个或两个以上的道德选项的选择，选择不同则结果不同，因此不同选择有不同的伦理价值”（聂珍钊 267）。但本文所谓的伦理选择与聂先生的概念有明显的区别。人类创造的伦理体系为人类的生存提供了基本的社会环境；在这样的社会当中，那些善的品质，符合人的伦理需求，往往得到大家的认可，具有较大的生存空间，而那些恶的品质，与人的伦理取向相违背，虽然可能会猖獗一时，但往往遭

到大家的批评和打压，难成大气候；这就使人们在道德上适者生存，不断进化。在自然选择的过程中强者生存，在伦理选择的过程中善者生存。伦理选择虽然没有自然选择那么客观和绝对，但的确是人类社会的重要部分。伦理选择是诗的正义的基础，是人类社会的基本规律之一。

人的伦理问题在大脑中有没有专门的区域负责处理呢？当代科学家对这个问题的回答是肯定的，他们指出大脑前额叶皮层是伦理的生理基础。在 19 世纪中叶，心理学历史上有一个著名的案例：一个原本既有责任心又相当友善的铁路工人菲尼亚斯 • 盖奇（Phineas Gage）在大脑前额叶皮层受到损伤之后性情大变，在道德是非方面判若两人（Damásio 3-14）。还有一个更有说服力的案例。一个本来性格良好的教师突然变得奇怪，甚至猥亵儿童，被抓进监狱。后来医生发现他的大脑前额叶皮层长了肿瘤，手术后性格又变好了。后来肿瘤又长了出来，他的病马上复发（博姆 29）。与动物相比，人脑的这个区域非常发达，所以能够进行伦理判断和选择。

有了发达的大脑前额叶皮层，还得形成人类特有的良心，伦理选择才有心理机制。人类社会的秩序不能光靠外在的惩罚，还需要大脑前额叶皮层将规则内化，并产生特有的良心。如果没有遵守规则的良心，任何外在规则都难以全面约束人们。博姆曾提出这样的看法：“现在，让我们设想一下，如果在现代社会中生活的都是一些没有良心的或者是没有是非之心的人，那么，很难想象，我们是不是还能在当今这个庞大的、匿名的城市环境中生存下来”（博姆 20）。良心的产生与外在的惩罚和说教有关，但内化之后，已经完全融入人的身体、情感和思想，最为自然流露为因羞耻而脸红。达尔文曾写信给全世界各殖民地的管理者以及传教士，询问他们在亚洲、非洲以及其他地方的原住民是否会因为害羞而脸红。他在人类史上第一次完成了关于羞耻问题的系统性的跨文化研究，并且找到了肯定的答案（Darwin 328-367）。因羞耻而脸红是规则内化之后情感自然流露的表现。动物则没有因为羞愧而脸红的表现。从这个意义上说，它们没有真正的良心。

一方面人可以对伦理进行理解和选择，另一方面伦理体系也可以对人进行选择。伦理道德的产生，不仅仅需要生理机制和心理机制，还得依靠外在的社会机制。博姆曾说：“关于道德起源，我自己从进化论角度给出的一般假说是，道德始于良心，而良心的演化则始于由群体实施的系统性的、最初属于非道德范畴的社会控制。这里所说的社会控制，既包括由那些愤怒的‘装备精良’的大型动物狩猎者群体对‘社会行为偏差者’进行的惩罚，也包括随后出现的旨在鼓励慷慨行为的说教”（博姆 17）。在远古时代，那些最终形成道德观的高级动物进化为人，而那些无法形成道德观的动物则无法跨入人类的门槛。这是伦理对人类进行选择，属于好人得到好报的原始形式。

进入人类社会之后，伦理选择仍然时时发挥作用。人类的社会偏好能够影响遗传结果，最重要的途径有两种。博姆说：“其中的一种途径是，某个

人可以选择具有良好声誉的人作为他的结婚对象或者合作伙伴，从而使大家的适合度都得到提高。另一途径是，对于那些做出了偏离社会规范的行为、降低了整个群体适合度的令人讨厌的‘社会行为偏差者”，群体可以对他们进行严厉的惩罚”（博姆 17）。社会通过奖励和惩罚的方式对人进行选择，让那些不符合伦理规范的人生存困难，而善者日子更为好过。有了伦理选择的压力，还可以对那些蠢蠢欲动的不安分的人起到威慑作用。博姆在谈到一个控制欲比较强的人时说：“伊纽蒂阿希非常清楚地知道，他自己身上存在着不同寻常地想要控制别人的倾向，是在那‘万能’的演化的良心的帮助下，他才能够不断地约束住自己的这种强烈冲动”（博姆 83）。内在的良心与外在的压力可以相互促进，将人的道德水平推向更高的档次。

进行奖罚的依据是人的声誉。亚历山大把这种选择称为“声誉选择”（selection-by-reputation）。人类即使在非亲属间的利益关系中也有一种强烈的道德情感，如对背叛者的唾弃和对助人者的颂扬。人都习惯于评论他人的行为，即使这种行为和自己并没有直接的关系。为了获得良好的声誉，人就得规范自己的行为，争取做好人。黑利和费斯勒利用耳塞与电脑屏幕上的眼状图标来进行验证：戴上耳塞，在某种程度上显得与他人隔绝，选择合作的程度略微降低，象征着监督的眼状图标居然可以激发多达两倍的帮助（Haley，Fessler）。与声誉相联系的他者的监督，哪怕只是一只象征性的眼睛，也可以成为利他行为的重要动因。关于声誉选择的理论已经产生了巨大的影响。博姆曾说：“最近几年来，亚历山大创立的这个基于声誉机制的选择模型已经得到了大量实验室实验的结果的证实”（博姆 73）。

身处社会之中的人，无不受到道德声誉的约束，否则会遭到社会的淘汰。不过，也有人对声誉选择提出了非议。博姆曾指出：“至于声誉选择，很显然，在一个规模很小、人们总是会不断地对某个人的行为处事评头论足的群体内，一个人很难通过伪装获得良好的慷慨声誉，这一点与匿名性的现代城市社会有很大的不同”（博姆 85）。传统意义上的直接的口口相传的声誉选择在现代社会中的作用的确减弱了。但现代社会有现代的信誉体制，严重违反者可能失业，甚至进监狱，程度轻者也免不了道德和舆论的谴责。

三、互惠的利他主义

达尔文的自然选择是“利己主义”的。如果没有利他主义的介入，社会就难以达到高度发达的程度。大多数情况下，利他行为并非绝对的为他人牺牲，都与相应的回报相联系，属于互惠行为，为好人有好报打下了基础。诺瓦克（Martin Nowak）曾经在《科学》上发表了一篇《合作进化的五条原则》，把人的互惠分为 5 种。

首先，最自然的利他主义表现在对亲人的友好。哈密尔顿（William Hamilton）把这样的人称为利亲主义者（nepotist），把建立于这种关系之上

的选择称为“亲缘选择”（kin selection）。人对亲人总有天然的亲近，当然总是乐于帮忙，但帮忙的背后并未完全脱离利益的考量。关于亲缘选择，哈密尔顿曾说：“更加形象地说，在基因型严格地决定行动的标准世界中，我们将发现，没有人会为了单个人牺牲自己的生命，除非一个人牺牲可以救活两个以上的亲兄弟，或者四个以上的同父或者同母的兄弟，或者八个以上的堂兄弟”（Hamilton 16）。诺瓦克把还这种关系用简单的公示加以表达。他指出在这种善行中，亲缘系数 r（coefficient of relatedness）应当大于利他行为的代价（cost）与利益（benefit）之比，其公式为：r > c/b（Nowak）。亲人之间的利他往往是互惠的，在现实中没有人会严格地按照这个公式行事，但不管怎么说，这个公式还是亲缘选择的基础。

第二种互惠关系为直接互惠（direct reciprocity）。利他行为不仅仅局限于亲人之间，很多没有亲缘关系的人之间也有善意的行为。非亲人之间利益关系的最直观的体现为直接互惠，就是说，张三帮了李四，李四回过头来又帮张三。较早深入地讨论直接互惠的学者应当是特里弗斯，他把这种现象称为“互相利他”（reciprocal altruism），认为“这种关系在互相对称的情况中出现，而且个体之间重复打交道”（Trivers 38）。这种关系正是直接互惠关系。他还指出，这种关系的最主要特点为，“终生的时间长度”，“低离散率”，“相互依赖性”（Trivers 37-38）。但随着人群的扩大和流动性的增加，这种直接互惠会大大下降。

阿克塞尔罗德（Robert Axelrod）在《合作的进化》（*The Evolution of Cooperation*）中讨论了人类的利他行为和合作的演化。阿克塞尔罗德举办了一个“计算机囚徒困境竞赛”（Computer Prisoner’s Dilemma Tournament）。在“囚徒困境”中，两个囚徒如果都为对方保密，双方结局都比较好；如果一方保密，另一方叛变，则前者遭殃，后者获利；如果双方都背叛，两者的下场都不太好。阿克塞尔罗德发通知给博弈论的专家，请他们提交策略，结果筛选出了 14 种策略。为了得到更好的效果，他添加了一种策略，取名为“随机”（random）。15 种策略可形成 15×15=225 个排列组合。他将这些策略在计算机上轮番博弈，每个组合大战 200 个回合，然后找出最终的赢家。博弈过程的评分标准为：相互合作双方奖励 3 分；相互背叛各自得 1 分；一个合作另一个背叛，前者得 0 分，后者得 5 分。理论上说，200 回合之后，得分可为 0~1000 分。如果双方都不合作，各自的分数为 200；如果双方都合作，各自的得分为 600。结果绝大多数的分数都在 200~600 之间。阿克塞罗尔德在竞赛中注意到：“让人吃惊的是，有一种单独的特性使高分组合与低分组合区别开来。这种属性是友好，即永远不要首先背叛”（Axelrod 33）。他还说道：“带有友好特性的组合在竞赛中平均得分为 472~504，而没有这个特性的组合的最高分只是 401 分”（Axelrod 33）。其中得分最高的是“以牙还牙”（TIT FOR TAT），平均得了 504 分。“以牙还牙”在第一轮的时候都选择合

作，之后每轮都根据对方上一轮的情况选择针锋相对的方法，体现了比较友好的一面，但又能够区别对待不同的对手（Axelrod 30-33）。后来他还和博弈专家一起将策略增加到 62 种，并加上“随机”，共为 63 种。他再次在计算机上进行实验，结果还是友好的策略获胜，恶意策略失败。

他在这本书的最后总结出了四条获胜原则，它们是：1、“不要妒忌”；2、“不要首先叛变”；3、“对于合作和叛变都采用争锋相对的策略”；4、“不要耍聪明”（Axelrod 110）。这就充分说明了，好人更适合在社会中生存。

诺瓦克认为，如果两个人再相会的概率（w）高于利他行为的成本（c）与利益（b）之比，那么直接互惠就倾向于出现，其公式为：w>c/b（Nowak）。

第三种是间接互惠 (indirect reciprocity)。亚历山大 (Richard Alexander) 于 1987 年在《道德体系生物学》(T*he Biology of Moral Systems*) 中首次提出了“间接互惠”的概念，并用这个概念来解释大规模的人类合作行为的模式：助人者为受助者提供帮助 , 对这种恩惠的报答不一定来自直接的受助者 , 而可能来自被其他人帮助过的受助者 , 他们之间的互惠是间接的。

间接互惠基本形式包括“上游互惠”(upstream reciprocity) 和“下游互惠”(downstream reciprocity)。“上游互惠”表现为，B 得到 A 的帮助后受到了影响，继而帮助 C。“下游互惠”指的是，C 观察到 A 曾经帮助了 B， 因此帮助 A。（Nowak M., Sigmund K.）关于上游互惠，博尔顿等做了很有意思的实验。他们在真人试验中发现，上一轮得到帮助的人为他人提供帮助的比例达 71. 0%，而上一轮没有得到帮助的人帮助他人的比例仅为 32. 9%（Bolton, et al. 1463）。关于下游互惠，格文（Michael Gurven）等做了很有意义的社会调查。他们把调查对象分为 4 类：能力强大、慷慨好施的慈善家，为人慷慨但能力有限的好心人，能力极强但施与很少的贪心者，不事生产而且吝啬的游手好闲者（Gurven, M. , et al. 267）。在这些人遇到麻烦的时候，得到回报最多的是慈善家，其次是好心人，第三为游手好闲者，贪心人最没有人关心。值得注意的是，贪心人往往对群体的贡献超过好心人，但得到的回报明显更少（Gurven, M., et al. 271）。

间接互惠能够出现的条件为：在利他行为中，如果知晓一个人的声誉的可能性 q 大于成本（c）与利益（b）之比，其公式为：q>c/b（Nowak）。关于间接互惠，诺瓦克曾这样评价：“直接互惠就像物物交易的易货经济，而间接互惠就像发明了钱币”（Nowak）。从策略上考虑，回报才是重要的，谁提供回报无所谓。只要合作有回报，而且利大于不合作，间接互惠就能够持续下去。这种间接互惠从某个程度看是群体成员中的“保险制度”，可以在危难时刻让大家受惠。不管怎么说，间接互惠并非完全对称的互惠，总会留下一些不平衡的地方和不足之处。

第四种为在群组中的互惠。人不仅仅以个体的形式存在，还处于群组之中，人不但需要为其他个体提供帮助，而且还要为群组这个集体付出。个体

付出的多少对于群组选择（group selection）会产生明显的影响。假设群组的总数和每个群组人数都是固定的，强大的组繁衍更快，到了一定的程度就变成两个组，而较弱的一组将消失，以便为新增的组腾出空间。群组选择在个体与群组两个层面上进行。纯粹的合作者群比纯粹的背叛者群发展得快。在这种情况下，个体是否付出非常清楚，群组的强大与衰落及其对个体的回报也很容易看出来。“但在混合的群中，背叛者比合作者繁衍得快。所以在低级层面上（群组之内）有利于背叛者，但在高级层面上（群组之间）有利于合作者”（Nowak）。在这种情况下，付出也还有有回报的，但两者之间就会产生一定的矛盾。关于群组问题，达尔文早就注意到，他说：“我们千万不要忘记，一个高标准的道德，就一个部落中的某些成员以及他们的子女来说，比起其他的成员来，尽管没有多大好处，或者没有好处，而对整个部落来说，如果部落中天赋良好的成员数量有所增加，而道德标准有所提高，却肯定地是一个莫大的好处，有利于它在竞争中胜过另一个部落。一个部落，如果拥有许多的成员，由于富有高度的爱护本族类的精神、忠诚、服从、勇敢、与同情心等品质，而几乎总是能随时地进行互助，又且能为大家的利益而牺牲自己，这样一个民族会在绝大多数的部落之中取得胜利，而这不是别的，也就是自然选择了”（达尔文，《人类的由来》（上册） 204-205）。群组选择的两个层面达尔文也注意到了。

如果 n 是群组人数的最大极限，m 是群组的总数量，那么群组选择的条件为：b/c> 1 + (n/m)（Nowak）。

第五种是网络互惠（network reciprocity）。人处于各种人群当中，但每人并不同等地和身边的人打交道，而往往有选择地和志趣相投的人交往，与他们形成网络团簇。假如一个团簇经常相互帮忙，就会形成网络互惠，并且使这个团簇越来越强大。诺瓦克认为，网络互惠的条件是：利益（b）与代价（c）之比必须大于每个个体的平均网络邻居数 k，其公式为：b/c>k（Nowak）。

四、极端的利他主义与狡猾的伪善

以上五种善的行为都与回报有关系，但有时还会有些道德要求特别高的人，他们甚至是为道德而道德的。这样的行为是不是与利益完全无关呢。费舍尔认为，在自然选择的过程中，雄孔雀的漂亮而成本高昂的羽毛是“失控的选择”（runaway selection）的结果。这是精明的雌孔雀对雄孔雀的遗传优越信号（漂亮的尾羽）的偏好不断升级导致的结果（Fisher 137）。但过多的羽毛又给日常生存带来了不便，从这个角度来说降低了生存能力，所以很多鸟只在交配季节拼命地长羽毛。达尔文曾注意到，在非洲有一种夜鹰（night-jar），“翼上初列拔风羽中的一根，在蕃育季节里，变得特别发达，要长到二十六英寸，而这种鸟的躯干本身只长十英寸”（达尔文，《人类的由来》（下册） 586）。过了交配季节，这些鸟又会适当地控制“失控的选择”，其羽毛

往往就变得短一些，以降低风险。博姆受费舍尔的启发，在人类社会中也找到了失控的选择。他指出，“社会选择与达尔文所说的性选择颇有类似之处，因为声誉选择也促成了一系列强有力的交互作用。在性选择中，雄性个体会演化出一些华而不实的、‘适应不良’的性状，例如，雄性孔雀的华丽而笨拙的尾巴（只为博得雌性孔雀的青睐），但是，在基因选择的层面上，这却是一种补偿的手段”（博姆 86）。在人类社会中，利他的品质受到人们的赞扬，所以有些人就拼命地展现这种特性。博姆还指出，“性选择是在雌性的择偶决策指引下进行的，同时，它还可以支持成本高昂的适应不良的性状。我们同样可以把人类的利他主义看作一种‘适应不良’的性状或特征。它之所以能够一直延续至今，也是因为某种决策模式补偿了利他主义者，从而使这个特征得以被选中”（博姆 206）。利他主义本身是一个矛盾，利他才能更好地生活于人群中，但利他本身又会对自己不利。在功利主义的和进化论的道德观中，极端利他也与利己相联系。

世界上有了善和极端的善，自然就会有恶和极端的恶。莎士比亚曾说：“以不义开始的事情，必须用罪恶使它巩固”（莎士比亚，《麦克白》 348）。恶一旦开始往往就会不断走向深渊，甚至达到极端的地步。假如让善与恶公开进行厮杀，善由于普遍受到支持，而恶，不管多么强大，却是过街老鼠，在很多情况下胜负很容易预料。但问题是，没有几个恶人会以恶的面貌出现，他们往往很会伪装，使善恶之战高度复杂化。马基雅维里曾说：“如果具备这一切品质并且常常本着这些品质行事，那是有害的；可是如果显得具备这一切品质，那却是有益的。你要显得慈悲为怀，笃守信义，合乎人道，清廉正直，虔敬信神，并且还要这样去做，但是你同时要有精神准备作好安排：当你需要改弦易辙的时候，你要能够并且懂得怎样作一百八十度的转弯”（马基雅维里 85）。对付这样的伪善者与对付恶人相比，难度不知道要高多少。拉罗什富科曾经说：“虚伪是罪恶对美德的敬意”（Rochefoucauld 63）。当然罪恶未必有真心的敬意，但起码体现了对善的惧怕。可见人们经常所说的善恶之战实际上主要表现为善与伪善的斗争。

五、西方悲剧中的诗的正义

有人认为善恶报应会毁掉悲剧，西方人一般尽量避免，但在我看来西方悲剧也不可能离开善恶报应的规律。下面让我们以《哈姆莱特》为例，做一个案例分析。

在这部剧作中，莎士比亚似乎把丹麦描写成一个伦理混乱的地方。哈姆莱特感叹说：“那是一个荒芜不治的花园，长满了恶毒的莠草”（莎士比亚，《哈姆莱特》 14-15）。他甚至认为“丹麦是一座监狱”（莎士比亚，《哈姆莱特》 47）。所以哈姆莱特沉痛地说：“这是一个颠倒混乱的时代，唉，倒楣的我却要负起重整乾坤的责任”（莎士比亚，《哈姆莱特》 33）。在这样

的社会中，伦理次序是否被已经破坏了？伦理选择是否还存在呢？

首先，在《哈姆莱特》中利亲关系是此剧的最重要的内容。哈姆莱特与父亲的关系非常好。在得知父亲被谋杀时，他巴不得“驾着像思想和爱情一样迅速的翅膀，飞去把仇人杀死”（莎士比亚，《哈姆莱特》28）。整部戏剧以为父复仇为中心。虽然他的行为显得不够果断，但最终他以自己的生命为代价完成了使命。他和母亲的关系也很亲密。哈姆莱特的母亲在父亲死后不久就嫁给了他的亲叔叔，这件事情本身让哈姆莱特感到很别扭。后来又得知叔叔是杀父并夺取王位的凶手，这就更让他难以忍受了。就是这样，他仍然守住母子关系的底线，他说：“心啊！不要失去你的天性之情，永远不要让尼禄的灵魂潜入我这坚定的胸怀；让我做一个凶徒，可是不要做一个逆子”（莎士比亚，《哈姆莱特》 82-83）。哈姆莱特绝对不做像尼禄一样的谋杀母亲的恶人。他母亲虽然知道了哈姆莱特是装疯，目的是想报仇，而且她还亲眼看到儿子杀死了波洛涅斯，但她一直尽所有的努力护着自己的儿子。哈姆莱特与母亲的关系非常亲密，弗洛伊德甚至视之为恋母情结。

亲缘关系是人类的最稳定最持久的关系，但亲缘关系也很容易被恶人利用，在关键时刻甚至带来杀生之祸。哈姆莱特的叔父利用兄弟之情，像毒蛇一样夺走了哥哥的妻子、生命和王冠，还把“丹麦全国人都骗过了”（莎士比亚，《哈姆莱特》28）。当然，我们没有必要因为哈姆莱特的叔叔弒君（弒哥）夺权就简单地否定亲缘关系，毕竟这部作品中，绝大多数人都拥有很好的亲戚关系。人很容易为了亲人两肋插刀，有时也很容易受到亲人的伤害。这种关系都非常容易打动观众，永远是文学作品的重要主题。

其次，直接互惠也是这部戏剧的重要内容。哈姆莱特的叔叔与重臣波洛涅斯之间有一种直接互惠关系。波洛涅斯曾向国王这样说：“我把我对于我的上帝和我的宽仁厚德的王上的责任，看得跟我的灵魂一样重要呢”（莎士比亚，《哈姆莱特》 39-40）。国王则许诺说：“丹麦国室与你父亲的关系，正像头脑之与心灵一样密切；丹麦国王乐意为你父亲效劳，正像双手乐于为嘴服役一样”（莎士比亚，《哈姆莱特》 12）。离开了这种直接互惠，他们的君臣关系就会受到挑战。在稳定的人际关系中，大多数情况下都有一定的直接互惠关系，否则关系就可能破裂。

直接互惠是维护人际关系的重要纽带，但也有潜在的问题：关系越好，被利用的可能性也越大。关于罗森格兰兹和吉尔登斯吞，哈姆莱特的母亲曾说：“你们从小便跟他在一起长大，素来知道他的脾气，所以我特地请你们到我们宫廷里来盘桓几天，陪伴他，替他解解愁闷，同时乘机窥探他究竟有什么秘密的心事，为我们所不知道的，也许一旦公开之后，我们就可以替他对症下药”（莎士比亚，《哈姆莱特》 38-39）。王后找两位哈姆莱特的朋友来本来是为了给他的抑郁的状态对症下药，是为了关心儿子，但国王当然是为了看看哈姆莱特是否心怀不轨，想趁机消灭潜在的危险。他们刚刚见到哈

姆莱特还有点不好意思，被老朋友识破了。但他们还是选择为国王服务，以便追求更大的利益，最后送了命。假如他们不要这么急切地讨好国王，也许他们就不会死。罗森格兰兹和吉尔登斯吞想利用与哈姆莱特的情感刺探老同学，结果自己反而深受其害，互惠变成了互害。这种情况有时的确发生，但无论是在《哈姆莱特》之中，还是在现实之中，互惠肯定是主流。

第三，间接互惠在《哈姆莱特》中也有所体现。哈姆莱特的父王曾经与老福丁布拉斯决斗，以一己之力结束了战争，获得了大片土地。而且他治国有方，为人豪气，受到了人们的好评。哈姆莱特说：“他是一个堂堂男子；整个说起来，我再也见不到像他那样的人了”（莎士比亚，《哈姆莱特》16）。霍拉旭也说：“他的英名是举世称颂的。”（莎士比亚，《哈姆莱特》8）他的良好的名声为他的政治生涯和私人生活肯定带来了不少方便。他一生虽然成就了令人瞩目的事业，但最后还是没有逃脱自己兄弟克劳狄斯的暗算。莎士比亚曾说：“魔鬼为了要陷害我们起见，往往故意向我们说真话，在小事情上取得我们的信任，然后在重要的关头我们便会堕入他的圈套”（莎士比亚，《麦克白》 317）。克劳狄斯就是这样的魔鬼，真是防不胜防。他可以花几十年的时间讨好别人，却在关键的时刻给人以致命一击，剥夺别人的一切。虽说我们不能因为老哈姆莱特的冤死就完全否定他作为一个好国王在一生中得到的回报，但这些回报与最后的谋杀相比分量还远远不够，所以他死得很冤，需要儿子复仇。老哈姆莱特死了之后，善恶报应的因果链并没有中断。在这部戏剧中，他的为人和成就为哈姆莱特的事业打下了基础，也为成功复仇创造了条件。

《哈姆莱特》的结尾体现了典型的西方悲剧的特点，主人公在抗争中走向了死亡。有人认为悲剧的这种结尾与善恶报应是对立的。首先我们应当看到，哈姆莱特已经将杀父仇人和试图加害于他的人在戏剧结尾处死。从恶的一方来说，已经受到了报应。如果从主人公这一方面来看，则情况比较复杂。德国哲学家舍勒还用了一个非常生动的比喻来说明悲剧结局：“伊卡洛斯身装蜡翼，在飞近太阳时遇热溶化，他坠海而死”（舍勒 486）。哲学家雅斯贝斯还这样解释道：“人的伟大就在于把人的能力发挥到极端程度，自己知道会因此走向毁灭”（雅斯贝斯 736）。真正的悲剧要求人物像伊卡洛斯那样挑战自己的极限，尽最大的可能性往上飞，在毁灭中走向伟大。雅斯贝斯还提出了“悲剧中的解救”和“从悲剧中的解救”这两个概念，他说：“或则是悲剧继续存在，人坚持下去，在其中变化，从而解放自己；或则是仿佛悲剧本身被解救，悲剧终止存在”（雅斯贝斯 753）。悲剧中的解救可以使人坚强地继续抗争，而从悲剧中的解救，虽然可以产生幸福的结局，却悲剧本身就消亡了。可见西方悲剧的结尾是主人公自己主动选择的，他因此走上了英雄的圣坛。《哈姆莱特》的结局虽然有不少遗憾，但他用自己的生命完成了使命，也不能说完全没有得到好报。而且，主人公面对的伟大的灾难不一定要当作

事实来解读，更多地体现了悲剧作家的审美追求，正如“飞流直下三千尺”不能当作实际的尺寸一样。

第四，群组中的互惠在这部作品中也得到了体现。波洛涅斯在与女儿谈论哈姆莱特时说：“可是你必须留心，他有这样高的地位，他的意志并不属于他自己，因为他自己也要被他的血统所支配；他不能像一般庶民一样为自己选择，因为他的决定足以影响到整个国本的安危，他是全身的首脑，他的选择必须得到各部分肢体的同意；所以要是他说，他爱你，你不可贸然相信，应该明白：照他的身份地位说来，他要想把自己的话付诸实现，决不能越出丹麦国内普遍舆论所同意的范围”（莎士比亚，《哈姆莱特》 20）。一个王子在群体中占有很大的优势，但也有更大的责任，有时甚至得为了国家牺牲爱情。普通老百姓也有责任为国家奉献。哈姆莱特说：“瞧这一支勇猛的大军，领队的是一个娇养的少年王子，勃勃的雄心振起了他的精神，使他蔑视不可知的结果，为了区区弹丸大小的一块不毛之地，拼着血肉之驱，去向命运、死亡和危险挑战”（莎士比亚，《哈姆莱特》 101）。国家有了良好的领袖和勇敢的臣民，才能更好地发展。国家强大了，每个公民都间接地得到回报。但对于具体的个体来说，则不一定有很多直接的回报。福丁布拉斯是幸运的，他打赢了仗，夺回了土地，还赢得了丹麦国王的地位。有些士兵也活着回来，载誉而归，但也有的血洒疆场，自己活着的时候没有得到回报。这些壮烈牺牲的士兵，起码得到了英烈的称号，而且他们的亲人一般会得到一定的回报。

在群组中，也有人只想捞好处，不愿多付出，往往肥了个体，伤害了集体。他们当中的一些人的确活得不错，但长期下去也会被识破，有的还会遭到报应，罗森格兰兹和吉尔登斯吞就是典型的例子。

第五，网络互惠在《哈姆莱特》中也有所表现。人往往根据各自的特点选择不同的群体。老哈姆莱特曾经说：“可是正像一个贞洁的女子，虽然淫欲罩上神圣的外表，也不能把她煽动一样，一个淫妇虽然和光明正大的天使为偶，也会有一天厌倦于天上的唱随之乐，而宁愿搂抱人间的朽骨”（莎士比亚，《哈姆莱特》 28）。不同的人往往选择不同的交往圈子。那些自私自利的群体，如罗森格兰兹和吉尔登斯吞，可能会团结一致去争取好处，但得到好处之后谁能说他们不会反目成仇呢？那些讲究公义的群体，如哈姆莱特与霍拉旭，利益相对淡化，但长远来看，也许经得起考验。

六、西方悲剧的极端的利他主义与狡猾的伪善

戏剧所反映的善恶并不是自然中的善恶，往往都是超出常态的善和恶，以便形成更大的戏剧张力。在《哈姆莱特》中，霍拉旭和奥菲利娅属于比较极端的利他主义者。霍拉旭从小就是哈姆莱特的好朋友，始终都不离不弃。哈姆莱特失去父亲之后，很多人都转身去讨好新国王，而霍拉旭仍然忠于老朋友，体现了一种利他的朋友观。虽然他的地位明显更低，但哈姆莱特说：“你

是我的好朋友；我愿意和你朋友相称”（莎士比亚，《哈姆莱特》 15）。霍拉旭为哈姆莱特做了一系列的事情，他特地从威登堡回来参加哈姆莱特父亲的葬礼，及时把看到鬼魂的消息告诉哈姆莱特，还帮忙观察国王在看戏时的表情，等等。哈姆莱特视他为“所交接的人们中间最正直的一个人”（莎士比亚，《哈姆莱特》69）。这位明显利他的人物得到了哈姆莱特的肯定，乐意与他“彼此保持着不渝的交情，”并且许诺“一定会报答你们的忠诚”（莎士比亚，《哈姆莱特》 19）。最后虽然哈姆莱特死了，从当时的局势看，他应该是会得到重用的。

我们应当看到，好人有好报只是一种倾向，并非必然的。这种极端的利他主义，正如孔雀的漂亮的羽毛一样，属于高风险的付出。假如成功了，回报还是相当可观的，但不成功的可能性也比较大。而且我们在谈论善恶报应的时候，不应该仅仅局限于有生之年。克尔恺郭尔曾经说：“暴君死的时候，他的统治就结束；英烈殉道之时，他的治理才开始”（Kierkegaard 151）。一个真正高尚的人将为人类造福，善恶报应的因果链还会延续下去。

霍拉旭和奥菲利娅都是次要角色。西方悲剧主角，如哈姆莱特，往往与对手采取以牙还牙的策略。这种人物容易取得成功。他们一般尽量自己把握命运，在道德上并非完全没有过错，一般不属于极端利他主义者。他们积极的努力使重创对手的可能性大大增加，其结局显得比较真实。

西方悲剧中的恶的势力，一般都以伪善的形式出现。哈姆莱特曾说：“在这世上，一万个人中年间只不过有一个老实人”（莎士比亚，《哈姆莱特》44）。这种话当然有着明显的夸大。大臣波洛涅斯也说：“人们往往用至诚的外表和虔敬的行动，掩饰一颗魔鬼般的内心，这样的例子是太多了”（莎士比亚，《哈姆莱特》62）。坏人的确往往是以正面形象出现的，因为他知道，坏人的面纱一旦被揭开，就会遭到社会淘汰。

这部剧作的恶的力量主要体现在克劳狄斯身上。克劳狄斯基本上属于正常的人，他的基本伦理判断还在。他在观看哈姆莱特的暗示性的戏时，大惊失色。哈姆莱特注意到这一幕后还自问道：“给一响空枪吓怕了吗？”（莎士比亚，《哈姆莱特》 78）他曾忏悔道：“啊，像死亡一样黑暗的心胸！啊，越是挣扎，越是不能脱身的胶住的灵魂！救救我，天使们！试一试吧：曲下来，顽强的膝盖；钢丝一样的心弦，变得像新生之婴儿的筋肉一样柔软吧！但愿一切转祸为福！”（莎士比亚，《哈姆莱特》 85）当然他没有能够经起王权的诱惑，犯下了杀兄夺权的罪行。但他也知道，他的罪恶一旦公之于众，他马上就会失去他夺来的一切，因为他明白，恶在光天化日之下完全无法与善抗衡。他感叹道：“在这贪污的人世，罪恶的镀金的手也许可以把公道推开不顾，暴徒的赃物往往成为枉法的贿赂；可是天上却不是这样的，在那边一切都无可遁避，任何行动都要显现它的真相，我们必须当面为我们自己的罪恶作证”（莎士比亚，《哈姆莱特》 85）。是否有天堂我们不知道，但我

们可以清楚地看到伦理道德对他的压力。最后罪恶败露了，但他还是不愿接受这样的后果，在被毒剑刺中后哀求道："啊！帮帮我，朋友们；我不过受了点伤"（莎士比亚，《哈姆莱特》 142）。失去了正义的支撑，国王的话也就失去了威力，没有人帮他。虽然这部戏剧展现了善恶之战，但具体的表现形式却为善与伪善的斗争。

七、中国悲剧的善恶冲突

中国悲剧非常重视诗的正义。《赵氏孤儿》是一部可以与《哈姆莱特》相提并论的中国悲剧。我们可以轻松地在戏剧中找到这种互惠关系，作品体现的也是善与伪善的斗争。中国悲剧的一个重要特点在于高度重视极端的利他主义。这个剧本中的程婴为了救出赵氏孤儿冒了各种风险，并且牺牲了自己的独生子。守城大将韩厥和罢官归农的公孙杵臼大人为了救孤都无私地献出了自己的生命。他们三位属于典型的极端利他主义者。韩厥与公孙杵臼在没有任何直接回报的情况下就结束了生命。程婴虽然失去了儿子，但晚年的日子还不算糟糕。可见极端利他是高风险的付出。莎士比亚曾说："善良人的生命往往在他们帽上的花朵还没有枯萎以前就化为朝露"（莎士比亚，《麦克白》374）。这个观点虽然有点悲观，但指望牺牲马上得到回报还是不现实的。更多的情况下只能指望善恶报应的因果链能够延续下去。赵氏孤儿最后亲自擒住了自己的养父屠岸贾，还让他千刀万剐。这种行为，正如哈姆莱特杀死叔父一样，并非完全清白。

虽说中西悲剧的整个行动过程都体现了善恶报应，但中国悲剧在结尾的地方明显与西方悲剧不同，最后往往以大团圆收场，不少人因此否定中国悲剧。就主人公的对手而言，中西并没有什么区别，恶人都遭到了恶报。在主人公这一方，则有一定的区别。《窦娥冤》《琵琶记》等的主人公都是极端的利他主义者，并不像以牙还牙的西方悲剧人物一样可以较好把握自己的命运，主宰事态的发展方向。这种极端的利他在短期看得到直接回报的可能性的确不大。但如果放在人类历史的长河中看，善恶的因果链还是存在的。这种结局可以看作浓缩化的因果链。另一方面看，中国悲剧的结局首先体现的是文学的审美追求，正如西方悲剧的结局一样，不必当作事实来研究。

在进化论理论视野中，道德是对人类有利的行为，甚至这种利益是可以计算的。但也有人坚决反对这种观点。康德曾经对价值和体现道德的尊严做了区分，认为价值可以量化和比较，而尊严则不能，"它无限地凌驾于一切价值之上，这价值若妄想与它相比较，总难免玷污它的圣洁"（康德，《道德形而上学原理》 88）。他还把道德的命令看作定言命令，具有绝对性，把非道德的命令看作假言命令，是有条件的相对命令。他说："这样的关系，不论以爱好为基础，还是以理性表象为基础，所发出的只能是假言命令，由于我意愿另一种什么东西，所以我要做某件事。道德的或者定言的命令，则

与此相反地说，我不是意愿另外什么东西，而这样那样地行动。例如，前一种人说，为了保持信誉，我不应该撒谎。后一种人则说，尽管于己毫无不利之处，我也不应该说谎”（康德，《道德形而上学原理》 94-95）。康德的道德观具有绝对性和崇高性，但我们也应当看到，人如果完全忽视现实是否对他有利，他的生存将难以保障，走向灭亡的可能性就会比较大。离开了如何生存，道德的价值是可疑的。

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试论昆德拉在中国的阐释重点
Main Lines of Interpretation of Milan Kundera in China

许　方（**Xu Fang**）

内容摘要：昆德拉可以说是在中国得到系统译介、广泛接受和具有持续影响的代表性作家，在中国的接受途径畅通，阐释主体多元，形式多样，因此对昆德拉的阐释也呈现出丰富性。本文结合国内学界30余年来对昆德拉作品的研究状况，通过梳理，指出昆德拉在中国的阐释重点有三。一是对昆德拉小说艺术的探索，中国学者从历史、审美与哲学维度对昆德拉的小说创作之道加以阐释，深刻把握昆德拉小说创作理念与基本追求，同时聚焦“复调”与“幽默”这两个重要方面，对昆德拉小说艺术进行剖析。二是对昆德拉小说的核心价值进行阐释，指出对存在的叩问构成了昆德拉小说的基点。三是对昆德拉小说的关键词的阐释，本文从接受的层面入手，着力于“轻”“重”之辨与“媚俗”之解。

关键词：昆德拉；阐释；小说艺术；存在

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Title: Main Lines of Interpretation of Milan Kundera in China

Abstract: Milan Kundera is one of the most representative authors who have been translated and received extensively and thus created a lasting influence in China. The interpretations of Kundera in Chinese context are abundant and multifaceted, thanks to the clear channels of reception and varied subjects and forms of interpreting. Based on a survey of Kundera studies in the Chinese academia over the past 30 odd years, this paper summarizes those interpretations into three main lines. The first is the investigation of his art of fiction. Focusing on two major aspects—polyphony and humor, Chinese scholars interpret Kundera’s way of fiction writing from historical, aesthetic and philosophical perspectives, with a deep understanding of his concept and pursuit of artistic creation. The second is the interpretation of the core values of his fictions. It is argued that the questioning of *being* underpins Kundera’s works. The third is the interpretation of the key words in his fictions. This paper explicates this line from the level of reception with an emphasis on the

dialectics of lightness and heaviness and the understanding of *kitsch*.

Key words: Milan Kundera; interpretation; the art of fiction; being

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考察改革开放以来外国文学在中国的译介、阐释与接受，昆德拉是一个值得特别关注的作家。昆德拉可以说是在中国得到系统译介、广泛接受和具有持续影响的代表性作家，在中国的接受途径畅通，阐释主体多元，形式多样，因此对昆德拉的阐释也呈现出某种丰富性。学界普遍认为，昆德拉作品，具有广阔的阐释空间，对其作品的阐释，处于开放之中。昆德拉的写作，如同一种“诠释”行为，往往指向人之存在的深处。但对昆德拉作品的阐释，有可能出现两种现象：一是止于表层，这样的阅读与阐释，无法理解真正意义上的昆德拉。二是阐释有可能失度，这就是我们常常所言的“误读”。

应该看到，国内对昆德拉的阅读、解读与阐释活动是非常丰富的。昆德拉在中国拥有广泛的读者，对其作品的关注与研究，也在不断的持续过程中。许钧曾指出：“对于昆德拉的《不能承受的生命之轻》这部书确实有着很多不同的理解，譬如：哲学家俞吾金就从哲学的角度对昆德拉的话语进行阐释，他认为此作品铸造了新的时代精神；中国比较文学学会会长乐黛云则认为昆德拉成功地完成了哲理与故事、梦与现实的结合，或者是创造了一支把哲学、叙事和梦合为一体的、复杂的交响乐；文学评论家们更是推崇昆德拉掀起了小说的革命，对小说的‘新’与‘奇’以及对昆德拉小说的技巧与创新进行了探讨；而一般的读者透过《不能承受的生命之轻》看到的是一个美丽的，最后变成了凄婉的，进而再变成绝望的爱情悲剧”（许钧，“理解与翻译——谈《不能承受的生命之轻》”201）。昆德拉阐释的多种可能性，在一定程度上说明了昆德拉作品丰富的生命力。本文拟根据目前掌握的材料，结合国内 30 余年来对昆德拉作品的阐释情况，从三个方面来探讨昆德拉在中国的阐释重点。

一、对昆德拉小说艺术的探索

检视昆德拉在中国译介与传播历程，可以看到不同类型的读者对昆德拉接受与阐释的方式与路径是有明显区别的。就总体而言，普通读者对昆德拉的接受是自发的，对昆德拉的阐释多为感悟性的，他们关注的基本是他的代表作，或者可以说多集中于《不能承受的生命之轻》《生活在别处》等作品。而对于专家型读者而言，则对昆德拉之于小说艺术开拓性的贡献尤为关注。昆德拉研究专家李凤亮曾与李艳合作，收集了 1986 年至 1996 年间有关米兰·昆德拉在世界各地的一些重要的研究资料，编著了《对话的灵光》一书。

李凤亮对昆德拉在中国译介与研究的第一个阶段的情况作了梳理与总结，指出在这个阶段对昆德拉的研究主要集中在四个方面：一是“对昆德拉小说作品及理论观念的普泛介绍成为前一阶段昆德拉研究的重点，为读书界正确认识昆德拉其人其作起到了筚路蓝缕之功”；二是“昆德拉借以引起评论界撼动的，除了作品内容上鲜明的政治批判色彩与哲学质询意味外，更多的恐怕仍是他对小说叙事形式上的革新。由于后一方面较多地关涉于艺术技巧的范畴而不大与意识形态发生联系，因而在近几年的研究中得到充分发展”；三是“从研究者对昆德拉的介入范围与评论区域来考察，不难发现，近十年来的昆德拉研究，无论在各部作品的整体综合把握方面还是在个体作品的单向度分析方面，都分别取得了较大的进展，尤以后者的成果为最”；四是“米兰•昆德拉的生平研究一直是个弱项，迄今亦无彻底改观”（李凤亮，“后顾与前瞻：近十年来米兰•昆德拉翻译研究述评（代前言）”42、46、49、53）。李凤亮指出的四点是上个世纪 80 年代中期至 90 年代中期的昆德拉的研究状况。在对该时期有关昆德拉研究与阐释情况进行梳理之后，李凤亮在其之后所出版的著作《诗•思•史：冲突与融合 —— 米兰•昆德拉小说诗学引论》中附上附录《米兰•昆德拉研究资料目录》，其中第六部分列出了 1981 年至 2005 年中国研究米兰•昆德拉的中文著作与论文的题目。根据知网，我们也搜集了 2006 年至 2018 年 2 月底之前昆德拉研究的博士论文与硕士论文以及期刊论文情况。根据这些材料总的情况看，李凤亮指出的昆德拉研究第一个阶段四个方面的情况，虽然发生了一些变化，但就整体而言，后来的研究在重点方面，是有一定延续的，最为重要的一点，就是对昆德拉小说艺术的探索。

对小说艺术的探索而言，有两个方面的含义。一是昆德拉本身就特别关注小说艺术的探索与革新。彭少健对昆德拉在小说理论方面的探索有这样的一段简要论述：“在创作小说的同时，昆德拉还不断思考文学史上小说的本质与意义，正如海德格尔不断质问‘诗人何为’一样，他不断探究‘何为小说’的问题，对小说这一艺术形式表达自己独到的认识，1960 年他发表了论述捷克作家弗•万楚拉小说的论文集《小说的艺术》，后来为了纪念他的这部早期论文集，他将 80 年代的小说理论文集也命名为《小说的艺术》。1993 年完稿并初版的论文集《被背叛的遗嘱》则通过对纳博科夫等作家的论述进一步探索了小说，特别是结合自己的移民经历论及了不少移民作家的命运”（彭少健 4）。昆德拉的创作是实践与理论并重，且在两者之间有着严格意义上的互动。在当代的作家中，昆德拉是少有的在对小说理论进行深刻的思考、建立了自己的小说观的同时，进行自觉的小说创作的作家。他早期写过不少探讨小说历史与理论的论文，1960 年出版 《小说的艺术》就是有关文章的合集。在《被背叛的遗嘱》一书中，他明确提出了建立小说的历史观的重要性：“依我看来，伟大的作品只能诞生于它们所属艺术的历史中，同时参与这个历史。只有在历史中，人们才能抓住什么是新的，什么是重复的，什么是发

明，什么是模仿。换言之，只有在历史中，一部作品才能作为人们得以甄别并珍重的价值而存在。对于艺术来说，我认为没有什么比坠落在它的历史之外更可怕的了，因为它必定是坠落在再也发现不了美学价值的混沌之中”（昆德拉，《被背叛的遗嘱》 18）。通过这一段话，我们可以看到昆德拉对小说的思考是系统而全面的，首先是对小说的本质、历史的思考，只有在历史中才能衡量一个作家或一部作品的独特之处与“美学价值”。2006 年，昆德拉发表了新作《帷幕》，其思考同样是在历史与美学这两个重要的维度展开的。彭少健很敏锐地抓住了这一点，对这部新作作了如下简要但精道的解读与阐释：“2006 年出版的《帷幕》，进一步研究了前面两部理论著作中提出的问题：一方面，昆德拉从小说的历史入手，通过对作品的考察和分析来表达自己的小说美学观。另一方面，昆德拉从小说本体论出发表述了自己的小说美学观。他认为，小说并非是一种文学体裁，它具有与其他艺术不同的起源、历史、道德、开放性以及与作家自我的关系，应将其视为一种特别的、独立的艺术”（彭少健 4）。就昆德拉的小说理论探索与思考而言，彭少健的分析与阐释应该说是比较准确地反映了昆德拉的探索意图与理论追求。

对于昆德拉在小说理论探索方面的贡献，国内的学者关注较多，而且对昆德拉的思考有较为深刻的把握。除了将小说置于“历史”与“美学”两个维度加以考察之外，吴晓东认为昆德拉还有另一追求，那“就是要把小说与哲学结合起来。当然这种结合不是以哲学家的方式来从事哲学研究，而是以小说家的方式来进行哲学性思考”（吴晓东 319）。对于昆德拉的这一哲学思考维度，吴晓东认为并非昆德拉的创新性探索，而是基于现代主义小说的一种思想层面的继承。他认为：“可以说，这种小说家式的哲学思考代表了 20 世纪现代主义小说一个基本取向，比如卡夫卡，比如萨特、加缪、西蒙·波伏瓦，又比如黑塞，博尔赫斯也有这种倾向”（吴晓东 319）。实际上，在欧洲文学的传统中，小说与哲学的结合是一大特征，从法国文学史看，启蒙哲学家们的文学创作就有这样的特征。就昆德拉的小说理论与创作在中国的影响而论，吴晓东认为：“如果说二战之后欧洲最具革命性的小说实验是新小说派，那么在新小说派之后最有冲击力度的，就目前介绍到中国文坛的作家而言，可能是昆德拉。昆德拉的小说学价值或者说诗学意义上的特殊贡献在于，他是继新小说派之后最自觉地探索小说可能性限度的作家，并且呈现了新的小说样式，让我们知道小说还可以写成这个样子，同时启示我们小说更可以写成别的样子”（吴晓东 312）。

中国学者从历史、审美与哲学维度对昆德拉的小说探索的阐释，是对昆德拉小说理论的基本把握。盛宁还看到昆德拉小说的另一个特质，在对 20 世纪的世界文学作了一番观察之后，盛宁指出，“以米兰·昆德拉为代表的来自东欧的新型小说，也给了欧美文坛以不小的冲击。人们看到，相对于那些不堪卒读的文字游戏式的‘实验小说’，倒是这后一类文学展示了更广阔的叙

事可能性，提供了更加凝重、更加实在的审美意识，虽然这后一类小说也充满了奇想，也不乏‘超现实’的表现，但它们与历史和社会实际有着明显的联系，甚至表现出一种社会和道德的责任感”（盛宁 126）。他还特别强调指出：“昆德拉对于小说艺术之出路的思考，看来还是首先以坚持文学艺术的道德责任为前提的”（盛宁 126）。盛宁的这一阐发，对于我们考察中国读者为何特别关注昆德拉的小说，具有一定的参照意义。

李凤亮对中国学界研究、阐释昆德拉的状况较为了解，在此基础上，他从诗、思与史三个方面对昆德拉的小说理论与创作加以把握，这与我们在上面所指出的情况基本是吻合的。李凤亮认为，昆德拉是“一个有着明确的批判意识、幽默精神与小说史观念的小说家”，有“对小说使命的执著思索与探求”（李凤亮，《诗·思·史：冲突与融合 —— 米兰·昆德拉小说诗学引论》114），是对欧洲小说传统的一种复兴与开拓。基于此，他指出：“昆德拉所复兴的，不仅是一种主导性的小说美学风貌，还有他一贯主张的小说智慧的内在精神，一种现代人类诗意生存所必需的相对性价值立场”（李凤亮，《诗·思·史：冲突与融合 —— 米兰·昆德拉小说诗学引论》114）。从以上我们简要的梳理中，不难看到中国学界对昆德拉小说理论探索的阐释，是在多个层面进行的。

如果说昆德拉对小说的探索，理论思考是一个方面的话，那么另一个方面，就是他在实际的小说创作中，在其小说历史观、美学观和哲学思考的基础上，对小说写作有着自觉的追求。从我们目前掌握的材料看，对昆德拉的研究，尤其是学术层面的探讨与研究，从上个世纪 80 年代开始至今，最重要的就是对昆德拉小说艺术的探讨，这样的研究往往结合对具体作品的分析，选择相关角度对昆德拉的小说进行阐释。值得说明的是，最初的部分讨论文章在对昆德拉小说进行阐释时，还是主要集中在对昆德拉小说的内容层面的解读，对昆德拉小说所书写的世界的解读，对昆德拉在东欧文学中的地位、昆德拉的“媚俗”之揭示、昆德拉的困境等等进行介绍性的评述。到了 90 年代，颜向红在《外国文学评论》1991 年第 3 期发表了《现代小说：时空结构与价值失落》一文，对昆德拉的小说结构展开了研究。乐黛云在《读书》杂志 1992 年第 1 期发表的《复杂的交响乐》，可以说是对昆德拉的小说理念与小说创作进行深度分析与阐释的最早的论文之一。之后，有关昆德拉小说艺术的探讨越来越多，如邵建在《文艺研究》1994 年的第 6 期发表了《人的可能性与文的可能性 —— 米兰·昆德拉的小说“革命”》，李凤亮在《国外文学》1995 年第 3 期发表了《大复调：理论与创作 —— 论米兰·昆德拉对复调小说的承继与发展》，仵从巨在《文艺研究》1996 年第 3 期发表了《“存在”之思铸就的形式 —— 论昆德拉小说形式的独创性》，刘润奎在《国外文学》1997 年第 4 期发表了《昆德拉的小说艺术》，李夫生在《外国文学研究》1998 年第 2 期发表《米兰·昆德拉小说的叙事策略》，涂险峰在《外国文学

评论》1999 年第 2 期发表《对话的可能与不可能及复调小说》，黄书泉在《安徽大学学报》（哲学社会科学版）2000 年第 1 期发表了《小说：对存在的探索 —— 米兰 • 昆德拉的小说观》等。我们刚才所列举的文章，都是一些比较有代表性的论文，实际上，对昆德拉小说艺术的探讨与阐释的文章，构成了中国对昆德拉研究的重点。进入新世纪以来，这一方面的研究还在继续，2002 年，李凤亮在这一年分别在《小说评论》、《暨南学报》（哲学社会科学版）、《国外文学》、《广东社会科学》、《华南师范大学学报》（社会科学版）等学术刊物以及在国内有很大影响的《南方周末》与《羊城晚报》发表了 9 篇文章，就昆德拉的小说观、小说历史观、小说艺术等方面展开了研究，其阐释中所展现的观点在中国学界有很大影响。

2003 年，上海译文版的昆德拉作品问世之后，对昆德拉的阐释进入了继续深入的时期，在这一年以及 2004 年、2005 年、2006 年，李凤亮又在《外国文学研究》、《南京社会科学》、《江汉论坛》、《南方文坛》、《深圳大学学报》（人文社会科学版）等刊物以及《中华读书报》等报陆续发表了近 20 篇论文。从李凤亮的文章看，他关注的视野开阔，但重点还集中在对昆德拉小说诗学、文体、叙事等涉及昆德拉小说艺术问题的探索。从昆德拉作品新译之后，我们根据知网所检索到的材料，根据论文题目与关键词，可以看到就昆德拉小说艺术的探索文章就近 100 篇。

从对昆德拉小说艺术探索的文章看，对昆德拉小说作品的分析与阐释主要集中在两个特别值得关注的方面：

第一是对昆德拉小说复调的阐释。乐黛云的《复杂的交响乐》一文，是国内较早关注昆德拉小说复调写作的文章，她指出：“ 为了达到从多方面勘探 ‘ 存在 ’ 这一目的，昆德拉提倡用音乐的 ‘ 复调 ’ 方式来写小说。复调就是多条线索同时并进而又相互对照，相互呼应，形成音乐式的 ‘ 对位 ’……昆德拉认为 ‘ 把非小说性的类，合并在小说的复调法中，这是布洛赫的革命性创举 ’。但他也指出这五条线索还缺乏平衡和有机联系 ”（乐黛云 113）。乐黛云对于昆德拉作品中 “ 交响乐 ” 之特征的揭示，对后来阐释者有诸多启示。对昆德拉作品音乐性的阐释，就与此有关联。邵建也是较早关注昆德拉复调理论与实践的评论家之一，他在《作家》1993 年的第 7 期，发表了《复调：小说创作新的流向》一文，在作家中有较大影响，值得特别关注。我们在上文所特别提到的李凤亮就复调问题先后发表了多篇论文，1996 年，他发表了一篇题为《复调小说：历史、现状与未来 —— 米兰 • 昆德拉的复调理论体系及其构建动因》的文章，对昆德拉所致力构建的复调理论及其动因进行了思考与探讨，指出：“ 小说文体的复调、叙述视角的复调、情感空间的复调与时空观念的复调，一起构成了昆德拉庞大的复调小说理论体系 ”（李凤亮，“ 复调小说：历史、现状与未来 —— 米兰 • 昆德拉的复调理论体系及其构建动因 ” 173）。李凤亮在研究中，认为昆德拉构建这一复调小说体系，有着三重动因：

一是昆德拉的思想动因，二是昆德拉的小说观念动因，三是题材动因（李凤亮，“复调小说：历史、现状与未来——米兰·昆德拉的复调理论体系及其构建动因”174-175）。关于昆德拉的小说观念动因，李凤亮认为：“昆德拉对复调性思维的选用，正是与其对以往纯叙事、重情节、重人物性格刻画等传统小说观念的摒弃同步进行的。他的‘大复调’体系的建立，正与他对小说文体的独特理解密切相关”（李凤亮，“复调小说：历史、现状与未来——米兰·昆德拉的复调理论体系及其构建动因”175）。基于这一判断，李凤亮在《西南师范大学学报》（人文社会科学版）2004 年第 2 期发表了专文，讨论昆德拉的文体的复调与变奏，题为《文体的复调与变奏——对米兰·昆德拉“复调小说”的一种解读》，又在《深圳大学学报》（人文社会科学版）2005 年第 2 期发表了《遗忘与记忆的变奏——昆德拉小说的题旨隐喻》等文章，都与复调的阐释有关。吴晓东对昆德拉的复调也有研究，在他在北京大学的小说课中，对昆德拉有深入的讲解。在对《不能承受的生命之轻》结构分析中，他指出，昆德拉的这部小说“各个线索以复调方式并存，同时进展互相交织，有一种四重奏的多声部效果，四种乐器构成了和声，从而形成一个统一体”（吴晓东 345）。有关昆德拉这方面的阐释文章，我们也可以看到“复调”、“变奏”、“合奏”等术语的重点使用。

第二是对昆德拉小说创作中“幽默”的阐释。如果说，复调在一定程度上，是昆德拉结构其小说的主要基点，那么，“幽默”则是其小说写作风格的主要基调。昆德拉的作品，尤其是小说，其形式、其语气、其话语之内涵、其词汇的选择、其因素主题与轻松的话语方式的强烈对照，都透出一种特别的幽默，一种超然而深刻的态度，打上了明显的昆德拉的标记：昆德拉式幽默。

在国内学界对昆德拉式幽默的阐释中，我们注意到有对其幽默特点的阐释。李凤亮认为，“‘昆德拉式的幽默’除了揶揄、谐趣之外，更多的则是基于‘诗性沉思’的那种睿智的自嘲和反讽。这种睿智的自嘲和反讽常与深沉的感伤和冷峻的怀疑相交织，构成一种形而上的幽默”（李凤亮，“别无选择：诠释‘昆德拉式的幽默’”188-189）。仵从巨也认为：“幽默是昆德拉的风格特征，因之许多评论者亦称他为幽默作家。昆德拉特别看重幽默，他甚至认为幽默是小说的基本精神，幽默与小说同生俱来。他认为艺术上有三个敌人：一为媚俗、一为不思想、一为无幽默感而且不笑的人”（仵从巨 19）。彭少健对昆德拉的小说进行过全面的解读，在他的解读中，可以看到对于昆德拉“幽默”的诠释特点。他认为：“《玩笑》是昆德拉的成名作，为后来的创作奠定了一个基调，那就是：在生活中选择一些轻松幽默的细节场景，表达严肃的生命存在主题，使极为严肃的内容与极为轻松的形式相结合，构成他小说特有的轻松与沉重之二重风格。表面上看，他小说中的人物都似乎在玩笑中生活，以一种玩笑式的态度对待生活，但是在人物苦涩的笑声中、轻松的玩笑中，却承载着沉重的内容”（彭少健 129）。李凤亮所言的昆德拉幽默的“形而上”

特征与彭少健所述的轻中见重的特征，具有重要的联系，这样的阐释对我们把握昆德拉的幽默具有导向性的作用。

对昆德拉式幽默的阐释还体现在对其动机与原因的追索。如果说风格即人的话，那么，昆德拉的幽默，不仅仅是形式上的，是渗透在其存在之中的。面对存在之荒诞，面对人类的困境，面对昆德拉在那个时代遭遇的“极端”，他的幽默是一种抵抗存在之重的方式。袁筱一特别注意到昆德拉作品所关注所书写的“玩笑”，昆德拉在其“漫长的小说创作旅途中，他一直在重复这个词：玩笑。革命是玩笑（《玩笑》），逃亡是玩笑（《告别圆舞曲》），爱情是玩笑（《好笑的爱》），青春是玩笑（《生活在别处》），道德是玩笑，不朽是玩笑（《不朽》），回归是玩笑（《无知》），自我的寻找是个玩笑，甚至，‘家’也是一个玩笑，生命本身也是个玩笑（《不能承受的生命之轻》）”（袁筱一 197）。昆德拉的笔下，看似将一切与生命相关的都当做玩笑，那么，如何抵挡历史、政治与人类所开的这些“玩笑”呢？昆德拉的幽默，于是表现在“反讽”中，昆德拉的“反讽”在其作品中有一种“贯穿始终”的坚强和睿智力量：“这种反讽不是外现的，而是深含不露的，反讽的矛头直指崇高与专制之间存在的相对悖论”（李凤亮，“别无选择：诠释‘昆德拉式的幽默’”193）。这是从现实的层面对昆德拉幽默的解读。

哲学家俞吾金则从昆德拉对拉伯雷传统的弘扬之中，看到了昆德拉对幽默这一传统的重新发现、继承与发展。俞吾金认为：“在昆德拉看来，幽默并不是古已有之的，而是现代精神的伟大发明。幽默体现的乃是人类生存的活力，它犹如天神之光，把世界展示在道德的模棱两可中，把人们暴露在判断他人时所陷入的深深的无能中，把严肃和僵硬溶解在轻松的笑声中”（俞吾金 265）。对于昆德拉式幽默的阐释，在国内学界发表的一些研究成果中，还可以看到对其修辞层面的分析，对其小说情节安排方面的分析，这里不拟展开。李凤亮在其博士论文中专辟一节，谈昆德拉的“幽默叙事”，其中有这样的一段论述：“生活本身的怪诞和政治迫害的严酷，赋予昆德拉以幽默叙事的动力和机缘。以冷峻思辨、沉痛自嘲与机智反讽为基调的‘昆德拉式的幽默’，事实上不仅仅是他本人的一种修辞策略，还从心理图景的角度映现出 20 世纪人类面对苦难时的煎熬、抉择与希望”（李凤亮，《诗·思·史：冲突与融合 —— 米兰·昆德拉小说诗学引论》 115）。这样的阐释，既关注到了昆德拉式幽默的艺术修辞层面，也指出了人类存在层面的一种心理，一种态度，一种希望，具有特别的意味。

二、对存在的追问

在上文的评述中，我们或多或少已经涉及昆德拉小说创作中一个最基本的焦点：存在。国内学界对此有比较深入的思考和探讨，而且有一个共识，那就是昆德拉的小说创作是“存在之思”，是对存在的思考。

首先，昆德拉无论在其对小说理论的思考中，还是他与有关学者有过的并不多的访谈中，明确表达了自己小说创作的追求。在与法国的安托万•德•戈德马尔的谈话中，昆德拉表达自己对小说的观点和自己创作的“雄心”：“可以说，存在三种小说：叙事的小说（如巴尔扎克、仲马），描绘的小说（如福楼拜）和思索的小说。在最后一种情况里，叙述者即思想的人，提出问题的人，整个叙事服从于这种思索。在福楼拜的作品里，叙述者是看不见的，您在阅读时听到某个人的声音。在此，涉及到我要把小说与哲学相结合的雄心。当然，别人很理解我：我并不想以哲学家的方式来从事哲学，而是以小说家的方式来进行哲学思考。而且，我不大喜欢哲学小说这一用语。这是一种危险的措辞，因为，它必须以一些论点、框框、某些论证愿望为前提。我并不想要证明什么，我仅仅研究问题：存在是什么？嫉妒是什么？轻是什么？晕眩是什么？虚弱是什么？情爱冲动是什么？”（安托万•德•戈德马尔 513-514）昆德拉的这段话，清楚地表明了两点：一是他的雄心，要将小说和哲学相结合，探索思索的小说；二是作为思索的小说，他认为小说不是要证明什么，而是要提出问题，首先是对存在提出问题。这两点，可以说成为了国内学界阐释昆德拉小说的两把钥匙。需要进一步说明的是，在昆德拉看来，“小说不是为哲学服务，相反地、是去占领直到那时仍为哲学占据的领地。这是些极抽象的问题：关于人类存在的问题。这一问题哲学从来就不知道该怎样去具体地把握，而只有小说才能做到这一点”（露意丝•奥本赫姆 462）。这样看来，昆德拉对小说创作的探索就不仅仅是有“雄心”了，而且有着“信心”。

国内对昆德拉的研究与阐释，无论就论文的数量看，还是就论文的内容看，就昆德拉小说对存在的探索展开的批评与思考，无疑是个重点。国内最为关注的昆德拉的作品，是《不能承受的生命之轻》，尤其是 2003 年昆德拉作品的新译出版后，发表的有关昆德拉研究的论文中，近三分之一选择了这部作品作为研究与阐释对象。就昆德拉的译者而言，《不能承受的生命之轻》中文版的前后两个译本的译者都以不同的形式就此书的写作谈了自己的看法与理解。由于时代的原因，韩少功在为《生命中不能承受之轻》写的前言中，特别强调东欧文学之于中国的意义，对此书所涉及的政治有自己独到的看法，还就昆德拉的小说探索作了阐述与论述，但对书名中的“存在”一词没有说明。许钧则从对全书的理解与把握出发，指出昆德拉这部作品指向的是“存在”，如王安忆所言，在政治与性这两极中探索“存在”之困境，存在之困惑，由此而导向人之“社会生活、政治生活、爱情生活的种种”（许钧“理解与翻译 —— 解读《不能承受的生命之轻》”170）。

有关昆德拉阐释的第二个重点，我们用了“对存在的叩问”一说，有两个方面的考虑：一是昆德拉的作品在其根本意义上，是对人类存在的探索，二是如上文昆德拉自己所言，他作为小说家，他不是要说明什么，而是要提

出问题，是“思索”，是探索人存在的可能性，在这个意义上，便有了“叩问”之说。在国内研究昆德拉的专家中，仵从巨是很有代表性的一位。他长期跟踪昆德拉的研究，就昆德拉的小说创作进行了深入的思考，发表了一系列文章。早在 1996 年，他在《上海师范大学学报》（哲学社会科学版）1996 年第 4 期发表了长篇论文，对昆德拉写作的出发点与归宿作了探索，直指“存在”，这篇文章的题目为《存在：昆德拉的出发与归宿》。2005 年，他主编了有关昆德拉研究的一部书，题目就为《叩问存在——米兰•昆德拉的世界》。从“叩问”这个词，我们可以看到他紧紧抓住了昆德拉写作的核心问题，是对昆德拉作品意义的深刻诠释。在他为这部书写的代序中，他以昆德拉的小说创作为思考对象，经过全面的检视与分析，指出昆德拉的作品往往通过“政治”与“性爱”这两扇门，去“展开世界”[1]。昆德拉对存在的“思索”，不仅仅是提出问题，是带有批评的“怀疑”，因而在学界昆德拉有“怀疑主义者”之称。仵从巨认为：“昆德拉从怀疑主义开始的旅行并未走向‘虚无’——他作品中严肃的思考令人沉重。我以为‘怀疑’并不是昆德拉给予我们的全部财富。他更大的奉献在于他用怀疑以至悲观向世界展示人的存在的危机。恰恰在这一点上，他的作品产生了感人的力量，激发了现代人在当代世界中存在的自觉与反省意识。萨宾娜怀疑、否定、怀疑，成为至死不渝的怀疑主义者——她寻求什么？西西弗推石上山，周而复始，成为永远不屈的反抗者——他要得到什么？他们都没有明天。但他们有共同的目的或理想：人的自由、人的完整、人的个性、人的尊严、人的存在的合理性。昆德拉没有停止于怀疑，也不曾终止于悲观。从怀疑走向思考，从思考走向反抗，从怀疑、思考、反抗走向人的自觉，这也许才是昆德拉的含义或意义”（仵从巨“昆德拉与我们（代序）”15）。仵从巨的这番解读，在他主编的书中，得到了其他阐释者的印证。如谢炜如就在解读《不能承受的生命之轻》的文章中，明确指出：“《生命中不能承受之轻》就是一部叩问存在的小说。人们解读这部小说时，也许会非常强烈地感受和关注昆德拉对极权主义政治的批判，尤其是经历过极权统治的中年读者；当代小资的审美观点也许会指向裸体、性梦、性爱等情色美的因素。然而，如果我们把政治理解为公众生活，把性爱理解为个人隐私生活，那么，政治与性爱也只不过是昆德拉思索存在的两个载体而已”（谢炜如 134）。又如江志全在分析了昆德拉的《不朽》之后，对昆德拉这部小说的意义作了这样的阐释：“昆德拉用深刻而智慧的笔调告诉我们：生活虽然是异乎寻常的沉重，但是作为存在着的生命就是至高无上的幸福，在上帝离去以后的世界里，人更应该持续不断地努力，为的是不在自己眼中失掉自己，永远坚定于自己的存在”（江志全 179）。

对存在的叩问之阐释主要在两个层面进行，一是探索昆德拉小说的意义。

1　仵从巨写过一篇文章，题目非常明确，就叫“性爱：昆德拉小说之门”，《当代外国文学》，1997 年第 4 期。

中国学界有哲学家对昆德拉作了研究，如周国平，他写的文章题目为《探究存在之谜》，在文中，他根据昆德拉的《小说的艺术》一书的阅读，针对昆德拉所提及的小说家“存在的勘探者”之身份，“通过想象出的人物对存在进行深思”、“揭示存在的不为人知的方面”这一小说的使命，提出自己的看法：“在勘探存在方面，哲学和诗的确各有自己的尴尬。哲学的手段是概念和逻辑，但逻辑的绳索不能套住活的存在。诗的手段是感觉和意象，但意象的碎片难以映显完整的存在。很久以来，哲学和诗试图通过联姻走出困境，结果好像并不理想”，而“昆德拉把他小说里的人物称作‘实验性的自我’，其实质是对存在的某个方面的疑问。例如，在《不能承受的存在之轻》中，托马斯大夫是对存在之轻的疑问，特丽莎是对灵与肉的疑问。事实上，它们都是作者自己的疑问，推而广之，也是每一个自我对于存在所可能具有的一些根本性困惑，昆德拉为之设计了相应的人物和情境，而小说的展开便是对这些疑问的深入追究”（周国平 35-36）。在周国平看来，昆德拉的小说创作只是探索存在之谜的一种方法，按照昆德拉的小说观，“用小说探究存在之谜还是可以有多种写法的”，他认同昆德拉“没有发现过去始终未知的一部分存在的小说是不道德的”这一观点，因为“不但小说，而且一切精神创作，唯有对人生基本境况作出了新的揭示，才称得上伟大”（周国平 36）。在对昆德拉的存在之思作了这番探究之后，周国平作出了这样的判断：“昆德拉用他的作品和文论告诉我们，小说的智慧是非独断的智慧，小说对存在的思考是疑问式的，假说式的。我们确实看到，昆德拉在他的小说中是一位调侃能手，他调侃一切神圣和非神圣的事物，调侃历史、政治、理想、爱情、性、不朽，借此把一切价值置于问题的领域。然而，在这种貌似玩世不恭下面，却蕴藏着一种根本性的严肃，便是对人类存在境况的始终一贯的关注”（周国平 39）。作为哲学家，周国平对昆德拉的这番阐释是准确到位的，同时，他以一种开放的心态，对昆德拉写作的可能性予以了关注。他说的“调侃”，就是昆德拉的“玩笑”、“好笑”，与上文中我们援引的袁筱一的解读是一致的，而“调侃”，不仅仅是一种书写的方式，而是一种清醒的思考、反抗，是一种希望。正如昆德拉自己所言：“终于，我在小说艺术中寻到了它。所以，对我来说，成为小说家不仅仅是在实践某一种‘文学体裁’；这也是一种态度，一种睿智，一种立场；一种排除了任何同化于某种政治、某种宗教、某种意识形态、某种伦理道德、某个集体的立场；一种有意识的、固执的、狂怒的不同化，不是作为逃逸或被动，而是作为抵抗、反叛、挑战”（昆德拉，《被背叛的遗嘱》 164）。昆德拉这一明确的表述，为我们理解昆德拉提供了重要的理论依据和阐释视角。在对昆德拉就存在问题写作的阐释中，如我们在上文多次涉及的，“性”与“情”是人类存在的重要方面，但在阅读中，会有形而上的解读，也可能会有形而下的理解，对此，有学者认为：“我们相信，把自己的小说看作人类生存的‘解剖刀’的昆德拉，为偷情与猎艳提供哲学

意义的目的，不可能仅仅只是为了笔下的人物更有理地放纵情欲，而更重要的必然是通过他们的色情生活来展示他们‘灵与肉’的冲突，来揭示他们苦中作乐的精神状态，来展现他们在成为‘亡国奴’之后所受到的心灵摧残和煎熬”（李平、杨启宁 162）。这样的观点虽然谈不上深刻，但对昆德拉理解的角度应该是适合其创作意图的。

对存在的叩问之阐释的另一个层面，就是分析昆德拉在小说中是如何对存在加以叩问与沉思的。李凤亮对此问题有深入的思考，他指出：“与存在论哲学家不同，昆德拉不是从存在的本体论，而是从人类存在境况的现实出发看待和思考存在的。在他看来，小说写作的目的，就是抓住自我对存在的深思”（李凤亮，《诗•思•史：冲突与融合——米兰•昆德拉小说诗学引论》191）。昆德拉的小说创作是很自觉的行为，由其思想作为指引。在小说中以何种方式叩问存在？对这一问题，昆德拉自己也有答案：“小说审视的不是现实，而是存在。而存在并非已经发生的，存在属于人类可能性的领域，所有人类可能成为的，所有人类做得出来的。小说家画出存在地图，从而发现这样或那样一种人类可能性。但还要强调一遍：存在，意味着：‘世界中的存在’。所以必须把人物与他所处的世界都看作是可能性”（昆德拉，《小说的艺术》54）。对昆德拉的这一观点，我们注意到两个重要的方面：一是存在包括人物和他所处的世界；二是人物是处在世界中。昆德拉说他写的《小说的艺术》，纯粹是从实践者的角度出发，谈的主要是他“小说中固有的”东西和他对小说的想法。

三、对“生存密码”关键词的阐释

昆德拉曾有言：“把握自我，在我的小说中，就是意味着，抓住自我存在问题的本质，把握自我的存在密码。在创作《不能承受的生命之轻》时，我意识到，这个或那个人物的密码是由几个关键词组成的。对特蕾莎来说，这些关键词分别是：身体，灵魂，眩晕，软弱，田园牧歌，天堂。对托马斯来说：轻，重。在题为《不解之词》一章中，我探讨了弗兰茨和萨比娜的存在密码，分析了好几个词：女人，忠诚，背叛，音乐，黑暗，光明，游行，美丽，祖国，墓地，力量。每一个词在另一个人的存在密码中都有不同的意义。当然，这一密码不是抽象地研究的，而是在行动中、在处境中渐渐显示出来的”（昆德拉，《小说的艺术》 37-38）。昆德拉解读生存，靠密码，而密码于他而言，便是一个个关键词。要阐释昆德拉的小说，我们可以循着他的指引，观其小说如何围绕关键词展开小说的境况构建与人物塑造。昆德拉的小说中，有不少关键词，国内对昆德拉的解读，也常常围绕这些关键词而展开，比如对“存在”，对“轻”“重”、对“身体”、对“灵魂”、对“梦”、对“理想”、

对“媚俗”等等关键词的解读[1]。在阐释昆德拉不同形式的论文或读后感或网络平台的文字中，可以看到不同形式的解读。这里我们只选择中国读者最为关注的一组关键词“轻”与“重”和一个最难阐释清楚的关键词“媚俗”，看看中国读者是如何阐释的。

首先是“轻”“重”之辨。自从昆德拉译介到中国之后，昆德拉的“轻”“重”之学很快受到各个层面的读者的关注，“生命之轻”的语式结构被广泛接受与使用，成为值得关注的语用现象。对于昆德拉的“轻”与“重”这两个关键词，有各种各样形式的阐释，阐释的路径、重点也有区别。但最有代表性的是哲学家周国平的阐释：“关于‘存在之轻’的译法和含义，批评界至今众说纷纭。其实，只要考虑到昆德拉使用的‘存在’一词的海德格尔来源，许多无谓的争论即可避免。‘存在之轻’就是人生缺乏实质，人生的实质太轻飘，所以使人不能承受。在《小说的艺术》中，昆德拉自己有一个说明：‘如果上帝已经走了，人不再是主人，谁是主人呢？地球没有任何主人，在空无中前进。这就是存在的不可承受之轻。’可见其涵义与‘上帝死了’命题一脉相承，即指人生根本价值的失落”（周国平 36）。周国平的阐释，是从哲学的角度出发的，拿他自己的话说，这只是一种。有关“轻”“重”之辨，普通读者的阐释值得特别关注。他们往往结合自己的生活经历，在阐释中融入自己的生存体验，呈现出鲜明的主体性。

其次是“媚俗”之解。谈到“媚俗”，在中国一定就会联想到昆德拉的小说，这个关键词，几乎就是“昆德拉”小说的标志性词语。中国对“媚俗”的阐释，有两个层面。一个是翻译的层面。德文的“Kitsch”一词，可以说是随着昆德拉而进入到中国读者之中，且引起普遍关注和深刻思考的。Kitsch 一词贯穿于昆德拉的作品之中，是外来概念译介入中国后翻译争议最大、内涵影响最广泛的词语之一。Kitsch 一词随着作家出版社于 1987 年 9 月出版的昆德拉小说代表作《生命中不能承受之轻》韩少功与韩刚合译版问世，首次进入国人的视野，并迅速成为学界探讨的热门概念。韩少功在小说里将其译为“媚俗”，这一译法在昆德拉阅读热潮中得到广泛的传播，而与此同时，许多翻译界、文学界人士通过对该词的考察，根据自身理解提出了诸多不同译法，如“忌屎”、“媚雅”、“媚世”……还有近些年为一些人所接受的，由另一位昆德拉作品译者景凯旋所提出的“刻奇”。如果说翻译是广义的阐释，那么，这是第一个层面的阐释。第二个层面，就是在翻译之后，读者对之的阐释。Kitsch 概念进入中国 30 余年，对这一概念的翻译却仍存争议，学者探究之热情丝毫没有随时间消减：李明明于 2014 年发文梳理西方研究成果阐释

1　如张志忠的“《生命中不能承受之轻》解读小辞典 —— 米兰·昆德拉研究札记”，《批评家》，1989 年第 2 期；周荣胜的“关于媚美”，《文艺报》，1994 年 11 月 26 日第 3 版；仵从巨的“关于昆德拉的四个词”，《当代外国文学》，1999 年第 2 期；欧翔英的“镜子中的田园诗 —— 昆德拉小说中的共在世界”，《当代文坛》，2001 年第 5 期，等等。

西方文论关键词“媚俗”[1]，2015 年再次发文从艺术、文学、文化三个层面探讨“媚俗”概念[2]；景凯旋在十几年间多次为“刻奇”撰文，并在 2014 年发表文章《刻奇：美学的还是伦理的？》从伦理道德角度对 Kitsch 进行阐释[3]；陈民和宋羽葭于 2016 年 4 月发表《从美学概念 Kitsch 的中译说起》一文，通过梳理 Kitsch 在德国的现象流变以阐释其概念，并在文末提出了译名的又一可能性 —— 即纯粹的音译“基奇”[4]。在《生命中不能承受之轻》中，韩少功将它译为“媚俗”，Kitsch 一词与“媚俗”都有“刻意讨好、迎合”之意，然而“媚俗”之“俗”有多种解释：“既指俗气 —— 庸俗艳丽、缺乏修养的文化品位，也可指习俗 —— 民间的传统风俗习惯，又或俗民 —— 教养和品味低劣的普罗大众，甚或世俗 —— 宗教彼岸的俗世百态”（李明明，“关于媚俗（Kitsch）”214）。此诸为“他者”，“媚俗”即“讨好他者”，而昆德拉对 Kitsch 的描述却并非如此，借用读者中一个通俗的解释，Kitsch 更有“矫情”之嫌，是一种“自媚”，即“讨好自己”。景凯旋认为，昆德拉笔下所描述的 Kitsch“主要是指一种诗性的人生态度，其中也包括某些浪漫的现代主义艺术，而不是我们所理解的媚俗，恰恰相反，他要回到本真的生活，以反抗各种出于心灵夸张的价值理性”（景凯旋，“关于‘刻奇’”58）。昆德拉受奥地利作家赫尔曼 • 布洛赫（Hermann Broch）将 Kitsch 与伦理相探讨的启发，在其小说中对 Kitsch 的意义进行了进一步的发展与阐释。布洛赫将只追求美，而缺乏伦理价值的艺术称为 Kitsch，昆德拉欲阐释的则是伦理的过度。他在《不能承受的生命之轻》中由斯大林儿子雅科夫不堪忍受粪便之辱，扑向高压电网而死的故事引出对 Kitsch 的思考，“对生命的绝对认同，把粪便被否定、每个人都视粪便为不存在的世界称为美学的理想，这一美学理想被称之为 Kitsch”（昆德拉，《不能承受的生命之轻》 295）。在小说中，Kitsch 是萨比娜反感的“这个世界所戴的漂亮面具”：心照不宣的“生命万岁！”之口号驱使人们在五一节的游行中即便愁苦也展露笑容，以表达对生命的认同；单凭心灵之感觉，因看到孩子们在草地上奔跑时能跟全人类一起感动而倍加感动；在政治霸权的社会里，个人主义、怀疑、嘲讽这些有损于 Kitsch 的行为都被禁止；为了自由、平等、正义、博爱而团结在一起的“伟大进军”…… 这种种在昆德拉看来都是 Kitsch 的体现。他认为在 Kitsch 产生之后被传播到各种语言中，这一概念在频繁的使用中发生了变化，“已经抹去了它原来形而上学的价值”，Kitsch 在根本上是“对粪便的绝对否定”，无论是在其字面的意义还是从其引申意义看，都是“把人类生存中根本不予接受的一切都排除在视野之外”（昆德拉，《不能承受的生命之轻》 296）。Kitsch 已经超出

1 李明明：“西方文论关键词：媚俗”，《外国文学》，2014 年第 5 期。

2 李明明：“关于媚俗（Kitsch）”，《外国文学评论》，2015 年第 1 期。

3 景凯旋：“关于‘刻奇’”，《书屋》，2001 年第 12 期；景凯旋：“刻奇：美学的还是伦理的？”，《南京大学学报》，2014 年第 2 期；景凯旋：“美，是一个特别的问题”，《读书》，2014 年第 6 期。

4 陈民、宋羽葭：“从美学概念 Kitsch 的中译说起”，《中外文化与文论》，2016 年第 2 期。

其原本的美学范畴，成为一种虚假的情感体验及由此诱发的刻意行为，如同昆德拉在他的《小说的艺术》中所论述的一样：“在赫尔曼·布洛赫那篇著名的随笔的法文版中，媚俗一词被翻译成‘蹩脚的艺术’。这是一个误译，因为布洛赫证明‘媚俗’并非仅仅是一部品味差的作品。还有媚俗的态度、媚俗的行为。媚俗者 (kitschmen) 的媚俗需求，就是在美化的谎言中照耀自己，并带着一种激动的满足感从镜中认出自己。对布洛赫来说，在历史上，媚俗是跟十九世纪多愁善感的浪漫主义联系在一起的”（昆德拉，《小说的艺术》167）。昆德拉对于 Kitsch 的标准于景凯旋看来“不是模仿、简单和肤浅，也不是创造性的缺乏，而是情感上的矫情”，“正是绝对的抒情性构成了刻奇的主要结构”（景凯旋，“刻奇：美学的还是伦理的？”151），这种从主观内心世界出发，对理想世界热烈的抒情性，正是浪漫主义的体现。

结 语

自 1987 年韩少功与韩刚翻译的《生命中不能承受之轻》在中国出版以来，昆德拉在中国的译介与阐释已有 30 余年的历程。中国学界对昆德拉的小说观念与艺术展开了不断深入的研究。在上文中，我们就昆德拉在中国的阐释重点作了细致的梳理与简要的论述，从中可以看到，对昆德拉的阐释有着明确的指向，有着重点关心的问题。同时，中国学界与普通读者的阐释有一定的互动性，路径多样，阐释丰富，具有开放性的特征。

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白居易父母的甥舅婚问题

On the Niece-Uncle Bond of Bai Juyi's Parental Marriage

张同胜（**Zhang Tongsheng**）

内容摘要：白居易父母的婚姻伦理深陷汉文化生态中的伦理蒙昧，因为他们是甥舅婚。自西周以来，甥舅婚就成为了汉民族的伦理禁忌。那么，为什么在中唐还存在着这种婚姻伦理混沌呢？白居易家族的伦理身分尤其是其宗教伦理身份是解决这个婚姻伦理问题的一把钥匙。白居易家族是西域龟兹胡，“乃亚（雅）利安人之支裔”，而波斯人、西域人曾信奉琐罗亚斯德教。琐罗亚斯德教实行族内血缘通婚，而它在中土又不外传，只在胡人聚落社区内部流传。因此白居易父母的甥舅婚表明其家族世代极有可能信奉祆教，践行族内血缘婚。

关键词：族内血缘婚；琐罗亚斯德教；雅利安人；白居易

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Abstract: Bai Juyi's parental marriage falls deeply into the ethical chaos in the eyes of the cultural ecology by the Han ethnic group due to their niece-uncle (i.e., the daughter of mother's sister and the mother's brother) marriage bond. Since Western Zhou Dynasty, such matrimony has become an ethical taboo for Han Chinese. Then, why did such chaos of marriage ethics still exist in the middle Tang Dynasty? This paper holds that the ethical identity of Bai Juyi's family, their identity of religious ethics in particular, is a key to dispel such marital baffle. Bai Juyi's parents descended from the Qiucihu in the Western Regions, namely, "the descendants of Aryan." As is known, the Persians and residents of the Western Regions embraced Zoroastrianism which practiced intermarriage by consanguinity within the family. Besides, such marriage was practised only within the Hu's ethnic settlements. For this reason, Bai Juyi's parental matrimony with a niece-uncle bond indicates that his family is likely to follow Zoroastrianism and practices intra-clan consanguinity.

Key words: Intra-clan marriage by consanguinity; Zoroastrianism; Aryan race; Bai Juyi

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白居易的父亲白季庚，娶的是他亲妹妹陈白氏的亲生女儿。罗振玉在《白氏长庆集书后》中指出：（白居易的外祖母）“陈夫人白氏少于（白）季庚三岁，乃季庚之妹。颍川县君（按：白居易的母亲）少于季庚二十六岁，则季庚所娶乃妹女。乐天称陈夫人为季庚之姑，乃讳言，而非其实矣。……唐人娶甥为妇，可骇听闻，其出自乐天先人，尤可骇也”（蹇长春 32）。陈寅恪进一步指出，“在唐代崇尚礼教之士大夫家族，此种婚配则非所容许，自不待言也”（321）。蹇长春在其《白居易评传》中认为白居易父母的婚姻即甥舅婚是一个谜语，令人无法理喻（36）。莫砺锋也认为，“白居易父母的离奇的婚事，使得后代的历史学家大伤脑筋。……因为近亲结婚又乱了辈分，在当时是完全不合礼法的”（7）。陈寅恪说：“疑其婚配之间，当有难言之隐，今则不易考见矣”（325）。

白居易父母的甥舅婚，在汉文化语境中是一种伦理蒙昧。聂珍钊认为，本能和原始欲望被称之为伦理蒙昧或混沌（Chaos）；“在人类成为理性的人之前，本能和在本能驱使下产生的欲望得到最大尊重，并任其自由发展，这就导致乱伦的产生”（“文学伦理学批评：基本理论与术语”18）。也就是说，白居易父母的甥舅婚实质上是汉文化伦理环境中的乱伦，这就直接挑战了汉文化的道德规矩和伦理秩序。人类的乱伦产生了两大禁忌之一就是“族内禁婚”（聂珍钊，“伦理禁忌与俄狄浦斯的悲剧”113）。白居易的父母为何敢冒天下之大不韪而触犯婚姻禁忌呢？本文运用文学伦理学批评的方法，结合白居易的伦理结即其家族的身世、种族、宗教信仰，透视和剖析中国文学史上白居易身世伦理尤其是其父母甥舅婚的问题，力图发覆历史的尘封，揭蔽伦理真相。

一、白居易家族的伦理身分问题

（一）种族伦理身分：白居易家族的族源为西域雅利安人

关于白居易的种族问题，陈寅恪说：“推论白氏之为胡姓。鄙意白氏与西域之白或帛氏有关，自不俟言，但吾国中古之时，西域胡人来居中土，其世代甚近者，殊有考论之价值。若世代甚远久，已同化至无何纤微迹象可寻者，则止就其仅余之标帜即胡姓一事，详悉考辨，恐未必有何发见，而依吾国中古史‘种族之分，多系于其人所受之文化，而不在其所承之血统。’之事例言

之，（见拙著《唐代政治史述论稿》及《隋唐制度渊源略论稿》。）则此类问题亦可不辨。故谓元微之出于鲜卑，白乐天出于西域，固非妄说，却为赘论也”（317）。诚然，民族当以文化而不是纯以血缘而论，此洵为卓见。然而，虽然一般来说对历史族群当作如是观，可是，具体到白居易及其家族的伦理线与伦理结，其族源的出处问题由于与其身世尤其是与其父母的婚姻伦理形态密切相关，因而就有澄清事实真相之必要。

据陈寅恪的考证，“（白）乐天先世本由淄青李氏胡化藩镇之部属归向中朝。其家风自与崇尚礼法之山东士族迥异。如其父母之（舅甥）婚配，与当日现行之礼制（开元礼）及法典极相违戾，即其例也”（325）。从而可知，白居易家族之白氏，乃源自龟兹白氏。

姚薇元《北朝胡姓考》云：“龟兹既居白山，故中国本‘胙土命氏’之旨，锡龟兹侍子以汉式姓名曰白霸。其后白霸仗汉威力，归继王位，子孙相沿，遂为白氏。今《魏书》卷一〇二、《隋书》卷八三及《唐书》卷二二一《龟兹国传》，皆云‘其王姓白氏’，盖其时龟兹执政者，正即此白氏王朝也”（399）。此乃西域白氏之由来。据姚薇元考证，西域白氏“乃亚（雅）利安族之支裔”（398）。雅利安人是白种人，由此可知白居易家族为西域白种人的后裔。

（二）宗教伦理身分：西域雅利安人信奉琐罗亚斯德教

琐罗亚斯德教（在中国被称为火祆教、拜火教、祆教或火教），是世界上最为古老的宗教。公元前 4 世纪希腊学者认为琐罗亚斯德教创立于公元前两千年。岑仲勉认为至晚出现在公元前十五六世纪以前。一说出现于公元前 11 世纪。最为流行的创教时间说法是公元前 6 世纪，但岑仲勉认为大谬（278）。它后来成为阿契美尼德帝国、帕提亚帝国和萨珊帝国的国家宗教，对中亚、西亚、东亚、南亚等广有影响。

琐罗亚斯德教何时传入中国的？陈垣认为，“火祆之名闻中国，自北魏、南梁始”（114）。然而，林悟殊却认为，“五世纪中叶，波斯的火祆教徒已确确实实地到达了中国”（“火祆教始通中国的再认识”110-111）。当然，也有学者认为它传播到中国的时间应该还要早，约在三国初年就有其踪影了。岑仲勉认为祆教“再度传入，时在北魏”（278）。宗教的传播，往往先是在民间，后见之于官方记载。张骞凿空西域之前，据专家学者的考证，就存在着玉石之路、小麦之路、陶器之路、青铜器之路等，表明东西方文化之间很早在事实上就存在着交流和互渗。张骞出使西域之后，丝绸之路上的文化交流更是频繁。从而不排除琐罗亚斯德教随着丝绸之路上的粟特人即东部波斯人来到中土，因为粟特人是信奉琐罗亚斯德教的。在中国，祆教的官方记载最早见之于《梁书》和《北史》。北魏、东魏、西魏、北齐、北周都信奉祆教，设置管理祆教的衙门，举行祆教的祭祀。

唐高宗时，苏定方率领大军打败西突厥，朝廷在今中亚一带设立都护府，于是，大西域之一部成为了唐王朝的羁縻之地，时间长达近百年。七世纪，

伊斯兰教崛起于阿拉伯半岛。伊斯兰教教徒圣战东征，萨珊王朝被征服。波斯亡国，征服者阿拉伯人要求当地人皈依伊斯兰教，否则就缴纳高额税。于是，众多琐罗亚斯德教贵族教民流离逃窜，其中一部分南逃至印度西海岸，成为今天的帕西族（Persia）；一部分教徒东迁至中土，于是中原以及北部草原大地上信仰琐罗亚斯德教的人就更多了。

为什么人们不曾见到白居易家族信仰祆教的文献呢？陈垣认为，祆教仅仅局限于族内人信教，它不对外传教，不翻译其宗教经典。他说：“唐时火祆（教）与大秦（教）、摩尼（教）相异之点，有一显而易见者：即大秦、摩尼二教，均有传教举动，且翻译经典，流传于世；故奉其教者，有外国人，有中国人。火祆教则不然，其人来中国者，并不传教，亦不翻经；故其教祇有胡人，无唐人”（129）。由于祆教仅限于西胡内部弘法，不对外传教，因此教外人士弄不清楚祆教教徒的具体信仰。即使在唐代，唐人就已经分不清祆教与佛教的区别了。例如，他们将琐罗亚斯德教中的战神得悉神混同为佛教的摩醯首罗；他们将祆教在太原的无言台（Silence Tower）视作“浮屠法”（岑仲勉 280）。从白居易家族的种族及其信仰，可推知他们信奉祆教。

（三）婚姻伦理身分：琐罗亚斯德教实行族内血亲婚

教主琐罗亚斯德曾给予人类十大神启，其中之一就是族内血缘婚。母子、父女、兄妹之间的血亲婚姻，被琐罗亚斯德教视作可以洗消罪孽、直升天堂的伟大功德。琐罗亚斯德教的圣经是《阿维斯陀》，它提倡善思、善言、善行等“三善”；反对恶思、恶言、恶行等“三恶”。而其中族内血缘婚被认为是“最美好的善行”。祭司们自己遵行族内婚制度，教徒们也风行景从。

《阿维斯陀经》训示说：“最为正直而又正直的人，便是奉我马自达教的信徒，他们一遵我教近亲结婚之规矩行事”（Bahman Yast 211-212）。《亚斯那》写道：“我向崇拜马兹达（光明神）的宗教效忠，放下武器，遵行族内婚姻，这是正当的。”（Mills, 250）《阿维斯陀经》规定，女孩的结婚年龄通常定在 15 岁。因为在古代波斯，15 岁就被视为成年人。林悟殊对祆教的研究深有造诣，他说，“古代琐罗亚斯德教是主张近亲结婚的，即双亲和子女结婚，兄弟姊妹自行通婚”（《波斯拜火教与古代中国》73）。

波斯帝国皇室为了维护种姓的纯洁，实行族内血亲婚制度，君主娶其生母、姐妹或女儿为妻。例如，弗拉阿特斯五世娶自己的生母为妻。冈比西斯娶自己的姐妹为妻。萨珊王朝的阿希达尔一世、白赫兰二世、沙普尔一世，都娶姐妹或女儿为王后，以保证其王族血缘的纯正。君主们也鼓励祭司和武士广泛实行族内婚，并出台法律保障族内婚的财产继承权。于是举国上行下效，波斯人广泛接受和践行族内婚这一婚姻制度。

琐罗亚斯德教的教徒尊奉和践行族内婚。粟特人是东部波斯人，信奉琐罗亚斯德教，实行血亲通婚。中国史书对此也有记载，如魏徵、令狐德棻《隋书 · 西域传》说安国粟特人“妻其姊妹，及母子递相禽兽”（1849）。唐代和

尚慧超《往五天竺国传》说粟特人“极恶风俗，纳母及姊妹为妻”（130）。

琐罗亚斯德教教徒实行族内血缘婚，与汉民族的婚姻伦理文化格格不入。那么，它传入中国后就面临一个伦理意识的冲突问题。它是否在地化了呢？这里有一个已经“示其本相”的例证。1955 年，《苏谅妻马氏墓志》在西安出土。墓志正反两面分别以汉文和巴列维文写成，汉文写道苏谅妻子马氏 874 年在长安病逝，年仅 26 岁；背面巴列维文则说马氏为苏谅之女（陕西省文物管理委员会 458-461）。这就表明，苏谅娶了自己的亲生女儿为妻。苏谅、马氏他们来自波斯，波斯人信仰琐罗亚斯德教。这则墓志铭，真实地记载了祆教教徒在中国也是实行族内血缘婚。

白居易家族与苏谅家族类似，都是从西域迁来的雅利安人后裔，都实行族内婚。陈白氏与她的舅舅白季庚结婚的时候，年仅 15 岁（白季庚则 41 岁了）。白居易父母的婚姻为甥舅婚，在婚姻伦理上属于血亲婚。

二、白居易家族的伦理选择问题

（一）民族伦理选择：汉化的同时杂糅胡风

北魏时期，南迁洛阳的鲜卑贵族，攀附秦汉汉人名家世族，改姓时多有所远认和追附。据《魏书》可知，从种族上来说鲜卑人虽然身为白种人，但是认同黄种人的始祖黄帝为其始祖。到了隋唐时期，民族之间的彼此融合更为剧烈。除了鲜卑族，其他游牧民族也大多认同华夏始祖黄帝。

白长寿说：“事状、墓志、宰相表有一共同之点，即白氏先居关中，于北魏初徙居太原，至北朝末年又返居关中，此点颇足为我们注意。白氏既是西域龟兹胡，其入居之地自在关中，而不在楚，此点似无疑义。太原白氏重回关中，原因甚多，未可一概而论，然关中渭河以北自魏晋以来白氏多散居其间，此或与白氏之重返居渭河以北有关”（62-63）。如前所述，白居易的祖先实乃西域雅利安人，属于白种人；但是，白居易家族却以战国时期的白胜为其姓祖。西域东迁中土的色目人，逐渐地认同中华文化，几代之后，起汉名，以来源国或部族聚落为姓氏，由于他们大多或商或宦，因而受到了较高的汉文化教育，拥有较高的汉文化素养，能够创作较高水平的诗文辞赋。但是，民族文化尤其是其中的宗教信仰，却较难改变。由于粟特人来华后小部落群居，尊奉的祆教又不向外人传教。这一点与犹太教类似，即你首先是一个犹太人，然后才能信奉犹太教。因此，即使是华化的粟特人，他们聚落中的祆教信仰依然是腾腾火焰。宋代开封火祆庙里的火燃烧了几百年就是例证。宗教身分的改变在所有身分塑成中似乎是最难的。除却宗教信仰，西域人在其他身分的华化都较为彻底，如汉语言文化的较高造诣，家谱编撰的追附汉人前哲等等。

白居易也不例外。他在《故巩县令白府君事状》云：“白氏羋姓，楚公族也。楚熊居太子建奔郑，建之子胜居于吴、楚间，号白奋丁因氏焉。楚杀白公，

其子奔秦，代为名将，乙丙已降是也。裔孙曰起，有大功于秦，封武安君，后非其罪，赐死杜邮，秦人怜之，立祠庙于咸阳，至今存焉。及始皇思武安之功，封其子仲于太原，子孙因家焉，故今为太原人”（2833）。然而，欧阳修、宋祁《新唐书·宰相世系表》却说：“白氏出自姬姓。周太王五世孙虞仲封于虞，为晋所灭。虞之公族井伯奚腾伯姬于秦，受邑于百里，因号百里奚。奚生视，字孟明，古人皆表字后名，故称为孟明视。孟明视二子：一曰西乞术，二曰白乞丙，其后以为氏。裔孙武安君起，赐死杜邮，始皇思其功，封其子仲于太原，故子孙世为太原人。二十三世孙后魏太原太守岂，岂五世孙建”（3412）。

那么，以上这两种说法，哪一种是正确的呢？两者都是错误的。顾炎武《日知录》卷二三《氏族相传之讹》条云：“唐白居易自序《家状》曰‘出于楚太子建之子白公胜。楚杀白公，其子奔秦，代为名将，乙丙已降是也。裔孙白起，有大功于秦，封武安君。’按白乙丙见于僖之三十三年，白公之死，则哀之十六年，后白乙丙一百四十八年。曾谓乐天而不考古，一至此哉！（唐《宰相世系表》以西乞术、白乙丙为孟明之子，尤误）”（872）。这是顾炎武从历史角度所进行的考证，论证了前两种说法之谬误。今人多迷信出土文献，殊不知出土文献也需要甄别判断，因为里面多谀辞或伪文。白居易的先祖，无论是羋姓，还是姬姓，都完全是汉化的结果，都是后人建构的，因为白居易的族祖为西域龟兹胡。

白居易自撰《醉吟先生墓志铭》云：“乐天无子，以侄孙阿新为之后”（3815）。然而，《新唐书》却认为白居易的后嗣是“从子景受”。《册府元龟》卷八六二《总录部·为人后》记载：“白景受，刑部尚书致仕白居易之侄孙。”那么，究竟是侄孙还是侄子？为什么会出现这个问题？其实，这是粟特文化与汉文化的伦理意识冲突。波斯人、契丹人、蒙古人等的婚姻伦理，在辈分中几乎是不讲究的。姑与侄女同嫁给一个人，姊妹分别嫁给父子等婚姻伦理形态既是事实，又在文献中常见。同样的道理，在白居易看来，以侄孙或以侄子为后嗣都是一样的。天水一朝，右文崇礼，从而文人一方面潜意识地恪守汉文化礼法，另一方面由于博学多知从而出现知识记载上的差异。当前令人觉得怪异的是，人们不相信白居易自己的说法，而是相信 1980 年才出现的《乐天后裔白氏家谱》，即“其兄幼文之次子景受为居易嗣”（蹇长春 41）。

白敏中是白居易的从弟。孙光宪《北梦琐言》所载《中书蕃人事》条云：“唐自大中至咸通，白中令（按：白敏中）入拜相，次毕相诫、曹相确、罗相劭权，使相也，继升岩廊。崔相慎猷曰：‘可以归矣，近日中书尽是蕃人。’盖以毕、白、曹、罗为蕃姓也”（97）。此条也可以证明，白居易家族之白氏是蕃姓、胡姓。白敏中是李德裕推荐为相的，然而在李德裕失势后白敏中不仅落井下石，而且唆使人陷害他。据《大唐西域记》，粟特人为了利益父子都相争。惟利是图难道也能作为一种基因而遗传吗？

王定保《唐摭言》中卷十三《敏捷》条云：“白中令镇荆南，杜蕴常侍廉问长沙，时从事卢发致聘焉。发酒酣傲睨，公少不怿。因改著词令曰：‘十姓胡中第六胡，也曾金阀掌洪炉。少年从事夸门地，莫向罇前喜气粗。’卢答曰：‘十姓胡中第六胡，文章官职胜崔卢。暂来关外分忧寄，不称宾筵语气粗。’公极欢而罢”（145-146）。这则笔记也印证了“白”氏乃胡姓以及白敏中自己承认他为胡族。卢发何以傲睨？他在姓氏上有资本。唐代，门阀意识严重。北朝五大姓，指的是北魏陇西李宝李氏，太原王琼王氏、荥阳郑温郑氏，范阳（涿县）卢子迁卢氏，清河（山东武城）崔宗伯、崔王孙崔氏，前燕博陵（河北安平）崔懿崔氏，晋赵郡（邯郸）李楷李氏。薛元超富贵逼人，以不能娶五姓女为恨。唐文宗感慨：“民间修婚姻，不计官品而上阀阅。我家二百年天子，顾不及崔、卢耶？！”（欧阳修、宋祁 5205-5206）由此可知，包括白居易家族在内的西域人为什么追附汉姓而认同汉族名哲为其始祖了；然而，种族身分对于他们来说其实是心知肚明的。

由以上文献可知，白居易将白胜视作始祖，这显然是被汉文化同化的表现。然而，他的堂弟却依然被看作而他自己也认同其白氏为胡姓。可见，种姓身分的伦理认同，是一个极其复杂的历史问题。

（二）宗教伦理选择：祆教的、佛教的还是多教合一？

白居易的家族和亲戚，为什么死后都是二次埋葬？第二次是骨葬。骨葬、天葬、鸟葬都是让兀鹫秃鹰或者是狗将尸体的肉吃掉，然后再将骨头放在骨瓮、骨器或石室里。天葬是由祆教身分决定的。笔者怀疑第二次骨葬可能是祆教所实行的天葬在中土的在地化。天葬不是汉民族的葬仪，而是琐罗亚斯德教的葬仪。希罗多德在其《历史》中写道：“据说波斯人的尸体是只有在被狗或是禽撕裂之后才埋葬的。玛哥斯僧有这种风俗那是毫无疑问的，因为他们是公然实行这种风俗的”（72）。林悟殊认为，玛哥斯又被翻译为麻葛、玛基、穆护，即琐罗亚斯德教的祭司（“火祆教的葬俗及其在古代中亚的遗痕”61）。《阿维斯塔·文迪达德》第三章第 45 节要求，琐罗亚斯德教教徒应该把死者放在鸟兽出没的山顶上，让鸟啄狗噬（Mills 72）。琐罗亚斯德教认为，尸体是不洁的，有尸毒，如果埋在地下就会污染土壤和水质。所以，《阿维斯塔·文迪达德》第三章第 35-39 节规定，如将尸体埋在地下，半年不挖出者罚抽一千鞭子；一年不挖出者，抽两千鞭子；二年不挖出者，其罪过无可补偿（Mills 31-32）。《文迪达德》第五章第 13-18 节规定，信徒“应该把死尸放在达克玛上，让死者的眼睛朝向太阳”（Mills 52-54）。达克玛（Dakhma）即寂静塔或安息塔，是放置尸体的塔顶。粟特人一般是让狗吃掉尸体的肉。《西藩记》记载：康国“国城外别有二百余户，专知丧事。别筑一院，其内养狗，每有人死，即往取尸。至此院内，令狗食之。肉尽，收骸骨埋殡，无棺椁。”（杜佑 1039）刘昫《旧唐书·李暠传》云：“（开元年间）太原旧俗，有僧徒以习禅为业，及死不殓，但以尸送近郊以饲鸟兽，如是积年，土人号其为‘黄

坑’。侧有饿狗千数，食死人肉，前后官吏不能禁止。（李）暠到官，申明礼宪，期不再患。发兵捕杀群狗，其风遂革”（3335）。这表明太原祆教教徒颇多，而白居易家族最先曾在太原居住过。

刘昫《旧唐书》记载，白居易“与香山僧如满结香火社，每肩舆往来，白衣鸠杖，自称香山居士”（4356）。这里的“白衣”，是不是祆教或摩尼教的教服呢？这里的“白衣”不排除与祆教有关系。服饰是界定身分的一个重要的表征。古代中国礼仪文明进行阶级和阶层区隔的重要标志之一就是服饰。礼乐文明又被称为衣冠文明，即依据服饰来划分阶级和阶层身分。自西周以来，历朝历代都规定了什么人穿什么衣服的严格规定，从而服饰成为了一种社会性身分的标识，人们从服饰上就可以断定其社会身份。人们也以服饰来指代人，如“布衣”“黄袍”“黄冠”“红袖”“红妆”“红顶子”“乌纱帽”“青衫”“绿头巾”“黑白鞋”“垂朱拖紫”等。琐罗亚斯德教崇拜光明，从而尚白，因此其教徒穿白衣服。佛教教徒常常被称为“缁衣”，缁即黑衣。白与黑相对，故白衣也指俗人、在家者、居士。中亚、南亚、西亚等地的人们喜穿白衣，因此佛教称除僧侣以外的人为“白衣”。《大般若涅槃经疏》卷十四云：“西域俗尚穿白，故曰白衣”（江蓝生 12）。东汉以后，白衣指佛教在家修行者，它是对梵语复合词 avadāta-vasana 或 avadāta-vastra 的义借（吴娟 28）。

魏收《魏书·裴良传》云：“时有五城郡山胡冯宜都、贺悦回成等，以妖妄惑众，假称帝号，服素衣，持白伞、白幡，率诸逆众，于云台郊抗拒王师”（1665）。魏徵、令狐德棻《隋书》记载：“（大业）六年春正月癸亥朔，旦，有盗数十人，皆素冠练衣，焚香持华，自称弥勒佛，入自建国门。监门者皆稽首。既而夺卫士仗，将为乱。齐王暕遇而斩之”（74）。素衣、素冠练衣，即白衣白帽。白衣、白伞、白幡、香、花等其实都言说着一种宗教的意味，是弥勒佛教还是摩尼教？唐长孺《“白衣天子”试释》认为白衣之佛，是依托元魏以来流行中国之弥勒佛，而明教又依托于白佛，取无量光明之意，则为阿弥陀。若取白衣之故，则为观世音菩萨（99-105）。元魏时，秦、陇等地多有白衣之谶，太原又有白旗或白衣天子之谣，弥勒降生的说法在当时颇为流行。温大雅《大唐创业起居注》云：“康鞘利将至，军四以兵起甲子之日，又符谶尚白，请建武王所执白旗。……开皇初，太原童谣云：‘法律存，道德在，白旗天子出东海’，常亦云‘白衣天子’。故隋主恒服白衣，每向江都，拟于东海”（11）。弥勒教尚白。白衣既然是一种宗教服饰，因而它言说着其宗教的意义。

白居易的《戏题新栽蔷薇》诗云：“移根易地莫憔悴，野外庭前一种春。少府无妻春寂寞，花开将尔当夫人”（743）。唐代，少府即县尉。白居易写这首诗歌的时候 36 岁，还没有结婚。白居易为什么以花作夫人？当我们联

系琐罗亚斯德教的三大胜之一为花冠、花环[1]；宋陈振孙《白文公年谱》引述唐末高彦休《唐阙史》云：“白居易长于情，无一春无咏花之什”（陈寅恪326）；白居易的母亲看花坠井，白居易37岁结婚而三年后乃母投井而死等，这个问题的因果逻辑链就凸显出来了。聂珍钊认为，文学伦理学批评就是“用伦理学的方法去研究文学”（“关于伦理学批评”10），此论极是。文学总是伦理和道德的产物，当人们孤立地去解读诗篇的时候，有时候茫然不知所措，或者仅仅获得低级层次的审美感受；但是，当我们将文学作品放在伦理语境中从伦理学的维度进行透视，就会庶几把握文学之为文学的真谛。

三、白居易家族的婚姻伦理问题

白居易父母的甥舅婚，与汉民族、游牧民族的婚姻伦理形态进行比较，可以获得历史的、民族的和宗教的理解。

（一）白居易父母的甥舅婚不属于汉民族的婚姻形态

白居易父母的甥舅婚违反了自西周以来的婚礼禁忌。聂珍钊在《文学伦理学批评：基本理论与术语》中认为，“在人类文明之初，维护伦理秩序的核心因素是禁忌。禁忌是古代人类伦理秩序形成的基础，也是伦理秩序的保障。在古代社会，人类通过禁忌对有违公认道德规范的行为加以约束，因此禁忌也是道德的起源。禁忌最初只是借助习惯存在、流传和发挥作用。自从文字产生以后，文字就被用来记录与禁忌相关的人类活动，从而导致禁忌的文本化。这些文字记录，就是历史上最初的文学。自从禁忌文本化以后，以习惯和风俗为媒介的不成文禁忌就变为成文禁忌。在人类文明发展过程中，禁忌转化为道德或是道德的表现形式之一。因此，人类社会的伦理秩序的形成与变化从制度上说都是以禁忌为前提的”（18）。那么，禁忌是如何生成的呢？“在古代文学中，禁忌往往是作品价值的核心构成。禁忌是人类力图控制自由本能即原始欲望而形成的伦理规范，禁忌的形成是人类努力摆脱蒙昧的结果”（18）。文学并非仅仅是具有审美之功能，它最主要的艺术功能还是在于伦理教诲。这也是文学的最主要的价值之所在，古代中国文学尤其是如此。尊经征圣传道，这是文学的历史使命。而文以载道、文以明道云云，皆可得出道是根本。西域人来到中土，在华化的过程中汉文化的伦理道德起了极其重要的作用。白居易父母在事实上的乱伦，无论是从生理学的科学性来看，还是从社会禁忌的伦理性来看，都是逆历史潮流的。从历史和宗教来看，甥舅婚固然是家族世代的婚姻传统使然。然而，伦理选择的何去何从，也使他们面临巨大的社会舆论压力。陈寅恪认为白居易既然汉化了，就没有必要深究其种族身分。从后人对白居易父母甥舅婚的评论来看，一个人的种族身分虽然历经几百年依然具有不可忽视的影响力，从而如果不从其种族身分着眼

1 今天印度的帕西人结婚时，男子依然颈戴花环，新娘的房门悬挂花串。林悟殊：《波斯拜火教与古代中国》，台湾：新文丰出版公司，1995年，第79页。

去分析就无法获得如其所是的认知。唐人对白居易的批评，以及今人对白居易父母甥舅婚的惊诧，都源自于将白居易家族误以为是汉民族了。

汉民族自西周初年以来就实行血缘婚禁忌。王国维《殷周制度论》云：“上古女无称姓者。……而周则大姜、大任、大姒、邑姜，皆以姓著。自是讫于春秋之末，而无不称姓之女子”（248）。女子称姓，自西周始。顾炎武根据《春秋》整理出来了妫、姒、子、姬、風、嬴、己、任、吉、曹、祁、妘、姜、董、偃、归、曼、芈、隗、漆、允等 22 个姓。“商人六世以后，或可通婚。而同姓不婚之制，实自周始。女子称姓，亦自周人始矣”（王国维 248）。西周初年，只有贵族女子有姓，平民女子与女奴隶没有姓，只有名。同姓不婚的禁忌制度，也是始自西周。为了保持血统的纯正性，自西周以来中国的贵族就恪守婚姻伦理禁忌，禁止同姓结婚，反对、禁止近亲结婚。西周礼制规定同姓不婚、贵贱不婚。《左传 • 僖公二十三年》云：“男女同姓，其生不蕃。”魏收《魏书 · 高祖本纪》道：“夏、殷不嫌一族之婚，周世始绝同姓之娶”（182）。《礼记 • 曲礼上》云：“取妻不取同姓，故买妾不知其姓则卜之。”郑樵《通志二十略》说：“姓所以别婚姻，故有同姓、异姓、庶姓之别。氏同、姓不同者，婚姻可通。姓同、氏不同者，婚姻不可通。……秦灭六国，子孙皆为民庶，或以国为氏，或以姓为氏，或以氏为氏，姓氏之失自此始。故楚之子孙，可以称楚，亦可称芈。周之子孙可称周子南君，亦可称姬嘉。又如姚恢改姓为妫，妫皓改姓为姚，兹姓与氏浑而为一者也。……三代之后，姓氏合而为一，皆所以别婚姻，而以地望明贵贱”（1-2）。顾炎武《日知录 · 氏族》云：“姓氏之称，自太史公始混而为一”（868）。战国时期，姓与氏虽然混淆，但婚姻禁忌却承续了下来。甥舅婚属于近亲结婚，即乱伦，因而汉文化礼法坚决而直接反对之。时至中唐，白居易的父母为何还实行甥舅婚？从汉民族的婚姻礼仪文化的角度来看，此事令人殊不可解。

况且，近亲结婚也不符合大唐的婚姻法规定。陈寅恪曾做过详细考论，认为“吾国法意，重在内外区分，尊卑等级”（322），因而魏徵上议“舅服缌麻，请与从母同小功。制可”（323）。《唐律》规定：“诸同姓为婚者，各徒二年。缌麻以上，以奸论。……并离之。”这里的“同姓为婚”，指的是“同宗共姓”（长孙无忌 362），即存在着血缘关系的同姓，不包括赐姓、改姓等所造成的同姓。着眼点在于是否有伦理禁忌之血缘关系。从《唐律》可知，唐代法律不仅规定同姓不得结婚，而且如果近亲结婚也要以犯奸科罪。据《唐律疏义》，正如陈寅恪所论，白居易父母之“舅甥为婚，律所必禁”（323）。

由以上可知，无论是婚礼还是法律，汉民族都禁止近亲结婚。具体到白居易的父母，时在大唐，他们的甥舅婚是汉民族文化所严令禁止的。然而，甥舅婚却是事实，这是何故？或曰他们可能是北方游牧民族的后裔。果真如此吗？

（二）白居易父母的婚姻形态也不属于游牧民族的收继婚

或云晚至大唐王朝之所以出现甥舅婚，这是由于李唐王朝的贵族、勋贵大多为鲜卑族的缘故；鲜卑族是游牧民族，其婚姻伦理形态为收继婚。何谓收继婚？收继婚，又称接续婚，俗称转房婚，是指丧夫的妇女改嫁给原夫亲属的一种特殊的婚姻。收继婚是“人类社会婚姻发展的一个必经阶段，是夫兄弟婚的残余。这种婚俗出现在母系氏族社会后期，进入阶级社会后，仍然保留”（向南 243）。

收继婚的明文记载较早见之于匈奴的婚俗。司马迁《史记》记载：“匈奴之俗……父、子、兄、弟死，娶其妻妻之，恶种姓之失也”（3505）。范晔《后汉书·乌桓列传》记载：“其俗，妻后母，报寡嫂”（885）。《隋书·突厥传》云：“父兄死，子弟妻其群母及嫂”（1864）。刘迎胜认为，“父兄死，妻其诸母与嫂是部分古代北亚游牧民族的一种传统习俗，即所谓 levirate marriage，民间习称为转房，元代文献称为收继。收继按收继人与死去男性之间的亲属关系，可分为平辈收继与异辈收继”（86）。蒙古族《大撒扎》规定：“父亲死后，儿子除了不能处置自己生母之外，对父亲的其他妻子或可以与之结婚，或可以将她嫁与别人”（梁赞诺夫斯基 5）。《出使蒙古记·鲁不鲁乞东游记》亦记载：“有的时候一个儿子把他父亲所有的妻子都拿来当妻子，只有他自己的生母除外。因为父母的斡耳朵（家产）总是归最小的儿子继承，因此他必须供养他父亲所有的妻子，这些妻子都带着他父亲的财产来到他这里。这时，如果他愿意，他可以把她们当作妻子来使用”（道森 122）。

（三）白居易家族的婚姻伦理形态

甥舅婚与上述收继婚不同，它为族内血缘婚，而收继婚则为族外婚，因此从北亚游牧民族的婚姻民习这个角度仍然无法解释白居易的父母何以实行甥舅婚。联系白居易家族的种族身分、宗教身分可知，白居易父母的甥舅婚只能是一种可能的结果，那就是他们践行的是祆教的婚姻形态。仅仅是白居易的父母践行族内婚吗？不是的，白居易、白敏中等家族内的婚姻伦理行为也证明了白居易家族都践行祆教的族内婚。

大唐时期，青年男女婚媾的年龄有两次法律规定。第一次，贞观元年（627）唐太宗李世民颁布诏令曰：“昔周公治定制礼，垂裕后昆，命媒氏之职，以会男女。……宜令有司，所在劝勉，其庶人男女无室家者，并仰州县官人，以礼聘娶，皆任其同类相求，不得抑取。男年二十、女年十五已上，及妻丧达制之后，孀居服纪已除，并须申以婚媾，令其好合。若贫窭之徒，将迎匮乏，仰于亲近乡里，富有之家，裒多益寡，使得资送。……刺史、县令以下官人，若能婚姻及时，鳏寡数少，量准户口增多以进考第，如导劝乖方，失于配偶，准户减少附殿”（王溥 1527）。第二次，《新唐书》卷五十一记载：“（开元）二十二年，诏男十五、女十三以上得嫁娶”（1345）。唐玄宗开元 22 年（734）之后，男子明明可以在 15 岁以上就可以结婚，可是白居易 37 岁时才与杨虞

卿从妹杨氏结婚，他为什么如此晚才结婚？或云，他为了功名刻苦读书，因此晚婚。可是，白居易 29 岁时就已经进士及第，那为什么八年之后才结婚？

白居易 38 岁时有一女，名叫金銮子，可是不幸在三岁的时候夭折了。白居易 58 岁时有一子阿崔，白居易珍若珠宝，可是爱子三岁时又不幸夭折了。……白居易夫妻共有四女一子，但是只有一女阿萝长大成人。从遗传学和优生优育科学来看，白居易的孩子多夭折又表明了什么？一般说来，不能排除这种可能性，那就是他们家族曾世世代代是近亲结婚，并非优生优育，因而所生之子女多夭折，难以养育成人。

白敏中先后将自己的长女、次女嫁给皇甫炜，这在李唐时期也是不寻常的。《皇甫炜夫人白氏墓志》云：“开成五年生夫人。……大中二年，以长女归于炜。……十年二月廿五日，又以夫人归于炜”（吴钢主编 134）。姊妹同嫁一人，春秋时中原地区固然有之，但是晚至唐代，汉民族早已不再实行这一婚姻制度了，然而白敏中竟然还将自己的两个女儿嫁给同一个人，白居易大家族的婚姻伦理由此可见一斑。

联系到中国传统婚姻文化的伦理生态，包括汉民族自西周以来的婚姻礼法、游牧民族的收继婚和世界史视域中的大唐时期琐罗亚斯德教在中土的聚落生根和族内兴盛，可以推知白居易家族本来的婚姻形态就是祆教的族内血亲婚；否则无从解释白居易的父母实行甥舅婚。

陈振孙《白文公年谱》“元和十年下”云：“公（按：白居易）母有心疾，悍妒得之。”这里的心疾，指的是“精神病”，因为她“叫呼往往达于邻里”，曾经一度“忧愤发狂，以苇刀自刭”（陈寅恪 326）。最终，白居易的母亲投井而死。莫砺锋认为，白居易母亲的精神不好可能与其婚姻有关（9）。这一推测不无道理。“对文学的理解必须让文学回归属于它的伦理环境和伦理语境，这是理解文学的一个前提”（聂珍钊，“文学伦理学批评：基本理论与术语”19）。试想，一方面是家族传统的世代族内血缘婚，另一方面又是汉文化的乱伦悖逆之诛心式谴责、内疚，这两种伦理意识的内在冲突肯定会使她精神受刺激。在精神恍惚、焦虑之际，白居易的母亲坠井而亡，似乎也是情理之中的事。“社会的伦理规则是伦理秩序的保障，一个人只要生活在这个社会里，就必然要受到伦理规则的制约，否则就会受到惩罚”（聂珍钊，“文学伦理学批评：基本理论与术语”19）。惩罚分为外在形式的笞、杖、徒、流、死等处罚与内在心理的精神折磨。人是高度社会化的理性动物，从白居易家族的受教育程度来看，他们的汉化程度是很高的，因此白居易的母亲面对或者遵从世世代代的家族婚姻传统或者违背了婚姻禁忌而乱伦的心理惩罚之伦理选择，伦理选择的实质是斯芬克斯因子内在的伦理意识冲突（聂珍钊，“文学伦理学批评：伦理选择与斯芬克斯因子”4）；又由于她身处的家庭伦理小环境与文化大生态之间的张力十分巨大，从而内心的煎熬、焦虑、抑郁和痛苦就导致了生不如死甚至是自杀的悲剧。

“文学伦理学批评的核心理论是‘伦理选择’（Ethical selection）”（聂珍钊，“文学伦理学批评与外国文学研究”72）。而伦理身分是伦理选择的逻辑起点。宗教是人类的至高精神形式，一个人的宗教伦理身分在其伦理身分中是至关重要的。因为信仰的精神与斯芬克斯因子纠缠在一起，然而并非纯然地趋向人性因子，兽性因子可能依然保留在神话信仰之中，这确实是比想当然认为的复杂得多。白居易家族从龟兹迁到关中，后迁到太原，又迁回关中。虽然来到中土的西胡主要以聚落的形式生活，然而无论如何，由于部族文化彼此之间的接触和互渗，在地化总是难免的，从而生成一种杂合的形态。因而，汉文化的伦理教化和道德教诲与西胡祆教的族内婚之间的伦理选择，就成为了白居易母亲所面临的文化接触、冲突、互渗和融合过程中的惶恐。

韦贯之、王涯指责白居易在母丧之后写作《赏花》《新井》，学界一般认为是政治上的栽赃诬陷、恶意中伤。其实，作为大臣高官，如果没有真凭实据，他们一般不会赤口白舌的；假如真的只是造谣说谎而没有证据，他们岂能说服皇帝与其他同僚？白居易先被贬为江州刺史，王涯认为他的所作所为有伤名教，是名教罪人，不堪复理郡，故朝廷将白居易贬为江州司马。此乃文官制度的正常运作，岂能依据一二人的谣言就能成为事实？由是观之，白居易没有为亲讳是无法否认的事实，那么，这难道是白居易有意识地伦理选择吗？从伦理道德来说，绝对不是。那又何以如此？可能性只有一个，就是白居易虽然汉文化程度很高，可是仍然无意识地触犯汉文化的礼仪禁忌。有人会问白居易的诗集中为什么没有这两首诗歌？试问，白居易在受到社会舆论的强烈指责之后，他还会将其收录到诗集里面吗？如果白居易真的没有写这两首诗，他为什么不上书进行辩解？他因这两首诗被贬到江州，又为何没有控诉？由此可见，白居易的诗文创作与其家族的婚姻伦理生态密切相关。

结语

综上，在自西周以来就已奉行“同姓不婚”原则的汉文化看来，族内血缘通婚违反了伦理禁忌，是罪不可赦、不可原谅的乱伦，即这一制度有违人伦天理。因而，史书认为信奉琐罗亚斯德教、遵循族内血缘婚的粟特人由于“多以姊妹为妻妾，自余婚合，亦不择尊卑。诸夷之中，最为丑秽矣”（令狐德棻 920）。然而，为何晚至中唐时期，白居易的父母还实行甥舅婚呢？实行族内血亲婚的，从文化和法律来看，绝非汉民族，也非游牧民族。结合世界史的伦理文化语境以及白居易的家族史可知，白居易的家族乃东迁中土的龟兹胡，即西域雅利安人之后裔；他们信奉琐罗亚斯德教，而琐罗亚斯德教实行族内婚。因此，伦理身分尤其是其中的宗教伦理身分彻底解决了白居易父母的甥舅婚问题。

总的来说，白居易是已经汉化的龟兹人后裔，汉化是其身分转化，也是其身分选择。如果依据陈寅恪的观点，一个人的伦理身分当从文化来论，他

当属于汉文化人无疑。但是，种族、宗教、家族习俗的传统力量，之于一个人乃至于一个家族的伦理身分和伦理选择来说潜在地仍然具有超乎寻常的影响力。因此，白居易虽然已经汉化、儒化，然而他的家庭、宗教、婚姻等依然保留着西域人的传统。对白居易家族伦理身分和伦理选择进行整体观照，可以发现白居易父母的婚姻形态实乃祆教的族内婚，从而我们对白居易这位大诗人的人生经历和诗文创作就有了全新的认知和理解。

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